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产权组织标准委员会（CWS）

第九届会议
2021 年 11 月 1 日至 5 日，日内瓦

关于修订产权组织标准 ST.37 的提案

国际局编拟的文件

导 言

1. 在产权组织标准委员会（CWS）第四届会议续会上，欧洲专利局（欧专局）被任命为权威文档工作队牵头人，负责管理该标准的任何必要修订工作。权威文档工作队对产权组织 ST.37 的修订属于第 44 号任务的范围，该任务的说明如下："确保对产权组织标准 ST.37 进行必要的修订和更新。"

2. 在 2017 年 5 月举行的第五届会议上，标准委员会通过了产权组织标准 ST.37"关于已公开专利文献权威文档的建议"。标准委员会分别在 2018 年 10 月、2019 年 7 月和 2020 年 11 月举行的第六届、第七届和第八届会议上，批准了对产权组织 ST.37 的进一步修订，包括增加了新的附件三（XML 架构）和附件四（XML DTD），并对 ST.37 的主体部分和附件进行了一系列细微修订。

3. 同样由欧专局牵头的《专利合作条约》（PCT）最低限度文献工作队，自标准委员会上届会议以来，于 2020 年 12 月和 2021 年 5 月召开了两次会议，审查产权组织 ST.37 能否用于帮助描述属于 PCT 最低限度文献的那些专利集和实用新型集的内容。在这两次会议上，PCT 最低限度文献工作队同意在其符合 ST.37 的权威文档中增加三栏，以显示其中每项公布号是否提供或缺少下列必要元素：

   – 可检索文本格式的全文；
   – 以可检索文本格式提供的原始摘要；以及
   – 以可检索文本格式提供的英文摘要。

4.　　PCT 最低限度文献工作队向权威文档工作队建议合作修订产权组织 ST.37，以便双方都能从增加三个新增指标中受益。虽然国际检索单位（ISA）和国际初步审查单位（IPEA）将强制纳入这些新指标，但建议在符合产权组织 ST.37 的权威文档中将其作为可选项。

对产权组织标准 ST.37 的拟议修订

5.　　在第 51 号任务的框架内，权威文档工作队根据 PCT 最低限度文献工作队提交的提案，提交了关于修订产权组织标准 ST.37 的最终提案，供标准委员会审议并酌情批准。本文件附件一至三列出了修订内容，黄色高亮部分表示增加了新内容，紫色高亮部分表示删除。本文件附件一转录了产权组织标准 ST.37，其中高亮标出了修订部分，本文件附件二转录了 ST.37 附件三的附录，其中高亮标出了修订部分，本文件附件三转录了 ST.37 附件四的附录。

6.　　建议用下列修正对产权组织标准 ST.37 的主体部分作出修订：

（a）增加新的第 8 段，以表明建议通过纳入说明哪些部分可进行文本检索的信息，与 PCT 最低限度文献保持一致。

（b）对第 10 段（原第 9 段）进行编辑，对三个新增指标作出定义，作为新的第 10 段（d）项：

"（d）　　通过选择以下代码之一，标明公布的摘要、说明书、权利要求书是否提供可检索文本：

- "N"——不提供
- "U"——未知
- 所提供可检索文本（要么为原文，要么作为正式译文）的双字母语言代码"；

（c）对第 12 段（原第 11 段）的结尾进行编辑，加入以下新句子：

"PCT 国际检索单位（ISA）和国际初步审查单位（IPEA）或希望其公布内容被纳入 PCT 最低限度文献集的知识产权局，将第 10 段（d）项中定义的元素视为必须纳入的内容。"

（d）为第 12 段增加脚注，明确 PCT 最低限度文献集的定义：

"见产权组织《工业产权信息与文献手册》第 4.2 部分。"；

（e）加入新的第 21 段，说明在权威文档中应使用的语言代码；

（f）增加新的第 32 段和第 33 段，内容如下：

"以可检索文本格式提供公布内容

32.　公布的摘要、说明书和/或权利要求书是否以可检索文本格式提供，可以在权威文档中使用适当代码加以说明。对于 ISA 和 IPEA 或希望其公布内容被纳入 PCT 最低限度文献集的知识产权局，则必须在其权威文档中纳入该信息。

33.　公布的各部分内容是否以可检索文本格式提供，必须在权威文档中用代码"N"表示不提供，或"U"表示未知（可用性），或双字母语言代码表示主管局提供的相应语言（要么为原文，要么作为正式译文）。"；

（g）对第 37 段（原第 32 段）进行编辑，增加以下句子：

"（f）描述表明以可检索格式提供已公布专利说明书部分的代码。"

（h） 主体部分所有的"权威文档（英文首字母大写）"都改为"权威文档（英文首字母小写）"；以及

（i） 对第 10 段（a）项进行编辑，以重新表述对该例的说明。

7. 建议用下列修正对产权组织标准 ST.37 的附件作出修订：

（a） 附件一（定义文档）：表明知识产权局应在其定义文档中提供关于以机器可读格式提供摘要、权利要求书和说明书的信息；

（b） 附件二（TXT 文件）：针对 ISA/IPEA 和并非 ISA 的知识产权局，就如何在以 TXT 文件提供权威文档数据时提供关于以机器可读格式提供摘要、权利要求书和说明书的信息作出建议；

（c） 附件三（XML 架构）及其附录：在 XML 架构中界定了额外的组件，以便获取关于以机器可读格式提供摘要、权利要求书和说明书的信息；以及

（d） 附件四（XML DTD）及其附录：在 XML 架构中界定了额外的组件，以便获取关于以机器可读格式提供摘要、权利要求书和说明书的信息。

8. 本文件附件是产权组织标准 ST.37 的拟议修订，供标准委员会审议。

9. 请标准委员会：

（a） 注意本文件及其附件的内容；

（b） 审议并批准上文第 4 段至第 8 段和本文件附件中所述产权组织标准 ST.37 的拟议修订。

[后接附件（产权组织标准 ST.37 的拟议修订）]

STANDARD ST.37

RECOMMENDATION FOR AN AUTHORITY FILE OF PUBLISHED PATENT DOCUMENTS

Version 2.2~~1~~

Proposal presented by the Authority File Task Force for consideration and approval at the CWS/9 ~~Revision approved by the Committee on WIPO Standards (CWS) at its eighth session on December 4, 2020~~

STANDARD ST.37

RECOMMENDATION FOR AN AUTHORITY FILE OF PUBLISHED PATENT DOCUMENTS

Version 2.2~~1~~

Proposal presented by the Authority File Task Force for consideration and approval at the CWS/9 ~~Revision approved by the Committee on WIPO Standards (CWS) at its eighth session on December 4~~

INTRODUCTION

1.   This Standard defines data elements to constitute an authority file of patent documents, as well as its structure and format.

