

XMLization

January, 2019
Japan Patent Office

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✓ Comparative study of e-filing

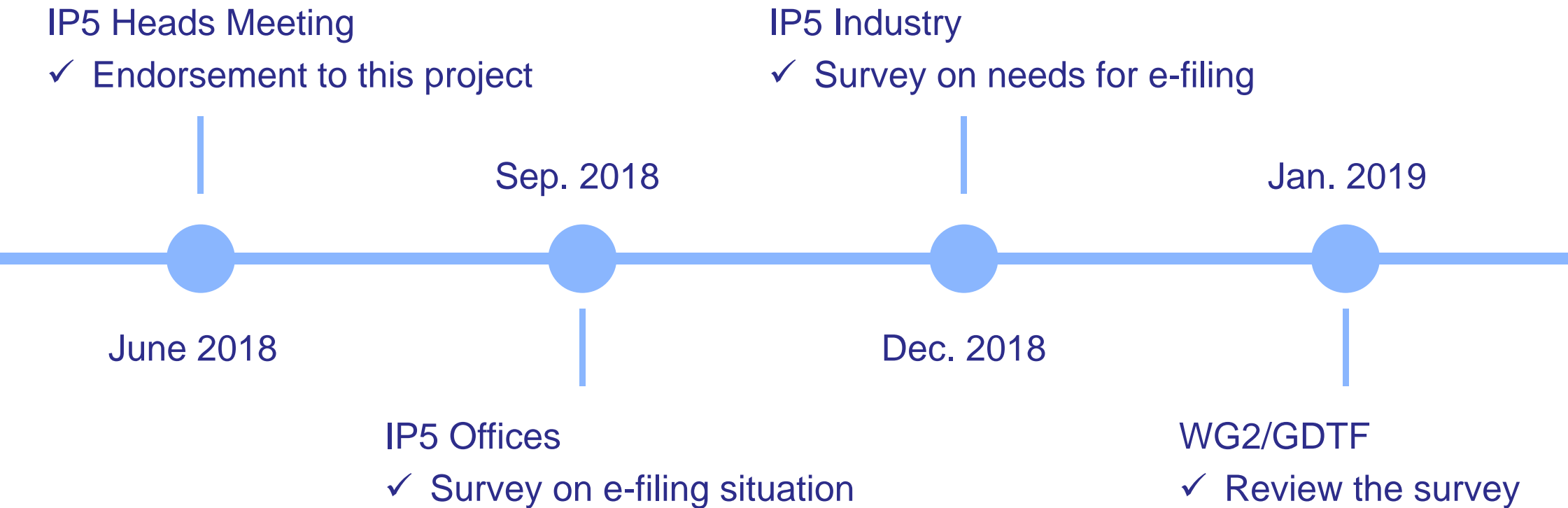
- Improve the convenience of e-filing for Offices and users
- Survey on Offices and users

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✓ Utilizable XML document (XML2020)

- Expedite the utilization of XML
- Make mapping table of the tags among IP5 Offices

Timeline of Comparative study on e-filing



Example of result of survey on e-filing (Offices)

Q1. What type of format (e.g. XML, PDF and paper) is accepted for receiving applications?

	CNIPA	EPO	JPO	KIPO	USPTO
XML	63.02	98.1 (Doc:PDF Biblio:XML)	98.5	97.1	-
PDF	36.26		-	-	98
Paper	-	1.9	1.5	2.8	2
MS-Word (DOC/DOCX)	0.71	-	-	0.1	-
TXT	0.01	-	-	-	-

etc.

Q. What kind of format is preferable for incoming and outgoing documents?

Incoming Document

Preferable Format

- ✓ XML
- ✓ PDF
- ✓ DOCX
- ✓ Paper

Outgoing Document

Preferable Format

- ✓ XML
- ✓ JSON
- ✓ Text-based PDF
- ✓ CSV
- ✓ PDF
- ✓ Paper

Thank you for continuous cooperation of IP5 Offices and industry.

