

DOCUMENTATION OF RISIS DATASETS - RISIS Patent Database

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DOCUMENTATION OF RISIS DATASETS RISIS Patent

Written by P. Laurens (UPEM), P. Larйdo (UPEM) 07/2019

Risis Patent was constructed by L. Villard and J.P. Ospina Delgado (UPEM). P. Laredo, P. Laurens, L.D. Medina and A. Schoen have also contributed



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Outline

1	Basic Characteristics	2
2	2 Database content	3
	2.1 Definition and description of observations	3
	2.2 Data acquisition and processing (e.g. data cleaning)	4
	2.3 Information on all variables/indicators	5
	2.4 Sectorial, temporal and geographical coverage	6
	2.5 Quality and accuracy of data	
3	3 Technical Specifications	
	3.1 Information on the data base system	
	3.2 Technical variable definition	
	3.3 Description of the Entity Relationship Model	
	3.4 Interfaces for access and to other infrastructures	
4	Scientific use and main references	
A	Appendix	0
	Appendix 1: Artificial patents	
A	Appendix 2: Type of applicants	3
	Appendix 3: Classification of patent technologies	
A	Appendix 4: Building description for International Patent Classification	
	Appendix 5: Data model of PATSTAT2017	





1 Basic Characteristics

The RISIS Patent database derives from the EPO PATSTAT. The database is designed for the analysis of technological knowledge creation, using patent as a proxy. It thus focuses on priority patents that represent the creation of new knowledge, while other non-priority patents describe either technical ameliorations or market extensions and are mobilised as indicators of the importance of the priority patent. We shall explain in the documentation an important enrichment made to insure a good coverage of the priority patents, that is the reintroduction in the database of so-called artificial priority patents (13,3% of total priority patents).

Overall 16,406,977 priority patents of inventions were applied for from 2000 to 2015¹. They include 39,761,538 inventors².

As we are first interested in tracking knowledge creation, (more than the extension of the knowledge protection), the dates that matter, are the first filing date (when the organisation is applying for a priority patent, i.e. the first filing for a new invention) and the first publication date, as the time stamp of when the knowledge has been created is an important information for research..

Besides the date of the filing and the office where the patent was first filed, we specifically consider in RISIS Patent 5 core attributes on patents:

- Their content, using textual pieces of information such as the patent titles, the patent abstracts³ and a text aggregating the definition of the patent IPC (International Patent Classification) codes. Based on the definition of some 75000 IPC classes provided for by PATSTAT, the latter builds a rich vocabulary enriching widely the content available for semantic analyses.

- Their technological content using the standard technology classification: (IPC subclasses, aggregation of IPC codes) by technological domains, fields or subfields. Patent allocation in the different classifications is realised on a fractional count basis according to their IPC.

- The geographical location of inventive activities. As we are interested in the geography of knowledge creation, we focus on inventors addresses (instead of using applicants addresses which would more capture commercialisation). We shall explain the difficulties associated with this approach and the extensive developments made. These addresses are geocoded and associated to functional areas (urban and rural) worldwide mobilizing the RISIS CORTEXT geocoding service.

- The legal organisations that apply for patents (the applicants). We use available information proposed by PATSTAT for the harmonisation of applicants' names and allocation of assignee sectors. But one central effort is to articulate it and mobilise the extensive work done by other RISIS databases to identify worldwide large firms (CIB), European fast growing mid-sized firms (Cheetah), European venture capital backed start-up firms (VICO) and European

¹ i.e. ipr_type = PI in PATSTAT

² Corresponding to 9,096,610 distinct person_id and 6,057,257 distinct doc_std_name_id.

³ Translation in English for titles and abstracts that remain in their native language will be included in a next release of RISIS Patent.





public research organisations (ORGREG covering universities, PROs and research hospitals). This will be implemented step by step in the next RISIS Patent release.

- Characteristics linked to the value of the patent: In this context, the database provides information on whether the patent was granted or not, as well as the size of patent families, i.e. the number of different applications for a given invention (or group of linked inventions), which tells something about the interest of applicants for developing and protecting the knowledge; moreover, the presence in 5 world-level patent offices (EPO, USPTO, Japan Patent Office, Korean Patent Office, China Patent Office) tells something about the potential for future markets; and citations they have received indicate knowledge flows to other inventions and therefore its value for further technological development.

The coverage of the database is 2000-2015 (using the PATSTAT 2017 Edition April as a source). The first release is in September 2019. A second one will occur in spring 2020. The database will be only periodically updated using new PATSTAT version (the next update should be in 2021). The database is developed and maintained by UPEM. The database is located on the servers of UPEM at Marne La Vallee, France.

2 Database content

2.1 Definition and description of observations

As a proxy for knowledge creation, the unit of observation is a priority patent application, i.e. the very first patent application, anywhere in the world to protect an invention. The priority date is used to determine the novelty of the invention, which implies that it is an important concept in patent procedures. For statistical purposes, the priority date is the closest date to the date of invention.

We consider only applications of priority patents of invention (i.e. $ipr_type = PI$ in PATSTAT)⁴. Accordingly, the database covers priority patents applied since 2000, whether or not they turn later into granted patents. The 16,406,977 priority patents are distributed across three main types of applications:

-a large category of patents A, i.e. regular patents following the Paris convention (appln_kind =A): 15,030,308 applications,

-provisional patent, i.e. preliminary and temporary patents proposed in some patent offices like USPTO (appln_kind = P) : 1,146,128 applications,

-PCT patent in the international phase (appln_kind = W): 224 188 applications.

We also include priority patents tagged as artificial priority patents due to priorities in PATSTAT (12,7% of the overall priorities but 41,1% in the priorities applied at the US patent office and 33,8% the priorities applied at the EPO). As these latter documents only contain the filling date and patent office in PATSTAT, we have devised a complex method to fill the information on their applicants, inventors, title, IPC classes. (see Appendix 1 for the description of technical developments and share of applications by patent offices and Laurens et al., 2018⁵ for the importance of such an enrichment).

⁴ Other types of patent are: Utility Models (ipr_type = 'UM') and Design patents (ipr_type = 'DP').

⁵ Laurens et al., 2018, "The artificial patents in the PATSTAT database: how much do they matter when computing indicators of internationalisation based on worlwide priority patents?" Scientometrics 114,1, 91-112.





As we are interested in the development of organised knowledge, we focus only on patents taken by organisations, i.e. legal persons (firms, university, NGO); therefore, the 2,373,199 patents (15 % of the patent applications) applied only by natural persons have been discarded. The resulting perimeter of the current version of the database is 13,333,585 patent applications.

When a co-application of patent includes both legal and natural persons, the patent is maintained in the database with its legal applicant only. This is the case for 1,252,657 patent applications, i.e. 8 % of the overall applications.

In order to do so, we have first devised a method to recognise applicants that are natural persons, and we take them out from the database. In 0.8% of the case, the type of applicant (legal or person) could not be determined. These applicants are tagged as Unknown (see Appendix 2 for the technical developments).

A fractional counting was employed to calculate the number of legal applicants in a patent applications: All applicants with a fract_applt below 1 have legal co-applicants.

2.2 Data acquisition and processing (e.g. data cleaning)

a) Data sources

The RISIS Patent database uses four sources of information. It builds first and mainly on the PATSTAT public database from EPO (version April2017). Secondary sources are used for complementing this main data source, mainly for filling addresses that are void in PATSTAT:

- REGPAT data base (provided freely on request) from OECD that presents patent data that have been linked to regions according to the addresses of the applicants and inventors,
- Data from the French patent office (INPI) for filling addresses in patent applications from INPI that are missing in PATSTAT,
- Data from the Japanese patent office (JPO) for filling addresses in patent applications from JPO that are missing in PATSTAT.

b) Data processing

The principal data processing includes:

1- Data enrichment steps of the initial raw patent data

- Filling missing addresses, missing information on IPC (international patent classification) and on inventors and applicants using the REGPAT, INPI and JPO data (see above),
- Re-allocation of addresses information contained in other fields (persons names)
- Propagating information (using fuzzy matching) within patent families for missing info on applicants and inventors,
- Propagating information for filling information in artificial applications using other applications within patent families,

2- Addition of complementary information





- Identifying priority patent applications, the artificial priority applications, singletons (i.e. lone patent applications in an Inpadoc family), transnational patents (applied in at least 2 patent offices),
- Identifying the type of applicants (legal/person/unknown),
- Extraction, cleaning and harmonisation of country information for applicants and inventors by analysing respectively applicants and inventors addresses,
- Addition of geographical classification on continent for applicants and inventors,
- Geocoding of addresses (applicants and inventors),
- Attribution of the urban area for the address based on geocoded data,
- Addition of information on technology classification at three levels (5 domains, technology fields according to WIPO classification in 35 categories and technology subfields according to IFRIS classification in 400 categories),
- Addition of the IPC definition (full textual information),
- Extraction of year of application from the date of application,
- Addition of tags characterising the patent applications with no inventors, the patent applications with no IPC,
- Fractional counting at the patent application level according to different dimensions: technological classifications, number of applicants, number of inventors,
- Calculation of the priority patent geographical coverage (based on patent families): number of patent offices, applications in the IP5 patent offices (EPO, USPTO, JPO, SINO, KINO), number of patents in the docdb and inpadoc families of the priority applications.

3- Filtering of patents

We select only priority patents of inventions from 2000 to 2015 with at least one legal applicant (including artificial priority applications).

4- Creation of the final tables

The final tables includes data on priority patents only and covering 6 dimensions: Basic patent data, Geographical data on inventors and applicants, Institutional data on applicants, Technological data based on classification, Textual data, Patent value data.

2.3 Information on all variables/indicators

For each priority patent application, the database gives:

- patent ID number
- date of first filing
- country of first filing
- date of first publication
- date of first granting
- title
- abstract
- IPC categories mentioned: their number and their language description: as many variables as IPC categories, only one linguistic description
- whether the patent is a singleton (only one single application)or not





- whether the patent is a transnational patent, i.e. was the priority application extended in at least a foreign country) or not
- size of the DOCDB family
- size of the INPADOC family
- presence (directly or through extension) in the 5 core offices (so called IP 5 families) (5 variables Y/N per office)
- For each applicant: the applicant natural name and its ID; the applicant standardised name and its ID; the applicant standardised name by Leuven and its ID; the applicant RISIS standardised name and its ID when available
- For each inventor: same variables as for applicants
- For each applicant: presence or not in the CIB database, name and ID of the group firm (GUO), presence or not in the CHEETAH database, ID of the Cheetah firm, presence or not in the VICO database and ID of the VICO firm; presence in firmreg database and Firmreg ID.
- For each applicant: The applicant address, The applicant geo coordinates, the applicant urban and rural cluster it belongs to
- For each inventor: the inventor address, the inventor geo coordinates, the inventor urban or rural cluster he/she belongs to

2.4 Sectorial, temporal and geographical coverage

- Sectorial coverage

Sectors of the legal applicants

In the current RISIS Patent database, we rely on the sectorial information provided in the raw PATSTAT database⁶. Data are shown in the table below.

Table 1: Industrial sectors of priority patent applicants

Sector of legal applicants	Number of applicants	Share of applicants
COMPANY	615,724	82,6%
COMPANY GOV NON-PROFIT	4,764	0,6%
COMPANY GOV NON-PROFIT UNIVERSITY	8	0,0%
COMPANY HOSPITAL	87	0,0%
COMPANY UNIVERSITY	112	0,0%

⁶ Harmonizing names and allocation of assignee sectors in Patstat raw data was done by ECOOM (K.U. LEUVEN; http://www.ecoom.be/en/EEE-PPAT).



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GOV NON-PROFIT	21,368	2,9%
GOV NON-PROFIT HOSPITAL	3	0,0%
GOV NON-PROFIT UNIVERSITY	1,406	0,2%
HOSPITAL	1,233	0,2%
INDIVIDUAL	13,571	1,8%
UNIVERSITY	17,041	2,3%
UNIVERSITY HOSPITAL	2	0,0%
UNKNOWN	70,548	9,5%
TOTAL	745,879	100,0%

Technological coverage of patents

There is a thematic coverage of the technology that the patents protect linked to the IPC classification of patents (one patent can belong to multiple classes). Patents are allocated to fields of technology on a fractional count basis according to their IPC. Building on the correspondence table developed by ISI FhG for WIPO - which defines domains (5) and fields (35) of technology, an additional level of sub fields (401) of technology was developed (See Appendix 3 on technological fields).

The distributions of patents with the domains and the technological fields are shown below.

