# Design-by-Analogy: Exploring for Analogical Inspiration With Behavior, Material, and Component-Based Structural Representation of Patent Databases

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Design-by-analogy (DbA) is an important method for innovation that has gained much attention due to its history of leading to successful and novel design solutions. The method uses a repository of existing design solutions where designers can recognize and retrieve analogical inspirations. Yet, exploring for analogical inspiration has been a laborious task for designers. This work presents a computational methodology that is driven by a topic modeling technique called non-negative matrix factorization (NMF). NMF is widely used in the text mining field for its ability to discover topics within documents based on their semantic content. In the proposed methodology, NMF is performed iteratively to build hierarchical repositories of design solutions, with which designers can explore clusters of analogical stimuli. This methodology has been applied to a repository of mechanical design-related patents, processed to contain only component-, behavior-, or material-based content to test if unique and valuable attribute-based analogical inspiration can be discovered from the different representations of patent data. The hierarchical repositories have been visualized, and a case study has been conducted to test the effectiveness of the analogical retrieval process of the proposed methodology. Overall, this paper demonstrates that the exploration-based computational methodology may provide designers an enhanced control over design repositories to retrieve analogical inspiration for DbA practice. [DOI: 10.1115/1.4043364]

# 1 Introduction

Designers often seek inspiration and direction during ideation and the early stages of the design process. Among various efforts to find such inspiration is design-by-analogy (DbA) [1]. Designby-analogy involves the retrieval of analogies from a design repository, a "database" of existing design solutions (sometimes simply memory), and the transfer of knowledge from a "source" domain to a "target" domain. To facilitate design-by-analogy in practice, several researchers have studied and developed computational supports to retrieve analogies from electronic patent databases [2,3]. The patent database is deemed an ideal design repository for its innovative ideas across various fields of application and sheer size that grows exponentially worldwide [4]. Unfortunately, our understanding of design-by-analogy practice is inadequate compared to the ever-increasing size of the patent database, restricting designers from being able to utilize the database at its full capacity. To address this research gap, the work presented here uses a computational methodology to explore patents for analogical inspiration, with the goal of facilitating the design-by-analogy practice. Specifically, the work presents following main contributions:

- (1) The authors generate and visualize hierarchical repositories of large-scale mechanical design-related patents in which designers can interactively explore for analogical inspiration.
- (2) The authors generate component-, behavior-, or materialbased hierarchical repositories to provide designers

- (3) The authors test computational methodology for its ability to assist with the identification of analogical inspiration within the generated design repositories using a case study.
- 1.1 Prior Studies in Design-by-Analogy. Design-by-analogy has been an active research area [2,5-8], and studies have focused on understanding the effects of analogies on ideation and design outcomes. Many other researchers have contributed to this area, as described next. Linsey et al. explored how various types of representation of information affect the designers' ability to identify, retrieve, and map analogies to design solutions [9]. Tseng et al. studied how analogous information of different levels of applicability to the design problem affects ideation when the design problem has an open-goal [7]. Several studies also focused on methodologies to retrieve analogies including but not limited to: the WordTree method, which retrieves functional analogies by systematically integrating the knowledge of designers and design database [10]; a computational technique to recognize biological analogies using causally related functions derived from semantic information [11]; D-APPS, which provides functional analogies based on a design's product requirements [12]; a number of different patent mining tools [3,13–15]. Most DbA tools, including the prior work reviewed here, use a query-based approach or straightforward input-output method to retrieve analogies. In the case of the WordTree method, designers input a word characterizing a design's functionality and are returned a set of functionally analogical words from various domains, compiled by the algorithm, as source of inspiration [10]. The work presented in this paper is differentiated from the prior work in that our methodology gives designers an entire structured design space for exploration where

different lenses to influence the way they search for analogies in patent data.

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they can freely interact with the design solution and discover analogies from various potential sources. The emphasis on the exploration for analogical retrieval is discussed in the next section.

1.2 Exploration for Expert Thinking in Design. Based on the findings of prior research, expert designers have exhibited several cognitive characteristics and abilities during the design process. First, they have been shown to have better spatial memory than novices, being able to process more information [16,17]. Bjorklund found that experts gather more information than novices to ideate design solutions for a given problem [18]. Other researchers found that experts can also cognitively organize the information and conceptualize abstract ideas by viewing the problems objectively [19,20]. Experts have been found to have a systematic approach to design [19], being able to spontaneously adapt to the design constraints [21] and develop heuristics or "rules of thumb" to approach the problem [17,22]. The dynamic, flexible, and systematic characteristics of the expert designers that have been discovered in prior research indicate that the explorative approach is better matched with their cognitive mechanisms. The explorative approach allows the designers to retrieve analogical inspiration by interactively exploring a design repository and autonomously recognizing analogical connections among potential design sources, which could have been ruled out by the querybased algorithm. In addition, the user-controlled explorative approach allows designers to personalize their search for analogies using various analogical properties, creating unique representations of the design repository and/or design problem that could lead to diverse creative design output [23]. Some potential analogical properties that could be employed are introduced in Sec. 2.1.

1.3 Patent Database as Design Repository. The U.S. Patent database has several features that make it a suitable design repository for the design-by-analogy practice. The prior design solutions in the database are valuable knowledge that are deemed "patentable." Patentable ideas can be further defined as ideas that are "useful," meaning that the ideas are functional and operable, and novel. The term "novel" here implies that the ideas have not previously existed before [24]. The database size, already enormous at approximately 10 million patents in 2015 [25], grows continuously in various technical fields and promises designers substantial opportunities to explore for design inspiration in multiple domains. The patent database uses classification systems, such as Cooperative Patent Classification (CPC), to categorize the patents into specific domains for efficient patent-retrieval processes [24]. The characteristics of the patent database not only make it an ideal source of innovation but an efficient means for retrieving analogies.

The vast size of the patent database offers a great opportunity for discovering analogies for design-by-analogy practice, but it simultaneously presents a challenge for effective mining of patents. To address this challenge, many computational tools and methodologies have been studied. Song and Luo integrated the mining of patent texts, citation relationships, and inventor information to retrieve patents for assisting data-driven design [26]. Murphy used a Vector Space Model algorithm to evaluate functional analogies within patents [3]. These works implement different computational approaches to retrieve analogies from the electronic patent database. They all exemplify the importance of computational support to access the patented knowledge in the design repository.

### 2 Methodology

A structural form of data is essential for providing valuable insights into the data. For instance, Linnaeus's tree structure for biological species and Mendeleev's periodic table for chemical elements led to major scientific advancements in understanding nature [27]. Finding a structural form requires a clustering or categorization of data. In text mining and data mining fields, a popular computational technique used for data clustering is non-negative matrix factorization (NMF) [28,29]. NMF is a topic modeling technique that discovers semantically meaningful topics within a large corpus of documents to aid text mining [30,31]. It has been an active research area in text mining for its practical advantages over other semantic techniques such as latent Dirichlet allocation [32]. One advantage is that NMF generates consistent topic clustering results, assuring that users are returned similar results for multiple runs. Also, numerous matrix computation and optimization studies for efficient NMF computation suggest its competency for the large corpus topic modeling [33–36].

