

Legal Status Information on INPADOC

STN e-seminar July 2019





Agenda

- Introduction to INPADOC on STN
- Legal status information on INPADOC
- Case 1 – PCT: Entry into national phase in China
- Case 2 – EP patent not in force
- Case 3 – Granting of US patent application
- Summary
- Appendix: SPC - Supplementary Protection Certificate

INPADOCDB (INternational PATent DOcumentation DataBase)

- Bibliographic and family data of patent documents and utility models
- More than 100 patent-issuing organizations, including
 - the European Patent Office (EPO) and
 - the World Intellectual Property Organization (WIPO)
- Abstracts, legal status and citation information
- Database producer is the European Patent Office

Adding value to INPADOC on STN

- **Enhanced patent family information** on STN: FIZ-Editorial team
 - Quality control and correction process of application and publication numbers
 - Chinese Dual Filings (utility model and patent documents linked in one record)
 - Calculation of expiration date

A red, rectangular stamp with a distressed, ink-like texture. The text "ONLY ON STN!" is written in a bold, sans-serif font, slanted upwards from left to right. The stamp is positioned in the upper right quadrant of the slide, overlapping the main text area.

Database structure of INPADOCDB/INPAFAMDB

Accession Number



Database structure of INPADOCDB/INPAFAMDB

Accession Number



**Bibliographic
information**



**Patent family
information**



Classifications



**Legal status
information**



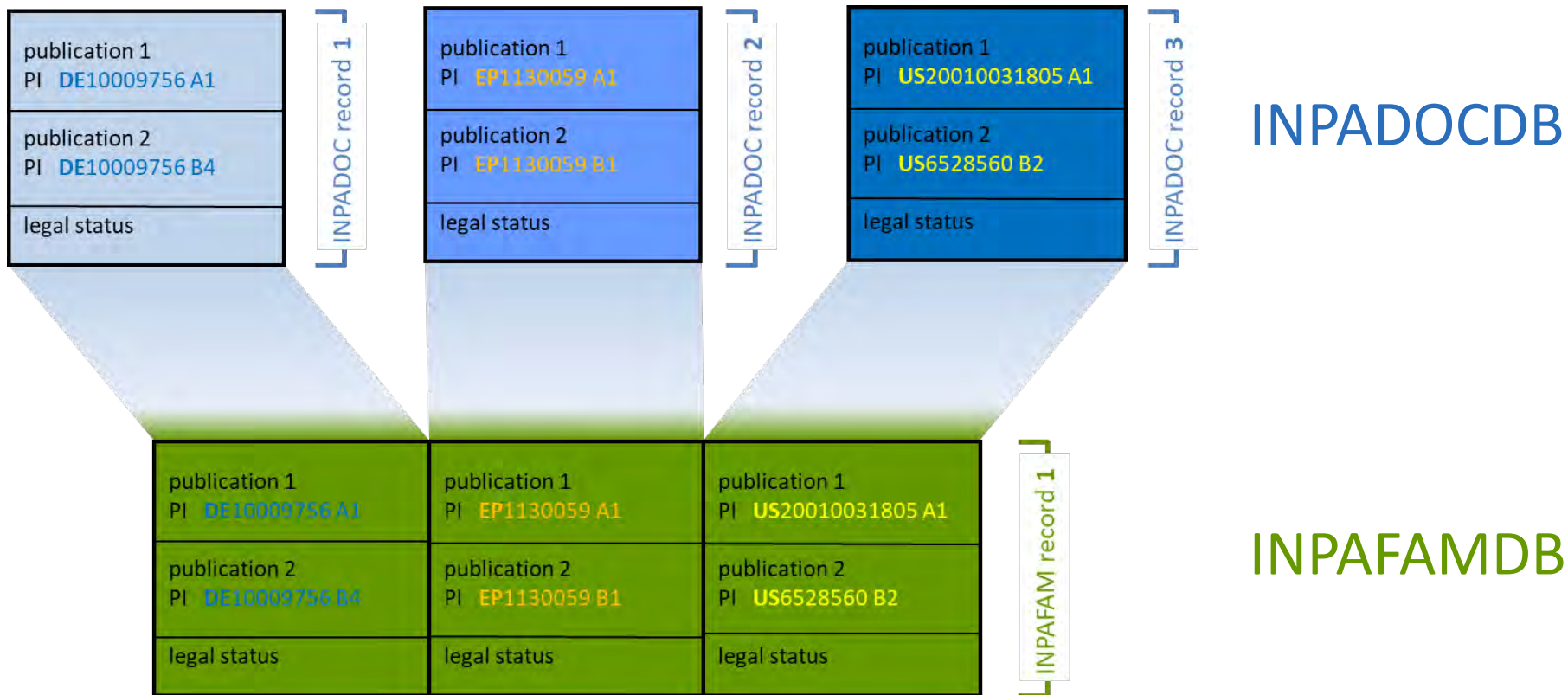
Citations

Database structure of INPADOCDB/INPAFAMDB

Accession Number

	Bibliographic information	TI Title PA Patent Assignee AB Abstract :
	Patent family information	PI Patent Information AI Application Information PRAI Priority Information
	Classifications	CPC Cooperative Patent Cl. IPC International Patent Cl. NCL, FTRM, FCL, OCL :
	Legal status information	LSC Legal Status Code LSTX Legal Status Text LSDF Legal Status Date in Force :
	Citations	RE Cited References SRT Search Report Type CGP Citing References :

Two implementations of INPADOC on STN



INPAFAMDB and INPADOODB on STN

- Companion file to INPADOODB
- All patent publications of **one patent family** (invention) form **one record** in INPAFAMDB:

- The accession number **AN** (INPAFAMDB) for one family record is based on the family number FN of INPADOODB
- The document number **DN** (INPAFAMDB) is the Accession Number AN from INPADOODB

INPAFAMDB **AN** ⇔ **FN** INPADOODB

INPAFAMDB **DN** ⇔ **AN** INPADOODB

Two implementations of INPADOC for different questions

APPLICATION-based INPADOCDB

Legal status search

For analysis of number of patents or link patents and legal status:

How many applications did a company file in which country in the last 10 years?

