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# WIPO



PCT/TCO/SS/III /10

ENGLISH ONLY

DATE: July 3, 1972

## WORLD INTELLECTUAL PROPERTY ORGANIZATION UNITED INTERNATIONAL BUREAUX FOR THE PROTECTION OF INTELLECTUAL PROPERTY GENEVA

### PATENT COOPERATION TREATY

#### INTERIM COMMITTEE FOR TECHNICAL COOPERATION

#### STANDING SUBCOMMITTEE

Third Session, Geneva, October 2 to 5, 1972

MINIMUM DOCUMENTATION: NON-PATENT LITERATURE  
INSPEC PROJECT

Report by the International Bureau

#### SUMMARY

The present document contains a progress report on developments regarding the proposals made by the Information Services of the Institution of Electrical Engineers (INSPEC) concerning a service to cover patent-associated literature (the "PAL" System). The document also contains certain suggestions with respect to future action regarding these proposals.

#### INTRODUCTION

1. It is recalled that, at the first session of the Standing Subcommittee of the PCT Interim Committee for Technical Cooperation, the representative of INSPEC ("Information Services in Physics, Electrotechnology, Computers and Control", operated by the Institution of Electrical Engineers, London) presented a proposal for a system to facilitate access by national Offices to selected areas of non-patent literature ("Patent-Associated Literature" (PAL) System). The full text of the proposal was distributed to the participants and was summarized in document PCT/TCO/SS/I/6.
2. The proposal envisaged providing English language abstracts of articles published in periodicals, indexes, and a magnetic tape service, with application of the International Patent Classification (IPC) to subgroup level. It also envisaged providing copies of the full texts of the articles if required by the national Offices; such a copy service would require negotiations to obtain the prior consent of the owners of the copyright in the articles copied, which, in the opinion of the Representative of INSPEC, was unlikely to be withheld.
3. The coverage of the PAL System would be developed in three phases. Phase 1 would be limited to the existing data base of INSPEC, which covered the fields of physics, electrical and electronics engineering, computers and control; in Phase 2, the coverage would be extended to include mechanical engineering. Extension into further fields (Phase 3) would be based on cooperation with other organizations; so far as the chemical field was concerned, Chemical Abstracts Service (Columbus, Ohio, USA) had already expressed its willingness to cooperate.

4. In the ensuing discussion, the Standing Subcommittee expressed its appreciation to the Representative of INSPEC for the presentation of the PAL proposal, which it considered to be of particular interest for the efforts of prospective PCT Authorities to solve the problem of non-patent literature within the framework of the PCT minimum documentation. The Standing Subcommittee stated its general approval of the principles of the proposal and was of the opinion that it merited further study.

5. For further details of the results of the discussion held at that first session, see document PCT/TCO/SS/I/17, paragraphs 36 to 47.

#### PILOT STUDY OF SAMPLE MATERIALS

6. On February 11, 1972, members of the Standing Subcommittee were advised of the mailing by INSPEC to them of sample sets of approximately 300 non-patent literature items, selected as "patent relevant" according to criteria laid down by the US Patent Office. The members of that Subcommittee were requested to inform the International Bureau of their evaluation of and/or observations on the materials received, before May 31, 1972 (see WIPO Circular No. 1385).

7. In May and June 1972, representatives of INSPEC and the International Bureau met with representatives of several Offices members of the Standing Subcommittee in order to discuss results of the evaluation and elicit suggestions for modifications of, and additions to, the original proposal and system definition. Discussions, the results of which are reflected in Agreed Notes of Discussion (Annexes A through G, were held with the following Offices:

- (i) on May 15 and 16, with the German Patent Office in West Berlin (see Annex A);
- (ii) on May 17, with the Netherlands Patent Office and the IIB in The Hague (see Annex B);
- (iii) on May 25 and 26, with the Japanese Government Patent Office in Tokyo (see Annex C);
- (iv) on May 29 and 30, with the State Committee for Inventions and Discoveries in Moscow (see Annex D);
- (v) on June 1 and 2, with the Swedish Patent Office in Stockholm (see Annex E);
- (vi) on June 14 and 15, with the United States Patent Office in Washington (see Annex F); and
- (vii) on June 28, with the Austrian Patent Office in Vienna (see Annex G).

8. In addition, written evaluations and/or observations have been received by the International Bureau:

- (i) on May 9, from the United Kingdom Patent Office (see Annex H);
- (ii) on May 29, from the United States Patent Office (see Annex I);
- (iii) on June 7, from the Swedish Patent Office (see Annex J).

9. INSPEC and the International Bureau wish to record their gratitude to the interested Patent Offices and the IIB for devoting considerable time and effort to evaluating the test materials and for their willingness to meet with the Representatives of INSPEC and the International Bureau on very short notice. The many constructive suggestions thus received should facilitate early initiation of a useful service for all prospective International Searching Authorities.

#### SUMMARY OF RESULTS OF PILOT STUDY

10. In compiling the summary which follows, the views of the seven members of the Standing Subcommittee reflected in the Agreed Notes of Discussion (Annexes A through G) have been correlated by the International Bureau and appropriate comments inserted based upon the three letters received (Annexes H through J). A table, in

Annex K, further summarizing the contents of Annexes A through H, has also been prepared by the International Bureau; but it should be borne in mind that the only authoritative statements are those to be found in Annexes A through J.

11. Journal Coverage - Two members (SW, OE) expressed the view that the list of publications to be included in the PAL System should be identical with the list of publications included in the PCT minimum documentation. Six others (DT, IB and NL, JA, SU, US) expressed the same view but added that they might be interested in receiving similar services for additional journals, especially (in the case of JA and US) if the PCT list were not very large.

12. SU stressed that the inclusion of a given publication on the PCT list should not be based merely on the number of prospective International Searching Authorities receiving that publication; rather the list should be formulated on the basis of a research project designed to investigate the frequency of references cited from the various publications by the examiners. Further, they stated that they would be willing to cooperate with other prospective Authorities in designing and carrying out such a research project.

13. Selection Criteria - No evaluation of the usefulness of the test items for patent searching had been undertaken by four members (OE, DT, JA, SU). IB and NL had judged 60% of the items to be useful; SW, 90%; US, 82%; and GB, 71%.

14. Only one member (NL) had attempted to determine the number of potential PAL items which had not been selected by the INSPEC Information Scientists and had found that only 75% of what they regarded as appropriate for including in the search file had indeed been selected.

15. US suggested that, pending formal agreement by the Standing Subcommittee on the selection criteria to be employed by the PAL System, the criteria to be employed in the initial implementation could be established by a special working group composed of representatives of the prospective International Searching and Examining Authorities subscribing to the service.

16. Abstract Sheet: Information Content - There was general agreement that the information content of the abstract sheets should be further improved and that this might be accomplished by one or more of the following alternatives:

- (a) by preparing special, informative abstracts relating to the patent-relevant subject matter disclosed in the item;
- (b) by printing also graphic information on the abstract sheets; and
- (c) by adding also keywords and key phrases.

It was noted that (a) and (b) would result in a significantly higher charge for the service and that the possibility of (b) was contingent upon a satisfactory solution of the copyright problem. US stated that their interest in specially prepared abstracts might be limited to items published in languages other than English. All members reserved their positions on this matter pending receipt of firm cost estimates.

17. International Patent Classification (IPC) - Assessments of the accuracy of the application of the IPC to the test items ranged from 65% (SW) to 80% (IB and NL). OE had studied the IPC allotments on a random sample and found them completely satisfactory. This was generally regarded as indicative that the materials could be added to the examiners' search files without further checking, particularly in view of the facts that this level of accuracy was attained after only very little training of the INSPEC Information Scientists in the application of the IPC and that INSPEC hoped to be able to have further training provided by subscribers to the PAL services.

18. Abstract Sheet: Presentation and Layout - Three members (DT, SW, US) commented on the need for a better quality of paper, but two of these (DT, SW) stressed the advantages of using A4 size. All agreed that all IPC symbols should appear on all copies of the abstract sheet for a given item and that as many copies of the sheet should be provided as IPC (or, in the case of US, US classification) assignments had been made. Five members (OE, DT, SU, SW, US) specified that the IPC symbols should be placed in the upper right corner, whereas JA was satisfied to have it in either upper corner. All favored locating the graphic

information on the bottom of the abstract sheet whenever possible; if no room was available, four members (DT, JA, SU, US) preferred utilizing a second sheet stapled to the abstract sheet, whereas SW preferred having the graphic information on the back of the sheet. DT and US suggested placing the Documentation Identification Number (DIN) in the upper left corner, with the publication date immediately below it.

19. Other Services - A number of observations were made with respect to the possible provision of other services by the PAL System.

(a) Three members (IB, JA, US) considered the provision of full text of PAL items to be the most significant, or even an essential, feature of the PAL System. One of these three members (JA) suggested that the full text be supplemented by keyword or key phrase indications. Four other members (OE, DT, SU, SW) showed little or no interest in full texts.

(b) Only one Office (SU) expressed considerable interest in the Titles Listing arranged by IPC and it suggested an additional listing arranged by journal title.

(c) Little interest was shown in microforms of the abstract sheet plus full text at this time--on the part of members because their own overall microform standards and applications were not yet defined, and on the part of INSPEC because the copyright problems were not yet resolved. One Office (JA) expressed possible interest in 16 mm roll film of the abstract sheets only, in lieu of the sheets themselves.

(d) Little or no interest was shown at this time in a magnetic tape service, except by one Office (US) which was interested in receiving only bibliographic data on magnetic tape. Two members (IB and NL) requested documentation and samples of other INSPEC services.

(e) One Office (JA) suggested compilation of a special abstract journal containing abstracts only of PAL items and arranged in IPC order. Another Office (US) considered such a journal to be an improvement over the proposed Titles Listings.

(f) One Office (US) required that its national classification be applied to all items. Another Office (SU) expressed interest in having US classification information also.

(g) Two Offices (SU and US) requested that INSPEC use CODEN or other internationally approved standard for identifying source journals and other publications.

(h) One Office (US) suggested that it might be useful to have INSPEC supply expanded titles for items for which the original title was unsatisfactory.

20. Based upon the contents of the Annexes to this document and participation in the discussions, the International Bureau has the following impression of what the PAL System should comprise if it is to meet the needs of the prospective International Searching and Examining Authorities with respect to both their international and their national requirements:

(i) The basic service should comprise at least the following elements:

- (a) selection of all patent-relevant items from an agreed list of publications, which list should be that referred to in Rule 34.1(b)(iii) of the Regulations under the Patent Cooperation Treaty;
- (b) classification of these items according to the International Patent Classification (IPC) to the finest subdivision (in general subgroup); and
- (c) provision of materials which can be incorporated in the examiner's search file, which bear sufficient information to enable him to assess the relevance of the item to his search needs ("abstract sheets").

(ii) The PAL System should permit individual subscribers to obtain additional, related services, in accord with their national and other requirements, such as (but not necessarily limited to) the following:

- (a) selection of items from publications in addition to those on the agreed list;
- (b) classification of items according to a national classification; and
- (c) copies of the full text of items for inclusion in the search files.

#### COPYRIGHT QUESTIONS

21. The matter of obtaining copyright clearance for the full-text copy service and for the inclusion of the most significant graphic information on the abstract sheets has been under investigation by Representatives of INSPEC. They plan to present a report of this matter before the October 1972 session of the Standing Subcommittee.

#### FUTURE PLANS

22. INSPEC indicated that it would submit to the International Bureau for transmission to the members of the Standing Subcommittee by July 31 a new set of proposals, including a new system definition and firm cost estimates. INSPEC would then use its best efforts to obtain at least three subscriptions or letters of intent to subscribe, based on the new proposals, by October 1, 1972. If successful, INSPEC would be prepared to initiate the PAL System in January or February of 1973.

#### FURTHER ROLE OF THE INTERNATIONAL BUREAU

23. The International Bureau and INSPEC consider that the concluding of a formal agreement between them is not necessary. Any possible further role that the International Bureau may play in the establishment and development of the PAL System will be defined by a decision of the Executive Committee of the Paris Union as a result of their consideration of this matter at their September 1972 session. It is possible that the Executive Committee may choose to confer on the Standing Subcommittee the task of advising the Director General of WIPO on matters concerning the PAL System.

#### FURTHER PROGRESS REPORT

24. A further progress report, containing information on the questions referred to in paragraphs 21 to 23, will be prepared as a supplement to that document before the next session of the Standing Subcommittee (document PCT/TCO/SS/III/11):

- (i) to take note of the information contained in this document;
- (ii) to comment on the studies so far undertaken;
- (iii) to take action on the suggestions of SU and US referred to in paragraphs 12 and 15;
- (iv) to advise the International Bureau with respect to further action in this matter, taking into account any decision of the Executive Committee of the Paris Union as referred to in paragraph 23.

/Annexes A to K follow/

AGREED NOTE OF DISCUSSIONS HELD IN BERLIN ON MAY 15 AND 16, 1972 between representatives of the Patent Office of the Federal Republic of Germany (DT), the Institution of Electrical Engineers, London (INSPEC) and the World Intellectual Property Organization (WIPO), concerning possible cooperation between DT and INSPEC for the provision of services under the PAL system.

Those present were:

DT:	K.-H. Hofmann	Head of the Berlin Branch Office of the German Patent Office
	Mrs. R.v. Schleussner	Head of the Foreign and International Industrial Property Section Munich
	W. Massalski	Technical Expert Berlin Branch Office
INSPEC:	R.B. Cox	Manager, Product Development
WIPO:	P.H. Claus	Technical Counsellor Head of ICIREPAT Section
	Miss P.M. McDonnell	Technical Consultant

#### INTRODUCTION

1. The discussions took place in the context of document PCT/TCO/SS/I/17, paragraphs 36 to 47 (report of the Standing Subcommittee of the PCT Interim Committee for Technical Cooperation at its first session held in Geneva from December 8 to 11, 1971).
2. The following points were discussed in respect of the materials provided by INSPEC in accordance with paragraph 46(i) and (ii) of the above-mentioned report and other services described under the PAL system. The comments made and conclusions reached are reflected in the paragraphs below.