Similar to most semantic techniques, NMF starts with transforming a corpus into a word-document matrix, in which the matrix elements represent the frequency of words (rows) occurring in the patent documents (columns). Mathematically, the word-document matrix is represented by  $\mathbf{X} \in \mathbb{R}_+^{m \times n}$ , where m represents the number of words and n represents the number of documents in a corpus. Given  $k \ll \min(m, n)$  as a user-specified number of topics, NMF factorizes the input matrix,  $\mathbf{X}$ , into two non-negative matrices, namely  $\mathbf{W} \in \mathbb{R}_+^{m \times k}$  and  $\mathbf{H} \in \mathbb{R}_+^{k \times n}$  such that  $\mathbf{X} \cong \mathbf{WH}$ . Here,  $\mathbf{W}$  is a word-topic matrix whose ith topic column is represented by the weighted distribution of words. Similarly,  $\mathbf{H}$  is a topic-document matrix whose jth document column is represented by the weighted distribution of the respective topics. The matrix decomposition is illustrated in Fig. 1 [29].

In this work, the patent data were processed to generate the cluster structures shown in Appendix A (Figs. 12–14). First, word-document matrices of patents were prepared. Second, cluster structures of the patents were generated using NMF. Lim et al. conducted NMF study with the U.S. patents to study the computational performance of the topic modeling tool [37]. However, the work presented in this study is the first DbA study to use NMF for retrieving analogies for a design practice. Last, visual representations of the structures were generated. All computations for

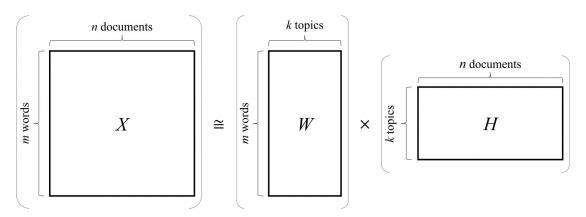


Fig. 1 Illustration of NMF

establishing the algorithmic approach were performed using MATLAB R2016b. Each of these steps is described in detail in the subsequent sections.

2.1 Preparing Word-by-Document Matrices. The first part of the computational approach involves retrieving patent data from a data storage system of United States Patent and Trademark Office (USPTO). The database consists of a bulk of U.S. registered patents, each assigned to at least one classification term called CPC. All registered U.S. patents are categorized into one of nine CPC sections and further assigned into a subsection, which provides a general overview of the patent's design features and area(s) of application. To limit the scope of the study, only mechanical design-related patents were used; Fifty-three CPC subsections were chosen by the researchers as shown in Appendix B. For each subsection, 20 patents were selected using a random number generator, comprising a total of 1060 patents. This sample size (>1000 patents) was chosen to capture various analogical structures in the patent space with a goal of addressing the research gap in implementing the computational DbA tool in a larger-scale design repository. Prior work by the authors has been with sample sizes of 100 patents [38]. In future work, the authors hope to continue to scale up the sample size by orders of magnitude. For each patent document, the researchers used only the words in the abstract, claims, and description sections, as they are the most representative of the patent's design features. All other words in prior patent data and reference sections were omitted as they do not characterize the patent's design aspects.

In addition to the patent documents, a design problem statement was also added to the corpus for generating the word-document matrix. Its purpose was to provide a "starting point" in the cluster space to facilitate data analysis and exploration. The design problem statement, which was used in the researcher's prior study, was as following [38]:

Design a device to collect energy from human motion for use in developing and impoverished rural communities in places like India and many African countries. Our goal is to build a low-cost, easy to manufacture device targeted at individuals and small households to provide energy to be stored in a rechargeable battery with approximately 80% efficiency. The energy is intended to be used by small, low power draw electrical devices, such as a radio or lighting device, hopefully leading to an increase in the quality of life of the communities by increasing productivity, connection to the outside world, etc. The target energy production is 1 kWh per day, roughly enough to power eight 25 W compact fluorescent light bulbs for 5 h each per day, or enough to power a CB radio for the entire day. For reference, an average adult human can output about 200 W with full body physical activity for short periods of time, with a significant reduction for sustained power output.

After the word-document matrix was generated, the matrix was further processed to characterize three design propertiescomponents, behaviors, and materials. In the early stages of the design processes, designers often have diverse objectives and lenses through which they look when searching for inspiration or external information. By allowing for these different lenses to influence the way the design space is structured and inter-related, we give designer the ability to explore in a more tailored and efficient manner than before. The manipulation of the patent data set was done by first manually compiling a list of words that characterize each analogical property, then reducing the original matrix to contain only the rows of the listed words. The word lists were generated by drawing a master wordlist from the patent corpora and classifying each word into one of the three properties. As a designer searches for analogical inspiration, he/she might, for example, ask the following questions when considering components, material, or behavioral content within their potential analogical sources.

• *Component:* What specific components have been integrated to the system/artifact/technology?

- *Behavior:* What are the attributes of the system/artifact/ technology that describe how it behaves?
- *Material*: What materials does the system/artifact/technology use or consume?

After a test run, words that appear too frequently were removed to distinguish one patent from another. As a result, wordlists of components (709 words), behaviors (262 words), and materials (377 words) were compiled as shown in Appendices C, D and E. Cohen's kappa inter-rater agreement analysis was performed to verify the robustness of all the wordlists ( $\kappa = 0.756$ , p < 0.005). The refinement does not alter the matrix's numerical element the frequency of words occurring in each document—but rather removes any words that are "noise" within the given context. This allows designers to explore the patent space using a particular priority, angle, or attribute. A similar practice was done in the author's previous study, in which function and surface features of patents were explored using verbs-only and nouns-only data, respectively [38]. This study is an extension of the prior study in that the components, behaviors, and materials of the patent data are explored to investigate their potential for facilitating design inspiration. For the final step, inverse entropy weighting was performed on the word-document matrices to assign higher weight to words that appear less frequently and vice versa.

2.2 Processing With Topic Clustering Algorithm. The cluster structures of the three patent data sets were generated using NMF. The computational algorithm requires a user-specified number of topics, k, to process the word-document matrix. It is critical that an appropriate topic number is selected for the algorithm, as overly or inadequately clustered data leads to an inaccurate clustering result. Unfortunately, computing an appropriate topic number is still an ongoing research [39], and thus questions the effectiveness of the topic clustering, especially for a large-scale data whose range of topics may vary exceedingly. To cope with this challenge, a computational method similar to Du et al.'s divide-and-conquer non-negative matrix factorization (DC-NMF) was used [33]. As illustrated by a hierarchy structure in Fig. 2, NMF with k=2, or rank-2 NMF, was performed recursively on an input word-document matrix. The rank-2 NMF, which has fast computational speed [40], divides the input matrix into two output matrices of clustered patents. These clusters are then used as inputs for the next iteration. The iteration continues until the processed output cluster contains less than or equal to ten patents. The stopping criterion is an important factor for determining the clustering quality, as it could result in overly or inadequately clustered structures. We acknowledge that the current stopping criterion was experimentally determined and that it generates cluster structures whose qualities are sufficient for analyzing the analogical relationships among patents. However, the stopping criterion of the iterative method is an important area of improvement for an effective topic clustering in future studies.

