

STANDARD ST.27

RECOMMENDATION FOR THE EXCHANGE OF PATENT LEGAL STATUS DATA

*Adopted by the Committee on WIPO Standards (CWS)
at its fifth session on June 2, 2017*

Editorial Note by the International Bureau

The detailed events included in this Standard are provisional and will be reviewed and assessed by industrial property offices (IPOs) for one year. On the basis of the outcome of the review and assessment reported by IPOs, a final proposal on the detailed events in this Standard will be submitted for approval at the sixth session of the CWS. IPOs may choose to exchange legal status data on the basis of categories and key events only, if they so desire.

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INTRODUCTION

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

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

DEFINITIONS

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

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

REFERENCES

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

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

SCOPE OF THE STANDARD

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

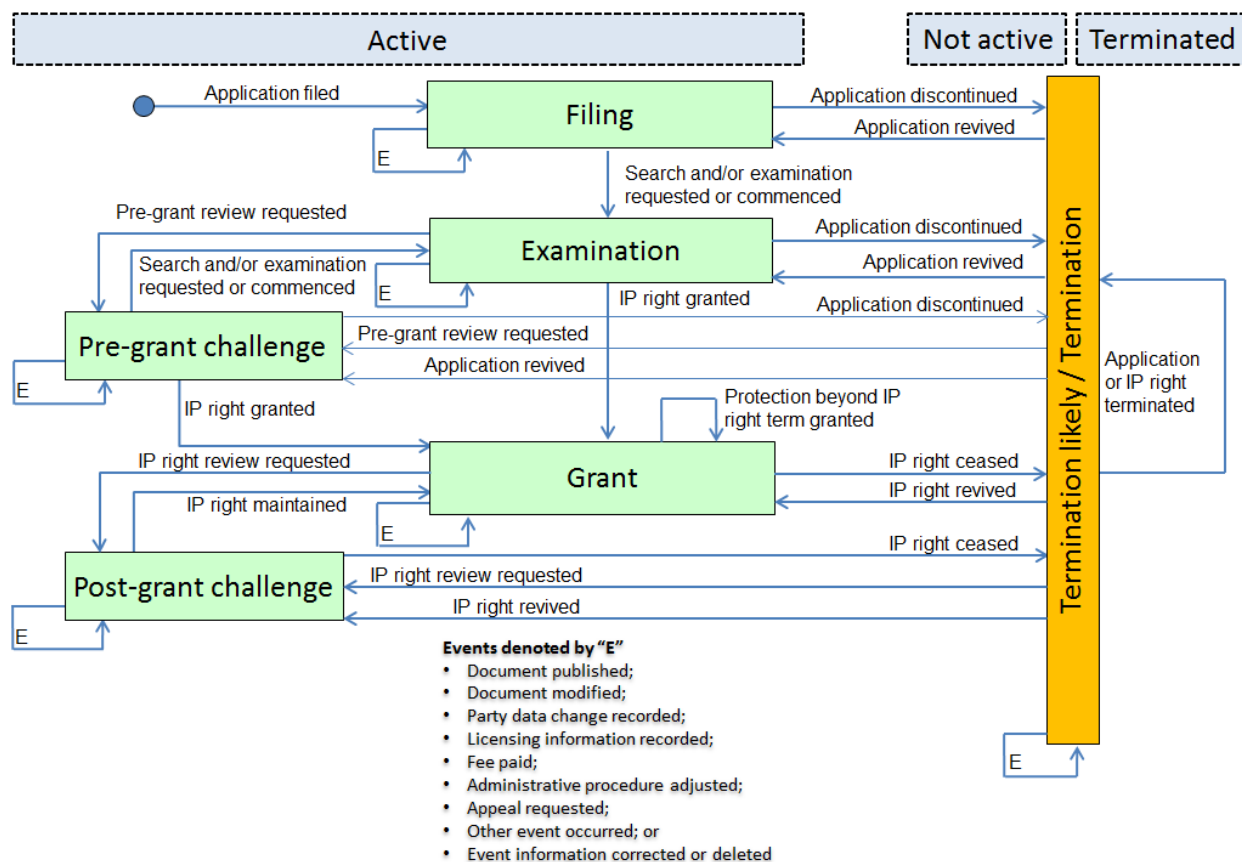
6. This Standard defines legal status events that may take place during the lifecycle of a patent or SPC on the basis of an Overall Patent/SPC Prosecution Model. The definitions of the events are broad so as to cover the various practices of different IPOs.

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

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

OVERALL PATENT/SPC PROSECUTION MODEL

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



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

States

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

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

Stages

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

- **Filing:** The filing stage encompasses the receipt of an application for the grant of an IP right by a national or regional IPO. This stage includes when the IPO receives a description of an invention together with any additional documentation and fees necessary to obtain a filing date under national law, regional law or convention, or the Patent Cooperation Treaty (PCT) as applicable. This stage also includes the filing of a divisional, continuation, or continuation in part application, conversion from one type of application into another, filing of a PCT international application, or entry of a PCT international application into the national or regional phase.

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

Events

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

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

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

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

EVENTS LIST

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

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

Category

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

20. Each category has one key event and multiple detailed events except categories 'W. Other' and 'Y. Correction and deletion of event information', which do not have any detailed events. A category may cover many more national/regional

events than those described by the key and detailed events. Therefore, the list of examples provided in the description of the category are not exhaustive and do not restrict the scope of the category.