Summary

The study disclosed;

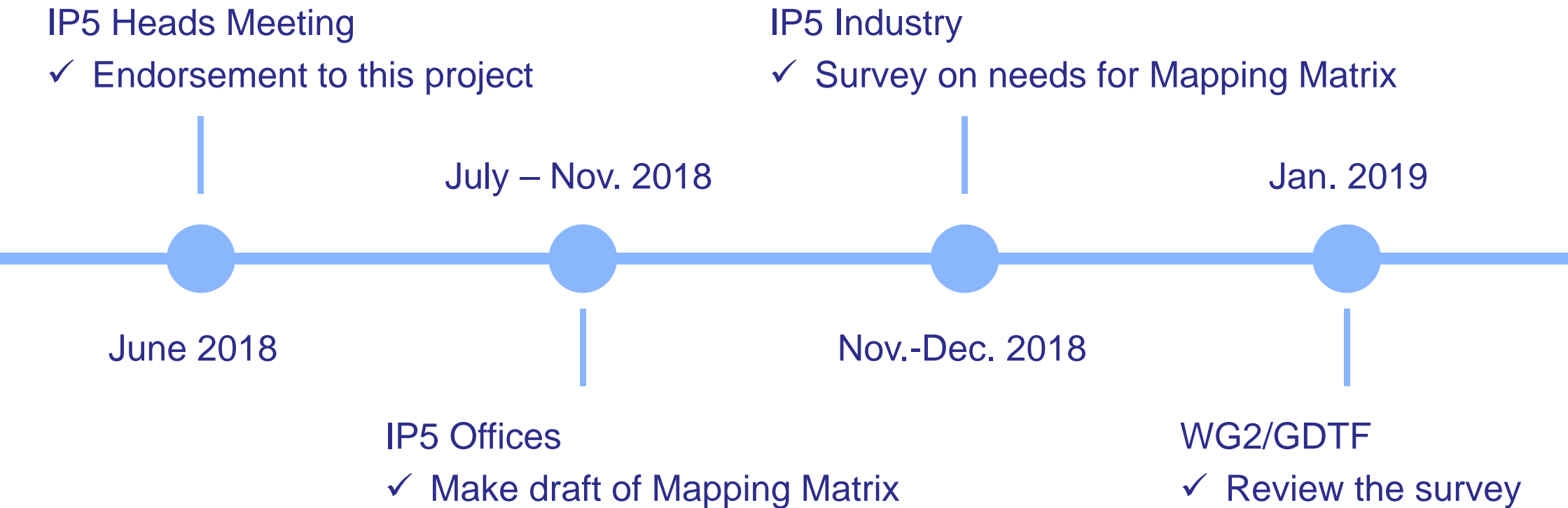
Offices

- Offices have improved the convenience of e-filing.
- Various formats can be accepted by Offices.

Users

- Users hope to have format options of outgoing documents in e-documents,
 - ✓ XML
 - ✓ JSON
 - ✓ Text-based PDF
 - ✓ CSV
 - ✓ PDF

Timeline of Utilizable XML document (XML2020)



Target document (XML2020)

Document group	USPTO	EPO
Request for a Patent	<ul style="list-style-type: none"> - Transmittal of New Application - Application Data Sheet - Claims - Specification - Abstract 	<ul style="list-style-type: none"> - Request for grant of European patent - Request for entry into the European phase <ul style="list-style-type: none"> - Claims - Abstract - Description - Drawings
Argument	<ul style="list-style-type: none"> - Applicant Arguments /Remarks Made in an Amendment 	
Amendment	<ul style="list-style-type: none"> - Amendment /Req. Reconsideration - After Non-Final Reject - Claims - Applicant Arguments /Remarks Made in an Amendment - Preliminary amendment - Specification - Amendment Submitted /entered with Filing of CPA/RCE - Amendment After Final or under 37CFR 1.321, initiated by the examiner. - Response After Final Action 	<ul style="list-style-type: none"> - Amendments received before examination - Amended claims filed after receipt of (European) search report - Reply to communication from the Examining - Division - Amended claims with annotations - Claims - Description
Notification of Reasons for Refusal	<ul style="list-style-type: none"> - Non-Final Rejection - List of references cited by examiner 	<ul style="list-style-type: none"> - European Search Report - European Search Opinion - Supplementary European Search Report - Communication from the Examining Division
Decision of Refusal	<ul style="list-style-type: none"> - Final Rejection - List of references cited by examiner 	<ul style="list-style-type: none"> - Final instructions (application deemed to be withdrawn/application refused) - Decision to refuse the application (examining division) - Grounds for the decision (Annex)
Decision to Grant a Patent	<ul style="list-style-type: none"> - Notice of Allowance and Fees Due(PTOL-85) - Issue Notification 	Decision to grant a European patent

Target document (XML2020)

