

INTERNATIONAL STANDARD



3388

INTERNATIONAL ORGANIZATION FOR STANDARDIZATION • МЕЖДУНАРОДНАЯ ОРГАНИЗАЦИЯ ПО СТАНДАРТИЗАЦИИ • ORGANISATION INTERNATIONALE DE NORMALISATION

Patent documents — Bibliographic references — Essential and complementary elements

Documents de brevets — Références bibliographiques — Éléments essentiels et complémentaires

First edition — 1977-04-15

STANDARDSISO.COM : Click to view the full PDF of ISO 3388:1977

UDC 002 : 001.811 : 608.3 : 655.535.2

Ref. No. ISO 3388-1977 (E)

Descriptors : documentation, patents, bibliographical references.

Patent documents – Bibliographic references – Essential and complementary elements

0 INTRODUCTION

The International Standard Bibliographic Descriptions (ISBDs) are being used increasingly in national bibliographies and the catalogues of general library collections and have been adopted as a means of international communication. It is acknowledged, however, that the basic purpose of bibliographic records is to satisfy the needs of users and that to this extent standards for the bibliographic description of various types of material may require different approaches to satisfy the needs of specialist users or of a collection of specialist material.

This is the case with this International Standard, which is intended to satisfy the requirements of those making references to patent documents. Therefore, the ISBD order and pattern are not followed.

1 SCOPE

This International Standard gives rules for the uniform presentation of bibliographic references in the field of patent documents.

2 FIELD OF APPLICATION

For the purposes of this International Standard, the expression "patent documents" is intended to cover patents, inventors' (authors') certificates, utility certificates, utility models, etc., and published applications therefor.

3 TYPES OF BIBLIOGRAPHIC REFERENCE AND THEIR APPLICATIONS

3.1 Two types of bibliographic reference can be distinguished, namely

- a) short references, containing the essential elements for identifying a patent document;
- b) full references, containing all official elements giving complete documentary information, namely both essential and complementary elements.

3.2 Short references are commonly used in

- a) bibliographic citations in a publication (book, periodical, report, etc.), in the text, in a footnote, or partially in the text itself and partially in a footnote;
- b) bibliographic citations in a bibliography at the end of a paper, book, chapter, report, etc.

3.3 Full references are commonly used in

- a) library catalogues and card indexes;
- b) bibliographic cards included in periodicals or abstracts to be inserted in card indexes;
- c) bibliographic descriptions, lists and references;
- d) headings of abstracts;
- e) other sources of bibliographic information on patent documents.

4 BIBLIOGRAPHIC ELEMENTS OF THE REFERENCES

The bibliographic elements listed in 4.1 to 4.16 shall be used in a full reference. The elements in bold type shall be used in a short reference.

The order in which the bibliographic elements are listed below is the preferred order in which they should be used in a reference. This order is the same as that used in ICIREPAT Standard ST.9 mentioned in sub-clause 6.1 of this International Standard.

4.1 Kind of patent document (see 5.1)

4.2 Number of the patent document (see 5.2) (INID No. 11)

ISO 259, *Documentation — Transliteration of Hebrew characters into Latin characters.*

ISO 843, *Documentation — Transliteration of Greek characters into Latin characters.*

5.5 Date of publication in the country of origin

By date of publication is meant the date of making available to the public

- a) a patent document for inspection or supplying a copy on request (INID No. 41, 42 or 47);
- b) multiple copies of a patent document produced by printing or like process (INID No. 43 to 45).

5.6 International Patent Classification

The standardized abbreviation Int. Cl., which often appears on patent documents, may be used as such. As an alternative, the abbreviation IPC, which is also used for designating the International Patent Classification, may be indicated in the references. The abbreviation Int. Cl.² or IPC² shall be used in all references to patent documents published in the country of origin on or after January 1, 1975, if the abbreviation Int. Cl.² appears on these patent documents.

5.7 Title of the invention

The title shall be reproduced as it appears on the patent document. For multilingual countries, titles in different languages shall all be treated as original titles. Titles which are inconveniently long may be shortened according to sub-clause 6.1.2 of ISO 690, *Documentation — Bibliographical references — Essential and supplementary elements*. Meaningless titles should be completed so as to indicate in parentheses the subject of the invention. If the title is translated, this fact should be clearly indicated by citing the original language of the title, either in full or in abbreviated form (see in this respect ISO/R 639, *Symbols for languages, countries and authorities*.)

