

# WIPO



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## WORLD INTELLECTUAL PROPERTY ORGANIZATION GENEVA

### PATENT COOPERATION TREATY

#### INTERIM COMMITTEE FOR TECHNICAL COOPERATION

Sixth Session

Geneva, November 3 to 8, 1976

PCT MINIMUM DOCUMENTATION; NON-PATENT LITERATURE

PROGRESS REPORT ON THE 'PAL' SYSTEM

prepared by the International Bureau

#### History

1. It is recalled that the PCT Interim Committee for Technical Cooperation (hereinafter referred to as "the Interim Committee"), at its third session held in Tokyo from October 23 to 27, 1973, considered a recommendation adopted by its Standing Subcommittee as follows:

"The Standing Subcommittee of the PCT Interim Committee for Technical Cooperation, in its session held in Geneva from April 25 to 30, 1973,

Recognizes the great potential usefulness of the ... "Patent Associated Literature" (PAL) Services of INSPEC for economizing time and expenses in searching and examination procedures and in the harmonization of the basis for searching non-patent literature;

Recommends that the interested Industrial Property Offices and the International Patent Institute (IIB) give urgent and serious consideration to expressing their interest in and subscribing to ... the PAL Services;

Requests the International Bureau to lend support to the said Offices, the IIB and INSPEC with a view to facilitating the coming to the decisions which are required for making operational ... the PAL Services of INSPEC."

2. Following these discussions during which declarations of intent to subscribe were made (document PCT/TCO/III/13, paragraphs 27 to 34), contracts between the Institution of Electrical Engineers (INSPEC) and the Patent Offices of Brazil, Germany (Federal Republic of), Japan and the United States of America were signed at the end of 1973. The PAL services were thereupon effectively started on March 1, 1974.

### First Year of Services

3. The basic conditions under which INSPEC provided PAL services during the first year of operation to the Patent Offices of Brazil, the Federal Republic of Germany, Japan and the United States of America, were the ones set forth in Annex B to document PCT/TCO/III/7, Draft Contract. (In this respect, see also document PCT/TCO/V/3, paragraph 3).

4. All basic features of the PAL System were implemented by INSPEC during this first year of operation. INSPEC, however, fell short by approximately 1,500 selected items of the 10,000 expected to be made, and therefore a refund of 5,250 US dollars on the 1974/75 subscription price of 35,000 dollars was made by INSPEC to the subscribers.

### Second Year of Services

5. The second year of the PAL services started on March 1, 1975. All offices which had subscribed to the first year continued their support of the PAL System and prolonged their subscription by one year. The IIB became a subscriber as well. In December 1974, INSPEC had informed its subscribers and prospective subscribers that the subscription price of 1974/75 would not be changed for 1975/76 (35,000 US dollars) in spite of the inflation in the United Kingdom, increased expenses and a journal coverage which would be expanded to include all 169 journals in the PCT minimum list of non-patent literature (see document PCT/PCD/8) except "Chemical Abstracts". All other basic conditions of the PAL System, as mentioned in paragraph 3, remained unchanged. In the second year of services, more than 10,500 articles were delivered.

### Third Year of Services

6. At the fifth session of the Interim Committee, held from October 29 to November 3, 1975, INSPEC outlined the final conditions for the third year of PAL services (1976/77) on the basis of its letter dated September 24, 1975, as follows:

(a) Journal coverage. Selection from all journals in the 1976 acquisition list which will be made by INSPEC for its current information services; journals in the PCT minimum list of non-patent literature will be covered only if they also appear in the INSPEC acquisition list.

(b) Subject coverage. Articles will be selected only in the subjects of physics, electronics, electrical engineering, telecommunications, computer technology and control engineering. An annual total of at least 10,000 selections will be made in these subjects.

(c) Selection criteria. Articles will be selected if they appear to be suitable for the purposes of patent office search in that they disclose new or allegedly new items concerning

(i) devices, equipment and arrangements thereof, including modifications thereto;

(ii) materials;

(iii) applications of devices, equipment, arrangements thereof, and materials;

(iv) manufacturing methods, processes and techniques, including modifications thereof, such as method of measurement and testing, and data processing systems.

Selections will be made by senior technical staff members of INSPEC who will assume any such item within an article to be new if the article indicates specifically or by implication that it is new or if it appears to be new having regard to their knowledge and experience.

Articles which satisfy these criteria but which refer to patents in respect of their relevant disclosure will not normally be selected.

(d) Classification. All articles selected will be classified using the International Patent Classification (IPC).

The second edition of the IPC will be used and will be applied to the sub-group level. More than one full classification symbol may be given to each selected article. Classification will normally be confined to the particular disclosure of the article on the basis of which the article has been selected.

(e) Document Identification Number. Each selected article will be assigned a unique identification number.

(f) Specification of the Services.

