



## **SURVEY CONCERNING CITATION PRACTICES IN INDUSTRIAL PROPERTY OFFICES**

*Editorial note by the International Bureau*

1. A survey "Citation Practices in Patent Offices" commissioned by the Standards and Documentation Working Group (SDWG) of the Standing Committee on Information Technologies (SCIT) in its fourth session, held in January 2004, was prepared by the Citation Practices Task Force (see document SCIT/SDWG/4/14, paragraph 78). The Task Force was convened to clarify the different practices by industrial property offices regarding the difficulties in citing specific parts of the description of the invention text in a patent document.
2. At its ninth session, held in February 2008, the SDWG approved (see document SCIT/SDWG/9/12, paragraph 30) the publication of the summary of responses to the survey "Citation Practices in Patent Offices" in Part 7 of the WIPO Handbook. Furthermore the SDWG mandated the Task Force to develop an extended survey questionnaire to further determine the citation practices of industrial property offices (see document SCIT/SDWG/9/12, paragraph 32). The extended survey prepared by the Task Force was issued as WIPO Circular C.SCIT 2651 on May 9, 2008.
3. The SDWG, at its tenth session, held in November 2008, approved (see document SCIT/SDWG/10/12, paragraph 47) the publication of "Citation Practices in Industrial Property Offices" in Part 7 of the WIPO Handbook, replacing the previous survey concerning "Citation Practices in Patent Offices", which has been moved to the Archives.
4. The current document summarizes the results of the extended survey, the second version. Part 1 includes the background, definitions, related material as well as analysis of the 40 responses by IPOs. Part 2 collates the results, in question order, including options selected (if any) and any comments made by each IPO. Part 3 is a color-coded matrix condensing the responses. Comments may be viewed by hovering over specific cells within the spreadsheet (XLS).



## SURVEY CONCERNING CITATION PRACTICES IN INDUSTRIAL PROPERTY OFFICES

*Survey for presentation to the SCIT Standards and Documentation Working Group  
at its tenth session in November 2008*

### PART 1 – SUMMARY OF RESULTS

#### BACKGROUND

1. Users of patent information have encountered difficulties when referring to citations and to locate specific parts of a patent document. This problem is related to the diverse and multiple locations and forms of media on which patent documents are available.
2. Circular C.SCIT 2651 and a questionnaire on citation practices in industrial property offices (IPOs) were sent by email to IPOs in May 2008. The questionnaire elicited information allowing users of citation reference information (e.g., patent searchers, commercial providers, IPOs, patent professionals in industry) to more easily find, understand, and use citation reference now and in the future. Responses were received from the following 40 IPOs:

Austria (AT),	Georgia (GE),	Serbia (RS),
Australia (AU),	Germany (DE),	Russian Federation (RU),
Belgium (BE),	Hungary (HU),	Slovakia (SK),
Bulgaria (BG),	Indonesia (ID),	Slovenia (SI),
Brazil (BR),	Japan (JP),	South Africa (ZA),
Canada (CA),	Lithuania (LT),	Spain (ES),
China (CN),	Madagascar (MG),	Switzerland (CH),
Czech Republic (CZ),	Mali (ML),	Thailand (TH),
Denmark (DK),	Mexico (MX),	Ukraine (UA),
Egypt (EG),	Monaco (MC),	United Kingdom (GB),
Eurasian Patent Organization (EA),	New Zealand (NZ),	United States of America (US),
European Patent Office (EP),	Poland (PL),	World Intellectual Property
Finland (FI),	Republic of Korea (KR),	Organization (International
France (FR),	Republic of Moldova (MD),	Bureau of) (WO).

3. The circular, the questionnaire and the individual responses received are available on WIPO's website (<http://www.wipo.int/scit/en/mailbox/circ08.html>).

#### DEFINITIONS

4. To keep in mind the form and objective of a citation reference the following definition from paragraph nine of International Standard ISO 690:1987 is noted. "A citation is a brief form of reference inserted parenthetically within the running text or appended as a note at the foot of the page, at the end of a chapter, or at the end of the complete text. The citation serves to identify the publication from which quoted matter within the text, an idea paraphrased, etc. was taken, and to specify its precise location within the source publication."
5. Three points from this definition appear to be relevant to citation practices, namely, a citation:
  - is brief,
  - can be expected to appear within one or more of several parts of a document, and
  - serves to unambiguously identify the publication, as well as the precise location therein, of the cited material.
6. Another definition of Citation (relating particularly to patent documents) occurs in the WIPO Glossary of Terms, [Part 8.1](#) of the WIPO Handbook.



#### EXISTING STANDARDS AND OTHER RELATED MATERIAL

7. WIPO Standard [ST.1](#) provides recommendations concerning the minimum data elements required to uniquely identify a patent document.
8. WIPO Standard [ST.9](#) provides technical information INID code (56) to describe a "List of prior art documents", if separate from descriptive text. Attention is drawn to WIPO Standard ST.14 in connection with the citation of references on the first page of patent documents and in search reports attached to patent documents.
9. WIPO Standard [ST.14](#) provides for the inclusion of references cited in patent documents. WIPO Standard ST.14 gives recommendations for the location, order, format, and nature of making citation references to patent and non-patent literature occurring in electronic or paper-based media. Paragraph 13 refers to the identification of cited material within electronic media modeled on the ISO 690-2 standard.
10. WIPO Standard ST.36 ([Supplementary Material](#)) allows for the identification of parts of the description of a patent specification in electronic format in one of two ways. The first way is as a list of pages (in TIFF or another accepted page-based format). The second means of identification is as XML-coded text, in which case paragraphs (and other parts) can be identified (refer to the International Common Elements (ICEs)). XML tags and elements found in WIPO Standard [ST.36](#) with regard to citation practices rely heavily on the examples given in WIPO Standard [ST.14](#). Many tags in WIPO Standard ST.36 are available for use when citing references.

#### RELEVANT PRACTICES FROM OTHER DOMAINS

11. Paragraph 5.1.2 of ISO Standard 690-2 includes guidelines for the citation of parts of electronic documents, but gives no specific guidance on how those parts should be identified. Examples of the standard are reproduced at the following address: <http://www.collectionscanada.ca/iso/tc46sc9/standard/690-2e.htm#5.1.2>.
12. In the academic domain, the Chicago Manual of Style is a well-recognized guide for documentation. It includes guidelines for citing electronic documents but there is no explicit guideline for identifying parts of those documents. An example is reproduced at the following address: <http://library.osu.edu/sites/guides/chicagogd.html>.

#### CURRENT PRACTICES AND FUTURE PLANS

##### Availability

(Questions 1-6, 12, 41)

13. In mid 2008, many IPOs (70%) responded that they made citation references available to the public. However, on closer examination it appears the following further countries (EG, ML, NZ, PL, RS) also made citation references available to the public at least in some capacity, bringing the total percentage to 83%. Some IPOs (EG, GE, TH) make citation references available only to the applicant. One IPO (ML) publishes the citation references of some patents, after the patents have lapsed. Some IPOs (CA, FI, MD, PL, RS) make citation references available at the public reading room/library upon request. Some IPOs (EG, ID, MX) may face technical constraints which prevent them from making citation references available online. Some IPOs (ES) make citation references available in a limited fashion, based on when the citation reference was made.
14. There are different types of citation references. Citation references established by an examiner during the technical examination phase are less likely to be publicly available (and online) than a citation reference suggested by the applicant which occurs within the body of the patent description (CA, RS, ZA). Or, the category of a citation reference may be a factor in whether the citation reference is published (DK does not always publish all "A"-type citation references.).
15. It appears from some comments (CH, ID, ML) that the trend is for IPOs increasingly to make citation references available where technically and legally feasible.



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16. In reviewing responses to questions 4-6, the information revealed in the following table indicates that citation references are available in multiple and in varying locations within or associated with a patent document (e.g., independent search report). The italicized items in the table below, such as the examination report, were not specifically asked about in the survey, but were offered as comments.

Option	Responses	Count	Percent
Search report:	AT, AU, BE, CH, CZ, DE, DK, EA, EG, EP, ES, FI, FR, GB, GE, HU, JP, KR, MD, MG, PL, RU, SK, UA, US, WO, ZA	27	71%
<i>Examiner report:</i>	AU, CA, NZ, TH	4	11%
Patent description:	AT, BE, BG, BR, CA, CH, CZ, DE, DK, EA, EP, ES, FI, FR, HU, JP, KR, LT, MG, ML, MX, PL, RS, RU, SK, TH, UA, US, WO, ZA	30	79%
Other patent document location:	AT, CZ, DK, EP, ID, MD, TH	7	18%
End of patent document:	EP	1	3%
Bibliographic data:	AT, AU, BG, CN, CZ, DE, EA, EP, FI, GB, GE, JP, KR, MD, RU, UA, US, WO INID code (56) <sup>1</sup> : AT, AU, BG, CN, CZ, DE, DK, EA, EP, FI, GB, GE, JP, KR, MD, RU, UA, US, WO	18	47%
<i>Patent databases / Summary available via the Internet:</i>	AU, CH, CZ, DE, DK, EP, ES, GB, JP, MD, US	11	29%
<i>File Inspection:</i>	AT, AU, EP, ID, JP	5	13%

Total responses: 38

There is no single predictable place (across the world wide spectrum of patent information repositories) that a searcher of patent information may go to find citation references associated with any given patent document. That said, the most popular sources of citation references can be found in the patent description (these are typically established by the applicant). Citation references established by the examiner are typically contained within a search report. And the third most common place citation references may be found (tagged with the INID code (56)) is in the bibliographic data. These three most popular locations are typically available to the public.

### Adherence to WIPO ST.14 guidelines

(Questions 10, 17-20)

17. IPOs strive to provide clear citations and many use WIPO standard ST.14 guidelines (at least partially) to help them do this. For example, most IPOs provide relevant indicators in search reports.

18. Many respondents indicated that they include at least some of the recently exemplified (in WIPO Standard ST.14) data elements such as URLs and unique document identifiers. Other unique identifiers alluded to include the European XP numbers (AT, EP) and database accession numbers (CH).

### Extra information offered

(Questions 7-9, 11, and 12)

19. Some IPOs provided to the public additional information over and above what is set out in the guidelines in the WIPO Standard ST.14. Several IPOs (AT, CH, DE, EP, US) hyperlink citation references to the cited document. A handful (DE, DK, EP, US) include forward citations, and hyperlinks (EP, US) to the citing document.

<sup>1</sup> The question relating to INID code (56) is a subset question 5 of question 4 of the survey. The count of 18 comes from Denmark (DK) having signified that citation information is included as INID code (56). DK did not, however, indicate that citation information is included as bibliographic data.



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20. Half the respondents to questions 11 and 12 (AT, BE, CA, CH, CN, DE, DK, EP, FI, FR, GB, ID, JP, KR, MD, MG, SK, TH, US) give some indication about who established the citation reference, whether it be the applicant or the examiner, or perhaps whether the citation reference was identified in a foreign search report (CA). Indications can be found mainly in a search report (AT, BE, CH, DE, DK, FR, GB, MD, MG, SK, TH) or an examination report (CA, DK, TH). Other locations indicating who established the citation reference are the bibliographic data (AT, CN, DE, FI, JP, KR, US), the end of a patent description (DE), the patent register (DE), a separate subsite on the Internet (US), and the patent description (TH).

### Search reports

(Questions 13-16, 21)

21. Predictably, more IPOs said they publish national / regional search reports than establish<sup>2</sup> International Search Reports.

22. More than half the respondents indicated they performed quality control on the search reports indicated. The nature of the quality control varies from automatic plausibility checks (DE) to adherence to WIPO Standard ST.14 (ES) to checking of technical mistakes (misprints).

23. Several IPOs (AU, EA, EP, GB, HU, RU) indicated there is no difference between how an ISR is established when compared to the establishment of a national search report.