2.   The primary purpose of the authority file generated by an industrial property office (IPO) is to allow other IPOs and other interested parties to assess the completeness of the available patent documentation.

3.   In order to allow consistency checks, the authority file should contain the list of all publication numbers assigned by the IP office. This may include publication numbers for which no published document is available – this can be the case for applications withdrawn shortly before the publication or for destroyed documents – as well as publication numbers for which the publication contains only bibliographic data.

DEFINITIONS

4.   For the purposes of this Standard:

(a)   the term "patent documents" includes patents for inventions, plant patents, design patents, inventors' certificates, utility certificates, utility models, patents of addition, inventors' certificates of addition, utility certificates of addition, and published applications therefor. "Documents" means patent documents, unless otherwise stated;

(b)   the terms "publication" and "published" are used in the sense of making available:

(i)   a patent document to the public for inspection or supplying a copy on request; and

(ii)   multiple copies of a patent document produced on, or by, any medium (e.g., paper, film, magnetic tape or disc, optical disc, online database, computer network, etc.); and

(c)   according to certain national industrial property laws or regulations or regional or international industrial property conventions or treaties, the same patent application may be published at various procedural stages. For the purpose of this standard, a "publication level" is defined as the level corresponding to a procedural stage at which normally a document is published under a given national industrial property law or under a regional or international industrial property convention or treaty.

REFERENCES

5.   References to the following Standards are of relevance to this Recommendation:

WIPO Standard ST.1	Recommendation Concerning the Minimum Data Elements Required to Uniquely Identify a Patent Document
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.6	Recommendation for the Numbering of Published Patent Documents
WIPO Standard ST.10/C	Presentation of Bibliographic Data Components
WIPO Standard ST.16	Recommended Standard Code for the Identification of Different Kinds of Patent Documents
WIPO Standard ST.36	Recommendation for the Processing of Patent Information Using XML (eXtensible Markup Language)

WIPO Standard ST.96   Recommendation for the Processing of Intellectual Property Information Using XML (eXtensible Markup Language)

RECOMMENDATIONS

6. An authority file is generated by the IPO and contains a list of all patent documents published by that IPO from the first publication onwards. It should also include document numbers which were allocated but for which no published document is available (see paragraphs 2424 to 2727 below).

7. For practical reasons, an authority file may not include documents published during a certain period (not longer than two months) before the date when the authority file was generated by the IPO. This period depends on the document processing practices of the Office and, should an IPO submit a definition file as laid down in paragraphs 3838 and 3939 below, then it is recommended to indicate there the date of the publication of the latest document listed in the authority file.

8. For alignment with the requirements of the Patent Cooperation Treaty (PCT) Minimum Documentation, information on which sections of the publication are text-searchable must be provided in an authority file (see paragraphs 13, 33 and 34 below).

DATA ELEMENTS

9. For each publication, the authority file should contain the following minimum data elements to uniquely identify all types of patent documents as originally published by the IPO:

    (a) two-letter alphabetic code of the IPO publishing the document (publication authority);

    (b) publication number;

    (c) kind code of the patent document (kind-of-document code); and

    (d) publication date.

10. In addition to the elements listed above, the authority file may contain the following data elements:

    (a) publication exception code (to indicate, for example for example to identify withdrawn or missing documents);

    (b) priority application identification of the corresponding publication, which should contain the following sub-elements:

       i. two-letter alphabetic code of the IPO publishing the priority application;

       ii. priority application number;

       iii. kind-of-document code of the priority application; and

       iv. filing date of the priority application.

    (c) application identification of the corresponding publication, which should contain the following sub-elements:

       i. two-letter alphabetic code of the IPO publishing the application;

       ii. application number; and

       iii. filing date.

    (d) indication of whether the abstract, description, claims of a publication are text-searchable, through selection of one of the following codes:

       • "N" – Not available

       • "U" – Unknown

       • two-letter language code(s) in which the searchable text is available, either in the original language or as an official translation

11. Publication exception code (as per paragraph 10(a)9(a) above) should be always included for the documents, for which the complete publication in machine-readable form is not available (see paragraphs 2424 to 2727 below). Otherwise, the data element "publication exception code" should not be populated.

12. The provision of the optional data elements indicated in paragraphs 10(b)9(b) and 10(c)9(c) above remains within the discretion of the IPO generating the authority file. The elements defined in paragraph 10(d) are considered mandatory

for inclusion by the International Searching Authorities (ISAs) and the International Preliminary Examining Authorities (IPEA) of the PCT, or those IPOs wishing their publications to be included within the PCT Minimum Documentation set[1].

13.   The list of documents in the authority file should be sorted firstly by publication number, secondly by type of document (kind code), thirdly by publication date and (optionally) fourthly by publication exception code and fifthly by priority number.

14.   For the cases where a publication number has been allocated but no document has been published, data elements "kind code" and "publication date" may not be populated.

Field formatting

15.   All elements and sub-elements listed in paragraphs 98 and 109 above must be recorded in separate fields.

16.   Examples of text format and XML file structures are provided in Annexes II to IV.

Publication Aauthority

17.   The two-letter alphabetic code for the publication authority – country or region of the IPO generating the authority file – should follow recommendations of WIPO Standard ST.3.

Publication Nnumber

18.   Any non-alphanumeric characters – for example, those used as separators, such as dots, commas, dashes, slashes, spaces – should preferably be removed from the publication number, while generally the publication number should be following the recommendations of WIPO Standard ST.6.

Kind Ccode

19.   Different kinds of patent documents should be identified following the recommendations of WIPO Standard ST.16. If the IPO uses kind-of-document codes which do not follow the recommendations of WIPO Standard ST.16, the definitions of such codes should be provided in the definition file (see paragraphs 3838 and 3939 below).

20.   If no kind of patent document code was allocated or it is unknown, the corresponding data element "kind code" may not be populated.

Language code
21.   The two-letter code which identifiesfor the language that the text is provided in should follow the recommendations of WIPO Standard ST.96, ExtendedISOLanguageCodeType, which is based on International Standard ISO 639-1 "Codes for the representation of names of languages – Part 1: Alpha2-code";

Publication date

22.   The publication date should be presented in accordance with paragraph 7(a) of WIPO Standard ST.2. For example, '20170602' for 'June 2, 2017'.