(i) Full-text copy service: This service will comprise double-sided photocopies of each selected article. Each such copy will have an English-language title and the one or more authors' names of the article, publication date and bibliographic details of the source journal, the document identification number and all assigned IPC symbols. Copies of articles which are not in English and which do not include an English-language abstract will be accompanied by a copy of the abstract prepared by INSPEC for its existing information services.

(ii) Composite service: Same as for full-text copy service, but for articles selected from PCT Minimum Documentation Journals, Information Sheets only will be provided. Each such information sheet will have an English title and the one or more authors' names of the article, the bibliographic details of the source journal, the document identification number, and all assigned IPC symbols. An English abstract will be provided if the original article is not in English.

(g) Frequency of delivery. Both services, as specified above, will be dispatched by INSPEC on a monthly basis (postage paid by INSPEC).

(h) Price. The fee for one year's subscription from March 1976 to February 1977 will be:

45,000 US dollars for the Full-Text Copy Service  
38,000 US dollars for the Composite Service

(prices are conditional upon a total number of 4 subscribers at least)

7. In preparation for the continuation of the second year of subscription by the IIB, discussions took place on February 6, 1976, between representatives of the IIB and INSPEC, in the presence of a representative of the International Bureau. On the basis of a detailed technical study of twelve months of PAL material, received between March 1975 and February 1976, the IIB submitted a certain number of observations which resulted in a reformulation of some of the basic features of the PAL services. The study, made by the IIB is attached as an Annex to this report.

8. The following agreement was reached between the IIB and INSPEC with regard to the second-year subscription by the IIB (third year of PAL services):

(a) Journal coverage. INSPEC undertook to check whether the 350 journals received by the IIB in the field were adequately covered by the PAL services;

(b) Selection criteria. INSPEC undertook to adapt and broaden its selection criteria gradually, in order to reach ultimately, approximately the same number of selections as the IIB normally did itself in the field of physics, electronics, etc.; a system of feedback was installed, enabling INSPEC to compare its selections with the ones made from the same journals by the IIB examiners.

(c) Classification. INSPEC undertook to improve the quality of its assignment of IPC symbols to the selected items; here, also, INSPEC will act on feedback received from the IIB regarding the quality of IPC symbol allotment.

(d) Frequency of delivery. In order to reduce delays, INSPEC undertook to deliver PAL material twice a month (instead of once a month, as specified earlier), each mailing being accompanied by a statistical data sheet containing data on a number of items, delays, selection, classification, and more specific details on 19 "core" journals.

(e) Number of selections. It is expected that, with the adaptation and broadening of the selection criteria, as set forth in (b) above, the number of selections will be well over 11,000 in the third year of services.

9. At the end of 1975, the German Patent Office and the Brazilian Patent Office notified INSPEC that regrettably, due to budgetary reasons, they had to discontinue their subscription to the PAL services for 1976/77. However, without increasing its prices, INSPEC undertook to continue the PAL services to the other subscribers because it was convinced of the importance of the PAL System in the framework of the PCT and the EPO. Consequently, for the third year of operations, PAL services are provided to three prospective PCT International Searching Authorities only: Japan, the United States of America and the IIB.

10. On June 24, 1976, the International Bureau was informed by INSPEC that it would commence a new magnetic tape service in July 1976 to cover the non-patent literature which is being supplied to patent offices under the PAL System. Details of this new magnetic tape service are as follows:

(a) Content of the magnetic tapes. The magnetic tape record of each PAL item will consist of:

(i) Title, CODEN, and other bibliographic details (e.g. volume number, issue number and cover date) of the source publication.

(ii) Title in English.

(iii) Authors' names.

(iv) Pagination.

(v) IPC symbols for the innovative features.

(vi) The document identification number (DIN).

(vii) An English language abstract for each item published in a language other than English and without English language abstracts in the source of publication.

(b) Additional features. In addition to the above-mentioned data elements, either or both of two further data elements can be included, if required. These are:

(i) United States Patent Classification symbols and,

(ii) Keywords and keyphrases corresponding at least to assigned symbols in IPC Sections G and H.

(c) Technical specification of the magnetic tapes. The PAL INSPEC Tape Services use a record format which, although adopted in advance of ISO recognition, complies broadly with ISO Standard 2709 for bibliographic information exchange on magnetic tape and with corresponding standards developed by ANSI in the United States and by the British Standards Institution. Tapes are available in the following physical formats:

(i) 9 tracks, 800 and 1600 bpi, odd parity, EBCDIC coded;

(ii) 7 tracks, 556 bpi, even parity, BCD coded and

(iii) 7 tracks 556 bpi, odd parity, for ICL 1900 Series computers.