Key Event

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

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

Detailed Event

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

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

DATA STRUCTURE AND FORMAT FOR EXCHANGE

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

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

Status Event Code

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

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

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

State Code

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

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

Stage Code

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

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

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

Key Event Code

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

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

- | | |
|------|--|
| A10. | Application filed |
| B10. | Application discontinued |
| C10. | Application revived |
| D10. | Search and/or examination requested or commenced |
| E10. | Pre-grant review requested |
| F10. | IP right granted |
| G10. | Protection beyond IP right term granted |
| H10. | IP right ceased |
| K10. | IP right revived |
| L10. | IP right review requested |
| M10. | IP right maintained |
| N10. | Application or IP right terminated |
| P10. | Document modified |
| Q10. | Document published |
| R10. | Party data change recorded |
| S10. | Licensing information recorded |

T10.	Administrative procedure adjusted
U10.	Fee paid
V10.	Appeal requested
W10.	Other event occurred
Y10.	Event information corrected or deleted

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

Detailed Event Code

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

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

National/Regional Event Code

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

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

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

Calendar Dates Linked to the Event

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

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

Legal Status Data Structure

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

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

- (a) Office code according to WIPO Standard ST.3 (mandatory)
- (b) Creation date of legal status data file (mandatory)
- (c) Document identification (mandatory)

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

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

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

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

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

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

Office code: XX		The code N-0-6-B10-B00-R120, represents the legal status of an application which is not active immediately after the national event "R120" occurs. The description of the national event "R120" is "Application withdrawn/ is deemed to be withdrawn". Since this national event can be mapped to B10. Application discontinued, the key event entry is "B10". Since the national event is a combination of detailed events B11 and B12, and cannot be accurately mapped to either detailed event, the detailed event entry is "B00". The occurrence of this event causes the application to move from an unspecified stage into the termination likely/termination stage.
Creation date of legal status data file: 20161020		
Application number: 10 2011 123456789		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> IP right type: National patent for invention </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Event data </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Status event code: N-0-6-B10-B00-R120 </div> </div>		The next status event code in reverse chronological order is A-0-0-D00-D00-R015. The national event "R015" denotes an "Official communication on examination". This event relates to category 'D. Search and examination', but cannot be mapped to a key or detailed event. Therefore, the key and detailed event entries are "D00". The stage information for this event is unspecified. The application is active after the occurrence of national event R015.
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Event date: 20160113 </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Effective date: 20160113 </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Publication date: 20160225 </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Supplementary event data: </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Unique identifier: N/A </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Status event code: A-0-0-D00-D00-R015 </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Event date: 20150727 </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Effective date: 20150727 </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Publication date: N/A </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Supplementary event data: </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Unique identifier: N/A </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Status event code: A-1-2-D10-D11-R012 </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Event date: 20140424 </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Application number: 20 2010 123456789 </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> IP right type: Utility model </div> </div>		
<div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; border: 1px solid black; margin-right: 5px;"></div> <div style="border: 1px solid black; padding: 2px 5px;"> Event data </div> </div>		

Supplementary event data

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

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

IMPLEMENTATION

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

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

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

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

[Annex I follows]

ANNEX I

EVENT LIST

*Adopted by the Committee on WIPO Standards (CWS)
at its fifth session on June 2, 2017*

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

B10. **Application discontinued:** An application was discontinued. This includes, but is not limited to when an application was discontinued due to a withdrawal by the applicant, refusal by the IPO or because there was a failure to

prosecute. For example, a failure to prosecute may occur due to a non-payment of fees or failure to respond to an office action within the required time period.

- B11*. Application withdrawn (An applicant voluntarily withdrew the application.)
- B12*. Application deemed to be withdrawn, abandoned or lapsed (An application was discontinued due to a failure to prosecute, for example, an application was discontinued due to non-payment of fees or not responding to an office action within the relevant period.)
- B13*. Regional filing not entered into the national phase (A regional application did not enter the national phase within the time period prescribed in the applicable law.)
- B14*. PCT filing not entered into the national or regional phase (An international application under the PCT did not enter the national or regional phase within the time period prescribed in the applicable law.)
- B15*. Application refused following examination (An application was refused by an IPO following a formality or substantive examination.)
- B16*. Application discontinued following rejected revival request (A request for revival of a discontinued application was inadmissible, rejected or withdrawn.)
- B17*. Application discontinued following pre-grant review (Following a pre-grant review, an application was discontinued.)

C. Application revival: This category is a group of events related to the revival, reinstatement or restoration of an application after it has been discontinued. It includes, for example, when an application was revived following a request for application revival after payment of an outstanding fee, responding to an outstanding action or decision which had resulted in the application being discontinued, or following an appeal. The events in this category may move an application from the termination likely/termination stage into the filing stage, examination stage or pre-grant challenge stage.

- C10. **Application revived:** An application was revived after it had been discontinued. This includes, but is not limited to when an application was revived following an application revival request or an appeal.
- C11. Application revival requested (A revival, reinstatement or restoration of a discontinued application was requested.)
- C12. Request for application revival rejected (A request for an application revival was inadmissible, rejected or withdrawn.)
- C13*. Application revived following an application revival request (An application was revived, reinstated or restored following an application revival request.)
- C14. Rights of priority restored (The right of priority was restored where a subsequent application was filed after the expiration of the priority period but within the time limit prescribed in the applicable law, provided that the conditions specified in the applicable law were met.)

D. Search and examination: This category is a group of events related to the examination proceeding and prior art searches. It includes, for example, a formality examination or a substantive examination. It also includes a request for a prior art search and an announcement of the intention of the IPO to grant an IP right. The events in this category may move an application from the filing stage or the pre-grant challenge stage into the examination stage.

