

# WIPO



SCIT/SDWG/11/7

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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

QUESTIONNAIRE TO SURVEY INDUSTRIAL PROPERTY OFFICES ON THE  
IMPLEMENTATION AND PROMOTION OF WIPO STANDARD ST.22 (TASK No. 37)

*Document prepared by the Secretariat*

1. The Standards and Documentation Working Group (SDWG) of the Standing Committee on Information Technologies (SCIT), at its tenth session, held in November 2008, considered a first draft questionnaire to survey industrial property offices (IPOs) on the use and implementation of the revised WIPO Standard ST.22. The questionnaire had been prepared by the ST.22 Task Force within the framework of the revision of WIPO Standard ST.22 that was presented for adoption by the SDWG at that same session. After having adopted the proposed revision of WIPO Standard ST.22, the SDWG requested the Task Force to prepare, for its consideration at the next session, a new version of the questionnaire that should also contain questions on optical character recognition (OCR) practices of IPOs, including software and hardware used and workflow. The SDWG also agreed that the survey would be conducted not earlier than June 2010. (See paragraphs 27 to 30 of document SCIT/SDWG/10/12.)

2. In accordance with the above-mentioned request by the SDWG, the ST.22 Task Force has prepared a revised version of the questionnaire regarding WIPO Standard ST.22 to be considered for approval by the SDWG at its eleventh session. The questionnaire is reproduced in the Annex to this document.

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3. It should be noted that, at its seventh session, held in June 2006, the SDWG agreed that the revised Standard should be brought to the attention of applicants, offices, commercial information providers and patent attorneys. (See document SCIT/SDWG/7/9, paragraph 39.)

4. *The SDWG is invited to:*

*(a) consider and approve the questionnaire on the implementation and promotion of WIPO Standard ST.22 as reproduced in the Annex to this document; and*

*(b) consider, if deemed appropriate, whether the SDWG should request the International Bureau to issue a circular to inform IPOs and SDWG Members of the revision of WIPO Standard ST.22, and to invite IPOs to publish a notice in their patent gazettes and on their websites in order to bring the revised Standard to the attention of applicants, commercial information providers and patent attorneys of their respective geographical areas, as referred to in paragraph 3, above.*

[Annex follows]

ANNEX

The draft of the questionnaire that is reproduced below is proposed for consideration and approval by the Standards and Documentation Working Group (SDWG), not for completion.

## Survey on the Implementation and Promotion of WIPO Standard ST.22

*Proposal prepared by the ST.22 Task Force*

- Note: - The present questionnaire addresses issues concerning WIPO Standard ST.22 (Recommendation for the authoring of patent applications for the purpose of facilitating optical character recognition (OCR)) and patent applications submitted on paper or submitted electronically (e-filed) but having the text body of the application submitted in image form (e.g., PDF or TIFF images). Even if your Office does not perform OCR on its documents, please respond to the questions which are applicable.
- A revised version of WIPO Standard ST.22 was adopted by the Standards and Documentation Working Group (SDWG) on November 21, 2008. It is available at: <http://www.wipo.int/standards/en/pdf/03-22-01.pdf>
  - The results of the survey will be presented for consideration by the SDWG.

Please provide the following contact information so that the International Bureau can, if necessary, contact the person responsible for responding to the Questionnaire:

<u>Details about the person completing the survey:</u>	
Industrial Property Office (IPO):	(ST.3 two-letter country/organization code)
Name:	.....
Your function within the IPO:	.....
Email address:	.....
Date of completion of survey:	.....
Other comments if applicable: e.g., alternate e-mail address	.....

## QUESTIONNAIRE

### *Section 1: Patent filing in your Office*

1. Does your Office accept patent applications submitted on paper or submitted electronically but having the text body of the application submitted in image form (e.g., PDF or TIFF images)?

YES

NO

Please comment if necessary: \_\_\_\_\_  
\_\_\_\_\_

2. If applicable, please indicate the percentage, with respect to the total number of applications received by your Office, and the year of reference (e.g., 60% in 2008), of the following:

- applications filed on paper:

\_\_\_\_\_  
\_\_\_\_\_

- applications filed electronically but having the text body of the application submitted in image form:

\_\_\_\_\_  
\_\_\_\_\_

3. Does your Office perform optical character recognition (OCR) on patent applications?

YES

Not now, but we intend to do so in (specify when): \_\_\_\_\_

NO

Please comment if necessary: \_\_\_\_\_  
\_\_\_\_\_

**Section 2: Promotion and use of WIPO Standard ST.22**

4. Has your Office adapted the filing guidance that it provides to applicants to take into account the recommendations of the revised version of WIPO Standard ST.22?

