

# **WIPO CASE**

Dr. Juneho Jang Senior Regional Manger

## **Outline**

- Background
- WIPO CASE Service
- Functions of WIPO CASE
- Future Development

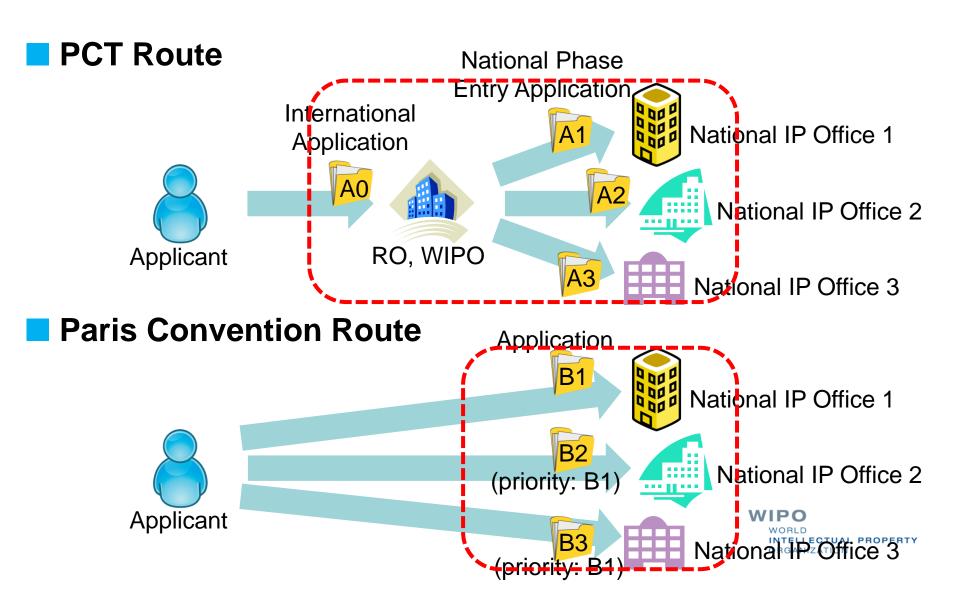


## **Outline**

- Background
- **WIPO CASE Service**
- Functions of WIPO CASE
- **Future Development**

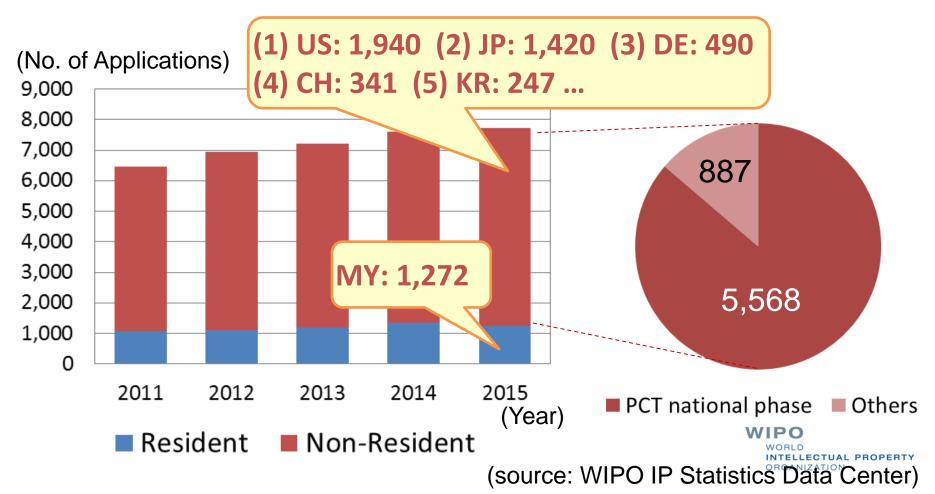


# Patent Family

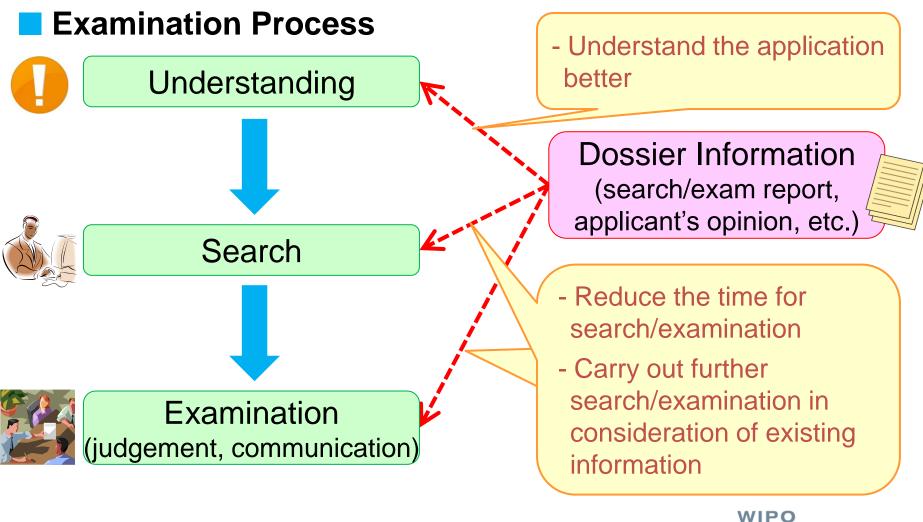


# Patent Family

#### Patent Applications in Malaysia



## **Utilization of Dossier Information**



## What is "WIPO CASE"?

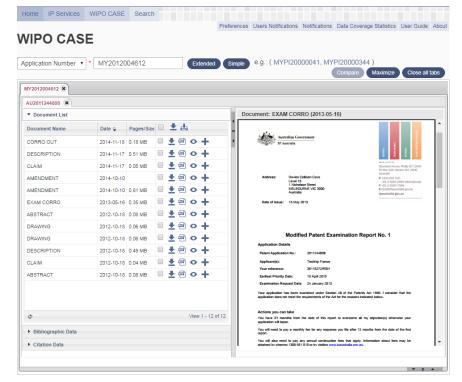
#### WIPO CASE (Centralized Access to Search and Examination)

A worldwide online platform to share information on patent search and examination results among participating national IP offices.

#### Patent Family Search



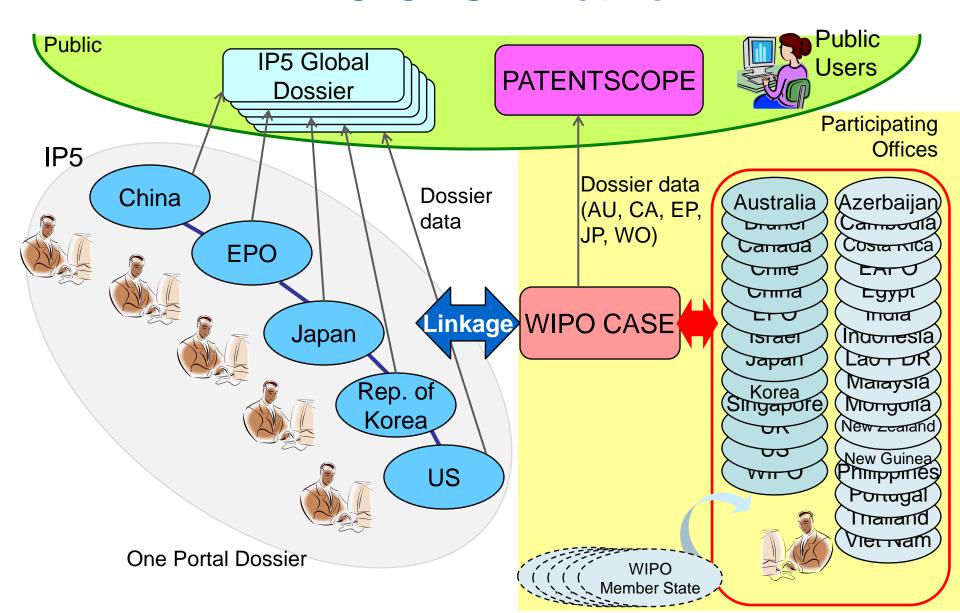
#### **Dossier Information Access**



## What is "WIPO CASE"?



## WIPO CASE Network



## WIPO CASE Evolution

- March 2011 Became operational for Vancouver Group Offices (AU, CA and GB)
- July 2012 Access to AU application data and documents through web services
- March 2013 New Framework Provisions open up the system for membership for all IP offices of WIPO member states.
- September 2013 Access to PCT application data and documents
- April 2014 Linkage between One Portal Dossier and WIPO CASE.
  Japan and 5 other offices participate in the pilot project.
- March 2015 New web portal and forum functionality
- June 2015 New Terms and Conditions simplify the governance structure and allow for public access.
- August 2016 All IP5 offices linked through CASE OPD linkage
- January 2017 Dossier content can be accessed via PATENTSCOPE



# WIPO CASE Membership

#### Providing Office

Share its dossier information with other participating offices

#### Accessing Office

Permitted to access WIPO CASE to retrieve dossier information from Providing Offices



