

专利合作条约(PCT) 工作组

第九届会议
2016年5月17日至20日，日内瓦

修订 WIPO 标准 ST. 14

国际局编拟的文件

1. 本文件载有 WIPO 标准 ST. 14 的修订稿，将提交定于 2016 年 3 月 21 日至 24 日举行的 WIPO 标准委员会 (CWS) 第四届会议续会审议和批准 (文件 CWS/4BIS/3)。
2. 国际局将就标准委员会有关文件 CWS/4BIS/3 的讨论成果向工作组做口头汇报。
3. *请工作组注意本文件的内容。*

[后接文件 CWS/4BIS/3]

世界知识产权组织标准委员会 (CWS)

第四届会议续会

2016年3月21日至24日，日内瓦

修订 WIPO 标准 ST. 14

秘书处编拟的文件

导 言

1. WIPO 标准委员会 (CWS) 在 2012 年 4 月至 5 月举行的第二届会议上，同意设立第 45 号任务，修订 WIPO 标准 ST. 14 “在专利文献中列入引证参考文献的建议”。标准委员会还决定成立 ST. 14 工作队处理修订工作(见文件 CWS/2/14 第 28 段至第 31 段)。
2. 上述第 45 号任务由两部分组成：
 - (a) 考虑文件 CWS/2/6 第 7 段、第 10 段至第 14 段中所述的意见和提案草案，编写一项关于修订 WIPO 标准 ST. 14 第 14 段中规定的类型代码的提案。
 - (b) 对修订关于非专利文献引文类别标注方法的各项建议以使 WIPO 标准 ST. 14 与国际标准 ISO 690:2010(信息与文献—参考文献与信息资源引文指南)相一致的便利性进行研究。如果认为可以修订，则编写相应提案。
3. 在 2014 年 5 月举行的标准委员会第四届会议上，国际局提交了关于修订 WIPO 标准 ST. 14 的状态报告(见文件 CWS/4/5)。标准委员会被要求考虑文件 CWS/4/5 第 9 段中列出的利弊，决定以“N”类和“I”类替代“X”类的建议是否适宜。
4. 标准委员会非正式商定，暂停第 45 号任务的第一部分。工作队被要求着重于任务的第二部分，即：对修订关于非专利文献引文类别标注方法的各项建议以使 WIPO 标准 ST. 14 与国际标准

ISO 690:2010(信息与文献—参考文献与信息资源引文指南)相一致的便利性进行研究。并决定，待任务第二部分完成之后，再进行第一部分。

工作队的讨论

5. 2014 年 5 月之后，ST.14 工作队于 2015 年 6 月在日内瓦举行了一次会议，就第 45 号任务第二部分进行了七轮讨论，就第一部分(类型代码)以及修订后的 WIPO 标准 ST.14 草案终稿进行了两轮讨论。

类型代码

6. 在第 45 号任务第一部分的框架内，工作队讨论了“E”类、“O”类和“P”类定义的修订，以及用新的“N”类和“I”类替代“X”类的建议。(见文件 CWS/2/6、文件 CWS/3/4 第 5 段至第 9 段和文件 CWS/4/5 第 7 段至第 12 段。)

7. 关于“X”类，经过认真考虑拟议替代的利与弊之后，工作队成员的结论是，最好保持“X”类不变，不增加新的“N”类和“I”类。

8. 标准委员会在 2013 年 4 月举行的第三届会议上同意，“E”类和“O”类与其他类型的组合使用应当是可选的(见文件 CWS/3/14 第 35 段)，但在讨论这一问题的时候，工作队认为可以为“O”类提出更强的建议。工作队成员同意，“O”类应始终与“X”类、“Y”类或“A”类之一一并使用，以便提供有关引证参考文献相关性的充分信息(见 WIPO 标准 ST.14 修订稿第 20 段)。

9. 关于“E”类，由于各局做法上存在重大差异，工作组未能达成协商一致，现请标准委员会考虑该类定义的以下三种备选方案：

(a) 删除“但是”，且不增加关于该类与其他类组合使用的建议：

“E”类：《PCT 实施细则》细则 33.1(c) 中定义的在先专利文献，**但是**在国际申请日当天或之后公布。

(b) 删除“但是”，且增加一项建议，“E”类与其他类的组合使用是可选的(“可以”)：

“E”类：《PCT 实施细则》细则 33.1(c) 中定义的在先专利文献，**但是**在国际申请日当天或之后公布。代码“E”可以与“X”类、“Y”类或“A”类之一一并使用

(c) 删除“但是”，且增加一项更强、但仍可选的建议，与其他类组合使用“E”类(“最好”)：

“E”类：《PCT 实施细则》细则 33.1(c) 中定义的在先专利文献，**但是**在国际申请日当天或之后公布。代码“E”最好与“X”类、“Y”类或“A”类之一一并使用

10. 后附标准修订稿反映了上文第 9 段(c)项中提出的第三种方案，因为它与标准委员会的指导相一致(见上文第 8 段)，并在工作队讨论的某个时间点在工作队内部取得了协商一致。

