

产权组织标准委员会（CWS）

第十一届会议

2023 年 12 月 4 日至 8 日，日内瓦

第七部分工作队的报告（第 50 号任务）

第七部分工作队牵头人编拟的文件

概 要

1. 第七部分工作队在第 50 号任务的框架内开展工作，报告了自产权组织标准委员会（CWS）上届会议以来开展的活动，并指出了遇到的一些问题。对是否计划于今年分发两项调查的审查结论是，对引文做法调查作修订并可能于 2024 年进行调查，关于专利公报中著录项目信息的调查只有标准委员会想要修订产权组织标准 ST. 11 或 ST. 19 才进行修订。

背 景

2. 在 2021 年举行的第九届会议上，标准委员会批准了更新《产权组织手册》第七部分的经修订工作计划，包括在 2022 年进行关于日历日期的调查。标准委员会批准了更新第七部分的简化程序，即仅收集和公布结果，不将调查问卷或结果提交给标准委员会供其批准。标准委员会请工作队安排更新关于引文做法的第 7.9 部分（见文件 CWS/9/25 第 110 段至第 114 段）。

3. 在 2022 年举行的第十届会议上，标准委员会被告知秘书处发布了第 C. CWS 162 号通函，邀请知识产权局参与关于日历日期表示方法的调查。委员会还注意到文件 CWS/10/18 对收到的答复进行了分析。

4. 在 2022 年举行的同一届会议上，标准委员会还审议并批准了第七部分工作队的最新工作计划，转录于下表：

部分	主题	上次公布	状态
第 7.9 部分	引文做法	2008 年	2023 年更新
第 7.6 部分	专利公报中著录项目信息	1990 年	2023 年更新
第 7.2.6 部分和 第 7.2.7 部分	申请编号——现行做法和此前做法	2017 年	2024 年更新
第 7.3 部分	专利文献举例和类型	2016 年	2025 年更新

5. 标准委员会注意到，为更新第 7.6 部分和第 7.9 部分而计划进行的两项调查将采用第九届会议批准的简化程序进行：仅收集和公布结果，不将调查问卷或结果提交给标准委员会供其批准，但将队所开展调查进行的分析提交给标准委员会审议和批准（见文件 CWS/9/25 第 114 段）。公布的结果将在下一届会议上通知标准委员会。

第 50 号任务进展报告

目标

6. 根据任务说明，第 50 号任务的目标是确保对产权组织《工业产权信息与文献手册》第七部分公布的调查进行必要的维护和更新。

2023 年的相关行动

7. 秘书处更新了《产权组织手册》第 7.1 部分，纳入了关于日历日期表示方法的调查结果，并向 2023 年 1 月举行的标准委员会第十届会议作了报告。

8. 工作队讨论了如何开展计划于 2023 年进行的两项调查，但是发现了一些问题。关于更新《产权组织手册》第 7.6 部分“专利公报中著录项目信息”的调查，上一次是在 1989 年 8 月 18 日以工业产权信息常设委员会（PCIPI）第 1246/08.2 号通函进行的以下调查：

“关于专利公报中和专利公报附带或单独公布的与专利公报有关的本期索引中的著录项目信息的调查”

9. 国际局在进一步分析了 1989 年调查的来龙去脉之后指出，该调查的主要目的是根据前 PCIPI 工作组的要求修订标准 ST.11 和标准 ST.19，这两项标准自 1990 年以来一直没有修订过。因此，工作队请标准委员会在开展调查之前考虑并决定是否应修订这两项标准。如果标准委员会决定更新这两项标准，则调查应于 2024 年启动。

10. 关于更新《产权组织手册》第 7.9 部分“引文做法”的调查，工作队审查了上次于 2008 年发出的调查问卷（见本文件附件），并讨论了该问卷的内容是否仍然有效，可用于收集知识产权局对其当前引文做法的反馈意见。工作队一致认为，鉴于引文的新类型（包括引用视频）、新的数据格式和引文平台等原因，在开始新的调查之前，应更新调查问卷。国际局作为工作队的牵头人，一直在与工作队成员合作，致力于编制一份经修订的调查问卷，以供标准委员会本届会议审议，但仍需更多时间完成对问卷的更新。一旦经标准委员会批准，第七部分工作队将编制关于引文做法的更新后调查问卷，并提交 2024 年举行的标准委员会下届会议审议和批准。