### Data storage

(Questions 22-27)

24. Nearly half of the IPOs use (AT, BG, CH, CZ, DE, DK, EA, EP, GB, JP, MD, MX, RU, TH, US) or plan to use (CN, FR, ID, RS) structural elements to store citation reference data, the most popular being ST.36 XML (CH, DE, EP, RU, US), INID code (56) (AT, BG, EA, MD, RU, US) or a relational database (AT, CZ, DK, MX). Of these IPOs, only five (DE, EP, MD, RU, US) allow the general public to search the citation reference text (i.e., search the text of the data elements identifying the text/document cited).

25. Over one half of the IPOs indicated that citation reference information held in the database was exchangeable (from a technical and legal perspective).

### Renderings

(Questions 28-32)

*Note:* Patent documents can be cited, but there can be multiple renderings and locations for a rendering, for example one rendition could be a PDF available at a particular Internet address while another rendition is a paper version available at the IPO's library. One or more rendition can represent the (or an) authentic legal rendition (authoritative source) of the IPO's published patent documents. A legal version is, e.g., a publicly available document that could be consulted in court proceedings.

26. Over half the respondents state the Internet holds an authentic rendition, and over two-thirds state Paper to be an authentic source.

27. Over one third of respondents (AT, AU, CZ, EA, EG, FI, GB, JP, ML, MX, NZ, PL, RU, TH, UA) indicated two or more authentic versions for their patent documents. The majority of these indicating at least Internet and Paper, only four IPOs (EA, ML, RU, TH) indicated a combination that included CD/DVD and either Paper or Internet (not both).

28. One reason offered (JP, NZ, PL) to explain why there were multiple authentic versions was that paper was an authentic format in the past, but now the Internet is the authentic source. Or, for Austria the authentic version for patent applications is the Internet and for granted patents the authentic version is paper.

29. The most common alternative formats of published patent document proved to be the Internet, CD/DVD, and paper. Less common were FTP, Web services, commercial providers, facsimile images, and microfiche.

30. The most common format at 62% was stated to be Adobe PDF.

<sup>2</sup> Question 13 should have more accurately asked "Does your IPO establish International Search Reports (ISR) under the PCT?"



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### Identifiers available

(Questions 33-34)

31. The most common text-based identifier within patent documents is overwhelmingly the page number at 94%. Line numbers at 60% was more common than the use of paragraph numbering at 42%.

32. Image numbers, chemical formulae numbers, mathematical formulae numbers, tables, and gene sequences numbering were all used by more than half of the respondents.

### Paragraph numbering

(Questions 35-39)

33. Sixteen IPOs' publication systems already supported paragraph numbering, by automatically adding paragraph numbers to the published documents (CH, DE, EP, US), and/or by relying on applicants (AU, BR, CA, GB, JP, KR, MC, MG, MX, NZ, WO, US) or examiners (MD) to number paragraphs. One IPO (EA) is planning to number paragraphs as part of the publication process.

34. Of the IPOs identified in the preceding paragraph some recreate the paragraph numbers during the amendment process (AU, CA, JP, KR, MX) while others recreate paragraph numbers during the publication process (CH, DE, EP, MD, US).

35. No IPO indicated any special treatment given to long paragraphs. Several (AU, EP, JP, MX) indicated there is no restriction on the applicant. The applicant may include any quantity of words or characters in their paragraph.

### Examples

(Question 40)

36. Twenty-eight respondents provided examples of patent documents where citation references could be found.

### Additional comments

(Question 41)

37. Several difficult areas were noted regarding:

- how to cite multi-link websites as a single citation reference (where multiple URLs must be cited) (AU);
- how to cite translated material, in particular when Internet machine translation tools are used (AU);
- how to correct technical errors occurring in foreign language citation reference text (EA);
- if the examiner cites the original filing rather than the re-formatted published file (EP);
- how to cite prior art disclosures where the data is publicly available (but not in a written form, e.g., oral disclosure) (MD);
- too many obligations in other areas to make progress in making citation references available (PL);
- major difficulties when citing non-patent Internet sources, since they often have no DOI and their publication data is not sufficient for citing (RU).

[Part 2 follows]



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### PART 2 – COLLATE RESULTS OF THE SURVEY

Start date: May 9, 2008  
Completed responses: 40

#### SECTION 1: DETAILS ABOUT THE SURVEY TAKER

*Question 1. Section 1 (and Question 1) gave information about the person(s) who completed the survey on behalf of the Industrial Property Office (IPO).*

Details can be found at <http://www.wipo.int/scit/en/mailbox/circ08.html>.

#### SECTIONS 2-4: QUESTIONS ABOUT YOUR IPO'S CITATION REFERENCES

##### SECTION 2: CITATION REFERENCE AVAILABILITY

*Note:* It was noted that citation references relevant to a patent document can be suggested (or decided to be included) by people including applicants, examiners, and interested third parties. It was further noted that a citation reference may occur in a patent description, a search report or other location associated with a patent document.

*Question 2. Does your IPO publish citation references associated with your IPO's patent documents?*

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

Option	Responses	Count	Percent
Yes:	AT, AU, BE, BG, CA, CH, CN, CZ, DE, DK, EA, EP, ES, FI, FR, GB, GE, JP, KR, LT, MD, MX, RU, SK, TH, UA, US, WO	28	70%
No:	BR, EG, HU, ID, MC, MG, ML, NZ, PL, RS, SI, ZA	12	30%

Total responses: 40

IPO	Comments – Question 2
CA	[The following applies only to national phase applications.] The CA Office (CIPO) publishes applications and granted patents. Citation references in the description are therefore published. Examiners' reports also include citation references, and these reports may be accessed on public terminals at CIPO's offices (not via the Internet).
CH	Citation references are published from July 1, 2008.
DK	Only documents in the search report are published.
FR	Citation references are found in search reports published with the application and the grant, as well as in the description.
GB	Search Reports are published with citations as identified by the technical examiner.
ID	Citation references are not available in patent publications yet.



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IPO	Comments – Question 2
JP	Citation references are available to the public mainly through the following two accesses: 1. Citation references associated with patent publication are available: (1) in the specification of patent documents such as the Publication of Unexamined Applications (A) by applicants (shown as [Patent document], [Non-Patent Document]); (2) in the bibliographic data in the Patent Gazette (B) (shown as [reference] indicated by INID code (56)) (3) in the ISR attached to the Japanese Translation of PCT International Application for a patent. 2. Citation references are not associated with patent publication etc. in the file wrapper information available through the JP Office on-line system or IPDL (JP Office Industrial Property Digital Library). The public can also browse the file wrapper (paper document) at the JP Office.
KR	The KR Office have included citation references in the publication of granted patents since January 2006.
ML	The ML Office publish references for lapsed patents according to the profile of the industrial firms which the ML Office wish to make aware of industrial property.
MX	Citation references are published in the description of the patent document.
PL	Citations in the form of search reports are written out by the PL Office examiners, but they are neither published nor disseminated in multiple copies nor as database resources.
SK	The SK Office publishes citation references as a part of the state of the art within the description of the invention of all published patent documents, i.e. patent applications, patent specifications, published utility model applications and utility models as filed by the applicant. The SK Office may invite the applicant to amend citation references, if necessary.  Furthermore, in regard to utility model applications according to the SK Act No 517/2007, the citation references may be amended also by an examiner. The SK Office provides citation references also in search reports. Since April 1st, 2008 in compliance with the above-mentioned Act the SK Office has published search reports, which are associated only with published utility model applications.
TH	Citation references are published in patent examination reports, patent search reports or patent descriptions.
ZA	The ZA Office does not in fact publish patents, they are deemed to be published on the date of grant when they become open to the public.

Total comments: 14

**Question 3.** *Select one or more of the following options describing the availability, to the public, of your IPO's citation references.*

**Note:** If limited, participants were asked to comment on how the availability is limited, 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).

Option	Responses	Count	Percent <sup>3</sup>
Citation references are available to the public:	AT, AU, BE, BG, CA, CH, CN, CZ, DE, DK, EA, EP, FI, FR, JP, KR, LT, MD, MG, RU, SK, UA, US, WO	24	62%
Citation references have limited availability:	EG, ES, GB, GE, ML, MX, NZ, PL, RS, TH	10	26%
Citation references are not available:	BR, HU, ID, SI, ZA	5	13%

Total responses: 39

<sup>3</sup> Throughout the survey percentages are calculated based only on the responses received for the question. If an IPO did not respond, that IPO was not included in the calculation total for that question.





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IPO	Comments – Question 3
CA	The Examiners Report (search and defects report) is available via a search room in the CA Office. One can also order paper copies via the Internet.
DK	Only documents relevant for the examination are published. If a lot of A-documents have been cited, only a few of them will be published in the search report.
EA	References suggested during opposition are unavailable.
EG	A citation reference is available only for the applicant, only in paper form. The EG Office publishes only application abstracts in the abstract gazette and bibliographic data of the patent granted. The abstract gazette and bibliographic data of the patent granted are available on the EG Office website.
ES	The citation references in the search report are published together with the patent application and are therefore available to the public. However, the possible citation references generated by an examiner or by a party raising an objection between the publication of the application and the grant, are available only, for the time being, by consulting the application file at the ES Office.
GB	Citation references are only available upon 'A' publication.
GE	The search report is available to applicants only.
JP	Basically, citation references are available to the public for published or registered applications.
ML	Citation references are available only for the target whose awareness the ML Office wishes to raise or on certain applicants.
MX	Citation references are not available because it is necessary to consult the body of the (unpublished) patent description to see the citation references and the citation references are not separated therefrom. The MX Office official Internet site access provides only bibliographical data not the full text.
NZ	Availability is limited to references cited as "anticipations" or references specifically provided by the applicant as a reference for the specification.
PL	Citation references are prepared for purposes of applicants, and are also subject of individual orders on demands directed to the PL Office Patent Library.
RS	Citation references are available to the public in the patent document description, but are not in the search report.
TH	If citation references are not published, the people who can view the citation reference are the applicant and the patent examiner.
WO	Citations included in ISR are not publicly available until 18 months after priority date (that is until time of publication of the application). Citations included in IPRP Chapter I and IPER/IPRP Chapter II are not publicly available until 30 months after the priority date.

Total comments: 14

**Question 4.** *In which of the following location(s) within the patent documents, published by your IPO, can citation references be found?*

(Multiple selections were possible.)

