XML Document Provision

4th GDTF meeting
January 18, 2017

Japan Patent Office

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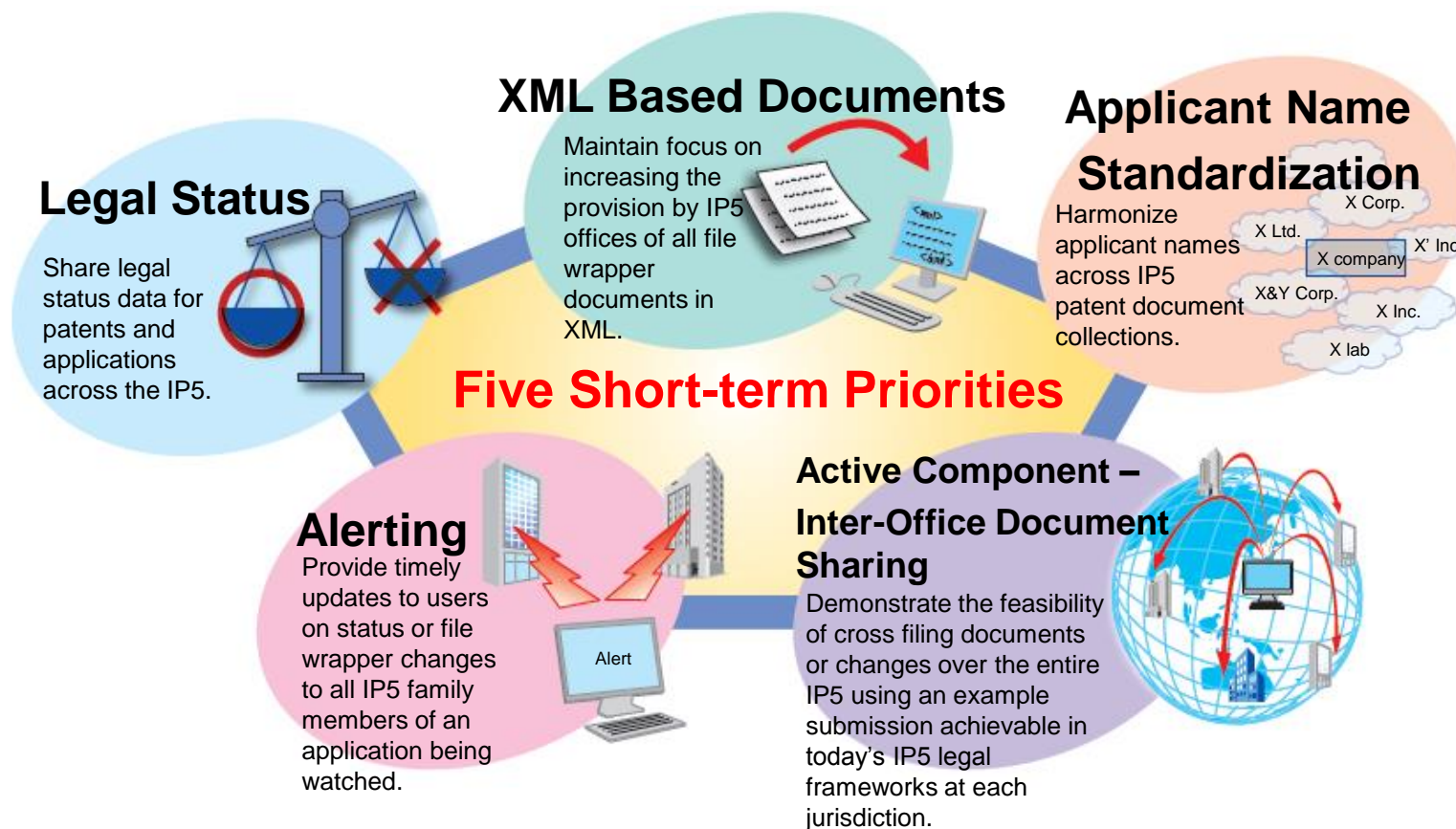## *Table of Contents*

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Background

> During the IP5 Heads meeting hosted by the JPO in Tokyo in June 2016, agreements were reached to set the scope of the five priorities.
> ⇒ We have to proceed to the next step to implement them!

