

Questionnaire on Application Numbering

INTRODUCTION

1. The revised version of WIPO Standard ST.13 was adopted by the Standards and Documentation Working Group (SDWG) of the Standing Committee on Information Technologies (SCIT) in February 2008. This revision introduced guidelines on a prototype numbering format of application numbers, including guidelines for coding the types of industrial property rights (IPRs), codes for internal use, control numbers, etc.
2. Application numbers are assigned by industrial property offices (IPOs) in order to identify each application received, and are used by applicants and other offices, for instance, when the priority is claimed. It is important that IPOs, applicants, and users of IP information are always able to identify application numbers, and particularly priority application numbers, as well as their parts, in a unique, clear, and unambiguous manner.
3. The term priority application number in the context of this questionnaire is the reference to an application for a patent, trademark, design or any other IPR, previously received by the Office/Organization, and to which the applicant wishes to refer in a further application, usually filed with another Office/Organization. Generally, these numbers are provided on priority documents or priority certificates.
4. IPOs use a variety of codes in their application numbers, for instance, for coding types of IPRs, regional filing information, and check digits. The codes used by each IPO are unique, and the detailed information on them, as well as on the application number format, might be very important for other IPOs to facilitate their subsequent procedures, e.g. when claiming a priority right.
5. The SDWG requested the International Bureau to conduct a survey on application and priority application numbering systems currently used by the IPOs. The International Bureau should also maintain a list of codes for the types of IPRs, the codes for internal use and the control numbers (check digits) used by the IPOs in the *WIPO Handbook on Industrial Property Information and Documentation* (WIPO Handbook).
6. The main part of the present Questionnaire (Questions 1 – 11) is devoted to application numbering systems. Question 12 concentrates on priority application numbering in details. Question 13 relates to the compliance of the IPO's practices with WIPO Standard ST.13. Examples of application numbers and priority application numbers along with relevant remarks are to be provided in response to Question 14.
7. Please note that the objective of this questionnaire is to collect information about numbering systems currently implemented in the IPOs. It is expected that once this exercise is completed the ST.10/C Task Force will prepare a questionnaire to conduct a second survey to collect information about numbering systems used by the IPOs in the past.

BACKGROUND DOCUMENTS

8. The following WIPO Standards are of relevance to this survey:
 - WIPO Standard ST.13: <http://www.wipo.int/standards/en/pdf/03-13-01.pdf>
 - WIPO Standard ST.10/C: <http://www.wipo.int/standards/en/pdf/03-10-c.pdf>
9. Part 7.2 "Numbering systems" of the WIPO Handbook could be also helpful when you prepare your response to this questionnaire: http://www.wipo.int/standards/en/part_07.html.
10. Working materials of the SDWG and the ST.10/C Task Force are available on the following web-pages: http://www.wipo.int/meetings/en/topic.jsp?group_id=120, <http://www.wipo.int/cws/en/taskforce/st10c/background.htm>.

INSTRUCTIONS REGARDING COMPLETION OF THIS QUESTIONNAIRE

One copy per numbering system

Offices administering the variety of IPRs might have more than one numbering system. Firstly the person who responds to the Questionnaire on behalf of the Office/Organization has to determine the number of different application numbering systems implemented in the Office/Organization. Let this number be N.

Example 1:

A given office administers trademarks, industrial designs, and different kinds of patents (national patents, PCT, plant patents).

All kinds of patent applications have a numbering system which looks like this:

10 2008 123456 patent application filed in 2008 with the serial number 123456

12 2008 666777 plant patent application filed in the same year with serial number 666777

14 2008 987654 PCT international application filed in 2008 that has entered the national phase with serial number 987654987654

At the same office, trademark and industrial design applications follow a different numbering system:

123456 T 08 trademark application with serial number 123456 filed in 2008

123456 D 08 industrial design application filed in the same year.

Thus, the Office has two numbering systems, N=2

Next, please copy the following pages (3 to 14, Questions 1 - 14 and Contact details) N times, and fill in a copy for each numbering system your Office/Organization uses. Please enter the number of the copy (and the total number of copies) in the header on each page.

