

# WIPO



SCIT/SDWG/8/14

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**WORLD INTELLECTUAL PROPERTY ORGANIZATION**  
GENEVA

## **STANDING COMMITTEE ON INFORMATION TECHNOLOGIES**

### **STANDARDS AND DOCUMENTATION WORKING GROUP**

**Eighth Session**  
**Geneva, March 19 to 22, 2007**

REPORT

*adopted by the Working Group*

#### INTRODUCTION

1. The Standards and Documentation Working Group (SDWG) of the Standing Committee on Information Technologies (SCIT) held its eighth session from March 19 to 22, 2007.
2. The following Member States of WIPO and/or the Paris Union were represented at the session: Angola, Australia, Austria, Azerbaijan, Brazil, Bulgaria, Canada, China, Côte d'Ivoire, Czech Republic, Egypt, El Salvador, Finland, France, Germany, Haiti, Hungary, Indonesia, Iran (Islamic Republic of), Iraq, Ireland, Italy, Japan, Kenya, Kuwait, Latvia, Lithuania, Luxembourg, Mexico, Nigeria, Paraguay, Poland, Portugal, Republic of Korea, Romania, Russian Federation, Serbia, South Africa, Spain, Sudan, Sweden, Switzerland, Ukraine, United Kingdom and the United States of America (45).
3. Representatives of the African Intellectual Property Organization (OAPI), the Benelux Office for Intellectual Property (BOIP), the European Patent Office (EPO), the Eurasian Patent Organization (EAPO), the Office for Harmonization in the Internal Market (Trade Marks and Designs) (OHIM) and the Organization of African Unity (OAU) (6) took part in the session in a member capacity.

4. Representatives of the Arab Federation for Protection of Intellectual Property Rights (AFPIPR) and the European Commercial Patent Services Group (PatCom) (2) took part in the session in an observer capacity.

5. The list of participants appears as Annex I to this report.

#### Agenda Item 1: Opening of the Session

6. The session was opened by Mr. Francis Gurry, Deputy Director General, who welcomed the participants on behalf of the Director General.

#### Agenda Item 2: Election of the Chair and Vice-Chairs

7. In recognizing the mandate of elected officials to officiate at two sessions of the SDWG, the Working Group unanimously elected Mr. Hamidou Koné (OAPI) as Chair and Mrs. Maria Luísa Araújo (Portugal) and Mr. Matthias Günter (Switzerland) as Vice-Chairs.

8. Mr. Neil Wilson, Director and Chief Information Officer, acted as Secretary of the session.

#### Agenda Item 3: Adoption of the Agenda

9. The revised agenda was unanimously adopted and appears as Annex II to this report with items taken in the following order: 1 to 3, 10, 12 to 14, 4b, 5, 6, 4a, 7 to 9, 15 to 18.

### DISCUSSIONS, CONCLUSIONS AND DECISIONS

10. As decided by the Governing Bodies of WIPO at their tenth series of meetings held from September 24 to October 2, 1979 (see document AB/X/32, paragraphs 51 and 52), the report of this session reflects only the conclusions of the SDWG (decisions, recommendations, opinions, etc.) and does not, in particular, reflect the statements made by any participant, except where a reservation in relation to any specific conclusion of the SDWG was expressed or repeated after the conclusion was reached.

11. The presentations given to the SDWG and for which an electronic file is available can be found on the area of WIPO's website along with the working documents of this session of the SDWG ([http://www.wipo.int/meetings/en/details.jsp?meeting\\_id=12446](http://www.wipo.int/meetings/en/details.jsp?meeting_id=12446)).

Agenda Item 4(a): Revision of WIPO Standard ST.10/C (Task No. 30)

Report by the ST.10/C Task Force: Draft proposal on an application number format

12. Discussions were based on document SCIT/SDWG/8/2.

13. The SDWG noted the report presented by the ST.10/C Task Force in the Annex to SCIT/SDWG/8/2, and the oral progress report by the Task Force Leader who referred to the progress made with regard to Task No. 30. The SDWG considered the revised proposals made by the Task Force on the application number prototype format for the revision of WIPO Standard ST.13, which contained elements that required further discussion.

