

WIPO



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WORLD INTELLECTUAL PROPERTY ORGANIZATION
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STANDING COMMITTEE ON INFORMATION TECHNOLOGIES STANDARDS AND DOCUMENTATION WORKING GROUP

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UNIQUE IDENTIFICATION OF A PATENT DOCUMENT

Document prepared by the Secretariat

1. The Standing Committee on Information Technologies (SCIT) Plenary, at its second session, agreed to create the current Task No. 22 with the following wording:

“Investigate, in the light of the revised Standard ST.14, whether any other WIPO Standard, such as ST.6, ST.10/B, ST.11, ST.12, ST.16, ST.19, ST.30, ST.32, ST.35 and ST.40, requires revision in order to clarify how a patent document should be uniquely identified”

and to assign it to the SCIT Standards and Documentation Working Group (SDWG). (See paragraph 14 of document SCIT/2/8.)

2. Subsequently, at its second session, in the framework of the discussions concerning the above-mentioned Task, the SDWG agreed to set up a task force to determine the extent of the problem of uniquely identifying patent documents and the steps necessary to remedy that problem. The SDWG requested the task force to consider in particular in its analysis:

- the best way to cite and retrieve patent documents;

- the potential impact with relation to publication, storage and retrieval of patent documents; and
- the WIPO standards, if any, which need to be amended or created.

(See document SCIT/WG/2/12, paragraphs 29 to 33.)

3. In accordance with the decision by the SDWG referred to in paragraph 2, above, the Patent Document Identification (PDI) Task Force carried out its work electronically during the year 2000. The results reached by the Task Force were sent to all Industrial Property Offices (IPOs) of Member States for consideration and comments, along with Circular SCIT 2524, dated December 22, 2000. Eight IPOs (JP, KZ, MU, NL, PL, RU, UA, US) responded to the circular; copies of the circular and replies thereto have been reproduced in project file SCIT/P 5/99 Rev.1.

4. All of the IPOs which replied to Circular SCIT 2524, with the exception of the MU Office which informed that they were not in a position to offer comments on this matter, supported the conclusions and proposals by the PDI Task Force, including the amendments to WIPO Standards ST.6, ST.10/B and ST.33. These conclusions and proposals are reproduced in Annex I to this document, and the specific texts of the parts to be amended in these three Standards are indicated in bold in Annex II.

5. In response to the comments by the RU Office relating to Standard ST.10/B (please see Annex 26 to project file SCIT/P 5/99 Rev.1), proposals for the amendments to paragraphs 17, 18 and 19 of the said Standard have also been included in Annex II.

6. Considering that uniquely identifying patent documents is critical to many of the operations of IPOs, commercial entities and the public, the US Office (please see Annex 28 to project file SCIT/P 5/99 Rev.1) proposed to create a new WIPO standard setting forth the contents of paragraphs 1 to 3 of Annex I to this document. The US Office also suggested that the number 1 be given to that new standard (i.e., ST.1).

7. *The SDWG is invited:*

(a) to consider and approve the conclusions and proposals concerning the unique identification of a patent document reproduced in Annex I;

(b) to consider and adopt the proposals concerning amendments to WIPO Standards as given in Annex II;

(c) to consider and, if deemed convenient, to adopt the proposals related to the creation of a new WIPO standard made in paragraph 6, above.

[Annexes follow]

ANNEX I

CONCLUSIONS AND PROPOSALS

UNIQUE IDENTIFICATION OF A PATENT DOCUMENT

Citation of patent documents

1. The minimum data elements that must be indicated to uniquely identify all kinds of patent documents either manually or by computers are the following:

(a) the ST.3 code of the industrial property office or organization publishing the document;

(b) the publication number according to WIPO Standard ST.6;

(c) the kind-of-document code according to WIPO Standard ST.16; and

(d) the date of publication of the document as provided by ST.9 INID codes (41) through (48), as appropriate. The presentation of calendar dates identified by any of the INID codes concerned should be in the sequence and format recommended in WIPO Standard ST.2.

Publication, storage and retrieval of patent documents

2. The identification of patent documents using the four data elements given in paragraph 1, above, assumes that no industrial property office will publish two corrections to the same document on the same date. Therefore, it is extremely important that no document be corrected more than once on the same day and that industrial property offices or organizations provide a new publication date (preferably under INID code (48) of WIPO Standard ST.9) for corrected patent documents.

3. It may happen that some industrial property offices or organizations do not follow the recommended procedure established in this document (see paragraphs 1 and 2, above) and continue to use the same four identification elements listed in paragraph 1, above, including the same date of publication, for the original document and the corrected document. Under such circumstances, all industrial property offices or organizations maintaining collections of the data may need to store the paper or electronic copies of both the original document and the corrected document together so that users would retrieve both documents when requesting a copy of either one. The same would have to be done for all older corrected documents that do not make a distinction between the said four identification data elements, including the publication date, for the original document and for the corrected document.

