

## **CWS XML4IP Task Force Meeting**

**Madrid, Spain, 17 to 21 October, 2016**

### **MEETING REPORT**

#### **INTRODUCTION**

1. The XML4IP Task Force meeting took place in Madrid from 17 to 21 October 2016. The following eleven offices/organizations were represented at the meeting physically or remotely: AT, AU, CA, EP (EPO), EM (EUIPO), ES, GB, KR, RU, US, and WIPO (IB). Mr. Yun, as Task Force leader opened and chaired the meeting.

2. Ms. Patricia Garcia-Escudero, Director General of the Spanish Patent and Trademark Office (SPTO), welcomed the delegations and thanked them for coming to celebrate this meeting in SPTO. She also appreciated WIPO's organization of the meeting at SPTO. Ms. Ana Arredondo Macua, Director of the IT Department, also welcomed the participating Task Force members. She emphasized the importance of supporting WIPO Standards in the SPTO IT systems. She also thanked all delegations to have come to work in XML4IP Task Force in Spain and to WIPO to come to Spain.

3. The delegations extended their most sincere thanks SPTO for the excellent hospitality and support they made available for the Task Force meeting.

#### **DISCUSSIONS, CONCLUSIONS AND AGREEMENTS**

##### **AGENDA ITEM 3: ADOPTION OF THE AGENDA**

4. The meeting agenda was adopted as proposed by the International Bureau of WIPO (IB) and is reproduced along with the delegations list as an Annex to this report.

##### **AGENDA ITEM 4: PROGRESS REPORT BY THE TASK FORCE LEADER**

5. The Task Leader briefed standardization activities after the reconvened fourth session of the Committee on WIPO Standards (CWS) held in March 2016. He mentioned the outcomes of the events which took place in September 2016: WIPO Standards workshop on Applicant Name Standardization and the meetings of Legal Status Task Force, Sequence Listing Task Force and Authority File Task Force. He stated that the Workshop noted important issues that IP community is facing and discussed the possible solutions to address them. According to the outcome at the Workshop, the International Bureau plans to provide a proposal for consideration at the next session of CWS in 2017 (CWS/5).

6. He also mentioned that LSTF agreed to submit its final proposal for a new WIPO standard on patent legal status data for consideration at the CWS/5. He announced that the IB plans to develop a new software tool for facilitating the implementation of ST.26 in harmony. The tool will be used by applicants and IP offices.

7. The Task Force leader delivered a progress report on the development of ST.96 since the XML4IP Task Force meeting held last year in Alexandria. He highlighted activities of the Task Force, according to the Task Force Work Plan 2016. He reminded the participants of the new release of ST.96 version 2.2 and thanked all TF members, in particular USPTO, for supporting the preparation of the version. The participants reviewed the pending action items since the last TF meeting.

8. He finally reminded the participants of a very important survey on the use of WIPO standards by IP offices and encouraged the participants to provide their response by October 30, 2016.

#### AGENDA ITEM 5: REVIEW AND CONCLUSION ON MADRID SYSTEM COMPONENTS FOR BI-DIRECTIONS

9. Discussions were based on proposals and comments posted on the TF Wiki regarding [ST.96 XMLSchema V3\\_0\\_D1](#) and [ST.96 XMLSchema V3\\_0\\_D2](#) and a new schema, V3\_0\_D3\_prep provided by USPTO, which was posted in the TF Wiki for the meeting.

10. WIPO/Madrid mentioned that the MECA system would be ready for testing based on ST.96 whenever IP offices would send data for testing. WIPO/Madrid also stated that the testing from the IB to Offices would be done if the IP offices request.

11. It was informed that IP Australia (IPA) has developed a new administration system for trademarks and will be able to create a new channel with MECA based on ST.96. As it has been working with MECA for e-filing from CIPO, WIPO/Madrid proposed to create a parallel testing with IPA. IPA proposed to test with WIPO/Madrid new schemas based on ST.96. When it would be ready then to change the current channel IPA-WIPO based on ST.66.

12. It was informed that CIPO was just changing its current trademarks systems based on WIPO Standard ST.66. Therefore, it will wait for testing until WIPO/Madrid request.

13. USPTO informed the participants that it had been working with the mapping of ST.96; in November 2016 they would begin testing and work with the new version of ST.96 for trademarks.

*Action items: IPA, USPTO and WIPO/Madrid to report test result of the schemas to the XML4IP TF.*

#### **Madrid Office to the IB Transactions**

14. Overall agreement: The participants agreed on the following items applicable to all transaction schemas:

- Make com:DocumentIncludedBag optional in all transactions following the KIPO's comment that the draft Madrid transaction schemas encompass both full structured format in XML) and semi-structured XML format attached image (or PDF). Therefore, DocumentIncludedBag should not be mandatory for the case of full structured format.
- Add Madrid Form number information to all transactions that have forms (see below)
- Replace com:ApplicationLanguageCode with existing mandatory com:NotificationLanguageCode in all Transactions except in MadridApplication.
- If com:Signature is missing, add optional com:Signature to all Office-IB transactions at the same general location as the others, with the exception of MadridOfficeClosureDay

15. WIPO/Madrid proposed to add the following Madrid Form number to the end of description of corresponding Madrid Transactions components according to the

MMx forms - <http://www.wipo.int/madrid/en/forms/>

Model forms - [http://www.wipo.int/madrid/en/contracting\\_parties/model\\_forms.html](http://www.wipo.int/madrid/en/contracting_parties/model_forms.html)

- tmk:MadridApplication - MM2
- tmk:MadridSubsequentDesignation - MM4
- tmk:MadridInvalidation - Model form 10
- tmk:MadridGoodsServicesLimitationRequest - MM6
- tmk:MadridRepresentativeAppointment - MM12
- tmk:MadridRepresentativeNameAddressChange - MM10
- tmk:MadridHolderNameAddressChange - MM9
- tmk:MadridSubsequentDesignationFromConversion - MM16
- tmk:MadridPossibleOppositionNotification - Model form 1 & 2
- tmk:MadridCancellation - MM8
- tmk:MadridRenewalRequest - MM11
- tmk:MadridCorrectionRequest - MM21
- tmk:MadridRenunciation - MM7
- tmk:MadridOwnershipChangeNoEffect - Model form 11
- tmk:MadridOwnershipChange - MM5
- tmk:MadridGrantProtection - Model form 4
- tmk:MadridInterimStatus - model form 8
- tmk:MadridProvisionalRefusal - Model forms 3A and 3B
- tmk:MadridCeasingEffect - Model form 9
- tmk:MadridFinalDecision - Model forms 5 and 6
- tmk:MadridLimitationNoEffect - Model form 13
- tmk:MadridLicenceRecordalRequest - MM13
- tmk:MadridFurtherDecision - Model form 7

16. The Participants reviewed all transaction schemas and agreed to update some transaction schemas described below. Other Office-IB transaction schemas were reviewed and reaffirmed by the participants.

MadridApplication (add MM2 form):

17. Based on the KIPO's proposal that tmk:Applicant be "multiple" and support by ROSPATENT although it has only one applicant for Madrid application, it was agreed to replace Applicant with ApplicantBag.

MadridSubsequentDesignation (MM4 form)

18. ROSPATENT proposed to add a new optional element RecordEffectiveAfterRenewalIndicator to support section 7 "DATE OF EFFECT OF THE SUBSEQUENT DESIGNATION" of the [WIPO MM4 form](#) (Option 7a, "this subsequent designation shall take effect immediately after the renewal of the international registration").

