

WIPO



SCIT/SDWG/1/9

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WORLD INTELLECTUAL PROPERTY ORGANIZATION

GENEVA

STANDING COMMITTEE ON INFORMATION TECHNOLOGIES

STANDARDS AND DOCUMENTATION WORKING GROUP

First Session

Geneva, May 28 to 30, 2001

REPORT

approved by the Working Group

INTRODUCTION

1. The Standards and Documentation Working Group (SDWG) of the Standing Committee on Information Technologies (SCIT) held its first session from May 28 to 30, 2001.
2. The following Member States of WIPO and/or the Paris Union were represented at the session: Australia, Austria, Belize, Bosnia and Herzegovina, Brazil, Canada, Chile, China, Colombia, Croatia, Dominican Republic, Ecuador, Egypt, Finland, France, Germany, Hungary, Iraq, Ireland, Japan, Kenya, Lithuania, Mexico, New Zealand, Panama, Poland, Portugal, Republic of Korea, Romania, Russian Federation, Slovakia, Spain, Sweden, Switzerland, Ukraine and United States of America (36).
3. Representatives of the Eurasian Patent Organization (EAPO), the European Patent Office (EPO), the Benelux Trademark Office (BBM) and the European Community (EC) (4) took part in the session in a member capacity.
4. Representatives of the following organizations took part in the session in an observer capacity: International Federation of Industrial Property Attorneys (FICPI), Patent Documentation Group (PDG) and Performing Arts Employers Association League Europe (PEARLE) (3).

5. The list of participants appears as Annex I to this report.

Agenda Item 1: Opening of the Session

6. The session was opened by Mr. Neil Wilson, Head, Information Technology Services Division.

Agenda Item 2: Election of the Chair and two Vice-Chairs

7. The SDWG unanimously elected Mr. Hubert Rothe (Germany) as Chair and Mr. Jean-François Lesprit (France) and Mr. Claudio R. Treiguer (Brazil) as Vice-Chairs.
8. Mr. Klaus-Peter Wittig acted as Secretary of the session.

Agenda Item 3: Adoption of the Agenda

9. The SDWG agreed to the inclusion of an additional agenda item proposed by the Delegation of Japan and adopted unanimously the agenda, which appears as Annex II to this report.

Summary of Discussions by the Chair

10. The Chair presented a written Summary of Discussions (document SCIT/SDWG/1/8) reflecting the major topics covered and the conclusions reached by the SDWG. A revised version of the text of that document, reflecting all comments on the Summary agreed upon during the closing session on May 30, 2001, is recorded in paragraphs 11 to 37, below.

Agenda Item 4: Procedure for Approving SDWG Meeting Results

11. The SDWG noted an oral report by the Secretariat concerning arrangements made for approving the results of its first session by use of electronic means. In order to achieve this goal in an effective manner, an E-forum facility has been set up on WIPO's web site. The Secretariat will make the draft report of the meeting available on the site in PDF and MS Word formats by June 20 and invite comments. Comments by the delegations which attended the meeting of the SDWG (one coordinated position per delegation) should arrive through the E-forum before July 10, 2001. Userids and passwords required for accessing the E-forum will be sent to delegates by e-mail.
12. The SDWG requested the Secretariat to make the final report of the first session available in paper format in addition to the posting on WIPO's web site.

Agenda Item 5: Consideration of the SDWG Task List (Document SCIT/SDWG/1/2)

13. The SDWG reviewed the task list as prepared by the Secretariat and contained in Annex I to document SCIT/SDWG/1/2. After a careful examination of each of the tasks assigned to the SDWG, the Working Group agreed to amend the wording of some task descriptions (Task Nos. 8, 10, 13, 18, 26 and 28), as well as of proposed actions and deadlines. When necessary, task leaders were determined and time frames were fixed. Two tasks (Task Nos. 21 and 25) were merged with other activities and one task (Task No. 22) was considered completed.

14. In connection with Task No. 7, the SDWG agreed to the elaboration of a project brief in order to initiate a new task to establish an inventory of electronic data products produced by intellectual property Offices (IPOs) for the purpose of disseminating their IP information. The SDWG welcomed the offer made by the Delegation of Romania to prepare the project brief and assigned the Delegation as task leader of the project. After consultation with IPOs, the project brief will be presented by the task leader to the Secretariat before the end of June 2001.

15. As a result of the discussions, the SDWG agreed on a final version of the task list as given in Annex III to this report and recommended its presentation for approval by the SCIT Plenary.

Modifications to Existing WIPO Standards

16. The Delegation of the United States of America questioned the need to follow project task initiation procedures for modifications to existing WIPO standards. It was pointed out that the need for such revisions and updates to the existing standards was an ongoing effort and should not be slowed down. Especially in the area of the E-PCT standard, there would be a need for a streamlined process. If the SDWG was required to wait for approval and creation of a task by the SCIT Plenary at its annual meetings, many months might pass before any meaningful work could begin on a task. The Delegation acknowledged that the SDWG must follow the procedures set out by the SCIT Plenary.

17. As a means of minimizing such delays, the SDWG at this meeting decided that in addition to creating a task force to develop a written project brief for proposed revisions to WIPO Standard ST.6, the task force should also begin discussions on the merits of such changes and develop them as far as possible prior to the SCIT Plenary in December 2001. The SDWG noted that any revisions to improve the handling of modifications to existing WIPO standards would need to be considered by the SCIT Plenary, not the SDWG.

Agenda Item 6: Request for Revision of WIPO Standard ST.6 (Document SCIT/SDWG/1/3)

18. As proposed in the document referred to above, the SDWG agreed to set up a task force to discuss the revision of WIPO Standard ST.6. The task force was requested to consider in particular:

(a) the total maximum number of digits that should be allowed for the publication number of patent documents;

(b) the implications of having a code for each kind of industrial property right mentioned in this Standard included in the format of the publication numbers;

(c) better guidance for defining publication numbers in view of electronic data processing and use by the public.

19. The task force was also requested to carry out a preliminary study and prepare a written project brief, which would include the following: a clear indication of the needs to be addressed, the objectives of the task and options for solutions. This paper should be submitted to the Secretariat for consideration by the SCIT Plenary at its next meeting, in December 2001, along with a progress report of the work carried out by the task force.

20. The task force was requested to consider in its discussions the impact of the revision of WIPO Standard ST.6 on other WIPO standards, as well as an appropriate delay for the implementation of the revisions agreed upon.

21. The SDWG requested the Secretariat to issue a circular letter inviting industrial property offices to nominate their representatives to the task force.

22. The Delegation of the United States was appointed as leader of this task force.

Agenda Item 7: Revision of WIPO Standards ST.30, 31, 32, 33, 35 and 40 - Status Review and Proposals for Future Activity (Document SCIT/SDWG/1/4)

23. Discussions were based on document SCIT/SDWG/1/4. The document provided details of the pending list of amendments to the standards and the SDWG considered how these should be addressed. Two major areas for consideration were: first, the impact of the current activity being undertaken in relation to the development of the "E-PCT" standard, and second, the view of the delegates that the standards activity should take account of technology trends with specific attention being given to defining standards at the logical level. There should be a move away from the dependency of the standards on media type (e.g., magnetic tape or CD-ROM).

