

Topic 8: Interpreting and using search and examination reports

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Head, Patent Information Section
Global IP Infrastructure Sector

Bangkok 21-23 November 2012 Hanoi 26-28 November 2012

Agenda

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



Types of intermediary results

- Search report types:
 - Basic, i.e. just citations of prior art
 - Enriched, i.e.
 - categories of citations (whether 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



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

(6) 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 transducers"

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"

has been paid (Art. 99(1) European patent convention).

Note: Within nine months from the publication of the mention of the grant of the European patent, any person

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Representative: Stoole, Brian David et al Schlumberger Electronics (U.K.) Limited 124 Victoria Road Farnborough Hampshire GU14 7PW (GB)

FUROPEAN PATENT SPECIFICATION (4) Date of publication of patent specification: 17.02.93 (6) Int. CL⁵ G01N 9/00, G01N 11/16 © Priority: 11.03.87 GB 8705757 Inventor: Rudkin, Mark Jonathan 10 Delph Road Wimborne Dorset(GB) Inventor: Atkinson, David Ian Heaton 6 Dellis Orrive Farnham Surrey(GB) Designated Contracting States:
 AT BE CH DE FR IT LI NL SE References cited: GB-A- 2 131 952 Representative: Stoole, Brian David et al Schlumberger Electronics (U.K.) Limited 124 Victoria Road Farnborough Hampshire GU14 7PW (GB) THE MARCONI REVIEW, vol. XLIII, no. 218, 1980, pages 156-175, Rugby, GB; R.M. LANG-DON: "Vibratory process control trans-September 1983, pages 434-437, IEEE, New York, US; E. STEMME et al.: "Measuring liquid pages 67-75, Research Triangle Park, NC, US; B.W. BALLS: "A new on-line density meter Note: Within nine months from the publication of the mention of the grant of the European patent, any person may give notice to the European Patent Office of opposition to the European patent granted. Notice of opposition shall be filled in a written reasoned statement, it shall not be deemed to have been filed until the opposition fee has been paid (Art. 99(1) European patent convention).

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US-A



US005137548A

United States Patent [19]

Grenier et al.

	C-00001010101014		
[11]	Patent Number:	5.137.54	Ē

[45] Date of Patent: Aug. 11, 1992

[54]	PROCESS AND APPARATUS FOR
	PURIFYING AIR TO BE DISTILLED BY
	ADSORPTION

[75] Inventors: Maurice Grenier, Paris; Sophie

Gastinne, Notre Dame de Gravenchon; Pierre Petit, Chatenay Malabry; François Venet, Paris, all of

France

[73] Assignee: L'Air Liquide, Societe Anonyme pour

l'Etude et l'Exploitation des Procedes

Georges Claude, Paris, France

[21] Appl. No.: 695,927

[22] Filed: May 6, 1991

17, 18, 31

[56] References Cited

U.S. PATENT DOCUMENTS

2,224,227	12/1940	Keith, Jr. et al	55/33 X
2.588,296	3/1952	Russell, Jr	55/33 X
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		Lady	
		Toyama et al	
		McDermott et al	
3,967,464	7/1976	Cormier et al	62/18 X

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4,711,645	12/1987	Kumar	55/33 X
4,746,343	5/1988	Ishizu et al	62/18 X
4,806,136	2/1989	Kiersz et al	62/18
4.957.523	9/1990	Zarate et al.	62/18 X

FOREIGN PATENT DOCUMENTS

44679	1/1982	European Pat. Off	
		Japan	55/25
		Japan	
		Japan	
		United Kingdom .	
1586961	3/1981	United Kingdom	

Primary Examiner—Robert Spitzer Attorney. Agent, or Firm—Curtis, Morris & Safford

[57] ABSTRACT

According to this process, compressed air is cooled and purified by adsorption by passing same in a first direction through a mass of adsorbent material (8), then a residual gas from the distillation apparatus passes in opposite direction through this mass to regenerate same. During the entire regeneration, the residual gas is at a constant regeneration temperature which is between the temperature of the air entering into the mass of adsorbent material and at a temperature which is about 50° C. above this temperature.

