

# WIPO



SCIT/SDWG/1/6

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**WORLD INTELLECTUAL PROPERTY ORGANIZATION**

GENEVA

**E**

## **STANDING COMMITTEE ON INFORMATION TECHNOLOGIES**

### **STANDARDS AND DOCUMENTATION WORKING GROUP**

#### **First Session**

**Geneva, May 28 to 30, 2001**

#### **EXAMPLE TO ILLUSTRATE A CITATION OF AN ELECTRONIC DOCUMENT (CHANGE OF URL)**

*Document prepared by the Secretariat*

1. When finalizing the revision of WIPO Standard ST.14, in December 1999, the Standards and Documentation Working Group (SDWG) agreed to request the United States Patent and Trademark Office (USPTO) and the European Patent Office (EPO) to examine the URL provided for in Example 6 of paragraph 13 of the revised Standard ST.14. The two Offices were requested to investigate whether such an extended form of the URL would be necessary for the identification of an electronic document under the current policy set out in Standard ST.14 (see paragraphs 23 to 25 of document SCIT/WG/2/12).
2. Subsequent to the above-mentioned request by the SDWG, the Trilateral Offices have discussed the matter on the basis of a study made by the USPTO and reached agreement that no changes need to be made to Example 6 in paragraph 13. At the same time, the Trilateral Offices recommend that a footnote be added to the first paragraph following sub-paragraph 13(iv), or elsewhere in Standard ST.14. The footnote should provide

information explaining how to obtain useful information from a URL even if it is no longer active. The following text is suggested for the footnote:

<sup>1</sup> 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, 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.

The proposal by the Trilateral Offices is contained in Annex I to this document.

3. The Secretariat has inserted the proposed amendment on pages 5 and 7 of WIPO Standard ST.14, which appears as Annex II to this document.

*4. The SDWG is invited to consider the proposal made by the Trilateral Offices and to agree on its reflection in Standard ST.14.*

[Annexes follows]

SCIT/SDWG/1/6

ANNEX I



UNITED STATES PATENT AND TRADEMARK OFFICE

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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, DC 20231  
www.uspto.gov

April 10, 2001

Mr. K.-P. Wittig  
Deputy Director  
Inter-Office Information Services Department  
World Intellectual Property Organization  
34, chemin des Colombettes  
1211 Geneva 20  
SWITZERLAND

Re: WIPO SCIT/SDWG/1 - Report on a possible change of the URL provided for in Example 6, paragraph 13 of WIPO Standard ST.14

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Dear Mr. Wittig:

The enclosed report is in response to the request of the SCIT Standards and Documentation Working Group (SCIT/WG/2) that an inquiry be made into whether or not the long URL provided in Example 6, paragraph 13 of WIPO Standard ST.14 should be changed.

After a study into the matter by the US Patent and Trademark Office (USPTO), the Trilateral Offices (European Patent Office, Japan Patent Office and USPTO) agree that there is no need to change Example 6. A footnote is recommended for inclusion in the standard, however, to explain the value of such URLs in obtaining a copy of the document cited.

We look forward to discussing this matter at the upcoming working group meeting.

Sincerely,

**/Robert W. Saifer/**

Robert W. Saifer, Director  
International Liaison Staff

Enclosure

## **Report on a possible change of the URL provided for in Example 6, paragraph 13 of WIPO Standard ST.14**

### **I. Background**

WIPO Standard ST.14 was revised in 1999 to include instructions on how to cite electronic document citations in patent documents. In particular, paragraph 13 was added to give detailed instructions. In short, electronic documents should be cited in the same manner as indicated in paragraph 12 for paper documents, etc. as far as possible. Paragraph 13 provided additional items unique to electronic documents that should also be included.

Of interest with regard to the current topic is paragraph 13(iii), which states:

(iii) identification of the source of the document using the words "Retrieved from" and its address where applicable; this item will precede the citation of the relevant passages;

In the 14 examples which are included in paragraph 13, documents obtained from the Internet all include a reference to the Internet followed by the URL of the Internet address, e.g., Retrieved from the Internet: URL: <http://www.uspto.gov>. This follows the guidance given by ISO Standard 690-2 (section 5). Likewise, the format of the WIPO Standard ST.14 examples parallels those in ISO 690-2.

