

# WIPO



SCIT/SDWG/9/12

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WORLD INTELLECTUAL PROPERTY ORGANIZATION  
GENEVA

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

**Ninth Session**  
**Geneva, February 18 to 21, 2008**

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 ninth session from February 18 to 21, 2008.
2. The following Member States of WIPO and/or the Paris Union were represented at the session: Angola, Argentina, Australia, Austria, Brazil, Canada, China, Denmark, Egypt, Estonia, Finland, Germany, Greece, Haiti, Hungary, Indonesia, Iraq, Ireland, Japan, Libyan Arab Jamahiriya, Lithuania, Mexico, Moldova, Poland, Portugal, Republic of Korea, Romania, the Russian Federation, Serbia, Slovakia, South Africa, Spain, Sudan, Sweden, Switzerland, The Former Yugoslav Republic of Macedonia, Ukraine, United Kingdom, the United States of America and Zimbabwe (40).
3. In their capacity as members of the SCIT, the representatives of the following organizations took part in the session: African Intellectual Property Organization (OAPI), the African Regional Intellectual Property Organization (ARIPO), 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), the Patent Office of the Cooperation Council for the Arab States of the Gulf (GCC Patent Office), the Organization of the Islamic Conference (OIC) and the “*Organisation Internationale de la Francophonie*” (OIF) (9).

4. The Representative of the European Commercial Patent Services Group (PatCom) 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. Angel López Solanas, Head, Standards and Documentation Section, acted as Secretary of the session.

Agenda Item 3: Adoption of the Agenda

9. The Delegation of Germany and the Secretariat proposed the addition of new agenda items 15(c) and 15(d), and 15(b), respectively. The new agenda item 15 would read:

Exchange of information:

- (a) Impact of the new European Patent Convention (EPC2000) on the EP documents and publications practices;
- (b) Oral report by the Secretariat on modifications of the Annex C to the Administrative Instructions under the Patent Cooperation Treaty (PCT) and of WIPO Standard ST.25;
- (c) Oral report by the Secretariat on the implementation of the Digital Access Service (DAS) for Priority Documents; and
- (d) Oral report by the Secretariat on the Journal of Patent Associated Literature (JOPAL) database service.

10. The revised agenda was unanimously adopted by the SDWG and appears as Annex II to this report.
11. The adoption of the report, by agreement, was completed electronically. Comments were invited via a restricted e-forum, the access to which was dependent on e-mail addresses given in the registration form for this session of the SDWG.

## DISCUSSIONS, CONCLUSIONS AND DECISIONS

12. 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.

## PRESENTATIONS

13. The presentations given to this session of the SDWG and working documents are available on the WIPO website ([http://www.wipo.int/meetings/en/details.jsp?meeting\\_id=14983](http://www.wipo.int/meetings/en/details.jsp?meeting_id=14983)).

### Agenda Item 4: Revision of WIPO Standard ST.13 (Task No. 30)

14. Discussions were based on document SCIT/SDWG/9/2 concerning the proposal by the ST.10/C Task Force on the application number prototype format for the revision of WIPO Standard ST.13 and remaining work to be completed with regard to Task No. 30.

15. The SDWG noted the report presented by the ST.10/C Task Force in the Annex to document SCIT/SDWG/9/2, and the oral progress report by the Task Force Leader who referred to the progress made with regard to the revision of WIPO Standard ST.13 and to the issues contained in the new proposal reproduced in document SCIT/SDWG/9/2 that required further discussion by the SDWG. The pending issues listed by the Task Force Leader were the following:

(a) the range of codes 90-99, within the two-digit codes used to identify the type of industrial property right, should be reserved for use by the International Bureau of WIPO;

(b) WIPO Standard ST.3 code should be considered as part of the application number in the case of international applications filed under the Patent Cooperation Treaty (PCT), as an exception to the "General" rule set out in the proposed revision of WIPO Standard ST.13; and

(c) the fixed length of the serial number should be expanded from eight digits to nine digits, thus increasing the overall length of the application number from 14 to 15.

16. 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 and focused its discussions on the issues referred to in the previous paragraph, as well as on those issues that were listed in paragraph 9 of document SCIT/SDWG/9/2. The SDWG also discussed the title of the Standard and the definitions of the terms "patents", "trademarks" and "industrial designs" given in the Standard.

17. Following the discussions, the SDWG adopted the revision of WIPO Standard ST.13 as reproduced in Annex III to this report.

18. The SDWG decided that it was not necessary to include in WIPO Standard ST.13 any explanation regarding the keywords MUST, MUST NOT, SHALL, SHOULD, SHOULD NOT, MAY and OPTIONAL as described in the Internet Engineering Task Force (IETF) Request For Comments (RFC) 2119. Modal verbs should be uncapitalized within the Standard.

19. The SDWG requested the International Bureau to maintain, in the WIPO *Handbook on Industrial Property Information Documentation* (WIPO Handbook), a list of industrial property right type codes, internal use codes (to be included in the nine-digit serial number) and control number (check digit) which information is unique to an individual industrial property office (IPO).

20. The SDWG requested the ST.36, ST.66 and ST.86 Task Forces to consider updating WIPO Standards ST.36, ST.66 and ST.86 as a consequence of the revision of WIPO Standard ST.13. The SDWG also requested the XML4IP Task Force to consider the new version of WIPO Standard ST.13 in its discussions.

21. The SDWG approved the following proposal by the ST.10/C Task Force on further actions regarding Task No. 30:

The Task Force, during the period from the ninth to the tenth sessions of the SDWG, should review WIPO Standard ST.10/C, particularly paragraphs 5 to 7, for any revision needed in light of the revised WIPO Standard ST.13 that had been adopted at this session of the SDWG.

Agenda Item 5: Oral report by the Task Leader of the ST.22 Task Force (Task No. 37)

22. The SDWG noted the oral 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 to applicants submitting patent applications in paper format for facilitating Optical Character Recognition (OCR). The revision work had been mostly frozen last year due to the parallel emergence of the Trilateral Common Application Format (CAF) and to concerns about the overlapping scopes and possible conflicts in the two initiatives. The CAF was published on the website of the Trilateral Offices (EPO, JPO and USPTO) on November 30, 2007.

23. The Task Force Leader informed the SDWG on a draft amendment to the proposal for the revision of WIPO Standard ST.22 that intended to harmonize the revised version of WIPO Standard ST.22 with the CAF. The Delegates of the Trilateral Offices expressed their satisfaction with respect to the proposed conflict resolution between WIPO Standard ST.22 and the CAF. The amendment will be presented for consideration by the ST.22 Task Force in order to reach agreement on the details to harmonize WIPO Standard ST.22 with the CAF.

24. Following discussions, the SDWG gave a mandate to the ST.22 Task Force to continue the revision of WIPO Standard ST.22.

25. The SDWG also instructed the Task Force to present the Latin-character language version of WIPO Standard ST.22 for approval at the next meeting of the SDWG, while starting the work required for the recommendations for non-Latin character languages.

26. It was estimated that the recommendations related to the non-Latin character languages like Chinese, Japanese and Korean would not be ready by the next meeting of the SDWG. More time would be needed to complete the revision of WIPO Standard ST.22 for non-Latin character languages.

Agenda Item 6: Citation practices by patent offices (Task No. 36)

27. Discussions were based on document SCIT/SDWG/9/3 concerning issues associated with citation reference creation and retrieval.

28. The SDWG noted the oral report by the Task Force Leader who referred to the progress made with regard to Task No. 36. The SDWG further noted the oral presentation by the EPO on the subject of citation processing at the EPO.

29. The SDWG considered six proposals, made by the Task Force, related to citation practices. All proposals were noted or agreed to, as appropriate, with one proposal requiring clarification, as outlined in paragraph 33, below.

30. The SDWG, after considering the summary and analysis of the survey questionnaire based on Circular C.SCIT 2605 and reproduced as Annex I to document SCIT/SDWG/9/3, decided to approve the publication of “Citation Practices by Offices” in Part 7 of the WIPO Handbook.

31. The SDWG noted the contents of “Observations, Comments, and Conclusions relating to Citation Practices by Patent Offices” reproduced as Annex II to document SCIT/SDWG/9/3.

32. The SDWG gave a mandate to the Task Force to develop an extended survey questionnaire to further determine the citation practices of IPOs. The new survey is to consider including, but not be limited to, the questions discussed in paragraph 7 of document SCIT/SDWG/9/3.

33. Having considered the proposal to redefine the term “Citation” in the Glossary of Part 8 of the WIPO Handbook, the SDWG approved the redefinition as reproduced in Annex IV to this report.

34. The SDWG approved the publication of a revised WIPO Standard ST.14, according to that reproduced in Annex IV to document SCIT/SDWG/9/3.

35. The SDWG, having considered a request by the ST.36 Task Force to review the points elaborated in paragraph 12 of document SCIT/SDWG/9/3, and then take any necessary action, noted that the creation of citations and the corresponding tags were often in the control of the applicants rather than the offices.

Agenda Item 7: Proposal on the revision of WIPO Standard ST.9 (Task No. 33)

36. Discussions were based on document SCIT/SDWG/9/4 concerning a proposal for the revision of the list of the Internationally agreed Numbers for the Identification of (bibliographic) Data (INID codes) provided in WIPO Standard ST.9. The proposal was presented by the EPO within the framework of Task No. 33.