#### PAL ITEMS: SELECTION CRITERIA

3. The representative of INSPEC stressed that the criteria for selecting the materials as submitted to the prospective international searching and examining authorities had been those applied for the selection of items by INSPEC to services provided to the US Patent Office.
4. Under these criteria a non-patent literature item is selected as being patent relevant by virtue of the inclusion within its disclosure of a set of features which relate to patentable subject matter and which (a) are known or thought to be novel in the experience of the INSPEC Information Scientist carrying out the selection or (b) are indicated explicitly or implicitly by the author to be novel. He stated that INSPEC appreciated the fact that substantial variations existed among the selection criteria applied by different national Patent Offices and that he anticipated that somewhat different criteria might be required in implementing the PAL system.
5. DT stated that for the time-being no evaluation of the materials had been made in respect of their being truly "patent associated literature." They will, however, consider this question in a later stage of the evaluation.

#### PAL ABSTRACT SHEET: INFORMATION CONTENT

6. DT explained that PAL abstract sheets could be of use for the examiners only if they were to include more technical information drawn from the original article. This additional information could be included as follows:
  - (i) by preparing informative abstracts for the PAL items (e.g. Derwent Central Patent Index type or GB abridgment type) rather than using author abstracts or a translation thereof.

- (ii) by adding the main formula, the main drawing or the main circuit diagram given in the original article, on or to the abstract sheet.

7. The representative of INSPEC stated that he had been investigating the feasibility of, and cost factors involved in, supplementing the PAL abstract sheet with a copy or copies of the page(s) of the article containing the main drawing. With the proviso that the copyright problems could be solved regarding the inclusion of drawings, formulae or circuit diagrams, it seemed feasible to include these features on the abstract sheets themselves. However, the cost of the PAL abstract sheets would be considerably increased.

8. With regard to the selection of the most significant drawing, the representative of INSPEC recalled the general PAL selection criteria (see paragraph 3 above) and stated that the drawing best illustrating the set of features related to the patentable subject matter would be selected as the most significant drawing.

9. Prices of the PAL abstract service would also increase considerably if INSPEC were required to prepare special abstracts (cf. paragraph 5(i) above) for the PAL subscribers. The basic premise of the PAL service rested in the fact that readily available abstracts could be used and disseminated at rather low cost, the chief benefits being derived from the selection itself of the PAL items and from the reliable allocation of the IPC symbols.

10. To improve the information content of the abstract sheets, the representative of INSPEC suggested the inclusion of keywords and key phrases on the sheets. The additional information could assist the examiner in judging the relevance of the PAL items to his search needs. He stated that this modification could be introduced at little or no additional cost, since the keywords or key phrases were already being applied for the purposes of other services of INSPEC; further, it could be done without necessitating consideration of any potential copyright obstacle.

#### INTERNATIONAL CLASSIFICATION (IPC) SYMBOLS

11. DT noted that the IPC symbols were assigned on the basis of the full text of the selected items and that, in the case of disclosure of two or more sets of patent-related features falling in different technical fields, more than one classification was assigned.

12. DT stated that a study of the IPC symbols applied by INSPEC in classifying the items had shown that the classification agreed in about 70% of the cases with the symbols allotted by the DT examiners. This percentage seemed to be sufficiently high, at least initially, to allow the DT Patent Office to place PAL abstract sheets into the search file (arranged according to IPC) without further checking.

#### PAL ABSTRACT SHEET: PRESENTATION AND LAYOUT

##### Paper Quality

13. The representative of INSPEC stated that the kind of paper used for the abstract sheets had been determined as the best quality available for use with computer printing devices. He agreed that a better quality of paper was needed and underlined that in the future, the computer printout would probably be used as a master for further reproduction by xerography.

##### IPC Symbols

14. DT expressed the preference for having all IPC symbols printed on all copies of the abstract sheets for those items to which more than one classification symbol had been assigned.

15. DT suggested printing the IPC symbols in the upper right corner of the sheet, in accordance with the presentation as used on its patent documents.

##### Size

16. DT stated that it appeared to be of great advantage to produce abstract sheets on A4 size paper for inclusion in the search file.

Drawing

17. DT expressed a preference for having the drawing on the bottom of the abstract sheet whenever possible, or otherwise on a separate sheet stapled to the abstract sheet.

Number of sheets per item

18. It was agreed that as many abstract sheets should be provided as IPC symbols were applied to each item selected.

Conclusion

19. Attached to the present note, is a model of a PAL abstract sheet, the presentation and layout of which was considered by the DT patent Office to be the most suitable for its needs.

FULL TEXT OF ARTICLES/COPYRIGHT PROBLEMS

20. The representative of INSPEC stated that his organization was presently discussing the question of a full-text copy service with the interested publishers. Technically the problems involved could be solved, but a number of administrative difficulties had arisen. INSPEC would, however, endeavor to submit to WIPO a progress report on this subject matter by the end of June 1972. In view of the proposed inclusion of drawings with the abstract sheets, the publishers are being approached on this aspect of the copyright problem as well.

21. DT stated that as far as they were concerned, there would be no need for full-text copies provided that the abstract sheet contained sufficient technical information.

OTHER SERVICES INCLUDED IN THE PAL SYSTEM

22. With regard to the PAL indexes (Titles Listings) arranged by IPC symbol, DT stated that they were not interested in these at this time.

23. Regarding the PAL magnetic tape service DT felt that, at this early stage, it was not appropriate to discuss this part of the service.

24. The representative of INSPEC stated that it might be possible to provide microforms of the PAL materials.

RELATIONSHIP BETWEEN PAL SERVICES AND PCT MINIMUM DOCUMENTATION

25. DT expressed the view that in any case the list of journals to be included in the PAL service should be identical with the list of journals included in the PCT minimum documentation. They added that they might be interested in having the same type of service for the additional journals to which they subscribe and which their examiners consider useful.

26. The representative of INSPEC pointed out that they are presently covering essentially all significant journals (approximately 2000) in the fields of physics, computers, control, electronics and electrical engineering and that they plan to increase their coverage to the mechanical engineering field in 1973. Further, Chemical Abstract Service (CAS) had indicated to INSPEC an interest in cooperating with them to extend the PAL service to chemistry and chemical engineering. It therefore appeared feasible that the PAL service could eventually cover all significant journals in all technical fields but could be limited to a selected subset of the journals covered by INSPEC and CAS. He referred in this respect to the results of the comparison made by INSPEC of its coverage to the WIPO "first list" (document PCT/TCO/SS/I/3) as described in the INSPEC publication "Minimum Documentation: Non-Patent Literature" dated December 12, 1971.

27. As far as cost estimates were concerned, the representative of INSPEC pointed out that four alternative formats for abstract sheets could be considered, having the following elements:

- (a) abstract
- (b) abstract plus keywords
- (c) abstract plus graphic information
- (d) abstract plus keywords plus graphic information.



He stated that, for Phase I (15,000 items per year), the following approximate costs--in addition to the annual cost for the basic service--might be expected:

- (a) \$0.08 per sheet
  - (b) \$0.10 per sheet
  - (c) \$0.42 per sheet)
  - (d) \$0.44 per sheet)
- maximum cost for each of three subscribers

Firm cost estimates per item (rather than per sheet) would be made available by the end of July 1972.

28. DT invited INSPEC also to include in these new cost calculations an estimation of the price of a PAL abstract especially prepared for Patent Office search needs as described in paragraph 5(i). The representative of INSPEC stated that he would look into the possibilities of including such a cost estimate.

#### FURTHER ACTION

29. After the submission by INSPEC in June 1972 of a progress report on the copyright problem (see also paragraph 20 above) and of a new system definition and firm cost estimates by the end of July 1972 (see also paragraph 27), INSPEC representatives will again visit prospective international searching authorities in early September 1972, for the purpose of inviting subscriptions or the signing of letters of intent to subscribe to PAL services.

30. As to a timetable for bringing the service into operation, the representative of INSPEC confirmed that his organization could initiate Phase I within three or four months from the time of endorsement by the Standing Subcommittee, conclusion of the agreement between INSPEC and WIPO, and the obtaining of a sufficient number of subscribers, as set forth in paragraph 46(iv) of document PCT/TCO/SS/I/17. If all goes smoothly with regard to fulfilling these conditions, operation of Phase I could start about January or February of next year and Phase II (mechanical engineering) within six months after that.

31. DT stated that in principle they were interested in having the service for search purposes provided that the information content of the abstract sheets would be adequate for such purposes.

#### ORGANIZATIONAL MATTERS

32. The representative of INSPEC stated that by the time the PAL system would be operational (Phase I) they contemplated appointing at least one technical staff member of INSPEC as liaison officer to each subscribing Patent Office. At the same time he hoped that several of their technical staff could be trained in applying IPC by sending them to the subscribing Patent Offices most conversant with the use of IPC. DT stated that they would consider this matter.

/Appendix follows/

PCT/TCO/SS/III/10  
Annex A  
Appendix

PAL - DIN S

Int.Cl.: G01b 15/02  
H 01S 4/00

Publication Date: MM YY

Title:

Abstract:

Reference:

Author:

Language:

Keywords:

Graphic information:

/Annex B follows/

AGREED NOTE OF DISCUSSIONS HELD IN THE HAGUE ON MAY 17, 1972, between representatives of the International Patent Institute (IIB), the Patent Office of the Netherlands (NL), the Institution of Electrical Engineers, London (INSPEC) and the World Intellectual Property Organization (WIPO), concerning possible co-operation between IIB/NL and INSPEC for the provision of services under the PAL system.

Those present were:

IIB	P. van Waasbergen	Technical Director
	L.F.W. Knight	Counsellor in Information Retrieval
	G. Phillips	Senior Examiner
NL	R.F. Okkes	Deputy Member of the Board
INSPEC	R.B. Cox	Manager, Product Development
WIPO	P.H. Claus	Technical Counsellor Head of ICIREPAT Section

#### INTRODUCTION

1. The discussions took place in the context of document PCT/TCO/SS/I/17, paragraphs 36 to 47 (report of the Standing Subcommittee of the PCT Interim Committee for Technical Cooperation at its first session held in Geneva from December 8 to 11, 1971).

2. The following points were discussed in respect of the materials provided by INSPEC in accordance with paragraph 46(i) and (ii) of the above-mentioned report and other services described under the PAL system. The comments made and conclusions reached are reflected in the paragraphs below.

3. At the outset the IIB/NL stated that the PAL materials had been mainly studied from the point of view of classification accuracy and the utility of the articles concerned as search material. In addition, attention had also been paid to INSPEC coverage of publications and to the distribution of the sample articles over the various sections of the International Patent Classification (IPC).

#### PAL ITEMS: SELECTION CRITERIA

4. The IIB stated that as regards article selection or screening, 60% of the articles contained in the sample could probably usefully be included in their search files.

5. The NL stated that they had checked the selection of articles for 11 issues of periodicals within the sample, and had found that of these periodicals only 75% of what they regarded should be included in the search file, had indeed been selected. The list of these issues of periodicals was given to the INSPEC representative.

6. The representative of INSPEC stressed that the criteria for selecting the material as submitted to the prospective international searching and examining authorities had been those applied for the selection of items by INSPEC to services provided to the US Patent Office. According to these criteria the materials should comprise new or allegedly new items as follows: devices; materials; types of material, e.g. superconducting material; modifications to standard or known equipment and techniques; measurement methods; and all papers (including theory) on recent advances, such as lasers and holography. He emphasized that INSPEC appreciated the fact that there are substantial variations among the selection criteria applied by different national Patent Offices and therefore that somewhat different selection criteria may be required in implementing the 'PAL' System.

7. The IIB asked why items, pertaining to sections of the IPC not obviously relating to the subject matter which would be covered in Phase I, had been included in the sample. The representative of INSPEC explained that the material of the sample represented all of three days output to be provided to the US

Patent Office, under the existing special agreement between INSPEC and that Office. Such material is taken from the entire INSPEC coverage and without regard to specific subject matter field; hence items relating to mechanical engineering and chemistry were present.

8. The IIB remarked that the sample provided by INSPEC did not reflect fully the proposed subject coverage in Phase I (e.g. very few items on power engineering, telecommunications and computers). INSPEC indicated that it was basically due to the size of the sample which was insufficient to reflect fully the intended coverage.

#### JOURNAL COVERAGE

9. The IIB noted that the present INSPEC coverage of journals vastly exceeds that of the combined NL/IIB coverage from a numerical point of view. However, a certain number of electrical and physics journals to which the IIB/NL subscribe, appear not to be included in the INSPEC coverage. A list of these journals was handed over to the INSPEC representative. It was stated that the extent to which these journals might provide useful search material had not been checked.

10. The representative of INSPEC confirmed that they presently cover approximately 2000 journals within their recognized subject matter fields and agreed to investigate the journals within the IIB/NL list with a view to their possible addition to the present INSPEC coverage.

#### INTERNATIONAL CLASSIFICATION SYMBOLS

11. IIB/NL noted that the IPC symbols were assigned on the basis of the full text of the selected items and that, when necessary, more than one classification should be assigned.

12. The IIB stated that a study of the IPC symbols applied by INSPEC in classifying the items had shown that the classification, down to subclass level, agreed in about 80% of the cases with the symbols allotted by the IIB examiners. The NL stated that a similar study on 40 items had revealed 80% agreement, down to subgroup level. These percentages were considered to be very encouraging especially in view of the fact that INSPEC's Information Scientists have very little experience in working with the IPC.

#### PAL SERVICES

##### Pal Abstract Sheets

13. IIB/NL stated that from the ten abstracts submitted with the "Pilot Study" nine appeared to be copies of the authors abstracts and one reproduced a few sentences at the beginning of the article having the character of an abstract. NL stated that these abstracts were satisfactory for use in novelty searches having regard to the limitations inherent to abstracts anyhow. The IIB did not agree entirely with this viewpoint and doubted whether abstract sheets in their present form could be considered to be suitable for all needs of the IIB.

14. The representative of INSPEC suggested that the information content of the abstract sheets could be improved by the addition of keywords and key phrases. This additional information could assist the examiner in judging the relevance of the PAL items to his search needs. He stated that this modification could be introduced at little additional cost, since these keywords and key phrases were already being applied for the purposes of other services of INSPEC. Alternatively, or in addition to these keywords or key phrases, the information content of the abstract sheets could be improved by the inclusion of the most relevant drawing or drawings of the article selected. Samples of abstract sheets with this additional information were handed over by INSPEC.

##### PAL Indexes

15. The IIB/NL stated that at the present time they saw no immediate use for the indexes as proposed. However, as the service would develop their interest in these might increase.

