

Committee on WIPO Standards (CWS)

Sixth Session
Geneva, October 15 to 19, 2018

REVISION OF WIPO STANDARD ST.37

Document prepared by the Authority File Task Force

INTRODUCTION

1. At its fifth session held in Geneva in 2017, the Committee on WIPO Standards (CWS) adopted WIPO Standard ST.37 “Recommendation for an authority file of published patent documents”. Consequently, the CWS agreed on the revised description of Task No. 51: “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)””. (See paragraphs 60, 62 and 63 of document CWS/5/22.)

2. The CWS also approved the following editorial note to be included in the front page of WIPO Standard ST.37:

“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.)

3. As the outcome of its discussions, the Authority File Task Force submitted for consideration and adoption, at the sixth session of the CWS, a final proposal for the revision of WIPO Standard ST.37 which includes the new Annex III (XML Schema) and Annex IV (XML DTD). It should be noted that the Main Body of the Standard, Annex I and Annex II of WIPO Standard ST.37 remains unchanged, except for a proposal for the minor editorial error correction in paragraph 36(b) of the Standard (thus, they are not attached).

4. The proposed Annexes III and IV of WIPO Standard ST.37 are reproduced as Annexes to the present document. It should be noted that if the proposed revision is approved by the CWS, the new version of the entire WIPO Standard ST.37 would be version 1.1, including the unrevised content, i.e., Main Body, Annex I and Annex II of WIPO Standard ST.37.

SUMMARY OF PROPOSED ANNEXES III AND IV

5. The two new Annexes are aimed at the facilitation of the exchange of the Authority Files and corresponding utilization for different purposes by IPOs and Applicants, particularly in a machine-to-machine environment. The newly introduced XSD and XML DTD allow the representation of all data elements recommended by WIPO Standard ST.37, rather than the minimum set (mandatory elements) that were covered by the TXT representation defined in Annex II of WIPO Standard ST.37. In particular, the structured Definition File in XML format will benefit IP information users to collect more precise information more conveniently on the IPO's authority file.

Annex III – XML Schema (XSD)

6. The new XML Schema structure will allow the representation of the minimum and extended data elements required by WIPO Standard ST.37 to represent an Authority File of patent documents issued by a National or Regional Patent Office. The XSD is based on WIPO Standard ST.96, including the naming convention used to identify the names of the new data components. The proposed Annex III includes an Appendix which is a sample XML instance of an Authority File structured according to the XSD.

Annex IV - XML DTD

7. The new XML Document Type Definition (DTD) structure will allow the representation of the minimum and extended data elements required by Standard ST.37 to represent an Authority File of patent documents issued by a National or Regional Patent Office. The DTD is based on WIPO Standard ST.36, including the naming convention used to identify the names of the new data elements. The proposed Annex IV includes an Appendix which is a sample XML instance of an Authority File structured according to the DTD.

FURTHER PROPOSALS

8. A minor editorial mistake is noted in paragraph 36(b) of WIPO Standard ST.37. It is proposed to amend the wording ““Carriage Return” (CRLF character)” to “Carriage Return and Line Feed” (CRLF character)”. The proposed paragraph (b) should read as follows (track changes are added):

“(b) Text format (file extension TXT) – to identify the content of minimum data fields and the optional publication exception code element using a single text coded list, where the elements are separated by commas (preferred), tabs or semicolons and a “Carriage Return and Line Feed” (CRLF character) to represent the end of each record (as defined in Annex II). Text files are smaller in size than XML files.”

9. If the proposed Annex III and IV are adopted, it is suggested to remove “Editorial Note by the International Bureau” mentioned above; and to revise the description of Task No. 51 as follows: “Ensure the necessary revisions and updates of WIPO Standard ST.37.”

10. *The CWS is invited to:*

(a) take note of the content of the present document;

(b) consider and approve the proposed revision of WIPO Standard ST.37 regarding the new Annexes III and IV, as referred to in paragraphs 6 to 7, above, and as reproduced in Annexes I and II to the present document;

(c) consider and approve the proposed correction of WIPO Standard ST.37, as referred to in paragraph 8, above;

(d) consider and approve the removal of "Editorial Note by the International Bureau" as indicated in paragraph 9 above; and

(d) consider and approve the revised description of Task No. 51 "Ensure the necessary revisions and updates of WIPO Standard ST.37" as referred to paragraph 9 above.

[Annexes follow]

ANNEXES

Annex I (ST.37 Annex III): [authorityfile_v1_0_draft.zip](#)
Appendix to ST.37 Annex III: [ST37annex_iii_appendix](#)

Annex II (ST.37 Annex IV): [authorityfile_v1_0_draft.dtd](#)
Appendix to ST.37 Annex IV: [ST37annex_iv_appendix](#)

Annex III: [mapping-table_xsd-dtd](#)

[End of Annexes and of document]