# IP5 Common Citation Document & USPTO Citation List



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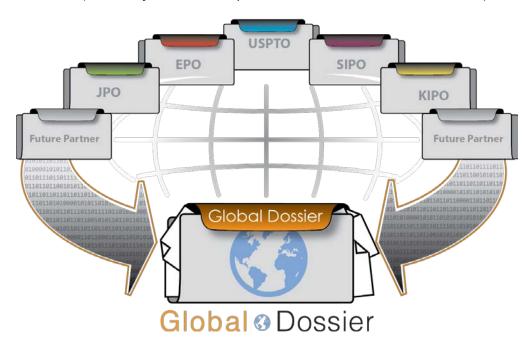
# Introduction

The purpose of this bulletin is to share insights with respect to both the IP5's Common Citation Document (CCD) and the USPTO's Citation list databases that may prove useful to patent owners and/or practitioners. Please be aware that this bulletin relates to a previously issued bulletin regarding Global Dossier. For reference, the following Global Dossier definition is provided by the USPTO.

"The Global Dossier Initiative is a set of business services being developed by the IP5 Offices (USPTO, EPO, JPO, KIPO, and SIPO) aimed at modernizing the global patent system and delivering benefits to all stakeholders through a single portal/user interface. Global Dossier will provide a single, secure point of access for the management of dossier and examination information, enabling and encouraging streamlining of office procedures among different IP Offices. This will lead to improved efficiency and predictability of global patent family prosecution with increased cost savings provided to patent applicants."

As discussed in the previously issued bulletin, Global Dossier represents a pathway to three (3) information sources. With respect to citation information, both the EPO and USPTO Global Dossier portals include links to the "Common Citation Document" (CCD) website; however, only the USPTO Global Dossier portal includes a link to "Citation List". In general, three (3) sources of information, listed below, are available to the public via Global Dossier. This bulletin compares the EPO "Common Citation Document" (CCD) website to the recently introduced USPTO "Citation List" website since some differences exist and these differences may be of interest to the reader.

- 1. Patent family information (EPO worldwide legal status database (INPADOC))
- 2. Image file wrapper content (pdfs of file wrapper documents from participating offices)
- 3. Citation information (available from CCD via Espacenet or Citation List via Global Dossier)

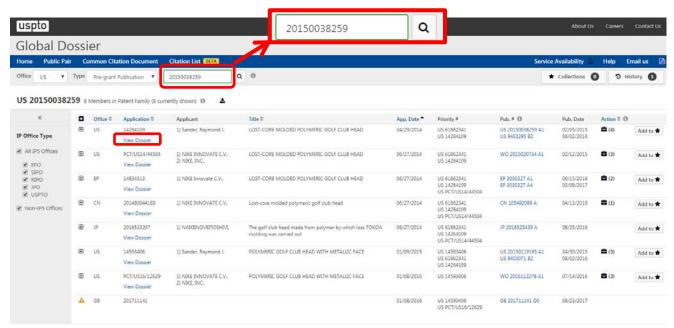


Please be aware that CIPO (Canada) and PCT / 1B documents are included in "Future Partners".

<sup>&</sup>lt;sup>1</sup>https://globaldossier.uspto.gov

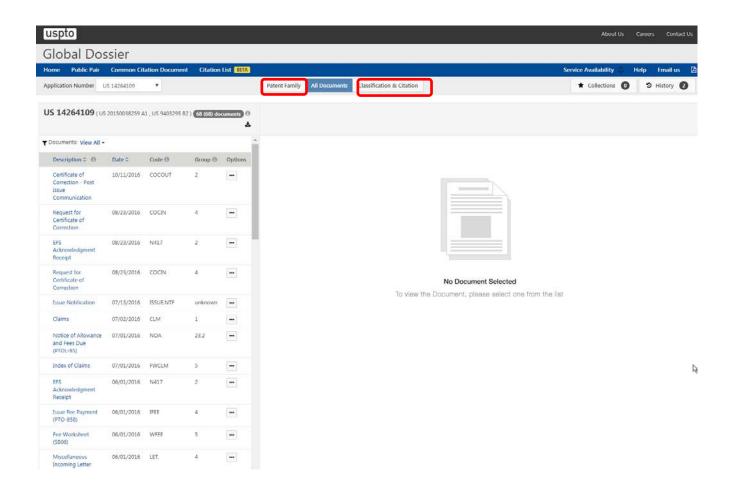
### **Citation Information via USPTO Portals**