WORLD
INTELLECTUAL PROPERTY
ORGANIZATION

# WIPO CASE Membership - Providing Offices

Offices	Providing Office	Accessing Office	Notes
AU (Australia)	Yes	Yes	Provided to the public
BN (Brunei Darussalam)	Yes	Yes	Not yet operational
CA (Canada)	Yes	Yes	Provided to the public
CL (Chile)	Yes	Yes	Not yet operational
CN (China)	Yes	Yes	
EP (EPO)	Yes	Yes	Provided to the public
GB (United Kingdom)	Yes	Yes	
IL (Israel)	Yes Yes		
JP (Japan)	Yes	Yes	Provided to the public
KR (Republic of Korea)	Yes	Yes	
SG (Singapore)	Yes	Yes	Not yet operational
US (United States of America)	Yes	Yes	
WO (WIPO IB (PCT))	Yes	No	Provided to the public

(as of Oct, 2017)

# WIPO CASE Membership - Accessing-only Offices

Offices	Providing Office	Accessing Office
AZ (Azerbaijan)	No	Yes
CR (Costa Rica)	No	Yes
EA (EAPO)	No	Yes
EG (Egypt)	No	Yes
GE (Georgia)	No	Yes
ID (Indonesia)	No	Yes
IN (India)	No	Yes
KH (Cambodia)	No	Yes
LA (Lao PDR)	No	Yes
MN (Mongolia)	No	Yes

Offices	Providing Office	Accessing Office
MY (Malaysia)	No	Yes
NZ (New Zealand)	No	Yes
PG (Papua New Guinea)	No	Yes
PH (Philippines)	No	Yes
PT (Portugal)	No	Yes
TH (Thailand)	No	Yes
VN (Viet Nam)	No	Yes

(as of June, 2017)

WIPO
WORLD
INTELLECTUAL PROPERTY
ORGANIZATION

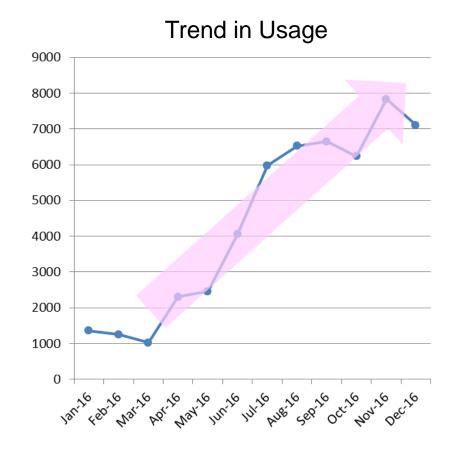
# Usage of WIPO CASE

Period: January, 2016 – December, 2016

Total: 107,735 (based on Counts of Accessed Documents)

Statistics:

Accesing	Usage			
Accessing Office	Count	Percentage		
Office		of Total		
CN	18,035	34.2%		
JP	12,047	22.8%		
KR	8,211	15.6%		
EP	7,097	13.5%		
GB	2,032	3.9%		
AU	1,688	3.2%		
CA	1,487	2.8%		
PH	1,079	2.0%		
ID	520	1.0%		
NZ	156	0.3%		
TH	154	0.3%		
IL	129	0.2%		



## **Outline**

- Background
- WIPO CASE Service
- Functions of WIPO CASE
- **Future Development**



In order to retrieve dossier information of patent family

applications ...

Find patent family applications (Patent family search)

Access dossier information of them

Dossier Information of A1-A5

**Patent Family** Applications of **A1** 

**WIPO CASE Service** 

NTELLECTUAL PROPERTY ORGANIZATION

- Patent family search
- Find patent family applications
- Dossier information access
- > See prosecution history e.g. filing, office action, amendment, decision, etc.
- Read dossier contents
  - File wrapper documents (original/translated)
    e.g. Original/amended claims, Office actions, Arguments, etc.
  - Bibliographic information
     e.g. Application/publication number, Application/publication date, etc.
  - Citation information e.g. Publication number of cited patent document, etc.
- Compare file wrapper documents
  - e.g. 1st claims vs. 2nd claims, Claims vs. Office action, Claims in office A vs. Claims in office B, Office action in office A vs. Office action in office B etc.
- Read patent documents (original/translated)
  - e.g. Patent family application document, Cited patent document, etc.
- Access dossier information in a timely manner

  e.g. Access dossier information when an office action is sent to the applicant, etc.

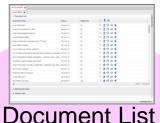
Various features can be used on the **WIPO CASE Portal**.

- Patent family search -> Simple Search / Extended Search -> Time Line View / Tabular View
- Dossier information access
  - Prosecution history -> Document List
  - Dossier contents
    - File wrapper documents (original/translated)
      - -> Document Viewer/Downloader
    - Bibliographic information -> Bibliographic Data
    - Citation information -> Citation Data / Family Citation
  - Comparison of file wrapper documents
    - -> Document Comparison View (Documents are shown side by side)
  - Access to patent documents (original/translated)
    - -> Link to PATENTSCOPE
    - -> Search for patent family of cited patent
  - Timeliness -> Notification









(Prosecution history)



Patent document & translation

Improve

**Efficiency** and **Quality** 

of Examination





Citation Information



Bibliographic Information



Document comparison

WIPO
WORLD
INTELLECTUAL PROPERTY
ORGANIZATION

## WIPO CASE Service – Patent Family

#### Patent Family Data

- National applications and PCT applications
  - Application (number and date)
  - Publication (number, dates and kind code)
  - Priority application (number and date)
  - National phase entry application (number and date)
- Coverage
   52 offices (including many of Providing Offices and Accessing Offices, etc.)
- Data coverage information updated daily



## WIPO CASE Service – Patent Family

More than 30 million applications from 52 offices

Offices					
AU	CA	CN	EP	GB	
IL	JP	KR	US	WO	
AE	AR	ВН	BN	BR	
CL	CO	CR	CU	DD	
DE	DO	EA	EC	EE	
EG	ES	FR	GT	HN	
ID	IN	JO	KE	KH	
MA	MN	MX	MY	NI	
PA	PE	PH	PT	RU	
SG	SU	SV	TH	TN	
VN	ZA			ODCANIZATION	

(as of Oct., 2017)

## WIPO CASE Service - Document Data

Office	AU*	CA	CN*	EP*	GB*	IL	JP*	KR*	US*	IB
Applications published since	Jan 1, 2006	Jan 1, 2008			Jan 1, 2008					Jan 1, 1978
Published applications that are filed on and after	I		Feb 10, 2010	Jan 1, 1990		Jan 1, 2010	Dec 1, 1990	Jan 1, 1999	Jan 1, 2003	
Specifications and Incoming Documents (e.g. claims, amendment)	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Outgoing Documents  (e.g. examination document)	Yes	Yes	Yes**	Yes	Yes	Yes**	Yes**	Yes**	Yes	Yes**

\*: Citation provided, \*\*: Including translation

ORGANIZATION

# Example of Useful Document (1)

- ➤ When referring to dossier information, examiners often check original/amended claims, citations, search/examination reports and applicants' opinions.
- Such information is mainly contained in the following documents.

Office	AU	CA	CN	EP
Original claims Amended claims Applicant's opinion	Claims exrs	Claims Amendment	Invention Publication Claims Argument	Claims  Amended claims  Amendments received before examination  Reply to communication from the Examining Division
Citations Search report Examination report	Examination report	R30(2)Examiner requisition	First Office Action  Nth Office Action  Notification to Grant Patent Right for Invention	European search report European search opinion Communication from the Examining Division (with annex) Text intended for grant Decision to refuse the application (with annex)

# Example of Useful Document (2)

Office	GB	IL	JP	KR
Original claims Amended claims Applicant's opinion	A spec Claims Specifications	Claims	Claims Written Amendment Written Argument	Patent Application  Paper according to the Article 203 of Patent Act  Document under Articles 201 and 203 of Patent Act  Amendment  Written Opinion
Citations Search report Examination report	Exam report search stage  Exam opinion search stage  Further search report  Search Statement  Examination report	Article 15(5) search report Examination report	Notification of Reasons for Refusal Decision to Grant a Patent Decision of Refusal	Notification of Reason for Refusal (Request for the Submission of an Opinion) Final Office Action Written Decision on Registration



# Example of Useful Document (3)

Office	US	IB
Original claims Amended claims Applicant's opinion	Claims Applicant Arguments/Remarks Made in an Amendment Response to Election / Restriction Filed	Application Body (Translation of IA Body)
Citations Search report Examination report	Non-Final Rejection  Notice of Allowance and Fees Due (PTOL-85)  Final Rejection  Requirement for Restriction/Election	International Search Report Written Opinion of the International Search Authority International Preliminary Report on Patentability Chapter I International Preliminary Report on Patentability Chapter II (IPEA/409) <sup>1</sup>

1. IPRP II includes amended claims, too.

➤ Please note that these documents are just examples. Sometimes other documents also contain this information.

