Cooperative Patent Classification System (CPC)

- Description
  - CPC structure
  - Timeline for implementation
  - Current assigning authorities and timeliness

- Implementation on STN
- CPC Thesaurus
- Search examples
Cooperative Patent Classification (CPC)

- CPC is a new bilateral classification system managed and maintained by European Patent Office (EPO) and United States Patent & Trademark Office (USPTO)
  - Entered into force January 2013
- Based on ECLA, CPC incorporates the best classification practices of EPO and USPTO
  - Has an IPC-like structure
  - Includes all EPO classified documents
  - Will include all US utility documents
  - Has many more subdivisions than IPC
CPC scheme

• In one scheme CPC incorporates:
  – **ECLA** (~160K entries)
  – **ICO** (EPO indexing codes, ~40K entries)
  – **Expanded G06Q** scheme (Business Methods)
    • Covering most USPC 705 subdivisions
  – USPC special collections and digests
• In total ~250,000 CPC subdivisions

Browse the full CPC scheme here:
http://worldwide.espacenet.com/classification

CPC scheme statistics

<table>
<thead>
<tr>
<th>Sections A - H</th>
<th>Section Y</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main trunk</strong></td>
<td><strong>Additional (A) information</strong></td>
</tr>
<tr>
<td>Invention (I) or Additional (A)</td>
<td>only</td>
</tr>
<tr>
<td>information</td>
<td>Emerging technology</td>
</tr>
<tr>
<td>160,496 symbols</td>
<td>USPC XRACs &amp; digests</td>
</tr>
<tr>
<td><strong>Indexing codes (“2000”-series, i.e., ANNA2NNN/NNNNNNN)</strong></td>
<td>7,330 symbols</td>
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<tr>
<td>Breakdown &amp; Orthogonal ICO</td>
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<tr>
<td>IPC indexing</td>
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<tr>
<td>Additional (A) information only</td>
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</tr>
<tr>
<td>82,223 symbols</td>
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</tr>
</tbody>
</table>
### Example: The IPC-like CPC hierarchy

- The "root" of the hierarchically closest IPC symbol is used

<table>
<thead>
<tr>
<th>IPC</th>
<th>ECLA</th>
<th>CPC</th>
</tr>
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<tr>
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<td>H01L21/02745</td>
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<td>H01L21/027B6B4</td>
<td>H01L21/02754</td>
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<td>H01L21/02763</td>
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<tr>
<td>H01L21/033</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### CPC also incorporates “attributes”

- **Classification value**
  - I (Invention), A (Additional)
- **Position**
  - F (First), L (Later)
- **Classification status**
  - O (Original), R (Reclassified)
- **Source of classification** (H, M, G)
- **Generating office** (EP*, US*, ES, GB, SE)

*As of April 2013, these two codes are not provided in INPADOC files.*
CPC implementation timeline

- **January 2013**
  - EPO only uses CPC
  - USPTO transition period from USPC to CPC begins
- **March 2013**
  - First U.S. publications with USPTO-assigned CPC
- **April 2013**
  - CPC revisions begin (monthly)
- **January 2015**
  - USPTO only uses CPC


- Newly filed applications receive **both** CPC & USPC beginning 2 January 2013
- Issued patents receive USPC **plus**
  - Any CPCs assigned to the published application
  - Optionally, additional CPCs may be assigned
- Searches are performed with USPC &/or CPC
- By January 2015, CPC will be exclusively used

Until the beginning of 2015, comprehensive and timely searches will require use of **both** USPC and CPC.
### Patent offices assigning CPC

<table>
<thead>
<tr>
<th>Patent Office</th>
<th>Code</th>
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<tbody>
<tr>
<td>European Patent Office (EPO)</td>
<td>EP</td>
</tr>
<tr>
<td>United States</td>
<td>US</td>
</tr>
<tr>
<td>United Kingdom</td>
<td>GB</td>
</tr>
<tr>
<td>Spain</td>
<td>ES</td>
</tr>
<tr>
<td>Sweden</td>
<td>SE</td>
</tr>
</tbody>
</table>

For historical reasons, coverage is also available for BE, NL and LU, and also partial coverage is available for AT, AU and CA.

