



Citation Analysis with Relevancy Codes for Special Subject Searching

PIUG Annual Meeting
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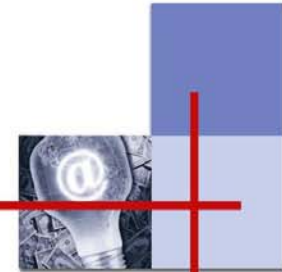
Citation Analysis with Relevancy Codes



First: A bit about Relevancy Codes

Relevancy indicators, or category codes, are applied by examiners during the examination process to indicate the level of relevance to the published application of the documents cited in the search report. While all codes can be important depending on the particular interest, only the X and Y codes can potentially limit or prevent an application's grant. These indicators can be found in EP, FR, and PCT cited references in Questel's FamPat and PlusPat databases.

Citation Analysis with Relevancy Codes



Category Codes and FamPat/PlusPat Fields

Category Field Description

Categories Indicating Particular Relevance

- X** **XCTX field: High Relevancy**
The claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- Y** **XCTY field: High Relevancy when combined** The claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art

Categories Indicating other Relevant Prior Art

- A** **XCTA field: Tech Background**
Document defining the general state of the art which is not considered to be of particular relevance

Citation Analysis with Relevancy Codes



Challenge:

- Identify “key” or “seminal” documents in a special subject area

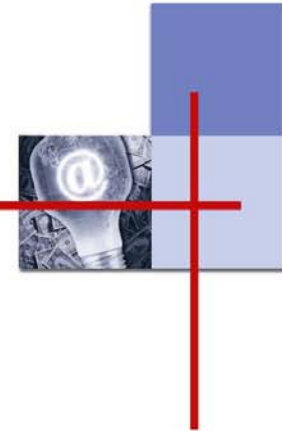
Purpose:

- Avoid infringement or rejection
- Claims construction
- Enhance research



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Citation Analysis with Relevancy Codes



Bluetooth: A global initiative by Ericsson, IBM, Intel, Nokia and Toshiba to set a standard for cable-free connectivity between mobile phones, mobile PCs, handheld computers and other peripherals. It uses short-range radio links in the 2.4 GHz Instrumentation Scientific and Medical (ISM) band.

Peñasco Valley Telecommunications' "Glossary of Common Telecommunications Terms"

Citation Analysis with Relevancy Codes



Step 1: Formulate and run focused subject query in the FamPat database (here in Qweb 3).

Search statement	Answer	Search
FAMPAT		
1	444852	RADIO+ OR WIRELESS?? OR WIRE-LESS??
2	4367656	TRANSMIT+ OR SIGNAL+ OR COMMUNICAT+ OR TRANSFER+
3	5105	(BLUE TOOTH OR BLUETOOTH)/TI/AB/ICLM
4	3144	1 AND 2 AND 3

FamPat has the broadest coverage, key content from full text, and *citations with relevancy codes.*

Citation Analysis with Relevancy Codes



get xctx

Total number of terms extracted: 2133
Number of terms now in MEM2 : 1884

Search statement 5

Step 2: Use the GET xctx command to analyze the set and generate a sorted list of X-rated citations.

1	WO200069186	7	0.22%
2	WO200120940	7	0.22%
3	XP000783249	6	0.19%
4	EP1021626	5	0.15%
5	JP2001156704	4	0.12%
6	WO200051293	4	0.12%
7	WO200120844	4	0.12%
8	WO200141348	4	0.12%
9	WO200356790	4	0.12%
10	WO9929126	4	0.12%
11	WO9941876	4	0.12%
12	WO9955102	4	0.12%
13	EP-893760	3	0.09%
14	EP1119137	3	0.09%
15	EP1389855	3	0.09%

The numbers are small; verification by all citations is desirable.

Continue ?

Citation Analysis with Relevancy Codes



get xct

Total number of terms extracted: 20185
Number of terms now in MEM2 : 12681

Search statement 5

Step 3: Use the GET xct command to analyze the set and generate a sorted list of *all* citations.

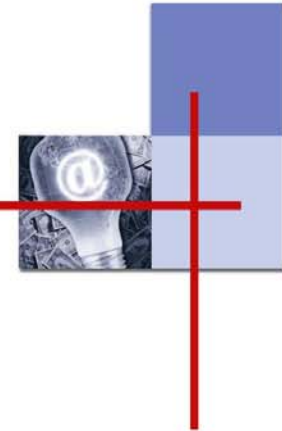
1	XP000783249	57	1.81%
2	WO200069186	24	0.76%
3	US6023241	19	0.60%
4	US6405027	15	0.47%
5	US6430395	14	0.44%
6	WO200120940	14	0.44%
7	WO9929126	14	0.44%
8	EP1119137	13	0.41%
9	US6026297	13	0.41%
10	US6069588	13	0.41%
11	US6246376	13	0.41%
12	US6452910	13	0.41%
13	US6697638	13	0.41%
14	WO9941876	12	0.38%
15	US6519460	11	0.34%

Two of the top three numbers in the xctx list are at the top – and cited heavily.

