

*Topic3 : Establishing Examination Cooperation
Mechanisms to Support Patent Work Sharing
-IP5*

**Overview of IP5 Cooperation &
JPO-Lead IT Projects in WG2**

JAPAN PATENT OFFICE

Outline

- ✓ Establishment of IP5 Cooperation
- ✓ WG1: Patent Classification
- ✓ WG2: Global Dossier and Patent Information
- ✓ WG3: Patent Examination Practices and Quality

- First IP5 Heads meeting in 2007
- The vision of IP5 cooperation (agreed in 2008):
*“The elimination of **unnecessary duplication of work** among the offices, enhancement of patent examination **efficiency** and **quality**, and guarantee of the **stability** of patent right.”*

2nd IP5 Heads Meeting in Jeju (2008)



- Heads meeting

- Deputy Heads meeting

- WG1: Patent Classification

- WG2: Global Dossier and Patent Information

- Global Dossier: OPD(IP5 File Wrapper) , CCD, PDX/DAS etc.

- Secure Data Exchange

- Patent information Policy, Authority File

- Common Documentation

- WG3: Patent Examination Practices and Quality

- PPH, PCT, Timelines ,

- Training including IP5 Examiners Workshop

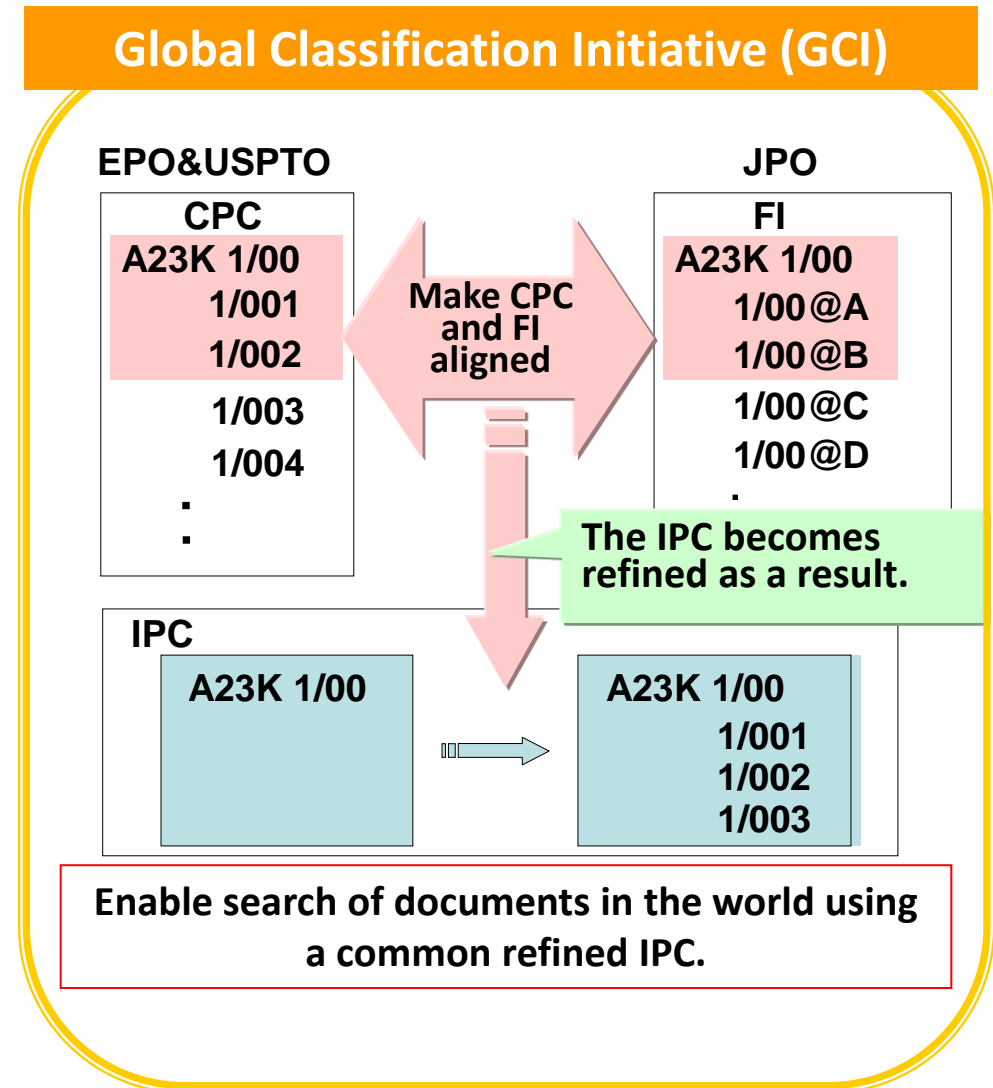
- Sharing Search Strategy, Quality (Gap Analysis, Quality, meetings)

Outline

- ✓ Establishment of IP5 Cooperation
- ✓ **WG1: Patent Classification**
- ✓ WG2: Global Dossier and Patent Information
- ✓ WG3: Patent Examination Practices and Quality

■ **WG1** is a working group on classification to discuss subdivision of the International Patent Classification (IPC).

■ **Global Classification Initiative (GCI)**, a new framework to harmonize classification, was established at the Heads of IP5 Offices Meeting in June 2013.

