

# EXCHANGE FORMAT

## EPO - Worldwide Legal Status

Exchange of legal status data as produced by the EPO  
from their master documentation database INPADOC

**AUTHOR:** European Patent Office  
**DISTRIBUTION:** Exchange Partners  
**VERSION:** 1.7.7  
**XML schema :** legal-status-documents-v1-2-5-transitional.xsd

**PRODUCT-ID** T03.03 LSS

## 0 DOCUMENT CONTROL

Version	Date	Reviser	Description
0.1	12/2012	F. Versloot	First draft
0.2	12/2012	F. Versloot	<p><b>Overall structure of XML</b></p> <ul style="list-style-type: none"> <li>added "hierarchy and sorted order"</li> </ul> <p><b>Attributes use="required"</b></p> <ul style="list-style-type: none"> <li>attributes representing meta-data generated at processing time re-defined "required"</li> </ul> <p><b>Attribute "document-id-type"</b></p> <ul style="list-style-type: none"> <li>not populated in this product document-id in DOCDB format by default</li> </ul> <p><b>Attributes "doc-id" and "lang"</b></p> <ul style="list-style-type: none"> <li>attributes have bearing on document-<i>reference</i> type rather than document-<i>id</i> type</li> <li>attributes have been moved one level up</li> </ul> <p><b>XML instance &lt;legal-status-document&gt;</b></p> <ul style="list-style-type: none"> <li>moved attributes "doc-id" and "family-id" to root-level</li> </ul> <p><b>XML element &lt;application-reference&gt;</b></p> <ul style="list-style-type: none"> <li>maintain copy of "doc-id" on this level as well</li> <li>introduced attribute "status" attribute is populated when application-reference itself has been subject to change</li> </ul> <p><b>XML element &lt;publication-reference&gt;</b></p> <ul style="list-style-type: none"> <li>introduced attribute "doc-id" for future use</li> </ul> <p><b>XML element &lt;event-details&gt;</b></p> <ul style="list-style-type: none"> <li>defined mandatory, one occurrence only events published under one code on the same date by one provider for one document bundled in one instance of &lt;event-details&gt;</li> <li>moved &lt;event-description&gt; to &lt;event-details&gt; defined mandatory to arrive at at least one mandatory element in the sequence</li> </ul> <p><b>XML element &lt;parties&gt;</b></p> <ul style="list-style-type: none"> <li>element &lt;address&gt; optional - not always provided</li> </ul>

Version	Date	Reviser	Description
0.3	01/2013	Fenny	<p><b>XML element &lt;ipr-status&gt;</b></p> <ul style="list-style-type: none"> <li>new element, not supported in this product</li> </ul> <p><b>XML element &lt;event-class&gt;</b></p> <ul style="list-style-type: none"> <li>restriction base added</li> <li>element &lt;event-class&gt; not supported yet</li> <li>no impact on documentation</li> </ul> <p><b>XML element &lt;parties&gt;</b></p> <ul style="list-style-type: none"> <li>attribute "party-status" converted into elements</li> <li>party-status="new" into &lt;parties-details&gt;</li> <li>party-status="old" into &lt;parties-details-old&gt;</li> </ul> <p><b>XML element &lt;product&gt; in &lt;spc&gt;</b></p> <ul style="list-style-type: none"> <li>&lt;registration-date&gt; instead of &lt;date-registration&gt;</li> </ul> <p><b>XML element &lt;patent-classification&gt;</b></p> <ul style="list-style-type: none"> <li>grouping tag &lt;patent-classifications&gt; added</li> <li>attributes "scheme" and "sequence-number" added</li> </ul>
0.4	01/2013	Fenny	<p><b>XML element &lt;legal-event&gt;</b></p> <ul style="list-style-type: none"> <li>new attribute "reference-to-publication" - optional - links legal event to a given publication-reference</li> </ul> <p><b>XML element &lt;parties&gt;</b></p> <ul style="list-style-type: none"> <li>&lt;parties-details&gt; and &lt;parties-details-old&gt;, to cater for events that do not involve change</li> </ul>
0.5	01/2013	Raul	<p><b>XML element &lt;date-effective&gt;</b></p> <ul style="list-style-type: none"> <li>renamed to &lt;event-date-effective&gt;</li> <li>moved up from &lt;event-details&gt; to &lt;legal-event&gt;</li> </ul> <p><b>XML element &lt;date-withdrawn&gt;</b></p> <ul style="list-style-type: none"> <li>renamed to &lt;date-application-withdrawn&gt;</li> </ul> <p><b>XML element &lt;date-expiry&gt;</b></p> <ul style="list-style-type: none"> <li>renamed to &lt;date-expiry-of-patent&gt;</li> </ul> <p><b>XML element &lt;date-extension&gt;</b></p> <ul style="list-style-type: none"> <li>renamed to &lt;date-extension-granted&gt;</li> </ul> <p><b>XML element &lt;fee-payments&gt;</b></p> <ul style="list-style-type: none"> <li>element &lt;fee-payment-date&gt; defined mandatory</li> </ul> <p><b>XML element &lt;patent-classification&gt;</b></p> <ul style="list-style-type: none"> <li>moved "scheme" attribute to the child element &lt;classification-scheme&gt;</li> </ul> <p><b>XML element &lt;parties&gt;</b></p> <ul style="list-style-type: none"> <li>cardinality set to "unbounded"</li> </ul>

Version	Date	Reviser	Description
0.6	02/2013	Fenny	<b>XML mapping</b> <ul style="list-style-type: none"> <li>Legacy tag &lt;L004EP&gt; does not identify "reference-to-publication"</li> </ul>
0.7	02/2013	Fenny	<b>XML instance &lt;legal-status-document&gt;</b> <ul style="list-style-type: none"> <li>attribute "doc-id" - unique and stable application-identifier - not supported at this level; only supported on element &lt;application-reference&gt;</li> </ul> <b>XML element &lt;event-document&gt;</b> <ul style="list-style-type: none"> <li>element moved one level down, from &lt;legal-event&gt; to &lt;event-details&gt;</li> </ul>
0.7.1	02/2013	Fenny	<b>XML instance &lt;legal-event&gt;</b> attribute "event-type" - two additional values : <ul style="list-style-type: none"> <li>"PG" - event relating to "post-grant"</li> <li>"NAT" - event relating to national filing - as opposed to "REG" - event relating to national filing based on a regional application</li> </ul> <b>XML element &lt;fee-payment&gt; - "post-grant"</b> <ul style="list-style-type: none"> <li>&lt;fee-payments&gt; introduced grouping multiple occurrences of &lt;fee-payment&gt; published on the same date</li> <li>additional tag &lt;office-of-filing&gt; introduced</li> <li>additional tag &lt;text&gt; introduced</li> </ul> <b>New in &lt;event-details&gt; - "post-grant"</b> <ul style="list-style-type: none"> <li>&lt;notifications-of-lapse&gt; grouping multiple occurrences of &lt;notification-of-lapse&gt; published on the same date</li> <li>&lt;notifications-of-reinstatement&gt; grouping multiple occurrences of &lt;notification-of-reinstatement&gt; published on the same date</li> </ul> Both new elements support <office-of-filing> <b>User Documentation</b> <ul style="list-style-type: none"> <li>usage examples legacy product versus new product</li> <li>description of legacy L-tags grouped per theme</li> </ul>
0.8	04/2013	Fenny	<b>XML instance &lt;legal-event&gt;</b> attribute "event-type" - two additional values retracted

Version	Date	Reviser	Description
0.9	11/2013	Fenny	<p><b>Following the EPOPIC/2013 – Raw Data User meeting</b></p> <p><b>Application re-keys</b></p> <ul style="list-style-type: none"> <li>proposed change of strategy – to migrate to a DOC_ID based re-key – has been abandoned</li> <li>application re-key will continue to be exchanged in two records : <ul style="list-style-type: none"> <li>'D' for the application under the old identifier</li> <li>'C' for the application under the new identifier</li> </ul> </li> <li>as a consequence, attribute "status" on element &lt;application-reference&gt; will not be supported</li> <li>attribute "status" is only supported on data items managed and maintained in world-wide legal status</li> <li>§ 8.2.3 and § 8.3 have become redundant</li> </ul> <p><b>Delete of a legal event</b></p> <ul style="list-style-type: none"> <li>events that have been delete will continue to be included in the exchange</li> <li>"delete event" will be identified by status 'D'</li> </ul>
1.0	01/2014	Fenny	<b>Out of draft</b>
1.1.	02/2014	Fenny	<p><b>Packaging and Index</b></p> <p>Section included on packaging – defining the packaging strategy and indexing</p>
1.2	09/2014	Fenny	<p><b>Attributes from "required" to "optional"</b></p> <ul style="list-style-type: none"> <li>family-id @ &lt;legal-status-document&gt; when status="D" @ &lt;legal-status-document&gt; not available in DOCDB anymore at exchange time</li> <li>date-added @ &lt;legal-event&gt; not supported when not available</li> </ul> <p><b>Element &lt;publication-reference&gt;</b></p> <p>Not supported when status="D" @ &lt;legal-status-document&gt;; not available in DOCDB anymore at exchange time</p> <p><b>" Grouped Events"</b></p> <p>New attribute "status" @ elements &lt;fee-payment&gt;, &lt;notification-of-lapse&gt;, &lt;notification-of-reinstatement&gt;, &lt;patent-classification&gt;, &lt;parties&gt;</p> <p>Changes to <i>How to interpret change-indicator "status"</i> in</p>

Version	Date	Reviser	Description
			<u><i>§8.2.2 Legal Event</i></u> and <u><i>§8.2.3 Grouped Events</i></u>
1.3	10/2014	Fenny	<b>Screenshots</b> Replaced by snaps supported by Altova/XML Spy
1.4	03/2015	Fenny	<b>"Grouped Events"</b> Management of attribute "status" simplified <b>How to manage attribute "status"</b> Reviewed to introduce more transparency <b>NEW</b> Points of attention when "mixing and matching " Attribute "status" and "doc-id" in application re-keys
1.5	07/2015	Fenny	<b>Kick off parallel run</b> <ul style="list-style-type: none"> <li>Review of the document in general</li> <li>Upgrade of usage examples and diagrams</li> <li>Usage samples statistics.csv inserted</li> <li>Schema-definition release out of draft; re-released as legal-status-documents-v1-0-transitional.xsd without any modifications to the schema itself</li> </ul> <b>One modification compared to last version</b> Element <parties> taken out of "Grouped Events" following issues reported by users
1.6	02/2016	Fenny	<b>Following feed-back from users</b> <ul style="list-style-type: none"> <li>Concept of "grouped events" Concept has been abandoned; one instance of &lt;legal-event&gt; will only ever represent one single event</li> <li>Attribute "providing-office" To be populated with L501EP when event-code is ENP* or NENP</li> <li>Attribute "party-type" Attribute is populated with "licensee" instead of "applicant" in the case of tag L522EP</li> </ul>

Version	Date	Reviser	Description
1.7	03/2016	Fenny	<p><b>Following quality control campaign</b></p> <ul style="list-style-type: none"> <li>Attribute “providing-office” Issues in legacy data resolved – data inconsistency Additional info on what “providing-office” represents</li> <li>New element &lt;event-reference&gt; to resolve issues in legacy data, supporting a choice between reference by document-number or by document-kind               <ol style="list-style-type: none"> <li>&lt;event-ref-document&gt;</li> <li>&lt;event-ref-kind&gt;</li> </ol> </li> <li>Element &lt;fee-payment&gt; now supporting choice of:               <ul style="list-style-type: none"> <li>&lt;fee-payment-date&gt; only</li> <li>&lt;fee-payment-year&gt; only</li> <li>&lt;fee-payment-date&gt; and &lt;fee-payment-year&gt;</li> </ul> </li> <li>Element &lt;text&gt; Issue duplication of &lt;text&gt; when SPC supports additional elements, e.g. fee-payment or parties</li> <li>Element &lt;event-date-effective&gt; Issue duplication of date in case of notification of lapse, notification of reinstatement</li> </ul> <p><b>Added:</b></p> <ul style="list-style-type: none"> <li>§4.1 Logical Model (high level logical model)</li> <li>Annex on “Release Notes”</li> </ul> <p><b>“Read me”</b></p> <ul style="list-style-type: none"> <li>§5.3 XML Instance &lt;legal-event&gt;</li> <li>§5.4.2 Element &lt;event-reference&gt;</li> <li>§7.3 Legal Event</li> <li>§7.4 Event Details</li> <li>§8 ANNEX II – Release Notes</li> <li>legal-status-documents-v1-2-x-transitional.xsd</li> </ul> <p>Sub AMENDMENTS of 2016/March</p>

Version	Date	Reviser	Description
1.7.3	May 2016	Fenny	<p><b>Element &lt;event-reference&gt;</b>  Additional option in &lt;event-reference&gt; to reduce number of validation errors triggered by incomplete references, now supporting a choice between</p> <ul style="list-style-type: none"> <li>• &lt;event-ref-document&gt;</li> <li>• &lt;event-ref-kind&gt;</li> <li>• &lt;text&gt;</li> </ul> <p>where &lt;text&gt; will be populated with the information available, when some of the elements required are missing – currently these will trigger a validation error.</p> <p><b>Element &lt;parties&gt;</b>  Element &lt;parties-details-old&gt; not populated anymore; previous owners and additional information is exchanged in &lt;parties&gt;&lt;text&gt;</p> <p><b>Modification to the schema-definition</b></p> <ul style="list-style-type: none"> <li>• element &lt;event-reference&gt; - new option, see above</li> <li>• element &lt;fee-payment-year&gt; - limited to a maximum value of '20' – restriction lifted to allow for values &gt;20, e.g. in the case of JP and KR events.</li> </ul> <p><b>New ANNEX</b></p> <ul style="list-style-type: none"> <li>• Significance and Properties of Attributes and Elements</li> </ul> <p><b>“Read me”</b></p> <ul style="list-style-type: none"> <li>• §5.4.2 Element &lt;event-reference&gt;</li> <li>• § 7 Significance and Properties of Attributes and Elements</li> <li>• §9 ANNEX II – Release Notes - §9.1.2</li> <li>• legal-status-documents-v1-2-3-transitional.xsd  sub AMENDMENTS of 2016/May</li> </ul>



Version	Date	Reviser	Description
1.7.4	March 2017	Fenny	<p><b>Element &lt;date-filing&gt;</b></p> <p>This element was defined as being exclusively related to SPC</p> <p>This is not the case, element &lt;date-filing&gt; can also appear in events related to opposition – e.g. US LIMR</p> <p>The element occurs in two places now</p> <ul style="list-style-type: none"> <li>• a child-element in element &lt;spc&gt;</li> <li>• a child-element in element &lt;event-details&gt;</li> </ul> <p>It is only to be populated inside &lt;spc&gt; when there are also other SPC elements available</p> <p><b>“Read me”</b></p> <ul style="list-style-type: none"> <li>• § 5.4 Event-Details – sub § 5.4.2</li> <li>• § 8 ANNEX I – Mapping XML tags – sub § 8.4</li> </ul>
1.7.5	July 2017	Fenny	<p><b>Attribute “event-id” @ &lt;legal-event&gt;</b></p> <p>New attribute “event-id” at legal-event – defined “optional” – representing the unique and stable identifier to the legal event</p> <p>This unique and stable identifier will allow:</p> <ul style="list-style-type: none"> <li>• in the case of a deleted event – status=”D” to pinpoint the exact event to delete</li> <li>• in the case of an updated event – status=”D”+status=”C” to pair up “before update” image and “after update” image of one and the same event</li> </ul> <p><b>“Read me”</b></p> <ul style="list-style-type: none"> <li>• § 5.3 XML Instance &lt;legal-event&gt;</li> </ul>
1.7.6	May 2018	Fenny	<p><b>Element &lt;event-class&gt;</b></p> <p>Element &lt;event-class&gt; will be populated</p> <p><b>ANNEX V – List of Event Classes</b></p> <p>New annex listing the event classes currently in force</p>

Version	Date	Reviser	Description
1.7.7	July 2018	Fenny	<p><b>ANNEX III – Practical Hints and Tips</b></p> <p>This amend is to remedy the fact that the exchange of a legal status document was NOT triggered when ONLY the value of the “doc-id” @ &lt;application-reference&gt; had changed and nothing else.</p> <p>When the application has been subject to manipulations in DOCDB that may have resulted in a modification of the “doc-id” ONLY – you will find</p> <ul style="list-style-type: none"> <li>• status="A" @ &lt;legal-status-document&gt;</li> <li>• NO status @ &lt;legal-event&gt;</li> <li>• modified value in “doc-id” @ &lt;application-reference&gt;</li> </ul> <p>§ 10.2.How to interpret change indicator status sub § 10.2.1 Legal status document</p>

---

## Table of Contents

<b>0</b>	<b>DOCUMENT CONTROL</b>	<b>2</b>
<b>1</b>	<b>INTRODUCTION</b>	<b>14</b>
1.1	Design Considerations	15
1.2	Product Structure	16
1.3	Product Strategy	19
<b>2</b>	<b>USEFUL LINKS</b>	<b>20</b>
<b>3</b>	<b>PRODUCT SPECIFIC FEATURES</b>	<b>21</b>
3.1	Attribute “status”	21
3.2	Unique and Stable Identifier	22
3.3	Reference to a National Code	23
3.4	Change of Ownership	25
3.5	SPC Product Information	26
<b>4</b>	<b>OVERAL STRUCTURE OF THE XML</b>	<b>27</b>
4.1	Logical Model	27
4.2	Root Element	28
4.3	Hierarchy and Sorted Order	29
<b>5</b>	<b>XML INSTANCES and ELEMENTS</b>	<b>30</b>
5.1	XML Instance <legal-status-documents>	30
5.2	XML Instance <legal-status-document>	31
5.2.1.	Element <application-reference>	33
5.2.2.	Element <publication-reference>	34
5.2.3.	Element <ipr-type>	35
5.2.4.	Element <ipr-status>	35
5.3	XML Instance <legal-event>	36
5.3.1.	Element <event-date>	38
5.3.2.	Element <event-date-effective>	38
5.3.3.	Element <gazette-reference>	38
5.3.4.	Element <event-class>	38
5.3.5.	Element <event-code>	38
5.4	XML Instance <event-details>	39
5.4.1.	Element <date-application-withdrawn>	40
5.4.2.	Element <date-filing>	40
5.4.3.	Element <event-description>	41
5.4.4.	Element <event-reference>	42

---

5.4.5.	Element <parties> .....	43
5.4.6.	Element <spc> .....	44
5.4.7.	Elements <designated-states> & <extension-states> .....	45
5.4.8.	Element <fee-payment> .....	45
5.4.9.	Element <notification-of-lapse> .....	46
5.4.10.	Element <notification-of-reinstatement> .....	46
5.4.11.	Element <patent-classification> .....	47
5.4.12.	Element <text> .....	47
<b>6</b>	<b>USAGE EXAMPLES .....</b>	<b>48</b>
6.1	Reference to a National Code .....	48
6.2	Entry into the National Phase .....	49
6.3	Reference by means of a Kind-code .....	50
6.4	Supplementary Protection Certificate .....	51
6.5	Parties [Ownership] .....	52
<b>7</b>	<b>ANNEX – Significance and Properties of Attributes and Elements .....</b>	<b>53</b>
7.1	Terms of Reference .....	53
7.2	Attributes and Elements .....	54
<b>8</b>	<b>ANNEX I - MAPPING XML-TAGS TO LEGACY L-TAGS .....</b>	<b>59</b>
8.1	XML Instance <legal-status-documents> .....	59
8.2	XML Instance <legal-status-document> .....	60
8.3	XML Instance <legal-event> .....	62
8.4	XML Instance <event-details> .....	63
<b>9</b>	<b>ANNEX II – RELEASE NOTES .....</b>	<b>67</b>
9.1	2016/05 User Documentation 1.7.3 – Schema Definition 1.2.3 .....	67
9.1.1.	Attribute „providing-office“ @ <legal-event> .....	67
9.1.2.	Element <event-reference> .....	69
9.1.3.	Element <event-ref-document> .....	71
9.1.4.	Element <event-ref-kind> .....	72
9.1.5.	Element <text> in <event-details> supporting <spc> .....	73
9.1.6.	Element <fee-payment> - Modification to the schema definition .....	74
<b>10</b>	<b>ANNEX III - PRACTICAL HINTS AND TIPS .....</b>	<b>75</b>
10.1	What Triggers the Exchange of a Legal Status Document .....	75
10.1.1.	Legal status document .....	75
10.1.2.	Legal event .....	76
10.1.3.	What will NOT trigger exchange .....	76
10.2	How to Interpret Change Indicator "status" .....	77
10.2.1.	Legal status document .....	77
10.2.2.	Legal event .....	79

---

10.2.3. Summary .....	80
10.3 How to Extend your Legal Status with Bibliographic Data .....	81
10.3.1. Extending legal status with new publication steps .....	81
10.3.2. Extending legal status with updated bibliographic data .....	81
10.3.3. Points of Attention when “Mixing and Matching” .....	82
10.4 Attributes “status” and “doc-id” in Application “Re-keys” .....	83
10.4.1. Modification of the application-identifier in DOCDB .....	83
10.4.2. Modification of the application-identifier in Legal Status .....	84
<b>11 ANNEX IV - PACKAGING FEATURES .....</b>	<b>85</b>
11.1 Packaging Strategy .....	85
11.2 Naming convention.....	86
11.3 Zipping Strategy .....	86
11.4 Directory DOC .....	87
11.5 Directory DTDS .....	87
11.6 INDEX File.....	88
11.7 VOLUME-id .....	89
11.8 STATISTICS.csv .....	90
11.8.1. Global .....	90
11.8.2. Details .....	91
<b>12 ANNEX V – List of Event Classes .....</b>	<b>92</b>

# 1 INTRODUCTION

INPADOC/XML is the standard format for exchange of worldwide legal status data – as maintained at the EPO – to trilateral partners, WIPO and commercial providers. This new format will be based on the worldwide standard for the exchange of legal status data currently under design. “Based on” meaning that the new exchange format will adhere to the worldwide standard where possible, but may extend the standard where necessary due the specific nature of the data exchanged.

