

# WIPO



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### STANDING COMMITTEE ON INFORMATION TECHNOLOGIES STANDARDS AND DOCUMENTATION WORKING GROUP

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#### RENEWAL OF THE WIPO HANDBOOK ON INDUSTRIAL PROPERTY INFORMATION AND DOCUMENTATION (TASK No. 26)

*Document prepared by the Secretariat*

1. The Standards and Documentation Working Group (SDWG) of the Standing Committee on Information Technologies (SCIT), at its second session in December 2002, agreed that the Secretariat would prepare a document concerning future revisions and updates of the WIPO *Handbook on Industrial Property Information and Documentation* (the WIPO Handbook) for consideration by the SDWG. The document as agreed should highlight the need for setting priorities, determine the contents, and identify new ways of updating the WIPO Handbook. (See document SCIT/SDWG/2/14, paragraph 11, Task No. 26.)
2. The SDWG, at its fourth session in January 2004, agreed to the proposal made by the Secretariat to create the Renewal of the WIPO Handbook Task Force within the framework of Task No. 26, for discussion and preparation of a proposal to renew the contents of the WIPO Handbook, and its publication and maintenance procedures, as indicated in document SCIT/SDWG/4/5. (See document SCIT/SDWG/4/14, paragraphs 45 to 51.)
3. Accordingly, the SDWG adopted the renewal of the contents and structure of the WIPO Handbook as proposed by the Task Force, at its fifth session in November 2004, with certain modifications as agreed during the discussions by the SDWG members. (See document SCIT/SDWG/5/13, paragraph 37.)

4. As a follow-up to the decision by the SDWG referred to in the previous paragraph, the Task Force focused its discussions on completing the second objective that had been assigned to it, namely, to prepare a proposal concerning the renewal of the publication and maintenance procedures of the WIPO Handbook. On June 7, 2005, the Task Force Leader submitted the document containing the proposal for consideration and approval by the SDWG. That proposal is reproduced as an Annex to this document.

*5. The SDWG is invited to consider and approve the proposals concerning the publication and maintenance procedures of the WIPO Handbook, contained in the Annex to this document.*

[Annex follows]

ANNEX

**PROPOSAL CONCERNING THE RENEWAL OF PUBLICATION AND  
MAINTENANCE PROCEDURES OF THE WIPO HANDBOOK ON INDUSTRIAL  
PROPERTY INFORMATION AND DOCUMENTATION**

by the Renewal of the WIPO Handbook Task Force

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## Introduction

1. This document contains a proposal for the development of a web based model to renew the publication and maintenance procedures of the WIPO *Handbook on Industrial Property Information and Documentation*, with a focus on Part 3 – WIPO Standards and Part 7 – Examples and IPO Practices. The proposal is intended to describe general user and website interface requirements. The proposal does not provide technical recommendations for the implementation of those requirements.

## General description

2. It is proposed in this document that a website interface be developed to publish and maintain the contents of the WIPO Handbook. The WIPO Handbook website shall be accessible on the WIPO Official website, free of charge to users. The WIPO Handbook website shall initially be divided into two separate areas, a Public Area and a Restricted Area.
3. In the Restricted Area of the WIPO Handbook website, industrial property offices (IPOs) shall have the ability to edit, update, add or remove, and submit survey information to the International Bureau, in accordance with specific access rights and review periods; (see Section 5 – Part 7 – Examples and IPO Practices).
4. In the Public Area of the WIPO Handbook website, public users shall have the ability to:
  - (a) Conduct full text searches across the contents of the WIPO Handbook;
  - (b) Display search results by survey and by country;
  - (c) Batch and download search results;
  - (d) Edit data after retrieval using a common word processing software;
  - (e) Select the language of the interface and of the content (English, Spanish, French);
  - (f) Register for email user alerts concerning recent updates or news related to the WIPO Handbook.
5. The WIPO Handbook website shall allow WIPO to collect, review, process, and publish survey information more efficiently and maintain up-to-date and publish all parts of the WIPO Handbook.
6. The advantages of using a web interface for handling the publication and maintenance of the WIPO Handbook contents include:
  - (a) no need to purchase, customize and maintain a perhaps costly software for either WIPO or IPOs; a Web browser will suffice;
  - (b) immediate and free user access to updated contents and relevant links;
  - (c) more expedient publication and distribution of updated contents;
  - (d) more efficient management of survey information without cumbersome administrative correspondence;

(e) new file formats such as HTML or XML can offer greater search functionality and re-usability of information to users.