- D10. **Search and/or examination requested or commenced:** The search and/or examination of an application was requested, initiated or continued. This includes, but is not limited to when a formality or substantive examination was requested, initiated or continued or when a search was requested or initiated.
- D11*. Substantive examination requested (A substantive examination of an application was requested by an applicant or a third party, or an IPO initiated the examination independently, in accordance with the applicable law.)
- D12. Request for substantive examination rejected (A request for a substantive examination was inadmissible, rejected or withdrawn.)
- D13*. Search requested (A prior art search for an application was requested by the applicant or the examiner.)
- D14. Search report issued (A prior art search report for an application was issued.)
- D15. Examination report issued (A substantive examination report or a notification of the reason for refusal of the application was issued.)
- D16*. Fast track examination requested (An expedited or accelerated examination of the application was requested.)
- D17. Fast track examination accepted (A request for an expedited or accelerated examination was accepted by the IPO.)
- D18*. Deferred examination requested (A request was made to defer or postpone the examination of an application until a later time.)
- D19. Deferred examination accepted (A request to defer or postpone the examination of an application was accepted by the IPO.)
- D20*. Deferred examination resumed (A deferred examination was resumed.)
- D21. Rejection of application intended (An IPO announced its intention to reject an application and not grant an IP right.)
- D22. Grant of IP right intended (An IPO announced its intention to grant an IP right, provided that certain conditions are met within a time period prescribed in the applicable law. For example, in one jurisdiction, an IP right will be granted if an applicant pays a fee and submits a translation (if necessary) within a certain period. In another jurisdiction, an IP right will be granted provided that no pre-grant opposition is filed within a certain period or such an opposition is inadmissible, rejected or withdrawn.)

- D23*. Examination continued following pre-grant review (An examination of an application was continued following a pre-grant review.)
- D24*. Re-examination commenced (A re-examination of the application was commenced.)
- E. Pre-grant review request:** This category is a group of events related to the request for a pre-grant review. It includes, for example, a request for a pre-grant opposition, pre-grant re-examination, or pre-grant limitation. It also includes when such a request was inadmissible, rejected or withdrawn. The events in this category may move an application from the examination stage or the termination likely/termination stage into the pre-grant challenge stage.
- E10. **Pre-grant review requested:** A pre-grant review was requested. This includes, but is not limited to a request for a pre-grant opposition, pre-grant re-examination, or pre-grant limitation.
- E11*. Pre-grant opposition filed (A pre-grant opposition was filed.)
- E12*. Pre-grant re-examination requested (A pre-grant re-examination was requested.)
- E13*. Pre-grant limitation requested (A pre-grant limitation of the application was requested.)
- E14. Pre-grant third party observation filed (A third party filed prior art documents or other related information with the IPO before the grant of an IP right.)
- E15. Request for pre-grant review rejected (A request for a pre-grant review was inadmissible, rejected or withdrawn.)
- F. IP right grant:** This category is a group of events which relate to the effective grant date of an IP right and/or entry of an IP right into the IPO's register. It includes, for example, when an IP right was granted following an examination, an appeal, pre-grant review or inadmissibility, rejection or withdrawal of a pre-grant review request. The events in this category may move an application from the examination stage or the pre-grant challenge stage into the grant stage.
- F10. **IP right granted:** An IP right was granted in full or amended form after an examination, a pre-grant review or an appeal. This includes, but is not limited to when an IP right was granted after a formality or substantive examination, or subsequent to a pre-grant review.
- F11*. IP right granted following substantive examination (Following a substantive examination, an IP right was granted by the IPO.)
- F12*. IP right granted following formality examination (Following a formality examination, an IP right was granted by the IPO.)
- F13*. IP right granted in full following pre-grant review (Following a pre-grant review, an IP right was granted in full.)
- F14*. IP right granted in amended form following pre-grant review (Following a pre-grant review, an IP right was granted in amended form.)
- F15*. IP right granted following rejected pre-grant review request (Following an inadmissible, rejected or withdrawn request for a pre-grant review, the IP right was granted)
- F16. IP right converted from another IP right (An IP right was converted from one type of IP right into another.)
- G. Protection beyond IP right term:** This category is a group of events related to the protection of an IP right beyond its term. It includes, for example, a request for a patent term adjustment (PTA), patent term extension (PTE) or a supplementary protection certificate (SPC) extension and also includes related events that occur subsequent to such a request. The events in this category occur during the grant stage.
- G10. **Protection beyond IP right term granted:** Protection beyond the IP right term was granted. This includes, but is not limited to the granting of a patent term adjustment (PTA), patent term extension (PTE) or a supplementary protection certificate (SPC) extension.
- G11. Extension of SPC term requested (An extension of a Supplementary Protection Certificate (SPC) term was requested.)
- G12. Extension of SPC term not granted (An extension of a Supplementary Protection Certificate (SPC) term was not granted.)
- G13*. Extension of SPC term granted (An extension of a Supplementary Protection Certificate (SPC) term was granted.)
- G14. Extension of SPC term revoked (An extension of a Supplementary Protection Certificate (SPC) term was revoked by the IPO.)
- G15. PTA requested (A Patent Term Adjustment (PTA) was requested.)
- G16. PTA not granted (A Patent Term Adjustment (PTA) was not granted.)
- G17*. PTA granted (A Patent Term Adjustment (PTA) was granted.)
- G18. PTE requested (A Patent Term Extension (PTE) was requested.)
- G19. PTE not granted (A Patent Term Extension (PTE) was not granted.)
- G20*. PTE granted (A Patent Term Extension (PTE) was granted.)
- H. IP right cessation:** This category is a group of events related to the cessation of an IP right. It includes, for example, the cessation of an IP right following an IP right review, an appeal, a refusal to reinstate, or a lapse or

expiry. The events in this category may move an IP right from the grant stage or the post-grant challenge stage into the termination likely/termination stage.