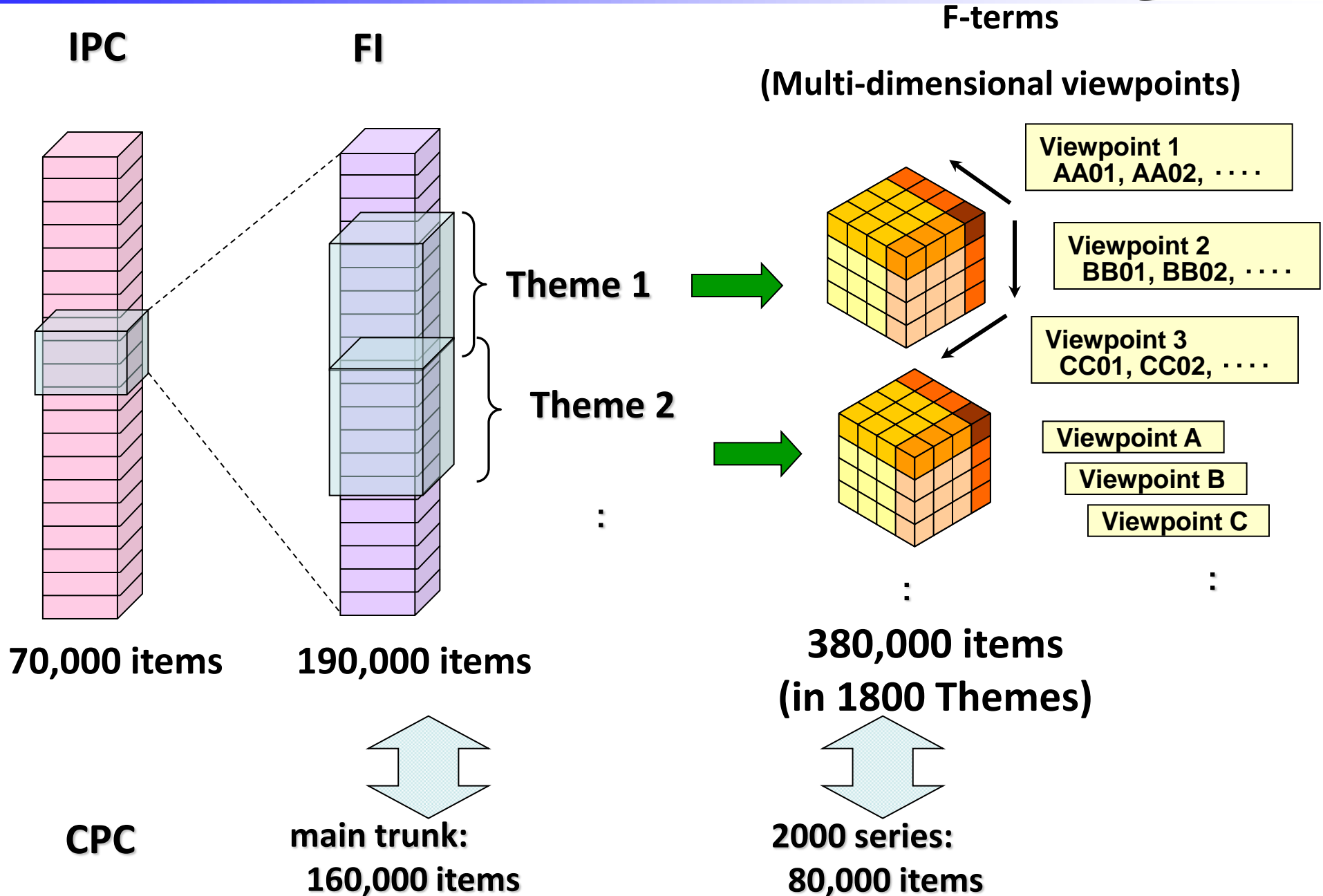


■ **24 IPC revision projects were launched under GCI.**
The new IPC will be published at 2015.01 at the earliest.

Examples of technical fields being discussed under the GCI

IPC	Technology	Based on
C01B 31/00	Carbon	CPC,FI
H02J17/00	Wireless Electric Power Transmission	FI, new classification
F21S 4/00	Lighting devices or systems using a string or strip of light sources	CPC
B33Y	Additive Manufacturing	New classification

System	Governance	Number of Entries	Documentation coverage
IPC	IPC/CE (Committee of Experts); supervised by WIPO	70K	- almost all patent docs published worldwide
FI/F-term	JPO	190K/ 380K	- JP docs
CPC	EPO/USPTO	250K (main trunk / 2000 series = 160K/ 80K)	- the subset of "min-PCT" documentation in one of the three EPO languages - patent docs classified by CPCNO



[Reference] IPC-FI-CPC Parallel Viewer

☆ 分類対照ツール ☆

Click “表示”

IPC 入力例: G06F3 or G06F3/ or G06F3/00 or G06F3/02 etc... [使用方法](#)

IPCタイトル: 日 英 両方 非表示 記号のみ
 FIタイトル: 日 英 両方 非表示
 ECLAタイトル: 英 日
 ICOタイトル: 英 日
 CPCタイトル: 英 日 両方 非表示 [CPCにないIPC](#) FI 文献数表示: オン オフ

IPCレベルのみ表示: オフ オン
 対応IPCsubgroupのないFI: 表示 非表示
 pattern1 pattern2 オフ

Input classification symbol

Check to display “IPC” “FI” and “CPC” in English

B60G 17/015	the regulating means comprising electric or electronic elements (B60G17/005 takes precedence)	20411件	B60G 17/015	the regulating means comprising electric or electronic elements (B60G17/005 takes precedence) [8]	3640件	3D301	HB	B60G17/015	the regulating means comprising electric or electronic elements (B60G17/002, B60G17/005 take precedence)	2131件
			B60G 17/015 A	Controlling damping force (controlling damper venturi and the like)	4739件	3D301	HB	B60G17/0152	{ characterised by the action on a particular type of suspension unit (B60G17/01941 takes precedence)}	1869件
			B60G 17/015 B	Controlling working fluid (control of hydro, full active, control of spring constant)	4916件	3D301	HB	B60G17/0155	{pneumatic unit}	1331件
			B60G 17/015 C	controlling air	2906件	3D301	HB	B60G17/0157	{non-fluid unit, e.g. electric motor}	690件
			B60G 17/015 Z	Others	1819件	3D301	HB			
			B60G 17/016	characterised by their responsiveness, when the vehicle is travelling, to specific motion, a specific condition, or driver input	749件	3D301	HB	B60G17/016	characterised by their responsiveness, when the vehicle is travelling, to specific motion, a specific condition, or driver input [B60G17/017 takes precedence]	1137件
								B60G17/0161	{mainly during straight-line motion (B60G17/0164 takes precedence)}	113件
								B60G17/0162	{mainly during a motion involving steering operation, e.g. cornering, overtaking (B60G17/0164 takes precedence)}	2026件
								B60G17/0163	{the control involving steering geometry, e.g. four-wheel steering}	95件
									g or bra	287件