Option	Responses	Count	Percent
Search report:	AT, AU, BE, CH, CZ, DK, EA, EP, ES, FI, FR, GB, GE, HU, JP, KR, MG, SK, US, WO, ZA	21	58%
Patent description:	AT, BE, BG, BR, CA, CH, CZ, DE, DK, EA, EP, ES, FI, FR, HU, JP, KR, LT, MG, ML, MX, PL, RS, RU, SK, TH, UA, US, WO, ZA	30	83%
Other patent document location:	AT, CZ, DK, ID, MD, TH	6	17%
Bibliographic data:	AT, AU, BG, CZ, CN, DE, EA, EP, FI, GB, GE, JP, KR, MD, RU, UA, US, WO	18	50%

Total responses: 36



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IPO	Comments – Question 4
CH	Citation references can be found in the description when cited by the applicant. Not all published patent applications have a search report.
CZ	Citation references can be found in the: Search report (Internal database, paper), Patent description (Internet, paper), Front page (Internet, paper), and the Bibliographic data (Internal database).
DE	Citation references of examiners are available on the front page under INID code (56). Citation references of applicants are available as list elements at the end of the patent description.
DK	Citation references are available at <a href="http://www.dkpto.dk/pvsonline/">http://www.dkpto.dk/pvsonline/</a> .
EA	Application can have citation references in the search report and the patent description (in facsimile format).
EG	The citation references are not published on the EG Office website. They are only available to the applicant in paper form.
FI	Search reports are only available for the general public in the application dossier.
FR	The search report is published with the application. The search report is published with the grant.
ID	The “citation reference” can be found in the paper form.
JP	Citation references are available to the public mainly through the following two accesses: 1. Citation references associated with patent publication are available: (1) in the specification of patent documents such as the Publication of Unexamined Applications (A) by applicants (shown as [Patent document], [Non-Patent Document]); (2) in the bibliographic data in the Patent Gazette (B) (shown as [reference] indicated by INID code (56)); (3) in the ISR attached to the Japanese Translation of PCT International Application for a patent. 2. Citation references are not associated with patent publication etc. in the file wrapper information available through the JP Office on-line system or IPDL (JP Office Industrial Property Digital Library). The public can also browse the file wrapper (paper document) at the JP Office.
MD	The citations are located separately after the Description under the caption “(56) Bibliographic references”.
MX	The citation references are not separated from the patent descriptions and therefore are not available via the Internet.
PL	Published patent documents of the PL Office do not include search reports containing citations. References are made, however, by applicants within the original wording of patent application.
RU	The search report also includes citation references, but it is not published.
SK	The SK Office publishes citation references as a part of the state of the art within the description of the invention of all published patent documents, i.e. patent applications, patent specifications, published utility model applications and utility models as filed by the applicant. The SK Office may invite the applicant to amend citation references, if necessary.  Furthermore, in regard to utility model applications according to the Act No 517/2007, the citation references may be amended also by an examiner. The SK Office provides citation references also in search reports. Since April 1st, 2008 in compliance with the same Act the SK Office has published search reports, which are associated only with published utility model applications.
TH	Citations references can be found in the patent examination report.
US	For PCT applications, citations references can be found in the search report. For national patent grant documents, citations references can be found in the bibliographic data and patent description. For national patent application publications, citation references can be found in the patent description.
WO	“Bibliographic data” is taken to mean “front page bibliographic data and notices”. Citations references are not mandatory in the patent description but are sometimes included by applicants.
ZA	The search report as marked actually refers to the International Search Report in terms of the PCT.

Total comments: 18



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**Question 5.** *If citations are part of the bibliographic front page information, are citation references included in INID code (56)?*

(For the list of INID, codes see WIPO Standard [ST.9](#).)

Option	Responses	Count	Percent
Yes:	AT, AU, BG, CN, CZ, DE, DK, EA, EP, FI, GB, GE, JP, KR, RU, UA, US, WO	18	64%
No:	CH, FR, HU, ID, LT, MG, MX, PL, RS, ZA	10	36%

Total responses: 28

IPO	Comment – Question 5
EP	INID code (56) is used only on title pages of B (granted) patent documents.

Total comments: 1

**Question 6.** *Select the location(s) outside the patent document where citation references can be found:*

(Multiple selections were possible.)

Option	Responses	Count	Percent
Summary information (Internet) :	AU, ES, KR, UA, US	5	24%
End of document (Internet):	EP	1	5%
Other:	AT, AU, CA, CH, CZ, DE, DK, EA, EG, EP, GB, ID, JP, MD, NZ, PL, TH	17	81%

Total responses: 21

IPO	Comments – Question 6
AT	Citation references can be found in the paper dossier.
AU	Citation references can be found in the “Search Information Statement” placed on file and in Examination Reports.
CA	Citation references can be found within examiners’ reports.
CH	Citation references can be found in some patent databases.
CZ	Citation references can be found in the CZ Office internal database.
DE	The search report is available via file inspection. Citations are searchable in DEPATISnet.
DK	Citation references can be found on <a href="http://www.dkpto.dk/pvsonline/">http://www.dkpto.dk/pvsonline/</a> .
EA	Citation references can be found in the search report.
EG	Citation references can be found in the search report provided by the EG Office to the applicant.
EP	For EP data outside patent documents citation references are available in several places: file inspection, online register, espacenet, etc.
GB	GB Publications are available on Esp@cenet with hyper-linked citations where appropriate.
ID	The “citation reference” can only be found in the paper form.



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IPO	Comments – Question 6
JP	Citation references are available to the public mainly through the following two accesses: 1. Citation references associated with patent publication are available: (1) in the specification of patent documents such as the Publication of Unexamined Applications (A) by applicants (shown as [Patent document], [Non-Patent Document]); (2) in the bibliographic data in the Patent Gazette (B) (shown as [reference] indicated by INID code (56)); (3) in the ISR attached to the Japanese Translation of PCT International Application for a patent. 2. Citation references are not associated with patent publication etc. in the file wrapper information available through the JP Office on-line system or IPDL (JP Office Industrial Property Digital Library). The public can also browse the file wrapper (paper document) at the JP Office.
MD	Citation references can be found in the field “Cited prior art documents” on the bibliographic information page related to the patent document on the MD Office Internet site.
NZ	Citation references can be found in the examiner’s report.
PL	Citation references can be found in search reports, which are independent documents.
RS	Citation references cannot be found in any location outside the patent document.

Total comments: 17

**Question 7. Are hyperlinks included for Internet locations?**

Option	Responses	Count	Percent
Yes:	AT, CH, DE, EP, US	5	15%
No:	AU, BG, CZ, DK, EA, ES, FI, FR, GB, GE, HU, KR, LT, MD, MX, PL, RS, RU, UA	19	56%
Not applicable:	BR, CA, ID, JP, MG, NZ, SK, TH, WO, ZA	10	29%

Total responses: 34

IPO	Comments – Question 7
AT	Hyperlinks are included for Internet locations if non-patent literature is cited and the examiner is aware of a publicly available Internet resource.
DE	Hyperlinks can be found on DEPATISnet: <a href="http://depatisnet.dpma.de/">http://depatisnet.dpma.de/</a> and on DPMApublikationen: <a href="http://publikationen.dpma.de/">http://publikationen.dpma.de/</a> .
ML	For the moment, the ML Office does not have an Internet connection.
MX	Because the full document (contains the citation references) is not available on the MX Office official site, hyperlinks are not available.
ZA	Citations are not part of the bibliographic data.

Total comments: 5

**Question 8. 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)?**

Option	Responses	Count	Percent
Yes:	DE, DK, EP, US	4	11%
No:	AT, AU, BG, BR, CA, CH, CZ, EA, EG, ES, FI, FR, GB, GE, HU, ID, JP, KR, LT, MD, MG, ML, MX, NZ, RS, RU, SK, TH, UA, WO, ZA	31	89%

Total responses: 35



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**Question 9. Are hyperlinks back to the citing document provided?**

Option	Responses	Count	Percent
Yes:	EP, US	2	6%
No:	AT, AU, BG, BR, CA, CH, CZ, DE, DK, EA, EG, ES, FI, FR, GB, GE, HU, ID, JP, KR, LT, MD, MG, ML, MX, NZ, PL, RS, RU, SK, TH, UA, WO, ZA	34	94%

Total responses: 36

IPO	Comments – Question 9
DE	DEPATISnet allows the search for documents containing citations of a specific patent document. Hyperlinks are provided in documents allowing the display of documents cited.
DK	The DK Office only uses hyperlinks in commercial services.
MX	Hyperlinks back to the citing document are not available for MX Office patent documents.
RU	The information on forwards citation (i.e. question 8) can be obtained via the Internet database of the RU Office: the list of hyperlinks to documents citing the given one can be obtained as the result of searching query using the "citation references" field; this information is not included in publication of a given document.

Total comments: 4

**Question 10. Does your Office follow the recommendations set out in WIPO Standard [ST.14](#) for the identification of citation references?**

(See <http://www.wipo.int/standards/en/pdf/03-14-01.pdf>.)

Option	Responses	Count	Percent
Yes:	AT, AU, DK, FI, FR, GB, GE, KR, MD, PL, RU	11	31%
No:	BR, CA, HU, ID, LT, ML, MX, NZ, ZA	9	26%
Partially:	BE, BG, CH, CN, CZ, DE, EA, EP, ES, JP, RS, SK, UA, US, WO	15	43%

Total responses: 35

IPO	Comments – Question 10
BE	The search report is produced by the European Patent Office (EPO). Refer to the EPO. The description is produced by the applicant on a case-by-case basis.
CA	Clear citations are provided in examiners' reports, but not necessarily formatted according to ST.14.
DE	Data elements according paragraph 12 (a) (iv) to (xi) are not presented under INID code (56).
EA	Data elements according to paragraph 12 (a) (iv) to (xi) are not provided on the first page under INID code (56).
ES	All the recommendations are followed, apart from paragraph 8 (citation references are not identified by the INID code 56).
GB	The GB Office follows the recommendations of WIPO Standard ST.14 whenever possible.
ID	Currently, "citation references" are still in the digitalization process.
JP	The JP Office Patent Gazette (B) includes the document number, as well as the country code (ST.3) and the document kind (ST.16).
MX	The documents generated by the creation of the Espace-MX Disk comply with Standard ST.14, although they do not include the INID code (56), and the collection is not available via the Internet.
RU	It should be noted that recent amendments of WIPO ST.14 which were approved by the SDWG/9 have not yet been applied to RU Office practice.



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IPO	Comments – Question 10
SK	The SK Office respects the following parts of the WIPO Standard ST.14: – paragraph 9 (b) - in case of published utility model applications the “List of references cited” appears in search reports attached to the patent document – paragraphs 12(a) (i), (ii), (iii), (v), (viii), (ix), and – paragraphs 14(a), (b) - relevance indicators in search reports are used.
WO	Conformity with recommendations set out in WIPO Standard ST.14 is dependent on the practices of the designated ISA or elected IPEA.

Total comments: 12

**Question 11. 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.)

Option	Responses	Count	Percent
Yes:	CH, CN, DE, EP, FR, GB, JP, KR, SK, TH, US	11	29%
No:	AT, AU, BE, BG, BR, CA, CZ, DK, EA, EG, ES, FI, GE, HU, ID, LT, MD, MG, ML, MX, NZ, PL, RS, RU, UA, WO, ZA	27	71%

Total responses: 38

IPO	Comments – Question 11
GB	All GB Office citations are made by GB technical examiners.

Total comments: 1

**Question 12. If available, where can indications of who created a citation reference be found by the general public?**

(Multiple selections were possible.)

Option	Responses	Count	Percent
Bibliographic data on patent document:	CN, DE, FI, JP, KR, US	6	32%
End of patent document	DE	1	5%
Search report:	AT, BE, CH, DE, DK, EP, FR, GB, MD, MG, SK, TH	12	63%
Other:	BE, CA, DE, DK, ID, US	6	32%

Total responses: 19

IPO	Comments – Question 12
AT	All given references should be included under INID code 56. The references considered relevant by the examiner are mentioned in the search report.
BE	Indications can be found in the patent description.
CA	Within an examiner’s report, an indication will usually be made regarding whether the citation reference was identified in a foreign search report.



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IPO	Comments – Question 12
DE	Citation references of examiners are located on front page. Citation references of applicants are found as list elements at the end of the patent description. Citations created after the publication of the patent document, e.g., within search, opposition or nullity procedures are available within the Patent Register and DEPATISnet. These citations will be available on the patent document at the next publication level, if any.
DK	Indications can be found in the examination report.
ID	The “citation reference” is still in the paper form.
MD	The search report may be consulted during the inspection of a patent file, on request.
PL	This question is not applicable to the PL Office.
SK	In case of published utility model applications the SK Office provides indications concerning the examiner (the date of completion of the search report, the name of the examiner) who suggested or decided on including the citation references.
TH	Indications can be found in the patent description / examination report.
US	In the US Office application PAIR, a transaction history provides a list of references cited by the applicant and/or the examiner.

Total comments: 11

### SECTION 3: SEARCH REPORT INFORMATION

#### Question 13. Does your IPO publish International Search Reports (ISR) under the PCT?

Option	Responses	Count	Percent
Yes:	AT, AU, DK, EP, ES, GB, JP, KR, US, WO	10	25%
No:	BE, BG, BR, CA, CH, CN, CZ, DE, EA, EG, FI, FR, GE, HU, ID, LT, MC, MD, MG, ML, MX, NZ, PL, RS, RU, SI, SK, TH, UA, ZA	30	75%

Total responses: 40

IPO	Comment – Question 13
AU	The AU Office establishes ISR's, which are subsequently published by WIPO.

