WIPO
世界
知识产权
组织

产权组织标准委员会（CWS）

第八届会议
2020 年 11 月 30 日至 12 月 4 日，日内瓦

PAPI 工作队的报告

PAPI 工作队牵头人编拟的文件

背　景

1.　　标准委员会在 2017 年举行的第五届会议上创建了第 52 号任务，其说明为"调查用于对各工业产权局公共可用专利信息进行访问的各种系统的内容和功能，以及关于其公布做法的未来计划；为用于对工业产权局公共可用专利信息进行访问的系统编写建议。"国际局是工作队牵头人。（见文件 CWS/5/22 第 94 段至第 100 段。）

2.　　产权组织标准委员会（CWS）在 2019 年举行的第七届会议上审议了 PAPI 工作队提出的公众访问专利信息（PAPI）调查问卷。该问卷收集各工业产权局关于向公众提供专利信息的内容、做法、功能和未来计划的信息。工作队计划将调查分为两部分，以提高答复率：第一部分包含收集基本信息的简短问卷，第二部分则包含更具体的问卷。标准委员会批准了问卷的第一部分，但未能就其第二部分达成一致，并将该部分交回 PAPI 工作队，供其进一步审议。（见文件 CWS/7/29 第 197 和 201 段。）

关于活动的报告

3.　　在审议了第一部分的初步调查结果后，PAPI 工作队举行了一场在线会议和几轮讨论，以修订公众获取专利信息调查问卷的第二部分。经修订的调查问卷见本文件附件。

对拟议调查问卷的修改包括：

- 增加各种术语的定义，包括检索类型（基础、高级、语义）；
- 扩充答案选项，在诸如第 3、4、7、14 题等若干问题中纳入更多类型的专利信息；
- 根据产权组织权威文档门户更新第 9 题，以避免重复信息；
- 增加第 8 题和第 10 题，收集关于为何主管局可能不使用标准 ST.27（专利法律状态）和标准 ST.37（权威文档数据）的信息，以改进国际局的服务；
- 为第 15 题和第 16 题提供答案选项，以改进收集到的信息；以及
- 在整个调查过程中，澄清了多处措词。

4.   如果经修订的调查问卷得到标准委员会的批准，秘书处计划在 2021 年进行第二部分调查，并将在标准委员会第九届会议上报告结果。

5.   请标准委员会：

(a) 注意本文件的内容；

(b) 批准附件中所列调查问卷的第二部分；并

(c) 请秘书处发出通函，邀请各局参与调查。

[后接附件]

DRAFT QUESTIONNAIRE ON THE CONTENT AND FUNCTIONALITIES OF SYSTEMS FOR PROVIDING ACCESS TO PUBLICLY-AVAILABLE PATENT INFORMATION, PART 2

Part 1 of this survey was administered in early 2020.

If a question does not apply to your situation then simply skip it.

All questions will include optional comment boxes in the online platform.

GLOSSARY

- Publication – In line with Part 8 of the WIPO Handbook, the terms "publication" and "published" are used in the sense of making available:
    - a patent document to the public for inspection or supplying a copy on request; and
    - multiple copies of a patent document produced on, or by, any medium (e.g., paper, film, magnetic tape or disc, optical disc, online database, computer network, etc.).

- Legal status information – information about events that may affect the grant, scope, term, ownership, or other legal aspects of a patent or patent application.

- Machine translations – automated translations from one language to another (e.g. Russian to Spanish) performed by computer software.

- Official Gazette – an official publication by an IP Office with information such as procedural steps taken for individual IP rights, official communications of the office, changes to current IP laws, the legal status of patent documents, etc.

- Search – for questions about different types of search, the following definitions apply:

    - Basic Search – search using text queries on common document elements, such as title, application number, publication number, etc. Usually provides a single input field.

    - Advanced Search or Field Combination Search – search using text or data queries on specific document elements specified by the user, such as title, abstract, filing date, application number, inventor name, etc.

    - Semantic Search – search that attempts to reflect the user's intent not just literal search terms, such as using synonyms and related terms in the results.

    - Similarity search – a type of semantic search that looks for more documents similar to a given result, using some measure of proximity or "closeness".

PART 2
This part of the survey covers more detailed information about the features of online data systems.

<u>Access Conditions</u>

Q1.   Please explain any other conditions or requirements for access to patent information besides those covered in Part 1 questions 3 (access mechanism) and 4 (who may access), such as limits on the number of queries, number of results, or data limits.

_____

Q2.   Are fees required for access to particular types of information?

☐ YES ☐ NO ☐ NOT NOW, BUT WE ARE CONSIDERING A CHANGE FOR THE FUTURE

If yes, please indicate for which information and explain the access procedure (e.g. how to create an account, what forms of payment are accepted, etc.).

_____

Q3.   If your office uses multiple languages, are the online interfaces for different languages synchronized with the same capabilities and the same data, or do some interfaces have different capabilities or data than others? Please indicate the reference language and any differences in the data available in other languages (for example, in the frequency of updates, coverage, search tools, etc.).