In the Example 1 above, the first copy of pages 3 to 14, relating to patents, would be marked "1 of 2", the second copy of pages 3 to 14 relating to trademarks and designs would be marked "2 of 2".

Help/Questions

If you require further clarifications or any assistance in filling out the questionnaire, please contact the International Bureau at cws.mail@wipo.int. It would be appreciated if a reference to "Questionnaire on application numbering" is quoted in all correspondence.

Copy ____ of ____

Please copy the following pages to fill in a survey for each numbering system implemented in your Office/Organization. See introductory part for explanation.

This copy of the questionnaire relates to one of numbering systems implemented in your Office/Organization. Please provide below contact details of the person the International Bureau can contact regarding the response on a given numbering system.

CONTACT DETAILS

Name:	_____
Industrial Property Office (IPO):	__ (ST.3 two-letter country/organization code)
Email address:	_____

TYPES OF INTELLECTUAL PROPERTY RIGHTS (IPRs) COVERED BY THIS COPY OF THE QUESTIONNAIRE

Question 1

Please indicate which types of IPRs are numbered using this system

- (a) Patents (excluding the types listed below)
- (b) International applications filed under the PCT (PCT international phase)
- (c) International patent applications under the PCT (PCT applications in the national phase)
- (d) Provisional patent applications (Provisional patents)
- (e) Innovation/simple/short-term/petty patent applications (Innovations)
- (f) Plant patents
- (g) Design patents
- (h) SPCs (Supplementary Protection Certificates)
- (i) Utility Models / Utility certificates
- (j) International utility model applications under the PCT (PCT applications in the national phase)
- (k) Trademarks
- (l) Industrial designs
- (m) Layout-designs (topographies) of integrated circuits
- (n) Other (please specify): _____
- (o) Other (please specify): _____
- (p) Other (please specify): _____

Example 2:

Relating to Example 1 in the introductory section, the office would have copied this page and the following pages twice, one – for the numbering system used for patent (and patent-like) applications, and another – for the numbering system used for trade mark and design applications.

In the first copy, the office would tick all check boxes for the patents it numbers using the first system (i.e. boxes a, b, and f).

In the second copy, the office would then tick the check boxes for trademarks and designs (k, l) which are numbered using the second system.

Please specify when this current numbering system was first introduced at your office (date or year):

PARTS OF APPLICATION NUMBERS

WIPO Standard ST.13 provides that the indispensable part of an application number should consist of a code for the type of IPR, the year designation, and the serial number.

Question 2

Which of these parts does your Office/Organization's application numbering system, covered by this copy of the questionnaire, consist of (please check the appropriate boxes)? If the numbering system in question has additional parts, please specify them briefly:

- Code for the type of IPR
 Year designation
 Serial number
 Additional part/s: _____

Example 3:

A fictional office has three sub-offices A, B, and C and codes the receiving office in the application number as an additional part. Then the office would indicate "receiving office code" in the last line.

Additional comments, if any:

ORDERING OF PARTS

WIPO Standard ST.13 recommends the ordering (sequence) of parts of an application number to be: <type> <year> <serial number>.

Question 3

Please indicate what is the ordering of the parts of an application number in the numbering system covered by this copy of the questionnaire:

- Sequence <type><year><serial number>
 Other (please specify): _____

Example 4:

In the case described in Example 3 above, a different sequence could be <year><receiving office><type><serial number>

Additional comments, if any:

LENGTH (FIXED/VARIABLE)

WIPO Standard ST.13 recommends using a fixed length of 15 characters (2 digits for the type of IPR, 4 digits for the year designation, and 9 digits for the serial number) for the application number.

Question 4

- a) Does your Office/Organization use a numbering system of fixed or variable length for application numbers?
- Fixed Variable
- b) If you checked "Fixed", please indicate the number of characters used for each part of the application number specified in Question 2.

<u>Part of application number</u>	<u>Number of characters</u>
Code for the type of IPR:	
Year designation:	
Serial number:	
Other: _____	
Other: _____	
Other: _____	

Example 5:

For the case described in Examples 3 and 4 above, the response could be as follows:

- *code for the type of IP right* 2
- *year designation* 4
- *serial number* 9
- *Other: receiving office code* 1

- c) If you checked "Variable", please explain briefly how the characters are distributed in the application numbers:
-

Example 6:

The serial number can have up to 6 digits.