PAL Magnetic Tape

16. The IIB indicated that they would like a sample of one of the presently produced INSPEC tapes. However, as a first step documentation on the INSPEC magnetic tape services should be provided.

PAL Full Text

17. The IIB stated that the provision of full text for the PAL selected items was the most significant feature of the PAL system. Without such full-text copies, the system was considered to be less attractive. The attractive features of the PAL system for the IIB lay in the possibility of:

- (i) better coverage of non-patent literature;
- (ii) cutting the costs for selecting and preclassifying;
- (iii) reducing time delay for inclusion of non-patent literature items in the search files.

However, the IIB reserved its position until firm prices were available.

PAL Microforms

18. In the event of microforms being offered under the PAL system, the preference of IIB would probably be for aperture cards.

COPYRIGHT

19. The representative of INSPEC stated that his organization was presently discussing the question of a full-text copy service with the interested publishers. Technically, the problems involved could be solved but a number of administrative difficulties had arisen. INSPEC would, however, endeavor to submit to WIPO a progress report on this subject matter by the end of June 1972. In view of the proposed inclusion of drawings with the abstract sheets the publishers are being approached on this aspect of the copyright problem as well.

20. The IIB raised the question whether making of further copies of the full text item provided by INSPEC would be permissible.

RELATIONSHIP BETWEEN PAL SERVICES AND PCT MINIMUM DOCUMENTATION

21. IIB/NL expressed the view that the list of journals which will be included in the PCT minimum documentation, should be included in the PAL service. Also the IIB/NL would be interested in receiving similar coverage for publications outside the PCT minimum documentation.

22. The representative of INSPEC stated that they plan to increase their coverage to the mechanical engineering field in 1973. Further, Chemical Abstracts Service (CAS) had indicated to INSPEC an interest in cooperating with them to extend the PAL service to chemistry and chemical engineering. It therefore appeared feasible that the PAL service could eventually cover all significant journals in the PCT minimum documentation and could be expanded beyond this for prospective international searching and examining authorities so requesting, with the proviso that this expansion is feasible within the coverage of the present services operated by INSPEC and CAS.

FURTHER ACTION

23. After the submission by INSPEC in June 1972 of a progress report on the copyright problem (see also paragraph 19), a new system definition and new cost estimates will be prepared by INSPEC and submitted by the end of July 1972. INSPEC representatives would again visit prospective international searching authorities in early September 1972, for the purpose of inviting subscriptions or the signing of letters of intent to subscribe to PAL services.

24. As to a timetable for bringing the service into operation, the representative of INSPEC confirmed that his organization could initiate Phase I within three or four months from the time of endorsement by the Standing Subcommittee, conclusion of the agreement between INSPEC and WIPO, and the obtaining of a sufficient number of subscriptions, as set forth in paragraph 46(iv) of docu-

ment PCT/TCO/SS/I/17. If all goes smoothly with regard to fulfilling these conditions, operation of Phase I could start about January or February of next year and Phase II (mechanical engineering) within six months after that.

25. The IIB asked to be provided with a listing of the items selected over a certain period of time for the US Patent Office, together with the bibliographic references of these items. The representative of INSPEC promised to look into the possibilities of providing such a list.

26. The IIB, having observed that a very large percentage of the items supplied in the sample were in the English language, requested figures on the distribution by language of the items selected by INSPEC for the US Patent Office. The representative of INSPEC thought that such figures were available within INSPEC and could, therefore, most likely be provided without major difficulties.

#### ORGANIZATIONAL MATTERS

27. The representative of INSPEC stated that by the time the PAL system would be operational (Phase I) they contemplated appointing at least one technical staff member of INSPEC as liaison officer to each subscribing patent office. At the same time, he hoped that several of their technical staff could be trained in IPC classification by sending them to the subscribing Patent Offices most conversant with the use of IPC. The IIB stated that it would be feasible to offer such training facilities.

/Annex C follows/

AGREED NOTE OF DISCUSSIONS HELD IN TOKYO ON MAY 25 and 26, 1972 between representatives of the Japanese Government Patent Office (JA), the Institution of Electrical Engineers, London (INSPEC) and the World Intellectual Property Organization (WIPO), concerning possible cooperation between JA and INSPEC for the provision of services under the PAL system.

Those present were:

JA:	K. Otani	Director General, 2nd Examination Department
	K. Matsue	Director General, 5th Examination Department
	S. Kuroda	Director, General Affairs Division
	H. Uchiyama	Director, Documentation Division
	M. Umeda	Director, Mechanization Research Office
	H. Fujiwara	Director, Classification Division
	K. Hoshikawa	General Affairs Division
	H. Yokokawa	General Affairs Division
	N. Nakajima	Documentation Division
	T. Yasuda	Classification Division
	S. Hayashi	Department of Appeals
INSPEC:	R.B. Cox	Manager, Product Development
WIPO:	Miss P.M. McDonnell	Technical Consultant
	K. Takami	Technical Consultant

#### INTRODUCTION

1. The discussions took place in the context of document PCT/TCO/SS/I/17, paragraphs 36 to 47 (report of the Standing Subcommittee of the PCT Interim Committee for Technical Cooperation at its first session held in Geneva from December 8 to 11, 1971).
2. The following points were discussed in respect of the materials provided by INSPEC in accordance with paragraph 46 (i) and (ii) of the above mentioned report and other services described under the PAL system. The comments made and conclusions reached are reflected in the paragraphs below.
3. At the outset it was agreed that the present discussion was concerned with the technical aspects of the proposed service rather than the business arrangements.
4. A brief report was given on the discussions already held with officials of the Patent Office of the Federal Republic of Germany in West Berlin and of the Patent Office of the Netherlands and the IIB in The Hague.

#### PAL ITEMS: SELECTION CRITERIA

5. The representative of INSPEC stressed that the criteria for selecting the materials as submitted to the prospective international searching and examining authorities had been those applied for the selection of items by INSPEC to services provided to the US Patent Office.

6. Under these criteria a non-patent literature item is selected as being patent relevant by virtue of a set of features which (a) are known or thought to be novel in the experience of the INSPEC Information Scientist carrying out the selection or (b) are indicated explicitly or implicitly by the author to be novel. He stated that INSPEC appreciated the fact that substantial variations existed among the selection criteria applied by different national Patent Offices and that he anticipated that somewhat different criteria might be required in implementing the PAL system.

7. JA stated that for the time-being no evaluation of the materials had been made in respect of their being truly "Patent Associated Literature." They will, however, consider this question in a later stage of evaluation.

PAL ABSTRACT SHEET: INFORMATION CONTENT

8. JA explained that PAL abstract sheets could be of use for the examiners only if they were to include more technical information drawn from the original article. This additional information could be included as follows:

- (i) by preparing informative abstracts for the PAL items (e.g., GB abridgment type) rather than using author abstracts or translations thereof.
- (ii) by adding graphic information (e.g., the main formula, the main drawing or the main circuit diagram given in the original article) on or to the abstract sheet.

9. The representative of INSPEC stated that he had been investigating the feasibility of, and cost factors involved in, supplementing the PAL abstract sheet with a copy or copies of the page(s) of the article containing the most significant graphic information. With the proviso that the copyright problems could be solved regarding the inclusion of this graphic information, it seemed feasible to include these features on the abstract sheets themselves. However, the cost of the PAL abstract sheets would be increased considerably.

10. With regard to the selection of the most significant graphic information, the representative of INSPEC recalled the general PAL selection criteria (see paragraph 6 above) and stated that the diagram or drawing best illustrating the set of features related to the patentable subject matter would be selected as the most significant graphic information.

11. Prices of the PAL abstract service would also increase considerably if INSPEC were required to prepare special abstracts (cf. paragraph 8 (i) above) for the PAL subscribers. The basic premise of the PAL service rested in the fact that readily available abstracts could be used and disseminated at rather low cost, the chief benefits being derived from the selection itself of the PAL items and from the reliable allocation of the IPC symbols.

12. To improve the information content of the abstract sheets, the representative of INSPEC suggested the inclusion of keywords and key phrases on the sheets. The additional information could assist the examiner in judging the relevance of the PAL items to his search needs. He stated that this modification could be introduced at little or no additional cost, since these keywords and key phrases were already being applied for the purposes of other services of INSPEC; further, it could be done without necessitating consideration of any potential copyright obstacle.

13. In response to a question by JA regarding the application of these keywords and key phrases, the representative of INSPEC explained that these are natural language terms usually taken directly from the author's language and are not controlled through any thesaurus. Their selection is based upon a consideration of the full text of the original article and is not limited to the abstract.

14. JA suggested that it might be preferable to have the keywords and key phrases indicated on the full text copies of the original articles, e.g., by underlining. The representative of INSPEC pointed out that such underlining would necessitate the carrying out of an additional clerical operation and thus



increase the cost. He suggested that a more economical solution might be to have the keywords and key phrases listed by the computer and attached to the first page of the full text.

#### INTERNATIONAL CLASSIFICATION (IPC) SYMBOLS

15. JA noted that the IPC symbols were assigned on the basis of the full text of the selected items and that, in the case of disclosure of two or more sets of patent-related features falling in different technical fields, more than one classification was assigned.

#### PAL ABSTRACT SHEET: PRESENTATION AND LAYOUT

##### IPC Symbols

16. JA expressed the preference for having all IPC symbols printed on all copies of the abstract sheets for those items to which more than one classification had been assigned.

17. JA suggested printing the IPC symbols in an upper corner of the sheet, in accordance with the presentation as used on its patent documents.

##### Graphic Information

18. JA expressed a preference for having the graphic information on the bottom of the abstract sheet whenever possible; when necessary, a separate sheet stapled to the abstract sheet should be used rather than the back of the abstract sheet.

#### FULL TEXT OF ARTICLES/COPYRIGHT PROBLEMS

19. The representative of INSPEC stated that his organization was presently discussing the question of a full-text copy service with the interested publishers. Technically the problems involved could be solved, but a number of administrative difficulties had arisen. INSPEC would, however, endeavor to submit to WIPO a progress report on this subject matter by the end of June 1972. In view of the proposed inclusion of drawings with the abstract sheets, the publishers are being approached on this aspect of the copyright problem as well.

20. JA stated that, as far as they were concerned, they felt that it would be necessary to have copies of the full text of the original articles available in the examiners' search files. They would be willing to accept these copies in either paper or 16mm roll microfilm at this time. However, in the future, they may prefer to receive aperture cards.

21. Regarding the PAL abstract sheets without drawings or microfilm thereof, INSPEC representatives considered that there would be no problem if JA were to make copies and to disseminate them to examiners and also to other persons including applicants, for administrative purposes.

#### OTHER SERVICES INCLUDED IN THE PAL SYSTEM

22. With regard to the PAL indexes (Titles Listings) arranged by IPC, JA stated that they would like to consider this matter after the kinds of services and their cost estimates were fixed.

23. Regarding the PAL magnetic tape service JA felt that, at this early stage, it was not appropriate to discuss this part of the service.

24. JA suggested that it might be useful to have a special abstract journal covering only items selected for the PAL services and arranged according to IPC. They would have no objection to including the keywords and key phrases within such a publication. However, they expressed requirements for including in each entry all IPC symbols assigned to the item concerned and for repeating each entry in full under each IPC allocation.

RELATIONSHIP BETWEEN PAL SERVICES AND PCT MINIMUM DOCUMENTATION

25. JA expressed the view that the list of journals to be included in the PAL service should include at least the list of journals included in the PCT minimum documentation. If this PCT list were very small, JA might be interested in receiving similar services for additional publications, especially those in the Japanese language.

COST ESTIMATE

26. JA invited INSPEC to include in its new cost calculations an estimation of the price of a PAL abstract especially prepared for Patent Office search needs as described in paragraph 8(i) above. The representative of INSPEC stated that he would look into the possibilities of including such a cost estimate.

FURTHER ACTION

27. After the submission by INSPEC in June 1972 of a progress report on the copyright problem (see also paragraph 19 above), a new system definition and firm cost estimates will be submitted by the end of July 1972. The INSPEC representative stated that either he or one of his associates planned to visit prospective international searching authorities in early September 1972, for the purpose of inviting subscription or the signing of letters of intent to subscribe to PAL services.

28. As to a timetable for bringing the service into operation, the representative of INSPEC confirmed that his organization could initiate Phase I within three or four months from the time of endorsement by the Standing Subcommittee, conclusion of the agreement between INSPEC and WIPO, and the obtaining of a sufficient number of subscribers, as set forth in paragraph 46(iv) of document PCT/TCO/SS/I/17. If all goes smoothly with regard to fulfilling these conditions, operation of Phase I could start about January or February of next year and Phase II (mechanical engineering) within six months after that.

29. JA stated that in principle they were interested in having the service, for search purposes, provided that the information content of the abstract sheets would be adequate for such purposes. However, they stated that they would require more time to complete their evaluation of the services and to make a decision. In any case, the procedures for establishing their budget prohibit them from signing a letter of intent to subscribe before the beginning of 1973.

ORGANIZATIONAL MATTERS

30. The representative of INSPEC stated that when the PAL system becomes operational (Phase I) they plan to appoint at least one technical staff member of INSPEC as liaison officer to each subscribing Patent Office. Furthermore, he hoped that several of their technical staff could be trained in applying IPC by sending them to the subscribing Patent Offices most conversant with the use of IPC.

/Annex D follows/

AGREED NOTE OF DISCUSSIONS HELD IN MOSCOW ON MAY 29 and 30, 1972, between the representatives of the Committee for Inventions and Discoveries attached to the Council of Ministers of the USSR (the Committee), Institution of Electrical Engineers, London (INSPEC) and the World Intellectual Property Organization (WIPO), concerning possible cooperation between the Committee and INSPEC for the provision of services under the PAL system.

