CPC Essentials I Part B CPC Scheme

Classification Quality and International Cooperation (CQIC) Division Office of International Patent Cooperation (OIPC) United States Patent and Trademark Office (USPTO)

Comment: "The CPC scheme seems very complex, and finding necessary information seems difficult."



Response: At first glance, the CPC scheme may seem complex, but the scheme has a logical structure and some important scheme features that show the user how information is organized. Efficient use of CPC starts with fully understanding and leveraging the CPC scheme.

In CPC Essentials I Part B and C, we will breakdown the scheme structure and framework, and explain in detail the various functions of scheme features. With this knowledge, you can effectively use the scheme to obtain information, thus facilitating your classification and prior art searches.

Objectives

Topics:

- Hierarchical Structure and Symbols
 - Main Trunk Symbols
 - Indexing Codes
 - Y Symbols
- Functions of Scheme Titles, References, Notes, and Warnings

At the end, you will understand:

- CPC hierarchical structure determines the order and priority of groups.
- Roles of Titles, References and Notes in determining the scope and contents of classification places.

Expression and Terms in the Presentation

A blue *italic* font text in the presentation contains an instructor's explanation.

The term "scheme features" generally refers to Titles, References, Definitions, Notes and Warnings present in the CPC scheme.

The term "classification place" generally refers to a symbol with a section, class, subclass, main group and/or subgroup, used for classification.

The term "group(s)" refers to both main group and subgroup if not specifically identified as "main group" or "subgroup".

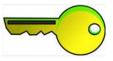
CPC Scheme



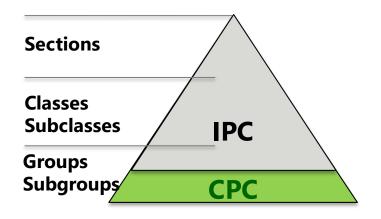
- A systematic plan or arrangement of different technical subject matter
- Includes the classification hierarchy and classification places (symbols)
- Complimented by the Definitions, which include rules for classifying documents and information for searches
- A guidebook for classification and searches

CPC Hierarchy Structure and Symbols

CPC Shares IPC Scheme Framework



- CPC and IPC schemes have the **same general hierarchical structure** from sections to groups.
- CPC follows IPC classification rules and practices except as noted otherwise in the CPC scheme and definitions.
- CPC has many **more subgroups** than the IPC.
- The CPC scheme has **more detailed** classification instructions in the Definitions.



CPC Scheme Is Color Coded

- Titles of symbols originated from IPC are in black.
- CPC subgroup titles and additions to IPC are in green {curly brackets}.
- **References** (pointers to other places) are in parentheses and are in **(blue)**.
- Notes and Warnings are in green.
- Headings in Definitions are in red.

IPC and CPC

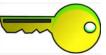
IPC	 H01R 25/00 Coupling parts adapted for simultaneous co-operation with two or more identical counterparts, e.g. for distributing energy to two or more circuits (supported only by co-operation with a counterpart H01R 31/00; with a holder adapted for supporting apparatus to which its counterpart is attached H01R 33/88) H01R 25/14 Rails or bus-bars constructed so that the counterparts can be connected thereto at any point along their length (supporting elements for lighting devices, displaceable along guiding elements and making electrical contact with conductors running along the guiding elements F21V 21/35; installations of bus-bars H02G 5/00) [3] H01R 25/16 Rails or bus-bars provided with a plurality of discrete connecting locations for counterparts (installations of bus-bars H02G 5/00) [3]
Hyperlink to Definitions	D = H01R 25/00 Coupling parts adapted for simultaneous co-operation with two or more identical counterparts, e.g. for distributing energy to two or more circuits (supported only by co-operation with a counterpart H01R 31/00; with a holder the distribution of the dis
U	 adapted for supporting apparatus to which its counterpart is attached H01R 33/88) H01R 25/003 (the coupling part being secured only to wires or cables) (the coupling part being secured to apparatus or structure, e.g. duplex wall receptacle) Rails or bus-bars constructed so that the counterparts can be connected thereto at any point along their length, {e.g. track lighting systems }(installation of bus bars H02G 5/00)
СР	 D H01R 25/142 {Their counterparts} D H01R 25/145 {Details, e.g. end pieces or joints (H01R 25/147 takes precedence)} H01R 25/147 {Low voltage devices, i.e. safe to touch live conductors} D H01R 25/16 Rails or bus-bars provided with a plurality of discrete connecting locations for counterparts {(protective tubings or conduits H02G 3/00; installations of bus-bars H02G 5/00)}
	 D = H01R 25/161 {Details} D H01R 25/162 {Electrical connections between or with rails or bus-bars (rails having primarily a non electrical function H01R 4/64)} H01R 25/164 {Connecting locations formed by flush mounted apparatus} H01R 25/165 {Connecting locations formed by surface mounted apparatus} H01R 25/167 {Connecting locations formed by staggering mounted apparatus} H01R 25/168 {the connecting locations being situated away from the rail or bus-bar}