H10. **IP right ceased:** An IP right has ceased. This includes, but is not limited to when an IP right has ceased following an IP right review or an appeal, due to a refusal to revive, or because of a lapse or expiry.

H11*. IP right ceased following rejected request for revival (A request for revival of a ceased IP right was inadmissible, rejected or withdrawn.)

H12*. IP right ceased following an IP right review (The IP right was ceased following an IP right review.)

H13*. IP right lapsed (The IP right was ceased through neglect to maintain it, for example, non-payment of fees or not responding to an office action.)

H14*. IP right expired (A statutory IP right term, for example 20 years from the filing date, has expired.)

H15*. IP right surrendered (An IP right was surrendered or abandoned by the IP right owner.)

K. IP right revival: This category is a group of events related to the revival, reinstatement or restoration of an IP right after its cessation. It includes, for example, the request for the revival and the decision to revive an IP right, including by way of an appeal. The events in this category may move an IP right from the termination likely/termination stage into the grant stage or the post-grant challenge stage.

K10. **IP right revived:** An IP right was revived, reinstated or restored in full or amended form after its cessation. This includes, but is not limited to when an IP right is revived following payment of an out standing maintenance or renewal fee or following an appeal.

K11. IP right revival requested (A revival, reinstatement or restoration of a ceased IP right was requested.)

K12. Request for IP right revival rejected (A request for revival, reinstatement or restoration of a ceased IP right was inadmissible, rejected or withdrawn.)

K13*. IP right revived in full (A ceased IP right was revived, reinstated or restored in full.)

K14*. IP right revived in amended form (A ceased IP right was revived, reinstated or restored in amended form.)

L. IP right review request: This category is a group of events related to a request for a review of an IP right after its grant. It includes, for example, a request for a post-grant opposition, re-examination, limitation, reissue, surrender, or invalidation. It also includes when such a request was inadmissible, rejected or withdrawn. The events in this category may move an IP right from the grant stage or the termination likely/termination stage into the post-grant challenge stage.

L10. **IP right review requested:** An IP right review was requested. This includes, but is not limited to a request for a post-grant opposition, re-examination, limitation, reissue, surrender, or invalidation.

L11*. Post-grant opposition filed (A post-grant opposition was filed.)

L12*. Post-grant re-examination requested (A post-grant re-examination was requested.)

L13*. Limitation or reissue of IP right requested (A limitation or reissue of an IP right was requested.)

L14*. Surrender of IP right requested (A request to surrender an IP right was made by the IP right owner.)

L15*. Invalidation requested (An administrative revocation, cancellation, nullity, annulment or invalidation proceeding was requested.)

L16. Post-grant third party observation filed (A third party filed prior art documents or other related information with the IPO after the grant of an IP right.)

L17. Declaration of non-infringement requested (A third party requested a declaration of non-infringement of the IP right.)

L18. Request for IP right review rejected (A request for an IP right review was inadmissible, rejected or withdrawn.)

L19*. Post-termination review requested (A post-termination review was requested to invalidate an IP right *ex tunc*.)

M. IP right maintenance: This category is a group of events related to the maintenance of a granted IP right in full or amended form. It includes, for example, an IP right being maintained in full or amended form following an appeal, an IP right review or the inadmissibility, rejection or withdrawal of a request for an IP right review. The events in this category may move an IP right from the post-grant challenge stage into the grant stage.

M10. **IP right maintained:** An IP right was maintained in full or amended form. This includes, but is not limited to when an IP right was maintained following an appeal, an IP right review or when a request for an IP right review was inadmissible, rejected or withdrawn.

M11*. IP right maintained in full following an IP right review or an appeal (The IP right was maintained in full following an appeal or an IP right review, for example, following a post-grant opposition, post-grant re-examination, limitation or reissue, surrender, or invalidation proceeding.)

M12*. IP right maintained in amended form following an IP right review or an appeal (The IP right was maintained in amended form following an appeal or an IP right review, for example, following a post-grant opposition, post-grant re-examination, limitation or reissue, surrender, or invalidation proceeding.)