### The EPO also applies CPC to a subset of The PCT Minimum Documentation

<table>
<thead>
<tr>
<th>Regional system</th>
<th>Begin Date</th>
<th>National Authority</th>
<th>Begin Date</th>
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<tbody>
<tr>
<td>EP</td>
<td>1978 (start)</td>
<td>CH</td>
<td>1920*</td>
</tr>
<tr>
<td>WO</td>
<td>1978 (start)</td>
<td>DE</td>
<td>1920*</td>
</tr>
<tr>
<td>AP</td>
<td>1984</td>
<td>DE-U</td>
<td>1985</td>
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<tr>
<td>OA</td>
<td>1966</td>
<td>FR</td>
<td>1902</td>
</tr>
<tr>
<td></td>
<td></td>
<td>GB</td>
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<td></td>
<td></td>
<td>US</td>
<td>1920*</td>
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( * or earliest date)
Example: CPC codes in INPAFAMDB

**Example: CPC codes in INPAFAMDB (cont.)**

<table>
<thead>
<tr>
<th>PATENT FAMILY INFORMATION INPAFAMDB</th>
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<tbody>
<tr>
<td>+------- Publications --------+</td>
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<tr>
<td>CN 101789698 A  20100728</td>
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<tr>
<td>EP 2211451 A2 20100728</td>
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<td>EP 2211451 A3 20100908</td>
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<td>JP 2010178411 A 20100812</td>
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<td>US 20100188872 A1 20100729</td>
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<td>US 8315073 B2 20121120</td>
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<tr>
<td>+------- Priorities --------+</td>
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<tr>
<td>JP 2009-15043 A  20090912</td>
</tr>
</tbody>
</table>

**Note:** ECLA and ICO have been mapped to corresponding CPC codes, and the CPC codes then added to the entire INPAFAMDB backfile.
Timeliness of CPC

- Available on day of publication for documents published by the CPC-assigning authorities
  - EP, US*, ES, GB and SE publications
  - PCT-publications with the EPO as searching authority
- Up to 6 months after publication for all other documents classified by the EPO, i.e. the PCT-minimum documentation coverage
  - Other PCT-publications, AP, OA, CH, DE and FR

IMPORTANT, especially when setting up ALERTS!!

* For the USPTO implementation will occur gradually throughout the transition period from USPC.

Availability of CPC in STN patent files

<table>
<thead>
<tr>
<th>Multinational value-add patent files</th>
<th>CPC for updated and new documents</th>
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<td>DWPI files</td>
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<table>
<thead>
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<tr>
<td>GBFULL</td>
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<td>In progress</td>
</tr>
</tbody>
</table>
Agenda

• Description
  – CPC structure
  – Timeline for implementation
  – Current issuing authorities and timeliness

• Implementation on STN

• CPC Thesaurus

• Search examples

Implementation of CPC on STN

• CPC codes are provided in WIPO ST. 8
  – Same standard as IPC reform codes
  – Attributes are very similar to IPC attributes

• Search and display of CPC is therefore very similar to the implementation of IPC on STN
  – Analogous search, display and analysis options

• An STN CPC thesaurus feature is available!
  – Similar to the IPC and ECLA thesauri
  – Allows for simple hierarchical searching, e.g.

=> S A61K0047-48369+NT /CPC
Implementation of CPC on STN (cont.)

- **/CPC** – the search and display field for all codes
  - Including Original and Reclassification codes
- **/CPC.KW** – the search field for CPC attributes
  - Classification value (I,A), classification status (O,R), source of classification (H,M,G), generating office
  - Use the CPC.TAB format to display CPC attributes
- For specific CPC searches CPC codes and attributes can be linked with *(S)-proximity*:
  - E.g. => S A61K0047-48384 /CPC (S) I /CPC.KW

* In CAplus use *(T)-proximity.*

Searching CPC on STN

- **=> S A61K0047-48384/CPC**  
  CPC search in **STN-standard format.**
- **=> S A61K0047/CPC**  
  CPC search at **main group level.**
- **=> S A61K/CPC**  
  CPC search at **subclass level.**
- **=> S A61K0047-48384/CPC(S)I/CPC.KW**  
  CPC search + **attributes**
- **=> S A61K0047-48369+NT/CPC**  
  CPC search with all **narrower terms.**

* In CAplus use *(T)-proximity.*
Displaying CPC on STN

Combination therapy for the treatment of CD19+ B-cell malignancies symptoms comprising an anti-CD19 maytansinoid immunoconjugate and rituximab.