**7**

DATE OF EFFECT OF THE SUBSEQUENT DESIGNATION

(if neither of these boxes is checked, the date of this subsequent designation will be the date of its receipt by the International Bureau or, if it has been presented through the intermediary of an Office, the date of receipt by that Office)

- (a)  this subsequent designation shall take effect immediately after the renewal of the international registration indicated in item 1;
- (b)  this subsequent designation shall take effect immediately after the recording in the International Register of the following change concerning the international registration indicated in item 1 (specify the change):
- .....

19. Considering in form MM4, there is an option (Section 7 above) for DATE OF THE EFFECT OF SUBSEQUENT DESIGNATION and relevant components exist in ST.66, it was agreed after com:ReceiveOfficeDate, to add optional choice between

tmk:RecordEffectiveAfterRenewalIndicator and tmk:RecordEffectiveAfterChangeText

- Description from MM4 form: “**RecordEffectiveAfterRenewalIndicator**” Indicate that the subsequent designation shall take effect immediately after the renewal of the international registration.
- Description from MM4 form: “**RecordEffectiveAfterChangeText**” The description that the subsequent designation shall take effect immediately after the recording in international register of the following change concerning the international registration.

[https://www3.wipo.int/confluence/display/xml4iptf/ST96+XMLSchema+V3\\_0\\_D2?focusedCommentId=88441173#comment-88441173](https://www3.wipo.int/confluence/display/xml4iptf/ST96+XMLSchema+V3_0_D2?focusedCommentId=88441173#comment-88441173)

#### MadridCeasingEffect (Model form 9)

20. Regarding Rule Category, it was agreed to add mandatory tmk:MadridCeasingEffectRuleCategory. MadridCeasingEffectRuleCategoryType with the below two values.

- Value will be: Madrid Rule 22\_1\_A (Description - Rule 22\_1\_A: Rule 22(1)(a) of Madrid Agreement)
- Value will be: Madrid Rule 22\_1\_C (Description - Rule 22\_1\_C: Rule 22(1)(c) of Madrid Agreement)

21. It was also agreed to add optional tmk:FactDecision to contain existing mandatory tmk:FactDecisionText and optional new ThirdPartyActionCategory.ThirdPartyActionCategoryType. The enumeration values are: (values: Opposition, Revocation, Invalidation, Cancellation). Repeat names for description.

- Description for tmk:FactDecision: Facts and decisions affecting the basic application, the registration resulting therefrom, or the basic registration.

#### MadridCorrectionRequest (MM21)

22. The participants reviewed the Form MM21 and agreed to add optional choice between new element com:WIPOReferenceNumber and WIPONotificationNumber after ApplicantFileReference according to Section 2 of the Form, which is reproduced below.

- Description- com:WIPOReferenceNumber: 10 digit number that appears in the notification that appear as part of the WIPO reference number. Add pattern: Pattern to allow for 9 digit or 10 digit numeric values. Blank for the 10<sup>th</sup> position if total length is 9.
- Description- WIPONotificationNumber: 3 letter and 6 digit number that appear in the notification that WIPO provide. Add pattern, e.g. ENN123456

**2** REFERENCE NUMBER

(a) If the holder or his representative requests the correction:

## WIPO REFERENCE NUMBER

(Please, provide the 9-digit number that appears in the notification as part of the WIPO reference number. Type one digit in each box. For example, for reference number 806/123456789, type: 123456789)

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(b) If the Office requests the correction:

## WIPO NOTIFICATION NUMBER

(Please, provide the 3-letter and the 6-digit number that appear in the notification. Type one letter or digit in each box. For example, for reference number ENN/2014/01, type: ENN201401)

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**Madrid the IB to Office Transactions**

23. The participants reviewed the following open issues regarding Madrid transaction schema and agreed to close them:

- IssueID-538
- IssueID-539
- IssueID-580
- IssueID-577

24. The participants reviewed all transaction schemas and reaffirmed them except one, MadridHolderRepresentativeChange.

25. WIPO/Madrid proposed to add a new element in MadridHolderRepresentativeChange. IP Australia calls this Assignment. There are Full Assignment and Partial Assignment. Partial assignment is just part of the goods and services. If Owner sells 2 goods and services, then IP Australia creates 2 new Trademark application numbers. WIPO/Madrid provided 2 options: Keep same transaction but add new components or to create another separate component. MadridPartialChangeOwnership is possible new component name for Version 3.0 D3.

26. It was noted that further discussion is required after the meeting. In order to facilitate the discussion the IB was asked to create a new issue ID on this topic via the new issue ID under the TF Wiki and WIPO/Madrid to provide further information with a description of the Issue and a proposal, including transaction with name, address, and number change with old number and the new one.

*Action item: the IB to create a new issue ID in which WIPO/Madrid provides a proposal.*

27. It was remarked that the most important transaction is Designation. IPA needs Designation first from WIPO/Madrid around November or December 2016 for testing.

**AGENDA ITEM 6: REVIEW AND CONCLUSION ON HAGUE SYSTEM COMPONENTS**

28. It was noted that some IP Offices have plans to use Hague ST.96, e.g. CIPO will start in a few months: KIPO stated that it transmitted Hague data based on ST.96 to WIPO and hope to extend ST.96-based transmission in the future: ROSPATENT plans to use ST.96 for Hague transaction in 2018.

29. ROSPATENT asked if there are plans to add other forms to Office to IB Communication. There are DM forms with no corresponding transaction schemas, e.g. Representative appointment, Ownership change, Irregularity request and Irregularity Response. WIPO/Hague responded that current Hague communication covers only transactions to cover HagueAgreement. All the changes in ownership occur at the IB and not at the IP Office. Communications are only

from Office to the IB. Irregularity Request and Irregularity Response may be needed in Hague per ROSPATENT. Furthermore, ROSPATENT has freeform correspondence to exchange with the IB; seek to address those Irregularities. WIPO/Hague said that Irregularity under Hague is extremely rare and it is sent only to the applicant. WIPO/Hague communication related to an IP Office is very rare to IP Office. ROSPATENT plans to communicate all forms in electronic form with the IB. IB – Last meeting in USPTO, there was discussion and agreed to have generic one to cover rare and free format communication from Office to the IB.

30. WIPO/Hague suggested adding more permissible values, e.g. Irregularity, to HagueGenericOfficeCommunicationCategoryType; the participants had no objection to adding the necessary values. ROSPATENT also noted that it would use “Other” where appropriated.

### ***Hague Office to the IB Transactions***

31. The participants agreed to add optional com:SignatureBag in all HagueOfficeToIB transactions as the last component if it does not exist considering IP offices, e.g. ROSPATENT, may need all forms signed by person(s) such as for use in Court.

32. It was noted:

- ROSPATENT proposes to add dgn:HagueDesignBag as optional after dgn:AffectedDesign. IB just needs to know which design was granted protection. ROSPATENT needs a lot of information create printed form for use in court which contains all the information. The discussion will continue through the WIKI. ROSPATENT would like to show all information.
- Under Hague it sent as PDF, that is why there is DocumentIncludedBag. ROSPATENT would like to send in formatted ways, not as PDF.
- Some IP Offices are ready to provide structured data versus PDF or other format.
- Change DocumentIncludedBag to optional.

33. Considering the proposals from ROSPATENT above, it was agreed to

- add optional element HagueDesignBag after AffectedDesign to all HagueOfficeToIB transactions which contain the AffectedDesign element,
- change the DocumentIncludedBag to optional if defined as mandatory except HagueApplication and HagueRefusalRequest.
  
- add optional element HolderBag to the HagueGrantProtection(Request) component for HagueOfficeToIB transaction.