Example 6 in paragraph 13 of WIPO Standard ST.14 includes a very long URL:

"Example 6: (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 1998-06-10]. Retrieved from the Internet: < URL: <http://www2.nap.edu/htbin/docpage?title=Nutrient+Requirements+of+Beef+Cattle%3A+Seventh+Revised+Edition%2C+1996&dload=0&path=/ext5/extra&name=054265%2Erdo&docid=00805F50FE7b%3A840052612&colid=4%7C6%7C41&start=38>> Chapter 3, page 24, table 3-1."

The use of such a long URL was debated prior to its inclusion in Standard ST.14 as an example. It was argued that a shorter URL could be found for the same reference. It was concluded, however, that it would be undesirable to ask an examiner to spend time searching for a shorter URL when all he/she had to do was cut and paste the URL in-hand into his/her reference citation. It was noted that examiners are under pressure to expedite their examination of patent applications and should not be wasting time looking for a shorter Internet address for something they have already found.

At the SCIT Standards and Documentation Working Group meeting in December 1999 (SCIT/WG/2), while discussing another matter related to ST.14, the issue was raised that the URL in Example 6 was actually the result of a search and as such was probably no longer an active Internet address. It was questioned whether such citations were of any value. The USPTO and EPO were asked to look into the matter.

## **II. Results of the investigation**

A search on the Internet using the cited URL in Example 6 was not successful. No page could be retrieved. However, a quick glance at the contents of the cited URL showed it came from <http://www2.nap.edu>. When that address didn't work, the number "2" was dropped from the address. That address worked and gave the home page of the National Academy Press, which has a search box provided on it. By entering the text "Nutrient Requirements of Beef Cattle" which was found in the URL (and also given elsewhere in the citation) the cited document was easily located. The web page allowed the retrieval and printing of the cited Table 3-1 on page 24 of the document. Copies of the relevant web pages found and the resulting documents are Annexes 1 and 2 [see Appendices 1 and 2], respectively.

The above search took very little ingenuity and only a couple minutes to find the referenced document. It shows that the URL citation, while no longer valid by itself, contains useful information that can be exploited by a searcher. In addition, the remainder of the citation gave sufficient information to locate the document from other sources.

It should also be noted that WIPO Standard ST.14, paragraph 13, in the first paragraph following subparagraph (iv) states:

"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."

Since Example 6 was retrieved from the Internet, the examiner should also have retained a copy of the document in case future attempts to retrieve the document were unsuccessful. Therefore, a copy of the document could have been found in the files of the Intellectual Property Office (IPO) publishing the citation in its patent document.

Furthermore, a query by an examiner to the Webmaster or other staff of the organization maintaining the Internet Web site might also yield a copy of the document or the needed information. The cited URL could contain useful information to them in locating the document from their archives or from other sources at their disposal.

The same guidance by the standard would also be useful in cases where there is no real document to cite, e.g., data collected by a search system and temporarily displayed on a computer display. The URL would tell others where to search and the rest of the citation information would give information useful as input into the search. Again, the other citation information provided would allow for searches by other means, e.g. other search systems, libraries, etc. If needed, the copy retained by the IPO should enable the cited information to be obtained by a searcher.

## **III. Conclusion**

WIPO Standard ST.14 follows the ISO 690-2 format as much as possible and recommends providing sufficient information and/or copies to enable retrieval of cited electronic references. Specifically, it recommends:

- a) inclusion of the location where the document was retrieved from (e.g., Internet along with a URL)
- b) inclusion of the other citation information normally provided when citing paper documents (e.g., author, title, publication date, standard identifier, etc.) which will be useful in searches of the cited Internet source or other sources of such information
- c) retention of a copy of the cited document if it might not be retrievable in the future, (e.g., documents or information found on the Internet).

These factors, as well as the ease with which a copy of the cited document was found, suggest that no changes need to be made to Example 6 in paragraph 13 of WIPO Standard ST.14.

To provide users with as much help as possible, however, it is recommended that a footnote be added to the first paragraph following subparagraph 13(iv), or elsewhere in Standard ST.14. The footnote should provide information explaining how to obtain useful information from a URL even if it is no longer active. The following text is suggested for the footnote:

<sup>1</sup> 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, 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.

