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# CPC News

Latest developments about the Cooperative Patent Classification

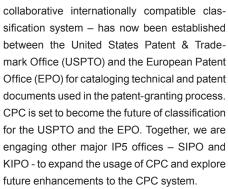
#### Introductory words by the two Heads of Office

Foreword by Deputy Under Secretary

of Commerce for Intellectual Property and Deputy Director of the USPTO

Teresa Stanek Rea

Cooperative Patent Classification (CPC) – a



As such, we are excited to announce that the Korean Intellectual Property Office (KIPO), will pilot classifying Korean patent documents for selected technologies into the Cooperative Patent Classification System. Eventually, we anticipate that KIPO will classify across all their technical areas into CPC. The importance of Korean patent documentation is increasing as well as the volume of Korean documentation. Having Korean documents classified in CPC will be of great benefit to examiners and external users alike by enabling them to retrieve Korean patent documents more effectively.

# Foreword by EPO President Benoît Battistelli

Nine months have passed since the Cooperative Patent Classification (CPC) entered into force at the EPO and USPTO on 1 January 2013. Impor-



tant further developments have occurred in the meantime, and our implementation teams have been very active.

The launch version of the CPC scheme available in January has been followed by three further versions, released in April, July and September, with significant improvements in quality. Another milestone achievement has been the publication of all 626 CPC definitions, representing more than 50 000 pages of information on how to classify and search using the CPC scheme, making the system fully transparent.

Since the launch of the CPC, the IP offices of China and Korea have decided to begin classifying with the CPC in some technical areas. This will allow for easier and more efficient access to the patent documentation originating from these major offices. Further patent offices are looking to follow suit, as recognition grows for the qualities of the CPC and its potential as a way to improve the patent system. The response to the CPC has also been extremely positive among patent information users, who have provided us with valuable feedback about the implementation of the to be adapted according to the latest titles.

CPC is clearly a success. I would like to congratulate and thank all those for the USPTO and for the EPO who have contributed to this great achievement.

#### www.cpcinfo.org

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#### **Cooperative Patent Classification**

Jointly published by the EPO and the USPTO







CPC advanced training session at SIPO, September 2013.

#### Implementation of CPC at the Chinese patent office is underway ...

In a joint press release published on 4 June 2013, the European Patent Office (EPO) and the State Intellectual Property Office of the People's Republic of China (SIPO) announced the enhancement of their cooperation activities in the area of patent classification. This announcement followed the signature of a Memorandum of Understanding by EPO President Battistelli and SIPO Commissioner Tian Lipu, which set the scope of this cooperation.

This materialized already in June - July 2013 with several groups of SIPO examiners and classifiers coming to the EPO in The Hague to receive field-specific training in CPC in some of the selected technical fields.

In parallel, to ensure that both offices are ready for this change, a CPC Implementation Group was established and its first meeting took place 27-29 August 2013 in Beijing, China. A planning for the implementation of the CPC at SIPO was agreed on this occasion. Accordingly, SIPO will start classifying its newly published invention patent applications into the CPC as of January 2014 in the 43 technical areas in which they were trained in 2012 and 2013. As of January 2015, 73 technical areas will have been

covered. Between 2012 and 2015, training will have been offered in about 100 areas in total. In a later stage, SIPO will expand this further to the remaining areas so that classification into the CPC in all areas is possible as of 2016.

The following week (2-6 September) two EPO classification experts trained about 700 SIPO classifiers and examiners in the CPC. The first day consisted of a CPC general training for all participants and was followed by advanced training in the areas of Electricity-Physics (1 day), Mechanics (1 day) and Chemistry (1.5 days). These training sessions included hands-on examples on how to classify into the CPC. The week finished with a questions and answers session where representatives from all SIPO examination divisions had the opportunity to clarify any outstanding questions.

In November 2013, further groups of SIPO examiners and classifiers will receive field-specific training at the EPO.

SIPO classifying in CPC is a new endeavour for the harmonisation of classification practices and for accessing efficiently the Chinese patent literature. All the above measures will contribute to a successful outcome.

### ... and also at the Korean patent office.

Since the launch of CPC in January 2013, the EPO and USPTO have been busy implementing CPC within its offices. Outside of EPO and USPTO, other major IP offices have also been closely watching the development of the CPC. Just recently, two major IP offices, KIPO and SIPO, which are members of the five IP offices, have announced that they will start to classify their patent documents into the CPC.