11. 工作组还编写了“P”类经修订的定义，将其范围扩大到包括(国际)申请日之前、申请中要求的优先权日当天或者之后公开的文献。

非专利文献

12. 按上文第 4 段中提到的决定，ST. 14 工作队就修订关于非专利文献引文类别标注方法的各项建议编写了一项提案。工作队提出的主要修改如下：

- (a) 增加关于引证有多名作者的文献的建议；
- (b) 增加关于引证标准制定组织所编写文献的建议；
- (c) 增加关于说明公布内容格式的建议，如文本、音频、视频或多媒体；
- (d) 提出关于说明引证文献来源和所在地的详细建议；
- (e) 提出关于非英文或检索报告语言以外其他语种非专利文献引文的建议；以及
- (f) 若干文字修改。

WIPO 标准 ST. 14 修订稿

13. 工作队编写的 WIPO 标准 ST. 14 的修订稿转录于本文件附件，现提交标准委员会审议和批准。

14. 请标准委员会：

(a) 注意本文件的内容；

(b) 审议上文第 9 段中提出的“E”类定义的三种方案，并就修订后的 WIPO 标准 ST. 14 应采用哪一种作出决定；并

(c) 审议并批准本文件附件中转载的 WIPO 标准 ST. 14 的拟议修订。

[后接附件]

STANDARD ST.14

RECOMMENDATION FOR THE INCLUSION OF REFERENCES
CITED IN PATENT DOCUMENTS

Editorial Note prepared by the International Bureau

STANDARD ST.14

RECOMMENDATION FOR THE INCLUSION OF REFERENCES CITED IN PATENT DOCUMENTS

*Revision adopted by the SCIT Standards and Documentation Working Group
at its ninth session on February 21, 2008*

Proposal presented by the ST.14 Task Force for consideration and adoption at the CWS/4BIS

INTRODUCTION

1 Articles published in scientific and technical journals often contain a certain number of references to earlier publications. Patent applications also very often contain (e.g., in the descriptions of the inventions) references to earlier patents or patent applications, or other industrial property rights. In the course of the procedure for obtaining a patent, patent examiners cite one or several patent documents or other documents which describe similar or closely related technical solutions to the one described in a patent application being examined, in order to illustrate the prior art.

2 Applications for patents are examined by a governmental authority or intergovernmental authority which, as a rule, is an industrial property office. A patent for invention is granted if the application complies with the formal requirements and, depending on whether and to what extent an "examination as to substance" is carried out, if the invention fulfills the substantive requirements of the respective patent law.

3 When patent applications are examined or search reports are established therefor, a certain number of patent documents and other documents might be cited as references to illustrate the prior art by the industrial property office (including a regional Office, and an International Searching Authority under the PCT).

4 Some industrial property offices, but not all of them, bring these cited references to the attention of the general public, by including them in a published patent document. The present Recommendation is intended to generalize the inclusion in patent documents of "reference(s) cited" during the patent examination procedure, to standardize the way in which the said references should be presented in the patent document and to recommend a preferred place, where the "reference(s) cited" should appear.

DEFINITIONS

5 For the purposes of this Recommendation, the term "patents" includes such industrial property rights as patents for inventions, plant patents, design patents, inventors' certificates, utility certificates, utility models, patents of addition, inventors' certificates of addition, and utility certificates of addition.

6 For the purposes of this Recommendation, the expression "patent applications" or "applications for patents" includes applications for patents for inventions, plant patents, design patents, inventors' certificates, utility certificates, utility models, patents of addition, inventors' certificates of addition, and utility certificates of addition.

7 For the purposes of this Recommendation, the expression "patent documents" includes patents for inventions, plant patents, design patents, inventors' certificates, utility certificates, utility models, patents of addition, inventors' certificates of addition, utility certificates of addition, and published applications therefor.

~~Applications for patents are examined by a governmental authority or intergovernmental authority which, as a rule, is an industrial property office. A patent for invention is granted if the application complies with the formal requirements and, depending on whether and to what extent an "examination as to substance" is carried out, if the invention fulfills the substantive requirements of the respective patent law.~~

~~When patent applications are examined or search reports are established therefor, a certain number of patent documents and other documents might be cited as references to illustrate the prior art by the industrial property office (including a regional Office, and an International Searching Authority under the PCT).~~

REFERENCES

8 References to the following Standards are of relevance to this Recommendation:

- | | |
|------------------------------------|------------------------------------------------------------------------------------------------------|
| WIPO Standard ST.1 | Recommendation Concerning the Minimum Data Elements Required to Uniquely Identify a Patent Document; |
| WIPO Standard ST.2 | Standard Manner for Designating Calendar Dates by Using the Gregorian Calendar; |

WIPO Standard ST.3	Recommended Standard on Two-Letter Codes for the Representation of States, Other Entities and Intergovernmental Organizations;
WIPO Standard ST.9	Recommendation Concerning Bibliographic Data on and Relating to Patents and SPCs;
WIPO Standard ST.13	Recommendation for the Numbering of Applications for Industrial Property Rights (IPRs);
WIPO Standard ST.16	Recommended Standard Code for the Identification of Different Kinds of Patent Documents;
WIPO Standard ST.20	Recommendations for the Preparation of Name Indexes to Patent Documents;
International Standard ISO 4:1997	"Information and Documentation – Rules for the abbreviation of title words and titles of publications";
International Standard ISO 690:2010	1987 "Documentation – Bibliographic references – Content, form and structure"; "Information and documentation – Guidelines for bibliographic references and citations to information resources"
International Standard ISO 690 2:1997	"Information and documentation – Bibliographic references – Part 2: Electronic documents or parts thereof";
International Standard ISO 999:1996	"Information and documentation – Guidelines for the content, organization and presentation of indexes".