Previously worldwide legal status was exchanged in SGML format, supported by so-called L-tags. The new XML exchange will supersede this format and bring transparency as well as a more structured product.

Phase 1 concentrates on mapping the current product to the new structure and format. Later phases may extend the product to include a richer and more transparent structure for information that is currently exchanged in blobs of free text. Options to use the format for both outgoing and incoming bibliographic data are currently being explored.

This document covers :

- summary of the product specific features
- description of the XML schema elements

For ease of transition from the legacy exchange format to the new exchange format and to make the most of its new features, annexes have been included summarizing:

- how to map new XML tags to legacy L-tags
- what triggers the exchange of a legal status document
- how to interpret the change indicator attribute “status”
- how to extend your legal events with bibliographic data

---

## 1.1 Design Considerations

Initially the XML schema was intended to be the up-beat for the future XML standard for Worldwide Legal Status. A general scan of the contents of the database learned that INPADOC master database contains too many specific features to fit in a generally accepted schema with strict definitions for data exchange worldwide.

In order to cater for the exchange of legacy data from the INPADOC master database, a “transitional” schema definition has been drafted. This “transitional” schema has now been fine-tuned to be able to support the exchange of every instance of legacy data that the INPADOC master database is able to support.

The strategy opted for is to start from the current product and fine-tune the schema to cater for every SGML tag defined.

---

## 1.2 Product Structure

The new product will bring a change of structure.

Where before there would be multiple instances of <IPREVENT> for one application, if more than one event had been published for that application in a given week, now – in the new product – there will be one instance of <legal-status-document> containing all events for that application.

In the legacy product:

- One record represents one event. Every new event will trigger a new record. When there is more than one event for the same application, this will result in as many records as there are events for the application.

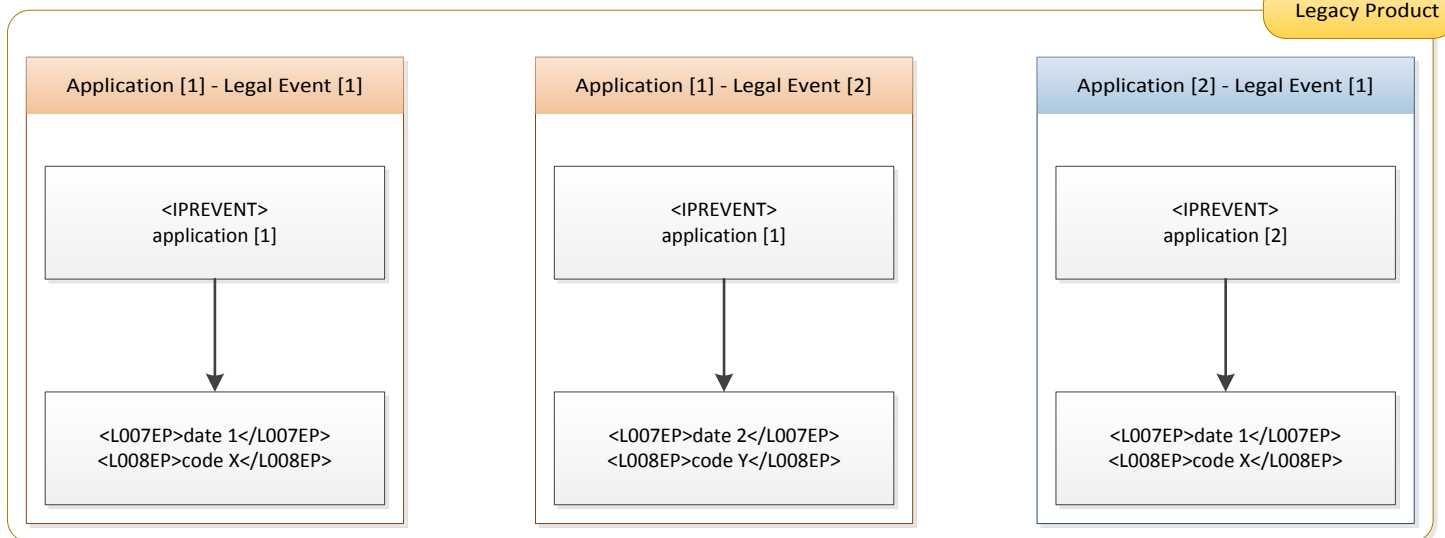
In the new product :

- One record will represent one application. Every new application will trigger a new record. When there is more than one event for the same application, this will result in ONE record containing ALL the events for the application.



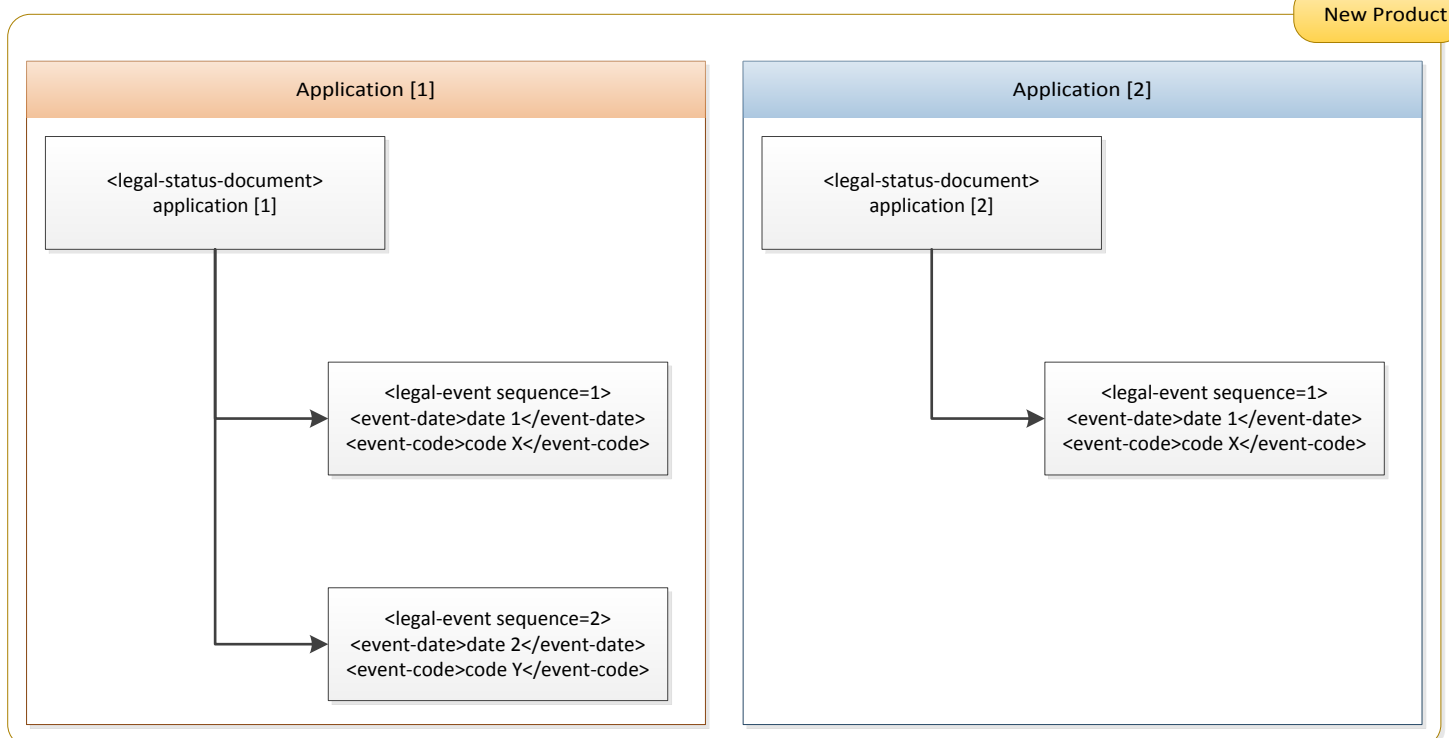
**[1] More than one event for one application**

Legacy Product



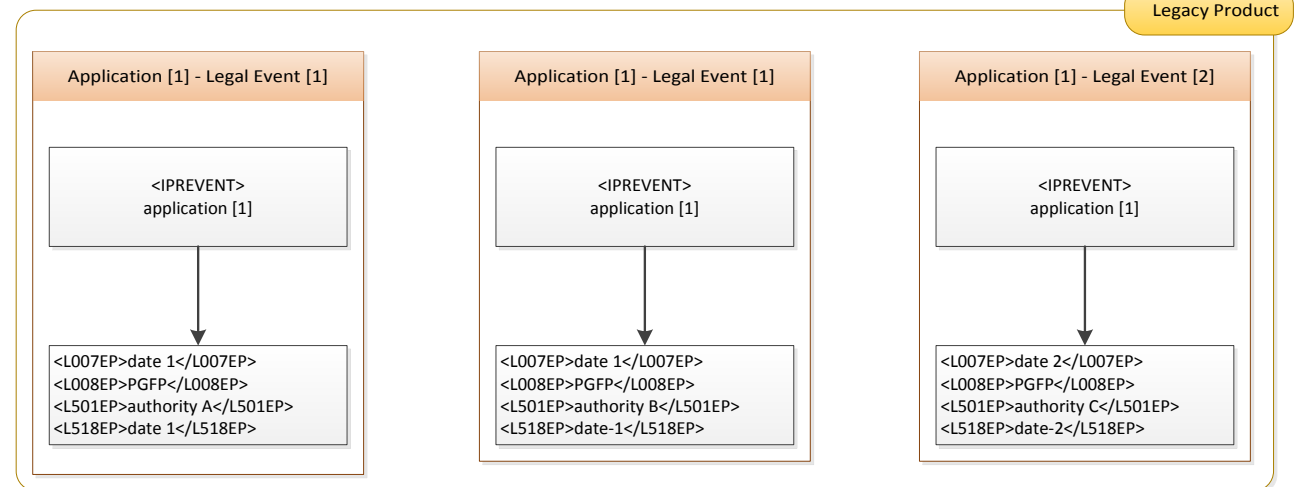
More than one event for one application

New Product

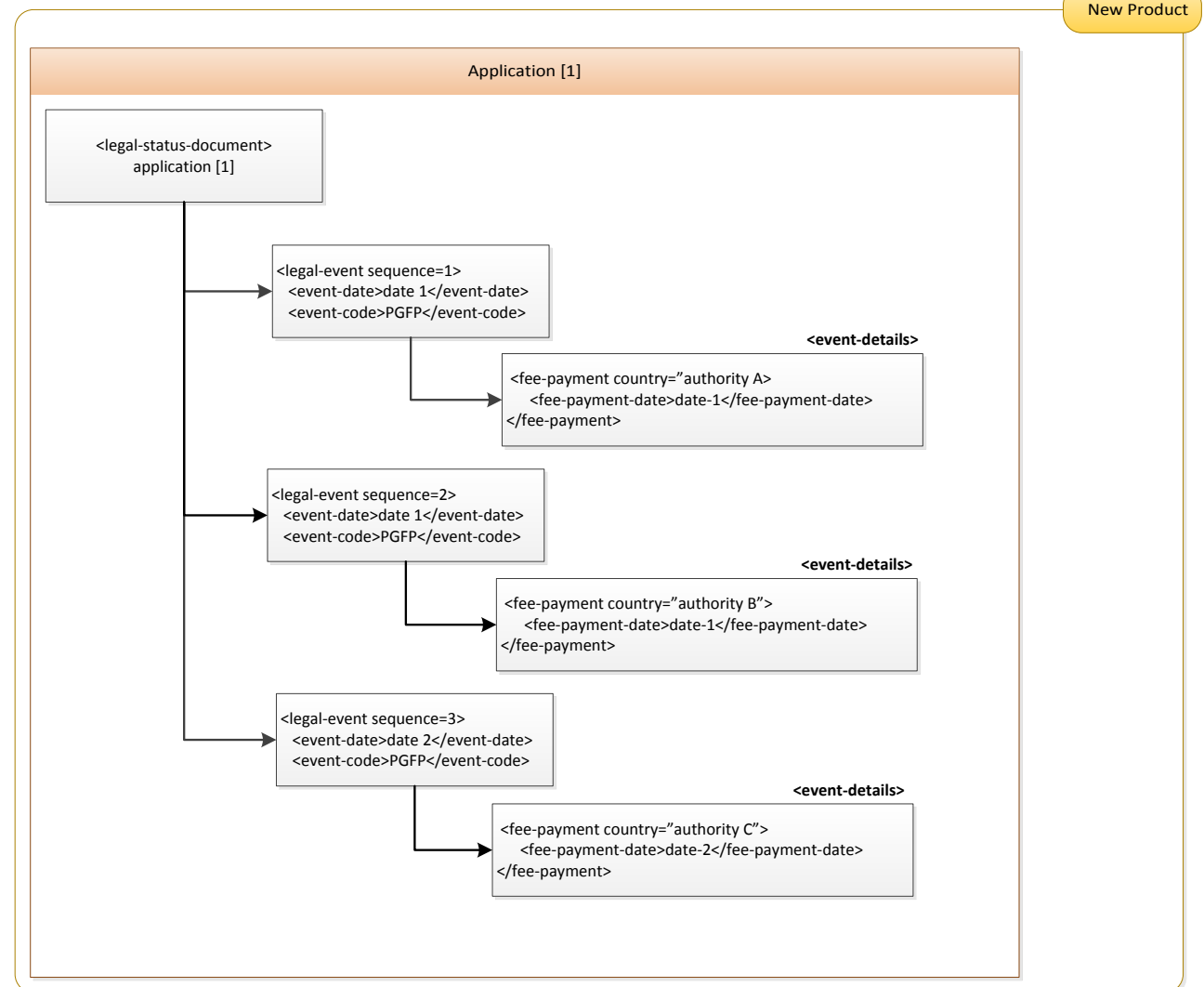


**[2] More than one event-detail in one event**

Legacy Product



New Product



---

### 1.3 Product Strategy

The new product will bring a change of strategy.

- The new product will be exchanging the complete “life of a file” in as much as it is supported by the master database. Where before the exchange was limited to only those events that had been added or updated in a particular week, now – in the new product – the exchange will be extended to include the complete history, i.e. all events for the application that are present in the master database at the time of exchange.

The events that have been added or updated during the week will be clearly identified as having been added or updated by means of attribute “status” on <legal-event> level. Refer to § 3.1 – Attribute “status” for more details.

- The new product will be keyed on <application-reference> at all times. Where before the key-identifier could be either application-reference or publication-reference, now – in the new product – the key identifier will be the application-reference always.
- The new product will support a unique and stable identifier to the application in attribute “doc-id” on <application-reference> level.

Refer to §3.2 – Unique and Stable Identifier for more details.

- The new product will – in addition to including all the legal events for a given application – also include all the publication steps of that application.

## 2    **USEFUL LINKS**

*To be further elaborated*

### 3 PRODUCT SPECIFIC FEATURES

In this section the following product specific features will be covered:

- attribute `"status"`
- unique and stable identifier
- reference to a national code
- change of ownership
- SPC product information

#### 3.1 Attribute `"status"`

Attribute `"status"` is maintained at two levels:

- element `<legal-status-document>`
- element `<legal-event>`

Potential values for attribute `"status"` are :

- "A" – for "amend" - updated or modified
- "C" – for "create" - added to the database
- "D" – for "delete" - removed from the database

*Refer to ANNEX III for hints and tips*

### 3.2 Unique and Stable Identifier

The unique and stable identifier exchanged in attribute “doc-id” on element `<application-reference>` is the hub that connects worldwide legal status in INPADOC with its corresponding bibliographic data in DOCDB. The unique and stable identifier is mastered by DOCDB and managed by the DOCDB “re-key” processes.

The unique and stable identifier will allow for mixing and matching bibliographic data and legal status data to your own specifications and the particular needs of your target audience.

Refer to ANNEX III for hints and tips

### 3.3 Reference to a National Code

In the legacy product “reference to a national code” is identified by event-code

<L008EP>REG</L008EP>.

This generic code to identify “reference to a national code” is allocated by the data capturing processes under the following conditions :

- legal event has been provided by the national office
- legal event has bearing on a national patent
- the national patent is not present in DOCDB
- national patent is based on a regional application
- the regional application is present in DOCDB

Pre-requisite for releasing legal status data to 3<sup>rd</sup> parties is the presence of the application in DOCDB. Had the legal event been connected to the national patent, the data could not have been exchanged.

Expressed in legacy SGML-tags that translates into:

- regional application is link to DOCDB in <L001EP> <L003EP> <L004EP>
- identification “regional” is “REG” in <L008EP>
- reference to the national code is included as attribute data to the legal event
  - <L501EP> - national office providing the legal event
  - <L502EP> - national code as provided by the national office

In the new product these situations will be represented as follows:

- regional application is link to DOCDB in <application-reference>
- reference to the national code is included as key-data to the legal event
  - element <event-code> - national code
  - attribute “event-type” - “REG”
  - attribute “providing-office” - national office

<event-code event-code-type=“REG” providing office=“cc”>

See illustration on the next page.