5.8 Grantee or applicant

This may be an individual or a legal entity (organization, company, institution, etc.). In the latter case, the exact and full name of the entity must be cited.

5.9 Abbreviations of descriptive words (see also 5.6)

The descriptive words occurring in the references (for example national patent classification, patent application, filed, granted, published, priority application, number of pages) may be abbreviated according to ISO 832, *Documentation — Bibliographical references — Abbreviations of typical words*, or according to the prevailing practice in each country.

6 ICIREPAT RECOMMENDATIONS

ICIREPAT (the Paris Union Committee for International Cooperation in Information Retrieval among Patent Offices, a technical body of the World Intellectual Property Organization) has elaborated a certain number of recommendations with a view to improving the information value of patent documents. The following two ICIREPAT recommendations are particularly relevant to the bibliographic references of patent documents, and are implemented by various countries on their published patent documents.

6.1 Recommendation concerning bibliographic data (Identification by INID Codes and Minimum required) on the first page of a patent document and in entries in official gazettes (ICIREPAT Standard ST.9)

This recommendation provides for a numbering system (INID numbers : ICIREPAT numbers for the identification of data) of the various bibliographic data pertaining to patent documents whereby these data can be identified without knowledge of the language used and the laws applied. It is attached as annex A to this International Standard.

6.2 Standard Code for Identification of different kinds of patent documents (ICIREPAT Standard SI.8)

This recommendation provides for groups of letter codes for distinguishing different kinds of patent documents according to their numbering series and to their publication level. It is attached as annex B to this International Standard.

7 EXAMPLES

The rules established by this International Standard are illustrated by the following nine non-restrictive examples, in full and short forms, in the English language.

7.1 Full references

- a) Offenlegungsschrift, 1630303, DE. Appl. P 1630303.0, F. 24 June 67. Pub. 13 May 71. Int. Cl. B 606 11/22; F16F 1/38. Nat. Cl. 63c, 40; 47 a 3, 1/38. *Gummilager insbesondere für Kraftfahrzeuge* [Rubber bearings, particularly for powered vehicles]. Daimler-Benz A.G., DE. (Inv. Karl Hutzenlaub). [6p].
- b) Specification, 102195, IN. Appl. F. 22 Oct 65. Pub. 6 Nov 65. *Process for the preparation of substituted benzimidazoles and their salts*. (Divided from 92117). Fisons Pest Control Limited, GB. [4p] In English.
- c) Patent Specification, 34127, IE. Appl. 560/70, F. 1 May 1970 (Pr. Appl. 822428, F. 7 May 69, US). Pub. 19 Feb 75. Int. Cl. H05K 7/00; H01L 1/14. *Improvements in or relating to bonding methods*. Western Electric Company Incorporated, US. [4p].
- d) Brevet d'invention, 678306, BE. Appl. F. 23 Mar 66. Pub. 23 Sept 66. Int. Cl. B01J. *Nouveaux catalyseurs de polymérisation* [New polymerisation catalysts]. Imperial Chemical Industries Limited, GB. [15p].

ANNEX A
(Not part of the standard)

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Ref: Standards--ST.9 (E)

page: 3.9.1(E)

RECOMMENDATION CONCERNING BIBLIOGRAPHIC DATA
(Identification by INID Codes and Minimum Required)
ON THE FIRST PAGE OF A PATENT DOCUMENT
AND IN ENTRIES IN AN OFFICIAL GAZETTE

Introduction

1. The recommendation STAC III No. 62d of September 1967 provides for means whereby the various data appearing on the first page of a patent document can be identified without knowledge of the language used and the laws applied. This recommendation is already successfully applied by various Patent Offices.
2. The recommendation STAC III No. 77a of September 1967 likewise provides for means whereby the various data appearing in entries in official gazettes and like publications can be identified.
3. It was considered necessary to revise these recommendations in certain respects in the light of experience with their use.
4. It was also considered necessary to include in the recommendation an indication of the minimum bibliographic data to be provided on the first page of such a document, and in an entry in such a gazette, in order to give the information required for subject matter and legal patent searches, including finding patent families, and for documentation purposes, such as the compiling of indexes.

Definitions

5. "Patent documents" includes patents, inventors' certificates, utility models or certificates, and applications therefor. "Documents" means patent documents unless otherwise stated.
6. "Making available to the public" means (a) publication by printing or similar process or (b) laying open for public inspection and copying on request.
7. "Entry in an official gazette" means at least one comprehensive announcement in an official gazette, regarding the making available to the public of the complete text, claims (if any) and drawings (if any) of a patent document.

