

USE OF IDENTIFIERS FOR APPLICANTS BY IPOs

Response ID:49; tcna Data

1. Country Code page

1. Please enter the two-letter country code corresponding to your Office or Organization.

CA

2. Question page

2. 1. What are the perceived advantages of using Applicant Identifiers in your Office? Please mark all that apply:
For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.

1a. advantages for the Office itself:

Effective management of applicant information

Easy to change applicant's information in all relevant records simultaneously

3. 1b. Advantages for Applicants and Patent Information Users:

No need to repeatedly input the same information

Accurate statistics on patent applicants and owners

Eliminating confusion and inconsistency by unifying multiple versions of an applicant name into a single, standardized name

Availability of information regarding the parent company of the entity filing for the patent (disclosed corporate structure)

Avoiding mistakes, such as where the inventor's name incorrectly appears as the patentee name

4. 2a. Does your Office publish (or intend to publish) the identifier(s) you use (or plan to use) assigned to the applicant?
For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.

Yes

Comments: CIPO may incorporate Federal and/or Provincial Business Number identifiers already publicly available.

Otherwise, a CIPO specific identifier would be for internal purposes only. A standardized Name associated with the patent would be publicly available.

5. 2b. If yes, how:

CIPO is currently examining how unique identifiers can be incorporated into the IP application process.

6. 3. Does your Office include (or plan to include) the identifiers in the set of data for the exchange of patent information with other IP Offices?

For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.

Not sure

Comments: CIPO would work towards including unique identifiers as part of patent information. This includes being in compliance with the Government of Canada Privacy Act.

7. 4. Which approach to assigning identifiers does your Office use (or plan to use)?

For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.

Other. Please specify:: CIPO does not assign identifiers to clients. CIPO only assigns unique identifiers to applications, not applicants.

Procedural (code assigned by an international authority, e.g. WIPO, based on the applicant's IP portfolio in an agreed international database)

8. 5. How does your Office ensure that an applicant has only one identifier?

For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.

9. 6a. What information does your Office request in order to determine identifiers for national applicants?

For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.

Comments: Applicants are only required to submit a name and address for each individual patent application. No single legal entity information is required. For contact purposes, a phone number or email is requested, however, these may belong to the client representative, and not the client.

10. 6b. What information does your Office request in order to determine identifiers for foreign applicants?

For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.

11. 7a. Does your Office consider that a Global Identifier (GID) would be a desirable solution for applicant name standardization?

Yes

Comments:

12. 7b. If yes, could you suggest how the GID should be established and maintained?

A compilation of all existing national/sub-national business identifiers with an additional country/regional code. A single international registration system for all PCT applications would be helpful.

13. 7c. In case a GID is established, will your Office use both the GID and a national identifier at the same time, or will your Office use the GID instead of a national identifier?

Even with the establishment of a GID, Canada would need a national identifier if current legislation prevented CIPO from imposing the requirement that all applicants register for a GID.

14. PART B - NO IDENTIFIER

8a. If your Office does not use or does not intend to use identifiers for applicants, please explain why:

For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.

CIPO does not currently use applicant identifiers. CIPO is currently modernizing its IT processes to facilitate the application process and incorporate applicant identifiers in the near future.

15. 8b. Please describe any alternative approach to the use of identifiers that your office is using or contemplates using, including how that approach deals with issues of name ambiguity (misspellings, multiple spellings, different character sets,

etc):

For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.

16. 9. Please explain any drawbacks or legal complications your Office may have related to using identifiers:

For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.

Canada's Patent Act requires that for each application, an applicant must submit a name and address of the applicant. There is no requirement to register with the agency to submit an application. In order to more effectively manage client relations, the Patent Act may require revision.

CIPO must also remain in compliance with the Government of Canada Privacy Act which regulates databases that contain personal information.

17. 10. Which of the following options would you consider for investigation in your Office?

[Note * Normalization – correction of “trivial” errors (which leave the possibility of multiple name variants for one applicant)

**** Standardization – using one name variant for an applicant (which might not be the ultimate owner, as IP rights can be registered in the name of a subsidiary when the beneficiary is the parent company)]**

Please mark each option that you choose with (L: Low), (M: Medium) or (H: High) depending on the priority attributed by your office.

	L: Low	M: Medium	H: High
Use of identifiers			X
Normalized* names	X		
Use of “dictionaries” of patentee names by patent information	X		
Use of standardized** names designated by applicants			X

Other. Please specify:

18. 11. What is your Office’s desired outcome from the Name Standardization Task Force (set of recommendations, public database, etc.)? Please explain:

CIPO's current Patent Act stipulates that applicants must submit a name with each application. This results in non-standardization of names which limits the agencies capacity to conduct industry or sectorial analyses.

Effective name standardization would facilitate analysis for business intelligence as well as more effective internal client management.

19. 12. Where should the standardization effort be focused? For example, on internal systems in IPOs or for externally-held IP databases?

Ultimately, the applicant should be given a means to self identify through a registration system; allowing for ease of multiple filing and comprehensive name/address change for multiple IP holdings. This would provide for name standardization using a unique identifier that can be associated with other national business registries.

20. 12a. Does your Office use (or plan to use) a computer algorithm for the normalization or standardization of applicant

names?

Not sure

Comments: CIPO has already experimented with the creation of a Master Data Management solution for the standardization of names through algorithmic processes. CIPO is currently evaluating the potential and drawbacks of this approach.

21. 12b. If yes, please briefly describe the algorithm.

A detailed description is not necessary. If the algorithm has a commonly recognized name, that may be sufficient. If not, a few words or sentences describing the general approach of the algorithm are enough. If multiple algorithms are used in combination, please briefly explain each one.

Example: "The algorithm removes non-latin characters and repeated whitespace, then uses a dictionary to replace known abbreviations with a standard format, such as "L.L.C." and "LLC." being replaced with "LLC".

CIPO's MDM approach was to use an algorithmic approach to match existing names with Canadian IP databases to generate a single authoritative list of clients. The result of this approach is only a probabilistic matching process.

22. 13. If Offices use different approaches to managing applicant names, should the standardization effort harmonize the different approaches for the purpose of the international exchange of patent information?

Name standardization has some value, but still allows for too much variance in name as submitted by the client. Client registration and the assignment of a unique identifier would be ideal.