WIPO Handbook Website Content

(a) Public Area

7. The contents of the WIPO Handbook as they have been proposed by the Renewal of the WIPO Handbook Task Force as follows:

Table 1: Public Area Content

Part 1 – Introduction
Part 2 – International Cooperation
Part 3 – WIPO Standards
Part 4 – PCT Minimum Documentation
Part 5 – International Classifications
Part 6 – Access to Industrial Property Information
Part 7 – Examples and IPO Practices
Part 8 – Archives
Part 9 – Glossary

8. Links to other useful and related websites: (below are some examples and suggestions)

Table 2: Links

About Intellectual Property	<a href="http://www.wipo.int/about-ip/en/overview.html">http://www.wipo.int/about-ip/en/overview.html</a>
ATRs	<a href="http://www.wipo.int/scit/en/atrs/index.htm">http://www.wipo.int/scit/en/atrs/index.htm</a>
Electronic Inventory of IPOs Products	<a href="http://www.osim.ro/index3_files/database/databa.htm">http://www.osim.ro/index3_files/database/databa.htm</a>
Frequently Asked Questions (FAQs)	
International Classifications	<a href="http://www.wipo.int/classifications/en/">http://www.wipo.int/classifications/en/</a>
IPDL Resources	<a href="http://www.wipo.int/ipdl/en/resources/links.jsp">http://www.wipo.int/ipdl/en/resources/links.jsp</a>
JOPAL	<a href="http://www.wipo.int/scit/en/jopal/jopal.htm">http://www.wipo.int/scit/en/jopal/jopal.htm</a>
Member States	<a href="http://www.wipo.int/about-wipo/en/members/index.html">http://www.wipo.int/about-wipo/en/members/index.html</a>
PCT	<a href="http://www.wipo.int/pct/en/index.html">http://www.wipo.int/pct/en/index.html</a>
SCIT ITPWG	<a href="http://www.wipo.int/scit/en/meeting/itpwg/index.htm">http://www.wipo.int/scit/en/meeting/itpwg/index.htm</a>
SCIT Plenary	<a href="http://www.wipo.int/scit/en/meeting/plenary.htm">http://www.wipo.int/scit/en/meeting/plenary.htm</a>
SCIT Recent News	<a href="http://www.wipo.int/scit/en/news/index.htm">http://www.wipo.int/scit/en/news/index.htm</a>
SCIT SDWG	<a href="http://www.wipo.int/scit/en/standards/index.htm">http://www.wipo.int/scit/en/standards/index.htm</a>
Others...	any other web links deemed relevant and useful to users of the WIPO Handbook.

9. A user registration area for public users who wish to receive email alerts when there has been an update to the contents of the WIPO Handbook.

(b) Restricted Area

10. Survey information during review periods, accessible only by IPOs and WIPO with a valid username and password combination.

Part 3 – WIPO Standards

11. Today, the WIPO webforum provides an easy and simple way for Task Force members to propose, draft and discuss changes to the body of standards which are then proposed to the Standards and Documentation Working Group for approval. The existence of this electronic platform has given users an easier, more efficient tool to propose, draft and discuss changes to standards. However, when a standard is updated and published, the changes that have taken place between the last version and the new version of the standard are not readily visible to the users when comparing the two versions.

12. This paper proposes that the new WIPO Handbook website give users the ability to track changes between versions of standards. The version of a standard shall continue to be defined by publication date, in accordance with the current practice. Changes to the body of a standard shall be provided by the International Bureau in the form of a separate document containing:

(a) a summary of the changes that have taken place, including page number and date of revision for each change; and

(b) the body of the standard containing the highlighted tracked changes.

13. As all WIPO Standards are maintained as MS Word files, it would be relatively easy to provide files with track changes for any of the standards.

14. The alternative solution of purchasing and customizing a document management system to manage the content and publication of the WIPO Handbook (and in particular standards) has been considered but is not recommended as the costs of maintaining such system would outweigh the benefits gained. In particular, these elements were considered:

(a) Part 3 of the WIPO Handbook is the only section where there is a user need to track changes in detail;

(b) the purchase of a document management software package can be costly (in terms of financial and human resource investments) especially when considering, development, maintenance, yearly license fees and upgrade costs;

(c) the volume of information contained in the WIPO Handbook and the functionality sought are not significant enough to justify the acquisition and implementation of a full scale document management system.

Part 7 – Examples and IPO Practices

15. During its fifth session, the SDWG approved the proposal made by the Renewal of the WIPO Handbook Task Force, described in SCIT/SDWG/5/5, to include the following list of surveys in the new Part 7 of the WIPO Handbook.