Throughout the process of generating structures, a label was generated for each cluster so that the analogical relationships among the clustered patents become more transparent and interpretable [38]. In each iteration of NMF, the algorithm outputs **W**, word-topic matrix, and **H**, topic-document matrix. Here, **W** represents the probabilistic distribution of words for each column of topic, implying that the word that has the highest probability score in the *j*th column in the matrix contributes the most to the *j*th topic's description. In this study, the columns of words in **W** were sorted in descending order, and the top five words in the column were used to create the cluster label.

**2.3 Visualization.** The cluster structures of the three patent data sets were visualized using MATLAB's graphing tool to enable the exploration and interpretation of the large-scale cluster space. This section details two visualization methods used to analyze the clustered patent structures.

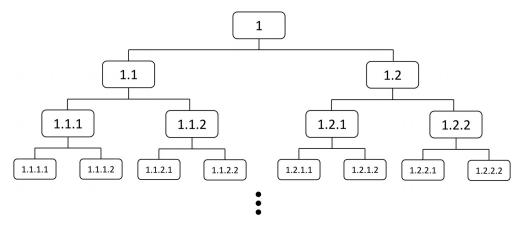


Fig. 2 Illustration of rank-2 NMF iterations

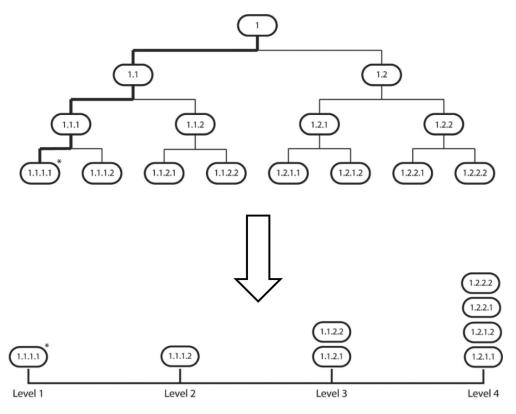


Fig. 3 Transformation of 3D visualization to 2D visualization

2.3.1 Three-Dimensional Hierarchical Visualization. Threedimensional (3D) hierarchical visualization was used to interactively explore the cluster space. The hierarchy structure is composed of nodes, or clusters of the patent documents, and lines, or the connections between the clusters. The structure contains the initial input data, or "root node" at the center. Starting from the root node, two child nodes branch out recursively outward until all clusters at the end, or "leaf nodes," contain less than or equal to 10 patents. For exploration of the space, the user can rotate or zoom into the structure to search for a node and select the node to view its cluster label and cluster ID number, used for retrieving patent titles. The 3D structure, as shown in Appendix A, was generated using MATLAB's "digraph" function with "force3" layout. The force3 layout generates 3D force directed plot, where the coordinates of nodes and length of edges are determined based on the structure and size of the input graph.

2.3.2 Two-Dimensional Bar Graph Visualization. Figure 3 illustrates the transformation of the three-dimensional hierarchy

visualization into a two-dimensional (2D) bar graph visualization. Note that the 3D hierarchy structure in the figure is represented on a 2D graphing space for an effective understanding of the transformation. In the 3D structure, the node of patents iteratively breaks down into two child nodes based on their topic similarity. This implies that the most similar patents in the entire data set would be clustered in a leaf node after a series of NMF iterations. In this manner, if that leaf node is "1.1.1.1" in Fig. 2, the next similar set of patents would be clustered in a leaf node, "1.1.1.2," derived from the same parent node, "1.1.1." Accordingly, the least similar set of patents would be separated in the first iteration performed on the initial node, "1." Once the set of patents is separated, it would go through another series of NMF iterations resulting in several leaf nodes on the other side of the hierarchy structure. This iterative concept was visualized in a two-dimensional bar graph diagram. In the diagram, the horizontal axis represents the level of the hierarchy, equivalent to the series of nodes on the bolded path in Fig. 3. On each level of the hierarchy is a set of leaf nodes with cluster labels that are generated with the separated set of patents at each level. This way, the leaf nodes are distributed across the level of the hierarchy in the order of similarity from a starting leaf node (indicated with an \* symbol) in Fig. 3. For consistency of the study, the design problem node—or a leaf node that contains the design problem statement—was chosen as the starting point.

The screenshots of the cluster structures are shown in Appendix A. In the 3D visualizations, the design problem node was selected to display its cluster label and highlight its path from the root node in the center. In the 2D visualizations, all leaf nodes are plotted in the order of similarity to the design problem node on the first level. The two visualization methods were used interchangeably to evaluate the patent data's cluster space. For instance, the 3D visualization was used to view the entire cluster space where individual clusters can be explored by their labels. Two-dimensional visualization was used to sort all clusters on the two-dimensional plane to view the leaf clusters by their similarity to the starting leaf cluster. The analysis results are presented in the next section.

### 3 Results

The clusters in component, behavior, and material analyses exhibit different characteristics. For the component result, the clusters consist of patents of similar functionality. The functions of the individual components correspond to the subfunctions of the integrated design. The patents in the behavior result are clustered by the design's descriptive quality. The patents in the material result are clustered for two different aspects—(1) material that the design is composed of and (2) material that the design uses or consumes.

The three cluster results are visually unique, suggesting that different design insights can arise from a single patent data set [23]. To confirm this, the researchers first selected three random patents ("pocket tool," "ice gripping sandal," and "shower bath apparatus and spray nozzle"); then, using the computer-generated cluster labels, the researchers evaluated their analogical relationships with other clustered patents as shown in Fig. 4. The figure is a simplified version of 2D bar-graph visualization, where each cluster containing the node number, cluster label, and list of patents is laid out on the order of similarity. In this section, the analogies of the clustered patents are evaluated to understand the clustering mechanism for component-, behavior-, and material-based patent data. However, the meaning of the level of similarity is not discussed due to the limited information to interpret the analogical distance among

different clusters. Future studies need to investigate the meaning of the "level" and its utility during the analogical exploration.

3.1 Example 1: Component-, Behavior-, and Material-Based Analogies for Pocket Tool. The component result shows patent pocket tool and patent "electric toothbrush" in a cluster label of "switch, circuit, battery, house, port," suggesting that they are composed of small electronic components. The behavior result shows the same patent pocket tool and patent "method for protecting electric line" in a cluster label of "electronic, electric, peripheral, mechanic, secure," suggesting that they have a commonality of protecting and securing electronic components. Lastly, the material result shows the same patent "pocket tool" and patent "deburring knife with replaceable blade" in a cluster label of "arrow, metal, solid, waste, stem," suggesting that they are either made of metal or use metal.