Let's get the records for these documents.

Continue ?

Citation Analysis with Relevancy Codes



Step 4: Use *MEMS to search the top two cited standardized numbers (xpn) in PlusPat (to see the individual cited documents rather than FamPat families).

Search statement 1

Search 1 - *mems 1-2/xpn - 1

Frequency	Term
0	XP000783249/XPN
1	WO200069186/XPN

We retrieve the WO record but not the XP. Let's look first at the WO record, and then return to the XP.

Citation Analysis with Relevancy Codes



Step 5: Display the WO PlusPat record.

prt

Select All | Unselect All

1 / 1 PLUSPAT - Worldwide Patents - ©Questel

WO200069186 (A1) A COMMUNICATION SYSTEM

Patent Number	 WO200069186 A1 20001116 [WO200069186]
Publication Stage	(A1) Publ. Of int. Appl. With int. Search rep
Title	(A1) A COMMUNICATION SYSTEM
Other Title	(A1) SYSTEME DE COMMUNICATION
Patent Assignee	(A1) ERICSSON TELEFON AB L M (SE)
Patent Assignee	TELEFONAKTIEBOLAGET LM ERICSSON (publ) ; S-126 25 Stockholm (SE)
Inventor(s)	(A1) SMOLENTZOV ANDRE; GRANBERG OLOF AXEL; ALEXIUS STAFFAN; DOVNER LARS
Intl Patent Class	(A1) H04Q-007/20
Language	ENGLISH (ENG)
Application Nbr	WOSE0000646 20000404 [2000WO-SE00646]
Priority Details	SE9901673 19990507 [1999SE-0001673]