Table 3: Surveys

Item	Description	Reference
1	Representation of calendar dates	WIPO Standard ST. 2, Appendix
2	Terms of protection	WIPO Standard ST.9, Appendix 3
3	Annual and non-annual series of application numbers	WIPO Standard ST.10/C, Appendix
4	Physical characteristics of patent documents	WIPO Standard ST. 10/D, Appendix
5	Survey of bibliographic information contained in patent gazettes	WIPO Standard ST.11, Appendix
6	Examples of patent documents	WIPO Standard ST.16, Appendices
7	Patent gazette indexes in paper format	WIPO Standard ST.19, Appendix
8	List of legal entities active in IP field	WIPO Standard ST.20, Appendix 1
9	Priority documents exchange	see also WIPO Standard ST.21, Appendix 3
10	Public access resources to Industrial property databases	
11	Kinds of patent documents	Section 7.1
12	Filing procedures and filing requirements	Section 7.4
13	Numbering systems	Section 7.5 – other than annual and non-annual series of application numbers
14	Medicinal and phytopharmaceutical products	Section 7.2
15	Samples of trademark gazettes	Section 7.3

Part 7 – Examples and IPO Practices : Revisions and Updates

16. Part 7 surveys, which were recently updated, such as annual and non annual series of application numbers, will be subject to revisions only if deemed necessary and appropriate in the future. Out-of-date surveys that need revision shall be updated by means of an on-line electronic platform. The need and frequency of a revision shall be decided by the International Bureau. Until a survey is revised, the latest version of that survey shall be published in the Public Area of the WIPO Handbook website.

17. Surveys that share common data such as Section 7.5 “Numbering Systems” and the Appendix to WIPO Standard ST.10/C (Annual and Non-Annual Series of Application Number) shall be modified so that survey data is not repeated (or collected) twice. As all survey information will be stored electronically, pointers (e.g., hyperlinks) will be added in

various Parts of the WIPO Handbook to specific survey information (contained in Part 7 – Examples and IPO Practices). Thus, in the example given above, a pointer to annual and non-annual series of application numbers (collected under Part 7) will be added into WIPO Standard ST.10/C. The title and display options of survey information shall be developed along with the Web platform. The intent is to allow more flexibility than the current paper-based system where information is statically displayed and avoid having to update the same survey information in several parts of the WIPO Handbook.

18. During the WIPO Handbook Task Force informal meeting held in November 2004, some members suggested that the Task Force look at the above list of standards and assess whether their contents (both survey questions and survey answers) should be updated. Below is a table that summarizes some of the characteristics of each survey. Following an initial revision, the WIPO Handbook Task Force concluded that :

- (a) All surveys be re-issued to bring survey results up to date starting with the surveys that are more than two years old; and
- (b) Once all surveys are in electronic format, consider introducing new relevant survey data/information.

Table 4: Part 7 – Survey Characteristics

Reference	Description	Last Update	Format
1. WIPO Standard ST.2, Appendix	Contains some illustrative text examples. Not all IPOs are represented	November 1997	Plain Text
2. WIPO Standard ST.9, Appendix 3	Description of principal provisions for terms of protection, categorized by industrial property right.	February 1996	Plain Text
3. WIPO Standard, ST.10/C, Appendix	Alphanumeric table with a separate IPO entry per row.	February 2004	MS Word Table
4. WIPO Standard, ST.10/D, Appendix	Alphanumeric table with a separate IPO entry per column.	December 1990	MS Word Table
5. WIPO Standard, ST.11, Appendix	Alphanumeric table with a separate IPO entry per row, capturing INID codes and periodicity of announcements.	December 1990	MS Word Table
6. WIPO Standard, ST.16, Appendix	Alphanumeric table without frames with a separate IPO entry per row	June 2001	MS Word Table

7. WIPO Standard, ST.19, Appendix	Alphanumeric table with a separate IPO entry per row indicating periodicity and INID codes used per title of Eindex.	December 1990	MS Word Table
8. WIPO Standard, ST.20, Appendix 1	Alphanumeric list indicating legal entities active in the IP field	December 19930	PDF Images
9. WIPO Standard, ST.21, Appendix 3	Cross-check table indicating offices able to produce or receive priority document according to “paper” or microfiche” solution	April 1994	MS Word Table
10. Public access resources to industrial property databases			
11. Section 7.1	(a) An index in the form of a table without frames. (b) Images of patent documents	Index: June 2001 Examples: April 1994, December 1991, December 1990	(a) MS Word Table (b) PDF Images
12. Section 7.4	(a) A table with a separate IPO entry per column (b) Appendix: plain text entries (c) English alphabetical index	May 1995	(a) MS Word Table (b) Plain Text (c) Plain Text
13. Section 7.5 other than annual and non-annual series of application numbers	An alphanumeric table with a separate IP office entry per row indicating examples of form of presentation of publication or registration number with explanations.	June 2001	MS Word Table
14. Section 7.2	(a) Questions and answers reflecting information provided by 56 IPOs and organizations on the grant and publication of SPCs. (b) Images	January 2002	(a) Plain Text  (b) PDF Images
15. Section 7.3	(a) An index in the form of a table with separate IPO entry per row. (b) Images of trademark gazettes	May 1995	(a) MS Word Table  (b) PDF Images