37. Following the discussions, the SDWG adopted the following new INID code (27) and Note (iii) under category (20):

(27) Reference to a previously filed application for the purpose of obtaining a filing date under the Patent Law Treaty (PLT), Article 5(7)

Notes: (iii) With regard to code (27), the reference shall be made by indicating the WIPO Standard ST.3 code of the office with which the previous application was filed, the application number of the application, and, if required, the filing date.

38. The SDWG also adopted the following revisions of INID codes (30) and (34):

(30) Data relating to priority under the Paris Convention or the Agreement on Trade-Related Aspects of Intellectual Property Rights (TRIPS Agreement)

(34) For priority filings under regional or international arrangements, the WIPO Standard ST.3 code identifying at least one country party to the Paris Convention or member of the World Trade Organization for which the regional or international application was made.

39. During the adoption of this report, the Delegation from the Russian Federation expressed their reservation with respect to the definition of INID code (30) that was adopted by the SDWG. During the discussion on the revision of INID code (34), the Delegation had proposed to put the code in line with the EPO request, in particular, to refer to a "one country party to the Paris Convention or member of the World Trade Organization that is not party to the Paris Convention" instead of to a "one country party to the Paris Convention or member of the World Trade Organization (see paragraph 38).

Agenda Item 8: Report by the Task Leader of the ST.36 Task Force (Task No. 38)

40. Discussions were based on document SCIT/SDWG/9/5, which contained a progress report by the Leader of the ST.36 Task Force on the revision of WIPO Standard ST.36.

41. The SDWG noted that the ST.36 Task Force had adopted a revision of WIPO Standard ST.36 in November 2007, in particular, the WIPO Standard ST.36 main body and the structure of WIPO Standard ST.36 (International Common Elements (ICEs) as Annex C to the WIPO Standard ST.36).

42. With regard to ongoing and further discussions within the Task Force, the Secretariat reported that the ST.36 Task Force was continuing to review the revisions of the ICEs and Model DTD (Document Type Definition) to align with the latest version of the DTDs provided in Annex F of the PCT Administrative Instructions. After completion of the ongoing discussions, the Task Force should review several pending issues related to the other updates for the ICEs and Model DTDs.

43. In accordance with the request by the SDWG (see paragraph 62 of document SCIT/SDWG/8/14), the International Bureau, in its role as administrator of the PCT, reported that it had considered the relationship between Annex F of the PCT Administrative Instructions and WIPO Standard ST.36, and concluded that it was premature to consider any change. Given that the efficient operation of the PCT required a more closely defined data transfer standard than is currently provided by WIPO Standard ST.36, there was no benefit in attempting to define the PCT standards solely within the context of the ST.36 Task Force. The International Bureau was willing to look further into the matter, but would require a clearer indication of the benefits which Member States hoped to achieve if any results were to be possible.

#### Agenda Item 9: Report by the Task Leader of the ST.66 Task Force (Task No. 39)

44. Discussions were based on document SCIT/SDWG/9/6, which contained a report by the Leader of the ST.66 Task Force relating to a revision of WIPO Standard ST.66.

45. The SDWG noted that the ST.66 Task Force had adopted the revision of WIPO Standard ST.66 on December 3, 2007, namely, the WIPO Standard ST.66 main body and Appendices A to C and E. It was also noted that all relevant information on the revision, including the previous version of the schema, was available on the WIPO Standards ST.66 web page ([http://www.wipo.int/standards/en/xml\\_material/st66/](http://www.wipo.int/standards/en/xml_material/st66/)).

46. The Secretariat reported that the ST.66 Task Force had no ongoing discussions at that moment, but could expect further discussion on the migration of MECA (Madrid Electronic CommunicAtions) tagged-data into a WIPO Standard ST.66 compliant format.

#### Agenda Item 10: XML (eXtensible Markup Language) standard for industrial designs (Task No. 40)

47. Discussions were based on document SCIT/SDWG/9/7.

48. The Secretariat presented an oral report on the work carried out by the WIPO Standard ST.86 Task Force. This Task Force was created to prepare a standard for the processing of industrial design information using XML (eXtensible Markup Language).

49. The SDWG adopted the new WIPO Standard ST.86, entitled “Recommendation for the Processing of Industrial Design Information Using XML (eXtensible Markup Language)”, as reproduced in the Annex to document SCIT/SDWG/9/7 and in the electronic versions of the Appendices provided with the working documents for the ninth session of the SDWG ([http://www.wipo.int/meetings/en/details.jsp?meeting\\_id=14983](http://www.wipo.int/meetings/en/details.jsp?meeting_id=14983)).

50. With regard to the continuous revision and updating of the new WIPO Standard ST.86, the SDWG approved the following fast-track procedure:

(a) a new task should be created: “Ensure the necessary revisions and updates of WIPO Standard ST.86”;

(b) any proposal to revise WIPO Standard ST.86 presented to the Secretariat should be forwarded directly to the ST.86 Task Force for consideration and approval;

(c) the ST.86 Task Force should be temporarily authorized to adopt revisions of WIPO Standard ST.86;

(d) a proposal to revise WIPO Standard ST.86 should be forwarded to the SDWG for its consideration whenever a proposed revision becomes controversial, i.e., whenever it is not possible to reach consensus among the ST.86 Task Force members; and

(e) the ST.86 Task Force Leader should inform the SDWG at the first occasion of any revision of WIPO Standard ST.86 adopted by the Task Force.

51. The SDWG considered Task No. 40 to be completed.

Agenda Item 11: Oral report by the Task Leader of the XML4IP Task Force (Task No. 41)

52. The Secretariat reported on the XML4IP Task Force’s activities to prepare a proposal for a dictionary of Global ICEs, and model XML schemas and DTDs to be used for patents, trademarks and industrial designs.

53. The XML4IP Task Force was set up in May 2007. Fourteen offices currently participate in the Task Force. In October 2007, there was an informal meeting of the SDWG Task Forces dealing with XML issues, namely the ST.36, ST.66, ST.86 and XML4IP Task Forces. During the meeting, the XML4IP Task Force discussed the concept of XML4IP and candidates of the Global ICEs. Further information is available at <http://www.wipo.int/scit/en/taskfrce/xml4ip/background.htm>.

54. In order to share information on XML4IP, a Delegate from the United States of America presented the concept of XML4IP, which was discussed in the meeting mentioned in the previous paragraph, as well as his investigations on XML4IP issues. The Delegate also introduced the sample of Global ICEs (e.g. Address, Name).



55. The SDWG noted that the time frame and action plan for progressing the XML4IP work were intended to be discussed at the informal Task Force meeting scheduled for later on in the week.

Agenda Item 12: Guidelines for the electronic management of the figurative elements of trademarks (Task No. 20)

56. Discussions were based on document SCIT/SDWG/9/8, which contained a proposal for a new WIPO standard on the electronic management of the figurative elements of trademarks. The proposal had been prepared by the Trademark Standards Task Force within the framework of Task No. 20.

57. The SDWG noted the oral report presented by the Leader of the Trademark Standards Task Force, who referred to the progress made in respect of Task No. 20 and to the expected contents of the proposed standard when it would be fully developed. With regard to the request by the SDWG, at its last session in March 2007, inviting the Task Force to review the proposal for the new WIPO standard to include images, photographs and drawings related to patent documents and industrial designs within the scope of Task No. 20 (see paragraph 73 of document SCIT/SDWG/8/14), the Task Force Leader informed the SDWG that the Task Force had decided to continue focusing its attention on the figurative elements of trademarks first. Then, after reaching agreement on the new WIPO standard for trademarks, the Task Force would address the discussions on how to open the new standard to patents and industrial designs.

58. The Task Force Leader also explained that the Task Force intended to prepare a standard composed of two parts, the main body and three Appendices A, B and C. The proposal reproduced in the Annex to document SCIT/SDWG/9/8 would be the main body of the new standard. Proposals for Appendices A, B and C were still under preparation. Appendix A would provide recommendations on digital image formats, Appendix B on color management and Appendix C on online publication.

59. The SDWG agreed that the Task Force should continue the preparation of a new standard on the electronic management of the figurative elements of trademarks only. Then, after reaching agreement on the new WIPO standard for trademarks, the standard would be expanded to patents and industrial designs, and the title of the standard revised accordingly.

60. The SDWG considered the proposals made by the Task Force for the new WIPO standard and, although acknowledging the brevity and clarity of the proposed standard, decided to refer the proposal back to the Task Force for further consideration of some technical details. In particular, the Task Force should further discuss the text of paragraphs 5 to 7, including the recommendations for the maximum resolution, and add references to Appendices A, B and C, even if the Appendices were not yet completed. The Task Force should present a revised proposal at the next session of the SDWG.

61. As per item 6(a) of document SCIT/SDWG/9/8, the SDWG approved the number and title of the proposed standard. The SDWG also decided that the word “Guidelines” in the title and throughout the text of the proposed standard should be replaced with “Recommendations”. Thus, once the new standard was adopted, the complete title of the standard would be “WIPO Standard ST.67 - Recommendations for the electronic management of the figurative elements of trademarks”.

