

## **Committee on WIPO Standards (CWS)**

**Ninth Session**  
**Geneva, November 1 to 5, 2021**

### **PROPOSAL FOR SURVEY ON OFFICE PRACTICES FOR DIGITAL TRANSFORMATION**

*Document prepared by the International Bureau*

#### **BACKGROUND**

1. At its sixth session in 2018, the Committee on WIPO Standards (CWS) approved new Task No. 62, the description of which reads: “Review WIPO Standards: ST.6, ST.8, ST.10, ST.11, ST.15, ST.17, ST.18, ST.63 and ST.81 in view of electronic publication of IP documentation; and propose revisions of those Standards if needed” (see paragraphs 143 to 151 of document CWS/6/34). The CWS established a corresponding Task Force named “Digital Transformation Task Force” and designated the United States Patent and Trademark Office (USPTO) as the Task Force Leader (see paragraphs 145 to 153 of document CWS/6/34). At the seventh session of the CWS, the Task Force presented a plan to discuss existing practices, establish criteria for reviewing Standards, and prioritize Standards for review (see paragraphs 102 to 104 of document CWS/7/29).

#### **SURVEY PROPOSAL**

2. The Digital Transformation Task Force discussed its work plan, which was prepared by the Task Force Leader. The work plan focused on:

- reviewing WIPO Standards in view of electronic publication of IP documentation;
- reviewing publication practices to improve digital dissemination of information that the Offices generate; and
- proposing revisions to those Standards as needed to accommodate current technologies and business processes.

3. During discussion on the work plan, the Task Force realized that more information on current Intellectual Property Office (IPO) practices was needed. To better understand IPO practices for intake and publication, the Task Force prepared a draft questionnaire, which is presented in the Annex of this document. The intent of the questionnaire is to gather information on handling and processing (intake, processing, and publication) of IP documents, including patent applications, in full-text and other machine readable text formats, which are currently being utilized by IPOs.

4. The Task Force considers that the survey results will help to better understand IPO practices for digitalization and current business needs. This information can be leveraged by the Task Force to assist with revisions and modifications to existing WIPO Standards listed in Task No. 62.

5. The Task Force proposes that the Secretariat issue a circular inviting Offices to take the survey after CWS/9, publish the responses on the WIPO website, and present analysis of the survey for approval at the tenth session of the CWS, if the proposed questionnaire is approved at this session. As proposed in document CWS/9/20, this suggested approach is more efficient than the traditional approach of presenting both the survey analysis and unedited responses to the CWS before publication. The basic responses to the survey are available to interested parties sooner, and the amount of material for the CWS to consider at its session will be reduced.

6. *The CWS is invited to:*

*(a) note the content of this document and the Annex to this document;*

*(b) approve the questionnaire reproduced in the Annex of the present document;*

*(c) request the Secretariat to conduct the survey and publish the responses on the WIPO website as soon as they are available as indicated in paragraph 5 above; and*

*(d) request the Task Force to present an analysis of the survey results for approval for their publication at the tenth session of the CWS as indicated in paragraph 5 above.*

[Annex follows]

## DRAFT QUESTIONNAIRE ON OFFICE PRACTICES FOR DIGITAL TRANSFORMATION

This survey pertains to handling (intake, processing, and publication) of certain Intellectual Property (IP) documents, particularly IP applications in full-text and other formats. It is intended to collect information on Intellectual Property Office (IPO) practices for digitalization to better inform revisions of existing WIPO Standards.

### INTAKE

Q1. In what formats does your Office/Organization ingest applications? Please select all that apply.

- PDF
- XML in WIPO ST.96
- XML in WIPO ST.36 / 66 / 86
- Microsoft Word DOCX (free form, no template)
- Common Application Format (CAF) – DOCX template
- Paper
- Fax
- Other (specify)

Q2. How does your Office/Organization capture markups (insertions, deletions) in amendments, corrections, and rectifications? Please select all that apply.