Domain code	Domain name	Number of patents (fractional counting)	Share of patents
TD01	Electrical engineering	4,524,707	34,6%
TD02	Instruments	1,949,793	14,9%
TD03	Chemistry	2,692,039	20,6%
TD04	Mechanical engineering	2,922,951	22,3%
TD05	Other fields	994,353	7,6%
Total		13,083,843	100,0%

Table 1: Domains of technology of priority patent applications

Table 2: Technology fields of priority patent applications

Field code	Field_name	Number of patents (fractional counting)	Share of patents	
TF01	Electrical machinery, apparatus, energy	955,139	7,3%	
TF02	Audio-visual technology	583,762	4,5%	
TF03	Telecommunications	434,316	3,3%	
TF04	Digital communication	562,319	4,3%	
TF05	Basic communication processes	122,523	0,9%	
TF06	Computer technology	1,057,050	8,1%	
TF07	IT methods for management	219,395	1,7%	
TF08	Semiconductors	590,203	4,5%	





AND IN	NOVATION POLICY STUDIES		
TF09	Optics	553,166	4,2%
TF10	Measurement	670,222	5,1%
TF11	Analysis of biological materials	69,652	0,5%
TF12	Control	248,645	1,9%
TF13	Medical technology	408,108	3,1%
TF14	Organic fine chemistry	238,838	1,8%
TF15	Biotechnology	198,223	1,5%
TF16	Pharmaceuticals	405,962	3,1%
TF17	Macromolecular chemistry, polymers	242,901	1,9%
TF18	Food chemistry	200,591	1,5%
TF19	Basic materials chemistry	323,096	2,5%
TF20	Materials, metallurgy	329,110	2,5%
TF21	Surface technology, coating	237,130	1,8%
TF22	Micro-structural and nano-technology	24,341	0,2%
TF23	Chemical engineering	278,038	2,1%
TF24	Environmental technology	213,809	1,6%
TF25	Handling	359,404	2,7%
TF26	Machine tools	384,030	2,9%
TF27	Engines, pumps, turbines	332,934	2,5%
TF28	Textile and paper machines	289,628	2,2%
TF29	Other special machines	381,389	2,9%
TF30	Thermal processes and apparatus	240,448	1,8%
TF31	Mechanical elements	374,598	2,9%
TF32	Transport	560,520	4,3%
TF33	Furniture, games	332,844	2,5%
TF34	Other consumer goods	209,155	1,6%
TF35	Civil engineering	452,353	3,5%
Total		13,083,843	100,0%

- Temporal coverage

The database of this first release (summer 2019) covers patent applications from 2000 to 2015 (based upon PATSTAT2017 Version April). It is most likely that years 2016 and 2017 are still only partially filled. It includes 13,333,585 applications of priority patents

The number of PI priority patents applied every year is shown below. It has doubled during this 15 years. Year 2015 is probably not fully completed

Table 3: Number o	f priority patent	applications over	time
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Filing year	Number of PI priority patent applications
2000	663,553
2001	665,235
2002	655,632





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2003	670,504
2004	701,440
2005	736,782
2006	751,220
2007	779,526
2008	805,129
2009	778,235
2010	833,469
2011	908,657
2012	1,051,103
2013	1,172,448
2014	1,220,297
2015	(940,355) ⁷
Total	13,333,585

- Geographical coverage

Geography of the PI protection

The data cover all priority patent applications worldwide, i.e. at all regional and national offices in the world (see table below). More than 50% of the priority applications are applied for at the Japanese or Chinese ones. The IP5 patent offices (US, EP, JP, CN, KR) cumulate together 87,8% of the applications.

Table 4: Number of priority patent applications and share of artificial priorities according to the patent offices

Patent office	Number of PI patent applications	Distribution of PI patent applications	Share of artificial priority patents
Total	13,333,585	100,0%	12,7%
JP	4,421,954	33,2%	9,5%
CN	3,205,972	24,0%	1,0%
US	2,206,472	16,5%	41,1%
KR	1,265,278	9,5%	3,9%
DE	610,583	4,6%	9,9%
EP	278,071	2,1%	33,8%
TW	215,233	1,6%	2,3%
GB	193,746	1,5%	0,5%
FR	175,357	1,3%	3,0%
RU	174,021	1,3%	0,6%

⁷ This number of patents in 2015 should be considered with caution. It should not be interpreted as a decreasing trend of patent application but rather as a lack of completedness of the database for this very year.





AND INNOVATIO	ON POLICY STUDIES		
IT	92,378	0,7%	7,3%
AU	79,895	0,6%	31,2%
SE	34,249	0,3%	15,6%
PL	31,203	0,2%	1,2%
BR	27,072	0,2%	1,7%
ES	26,643	0,2%	5,4%
IN	24,830	0,2%	76,9%
NL	23,623	0,2%	12,5%
FI	22,686	0,2%	4,9%
UA	19,976	0,1%	2,4%
Other	204,343	1,5%	

After a first priority patent application for a new invention, the IP protection can be further extended in several geographical countries considered as future market. The following tables give information on the geography of the patent protection of a given priority patent using data available in its Inpadoc family. Most of the patents, for a given invention are applied in a single patent office and only 27% of the priority patents are transnational, i.e. further extended in another patent office (20% from 2 to 5 patent offices).

Table 6: Number of patent offices where patents are applied for a given invention

Number_of distinct patent offices in the inpadoc family	Number of patents	priority	Share of priority patents
1	9,775,432		73,3%
2	1,146,279		8,6%
3	689,257		5,2%
4	544,891		4,1%
5	389,437		2,9%
More than 5	788,289		5,9%
Total	13,333,585		100,0%

40% of the inventions are protected in Japan (either in the first or secondary subsequent filings), 36% in China, 31 in US, 16% at EPO, 15% in Korea. 19% of the families include a PCT patent⁸.

Table 7: Number and share of patents (priority or secondary applications) applied in the five largest patent offices (IP5 patent offices)

Content of Inpadoc family ⁹	Number of priority patents	Share of priority patents
Total	13,333,585	100%
US application	4,080,093	31%
EP application	2,170,029	16%

⁸ The Patent Cooperation Treaty (PCT) provides a unified procedure for filing patent applications to protect inventions in each of its contracting states. A patent application filed under the PCT is called an international application, or PCT application.

⁹ Only ipr_type : PI is considered in inpadoc family.





AND INNOVATION POLICY STUDIES		
JP application	5,362,865	40%
KR application	1,963,807	15%
CN application	4,733,883	36%
W application	2,541,004	19%
Transnational patent	3,558,153	27%

Geography of the inventions

In 80% of the patents, the location of the inventions (inventors geographical location) is known and in 84.7% of them, the location of the applicant is indicated. The shares of patents according to the inventors and applicants addresses are shown is the tables below.

Table 8: Number of priority patent applications according to the country of inventors

Country inventors	of	Number of patent applications with inventor from the country	Share of patent applications with inventor from the country	
Total number patents	of	13,333,585		
JP		4,443,833	33,3%	
Unknown		2,661,403	20,0%	
CN		2,435,340	18,3%	
US		1,876,575	14,1%	
KR		1,253,756	9,4%	
DE		731,139	5,5%	
TW		365,109	2,7%	
FR		241,406	1,8%	
RU		150,593	1,1%	
GB		128,201	1,0%	
CA		113,051	0,8%	
IT		108,064	0,8%	
NL		86,513	0,6%	
СН		76,174	0,6%	
SE		64,687	0,5%	
IN		60,865	0,5%	
IL		46,406	0,3%	
AU		42,298	0,3%	
FI		41,556	0,3%	
ES		40,691	0,3%	
AT		35,786	0,3%	





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Table 9: Number of priority patent applications according to the country of applicants

Country of applicant	Number of patents with applicant from the country	Share of patents with applicant from the country
Total number of patent	13,333,585	
JP	4,461,707	33,5%
Unknown	2,168,294	16,3%
US	1,910,643	14,3%
CN	1,419,625	10,6%
KR	1,260,410	9,5%
DE	697,682	5,2%
TW	317,614	2,4%
FR	234,668	1,8%
GB	185,910	1,4%
RU	144,748	1,1%
NL	103,813	0,8%
СН	100,988	0,8%
CA	94,427	0,7%
SE	77,818	0,6%
IT	70,122	0,5%
IL	55,721	0,4%
FI	47,115	0,4%
AU	41,071	0,3%
IN	38,090	0,3%
ES	36,146	0,3%
PL	32,018	0,2%

2.5 Quality and accuracy of data

Checking the data quality is not be carried out on the initial PATSTAT raw data but on the further improvements done at LISIS to produce RISIS Patent. It includes tests of completedness and consistency.

Tests of completedness

1- Patent applications without any information on applicants (all applicants)

Table 10: Share of priority patent applications without any information on the applicants according to the patent office for the 25th largest patent offices





Patent office	Number of PI patent applications	Share of PI patent applications without any applicant*
JP	4635006	1,3%
CN	4047877	2,2%
US	3004923	7,1%
KR	1700903	5,1%
DE	699263	0,1%
RU	380052	28,5%
GB	302037	0,0%
EP	291545	0,4%
тw	256584	1,9%
FR	207753	0,1%
Т	132644	0,2%
AU	107909	0,6%
BR	59205	3,1%
PL	43726	0,5%
SE	42100	0,9%
СА	40058	0,0%
ES	37619	0,1%
UA	34780	13,6%
IN	31792	3,1%
NL	30793	0,1%
FI	28474	0,1%
АТ	21555	0,1%
СН	20595	0,4%
DK	16739	0,5%
IL	15631	3,2%
Total	16406977	3,5%

* appln_id not in table applt_address_ifris

2- Patent applications with legal applicants without any information inventors nor IPC codes

Table 11: Share of priority patent applications with legal applicants without any information on inventors or IPC codes according to the patent office for the 25th largest patent offices

Patent office	Number of PI patent applications	Share of PI patent applications without any inventor*	Share of PI patent applications without any IPC codes**
Total	13333585	1,5%	1,8%





4421954 3205972 2206472 1265278 610583 278071 215233 193746 175357	0,0% 0,1% 0,1% 0,0% 2,8% 2,2% 3,7% 67,8%	0,1% 0,3% 0,3% 0,8% 0,1% 0,2% 1,8% 53,6%
2206472 1265278 610583 278071 215233 193746	0,1% 0,0% 2,8% 2,2% 3,7%	0,3% 0,8% 0,1% 0,2% 1,8%
1265278 610583 278071 215233 193746	0,0% 2,8% 2,2% 3,7%	0,8% 0,1% 0,2% 1,8%
610583 278071 215233 193746	2,8% 2,2% 3,7%	0,1% 0,2% 1,8%
278071 215233 193746	2,2% 3,7%	0,2% 1,8%
215233 193746	3,7%	1,8%
193746		
	67,8%	53 6%
175357		JJ,0 /0
	0,7%	0,5%
174021	0,7%	0,0%
92378	1,1%	64,6%
79895	22,6%	17,7%
34249	1,1%	1,9%
31203	0,2%	0,5%
27072	0,4%	1,4%
26643	0,2%	0,2%
24830	0,4%	1,6%
23623	0,3%	0,1%
22686	1,9%	3,8%
19976	2,0%	0,1%
19870	1,1%	0,2%
16208	1,1%	0,2%
15121	42,4%	4,0%
14990	0,9%	0,5%
10431	73,2%	25,0%
	174021 92378 79895 34249 31203 27072 26643 24830 23623 22686 19976 19870 16208 15121 14990 10431	1740210,7%923781,1%7989522,6%342491,1%312030,2%270720,4%266430,2%248300,4%236230,3%226861,9%199762,0%198701,1%162081,1%149900,9%

* appln_id not in table invt_address_ifris

** appln_id not in table ipc_technology_frac_ifris

3- Patent applications with legal applicants with missing country of the inventors or missing geocoded address of inventors

Table 12: Share of priority patent applications with legal applicants with information on the country of the inventor or with geocoded address of inventors according to the patent office for the 25th largest patent offices

Patent office	Nber of PI patent applications	Share of PI patent applications with at least one inventor without assigned country*	Share of PI patent applications with at least one inventor without geocoded address*
Total	13333585	21,5%	41,9%
JP	4421954	4,6%	14,9%
CN	3205972	69,8%	82,1%
US	2206472	0,4%	8,2%



* * This project is * under Horizon * * * Programme G

This project is funded by the European Union under Horizon2020 Research and Innovation Programme Grant Agreement n°824091