How many applications have been filed in a specific technology?

What is the patent granting rate in different countries?

How many patents of a year are expired/lapsed?

Who files oppositions?

FAMILY-based INPAFAMDB

Technology search

Competitor search

Citation search

For analysis of inventions (INPADOC families), e.g. patent portfolio (How many inventions of a company are filed?)



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Introduction
Searching Legal Events
LS Categories
LS Country Coverage
Standard LS Monitoring
Display Options

Legal Status Information

Patent legal status data refers to **events during a patent's life cycle.**

Legal Status Information

Patent legal status data refers to **events during a patent's life cycle**.

This information can be used for various purposes, e.g.

- *Is a patent in force?*
- *Are there early indications for granting?*
- *For which pharma patents has an SPC been filed in NL?*
- *Monitoring all or specific legal status changes.*

FTO, business opportunities, strategic decisions, monitoring competitors,...

Legal Status Information on INPADOC

- INPADOC covers the largest worldwide collection of legal events
 - Legal status data are available for 97 patent authorities
 - over 270 million legal events for about 56 million records
- Legal status information is searchable with about 4.000 legal status codes
- Strong implementation on STN: all data searchable
 - 30 legal status search fields

Anatomy of a Legal Status Entry

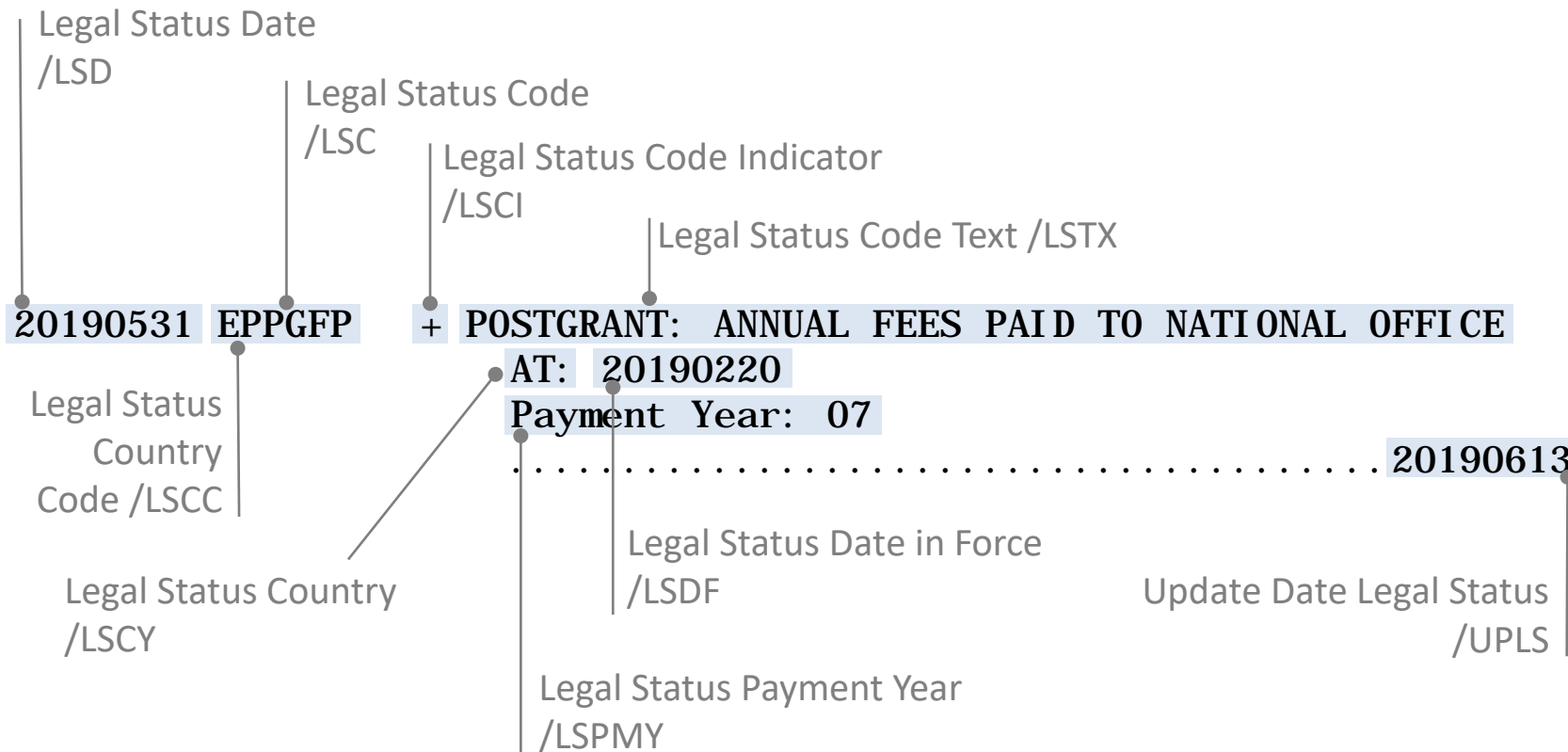
Display with D LS

...

```
20190531 EPPGFP + POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE
                AT: 20190220
                Payment Year: 07
                ..... 20190613
```

...