Total comments: 1

#### Question 14. Does your IPO publish IPO-specific national/regional search reports (non PCT)?

Option	Responses	Count	Percent
Yes:	AT, AU, BE, CH, DK, EA, EP, ES, FR, GB, HU, ID, JP, SK, TH	15	38%
No:	BG, CA, CN, CZ, DE, EG, FI, GE, KR, LT, MC, MD, MG, ML, MX, NZ, PL, RS, RU, SI, UA, US, WO, ZA	24	62%

Total responses: 39



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**Question 15. Which type of search report(s) are the rest of your answers in Section 3 based on?**

(If the respondent answered "Yes" to either question 13 or 14.)

Option	Responses	Count	Percent
ISR:	CA, KR, RU, US, WO	5	24%
National / regional:	BE, BG, CH, EA, EP, FR, HU, ID, SK, TH	10	48%
Both ISR and non-ISR:	AT, AU, DK, ES, GB, JP	6	29%
Other:	WO	1	5%

Total responses: 21

IPO	Comments – Question 15
AU	The AU Office answers are based on bilateral Search Reports. These are search reports that the AU Office does for other offshore Intellectual Property Offices for their national applications.
FI	ISR's are published by WIPO
RU	The RU Office establishes the ISR. WIPO publishes the ISR.
WO	The WO Office answers are based on IPRP Chapter I and IPER/IPRP Chapter II.

Total comments: 4

**Question 16. Do you have quality control on citation references entered on search reports?**

Option	Responses	Count	Percent
Yes:	AT, AU, BG, CA, CH, DE, DK, EA, EG, EP, ES, FI, FR, GB, HU, JP, KR, MD, RU, TH, WO	21	58%
No:	BE, BR, CZ, GE, ID, LT, MC, MG, ML, MX, PL, RS, SK, US, ZA	15	42%

Total responses: 36

IPO	Comments – Question 16
AU	Citation references are checked as part of the quality assurance for the report as a whole.
DE	During capture there are automatic plausibility checks.
EA	Only technical mistakes (misprints) are checked.
ES	The quality control is carried out by administrative staff and consists in ensuring that the document being cited actually exists and that the format of the citation reference is adjusted to paragraph 12 of ST.14.
GB	All citations are raised by technical examiners considering the application. The examiners have clear internal guidelines available in the GB Office "Manual of Patent Practice", coupled with sampling of cases for quality checking.
MD	Quality control is carried out selectively by the head of the technical section or by the Director of Patent Department or by the Deputy Director.
ML	The ML Office does not have the relevant necessary competences to perform quality control on citation references.
PL	The PL Office does not yet perform quality control on citation references.

Total comments: 8





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**Question 17. Are relevance indicators stated?**

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

Option	Responses	Count	Percent
Yes:	AT, AU, BE, BG, CA, CH, CZ, DE, DK, EA, EG, EP, ES, FI, FR, GB, GE, HU, ID, JP, KR, MD, PL, RS, RU, SK, TH, US, WO	29	83%
No:	BR, LT, MC, MG, ML, MX	6	17%

Total responses: 35

**Question 18. Do your citation references include online URLs?**

Option	Responses	Count	Percent
Yes:	CH, DE, EA, EP, MD, US	6	17%
No:	BE, BG, BR, CZ, FI, HU, ID, KR, MC, MG, ML, MX, RS, SK, TH	15	43%
Sometimes:	AT, AU, CA, DK, EG, ES, FR, GB, GE, JP, LT, PL, RU, WO	14	40%

Total responses: 35

**Question 19. Are unique document identifiers used?**

(E.g., DOI.)

Option	Responses	Count	Percent
Yes:	AT, CH, DE, DK, EA, EP, FR, GB, PL, RU, WO	11	32%
No:	AU, BE, BG, BR, CA, CZ, EG, ES, FI, GE, HU, ID, JP, KR, LT, MC, MD, MG, ML, MX, RS, SK, TH	23	68%

Total responses: 34

**Question 20. If applicable, which unique document identifiers are used?**

(Multiple selections were possible.)

Option	Responses	Count	Percent
Digital Object Identifier (DOI):	AT, DE, DK, FR, RU, US	6	43%
ISBN and ISSN:	AT, CH, DE, DK, EA, EP, ES, FR, GB, PL, RU, US, WO	13	93%
Other:	AT, CH, EP, ID, US, WO	6	43%

Total responses: 14

IPO	Comments – Question 20
AT	Sometimes XP numbers (from the EP Office) are used.
CH	Database accession numbers are used.
EP	The EP Office “XP” number is used.
ID	The ID Office uses neither the digital object nor the ISBN document identifiers yet.



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IPO	Comments – Question 20
US	The WIPO Standards (e.g., ST.1) are followed in terms of unique document identifiers.
WO	Patent reference numbers and non-patent literature bibliographic data (author, title, etc.) are used.

Total comments: 6

**Question 21.** Please comment on any major differences between the provision of ISR and other search report citation references.

IPO	Comments – Question 21
AU	The practices for the provision of ISR and other search report citation references are the same.
DE	Search reports form part of the patent file. They are publicly available via a file inspection procedure.
EA	There are no differences between ISR's and EA Office search reports.
EP	For the EP Office, the ISR and other search reports are the same.
ES	In the case of international search reports, a translation into English of the citation references is generated automatically ("todo el documento" to get "the whole document", etc.).
GB	The GB Office does not consider there are any major differences between ISR and GB Office search reports.
HU	There are no major differences between the provision of ISR and other search report citation references.
JP	In general, an ISR is prepared for all applications. A JP search report is prepared only for the part of applications requested for examination by the applicant.
MD	The MD Office does not indicate in citation references who are the patent holders.
RU	There is no difference between ISR and other search report provision.

Total comments: 9

### SECTION 4: CENTRALIZING/TAGGING CITATION REFERENCES

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

**Question 22.** Do you (intend to) add tags to identify citation references?

(E.g., see the ST.36 Supplementary Material, Annex C - International Common Elements (ICEs) available from [http://www.wipo.int/standards/en/xml\\_material/st36/](http://www.wipo.int/standards/en/xml_material/st36/).)

Option	Responses	Count	Percent
Yes:	CH, DE, EA, EP, GB, JP, MD, RU, US	9	24%
No:	AT, AU, BE, BR, CA, CZ, DK, EG, ES, FI, GE, HU, KR, LT, MC, MG, ML, MX, NZ, PL, SI, SK, TH, UA, WO, ZA	26	65%
Not now, but we intend to in the future:	BG, CN, FR, ID, RS	5	13%

Total responses: 40

IPO	Comments – Question 22
BG	The BG Office will implement the SOPRANO product, which will allow the creation of XML files.
CH	The CH Office uses the XML tags of ST.36.
CN	In the near future, tags will be added to citation references.



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IPO	Comments – Question 22
FR	The FR Office uses the EP Office SOPRANO software.
ML	Tags will be added as soon as the ML Office has the necessary competencies.
RS	The RS Office can not say when tags will be added.

Total comments: 6

### Question 23. Does your IPO have a centralized database containing citation reference identification data elements?

Option	Responses	Count	Percent
Yes:	AT, BG, CH, CZ, DE, DK, EA, EP, GB, JP, MD, RU, TH, US	14	35%
No:	AU, BE, BR, CA, EG, ES, FI, FR, GE, HU, KR, LT, MC, MG, ML, MX, NZ, PL, RS, SI, SK, UA, WO, ZA	24	60%
Not now, but we intend to in the future:	CN, ID	2	5%

Total responses: 40

IPO	Comments – Question 23
CN	In the near future, the CN Office will have a centralized database containing citation reference identification data elements.
ML	As soon as the ML Office can, it will install a database.

Total comments: 2

### Question 24. If possible, please specify any structural elements on which the database is founded.

(E.g., ST.36 XML, INID code (56).)

Option	Participants indicated the following elements in their comment	Count	Percent
ST.36 XML:	CH, DE, EP, RU, US	5	36%
Annex F:	JP	1	7%
INID code (56):	AT, BG, EA, MD, RU, US	6	43%
Relational database:	AT, CZ, DK, MX	4	29%
Non-relational database:	GB	1	7%

Total responses: 14

IPO	Comments – Question 24
AT	Reference citations included in search reports or under INID code (56) are stored in a centralized SQL database in ST.14 format.
BG	The BG database uses INID code (56) structural elements.
CH	The CH database is founded on ST.36 XML elements.
CZ	The CZ database uses oracle database tables.
DE	The DE database is founded on ST.36 XML elements (“CT” for patent documents and “CTNP” for NPL).



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IPO	Comments – Question 24
DK	The DK data are stored in an Oracle database. Extract of citations could be done in ST.36 XML format, the software for which is yet to be developed.
EA	The EA database is founded on INID code (56) and data on relevant documents from search reports.
EP	The EP database is based on ST.36.
GB	The database "OPTICS" (which is not a relational database) stores and outputs the GB Office INID code (56) citation data within the bibliographical downloads.
JP	The database is compliant with Annex F – patcit, etc.
MD	The MD database uses INID code (56) structural elements.
MX	The MX Banapanet database is designed in ORACLE.
PL	This question is not applicable to the PL Office.
RU	The RU database uses ST.36 XML and INID code (56) structural elements.
US	The US database uses ST.36 XML and INID code (56) structural elements.

Total comments: 15

**Question 25. Are citation references from your IPO searchable by the public?**

(I.e., can one search the text of the data elements identifying the text/document cited. If "Yes", please specify the Internet address location where the references are searchable.)

Option	Responses	Count	Percent
Yes:	DE, EG, EP, ES, FR, KR, MD, ML, RU, TH, US	11	29%
No:	AT, AU, BE, BG, BR, CA, CH, CN, CZ, DK, EA, FI, GB, GE, HU, ID, JP, LT, MC, MG, MX, NZ, PL, RS, SK, UA, WO	27	71%

Total responses: 38

IPO	Comments – Question 25
DE	Citation references are searchable on DEPATISnet: <a href="http://depatisnet.dpma.de/">http://depatisnet.dpma.de/</a> .
EG	Citation references are searchable on <a href="http://www.egypo.gov.eg">http://www.egypo.gov.eg</a> as well as other patent and non-patent sites.
EP	Citation references are searchable on Register Plus and, soon, publication files.
ES	Citation references are searchable on <a href="http://invenes.oepm.es">http://invenes.oepm.es</a> .
FR	Citation references are searchable on <a href="http://fr.espacenet.com/">http://fr.espacenet.com/</a> .
KR	Citation references are searchable on <a href="http://www.kipris.or.kr">http://www.kipris.or.kr</a> .
MD	Citation references are searchable on <a href="http://www.db.agepi.md/inventions/Search.aspx">http://www.db.agepi.md/inventions/Search.aspx</a> .
ML	The ML Office searches the EP and FR Office CD-ROMS, which can be used with MIMOSA software.
RU	Citation references are searchable on <a href="http://www.fips.ru/russite">http://www.fips.ru/russite</a> (Russian interface) and <a href="http://www.fips.ru/ensite">http://www.fips.ru/ensite</a> (English interface). For free access use login: guest, password: guest.
TH	Citation references are searchable on <a href="http://www.ipthailand.org">http://www.ipthailand.org</a> .
US	Citation references are searchable on <a href="http://www.uspto.gov">http://www.uspto.gov</a> .

Total comments: 11



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**Question 26.** *Is the information in the database technically and legally exchangeable?*

(E.g., with other IPOs?)