XML Based Documents

Maintain focus on increasing the provision by IP5 offices of all file wrapper documents in XML.

Applicant Name Standardization

Harmonize applicant names across IP5 patent document collections.

X Corp.
X Ltd.
X' Inc.
X company
X&Y Corp.
X Inc.
X lab

Legal Status

Share legal status data for patents and applications across the IP5.

Five Short-term Priorities

Alerting

Provide timely updates to users on status or file wrapper changes to all IP5 family members of an application being watched.

Alert

Active Component – Inter-Office Document Sharing

Demonstrate the feasibility of cross filing documents or changes over the entire IP5 using an example submission achievable in today's IP5 legal frameworks at each jurisdiction.

3

Background

> ➢ We conducted following surveys last year.

■ <u>Surveys on user needs</u>
  - ✓ We conducted a user survey to know, for example, which documents/data users want to receive in XML format.

■ <u>Surveys on services provided in the private sector</u>
  - ✓ We had meetings with tool vendors to investigate usage of XML document data in the commercial sector.

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Question

- (1) Please select an answer that best matches your idea about data provision in the XML format. When only bibliographic information of the document is XMLized, it is envisioned that XMLized bibliographic data and the original document itself (e.g., in the PDF format) will be sent together.

  a. It is enough to XMLize just bibliographic data of the document and XMLization of whole document is not necessary.
  b. Though it is useful to XMLize bibliographic data of the document, XMLization of whole document is preferable.
  c. It is insufficient to XMLize only bibliographic data of the document and XMLization of whole document is essential.
  d. Others

Summary of answers

- ➢ **Majority of users answered "b", and some of them commented that "c" was desirable in the future.**
- ➢ **Some users answered "c".**
- ➢ **Some users prefer to bibliographic data XMLized first, and the rest of the document could be XMLized later.**

Question

- ■ (2) Which documents would you like to be provided in the XML data format?
- ■ (2)-1 Regarding the following documents in the patent examination stages, please rate which documents you want Offices to provide in priority in the XML data format.
  - ➢ ・Notification of reason(s) for refusal, Decision to grant a patent, Decision of refusal, Invitation to correct (concerning to fees etc.), Application form, Specification, Claim(s), Drawing(s), Written argument, Written amendment

Summary of answers

- ➢ **The need for which documents are to be XMLized varies among the users.**
- ➢ **Some of the users asked for XMLization of all documents.**
- ➢ **Comparably, outgoing documents obtained higher demand for XMLization.**

Question

- ■ (2)-2 Please write in the table below if there are any other documents you want us to provide in the XML data format.

Summary of answers

- ➢ **There are requests of XMLization for broad items, such as IDS, citation information, search report, appeal and so on.**

Question

- (3) While a document name, an application number, a drafting date and a title of invention are given as examples for an XML tag, please let us hear your opinions about the items that you expect to be tagged in great need. In addition, do you think it useful to provide items not listed in the documents themselves such as a due date for the response as a XML tag?

Summary of answers

- ➢ **Many users requested to tag the bibliographic information, such as application number, applicant name, title of invention and so on.**
- ➢ **Regarding the items not listed in the documents themselves, many users would like the due date to be tagged.**

Question

- (4) Please select an answer that best matches your idea about a standardized tag being used for common contents in XMLized documents of each Office.

  a. Standardization of tag between Offices is essential.

  b. Standardization of tag between Offices is not essential, but is useful.

  c. Standardization of tag between Offices is neither essential nor useful.

Summary of answers

➢ **The majority of users answered "a" and some users answered "b".**

➢ **No users answered "c".**

➢ **One user commented that tag standardization was needed to help users import documents from different countries to database.**

➢ **Some users requested a convenient means of mapping be provided. (This answer is in regard to question (5).)**

Question

- (5) In association with (4), will it work if a mapping table that maps corresponding tags between Offices is provided instead of the standardization of tags?

