Trilateral On-line Filing Group

6th December 1999 - SCIT

Agenda

- Overview of document structure
- Appendix I – Trilateral Standard
  - PKI
  - Signature Mechanisms
  - Wrapping, Signing, Packaging
  - Transmission
- Appendix II – XML Documents
- Future Enhancements
- Action Plan

Document Structure

Overall Structure.

- Administrative Instructions
  - Annex F
    - Appendix I – Online submission
    - Appendix II – XML DTDs
    - Appendix III – CD/Diskette

- For PCT all levels are required
- For Trilateral only Appendix I and II
  - Plus EP, JP and US legal provisions.

Annex F.

- Annex to PCT Administrative Instructions
- Covers PCT legal requirements
  - Ticket Mechanism
  - General Security Requirements
  - Electronic Records Management
    - Standards S1-S14
  - Options for Ros
- Technical Implementations in Appendicies.

Overview of Appendix I.

- Trilateral Standard
- Technical Implementation of Annex F
- PKI based On-line Filing now
- Evolve to all IP Document Exchanges
  - National Patent Procedures
  - PCT Patent Procedures
  - Trademarks
- Other mechanisms in other Appendicies
  - Appendix III – Disk/CD filing.

PKI Aspects

PKI Requirements.

- Four principles
  - Confidentiality
  - Integrity
  - Authentication
  - Non-repudiation
- Certificates
- Digital Signatures
- Encryption
- Mutual Recognition
  - PKI Policy
  - New Attachment agreed at May 2000 Trilateral.

PKI Mapping

	Confidentiality	Integrity	Authenticity	Non-repudiation
Certification Authority			X	X
Digital Certificates		X	X	X
Certification Management		X	X	X
Cross Certification		X	X	X
PKCS#7 Signed Data Type		X	X	X
Directory Services			X	X
Encryption Algorithms	X			
PKCS#7 Signed and Enveloped Data Type	X			
Message digest Algorithm		X		
PKI Policy Statements		X	X	X