Option	Responses	Count	Percent
Yes:	AT, BG, CH, CZ, DE, DK, EA, EP, ES, FR, GB, GE, JP, MD, MX, RU, TH, US	18	51%
No:	AU, BE, BR, CA, CN, EG, FI, HU, ID, KR, LT, MC, MG, PL, RS, UA, WO	17	49%

Total responses: 35

**Question 27.** *Please add any further comments you may have about any of the questions in section 4 above:*

IPO	Comments – Question 27
EG	All citation references used by the EG Office can be searchable by the public on the EG Office website and other patent and non-patent sites.
GB	The GB Office currently supply the bibliographical data elements of GB published patent applications to various customers (including the EP Office for Esp@cenet/EPOQUE etc.). This data includes the INID code (56) citation reference data but not necessarily the complete search report information which is present on the search report image file (in ST.33 format).
ID	The database is not technically and legally exchangeable yet, it depends on formal requirements for other institutions or organizations.
JP	The JP Office add tags only for publication numbers of cited document, not for relevant parts or categories (X, Y, A).
MD	The MD Office provides to the RU Office full-text patent information (for the regional CD) as well as monthly bibliographic, English abstracts and legal status information on MD patents.
TH	Published patent applications will be scanned and available on the TH Office website.
US	Regarding question 26, the information is contained in the US Office electronic products catalog.
ZA	The ZA Office patent database includes only bibliographic data at present and citations are not included.

Total comments: 8



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**SECTIONS 5-7: QUESTIONS ABOUT YOUR IPO'S PUBLISHED DOCUMENTS THAT MAY BE CITED (WITHIN A CITATION REFERENCE)**

SECTION 5: LOCATION OF PUBLISHED PATENT DOCUMENTS (which can be considered to be an (or the) authentic source).

*Question 28. Which medium and format represents the (or an) authentic legal rendition (authoritative source) of your IPO's published patent documents?*

Note: A legal version is, e.g., a publicly available document that could be consulted in court proceedings.  
Medium: e.g., Internet or paper. Multiple selections were possible.

Option	Responses	Count	Percent
Paper:	AT, AU, BE, BG, BR, CZ, EG, ES, FI, FR, GB, GE, ID, JP, LT, MC, MD, MG, MX, NZ, PL, RS, RU, SI, SK, UA, ZA	27	68%
Internet:	AT, AU, CH, CN, CZ, DE, DK, EA, EG, EP, FI, GB, HU, JP, KR, ML, MX, NZ, PL, TH, UA, WO	21	53%
CD-ROM/DVD:	EA, JP, ML, MX, TH, RU, UA	7	18%
Microfiche:	AU	1	3%
Other:	CA, MX, US	3	8%

Total responses: 40

IPO	Comments – Question 28
AT	The authoritative source for applications is the Internet. The authoritative source for granted patents is paper.
AU	Certified copies on paper of original source formats (Internet, microfiche and paper) are the authoritative source.
CA	The Techsource (internal) database is the authoritative source for CA patent documents.
CN	The Internet at <a href="http://www.sipo.gov.cn/sipo2008/zljs">http://www.sipo.gov.cn/sipo2008/zljs</a> is the authoritative source for CN patent documents.
DE	PDF documents published at DPMApublikationen ( <a href="http://publikationen.dpma.de">http://publikationen.dpma.de</a> ) are the authoritative source for DE patent documents.
EA	PDF documents are the authoritative source for EA patent documents. They are available on optical discs and on the Internet (EAPATIS and Register of Eurasian patents).
EP	The Internet at <a href="http://www.epo.org/patents/patent-information/european-patent-documents/publicationserver.html">http://www.epo.org/patents/patent-information/european-patent-documents/publicationserver.html</a> is the authoritative source for EP patent documents.
GB	Paper is the authoritative source for GB patent documents. The GB Office also publishes electronically using a publication server (see <a href="http://www.ipo.gov.uk/patent/pmanage/p-useenforce/p-useenforce-copies.htm">http://www.ipo.gov.uk/patent/pmanage/p-useenforce/p-useenforce-copies.htm</a> ).
JP	The authoritative source for current patent documents is the DVD-ROM and the Internet is the authoritative source for current utility models. For past patents and utility models the authoritative sources are paper and CD.
ML	Authoritative sources for ML patent documents are CD-ROM from the EP, FR, and the US Offices.
MX	Bibliographical data on the Internet, disks, paper (gazette, patent documents) and the file (for the granted patent) are considered authoritative sources.
NZ	The Internet for newer publications and paper (and/or Internet) for older publications are considered to be authoritative sources.
PL	The authoritative sources are paper for documents from 1924 onwards and the Internet from 2001 onwards. The retroactive collection will be complemented.
RU	The authoritative sources are paper or CD/DVD. In the case of questions arising during court proceedings, an original document or certified extract from the State register on paper should be submitted.
US	A facsimile image of the paper document is the authoritative source.

Total comments: 15



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**Question 29.** Please advise how to locate the medium you have selected.

(E.g., specify the title of a DVD and an Internet address for ordering the DVD.)

IPO	Comments – Question 29
AT	Patent documents (the authoritative source) can be located at <a href="http://www.patentamt.at/Home/Patentamt/Publikationsserver/14444.html">http://www.patentamt.at/Home/Patentamt/Publikationsserver/14444.html</a> .
AU	Patent documents (the authoritative source) can be ordered by post at P.O. Box 200, Woden, ACT 2606, AUSTRALIA or at the State Offices. See also the answer to question 32 for locations of the Internet, microfiche and paper versions.
BE	Patent documents (the authoritative source) can be located in the BE Office OPRI – IP contact point (reading room) – NGIII, Bd. du Roi Albert II – 1000, Brussels.
BR	Patent documents (the authoritative source) can be obtained from the Patent Directorate at <a href="mailto:patente@inpi.gov.br">patente@inpi.gov.br</a> .
CA	Patent documents (the authoritative source) can be located on <a href="http://cipo.gc.ca">http://cipo.gc.ca</a> . Click on Canadian Patent Database or <a href="http://patents.ic.gc.ca/cipo/cpd/en/introduction.html">http://patents.ic.gc.ca/cipo/cpd/en/introduction.html</a> .
CH	Patent documents (the authoritative source) can be located on <a href="http://www.swissreg.ch">http://www.swissreg.ch</a> .
CN	Patent documents (the authoritative source) can be located on the Internet at <a href="http://www.sipo.gov.cn/sipo2008/xxcp/zlwxgp/200804/t20080407_370310.html">http://www.sipo.gov.cn/sipo2008/xxcp/zlwxgp/200804/t20080407_370310.html</a> .
CZ	Patent documents (the authoritative source) can be located at the CZ Office Internet address.
DE	Patent documents (the authoritative source) can be located at <a href="http://publikationen.dpma.de">http://publikationen.dpma.de</a> .
DK	Patent documents (the authoritative source) can be located at <a href="http://www.dkpto.dk/pvsonline/">http://www.dkpto.dk/pvsonline/</a> .
EA	Eurasian patents and patent application descriptions (the authoritative source) can be located on <a href="http://www.eapo.org/rus/publications">http://www.eapo.org/rus/publications</a> , <a href="http://www.eapatis.com">http://www.eapatis.com</a> .
EG	Patent documents (the authoritative source) can be located at <a href="http://www.egypo.gov.eg">http://www.egypo.gov.eg</a> containing the EG Office gazettes.
EP	Patent documents (the authoritative source) can be located at <a href="http://www.epo.org/patents/patent-information/european-patent-documents/publication-server.html">http://www.epo.org/patents/patent-information/european-patent-documents/publication-server.html</a> .
ES	Patent documents (the authoritative source) can be obtained from the Documentation Service of the ES Office.
FI	Patent documents (the authoritative source) can be located on <a href="http://espacenet">espacenet</a> .
FR	Patent documents (the authoritative source) can be obtained from the electronic bookshop.
GB	The GB Office can be contacted for a copy of the authoritative source of patent documents ( <a href="http://www.ipo.gov.uk/patent/p-manage/p-useenforce/p-useenforcecopies.htm">http://www.ipo.gov.uk/patent/p-manage/p-useenforce/p-useenforcecopies.htm</a> ).
HU	Patent documents (the authoritative source) can be located on <a href="http://www.hpo.hu">http://www.hpo.hu</a> .
ID	Patent documents (the authoritative source) are still in the numerical order (application number) on the paper medium.
JP	DVD-ROM patent publications containing patent documents (the authoritative source) can be purchased from the Japan Institute of Invention and Innovation (JIII). Access to Official Publication is available via the Internet for Utility Models at <a href="http://www.publication.jpo.go.jp/utility/do/usr/topmenu">http://www.publication.jpo.go.jp/utility/do/usr/topmenu</a> .
MD	Patent documents (the authoritative source) can be obtained from <a href="mailto:office@agepi.md">office@agepi.md</a> .
MX	Patent documents (the authoritative source) can be obtained from <a href="http://www.impi.gob.mx/Banapanet">http://www.impi.gob.mx/Banapanet</a> and by purchasing of the collection of Espace-MX disks and photocopies from the MX Office.
NZ	Patent documents (the authoritative source) can be obtained from the NZ Office website ( <a href="http://www.iponz.govt.nz">http://www.iponz.govt.nz</a> ), the paper files in IPONZ store and Archives NZ, and the abstract files on DVD.
PL	Patent documents (the authoritative source) can be obtained from writing to the PL Office Patent Library and/or the Internet downloads.
RU	The Official Bulletin "Inventions. Utility models" on CD/DVD contain patent documents (the authoritative source). The Official Bulletin "Inventions. Utility models" on paper is available on request of the customer. The certified extract from the State register on paper may be obtained on request.



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IPO	Comments – Question 29
SK	Slovak patent documents are available to the public in the SK Office reading room along with possibility of making copies of patent documents on request. Patent documents may be ordered via <a href="mailto:objednavky@indprop.gov.sk">objednavky@indprop.gov.sk</a> or <a href="http://domino.indprop.gov.sk/objednavky.nsf/aspis?OpenForm">http://domino.indprop.gov.sk/objednavky.nsf/aspis?OpenForm</a> . Patent specifications are available also through partners of the SK Office patent information centers, contact and information points at <a href="http://www.upv.sk/index.php?lang=en&amp;idd=98&amp;idd2=">http://www.upv.sk/index.php?lang=en&amp;idd=98&amp;idd2=</a> , along with the possibility of making copies of documents.
UA	National CD-ROM “Inventions in Ukraine” at <a href="http://www.sdip.gov.ua/eng/information/publicom/cdnat/">http://www.sdip.gov.ua/eng/information/publicom/cdnat/</a> provides patent documents (the authoritative source).
US	Patent documents (the authoritative source) are available through Internet sites or electronic products. A list of electronic products can be found at the US Office website.
WO	Patent documents (the authoritative source) are available on <a href="http://www.wipo.int/patentscope/">http://www.wipo.int/patentscope/</a> .
ZA	Patent documents (the authoritative source) are only available in the ZA Office paper disclosure centre on request.

Total comments: 30

**Question 30.** *Regarding the medium indicated above, is there one or more (file) formats that should be looked at (in preference to other formats)?*

Option	Responses	Count	Percent
Yes:	AT, AU, BR, CH, CN, CZ, DE, DK, EA, EP, GB, HU, ID, KR, LT, MD, ML, MX, PL, RS, RU, SK, UA, ZA	24	71%
No:	BE, CA, EG, ES, FR, JP, MC, MG, US, WO	10	29%

Total responses: 34

**Question 31.** *If yes, select all formats that should be considered in preference to other formats.*

(Multiple selections were possible.)