14. The SDWG reviewed and agreed to all the proposals, except for two items, in these latter elements. Firstly, the hierarchy given in subparagraph 3(b) of the Appendix of the working document SCIT/SDWG/8/2 which was referred back to the Task Force for further consideration, and secondly, the proposal for allowing the use of characters in the “Code for internal use” in the eight-digit serial number referred to in subparagraph 3(e) of the same document.

15. The SDWG approved the proposal on further actions for the completion of the revision of WIPO Standard ST.13 referred to in paragraphs 7 and 8 of the Annex to the working document.

16. The SDWG agreed on maintaining a list of industrial property right type codes, internal use codes (to be included in the eight-digit serial number) and the control character (check digit) that are unique to an individual industrial property office (IPO) in the *WIPO Handbook on Industrial Property Information Documentation* (WIPO Handbook).

17. The SDWG noted that the addition of type of industrial property right to the application number would require an update of WIPO Standards ST.36 and ST.66.

18. The Secretariat invited the Task Force to include the two topics referred to in the previous two paragraphs in its report when presenting the final proposal for the revision of WIPO Standard ST.13.

Agenda Item 4(b): Revision of WIPO Standard ST.10/C (Task No. 30)

Update of the survey of the implementation of paragraph 12(a) of WIPO Standard ST.10/C

19. Discussions were based on document SCIT/SDWG/8/3 concerning the revised survey on the implementation of paragraph 12(a) of WIPO Standard ST.10/C (Presentation of Bibliographic Data Components), which is reproduced in the Annex of document SCIT/SDWG/8/3.

20. Following discussions, the SDWG requested the Secretariat to publish the survey in the WIPO Handbook with the addition of the ST.3 codes on each example document in the Appendix to indicate the office issuing the filing notification and priority certificates which were reproduced in the Appendix of the survey.

Agenda Item 5: Revision of WIPO Standard ST.22 (Task No. 37)

21. Discussions were based on document SCIT/SDWG/8/4.
22. The SDWG noted the presentation given by the Leader of the ST.22 Task Force on the work done by the Task Force on the preparation of a proposal for the revision of WIPO Standard ST.22 (which concerns recommendations for facilitating Optical Character Recognition (OCR)) and to the other items of the mandate received at the seventh session of the SDWG.
  23. Following discussions, the SDWG agreed to defer the adoption of WIPO Standard ST.22 in order to ensure harmonization with developments taking place in the “Trilateral Common Application Format” project which could have a bearing on WIPO Standard ST.22.
  24. The SDWG also instructed the ST.22 Task Force to take into consideration issues which were not yet considered in the proposed WIPO Standard ST.22, including recommendations on the following subjects: embedded drawings, photographs (grayscale and color), character sets, non-Latin characters, and forms submitted together with the patent applications. Recommendations relating to forms should be made to the offices that design and promulgate them.
  25. The SDWG asked the Task Force to present a newly revised proposal for the revision of WIPO Standard ST.22 for its consideration and approval at the next session of the SDWG.

Agenda Item 6: Annual Technical Reports (ATRs) on Patent, Trademark and Industrial Design Information Activities (Task No. 24)

26. Discussions were based on document SCIT/SDWG/8/5.
27. The SDWG noted the report by the Leader of the ATRs Task Force on the survey undertaken to clarify the objectives of the ATRs and the target users, as well as to prepare a proposal to revise and update the current recommended contents of the ATRs.
  28. The SDWG, after considering the summary and analysis of the ATR survey reproduced in the Annex to SCIT/SDWG/8/5, as well as Appendices 1 and 2 thereof concerning the questionnaire and the results of the survey, decided to approve the conclusions given in paragraphs 13 to 16 and the proposals given in paragraph 17 of the Annex.
  29. The SDWG approved the Recommended Contents of the ATRs on Patent, Trademark and Industrial Designs Information Activities reproduced in Appendices 3, 4 and 5 of the Annex to SCIT/SDWG/8/5 respectively. The SDWG referred back to the ATRs Task Force the discussion and preparation of a proposal on the following additions to the Recommended Contents for patents in Appendix 3, as well as for trademarks and industrial designs in Appendices 4 and 5 whenever applicable:

(a) Section II: Activities of the Office regarding Optical Character Recognition (OCR)

(b) Section III: Activities of the Office regarding preclassification

(c) Section VI: URLs of the web pages of the Office's website for electronic filing of patent applications

(d) Section VIII: At the end of the last item in this section add “, as well as websites,” to read “Main patent and industrial property information magazines/journals published in the country or region of the Office, as well as websites.”

30. Having considered the statistical data on the access to the ATRs provided by the Secretariat, the SDWG decided to request the Secretariat:

(a) to improve the statistical information on the ATRs;

(b) to improve the visibility of the ATRs by requesting offices to implement the agreement referred to in paragraph 17(c) of the Annex to document SCIT/SDWG/8/5;

(c) to simplify the access to the ATRs on WIPO's website;

(d) to analyze and address the apparent constraints in accessing the ATRs made available through the ATR Management System;

(e) to organize the addition of the three modalities of ATRs to search engine indexes (e.g., Google), if possible.

31. The SDWG agreed to recommend to the SCIT Plenary the inclusion of the ATRs in the SCIT strategic plan with regard to improving the dissemination of information.

32. The SDWG agreed to continue the ATRs for a further two years and requested the ATRs Task Force to present a report, including all the above points, to the SDWG at the end of the two-year period to be subsequently presented to the SCIT Plenary.

Agenda Item 7: Revision of WIPO Standard ST.3 (Task No. 33/3)

33. Discussions were based on document SCIT/SDWG/8/6.

34. The Secretariat presented a summary of the changes to WIPO Standard ST.3 requested in document SCIT/SDWG/8/6. These changes referred to:

(a) the addition of the name “Nordic Patent Institute (NPI)” and its corresponding code “XN” to WIPO Standard ST.3, Annex A, Sections 1 and 2, and the revision of paragraph 10 of the Standard;

(b) the new name of the “Benelux Office for Intellectual Property (BOIP)”;

(c) the inclusion of the new entry “Yugoslavia/Serbia and Montenegro” and the two-letter code “YU”, along with a note in Annex B, Section 2, to the Standard; and

(d) the amendment of paragraph 3 of the Standard in order to refer to the new edition of International Standard ISO 3166-1: 2006, “Codes for the Representation of Names of Countries and their Subdivisions-Part 1: Country Codes”.

35. The SDWG adopted the revision of WIPO Standard ST.3 as reproduced in the Annex to SCIT/SDWG/8/6.

36. Regarding certain codes used by individual offices for internal purposes, the SDWG asked the Secretariat to undertake a survey of the practices in IPOs for publication in the WIPO Handbook. A circular should invite offices to provide information on codes with their meaning, which were of internal or individual use in the office, but whose existence could be of interest to the IP community. Offices should be invited to provide the codes grouped by industrial property modalities (patents, trademarks and industrial designs) and, within each one of these modalities, by kind of use. Offices should indicate whether the codes had been exposed to the industrial property community and in which fora.

Agenda Item 8: Information regarding the WIPO Digital Access Service for Priority Documents by the Task Leader of the P-Docs Task Force (Task No. 15)

37. Discussions were based on document SCIT/SDWG/8/7.

38. The Secretariat, in introducing the document, noted that the Paris Union Assembly, the Patent Law Treaty (PLT) Assembly and the PCT Assembly had, in September 2006, decided that a Digital Access Service for Priority Documents be introduced; see document A/42/14, paragraphs 205 to 220. The initiative had been taken in response to an Agreed Statement of the PLT Diplomatic Conference in 2000 whereby WIPO was urged to expedite the creation of a digital library system for priority documents. The Secretariat also noted that the Paris Union Assembly and the PCT Assembly had, in 2004, adopted an agreed understanding concerning the certification of priority documents, particularly those in electronic form (see document A/42/40/7, paragraphs 161 to 173, referring to document A/40/6, paragraph 9).

