

# WIPO



SCIT/SDWG/11/2

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WORLD INTELLECTUAL PROPERTY ORGANIZATION  
GENEVA

## STANDING COMMITTEE ON INFORMATION TECHNOLOGIES STANDARDS AND DOCUMENTATION WORKING GROUP

**Eleventh Session**  
**Geneva, October 26 to 30, 2009**

REVISION OF WIPO STANDARD ST.10/C (TASK No. 30)

*Document prepared by the Secretariat*

1. The Standards and Documentation Working Group (SDWG) of the Standing Committee on Information Technologies (SCIT), at its ninth session, held in February 2008, decided that the ST.10/C Task Force should review WIPO Standard ST.10/C, particularly paragraphs 5 to 7, for any revision needed in light of the revised WIPO Standard ST.13 that had been adopted at that session. (See document SCIT/SDWG//9/12, paragraph 21.)
2. The ST.10/C Task Force, led by the Japan Patent Office, continued its work on the revision of WIPO Standard ST.10/C taking into account the above-mentioned decision by the SDWG. At the tenth session of the SDWG, held in November 2008, the Task Force requested the guidance of the SDWG on certain issues raised during the discussions; the SDWG agreed on the following:
  - (a) the Task Force should first focus on finalizing the proposal on the revision of WIPO Standard ST.10/C in regard to the recommendations concerning patents only, i.e., the current contents;
  - (b) after the adoption of the revised version of WIPO Standard ST.10/C and the adoption of a new WIPO Standard ST.67 (dealing with trademark figurative elements), the Trademark Standards Task Force should use the revised WIPO Standard ST.10/C as a model for preparing a proposal on a new similar standard dealing with the presentation of bibliographic data for trademarks;

(c) any decision regarding the preparation of a new WIPO standard similar to WIPO Standard ST.10/C for industrial designs should be postponed until the revised version of WIPO Standard ST.10/C were to be adopted by the SDWG at a future session since at present, there is no task force dealing with industrial designs as the Trademark Standards Task Force does with trademarks;

(d) with regard to the preparation of recommendations regarding Uniform Resource Identifiers (URIs), the SDWG considered that this was a matter that would likely be dealt with by a separate task force. The SDWG agreed, however, that further discussions would be necessary at its next session in 2009 under an agenda item concerning the ST.10/C Task Force; and

(e) the survey on practices by industrial property offices (IPOs) on the use of the check digit in application numbers should not be carried out at this time. Instead, after finalizing the revision of WIPO Standard ST.10/C, the ST.10/C Task Force should prepare a questionnaire to survey IPOs regarding application numbers used. The issues to be addressed in the questionnaire should be decided by the SDWG at its next session. (See document SCIT/SDWG//10/12, paragraphs 15 to 22.)

3. As a follow-up to the above-mentioned decisions by the SDWG, the ST.10/C Task Force continued its discussions and reached an agreement on a proposal for the revision of WIPO Standard ST.10/C, as well as on the issues to be addressed in the questionnaire referred to in paragraph 2(e), above. The Task Force Leader prepared a report on the progress made and the work to be completed, which was submitted, along with two appendices, for consideration by the SDWG (see the Annex to this document and Appendices 1 and 2 thereto). An oral report on the status of Task No. 30, including any additional agreements that may be reached with regard to the said Task after the preparation of the written report, will also be presented at the eleventh session of the SDWG.

4. Appendix 1 to the Annex as attached to the present document contains the proposal by the ST.10/C Task Force for the revision of WIPO Standard ST.10/C for consideration and adoption by the SDWG.

5. Appendix 2 to the above said Annex provides the results of the discussions by the ST.10/C Task Force about the questionnaire referred to in paragraph 2(e), above. Paragraph 3 of Appendix 2 reproduces, for consideration and adoption by the SDWG, the proposal on the issues to be addressed in the questionnaire. Paragraph 4 refers to some issues that still require further consideration by both the SDWG and the Task Force.

6. In paragraphs 7 and 8 of the above said Annex, the ST.10/C Task Force presents a proposal on further actions related to the remaining work to be completed with regard to Task No. 30, as well as the corresponding time frames, for consideration and approval by the SDWG.