11. 一个工作队成员局还建议，在开展这项调查之前，应明确调查的具体目的和所收集信息的预期用途，特别是考虑到完成一项调查需要大量的人力资源。因此，第七部分工作队将明确调查信息的这些客户或最终用户都是谁，以便从调查意见中获得最大收益和回报。

潜在挑战或依赖性

12. 工作队找出了在开展工作的若干挑战或依赖性：

- 标准委员会的多项任务和多个工作队都是国际局在牵头，在支持和牵头根据第 50 号任务开展的活动方面遇到了人员资源配置问题；以及
- 由于对一些知识产权局来说，这项任务可能不是高度优先事项，因此可能不会积极参与。

在开展这两项调查之前，应首先由标准委员会讨论所发现的问题并提供指导。

进展审评

13. 注意到上述挑战和依赖性，工作队自标准委员会上届会议以来没有取得实质性进展。《产权组织手册》第七部分公布的调查结果有助于了解知识产权局的做法，但工作队目前工作繁忙，无法取得重大进展。

14. 国际局建议将第 50 号任务说明中的“工业”一词改为“知识”，因为《产权组织手册》的标题已经修正。修订后的说明为“确保对《产权组织知识产权信息与文献手册》第七部分公布的调查进行必要的维护和更新”。

工作计划

15. 结合上述考虑和决定要点，拟议的工作计划如下：

部分	主题	上次公布	状态
第 7.9 部分	引文做法	2008 年	2024 年编制一份调查问卷，2025 年更新（取决于标准委员会第十一届会议的决定）
第 7.6 部分	专利公报中著录项目信息	1990 年	2024 年（取决于标准委员会第十一届会议的决定）
第 7.2.6 部分 和第 7.2.7 部分	申请编号——现行做法和此前做法	2017 年	2025 年更新
第 7.3 部分	专利文献举例和类型	2016 年	2026 年更新

16. 请标准委员会：

- (a) 注意本文件及本文件附件的内容；并

(b) 如上文第 8 和第 9 段所述，审议并决定是否有必要修订产权组织标准 ST. 11 和 ST. 19，并进而决定是否进行更新《产权组织手册》第 7.6 部分“专利公报中著录项目信息”的调查；

(c) 如上文第 11 段所述，就引文做法的具体目的、所收集信息的预期用途以及确认调查信息的客户提出评论意见；

(d) 如上文第 10 段所述，决定关于引文做法的调查问卷是否应作更新，并要求第七部分工作队向委员会第十二届会议提交新调查问卷；

(e) 批准上文第 14 段提及的对第 50 号任务说明的修订；以及

(f) 审议并批准上文第 15 段所述的更新后工作计划。

[后接附件]

Questions about you (being the person completing the survey): Section 1

Section 1: Your details:

Name:

Industrial Property Office (IPO):

Your function within the IPO:

Email address:

Date of completion of survey:

Other comments if applicable:
e.g., alternate e-mail address

Questions about citation references provided by your IPO: Sections 2-5

Section 2: Citation reference availability: Citation references relevant to a patent document can be suggested or decided to be included by people including Applicants, Examiners, and interested third parties. A citation reference may occur in a patent description, a search report or other location associated with a patent document.

2. Does your IPO publish citation references associated with your IPO's patent documents? In the context of this survey "citation reference" refers to the identification of (part of) a document, not the text or other information contained within the cited document.

