

## ANNEX V

## RENEWAL OF THE CONTENTS OF THE WIPO HANDBOOK

*Proposal adopted by the SCIT Standards and Documentation Working Group  
at its fifth session on November 11, 2004*

This Annex contains:

- a description of the content of each section of the *WIPO Handbook on Industrial Property Information and Documentation* along with a proposal for updating, removing or moving sections, where appropriate: Proposed Structure and Contents of the WIPO Handbook; and
- a proposal for paragraph numbering, the naming of attachments, and the grouping of standards: WIPO Standards – Part 3.

## PROPOSED STRUCTURE AND CONTENTS OF THE WIPO HANDBOOK

The table below summarizes the proposed structure and contents.

Part Title	Content
Part 1 – Introduction	Foreword, explanatory notes, new layout and content, procedures for updating, etc.
Part 2 – International Cooperation	SCIT, cooperation with other international bodies, WIPO Conventions, WIPO Members States, WIPO Committees, etc.
Part 3 – WIPO Standards	Active standards only
Part 4 – PCT Minimum Documentation	PCT Minimum Documentation information as submitted by the WIPO Office of Legal and Organization Affairs and PCT System
Part 5 – International Classifications	International classifications information as submitted by the WIPO Office of Legal and Organization Affairs and PCT and the Sector of Trademarks, Industrial Designs, Geographical Indications

New Part – Access to Industrial Property Information and Documentation	Industrial property information needs, training, user survey standards, website content requirements, Internet search requirements, etc.
New Part – Examples and IPO Practices	<ul style="list-style-type: none"> <li>– Representation of calendar dates (WIPO Standard ST.2, Appendix)</li> <li>– Terms of protection (WIPO Standard ST.9, Appendix 3)</li> <li>– Annual and non-annual series of application numbers (WIPO Standard ST.10/C, Appendix)</li> <li>– Physical characteristics of patent documents (WIPO Standard ST.10/D, Appendix)</li> <li>– Survey of bibliographic information contained in patent gazettes (WIPO Standard ST.11, Appendix)</li> <li>– Examples of patent documents (WIPO Standard ST.16, Appendices)</li> <li>– Patent gazette indexes in paper format (WIPO Standard ST.19)</li> <li>– Priority documents exchange (WIPO Standard ST.21, Appendix 3)</li> <li>– Public access resources to industrial property databases</li> <li>– Kinds of patent documents (Section 7.1)</li> <li>– Filing procedures and filing requirements (Section 7.4)</li> <li>– Numbering systems (Section 7.5, other than annual and non-annual series of application numbers)</li> <li>– Medicinal and phytopharmaceutical products (Section 7.2)</li> <li>– Samples of trademark gazettes (Section 7.3)</li> </ul>
New Part – Archives	<ul style="list-style-type: none"> <li>– WIPO Standard ST.2, Appendix</li> <li>– WIPO Standard ST.9, Appendix 3</li> <li>– WIPO Standard ST.10/D, Appendix</li> <li>– WIPO Standard ST.14, Appendices 1 and 2</li> <li>– WIPO Standard ST.16, Appendices 1 and 2</li> <li>– WIPO Standard ST.19, Appendix</li> <li>– WIPO Standard ST.20, Annexes</li> <li>– WIPO Standard ST.50, Appendices 1 to 5</li> <li>– Inactive standards</li> <li>– Sections 8.1, 8.3, 8.4</li> <li>– Part 6</li> <li>– Part 9</li> </ul>

Part 9 – Terms and Abbreviations Concerning Industrial Property Information and Documentation	Glossary
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Explanatory notes:

1. A “survey” shall mean a collection of data gathered from IPOs. The method used to survey shall be done electronically whenever possible. The frequency and timing of surveys shall be determined by the Secretariat as part of its mandate under the Standards and Documentation Working Group (SDWG) Task No. 26. Surveys shall be filed under the new Part of the WIPO Handbook called “Examples and IPO Practices”.

2. The proposed Part named “Archives” has been created to collect: (1) inactive records, (2) original Appendices/Annexes containing outdated surveys, and (3) other records or Appendices/Annexes of historical interest to users of the WIPO Handbook.

#### Part 1: Introduction

Content: A foreword and an introductory note.

Proposal: 1. This section will be adapted to reflect the final contents of the WIPO Handbook.