7. *The SDWG is invited to:*

(a) *note the report of the ST.10/C Task Force and the oral report referred to in paragraph 4, above;*

*(b) consider and adopt the proposal on the revision of WIPO Standard ST.10/C as reproduced in Appendix 1 to the attached Annex;*

*(c) consider and approve the proposal on the issues to be addressed in the questionnaire referred to in paragraph 3 of Appendix 2 to the attached Annex;*

*(d) to consider and provide guidance on the issues listed in paragraph 4 of Appendix 2 to the attached Annex; and*

*(e) to consider and approve the proposal on further actions related to the remaining work to be completed with regard to Task No. 30 and time frames referred to in paragraphs 7 and 8 of the attached Annex.*

[Annex follows]

ANNEX

PROGRESS REPORT OF THE WIPO STANDARD ST.10/C TASK force

*Document prepared by the ST.10/C Task Force Leader  
(August 10, 2009)*

Introduction

1. This ST.10/C Task Force progress report provides a brief summary of work done by the ST.10/C Task Force during its e-forum discussions since the tenth session of the SDWG held in November 2008, as well as at its informal discussions during the tenth session of the SDWG.

2. The following items, (a) and (b), are the documents which contain the substantial results achieved by the ST.10/C Task Force through the discussions, which are reproduced in Appendices 1 and 2 to this document, respectively:

- (a) Final proposal for the revision of WIPO Standard ST.10/C;
- (b) Draft proposal on the issues to be addressed in the questionnaire.

Task Force Activities and Current Results

3. Final proposal for the revision of WIPO Standard ST.10/C:

(a) At the tenth session of the SDWG, the ST.10/C Task Force requested the SDWG to comment and provide guidance on some new topics for discussion relevant to the revision of WIPO Standard ST.10/C, which were raised during its e-forum discussions after the ninth session of the SDWG and needed further consideration by the Task Force (see paragraphs 16 and 16(a) to (c) of document SCIT/SDWG/10/12).

(b) As a follow-up to the agreements, which were reached by the SDWG at its tenth session (see paragraphs 17, 18, 19, and 20 of document SCIT/SDWG/10/12), the ST.10/C Task Force met to discuss the revision of WIPO Standard ST.10/C on November 19, 2008, during the tenth session of the SDWG, and made progress in the revision work up to part of paragraph 10 of the draft version of WIPO Standard ST.10/C.

(c) In the subsequent ST.10/C Task Force e-forum discussions after the tenth session, the Task Force pursued the finalization of the revision of WIPO Standard ST.10/C, and thanks to the effort and contribution of the ST.10/C Task Force members, the final proposal for the revision of WIPO Standard ST.10/C was completed for consideration and approval by the SDWG, which is reproduced in Appendix 1 to this document.

(d) In order to facilitate the clear identification of what has been added to and what has been deleted from the revised version of WIPO Standard ST.10/C, the items newly added to the revised version are highlighted in yellow and the items deleted from the revised version are highlighted with a strike-through line over it.

4. Draft proposal on the issues to be addressed in the questionnaire:

(a) At the tenth session of the SDWG, the ST.10/C Task Force also requested the SDWG to comment and provide guidance on the issue with respect to a survey on practice by IPOs concerning their use of check digits in application numbers (see paragraph 16(d) of document SCIT/SDWG/10/12).

(b) As a follow-up to the agreement which was reached by the SDWG at its tenth session (see paragraphs 21 and 22 of document SCIT/SDWG/10/12), the ST.10/C Task Force launched a discussion on the issues to be addressed in the questionnaire after the completion of the final proposal for the revision of WIPO Standard ST.10/C.

(c) For presentation at the eleventh session of the SDWG, the ST.10/C Task Force has prepared the draft proposal on the items to be addressed in the questionnaire, which is reproduced in Appendix 2 to this document. The “issues to be agreed” under paragraph 3 of the said draft proposal are for consideration and approval by the SDWG.

(d) As for the “issues to be considered” under paragraph 4 of the said draft proposal, those are more relevant to the future preparation of the draft questionnaire than the issues to be addressed in the questionnaire, and further discussion and consideration by the Task Force will be needed after the approval of the “issues to be agreed” by the SDWG.

#### Next Step

5. The ST.10/C Task Force will invite the SDWG to consider and approve the final proposal for the revision of WIPO Standard ST.10/C.

6. The ST.10/C Task Force will also invite the SDWG to consider and approve the “issues to be agreed” under paragraph 3 of the draft proposal on the issues to be addressed in the questionnaire. In addition, the Task Force will invite the SDWG to consider and request the Task Force to continue discussing the “issues to be considered” under paragraph 4 thereof.