10 Claims, 2 Drawing Sheets

EUROPEAN SEARCH REPORT

Application Number

EP 07 12 3554

<i>o</i>))	European Patent Office	EUROPEAN SEARCH REPORT
اربي	Office	

	DOCUMENTS CONSID	ERED TO BE RELEVANT		
Category	Citation of document with it of relevant pass	ndication, where appropriate, ages	Relevant to claim	CLASSIFICATION OF THE APPLICATION (IPC)
х	AL) 19 May 1998 (19 * column 11, line 5	RBOUR ERSKINE [US] ET 1988-05-19) 15 - line 67 * 12 - column 14, line 38	1	INV. H01H71/24 H01H71/12 H01F7/18
(DE 199 57 260 A1 (5 23 May 2001 (2001-0 * the whole documer	1		
A	EP 1 009 003 A1 (SC [FR] SCHNEIDER ELEC 14 June 2000 (2000- * the whole documen	-96-14)	1	
				TECHNICAL FIELDS SEARCHED (PC)
				H01H H01F
	The present search report has	been drawn up for all claims Date of correlation of the search	Ц	Examiner
	Munich	1 July 2008	Ran	iírez Fueyo, M
Munich CATEGORY OF OTED DOCUMENTS X: particularly relevant Et Saben above y: particularly relevant Et Saben above document of the same category A: terroriogical bloodingman O: nor written desdocume D: terroriogical bloodingman S: exercise pattert document, but published on, or after the filing dotter. A: terroriogical bloodingman C: terroriogical bloodingman S: terroriogical pattert document of the same pattert family, corresponding document.				

INTERNATIONAL SEARCH REPORT INTERNATIONAL SEARCH REPORT nternational application No PCT/IB2008/053885 A. CLASSIFICATION OF SUBJECT MATTER INV. G02B26/10 G12B21/20 ADD. G02B7/00 According to International Patent Classification (IPC) or to both national classification and IPC B. FIELDS SEARCHED station searched (classification system followed by classification symbols) G02B G12B Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched Electronic data base consulted during the international search (name of data base and, where practical, search terms used) EPO-Internal, WPI Data C. DOCUMENTS CONSIDERED TO BE RELEVANT Category* Citation of document, with indication, where appropriate, of the relevant passages Relevant to claim No US 4 696 566 A (SEKIMOTO YOSHIHIRO [JP] ET 1,6,8,9 AL) 29 September 1987 (1987-09-29) abstract; figures 3,5,9,10 column 2, line 24 - column 3, line 5 column 4, lines 14-66 US 2002/018291 A1 (FUKUYAMA HIROYA [JP]) 1,6,8,9 14 February 2002 (2002-02-14) cited in the application paragraph [0068]; figure 4 paragraphs [0053], [0054] paragraph [0119]; claims 1,5 JP 62 054843 A (BROTHER IND LTD) 1,5,6,8, 10 March 1987 (1987-03-10) abstract; figures -/--X Further documents are listed in the continuation of Box C. X See patent family annex. Special categories of cited documents: *T* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention "A" document defining the general state of the art which is not considered to be of particular relevance "E" sariler document but published on or after the international filing date invention invention and the control of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve all numbers as promised to document to state adole "" document of perfocular relevance; the claimed invention to committee and the control of the "L" document which may throw doubts on priority claim(s) or which is clied to establish the publication date of another citation or other special reason (as specified) "O" document referring to an oral disclosure, use, exhibition or other means *P* document published prior to the international filing date but later than the priority date claimed *&* document member of the same patent family Date of the actual completion of the international search Date of mailing of the international search report 3 February 2009 09/02/2009 Authorized officer European Patent Cffice, P.B. 5818 Patentham 2 NL – 2200 HV Rijawijk Tel. (+31–70) 340–2040, Fax: (+31–70) 340–3018 Hylla, Winfried