RECOMMENDATION

9 It is recommended that industrial property offices should include in their granted patents and in their published patent applications all relevant references cited in the course of a search or examination procedure.

10 It is recommended that the "List of references cited" be identified by INID code (56).

11 It is recommended that the "List of references cited" appear either

- (a) on the first page of the patent document or
- (b) in a search report attached to the patent document.

12 It is recommended that if the "List of references cited" appears in a search report attached to the patent document, (e.g., under the PCT procedure) this should be indicated on the first page of the patent document.

13 It is recommended that the documents in the "List of references cited" be organized in a sequence suitable to the users' needs, this sequence being clearly illustrated in the presentation of the said list. The following is an example of a sequence of documents cited:

- (a) domestic patent documents;
- (b) foreign patent documents;
- (c) non-patent literature.

In search reports, however, the documents may be cited in the order of their pertinence.

14 Identification of any document or announcement cited, and available in paper form or in a page-oriented presentation mode (e.g., facsimile, microform, etc.) shall be made by indicating the following elements in the order in which they are listed:

(a) *In the case of a patent document:*

- (i) the industrial property office that issued the document, by the two-letter code (WIPO Standard [ST.3](#));
- (ii) the number of the document as given to it by the industrial property office that issued it (for Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document);
- (iii) the kind of document, by the appropriate symbols as indicated on the document under WIPO Standard [ST.16](#) or, if not indicated on that document, as provided in that Standard, if possible;
- (iv) ⁽¹⁾the name of the patentee or applicant (in capital letters and, where appropriate, abbreviated)⁽³⁾;

- (v) ⁽²⁾the date of publication of the cited patent document (using four digits for a year designation according to the Gregorian Calendar) or, in case of a corrected patent document, the date of issuance of the corrected patent document as referred to under INID code (48) of WIPO Standard [ST.9](#) and, if provided on the document, the supplementary correction code as referred to under INID code (15);
- (vi) ⁽¹⁾where multiple renderings of the same document are published (e.g., PDF and HTML), an indication of the location and format (e.g., PDF) of the cited document;
- (vii) ⁽¹⁾paragraph numbers, sentence numbers and line numbers to describe the specific location of the cited material within a document if they are available;
- (viii) ⁽¹⁾claim numbers, figure numbers, chemical formula numbers, mathematical formula numbers, table heading numbers, gene sequence numbers, and computer program listing numbers if available;
- (ix) ⁽¹⁾if no paragraph numbers exist, or if the paragraph is long, use page numbers, column numbers, and line numbers (if available) to describe the specific location of the cited material within a document;
- (x) ⁽¹⁾specific headings within the document structure such as *Best Mode of Performing the Invention* or *Industrial Applicability* can be indicated if page, paragraph, and line numbers are not available;
- (xi) ⁽¹⁾specific passages of the text can be indicated if the format of the document includes pagination or an equivalent internal referencing system, or by the first and last words.

The following examples illustrate the citation of a patent document according to paragraph (a), above:

- Example 1: JP 10-105775 A (NCR INTERNATIONAL INC) 24 April 1998, paragraphs [0026] to [0030].
- Example 2: DE 3744403 A1 (JOSEK, A) 1991.08.29, page 1, abstract.
- Example 3: SE 504901 C2 (SWEP INTERNATIONAL AB) 1997-05-26, claim 1.
- Example 4: US 5635683 A (MCDERMOTT, RM et al.) June 3, 1997, column 7, lines 21 to 40.
- Example 5: ES 2156718 A1 (AGQ SL) 1 July 2001, the whole document.
- Example 6: WO97/28071 A1 corrected version (GENERAL SIGNAL CORP) available 1998-05-07, page 3 lines 20-28.
- Example 7: WO 2007/077970 A1 (MEIJI DAIRIES CORP) 2007.07.12, paragraph [0019] from “[14] Another aspect ... assumes 30%-60%”.

(b) *In the case of a published intellectual property office document or announcement, e.g., registered industrial design, registered trademark, published pending trademark and registered copyright documents, not specifically provided for elsewhere under paragraph 142:*

- (i) the intellectual property office that issued the document or announcement, by the two-letter code (WIPO Standard [ST.3](#));
- (ii) the serial number of the application or registration or the number of the document or announcement as given to it by the intellectual property office that issued it;
- (iii) the type of intellectual property office document or announcement (e.g., registered industrial design, trademark registration, trademark application, copyright registration, etc.);
- (iv) ⁽¹⁾the name of the applicant or owner (in capital letters and, where appropriate, abbreviated);⁽³⁾
- (v) where applicable, the title of the gazette in which the application or registration was announced and the issue designation of the gazette;
- (vi) the date of publication using four digits for the year designation (where year, month and day are available, the provisions of WIPO Standard [ST.2](#) should be applied);
- (vii) ⁽¹⁾where applicable, the location of relevant passages or figures within the document or announcement;
- (viii) if considered necessary, the standard identifier and the number assigned to the item, e.g., ISSN 0250-7730.