AND INNOVATION PC	DLICY STUDIES		
KR	1265278	4,6%	75,2%
DE	610583	3,1%	41,1%
EP	278071	2,7%	12,6%
TW	215233	4,2%	73,3%
GB	193746	68,1%	86,2%
FR	175357	1,6%	10,4%
RU	174021	17,2%	97,5%
IT	92378	36,2%	65,4%
AU	79895	65,2%	67,3%
SE	34249	26,7%	32,0%
PL	31203	0,3%	82,8%
BR	27072	70,6%	78,7%
ES	26643	11,6%	76,8%
IN	24830	5,7%	31,4%
NL	23623	11,3%	45,1%
FI	22686	2,4%	7,5%
UA	19976	2,1%	99,0%
CA	19870	2,0%	63,7%
СН	16208	2,7%	40,0%
AT	15121	42,8%	69,7%
DK	14990	2,9%	29,5%
IL	10431	75,6%	85,8%
			· · · · · · · · · · ·

* either no inventor or the inventor is known but missing country/missing geocoded information

4- Patent applications with legal applicants with missing country of the applicants or missing geocoded address of applicants

Table 13: Share of priority patent applications with legal applicants with information on the country of the applicant or with geocoded address of applicant according to the patent office for the 25th largest patent offices

Patent office	Nber of PI patent applications	Share of PI patent applications with at least one applicant without assigned country*	Share of PI patent applications with at least one applicant without geocoded address*
Total	13333585	16,3%	30,9%
JP	4421954	1,3%	7,8%
CN	3205972	57,8%	66,3%
US	2206472	2,1%	9,0%
KR	1265278	2,9%	48,9%
DE	610583	0,1%	19,0%
EP	278071	0,1%	6,6%





AND INNOVATION POLIC			
TW	215233	0,6%	72,9%
GB	193746	22,3%	34,2%
FR	175357	0,1%	15,1%
RU	174021	16,7%	97,3%
IT	92378	47,3%	60,7%
AU	79895	45,5%	50,6%
SE	34249	0,1%	22,4%
PL	31203	0,1%	58,2%
BR	27072	0,1%	56,4%
ES	26643	3,5%	44,7%
IN	24830	2,6%	23,7%
NL	23623	9,7%	44,7%
FI	22686	0,1%	4,0%
UA	19976	0,1%	98,5%
CA	19870	0,5%	51,4%
СН	16208	0,8%	39,2%
AT	15121	0,4%	35,3%
DK	14990	0,4%	17,4%
IL	10431	40,5%	61,8%

* either no applicant or the applicant is known but missing country/missing geocoded information

Tests of consistency

1- Priority patents

We compare the appln_id of the patent with the earliest_filing_id. For priority patent applications (characterised by appln_first_priority_year = 0, a field added by UPEM), the appln_id and the earliest_filing_id should be identical.

This is not the case for 456 387 appln_id (3,42% of the 1 313 333 585 priority patent applications).

2- Geocoding of the addresses of inventors

We compare the country of the inventors given in the RISIS patent database with the country attributed to the inventor after the geocoding step. When the 2 countries are known for a given address, in 99,77% of the case, the country is the same.

3 Technical Specifications

3.1 Information on the data base system

Current data base system used

The current data base system is My SQL 5.1.63 with MyISAM as the default storage engine. In term of maintainability and backup, the main advantage of this storage engine is to use three different files for each table of a database:





- the data file has a .MYD (MYData) extension;
- the index file has a .MYI (MYIndex) extension;
- the structure file has a .frm extension.

MySQL is optimized for an intensive usage: a high level of accessibility and efficiency, for a low amount of users

Planned future technical changes concerning data base system

None

3.2 Technical variable definition

Variables present in PATSTAT raw data are defined below.

Table 14: Name and definition of the variables already present in PATSTAT and included in RISIS Patent

APPLN_ID	Application unique identifier		
APPLN_KIND	Kind of Application		
	A patent		
	_W PCT application (in the international phase)		
	_T used by some offices (e. g. AT, DE, DK, ES, GR, HR, PL, PT, SI, SM, TR) for applications which are "translations" of granted PCT or EP applications		
	_P provisional application (US only) _F design patent		
	_D2, D3 artificial		
	_Other "exotic" kind codes		
APPLN_NR	Application number		
	Number issued by the Patent Authority where the National, International or Regional application was filed		
APPLN_AUTH	Office where the patent was applied		
APPLN_ABSTRACT	Abstract of the application		
APPLN_TITLE	Title of application		
APPLN_ABSTRACT_LG	Language of abstract of application		
APPLN_TITLE_LG	Language of title of application		
DOCDB_FAMILY_SIZE	Size of DOCDB simple family of a given application		
DOC_STD_NAME	Standardised name as recorded in DOCDB		
	Standard name attributed to applicant and inventor names for inclusion in DOCDB. It is not 100% certain that the DOCDB standardised names are always linked with the correct person name, in particular if the person information came from a source other than DOCDB. This is especially true for names in		





	USPTO patents.
	In case DOCDB does not provide a DOCDB standardized
	name, this attribute will contain the same data as the
	attribute PERSON_NAME.
DOC_STD_NAME_ID	ID for the DOCDB standardized name
EARLIEST_FILING_DATE	Date of the earliest filing
	The earliest date of the filing dates of the application
	itself, its international application, its Paris Convention
	priority applications, the applications with which it is
	related via technical relations and its application
	continuations. Only directly related applications are
	considered; this is unlike the INPADOC family, where
	applications might also be indirectly related.
	upplications might also be manechy related.
EARLIEST FILING YEAR	Year of the earliest filing date
EARLIEST_PUBLN_YEAR	
	Year of the earliest publication date of an
	application
GRANTED	Granted indicator
	"1" if there exists a publication of the grant; "0" otherwise
IPC_CLASS_SYMBOL	
	IPC classification symbol (IPC 8th edition)
	Classification symbol according to the International Patent
	Classification, eights edition (entered into force January 1,
	2006)
NB_CITING_DOCDB_FAM	Number of forward citations on family level
	Number of distinct DOCDB simple families citing at least
	one of the publications or applications of the DOCDB
	simple family of the current application
PERSON_ID	Person identification
PERSON NAME	Person name
	ID for the PATSTAT standardized name
PSN_ID	
PSN_NAME	PATSTAT standardized name
	The attribute is populated for all persons. Names of
	persons which have not been harmonized are just copied
	from the attribute PERSON_NAME.
	Sector of the applicant
PSN_SECTOR	
	INDIVIDUAL ; COMPANY ; UNKNOWN ;
	GOVERNMENT ; NON-PROFIT ; UNIVERSITY ;
	HOSPITAL
	Publication Authority or Publishing office
PUBLN_AUTH	
_	Patent Authority that issued the publication of the
	application
PUBLN_CLAIMS	
	Indicator of the number of claims in the given
	publication
	P





PUBLN_DATE	Publication date
	Date on which the publication was made available to the public
PUBLN_KIND	Kind of Publication
	Publication kind attributed by the Patent Authority issuing the publication
PUBLN_LG	Publication language
PUBLN_NR	Publication number
	Number given by the Patent Authority issuing the publication

Table 15: Name and definition of the variables added in RISIS Patent (non included in PATSTAT or modified)

adr_final	Addresses of inventors and applicants	Completed
lso_ctry	Addresses of inventors and applicants	Completed
Latitude	Addresses of inventors and applicants	New info provided
Longitude	Addresses of inventors and applicants	New info provided
Rurban area	Allocation of addresses of inventors and applicants	New info provided
code		
Rurban area	Allocation of addresses of inventors and applicants	New info provided
name		
Rurban area	Allocation of addresses of inventors and applicants	New info provided
caracteristics		
Singleton	Priority patent without any extension	New info provided
Transnat	Priority patent further extended in a second country at least	New info provided
IP5 family	Priority patent further extended in a second country at least and applied in one IP5 patent office (info of Inpadoc family)	New info provided
Triadic	Priority patent for which the invention is protected at JPO, USPTO and JPO (info of Inpadoc family)	New info provided
IP5	Priority patent for which the invention is protected at EPO, USPTO, SINO, KINO and JPO (info of Inpadoc family)	New info provided
US	Priority patent for which the invention is protected at USPTO (info of Inpadoc family)	New info provided
EP	Priority patent for which the invention is protected at EPO, (info of Inpadoc family)	New info provided
JP	Priority patent for which the invention is protected at JPO, (info of Inpadoc family)	New info provided
CN	Priority patent for which the invention is protected	New info provided





AND INNOVATION POLICY		
	at SINO (info of Inpadoc family)	
KR	Priority patent for which the invention is protected at KINO (info of Inpadoc family)	New info provided
PCT in the Inpadoc family	Priority patent for which the invention is protected using a PCT patent (info of Inpadoc family)	New info provided
Number patents in docdb family	Number patent applications in docdb family (restricted family)	New info provided
Number distinct offices in docdb family	Number of distinct patent offices where patents where applied for in docdb family (restricted family)	New info provided
Number patents in inpadoc family	Number patent applications in docdb family (extended family)	New info provided
Number distinct offices in inpadoc family	Number of distinct patent offices where patents where applied for in docdb family (extended family)	New info provided
Domain	Fractional counting of priority patent on the 5 domains	New info provided
Techno fields	Fractional counting of the priority patent on the 35 technological fields	New info provided
Techno subfields	Fractional counting of the priority patent on the 401 technological subfields	New info provided
IPC full textual description	Aggregation of the hierarchical IPC description	New info provided
IPC class 4 digits	Fractional counting of the priority patent on the 615 technological 4 digits classes	New info provided
Earliest publication of grant	First notification of a grant	Reshaped info from PATSTAT

3.3 Description of the Entity Relationship Model

The data model of the RISIS Patent database is shown below. It includes 6 tables related using the identifier of the priority patent application (appln_id):

- Table Priority Patent Attributes gives a set of information related to the patent application and publication places and dates,
- Table Textual Content includes the pieces of textual information useful for text mining. It aims at defining the core of the protected inventions beside the predefined technological classifications
- Table technological classification of patents relates patent to technology on a fractional counting based using existing classification built on IPC codes
- Table Patent value proposes several indicators to estimate the patent application value
- Table Geography Location of inventions informs on the locations of the inventions based on the inventors addresses.





Table Actors focuses on the institutions that patent and give information on their type, name and location.

Table 16: Data model of RISIS Patent

Textual Content APPLN_ID	_	Technol APPLN	logical classification of patents
APPLN TITLE			SS SYMBOL
APPLN_TITLE_LG		Frac ipc	
APPLN_ABSTRACT		Domain	1 to 5
APPLN_ABSTRACT_LG		Techno	fields 1 to 35
IPC full textual description	Priority Patent Attributes	Techno	subfields 1 to 401
IPC full textual description	APPLN_ID		
	APPLN KIND	IPC class	s 4 digits (1 to 615)
	APPLN NR		
	APPLN_AUTH		Actors (Legal applicants)
atent value	EARLIEST_FILING_YEAR		APPLN_ID
PPLN_ID	PUBLN_AUTH		RiSiS Register_Id
RANTED	PUBLN_NR		PERSON_ID
B CITING DOCDB FAM	EARLIEST_PUBLN_YEAR		PERSON_NAME
UBLN_CLAIMS	EARLIEST_PUBLN_YEAR OF GRANT		DOC_STD_NAME
OCDB FAMILY SIZE			DOC_STD_NAME_ID
ngleton			PSN_ID
ransnat	Geography - Location	of inventions	PSN_NAME
25 family	APPLN ID	j inventions	PSN_SECTOR
riadic	PERSON_ID		type
5	adr_final		adr_final
S	name_final		name_final
p	lso_ctry		 Continent_final
)	Continent_final		lso_ctry
N	Latitude		Latitude
R	Longitude		Longitude
CT in the Inpadoc family	confidence		confidence
ber patents in docdb	lso3		lso3
ber distinct offices in docdb	Rurban area code		Rurban area code
ber patents in inpadoc	Rurban area name		Rurban area name
ber distinct offices in inpadoc	Rurban area caracteristic	s	Rurban area caracteristics

The data model of the PATSTAT2017 database in shown in Appendix 5.

3.4 Interfaces for access and to other infrastructures

RISIS Patent will be inter-linked with the RISIS organisation registers, i.e. the firm register (FirmReg), and public sector (org register id of institutions). Furthermore, the database is designed to comply with RISIS integrative dimensions, actors, space as described in the following.

Geocoding and allocation to rurban areas

Geocoding is done on inventors and applicants using the CORTEXT geocoding tools (see specific documentation on the CORTEXT Platform). It provides for each inventor and applicant it geocoordinates. The % of addresses that can be geocoded is very high (around 98%), but the issue is to have addresses, and we face here a critical issue for the PATSTAT database.