Reference Language(s): [language selection] Other: write-in

Type of Information	Differences for Language 1 [dropdown]	Differences for Language 2 [dropdown]	Differences for Language 3 [dropdown] …
Published applications			
Granted patents			
Legal Status information			
Corrections			
Priority information			
Patent Term Extensions or Supplementary Protection Certificates			
Patent family information			
File inspection			
Court decisions			
Reassignments			
Licensing information			
Official Gazette			
Other:_____			

Content

Q4.   Are documents available for download in a searchable text format?

Examples of searchable text formats include plain text documents, HTML, XML, and certain PDFs that are created with readable text. If a PDF was created from a scanned image with OCR (optical character recognition) applied, then select PARTIAL as text may not always be converted correctly.

This refers only to the content of the document which can be represented as text. Do not consider images or figures in your answer. If a document has both images and text, answer Yes if all the text elements are searchable.

   Published applications ☐ YES ☐ NO ☐ PARTIAL (some text elements not searchable)

   Granted patents ☐ YES ☐ NO ☐ PARTIAL (some text elements not searchable)

   Amendments, corrections, or other documents with updates ☐ YES ☐ NO ☐ PARTIAL (some text elements not searchable)

   File history ☐ YES ☐ NO ☐ PARTIAL (some text elements not searchable)

Q5. Are updated versions of patent documents available online when changes are made after publication (e.g. "as granted" rather than "as filed")?

☐ YES ☐ NO

If yes, please explain how updated documents are presented in search results (e.g. with updated kind codes according to WIPO ST.50):

_____

Q6. Which parts of patent documents are updated online after publication? Mark all that apply.

☐ Entire document

☐ Front page / first page only

☐ Title

☐ Abstract

☐ Description

☐ Claims

☐ other:

_____

Q7. Is the event history (list of relevant legal status information) for a given document available in online systems?

Pre-grant events ☐ YES ☐ NO ☐ PARTIAL

Post-grant events ☐ YES ☐ NO ☐ PARTIAL

Q8. What are your current plans, if any, for using WIPO Standard ST.27 for patent legal status information? Check all that apply.

☐ We are currently in the process of implementing ST.27

☐ We have definite plans to implement ST.27 in the future

☐ We use WIPO IPAS Office Suite to manage IP applications and are waiting for IPAS to implement ST.27 support

☐ We are not planning to implement ST.27 at this time, because:

☐ We find it difficult to comply with the technical requirements of ST.27

☐ We don't have the resources currently available to implement ST.27

☐ We don't consider that implementing ST.27 adds enough value for our users

☐ Other reason: _____

Q9. Does your Office / Organization provide an authority file of published patent documents?

☐ YES, we currently provide an ST.37 compliant authority file accessible through the WIPO Authority File portal

☐ YES, we currently provide an authority file but it is not accessible through the WIPO Authority File portal

☐ NO, we do not provide an authority file

Q10. If you do not provide an authority file to WIPO according to the recommendations of ST.37, can you indicate the reasons below? Check all that apply.

☐ We have plans to provide an authority file to WIPO in the next 12 months

☐ We use WIPO IPAS Office Suite to manage IP applications, which already provides a complete list of our published patent documents via PatentScope

☐ We find it difficult to comply with the technical requirements of ST.37

☐ We don't have the resources currently available to comply with ST.37

☐ We already provide a list of all published patent documents on our website in other format(s). Provide the url: _____

☐ We don't consider a list of all our published patent documents necessary given the number of applications we process

☐ We don't consider that implementing ST.37 adds enough value for our users

☐ Other reason: _____

FUNCTIONALITY

Systems provided by your Office/Organization

The following questions refer to online systems provided by your Office for accessing patent information. Do not consider third party systems such as PATENTSCOPE or ESPACENET when answering this survey.

Q11. Are the following features available in the online systems provided by your Office?

	Patent Applications	Patent Grants	Legal status data
Basic search			
Advanced search or Field combination search			
Semantic search or similarity search			
Machine translations			

Q12. Are the following fields available for search in the online systems in question? Check all that apply.

	Patent Applications	Patent Grants	Searchable in English or Latin character set?
Patent publication number			
Patent application number			
Priority date			
Priority number			
Applicant name			
Inventor name			
Owner name			
Normalized names (applicant, owner, etc)			
PCT application number			
PCT publication number			
Title			
Abstract			
Claims			
Description			
Country (of applicant, owner, etc)			

Q13. For machine translations, please indicate which languages are translated:

From (original document languages): [language selection list]

Other: (Please specify _____)

To (translated output languages): [language selection list]

Other: (Please specify _____)

Q14. Which patent information is translated:

☐ Entire document

☐ Title

☐ Abstract

☐ Description

☐ Claims

☐ Text in Drawings, Figures, or Tables

☐ Supplementary materials, such as annexes or sequence listings

☐ Legal Status Information

Other: (Please specify:_____)

Q15. Does your system provide guidance on what types of number formats are accepted when searching by application or publication numbers?

