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# Authority File Implementation at the UK IPO

WIPO Standard ST.37

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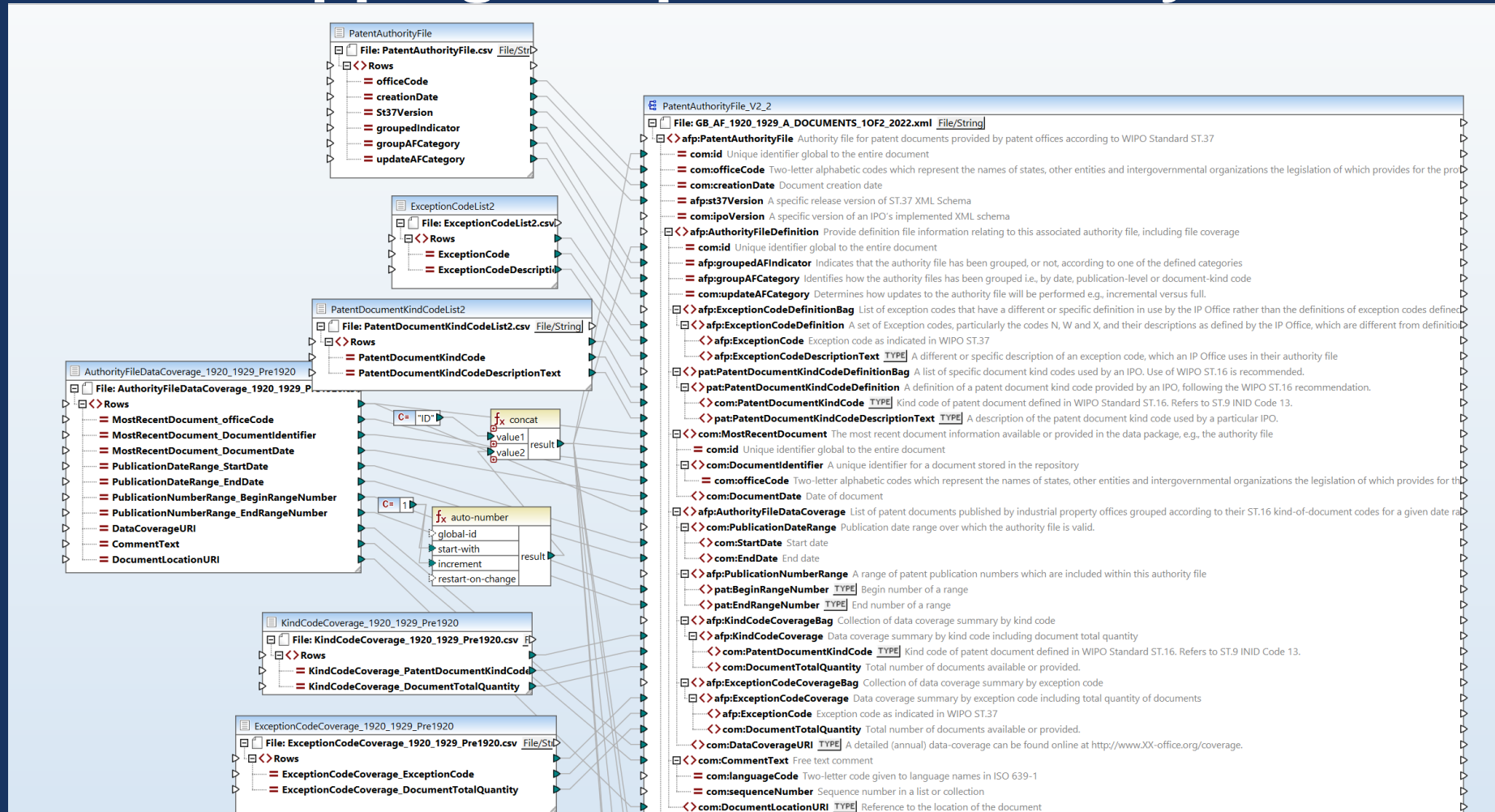
# Implementation of WIPO ST.37 – Authority File