23.   If the publication date is unknown to the IPO generating the authority file, the corresponding data element "publication date" may not be populated.

Publication exception code

24.   The publication exception code should be used for publication numbers for which the complete publication is not available in machine-readable form.

25.   The following single–alphabetic letter codes should be used to indicate the reason why the complete published document, for which the corresponding number is assigned, is not available:

C	Defective documents.
D	Documents deleted after the publication.
E	Publication number allocated by the IPO representing a PCT national/regional phase entry (for example Euro-PCT). No corresponding document published. A Euro-PCT application is an international (PCT) patent application that entered the European regional phase.
M	Missing published documents.
N	Not used publication number, for example, when publication numbers have been issued, but for some reason have not been allocated to any publication. See also paragraph 2626 below.

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[1] See Part 4.1 of the WIPO Handbook on Industrial Property Information and Documentation

P	Documents available on paper only.
R	Reissued publications.
U	Unknown publication numbers, for example, when during compilation of the authority file certain publication numbers have been found in the database, but the corresponding documents are missing without known cause. Typically this code can indicate a database error that requires further analysis.
W	Applications (or patents), which were withdrawn before the publication; this can include lapsed or ceased patents and might depend on national patent law regulations.
X	Code available for individual or provisional use by an IPO.

26.   It is recommended to list only the numbers assigned by the IPO, but in case of small gaps in the numbering sequence (less than 1000 consecutive publication numbers), the IPO may use the publication exception code "N" to identify the numbers, which were not used.

27.   The use of codes "N", "W" and "X" should be described in the definition file (see paragraphs 3838 and 3939 below).

Priority application identification

28.   The recommendations for data elements, as indicated in paragraphs 1716 to 2223 above, should be applied mutatis mutandis to all sub-elements of "priority application identification" element.

29.   Priority application numbers should be indicated in accordance with paragraphs 12 and 13 of WIPO Standard ST.10/C.

Application Identification

30.   The recommendations for data elements, as indicated in paragraphs 17 to 2323 above, should be applied mutatis mutandis to all sub-elements of "application identification" element.

31.   Application numbers should be provided in the same format as it appeared on the original patent publication issued by the IPO. If the IPO uses application number formats in the aAuthority fFile that are different from those used on the original publication, an explanation of the format should be provided in the definition file.

Availability of a publication in a text-searchable format

32.   The availability of the abstract, description and/or, claims of a publication in a text-searchable format may be indicated in the authority file using the appropriate codes. In the case of the ISA and IPEA, or IPOs who wish to have their publications as part of the PCT Minimum Documentation set, the inclusion of this information in their authority files is mandatory.

33.   The availability in text-searchable format of each section of a publication must be identified in the authority file with a code "N" for Not available, or a "U" for Unknown (availability) or the two-letter language code(s) for each corresponding language made available by the Office either as the original language or an official translation.

RECOMMENDED STRUCTURE AND FORMAT OF THE AUTHORITY FILE

34.   It is recommended to provide a single file for all publication numbers listed in the authority file.

35.   If generating a single file proves impractical due to the resulting file size, the IPO may generate several files, dividing the list of publication numbers based on one of the following criteria:

      (a)   Publication date (file per year or several years);

      (b)   Publication level (applications, granted IP rights); and

      (c)   Types of patent documents (file per kind-of-document code).

36.   To improve file handling, IPO may generate an update file which includes data for the current year and the last calendar year and a static file including all older data.

Definition File

37.   If some of the records included in the authority file contain information, which is not evident or easily understandable, it is recommended to provide a definition file in addition to the authority file. For example, in the definition file the IPO may:

      (a)   describe specific criteria for building the authority file(s);

      (b)   describe the use of publication exception codes, in particular codes "N", "W" or "X";

(c)   describe the use of kind-of-documents codes (see paragraph 18 above) or provide a reference to Part 7.3 of the WIPO Handbook if up-to-date information on kind-of-documents codes is already described in Part 7.3 of the WIPO Handbook;

(d)   indicate the date of the most recent document listed (see paragraph 7̶7̶ above); and

(e)   describe the numbering systems used or provide a reference to Parts 7.2.6 and 7.2.7 of the WIPO Handbook if up-to-date information on the numbering systems used is already described in Parts 7.2.6 and 7.2.7 of the WIPO Handbook; and

(f)   describe the codes used to indicate the availability of sections of the publication in text-searchable format.

38.   To assist other IPOs and interested parties in a first assessment of the completeness of the available patent documentation, the definition file may also include an overview of the data coverage, for example indicate the number of publications per year by kind code or by publication level. Annex I contains an example of a definition file to assist IPOs in drafting their definition files.

File Format

39.   The file must be encoded using Unicode UTF-8.

40.   With the aim to harmonize, as much as possible, the current practices to exchange and parsing of authority files, two file formats are recommended:

(a)   XML (eXtensible Markup Language) format – to identify the content of data fields of an authority file (see paragraphs 9̶8̶ and 10̶9̶ above) using XML tags within an instance, either in an XML schema (as defined in Annex III) or a Document Type Definition (DTD) (see Annex IV) format; and

(b)   Text format (file extension TXT) – to identify the content of minimum data fields and the optional publication exception code element using a single text coded list, where the elements are separated by commas (preferred), tabs or semicolons and a "Carriage Return and Line Feed" (CRLF character) to represent the end of each record (as defined in Annex II). Text files are smaller in size than XML files.

41.   XML is the preferred format for the purpose of this Standard, as it provides clear data element contents and allows automatic validation of its structure and type. IPOs may use text format for simple authority files, which contain minimum data elements (as per paragraph 9̶8̶ above) and, if applicable, publication exception code only; the content of each data field should be obvious.

File name

42.   The name of the authority file generated by an IPO should be structured as follows:

(a)   for a single file (see paragraph 35̶30̶ above) – CC_AF_YYYYMMDD, where "CC" is the ST.3 code of the IPO, "AF" means "authority file" and "YYYYMMDD" – date of the generation of the authority file.

For example,
EP_AF_20160327 – single authority file generated by the EPO on March 27, 2016; and

(b)   for each one of multiple files (see paragraph 36̶31̶ above) CC_AF_{criterion information}_KofN_YYYYMMDD, where "CC" is the ST.3 code of the IPO, "AF" means "authority file", {criterion information} is a place-holder and K is the index number of this file, N is the total number of files generated and "YYYYMMDD" – date of the generation of the authority file.