Those present were:

The Committee:	E. Artemiejev	Deputy Chairman
	R. Vcherashni	Director - Central Research Institute for Patent Information (TSNIIPI)
	V. Denisov	Head of the Patent Information Division of the Committee
	F. Sviridov	Deputy Director (VINITI)
	V. Iljin	Acting Head of the External Relations Dept.
	V. Evgenijev	Head of Section, Foreign Patenting Dept.
INSPEC:	R.B. Cox	Manager, Product Development
WIPO:	P.H. Claus	Technical Counsellor, Head, ICIREPAT Section
	Miss P.M. McDonnell	Technical Consultant
	K. Takami	Technical Consultant

#### INTRODUCTION

1. The discussions took place in the context of document PCT/TCO/SS/I/17, paragraphs 36 to 47 (report of the Standing Subcommittee of the PCT Interim Committee for Technical Cooperation at its first session held in Geneva from December 8 to 11, 1971).
2. The following points were discussed in respect of the materials provided by INSPEC in accordance with paragraph 46 (i) and (ii) of the above mentioned report and other services described under the PAL system. The comments made and conclusions reached are reflected in the paragraphs below.
3. At the outset it was agreed that the present discussion was primarily concerned with the technical aspects of the proposed service rather than the business arrangements. However, the Committee stated that they wished to have some exploratory discussions regarding possible arrangements for exchange of services.
4. A brief report was given summarizing the discussions already held with officials of the Patent Office of the Federal Republic of Germany in West Berlin, of the Patent Office of the Netherlands and the IIB in The Hague and of the Patent Office of Japan in Tokyo.

#### PAL ITEMS: SELECTION CRITERIA

5. The representative of INSPEC stressed that the criteria for selecting the materials submitted to prospective international searching and examining authorities for the purposes of the pilot study had been those applied for the selection of items by INSPEC in providing services for the US Patent Office.

6. According to these criteria a non-patent literature item is selected as being patent relevant by virtue of features which (a) are known or thought to be novel in the experience of the INSPEC Information Scientist carrying out the selection or (b) are indicated explicitly or implicitly by the author to be novel. He stated that INSPEC appreciated the fact that substantial variations existed among the selection criteria applied by different national Patent Offices and that he anticipated that somewhat different criteria might be required in implementing the PAL system.

7. The Committee stated that for the time-being no evaluation of the materials had been made in respect of their being truly "Patent Associated Literature", since the materials had been received only within the previous two weeks. They will, however, consider this question in a later stage of the evaluation.

8. With regard to the principles to be employed in selecting items for inclusion in the proposed PAL service, the Committee observed that these were two aspects to be considered:

- (i) the definition of the list of publications to be included as sources from which items were to be selected; and
- (ii) the setting out of the criteria to be followed in the selection of the items from these source publications.

9. The Committee stated that they found acceptable the general principle of establishing a list, as discussed at the first session of the Standing Subcommittee of the PCT Interim Committee for Technical Cooperation. However, they stressed that inclusion of a given publication on this list should not be based merely on the number of prospective international searching authorities receiving that publication; rather, the list should be formulated on the basis of the results of a research project designed to investigate the frequency of references cited from the various publications by the examiners. Further, they stated that they would be willing to cooperate with other prospective authorities in designing and carrying out such a research project.

10. As to the criteria for selecting items from these source publications, the Committee expressed the view that the criteria must be defined so as to permit selection of all items required by any one or more Offices, to enable them to meet their varying national requirements as well as their PCT responsibilities.

#### PAL ABSTRACT SHEET: INFORMATION CONTENT

11. The Committee explained that PAL abstract sheets could be of use for the examiners only if they were to include more technical information drawn from the original article. This additional information could be included as follows:

- (i) by preparing informative abstracts for the PAL items (e.g., GB abridgment type) rather than using author abstracts or translations thereof;
- (ii) by adding graphic information (e.g., the main formula, the main drawing or the main circuit diagram given in the original article) on or to the abstract sheet.

12. The representative of INSPEC stated that he had been investigating the feasibility of, and cost factors involved in, supplementing the PAL abstract sheet with a copy or copies of the page(s) of the article containing the most significant graphic information. With the proviso that the copyright problems could be solved regarding the inclusion of this graphic information, it seemed feasible to include these features on the abstract sheets themselves. However, the cost of the PAL abstract sheets would be increased accordingly.

13. With regard to the selection of the most significant graphic information, the representative of INSPEC recalled the general PAL selection criteria (see paragraph 6 above) and stated that the diagram or drawing best illustrating the set of features related to the patentable subject matter would be selected as the most significant graphic information.

14. Prices of the PAL abstract service would also increase accordingly if INSPEC were required to prepare special abstracts (see paragraph 11 (i) above) for the PAL subscribers. The basic premise of the PAL service rested in the fact that readily available abstracts could be used and disseminated at rather low cost, the chief benefits being derived from the selection itself of the PAL items and from the reliable allocation of the IPC symbols.

15. To improve the information content of the abstract sheets, the representative of INSPEC suggested the inclusion of keywords and key phrases on the sheets. The additional information could assist the examiner in judging the relevance of the PAL items to his search needs. He stated that this modification could be introduced at little or no additional cost, since these keywords and key phrases were already being applied for the purposes of other services of INSPEC; further, it could be done without necessitating consideration of any potential copyright obstacle.

16. The Committee suggested that it might be possible to induce authors to prepare more informative abstracts for submission to publishers along with the full text of their articles and that this matter should be explored further.

#### INTERNATIONAL CLASSIFICATION (IPC) SYMBOLS

17. The Committee noted that the IPC symbols were assigned to the subgroup level on the basis of the full text of the selected items and that, in the case of disclosure of two or more sets of patent-related features falling in different technical fields, more than one classification was assigned.

#### PAL ABSTRACT SHEET: PRESENTATION AND LAYOUT

##### IPC Symbols

18. The Committee expressed the preference for having all IPC symbols printed on all copies of the abstract sheets for those items to which more than one classification symbol had been assigned.

19. They also suggested printing the IPC symbols in the upper right corner of the sheet.

##### Graphic Information

20. The Committee expressed a preference for having the graphic information on the bottom of the abstract sheet whenever possible; when necessary, a separate sheet stapled to the abstract sheet should be used, rather than the back of the abstract sheet.

#### FULL TEXT OF ARTICLES/COPYRIGHT PROBLEMS

21. The representative of INSPEC stated that his organization was presently discussing the question of a full-text copy service with the interested publishers. Technically the problems involved could be solved, but a number of administrative difficulties had arisen. INSPEC would, however, endeavor to submit to WIPO a progress report on this subject matter by the end of June 1972. In view of the proposed inclusion of drawings with the abstract sheets, the publishers are being approached on this aspect of the copyright problem as well.

22. The Committee stated that--as far as they were concerned--there would be no need for full-text copies in some areas of technology provided that the abstract sheets contained sufficient technical information. They explained that they had conducted an investigation into the depth of indexing required for patent searching and had identified three levels at which the technical information content of the document might be represented. In some cases and in some areas of technology, only rough indexing, such as that applied in a conventional classification system, was sufficient. In others, the use of abstracts was preferable. In still others, however, the use of deep coordinate indexing systems of the ICIREPAT type were required. They added that they might be interested in the full text at such time as it was available in some standardized type of microform, such as may be agreed upon as a result of investigations now under way within the Technical Committee for Standardization of ICIREPAT.

OTHER SERVICES INCLUDED IN THE PAL SYSTEM

23. With regard to the proposed PAL indexes (Titles Listings) arranged by IPC, the Committee stated that they would be interested in these or a variation thereof. They invited INSPEC to consider the possibility of providing an index in IPC order including the journal citation and also the publication date. This index might be useful in ensuring uniformity of search files in the international searching authorities and in checking the consistency of assigning IPC symbols. They also suggested the preparation of an inverted form of this index, arranged by journal title, for the purpose of checking assignment of IPC and application of the selection criteria.

24. The Committee urged INSPEC to use the CODEN or some other internationally accepted standard for identifying journals in its indexes and other services.

25. Noting that searches were sometimes made according to two different classification systems simultaneously, the Committee stated that they would be interested in receiving abstract sheets bearing the United States classification symbols as well as those of the IPC.

26. With regard to the compilation of a special abstract journal covering only items selected for the PAL system, the Committee stated that they would like to consider this matter further and that the extent of the interest would be dependent upon a number of factors, including cost.

RELATIONSHIP BETWEEN PAL SERVICES AND PCT MINIMUM DOCUMENTATION

27. The Committee expressed the view that, as far as PCT only is concerned, the list of publications to be included in the PAL service need include only publications included in the PCT minimum documentation. However, in view of the fact that in the Soviet Union an effort is being made to establish one overall documentation system which can be used for a variety of purposes (e.g., transfer of technology to developing countries, patent licensing, export consideration), they might be interested in having additional publications covered by INSPEC.

COST ESTIMATE

28. The Committee invited INSPEC to include in its new cost calculations an estimation of the price of a PAL abstract especially prepared for Patent Office search needs as described in paragraph 11(i). The representative of INSPEC stated that he would look into the possibilities of including such a cost estimate.

FURTHER ACTION

29. After the submission by INSPEC in June 1972 of a progress report on the copyright problem (see also paragraph 19 above), a new system definition and firm cost estimates will be submitted by the end of July 1972. The INSPEC representative stated that either he or one of his associates planned to visit prospective international searching authorities in early September 1972, for the purpose of inviting subscriptions or the signing of letters of intent to subscribe to PAL services.

30. As to a timetable for bringing the service into operation, the representative of INSPEC confirmed that his organization could initiate Phase I within three or four months from the time of endorsement by the Standing Subcommittee, conclusion of the agreement between INSPEC and WIPO, and the obtaining of a sufficient number of subscribers, as set forth in paragraph 46 (iv) of document PCT/TCO/SS/I/17.

If all goes smoothly with regard to fulfilling these conditions, operation of Phase I could start about January or February of next year and Phase II (mechanical engineering) within six months after that.

ORGANIZATIONAL MATTERS

31. The representative of INSPEC stated that when the PAL system becomes operational (Phase I) they plan to appoint at least one technical staff member of INSPEC as liaison officer to each subscribing Patent Office. Furthermore, he hoped that several of their technical staff could be training in applying IPC by sending them to the subscribing Patent Offices most conversant with the use of IPC. The Committee stated that they would consider this matter.

EXCHANGE OF SERVICES

32. In respect of paragraph 3 above, the Committee stated that the services of INSPEC are of interest predominantly in the form of exchange on a mutually acceptable basis such as the following: the Committee will forward to INSPEC-- in cooperation with VINITI--abstracts in the English language (accompanied by copies of the full original text if required) of domestic publications (in accordance with an additional list to be agreed) with the IPC symbols allotted; in exchange for these services INSPEC will provide abstracts of other publications prepared for it for the PAL service. The Committee stated that they will be able to forward the abstracts at the time of the publications becoming available domestically. A list of about 240 such publications was submitted by the Committee to INSPEC; further they agreed to submit a more concrete proposal regarding this matter of exchange at a later time.

33. The representative of INSPEC noted the proposal of the Committee and stated that he would bring it to the attention of the INSPEC management. He promised to study carefully all aspects of the proposed exchange as soon as full details of the proposal had been received.

/Annex E follows/

AGREED NOTE OF DISCUSSIONS HELD IN STOCKHOLM ON JUNE 1 AND 2, 1972, between representatives of the Swedish Patent Office (SW), the Institution of Electrical Engineers, London (INSPEC) and the World Intellectual Property Organization (WIPO), concerning possible cooperation between SW and INSPEC for provision of services under the PAL system.

Those present were:

SW:	T. Gustafson	Deputy Director General
	O. Hesselström	Head of Legal Division
	B. Hansson	Primary Examiner
INSPEC:	R.B. Cox	Manager, Product Development
WIPO:	Miss P.M. McDonnell	Technical Consultant

#### INTRODUCTION

1. The discussions took place in the context of document PCT/TCO/SS/I/17, paragraphs 36 to 47 (report of the Standing Subcommittee of the PCT Interim Committee for Technical Cooperation at its first session held in Geneva from December 8 to 11, 1971).
2. The following points were discussed in respect of the materials provided by INSPEC in accordance with paragraph 46(i) and (ii) of the above-mentioned report and other services described under the PAL system. The comments made and conclusions reached are reflected in the paragraphs below.
3. At the outset it was agreed that the present discussion was concerned with the technical aspects of the proposed service rather than the business arrangements.
4. A brief report was given on the discussions already held with officials of the Patent Office of the Federal Republic of Germany in West Berlin, of the Patent Office of the Netherlands and the IIB in The Hague, of the Japanese Government Patent Office in Tokyo, and of the Committee for Inventions and Discoveries in Moscow.

#### PAL ITEMS: SELECTION CRITERIA

5. The representative of INSPEC stressed that the criteria for selecting the materials submitted to the prospective international searching and examining authorities had been those applied for the selection of items by INSPEC to services provided to the US Patent Office.
6. Under these criteria a non-patent literature item is selected as being patent relevant by virtue of a set of features which (a) are known or thought to be novel in the experience of the INSPEC Information Scientist carrying out the selection or (b) are indicated explicitly or implicitly by the author to be novel. He stated that INSPEC appreciated the fact that substantial variations existed among the selection criteria applied by different national Patent Offices and that he anticipated that somewhat different criteria might be required in implementing the PAL system.
7. SW stated that their evaluation of the usefulness of the items supplied for the pilot study revealed that their examiners considered 65% of the items to be of high relevance to their search needs; 25%, of some value; and 10%, of little or no value. They also reiterated their position taken at the first session of the Standing Subcommittee that the value of non-patent literature generally is less than that of patent documents in the examining process; consequently there is a need for selectivity in adding non-patent documents to the rapidly growing search files, particularly in view of the increasing numbers of patent applications being published prior to examination.

#### PAL ABSTRACT SHEET: INFORMATION CONTENT

8. SW explained that PAL abstract sheets could be of more use for the examiners if they were to include more technical information drawn from the original article. This additional information could be included as follows:



- (i) by preparing informative abstracts for the PAL items (e.g., GB abridgment type) rather than using author abstracts or translations thereof.
- (ii) by adding graphic information (e.g., the main formula, the main drawing or the main circuit diagram given in the original article) on or to the abstract sheet.

9. The representative of INSPEC stated that he had been investigating the feasibility of, and cost factors involved in, supplementing the PAL abstract sheet with a copy or copies of the page(s) of the article containing the most significant graphic information. With the proviso that the copyright problems could be solved regarding the inclusion of this graphic information, it seemed feasible to include these features on the abstract sheets themselves. However, the cost of the PAL abstract sheets would be increased accordingly.

10. With regard to the selection of the most significant graphic information, the representative of INSPEC recalled the general PAL selection criteria (see paragraph 6 above) and stated that the one or more diagrams or drawings best illustrating the set of features related to the patentable subject matter would be selected as the most significant graphic information.