The distribution is: type (2), year (4), serial number (1-6)

Additional comments, if any:

CODES FOR TYPE OF IPR

WIPO Standard ST.13 recommends coding the type of IPR as an indispensable part of the application number. The following codes are provided for in the Standard:

- 10-19: patent applications
 10: applications for patents for inventions
 11: applications for patents from Patent Cooperation Treaty (PCT) applications (PCT applications in the national phase)
 12-19: office use
- 20-29: utility model applications
 20: applications for utility models
 21: applications for utility models from PCT applications
 22-29: office use
- 30-89: office use (applications for other IPRs: industrial designs, trademarks, layout-designs (topographies) of integrated circuits, SPCs, etc.)
- 90-99: reserved for use by the International Bureau of WIPO
 91: international applications filed under the PCT in the international phase

Question 5

- a) Does your Office/Organization include the code for the type of IPR in the application number?
- Yes No

If your answer was "No", please skip the remainder of this question and continue with Question 6

- b) Please indicate whether your Office/Organization uses letters, numerals or both for coding the type of IPR in the application numbers.
- Only letters Only numerals Both letters and numerals

Example 7:

"U" for utility model would be "Only letters"; "20" for utility models - "only numerals"

- c) If your answer to the question 5(a) above was "Yes", but you did not specify the type of IPR as a separate part of the application number in Question 2, please explain briefly where the information on the type of IPR is located:

Example 8:

The type is coded implicitly in the serial number: all serial numbers in the range [0; 9999] indicate a utility model. All others indicate a patent.

- d) Please indicate the codes which your Office/Organization uses in application numbers for the types of IPRs covered by this part of the questionnaire.

Code	IPR

Example 9:

For the scenario described in Example 1, the table would be filled in as follows:

For copy 1 of 2 (first numbering system which relates to patents and patent-like applications)

Code	IP right
10	patents
12	plant patents
14	PCT applications

For copy 2 of 2 (second numbering system relating to trademarks and designs)

Code	IP right
T	trademarks
D	industrial designs

Additional comments, if any:

YEAR DESIGNATION

WIPO Standard ST.13 recommends coding a year with four digits according to the Gregorian calendar. Furthermore, it recommends that if an IPO does not wish to provide a year designation, the corresponding digits in the application number can be set to "0000" for the machine-readable form (electronic storage, exchange or identification), at the same time "0000" can be omitted for the purpose of display or print presentation.

Question 6

a) Does your Office/Organization code year information in the application number?

Yes No

(i) If your answer was "Yes", does your Office/Organization use four digits for coding the year?

Yes

No (please specify): _____

(ii) If your answer was "Yes", according to which calendar is the information coded?

Gregorian Calendar: _____

Other (please specify): _____

(iii) If your answer was "Yes", which year is coded?

Year of filing

Other (please specify): _____

(iv) If your answer was "No", but your Office/Organization nevertheless provides a separate part of the application number for the year designation (as specified in Question 2), please provide information on how the corresponding digits are set for the machine-readable and print form:

The corresponding digits are set to "0000" for the machine-readable form Yes No

The corresponding digits "0000" are provided for presentation (print and display) Yes No

Additional comments, if any:**SERIAL NUMBER**

For the serial number as an indispensable part of the application number, WIPO Standard ST.13 recommends a fixed length of nine digits to be used at each office's discretion. All nine digits should be employed in the machine-readable form. Leading zeros may be omitted for presentation. Gaps in sequential numbering schemes are permitted. The order of assignment of serial numbers does not necessarily need to reflect the order of registration. Starting at 1 each year is not necessary. When regional filing information forms a part of the application number, this information must be coded in the first two positions of the serial number.

Question 7

- a) Does your Office/Organization use a serial number in application numbers?

Yes No

If your answer was "No", please skip the remainder of this question and continue with Question 8.

- b) Does your Office/Organization use a serial number of fixed or variable length?

Fixed Variable

If your answer was "Variable", please explain briefly:

Example 10:

For the case described in Example 6 above the response could be: The serial number begins at 100 each year, and can reach up to six digits at the end of a year. No leading zeros are used.