3.2 Example 2: Component- and Behavior-Based Analogies for Ice Gripping Sandal. In a second example, the component result shows patent ice gripping sandal and patents "weight distributing knee pad" and "balance assist for rotating recreational device" in a cluster label of "port, strap, case, mount, heel." The behavior result shows the same patent ice gripping sandal and patents "abrasive tool" and "hairpiece and fitting method therefor" in a cluster label of "secure, flex, light, sole, alternative." Although the cluster labels of the component and behavior results are different, the patents, interestingly, share a common functionality of securing or fixing something to something else. This is an example of discovering patents of similar design attributes from various apparel domains using component and behavior data. For instance, patent ice gripping sandal is from the footwear domain, weight distributing knee pad is from wearing apparel domain, and hairpiece and fitting method therefor" is from headwear domain.

3.3 Example 3: Component- and Material-Based Analogies for Shower Bath Apparatus and Spray Nozzle. In a third example, the component result shows patent shower bath apparatus and spray nozzle and patent "transmucosal hormone delivery system" in a cluster label of "nozzle, spray, bath, body, valve," suggesting that they use certain components to deliver fluids. The material result shows the same patent shower bath apparatus and spray nozzle and patent "humidifier" in a cluster label of "water, fluid,

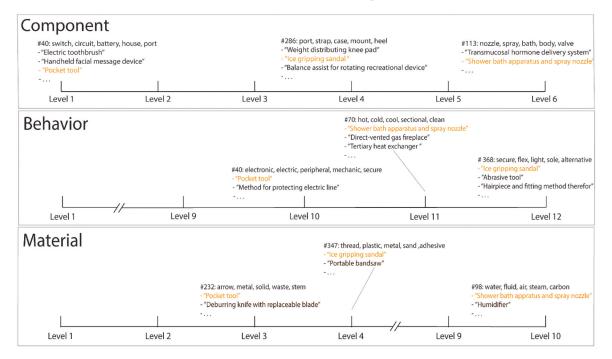


Fig. 4 Comparison of component, behavior, and material results

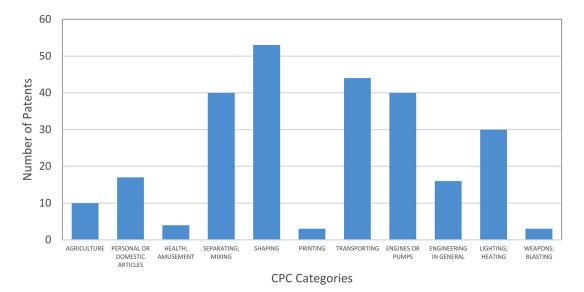


Fig. 5 Number of patents in different CPC categories

Table 1 Retrieved patents in different CPC sections

Cluster number (cluster label)	Patent title (patent number)	CPC section	
134	"Inflatable boot liner with electrical	A43	
(shoe, mount, boot, heel, generator)	generator and heater" (4845338)	(Footwear)	
123	"Gravity motor and method"	F3	
(motor, generator, shaft, detector, crankshaft)	(7768142)	(Machines or engines for liquids)	
121 (disk, shaft, wheel, ramp, transmission)	"Continuously variable transmission" (7147586)	B62 (Land vehicles for travelling otherwise than on rails)	

air, steam, carbon," suggesting that water or fluid is the common material used by the two designs. Although the two cluster labels represent different analogical relationships, they all have a common functionality of delivering fluids—one that is implied by the components such as "nozzle" and "spray" and one that is implied by the liquid material that the design uses.

As shown in the examples, exploring different representations of the patent data leads to retrieving multiple analogies that can be valuable for design-by-analogy process. In practice, a designer may explore the multiple representations to retrieve more analogies to improve the idea generation [8]. Also, they may explore a specific representation of the patents that is better matched with their individual perspective or way of thinking.

# 4 Case Study and Discussion

To test the usefulness of the generated patent structures to design-by-analogy practice, a case study has been conducted to examine the retrieval of analogies for idea generation. The case study is hypothetical use case scenario, in which one of the researchers used the computational methodology for idea generation. The case study introduces two patent exploration methodologies, referred to as (1) searching similar patents in different CPC sections and (2) searching patents by suggested cluster label. This section discusses the step-by-step procedures of retrieving analogies from the component- and behavior-based patent structures to solve the human motion energy collection problem introduced in Sec. 2.1.

4.1 Method 1: Searching Similar Patents in Different Cooperative Patent Classification Sections Using Component Data. For the given design problem shown in Sec. 2.1, a designer first brainstorms relevant terms for generating electrical energy from human motion. For example, if the designer wants to explore

patents by their components, a list of terms might be "generator," "turbine," "wheel," "shaft," "gear," "rotor," "tooth," "pulley," "disk," and "crankshaft." These component terms are selected for their rotational movement, which is the most common type of mechanical energy that is converted to electrical energy. The designer then uses the list to select patents whose cluster label matches the component terms. As discussed in Sec. 2.2, the cluster label is composed of the top five most important words to the group of patents in the cluster, determined by NMF, that characterize the cluster's topic. In such a case, the large patent dataset is refined to a few clustered patents that are operated by or composed of the components that involve rotational energy/movement. After the patent data are reduced, the designer categorizes the patents by their CPC section. Categorizing the patents by their CPC sections not only helps the designer to understand patent's usage and application, but also helps the designer to recognize similar technology in various domains. Consequently, this method results in a reduced dataset of 193 patents in 11 different fields of application as shown in Fig. 5.

The number of retrieved patents and analogies are expected to increase with an increased input patent corpus size, which is currently set to 1060 patents in this study. The designer then explores the refined patent data by the field of application. Table 1 lists three patents from machine, footwear, and land vehicle domains that have useful analogies to solve the design problem. For example, one resulting design concept is an inflatable floor mat (inspired by patent "inflatable boot liner with electrical generator and heater") that uses human body weight to pump and direct air across an electrical generator. Furthermore, the designer can implement a gravity motor (inspired by patent "gravity motor and method") that uses gravitational energy to rotate a shaft or continuously variable transmission (inspired by patent "continuously variable transmission") that improves the shaft's torque efficiency. The concepts generated are shown in Fig. 6.