Anatomy of a Legal Status Entry



Searching Legal Events

- Search either code in the **LSC field** or the text describing the code in the **LSTX field**

```

...
20171227 DEA    PRI Patent application
                DE 2017-102017223817 A 20171227
                ..... 20190704
20181128 EPA    APP Patent application
                EP 2018-208806      A 20181128
                ..... 20190704
20190703 EPA1   PUB APPLICATION PUBLISHED WITH SEARCH REPORT
                EP 3506441          A1 20190703
                ..... 20190704
20190703 EPAK   + DESIGNATED CONTRACTING STATES:
                EP                    A1
                AL AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HR HU IE IS
                IT LI LT LU LV MC MK MT NL NO PL PT RO RS SE SI SK SM TR
                ..... 20190711
20190703 EPAV   + REQUEST FILED FOR VALIDATION OF THE EUROPEAN PATENT
                KH MA MD TN
                ...

```

The LS format gives an overview of legal status events in chronological order

Searching Legal Events

- Search either code in the **LSC field** or the text describing the code in the **LSTX field**

```

...
20171227 DEA PRI Patent application
DE 2017-102017223817 A 20171227
..... 20190704
20181128 EPA APP Patent application
EP 2018-208806 A 20181128
..... 20190704
20190703 EPA1 PUB APPLICATION PUBLISHED WITH SEARCH REPORT
EP 3506441 A1 20190703
..... 20190704
20190703 EPAK + DESIGNATED CONTRACTING STATES:
EP A1
AL AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HR HU IE IS
IT LI LT LU LV MC MK MT NL NO PL PT RO RS SE SI SK SM TR
..... 20190711
20190703 EPAV + REQUEST FILED FOR VALIDATION OF THE EUROPEAN PATENT
KH MA MD TN
...

```

Extended legal events - priority, application and publication data - can be searched via bibliographic search fields (PRN, PRC, PRK, PRD, PRY, AP, AC, AK, AD, PN, PK, PY).

The LS format gives an overview of legal status events in chronological order

Searching Legal Events

- Search either code in the **LSC field** or the text describing the code in the **LSTX field**
- Use sentence **(S)** in the **LSTX field** to limit to the same legal events

```
=> S USFP/LSC
```

```
L1      1949529 USFP/LSC
```

```
=> S (EXPIR?(S) FAIL?)/LSTX
```

```
L2      1949529 (EXPIR?(S) FAIL?)/LSTX
```

```
=> D KWIC
```

```
LEGAL STATUS HIT
```

```
AN      100537558 INPADOCDB
```

```
20100629 USFP      EXPIRED DUE TO FAILURE TO PAY MAINTENANCE FEE
```

```
20100512
```

```
NIF Lapses, Expiries, Withdrawals, Refusals
```

```
.....20190509
```

Use EXPAND USFP/LSC to display description of legal status event.

Use EXPAND US/LSC to start a list with LS events from US.

Combine search aspects within one legal event

- Use the **L-operator** to link search fields within one LS entry, e.g. link **LSC** or **LSTX** to the INPADOC **Legal Status Date (LSD)**

=> S WOENP/LSC (L) 20190319/LSD

L1 789 WOENP/LSC (L) 20190319/LSD

=> D KWIC

L10 ANSWER 1 OF 789 INPADOCDB COPYRIGHT 2019 EPO/FIZ KA on STN

LEGAL STATUS HIT

AN 100749922 INPADOCDB

20190319 **WOENP** ENTRY INTO THE NATIONAL PHASE IN:

KR 20197007911 A

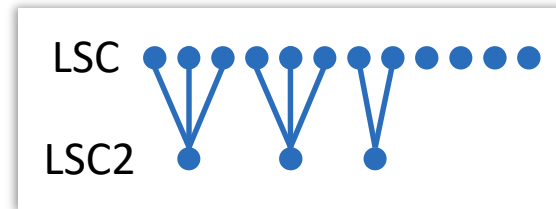
.....20190613

WOENP ENTRY INTO THE NATIONAL
PHASE IN:

=> HELP (L)

Legal Status Code Categories (/LSC2)

- In response to customer needs, we **grouped** important legal status codes into seven LS categories
- LS categories provide **easy access** to more than **2.600** specific legal status codes:
 - reliable and easy to use
 - well applicable to specific legal status monitoring
 - new codes and code definition revisions will be reviewed and included by FIZ editorial



STN-assigned legal status categories simplify legal status searches (/LSC2)

- **CHG** Change of Owner, Inventor, Applicant
- **EXA** Examination, Search Report
- **LIC** Licensing
- **NIF** Lapses, Expiries, Withdrawals, Refusals
- **ORE** Opposition, Reexamination
- **REI** Reinstatement or Restoration
- **SPC** Supplementary Protection Certificate

When using NIF, also consider REI!

