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Committee on WIPO Standards (CWS)

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PROPOSAL FOR A NEW WIPO STANDARD ON THE DATA PACKAGE FORMAT FOR THE ELECTRONIC EXCHANGE OF PRIORITY DOCUMENTS

Document prepared by the Digital Transformation Task Force Leader

SUMMARY

1. The Digital Transformation Task Force presents a proposal for a new WIPO standard on the data package format for the electronic exchange of priority documents, for consideration and adoption at the twelfth session of the Committee on WIPO Standards (CWS).

BACKGROUND

- 2. At its tenth session, the CWS established Task No. 65, considering a proposal by the fifteenth session of the Patent Cooperation Treaty (PCT) Working Group. The PCT Working Group proposed that the CWS develop a new WIPO standard to enable the transmission of a sequence listing in WIPO Standard ST.26 format as part of a priority document. This Task was assigned to the Digital Transformation Task Force and the description of the Task reads as follows:
 - "To prepare a proposal for recommendations on the data package format for the electronic exchange of priority documents and certified copies for patents, marks and industrial designs."
- 3. At its eleventh session, the CWS noted a proposed draft standard and the naming of the draft standard as "WIPO Standard ST.92 Recommendations on the data package format for the electronic exchange of priority documents and certified copies", which were presented by the Digital Transformation Task Force. However, the CWS considered that further work on the draft standard was needed before adoption. In addition, several delegations expressed concern about the proposed implementation plan, based on a "sunset period", which may not give

Intellectual Property Offices (IPOs) an adequate time for implementation of the new Standard (see paragraphs 102 to 109 of document CWS/11/28).

- 4. The Digital Transformation Task Force in undertaking this Task has met online monthly since the last session of the CWS and conducted discussions on the Task Force wiki space. Further engagement by Task Force participants resulted in an improved draft standard which addresses previous concerns including:
 - (a) extending the implementation period to account for the IT systems upgrades that would be required;
 - (b) clarifying the scope which priority documents are mandatory or supplementary; and
 - (c) confirming that that the manner in which priority documents are certified by IPOs is outside the scope of the Standard.

Further details on these Task Force preparatory activities are available in document CWS/12/13.

PROPOSAL FOR A NEW STANDARD

- 5. Prior to the introduction of the WIPO Standard ST.26, IPOs were only able to transmit patent priority documents in PDF format. Since WIPO ST.26 came into force on July 1, 2022, IPOs have not agreed on the means to transmit sequence listings which were provided in WIPO ST.26 format. Several solutions have been found since WIPO ST.26 came into force, including the use of stylesheets to render the XML instance in a human-readable version, such as PDF. IPOs are seeking a means to transmit priority documents which include a sequence listing, in its original format, when requested.
- 6. The proposed draft standard, which is reproduced as Annexes to the present document, recommends a data package format for the electronic exchange of priority documents independent of the means of transmission, herein after referred to as the Priority Document Data Package (PDDP).

Objectives

- 7. This Standard aims to provide recommendations on the PDDP format for the electronic exchange of priority documents and other related documents according to:
 - Article 4D(3) of the Paris Convention for the Protection of Industrial Property, which
 allows countries of the Union to require any person making a declaration of priority to
 produce a copy of the industrial property application previously filed, certified as correct
 by the authority which received such application; and
 - The agreed understanding by the Assemblies of the Paris Union and the PCT Union in 2004¹ indicates that it is for the competent authority furnishing the priority document to determine what constitutes certification of a priority document and the date of filing, and how it will certify such a document.

¹ See paragraph 9 of document A/40/6

- 8. This proposed Standard is intended to define the PDDP format and structure, identifies which contents are mandatory for the package, and specifies the naming conventions for files included in the package. The main objectives of this Standard are to:
 - Allow the efficient standardized exchange of priority documents and other related documents related to patent, trademark and industrial design applications;
 - Support machine-to-machine communication of these priority documents and enable further automated processing of those documents; and
 - Improve processing of documents by exchanging structured text formats such as sequence listings included in patent documents in XML format of WIPO Standard ST.26, and application body and bibliographic data in the formats of WIPO Standards ST.36, ST.96 and ST.97.

Scope

- 9. The proposed Standard is neutral in reference to the transmission mode used for exchange. Rather it defines the type of data and file formats to be included in the package, the structure of this package and naming conventions. Other than the components which are indicated as mandatory according to the recommendations, the providing Office determines what is to be included within this data package.
- 10. At this stage, the Standard provides details only for the exchange of patent priority documents although future revisions of this Standard, once adopted, will be expanded to trademark and industrial design priority documents.
- 11. The proposed Standard is structured as follows:
 - Main Body: defines the data package structure and naming conventions;
 - Annex I XML schema definition (XSD) for priority document Index XML files;
 - Appendix to Annex I example XML instance for PDDP index file;
 - Annex II PPDP structure examples: provides a mock-up of a sample priority document data package in table format;
 - Appendix to Annex II Annex II reproduced in an alternative tree format;
 - Annex III example of hashing of PDDP sent directly to applicants to ensure the integrity and non-repudiation of the package.
- 12. The Main Body of the proposed Standard is included as Annex I to the present document. The Index file XSD is included as Annex II and the example XML instance for the PDDP index file is included as Annex III to the present document.
- 13. The following name for the new WIPO Standard is proposed:
 - "WIPO Standard ST.92 Recommendations on the data package format for the electronic exchange of priority documents"

IMPLEMENTATION OF THE NEW WIPO STANDARD

14. Once the CWS has adopted the proposed new WIPO standard, IPOs should consider their implementation plans for the Standard. The Task Force Leader and the International Bureau propose an incremental approach with a 'sunset period' concluded by July 1, 2027, allowing each IPO to complete implementation of the new Standard at its own pace. Offices may also wish to wait for recommendations on trademark and industrial design priority documents before implementing the new Standard, which will be presented at the next session of the CWS.

15. The International Bureau plans to update the WIPO Digital Access Service (DAS), to accept and provide priority documents compliant with the new Standard. The timeline for completion of this update will likely require six months. The update will enable WIPO DAS to accept and provide priority documents compliant with the new Standard, in parallel with the current format, until the end of the transition period on June 30, 2027. From the July 1, 2027, WIPO DAS plans to accept and provide priority documents only compliant with this Standard. Further technical details on the implementation of the proposed Standard in WIPO DAS should be discussed separately among the Offices of WIPO DAS.