- Applicant submits amendments with track changes to show insertions and deletions
- Applicant submits amendments with underlines for insertions, and strikethroughs for deletions
- Applicant submits clean copy of the amendments
- Applicant submits new clean application documents, and Office uses a DOCX comparison tool to compare and markup changes, then a final copy is generated by the tool.
- Applicant submits new clean application documents, and Office uses a DOCX comparison tool to compare and markup changes. Tracked change copy is generated, not a final copy. The new clean specifications filed by the applicant are the latest (final) version.
- XML in WIPO ST.96
- XML in WIPO ST.36 / 66 / 86
- Other (specify)

### VALIDATIONS

Q3. Does your Office/Organization provide initial content-based validations to applicants prior to submission to reduce the number of formality non-compliances?

- YES  NO

Q4. What does your Office/Organization validate prior to submission? Please select all that apply.

- Missing required application parts
- Informalities such as typographical errors or missing claim numbers
- Improper claim dependencies
- Other (specify)

Q5. Does your Office/Organization provide a scrubbing tool to remove unwanted metadata from the documents prior to submission?

YES  NO

If yes, which types of metadata are removed?

Q6. Does your Office/Organization provide a feedback document, additional document or online messages during the filing process detailing potential problems within the submitted application documents based on the above validations?

YES  NO

#### OFFICIAL COPY

Q7. What does your Office/Organization consider the authoritative copy of the submission?

- Originally submitted application documents
- Cleaned up version of the originally submitted application documents after they have gone through initial content validations and metadata scrubbing
- XML document converted from the originally submitted document
- Document converted from originally submitted document to another format used within your Office/Organization (e.g. PDF, TIFF)
- Other (specify)

#### TRANSFORMATION/RENDERING

Q8. If your Office/Organization converts or plans to convert the submitted document to XML, in which format would you preserve embedded images? Please select all that apply.

- Original format if possible
- SVG
- TIFF
- PNG
- JPEG
- Other (specify)

Q9. When the submitted document is transformed to XML, in what format does your Office/Organization preserve mathematical equations?

- Originally submitted format
- Converted to an image format
- MathML
- OpenMath
- OMDoc
- Other (specify)

Q10. When the submitted document is transformed to XML, in what format does your Office/Organization preserve chemical formulae?

- Originally submitted format
- Converted to an image format
- Converted to a chemical formula format (specify in comments)
- Other (specify in comments)

Q11. When the submitted document is transformed to XML, in what format does your Office/Organization preserve table or tabular data? Please select all that apply.

- Originally submitted format
- Converted to an image format
- Converted to a structured data format
- Other (specify)

Q12. Is your Office/Organization moving away from paper-based rules for applicant submissions, such as page count, margins line spacing and focus more on the amount of characters/words in a document or file size?

- We are considering it
- We are in the process of implementing it
- We have already implemented it
- We are not considering it

Q13. If your Office/Organization is not considering moving away from paper-based rules, select the presentation elements your Office/Organization needs to preserve from the submitted application documents. Please select all that apply.

- Page count
- Page dimensions
- Margins
- Line spacing
- Text and background colors
- Other (specify)

Q14. Select the formats by which your Office/Organization displays or would display an application for examination or administration purposes. Select all that apply.

- Originally submitted format using an appropriate software application
- Converted format used by our Office/Organization
- Rendered XML
- It can vary depending on the input format
- Other (specify)

#### PUBLICATION

Q15. Select the formats which your Office/Organization uses or would use to publish documents submitted by applicants.

- Originally submitted format using an appropriate software application
- Converted format used by our Office/Organization
- Rendered XML
- More than one format
- Other (specify)

#### FILE MANAGEMENT

Q16. Specify the content management system your Office/Organization uses to store and manage documents. Please provide either names of commercial products or brief description of custom-built systems.

#### OFFICIAL GAZETTE

Q17. In what formats do you publish your Official Gazette? Select all that apply.

- Physical format (paper)
- Electronic format with paper-based layout (e.g. PDF)
- Purely digital format (e.g. HTML pages)

Q18. If you still publish in a physical format, are you considering discontinuing physical publication within the next five years?

YES  NO

Q19. If you still publish in an electronic format with paper-based layout (e.g. PDF), are you considering discontinuing this format in favor of a purely digital format within the next five years?

YES  NO

[End of Annex and of document]