To help illustrate the differences between the EPO and USPTO Global Dossier portals, with respect to citation information, a golf club head patent family was selected as a working example. Publication number, US20150038259A1, was used to lookup (<a href="http://globaldossier.uspto.gov/#/">http://globaldossier.uspto.gov/#/</a>) the associated patent family using both the USPTO Global Dossier portal (as of 10/16/2017) as well as Espacenet (as of 10/17/2017). Please be aware that the pre-grant publication number must be entered without the "US" country code, the forward slash "/", or the kind code "A1" present on the US pre-grant publication. If additional letters, characters, or numbers are present the number will automatically truncate. This can be inconvenient if the user is using a cut and paste technique to enter a patent application, pre-grant publication, or patent number obtained from another database.



This screenshot illustrates the INPADOC patent family associated with US pre-grant patent application publication US20150038259A1.

After selecting "View Dossier" the user will see a list of file history documents in chronological order, as shown on page 4. Please note that three viewing options are listed across the top of the "All Documents" screen (page 4). The list of file wrapper documents is referred to as "All Documents", which is the webpage associated with selection of the "View Dossier" hyperlink. If the user selects the "Patent Family" viewing option, Global Dossier will return to the webpage shown above. In other words, when a user enters an application, pre-grant publication, or patent number the "Patent Family" webpage appears by default. Lastly, selecting the "Classification & Citation" information option will deliver a webpage (not shown) that provides IPC classification, patent citation, and non-patent literature citation information, but not CPC information. The user should not be confused by the USPTO's Global Dossier "Classification & Citation" webpage in comparison to "Common Citation Document" and "Citation List". All three (3) relate to citation information, but each represents a different means for obtaining citation information.

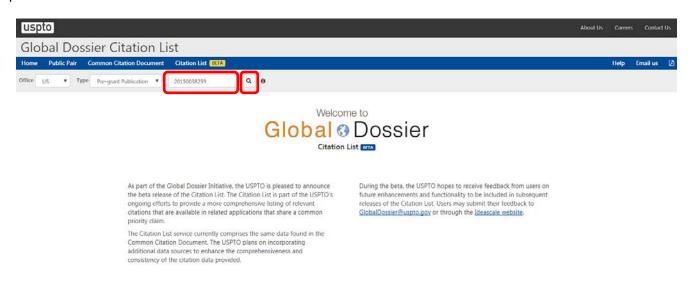


When viewing either the USPTO Global Dossier home page, or after completing a corresponding Global Dossier search, the user will see hyperlinks to both "Common Citation Document" and the newly introduced USPTO "Citation List" at the top of the either webpage (as shown below). Please be aware that "Common Citation Document" is not technically part of Global Dossier, but represents a separate IP5 initiative and is discussed on pages 9 through 12 of this bulletin. As illustrated in the next section, if the USPTO Global Dossier user selects "Citation list", the "Citation list" webpage will appear (see page 5).

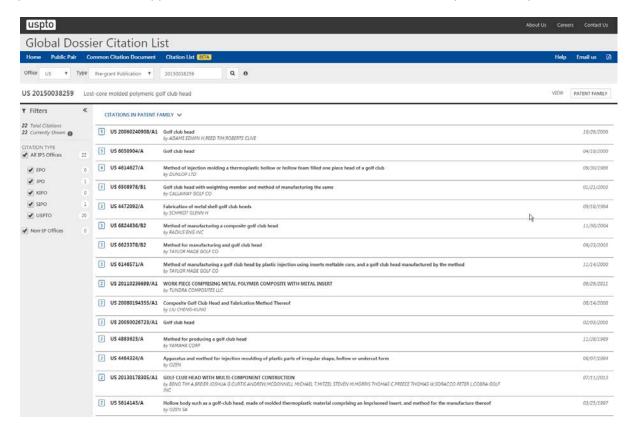


### **Citation List**

By selecting the previously discussed Citation List hyperlink, the user will be directed to the USPTO Global Dossier Citation List webpage where the user must enter the patent application, pre-grant publication, or patent number of interest and select the search icon.