2. Part 1 should include:

(a) a description of how the content of the WIPO Handbook has been restructured and the information enriched with the use of metadata;

(b) instructions on where information can be viewed, searched and retrieved;

(c) a description of procedures for amending/updating the content.

(d) a guide for drafting and updating Standards, including the use of definitions, paragraph numbering, naming of attachments, and grouping.

#### Part 2: International Cooperation: Standing Committee on Information Technologies (SCIT)

Content: Special rules of procedure and structure of the Standing Committee on Information Technologies.

Proposal: 1. Rename this section with a more general title such as “Part 2: International Cooperation”.

2. Part 2 should include the following:

- (a) Standing Committee on Information Technologies (SCIT).  
Keep the current information and update as required;
- (b) Cooperation with other international bodies. In this sub-section, include general descriptions of the relationship between WIPO and ISO, ITU, UPOV, etc.;
- (c) WIPO Convention, WIPO members and WIPO committees, including the IPC Committee of Experts. Much of this information is already contained on the WIPO Internet site at <http://www.wipo.int/about-wipo/en/members/index.html>. Add a reference to this site and any other relevant information.

Part 3: WIPO Standards, Recommendations and Guidelines Concerning Industrial Property Information and Documentation

Content: WIPO Standards, Recommendations and Guidelines.

- Proposal:
1. Add a matrix for WIPO Standards where, for example, the rows and columns list all the standards, and an “x” indicates which standards are referenced in other standards.
  2. Add a table of contents containing a list of WIPO Standards, with the corresponding “date” next to each WIPO Standard, and whether a standard is either no longer in force or part of another standard.
  3. In the body of standards, there are several examples and/or annexes that are subject to periodic reviews and updates. In order to facilitate reviews and updates, the following tasks are proposed:
    - (a) Where applicable, clearly separate standard text from standard examples/surveys (usually in the form of Appendices or Annexes);
    - (b) Examples and surveys that are (or become) no longer applicable or relevant or that are to be replaced by a future survey on the same matter, shall be moved into the new Part of the WIPO Handbook called “Archives”;
    - (c) Examples and surveys that are still applicable and need frequent updates shall also be moved from the standards into the new Part of the WIPO Handbook called “Examples and IPO Practices”. A proper mechanism shall be put in place to facilitate updating of these examples and surveys with consideration for the following features: e-mail user alerts to communicate changes, version control and track changes.
  4. Review standards to determine current applicability, need for updates or transfer into “Archives”.
  5. Below is a list and brief description of the standards, examples and surveys contained in Part 3 and a list of proposed changes based on the above:

(a) WIPO Standard ST.2, Appendix

Variations in the representation of calendar dates based on the Gregorian calendar, as printed in industrial property documents or in official gazettes.

Proposal:

1. Move the Appendix from the Standard to the “Archives”.
2. Survey IPOs on calendar dates and place survey results in “Examples and IPO Practices”.
3. In the Standard, add a link to the original Appendix and a link to the new survey.

(b) WIPO Standard ST.9, Appendix 3

Principal provision of industrial property legislation concerning “term of protection and date from which industrial property rights may have “effect””.

Proposal:

1. Move Appendix 3 from the Standard to the “Archives”.
2. Survey IPOs on terms of protection and place survey results in “Examples and IPO Practices”.
3. In the Standard, add a link to the original Appendix 3 and a link to the new survey.

(c) WIPO Standard ST.10/B, paragraphs 9 and 10

Examples of where document numbers are placed by different offices on patent documents.

Proposal:

1. Update examples of paragraphs 9, 10 17 and 18 in the Standard.

(d) WIPO Standard ST.10/C, Appendix

Table I – Countries or organizations having annual series of application numbers.

Table II – Countries or organization having other than annual numbering systems.

Proposal:

1. Move the Appendix from the Standard to “Examples and IPO Practices”.
2. For future updates, survey IPOs on presentation of annual and non-annual series of application numbers and place survey results in “Examples and IPO Practices”.
3. In the Standard, add a link to the Appendix.

(e) WIPO Standard ST.10/D, Appendix

Compilation of data on physical characteristics of patent documents.

Proposal:

1. Conduct a WIPO survey among IPOs on physical characteristics of patent documents.
2. Once the survey is completed, move the Appendix from the Standard to the “Archives”.
3. Add a link in the Standard to the original Appendix and the new survey information.

(f) WIPO Standard ST.11, Appendix

Survey of bibliographic information contained in patent gazettes and in current indexes inserted in patent gazettes or published separately in association with patent gazettes.