- The history of legal events is important for the current status of the patent
- Example: NIF event followed by REI indicates a patent in force

=> S ... L/AND NIF/LSC2	L1
=> S ... L/AND (NIF AND REI)/LSC2	L2
=> S L1 NOT L2	L3

L2...check history

L3...lapsed

NIF	Lapses, Expiries, Withdrawals, Refusals
REI	Reinstatement or Restoration

When using NIF, also consider REI!

```

AN      95421808 INPADOCDB
20090918 ATU      PRI Application for a utility model
                   AT 2009-585U          U 20090918
                   .....20110421

20090918 ATU      APP Application for a utility model
                   AT 2009-585U          U 20090918
                   .....20110421

20110415 ATU1     PUB UTILITY MODEL WITH SEARCH REPORT
                   AT 11729U            U1 20110415
                   .....20110421

20140515 ATMM01   - LAPSE BECAUSE OF NOT PAYING ANNUAL FEES
                   20130930
NIF Lapses, Expiries, Withdrawals, Refusals
                   .....20180719

20140915 ATNFJG   + REINSTATEMENT AFTER LATE PAYMENT OF ANNUAL FEES
                   20140814
REI Reinstatement or Restoration
                   .....20180719

20170515 ATMM01   - LAPSE BECAUSE OF NOT PAYING ANNUAL FEES
                   20160930
NIF Lapses, Expiries, Withdrawals, Refusals
                   .....20180719
  
```

```

=> S ... L/AND NIF/LSC2          L1
=> S ... L/AND (NIF AND REI)/LSC2 L2
=> S L1 NOT L2                   L3
  
```

L2...check history
L3...lapsed

```

NIF  Lapses, Expiries, Withdrawals,
      Refusals
REI  Reinstatement or Restoration
  
```

**The history of legal events is important
for the current status of the patent**

According to legal events: not in force

When using NIF, also consider REI!

```

AN      94340065 INPADOCDB
...
20150721 GBA      APP Patent application
                  GB 2017-19868          A 20150721
                  .....20180125
20171227 GBAT      - APPLICATIONS TERMINATED BEFORE PUBLICATION UNDER SECTION
                  16(1)
                  NIF Lapses, Expiries, Withdrawals, Refusals
                  .....20180503
20171227 GBS20A    REINSTATEMENT OF APPLICATION (SECT. 20A/PATENTS ACT 1977)
                  REQUEST FOR REINSTATEMENT FILED
                  20171123
                  REI Reinstatement or Restoration
                  .....20180503
20171227 GBS20A    REINSTATEMENT OF APPLICATION (SECT. 20A/PATENTS ACT 1977)
                  REQUEST FOR REINSTATEMENT ALLOWED
                  20171204
                  REI Reinstatement or Restoration
                  .....20180503
20180110 GBDO      PUB PATENT APPLICATION FILED
                  GB 2017019868          DO 20180110
                  .....20180125

```

According to legal events: in force



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- | |
|----------------------------|
| Introduction |
| Searching Legal Events |
| LS Categories |
| LS Country Coverage |
| Standard LS Monitoring |
| Display Options |

Principal Patent Filing Strategies

- **National** Patent Filings – single patent authority
- **Regional** Patent Filings
 - European Patent Office **EP** 38 member states
 - Eurasian Patent Organisation **EA** 8 contracting states
 - Gulf Cooperation Council **GC** 6 contracting states
 - Africa: OAPI **OA** 17 contracting states
 - Africa: ARIPO **AP** 18 contracting states
- **International** Patent Filings (PCT)
 - World Intellectual Prop. Office **WO** 152 PCT contracting states

Legal Status Country Coverage – National Filings

- ***National*** Patent Filings – single patent authority
Legal status information from 53 patent authorities

Legal Status Country Coverage – National Filings

- **National** Patent Filings – single patent authority
Legal status information from 53 patent authorities

PI FR 3076171 A1 20190628

LEGAL STATUS

AN 101713233 INPADOCDB Full-text

20190628 FRPLSC SEARCH REPORT READY

20190628

EXA Examination, Search Report

..... 20190711

=> S FR/LSCC

LSCC – Country providing the code

Legal Status Code
Country /LSCC

Legal Status Code /LSC

Extended legal events - priority, application and publication data - can be searched via bibliographic search fields (PRN, PRC, PRK, PRD, PRY, AP, AC, AK, AD, PN, PK, PY).

Legal Status Country Coverage – Regional Filings (1)

- **Regional** Patent Filings: combine information from different fields

```
PI    EP 3382133          A1 20181003
PI    EP 3382133          B1 20190227

LEGAL STATUS  HIT
AN    96566521 INPADOCDB Full-text
20190430 EPPGFP    + POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE
                    FR: 20190322
                    Payment Year: 02
                    ..... 20190509
```

=> S EP/PC AND FR/LSCY

LSCY – relating to this country

Legal Status Country /LSCY

Legal Status Country Coverage – Regional Filings (2)

AN 95880029 INPADOCDB Full-text
 20190607 EPREG REFERENCE TO A NATIONAL CODE
 GREP GR: EP PATENT VALIDATED IN GREECE
 GR 20190400895
 20190524
 20190620

Legal Status Code Text
/LSTX

Legal Status
Country /LSCC

Legal Status Publication
Country /LSPC

Legal Status Country /LSCY

If a publication number is provided, the publishing country will be listed in LSPC.