#### Further Work

7. The ST.10/C Task Force, during the period from the eleventh to the twelfth sessions of the SDWG, will continue its discussions for the completion of the revision of WIPO Standard ST.10/C if the final proposal for the revision of WIPO Standard ST.10/C is not approved by the SDWG at the eleventh session of the SDWG.

8. The ST.10/C Task Force, during the period from the eleventh to the twelfth sessions of the SDWG, will begin working on the preparation of a draft questionnaire to survey the numbering systems of application numbers used by IPOs if the “items to be agreed” in the draft proposal is approved by the SDWG at the eleventh session of the SDWG.

[Appendix 1 follows]

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APPENDIX 1

**STANDARD ST.10/C**

PRESENTATION OF BIBLIOGRAPHIC DATA COMPONENTS

*Proposal prepared by the ST.10/C Task Force*

*Editorial Note prepared by the International Bureau*

~~The Standard and Documentation Working Group (SDWG) of the Standing Committee on Information Technologies (SCIT) adopted the revisions of paragraphs 2 and 3 of Standard ST.10/C at its fifth session on November 11, 2004. These revisions incorporate changes made necessary by the IPC reform initiative.~~

~~Industrial property offices are asked to implement the new versions of paragraphs 2 and 3 of Standard ST.10/C for all patent documents with a publication date from January 1, 2006, onwards. For patent documents published prior to that date, the previous text of paragraphs 2 and 3 of the Standard should continue to be used.~~

~~The previous versions of paragraphs 2 and 3 of Standard ST.10/C, valid until December 31, 2005, are reproduced in the Annex to the new Standard ST.10/C.~~

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PRESENTATION OF DATES

1. For the representation of calendar dates according to the Gregorian calendar, which are printed or displayed in industrial property documents, in entries in official gazettes or in electronic records, WIPO Standard [ST.2](#) is applicable.

PRESENTATION OF CLASSIFICATION SYMBOLS

2. The recommended abbreviation of the International Patent Classification is "Int.Cl.". The current version indicator of the core level (year) has to be placed in round brackets after the abbreviation "Int.Cl.", if the document is classified, at least partly, using the core level. Most offices will classify a given document only in one level, i.e. only in the advanced level or only in the core level (see examples 3a and 3b).

The recommended presentation of classification symbols in printed or formatted display form is as follows:

- classification symbols are presented in a tabular form, in such a manner as to facilitate machine transcription;
  - when classifying using the core level classification, IPC symbols are printed or displayed in regular font style, and when classifying using the advanced level classification, IPC symbols are printed or displayed in italics;
  - the invention information symbols are printed or displayed in bold font style and the non-invention information symbols in regular;
  - when classifying using the advanced level classification, the version indicator for each IPC symbol, indicating when this symbol was created or substantially revised at the advanced level (year, month), is placed in round brackets after each IPC symbol.
3. Sample representations of IPC classification symbols and indicators are given below for the same document when classified using the advanced level, the core level or both the advanced level and the core level.

(a) When classified in the advanced level:

Int. Cl.  
***B28B 5/00*** (2006.01)  
***B28B 1/29*** (2007.04)  
*H05B 3/18* (2008.07)

Where: ***B28B 5/00*** indicates invention information (bold font style) classified using the advanced level classification (italics font style);  
***B28B 1/29*** indicates invention information (bold font style) classified using the advanced level classification (italics font style);  
*H05B 3/18* indicates non-invention information (regular font style, i.e., non-bold) classified using the advanced level classification (italics font style).

(b) When classified in the core level:

Int. Cl. (2006)  
**B28B 5/00**  
**B28B 1/00**  
H05B 3/10

Where: **B28B 5/00** indicates invention information (bold font style) classified using the core level classification (regular font style, i.e., non-italics);  
**B28B 1/00** indicates invention information (bold font style) classified using the core level classification (regular font style, i.e., non-italics);  
H05B 3/10 indicates non-invention information (regular font style, i.e., non-bold) classified using the core level classification (regular font style, i.e., non-italics).

(c) When invention information is classified in the advanced level and non-invention information in the core level:

Int. Cl. (2006)  
***B28B 5/00*** (2006.01)  
***B28B 1/29*** (2007.04)  
H05B 3/10



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Where: <b>B28B 5/00</b>	indicates invention information (bold font style) classified using the advanced level classification (italics font style);
<b>B28B 1/29</b>	indicates invention information (bold font style) classified using the advanced level classification (italics font style);
H05B 3/10	indicates non-invention information (regular font style, i.e., non-bold) classified using the core level classification (regular font style, i.e., non-italics).

