

Patent Characteristics - Coding Instructions

Last Revised: 8.1.16

PLAINTIFF

Full name of first named plaintiff. String variable (text).

DEFENDANT

Full name of first named defendant. String variable (text).

DISTRICT

The three- or four-letter ECF/PACER abbreviation for the district court. String variable (text).

Format:

- First two letters = U.S. Post Office abbreviation for the state (VA = Virginia)
- Next letter = Geographic designation of the district, if any (N = Northern, E = Eastern, S = Southern, W = Western, C = Central, M = Middle). Omit if the state has only 1 district.
- Final letter = D (for District)

An index of abbreviations (organized by Circuit) is located at the end of this document.

DISTRICT_N

DISTRICT variable encoded for data analysis.

DOCKET

District court docket number for the civil action, following this format: X:YY-CV-ZZZZ (If X blank, use 1). [If multiple civil actions consolidated, use docket number for lead action.]

CITE

Citation for the decision on attorney's fees award. String variable (text).

Format (in order of preference, highest to lowest):

- Cite to the Federal Supplement, Second Series (F. Supp. 2d)
- Cite to Westlaw using this format: [Year] WL [Number].
- Cite to docket entry (Doc. __). Use Bloomberg Law or Lex Machina to access decision.

DATE

Date of district court decision on permanent injunction.

Format: YYYY-MM-DD

YEAR

Year of the district court decision on permanent injunction.

Format: YYYY.

ANDA

Whether this is a case brought under Hatch-Waxman for infringement based on the filing of an Amended New Drug Application ("ANDA").

1 = Yes (ANDA filing)

0 = No

INJUNCTION

Whether district court granted permanent injunction for any infringed U.S. Patent.

1 = Yes (injunction granted)

0 = No (injunction not granted)

PATENT

The patent number of the U.S. patent.

PTOCLASS

The 3-digit PTO Class Number for the U.S. patent. (If multiple PTO Class Numbers, then use the first class number).

<http://www.uspto.gov/web/patents/classification/selectnumwithtitle.htm>

Note: If first PTO Class Number listed in patent is 1, ignore and use the second listed PTO Class Number.

TECH

NBER main Technology Categories for each patent:

- (1) Chemical (excluding Drugs)
- (2) Computers and Communications (C&C)
- (3) Drugs and Medical (D&M)
- (4) Electrical and Electronics (E&E)
- (5) Mechanical
- (6) Others

See Hall, B.H., Jaffe, A.B., and Trajtenberg, The NBER Patent Citation Data File: Lessons, Insights, and Methodological Tools, NBER Working Paper 8498 (2001).

List of NBER Technology Categories for each PTO Class Number (as of 2001):

http://www.nber.org/patents/class_match.txt

Coding for PTO Class Numbers Not Included in NBER Technology Categories:

- (2) Computers and Communications (C&C)

398: Optical communications

715: Data processing: presentation processing of document, operator interface processing, and screen saver display processing

718: Electrical computers and digital processing systems: virtual machine task or process management or task management/control

725: Interactive video distribution systems

726: Information security

TECH7

Same as Tech, except that (3) Drugs and Medical is reclassified as two separate categories:

(3) Medical (Excluding Drugs)

(7) Drugs

PARENT

Number of predecessor U.S. utility patent applications to which the patent claims priority (in the form of continuations, continuations-in-part, and/or divisionals), as disclosed in the patent (see “Cross-Reference to Related Applications”). Each predecessor U.S. utility patent application is assigned a Serial Number.

Please exclude (do not count) the following:

- Foreign patent application filings, EXCEPT for Patent Cooperation Treaty (PCT) applications (which do count).
- U.S. Provisional Patent Applications (these are placeholders for the full U.S. patent application and thus don't count as a parent). These applications have a Serial Number that starts with 60/ or 61/
- U.S. Reissue or Reexamination Applications. These applications have a Serial Number that starts with 90/, 95/, or 96/.

SMALL

Small entity status of patentee. Determined by “Entity Status” on USPTO Public PAIR database.

1 = Small entity

0 = Not small entity

CLAIMS

The number of claims in the patent.

PRIORART

The number of prior art references (patent and non-patent) cited in the first infringed U.S. patent. In Google Patents, add number of “Patent Citations” and number of “Non-Patent Citations.”

FWDCITE

The number of citations to the patent by subsequently-issued U.S. patents as of July 2014.

FWDCITEPERYEAR

The number of citations to the patent by subsequently-issued U.S. patents (as of July 2014), divided by the number of years between the patent's issuance and the present (to control for length of time the patent has been issued).

PRIORITY

The application year of the ultimate parent application of the first infringed U.S. patent. In Google Patents, use "Priority Date."

APPYEAR

The year the patent application was filed.

ISSUEYEAR

The year the patent was issued.

APP2INJUNCTION

The number of years between the filing of the patent application and the permanent injunction decision. (YEAR-APPYEAR)

PROSECUTION

The number of years between the patent application's filing and the patent's issuance.

BUSMETH

Whether the patent is a business method patent.