PROPOSAL FOR THE REVISION OF TASK NO. 65

16. Once the proposed new standard on the priority document data package has been adopted by the CWS, Task No. 65 could be considered complete partly. The Task Force will commence collaboration on implementation of the Standard. Concurrently, the Task Force will revise the Standard to incorporate recommendations on trademark and industrial design priority documents. In implementing the new Standard, furthermore, IPOs may require some improvements to be made to WIPO Standard ST.92. Therefore, it is proposed that the description of Task No. 65 be revised as follows:

"Ensure the necessary revisions and updates of WIPO Standard ST.92 and support IP offices for their implementation of the Standard before July 1, 2027."

17. The CWS is invited to:

- (a) note the content of this document and Annexes to the present document;
- (b) consider and approve the revision of the name of the proposed Standard "WIPO Standard ST.92", as indicated in paragraph 13 above;
- (c) consider and adopt the new WIPO Standard ST.92 as described in paragraphs 5 to 12 above and reproduced in Annexes to the present document;
- (d) consider and agree on the implementation plan as described in paragraphs 14 and 15 above; and
- (e) consider and approve the revision of Task No. 65, as indicated in paragraph 16 above.

[Annex I follows]

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STANDARD ST.92

RECOMMENDATIONS ON THE DATA PACKAGE FORMAT FOR THE ELECTRONIC EXCHANGE OF PRIORITY DOCUMENTS

<u>Draft.</u> Version 1.0

Proposal presented by the Digital Transformation Task Force for consideration and adoption by the Committee on WIPO Standards (CWS) at its twelfth session

Editorial Note prepared by the International Bureau Recommendations on trademark and industrial design priority document exchange will be covered in a future update to this Standard

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STANDARD ST.92

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INTRODUCTION

- 1. This Standard defines the data package format for the electronic exchange of priority documents. It is recommended that intellectual property offices (IPOs) furnish any data package of priority documents compliant with this Standard and accept the priority documents which are furnished by another IPO according to this Standard. Article 4D(3) of the Paris Convention for the Protection of Industrial Property allows countries of the Union to require any person making a declaration of priority to produce a copy of the industrial property application previously filed, certified as correct by the authority which received such application. Article 4D(3) further provides that countries of the Paris Union may require that the copy of the application be accompanied by a certificate from the same authority showing the date of filing.
- 2. The agreed understanding by the Assemblies of the Paris Union and the Patent Cooperation Treaty (PCT) Union in 2004 indicates that it is for the competent authority furnishing the priority document to determine what constitutes certification of a priority document and the date of filing, and how it will certify such a document. At the same time, there is a need to ensure that an IPO that receives electronically furnished priority documents can read and use those documents efficiently.
- 3. The purpose of this Standard is to allow for the efficient and standardized exchange of priority documents and other relevant documents. This Standard is to support machine-to-machine communication of these priority documents and enable further automated processing of those documents. This Standard is also to improve processing of documents by exchanging structured text formats such as sequence listings in XML format of WIPO Standard ST.26, and application body and bibliographic data in the formats of WIPO Standards ST.36, ST.96 or ST.97.

SCOPE OF THE STANDARD

4. This Standard guides IPOs on how to package priority document data related to a patent application, ready for exchange preferably using machine-to-machine communication. The Standard is neutral in reference to the transmission mode used for exchange, rather it defines the type of data and file formats to be included in the package, the structure of this package and naming conventions. It should be noted that additional accompanying files might be necessary to support the transmission of the priority document data package, which are considered outside the scope of this Standard.

DEFINITIONS AND TERMINOLOGY

- 5. For the purpose of this Standard, the expression:
 - "priority document" means a copy of a previously filed patent application to which priority is claimed, certified as
 correct by the authority in which the application was filed, and including a certificate from that authority that shows
 the date of filing. The certification page may be provided as a separate PDF.
 - "certification page" means the certification issued by the authority and shows the date of filing.
 - "patent" includes such industrial property rights as patents for inventions, plant patents, design patents, inventor's certificates, utility certificates, utility models, patents of addition, inventor's certificates of addition and utility certificates of addition.
 - "providing Office" means the authority that issued the priority document.
 - $\,-\,$ "recipient Office" means the office of second filing or office of subsequent filing.
 - "schema" means XML Schema Definition (XSD) as defined in Annex I of this Standard.
 - "ZIP" means an archived file format specified in ISO/IEC 213201:2015, and a ZIP file may contain one or more files
 or directories that may have been compressed.

¹ See paragraph 9 of document <u>A/40/6</u>

- 6. For the purpose of this Standard, the word(s):
 - "may" refers to an optional or permissible approach, but not a requirement.
 - "must" refers to a requirement of the Standard; disregard of the requirement will result in noncompliance.
 - "must not" refers to a prohibition of the Standard.
 - "should" refers to a strongly encouraged approach, but not a requirement.
 - "should not" refers to a strongly discouraged approach, but not a prohibition.
- 7. The following notations are used throughout this document:
 - <>: Indicates a placeholder descriptive term that, in implementation, will be replaced with a specific instance value.
 - " ": Indicates that the text included in quotes must be used verbatim in implementation.
 - { }: Indicates that the items are optional in implementation.

ISO Standard ISO/EIC <u>10118-1:2016</u>

- Courier font: Indicates filenames, folder names, XML keywords, XML tag names and XML codes.

REFERENCES

8. References to the following Standards and resources are of relevance to this Standard:

WIPO Standard <u>ST.2</u>	Standard manner for designating calendar dates by using Gregorian calendar.
WIPO Standard <u>ST.3</u>	Two-letter codes for the representation of states, other entities and intergovernmental organizations.
WIPO Standard ST.25	Presentation of nucleotide and amino acid sequence listings
WIPO Standard <u>ST.26</u>	Presentation of nucleotide and amino acid sequence listings using XML (eXtensible Markup Language)
WIPO Standard <u>ST.36</u>	Processing of Patent documents using XML (eXtensible Markup Language)
WIPO Standard <u>ST.96</u>	Processing of intellectual property information using XML (eXtensible Markup Language)
WIPO Standard ST.97	Processing of intellectual property data using JSON
ISO Standard ISO/EIC <u>21320-1:2015</u>	Information Technology - Document Container File (ref: File zipping)

Hash functions (ref: File hashing)