Agenda Item 13: Annual Technical Reports (ATRs) on Patent, Trademark and Industrial Design Information Activities (Task No. 24)

62. Discussions were based on document SCIT/SDWG/9/9 relating to the instructions given to the ATRs Task Force by the SDWG at its eighth session, including the revision of the Recommended Contents of the Annual Technical Reports (ATRs).

63. The SDWG noted the oral report by the Task Force Leader who included reference to the progress made with regard to Task No. 24.

64. The SDWG considered the Recommended Contents of ATRs on Patent Information Activities reproduced in Annex I to document SCIT/SDWG/9/9.

65. The SDWG agreed on the Recommended Contents referred to in the previous paragraph with the following modifications:

(a) A definition for classification should be added as a first footnote on page 2 for item III, sub-item 2. The definition should read “Classification is allotting one or more classification symbols (e.g., IPC symbols) to a patent application, either before or during search and examination, which symbols are then published with the patent application.”

(b) The definition for preclassification should be provided as a second footnote on page 2 for item III, sub-item 2. The footnote should be revised to read: “Preclassification is allotting an initial broad classification symbol (e.g., IPC class or subclass, or administrative unit) to a patent application, using human or automated means for internal administrative purposes (e.g., routing an application to the appropriate examiner). Usually preclassification is applied by the administration of an office.”

(c) A definition for reclassification should be provided as a third footnote on page 2 for item III, sub-item 2. The footnote would read: “Reclassification is the reconsideration and usually the replacement of one or more previously allotted classification symbols to a patent document, following a revision and the entry into force of a new version of the Classification system (e.g., the IPC). The new symbols are available on patent databases.”

(d) The (last) sub-item of item VII and the corresponding footnote relating to “Implementation of the Statement of Principles Concerning the Changeover to Electronic Data Carriers for the Exchange of Patent Documents” should be removed.

66. The SDWG considered the Recommended Contents of ATRs on Trademark Information Activities reproduced in Annex II to document SCIT/SDWG/9/9.

67. The SDWG approved the Recommended Contents referred to in the previous paragraph with the exception that reference to “, preclassification (if applicable),” and its corresponding definition should be removed.

68. The SDWG considered the Recommended Contents of ATRs on Industrial Design Information Activities reproduced in Annex III to document SCIT/SDWG/9/9

69. The SDWG approved the Recommended Contents referred to in the previous paragraph with the exception that reference to “, preclassification (if applicable),” and its corresponding definition should be removed.

70. In concluding its debate, the SDWG approved the revision of the Recommended Contents of ATRs on Patent, Trademark and Industrial Design Information Activities, referred to in paragraphs 64 to 69, above, as reproduced in Annex V to this report.

Agenda Item 14: Oral report on the website of the WIPO *Handbook on Industrial Property Information and Documentation* (Task No. 26)

71. The SDWG noted the oral report by the Task Force Leader who included reference to the progress made with regard to Task No. 26 relating to the updating of the WIPO Handbook.

72. The SDWG noted the completion of the WIPO Handbook content in English, French and Spanish available at WIPO’s website (<http://www.wipo.int/standards/>) according to the contents, structure and guidelines adopted by the SDWG at its fifth session.

73. The SDWG noted the request by the Task Force leader for SDWG participants, or other interested parties, to provide comments by March 31, 2008, to [scit.mail@wipo.int](mailto:scit.mail@wipo.int) about the website referred to in the previous paragraph.

74. The SDWG further noted the intention of the Secretariat to remove the (now) redundant pages relating to WIPO Standards and certain parts of the WIPO Handbook at <http://www.wipo.int/scit/en/standards/> following analysis of any comments received (as referred to in the previous paragraph), to redirect certain URL, to provide information to interested parties, and to perform any other relevant action required to progress this issue. The SDWG noted the time frame for removing the pages and completing any related action referred to in this paragraph was envisaged to be during April 2008.

Agenda Item 15(a): Impact of the new European Patent Convention (EPC2000) on the EP documents and publications practices

75. The SDWG noted the presentation given by a Representative of the EPO. The presentation was given just before agenda item 7 as the SDWG considered that it could be a useful introduction to the discussions on the revision of WIPO Standard ST.9 referred to in paragraphs 36 to 38, above.

Agenda Item 15(b): Oral report, by the Secretariat, on modifications of Annex C to the Administrative Instructions under the Patent Cooperation Treaty (PCT) and of WIPO Standard ST.25

76. The Secretariat informed the Working Group that consultations, in the context of the Patent Cooperation Treaty (PCT), on proposed modifications to the “Standard for the Presentation of Nucleotide and Amino Acid Sequence Listings in International Applications Under the Patent Cooperation Treaty (PCT)” as set out in Annex C to the Administrative Instructions under the PCT, which had been ongoing for quite some time, had been completed and that agreement had been reached to modify Annex C with effect from January 1, 2009. The main objectives of the modifications of Annex C had been to make a clear distinction between, on the one hand, provisions applicable to sequence listings forming part of the application and, on the other hand, provisions applicable to sequence listings not forming part of the application but furnished for the purposes of the international search and preliminary examination. Furthermore, Annex C had been modified to also deal with requirements for the presentation of sequence listing tables.

77. The Secretariat noted that the modifications to Annex C had a direct impact on WIPO Standard ST.25, which recommended that offices apply the provisions set out in the PCT Sequence Listing Standard *mutatis mutandis* to all patent applications other than the PCT international applications. First, there was the need to amend WIPO Standard ST.25 (including the footnote thereto) to reflect that the title of Annex C had been modified to read “Standard for the Presentation of Nucleotide and Amino Acid Sequence Listings and Sequence Listing Tables in International Patent Applications Under the Patent Cooperation Treaty (PCT)”. Second, there was the need to modify the footnote to WIPO Standard ST.25, consequent to the modification of paragraph 3 of Annex C, which was referred to in that footnote.

78. The Secretariat stated that it would submit a proposal to amend WIPO Standard ST.25 accordingly, with effect from January 1, 2009, to the SDWG for adoption at its next session.

79. The SDWG noted the report by the Secretariat.

Agenda Item 15(c): Oral report, by the Secretariat, on the implementation of the Digital Access Service for Priority Documents

80. The Secretariat noted that following the commencement of work towards the establishment of the Digital Access Service (DAS) for Priority Documents at WIPO as mandated by the Paris Union Assembly, the Patent Law Treaty (PLT) Assembly and the PCT Assembly, the SDWG at its eighth session had agreed to hold Task No. 15 (P-Docs Task Force) in abeyance, subject to review in the light of progress in the development of DAS (see document SCIT/SDWG/8/14, paragraphs 37 to 41).

81. The Secretariat advised that two sessions of the *ad hoc* Working Group on the Digital Access Service for Priority Documents (“DAS Working Group”) had been convened, the first in February 2007 (see the report of the session in document WIPO/DAS/PD/WG/1/6) and the second in July 2007 (document WIPO/DAS/PD/WG/2/4). The DAS Working Group had reached agreement on general principles, a system architecture and framework provisions needed to establish DAS (see Annexes I to III to document WIPO/DAS/PD/WG/2/4), subject to the possible need for further drafting changes in the framework provisions. It seemed that a small number of such changes would be needed, for example, to ensure compatibility with certain national laws. The International Bureau was working with the Offices concerned to agree on proposed changes, which would then be the subject of consultation through the DAS Working Group's electronic forum. It seemed likely that the final version of the framework provisions would be agreed upon within the next few weeks.

82. The SDWG was informed that the system design and development phase of the first practical implementation of the DAS system was underway. That initial implementation was projected to be available in mid-2008, with testing to start around April. The service was likely to be in production use by late 2008 when offices were expected to be in a position to use the service. The second half of 2008 would be devoted to making further enhancements of the DAS system.

83. The Secretariat advised that it had started consultations with the Trilateral Offices (EPO, JPO and USPTO) on the requirement to develop connectivity between the DAS and the Trilateral Document Access (TDA) system. Before such a bridge was established, a revised specification for the TDA interface would be developed. Testing was therefore expected to start in late 2008.

84. The Secretariat suggested that the status of Task No. 15 (P-Docs Task Force) should be reviewed following the implementation of the DAS, by which time interested parties would have had the benefit of practical experience with the DAS. Consultations on the matter would then be conducted through the DAS Working Group's electronic forum.

85. The SDWG noted the report by the Secretariat.

Agenda Item 15(d): Oral report, by the Secretariat, on the Journal of Patent Associated Literature (JOPAL) database service

86. The Journal of Patent Associated Literature (JOPAL) project had been active since the 1980's. The purpose of the project was to classify non-patent literature (NPL) journals of the PCT minimum documentation list according to the IPC. Contributing offices classified articles in the journals assigned to them and sent the information to the International Bureau. Since 1998, JOPAL had been made available as a searchable database over the Internet.

87. The question of the future of JOPAL had last been raised in 1999/2000 when a survey of offices was conducted by the International Bureau and results were presented to the SCIT in January 2001 (see document SCIT/6/4). Results of that survey showed that JOPAL was used in some way by 15 offices and it was decided to continue the project.

88. Since 2001, three contributing offices had officially withdrawn from the project and of the 10 remaining offices, four were sending regular contributions in recent months. Use of the system had continued to decline to the point where it was not possible to determine whether there were any active users of the database or whether all of the web activity was due to Internet search engines.

