

IP5 GLOBAL DOSSIER: SCOPE, CONTENT, AVAILABILITY AND PERFORMANCE

At the 2014 IP5 Heads and Industry meeting in Busan, Korea, the first IP5 Global Dossier implementations were launched for public use by EPO and SIPO; and by 2016, the file wrappers of all IP5 Offices could be accessed through the Global Dossier services of any single IP5 Office. Overall, the Global Dossier enables users to view the online patent dossiers for 2.5 million new patent applications filed each year at the IP5 offices. These may be viewed either in the original language or in English, via the EPO's Espacenet or EP Register, JPO's One Portal Dossier, KIPO's One Portal Dossier, SIPO's China and Global Patent Examination Information Inquiry, USPTO's Global Dossier services.

The scope of the IP5 Global Dossier has been further extended via the WIPO CASE system to include the file wrappers of the patent offices of Australia, Canada, Israel, the UK, and WIPO IB (PCT), and these are gradually being included in the individual IP5 Offices' public Global Dossier services.

At the IP5 Global Dossier Task Force Meeting on 18 January 2017 at the EPO in Munich, IP5 Industry requested a document presenting an overview of the scope, content, availability, timeliness and performance of the IP5 Global Dossier initiatives at the IP5 Offices. This document addresses these topics and provides a relevant indication of the quality and performance of the tool. It also offers information on future improvements.

Table of Contents:

- I. Scope of Global Dossier coverage (Dossier types and date ranges)**
- II. Content of each GD File Wrapper (completeness)**
- III. Availability of each IP5 GD service**
- IV. Maximum capacity of each IP5 GD service**
- V. Timeliness of document additions**
- VI. Approximate response times**
- VII. ANNEXES**

I Scope of Global Dossier coverage (Dossier types and date ranges)

The following table gives an overview of the dossier types available from each Office, and the date ranges of dossiers available for each type. Furthermore, an indication is given of the languages available, and the Machine Translation (MT) service used to supply the documents in English.

The following overview applies as at 01 March 2017.

Patent office	Dossier type	Date range (filing date)	Languages available	
EPO	EP and PCT patent applications	All (1977-)	Original EN-DE-FR	
JPO	JP and PCT patent applications and utility models	>=01-07-2003	JP / EN (JPO MT)	
KIPO	KR and PCT patent applications and Utility models	>=01-01-1999	KR / EN (KIPO MT)	
SIPO	CN and PCT patent applications ¹	>=10-02-2010	CN / EN (SIPO MT)	
USPTO	US and PCT patent applications	>=01-01-2003	EN	
Not all WIPO CASE "Providing offices" have agreed to public access for all accessing offices. The following indicates the scope of online file wrappers made publicly available via WIPO CASE (as at 01-01-2017) at each IP5 Offices' GD. ² See the WIPO CASE internet pages for details of public availability: http://www.wipo.int/case/en/				
Patent office	Dossier type	Date range (filing date)	Languages available	IP5 GD services providing public access to WIPO CASE Data
PCT	PCT applications	Publication >=1978	PCT Publication Languages	EPO, JPO
CIPO	Patent applications	With examination report >= 01-08-2015	Original EN-FR	EPO, JPO
IP-AUS	Patent applications	>=01-01-2006	EN	JPO

Note: not all patent application and utility model numbers support active deep links. See Annex for details of kind codes and links.

Machine Translation services:

The MT services at all IP5 Offices and WIPO are regularly updated according to the schedules of the IP5 Offices and their MT service providers, to provide a continual quality improvement.

¹ According to SIPO's legal framework, utility models are subject to preliminary examination prior to publication. Dossier information of utility models is not considered by SIPO to support work sharing. Therefore this is not included in the OPD / GD.

² As from 08-11-2016, EPO's Global Dossier includes WIPO IB (PCT) and CIPO online file wrappers.

II Content of each GD File Wrapper

The documents visible in the IP5 Offices' file wrappers in the Global Dossier are approximately identical to the online file wrappers available at each IP5 Office, with some minor exceptions (see **Annex II**).

The file wrappers from "Providing offices" to the WIPO CASE system are varied in scope, as WIPO CASE was originally devised to share mainly search and examination results via the Vancouver Group offices (CIPO, IP-AUS, UK IPO), rather than present the entire dossiers; therefore the actual file wrapper content varies from IPO to IPO, but includes at least search and examination reports. Details are included in **Annex II**. This scope is gradually being expanded.

III Availability of each IP5 GD service

The following table gives a general overview of when the GD services are NOT available from a particular "Providing office". See "**Annex III**" for complete information.