34. It was noted that WIPO will ignore the additional information that is not expected by the IB.

### **dgn:HagueApplication**

35. It was agreed to change order of components to as follow:

- a. OfficeCode
- b. ReceivingOfficeDate
- c. ApplicationLanguageCode
- d. OfficeReferenceIdentifier
- e. ApplicantFileReference
- f. ApplicantBag
- g. CorrespondenceAddress

36. It was also agreed under dgn:HagueDesign to:

- Replace DesignRepresentationBag with ViewBag.
- Replace RepresentationSheetTotalQuantity with ViewTotalQuantity
- Replace dgn:Priority with dgn:PriorityBag

37. In addition, it was reaffirmed that Signature and Payment should be optional as Payment is managed internally by the IB.

#### dgn:HagueGrantProtection

38. It was agreed to change name to dgn:HagueGrantProtectionRequest. On the basis of RU's proposal, it was agreed to add dgn:HolderBag as optional.

#### dgn:HagueWithdrawalRefusal

39. It was agreed to change name to dgn:HagueWithdrawalRefusalRequest.

#### dgn:HagueRefusal

39. It was agreed to change name to dgn:HagueRefusalRequest. It was noted that com:DocumentIncludedBag is mandatory because IP Office needs to provide documentations.

#### dgn:HagueInvalidation

40. It was agreed to change name to dgn:HagueInvalidationRequest

#### dgn:HagueDivision

41. It was noted that no other changes are needed. It was also noted to match design to national application. If there is more than one division, the office can provide correct information.

#### dgn:HagueCancellationNonPayment

42. It was agreed to change name to dgn:HagueCancellationNonPaymentRequest.

#### HagueGenericOfficeCommunicationCategory

43. It was agreed to refine description as follows for enumeration values in HagueGenericOfficeCommunicationCategoryType:

Updated Description:

- "Refusal Owner Change: Declaration that a change in ownership (transfer/assignment) recorded in the International Register has no effect with respect to the Contracting Party
- "Withdrawal Refusal Owner Change: Withdrawal of a refusal of change in ownership (transfer/assignment)

#### ***Hague IB to Office (IssueID-599)***

44. Through WebEx, WIPO/Hague explained its proposal regarding HagueIBtoOffice. He explained the following four top elements:

- dgn:HagueBulletin
- dgn:HagueConfidentialCopy
- dgn:HagueSupplementaryCopy

- dgn:AcknowledgementReceipt

#### Hague Bulletin – HagueRegistration

45. It was informed that Hague Bulletin issued in three languages. Therefore, it may need 3 transactions, one for each language, and in this case a language should be identified in the transaction header. Furthermore, WIPO/Hague told that for dates and numbers don't need 3 fields (each language), but it is just for description, only textual data, which need three languages.
46. In order to address the issue of three different languages, it was agreed that:
- a. com:NotificationLanguage does not belong to the header.
  - b. Add a new element com:FilingLanguage after com:OfficeReferenceIdentifier, except in Refusal.
  - c. These components are in 3 languages (IP Office uses the information on application (FilingLanguage) to find out which was the original language the application was filed.):
    - DesigDescriptionTextBag.DesignDescriptionText,
    - ProductDescriptionTextBag.ProductDescriptionText
    - ViewTypeCategoryBag.ViewTypeCategory (Corresponds to Legend)
47. It was agreed to rename dgn:HagueChangeOwnership to dgn:HagueOwnershipChange
48. Following the request of ROSPATENT, it was agreed to add a new transaction dgn:HagueIrregularity under HagueIBtoOffice transaction such as MadridIrregularity.

#### AcknowledgementReceipt

49. It was agreed to rename dgn:AcknowledgementReceipt to dgn:HagueAcknowledgementReceipt even though this will be a more common component than only for Hague system in the future

#### Further work for IB to Office transaction

50. CIPO stated that Project for Designs, including Hague transaction with the IB would be ready in April 2018 according to its business plan. Therefore, it was informed that CIPO would need HagueIBtoOffice ST.96-based XML schema as soon as possible and offered to develop draft ST.96 schemas for those transactions.
51. The IB mentioned that it would create a new Issue ID to continue XML schema development. CIPO said that it needs the IB's recommendations on how to create the IBtoOffice XML schema based on the OfficeToIB transaction schemas. It was noted that
- a. IP Australia has not joined Hague yet
  - b. KIPO did not have a plan to change its Hague-related IT system
  - c. ROSPATENT plans to develop an IT system regarding Hague transaction, including IB to Office, which starts spring in 2017.
  - d. USPTO to find out when it can switch to use ST.96 Hague

*Action items: WIPO/Hague will provide a guideline for CIPO to develop the IB2Office transaction schemas.*

52. CIPO will work with WIPO to update HagueIBtoOffice xml schemas.
- a. More time is needed to update the XML schemas and CIPO will propose a completion date and time.



- b. CIPO will complete the draft for HagueIBToOffice XML schema and then CIPO will deliver the XML schemas for USPTO to incorporate to ST.96 V3\_0.

53. IP Office Plans for using Hague in V3\_0 Report

- CIPO is working on HagueOfficeToIB component. Development is in progress.
- IB can also support processing HagueOfficeToIB from CIPO.
- V3\_0\_D3 will not contain HagueIBToOffice.
- V3\_0\_D3 is the last version to contain Madrid changes.
- TF members agreed to postpone V3\_0 until spring 2017.
- ROSPATENT has no objections to V3\_0 planned completion date
- USPTO Trademark may be able to leverage V3\_0.
- USPTO Patent may not be able to leverage V3\_0 in the immediate future because we are in the middle of development using V2\_1.

AGENDA ITEM 7: REVIEW AND CONCLUSION ON SPC BIBLIOGRAPHIC DATA

54. Discussions were based on [IssueID-575](#).

55. The UK IPO participated in the discussion via WebEx on this topic and explained the background of its proposal. Considering some IPOs may not provide SPC authorization information, it was agreed to change pat:SPCAuthorizationBag to optional. Except this change, the proposal by the UK IPO was agreed by the participants.

AGENDA ITEM 8: REVIEW AND CONCLUSION ON PATENT SEARCH REPORT

56. Discussions were based on [IssueID-586](#).

57. Before starting the discussion about the proposed Search Report Schema, the TF leader raised the following two questions:

- a. Do TF members agree to develop Patent Search Report (SR) schema first and then develop the schema for Written Opinion (WO) or develop both schemas in parallel?
- b. Will the schemas cover both national and international procedures?

58. TF members agreed to:

- Develop schemas for both Search Report and Written Opinion giving priority to Search Report
- Develop a single search report xml schema to cover Search Report and Supplementary Search Report
- Develop the schemas for both national and international patents.

59. The TF members reviewed the latest schema version made available by USPTO and new proposals made by ROSPATENT (e.g. DatabaseSearchType). A number of elements /attributes have been discussed, some of them were validated and others will be discussed further through the WIKI due to a lack of time. The agreements at the meeting are listed below.

60. In general, the following decisions were made:

- a. Replace SequenceListing with SEQL everywhere and update Annex I to include SEQL in abbreviation or acronym list;

- b. Remove prefix PCT from all components containing it.
- c. Change pat:pctFormVersion to com:formVersion of type xsd:string. It normally contains the month and year. Description: The official version number on the printed form.

61. It was agreed to change Pat:pctApplicationStatus to pat:applicationStatusCategory.ApplicationStatusCategoryType and agreed to add the enumeration value "New" at this time.

*Action Item: PCT and EPO to identify permissible values.*

62. The participants noted that pat:totalPageCount seems similar to an existing com:PageTotalQuantity. So it can be replaced with the existing one.