AN 91666200 INPADOCDB Full-text
 20180613 EPAKX DESIGNATION FEES PAID
 AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HR HU IE IS
 IT LI LT LU LV MC MT NL NO PL PT RO SE SI SK TR

Legal Status Designated States /LSDS

=> S EP/PC AND GR/LSCY,LSCC,LSPC

Further search field: LSDS, LSTX

Legal Status Country Coverage – International Filings

- ***International*** Patent Filings (PCT)
 - Entry into national phase for 66 countries
 - Non-entry into national phase for 15 countries

Legal Status Country Coverage – International Filings

- **International** Patent Filings (PCT)
 - Entry into national phase for 66 countries
 - Non-entry into national phase for 15 countries

Legal Status Code

Country /LSCC

AN 101425359 INPADOCDB

20190702 WOREG
BRB01A

REFERENCE TO NATIONAL CODE

BR: PCT PUBLICATION - REQUEST FOR ENTRY INTO THE NATIONAL PHASE

BR 112019013003

..... 20190711

Legal Status Country /LSCY

Legal Status Publication

Country /LSPC

AN 94488719 INPADOCDB

20190516 WOWD

WITHDRAWAL OF DESIGNATIONS AFTER INTERNATIONAL PUBLICATION

BR

..... 20190530

Legal Status Designated

States /LSDS



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Standard Legal Status Monitoring (Part 1)

- ***Pre-grant phase***
 - Application discontinued, lapsed, withdrawn, refused
 - Fee payment (see also Granting)

Standard Legal Status Monitoring (Part 1)

- **Pre-grant phase**

- Application discontinued, lapsed, withdrawn, refused
- Fee payment (see also Granting)

- **Granting**

- **New publication** (e.g. => S USB?/PK or => S UPFP>20190101)
- **Legal events** for patent granting, e.g.
 - US: „Information on status: patent grant“ (=> S USSTCF/LSC)
- **Early indicators** for patent granting, e.g.
 - EP: Intention to grant (e.g. => S EPINTG/LSC)
 - US: notice of allowance or issue fee payment (both => S USSTPP/LSC or => S USSTPP/LSC (L) (NOTICE OF ALLOWANCE OR ISSUE FEE PAYMENT)/LSFT)

<https://www.epo.org/searching-for-patents/data/coverage/weekly.html>

Example: monitoring legal events may be more timely.

PI US 20190072929 A1 20190307
TI LADDER LOGIC GRAPHICAL PROGRAMMING AND TEXTUAL PROGRAMMING
SYNCHRONIZATION.

Only application listed (20190718), no
granted patent.

...
20190420 USSTPP INFORMATION ON STATUS: PATENT APPLICATION AND GRANTING
PROCEDURE IN GENERAL
RESPONSE TO NON-FINAL OFFICE ACTION ENTERED AND FORWARDED
TO EXAMINER

.....20190620
20190425 USSTPP INFORMATION ON STATUS: PATENT APPLICATION AND GRANTING
PROCEDURE IN GENERAL
NOTICE OF ALLOWANCE MAILED -- APPLICATION RECEIVED IN
OFFICE OF PUBLICATIONS

.....20190620
20190524 USSTPP INFORMATION ON STATUS: PATENT APPLICATION AND GRANTING
PROCEDURE IN GENERAL
PUBLICATIONS -- ISSUE FEE PAYMENT VERIFIED

.....20190704
20190619 USSTCF INFORMATION ON STATUS: PATENT GRANT
PATENTED CASE

Early indicators

Legal event provided before publication
of granted patent (20190704)

Standard Legal Status Monitoring (Part 2)

- ***Post-grant phase***
 - Annual fee payment
 - Early patent expiry (e.g. non-payment of fee)
 - Opposition/reexamination/appeal
 - SPCs (Supplementary Protection Certificate)

- ***Further search aspects***
 - Re-assignment of patent assignee
 - Entry into the national phase
 - ...

Legal Status Display Options

- Standard format legal status **LS**
- Detailed, fielded legal status **LS2**
- Focused display formats **HIT, KWIC**
- Legal status in display format **MAX**
- Legal status in family display formats **FFAM, LFAM, BIBLS, FAMILS, MFAM, IFAM, IFAM2**
- Patent information and legal status **PILS (PILS.F)**

Identify search fields with LS2 display format

LS - standard display format

```
...
20180207 EPINTG      + ANNOUNCEMENT OF INTENTION TO GRANT
                      20180111
                      EXA Examination, Search Report
                      ..... 20180215
...
```

LS2 – display format with field codes

```
...
LSD   20180207
LSC   EPINTG
LSCI  +
LSTX  ANNOUNCEMENT OF INTENTION TO GRANT
LSDF  20180111
LSC2  EXA Examination, Search Report
...
```




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Case 1 – CN patents starting from a PCT application

Chinese patents can be based on PCT applications. Find PCT applications from BASF entering the national phase in China.

Case 1 – PCT: Entry into national phase in China

=> **FIL INPADOCDB**

=> **S BASF/PASS AND WO/PC (S) (2015-2016)/PY**

L1 1669 **BASF/PASS AND WO/PC (S) (2015-2016)/PY**

=> **S L1 AND CN/LSCC, LSCY, LSPC**

L2 101 **L1 AND CN/LSCC, LSCY, LSPC**

PASS Patent Assignee Group (/PA, /PAS and /LSPA)

Case 1 – PCT: Entry into national phase in China

=> **FIL INPADOCDB**

=> **S BASF/PASS AND WO/PC (S) (2015-2016)/PY**

L1 1669 **BASF/PASS AND WO/PC (S) (2015-2016)/PY**

=> **S L1 AND CN/LSCC, LSCY, LSPC**

L2 101 **L1 AND CN/LSCC, LSCY, LSPC**

=> **S L1 AND CN/LSCC, LSCY, LSPC (L) WOWWE/LSC**

L3 101 **L1 AND CN/LSCC, LSCY, LSPC (L) WOWWE/LSC**

Use the (L) proximity operator to link WOWWE (Entry into National Phase) and CN.

All records of L2 have at least WOWWE in combination with CN/LSCC,LSCY,LSPC.