CPC Sections

Like the IPC, the CPC scheme includes section A to H, and plus Y section.

- Section A Human Necessities
- Section B Performing Operations; Transporting
- Section C Chemistry; Metallurgy
- Section D Textiles; Paper
- Section E Fixed Constructions
- Section F Mechanical Engineering; Lighting; Heating; Weapons; Blasting
- Section G Physics
- Section H Electricity
- Section Y General tagging of new technological development, crosssectional technologies spanning over several sections of IPC, and technical subjects covered by former USPC cross reference art collection.

Layout of CPC Classification Symbols =

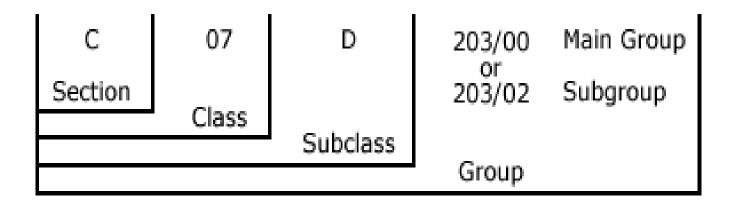


Main Trunk (Sections A-H)	Section Y	
 Main trunk symbols Used for Invention or Additional information 647 subclasses Approx. 160K symbols Indexing codes – 2000 series 	 Y symbols Used for Additional information only 8 subclasses Approx. 7K symbols For tagging of emerging cross sectional technologies 	
 Used for Additional information only Approx. 82K symbols, including breakdown indexing orthogonal indexing IPC indexing codes 		
 Combination-Sets (C-Sets) Used for Invention or Additional information Restricted to 37 subclasses most in chemical areas 		

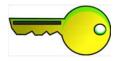
Classification Symbols

- A set of characters arranged in a conventional format to represent a CPC classification place
- Only group symbols are used for classification.

Example: CPC Symbols **C07D 203/00** or **C07D 203/02**



Hierarchy of Subgroups Dots



The hierarchy among subgroups is determined solely by the number of dots (their level of indentation), and not by the numbering of the subgroups.

Example: G01N 33/483 • Physical analysis of biological material 33/487 • • of liquid biological material 33/49 • • • Blood 33/50 • Chemical analysis of biological material, e.g. blood

The three-digit, three-dot subgroup 33/487 is hierarchically superior to the twodigit, four-dot subgroup 33/49. The three-digit, two-dot subgroup 33/483 is of the same hierarchical level as the two-digit, two-dot subgroup 33/50.

You said that the dot number determines the hierarchy of subgroups. Can groups at the same dot level have different priorities?

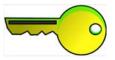


Excellent question!

In general, coordinate groups, i.e. groups with the same indent dot level and the same parent, have the same level of priority unless otherwise stated in classification rules. We'll discuss priority rules in CPC Essentials II.

However, if an aspect of the subject matter being classify is covered by coordinate groups, and it is desired that the subject matter should only go in one of those groups, the CPC scheme provides **precedence references** to indicate the differing priorities between coordinate groups. We'll further discuss precedence references later in this course.

Hierarchy of Subgroups (cont.) Scope of Classification Places



The scope of classification places (subclasses, groups and subgroups) is defined by the **titles** of the places as modified by any relevant **references**, **notes** and classification rule in **definitions** associated therewith.

The scope of any classification place must always be interpreted within the scope of all its hierarchically superior places and further include the specific content of the classification place.

Hierarchy of Subgroups (cont.) Contents and Titles



- The titles of classification places indicate the intended content.
- The content of lower hierarchical or child groups are subdivisions of the contents of the higher hierarchical levels or parent groups to which the lower levels are subordinated.
- When a subgroup title begins with a lower case letter, it reads as a continuation of the title of the next higher group from which it depends.