REQUIREMENTS OF THE PRIORITY DOCUMENT DATA PACKAGE

- The Priority Document Data Package (hereafter referred to as PDDP) must be compressed into as a single ZIP file, hereafter referred to as PDDP ZIP file. The PDDP ZIP file must be able to be decompressed by commonly used software for example WinZip®2, 7-Zip³, or Unix/Linux Zip; deflation with normal compression option and must not be password protected or encrypted.
- 10. All artifacts for priority document exchange purposes should be included in this PDDP ZIP file. The providing Office determines the contents to be included in the PDDP ZIP file according to international, regional, or national laws.
- The PDDP ZIP file consists of:
 - The PDDP Index file in XML format (hereafter referred to as the PDDP Index file) PriorityDocumentIndex.xml, which describes the content of the data package;
 - The MandatoryArtifacts folder containing the Priority Document PDF file and other mandatory documents, as defined in the "MandatoryArtifacts Folder" section, including the sequence listing file where appropriate; and
 - The ${\tt SupplementaryArtifacts}$ folder which contains optional files, as defined in the $\hbox{``SupplementaryArtifacts Folder''} \ \ \textbf{section: this folder should not exist if empty}.$
- When the providing Office provides the PDDP ZIP file to an applicant, to ensure the integrity and non-repudiation of the PDDP ZIP file, a cryptographic hash of the PDDP ZIP file may be used. Annex III outlines one example of hashing of the PDDP ZIP file.

Data Package Structure

PDDP Index File

- The PDDP must contain the PDDP Index file in XML format which must identify all documents included in the PDDP including any externally referenced files so that recipient Offices can determine the contents of the data package. In other words, the purpose of the PDDP index file is to have a manifest of what is included in the PDDP. The PDDP Index file must specify the providing Office, the application number, application filing date, and the type of IP right for the priority document which for patents must be "patent".
- 14. The PDDP Index file must comply with the XML schema (XSD) provided as Annex I of this Standard. A fictitious sample PDDP Index XML file is provided in Appendix to Annex I of this Standard. The examples provided in this Standard are fictitious and provided solely for guidance
- 15. The PDDP Index XML schema has a root element PriorityDocumentIndex. The element PriorityDocumentBag references the single Priority Document PDF file and other documents which are placed in the MandatoryArtifacts folder. The element SupplementaryDocumentBag references other relevant documents if provided in the SupplementaryArtifacts folder. The DocumentDate element for the PriorityDocument element represents the date of creation of the Priority Document PDF file.

MandatorvArtifacts Folder

- 16. The MandatoryArtifacts folder contains the Priority Document PDF file, whose contents are the responsibility of the providing Office. If all of the necessary fonts cannot be embedded in a text-based PDF, then the PDF file should be The file need not be digitally signed for the purpose of inter-office exchange but if signed, it should be in $compliance \ with \ a \ recognized \ industry \ standard. \ The \ {\tt MandatoryArtifacts} \ \ folder \ must \ also \ contain \ the \ other \ description \ and \ also \ contain \ the \ other \ description \ and \ also \ contain \ the \ other \ description \ and \ also \ contain \ the \ other \ description \ also \ contain \ the \ other \ description \ also \ contain \ the \ other \ description \ and \ also \ contain \ the \ other \ description \ and \ also \ contain \ the \ other \ description \ also \ contain \ the \ other \ description \ also \ other \ other \ also \ other \ description \ also \ other \ ot$ mandatory artifacts, as applicable.
- The MandatoryArtifacts folder must include the certification page. This may be included as part of the Priority Document PDF or alternatively as a separate PDF. In addition, the Priority Document PDF for a patent application typically includes the description, claims, abstract and drawings of the application. If a sequence listing file was included in the application, the MandatoryArtifacts folder must also contain this file, and it must be provided in WIPO Standard ST.26, ST.25 or ST.23 format⁴ as originally submitted by the applicant. The content of the sequence listing should not be rendered into PDF format. If it is rendered, it should be included in the Priority Document PDF file and the original version must also be provided in the MandatoryArtifacts folder. The sequence listing file may be zipped.

² https://www.winzip.com/en/

https://www.7-zip.org/
 All patent applications filed on or after July 1, 2022 disclosing amino acid and nucleotide sequences must contain an ST.26 XML compliant sequence listing. Any sequence listing furnished in respect of any applications filed before that date should still comply with the applicable WIPO Standards.

For example, the contents of a MandatoryArtifacts folder, containing a priority document with a sequence listing is as follows:

- •US 59111111_20220719_PriorityDocument_000497.pdf (The patent priority document includes the certification page, the description, claims, abstract and drawings of the application.);
- •US 59111111 20220719 SequenceListing ST26.xml; or
- •US_59111111_20220719_SequenceListing_ST26.zip.

In contrast, this example shows the MandatoryArtifacts folder having the certification page provided separately in PDF format as follows:

- •US 59111111 20220719 CertificationPage 000497.pdf;
- $\bullet \verb|US_59111111_20220719_PriorityDocument_000497.pdf (The document will typically include the description, claims, abstract and drawings of the application.);$
- •US 59111111 20220719 SequenceListing ST26.xml; or
- $\bullet \texttt{US_59111111_20220719_SequenceListing_ST26.zip}.$

SupplementaryArtifacts Folder

- 18. The SupplementaryArtifacts folder allows the providing Office to provide other optional documents, which may be beneficial to the recipient Office. For the patent priority documents, these may include versions of the bibliographic or classification data or else all or part of the application body in an alternative format to the PDF supplied in the MandatoryArtifacts folder. The alternative formats may be the documents exactly as they were filed, or else a full text version of the document prepared administratively by the providing Office. The recipient Office may choose to process or archive the contents of this folder at its discretion.
- 19. While there is no restriction on permitted file formats for the documents in this folder, permitted document types must be defined as one of the following:
 - Bibliographic data: Bibliographic information included on the first page of a patent document. Contains
 document identification, domestic filing data, foreign priority data, public availability dates or term of protection,
 technical information, related patent or application information.
 - <u>Classification data</u>: The collection of various classification data which arranges the application according to technology area.
 - Sequence listing: Part of the description of the patent application as filed or a document filed subsequently to
 the application, which includes the disclosed nucleotide and/or amino acid sequence(s), along with any further
 description, in WIPO ST.23, ST.25 or ST.26 formats.
 - Abstract: Part of the patent application that consists of a concise summary of the disclosure as contained in the
 description, the claims and any drawings.
 - Description: Description of the invention in a manner sufficiently clear and complete for it to be carried out by a person skilled in the art.
 - Claims: Collection of claims.
 - <u>Drawings</u>: Drawing is the part of a patent application which illustrates the invention and which is required when it is necessary for the understanding of the invention.
 - Application body: A document containing the abstract, description, claims and drawings.
 - Preconversion document: A document provided by the applicant in some systems including PCT, normally being a full text format document from which the official filling was created.
- 20. Subfolders or zip files may be added to hold the document and its referenced files to avoid file naming conflicts. When subfolders are used, the name of the document should be used for the folder name.