24. The SDWG considered the membership of the task force and concluded that membership should not be expanded to include industry representatives but agreed that this did not preclude consultations as necessary with them.

25. A number of delegations requested the addition of a representative of their office to the list of task force members. An updated task force membership list would be e-mailed to the SCIT Member States with a request for offices to confirm or update the details of their representatives.

26. In conclusion, the International Bureau was nominated as task leader for the electronic data processing standards and it was proposed that the first action to be undertaken by the task force should be a review of the activity required in respect of each of the standards listed and the time scale for action, taking into account the recommendations made in paragraph 23, above. An activity plan detailing the latter would be drafted by end October 2001, for consideration by the SCIT Plenary at its December 2001 meeting.

Agenda Item 8: Proposal by the PDI Task Force on the Minimum Elements for Unique Identification of Patent Documents (Document SCIT/SDWG/1/5)

27. In regard to the conclusions reached by the Patent Document Identification (PDI) task force, which was set up to determine the extent of the problem of uniquely identifying patent documents and the steps to be taken to remedy that problem, the SDWG:

(a) noted the support to the results reached by the PDI task force given by the industrial property offices that responded to Circular SCIT 2524, dated December 22, 2000;

(b) adopted the conclusions reached by the task force, as reproduced in Annex I to document SCIT/SDWG/1/5;

(c) adopted a new WIPO Standard ST.1 concerning the unique identification of patent documents, as given in Annex IV to this report.

28. With respect to the proposal by the PDI task force to revise WIPO Standards ST.6, ST.10/B and ST.33, the SDWG adopted the revision of Standards ST.6 and ST.10/B, as reproduced in Annex V to this report. With regard to Standard ST.33, the SDWG agreed to forward the suggestion for revision of WIPO Standard ST.33, that was contained in the said Annex V, to the task force dealing with WIPO Standards ST.30, ST.31, ST.32, ST.33, ST.35 and ST.40 for its consideration. The SDWG requested the Secretariat to insert a reference to the new WIPO Standard ST.1 in paragraph 5 of Standard ST.10/B. The SDWG considered Task No. 22 completed.

29. Finally, the SDWG requested the Secretariat to include the new WIPO Standard ST.1 in Part 3 of the WIPO Handbook on Industrial Property Information and Documentation CD-ROM and to make it available on the WIPO web site, soon after the report of the first session of the SDWG was adopted.

Agenda Item 9: Status Report on the Development of a Standard for the Electronic Filing and Processing of International Applications

30. The SDWG noted an oral report by the Secretariat on the technical standard and legal framework for the electronic filing and processing of international applications under the PCT. The SDWG noted in particular that:

(a) Consultations under the PCT continue for the purposes of finalizing proposed new Part 7 and Annex F of the PCT Administrative Instructions as soon as possible, with a view to their coming into force in December 2001;

(b) The methodology for the drafting of the standard continues to be based on a broad consultation process involving PCT Member States and other WIPO Member States and user representatives;

(c) A further draft of Part 7 and Annex F is expected to be published in June 2001;

(d) The Document Type Definition (DTD) and data transmission protocol components of the standard will be baselined in the final version of the standard, subject to modification following further consultations and verification by the Secretariat;

(e) There is already broad agreement on the adoption of common standards for electronic data format, electronic signature and electronic packaging; work is continuing towards the adoption of common standards for digital signature (using Public Key Infrastructure) and the protocol for data transmission; and

(f) The Committee on Reform of the PCT had its first session held in Geneva from May 21 to 25, 2001, and adopted a series of objectives for reform of the PCT, including "...the establishment of common technical and software standards for electronic filing and processing of PCT applications".

31. The SDWG agreed that there was no need, for the time being, to take any action within the SCIT with regard to the planned transforming of the "E-PCT" standard into a WIPO standard.

Agenda Item 10: Report by the United States Patent and Trademark Office (USPTO) and the European Patent Office (EPO) on a Possible Change of the URL Provided for in Example 6, paragraph 13 of WIPO Standard ST.14 (Document SCIT/SDWG/1/6)

32. The SDWG considered a proposal presented by the USPTO and contained in document SCIT/SDWG/1/6, which provided a solution in respect of an extended form of the URL referred to in Example 6 of paragraph 13 of WIPO Standard ST.14. The SDWG agreed that a footnote ⁽⁵⁾ be added to the first paragraph following subparagraph 13(iv) of Standard ST.14 with the following wording:

⁽⁵⁾ It should be noted that while an Internet address citation resulting from a search by a search engine may no longer be an active (i.e., usable) Internet address (e.g., Example 6), it may contain information which could be of use in locating the cited document or web page. For example, the home page where the document was found or the contents of the search statement may be located within the Internet address and can provide valuable information especially when considered along with the other information contained in the citation (e.g., title, author, publication date, standard identifier, etc.). Queries to the Webmaster or other staff of the relevant Internet home page may also be helpful.

33. The Secretariat was requested to reflect on the agreed amendments on pages 5 and 7 of Standard ST.14 and to create a hyperlink between the reference to Example 6 in the footnote ⁽⁵⁾ and the said example.

Agenda Item 11: Request for Revision of WIPO Standard ST.10/C

34. The SDWG noted a proposal by the Delegation of Japan for the revision of WIPO Standard ST.10/C. The proposal was made available to participants of the meeting as a white paper.

35. As a result of the discussions on the above-mentioned issue, the SDWG appreciated the offer by the Delegation of Japan to act as task leader and agreed to the elaboration of a project brief to initiate the creation of a task for the revision of Standard ST.10/C. The SDWG requested the Delegation of Japan to have the project brief finalized, in consultation with

IPOs, by the end of June 2001 and to submit it to the Secretariat for consideration by the SCIT Plenary.

Agenda Item 12: Schedule of Activities (Document SCIT/SDWG/1/7)

36. The SDWG noted the tentative calendar of meetings in the year 2002 as proposed in document SCIT/SDWG/1/7 and agreed to the need for convening two sessions (April 22 to 26 (second session) and October 7 to 11 (third session)), with the understanding that the length of each meeting would be determined by the number of agenda items to be considered at that meeting. Sessions of the SDWG could be used for meetings of the task forces if need be.

37. The Delegation of the Republic of Korea made available to the SDWG information on the KIPOnet System.

Agenda Item 13: Closing of the Session

38. At the conclusion of the meeting, the Chair noted that on the occasion of Mr. Wittig's last participation in meetings of the SCIT, the SDWG took note of his extensive knowledge in the field of standards and documentation and expressed its gratitude to him for his many years of outstanding service to WIPO, this Working Group, its predecessors, to the individual delegates and the respective offices. The SDWG wished him a happy and well-deserved retirement.

