

## **Committee on WIPO Standards (CWS)**

**Sixth Session**  
**Geneva, October 15 to 19, 2018**

### **REPORT ON TASK NO. 51 BY THE AUTHORITY FILE TASK FORCE**

*Document prepared by the Authority File Task Force*

#### **BACKGROUND**

1. At its reconvened fourth session held in March 2016, the Committee on WIPO Standards (CWS) created the Authority File Task Force to deal with Task No. 51:

“Prepare a recommendation for an authority file of patent documents issued by a national or regional patent office to enable other patent offices and other interested parties to assess the completeness of their collections of published patent documents”

(see paragraph 122 (e) of document CWS/4BIS/16).

2. The CWS also requested the Authority File Task Force to present a proposal for a new WIPO standard or the revision of existing WIPO Standard(s) for consideration and approval by the CWS at its next session to be held in 2017.

3. The European Patent Office (EPO) was designated as the Task Force Leader and the Task Force prepared and submitted a proposal for a “Recommendation for an authority file of published patent documents” for approval at the fifth session of the CWS.

4. At its fifth session held from May 29 to June 2, 2017, the CWS adopted the new WIPO Standard ST.37 - "Recommendation for an authority file of published patent documents" with the following editorial note by the International Bureau:

"Annexes III and IV to the present Standard, which define XML schema (XSD) and Data Type Definition (DTD), are under preparation by the Authority File Task Force. They are planned to be presented for consideration and adoption by the Committee on WIPO Standards (CWS) at its sixth session in 2018.

Until the said Annexes are adopted by the CWS, the only recommended format for the purpose of this Standard is text."

(See paragraph 61 of document CWS/5/22.)

5. Furthermore, the CWS modified the description of Task No. 51 as follows:

"Prepare and present for consideration at the sixth session of the CWS, to be held in 2018, Annex III "XML schema (XSD)" and Annex IV "Data Type Definition (DTD)" to WIPO Standard ST.37 "Recommendation for an authority file of published patent documents".

6. The CWS also requested the Authority File Task Force to consider how the authority files should be disseminated by intellectual property offices (IPOs) and to present a proposal for consideration at its sixth session.

#### PROGRESS REPORT

7. Following the adoption of the new WIPO Standard ST.37 at the fifth session of the CWS, the Authority File Task Force had a meeting in person in Geneva on June 2, 2017 and conducted three rounds of discussions through the Task Force Wiki. The Task Force also met several times online via WebEx aimed at the preparation of the remaining Annexes III and IV of WIPO Standard ST.37 for facilitation of the exchange of the Authority Files among IPOs. The dissemination of the Authority Files was also addressed during this round of discussions.

8. As part of the discussions on dissemination of the authority files, the International Bureau of WIPO prepared an Authority File Portal mockup in which IPOs' authority files will be made available. It is proposed that IPOs will provide the following information regarding the authority file:

- Authority file or Uniform Resource Location (URL) that includes the file;
- Definition file or URL that includes the file;
- Last update information; and
- Remark which may include "frequency of update and whether the authority file is comprehensive or only contains information of a certain period time".

9. The authority file portal mockup was agreed by the Task Force as a "proof-of-concept", which is reproduced as the Annex of the present document for consideration and approval by the CWS. Once it has been approved at this session of the Committee, the International Bureau will finalize the portal and publish it with inputs of authority files, which IPOs will provide.

10. The Task Force also prepared a proposal for the remaining Annexes, i.e., Annex III – XSD and Annex IV – DTD for consideration and adoption at this session of the Committee (see document CWS/6/19).

## IMPLEMENTATION OF WIPO STANDARD ST.37

11. WIPO Standard ST.37 recommends that the update frequency for the authority file should be at least annual. It also recommends that IPOs should generate and make authority files available which cover all assigned document numbers, no later than two months after the last covered publication date.

12. Referring to the example included in paragraph 41 of WIPO Standard ST.37, it is proposed that IPOs will provide their authority file information to the Secretariat by the end of February every year so that the Secretariat can publish the information in the Authority File Portal. For example, IPOs will be invited to provide their authority file with data coverage until the end of 2018 to the Secretariat before March 1, 2019.

## WORKPLAN

13. The Task Force considers that the following action items should be conducted at the sixth session of the Committee and afterward:

- (a) to gather IPOs' practices, including data format, and plan regarding disseminating their Authority File at its sixth session;
- (b) the Secretariat to issue a circular after the sixth session, inviting IPOs to provide the International Bureau with their Authority File data or URL, where their Authority File is available, as well as their plan on regular update or when they can start the provision of the data, as recommended in WIPO Standard ST.37; and
- (c) the Secretariat to publish the responses to the circular through the Authority File Portal which will be available on the WIPO website, enabling the IPOs to start regularly providing their Authority Files at least once a year and interested parties to collect the Authority File data.

14. *The CWS is invited to:*

*(a) note the content of this document;*

*(b) consider and approve the Authority File Portal mockup, as referred to in paragraphs 8 and 9, above; and*

*(c) encourage its Members to share their IPOs' practices, including data format, and plan regarding disseminating their Authority File at its sixth session; and*

*(d) request the Secretariat to issue a circular, inviting IPOs to provide their Authority File information, as indicated in paragraph 13 (b), above; and*

*(e) request the Secretariat to publish the responses to the circular through the Authority File Portal on the WIPO website, referred to in paragraphs 12 and 13 (c).*

[Annex follows]

## AUTHORITY FILE PORTAL MOCKUP

*[Note: Information in the table below is to show various possible formats and data associated with the authority files to be provided by IPOs. It should be noted that the information has not been provided by the respective IPOs and it should be considered as example for the mock-up.]*

Country	Authority File	Definition File	Last Update	Remark *frequency of update *comprehensive or only a certain period
AU – Australia	XSD	Definition included in XML document		comprehensive
AT – Austria	DTD			
CA – Canada	TXT			
CN – China	<a href="#">Webpage</a>			2010-01-01 to 2016-12-31
DE – Germany	ZIP			
EP – European Patent Office	<a href="#">Webpage</a>	<a href="http://www.epo.org/searching-for-patents/technical/publication-server/authority-file.html">http://www.epo.org/searching-for-patents/technical/publication-server/authority-file.html</a>		
JP – Japan	<a href="#">Webpage</a>			
KR – Korea	<a href="#">Webpage</a>			
US – United States	<a href="#">Webpage</a>			Comprehensive
WO - PCT	<a href="#">Webpage</a>			
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