We focus here on inventor addresses, i.e. pieces of detailed geographical information enabling address geocoding (city, county, street,). There are multiple strategies by firms where to take their patents. We thus do not use the address of applicants for analysing the geography of inventions. We focus on the addresses of inventors. Their presence and quality varies depending





upon offices. For instance a study done by SPRU in the early 2000s demonstrated that the USPTO could not be trusted for addresses of inventors for patents taken elsewhere and extended to the US.

The raw coverage of addresses in PATSTAT for priority patents is limited and it has been a preoccupation by numerous teams to increase it.

We process data with the following steps to improve the address coverage:

- We first retrieve addresses that are not locate in the adequate item in PATSTAT (addresses retrieved from natural or doc standardised names)
- We incorporate external resources available: REGPAT from OECD, addresses provided for by INPI, Japanese addresses (thanks to colleagues in Japan)
- For priority patents still without addresses, we then look into the Inpadoc family to look for inventors and addresses with specific rules linked to proximity non-US patents.

The process allows to end in RISIS Patent with 75% of inventors with an address (to be compared with 10% in the initial raw PATSTAT data) and 67.4% of the addresses are geocoded. The share of geocoded addresses varies according to the countries (see table below). It exceeds 80% in most of the western countries.

Steps in filling inventor's addresses	Number of inventor's addresses	Share of inventor's addresses
PATSTAT2017 (raw data)	3,669,681	10,3%
REGPAT info	349,016	1,0%
INPI info	271,431	0,8%
JPO info	3,940,587	11,1%
Propagation of addresses within Inpadoc families	14,144,527	39,8%
Filling Artificial patent addresses	4,345,018	12,2%
Missing addresses in RISIS Patent	8,785,687	24,7%
Total	35,505,947	100,0%

Table 17: Steps for completing the addresses of inventors

Table 18: Completeness of the addresses of inventors and geocoding

Country of inventor	Raw PATSTAT data with geo info	Risis Patent with geo info	Share of addresses present in Risis Patent (more than country info)	Number of geocoded addresses in RISIS Patent	Share of geocoded addresse s in RISIS Patent
All	3,669,681	35,505,949	75,3%	23,942,110	67,4%



RESEARCH INFRASTRUCTURE FOR SCIENC AND INNOVATION POLICY STUDIES



AND INNOVA	TION POLICY STUDIES				
JP	61,109	9,970,566	99,7%	9,310,142	93,4%
Unknown	718	6,150,087	5,9%	1,754	0,0%
CN	37,657	5,252,217	86,4%	4,237,224	80,7%
US	2,578,308	5,015,934	98,4%	4,840,760	96,5%
KR	14,155	3,093,326	77,1%	1,423,080	46,0%
DE	165,991	1,738,042	83,6%	1,387,630	79,8%
TW	122,250	728,935	72,4%	405,879	55,7%
RU	12,442	569,052	9,1%	41,581	7,3%
FR	52,261	500,759	94,9%	466,554	93,2%
CA	92,644	248,754	92,3%	209,858	84,4%
GB	50,807	235,926	82,3%	167,786	71,1%
IT	37,243	186,966	92,7%	127,946	68,4%
NL	30,187	182,245	92,9%	160,646	88,1%
IN	64,402	161,550	96,3%	137,160	84,9%
СН	41,613	146,093	90,4%	126,250	86,4%
SE	26,015	124,340	96,8%	115,794	93,1%
IL	38,094	112,700	97,4%	88,386	78,4%
ES	16,060	99,414	65,2%	54,141	54,5%
PL	15,601	97,771	29,0%	26,359	27,0%
FI	59,292	89,157	96,7%	84,030	94,2%
AU	12,781	82,815	97,8%	78,186	94,4%
UA	658	76,519	5,6%	2538	3,3%
DK	11,230	69,667	96,0%	57413	82,4%
BE	20,331	68,511	93,9%	60060	87,7%
AT	12,921	67,387	82,3%	53035	78,7%

Actors

We deal with actors that are legal applicants (individual applicants were discarded from the database in RISIS Patent. In the current RISIS Patent database, we only rely on the sectorial information provided in the raw PATSTAT database¹⁰.

Integration with RCF

The current RISIS Patent is made available for access to researchers in RISIS is foreseen to be fully incorporated in RCF, under the condition of controlled access and that security of usage is given (i.e. access for selected users with a concrete research project to the parts of the dataset needed for the research). Linking to other datasets in the RCF will be realized via the RISIS registers (providing the respective identifiers to the registers in RISIS Patent). Technical issues for

¹⁰ Harmonizing names and allocation of assignee sectors in Patstat raw data was done by ECOOM (K.U. LEUVEN; http://www.ecoom.be/en/EEE-PPAT).





incorporation of RISIS Patent into RCF (e.g. database system, how can a user access which parts of the dataset, etc.) are to be defined in close cooperation with WP4 beginning with autumn.

4 Scientific use and main references

RISIS Patent is an accessible and rich data source via RISIS for research activities in the production of knowledge using patent data. It allows studying the dynamics of knowledge creation along different dimensions: space, actors and technologies.

Thanks to its links with other RISIS facilities, Risis Patent enables to access to these dimensions at a coarse level or at a fine grained level using either usual classification (for technologies, geography) or designing ad-hoc data subsets of patents in specific topics of inventions, for a particular type of institutions in given geographical spaces.

It had been recently used to:

.Observe the distribution and location of the inventive activities of a group of European public research centres in the field of marine biotechnology (the EMBRIC project)

.Analyse the exploitation of new knowledge in specific industries (pharmaceutical and chemical industries), done by researcher from Universită Paris-Est Marne-la-Vallăe

.Explore the Inventive Productivity of Multinational Firms using non parametric modelling (Conditional Efficiency Analysis)

.Analyse of the internationalisation of applied knowledge production with a focus on special countries (Israel, central European countries)

Recent References

Laurens, P., Le Bas, C., Schoen, A. (2018), Worldwide IP coverage of patented inventions in largepharmafirms: to what extent do the internationalisation of R&D and firm strategy matter? Submitted to the International Journal of Technology Management

Laurens, P., Le Bas, C., Lhuillery S., Schoen, A., (2018) Firm specialisation in clean energy technologies: the influence of path dependence and technological diversification. Revue dăconomie Industrielle, n°164 (4eme trimestre 2018)

"Evolving technological capabilities of firms; Complexity, divergence, and stagnation" Antoine Schoen²Patricia Laurens¹, Alfredo Yegros³, Philippe Larйdo^{4,5} STI conference Paris September, 2017

Gaston Heimeriks, Antoine Schoen, Patricia Laurens, Alfredo Yegros and Dieter Franz Kogler Knowledge, networks and proximities - An analysis of knowledge dynamics in the Chemical and Pharmaceutical and Biotechnology sectors Eu-spri 2018 conference Paris 2018

Laurens Patricia, Antoine Schoen, Pierluigi Toma and Cinzia Daraio Exploring the Innovative Efficiency of Big Multinational Firms through Conditional Efficiency Analysis

STI 2018, Leiden (Netherlands) 12-14 September















Nordisk institutt for studier av innovasjon, forskning og utdanning

Universiteit Leiden









Appendix







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The very first filing of a patent application that aims at protecting a novel invention, also known as a priority patent, is considered as a promising type of document for analysing the dynamics of knowledge creation in the field of technology (de Rassenfosse et al., 2013).

If most of the worldwide priority patent applications included in the PATSTAT database are the published patents, there is an additional group of patents, classified as «artificial patents that are not part of the EPO database. The artificial priority patents are priority patents cited in further patent extensions included in the PATSTAT database but for these patents the application was not identified with 100% certainty by EPO.

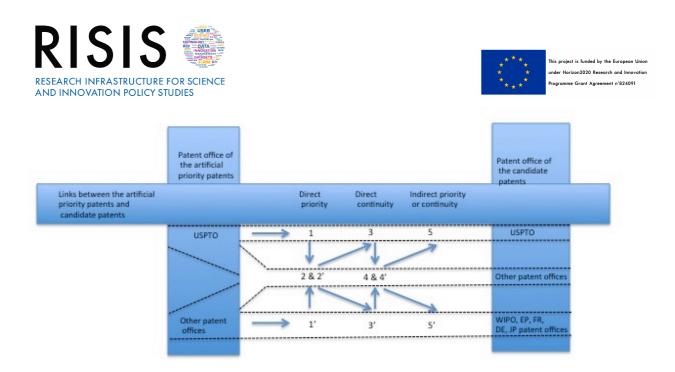
An artificial priority patent in its original state contains very scarce information. The only information included in the Patent database provided by EPO for these documents relates to the patent office where the artificial priority patent has been applied for, the date and the type of the application and whether the patent has been cited as a priority patent or through another type of citation. All the other information, which is usually included in fully documented patent documents, is missing: the technology domains, the inventors and applicants addresses and names, the title and the abstract of the patent application.

In RISIS Patent, we fill both the applicants and the inventors names and addresses but also of IPC codes in the artificial priority patents based on the identification and use of this piece of information retrieved from a non artificial patent belonging to the same INPADOC family. To select the candidate from which information is retrieved, a set of sequential rules is defined in order to select a candidate patent as close as possible to the artificial one. The criteria relate to the type of information available in the candidate patent, the nature of the priority link between the artificial patent and the selected candidate patent, the time lag between the two applications and the patent offices. In order to be considered as a potential candidate, the patent must contain information concerning addresses, either the inventors addresses or the applicants addresses or both. A candidate with a direct priority link with the artificial patents is selected first (from table tls204 of the PATSTAT database). In absence of such a link, a candidate with a direct continuity link is selected (continuation, division/continuation in parts/internal continuities in table tls 216). At last, candidate patents with indirect links are selected. Besides the type of links, we also consider the time lag between the artificial and the candidate patents. For two candidates with the same link, we select the candidate with a date of filing closest to the filing date of the artificial patent (the maximum authorised time lag is fixed to five years). Finally, we give a higher priority to US candidates to fill US artificial patents. For non US artificial patent applications, candidates filed as PCT, or EP, JP, FR, DE received the highest priority. A schematic view of the rules of selection of candidates chosen for replenishing artificial patents is presented in figure A1.

As soon as a candidate patent is selected, its information related to the names and addresses and the IPC codes is used to fill the artificial patent. This procedure made possible to propagate information from a candidate patent in 99.3% of the artificial priority patents filed between 1995 and 2010

These high retrieval percentages show that the filling step of artificial patents was very effective. It thus provides a better coverage of the overall inventive activities when using the priority patents, in particular in patent offices where the share of artificial patents is high (EPO, USPTO patent offices in India or Australia).

Figure A1: Schematic description of the different steps to fill inventors and applicants addresses in artificial priority patents.



Scripts are shown in https://github.com/cortext/PATSTAT/blob/master/artificial/README.md

Reference:

de Rassenfosse, G., Dernis, H., Guellec, D., Picci, L., van Pottelsberghe de la Potterie, B. (2013). The worldwide count of priority patents: a new indicator of inventive activity. Research Policy 42, 720-737.





This project is funded by the European Union under Horizon2020 Research and Innovation Programme Grant Agreement n°824091

One of the main goals in our research activities is the study and analysis on the dynamics of R&D and innovations made by legal entities, such as corporations, universities, research centers and in general every class of entity that do not fit into the categorization of natural person. Considering the above, we have worked with the data contributed by PATSTAT to start with the data restructuring in order to begin on the classification process, in this way we have defined two entities classes: legal and person. A third one unknown contains the cases where it was not possible to allocate a type to the applicant.

In the entities that can be found within the PATSTAT applicants coexist a large proportion of homonym names, for instance, the word 'Ford' may be tagged as a company or as an individual, which means that, using a direct approach of detection where several functions that implement gazetteers and by combing regular expressions, could lead in a low quality results for the categorization of legal entities and individuals. Another ambiguity that we had to face to was for companies names that do not have any corporate ending and consequently is not likely that we are able to label those entities with just a dictionary list of legal suffix.

Therefore, we turn the approach of the solution, instead of merely doing a direct match of terms we used an heuristic approach in the patent context in order to separate the different entities into three subsets named as 'probably legal', 'probably individual' and 'ambiguous'. The allocation of each entity is designated by a series of methods and rules that are relay on not only on the used of gaztteers but on the characterization of the applicants through the relation with the patent, besides some simple lexical identifiers. Details of the methodology are described in:

https://github.com/cortext/PATSTAT/tree/master/Actors

Results are shown below. Almost 1/3 applicants are persons. They are present in 23% of the patents applications either alone (15% of the applications) or as co-applicant of legal entities (8%).