---

<L001EP>CN</L001EP>	<application-reference rid=" " family-id=" ">
<L002EP>F</L002EP>	<document-id document-id-type="docdb">
<L003EP>00802552</L003EP>	<country>CN</country>
<L004EP>A</L004EP>	<doc-number>00802552</doc-number>
<L005EP>PI</L005EP>	<kind>A</kind>
<L007EP>20110819</L007EP>	<date>20000103</date>
<L008EP>REG</L008EP>	</document-id>
<L014EP>20000103</L014EP>	</application-reference>
	<publication-reference>
	<document-id document-id-type="docdb">
	<country>CN</country>
<L017EP> CN 1335790A</L017EP>	<doc-number>1335790</doc-number>
	<kind>A</kind>
	</document-id>
	</publication-reference>
	<ipr-type>PI</ipr-type>
	.....
	<legal-event event-type="REG" providing-office="HK"
	status="new" date-added-database="20110822">
<L019EP>20110822</L019EP>	<event-date>20110819</event-date>
<L500EP>	<event-code>WD</event-code>
<L501EP>HK</L501EP>	<event-details>
<L502EP>WD</L502EP>	<event-document>
<L503EP>1040949</L503EP>	<document-id>
<L504EP>HK</L504EP>	<country>HK</country>
</L500EP>	<doc-number>1040949</doc-number>
	</document-id>
	</event-document>
	<event-details>
	</legal-event>

---



### 3.4 Change of Ownership

In the legacy product former owner(s) in a change of ownership are exchanged in `<L510EP>`, in free text format. This is an exact representation of the database contents.

```
<L509EP>CARBON FIBRE PREFORMS LTD</L509EP>
<L510EP>FORMER OWNERS: DAVID BELL; ROY GEORGE PRICE</L510EP>
```

It is the intention to enhance the representation of former owners in the future and offer a richer tag structure.

```
<parties party-type="owner">
  <parties-details>
    <party sequence="1"><name>CARBON FIBRE PREFORMS LTD</name></party>
  </parties-details>
  <parties-details-old>
    <party sequence="1"><name>DAVID BELL</name></party>
    <party sequence="2"><name>ROY GEORGE PRICE</name></party>
  </parties-details-old>
</parties>
```

This will require a thorough review of the database structure and a major revision of the data processes capturing change of ownership. Until that time information relating to former owners will be exchanged in element `<text>`.

```
<parties party-type="owner">
  <parties-details>
    <party party-status="new">
      <name>CARBON FIBRE PREFORMS LTD</name>
    </party>
  </parties-details>
  <parties-details-old>
    <text>FORMER OWNERS: DAVID BELL; ROY GEORGE PRICE</text>
  </parties-details-old>
</parties>
```

### 3.5 SPC Product Information

In the legacy product SPC product information is exchanged in `<L510EP>`, in free text format. This is an exact representation of the database contents.

```
<L510EP>
PRODUCT NAME: SITAGLIPTIN A METFORMIN; NAT. REG.NO/DATE: EU/1/08/455/001-014,
EU/1/08/456/001-014, EU/1/08/457/001-014 20080716; FIRST REG.: CH 58450 01-03 20080408
</L510EP>
```

It is the intention to enhance the representation of SPC data in the future and offer product information in a richer tag structure.

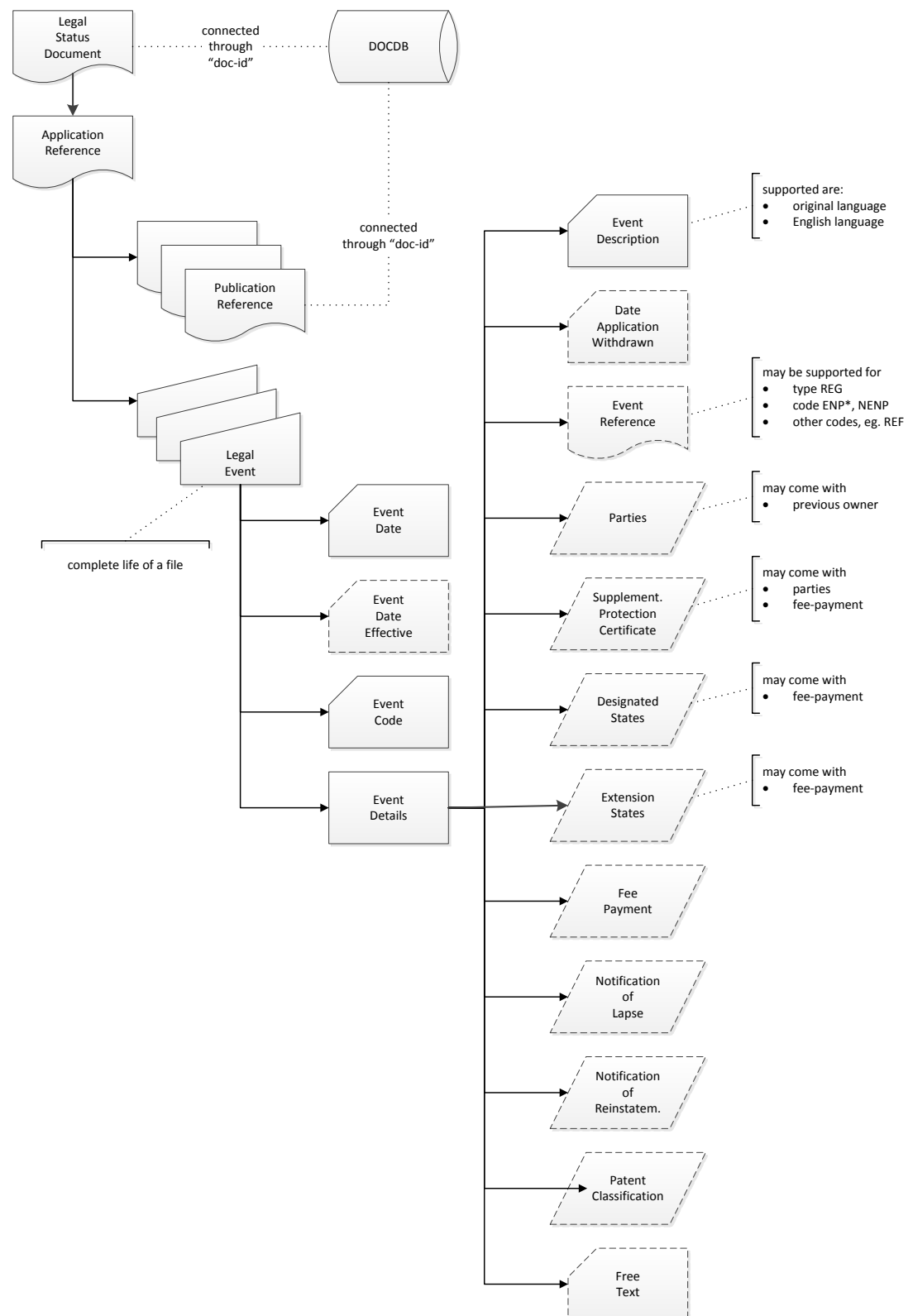
```
<spc>
  <product>
    <name>SITAGLIPTIN A METFORMIN</name>
    <registration registration-level="national">
      <country>SK</country>
      <registration-number>EU/1/08/455/001-014</registration-number>
      <registration-number>EU/1/08/455/001-014</registration-number>
      <registration-number>EU/1/08/455/001-014</registration-number>
      <date-of-registration>20080408</date-of-registration>
    </registration>
    <registration registration-level="regional" region-name="EEA">
      <country>CH</country>
      <registration-number>58450 01-03</registration-number>
      <date-of-registration>20080408</date-of-registration>
    </registration>
  </product>
</spc>
```

This will require a thorough review of the database structure and a major revision of the data processes capturing SPC data. Until that time SPC product information will be exchanged in element `<text>`.

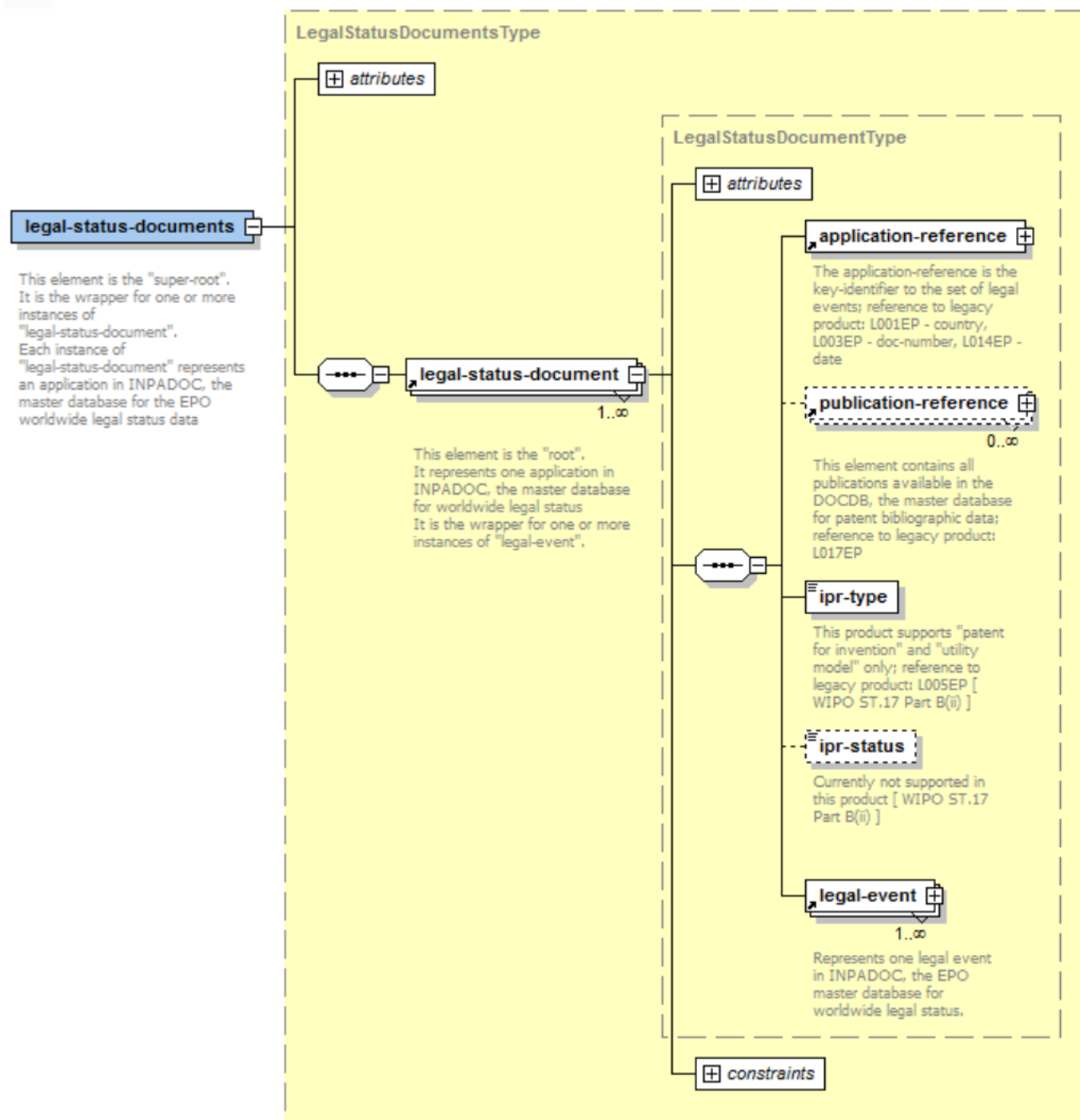
```
<spc>
  <text>PRODUCT NAME: SITAGLIPTIN A METFORMIN; NAT. REG.NO/DATE: EU/1/08/455/001-014,
EU/1/08/456/001-014, EU/1/08/457/001-014 20080716; FIRST REG.: CH 58450 01-03 20080408
  </text>
</spc>
```

## 4 OVERAL STRUCTURE OF THE XML

### 4.1 Logical Model



## 4.2 Root Element



---

### 4.3 Hierarchy and Sorted Order

Each instance of `<legal-status-documents>` represents one exchange-file. The exchange-file is identified by attribute `"file"`.

Each instance of `<legal-status-documents>` will contain one or more occurrences of `<legal-status-document>`.

Each instance of `<legal-status-document>` represents one application and its legal history. The legal status document is identified by attribute `"doc-id"`.

Each instance of `<legal-status-document>` will contain

one occurrence	of <code>&lt;application-reference&gt;</code>
one or more occurrences	of <code>&lt;publication-reference&gt;</code>
one or more occurrences	of <code>&lt;legal-event&gt;</code>

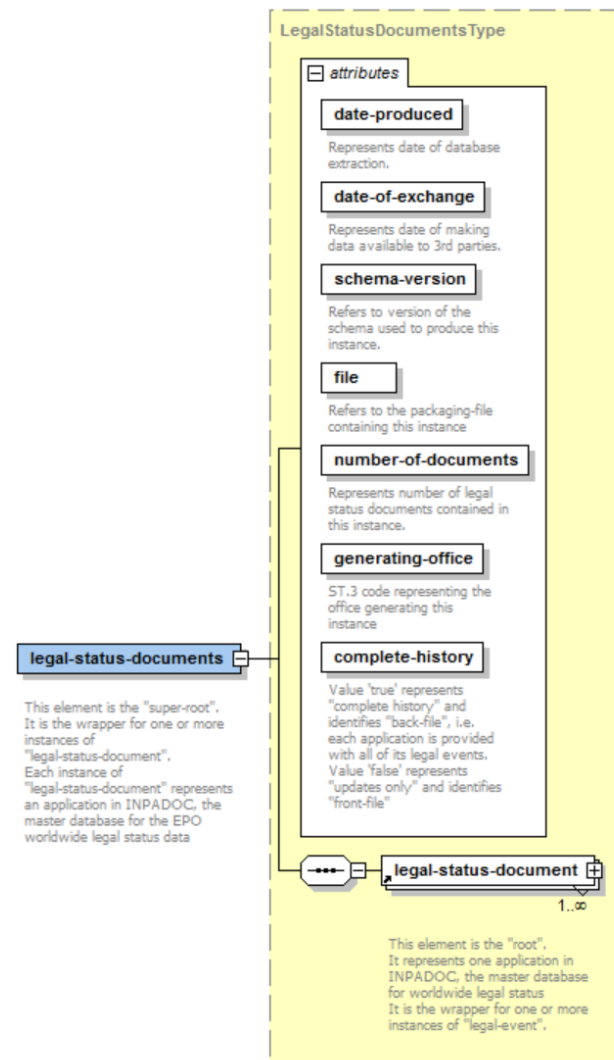
Each instance of `<publication-reference>` represents one publication step in the life of the application.

Each instance of `<legal-event>` represents one legal event in the life of the application. Instances of `<legal-event>` will be sorted in ascending order by the combined values of `<event-date>` and `<event-code>`.

In the case of duplicates, the sorted order inside the combined value of `<event-date>` and `<event-code>` will respect the order in which the events have been recorded in the master database.

## 5 XML INSTANCES and ELEMENTS

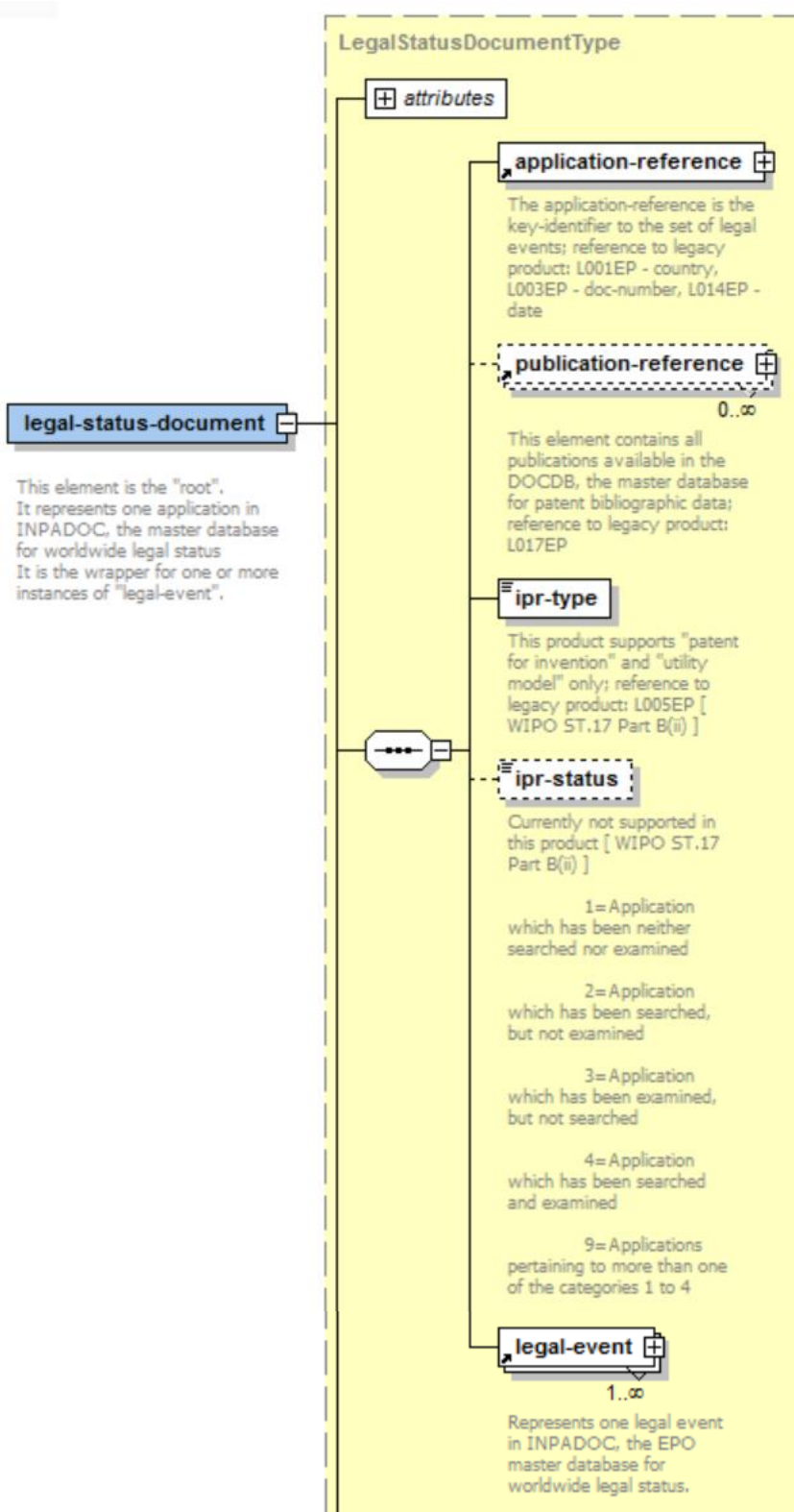
### 5.1 XML Instance <legal-status-documents>

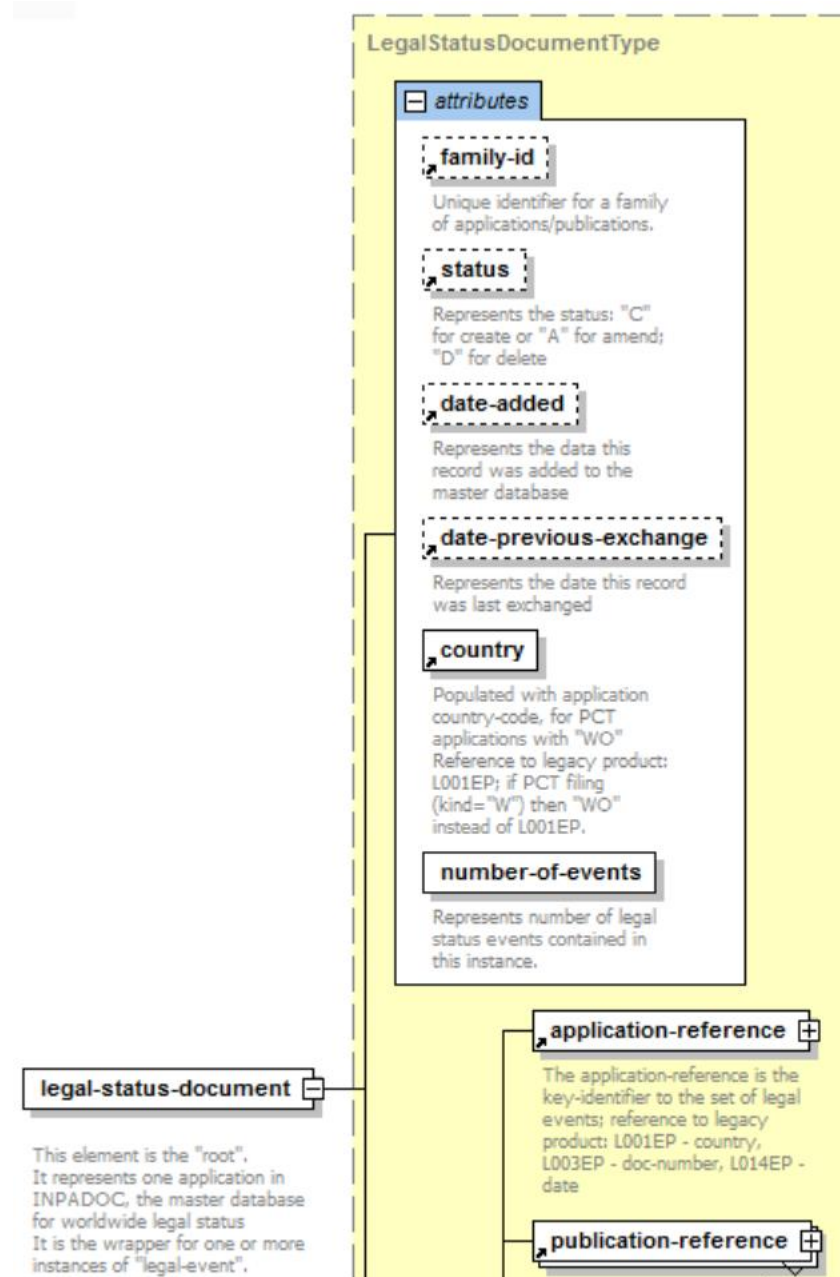


#### Attributes populated

date-produced	date this batch was extracted from the database
date-of-exchange	date this batch was posted on the internet
schema-version	version of the schema
file	indicating the package-file this document is in
number-of-documents	the number of documents in this instance
generating-office	EP
complete-history	complete life of file "true" or "false"