- c) Are the numbers sequential?

Yes No

- d) Are there gaps in the numbering sequences?

Yes No

If your answer was "Yes", please specify briefly how the gaps can occur:

Example 11:

Paper filings begin at 1 each year, electronic filings begin at 50000. At the end of the year, there is usually a gap of about 15000 between the last paper filing and the first electronic filing.

- e) Are leading zeros omitted for presentation (print and display)?

Yes No

- f) Does your Office/Organization use an annual numbering system (i.e. a serial number that restarts every year)?

Yes No

If the answer was "Yes", does the numbering start at "1" each year?

Yes No

Additional comments, if any:

CODE FOR INTERNAL USE

Some IPOs include regional filing information (i.e. the sub-office or state office in which the application was filed) in the application number. WIPO Standard ST.13 states that this information can be coded in the 9 digit serial number and if included it must be located at the first two positions of the serial number. In this case, these two positions can also be characters. If a country code is used for identifying different member offices of intergovernmental organizations, WIPO Standard ST.3 applies.

Question 8

- a) Does your Office/Organization include codes for internal use in the application number?

Yes No

If your answer was "No", please skip the remainder of this question and continue with Question 9.

- b) Where does your Office/Organization code this information?

As a part of the serial number

Please identify in what position/s this information is coded (leftmost position = 1).

Example 12:

In digits 1 and 2 of the serial number.

As a separate part of the application number (see Questions 2 and 3)

- c) Which kinds of characters (alphabetic and or numeric) does your Office/Organization use for codes for internal use?

Numeric characters only
 Alphabetic characters only
 Both numerical and alphabetic characters

- d) Please briefly explain these codes:

Example 13:

Three sub-offices in towns A, B, and C, as assumed in Example 3, could be coded as:

Sub-office in town A: Code "a"
 Sub-office in town B: Code "b"
 Sub-office in town C: Code "c"

Additional comments, if any:

CONTROL NUMBER (CHECK DIGIT)

WIPO Standard ST.13 recommends the following basic rules for control numbers (check digits): they should consist of a single numeral, be in a computer-readable form, and be located at the last position (furthest to the right) of the nine-digit serial number.

Question 9

a) Does your Office/Organization use a control number (check digit)?

- Yes, it is a part of the application number
 Yes, but it is not a part of the application number
 No

If your answer was "No", please skip the remainder of this question and continue with Question 10.

b) Where is the control number located? Please indicate/describe the position of the check digit.

- After the application number
 In part _____, _____ of the application number

Example 14:

For the system with fixed length of the application numbers

In part <serial number>, digit in position 6 (leftmost position is 1) of the application number

For the system with variable length of the application number

In part <serial number>, last digit of the application number

c) What characters are used as control number (check digit) in your Office/Organization?

- Single numeric character
 Single alphabetic character
 Single alphanumeric character
 Control number consists of more than one character (please explain):
-

Example 15:

The last answer could be:

"The control number can be a number from 1 to 12, or the letter A."

d) Please specify when the control number / check digit is used:

- In the computer-readable form only
 For presentation only (print and display)
 Both in the computer-readable form and for presentation

e) What is the algorithm for computing the control number(s)/character(s)?

Additional comments, if any:

OTHER INFORMATION

Question 10

Do the application numbers described in the above numbering system contain any other information not already covered in this questionnaire? If so, please describe briefly:

Example 16:

Our office additionally codes e-filing information in the application number. E-filings have serial numbers 50000-100000, where 50000-74999 are e-filings using epoline, and 75000-10000 are e-filings using PCT-SAFE.

SEPARATORS

WIPO Standard ST.13 provides that separators may be used for separating different elements in the application number (the type of IPR, the year designation, and the serial number). The Standard recommends that separators are not included in the computer-readable form, and should be used only for presentation. According to the Standard the following elements may be used as separators: a slash “/”, a hyphen “-” or a space “ ”.

Question 11

a) Does your Office/Organization use one or more separators in application numbers?