39. As mandated by the Assemblies, the *ad hoc* Working Group on the Digital Access Service for Priority Documents had been convened and its first session held in February 2007 (see the report of the session in document WIPO/DAS/PD/WG/1/6). That Working Group had reached agreement on a range of matters, but it became apparent during breakout sessions that more discussion was needed among delegations before agreement could be reached on an appropriate authentication mechanism for ensuring that priority documents, which were still confidential, would be accessible to national Offices only where authorized by the applicant. That discussion would proceed informally using the Priority Documents Electronic Forum that had been established on WIPO’s website to facilitate the work of the Working Group. The working documents for the Working Group’s session and the electronic forum are accessible via <http://www.wipo.int/pdocaccess>.

40. The Secretariat noted that all members of the SDWG were invited to participate in the Working Group on the Digital Access Service for Priority Documents, and urged interested delegations to participate in the discussion via the Priority Documents Electronic Forum.

41. The SDWG agreed to hold Task No. 15 in abeyance, subject to review in the light of progress in the development of the digital access service for priority documents.

Agenda Item 9: Recommended minimum contents for industrial property offices websites

42. Discussions were based on document SCIT/SDWG/8/8.

43. The SDWG noted the results of the 2006 Survey on Design of Industrial Property Offices' websites that had been provided by the Patent Documentation Group (PDG) to the Secretariat and that is reproduced in Annex I to SCIT/SDWG/8/8. This survey refers to the implementation by offices of the "Recommended Minimum Contents for Intellectual Property Offices' Websites" (Part 8.5 of the WIPO Handbook) that had been adopted by the SCIT at its fourth Plenary session in December 1999.

44. The SDWG considered reviewing the "Recommended Minimum Contents for Intellectual Property Offices' Websites" (Part 8.5 of the WIPO Handbook) , but did not consider it necessary to revise it for the time being.

Agenda Item 10: Progress report by the European Patent Office and the Secretariat on making information accessible about the entry into the national (regional) phase of published PCT International Applications (Task No. 23)

45. Discussions were based on document SCIT/SDWG/8/9.

46. The SDWG noted the status reports concerning Task No. 23 given by the European Patent Office (EPO) and the Secretariat. An updated version of the EPO's report is reproduced in Annex III.

47. The SDWG agreed to the renaming of the task to read "Monitor the inclusion, in databases, of information about entry, and, where applicable, the non-entry into the national (regional) phase of published PCT international applications".

48. The SDWG also noted the information provided by the Secretariat on the subject of data regarding non-entry of PCT applications into the national (regional) phase and supported the further investigation of the second option outlined by the Secretariat on this subject (see Annex II of document SCIT/SDWG/8/9, paragraph 12), namely that the Secretariat would make the necessary information available based on the data concerning timelines and status in its own PCT database and on national phase entry information supplied by offices.

Agenda Item 11: Renewal of the WIPO Handbook on Industrial Property Information and Documentation (Task No. 26)

49. Discussions were based on document SCIT/SDWG/8/10.

50. The Secretariat presented the new web page of the WIPO Handbook, according to the new contents and guidelines adopted by the SDWG at its fifth session.

51. The SDWG approved the editorial changes to the WIPO Handbook referred to in paragraph 5 of SCIT/SDWG/8/10.

52. The SDWG approved the revised definitions of patent families provided in the “Glossary of terms concerning industrial property information and documentation” (and Appendix III thereof) of the new web page of the WIPO Handbook.

Agenda Item 12: XML (eXtensible Markup Language) standard for trademarks (Task No. 34)

53. Discussions were based on document SCIT/SDWG/8/11.

54. The Secretariat presented an oral report on the work carried out by the WIPO Standard ST.66 Forum set up within the framework of the Trademark Standards Task Force. This Forum was created to prepare a proposal on an XML (eXtensible Markup Language) standard for the electronic external process and exchange of trademark data.

