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**Committee on WIPO Standards (CWS)**

**Seventh Session**

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

Revision of WIPO Standard ST.37

*Document prepared by the International Bureau*

## INTRODUCTION

At the fifth session held in 2017, the Committee on WIPO Standards (CWS) adopted a 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 paragraphs 60 and 61 of document CWS/5/22).

At its sixth session held in 2018, the CWS approved the revised WIPO Standard ST.37 on the basis of the proposal by the Authority File Task Force (AFTF), which included new Annex III – XSD and Annex IV- DTD (see document CWS/6/19 and paragraphs 122 and 123 of document CWS/6/34). As a result of the CWS approving these revisions, and newly proposed Annexes, at the sixth session, the description of Task No. 51 was updated to relate directly to the management of the Standard (see document CWS/6/18).

At the sixth session in 2018, the CWS also approved the removal of “Editorial Note by the International Bureau” and the revised description of Task No. 51: “*Ensure the necessary revisions and updates of WIPO Standard ST.37*”.

## SUMMARY OF PROPOSED REVISION

Within the framework of Task No. 51, the International Bureau, in consultation with the Authority File Task Force members, has prepared a proposal for revision of WIPO Standard ST.37. The proposed changes are summarized below. Further details are provided in the Annex to the present document.

The proposed changes to WIPO ST.37 can be summarized as:

1. an edit of paragraph 9(c) of the Main Body of ST.37, to remove reference to the document kind code in reference to the application identification element. This is to clarify that the kind code for this element is indeed optional. The newly modified paragraph 9(c) of WIPO ST.37 would then read:

9(c) application identification of the corresponding publication, which should contain the following sub-elements:

v. two-letter alphabetic code of the IPO publishing the application;

vi. application number;

~~vii. kind-of-document-code;~~ and

vii~~i~~. filing date.

1. a complete revision of all documentation included within the Annex III – XSD. Feedback from the IP Offices received during the first phase of publication of authority file data-sets was that further description was required to provide an understanding of the purpose of these fields. The newly proposed Annex III of WIPO ST.37 is reproduced as the Annex to this document;
2. an edit of the Appendix of Annexes III and IV of WIPO ST.37 to provide further clarification on how grouping is performed within the Authority File instance. The current examples, for both the XSD and DTD, indicate that there is no grouping but also indicates in the same header that grouping is according to the document kind code. It is proposed that reference to <group-category> field is removed from both Appendices;
3. the renaming of the PriorityClaimType and PriorityClaimBagType provided in Annex III-XSD to PriorityApplicationIdentificationType and PriorityApplicationIdenficationBagType respectively. This is to ensure there is no confusion over use of this element and to ensure alignment with the WIPO Standard ST.37 Main Body paragraph 9(b) (see the Annex to this present document); and
4. a replacement of the reference to AdditionalComment element within the current schema (Annex III) with com:CommentText, an WIPO Standard ST.96 element. All XML schemas should reuse any relevant ST.96 components in preference to creating a new element (see the Annex to the present document).

The International Bureau further proposes that the content of Appendixes to Annex III and Annex IV of ST.37, which are example XML instances, be provided as two separate files downloadable from WIPO website, i.e., Part 3 of the WIPO Handbook and linked to within WIPO ST.37. This will not only ensure that the Standard is much shorter in length but also will allow users of the Standard a greater ability to make use of these examples.

*The CWS is invited to:*

1. *note the content of the present document;*
2. *consider and approve the proposed revision to WIPO Standard ST.37 summarized in paragraphs 4 and 5 above and reproduced in the Annex to the present document.*
3. *consider and approve the suggestion to provide the content of Appendixes to Annexes III and IV of WIPO Standard ST.37 as two separate files, linked to the Standard, as indicated in paragraph 6 above.*

[Annex follows]