(d) Price. The subscription price of the PAL magnetic tape service will be 8,000 US dollars per year (inclusive of airmail delivery and tape reels). This fee will cover all use of the supplied magnetic tapes by the Patent Office in respect of the searching and examination of patent or inventors' certificate applications. Other use of the PAL magnetic tapes would be subject to royalty payment to INSPEC of 5 US dollars per search, or of a sum agreed year by year on the basis of the amount of such use in the previous year. In the first year of use, however, INSPEC normally does not charge any such royalties. For subscribers to the PAL Full-Text Copy Service or the PAL Composite Service the subscription price is lowered to 5,000 US dollars, the other conditions set out above remaining valid. A test tape can be supplied free of charge.

Proposals of INSPEC for the Fourth Year of Services

11. On the basis of experience gained during the third year of PAL services, INSPEC intends to propose, at the convening of the Interim Committee's session, its final proposals for the fourth year of PAL services.

12. The Committee is invited

- (i) to examine the proposals for the fourth year of PAL services;
- (ii) to suggest further work to be done for maintaining and expanding the PAL services.

[Annex follows]

ANALYSIS OF ONE YEAR PAL SERVICE RECEIVED AT THE IIB

(March 1, 1975 to February 29, 1976)

Delivery

Total number of articles received: 10,562

Articles belonging to the chemical field: 781

Articles within the terms of the contract: 9,781

Delays

At the end of 1975, a check of 77 periodicals indicated an average delay of 4 months between the receipt at the IIB of a periodical and the receipt of articles selected by INSPEC from that periodical.

However, for the sake of completeness it should be said that, in the present subscription year, the delays are shorter, approaching an average of 8 weeks.

Journal coverage and selection output

Periodicals providing PAL material			Articles provided	
	Number	%	Number	%
Periodicals common to IIB and INSPEC (Large output periodicals)	178 (19)	42% (4.5%)	7,182 (5,030)	73% (51%)
Periodicals exclusive to INSPEC (Large output periodicals)	243 (14)	58% (3.5%)	2,599 (1,219)	27% (13%)
Total (Large output periodicals)	421 (33)	100% (18%)	9,781 (6,249)	100% (64%)

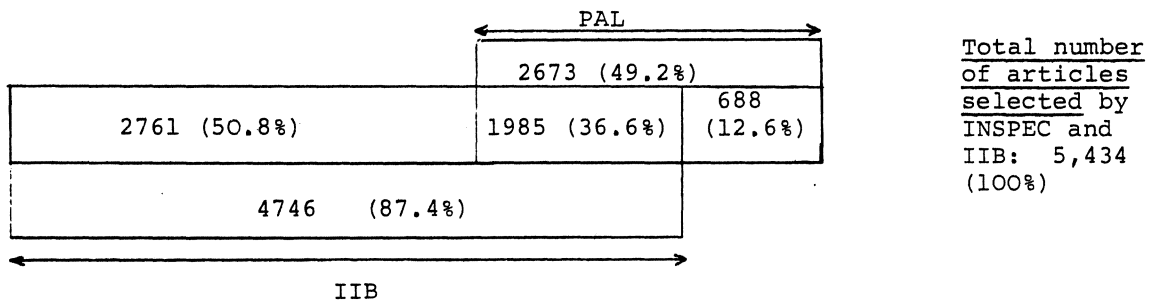
Note: The figures between brackets relate to a restricted number of periodicals, included in the total numbers, which have provided large numbers of articles.

Conclusions

- (a) In total, 9,781 articles in electronics and physics were selected from a total of 421 periodicals (or 21% of the 2,000 INSPEC periodicals).
- (b) 33 periodicals (i.e. 8 % of the 421 periodicals giving an output, or 1.6% of the 2,000 periodicals of the INSPEC list) produced 6,249 articles or 64% of the total of 9,781.
- (c) Of the 421 periodicals, 178 (42%) are common to the IIB and the PAL service and produced 7,182 articles (or 73%). The 243 other periodicals (exclusive to INSPEC) (58%) produced 2,599 articles (or 27%).

Selection

A comparison has been made between the INSPEC and IIB selection of articles. A set of periodicals from which INSPEC selected 2,673 articles, produced 4,746 articles with the IIB selection. The result of the study is shown in the following diagram:  
("IBM Disclosure Bulletin" has not been included in this study).



Non-English language periodicals

The scanning of non-English language periodicals gave the following figures:

Language	Number of periodicals common to INSPEC and IIB	
	Total	Having provided PAL articles
German	72	23
French	19	3
Dutch	11	0
Italian	1	1
Russian	1	1

Classification

The IPC symbols allotted by INSPEC and IIB to a total sample of 2,397 articles have been compared. ("IBM Disclosure Bulletin" excluded). In the case of were compared. ("IBM Disclosure Bulletin" excluded). In the case of multiple classification, all the symbols allotted were considered,

			cumulative result	
agreement at sub-group level			793	33%
agreement at /OO group level	571	24%	1364	57%
agreement at sub-class level	339	14%	1703	71%
disagreement			694	29%
total sample:			<u>2397</u>	<u>100%</u>

IIB  
July 1976

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