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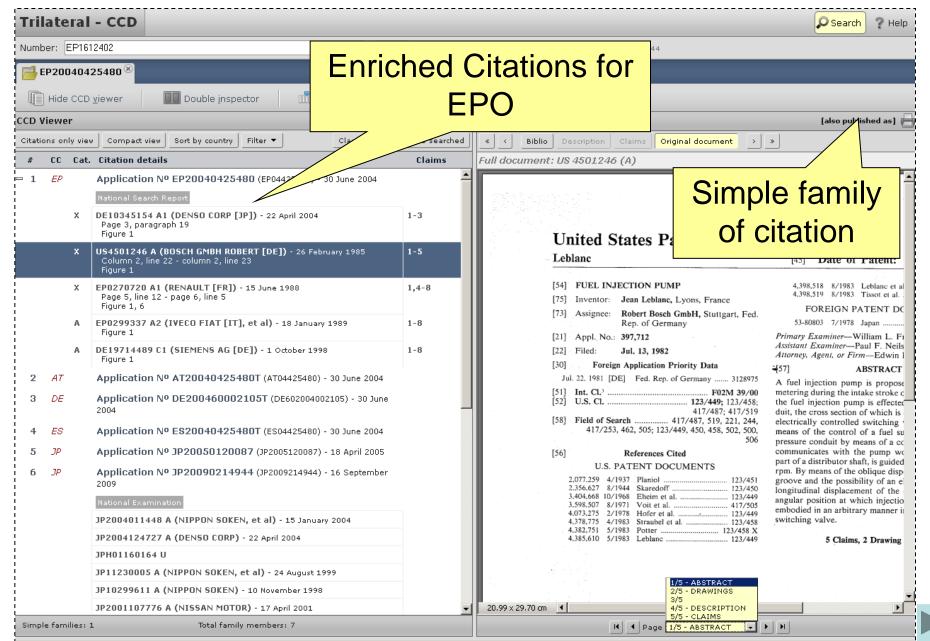
Search reports as part of publications

Various policies for publishing prior art

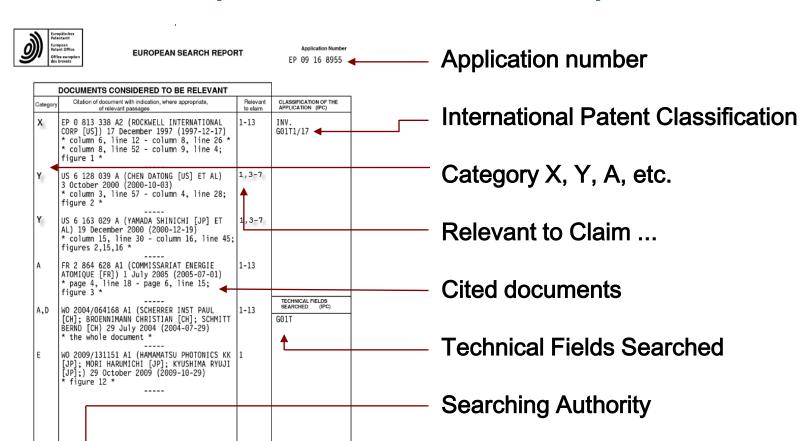
- WO-A1, EP-A1: 18 month publication with enriched SR
- WO-A3, EP-A3: publiction of delayed enriched search report (after A2)
- US-A (- 11/2000): citations only
- US-A1: never (available then in US-PAIR)
- US-B1: citations only
- DE-A1: 18 month publication, with citations (only) if available; no A3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



Common Citation Document CCD



Enriched prior art search reports



The present search report has been drawn up for all claims

23 March 2010

Wulveryck, J

T: theory or principle underlying the invention E: earlier patent document, but published on, or

& : member of the same patent family, corresponding

after the filing date

D : document cited in the application L : document cited for other reasons

The Hague

X : particularly relevant if taken alone

document of the same category

A ; technological background O : non-written disclosure P ; intermediate document

CATEGORY OF CITED DOCUMENTS

particularly relevant if combined with another

Examiner

Date of Completion of the Search

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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



Backward and forward citations

For any publication A:

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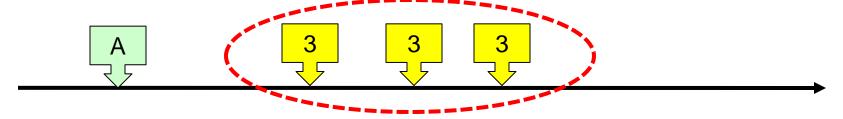
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SR in EP Register

		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 searc	th [Y] ≯ <u>EP1568704</u>	
	[Y] P. POIJÄRVI ET AL: "2,2-Bis(ethoxycarbo 3-(pivaloyloxy)propyl Groups as Biodegradable BIOCONJUGATE CHEMISTRY, vol. 16, 2005,	Protections of Oligonucleotides"
	DOI: > http://dx.doi.org/10.1021/BC050147	
		otide Pro-Drugs: 2,2-Bis(ethoxycarbonyl) and (Pivaloyloxy)Propyl Groups as Biodegradable Protecting ioate Linkages" LETTERS IN ORGANIC CHEMISTRY, vol. 1,
	DOI: > http://dx.doi.org/10.2174/157017804	<u>3488536</u>



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Journal of Virology

Generation of an Influenza A Virus Vector Expressing Biologically Active Human Interleukin-2 from the NS Gene Segment

Christian Kittel, Boris Ferko, Martina Kurz, Regina Voglauer, Sabine Sereinig, Julia Romanova, Gabriela Stiegler, Hermann Katinger and Andrej Egorov J. Virol. 2005, 79(16):10672. DOI: 10.1128/JVI.79.16.10672-10677.2005.