11. Prices of the PAL abstract service would also increase accordingly if INSPEC were required to prepare special abstracts (cf. paragraph 8(i) above) for the PAL subscribers. The basic premise of the PAL service rested in the fact that readily available abstracts could be used and disseminated at rather low cost, the chief benefits being derived from the selection itself of the PAL items and from the reliable allocation of the IPC symbols.

12. To improve the information content of the abstract sheets, the representative of INSPEC suggested the inclusion of keywords and key phrases on the sheets. The additional information could assist the examiner in judging the relevance of the PAL items to his search needs. He stated that this modification could be introduced at little or no additional cost, since these keywords and key phrases were already being applied for the purposes of other services of INSPEC; further, it could be done without necessitating consideration of any potential copyright obstacle.

13. SW described the results of the evaluation made by their examiners regarding the information content of the abstracts, in which the examiners compared the level of information found in the INSPEC abstracts with that found in the GB abridgments. They judged that 70% of the INSPEC abstracts were less valuable, with the main reason given being the absence of graphic detail. They had determined that in most cases the abstract could be understood by the examiner and did not require his consulting the original article to comprehend the nature of the disclosure. Further, they stated that in their opinion the inclusion of keywords and key phrases, together with graphic information, would make the abstract sheets adequate for search purposes.

#### INTERNATIONAL CLASSIFICATION (IPC) SYMBOLS

14. SW noted that the IPC symbols were assigned on the basis of the full text of the selected items and that, in the case of disclosure of two or more sets of patent-related features falling in different technical fields, more than one classification was assigned.

15. SW stated that a study of the IPC allotments applied by INSPEC had shown the following:

- (i) in about 65% of the cases, the most significant IPC subdivision had been assigned;
- (ii) in about 20% of the cases, the assignments made were correct, but did not cover the most significant aspect of the disclosure; and
- (iii) in the remaining 15% the classification was incorrect.

PAL ABSTRACT SHEET: PRESENTATION AND LAYOUTPaper Quality

16. The representative of INSPEC stated that the kind of paper used for the sample abstract sheets had been determined as the best quality available for use with computer printing devices. He agreed that a better quality of paper was needed and underlined that in the future, the computer printout would probably be used as a master for further reproduction by xerography.

IPC Symbols

17. SW expressed the preference for having all IPC symbols printed on all copies of the abstract sheets for those items to which more than one classification symbol had been assigned.

18. SW suggested printing the IPC symbols in the upper right corner of the sheet.

Size

19. SW stated that it appeared to be of great advantage to produce abstract sheets on A4-size paper for inclusion in the search file.

Graphic Information

20. SW expressed a preference for having the graphic information on the bottom of the abstract sheet whenever possible; when necessary, this information should be on the back of the sheet rather than on a separate sheet stapled to the abstract sheet.

Number of Sheets per Item

21. It was agreed that as many abstract sheets should be provided as IPC symbols were applied to each item selected.

FULL TEXT OF ARTICLES/COPYRIGHT PROBLEMS

22. The representative of INSPEC stated that his Organization was presently discussing the question of a full-text copy service with the interested publishers. Technically the problems involved could be solved, but a number of administrative difficulties had arisen. INSPEC would, however, endeavor to submit to WIPO a progress report on this subject matter by the end of June 1972. In view of the proposed inclusion of drawings with the abstract sheets, the publishers are being approached on this aspect of the copyright problem as well.

23. SW stated that as far as they were concerned, there might be no need for full-text copies provided that the abstract sheet contained sufficient technical information.

OTHER SERVICES INCLUDED IN THE PAL SYSTEM

24. With regard to the PAL indexes (Titles Listings) arranged by IPC symbols, SW stated that they were not interested in these at this time.

25. Regarding the PAL magnetic tape service SW felt that, at this early stage, it was not appropriate to discuss this part of the service.

26. SW stated that they might be interested in copies of the full text at such time as they might become available in microform.

27. In response to a question regarding the usefulness of a special abstract journal covering only items selected for the PAL service, SW stated that this would probably be of little or no interest because of the absence of graphic information.

RELATIONSHIP BETWEEN PAL SERVICES AND PCT MINIMUM DOCUMENTATION

28. SW expressed the view that the list of publications to be included in the PAL service should be identical with the list of publications included in the PCT minimum documentation.

FURTHER ACTION

29. After the submission by INSPEC in June 1972 of a progress report on the copyright problem (see also paragraph 22 above) a new system definition and firm cost estimates will be submitted by the end of July 1972. The INSPEC representative stated that either he or one of his associates planned to visit prospective international searching authorities in early September 1972, for the purpose of inviting subscriptions or the signing of letters of intent to subscribe to PAL services.

30. As to a timetable for bringing the service into operation, the representative of INSPEC confirmed that his Organization could initiate Phase I within three or four months from the time of endorsement by the Standing Subcommittee, conclusion of the agreement between INSPEC and WIPO, and the obtaining of a sufficient number of subscribers, as set forth in paragraph 46(iv) of document PCT/TCO/SS/I/17. If all goes smoothly with regard to fulfilling these conditions, operation of Phase I could start about January or February of 1973 and Phase II (mechanical engineering) within six months after that.

ORGANIZATIONAL MATTERS

31. The representative of INSPEC stated that when the PAL system becomes operational (Phase I) they plan to appoint at least one technical staff member of INSPEC as liaison officer to each subscribing Patent Office. Furthermore, he hoped that several of their technical staff could be trained in applying IPC by sending them to the subscribing Patent Offices most conversant with the use of IPC.

/Annex F follows/

AGREED NOTE OF DISCUSSIONS HELD IN WASHINGTON ON JUNE 14 and 15, 1972, between representatives of the United States Patent Office (US), the Institution of Electrical Engineers, London (INSPEC) and the World Intellectual Property Organization (WIPO), concerning possible cooperation between US and INSPEC for provision of services under the PAL system.

Those present were:

US:	R.A. Wahl	Assistant Commissioner for Patent Examining
	W. Feldman	Special Assistant to the Assistant Commissioner
	F.J. Cohen	Supervisory Primary Examiner
INSPEC:	R.B. Cox	Manager, Product Development
WIPO:	Miss P.M. McDonnell	Technical Consultant

#### INTRODUCTION

1. The discussions took place in the context of document PCT/TCO/SS/I/17, paragraphs 36 to 47 (report of the Standing Subcommittee for Technical Cooperation at its first session held in Geneva from December 8 to 11, 1971).
2. The following points were discussed in respect of the materials provided by INSPEC in accordance with paragraph 46(i) and (ii) of the above-mentioned report and other services described under the PAL system. The comments made and conclusions reached are reflected in the paragraphs below.
3. At the outset it was agreed that the present discussion was concerned with the technical aspects of the proposed service rather than the business arrangements.
4. A brief report was given on the discussions already held with officials of the Patent Office of the Federal Republic of Germany in West Berlin, of the Patent Office of the Netherlands and the IIB in The Hague, of the Japanese Government Patent Office in Tokyo, of the Committee for Inventions and Discoveries in Moscow, and of the Patent Office of Sweden in Stockholm.

#### PAL ITEMS: SELECTION CRITERIA

5. US noted that the criteria for selecting the materials submitted to the prospective international searching and examining authorities had been the same as those applied by INSPEC in selecting items for the services already being provided to the US Patent Office.
6. The representative of INSPEC stated that his organization appreciated the fact that substantial variation existed among the selection criteria applied by different national Patent Offices and that somewhat different criteria might be required in implementing the PAL system.
7. US stated that their evaluation of the usefulness of the items supplied for the pilot study revealed that their examiners considered 18% of the items to be improper selections for search file material. Consequently they considered it desirable to revise in at least some areas the criteria presently being applied by INSPEC in the services referred to in paragraph 5 above.
8. US suggested that, pending formal agreement by the Standing Subcommittee on the selection criteria to be employed for the PAL service, the criteria to be applied in the initial implementation could be agreed upon by a special working group composed of representatives of the prospective international searching and examining authorities subscribing to the service.

#### PAL ABSTRACT SHEET: INFORMATION CONTENT

9. US noted that some difficulties could arise in the use of author abstracts as search tools because such abstracts are concerned with the disclosure as a whole and are not always directed toward those aspects which caused the item to be selected for inclusion in the PAL service. In some instances, preparation of special abstracts might be warranted. It was further noted that graphic information was very useful to the examiners. Therefore, US considered that it might be desirable to improve the information content of the abstract sheets as follows:

- (i) by preparing informative abstracts for the PAL items (e.g., GB abridgment type) rather than using author abstracts or translations thereof, at least in so far as items published in a language other than English are concerned;
- (ii) by adding graphic information (e.g., the main formula, the main drawing or the main circuit diagram given in the original article) on or to the abstract sheet.

10. Prices of the PAL abstract service would increase if INSPEC were required to prepare special abstracts (cf. paragraph 9(i) above) for the PAL subscribers. The basic premise of the PAL service rested in the fact that readily available abstracts could be used and disseminated at rather low cost, the chief benefits being derived from the selection itself of the PAL items and from the reliable allocation of the IPC symbols.

11. The representative of INSPEC stated that he had been investigating the feasibility of, and cost factors involved in, supplementing the PAL abstract sheet with a copy or copies of the page(s) of the article containing the most significant graphic information. With the proviso that the copyright problems could be solved regarding the inclusion of this graphic information, it seemed feasible to include these features on the abstract sheets themselves. However, the cost of the PAL abstract sheets would be increased accordingly.

12. With regard to the selection of the most significant graphic information, the representative of INSPEC stated that the one or more diagrams or drawings best illustrating the set of features related to the patentable subject matter would be selected as the most significant graphic information.

13. To improve the information content of the abstract sheets, the representative of INSPEC suggested the inclusion of keywords and key phrases on the sheets. The additional information could assist the examiner in judging the relevance of the PAL items to his search needs. He stated that this modification could be introduced at little or no additional cost, since these keywords and key phrases were already being applied for the purposes of other services of INSPEC; further, it could be done without necessitating consideration of any potential copyright obstacle.

14. US favored the use of keywords and key phrases to assist examiners in selecting or rejecting items during the search process.

15. US reiterated their preference for specially prepared abstracts of items published in languages other than English and expressed the view that such abstracts, supplemented by keywords and key phrases, might be acceptable for search purposes if no copyright release for graphic material could be obtained from the publishers concerned (cf. paragraph 25 below).

#### INTERNATIONAL CLASSIFICATION (IPC) SYMBOLS

16. US noted that the IPC symbols were assigned on the basis of the full text of the selected items and that, in the case of disclosure of two or more sets of patent-related features falling in different technical fields, more than one classification was assigned.

17. US stated that a study of the IPC allotments applied by INSPEC had shown the following:

- (i) in 67% of the cases, the assignments were considered correct in every respect;
- (ii) in an additional 20% of the cases, discrepancies occurred at the subgroup level.

#### PAL ABSTRACT SHEET: PRESENTATION AND LAYOUT

##### Paper Quality

18. The representative of INSPEC stated that the kind of paper used for the sample abstract sheets had been determined as the best quality available for use with computer printing devices. He agreed that a better quality of paper was needed and underlined that in the future, the computer printout would probably be used as a master for further reproduction by xerography.

19. US agreed that a heavier quality of paper was needed and stated that they were now using 64 lb. stock in some of their xerographic work.

Document Identification Numbeerr

20. US proposed that the DIN be printed in the upper right corner of the abstract sheet.

Publication Date

21. US suggested that the publication date be placed in or near the upper left corner.

IPC Symbols

22. US expressed the preference for having all IPC symbols printed on all copies of the abstract sheets for those items to which more than one classification symbol had been assigned. (See also paragraph 30 below.)

23. US suggested printing the IPC symbols in the upper right corner of the sheet, just below the DIN.

Graphic Information

24. US expressed a preference for having the graphic information on the bottom of the abstract sheet whenever possible; when necessary, this information should be on a separate sheet stapled to the abstract sheet, rather than on the back of the sheet.

FULL TEXT OF ARTICLES/COPYRIGHT PROBLEMS

25. The representative of INSPEC stated that his organization was presently discussing the question of a full-text copy service with the interested publishers. Technically the problems involved could be solved, but a number of administrative difficulties had arisen. INSPEC would, however, endeavor to submit to WIPO a progress report on this subject matter by the end of June 1972. In view of the proposed inclusion of drawings with the abstract sheets, the publishers are being approached on this aspect of the copyright problem as well.

26. US stated that, as far as they were concerned, it was essential that full-text copies be provided, in view of their need to have the earliest possible effective date for the disclosure. If their examiners were to cite an abstract, the effective date would be that of publication of the abstract; but the examiners could use the somewhat earlier publication date of the original article if the full text were available to them.

OTHER SERVICES INCLUDED IN THE PAL SYSTEM

27. US considered the PAL indexes (Titles Listings arranged by IPC symbols) to be of value to the examiners as a means of affording quick look-up of subject matter and of correlating the document identification number with the appropriate INSPEC abstract journal and abstract number. However they did not regard such indexes as an essential part of the PAL service in its initial stage but would be interested in receiving them if they were made available.

28. With regard to the compilation of a special abstract journal covering only items selected for the PAL service, US considered that such an abstract journal would be an improvement over the PAL indexes, particularly if keywords were included.

29. US urged INSPEC to provide expanded titles where the original titles were unsatisfactory and also to provide CODEN on the abstract sheets.

30. Regarding the PAL magnetic tape service, US said that they were planning to keypunch bibliographic and classification data for non-patent literature items now being received from INSPEC; therefore, a magnetic tape service with this data would be of interest.

31. US stated that they required that all items be classified according to the US Patent Classification system and that such classification appear upon the abstract sheets in the upper left corner. It was agreed that as many abstract sheets be provided as US subclasses were assigned to each item related.

RELATIONSHIP BETWEEN PAL SERVICES AND PCT MINIMUM DOCUMENTATION

32. US expressed the view that the list of journals to be included in the PAL service should include at least the list of journals included in the PCT minimum documentation. If this PCT list were inadequate for national needs, US might be interested in receiving similar services for additional publications.

COST ESTIMATE

33. US invited INSPEC to include in its new cost calculations an estimate of the price of a PAL abstract especially prepared for Patent Office search needs as described in paragraph 9(i). The representative of INSPEC stated that he would attempt to include such a cost estimate.