WORLD
INTELLECTUAL PROPERTY
ORGANIZATION

## Possible Scene for Use of WIPO CASE

Example of examination procedure

#### **Understanding**

- Subject matter
- Background
  - ✓ Collect patent family information and check its relevance

#### Search

- Prior Art
- ✓ Check claim
  differences,
  citations of patent
  family members
- ✓ Check patent families of citations or their own prior arts

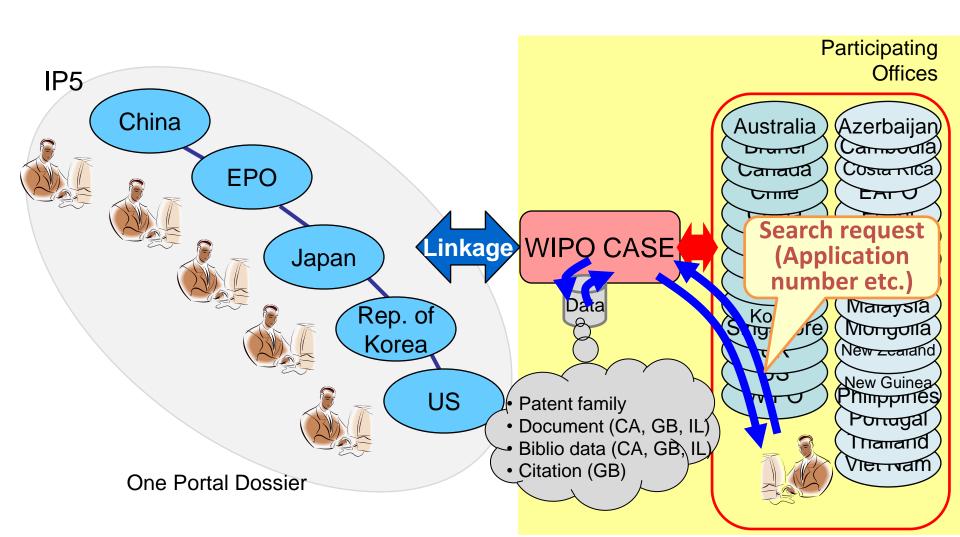
#### **Examination**

- Drafting
- Communication with applicant
- ✓ Check examination document, amended claims, applicant's opinions or history of patent family members

ORGANIZATION

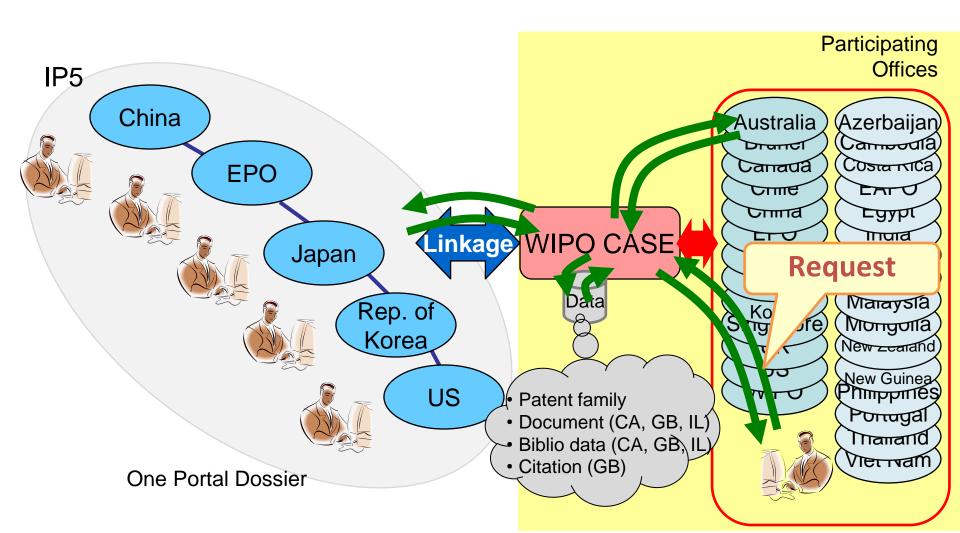
## WIPO CASE Service – How It Works

Patent family search



## WIPO CASE Service – How It Works

Dossier information Access



# Advantage

- One portal to access dossier information from many providing offices
  - Currently 10 offices (IP5 + AU, CA, GB, IL, WO)
  - Providing offices are continuously increasing
- Broad data coverage of patent family information
  - Currently across 52 offices
  - Data coverage is continuously expanding
- Powerful user interface
  - Many features which support examination



## **Outline**

- Background
- **WIPO CASE Service**
- Functions of WIPO CASE
- **Future Development**



## **Functions of WIPO CASE**

#### WIPO CASE Web Portal

- Time Line View (Patent Family Search)
- Document List
- Viewing/Downloading Documents
- Bibliographic/Citation Data
- Translation
- Comparison of Documents
- Tabular View
- Family Citations
- Notification Service
- Configurable User Preference
- User Guide



## Note

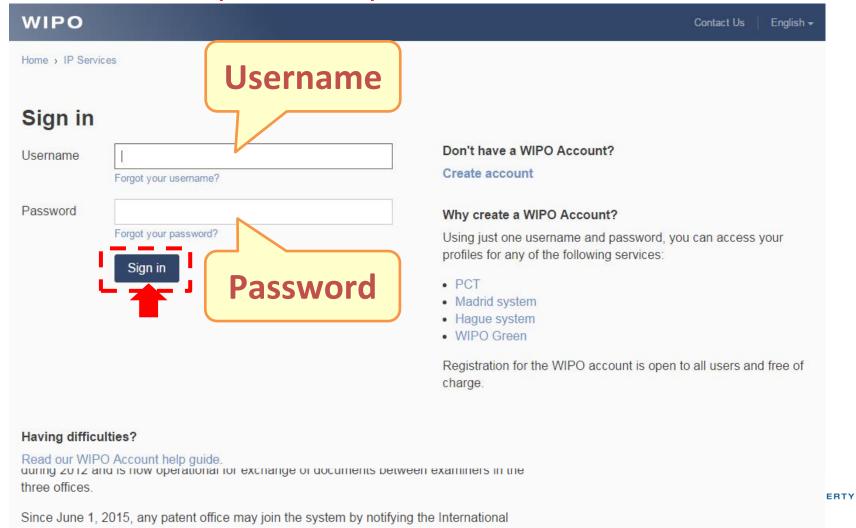
When you use WIPO CASE, please note the followings:

- ➤ You can use WIPO CASE on your web browser. If some features don't work well, please change your browser.
- ➤ You might get disconnected in about 30 minutes depending on the load condition. If disconnected, you need to sign in again.

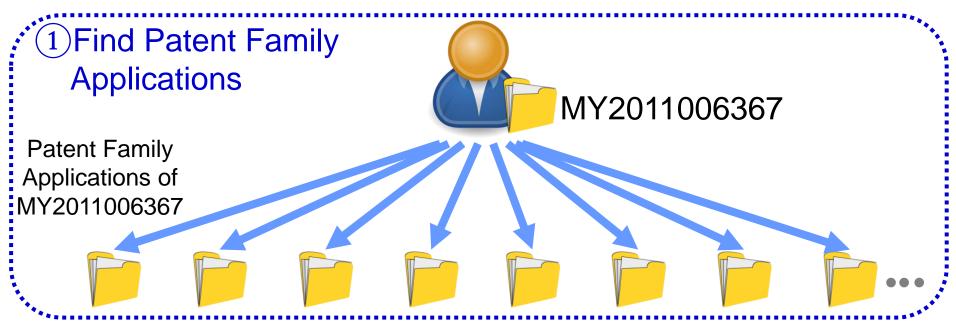


# Sign in

http://www.wipo.int/case/en/

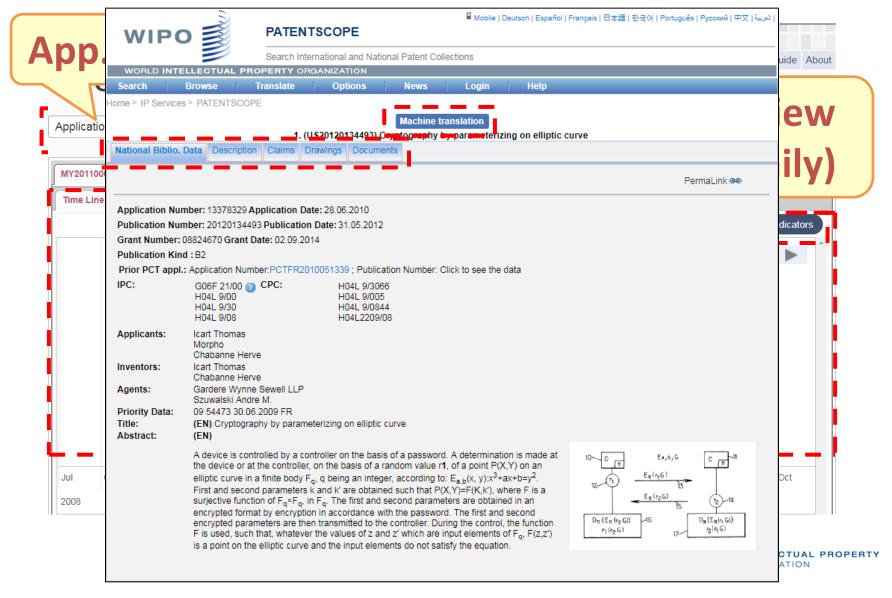


# Patent Family Search





# Time Line View (Patent Family Search)



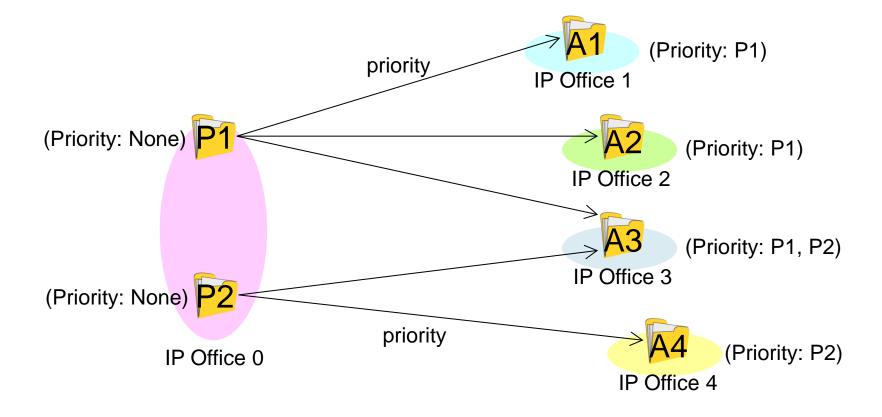
# Patent Family Search

#### Patent Family Search

- Simple search
  - One level backward and then one level forward
- Extended search
  - All sets of applications related by priority or national phase entry