39. The report was approved by correspondence by the participants to the first session of the SDWG.

[Annexes follow]

ANNEXE I/ANNEX I

I. ÉTATS MEMBRES/MEMBER STATES

(dans l'ordre alphabétique des noms français des États)
(in the alphabetical order of the names in French of the States)

ALLEMAGNE/GERMANY

Hubert ROTHE, Head, Industrial Property Information for the Public, Supply of Literature, German Patent and Trademark Office, Munich

AUSTRALIE/AUSTRALIA

Sarbjit SIDHU (Ms.), Chief Information Officer, IP Australia, Woden

AUTRICHE/AUSTRIA

Elvira GRONAU (Mrs.), Head, Technical Department XI, Austrian Patent Office, Vienna

BELIZE

David GOMEZ, Minister Counsellor, Permanent Mission, Geneva

BOSNIE-HERZÉGOVINE/BOSNIA AND HERZEGOVINA

Dragana ANDELIC (Mrs.), First Secretary, Permanent Mission, Geneva

BRÉSIL/BRAZIL

Claudio R. TREIGUER, Head, Documentation and Technological Information Center (CEDIN), National Institute of Industrial Property (INPI), Rio de Janeiro

CANADA

John ROMBOUTS, Technical Architect, Canadian Intellectual Property Office, Hull

J. Scott VASUDEV, Project Officer, Canadian Intellectual Property Office, Hull

CHILI/CHILE

Oscar ACUÑA, Deputy Director, Intellectual Property Department, Santiago

Sergio ESCUDERO, Ministro Consejero, Misión Permanente ante la OMC, Ginebra

CHINE/CHINA

ZHANG Xiyi, Deputy Director General, Planning and Development Department, State Intellectual Property Office, Beijing

COLOMBIE/COLOMBIA

Luis Gerardo GOZMAN VALENCIA, Ministro Consejero, Misión Permanente, Ginebra

CROATIE/CROATIA

Vesna CERNELC-MARJANOVIC (Ms.), Head, Department for Information Technology and Documentation, State Intellectual Property Office, Zagreb

Darinka VEDRINA (Ms.), Senior Advisor, Department for Information Technology and Documentation, State Intellectual Property Office, Zagreb

EQUATEUR/ECUADOR

Rafael PAREDES, Ministro, Representante Alterno, Misión Permanente, Ginebra

EGYPTE/EGYPT

Ahmed ABDEL-LATIF, Third Secretary, Permanent Mission, Geneva

ESPAGNE/SPAIN

Ignacio MUÑOZ OZORES, Jefe del Servicio de Documentación, Departamento de Patentes e Información Tecnológica, Oficina Española de Patentes y Marcas, Madrid

Ana PAREDES (Sra.), Consejera, Misión Permanente, Ginebra

ÉTATS-UNIS D'AMÉRIQUE/UNITED STATES OF AMERICA

Robert JOHNSON, Deputy Director, Office of Systems Architecture and Engineering, Patent and Trademark Office, Department of Commerce, Washington, D.C.

Edmond RISHHELL, International Exchanges and Standards Specialist, Patent and Trademark Office, Department of Commerce, Washington, D.C.

FÉDÉRATION DE RUSSIE/RUSSIAN FEDERATION

Olga SEROVA (Mrs.), Principal Specialist, Russian Agency for Patents and Trademarks (ROSPATENT), Moscow

FINLANDE/FINLAND

Juha REKOLA, Head, Development Division, National Board of Patents and Registration, Helsinki

FRANCE

Jean-François LESPRIT, chargé de mission, Direction, Institut national de la propriété industrielle (INPI), Paris

HONGRIE/HUNGARY

Miklós BENDZSEL, President, Hungarian Patent Office, Budapest

Ágnes VADÁSZ (Ms.), Information Counsellor, Hungarian Patent Office, Budapest

IRAQ

Ghalib ASKAR, Second Secretary, Permanent Mission, Geneva

IRLANDE/IRELAND

Fergal James BRADY, Patent Examiner, Patents Office, Kilkenny

JAPON/JAPAN

Kazuo HATTORI, Deputy Director, Patent Information Promotion Policy Office, Patent Information Division, General Affairs Department, Patent Office, Tokyo

Hideto TANAKA, Deputy Director, Information Systems Affairs Division, Trademark, Design and Administrative Affairs Department, Patent Office, Tokyo

Takashi YAMASHITA, First Secretary, Permanent Mission, Geneva

KENYA

David N. NJUGUNA, Patent Examiner, Kenya Industrial Property Office, Nairobi

LITUANIE/LITHUANIA

Saulé DAUKUVIENÉ (Mrs.), Adviser for Patent Information of State Patent Bureau, Vilnius

MEXIQUE/MEXICO

Santiago REYNA ORTIZ, Coordinador Departamental de Soporte Técnico, Instituto Mexicano de la Propiedad Industrial, México

Karla Tatiana ORNELAS LOERA (Srta.), Agregada Diplomática, Misión Permanente, Ginebra

NOUVELLE ZÉLANDE/NEW ZEALAND

Peter CARTWRIGHT, IT Systems Design, Intellectual Property Office, Wellington

PANAMA

Alfredo SUESCUM, Embajador, Representante Permanente, Misión Permanente, Ginebra

POLOGNE/POLAND

Anna NAKONCZY-PALUCHOWSKA (Mrs.), Chief Expert, Information Department, Patent Office, Warsaw

PORTUGAL

Maria Luísa ARAÚJO (Mme), chef de département, Institut national de la propriété industrielle (INPI), Lisbonne

Olivia ALVES (Mme), informaticienne, Institut national de la propriété industrielle (INPI), Lisbonne

RÉPUBLIQUE DE CORÉE/REPUBLIC OF KOREA

PARK Jin-Seok, Senior Deputy Director, International Cooperation Division, Korean Industrial Property Office, Taejon

YUN Young Woo, Deputy Director, Information Planning Division, Korean Industrial Property Office, Taejon

JANG Juneho, Deputy Director, Information Planning Division, Korean Industrial Property Office, Taejon

RÉPUBLIQUE DOMINICAINE/DOMINICAN REPUBLIC

Isabel PADILLA (Srta.), Consejero, Misión Permanente, Ginebra

ROUMANIE/ROMANIA

Bogdan BORESCHIEVICI, Director, National Collection, IT Department, State Office for Inventions and Trademarks (OSIM), Bucharest

Adriana ATANASOAIE (Mrs.), Head, IT Division, State Office for Inventions and Trademarks (OSIM), Bucharest

SLOVAQUIE/SLOVAKIA

Milan MÁJEK, Second Secretary, Permanent Mission, Geneva

SUÈDE/SWEDEN

Kerstin BERGSTRÖM (Mrs.), Head, Patent Information Division, Swedish Patent and Registration Office, Stockholm

