

Topic 7: Interpreting and using search and examination reports

Lutz Mailänder Head, Patent Information Section Global IP Infrastructure Sector Harare 10-12 July 2012



Utilization of intermediary reports
Reading enriched search reports
Reviewing search strategies
Issues



Types of intermediary results

Search reports

Basic, i.e. just citations of prior art

- Enriched, i.e.
 - categories of citations (cited by applicant, examiner, 3rd parties)
 - relevance for particular claims
 - references to pages, drawings,...

(search strategies)

- Written opinions, examination reports
- Communications between applicant and examiner

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Issues with intermediary results

- Implies some but smaller delay than waiting for final results
- Searches are based on claims; the foreign search results may be incomplete/inappropriate if claims are different
- Requires checking if same priorities
- Different priorities and priority dates can lead to different claims or prior art
- Usually no problems if simple family
- Using results for members of extended family may be problematic



Sources for search reports & citations of prior art

Publications (PDF) of applications (A1, A3,.. kind codes)

Publications of granted patents, or re-examined patents, ie maintained after opposition

Separate records in databases



EP	° - B1		Program Paul data Paulanter Demonstration of the second part
82 251 B1 ®	References cited: GB-A- 2 131 952 THE MARCONI REVIEW, vol. XLIII, no. 218, 1980, pages 156-175, Rugby, GB; R.M. LANG- DON: "Vibratory process control trans- ducers" IEEE TRANSACTIONS ON INSTRUMENTA- TION AND MEASURMENT, vol. IM-32, no. 3, September 1983, pages 434-437, IEEE, New York, US; E. STEMME et al.: "Measuring liquid density with a tuning-fork transducer" I.S.A. TRANSACTIONS, vol. 20, no. 3, 1981, pages 67-75, Research Triangle Park, NC, US; B.W. BALLS: "A new on-line density meter for viscous liquids and slurries"	 Representative: Stoole, Brian David et al Schlumberger Electronics (U.K.) Limited 124 Victoria Road Farnborough Hampshire GU14 7PW (GB) 	<page-header><page-header><page-header><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item><list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></list-item></page-header></page-header></page-header>
	te: Within nine months from the publication of the m by give notice to the European Patent Office of opposite	nention of the grant of the European patent, any perso tion to the European patent granted. Notice of oppositio of be deemed to have been filed until the opposition fe	m WIPO

ORGANIZATION

US-A

						005137548A	
Ur	nited S	[11]					
Grenier et al.			[45]	Dat	te of	Patent:	Aug. 11, 1992
[54]		AND APPARATUS FOR NG AIR TO BE DISTILLED BY ION	4,092,1 4,152,1 4,329,1	30 5 58 5	/1978 /1979 /1982	Theobald Sircar	55/33 62/18 55/33 X
[75]	Inventors:	Maurice Grenier, Paris; Sophle Gastinne, Notre Dame de Gravenchon; Pierre Petit, Chatenay Malabry; François Venet, Paris, all of France	4,372,7 4,375,3 4,380,4 4,557,7 4,711,6 4,746,3 4,806,1	67 3 57 4 35 12 45 12 43 5	/1985 /1987 /1988	Prentice	62/18 X 62/18 X 55/33 55/26 55/33 X 62/18 X 62/18 X
[73]	Assignee:	L'Air Liquide, Societe Anonyme pour l'Etude et l'Exploitation des Procedes Georges Claude, Paris, France	4,957,5 FC	23 9 0REI	/1990 GN P/	Zarate et al ATENT DOC	
[21] [22] [30] Mi		695,927 May 6, 1991 n Application Priority Data R] France 90 05779	53-0375 53-0375 54-1526 14501	83 4 85 4 67 12 64 9	/1978 /1978 /1979 /1976	Japan	55/25 55/25 55/31
[51] [52] [58]	Int. Cl. ⁵ U.S. Cl 55/ Field of Sea	B01D 53/04 55/23; 55/26; 28; 55/31; 55/33; 55/62; 55/74; 55/75 arch	Attorney, A [57] According	gent,	or Fir is proc		orris & Safford ed air is cooled and me in a first direc-
22333333	1,224,227 12/1 1,588,296 3/1 1,968,160 1/1 1,140,931 7/1 1,210,950 10/1 1,594,984 7/1 1,722,226 3/1	References Cited PATENT DOCUMENTS 1940 Keith, Jr. et al. 55/33 X 1952 Russell, Jr. 55/33 X 1961 Schilling et al. 62/18 X 1965 Lady 62/18 X 1971 Toyama et al. 55/33 1973 McDermott et al. 62/18 X 1976 Cormier et al. 62/18 X	tion throu, residual gi opposite of same. Duri at a const tween the of adsorbe	gh a as fro directi ing th ant ro tempo ent m C. abo	mass of om the ion the eentir egener aterial ove the	of adsorbent m e distillation ap rough this m re regeneration, ration tempera e of the air enter	aterial (8), then a pparatus passes in ass to regenerate the residual gas is ture which is be- ring into the mass perature which is