Type of applicants	Number of applicants	Share of applicants
Undefined	166,834	0,8%
Legal	14,355,395	67,8%
Person	6,646,629	31,4%
Total	21,168,858	100,0%

Table A2-1: Distribution of applicants according to the type of applicants

Table A2-2: Distribution of type of applicants in priority patent applications

Type of applicant	Number of patents including the type of applicants	Share of patents including the type of applicants
Undefined	154,161	1,0%
Legal	13,333,585	84,3%





Person	3,625,856	22,9%
Total patents	15,824,851	100%





Appendix 3: Classification of patent technologies

Table A-3: Definition of the Domains, fields and subfields classification

Label domaines	field s	Label fields	sfiel ds	Label subfields	ірс	not_ ipc	not_ appln _id
		Electrical					
		machinery,					
Electrical		apparatus,	T01F				
engineering	TF01	energy	01	Lighting	F21		
		Electrical					
		machinery,					
Electrical	TEO1	apparatus,	T02F		11010		
engineering	TF01	energy	01	Properties	H01B		
		Electrical					
Els stuis al		machinery,	TODE				
Electrical	TEO1	apparatus,	T03F	Resistors			
engineering	TF01	energy Electrical	01	Resistors	H01C		
Electrical		machinery,	T04F				
	TF01	apparatus,	01	Magnets	H01F		
engineering		energy Electrical	01	magnets			
		machinery,					
Electrical		apparatus,	T05F				
engineering	TF01	energy	01	Capacitors	H01G		
engineering	1101	Electrical	01	Cupucifors	1010		
		machinery,					
Electrical		apparatus,	T06F				
engineering	TF01	energy	01	Electric Switches	H01H		
chighteering		Electrical					
		machinery,					
Electrical		apparatus,	T07F				
engineering	TF01	energy	01	Discharge Lamps	H01J		
engineering		Electrical					
		machinery,					
Electrical		apparatus,	T08F				
engineering	TF01	energy	01	Electric Incandescent Lamps	нотк		
		Electrical					
		machinery,					
Electrical		apparatus,	T09F				
engineering	TF01	energy	01	Batteries and related	H01M		
- -		Electrical					
		machinery,					
Electrical		apparatus,	T10F	Electrically-Conductive			
engineering	TF01	energy	01	Connections	H01R		
		Electrical					
		machinery,					
Electrical		apparatus,	T11F				
engineering	TF01	energy	01	Spark Gaps	H01T		
		Electrical					
		machinery,					
Electrical		apparatus,	T12F	Boards For The Distribution Of			
engineering	TF01	energy	01	Electricity	H02		
		Electrical					
		machinery,					
Electrical		apparatus,	T13F				
engineering	TF01	energy	01	Electric Heating	H05B		
Electrical	TF01	Electrical	T14F	Electrical Device stopping	H05C		





AND INNOVATI	ION POLI					
engineering		machinery,	01	human beings		
		apparatus,				
		energy				
		Electrical				
		machinery,				
Electrical		apparatus,	T15F			
engineering	TF01	energy	01	Static Electricity	H05F	
		Electrical				
		machinery,				
Electrical		apparatus,	T16F			
engineering	TF01	energy	01	Other subjects electricity	H99Z	
Electrical		Audio-visual	T01F			
engineering	TF02	technology	02	Displaying Advertising	G09F	
Electrical		Audio-visual	T02F			
engineering	TF02	technology	02	Arrangements For Control	G09G	
Electrical		Audio-visual	T03F	Information Storage Based		
engineering	TF02	technology	02	Record Carrier	G11B	
Electrical		Audio-visual	T04F		H04N	
engineering	TF02	technology	02	Scanning details of television	3	
Electrical		Audio-visual	T05F		H04N	
engineering	TF02	technology	02	Details of television systems	5	
Electrical		Telecommunicati	T06F	,	H04N	
engineering	TF02	ons	02	Television systems	7	
Electrical		Audio-visual	T07F		H04N	
engineering	TF02	technology	02	systems	9	
Electrical		Telecommunicati	T08F		H04N	
engineering	TF02	ons	02	Colour television systems	11	
Electrical		Audio-visual	T09F		H04N	
engineering	TF02		02	Stereoscopic television systems	13	
Electrical		Audio-visual	T10F	Stereoscopic colour television	H04N	
engineering	TF02		02	systems	15	
Electrical		Audio-visual	T11F	Diagnosis for television	H04N	
engineering	TF02		02	systems	17	
Electrical		Audio-visual	T12F		H04N	
engineering	TF02		02	Pictorial Communication	101	
Electrical		Audio-visual	T13F			
engineering	TF02		02	Loudspeakers Microphones	H04R	
Electrical		Audio-visual	T14F			
engineering	TF02	technology	02	Stereophonic Systems	H04S	
Electrical		Audio-visual	T15F			
engineering	TF02		02	Printed Circuits	H05K	
Electrical		Telecommunicati	T01F		licen	
engineering	TF03	ons	03	Transmission Systems	G08C	
Electrical		Telecommunicati	T02F	in anomission by storis		
engineering	TF03	ons	03	Waveguides	H01P	
Electrical		Telecommunicati	T03F			
engineering	TF03	ons	03	Aerials	H01Q	
Electrical		Telecommunicati	T04F			
engineering	TF03	ons	03	Transmission	H04B	
Electrical	1103	Telecommunicati	T05F		1040	
engineering	TF03	ons	03	Broadcas Communication	H04H	
Electrical	1103	Telecommunicati	T06F		10411	
engineering	TF03		03	Multiplex Communication	H04J	
Electrical	1103	ons Telecommunicati	03 T07F		1043	
	TF03		03	Secret Communication	H04K	
engineering Electrical	1103	ons Tolocommunicati	03 T08F		1104K	
	TEO 2	Telecommunicati	03	Tolonhonia Communication		
engineering	TF03	ons Tolocommunicati		Telephonic Communication		
Electrical	TEO O	Telecommunicati	T09F	•	H04N	
engineering	TF03 TF03	ons Telecommunicati	03	of documents Selecting (Switches/Relays)	1 H04Q	
Electrical			T10F	Notocting (Switches / Rolays)		1





		CT STODIES				
engineering		ons	03			
Electrical		Digital	T01F	Transmission Of Digital		
engineering	TF04		04	Information	H04L	
Electrical		Digital	T02F		H04N	
engineering	TF04	-	04	Selective content distribution	21	
Electrical		Digital	T03F		21	
engineering	TF04	communication	04	Wireless Communication	H04W	
engineering	1104		04		1104 W	
F 1 . · 1		Basic	TO 15			
Electrical		communication	T01F			
engineering	TF05	processes	05	Basic Electronic Circuitry	H03	
Electrical		Computer	T01F	Mechanically computed Digital		G06
engineering	TF06	technology	06	Computers	G06	Q
Electrical		Computer	T02F			
engineering	TF06	technology	06	Speech Anal. Or Synth.	G10L	
Electrical		Computer	T03F			
engineering	TF06		06	Static Stores	G11C	
Electrical		IT methods for	T01F			
engineering	TF07	management	07	Data Processing Systems	G06Q	
Electrical	1107	management	T01F	Data Hotessing Systems	5000	
	TEOO	Somiecaductor	101F 08	Somiconductor Devices		
engineering	TF08	Semiconductors		Semiconductor Devices	H01L	<u> </u>
l			T01F			
Instruments	TF09	Optics	09	Optical Elements Systems	G02	
			T02F			
Instruments	TF09	Optics	09	Photograph Apparatus	G03B	
			T03F			
Instruments	TF09	Optics	09	Photographic Processes	G03C	
				Apparatus For Processing		
			T04F			
Instruments	TF09	Optics	09	Materials	G03D	
Instruments	1109	Oplics	T05F	Materials	0030	
	TEOO				C 0 0 F	
Instruments	TF09	Optics	09	Photomechanics of Surfaces	G03F	
		_	T06F			
Instruments	TF09	Optics	09	Surfaces	G03G	
			T07F			
Instruments	TF09	Optics	09	Holography	G03H	
			T08F	Devices Using Stimulated		
Instruments	TF09	Optics	09	Emission	H01S	
			T01F			
Instruments	TF10	Measurement	10	Measuring Length Thickness	G01B	
insir officints	1110	Measurement	T02F	Medsoning Lengin mickness	COID	
Instruments	TEIO	Monurament	102F 10	Monsuring Distances Levels	C01C	
Instruments	TF10	Measurement		Measuring Distances Levels	G01C	<u> </u>
	TELO	-	T03F		0.015	
Instruments	TF10	Measurement	10	Multivariable Measuring	G01D	ļļ
			T04F			
Instruments	TF10	Measurement	10	Measuring Volume Flow	G01F	
			T05F			
Instruments	TF10	Measurement	10	Weighing	G01G	
	1		T06F			
Instruments	TF10	Measurement	10	Measuring Vibrations	G01H	
	v		T07F			
Instruments	TF10	Measurement	1071	Optical Measurements	G01J	
			T08F		0013	
la da como	TELO			A	C 0.11/	
Instruments	TF10	Measurement	10	Measuring Temperature	G01K	
			T09F	5		
Instruments	TF10	Measurement	10	Torque Work	G01L	
			T10F			
Instruments	TF10	Measurement	10	Testing Structures	G01M	
						G01
			T11F1			N
Instruments	TF10	Measurement	0	Chemical Physical Analyses	G01N	33
			-		• •	<u> </u>





Instruments	TF10	Measurement	T12F 10	Measuring Speed Acceleration	G01P
insir onienis		Medsorement	T13F	Medsoning Speed Acceleration	
Instruments	TF10	Measurement	10	Scanning-Probe Techniques	G01Q
			T14F		
Instruments	TF10	Measurement	10	Measuring Electric Variables	G01R
	TELO		T15F		C 010
Instruments	TF10	Measurement	10 T16F	Radio Direction-Finding	G01S
Instruments	TF10	Measurement	10	Geophysics	G01V
	1110		T17F		
Instruments	TF10	Measurement	10	Meteorology	G01W
			T18F		
Instruments	TF10	Measurement	10	Horology	G04
I	TELO		T19F	Dataile Of Instruments	C12D
Instruments	TF10	Measurement	10 T20F	Details Of Instruments	G12B
Instruments	TF10	Measurement	10	Other subjects nucleonics	G99Z
		Analysis of			
		biological	T01F	Material Analysis by	G01N
Instruments	TF11	materials	11	Chem/Phys Properties	33
	7510		T01F		
Instruments	TF12	Control	12	Control Systems in General	G05B
Instruments	TF12	Control	T02F 12	Regulating Non Electric Variables	G05D
insir onienis	1112	Connor	T03F		
Instruments	TF12	Control	12	Regulating Electric Variables	G05F
			T04F		
Instruments	TF12	Control	12	Checking Devices	G07
	7510		T05F		6.00D
Instruments	TF12	Control	12 T06F	Signalling Systems	G08B
Instruments	TF12	Control	100F	Traffic Control Systems	G08G
initian officints	11.12	Connor	T07F		
Instruments	TF12	Control	12	Appliances	G09B
			T08F		
Instruments	TF12	Control	12	Ciphering Apparatus	G09C
	TELO		T09F		C00D
Instruments	TF12	Control Medical	12 T01F	Tables	G09D
Instruments	TF13	technology	13	Surgery-Diagnosis	A61B
		Medical	T02F		
Instruments	TF13	technology	13	Dentistry	A61C
		Medical	T03F		
Instruments	TF13	technology	13	Veterinary	A61D
Instruments	TF13	Medical	T04F 13	Blood Vessel Filters	A61F
instroments	1113	technology Medical	T05F	blood vessel fillers	AOIF
Instruments	TF13	technology	13	Furniture for Patients	A61G
		Medical	T06F		
Instruments	TF13	technology	13	Therapy Apparatus	A61H
		Medical	T07F		
Instruments	TF13	technology	13 TO 0 F	Medical Containers	A61J
Instrumente	TF13	Medical technology	T08F 13	Methods For Sterilising	A61L
Instruments	1113	Medical	13 T09F	,	
Instruments	TF13	technology	13	in Body	A61M
		Medical	T10F	- /	
Instruments	TF13	technology	13	Electrotherapy	A61N
Instruments	TF13	Medical	T11F1	X-Ray Technique	H05G
instruments	1713	meaicai	11151	A-Kay lechnique	