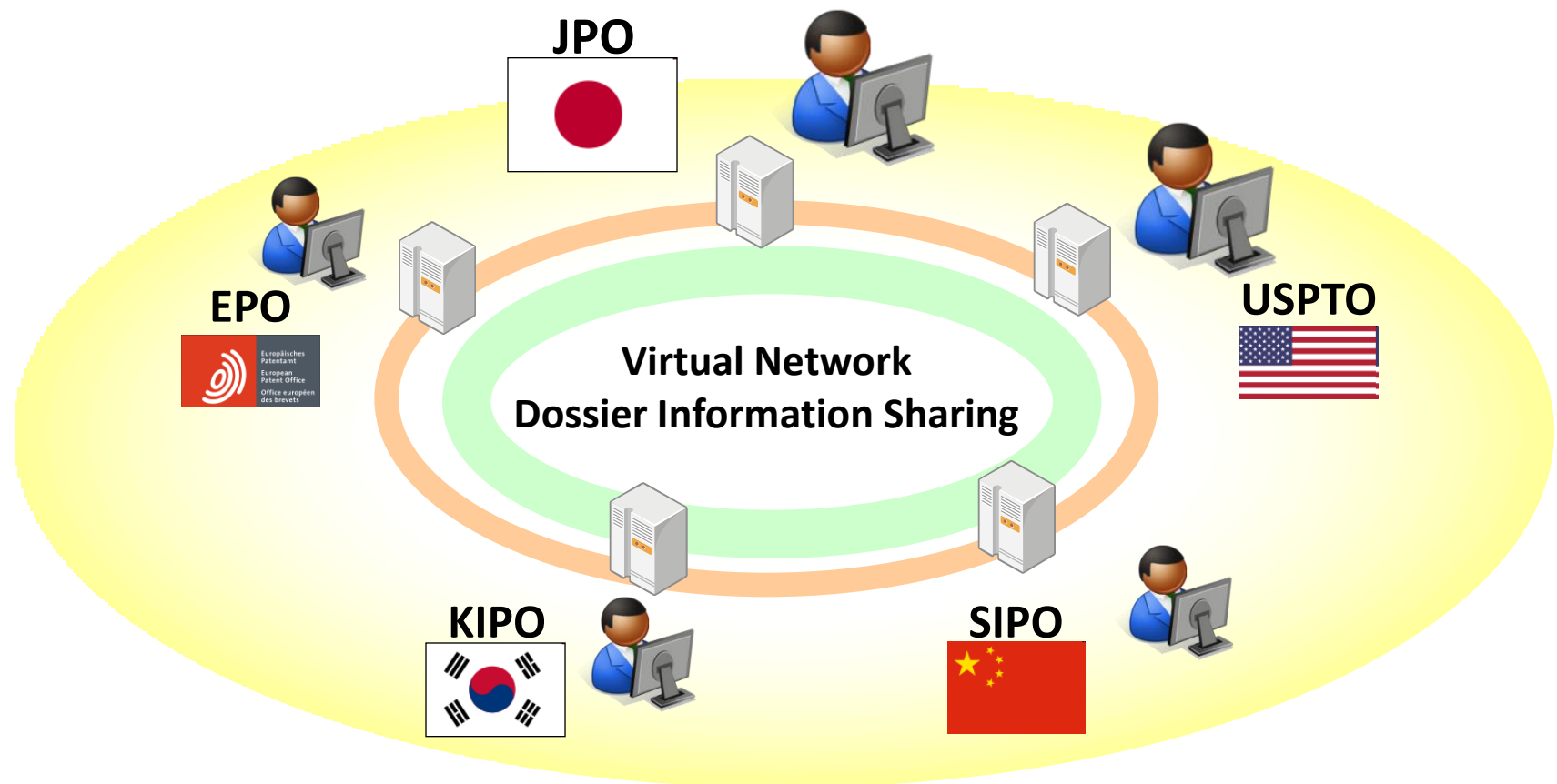
Please Visit:

http://www.jpo.go.jp/cgi/cgi-bin/search-portal/narabe_tool/narabe.cgi

Outline

- ✓ Establishment of IP5 Cooperation
- ✓ WG1: Patent Classification
- ✓ WG2: Global Dossier and Patent Information
 - JPO-Lead Project in WG2*
- ✓ WG3: Patent Examination Practice and Quality

- Examiners of IP5 Offices can access dossier information of all IP5 Offices at **One Stop**.
- Dossier Information Sharing is achieved with distributed architecture and common communication protocol “OPD Spec” .



- One Portal Dossier **launched in July 2013** among IP5 Offices
- ✓ JPO's examiners access **33,000 documents** of the other IP5 Offices monthly
- ✓ Other four Offices' examiners access **16,000 documents** of JPO monthly

JPO's OPD User Interface for Examiners



One Portal Dossier

照会条件: ファミリー(JP)

公開番号	出願番号	JP	出願日	2010-06-11	書類照会画面
US	公開番号	JP	登録番号	-	表示

ファミリー件数: 8 | ファミリー一覧: 表示 | 分類・引用情報: 表示 | 照会番号入力: 表示

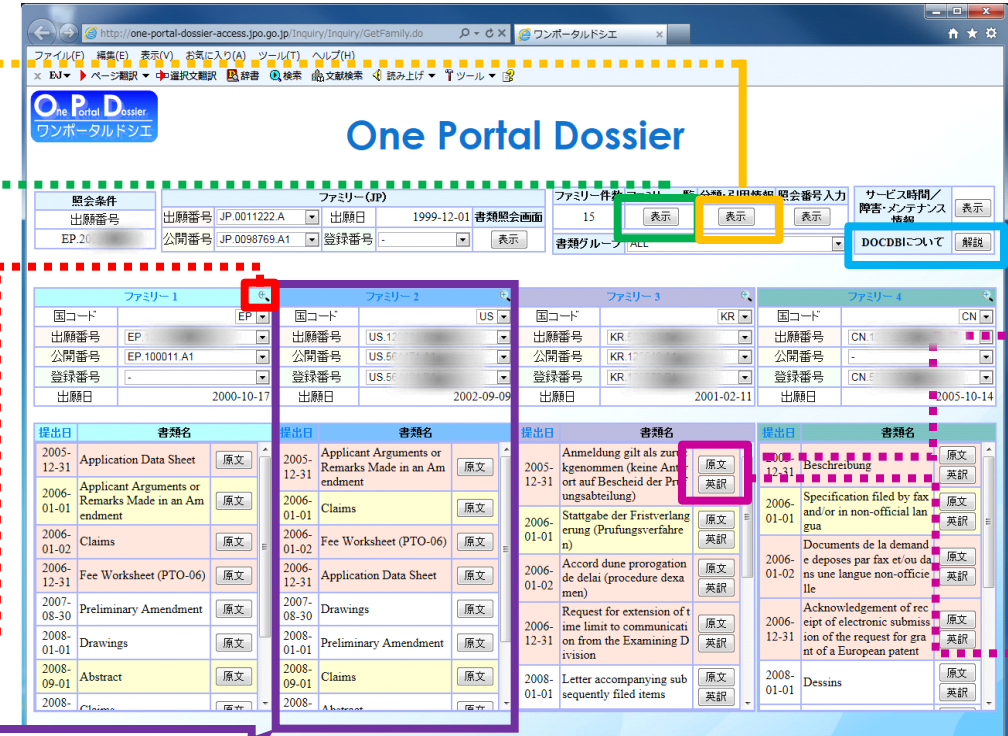
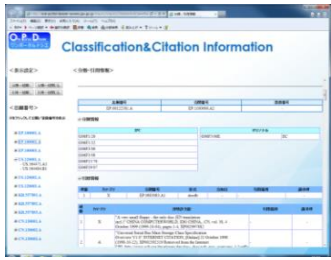
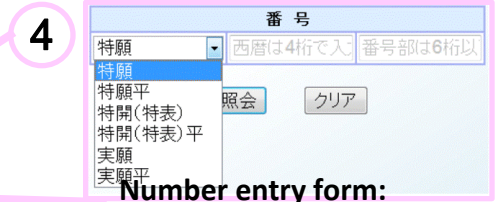
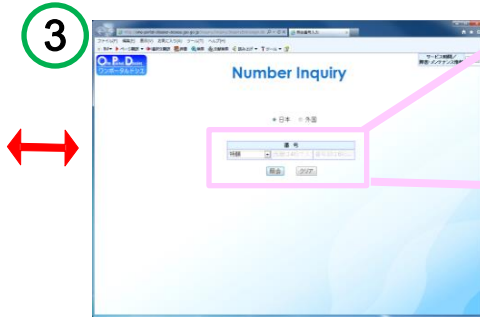
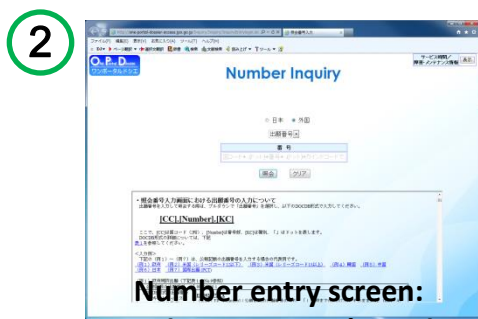
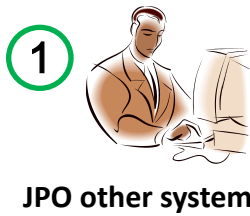
サービス時間/障害・メンテナンス情報: 表示 | DOCDBIについて: 解説