Displaying CPC attributes on STN

In DWPI, attributes are at the member level, so CPC.TAB.M is used to provide a complete view of all CPC attributes in this database.
Additional CPC display options in CAplus

The CPC.UNIQ display provides a simple list of CPC codes.

The CPC.HIT display shows only hit CPC search terms.

Searching CPC is very similar to IPC

B23K0026-0003 = trimming metal with a laser beam.

Searching CPC codes (/CPC) at the Subclass (L1), Group (L2) and Subgroup (L3) levels is analogous to IPC searching.

Automatically include thesauri narrower terms using +NT (see later).

The specific CPC code (/CPC) is also searchable (L5).
The CPC thesaurus on STN

• Hierarchies of terms may be reviewed using EXPAND with a term followed by a plus symbol (+), a Relationship Code, and the appropriate field, i.e. /CPC
  – E.g. => E A61K0009-00+ALL /CPC

• Searches may be extended to incorporate Narrower, Broader, Related, or other terms, using SEARCH with a term followed by a plus symbol (+), a Relationship Code, and the appropriate field, i.e. /CPC
  – E.g. => S A61K0009-7023+NT/CPC (10 TERMS)

Tip: to learn more about the Relationship codes available for a particular Thesaurus type HELP RCODE at the STN prompt (=).
Example: use the relationship +KT (Keyword Terms) to identify classes

CPC definitions are included to allow identification of appropriate codes (KT=Keyword Term).

=> E ANTIBODY+KT/CPC

E1 0 --> antibody/CPC
E2 0 KT Antibody antigen-binding fragment thereof that binds gram-negative bacteria/CPC
E3 0 KT Antibody antigen-binding fragment thereof that binds gram-positive bacteria/CPC
E4 0 KT Antibody fragment thereof whose amino acid sequence is disclosed in whole part/CPC
E5 0 KT Antibody fragments/CPC
E6 0 KT Antibody mimetics scaffolds/CPC
E7 0 KT Antigen-binding scaffold molecules wherein scaffold is not an immunoglobulin variable region antibody mimetics/CPC
E8 0 KT Disulfide-stabilized antibody (dsFv)/CPC

polymer-drug antibody conjugates, e.g. mitomycin-dextran-Ab; DNA-polylysine-antibody complex conjugate, used therapy/CPC

E60 0 KT polymer-drug antibody conjugates, e.g. mitomycin-dextran-Ab; DNA-polylysine-antibody complex conjugate, used therapy/CPC

********** END **********

Example: Use the Relationship +ALL to explore definitions and a full hierarchy

Use +CODE to identify the code associated with the definition.

Use +ALL to explore definitions and the full hierarchy.

=> E E60+CODE

E1 0 --> polymer-drug antibody conjugates, e.g. mitomycin-dextran-Ab; DNA-polylysine-antibody complex conjugate, used therapy/CPC

E2 87 A61K0047-48692/CPC Use +CODE to identify the code associated with the definition.

********** END **********

=> E E2+ALL

E8 272 BT2 A61K0047-48369/CPC CPC-specific-text: the modifying part being an antibody, an immunoglobulin, or a fragment thereof, e.g. a Fc-fragment(2013-01-01)

E9 174 BT1 A61K0047-48507/CPC CPC-specific-text: the modifying agent being a well defined antibody or immunoglobulin bearing at least one antigen-binding site(2013-01-01)

E10 87 --> A61K0047-48692/CPC CPC-specific-text: polymer-drug antibody conjugates, e.g. mitomycin-dextran-Ab; DNA-polylysine-antibody complex or conjugate, used for therapy(2013-01-01)
Example: Use the Relationship +TI (Title) to stop at the code listed