The following examples illustrate the citation of a document or announcement according to paragraph (b), above:

- Example 1: WO DM/032099, Industrial Design (POWER-PACKER EUROPA B.V.) 1995-04-28, International Designs Bulletin February 1995, No. 2, pages 752 and 753, figures 1.1 and 1.3, ISSN 0250-7730.
- Example 2: DE M 94 01 995, Geschmacksmuster, Geschmacksmusterblatt, Heft 15, 1994.08.10, S. 3810.
- Example 3: US TXu-499-733, copyright registration, ELSTON, William J, 1991.12.16.
- Example 4: ES M 0279288, trademark registration (SUDNIF SA) 2001-05-16.

(c) *In the case of a monograph or parts thereof, e.g., contributions to conference proceedings, etc.:*

- (i) the name of the author (in capital letters)⁽³⁾; in the case of a contribution, the name of the author of the contribution; In case of multiple authors, preferably, all names should be entered, alternatively the name of the first author should be entered followed by "et al.";
- (ii) in the case of a contribution, the title of the contribution followed by "In:";
- (iii) the title of the monograph; in the case of a contribution, the designation of the editorship;
- (iv) in the case of conference proceedings, the conference title, date, number, place (if available);
- (v) the number of the edition;
- (vi) ⁽¹⁾the place of publication and the name of the publisher (where only the location of the publisher appears on the monograph, then that location shall be indicated as the place of publication; in the case of company publications, the name and postal address of the company);
- (vii) the year of publication, by four digits⁽⁴⁾;
- (viii) if applicable available, the standard identifier and number assigned to the item, e.g., ISBN 2-7654-0537-9, ISSN 1045-1064. It should be noted that these numbers may differ for the same title in the print and electronic versions;
- (ix) ⁽¹⁾the location within the monograph by indicating the pages, columns, lines or paragraph numbers where the relevant passages appear, or the relevant figures of the drawings (if where applicable).

The following examples illustrate the citation of a monograph (Example 1), as well as of published conference proceedings (Example 2), according to paragraph (c), above:

- Example 1: WALTON, Herrmann. Microwave Quantum Theory. London: Sweet and Maxwell, 1973, Vol.2, ISBN 5-1234-5678-9, pages 138 to 192, especially pages 146 to 148.
- Example 2: SMITH et al. Digital demodulator for electrical impedance imaging. In: IEEE Engineering in Medicine & Biology Society, 11th Annual Conference. Edited by Y. Kim et al. New York: IEEE, 1989, Vol.6, p. 1744-5.

(d) *In the case of an article published in a periodical or other serial publication:*

- (i) the name of the author (in capital letters)⁽³⁾; In case of multiple authors, preferably, all names should be entered, alternatively the name of the first author should be entered followed by "et al.";
- (ii) the title of the article (where appropriate, abbreviated or truncated) in the periodical or other serial publication;
- (iii) the title of the periodical or other serial publication (abbreviations conforming to generally recognized international practice may be used; see "[PCT Minimum Documentation - List of Periodicals](#)", Part 4);
- (iv) the location within the periodical or other serial publication by indicating date of issue by four digits for the year designation, issue designation, pagination of the article (where year, month and day are available, the provisions of WIPO Standard [ST.2](#) should be applied);
- (v) where applicable if available, the standard identifier and number assigned to the item, e.g., ISBN 2-7654-0537-9, ISSN 1045-1064. It should be noted that these numbers may differ for the same title in the printed and electronic versions;
- (vi) ⁽¹⁾where applicable, the relevant passages of the article and/or the relevant figures of the drawings.

The following example illustrates the citation of an article published in a periodical or other serial publication according to paragraph (d), above:

Example: DROP, JG. Integrated Circuit Personalization at the Module Level. IBM tech. dis. bull. October 1974, Vol.17, No.5, pages 1344 and 1345, ISSN 2345-6789.

(e) *In the case of an abstract not published together with the full text document which serves as its basis:*

the identification of the document containing the abstract, the abstract and the full text document shall be made on the basis of the bibliographic data available in respect thereof.

The following examples illustrate the citation of an abstract according to paragraph (e), above:

Example 1: SHETULOV, DI. Surface Effects During Metal Fatigue. Fiz.-Him. Meh. Mater. 1971, 7(29), 7-11 (Russ.). Columbus, OH, USA: Chemical abstracts, Vol. 75, No. 20, 15 November 1971, page 163, column 1, abstract No. 120718k.

Example 2: JP 3-2404 A (FUDO). Patent abstracts of Japan, Vol. 15, No. 105 (M-1092), 1991.03.13 (abstract).

Example 3: SU 1374109 A (KARELIN, VI) 1988.02.15. (abstract), Soviet Patent Abstracts, Section E1, Week 8836, London: Derwent Publications Ltd., Class S, AN 88-255351.