- M13*. IP right maintained following rejected IP right review request (The IP right was maintained following an inadmissible, rejected or withdrawn request for an IP right review.)
- M14. Re-examination certificate issued (A re-examination certificate was issued following a re-examination procedure confirming which claims were confirmed, cancelled or amended.)
- N. Termination:** This category is a group of events related to the termination of an application or an IP right without a possibility of its revival. It includes, for example, when an application or IP right was terminated by the IPO or a court. The events in this category are not available to all IPOs.
- N10. **Application or IP right terminated:** An application or IP right was terminated.
- N11*. Application terminated (An application was terminated.)
- N12*. IP right terminated (A granted IP right was terminated.)
- P. Document modification:** This category is a group of events related to modifications of an application, IP right document or other document, which occur outside the context of a pre-grant review or IP right review. It includes, for example, amendments and corrections of errors in applications and IP right documents. The events in this category may occur during any stage.
- P10. **Document modified:** An amendment or correction was made to an application, IP right document or other document, excluding modifications which occur in the context of a pre-grant review or IP right review. This includes, but is not limited to corrections of errors in IP documents, amendments to applications or amendments to translations of applications.
- P11. Amendment of application requested (An amendment of the application has been requested.)
- P12. Request for amendment of application rejected (A request to amend the application was inadmissible, rejected or withdrawn.)
- P13*. Application amended (The application has been amended in response to a request by the applicant.)
- P14. Amendment of IP right document requested (An amendment of the IP right document has been requested outside the scope of an IP right review.)
- P15. Request for amendment of IP right document rejected (A request for an amendment of the IP right document outside the scope of an IP right review was inadmissible, rejected or withdrawn.)
- P16*. IP right document amended (The IP right document has been amended outside the scope of an IP right review in response to a request by the IP right owner.)
- P17*. Translation of an application amended (A translation of the application has been amended.)
- P18*. Priority claim added or amended (A priority claim has been added or amended.)
- P19. Errors in documents containing IPO's decisions corrected (Errors, such as a linguistic error, transcription error or obvious mistakes have been corrected in documents containing decisions of the IPO.)
- P20*. Errors in documents filed by the applicant or IP right owner corrected (Errors in documents filed by the applicant or IP right owner have been corrected.)
- P21*. Publication errors corrected (Errors in a document published by the IPO, including an application or an IP right document have been corrected.)
- P22. Classification modified (The assigned classification of an application or IP right document was changed, corrected or reclassified according to IPC, CPC or national/regional classifications.)
- P23. Related IP right document modified (A related IP right document, such as a linked basic patent was modified.)
- P24. Related application modified (A related application, such as a regional application was modified.)
- Q. Document publication:** This category is a group of events related to document publication by the IPO. It includes, for example, publication of an application, IP right document or bibliographic information by the IPO. The events in this category may occur during any stage.
- Q10. **Document published:** A document was published by the IPO. This includes, but is not limited to publication of an application, IP right document or bibliographic information.
- Q11*. Certain bibliographic information on the application published (Certain bibliographic information on the application and the applicant, for example, the application number, title of the invention and the applicant's name, were published before the publication of the application as filed.)
- Q12*. Application published (An application was published by the IPO; an IPO may accept an application in a foreign language for the purpose of according a filing date; however, in general, the IPO requires that an applicant submit a translation of the application in a language the IPO publishes in, before it will be published.)
- Q13*. IP right document published (The document related to a granted or registered IP right or an IP right which the IPO intends to grant was published.)
- Q14*. Secret application or IP right declassified and published (A secret application or IP right was declassified and published.)
- Q15. Earlier publication cancelled (A publication, including an application, IP right document or bibliographic information, was cancelled or withdrawn by the IPO.)

Q16*. A copy of IP right certificate issued (An official copy of an IP right certificate was issued.)

Q17*. Amended document published (An amended document was published.)

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

R10. Party data change recorded: A change in the data identifying the parties concerned with an application or IP right was recorded by the IPO. This includes, but is not limited to when a change to the name(s), composition or contact information of a party, e.g. the applicant(s), owner(s), inventor(s) or representative(s), was recorded by the IPO. This also includes when an IPO records a change in ownership due to a transfer of rights, an assignment or a legal proceeding.

R11. Change to the name of applicant or owner or transfer of ownership requested (A change to the name(s) of the applicant(s) or owner(s), a transfer of ownership or an assignment was requested, or a legal proceeding was commenced to change the applicant(s) or owner(s) of the application or IP right.)

R12*. Change to the name of applicant or owner or transfer of ownership recorded (A change to the applicant(s) or owner(s) of the application or IP right, including a change in name(s) or in composition, was recorded by the IPO. This may be due to a name change, a transfer of ownership, an assignment or a legal proceeding.)

R13*. Change to the name of applicant or owner recorded (A change to the name(s) of the applicant(s) or owner(s) of the application or IP right was recorded by the IPO.)

R14*. Transfer of ownership recorded (A transfer of ownership, an assignment or a change to the composition of applicant(s) or owner(s) of the application or IP right due to a legal proceeding was recorded by the IPO.)

R15. Change to inventor requested (A change in the name(s) or composition of the inventor(s) was requested or a legal proceeding was commenced to change the inventor(s) of the application or IP right.)

R16*. Change to inventor recorded (A change to the inventor(s), including a change in name(s) or in composition, was recorded by the IPO.)

R17*. Change to representative recorded (A change to the representative(s) of the applicant(s) or owner(s), including a change in name(s) or in composition, was recorded by the IPO.)

R18*. Changes to party contact information recorded (A change to the contact information, such as the email address, postal address or phone number of a party was recorded by the IPO.)

R19. Request for party data change rejected (A request for a party data change was inadmissible, rejected or withdrawn.)

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

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

S11*. Voluntary license recorded (A voluntary licensing arrangement, on an exclusive or non-exclusive basis, between an applicant or IP right owner and another party was recorded.)

S12*. Recordation of voluntary license amended (Recordation of a voluntary license was amended.)

S13*. Recordation of voluntary license cancelled (Recordation of a voluntary license was cancelled.)

S14*. Exclusive voluntary license recorded (A voluntary licensing arrangement, on an exclusive basis, between an applicant or IP right owner and another party was recorded.)

S15*. Recordation of exclusive voluntary license amended (Recordation of an exclusive voluntary license was amended.)

S16*. Recordation of exclusive voluntary license cancelled (Recordation of an exclusive voluntary license was cancelled.)

S17*. Non-exclusive voluntary license recorded (A voluntary licensing arrangement, on a non-exclusive basis, between an applicant or IP right owner and another party was recorded.)

S18*. Recordation of non-exclusive voluntary license amended (Recordation of a non-exclusive voluntary license was amended.)

S19*. Recordation of non-exclusive voluntary license cancelled (Recordation of a non-exclusive voluntary license was cancelled.)