1 = Yes (at least one business method patent)

0 = No (no business method patent)

CHEMICAL

Generated for data analysis from TECH.

1 = Chemical patent (TECH=1)

0 = Other patent

- (1) Chemical (excluding Drugs)
- (2) Computers and Communications (C&C)
- (3) Drugs and Medical (D&M)
- (4) Electrical and Electronics (E&E)
- (5) Mechanical
- (6) Others

COMPUTERS

Dummy variable generated for data analysis from TECH.

1 = Computer and Communications patent (TECH=2)

0 = All other patents

MEDICALNOTDRUGS

Generated for data analysis from TECH7.

1 = Medical device patent (TECH7=3)

0 = All other patents

ELEC

Dummy variable generated for data analysis from TECH.

1 = Electrical and Electronics patent (TECH=4)

0 = All other patents

MECHANICAL

Dummy variable generated for data analysis from TECH.

1 = Mechanical patent (TECH=5)

0 = All other patents

OTHER

Dummy variable generated for data analysis from TECH.

1 = Other patent (TECH=6)

0 = All other patents (i.e., not classified as Other in TECH)

TXED

Dummy variable generated for data analysis from DISTRICT_N.

1 = Eastern District of Texas (DISTRICT_N=41)

0 = All other districts

DED

Dummy variable generated for data analysis from DISTRICT_N.

1 = District of Delaware (DISTRICT_N=7)

0 = All other districts

CAND

Dummy variable generated for data analysis from DISTRICT_N.

1 = Northern District of California (DISTRICT_N=4)

0 = All other districts

MAD

Dummy variable generated for data analysis from DISTRICT_N.

1 = District of Massachusetts (DISTRICT_N=19)

0 = All other districts

Index of District Court Abbreviations, by Circuit

1st Cir.

District of Maine = MED
District of Massachusetts = MAD
District of New Hampshire = NHD
District of Rhode Island = RID
District of the Virgin Islands = VID

2nd Cir.

District of Connecticut = CTD
Northern District of New York = NYND
Eastern District of New York = NYED
Southern District of New York = NYSD
Western District of New York = NYWD
District of Vermont = VTD

3rd Cir.

District of Delaware = DED
District of New Jersey = NJD
Eastern District of Pennsylvania = PAED
Middle District of Pennsylvania = PAMD
Western District of Pennsylvania = PAWD
District of Puerto Rico = PRD

4th Cir.

District of Maryland = MDD
Eastern District of North Carolina = NCED
Middle District of North Carolina = NCMD
Western District of North Carolina = NCWD
District of South Carolina = SCD
Eastern District of Virginia = VAED
Western District of Virginia = VAWD
Northern District of West Virginia = WVND
Southern District of West Virginia = WVSD

5th Cir.

Eastern District of Louisiana = LAED
Middle District of Louisiana = LAMD
Western District of Louisiana = LAWD
Northern District of Mississippi = MSND
Southern District of Mississippi = MSSD
Northern District of Texas = TXND

Eastern District of Texas = TXED
Southern District of Texas = TXSD
Western District of Texas = TXWD

6th Cir.

Eastern District of Kentucky = KYED
Western District of Kentucky = KYWD
Eastern District of Michigan = MIED
Western District of Michigan = MIWD
Northern District of Ohio = OHND
Southern District of Ohio = OHSD
Eastern District of Tennessee = TNED
Middle District of Tennessee = TNMD
Southern District of Tennessee = TNSD

7th Cir.

Northern District of Indiana = INND
Southern District of Indiana = INSD
Northern District of Illinois = ILND
Central District of Illinois = ILCD
Southern District of Illinois = ILSD
Eastern District of Wisconsin = WIED
Western District of Wisconsin = WIWD

8th Cir.

Eastern District of Arkansas = ARED
Western District of Arkansas = ARWD
Northern District of Iowa = IAND
Southern District of Iowa = IASD
District of Minnesota = MND
Eastern District of Missouri = MOED
Western District of Missouri = MOWD
District of Nebraska = NED
District of North Dakota = NDD
District of South Dakota = SDD

9th Cir.

District of Alaska = AKD
District of Arizona = AZD
Northern District of California = CAND
Eastern District of California = CAED
Central District of California = CACD

Southern District of California = CASD
District of Idaho = IDD
District of Hawaii = HID
District of Montana = MTD
District of Nevada = NVD
District of Oregon = ORD
Eastern District of Washington = WAED
Western District of Washington = WAWD
District of Guam = GUD

10th Cir.

District of Colorado = COD
District of Kansas = KSD
District of New Mexico = NMD
Eastern District of Oklahoma = OKED
Northern District of Oklahoma = OKND
Western District of Oklahoma = OKWD
District of Utah = UTD
District of Wyoming = WYD

11th Cir.

Northern District of Alabama = ALND
Middle District of Alabama = ALMD
Southern District of Alabama = ALSD
Northern District of Florida = FLND
Middle District of Florida = FLMD
Southern District of Florida = FLSD
Northern District of Georgia = GA
Middle District of Georgia = GA
Southern District of Georgia = GA

D.C. Cir.

District of the District of Columbia = DCD