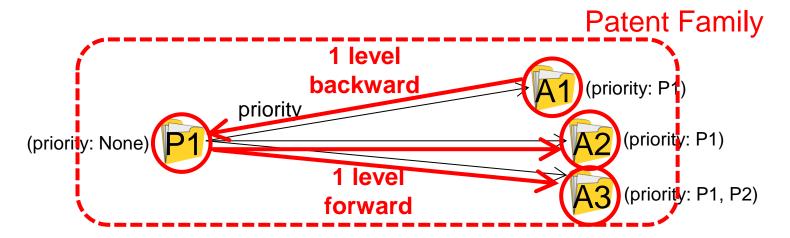
Example of Patent Family Search



→ Search for the patent family applications WIPO Search for the patent family application SINTELLECTUAL PROPERTY

## Example of Patent Family Search

- Simple search
  - One level backward and then one level forward



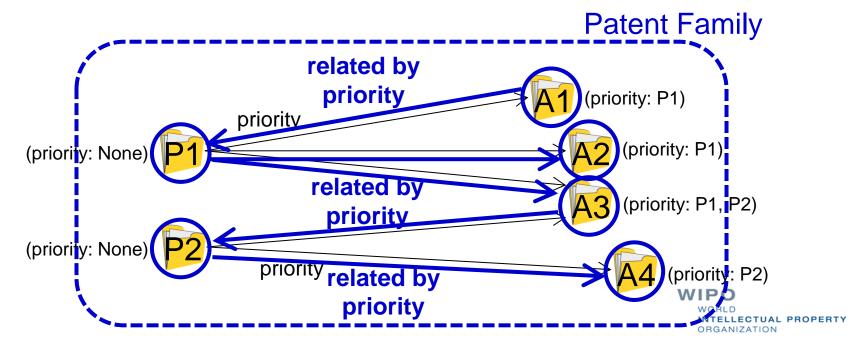


## Example of Patent Family Search

#### Patent family of A1

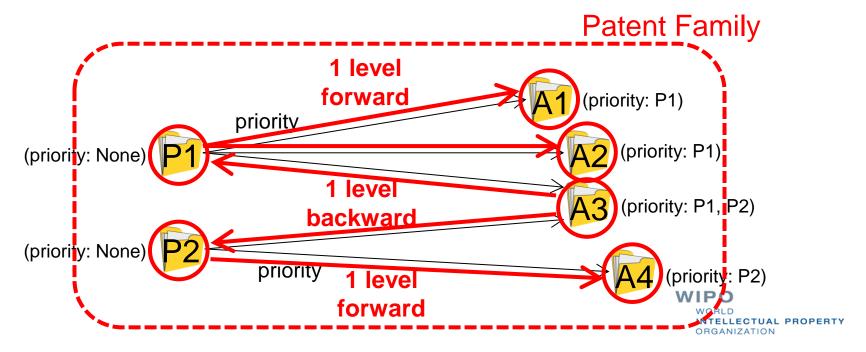
- Extended search
  - All sets of applications related by priority or national phase entry

→ A1, P1, A2, A3, P2, A4



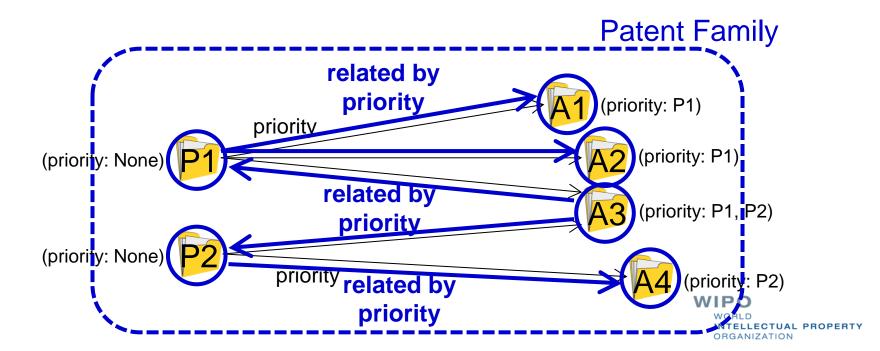
## Example of Patent Family Search

- Simple search
  - One level backward and then one level forward



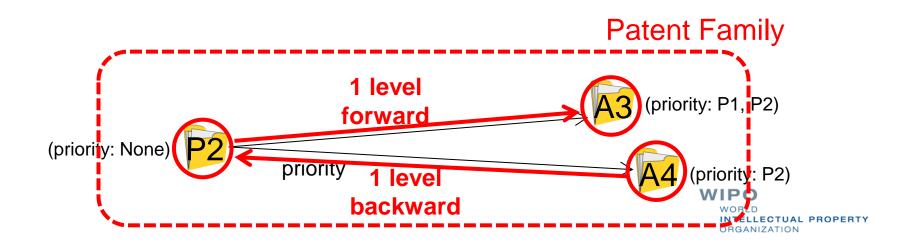
## Example of Patent Family Search

- Extended search
  - All sets of applications related by priority or national phase entry
     → A3, P1, P2, A1, A2, A4



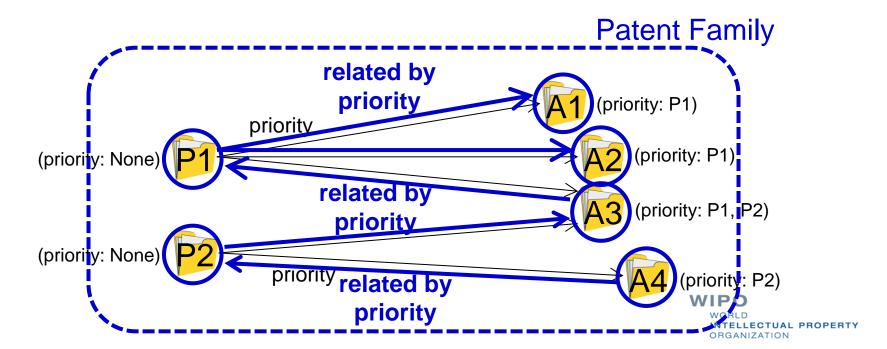
Example of Patent Family Search

- Simple search
  - One level backward and then one level forward

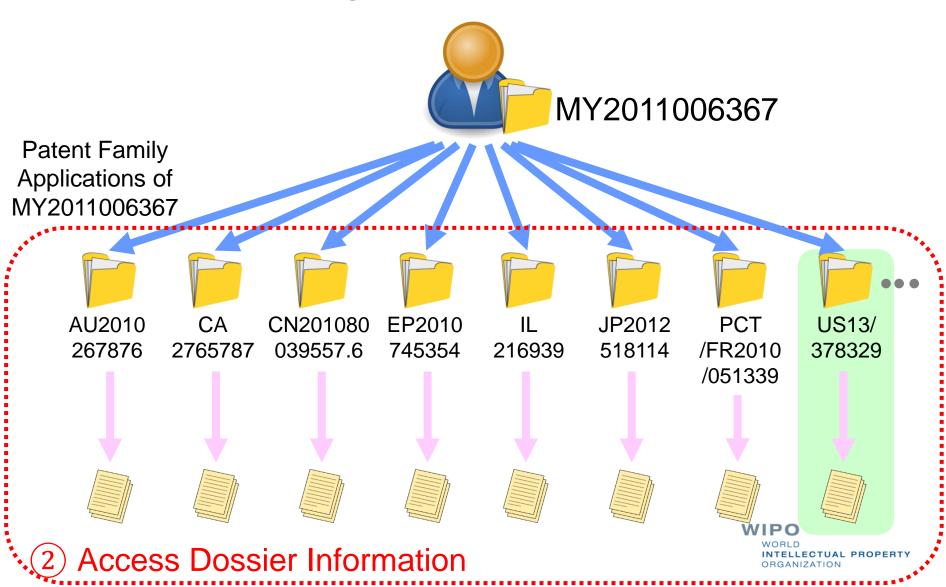


## Example of Patent Family Search

- Extended search
  - All sets of applications related by priority or national phase entry
     → A4, P2, A3, P1, A1, A2