=> E A61K0047-48692+TI/CPC
E1    0    BT9    a/CPC
      HUMAN NECESSITIES(2013-01-01)
E2    0    BT8    A61-1/CPC
      Health; amusement(2013-01-01)
E3    0    BT7    A61/CPC
      MEDICAL OR VETERINARY SCIENCE; HYGIENE(2013-01-01)
E4    309271  BT6    A61K/CPC
      PREPARATIONS FOR MEDICAL, DENTAL, OR TOILET PURPOSES
      reference: devices or methods specially adapted for
      bringing pharmaceutical products into particular
      physical or administering forms A61J0003-00;
E10   87    -->  A61K0047-48692/CPC
      CPC-specific-text: polymer-drug antibody conjugates,
      e.g. mitomycin-dextran-Ab; DNA-polylysine-antibody
      complex or conjugate, used for therapy(2013-01-01)

********** END **********

Example: Use the Relationship +HIE to see a condensed list of an entire hierarchy

=> E A61K0047-48692+HIE/CPC
E1    0    BT9    a/CPC
E2    0    BT8    A61-1/CPC
E3    0    BT7    A61/CPC
E4    309271  BT6    A61K/CPC
E5    5611    BT5    A61K0006/CPC
E6    186    BT4    A61K0047-00/CPC
E7    222    BT3    A61K0047-48/CPC
E8    272    BT2    A61K0047-48369/CPC
E9    174    BT1    A61K0047-48507/CPC
E10   87    -->  A61K0047-48692/CPC
      CPC-specific-text: polymer-drug antibody conjugates,
      e.g. mitomycin-dextran-Ab; DNA-polylysine-antibody
      complex or conjugate, used for therapy(2013-01-01)
E11    46    NT1    A61K0047-487/CPC

=> S E9+NT
L1  1363 A61K0047-48507+NT/CPC  (27 TERMS)
Example: A61K0047-48507+NT (CPC)

=> D TIEN CPC 1-20

L1  ANSWER ... OF 1363  INPAFAMDB COPYRIGHT 2013 EPO/FIZ KA on STN
TI Combination therapy for the treatment of CD19+ B-cell malignancies
symptoms comprising an anti-CD19 maytansinoid immunoconjugate and
rituximab.
CPC A61K0047-48384; A61K0039-39558; A61K0047-48561; C07K0016-2803;
C07K0016-2887

L1  ANSWER ... OF 1363  INPAFAMDB COPYRIGHT 2013 EPO/FIZ KA on STN
TI NOVEL CROSSLINKING REAGENTS, MACROMOLECULES, THERAPEUTIC CONJUGATES,
AND SYNTHETIC METHODS THEREOF.
CPC A61K0047-4823; A61K0047-48561

L1  ANSWER ... OF 1363  INPAFAMDB COPYRIGHT 2013 EPO/FIZ KA on STN
TI P97-ANTIBODY CONJUGATES AND METHODS OF USE.
CPC A61K0047-48584; A61K0047-4843; C12N0009-00

L1  ANSWER ... OF 1363  INPAFAMDB COPYRIGHT 2013 EPO/FIZ KA on STN
TI NOVEL MAYTANSINOID DERIVATIVES WITH PEPTIDE LINKER AND CONJUGATES
THEREOF.
CPC A61K0047-48384; A61K0047-48561; A61K0047-48615; A61K0047-48715

L1  ANSWER ... OF 1363  INPAFAMDB COPYRIGHT 2013 EPO/FIZ KA on STN
TI COMPLEXES COMPRISING MHC CLASS I FUSION POLYPEPTIDES AND ANTIGEN-
specific antibodies and methods of use.
CPC A61K0047-4833; A61K0047-48561; A61K0047-48569; A61K0047-48661;
C07K0014-70539; C07K0016-28; C07K0016-46; C07K2317-24; C07K2317-54;
C07K2317-55; C07K2319-33; C07K2319-74

Tip: Use +NT (narrower terms) not truncation!