*Action Item: PCT and ROSPATENT will provide more information on pat:totalPageCount.*

### PCTSequenceListingBag

63. It was agreed to:

- a. Remove "Bag" from PCTSequenceListingBag
- b. Change PCTSequenceListingSearchBasis to SEQLSearchBasisCategory defined as SEQLSearchBasisCategoryType with the following enumeration values:
  - i. Forming part of application in ST.25
  - ii. Forming part of application in ST.26
  - iii. Forming part of application on paper
  - iv. Together with application for search only in ST.25
  - v. Together with application for search only in ST.26
  - vi. Subsequent to application for search only in ST.25
  - vii. Subsequent to application for search only in ST.26
  - viii. Subsequent to application for search only on paper

Action item: PCT will review and confirm the draft enumeration values above and provide descriptions.

- c. Rename Pat:PCTSequenceListingAdditionalCopyIndicator to pat:AdditionalSEQLCopyIndicator
- d. Remove com:CommentText
- e. Rename Pat:PCTAdditionalInfo to pat:AdditionalInformation

### PCTPublishFigureBag

64. It was agreed to change PCTPublishFigureBag to SearchReportPublishFigure and update the description.

The current description is: "The figure of the drawings to be published with the abstract." Add the following to the end of the existing description: "Absence of this element means none of the figures is to be published with the abstract."

65. As to PCTPublishFigureCategoryType, it was noted that if figure number is indicated, it is necessary to identify who indicates it. It was agreed to reuse PublishFigureType and add mandatory attribute pat:publishFigureCategory.publishFigureCategoryType : Keep the first 3 enumeration values and add spaces between words following our standard with proper casing and remove the 4<sup>th</sup> value ("NotPublished") related to none. Reproduced below.

```
<xsd:simpleType name="PCTPublishFigureCategoryType">
```

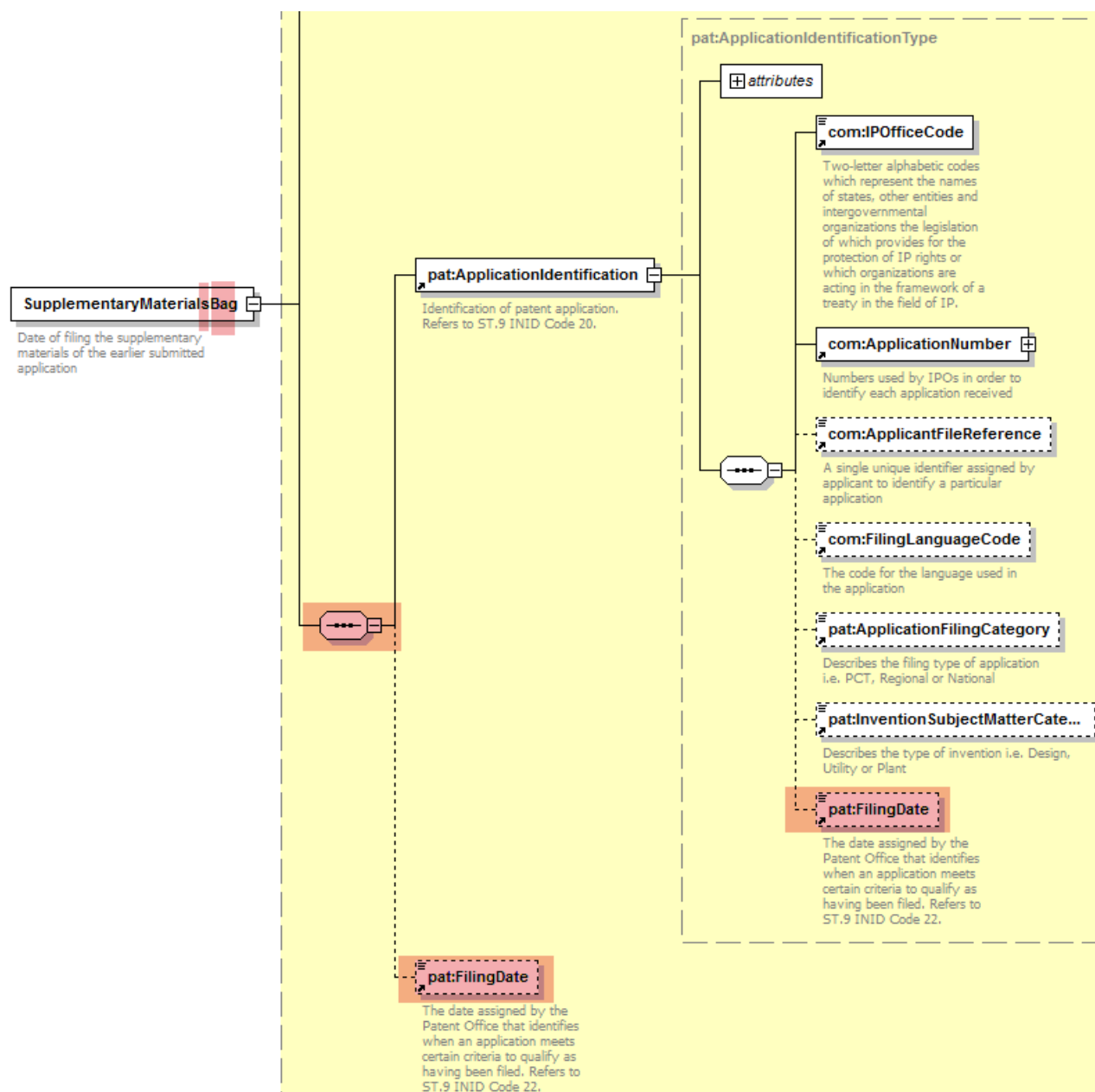
```

    <xsd:restriction base="xsd:string">
      <xsd:enumeration value="ApplicantSelected">
        <xsd:annotation>
          <xsd:documentation>
the figure of the drawings to be published with the abstract as suggested by the
applicant</xsd:documentation>
          </xsd:annotation>
        </xsd:enumeration>
      <xsd:enumeration value="ApplicantNotSelected">
        <xsd:annotation>
          <xsd:documentation>
the figure of the drawings to be published as selected by this Authority, because the
applicant failed to suggest a figure
</xsd:documentation>
          </xsd:annotation>
        </xsd:enumeration>
      <xsd:enumeration value="AuthoritySelected">
        <xsd:annotation>
          <xsd:documentation>
the figure of the drawings to be published with the abstract as selected by this
Authority, because this figure better characterizes the invention
</xsd:documentation>
          </xsd:annotation>
        </xsd:enumeration>
      <xsd:enumeration value="NotPublished">
        <xsd:annotation>
          <xsd:documentation>
none of the figures is to be published with the abstract
</xsd:documentation>
        </xsd:annotation>
      </xsd:enumeration>
    </xsd:restriction>

```

#### Pat: SupplementaryMaterialsBag

66. It was noted that ROSPATENT would analyze further and report back. It was also remarked that there is plural, "s", which may need to be removed and "Bag" indicates a collection, but there is only a single occurrence of pat:ApplicationIdentification and pat:FilingDate is duplicated.



### PCTInventionTitleApprovalIndicator

67. It was noted that Indicator of Yes, means kept as is, no change. If indicator is no, new title is proposed. Same for Abstract like invention title. It was agreed to change Pat:PCTInventionTitleApprovalIndicator to InventionTitleApprovalIndicator with the following updated description: "Indicate that the invention title is approved as submitted by the applicant."

PCTUseSubmittedAbstractIndicator

68. It was agreed to pat:PCTUseSubmittedAbstractIndicator to AbstractApprovalIndicator with following updated description "Indicate that the text of abstract is approved as submitted by the applicant."

Pat:SearchReportUnityOfInvention

69. It was agreed to change pat:SearchReportUnityOfInvention to pat:LackingInventionUnity. The following changes were also agreed: Remove pat:UnityDecisionCategory because it refers to item #3 on ISA210 form. If information is present, pat:LackingInventionUnity is populated.