Summary of answers

➢ **Some users responded that mapping tables could be alternatives for standardizing tags.**

➢ **Some users prefer standardizing tags to mapping tables, but the majority of them responded that mapping tables were also acceptable.**

Question

- (6) Please select an answer that best matches your idea about a tag name.

  a. To standardize a tag in English and Human Readable manner is essential.

  b. To standardize a tag in English and Human Readable manner is not essential, but useful.

  c. To standardize tags in English and Human Readable manner is neither essential nor useful.

Summary of answers

➢ **All users answered "a".**

➢ **Some users commented that "a" is needed for users who are not patent information experts, to interpret the contents.**

➢ **One user commented that "a" is needed to edit programs easily.**

Question

- (7) What type of means do you think is desirable to access XML data besides an enclosure in documents which are sent from the Offices such as a notification of reason(s) for refusal? (e.g., provision on an information providing site such as OPD)

Summary of answers

➢ **Many users hoped that the XML data can be provided by web services such as OPD.**

➢ **Some users hoped that the XML data can be provided in bulk data.**

Question

■ (8) Please fill out in the box below if you have expectation for each IP Office or other opinions/requests regarding data provision in the XML format.

Summary of answers

1	XML tagging by the regional offices (Eurasia, Aripo, Oapi, GCC) would be recommendable.
2	I think there is a big advantage if the description, the list of cited references of the reason(s) for refusal are formatted as XML by which the documents can be directly taken in the PTO-1449 form of the USPTO when the IDS (information disclosure statement) is provided to the USPTO.
3	I think it would be good if it could be realized sequentially from where you can make a start early on among the requests this time. I expect that handling of documents such as comprehension of the descriptions of the documents will be easy even in the case of languages other than English by employing standardized tags.
4	I want XMLization to be realized early with the cooperation among the IP5 Offices and it does not matter even if it is step-by-step. In addition, I want not only the IP5 Offices but also the WIPO to participate in the provision of XML. Though users are currently accessible to information on disclosed patent applications, I want the JPO to enable applicants of smaller IP businesses to directly access the Office to view and download one's own filing documents and their statuses. Though analysis tools are provided by various organizations, it is desired that information should be abundant, newest, and accurate. I want the Offices and administrative organs to promptly provide more patent information than ever and also the right ones. It would be appreciated for smaller IP businesses if the Office could provide an analysis tool itself. I want the Offices to offer an environment which backs up the creation of knowledge at all costs. The man-hour for data re-entry and confirmation makes it difficult to produce new knowledge. It is a real waste to spend one's labor for there. I want the Offices to proceed with the construction of an IP system for supporting not only the protection of knowledge but also the creation of knowledge.
5	Determination of life or death is very important in analyzing patents of other companies. However, since many Offices are not providing Legal Status in a computer-readable form, it is hard to do an analysis. Like the JPO, I want other Offices to provide information of Legal Status in a computer-readable form at all costs.
6	I want other Offices to realize the same level of computerization as the JPO. Since the method of the JPO is superior, I want other Offices to refer to it at all costs.

Question

■ (8) Please fill out in the box below if you have expectation for each IP Office or other opinions/requests regarding data provision in the XML format.

