Survey Concerning Citation Practices in Intellectual Property Offices

Response ID:197 Data

2. Section 1: Identification page

1. Please enter the ST.3 code of the member state or inter-governmental organization you represent.

US - United States of America

2. Please enter the name of the office or organization you represent. For instance, International Bureau of WIPO.
If your organization name is the same as your ST.3 code name, you may put "n/a".

United States Patent and Trademark Office

3. Questions about citation references provided by your Office: Sections 2 to 4

Section 2: Citation reference availability

5. Does your Office publish citation references associated with your Office's patent documents?

Yes
Please comment if necessary:

6. Select one option describing the availability, to the public, of your Office's citation references.

Available to the public

7. In which of the following location(s) associated with patent documents, published by your Office, can citation references be found?

Substantive search and/or examination report
Patent description
Bibliographic data
Other patent document location (Please specify): Information Disclosure Statement, Master Reference List (when applicable), Notice of References Cited
Please comment on any of the above mentioned locations, if appropriate:

8. If citation references are part of the bibliographic front page information, are they included in INID code (56)?

Yes

9. Beyond the locations listed as options in question 7 above, select the location(s) outside the patent document where citation references can be found:

E-Dossier/File wrapper
Other location (Please provide details): Global Dossier,

10. Are hyperlinks included for the above Internet locations?

Yes
Please comment if necessary: When available

11. Does your Office give information about a patent document that cites the specific patent document the user is looking at (i.e., a forward citation)?

Yes

12. Are hyperlinks to the citing document provided?

Yes
Please comment if necessary: Hyperlinks to the "Cited Documents" may be provided where available.

13. Does your Office follow the recommendations set out in WIPO Standard ST.14 for the identification of citation references?

Yes
Please comment if necessary:

14. Does your Office provide indications, to the general public, informing about who suggested or decided on including the citation references?

Yes

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

Bibliographic data on patent document
Substantive search and/or examination report
Part of patent document
Other (Please specify where an indication can be found): Global Dossier,
Please comment if necessary:

4. Section 3: Search Report Information

15. Does your Office prepare international search reports (ISRs) in the capacity as an International Searching Authority under the PCT?

Yes

5. Section 3: Search Report Information

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

Yes (Please provide examples in detail):
Please comment if necessary::

17. Do your citation references include online URLs?

Sometimes (specify when): When available

18. Are unique document identifiers used, e.g., DOI?

Sometimes (Specify when): When available; Planned future implementation of DOI in Global Dossier

If applicable, which unique document identifiers are used?

Digital Object Identifier (DOI)
ISBN and ISSN

6. Section 3: Search Report Information

19. Does your Office prepare Office-specific national/regional search reports (non PCT)?

No

7. Section 3: Search Report Information

Do you have quality control on citation references entered on search reports?

Are relevance indicators stated?

Do your citation references include online URLs?

Are unique document identifiers used, e.g., DOI?

If applicable, which unique document identifiers are used?

8. Section 3: Search Report Information

Please comment on any major differences between the provision of ISR and other search report citation references if any

9. Section 4: Centralizing/Tagging Citation References

20. Do you (intend to) add tags to identify citation references?

Yes

21. Does your Office have a centralized database containing citation reference identification data elements?

Yes

If possible, please specify any structural elements on which the database is founded, for example:

Is the information in the database technically and legally exchangeable e.g., with other Offices?

No

22. Are citation references from your Office searchable by the general public?

Yes (please specify the location where the references are searchable e.g., http://www.): ___Global Dossier - United States Patent and Trademark Office Patent Public Search | USPTO

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

10. Questions about your Office's published documents that may be cited (within a citation reference): Sections 5 to 7

Section 5: Location of published patent documents which can be considered to be an (or the) authentic source

24. Which mediums represents the (or an) authentic legal rendition (authoritative source) of your Office's published patent application?

Website (if multiple website separate each address with a semi- colon ";"): _Patent Public Search | USPTO__
SFTP Bulk publication: Bulk Data Directory | Open Data Portal
APIs of Webservices: Open Data Portal APIs

25. Which mediums represents the (or an) authentic legal rendition (authoritative source) of your IPO's published granted patents?

Website (if multiple website separate each address with a semi- colon ";"): Patent Public Search | USPTO___
SFTP Bulk publication: Bulk Data Directory | Open Data Portal____
APIs of Webservices: Open Data Portal APIs

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

Yes

If yes, please select all formats that should be considered in preference to other formats

.pdf (Adobe)
.tif (image)

27. Is your Office using commercial providers for publishing patent documents?

Yes (Please provide details):

11. Section 6: Availability of location identifiers

28. Which, if any, text- based identifiers do your published patent documents contain:

Page numbers
Column numbers
Line numbers
Paragraph numbers
Other (Please specify): Granted Patents are published using line numbering, Pre-Grant Published Applications (PG-PUBs) are published using paragraph numbering.

29. Which, if any, identifiers of non-textual elements occur within the description part of your published patent document:

Image/figure numbers within the description:
Chemical formula numbers:
Tables:
Gene sequences:
Mathematical formulas:
Computer programs:
Minutes/Seconds (for referencing videos):
Webpage identifiers (URL with heading/section reference):

12. Section 7: Paragraph number details

30. Does your published patent documents include paragraph numbers?

Yes

13. Section 7: Paragraph number details

31. Paragraph numbers are typically created by:

An external publisher

32. Paragraph numbers are recreated:

During the publication process
When numbered paragraphs are amended

33. Describe any special treatment you give to long paragraphs:

34. Describe how you treat numbered paragraphs that are subsequently amended:

Subsequent paragraphs re-numbered

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

14. Section 8: Citing documents based on machine translations

36. Does your Office currently allow to cite machine-translated documents in search or examination reports?

Yes

15. Section 8: Citing documents based on machine translations

37. When citing a document without paragraph numbering, how does your Office identify the relevant passage in the machine translation?

This is decided by the examiner, typically referencing page number and paragraph.

38. How does your Office ensure that applicants can access the exact machine translation used by your Office?

The exact machine translation is uploaded to the electronic file to an online register

39. Does your Office record or store the machine translation used by the examiner for internal or public reference?

Yes, and it is made publicly available

40. Does your Office have a preferred format for citing machine translations in search or examination reports?

No

41. Has your Office encountered cases where an applicant disputed the relevance of a citation based on a machine translation?

Yes (Please provide details): USPTO is not aware of a dispute specific to MACHINE translations, but there have been disputes over translations in general.

42. Should there be a standardized method for referencing the machine translation engine and date of translation in the international search report?

No

43. Should WIPO Standard ST.14 be revised to include recommendation on how references to machine translations should be cited in a patent document?

No

16. General questions about Citation Practices: Sections 9-10
Section 9: Examples of citation references published by your Office, if this information is available.

44. If possible, please provide a patent (application) number and a publicly available internet address that contains one or more typical examples of patent and non-patent literature citation references.

17. Section 10: Additional comments about citation practices

45. If applicable, please make any further comments, e.g., you may wish to comment on difficult aspects of citation practices for your IPO:

e.g., users are confused about the part of a document a citation reference was referring to : There are instances when applicant or examiner does not provide complete or correct citation information in a standardized format.