[Appendix 1 follows]

APPENDIX 1

**World Wide Web (WWW) pages found using information provided by  
WIPO Standard ST.14, Paragraph 13, Example 6**



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Annex I, page 6  
Appendix 1, page 2

The screenshot shows a Netscape browser window with the address bar containing the URL: <http://books.nap.edu/nap-cgi/newsrch.cgi?term=Nutrient+Requirements+of+Beef+Cattle>. The page header identifies the publisher as 'nap.edu' for 'THE NATIONAL ACADEMIES' and 'NATIONAL ACADEMY PRESS'. A search bar contains the text 'Nutrient Requirements of Beef Ca'. Below the search bar, a message states: 'You can modify the term or phrase to modify your results. You may want to try clicking on any of these single terms to start a new, broader search: [Nutrient Requirements], [Requirements of], [of Beef], [Beef Cattle], [Nutrient], [Requirements], [Beef], [Cattle]'. A link is provided to 'or start an entirely new search.' The main content area explains that 20 books matching the query are displayed, with a note that the search of over 20,000 chapters took 5 seconds. The first result is 'Nutrient Requirements of Beef Cattle: Seventh Revised Edition: Update 2000 (2000, 248 pp.)' by the 'Subcommittee on Beef Cattle Nutrition, Committee on Animal Nutrition, National Research Council'. A list of sections is provided: Acknowledgments (pp. ix-x), Table of Contents (pp. xi-xiv), Preface (pp. vii-viii), Front Matter (pp. i-vi), Overview (pp. 1-2), 1. Energy (pp. 3-15), 2. Protein (pp. 16-21), 3. Growth and Body Reserves (pp. 22-39), 4. Reproduction (pp. 40-53), 5. Minerals (pp. 54-74), and 10 other chapters. To the right of the book listing is a promotional box for 'READ IT ONLINE FREE!' with a 'BUY IT 20% OFF' badge and a price of '\$34.95' for the paperback. A 'SEARCH WITHIN THIS BOOK' search bar is also present. The browser's status bar at the bottom shows the URL <http://www.nap.edu>.



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Appendix 1, page 3

Nat'l Academy Press, Nutrient Requirements of Beef Cattle: [2000], page 24, in chapter 3 Growth and - Netscape

File Edit View Go Communicator Help

Back Forward Reload Home Search Netscape Print Security Shop Stop

Bookmarks Location: <http://books.nap.edu/books/0309069343/html/24.html#pagetop>

### 24 Nutrient Requirements of Beef Cattle

TABLE 3-1 Relationship of Stage of Growth and Rate of Gain to Body Composition, Based on NRC 1984 Medium-Frame Steer

Shrunk ADG, kg	Shrunk body weight, kg						
	200	250	300	350	400	450	500
	<i>NE<sub>r</sub> required, Mcal/d<sup>a</sup></i>						
0.6	1.48	1.99	2.28	2.56	2.83	3.09	3.34
0.8	2.31	2.73	3.13	3.51	3.88	4.24	4.59
1.0	2.95	3.48	4.00	4.49	4.96	5.42	5.86
1.3	3.93	4.65	5.33	5.98	6.61	7.22	7.81
	<i>Protein in gain, percent<sup>b</sup></i>						
0.6	20.4	19.5	18.8	18.0	17.3	16.6	16.0
0.8	18.7	17.6	16.5	15.5	14.6	13.6	12.7
1.0	17.0	15.6	14.2	13.0	11.7	10.5	9.3
1.3	14.4	12.5	10.7	9.0	7.3	5.7	4.2
	<i>Fat in gain, percent<sup>c</sup></i>						
0.6	5.9	9.7	13.2	16.6	19.9	23.1	26.2
0.8	13.6	15.7	23.6	28.2	32.5	37.1	41.4
1.0	21.4	27.9	34.1	40.1	45.6	51.5	56.9
1.3	22.3	29.0	35.4	41.5	47.4	53.2	58.7
	<i>Body fat, percent</i>						
0.6	11.6	10.8	10.9	11.5	12.3	13.4	14.5
0.8	11.6	12.5	13.9	15.6	17.5	19.4	21.4
1.0	11.6	14.2	17.0	19.9	22.5	25.6	28.5
1.3	11.6	14.4	17.4	20.4	23.4	26.4	29.3
1 then 1.3	11.6	14.2	17.0	20.1	23.1	26.1	29.1

<sup>a</sup>Computed from the 1984 NRC equation which was determined from 72 comparative slaughter experiments (Garrett, 1990): retained energy (RE) = 0.0035 EBW<sup>0.75</sup> EBG<sup>0.75</sup>, where EBW is 0.89 SBW and EBG is 956 SBG.

<sup>b</sup>Computed from the equations of Garrett (1987), which were determined from the 1984 NRC data base: proportion of fat in the shrunk body weight gain = 0.122 RE - 0.146 and proportion of protein = 0.248 - 0.0094 RE. The proportion of fat and protein in the gain is for the body weight and ADG; the RE is computed for.