- The UK IPO started to implement Authority File in late 2018
- The challenges were:
  - No available development resources
  - Lack of business understanding of what was required and perhaps more importantly what its purpose was
  - Limited time available to meet the 1<sup>st</sup> March 2019 deadline to publish our first Authority File

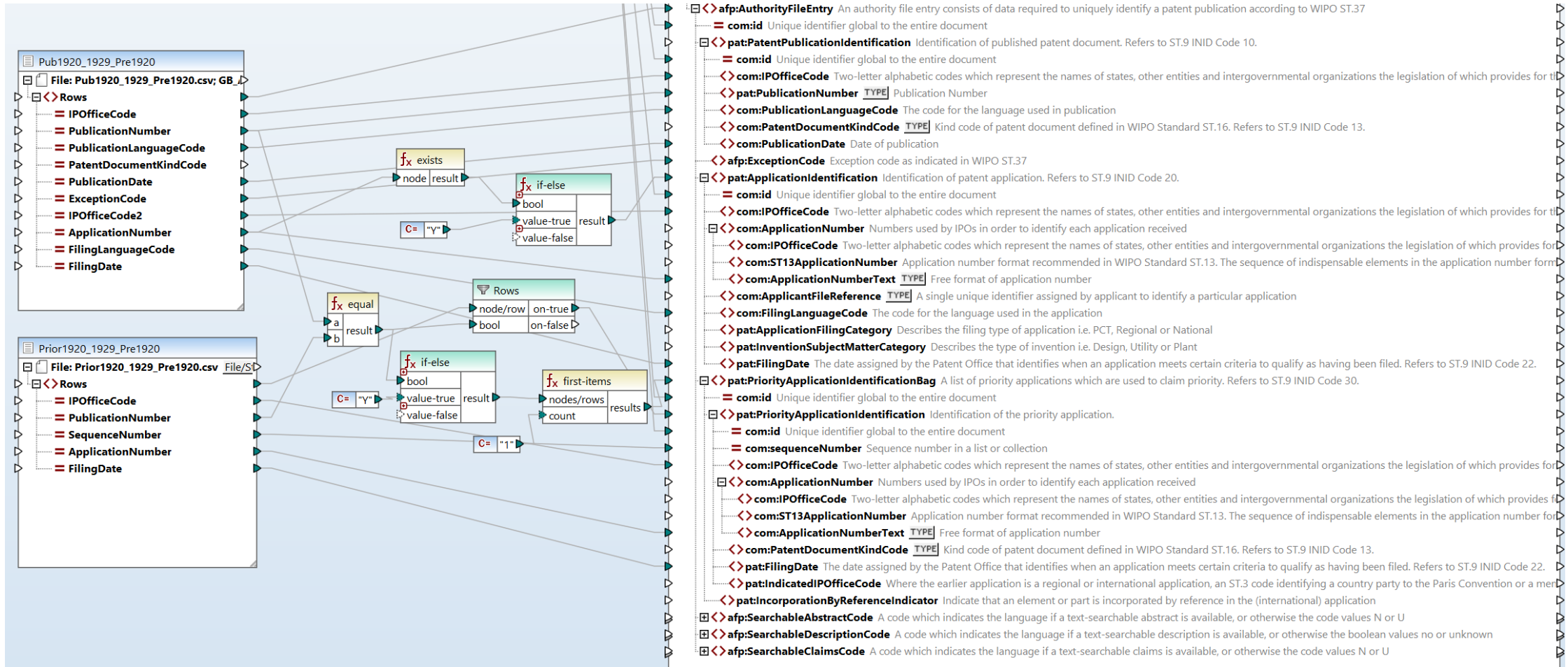
# Approach taken

- Identified Altova Mapforce as a tool capable of producing valid XML from csv extract files
- Identified some assistance in creating the extracts from the Patents database, in the form of an IT Graduate working with our Management Information/Business Information team
- Developed a mapping template for the data extracts to the ST.37 Authority File schema in Mapforce
- Generated a valid XML output file
- Validated the XML file against the ST.37 schema using Altova XMLSpy
- Reviewed the output file with IPO colleagues
- Passed the resulting files to the IB for publication

