

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

**Seventh Session  
Geneva, July 1 to 5, 2019**

### **REPORT ON TASK NO. 51**

*Document prepared by the Authority File Task Force Leader*

#### **INTRODUCTION**

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). The European Patent Office (EPO) was designated as the Task Force Leader.

2. At its fifth session held in 2017, the CWS adopted WIPO Standard ST.37 - “Recommendation for an authority file of published patent documents” referring the pending Annexes III and IV of the Standard to the following sixth CWS session (See paragraph 61 of document CWS/5/22). Consequently, 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.”

3. At its sixth session held in 2018, the CWS approved a new version of WIPO ST.37, version 1.1 with the adopted new Annexes III and IV, which are based on Standards ST.96 and ST.36 respectively. Consequently, the CWS updated the description of Task No. 51 as follows: “*Ensure the necessary revisions and updates of WIPO Standard ST.37*”. The version 1.1 of Standard ST.37 was published in December 2018 as well as links to the new XSD and DTD files on the WIPO website to allow IP Offices (IPOs) to validate their authority file XML instances.

4. In addition, at its sixth session, the CWS approved the Authority File Portal mockup and encouraged its Members to share their practices, including data format, and plan regarding disseminating their Authority File. The CWS requested the Secretariat to issue a circular inviting IPOs to provide their Authority File information and requested the Secretariat to publish the responses to the circular through the Authority File Portal on the WIPO website. (See paragraphs 117 to 120 of document CWS/6/34.)

#### PROGRESS REPORT

5. During the sixth session of the CWS, the Authority File Task Force had a meeting in person in Geneva on October 18, 2018. The Task Force discussed the mock-up provided for the authority file portal on the WIPO website, how IPOs intend to provide this information and the implementation plans for all participating IPOs. Many IPOs expressed concerns that their authority files would be too large if provided in XML format and so indicated they could only provide this data-set in TXT format. It was agreed that information in regards to the size of the file, coverage and intended update frequency would be useful.

6. Following the decision, the Secretariat formally invited IPOs to provide their Authority File data-sets by issuing Circular C.CWS-111. The final date for providing this data would be the beginning of February 2019.

7. A total of 18 IPOs provided WIPO Standard ST.37 compliant Authority File Data sets to the International Bureau. The majority of these were in TXT format but five IP Offices provided their data-sets as XML instances. Several other IP Offices indicated their intention to provide this information in the future. Furthermore a majority of IP Offices also provided a definition file at this time which outlined the coverage of the authority file and also their roadmap to provide updates to these files in the future.

8. The collection of these files was published on the Authority File Web Portal on the WIPO website in April 2019. The link to the Authority File portal can be found here: [https://www.wipo.int/standards/en/authority\\_file.html](https://www.wipo.int/standards/en/authority_file.html)

9. The International Bureau encourages any IPOs which were not part of the first phase of publication to provide their Authority File data-sets to the International Bureau when they are able or alternatively a roadmap indicating their plan to do so.

10. When several IPOs implemented WIPO Standard ST.37, they identified a few issues in Annexes III and IV of WIPO ST.37. The Authority File Task Force analyzed those issues and prepare a proposal to revise the main body and Annexes III and IV for consideration and approval at this session. Furthermore, the International Bureau conducted an audit of the description of all XML elements in Annex III of WIPO ST.37 and proposes a rewording of the these descriptions to ensure they are of more assistance to the authors of Authority File submissions. (See document CWS/7/17.).

## PCT AUTHORITY FILE

11. The International Bureau has been publishing an authority file for the Patent Cooperation Treaty publications in PATENTSCOPE since April 2018, before the adoption of WIPO ST.37. The file format of their authority file is not compliant with the recommendations of WIPO ST.37.

12. For implementing WIPO ST.37, the International Bureau will produce the authority file in both the ST.37 TXT format in addition to the existing format, until the end of 2019, in order to support the transition of customers to the new ST.37 format. From January 1, 2020, the International Bureau will be producing the authority file of PCT publications only in ST.37 format.

13. *The CWS is invited to:*

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

*(b) encourage its Members to participate in the Authority File project by providing their own authority file data-sets, as indicated in paragraph 9 above; and*

*(c) note the International Bureau's plan of PCT authority file as indicated in paragraph 12 above.*

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