Leif STOLT, Principal Examiner, Swedish Patent and Registration Office, Stockholm

SUISSE/SWITZERLAND

Matthias GÜNTER, chef, Service publication et communication électronique, Division finances et informatique, Institut fédéral de la propriété intellectuelle, Berne

Roland TSCHUDIN, chef, séminaires, Institut fédéral de la propriété intellectuelle, Berne

UKRAINE

Galina DOBRYNINA (Mrs.), Head, State Registrations Division, State Department of Intellectual Property, Kyiv

Oleksandr USTILOV, Head, System Integration Division, Ukrainian Industrial Property Institute, Kyiv

II. ORGANISATIONS INTERGOUVERNEMENTALES/
INTERGOVERNMENTAL ORGANIZATIONS

ORGANISATION EURASIENNE DES BREVETS (OEAB)/EURASIAN PATENT
ORGANIZATION (EAPO)

Andrei SEKRETOV, Chief Specialist, Information and Search Systems Department, Moscow

OFFICE EUROPÉEN DES BREVETS (OEB)/EUROPEAN PATENT OFFICE (EPO)

Georg PANTOGLOU, Director, Co-operation Programmes and INPADOC, Vienna

Hannes KIESBAUER, Director, Publications, Vienna

Marc KRIER, Director Documentation, Applied Research and Development, Rijswijk

BUREAU BENELUX DES MARQUES (BBM)/BENELUX TRADEMARK OFFICE (BBM)

Dick VERSCHURE, vice-président, La Haye

COMMUNAUTÉ EUROPÉENNE (CE)/EUROPEAN COMMUNITY (EC)

Martina SCHNEIDER (Ms.), Technical Cooperation Division, Office de l'harmonisation dans le marché intérieur (marques, dessins et modèles) (OHMI)/Office for Harmonization in the Internal Market (Trade Marks and Designs) (OHIM), Alicante

Nicolas VIGNERON, Technical Cooperation Division, Office de l'harmonisation dans le marché intérieur (marques, dessins et modèles) (OHMI)/Office for Harmonization in the Internal Market (Trade Marks and Designs) (OHIM), Alicante

III. ORGANISATIONS NON GOUVERNEMENTALES/
NON-GOVERNMENTAL ORGANIZATIONS

Fédération internationale des conseils en propriété industrielle (FICPI)/International Federation of Industrial Property Attorneys (FICPI): Claus Michael MAYR (President, Documentation, Organisation, Communication Commission, Munich)

Groupe de documentation sur les brevets (PDG)/Patent Documentation Group (PDG): Willem G. VIJVERS (Secretary General, Rijswijk)

Performing Arts Employers Association League Europe (PEARLE): Anne-Marie BALET (Mrs.) (Brussels)

IV. BUREAU/OFFICERS

Président/Chair: Hubert ROTHE (Allemagne/Germany)

Vice-présidents/Vice-Chairs: Jean-François LESPRIT (France)
Claudio R. TREIGUER (Brésil/Brazil)

Secrétaire/Secretary: Klaus-Peter WITTIG (OMPI/WIPO)

V. BUREAU INTERNATIONAL DE L'ORGANISATION MONDIALE
DE LA PROPRIÉTÉ INTELLECTUELLE (OMPI)/
INTERNATIONAL BUREAU OF THE
WORLD INTELLECTUAL PROPERTY ORGANIZATION (WIPO)

Division des services informatiques/Information Technology Services Division:
Neil WILSON (chef/Head); Klaus-Peter WITTIG (directeur adjoint du Service des normes et de la documentation/Deputy Director, Standards and Documentation Service); Angel LOPEZ SOLANAS (administrateur principal chargé de l'information en matière de propriété industrielle, Service des normes et de la documentation/Senior Industrial Property Information Officer, Standards and Documentation Service)

Division des projets informatiques/Information Technology Projects Division: Allan ROACH (directeur/Director); Karl KALEJS (chef de projet, Groupe des dépôts électroniques/Project Manager, Electronic Filing Unit); James FULLTON (conseiller principal, BNPI/Senior Counsellor, IPDL)

Division de la logistique et de la promotion des innovations/Division for Infrastructure Services and Innovation Promotion: William GUY (chef de la Section des projets spéciaux relatifs à l'information en matière de propriété industrielle/Head, Industrial Property Information Special Projects Section)

Division du développement juridique du PCT/PCT Legal Development: Philip THOMAS (directeur/Director)

[L'annexe II suit /Annex II follows]

ANNEX II

AGENDA

1. Opening of the session
2. Election of the Chair and two Vice-Chairs
3. Adoption of the agenda
4. Procedure for approving SDWG meeting results
Oral report by the Secretariat
5. Consideration of the SDWG task list
See document SCIT/SDWG/1/2.
6. Request for revision of WIPO Standard ST.6
See document SCIT/SDWG/1/3.
7. Revision of WIPO Standards ST.30, 31, 32, 33, 35 and 40 –
Status review and proposals for future activity
See document SCIT/SDWG/1/4.
8. Proposal by the PDI Task Force on the minimum elements for
unique identification of patent documents
See document SCIT/SDWG/1/5.
9. Status report on the development of a standard for the
electronic filing and processing of international applications
Oral report by the Secretariat
10. Report by the United States Patent and Trademark Office
(USPTO) and the European Patent Office (EPO) on a possible
change of the URL provided for in Example 6, paragraph 13
of WIPO Standard ST.14
See document SCIT/SDWG/1/6.
11. Request for revision of WIPO Standard ST.10/C
12. Schedule of activities
See document SCIT/SDWG/1/7.
13. Closing of the session

[Annex III follows]

ANNEX III

TASK LIST OF
THE STANDARDS AND DOCUMENTATION WORKING GROUP
(SDWG)

Task No. 6* Assist small intellectual property Offices (IPOs) in acquiring optical disks to enhance access to patent information**

I. BACKGROUND AND STATUS OF WORK

- Task was included as a priority task in the SCIT Work Plan by decision of the SCIT Plenary in June 1998 to assist offices in obtaining local access to patent information on optical disk until such time that implementation of WIPONET would provide rapid access to patent information.
- Within the scope of this task GlobalPat¹ was selected as a suitable CD-ROM based collection for use by IPOs.

Action to date:

Under the first stage of the Project, WIPO financed the supply of free copies of GlobalPat to 47 Member States. Following a request from the EPO for WIPO's participation in a continuation of the Project, the SCIT Plenary approved such action in December 1999 (see document SCIT/4/8, paragraph 40). The form of this cooperation is by way of a firm commitment to fund the provision of the GlobalPat product on behalf of Member States, including update of the backfile and frontfile subscriptions. WIPO will be funding on the order of 110 to 120 subscriptions to GlobalPat.

II. RELEVANCE/SCOPE OF TASK

SCIT Member States and the Patent Documentation Group expressed their great interest in the continued availability of GlobalPat until such time that WIPONET constituted a viable alternative for accessing such patent information. The current proposals cater for continued provision until end 2003. A review of further stages of the GlobalPat project will be undertaken in 2003.