Updated information and services can be found at: http://jvi.asm.org/content/79/16/10672

These include:

REFERENCES

This article cites 34 articles, 11 of which can be accessed fi at: http://jvi.asm.org/content/79/16/10672#ref-list-1

CONTENT ALERTS

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doi: 10.1128/JVI.79.16.10672-

J. Mrol. August 2005 vol. 79 no. 16 10072-10677

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Figure

Full 1



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Retrieving non patent literature

- Usually copyright protected
- Access usually requires subscription
- For LDC's and certain DCs: WIPO's ARDI program



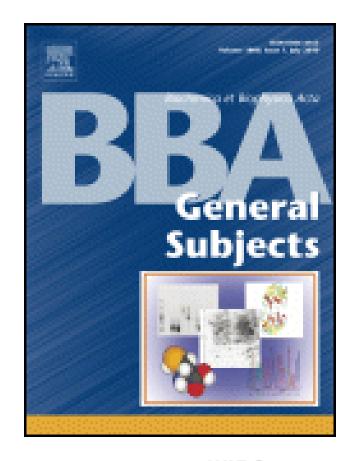
Access to non-patent data: ARDI (Access to Research for Development and Innovation)

- Partnership with 12 publishers
- Access to over 200 key journals in various fields of research, including:
 - applied physics
 - engineering
 - chemistry
 - traditional knowledge
- Subscriptions regularly valued at over 500 000 dollars



ARDI: Resources (example)

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



ARDI: Portal



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ACCESS TO RESEARCH FOR DEVELOPMENT AND INNOVATION (ARDI)

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PATENTS

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

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OARE: Online Access to
Research in the Environment



ARDI: Research4Life Programs





World Intellectual Property Organization





World Health Organization





Food and Agriculture Organization of the United Nations





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)

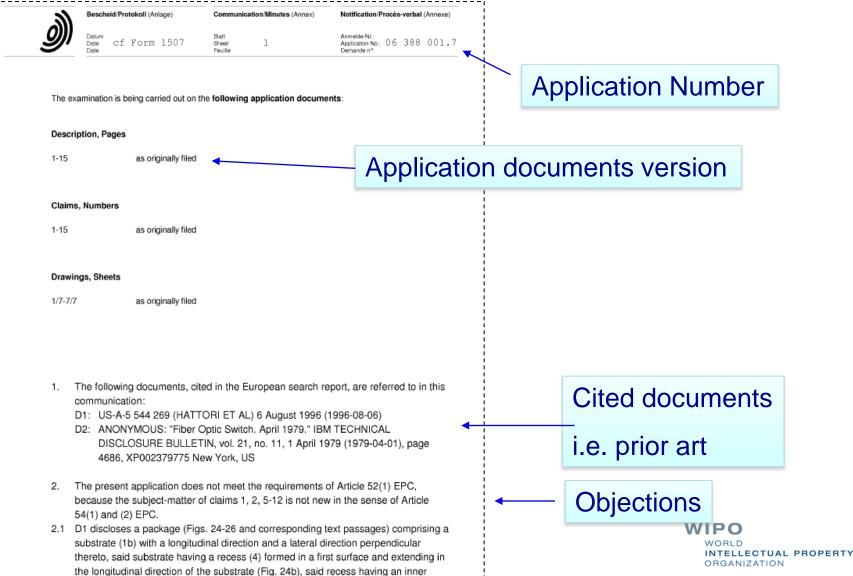
Grounds may be supported by references to the Case Law



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

Box No. V Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Statement

Novelty (N)

es: Claims o: Claims 3, 19 1, 2, 4-18, 20

Inventive step (IS)

Yes: Claims

Yes:

Claims 1-20

Industrial applicability (IA)

Claims

1-20

Citations and explanations

see separate sheet

Form PCT/ISA/237 (April 2007)

WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY (SEPARATE SHEET)

International application No.

PCT/US2010/020787

Re Item V

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

- 1 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

ORGANIZATION

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

Thank you