

Citation Processing in the EPO

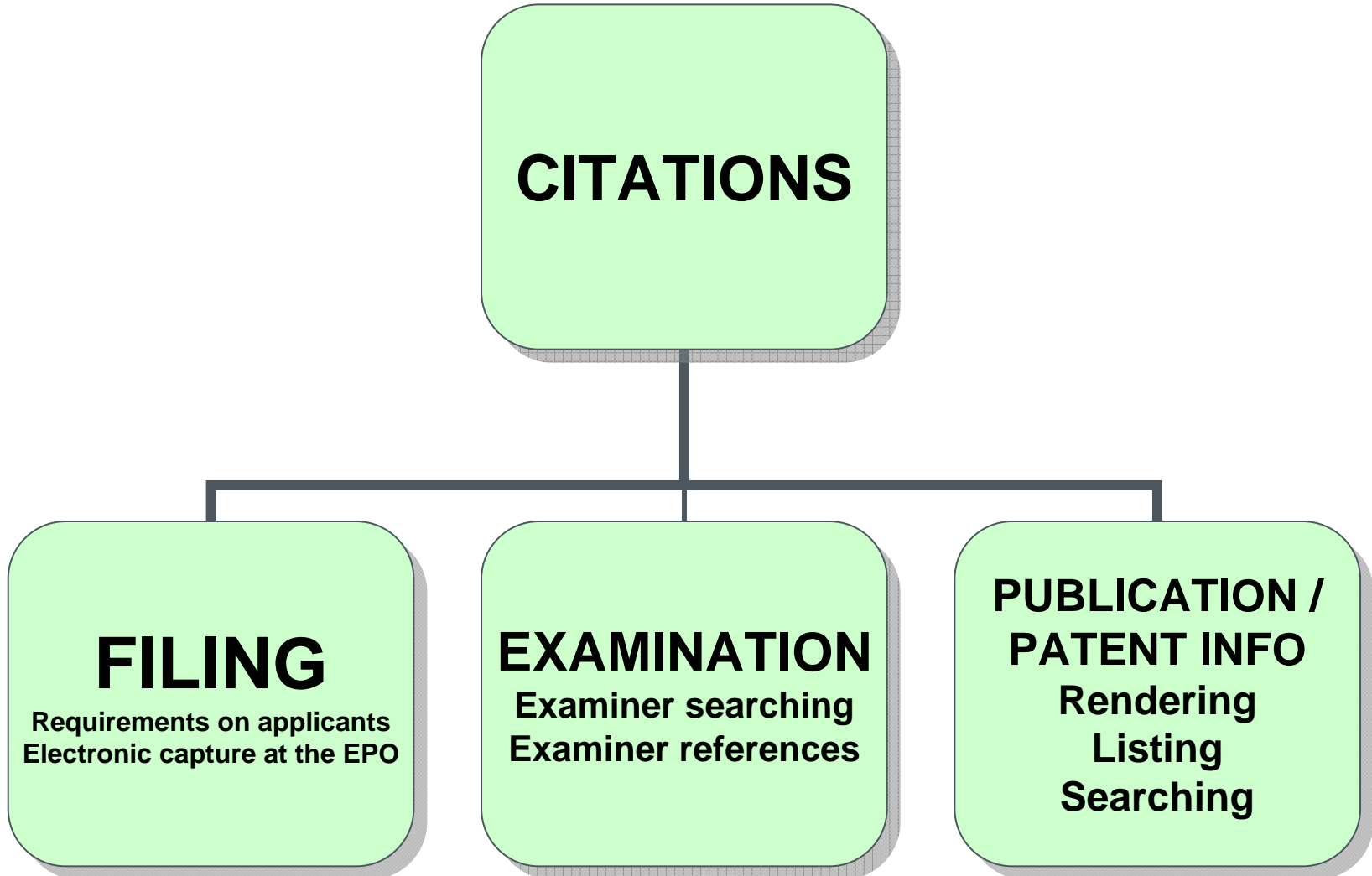
presentation to the
SCIT
**Standards and Documentation Working
Group**

February 2008

Paul Brewin, EPO



Overview



Citation practice : Filing

- There is no obligation for the applicant to highlight or "mark up" citations
- Sometimes they include a list of references
- If using PatXML (EPO patent authoring tool) they can mark up citations (in XML) using a data entry screen
- Common Application Format (CAF) may change this . . .
- On receipt at the EPO we OCR and extract citations to make sure the citation is ready for the examiner

Citation practice : PatXML data entry screen

Patent Citation [X]

Country: EP European Patent Office

Number: Publication 1000000 Kind: A

Applicant: BOER BEHEER NIDMEGEN BV DE (NL) Date: 17 May 2000 15

Help Browse for Patent Insert Cancel

Periodical Article Citation [X]

Author

Surname/first name: [] [] et al.