¹ The GlobalPat CD-ROM collection is derived from the First Page Database of patents, which contains a single representative member of almost every patent family published by France, Germany, the United Kingdom, Switzerland, the United States Patent and Trademark Office, WIPO (PCT) and the European Patent Office (EPO). This collection contains, in the English language, bibliographic data and abstract, and, where appropriate, the image of a representative drawing.

III. PROPOSED ACTION WITH TIME FRAME

The following timetable applies for the delivery of GlobalPat disks:

- | | |
|---|---------|
| 1. Issue of the backfile update (on CD-ROM) containing data of patent documents published during 1997 to 2000 | Q3/2001 |
| 2. Commencement of front file production | Q3/2001 |
| 3. Reprocessing and production of the full backfile collection on DVD. | Q4/2002 |

IV. TASK LEADER

The Secretariat performs the role of task leader.

Task No. 7 Monitor the changeover to electronic data carriers and update the Statement of Principles and technical guidelines, as necessary

I. BACKGROUND AND STATUS OF WORK

- Task was created by the PCIPI Executive Coordination Committee, the precursor body of the SCIT Plenary, within the framework of project PCIPI/P 994/94 and continued as project SCIT/P 6/99.
- On the basis of the initial task, the Statement of Principles Concerning the Changeover to Electronic Data Carriers for the Exchange of Patent Documents was adopted by PCIPI/EXEC/XVI, in May 1995.
- The Secretariat has arranged reporting by Member States on specifically related subject matter at various meetings of the PCIPI and SCIT, the last time being during SCIT/WG/2 and SCIT/4, in December 1999 (see documents SCIT/WG/2/12, paragraphs 40 to 43 and SCIT/4/8, paragraphs 38 and 39).
- The Technical Guidelines – Optical Disk, which form part of the above-mentioned Statement of Principles, were revised by the SDWG in December 1999 and adopted by the SCIT Plenary at its fourth session (see document SCIT/4/8, paragraph 38).

II. RELEVANCE/SCOPE OF TASK

The Task provides for monitoring the steps taken by IPOs to achieve the goals outlined in the Statement of Principles in respect of both their use of electronic carriers as the medium for exchange of their IP information and also their readiness to receive documents in electronic format.

III. PROPOSED ACTION WITH TIME FRAME

1. The SDWG decided that monitoring the changeover activities taken by IPOs with respect to the usage of electronic data carriers and tools for the exchange of IP information was included as a continuous activity of the SDWG.
2. As decided by the SCIT Plenary, in December 1999, the SDWG was entrusted with the task to update the Statement of Principles (see paragraph 39 of document SCIT/4/8). It was therefore agreed to start a review of the document, with the inclusion of other IP rights, in the second half of 2001 with the aim to present a draft revision of the Statement of Principles for consideration by the SDWG in 2002.

IV. TASK LEADER

The Secretariat performs the role of task leader for Task No. 7.

Task No. 8 Elaborate an International Standard Application Format (ISAF) for patents

I. BACKGROUND AND STATUS OF WORK

- Task was proposed by the US Delegation and approved in February 1999 by SCIT Plenary (see document SCIT/2/8, paragraphs 35 and 36).
- A task force established to prepare a PCT e-filing standard was requested to present a final draft standard to the SCIT Plenary for approval.
- No action has been taken by that task force so far.

II. RELEVANCE/SCOPE OF TASK

According to the initial proposal, the ISAF should be applicable to all papers of the international applications submitted under the PCT, and should replace all pre-printed forms with a published format for submission of all documents. Documents would be suitable for SGML/XML capture (conforming to DTD, use of SGML/XML tags). ISAF would be a paper-based, but pageless, standard format for usage by applicants and IPOs. Basic ISAF benefits envisaged are: Templates have standardized SGML data identifiers with home language data descriptors for easy understanding, ISAF storage is language neutral, display can show data with descriptors in any language, it is a prerequisite for automatic translation.

III. PROPOSED ACTION WITH TIME FRAME

Task depends on the completion of the "E-PCT" Standard (see Task No. 13). Task No. 13 will not include the establishment of ISAF standards per se. Further work is currently expected to commence Q1/2002.

IV. TASK LEADER

The Delegation of the United States of America performs the role of task leader.

Task No. 10 Consider the need for communication standards related to the network-based publication, retrieval and exchange of information resources

I. BACKGROUND AND STATUS OF WORK

- Task was created by the PCIPI Executive Coordination Committee, in May 1998.
- The matter of field name tags used in patent search systems was initially considered within PCIPI Project 978.
- The Secretariat presented a report to the SCIT Working Groups, in November 1998, which outlined possible approaches to provide user-friendly end-user search interfaces with a view to the planned IPDL pilot project activity. Further details are given in document SCIT/WG/1/8 and paragraphs 31 to 33 of SCIT/WG/1/12.

II. RELEVANCE/SCOPE OF TASK

One of the components of the IPDL project is the identification and/or development of data exchange standards to be used between digital libraries implemented by IPOs in WIPO Member States, and the IPDL system implemented by the International Bureau. A goal of the IPDL project is to support a maximum level of integrated access to IP data collections with minimum duplication of data and resources.

III. PROPOSED ACTION WITH TIME FRAME

1. Options outlined in document SCIT/WG/1/8 to provide user-friendly end-user search interfaces and support for cross site searching among databases should be examined within the scope of the IPDL pilot project activity with particular emphasis on the development of Z 39.50 compliant systems. The Secretariat shall take steps to identify or develop, document and enter into the WIPO standards process, communications standards suitable for achieving the integrated information dissemination goals of the IPDL project. The Secretariat is convening a workshop during the second quarter of 2001 comprised of industry experts and Member States representatives to review and identify suitable existing and proposed standards. The resulting documentation will be distributed to the SCIT IPDL Electronic Task Force for review, prior to formal submission into WIPO standards track procedures.

Q2/2001

2. The Secretariat is to provide a report to the SDWG on study results expected to be reached under III/1, above.

Q2/2002

IV. TASK LEADER

The Secretariat performs the role of task leader.

Task No. 11 Develop reference resources useful for IPOs to be made available on the network

I. BACKGROUND AND STATUS OF WORK

- Task was included in the SCIT Work Program by decision of the SCIT Plenary, in June 1998, and assigned to the Secretariat (see Annex IV, page 5 of document SCIT/1/7).
- According to the SCIT Work Program for the 2000-01 biennium, Task No. 11 was classified as an issue to be dealt with within the scope of the IPDL Project.
- The SCIT/5 Plenary, in July 2000, approved the establishment of a SCIT task force to support further development of the IPDL Project, in particular the processes for project planning, implementation, testing and data collections development. Standards documentation that will result from Task No. 10 will be distributed to participants of this group.

II. RELEVANCE/SCOPE OF TASK

The importance of the Task should be evaluated by SCIT Member States.