Case 1 – PCT: Entry into national phase in China

=> **FIL INPADOCDB**

=> **S BASF/PASS AND WO/PC (S) (2015-2016)/PY**

L1 1669 BASF/PASS AND WO/PC (S) (2015-2016)/PY

=> **S L1 AND CN/LSCC, LSCY, LSPC**

L2 101 L1 AND CN/LSCC, LSCY, LSPC

=> **S L1 AND CN/LSCC, LSCY, LSPC (L) WOWWE/LSC**

L3 101 L1 AND CN/LSCC, LSCY, LSPC (L) WOWWE/LSC

Use the (L) proximity operator to link WOWWE (Entry into National Phase) and CN.

All records of L2 have at least WOWWE in combination with CN/LSCC,LSCY,LSPC.

- **Select the appropriate code and coverage!**
- **Adjust search to your question!**
- **Use support from STN Helpdesk!**

Legal status codes vary from country to country. Legal status codes relevant for Entry into National Phase are WOWWE or WOENP.

Case 1 – Chinese filing of PCT application as an indication?

PA BASF SE
 PI WO 2019129572 A1 20190704
 PRAI WO 2017-CN119092 W 20171227 (WOW, 20190711, Y)

LEGAL STATUS

AN 69043825 INPAFAMDB

20171227 WOW PRI International application Number
 WO 2017-CN119092 W 20171227
 20190711

20181219 WOW APP International application Number
 WO 2018-EP85824 W 20181219
 20190711

20190704 WOA1 PUB INTERNATIONAL APPLICATION PUBLISHED WITH INTERNATIONAL
 SEARCH REPORT
 [WO 2018-EP85824 W 20181219]
 WO 2019129572 A1 20190704
 20190711

Filing authority for PCT
 Priorities /PRC.WO

LS does not indicate entry into national phase, but Chinese filing of PCT application could indicate entry into national phase in China.

Case 1 – Chinese filing of PCT application as an indication?

PA BASF SE
PI WO 2019129572 A1 20190704
PRAI WO 2017-CN119092 W 20171227 (WOW, 20190711, Y)

LEGAL STATUS

AN 69043825 INPAFAMDB

20171227 WOW PRI International application Number
WO 2017-CN119092 W 20171227
..... 20190711

20181219 WOW APP International application Number
WO 2018-EP85824 W 20181219
..... 20190711

20190704 WOA1 PUB INTERNATIONAL APPLICATION PUBLISHED WITH INTERNATIONAL
SEARCH REPORT
[WO 2018-EP85824 W 20181219]
WO 2019129572 A1 20190704
..... 20190711

=> S L1 AND CN/PRC. WO

L4 43 L1 AND CN/PRC. WO

Filing authority for PCT
Priorities /PRC.WO

43 INPAFAMDB records retrieved. 42 unique
hits (not present in L3)

Case 1 – PCT: Entry into national phase in China

Two search aspects were applied in this example:

1. Search for patent families with **WO documents** and **legal status information referring to China**.

Optional: Include legal status information for Entry into the national phase.

Relevant LS codes: WOWWE, WOENP, WOENP?, WOREG,...

<https://www.epo.org/searching-for-patents/data/coverage/weekly.html>

Please ensure to use the appropriate codes.

2. Include **early indicators** for entry into national phase in China.

Case 2 – EP patent valid in The Netherlands?

Find EP patents from Philips, in the area of technologies minimizing the effects of climate change, which are in force in The Netherlands.

Case 2 – EP patent in force?

=> **FIL INPADOCDB**

=> **S PHILIPS/PASS AND EP/PC AND Y02?/CPC**

L1 1523 PHILIPS/PASS AND EP/PC AND Y02?/CPC

=> **S L1 AND NL/LSCC, LSCY, LSPC**

L2 633 L1 AND NL/LSCC, LSCY, LSPC

Y02 Technologies or applications for mitigation or adaptation against climate change

NL/LSCC,..
NETHERLANDS/LSCC,..

Case 2 – EP patent in force?

=> **FIL INPADOCDB**

=> **S PHILIPS/PASS AND EP/PC AND Y02?/CPC**

L1 1523 PHILIPS/PASS AND EP/PC AND Y02?/CPC

=> **S L1 AND NL/LSCC, LSCY, LSPC**

L2 633 L1 AND NL/LSCC, LSCY, LSPC

=> **S L2 NOT NL/LSCC, LSCY, LSPC (L) NIF/LSC2**

L3 50 L2 NOT NL/LSCC, LSCY, LSPC (L) NIF/LSC2

=> **S L2 AND NL/LSCC, LSCY, LSPC (L) REI/LSC2**

L4 1 L2 AND NL/LSCC, LSCY, LSPC (L) REI/LSC2

=> **S L3 OR L4**

L5 51 L3 OR L4

Exclude lapsed documents:

Confine legal events to country codes using the (L) proximity operator.

Use (L) proximity operator and NIF category to search for post-grant lapse in NL. Events of the REI category (Reinstatement and Restoration) have to be included in final answer set.

Optional: Refine search with legal events of patent granting, e.g. NLFP

Case 2 – EP patent in force?

1. Search for **EP patents** with legal status information **from NL**
2. **Exclude** events of category **NIF** (Lapses, Expiries, Withdrawals, Refusals)
3. **Re-include REI events** (Reinstatement or Restoration)

Further possibilities to refine the search:

4. Calculated expiration dates for INPADOC on STN
=> **HELP XPD**
5. Include/exclude specific legal status codes, e.g. **EPPG25** (Lapsed in a contracting state announced via post-grant information from nat. office to EPO), **NLFP** (Translation of EP filed, entry of EP into country), etc.

