产权组织标准委员会（CWS）

第九届会议
2021 年 11 月 1 日至 5 日，日内瓦

关于调查主管局数字化转型做法的提案

国际局编拟的文件

背 景

1. 产权组织标准委员会（CWS）在 2018 年的第六届会议上批准了第 62 号新任务，其说明为："着眼于知识产权文献的电子公布，审查下列产权组织标准：ST.6、ST.8、ST.10、ST.11、ST.15、ST.17、ST.18、ST.63 和 ST.81，并在必要时提议对这些标准的修订"（见文件 CWS/6/34 第 143 段至第 151 段）。标准委员会组建了一支相关工作队，名为"数字转型工作队"，并指定美国专利商标局（美国专商局）作为工作队牵头人（见文件 CWS/6/34 第 145 段至第 153 段）。在标准委员会第七届会议上，工作队提出了一项计划，以讨论现行做法，为审查各标准制定标准，并确定标准审查工作的优先次序（见文件 CWS/7/29 第 102 段至第 104 段）。

关于调查的建议

2. 数字转型工作队讨论了其由工作队牵头人编拟的工作计划。该工作计划重点关注：

    – 着眼于知识产权文献的电子公布，审查产权组织标准；

    – 审查公布做法，以改善主管局生成信息的数字传播；以及

    – 根据需要对这些标准提出修订，以适应当前技术和业务流程。

3. 在讨论工作计划的过程中，工作队意识到需要更多有关知识产权局现行做法的信息。为了更好地了解知识产权局在接收和公布方面的做法，工作队编制了一份调查问卷草案，载于本文件附件。调

查问卷意在收集关于知识产权局目前使用的处理（接收、处理和公布）知识产权文献的做法，包括专利申请全文和其他机器可读文本格式的专利申请。

4.　　　工作队认为，调查结果将有助于更好地了解知识产权局在数字化方面的做法和当前业务需求。工作队可以利用该信息协助修订和修改第 62 号任务中所列的现有产权组织标准。

5.　　　工作队建议秘书处发出通函，邀请各局在标准委员会第九届会议后参与调查，并在产权组织网站上公布答复，如果拟议问卷在本届会议上获得批准，则将调查分析报告提交给标准委员会第十届会议，供其批准。正如文件 CWS/9/20 所提出的，建议的这种方法比在公布前向标准委员会同时提交调查分析报告和未经编辑的答复的传统方法更为高效。对调查的基本答复可以更及时地提供给有关各方，并且能够减少供标准委员会会议审议的材料数量。

6.　　　请标准委员会：

（a）注意本文件及其附件的内容；

（b）批准转录于本文件附件的调查问卷；

（c）要求秘书处如上文第 5 段所述，开展调查并在收到答复后立即将其公布于产权组织网站；并

（d）要求工作队如上文第 5 段所述，提交关于调查结果的分析报告，供标准委员会在其第十届会议上批准公布。

[后接附件]

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]