For example,
- EP_AF_A-documents_1of2_20160327 – first of two parts of the authority file generated by the EPO on March 27, 2016, this part covers applications only;
- EP_AF_B-documents_2of2_20160327 – second of two parts of the authority file generated by the EPO on March 27, 2016, this part covers granted patents only.

(c)   for the instance where multiple files are provided, and each covers a different time period, please refer to the table below for an example of recommended file naming:

CC_AF_gazetteNNXXXX_YYYYMMDD.ff	contains the authority file for publication NNXXXX where NN is the week number, XXXX is the year and ff is the file format (XML or TXT)
CC_AF_yearXXXX_YYYYMMDD.ff	contains the authority file for the year XXXX
CC_AF_YYYYMMDD.ff	contains the authority file with file format ff
CC_AF.zip	A zipped file which contains the three files above

IMPLEMENTATION OF THE AUTHORITY FILE

43.   In order to ensure efficiency of the data exchange, authority files in XML format must be structured according to the XML schema (XSD) or the data type definition (DTD) file as specified in Annex III and Annex IV, respectively.

44.   The update frequency for the authority file should be at least annual. The date the annual update should be provided by IPOs is March 1 each year.

45.   It is recommended that IPOs generate and make available authority files covering all assigned document numbers, no later than two months after the last covered publication date. For example, an authority file with data coverage until the end of 2017 should be made available before March 1, 2018.

46.   If an error is discovered in an authority file, a replacement file should be provided by the IPO as soon as possible.

[Annex I of ST.37 follows]

ANNEX I

EXAMPLE OF A DEFINITION FILE

Version 2.2~~1~~

DEFINITION FILE FOR XX AUTHORITY FILE

This definition file relates to the following authority file: XX_AF_20170322

<u>Date of production</u>

2017-03-22

<u>Data coverage</u>

Public XX documents from 1974-01-01 to 2016-12-31.

The XX authority file lists all XX patent and XX utility model publications

Coverage according to document type and kind-of-document code (see <u>Part 7.3 of the WIPO Handbook</u> for details on kind codes):

Type	Kind Code	Total
Patent Application	A1	125.568
Patent Application	A2	96.430
Patent Granted	B1	144.879
Utility Model Application	U	24.332
Utility Model Examined	Y1	18.445

A detailed (annual) data-coverage can be found online at http://www.XX-office.org/coverage.

<u>Used options</u>

- Application information is provided where available
- Priority data not included
- <mark>Availability of abstract, description and claims of the publication</mark> in text-searchable format is provided
- Publication Exception Codes used are the following:

Publication Exception Code	Definition
D	Documents deleted after the publication.
E	PCT applications which have not been republished
M	Missing published documents
R	Reissued publications
U	Unknown publication numbers
X	Bibliographic details of filed patent applications, as announced in the Gazette published by the office
W	Applications (or patents), which were withdrawn before the publication

<u>Remark:</u>

R – Reissued publication
Before 2001-01-01 correction requests from applicants and proprietors at the XX office were registered and executed, but not recorded in necessary electronic formats. Therefore these so-called reissued publications are only available with bibliographic data but not as published documents.

<u>Numbering Formats:</u>

For details on the numbering systems used by XX office see the corresponding entries in Parts <u>7.2.6</u> and <u>7.2.7</u> of the WIPO Handbook.

[Annex II of ST.37 follows]

ANNEX II

TEXT FILE (TXT)

Version 2.2~~1~~

1.   The authority file text structure lists the minimum data elements, the optional publication exception code element, and the optional text-searchable abstract, description and claims indication code elements (see paragraphs 9 and 10) for each publication record in one line, separated by a comma (preferred), tab or semicolon and a "Carriage Return and Line Feed" (CRLF character) to represent the end of each record.

2.   Data structure: <publication authority>,<publication number>,<kind-of-document code>,<publication date>,<publication exception code>,<searchable abstract code (language codes or N or U)>, <searchable description code (language codes or N or U)>, <searchable claims code (language codes or N or U)> <CRLF>.

3.   The codes "N" and "U" in the elements <searchable description code>, <searchable claims code> <searchable abstract code> mean "Not available" and "Unknown", respectively. The codes "language code", "N" and "U" are represented as a suffix of the corresponding element of the publication using one of the following options, following by a dash:

    i.   ABST - Abstract
    ii.   DESC - Description
    iii.   CLMS - Claims

If there are multiple languages available for these elements, the language indications must be separated by spaces instead of the separator referred to in paragraph 1 above. For example: ABST-en ABST-de ABST-fr, DESC-N, CLMS-N

4.   This first example illustrates an authority file, produced by an ISA or those IPOs wishing their publications to be included within the PCT Minimum Documentation set, represented using a TXT structure where the data elements are separated by a comma:

    ...
    EP,2363052,A1,20110907,W, ABST-U, DESC-U, CLMS-U <CRLF>
    EP,2363053,A2,20110907,M, ABST-en, DESC-N, DESC-N<CRLF>
    EP,2540632,A1,20130102,P, ABST-N, DESC-N, CLMS-N<CRLF>
    EP,2540632,B1,20151202, , ABST-en ABST-fr ABST-de, DESC-en, CLMS-en<CRLF>

5.   This second example illustrates an authority file, for those IPOs which do not wish their publications to be included in the PCT Minimum Documentation set, again represented using a TXT structure with comma separators:

    …

    UA,1,C2,1993-04-30 <CRLF>
    UA,1,U,1995-06-30 <CRLF>
    UA,2,C2,1993-04-30 <CRLF>
    UA,2,U,1995-06-30 <CRLF>
    UA,3,C2,1993-04-30 <CRLF>

[Annex III of ST.37 follows]

ANNEX III

XML SCHEMA DEFINITION (XSD) FOR AUTHORITY FILE

Version 23̶2.2̶01

Editorial Note by the International Bureau:

Annex III of WIPO Standard ST.37 is the set of XML schema components to represent the minimum and extended data elements of an Authority File of patent documents issued by a Patent Office. Annex III is based on WIPO Standard ST.96, including the naming convention used to identify the names of the specific data components for Authority File. Annex III includes an Appendix which is a sample XML instance of an Authority File structured according to the XML schema, according to WIPO ST.96 V4_0.

```
<? xml version="1.0" encoding="UTF-8"?>
<xsd:schema xmlns:xsd="http://www.w3.org/2001/XMLSchema"
xmlns:afp="http://www.wipo.int/standards/XMLSchema/AFPatent"
xmlns:com="http://www.wipo.int/standards/XMLSchema/ST96/Common"
xmlns:pat="http://www.wipo.int/standards/XMLSchema/ST96/Patent"
targetNamespace="http://www.wipo.int/standards/XMLSchema/AFPatent"
elementFormDefault="qualified" attributeFormDefault="qualified" version="V2_2̶1">
    <xsd:import namespace="http://www.wipo.int/standards/XMLSchema/ST96/Patent"
schemaLocation="http://www.wipo.int/standards/XMLSchema/AFPatent/V2_1/ST96_Patent_V4_0.xsd"
/>
    <xsd:import namespace="http://www.wipo.int/standards/XMLSchema/ST96/Common"
schemaLocation="http://www.wipo.int/standards/XMLSchema/AFPatent/V2_1/ST96_Common_V4_0.xsd"
/>
    <xsd:annotation>
        <xsd:appinfo>
            <com:SchemaLastModifiedDate>2021-07-01</com:SchemaLastModifiedDate>
            <com:SchemaContactPoint>xml.standards@wipo.int</com:SchemaContactPoint>

    <com:SchemaReleaseNoteURL>http://www.wipo.int/standards/XMLSchema/AFPatent/V2_2̶1/Relea
seNotes.pdf</com:SchemaReleaseNoteURL>
        </xsd:appinfo>
    </xsd:annotation>
    <xsd:element name="PatentAuthorityFile" type="afp:PatentAuthorityFileType">
        <xsd:annotation>
            <xsd:documentation>Authority file for patent documents provided by patent
offices according to WIPO Standard ST.37</xsd:documentation>
        </xsd:annotation>
    </xsd:element>
    <xsd:element name="AuthorityFileDataCoverage"
type="afp:AuthorityFileDataCoverageType">
        <xsd:annotation>
            <xsd:documentation>List of patent documents published by industrial
property offices grouped according to their ST.16 kind-of-document codes for a given date
range</xsd:documentation>
        </xsd:annotation>
    </xsd:element>
    <xsd:complexType name="AuthorityFileDataCoverageType">
        <xsd:sequence>
            <xsd:element ref="com:PublicationDateRange"/>
            <xsd:element ref="afp:PublicationNumberRange" minOccurs="0"/>
            <xsd:element ref="afp:KindCodeCoverageBag" minOccurs="0"/>
            <xsd:element ref="afp:ExceptionCodeCoverageBag" minOccurs="0"/>
            <xsd:element ref="com:DataCoverageURI" minOccurs="0"/>
        </xsd:sequence>
    </xsd:complexType>
    <xsd:element name="AuthorityFileDefinition" type="afp:AuthorityFileDefinitionType">
```

```xml
        <xsd:annotation>
                <xsd:documentation>Provide definition file information relating to this
associated authority file, including file coverage</xsd:documentation>
        </xsd:annotation>
    </xsd:element>
    <xsd:complexType name="AuthorityFileDefinitionType">
            <xsd:choice maxOccurs="unbounded">
                <xsd:element ref="afp:ExceptionCodeDefinitionBag"/>
                <xsd:element ref="pat:PatentDocumentKindCodeDefinitionBag"/>
                <xsd:element ref="com:MostRecentDocument"/>
                <xsd:element ref="afp:AuthorityFileDataCoverage"/>
                <xsd:element ref="com:CommentText"/>
                <xsd:element ref="com:DocumentLocationURI"/>
            </xsd:choice>
            <xsd:attribute ref="com:id"/>
            <xsd:attribute ref="afp:groupedAFIndicator" use="required"/>
            <xsd:attribute ref="afp:groupAFCategory"/>
            <xsd:attribute ref="com:updateAFCategory" use="required"/>
    </xsd:complexType>
    <xsd:element name="AuthorityFileEntry" type="afp:AuthorityFileEntryType">
            <xsd:annotation>
                <xsd:documentation>An authority file entry consists of data required to
uniquely identify a patent publication according to WIPO ST.37</xsd:documentation>
            </xsd:annotation>
    </xsd:element>
    <xsd:element name="SearchableDescriptionCode" type="afp:TextSearchableCodeType">
            <xsd:annotation>
                <xsd:documentation>A code which indicates the language of the description
if a text-searchable description is available, or otherwise the code values N (not
available) or U (unknown) </xsd:documentation>
            </xsd:annotation>
    </xsd:element>
    <xsd:complexType name="TextSearchableCodeType">
            <xsd:choice>
                <xsd:element ref="afp:NotSearchableCode"/>
                <xsd:element ref="afp:SearchableLanguageCode" minOccurs="1"
maxOccurs="unbounded"/>
            </xsd:choice>
            <xsd:attribute ref="com:id"/>
    </xsd:complexType>
    <xsd:element name="NotSearchableCode" type="afp:NotSearchableCodeType">
            <xsd:annotation>
                <xsd:documentation>Where the text is not available, the indicator is the
code N if the information is not available or the code U if it is unknown whether this
information is available</xsd:documentation>
            </xsd:annotation>
    </xsd:element>
    <xsd:element name="SearchableLanguageCode" type="com:ISOLanguageCodeType">
            <xsd:annotation>
                <xsd:documentation> A two-letter language code indicates, for searchable
text, the language made available by the Office either as the original language or an
official language</xsd:documentation>
            </xsd:annotation>
    </xsd:element>
    <xsd:element name="SearchableClaimsCode" type="afp:TextSearchableCodeType">
            <xsd:annotation>
                <xsd:documentation>A code which indicates the language of the claims if a
text-searchable claims is available, or otherwise the code values N (not available) or U
(unknown) </xsd:documentation>
            </xsd:annotation>
