

Legal Status Category (LSC2) and Legal Status Event Class (LSEC) in INPADOCDB and INPAFAMDB

Worldwide legal status searching is a challenging task as various event codes from different countries need to be searched for a particular legal request. Also a systematic search for one legal event has to consider all legal status event codes, taking into account that definitions of codes can change and new codes may be added. Sophisticated strategies and a deep understanding of the patent procedures of different authorities are necessary in order to obtain comprehensive search results.

Legal Status Category (LSC2)

FIZ Karlsruhe's editorial team has reviewed more than 4200 legal status codes and assigned each code to a **Legal Status Category**, indexed in the field **/LSC2**. Legal status event codes are grouped in 22 legal status categories, e.g. WTH (Withdrawal, Refusal, etc.), CHG (Change of Owner, Inventor, Applicant) or ORE (Opposition, Reexamination, Appeal). 22 Legal Status Categories are based on European Patent Office's specification, 5 legal status categories are derived from the bibliographic data.

Code, text and description of Legal Event Categories in field LSC2

Code	Text	Description
CHG	Change of Owner, Inventor, Applicant	Change of applicant or owner, as well as changes of their names or/and addresses
CLA	Change, Removal or Addition of Classifications	Change, removal or addition of the IPC-classification of the patent or its application
COR	Correction, Amendment, Modification in Specification	Correction and amendments in the text of the patent specification. NOT INCLUDED: Changes in the Register or the bibliographic data or changes and deletions of former legal events
DIV	Divisional and Additional Applications	Information that a division, addition etc. from the parent (original) patent can be found in this category
ENP	Entry into National Phase	Entry of a patent from a regional patent office (EP, EA) into national phase; information that a translation was sent to a national office. Entry of PCT applications into regional or national phase
ERR	Erratum	Correction or deletion of former legal events (sometimes also of events that were not part of original datasets)
EXA	Examination, Search Report	Procedural steps during the lifetime of the patent (search and examination) in patent offices. NOT INCLUDED: Time extension for special procedures, invalidations during examination procedure or time extensions
EXP	Expiry	Patents or utility models became invalid when they reached their maximum lifetime. NOTE: Some patent offices classify this kind of invalidation as lapsed
EXT	Time Extension	Time extensions for special procedures during examination as well as time extension for payment of fees or completion of specification
FEE	Fee Payment	Fees that keep the patent or utility model valid have been paid. Confirmation that the patent or utility model was valid on a particular date
LAP	Lapse (Non-Payment of Fees)	Patents or utility models or their applications became invalid due to non-payment of the due fees. NOTE: After a lapse, patents can be validated (reinstated) by late fee payments

Code	Text	Description
LIC	Licensing	Offers to license patents or utility models; beginning or termination of a license; change of licensee, any known kind of exploitation rights by a third party
LIM	Nullification of Parts of Rights, Limitation	The validity of patents or utility models have been limited, e.g. exclusion of certain claims. Also patents that have been limited through the opposition procedure
MIS	Miscellaneous or Ambiguous	Events that do not fall into any of the previously listed categories OR those that could be assigned to two or more categories AND other events when the category is unclear
NEN	Non-entry into national phase (WO)	Non-entry events of PCT applications into regional or national phase
NOP	No Opposition or Appeal	Decision whether opposition, appeal or nullity proceedings are refused or rejected
ORE	Opposition, Reexamination, Appeal	Events in the opposition phase include filing, rejection, re-examination, proceedings, appeal to patent courts, etc. NOT INCLUDED: Decision of rejection or limitation of patents in the opposition phase
PUB	New or Withdrawn Publication	Publication and republication of the patent text (if this publication is not included in the bibliographic data) as well as withdrawals of a former publication
REI	Reinstatement or Restoration	Patents or utility models previously invalidated have become valid again (e.g. late payment of annual fees, etc.)
REP	Change of Representative	Announcement of the change of representative (agent), as well as changes of their names and/or addresses
SPC	Supplementary Protection Certificate, Term Extension	Application, grant, withdrawal, expiry, etc. for a prolonged industrial property right of a patent or of a product from a patent, i.e. all procedural steps of SPCs, incl. their invalidations
WTH	Withdrawal, Refusal, etc.	Patents or utility models became invalid for reasons other than non-payment of the required fees or reaching the maximum lifetime. Codes indicating the invalidity after opposition procedure are also included. NOTE: It is possible that an invalid patent will be reinstated at a later stage (e.g. after a decision by the patent court)

Five categories are derived from the bibliographic data, i.e. publication, application, and priority information. The categories GRA, PRE and UKN correspond to the stage in field /STA assigned to a publication, whereas APP und PRI correspond to the application and priority information.

GRA	Grant publication information
PRE	Pre-grant publication information
UKN	Unknown
APP	Patent application
PRI	Priority information

Legal Status Event Class (LSEC)

Based on the WIPO standard ST.27, the EPO has introduced another classification scheme for INPADOC legal events since 2000. For information from the EPO see <https://www.epo.org/searching-for-patents/helpful-resources/first-time-here/legal-event-data/inpadoc-classification-scheme.html> .

