

SURVEY CONCERNING CITATION PRACTICES IN INDUSTRIAL INTELLECTUAL PROPERTY OFFICES

Identification Page

Section 1

1. Please enter the two-letter country code corresponding to your Office or Organization.
2. Please enter your email address so we can contact you if we have questions about your response.

Questions about citation references provided by your IPO: Sections 2-5

Section 2: Citation reference availability:

~~Citation references relevant to a patent document can be suggested or decided to be included by people including Applicants, Examiners, and interested third parties.~~ A citation reference may occur in a patent description, a search or examination report or other location associated with a patent document and can be provided by people including Applicants, eExaminers, and interested third parties.

3. Does your IPO publish citation references associated with your IPO's patent documents?

Note: In the context of this survey "citation reference" refers to the identification of (part of) a document, not the text or other information contained within the cited document.

☐ Yes ☐ No

Please comment if necessary

4. Select one option describing the availability, to the public, of your IPO's citation references.

☐ Available to the public ☐ Availability is limited ☐ Not available

Note: If limited or not available, please comment. e.g., limited to type of person trying to view the citation reference (e.g., applicants only) or limited to the part of the life cycle in which the citation reference was included (e.g., references suggested during opposition are unavailable)

5. In which of the following location(s) within the patent documents, published by your IPO, can citation references be found?

- ☐ [Preliminary](#) search report ☐ [Substantive search and/or examination report](#)
- ☐ Patent description ☐ Other patent document location
- ☐ Bibliographic data

Please comment on any of the above mentioned locations, if appropriate

6. If citations [references](#) are part of the bibliographic front page information, are [citation references](#) they included in INID code (56)?

for INID codes see <https://www.wipo.int/documents/d/standards/docs-en-03-09-01.pdf> [#INID](#)

- ☐ Yes ☐ No ☐ [Sometimes \(please provide details\)](#)

7. [Beyond the locations listed as options in question 5](#) above, select the location(s) outside the patent document where citation references can be found:

- ☐ Summary information (Internet) ☐ [End of document \(internet\) Separate document](#)
- ☐ E-Dossier/File wrapper ☐ Other location (provide details)

Please specify if "Other location"

8. Are hyperlinks included for [the above](#) Internet locations?

- ☐ Yes ☐ No ☐ Not applicable

Please comment if necessary

9. Does your IPO give information about a patent document that cites the specific patent document the user is looking at (i.e., a forwards citation)?

- ☐ Yes ☐ No

10. Are hyperlinks ~~back~~ to the citing document provided?

☐ Yes ☐ No

Please comment if necessary

11. Does your Office follow the recommendations set out in WIPO Standard ST.14 for the identification of citation references?

see <https://www.wipo.int/documents/d/standards/docs-en-03-14-01.pdf>

☐ Yes ☐ No ☐ Partially ([please specify/provide further details](#))

Comment, if necessary

12. Does your IPO provide indications, to the general public, informing about who suggested or decided on including the citation references?

*(e.g., suggested by applicant, included by examiner. Such indications can be helpful for deciding how relevant a citation reference may be. As an example, the front page bibliographic data (in image format) of US 7,353,465 B1 indicates under INID code (56), by the use of an asterisk *, that the references were cited by an examiner.)*

☐ Yes ☐ No

13. If available, where can indications of who created a citation reference be found by the general public?

select as many items as are applicable.

- ☐ Bibliographic data on patent [document](#) ☐ Preliminary search report
- ☐ [Substantive search and/or examination report](#) ☐ ~~End of patent document~~ [Part of patent document](#)
- ☐ Other

please comment if necessary, and if "Other", please specify where an indication can be found

Section 3: Search Report Information

14. Does your IPO [prepare international search reports \(ISRs\) in the capacity as an International Searching Authority](#) ~~publish International Search Reports (ISR)~~ under the PCT?

☐ Yes ☐ No

15. Does your IPO ~~publish~~ [prepare](#) IPO-specific national/regional search reports (non PCT)?

☐ Yes ☐ No

16. Which type of search report(s) are the rest of your answers in Section 3 based on?

(if you answered "Yes" to either [143](#) or [154](#))

☐ ISR ☐ National / regional ☐ Both ISR and non-ISR ☐ Other

Please specify if "Other"

17. Do you have quality control on citation references entered on search reports?

☐ Yes [\(If yes, please provide examples in detail\)](#) ☐ No

Please comment if necessary:

18. Are relevance indicators stated?

e.g., X, Y (see paragraph 14 of WIPO Standard ST.14)

☐ Yes ☐ No ☒ [Sometimes](#)

[specify when](#)

19. Do your citation references include online URLs?

☐ Yes ☐ No ☐ Sometimes

[specify when](#)

20. Are unique document identifiers used, [e.g., DOI](#)?

[e.g., DOI](#)

☐ Yes ☐ No ☒ [Sometimes](#)

[specify when](#)

21. If applicable, which unique document identifiers are used?

☐ Digital Object Identifier (DOI)

☐ ISBN and ISSN

☐ Other:

If "Other" please specify:

22. Please comment on any major differences between the provision of ISR and other search report citation references

Section 4: Centralizing/Tagging Citation References

e.g., suitable for a database containing data elements identifying the location of the cited text/documents

23. Do you (intend to) add tags to identify citation references? (e.g., see http://www.wipo.int/export/sites/www/scit/en/taskforce/citation_practices/docs/st36-ice-citations.pdf)

☐ Yes ☐ No ☐ Not now, but we intend to in the future

specify when

24. Does your IPO have a centralized database containing citation reference identification data elements?

☐ Yes ☐ No ☐ Not now, but we intend to in the future

specify when

25. If possible, please specify any structural elements on which the database is founded, [for example](#):

☐ [WIPO Standard ST.36 or/ST.96 or other XML](#)

☐ [ST.97 or other JSON](#)

☐ [Relational database](#)

☐ [Other \(please specify\)](#)

26. Are citation references from your IPO searchable by the general public?

i.e., can one search the text of the data elements identifying the text/document cited

☐ Yes ☐ No ☒ Sometimes

If "Yes" or "Sometimes" please specify the location where the references are searchable e.g., <http://www.>?