Yes No

Please comment if necessary

3. Citation references are: **Select one**

Available to the public Availability is limited Not available

If limited, please comment on how the availability is limited? e.g., limited to type of person trying to view the citation reference (e.g., applicants only) or limited to the part of the life cycle in which the citation reference was included (e.g., references suggested during opposition are unavailable)

Section 2: Citation reference availability (continued)

4. Select the location(s) within the patent documents published by your IPO where citation references can be found:

- Search report Patent description Other patent document location Bibliographic data

Please comment on any of the above mentioned locations, if appropriate

5. If citations are part of the bibliographic front page information, are citation references included in INID code (56)?

for INID codes see <http://www.wipo.int/export/sites/www/standards/en/pdf/03-09-01.pdf#INID>

- Yes No Sometimes

6. Select the location(s) outside the patent document where citation references can be found:

- Summary information (Internet) End of document (Internet) Other location:

Please specify if "Other location"

7. Are hyperlinks included for Internet locations? Yes No Not applicable

Please comment if necessary

8. Does your IPO give information about a patent document that cites the specific patent document the user is looking at (i.e., a forwards citation)?

- Yes No

9. Are hyperlinks back to the citing document provided? Yes No

Please comment if necessary

Section 2: Citation reference availability (continued)

10. Does your Office follow the recommendations set out in WIPO Standard ST.14 for the identification of citation references?
see <http://www.wipo.int/export/sites/www/standards/en/pdf/03-14-01.pdf>

Yes No Partially

Comment, if
necessary

11. Does your IPO provide indications, to the general public, informing about who suggested or decided on including the citation references? e.g., suggested by applicant, included by examiner. Such indications can be helpful for deciding how relevant a citation reference may be. As an example, the front page bibliographic data (in image format) of US 7,353,465 B1 indicates under INID code (56), by the use of an asterisk *, that the references were cited by an examiner.

Yes No

12. If available, where can indications of who created a citation reference be found by the general public?
select as many items as are applicable.

- | | |
|--|---|
| <input type="checkbox"/> Bibliographic data on patent document | <input type="checkbox"/> End of patent document |
| <input type="checkbox"/> Search report | <input type="checkbox"/> Other |

please comment if
necessary, and if
"Other", please
specify where an
indication can be
found

continue survey on next page

Section 3: Search Report Information

13. Does your IPO publish International Search Reports (ISR) under the PCT? Yes No

14. Does your IPO publish IPO-specific national/regional search reports (non PCT)? Yes No

15. For the remainder of the questions in section 3 (if you answered "Yes" to either 13 or 14) please indicate what search reports your answers are based on:

ISR National / regional Both ISR and non-ISR Other

Please specify if "Other"

16. Do you have quality control on citation references entered on search reports? Yes No

Please comment if necessary:

17. Are relevance indicators stated?: e.g., X, Y (see paragraph 14 of WIPO Standard ST.14) Yes No

18. Do your citation references include online URLs? Yes No Sometimes

19. Are unique document identifiers used?: e.g., DOI Yes No

20. If applicable, which unique document identifiers are used?

Digital Object Identifier (DOI) ISBN and ISSN

Other: If "Other" please specify:

21. Please comment on any major differences between the provision of ISR and other search report citation references

Section 4: Centralizing/Tagging Citation References

e.g., suitable for a database containing data elements identifying the location of the cited text/documents

22. Do you (intend to) add tags to identify citation references?

(e.g., see http://www.wipo.int/export/sites/www/scit/en/taskforce/citation_practices/docs/st36-ice-citations.pdf)

Yes No Not now, but we intend to in specify when

23. Does your IPO have a centralized database containing citation reference identification data elements?

Yes No Not now, but we intend to in specify when

24. If possible, please specify any structural elements on which the database is founded

e.g., ST.36 xml, INID code (56)

25. Are citation references from your IPO searchable by the general public?

i.e., can one search the text of the data elements identifying the text/document cited

Yes No

If "Yes", please specify the location where the references are searchable e.g., [http://www.?](http://www.?.)

26. Is the information in the database technically and legally exchangeable e.g., with other IPOs? Yes No

27. Please add any further comments you may have about any of the questions in section 4 above:

continue survey on next page

Questions about your IPO's published documents that may be cited (within a citation reference): Sections 5 to 7

Section 5: Location of published patent documents which can be considered to be an (or the) authentic source

28. Which medium and format represents the (or an) authentic legal rendition (authoritative source) of your IPO's published patent documents? A legal version is, e.g., a publicly available document that could be consulted in court proceedings.