Title: []

Periodical: []

Publication date: [] Vol.: [] Number: [] Pages: []

Help Insert Cancel

Citation practice : Publication data capture

- All applications are scanned for citations and these are marked up according to ST.36 XML; **firstly** within the **description**:

. . . described in the

```
<patcit id="pcit0001" dnum="US4698010A">  
<text>US patent 4,698,010 (Marcello Toncelli,  
October 6, 1987</text>  
</patcit>)
```

in which aggregates of a material of variable . . .

 = publish "as filed"

Citation practice : Publication data capture

- **Secondly** in the extracted **Reference List**:

```
<patcit id="ref-pcit0001" dnum="US4698010A">
```

```
  <document-id>
```

```
    <country>US</country>
```

```
    <doc-number>4698010</doc-number>
```

```
    <kind>A</kind>
```

```
    <name>Marcello Toncelli</name>
```

```
    <date>19871006</date>
```

```
  </document-id>
```

```
</patcit>
```

```
<crossref idref="pcit0001">[0002]</crossref>
```

Citation practice : Publication data capture (NPL)

- **NPL** within the **description**:

Standard methods

(see `<nplcit id="ncit0019" npl-type="b">`

`<text>`Sambrook and Russell (2001), Molecular Cloning: A Laboratory Manual, CSH Press, Cold Spring Harbor, NY, USA`</text>`

`</nplcit>`)

allow base exchanges to be performed . . .

 = publish "as filed"

Citation practice : Publication data capture (NPL)

- NPL within the Reference List:

```
<nplcit id="ref-ncit0012" npl-type="b">
```

```
<book>
```

```
<author><name>SAMBROOK</name></author>
```

```
<author><name>RUSSELL</name></author>
```

```
<book-title>Molecular Cloning: A Laboratory  
Manual</book-title>
```

```
<imprint><name>CSH Press</name>
```

```
<pubdate>20010000</pubdate></imprint>
```

```
</book>
```

```
</nplcit>
```

```
<crossref idref="ncit0013">[0021]</crossref>
```

```
<crossref idref="ncit0014">[0023]</crossref>
```

```
<crossref idref="ncit0018">[0030]</crossref>
```

```
<crossref idref="ncit0019">[0030]</crossref>
```


Citation practice : Publication

- **Marking up citations allows us to extract all of them and build a Reference List:**

REFERENCES CITED IN THE DESCRIPTION

This list of references cited by the applicant is for the reader's convenience only. It does not form part of the European patent document. Even though great care has been taken in compiling the references, errors or omissions cannot be excluded and the EPO disclaims all liability in this regard.

Patent documents cited in the description

- FR 2761785 [0011]
- US 20050024583 A [0011]
- JP 11253480 B [0011]
- JP 3294819 B [0011]
- JP 1204668 A [0011]
- EP 0204347 A [0011]
- US 4582402 A [0016]
- US 5414477 A [0016]

Non-patent literature cited in the description

- **KLEIN R ; KLEIN BE ; WONG TY ; TOMANY SC.** Cruickshanks KJ. The association of cataract and cataract surgery with the long-term incident of age-related maculopathy. *Arch Ophthalmol*, 2002, vol. 120, 1551-1558 [0008]
- **WANG JJ ; MITCHELL P ; CUMMING RG ; LIM R.** Cataract and age-related maculopathy: the Blue Mountains Eye Study. *Ophthalmic Epidemiol*, 1999, vol. 6, 317-326 [0009]
- **MCCARTY CA · MUKESHBN · FUJCI · MITCHELL**

Citation practice : on the EPO Publication Server

- . . . and to link to those citations in eg. 


| | | | | | | | | | | | | | | |
|----------------|---|----------------|-------|----------|------|------|-----------|--------|----------------|--------|-------------|--------|------------|--------|
| PADOC) | Maximize | Document 1 / 1 | First | Previous | Next | Last | | | | | | | | |
| ation | Hide references | | | | | | | | | | | | | |
| es | <table border="1"> <tr> <td>FR2761785</td> <td>[0011]</td> </tr> <tr> <td>US20050024583A</td> <td>[0011]</td> </tr> <tr> <td>JP11253480B</td> <td>[0011]</td> </tr> <tr> <td>JP3294819B</td> <td>[0011]</td> </tr> </table> | | | | | | FR2761785 | [0011] | US20050024583A | [0011] | JP11253480B | [0011] | JP3294819B | [0011] |
| FR2761785 | [0011] | | | | | | | | | | | | | |
| US20050024583A | [0011] | | | | | | | | | | | | | |
| JP11253480B | [0011] | | | | | | | | | | | | | |
| JP3294819B | [0011] | | | | | | | | | | | | | |