Signatures Mechanisms.
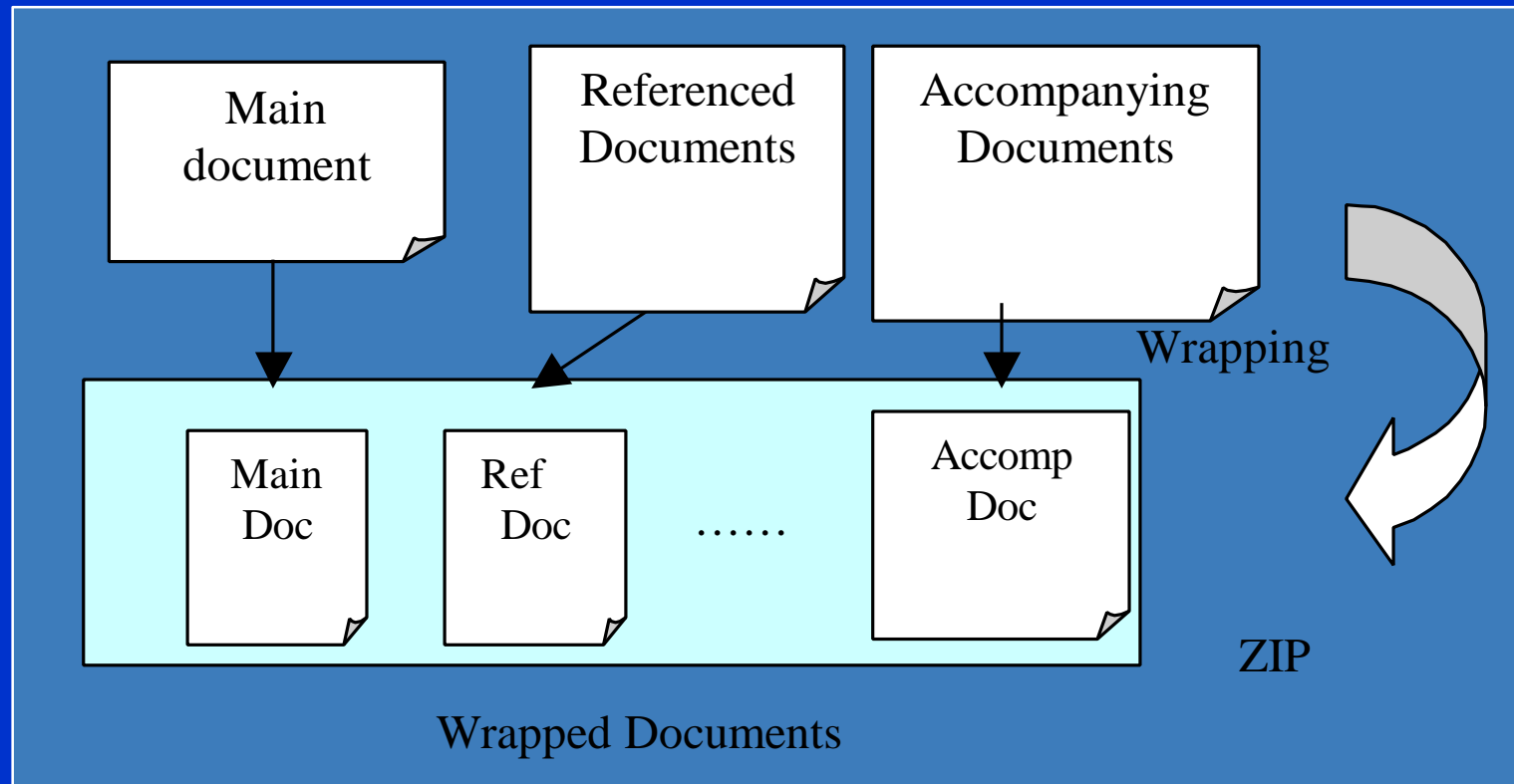
- Basic Electronic Signature
  - Text stored in the document
  - Facsimile Image of a handwritten signature
  - New XML standard to record this
  - Can point to a Digital Signature
- Enhanced Electronic Signature
  - Digital Signature using PKI
  - Uses encryption technology
  - Requires Certificates and Private/public keys
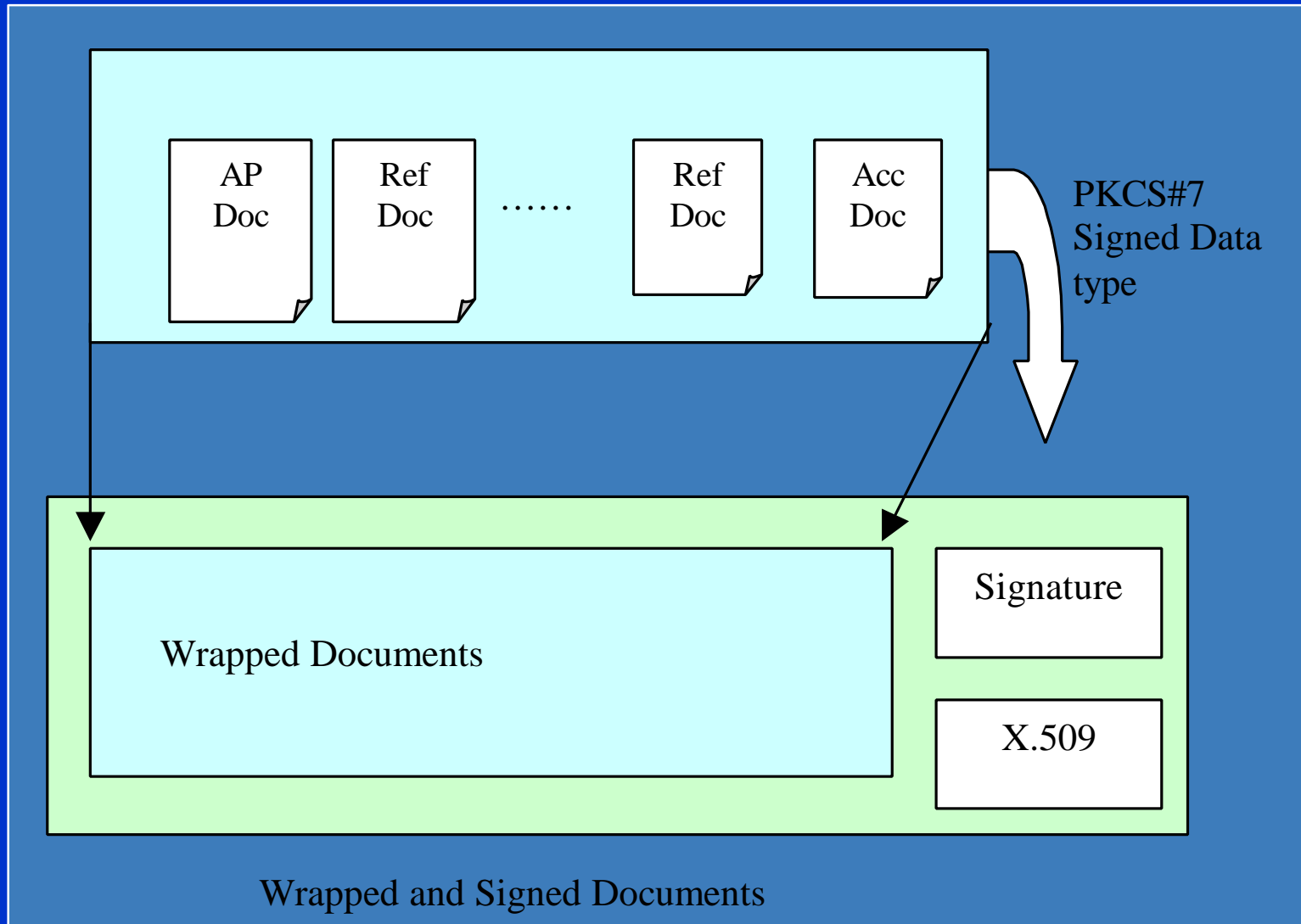 - Trust => Mutual Recognition.