FURTHER ACTION

34. After the submission by INSPEC in June 1972 of a progress report on the copyright problem (see also paragraph 25 above), a new system definition and firm cost estimates will be submitted by the end of July 1972. The INSPEC representative stated that either he or one of his associates planned to visit prospective international searching authorities in early September 1972, for the purpose of inviting subscriptions or the signing of letters of intent to subscribe to PAL services.

35. As to a timetable for bringing the service into operation, the representative of INSPEC confirmed that his organization could initiate Phase I within three or four months from the time of endorsement by the Standing Subcommittee, conclusion of the agreement between INSPEC and WIPO, and the obtaining of a sufficient number of subscribers, as set forth in paragraph 46(iv) of document PCT/TCO/SS/I/17. If all goes smoothly with regard to fulfilling these conditions, operation of Phase I could start about January or February of 1973 and Phase II (mechanical engineering) within six months after that.

ORGANIZATIONAL MATTERS

36. The representative of INSPEC stated that when the PAL system becomes operational (Phase I), they plan to appoint at least one technical staff member of INSPEC as liaison officer to each subscribing Patent Office. Furthermore, he hoped that several of their technical staff could be trained in applying IPC by sending them to the subscribing Patent Offices most conversant with the use of IPC.

/Annex G follows/

AGREED NOTE OF DISCUSSIONS HELD IN VIENNA ON APRIL 26 and JUNE 28, 1972, between representatives of the Austrian Patent Office (OE) and The Institution of Electrical Engineers, London (INSPEC), and between representatives of the Austrian Patent Office and the World Intellectual Property Organization (WIPO) respectively, concerning possible cooperation between OE and INSPEC for the provision of services under the PAL System.

Those present were:

OE:	O. Leberl	Vice President
	K. Springer	Rat
	G. Gall	Kommissär (on April 26 only)
INSPEC:	M.D. Martin	Manager, Information Systems (on April 26 only)
WIPO:	P. Claus	Technical Counsellor (on June 28 only)

#### INTRODUCTION

1. The discussions took place in the context of document PCT/TCO/SS/I/17, paragraphs 36 to 47 (report of the Standing Subcommittee of the PCT Interim Committee for Technical Cooperation at its first session held in Geneva from December 8 to 11, 1971).
2. The following points were discussed in respect of the materials provided by INSPEC in accordance with paragraph 46(i) and (ii) of the above-mentioned report and other services described under the PAL System. The comments made and conclusions reached are reflected in the paragraphs below.
3. At the outset it was agreed that the present discussion was concerned with the technical aspects of the proposed service rather than the business arrangements.
4. A brief report was given on the discussions already held with officials of the Patent Office of the Federal Republic of Germany in West Berlin, of the Patent Office of the Netherlands and of the IIB in The Hague, of the Japanese Government Patent Office in Tokyo, of the Committee for Inventions and Discoveries in Moscow, of the Swedish Patent Office in Stockholm and of the United States Patent Office in Washington.

#### PAL ITEMS: SELECTION CRITERIA

5. The representative of INSPEC stressed that the criteria for selecting the materials submitted to the prospective International Searching and Examining Authorities had been those applied for the selection of items by INSPEC to services provided to the US Patent Office.
6. Under these criteria a non-patent literature item is selected as being patent relevant by virtue of a set of features which (a) are known or thought to be novel in the experience of the INSPEC Information Scientist carrying out the selection or (b) are indicated explicitly or implicitly by the author to be novel. He stated that INSPEC appreciated the fact that substantial variations existed among the selection criteria applied by different national Patent Offices and that he anticipated that somewhat different criteria might be required in implementing the PAL System.
7. OE stated that for the time being no evaluation of the materials had been made in respect of their being truly "Patent-Associated Literature". From the eleven technical sections of the Austrian Patent Office, to which the materials of INSPEC had been forwarded, only the "Applied Physics" Section had very positively reacted as regards possible inclusion of the items in the search files. The other sections generally took the view that the value of non-patent literature is less than that of patent documents in the examining process.

#### PAL ABSTRACT SHEET: INFORMATION CONTENT

8. OE explained that PAL abstract sheets could be of more use for the examiners if they were to include more technical information drawn from the original article. This additional information could be included as follows:



- (i) by preparing informative abstracts for the PAL items (e.g. GB abridgment type) rather than using author abstracts or translations thereof;
- (ii) by adding graphic information (e.g. the main formula, the main drawing or the main circuit diagram given in the original article) on or to the abstract sheet.

9. OE noted that the prices of the PAL abstract service would also increase accordingly if INSPEC were required to prepare special abstracts (cf. paragraph 8(i) above) for the PAL subscribers.

10. OE agreed that the suggestion of INSPEC to include keywords and key phrases on the PAL abstract sheets would improve their information content; however, informative abstracts were to be preferred.

#### INTERNATIONAL CLASSIFICATION (IPC) SYMBOLS

11. OE noted that the IPC symbols were assigned on the basis of the full text of the selected items and that, in the case of disclosure of two or more sets of patent-related features falling in different technical fields, more than one classification was assigned.

12. OE stated that a study of the IPC allotments on a random sample of the materials proved to be completely satisfactory.

#### PAL ABSTRACT SHEET: PRESENTATION AND LAYOUT

##### IPC Symbols

13. OE expressed the preference for having all IPC symbols printed on all copies of the abstract sheets for those items to which more than one classification symbol had been assigned.

14. OE suggested printing the IPC symbols in the upper right corner of the sheet in accordance with the presentation as used on its patent documents.

##### Graphic Information

15. OE expressed a preference for having the graphic information on the bottom of the abstract sheet whenever possible.

##### Number of Sheets per Item

16. It was agreed that as many abstract sheets should be provided as IPC symbols were applied to each item selected.

#### FULL TEXT OF ARTICLES/COPYRIGHT PROBLEMS

17. The representative of WIPO stated that INSPEC was presently discussing the question of a full-text copy service with the interested publishers. Technically the problems involved could be solved, but a number of administrative difficulties had arisen. INSPEC would, however, endeavor to submit to WIPO within the next few weeks a progress report on this subject matter. In view of the proposed inclusion of drawings with the abstract sheets, the publishers are being approached on this aspect of the copyright problem as well.

18. OE stated that as far as they were concerned, there might be no need for full-text copies provided that the abstract sheet contained sufficient technical information.

#### OTHER SERVICES INCLUDED IN THE PAL SYSTEM

19. With regard to the PAL indexes (Titles Listings) arranged by IPC symbols, OE stated that they were not interested in these at this time.

20. Regarding the PAL magnetic tape service OE felt that, at this early stage, it was not appropriate to discuss this part of the service.

RELATIONSHIP BETWEEN PAL SERVICES AND PCT MINIMUM DOCUMENTATION

21. OE expressed the view that the list of publications to be included in the PAL service should be identical with the list of publications included in the PCT minimum documentation.

FURTHER ACTION

22. The representative of WIPO stated that after the submission of the progress report on the copyright problem (see also paragraph 17 above), INSPEC would submit a new system definition and firm cost estimates by the end of July 1972. He further stated that INSPEC representatives planned to visit prospective International Searching Authorities in early September 1972, for the purpose of inviting subscriptions or the signing of letters of intent to subscribe to PAL services.

23. As to a timetable for bringing the service into operation, the representative of WIPO confirmed that INSPEC could initiate Phase 1 within three or four months from the time of endorsement by the Standing Subcommittee, conclusion of the agreement between INSPEC and WIPO, and the obtaining of a sufficient number of subscribers, as set forth in paragraph 46(iv) of document PCT/TCO/SS/I/17. If all goes smoothly with regard to fulfilling these conditions, operation of Phase 1 could start about January or February of 1973 and Phase 2 (mechanical engineering) within six months after that.

/Annex H follows/



## THE PATENT OFFICE

25 Southampton Buildings, LONDON W.C.2A 1AY

Telegrams: Patoff London W.C.2

Telephone: 01-405 8721, ext. 215

Our reference: IPCD 40329  
Your reference: PCT - 081.5

4 May 1972

Professor G. H. C. Bodenhausen  
Director General  
WIPO  
32 chemin des Colombettes  
1211 GENEVE 20  
Switzerland

Dear Director General

SUBJECT: PAL Project

In response to the request contained in WIPO Circular No. 1385 I have pleasure in sending you herewith the comments of the United Kingdom Patent Office on the sample materials received from INSPEC.

Yours sincerely

D. G. Gay

Superintending Examiner

Comments of the United Kingdom Patent Office on the sample materials supplied by INSPEC in connection with the PAL Project.

Introduction

The United Kingdom Patent Office does not at present conduct extensive systematic searches in non-patent literature and consequently it was not possible to evaluate the INSPEC material by incorporating it into the examiner's normal searches and comparing its value with that of the non-patent material usually searched, as might be done in some other patent offices. It was therefore necessary to conduct a separate investigation.

Tests made

Two random 10% samples were selected, each being submitted to a different group of examiners. In respect of each article an examiner was required to assess:-

- (a) The relevance of the article to patent searching needs
- (b) The usefulness of the abstract in respect of the patent-relevant matter in the article.
- (c) The correctness of the Int. Cl. symbols assigned to the article
- (d) The usefulness of the assigned Int. Cl. symbols in indicating the patent-relevant matter in the article.

Samples had to be relied on as manpower was not available to test all the 300 articles, but it is considered that the samples were large enough to be statistically significant.

Results of tests

	FIRST SAMPLE OF 30		SECOND SAMPLE OF 30		MEAN	
	No.	%	No.	%	%	
Relevance of article to patent searching needs	(Relevant)	14	47	13	43	45
	(Partially relevant)	10	33	6	20	26
	(No relevance)	6	20	11	37	29
Usefulness of abstract for patent-relevant matter	(Useful)	9	30	7	23	27
	(Incomplete)	6	20	6	20	20
	(Of no use)	15	50	17	57	53
Correctness of Int. Cl. symbols assigned to article	(Correct)	16	53	15	50	51
	(Near)	4	13	6	20	17
	(Incomplete)	6	20	4	13	16
	(Incorrect)	4	14	5	17	16
Usefulness of Int. Cl. symbols in indicating patent-relevant matter	(Useful)	16	53	12	40	47
	(of Some use)	3	10	6	20	15
	(Useless)	11	37	12	40	38

Conclusions

re. Selection of articles : Our examiners feel that on this evidence about 30% of the articles selected by INSPEC for inclusion in the PAL project would have no relevance to patent search needs.

re. Abstracts

: We were disappointed to find that the abstract provided was in general that produced by the author of the article himself or, failing that, the opening paragraph of the article itself. We had hoped that INSPEC would produce something better and more appropriate than this. Some of the authors' abstracts are very vague and seem to consist of no more than journalistic blurb.

In particular we had hoped that INSPEC would produce a comprehensive abstract appropriate to that part of the article which was relevant to patent search needs and that this might serve as an effective screen in searching, thus obviating the need for the inclusion of the full text of every article in the search files and for each article qua article to be scanned by the searcher. We considered that half the abstracts were of no use in respect of the patent-relevant matter in the respective articles.

re. Int. Cl.

: In respect of the assignment of Int. Cl. symbols to the articles qua articles, we considered that in about one third of the cases the symbols assigned were incomplete or incorrect.

In respect of the appropriateness of the assigned Int. Cl. symbols to the patent-relevant matter in the articles, we considered that in over a third of the cases the assigned symbols failed to indicate the patent-relevant matter.

General

: It seems clear to us that if the PAL Project is to be implemented a very effective feed back of information from the users to INSPEC will be needed in order that non-relevant articles may be eliminated, abstracts germane to the patent-relevant content of articles be produced and Int. Cl. symbols indicative of the patent-relevant content of articles be assigned.



**U.S. DEPARTMENT OF COMMERCE  
Patent Office**

Address Only: COMMISSIONER OF PATENTS  
Washington, D.C. 20231

MAY 23 1972

Dr. G. H. C. Bodenhausen  
Director General  
World Intellectual Property Organization  
32 Chemin des Colombettes  
1211 Geneva 20, Switzerland

Dear Dr. Bodenhausen:

In response to circular No. 1385 PCT-081.5 regarding the PCT -- Standing Subcommittee of the Interim Committee on Technical Cooperation: PAL Project, the U.S. Patent Office has reviewed and evaluated the 304 non-patent literature documents forwarded to us by INSPEC. Our findings along with supportive reasonings are attached.

In order to properly evaluate these documents it was necessary to equate the International Patent Classification designations to the U.S. Patent Office Classification designations. We asked the specific examiners and classification personnel, who normally handle the designated classifications, to evaluate the U.S. classification and the International Patent Classification symbols assigned to each document. For the purpose of evaluation this submission does not include the evaluation as to proper U.S. classification of these documents.

EVALUATION:

304 non-patent documents were received including 10 sample abstracted documents.

A sample questionnaire is attached (attachment A). Primarily the factors concluded as of import were, (1) proper selection of document as search material, (2) correctness of I.P.C. mainheading and secondarily to sub-group, and (3) adequacy of expanded-type abstract sheet attached.

Of the 304 documents received: 54 were cited by examiners and documentation personnel as improper selections for search file material as being too theoretical or including material already covered by published patent documents.

Dr. G. H. C. Bodenhausen

- 2 -

Of the 304 documents, 40 were considered to have improper I.P.C. section and class designations. In addition, these 40 documents were also cited as improper selections as being too theoretical which accounts for the difficulty in the assignment and evaluation of a proper I.P.C. designation.

87% of the 304 documents were assessed as having proper I.P.C. mainheading designations. Overall, 67% of the total documents were considered correct in every aspect. Of the remaining 33%, 20% had only minor discrepancies in the sub-group levels. The overall evaluation of each document is shown as attachment B.

The abstracted documents which were included in the PAL system sample were evaluated by the examiners who would normally handle the art areas that each document was classified into. It was found that in general the abstract was found to be a useful tool especially in cases where the document was printed in a language other than English. The examiners noted that they preferred having the abstract printed on the source document rather than on a separate sheet of paper. It was generally determined that in most cases the abstract was of sufficient length. The sample of abstracted articles was small, ten to be exact, so a thorough study of their comprehensiveness and usefulness in all search areas cannot be determined.

