# From Idea to Patent: Prior Art Searching with IEEE Xplore & More

### 李箐 Li Qing IEEE Client Services/University Partnership Program Manager IEEE Xplore®

### Agenda

- What is "prior art?"
- Objective of prior art searching
- Search strategies in IEEE Xplore
- Search strategies in InnovationQ Plus
- Other patent resources





IEEE is the world's largest professional membership association dedicated to advancing technological innovation and excellence for the benefit of humanity.

- +420,000 members in 160 countries
- 39 Societies
- 5 Core Focus Areas
  - Publishing
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  - Standards
  - Membership
  - eLearning

#### **Mission statement:**

The core purpose of the IEEE is to foster technological innovation and excellence for the benefit of humanity.



### **IEEE Covers All Areas of Technology**

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- Nanotechnology
- Optics
- Petroleum & Gas
- Power Electronics
- Power Systems
- Robotics & Automation
- Semiconductors
- Smart Grid
- Wireless Broadband and many more



## **New IEEE Journals Coming in 2017**

In 2017, IEEE will introduce six new journals that will be available for subscription:

- IEEE Communications Standards Magazine
- IEEE Journal of Electromagnetics, RF and Microwaves in Medicine and Biology
- IEEE Trans. on Emerging Topics in Computational Intelligence
- IEEE Trans. on Green Communications and Networking
- IEEE Trans. on Radiation and Plasma Medical Sciences
- IEEE Journal of Radio Frequency Identification





More than 60 new journals added in the last ten years



### **IEEE Quality Makes an Impact**

Top cited publications in the world are from IEEE\*

- 17 of the top 20 journals in EE
- 17 of the top 20 journals in Telecommunications
- 7 of the top 10 journals in Computer Science, Hardware
- IEEE information is cited in patents 3x more than any other publisher (Source – 1790 Analytics)
- Recent user studies demonstrate that users rely on IEEE Xplore to:
  - Increase productivity
  - Save time by not reinventing the wheel
  - Keep up-to-date on emerging technologies

Based on the Thomson Thomson Reuters Journal Citation Report study released June 2015 More info: <u>www.ieee.org/citations</u> and <u>www.ieee.org/patentcitations</u>







# The IEEE conference collection continues to grow



Over <u>1,500</u> annual conferences in 2016 Over 2.5 million total papers



## **Prior Art**



### What is "Prior Art?"



- Prior art is information publicly available which is relevant to a patent or patent application's claim of originality
- Must be published in print or electronically before the filing date of the patent application in question
- Encompasses technology that was known before and relevant to a patent's claims of originality
- Earlier filed and unpublished patent applications can qualify as prior art



### **Examples of Prior Art**



### What is Patentable?

Criteria for an invention to be patentable:

- Novelty: invention should be new and not a part of prior art
- Utility: capable of use for at least one industrial purpose
- Non-obvious: invention should have a technical advance or economic significance





### **Reasoning For Prior Art Searching**

- Ensure the idea is new
- Prepare for the application process
- Increase awareness of the product
- Prepare for legal consultation
- Reduce patent attorney and patent agent fees





# Are university researchers at risk for patent infringement?

- "Academic researchers have regularly ignored patents on key technologies as a strategy to maneuver around patent thickets and freedom-to-operate issues, but they may be more at risk than they realize."
- An earlier report to the National Academy of Sciences suggests ...<u>regular infringement of patents by university</u> <u>researchers</u>, which is neither a sustainable nor a desirable solution."

Amy Yancey & C Neal Stewart Jr. Are university researchers at risk for patent infringement? Nature Biotechnology 25, 1225
 1228 (2007)



### Improving Patent Quality: The Challenges Inventors Face

- Current backlog of over 600,000 patent applications at the US Patent and Trademark Office
- Of these applications, over 40% are repeat filings
- After two years of validity reviews, 77% of patents granted are determined invalid





## **From Idea to US Patent**

### Model Patent Timeline

Application Preparation & Prosecution Timeline





Source: HepnerLaw.com

## Prior Art Searching with IEEE *Xplore*



### **IEEE Xplore Digital Library includes...**

### ieeexplore.ieee.org

- More than 4 million full-text documents
- 180+ IEEE journals & magazines
- 1,500+ annual IEEE conferences
- Over5,000 IEEE standards (including Draft Standards)
- IET conferences, journals & magazines
- VDE Verlag conferences
- 400+ Educational Courses
- 1000+ eBooks (IEEE-Wiley, MIT, Morgan&Claypool)
- IBM Journal of Research & Development
- Journal of Systems Engineering & Electronics
- Tsinghua Science and Technology
- Backfile to 1988 with select legacy data back to 1872



### **Building a search strategy**

- Start broad, then narrow down with refining terms
- Seek key terms in abstract, claims and specifications
- Gather synonyms for these key terms







"Optical assembly for laser radar"

(US Application 20130194563)





### Breaking it down...

What is the invention?