Yes No

If your answer was “No”, please skip the remainder of this question and continue with Question 12.

b) Please indicate what separators does your Office/Organization use

- Slash ‘/’
 Hyphen ‘-’
 Space ‘ ’
 Other (please specify)

- c) Please describe how these separators are used (see example below):

Example 17:

Between the type of IPR and the year designation there is a space, between the year designation and the serial number there is a slash and between the serial number and the check digit there is a dot. <IPR type>space<year>/<serial number>.<check digit> e.g. 10 2010/345678.4

- d) Please specify, in which formats separators are used:

- In the computer-readable form only
 For presentation only (print and display)
 Both in the computer-readable form and for presentation

Additional comments, if any:

NUMBERING OF PRIORITY APPLICATIONS

Question 12

- a) Does your Office/Organization use the same format and presentation for priority application numbers as for application numbers as described above in Questions 2 - 11?

Yes No

If your answer was "Yes", please skip the remainder of this question and continue with Question 13.

- b) Please describe below the system of priority applications numbering implemented in your Office/Organization and indicate any essential discrepancy between it and the system of numbering applications.

- (i) Parts of priority application numbers (please check the appropriate boxes and specify additional parts, if any):

- Code for the type of IP right
 Year designation
 Serial number
 Additional part/s: _____

- (ii) Ordering of parts

- According to ST.13: <type><year><serial number>
 Other (please specify): _____

(iii) Length

Fixed

Variable

- If you checked "fixed", please indicate the number of characters used for each part of the priority application number.

<u>Part of priority application number</u>	<u>Number of characters</u>
Code for the type of IPR:	_____
Year designation:	_____
Serial number:	_____
Other: _____	_____
Other: _____	_____
Other: _____	_____

- If you checked "Variable", please explain briefly how the digits are distributed in priority application numbers:

(iv) Please summarize below the discrepancies between formats and presentation of the following parts of priority application and application numbers, if any.

Code for the type of IPR:	_____
Year designation:	_____
Serial number:	_____
Code for internal use:	_____
Control numbers (check digits):	_____
Other information:	_____
Use of separators:	_____

Example 18:

In the case described in Example 17 above the application number is "10 2010/345678.4", the Office could recommend using presentation "10 2010 345678 P" as the priority application number. Then the discrepancies take place for:

Code for the type of IPR:

In priority application numbers the type of IPR is coded with both letters and numerals

Control numbers (check digits):

There is no check digit in priority application numbers

Use of separators:

Only spaces are used as separators in priority application numbers

Other fields, i.e. Year designation, Serial number, Code for internal use, and Other information, remain empty.

Additional comments, if any:

COMPLIANCE WITH WIPO STANDARD ST.13**Question 13**

a) Does the numbering system, covered by this copy of the questionnaire, conform to WIPO Standard ST.13?

Yes Partly No

(i) If your answer to the Question 13(a) was "Partly", please indicate which parts deviate from the Standard:

Example 19:

In the case described in Examples 3 and 4 above the response could be as follows: Deviations in the ordering of parts, additional part for regional filing information.

(ii) If your answer to the Question 13(a) was "No", does your Office/Organization plan to introduce the guidelines according to WIPO Standard ST.13? If so, when?

Yes When? _____
 No

(iii) If your answer to the Question 13(a) was "Yes", when did your Office/Organization introduce the guidelines according to WIPO Standard ST.13?

Additional comments, if any:

EXAMPLES OF APPLICATION NUMBERS AND PRIORITY APPLICATION NUMBERS**Question 14**

Please fill in the table below.

Note: In the column "Remarks", in addition to providing information on the type, serial number, code for internal use, and control number, please explain the general idea of the structure and/or characteristic of your application numbering system under the bullet "Description of the numbering system", if needed.