III. PROPOSED ACTION WITH TIME FRAME

The SCIT IPDL Electronic Task Force was requested to determine the relevance and scope of the task, to reflect the conclusions reached in the task description and to report back to the SCIT Plenary at the next meeting, in December 2001.

IV. TASK LEADER

The Secretariat performs the role of task leader.

Task No. 13* Consider the “E-PCT” Standard for adoption as a WIPO standard for e-filing, processing and storage of patent applications

I. BACKGROUND AND STATUS OF WORK

- Task was proposed by the Secretariat and approved in February 1999 by the SCIT Plenary (see document SCIT/2/8, paragraphs 33 and 34).
- A task force was established and instructed to prepare, on the basis of a draft by the Trilateral Offices, a final draft standard for approval by the SCIT Plenary.
- Following a decision of the PCT Assembly in September 2000, consultations are being carried out to establish a legal framework and technical standards, as part of the PCT Administrative Instructions, for international applications under the PCT.

II. RELEVANCE/SCOPE OF TASK

Task is of priority importance to the SCIT Plenary and has very high relevance for automation efforts in some IPOs.

III. PROPOSED ACTION

Next action by SCIT depends on finalization of the “E-PCT” Standard.
Work on standardization issues is currently targeted to commence in Q1/2002.

IV. TASK LEADER

The Secretariat performs the role of task leader.

Task No. 15 Study the consequences of e-filing on the production of certified office copies with particular reference to those used for priority purposes

I. BACKGROUND AND STATUS OF WORK

- Task was initiated by the Patent Office of the United Kingdom in 1993. Taking into account the interest by IPOs in the resolution of legal and technical issues related to the filing of applications in electronic form, the PCIPI Executive Coordination Committee decided, in June 1993, to create a task and assign it to the Working Group on the Management of IP Information (see documents PCIPI/EXEC/XII/9 and PCIPI/EXEC/XII/10, paragraphs 17 and 18).
- At the PCIPI/MI/XII meeting, in December 1993, the Working Group discussed the issue on the basis of a presentation made by the Delegation of the United States. The presentation focused on the trilateral project to establish procedures for the exchange of certified copies of priority applications (see Project file PCIPI/P 985/93 and paragraphs 22 to 26 of document PCIPI/MI/XII/3). No further consideration of the subject matter took place at any PCIPI or SCIT meetings.

II. RELEVANCE/SCOPE OF TASK

Task No. 15 depends on the standards and associated legal framework of the technical standards for e-filing , processing and storage of patent applications to be developed under Task No. 13.

III. PROPOSED ACTION WITH TIME FRAME

Task No. 15 should be held in abeyance.

Task No. 17* Revise WIPO Standards ST.30, ST.31, ST.32, ST.33, ST.35 and ST.40

I. BACKGROUND AND STATUS OF WORK

- Revision of the above-mentioned Standards was initiated by PCIPI/EXEC, in May and November 1997, and work is undertaken by a task force (see project files PCIPI/P 35/97, PCIPI/P 39/97 and SCIT/P 2/98).
Revisions of Standards ST.32, 33, 35 and 40 catered for the changes needed for Y2K purposes and were completed. Further work remains to be done by the task force to reflect other changes in IP and IT practice

II. RELEVANCE/SCOPE OF TASK

The SCIT Plenary has given high priority to the task.

III. PROPOSED ACTION WITH TIME FRAME

See document SCIT/SDWG/1/4 for details in respect of the above.

Task force to review the work to be undertaken and provide a list of proposed activities in respect of each of the standards and time scale for action. Plan to be provided by end October, 2001.

IV. TASK LEADER

The Secretariat will perform the role of task leader.

Task No. 18* Identify areas for standardization relevant to the exchange of machine-readable data on the basis of projects envisaged by such bodies as the Trilateral Offices, ISO, IEC and other well-known IT standard-setting bodies

I. BACKGROUND AND STATUS OF WORK

- Task was created by the PCIPI Executive Coordination Committee in December 1992 (see paragraphs 13 to 21 of document PCIPI/EXEC/XI/13) as a result of discussions relating to standardization efforts of the Trilateral Offices in view of machine-readable data.
- Status reports were regularly given at meetings of the PCIPI Working Group on the Management of IP Information from 1993 to 1997 and of the SCIT Plenary in February 1999 (see Project file PCIPI/P 983/93, paragraph 24 of document SCIT/2/8 and <http://www.wipo.int/scit/en/other-p/scit-2/us-7.pdf>). The reports focused on development and usage of the MIMOSA software, Trilateral Data Exchange Standards, etc.

II. RELEVANCE/SCOPE OF TASK

Task should serve as a source for the in-time identification of data exchange issues which require harmonization among IPOs.

III. TASK LEADER

The Secretariat performs the role of task leader and will report to the SDWG, once a year, on new developments and possible projects to be undertaken within the SCIT.

Task No. 19 Elaborate a WIPO standard concerning making patent documents available on mixed-mode optical disks

I. BACKGROUND AND STATUS OF WORK

- Standardization of mixed-mode CD-ROMs was initially included in the PCIPI Work Program in 1990 (see paragraph 57 of document PCIPI/EXEC/VII/7).
- The task was assigned to the Working Group on Optical Storage, followed up by the group and finally, due to the mixed-mode CD-ROM developments underway in the Trilateral Offices, held in abeyance (for details please refer to Project PCPI/P 936/90 and document PCIPI/OS/V/2, paragraphs 17 and 18).
- No draft standard has to date been prepared and presented within PCIPI or SCIT. However, MIMOSA is accepted as a *de facto* standard within the IP community.

II. RELEVANCE/SCOPE OF TASK

When drafted in the early 1990s, WIPO Standard ST.40 “Recommendation Concerning Making Facsimile Images of Patent Documents Available on CD-ROM” reflected the current practice of the major offices in respect of dissemination of patent information on CD-ROM. Facsimile images were common place. The use of mixed-mode, although proposed, was in its infancy. Since then the position has changed and the production of mixed-mode CD-ROMs, especially under the MIMOSA platform, is becoming common place. This current practice should therefore be reflected either in a new standard or in an update of WIPO Standard ST.40.

III. PROPOSED ACTION WITH TIME FRAME

The SDWG decided to allocate consideration of this task and the course of action to be taken, to the task force responsible for Task No. 17.

IV. TASK LEADER

The Secretariat will perform the role of task leader.

Task No. 20 Prepare a recommendation on how figurative elements of marks should be captured in electronic form and how they should be displayed on visual display units (VDUs)

I. BACKGROUND AND STATUS OF WORK

- Elaboration of a WIPO recommendation on the above-mentioned subject matter was suggested by the PCIPI Working Group on the Management of IP information and approved by the PCIPI Executive Coordination Committee, in December 1991 (see documents PCIPI/MI/VIII/2 and VIII/3 and paragraphs 29 to 31 of document PCIPI/EXEC/IX/9).
- No action has been taken so far within PCIPI/SCIT.