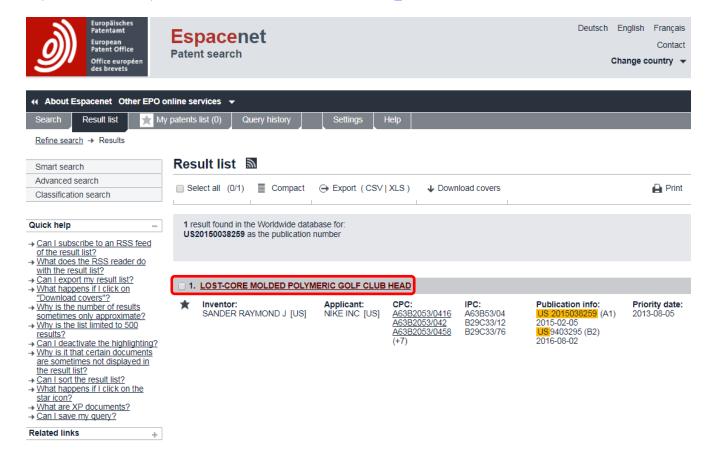
Cited patent literature will appear as shown, for all members of the associated patent family.



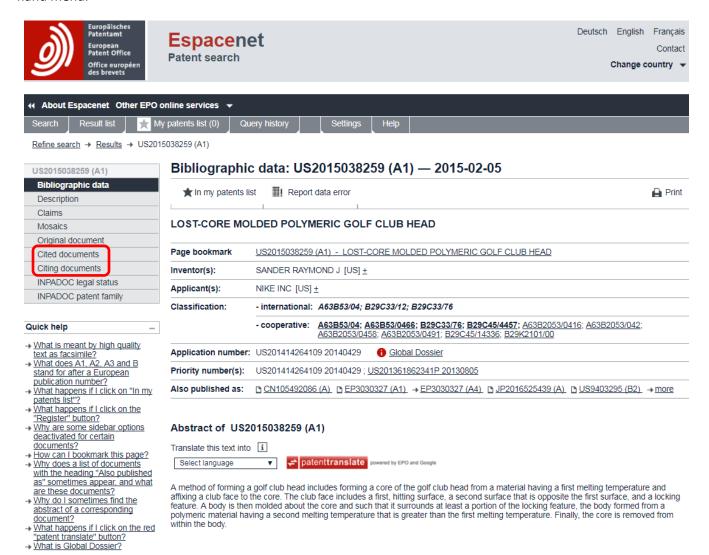
### **Citation Information via EPO Portals**

The EPO provides citation information via the Espacenet and Common Citation Document websites, but not through Global Dossier. To demonstrate, Espacenet will be used to retrieve patent family and citation information for US20150038259A1. After entering US20150038259A1 into Espacenet, the user must select the corresponding publication from the search results list to retrieve the "Bibliographic data" webpage (see page 7).

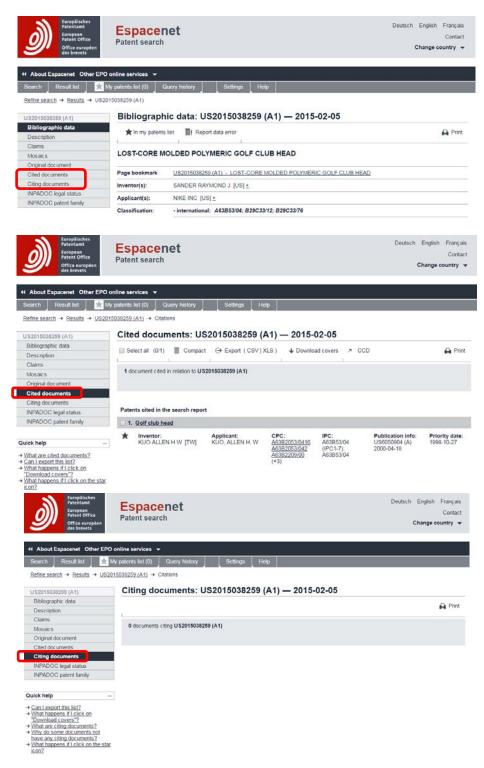
(https://worldwide.espacenet.com/advancedSearch?locale=en EP)



Please note that Espacenet dropped one of the zeros in the publication number and reports it as US2015038259A1; however, Espacenet's search engine will retrieve the correct patent document record if the user enters two zeros or a single zero. Both cited and citing patent documents may be accessed using the left-hand menu.