(f) *In the case of a document produced by a Standards Defining Organization (SDO), e.g., ISO, ITU, ETSI:*

(i) if available, the name(s) of the author (in capital letters)⁽³⁾. In case of multiple authors, preferably, all names should be entered, alternatively the name of the first author should be entered followed by "et al.";

(ii) if available, the title;

(iii) the full name, or alternatively, the well-known acronym of the SDO in capital letters, including, if available, the relevant working group;

(iv) the unique standard reference number as used by the SDO, potentially including the id, the version, etc.;

(v) the date of publication using four digits for the year designation (where year, month and day are available, the provisions of WIPO Standard ST.2 should be applied);

(vi) if available, the standard identifier and number assigned to the item, e.g., ISSN 2017-1721. It should be noted that these numbers may differ for the same title in the printed and electronic versions;

(vii) where applicable, the location of relevant paragraphs, passages or figures within the document.

Depending on the publication procedures applied by the SDO, it may not be possible to follow the order of elements listed above.

The following examples illustrate the citation of documents produced by SDOs, according to paragraph (f), above:

Example 1: IP Multimedia Call Control Protocol based on Session Initiation Protocol (SIP) and Session Description Protocol (SDP) Stage 3. 3rd GENERATION PARTNERSHIP PROJECT. TS 24.403 V1.8.1; 2007-12-01

alternatively: IP Multimedia Call Control Protocol based on Session Initiation Protocol (SIP) and Session Description Protocol (SDP) Stage 3. 3GPP TS24.403 V1.8.1; 2007-12-01

Example 2: SPENCER, M et al. IAX: Inter-Asterisk eXchange. Version 2. INTERNET ENGINEERING TASK FORCE. RFC 5456; 2010-02-27; ISSN: 2070-1721

alternatively: SPENCER, M et al. IAX: Inter-Asterisk eXchange. Version 2. IETF RFC 5456; 2010-02-27; ISSN: 2070-1721

Example 3: EL-KHATIB, K. et al. Multiplexing Scheme for RTP Flows between Access Routers. INTERNET ENGINEERING TASK FORCE. draft-ietf-avt-multiplexing-rtp-01; 1999-06-24

alternatively: EL-KHATIB, K. et al. Multiplexing Scheme for RTP Flows between Access Routers. IETF draft-ietf-avt-multiplexing-rtp-01; 1999-06-24

Example 4: GILADI, Alex et al. Segment Integrity and Authenticity for DASH; INTERNATIONAL ORGANISATION FOR STANDARDISATION. ISO/IEC JTC1/SC29/WG11 MPEG2012/m24716; 2012-05-03

Example 5: HING-KAM LAM, ALCATEL-LUCENT. G8052 Virtual Meeting #66; INTERNATIONAL TELECOMMUNICATION UNION. ITU Study Group 15, Working Party 3, Question(s): 14/15; 201-07-062

15 Identification of an electronic document, e.g., retrieved from a CD-ROM, the Internet or from an online database accessible outside the Internet, shall be made in the manner indicated in subparagraphs 12.14(a), (b), (c), (d), (e) and (ef), above, as far as possible and completed, as suggested in the items below.

Attention is drawn to the following items which are modeled after guidelines provided by the International Organization for Standardization's established Standard ISO 690-2 "Information and documentation—Bibliographic references—Part 2: Electronic documents or parts thereof". These items should be provided in the locations indicated:

(i) type of medium in square brackets [] after the title of the publication or the designation of the host document, e.g., [online] [CD-ROM] [disk] [magnetic tape]. If desired, the type of publication (e.g., monograph, serial, database, electronic mail, computer program, bulletin board) may also be specified in the type of medium designator;

(ii) format of publication content in square brackets [] after the type of medium, e.g., [text], [audio], [video], [multimedia]. This element may be omitted for text publications as they constitute the majority of documents cited. [Text] is, therefore, considered to be the default format;

(iii) date when the document was retrieved from the electronic media in square brackets [], following the date of publication [retrieved on 1998-03-04];

(iv) identification of the source of the document (e.g., name of internet platform, online database, CD-ROM series) using the preceded by words "Retrieved from", followed by the identifier (e.g., internet address, accession number in an online database, or number of the document within a CD-ROM) allowing retrieval of this document from the source. This identifier is optional if the citation contains other elements that already specify the location of the document in the source. Similarly, for documents retrieved from the Internet, the identification of the source is optional, provided the location identifier already specifies the source, and its address where applicable; Both source and identifier should be enclosed in a single pair of triangular brackets <... >. This item will precede the citation of the relevant passages;

(v) ⁽⁶⁾ reference to the unique Digital Object Identifier (DOI) number, or other unique identification number, in triangular brackets, e.g., <doi:10.1006/jmbi.1998.2354>, if known available;

(vi) if available and considered necessary, the standard identifier and number assigned to the item, e.g., ISBN 2-7654-0537-9, ISSN 1045-1064. It should be noted that these numbers may differ for the same title in the printed and electronic versions;