Truncation is not recommended as it may miss
CPC classes from the hierarchy, for example:

Search question: Retrieve H01L21/027 and
all narrower term subgroups – use the CPC
thesaurus hierarchy (+NT) search.

=> S H01L21/027+NT/CPC
L1  4449 H01L21/027+NT/CPC (17 TERMS)
   (H01L0021-027+NT/CPC)

=> S H01L21/027?/CPC
L2  2250 H01L21/027?/CPC
   (H01L0021-027?/CPC)
Tip: Use ANALYZE to find CPC equivalent classes to a known USPC (/NCL) class

=> S 424/449.000/NCL
L1  2536 424/449.000/NCL
    (424449000/NCL)

=> ANALYZE L1 CPC
L2  ANALYZE L1 1- CPC :  2085 TERMS

=> D
L2  ANALYZE L1 1- CPC :  2085 TERMS

TERM #  # OCC  # DOC  % DOC CPC
------- ------- ------- ------ ---------------
1     671    578  22.79 A61K0009-7061
2     532    492  19.40 A61K0009-7084
3     533    434  17.11 A61K0009-0014
4     463    402  15.85 A61K0009-7053
5     283    243   9.58 A61K0009-7023
6     253    225   8.87 A61K0009-7069

Look up the definitions of CPC classes found in the analysis.

USPC (/NCL) 424/449.000 = transdermal patches.

Tip: Use ANALYZE to find CPC equivalent classes to a known USPC (/NCL) class (cont.)

=> E A61K0009-7061+TI/CPC
E1    0   BT12 a/CPC
      HUMAN NECESSITIES(2013-01-01)
E2    0   BT11 A61-/CPC
      Health; amusement(2013-01-01)
E3    0   BT10 A61/CPC
      MEDICAL OR VETERINARY SCIENCE; HYGIENE(2013-01-01)
E4    264809 BT9  A61K/CPC
      PREPARATIONS FOR MEDICAL, DENTAL, OR TOILET PURPOSES
      ●●●
E8    723   BT5  A61K0009-7023/CPC
      CPC-specific-text: Transdermal patches and similar drug-containing composite devices, e.g. cataplasms reference: galenical aspects of iontophoretic devices
      ●●●
E12   651   BT1  A61K0009-7053/CPC
      CPC-specific-text: obtained by reactions only involving carbon to carbon unsaturated bonds, e.g. polyvinyl, polyisobutylene, polystyrene(2013-01-01)
E13   926   --> A61K0009-7061/CPC
      CPC-specific-text: Polyacrylates(2013-01-01)

********** END **********
**Search example using classification codes**

**Search Question:**

Use patent classifications to find and explore patent records describing diamond coating techniques using chemical vapor deposition.

```plaintext
=> S DIAMOND(3A)COAT? AND (CHEMICAL VAPOR DEPOSITION OR CVD)
L1 3618 DIAMOND(3A)COAT? AND (CHEMICAL VAPOR DEPOSITION OR CVD)

=> ANALYZE L1 1- IPC CPC EPC NCL
L2 ANALYZE L1 1- IPC CPC EPC NCL : 3807 TERMS

=> D TOP 5 DOC IPC
L2 ANALYZE L1 1- IPC CPC EPC NCL : 3807 TERMS
TERM #   # OCC  # DOC  % DOC  IPC CPC EPC NCL
------ ------- ------ ------ ---------------
1   1127    447  12.35 C23C0016-27
2   1065    352   9.73 C23C0016-26
3    611    228   6.30 C30B0029-04
4    530    141   3.90 C23C0016-02
5    266    104   2.87 C23C0016-50

=> D TOP 5 DOC CPC
L2 ANALYZE L1 1- IPC CPC EPC NCL : 3807 TERMS
TERM #   # OCC  # DOC  % DOC  IPC CPC EPC NCL
------ ------- ------ ------ ---------------
9    208     73   2.02 C23C0016-27
12    213     57   1.58 C23C0016-26
17    131     45   1.24 C23C0016-0272
24    117     39   1.08 C23C0016-271
31     78     29   0.80 C23C0016-274
```

Analyze a preliminary keyword answer set to identify relevant patent classifications.