Option	Responses	Count	Percent
PDF (Adobe):	AT, CH, DK, EA, EP, HU, KR, LT, RS, SK, PL, DE, CZ, GB, MD, UA	16	62%
HTML:	MX, PL, UA, WO	4	15%
TIF image:	BR, CN, KR, MX, UA	5	19%
Paper:	AU, CZ, GB, GE, ID, MD, RU, UA, ZA	9	35%
Other:	AU, DE, ML	3	12%

Total responses: 26

IPO	Comments – Question 31
AU	Certified copies are made from original PDF, paper or microfiche format.
DE	ST.33 (BACON) and ST.35 (mixed-mode) are available in addition to the PDF format.
ML	Patent documents (the authoritative source) are available on CD-ROM products of the EP, FR, and US Offices.
WO	Non-authoritative patent documents are available on the Internet in HTML format.
ZA	The only available format is a single paper patent document in the custody of the ZA Office.

Total comments: 5





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### Question 32. Where else can your published patent documents be found?

(Select as many as are applicable.)

Option	Responses	Count	Percent
Internet:	AT, AU, BE, BR, CH, CZ, DE, DK, EA, EG, EP, ES, FI, FR, GB, GE, HU, JP, KR, LT, MC, MD, MG, MX, NZ, PL, RS, RU, SI, SK, TH, UA, US, WO	34	87%
CD/DVD:	AT, AU, BG, CA, CH, CN, DE, EG, EP, ES, FI, FR, GB, KR, LT, MD, ML, MX, PL, RS, RU, SI, SK, TH, UA, US, WO	27	71%
FTP:	BR, EP, GB, US, WO	5	13%
Paper:	AT, AU, BE, BG, CZ, EG, EP, ES, FI, FR, GB, ID, JP, LT, MC, MD, MG, MX, NZ, PL, RS, SK, US, WO	24	63%
Web services:	CH, CZ, DE, EP, GB, UA, US, WO	8	21%
Commercial providers:	AT, CH, FR, NZ, RU, US, WO	7	18%
Other:	AU, NZ	2	5%

Total responses: 39

IPO	Comments – Question 32
AT	Main Internet address: <a href="http://www.patentamt.at/Home/Patentamt/Publikationsserver/14444.html">http://www.patentamt.at/Home/Patentamt/Publikationsserver/14444.html</a> CD/DVD: Espace-CD/DVD Paper: on request
AU	Main Internet address: <a href="http://www.ipaustralia.gov.au">http://www.ipaustralia.gov.au</a> Other Internet address: <a href="http://www.ipaustralia.gov.au/patents/search_specs.shtml">http://www.ipaustralia.gov.au/patents/search_specs.shtml</a> CD/DVD: AU A, B Patent Specifications (this includes the C documents) 17 December 1998 to present, see <a href="http://www.ipaustralia.gov.au/resources/sales_index.shtml">http://www.ipaustralia.gov.au/resources/sales_index.shtml</a> Paper: AU A, B and C Patent Specifications 1904 to 1977, see <a href="http://www.ipaustralia.gov.au/resources/sales_index.shtml">http://www.ipaustralia.gov.au/resources/sales_index.shtml</a> Other: Microfiche AU A, B and C Patent Specifications, 1978-1998, location as above
BE	Internet: <a href="http://be.espacenet.com">http://be.espacenet.com</a> Paper: BE Office (OPRI) – IP contact point (reading room) – NGIII, Bd. du Roi Albert II - 1000 Brussels
BG	CD/DVD: ESPACE/PRECES Paper: Bulgarian Patent Office Central Patent Library
BR	Main Internet address: <a href="http://www.inpi.gov.br">http://www.inpi.gov.br</a> Other Internet address: <a href="http://ep.espacenet.com">http://ep.espacenet.com</a> FTP: by agreement
CA	CD/DVD: <a href="http://www.cipo.ic.gc.ca/epic/site/cipointernet-internetopic.nsf/en/wr00110e.html">http://www.cipo.ic.gc.ca/epic/site/cipointernet-internetopic.nsf/en/wr00110e.html</a> - Mimosa CD's are available since 1999
CH	Main Internet address: <a href="http://ep.espacenet.com/">http://ep.espacenet.com/</a> Other Internet address: <a href="http://depatisnet.dpma.de/">http://depatisnet.dpma.de/</a> CD/DVD: DVD espace CH Web services: OPS (Open Patent Services) Commercial Providers: STN, Dialog, Questel
CN	CD/DVD: Intellectual Property Publishing House of the CN Office, No, 1, Madian Nancun, Haidian District, Beijing, P.R.China, 100088
CZ	Main Internet address: <a href="http://isdvapl.upv.cz">http://isdvapl.upv.cz</a> Web services: <a href="http://isdvapl.upv.cz/data/epidos/">http://isdvapl.upv.cz/data/epidos/</a>



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IPO	Comments – Question 32
DE	Main Internet address: <a href="http://depatisnet.dpma.de">http://depatisnet.dpma.de</a> Other Internet address: <a href="http://datenabgabe.dpma.de">http://datenabgabe.dpma.de</a> CD/DVD: DEPAROM Web services: DEPATISconnect (under contract)
DK	Internet: <a href="http://www.dkpto.dk/pvsonline/">http://www.dkpto.dk/pvsonline/</a>
EA	Main Internet address: EAPATIS: <a href="http://www.eapatris.com">http://www.eapatris.com</a> , EAPO Gazette: <a href="http://www.eapo.org/rus/bulletin">http://www.eapo.org/rus/bulletin</a> Other Internet addresses: <a href="http://www.espacenet.com">http://www.espacenet.com</a> ; <a href="http://ea.espacenet.com">http://ea.espacenet.com</a> CD/DVD: Eurasian patent descriptions, Eurasian patent application descriptions, CISPATENT, Eurasian patent gazette, Eurasian applications and patents: Cumulative index FTP: customized delivery to data providers Commercial Providers: Chemical Abstracts
EG	Internet: <a href="http://www.egypo.gov.eg">www.egypo.gov.eg</a> CD/DVD: mimosa discs from the EP Office Paper: gazettes
EP	Internet: <a href="http://ep.espacenet.com/">http://ep.espacenet.com/</a> CD/DVD: <a href="http://www.epo.org/patents/patent-information/subscription.html">http://www.epo.org/patents/patent-information/subscription.html</a> Web services: <a href="http://ops.espacenet.com/">http://ops.espacenet.com/</a> and other web services Paper: paper copies are available on request
ES	Main Internet address: <a href="http://invenes.oepm.es">http://invenes.oepm.es</a> Other Internet addresses: <a href="http://www.espacenet.com">http://www.espacenet.com</a> ; <a href="http://depatisnet.dpma.de">http://depatisnet.dpma.de</a> CD/DVD: ESPACE-ES Paper: ES Office OEPM Distribution Service
FI	Internet: <a href="http://fi.espacenet.com">http://fi.espacenet.com</a> CD/DVD, Paper: Finnish Patent Office
FR	Internet: <a href="http://fr.espacenet.com/">http://fr.espacenet.com/</a> CD/DVD: electronic bookshop COSMOS A and COSMOS B Paper: electronic bookshop
GB	Main Internet address: <a href="http://www.ipo.gov.uk/patent/p-find/p-find-publication.htm">http://www.ipo.gov.uk/patent/p-find/p-find-publication.htm</a> Other Internet address: <a href="http://gb.espacenet.com/search97cgi/s97_cgi.exe?Action=FormGen&amp;Template=gb/EN/home.htm">http://gb.espacenet.com/search97cgi/s97_cgi.exe?Action=FormGen&amp;Template=gb/EN/home.htm</a> CD/DVD: GB ESPACE FTP: Purchasable from the GB Office Paper: British Library Web services: see Esp@cenet
GE	Internet: <a href="http://www.sakpatenti.org.ge">http://www.sakpatenti.org.ge</a>
HU	Main Internet address: <a href="http://www.hpo.hu">http://www.hpo.hu</a> Other Internet address: Espacenet
ID	Paper: look at the relevant documents by application number
JP	Internet: <a href="http://www.ipdl.inpit.go.jp/homepg_e.ipdl">http://www.ipdl.inpit.go.jp/homepg_e.ipdl</a> (IPDL) Paper: Purchased at the Japan Institute of Invention and Innovation (JIII)
KR	Main Internet address: <a href="http://www.kipo.go.kr">http://www.kipo.go.kr</a> Other Internet address: <a href="http://www.kipris.or.kr">http://www.kipris.or.kr</a> CD/DVD: CD/DVD Registered Examined Patent and Utility Model specification



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IPO	Comments – Question 32
LT	Main Internet address: <a href="http://lt.espacenet.com/">http://lt.espacenet.com/</a> Other Internet address: <a href="http://www.tb.lt/">http://www.tb.lt/</a> CD/DVD: ESPACE PRECES Paper: <i>contact patent@tb.lt</i>
MC	Internet: <a href="http://ep.espacenet.com">http://ep.espacenet.com</a> Paper: Official Journal of Monaco
MD	Main Internet address: <a href="http://www.db.agepi.md/inventions/Search.aspx">http://www.db.agepi.md/inventions/Search.aspx</a> Other Internet addresses: <a href="http://www.eapatris.com/">http://www.eapatris.com/</a> ; <a href="http://ep.espacenet.com/">http://ep.espacenet.com/</a> CD/DVD: Annual cumulative CD - "The Inventions Protected in the Republic of Moldova"; Regional CD of CIS "CISPATENT" <a href="http://www.fips.ru/ruptoen2/inform.htm#3">http://www.fips.ru/ruptoen2/inform.htm#3</a> Paper: <i>contact office@agepi.md</i>
MX	Main Internet address: <a href="http://www.impi.gob.mx">http://www.impi.gob.mx</a> Other Internet addresses: <a href="http://www.pymetec.gob.mx">http://www.pymetec.gob.mx</a> ; <a href="http://lp.espacenet.com">http://lp.espacenet.com</a> ; CD/DVD: Espace MX (payment for collection) <a href="http://www.impi.gob.mx">http://www.impi.gob.mx</a> Paper: Payment per sheet <a href="http://www.impi.gob.mx">http://www.impi.gob.mx</a>
NZ	Internet: <a href="http://www.iponz.govt.nz">http://www.iponz.govt.nz</a> Paper: NZ Office (IPONZ) store, Toop St, Seaview, Lower Hutt Other: Microfilm, microfiche, NZ Office store.
PL	Main Internet address: <a href="http://www.uprp.pl/patentwebaccess/">http://www.uprp.pl/patentwebaccess/</a> Other Internet addresses: <a href="http://pubserv.uprp.pl/PublicationServer/">http://pubserv.uprp.pl/PublicationServer/</a> ; <a href="http://pl.espacenet.com">http://pl.espacenet.com</a> Paper: PL Office Patent Library and Patlib Regional Centers Poland-wide.
RS	Internet: <a href="http://www.yupat.gov.yu">http://www.yupat.gov.yu</a> , RS Publication Server CD/DVD: Documentation Department, RS Office Paper: Documentation Department, RS Office
RU	Main Internet address: <a href="http://www.fips.ru/ensite/">http://www.fips.ru/ensite/</a> . For free access use login: guest; password: guest Other Internet addresses: <a href="http://www.fips.ru/cdfi/reestr_rupat.htm">http://www.fips.ru/cdfi/reestr_rupat.htm</a> (Open register), <a href="http://ru.espacenet.com">http://ru.espacenet.com</a> , <a href="http://www.eapo.org">http://www.eapo.org</a> , <a href="http://depatisnet.dpma.de">http://depatisnet.dpma.de</a> CD/DVD: For detailed information with respect to information products on CD/DVD, refer to <a href="http://www.fips.ru/ruptoen2/inform.htm">http://www.fips.ru/ruptoen2/inform.htm</a> (English), <a href="http://www.fips.ru/izdan2008/pm_ofi.htm">http://www.fips.ru/izdan2008/pm_ofi.htm</a> (Russian) Commercial providers: STN, Thomson Delphion, CAS, DWPI
SI	Main Internet address: <a href="http://www3.uil-sipo.si/PublicationServer">http://www3.uil-sipo.si/PublicationServer</a> Other Internet addresses: <a href="http://www2.uil-sipo.si/">http://www2.uil-sipo.si/</a> , <a href="http://ep.espacenet.com/">http://ep.espacenet.com/</a> , <a href="http://si.espacenet.com/">http://si.espacenet.com/</a> CD/DVD: ESPACE-SI