IPC symbols are defined in Part 5 of the WIPO *Handbook on Industrial Property Information and Documentation* and in the latest version of the Guide to the IPC.

~~This presentation is effective beginning with the January 1, 2006, edition of the IPC.<sup>(4)</sup>~~

4. The recommended abbreviation of the International Classification for Industrial Designs is "LOC". According to the recommendation of the Committee of Experts of the Locarno Union, the edition of the Classification should be indicated by an Arabic numeral in parentheses, e.g., LOC (6) Cl. 8-05. Classification symbols should be presented with all elements of a given symbol contained in the same line, preferably in such a manner as to facilitate machine transcription. If the numbers of several classes or subclasses must be indicated for one and the same subject matter, the classes should be separated by semicolons and subclasses by commas (for example, LOC (6) Cl. 8-05, 08; 11-01).

#### PRESENTATION OF APPLICATION NUMBERS

5. ~~Experience has shown the need for application numbers to be presented in a clear, unambiguous manner. The considerations given below apply equally to all presentations of application numbers of patent documents whether to the application number accorded to the application filed in the issuing industrial property office or that filed in the priority country or with an organization.~~ Application numbers are primarily used by industrial property offices (IPOs) in order to identify each application received. They are also utilized by subsequent offices and applicants when priority is claimed. In addition, application numbers have become essential elements for those who utilize patent information in order to accomplish their individual needs and purposes. Therefore, the need and demand for indicating exact application numbers has been increasing as priority certificates are exchanged among IPOs electronically, and access by IPOs or the public to electronic dossiers is available over the Internet. In this regard, WIPO Standards ST.10/C and WIPO Standard ST.13 cover formats and presentations for application numbers; however, the formats and presentations actually employed by IPOs have been historically inconsistent. This inconsistency poses difficulties for other offices and the public as to the correct and complete identification of application numbers. Therefore, it is recommended that IPOs follow the guidance of WIPO Standard ST.13 when revising existing presentations or creating new application numbers.

6. The presentation of ~~the~~ application numbers should preferably be:

~~(a) exactly in the manner used by the country or organization concerned in full, or~~

~~(b) abbreviated to the minimum significant part, enabling the application to be uniquely identified.~~

(a) in the format as recommended in WIPO Standard ST.13 for applications filed in a country or organization which has already introduced WIPO Standard ST.13.

For detailed examples of application number formats, see "Examples of application numbers according to Recommendation" of WIPO Standard ST.13, or

(b) in the exact format as used by the country or organization concerned (see Part 7.2.1 of the WIPO Handbook), for application numbers that do not follow WIPO Standard ST.13.

7. When the application number is abbreviated to the minimum significant part (deletion of letters and numerals given by the country or organization concerned for internal or special purposes such as check digits, classification marks, etc.), a need exists for a more uniform presentation thereof, in particular when information presented on the first page of a patent document is composed for printing (e.g., typeset, photocomposed, retyped, etc.). An application number, as represented by the country or organization concerned, may therefore be represented in a more uniform manner ~~using the following rules:~~ in accordance as much as possible with WIPO Standard ST.13, ~~as much as possible and in particular paragraph 5 thereof.~~

~~(a) if the number contains a full stop, a comma, or perhaps a space, one or more of these characters or spaces may be omitted. One or more of these characters or spaces may be inserted for the sake of legibility;~~

~~(b) if the number contains a slash or a hyphen, these characters must be retained. A hyphen may be replaced by a slash;~~

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<sup>(4)</sup> See "Editorial Note by the International Bureau" on the cover page.

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(c) — the sequence of characters should be left in its original order, e.g., the digits indicating the year of filing of the application must be printed in their original positions;

(d) — no character or set of characters forming the minimum significant part of the application number, other than those characters mentioned in subparagraphs (a) and (b), above, should be altered, e.g.:

(i) — the year of the Emperor's reign appearing in Japanese application numbers should not be altered according to the Gregorian calendar;

(ii) — no infilling zeros should be removed or added, e.g., 74/0069 should not be printed as 74/69 or 74/00069;

(e) — in the case of a utility model application number, a letter or set of characters may be used by the country or organization concerned for uniquely defining the application. The letter or set of characters should be removed and the letter "U" inserted after the application number, separated by two blank spaces. The words "utility model" may be added in the plain language of the publishing country or organization;

(f) — year designations according to the Gregorian calendar should be represented by four digits;

(g) — in the case of PCT application numbers, the alphanumeric string consisting of the letters "PCT", the two-letter code identifying the receiving office, and the year, is a significant part of the application number and must not be omitted.