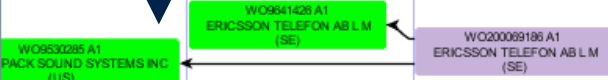
Available features



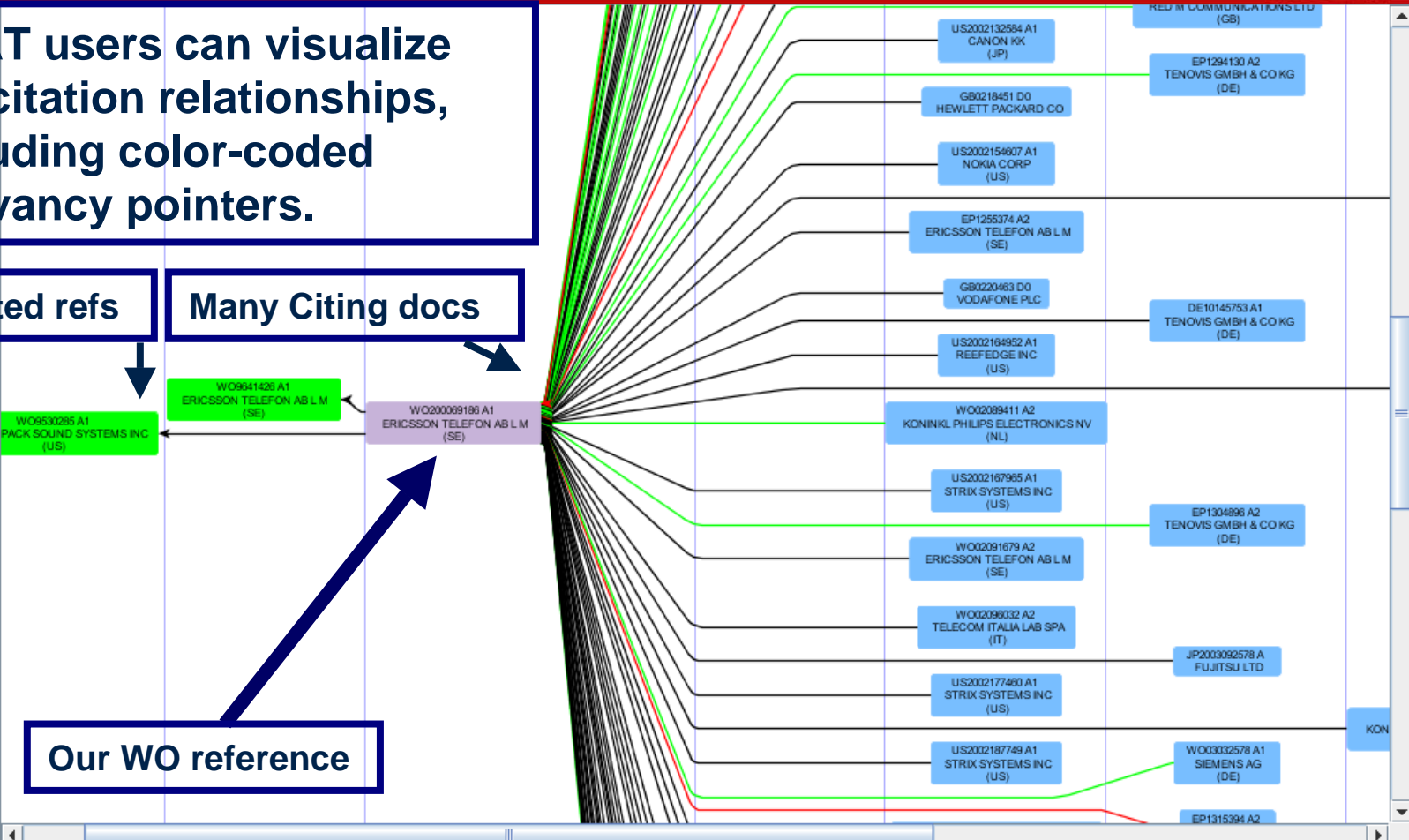
Citation Analysis with Relevancy Codes

QPAT users can visualize the citation relationships, including color-coded relevancy pointers.

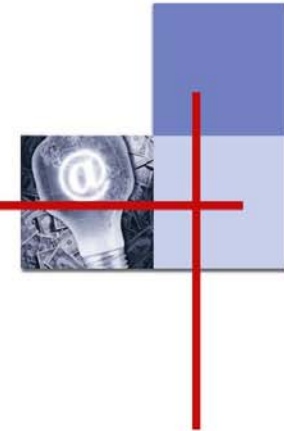
Few Cited refs Many Citing docs



Our WO reference



Citation Analysis with Relevancy Codes



Step 6: Search for the XP record in Questel's NPL database.

Selected file: NPL

File NPL, the Non-Patent Literature File. (C) EPO
Source: EPO examiner cited references in EP, PCT & FR Search Reports
Companion file for PlusPat (XP records) and for sci-tech databases
For further details, see NPL FactSheet on website or enter: INFO NPL

Search statement 1

Search 1 - *mems 1/an - 1

Frequency	Term
1	XP000783249/AN

The sorted memory list is still active and may be used for the search.

The number is searched in the AN (accession number) field of NPL.

Citation Analysis with Relevancy Codes



Step 7: Display the XP record

prt max

Select All | Unselect All

Available features

<input type="checkbox"/> 1 / 1	NPL - Non-Patent Literature - ©EPO
XP000783249 BLUETOOTH - THE UNIVERSAL RADIO INTERFACE FOR AD HOC, WIRELESS CONNECTIVITY.	
Accession Number	XP000783249
Patent Number	XP000783249 A 1998 [XP-783249]
Title	BLUETOOTH - THE UNIVERSAL RADIO INTERFACE FOR AD HOC, WIRELESS CONNECTIVITY.
Author	HAARTSEN J.
Source	ERICSSON REVIEW (INCL. ON), 1998, no. 3, page(s) 110-117
Publisher	ERICSSON, STOCKHOLM
ISSN or ISBN	ISSN 0014-0171
Document type	J (Journal Article)
Update Code	2008-01

This is indeed a seminal reference on Bluetooth technology. Unfortunately, the Ericsson Review is available electronically only since 1999.

Citation Analysis with Relevancy Codes



get xcty

Total number of terms extracted: 1229
Number of terms now in MEM2 : 1138

Step 8: Analyze the original FamPat answer set for “Y” references.

Search statement 5

1	XP000783249	10	0.31%
2	WO9929126	5	0.15%
3	WO200139103	4	0.12%
4	XP000908653	4	0.12%
5	WO200145319	3	0.09%
6	WO9941876	3	0.09%
7	EP-752793	2	0.06%
8	EP-789474	2	0.06%
9	EP1006684	2	0.06%
10	EP1024628	2	0.06%
11	EP1089578	2	0.06%
12	EP1091543	2	0.06%
13	EP1107522	2	0.06%
14	EP1119137	2	0.06%
15	JP2000013823	2	0.06%

**More Y instances than X
for our XP reference**

Continue ?

Citation Analysis with Relevancy Codes



get xcta

Total number of terms extracted: 2525
Number of terms now in MEM2 : 2150

Step 9: Analyze the original FamPat answer set for "A" references.

Search statement 5

1	XP000783249	39	1.24%
2	WO200069186	8	0.25%
3	XP001001314	8	0.25%
4	EP1119137	5	0.15%
5	JP2001144781	5	0.15%
6	WO200036757	5	0.15%
7	WO200201804	5	0.15%
8	XP000784002	5	0.15%
9	EP1207654	4	0.12%
10	EP1389855	4	0.12%
11	WO200120940	4	0.12%
12	WO200201811	4	0.12%
13	WO200201812	4	0.12%
14	WO200201813	4	0.12%
15	WO200201814	4	0.12%

Heavily cited as state-of-the-art; a major reference in the technology

Continue ?

Citation Analysis with Relevancy Codes



Thank you for watching.
We hope you found this useful.