# MapForce Mapping Template – Authority File Definition



# MapForce Mapping Template – Authority File Entry





# Mapforce Output – Authority File Definition – Part 1

```
PatentAuthorityFile xmlns:tbl="http://www.oasis-open.org/tables/exchange/1.0" xmlns:mathml="http://www.w3.org/1998/Math/MathML3" xmlns:com="http://www.wipo.int/patent/tbl/exchange/1.0" xmlns:pat="http://www.wipo.int/patent/tbl/exchange/1.0" xmlns:afp="http://www.wipo.int/patent/tbl/exchange/1.0"
<afp:AuthorityFileDefinition com:id="ID2" afp:groupedAFIndicator="false" com:updateAFCategory="incremental">
  <afp:ExceptionCodeDefinitionBag>
    <afp:ExceptionCodeDefinition>
      <afp:ExceptionCode>M</afp:ExceptionCode>
      <afp:ExceptionCodeDescriptionText>Missing published documents</afp:ExceptionCodeDescriptionText>
    </afp:ExceptionCodeDefinition>
    <afp:ExceptionCodeDefinition>
      <afp:ExceptionCode>N</afp:ExceptionCode>
      <afp:ExceptionCodeDescriptionText>Publication Number not assigned</afp:ExceptionCodeDescriptionText>
    </afp:ExceptionCodeDefinition>
  </afp:ExceptionCodeDefinitionBag>
  <pat:PatentDocumentKindCodeDefinitionBag>
    <pat:PatentDocumentKindCodeDefinition>
      <com:PatentDocumentKindCode>A</com:PatentDocumentKindCode>
      <pat:PatentDocumentKindCodeDescriptionText>First publication level</pat:PatentDocumentKindCodeDescriptionText>
    </pat:PatentDocumentKindCodeDefinition>
    <pat:PatentDocumentKindCodeDefinition>
      <com:PatentDocumentKindCode>A8</com:PatentDocumentKindCode>
      <pat:PatentDocumentKindCodeDescriptionText>A correction relating to bibliographic data</pat:PatentDocumentKindCodeDescriptionText>
    </pat:PatentDocumentKindCodeDefinition>
    <pat:PatentDocumentKindCodeDefinition>
      <com:PatentDocumentKindCode>A9</com:PatentDocumentKindCode>
      <pat:PatentDocumentKindCodeDescriptionText>A correction relating to any part of the patent document</pat:PatentDocumentKindCodeDescriptionText>
    </pat:PatentDocumentKindCodeDefinition>
    <pat:PatentDocumentKindCodeDefinition>
      <com:PatentDocumentKindCode>B</com:PatentDocumentKindCode>
      <pat:PatentDocumentKindCodeDescriptionText>Second publication level (Grant)</pat:PatentDocumentKindCodeDescriptionText>
    </pat:PatentDocumentKindCodeDefinition>
    <pat:PatentDocumentKindCodeDefinition>
      <com:PatentDocumentKindCode>B8</com:PatentDocumentKindCode>
      <pat:PatentDocumentKindCodeDescriptionText>text</pat:PatentDocumentKindCodeDescriptionText>
    </pat:PatentDocumentKindCodeDefinition>
    <pat:PatentDocumentKindCodeDefinition>
      <com:PatentDocumentKindCode>C</com:PatentDocumentKindCode>
      <pat:PatentDocumentKindCodeDescriptionText>text</pat:PatentDocumentKindCodeDescriptionText>
    </pat:PatentDocumentKindCodeDefinition>
  </pat:PatentDocumentKindCodeDefinitionBag>
</afp:AuthorityFileDefinition>
```