- a. Change pat:LackOfUnityExplanation to pat:LackingUnityExplanation and change to mandatory.
- b. As to Box number 4: Change unbounded choice for pat:PCTunityLackProtestRemark, pat:PCTReviewFeeAmount, pat:PCTEarlierUnityLack, pat:PCTlimitedIndicator to Sequence.
- c. Change all components inside Pat.PCTAdditionalFeePartiallyPaidBag to mandatory.
- d. Change all components inside Pat.PCTAdditionalFeeNotPaidBag to mandatory.
- e. Remove PCT from all components name.
- f. Change pat:PCTUnityLackProtestRemark to ProtestRemarkCategory.ProtestRemarkCategoryType with 3 values.
  - i. Enumeration value: "Protest with fee payment" Description: The additional search fees were accompanied by the applicant's protest and, where applicable, the payment of a protest fee.
  - ii. Enumeration value: "Protest with late payment" Description: The additional search fees were accompanied by the applicant's protest but the applicable protest fee was not paid within the time limit specified in the invitation.
  - iii. Enumeration value: "No protest with additional search fee payment" Description: No protest accompanied the payment of additional search fees.

*Action item: PCT will review and confirm the draft enumeration values above.*

- g. Change pat:PCTReviewFeeAmount to pat:ReviewFeeAmount with the followingDescription: Review Fee Amount
- h. Change pat:PCTEarlierUnityLack to pat:LackingEarlierUnity with the followingDescription: Search Report earlier lack of unity
- i. Change pat:PCTLimitedIndicator to pat:LimitedIndicator.

*Action item: PCT to provide descriptions.*

RUFieldSearched

70. It was noted that JPO requested a lot of components related to IPC and it may not exist in the current version of the Search Report. ROSPATENT will evaluate version 3. The participants asked JPO to review the XML schemas again.

71. Due to the lack of time, there was no substantive discussion on this topic. However it was informed or noted that:

- a. PCT needs the ability to save draft version. Their collaborative search work and various ISA may update the search report.
- b. This is history of search fields.

- c. This is not in the XML schema yet.
- d. The WIKI has the latest proposal from ROSPATENT.
  - i. History of search by examiner is needed
  - ii. There are multiple database names and multiple query text.
  - iii. Number of documents found and viewed.
  - iv. Search Strategy and history...not all IP Offices may want to disclose this, but disclosure is up to each IP office.
  - v. Number should be quantity
  - vi. Description is needed.
  - vii. Elements name needs to be renamed.
  - viii. ROSPATENT will modify the current Report XSD.
  - ix. ApplicationIdentification
    - USPTO proposes to add FilingDivisionText. Freeformat number of division. Application number may be accompanied by department information. 10 digits number/2 digits code of the department. This is processing information.
    - Other 2 are related to search report. Issue ID:586
      - 1. Application kind category. Values are unknown.
      - 2. ApplicationNameText – further discussion is needed
- e. IPCClassification and NationalClassification
  - Add AdditionalInformationText (Multiple). ROSPATENT will check further.
  - It was noted that it may be possible to add to NationalClassification but not IPC Classification.

*Action Item: EPO and USPTO will review ST.13 to revise it.*

#### Contact:

72. ROSPATENT indicated that there are some missing elements, such as ST.36 has additional elements, id, role, orgname. ROSPATENT needs to value and provide the business case.

#### ReferenceCitation

73. ROSPATENT indicated that it was not be able to map completely to ST.36. The IB mentioned that it worked with EPO and USPTO to redesign Reference Citation for ST.96 based on ST.36 when ST.96 version 1.0 was prepared. Instead of one-to-one mapping between ST.36 and ST.96 citation reference, therefore, the IB proposed TF members to map their citation data to ST.96 format. ROSPATENT needs to identify the business case and then the XML schemas may be able to be updated at a later time.

*Action items: TF members to map their citation reference data to ST.96.*

#### Other items discussed

74. WIPO/PCT and EPO reminded the importance of taking into account the elements/attributes that are used in the International Search Report (ISR) and Written Opinion (WOSA) based on ST.36 and Annex F DTDs. WIPO/PCT reported that it has received the ISR/WOSA in ST.36-based XML format from EPO, KIPO and SIPO. However, those Offices use different flavors of ST.36 for Search Report because every IP Office includes different elements. WIPO/PCT hoped

that ST.96 will reduce differences and create a Search Report XML schema that represents the business data that meet the requirements of ePCT and IP Offices.

75. EPO stated that it would continue using ST.36 and does not have, for the time being, any plans to move to ST.96. It was informed that CIPO, USPTO, ROSPATENT, SPTO and IPA are currently providing ISR and WOSA in PDF format, but have plans to implement ST.96 for their national procedures. WIPO/PCT encouraged these ISAs to provide the ISR and WOSA in XML format. In this regard, WIPO/PCT mentioned that a pilot project can start with any interested International Searching Authority (ISA) in order to test ISR in ST.96 format as soon as a draft Search Report and Written Opinion schema is finalized. The participants agreed to consult with their respective business areas and provide feedback about future implementations.

*Action items:*

- *the IB to post a new draft version of the Search report schema on the Wiki for review and comment by the TF members*
- *USPTO to find out plans for ST.96 publication and when USPTO expects to receive or send PCT data in ST.96 format: to inform the IB of its plans.*

AGENDA ITEM 9: OTHER OPEN ISSUES FOR ST.96 VERSION 3.0

**Common**

Embedded binary images: [Issue/D-584](#)

76. WIPO/Madrid proposed to allow embedded binary images inside the XML considering ST.66 allows it. The TF Leader briefed the reason why ST.96 does not recommend embedded images and asked participants about their practices. It noted that all presented IP Offices are not including them in the XML. Therefore, it was agreed not to exclude images from XML and reaffirmed no need to change ST.96.

77. IPA asked if countries that are using ST.66 for MECA system in both directions are sending or receiving images embedded in the XML files. WIPO/Madrid responded that currently one member state, Mexico, provided the embedded image. IPA also asked about what WIPO/Madrid is doing with images not only for Trademarks but also for Patents and Designs. The IB responded that ST.67 is for Trademarks and reminded the participants of the previous discussion at the former SDWG and CWS regarding about recommendations on image for Patents and Industrial Designs.

78. Since ST.67 was adopted and some IPOs need recommendations on images for patents and industrial designs, the IB encouraged the participants to act on this matter. USPTO stated that it would get information about different possibilities of Patents images to provide Task Force members: Color and grey scale for Patents. USPTO will give information about Patents (grey scale and color). IPA mentioned that it would give information about Designs (3D).

*Action Item:*

- *USPTO to send request to the IB to work on standardization for Patent Color drawing and Greyscale drawing to be considered at the CWS/5.*
- *The IP Australia to send a letter to the IB to request for developing recommendations on design views.*

Removing "Other" from the enumeration value: [IssueID-590](#)

79. In ST.96, there are four ways to define the list of enumeration values for Category Types. 1. strict list, 2. strict list with the value "Other", 3. union of xsd:string/token and strict list, and 4. union of xsd:string/token and strict list with the value "Other". The IB proposed to find a single common solution for all category components.

80. ROSPATENT said that "Other" exists in ST.66 so when we transformed we may need other in ST.96. SPTO preferred option 3, union and strict value list. KIPO currently maps a value from other IPOs if it doesn't exist in its own list to "Other" value.

81. The participants reviewed pros and cons of each option. Finally, it was agreed to keep components without change and for the new category components, one of the following options will be selected when the need arise:

1. strict list, 2. strict list with the value "Other", 3. union of xsd:string/token and strict list, and
4. union of xsd:string/token and strict list with the value "Other".

82. It was also agreed to update the enumeration values during each or periodic release of ST.96.

DAS access code with priority data: [IssueID-598](#)

83. The participants noted that DAS access code is currently used for Patent only now, but there is plan to use this for Hague system per the WIPO/Hague.