書類グループ: ALL

ファミリー 1		ファミリー 2		ファミリー 3		ファミリー 4	
国コード	EP	国コード	US	国コード	KR	国コード	CN
出願番号	EP	出願番号	US	出願番号	KR	出願番号	CN
公開番号	EP	公開番号	US	公開番号	KR	公開番号	CN
登録番号	-	登録番号	US	登録番号	-	登録番号	-
出願日	2010-06-11	出願日	2010-06-11	出願日	2010-06-11	出願日	2010-06-11

提出日	書類名	提出日	書類名	提出日	書類名	提出日	書類名
2010-12-16	International publication of the A1 Pamphlet	2010-06-11	Transmittal of New Application	2012-01-06	[Patent Application] Paper according to the Article 203 of Patent Act	2012-08-15	Invention Publication
2010-12-16	Copy of the international search report	2010-06-11	Specification	2012-02-16	Request for Amendment	2012-11-22	First search
2011-01-10	Priority document (electronically transmitted)	2010-06-11	Claims	2012-03-14	[Amendment of Application etc.] Amendment	2013-02-06	First Office Action(PCT)
2011-10-21	Information on entry into European phase	2010-06-11	Abstract				
2011-	Notification of the record	2010-	Drawings other than blue				

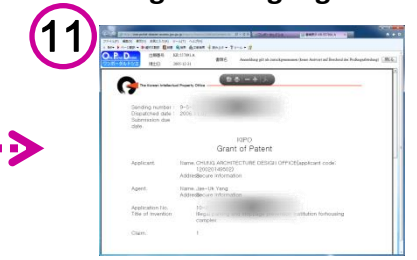
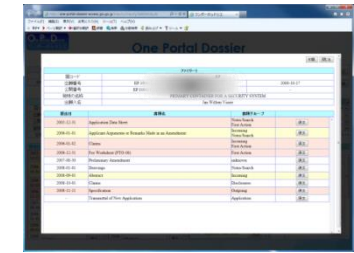
OPD UI for JPO's Examiners



Classification & Citation Information screen



Family List information screen



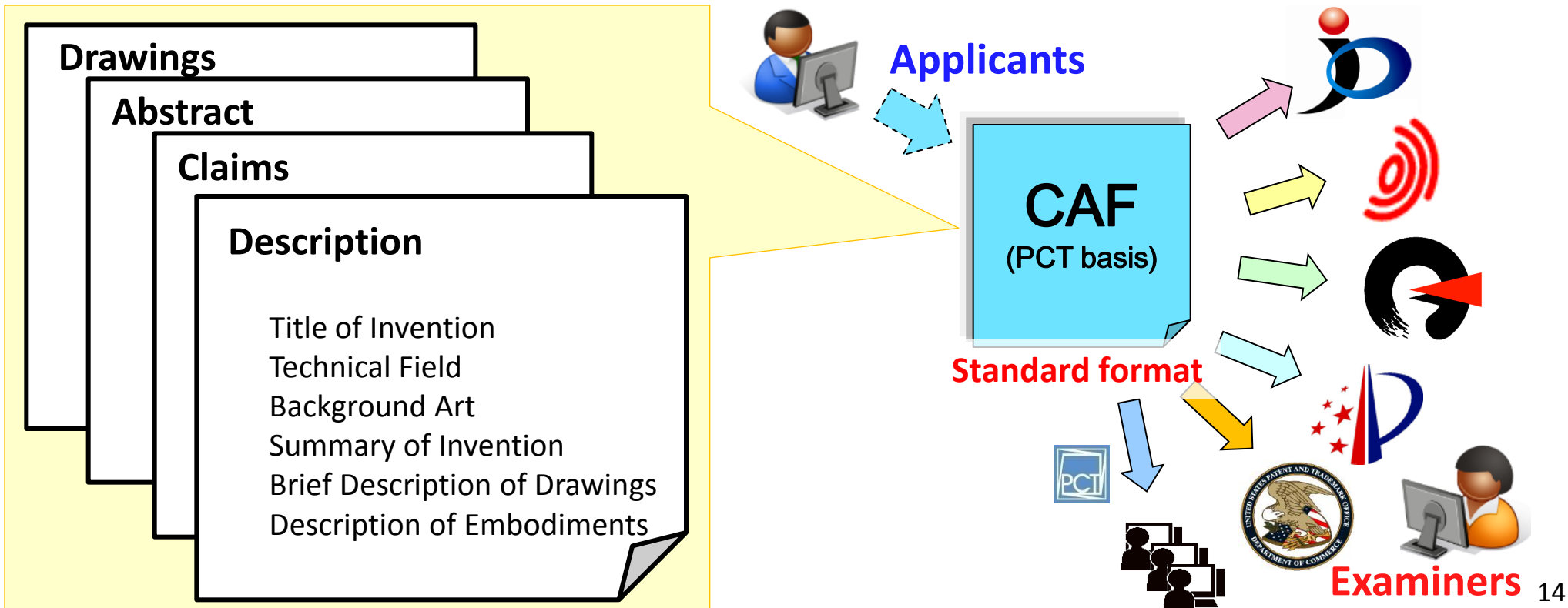
Dossier information of one office

Enlarged screen

Screen for DocContent: In English translation

Common Application Format (CAF)

- CAF standardizes style of description, claims, abstract and drawings (name of items, order of items) that had been different office by office
- CAF has been developed based on PCT form
- ✓ Relieve the laborious work of applicants to re-draft specifications in accordance with each country's own original format.
- ✓ Enable examiners to understand the specifications of other countries more easily.