For guidance, two tables setting out the form of presentation of application numbers currently used by several countries or organizations, the minimum significant part of the numbers and the recommended presentation in abbreviated form as priority application numbers, are given in the document "Presentation of Application Numbers" (Part 7.2) particular paragraph 5 thereof.

#### IDENTIFICATION OF COUNTRIES, ORGANIZATIONS AND OTHER ENTITIES ISSUING OR REGISTERING PATENT DOCUMENTS

8. **A** Two-letter codes according to WIPO Standard ST.3 should be used when indicating:

(a) the country, organization or other entity in which a convention priority application was filed;

(b) the country, organization or other entity that published prior art patent documents; **and**

(c) the country, organization or other entity publishing the patent document. ~~The name of the country, organization or other entity registering the patent document may be given in plain language, in addition to the ST.3 code, if so desired;~~ **and**

(d) the country, organization or other entity in which a previous application was filed for the purpose of obtaining a filing date under the Patent Law Treaty (PLT).

The name of the country, organization or other entity issuing or registering the patent document may be indicated **given in plain language,** in addition to the WIPO Standard ST.3 code, if so desired.

#### USE AND PRESENTATION OF CHECK DIGITS

9. Check digits are used by several ~~industrial property offices~~ **IPOs** in relation to application numbers or publication numbers for the purposes of internal control. ~~Different systems are in use by different industrial property offices IPOs. Most systems give rise to a single control character, either a numeral from "0" to "9" or a letter from "A" to "Z". It is clear that the control character has to be associated with the application number or with the publication number so as to facilitate its control function. However, the control character is not regarded as a significant part of the application number nor as a significant part of the publication number.~~ As different systems are in use by different IPOs it is recommended that IPOs which publish their associated control characters as part of their application or publication numbers also publish information explaining their use of the control characters periodically in their official gazettes at intervals of at least once a year and/or present the information on their official web sites and update them as needed.

10. In order to avoid confusion, it is recommended that the following rules be applied if ~~industrial property offices~~ **IPOs** wish to print a control character associated with an application number or with a publication number on patent documents or in official gazettes:

(a) if using WIPO Standard ST.13, IPOs should refer to said **S** standard for use and presentation of check digits;

(b) if IPOs are not using WIPO Standard ST.13;

(~~a~~) (i) the control character should consist of a single numeral; letters should not be used so as to avoid confusion with WIPO Standard ST.16;

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(b) (ii) the control character should be printed immediately after the application number or publication number to which it refers but separated therefrom by a full stop or by a hyphen and preferably in a type font different from that used in the number to which it refers;

(c) — industrial property offices publishing control characters associated with application numbers or with publication numbers should publish in their official gazette information explaining their use, repeated at intervals of less than one year.

#### PRESENTATION OF PRIORITY APPLICATION NUMBERS

11. Priority application numbers are provided to applicants by industrial property offices (IPOs) in the notifications of the first filing and in the certificates of priority under the Paris Convention. Priority application numbers are then cited by applicants when filing a subsequent application for the same or related subject matter before a subsequent industrial property office in accordance with the Paris Convention. The priority application number can then be cited. Applicants cite priority application numbers when filing subsequent applications for the same or related subject matter. Priority application numbers are used by industrial property offices (IPOs) to link all related patent document "families" together into documents as "patent families" in databases and computerized search systems. This ability to create patent families is tremendously valuable and may be of tremendous value to industrial property offices (IPOs) for examination purposes when, for example, an earlier effective date of filing is needed for a citation during the prosecution search or examination process of a later unrelated application. Patent families also permit patent examiners to review previously published patent documents in an alternate preferred language, if available. In addition, patent families can help IPOs save significant classification resources (financial, staffing, etc.) by allowing industrial property offices to use the classifications of one patent family member for all the other members of the patent family. These and other uses of patent families make the accurate recording of the priority application number by applicants a critical concern of all industrial property offices (IPOs). Even small deviations from the correct priority application number format can cause a patent document to not be collected into a patent family. Correction of errors in priority data cause huge expenses for industrial property offices (IPOs). Therefore, it is critical that the provisions of this section of the Standard be implemented by industrial property offices (IPOs) as soon as possible.