84. It was agreed to update its com:DASAccessCode's description: "Access code provided by WIPO or Depositing Office to obtain the priority documents for an IP application through the WIPO Digital Access Service." It was agreed to add an optional element com:DASAccessCode to PriorityClaimType

```
<xsd:complexType name="PriorityClaimType">
  <xsd:sequence>
    <xsd:element ref="com:IPOfficeCode"/>
    <xsd:element ref="com:ApplicationNumber" minOccurs="0"/>
    <xsd:element ref="pat:FilingDate"/>
    <xsd:element ref="pat:IndicatedIPOfficeCode" minOccurs="0"
maxOccurs="unbounded"/>
    <xsd:element ref="pat:ApplicationFilingCategory" minOccurs="0"/>
    <xsd:choice minOccurs="0">
      <xsd:element ref="pat:RequestedPriorityDocumentIndicator"/>
      <xsd:element ref="pat:AttachedPriorityDocumentIndicator"/>
      <xsd:element ref="pat:OnlineAvailablePriorityDocumentIndicator"/>
      <xsd:element ref="com:DASAccessCode"/>
    </xsd:choice>
  </xsd:sequence>
  <xsd:attribute ref="com:id"/>
  <xsd:attribute ref="com:sequenceNumber" use="required"/>
</xsd:complexType>
```

New component: DASAccessCodeType

```
<xsd:simpleType name="DASAccessCodeType">
  <xsd:restriction base="xsd:string">
    <xsd:pattern value="[a-z,A-Z,0-9][a-z,A-Z,0-9][a-z,A-Z,0-9][a-z,A-Z,0-9]"/>
  </xsd:restriction>
</xsd:simpleType>
```



```

    </xsd:restriction>
  </xsd:simpleType>
</xsd:schema>

```

OCR Confidence Data:[Issue/D-600](#)

85. The participants agreed to allow OCRConfidenceData to exist in all the emphasis tags and vice versa.

- Common\S
- Common\SmallCapital
- Common\Sup
- Common\Sub
- Common\Sub2
  - Common\SubSup2Type (Sub2 uses SubSup2Type)
- Common\B
- Common\I
- Common\O
- Common\U
- Common\Ins
- Common\Del
- Common\PType
  - [Note: Common\LIType (no update needed since it extends PType)]
- Common\PhraseType
  - [Note: Common\HeadingType (no update needed since it extends PhraseType)]
  - [Note: Patent\InventionTitleType (no update needed since it extends PhraseType)]
- Common\Endnote
- Common\Footnote
- Common\DDType
- Common\IPOASISEntryType
- Patent\ClaimTextType

86. The participants also agreed:

- a. to add OCRConfidence data in com:PhraseType.
- b. to update ClaimReferenceType to extend PhraseType
- c. to add com:PhraseType to the following components
  - com:PatentCitationText
  - com:NPLCitationText
  - pat:ApplicantProvidedClaimNumberText
  - pat:ApplicantProvidedClaimStatusText

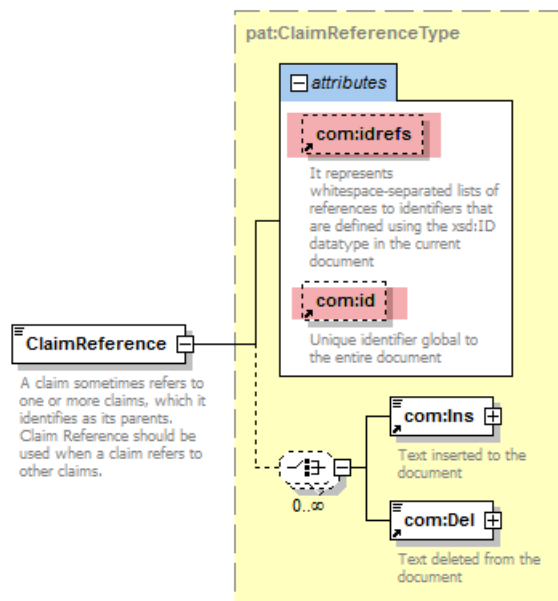
87. It was agreed to add com:InlineFormula to PType. It was also noted that it was not readily and immediately known whether an inline formula was chemical or mathematical in nature. It was noted that the following components are covered since they are already assigned to com:PhraseType.

- com:FigureReference
- com:CrossReference

- pat:ClaimStatement
- com:Heading
- com:InlineFormula

Action item: the IB to modify Annex I DRC, to allow Text based components to be assigned to PhraseType also.

88. It was discovered that the pat:ClaimReference in V2\_2 lacks the full complement of emphasis provided by com:PhraseType and the current structure is provided below. It was agreed to update ClaimReferenceType to extend com:PhraseType in order to have its emphasis tags and to contain the existing attributes



com:CrossReferenceCategoryType: [IssueID-602](#)

89. XML4IP TF suggests to USPTO, as a design methodology, to use CrossReference and add relevant values to crossReferenceCategory, when the need arises to support the identification of other business data and to support hyperlink capabilities in a software application for data such as patent number and publication number rather than adding them to PType directly.

Patent Transaction vs. Common Transaction: [IssueID-519](#)

90. No discussion on this issue was made at the meeting but the following was informed or noted.

Patent record: [IssueID-595](#), [IssueID-557](#)

91. The participants discussed the pending issue and noted/agreed the following items:

- PatentRecord should contain unbounded choice and each record may need to be specific rather than at an abstract level to support stronger validation and to be more in line with Trademark and Design records as noted by ROSPATENT.
- ROSPATENT prefers to have distinguished patent record components with appropriate structure and USPTO is in agreement.

- It was agreed to rename BibliographicData to PatentRecordBibliographicData.
- ROSPATENT needs ApplicationBody as optional
- Move pat:patentRecordStatusCategory to the same level as pat:PatentRecordIdentifier
- It was noted that SPTO uses ST.17 for legal status
- It was noted that ROSPATENT uses ST.17 in publication

*Action item: USPTO to update the XML schema to include all the components from ROSPATENT and UKIPO proposals as appropriate and resolve duplicate or similar patent records*

#### Licence Of Right: [IssueID-550](#)

92. ROSPATENT raised a question as to whether it should be in Bibliographic or Patent Record and said that it will provide further comments on IssueID-550. EPO also raised an issue whether it should be part of bibliographic data or Legal status as a discussion point. And EPO also raised the concern that ST.9 may need to be updated to capture additional data. EPO agreed to research further regarding ST.9 and Licence of Right. It was noted that participants need more information from UK IPO which proposed this.

*Action item: UKIPO to provide further information on the issue; ROSPATENT to provide its comment*

#### pat:ImplicitClaim and pat:ClaimsType: [IssueID-601](#)

93. The participants agreed to accept the ClaimNumberRange proposal as proposed by USPTO. It was agreed to not also add to ST.36 because this data is not present in publication.

94. It was agreed to remove pat:ImplicitClaim, but keep the ClaimNumberRange content model according to the proposal described on issue ID 601.

#### BibliographicDataType: [IssueID-604](#)

95. The UK IPO proposed to add the following new elements under BibliographicData in the next version of ST.96, V3\_0:

- TranslationDate,
  - It was also discussed that it may be the context of Application Body, translated for the applicant, or translated for search.
- SecurityReleaseDate, (this may be related to National Security)
- SearchReportDate,
- PatentRestorationIndicator,
- PatentCurrentStatus (values can't be agreed at this stage)

96. It was noted that further discussion is required in view that some bibliographic data maps to ST.96. It was also noted that ST.9 should be updated if components exist in ST.96 Bibliographic Data. The general decision was that ST.96 Bibliographic Data may cause ST.9 to be updated also. The participants asked UKIPO to provide descriptions; PCT to provide comments on IssueID-604.