### **Optical assembly for laser radar system**

What does it do?

Compact optical assembly that moves in tandem with a laser radar system. Eliminates need for large scanning mirror.

How does it do it?

Assembly comprises a light source, a lens, a scanning reflector and a fixed reflector. Scanning reflector moves relative to light source, adjusting focus of the beam along the line of sight.



# Where to find information in a patent application

- Abstract
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings
- Detailed description of the invention
- Claims



### **Key Concepts**

(57)

#### ABSTRACT

A compact optical assembly for a laser radar system is provided, that is configured to move as a unit with a laser radar system as the laser radar system is pointed at a target and eliminates the need for a large scanning (pointing) mirror that is moveable relative to other parts of the laser radar. The optical assembly comprises a light source, a lens, a scanning reflector and a fixed reflector that are oriented relative to each other such that: (i) a beam from the light source is reflected by the scanning reflector to the fixed reflector; (ii) reflected light from the fixed reflector is reflected again by the scanning reflector and directed along A line of sight through the lens; and (iii) the scanning reflector is moveable relative to the source, the lens and the fixed reflector, to adjust the focus of the beam along the line of sight.



### **Create a list of synonyms**

"Optical assembly for laser radar"

Optical Optics Ocular Lens

Laser Laser beam Ray Scanning Check Inspect Examine Screen Reflector Mirror Glass



### **Search strategy**

**EXAMPLE:** Optical assembly for laser radar

MAIN CONCEPT: Radar

SECONDARY CONCEPT: optical assembly, scanner, laser





### **Multiple approachs to start a search**



### **Search results**





### **Search result**

Browse Journals & Magazines > Journal of Display Technology > Volume: 6 Issue: 10 👔 < Previous | Back to Results | Next > Laser-Based Head-Tracked 3D Display Research **Related Articles** Autostereoscopic 3D displays 760 6 6 View Document Paper Patent Full 3-D Video Representation Using Depth Maps Text Views Citations Citations A Survey of 3DTV Displays: Techniques and Technologies View All 9 Rajwinder Singh Brar; Phil Surman; In Sexton; Richard Bates; Wing Kai Lee; Klaus Hopf; Frank Neumann; Sally E.... View All Authors Author(s) Authors References **Keywords** Abstract Figures Citations Metrics Media

#### Abstract:

The construction and operation of two laser-based glasses-free 3D (autostereoscopic) displays that have been carried out within the European Union-funded projects MUTED and HELIUM3D is described in this paper. Both use a multi-user head tracker to direct regions viewer's referred to as exit pupils to viewer's eyes. MUTED employs a direct-view LCD whose backlight comprises novel steering optics and in HELIUM3D image information is supplied by a horizontally-scanned fast light valve whose output is controlled by a spatial light modulator (SLM). The principle of operation, construction and results obtained are described.

Published in: Journal of Display Technology (Volume: 6, Issue: 10, Oct. 2010)

Page(s): 531 - 543

INSPEC Accession Number: 11523349

Date of Publication: 10 May 2010 🕜

DOI: 10.1109/JDT.2010.2044367



### **Image searching**

- Detect similarities between search results and the invention or patent application at hand
- Researchers at the US Patent and Trademark
   Office use an internal database called EAST.
   One can tab (scroll) through images related to patents in quickly