12. (a) — In order to improve the quality of patent family data and to avoid confusion in the presentation of priority application numbers, the following recommendations are made when presenting the priority application number of a patent document in a notification of first filing and in a certificate of priority:

Industrial property offices (IPOs) should always provide priority application number complying with "Recommended Presentation in Abbreviated Form as a Priority Application Number" given in the document "Presentation of Application Numbers" (Part 7.2) when presenting the application number of a patent document in the notification of the first filing and in the certificate of priority. The "Recommended Presentation in Abbreviated Form as a Priority Application Number" should be presented with the Standard ST.3 code (preferably in a specified line or column along with the title "The country code (in case of the international organization, "The organization code") and number of your priority application, to be used for filing abroad under the Paris Convention, is") to be easily recognized as priority number by other IPOs and applicants.

(a) IPOs should always provide priority application numbers complying with:

(i) the presentation of the WIPO Standard ST.13 application number for the IPOs that have already introduced WIPO Standard ST.13; or

(ii) "Recommended Presentation in Abbreviated Form as a Priority Application Number" given in the document "Presentation of Application Numbers" (Part 7.2.1 of WIPO Handbook) for the IPOs that have not yet introduced WIPO Standard ST.13 yet.

(b) The WIPO Standard ST.13 application number or "Recommended Presentation in Abbreviated Form as a Priority Application Number" should be presented with the WIPO Standard ST.3 code (preferably in a specified line or column along with the title "The country code (in case of the international organization, "The organization code") and number of your priority application, to be used for filing abroad under the Paris Convention, is") to be easily recognized as a priority number by other IPOs and applicants. The priority application number should be preceded by the WIPO Standard ST.3 code and preferably be presented on a specified line or column right after the preamble as shown in the following examples so that it may be easily recognized as a priority number by other IPOs, and applicants and other patent information users.

*Examples of preambles recommended to IPOs for when applicant is filing abroad under the Paris Convention:*

(i) In the case of a country:

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is

(ii) In the case of an international organization:

The organization code and number of your priority application, to be used for filing abroad under the Paris Convention, is

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Example of presentation of "~~Recommended Presentation in Abbreviated Form as a Priority Application Number~~" when applicant is filing abroad under the Paris Convention:

- (i) In the case of a ~~the~~ country XX having already introduced WIPO Standard ST.13:  
The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is XX 10 2014 345678
- (ii) In the case of a country not yet having ~~not yet~~ introduced WIPO Standard ST.13, e.g., Japan:  
The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is JP2000-001234
- (iii) ~~in~~ In the case of ~~the~~ an international organization not yet having ~~not yet~~ introduced WIPO Standard ST.13, e.g., the EPO:  
The organization code and number of your priority application, to be used for filing abroad under the Paris Convention, is EP79100953

13. ~~(b) Industrial property offices~~ IPOs should encourage and facilitate the compliance by applicants ~~of~~ with paragraphs ~~12.11~~ (a) and ~~12.11~~ (b) of ~~the~~ WIPO Standard ST.10/C when providing the priority application number in subsequent filings.

~~[Annex follows]~~ [End of ~~this~~ Standard]

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ANNEX

PREVIOUS VERSION OF STANDARD ST.10/C

PRESENTATION OF BIBLIOGRAPHIC DATA COMPONENTS

Revision adopted by the PCIP Executive Coordination Committee  
at its twenty-first session on November 21, 1997

PRESENTATION OF DATES

1. For the representation of calendar dates according to the Gregorian calendar, which are printed or displayed in industrial property documents, in entries in official gazettes or in electronic records, WIPO Standard ST.2 is applicable.

PRESENTATION OF CLASSIFICATION UNITS

2. Classification units should be presented with all elements of a given unit contained in the same line, preferably in such a manner as to facilitate machine transcription.

3. The recommended abbreviation of the International Patent Classification is "Int.Cl.". The relevant edition should be indicated as a superscript, e.g., Int.Cl.<sup>6</sup> in the case of the sixth edition.

4. The recommended abbreviation of the International Classification for Industrial Designs is "LOC". According to the recommendation of the Committee of Experts of the Locarno Union, the edition of the Classification should be indicated by an Arabic numeral in parentheses, e.g., LOC (6) Cl. 8-05. The subclass number must always contain two digits; if or the subclasses, therefore, the numbers 1 to 9 should be preceded by a 0; the class number should be separated from the subclass number by a dash. If the numbers of several classes or subclasses must be indicated for one and the same subject matter, the classes should be separated by semicolons and subclasses by commas (for example, LOC (6) Cl. 8-05; 08; 11-01).