KIPO will begin classifying their newly filed applications into CPC in selected technical fields, especially where filings have been active at KIPO. KIPO and the USPTO will work together to identify these technologies. KIPO and USPTO will also work to classify KIPO's back file into CPC. Eventually, it is anticipated that KIPO will classify all their patent documents across all technical fields into CPC.

Quite often, the Korean documentation is cited as prior art. In certain technologies, like wireless communications, lighting circuit technology, and televisions, for example, Korean companies are a major player in patent filings. However, currently, the only way to do a classified search of Korean patent documents is by using the IPC. The IPC is not as efficient for classified search as CPC. CPC will enable searchers to do a search of not only the EPO and USPTO patent collections, but also of Korean and Chinese collections as well, using a single classified search. Eventually, once the full KIPO patent collection is in CPC, CPC will be a one stop place for all of European, US and Korean documents across all technical areas. This will be of great benefit to all users.

CPC News I October 2013

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#### **Quality Assurance Seminar**

In February 2013, the bilateral Cooperative Patent Classification (CPC) quality assurance (QA) and training (QA&T) teams, which included five team members from the United States Patent and Trademark Office (USP-TO), attended a weeklong CPC quality assurance and training seminar in The Hague, Netherlands. The seminar was held on the premises of the European Patent Office (EPO), who hosted the training.

This was the fourth seminar between the bilateral QA&T teams and the first held since the launch of CPC in January 2013. Many pressing topics relating to the CPC launch and two-year transition period were discussed at the seminar. The training subjects included CPC block training, field specific training (FST) sessions, combination set training, an immersion process to acclimate U.S. quality nominees (QNs) to CPC, and lessons learned from the QA and training pilot. The bilateral CPC quality assurance process was also discussed as well as CPC communication channels between the two offices.

The seminar provided USPTO representatives a glimpse into life at the EPO. Specifically, the representatives were able to meet with four of the EPO classification quality nominees (class-QNs) that participated in the QA&T pilot and a few of the EPO class-QNs that had presented the FST sessions. These class-QNs were specialists in the fields of fuel cells, semiconductor devices, transmission devices, pipes and joints, and acrylic chemical compounds. They provided feedback on the EPO approach to classification, which was beneficial to the CPC training process at the USPTO.



Defining the QA process

These ongoing seminars have resulted in many productive discussions and agreements regarding bilateral CPC quality assurance and training, and they allow for more focused face-to-face discussions between the two offices. Additionally, the bilateral CPC QA&T team meets via WebEx on a weekly basis.

The USPTO appreciates the hospitality extended by the EPO and looks forward to continued interactions during the exciting transition to CPC.

# CPC Training at the USPTO, an essential step

Comprehensive Cooperative Patent Classification (CPC) training is currently underway at the United States Patent and Trademark Office (USPTO). In May 2013, the CPC Quality Assurance Team provided over 15 informational sessions for supervisory patent examiners (SPEs) and examiner quality nominees (QNs). The sessions were held on-site at the USPTO headquarters in Alexandria, Va., and simultaneously webcasted for remote attendees. A total of 1,581 SPEs and QNs attended the trainings in May. Topics covered during each session included roles and responsibilities, the immersion process for SPEs and examiner QNs, and demonstrations of the internal CPC central SharePoint site.

Prior to the informational trainings, the USPTO and European Patent Office (EPO) began bilaterally developing a series of computer-based training (CBT) modules, called "blocks", which form the core of each session and help users learn proficient CPC search and classification practices. Blocks A, B, and D acquaint users with the basic structure of CPC, explain how to classify documents in CPC, and provide the details of CPC definitions. An additional block C was developed to provide an overview of the tools and resources for implementing CPC, including changes in the EAST and WEST examiner search tools, changes to Office Action Correspondence Subsystem (OACS) forms, and introduction to the new OPC Classification intranet site. Blocks A, B, and D were made available in October 2012. Block C was made available in April 2013 and is now a part of the core training users are instructed to review.

To help examiners apply CPC in their respective art units, Field Specific Training (FST) Sessions began mid-October 2012 and ended in June 2013. These FST sessions covered over 400 technical fields, representing subject matter examined across all technology centers. During each session, a technical field area, was discussed in-depth by a European Patent Office (EPO) quality nominee with search and classification expertise in the designated area. USPTO quality nominees had a chance to review schemes and definitions with their European counterpart and to ask questions during the presentation. More than 1000 employees have received FST training in conjunction with CPC block training.