## **Images Tab**

Quickly determine similarities between prior art and patent application at hand





# Keywords Discover synonyms to broaden your search strategy



View All



### **Standards Dictionary**

### Uncover even more synonyms for your search strategy

Displaying results 1-25 of	112,881 for radar ×
Show All Results	Image       25       Image       Sort By       Relevance       Image         Image       Download Citations multiple       Export to IEEE Collabratec multiple       Set Search Alerts multiple       Image
efine results by ? Search within results ? Content Type ^ Conference Publications (81,752) Journals & Magazines (30,466)	<ul> <li>Constrained on the set of the s</li></ul>
Early Access Articles (349) Books & eBooks (249) Standards (44) Courses (21)	<ul> <li>Experimental analysis of multistatic multiband radar signatures of wind furbines</li> <li>Francesco Fioranelli; Matthew Ritchie; Alessio Balleri; Hugh Griffiths</li> <li>IET Radar, Sonar &amp; Navigation</li> <li>Year: 2016, Volume: 10, Issue: 8</li> <li>Pages: 1400 - 1410, DOI: 10.1049/iet-rsn.2015.0474</li> <li>IET Journals &amp; Magazines</li> <li>Abstract (11428 Kb) (C)</li> </ul>
Single Year Range	Radar classification of indoor targets using support vector machines Travis D. Bufler; Ram M. Narayanan IET Radar, Sonar & Navigation



### **Related Articles**

#### Scan content in Xplore for relevancy to your search



Cancellation of image crosstalk in time-sequential displays of stereoscopic video

### **References & Citations**



### **Patent Citations**

### Patent citations from USPTO, EPO & WIPO





### **Author/inventor search**

In addition to the Author Search in IEEE *Xplore*, one can use the Advanced Search to perform an inventor/ author search:

Search by inventor last name

- Search the inventor's topic broadly: e.g. "radar"
- Combine inventor name with topic area, using additional key concepts for further refinement
- Authors of known prior art can expand background knowledge of a topic and create new search leads




### **Affiliation/Assignee Search**

#### **Advanced Search Options**

Advanced Keyword/Phrases	Command Search	Citation Search	Preferences	0
ENTER KEYWORDS OR P Note: Refresh page to reflect updated		FIELDS, AND SEL	ECT OPERATORS	
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### **Setting a Search Alert**

Displaying results 1-25	of 44 for (("optical assembly") AND radar) ×
Show All Results	Per Page     25   ~     Sort By     Relevance       ~
	Select All on Page Download Citations - Export to IEEE Collabratec - Set Search Alerts - Search History
Refine results by 🕐	CDP Servo System Control using Fuzzy Logic Control Yong Choi; Chang-Hun Kim Consumer Electronics, IEEE Transactions on Year: 2007, Volume: 53, Issue: 4 Pages: 1314 - 1321, DOI: 10.1109/TCE.2007.4429218
Content Type	IEEE Journals & Magazines
Journals & Magazines (21)	Abstract ((html)) (1288 Kb) (C)
Conference Publications (20)	
Standards (3)	<ul> <li>Reconstruction of backscatter and extinction coefficients in lidar: a stochastic filtering approach</li> <li>Bioucas Dias, J.M.; Leitao, J.M.N.; Fonseca, E.S.R.</li> </ul>
Year  Single Year Range	Geoscience and Remote Sensing, IEEE Transactions on Year: 2004, Volume: 42, Issue: 2 Pages: 443 - 456, DOI: 10.1109/TGRS.2003.817216 Cited by: Papers (2) IEEE Journals & Magazines
1954 2011 From To	Abstract (( html )) 🖾 (848 Kb) ©
19542011Apply Refinements	<ul> <li>Design and performance of an optically controlled phased array antenna Etem, Y.; Lewis, M.F.</li> <li>Microwave Photonics, 1996. MWP '96. Technical Digest., 1996 Internatonal Topical Meeting on</li> </ul>



### **RSS feed from Search Alerts**

BROWSE 🗸		MY SETTINGS 🗸	GET HELP 🗸	WHAT CAN LACCESS?			
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1 optical assembly	You Searched For "(("optical assembly") AND radar)"	RSS	Rename	Delete Disable Alert
2 aircraft control	You Searched For "(aircraft AND control)"	RSS	Rename	Delete Disable Alert
3 <u>Microwave</u>	You Searched For "(microwave AND antenna)"	RSS	Rename	Delete Disable Alert
4 hybrid diesel	You Searched For "(diesel AND hybrid)"	RSS	Rename	Delete Disable Alert
5 <u>big data</u>		RSS	Rename	Delete Disable Alert
6 <u>antenna</u>	You Searched For "(antenna AND propagation)"	RSS	Rename	Delete Disable Alert
7 <u>signal masking</u>	You Searched For	RSS	Rename	Delete Disable Alert



### Export search results: Choose RIS format for Mendeley

signal masking				Q Search
Basic Search Author			Advanced Search	Other Search Options V
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#### **Resources & Help Section**





#### Smart City Crowd Sensing for Better Emergency Management

See how researchers can leverage data from everyday devices to better inform responders and the public of rising threats.