    </xsd:element>
    <xsd:element name="SearchableAbstractCode" type="afp:TextSearchableCodeType">
            <xsd:annotation>
                <xsd:documentation>A code which indicates the language of the abstract if a
text-searchable abstract is available, or otherwise the code values N (not available) or U
(unknown) as defined in WIPO ST.37 </xsd:documentation>
            </xsd:annotation>
    </xsd:element>
    <xsd:simpleType name="NotSearchableCodeType">
            <xsd:restriction base="xsd:token">
```

```
                    <xsd:enumeration value="N">
                        <xsd:annotation>
                            <xsd:documentation>Not available</xsd:documentation>
                        </xsd:annotation>
                    </xsd:enumeration>
                    <xsd:enumeration value="U">
                        <xsd:annotation>
                            <xsd:documentation>Unknown if available</xsd:documentation>
                        </xsd:annotation>
                    </xsd:enumeration>
                </xsd:restriction>
        </xsd:simpleType>
    <xsd:complexType name="AuthorityFileEntryType">
            <xsd:sequence>
                <xsd:element ref="pat:PatentPublicationIdentification"/>
                <xsd:element ref="afp:ExceptionCode" minOccurs="0"/>
                <xsd:element ref="pat:ApplicationIdentification" minOccurs="0"/>
                <xsd:element ref="pat:PriorityApplicationIdentificationBag" minOccurs="0"/>
                <xsd:element ref="afp:SearchableAbstractCode" minOccurs="0" maxOccurs="1"/>

                <xsd:element ref="afp:SearchableDescriptionCode" minOccurs="0"
maxOccurs="1"/>
                <xsd:element ref="afp:SearchableClaimsCode" minOccurs="0" maxOccurs="1"/>
            </xsd:sequence>
            <xsd:attribute ref="com:id"/>
    </xsd:complexType>
    <xsd:complexType name="PatentAuthorityFileType">
            <xsd:sequence>
                <xsd:element ref="afp:AuthorityFileDefinition" minOccurs="0"/>
                <xsd:element ref="afp:AuthorityFileEntry" maxOccurs="unbounded"/>
            </xsd:sequence>
            <xsd:attribute ref="com:id"/>
            <xsd:attribute ref="com:officeCode" use="required"/>
            <xsd:attribute ref="com:creationDate"/>
            <xsd:attribute ref="afp:st37Version" use="required"/>
            <xsd:attribute ref="com:ipoVersion"/>
    </xsd:complexType>
    <xsd:attribute name="groupedAFIndicator" type="xsd:boolean">
            <xsd:annotation>
                <xsd:documentation>Indicates that the authority file has been grouped, or
not, according to one of the defined categories</xsd:documentation>
            </xsd:annotation>
    </xsd:attribute>
    <xsd:element name="ExceptionCode" type="afp:ExceptionCodeType">
            <xsd:annotation>
                <xsd:documentation>Exception code as indicated in WIPO
ST.37</xsd:documentation>
            </xsd:annotation>
    </xsd:element>
    <xsd:element name="ExceptionCodeCoverage" type="afp:ExceptionCodeCoverageType">
            <xsd:annotation>
                <xsd:documentation>Data coverage summary by exception code including total
quantity of documents</xsd:documentation>
            </xsd:annotation>
    </xsd:element>
    <xsd:complexType name="ExceptionCodeCoverageType">
            <xsd:sequence>
                <xsd:element ref="afp:ExceptionCode"/>
                <xsd:element ref="com:DocumentTotalQuantity"/>
            </xsd:sequence>
    </xsd:complexType>
    <xsd:element name="ExceptionCodeCoverageBag" type="afp:ExceptionCodeCoverageBagType">
            <xsd:annotation>
                <xsd:documentation>Collection of data coverage summary by exception
code</xsd:documentation>
            </xsd:annotation>
    </xsd:element>
    <xsd:complexType name="ExceptionCodeCoverageBagType">
            <xsd:sequence maxOccurs="unbounded">
                <xsd:element ref="afp:ExceptionCodeCoverage"/>
            </xsd:sequence>
```

```xml
        </xsd:complexType>
        <xsd:element name="ExceptionCodeDefinition" type="afp:ExceptionCodeDefinitionType">
            <xsd:annotation>
                <xsd:documentation>A set of Exception codes, particularly the codes N, W
and X, and their descriptions as defined by the IP Office, which are different from
definitions in WIPO ST.37</xsd:documentation>
            </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="ExceptionCodeDefinitionType">
            <xsd:sequence>
                <xsd:element ref="afp:ExceptionCode"/>
                <xsd:element ref="afp:ExceptionCodeDescriptionText"/>
            </xsd:sequence>
        </xsd:complexType>
        <xsd:element name="ExceptionCodeDescriptionText" type="xsd:string">
            <xsd:annotation>
                <xsd:documentation>A different or specific description of an exception
code, which an IP Office uses in their authority file</xsd:documentation>
            </xsd:annotation>
        </xsd:element>
        <xsd:element name="ExceptionCodeDefinitionBag"
type="afp:ExceptionCodeDefinitionBagType">
            <xsd:annotation>
                <xsd:documentation>List of exception codes that have a different or
specific definition in use by the IP Office rather than the definitions of exception codes
defined in WIPO ST.37</xsd:documentation>
            </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="ExceptionCodeDefinitionBagType">
            <xsd:sequence maxOccurs="unbounded">
                <xsd:element ref="afp:ExceptionCodeDefinition"/>
            </xsd:sequence>
        </xsd:complexType>
        <xsd:simpleType name="ExceptionCodeType">
            <xsd:restriction base="xsd:token">
                <xsd:enumeration value="C">
                    <xsd:annotation>
                        <xsd:documentation>Defective publication
documents</xsd:documentation>
                    </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="D">
                    <xsd:annotation>
                        <xsd:documentation>The document was deleted after the