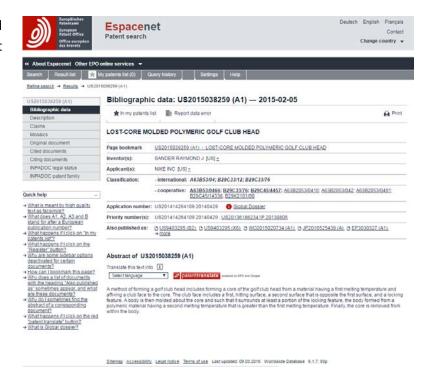
Patent documents that have been cited during the prosecution of US20150038259A1 may be identified by selecting "Cited Documents" from the menu shown on the left-hand side of the "Bibliographic data" webpage whereas any published patent applications / issued patents citing US20150038259A1 may be identified by selecting "Citing Documents". Please note that the "Cited Documents" count is not consistent with that identified within the USPTO Global Dossier portal because Espacenet has NOT included applicant cited references.



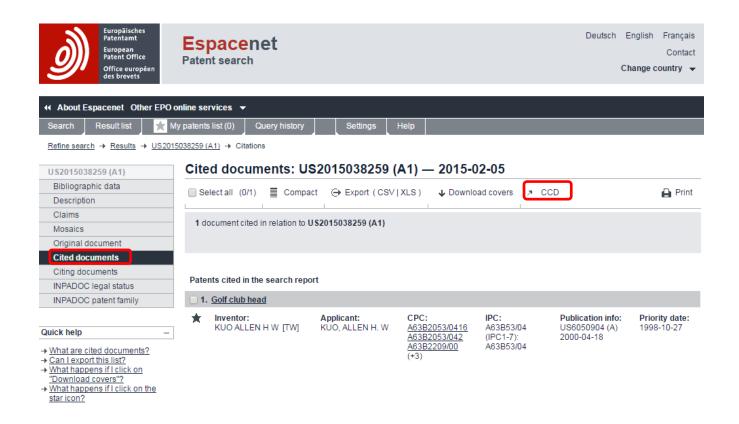
Espacenet users may access citation (cited and citing) information through Espacenet OR may access citation information (cited ONLY) through the Common Citation Document (CCD) website. A CCD hyperlink may be found on either the "Cited Document" or on the "INPADOC patent family" (not shown) webpages. As an alternative, users may access CCD directly (see URL).

# http://ccd.fiveipoffices.org/CCD-2.1.6/

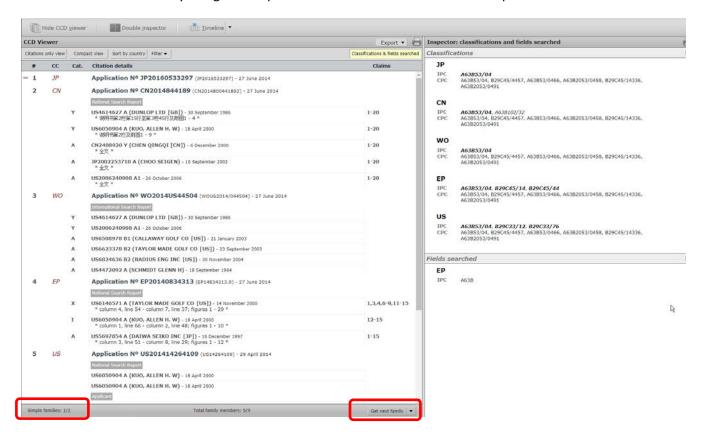
The CCD webpage, shown on the page 10, displays the cited documents associated with the simple patent family.



