

Exercises Topic 6C – exercises on CCD and other file inspection and citation source

We are going to use following freely accessible database:

EPO CCD: <http://www.trilateral.net/ccd>

Task 1: Search the application US application 11/093685 by using the CCD; search by typing "11/093685" or "11093685"

Q: How many family options are displayed and why?

A: Three different ones. The system searches for the string "11093685" in any number records of the database; it also appears in a JP application number a JP publication number. The first entry in the result list is the US application of this exercise.

Q: How many family members are there for the simple US family? And where was the invention filed for the first time, i.e. which is the OFF?

A: Three: EP, US, WO; OFF is US. Click on "compact view" to see just the family members.

Q: How many search reports are available in the CCD? Is any of them an enriched report?

A: Two, the citations of the US application and the WO application. The EP application is referring to the WO report. The WO report is an enriched search report.

Q: Who did the WO search report? Compare both search reports.

A: The WO search report was established by the EPO (examiner Steffen Wolf). The US citation list in the CCD includes more prior art. However only 3 citations were identified by the US examiner, the others were cited by the applicant or derived from the WO report which the applicant disclosed to the USPTO on 12.3.2007 (see above task on US PAIR).

Q: What is the status of examination at EPO?

A: You have to check this in the EP register. There is no link in the CCD to the register; so you have to open the access the register separately. Examination is in progress (as of 14.1.2013).

Q: What procedural events have taken place at the EPO?

A: The grant of a patent was refused on 7.02.2011. The applicant has filed an appeal which is still pending.

Q: Are there any other PCT national phase entries? Please check the Patentscope database.

A: When you search [WO2006104953](#) on Patentscope, the tab "national phase" includes the EP national phase entry; German and Russian ones are said to be withdrawn.

Task 2: [WO2014094844](#) (cf Task 2 of exercises 6A)

Q: View the citations in the CCD. Are there more than on the front page of the granted US-B2 document?

A: The CCD can be opened by clicking on the link provided on the Espacenet page showing the Inpadoc family. No, there are less, e.g. none of the non-US publications.

Task 3: [WO2011074782](#) in Espacenet

Q: Check the family information in Espacenet and the CCD; retrieve there the second simple family. Can you view domestic families? Can you see in the CCD whether patents have been granted?

A: (To open the CCD view, click on the CCD link in the top line when you view the Inpadoc family listing. To see only the members of each family without citations, click on "compact view".) The CCD, as a default, shows the simple family in the left hand table; the second simple family can be loaded by clicking a link in the lower margin.

The CCD displays in the left window only application numbers, no publication numbers and no domestic families. The different publication stages WO-A2 and A3 are therefore not shown in the left hand table. They become only visible through the extra small drop down menu that appears in the heading "bibliographic data" in the inspector window after selecting an application number in the left hand table. This extra drop down menu appears always if the domestic family associated with the selected application number has more than one member. Thus, the domestic families can only be viewed by subsequently clicking on each application number in the simple family. Espacenet therefore more easily permits the spotting of publications of granted applications.

Task 4: [EP2138392](#) in Espacenet

Q: Is there a search report for the patent granted in China? Which prior art was considered by the CN examiner? Are they the same or different from the EP prior art? Are the CN citations included in the CCD?

A: Yes, the front page of the CN-B document has a list of 4 citations under INID code 56. There is no separately published search report. The CN prior art is not included in the CCD. The CN citations are the same like the EP prior art although CN cites the JB-B2 family member instead of the JP-A. Note that the CCD also indicates prior art cited by the applicant.

Q: The priority is from Japan. Is there a JP equivalent, i.e. a publication of the Japanese priority application? And can you get information from AIPN on the examination status/results?

A: No, surprisingly there is no JP publication despite the JP priority. AIPN would not give any information since this JP application was not published. We don't know why it was not granted in JP.

Q: Which external results are available in total?

A: The enriched search report EP-A1; the citations of the EP-B1 (they are considered as separate result since citations could be added during examination, e.g. because of a top-up search or because of third party observations; the claims as granted by the EPO examiner and published in the EP-B1 in English, French and German; the communication between the EPO examiner and the applicant; the list of citations on the front page of the [CN-B](#). The claims granted by the Chinese examiner are available in Chinese only in the CN-B document.

Task 5: US application 12022866

Q: Search the application in the CCD and US-PAIR; what do you observe for the search reports? Who did the WO search report?

A: CCD only includes citations for the WO-A3, the report was established by the EPO, i.e. by a different examiner than the US search report (see, e.g., the original A3 report, 2nd page below). US-PAIR includes as citations by the examiner two non-patent literature (NPL) documents which are not cited in the WO report. They cannot be viewed because of copyright issues, only the bibliographic data are available. This example shows that the citation information included in the CCD is not necessarily complete. It is always worth checking the other sources.

According US-PAIR the US application is abandoned.

Q: View the EP family member in the EP register; is the presentation of citations same as in the CCD?

A: No the register includes DOI's, links to the publishers; the register citations are only partially enriched in comparison to the original report in the A3 document or the CCD citations.