*Action item: UKIPO to provide descriptions and PCT to provide comments*

### **Trademarks**

#### Madrid IB to Offices: [IssueID-538](#)

97. See agreement above.

Madrid Offices to the IB: [IssueID-539](#), [IssueID-580](#) ([IssueID-577](#))

98. See agreement above.

Other date: [IssueID-543](#)

99. Neither further discussion nor conclusion was made on this issue at the meeting.

### ***A new proposal from CIPO***

100. CIPO has a problem with the use of two languages (French and English). In Trademarks, tmk:UseRight: The option is to make tmk:UseRight multiple. CIPO has also proposed to fix the problem related with the change that can be in a Trademark filing with NICE classification upgrade GoodsServicesClassification; in ClassDescription, there is a ClassNumber not an element for version.

101. As to tmk:ClassDescriptionBag.ClassDescription, it was agreed to add com:ClassificationVersion as optional to tmk:ClassDescription before tmk:ClassNumber.

102. It was also agreed to make tmk:UseRight unbounded in TrademarkBag.Trademark. (Note: not UseRightBag considering impact to the existing structure and expect two occurrence max.)

### ***Designs***

OppositionBag vs CancellationBag: [IssueID-546](#)

103. There was no further discussion on this issue at the meeting.

Offices to WIPO: [IssueID-556](#).

104. It was agreed to close this issue.

tmk:Priority, dgn:Priority: [IssueID-603](#).

105. It was agreed to change com:PriorityApplicationFilingDate to mandatory; its description should be changed to "The priority claimed date" to make it clearer.

## **AGENDA ITEM 10: DISCUSSION ON WEB SERVICES FOR IP INFORMATION AND DOCUMENTATION**

106. Discussions were based on proposal made by EUIPO (see its slides in the TF Wiki) via WebEx and comments posted on the TF Wiki page at:

<https://www3.wipo.int/confluence/pages/viewpage.action?pageId=84377723>.

107. The participants exchanged information about the current practice and implementation of web services in their respective offices. The reported status of the participating Office are as follow:

### ***EUIPO***

- Has developed and implemented web services since 2007-2008
- EUIPO web services are widely used internally and by IP Offices (Trademark and Industrial Designs)
- Mainly SOAP based Web Services, offering published data in XML format based on ST.66 and ST.86 standards

- Authentication: only username and password. A check of the IP address is done for offices and known large applicants. The behavior of the usage is also monitored to prevent robots from flooding EUIPO web services with requests.
- EUIPO starts migrating its SOAP web services to REST
- For more details, see attached pptx 2016-10-19 EUIPO XML and Web Services
- EUIPO – plans to implement XML and JSON using the same exact name. Alexandre plans to use the exact same name as in XML and JSON. Would like to work on Copyright Orphan Works. Universities, libraries, and organizations provide data to Orphan Work system. Search engine used for website is Elastic Search, an open source tool. UKIPO and EUIPO is working on Orphan works project.

### **USPTO**

- Has started the development of web services in 2010
- Data is provided via web services in XML format based on ST.96 and JSON data structure. USPTO reported that it encountered several issues with the naming convention (ST.96 uses the Upper Camel Case but JSON uses Lower Camel Case) and other problems related to automatic conversion of unbounded elements.
- USPTO has decided to maintain a single vocabulary for XML and JSON and thus reuse the same element names in XML and JSON based on ST.96, except for casing, which may differ for JSON. USPTO may implement lowerCamelCase instead of UpperCamelCase for JSON.

### **CIPO**

- Plans to use the exact same name in XML and JSON also.

### **EPO**

- The person representing EPO mentioned only that the security issue is discussed by IP5 under One Portal Dossier project.
- From what I know, EPO has developed SOAP web services as part of esp@cenet project and is planning to develop REST web services as part of the new online filing system for national offices.

### **SPTO (Spanish Patent and Trademark Office)**

- Has developed REST web services as part of its new e-Office project.
- Providing trademark and Industrial designs data in XML format based on ST.96
- Allows applicants to pay fees online or to transmit fee data to SPTO

### **JPO (via the WIKI)**

- Gazette data is provided via web services. The data is in ST.36 format.
- The following example was provided:  
[https://www.publication.jpo.go.jp/ik\\_pub/changeLocale.action;jsessionId=4B91DCB6E14DE5C017DF180C69477A5D.jvm1](https://www.publication.jpo.go.jp/ik_pub/changeLocale.action;jsessionId=4B91DCB6E14DE5C017DF180C69477A5D.jvm1)

- JPO did not indicate whether the web services are SOAP or REST based and whether it has plan to develop new web services.

#### ***UPOV (via the WIKI)***

- Has developed REST web services to import new applications and to export data of filed applications
- Data is exchanged in XML format based on ST.96. Attachments are provided in PDF, JPG or PNG format
- WIPO authentication is used. Clients can access web services only if they are authenticated and authorized (<https://webaccess.wipo.int/EAFWebService>)
- UPOV can also deliver data in JSON format if needed.

#### ***PCT***

- PCT reported on the status of web services at PCT and the possibility for PCT to start, as soon as possible, a pilot project with any interested office. A demonstration of the Docx Converter was made through ePCT and shown as standalone application with available templates. Most of the participants liked the tool and made very positive comments. The participant from the Austrian Office showed more interest and asked whether this tool can be incorporated in the Austrian internal system. He was also interested in using the doc converter as a web service but he was not able to describe the purpose or the exact requirement of his office. PCT and the Austrian Office agreed to keep contact and continue the discussion in the coming weeks.

Note: PCT needs web services that are useful. PCT stated that official output could be XML. PCT fully supports RESTful.

108. It was noted that the following items for further consideration by TF members:

- Most of Offices are developing web services for their internal use and own customers.
- The technical environment used is mainly REST web services and data in XML or JSON format. The majority is opting for XML data based on ST.36, ST.66 or ST.86 standards; USPTO, SPTO and UPOV are providing XML data based on ST.96.
- At this stage, it was noted that none of the Offices is ready to provide or receive PCT data in ST.96 format
- Discussions about naming convention and other technical issues will continue through the WIKI
- PCT informed the participants that it is willing to start a pilot project with any interested office. None of the participants was able to confirm at the meeting whether there is a real need for their offices to get or provide PCT data through web services.
- EPO mentioned that the M2M project is under discussion with PCT and that could be a good start for Web services.

109. It was noted that the participating Offices, i.e. IP Austria, CIPO, UKIPO, EPO, PCT, ROSPATENT, SPTO, EUIPO, and USPTO, were interested in development of a standard for Web Services. Furthermore, the participants recommended the following items for further discussion on the new standard on Web Services:

- The scope of the standard needs to be defined.
- Single vocabulary is preferred
- Naming Convention should be the same for both XML and JSON
- Versioning of the web services
- The standard is to provide General Guidelines and to contain best practices
- The standard may include URI Naming Convention (perhaps all nouns, no verbs, etc...)
- Recommendation of which standards to follow for IP Data Exchange
  - ST.36, ST.66, ST.86, ST.96
- Address XML and JSON naming convention
- Best practices related to Authentication and Security
- Between SOAP and REST technology and to provide guidelines when to use one or the other.
- EPO indicated that IP 5 already addressed many of these concerns in Global Dossier project.
- Requirements will not be known until there is a need for data exchange between IP Partners and the scope of data exchange.