<https://www.epo.org/searching-for-patents/data/coverage/weekly.html>

Case 3 – Granting of US patent application

Several US patent applications were found in a search. Are these applications already granted or is there any information indicating that they will be granted?

Case 3 – STEP 1: Granted documents available

=> **FIL INPADOCDB**

=> **S MICROSOFT TECHNOLOGY/PASS AND (USA1/PK (S) 2016/PY) AND (VIRTUAL REALITY OR FRAMEWORK OR GAME CONTROLLER)**

L1 **71 MICROSOFT TECHNOLOGY/PASS AND (USA1/PK (S) 2016/PY) AND (VIRTUAL REALITY OR FRAMEWORK OR GAME CONTROLLER)**

=> **S L1 AND GRANTED/STA**

L2 **40 L1 AND GRANTED/STA**

40 records have a corresponding B-document.

=> **S L1 AND USB?/PK**

L3 **40 L1 AND USB?/PK**

Case 3 – STEP 2: Legal events for patent grant

Update from April 2019:

- New event codes of legal status data for [US patent applications and granted patents](#)
- Important [pre-grant legal events](#) are now available
- Around 80 US events assigned into 10 generic legal status codes ([/LSC](#))
- Original status text from USPTO searchable in LSFT-field (LS Free Text)
- Convenient search of legal status information using legal status categories ([/LSC2](#))
- See online [NEWS 25](#) or [HELP CHANGE](#) for more details

New US legal status codes in /LSC

Legal status code (/LSC)	Description in Legal Status text (/LSTX)	/LSC2-Category
USSTCA	Information on status: Application Filing	-
USSTCB	Information on status: Application Discontinuation	NIF
USSTCC	Information on status: Application Revival	REI
USSTCE	Information on status: Pre-grant Review	EXA
USSTCF	Information on status: Patent Grant	-
USSTCH	Information on status: Patent Discontinuation	NIF
USSTCK	Information on status: Patent Revival	REI
USSTCT	Information on status: Administrative Procedure Adjustment	-
USSTCV	Information on status: Appeal Procedure	ORE
USSTPP	Information on status: Patent Application and granting procedure in general	-

New US legal status codes in /LSC

Legal status code (/LSC)	Description in Legal Status text (/LSTX)	/LSC2-Category
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USSTCF	Information on status: Patent Grant	-
USSTCH	Information on status: Patent Discontinuation	NIF
USSTCK	Information on status: Patent Revival	REI
USSTCT	Information on status: Administrative Procedure Adjustment	-
USSTCV	Information on status: Appeal Procedure	ORE
USSTPP	Information on status: Patent Application and granting procedure in general	-

Original status events and corresponding legal status codes

Legal Status		
Code in /LSC	Original status value (USPTO) in /LSFT	Description in /LSTX
USSTCA	Utility Application Converted into a Provisional Application	Information on status: Application Filing
USSTCA	Utility Application Converted to Provisional Application	Information on status: Application Filing
USSTCB	Abandoned -- After Examiner's Answer or Board of Appeals Decision	Information on status: Application Discontinuation
USSTCB	Abandoned -- Failure to Pay Issue Fee	Information on status: Application Discontinuation
USSTCB	Abandoned -- Failure to Respond to an Office Action	Information on status: Application Discontinuation
USSTCB	Abandoned -- File-Wrapper-Continuation Parent Application	Information on status: Application Discontinuation
USSTCB	Abandoned -- Incomplete (Filing Date Under Rule 53 (b) - PreExam)	Information on status: Application Discontinuation
USSTCB	Abandoned -- Incomplete Application (Pre-examination)	Information on status: Application Discontinuation
USSTCB	Abandonment for Failure to Correct Drawings/Oath/NonPub Request	Information on status: Application Discontinuation
...

Type **NEWS 25** or **HELP CHANGE** in **INPADOCDB/INPAFAMDB** for more information

Case 3 – STEP 2: Legal events for patent grant

=> S L1 AND USSTCF/LSC

L4 42 L1 AND USSTCF/LSC

=> S L4 NOT L2

L5 2 L4 NOT L2

=> D TI PI LS

L5 ANSWER 1 OF 2 INPADOCDB COPYRIGHT 2019 EPO/FIZ KA on STN

TI CHANGING BETWEEN DIFFERENT ROLES AT ACCELERATION COMPONENTS.

PI US 20160308719 A1 20161020

...

20190219 USSTPP INFORMATION ON STATUS: PATENT APPLICATION AND GRANTING
PROCEDURE IN GENERAL
NOTICE OF ALLOWANCE MAILED -- APPLICATION RECEIVED IN
OFFICE OF PUBLICATIONS

..... 20190523

20190509 USSTPP INFORMATION ON STATUS: PATENT APPLICATION AND GRANTING
PROCEDURE IN GENERAL
PUBLICATIONS -- ISSUE FEE PAYMENT VERIFIED

..... 20190704

20190605 USSTCF INFORMATION ON STATUS: PATENT GRANT
PATENTED CASE

..... 20190704

Legal events of two records indicate that these documents have been granted but no B-document has been published yet.

LS information can be more timely than publication of granted document.

Case 3 – STEP 3: Early indications of patent grant

=> S L1 AND USSTCF/LSC

L4 42 L1 AND USSTCF/LSC

=> S L4 NOT L2

L5 2 L4 NOT L2

=> D TI PI LS

L5 ANSWER 1 OF 2 INPADOCDB COPYRIGHT 2019 EPO/FIZ KA on STN

TI CHANGING BETWEEN DIFFERENT ROLES AT ACCELERATION COMPONENTS.