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	DOCUMENTS CONSID]		
Category	Citation of document with i of relevant pass	nclication, where appropriate, ages	Relevant to claim	CLASSIFICATION OF THE APPLICATION (IPC)
x	AL) 19 May 1998 (19 * column 11, line 5		1	INV. H01H71/24 H01H71/12 H01F7/18
x	DE 199 57 260 A1 (5 23 May 2001 (2001-0 * the whole documer	05-23)	1	
A	EP 1 009 003 A1 (SC [FR] SCHNEIDER ELEC 14 June 2000 (2000 * the whole documer	06-14)	1	
				TECHNICAL FIELDS SEARCHED (IPC)
				H01H H01F
<u> </u>	The present search report has Place of search	L	Examiner	
	Munich	1 July 2008	Ran	nirez Fueyo, M
X : part Y : part dos: A : tech O : non	CATEGORY OF OTED DOCUMEINTS T: theory or principle underlys X: paddisality valurat if theory or principle underlys Y: paddisality valurat if theory on the test of the test document of the same adaption of the test A: technological background O: non-writien disclosure P: intermedia document D: intermedia docume		ument, but publi e 1 the application 1 other reasons	shed on, or

	\mathbf{i}				
	INTERNATIONAL SEAR	CH REPORT	International application No		
A. CLASS	SIFICATION OF SUBJECT MATTER		PCT/IB2008/053885		
INV. ADD.	G02B26/10 G12B21/20 G02B7/00				
	to International Patent Classification (IPC) or to both national of				
B. FIELD	SEARCHED				
Minimum o G02B ⁻	ocumentation searched (classification system followed by class $G12B$	silication symbols)			
Document	alion searched other than minimum documentation to the exten	t that such documents are incl	udad in the fields searched		
Electronic	data base consulted during the international search (name of d	lata base and, where practice	, search terms used)		
	nternal, WPI Data				
C. DOCUM	IENTS CONSIDERED TO BE RELEVANT				
Category*	Citation of document, with indication, where appropriate, of	the relevant passages	Relevant to claim No		
x					
^	US 4 696 566 A (SEKIMOTO YOSH AL) 29 September 1987 (1987-0		1,6,8,9		
	abstract; figures 3,5,9,10 column 2, line 24 - column 3,	line 5			
	column 4, lines 14-66				
χ·	US 2002/018291 A1 (FUKUYAMA H	IROYA [JP])	1,6,8,9		
	cited in the application	14 February 2002 (2002-02-14) cited in the application			
	paragraph [0068]; figure 4 paragraphs [0053], [0054]				
	paragraph [0119]; claims 1,5				
X	JP 62 054843 A (BROTHER IND L	TD)	1,5,6,8,		
	10 March 1987 (1987-03-10) abstract; figures		9		
		-/			
V F					
	ther documents are listed in the continuation of Box C.	X See patent far			
	ent defining the general state of the art which is not dered to be of particular relevance	"T" later document put or priority date an cited to understan	lished after the international filing date d not in conflict with the application but d the principle or theory underlying the		
	document but published on or after the international	Invention	a me principle or meony underlying the plar relevance; the claimed invention red novel or cannot be considered to		
L ⁴ docum Which	pare ent which may throw doubts on priority claim(s) or is cited to establish the publication date of another in or other special reason (as specified)	involve an inventi	re step when the document is taken alone		
O docum	ent referring to an oral disclosure, use, exhibition or	 Y* document of particle cannot be conside document is comit 	ar relevance; the claimed invention red to involve an inventive step when the and with one or more other such docu-		
other	means ent published prior to the international filing date but han the priority date claimed	in the art.	ination being obvious to a person skilled		
_	actual completion of the international search		of the same patent family he international search report		
3	February 2009	09/02/2			
	mailing address of the ISA/	Authorized officer			
	European Patent Office, P.B. 5818 Patentilaan 2 NL - 2280 HV Rijawijk TeL (+31-70) 340-2040,				