#### Learn More



#### **Quick Self-Paced Tutorials**

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#### **Resources and Help**





# Prior Art Searching with InnovationQ Plus



## **IEEE Leads US Patent Citations**

**Top 20 Publishers Referenced Most Frequently by Top 40 Patenting Organizations** 



Source: 1790 Analytics LLC 2016. Based on number of references to papers/standards/conferences from 1997-2015



## **USPTO Story**

- Current backlog of over 546,000 patent applications at the US Patent and Trademark Office
- Annual increase in filings of 4%
- Over 35,000 Requests for Continued Examination (RCE)
- 8,179 patent examiners on staff





# Innovation Q PLUS

#### ieee.ip.com

- InnovationQ Plus is a powerful new innovation discovery and analytics platform that combines IEEE literature with IP.com's global patent and non-patent literature.
- The system was developed for IP professionals at corporations, IP law firms, patent offices and academic tech transfer offices.



# The Content of InnovationQ Plus





InnovationQ Plus indexes IEEE full text publications alongside one of the largest global patent literature databases in the industry. Content includes:

- Over 4.1 million documents from IEEE journals, conferences & standards
- Global patent literature database of over 92+ million patents & applications
- IP.com's proprietary Prior Art Database
- Invention disclosures of licensable technology from universities
- Other non-patent literature including PubMed Central & IBM Redbooks



## **Innovative Features**

#### Patented Semantic search platform

Patented IQ+ search engine allows users to find valuable content that is buried in complex patent and technical documents, allowing IP professionals to more effectively analyze prior art and increase productivity.

#### Visualizations for Competitive Intelligence and Landscaping

#### Visualize concepts with the Map tool

- A visual representation of critical documents based on concepts and meaning extracted from content. Easily identify whitespace and quickly highlight documents by specified organizations.
- More features to streamline your workflow
  - Filters, collaboration tools, save results, export







## **Prior Art Searching: The Old Way**

- Understand the patent application
- Identify key concepts of the invention
- Identify databases to search
- Create sets of synonyms
- Develop a search strategy
- Perform an author/inventor
- Save your search history





## What if You Could Turn This...

## Query:

ALL=(surgical OR curve OR segment) AND suture AND (((intervertebral OR cutting OR member OR arcuate OR guide) NEAR5 (bone OR seal)) SAME (tissure OR jaw\*)) AND (Instrument OR cannula\*1) AND DP>=(19930101) AND IC=(H01L 39/02 OR H01L 39/12 OR H01F 38/14)



# **Into This?**

## Query:

A surgical cannula with curved segments used to guide a medical instrument through a curved or bowed path



## **From Boolean to Semantic**







# Discover Unreturned Results Through InnovationQ Plus

#### **Boolean:**

Autonomous vehicle

#### **Concept Search:**

Autonomous vehicle Navigation Accelerator Network Van Car Automobile Pilot Locomotive Driver Fuel Self driving Transport Wheels Truck Robot Route Tram GPS Train Passenger Brake Transport Bus Satellite Engine Taxi



# **Discover: Content Groups**

Search Patents & Applications, Non-Patent Literature, Mixed Content or Licensable Technology

InnovationQ PLUS ~	Discover	Мар	Analyze	
PAT Patents & Applications ~	Type or paste you	ur concept query her	re or enter a document numbe	r as a single term
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# **Discover: Results Split View**

A robotic device for minimally invasive breast interventions with real- time MRI guidance IEEE Xplore   IEEE CONFERENCES   01-JAN-2003   Third IEEE Symposium on Bioinformatics and Bioengineering, 2003. Proceedings. (Page(s): 190-197) Ultrasound Guided Robotic System for Transperineal Biopsy of the Prostate IEEE Xplore   IEEE CONFERENCES   01-JAN-2005   Proceedings of the 2005 IEEE International Conference on Robotics and Automation (Page(s): 1315-1320) A robotic device for minimally invasive breast interventions with real- time MRI guidance IEEE Xplore   IEEE CONFERENCES   01-JAN-2005   Proceedings of the 2005 IEEE International Conference on Robotics			
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<ul> <li>5. Optical coherence tomography imaging for cancer diagnosis and</li> <li>therapy guidance</li> </ul>	Abstract :		



# **Add Concept Modifiers**

Add terms and phrases to your concept and refine result set with "More Like This" and "Less Like This"