Document group	JPO	KIPO	CNIPA
Request for a Patent	<ul style="list-style-type: none"> - Request for a Patent - Claims - Description - Abstract - Drawings 	<ul style="list-style-type: none"> - Patent Application - Paper according to the Article 203 of Patent Act 	<ul style="list-style-type: none"> - Request for a Patent - Claims - Description - Abstract - Drawings
Argument	<ul style="list-style-type: none"> - Written Argument 	<ul style="list-style-type: none"> - Written Opinion 	<ul style="list-style-type: none"> - written opinion
Amendment	<ul style="list-style-type: none"> - Written Amendment 	<ul style="list-style-type: none"> - Amendment 	<ul style="list-style-type: none"> - Amendment
Notification of Reasons for Refusal	<ul style="list-style-type: none"> - Notification of Reasons for Refusal 	<ul style="list-style-type: none"> - Notification of Reason for Refusal - Notification of Reason for Final Refusal 	<ul style="list-style-type: none"> - First Office Action - Nth Office Action
Decision of Refusal	<ul style="list-style-type: none"> - Decision of Refusal 	<ul style="list-style-type: none"> - Decision to Refuse a Patent 	<ul style="list-style-type: none"> - Decision of Refusal
Decision to Grant a Patent	<ul style="list-style-type: none"> - Decision to Grant a Patent 	<ul style="list-style-type: none"> - Decision to Grant 	<ul style="list-style-type: none"> - Notification to Grant Patent Right for Invention

Example of user needs on XML tags (Industry)

Q. What tags should be added/deleted to Mapping Matrix?

Added tags (exist in current Samples)

- ✓ Applicant's information (e.g., ID) : For Filtering
 - ✓ Classification (IPC, CPC) : For Filtering / Machine learning
 - ✓ Citation List : For Filtering / Machine learning
- etc.

These tags will be incorporated into XML Mapping Matrix.

Deleted tags

No comments

➡ JPO would like to propose the Matrix will be disclosed
in both IP5 webpage and CWS.

Purpose

- Reference : Utilizing XML tags
- Communication : Understanding users' needs
- No restriction : Law / System-developing

Future work

- Disclose Matrix to Users and CWS (in IP5 Web page / WIPO wiki)
- Continue to Develop Matrix more detailed and useful

Summary

The study disclosed;

Offices

- Offices have developed XML format steadily.

Users

- There are several needs for XML tags such as,
 - ✓ Applicant's information (e.g., ID) : For Filtering
 - ✓ International Patent Classification(IPC) : For Filtering / Machine learning
 - ✓ Citation List : For Filtering / Machine learning

Proposal

- JPO hopes to reach consensus on developing Mapping Matrix in IP5 Heads meeting.
- JPO proposes the disclosure of Matrix to Users and CWS
using IP5 Web page / WIPO wiki.

Example of user needs on Information items (Industry)

The industry hopes to add information items into IP5 document.

Desired information items

Date of publishment	Type of final disposition	Note of examiner	The number of information statement from third party
Information of status	Date of final disposition	Existence of priority document	The number of interview
Date of dispatching decision	Type of examination	Identification of Accelerated Examination	The period of extending patent right
Next due date of maintenance fee	Patentee Identification number	Identification of Accelerated Appeal	
Existence of early examination	Patentee	Identification of Appeal	
The number of claims in an application	Patentee Address	The number of Trial	
The number of claims granted to a patent	Expiration date of the title	The number of filing Judgement	
Type of decision	FI/IPC	Existence of inspection	

Industries hope:

1. The data which does not appear in current samples
 - ✓ The number of information statement from third party
 - ✓ The number of interview
 - ✓ The number of Trial
 - ✓ The number of filing Judgement
 - ✓ Existence of inspection
 - ...
2. The data which is needed to be calculated by either Office or User
 - ✓ Expiration date of the title
 - ✓ The period of extending patent right
 - ...

➡ JPO would like to propose the IP5 Offices will try to consider
the possibility of providing the information items.

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- ✓ Comparative study of e-filing
 - Offices provide good e-filing system now.
 - Users need more various formats of outgoing documents.

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- ✓ Utilizable XML document (XML2020)
 - Mapping Matrix is temporary assembled.
 - User needs more various data to be disclosed.



JPO thinks the discussion on the optimal data architecture for exchange is necessary.

Next

Pilot of exchanging between Offices and users.

Check points

- ✓ Utilize XML document (XML2020)
 - Endorse to develop Mapping Matrix by IP5 Office Heads
 - Continue to develop Mapping Matrix
- ✓ Review the new information items
 - Consider the possibility of providing new items
- ✓ Make synergy with API
 - Share Mapping Matrix with WIPO's CWS
 - Cooperate with API standard
- ✓ Discuss the format of data
 - Appropriate data format for providing

Thank you