For example, the subfolder name below is US_59111111_20220719_Description and the name of the main document is US_59111111_20220719_Description.xml:

/US_59111111_20220719_Description
US_59111111_20220719_Description.xml
US_59111111_20220719_Description_0001.tif
US_59111111_20220719_Description_0002.tif

Naming Conventions and Document Identification

- 21. To ensure that the PDDP can be processed effectively by IPOs irrespective of their degree of automation of processing, the name of the files in the MandatoryArtifacts folder must follow a uniform naming convention and are properly described in the PDDP Index file. These files include the PDDP ZIP file itself, the Priority Document PDF file, the PDDP Index file, and sequence listing file if applicable. External files referenced by XML documents (e.g., image files, Mathematica®5 notebook files, chemical structure files, etc.) do not need to follow these naming conventions, and are outside the scope of this Standard.
- 22. The characters used in the file and folder names must belong to the following set: "a-z, A-Z, 0-9", underscore "_", and period ".", where the underscore must only be used as a term separator and the period only to separate the file extension.
- 23. The filename of the PDDP Index file must always be named: "PriorityDocumentIndex.xml".
- 24. The filename of the PDDP ZIP file must be in the format of: <IP right type>"_"<providing Office ST.3 code>"_"<application number>"_"<the filing date 6 >".zip".

For example: Patent_US_59111111_20220719.zip would be the filename provided for the patent priority document furnished by the United States Patent and Trademark Office (USPTO) for the patent application which was filed on July 19, 2022 with an application number of 591111111.

For example: Patent GB PCTGB2023000123 20230114.zip would be the filename provided for the priority document furnished by the United Kingdom Intellectual Property Office for the international application which was filed on January 14, 2023 with an application number of PCT/GB2023/000123.

25. The filename for the Priority Document PDF file must be in the format of:

</p

For example: US_59111111_20220719_PriorityDocument_000497.pdf for a priority document which is furnished by USPTO as the providing Office, the application number of which is 59111111 which was filed on July 19, 2022.

For example: US_59111111_20220719_CertificationPage_000497.pdf for a certification page which is furnished by USPTO as the providing Office the application number of which is 59111111 which was filed on July 19, 2022.

27. For files relating to documents located within the SupplementaryArtifacts folder, the file name convention proposed below should be followed, at the discretion of the providing Office:

cyproviding Office ST.3 Code>"_"<application number>"_"<filing date⁶>"_"<category of
document>{"_"<unique identifier - optional unless there are several documents of the
same category>}.<file extension>

The "category of document" indicates the type of artifact which is a part of the application or related data of the application and should be in upper camel case naming convention of the English language document types indicated in the SupplementaryArtifacts folder section. For example, for a patent application, this artifact may be "ApplicationBody", "ClassificationData" or "BibliographicData".

It is not mandatory to rename documents within the SupplementaryArtifacts folder to comply with the naming conventions

⁵ https://www.wolfram.com/mathematica/

⁶ The date should be in the format of CCYYMMDD according to WIPO Standard ST.2

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For example: $\tt US_59111111_20220719_BibliographicData.xml$ for bibliographic data in XML concerning the application of 59111111 which was filed on July 19, 2022 and provided by the USPTO.

28. Where a patent priority document in either the MandatoryArtifacts or SupplementaryArtifacts folder consists of the exact file or files submitted by the applicant at the time of filing for the application body, description, claims, drawings, abstract or sequence listing, the DocumentAsFiledIndicator element should be set to true in the PDDP Index file. The value of this element must not be changed as a result of the document being zipped or unzipped or having its file name changed by the providing Office compared to what was submitted. The element should not be set to true for other files, such as scans of applications filed on paper or PDFs with modified contents, even if this should not have changed the visual representation of the document, such as removal of metadata.

[Annex I of draft Standard follows]

ANNEX I - XML SCHEMA DEFINITION (XSD) FOR PRIORITY DOCUMENT INDEX XML FILES

Version 1.0

Proposal presented by the Digital Transformation Task Force for consideration and adoption by the Committee on WIPO Standards (CWS) at its twelfth session

Editorial Note by the International Bureau:

Annex I of WIPO Standard ST.92 is the set of XML schema components to represent the minimum and extended data elements of a PDDP Index file furnished by an IPO. Annex I is based on WIPO Standard ST.96, version 7.1, including the naming conventions used to identify the names of the specific data components for Priority Document Exchange. Annex I includes an Appendix which is a fictitious sample XML instance of a PDDP Index file structured according to the XML schema