publication</xsd:documentation>
                    </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="E">
                    <xsd:annotation>
                        <xsd:documentation>Publication number allocated by the IPO
representing a PCT national/regional phase entry (for example Euro-PCT). No corresponding
document published. A Euro-PCT application is an international (PCT) patent application
that entered the European regional phase</xsd:documentation>
                    </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="M">
                    <xsd:annotation>
                        <xsd:documentation>Published document is
missing</xsd:documentation>
                    </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="N">
                    <xsd:annotation>
                        <xsd:documentation>This code is for Office internal-use and the
code description for 'N' must be provided using ExceptionCodeDefinition, for instance in
the IP Office's Authority Definition File</xsd:documentation>
                    </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="P">
                    <xsd:annotation>
```

```xml
                                <xsd:documentation>Document available only on
paper</xsd:documentation>
                        </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="R">
                        <xsd:annotation>
                                <xsd:documentation>Reissued publication</xsd:documentation>
                        </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="U">
                        <xsd:annotation>
                                <xsd:documentation>Unknown publication number, for example,
when during compilation of the authority file one or a list of publication number(s) has
been found in the database, but the corresponding document(s) is(are) missing without known
cause. Typically this code can indicatecould be a database error that requires further
analysis</xsd:documentation>
                        </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="W">
                        <xsd:annotation>
                                <xsd:documentation>This code is for Office internal-use and the
code description for 'W' must be provided using ExceptionCodeDefinition, for instance in
the IP Office's Authority Definition File</xsd:documentation>
                        </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="X">
                        <xsd:annotation>
                                <xsd:documentation>The use of code 'X' must be described in the
IP Office's Authority Definition File</xsd:documentation>
                        </xsd:annotation>
                </xsd:enumeration>
        </xsd:restriction>
    </xsd:simpleType>
    <xsd:attribute name="groupAFCategory" type="afp:GroupCategoryType">
        <xsd:annotation>
                <xsd:documentation>Identifies how the authority files has been grouped
i.e., by date, publication-level or document-kind code</xsd:documentation>
        </xsd:annotation>
    </xsd:attribute>
    <xsd:simpleType name="GroupCategoryType">
        <xsd:restriction base="xsd:token">
                <xsd:enumeration value="date">
                        <xsd:annotation>
                                <xsd:documentation>Date</xsd:documentation>
                        </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="publication-level">
                        <xsd:annotation>
                                <xsd:documentation>Publication level</xsd:documentation>
                        </xsd:annotation>
                </xsd:enumeration>
                <xsd:enumeration value="document-kind">
                        <xsd:annotation>
                                <xsd:documentation>Document kind</xsd:documentation>
                        </xsd:annotation>
                </xsd:enumeration>
        </xsd:restriction>
    </xsd:simpleType>
    <xsd:element name="KindCodeCoverage" type="afp:KindCodeCoverageType">
        <xsd:annotation>
                <xsd:documentation>Data coverage summary by kind code including document
total quantity</xsd:documentation>
        </xsd:annotation>
    </xsd:element>
    <xsd:complexType name="KindCodeCoverageType">
        <xsd:sequence>
                <xsd:element ref="com:PatentDocumentKindCode"/>
                <xsd:element ref="com:DocumentTotalQuantity"/>
        </xsd:sequence>
    </xsd:complexType>
    <xsd:element name="KindCodeCoverageBag" type="afp:KindCodeCoverageBagType">
```

```
                    <xsd:annotation>
                            <xsd:documentation>Collection of data coverage summary by kind
code</xsd:documentation>
                    </xsd:annotation>
            </xsd:element>
            <xsd:complexType name="KindCodeCoverageBagType">
                    <xsd:sequence maxOccurs="unbounded">
                            <xsd:element ref="afp:KindCodeCoverage"/>
                    </xsd:sequence>
            </xsd:complexType>
            <xsd:element name="PublicationNumberRange" type="afp:PublicationNumberRangeType">
                    <xsd:annotation>
                            <xsd:documentation>A range of patent publication numbers which are included
within this authority file</xsd:documentation>
                    </xsd:annotation>
            </xsd:element>
            <xsd:complexType name="PublicationNumberRangeType">
                    <xsd:sequence>
                            <xsd:element ref="pat:BeginRangeNumber"/>
                            <xsd:element ref="pat:EndRangeNumber"/>
                    </xsd:sequence>
            </xsd:complexType>
            <xsd:attribute name="st37Version" type="xsd:token" fixed="V2_21">
                    <xsd:annotation>
                            <xsd:documentation>A specific release version of ST.37 XML
Schema</xsd:documentation>
                    </xsd:annotation>
            </xsd:attribute>
</xsd:schema>
```