S20*. Security interest recorded (A security interest, pledge or mortgage between an applicant or IP right owner and another party was recorded.)

S21*. Recordation of security interest amended (Recordation of a security interest, pledge or mortgage was amended.)

S22*. Recordation of security interest cancelled (Recordation of a security interest, pledge or mortgage was cancelled.)

S23*. Compulsory license recorded (A compulsory license was recorded following the grant of a license by the IPO to allow another party to produce, use or import the protected product or process without the consent of the applicant or IP right owner.)

S24*. Recordation of compulsory license amended (Recordation of a compulsory license was amended.)

S25*. Recordation of compulsory license cancelled (Recordation of a compulsory license was cancelled.)

- S26*. Availability or offer of license by an applicant or IP right owner recorded (Availability or an offer by an applicant or IP right owner to license his or her rights to third parties by way of a binding or non-binding commitment, for example a non-binding interest to grant a license or willingness to grant a license, was recorded.)
- S27*. Recordation of availability or offer of license by applicant or IP right owner cancelled (Recordation of availability or an offer of a license by an applicant or IP right owner was cancelled.)
- S28*. Royalty agreement recorded (A royalty agreement between an applicant or IP right owner and another party was recorded.)
- S29*. Recordation of royalty agreement amended (Recordation of a royalty agreement was amended.)
- S30*. Recordation of royalty agreement cancelled (Recordation of a royalty agreement was cancelled.)
- S31*. Sublicense recorded (A sublicense was recorded between a licensee and a sublicensee.)
- S32*. Recordation of sublicense amended (Recordation of a sublicense was amended.)
- S33*. Recordation of sublicense cancelled (Recordation of a sublicense was cancelled.)
- S34*. Concession recorded (A concession was recorded.)
- S35*. Recordation of concession amended (Recordation of a concession was amended.)
- S36*. Recordation of concession cancelled (Recordation of a concession was cancelled.)
- S37*. Subconcession recorded (A subconcession was recorded.)
- S38*. Recordation of subconcession amended (Recordation of a subconcession was amended.)
- S39*. Recordation of subconcession cancelled (Recordation of a subconcession was cancelled.)

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

- T10. **Administrative procedure adjusted:** An adjustment has been made to an administrative procedure. This includes, but is not limited to a time limit extension, a suspension, stay or interruption of an administrative procedure, or resumption of a suspended, stayed or interrupted procedure.
- T11. Administrative time limit extension requested (An extension of a time limit or continued processing was requested.)
- T12. Administrative time limit extension not granted (A request for an extension of a time limit or continued processing was inadmissible, rejected or withdrawn.)
- T13*. Administrative time limit extension granted (A request for an extension of a time limit or continued processing was granted.)
- T14*. Administrative procedure suspended or stayed (An administrative procedure was suspended, stayed or discontinued.)
- T15*. Administrative procedure interrupted (An administrative procedure was interrupted.)
- T16*. Administrative procedure resumed (An administrative procedure which had previously been suspended, stayed, discontinued or interrupted was resumed.)

U. Payment: This category is a group of events related to the payment of fees. It includes, for example, payment of a renewal, maintenance or other designation fee. The events in this category may occur during any stage.

- U10. **Fee paid:** A fee payment was made. This includes, but is not limited to payment of a renewal, maintenance or designation fee.
- U11*. Renewal or maintenance fee paid (A renewal or maintenance fee was paid.)
- U12*. Designation fee paid (A designation fee was paid.)
- U13. Renewal or maintenance fee not paid (A renewal or maintenance fee was not paid by the due date.)

V. Appeal: This category is a group of events related to an appeal of a decision made during the prosecution of an IP right. It includes, for example, a request by the applicant, IP right owner, or third party for an administrative or court appeal of any decision made during the prosecution of an IP right and the procedural outcome of such an appeal. The substantive outcome of the appeal may be mapped to an event in another category, for example, application discontinued, application revived, IP right granted, IP right ceased, or IP right maintained. The events in this category may occur during any stage.

- V10. **Appeal requested:** An appeal of a decision made during the prosecution of an application or IP right was requested to an administrative body, tribunal, board or court. This includes, but is not limited to when an applicant or IP right owner requests an appeal against a decision made by the examiner during the prosecution of the IP right.
- V11*. Administrative appeal requested (An appeal of a decision was requested to an administrative body, board, or tribunal.)
- V12*. Court appeal requested (An appeal of a decision was requested to a court or judicial body.)
- V13. Appeal inadmissible, rejected or withdrawn (The appeal was inadmissible, rejected or withdrawn).

- V14. Decision remanded (The appeal was allowed and the appellate body remanded the decision back to the original decision-maker for reconsideration.)
- V15. Decision substituted (The appeal was allowed and the appellate body substituted its own decision for the original decision.)
- W. Other:** This category covers events which cannot be categorized under any other Category. It is recommended to use this category as a last resort for unusual cases, where a liberal interpretation of the description of all other Categories would fail to adequately describe the national/regional event (e.g. legacy events or interim/internal events).
- W10. **Other event occurred:** An event which cannot be categorized under any other category occurred (e.g. a legacy event or an interim/internal event.)
- Y. Correction and deletion of event information:** This category is a group of events related to the correction or deletion of erroneous event information that the IPO previously provided. It includes, for example, correction in the status event code of an application or IP right provided under this Standard or the correction or deletion of an event that was announced erroneously in a gazette, IP register or other published documentation. The events in this category may occur during any stage.
- Y10. **Event information corrected or deleted:** Errors in the legal status data have been corrected or deleted. This includes, but is not limited to corrections of legal status data provided under this Standard or the correction or deletion of an event that was announced erroneously in a gazette, IP register or other published documentation.