II. RELEVANCE/SCOPE OF TASK

The proposal to develop a WIPO recommendation concerning the capturing of figurative elements of marks was made in view of the fact that, with the entry into force of the Madrid Protocol and the ensuring internationalization of trademark data exchange, standards are needed to guarantee the exchange of highly standardized data in impeccable quality (see paragraph 43 of document PCIPI/SEM/TM/91/12).

The Secretariat is using a *de-facto* standard for publication quality images, including screen presentation, within WIPO internal IP systems and in cooperation projects for WIPO software implementation in some developing countries.

III. PROPOSED ACTION WITH TIME FRAME

The SDWG decided to have the following work carried out before a decision could be made as to the continuation of Task No. 20:

- | | | |
|-----|--|-------------------|
| (a) | Collect data from IPOs on formats currently in use for figurative elements of marks through sending out a questionnaire to IPOs
Secretariat in cooperation with the United States Patent and Trademark Office (USPTO) and the European Community Office for Harmonization in the Internal Market (OHIM) | July 30, 2001 |
| (b) | Receipt of input data
IPOs | October 30, 2001 |
| (c) | Report to the SDWG with suggestions for further action
Secretariat | December 30, 2001 |

IV. TASK LEADER

The SDWG will determine a task leader subsequent to the completion of work scheduled under Chapter III.

Task No. 21 Monitor work of and participate in relevant Internet and IT standard-setting bodies

I. BACKGROUND AND STATUS OF WORK

- Task was created by the SCIT Plenary, in June 1998, and assigned to the Secretariat (see Annex IV, page 5 of document SCIT/1/7).
- The sixth session of the SCIT Plenary, in January 2001, agreed to have this task subsumed by Task No. 18 (see Annex IV, paragraph 3 of document SCIT/6/7).

Task subsumed by Task No. 18.

Task No. 22* 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

I. BACKGROUND AND STATUS OF WORK

- Task resulted from the creation of supplementary correction codes for patent documents and a proposal by the USPTO (see document SCIT/WG/1/12, paragraph 28).
- Discussions on the subject matter took place at SCIT/WG/2, in December 1999, and subsequent work was carried out through a task force during the year 2000.
- The results reached by the task force were presented to IPOs for consideration and comments in December of last year (see Circular SCIT 2524 dated December 22, 2000).

II. RELEVANCE/SCOPE OF TASK

The SCIT Plenary, at its sixth session, in January 2001, attributed priority status to this task.

* * *

Task considered completed at the first session of SDWG.

Task No. 23 Monitor the inclusion of information about entry into the national (regional) phase of published PCT international applications in the EPIDOS/PRS database

I. BACKGROUND AND STATUS OF WORK

- Task is based on a project by the former PCIPI to make information on the status of PCT international applications searchable for the IP user community. In November 1995, the PCIPI Executive Coordination Committee agreed to the collection of data in order to supplement the existing EPIDOS Patent Register Service (PRS) with information about the entry, and, where available, the non-entry into the national (regional) phase of PCT international applications, and to have these tasks carried out by the EPO (EPIDOS) (see document PCIPI/EXEC/XVII/7, paragraphs 50 to 54).
- Background information is provided in project files PCIPI/P 993/94, PCIPI/P 25.
- The task has had the status of a continuous activity since November 1996.

II. RELEVANCE/SCOPE OF TASK

Task is of an informational nature.

III. PROPOSED ACTION WITH TIME FRAME

1. The SDWG decided to continue monitoring further developments in the searchability of data on PCT applications.
2. The Secretariat is to arrange reporting to meetings of the SDWG at regular intervals (once a year).

IV. TASK LEADER

The Secretariat performs the role of task leader.

Task No. 24 Collect and publish Annual Technical Reports (ATRs) on Patent, Trademark and Industrial Design Information Activities of the SCIT Members (ATR/PI, ATR/TM, ATR/ID)**

I. BACKGROUND AND STATUS OF WORK

- On the basis of decisions by the PCPI and PCIPI/EXEC in 1978, 1990 and 1996, the Secretariat collects information of IPOs on their information activities in the patent, trademark and industrial design areas, on an annual basis, and arranges the posting of the ATRs on WIPO's web site (see paragraphs 45, 18 and 77 of documents PCPI/II/3, PCIPI/EXEC/VII/7 and PCIPI/EXEC/XIX/7, respectively).
- The ATRs for the 1998 and 1999 activities are available at the URL <http://www.wipo.int/eng/general/scit/atrs/index.hti>. In addition, paper collections of ATRs have been published by the Secretariat for some 20 years for patents, 10 years for trademarks and five years for industrial designs.
- In 2001, the Secretariat started a trial to collect information through an electronic report form in order to reduce the workload for IPOs and WIPO in the establishing and processing of the ATRs.

II. RELEVANCE/SCOPE OF TASK

Information contained in the ATRs is available to all IPOs and the public. It is used for various information purposes, among them, for awareness building, training and teaching.

III. PROPOSED ACTION WITH TIME FRAME

No actions are proposed. Task is of a continuous nature.

IV. TASK LEADER

The Secretariat has been entrusted to handle Task No. 24.

Task No. 25 Monitor the development of, and report to the appropriate body on,
WIPO publications on CD-ROM**

I. BACKGROUND AND STATUS OF WORK

- Task No. 25, which is considered a continuous activity of the Secretariat, has been carried forward in the PCIPI and SCIT work plans for many years (see Annex VIII of document PCIPI/EXEC/22/6).
- Monitoring and reporting on WIPO publications on CD-ROM relating to IP information and documentation was done through written reports to the PCIPI Executive Coordination Committee, the last one being presented in May 1998, and oral reports to the SCIT Plenary (see paragraph 41 of document SCIT/2/8).

II. RELEVANCE/SCOPE OF TASK

Through this activity, information is being disseminated on the development or publication of WIPO CD-ROM products containing IP information, such as the WIPO Handbook, IPC:CLASS, IP Statistics and IPLEX CD-ROMs.

* * *

Task was included in Task No. 26.

- Task No. 26 Report on activities of WIPO in respect of
- (a) updating the Handbook on Industrial Property Information and Documentation
 - (b) the collection and publication of Industrial Property Statistics
 - (c) the Journal of Patent Associated Literature (JOPAL)
 - (d) the List of Periodicals Established under PCT Rule 34.1(b)(iii)
 - (e) WIPO publications on electronic media containing IP information**

I. BACKGROUND AND STATUS OF WORK

The Secretariat regularly presented activity reports to the PCIPI Executive Coordination Committee and the SCIT Plenary on tasks assigned to the International Bureau, the last time at SCIT/2 in February 1999 (see paragraph 41 of document SCIT/2/8).