89. The IB proposed by circular C. 7488 to IPOs, in August 2007, to discontinue the JOPAL project. Sixteen responses were received to that circular, the majority of which were in favor of discontinuation. Three offices either did not support the discontinuation or else proposed options to improve the service. In view of the responses, the IB wrote to offices in February 2008 to announce discontinuation of the project as from March 2008.

90. The question of access to NPL, particularly for small offices and those in developing countries, was still under consideration by the IB, and suggestions made by offices would be taken into account in any future work in this area.

91. The SDWG noted the report by the Secretariat.

Agenda Item 16: Consideration of the SDWG Task List

92. Discussions were based on document SCIT/SDWG/9/10.

93. Following a brief introduction by the Secretariat, the SDWG discussed the Tasks contained in Annex I of document SCIT/SDWG/9/10 and, in addition to updating the information regarding the status of the Tasks that had been discussed during the ninth session, including the information provided to the SDWG under agenda item 15 (Exchange of information), agreed on the following:

Task No. 17: to replace, in paragraph III.3, the reference to "media-less packaging" with "media-independent packaging".

Task Nos. 17, 18 and 19: to keep the current description of these three Tasks until the SCIT Plenary, or a future body that could replace it, was able to make the appropriate decisions with regard to the continuation, definition and scope of the Tasks, as well as to their allocation to other task forces different from the SCIT Electronic Data Processing and Exchange Standards (EDPES) Task Force. Meanwhile, the SDWG would continue creating the tasks and task forces that it would consider necessary for carrying out activities related to Task Nos. 17, 18 and 19.

Task No. 32: to be closed and removed from the SDWG Task List.

Task No. 38: to indicate, in section III, that the issue of removing the technical details from Annex F of the PCT Administrative Instructions and having Annex F refer to WIPO Standard ST.36 was not closed, but pending on future developments as referred to in paragraph 42, above.

Task No. 40: to be closed and removed from the SDWG Task List.

#### Agenda Item 17: Schedule of activities

94. Discussions were based on document SCIT/SDWG/9/11.

95. The Secretariat proposed November 17 to 21, 2008, for the next session of the SDWG and indicated that August 16, 2008, would be the deadline for all documents relating to the next meeting to be received by the Secretariat.

96. The SDWG agreed that its tenth session was tentatively scheduled to be held from November 17 to 21, 2008.

#### Meetings of the SDWG Task Forces

97. During this session, the following SDWG Task Forces held informal meetings: Citation Practices Task Force, ST.10/C Task Force, ST.22 Task Force, XML4IP Task Force, Trademark Standards Task Force and ST.36 Task Force. The Task Force Leaders informed the SDWG of the progress made regarding their respective tasks in the informal meetings.

#### Agenda Item 18: Adoption of the report of the session

98. *This report was adopted by the participants to the ninth session of the SDWG via a restricted e-forum.*

Agenda Item 19: Closing of the session

99. *The meeting was closed following the reports by the Task Force Leaders on the informal meetings of the SDWG Task Forces*

[Annexes follow]



ANNEXE I/ANNEX I

I. ÉTATS MEMBRES/MEMBER STATES

(dans l'ordre alphabétique des noms français des États)  
(in the alphabetical order of the names in French of the States)

AFRIQUE DU SUD/SOUTH AFRICA

Michael TWUM-DARKO, Chief Information Officer, Department of Trade and Industry, Companies and Intellectual Property Registration Office (CIPRO), Pretoria

Hannelie Van WYK (Mrs.), Operations Manager, Department of Trade and Industry, Companies and Intellectual Property Registration Office (CIPRO), Pretoria

Peet PIENAAR, Enterprise Architect, Department of Trade and Industry, Companies and Intellectual Property Registration Office (CIPRO), Pretoria

ALLEMAGNE/GERMANY

Konrad HOFFMANN, Patent Examiner, IT International Cooperation, German Patent and Trade Mark Office, Munich

Katja DAUBERT (Ms.), IT Strategic Planning and International Cooperation, German Patent and Trade Mark Office, Munich

ANGOLA

Angelica COSTA (Mrs.), Third Secretary, Permanent Mission, Geneva

ARGENTINE/ARGENTINA

FASTAME Ines (Sra.), Secretario de Embajada, Misión Permanente, Ginebra

AUSTRALIE/AUSTRALIA

Rob WILLS, Manager, International ICT Cooperation, Business and Information Management Solutions Group, IP Australia, Woden ACT

Samantha HOY (Ms.), Technical Coordinator, International ICT Cooperation, Business and Information Management Solutions Group, IP Australia, Woden ACT

AUTRICHE/AUSTRIA

Katharina FASTENBAUER (Mrs.), Deputy Vice-President Technics, Head of Technical Central Unit ST, Austrian Patent Office, Vienna

Martin KRACKER, Head, IT Department, Austrian Patent Office, Vienna

BRÉSIL/BRAZIL

Raul SUSTER, Head of CEDIN, National Institute of Industrial Property, Rio de Janeiro

Cliffor GUIMARAES, Policy Advisor, Ministry of Culture, Brasilia

CANADA

John ROMBOUTS, Technical Architect, Informatics Services Branch, Canadian Intellectual Property Office (CIPO), Gatineau, Québec

CHINE/CHINA

LI Cheng, Director, Project Management Division, Information Technology Department, State Intellectual Property Office (SIPO), Beijing

ZHAO Sheng, Official, Information Resource Management Division, Information Technology Department, State Intellectual Property Office (SIPO), Beijing

TANG Yanli (Ms.), Official, Documentation Research Division, Patent Documentation Department, State Intellectual Property Office (SIPO), Beijing

DING Jin, Computer System Administration Division, Trademark Office, State Administration for Industry and Commerce (SAIC), Beijing

DANEMARK/DENMARK

Janne WELLENDORF (Mrs.), IT Project Manager, Danish Patent and Trademark Office, Taastrup

ÉGYPTE/EGYPT

Salah Eldin EL SAKKARY, Computer Engineer, Egyptian Patent Office, Cairo

ESPAGNE/SPAIN

Rosa CARRERAS DURBÁN (Sra.), Coordinadora del Área de Proyectos Tecnológicos Internacionales, División Tecnologías de la Información, Oficina Española de Patentes y Marcas, Madrid

Francisco José MORENO GÓMEZ, Técnico Superior Examinador, Departamento de Patentes e Información Tecnológica, Oficina Española de Patentes y Marcas, Madrid

ESTONIE/ESTONIA

Raul KARTUS, Advisor of the Legal Department, Estonian Patent Office, Tallinn

Jaanus KASPER, Head, Information Technology Department, Estonian Patent Office, Tallinn

ÉTATS-UNIS D'AMÉRIQUE/UNITED STATES OF AMERICA

Betty ANDREWS (Mrs.), Director, Office of Trademark Program Control, United States Patent and Trademark Office, Alexandria, Virginia

Bruce COX, Manager, Standards Development Division, United States Patent and Trademark Office, Alexandria, Virginia

Christopher Y. KIM, International Liaison Staff, United States Patent and Trademark Office, Alexandria, Virginia

EX-RÉPUBLIQUE YOUGOSLAVE DE MACÉDOINE/THE FORMER YUGOSLAV  
REPUBLIC OF MACEDONIA

Arjeton UZAIRI, IT Engineer, State Office of Industrial Property (SOIP), Skopje

FÉDÉRATION DE RUSSIE/RUSSIAN FEDERATION

Anna GRASHCHENKOVA (Mrs.), Principal Specialist, International Cooperation Department, Federal Service for Intellectual Property, Patents and Trademarks (ROSPATENT), Moscow

Valeria MAKSIMOVA (Mrs.), Deputy Head, Information Resources Development Department, Federal Institute of Industrial Property (FIPS) of ROSPATENT, Moscow

Olga TYURINA (Mrs.), Senior Researcher, Information, Resources Development Department, Federal Institute of Industrial Property (FIPS) of ROSPATENT, Moscow

Fedor VOSTRIKOV, Head of Division, Federal Institute of Industrial Property (FIPS) of ROSPATENT, Moscow

FINLANDE/FINLAND

Juha REKOLA, Director, Development Division, Patents and Innovations Line, National Board of Patents and Registration, Helsinki

GRÈCE/GREECE

Evangelia SAVVA (Mrs.), Administrative Employee, Ministry of Development, General Secretariat of Commerce, Directorate of Commercial and Industrial Property, Athens

Evgenia KOYMARI (Miss), Administrative Employee, Lawyer, Ministry of Development, General Secretariat of Commerce, Directorate of Commercial and Industrial Property, Athens

HAÏTI/HAITI

Pierre Mary Guy ST AMOUR, conseiller, Mission permanente, Genève

HONGRIE/HUNGARY

Zsuzsanna TÖRÖCSIK (Mrs.), Deputy Head, Information Technology Department, Hungarian Patent Office, Budapest