<sup>c</sup>Percent body fat was determined when grown at 1 kg ADG to 300 kg and 1.3 kg ADG to each subsequent weight as described above.

of the line corresponding to the weight at 25 percent body fat. Weight at the same 12th rib lipid content varied 170 kg among steers of different biological types (Cundiff et al., 1981). The first NRC net energy system (National Research Council, 1976) used the Lofgreen and Garrett (1968) system to predict energy requirements, which was based on British breed steers given an estrogenic implant. From 1970 to 1990, larger mature-size European breed sires were increasingly used with the U.S. base British breed cow herd, resulting in the development of more diverse types of cross in the United States. This change, about with

some type of size-scaling approach to adjust for differences in weight at a given composition. The Commonwealth Scientific and Industrial Research Organization (CSIRO) system (Commonwealth Scientific and Industrial Research Organization, 1990) uses one table of energy requirements for proportion of a standard reference weight, then gives a table of "standard reference weights" for different breed types. This standard reference weight is defined as the weight at which skeletal development is complete and the empty body contains 25 percent fat, which corresponds to a condition score 2.0 on a 5-point scale (Oliver et al., 1986).

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<http://books.nap.edu/books/0309069343/html/25.html#pagetop>

[Appendix 2 follows]

APPENDIX 2

**Cited reference found using information provided by  
WIPO Standard ST.14, Paragraph 13, Example 6**

**Nutrient Requirements of Beef Cattle: Seventh Revised Edition: Update 2000**  
<http://www.nap.edu/openbook/0309069343/html/R1.html>, copyright, 2000 The National Academy of Sciences, all rights reserved

**Nutrient  
Requirements  
of Beef Cattle  
Seventh Revised Edition, 1996**

Subcommittee on Beef Cattle Nutrition  
Committee on Animal Nutrition  
Board on Agriculture  
National Research Council

**Nutrient Requirements of Beef Cattle: Seventh Revised Edition: Update 2000**  
http://www.nap.edu/openbook/0309069343/html/R1.html, copyright, 2000 The National Academy of Sciences, all rights reserved

**24 Nutrient Requirements of Beef Cattle**

TABLE 3-1 Relationship of Stage of Growth and Rate of Gain to Body Composition, Based on NRC 1984 Medium-Frame Steer

Shrunk ADG, kg	Shrunk body weight, kg						
	200	250	300	350	400	450	500
	<i>NE<sub>e</sub> required, Mcal/d<sup>a</sup></i>						
0.6	1.68	1.99	2.28	2.56	2.83	3.09	3.34
0.8	2.31	2.73	3.13	3.51	3.88	4.24	4.59
1.0	2.95	3.48	4.00	4.49	4.96	5.42	5.86
1.3	3.93	4.65	5.33	5.98	6.61	7.22	7.81
	<i>Protein in gain, percent<sup>b</sup></i>						
0.6	20.4	19.5	18.8	18.0	17.3	16.6	16.0
0.8	18.7	17.6	16.5	15.5	14.6	13.6	12.7
1.0	17.0	15.6	14.2	13.0	11.7	10.5	9.3
1.3	14.4	12.5	10.7	9.0	7.3	5.7	4.2
	<i>Fat in gain, percent<sup>c</sup></i>						
0.6	5.9	9.7	13.2	16.6	19.9	23.1	26.2
0.8	13.6	18.7	23.6	28.2	32.8	37.1	41.4
1.0	21.4	27.9	34.1	40.1	45.6	51.5	56.9
1.3	22.3	29.0	35.4	41.5	47.4	53.2	58.7
	<i>Body fat, percent</i>						
0.6	11.6	10.8	10.9	11.5	12.3	13.4	14.5
0.8	11.6	12.5	13.9	15.6	17.5	19.4	21.4
1.0	11.6	14.2	17.0	19.9	22.8	25.6	28.5
1.3	11.6	14.4	17.4	20.4	23.4	26.4	29.3
1 then 1.3	11.6	14.2	17.0	20.1	23.1	26.1	29.1

<sup>a</sup>Computed from the 1984 NRC equation which was determined from 72 comparative slaughter experiments (Garrett, 1980); retained energy (RE) = 0.0635 EBW<sup>0.75</sup> - 0.00015 EBW<sup>2.0</sup>, where EBW is 0.891 SBW and EBC is .956 SBC.