## Retrieving Dossier Information



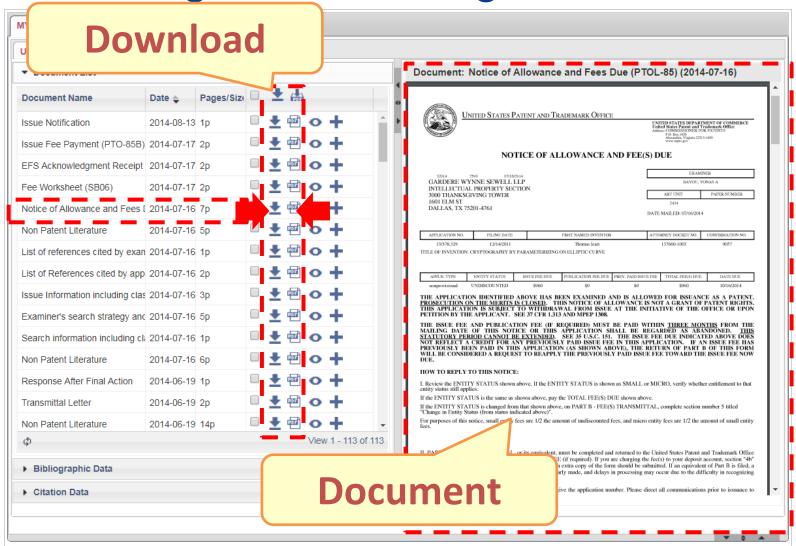
## Document List (1)



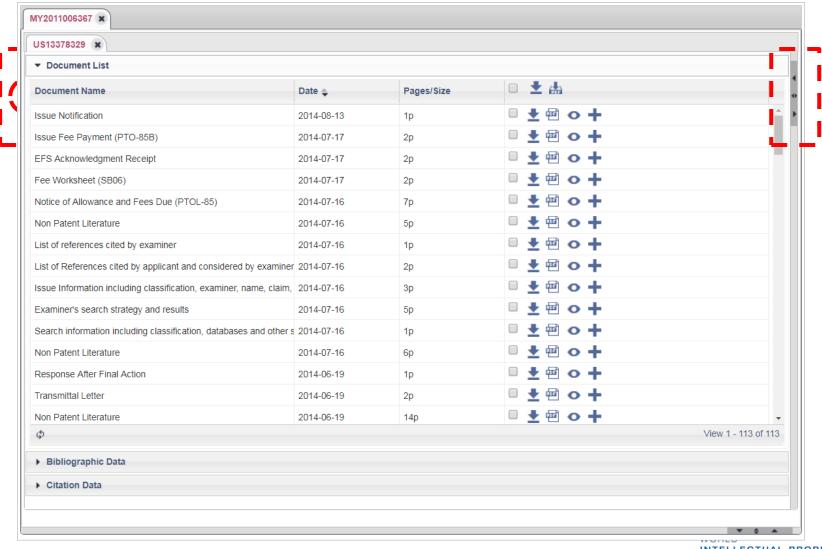
## Document List (2)