QNs, SPEs, and examiners are tasked with being a main resource to the USPTO examination Corps in their particular technology areas. To assist in this effort, a central repository for all CPC examination-related information has been established in the form of a central repository. The site provides direct links to CPC training and classification materials, as well as links to technology and field-specific QN information. It is anticipated that new QNs will be added as needed during the transition period. Because the USPTO continues to retain the United States Patent Classification (USPC) system during the transition period, the site also provides direct links to USPC transfer and search assistance tools. USPC will run in tandem with the CPC system during the transition period until at least January 2015.



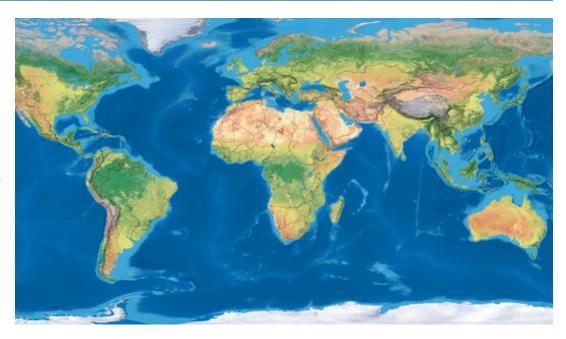
### **CPC** Coverage

CPC is the new classification system used by the USPTO and EPO as of 01 January 2013. CPC covers the patent documentation as presented in the table below in the column titled "Systematically classified". This collection refers to dates from which priorities of documents were systematically recorded and documents were systematically circulated to the EPO classifiers for classifying them intellectually. Since 01 January 2013 the USPTO also classifies all US documents, all A-publications (PG-Pubs) and some B-publications in CPC and these symbols are added to the collection of symbols as presented below.

As a matter of fact, other patent documents are classified in CPC through the "simple family" system, i.e. all documents in a family get the allocation symbols of the representative document in the family as classified by the EPO/USPTO. Therefore some Chinese, Korean, Japanese, Brazilian, Russian patent documents are also classified in CPC – not systematically though.

The CPC collection also includes "unique" documents classified by National Offices.

All in all, almost 40 million documents from all around the world carry CPC symbols and can be used directly for search of prior art.



CC	Code	Country	Systematically classified**	Non-systematically classified
AP		ARIPO	complete from 1 (3/7/1985)	
AT*	A,B	Austria	from 288 286 (15/1/1971)	from 100 022 (1925)
AU*	B,D	Australia	from 18/1/1973 (first filing: 1971)	from 1 019 332 (1933)
BE		Belgium	from 643 001 (15/4/1964)	from 100 486 (1892)
CA*		Canada	from 848 159 (4/8/1970)	from 114 746 (1908)
			for first filling residents from 939 101 (1/1/1974)	
СН	A,B	Switzerland	from 470 127 (31/3/1969)	from 1 (1888)
	D		from 1968	
DE	A,B,C	Germany	from 1 400 003 (10/10/1968)	from 1 (1877)
	U		from 6 609 798 (04/1/1973)	from 1 037 492 (1928)
EP	Α	EPO	complete from 1 (20/12/1978)	
FR	A,B	France	from 1 548 000 (29/11/1968)	from 292 (1844)
	E		from 92 701 (20/12/1968)	
GB	A,B	United Kingdom	from 1 150 001 (30/4/1969)	from 1817 04 136 (1817)
LU		Luxembourg	from 40 000 (12/6/1961)	from 555
NL		The Netherlands	from 6 400 001 (5/7/1965)	from 28 (1913)
OA		OAPI	complete from 1 (15/01/1966)	
US	A,B	The United States	complete from 1 (13/07/1836)	
	E		complete from 8 (23/4/1839)	
	I (defensive) I (trial, project)		complete from 120 (04/10/1855)	
	Н		complete from 1 (03/12/1985)	
WO		World(PCT)	complete from 7800001 (19/10/1978)	

<sup>\*</sup> for first filings only, i.e. without foreign priorities

<sup>\*\*</sup> when the indication "complete" is not present, this means that some documents in the collection may not be classified in CPC

#### CPC Moving forward with revisions

The transition to a new Cooperative Patent Classification (CPC) is moving full steam ahead. CPC officially launched January 1, 2013 and is a joint venture between the United States Patent and Trademark Office (USPTO) and the European Patent Office (EPO).