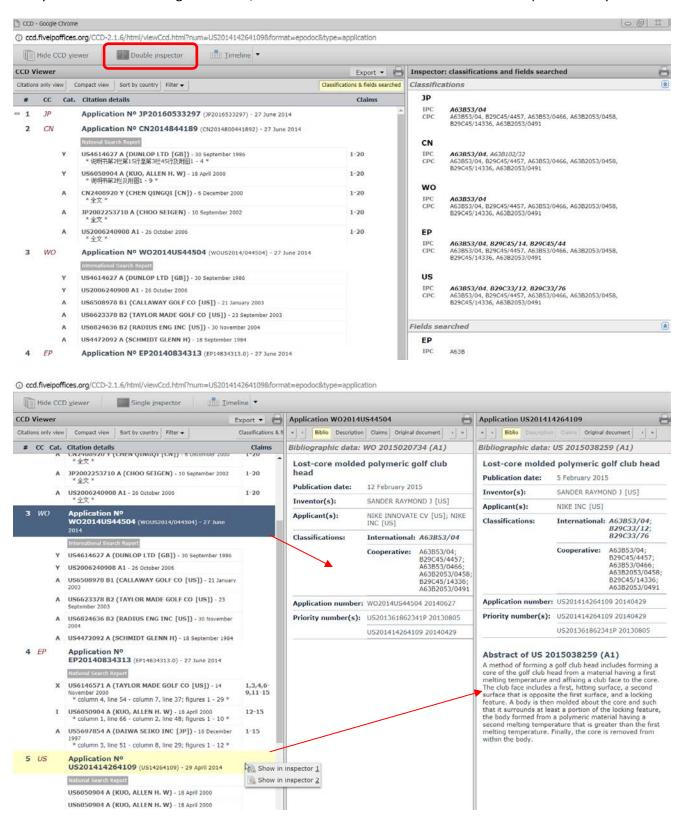
## **Common Citation Document database**



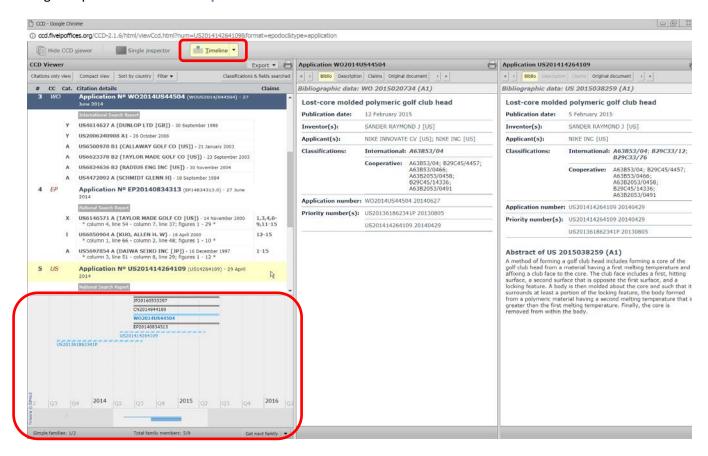
After selecting the CCD icon, found on the Espacenet webpage, cited patent references with respect to the patent family associated with published patent application US2015038259A1 will appear. CCD organizes cited references (patent and NPL) by simple patent family and references the source of cited reference information (National Search Report, International Search Report, or Applicant). The number of simple patent families is noted in the lower left-hand corner of the webpage. The next simple patent family, of the extended patent family, may be added to the result set by using the drop-down menu shown in a lower-center position.



The IP5 Common Citation Document (CCD) database includes features not currently available in USPTO "Citation List". As an example, CCD provides a feature referred to as "Double inspector". If the user selects "Double inspector", with respect to the patent family of US2015038259A1, two (2) family members are shown side by side when the user right clicks his/her cursor control device to select the second patent family member.