PO WORLD INTELLECTUAL PROPERTY ORGANIZATION

Search reports as part of publications

Various policies for publishing prior art

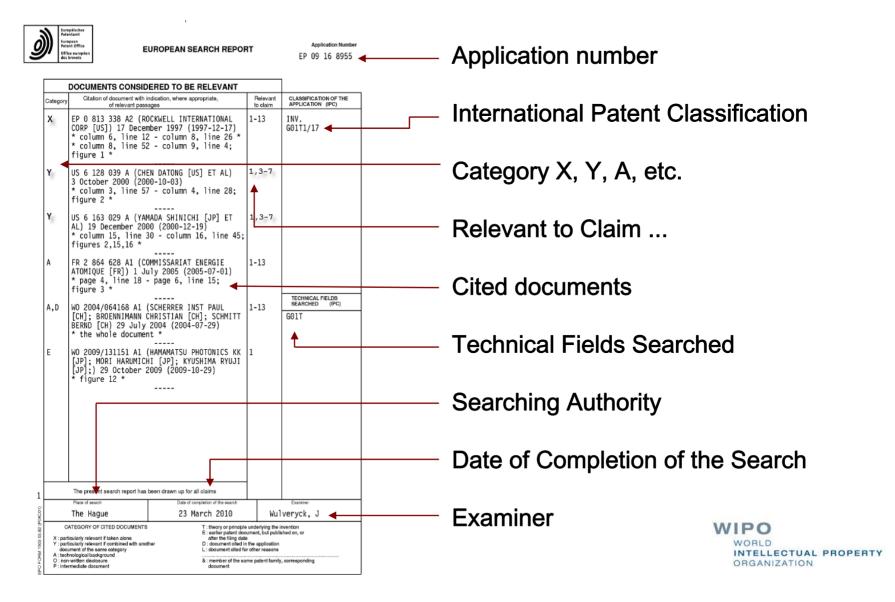
- WO-A1, EP-A1: 18 month publication with enriched SR
- WO-A3, EP-A3: publication of delayed enriched search report (after A2)
- US-A (- 11/2000): citations only
- US-A1: never (available then in US-PAIR)
- US-B1: citations only
- DE-A1: 18 month publication, with citations (only) if available; no A3 (available then in DPMA register)
- DE-B1: citations only



Common Citation Document CCD

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🔒 EP2004	04:	25480 [®] Enric	hed (Citations for
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itations only v	view	v Compact view Sort by country Filter ▼ Cla	searched	Kernel Claims Original document Security Securi
# CC C	at.	Citation details	Claims	Full document: US 4501246 (A)
1		Application Nº EP20040425480 (EP0442 - 30 June 2004	-	Simple femily
		National Search Report		Simple family
x	¢	DE10345154 A1 (DENSO CORP [JP]) - 22 April 2004 Page 3, paragraph 19 Figure 1	1-3	United States P. Of Citation
×	\$	US4501246 A (BOSCH GMBH ROBERT [DE]) - 26 February 1985 Column 2, line 22 - column 2, line 23 Figure 1	1-5	Leblanc [43] Date of Patent:
x	{	EP0270720 A1 (RENAULT [FR]) - 15 June 1988 Page 5, line 12 - page 6, line 5 Figure 1, 6	1,4-8	[54] FUEL INJECTION PUMP 4.398.518 8/1983 Leblanc et [75] Inventor: Jean Leblanc, Lyons, France 4.398.519 8/1983 Tissot et a [75] Inventor: Jean Leblanc, Lyons, France FOREIGN PATENT I
А	1	EP0299337 A2 (IVECO FIAT [IT], et al) - 18 January 1989 Figure 1	1-8	 [73] Assignee: Robert Bosch GmbH, Stuttgart, Fed. Rep. of Germany [21] Appl. No.: 397,712 [21] For the sector of the
A	1	DE19714489 C1 (SIEMENS AG [DE]) - 1 October 1998 Figure 1	1-8	[22] Filed: Jul. 13, 1982 Assistant Examiner—Paul F. Ne Attorney, Agent, or Firm—Edwin [20] Foreign Areliantics Prints Data
2 AT		Application Nº AT20040425480T (AT04425480) - 30 June 2004		Jul. 22, 1981 [DE] Fed. Rep. of Germany 3128975 A fuel injection pump is propo
3 DE		Application Nº DE200460002105T (DE602004002105) - 30 June 2004	_	[51] Int. Cl. ³ F02M 39/00 metering during the intake stroked the fuel injection pump is effect duit, the cross section of which the fuel injection pump is effect duit, the cross section of which the fuel injection pump is effect duit, the cross section of which the fuel injection pump is effect duit, the cross section of which the fuel injection pump is effect duit, the cross section of which the fuel injection pump is effect duit, the cross section of which the fuel injection pump is effect duit, the cross section of which the fuel injection pump is effect duit, the cross section of which the fuel injection pump is effect duit.
4 ES		Application Nº ES20040425480T (ES04425480) - 30 June 2004		[58] Field of Search
5 JP		Application Nº JP20050120087 (JP2005120087) - 18 April 2005		506 pressure conduit by means of a communicates with the pump [56] References Cited
6 JP		Application Nº JP20090214944 (JP2009214944) - 16 September 2009		U.S. PATENT DOCUMENTS part of a distributor shaft, is guid 2,077.259 4/1937 Planiol
		National Examination		3.404,668 10/1968 Eheim et al. 123/449 3.598 507 8/1971 Voir et al. 1123/449 angular position at which inject
		JP2004011448 A (NIPPON SOKEN, et al) - 15 January 2004		4.073.275 2/1978 Hofer et al 123/449 embodied in an arbitrary manner 4.378,775 4/1983 Straubel et al
		JP2004124727 A (DENSO CORP) - 22 April 2004		4.382,751 5/1983 Potter
		JPH01160164 U		
		JP11230005 A (NIPPON SOKEN, et al) - 24 August 1999		
		JP11230005 A (NIPPON SOKEN, et al) - 24 August 1999 JP10299611 A (NIPPON SOKEN) - 10 November 1998		1/5 - ABSTRACT 2/5 - DRAWINGS 3/5