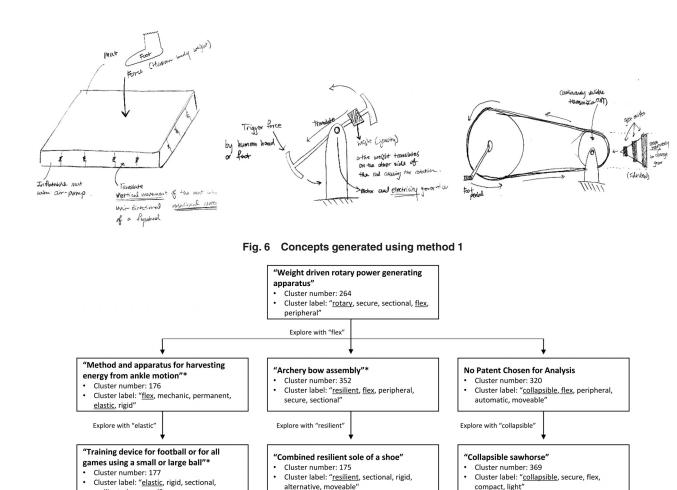


Fig. 7 Patents (bolded) retrieved using suggested terms (underlined)

4.2 Method 2: Searching Patents by Suggested Terms in Cluster Label Using Behavior Data. For the same design problem, an alternative method may be used to retrieve more analogies from the patent data. Similar to the first method, the designer first generates a list of relevant terms for the design problem. For example, if the designer wants to explore the behavior-based patent structure, a set of behavior terms would be "rotational" and "rotary" as the rotational movement is conventionally used for generating electricity. The designer then explores the patents by matching their cluster labels to the behavior terms. The cluster label consists of the top five words that are closely related to each other by an NMF-determined topic. Figure 7 demonstrates that the designer first retrieves a patent in a cluster "rotary, secure, sectional, flex, peripheral." In this label, the designer discovers another term "flex," implying that some patents may integrate both rotational and spring behaviors. Using the new keyword, "flex," the designer retrieves two more patents and discovers three more keywords "elastic," "resilient," and "collapsible" that result in retrieving three more patents. Interestingly, in Fig. 7, patents with an asterisk mark (\*) after the title represent patents with combined elastic and rotational behaviors. This exemplifies the retrieval of analogies using distinct yet suggested terms in the cluster label, with an emphasis on exploration and discovery. Figure 8 shows three example design concepts generated using patents "method and apparatus for harvesting energy from ankle motion," "training device for football or for all games using a small or large ball" and "archery bow assembly."

resilient, downward

The two patent searching methods can be used interchangeably for an effective retrieval of analogies. The first method demonstrates that if a list of keywords for the desired technology is available or can be generated by a designer, a patent structure can be refined with the keywords and further refined by CPC sections. The refining or categorizing of the patent data can enable designers to systematically and efficiently retrieve similar analogies in various application fields. If the list of keywords is not available, the second method demonstrates that the patents can be iteratively searched with the suggested terms in the cluster labels. This approach is more spontaneous as designers can determine the exploration paths using the cluster label while interacting with the patent structure.

As demonstrated by the two methodologies, the patent exploration depends significantly on the usage of keyword search, as it greatly reduces the analogical information that designers need to process. Moreover, the user-defined keywords allow the designers to tailor the patent exploration to focus on specific analogies that satisfy the designers' objectives for a design problem. In the case study, the component and behavior terms relating to the rotational movement/energy are used to solve the human motion energy collection problem. As discussed earlier, designers may have diversified design objectives, implying that the list of the terms is just one of many paths to approach the design problem. These motivations call for future studies to generate lists of words that address specific working or physical principles of patents and investigate the effectiveness of refining the patent structure using the preestablished list of words.

4.3 Clustering Quality of Material Data. In the case study, the material-based patent structure has not been studied due to the difficulty of identifying and retrieving analogies. Unlike the component and behavior results, the cluster labels in the material result do not carry definite topics. For instance, terms like "water," "fluid," "air," "gas," and others appear in many cluster labels, causing the clusters to be indistinguishable from one another. To

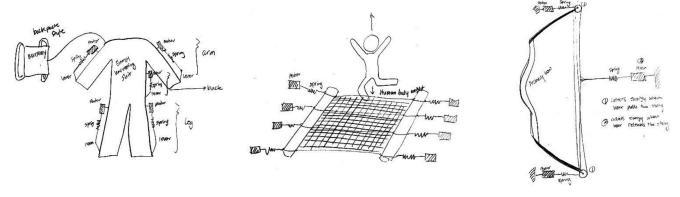


Fig. 8 Concepts generated using method 2

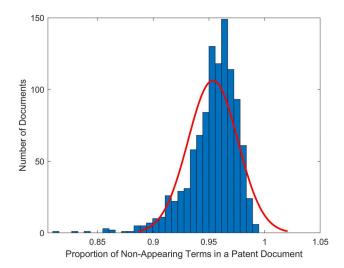


Fig. 9 Histogram of component result

understand why the cluster quality is relatively poor for the material data, the word-document matrices of component, behavior, and material data are studied. Figures 9-11 show the histograms of three different datasets that represent the distribution of the number of patent documents (y-axis) by the proportion of terms that do not appear in each document (x-axis). The proportion value varies from 0 (the document contains all terms listed in a wordlist) to 1 (the document does not contain any of the terms listed in a wordlist). The histograms show a general bell curve for all datasets, where the mean values are 0.954 for component data, 0.944 for behavior data, and 0.966 for material data. Although the mean values are similar, it is clearly observed that the histogram for the material data is skewed to the right. The skewed data represent approximately 500 patents that contain less than 3% of the material terms and approximately 150 patents that contain zero of the material terms. This finding explains the poor cluster quality of the material data, as NMF would randomly determine the topic of the patent documents whose column cells are empty. As discussed in Sec. 2.1, the wordlists for the component, behavior, and material properties in Appendices C, D and E were compiled by drawing a master wordlist from the entire patent data and manually categorizing the words into an appropriate property. This ensures that the compiled material wordlist captures all material words of the input patent data. In such a case, the absence of material words in many of the patent documents raises some interesting research questions about the nature of patent documents: to what extent do patent documents describe the materials that the system/artifact/technology use? When documenting for patents, do designers or inventors detail the functional features of the system/artifact/technology to protect the functional quality of the intellectual property, but omit what the input or comprising

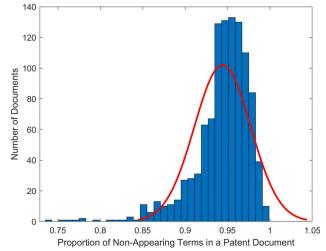


Fig. 10 Histogram of behavior result

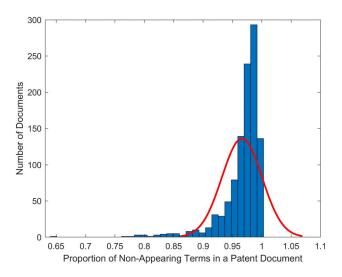


Fig. 11 Histogram of material result

materials in the system/artifact/technology to ensure the broadest protection from infringement? Future studies need to investigate whether certain types of words are used more frequently than others for documenting patents. Interviews with patent lawyers on their writing process and choices may help to uncover some of the driving factors behind the composition of the semantic data. Understanding the unique traits of patent documents could help researchers to improve the quality of topic modeling of patent data.