# Mapforce Output – Authority File Definition – Part 2

```

) <com:MostRecentDocument com:id="ID3">
  <com:DocumentIdentifier com:officeCode="GB">191517964</com:DocumentIdentifier>
  <com:DocumentDate>1920-09-09</com:DocumentDate>
- </com:MostRecentDocument>
) <afp:AuthorityFileDataCoverage>
) <com:PublicationDateRange>
  <com:StartDate>1920-01-08</com:StartDate>
  <com:EndDate>1921-07-18</com:EndDate>
- </com:PublicationDateRange>
) <afp:PublicationNumberRange>
  <pat:BeginRangeNumber>191212918</pat:BeginRangeNumber>
  <pat:EndRangeNumber>191517964</pat:EndRangeNumber>
- </afp:PublicationNumberRange>
) <afp:KindCodeCoverageBag>
) <afp:KindCodeCoverage>
  <com:PatentDocumentKindCode>A</com:PatentDocumentKindCode>
  <com:DocumentTotalQuantity>67</com:DocumentTotalQuantity>
- </afp:KindCodeCoverage>
) <afp:KindCodeCoverage>
  <com:PatentDocumentKindCode>A8</com:PatentDocumentKindCode>
  <com:DocumentTotalQuantity>0</com:DocumentTotalQuantity>
- </afp:KindCodeCoverage>
) <afp:KindCodeCoverage>
  <com:PatentDocumentKindCode>A9</com:PatentDocumentKindCode>
  <com:DocumentTotalQuantity>0</com:DocumentTotalQuantity>
- </afp:KindCodeCoverage>
) <afp:KindCodeCoverage>
  <com:PatentDocumentKindCode>B</com:PatentDocumentKindCode>
  <com:DocumentTotalQuantity>0</com:DocumentTotalQuantity>
- </afp:KindCodeCoverage>
- </afp:KindCodeCoverageBag>
) <afp:ExceptionCodeCoverageBag>
) <afp:ExceptionCodeCoverage>
  <afp:ExceptionCode>N</afp:ExceptionCode>
  <com:DocumentTotalQuantity>0</com:DocumentTotalQuantity>
- </afp:ExceptionCodeCoverage>
) <afp:ExceptionCodeCoverage>
  <afp:ExceptionCode>M</afp:ExceptionCode>
  <com:DocumentTotalQuantity>0</com:DocumentTotalQuantity>
- </afp:ExceptionCodeCoverage>
- </afp:ExceptionCodeCoverageBag>
- </afp:AuthorityFileDataCoverage>
  <com:CommentText>This file contains patent documents with the numner range CCYY#### and is therefore provided separately to the UK Old Act range which started in 1916
- </fp:AuthorityFileDefinition>

```

# Mapforce Output – Authority File Entry – No Priority Claim

```
<:afp:AuthorityFileEntry com:id="ID87">
  <pat:PatentPublicationIdentification com:id="ID88">
    <com:IPOfficeCode>GB</com:IPOfficeCode>
    <pat:PublicationNumber>191410865</pat:PublicationNumber>
    <com:PublicationLanguageCode>en</com:PublicationLanguageCode>
    <com:PublicationDate>1920-09-02</com:PublicationDate>
  </pat:PatentPublicationIdentification>
  <pat:ApplicationIdentification com:id="ID89">
    <com:IPOfficeCode>GB</com:IPOfficeCode>
    <com:ApplicationNumber>
      <com:ApplicationNumberText>191410865D</com:ApplicationNumberText>
    </com:ApplicationNumber>
    <com:FilingLanguageCode>en</com:FilingLanguageCode>
    <pat:FilingDate>1914-05-02</pat:FilingDate>
  </pat:ApplicationIdentification>
</:afp:AuthorityFileEntry>
```



