7-Step U.S. Patent Search Strategy Guide

U.S. Patent Search Assistance at a PTRC
Patent and Trademark Resource Center (PTRC) library staff are available to provide training on U.S. patent search processes and research tools including PubWEST, PubEAST and the USPTO website’s PatFT and AppFT patent publication databases. For the PTRC nearest you, check www.uspto.gov/ptrc. For legal questions, contact an attorney or agent registered to practice before the USPTO at https://oedci.uspto.gov.

U.S. Patent Prior Art Search vs. Comprehensive Prior Art Search
This guide provides a 7-step strategy for searching U.S. patents to locate and evaluate relevant U.S. patent publication prior art (earlier U.S. patents and U.S. published patent applications). A comprehensive prior art search would also include foreign patents and non-patent literature (newspapers, magazines, dissertations, conference proceedings, and websites). PTRC staff can also provide training on how to locate these additional resources.

Search Preparation and Documentation
Plan on spending a few hours learning the search process and additional hours for searching and evaluating results. The length of search time depends on the complexity of the invention. Careful recording of the search process (databases used, date and time of search, classes searched, and patents/published patent applications retrieved) is important.

STEP 1: Brainstorm Terms Describing the Invention

Begin by writing down a brief, accurate description of the invention. Avoid overly broad and generic terms such as “device,” “process” and “system.” Note important keywords and technical terms. Use the following questions to help identify keywords and concepts.

- What is the purpose of the invention? Is it a utilitarian device or an ornamental design?
- Is the invention a process – a way of making something or performing a function – or is it a product?
- What is the invention made of? What is the physical composition of the invention?
- How is the invention used?
- What are keywords and technical terms that describe the nature of the invention?

Consult a technical dictionary or thesaurus to help find the appropriate terms. It may be helpful to order terms according to decreasing scope. For example:

Vehicle ➔ Automobile ➔ Air Bags
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**STEP 2: Index to the U.S. Patent Classification (USPC) System**

Use the HTML Index to the U.S. Patent Classification System (above) to look up relevant terms. The Index is an alphabetical listing of common terms with their linked USPC classifications (class/subclass numbers). Under “A” for “automobile”:

<table>
<thead>
<tr>
<th>Term</th>
<th>Class/Subclass</th>
</tr>
</thead>
<tbody>
<tr>
<td>Air bag passenger restraints</td>
<td>280 / 728.1+</td>
</tr>
<tr>
<td>Beds</td>
<td>5 / 118+</td>
</tr>
<tr>
<td>Cribs</td>
<td>5 / 94</td>
</tr>
<tr>
<td>Body crushers</td>
<td>100 / 901*</td>
</tr>
<tr>
<td>Carburetor see carburetor</td>
<td>261</td>
</tr>
<tr>
<td>Compound repair tools</td>
<td>7 / 100+</td>
</tr>
</tbody>
</table>

If terms are not found in the Index:
- Scan or search the class titles and descriptions in the Manual of Classification (http://www.uspto.gov/web/patents/classification/selectnumwithtitle.htm) to determine where the invention might fit in the U.S. Patent Classification System.
- Run a keyword search in the patent databases (see below) and scan the retrieved patents and published patent applications for relevant USPC classifications.

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**STEP 3: U.S. Patent Class Schedule in the Manual of Classification**

Click on the linked class/subclass you found in Step 2’s Index to U.S. Patent Classification (e.g. class “280/728.1”) to locate the classifications in the USPC Class Schedules of the Manual of Classification to verify their relevancy (see example above).
Scan the entire class schedule for Class 280, starting with the initial classification and paying attention to the mainline sub-classes and indented subclasses, which are called “dot-indents.” There may be subclasses below 280/728.1 that might be more specific to your invention.
(Note: USPC Class schedules are arranged in outline format. Subclass numbers do not always appear in sequential order.)

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STEP 4: U.S. Patent Classification Definitions

Click on the subclass number (e.g. “728.1”) to read its USPC subclass definition to establish the scope of the relevant classifications (see example below) and ensure you have the most relevant class/subclass. The definitions include important search notes and suggestions for further searching. The U.S. Patent Classification Definitions are also available from the Classification search page: www.uspto.gov/go/classification

| 728.1 Inflatable passenger restraint or confinement (e.g., air bag) or attachment:  
This subclass is indicated under subclass 727. Devices wherein the attachment comprises a bag designed to inflate upon impact of the vehicle with an external object and thereby confine a vehicle occupant in a protective environment made up of a confinement bag and a vehicle seat.  
(1) Note. A passenger restraining device of the inflatable type is provided for only in this class (280).  