## 5.2 XML Instance <legal-status-document>





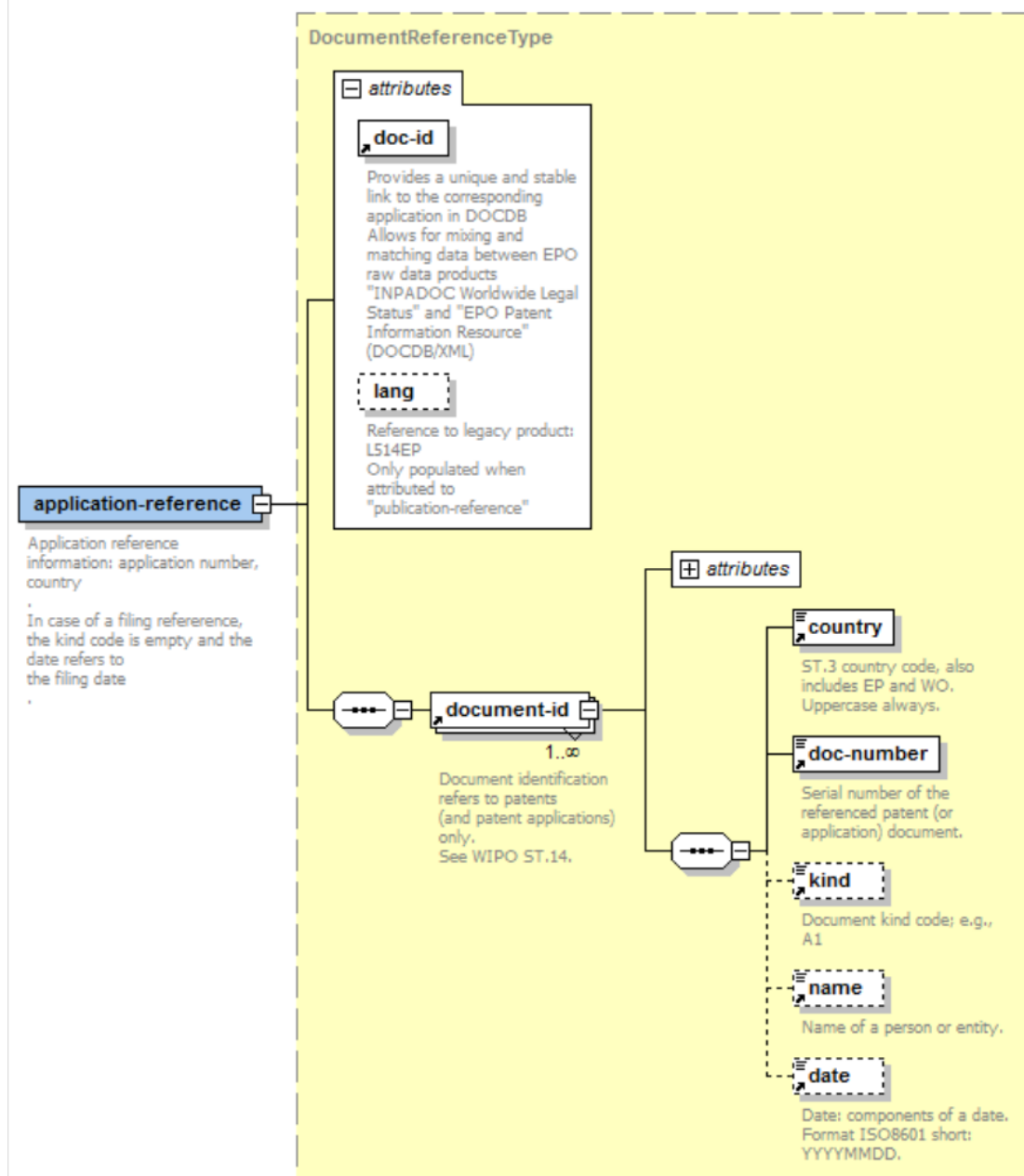
### Attributes populated

family-id	the unique family identifier, 1 to 10 digits (not supported when status="D") corresponds to "family-id" in DOCDB/XML allows for grouping applications and their legal events into families
status	indicates the database action taken, supports values 'C', 'D' and 'A'
country	the authority-code of the application-reference when kind-code = "W" ( PCT filing), "country" is populated with "WO"
number-of-events	number of events in this document
date-of-previous-exchange	date this document was exchanged previously



### 5.2.1. Element <application-reference>

Contains information retrieved from DOCDB; format is DOCDB format by definition.



#### Attributes populated

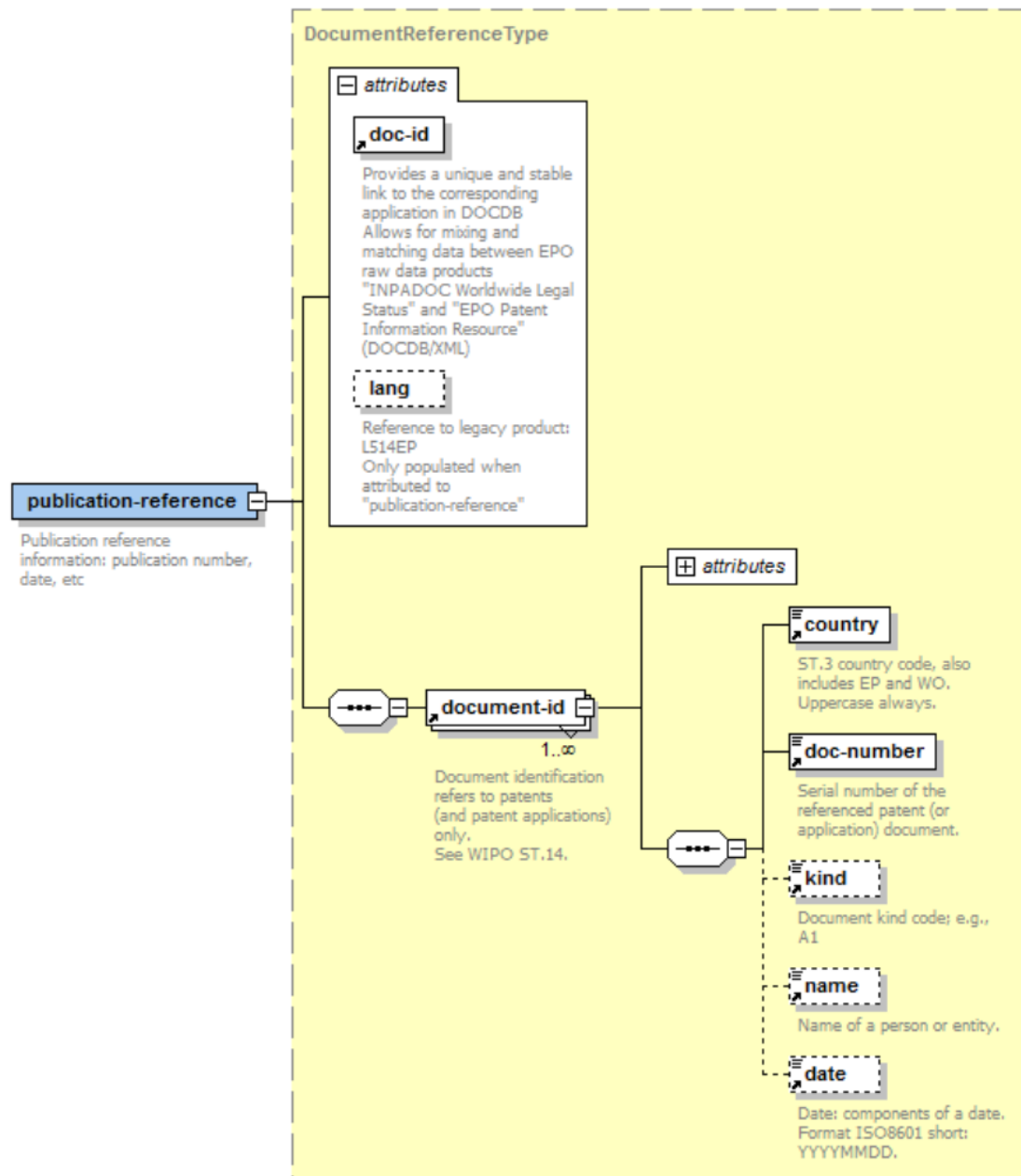
**doc-id**      unique and stable identifier – 1 to 10 digits  
 corresponds to "doc-id" in DOCDB/XML  
 allows for mixing and matching bibliographic data and legal status  
 refer to ANNEX III for hints and tips

### 5.2.2. Element <publication-reference>

Contains information retrieved from DOCDB; format is DOCDB format by definition.

Iteration supports as many occurrences as there are publication-steps in DOCDB.

Might not always be supported when <legal-status-document status="D">



#### Attributes populated

- doc-id      unique and stable identifier – 1 to 10 digits  
corresponds to "doc-id" in DOCDB/XML
- allows for finding the corresponding bibliographic data in DOCDB
- lang        represents the publication-language ("filing language" for WO)

**5.2.3. Element <ipr-type>**

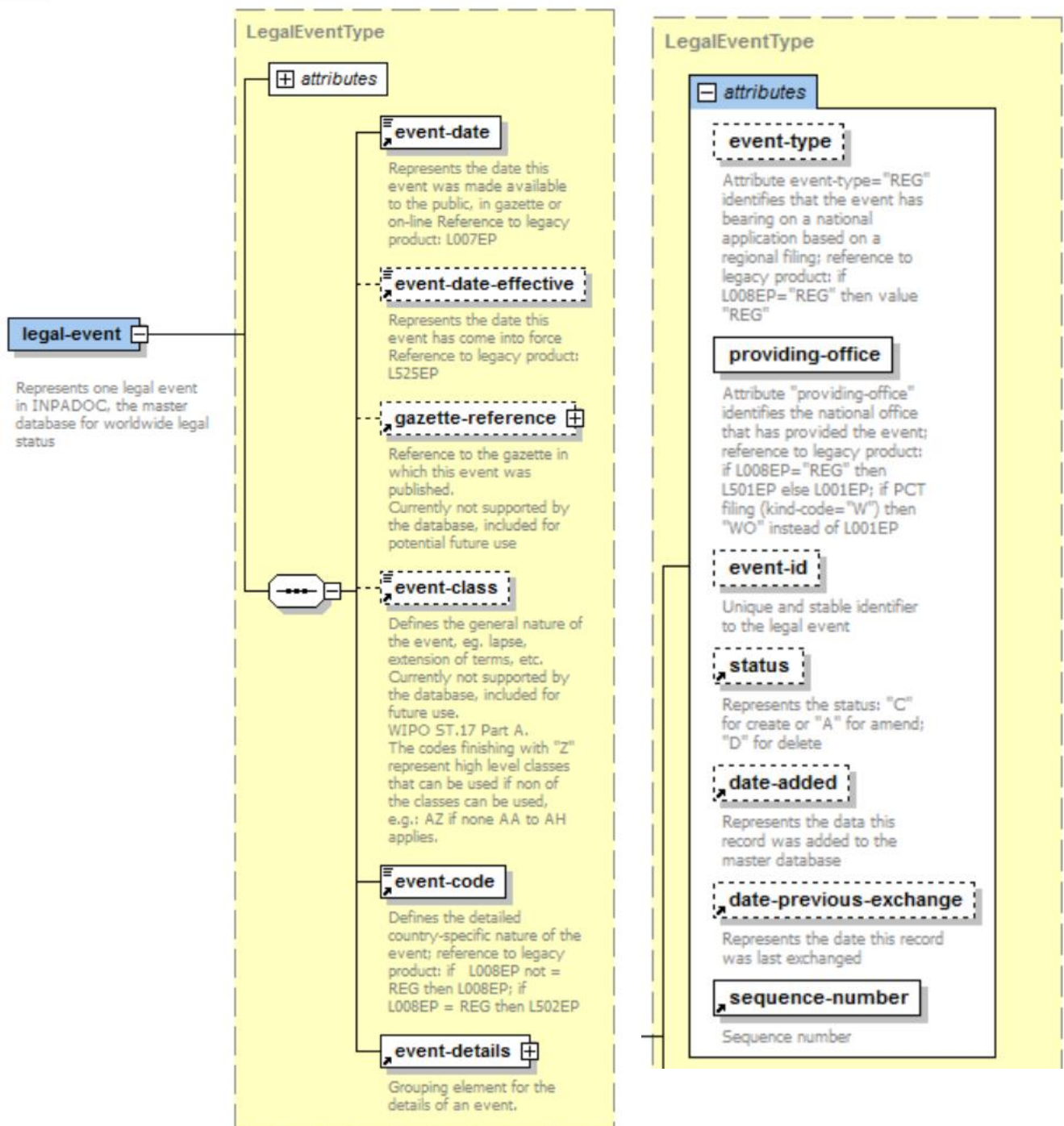
Values supported by this product are

- "patent for invention" - represented by "PI" in legacy product
- "utility model" - represented by "UM" in legacy product

**5.2.4. Element <ipr-status>**

Element <ipr-status> is not supported in this product

### 5.3 XML Instance <legal-event>



#### Attributes populated

event-type

the type of event, supports value "REG"

is representing <L008EP>REG<L008EP>

see § 3.3 *Reference to a National Code*

---

providing-office	the national office that has provided the actual event
event-id	unique and stable identifier to the event – allows to <ul style="list-style-type: none"> <li>accurately pinpoint the event to delete in the case of a status “D”</li> <li>pair up “before update” status=”D” and “after update” status=”C” in the case of a modified event - also when the update was across applications</li> </ul>
status	database action taken; supports value ‘A’, ‘C’, ‘D’
date-added	the date that this event was added to the database might not be supported when <legal-event status=”D”>
date-previous-exchange	the date that this event was exchanged previously
sequence-number	the sorted order on <event-code>, <event-date>

The authority-code supported in “**providing-office**” is the authority-code of the patent issuing authority that has provided the actual information to the EPO:

- In the case of event-type “REG” the data submitted to the database has been provided by the national office. Events of event-type “REG” are exchanged under the EP application to make the connection to DOCDB.

*Attribute providing office will be the national office – not “EP”*

See also § 3.3 Reference to a National Code

- In the case of “post-grant” events – event-codes PGFP, PG25, PGRI – the data submitted to the database has been provided by the EPO.

*Attribute “providing-office” will be “EP” – not the national office.*

The authority-code of the national office is supported in attribute “country” of the event-detail representing the post-grant event.

- In the case of entry/non-entry into the national phase – i.e. event-codes ENP\* and NENP – the data submitted to the database has been provided by the national office in which the PCT has entered or non-entered the national phase. These events have been grouped under the PCT filing to bundle all events relating to the same PCT application together.

*Attribute “providing-office” will be the national office – not “WO”.*

- In the case of information with respect to PCT filings – i.e. event-codes WW\* – the data submitted to the database has been provided by WIPO.

*Attribute “providing-office” will be “WO” – not the national office.*

The authority-code of the national office is supported in the country-code of element <event-ref-document>.

---

**5.3.1. Element `<event-date>`**

Element `<event-date>` represents the date on which the information is made available, in gazette or bulletin. Legal events represented in one instance of `<legal-status-document>` will be sorted in chronological order on the date represented in `<event-date>`.

**5.3.2. Element `<event-date-effective>`**

Element `<event-date-effective>` represents the date that the legal event has come into force.

**5.3.3. Element `<gazette-reference>`**

Element `<gazette-reference>` is not supported by this product.

**5.3.4. Element `<event-class>`**

Element `<event-class>` is identifying the nature of the event by means of a country-independent category. A list of event-classes that are in force can be found in ANNEX V.

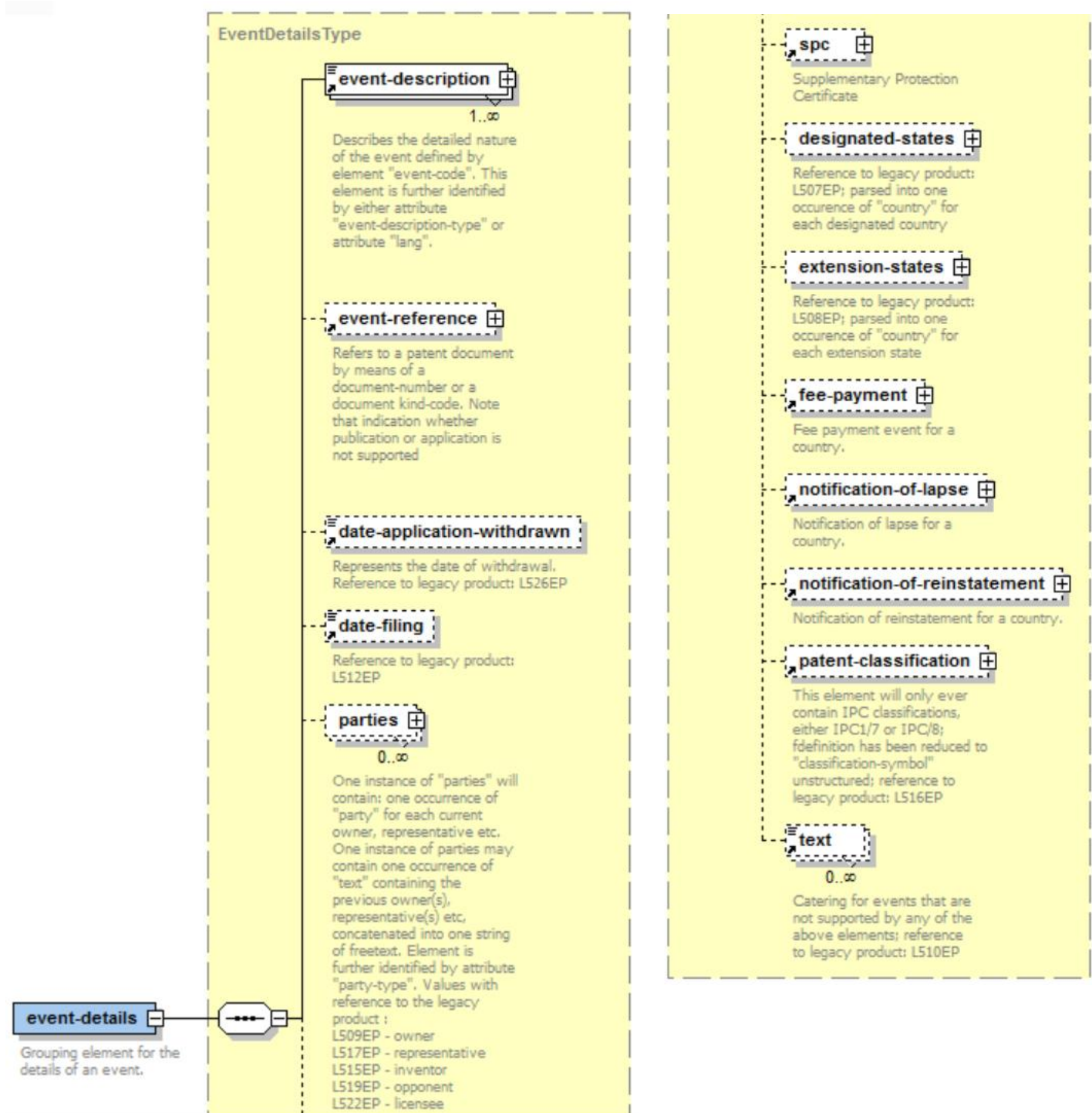
When element `<event-class>` is not supported, the event-code has not been classified or has not been classified yet.