## Viewing/Downloading Documents

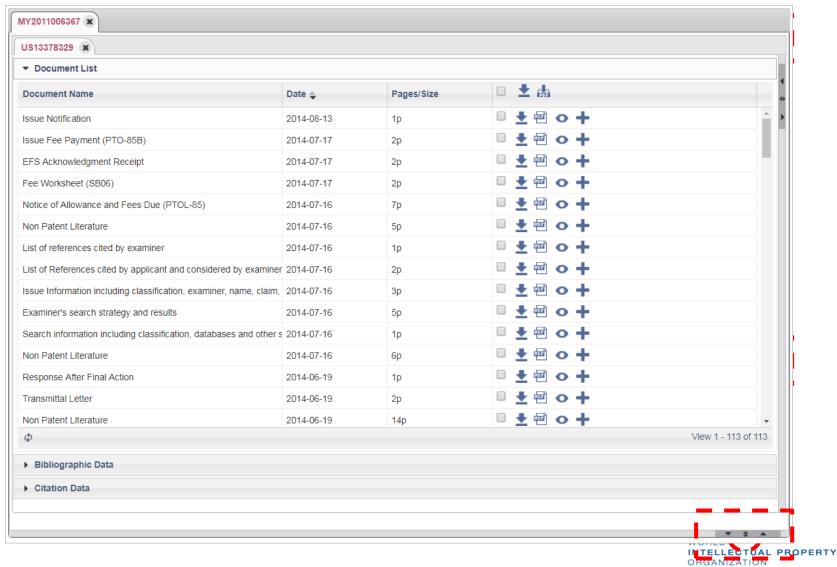


# Display Mode (1)

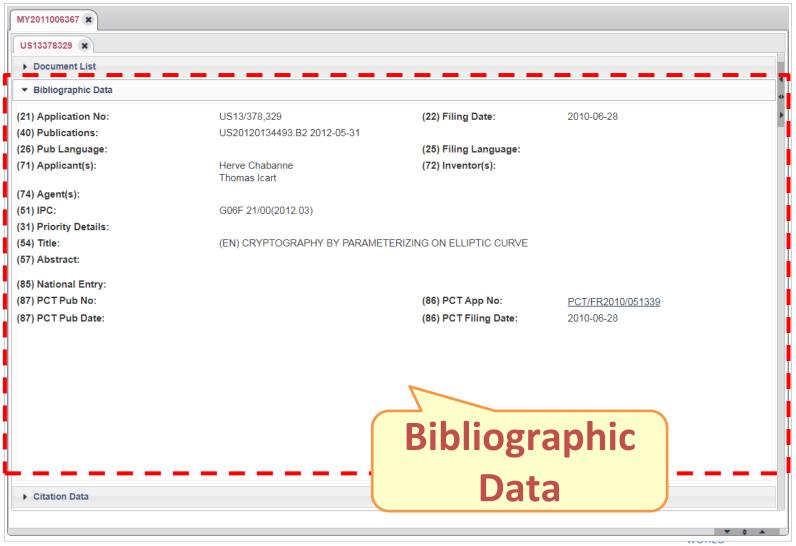


INTELLECTUAL PROPERTY ORGANIZATION

# Display Mode (2)

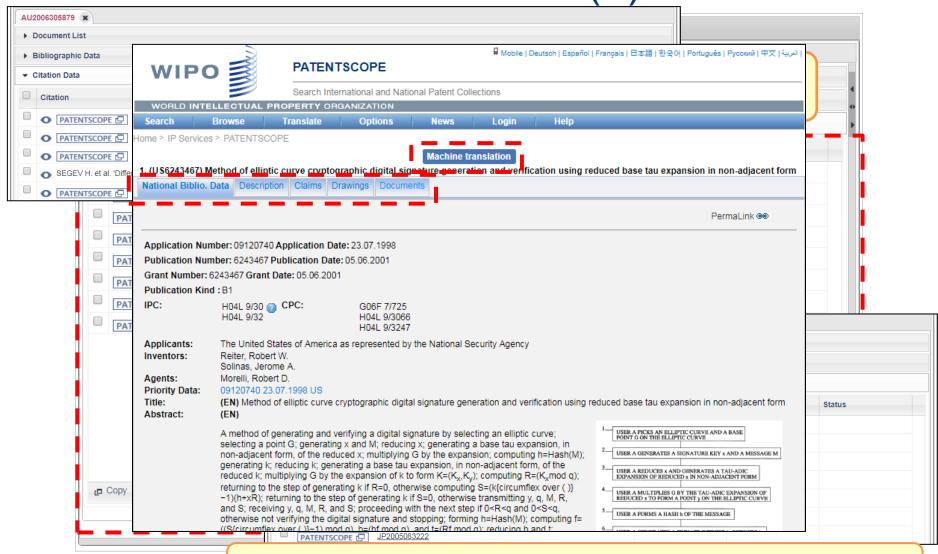


# Bibliographic Data

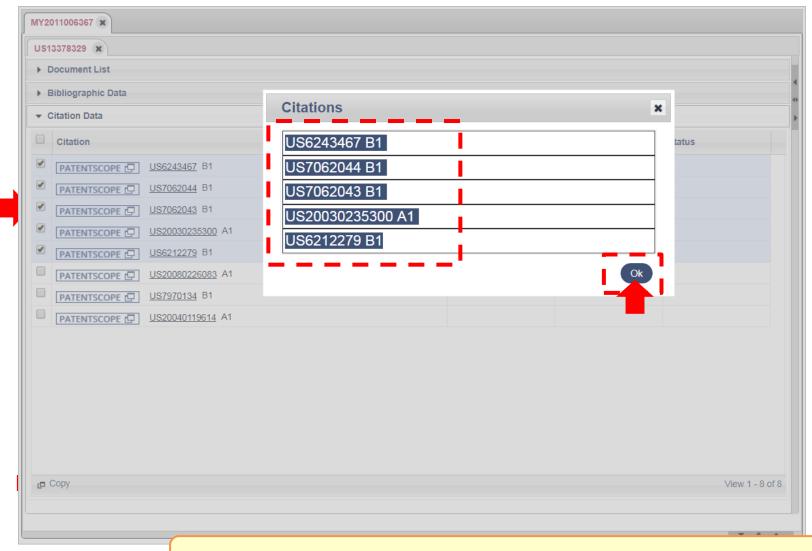


INTELLECTUAL PROPERTY ORGANIZATION

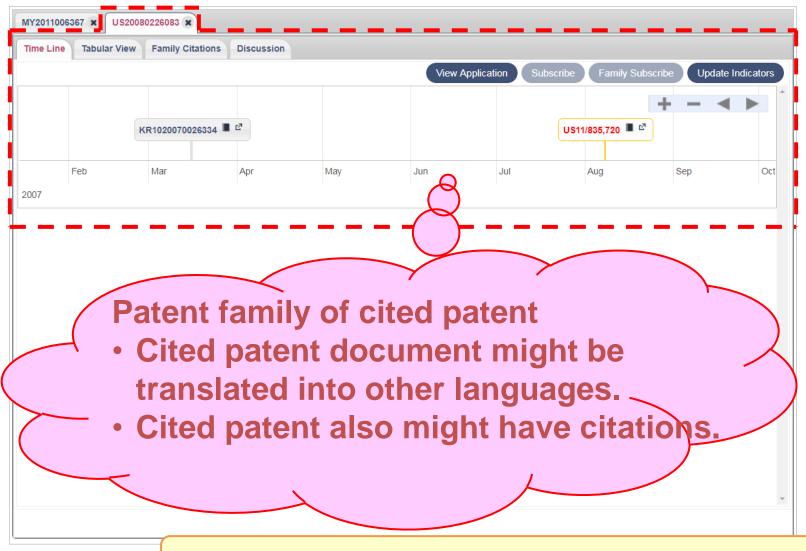
Citation Data (1)



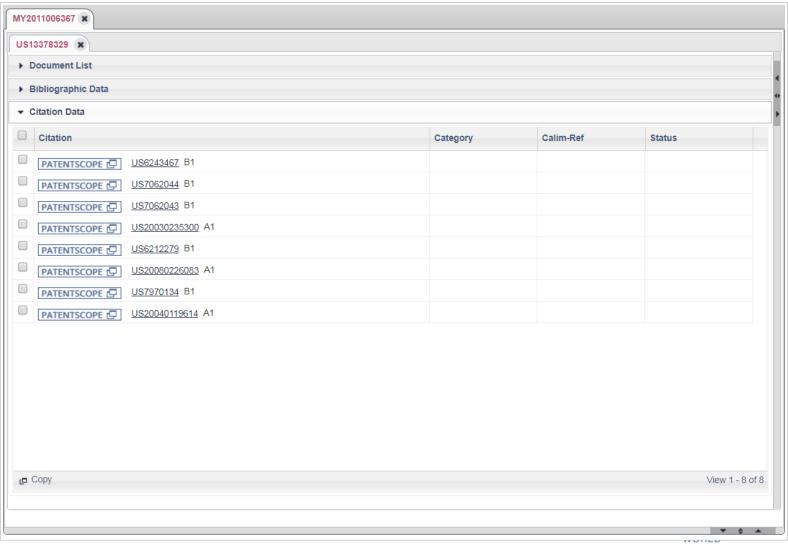
## Citation Data (2)



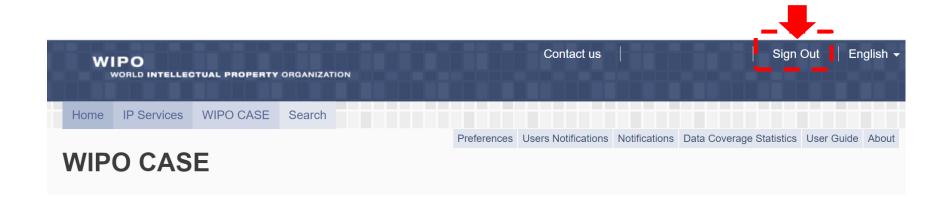
## Citation Data (3)



## Close Tab



# Sign out





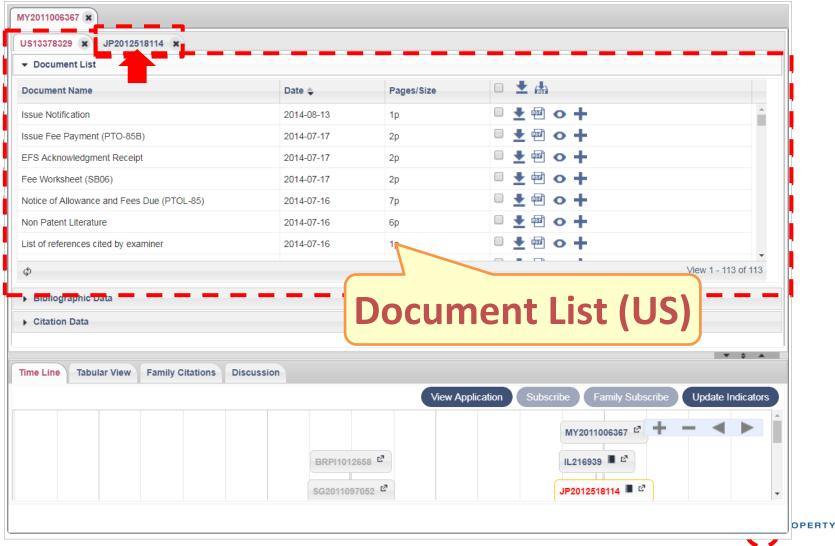
## **Exercise 1**

Repeat page 33 (Sign in) – 54 (Close Tab) by yourselves.

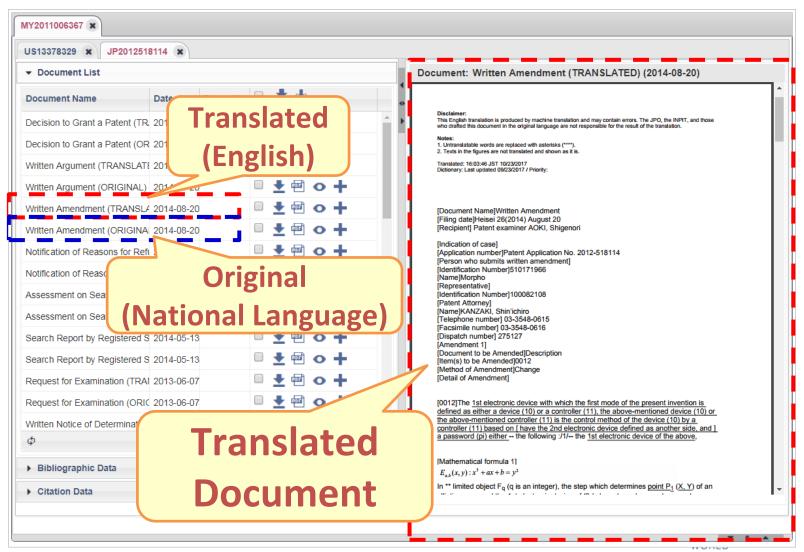
Note: Please DON'T sign out.



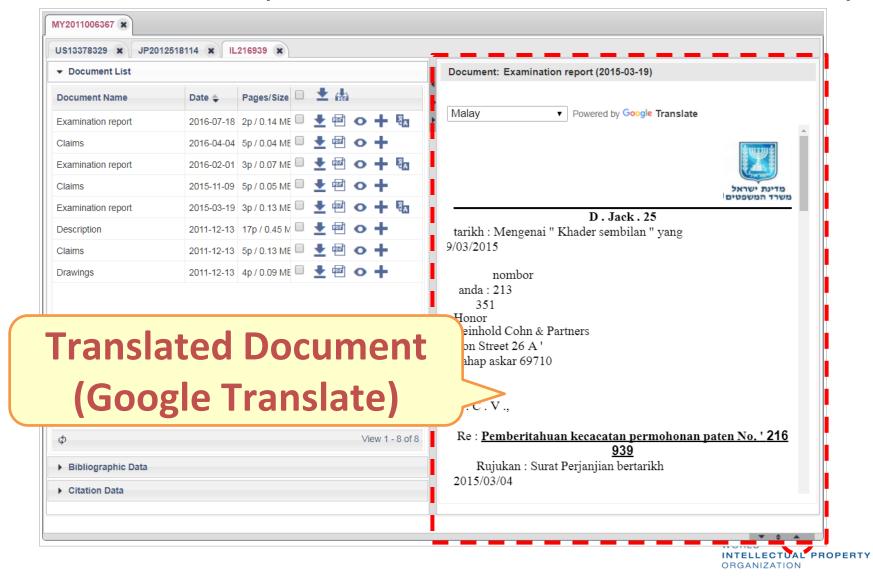
# Viewing Document List of Another Patent Family Applications