H01S	3/00	Lasers
	3/09	 Processes or apparatus for excitation, e.g. pumping
	3/091	• • by optical pumping
\rightarrow	3/094	• • • <mark>by coherent light</mark>

The title of **H01S 3/094** *reads on "Processes or apparatus for excitation of lasers using optical pumping by coherent light".*

Guidance Headings

A short underlined statement that indicates the common subject matter found in all of the main groups to which it is relevant.

Guidance Headings

Arrangement or construction of additional equipment for roads or railways, Landing stages for helicopters

E01F 1/00 Construction of {station or like} platforms or refuge islands {or like islands in traffic areas, e.g. intersection or filling-station islands}

E01F 3/00 Landing stages for helicopters, e.g. located above buildings

.

<u>Arrangements for facilitating the use of roads</u>

E01F 9/00 Arrangement of road signs or traffic signals; Arrangements for enforcing caution E01F 11/00 {Road engineering aspects of} Embedding pads or other sensitive devices in paving or other road surfaces {, e.g. traffic detectors, vehicle-operated pressure-sensitive actuators, devices for monitoring atmospheric or road conditions}

Things to Remember About CPC Hierarchy and Symbols

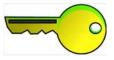


- The CPC scheme has the same general hierarchical structure as the IPC scheme, but has many more subgroups, or "breakdowns", than IPC.
- The hierarchical level of a subgroup is determined by the numbers of dots.
- The scope and contents of any classification place must always be interpreted within the scope of all its hierarchically superior places and further include the specific content of the classification place.
- The scope and contents of lower hierarchical levels (indent or child groups) are subdivisions of the contents of their higher hierarchical levels (outdent or parent groups).

Indexing Codes (2000 Series)

- Breakdown indexing codes
- Orthogonal indexing codes
- IPC indexing codes

Key Points About Indexing Codes



- All Indexing codes are only allocated as Additional Information.
- Breakdown indexing codes are embedded in the main trunk.
- Orthogonal indexing codes (CPC or IPC indexing codes) are placed separately after the main trunk, at the bottom of the scheme, or in separate subclasses.
- While the main trunk symbols are arranged according to technical subject matter, Orthogonal indexing codes are meant for indexing other aspects of inventions, such as some special characteristics of an invention, like properties of chemicals, or applications.

Breakdown Indexing Codes

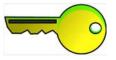


- Embedded in the main trunk as subdivisions. Dependent on a hierarchically superior main-trunk group. Provided as "further breakdowns" of the technical subject under consideration
- Presented between {curly brackets} and in green text.
- Shown as 2000 plus the superior main group number

Example:

Main trunk	G08B 1/00	Systems for signaling characterised solely by the form of transmission of the signal
Main trunk	G08B 1/08 •	using electric transmission; {transformation of alarm signals to electrical signals from a different medium, e.g. transmission of an electric alarm signal upon detection of an audible alarm signal}
Breakdown Indexing code	G08B 2001/085 ••	{Partner search devices}

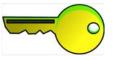
Orthogonal Indexing Codes



- Placed after the classification scheme of the subclass, i.e. separate from and after the main trunk, at the bottom of the scheme
- May depend on one or more main trunk group(s)
- Can be CPC-only or IPC indexing groups
- CPC-only Orthogonal groups are presented in black and without curly brackets

C08L 2201/00		Properties
C08L 2201/02	•	Flame or fire retardant/resistant
C08L 2201/04	•	Antistatic
C08L 2201/06	•	Biodegradable
C08L 2203/00		Applications
C08L 2203/02	•	for biomedical use
C08L 2203/02 C08L 2203/16	•	for biomedical use used for films

IPC Indexing Codes



- Derived from IPC indexing schemes as CPC Orthogonal indexing scheme
- Identified by a 2 preceding the original IPC number
- Presented in black, i.e. without {curly bracket}