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...

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..... 20190523

20190509 USSTPP INFORMATION ON STATUS: PATENT APPLICATION AND GRANTING
PROCEDURE IN GENERAL
PUBLICATIONS -- ISSUE FEE PAYMENT VERIFIED

..... 20190704

20190605 USSTCF INFORMATION ON STATUS: PATENT GRANT
PATENTED CASE

..... 20190704

Status changes of applications in the examination phase are searchable with the code **USSTPP**. Crucial events shortly before patenting like “Notice of Allowance Mailed - Application Received in Office of Publications”, “Publications - Issue Fee Payment Received” and “Publications - Issue Fee Payment Verified” – all indexed in the USSTPP-code – can be searched in the /LSFT-field.

Case 3 – STEP 3: Early indications of patent grant

=> **S L1 AND USSTPP/LSC**

L6 15 L1 AND USSTPP/LSC

=> **S L1 AND USSTPP/LSC (L) ((NOTICE OF ALLOWANCE) OR (PUBLICATION? (S) FEE
(S) PAYMENT)) /LSFT**

Case 3 – STEP 3: Early indications of patent grant

=> S L1 AND USSTPP/LSC

L6 15 L1 AND USSTPP/LSC

=> S L1 AND USSTPP/LSC (L) ((NOTICE OF ALLOWANCE) OR (PUBLICATION? (S) FEE (S) PAYMENT))/LSFT

L7 8 L24 AND USSTPP/LSC (L) ((NOTICE OF ALLOWANCE) OR (PUBLICATION? (S) FEE (S) PAYMENT))/LSFT

=> S L7 NOT L4

L8 5 L7 NOT L4

=> D 3 KWIC

...

20190219 **USSTPP** INFORMATION ON STATUS: PATENT APPLICATION AND GRANTING
PROCEDURE IN GENERAL
NOTICE OF ALLOWANCE MAILED -- APPLICATION RECEIVED
IN OFFICE OF PUBLICATIONS

..... 20190523
20190509 **USSTPP** INFORMATION ON STATUS: PATENT APPLICATION AND GRANTING
PROCEDURE IN GENERAL
PUBLICATIONS -- ISSUE **FEE PAYMENT** VERIFIED

..... 20190704

...

Case 3 – Granting of US patent application

1. Search for **granted documents**
2. Search for **legal events** stating patent grant
3. Search for **early indications** of patent grant



Agenda

- Introduction to INPADOC on STN
- Legal status information on INPADOC
- Case 1 – PCT: Entry into national phase in China
- Case 2 – EP patent not in force
- Case 3 – Granting of US patent application
- Summary
- Appendix: SPC - Supplementary Protection Certificate

Summary – Legal Status searching in INPADOC

- STN offers *powerful retrieval options* to search INPADOC legal status in detail
 - variety of search fields and (L)-proximity operators
- INPADOC Legal status searching is *challenging*
 - legal event information varies from country to country
 - legal events vary for different time ranges for one authority
- *Quality of search results* depends on availability and timeliness of legal event data



Search Service

FIZ Karlsruhe – Leibniz Institute for Information Infrastructure



All types of searches!

- Patents + literature
- Chemistry + pharmacology (incl. structure and Markush searches)
- Biosequences
- Engineering
- STN scripts & automated alerts
- **Legal status**
- **FIZ PatMon**: case creation (Monitoring of patent families or legal status)



For more information ...

CAS

help@cas.org

Support:

www.cas.org

FIZ Karlsruhe

helpdesk@fiz-karlsruhe.de

Support:

www.stn-international.de



Agenda

- Introduction to INPADOC on STN
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- Summary
- [Appendix: SPC - Supplementary Protection Certificate](#)

SPC = supplementary protection certificate

- **Additional monopoly** for patents on regulated, biologically active agents, i.e. human/veterinary medicaments and plant protection products
- **Additional protection**: max. 5 years after patent lifetime
- Search SPC information in **Legal Status** for...
 - Product names
 - SPC numbers
 - Registration numbers
 - SPC filing dates

SPC search fields

LSSPC	Legal Status SPC number
LSSPC.EX	Legal Status SPC, Extension date
LSSPC.FD	Legal Status SPC, Filing date
LSSPC.XD	Legal Status SPC, Expiry date
SPC/LSC2	INPADOC LS category for SPCs

Example: Which EP-patents have an SPC filed for Zometa?

=> **FIL INPADOCDB**

=> **S (ZOMETA? or ZOLEDRONI?)/LSFT (L) SPC/LSC2 (L) EP/LSCC**

L1 3 (ZOMETA? OR ZOLEDRONI?)/LSFT (L) SPC/LSC2 (L) EP/LSCC

=> **D PILS**

L2	ANSWER 1 OF 3	INPADOCDB COPYRIGHT 2019 EP0/FIZ KA on STN
PI	EP 1591122	A1 20051102
PI	EP 1591122	B1 20120926

20180822	EPREG	REFERENCE TO A NATIONAL CODE
	BESPCF	BE: SUPPLEMENTARY PROTECTION CERTIFICATE FILED
		PRODUCT NAME: ACIDE ZOLEDRONIQUE ; AUTHORISATION NUMBER
		AND DATE: C(2007)4619 20071003
		2013C/022
		20130322
		20210618
		20221003

SPC Suppl. Protect. Certificate, Time Extension

..... 20181011