[Annex II follows]

ANNEX II

SUPPLEMENTARY EVENT DATA

*Adopted by the Committee on WIPO Standards (CWS)
at its fifth session on June 2, 2017*

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

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

C	Application revival	This category is a group of events related to the revival, reinstatement or restoration of an application after it has been discontinued. It includes, for example, when an application was revived following a request for application revival after payment of an outstanding fee, responding to an outstanding office action which had resulted in the application being discontinued, or following an appeal. The events in this category may move an application from the termination likely/termination stage into the filing stage, examination stage or pre-grant challenge stage.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. Discontinuation Date
D	Search and examination	This category is a group of events related to the examination proceeding and prior art searches. It includes, for example, a formality examination or a substantive examination. It also includes a request for a prior art search and an announcement of the intention of the IPO to grant an IP right. The events in this category may move an application from the filing stage into the examination stage.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. Search Category (e.g. first, further invention, additional search due to shift in scope of claims) 5. Requester of Search (e.g. applicant, third party, or independently by the IPO) 6. Requester of Examination (e.g. applicant, third party, or independently by the IPO)
E	Pre-grant review request	This category is a group of events related to the request for a pre-grant review. It includes, for example, a request for a pre-grant opposition, pre-grant re-examination, or pre-grant limitation. It also includes when such a request was inadmissible, rejected or withdrawn. The events in this category may move an application from the examination stage or the termination likely/termination stage into the pre-grant challenge stage.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. Details of Court/Tribunal (e.g. name of court, tribunal, IPO body) 5. Party Name(s) 6. Representative's Name(s) & Contact Details
F	IP right grant	This category is a group of events which relate to the effective grant date of an IP right and/or entry of an IP right into the IPO's register. It includes, for example, when an IP right was granted following an examination, an appeal, pre-grant review or inadmissibility, rejection or withdrawal of a pre-grant review request. The events in this category may move an application from the examination stage or the pre-grant challenge stage into the grant stage.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. Name of Registered Owner 5. Reference to Pre-grant Review Decision (e.g. court or tribunal order following pre-grant review)

G	Protection beyond IP right term	This category is a group of events related to the protection of an IP right beyond its term. It includes, for example, a request for a patent term adjustment (PTA), patent term extension (PTE) or a supplementary protection certificate (SPC) extension and also includes related events that occur subsequent to such a request. The events in this category occur during the grant stage.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. Extension Date (e.g. end date of PTA, PTE, or SPC extension)
H	IP right cessation	This category is a group of events related to the cessation of an IP right. It includes, for example, the cessation of an IP right following an IP right review, an appeal, a refusal to reinstate, or a lapse or expiry. The events in this category may move an IP right from the grant stage or the post-grant challenge stage into the termination likely/termination stage.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. <i>Ex tunc</i> or <i>Ex nunc</i> Indicator 5. Decision Authority Category (e.g. national court, tribunal, IPO)
K	IP right revival	This category is a group of events related to the reinstatement or restoration of an IP right after its cessation. It includes, for example, the request for the reinstatement and the decision to reinstate an IP right, including by way of an appeal. The events in this category may move an IP right from the termination likely/termination stage into the grant stage or the post-grant challenge stage.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. Reinstatement Reason Category (e.g. following payment of fee) 5. Cessation Date 6. Expiry Date
L	IP right review request	This category is a group of events related to a request for a review of an IP right after its grant. It includes, for example, a request for a post-grant opposition, re-examination, limitation, reissue, surrender, or invalidation. It also includes when such a request was inadmissible, rejected or withdrawn. The events in this category may move an IP right from the grant stage or the termination likely/termination stage into the post-grant challenge stage.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. Party Name(s) 5. Representative's Name(s) & Contact Details

M	IP right maintenance	This category is a group of events related to the maintenance of a granted IP right in full or amended form. It includes, for example, an IP right being maintained in full or amended form following an appeal, an IP right review or the inadmissibility, rejection or withdrawal of a request for an IP right review. The events in this category may move an IP right from the post-grant challenge stage into the grant stage.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. IP Right Review Details (i.e. information about the IP right review, including court order details for example) 5. Decision Authority Category (e.g. court, tribunal, IPO)
N	Termination	This category is a group of events related to the termination of an application or an IP right. It includes, for example, when an application or IP right was terminated by the IPO or a court. The events in this category are not available to all IPOs.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text)
P	Document modification	This category is a group of events related to modifications of an application, IP right document or other document, which occur outside the context of a pre-grant review or IP right review. It includes, for example, amendments and corrections of errors in applications and IP right documents. The events in this category may occur during any stage.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. Publication identification 5. Modified Part of Document Category (e.g. bibliographic information, priority claim, specification, claims, drawings) 6. Modification Category (e.g. amendment or correction) 7. Previously Published (erroneous) Content 8. New (corrected) Content
Q	Document publication	This category is a group of events related to document publication by the IPO. It includes, for example, publication of an application, IP right document or bibliographic information by the IPO. The events in this category may occur during any stage.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. Patent Document Category (ST.16) 5. Publication Identification