Proposal:

1. Conduct a survey among IPOs to update the content of the Appendix, as it is a valuable reference for translation and more survey results to “Examples and IPO Practices”.
2. In the Standard, add a link to the updated Appendix.

(g) WIPO Standard ST.14

Appendix 1 –PCT Minimum Documentation –List of periodicals.

Periodicals to be used for search and examination.

Appendix 2 – alphabetical index of periodicals.

Proposal:

1. Move Appendices 1 and 2 from the Standard. To avoid confusion, copies will not be provided in the “Archives”, since they are already provided in Part 4 “Minimum Documentation under Rule 34.1(b)(iii) of the Regulations under the Patent Cooperation Treaty (PCT)”.
2. In the “Archives”, provide a link to Part 4 indicating that the former Appendices 1 and 2 of WIPO Standard ST.14 contained the same lists of PCT Minimum Documentation periodicals as provided in Part 4 of the WIPO Handbook.
3. In the Standard, add a link to Part 4 “Minimum Documentation under Rule 34.1(b)(iii) of the Regulations under the Patent Cooperation Treaty (PCT).”

(h) WIPO Standard ST.16

Appendix 1 – List of examples of patent documents, previously and currently published, or intended to be published, divided according to code.

Appendix 2 – Inventory of kinds of patent documents, previously and currently published, or intended to be published.

Note: National offices, that update information in ST.16, would be prompted to review and update their contributions to Section 7.1 “Kinds of patent documents – Index”.

Proposal:

1. Move Appendices 1 and 2 from WIPO Standard ST.16 into “Archives”.
2. Survey IPOs on the inventory of kinds of patent documents, previously and currently published, or intended to be published and place survey results in “Examples and IPO Practices”.
3. In the Standard, add a link to the original Appendices 1 and 2 and to the new survey information.

(i) WIPO Standard ST.17

Recommendation for the coding of headings of announcements made in official gazettes.

Proposal:

1. Conduct a WIPO survey among IPOs to determine specific use of the Standard.
2. Expand the Standard to include standards for legal status databases as well as e-mail alerting services.

(j) WIPO Standard ST.18

Recommendation concerning patent gazettes and other patent announcements journals.

Proposal:

1. Expand the Standard to include patent office websites (which are now used by some patent offices to publish gazettes)
2. Initiate discussion on long term role of paper gazettes versus web announcements services.

(k) WIPO Standard ST.19, Appendix

Survey of cumulative indexes published or in association with patent gazettes.

Proposal:

1. Conduct a WIPO survey among IPOs concerning patent gazette indexes in paper format.
2. After completing the survey and placing results in “Examples and IPO Practices”, move the Appendix from the Standards into the “Archives”.
3. In the Standard, add a link to the original Appendix and to the new survey information.

(l) WIPO Standard ST.20

List of legal entities particularly active in the industrial property field and Name Index to Patent Documents (Model Preface).

Proposal:

1. Move Annexes from the Standard into the “Archives” and add a link in the Standard to the Annexes.
2. Update Appendices 1 and 2 and keep in the Standard.

(m) WIPO Standard ST.21, Appendix 3

Table of offices able to produce or to receive priority documents according to either the “paper” or the “microfiche” solution.

Proposal:

1. Survey IPOs on the relevance of updating Appendix 3 in particular with regard to the electronic exchange of priority documents in the form of CD-ROM, DVD, on-line, etc.
2. Based on survey results, either move Appendix 3 from WIPO Standard ST.21 into the “Archives” or update the table.
3. Put forth a recommendation to the SDWG to revise the Standard in coordination with WIPO PCT staff and IPOs participating in the electronic exchange of priority documents.

(n) WIPO Standard ST.50

Appendix 1 – Examples of corrected first pages or reprints of patent documents.

Appendix 2 – Examples relating to corrections of electronic publications.

Appendix 3 – Examples of corrections announced in a patent gazette.

Appendix 4 – Examples of alterations.

Appendix 5 – Examples of supplements.

Proposal:

1. Move Appendices 1 through 5 from the Standards to the “Archives”.
2. Add a link in the Standard to the Appendices.

(o) WIPO Standards ST.7, ST.12/C, ST.30, ST.31, ST.33, ST.34, ST.35

WIPO Standard ST. 7 – Microforms, WIPO Standards ST.7/A through ST.7/F

WIPO Standard ST. 12/C – Guidelines for the physical characteristics of separately published abstracts in selective dissemination of information (SDI) presented in the form of card files.