The XML schema for the PDDP Index file can be downloaded here (the contents of which is included below): [Note: See Annex II to document CWS/12/15. URL will be provided once the proposed standard is adopted.]

```
<?xml version="1.0" encoding="UTF-8"?>
<xsd:schema xmlns:xsd="http://www.w3.org/2001/XMLSchema"
xmlns:pde="http://www.wipo.int/standards/XMLSchema/PriorityDocumentExchange"</pre>
<xsd:annotation>
                       <xsd:documentation>Index file for priority document
exchange</xsd:documentation>
                       <xsd:appinfo>
                              <com:SchemaLastModifiedDate>2024-06-
18</com:SchemaLastModifiedDate>
        <com:SchemaContactPoint>standards@wipo.int</com:SchemaContactPoint>
        <com:SchemaReleaseNoteURL>http://www.wipo.int/standards/XMLSchema/PDDP/V1_0/ReleaseN
otes.pdf</com:SchemaReleaseNoteURL>
                       </xsd:appinfo>
               </xsd:annotation>
        </xsd:element>
        <xsd:complexType name="PriorityDocumentIndexType">
               <xsd:sequence>
                       <xsd:element ref="pde:IPTypeCategory"/>
                       <xsd:element ref="pde:Priypecateggry/>
<xsd:element ref="pde:ApplicationNumber"/>
<xsd:element ref="pde:ApplicationFilingDate"/>
<xsd:element ref="pde:PriorityDocumentBag"/>
                       <xsd:element ref="pde:SupplementaryDocumentBag" minOccurs="0"/>
               </msd:sequence>
<msd:attribute ref="com:id"/>
<msd:attribute ref="com:languageCode" use="required"/>
               <xsd:attribute ref="com:creationDate"/>
       </xsd:complexType>
<xsd:element name="ApplicationNumber" type="pde:ApplicationNumberType">
               <xsd:annotation>
</xsd:annotation>
        </xsd:element>
       <xsd:element ref="com:IPOfficeCode"/>
                       <xsd:choice>
                              <xsd:element ref="com:ST13ApplicationNumber"/>
<xsd:element ref="com:ApplicationNumberText"/>
                       </xsd:choice>
               </xsd:sequence>
        </xsd:complexType>
```

```
<xsd:element name="PriorityDocumentBag" type="pde:PriorityDocumentBagType">
               <xsd:annotation>
                       <xsd:documentation>A collection of mandatory priority document
artifacts</xsd:documentation>
               </xsd:annotation>
       </xsd:element>
       <xsd:complexType name="PriorityDocumentBagType">
               <xsd:sequence>
                      <xsd:element ref="pde:PriorityDocument" maxOccurs="unbounded"/>
               </xsd:sequence>
               <xsd:attribute ref="com:id"/>
       </xsd:complexType>
       <xsd:element ref="pde:SupplementaryDocument" maxOccurs="unbounded"/>
               </xsd:sequence>
               <xsd:attribute ref="com:id"/>
        </xsd:complexType>
       <xsd:element name="SupplementaryDocumentBag"</pre>
type="pde:SupplementaryDocumentBagType">
               <xsd:annotation>
                      <xsd:documentation>A collection of supplementary
artifacts</xsd:documentation>
               </xsd:annotation>
        </xsd:element>
       <xsd:element name="SupplementaryDocument" type="pde:SupplementaryDocumentType">
               <xsd:annotation>
                      <xsd:documentation>Supplementary artifact of priority
document</xsd:documentation>
               </xsd:annotation>
        </xsd:element>
       <xsd:element name="PriorityDocument" type="pde:PriorityDocumentType">
               <xsd:annotation>
                       <xsd:documentation>Priority document for exchange</xsd:documentation>
               </xsd:annotation>
       </xsd:element>
       <xsd:complexType name="PriorityDocumentType">
               <xsd:sequence>
                      <xsd:element ref="com:DocumentName"/>
<xsd:element ref="com:FileName"/>
                       <xsd:element ref= con:FileName //
<xsd:element ref="con:DocumentLocationURI"/>
<xsd:element ref="pde:DocumentAsFiledIndicator" minOccurs="0"/>
                       <xsd:element ref="pde:DocumentFormatCategory" minOccurs="0"/>
<xsd:element ref="pde:PatentMandatoryDocumentCategory"/>
                       <xsd.element ref="com:DocumentDate" minOccurs="0"/>
<xsd:element ref="com:DocumentVersion" minOccurs="0"/>
                       <xsd:element ref="com:DocumentSizeQuantity" minOccurs="0"/>
<xsd:element ref="com:PageTotalQuantity" minOccurs="0"/>
                       <xsd:element ref="com:CommentText" minOccurs="0"/>
               </xsd:sequence>
               <xsd:attribute ref="com:id"/>
               <xsd:attribute ref="com:sequenceNumber"/>
<xsd:attribute ref="com:languageCode"/>
        </xsd:complexType>
        <xsd:element name="DocumentAsFiledIndicator" type="xsd:boolean">
               files originally filed by the applicant in an electronic filing</xsd:documentation>
               </xsd:annotation>
        </xsd:element>
       -
<xsd:element ref="com:DocumentName"/>
                       <xsd:choice>
                              <xsd:element ref="com:FileName"/>
<xsd:element ref="com:FileNameBag"/>
                       </xsd:choice>
                       <xsd:element ref="com:DocumentLocationURI"/>
                       <xsd:element ref="pde:DocumentAsFiledIndicator" minOccurs="0"/>
```

```
<xsd:element ref="pde:DocumentFormatCategory" minOccurs="0"/>
                       <xsd:element ref="pde:PatentSupplementaryDocumentCategory"/>
                       <xsd:element ref="com:DocumentDate" minOccurs="0"/>
<xsd:element ref="com:DocumentVersion" minOccurs="0"/>
                       <xsd:element ref="com:DocumentSizeQuantity" minOccurs="0"/>
<xsd:element ref="com:PageTotalQuantity" minOccurs="0"/>
                       <xsd:element ref="com:CommentText" minOccurs="0"/>
               </xsd:sequence>
               <p
        </xsd:complexType>
<xsd:element name="IPTypeCategory" type="pde:IPTypeCategoryType">
               application</xsd:documentation>
               </xsd:annotation>
        </xsd:element>
        <xsd:simpleType name="IPTypeCategoryType">
               <xsd:restriction base="xsd:token">
  <xsd:restriction base="xsd:token">
  <xsd:enumeration value="Patent">
                               <xsd:annotation>
                                      <xsd:documentation>Patent includes such industrial
property rights as patents for inventions, plant patents, design patents, inventor's certificates, utility certificates, utility models, patents of addition, inventor's certificates of addition and utility certificates of addition.
                       </xsd:annotation>
</xsd:enumeration>
               </xsd:restriction>
        </xsd:simpleType>
        <xsd:element name="PatentMandatoryDocumentCategory"</pre>
type="pde:PatentMandatoryDocumentCategoryType">
               <xsd:annotation>
                       <xsd:documentation>A category of the required patent priority document
artifact</xsd:documentation>
               </xsd:annotation>
        </xsd:element>
       \mbox{\sc xsd:documentation} \mbox{\sc The certification issued by the authority and shows the date of filing \sc xsd:documentation} \label{fig:comparison}
                               </xsd:annotation>
                       </xsd:enumeration>
                       <xsd:enumeration value="Priority document PDF">
                               <xsd:annotation>
                                       <xsd:documentation>Priority document
PDF</xsd:documentation>
                               </xsd:annotation>
                       </xsd:enumeration>
<xsd:enumeration value="Sequence listing">
                               <xsd:annotation>
                                      <xsd:documentation>Sequence listing</xsd:documentation>
                               </xsd:annotation>
                       </xsd:enumeration>
               </xsd:restriction>
        </xsd:simpleType>
        <xsd:element name="PatentSupplementaryDocumentCategory"</pre>
type="pde:PatentSupplementaryDocumentCategoryType">
               <xsd:annotation>
                       <xsd:documentation>A category of the additional patent priority
document artifact, such as the application body of a patent application</ri>
       </xsd:annotation>
</xsd:element>
       <xsd:enumeration value="Abstract">
                               <xsd:annotation>
```