IPC	Indexing Scheme H02P	Correspond	ling CPC Indexing Scheme H02P
Indexing scheme associated with groups relating to the arrangements for controlling electric generators			ne associated with groups relating to the for controlling electric generators
H02P 101/00	Special adaptation of control arrangements for generators	H02R <mark>2</mark> 101/00	Special adaptation of control arrangements for generators
H02P 101/10	 for water-driven turbines 	H02P <mark>2</mark> 101/10	 for water-driven turbines
H02P 101/15	 for wind-driven turbines 	H02P <mark>2</mark> 101/15	• for wind-driven turbines
H02P 101/20	• for steam-driven turbines	H02P <mark>2</mark> 101/20	 for steam-driven turbines
H02P 101/25	• for combustion engines	H02P <mark>2</mark> 101/25	 for combustion engines
H02P 101/30	• for aircraft	H02P <mark>2</mark> 101/30	• for aircraft
H02P 101/35	• for ships	H02P <mark>2</mark> 101/35	• for ships
H02P 101/40	 for railway vehicles 	H02P <mark>2</mark> 101/40	 for railway vehicles
H02P 101/45	• for motor vehicles, e.g. car alternators	H02P <mark>2</mark> 101/45	• for motor vehicles, e.g. car alternators

Hybrid Scheme and Indexing Scheme

• Hybrid Scheme

A classification scheme (or subclass) contains a main trunk and an associated complementary indexing scheme.

• Indexing Scheme (or Subclass)

Some subclasses are used only for indexing purposes, in association with classification symbols from one or more classification subclasses; this is indicated in their titles.

Listing of 23 Indexing Subclasses:

<u>A23V, A23Y, A44D; B29K, B29L, B41P, B42F, B42P, B60Y; C01P, C10N;</u> <u>D05D, D10B; E05Y; F02W, F05B, F05C, F05D, F21W, F21Y, F27M; G21Y;</u> <u>H04T</u>

Hybrid Scheme

B42P INDEXING SCHEME RELATING TO BOOKS, FILING APPLIANCES OR THE LIKE NOTE This subclass constitutes an internal scheme for indexing only
 B42P 2201/00 Books or filing appliances for special documents or for special purposes B42P 2201/02 for photographic documents, e.g. prints, B42P 2201/04 for securities, e.g. bonds, banknotes,
 B42P 2201/06 • for file cards B42P 2201/08 • for stationery, e.g. writing paper, B42P 2201/10 • for large documents, e.g. drawings, B42P 2201/12 • for mailing, transporting,
 B42P 2221/00 Books or filing appliances with additional arrangements B42P 2221/02 • with indicating means

Things to Remember About Indexing Codes – 2000 Series



- All Indexing codes are allocated as Additional Information.
- Breakdown indexing codes are embedded in the main trunk.
- Orthogonal indexing codes (CPC or IPC indexing codes) are placed separately after the main trunk, at the bottom of the scheme or in a separate subclass.
- Hybrid classification systems contain both main truck and Indexing codes.
- There are 23 indexing subclasses, e.g. A23V, A23Y, etc.

Section Y

- Complementary to existing CPC A-H sections
- Always used as Additional information in classification
- Subject matter covered:
 - Selective developing and cross-sectional technologies
 - Subject matter covered by former USPC

Classes Y02 and Y04

Y02 – Climate change mitigation technology:

- Climate change technologies related to buildings
- Capture, storage, disposal of greenhouse gases
- Reduction of greenhouse gases related to energy generation transmission or distribution
- Climate change mitigation related to buildings, production of goods transportation, wastewater treatment or waste management
- Y04 Information or communication technologies:
 - Smart grids

Tagged by computer algorithm that updates the Y02 and Y04 schemes periodically

Class Y10

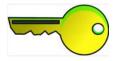
Y10S – Subject matter covered by former USPC Cross-Reference

Y10T – Subject matter covered by former USPC

- Introduced to assist with transition from USPC to CPC
- Only allocated as Additional CPC symbols
- Complimentary to other existing CPC sections A-H
- Documents from former USPC collections, but no new documents added to Y10S or Y10T after January 1, 2015

Functions of Titles, References, Notes, and Warnings of CPC Scheme

Essential Functions



- **Titles**, **References**, **Notes**, and **Definitions*** indicate the scope and contents of classification places.
- The **Titles**, **References**, **Notes**, and **Definitions*** of hierarchically higher places define the scope and contents of their hierarchically lower groups.

Note: You should always consult not only the **Titles**, **References**, **Notes** and **Definitions*** of the group of your interest, but also those of its higher places, e.g. at subclass level, to make sure that the given lower group of interest is within the intended scope.

(***Definitions** will be introduced in this training and covered in more depth in CPC Essentials I, Part C.)