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

U	Payment	This category is a group of events related to the payment of fees. It includes, for example, payment of a renewal, maintenance or other designation fee. The events in this category may occur during any stage.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. Fee Category (e.g. registration fee, maintenance fee, renewal fee, designation fee) 5. Paid to Date (i.e. the date up to which the fees have been paid, e.g. no renewal fees will be required until that date) 6. Next Fee Due Date (i.e. date at which the next fee becomes due) 7. Year of Fee Payment
V	Appeal	This category is a group of events related to an appeal of a decision made during the prosecution of an IP right. It includes, for example, a request by the applicant, IP right owner, or third party for an administrative or court appeal of any decision made during the prosecution of an IP right and the procedural outcome of such an appeal. The substantive outcome of the appeal may be mapped to an event in another category, for example, application discontinued, application revived, IP right granted, IP right ceased, or IP right maintained. The events in this category may occur during any stage.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. Appellate body 5. Decision Being Appealed 6. Appellate Decision Details 7. Decision Citation
W	Other	This category covers events which cannot be categorized under any other Category. It is recommended to use this category as a last resort for unusual cases, where a liberal interpretation of the description of all other Categories would fail to adequately describe the national/regional event (e.g. legacy events or interim/internal events).	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. National/regional Event Description
Y	Correction and deletion of event information	This category is a group of events related to the correction or deletion of event information that the IPO previously provided. It includes, for example, correction in the legal status event code of an application or IP right provided under this Standard or the correction or deletion of an event that was announced erroneously in a gazette, IP register or other published documentation. The events in this category may occur during any stage.	<ol style="list-style-type: none"> 1. Effective Country or Region 2. Gazette Issue Number 3. Comment (i.e. free text) 4. Status Event Identification (Status Event Code and Date; or Unique Identifier) 5. Previously Published Erroneous Content 6. New Corrected Content

[Annex III follows]

ANNEX III

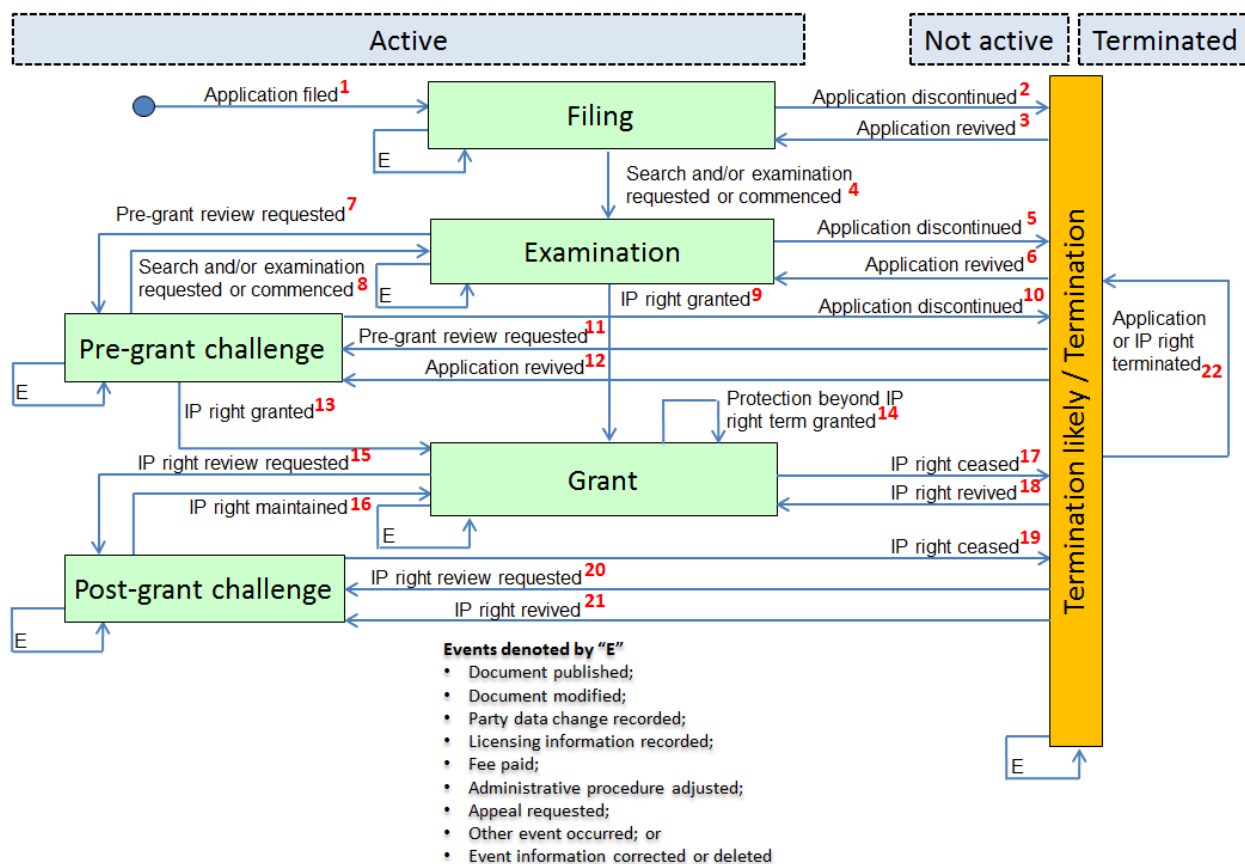
OVERALL PATENT/SPC PROSECUTION MODEL WITH EXAMPLES

Adopted by the Committee on WIPO Standards (CWS)

at its fifth session on June 2, 2017

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

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



1. Application filed
- An international (PCT) application was filed
 - An international application (PCT) entered into the national or regional phase
 - A national or regional application was filed with an IPO

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

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

[Annex IV follows]

ANNEX IV

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

*Adopted by the Committee on WIPO Standards (CWS)
at its fifth session on June 2, 2017*

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

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

[End of Annex IV and of Standard]