Enriched prior art search reports



Categories of Citations

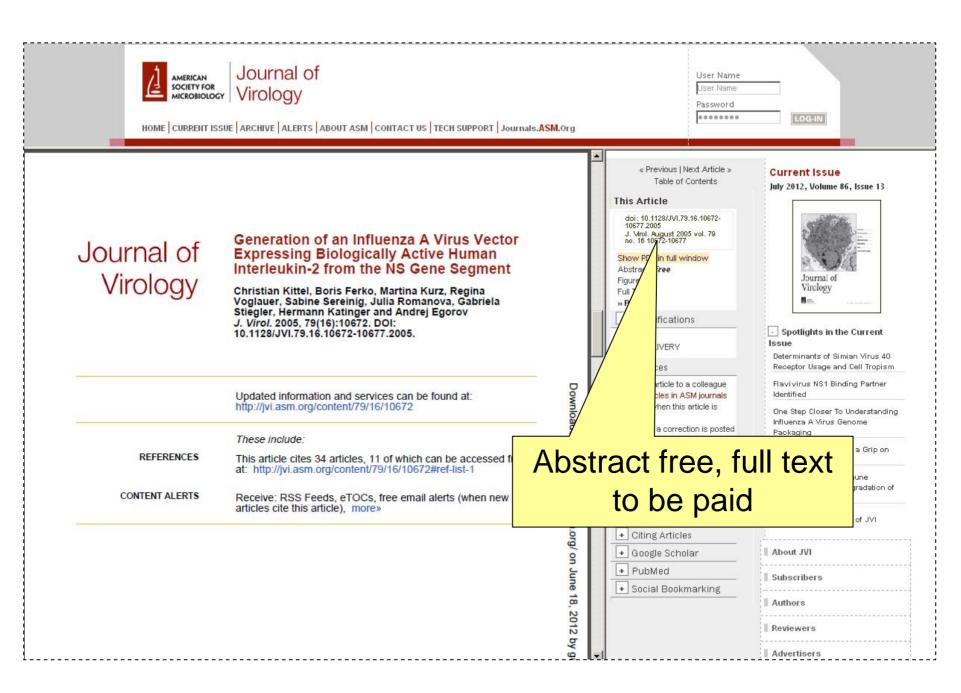
X - particularly relevant if taken alone

- Objection: Lack of novelty or lack of inventive step with one document
- Y particularly relevant if combined with another Y-document
 - Objection: Lack of inventive step by combination of two (or more) documents, always in pairs
- A technological background, no objection of lack of novelty or inv. step
- O non-written (e.g. oral) disclosure
- P intermediate document, published after priority date but before filing date of the application; used in combination with X, Y, A (e.g. XP)
 - T theory or principle underlying the invention
 - **E** earlier patent document, but published on, or after the filing date
- **D** cited in the application
- L cited for other reasons