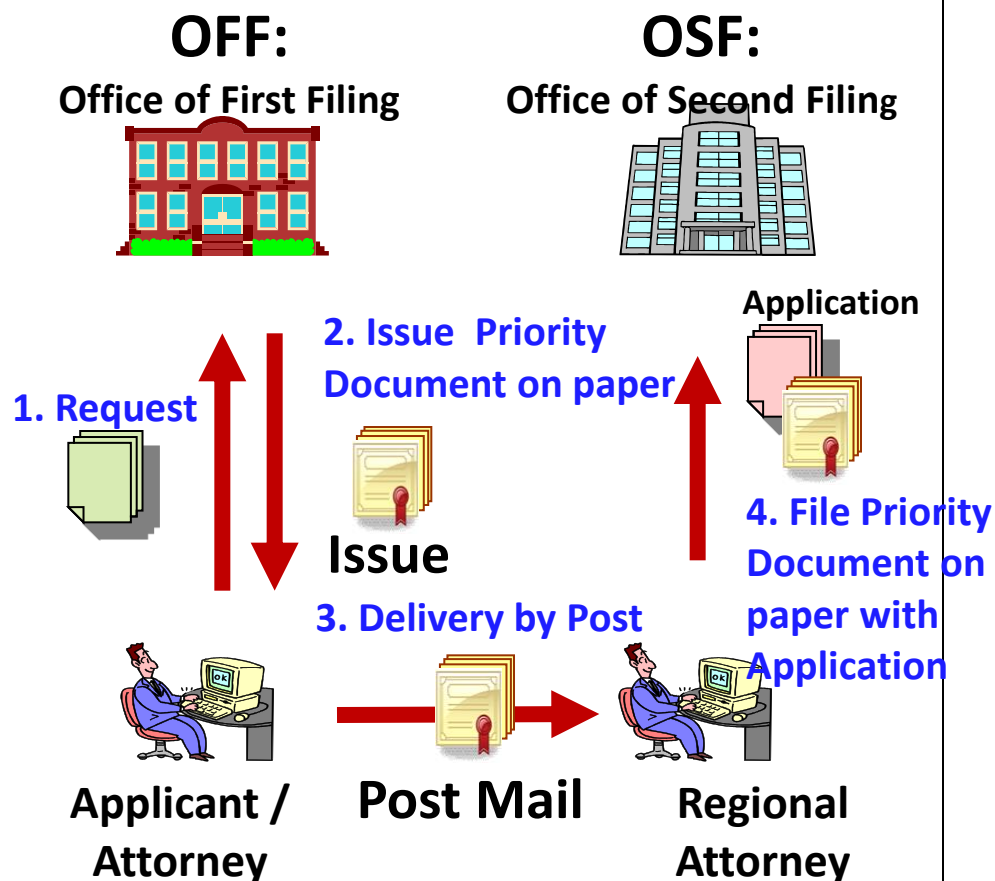
JPO	EPO	USPTO
【書類名】明細書		{Description}
【発明の名称】 ... text ...		{Title of Invention} or {Title} ... text ...
【技術分野】		{Technical Field} or {Field}
【0001】 ... text ...	{0001}	... text text ...
【背景技術】		{Background Art} or {Background}
【0002】 ... text ...	{0002}	... text text ...
【発明の概要】		{Summary of Invention} or {Summary}
【0003】 ... text ...	{0003}	... text text ...
【図面の簡単な説明】		{Brief Description of Drawings}
【0004】 【図1】 ... text ...	{0004}	{Fig. 1} ... text text ...
【発明を実施するための形態】		{Description of Embodiments}
【0005】 ... text ...	{0005}	... text text ...
【書類名】特許請求の範囲		{Claims}
【請求項1】 ... text ...		{Claim 1} ... text text ...
【書類名】要約書		{Abstract}
【書類名】図面		{Drawings}
【図1】		{Fig. 1}

Tagging with the specific delimiters, curly brackets “{}”, is recommended.

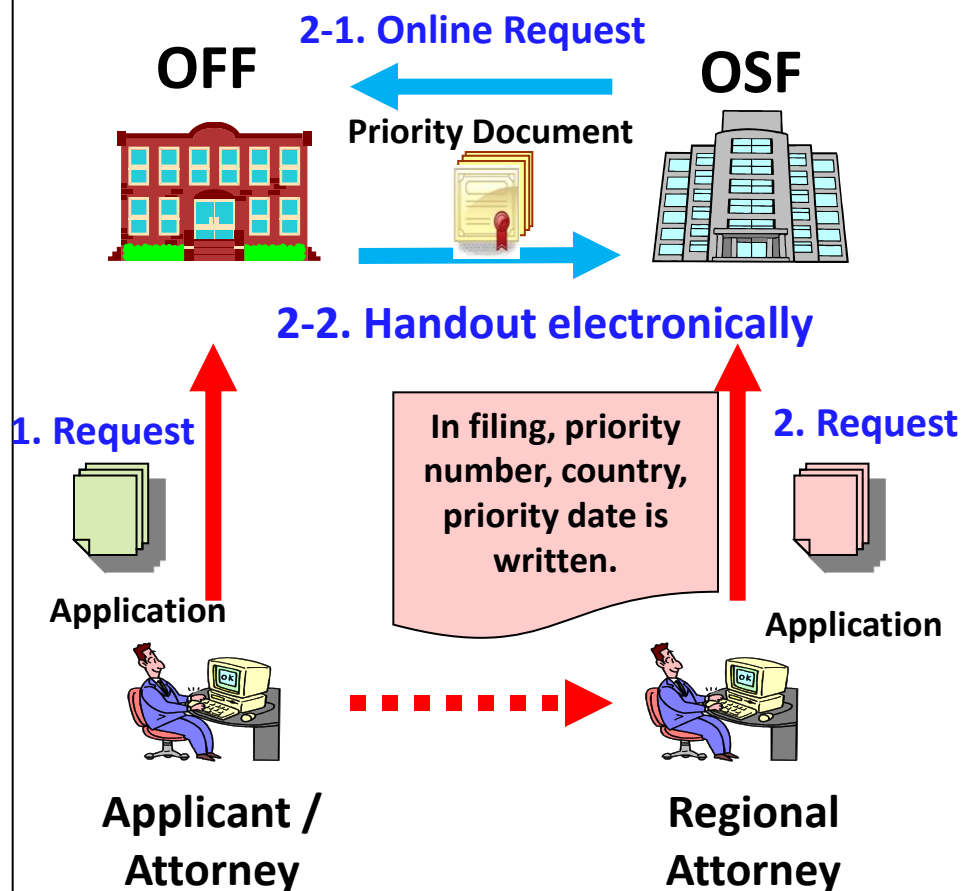
Priority Document Exchange (PDX)