When element `<event-class>` is "Z", an effort to classify has been made but the event-code could not be classified unambiguously.

**5.3.5. Element `<event-code>`**

Element `<event-code>` represents the country-specific code that defines the nature of the event. Combined with element `<event-date>`, element `<event-code>` will provide a unique identifier to the event within the scope of this `<legal-status-document>`.

## 5.4 XML Instance <event-details>



**Structure of element <event-details>**

Element <event-details> will contain at least one occurrence of element <event-description>.

When the <event-code> identifying the event content cannot be matched to any of the elements in <event-details>, the information will be exchanged <text>.

Element <event-details> may support more than one event-detail at a time, e.g. a combination of <parties> and <spc>.

***5.4.1. Element <date-application-withdrawn>***

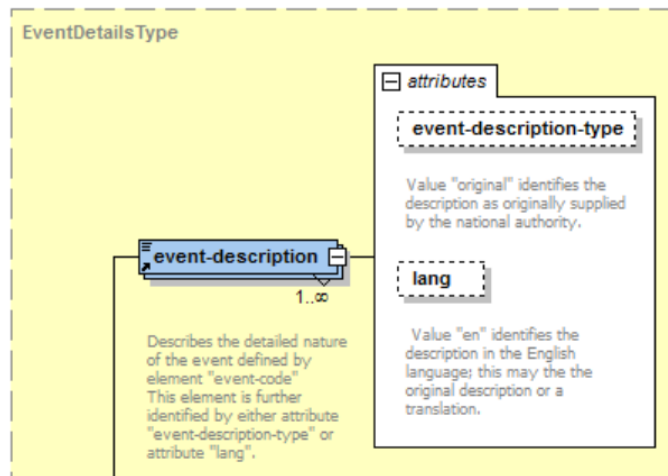
Element represents the date that the application has been withdrawn

***5.4.2. Element <date-filing>***

Element represents the date that the action identified by the event-code has been filed.



### 5.4.3. Element <event-description>



#### Attributes populated

event-description-type	"original"
lang	language of the description

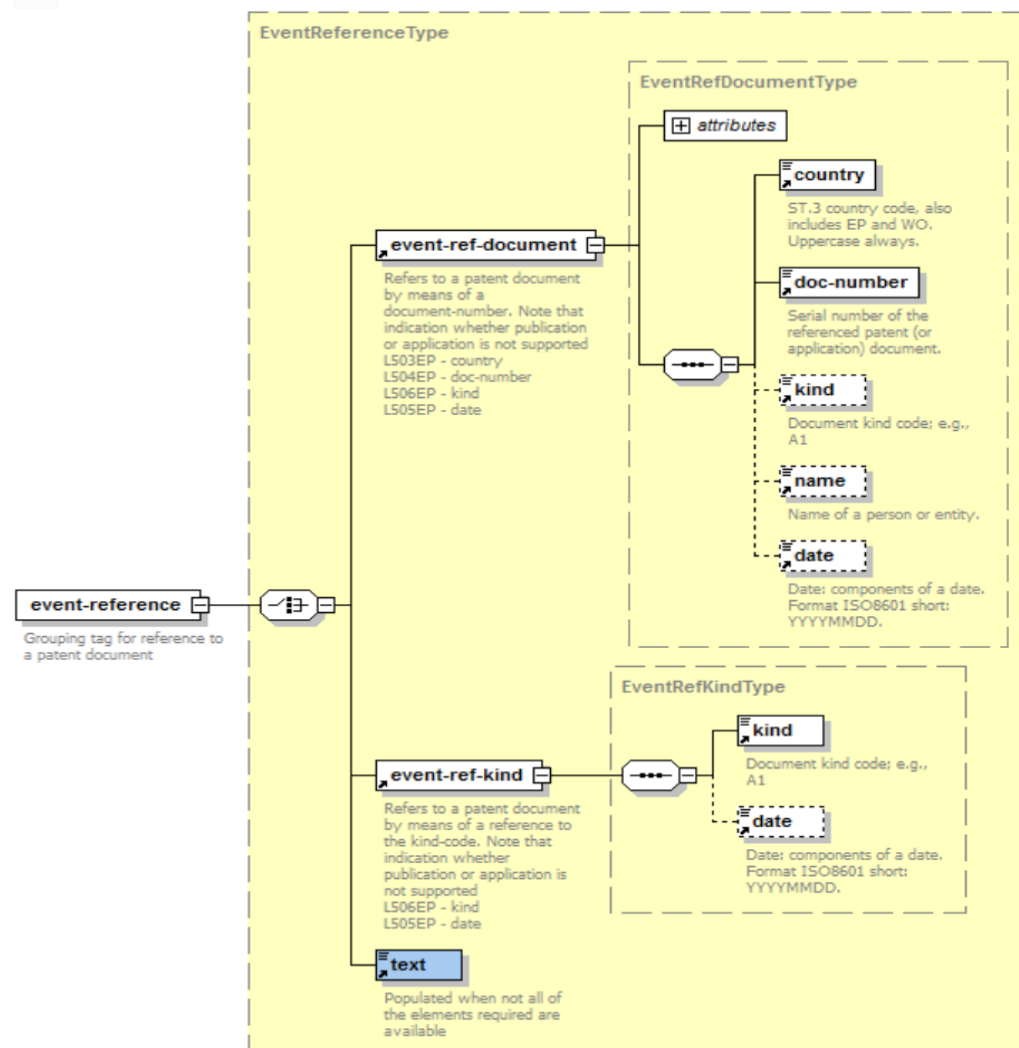
Due to the way the master database is organised, it is only able to support one of the two attributes, either "event-description-type" or "lang" :

- ENG translated into lang="en"
- GER translated into lang="de"
- FRE translated into lang="fr"
- ORI translated into event-type-description="original"

This means that :

- element <event-description> is identified by either "event-description-type" or "lang".
- an instance where <event-description> is identified by attribute "lang" can be either a translation or in the original language
- an instance where <event-description> is identified as event-description-type="original" might well be in one of the official languages of the EPO (English, French, German)

#### 5.4.4. Element <event-reference>



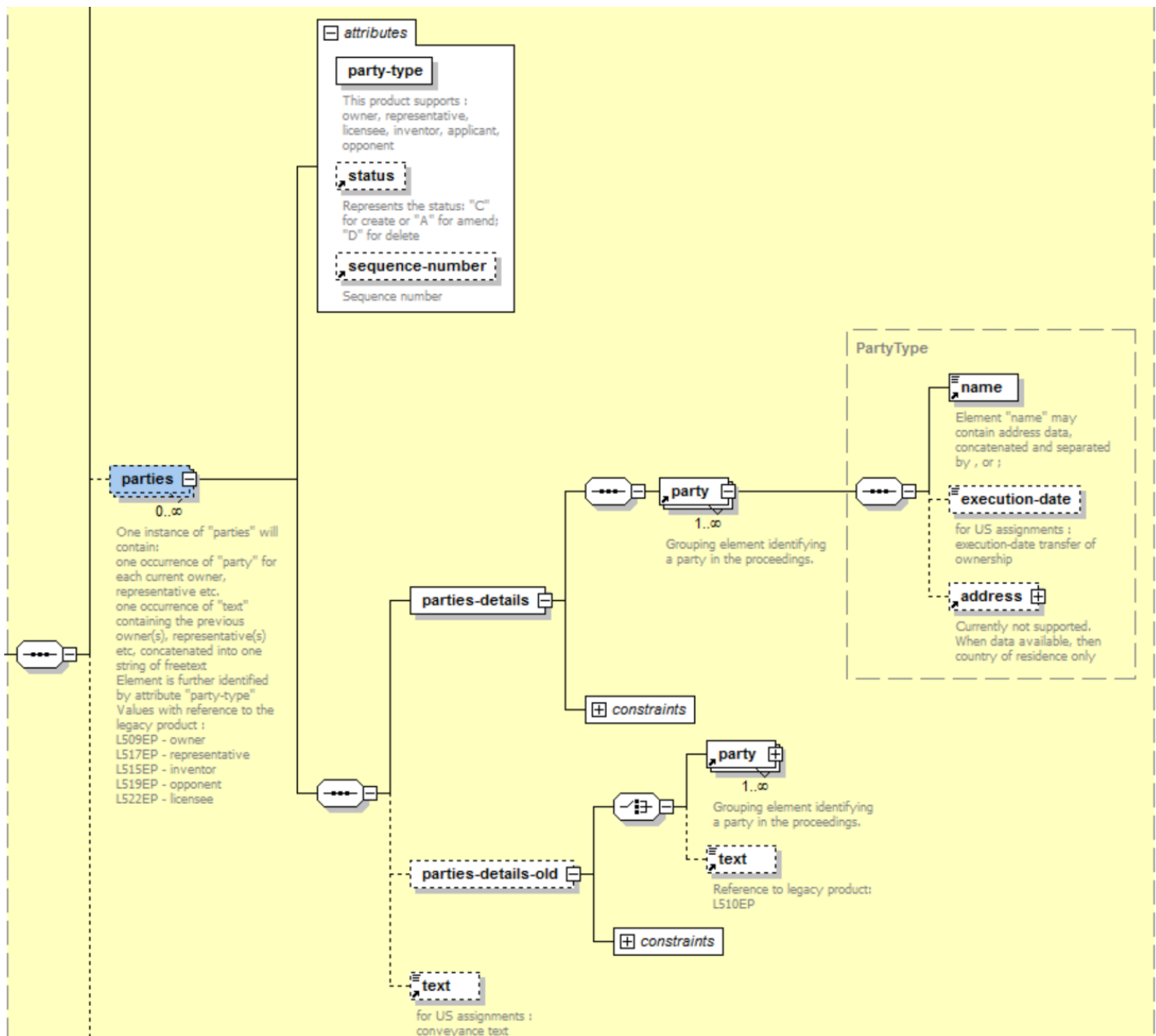
Element <event-reference> refers to the patent document that the event is relating to, e.g. in the case of event-code ENP of event-type REG. Reference may be by means of a document-number or by means of a document-kind. The information in element <event-reference> reflects the information as it has been received from the patent issuing authority that is represented in “providing-office” @ <legal-event> – in the original format that it has been provided in.

Element <event-ref-document> contains the information previously exchanged in <event-document>. Element <event-ref-kind> contains the information previously exchanged in attribute “reference-to-publication” @ <legal-event>.

Element <text> will contain any information that does not comply with the schema-definition of either <event-ref-document> or <event-ref-kind>.

Refer to §9.1 Release Notes - §9.1.2 Element <event-reference> for more detail.

### 5.4.5. Element <parties>



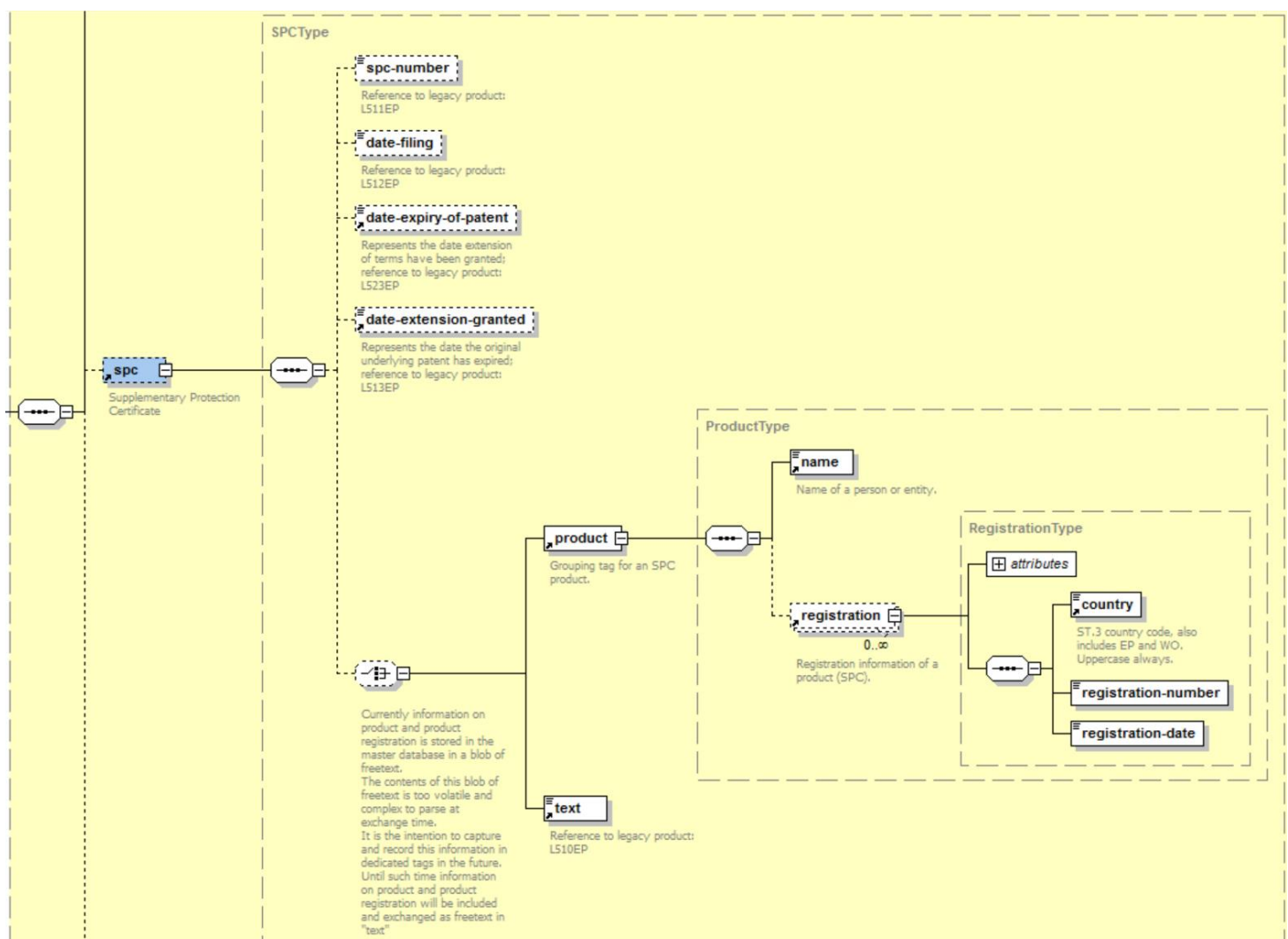
#### Attributes populated

party-type to further identify <parties> into "owner", "representative", "inventor", "licensee", "opponent", "other"

NOTE THAT for the time being the status quo of the legacy product will be emulated, when exchanging change of ownership or representation:

- current owner(s)/representative(s) in <parties-details><party>
- former owner(s)/representative(s) in <parties><text>  
concatenated into one string, see [§3.4 – Change of Ownership](#) for more details

### 5.4.6. Element <spc>



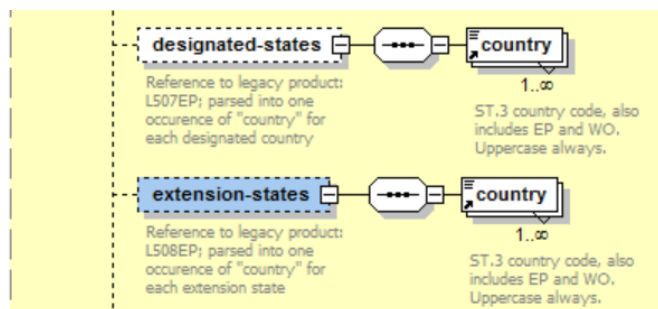
#### Elements supported

spc-number	reference to the supplementary protection certificate
date-filing	date of filing of the supplementary protection certificate
date-extension-granted	date that extension of terms has been granted
date-expiry-of-patent	date that the original underlying patent has expired
text	product registration information

NOTE THAT for the time being the status quo of the legacy product will be emulated, when exchanging information on product and registration.

Information on product registration will be exchanged in `<text>`, concatenated into one string. See [§3.5 – SPC Product Information](#) for more details

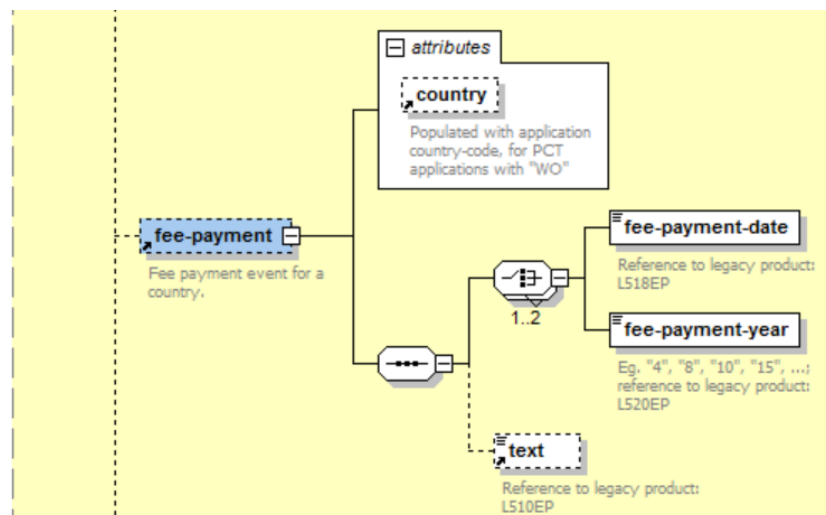
#### 5.4.7. Elements <designated-states> & <extension-states>



Designated states, parsed into as many instances of <country> as there have been states designated

Extension states, parsed into as many instances of <country> as there have been extension states listed.