4.4 Limitations and Future Work. There are several limitations in the proposed methodology that are important to acknowledge. It has been observed that the clustering quality is poor when there is a substantial number of patents that contain ambiguous or indeterminable topics. This suggests that the clustering performance of the current methodology may not be competent for a larger set of patents. It is also uncertain that the current visualization methods are appropriate for interpreting the larger patent data. Collaborations with computer scientists on investigating clustering and visualization methods may lead to developing more effective DbA tools for designers. The case study shows that the material-based clustering is not useful in assisting the design-by-analogy process. This may be a product of the dataset examined in the study or a more widespread phenomenon, such as how patents are documented, that needs to be investigated in future studies. In addition, the wordlists that are manually compiled may not capture all relevant content in the patent data. However, we expect the content of these lists to reach saturation as larger data sets are tested in future studies. Other limitations and future work have been discussed throughout the paper including, but not limited to, the implementation of improved stopping criterion for the iterative NMF process to generate the clustering structures and investigation of the meaning of the "level of similarity" for its utility during analogical exploration process.

### 5 Conclusion

The goal of this work is to provide designers a computational design-by-analogy tool to explore a design repository for analogical inspiration. The computational methodology utilizes a topic modeling technique called NMF to generate a hierarchical cluster structure of the U.S. patent database where designers can visualize and retrieve analogies to solve given design problems. In this work, a user-driven exploration technique has been implemented on the patent database, processed to contain only component, behavior-, or material-based content to generate a unique and valuable representation of the patent database; a case study was conducted to demonstrate the systematic and interactive retrieval of analogical inspirations from patents for concept generation. Through the demonstration of retrieving analogical inspiration from the structured patent database for concept generation, the proposed methodology shows promise as an effective design-by-analogy tool that facilitates the systematic and interactive exploration of patents to support innovative design idea generation.

### Acknowledgment

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## **Funding Data**

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# Appendix A

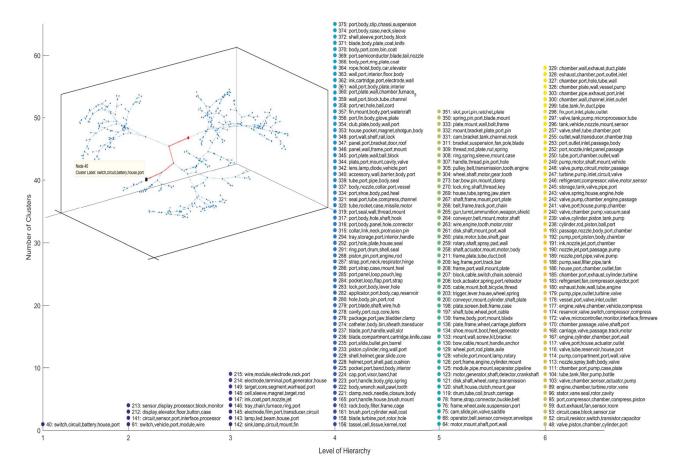


Fig. 12 Three-Dimensional and Two-Dimensional Visualizations for Component Representation of Patent Data

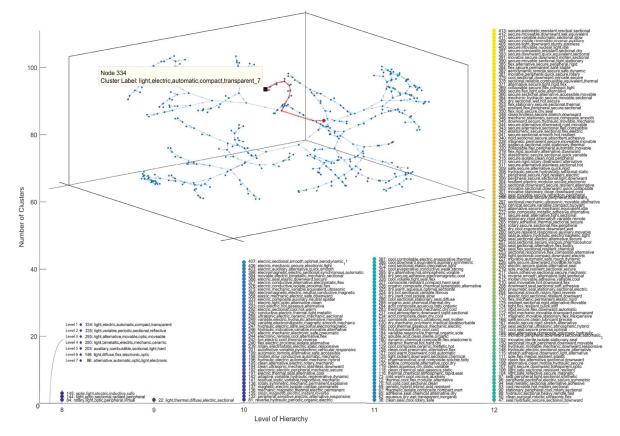


Fig. 13 Three-Dimensional and Two-Dimensional Visualizations for Behavior Representation of Patent Data

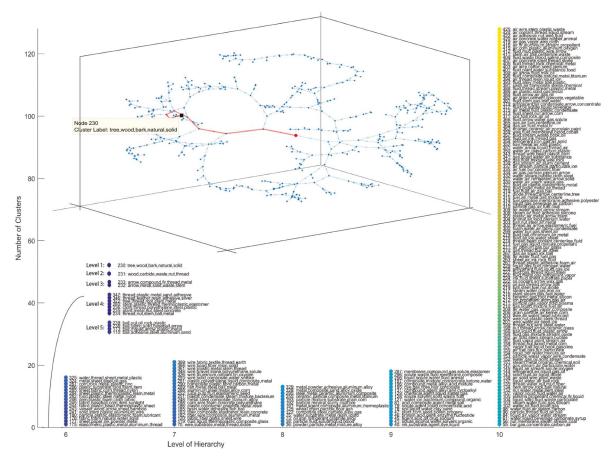


Fig. 14 Three-Dimensional and Two-Dimensional Visualizations for Material Representation of Patent Data

**Appendix B: List of 53 Cooperative Patent Classification Subsections** 

Section	Subsection	Categories	Description
Section A:	1	Agriculture	Agriculture; forestry; animal husbandry; hunting; trapping; fishing
Human necessities	41	Personal or	Wearing apparel
	42	domestic articles	Headwear
	43		Footwear
	45 46		Hand or traveling articles Brushware
	47		Tables; desks; office furniture; cabinets; drawers; general details of
	47		furniture
	61	Health; amusement	Medical or veterinary science; hygiene
	62		Life-saving; fire-fighting
	63		Sports; games; amusements
Section B:	2	Separating; mixing	Crushing, pulverizing, or disintegrating; preparatory treatment of
Performing operation;			grain for milling
transporting	3		Separation of solid materials using liquids or using pneumatic tables or jigs; magnetic or electrostatic separation of solid materials from solid materials from solid materials or fluids; separation by
			high-voltage electric fields
	5		Spraying or atomizing in general; applying liquids or other fluent
			materials to surfaces, in general
	6 7		Generating or transmitting mechanical vibrations in general Separating solids from solids; sorting
	8		Cleaning
	9		Disposal of solid waste; reclamation of contaminated soil
	21	Shaping	mechanical metal-working without essentially removing material;
		1 0	punching metal
	22		Casting; powder metallurgy
	23		Machine tools; metal-working not otherwise provided for
	24		Grinding; polishing
	25 26		Hand tools; portable power-driven tools; manipulators
	26 27		Hand cutting tools; cutting; severing Working or preserving wood or similar material; nailing or stapling
	21		machines in general
	28		Working cement, clay, or stone
	29		Working of plastics; working of substances in a plastic state, in
			general
	41	Printing	Printing; lining machines; typewriters; stamps
	60	Transporting	Vehicles in general
	61 62		Railways
	63		Land vehicles for traveling otherwise than on rails Ships or other waterborne vessels; related equipment
	64		Aircraft; aviation; cosmonautics
	65		Conveying; packing; storing; handling thin or filamentary material
	66		Hoisting; lifting; hauling
	67		Opening, closing (or cleaning) bottles, jars, or similar containers; liquid handling
Section F:	1	Engines or pumps	Machines or engines in general
Mechanical engineering; lighting; heating; weapons; blasting	2 3		Combustion engine Machine or engines for liquids
	4		Positive displacement machine for liquids; pumps for liquids or elastic fluids
	5		Indexing schemes relating to engines or pumps in various sub-
	1.5	г	classes of classes
	15	Engineering in general	Fluid-pressure actuators; hydraulic or pneumatics in general
	16		Engineering elements and units; general measures for producing and maintaining effective functioning of machines or installations;
			thermal insulation in general
	17		Storing of distributing gases or liquids
	21	Lighting; heating	Lighting
	22		Steam generation
	23		Combustion apparatus
	24 25		Heating; ranges; ventilating Refrigeration or cooling; combined heating and refrigeration sys-
	23		tems; heat pump systems; manufacture or storage of ice; liquefac- tion solidification of gases
	26		Drying
	27		Furnaces; kilns; ovens; retorts
	28 41	Weapons; blasting	Heat exchange in general Weapons