<sup>b</sup>Computed from the equations of Garrett (1987), which were determined from the 1984 NRC data base; proportion of fat in the shrunk body weight gain = 0.122 RE - 0.146, and proportion of protein = 0.248 - 0.0264 RE. The proportion of fat and protein in the gain is for the body weight and ADG the RE is computed for.

<sup>c</sup>Percent body fat was determined when grown at 1 kg ADG to 300 kg and 1.3 kg ADG to each subsequent weight as described above.

of the line corresponding to the weight at 28 percent body fat. Weight at the same 12th rib lipid content varied 170 kg among steers of different biological types (Cundiff et al., 1981). The first NRC net energy system (National Research Council, 1976) used the Lofgreen and Garrett (1968) system to predict energy requirements, which was based on British breed steers given an estrogenic implant. From 1970 to 1990, larger mature-size European breed sires were increasingly used with the U.S. base British breed cow herd, resulting in the development of more diverse types of cows in the United States. This change, along with the use of sire evaluation programs that led to selection for larger body size to achieve greater absolute daily gain, resulted in an increase in average steer slaughter weights. The preceding edition of this volume (National Research Council, 1984) provided equations for medium- and large-frame cattle to adjust requirements for these changes. The current population of beef cattle in the United States varies widely in biological type and slaughter weight. By 1991, steers slaughtered averaged 542 kg, 48 percent choice with a weight range of 399 to 644 kg (M. Berwin, U.S. Department of Agriculture Market News data, Des Moines, IA, personal communication, 1992).

All systems developed since the NRC 1984 system use

some type of size-scaling approach to adjust for differences in weight at a given composition. The Commonwealth Scientific and Industrial Research Organization (CSIRO) system (Commonwealth Scientific and Industrial Research Organization, 1990) uses one table of energy requirements for proportion of a standard reference weight, then gives a table of "standard reference weights" for different breed types. This standard reference weight is defined as the weight at which skeletal development is complete and the empty body contains 25 percent fat, which corresponds to a condition score 3 on a 0 to 5 scale. Oltjen et al. (1986) developed a mechanistic model to predict protein accretion from initial and mature DNA content, with the residual between net energy available for gain and that required for protein synthesis assumed to be deposited as fat. The animal's current weight as a proportion of mature weight is used to adjust for differences in mature size and use of implants.

The Institut National de la Recherche Agronomique (INRA) system (Institut National de la Recherche Agronomique, 1989) uses allometric relationships between the EBW and SBW, the weight of the chemical components, and the weight of the fat-free body mass to predict energy and protein requirements. Coefficients in the equations are

[Annex II follows]

ANNEX II

**STANDARD ST.14**

RECOMMENDATION FOR THE INCLUSION OF REFERENCES  
CITED IN PATENT DOCUMENTS

*Revision adopted by the Standing Committee on Information Technologies  
at its fourth Plenary session on December 10, 1999*

DEFINITIONS

1. 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.
2. 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.
3. 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.

BACKGROUND

4. 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.
5. 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

6. References to the following Standards are of relevance to this Recommendation:

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 Patents, SPCs, Industrial Designs and Layout-Designs of Integrated Circuits;
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 690:1987	"Documentation – Bibliographic references – Content, form and structure";
International Standard ISO 690-2:1997	"Information and documentation – Bibliographic references – Part 2: Electronic documents or parts thereof."

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RECOMMENDATION

7. 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.
8. It is recommended that the "List of references cited" be identified by INID code (56).
9. 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.
10. 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.
11. 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) other non-patent literature.

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

12. 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) <sup>(1)</sup>the name of the patentee or applicant (in capital letters and, where appropriate, abbreviated)<sup>(3)</sup>;
  - (v) <sup>(2)</sup>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) <sup>(1)</sup>where applicable, the pages, columns, lines or paragraph numbers where the relevant passages appear, or the relevant figures of the drawings.

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, R. M. et al.) June 3, 1997, column 7, lines 21 to 40.

(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 12:*

- (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 (if possible, together with the letter code designating the type of industrial property right according to WIPO Standard ST.13);
- (iii) the type of intellectual property office document or announcement (e.g., registered industrial design, trademark registration, trademark application, copyright registration, etc.);
- (iv) <sup>(1)</sup>the name of the applicant or owner (in capital letters and, where appropriate, abbreviated),<sup>(3)</sup>
- (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) <sup>(1)</sup>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.

(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)<sup>(3)</sup>; in the case of a contribution, the name of the author of the contribution;
- (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) the number of the edition;
- (v) <sup>(1)</sup>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);
- (vi) the year of publication, by four digits<sup>(4)</sup>;
- (vii) where applicable, 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;
- (viii) <sup>(1)</sup>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 (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.