#### 5.4.8. Element <fee-payment>



#### Attributes populated

country                      the office that has collected the fees

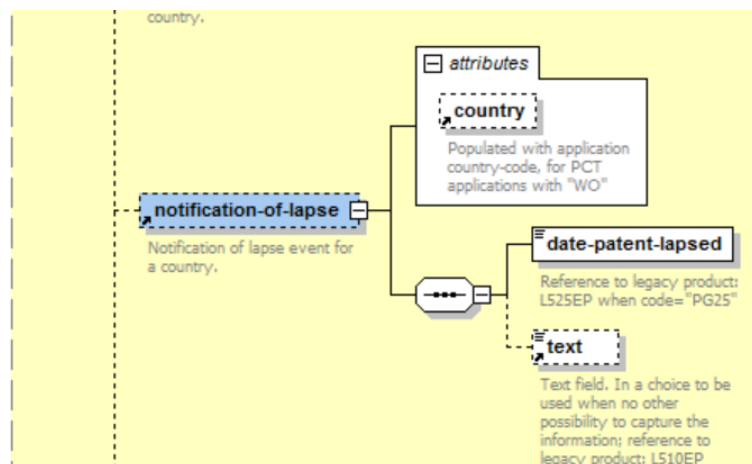
#### Elements supported

choice of

- fee-payment-date    date of fee payment
- fee-payment-year    year of fee payment, e.g. '09', '11', '15
- both fee-payment-date and fee-payment-year

text – text as published with the fee payment – when populated

#### 5.4.9. Element <notification-of-lapse>



##### Attributes populated

country the office that has collected the fees

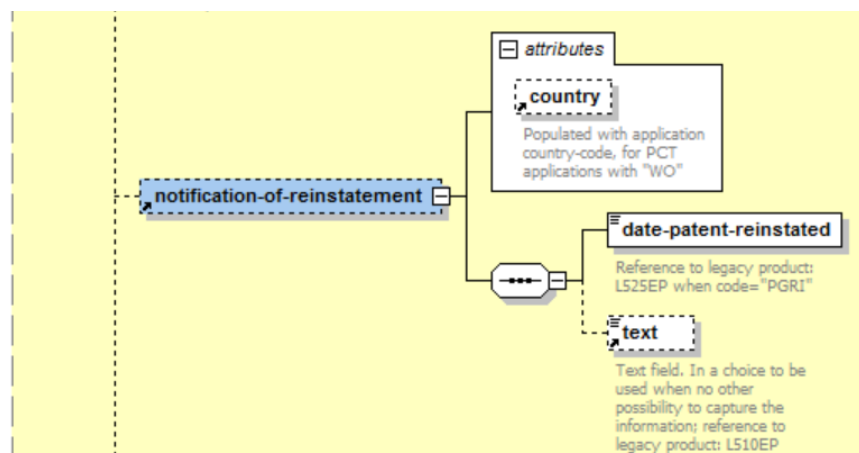
##### Elements supported

notification-of-lapse notification of lapse due to non-payment of fees

date-patent-lapsed date the patent has lapsed

text when populated, text as published with the notification

#### 5.4.10. Element <notification-of-reinstatement>



##### Attributes populated

country the office that has collected the fees

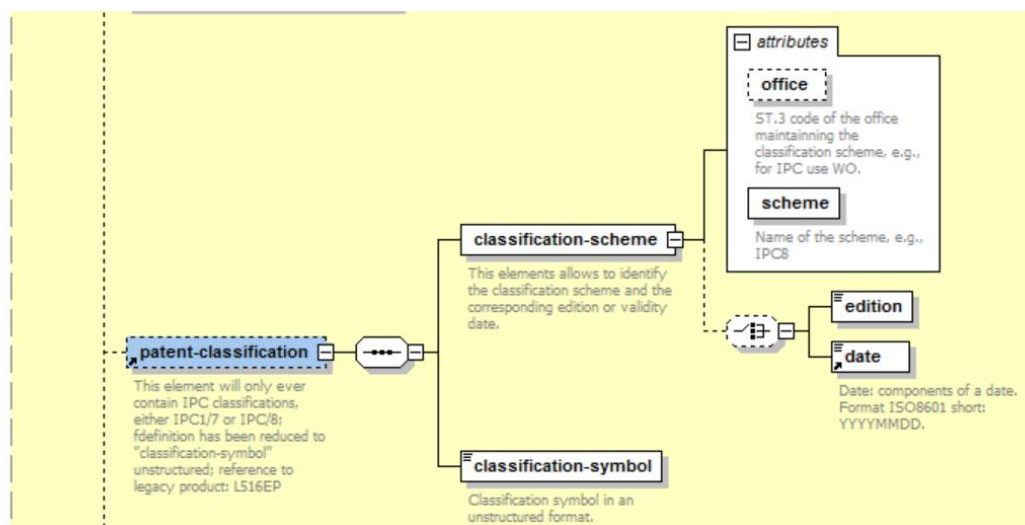
##### Elements supported

notification-of-reinstatement notification of reinstatement after lapse

date-patent-reinstated date the patent has been reinstated

text when populated, text as published with the notification

#### 5.4.11. Element <patent-classification>



#### Elements supported

classification-scheme	IPC, IPC8 or CPC – “IPC” by default
classification-symbol	50 characters, to be parsed as described in WIPO ST.8

#### 5.4.12. Element <text>

When the <event-code> identifying the event content cannot be matched to any of the elements in <event-details>, the information will be exchanged <text>.

## 6 USAGE EXAMPLES

### 6.1 Reference to a National Code

In the legacy product “reference to a national code” is identified by event-code “REG”

In the new product “reference to a national code” is identified by **event-type** “REG”

LEGACY	XML
<L007EP>	<legal-event><event-date>
<L008EP>REG	<legal-event event-type="REG">
<L501EP>	<legal-event providing-office="...">
<L502EP>	<legal-event><event-code>
<L504EP> (or L501EP)	<legal-event><event-reference><event-ref-document><country> see §9.1 Release Notes - §9.1.2 Element <event-reference>
<L503EP>	<legal-event><event-reference><event-ref-document><doc-number>
<L506EP>	<legal-event><event-reference><event-ref-document><kind>
<L505EP>	<legal-event><event-reference><event-ref-document><date>

```
<application-reference doc-id="17146112">
  <document-id>
    <country>EP</country>
    <doc-number>95935843</doc-number>
    <kind>A</kind>
    <date>19951030</date>
  </document-id>
</application-reference>
```

```
<legal-event event-type="REG" providing-office="DE" date-added="20150314"
date-previous-exchange="20150314" sequence-number="47">
  <event-date>20150312</event-date>
  <event-date-effective>20150202</event-date-effective>
  <event-code>R081</event-code>
  <event-details>
    <event-description event-description-type="original">AENDERUNG DES ANMELDERS/INHABERS
  </event-description>
    <event-description lang="en">CHANGE OF APPLICANT/PATENTEE</event-description>
    <event-reference>
      <event-ref-document>
        <country>DE</country>
        <doc-number>60341752</doc-number>
      </event-ref-document>
    </event-reference>
    <parties party-type="owner" sequence-number="1">
      <parties-details>
        <party><name>BOSTON SCIENTIFIC LIMITED, BM</name></party>
      </parties-details>
      <parties-details-old>
        <text>FORMER OWNER: BOSTON SCIENTIFIC LTD., ST. MICHAEL, BARBADOS, BB</text>
      </parties-details-old>
    </parties>
  </event-details>
</legal-event>
```



## 6.2 Entry into the National Phase

LEGACY	XML
<L007EP>	<legal-event><event-date>
<L008EP>	<legal-event><event-code>
<L504EP> (or L501EP)	<legal-event><event-reference><event-ref-document><country> see §9.1 Release Notes - §9.1.2 Element <event-reference>
<L503EP>	<legal-event><event-reference><event-ref-document><doc-number>
<L506EP>	<legal-event><event-reference><event-ref-document><kind>
<L505EP>	<legal-event><event-reference><event-ref-document><date>

```
<application-reference doc-id="448404692">
  <document-id>
    <country>KZ</country>
    <doc-number>2015000009</doc-number>
    <kind>W</kind>
    <date>20150709</date>
  </document-id>
</application-reference>
```

```
<legal-event providing-office="RU" status="C" date-added="20160211" sequence-number="1">
  <event-date>20151214</event-date>
  <event-code>ENP</event-code>
  <event-details>
    <event-description event-description-type="original">ENTRY INTO THE NATIONAL PHASE IN:
  </event-description>
    <event-description lang="en">ENTRY INTO THE NATIONAL PHASE IN:</event-description>
    <event-reference>
      <event-ref-document>
        <country>RU</country>
        <doc-number>2015135400</doc-number>
        <kind>A</kind>
      </event-ref-document>
    </event-reference>
  </event-details>
</legal-event>
```

### 6.3 Reference by means of a Kind-code

See §9.1 Release Notes - §9.1.2 Element <event-reference>

LEGACY	XML
<L007EP>	<legal-event><event-date>
<L008EP>	<legal-event><event-code>
<L506EP>	<legal-event><event-reference><event-ref-kind><kind>
<L505EP>	<legal-event><event-reference><event-ref-kind><date>

```

<application-reference doc-id="18351711">
  <document-id>
    <country>ES</country>
    <doc-number>200550053</doc-number>
    <kind>A</kind>
    <date>20030221</date>
  </document-id>
</application-reference>
<publication-reference doc-id="279019444" lang="es">
  <document-id>
    <country>ES</country>
    <doc-number>2281275</doc-number>
    <kind>A1</kind>
    <date>20070916</date>
  </document-id>
</publication-reference>
<publication-reference doc-id= »279019445 » lang= »es »>
  <document-id>
    <country>ES</country>
    <doc-number>2281275</doc-number>
    <kind>B1</kind>
    <date>20080916</date>
  </document-id>
</publication-reference>

<legal-event providing-office="ES" date-added="20090504" date-previous-exchange="20090507"
sequence-number="2">
  <event-date>20070916</event-date>
  <event-code>EC2A</event-code>
  <event-details>
    <event-description event-description-type="original">INFORME PUBLICADO</event-description>
    <event-description lang="en">SEARCH REPORT PUBLISHED</event-description>
    <event-reference>
      <event-ref-kind>
        <kind>A1</kind>
        <date>20070916</date>
      </event-ref-kind>
    </event-reference>
  </event-details>
</legal-event>

```

## 6.4 Supplementary Protection Certificate

LEGACY	XML
<L511EP>	<legal-event><spc><spc-number>
<L512EP>	<legal-event><spc><date-filing>
<L523EP>	<legal-event><spc><date-extension-granted>
<L513EP>	<legal-event><spc><date-expiry-of-patent>
<L510EP>	<legal-event><spc><text>

```
<application-reference doc-id="15188652">
```

```
  <document-id>
```

```
    <country>DE</country>
```

```
    <doc-number>602004010407</doc-number>
```

```
    <kind>T</kind>
```

```
    <date>20040722</date>
```

```
  </document-id>
```

```
</application-reference>
```

```
<legal-event providing-office="DE" status="C" date-added="20160213" sequence-number="8">
```

```
  <event-date>20160204</event-date>
```

```
  <event-code>R067</event-code>
```

```
  <event-details>
```

```
    <event-description event-description-type="original" >>ERTEILUNGSBESCHLUSS DES  
    ERGAENZENDEN SCHUTZZERTIFIKATS DURCH PATENTABTEILUNG</event-description>
```

```
    <event-description lang="en" >>EXAMINING DIVISION DECISION GRANTING SUPPLEMENTARY  
    PROTECTION CERTIFICATE</event-description>
```

```
  <spc>
```

```
    <spc-number>122013000086</spc-number>
```

```
    <date-filing>20131107</date-filing>
```

```
    <date-expiry-of-patent>20240723</date-expiry-of-patent>
```

```
    <date-extension-granted>20280829</date-extension-granted>
```

```
    <text>PRODUCT NAME: REGORAFENIB ODER EIN SALZ DAVON; REGISTRATION NO/DATE:  
    EU/1/13/858 20130826</text>
```

```
  </spc>
```

```
  </event-details>
```

```
</legal-event>
```

## 6.5 Parties [Ownership]

LEGACY	XML
<L509EP>	<legal-event><parties party-type="owner"><party-details><party><name>
<L515EP>	<legal-event><parties party-type="inventor"><party-details><party><name>
<L517EP>	<legal-event><parties party-type="representative"><party-details><party><name>
<L519EP>	<legal-event><parties party-type="opponent"><party-details><party><name>
<L522EP>	<legal-event><parties party-type="licensee"><party-details><party><name>
<L510EP>	<legal-event><parties party-type=" "><party-details-old><text>

```

<application-reference doc-id="449088373">
  <document-id>
    <country>US</country>
    <doc-number>201514814900</doc-number>
    <kind>A</kind>
    <date>20150731</date>
  </document-id>
</application-reference>

<legal-event providing-office="US" status="C" date-added="20160211" sequence-number="1">
  <event-date>20150731</event-date>
  <event-code>AS</event-code>
  <event-details>
    <event-description event-description-type="original">ASSIGNMENT</event-description>
    <event-description lang="en">ASSIGNMENT</event-description>
    <parties party-type="owner" sequence-number="1">
      <parties-details>
        <party>
          <name>L' AIR LIQUIDE SOCIETE ANONYME POUR L' ETUDE ET L' EX</name>
        </party>
      </parties-details>
      <text>ASSIGNMENT OF ASSIGNORS INTEREST;ASSIGNORS:GRAZIANI,
        VINCENT;ROLLAND, CHRISTIAN;MAKHLOUCHE, RACHID;SIGNING DATES
        FROM 20150701 TO 20150702;REEL/FRAME:036227/0703
      </text>
    </event-details>
  </legal-event>

```

---

## 7 ANNEX – Significance and Properties of Attributes and Elements

NEW

### 7.1 Terms of Reference

Term	Description
<b>Content</b>	Is the legal event in terms of database contents. “Content” is what makes a legal event unique
<b>Key data</b>	Is the primary key to the legal event. NOTE that this key is not unique! There may be kinds of events that will stretch over more than one instance of <legal-event> - e.g. more than one owner in the case of multiple ownership. Instances of <legal-event> that have the same primary key are part of one logical unit.
<b>Meta data</b>	Additional Information such as date added to the database, date of previous exchange, status
<b>Connects to DOCDB</b>	Unique and stable identifier that will allow for mixing and matching legal status with bibliographic data
<b>Contextual</b>	Included as a service to the user, e.g. publication-steps in an application or description of the event-code. NOTE that a modification to data-items identified as “contextual” will not trigger the legal event for exchange
<b>Derived</b>	Values derived at exchange-time, e.g. sequence numbering
<b>Not supported</b>	Elements and attributes not supported or introduced for future use
<b>(*)</b>	Elements identified by (*) are group elements

## 7.2 Attributes and Elements

Element		Child element	Content	Key-data	Meta-data	Connects to DOCDB	Contextual	Derived	Not supported
<b>legal-status-document</b>	attribute	family-id				x			
		status			x				
		date-added			x				
		date-previous-exchange			x				
		country	x					x	
		number-of-events							
	element	application-reference (*)	x						
		publication-reference (*)					x		
		ipr-type	x						
		ipr-status							x
		legal-event (*)							
<b>application-reference</b>	attribute	doc-id				x			
		lang					x		
	document-id	document-type							x
		country	x	x					
		doc-number	x	x					
		kind-code	x	x					
		name							x

		date					x		
<b>publication-reference</b>	attribute	doc-id				x			
		lang					x		
	document-id	document-type							x
		country					x		
		doc-number					x		
		kind-code					x		
		name							x
		date					x		
<b>legal-event</b>	attribute	event-type	x	x					
		providing-office	x						
		status			x				
		event-id		x					
		date-added			x				
		date-previous-exchange			x				
		sequence-number						x	
	element	event-date	x	x					
		event-date-effective	x						
		gazette-reference							x
		event-class							x
		event-code	x	x					
		event-details (*)							
<b>event-details</b>	element	event-description					x		

		event-reference (*)							
		date-application-withdrawn	x						
		parties (*)							
		spc (*)							
		designated-states	x						
		extension-states	x						
		fee-payment (*)							
		notification-of-lapse (*)							
		notification-of-reinstatement (*)							
		patent-classification (*)							
		text	x						
<b>event-reference</b>	element	event-ref-document	x						
		event-ref-kind	x						
		text	x						
<b>parties</b>	attribute	party-type	x						
		status							x
		sequence-number						x	
	element	parties-details	x						
		parties-details-old							x
		text	x						
<b>party</b>	element	name	x						
		execution-date							x



		address (*)	x						
<b>address</b>	element	address1							x
		address2							x
		address3							x
		address4							x
		address5							x
		country	x						
<b>spc</b>	element	spc-number	x						
		date-filing	x						
		date-expiry-of-patent	x						
		date-extension-granted	x						
		product							x
		text	x						
<b>fee-payment</b>	attribute	country	x						
	element	fee-payment-date	x						
		fee-payment-year	x						
		text	x						
<b>notification-of-lapse</b>	attribute	country	x						
	element	date-patent-lapsed	x						
		text	x						
<b>notification-of-reinstatement</b>	attribute	country	x						
	element	date-patent-reinstated	x						

		text	x						
<b>patent-classification</b>	element	classification-scheme (*)	x						
		classification-symbol	x						
<b>classification-scheme</b>	attribute	office							x
		scheme	x						
	element	edition							x
		date							x

## 8 ANNEX I - MAPPING XML-TAGS TO LEGACY L-TAGS

Elements identified "mandatory" high-lighted in **bold**

Elements and attributes not (yet) supported high-lighted in **red**

New features high-lighted in **yellow**

### 8.1 XML Instance <legal-status-documents>

Element/Attribute	Legacy Tag	Description
<b>&lt;legal-status-documents&gt;</b>		represents one package-file in the complete delivery
"date-produced"		date the information was extracted from the database
"date-of-exchange"		date the information is made available to the public
"schema-version"		schema version in force
"file"		package-file where the information can be found
"number-of-documents"		indicates number of documents in this package-file
"generating-office"		EP
"complete-history"	boolean	"true" = complete "life of a file"
		"false" = only the events added or updated in the week
<legal-status-document>		represents one application with all of its legal history

## 8.2 XML Instance <legal-status-document>

Element/Attribute	Legacy Tag	Descriptions
<legal-status-document>		represents one application with all of its legal history
"family-id"		is attribute "family-id" on <exchange-document> in DOCDB/XML
"date-previous-exchange"		date this document was exchanged previously
"status"		"C" - document has been added to the database "D" - document has been deleted from the database "A" - content of the document has been modified
"country"	<L001EP>	<country> in <application-reference> "WO" when <application-reference> is a PCT filing (kind-code ="W")
"number-of-events"		number of events contained in this document
<application-reference>		information is retrieved from DOCDB at exchange time
"doc-id"	<L020EP>	is attribute "doc-id" on <application-reference> in DOCDB/XML
"lang"		not supported at this level
<document-id>		
"document-id-type"		not supported - DOCDB format by default
<country>	<L001EP>	
<doc-number>	<L003EP>	
<kind>	<L004EP>	
<name>		not supported
<date>	<L014EP>	

[ continued on next page ]

Element/Attribute	Legacy Tag	Descriptions
<publication-reference>	<L017EP>	information is retrieved from DOCDB at exchange time
"doc-id"		is attribute "doc-id" on <publication-reference> in DOCDB/XML
"lang"		language of publication - for "WO" : language of filing
<document-id>		
"document-id-type"		not supported - DOCDB format by default
<country>		
<doc-number>		
<kind>		
<name>		not supported
<date>		
<ipr-type>	<L005EP>	"patent for invention"                      in legacy product : "PI" "utility model"                              in legacy product : "UM"
<ipr-status>		not supported
<legal-event>		

### 8.3 XML Instance <legal-event>

Element/Attribute	Legacy Tag	Descriptions
<legal-event>		
"event-type"	<L008EP>	when <L008EP>REG<L008EP> then "REG"
"providing-office"	<L501EP> or <L504EP>	when event-type="REG" or event-code="NENP"/"ENP" <b>see § 8.1 Release Notes - § 8.1.1 Attribute "providing-office"</b>
	<L001EP>	otherwise : copy of "country" supported on <legal-status-document>
<del>"reference-to-publication"</del>	<del>&lt;L506EP&gt;</del>	now provided for in element <event-reference><event-ref-kind>
"status"		"C" - event has been added to the database "D" - event has been removed from the database
"date-added"	<L019EP>	date first created in database
"date-previous-exchange"	<L018EP>	date last exchanged
"sequence-number"		from 1 by 1 with every event for identical <application-reference>
<event-date>	<L007EP>	
<event-date-effective>	<L525EP>	do NOT populate when already used to populate another element, e.g. <notification-of-lapse> or <notification-of-reinstatement>
<gazette-reference>		
<event-class>		not supported yet, introduced for future use
<event-code>	<L502EP> <L008EP>	when event-type="REG" when event-type not populated
<event-details>		

## 8.4 XML Instance <event-details>

Element/Attribute	Legacy Tag	Descriptions
<event-details>		
<event-description>		new feature
either "event-description-type" or "lang"		"original" "de", "en", "fr"
<event-reference>		reference to a patent by document-number or -kind <b>see § 8.1 Release Notes - § 8.1.2 Element &lt;event-reference&gt;</b>
CHOICE of <event-ref-document>		when tag L504EP or tag L503EP have been provided for
"document-id-type"		not supported - original format by definition
<country>	<L501EP> or <L504EP>	
<doc-number>	<L503EP>	
<kind>	<L506EP>	
<name>		not supported
<date>	<L505EP>	
<event-ref-kind>		when tag L504EP or L503EP have NOT been provided for
<kind>	<L506EP>	
<date>	<L505EP>	
<date-filing>	<L512EP>	to be populated here when there are NO spc details available
<date-application-withdrawn>	<L526EP>	

[ continued on next page ]

Element/Attribute	Legacy Tag	Descriptions
<parties> "party-type"	<L509EP> <L517EP> <L515EP> <L519EP>	"owner" "representative" "inventor" "opponent"
	<L522EP>	"licensee"
<parties-details> <party> "sequence-number" <name> <address> <parties-details-old> CHOICE OF      <party> <text>  <text>	<L510EP>	from 1 by 1 with every <party> for one "party-type"  not supported yet not supported yet  former owner(s), representative(s), etc ... do NOT populate when already used to populate in another element, e.g. <spc>
<spc> <spc-number>	<L511EP>	
<date-filing>	<L512EP>	to be populated here when there are other SPC elements available
<date-extension-granted> <date-expiry-of-patent> CHOICE of      <product>	<L523EP> <L513EP>	not supported yet
<text>	<L510EP>	product-name, product-registration, product-date

[ continued on next page ]



Element/Attribute	Legacy Tag	Descriptions
<designated-states>	<L507EP>	
<country>		
<extension-states>	<L508EP>	
<country>	<L524EP>	
<fee-payment>		
"country"	<L501EP>	when PGFP – ONLY to be populated when the event-code is PGFP
<fee-payment-date>	<L518EP>	
<fee-payment-year>	<L520EP>	
<text>	<L510EP>	do NOT populate when already used to populate in another element, e.g. <spc>
<notification-of-lapse>		
"country"	<L501EP>	when PG25
<date-patent-lapsed>	<L525EP>	
<text>	<L510EP>	
<notification-of-reinstatement>		
"country"	<L501EP>	when PGRI
<date-patent-reinstated>	<L525EP>	
<text>	<L510EP>	

[ continued on next page ]

---

Element/Attribute	Legacy Tag	Descriptions
<patent-classification> <classification-scheme> "scheme" <classification-symbol> <text>	   <L516EP> <L510EP>	  IPC or CPC, IPC by default unparsed string, compliant with WIPO ST.8

---

## 9 ANNEX II – RELEASE NOTES

### 9.1 2016/05 User Documentation 1.7.3 – Schema Definition 1.2.3

This release will resolve most of the validation issues in element <event-document> as well as the inconsistent values in attribute “providing-office”.