- YES  
 Partially  
 Not now, but we intend to do so in (specify when): \_\_\_\_\_  
 NO

Please comment if necessary: \_\_\_\_\_  
\_\_\_\_\_

5. Has your Office promoted the use by applicants of the recommendations provided by WIPO Standard ST.22?

- YES  
 Partially  
 Not now, but we intend to do so in (specify when): \_\_\_\_\_  
 NO

Please comment if necessary: \_\_\_\_\_  
\_\_\_\_\_

6. If applicable, what publication means has your Office used to promote the use of WIPO Standard ST.22 (e.g., article in the official gazette, amendment of Office's filing recommendations, publication on the Office's website, newsletters)?

Please specify the details (e.g., entry or section of the official gazette, URL of the location where the announcement is available):

\_\_\_\_\_  
\_\_\_\_\_

7. Has your Office promoted WIPO Standard ST.22 in any other way (e.g., conferences, information circulars)?

- YES  
 NO

If "YES", please describe how:

\_\_\_\_\_  
\_\_\_\_\_

**Section 3: Implementation of WIPO Standard ST.22**

If your Office has not yet promoted the use of the recommendations provided by WIPO Standard ST.22, please move on to Section 4.

This Section 3 refers to the applications that are filed on paper or electronically (e-filed) but having the text body of the application submitted in image form (e.g., PDF or TIFF images).

8. Has your Office noticed any improvement in the quality of the formal presentation and layout of the applications that follow the recommendations of WIPO Standard ST.22?

- No improvement
- Little improvement
- Noticeable improvement
- Much improvement

Please comment if necessary: \_\_\_\_\_  
\_\_\_\_\_

9. Has your Office noticed any improvement in the OCR quality output that resulted from the applicants' awareness of WIPO Standard ST.22?

- YES
- NO

If applicable, please indicate an estimation of the improvement:

- No improvement
- Little improvement
- Noticeable improvement
- Much improvement

If applicable, could you please quantify the improvement?

\_\_\_\_\_  
\_\_\_\_\_

Please comment if necessary: \_\_\_\_\_  
\_\_\_\_\_

10. Has your Office noticed any decrease in the OCR costs that have resulted from the applicants' awareness of WIPO Standard ST.22?

- YES
- NO

If applicable, please indicate an estimation of the improvement:

- No decrease
- Little decrease
- Noticeable decrease
- Much decrease

If applicable, could you please quantify the improvement?

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Please comment if necessary: \_\_\_\_\_  
\_\_\_\_\_

11. Does your Office use the non-conformity to WIPO Standard ST.22 as a reason to request replacement sheets of the application?

- YES
- Not now, but we intend to do so in (specify when): \_\_\_\_\_
- NO

Please comment if necessary: \_\_\_\_\_  
\_\_\_\_\_

12. If applicable, please indicate the percentage of applications for which replacement sheets are requested with respect to the total number of applications (filed on paper or e-filed) having the text body of the application submitted in image form, and the period of time of reference (e.g., 15% in the first half of 2009):

Please comment if necessary: \_\_\_\_\_  
\_\_\_\_\_

13. Does your Office have the intention to take into account, for the calculation of fees, the level of compliance with WIPO Standard ST.22 of the applications filed on paper or e-filed but having the text body of the application submitted in image form?

- YES
- Not now, but we intend to do so in (specify when): \_\_\_\_\_
- NO

If applicable, please explain how:

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**Section 4: OCR practices of IPOs**

14. If your answer to Question 3 was “Yes”, please indicate if the following purposes are applicable and, if “Yes”, the accuracy requirements established by your Office:

a) Security screening of patent applications  
 YES Accuracy requirements: \_\_\_\_\_  
 NO \_\_\_\_\_

b) Publication of the patent application  
 YES Accuracy requirements: \_\_\_\_\_  
 NO \_\_\_\_\_

c) Publication of the granted patents  
 YES Accuracy requirements: \_\_\_\_\_  
 NO \_\_\_\_\_

d) Please indicate other purpose(s) and corresponding accuracy requirements if necessary:  
\_\_\_\_\_  
\_\_\_\_\_

15. Does your Office have in-house quality checking measures in place to control the quality of the OCR'd patent documents?