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```
<xsd:documentation>Abstract</xsd:documentation>
                        </xsd:annotation>
                  </xsd:enumeration>
                  <xsd:enumeration value="Application body">
                        <xsd:annotation>
                              <xsd:documentation>Application body</xsd:documentation>
                        </xsd:annotation>
                  </xsd:enumeration>
                  <xsd:documentation>Bibliographic
data</xsd:documentation>
                  </xsd:annotation>
</xsd:enumeration>
                  <xsd:enumeration value="Description">
                        <xsd:annotation>
                              <xsd:documentation>Description</xsd:documentation>
                        </xsd:annotation>
                  </xsd:enumeration>
                  <xsd:enumeration value="Claims">
                        <xsd:annotation>
                              <xsd:documentation>Claims</xsd:documentation>
                        </xsd:annotation>
                  </xsd:enumeration>
                  <xsd:enumeration value="Drawings">
                        <xsd:annotation>
                              <xsd:documentation>Drawings</xsd:documentation>
                        </xsd:annotation>
                  </xsd:enumeration>
                  <xsd:enumeration value="Classification data">
                        <xsd:annotation>
                              <xsd:documentation>Classification
data</xsd:documentation>
                        </xsd:annotation>
                  </xsd:enumeration>
                  <xsd:enumeration value="Preconversion document">
                        <xsd:annotation>
<xsd:documentation>Preconversion
                  </xsd:enumeration>
<xsd:enumeration value="Sequence listing">
                        <xsd:annotation>
                              <xsd:documentation>Sequence listing</xsd:documentation>
                        </xsd:annotation>
                  </xsd:enumeration>
            </xsd:restriction>
      </xsd:simpleType>
      <xsd:element name="ApplicationFilingDate" type="com:DateType">
            <xsd:annotation>
                  <xsd:documentation>The filing date of the
</rd>
      <xsd:element name="DocumentFormatCategory" type="pde:DocumentFormatCategoryType">
            PDF</xsd:documentation>
           </xsd:annotation>
      </xsd:element>
      <xsd:annotation>
                        </xsd:enumeration>
                  <xsd:enumeration value="MS Excel">
                        <xsd:annotation>
                              <xsd:documentation>MS Excel</xsd:documentation>
```

```
</xsd:enumeration>
<xsd:enumeration value="XML">
                           <xsd:annotation>
                                  <xsd:documentation>XML</xsd:documentation>
                           </xsd:annotation>
                    </xsd:enumeration>
                    <xsd:enumeration value="Text">
                           <xsd:annotation>
                                  <xsd:documentation>Text</xsd:documentation>
                           </xsd:annotation>
                    </xsd:enumeration>
                    <xsd:documentation>EPS</xsd:documentation>
                           </xsd:annotation>
                    </xsd:enumeration>
                    <xsd:enumeration value="PDF">
                           <xsd:annotation>
                                 <xsd:documentation>PDF</xsd:documentation>
                           </xsd:annotation>
                    </xsd:enumeration>
                    <xsd:enumeration value="JPEG">
                           <xsd:annotation>
                                  <xsd:documentation>JPEG</xsd:documentation>
                           </xsd:annotation>
                    </xsd:enumeration>
                    <xsd:documentation>PNG</xsd:documentation>
                           </xsd:annotation>
                    </xsd:enumeration>
                    <xsd:enumeration value="TIFF">
                           <xsd:annotation>
                                 <xsd:documentation>TIFF</xsd:documentation>
                           </xsd:annotation>
                    </xsd:enumeration>
                    <xsd:enumeration value="SVG">
                           <xsd:annotation>
                                  <xsd:documentation>Scalable vector graphics
image</xsd:documentation>
                           </xsd:annotation>
                    </xsd:enumeration>
<xsd:enumeration value="HTML">
                           </xsd:annotation>
                    </xsd:enumeration>
                    <xsd:enumeration value="CDX">
                           <xsd:annotation>
                                  <xsd:documentation>CambridgeSoft proprietary ChemDraw
\label{local_commutation} \mbox{file format</xsd:documentation>} \\ \mbox{</xsd:annotation>}
                    </xsd:enumeration>
<xsd:enumeration value="MOL">
                           about the atoms, bonds, connectivity and coordinates of a molecule </xsd:documentation>
                          </xsd:annotation>
                    </xsd:enumeration>
                    <xsd:documentation>File format for mathematica
notebooks</xsd:documentation>
                    </xsd:annotation>
</xsd:enumeration>
                    <xsd:enumeration value="ZIP">
                           <xsd:annotation>
                                  <xsd:documentation>ZIP</xsd:documentation>
                           </xsd:annotation>
```

</xsd:annotation>

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[Appendix to Annex I of draft Standard-follows]

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APPENDIX TO ANNEX I - EXAMPLE XML INSTANCE FOR PDDP INDEX FILE

The example XML for the PDDP Index file, this Appendix, can be downloaded here <u>(the contents of which is included below)</u>: <u>(Note: See Annex III to document CWS/12/15. URL will be provided once the proposed standard is adopted.)</u>

https://www.wipo.init/standards/ap/yml_material/sample_index_file_yml

kpde:PriorityDocumentIndex xmlns:xsi="http://www.w3.org/2001/XMLSchemainstance" xmlns:pde="http://www.wipo.int/standards/XMLSchema/PriorityDocument Exchange" xmlns:com="http://www.wipo.int/standards/XMLSchema/ST96/Common" com :languageCode="en" xsi:schemaLocation="http://www.wipo.int/standards/XMLSchema/PriorityDocumentExchange PriorityDocumentIndex_V1_0.xsd"> <pde:IPTypeCategory>Patent</pde:IPTypeCategory> <pde:ApplicationNumber> <com:IPOfficeCode>US</com:IPOfficeCode> <com:ApplicationNumberText>59111111 </pde:ApplicationNumber> <pde:ApplicationFilingDate>2022-07-19</pde:ApplicationFilingDate> <pde:PriorityDocumentBag> <pde:PriorityDocument> <com:DocumentName>Priority Document PDF</com:DocumentName>
<com:FileName>US 59111111 20220719 PriorityDocument 000497.pdf</com:FileName> <com:DocumentLocationURI>MandatoryArtifacts/</com:DocumentLocationURI> <pde:DocumentAsFiledIndicator>true</pde:DocumentAsFiledIndicator> <pde:DocumentFormatCategory>PDF</pde:DocumentFormatCategory> <pde:PatentMandatoryDocumentCategory>Priority document PDF</pde:PatentMandatoryDocumentCategory> <com:DocumentDate>2024-06-20</com:DocumentDate> <com:PageTotalQuantity>6</com:PageTotalQuantity> </pde:PriorityDocument> <pde:PriorityDocument> <com:DocumentName>Sequence Listing</com:DocumentName> <com:FileName>US 59111111 20220719 SequenceListing ST26.xml</com:FileName> <com:DocumentLocationURI>MandatoryArtifacts/</com:DocumentLocationURI> <pde:DocumentAsFiledIndicator>true</pde:DocumentAsFiledIndicator> <pde:DocumentFormatCategory>XML</pde:DocumentFormatCategory> <pde:PatentMandatoryDocumentCategory>Sequence listing</pde:PatentMandatoryDocumentCategory> <com:DocumentDate>2022-07-19</com:DocumentDate> </pde:PriorityDocument> </pde:PriorityDocumentBag> <pde:SupplementaryDocumentBag> <pde:SupplementaryDocument> <com:DocumentName>ApplicationBody</com:DocumentName> <com:FileName>US_59111111_20220719_ApplicationBody.xml</com:FileName> <com:DocumentLocationURI>SupplementaryArtifacts/</com:DocumentLocationURI> <pde:DocumentFormatCategory>XML</pde:DocumentFormatCategory> <pde:PatentSupplementaryDocumentCategory>Application body</pde:PatentSupplementaryDocumentCategory> </pde:SupplementaryDocument> <pde:SupplementaryDocument>
<com:DocumentName>Abstract</com:DocumentName> <com:FileName>US 59111111 20220719 Abstract.xml</com:FileName> <com:DocumentLocationURI>SupplementaryArtifacts/</com:DocumentLocationURI> <pde:DocumentFormatCategory>XML</pde:DocumentFormatCategory> <pde:PatentSupplementaryDocumentCategory>Abstract</pde:PatentSupplementaryDoc</pre> umentCategory> </pde:SupplementaryDocument> <pde:SupplementaryDocument>

Commented [YYW1]: The content can be changed during the adoption. So the xml instance should be published once it is adopted.

Commented [YYW2]: The format of XML instance should be adjusted for publication.