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- (d) *In the case of an article published in a periodical or other serial publication:*
- (i) the name of the author (in capital letters)<sup>(3)</sup>;
  - (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 Appendix 1 to this Standard);
  - (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, 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;
  - (vi) <sup>(1)</sup>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, J.G. 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, D.I. 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, the 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, V. I.) 1988.02.15. (abstract), Soviet Patent Abstracts, Section E1, Week 8836, London: Derwent Publications Ltd., Class S, AN 88-255351.

13. 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(a), (b), (c), (d) and (e), 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]. If desired, the type of publication (e.g. monograph, serial, database, electronic mail) may also be specified in the type of medium designator;
- (ii) date when the document was retrieved from the electronic media in square brackets, following the date of publication [retrieved on 1998-03-04];
- (iii) identification of the source of the document using the words "Retrieved from" and its address where applicable; this item will precede the citation of the relevant passages;
- (iv) specific passages of the text could be indicated if the format of the document includes pagination or an equivalent internal referencing system, or by their first and last words.

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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.<sup>(6)</sup>

If an electronic document is also available in paper form or in a page-oriented presentation mode (see paragraph 12, 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 [online]. London, U.K.: Derwent Publications, Ltd. [retrieved on 1998-02-24]. Retrieved from: Questel/Orbit, Paris, France. DW9016, Accession No. 90-121923.
- Example 2: Dong, X. R. '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]. Bethesda, MD, USA: United States National Library of Medicine [retrieved on 24 February 1998]. Retrieved from: Dialog Information Services, Palo Alto, CA, USA. Medline Accession no. 94155687, Dialog Accession No. 07736604.
- Example 3: Jensen, B. P. 'Multilayer printed circuits: production and application II'. Electronik, 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, Columbus, Ohio, 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 5-12: Documents retrieved from the Internet
- Example 5: (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 1998-05-20]. Retrieved from the Internet:<URL: <http://www.eng.uci.edu/comp.arch/papers-wallace/hpca3-block.ps>>.
- Example 6: (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 1998-06-10]. Retrieved from the Internet: < URL: <http://www2.nap.edu/htbin/docpage/title=Nutrient+Requirements+of+Beef+Cattle%3A+Seventh+Revised+Edition%2C+1996&dload=0&path=/ext5/extra&name=054265%2Erdo&docid=00805F50FE7b%3A840052612&colid=4%7C6%7C41&start=38>> Chapter 3, page 24, table 3-1.
- Example 7: (Electronic Serial – articles or other contributions)
- Ajtai. Generating Hard Instances of Lattice Problems. Electronic Colloquium on Computational Complexity, Report TR96-007 [online], [retrieved on 1996-01-30]. Retrieved from the Internet < URL: <ftp://ftp.eccc.uni-trier.de/pub/eccc/reports/1996/TR96-007/index.html>>.
- Example 8: (Electronic bulletin boards, message systems, and discussion lists – Entire System)
- BIOMET-L (A forum for the Bureau of Biometrics of New York) [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 9: (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>.



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- Example 10: (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. ISSN: 1092-3861.
- Example 11: (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: www.3com.com/products/dsheets/400347.html>.
- Example 12: HU D9900111 Industrial Design Application, (HADJDÚTEJ TEJIPARI RT, DEBRECEN) 1999-09-28, [online], [retrieved on 1999-10-26] Retrieved from the Industrial Design Database of the Hungarian Patent Office using Internet  
<URL: http://www.hpo.hu/English/db/indigo/>
- Examples 13 and 14: Documents retrieved from CD-ROM products
- Example 13: JP 08000085 A (TORAY IND INC), (abstract), 1996-05-31. In: Patent Abstracts of Japan [CD-ROM].
- Example 14: Hayashida, O. et. al.: Specific molecular recognition by chiral cage-type cyclophanes having leucine, valine, and alanine residues. In: Tetrahedron 1955, Vol. 51 (31), p. 8423-36. In: CA on CD [CD-ROM]. Columbus, OH: CAS. Abstract 124:9350.

14. It is recommended that any document (reference) referred to in paragraph 7, 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;

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;

Category "P": Document published prior to the filing date (in the case of the PCT, the international filing date) but later than 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.

15. 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.

16. The category codes referred to in paragraph 14, 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." 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."

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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 13(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, 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.

[End of Annex II and of document]