Summary of answers

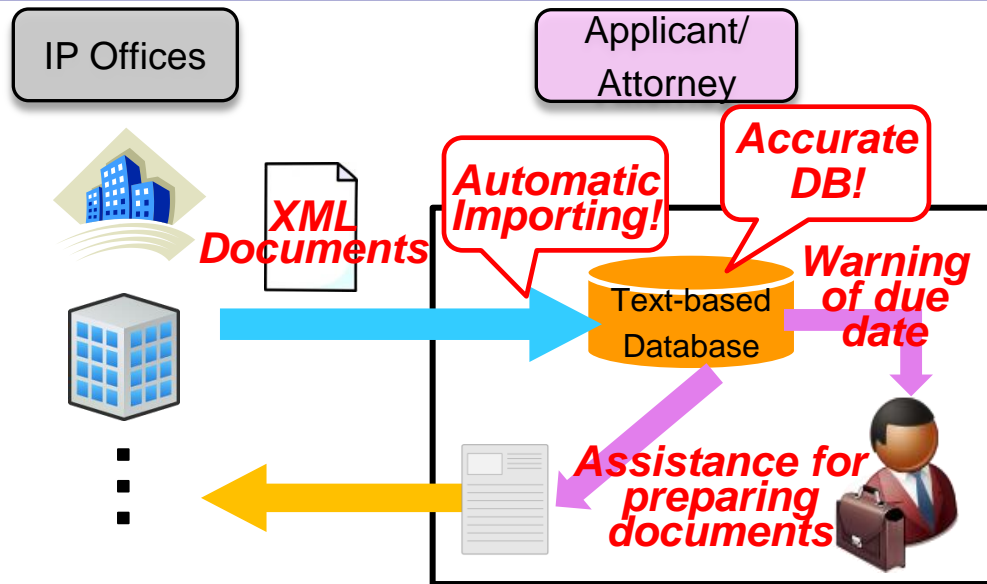|	
7	If it is going to take time to standardize tags, I want an early realization of the provision of existing data of the Offices in XML first. I think taking in bibliographic information including that of various dead lines will improve the speed, quality, and efficiency in agents and applicants and also lead to improved speed and quality of the procedure before the office. I am thinking that for the future, I want the offices to make it possible to download data of one's own cases collectively in combination with an applicant name, a type of action, and a date, not to mention data with respect to each individual document.
8	After XMLization of the data, the access speed to OPD is to ensure to be lower than before.
9	Hope to provide more detailed legal status information in the XML format.
10	Translate as accurately as possible. It would be better if patent contents can be rewritten.
11	Use standard XML tagging for the names of documents that are included in the table of the contents of a dosser.
12	We expect to use XML documents: - as input of patent management system of applicants/agents; - so that the document is directly exchanged between patent office system and patent management system of applicant/agent, without any dedicated desktop software; and - for trend analysis or analytics using patent data. We also expect use XML document data for improving quality and efficiency of examination of offices as well as operations of applicants/agents. It is desirable that XML format of specification and office action is defined so that it can be directly imported to PTO-1149 form of USPTO.
13	Every patent office should be working to convert to XML, if they are not already there.

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   2.1 User Needs

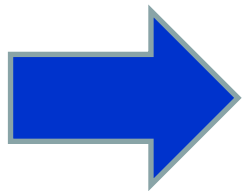   2.2 Services Provided by the Private Sector

3. Summary

JPO JAPAN PATENT OFFICE

> ➤ Recently, some service providers in private sectors provide convenient IT tools by utilizing data imported from XML documents.

IP Offices

Applicant/ Attorney

XML Documents

Automatic Importing!

Accurate DB!

Text-based Database

Warning of due date

Assistance for preparing documents

◆ What kind of data/document do service providers want in XML format?

◆ How are services provided by IT tools?

The JPO met with 4 tool vendors last October and gathered detailed information and learned about their needs.

- A system for patent management has been constructed at each vendor and various functions e.g., application management functions such as process management, period management, and annual fee management; search functions; patent analysis functions; interoffice cooperation functions with persons in charge in respective sections; and cooperation functions with patent offices are provided.

- Though data from the JPO can automatically be retrieved since they are in XML format, data from other Offices requires manual input. For this reason, it is costly and also there is concern about occurrence of an error. Therefore, it is strongly expected that Offices will provide data in XML.

- Documents which require a response such as reasons for refusal and invitation to correct have high priority.

- Standardization of tags is desirable. However, it would be possible to import XML data provided by different offices even if not standardized. The first priority is to be provided with XML data by Offices.

- It is good if a due date is tagged.

- Some tool vendors want to be provided with data through OPD or in bulk.

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   2.1 Barriers/Constraints for the IP5 Offices

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Summary

➢ Based on the 2016 survey, the JPO checked user needs in terms of the XMLization.

➢ It became clear that users had strong expectation for XMLization.

Next steps

➢ The JPO will continue to support the IP5 Offices.

➢ The JPO will conduct follow-up surveys on XMLization in the Ofices next year.

➢ This year, the JPO will compare tags in XMLized documents, if any, such as office actions in the Offices, to check the feasibility of mapping between each office's XML tags.

Thank you