CPC Policy matters

EPO – USPTO
4th Fourth Cooperative Patent Classification (CPC) annual meeting with National Offices

20 February 2017, WIPO, Geneva, Switzerland
Agenda

• Use of the latest version of the scheme
• Reclassification
  – of backfile
  – of national collections after revisions
    » reclassification scenarios
    » working lists
    » results lists
  – soft deletion of invalid symbols
• Classification of Utility Models
• Classification of PCT applications for ISAs
• PCT circulaire on National Classification
• Use of CPC-CE by National Offices in the future (USPTO)
Use of the latest version of the scheme

• Around 4 CPC revisions per year

• One month pre-release time
Backfile classification of national collections

Classification of backfile

– Desired

– Can be done progressively, e.g. 2015-2016, then 2013-2014, etc.

– Most important is to inform users of coverage
Reclassification of national collections after CPC revisions

- Scenarios

1. Families with documents from EPO, USPTO and any other XX office

2. Families with unique documents from an office not part of EPO’s/USPTO’s core collection e.g. XX

3. Families with documents from more than one office not part of EPO’s/USPTO’s core collection, e.g. XX and YY
Reclassification scenarios

Revision Concordance List (RCL)

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<tr>
<th>Source</th>
<th>Target</th>
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<tr>
<td>A01B 1/02</td>
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<td>A01B 1/14</td>
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<td>A01B 1/16</td>
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Reclassification from A01B1/02 ➔ A01B1/06
Reclassification scenario 1: (Family: EP, US, XX)

EPO or USPTO reclassifies the family on behalf of all offices

<table>
<thead>
<tr>
<th>CLASSIFICATION PICTURE BEFORE</th>
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<tbody>
<tr>
<td>A01B1/02 (EP, or US)</td>
<td>A01B1/06 (EP, US)</td>
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<tr>
<td>A01B1/02 (EP)</td>
<td>A01B1/06 (EP, US)</td>
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<tr>
<td>A01B1/10 (US)</td>
<td>A01B1/06 (EP, US)</td>
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in the source RCL: deleted through reclassification
Reclassification scenario 1: (Family: EP, US, XX)

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<td>H01L21/00 (US)</td>
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<tr>
<td>H01L21/00 (XX)</td>
<td>H01L21/00 (XX)</td>
</tr>
<tr>
<td>A01B1/10 (XX)</td>
<td>A01B1/06 (EP, US, XX)</td>
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</tbody>
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- **A01B1/02 (EP)**: not in the source RCL: out of revision scope
- **H01L21/00 (US)**: in the source RCL: deleted through reclassification
Reclassification scenario 2: (Family: XX only)

- A Working List (WL) will be created for Office XX with unique documents
- Office XX will reclassify e.g.

A01B1/02 (XX) → A01B1/06 (XX)
Reclassification scenario 3: (Family: XX, YY)
(no EPO or USPTO family member present)

- Options:

  1. Both offices XX and YY reclassify (family present in working lists of XX and YY). The result may be e.g.

     A01B1/02 (XX, YY) → A01B1/06 (XX, YY)

     or

     A01B1/02 (XX, YY) → A01B1/04 (XX)
     A01B1/06 (YY)
Reclassification scenario 3: (Family: XX, YY)
(no EPO or USPTO family member present)

2. Only one office reclassifies for both XX and YY e.g. XX (family present in working list of XX only)

   A01B 1/02 (XX, YY) → A01B 1/06 (XX, YY)

3. USPTO reclassify (use of Machine Translation)

   A01B 1/02 (XX, YY) → A01B 1/06 (US, XX, YY)
Reclassification Working Lists

Plan is that for each revision project, reclassification working lists will be made available on the CPC-CE:

- Full reclassification Working List (for information)
- Working List of unique documents per office XX
- Working List with all families having a family member from office XX
Results Lists

• For any family that the EPO, USPTO or any other office reclassify, office XX will receive a Results List of the kind:

  XX document number  Allocations Before  Allocations After

• Office XX can:
  – either accept the allocations provided by the EPO, the USPTO or the other office, or
  – reclassify the XX documents and provide the new allocations back to the EPO/USPTO
Soft deletion of Invalid symbols
(following a CPC revision, symbol X is to be deleted from the CPC scheme)

EPO/USPTO reclassification completed

Symbol X is deleted from scheme: becomes invalid, therefore not allocatable

12 months

- New X-Allocations from NO are accepted
- Old X-Allocations stay in CPCDB

- New X-Allocations from NO not accepted - returned to NO
- Old X-Allocations stay in CPCDB but NO must reclassify

Symbol X is "Frozen" (F): it is valid but non-allocatable.

- New scheme enters into force (NO informed)
- Symbol X is valid and allocatable

Expected in 2018
Classification of Utility models

- Utility Models are valuable Patent Information as well
- If resources allow, they should also be classified
- Of secondary priority compared to patent documents
Classification of PCT applications from ISAs

- PCT documents are of high prior-art value

- ISAs are requested to classify PCT files they search in CPC

- Exchange of data?
  - KIPO has proposed to exchange this data via WIPO (PCT Circular C. PCT 1488)
  - Bilateral workflows?
Use of CPC-CE by National Offices

• Access will be given to the National Offices in the new CPC-CE (Collaborative Environment) tool for:
  
  – Scheme viewing
  
  – Communication – interaction between experts
  
  – CPC Revisions
    • Follow and comment on EPO/USPTO revision projects
    • Making proposal requests for new CPC revisions

Expected by the end 2018
Thank you

cpc@epo.org
cpc@uspto.gov