☐ Our system provides guidance: ☐ on the search page ☐ on a different page

☐ Our system does not provide guidance on accepted number formats

Q16. What types of number formats are accepted when searching by application or publication numbers? Please check all that apply.

☐ Numbers containing a code for the type of industrial property right, a year designation and a serial number, as recommended by ST.13

☐ Numbers with a fixed length of 15 digits, composed of two digits for the type, four digits for the year and nine digits for the serial number, as recommended by ST.13

☐ Numbers starting with an ST.3 code identifying the office, as recommended by ST.13

☐ Numbers with separators between different parts of the number, such as slash (/) hyphen (-) or space ( )

☐ Number issued by another Office, such as a PCT application number that entered the national phase

☐ Other number formats (please provide examples):

Q17. Are WIPO ST.3 two-letter codes or WIPO ST.16 document kind codes used as part of the search term when searching by application or publication number?

ST.3 Office codes are: ☐ required ☐ optional ☐ not accepted

ST.16 document codes are: ☐ required ☐ optional ☐ not accepted

Q18. What kind of interface do users have to access your online systems for the available types of patent documents? For example, for published patent applications, granted patents, patent term extensions, fee payments.

☐ All information can be accessed through a single web page or portal

☐ There are multiple web pages or portals for different types of information, and (mark all that apply)

☐ The web pages or portals all share the same visual design (look and feel, layout, colors, graphical elements, etc)

☐ The web pages or portals all share the same user controls (input boxes, buttons, clickable elements, etc)

☐ The web pages or portals all share the same input formats (e.g. query flags, number formats, data formats, etc)

☐ The web pages or portals for different types of documents look and function differently

Q19. Do your online systems use the same web pages or portals for different types of industrial property rights provided by your Office? For example, patents for inventions, plant patents, design patents, inventors' certificates, utility certificates, utility models, patents of addition and others. Answer yes here even if there are multiple web pages or portals for different types of documents (application, legal status history, assignments, etc), as long as each type of IP right is available on the same web page or portal.

Note: this question is about different types of IP rights. Question 16 is about different types of patent documents.

☐ YES ☐ NO

Q20. If there are separate websites or portals for these other types of industrial property provided by your Office, please list them.

_____

Q21. Do your online systems contain information on documents issued under international or regional IP protection systems, which have (potential) effect in your jurisdiction?

☐ YES ☐ NO

Q22. If so, what types of documents are available, e.g. PCT documents or translations?

_____

Q23. Is international or regional data searchable in the same online systems as national documentation?

☐ Yes, international / regional data is available and searchable

☐ International / regional data is available in the online systems, but not searchable

☐ No, international / regional data is only available in other systems

☐ The national online systems provide links to the international / regional systems

Comments:_____

Systems provided by other Offices/Organizations

Q24. What functionality would you like to see in the systems provided by other Offices?

	For full descriptions	**For legal status**
Possibility to translate content into other languages		
Search by bibliographic data fields		
Full text search		
Possibility to download documents in various formats		
Alerting to data updates		
Date of receipt of applications by your Office		
Other. Please specify		

Q25. What is your desired update frequency for data from other Offices?

	For full descriptions	**For legal status**
Real time publication of all changes		
Daily updates		
Weekly updates		
Other. Please specify		

Q26. Should other Offices' systems support machine-to-machine communication (such as web services) for exchanging data with your Office?

For full applications:

☐ YES ☐ NO ☐ NO PREFERENCE

For bibliographic data:

☐ YES ☐ NO ☐ NO PREFERENCE

For legal status information:

☐ YES ☐ NO ☐ NO PREFERENCE

Q27. Should Offices' systems provide search capabilities for both their national data sets and data published by other Offices (with an interface in the national language)?

For full applications:

☐ YES ☐ NO ☐ NO PREFERENCE

For bibliographic data:

☐ YES ☐ NO ☐ NO PREFERENCE

For legal status information:

☐ YES ☐ NO ☐ NO PREFERENCE

Q28. Is there a user guide for searching (such as explanation of fields or examples) available in the system?

☐ YES ☐ NO

URL where the guide is available: _____

Q29. Is there a clear indication of which information in the official publication is issued by your Office / Organization and which information is from other sources (e.g. a disclaimer on externally provided information)?

_____

FUTURE PLANS

Q30. Please briefly describe your future plans with respect to your Office's online systems, their content and functionality. For example, if you have plans to expand their capabilities, merge existing systems, retire old systems, or a general timeline for such work, please include that information here.

In which of the following areas are WIPO recommendations the most needed and/or most effective? Check all that apply.

	For full applications	For legal status
Scope of published information		
Frequency of updates		
Availability of information and/or interfaces in other languages		
Information retrieval functionality		
Other. Please specify		

[附件和文件完]