Consult The Titles, References, Notes and Definitions of Higher Places

🔒 🗖 🖃 но4w	WIRELESS COMMUNICATIONS NETWORKS (radio transmission systems H04B 7/00; transmission
References	systems using electromagnetic waves other than radio waves, e.g. light, infrared H04B 10/00 ; communication systems using wireless extensions, i.e. wireless links without selective communication, e.g. cordless telephones H04M 1/72 ; broadcast communication H04H)
NOTE	 NOTE This subclass covers communication networks for selectively establishing one or a plurality of wireless communication links between a desired number of users or between users and network equipment, for the purpose of transferring information via these wireless communication links; networks deploying an infrastructure for mobility management of wireless users connected thereto, e.g. cellular networks, WLAN [Wireless Local Area Network], wireless access networks, e.g. WLL [Wireless Local Loop] or self-organising wireless communication networks, e.g. ad hoc networks; planning or deployment specially adapted for the above-mentioned wireless networks; arrangements or techniques specially adapted for the operation of the above-mentioned wireless
	 networks. 2. This subclass does not cover communication systems using wireless extensions, i.e. wireless links without selective communication, e.g. cordless telephones, which are covered by group H04M 1/72 ;
Тitle D	 broadcast communication, which is covered by subclass H04H. 3. In this subclass, at each hierarchical level, in the absence of an indication to the contrary, classification is made in the first appropriate place. Synchronization arrangements
H04W 56/00	
🖃 H04W 56/00	
H04W 56/00	15 {one node acting as a reference for the others}
H04W 56/00	2 {Mutual synchronization}

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Titles

Titles define specific content in subclasses, and groups (main groups or subgroups).

• **Single part title**, for example:

A47C 1/00 Chairs adapted for special purposes

- **Multipart titles**: Two or more distinct parts separated by semicolons. Each part of a multipart title should be interpreted as a separate title. For example:
 - F25D REFRIGERATORS; COLD ROOMS; ICE-BOXES; COOLING OR FREEZING APPARATUS NOT COVERED BY ANY OTHER SUBCLASS

Subclass **F25D** covers four distinct and separate things: 1) refrigerators, 2) cold rooms, 3) ice boxes, and 4) other types of cooling or freezing apparatus not covered by any other subclass.

References

There are mutiple forms of references in the CPC scheme and **Definitions**.

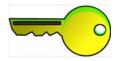
In the CPC scheme:

- **References** are present in blue within parentheses in titles of subclasses and groups.
- **Precedence References** are present in titles of subgroups.

In **Definitions**:

• **References** are present under red headings.

References in Titles



• **References**, within parentheses in titles of subclasses (or groups), point to one or more other classification places which cover similar or related subject matter, thus exclude the subject matter from the scope of the current subclass (or group), and as well as its hierarchically lower groups.

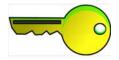
Example:

H04W WIRELESS COMMUNICATIONS NETWORKS (radio transmission systems H04B 7/00; ...communication systems using wireless extensions, i.e. wireless links without selective communication, e.g. cordless telephones H04M 1/72; broadcast communication H04H)

References in blue state that H04W does not cover radio transmission systems,... communication systems using wireless extensions, and broadcast communication. Therefore this subject matter is excluded from H04W.

References also point out where the related subject matter are covered.

Precedence References

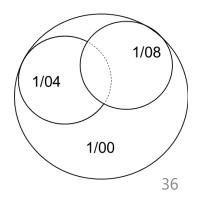


- A reference stating that another place "takes precedence."
- Indicates precedence when there is overlapping subject matter in two or more classification places. It is desired that one subject matter should be classified in only one of those places.

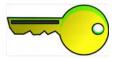
G02B 1/00	Optical elements characterised by the material of which they are made
1/02	
1/04	. made of organic materials e.g. plastics (1/08 takes precedence)
1/06	
1/08	. made of polarizing materials

1/04 covers non-polarized optical elements that are made of organic materials.

1/08 covers polarizing materials that made of either organic or other materials.



Precedence References (cont.)



• Precedent References apply to all of indents of both relevant groups.

12M 31/00 {Means for providing, directing, scattering or concentrating light <mark>(C12M 41/06 takes</mark>	
precedence)}	
12M 31/02 . {located outside the reactor}	
12M 31/04 {Mirrors}	
12M 31/06 {Lenses}	
12M 31/08 . {by conducting or reflecting elements located inside the reactor or in its structure}	
12M 31/10 . {by light emitting elements located inside the reactor, e.g. LED or OLED}	
12M 31/12 . {Rotating light emitting elements}	
12M 41/00 {Means for regulation, monitoring, measurement or control, e.g. flow regulation} 12M 41/06. {of illumination} 12M 41/065 {Means for changing the orientation}	

The precedence reference in 31/00 refers to group 41/06, and applies to all indent groups C12M 31/00-31/12, 41/06 and 41/065.