(vii) ⁽¹⁾ where multiple renderings of the same document are published (e.g., PDF and HTML), an indication of the format (e.g., paper, PDF) and the location of the cited document;

(viii) ⁽¹⁾ use paragraph numbers, sentence numbers and line numbers (if available) to describe the specific location of the cited material within an electronic document;

(ix) ⁽¹⁾ claim numbers, figure numbers, chemical formula numbers, mathematical formula numbers, table heading numbers, gene sequence numbers, and computer program listing numbers if available;

(x) ⁽¹⁾ specific headings within the document structure such as *Best Mode of Performing the Invention* or *Industrial Applicability* can be indicated if page, paragraph, and line numbers are not available in a cited patent document in electronic format;

(xi) specific passages of the text can be indicated if the format of the document includes pagination or an equivalent internal referencing system, or by their first and last words.

Office copies of an electronic document should be retained if the same document may not be available for retrieval in the future. This is especially important for sources such as the Internet and online databases.⁽⁵⁾

If an electronic document is also available in paper form or in a page-oriented presentation mode (see paragraph 12.14, above) it does not need to be identified as an electronic document, unless it is considered desirable or useful to do so.

The following examples illustrate citations of electronic documents:

Examples 1-4: Documents retrieved from online databases outside the Internet

Example 1: SU 1511467 A (BRYAN MECH) 1989-09-30 (abstract) *World Patents Index* [database online]. Derwent Publications, Ltd. [retrieved on 1998-02-24]. Retrieved from: <Questel. DW9016, Accession No. 90-121923>.

- Example 2: DONG, XR. Analysis of patients of multiple injuries with AIS-ISS and its clinical significance in the evaluation of the emergency managements. *Chung Hua Wai Ko Tsa Chih*, May 1993, Vol. 31, No. 5, pages 301-302, (abstract) Medline [online]: United States National Library of Medicine [retrieved on 24 February 1998]. Retrieved from: <Dialog. Medline Accession no. 94155687, Dialog Accession No. 07736604>.
- Example 3: JENSEN, BP. Multilayer printed circuits: production and application II. *Elektronik*, June-July 1976, No. 6-7, pages 8, 10,12,14,16. (abstract) INSPEC [online]. London, U.K.: Institute of Electrical Engineers [retrieved on 1998-02-24]. Retrieved from: <STN International, USA. Accession No. 76:956632>.
- Example 4: JP 3002404 A (Tamura Toru) 1991-03-13 (abstract). [online] [retrieved on 1998-09-02]. Retrieved from: <EPOQUE PAJ Database>.
- Examples 5-175: Documents retrieved from the Internet
- Example 5: (Electronic patent document – not page based) – two examples
- 5.1. WO 2004/091307 A2 (ADVANCED BIONUTRITON CORP) 2004-10-28, paragraphs [0068], [0069]; examples 2,6.
 - 5.2. GB 2,432,062 A (GE INSPECTION TECHNOLOGY LP) 2007.05.09, Detailed Description, third paragraph beginning 'Referring to Figure 2'.
- Example 6: (Electronically registered Intellectual Property – other than patent documents)
- HU D9900111 Industrial Design Application, (HADJDÚTEJ TEJIPARI RT, DEBRECEN) 2007-07-19, [database online], [retrieved on 1999-10-26] Retrieved from the Industrial Design Database of the Hungarian Patent Office, using Internet<URL: http://elajstrom.hpo.hu/?lang=EN>.
- Example 7: (Entire Work – Book or Report)
- WALLACE, S, and BAGHERZADEH, N. Multiple Branch and Block Prediction. *Third International Symposium on High-Performance Computer Architecture* [online], February 1997 [retrieved on 2007-07-18]. Retrieved from the Internet: <URL: IEEE Explore Digital Library, http://ieeexplore.ieee.org/xpl/freeabs_all.jsp?tp=&arnumber=569645&isnumber=12370> <doi:10.1109/HPCA.1997.569645>.
- Example 8: (Part of Work – chapter or equivalent designation)
- National Research Council, Board on Agriculture, Committee on Animal Nutrition, Subcommittee on Beef Cattle Nutrition. Nutrient Requirements of Beef Cattle [online]. 7th revised edition. Washington, DC: National Academy Press, 1996 [retrieved on 2007-07-19]. Retrieved from the Internet: <URL: the National Academies Press, http://books.nap.edu/openbook.php?record_id=9791&page=24> Chapter 3, page 24, table 3-1, ISBN-10: 0-309-06934-3.
- Example 9: (Electronic Serial – articles or other contributions)
- AJTAI, Miklos. Generating Hard Instances of Lattice Problems. *Electronic Colloquium on Computational Complexity, Report TR96-007* [serial online], [retrieved on 1996-01-30]. Retrieved from the Internet: <the Electronic Colloquium on Computational Complexity forum, URL: http://eccc.hpi-web.de/pub/eccc/reports/1996/TR96-007/index.html>.
- Example 10: OWEN, RW et al. Olive-oil consumption and health: the possible role of antioxidants. *Lancet Oncology*, Vol 1, No. 2, 1 October 2000 , pp. 107-112 [online], [retrieved on 2007-07-18]. Retrieved from the Internet: <URL: http://www.ingentaconnect.com/content/els/14702045/2000/00000001/00000002/art0001> <doi:10.1016/S1470-2045(00)00015-2>
- Example 11: (Electronic bulletin boards, message systems, and discussion lists – Entire System)
- BIOMET-L (A forum for the Bureau of Biometrics of New York) [bulletin board online]. Albany (NY): Bureau of Biometrics, New York State Health Department, July, 1990 [retrieved 1998-02-24]. Retrieved from the Internet: <listserv@health.state.ny.us>, message: subscribe BIOMET-L your real name>.