AND INNOVA		technology	3				
					A / 11/		
	TE1 4	Organic fine	T01F		A61K		
Chemistry	TF14	chemistry	14	Cosmetic Preparations	8	-	
Chamister	TELA	Organic fine	T02F		A61Q		
Chemistry	TF14	chemistry	14	Use of Cosmetics	AOIQ		
Chamiatau	TF14	Organic fine	T03F 14	Organia Chamiatru	C07B		
Chemistry	1614	chemistry Organic fine	T04F	Organic Chemistry Acyclic or Carbocyclic	C07B	-	A61K
Chemistry	TF14	chemistry	104F 14	Acyclic or Carbocyclic Compounds	C07C		A (11/
Chemisny	1114	Organic fine	T05F	Compounds	070		A61K
Chemistry	TF14	chemistry	14	Heterocyclic Compounds	C07D		A61K
Chonishy		chonishy	1-7	Compounds with Elts Other	0070		AUIK
		Organic fine	T06F	Than C H Halogen O N S			
Chemistry	TF14	chemistry	14	Se or Te	C07F		A61K
Chonneny		Organic fine	 T07F				AUIK
Chemistry	TF14	chemistry	14	Sugars Nucleotides	C07H		A61K
		Organic fine	T08F				Aoix
Chemistry	TF14	chemistry	14	Steroids	C07J		A61K
Chonneny		Organic fine	 T09F				AUIK
Chemistry	TF14	chemistry	14	Combinatorial Chemistry	C40B		A61K
			T01F	Compounds Of Unknown		1	
Chemistry	TF15	Biotechnology	15	Constitution	C07G		A61K
Chonneny		Diorocimology	T02F				AUIK
Chemistry	TF15	Biotechnology	15	Peptides	C07K		A61K
		2.0.00	T03F				Auto
Chemistry	TF15	Biotechnology	15	Microbiology	C12M		A61K
Chonneny		Diorocimology	T04F		0.2		Aoix
Chemistry	TF15	Biotechnology	15	Culture Media	C12N		A61K
Chonneny		Diorocimology	T05F		0.2.1		AUIK
Chemistry	TF15	Biotechnology	15	Processes	C12P		A61K
		<u> </u>	T06F				7.0 IIC
Chemistry	TF15	Biotechnology	15	Enzymes Or Micro-Organisms	C12Q		A61K
		<u> </u>	T07F	,			7.0 IIC
Chemistry		Biotechnology	15	Micro-Organisms-General	C12R		A61K
,				5			
			T08F	Micro-Organisms To treat solid			
Chemistry	TF15	Biotechnology	15	materials	C12S		A / 11/
Chemisny	1115	biorechnology	T01F		C125		A61K
Chemistry	TF16	Pharmaceuticals	16	Medical Preparations	A61K	A61K 8	
Chemistry		marmaceoncais	T02F		AUIK	8	
Chemistry	TF16	Pharmaceuticals	16	Chemical Compounds	A61P		
Shormany		Macromolecular		ensineer composida	///	+	
		chemistry,	T01F				
Chemistry	TF17	polymers	17	Polysaccharides	C08B		
,		Macromolecular		,		-	
		chemistry,	T02F				
Chemistry	TF17	polymers	17	Treatment Of Rubbers	C08C		
,		Macromolecular			-	1	
		chemistry,	T03F	Macromol with C-to-C			
Chemistry	TF17	polymers	17	Unsaturated Bonds	C08F		
· · · · /		Macromolecular				1	
		chemistry,	T04F	Macromol withouth C-to-C			
Chemistry	TF17	polymers	17	Unsaturated Bonds	C08G		
,		Macromolecular	-			1	
		chemistry,	T05F	Derivatives Of Natural			
Chemistry	TF17	polymers	17	Macromolecules	C08H		
,		Macromolecular				1	
		chemistry,	T06F	Inorg Or Non-Macromolr			
Chemistry	TF17	polymers	17	Organ Subst	C08K		
Chemistry	TF17	Macromolecular	T07F		C08L		
Shoring	1.1.17			UI OI		1	1





AND INNOVA						
		chemistry,	17	Macromolecular Compounds		
		polymers				
			T01F			
Chemistry	TF18	Food chemistry	18	New Plants	A01H	
			T02F			
Chemistry	TF18	Food chemistry	18	Treatment of Dough	A21D	
			T03F			
Chemistry	TF18	Food chemistry	18	Preseving food	A23B	
			T04F			
Chemistry	TF18	Food chemistry	18	Dairy Products	A23C	
			T05F			
Chemistry	TF18	Food chemistry	18	Edible Oils	A23D	
			T06F			
Chemistry	TF18	Food chemistry	18	Coffee and Tea	A23F	
,		,	T07F			-
Chemistry	TF18	Food chemistry	18	Chocolate	A23G	
enerineity			T08F			
Chemistry	TF18	Food chemistry	18	Proteins for Food	A23J	
Chemistry	1110	roou chemistry	T09F		A233	
Chamiatau	TF18	Es a d'ab a mainteux	1096	Fodder	A23K	
Chemistry	ΙΓΙΟ	Food chemistry		rodder	AZJK	
	TELO		T10F		4.001	
Chemistry	TF18	Food chemistry	18	Other Foods	A23L	
			T11F1			
Chemistry	TF18	Food chemistry	8	Brewing Of Beer	C12C	
			T12F			
Chemistry	TF18	Food chemistry	18	Fermented Solutions	C12F	
			T13F			
Chemistry	TF18	Food chemistry	18	Alcoholic Beverages	C12G	
			T14F	Treatment of Alcoholic		
Chemistry	TF18	Food chemistry	18	Beverages	C12H	
			T15F			
Chemistry	TF18	Food chemistry	18	Vinegar	C12J	
			T16F		C13B	
Chemistry	TF18	Food chemistry	18	Production of sugar juices	10	
		· · · ·	T17F		C13B	
Chemistry	TF18	Food chemistry	18	Purification of sugar juices	20	
			T18F		C13B	
Chemistry	TF18	Food chemistry	18	Crystallisation of sugar	30	
enemieny			T19F	Extraction of sucrose from		
Chemistry	TF18	Food chemistry	18	molasses	35	
Chemisny	1110	roou chemistry	T20F	110103363	C13B	
Chemistry	TF18	Food chemistry	18	Drying sugar	40	
Chemistry	1110	roou chemistry	T21F		C13B	
Chamiatau	TE10	Es a d'ab a mainteux		Warking on of ourse	50	
Chemistry	TF18	Food chemistry	18	Working-up of sugar	50	
			TOOF	Subject matter not provided	C120	
	TELO	– – – – – – – – – – – – – – – – – – –	T22F	5 1	C13B	
Chemistry	TF18	Food chemistry	18	subclass	99	
			T23F			
Chemistry	TF18	Food chemistry	18	Sugar Juices	C13D	
			T24F			
Chemistry	TF18	Food chemistry	18	Sugar	C13F	
			T25F			
Chemistry	TF18	Food chemistry	18	Extraction Of Sugar	C13J	
			T26F			
Chemistry	TF18	Food chemistry	18	Synthesis Of Sugars	C13K	
		Basic materials	T01F			
Chemistry	TF19	chemistry	19	Disinfectants	A01N	
,		Basic materials	T02F			
Chemistry	TF19	chemistry	19	Repellants	A01P	
Chemistry	TF19	Basic materials		-	C05	
Chemistry	1117	Busic muleiluis	1031	1611113613		





AND INNOVA	TION POLI			1		
		chemistry	19			
		Basic materials	T04F			
Chemistry	TF19	chemistry	19	Explosives	C06	
		Basic materials	T05F			
Chemistry	TF19	chemistry	19	Organic Dyes	C09B	
		Basic materials	T06F			
Chemistry	TF19	chemistry	19	Dyeing Of Inorganics	C09C	
		Basic materials	T07F			
Chemistry	TF19	chemistry	19	paints and inks	C09D	
a		Basic materials	T08F			
Chemistry	TF19	chemistry	19	Natural Resins	C09F	
a · ·	7510	Basic materials	T09F			
Chemistry	TF19	chemistry	19	Polishing Compositions	C09G	
	TELO	Basic materials	T10F		C0011	
Chemistry	TF19	chemistry	19	Glue Or Gelatine	C09H	
	TELO	Basic materials	T11F1		C001	
Chemistry	TF19	chemistry	9	Adhesives	C09J	
	TELO	Basic materials	T12F	Materials For Miscellaneous	COOK	
Chemistry	TF19	chemistry Rusia	19 T125	Applications Production Of Gas Coke Tar	С09К	
Chandatan	TELO	Basic materials	T13F		C10.0	
Chemistry	TF19	chemistry Basic materials	19 T14F	by distillation	C10B	
Chamiatau	TF19	chemistry	114F 19	We while a line Taw	C10C	
Chemistry	1617	Basic materials	T15F	Working-Up Tar	CIUC	
Chemistry	TF19	chemistry	115F 19	Working-Up Of Peat	C10F	
Chemistry	1117	Basic materials	T16F	Working-op Of Tedi		
Chemistry	TF19	chemistry	19	Cracking Hydrocarbon Oils	C10G	
Chemisny		Basic materials	T17F		0100	
Chemistry	TF19	chemistry	19	Wet Production Of Acetylene	С10Н	
Chemisny		Basic materials	T18F	Production Of Gas From Solid		
Chemistry	TF19	chemistry	19	C-Material	C10J	
Chonishy		Basic materials	T19F	Modifying Combustible Gases		
Chemistry	TF19	chemistry	19	Containing CO	С10К	
enoniony	,	Basic materials	T20F			
Chemistry	TF19	chemistry	19	Fuels	C10L	
		Basic materials				
Chemistry	TF19	chemistry	19	Lubrifiant	C10M	
- /		Basic materials				
Chemistry	TF19	chemistry	19	Lubrifiant indexed	C10N	
- /		Basic materials	T23F			
Chemistry	TF19	chemistry	19	Fats	C11B	
		Basic materials	T24F			
Chemistry	TF19	chemistry	19	Fatty Acids	C11C	
		Basic materials	T25F			
Chemistry	TF19	chemistry	19	Detergent Compositions	C11D	
.		Basic materials	T26F			
Chemistry	TF19	chemistry	19	Other subjects Chemistry	C99Z	
		Materials,	T01F	Casting and Powder		
Chemistry	TF20	metallurgy	20	Metallurgy	B22	
		Materials,	T02F			
Chemistry	TF20	metallurgy	20	Inorganic Chemistry	C01	
		Materials,	T03F			
Chemistry	TF20	metallurgy	20	Glasses	C03C	
		Materials,	T04F			
Chemistry		metallurgy	20	Refractories	C04	
	TF20					
		Materials,	T05F			
Chemistry	TF20	Materials, metallurgy	20	Metallurgy of Iron	C21	
Chemistry	TF20	Materials, metallurgy Materials,	20 T06F			
		Materials, metallurgy	20	Metallurgy of Iron Metallurgy	C21 C22 B05C	