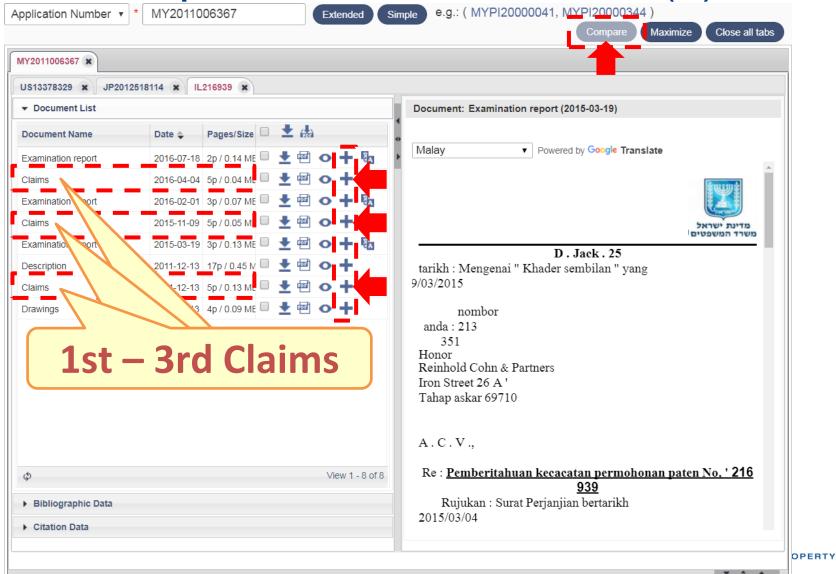
## **Translation**



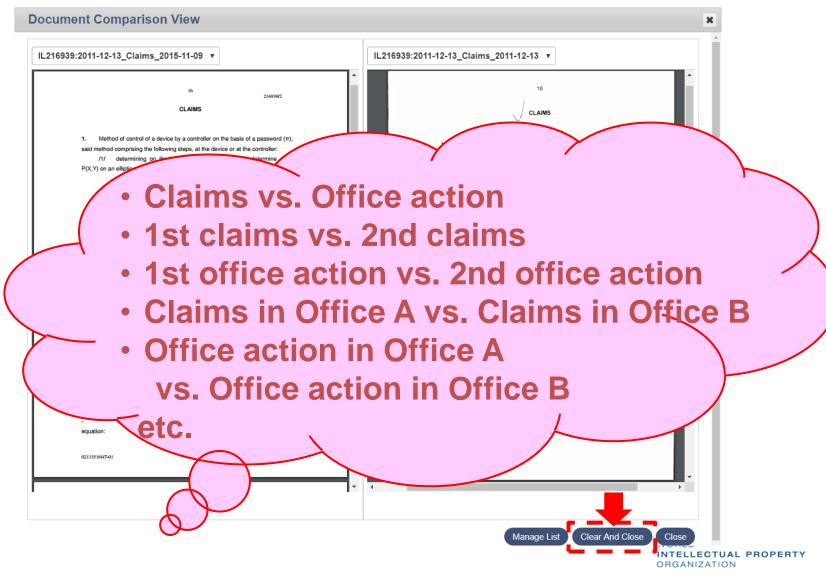
## Translation (IL Examination Documents)



Comparison of Documents (1)



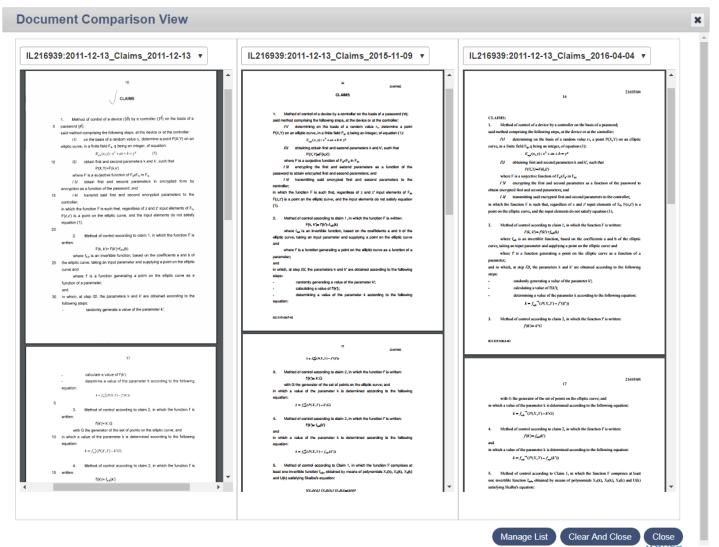
## Comparison of Documents (2)



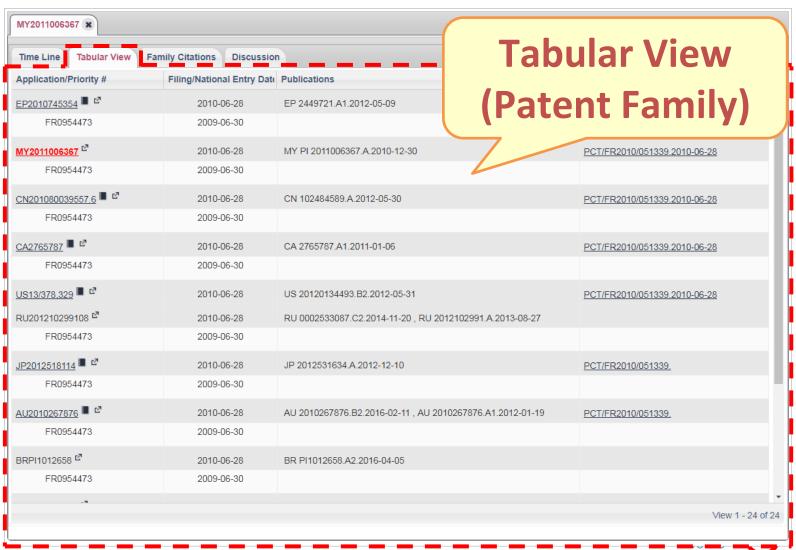
INTELLECTUAL PROPERTY

ORGANIZATION

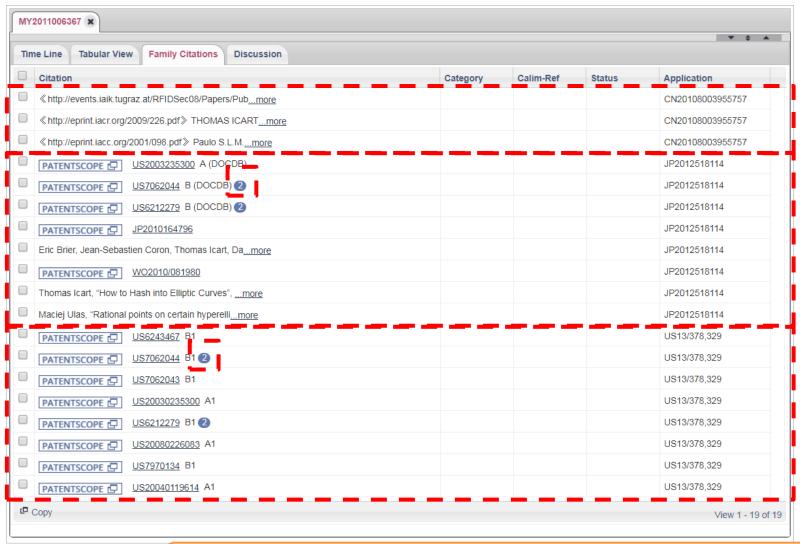
# Comparison of Documents (3)