-1:	1	1	-1-41-	• 1
abaci abacus	barometer	button	cloth	cuspidor
	barrel	buzzer	club	cylinder
absorber	barrier	cabinet	clutch	cytometer
accelerator	base	cable	clutches	dam
accelerometer	basin	cage	coat	dampener
accessory	bath	calculator	cogwheel	damper
accumulator	bathseat	calibrator	coil	dashboard
activator	bathtub	caliper	colander	dashpot
actuation	battery	cam	collar	deck
actuator	beam	camera	collector	decoder
adapter	beanbag	camshaft	collimator	defibrillator
adaptor	bear	candle	combustor	deflector
adjuster	bearing	canister	commutator	defroster
adjustor	bed	cannister	compactor	dehydrator
afterburner	bedstead	cannula	comparator	demodulator
agitator	bell	canoe	compartment	descrambler
ailette	bellows	canopy	compensator	descriptor
airfoil	belt	cantilever	component	designator
airgun	bench	cap	compress	desk
airplane	bicycle	capacitor	compressor	desktop
alarm	bike	capsule	computers	desuperheater
alignment	billard	car	condenser	detector
alternator	bin	carabiner	condensor	detonator
ammunition	bingo	carbine	conditioner	dial
amplifier	biomarker	carburetor	conditioners	dialyzer
analyzer	birdhouse	carburettor	conductor	diaphragm
anchor	bladder	cardia	connecter	diffuser
anchorage	blade	carousel	connector	dilator
annulus	block	carpet	conrod	diode
annunciator	board	carriage	console	disk
antenna	boat	carrier	contactor	discriminator
anticipator	body	cart	container	dish
applicator	bogie	cartridge	containers	dishwasher
aquarium	boiler	cartridges	contractor	disk
armature	bolt	case	convertor	dispenser
armrest	bone	cassette	conveyor	displacer
arrow	booster	castor	cooker	display
arrowhead	boot	catalyst	cookstove	disruptor
artery	border	catapult	cooktop	distractor
aspirator	bottle	catheter	coordinator	distributor
atomiser	bottles	cathetor	cord	divider
atomizer	bow	catridge	core	dome
atrium	bowl	cavaletti	cork	door
attemperator	bowstring	cavity	cornea	doublet
auditorium	box	ceiling	corset	dowel
autoinjector	brace	cell	cotter	drawstring
automobile	bracelet	centimeter	countermeasure	drier
ax	bracket	centrifuge	countershaft	drill
axle	brake	chain	cover	drum
backbone	branch	chair	cradle	duct
backpack	breadboard	chalk	crankcase	dumbbell
backpack	breech	chamber	crankshaft	durometer
backrest	brewer	channel	cribbage	dynamometer
badge	bridge	chassi	crinoline	economiser
bag	bronchoscope	chimney	crossbar	economizer
bagatelle	brooch	chip	crossbow	editor
ball	brush	circuit	crown	effector
balloon	bucket	clamp	cuff	ejector
band	buckle	classifier	cufflink	electrode
bandage	bulb	cleaner	cup	electroluminescent
bar	bullet	clip	cursor	electromagnet
barbell	bundle	clock	curtain	electronics
barcode	bus	closure	cushion	elevator

eliminator inflator luggage oscillator gate emitter gauge inhaler luminaire oscilloscope emulsifier inhibitor gear magnet outlet initiator encoder maintainer gearbox oven endoscope gears injector mandrel oversleeve engine gearset injector manifold oxidizer ink enhancer generator manipulator oximeter envelope geometrizer inlet manometer pacemaker equalizer girdle installer package mantle glove instance equalizer marker pad equipment glowplug insulator mask paddle estimator glue integrator mast paintball evaluator goggle interconnector mat pan evaporator gown intercooler mattress pane examiner graft interface mediator panel excavator granulator interior membrane panel exciter interrupter microcomputer grease parachute exhaust grenade microcontroller parameter intestine expander grid introducer microlens parlor extender investigator grip micrometer passage extension guidewire isolator microphone passageway extinguisher guitar jack microprocessor patch extruder gum jacket microscope path eyelet gun jaw microswitch pawl handle eyepiece jet midline pedal fan handled jets mirror pedestal hardware fastener joint missile peg fastening harness modifier joypad pen femur harpoon joystick modulator pencil fence hat kernel module penetrator headband fermenter moisturizer key penis fermentor headgear keyboard monitor peppergun headrest ferrule keypad motherboard perforation fertilizer kit headset motor petticoat festoon heart kite motorcycle phone filament heel knife mouldboard photodetector filler helicopter knob mount photosensitizer film helmet lamp mounted pillar filter highway lanyard mousetrap pillow fin hinge laser mouthpiece pin fins hoist lash pinion mover holder firearm latch mower pipe firebridge hole layer muffler pipeline fireplace holster leaflet multicylinder pistol firmware homogenizer leash multiplate piston flameholder honeycomb led multiplier pitot flap hood planetary leg multivibrator flash hook plasticizer legging muscle flashlight hoop legs muscles plate flask hopper lens muzzle platelet floor lenslet horn nanometer platform flue horseshoe lever player neck flute hose lid neckband playhouse flywheel lift needle hosel playslip pleximeter foil lighter house nerve footwear housing liner plug lining forceps howitzer neurotransmitter pocket forearm hub link nostril pod fork hypotube linkage notebook pointer identifier frame lip notepad polarizer idler freewheel liquefin nozzle pole furnace igniter lobe nut pool fuze ignitor localizer observer pore gaiter illuminator locator obturator port gallery impeller lock occluder portafilter gamepad inclinometer lodge opacifiers potentiometer garland incubator longbow operator pouch garter indicator loop ordnance powertrain gasket inducer loudspeaker organ prechamber gastroscope lubricant orifice precipitator inductor