Preparing for the launch, the United States Patent and Trademark Office (USPTO) conducted a thorough review prior to October 2012 of CPC subclass schemes – subclasses are the primary subdivisions within the new CPC system. Just as each US Class has a schedule, each CPC subclass has a scheme.

Examiners reviewed the draft CPC schemes at the subclass level for areas where CPC could be improved for search. After completing their review, the examiners' suggestions were prioritized. The USPTO and the EPO are working together to incorporate the USPTO feedback on the schemes. n initial set of 11 requests for revisions was proposed by the USPTO. Seven of these have matured into revision ["reclassification"] projects, while details of the other four projects are being planned with the EPO.

Growing and emerging technology areas will require periodic revisions to CPC schemes at the subgroup level – somewhat akin to the subclass level in the USPC. Such publications are expected to occur frequently, up to a monthly basis if needed.

CPC revision projects are launched jointly by the USPTO and the EPO. Once a new subgroup scheme is agreed to, it is tested to insure that documents are classified consistently. After testing is completed, the scheme and definitions are updated, and the new scheme goes into effect. All changes to the scheme and associated definitions are documented in a published notice of changes (NoCs). Reclassification of documents takes place prior to the scheme publication in the so-called US style of revision and after the scheme publication in the so-called EPO style of revision.

The NoCs documenting the revisions will contain several parts, similar to a US Class Order. These will include a cover sheet ("lead page") and Editorial Page; Classification Scheme Changes; new or modified Definitions; Revision Concordance List (RCL) showing the relationship between the old and new classifications symbols; changes to the CPC-to-IPC Concordance List (CICL); and a Cross-Reference List (CRL) updating scheme references located elsewhere in CPC.

Even before the official launch of CPC, the EPO, partnering with USPTO, conducted three revision projects:

- Subclass G06Q (Business Methods);
- Subclass H03M, group 3/00 (Analogue Values to or from Different Modulation); and
- Subclass B60W, group 20/00 (Hybrid Vehicle Controls).

All of these projects were completed in a timely manner and the schemes that were jointly developed have been integrated into the current CPC system.

The primary responsibility for the day-to-day aspects of managing the revision and maintenance of the CPC schemes and definitions, as well as the publication of the results of these revisions and maintenance, rests with the CPC Editorial Board (EB). This board is comprised of three representatives each from USPTO and EPO, who have thorough knowledge of various patent classification systems, such as CPC and International Patent Classification (IPC), the latter administered by the World Intellectual Property Organization (WIPO) in Geneva, Switzerland. The EB reports to a CPC Joint Governance Board (JB), which handles policy and other managerial issues.

EB members interact weekly via teleconference and almost daily via email. As needed, the members may hold face-to-face meetings either at the EPO or at the USPTO to discuss functions and other tasks assigned by the governing body.

The EB works with Rapporteurs (i.e., project coordinators) to carry out Revision Projects, Maintenance Projects (editorial changes to the schemes), and Definition Projects (creation of new definitions or modification of existing definitions). The EB will accommodate Rapporteurs who request an early review of specific parts of projects before publication and will review "completed" projects to ensure the projects comply with the standards set forth. The EB will then notify the publications staff performing scheme and definitions updates when the projects have been approved for publication.

It also helps resolve issues which may arise during CPC revision, maintenance, or definitions projects.

Recommending and managing changes to CPC resulting from IPC changes is another important EB task. The EB also enforces CPC standards through applying classification scheme and definition quality standards, ensuring effective scheme testing, and aligning USPTO and EPO classification practices in CPC.





#### Cooperative Patent Classification Implementation Agreement Reached at the USPTO

On Wednesday, June 19<sup>th</sup>, a team of Patent Office Professional Association (POPA) representatives and USPTO management officials reached agreement on the details of implementation of the Cooperative Patent Classification (CPC) for USPTO examiners. This agreement outlines provisions for how USPTO examiners will transition to full use of CPC. It includes, for

example, the specific plans for CPC training and evaluation of examiners' progress in their transition to CPC. USPTO management and POPA will continue to meet on a regular basis to monitor the transition and handle issues as they arise over the course of the CPC implementation.