The majority of the validation issues are due to a change of strategy that has been applied in 2003 – the effects of which have only become apparent after having run the XML process on production data in a production environment

In 2003 the Legal Status Master Database has been migrated to a DB2 environment. With the migration to DB2 a slight change of strategy has been introduced that has had an impact on how tags <L501EP> and <L504EP> were being managed. These tags are vital to the way that attribute “providing-office” and element <event-ref-document> - that is replacing <event-document> are being populated.

#### 9.1.1. Attribute „providing-office“ @ <legal-event>

Before the migration to DB2 the providing office was recorded in tag <L501EP>.

After the migration to DB2 the providing office was recorded in tag <L504EP>.

This legacy issue will be resolved at exchange-time by using the value of the tag that is present to populate attribute “providing-office”.

This is only an issue in events that have an event-code like “ENP”. In other scenarios where the national office is the providing office – i.e. when the event-type is REG – tag <L501EP> is structurally supported.

*The algorithm is:*

*When the event-code = ENP\* or NENP and there is NO tag <L501EP>  
then use tag <L504EP> to populate “providing-office”*

See usage example on the next page.

## Usage Example

CA event added before the migration to DB2 and after the migration to DB2

Events as exchanged under schema-definition legal-status-documents-v1-1

```
<application-reference doc-id="43610124">
  <document-id>
    <country>SE</country>
    <doc-number>9800861</doc-number>
    <kind>W</kind>
    <date>19980512</date>
  </document-id>
</application-reference>
```

Tag <L501EP> is present

Tag <L501EP> is used to populate "providing-office"

```
<legal-event providing-office="CA" reference-to-publication="A" date-added="20030127"
  date-previous-exchange="20030101" sequence-number="6">
  <event-date>19991112</event-date>
  <event-code>ENP</event-code>
  <event-details>
    <event-description event-description-type="original">ENTRY INTO THE NATIONAL PHASE IN:
  </event-description>
    <event-description lang="en">ENTRY INTO THE NATIONAL PHASE IN:</event-description>
    <event-document>
      <doc-number>2290395</doc-number>
    </event-document>
  </event-details>
</legal-event>
```

Tag <L501EP> is not present

Inconsistent value in "providing-office"

```
<legal-event providing-office="WO" date-added="20130723" date-previous-exchange="20130725"
  sequence-number="7">
  <event-date>19991112</event-date>
  <event-code>ENP</event-code>
  <event-details>
    <event-description event-description-type="original">ENTRY INTO THE NATIONAL PHASE IN:
  </event-description>
    <event-description lang="en">ENTRY INTO THE NATIONAL PHASE IN:</event-description>
    <event-document>
      <country>CA</country>
      <doc-number>2290395</doc-number>
    </event-document>
  </event-details>
</legal-event>
```

Tag <L504EP> contains authority-code of national entry  
Tag <L504EP> will be used to populate "providing-office"

There is an unfortunate side-effect. In certain scenarios – like the one in this example – resolving the issue at exchange time will lead to duplicate events in the XML exchange.

The same "entry into the national phase" has been added to the database twice:

- once before the migration – with tag <L501EP>
- once after the migration – with tag <L504EP>

Functionally they are duplicates – that is how the XML exchange presents them.

Technically they are unique in content – that is how the legacy product and the database present them. There is the intention to look into these cases at a later stage.

### 9.1.2. Element `<event-reference>`

Element `<event-reference>` has been introduced to give a more accurate representation of how references to patent documents are currently being managed in the database and in the SGML product.

Element `<event-reference>` will present a choice between two patterns with a third option `<text>` for those instances of `<event-reference>` that do not have all elements required available:

- `<event-ref-document>` - exchanged as `<event-document>` in a previous release
- `<event-ref-kind>` - exchanged “reference-to-publication” in a previous release
- `<text>` - populated when some of the elements required are missing

NOTE that an indication as to whether the document referred to is a publication or an application is not supported by the master database.

Element `<event-ref-document>` is populated when there is at least an authority-code or a document-number available – tag `<L503EP>` or tag `<L504EP>`.

Element `<event-ref-kind>` is populated when there is ONLY a kind-code available or a date – tags `<L506EP>` or tag `<L505EP>`.

Element `<text>` is populated when neither of the two choices above apply.

Element <code>&lt;event-reference&gt;</code>					
Pattern	Tags available		Potentially with		Comments
<code>&lt;event-ref-document&gt;</code>	L504EP	L503EP	L506EP	L505EP	
	L501EP	L503EP	L506EP	L505EP	when L504EP not present, <code>&lt;L501EP&gt;</code> is taken
	L504EP	-	L506EP	L505EP	exchanged in <code>&lt;text&gt;</code>
	-	L503EP	L506EP	L505EP	exchanged in <code>&lt;text&gt;</code>
<code>&lt;event-ref-kind&gt;</code>	L506EP	L505EP			
	L506EP	-			
	-	L505EP			exchanged in <code>&lt;text&gt;</code>

When there is no tag `<L503EP>`, `<L504EP>`, `<L505EP>` or `<L506EP>` available, element `<event-reference>` is not supported.

When not all of the components required are available, the information will be exchanged in element `<text>`. When there is more than one component to be exchanged in element `<text>`, they will be concatenated and separated by a space.

---

The third option to the choice in `<event-reference>` has been added to exchange any instance of `<event-reference>` that does not comply with the schema-definitions of either `<event-ref-document>` or `<event-ref-kind>`, e.g.

- application WO – event-code ‘WWW’ – `<country>` only:  
`<country>` is exchanged in `<event-reference><text>`
- application EP – event-code ‘EAL’ – `<doc-number>` only:  
`<doc-number>` is exchanged in `<event-reference><text>`
- application ES – event-code ‘E2CA’ – `<date>` only:  
`<date>` is exchanged in `<event-reference><text>`

When there are more elements in `<event-reference>`, they will be concatenated and separated by spaces – e.g:

- application EP – event-type =‘REG’ – event-code ‘EECC’  
event-reference is country ‘AT’ – kind-code ‘T’ – no number:  
`<event-reference><text>AT T </text></event-reference>`

This modification to the schema has been introduced to reduce the number of violations against the schema caused by inconsistencies in legacy data – in events that have been added to the collection before the migration of the database to a DB2 environment – “date-added” of these events will be a date in 2003, the year of the database migration.

### 9.1.3. Element <event-ref-document>

Before the migration to DB2 the authority-code was recorded in tag <L501EP>.

After the migration to DB2 the authority-code was recorded in tag <L504EP>.

This legacy issue will be resolved at exchange-time by using the value of the tag that is present to populate authority-code in <event-ref-document>.

*The algorithm is:*

*When there is NO tag <L504EP> but there is a tag <L503EP> (doc-number)  
then use tag <L501EP> to populate the authority-code*

Event as it has been exchanged under schema-definition legal-status-documents-v1-1

```
<legal-event providing-office="DE" date-added="20030131" date-previous-exchange="20030101"
sequence-number="2">
  <event-date>19980402</event-date>
  <event-code>8172</event-code>
  <event-details>
    <event-description event-description-type="original">
      NACHZUTRAGENDE AUSSCHIEDUNGS- ODER TEILUNGSANMELDUNG IN:
    </event-description>
    <event-description lang="en">SUPPLEMENTARY DIVISION/PARTITION IN:
    </event-description>
    <event-document>
      <doc-number>19654983</doc-number>
    </event-document>
  </event-details>
</legal-event>
```

Tag <L504EP> is missing – tag <L501EP> is present instead  
Element <event-document> is not valid against the schema  
Tag <L501EP> will be used to populate <country>

Event as it will be exchanged under schema-definition legal-status-documents-v1-2-x

```
<legal-event providing-office="DE" date-added="20030131" date-previous-exchange="20030101"
sequence-number="2">
  <event-date>19980402</event-date>
  <event-code>8172</event-code>
  <event-details>
    <event-description event-description-type="original">
      NACHZUTRAGENDE AUSSCHIEDUNGS- ODER TEILUNGSANMELDUNG IN:
    </event-description>
    <event-description lang="en">SUPPLEMENTARY DIVISION/PARTITION IN:
    </event-description>
    <event-reference>
      <event-ref-document>
        <country>DE</country>
        <doc-number>19654983</doc-number>
      </event-ref-document>
    </event-reference>
  </event-details>
</legal-event>
```

### 9.1.4. Element `<event-ref-kind>`

In a previous release reference to a patent document by means of the kind-code was exchanged in attribute “reference-to-publication” – assuming that the reference would be supported by tag `<L506EP>` – representing the kind-code – exclusively. Only after running the process on production data in a production environment did it become apparent that tag `<L506EP>` could potentially be accompanied by tag `<L505EP>` representing a date.

Event as it has been exchanged under schema-definition legal-status-documents-v1-1

```
<legal-event providing-office="ES" reference-to-publication="A1" date-added="20090504"
date-previous-exchange="20090507" sequence-number="2">
  <event-date>20070916</event-date>
  <event-code>EC2A</event-code>
  <event-details>
    <event-description event-description-type="original">INFORME PUBLICADO</event-description>
    <event-description lang="en">SEARCH REPORT PUBLISHED</event-description>
    <event-document>
      <date>20070916</date>
    </event-document>
  </event-details>
</legal-event>
```

Tag `<L506EP>` has been used to populate the attribute  
Element `<event-document>` is not valid against the schema

Event as it will be exchanged under schema-definition legal-status-documents-v1-2-x

```
<legal-event providing-office="ES" date-added="20090504" date-previous-exchange="20090507"
sequence-number="2">
  <event-date>20070916</event-date>
  <event-code>EC2A</event-code>
  <event-details>
    <event-description event-description-type="original">INFORME PUBLICADO</event-description>
    <event-description lang="en">SEARCH REPORT PUBLISHED</event-description>
    <event-reference>
      <event-ref-kind>
        <kind>A1</kind>
        <date>20070916</date>
      </event-ref-kind>
    </event-reference>
  </event-details>
</legal-event>
```



### 9.1.5. Element `<text>` in `<event-details>` supporting `<spc>`

Element `<event-details>` may contain more than one detail.

In scenarios where there is an element `<spc>` in combination with `<parties>` or `<fee-payment>`, the contents of `<text>` representing the product information of the supplementary protection certificate is replicated in tag `<parties-details-old>`.

*This issue will be resolved as follows:*

*Whenever there is an instance of element `<spc>` in `<event-details>`, element `<text>` will only be populated in element `<spc>`*

```
<application-reference doc-id="16154001">
  <document-id>
    <country>EP</country>
    <doc-number>04751979</doc-number>
    <kind>A</kind>
    <date>20040512</date>
  </document-id>
</application-reference>

<legal-event event-type="REG" providing-office="FR" date-added="20130523"
date-previous-exchange="20130523" sequence-number="45">
  <event-date>20130415</event-date>
  <event-code>SPCC</event-code>
  <event-details>
    <event-description event-description-type="original"> CHANGEMENT DE NOM, DE DENOMINATION
    OU D'ADDRESS DU TITULAIRE (CCP)</event-description>
    <event-description lang="en"> CHANGE OF OWNER'S NAME OR ADDRESS FOR A
    SUPPLEMENTARY PROTECTION CERTIFICATE</event-description>
    <parties party-type="owner" sequence-number="1">
      <parties-details>
        <party>
          <name>ZOETIS W LLC, US</name>
        </party>
      </parties-details>
      <parties-details-old>
        <text>PRODUCT NAME: POULVAC E. COLI-ESCHERICHIA COLI VIVANT TYPE 078,
        DELETE DU GENE AROA, SOUCHE EC34195; REGISTRATION NO/DATE:
        EU/2/12/140/001 20120615</text>
      </parties-details-old>
    </parties>
    <spc>
      <spc-number>12C0073</spc-number>
      <date-filing>20121210</date-filing>
      <text>PRODUCT NAME: POULVAC E. COLI-ESCHERICHIA COLI VIVANT TYPE 078,
      DELETE DU GENE AROA, SOUCHE EC34195; REGISTRATION NO/DATE:
      EU/2/12/140/001 20120615</text>
    </spc>
  </event-details>
</legal-event>
```

`<parties-details-old>` should not have been generated;  
`<text>` should have been supported in `<spc>` only

---

### 9.1.6. *Element <fee-payment> - Modification to the schema definition*

To be valid element <fee-payment> used to require at least a <fee-payment-date>. Analysis of the validation reports has turned out that there are many event-codes that do not come with a <fee-payment-date> but do have a <fee-payment-year>. Combined with the fact that just as many event-codes have both <fee-payment-date> and <fee-payment-year>, the following solution has been opted for

```
<xs:element name="fee-payment">
  <xs:complexType>
    <xs:sequence>
      <xs:choice maxOccurs="2">
        <xs:element name="fee-payment-date" type="DateType"/>
        <xs:element name="fee-payment-year"/>
      </xs:choice>
      <xs:element ref="text" minOccurs="0"/>
    </xs:sequence>
    <xs:attribute ref="country"/>
  </xs:complexType>
</xs:element>
```

This allows for having either <fee-payment-date> or <fee-payment-year> or both.

---

## 10 ANNEX III - PRACTICAL HINTS AND TIPS

### 10.1 What Triggers the Exchange of a Legal Status Document

The exchange of a legal status document is triggered by:

- actions on legal status document level
- actions on legal event level

#### *10.1.1. Legal status document*

Actions on legal status document level that will trigger the exchange are:

- addition of a new legal status document (with the first legal event)
- deletion of an existing legal status document
- modification in the contents of the legal status document

All of these are triggered by input provided by data suppliers or through intellectual intervention and manual input by the EPO experts.

Additional actions that might trigger the exchange of a legal status document are:

- the introduction of a new application (with the first publication step)
- the modification of the application-reference

All of those are triggered by actions in DOCDB, the master database for patent bibliographic data.

- *Introduction of a new application in DOCDB*

The master database for legal status data will - by definition - contain legal events that date from before the actual publication of the application. The trigger for releasing legal status data from the master database to the public is the introduction of the **first** publication for a given application in DOCDB.

- *Modification of the application-reference in DOCDB*

The value of the application-reference in the master database for legal status data is maintained by DOCDB. Any modification in country-code, document-number or kind-code of the application-reference in DOCDB will trigger exchange.

### ***10.1.2. Legal event***

Actions on legal event level that will trigger the exchange are:

- addition of a new legal event
- deletion of an existing legal event
- modification in the contents of a legal event

All of these are triggered by input provided by data suppliers or through intellectual intervention and manual input by the EPO experts.

### ***10.1.3. What will NOT trigger exchange***

Actions that will NOT trigger the exchange of a legal status document are:

- addition of a **subsequent** publication-step
- modification of the application-date
- any modification in the patent bibliographic data

These modifications can be retrieved by combining information provided in the weekly DOCDB/XML exchange with legal status data provided in this product by making use of the unique and stable identifier "doc-id" that is attributed to element <application-reference> in both products.

*Refer to § 8.3 - How to extend your legal status with bibliographic data*

---

## 10.2 How to Interpret Change Indicator "status"

Change indicator attribute "status" identifies the action on the legal status master database that is responsible for triggering the legal status document for exchange.

Attribute "status" - when populated - can be found on two levels:

- <legal-status-document>
- <legal-event>

### 10.2.1. *Legal status document*

Values supported for attribute "status" at this level are:

- status="C" for CREATE
- status="D" for DELETE
- status="A" for AMEND

#### Status="C" - CREATE

Status="C" indicates that this application has not been exchanged before and is being exchanged for the FIRST time. Attribute "status" is populated with value "C" when one of the following applies:

- legal event(s) have been added to the database, these are the first legal event(s) for this application
- legal event(s) were already present in the database, the first publication for this application has been added to DOCDB

Attribute "status" will also be populated with value "C" for applications that are the "new key" in a re-key operation – when the new application-identifier is not present in the Legal Status master database yet. The corresponding "old key" will be included in the same exchange delivery with status="D".

### Status="D" - DELETE

Status="D" indicates that this application has been exchanged before and that it is not present in the legal status database anymore. Attribute "status" is populated with value "D" when legal event(s) have been deleted from the database and these were the last legal event(s) for this application.

Attribute "status" will also be populated with value "D" for applications that are the "old key" in a re-key operation. The corresponding "new key" will be included in the same exchange delivery with either status="C" or status="A":

- status="A" when the "new key" is present in Legal Status master database
- status="C" when the "new key" is not present in Legal Status master database

### Status="A" - AMEND

Status="A" indicates that this application has been exchanged before and that its content has been subject to change. Attribute "status" is populated with value "A" when one of the following applies:

- one or more legal events have been added
- one or more legal events have been deleted
- one or more legal events have been subject to change

Attribute "status" will also be populated with value "A" for applications that are the "new key" in a re-key operation — when the new application-identifier is already present in the Legal Status master database. The corresponding "old key" will be included in the same exchange delivery with status="D".

In scenarios like this, the events of the "old key" will be merged in with the events of the "new key". The events that have been "moved" from "old key" to "new key" will be clearly identified by status="C" at <legal-event> level.

Attribute "status" will also be populated with value "A" when manipulations in DOCDDB may have resulted in a modification to the value of the "doc-id" only:

- status="A" @ <legal-status-document>
- NO status @ <legal-event>
- modified value in "doc-id" @ <application-reference>

---

### 10.2.2. *Legal event*

Values supported for attribute "status" at this level are:

- status="C" for CREATE
- status="D" for DELETE

#### Status="C" - CREATE

Status="C" indicates that the event has been added in the week previous to the "date-produced". Attribute "status" is populated with value "C" when one of the following applies:

- the legal event has been added to the database, it is the first event:  
attribute "status" on legal status document level will be "C"
- the legal event has been added to the database, it is not the first event  
attribute "status" on legal status document level will be "A"

Attribute "status" will also be populated with value "C" when the legal event has been modified. The content will represent the "after image" in a delete/replace.