# Mapforce Output – Authority File Entry – With Priority Claim

```
⊖:afp:AuthorityFileEntry com:id="ID90">
⊖  <pat:PatentPublicationIdentification com:id="ID91">
    <com:IPOfficeCode>GB</com:IPOfficeCode>
    <pat:PublicationNumber>191411089</pat:PublicationNumber>
    <com:PublicationLanguageCode>en</com:PublicationLanguageCode>
    <com:PublicationDate>1920-09-02</com:PublicationDate>
  </pat:PatentPublicationIdentification>
⊖  <pat:ApplicationIdentification com:id="ID92">
    <com:IPOfficeCode>GB</com:IPOfficeCode>
    <com:ApplicationNumber>
      <com:ApplicationNumberText>191411089D</com:ApplicationNumberText>
    </com:ApplicationNumber>
    <com:FilingLanguageCode>en</com:FilingLanguageCode>
    <pat:FilingDate>1914-05-05</pat:FilingDate>
  </pat:ApplicationIdentification>
⊖  <pat:PriorityApplicationIdentificationBag com:id="ID93">
⊖    <pat:PriorityApplicationIdentification com:id="ID94" com:sequenceNumber="1">
        <com:IPOfficeCode>GB</com:IPOfficeCode>
        <com:ApplicationNumber>
          <com:ApplicationNumberText>191307840T</com:ApplicationNumberText>
        </com:ApplicationNumber>
        <pat:FilingDate>1913-04-03</pat:FilingDate>
      </pat:PriorityApplicationIdentification>
    </pat:PriorityApplicationIdentificationBag>
  </afp:AuthorityFileEntry>
```

# Next Steps in 2020

- To generate back-file Authority Files for UK patents from 1920-2019
- Pass these files to the IB for publication
- Pass these files to the EPO to carry out a Gap Analysis
- Review the EPO's Gap Analysis Report
- Respond to the issues raised by the report

# Gap Analysis Issues Raised by the EPO/ UK Responses

- Tab 1 – “DOCDB Missing Biblio”
  - Approximately 4,000 documents identified as missing from the EPO’s DocDB
  - Investigations showed that many of these “missing documents” were publication numbers for documents which by the UK IPO never issued often because a patent was pulled late from the publication cycle
  - 113 patent documents were identified as missing
    - 95 of these documents were found and provided to the EPO
    - 18 documents were not found and will be identified as missing, with exception code “M”, in future versions of the UK’s Authority File
- Tab 2 – “GB2BVerified”
  - 1,814 patents identified as having an incorrect publication date versus the date shown on the ‘A’ Publication document
  - These documents, from the late 1970s/early 1980s, entering the UK National Phase were checked and the date held in the UK IPO’s back office system was found to be the IB’s publication date for PCT filings instead of the date of publication by the UK IPO.
  - The dates have been amended and will be correctly documented in the next published version of the UK Authority File

# Gap Analysis Issues Raised/Responses

- Tab 3 – “AF No Kind Code”
  - Approx. 27,000 documents with no kind code or publication date
  - Approx. 24,000 of these documents were shown to be unused GB Old Act (pre 1978) publication numbers which had not been identified via an exception code
  - The remaining 3,000 of these documents were shown to be GB New (post 1977) publication numbers which had been identified as unused numbers via an exception code of “N”
- Tab 4 – “DocDB Date to Correct”
  - 418 GB New Act documents where the wrong date (from INID code 43 rather than INID code 45) had been entered into the EPO’s DocDB system – these will be/have been corrected by the EPO.

## Next Steps – 2022

- Rerun the extract files for GB Old Act data from 1920-current
- Rerun the extract files for GB New Act from 1978-current (2020-2022 files will be rerun in February 2023)
- Review the extract files and investigate any anomalies found
- Determine if it is possible to provide exception codes for missing UK Old Act publication numbers
- Review the information required as part of the Authority Definition File section
- Determine how to complete the Authority Definition File Section
- Rerun the Authority Files following the corrections made after the review of the EPO's Gap Analysis report utilising the revised extract files

# PCT Min Doc Implications

- Understand the changes made to the Authority File Schema, including requests made by the PCT Minimum Documentation task force to expand the content of the Authority File for Offices whose patent documents form part of the PCT Minimum Document set
- Although the UK IPO is not an International Search Authority, historically it's patent documents have been part of the PCT Minimum Documentation set and the UK IPO would like to ensure this continues
- The impact of this means that the UK IPO must comply with changes required by the PCT Minimum Documentation set to indicate the availability, where known, of electronic searchable instances of the patent specification documents listed in the Authority File

# Any Questions