SR in EP Register

		Link to publisher
Renewal fee		websites for non-
22.01.2010	Renewal fee patent year 03	patent literature
Search	[] See references of WO 2008095040A2	
International search	[Y] ↗ <u>EP1568704</u>	
	[Y] P. POIJÄRVI ET AL: "2,2-Bis(ethoxycarbor 3-(pivaloyloxy)propyl Groups as Biodegradable BIOCONJUGATE CHEMISTRY, vol. 16, 2005, DOI: <u>http://dx.doi.org/10.1021/BC05014</u>	Protections of Oligonucleotides" 0 04-1571, XP002519413
	Groups for Internucleosidic Phosphor monothi 2004, pages 183-188, XP009113722	(Pivaloyloxy)Propyl Groups as Biodegradable Protecting oate Linkages" LETTERS IN ORGANIC CHEMISTRY, vol.
	DOI: A http://dx.doi.org/10.2174/1570178043	3488536
		WIPO WORLD INTELLECTUAL PROP ORGANIZATION



Retrieving non patent literature

Usually copyright protected

Access usually requires subscription

For LDC's and certain DCs: WIPO's ARDI program



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engineering

chemistry

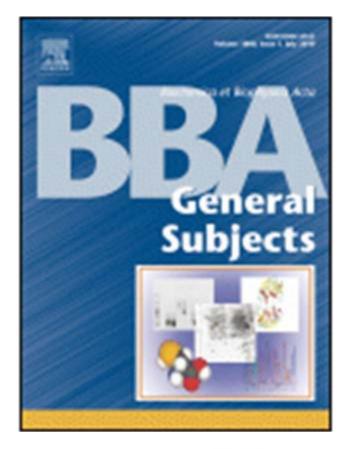
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ARDI: Resources (example)

- Biochimica et Biophysica
 Acta (BBA)
 → ScienceDirect
- Chemistry, biochemistry, enzymology, cancer research, etc.
- Archives from 1995



WORLD INTELLECTUAL PROPERTY ORGANIZATION

ARDI: Portal

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ACCESS TO RESEARCH FOR DEVELOPMENT AND INNOVATION (ARDI)

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PATENTS

aRDi

ACCESS TO RESEARCH FOR DEVELOPMENT AND INNOVATION

The Access to Research for Development and Innovation (aRDi) program is coordinated by the World Intellectual Property Organization together with its partners in the publishing industry with the aim to increase the availability of scientific and technical information in developing countries. By improving access to scholarly literature from diverse fields of science and technology, the aRDi program seeks to:

- reinforce the capacity of developing countries to participate in the global knowledge economy; and
- support researchers in developing countries in creating and developing new solutions to technical challenges faced on a local and global level.

Currently, 12 publishers provide access to over 50 journals for 107 developing countries through the aRDi program.

NEWS ON ARDI

- World Patent Information added to aRDi journals (Mar 10, 2010)
- aRDi launched (Jul 23, 2009)

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OARE: Online Access to Research in the Environment

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ARDI: Research4Life Programs

ACCESS TO RESEARCH FOR DEVELOPMENT AND INNOVATION



World Intellectual Property Organization





World Health Organization





Food and Agriculture Organization of the United Nations

OARE Research in the Environment



United Nations Environment Programme



Sources for examination reports

- Examination reports are never published like search reports
- Examination reports are only part of the file wrapper (i.e. the set of all communications between applicant and patent office, e.g. examiner)
 - Access depends on policy of individual IPO
 - Examination reports are only accessible through
 - Public online file inspection (EPO Register, US PAIR, Patentscope)
 - if submitted by applicant (upon request)
 - Non-publicly shared between IPOs (e.g. AIPN)

Examination reports

Most of the communications in examination usually follows a structure:

- Clarity issues, Insufficiency of Disclosure (if any)
- Unallowable Amendments (if any)
- Prior Art (mandatory)
- Assessment of Novelty and Inventive Step (mandatory)
- Formal Comments: reference signs, acknowledgement of prior art

A Communication shall contain **all the grounds** hindering the grant of a Patent (Rule 71(2) EPC)

Grounds may be supported by references to the **Case Law**

The Search Opinion

Rule 62 EPC : Extended European Search Report (EESR)
 (1) The European search report shall be accompanied by an opinion on whether the application and the invention to which it relates seem to meet the requirements of this Convention [...].