#### CPC Internet Resources Available to the Public

1.Next to the EPO-USPTO joint CPC website (<a href="www.cpcinfo.org">www.cpcinfo.org</a>), the USP-TO and the EPO have developed a number of CPC related resources which can be accessed free of charge through the internet.

There are several resources available at the United States Patent and Trademark Office (USPTO) website to assist users with Cooperative Patent Classification (CPC) searching. Many of these resources are available from the classification home page located at: http://www.uspto.gov/patents/resources/classification/index.jsp.

Users who are already familiar with U.S. Patent Classification (USPC) and would like to know the corresponding CPC classifications can use the Classification Search Page to look up a statistical mapping of classifications from USPC to CPC by following these instructions:

- Access the Classification Search page via the Patent Classification
   Home at www.uspto.gov/web/patents/classification/index.htm.
- Under the Access Classification Information by Symbol heading, select USPC for the classification system.
- In the Classification Symbol field, type in the USPC classification symbol you wish to compare (e.g., 482/1).
- Select either HTML or PDF (according to viewing preference) for the output format.
- Select Statistical Mapping from USPC to CPC in the Select Content field.
- Click Submit.
- The user will be linked to either an HTML page or a PDF (per output format selected) that displays the five most statistically relevant CPC classifications for each USPC classification symbol entered.

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Users who want to browse through or review CPC classifications should:

- Go to the Patent Classification Home Page/CPC Sections located at www.uspto.gov/web/patents/classification/cpc.html.
- The CPC Sections page is displayed (all CPC sections A through G and Y are listed on the page).
- In order to review classes in a CPC section, click on any of the CPC sections displayed on the page.
- The user will be linked the CPC Section A page via the Patent Classification Home. (Because Section A was clicked on, class A01 and its subclasses are displayed on the page.)
- Click on a subclass (e.g. A01B) to show all of the groups (e.g. A01B 1/00, A01B 1/02) contained in the subclass.

Users who want to search the CPC scheme and definitions by CPC symbol should:

- Go to the classification search page located at www.uspto.gov/web/ patents/classification/index.htm..
- Under the heading Access Classification Information by Symbol, select CPC.
- Enter the CPC classification symbol (e.g. B02C 19/0081) in the Classification Symbol field.
- Select either HTML or PDF (according to viewing preference) for output format.
- Select Scheme or Definitions accordingly for the desired content.
- Click Submit.
- The user will be linked to an HTML page or a PDF (per output format selected) that displays what was selected in the CPC scheme or definition

Users who desire general CPC training can go to the Classification home page located at: www.uspto.gov/patents/resources/classification/index.jsp. Under CPC Training, users can select from six training modules that focus on different aspects of CPC

Via the European Patent Office website (<u>www.epo.org</u>) several additional CPC resources and services can be consulted.

#### **E-learning modules**

The European Patent Academy (EPA) has developed a number of computer-based training modules on the CPC (<a href="https://e-courses.epo.org/course/view.php?id=167">https://e-courses.epo.org/course/view.php?id=167</a>)



#### **Espacenet**

The Espacenet browser has been revamped completely in order to cater for the CPC. Via toggle buttons, users may select their own settings for viewing the CPC scheme according to their preference, e.g. visualising the scheme using a dot or a tree-like structure, highlighting the CPC specific text, showing references or the dates when revisions were brought to the scheme, or by displaying (or not) the 2000 series.

The now single smart box can be used to either look for CPC symbols or to search for concepts. Furthermore, users can now search for patent documents classified with a CPC symbol or any of its further subdivisions by means of the /low operator.

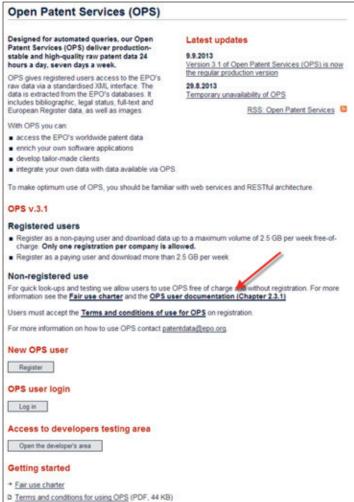


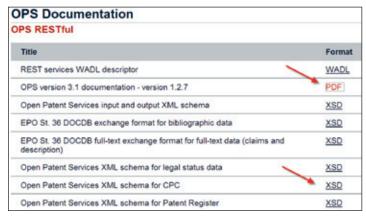
#### Web services

Next to the provision of support to the human being, the EPO has developed a range of web services making the access to the CPC products through automation processes easy. The following web services have been developed so far and are available free of charge from EPO's Open Patent Services (OPS) portal (http://www.epo.org/searching/free/ops.html)