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14. In order that the users of patent documents and official gazettes may be enabled to make maximum use of these INID codes, it is recommended that a list of the codes be published in Patent Office or other official publications, e.g. official gazettes, at regular intervals.

Implementation

15. It is, of course, open to each Patent Office to implement this recommendation either in its entirety or to some lesser extent, whichever it finds more convenient.

(10) Document identification

*(11) Number of the document

** (19) ICIREPAT country code, or other identification, of the country publishing the document

(**Minimum data element for documents only)

(20) Domestic filing data

*(21) Number(s) assigned to the application(s), e.g. "Numéro d'enregistrement national", "Aktenzeichen"

*(22) Date(s) of filing application(s)

*(23) Other date(s) of filing, including exhibition filing date and date of filing complete specification following provisional specification

(30) Convention priority data

*(31) Number(s) assigned to priority application(s)

*(32) Date(s) of filing of priority application(s)

*(33) Country (countries) in which priority application(s) was (were) filed

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(52) Domestic or national classification

(53) Universal Decimal Classification

*(54) Title of the invention

(55) Keywords

(56) List of prior art documents, if separate from descriptive text

(57) Abstract or claim

(58) Field of search

(60) Reference(s) to other legally related domestic document(s)

*(61) Related by addition(s)

*(62) Related by division(s)

*(63) Related by continuation(s)

*(64) Related by reissue(s)

(70) Identification of parties concerned with the document

/(75) and (76) are intended primarily for use by countries in which the national laws require that the inventor and applicant are normally the same. In other cases (71) and (72) or (71), (72) and (73) should generally be used/

**(71) Name(s) of applicant(s)

(72) Name(s) of inventor(s) if known to be such

**(73) Name(s) of grantee(s)

(74) Name(s) of attorney(s) or agent(s)

**(75) Name(s) of inventor(s) who is (are) also applicant(s)

ANNEX B
(Not part of the standard)

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Ref: Shared Systems--SI.8 (E)

page: 4.3.8.1 (E)

STANDARD CODE FOR IDENTIFICATION OF DIFFERENT KINDS OF PATENT DOCUMENTS

Introduction

1. The recommendation provides for groups of letter codes in order to distinguish patent documents. The letter codes also facilitate the storage and retrieval of such documents.
2. If any Office wants to amplify the information contained in the letter code, this letter code may be optionally associated with a numerical code. The meaning of such numerical code should then be defined by each Patent Office availing itself of this option.
3. The code also provides for a letter for non-patent literature documents (N) and for documents to be restricted to the internal use of Patent Offices (X) (e.g. confidential documents, not to be disclosed outside the Office). See in this respect also SI.1 (ICIREPAT Manual pages 4.3.1.1 to 4.3.1.4).

Definitions

4. For the purposes of this recommendation, the expression "patent documents" includes patents for inventions, inventors' certificates, utility certificates, utility models, patents or certificates of addition, inventors' certificates of addition, utility certificates of addition, plant patents and published applications therefor.
5. For the purposes of this recommendation, the term "entry in an official gazette" means at least one comprehensive announcement in an official gazette regarding the making available to the public of the complete text, claims (if any) and drawings (if any) of a patent document.
6. For the purposes of this recommendation, the terms "publication" and "published" are used in the sense of making available
 - (i) a patent document to the public for inspection or supplying a copy on request
 - (ii) multiple copies of a patent document produced by printing or like process

Explanation: If, at a particular procedural stage, a copy of the document is first made available to the public for inspection or copying and is then, at the same procedural stage, made available in multiple copies produced by printing or like process, only a single publication is considered to have occurred. If, on the other hand, multiple reproduction results from a new procedural stage, this reproduction is considered to be a further publication of the document, even if the texts at the two stages are identical.

7. According to certain national patent laws or regulations, the same patent application may be published at various procedural stages. For the purposes of this recommendation, a publication level is defined as the level corresponding to a procedural stage at which normally a document is published under a given national patent law.

Recommendation

8. It is recommended that the code:
 - (a) be used for the recording of the "kind of document" in machine-readable data carriers, such as 80-column punched cards, magnetic tapes, aperture cards, etc;
 - (b) be used on the first page of patent documents, preferably near the document number, if these have been published in the sense of paragraph 6;
 - (c) be used in entries in official gazettes or, if all entries in a section of the Gazette relate to the same kind of a document at the beginning of such a section.

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12. As an appendix to this recommendation a list of patent documents, past and currently published, and intended to be published in the future, divided in accordance with the code, is given.