- YES  
 NO

If applicable, please provide a concise description of the measures (e.g., refer to the relative automation of the quality checking indicating if it comprises the review by staff of randomly selected output, and/or if it is based on the accuracy confidence metrics produced by the OCR software):

\_\_\_\_\_  
\_\_\_\_\_

16. Does your Office OCR patent documents in foreign languages?

- YES  
 NO

If applicable, please indicate which foreign language(s):

\_\_\_\_\_  
\_\_\_\_\_



17. Does your Office outsource the OCR of patent documents?

- YES  
 NO

If “YES”, at what moment(s) of the procedure does your Office forward the patent documents to the external contractor?

Please comment if necessary: \_\_\_\_\_  
\_\_\_\_\_

18. If you answered “Yes” to the previous Question:

(a) If applicable, please indicate any comments or feedback that your Office might have received from the contractor about the recommendations of WIPO Standard ST.22:

\_\_\_\_\_  
\_\_\_\_\_

(b) Please also describe the quality checking measures used to control the quality of the OCRed patent documents that are performed by your contractor:

\_\_\_\_\_  
\_\_\_\_\_

(c) If your answer to Questions 4, 8 or 13 was “Yes”, please indicate whether your Office has renegotiated, or intends to renegotiate, the service contract with its contractor as a consequence of the adoption of the revised version of WIPO Standard ST.22 by the Standards and Documentation Working Group (SDWG) on November 21, 2008:

- YES  
 NO

Please comment if necessary: \_\_\_\_\_  
\_\_\_\_\_

***Section 5: Software and hardware used to OCR***

19. What software tools does your Office, or its contractor, use to perform the OCR of patent documents?

20. Has your Office, or its contractor, developed OCR software extensions specific to patent documents?

YES

NO

If applicable, please provide a concise description of the specific features:

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Please comment if necessary: \_\_\_\_\_  
\_\_\_\_\_

21. What hardware does your Office, or its contractor, use to perform the OCR of patent documents?

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Please comment if necessary: \_\_\_\_\_  
\_\_\_\_\_

**Section 6: Workflow**

22. Please describe the workflow for the OCR of your patent documents:

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23. Does your Office itself check the quality of its OCR'd patent documents?

YES

NO

If "Yes", please provide a concise description of how the quality check is carried out:

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Please comment if necessary: \_\_\_\_\_  
\_\_\_\_\_

24. Please describe how your Office handles patent documents found to be defective later in the process (e.g., after publication?):

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25. Please provide a concise response to the following issues concerning the storage of OCR'd patent documents:

(a) Format(s) in which your Office stores the OCR'd patent documents:

\_\_\_\_\_

\_\_\_\_\_

(b) Does the storage format(s) used by your Office allow for later quality improvements either by your Office or by external contractors?

YES

NO

Please comment if necessary: \_\_\_\_\_

\_\_\_\_\_

(c) Does the storage format used by your Office allow for quick identification of patent documents with OCR defects?

YES

NO

Please comment if necessary: \_\_\_\_\_

\_\_\_\_\_

(d) Does the storage format used by your Office allow for different renditions to view or exchange the OCR'd patent documents (e.g., PDF, HTML)?

YES

NO

Please comment if necessary: \_\_\_\_\_

\_\_\_\_\_

(e) Does the storage format used by your Office retain all the raw detailed information obtained from the OCR process (e.g., individual character accuracy estimation, position in image, etc.)?

YES

NO

Please comment if necessary: \_\_\_\_\_

\_\_\_\_\_

(f) Does the storage format used by your Office capture, in text format, table contents, and mathematical and chemical formulae?

\_\_\_\_\_

\_\_\_\_\_

26. Is the OCR of patent documents also used to increase the efficiency of the work of the Office, (e.g., bibliographic data input from paper applications can be considerably speeded up with accurate OCR)?

YES

NO

If “Yes”, please provide a concise description of specific features indicating how the efficiency is increased:

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27. Does your Office OCR documents other than patent documents?

YES

NO

If “Yes”, please indicate which documents:

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28. If it is known by your Office, please provide a description of the usages by your customers of the documents OCR'd by your Office (e.g., internal office patent application searches by examiners, Internet patent application searches by the public, electronic products sold to private subscribers, etc.):

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29. Does your Office use OCR'd patent documents provided by other offices?

YES

NO

If “Yes”, please indicate from which office(s) and for which documents, formats and purposes:

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*Section 7: Additional comments*

30. Please provide further comments regarding the implementation and promotion of WIPO Standard ST.22, as well as OCR practices of your Office, if you feel it is necessary:

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[End of Annex and of document]