← Link to place in description

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Patent documents cited in the description

- [FR2761785 \[0011\]](#)
- [US20050024583A \[0011\]](#)
- [JP11253480B \[0011\]](#)
- [JP3294819B \[0011\]](#)


← Link to 

[Similar possibilities in Register, MIMOSA online]

Citation practice : Search Report

- **The EPO examiner uses an online data entry panel to enter all search report citations**
- **There is a central database where all search reports are stored (EP and ISR)**
- **This allows us to extract the data and mark up the search report according to WIPO ST.36 XML**
- **This XML data is added to the complete publication XML file**
- **Production planned for 2008**

The current forms (same for ISR)


European Patent Office
Application Number
EP 01 40 1743

EUROPEAN SEARCH REPORT

| DOCUMENTS CONSIDERED TO BE RELEVANT | | | |
|-------------------------------------|---|-------------------------|---|
| Category | Citation of document with indication, where appropriate, of relevant passages | Relevant to claim | CLASSIFICATION OF THE APPLICATION (IPC) |
| Y | EP 0 720 093 A (KABUSHIKI KAISHA TOSHIBA; HEWLETT-PACKARD COMPANY; AGILENT TECHNOLOGIE) 3 July 1996 (1996-07-03) * page 3, line 17 - line 28 * * claims 1,2 * | 1-17 | G06F11/36 |
| Y | US 5 784 464 A (AKIYAMA ET AL) 21 July 1998 (1998-07-21) * column 2, line 10 - column 3, line 5 * * claim 1 * | 1-17 | |
| A | US 5 704 039 A (YISHAY ET AL) 30 December 1997 (1997-12-30) * column 3, line 43 - line 62 * * column 4, line 27 - line 67 * | 1,2,4,6,7,9,11,12,14,17 | |

White space

The present search report has been drawn up for all claims

| | | |
|-------------------------------------|---|-----------------------------|
| Place of search The Hague | Date of completion of the search 22 December 2005 | Examiner Melis, W |
|-------------------------------------|---|-----------------------------|

CATEGORY OF CITED DOCUMENTS
 X particularly relevant (taken alone)
 Y particularly relevant if combined with another document of the same category
 A technological background
 O non-written disclosure
 P intermediate document
 T theory or principle underlying the invention
 B earlier patent document, but published on or after the filing date
 D document cited in the application
 L document cited for other reasons
 A member of the same patent family, corresponding document

**ANNEX TO THE EUROPEAN SEARCH REPORT
ON EUROPEAN PATENT APPLICATION NO.** EP 01 40 1743

This annex lists the patent family members relating to the patent documents cited in the above mentioned European search report. The members are as contained in the European Patent Office EPC file on the European Patent Office is in no way liable for these particulars which are merely given for the purpose of information.

22-12-2005

| Patent document cited in search report | Publication date | Patent family member(s) | Publication date |
|--|------------------|--|--|
| EP 0720093 | A 03-07-1996 | CN 1362677 A CN 1133455 A CN 1540518 A | 07-06-2002 16-10-1996 27-10-2004 |
| | | DE 69523884 01 DE 69523884 T2 KR 255026 01 US 5978937 A | 20-12-2001 27-06-2002 01-05-2000 02-11-1999 |
| US 5784464 | A 21-07-1998 | JP 8305662 A | 22-11-1996 |
| US 5704039 | A 30-12-1997 | EP 0694828 A2 JP 8055023 A | 31-01-1996 27-02-1996 |

White space

For more details about this annex : see Official Journal of the European Patent Office, No. 1260

The new layout (partial view) - generated from XML data

EUROPEAN SEARCH REPORT

Application number: 06250611.8

Classification of the application:

INV. G11B7/007, G11B7/013, G11B11/ 105


Fields searched:

G11B

DOCUMENTS CONSIDERED TO BE RELEVANT:

(Citation, category, relevant claim number(s) and any relevant passage (*))

 EP 0 717 216 A (NIPPON KOGAKU KK) 4 June 1997 (1997-06-04)
Category: D,A Claim(s): 1,11
* the whole document *

 PATENT ABSTRACTS OF JAPAN, vol. 1997, no. 02, 28 February 1997 (1991-02-28)
Category: D,A Claim(s): 1,11
* abstract *
& JP 08 273202 A (SONY CORP), 18 October 1996 (1996-10-18)

Citation practice : Common Application Format (CAF)

- A Trilateral project
- An application format (for description, claims, etc) which will be acceptable in the EPO, JPO and USPTO
- Includes a section in the **description** for **references cited: <citation-list>**
- ST.36 to be updated

Thank you; contact for more information: pbrewin@epo.org