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IPO	Comments – Question 32
SK	<p>Main Internet address: <a href="http://www.upv.sk">http://www.upv.sk</a></p> <p>Other Internet addresses:  <a href="http://registre.indprop.gov.sk/registre/searchForm.do?lang=en&amp;register=p">http://registre.indprop.gov.sk/registre/searchForm.do?lang=en&amp;register=p</a>,  <a href="http://registre.indprop.gov.sk/registre/searchForm.do?lang=en&amp;register=uv">http://registre.indprop.gov.sk/registre/searchForm.do?lang=en&amp;register=uv</a>,  <a href="http://registre.indprop.gov.sk/registre/searchForm.do?lang=en&amp;register=ep">http://registre.indprop.gov.sk/registre/searchForm.do?lang=en&amp;register=ep</a>,  <a href="http://data.indprop.gov.sk/Patenty/index.php?jazyk=en&amp;typdokumentu=patenty&amp;new=1">http://data.indprop.gov.sk/Patenty/index.php?jazyk=en&amp;typdokumentu=patenty&amp;new=1</a>,  <a href="http://data.indprop.gov.sk/Patenty/index.php?jazyk=en&amp;typdokumentu=epatenty&amp;new=1">http://data.indprop.gov.sk/Patenty/index.php?jazyk=en&amp;typdokumentu=epatenty&amp;new=1</a>,  <a href="http://data.indprop.gov.sk/Patenty/index.php?jazyk=en&amp;typdokumentu=uv&amp;new=1">http://data.indprop.gov.sk/Patenty/index.php?jazyk=en&amp;typdokumentu=uv&amp;new=1</a></p> <p>CD/DVD: Optical discs ESPACE-PRECES CD-ROM (fulltexts), ESPACE ACCESS PRECES (index to ESPACE-PRECES) are available in the SK Office and its partners (patent information centers, contact and information points), <a href="http://www.upv.sk/index.php?lang=en&amp;idd2=">http://www.upv.sk/index.php?lang=en&amp;idd2=</a> for the purpose of searching and making a copy only. The optical discs are distributed by the HU Office to foreign patent offices, and can be subscribed to directly from the HU Office. Slovak patents published on ESPACE ACCESS EPC (Europe) are available in the SK Office and can be subscribed to from the EP Office.</p> <p>Paper: Slovak patent documents are available to the public in the SK Office reading room along with possibility of making copies of patent documents on request. Patent documents may be ordered via <a href="mailto:studovna@indprop.gov.sk">studovna@indprop.gov.sk</a>, <a href="mailto:objednavky@indprop.gov.sk">objednavky@indprop.gov.sk</a> or <a href="http://domino.indprop.gov.sk/objednavky.nsf/aspis?OpenForm">http://domino.indprop.gov.sk/objednavky.nsf/aspis?OpenForm</a>. Patent specifications are available also through partners of the SK Office (patent information centers, contact and information points) <a href="http://www.upv.sk/index.php?lang=en&amp;idd=98&amp;idd2=">http://www.upv.sk/index.php?lang=en&amp;idd=98&amp;idd2=</a>.</p>
TH	<p>Internet: <a href="http://www.ipthailand.org">http://www.ipthailand.org</a></p> <p>CD/DVD: published patent and petty-patent documents</p>
UA	<p>Internet: <a href="http://www.ukrpatent.org">http://www.ukrpatent.org</a></p> <p>CD/DVD: National CD-ROM "Inventions in Ukraine"  <a href="http://www.sdip.gov.ua/eng/information/publicom/cdnat/">http://www.sdip.gov.ua/eng/information/publicom/cdnat/</a></p> <p>Web services: <a href="http://www.ukrpatent.org">http://www.ukrpatent.org</a></p>
US	<p>Internet: <a href="http://www.uspto.gov">http://www.uspto.gov</a></p> <p>CD/DVD, FTP, Paper, and Web services:  For a list of products, visit <a href="http://www.uspto.gov/web/offices/cio/cis/prodsvic.htm">http://www.uspto.gov/web/offices/cio/cis/prodsvic.htm</a></p> <p>Commercial providers: various</p>
WO	<p>Other Internet addresses: Many commercial and non-commercial sites</p> <p>CD/DVD: "Article 20 DVD" and "Rule 87 DVD"</p> <p>FTP: FTP access (subscription only)</p> <p>Web services: PATENTSCOPE® XML web service (available from early 2008)</p>

Total comments: 38

SECTION 6: AVAILABILITY OF LOCATION IDENTIFIERS

Note: Location identifiers can be used for citing within a search report. Participants were invited to describe those identifiers which occur within some or all of their IPO's authentic legal published documents. For example, a location identifier may be a page, a paragraph, or an image number. Answers to these questions were given according to their current publication procedures.

The following table amalgamates some answers from both questions 33 and 34 relating to the presence of page based, non-page based, textual and non-textual identifiers:

Option	Location identifiers for Questions 33 and 34	Count	Percent
Page:	AT, AU, BE, BG, BR, CA, CH, CN, CZ, DE, DK, EA, EP, ES, FR, GB, GE, HU, JP, KR, LT, MC, MD, MG, MX, NZ, PL, RU, SI, SK, TH, US, WO	33	94%
Column:	CA, DK, EA, EP, ES, JP, UA, US, WO	9	26%



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Option	Location identifiers for Questions 33 and 34	Count	Percent
Line:	AT, AU, BE, BG, BR, CA, DK, EP, ES, FR, GB, HU, ID, JP, LT, MC, MX, SK, TH, US, WO	21	60%
Paragraph:	AU, BR, CA, CH, DE, EP, GB, JP, MC, MD, MG, MX, NZ, US, WO	15	42%
Image numbers:	AT, BG, CA, CH, DE, DK, EA, FR, GB, HU, KR, LT, MC, MX, NZ, PL, SI, SK, UA, US, WO	21	78%
Drawing / Figure numbers <sup>4</sup> :	BE, US	2	7%
Chemical formulae numbers:	AT, AU, BG, CA, CH, DE, DK, EP, ES, FR, GB, HU, JP, KR, MC, MX, NZ, PL, SI, SK, UA, US, WO	23	85%
Mathematical formulae numbers:	AT, AU, BG, CA, CH, DE, DK, EP, ES, FR, GB, JP, MX, NZ, PL, SK, UA, US, WO	19	70%
Tables:	AT, AU, BG, CA, CH, DE, DK, EA, EP, ES, FR, GB, HU, JP, KR, MC, MX, NZ, PL, SI, SK, UA, US, WO	24	88%
Gene sequences:	AT, AU, BG, CA, DE, DK, EP, ES, FR, GB, HU, JP, KR, MC, MX, NZ, PL, SI, SK, UA, US, WO	22	89%
Computer Programs:	AT, AU, CA, DE, EP, FR, GB, MX, US	9	33%
Section bookmarks <sup>4</sup> :	NZ	1	4%

Taken from 35 responses for text base identifiers (page, column, line, paragraph) and 27 responses from the remaining non-text identifiers

**Question 33. Which, if any, page-based identifiers do your published patent documents contain?**

(Multiple selections were possible. See also the location identifiers [table](#) under the section 6 heading above)

IPO	Comments – Question 33
AU	Paragraph numbers can be found in published AU patents.
BE	Figure/drawing numbers are sometimes found in published BE patents.
CA	Column and line numbers can be found only when provided by the applicant.
CH	Paragraph numbers can be found in published CH patents.
DE	Paragraph numbers can be found in published DE patents.
EP	Paragraph numbers can be found in published EP patents.
ID	Page based identifiers in published patent documents are not available yet.
JP	Paragraph numbers can be found in published JP patents. Available location identifiers may vary depending on the kind of the publication.
NZ	Section bookmarks (to description, claims, and drawings) are available for online publications.
SK	Image numbers can be found in published SK patents.
TH	All published documents contain page and line numbers.
UA	Depending on medium the following page-based identifiers are used. Column numbers are used on paper. No identifiers are used on databases on the Internet. No identifiers were used for CD-ROM until April 9, 2008, but a range of numbers were used from April 10, 2008 (that is CD-ROM #6/20008) onwards.
US	Paragraph numbers, Figure numbers, and Table Numbers can be found in published US patents.

Total comments: 13

<sup>4</sup> Participants were not specifically asked if Figures or Drawings (that appear separately from the description) were published by their IPO. Nor were section bookmarks in the last row of the table asked about.



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**Question 34.** Which, if any, identifiers of non-textual elements occur within the description part of your published patent document?

(Multiple selections were possible. See also the location identifiers [table](#) under the section 6 heading above)

IPO	Comments – Question 34
AT	Chemical formulae, Table, Gene sequence, Mathematical formula, and Computer program identifiers are sometimes included (if provided by the applicant).
CA	Image, Chemical formulae, Table, Gene sequence, Mathematical formula, and Computer program identifiers, as submitted by applicant, occur within the CA published patent documents.
CH	Image numbers are included in the description and XML tags. Tables, chemical and mathematical formulae are included in XML tags only.
ES	Chemical formulae, Table, Gene sequence, and Mathematical formula, and Computer program identifiers are included if the applicant indicates these.
GB	Image numbers are required by GB Law. The others can, but are not always, included.
ID	Non-textual identifiers are not available yet.
JP	Non-textual identifiers occur as [Chemical Formula], [Table 1], [Sequence Listing], and [Mathematical Formula].
NZ	IPONZ publishes (makes visible) the specification including non-textual identifiers as supplied with the application.
SK	Chemical formulae numbers, tables, gene sequences, and mathematical formulae are indicated if provided by the applicant.
WO	Rule 5.2 of the Regulations under the PCT prescribes the use of image numbers and gene sequences in published patent descriptions. Rule 11.10 of the Regulations under the PCT prescribes the use of Chemical and mathematical formulae numbers and Tables. Other non-textual elements are included, depending on drafting practices of applicant.

Total comments: 10

### SECTION 7: PARAGRAPH NUMBER DETAILS

*Note:* Participants were invited to complete this section if the published patent documents include paragraph numbers.

**Question 35.** Paragraph numbers are typically created by whom?

(Multiple selections were possible. See also the location identifiers [table](#) under the section 6 heading above.)

Option	Responses	Count	Percent
Applicant / Inventor:	AU, BR, CA, GB, JP, KR, MC, MG, MX, NZ, US, WO	12	75%
The IPO:	MD	1	6%
An external publisher:	CH, DE, EP, US	4	25%

Total responses: 16



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IPO	Comments – Question 35
EP	Sometimes the applicant includes paragraph numbers.
ID	Line numbers are typically created by the applicant.
PL	Paragraph numbers are not applicable.

Total comments: 3

### Question 36. *When are paragraph numbers recreated?*

(Multiple selections were possible.)

Option	Responses	Count	Percent
During the publication process:	CH, DE, EP, MD, US	5	50%
When numbered paragraphs are amended:	AU, CA, JP, KR, MX	5	50%

Total responses: 10

IPO	Comments – Question 36
ID	Paragraph numbers are not available yet.
MX	Paragraph numbers are recreated if the application is amended during the examination process.
PL	Recreation of paragraph numbers is not applicable.

Total comments: 3

### Question 37. *Describe any special treatment you give to long paragraphs.*

IPO	Comments – Question 37
AU	Long paragraphs are not given special treatment.
EP	None, the EP Office is not allowed to change long paragraphs.
JP	There is no restriction of the number of characters or words in each paragraph.
MX	Long paragraphs are not given special treatment.
PL	The question is not applicable to the PL Office.

Total comments: 37



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**Question 38.** 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.)