- Eliminate the burden of applicants to handle priority documents
- Improve the productivity and efficiency of patent offices.
- ✓ OFF is not required to issue priority documents on paper
- ✓ OSF can storage priority document data in its database and handle it smoothly

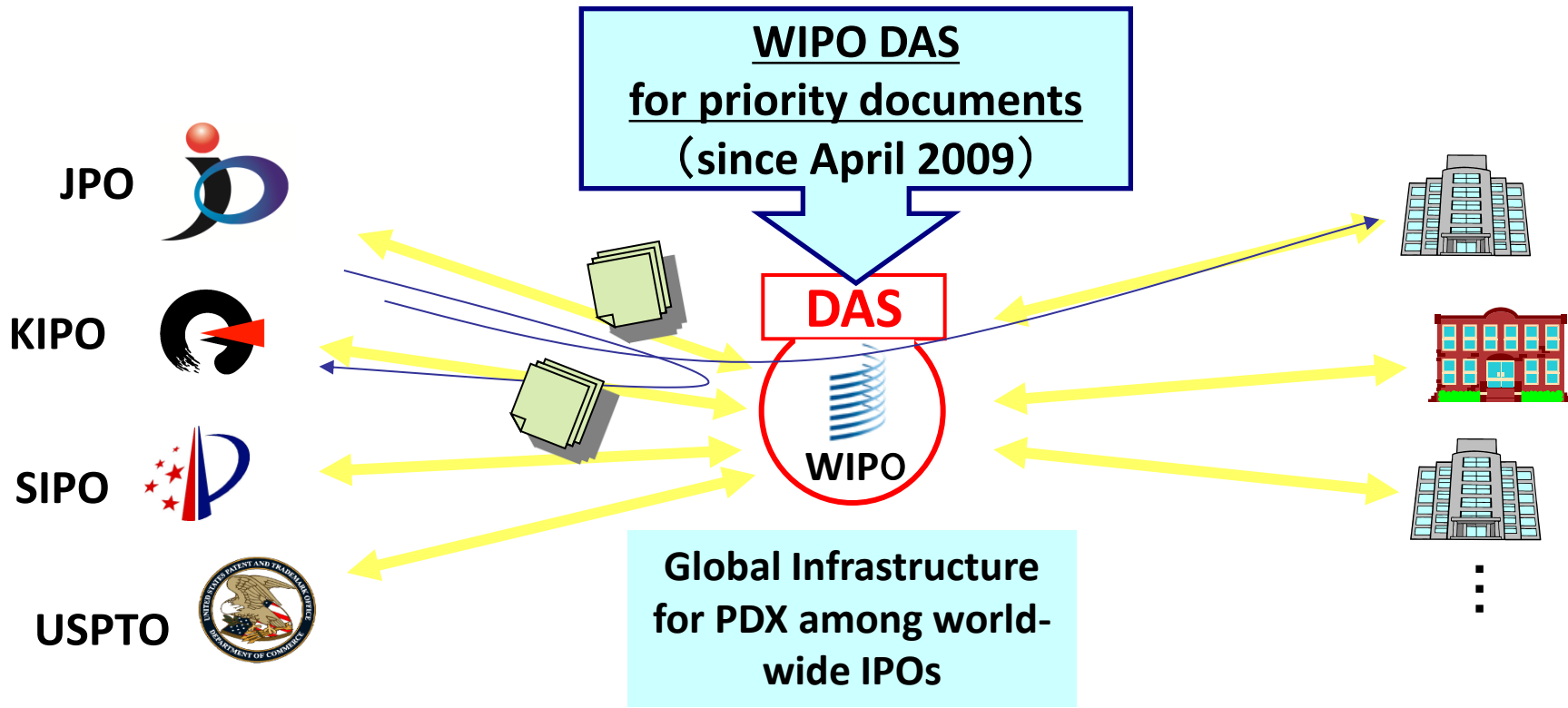
【Paper-based procedure】



【Electronic Exchange】



- WIPO launched the Digital Access Service (DAS) in 2009
- DAS adopts hub-spoke style to exchange priority documents via WIPO
- Priority document exchanges are performed securely with access code

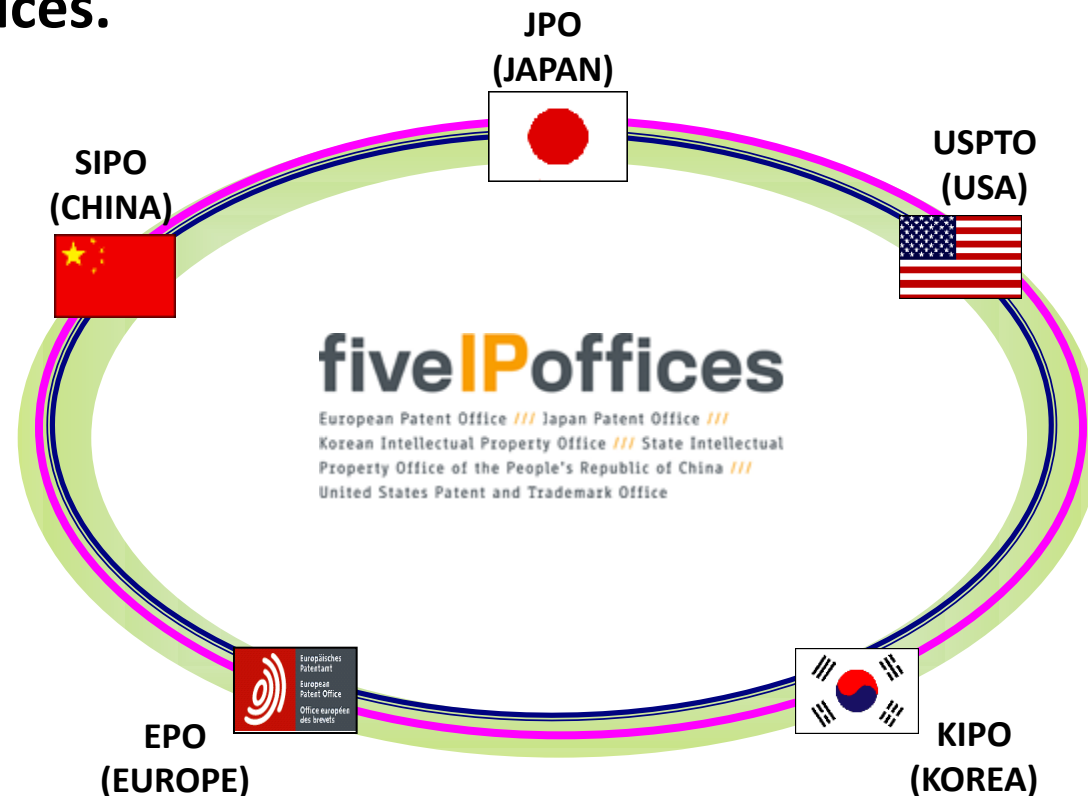


Participating Offices: AU, CN, DK, ES, FI, GB, JP, KR, SE, US and WIPO (as of June 2014)