AND INNOVAI	ION POLI	CF STUDIES				
		technology,	21			
		coating				
		Surface				
		technology,	T02F			
Chemistry	TF21	coating	21	Liquid Application Processes	B05D	
		Surface				
		technology,	T03F			
Chemistry	TF21	coating	21	Layered Products	B32	
/		Surface		/		
		technology,	T04F			
Chemistry	TF21	coating	21	Coating Metallic Material	C23	
		Surface				
		technology,	T05F	Electrolytic Or Electrophoretic		
Chemistry	TF21	coating	21	Processes	C25	
Chemistry	1121	Surface	21	110(63363	025	
		technology,	T06F			
Chemistry	TF21	coating	21	Crystal Growth	C30	
Chemistry	IFZI	•	21	Crystal Growth	C30	
		Micro-structural	TO 15			
<u> </u>	TEOO	and nano-	T01F		B 0 1	
Chemistry	TF22	technology	22	Micro-Structural Technology	B81	
		Micro-structural				
		and nano-	T02F			
Chemistry	TF22	technology	22	Nano-Technology	B82	
		Chemical	T01F			
Chemistry	TF23	engineering	23	Boiling	BO1B	
		Chemical	T02F			
Chemistry	TF23	engineering	23	Separation	B01D	
				Evaporating and extraction		
		Chemical	T03F	and separetion and		
Chemistry	TF23	engineering	23	degaseification	B01D 1	
		Chemical	T04F		B01D	
Chemistry	TF23	engineering	23	Separation and Filters	2	
/		Chemical	T05F	•	B01D	
Chemistry	TF23	engineering	23	Distillation	3	
		Chemical	T06F		B01D	
Chemistry	TF23	engineering	23	Regeneration of Filters	41	
Chemistry	1120	Chemical	T07F		B01D	
Chemistry	TF23	engineering	23	Separating Liquids and Solids	43	
chemisny	1120	Chemical	T08F	Separating Elebias and Solias	B01D	
Chemistry	TF23		23	Other Separation	57	
Chemistry	1123	Chemical	23 T09F		B01D	
Chamister	TEOD			Communities of instances		
Chemistry	TF23	engineering	23	Separation of isotopes	59 801D	
	TFOO	Chemical	T10F	Separation apparatus and	B01D	
Chemistry	TF23	engineering	23	processes	6	
-		Chemical	T11F	Semi-permeable membranes	B01D	
Chemistry	TF23	engineering	23	for separation	7	
	1	Chemical	T12F			
Chemistry	TF23	engineering	23	Mixing	B01F	
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ChemistryTF24Environmental technologyTIOF 24Solid Waste and Contaminated B09ChemistryTF24technology24SoilsB09EnvironmentalT11FChemistryTF24technology24Gathering of Domestic RefuseB65FEnvironmentalT12FChemistryTF24technology24Water TreatmentC02EnvironmentalT13FE01FChemistryTF24technology24Absorbing noise from roads8EnvironmentalT14FChemistryTF24technology24Gas-Flow SilencersF01NEnvironmentalT15FChemistryTF24technology24FurnacesF23G		B01D	-	T09F	Environmental		
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ChemistryTF24technology24SoilsB09Image: Environmental ChemistryEnvironmental technology24Gathering of Domestic RefuseB65FImage: Environmental ChemistryEnvironmental T12FImage: Environmental technology24Water TreatmentC02Image: ChemistryTF24technology24Water TreatmentC02Image: Environmental technologyE01FImage: ChemistryTF24technology24Absorbing noise from roads8Image: Environmental technologyImage: Environmental technologyE01FImage: ChemistryTF24technology24Gas-Flow SilencersF01NImage: Environmental technologyImage: Environmental technologyEnvironmental technologyEnvir					-		
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ChemistryTF24technology24Gathering of Domestic RefuseB65FChemistryTF24EnvironmentalT12FChemistryTF24technology24Water TreatmentC02ChemistryTF24technology24Absorbing noise from roads8ChemistryTF24technology24Absorbing noise from roads8ChemistryTF24technology24Gas-Flow SilencersF01NChemistryTF24technology24Gas-Flow SilencersF01NChemistryTF24technology24FurnacesF23G	-		-		• /		,
ChemistryTF24Environmental technologyT12F 24Water TreatmentC02ChemistryTF24technology24Water TreatmentE01F 8ChemistryTF24technology24Absorbing noise from roads8ChemistryTF24technology24Gas-Flow SilencersF01NChemistryTF24technology24Gas-Flow SilencersF01NChemistryTF24technology24FurnacesF23G		B65F	Gathering of Domestic Refuse			TF24	Chemistry
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ChemistryTF24technology24Absorbing noise from roads8EnvironmentalT14FChemistryTF24technology24Gas-Flow SilencersF01NEnvironmentalT15FChemistryTF24technology24FurnacesF23G					ŝ	11 2 4	сполізіт у
ChemistryTF24Environmental technologyTI4F 24Gas-Flow SilencersF01NChemistryTF24technology24Gas-Flow SilencersF03NChemistryTF24technology24FurnacesF23G			Absorbing poise from reads			TE2 4	Chemistry
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ChemistryTF24EnvironmentalT15FChemistryTF24technology24FurnacesF23G		FOIN	Cas Flow Siloneone			TEO 4	Chandiata
Chemistry TF24 technology 24 Furnaces F23G	_	FUIN	Gus-now silencers		ŝ	1724	Chemistry
		F000	E			TFO (
	_	r23G	rurnaces			1524	Chemistry
Environmental T16F						TEA	a
Chemistry TF24 technology 24 Combustion Products F23J		F23J				IF24	Chemistry
Environmental T17F Measuring Nuclear Or X-			5				-
Chemistry TF24 technology 24 Radiation G01T		G01T	Radiation		technology	TF24	
Mechanical T01F							
engineering TF25 Handling 25 Manipulators B25J		B25J	Manipulators		Handling	TF25	
Mechanical T02F							Mechanical
engineering TF25 Handling 25 Packaging Machines B65B		B65B	Packaging Machines		Handling	TF25	engineering
Mechanical T03F				T03F			
engineering TF25 Handling 25 Labelling Machines B65C B65C		B65C	Labelling Machines	25	Handling	TF25	engineering



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AND INNOVATI	UN POLI	CT STUDIES	1		
Mechanical			T04F	Containers for Storage of	
engineering	TF25	Handling	25	Articles	B65D
Mechanical			T05F		
engineering	TF25	Handling	25	Transport of Storage Devices	B65G
Mechanical			T06F		
engineering	TF25	Handling	25	Handling Thin Material	B65H
Mechanical			T07F		
engineering	TF25	Handling	25	Lifting	B66
Mechanical		ÿ	T08F	5	
engineering	TF25	Handling	25	Opening Bottles	B67
Mechanical		j	T01F	Protection against Fire and	
engineering	TF26	Machine tools	26	Chemicals	A62D
Mechanical			T02F		
engineering	TF26	Machine tools	26	Mechanical Metal-Working	B21
Mechanical	1120	Machine 10013	T03F		
engineering	TF26	Machine tools	26	Machine Tools	B23
Mechanical	1120	Muchine 1001s	704F		B23
	TEO 4	Marchine to als	104F 26	Crieding and Balishing	B24
engineering	TF26	Machine tools		Grinding and Polishing	B24
Mechanical	TEO /		T05F		
engineering	TF26	Machine tools	26	Tools Or Benches	B25B
Mechanical			T06F		
engineering	TF26	Machine tools	26	Nailing Or Stapling Tools	B25C
Mechanical			T07F		
engineering	TF26	Machine tools	26	Percussive Tools	B25D
Mechanical			T08F		
engineering	TF26	Machine tools	26	Multi-Purpose Tools	B25F
Mechanical			T09F		
engineering	TF26	Machine tools	26	Handles For Hand Implements	B25G
Mechanical			T10F		
engineering	TF26	Machine tools	26	Workshop Equipment	B25H
Mechanical			T11F	· · ·	
engineering	TF26	Machine tools	26	Other Hand-Held Cutting Tools	B26B
Mechanical			T12F	5	
engineering	TF26	Machine tools	26	Cutting	B26D
Mechanical			T13F		
engineering	TF26	Machine tools	26	Perforating	B26F
Mechanical				lonoranig	
engineering	TF26	Machine tools	26	Working Wood	B27
Mechanical	1120	Machine 10013	T15F	Working Wood	
engineering	TF26	Machine tools	26	Presses	B30
Mechanical	1120		701F		B30
	TEOT	Engines, pumps,		0	FOID
engineering	TF27	turbines	27	Displacement	F01B
Mechanical	TEOT	Engines, pumps,	T02F	Biston Marshiel O. F.	E01C
engineering	TF27	turbines	27	Piston Machines Or Engines	F01C
Mechanical		Engines, pumps,	T03F	5	
engineering	TF27	turbines	27	Displacement	F01D
Mechanical		Engines, pumps,	T04F		
engineering	TF27	turbines	27	Steam Engine Plants	F01K
Mechanical		Engines, pumps,	T05F		
engineering	TF27	turbines	27	Cyclic Machines Or Engines	F01L
Mechanical		Engines, pumps,	T06F	Lubricating Of Machines Or	
engineering	TF27	turbines	27	Engines	F01M
Mechanical		Engines, pumps,	T07F	Cooling Of Machines Or	
engineering	TF27	turbines	27	Engines	F01P
Mechanical	l	Engines, pumps,	T08F		
engineering	TF27	turbines	27	Combustion Engines In General	F02
Mechanical		Engines, pumps,	T09F	Propulsive Machines Or	
engineering	TF27	turbines	27	Engines For Liquids or Wind	F03
Mechanical		Engines, pumps,	110F	Machines For Liquids Pumps	
engineering	TF27	turbines, pomps,	27	Piston	F04
engineering	11 27	10101103	L /	1131011	107





AND INNOVATI	ON POLI				
Mechanical		Engines, pumps,	T11F	Generating Combustion	
engineering	TF27	turbines	27	Products Of High P Or High V	F23R
Mechanical		Engines, pumps,	T12F	Other subjects Engines and	
engineering	TF27	turbines	27	Pumps	F99Z
Mechanical		Engines, pumps,	T13F		
engineering	TF27	turbines	27	Nuclear Eng.	G21
Mechanical		Textile and	T01F		
engineering	TF28	paper machines	28	Methofs for Clothes	A41H
Mechanical		Textile and	T02F		
engineering	TF28	paper machines	28	Repairing Footwear	A43D
Mechanical		Textile and	T03F		
engineering	TF28	paper machines	28	Production of Brushes	A46D
Mechanical		Textile and	T04F		
engineering	TF28	paper machines	28	Working Paper	B31
Mechanical		Textile and	T05F		
engineering	TF28	paper machines	28	Printing	B41
Mechanical		Textile and	T06F	Mechanical Processing Of Skins	
engineering	TF28	paper machines	28	Hides Or Leather	C14B
Mechanical		Textile and	T07F		
engineering	TF28	paper machines	28	Threads or Fibers	D01
Mechanical		Textile and	T08F		
engineering	TF28	paper machines	28	Crimping of Threads or Fibers	D02
Mechanical		Textile and	T09F		
engineering	TF28	paper machines	28	Shedding Mechanisms	D03
Mechanical		Textile and	T10F	5	
engineering	TF28	paper machines	28	Knitting	D04B
Mechanical		Textile and	T11F	5	
engineering	TF28	paper machines	28	Braiding	D04C
Mechanical		Textile and	T12F		
engineering	TF28	paper machines	28	Making Nets	D04G
Mechanical		Textile and	T13F		
engineering	TF28	paper machines	28	Textile Fabrics	D04H
Mechanical		Textile and	T14F		
engineering	TF28	paper machines	28	Sewing	D05
Mechanical		Textile and	T15F	Mechanical Or Pressure	
engineering	TF28	paper machines	28	Cleaning of Textile	D06G
Mechanical		Textile and	T16F	Marking Inspecting Seaming	
engineering	TF28		28	Or Severing Textile	D06H
Mechanical				Pleating Kilting Or Goffering	
engineering	TF28	paper machines	28	Textile	D06J
Mechanical		Textile and	T18F		
engineering	TF28	paper machines	28	Other Treatments	D06M
Mechanical		Textile and	T19F		
engineering	TF28	paper machines	28	Dyeing Or Printing Textiles	D06P
Mechanical		Textile and	T20F	Systing of frinning learnes	
engineering	TF28	paper machines	28	Decorating Textiles	D06Q
Mechanical	1120	Textile and	721F	Decording textiles	
engineering	TF28	paper machines	28	Paper Making	D21
Mechanical	11 20	Textile and	722F	Other Subjects textiles and	
engineering	TF28	paper machines	122F 28	papers	D99Z
Mechanical	1120	Other special	20 T01F	haher 2	
engineering	TF29	machines	29	Soil Working	A01B
Mechanical	11 2 7	Other special	29 T02F		
	TF29	machines	102F 29	Planting	A01C
engineering	1127		29 T03F	Planting	AUIC
Mechanical	TEOO	Other special	103F 29	Harvostina	
engineering	TF29	machines		Harvesting	A01D
Mechanical	TEOO	Other special	T04F	Hamponto d. Produces	A 01E
engineering	TF29	machines	29 T055	Harvested Produce	A01F
Mechanical	TEAA	Other special	T05F		
engineering	TF29	machines	29	Horticulture	A01G