```
<com:DocumentName>Description</com:DocumentName>
<com:FileNameBag>
<com:FileName>US 59111111 20220719 Description.xml</com:FileName>
<com:FileName>US 5911111 20220719 Description 00001.tif</com:FileName>
<com:FileName>US 59111111 20220719 Description 00002.tif</com:FileName>
</com:FileNameBag>
<com:DocumentLocationURI>SupplementaryArtifacts/US 59111111 20220719 Descript
ion/</com:DocumentLocationURI>
<pde:DocumentFormatCategory>XML</pde:DocumentFormatCategory>
<pde:PatentSupplementaryDocumentCategory>Description</pde:PatentSupplementary</pre>
DocumentCategory>
</pde:SupplementaryDocument>
<pde:SupplementaryDocument>
<com:DocumentName>Drawings/com:DocumentName>
<com:FileNameBag>
<com:FileName>US 59111111 20220719 Drawings 00001.tif</com:FileName>
<com:FileName>US 59111111 20220719 Drawings 00002.tif</com:FileName>
</com:FileNameBag>
<com:DocumentLocationURI>SupplementaryArtifacts/</com:DocumentLocationURI>
<pde:DocumentFormatCategory>TIFF</pde:DocumentFormatCategory>
<pde:PatentSupplementaryDocumentCategory>Drawings</pde:PatentSupplementaryDoc</pre>
umentCategory>
</pde:SupplementaryDocument>
<pde:SupplementaryDocument>
<com:DocumentName>Claims</com:DocumentName>
<com:FileName>US 59111111 20220719 Claims.xml</com:FileName>
<com:DocumentLocationURI>SupplementaryArtifacts/</com:DocumentLocationURI>
<pde:DocumentFormatCategory>XML</pde:DocumentFormatCategory>
<pde:PatentSupplementaryDocumentCategory>Claims</pde:PatentSupplementaryDocum</pre>
entCategory>
</pde:SupplementaryDocument>
<pde:SupplementaryDocument>
<com:DocumentName>Bibliographic Data</com:DocumentName>
<com:FileName>US_59111111_20220719_BibliographicData.xml</com:FileName>
<com:DocumentLocationURI>SupplementaryArtifacts/</com:DocumentLocationURI>
<pde:DocumentFormatCategory>XML</pde:DocumentFormatCategory>
<pde:PatentSupplementaryDocumentCategory>Bibliographic
data</pde:PatentSupplementaryDocumentCategory>
</pde:SupplementaryDocument>
<pde:SupplementaryDocument>
<com:DocumentName>Classification Data</com:DocumentName>
<com:FileName>US_59111111_20220719_ClassificationData.xml</com:FileName>
<com:DocumentLocationURI>SupplementaryArtifacts/</com:DocumentLocationURI>
<pde:DocumentFormatCategory>XML</pde:DocumentFormatCategory>
<pde:PatentSupplementaryDocumentCategory>Classification
data</pde:PatentSupplementaryDocumentCategory>
</pde:SupplementaryDocument>
<pde:SupplementaryDocument>
<com:DocumentName>Claims</com:DocumentName>
<com:FileName>US_59111111_20220719_Claims.docx</com:FileName>
<com:DocumentLocationURI>SupplementaryArtifacts/</com:DocumentLocationURI>
<pde:DocumentFormatCategory>MS Word</pde:DocumentFormatCategory>
<pde:PatentSupplementaryDocumentCategory>Claims</pde:PatentSupplementaryDocum</pre>
entCategory>
</pde:SupplementaryDocument>
<pde:SupplementaryDocument>
<com:DocumentName>Description</com:DocumentName>
<com:FileName>US_59111111_20220719_Description.docx</com:FileName>
<com:DocumentLocationURI>SupplementaryArtifacts/</com:DocumentLocationURI>
<pde:DocumentFormatCategory>MS Word</pde:DocumentFormatCategory>
```

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<pde:PatentSupplementaryDocumentCategory>Description</pde:PatentSupplementary
DocumentCategory>
</pde:SupplementaryDocument>
</pde:SupplementaryDocumentBag>
</pde:PriorityDocumentIndex>

[Annex II of the draft sStandard follows]

ANNEX II - PRIORITY DOCUMENT DATA PACKAGE STRUCTURE EXAMPLES

Version 1.0

Proposal presented by the Digital Transformation Task Force for consideration and adoption by the Committee on WIPO Standards (CWS) at its twelfth session

Annex II provides fictitious examples of the contents of priority document data packages in table and tree structure formats.

Patent Priority Document Data Package Example

Table format

Provided below is a fictitious example of a PDDP ZIP file, in table format, for Patent_US_59111111_20220719.zip, which describes the package structure including the files and folders which are included within the ZIP file.

File/Folder Name	File Name	Comment:
PriorityDocumentIndex.xml		PDDP Index file
/MandatoryArtifacts	US_59111111_20220719_PriorityDocument_000497. pdf	Priority Document PDF (includes the certification page, and will typically include the description, claims, abstract and drawings of the application)
	US_59111111_20220719_SequenceListing_ST26.xml or US_59111111_20220719_SequenceListing_ST26.zip	Sequence listing compliant with WIPO ST.26 (see PDDP Index File section of this standard)
/SupplementaryArtifacts	US_59111111_20220719_ApplicationBody.xml	Application body and
. Cappionioniai jrii inaoto	US 59111111 20220719 Abstract.xml	other related artifacts
	US 59111111 20220719 Claims.xml	including the drawings
	US_59111111_20220719_BibliographicData.xml	referenced by the specification, bibliographic and classification data
	US_59111111_20220719_ClassificationData.xml	
	US 59111111 20220719 Drawings 0001.tif	Drawing sheet
	US 59111111 20220719 Drawings 0002.tif	Drawing sheet
	US_59111111_20220719_Claims.docx	Claims in DOCX format
	US_59111111_20220719_Description.docx	Description in DOCX format
	/US_59111111_20220719_Description	Subfolder
	US_59111111_20220719_Description.xml	Description document
	US_59111111_20220719_Description_0001.tif	Images referenced by the XML documents (e.g., chemical formula, mathematical formula, figures, tables, etc.) in this case the Description XML
	US_59111111_20220719_Description_0002.tif	Images referenced by the XML documents (e.g., chemical formula, mathematical formula, figures, tables, etc.) in this case the Description XML

[Appendix to Annex II follows]

APPENDIX TO ANNEX II - SAMPLE PACKAGE STRUCTURE (TREE FORMAT)

Tree structure format

The following tree structure is an alternative representation of the PDDP ZIP file presented in the Table shown above in Appen II