Attribute "status" on legal status document level will be "A"

#### Status="D" - DELETE

Status="D" indicates that the event has been removed or updated in the week previous to the "date-produced". Attribute "status" is populated with value "D" when one of the following applies:

- the legal event has been deleted from the database, it is the last event:  
attribute "status" on legal status document level will be "D"
- the legal event has been deleted from the database, it is not the last event:  
attribute "status" on legal status document level will be "A"

Attribute "status" will also be populated with value "D" when the legal event has been modified. The content will represent the "before image" in a delete/replace.

Attribute "status" on legal status document level will be "A"

*10.2.3. Summary*

Attribute "status"	Description
<legal-status-document status="A">	this application <u>has</u> been exchanged before content of the legal status document has been subject to change legal events that have triggered the exchange will have "status" populated
<legal-status-document status="C">	this application has <u>not</u> been exchanged before legal status document is new to the master database all legal events will have status="C"
<legal-status-document status="D">	this application <u>has</u> been exchanged before legal status document is not present in the master database anymore all legal events will have status="D"
<legal-event status="C">	this legal event has been added to the legal status document – one of two scenarios apply: a) it is a new event – status at <legal-status-document> might be "A" or "C" b) it is the "after image" in an update – status at <legal-status-document> will be "A"
<legal-event status="D">	this legal event has been removed from the legal status document – one of two scenarios apply: a) it is a straightforward delete – status at <legal-status-document> might be "A" or "D" b) it is the "before image" in an update – status at <legal-status-document> will be "A"



---

## 10.3 How to Extend your Legal Status with Bibliographic Data

The unique and stable identifier "doc-id" will allow for extending legal status data with information drawn from the weekly DOCDB/XML exchange:

- new publication steps
- any bibliographic detail that might be of interest to you, e.g. priority date, date of coming into force, date of preceding publication, dates of public availability

### *10.3.1. Extending legal status with new publication steps*

New publication steps can be picked up from the DOCDB/XML CreateDelete packages and matched to the corresponding application in legal status by making use of attribute "doc-id" on <application-reference>:

- legal status document exchanged will cover all publication steps available in DOCDB at the time of exchange.
- ONLY the addition of the first publication step in DOCDB will trigger the exchange of a legal status document.
- the exchange of a legal status document is NOT triggered by the addition of a subsequent publication step in DOCDB.

### *10.3.2. Extending legal status with updated bibliographic data*

Bibliographic data of publications that have been added or updated can be picked up from the DOCDB/XML CreateDelete and Amend packages respectively and matched to the corresponding application in legal status by making use of attribute "doc-id" on <application-reference>:

- legal status data will NOT cover any bibliographic detail, beyond application-date and publication steps.
- the exchange of a legal status document is NOT triggered by any update of the bibliographic data in DOCDB.

### ***10.3.3. Points of Attention when “Mixing and Matching”***

You will only see a given publication or application in both DOCDB and LEGSTAT in the following scenarios;

- the application-identifier has been modified in DOCDB
- a modification to the bibliographic data in DOCDB has coincided with a modification to the legal events in LEGSTAT

When an application or publication is featuring in both DOCDB and LEGSTAT, you can make the connection between them through the “doc-id” of the application or the publication. The value of “doc-id” will be consistent between the two exchanges:

- both exchanges retrieve the value from DOCDB at exchange time
- both exchanges are produced in the same time-slot.

In the case of an application re-key, records making up one re-key will be made available in the same week in both exchanges:

- in Legal Status on the Tuesday
- in DOCDB on the Thursday (CreateDelete).

## 10.4 Attributes “status” and “doc-id” in Application “Re-keys”

This section lists ALL the scenarios possible.

### 10.4.1. Modification of the application-identifier in DOCDB

Case	Source	Master Databases	<legal-status-document>	<application-reference>	<document-id>
01	AT 199 D	present in Legal Status present in DOCDB doc-id=999999999	status="D"	doc-id="999999999"	AT 199 D
	AT 199 A	NOT present in Legal Status NOT present in DOCDB doc-id not available	status="C"	doc-id="999999999"	AT 199 A
02	AT 199 D	present in Legal Status present in DOCDB doc-id=999999999	status="D"	doc-id="999999999"	AT 199 D
	AT 199 A	present in Legal Status NOT present in DOCDB doc-id not available	status="A"	doc-id="999999999"	AT 199 A

**10.4.2. Modification of the application-identifier in Legal Status**

Case	Source	Master Databases	<legal-status-document>	<application-reference>	<document-id>
<b>03</b>	AT 199 D	present in Legal Status present in DOCDB doc-id=999999999	status="D"	doc-id="999999999"	AT 199 D
	AT 199 A	NOT present in Legal Status present in DOCDB doc-id=888888888	status="C"	doc-id="888888888"	AT 199 A
<b>04</b>	AT 199 D	present in Legal Status present in DOCDB doc-id=999999999	status="D"	doc-id="999999999"	AT 199 D
	AT 199 A	present in Legal Status present in DOCDB doc-id=888888888	status="A"	doc-id="888888888"	AT 199 A

Case	Source	Master Databases	<legal-status-document>	<application-reference>	<document-id>
<b>05</b>	AT 199 D	present in Legal Status NOT present in DOCDB doc-id NOT available	status="D"	NO attribute "doc-id"	AT 199 D
	AT 199 A	NOT present in Legal Status present in DOCDB doc-id=888888888	status="C"	doc-id="888888888"	AT 199 A
<b>06</b>	AT 199 D	present in Legal Status NOT present in DOCDB doc-id NOT available	status="D"	NO attribute "doc-id"	AT 199 D
	AT 199 A	present in Legal Status present in DOCDB doc-id=888888888	status="A"	doc-id="888888888"	AT 199 A

## 11 ANNEX IV - PACKAGING FEATURES

The exchange will consist of one or more *packages* – delimited by size – and will NOT cut across countries. Each package will be split into one or more *package-files*.

### 11.1 Packaging Strategy

Each package will be split into one or more package-files:

- on application-date
- within application-date on application-country
- within application-country on size
- sorted on application-number

Note that “application-country” is the country-code represented in attribute “country” in <legal-status-document>. Attribute “country” will be populated with ‘WO’ for PCT applications. This is the only way to group PCT applications together in dedicated package-files.

Each package will come with:

- its own packaging-index, a table of contents :
  - enabling to navigate through the exchange and trace information
  - specifying which ranges of documents can be found in what package-file
- its own reports on data coverage and statistics

## 11.2 Naming convention

The naming convention is:

- the package: `legstat_xml_CCYYww`
- each package-file: `LEGSTAT-CCYYww-AppDateFromCCYYMMDD`

where:

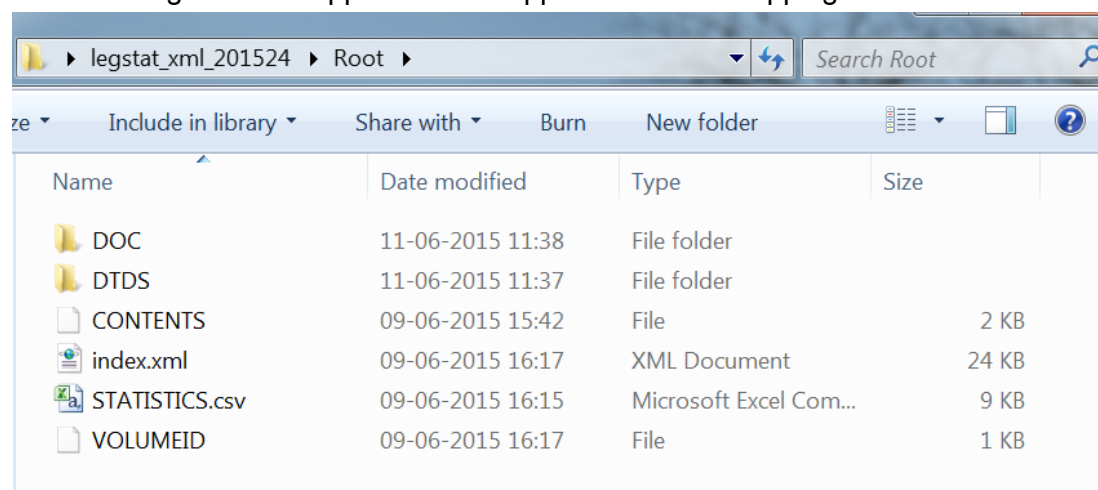
- `CCYYww` is the week of exchange
- `CCYYMMDD` is the first application-date in the package-file

Each package-file will be suffixed with an identifier to indicate further subdivisions:

- `LEGSTAT-CCYYww-cc-AppDateFromCCYYMMDD-nnnn.xml`

## 11.3 Zipping Strategy

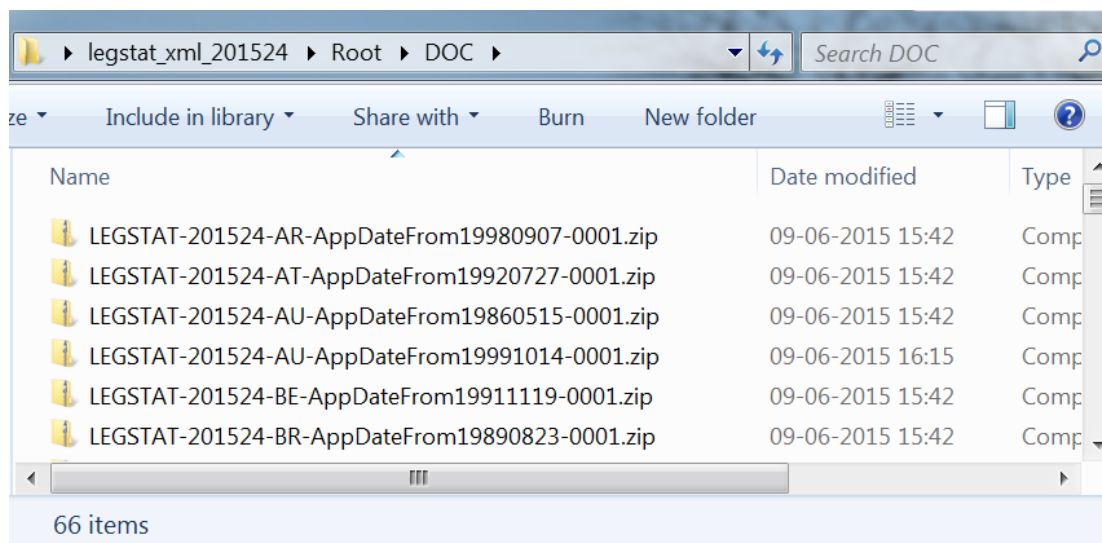
The exchange will be supplied in one zipped archive. Unzipping will reveal the root.



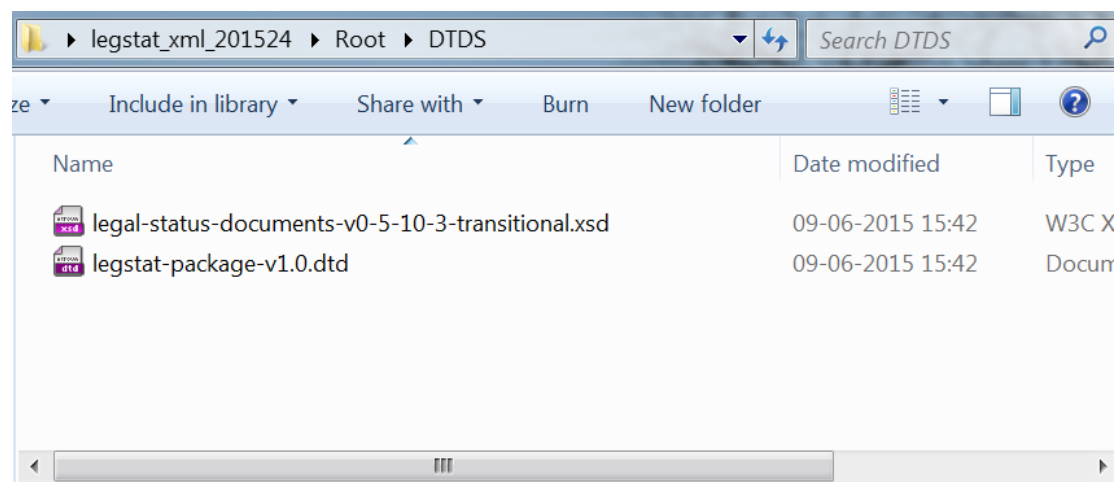
The root will display:

- DOC contains payload data in .xml files, each .xml file zipped
- DTDS contains DTDs and XML Schemas necessary to validate the .xml files
- CONTENTS contains a description of the contents of the product
- index.xml gives a list of the files included in the volume
- VOLUMEID will contain an identifying tag of minimum 23 characters

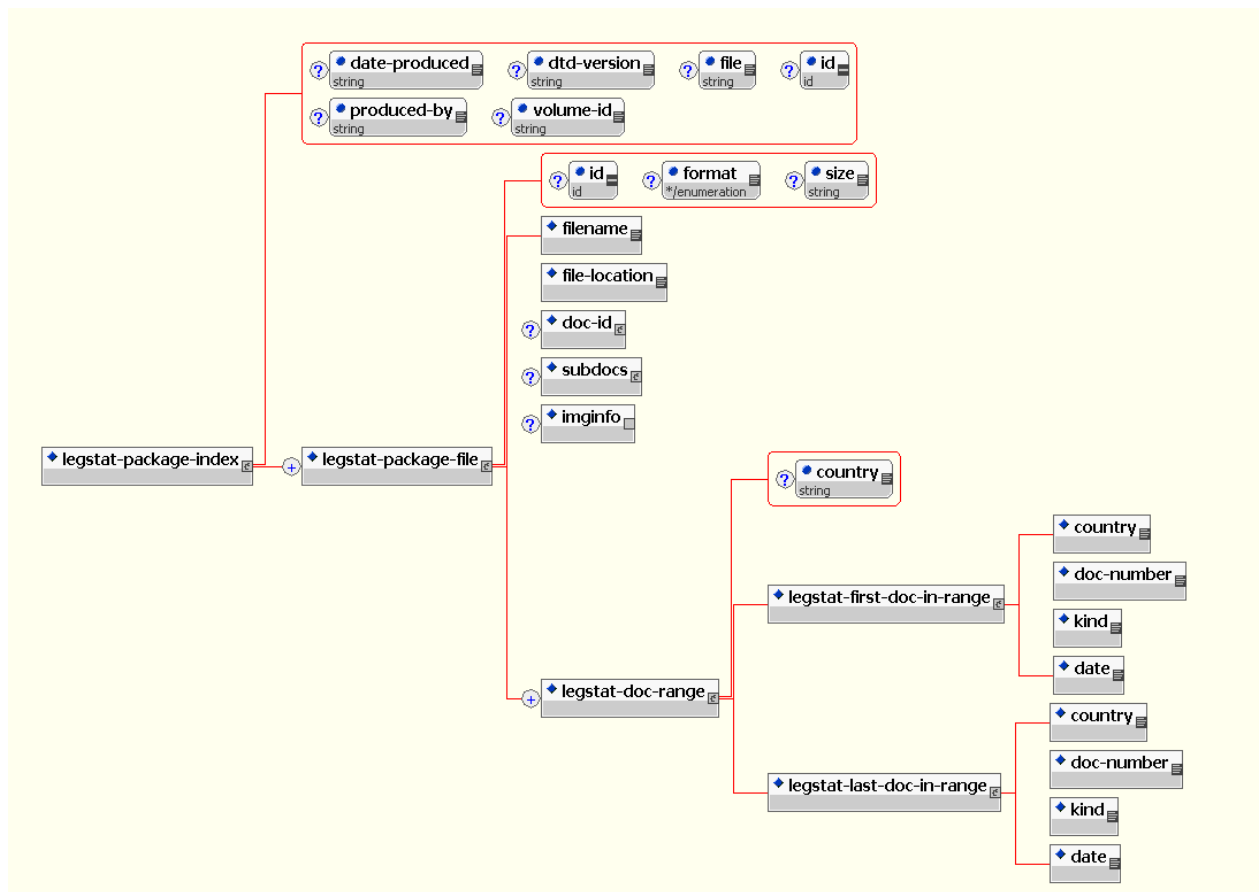
## 11.4 Directory DOC



## 11.5 Directory DTDS



## 11.6 INDEX File



<legstat-package-index>: one exchange delivery

- date-produced date this exchange was produced at the EPO
- dtd-version version of the dtd or schema
- file year/week-number
- produced-by "EP"
- volume-id see section VOLUME-id

<legstat-package-file>: one instance of <legal-status-documents>

- attributes attributes used are "format" and "size"
- file-name refer to section Naming Convention
- legstat-doc-range for each country : first and last document in range

These are the only elements and attributes populated.



---

## 11.7 VOLUME-id

Identifying tag with a minimum length of 23 characters

Position	Name	Description
1-2	Responsible Office	EP
3-5	Batch type	LSE – Legal Status Exchange LSB - Legal Status Back-file
6-7	Author	EP
8-11	Year	Four-digit calendar year of issue
12-15	Month and Day	Format is MMDD. If this information is not available/relevant, it will contain the value 0000.
16-17	Week	The week number of production of the package (in format WW). If this information is not available/relevant, it will contain the value 00.
18-20	Volume Number	A three digit sequential number starting from 001
21-23	Volume Total	A three digit number indicating how many volumes (CD's, DVD's, etc...) are in the same batch.

## 11.8 STATISTICS.csv

### 11.8.1. Global

Package name :	legstat_xml_201524
Date of exchange :	20150609
Number of <legal-status-documents> :	126854

Total number of events for authority AU:	751
Total number of events for authority CA:	1013
Total number of events for authority CH:	4083
Total number of events for authority CN:	20342
Total number of events for authority DE:	210788
Total number of events for authority DK:	139
Total number of events for authority EE:	209
Total number of events for authority EP:	20
Total number of events for authority ES:	487
Total number of events for authority GB:	1450
Total number of events for authority HK:	244
Total number of events for authority HU:	7
Total number of events for authority JP:	1
Total number of events for authority KR:	4
Total number of events for authority LT:	1
Total number of events for authority PT:	1
Total number of events for authority US:	3
Total number of events for authority WO:	521

**11.8.2. Details**

Status	Authority	Event Code	Regional	First Date Gazette	Last Date Gazette	No. of Events
A	EP	PG25		20120731	20120731	1
A	EP	PGFP		20130430	20130731	2
A	JP	FPAY		20140202	20140202	2
A	US	AS		20120731	20120731	1
C	AT	A1J		20031015	20031015	1
C	AU	CB		20090430	20090430	1
C	AU	CC1		20090827	20090827	1
C	AU	FGA		20090827	20090827	1
C	DE	R096	EP	20110929	20110929	1
C	WO	WWW		20060704	20060704	1
D	AT	A1J		20031015	20031015	1
D	AU	CB		20090430	20090430	1
D	AU	CC1		20090827	20090827	1
D	AU	FGA		20090827	20090827	1
D	DE	8364		20110120	20110120	1
D	DE	NENP	WO	20060704	20060704	1
D	DE	R065		20120405	20120405	1
D	JP	A01		20110622	20140202	7

Note that you may find more than one entry for the same status/authority/event-code combination – once as a national event – once as a regional event.

In cases like these there will be two rows for the same event code – one for the genuine CH events and one for the regional events with CH as providing office.

```
<legal-event providing-office="CH" status="C" ... sequence-number="1">
```

```
  <event-date>20150415</event-date>
```

```
  <event-code>AECN</event-code>
```

```
<legal-event event-type="REG" providing-office="CH" ... sequence-number="38">
```

```
  <event-date>20130715</event-date>
```

```
  <event-code>AECN</event-code>
```

---

## 12 ANNEX V – List of Event Classes

Event Class	Description
A	Application filing
B	Application discontinuation
C	Application revival
D	Search and examination
E	Pre-grant review request
F	IP right grant
G	Protection beyond IP right term
H	IP right cessation
K	IP right revival
L	IP right review request
M	IP right maintenance
P	Document modification
Q	Document publication
R	Party data change
S	Licensing information
T	Administrative procedure adjustment
U	Payment
V	Appeal
W	Other
Y	Correction and deletion of event information
Z	Not classifiable