Monitoring and reporting on WIPO publications on electronic media relating to IP information and documentation was done through written reports to the PCIPI Executive Coordination Committee, the last one being presented in May 1998, and oral reports to the SCIT Plenary (see paragraph 41 of document SCIT/2/8)

II. RELEVANCE/SCOPE OF TASK

Activity reporting covered work undertaken by the Secretariat and relating to all of the above-mentioned areas or projects. An example of an activity report is reproduced in document PCIPI/EXEC/22/3. Through activity 26(e), information is being disseminated on the development or publication of WIPO CD-ROM products containing IP information, such as the WIPO Handbook, IPC:CLASS, IP Statistics and IPLEX CD-ROMs.

III. PROPOSED ACTION WITH TIME FRAME

The Secretariat offers to prepare a report on activities listed under (a) to (e), above, for presentation to the second session of the SDWG planned to be held in April 2002.

IV. TASK LEADER

The Secretariat performs the role of task leader.

Task No. 28 Update the Survey of the Grant and Publication of Supplementary Protection Certificates (SPCs) and make it available through WIPO's web site**

I. BACKGROUND AND STATUS OF WORK

- The Survey of the Grant and Publication of SPCs for medicinal products was published in the *WIPO Handbook on Industrial Property Information and Documentation* on the basis of a decision taken by the PCIPI Executive Coordination Committee, in May 1994.
- In December 1999, the SCIT Plenary agreed to have the Survey updated by reflecting information on the protection of phyto-pharmaceutical products.
- Subsequent to that decision, the Secretariat collected information from IPOs and established a revised version of the Survey. Its publication on WIPO's web site, in English, French and Spanish, is envisaged for Q3/2001.

II. RELEVANCE/SCOPE OF TASK

Elaboration and update of the Survey was initiated by the Patent Documentation Group and supported by the PCIPI Executive Coordination Committee and SCIT Plenary.

III. PROPOSED ACTION WITH TIME FRAME

Timetable for termination of work:

- | | |
|---|-----------------|
| 1. Completion of translation into English, French and Spanish | – June 30, 2001 |
| 2. Agreeing Survey contents with IPOs concerned | – Q3/2001 |
| 3. Publication of Survey on WIPO's web site | – Q3/2001 |
| 4. Inclusion of Survey in 2002 issue of WIPO Handbook CD-ROM | – Q1/2002 |

Notes

- * High priority task
- ** Task to be carried out/handled by the Secretariat and to be reported on to the SDWG

[Annex IV follows]

ANNEX IV

STANDARD ST.1

RECOMMENDATION CONCERNING THE MINIMUM DATA ELEMENTS
REQUIRED TO UNIQUELY IDENTIFY A PATENT DOCUMENT

*adopted by the SCIT Standards and Documentation Working Group (SDWG)
at its first session on May 30, 2001*

Introduction

1. This Recommendation defines the minimum data elements required to uniquely identify all types of patent documents whether published in paper or electronic form.

Definitions

2. For the purposes of this Recommendation:

(a) the term “patent documents” includes patents for inventions, plant patents, design patents, inventors’ certificates, utility certificates, utility models, patents of addition, inventors' certificates of addition, utility certificates of addition, and published applications therefor. “Documents” means patent documents, unless otherwise stated;

(b) the terms “publication” and “published” are used in the sense of making available:

(i) a patent document to the public for inspection or supplying a copy on request;

(ii) multiple copies of a patent document produced on, or by, any medium (e.g., paper, film, magnetic tape or disc, optical disc, online database, computer network, etc.).

References

3. References to the following Standards are of relevance to this Recommendation:

WIPO Standard ST.2 Standard Manner for Designating Calendar Dates by
Using the Gregorian Calendar;

WIPO Standard ST.3 Recommended Standard on Two-Letter Codes for the
Representation of States, Other Entities and
Intergovernmental Organizations;

WIPO Standard ST.6	Recommendation for the Numbering of Published Patent Documents;
WIPO Standard ST.9	Recommendation Concerning Bibliographic Data on and Relating to Patents and PCs;
WIPO Standard ST.10/B	Layout of Bibliographic Data Components;
WIPO Standard ST.16	Recommended Standard Code for the Identification of Different Kinds of Patent Documents;
WIPO Standard ST.50	Guidelines for Issuing Corrections, Alterations and Supplements Relating to Patent Information.

Background

4. Historically, it was considered that a patent document could be uniquely identified by the ST.3 country/organization code, the ST.6 publication number and the ST.16 kind-of-patent document code, e.g., US 1234567 A. However, with the growing interest in the availability of corrected documents including their publication on electronic media (CD-ROM, Internet, etc.), this situation no longer necessarily applied. The use of the same combination of ST.3/ST.6/ST.16 codes on both the corrected document and the original version of the published document has occurred. Guidelines on the issue of corrections published in WIPO Standard ST.50 address the problem with the inclusion of specific correction related ST.16 codes and the use of supplementary correction codes. However, there are limitations within the scope of the provisions of WIPO Standards ST.50 and ST.16 as well as their application and use by industrial property offices. It was against this background that the present Recommendation for the unique identification of a patent document was determined.

Recommended minimum set of data elements to provide for the unique identification of a patent document

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

(a) the WIPO Standard 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 WIPO Standard ST.9 INID codes (40) 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.

Recommended publishing practice

6. Recommendations in respect of the publication of the unique identifier on the first page and on each of the following pages of a patent document are included in WIPO Standard ST.10/B.

Publication and storage of corrections

7. The validity of the unique identification of a patent document by the use of the four data elements, as detailed in paragraph 5, above, requires that each time a correction to a patent document is published, the document must appear under a separate date. Therefore, it is extremely important that industrial property offices recognize this requirement and apply this restriction and provide a different publication date (preferably under INID code (48) of WIPO Standard ST.9) for each published corrected patent document.

8. In the case of a corrected patent document that has been published under the same date as the previous document, industrial property offices maintaining this data in their collection should store the paper or electronic copies of both the original document and the corrected document together so that users retrieve both documents when requesting a copy of either one.

[Annex V follows]

ANNEX V

REVISION OF WIPO STANDARDS ST.6, ST.10/B AND ST.33

1. Revision of paragraph 14 of Standard ST.6 adopted by the SCIT Standards and Documentation Working Group (SDWG) at its first session on May 30, 2001.

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 (40) 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.

2. Revision of paragraphs of Standard ST.10/B referred to below adopted by the SDWG at its first session on May 30, 2001.

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 (see Standard ST.1), 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 (40) 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 (40) 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 (40) 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

(97) 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 1994.03.07

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 1994.03.07.

3. With regard to the revision of Standard ST.33, the SDWG agreed to forward the revised text of paragraph 15 and the reference to Appendix II, below, to the task force dealing with Standards ST.30, ST.31, ST.32, ST.33, ST.35 and ST.40 for its consideration:

(a) paragraph 15:

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

- The record prefix contains the unique identification of each patent document, i.e., it contains the four elements as defined in accordance with ST.3, ST.6, ST.16 and ST.10/B (including 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.

[End of Annex V and of document]