55. The SDWG adopted the new WIPO Standard ST.66, entitled “Recommendation for the Processing of Trademark Information Using XML (eXtensible Markup Language)”, as reproduced in the Annex to SCIT/SDWG/8/11 and in the electronic versions of the Appendices provided in the SDWG’s website for the eighth session ([http://www.wipo.int/meetings/en/details.jsp?meeting\\_id=12446](http://www.wipo.int/meetings/en/details.jsp?meeting_id=12446)).

56. With regard to the continuous revision and updating of the new WIPO Standard ST.66, the SDWG approved the following:

(a) the creation of a new task: “Ensure the necessary revisions and updates of WIPO Standard ST.66”;

(b) the current ST.66 Forum within the Trademark Standards Task Force would become the ST.66 Task Force with the Secretariat as Task Force Leader and handle the new task referred to in subparagraph (a), above;

(c) any proposal to revise WIPO Standard ST.66 presented to the Secretariat would be forwarded directly to the ST.66 Task Force for consideration and approval;

(d) the ST.66 Task Force would be temporarily authorized to adopt revisions of WIPO Standard ST.66;



(e) a proposal to revise WIPO Standard ST.66 would be forwarded to the SDWG for its consideration whenever a proposed revision became controversial, i.e., whenever it was not possible to reach consensus among the ST.66 Task Force members; and

(f) the ST.66 Task Force Leader would inform the SDWG of any revision of WIPO Standard ST.66 adopted by the Task Force at the next meeting of the SDWG.

57. The SDWG considered Task No. 34 to be completed.

Agenda Item 13: Discussion of the synchronization of WIPO Standard ST.36 and Annex F of the PCT Administrative Instructions (Part 7)

58. A discussion took place on the best method to ensure the synchronization of Annex F of the PCT Administrative Instructions (Part 7) and WIPO Standard ST.36.

59. The SDWG agreed to create the following task: “Ensure continuous revision and updating of WIPO Standard ST.36”, and also established the ST.36 Task Force to handle this task with the Secretariat as Task Leader.

60. The SDWG agreed that:

(a) any proposal to revise WIPO Standard ST.36 presented to the Secretariat would be forwarded directly to the ST.36 Task Force for consideration and approval;

(b) the ST.36 Task Force would be temporarily authorized to adopt revisions of WIPO Standard ST.36;

(c) a proposal to revise WIPO Standard ST.36 would be forwarded to the SDWG for its consideration whenever a proposed revision became controversial, i.e., whenever it was not possible to reach consensus among the ST.36 Task Force members; and

(d) the ST.36 Task Force Leader would inform the SDWG of any revision of WIPO Standard ST.36 adopted by the Task Force at the next meeting of the SDWG.

61. The SDWG also requested the ST.36 Task Force to undertake the following:

(a) to prepare a revision of the International Common Elements (ICE) of WIPO Standard ST.36 on the basis of the latest version of the DTDs provided by Annex F; and

(b) to consider whether it was necessary to revise any other part of WIPO Standard ST.36 as a consequence of changes made to Annex F since the adoption of the Standard in November 2004, and if necessary, to revise the Standard.

62. The SDWG requested the Representative from the PCT to consider the possibility of removing the XML technical details from Annex F and having Annex F refer to WIPO Standard ST.36. The Secretariat agreed to review this request and inform the SDWG of the outcome.

Agenda Item 14: Discussion of harmonization of the XML (eXtensible Markup Language) markup for patents, trademarks, and industrial designs

63. A discussion took place on methods to ensure harmony among XML resources for all three types of industrial property sufficient for the needs of WIPO's Member States. The need to establish a set of International Common Elements (ICE) for patents, trademarks, and industrial designs was highlighted.

64. Following the discussion, the SDWG agreed to create a new task: "Prepare a proposal for a dictionary of International Common Elements (ICE), and model XML schemas and DTDs to be used for patents, trademarks and industrial designs".

65. The need for an XML standard for industrial designs was raised and the SDWG agreed to create a new task: "Prepare a standard for the processing of industrial design information using XML".

