Contents

List of Figures	X11
List of Tables	xiv
Series Editor's Foreword	xvi
Preface to Second Edition	XX
Preface to Third Edition	XXV
Part I: Patent processes and documentation	1
1 Principles of patenting	3
Legal Processes	3
Defining a patent	3 4 5
The concept of priority	5
The historical examination process for patents	6
The development of deferred examination and	
early publication	9
A typical sequence in modern patent examination	10
Patents as Information Tools	12
Language of publication	12
Patents as accessible documents	14
Patent families	15
Bibliographic Standards and the Form of a	
Patent Document	19
Special Document Types	22
Alternative forms of intellectual property (IP) rights	23 24
Patent amendments and corrections	24
Patent-related protection mechanisms	25
References	28
2 The European Patent system	31



	EP Patent Documents - Centralised and Nationalised Procedures	34
	Formal examination and search report	35
	Unexamined publication	35
	Grant publication	37
	Post-grant publications	37
	Post-grant translations and the London Agreement	38
	Other post-grant events	42
	European Classification	43
	Databases and Database-Specific Aspects	44
	Relationships with the European Union	46
	The effect of European Regulations and Directives	46 47
	The Community Patent	48
	References	40
3	The United States patent system	49
	Historical Aspects	49
	Recent Law Changes	52
	US Patent Documents	52
	Application procedure	52 54
	Examination, early publication and grant	58 58
	Post-grant activities Databases and Database-Specific Aspects	61
	The US Patent Classification	65
	References	67
4	The Japanese patent system	68
•	History of Japanese Patents	68
	Japanese Patent Documentation and	00
	Recent Law Changes	70
	Normal progress to grant	70
	Japanese B1 publications	72
	The importance of utility models	73
	Databases and Database-Specific Aspects	74
	The Japanese Patent Classification and	
	Indexing Systems	78
	References	79
5	The Patent Co-operation Treaty	80
	Background to the PCT System	80
	PCT Documentation	80
	Databases Covering the PCT System	91
	References	97

		Contents	ix
6	National patent systems of the G7 countries		99
	Introduction		99
	Canada		99
	Historical aspects and current law		99
	National patent documentation		101
	Databases and database-specific aspects		101
	France		103
	Historical aspects and current law		103
	National patent documentation		104
	Databases and database-specific aspects		105
	Germany		107
	Historical aspects and current law		107
	National patent documentation		108
	Databases and database-specific aspects		110
	Italy		114
	Historical aspects and current law		114
	National patent documentation		115
	Databases and database-specific aspects		117
	United Kingdom		118
	Historical aspects and current law		118
	National patent documentation		121
	Databases and database-specific aspects		123
	References		124
7	The BRIC nations, Asia and regional patent system	S	125
	Introduction		125
	Brazil		125
	Historical aspects and current law		125
	National patent documentation		127
	Databases and database-specific aspects		128
	Russian Federation		129
	Historical aspects and current law		129
	National patent documentation		131
	Databases and database-specific aspects		131
	India		134
	Historical aspects and current law		134
	National patent documentation		135
	Databases and database-specific aspects		138
	China		139
	Historical aspects and current law		139
	National patent documentation		140
	Databases and database-specific aspects		145
	Other Asian Countries		147
	South Korea		147

X	Contents
X	Contents

Taiwan Regional Patent Systems The Eurasian Patent Office Africa – ARIPO and OAPI The Gulf Co-operation Council (GCC) Future developments in regional patent systems References	148 149 150 152 154 157
Part II - Databases and search techniques	159
Patent guides and libraries General Directories and Reference Works United Kingdom Patent Libraries United States Patent Libraries German Patent Libraries The European PATLIB Network Japanese Patent Libraries Chinese Patent Libraries References	161 162 163 163 164 164 165
9 National and international patent information sources Paper Sources Optical Disk (CD-ROM, DVD) Integrated Disk-Internet Products Via Mimosa Proprietary Electronic Databases Derwent World Patent Index (DWPI) (Thomson-Reuters) Patent Citation Index (PCI) (Thomson-Reuters)	167 168 168 172 174 174
PlusPat, FamPat (Questel) API Encompass and WPAM (Questel) INPADOC PFS and Open Patent Services (EPO) Pharm (Questel) Other Thomson-Reuters products IMS Patent Focus (IMS Health) GeneSeq (DGENE)	186 187 188 190 191 192 192
Chemical Abstracts / Marpat (CAS) MMS (Questel) SureChem (Macmillan) Public Internet Sources National patent office websites Patent Office portal sites Controlled-Access Internet Password- or account-based systems Encrypted systems	193 196 197 197 197 198 202 203 209

		Contents	xi
	References		211
10	The non-patent literature for the patent searcher Legal Background to Non-Patent Literature Use		212 212
	Open-Access Journals		212
	Internet Disclosures		216
	Reference Guides		217
	Source Indexes		218
	Special Library Sources		
			218
	Subject Guides		219
	Reviews		220
	Tertiary Literature		221
	Other Forms Of Literature		223
	Grey literature		223
	Theses		224
	Traditional Knowledge (TK)		225
	Conference literature and technical standards		226
	Technical disclosure bulletins		227
	Conclusion		227
	References		228
11	Common search types (I) – Alerting searches		231
	Standard Bulletins		231
	In-House Strategies		235
	Specialist Suppliers		236
12	Common search types (II) - Patentability and		
	freedom-to-operate searches		237
	The Patentability Search		237
	The Infringement Search		241
	References		244
13	Common search types (III) - Portfolio and		
	legal proceedings searching		245
	The Portfolio Search		245
	Validity and Opposition Searching		247
	References		249
14	Sources for legal status searching		250
- •	What is 'Legal Status'?		250
	Services from patent offices		252
	Multi-country coverage sources		261
	Commercial sources for legal status		266
	References		268

••	_
XII	Contents

15	Commercial intelligence search and analysis	270
	State-of-the-Art Searches	270
	Patent Analysis Tools and Techniques	272
	References	274
16	Specialist techniques	275
	Searching of Citations	275
	Patent Classification	276
	The International Patent Classification and	
	its derivatives	277
	The US Patent Classification	282
	Japanese F-term indexing	282
	The IP5 CHC project and the US-EP CPC	283
	Additional Non-Word Elements	283
	References	285
17	Future developments	287
	The Impact of the World Trade Organisation	
	and WIPO	287
	The TRIPS Agreement	287
	The Patent Law Treaty (PLT)	288
	The Trilateral Offices and the IP5	289
	The Future of Patent Searching?	289
	References	291
Ann	ex A: USPTO classification (current at 2011.02)	293
	ex B: Historical JPO classification	301
	ex C: Classes of the IPC (Edition dated 2011.01)	304
	ex D: The theme groups of the Japanese F-term system	308
	,	
App	endix 1: Glossary of patenting terms	311
	endix 2: Contact list for major database producers,	_
• •	hosts and libraries	316
App	endix 3: Index of abbreviations	319
- 1	•	
Inde	X	325