	Innovation PLUS - Discover Map Analyze		
	- 1-50	results	s 🕕
1.	Apparatus and method for iris image analysis	Modify Query	nt t
	An apparatus including circuitry configured to receive a plurality of images and extract at least one iris image from each of the plurality of image	Replace Main Concept d to	
	receive a claimed identity iris image corresponding to an identity to be authenticated, normalize the iris images and	More Like This	
	CURRENT ASSIGNEES: KING FAHD UNIV PETROL & MINERALS US9189686   US PATENTS   17-NOV-2015	Less Like This	
2.	System and method for sensor adaptation in iris biometrics	Document ***	**
	The sensor adaptation technique applicable to non-contact biometric authentication, specifically in iris recognition, is designed to handle the s	Preview ich	
	occurs when enrollment iris samples and test iris samples are acquired with different sensors. The present system and method	Add to Portfolio	
	CURRENT ASSIGNEES: UNIV MARYLAND BALTIMORE US9530052   US PATENTS   27-DEC-2016	Select	
3.	Adaptive multi-modal integrated biometric identification detection and surveillance systems	DOCUMENT ACTIONS - ***	**
	A surveillance system is provided that includes at least one sensor disposed in a security area of a surveillance region to sense an occurrence o plurality of cameras is disposed in the surveillance region; at least one camera of the plurality has a view of the	f a potential security breach event	ıt; a
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# **Term Highlighting**

See location and frequency of concept terms in document full view

		K HIDE WIDGET		
Document Result #2	*3	Keyword Highlighting		ON
rcuate surgical guidance system and methods		Query + Manual Terms	Custor	mize 🕯
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PUBLICATION NUMBER: US 8721536 B2 PUBLICATION DATE: 13-May-2014		energy conservation	0 0 0	0
APPLICATION NUMBER: US 12/844,757 FILING DATE: 27-Jul-2010		<ul> <li>medical instrument</li> </ul>	0 1 (	0
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ate surgical guidance system and methods   Int Page   Family (2)   Citations   Description   Claims   Figures (6)   Pages (11)   Legal   Litigation   tes   CATION NUMBER: US 8721536 B2 PUBLICATION DATE: 13-May-2014 CATION NUMBER: US 12/844,757 FILING DATE: 27-Jul-2019 EARUIEY NUMBER: 43527642 EARLIEST PRIORITY DATE: 28-Jul-2009 <b>Fract (English):</b> disclosure is directed to minimally-invasive devices, methods and systems used through small access portals to minimize may to the surface geometry of the guide frame. The access device includes a guide frame and a bannula support washer movebly lefementary to the surface geometry of the guide frame. The complementary surface geometry of the guide frame. The surface frame. The complementary surface geometry of the guide frame. The surface geometry of the guide frame. The complementary surface geometry of the guide frame. The surface geometry of the guide frame. The complementary surface geometry of the guide frame. The complementary surface geom		communication	0 0	0
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Trinity Orthopedics, LLC (San Diego, CA, US)				
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	-			

## **Build a Patent Portfolio**

#### **Technical Intelligence:**

- 1. Knowledge of the "art" (subject matter) 1.
- 2. Prior Art searching
- 3. Technology trends
- 4. Technology applications (old, current and future)



#### **Competitive Intelligence:**

- 1. Who (organizations) are in this tech space? (assignee/applicant)
- 2. Who (people) are the professionals? (author/inventor)
- 3. Who are they collaborating with?
- 4. What are they doing?
- 5. How are they doing it? (patent claims)
- 6. How can I track these alliances or competitors? (search alerts)
- 7. Where are they interested in doing business?



## **Discover What You Don't Know**



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For more information: innovationqplus.ieee.org



### **Other sources for patent research**

- USPTO Patent Full-Text Database: <u>http://www.uspto.gov/patft/index.html</u>
- Espacenet (European Patents): <u>http://www.espacenet.com/access/index.en.htm</u>
- Japan Platform for Patent Information: <u>https://www.j-platpat.inpit.go.jp</u>
- Google Patents: <u>https://patents.google.com</u>
- Internet Wayback Machine (useful for dating prior art): <u>https://archive.org/web</u>



# When to Start Prior Art Searching? The earlier, the better!

It is important to conduct prior art searching in the early stage, instead of the final stage of idea development!



Source: https://www.cleverism.com/product-development-overview-idea-product/



# http://www.ieee.org/go/clientservices http://www.ieee.org/training

有问题请联系 李箐 li.q@ieee.org

