

Revised draft of paragraph 11 of
WIPO Standard ST.14

June 17, 1998 Version

11. Identification of any document 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 (Recommended Standard Code for the Identification of Different Kinds of Patent Documents) 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);
- (v) ¹ the date of publication of the cited patent document (using four digits for a year designation according to the Gregorian calendar);
- (vi) ¹ 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 (24.04.1998), paragraphs [0026] to [0030].

Example 2: DE 3744403 A1 (A. JOSEK) 29.08.1991, page 1, abstract.

Example 3: SE 504901 C2 (SWEP INTERNATIONAL AB) 1997-05-26, claim 1.

Example 4: US 5635683 A (R. M. MCDERMOTT et al.) 3 June 1997 (03.06.1997), column 7, lines 21 to 40.

(b) *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)²; 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) 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);
- (vi) the year of publication, by four digits ³,
- (vii) ¹ the location within the monograph by indicating the pages, columns or lines where the relevant passages appear, or the relevant figures of the drawings (where applicable);
- (viii) where applicable, the standard identifier and number assigned to the item, e.g., ISBN 2-7654-0537, ISSN 1045-1064. It should be noted that these numbers may differ for the same title in the print and electronic versions.

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

Example 1: WALTON, Herrmann. Microwave Quantum Theory. London: Sweet and Maxwell, 1973, Vol.2, pages 138 to 192, especially pages 146 to 148, ISBN 5-1234-5678.

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.

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

- (i) the name of the author (in capital letters)² ;
- (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) ¹ where applicable, the relevant passages of the article and/or the relevant figures of the drawings;
- (vi) where applicable, the standard identifier and number assigned to the item, e.g., ISBN 2-7654-0537, ISSN 1045-1064. . It should be noted that these numbers may differ for the same title in the print and electronic versions.

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

(d) *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 whatever bibliographic data may be available in respect thereof.

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

Example 1: Chem. abstr., Vol.75, No.20, 15 November 1971 (Columbus, OH, USA), page 163, column 1, the abstract No. 120718k, SHETULOV, D.I. 'Surface Effects During Metal Fatigue,' Fiz.-Him. Meh. Mater. 1971, 7(2), 7-11 (Russ).

Example 2: Patent Abstracts of Japan, Vol.15, No.105 (M-1092), 1991, JP 30-02404 A (FUDO).

Example 3: Soviet Patents Abstracts, Section E1, Week 8836, London: Derwent Publications Ltd., Class S, AN 88-255351, SU 1374109 A (KARELIN, V.I.) 15.02.1988.

11bis. 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 paragraphs 11(a), (b), (c), and (d), above, as far as possible and completed by following the guidelines provided by the International Organization for Standardization's established Standard ISO 690-2 "Information and documentation - Bibliographic references - Electronic documents or parts thereof."

Attention is drawn to the following items which should be provided in the locations indicated:

- (i) Type of medium in square brackets [] after the title of the publication ,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 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) It is suggested that a specific passage of text could be indicated by its first and last word, if desired.

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

If an electronic document is also available in paper form or in a page-oriented presentation mode (see paragraph 11 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 the citation of an electronic document not available in paper form or in a page-oriented presentation mode:

Examples 1-3: Documents retrieved from online databases outside the Internet

Example 1: SU 1511467 (BRYAN MECH) [online]. Derwent Publications Ltd. (London, U.K.):World Patents Index (WPI), 1990, update 16, 1990 [retrieved on 1998-02-24] Questel. Accession no. 90-121923. Retrieved from QuestelOrbit. (abstract).

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' [online]. Medline Database, May, 1993 [retrieved on 1998-02-24] U.S. National Library of Medicine (Bethesda, MD. USA). Accession no. 94155687. Retrieved from: DIALOG Information Services, Palo Alto (CA). (abstract).

Example 3: JENSEN, B.P. 'Multilayer printed circuits: production and application II' [online]. Elektronik, June-July 1976, INSPEC Database [retrieved on 1998-02-24]. Institute of Electrical Engineers (U.K.). Accession no. 956632. Retrieved from: STN International (Columbus, OH). (abstract).

Examples 4-11: Documents retrieved from the Internet

Example 4: (Entire Work – Book or Report)

S. WALLACE and N. BAGHERZADEH, 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/Index.html>.

Example 5: (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 via: < 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 6: (Electronic Serial - Entire Serial)

Journal of technology education [online]. Blacksburg (VA): Virginia Polytechnic Institute and State University, 1989-. [retrieved on 24 February 1998] Semi-annual. Retrieved from the Internet: <URL:gopher://borg.lib.vt.edu: 70/1/jte>. ISSN: 1045-1064.

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 via < 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 Internet via: <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, Nov. 24, 1989; 13:29:35 CST [retrieved on 1998-02-24]- Retrieved from the Internet: <URL:telnet://bruser@a.cni.org>.

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 via: <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 [online]. 3Com Corporation, 1997. [retrieved on 1998-02-24]. Datasheet. Retrieved from the Internet: <URL: www.3com.com/products/dsheets/400347.html>.

¹ These elements are to be indicated only in a search report.

² Where a surname can be identified, forenames or initials should follow the surname. Such surnames and initials should be given in capital letters.

³ 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.

[Annex II follows]