Wrapping, Signing and Transmission

Document Packaging - Wrapping

Main document

Referenced Documents

Accompanying Documents

Wrapping

Main Doc

Ref Doc

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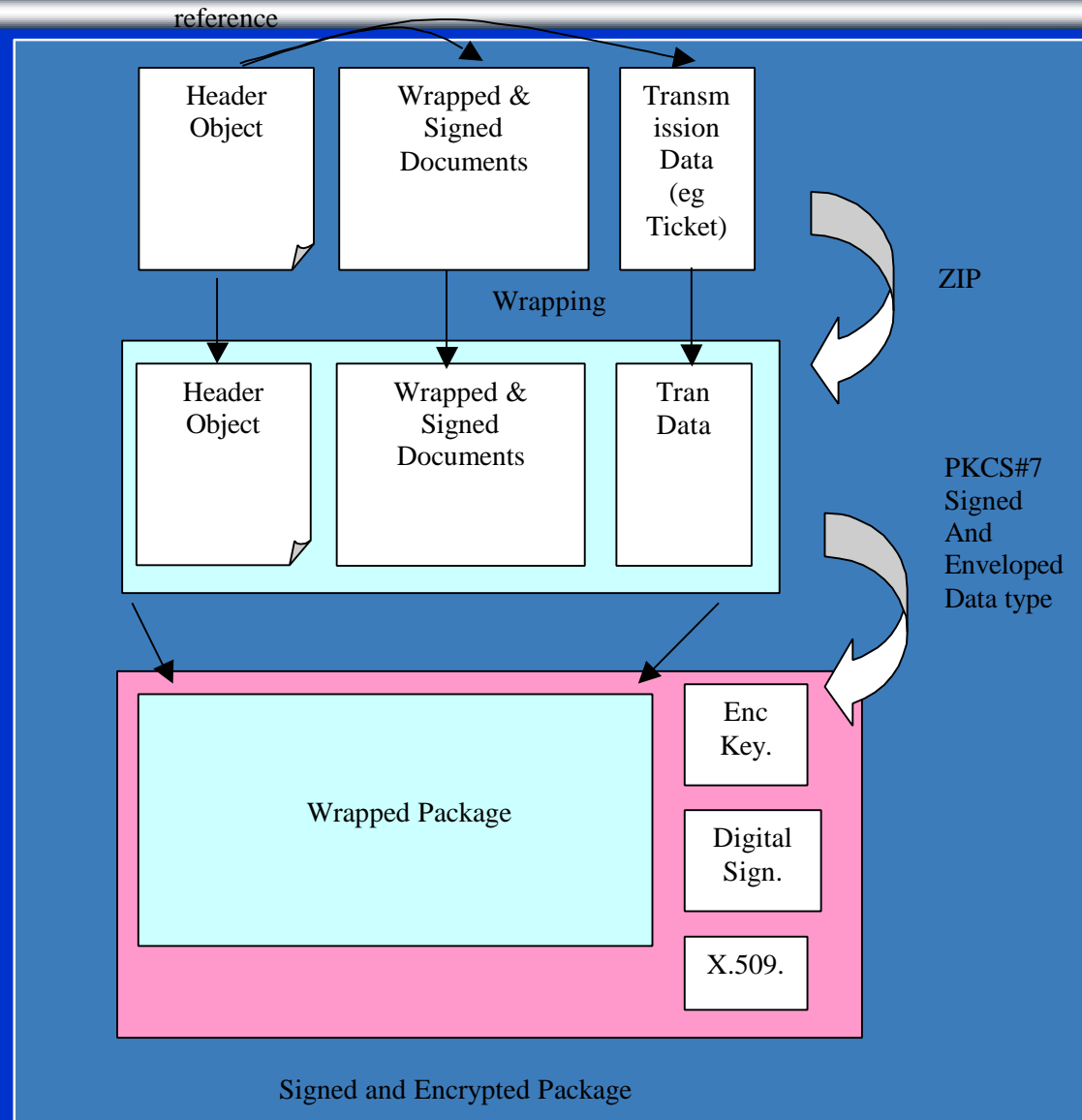Accomp Doc