PRESENTATION OF APPLICATION NUMBERS

5. Experience has shown the need for application numbers to be presented in a clear, unambiguous manner, particularly since application numbers as presented on patent documents are frequently the sole method of identifying all members of a patent family. The considerations given below apply equally to all presentations of application numbers of patent documents whether to the application number accorded to the application filed in the issuing industrial property office or that filed in the priority country or with an organization.

6. The presentation of the application number should preferably be:

— (a) — exactly in the manner used by the country or organization concerned in full, or

— (b) — abbreviated to the minimum significant part, enabling the application to be uniquely identified.

7. When the application number is abbreviated to the minimum significant part (deletion of letters and numerals given by the country or organization concerned for internal or special purposes such as check digits, classification marks, etc.), a need exists for a more uniform presentation thereof, in particular when information presented on the first page of patent documents is composed for printing (e.g., typeset, photocomposed, retyped, etc.). An application number, as represented by the country or organization concerned, may therefore be represented in a more uniform manner using the following rules:

— (a) — if the number contains a full stop, a comma, or perhaps a space, one or more of these characters or spaces may be omitted. One or more of these characters or spaces may be inserted for the sake of legibility;

— (b) — if the number contains a slash or a hyphen, these characters must be retained. A hyphen may be replaced by a slash;

— (c) — the sequence of characters should be left in its original order, e.g., the digits indicating the year of filing of the application must be printed in their original positions;

— (d) — no character or set of characters forming the minimum significant part of the application number, other than those characters mentioned in subparagraphs (a) and (b), above, should be altered, e.g.:

— (i) — the year of the Emperor's reign appearing in Japanese application numbers should not be altered according to the Gregorian calendar;

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~~—————(ii)———— no infilling zeros should be removed or added, e.g., 74/0069 should not be printed as 74/69 or 74/00069;~~

~~—————(e)———— in the case of a utility model application number, a letter or set of characters may be used by the country or organization concerned for uniquely defining the application. The letter or set of characters should be removed and the letter "U" inserted after the application number, separated by two blank spaces. The words "utility model" may be added in the plain language of the publishing country or organization;~~

~~—————(f)———— year designations according to the Gregorian calendar should be represented by four digits;~~

~~—————(g)———— in the case of PCT application numbers, the alphanumeric string consisting of the letters "PCT," the two-letter code identifying the receiving office, and the year, is a significant part of the application number and must not be omitted.~~

~~For guidance, two tables setting out the form of presentation of application numbers currently used by several countries or organizations, the minimum significant part of the numbers and the recommended presentation in abbreviated form as priority application numbers, are given in the document "Presentation of Application Numbers" Part 7.2).~~

#### ~~IDENTIFICATION OF COUNTRIES, ORGANIZATIONS AND OTHER ENTITIES ISSUING OR REGISTERING PATENT DOCUMENTS~~

~~8.———— Two letter codes according to WIPO Standard ST.3 should be used when indicating:-~~

~~—————(a)———— the country, organization or other entity in which a convention priority application was filed;~~

~~—————(b)———— the country, organization or other entity that published prior art patent documents; and~~

~~—————(c)———— the country, organization or other entity publishing the patent document. The name of the country, organization or other entity publishing the patent document may be given in plain language, in addition to the ST.3 code, if so desired.~~

#### ~~USE AND PRESENTATION OF CHECK DIGITS~~

~~9.———— Check digits are used by several industrial property offices in relation to application numbers or publication numbers for the purposes of internal control. Different systems are in use by different industrial property offices. Most systems give rise to a single control character, either a numeral from "0" to "9" or a letter from "A" to "Z". It is clear that the control character has to be associated with the application number or with the publication number so as to facilitate its control function. However, the control character is not regarded as a significant part of the application number nor as a significant part of the publication number.~~

~~10.———— In order to avoid confusion, it is recommended that the following rules be applied if industrial property offices wish to print a control character associated with an application number or with a publication number on patent documents or in official gazettes:~~

~~—————(a)———— the control character should consist of a single numeral; letters should not be used so as to avoid confusion with WIPO Standard ST.16;~~

~~—————(b)———— the control character should be printed immediately after the application number or publication number to which it refers but separated therefrom by a full stop or by a hyphen and preferably in a type font different from that used in the number to which it refers;~~

~~—————(c)———— industrial property offices publishing control characters associated with application numbers or with publication numbers should publish in their official gazette information explaining their use, repeated at intervals of less than one year.~~