WIPO Standard ST.30 – Recommendation concerning a standard magnetic tape format for the exchange in machine-readable form of bibliographic data, abstracts and full texts of patent documents.

WIPO Standard ST.31 – Recommended standard coded character sets for the exchange of machine-readable records of patent documents.

WIPO Standard ST. 33 – Recommended standard format for the data exchange of facsimile information of patent documents.

WIPO Standard ST. 34 – Recommendation concerning the recording of application numbers in electronic form for the exchange of bibliographic data.

WIPO Standard ST. 35 – Recommended standard format for data exchange of mixed-mode published patent document information on reel-to-reel and IBM 3480/90 cartridge tapes.

Proposal:

1. Conduct a WIPO survey among IPOs to determine current use of these standards.
2. Based on survey results, move inactive standards to the “Archives”.



#### Part 4: PCT Minimum Documentation

- Content:
- Inventory of patent documents according to PCT Rule 34.1 (period from 1920 to 2000).
  - Minimum Documentation under Rule 34.1(b)(iii) of the Regulations under the Patent Cooperation Treaty (PCT) – List of Periodicals: Periodicals to be used for Search and Examination.
- Proposal: The content of Part 4 falls under the responsibility of the Office of Legal and Organization Affairs and PCT System (WIPO). All proposals for change on this Part should come from this Office. Communicate publication deadlines to this Office to facilitate timely updates.

#### Part 5: International Classifications relating to patents, trademarks and industrial designs

- Content:
- International Patent Classification (IPC), International Classification of Goods and Services for the Purposes of the Registration of Marks (Nice Classification), International Classification of the Figurative Elements of Marks (Vienna Classification), International Classification for Industrial Designs (Locarno Classification).
  - Other sections contain surveys, guidelines and instructions.
- Proposal: The content of Part 5 falls under the responsibility of the Office of Legal and Organization affairs and PCT (for IPC-related materials) and of the Sector of Trademarks, Industrial Designs, Geographical Indications (for the other international classifications). All proposals for change on this Part should come from these Offices. Keep Part 5 in the WIPO Handbook publication and update as necessary. Communicate publication deadlines to these Offices to facilitate timely updates.

#### Part 6: Patent and Trademark Search Systems

- Content:
- Inventory of databases consisting of references to patent documents dated February 1996.
  - A survey on the experience gained in the use of computerized search system useful for the purposes of search and examination dated April 1996 (Appendices dated April 1994).
  - Guidelines on telex interrogation of on-line patent databases, dated December 1990.
  - Inventory of databases consisting of references to marks, dated April 1994.
- Proposal
1. Move the content of Part 6 to the “Archives”.
  2. On the web version of the WIPO Handbook, provide an updateable list of IPDLs and other patent and trademark databases available on the Internet free of charge, with their URLs or links to them, their coverage and other relevant information, if any. Conduct a WIPO Survey among IPOs on the

availability of such public access resources. Include references to: (a) the Electronic Inventory of Industrial Property Offices products (DEMO version) available at [http://www.osim.ro/index3\\_files/database/datab.htm](http://www.osim.ro/index3_files/database/datab.htm); and (b) Intellectual Property Data Collections hosted by other service providers at <http://www.wipo.int/ipdl/en/resources/links.jsp>.

#### Part 7: Kinds and Contents of Industrial Property Documentation Including Numbering Systems Used

- Content:
- Section 7.1 contains an index and examples of kind of patent documents.
  - Section 7.2 contains a survey on medicinal and phytopharmaceutical products, last updated in January 2002.
  - Section 7.3 contains samples of trademark gazettes.
  - Section 7.4 is a survey of filing procedures and filing requirements related to industrial designs, dated May 1995.
  - Section 7.5 is a survey of numbering systems with regard to applications, published documents and registered rights, dated June 2001.
- Proposal:
1. Move all Sections of Part 7 to “Examples and IPO Practices”.
  2. Update content by surveying IPOs in Sections 7.1 and 7.4.
  3. Leave Sections 7.2, 7.3 as they are.
  4. Update Part 7.5 as necessary.