```
|-Patent_US_59111111_20220719.zip
                                                                               //sample index XML file
  PriorityDocumentIndex.xml
  -MandatoryArtifacts
         US_59111111_20220719_PriorityDocument_000497.pdf
                                                                               //main priority document in PDF format
         US_59111111_20220719_SequenceListing_ST26.xml
                                                                               //sample WIPO ST. 26 sequence listing
         US_59111111_20220719_SequenceListing_ST26.zip
                                                                               //sample WIPO ST. 26 sequence listing
   SupplementaryArtifacts
         US_59111111_20220719_ApplicationBody.xml
                                                                   //sample application body in XML
         US_59111111_20220719_Abstract.xml
                                                                   //sample abstract in XML
        US_59111111_20220719_Claims.xml
US_59111111_20220719_BibliographicData.xml
                                                                   //sample claims in XML
                                                                   //sample bibliographic data in XML
        US_59111111_20220719_ClassificationData.xml
                                                                   //sample classification data in XML
         US_59111111_20220719_Claims.docx
                                                                   //sample claims in DOCX
        US_59111111_20220719_Description.docx
US_59111111_20220719_Drawings_0001.tif
                                                                   //sample description in DOCX
                                                                   //sample drawing sheet
         US_59111111_20220719_Drawings_0002.tif
                                                                   //sample drawing sheet
        -US_59111111_20220719_Description
             US_5911111_20220719_Description.xml //sample description in XML
US_59111111_20220719_Description_00001.tif //sample image in TIFF referenced by Description XML Document
-US_5911111_20220719_Description_00002.tif //sample image in TIFF referenced by Description XML Document
```

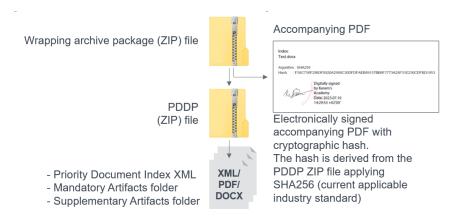
[Annex III of the draft standard follows]

ANNEX III - EXAMPLE OF HASHING OF PRIORITY DOCUMENT DATA PACKAGES SENT DIRECTLY TO APPLICANTS

Version 1.0

Proposal presented by the Digital Transformation Task Force for consideration and adoption by the Committee on WIPO Standards (CWS) at its twelfth session

- This Annex outlines one example of hashing of the PDDP ZIP file when a providing Office sends the PDDP ZIP file directly to an applicant. This example is non-limiting and provided as one option.
- 2. It is essential, for both applicants and Offices to ensure that the priority documents transmitted by the providing Office are identical to the documents received by the recipient Office. To ensure the integrity and non-repudiation of the PDDP ZIP file, an accompanying PDF file is created by the providing Office. The accompanying PDF file contains a cryptographic hash of the PDDP ZIP file together with an indication of the algorithm used. In addition, this PDF is electronically signed by the providing Office thereby certifying the integrity of the PDDP ZIP file's content and structure. This enables the receiving Office to check the integrity of the PDDP ZIP file after receipt from the applicant and at any later date. It is the most recommended way to verify the hash value by the recipient Office to prove that the package generated by the providing Office is the authentic and untampered version and to ensure there was no data loss. The cryptographic hash should be generated using a cryptographic hash function which is a widely adopted, de facto industry standard hash algorithm. At present this is SHA-256.
- To ensure the sending of one single file to the applicant the providing Office creates a wrapping archive package ZIP file that includes the PDDP ZIP file together with the afore described accompanying PDF.



[End of the Annexes and of Standard]

[Annex II to the present document follows]