INDONÉSIE/INDONESIA

Yasmi ADRIANSYAH, Second Secretary, Permanent Mission, Geneva

IRAQ

Ahmed AL-NAKASH, Third Secretary, Permanent Mission, Geneva

IRLANDE/IRELAND

Karen RYAN (Mrs.), Patent Examiner, Patents Office, Kilkenny

JAMAHIRIYA ARABE LIBYENNE/LIBYAN ARAB JAMAHIRIYA

Hussein MAGHDAMI, First Secretary, Permanent Mission, Geneva

Ibtisam SAAITE (Ms.), Third Secretary, Permanent Mission, Geneva

JAPON/JAPAN

Atsushi MORIFUJI, Deputy Director, Information Dissemination and Policy Promotion Division, General Affairs Department, Japan Patent Office, Tokyo

Tsutomu IGARASHI, Deputy Director, Specialist for System Management, Information Technology Planning Office, General Affairs Division, General Affairs Department, Japan Patent Office, Tokyo

Takatoshi KIMURA, Deputy Director, Service and System Optimization Promotion Office, General Affairs Division, General Affairs Department, Japan Patent Office, Tokyo

LITUANIE/LITHUANIA

Saulé DAUKUVIENÉ (Mrs.), Deputy Head, Information Division, State Patent Bureau of the Republic of Lithuania, Vilnius

Vincas BATULEVICUS, Chief, Specialist IT, State Patent Bureau of the Republic of Lithuania, Vilnius

MEXIQUE/MEXICO

Javier ROA, Subdirector Divisional de Desarrollo de Sistemas, Instituto Mexicano de la Propiedad Industrial, México

Eugenio PONCE LEÓN, Director Divisional de Sistemas y Tecnología de la Información, Instituto Mexicano de la Propiedad Industrial, México

Gustavo TORRES CISNEROS, Asesor, Misión Permanente, Ginebra

MOLDAVIE/MOLDOVA

Vitalie RUSANOVSKI, Director, Informatics and Logistics Department, State Agency on Intellectual Property of the Republic of Moldova (AGEPI), Kishinev

POLOGNE/POLAND

Jacek ZAWADZKI, Head, Electronic Exchange of Information Division, Patent Office of the Republic of Poland, Warsaw

PORTUGAL

Maria Luísa Sam Pedro ARAÚJO (Mrs.), Head of the International Relations Department, National Institute of Industrial Property, Lisbon

RÉPUBLIQUE DE CORÉE/REPUBLIC OF KOREA

PARK Mi Jeong (Ms.), Deputy Director, Information Planning Division, Korean Intellectual Property Office, Daejeon

SOHN Dong Hyun, Assistant Manager, Information Management Team, Korean Intellectual Property Office, Daejeon

ROUMANIE/ROMANIA

Bogdan BORESCHIEVICI, Director, Patent Library, IT, Public Services Directorate, State Office for Inventions and Trademarks (OSIM), Bucharest

Adriana ATANASOAIE (Mrs.), Head, IT Division, State Office for Inventions and Trademarks (OSIM), Bucharest

Eugenia OPRESCU (Mrs.), Expert, Policy Making Division, State Office for Inventions and Trademarks (OSIM), Bucharest

Alina Georgiana CONSTANTIN (Mrs.), Examiner, State Office for Inventions and Trademarks (OSIM), Bucharest

Odette CIRSTEA (Mrs.), Chief of Department, Romanian Copyright Office, Bucharest

Valentin CORNATEL, Expert, Romanian Copyright Office, Bucharest

ROYAUME-UNI/UNITED KINGDOM

Peter BACK, Divisional Director, The Intellectual Property Office, Newport

Julie DALTREY (Mrs.), IT Project Manager, The Intellectual Property Office, Newport

SERBIE/SERBIA

Jelena POPOVIČ (Mrs.), Head, Documentation Department, Intellectual Property Office, Belgrade

Nadica KOSANOVIČ (Ms.), Senior Counselor, Information System Department, Intellectual Property Office, Belgrade

SLOVAQUIE/SLOVAKIA

Zuzana HANČULÁKOVÁ (Mrs.), Standards and Documentation Expert, Patent Information and Documentation Department, Industrial Property Office of the Slovak Republic, Banská Bystrica

SOUDAN/SUDAN

Amal H. EL TINAY (Mrs.), Registrar General of Intellectual Property, Office of the Registrar General of Intellectual Property, Ministry of Justice, Khartoum

Siddig ABDELGADIR, Federal Council for Literary and Artistic Works, Ministry of Culture and Youth, Khartoum

Mohamed Hassan KHAIR, First Secretary, Permanent Mission, Geneva

SUÈDE/SWEDEN

Leif STOLT, Process Manager, Patent Information, Swedish Patent and Registration Office, Stockholm

Gunnar LINDBOM, Unit Manager, Administration and Controller, Swedish Patent and Registration Office, Söderhamn

SUISSE/SWITZERLAND

Matthias GÜNTER, Head IT, Swiss Federal Institute of Intellectual Property, Berne

UKRAINE

Tetiana IAKOVENKO (Ms.), Chief Expert, Economics and Information Support Division,  
State Department of Intellectual Property, Kyiv

Svitlana KUSA (Ms.), Head, Patent Documentation and Standardization Division, Ukrainian  
Industrial Property Institute, State Department of Intellectual Property, Kyiv

ZIMBABWE

Rungano KARIMANZIRA, Director, Programmes and Projects Division, Ministry of Science  
and Technology Development, Harare

II. ORGANISATIONS INTERGOUVERNEMENTALES/  
INTERGOVERNMENTAL ORGANIZATIONS

OFFICE BENELUX DE LA PROPRIÉTÉ INTELLECTUELLE (OBPI)/BENELUX OFFICE  
FOR INTELLECTUAL PROPERTY (BOIP)

Jean-Marie PUTZ, IT Manager, The Hague

ORGANISATION RÉGIONALE AFRICAINE DE LA PROPRIÉTÉ INTELLECTUELLE  
(ARIPO)/AFRICAN REGIONAL INTELLECTUAL PROPERTY ORGANIZATION  
(ARIPO)

Gregory SADYALUNDA, Systems Administrator, Harare

ORGANISATION AFRICAINE DE LA PROPRIÉTÉ INTELLECTUELLE  
(OAPI)/AFRICAN INTELLECTUAL PROPERTY ORGANISATION (OAPI)

Hamidou KONÉ, chef du Service informatique et statistique, Yaoundé



OFFICE EUROPÉEN DES BREVETS (OEB)/EUROPEAN PATENT OFFICE (EPO)

Miguel ALBRECHT, Director, Data Resources, Rijswijk

Paul BREWIN, Project Manager, Information Management, Rijswijk

Patrick LE GONIDEC, Administrator Publication, Vienna Sub-Office, Vienna

Keri ROWLES, Publications, Vienna Sub-Office, Vienna

ORGANISATION EURASIENNE DES BREVETS (OEAB)/EURASIAN PATENT ORGANIZATION (EAPO)

Andrey SEKRETOV, Chief Specialist, Information and Search Systems Department, Eurasian Patent Office, Moscow

OFFICE DES BREVETS DU CONSEIL DE COOPÉRATION DES ÉTATS ARABES DU GOLFE (GCG)/PATENT OFFICE OF THE COOPERATION COUNCIL FOR THE ARAB STATES OF THE GULF (GCC PATENT OFFICE)

Ali Abdulrahman GHADIR, Administrator, IT Specialist, Riyadh

COMMUNAUTÉ EUROPÉENNE (CE)/EUROPEAN COMMUNITY (EC)

Alexandre TRAN, Head, IT Architecture and Standards Sector, Office for Harmonization in the Internal Market (Trade Marks and Designs) (OHIM), Alicante

ORGANISATION DE LA CONFÉRENCE ISLAMIQUE (OCI)/ORGANIZATION OF THE ISLAMIC CONFERENCE (OIC)

Aissata KANE (Mrs.), First Secretary, Geneva

ORGANISATION INTERNATIONALE DE LA FRANCOPHONIE (OIF)

Cécile LEQUE (Mme), conseiller aux affaires économiques et du développement, Genève

III. ORGANISATION NON GOUVERNEMENTALE  
NON-GOVERNMENTAL ORGANIZATION

Association européenne de fournisseurs commerciaux d'information en matière de brevets (PatCom)/European Commercial Patent Services Group (PatCom):  
Pierre BUFFET (directeur général délégué, Questel Orbit, Paris)

IV. BUREAU/OFFICERS

Président/Chair:	Hamidou KONÉ (OAPI)
Vice-présidents/Vice-Chairs:	Maria Luísa ARAÚJO (Mrs.) (Portugal) Matthias GÜNTER (Suisse/Switzerland)
Secrétaire/Secretary:	Angel LÓPEZ SOLANAS (OMPI/WIPO)

V. BUREAU INTERNATIONAL DE L'ORGANISATION MONDIALE  
DE LA PROPRIÉTÉ INTELLECTUELLE (OMPI)/  
INTERNATIONAL BUREAU OF THE  
WORLD INTELLECTUAL PROPERTY ORGANIZATION (WIPO)

Francis GURRY (vice-directeur général/Deputy Director General)

Secteur PCT et brevets, Centre d'arbitrage et de médiation et Questions mondiales de propriété intellectuelle/PCT and Patents, Arbitration and Mediation Center and Global Intellectual Property Issues Sector:

Service de la classification et des normes relatives à la propriété industrielle/Classification and Industrial Property Standards Service): Antonios FARASSOPOULOS (chef/Head); Angel LÓPEZ SOLANAS (chef, section des normes et de la normalisation/Head, Standards and Documentation Section); Mary BONSELL (Mrs.) (Bureau international de l'OMPI/International Bureau of WIPO); Young-Woo YUN (administrateur chargé de l'information en matière de propriété industrielle/Industrial Property Information Officer) Service de l'information en matière de brevets et des statistiques de propriété industrielle/ Patent Information and IP Statistics Service: William MEREDITH (chef/Head); Christophe MAZENC (chef, Section de l'appui informatique/Head, Information Technology Support Section)

Division des systèmes informatiques du PCT/PCT Information Systems Division: Karl KALEJS (chef, Section de la recherche-développement/Head, Research and Development Section)

Division de la coopération internationale du PCT/PCT International Cooperation Division: Claus MATTHES (directeur par intérim/Acting Director); Peter WARING (chef, Section de la coopération technique/Head, Technical Cooperation Section); Michael RICHARDSON (chef, Section des relations institutionnelles/Head, Institutional Relations Section)

[L'annexe II suit/Annex II follows]

ANNEX II

AGENDA

1. Opening of the session
2. Election of the Chair and two Vice-Chairs
3. Adoption of the agenda
4. Revision of WIPO Standard ST.13 (Task No. 30)
  - (a) Report by the Task Leader of the ST.10/C Task Force
  - (b) Proposal on the revision of WIPO Standard ST.13  
See document SCIT/SDWG/9/2.
5. Oral report by the Task Leader of the ST.22 Task Force (Task No. 37)
6. Citation practices by patent offices (Task No. 36)
  - (a) Report by the Task Leader of the Citation Practices Task Force, including specific citation reference examples
  - (b) Survey concerning citation practices: summary, results and conclusions
  - (c) Proposal on the revision of WIPO Standard ST.14  
See document SCIT/SDWG/9/3.
7. Proposal on the revision of WIPO Standard ST.9 (Task No. 33)  
See document SCIT/SDWG/9/4.
8. Report by the Task Leader of the ST.36 Task Force (Task No. 38)  
See document SCIT/SDWG/9/5.
9. Report by the Task Leader of the ST.66 Task Force (Task No. 39)  
See document SCIT/SDWG/9/6.

10. XML (Extensible Markup Language) standard for industrial designs (Task No. 40)
  - (a) Report by the Task Leader of the ST.86 Task Force
  - (b) Proposal on the adoption of new WIPO Standard ST.86  
See document SCIT/SDWG/9/7.
11. Oral report by the Task Leader of the XML4IP Task Force (Task No. 41)
12. Guidelines for the electronic management of the figurative elements of trademarks (Task No. 20)
  - (a) Report by the Task Leader of the Trademark Standards Task Force
  - (b) Proposal on the adoption of new WIPO Standard ST.67  
See document SCIT/SDWG/9/8.
13. Annual Technical Reports (ATRs) on Patent, Trademark and Industrial Design Information Activities (Task No. 24)
  - (a) Report by the Task Leader of the ATRs Task Force
  - (b) Proposals on the recommended contents of the ATRs  
See document SCIT/SDWG/9/9.
14. Oral report on the website of the WIPO *Handbook on Industrial Property Information and Documentation* (Task No. 26)
15. Exchange of information:
  - (a) Impact of the new European Patent Convention (EPC2000) on the EP documents and publications practices
  - (b) Oral report, by the Secretariat, on modifications of Annex C to the Administrative Instructions under the Patent Cooperation Treaty (PCT) and of WIPO Standard ST.25
  - (c) Oral report, by the Secretariat, on the implementation of the Digital Access Service for Priority Documents
  - (d) Oral report, by the Secretariat, on the Journal of Patent Associated Literature (JOPAL) database service
16. Consideration of the SDWG Task List  
See document SCIT/SDWG/9/10.

17. Schedule of activities  
See document SCIT/SDWG/9/11.
18. Adoption of the report of the session
19. Closing of the session

[Annex III follows]

ANNEX III

**STANDARD ST.13**

RECOMMENDATION FOR THE NUMBERING OF APPLICATIONS FOR INDUSTRIAL PROPERTY RIGHTS (IPRS)

*Revision adopted by the SCIT Standards and Documentation Working Group  
at its ninth session on February 21, 2008*

INTRODUCTION

1. Recognizing the importance of having a format for application numbers that could be widely used by industrial property offices (IPOs), the aim of this Recommendation is to provide guidance to those offices which intend to change their present numbering systems, or to introduce new numbering systems, for applications for patents, for utility models, for trademarks, for industrial designs, for SPCs and for layout-designs (topographies) of integrated circuits.
2. Application numbers are primarily used by IPOs in order to identify each application received. They are also utilized by subsequent offices and applicants when priority is claimed. Recently, the need for indicating exact application numbers has been increasing as priority certificates are exchanged among IPOs electronically, and access by IPOs or the public to electronic dossiers is available over the Internet. In this regard, WIPO Standards ST.10/C and ST.13 cover formats and presentations for application numbers; however, the formats and presentations actually employed by IPOs have been historically inconsistent. This inconsistency poses difficulties for other offices and the public as to the correct and complete identification of application numbers. Therefore, it is recommended that IPOs follow the guidance of this Standard when revising existing application numbering systems or creating new application numbering systems.

DEFINITIONS

3. For the purposes of this Recommendation:
  - (a) the term "patents" includes such industrial property rights as patents for inventions, plant patents, design patents, inventors' certificates, utility certificates, utility models, patents of addition, inventors' certificates of addition and utility certificates of addition;
  - (b) the term "industrial designs" includes two-dimensional and three-dimensional features of shape and surface of objects, and thus covers both concepts of "designs" and "models" where a distinction is made between the former and the latter; the term "industrial designs" does not include design patents;
  - (c) the term "trademarks" means trademarks, service marks or another type of distinguishing signs according to the definition of the marks in the legislation concerned, including but not limited to collective marks, certification marks or guarantee marks;
  - (d) the term "other industrial property rights (IPRs)" includes layout-designs (topographies) of integrated circuits and SPCs;
  - (e) the term "layout-designs (topographies) of integrated circuits" means the three-dimensional disposition, however expressed, of the elements, at least one of which is an active element, and of some or all of the interconnections of an integrated circuit, or such a three-dimensional disposition prepared for an integrated circuit intended for manufacture;
  - (f) the term "SPCs" stands for supplementary protection certificates. The SPC takes effect at the end of the term of a patent which protects the product as such, a process to obtain the product or an application of the product.

REFERENCES

4. (a) References to the following Standards are of relevance to this Recommendation:

WIPO Standard ST.3	Recommended Standard on Two-Letter Codes for the Representation of States, Other Entities and Intergovernmental Organizations.
WIPO Standard ST.10/C	Presentation of Bibliographic Data Components.
- (b) The following Standards should be referred to for information purposes:

WIPO Standard ST.6	Recommendation for the Numbering of Published Patent Documents.
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WIPO Standard ST.34	Recommendation Concerning the Recording of Application Numbers in Electronic Form for the Exchange of Bibliographic Data.
WIPO Standard ST.60	Recommendation Concerning Bibliographic Data relating to Marks.
WIPO Standard ST.80	Recommendation Concerning Bibliographic Data relating to Industrial Designs.

#### RECOMMENDATION FOR APPLICATION NUMBERING

5. It is recommended that an IPO wishing to change its present numbering system, or intending to introduce a new system for application numbering for IPRs, i.e., patents, trademarks, utility models, industrial designs or other IPRs, should use a system for the application number meeting the requirements in the seven sections listed below:

##### (a) *General*

This Standard covers application numbers for all types of IPR applications, such as applications for patents, utility models, designs and trademarks. It does not apply to intellectual property rights such as copyright. An indispensable part of the application number should consist of the following three elements: a code for the type of industrial property right, a year designation and a serial number.

The application number should have a fixed length of 15 characters, composed of two digits for the type, four digits for the year and nine digits for the serial number. See the sections below for more details on each part.

The sequence of indispensable elements in the application number format is <type> <year> <serial>:

<type>:	the type of industrial property right	(2 digits)	see Section (b)
<year>:	the year designation	(4 digits)	see Section (c)
<serial>:	the serial number	(9 digits)	see Section (d)

In addition, the following rules are also recommended as optional or additional format systems:

- A code for place of filing and a control number may also be included in the application number as an optional part. In this case, both alphabetic and numeric characters may be used for the code for the place of filing.
- The WIPO Standard ST.3 country/organization code is not part of the application number except in cases described in Section (e). For representation, however, the application number should always be preceded by the ST.3 code of the corresponding office.
- A different format can be used for an application number and a publication number (see WIPO Standard ST.6).