27. Is the information in the database technically and legally exchangeable e.g., with other IPOs?

☐ Yes ☐ No

28. Please add any further comments you may have about any of the questions in section 4 above:

Questions about your IPO's published documents that may be cited (within a citation reference): Sections 5 to 7

Section 5: Location of published patent documents which can be considered to be an (or the) authentic source

29. Which medium and format represents the (or an) authentic legal rendition (authoritative source) of your IPO's published ~~patent documents~~, patent application? Select all that apply. A legal version is, e.g., a publicly available document that could be consulted in court proceedings.

☐ Paper

☐ Website

☐ Bulk publication (via SFTP or API)

☐ CD/DVD

☐ [Other], please specify

Medium: e.g., Internet or paper

30. Which medium and format represents the (or an) authentic legal rendition (authoritative source) of your IPO's published granted patents? Select all that apply:

☐ Paper only

☐ Website

☐ Bulk publication (via SFTP or API)

☐ CD/DVD

☐ Other (please specify)

31. Please advise how to locate the medium you have selected: (e.g., specify the title of a DVD or data collection and an Internet address for ordering the DVD data collection)

29-32. Regarding the medium indicated above, is there one or more (file) formats that should be looked at

(in preference to other formats)?

☐ Yes

☐ No

30-33. If yes, please select all formats that should be considered in preference to other formats

☐ .pdf (Adobe)

☐ .html

☐ .tif image

☐ Paper

☐ [.xml](#)

☐ [.json](#)

☐ Other

Please comment if "Other"

34.34. Where else can your published patent documents be found?

Select as many as are applicable

☐ Internet

Main Internet address:

☐ Other known Internet addresses: separate each address with a semi- colon ;

If available, please advise how to find or subscribe to each available source (e.g. P.O. Box or internet address)

☐ CD/DVD

Title / location:

☐ FTP

Title / Location:

☐ Paper

Title / Location:

☐ Web services

Title / Location:

(bulk data download)

☐ Commercial providers

Specify, if desired

☐ Other

Please specify:

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- ☐ Image/[figure](#) numbers within the description

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Section 7: Paragraph number details: complete this section if your published patent documents include paragraph numbers

~~34~~37. Paragraph numbers are typically created by:

☐ Applicant / Inventor

☐ Your IPO e.g., examiners

☐ An external publisher

☐ Other (please specify)

~~35~~38. Paragraph numbers are recreated: tick all that apply

☐ During the publication process

☐ When numbered paragraphs are amended

☐ Other process (please specify)

~~36~~39. Describe any special treatment you give to long paragraphs:

i.e., longer than 300 words

~~37~~40. Describe how you treat numbered paragraphs that are subsequently amended:

particularly when one paragraph is replaced by many, or one or more paragraphs are deleted

~~38~~41. If necessary, please provide additional comment on any part of the questions or answers given above in this section.

Section 8: Citing documents based on machine translations

42. Does your Office currently allow to cite machine-translated documents in search or examination reports?

☐ Yes ☐ No

☐ Other (please specify)

43. When citing a document without paragraph numbering, how does your Office identify the relevant passage in the machine translation?

44. How does your Office ensure that applicants can access the exact machine translation used by your Office?

- ☐ Sent directly to the applicant
- ☐ Uploaded to the electronic file to an online register
- ☐ Not currently shared
- ☐ Other (please specify)

45. Does your Office record or store the machine translation used by the examiner for internal or public reference?

- ☐ Yes, for internal use only
- ☐ Yes, and it is made publicly available
- ☐ No

46. Does your Office have a preferred format for citing machine translations in search or examination reports?

☐ Yes (please provide example)

☐ No

☐ In development (please provide details)

47. Has your Office encountered cases where an applicant disputed the relevance of a citation based on a machine translation?

☐ Yes

☐ No

☐ Other (please specify)

48. Should there be a standardized method for referencing the machine translation engine and date of translation in the international search report?

☐ Yes

☐ No

☐ Other (Please specify)

49. Should WIPO Standard ST.14 be revised to include recommendation on how references to machine translations should be cited in a patent document?

☐ Yes _____ ☐ No _____

☐ Other (please specify)

General questions about Citation Practices: Sections 9-10

Section 9: Examples of citation references published by your IPO, if this information is available.

39-50. If possible, please provide a patent (application) number and a publicly available Internet address that contains one or more typical examples of patent and non-patent literature citation references.

Specify application number and kind code, e.g., *WO 2005/110961 A1*

Specify Internet address and any instructions helpful to find patent (application) number, e.g., [http://www.wipo.int/pctdb/en/ia.jsp?](http://www.wipo.int/pctdb/en/ia.jsp?IA=IB2005001265&REF=RSS)

IA=IB2005001265&REF=RSS

Specify where in the document the citation references can be found, e.g., *page 1, lines 19 and 25, search report at end of document*

Section 10: Additional comments about citation practices

40-51. If applicable, please make any further comments, e.g., you may wish to comment on difficult aspects of citation practices for your IPO:

e.g., users are confused about the part of a document a citation reference was referring to

e.g., citation references do not refer to the authentic rendering of a patent document

e.g., it is not clear how or whether to state a url as part of a citation reference

[End of Annex II and of document]