WIPO Standards to be amended

4. The WIPO Standards requiring revision are Standards ST.6, ST.10/B and ST.33. The text of the proposed revision of each Standard is set out in Annex II.

[Annex II follows]

ANNEX II

Proposals concerning amendments to WIPO Standards

The parts to be amended are indicated in bold.

1. The paragraphs of Standard ST.10/B referred to below should be amended to read as follows:

5. Those bibliographic data components considered by the issuing office to be of importance compared with the remaining data components, e.g., essential document identification data, should be printed, in the upper part of the first page, in a manner to give them more emphasis (for example, in bold) in relation to data components considered to be of lesser importance and should at least include the following data components:

- (a) the number of the document (INID code (11)), presented on the top right-hand side of the page;
- (b) the identification of the issuing office or organization (INID code (19));
- (c) the identification of the kind of document (INID code(s) (12) and/or (13));
- (d) the date of publication of the document (INID codes (41) through (48), as appropriate);**
- (e) the symbols of the International Patent Classification (INID code (51)).

8. For the purpose of using patent documents in libraries and in search or other files, it is recognized that the repetition of the document number and associated ST.3 and ST.16 codes, **as well as the publication date of the document (INID codes (41) through (48), as appropriate)**, in one or more of the margins of the first page of the patent document is useful.

9. So as to provide a unique page identification of published patent documents, particularly when individual pages of published patent documents are displayed on a video display screen, it is recommended that the two-letter code of the issuing office or organization according to WIPO Standard ST.3, the publication number of the patent document, the code identifying the kind of patent document according to WIPO Standard ST.16 and **the publication date of the document (INID codes (41) through (48), as appropriate)** be given in that order in one or more of the margins of the first page and on each of the following pages. It is further recommended that the data be printed on one line, e.g.:

AT	406799	B	2000.09.25
DE	19854173	C2	2000.11.23
FR	2732249	A1	1996.10.04
NL	7412658	A	1975.04.29

17. When an office republishes the whole or part of the text of a patent document already published by another office or organization, the identification of the republished document should be given as normal on the first page of the republished document, viz. the two-letter code identifying the republishing office, the document number, the kind of document code appropriate to the republished document **and the publication date of the republished document**. These **four** elements of identification should be printed together at the top of the page and preferably in a large type face. The corresponding **four** elements identifying the originally published document should be given, together with the appropriate INID code, immediately below the elements identifying the republished document but in a smaller typeface. Examples are as follows:

(10)	DE 19580280 T1	(43)	1996.06.27
(87)	WO 95/22435 A1	(43)	1995.08.24
(10)	DE 69000441 T2	(47)	1993.04.01
(87)	EP 0385896 B1	(45)	1992.11.11

18. In the case where the office republishing the document uses the same publication number as the originally published document, the data elements, for purposes of efficient use of space on the first page of the republished document, may be presented together with the two-letter code identifying the office republishing the document given first, followed by a slash, followed by the two-letter code identifying the office or organization originally publishing the document, followed by the document publication number, followed by the kind of document code appropriate to the republished document **and the publication date of the republished document**. An example of the display of the data elements is:

(10) DK/EP 0446109 T3

19. In any computer record corresponding to the republished document, a record of the normal **four** data elements identifying the republished document only should be made in the part of the computer record dealing with document identification data, viz. the two-letter code identifying the office republishing the document, the document number, the kind of document code appropriate to the republished document **and the publication date of the republished document**, i.e., DK0446109 T3

2. Standard ST.6, paragraph 14, should read:

14. It should be noted that the two-letter code according to WIPO Standard ST.3 and the kind of document code according to WIPO Standard ST.16 do not form part of the publication number. However, both codes, **along with the publication date of the document (INID codes (41) through (48), as appropriate)**, have to be associated with the publication number for the complete identification of the patent document. In such cases, the rules set out in WIPO Standard ST.10/B should be followed.

3. Standard ST.33

(a) paragraph 15 should read:

15. The relation between patent documents and logical records is determined by the content of each physical record:

- The record prefix contains the full identification of each patent document containing elements as defined in accordance with ST.3, ST.10/B, ST.16 **and the publication date**;
- Additional revisory documents with the same identification may exist in the same file. In general the transition between documents (in particular with the same identifier) is given by the physical record for which:
 - the current record sequence number is equal to the "Total records" number, and
 - the current frame number is equal to the "End of frame number", and
 - the current page number is equal to the "Total pages" number.

(b) in Appendix II, the entry of the first column (the header of which is "M/D") that corresponds to the publication date (Item No. 20.2) should be amended to read "M" instead of "D," i.e., the publication date prefix should become mandatory instead of desirable.

The PDI Task Force recommended that the suggestions with regard to the revision of WIPO Standard ST.33 should be forwarded to the SCIT Standards Task Force, which is coordinating the modification of all of the so-called electronic Standards (i.e., WIPO Standards ST.30, ST.31, ST.32, ST.33, ST.35 and ST.40).