Database Definitions

19. Until now, the process of gathering survey information has been laborious, lengthy and subject to cumbersome administrative procedures. Official survey communications from the International Bureau to IPOs are done on paper and survey results come in different forms, from fax paper to individual electronic files (generally MS Word or PDF).

20. It is proposed in this document that in the process of gathering survey information, the use of paper be limited as much as possible and that a database be developed to collect, store, and update survey information. Communication between the International Bureau and IPOs should be carried out by means of electronic messaging. The database, used for submission of surveys, shall be accessible via the WIPO Handbook website Restricted Area and provide the following general functionality:

- IPO and WIPO users shall access by means of username and password combinations in accordance with the defined access rights (see par. 5.8);
- IPO users shall have the ability to enter, save, edit, print, and submit information relevant to their office;
- WIPO users shall have the ability to search, retrieve, edit, print and publish information submitted by individual IPOs,

21. In the Restricted Area, *access rights* shall be granted at the record level and not at the document level (totality of the survey), meaning that individual users will only be authorized to view and edit entries pertaining to their office.

22. Records will be classified as: “public” (once reviewed, approved, and published by WIPO) or “confidential” when under revision. To access confidential records, users will require a username and password combination.

23. In the Restricted Area, there will be three categories of users:

- *IPO user* – read and write access *only* to confidential records submitted by the IPO user. One account per office.
- *WIPO user* – read and write access to *all* confidential records. Ability to publish submissions from IPO users. Read only access once the information is published. Authorized to: set editing/revision periods, create/delete/edit IPO user accounts. Multiple WIPO user accounts possible.
- *Administrator* – Same access rights as WIPO user and responsible for backend store/transfer/backup/archive of files on disk. Authorized to create/delete/edit WIPO user accounts. One account only.

24. Records included in the Restricted Area will be *confidential* in nature, meaning that they will not be accessible to the public. Records included in the Restricted Area can be assigned one of four values to designate their state: Open, Submitted, Reviewed, Published. These values will set on or off individual access rights to the record and are defined as follows:

- *Open* – A record is open for review. Access to the record is granted to a specific IPO user. The IPO user can access and edit the record repeatedly.
- *Submitted* – The record has been submitted by the user to the IB. The WIPO user(s) receive(s) an alert that the document has been submitted and is ready for review.
- *Reviewed* – The record has been reviewed by the WIPO user(s) and is ready to be published.
- *Published* – The record is no longer accessible from the Restricted Area. The WIPO user publishes the record making it accessible through the Public Area. Once published, only the WIPO Administrator can delete or replace the record.

### Workflow for Updating Surveys

25. The process for updating surveys presented in this document for Part 7 – Examples and IPO Practices is based on another existing and similar model developed by WIPO for the yearly submission of Annual Technical Reports (ATRs). The ATR Management System available on the WIPO Internet site at <http://www.wipo.int/scit/en/atrs/index.htm> consists of a database that allows for electronic submissions, revisions and publication of ATRs. The system has been operational for more than two years and has proven to work. It is foreseen that the system will evolve over time as users have offered valuable feedback to improve its functionality. Because the update process and the users of the ATR Management System are similar to the ones of surveys in the WIPO Handbook, it is recommended and most likely feasible that the same database can be used in both cases. Some of the benefits to be gained in expanding the existing database include:

- (a) less up-front investment;
  - (b) experience and user feedback gained over the past two years can guide the developers in the right direction;
  - (c) a unique database to store IPO information can offer a single point of access to IPO and public users to search and retrieve the information they need;
  - (d) single point of development, maintenance and helpdesk support.
26. The workflow for conducting surveys can be described as an eight-step process as described below.

#### SURVEY PERIOD

##### **Step 1**

WIPO notifies IPO users via email and official mail correspondence that survey period has begun



##### **Step 2**

IPO users go to Restricted Area of WIPO Handbook website using their username and password combination and begin entering data

27. At this point, all records are designated as “open” meaning that IPOs can enter and modify their entries repeatedly. Access to the Restricted Area by IPOs is unlimited. IPOs can submit their entries any time during the survey period.