[Appendices I & II follow]

Original: STAC III No. 43d, expanded to STAC III No. 93a
Adopted by the first session of the PLC.

First amended version adopted by the fifth PLC ordinary session
(document IC/PLC/V/11, paragraphs 65 to 68)

Second amended version adopted by the seventh PLC ordinary session
(document IC/PLC/VII/16, paragraph 30)

Third amended version adopted by the tenth PLC ordinary session
(document IC/PLC/X/11, paragraph 24).

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Code: A (continued)

Examples: Luxembourg	Brevet d'invention
Luxembourg	Certificat d'addition à un brevet d'invention
Netherlands	Ter inzage gelegde octrooiaanvraag
Norway	Patent Application published in the sense of paragraph 6(i)
Pakistan	Patent specification
PCT	Pamphlet published after 18 months
Poland	Opis patentowy
Romania	Descrierea invenției
Soviet Union	Opisanie izobreteniya k patentu
Soviet Union	Opisanie izobreteniya k avtorskomu svidetelstvu
Spain	Patente de invención
Sweden	Patent Application published in the sense of paragraph 6(i)
Switzerland	Auslegeschrift/Mémoire Exposé/Esposto Memoriale (Patent Application published in the sense of paragraphs 6(i) and 6(ii) pertaining to the technical fields for which search and examination as to novelty are made)
Switzerland	Patentschrift/Exposé d'invention/Esposto d'invenzione (Patent published in the sense of paragraph 6(ii) and pertaining to the technical fields for which neither search nor examination as to novelty are made)
United Kingdom	Patent specification
United States	Patent
Yugoslavia	Patentni spis

Code: B Patent Documents Numbered in Primary or Major Series - Second Publication Level

Examples: Australia	Patent specification
Austria	Patentschrift
Canada	Reissue
Cuba	Patente de invención
Czechoslovakia	Popis vynálezu k patentu
Czechoslovakia	Popis vynálezu k autorskému osvědčení
Denmark	Fremlaeggelsesskrift
Finland	Kuulutusjulkaisu - Utläggningsskrift
France	Brevet d'invention, deuxième publication de l'invention
France	Certificat d'addition à un brevet d'invention, deuxième publication de l'invention
France	Certificat d'utilité, deuxième publication de l'invention
France	Certificat d'addition à un certificat d'utilité, deuxième publication de l'invention
German Democratic Republic	Patentschrift (Ausschließungspatent), granted in accordance with paragraph 29 of the Patent Act of the German Democratic Republic
German Democratic Republic	Patentschrift (Wirtschaftspatent), granted in accordance with paragraph 29 of the Patent Act of the German Democratic Republic
Germany, Federal Republic of	Auslegeschrift

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Appendix II

List of Patent Documents, Past and Currently Published,
broken down by issuing country and coded in accordance with the SI.8 Code

Issuing country	Kind of published patent document			Letter code	Associated numerical code (when defined)
	Designation in language of issuing country (and, if required, transliteration in Latin characters)	Translation into English (when needed)	Identification of document		
Australia	Unexamined complete specification open to public inspection (not marked on document)		Unexamined Patent Application published in the sense of paragraph 6(i)	A	
	Patent specification		Patent published in the sense of paragraph 6(ii)	B	
Austria	Aufgebot (not marked on document but indicated as such in the Official Gazette)	Document laid open	Patent Application published in the sense of paragraph 6(i)	A	
	Patentschrift	Patent specification	Patent published in the sense of paragraph 6(ii)	B	
Belgium	Brevet d'invention/ Uitvindingsoctrooi	Patent of invention	Patent published in the sense of paragraph 6(ii)	A	
	Brevet de perfectionnement/ Verbeteringsoctrooi	Patent of improvement	Patent of improvement published in the sense of paragraph 6(ii)	A	
	Brevet d'importation/ Invoeringsoctrooi	Patent of importation	Patent of importation published in the sense of paragraph 6(ii)	A	
Bulgaria	ОПИСАНИЕ НА ИЗОБРЕТЕНИЕ ПО ПАТЕНТ (Opisanie na izobretenie po patent)	Description of invention for a patent	Patent published in the sense of paragraph 6(ii)	A	
	ОПИСАНИЕ НА ИЗОБРЕТЕНИЕ ПО АВТОРСКО СВИДЕТЕЛЬСТВО (Opisanie na izobretenie po avtorsko svidetelstvo)	Description of invention for an author's certificate	Inventor's certificate published in the sense of paragraph 6(ii)	A	
Canada	Patent/Brevet		Patent published in the sense of paragraph 6(ii)	A	
	Reissue Patent/Brevet de redélivrance		Patent reissued and republished in the sense of paragraph 6(ii)	B	
Cuba	Publicación de la solicitud (not marked on document)	Publication of the application	Patent application published in the sense of paragraph 6(i)	A	
	Patente de invención	Patent of invention	Patent published in the sense of paragraph 6(ii)	B	