IPO	Comments – Question 38
AU	The applicant is to incorporate appropriate amendments to the paragraph numbering to ensure there is continuity in the specification.
CA	The CA Office has no fixed practice with regard to renumbering of subsequently amended paragraphs.
CH	Paragraphs are renumbered, e.g., in a corrected specification.
DE	New numbering is applied during any republication.
EP	Complete re-numbering of subsequently amended paragraphs occurs at the moment but the EP Office is working on better solutions with the Standards group.
JP	In case of the deletion of one paragraph, the paragraph number is left as a vacant number.
MX	The documents filed in accordance with any of the requirements referred to in Articles 50 and 55 of the Law or in the case of voluntary amendments may not contain additional materials or claims that give greater scope to the content of the original application considered as a whole.
PL	The question is not applicable to the PL Office.
US	Paragraphs are numbered at time of publication.

Total comments: 9

**Question 39.** If necessary, please provide additional comment on any part of the questions or answers given above in this section.

IPO	Comments – Question 39
AU	The use of paragraph numbers as location identifiers is optional and not a required format by the AU Office.
EA	The EA Office is mastering the technology of publication where paragraphs are numbered in XML format according to WIPO ST.36.
GB	The GB Office does not require paragraph numbering but where an applicant provides them they form part of the published document. Page and image numbers are required by GB law. Applicants are able to include line, paragraph, etc. numbers if they choose. For the majority of applications where chemical formulae, tables, etc. are included, they are provided with identifiers.
ML	The ML Office neither grants nor publishes patents. The patent applications filed with ML Office are forwarded to the African Intellectual Property Organization (OAPI) in Yaoundé (CAMEROON).
NZ	The NZ Office publishes patent documents as supplied by applicant. There is no amendment.
PL	The question is not applicable to the PL Office.
WO	Under Rule 11.8 of the Regulations under the PCT, “it is strongly recommended to number every fifth line of each sheet of the description, and of each sheet of claims”.

Total comments: 7





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SECTIONS 8-9: GENERAL QUESTIONS ABOUT CITATION PRACTICES

SECTION 8: EXAMPLES OF CITATION REFERENCES PUBLISHED BY YOUR IPO

(If this information is available.)

**Question 40.** *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.*

IPO	Comments – Question 40
AT	For numbers: AT 503821 A1; AT 502352 A1 (published applications) at <a href="http://www.patentamt.at/Home/Patentamt/Publikationsserver/14444.html">http://www.patentamt.at/Home/Patentamt/Publikationsserver/14444.html</a> , enter the publication number in the field “Veröffentlichungsnummer”, see the search reports at end of the documents.
AU	<ol style="list-style-type: none"> <li data-bbox="280 763 1394 819">1. AU 2002304976 B2 is found at <a href="http://pericles.ipaustralia.gov.au/aub/pdf/nps/2007/0712/2002304976B2/2002304976.pdf">http://pericles.ipaustralia.gov.au/aub/pdf/nps/2007/0712/2002304976B2/2002304976.pdf</a>,</li> <li data-bbox="280 819 1394 898">2. AU 2005210510 B2 is found at <a href="http://pericles.ipaustralia.gov.au/aub/pdf/nps/2006/0629/2005210510B2/2005210510.pdf">http://pericles.ipaustralia.gov.au/aub/pdf/nps/2006/0629/2005210510B2/2005210510.pdf</a> (see Bibliographic details, INID code 56 at the beginning of document).</li> </ol>
BE	BE 1 012 951 A3 at <a href="http://v3.espacenet.com/textdoc?DB=EPODOC&amp;IDX=BE1012951&amp;F=0">http://v3.espacenet.com/textdoc?DB=EPODOC&amp;IDX=BE1012951&amp;F=0</a> see the second paragraph of the description.
CA	CA 2, 262, 951 A1 found at <a href="http://patents.ic.gc.ca/cipo/cpd/en/patent/2262951/page/2262951_20040215_description.pdf">http://patents.ic.gc.ca/cipo/cpd/en/patent/2262951/page/2262951_20040215_description.pdf</a> on pages 1 and 1a.
CN	CN1283826A found at <a href="http://search.sipo.gov.cn/sipo/zljs/hyjs-yx-new.jsp?recid=CN200410047625.X&amp;leixin=fmzl&amp;title=便携式计算机&amp;ipc=G06F1/00">http://search.sipo.gov.cn/sipo/zljs/hyjs-yx-new.jsp?recid=CN200410047625.X&amp;leixin=fmzl&amp;title=便携式计算机&amp;ipc=G06F1/00</a> , see page 1 INID code [56].
CZ	See WO 2004/049786 see abstract, claims 1-7 and page 6, line 12 – 30.
DK	See DK 20040000473 on <a href="http://www.dkpto.dk/pvsonline/">http://www.dkpto.dk/pvsonline/</a> see the front page.
EA	<ol style="list-style-type: none"> <li data-bbox="280 1234 1394 1312">1. See EA application 200602235 A1 search report on <a href="http://v3.espacenet.com/pdfdoc?CY=ep&amp;LG=EN&amp;IDX=EA200602235&amp;QPN=EA200602235&amp;PGN=9">http://v3.espacenet.com/pdfdoc?CY=ep&amp;LG=EN&amp;IDX=EA200602235&amp;QPN=EA200602235&amp;PGN=9</a> or <a href="http://www.eapatis.com/scripts/MS.exe?;dbf_eapo 1 EA reestr,eapo\$PN\200602235">http://www.eapatis.com/scripts/MS.exe?;dbf_eapo 1 EA reestr,eapo\$PN\200602235</a>.</li> <li data-bbox="280 1312 1394 1368">2. See EA patent: 010040 B1 on the first page under INID code (56) at <a href="http://www.eapatis.com/scripts/MS.exe?;dbf_eapo 1 EA reestr,eapo\$PN\10040">http://www.eapatis.com/scripts/MS.exe?;dbf_eapo 1 EA reestr,eapo\$PN\10040</a></li> </ol>
EG	See EG 1999030215 on <a href="http://www.egypo.gov.eg/inner/report1.asp?lang=1">http://www.egypo.gov.eg/inner/report1.asp?lang=1</a> .
EP	See EP 1 903 619 A1 on <a href="http://ep.espacenet.com/publicationDetails/biblio?CC=EP&amp;NR=1903619A1">http://ep.espacenet.com/publicationDetails/biblio?CC=EP&amp;NR=1903619A1</a> , see the Search Report and the citation list at the end.
ES	<ol style="list-style-type: none"> <li data-bbox="280 1491 1394 1547">1. ES 2289943 A1 at <a href="http://v3.espacenet.com/origdoc?DB=EPODOC&amp;IDX=ES2289943&amp;F=0&amp;QPN=ES2289943">http://v3.espacenet.com/origdoc?DB=EPODOC&amp;IDX=ES2289943&amp;F=0&amp;QPN=ES2289943</a>.</li> <li data-bbox="280 1547 1394 1603">2. ES 2288793 A1 at <a href="http://v3.espacenet.com/origdoc?DB=EPODOC&amp;IDX=ES2288793&amp;F=0&amp;QPN=ES2288793">http://v3.espacenet.com/origdoc?DB=EPODOC&amp;IDX=ES2288793&amp;F=0&amp;QPN=ES2288793</a></li> </ol> <p data-bbox="280 1603 1394 1637">For both examples above, see the search report at the end of the document.</p>
FR	<ol style="list-style-type: none"> <li data-bbox="280 1659 1394 1738">1. FR2876689A1 at <a href="http://fr.espacenet.com/publicationDetails/biblio?CC=FR&amp;NR=2876689A1&amp;KC=A1&amp;DB=fr.espacenet.com&amp;locale=fr_FR">http://fr.espacenet.com/publicationDetails/biblio?CC=FR&amp;NR=2876689A1&amp;KC=A1&amp;DB=fr.espacenet.com&amp;locale=fr_FR</a> see pages 2, 3, 12, 29 and 30.</li> <li data-bbox="280 1738 1394 1816">2. FR2849089 at <a href="http://fr.espacenet.com/searchResults?locale=fr_FR&amp;DB=fr.espacenet.com&amp;ST=advanced&amp;PN=fr2849089">http://fr.espacenet.com/searchResults?locale=fr_FR&amp;DB=fr.espacenet.com&amp;ST=advanced&amp;PN=fr2849089</a> see pages 2, 51 and 52.</li> </ol>
GB	GB2442146 - (GB 0722209.4) on <a href="http://www.ipo.gov.uk/patent/p-find/p-find-publicationgetPDF.pdf?PatentNo=GB2442146&amp;DocType=A&amp;JournalNumber=6201">http://www.ipo.gov.uk/patent/p-find/p-find-publicationgetPDF.pdf?PatentNo=GB2442146&amp;DocType=A&amp;JournalNumber=6201</a> see Front page bibliographic data and the Search report at the end of the document.
GE	GE P 2002 2756 B, B 03 B 09/04, 09/06; B 03 C 01/00 at <a href="http://www.sakpatenti.org.ge/index.php?sec_id=46&amp;lang_id=ENG&amp;cat=1&amp;patent_id=10192">http://www.sakpatenti.org.ge/index.php?sec_id=46&amp;lang_id=ENG&amp;cat=1&amp;patent_id=10192</a> [view “Full text” or see <a href="http://www.sakpatenti.org.ge/DB/fulltexts/P20022756B.pdf">http://www.sakpatenti.org.ge/DB/fulltexts/P20022756B.pdf</a> ] see the first page of specification INID code (56).





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### SECTION 9: ADDITIONAL COMMENTS ABOUT CITATION PRACTICES

**Question 41.** *If applicable, please make any further comments.*

(E.g., you may wish to comment on difficult aspects of citation practices for your IPO:  
– users are confused about the part of a document a citation reference was referring to;  
– citation references do not refer to the authentic rendering of a patent document;  
– it is not clear how or whether to state a url as part of a citation reference.)

IPO	Comments – Question 41
AU	<ol style="list-style-type: none"><li>1. It is not clear how to cite multi-link websites as a single citation reference (where multiple URLs must be cited).</li><li>2. It is not clear how to cite translated material, in particular when Internet machine translation tools are used.</li></ol>
EA	The EA Office for publication uses information on references from international search reports (if available for a corresponding patent). The reference section in these reports contain technical errors, misprints. As some references contain texts in foreign languages, correction of such mistakes is difficult for the EA Office, thus mistakes in foreign languages are repeated.
EP	It can be a difficult area if the examiner cites the ORIGINAL filing rather than the re-formatted PUBLISHED file.
HU	If the patent application is a PCT application the HU Office refers to the International Search Report in the HU Search Report.
MD	It is not clear how to cite prior art disclosures if the prior art disclosures comprise the data available to the public in the form of use of a technical solution (but without presence of any documents in written form).
MX	The documents available and their formats do not allow reference to citation references for the time being. As an additional comment, at the request of a party, prior art searches are allowed, but not those linked to the processing of a patent where a classification equivalent to indicators of importance (for example, X and Y in accordance with paragraph 14 of WIPO Standard ST.14) is used.
NZ	The NZ Office does not publish citation references per se. Some citation references are available as of right to the public if a request is made.
PL	The PL Office is not presently intending to make available citation references, neither in the form of a part of its published patent documents nor as a database solution. The PL Office is presently overloaded with earlier obligations that are to be finalized. The PL Office appreciates this survey questionnaire that highlights the very important issue regarding dissemination of patent information.
RU	Regarding question 40 (second field), to find an RU document one can use Online DB equipped with extended searching facilities and English interface ( <a href="http://www.fips.ru/ensite/">http://www.fips.ru/ensite/</a> ). For free access login: guest; password: guest Select "Abstracts Russian Patents" database and define the query using "Number of Patent Document" field. To see full text (e.g. for pp. i) and iii)), please, activate the link to PDF format.  Regarding difficult aspects: The RU Office face the major difficulties when citing non-patent Internet sources, since they often have no Digital Object Identifier and their publication data is not sufficient for citing.

Total comments: 9

[Part 3 follows]