*Action item:*

- *EPO will share web services documents for Trilateral Data Exchange and One Portal Dossier.*
- *The XML4IP TF to continue to discuss the web services and to submit a proposal for consideration by the CWS.*

**AGENDA ITEM 11: EXCHANGE OF INFORMATION ON IPOS' ACTIVITIES AND PLAN RELATED TO XML**

Presentations are available on the TF Wiki at:

<https://www3.wipo.int/confluence/display/xml4iptf/XML4IP+TF+2016+Madrid+Meeting+-+Working+Documents>

**CIPO**

110. ISED/CIPO is live with dissemination of Patents in ST.36 and Industrial Designs in ST.86. Our Trademarks XML dissemination is relatively recent and we enabled this in ST.96. We have leveraged our Trademark ST.96 capabilities for Madrid E-Filing in collaboration with WIPO-IB. Testing of MeF is nearly complete. We collaborated with the taskforce to develop Madrid bi-direction transactions and Hague OfficeToIB in ST.96 and we will use these transactions in our implementations of Madrid and Hague. We are collaborating with the taskforce to develop Hague 110. IBToOffice and may also go live with this if it works within our legislative timeline - though our Hague timeline is already very tight. For National e-Commerce we plan to capture our national transactions using ST.96 structures tailored to our National needs. We hope to eventually have all product lines in ST.96 when the appropriate opportunity presents itself. We thank WIPO-IB, our taskforce leader, and our taskforce colleagues for their past and continued collaboration.

**KIPO**

111. KIPO made a presentation on its progress on ST.96 for data exchange and dissemination. To secure compatibility and consistency for data exchange and dissemination, KIPO has started to provide the general public as well as other IP offices with our IP data in ST.96 from 2013. Last year (2015), we have created Notice of reason for refusal, Decision to refuse application and Corrected gazettes into ST.96 format. In this year (2016), we are currently converting the bibliographic information on appeal and opposition and historical information on classifications for trademark and design into XML in ST.96. KIPO plans to construct IP databases (or data products) in ST.96 by 2017, for the purpose of data dissemination.

**ROSPATENT**

112. ROSPATENT made a presentation on the implementation of ST.96 in live and developing information systems. New electronic publication system will replace official paper gazette and will provide information on the web-site as well as in ST.96 XML format. A new electronic application module will allow the agencies of patent attorneys to create electronic applications using ST.96 XML. Both systems are at the final stage of development. The State Electronic Registers for Patents, Utility models and Industrial Designs are currently using ST.96. ROSPATENT also announced plans for the use of ST.96 for the exchange of information with WIPO under the Hague System.

**USPTO**

113. USPTO made a presentation on its progress on ST.96. Trademark is implementing ST.96 V2\_1 for the Trademark Status and Document Retrieval and is continuing to use the MECA DTDs until the ST.96 version is ready. USPTO has started to produce the MECA TRANEN in ST.96 to support the testing of ST.96, but due to other priorities, this effort is currently placed on hold. USPTO's main focus on the Patent side is to provide text to the examiner. USPTO is performing OCR of image based documents for Claims, Description, and Abstract to XML to support the examination. USPTO is also working on converting Office Actions in MS Word to XML. USPTO is also working on replacing the current electronic filing system, in which patent applications submitted in MS Word are converted to XML for Claims, Specification, and Abstract. This new system is planned to be fully completed toward the end of 2018. USPTO is also working on providing issued or published application data from the Public Patent Application Information Retrieval (PAIR) system in XML and JSON format which is expected to be completed toward the end of this year or early 2017.

**EUIPO**

*(See presentation available on the TF's WIKI page mentioned above)*

**AGENDA ITEM 12: OTHER MATTERS****[DOCX to ST.96 Conversion](#)**

114. Discussions were based on the documents and comments available on the TF Wiki at: <https://www3.wipo.int/confluence/display/xml4iptf/DOCX+to+ST.96+Conversion>.

115. In addition, WIPO/PCT made a short presentation on PCT service on this conversion. At WIPO PCT portal, there are several types of template in several languages. The document has a structure that must be respected; each section has a heading. The documents content description, claims, abstract and drawings. The document includes drawings, chemical formulas, tables, sections, subsections as defined in the example. The platform allows you to use the document in pdf format, MS Word format or even XML and even to attach other documents. When the platform detects several drawings, it must be specified which one will be published with the abstract. This is offered as an on-line service, is not a real Web Service.

**[Review of XML4IP TF 2016 Work Plan](#)**

116. The participants reviewed the Task Force's 2016 plan. According to the plan, ST.96 version 3.0 should be released in 2016. However, considering the remained works for version 3.0, they noted the plan should be modified.



117. The participants agreed to include the results of the meeting in the draft version 3.0 D3, in particular, Madrid bi-directional transactions, HagueOfficeToIB transactions and SPC bibliographic data.

118. It was agreed to continue to separately discuss the patent search report schema and HagueIBToOffice transactions and reflect them in the next draft, D4 and in D5 respectively. It was also agreed to include PatentRecord in the version 3.0. Depending on its development progress, PatentRecord will be added in D4 or D5.

119. Considering the development plan of CIPO and ROSPATENT in 2017, the participants noted that a draft schema of HagueIBToOffice should be completed by mid-December 2016 and the final draft schema should be approved by spring 2017. The IB hoped to publish version 3.0 in the first half of 2017.

120. It was agreed that ST.96 Version 3.0 D3 will be released once the meeting report has been approved.

#### ***Next TF meeting***

121. CIPO offered to host the Task Force meeting in 2017 and all participants noted it. Based on the Task Force Leader suggestion, the participants agreed that the next meeting would tentatively take place in autumn 2017.

#### **AGENDA ITEM 13: ADOPTION OF THE MEETING REPORT**

122. The participants agreed to discuss substantive items other than reviewing the draft report at the meeting and to approve the meeting report by electronic means.

#### **AGENDA ITEM 14: CLOSING OF THE SESSION**

123. The meeting was closed by the Task Force leader.

**ANNEX I: ADOPTED AGENDA**

1. Opening of the meeting
2. Welcome to Delegations
3. Adoption of the agenda
4. Progress report by the Task Force Leader
5. Review and conclusion on Madrid System components for bi-directions: Office to IB and IB to Office
6. Review and conclusion on Hague System components
7. Review and conclusion on SPC Bibliographic Data
8. Review and conclusion on Patent Search Report
9. Other open issues for ST.96 version 3.0
10. Discussion on Web Services for IP information and documentation
11. Exchange of information on IPOs' activities and plan related to XML (Participants are asked to provide their slides by Oct 7 if they wish to make a presentation at the meeting)
12. Other matters
13. Adoption of the meeting report
14. Closing of the session

**ANNEX II: PARTICIPANTS LIST**

Surname	First name	Office	Remark
Gerald	Schwarz	Austrian Patent Office	
Spero	Derek	CIPO	
Ha	Ngan-Hoa	IP Australia	
Ahn	Hye-Won	KIPO (KIPI)	
Son	Chang-Keun	KIPO (KIPI)	
Lee	Jumi	KIPO	
Fomenok	Denis	ROSPATENT (FIPS)	
Zontov	Yury	ROSPATENT (FIPS)	
Arredondo	Ana	SPTO	
Casado Fernández	Alberto	SPTO	
Carreras Durbán	María Rosa	SPTO	
Hernández Cuchí	Francisco Ricardo	SPTO	
Amengual	Rubén	SPTO	
Turmo	Carlos	SPTO	
Albert Garcia	Carlos	SPTO	
Auduong	Tyle	USPTO	
Tith	Narith	USPTO	
Ferreira	Fernando	EPO	
Yun	Young-Woo (Woody)	WIPO (IB)	
Holberton	Roger	WIPO/Madrid/Hague	
Aloui	Allal	WIPO/PCT	
Tran	Alexandre	EUIPO	Participated via WebEx
Daltrey	Julie	UK IPO	Participated via WebEx
OUELLETTE	Jean-Francois	WIPO/Hague	Participated via WebEx

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