ZIP

Wrapped Documents

Wrapping.

- Buiilds on SDIF for Priority Doc Exchange
- Documents Formats
  - XML
  - PDF
  - TIFF
  - JPEG
- Uses ZIP to bundle docs
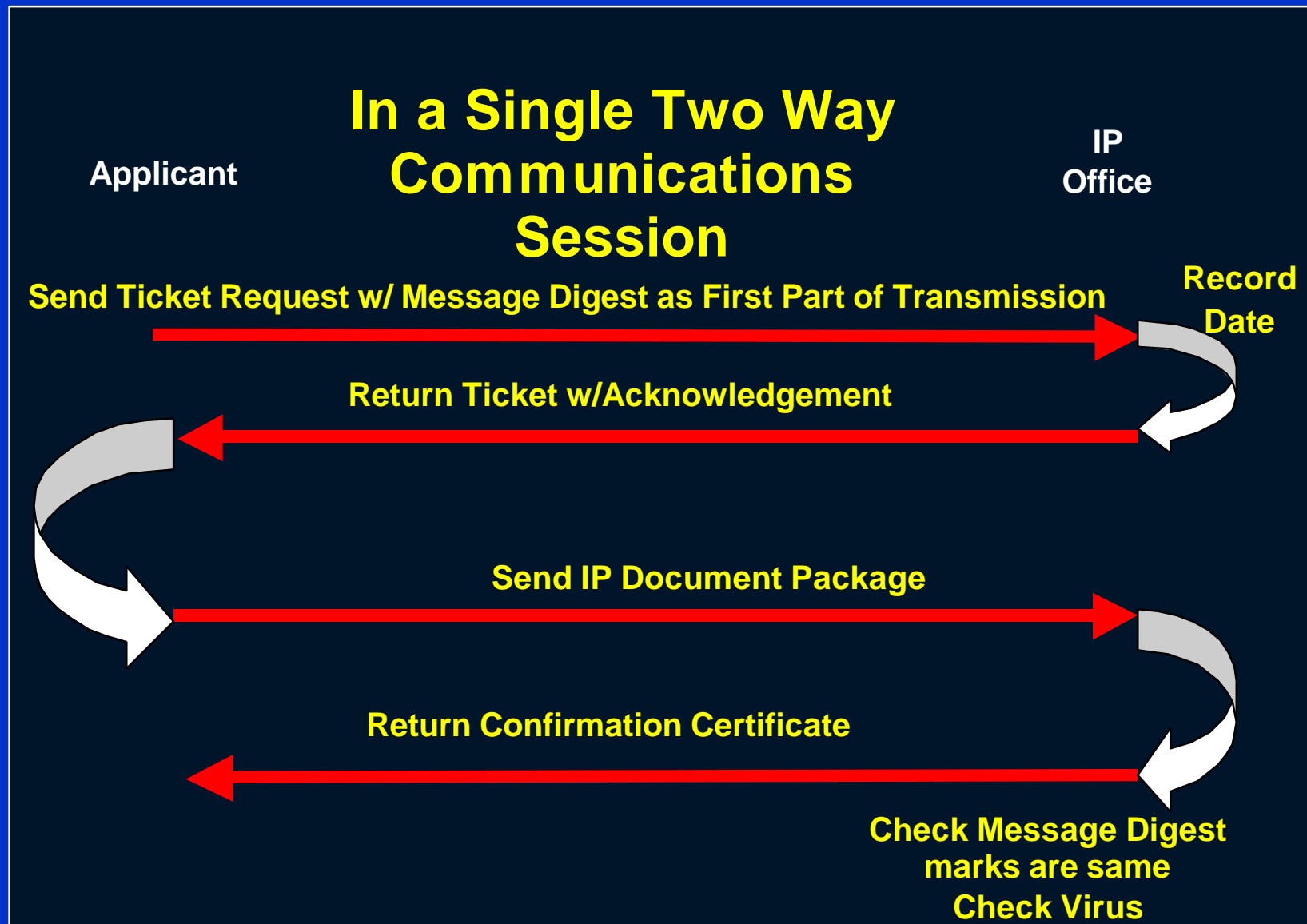 - Commercial Standard
  - No maintenance costs.