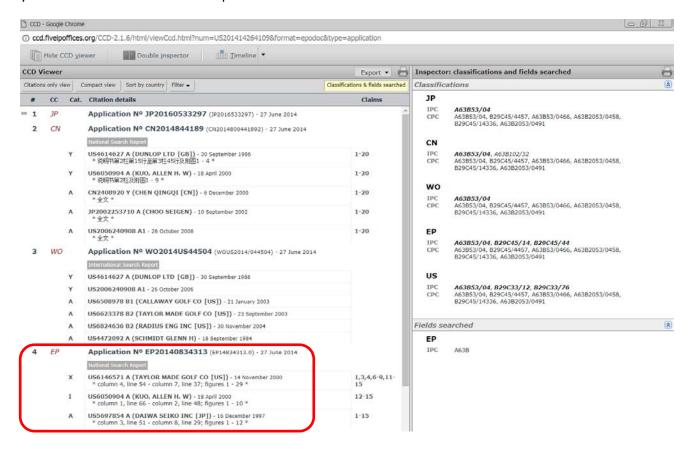


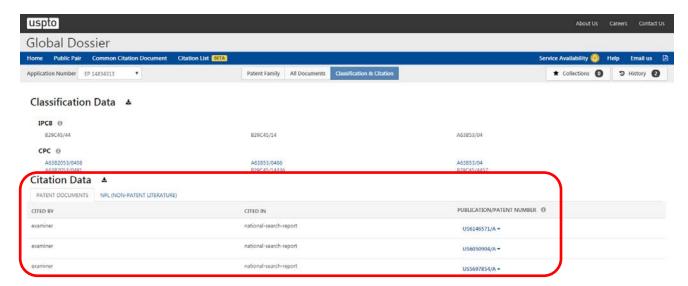
Another CCD feature not currently available in USPTO "Citation List" is referred to as "Timeline". This feature allows the user to view the chronological history of the patent family and may be used in conjunction with either "Single inspector or "Double inspector".



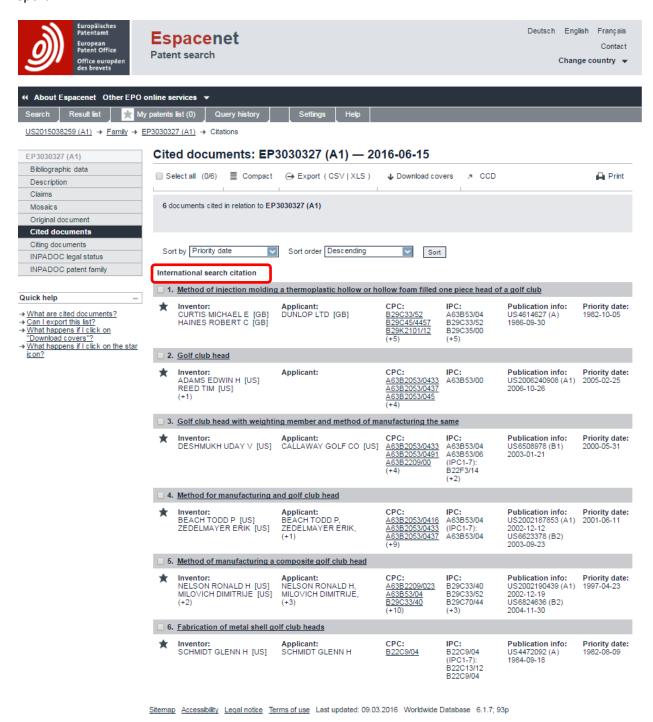
# **Cited Data Comparison**

In reference to the CCD webpage, with respect to US2015038259A1 as previously discussed on page 10, please note that CCD lists exactly the same cited references for the EP family member (publication number EP3030327A1, application number EP14834313) as that found on the "Classifications & Citation" page provided by USPTO Global Dossier. The comparison is shown below.

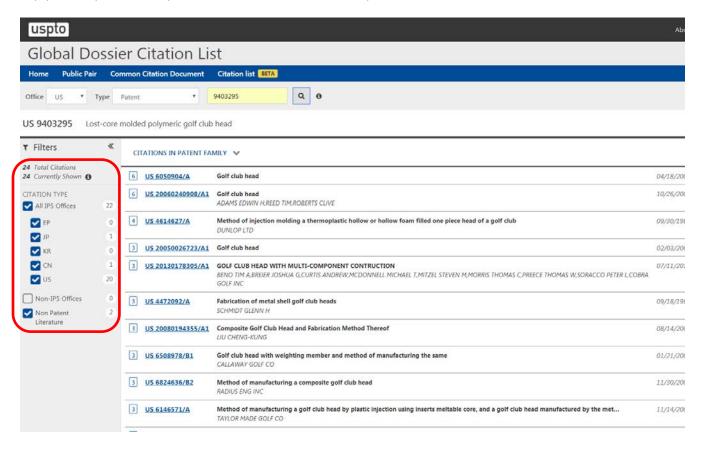




In contrast to CCD and USPTO Global Dossier, the Espacenet "Cited Documents" webpage for EP3030327A1 lists the international search report references rather than only the results associated with the national search report.