- Validation service: checks the validity of a CPC symbol
- ECLA CPC Concordance service: returns the CPC symbol corresponding to an ECLA symbol
- CPC inv ECLA Concordance service: returns the ECLA symbol corresponding to a CPC invention symbol
- CPC add ICO Concordance service: returns the ICO code corresponding to a CPC additional information symbol (from the main trunk or not)

A documentation manual for OPS services is available from the OPS home page (see below). Users must be aware that the RESTful architecture is required to use EPO's web services for CPC.







# **CPC** products

As you probably know it by now, the primary and official source of CPC related information is the CPC website (<a href="www.cpcinfo.org">www.cpcinfo.org</a>), launched on 25 October 2011. Since then the website content has been continuously enhanced and now the amount of information available is so comprehen-

sive that the idea arose to summarise in an article which CPC products are available and where they can be found. We hope that the table below will help you to find your way through into the CPC world.

Deliverable	Content	Links
CPC Scheme	The CPC scheme is one of the core products of the CPC system. The CPC scheme is the hierarchical representation of all CPC classification symbols available. On the CPC website, it is organised per section, from A to H and Y, and subdivided at subclass level.  The current version of the CPC scheme is available in the form of PDF files (one per subclass) and in the form of XML files (one per subclass) compressed together in a ZIP file. Two different ways of presenting the CPC scheme are available for your convenience, the "original" presentation and the "interleaved" presentation.  The previous version of the CPC scheme is available in the Archive area of the website.  The CPC Scheme can be revised on a monthly basis if needed.	CPC website: <a href="www.cpcinfo.org">www.cpcinfo.org</a> Current version of the CPC scheme in PDF: <a href="http://www.cooperativepatentclassification.org/cpcSchemeAndDefinitions/table.html">http://www.cooperativepatentclassification.org/cpcSchemeAndDefinitions/Bulk.html</a> Current version of the CPC scheme in XML: <a href="http://www.cooperativepatentclassification.org/cpcSchemeAndDefinitions/Bulk.html">http://www.cooperativepatentclassification.org/cpcSchemeAndDefinitions/Bulk.html</a> Detailed information about the "interleaved presentation" of the CPC Scheme: <a href="http://www.cooperativepatentclassification.org/cpcSchemeAndDefinitions/ExplanationInterleaved.pdf">http://www.cooperativepatentclassification.org/cpcSchemeAndDefinitions/ExplanationInterleaved.pdf</a>
CPC Definitions	The CPC Definitions are the other core products of the CPC system. The CPC Definitions help to clarify the subject-matter falling within each classification place, by providing additional information on these entries.  On the CPC website, the 626 CPC Definitions are available at subclass level in the form of PDF files (one per subclass) and in the form of XML files (one per subclass) compressed together in a ZIP file.  Note that subclasses which are used for indexing additional information only do not have CPC Definitions.  CPC Definitions are adapted after the revision of the corresponding part of the CPC Scheme	CPC Definitions in PDF: http://www.cooperativepatentclassification.org/ cpcSchemeAndDefinitions/table.html  CPC Definitions in XML: http://www.cooperativepatentclassification.org/ cpcSchemeAndDefinitions/Bulk.html
CPC Concordances	CPC Concordances are available via concordance tables relating the CPC symbols with the corresponding ECLA symbols ("one to one" concordance between the last version of ECLA and the CPC 2013-01 scheme) and with the corresponding IPC symbol. These CPC Concordances are available in TXT, PDF and XML formats.  The CPC-ECLA concordance table is a static table and will not be updated.  The CPC-IPC concordance table will be updated if necessary after any CPC scheme revision and/or IPC scheme revision.	http://www.cooperativepatentclassification.org/ cpcConcordances.html
CPC Notice of Changes (NoC)	The CPC Notice of Changes (initially also known as "CPC Classification Orders") are PDF documents detailing the changes made to the scheme following a CPC Scheme revision as well as their impact.  CPC Notices of Changes (NoCs) will be made available one to two months prior to the entry into force of a new version of the CPC Scheme.	http://www.cooperativepatentclassification.org/ CPCRevisions/NoticeOfChanges.html