How to Use a Precedence Reference

- 1. Carefully read the titles of both relevant groups, **including all of indents**, to understand the scope of the two groups.
- 2. Determine whether or not your subject matter falls within the overlap between two groups.
- 3. If your subject matter falls within the overlap, select the appropriate group by following the precedence reference.
- 4. If your subject matter does not fall within the overlap, select the appropriate group that covers your subject matter according to the title of the group.





Knowledge Check Question 1



Which subgroup is appropriate for a document that discloses an optical element made of a polarizing crystal?

- A) G02B 1/02
- B) G02B 1/08

G02B 1/00
1/02
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Knowledge Check Question 1 Answer



B is the correct answer.

G02B 1/00 1/02 1/04	Optical elements characterised by the material of which they are made . made of crystals e.g. rock-salt, semi-conductor (1/08 takes precedence) . made of organic materials e.g. plastics (1/08 takes precedence)	
1/06 1/08	. made of polarizing materials	

An optical element made of a polarizing crystal could go to either 1/02 or 1/08. However, the **precedence reference** states 1/08 take precedence when there is overlapping subject matter. 1/08 covers a polarizing materials. In view of **precedence reference**, 1/08 is proper for a polarizing crystal.

Knowledge Check Question 2



Which subgroup is appropriate if a document discloses an optical element made of a colloidal (non-polarizing) crystal?

- A) G02B 1/02
- B) G02B 1/08

G02B 1/00 1/02 1/04 1/06 1/08	Optical elements characterised by the material of which they are made . made of crystals e.g. rock-salt, semi-conductor (1/08 takes precedence) . made of organic materials e.g. plastics (1/08 takes precedence)	
1/08	. made of polarizing materials	

Knowledge Check Question 2 Answer



A is the correct answer.

G02B 1/00	Optical elements characterised by the material of which they are made
1/02	 made of crystals e.g. rock-salt, semi-conductor (1/08 takes precedence)
1/04	 made of organic materials e.g. plastics (1/08 takes precedence)
1/06	
1/08	made of polarizing materials

A colloidal crystal is made of non-polarizing material. Although there is a precedence reference in 1/02, the subject matter does not overlap with subgroup 1/08. Therefore, an optical element made of a colloidal (non-polarizing) crystal only fits in subgroup 1/02.

Note: If a document discloses two embodiments, e.g. both a polarizing crystal and non-polarizing crystal, and both warrant classification, both 1/08 and 1/02 are given to the document.

Notes



1. Explain scope

Example from G01N21/00: **NOTE** This group does not cover the investigation of spectral properties of light per se, or measurements of the properties...

2. Define terminology

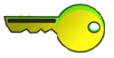
Example from B22F: **NOTE** In this subclass, the following terms or expressions are used with the meanings indicated: "metallic powder" covers powders containing a substantial proportion of non-metallic material;...

3. Indicate Classification rules

Example from B60K6/20:

NOTE When classifying in one of groups B60K6/22, B60K 6/42 or B60K 6/50, further technical information, which is considered to represent information of interest for search, should also be classified in the other subgroups of main group B60K 6/00 to enable searching using a combination of classification symbols.





A warning signals incomplete classification or deviations from IPC.

 Advise that groups are not complete, for example, in B60R 21/015: WARNING

Group(s) B60R 21/0133 – B60R 21/01338 are incomplete pending reclassification of documents from group B60R 21/0132. Until reclassification is complete, groups B60R 21/0132 and B60R 21/0133 – B60R 21/01338 should be considered in order to perform a complete search.

2. Advise that groups do not follow the IPC, for example, WARNING

The following IPC groups are not used in the CPC system. Subject matter covered by these groups is classified in the following CPC groups:

A01B69/04 covered byA01B 69/008A01B69/06 covered byA01B 69/005A01B69/08 covered byA01B 69/006

Summary

You should now be familiar with:

- Relationship between IPC and CPC schemes
- The different CPC symbols and their functions
- How the CPC hierarchical structure determines the **order** and **priority** of groups
- How to correctly interpret CPC titles according to their hierarchy
- The roles of **Titles**, **References** and **Notes in** determining **the scope** and **contents** of classification places