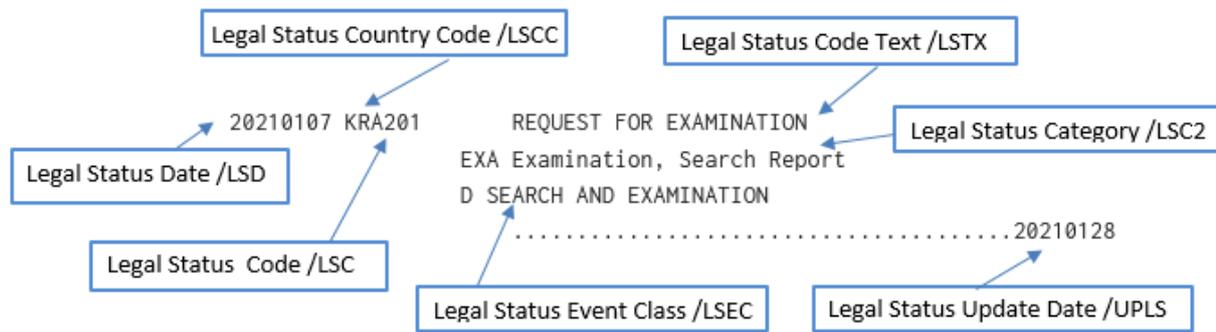
These categories are indexed in the field **Legal Status Event Class (/LSEC)**.

Code, text and description of Legal Event Classes in field LSCEC

Code	Text	Description
A	Application filing	Legal events related to the filing of an application for patent or utility model protection.
B	Application discontinuation	Legal events related to the discontinuation of an application for patent or utility model protection.
C	Application revival	Legal events related to the revival, reinstatement or restoration of an application for patent or utility model protection after the application was discontinued.
D	Search and examination	Legal events related to the examination procedure and to prior art searches.
E	Pre-grant review request	Legal events related to the request for a pre-grant review.
F	IP right grant	Legal events related to the effective grant of a patent or utility model and/or the entry of the IP right into the register.
G	Protection beyond IP right term	Legal events related to the protection of an IP right beyond its term.
H	IP right cessation	Legal events related to the cessation of an IP right.
K	IP right revival	Legal events related to the reinstatement or restoration of an IP right after its cessation.
L	IP right review request	Legal events related to a request for a review of an IP right after its grant.
M	IP right maintenance	Legal events related to the maintenance of a granted IP right in full or amended form.
P	Re-publication of document after modification	Legal events related to the publication of an application, IP right document or other document after modification of the document, which occurs outside the context of a pre-grant review or IP right review.
Q	Document publication	Legal events related to the publication of a document by the competent patent office.
R	Party data change	Legal related to the recording of changes in party data by the competent patent office.
S	Information on licensing and similar transactions	Legal events related to licensing or similar transactions.
T	Administrative procedure adjustment	Legal events related to the adjustment of an administrative procedure carried out by the competent patent office.
U	Payment	This category is a group of events related to the payment of fees.
V	Appeal	Legal events related to an appeal of a decision made during the application and granting procedure or in the post-grant phase.
W	Other	Legal events which cannot be categorized under any other category.
Y	Correction and deletion of event information	Legal events related to the correction or deletion of event information that the competent patent authority previously provided.
Z	Classification pending	Legal events that could not be categorized yet.

Any changes to the legal status codes are continuously monitored and new codes are captured in the relevant category in both systems.

For each legal status event code both classification systems are displayed like in this example.



The two category systems have a different focus. While the LSC2-categories look more at the individual event, the status of the application during its life cycle is the important criterion for the LSEC-categories. The content of the classification systems is more or less the same in some categories, but for others they differ significantly. Therefore, the classification system can be used alternatively or complementarily depending on the search query.

The following table compares the two systems with recommendations for the search criteria with the highest number of hits. If a combined search is used in order to receive more precise results, the search fields /LSEC and /LSC2 have to be linked with the (L)-proximity.

For example

=> S BASF/PA,PAS AND ORE/LSC2 (L) E/LSEC

combines “Opposition, Reexamination, Appeal” with “Pre-grant review request” whereas

=> S BASF/PA,PAS AND ORE/LSC2 (L) L/LSEC

“Opposition, Reexamination, Appeal” with “IP right review request” and

=> S BASF/PA,PAS AND ORE/LSC2 (L) V/LSEC

“Opposition, Reexamination, Appeal” with “Appeal”.