AND INNOVATI	ON POLI		-		^ * ^	
Mechanical		Other specie				
engineering	TF29	machines	29	Production of Dairy Products	A01J	
Mechanical		Other specie	I TO7F			
engineering	TF29	machines	29	Husbandry	A01K	
Mechanical		Other specie	I TO8F			
engineering	TF29	machines	29	Shoeing Of Animals	A01L	
Mechanical		Other specie				
engineering	TF29	machines	29	Traps for animals	A01M	
Mechanical	/	Other specie				
engineering	TF29	machines	29	Baking	A21B	
Mechanical		Other specie			7.210	
engineering	TF29	machines	29	Dough	A21C	
Mechanical	1127	Other specie		Dough	ALIC	
engineering	TF29	machines	29	Treatment of Meat	A22	
Mechanical	11 2 7			Trediment of Medi	AZZ	
	TEOO				4.0.0.1	
engineering	TF29	machines	29	Process of Harvests	A23N	
Mechanical	TEOO	Other specie				
engineering	TF29	machines	29	Working Of Foodstuffs	A23P	
Mechanical		Other specie				
engineering	TF29	machines	29	Preparing Grain and Fruit	B02B	
Mechanical		Other specie				
engineering	TF29	machines	29	Working Cement or Stone	B28	
Mechanical		Other specie				
engineering	TF29	machines	29	Working of Plastics	B29	
Mechanical		Other specie		Other Micro and Nao		
engineering	TF29	machines	29	Technology	B99Z	
Mechanical		Other specie	I T19F			
engineering	TF29	machines	29	Manufacturind or Shaping	C03B	
Mechanical		Other specie	I T20F			
engineering	TF29	machines	29	Processes Of Compounding	C08J	
Mechanical		Other specie	I T21F			
engineering	TF29	machines	29	Pitching Machines	C12L	
				Reducing the size of material		
Mechanical		Other specie	I T22F		C13B	
engineering	TF29	machines	29	extracted	5	
ongineering		indennos	- /	Expressing water from	•	
Mechanical		Other specie	I T23F		C13B	
engineering	TF29		29	been extracted	15	
Mechanical	1127	Other specie		Evaporating or boiling sugar	C13B	
engineering	TF29	machines	29	juices	25	
Mechanical	11 2 7			•	23 C13B	
	TF29					
engineering	1624	machines	29	adapted for sugar	45	
Mechanical	TEOO	Other specie			C12C	
engineering	TF29	machines	29	Sugar Production	C13C	
Mechanical	TF0 -	Other specie				
engineering	TF29	machines	29	Evaporation Apparatus	C13G	
Mechanical		Other specie				
engineering	TF29	machines	29	Cutting of Sugar	C13H	
Mechanical		Other specie				
engineering	TF29	machines	29	Weapons	F41	
Mechanical		Other specie				
engineering	TF29	machines	29	Ammunitions Blasting	F42	
		Thermal				
Mechanical		processes and	TO1F			
engineering	TF30	apparatus	30	Steam generation	F22	
l č č	l	Thermal		ž		
Mechanical		processes and	T02F	Combustion Apparatus Using		
engineering	TF30	apparatus	30	Solid Fuel	F23B	
Mechanical		Thermal	T03F			
engineering	TF30	processes and		Fluent Fuel	F23C	





AND INNOVAT	ION POL						-	
		apparatus						
		Thermal						
Mechanical		processes	and	T04F				
engineering	TF30	apparatus		30	Burners	F23D		
		Thermal						
Mechanical		processes	and	T05F				
engineering	TF30	apparatus		30	Grates	F23H		
		Thermal						
Mechanical		processes	and	T06F	Feeding Fuel To Combustion			
engineering	TF30	apparatus		30	Apparatus	F23K		
<u> </u>		Thermal						
Mechanical		processes	and	T07F				
engineering	TF30	apparatus		30	Air Supply	F23L		
0 0		Thermal						
Mechanical		processes	and	T08F				
engineering	TF30	apparatus		30	Combustion Chambers	F23M		
engineering		Thermal		••				
Mechanical		processes	and	T09F				
engineering	TF30	apparatus	anu	30	Controlling Combustion	F23N		
engineering		Thermal				12013		
Mechanical		processes	and	T10F				
engineering	TF30	•	unu	30	Extinguishing Devices	F23Q		
engineering	1130	apparatus Thermal		50	Exinguishing Devices	1230		
Mechanical		processes	لمصم	TIIF				
	TEOO	•	and		Demostic Starrey For Colid Frede	EO 4		
engineering	TF30	apparatus		30	Domestic Stoves For Solid Fuels	F24		
		Thermal		T10				
Mechanical	TF0 0	processes	and	T12F		50 5 D		
engineering	TF30	apparatus		30	Refrigeration Systems	F25B		
		Thermal						
Mechanical		processes	and	T13F				
engineering	TF30	apparatus		30	lce	F25C		
		Thermal						
Mechanical		processes	and	T14F				
engineering	TF30	apparatus		30	Furnaces ovens	F27		
		Thermal						
Mechanical		processes	and	T15F				
engineering	TF30	apparatus		30	Heat Exchange	F28		
Mechanical		Mechanical		T01F				
engineering	TF31	elements		31	Fluid Pressure Actuator	F15		
Mechanical		Mechanical		T02F				
engineering	TF31	elements		31	Engineering Elts or Units	F16		
Mechanical	1	Mechanical		T03F	Stroring Distributing Non			
engineering	TF31	elements		31	Solids	F17		
Mechanical	· · · ·	Mechanical		T04F				
engineering	TF31	elements		31	Mechanical Control Systems	G05G		
Mechanical		51611161113		T01F	Sector Connor Oystonis			
engineering	TF32	Transport		32	Vehicles	B60		
Mechanical	11.52	nunsport		32 T02F		500		
	TF32	Transport		32	Pailways	B61		
engineering	1132	Transport		32 T03F	Railways	DOI		
Mechanical	TEDO	Tanaa			Land Valide -	D40		
engineering	TF32	Transport		32	Land Vehicles	B62		
Mechanical	TEO O	- .		T04F		D/02		
engineering	TF32	Transport		32	Ships	B63B		
Mechanical		_		T05F				
engineering	TF32	Transport		32	Launching of Vessels	B63C		
Mechanical				T06F				
		Ta and a second		32	Weapons on Vessels	B63G		
engineering	TF32	Transport			Weupons on Vessels	8000		
Mechanical	TF32	Iransport		T07F		2000		
	TF32 TF32	Transport			Marine Propulsion	B63H		





AND INNOVAT	ION POLI	CY STUDIES	1			
engineering			32			
Mechanical			T09F			
engineering	TF32	Transport	32	Aircraft	B64	
		•	T01F	Furniture and Domestic		
Other fields	TF33	Furniture, games	33	Equipment	A47	
		, , , , ,	T02F			
Other fields	TF33	Furniture, games	33	Sports and Games	A63	
		Other consumer	T01F			
Other fields	TF34		34	Tobacco	A24	
		Other consumer	T02F		7.24	
Other fields	TF34		34	Shirts	A41B	
Officer fields	1134	Other consumer	T03F		7410	
Other fields	TF34		34	Corsets	A41C	
Other fields	1134	goods Other	54 T04F	Corsets	A4IC	
	TEO	Other consumer	-		A 41D	
Other fields	TF34	0	34	Outerwear	A41D	
		Other consumer	T05F			
Other fields	TF34	goods	34	Suspenders	A41F	
		Other consumer	T06F			
Other fields	TF34	goods	34	Wigs	A41G	
		Other consumer	T07F			
Other fields	TF34	goods	34	Headwear	A42	
		Other consumer	T08F			
Other fields	TF34	goods	34	Footwear	A43B	
-		Other consumer	T09F			
Other fields	TF34	goods	34	Laces	A43C	
		Other consumer	T10F			
Other fields	TF34		34	Fasteners and Braselets	A44	
	1104	Other consumer	T11F		777	
Other fields	TF34		34	Hand or Travelling Articles	A45	
	1134	•	T12F	Thank of Travelling Articles	A4J	
	TEO	Other consumer		P. L.	A 4 4 D	
Other fields	TF34	0	34	Brushes	A46B	
	TEO 4	Other consumer	T13F			
Other fields	TF34	0	34	Methods For Life-Saving	A62B	
		Other consumer	T14F	Other Life saving and		
Other fields	TF34	•	34	Amusement	A99Z	
		Other consumer	T15F			
Other fields	TF34	goods	34	Bookbinding	B42	
		Other consumer				
Other fields	TF34	goods	34	Writing Implements	B43	
		Other consumer	T17F			
Other fields	TF34	goods	34	Decorative Arts	B44	
		Other consumer	T18F			
Other fields	TF34	goods	34	Saddlery and Upholstery	B68	
		Other consumer	T19F	,		
Other fields	TF34		34	Trimmings	D04D	
		Other consumer	T20F	Y Y		
Other fields	TF34	goods	34	Laundering	D06F	
	1 .	Other consumer	T21F			
Other fields	TF34	goods	34	Wall Floor Covering	D06N	
		Other consumer	T22F	the second secon		
Other fields	TF34	goods	34	Rope non electric cable	D07	
	1104	Other consumer	T23F		507	
Other fields	TF34		34	Cooling Or Freezing Apparatus	F25D	
	1134		54 T24F		1230	
Other foll	TEO 4			One and Hammer and	C 10.D	
Other fields	TF34	goods	34	Organs Harmoniums	G10B	
	TEC	Other consumer	T25F	D .	C 10.0	
Other fields	TF34	goods	34	Pianos	G10C	
		Other consumer	T26F			
Other fields	TF34	goods	34	Musical Instruments	G10D	
Other fields	TF34	Other consumer	T27F	Automatic Musical Instruments	G10F	





AND INNOVAT	ION POLI	ICY STUDIES				
		goods	34			
		Other consumer	T28F			
Other fields	TF34	goods	34	Aids For Music	G10G	
		Other consumer	T29F	Electrophonic Musical		
Other fields	TF34	3	34	Instruments	G10H	
		Other consumer	T30F			
Other fields	TF34	goods	34	Sound-Producing Devices	G10K	
			T01F			
Other fields	TF35	Civil engineering	35	Permanent ways	EO1B	
			T02F	Surfaces for roads and sport		
Other fields	TF35	Civil engineering	35	grounds	E01C	
			T03F			
Other fields	TF35	Civil engineering	35	Bridges	E01D	
	TEO E	<u>.</u>	T04F			
Other fields	TF35	Civil engineering	35	Platforms or refuge islands	E01F 1	
			T05F		E01F	
Other fields	TF35	Civil engineering	35	Landing for helicopters	3	
	TF0 F	<u>.</u>	T06F		EO1F	
Other fields	TF35	Civil engineering	35	Draining of roads	5	
	TEOE	C' 1	T07F	5	E01F	
Other fields	TF35	Civil engineering	35 T08F	drifts	7	
Othern Calif	TEOF			Dead since an traffic since le	E01F 9	
Other fields	TF35	Civil engineering	35 T09F	Road signs or traffic signals Sensitive and restricitng and	9	
Other fields	TF35	Civil engineering	35	safety in roads	E01F 1	
Other helds	11-3-5	Civil engineering	35 T10F	salely in rodas		
Other fields	TF35	Civil engineering	35	Street Land Cleaning	E01H	
Other helds	11-3-5	Civil engineering	35 T11F	Hydraulic Eng. Foundations	EVIN	
Other fields	TF35	Civil engineering	35	Soil-Shifting	E02	
	1135		T12F	Join-Jinning	202	
Other fields	TF35	Civil engineering	35	Water supply sewerage	E03	
	1135		T13F	marei soppiy seweruge	205	
Other fields	TF35	Civil engineering	35	Building	E04	
	1135		T14F	Donany	204	
Other fields	TF35	Civil engineering	35	Locking Safing	E05	
	1100		T15F		200	
Other fields	TF35	Civil engineering	35	Openings in Building Ladder	E06	
			T16F			
Other fields	TF35	Civil engineering	35	Earth Or Rock Drilling	E21	1
			T17F			
Other fields	TF35	Civil engineering	35	Other Subjects Building	E99Z	
					· · · · —	

Appendix 4: Building description for International Patent Classification

Patents have fine grained information to describe the technologies that are combined by the applications. The International Patent Classification (IPC) is a hierarchical<u>patent</u> classificationsystem used to classify the content of <u>patents</u> in a uniform manner.

with approximately 70 000 subdivisions ¹¹. Each subdivision is described with a short text that we have collected.

Each classification symbol is of the form «A01B 1/00 . The first letter represents the "section" consisting of a letter from A ("Human Necessities") to H ("Electricity"). Combined with a two digit number, it represents the "class" (class A01 represents "Agriculture; forestry; animal

¹¹ https://www.wipo.int/classifications/ipc/en/





husbandry; trapping; fishing"). The final letter makes up the "subclass" (subclass A01B represents "Soil working in agriculture or forestry; parts, details, or accessories of agricultural machines or implements, in general"). The subclass is followed by a one-to-three-digit "group" number, an oblique stroke and a number of at least two digits representing a "main group" or "subgroup" (reference https://en.wikipedia.org/wiki/International_Patent_Classification)

For each classification symbol we have concatenated the description of all levels, rebuilding the IPC hierarchy. Each patent receives the concatenated description of different levels of its IPC codes.

A01B 1/00will be described as: Soil working in agriculture or forestry; parts, details, or accessories of agricultural machines or implements, in general. Agriculture; forestry; animal husbandry; trapping; fishing. Human Necessities.

Details on the used methodology is given in: https://github.com/cortext/PATSTAT/tree/master/nomenclatures/ipc_descriptions





Appendix 5: Data model of PATSTAT2017

The data model shown below is the model of the PATSTAT 2017 database.