Medium: e.g., Internet or paper

[Empty text box for medium and format]

29. Please advise how to locate the medium you have selected: (e.g., specify the title of a DVD and an Internet address for ordering the DVD)

[Empty text box for location instructions]

30. Regarding the medium indicated above, is there one or more (file) formats that should be looked at (in preference to other formats)?

Yes No

31. If yes, please select all formats that should be considered in preference to other formats

.pdf (Adobe) .html .tif image Paper

Other

Please comment if "Other"

[Empty text box for comment on other formats]

32. Where else can your published patent documents be found? Select as many as are applicable

Internet

Main Internet address:

[Empty text box for main internet address]

Other known Internet addresses: separate each address with a semi-colon ;

[Empty text box for other internet addresses]

If available, please advise how to find or subscribe to each available source (e.g. P.O. Box or internet address)

CD/DVD

Title / location:

[Empty text box for CD/DVD title/location]

FTP

Title / Location:

[Empty text box for FTP title/location]

Paper

Title / Location:

[Empty text box for Paper title/location]

Web services

(bulk data download)

Title / Location:

[Empty text box for Web services title/location]

Commercial providers

Specify, if desired

[Empty text box for Commercial providers]

Other

Please specify:

[Empty text box for Other specification]

Section 6: Availability of location identifiers (for citing later within a search report) occurring within some or all of your IPO's authentic legal published documents (stated in the first part of section 5 above); e.g., a location identifier may be a page, paragraph, or an image number. Answer this question according to your current publication procedures.

33. Which, if any, page-based identifiers do your published patent documents contain: *tick all that apply*

Page numbers Column numbers Line numbers

Other *Please specify:*

34. Which, if any, identifiers of non-textual elements occur within the description part of your published patent document:
tick all that apply

Image numbers *within the description* *include comment if appropriate*

Chemical formulae numbers *include comment if appropriate*

Tables *include comment if appropriate*

Gene sequences *include comment if appropriate*

Mathematical formulae *include comment if appropriate*

Computer programs *include comment if appropriate*

Other *please specify*

continue survey on next page

Section 7: Paragraph number details complete this section if your published patent documents include paragraph numbers

35. Paragraph numbers are typically created by:

- Applicant / Inventor Your IPO e.g., examiners An external publisher

Other: Please specify

36. Paragraph numbers are recreated: tick all that apply

- During the publication process When numbered paragraphs are amended

Other process Please specify

37. Describe any special treatment you give to long paragraphs: i.e., longer than 300 words

38. Describe how you treat numbered paragraphs that are subsequently amended: particularly when one paragraph is replaced by many, or one or more paragraphs are deleted

39. If necessary, please provide additional comment on any part of the questions or answers given above in this section.

General questions about Citation Practices: Sections 8-9

Section 8: Examples of citation references published by your IPO, if this information is available.

40. If possible, please provide a patent (application) number and a publicly available Internet address that contains one or more typical examples of patent and non-patent literature citation references.

Specify application number and kind code, e.g., *WO 2005/110961 A1*

Specify Internet address and any instructions helpful to find patent (application) number, e.g., *http://www.wipo.int/pctdb/en/ia.jsp?IA=IB2005001265&REF=RSS*

Specify where in the document the citation references can be found, e.g., *page 1, lines 19 and 25, search report at end of document*

Section 9: Additional comments about citation practices

41. If applicable, please make any further comments, e.g., you may wish to comment on difficult aspects of citation practices for your IPO:

e.g., users are confused about the part of a document a citation reference was referring to

e.g., citation references do not refer to the authentic rendering of a patent document

e.g., it is not clear how or whether to state a url as part of a citation reference

Thank you for your participation in this survey. **Please press the "Submit by Email" button below or print the survey and return the printed to one of the following addresses:**

Email: scit.mail@wipo.int

Fax: +41 22 338 7210

Post: Standards and Documentation Section, World Intellectual Property Organization, PO Box 18, CH-1211 Geneva 20, Switzerland

Submit by Email

[附件和文件完]