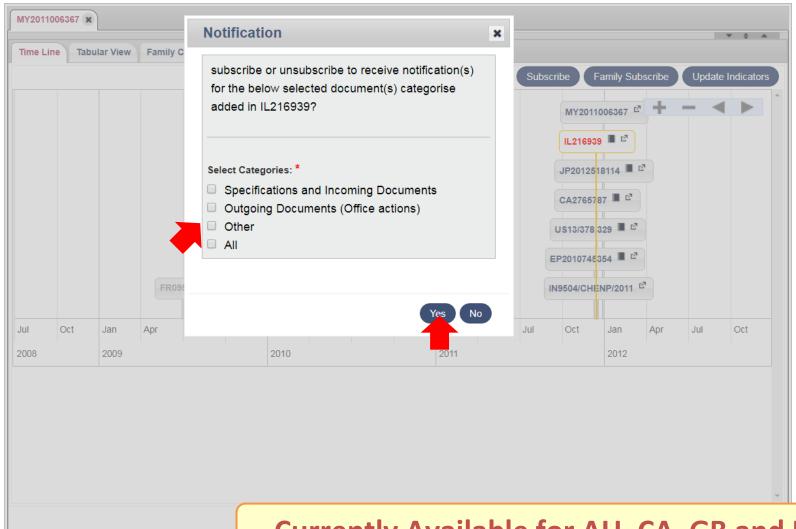
## **Tabular View**



# Family Citations



## **Notification**

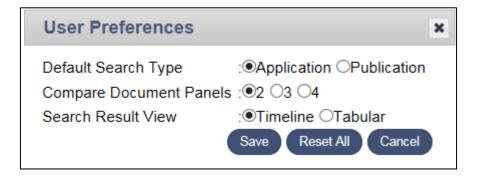


Currently Available for AU, CA, GB and IL

ORGANIZATION

## **User Preferences**

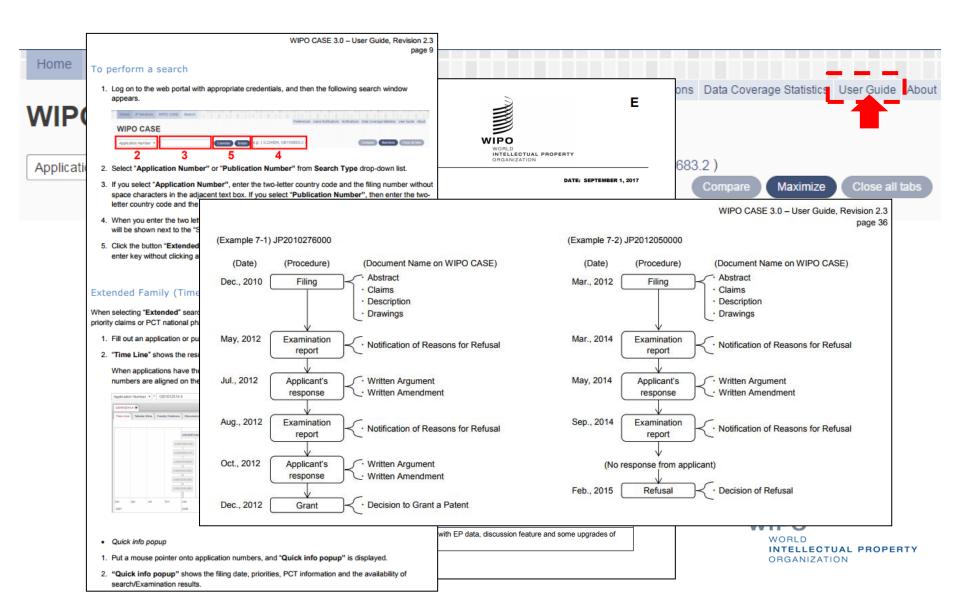




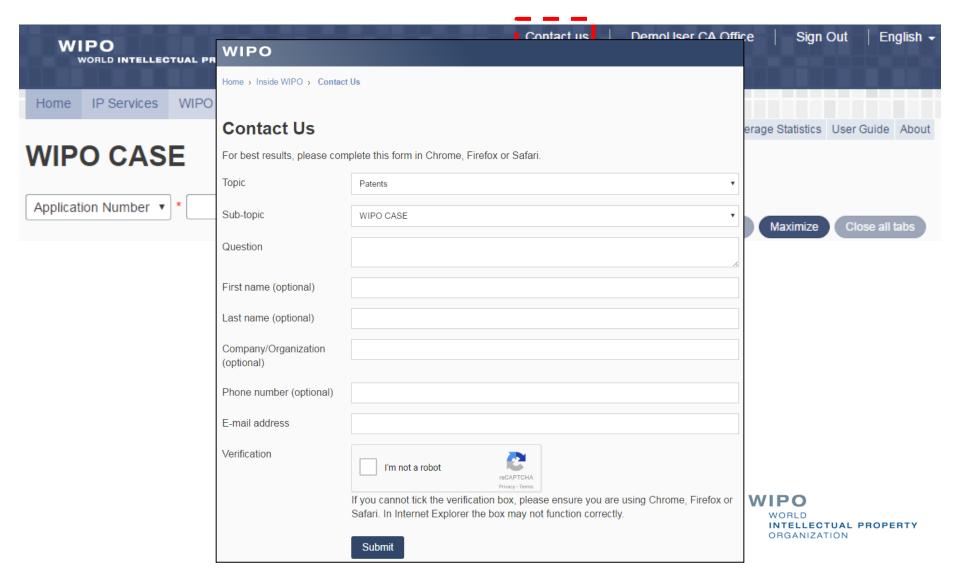
Users can set up their preferences



## **User Guide**



## **Contact Form**



# Tips

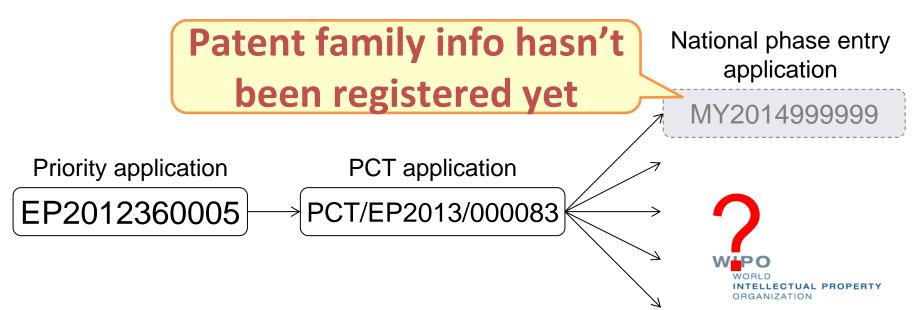
> If patent family information hasn't been registered yet, ...

Application number: MY2014999999

PCT application number: PCT/EP2013/000083

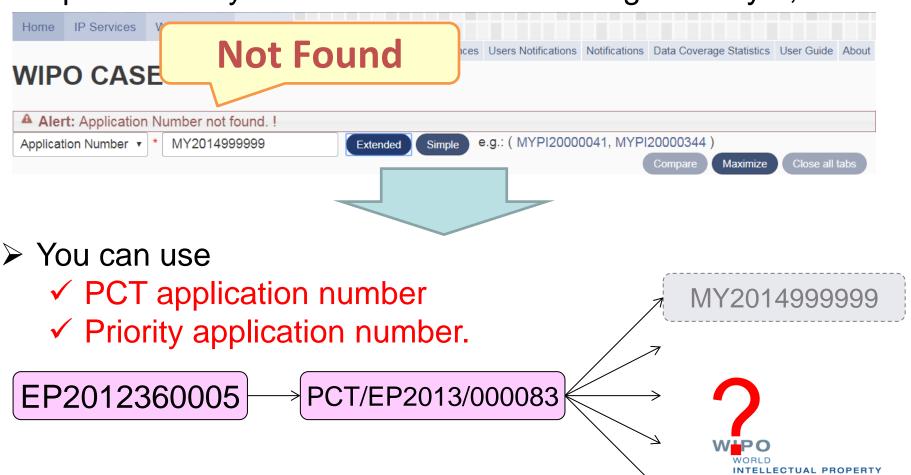
Priority application number: EP2012360005

Note: This application is imaginary.

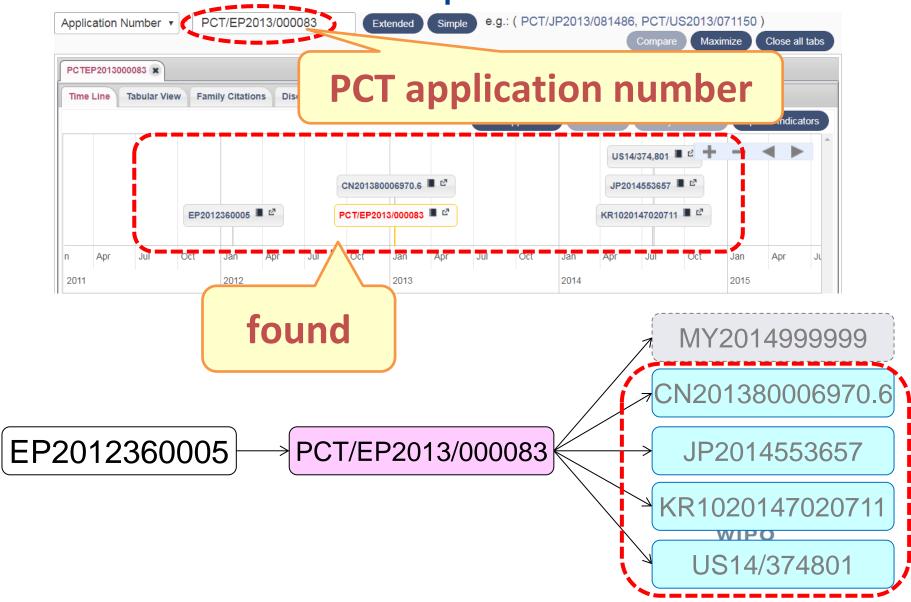


# Tips

> If patent family information hasn't been registered yet, ...



# Tips



## Exercise 2

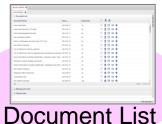
- You are examining "MY2013002124" (application number).
  - (1) Search for the patent family applications.
  - (2) View the following documents;
    - "International Search Report" (Jun. 28, 2012) of PCT family application
    - > "EXAM CORRO" (Jan. 28, 2015) of AU family application
    - "Notification of Reasons for Refusal (TRANSLATED)" (Sep. 2, 2014) of JP family application



## **WIPO CASE Service**







(Prosecution history)

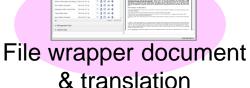


Patent document & translation

Improve

**Efficiency** and **Quality** 

of Examination





Citation Information



Bibliographic Information



Document comparison

WIPO
WORLD
INTELLECTUAL PROPERTY
ORGANIZATION

## **Outline**

- Background
- **WIPO CASE Service**
- Functions of WIPO CASE
- Future Development



## Future Development of WIPO CASE

#### Membership

- Call for joining WIPO CASE through various opportunities
- Assist offices to take advantages of work sharing

#### Data scope and quality management

- Expand data scope of dossier information and patent family
- Facilitate data exchange and load process (WIPO Publish system)
- Manage data quality check system

#### Enhancement of service

- Improve speed performance, UI and authentication process
- Expand public service of WIPO CASE through PATENTSCOPE

#### Supporting activity

Continue national workshops and regional conferences VIZATION

# Thank you!