Country or Organization	Example of application number	Recommended presentation in abbreviated form as a priority application number	Remarks
XX Name of Office/ Organization			Used from (date) - Description of the numbering system - Type of IP rights (Position:) - Year designation (Position:) - Serial number (Position:) - Code for Internal Use (Position:) - Control Number/Check Digit (Position:) Further remarks if any:

Example 20:

Table filled in by various Offices

Country or Organization	Example of application number	Recommended presentation as a priority application number	Remarks
EP European Patent Office	79100953.3	79100953	(Used from XXXX) - Explanation of numbering system - Type of IP rights (Position: N/A) - Year designation (Position: 1-2) The first two digits indicate the last two numbers of the year of filing of the application. - Serial number (Position: 5-8) - Code for Internal Use (Position: 3-4) - Control Number/Check Digit (Position: 9, after the dot)
DE German Patent and Trademark Office (DPMA)	10 2004 000 001.7 20 2004 000 001.3 50 2004 000 001.4 60 2004 000 001.9	10 2004 000 001 20 2004 000 001 U	Used from 2004 - Explanation of numbering system - Type of IP rights (Position: 1-2) 10: DE patent application. 11: PCT patent application in the national phase. 12: SPC application 20: Utility models 21: Utility models resulting from PCT applications 22: topographies 50: Patents granted by EPO, filed in German 60: Patents granted by EPO, filed in English or French - Year designation (Position: 3-6) - Serial number (Position: 7-12) - Code for Internal Use (Position: N/A) - Control Number (Check Digit) (Position: 13, after the dot)
DK Denmark	PA 1998 01234 BA 1998 00123	1998 01234 1998 00123 U	Used from 1998 - Explanation of numbering system - Type of IP rights (Position: 1-2) These letter codes do not appear on the first pages of the published documents. The letter "U" indicating applications for utility model appears only in the Recommended Presentation in Abbreviated Form as a Priority Application Number. PA: Patent application BA: Utility model applications - Year designation (Position: 3-6) The numerals in the third to sixth positions represent the year of filing of the application. - Serial number (Position: 7-11) The last five numerals represent a serial number assigned to the application. - Code for Internal Use (Position: N/A) - Control Number (Check Digit) (Position: N/A)

Country or Organization	Example of application number	Recommended presentation as a priority application number	Remarks
MX Mexico	GT/a/2003/000001 GT/f/2003/001234 GT/t/2003/000321 GT/u/2003/123456 JL/a/2003/000001 JL/f/2003/001234 JL/t/2003/000321 JL/u/2003/123456 NL/a/2003/000001 NL/f/2003/001234 NL/t/2003/000321 NL/u/2003/123456 PA/a/2003/000001 PA/f/2003/001234 PA/t/2003/000321 PA/u/2003/123456 YU/a/2003/000001 YU/f/2003/001234 YU/t/2003/000321 YU/u/2003/123456	GT/a/2003/000001 GT/f/2003/001234 GT/t/2003/000321 GT/u/2003/123456 JL/a/2003/000001 JL/f/2003/001234 JL/t/2003/000321 JL/u/2003/123456 NL/a/2003/000001 NL/f/2003/001234 NL/t/2003/000321 NL/u/2003/123456 PA/a/2003/000001 PA/f/2003/001234 PA/t/2003/000321 PA/u/2003/123456 YU/a/2003/000001 YU/f/2003/001234 YU/t/2003/000321 YU/u/2003/123456	Introduced on January 1, 2000 - Explanation of numbering system The application number is composed of four elements, which represent the minimum significant part of the application number, as described below: - Type of IP rights (Position: 3) One alphanumeric character in lower case letter to indicate the type of industrial property right application: "a" for patent applications; "f" for industrial design or model applications; "t" for applications for layout-designs (topographies) of integrated circuits; "u" for utility model applications. - Year designation (Position: 4-7) Four digits to indicate, in compliance with the Gregorian calendar, the year of filing of the application; Examples: 1991, 1999, 2001, 2003 - Serial number (Position: 8-13) Six digits to indicate a sequential number identifying a single application. This sequential number is fixed in length and may be completed by leading zeros, if necessary. Examples: 123456, 000001, 004321. - Code for Internal Use (Position: 1-2) Two alphanumeric characters in capital letters to indicate the receiving office of the application: "GT" for the Regional Office of Zona Bajío (León, Guanajuato); "JL" for the Regional Office of Zona Occidente (Zapopan, Jalisco); "NL" for the Regional Office of Zona Norte (Monterrey, Nuevo León); "PA" for the Central Office (México, Federal District); "YU" for the regional Office of Zona Sureste (Mérida, Yucatán). - Control Number (Check Digit) (Position: N/A)

[End of Annex and of document]