- Example 12: (Electronic bulletin boards, message systems, and discussion lists – Contributions)
PARKER, Elliott. Re: citing electronic journals. In PACS-L (Public Access Computer Systems Forum) [online]. Houston (TX): University of Houston Libraries, November 24, 1989; 13:29:35 CST [retrieved on 1998-02-24]. Retrieved from the Internet: <URL: telnet://bruser@a.cni.org>.
- Example 13: (Electronic mail)
Plumb design of a visual thesaurus. *The Scout Report* [online]. 1998, vol. 5 no. 3 [retrieved on 1998.05.18]. Retrieved from <Internet electronic mail: <listserv@cs.wisc.edu>, subscribe message: info scout-report, Retrieved from the Internet: <URL: http://scout.wisc.edu/Reports/ScoutReport/1998/scout-980515.html#13> ISSN: 1092-3861.
- Example 14: (Product Manual/Catalogue or other information obtained from a Web-site)
Corebuilder 3500 Layer 3 High-function Switch. Datasheet [online]. 3Com Corporation, 1997 [retrieved on 1998-02-24]. Retrieved from the Internet: <URL: http://www.3com.com/products/dsheets/400347.html>.
- Example 15: (Video)
Sapolsky, Robert. Introduction to Human Behavioral Biology. YouTube [online] [video]. Stanford : University of Stanford, March 29, 2010 [retrieved on 2015.09.15]. Retrieved from <https://www.youtube.com/watch?v=NNnIGh9g6fA>
- Example 16: (Audio)
Takahashi, Rie; Miller, Jeffrey. Human ThyA: Original chord and rhythm assignment. Gene2music examples [online] [audio]. Los Angeles : UCLA, Faculty of Microbiology, Immunology & Molecular Genetics [retrieved on 2015.09.16]. Retrieved from <http://www.mimg.ucla.edu/faculty/miller_jh/gene2music/AUDIO/ThyAhomosapiens.mid>
- Example 17: (Multimedia)
Destination Direct Flight Planning. [online] [multimedia]. Deltatec, February 1, 1996. Retrieved from <http://web.archive.org/web/20030707191020/http://www.flightplan.com/DD_DEMO.EXE>
- Examples 185 and 196: Documents retrieved from CD-ROM products
- Example 158: JP 08000085 A (TORAY IND INC), (abstract) [CD-ROM], 1996-05-31. In: Retrieved from <Patent Abstracts of Japan> [CD-ROM].
- Example 196: HAYASHIDA, O et al. Specific molecular recognition by chiral cage-type cyclophanes having leucine, valine, and alanine residues. [CD-ROM]. Retrieved from <Chemical Abstracts, CAS Abstract 124:9350> *Tetrahedron* 1955, Vol. 51 (31), p. 8423-36. In: Chemical Abstracts [CD-ROM]. CAS Abstract 124:9350.

16 For non-patent literature citations in a language other than English, it is recommended that an official translation into English, if one exists and it is available, be provided in round brackets after the original (non-English) reference. For the purposes of this Standard, an "official translation" means an existing rendering of the original language name or title in English coming from the same source as the citation and useful for identifying and retrieving the relevant document.

17 In case an official translation into English is not available for some elements of the original citation, an informal translation into English for those elements may optionally be provided after all elements of any official translation. Any informal translation should be preceded by the text "non-official translation".

18 In order to facilitate locating a copy of the cited non-patent document by foreign users and possible translations of the reference, it is recommended that, where possible, the elements of the citation be presented in a language-neutral way (for example, representation of calendar dates should follow recommendations of ST.2).

19 For citing non-patent literature documents in a language other than the language of the search report, it is recommended to include the reference in the original language of the document followed by a translation into English as per paragraphs 16 and 17, above, if English is not the original language of the document. Further translation of the reference into the language of the search report, where the search report is not in English, may optionally be included in square brackets after the translation into English.

The following examples illustrate citations according to paragraphs 16 to 19 above:

Example 1: *There was an existing official English translation of at least the title available online which can be used to retrieve the original document and possibly a full translation of the original document.*

永田治樹. ライブラリーコンソーシアムの歴史と現状. 情報の科学と技術. 1997-11-01, 47(11), pp. 566-573. ISSN: 0913-3801. (NAGATA, Haruki. Library Consortia: Past and Present. The Journal of Information Science and Technology Association.)