66. For both the above tasks, the SDWG created the corresponding Task Forces to be led by the Secretariat.

67. The Secretariat indicated that certain delegations had expressed their interest in co-leading the discussions on the harmonization of XML resources.

68. The SDWG agreed to recommend to the SCIT Plenary that harmonization in the field of industrial property information should be included in the SCIT strategic plan, e.g., XML technology. The SDWG also requested the SCIT Plenary to consider the review of a change management procedure for WIPO Standards where XML elements were concerned and to define a method for the management of such changes with respect to related procedures (e.g., WIPO Standard ST.36 and Annex F).

69. Several delegations expressed the need to make new XML standards compatible with WIPO Standard ST.36.

70. Following an invitation from the Secretariat, the Representative of OHIM reported that OHIM had already produced two versions of its XML standard for designs and that it was preparing the next version which would be aligned with WIPO Standard ST.66.

71. The SDWG agreed that there would be an informal meeting, during the eighth session of the SDWG, of delegations interested in discussing how to ensure harmony between the tasks of the four Task Forces dealing with XML issues.

Agenda Item 15: Consideration of the SDWG Task List

72. Discussions were based on document SCIT/SDWG/8/12.

73. Following a brief introduction by the Secretariat, the SDWG discussed the Tasks contained in Annex I of document SCIT/SDWG/8/12 and, in addition to updating the information regarding the status of the tasks that had been discussed during the eighth session, agreed the following:

Task No. 7: To be closed and removed from the SDWG Task List. To move the “Statement of Principles Concerning the Changeover to Electronic Data Carriers for the Exchange of Patent Documents” that is available in the WIPO Handbook to the Archive.

Task No. 15: To be held in abeyance subject to review in the light of progress in the development of the digital access service for priority documents.

Task No. 17: To add to Section III (Proposed Action with Time Frame) paragraph 4: “Monitor and report on the changeover to the electronic carriers”; paragraph 5: “The EPO would report on discussions held within the Trilateral Offices concerning a proposal on media-less packaging and transmission of patent information”, specifically with regard to updating ST.30, ST.35 and ST.40.”

Task No. 20: To invite the Trademark Standards Task Force to review the proposal to include images, photographs and drawings related to patent documents and industrial designs within the scope of Task No. 20, and invite delegations that were not members of the Task Force to participate in these discussions.

Task No. 32: To be held in abeyance. Subject to review in the light of any progress regarding this Task within the International Bureau.

Task No. 34: To be closed and removed from the SDWG Task List.

Agenda Item 16: Schedule of activities

74. Discussions were based on document SCIT/SDWG/8/13.

75. The Secretariat proposed February 18 to 22, 2008, for the next session of the SDWG and indicated that November 16, 2007, would be the deadline for all documents relating to the next meeting to be received by the Secretariat.

76. The SDWG agreed that its ninth session was tentatively scheduled to be held from February 18 to 22, 2008.

Meetings of the SDWG Task Forces

77. During this session of the SDWG, the following meetings of the SDWG Task Forces took place: the meeting of the ST.10/C Task Force, the meeting of the Trademark Standards Task Force and the WIPO Standard ST.66 Forum. An informal meeting of interested delegations took place on how to ensure harmony between the tasks of the four Task Forces dealing with XML issues and a presentation was enclosed from OHIM on the XML standard for designs.

Retirement de Mrs. Kerstin Bergström (Sweden)

78. The SDWG takes the opportunity to thank Mrs. Kerstin Bergström and pay tribute to her for her years of active participation in the SDWG meetings and its predecessor PCIPI meetings. She has made a huge contribution to the field of industrial property information and documentation. The SDWG extends its best wishes to her for a happy and healthy retirements.

Agenda Item 17: Adoption of the report of the session

*79. This report was adopted by the Standards and Documentation Working Group (SDWG) of the Standing Committee on Information Technologies (SCIT).*

Agenda Item 18: Closing of the session

*80. The meeting was closed following the adoption of the Report.*

[Annexes follow]