The "PAL" system indexes were considered to be of extreme value to the examiners since it provided them with a quick look-up of the subject matter as well as correlating the document identification number and the INSPEC journal and abstract number.

Overall the U.S. Patent Office was quite pleased with the results of the evaluation even though the criteria for selection had not been agreed upon by prospective Searching and Examining Authorities as to proper selection of documents to be placed in the system. Further, it is the opinion of the U.S. Patent Office that WIPO should go forth to reach agreement on the PAL System for the type of service which would provide the required minimum documentation for non-patent literature under P.C.T. to the Searching and Examining Authorities.

In conclusion, therefore, we feel under present classification and selection standards that INSPEC has done an

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Annex I

ellent job on the 304 documents.

cerely,

*Richard A. Wahl*  
Richard A. Wahl  
Assistant Commissioner

achments

ATTACHMENT A

DOCUMENT NO. \_\_\_\_\_

I. What type of material does your shoe case search file presently contain?

- A. U.S. PATENTS
- B. FOREIGN PATENTS
- C. NON-PATENT LITERATURE
- D. OTHER \_\_\_\_\_

II. Disregarding the assigned classification, is the attached non-patent literature document a proper selection for the examiner's search files, if not, why?

- A. TOO THEORETICAL
- B. INCOMPLETE (i.e. lacking sufficient technical detail)
- C. OTHER \_\_\_\_\_

III. Please answer the following questions regarding the U. S. Classification assignment to the attached non-patent literature document. The Classification assignments have not been made to the unofficial subclass or digest level, therefore, the evaluation of the U. S. Classification assignment should not be made to that level.

A. The document has been assigned to the proper U. S. Class.

- YES  NO

B. The document has been assigned to the proper U. S. subclass.

- YES  NO

If no, what is the proper U. S. subclass?

SUBCLASS \_\_\_\_\_

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Annex I  
page 2

C. The document has been properly cross-referenced into the U. S. Classification system.

YES

NO

If no, please explain and indicate where proper cross-referencing should be made \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

IV. Please answer the following questions regarding the International Patent Classification (I.P.C.)

A. The document has been assigned the proper I.P.C. main class heading.

YES

NO

If no, what is proper I.P.C. main class heading?  
 \_\_\_\_\_

B. The document has been assigned the proper I.P.C. sub-group level.

YES

NO

If no, what is proper I.P.C. sub-group level?  
 \_\_\_\_\_

-----  
 ANSWER ONLY IF ABSTRACT SHEET  
 IS ATTACHED TO THE DOCUMENT

I. A small sample of abstract sheets have been prepared for the documents; each abstract sheet including I.P.C. class and sub-group, English-language title, expanded English-language abstract, Publication date, reference, Author (s), language and document identification number. Please indicate the following:

- A. Would like to see this type of abstract sheet on all non-patent literature documents.
- B. The English-language abstract is sufficient in length.
- C. If original document in foreign language, would abstract sheet be of value.
- D. Not necessary at all.
- E. OTHER \_\_\_\_\_

DOCUMENT NUMBER	PROPER SELECTION FOR SEARCH FILE		INSPEC I.P.C. MAINHEADING / SUBGROUP	U.S. PATENT OFFICE CORRECTED I.P.C. MAINHEADING / SUBGROUP
	YES	NO		
S 2614 0001	X		G 01n 23/20	
S 2614 0002	X		G 01r 33/16	
S 2614 0003	X		H 01v 1/28	
S 2614 0004	X		H 01l 7/32	H 01l 7/62
S 2614 0005	X		G 01r 29/14	
S 2614 0006	X		G 01r 19/16	
S 2614 0007	X		H 05g 1/52	
S 2614 0008	X		C 23c 17/00	B 23b 7/10
S 2614 0009	X		C 01d 11/00	C 01g 41/00
S 2614 0010	X		G 01h 1/00	
S 2614 0011	X		C 09k 3/00	
S 2614 0012		X	H 01s 3/22	H 01s 3/08
S 2614 0013	X		G 01n 19/00	G 01n 27/04
S 2614 0014	X		G 01t 3/00	
S 2614 0015	X		H 01s 3/22	H 01s 3/09
S 2614 0016		X	H 01s 3/22	H 01s 3/02
S 2614 0017	X		H 01s 3/18	
S 2614 0018	X		H 03k 17/70	
S 2614 0019	X		H 01s 3/22	H 01s 3/09
S 2614 0020	X		H 01s 3/09	H 01s 3/14
S 2614 0021		X	G 01r 33/04	A 61b 5/04
S 2614 0022	X		H 05b 1/14	
S 2614 0023	X		G 01n 27/26	
S 2614 0024	X		G 01n 25/20	
S 2614 0025	X		G 01n 25/20	
S 2614 0026	X		G 21d 7/00	
S 2614 0027	X		G 21d 7/00	
S 2614 0028	X		G 21d 7/00	
S 2614 0029	X		H 05g 1/24	
S 2614 0030	X		G 01s 9/62	
S 2614 0031	X		H 01p 1/20	H 03h 7/10
S 2614 0032	X		G 01n 1/28	
S 2614 0033		X	H 04b 7/18	G 08c 19/00
S 2614 0034	X		G 01s 9/22	
S 2614 0035	X		G 01v 3/12	
S 2614 0036	X		G 05f 1/00	H 03k 1/12
S 2614 0037	X		G 01v 1/16	
S 2614 0038	X		G 01s 9/52	

ATTACHMENT B

EVALUATION OF EACH DOCUMENT



DOCUMENT NUMBER	PROPER SELECTION FOR SEARCH FILE		INSPEC I.P.C. MAIN-HEADING/ SUB-GROUP	U.S.PATENT OFFICE CORRECTED I.P.C. MAINHEADING / SUB-GROUP
	YES	NO		
S 2612 0001	X		G 01j 3/44	
S 2612 0002	X		G 01b 15/02	G 01n 21/46
S 2612 0003		X	G 02b 5/28	G 01b 9/08
S 2612 0004	X		G 02f 1/18	
S 2612 0005	X		G 02f 7/00	G 02b 27/00
S 2612 0006	X		G 02f 1/00	G 02b 27/00
S 2612 0007	X		G 02f 2/00	G 02b 27/00
S 2612 0008	X		B 01j 17/02	B 01j 17/04
S 2612 0009	X		B 01j 17/18	
S 2612 0010	X		B 01j 17/18	
S 2612 0011	X		C 01f 17/00	
S 2612 0012	X		G 01r 27/26	
S 2612 0013	X		G 01r 27/26	
S 2612 0014	X		G 01r 29/08	G 01r 31/02
S 2612 0015		X	B 01j 1/24	C 22c 1/00
S 2612 0016	X		B 01j 17/06	
S 2612 0017	X		C 01g 45/02	
S 2612 0018	X		C 23c 15/00	
S 2612 0019	X		B 01j 1/00	B 44d 1/02
S 2612 0020		X	H 05b 33/14	G 05b 33/16
S 2612 0021	X		G 01j 3/00	G 01n 21/04
S 2612 0022		X	H 01s 3/18	G 01j 3/26
S 2612 0023		X	H 05b 33/16	
S 2612 0024	X		H 01l 3/16	
S 2612 0025		X	H 05b 33/00	G 02f 1/28
S 2612 0026		X	B 01j 17/00	C 01g 15/00

DOCUMENT NUMBER	PROPER SELECTION FOR SEARCH FILE		INSPEC I.P.C. MAIN-HEADING / SUB-GROUP	U.S.PATENT OFFICE CORRECTED I.P.C. MAINHEADING / SUB-GROUP
	YES	NO		
S 2614 0039	X		H 03f 7/00	
S 2614 0040	X		G 01r 15/12	
S 2614 0041	X		G 01r 15/12	
S 2614 0042	X		G 01r 1/36	
S 2614 0043	X		G 01r 13/02	
S 2614 0044	X		G 01r 15/12	
S 2614 0045	X		C 01b 5/02	
S 2614 0046	X		G 01t 3/00	
S 2614 0047	X		H 04m 7/06	
S 2614 0048	X		H 01j 37/28	
S 2614 0049	X		H 01m 27/02	
S 2614 0050	X		G 01r 3/08	G 01b 27/26
S 2614 0051	X		G 01w 1/16	
S 2614 0052	X		C 09k 1/44	
S 2614 0053	X		G 01f 1/00	
S 2614 0054	X		G 01n 23/20	
S 2614 0055	X		G 01g 13/06	
S 2614 0056	X		H 02j 7/10	
S 2614 0101	X		G 01j 5/28	
S 2614 0102	X		H 01s 3/10	
S 2614 0103	X		H 01s 3/11,13	
S 2614 0104		X	H 01s 3/10	H 03s 7/02
S 2614 0105		X	G 02f 1/00	G 08b 23/00
S 2614 0106	X		G 01j 5/10	
S 2614 0107	X		H 01s 3/09	H 01s 3/10
S 2614 0108	X		H 01s 3/18	
S 2614 0109		X	G 02f 1/00	G 08b 23/00
S 2614 0110		X	B 01j 17/04	C 01f 7/34
S 2614 0111	X		H 01j 39/36	
S 2614 0112	X		G 01b 1/00	
S 2614 0113	X		H 01f 10/02	
S 2614 0114	X		G 01f 23/28	
S 2614 0115	X		G 01f 23/28	
S 2614 0116	X		G 01r 27/02	
S 2614 0117	X		G 01r 17/20	
S 2614 0118	X		F 17c 3/10	

DOCUMENT NUMBER	PROPER SELECTION FOR SEARCH FILE		INSPEC I.P.C. MAINHEADING / SUB-GROUP	U.S. PATENT OFFICE CORRECTED I.P.C. MAINHEADING / SUB-GROUP
	YES	NO		
S 2614 0119	X		H 01j 39/36	
S 2614 0120	X		G 01n 21/46	G 01b 15/02
S 2614 0121			G 03g 13/00	
S 2614 0122	X		H 01l 7/34	
S 2614 0123	X		G 01n 25/18	
S 2614 0124		X	G 03g 13/00	G 03g 5/04
S 2614 0125	X		H 01s 3/18	
S 2614 0126	X		H 03f 3/04	
S 2614 0127	X		H 01l 15/06	
S 2614 0128		X	G 01n 21/22	G 01r 21/16
S 2614 0129	X		H 02h 45/00	
S 2614 0130	X		G 02b 27/22	G 02b 27/00
S 2614 0131	X		H 01s 3/22	H 01s 3/09
S 2614 0132	X		G 01n 29/00	
S 2614 0133		X	C 23b 23/00	B 05c 5/02
S 2614 0134		X	C 23b 13/00	
S 2614 0135	X		B 22a 11/00	B 22a 11/10
S 2614 0136		X	C 04b 35/64	B 22f
S 2614 0137	X		C 23c 13/04	B 44d 1/02
S 2614 0138	X		C 23c 15/00	
S 2614 0139	X		C 01g 21/00	
S 2614 0140	X		C 01f 11/00	
S 2614 0141		X	C 01b 35/00	
S 2614 0142	X		C 01g 5/00	
S 2614 0143	X		C 01g 49/12	
S 2614 0144	X		C 01g 13/00	
S 2614 0145		X	C 01g 15/00	
S 2614 0146		X	C 01g 11/00	B 01j 17/30
S 2614 0147	X		G 01b 11/02	G 01n 21/40
S 2614 0148	X		G 01b 11/16	
S 2614 0149	X		H 01j 29/48	
S 2614 0150	X		H 01j 17/06	
S 2614 0151	X		G 01r 19/00	G 01r 31/32
S 2614 0152	X		G 01r 19/00	G 01r 31/32
S 2614 0153	X		G 01n 21/48	G 01n 21/40
S 2614 0154	X		C 23b 3/08	
S 2614 0155	X		C 22b 3/00	C 22b 23/04
S 2614 0156	X		G 01n 29/04	
S 2614 0157	X		H 01s 3/10	
S 2614 0158		X	H 01s 3/16	
S 2614 0159		X	H 01s 3/10	H 03f 7/00

DOCUMENT NUMBER	PROPER SELECTION FOR SEARCH FILE		INSPEC I.P.C. MAINHEADING / SUB-GROUP	U.S. PATENT OFFICE CORRECTED I.P.C. MAINHEADING / SUB-GROUP
	YES	NO		
S 2614 0160	X		H 01p 1/18	
S 2614 0161	X		B 01j 17/34	
S 2614 0162		X	H 01p 1/16	G 02b 5/14
S 2614 0163	X		H 01s 3/05	
S 2614 0164	X		B 01j 17/06	
S 2614 0165	X		H 01j 39/34	
S 2614 0166	X		C 23c 15/00	
S 2614 0167	X		G 01r 19/00	G 01r 27/00
S 2614 0168		X	H 01r 11/00	G 01r 33/02
S 2614 0169	X		H 01p 7/06	
S 2614 0170		X	H 01j 29/80	H 01j 29/70
S 2614 0171		X	C 23c 13/02	B 22c 3/00
S 2614 0172		X	H 01s 3/02	H 01s 3/10
S 2614 0173		X	H 01r 11/08	G 01r 33/02
S 2614 0174		X	H 01s 3/00	G 02f 1/30
S 2614 0175		X	C 23c 11/00	
S 2614 0176	X		B 23k 37/00	H 05b 7/00
S 2614 0177		X	C 21d 9/00	
S 2614 0178	X		B 01j 1/10	B 44d 3/24
S 2614 0179	X		G 01j 3/02	
S 2614 0180	X		H 03k 19/08	G 11c 19/00
S 2614 0181	X		H 01s 3/22	
S 2614 0182	X		H 01s 3/22	H 01s 3/09
S 2614 0183	X		H 01s 3/22	H 01s 3/09
S 2614 0184	X		G 01n 19/02	
S 2614 0185	X		G 01r 33/02	
S 2614 0186	X		G 01n 25/20	
S 2614 0187		X	G 01j 5/32	G 01r 27/00
S 2614 0188	X		H 01v 5/00	
S 2614 0189	X		H 01s 3/16	
S 2614 0190	X		H 01s 3/22	H 01s 3/08
S 2614 0191	X		G 01n 9/00	
S 2614 0192		X	B 01j 11/16	C 01b 31/08
S 2614 0193	X		G 01n 9/30	
S 2614 0194	X		G 01n 3/38	
S 2614 0195	X		G 01n 3/08	
S 2614 0196	X		G 01r 29/08	
S 2614 0197		X	G 01j 3/00	G 01n 21/48
S 2614 0198		X	H 01s 3/09	G 01n 21/40
S 2614 0199	X		H 01s 3/16	H 01s 3/10
S 2614 0200	X		H 05g 3/00	G 21k 1/00