[Appendix of ST.37 Annex III follows]

APPENDIX

Editorial Note by the International Bureau:

The Appendix to Annex III of ST.37 can be found in Annex II of the present document.

[Annex IV of ST.37 follows]

ANNEX IV

DOCUMENT TYPE DEFINITION (DTD) FOR AUTHORITY FILE

Version 2.2

Proposal presented by the Authority File Task Force for consideration and approval at the CWS/9 ~~Revision approved by the Committee on WIPO Standards (CWS) at its seventh session on July 5, 2019~~

Editorial Note by the International Bureau:

Annex IV of WIPO Standard ST.37 is the set of XML DTD components to represent the minimum and extended data elements of an Authority File of patent documents issued by a Patent Office. Annex IV is based on WIPO Standard ST.36, including the naming convention used to identify the names of the specific data components for Authority File. Annex IV includes an Appendix which is a sample XML instance of an Authority File structured according to the XML DTD.

```
<?xml version='1.0' encoding='UTF-8' ?>
<!--Annex IV of WIPO Authority File Standard ST.37, XML Data Type Definition (DTD) for
Authority Files

This entity may be identified by the PUBLIC identifier:
**********************************************************************************
*
PUBLIC "-//WIPO//XSD AUTHORITY FILE 2.2.1//EN" "AuthorityFile_V2_2_1.dtd"
**********************************************************************************
*

**********************************************************************************
*
** 2021-08-24: draft proposal revision of the main body, annexes and appendixes of ST.37
for alignment with the PCT Minimum Documentation requirements:
* (i) added elements: <searchable-abstract-code?>, <searchable-description-code?>,
<searchable-claims-code?>
* (ii) added attributes @code to be used with <not-searchable-indicator>, referenced by
elements listed in (i)
* (iii) added element <searcheable-language-code>, referenced by the elements listed in (i)
* (iii) changed values of grouped-af-indicator to 'true' and 'false' which are true boolean
values
*
* 2019-07-02: Revision of Annex IV was approved by the Committee on WIPO Standards (CWS) at
its seventh session comprising:
* (i) group-category renamed grouped-af-indicator and is now a list of values 'yes' and
'no'
* (ii) backup-category renamed update-af-category
* (iii) additional-comment renamed comment-text
*
* 2018-10-19: Revision of Annex IV was approved by the Committee on WIPO Standards (CWS) at
its sixth session.
* *********************************************************

* PUBLIC DTD URL

* http://www.wipo.int/standards/dtd/ST37PatentAuthorityFile_V2_2.dtd

**********************************************************************************


**********************************************************************************
* CONTACTS
**********************************************************************************
xml.standards@wipo.int

Date first draft created: 2018-09-19
Date last modified: 2021-08 -24
```

```
-->
<!ELEMENT authority-file (authority-file-definition? , authority-file-entry+)>

<!ATTLIST authority-file  country       CDATA  #REQUIRED
                          date-produced CDATA  #REQUIRED >
<!ELEMENT authority-file-definition (exception-code-list | document-kind-code-list | most-
recent-document | data-coverage | comment-text | document-location-uri)+>


 <!ATTLIST authority-file-definition  grouped-af-indicator  (yes | no )  #REQUIRED
                                      group-af-category (date |
                                                         publication-level |
                                                         document-kind )  #IMPLIED
                                      update-af-category (full |
                                                          incremental |
                                                          differential )  #REQUIRED >


<!ELEMENT document-location-uri (#PCDATA)>

<!ELEMENT exception-code-list (exception-code-definition)+>

<!ELEMENT exception-code-definition (exception-code, exception-code-description)>

<!ELEMENT exception-code-description (#PCDATA)>

<!--Publication exception code; single-alphabetic letter code to indicate the reason why
the complete published document, for which the corresponding number is assigned, is not
available:
    C=Defective documents;
    D= Documents deleted after the publication;
    E=Publication number allocated by the IPO representing a PCT national/regional phase
entry (for example Euro-PCT). No corresponding document published.  A Euro-PCT application
is an international (PCT) patent application that entered the European regional phase;
    M=Missing published documents;
    N=Not used publication number: e.g. publication numbers have been issued, but finally
have not been allocated to any publication;
    P=Document available on paper only;
    R=Reissued publications;
    U=Unknown publication numbers: e.g. when during compilation of the authority file
certain publication number(s) has been found in the database, but the corresponding
document(s) is(are) missing without known cause. Typically this code can indicate a
database error that requires further analysis;
    W=Applications (or patents) which were withdrawn before the publication;
        this can include lapsed or ceased patents and might depend on national patent law
regulations;
    X=Code available for individual or provisional use by an IPO;
-->

<!ELEMENT exception-code (#PCDATA)>
<!--
<!ATTLIST exception-code  (C |
                                                 D |
                                                 E |
                                                 M |
                                                 N |
                                                 P |
                                                 R |
                                                 U |
                                                 W |
                                                 X )  #IMPLIED >
-->
<!ELEMENT document-kind-code-list (document-kind-code-definition)+>

<!ELEMENT document-kind-code-definition (kind, document-kind-code-description)+>

<!ELEMENT document-kind-code-description (#PCDATA)>

<!ELEMENT most-recent-document EMPTY>

<!ATTLIST most-recent-document  publication-number CDATA  #REQUIRED
                                publication-date   CDATA  #REQUIRED >
```

```
<!ELEMENT data-coverage (publication-date-range? , publication-number-range? , kind-code-
coverage? , exception-code-coverage? , data-coverage-uri?)>

<!ELEMENT publication-date-range EMPTY>

<!ATTLIST publication-date-range  start-date CDATA #REQUIRED
                                  end-date   CDATA #REQUIRED >
<!ELEMENT publication-number-range EMPTY>

<!ATTLIST publication-number-range  begin-range-number CDATA #REQUIRED
                                    end-range-number CDATA #REQUIRED >
<!ELEMENT kind-code-coverage (kind, document-total-quantity)*>

<!ELEMENT document-total-quantity (#PCDATA)>

<!ELEMENT exception-code-coverage (exception-code, document-total-quantity)*>

<!ELEMENT data-coverage-uri (#PCDATA)>


<!ELEMENT authority-file-entry (publication-reference , exception-code? , application-
reference? , priority-claims?, searchable-abstract-code?, searchable-description-code?,
searchable-claims-code?)>

<!ELEMENT publication-reference (document-id)>

<!-- document-id tag as defined in ST.36 -->
<!ELEMENT document-id (country , doc-number , kind? , date?)>

<!--Two-letter alphabetic codes which represent the names of states, other entities
and intergovernmental organizations the legislation of which provides for the protection of
IP rights or which organizations are acting in the framework of a treaty in the field of
IP. e.g. "XX".
Always in upper case.-->
<!ELEMENT country (#PCDATA)>

<!--Doc-number: The number of the referenced patent (or application) document-->
<!ELEMENT doc-number (#PCDATA)>

<!--Document kind code; e.g., A1 (WIPO ST.16)-->
<!ELEMENT kind (#PCDATA)>

<!--Date: components of a date. Format: YYYYMMDD (WIPO ST.2)-->
<!ELEMENT date (#PCDATA)>


<!--Application reference information: application number, country.
In case of a filing reference, the kind code is empty and the date refers to the filing
date.
-->
<!ELEMENT application-reference (country , doc-number , filing-date?)>

<!--Filing Date: components of a date. Format: YYYYMMDD (WIPO ST.2)-->
<!ELEMENT filing-date (#PCDATA)>

<!--Priority application identification (priority-claim)-->
<!ELEMENT priority-claims (priority-claim+)>

<!ELEMENT priority-claim (country , doc-number , kind , date)>

<!ATTLIST priority-claim  sequence          CDATA #REQUIRED
                          priority-claim-kind (national | regional | international )
#REQUIRED >

<!-- 1/07/2019 - Add CWS/7/17 for alignment with XSD <!ELEMENT additional-comment
(#PCDATA)>-->
<!ELEMENT comment-text (#PCDATA)>

<!-- Series of two-letter language codes that indicate, for searchable description,
abstract and claim text, the language made available by the Office either as the original
```

language or an official translation or alternatively 'N' if this text is not searchable or 'U' if it is unknown whether this text is searchable and the language it is available in →

```
<!ELEMENT searchable-abstract-code (not-searchable-code | searchable-language-code+)>

<!ELEMENT searchable-description-code (not-searchable-code| searchable-language-code+)>

<!ELEMENT searchable-claims-code (not-searchable-code | searchable-language-code+)>


<!ELEMENT not-searchable-code EMPTY >

<!-- N means the information is not available and U indicates that it is unknown whether
this information is available or not-->
<!ATTLIST not-searchable-code code (N | U) #REQUIRED>

<!-- WIPO ST.96 language code, e.g., en, de, ja, etc.-->
<!ELEMENT searchable-language-code (#PCDATA)>
```

[Appendix to ST.37 Annex IV follows]

APPENDIX

Editorial Note by the International Bureau:

The Appendix to Annex IV of ST.37 can be found in Annex III of this document.

[End of Annex IV and of Standard]

[Annexes II (Appendix to ST.37 Annex III) and III (Appendix to ST.37 Annex IV) to this document follow]