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Issuing country	Kind of published patent document			Letter code	Associated numerical code (when defined)
	Designation in language of issuing country (and, if required, transliteration in Latin characters)	Translation into English (when needed)	Identification of document		
Denmark cont'd.	Patent	Patent	Patent published in the sense of paragraph 6(ii)	C	
Egypt	إدارة براءات الاختراع (Idarat bara'at alikhtirah)	Authority for Patent Delivery	Patent published in the sense of paragraph 6(ii)	A	
Finland	Julkiseksi tullut patenttihakemus (not marked on the document)	Patent application made accessible to the public	Patent application published in the sense of paragraph 6(i)	A	
	Kuulutusjulkaisu - Utläggningsskrift	Document laid open	Patent application published after examination as to novelty in the sense of paragraphs 6(i) and 6(ii)	B	
	Patentti-Patent	Patent	Patent published in the sense of paragraph 6(ii)	C	
	Patenttijulkaisu - Patentskrift	Patent specification	Patent published in the sense of paragraph 6(ii)	C	
France	Demande de brevet d'invention	Application for patent of invention	Patent application, first publication, published in the sense of paragraph 6(ii)	A	1
	Demande de certificat d'addition à un brevet d'invention	Application for a certificate of addition to a patent of invention	Application for a certificate of addition, first publication, published in the sense of paragraph 6(ii)	A	2
	Demande de certificat d'utilité	Application for certificate of utility	Utility certificate application, first publication, published in the sense of paragraph 6(ii)	A	3
	Demande de certificat d'addition à un certificat d'utilité	Application for a certificate of addition to a certificate of utility	Application for a certificate of addition to a utility certificate, first publication, published in the sense of paragraph 6(ii)	A	4
	Brevet d'invention	Patent of invention	Patent, first and only publication, published in the sense of paragraph 6(ii)	A	5
	Certificat d'addition à un brevet d'invention	Certificate of addition to a patent of invention	Certificate of addition to a patent, first and only publication, published in the sense of paragraph 6(ii)	A	6

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Date: February 1976

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Issuing country	Kind of published patent document			Letter code	Associated numerical code (when defined)
	Designation in language of issuing country (and, if required, transliteration in Latin characters)	Translation into English (when needed)	Identification of document		
German Democratic Republic cont'd	Patentschrift (Aus-schliessungspatent)	Patent specification (Exclusive patent)	Exclusive patent granted in accordance with paragraph 29 of the Patent Act of the German Democratic Republic, (2nd publication after examination as to novelty whenever this examination is effected), published in the sense of paragraph 6(ii)	B	
	Patentschrift (Wirtschaftspatent)	Patent specification (Economic patent)	Industrial patent granted in accordance with paragraph 29 of the Patent Act of the German Democratic Republic (2nd publication after examination as to novelty whenever this examination is effected), published in the sense of paragraph 6(ii)	B	
	Berichtigte Patentschrift (Aus-schliessungspatent)	Corrected patent specification (Exclusive patent)	Corrected patent (Exclusive patent) published in the sense of paragraph 6(ii)	C	
	Berichtigte Patentschrift (Wirtschaftspatent)	Corrected patent specification (Economic patent)	Corrected patent (Industrial patent) published in the sense of paragraph 6(ii)	C	
Germany (Federal Republic of)	Offenlegungsschrift	Document open for inspection	Patent application published, before examination as to novelty, in the sense of paragraph 6(ii)	A	
			- 1st publication	A	1
			- 2nd publication. Modified reprint following A1 Offenlegungsschrift or B1 Auslegeschrift	A	2
	Auslegeschrift	Document laid open	- 3rd publication. Modified reprint following A2 Offenlegungsschrift or B2 Auslegeschrift	A	3
			Patent application published, after examination as to novelty, in the sense of paragraph 6(ii)	B	
			- 1st publication. Offenlegungsschrift not yet published	B	1
			- 2nd publication. Normally following an A1 Offenlegungsschrift or B1 Auslegeschrift	B	2