DOCUMENT NUMBER	PROPER SELECTION FOR SEARCH FILE		INSPEC I.P.C. MAINHEADING/ SUBGROUP	U.S.PATENT OFFICE CORRECTED I.P.C. MAINHEADING / SUBGROUP
	YES	NO		
S 2615 0001	X		A 62b 7/12	
S 2615 0002	X		G 01p 5/20	
S 2615 0003	X		A 61b 5/08	
S 2615 0004	X		A 61b 5/00	
S 2615 0005	X		G 04f 11/08	
S 2615 0006		X	B 01j 17/22	B 01j 17/20
S 2615 0007	X		B 01j 17/06	
S 2615 0008		X	B 01j 17/32	C 23c 13/04
S 2615 0009	X		B 01j 17/08	
S 2615 0010	X		C 23c 15/00	
S 2615 0011	X		C 09k 1/54	
S 2615 0012	X		B 01j 17/32	
S 2615 0013	X		C 23g 1/00	
S 2615 0014		X	H 01s 3/00	G 01j 3/30
S 2615 0015		X	H 01s 3/16	G 01n 21/40
S 2615 0016	X		H 01s 3/22	H 01s 3/10
S 2615 0017		X	H 01s 3/22	G 02b 11/06
S 2615 0018	X		G 02b 27/22	G 02b 27/00
S 2615 0019	X		G 02b 27/22	
S 2615 0020	X		G 21c 7/00	
S 2615 0021	X		G 21c 1/00	
S 2615 0022	X		G 21c 17/00	
S 2615 0023	X		G 21c 17/10	
S 2615 0024	X		G 01t 3/00	
S 2615 0025	X		G 01t 3/00	
S 2615 0026	X		G 01n 23/00	
S 2615 0027	X		H 05h 7/00	
S 2615 0028		X	G 01n 23/22	G 01t 1/16
S 2615 0029	X		G 01n 23/22	
S 2615 0030	X		G 01t 1/32	
S 2615 0031	X		G 01t 1/16	G 01t 1/18
S 2615 0032	X		G 21g 3/04	
S 2615 0033		X	H 03k 4/02	H 01j 29/98
S 2615 0034	X		G 21g 3/02	
S 2615 0035	X		H 05h 5/02	
S 2615 0036	X		G 01n 23/04	
S 2615 0037	X		G 05b 19/26	
S 2615 0038	X		G 05b 19/38	

DOCUMENT NUMBER	PROPER SELECTION FOR SEARCH FILE		INSPEC I.P.C. MAINHEADING / SUB-GROUP	U.S. PATENT OFFICE CORRECTED I.P.C. MAINHEADING / SUB-GROUP
	YES	NO		
S 2615 0039	X		G 05b 19/24	
S 2615 0040	X		G 05b 19/38	
S 2615 0041	X		G 05b 19/30	
S 2615 0042	X		G 05b 19/40	
S 2615 0043	X		G 05b 19/40	
S 2615 0044	X		A 61b 5/04	
S 2615 0045	X		G 01g 19/20	
S 2615 0046	X		G 01j 13/02	
S 2615 0047	X		G 01f 1/00	
S 2615 0048	X		C 07f 9/02	
S 2615 0049	X		C 22c 19/00	B 65d 81/00
S 2615 0050	X		C 07f 9/00	
S 2615 0051	X		B 01j 17/10	
S 2615 0052	X		H 01s 3/22	
S 2615 0053	X		H 01s 3/18	
S 2615 0054	X		G 01n 23/20	
S 2615 0055	X		B 23f 1/00	B 23f 17/00
S 2615 0056	X		H 02k 27/02	
S 2615 0057	X		G 06k 9/00	
S 2615 0058	X		G 03b 7/10	
S 2615 0059	X		A 61b 5/04	
S 2615 0060	X		A 61b 5/02	
S 2615 0061		X	G 01h 9/00	G 01b 9/02
S 2615 0062		X	G 01h 9/00	G 01b 9/02
S 2615 0063		X	G 01h 9/00	G 01b 9/02
S 2615 0064	X		A 61b 5/05	
S 2615 0065	X		G 01d 21/02	
S 2615 0066	X		G 01b 9/02	
S 2615 0101	X		E 21c 47/04	E 21d 23/08
S 2615 0102		X	B 01k 3/10	
S 2615 0103		X	A 61f 1/08	
S 2615 0104	X		G 06k 9/12	
S 2615 0105	X		G 06k 9/12	
S 2615 0106	X		B 63g 8/00	
S 2615 0107	X		B 24d 5/06	
S 2615 0108	X		G 01r 27/26	
S 2615 0109	X		G 01r 19/28	
S 2615 0110	X		G 01r 19/28	G 01r 21/22

DOCUMENT NUMBER	PROPER SELECTION FOR SEARCH FILE		INSPEC I.P.C. MAINHEADING / SUB-GROUP	U.S. PATENT OFFICE CORRECTED I.P.C. MAINHEADING / SUB-GROUP
	YES	NO		
S 2615 0111		X	B 01j 17/40	
S 2615 0112	X		B 01j 1/00	
S 2615 0113	X		H 03k 17/56	
S 2615 0114	X		C 23b 5/68	
S 2615 0115	X		G 01j 3/40	G 01j 5/58
S 2615 0116	X		B 23k 27/00	
S 2615 0117	X		B 23k 11/10	
S 2615 0118	X		B 23k 9/12	
S 2615 0119	X		B 23k 9/16	B 23k 35/38
S 2615 0120	X		B 23k 27/00	
S 2615 0121	X		B 23k 9/18	B 23k 35/32
S 2615 0122	X		B 23k 9/06	H 05b 7/00
S 2615 0123	X		B 23k 11/20	B 23k 1/04
S 2615 0124	X		B 23k 9/04	
S 2615 0125	X		B 23k 9/16	
S 2615 0126	X		B 23k 9/12	
S 2615 0127	X		B 23k 27/00	B 23k 31/06
S 2615 0128	X		B 23k 25/00	B 22f 3/12
S 2615 0129	X		H 01p 37/28	
S 2615 0130	X		A 01g 9/24	
S 2615 0131	X		G 01t 1/24	
S 2615 0132	X		B 61l 13/04	
S 2615 0133	X		H 03f 3/20	
S 2615 0134	X		H 02p 5/06	
S 2615 0135		X	H 03k 19/08	H 04b 1/10
S 2615 0136		X	H 03k 19/08	G 08b 23/00
S 2615 0137	X		H 04n 1/42	
S 2615 0138	X		H 01j 61/96	
S 2615 0139	X		G 01n 27/26	
S 2615 0140	X		H 03k 17/00	
S 2615 0141		X	H 03b 21/02	G 10h 5/10
S 2615 0142	X		H 03f 15/00	
S 2615 0143	X		H 01m 19/00	
S 2615 0144	X		H 04m 1/36	
S 2615 0145	X		H 04n 1/32	
S 2615 0146	X		G 01k 7/04	
S 2615 0147	X		G 01j 3/28	G 01t 1/16
S 2615 0148	X		G 01j 3/28	G 01t 1/16

DOCUMENT NUMBER	PROPER SELECTION FOR SEARCH FILE		INSPEC I.P.C. MAINHEADING / SUB-GROUP	U.S. PATENT OFFICE CORRECTED I.P.C. MAINHEADING / SUB-GROUP
	YES	NO		
S 2615 0149	X		G 01j 3/28	G 01t 1/16
S 2615 0150	X		G 01j 3/28	
S 2615 0151	X		H 05h 1/00	
S 2615 0152	X		H 05h 1/00	
S 2615 0153	X		H 05h 1/00	H 01j 7/24
S 2615 0154	X		H 01j 17/56	H 01j 1/02
S 2615 0155	X		H 01j 21/12	H 01j 1/02
S 2615 0156	X		H 01j 21/12	

+

1972-06-01

Mr G H C Bodenhausen  
 Director General  
 WIPO  
 32, Chemin des Colombettes  
 Genève  
 Schweiz

Dear Mr Bodenhausen,

With reference to your letter C. 1385 of February 11, 1972 concerning the PAL Project and in accordance with paragraph 46 (iii) of document PCT/TCO/SS/I/17 the Swedish Patent Office has the honor to inform the International Bureau of its evaluation of the material received from INSPEC.

In order to evaluate the quality of the service the material provided by INSPEC was distributed among the examiners according to its international classification. The examiners were given the opportunity of examining the full text copies and the small sample of abstracts that was included in the material after which they submitted their observations by answering a questionnaire.

The primary objective with this investigation was to find out whether these articles could be considered relevant for the purposes of patent searches. In those cases where abstracts existed, these were examined together with the corresponding articles with the view of determining whether such abstracts could be included in the search files in their present form or should be subject to alterations before they could be utilized in order to facilitate access to the full information.

A. The following opinions were expressed concerning the articles:

(1) The classification - considered in respect of the classification in the most relevant place only - is considered to be adequate in 65 per cent of the cases. 15 per cent of the articles are considered to be classified in the wrong place and 20 per cent of the articles are considered to be classified in a place other than the most relevant.

(2) About 65 per cent of the material could possibly be considered as relevant for the purposes of patent searches and an additional 25 per cent could be of some value in order to broaden the view on that particular technical field.

B. In those cases where abstracts were available the following opinions were expressed:

2.

(1) In comparison with the British abstracts which are included in our search files to facilitate access to the full information contained in corresponding British patent documents, 7 of the small sample of abstracts, of which there are 10 included in the INSPEC material, are considered to be less valuable. The most valid reason for this opinion was the absence of drawings in the abstracts but also to some extent a lack of facts.

(2) In all cases the content of the abstracts could be understood in some cases with certain difficulty due probably to the compactness of the text.

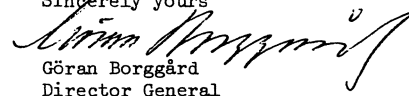
The results of this evaluation of the material from the Pilot Study conducted by INSPEC has led the Swedish Patent Office to forward the following observations.

In order to give the Prospective Authorities the full benefit of a service as proposed, the selected articles from the non-patent literature covered by the service must be thoroughly classified by INSPEC to ascertain that the material without any checking of the classification by the Prospective Authorities can be included in the search files in the proper places. It is also essential that the selection of articles is limited to what can be considered to be adequately relevant for searching purposes in order to avoid that the bulk of documentation is increased unnecessarily.

Concerning abstracts of selected articles we think it valuable that a drawing (if available) is reproduced on the abstract sheet.

Finally we want to point out that the evaluation of the quality of the service has not revealed whether the material received from INSPEC is relevant in the sense of adding to the search material new information that can not be found in the patent documentation. To achieve that goal the content of each article would have to be subject to a novelty search which, on account of the labour and costs involved, we have not been in a position to undertake.

Sincerely yours



Göran Borggård  
 Director General

Annex K follows

PCT/TCO/SS/III/10  
 Annex J

ASPECT	DT	IIB/NL	JA	OE	SU	SW	US	GB
<u>Journal Coverage</u>	At least FCT Min.Doc.; might want additional journals covered	Same as DT	Same as DT	Identical with PCT min. doc.	Same as DT	Identical with PCT Min.Doc.	Same as DT	-
<u>Selection Criteria</u>	-	60% of selected items useful 75% of relevant items selected	-	-	-	65% of selected items of high relevance 25% of selected items of some value	82% of selected items appropriate for search files	45% of selected items relevant 26% of selected items partially relevant
<u>Information Content of Abstract Sheet</u>	Prefer special abstracts plus graphic information	-	Same as DT	Same as DT	Same as DT	Same as DT	Same as DT	53% of abstracts of no use in respect of patent- relevant matter 38% of IPC symbols of no use for indicating patent-relevant matter
<u>Application of IPC</u>	70% agreement	80% agreement	-	Completely satisfactory on a random sample	-	65% - most significant classification assigned 20% - correct but missed most significant	67% - correct 20% - discrepancy at sub- group level	51% correct 17% near correct
<u>Presentation and Layout of Abstract Sheet</u>								
(a) Paper Quality	(a) Better quality needed	-	(b) All on every sheet; an upper corner	(b) Same as DT	(b) Same as DT	(a) Same as DT	(a) Same as DT	-
(b) IPC Symbols	(b) All on every sheet; upper right corner		(d) Same as DT	(d) On bottom of sheet	(d) Same as DT	(b) Same as DT	(b) Same as DT	
(c) Size	(c) A4 advantageous			(e) Same as DT		(c) Same as DT	(d) Same as DT	
(d) Graphic Information	(d) Bottom; separate sheet if required					(d) Same as DT	(e) As many as US classifica- tion assigned	
(e) No. of Sheets/Item	(e) As many as IPC symbols allotted					(e) Same as DT	(f) Same as DT	
(f) DIN	(f) Upper left corner						(g) Same as DT	
(g) Publication Date	(g) Near upper left corner						(h) Upper left corner	
(H) National Classification								
<u>Other Services</u>								
(a) Full Text	(a) Probably not needed	(a) Most significant feature	(a) Essential to have in examiners' files; might be desirable to have keywords and key phrases indicated	(a) Same as DT	(a) No need in some areas of technology	(a) Might be no need	(a) Essential	
(b) Titles Listing in IPC Order	(b) Not interested at this time	(b) Same as DT	(c) Prefer 16 mm. roll at this time; may prefer aperture cards later; may prefer abstract sheets on 16 mm. roll film rather than paper	(b) Not interested at this time	(b) Interested	(b) Same as DT	(b) Of some value but not essential	
(c) Microforms		(c) Probable preference for aperture cards			(f) Interested	(c) Might be interested in for full text	(d) Interested in biblio- graphic data	
(d) Magnetic Tape		(d) Possible interest - requested documentation and samples			(g) Interested in US classi- fication	(e) Probably of little or no interest	(e) Improvement over Titles Listing	
(e) Abstract Journal					(h) Interested		(g) US classification essential	
(f) Titles Listing in Journal Order							(h) Interested	
(g) National Classification							(i) Interested when origi- nal title unsatisfac- tory	
(h) CCLEN								
(i) Expanded Title								

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Annex K

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