LSEC Code	LSEC Text	LSC2 Code	LSC2 Text	Search Recommendation
A	Application filing	NEN	Non-entry into national phase (WO)	LSC2 more accurate
		ENP	Entry into National Phase	LSC2 more accurate
		DIV	Divisional and Additional Applications	LSC2 more accurate
B	Application discontinuation	WTH	Withdrawal, Refusal, etc.	combination of LSC2 and LSEC
		NEN	Non-entry into national phase (WO)	LSC2 more accurate
		LAP	Lapse (Non-Payment of Fees)	combination of LSC2 and LSEC
C	Application revival	REI	Reinstatement or Restoration	LSEC more accurate, related to application only
D	Search and examination	EXA	Examination, Search Report	same results
		COR	Correction, Amendment, Modification in Specification	LSC2 more accurate

LSEC Code	LSEC Text	LSC2 Code	LSC2 Text	Search Recommendation
E	Pre-grant review request	ORE	Opposition, Reexamination, Appeal	combination of LSC2 and LSEC
F	IP right grant	MIS	Miscellaneous or Ambiguous	LSEC more accurate
		PUB	New or Withdrawn Publication	combination of LSC2 and LSEC
		ENP	Entry into National Phase	combination of LSC2 and LSEC
G	Protection beyond IP right term	EXT	Time Extension	LSC2 more accurate
		SPC	Supplementary Protection Certificate, Term Extension	LSC2 more accurate
H	IP right cessation	LAP	Lapse (Non-Payment of Fees)	combination of LSC2 and LSEC
		WTH	Withdrawal, Refusal, etc.	combination of LSC2 and LSEC
		EXP	Expiry	LSC2 more accurate
K	IP right revival	REI	Reinstatement or Restoration	LSEC more accurate, excluding application
L	IP right review request	NOP	No Opposition or Appeal	LSC2 more accurate
		ORE	Opposition, Reexamination, Appeal	combination of LSC2 and LSEC
		EXA	Examination, Search Report	combination of LSC2 and LSEC
		REI	Reinstatement or Restoration	combination of LSC2 and LSEC
M	IP right maintenance	NOP	No Opposition or Appeal	LSC2 more accurate
		LIM	Nullification of Parts of Rights, Limitation	LSC2 more accurate
P	Re-publication of document after modification	COR	Correction, Amendment, Modification in Specification	combination of LSC2 and LSEC
		CLA	Change, Removal or Addition of Classifications	combination of LSC2 and LSEC
Q	Document publication	PUB	New or Withdrawn Publication	LSC2 more accurate
		ENP	Entry into National Phase	LSC2 more accurate
		COR	Correction, Amendment, Modification in Specification	LSC2 more accurate
R	Party data change	CHG	Change of Owner, Inventor, Applicant	LSC2 more accurate
		REP	Change of Representative	LSC2 more accurate

LSEC Code	LSEC Text	LSC2 Code	LSC2 Text	Search Recommendation
S	Information on licensing and similar transactions	LIC	Licensing	same results
		MIS	Miscellaneous or Ambiguous	LSEC more accurate
T	Administrative procedure adjustment	EXT	Time Extension	LSC2 more accurate
		EXA	Examination, Search Report	LSC2 more accurate
		REI	Reinstatement or Restoration	LSC2 more accurate
U	Payment	FEE	Fee Payment	same results
		MIS	Miscellaneous or Ambiguous	LSEC more accurate
V	Appeal	ORE	Opposition, Reexamination, Appeal	combination of LSC2 and LSEC
		NOP	No Opposition or Appeal	LSC2 more accurate
		REI	Reinstatement or Restoration	LSC2 more accurate
W	Other	ENP	Entry into National Phase	LSC2 more accurate
		MIS	Miscellaneous or Ambiguous	same results
		EXA	Examination, Search Report	LSC2 more accurate
		LAP	Lapse (Non-Payment of Fees)	LSC2 more accurate
		NEN	Non-entry into national phase (WO)	LSC2 more accurate
		WTH	Withdrawal, Refusal, etc.	LSC2 more accurate
		ORE	Opposition, Reexamination, Appeal	LSC2 more accurate
		FEE	Fee Payment	LSC2 more accurate
Y	Correction and deletion of event information	MIS	Miscellaneous or Ambiguous	LSEC more accurate
		CLA	Change, Removal or Addition of Classifications	combination of LSC2 and LSEC
		COR	Correction, Amendment, Modification in Specification	combination of LSC2 and LSEC
		ERR	Erratum	same results
		EXA	Examination, Search Report	LSC2 more accurate

LSEC Code	LSEC Text	LSC2 Code	LSC2 Text	Search Recommendation
Z	Classification pending	MIS	Miscellaneous or Ambiguous	same results
		FEE	Fee Payment	LSC2 more accurate
		WTH	Withdrawal, Refusal, etc.	LSC2 more accurate
		CHG	Change of Owner, Inventor, Applicant	LSC2 more accurate
		ORE	Opposition, Reexamination, Appeal	LSC2 more accurate
		REI	Reinstatement or Restoration	LSC2 more accurate
		LAP	Lapse (Non-Payment of Fees)	LSC2 more accurate
		EXA	Examination, Search Report	LSC2 more accurate