#### Part 8: Means of Storage, Copying and Exchange of Industrial Property Documentation

- Content:
- Section 8.1 contains a catalogue of microforms, dated May 1995.
  - Sections 8.2 and 8.3 contain a summary on the use of microforms and other mass storage media and a description on internal use by offices of data downloaded from CD-ROM, respectively. These sections are dated April 1994 and December 1996.
  - Section 8.4 contains a statement of principles concerning the changeover to electronic data carriers for the exchange of patent documents, dated February 1996.
  - Section 8.5 describes the recommended minimum contents for IPOs’ websites, dated April 2002.
- Proposal:
1. Move Sections 8.1, 8.2, 8.3 and 8.4 to the “Archives”.
  2. Move Section 8.5 to Part 9 (see New Task under Part 9).
- New Task:
- Prepare and present a proposal to the SDWG to examine the possibility of updating Section 8.4 (Patent information use policy of exchanged patent data) to cover special cases other than official use, in particular with regard to the provision of public access to exchange data over the Internet (IPDL). The proposal should address the following needs:
- (a) IPOs needs to promote the use of IP information;
  - (b) The needs of commercial service providers to provide value-added services;

(c) The needs of developing countries, whose clients are unable to afford commercial services.

This task will be initiated after the WIPO Handbook Task Force completes its current mandate and in accordance with the priorities set by the SDWG.

### Part 9: Access to Industrial Property Documentation

- Content: Documents concerning patent information user needs, training courses on patent information, a survey and monographs based on patent documents. Documents date from 1990 to 1995.
- Proposal: 1. Move the contents of Part 9 to the “Archives”.
- New Task: Prepare and present proposal to SDWG to examine the possibility of updating Part 9. As a starting point, Part 9 could include:
- (a) Patent information needs (update Section 9.1 – Patent Information, Users of Patent Information and their needs).
  - (b) Information and documentation concerning training.
  - (c) User survey standards.
  - (d) Website content requirements. Insert and update Section 8.5.
  - (e) Internet search requirements, etc.

Part 9 shall be titled “Access to Industrial Property Information and Documentation”. This task will be initiated after the WIPO Handbook Task Force completes its current mandate and in accordance with the priorities set by the SDWG.

### Part 10: Terms and Abbreviations Concerning Industrial Property Information and Documentation

- Content: Glossary of terms and list of abbreviations concerning industrial property information and documentation.
- Proposal: 1. Create a working glossary of terms which would include terms and definitions from both the current Glossary and from all of the Standards. The origin of each term should be indicated in the list of terms. For example:
- Term A (WIPO Standard ST.X)
  - Term A (WIPO Standard ST.Y)
  - Term B (WIPO Standard ST.Z, Glossary)
  - etc...
2. Move Part 10 to Part 9.

## WIPO STANDARDS – PART 3

In the process of reviewing the body of Standards, it was noted that there are some inconsistencies in paragraph numbering and in the naming of attachments. The WIPO Handbook Task Force recommends that a set of conventions be adopted to reduce these inconsistencies, as described below. The Task Force also recommends that these norms be implemented either at the creation of a new Standard or in the process of revising a Standard.

### A. Paragraph Numbering

The proposed paragraph numbering shall be :

- 1 ..... (Sequential numbering)
  - (a) ..... (Sequential, lower case, English alphabet)
    - (i) .....(Sequential, lower case, roman numerals)

### B. Attachments

All attachments to the body of a Standard, shall be named “Appendix”. Multiple attachments shall be numbered sequentially (example: Appendix 1, Appendix 2, etc.).

The word “Annex” shall not be used to designate an attachment to a Standard.

### C. Grouping of Standards

In the Introductory Statement by the International Bureau on page 3.0.1 of the WIPO Handbook publication, the following changes are proposed:

- (a) Rename or delete the categories as follows :

- Cat. (a): Standards of a general nature, common to information and documentation.
- Cat. (b): Standards relating to patent information and documentation.
- Cat. (c): Standards relating to trademark information and documentation.
- Cat. (d): Standards relating to industrial design information and documentation.

- (b) Provide a list of the standards that correspond to each category. For example, under category (a), list WIPO Standard ST.2, WIPO Standard ST.3; under category (b) list WIPO Standard ST.1, WIPO Standard ST.6, WIPO Standard ST.9, WIPO Standard ST.10, etc.

If the above seven proposed categories are approved, this grouping shall replace all other existing groupings for WIPO Standards in both the WIPO Handbook CD-ROM publication and on the WIPO Website.