Outline

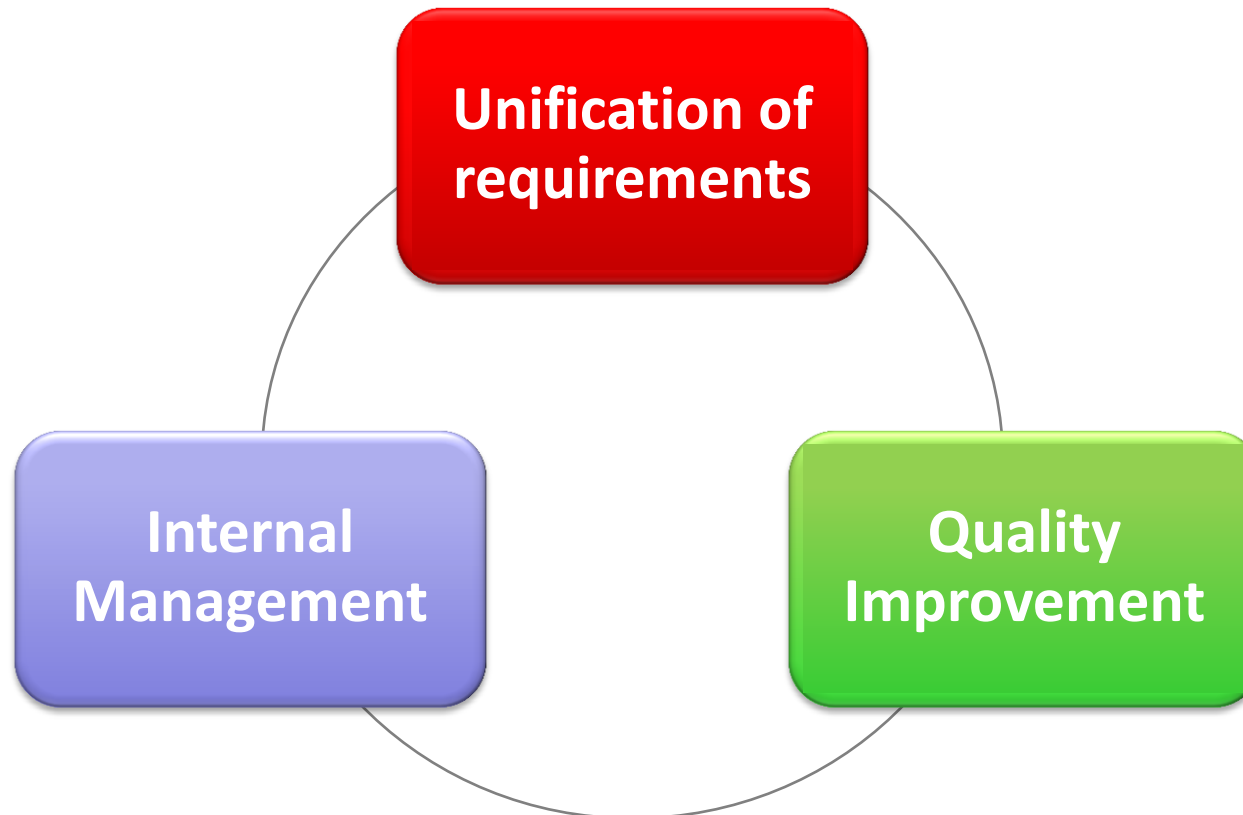
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- IP5 PPH pilot program commenced on January 6, 2014 for a period of 3 years.
- Under the program, applicants whose patent claims have been found to be patentable by one office may ask for accelerated processing of their corresponding applications pending before the other IP5 offices.



■ The JPO proposes:

- Unification of PPH requirements
- Improvement of quality
- Internal management at IP5 level



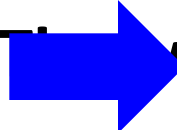
IP5 Offices are focusing on the following four prioritized areas.

- ✓ Work sharing between International Authorities and National Offices**
- ✓ Discussion on Standards to improve accessibility to PCT documents and facilitate their utilization**
- ✓ Collaboration to enhance quality of PCT international searches and preliminary examinations**
- ✓ Cooperation to promote utilization of the PCT system by small and medium enterprises (SMEs) and individual users**

- It is proposed to provide for expedited national phase processing through formal integration of the PPH into the PCT.

- This would effectively reduce the cost of pursuing patent protection through the following benefits:
 - Reduced actions per disposal
 - Higher allowance rate
 - Reduced rate of appeal.

- From 2009 to 2013, **around 90 examiners and training related persons participated** in the workshops in total.
- The workshops annually hosted by KIPO, the EPO, the USPTO, SIPO and the JPO.

 Workshops provided an opportunity to share and deepen understanding on search strategy, way to decide patentability (novelty, inventive step and specification requirements) and so on.

Date: November 18(Mon)-22(Fri), 2013

Venue: Japan Patent Office

Number of Participants:

EPO	JPO	KIPO	SIPO	USPTO
4	6 incl. 3 facilitators	5	3	3

Approximately 240 JPO examiners observed the workshop

Technical field:

Machinery(A61B 6/00), Chemistry(C08L 3/02) and Electricity (G06Q)

Discussion Topics(#):

- ✓ **Claim interpretation and Written Description Requirements**
- ✓ **Search Strategy**
- ✓ **Novelty and Inventive Step**
- ✓ **Drafting Notifications sent to Applicants**

(#) Discussed based on a common case example in each technical field

Sharing search strategies :

- Between IP5 offices
- PCT – Users

□ Sharing data related to search strategies Between IP5 Offices

IP5 Offices are exploring sharing search records such as:

- Class/subclass
- Databases
- Keywords

□ PCT Search Strategy

Discussions are ongoing on further improving the usefulness and quality of PCT searches by making available to the public certain information relating to how searches were conducted by the offices.