Classification code definitions may be identified using STN classification thesauri.
Analyze a preliminary keyword answer set to identify relevant patent classifications (cont.)

=> D TOP 5 DOC EPC
L2 ANALYZE L1 1- IPC CPC EPC NCL : 3807 TERMS

TERM #   # OCC  # DOC  % DOC  IPC CPC EPC NCL
------ ------- ------ -------- ---------------
10       203     71   1.96  C23C0016-27+TI
15       208     56   1.55  C23C0016-26+TI
20       123     44   1.22  C23C0016-02H
39       53      23   0.64  C23C0016-27G
46       70      21   0.58  C04B0041-00V

=> D TOP 5 DOC NCL
L2 ANALYZE L1 1- IPC CPC EPC NCL : 3807 TERMS

TERM #   # OCC  # DOC  % DOC  IPC CPC EPC NCL
------ ------- ------ -------- ---------------
23       42      40   1.11  427/577.000
26       46      39   1.08  427/249.800
27       42      39   1.08  428/408.000
34       25      25   0.69  428/698.000
38       24      24   0.66  427/249.700

Classification code definitions may be identified using STN classification thesauri.

Use STN thesauri to review the definitions of codes identified in the analysis

=> E C23C0016-27+TI/IPC
...
E6      13445 BT3  C23C0016-00/IPC
Chemical coating by decomposition of gaseous ....
E7      1318 BT2   C23C0016-22/IPC
  characterised by the deposition of inorganic material, other than metallic material ....
E8      4152 BT1   C23C0016-26/IPC
  Deposition of carbon only ....
E9      3114 --> C23C0016-27/IPC
  ... Diamond only
ADVANCED
VALID FROM 20000101 TO PRESENT ( IPC EDITION: 7-8 )
********** END **********

=> E C23C0016-27+TI/CPC
...
E8      1298 BT1  C23C0016-26/CPC
Deposition of carbon only(2013-01-01)
E9      409 --> C23C0016-27/CPC
  Diamond only (2013-01-01)
********** END **********
Use STN thesauri to review the definitions of codes identified in the analysis (cont.)

=> E C23C0016-27+TI/EPC

E8 1213 BT1 C23C0016-26/EPC
Deposition of carbon only

E9 861 --> C23C0016-27/EPC
Diamond only (0008)

********** END **********

=> E 427/249.800+TI/NCL

E3 721 BT1 427249100/NCL
Carbon or carbide coating

E4 233 --> 427249800/NCL
Diamond coating

********** END **********

There are relevant codes in all of the classification systems for this search.

Add all the classification codes to the search

=> S L1 OR C23C0016-27+NT/IPC,CPC,EPC OR 427/249.800+NT/NCL

3114 C23C0016-27+NT/IPC
876 C23C0016-27+NT/CPC
861 C23C0016-27+NT/EPC
360 427/249.800+NT/NCL
(427249800+NT/NCL)

L3 6454 L1 OR C23C0016-27+NT/IPC,CPC,EPC OR 427/249.800+NT/NCL

=> D TI IPC.UNIQ CPC.UNIQ

The CPC.UNIQ display provides a simple list of CPC codes in CAplus.

All of the classification systems contribute unique results to the search.
Summary

• CPC is a new in-depth hierarchical system provided jointly by EPO and USPTO
• CPC implementation on STN is straightforward, logical, and easy to start using
• Use the STN CPC Thesaurus for browsing and simplified hierarchical searching of CPC codes
• For more details on STN, stay tuned!

Resources

• STN CPC Search and Display Fields  
  http://www.cas.org/File Library/Products/STN/CPC-Search-and-Display-Fields.pdf
• CPC in INPADOC News 2012/11:  
• EPO CPC Workshop for external users:  
  http://www.cooperativepatentclassification.org/publications/WorkshopMarchVienna.pdf
• U.S. classification (USPC) to CPC lookup  
  http://www.uspto.gov/web/patents/classification/
• Browse the full CPC scheme:  
  http://worldwide.espacenet.com/classification