Patent office	Service unavailable hours for GD Dossier access service	Holidays when Service is unavailable. (Full details of all holidays and planned unavailability is given in Annex III).
EPO	Sunday: 06:00-11:00	Available except during the usual unavailable hours or unexpected problems. There may be further planned outages for maintenance. These are announced on the EPO's website.
JPO	Saturday: 07:00 – 24:00 Holiday after any weekday: 07:00 – 24:00 Sunday: 00:00 – 24:00 Holiday after any Sunday: 00:00 – 24:00 Holiday after any holiday: 00:00 – 24:00 Monday: 00:00 – 08:00 Weekday after any holiday: 00:00 – 08:00 Regular maintenance: A few minutes in 04:00 – 04:15 everyday	See left.
KIPO	Wednesday: 18:00-19:00 Sunday: 00:01-09:00 21:00-24:00	OPD service is available on holidays except when system maintenance are required or unexpected problems
SIPO	/	Services are available on holidays except when occasional maintenance are required or unexpected problems
USPTO	/	No scheduled maintenance on holidays for 2017.
WIPO CASE	None (Service availability may vary as per each providing office)	No scheduled maintenance on holidays for 2017

(Time references are all in local time).

IV Maximum capacity of each IP5 GD service

The IP5 Offices have mostly defined a maximum accessing or providing limit, to prevent abuse and/or issues raised by overburdening the IT architecture. Only KIPO and USPTO provide no limit as “Providing offices”. The following table provides an overview of the type of providing capacity allowed by each Office. Examples:

- As an **“Accessing office”**, the EPO will allow its public users to access e.g. USPTO dossiers up to the limit provided by the USPTO. If an Office does not specify a maximum, then the EPO will allow up to a certain number of file wrapper accesses (Table of Contents, or any particular document) per period of time for all users’ accesses combined. SIPO will allow a certain number of accesses per day and potentially per Office.
- As a **“Providing office”**, the EPO will allow other Offices to access EPO online file wrappers up to a maximum of a certain number of accesses per period of time per Office.

The below information is generalised to avoid presenting information to users who may wish to circumvent the limits imposed. Users are unlikely to reach these limits under normal circumstances. Should individual users however have issues, they could consider contacting their IP5 Office directly.

Office	IPO as “Accessing Office”	IPO as “Providing Office”
EPO as...	Either the limit imposed by the Providing Office, otherwise a maximum limit defined by the EPO per time period	Limit per office per time period
JPO as...	A limit per time period	Limit per day for all sources
KIPO as...	A limit per time period	No current limit
SIPO as...	A limit per time period	Limit per office per time period
USPTO as...	A limit per time period	No current limit
WIPO CASE³		
WIPO CASE as ...	The limit provided by each “Providing office” Otherwise no current limit	No current limit

³ WIPO CASE does not itself limit the capacity for “Accessing” or “Providing” offices, but each “Providing office” in WIPO CASE may set its own limits.

V Timeliness of document additions

Documents may not be immediately visible via the GD services. Delays may be due to scanning, formalities procedures, and exchange of data between services, as well as other legal and procedural restrictions.

Office	Incoming documents	Outgoing documents	Comments
EPO	Incoming documents are available once they have been manually checked by a Formalities Officer.	Outgoing documents are available once they are considered as officially dispatched.	Identical to availability via EPO's online filing. PCT documents are also subject to PCT legal and procedural requirements.
JPO	[Online submission] By the next day of submission by applicants after automatic formality check. [Non-online submission] Approximately two weeks from submission by applicants.	[Online and Non-online dispatch] By the next day of dispatch.	
KIPO	Incoming documents are available once they have been manually checked by a Formalities Officer.	Outgoing documents are available once they are considered as officially dispatched.	Identical to availability via KIPO's online filing.
SIPO	Incoming documents are available after formality procedures.	Outgoing documents are available once they are officially dispatched.	
USPTO	Incoming documents are available immediately upon entry to the filewrapper.	Outgoing documents are available once they are considered as officially dispatched.	

Office	Incoming documents	Outgoing documents	Comments
PCT	Incoming documents are available when each international application is published.	Outgoing documents are available when each international application is published.	Normally, international publication takes place every Thursday except when the International Bureau is closed for business.
CIPO	Incoming documents are available by the following day of receipt of them from CIPO.	Outgoing documents are available by the following day of receipt of them from CIPO.	
IP-AUS	Incoming documents are available immediately upon entry to the IP-AUS's file wrapper.	Incoming documents are available immediately upon entry to the IP-AUS's file wrapper.	

VI Approximate response times

Preliminary results:

Brief tests have been performed at each IP5 Office, accessing file wrappers from all other providing offices. These tests have been repeated on different days to help overcome the effects of caching.