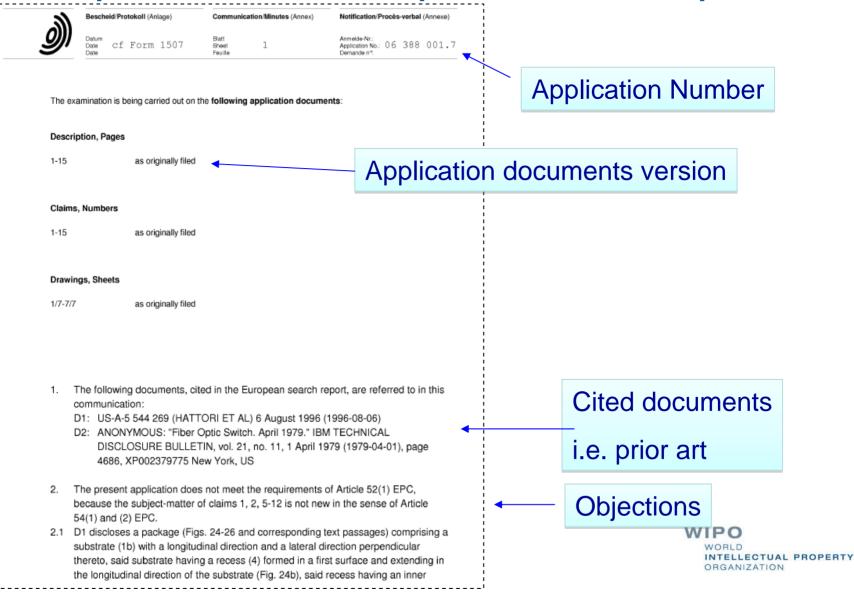
Rule 43bis.1 PCT : Written Opinion (WO-ISA)

(a) [...] the International Searching Authority shall [...] establish a **written opinion** as to:

(i) whether the claimed invention appears to be **novel**, to involve an **inventive step**, [...] and to be **industrially applicable**;

(ii) whether the international application complies with the **requirements of the Treaty and these Regulations** [...].

European Search Opinion- Example



PCT - WO

WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY (SEPARATE SHEET)

International application No.

Re Item V

1

Reasoned statement with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step or Box No. V industrial applicability; citations and explanations supporting such statement 1. Statement Novelty (N) Yes Claims 3, 19 No Claims 1, 2, 4-18, 20 Inventive step (IS) Claims Yes: Claims No: 1-20 Industrial applicability (IA) Yes: Claims 1-20 Claims No: 2. Citations and explanations see separate sheet

Form PCT/ISA/237 (April 2007)

- Reference is made to the following documents:
 - D1 US 2002/186921 A1 (SCHUMACHER LYNN C [CA] ET AL) 12 December 2002 (2002-12-12)
 - D2 WO 2007/136816 A2 (MASSACHUSETTS INST TECHNOLOGY [US]; BULOVIC VLADIMIR [YU]; KYMISSIS IO) 29 November 2007 (2007-11-29)
- 2 The present application does not meet the criteria of Article 33(1) PCT, because the subject-matter of claims 1, 4-15, 17-18, 20 is not new in the sense of Article 33(2) PCT.
- 2.1 D1 discloses

an optical fiber capable of being diagnosed non-invasively comprising

an optical fiber (12) for conveying a light beam; said optical fiber comprising a first end for receiving said light beam and a second end opposed thereto, a core (14) comprising an inner wall, and a cladding (16) surrounding said core,

said optical fiber further comprising at least one uncladded portion comprising a plurality of quantum dots (26) dispersed in a medium,

wherein said quantum dots become activated by evanescent wave coupling resulting from total internal reflection of said light beam contacting said inner wall of said optical fiber core and wherein said activation results in emittance of light from said quantum dots (Fig. 2c; paragraphs [0033], [0045]).

Therefore, the subject-matter of present claim 1 is not novel over the teachings of D1.

2.2 D1 also discloses

Strategy

- Check if results are available for more than one family member
- Compare:
 - Your claims are similar to claims examined by other IPO ?
 - Additional citations in other SRs?
 - Similar wording of granted claims?

National sovereignty

Paris Convention:

No obligation to use results of others, or to follow their conclusions

IPO has obligation to observe national legislation
 IPO has responsibility/liablity for quality patents