[For detailed examples of application number formats, see "Examples of application numbers according to this Recommendation" listed at the end of this Standard]

##### (b) *Type of Industrial Property Right*

The code for the type of IPR forms an indispensable part of the application number. IPOs introducing parallel numbering series for different types of IPRs are recommended to use two digits (numeric characters only), which represent the type of IPR, in order to avoid possible confusion with the country code, which is represented by two alphabetic characters in accordance with WIPO Standard ST.3. Each category for two digits of the numeric character is listed below:

- Hierarchy, reserved for patents
  - 10-19: patent applications
  - 10: applications for patents for inventions
  - 11: applications for patents from Patent Cooperation Treaty (PCT) applications (PCT applications in the national phase)
  - 12-19: office use
- Hierarchy, reserved for utility model applications
  - 20-29: utility model applications
  - 20: applications for utility models
  - 21: applications for utility models from PCT applications
  - 22-29: office use
- Hierarchy, reserved for other IPRs, i.e., industrial designs, trademarks, layout-designs (topographies) of integrated circuits, SPCs, etc.
  - 30-89: office use



- Hierarchy, reserved for use by the International Bureau of WIPO
  - 90-99: reserved for the International Bureau of WIPO use
  - 91: international applications filed under the PCT in the international phase

(c) *Year Designation*

The year designation forms an indispensable part of the application number. A year designation should consist of four digits for indicating, according to the Gregorian calendar, the year of filing the application. However, in case that an IPO does not wish to provide a year designation, the corresponding digits should be set to "0000" for machine-readable form, e.g., for electronic storage, exchange or identification. The digits "0000" may be omitted from the display or print presentation, if desired.

(d) *Serial Number*

The serial number forms an indispensable part of the application number and is an essential element for identifying an individual application accurately. The serial number should have a fixed length of nine digits. The use, however, of the nine digits is at each office's discretion. Gaps in sequential numbering schemes are permitted. The order of assignment of serial numbers does not necessarily need to reflect the order of registration. On the other hand, when regional filing information is part of the application number, this information must be coded in the first two positions of the serial number (see Section (e) – code for internal use).

Basic rules for the Serial Number:

- A fixed length of nine digits is preferably required
- All nine digits should be employed for electronic storage, exchange or identification (machine-readable form)
- Leading zeros may be omitted for presentation in documents or displays of document images (human-readable form)
- Starting at the number 1 each year is not necessary

Codes for regional filing information must be coded in the first two positions.

(e) *Code for Internal Use*

The code for internal use forms an optional part of the application number. If IPOs wish to use a certain code for indicating place of filing where there is an overlap in the number sequences among different regional offices within a country or an organization, the code for internal use should be used as an optional part of the application number. However, when the country code is used for identifying different member offices of intergovernmental organizations, WIPO Standard ST.3 applies. The code for internal use can be used at the discretion of each office.

Basic rules for the Code for Internal Use:

- If an office wishes to code regional filing information in the application number, office internal information can be coded in the nine digits for the serial number (see Section (d)).
- The code must be located at the first two positions of the serial number. In this case, these two positions can also be characters.

(f) *Control Number (check digit)*

The control number forms an optional part of the application number. Control number (check digits) are used by several IPOs in relation to application numbers for the purposes of internal control.

Basic rules for the Control Number:

- The control number should consist of a single numeral
- The control number should be in computer-readable form
- The control number should be located at the last position (furthest to the right) of the nine-digit serial number

(g) *Separator*

It should be noted that separators may be used for separating different elements in the application number (the type of IPR, the year designation, and the serial number). The separator is not part of the computer-readable form, and should be used only for presentation. The following elements may be used as a separator: a slash, “/”; a hyphen, “-”; or a space: “ ”.

RECOMMENDATION FOR COMBINED USE WITH INDUSTRIAL PROPERTY OFFICE CODE

6. It should be noted that the two-letter IPO code according to WIPO Standard ST.3 does not form part of the application number. However, the ST.3 code should be associated with the application number, since there is a need to uniquely identify the application and the IPO that received the application or under whose rules the application was filed. In using the ST.3 code, it is recommended that the code precede the application number and, when printed, be separated from the application number by a space.

FURTHER OBSERVATIONS

7. It is recalled that application numbers as presented in documents relating to patents for inventions, to plant patents, to design patents, to utility models, or to industrial designs, or as published in official gazettes, are frequently the only means to identify all members of a patent family. Therefore, it is considered important to present application numbers, and particularly priority application numbers, in a clear and unambiguous manner enabling the application to be uniquely identified.

8. IPOs may start using this Recommendation at any time. It is recommended that when implementing WIPO Standard ST.13 for the numbering of applications, a timely announcement to that effect should be made in official publications, e.g., in the gazette, and that the International Bureau of WIPO should also be informed, e.g., by being forwarded a copy of such a publication.

*Examples of application numbers according to this Recommendation:*

Patent application filed in country XX in the year 2014 with serial number 000345678

Presentation: XX 10 2014 345678

Machine readable: 102014000345678

PCT application entered into the national phase in country XX in the year 2015 with serial number 01234567 and check digit 9

Presentation: XX 11-2015-12345679

Machine readable: 112015012345679

Patent application filed in country XX in the year 2015 with serial number 000123456 but without a year designation

Presentation: XX 10 123456

Machine readable: 10000000123456

Utility model application filed in country XX in the year 2016 with serial number 4321

Presentation: XX 20/2016/4321

Machine readable: 202016000004321

[End of Standard]

[Annex IV follows]

ANNEX IV

DEFINITION OF CITATION IN THE WIPO GLOSSARY OF TERMS  
IN PART 8 OF THE WIPO HANDBOOK

A “citation” in a patent document, search report, or in another document is a reference to another document, which may affect the patentability of a (claimed) invention.

If the citation refers to a patent document, it is recommended that it should consist of the code of the industrial property office or organization publishing the document, the publication number, the kind-of-document code, and the date of publication of that document. Relevant parts of the patent document such as page number, column number, paragraph number, line number, claim number, and figure number should be included to show the precise location of the cited material in the document.

If the citation refers to an article or a book, it should consist of the author (if available), the title of the periodical or book, the title of the article, the volume and page number and, usually, the publication date.

If the citation refers to a document published in electronic form or on the Internet, it should consist of, in addition to the elements above, the media type e.g. [online], the URL and date of retrieval from the Internet or database (where applicable), or any unique reference numbers sufficient to retrieve and identify the electronic document at a later date.

A citation may also make reference to an oral disclosure, use, exhibition, or other means of disclosure. (See also WIPO Standards ST.1 and ST.14.)

[Annex V follows]

ANNEX V

1. RECOMMENDED CONTENTS OF ANNUAL TECHNICAL REPORTS ON PATENT INFORMATION ACTIVITIES

Where URLs are requested below, it is preferred that either URLs which are likely to remain stable over time (three years or more) are provided, or home (main) page URLs are provided with a short explanation of how to access the corresponding information. The Annual Technical Reports on Patent Information Activities should cover the following items:<sup>1</sup>

I. Evolution of patent activities

- Changes experienced in terms of application filings and grants with respect to the previous year;
- Trends or areas experiencing rapid changes with respect to the previous year;
- URLs of web pages of the Office's website that provide statistics related to patents.

II. Matters concerning the generation, reproduction, distribution and use of primary and secondary sources of patent information

- Publishing, printing, copying (main types of publications of the Office in the field of patent information, etc.);
- Main types of announcements of the Office in the field of patent information;
- Mass storage media used (paper, microforms, optical storage, etc.);
- Word processing and office automation;
- (New) techniques used for the generation of patent information (printing, recording, photocomposing, Optical Character Recognition (OCR), etc.);
- URLs of web pages of the Office's website that provide access to online publication of patent documents and gazettes, and to other primary and secondary sources of patent information, including patent publication servers and download of bulk patent data.

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<sup>1</sup> - The term "patent" covers utility models and Supplementary Protection Certificates (SPCs).  
- Offices which issue design patents should report their design patent information activities in their Annual Technical Reports on Industrial Design Information Activities.

### III. Matters concerning abstracting, classifying, reclassifying and indexing of technical information contained in patent documents

- Abstracting, reviewing, translating;
- Classification<sup>2</sup>, preclassification<sup>3</sup> (if applicable), and reclassification<sup>4</sup> activities; Classification system used, e.g., International Patent Classification (IPC), other classification (please indicate whether or not patent documents are classified by your Office and, if so, which classification is used);
- Coordinate indexing (domestic deep indexing systems, keyword indexing);
- Hybrid system indexing;
- Bibliographic data and full-text processing.

### IV. Search file establishment and upkeep

- File building;
- Updating;
- Storage, including mass storage media;
- Documentation from other offices maintained and/or considered part of the available search file.

### V. Activities in the field of computerized and other mechanized search systems

- In-house systems (online/offline);
- External databases;
- Administrative management systems (e.g., register, legal status, statistics and administrative support);
- Equipment used (hardware, including the types of terminal and network used and software), carriers used;
- Existing online thesauri; their structure, presentation and usefulness for computerized searches.

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<sup>2</sup> Classification is allotting one or more classification symbols (e.g., IPC symbols) to a patent application, either before or during search and examination, which symbols are then published with the patent application.

<sup>3</sup> Preclassification is allotting an initial broad classification symbol (e.g., IPC class or subclass, or administrative unit) to a patent application, using human or automated means for internal administrative purposes (e.g., routing an application to the appropriate examiner). Usually preclassification is applied by the administration of an office.

<sup>4</sup> Reclassification is the reconsideration and usually the replacement of one or more previously allotted classification symbols to a patent document, following a revision and the entry into force of a new version of the Classification system (e.g., the IPC). The new symbols are available on patent databases.