28. Data entry for IPO users shall be simple and require no training. The Restricted Area database shall clearly display survey questions and appropriate spaces for IPO users to either insert, select, or type responses. IPO users shall be able to copy and paste text from their commonly used MS Word processor into database free-text fields. In the event that a survey requires lengthy text entries, the user shall be able to download a MS Word-based form (or template) to be used as an internal working document. This will allow the user to circulate the MS Word document internally, use track changes, and gather comments or input from various staff.

#### REVIEW PERIOD

##### Step 3

By the end of the survey period, IPOs complete and submit their entry electronically to WIPO.



##### Step 4

WIPO receives electronic submissions via the WIPO Handbook database and performs quality checks and data format manipulations.

29. When IPOs submit their entries, the state of submitted records goes from «open» to «submitted». At this point, WIPO users receive an email alert indicating that a new entry has been submitted. Submissions are kept by WIPO until the end of the survey period. Prior to the end of the survey period, IPOs can access and re-submit their entries as many times as they require.

30. At the end of the survey period, WIPO reviews all final entries and performs basic quality checks. At the end of the review period, records move from a «submitted» state to a «reviewed» state, indicating that they are ready for publication. At this point, data format manipulations may be required before survey information is transferred to the Public Area of the WIPO Handbook website.

#### WEB PUBLICATION

##### Step 5

WIPO publishes new survey information in the original language in which it was submitted



##### Step 6

IPOs and registered public users receive an email alert to inform them that new survey information has been published.

Survey information is published in the Public Area of the WIPO Handbook website

31. Records go from being «reviewed» to «published». WIPO users can no longer modify records. WIPO Administrator creates a backup of all new published survey information and assists WIPO users in testing the database and in providing general helpdesk support, as necessary.

#### TRANSLATION (*optional*)



32. Translation is an optional step because of the nature of survey information. Survey labels will generally be translated, as they are at present, into English, French and Spanish. It is envisaged that the WIPO Handbook website interface will be available in all three languages, including the Restricted Area.

#### UPDATES OF SURVEY INFORMATION OUTSIDE SURVEY PERIODS

33. Following submission or publication of an entry and in-between survey periods, an IPO may still need to modify the entry to correct mistakes, supply amendments, clarifications or missing information or supply changes due to the adoption of a new legislation or new procedures. To implement the possibility of making such amendments, additions or corrections, outside of survey periods, IPOs can, at any time, access *a copy* of the entry they have submitted, regardless of whether it has already been reviewed and/or published, and update its content, as needed. Once the update is completed, the IPO submits the entry to WIPO. Such updated entry replaces a previously published entry only when specifically requested by the IPO at the time of submission. The timing of web publication and subsequent translation of entries submitted outside review periods will be at the discretion of WIPO.

#### IPO USER SUPPORT

34. Throughout the process of updating surveys and as in the case of ATRs, IPO users shall have email support to help them resolve technical or procedural support. An email address/account to this effect would be set up in WIPO and managed by a person or team.

#### Data Entry – An Example: WIPO Standard ST.11, Appendix

35. The Appendix to WIPO Standard ST.11 is used here as an example of how data entry could be structured once the IPO user logs into the Restricted Area of the WIPO Handbook website. The Appendix is a survey of bibliographic information contained in patent gazettes and in current indexes inserted in patent gazettes or published separately in association with patent gazettes. It was last updated in December 1990.

- (a) The IPO user logs into the Restricted Area using a pre-assigned username and password combination;
- (b) The value of “Country” would automatically be recognized and registered by the system based on the user login;
- (c) The user would then be prompted to fill in the following fields:

Title	Periodicity	Title or type of announcements concerning bibliographic information	Data elements used in announcements (INID codes)	Current indexes (Numerical, Classification, Alphaname)
<i>Free text</i>	<i>Drop down picklist</i>	<i>Free text</i>	<i>Free text</i>	<i>Drop down picklist</i>

36. To facilitate the data entry for users and minimize errors, some drop down pick lists could be made available for some of these fields. As illustrated in the table above, once the user has entered a title, he would be prompted to specify the periodicity by means of a drop down picklist, listing values such as weekly, monthly, quarterly, etc... The user would also be prompted to select the current index by means of a drop down picklist.

37. The use of drop down picklist not only offers an advantage to the user when entering the data, but also in the way the information is gathered and stored in the system. By breaking up the information contained in surveys by “fields”, it is possible then to develop a search interface for the user that would allow for more flexibility in the retrieval of that information.

[End of Annex and of document]