The performance of the global dossier is dependent on many factors, including the capacity of the Providing Office, the actual current user accessing load, the internet load between the countries, and any cache either on server services or on local workstations etc. etc. The actual download times can therefore only provide a very general indication of performance, but might indicate where any issues lie.

These tests show that, across the IP5 Offices, access times to any Table of Contents are generally less than 10 seconds, and access to any particular document generally less than 20 seconds, even with Machine Translation.

First results indicate therefore that the response times for the online services across the IP5 Offices and WIPO are within reasonable limits to view both a Table of Contents and individual documents.

These results can only provide a general indication, and are unlikely to be reliably reproducible. Reproducible tests would only be possible with automated services which would require significant development.

It is proposed that Industry might wish to identify areas where performance is clearly an issue, and could be considered a priority. The IP5 Offices could then liaise with Industry to decide next steps.

VII ANNEXES

Annex I: Scope of Global Dossier coverage (Dossier types / date ranges)

All document types and date ranges in detailed “section I” should be available, with the exception of CIPO dossiers, for which the following conditions apply:

CIPO file wrappers are only present if:

- If after August 2015 a patent application has documents added or modified in the repository, since the last daily export *AND* the patent has a log 16 (R30(2) Examiner Requisition), it is eligible for export to WIPO CASE.
There is therefore no file wrapper available for:

- i) Applications that are allowed by an examiner at the first action (i.e. there is no examination report).
- ii) Applications that are allowed by an examiner after August 2015 where the examination report(s) were dated before August 2015 and none of the aforementioned document types were added or modified before allowance.
- iii) Applications that were allowed or went to final action and had a Commissioners Decision before August 2015.
- iv) Applications where documents are added or modified in the repository, such as claim amendments or a request for examination, but there has not yet been an examiner’s report (log 16).

The following document gives a summary of the dossier types and ranges at IP5 Offices, and also of the “deep linking” that may be applied to each IP5 dossier type:



GD Content V2.1
04-05-2017.docx

Annex II: Content of each GD File Wrapper

The documents visible in the IP5 Offices' file wrappers in the Global Dossier are identical to the online file wrappers available on each IP5 Office website, with some minor exceptions. These are detailed below:

IP5 Office	Content available via Global Dossier	Exceptions – available via non-online file inspection but not online / GD
EPO	Identical to public online file inspection. The file wrapper includes all documents contained in the public part of the file. NPL citations are not available due to copyright limitations.	NPL citations may be viewed only as part of the physical on-site file inspection.
JPO	Identical to online file wrapper available at JPO website (J-PlatPat). NPL citations are not available due to copyright limitations.	NPL is basically available via non-online file inspection with some exceptions relating to copyright issues.
KIPO	Identical to public online file inspection. The file wrapper includes all documents contained in the public part of the file.	
SIPO	Identical to public online file inspection. The file wrapper includes all documents contained in substantial examination and re-examination procedures.	According to SIPO's Examination Guideline, specifically according to Section 5.2, Chapter 4, Part 5, only those specified therein are made public.
USPTO	Identical to public online file inspection. The file wrapper includes all documents contained in the public part of the file. The USPTO does not provide copies of copyrighted NPL on Global Dossier due to copyright issues.	The USPTO provides certified copies of entire file histories, including copyrighted NPL, to members of the public, for a fee, pursuant to 35 U.S.C. § 9 and 37 C.F.R. § 1.19(b)(1). The USPTO considers this copying to be protected by the doctrine of fair use.

The file wrappers from "Providing offices" to the **WIPO CASE** system are varied in scope, as WIPO CASE was originally devised to share mainly search and examination results via the Vancouver Group offices (CIPO, IP-AUS, UK IPO). The

actual file wrapper content varies from IPO to IPO. Details are included in the following, extracted from the WIPO CASE User Guide, Annex 2. This scope is gradually being expanded.



WIPO CASE User
Guide Revision 2_2 Ai

Annex III: Availability of each IP5 GD service

The following Excel table includes details of all known and planned downtimes. The time references are all in local time.



Copy of
OPD-SLA_Annex A_v

Plans toward a 24/365 service availability:

The IP5 Offices summarise their plans for increasing availability towards 24 hours / 365 days per year as follows:

- **EPO:** The EPO cannot yet confirm the completion date for this extension.
- **JPO:** The JPO plans to provide 24/365 service hopefully in 2019.
- **KIPO:** Dualizing the KIPO OPD web server is scheduled for implementation by end 2017, after which KIPO could provide 24/365 services.
- **SIPO:** SIPO provides 24/365 services except when occasional maintenance is required or unexpected problems emerge.
- **USPTO:** The USPTO maintains 24/365 service availability.
- **WIPO:** WIPO provides 24/365 service except when occasional maintenance is required or unexpected problems emerge.