Example 2: *There was an official translation of the name of the journal, but the journal did not provide an English rendering of the title of the article; an informal translation of the article title is provided for information purposes to help the reader understand the nature of the document.*

森田唯加他. 新たな心臓前駆細胞制御因子と階層性の理解. 血管. 2012-01-31, 35(1), p. 37(1). ISSN: 0911-4637, (Japanese Journal of Circulation Research), non-official translation (MORITA, Yuika et al. Novel Regulatory Factors for Cardiac Progenitor Cells and the Hierarchy Thereof.)

Example 3: *Citing a document in a language other than the language of the search report. This example illustrates the citation of the document in Korean in the search report prepared in Japanese. As there is no translation available, no English information has been added. A Japanese translation (prepared by the examiner) has been added in square brackets.*

엄성인 외 5명. 데이터베이스를 이용한 가스산업시설의 안전관리정보시스템 구축. 한국가스학회지. 1998-06, 2(2), pp. 48-54. ISSN: 1226-8402. [データベースを利用するガス産業施設の安全管理情報システムの構築]

Example 4: *Citing a document in a language other than the language of the search report, for which the official English translation is available, with optional translation into the language of the search report. This example illustrates the citation of the document in Korean in the search report prepared in Japanese.*

강 현 재. 줄기세포의 심혈관계 임상적용. 대한의사협회지. 2011-05. 54(5). pp. 462-467. (KANG, Hyun-Jae. Clinical Application of Stem Cell in Cardiovascular Diseases. J. Korean Med. Assoc.) [幹細胞の心血管疾患への臨床応用]

20 It is recommended that any document (reference) referred to in paragraph 79, above, and cited in the search report should be indicated by the following letters or a sign to be placed next to the citation of the said document (reference):

(a) *Categories indicating cited documents (references) of particular relevance:*

Category "X": The claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone;

Category "Y": The claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

(b) *Categories indicating cited documents (references) of other relevant prior art:*

Category "A": Document defining the general state of the art which is not considered to be of particular relevance;

Category "D": Document cited by the applicant in the application and which document (reference) was referred to in the course of the search procedure. Code "D" should always be accompanied by one of the categories indicating the relevance of the cited document;

Category "E": Earlier patent document as defined in Rule 33.1(c) of the Regulations under the PCT, but published on or after the international filing date. Code "E" should preferably be accompanied by one of the categories "X", "Y" or "A";

Category "L": Document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (the reason for citing the document shall be given);

Category "O": Document referring to an oral disclosure, use, exhibition or other means. Code "O" should always be accompanied by one of the categories "X", "Y" or "A";

Category "P": Document published prior to the filing date (in the case of the PCT, the international filing date) but later than on or after the priority date claimed in the application. Code "P" should always be accompanied by one of the categories "X", "Y" or "A";

Category “T”: Later document published after the filing date (in the case of the PCT, the international filing date) or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention;

Category “&”: Document being a member of the same patent family or document whose contents have not been verified by the search examiner but are believed to be substantially identical to those of another document which the search examiner has inspected.

21 The list of cited documents (references) given in the search report should indicate, conforming to the generally recognized practice of the International Searching Authorities under the Patent Cooperation Treaty, the respective claim(s) of the patent application to which the citation is considered to be relevant.

22 The category codes referred to in paragraph 4.20, above, are intended primarily for use in the context of search reports accompanying published patent applications. However, if industrial property offices wish to indicate the relevance of cited documents (references) listed on the first page of a published patent application, they should print the category codes in parentheses, immediately after each citation.

Note: Further detailed information on definitions of terms used in this Standard or on the inclusion of references cited can be found in International Standard ISO 690:1987, “Documentation – Bibliographic References – Content, Form and Structure”, 2010, “Information and documentation – Guidelines for bibliographic references and citations to information resources”. Guidance for the abbreviation of titles of articles can be obtained through International Standard ISO 4:1997, “Information and Documentation – Rules for the Abbreviation of Title Words and Titles of Publications”.

[End of Standard]

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- (1) These elements are to be indicated only in a search report.
 - (2) The elements of item (v), having relevance to a corrected patent document, should be indicated together with the other data referred to under subparagraph 4.3(a)(i) to (iii).
 - (3) Where a surname can be identified, forenames or initials should follow the surname. Such surnames and initials should be given in capital letters.
 - (4) When the year of publication coincides with the year of the application or of the priority claim, the month and, if necessary, the day of publication of a monograph or parts thereof should be indicated in accordance with the provisions set out in WIPO Standard [ST.2](#).
 - (5) It should be noted that while an Internet address citation resulting from a search by a search engine may no longer be an active (i.e., usable) Internet address (e.g., [Example 8](#)), it may contain information which could be of use in locating the cited document or web page. For example, the home page where the document was found or the contents of the search statement may be located within the Internet address and can provide valuable information especially when considered along with the other information contained in the citation (e.g., title, author, publication date, standard identifier, etc.). Queries to the Webmaster or other staff of the relevant Internet home page may also be helpful.
 - (6) The Digital Object Identifier (DOI) is a system for identifying content objects in the digital environment. DOIs are names assigned to any entity, such as a scientific article, for use on digital networks. DOIs are used to provide current information, including where they can be found on the Internet. Information about a digital object may change over time, including where to find it, but the DOI number will not change. Refer to <http://www.doi.org/index.html>.

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