SEE OR SEARCH THIS CLASS, SUBCLASS:  
801.1, for safety belts, per se. |

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STEP 5: Retrieve and Review Issued Patents and Published Patent Applications Using the USPC Classification(s) Identified

Once the relevant USPC classification(s) have been identified, use these USPC classifications to retrieve and review all the U.S. patents and published patent applications currently assigned to that class/subclass (e.g. “280/728.1”). Issued patents and published applications can be searched and viewed using USPC classifications in any of the following databases at a PTRC:

- **PubWEST**: US Patents Full-Text and US Pre-Grant Publication databases
- **PubEAST**: US Patents Full-Text and US Pre-Grant Publication databases
- **USPTO website**: Issued Patents (PatFT) and Published Applications (AppFT) databases
First review the front page of each publication, paying special note to the abstract and representative drawing. For publications that appear relevant, then review the complete claims, specifications and drawings which appear in later pages. Remember the claims constitute the boundaries of legal property rights given to the patent holder. Save or download copies of the most relevant U.S. patents.

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STEP 6: Find Relevant CPCs (Cooperative Patent Classifications) Using Statistical Mapping from USPC to CPC; Retrieve and Review U.S. Patent Documents

On the Classification Search Page (www.uspto.gov/go/classification) apply the relevant U.S. Patent Classification(s) you found in Step 4 (e.g., “280/728.1”) to the Statistical Mapping from USPC to CPC feature to find the five most relevant CPC classifications. (Three will be listed; click on “more” to see the other two CPC classifications).
Click on the underlined link for B60R 21/16 to view the CPC class definition to establish its scope (see example below). The definitions include important search notes and suggestions for further searching. This will help ensure that you have selected the most relevant CPC classification for your search.
Once the relevant CPC classification(s) has been identified, retrieve and review all the U.S. patents and U.S. published patent applications for every classification. This review will verify that the Cooperative Patent Classification(s) you found is relevant to your invention. Issued patents and published applications can be searched and viewed using CPC classifications in any of the following databases at a PTRC: PubWEST, PubEAST or PatFT/AppFT on USPTO website.

**STEP 7: Conduct a Classification Search of CPC Class Schemes on the EPO’s Espacenet Website to Find Additional CPC Classifications, if Needed.**

If you find the patent documents resulting from the CPC classifications identified in Step 6 are not as relevant to your invention as you expected (or if you wish to confirm the relevance of your CPC classifications from Step 6), you may be able to find additional CPC classifications by conducting a search of the entire CPC class schemes. This is a feature of the European Patent Office’s Espacenet Worldwide database. Go to [http://worldwide.espacenet.com/classification](http://worldwide.espacenet.com/classification). In the Search box, enter terms to describe your invention. You can use up to 10 terms. You can use the “AND” operator to require that all the terms appear in the result. For example, the terms “vehicle and air bags” could be used to focus on 2 important aspects of the invention. If you get zero results, substitute synonyms for your terms.

Clicking on any CPC classification in the search results will provide an expanded view of the classification listed. Once you find a CPC classification relevant to your invention, you can then use that CPC classification to search U.S. patents and published applications in any of the following databases at a PTRC: PubWEST, PubEAST or PatFT/AppFT on USPTO website. (If you want to expand your search to include foreign patent publications in your prior art search, you can also use these CPC classification(s) to search on the Espacenet Worldwide database for those countries that use CPC in their patent classification.) PTRC staff can show you how to most effectively search each of these databases using CPC.
Notes on Patent Classification:

- The use of Cooperative Patent Classification (CPC) to classify U.S. patent publications is currently being phased in at the USPTO.
- U.S. Patent Classification (USPC) remains available for searching all U.S. patents from 1790 to current in U.S. patent document databases. USPC will no longer be used to classify newly issued U.S. utility patents starting in 2015, but it will remain searchable for the pre-2015 utility patent backfile.
- U.S. utility patents from 1790 to 2012 are in the process of being retroactively classified in CPC (in addition to USPC) on USPTO patent document databases.
- U.S. design patents and plant patents will not be classified in CPC, only USPC.
- Since there is not a direct one to one concordance between USPC classifications and CPC classifications, the use of the Statistical Mapping tool described in Step 6 can be helpful.

Business Planning & Marketing

PTRC libraries can provide additional resources detailing the business planning process, licensing, and marketing of inventions. Also beware of fraudulent invention promotion firms – see www.uspto.gov/inventors/scam_prevention/index.jsp

Where to Get Help

There are helpful trained library staff at Patent and Trademark Resource Centers who can answer your patent searching questions. Go to www.uspto.gov/ptrc to see a directory of the nationwide PTRCs with contact information.

Disclaimer: The information contained in this guide is not intended as a substitute for professional legal advice. Use it as a general guide for conducting a U.S. patent publication prior art search. The USPTO recommends that inventors consult a registered patent agent or attorney prior to filing a patent application.