The USPTO's Citation List provides the cited references for the entire patent family, which includes the results of both the EP national search report and the international search report; however, the office designations in the left-hand column DO NOT designate the results of any particular national office search. These designations simply identify the country codes associated with the cited patent references.



In summary, with respect to both the simple and extended patent families of published patent application US20150038259A1, the USPTO's "Citation List" reports 22 cited patent references for the extended patent family while the EPO's "Common Citation Document" database reports 25 cited patent references for the extended patent family. Please be aware that the "Common Citation Document" database includes duplicates. In other words, the CN national search report for published family member CN105492086A lists US6050904A as a cited reference and the EP national search report for published family member EP3030327A1 cites the same patent reference. USPTO "Citation List" does not include duplicates; however, it does not organize cited references by either search authority or simple family. The table on page 16 illustrates the significance of duplicate cited references from various national search and international search reports. The highlighted patent application publications, shown on page 16, represent cited patent references that were present in the EPO's "Common Citation Document" database report, but were not present in the USPTO's "Citation List" report as of 1/7/2018.

	Extended Patent Family of US20150038259A1							
	Simple Patent Family of US20150038259A1					Simple Patent Family of US9403295		
Cited References	SIPO Search	Int'l Search	EPO Search	USPTO Examiner Search	USPTO Applicant Search	International Search	Combined National Searches	USPTO Applicant Search
CN2408920Y	*							
JP2002253710A	*							
US20050026723A1						*	*	*
US20050266933A1							*	
US20060240908A1	*	*			*	*	*	*
US20080194355A1						*	*	*
US20100041490A1							*	
US20100041494A1							*	
US20110236699A1					*		*	*
US20130178305A1						*	*	*
US20150119165A1						*	*	
US20150038259A1							*	
US4464324A					*		*	*
US4472092A		*			*		*	*
US4614627A	*	*			*		*	*
US4883623A					*		*	*
US5614143A					*		*	*
US5697854A			*					
US6050904A	*		*	*		*	*	
US6146571A			*		*		*	
US6162130A							*	
US6508978B1		*			*		*	*
US6623378B2		*			*		*	*
US6648774B1							*	
US6824636B2		*			*		*	*
25	5	6	3	1	11	6	22	13

The user is encouraged to check multiple sources of citation information such as the USPTO's Global Dossier Classifications & Citation portal, the USPTO's Citation List portal, Espacenet "Cited documents", and the IP5's Common Citation Database.

# **Summary**

The USPTO Global Dossier portal, Espacenet, and Common Citation Database portals provide a combined means for identifying the extended INPADOC patent family and cited patent document/non-patent literature information with respect to patent applications of interest. This information may prove useful in conjunction with any type of patent search, and particularly with respect to patentability or invalidity studies. The reader may have access to other fee-based patent search systems and associated databases; however, alternative free sources of INPADOC patent family and cited reference information may prove beneficial. If the reader requires the most upto-date patent family and citation information available, the reader is encouraged to check more than one data source. The following comparison table lists the key USPTO Global Dossier Citation List portal, Espacenet, and CCD portal features discussed in this bulletin.

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Common "Common

"C:+-+:--

USPTO Global Dossier Portal	Espacenet ONLY	"Common Citation Document"	"Citation List" via USPTO
Yes	Yes	Yes	Yes
Yes	Yes	Yes	Yes
Yes	Yes	Situation Dependent	Situation Dependent
No	Yes	No	No
No	No	No	No
Yes	Yes	Yes	No
No	No	Yes	No
No	No	Yes	No
Yes	Yes	No	Yes
	Global Dossier Portal  Yes  Yes  Yes  No  No  No  No  No	Global Dossier Portal  Yes Yes  Yes Yes  Yes  No Yes  No No  Yes  No No  No No  No No  No No	Global Dossier Portal  Yes Yes Yes  Yes Yes Yes  Yes Yes Situation Dependent  No Yes No  No No No No  Yes Yes  No No Yes  No No Yes  No No Yes  No No Yes