Signing

AP Doc

Ref Doc

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Ref Doc

Acc Doc

PKCS#7 Signed Data type

Wrapped Documents

Signature

X.509

Wrapped and Signed Documents

Packaging for transmission

reference

Header Object	Wrapped & Signed Documents	Transmission Data (eg Ticket)

ZIP

Wrapping

Header Object	Wrapped & Signed Documents	Tran Data

PKCS#7 Signed And Enveloped Data type

Wrapped Package

Enc Key.

Digital Sign.

X.509.

Signed and Encrypted Package

Ticket Mechanism

In a Single Two Way Communications Session

Applicant

IP Office

Send Ticket Request w/ Message Digest as First Part of Transmission

Record Date

Return Ticket w/Acknowledgement

Send IP Document Package

Return Confirmation Certificate

Check Message Digest marks are same

Check Virus

Appendix II – XML DTDs

XML DTDs.

- New PCT Patent Appliction
- Ticket Mechanism
  - Ticket Request
  - Header Object
  - Certificate of Confirmation
- Basic Electronic Signature.

Future Plans

Further DTDs.

- National Patent Procedures
  - On-line Filing of new patent applications
  - Procedural communications between the Applicant and IP Offices
- PCT Procedures
  - On-line Filing of new PCT applications
  - Procedural communications between the Applicant and RO/IB
  - Receiving Office to IB (Record Copy)
  - RO to ISA (Search Copy)
  - IB to ISA
  - IB to IPEA
- Trademark Applications.

Action Plan

Administrative Instructions.

- Draft by end Dec 1999 (Action:WIPO)
- Comments Jan – Mar 2000
- PCT Assembly discussion – Mar 2000
- Publication – June 2000

- AIs operational from June 2000
- PLT adoption for National Procdueres
  - May 2000.

Annex F

- Trilateral Approval – November 1999
- SCIT Discussions – December 1999
- SCIT Adoption as STxx – June 2000

- Annex F operational June 2000.

Appendix I

- Trilateral Approval – November 1999
- SCIT Discussions – December 1999

PCT On-line Filing	Trilateral On-line Filing
Server Development Jan-Jun 2000	PCT DTD – Jan 2000 EP,JP,US DTDs – Jan-Mar 2000
PCT Pilots Jun-Dec 2000	Trilateral Pilots Jan-Dec 2000
PCT Production Mar 2001	Trilateral Production 2000-2002

The End