#### ~~FURTHER OBSERVATIONS~~

~~11.———— It is desirable that this Standard be implemented by industrial property offices at the latest as of January 1, 2000.~~

[End of Annex and of Standard]

[Appendix 2 follows]

APPENDIX 2

DRAFT PROPOSAL ON  
THE ISSUES TO BE ADDRESSED IN THE QUESTIONNAIRE

Introduction

1. Paragraph 5 of the revised version of WIPO Standard ST.13, which was approved by the SDWG at its ninth session held in February 2008, provides new recommendations regarding application numbers, including the codes to be used for the identification of the type of industrial property right (IPR), and the new basic rules for optional codes for internal use and control numbers (check digits). (WIPO Standard ST.13 is available at: <http://www.wipo.int/export/sites/www/standards/en/pdf/03-13-01.pdf>.)

2. At its tenth session held in November 2008, the SDWG reached the following agreement on a question raised by the ST.10/C Task Force as to how and when to proceed with regard to a survey on practices by IPOs concerning their use of the check digit in application numbers:

“The SDWG agreed that the survey on practices by IPOs on the use of the check digit in application numbers should not be carried out at this time. Instead, after finalizing the revision of WIPO Standard ST.10/C, the ST.10/C Task Force should prepare a questionnaire to survey IPOs regarding application numbers used. The issues to be addressed in the questionnaire should be decided by the SDWG at its next session.”  
(See paragraph 22 of document SCIT/SDWG/10/12.)

Proposal on the issues to be addressed in the questionnaire

3. As a follow-up to the above-mentioned agreement by the SDWG, the ST.10/C Task Force has prepared the draft proposal on “the issues to be addressed in the questionnaire” for consideration and approval by the SDWG, which is reproduced below in this document. The proposal consists of four sections with sub-item(s) assigned to each section, and the four sections presented below will serve as the “Sections” in the actual questionnaire.

*Issues to be agreed*

Section 1 – Implementation of the new WIPO Standard ST.13:

- current status of IPOs with respect to their compliance with the new WIPO Standard ST.13.

Section 2 – Numbering Format for Application Numbers:

- differences in numbering formats of application number systems used for each type of IP rights, including the elements that compose the application number (e.g., application numbering systems for patents and for trademarks may be different in a

particular IPO that does not yet follow the new ST.13 or that just follows this Standard partially);

- difference between the “presentation” and “machine readable” forms of application numbers (please refer to examples provided after paragraph 8 of WIPO Standard ST.13 for more details on the difference between “presentation” and “machine readable” forms).

#### Section 3 – Using of different elements of Application Numbers:

- use of codes by IPOs to identify the type of industrial property right (IPR) in application numbers (please refer to paragraph 5(b) of WIPO Standard ST.13 for the details on the codes for the type of IPR);
- use of internal use codes by IPOs within application numbers (please refer to paragraph 5(e) of WIPO Standard ST.13 for the details on the internal use code);
- use of control number (check digit) by IPOs in application numbers (please refer to paragraph 5(f) of WIPO Standard ST.13 for the details on the control number (check digit)).

#### Section 4 – Example of Application Numbers:

(this section will be presented by means of a table, such as, but not limited to the tables in Part 7.2.1 of WIPO Handbook)

- specific examples of application numbers used by IPOs, including explanations and remarks as necessary;
- detailed information on each element of application numbers (i.e., code for the type of IPR, internal use code, control number (check digit), year designation and serial number).

#### Further consideration

4. The following issues need further discussion and consideration by the ST.10/C Task Force, after the approval of “the issues to be addressed in the questionnaire” by the SDWG, in terms of the future preparation of the draft questionnaire, and in particular of the table to provide the detailed information on application numbers used by IPOs.

#### *Issues to be considered*

(a) Possible complexity of the questionnaire

(i) the questionnaire should cover all the types of IP rights referred in WIPO Standard ST.13, i.e., patent, trademark, industrial design, etc. However, there are concerns that some IPOs might have different practices for application numbers for different IP rights. This could cause more complexity not only in preparing the questionnaire but also in completing the questionnaire by IPOs;



(ii) it should also be considered whether the survey should cover either both current and old numbering systems, or just current numbering systems.

(b) Structure of the questionnaire

The structure of the questionnaire should be envisaged in view of determining whether we should conduct one single survey with a complex structure or two or more surveys with a less complex structure that can avoid generating the complexity mentioned above.

(c) Layout of the table to provide example of application numbers in the survey.

[End of Annex and of document]