- Collaborative Metrics Study started as Trilateral Project in 2011
- In 2012, Study turned into IP5 activity as well as activity in PCT/MIA; WIPO started to produce Metrics on ISR
- More than 20 items of ISR Metrics were produced in 2013

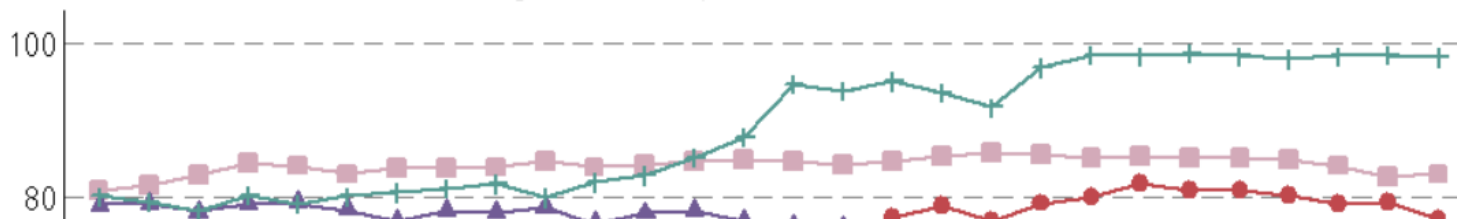
Example of ISR Metrics

- Percentage of PCT search reports with at least one X, Y or E citation
- Percentage of PCT search reports with A citations only
- Average number of citations per search report
- Average number of NPL citations per search report

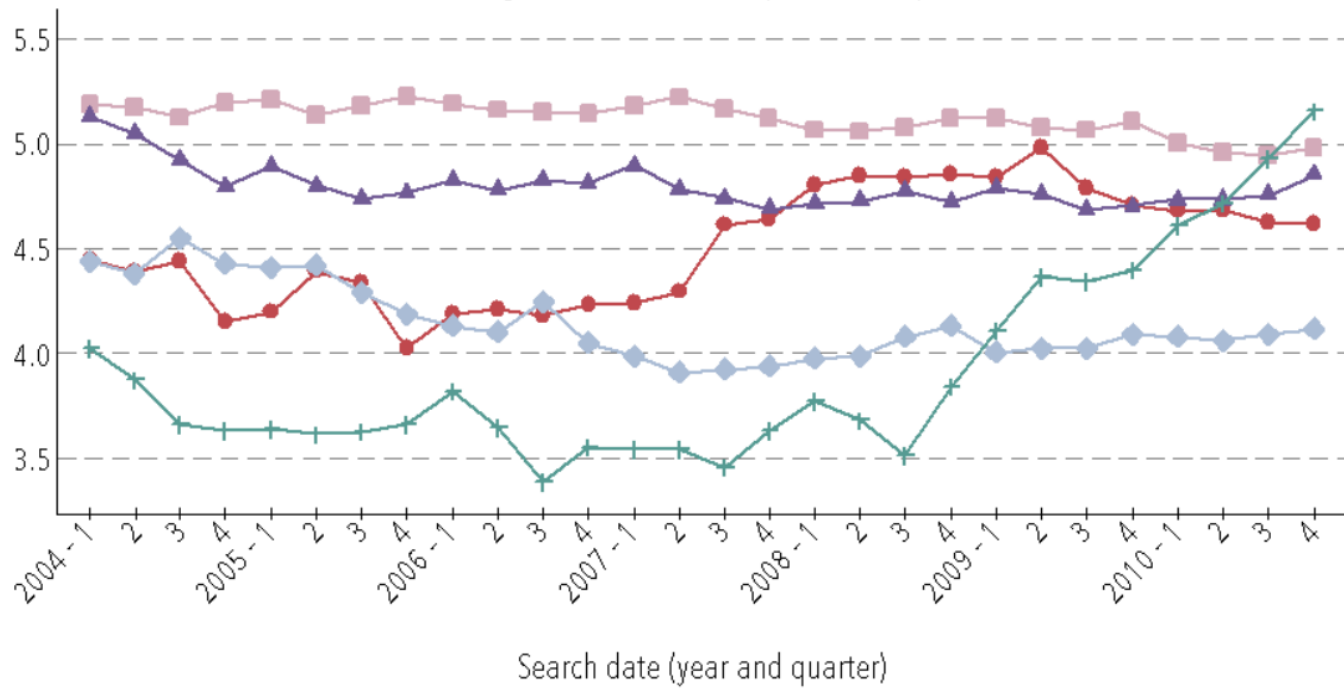
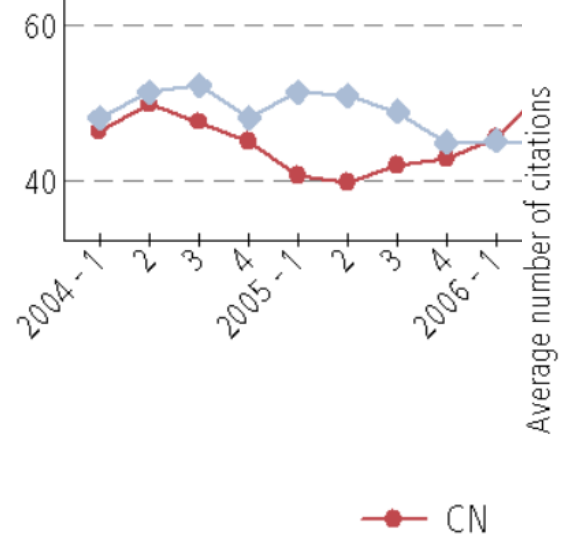
- JPO and EPO are conducting manual sample-based analysis

Metrics provide useful insights for discussion on reducing discrepancy in search and examination results and improving quality

Percentage of search reports with at least one XY citation



Average number of citation per search report



● CN ■ EP ▲ JP ◆ KR + US

Results of IP5 Working Group 3 Meeting

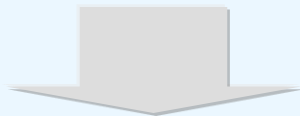
- ✓ The IP5 Offices agreed on holding a meeting on quality management within WG3 in 2014 and naming the meeting as the IP5 Quality Management Meeting.

■ Objective

Sharing



Sharing quality management experience



Convergence



Enhancing quality cooperation among IP5

■ Content

1. Advancing the existing IP5 projects related to quality
2. Introducing the outcomes and experiences of the projects which are implemented by some of the IP5 offices
3. Sharing one office's fruitful experience, which has the possibility and necessity to perform in IP5 framework

IP5 Quality

Quality evaluation

Quality improvement
measures

User feedback

Thank you !