VI. Administration of the industrial property office library, and information products and services available to the public (relating to facilities, e.g., for lodging applications, for assisting clients on searching procedures, for obtaining official publications and registry extracts)

- Planning, administration, automation, security, buildings;
- Collecting, acquisitions, preparation;
- Collection management, preservation;
- Interlibrary lending, resource sharing, networks of patent libraries in the country;
- Information services available to the public (including computerized services and search files contained in libraries remote from your Office and patent information posted by your Office on the World Wide Web);
- URLs of web pages of the Office's website for electronic filing of patent applications;
- URLs of web pages of the Office's website that provide information on business procedures such as: filing, publication, examination and grant procedures related to patents; opposition and appeal procedures related to patents; etc;
- URLs of web pages of the Office's website that provide a description of information products and services offered by the Office (e.g., patent search service(s) and patent databases), as well as information on how to access and utilize them.

VII. Matters concerning mutual exchange of patent documentation and information

- International or regional cooperation in the exchange of machine-readable information, e.g., bibliographic data, abstract and/or full text information;
- Medium used for exchange of priority documents;
- Medium allowed for filing applications.

VIII. Other relevant matters concerning education and training in, and promotion of, the use of patent information, including technical assistance to developing countries (please indicate URLs of web pages of the Office's website wherever appropriate)

- Training courses for national and foreign participants, use of audiovisual means;
- Assistance to developing countries (sending consultants and experts, receiving trainees from developing countries, etc.);
- Promotional activities (seminars, exhibitions, visits, advertising, etc.);
- Studies to identify trends in new technology, e.g., by the use of patent statistics and preparation of monographs;
- Assistance furnished by offices to facilitate the changing over of receiving offices to electronic data carriers for the exchange of patent documents (see also fourth sub-item of item VI, above).

IX. Other general information related to the Office that is available on the Internet

URLs of web pages of the Office's website that:

- provide information on legislation related to patents;
- contain the Annual Report of the Office;
- if necessary, provide further information related to the topics referred to in the current ATR;
- provide open source codes related to patent information systems;
- contain patent-related news regarding the Office.

X. Other relevant matters

2. RECOMMENDED CONTENTS OF ANNUAL TECHNICAL REPORTS ON  
TRADEMARK INFORMATION ACTIVITIES

Where URLs are requested below, it is preferred that either URLs which are likely to remain stable over time (three years or more) are provided, or home (main) page URLs are provided with a short explanation of how to access the corresponding information. The Annual Technical Reports on Trademark Information Activities should cover the following items:

I. Evolution of registration activities

- Changes experienced in terms of application filings and registrations with respect to the previous year;
- Trends or areas experiencing rapid changes with respect to the previous year;
- URLs of web pages of the Office's website that provide statistics related to trademarks.

II. Matters concerning the generation, reproduction, and distribution of secondary sources of trademark information, i.e., trademark gazettes

- Publishing, printing, copying techniques;
- Main types of announcements of the Office in the field of trademark information;
- Mass storage media and microforms used;
- Word processing and office automation;
- Techniques used for the generation of trademark information (printing, recording, photocomposing, etc.);
- URLs of web pages of the Office's website that provide access to online trademark gazettes and to other sources of trademark information, including download of bulk trademark data.

III. Matters concerning classifying, reclassifying and indexing of trademark information

- Classification and reclassification activities; Classification systems used, e.g., 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), other classification (please indicate whether goods and services for the registration of marks and whether the figurative elements of marks are classified by your Office and, if so, which classification(s) is (are) used);
- Use of electronic classification systems to check the classification symbols furnished by an applicant and which are contained in the lists of goods and/or services;
- Obligation for applicants to use pre-defined terms of the classification applied;
- Bibliographic data and processing.



IV. Trademark manual search file establishment and upkeep

- File building;
- Updating;
- Storage, including mass storage media;
- Documentation from other offices maintained and/or considered part of the available search file.

V. Activities in the field of computerized trademark search systems

- In-house systems (online/offline);
- External databases;
- Administrative management systems (e.g., register, legal status, statistics and administrative support);
- Equipment used (hardware, including the types of terminal and network used, and software), carriers used.

VI. Administration of trademark information products and services available to the public (relating to facilities, e.g., for lodging applications, registering trademarks, assisting clients with search procedures, obtaining official publications and registry extracts)

- Planning, administration, automation, security;
- Collection management, preservation;
- Information services available to the public (including computerized services and search files contained in libraries remote from your Office and trademark information posted by your Office on the World Wide Web);
- URLs of web pages of the Office's website for electronic filing of trademark applications;
- URLs of web pages of the Office's website that provide information on business procedures such as: filing, publication, examination and registration procedures related to trademarks; opposition and appeal procedures related to trademarks; etc;
- URLs of web pages of the Office's website that provide a description of information products and services offered by the Office (e.g., trademark search service(s) and trademark databases), as well as information on how to access and utilize them.

VII. Matters concerning mutual exchange of trademark documentation and information

- International or regional cooperation in the exchange of trademark information, e.g., in the form of official gazettes;
- Exchange of machine-readable information.

VIII. Matters concerning education and training, including technical assistance to developing countries (please indicate URLs of web pages of the Office's website wherever appropriate)

- Promotional activities (seminars, exhibitions, visits, advertising, etc.);
- Training courses for national and foreign participants;
- Assistance to developing countries (sending consultants and experts, receiving trainees from developing countries, etc.).

IX. Other general information related to the Office that is available on the Internet

URLs of web pages of the Office's website that:

- provide information on legislation related to trademarks;
- contain the Annual Report of the Office;
- if necessary, provide further information related to the topics referred to in the current ATR;
- provide open source codes related to trademark information systems;
- contain trademark-related news regarding the Office.

X. Other relevant matters

### 3. RECOMMENDED CONTENTS OF ANNUAL TECHNICAL REPORTS ON INDUSTRIAL DESIGN INFORMATION ACTIVITIES

Where URLs are requested below, it is preferred that either URLs which are likely to remain stable over time (three years or more) are provided, or home (main) page URLs are provided with a short explanation of how to access the corresponding information. The Annual Technical Reports on Industrial Design Information Activities should cover the following items:<sup>1</sup>

#### I. Evolution of registration activities

- Changes experienced in terms of application filings and grants (registrations) with respect to the previous year;
- Trends or areas experiencing rapid changes with respect to the previous year;
- URLs of web pages of the Office's website that provide statistics related to industrial designs.

#### II. Matters concerning the generation, reproduction, and distribution of industrial design documents and of secondary sources of industrial design information, i.e., official gazettes

- Publishing, including printing, copying techniques and electronic printing;
- Main types of announcements of the Office in the field of industrial design information;
- Mass storage media and microforms used;
- Databases and office automation;
- URLs of web pages of the Office's website that provide access to online industrial design gazettes and to other sources of industrial design information, including download of bulk industrial design data.

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<sup>1</sup> - The expression "industrial design" covers designs and models.  
- Offices which issue design patents should report their design patent information activities in this series of Annual Technical Reports.

III. Matters concerning classifying, reclassifying and indexing of industrial design information according to the classification systems applied

- Classification and reclassification activities; Classification system used, e.g., International Classification for Industrial Designs (Locarno Classification), other classification (please indicate whether industrial designs are classified by your Office and, if so, which classification is used);
- Bibliographic data and processing for.

IV. Search file establishment and upkeep

- File building;
- Updating;
- Storage, including mass storage media;
- Documentation from other offices maintained and/or considered part of the available search file.

V. Activities in the field of computerized search systems for industrial designs

- In-house systems (online/offline);
- External databases;
- Administrative management systems (e.g., register, legal status, statistics and administrative support);
- Equipment used (hardware, including the types of terminal and network used, and software), data carriers used.

VI. Administration of industrial design information products and services available to the public (relating to facilities, e.g., for lodging applications, registering designs, assisting clients with search procedures, obtaining official publications and registry extracts)

- Planning, administration, automation, security;
- Collection management, preservation;
- Information services available to the public (including computerized services and search files contained in libraries remote from your Office and industrial design information posted by your Office on the World Wide Web);
- URLs of web pages of the Office's website for electronic filing of industrial design applications;
- URLs of web pages of the Office's website that provide information on business procedures such as: filing, publication, examination and registration procedures related to industrial designs; opposition and appeal procedures related to industrial designs, etc;
- URLs of web pages of the Office's website that provide a description of information products and services offered by the Office (e.g., industrial design search service(s) and industrial design databases), as well as information on how to access and utilize them.

VII. Matters concerning mutual exchange of industrial design documentation and information

- International or regional cooperation in the exchange of industrial design information, e.g., in the form of official gazettes;
- Exchange of machine-readable information, e.g., data contained on CD-ROM or magnetic tape.

VIII. Matters concerning education and training, including technical assistance to developing countries (please indicate URLs of web pages of the Office's website wherever appropriate)

- Promotional activities (seminars, exhibitions, visits, advertising, etc.);
- Training courses for national and foreign participants;
- Assistance to developing countries (sending consultants and experts, receiving trainees from developing countries, etc.).

IX. Other general information related to the Office that is available on the Internet

URLs of web pages of the Office's website that:

- provide information on legislation related to industrial designs;
- contain the Annual Report of the Office;
- if necessary, provide further information related to the topics referred to in the current ATR;
- provide open source codes related to industrial design information systems;
- contain industrial design-related news regarding the Office.

X. Other relevant matters

[End of Annex V and of document]