robot skirt synchronizer precursor predictor rocket sleeve synthesizer prefilter slide rod syringe pressurizer rodlink sling table preventer roller slot tablet probe slug roof tack sluice processor room tail progenitor root snare tampon projector rope sock tank rotary promoter socket tape propeller rotator socles tappet protector rotor solenoid target protrusion solubilizer sack tassel provider saddle speaker teaspoon puck sandbox teeth spear satellite pulley speargun telemetry scaffold pump spectrometer telemotor puttee scale telephone sphincter puzzle scattergun spigot television rack scene spindle tendon racket scheme spine terminal radar scissors spinner tether radiator scooter spittoon thermister radio scope thermistor spool rail thermocouple screen spoon railroad screw spray thermometer screwdriver spring thermosensor ramp sprocket ratchet scroll thermoset razor seal stabilizer thermostat reactor seat stand thorax reboiler sector staple thread receiver see-saw station throttle segment receptor stator thyristor rectifier stem segments ticket reducer selector stent tie semiconductor reel stents tile reflector stethoscope sensor timer refrigerant separator stiffener tip refrigerator servomotor stile tire stimulator regenerator sewer tissue regulator shack stock tongue repeater shackle stool tooth resectoscope shaft storage toothbrush reservoir shank stove torch resistor shaver straightener toupée respirator sheath strap towel restorer shelf stratifier toy restricter shell straw tracheal restrictor shield streamline track resuscitator ship string trackball retainer shoe stroke tractor retina shoelace stud trail retractor shooter subchamber transceivera rib shotgun subsoiler transducer ribbon shredder suction transformer riblet shuttle sulky transistor ribs supercharger sidewall transmission rifle sieve suppressor transmitter riflescope silencer suspension transometer rille simulator suture transponder sink rim swashplate trap ring siren swing tray rips ski switch trebuchet rivet skin swivel trigger

trimmer

trocar

trolley

trough

truck

trunk

tub

tube

tubes

tunnel

turbine

turbofan

turbocharger

turboexpander

turbomachine

turbopump

turnbuckle

turntable

ultrafilter

umbrella

furret

ureter

vacuum

valance

vaporizer

valve

vane

vault

vein

vent

velcro

ventilator

venturi

vessel

visor

wall

wand

warhead

watercraft

wheelchair

whiteout

window

wrench

wing

wire

yoke

zipper

weapon

wedge

wheel

washer

watch

wagon

vibrator

vehicle

turf

turbomachinery

turbo

trommel

abdominal absorbable absorbent accessible acetabular acid acidic actuatable actuated adaptable adaptive adherable adhesive adverse aerodynamic agricultural alignable alternative anatomic anhydrous aqueous aromatic arterial artificial asymmetric atmospheric attachable audible automated automatic automotive auxiliary bacterial ballistic bendable bimetallic bioabsorbable biocompatible biodegrade biologic bipolar bloated bodily breathable buoyant cardiac cellular ceramic cervical chemical chronic clean clinic coated cold collapsible combustible compact compatible

compressed compressive condensed conductive conjoint consistent controllable controlled convective cool coronary cosmetic cryogenic curable decorative deflectable deformable demountable dense dental deployable detachable detectable diffuse discrete displaceable disposable dissolvable distal divisional downward dry durable dynamic edible elastic elastomeric electric electromagnetic electronic electrostatic electrosurgical elevated elevational endless engageable enlarged environmental equivalent evaporative exchangeable expandable expanded explosive extendable extended

fetal fibrous fitting flammable flex flexural floatable floating floral fluidic fluorescent fragile fresh frictional fungicidal fusible gaseous gastrointestinal genetic hard harmonic healthy heavy hemispheric hemostatic hot hybrid hydraulic hydrodynamic hydrophilic hydrophobic hydrostatic hypodermic idle ignitable immovable immune impermeable implantable inbred incompressible indicative inducible inductive inelastic inert inertial inexpensive inflammatory inflexible infrared injectable inorganic insertable insoluble instant instantaneous insulative interchangeable

interconnecting

intravenous

intricate

invasive inverted invertible irregular irreversible isolate latent light lubricant lumbar luminous magnetic magnetizable malleable mechanic medial medical metallic miscible mixed mobile modular molten mountable movable moveable muscular myocardial nasal nestable neutral noncombustible nonionic nonrotatable nuclear nucleic ocular opposing optic optimal orbital organic periodic peripheral permanent permeable pharmaceutical pharmacologic physical piercing pivotable pivotal planetary pneumatic polymeric positionable precise premature programmable

programmed

spinal

spinning

prolonged

propelled

proximal pure pyrotechnic quick radiant radioactive rapid rechargeable recombinant recyclable reflective refractory regenerative releasable reliable remote repellent repetitive replaceable reproducible residual resilient resistant resonant responsive resting reusable reverse reversible revolving rigid robotic rollable rolling rotary rotatable rough rugged safe saline saturated seal sectional securable secure semipermeable sensible sensitive shiftable shrinkable slidable slideable sliding slow smooth soft solar sole soluble spatial

spinous stabilized stable stackable stainless static stationary steady steerable sterile sticky stiff stretch strong sturdy submersible supporting surgical susceptible sustained swivelable symmetric synchronous synergistic synthetic systolic tangential therapeutic thermal thermodynamic tight tiltable torsional toxic transluminal transparent transportable turbulent ultrasonic underwater unstable variable vascular vehicular ventricular vertebral virtual viscous visible volatile warm waterproof waxy weak wearable

extendible

fastenable

fast

fatty

femoral

complementary

complex

composite

extracellular

wet

wheeled

bronze

acetate elastomer huperzine mixture acid bubble elastomeric hydride molecule acridine bur electrolyte hydrocarbon mollusk adhesive calcium enamel hydrochloride mud adsorbent cancer enantiomer hydrogel myocardium hydrogen agent canvas endocardium natural air carbide enzyme hydromorphone nickel albumin carbohydrate hydroxide epoxy niobium alcohol hydroxyethyl carbon espresso nitro algae carbonate ester hydroxyl nitrogen alkali carboxyl ethanol ice nitrous alkaline cast iron ether ingredient nucleotide alkaloid castor ethyl ink nut alkenyl cellulose ethylene nylon insect alkoxy cement fabric insecticide object alkyl ceramic fat insulin oil alkylcarboxamide chalk feedstuff interbody oligonucleotide alkylene charcoal fenugreek iodidea ore allantoin chemical fiber ion organ alloy chloride fiberglass organic iron alum fiber chlorine item organism alumina chocolate fir ivory oxide fish aluminum chromium oxygen juice aluminum claudin flour paclitaxel keratin amide clay fluid keratinocyte paint fluoride amine cloth kernel paper fluorine aminoalkyl coal particle kerosene ammonium cobalt fluorite ketone particulate animal coffee foam lactose pathogen antibacterial collagen food lamina peanut antibiotic composite foodstuff latex pearl fructose antibody compost leaf peel arrhythmia leather compound fruit peptide arrow concentrate fuel lime pet phosphate arthropod fungicide limestone concrete aryl condensate galactosyl linoleum phosphite ash coolant lipid phospholipid gas asphalt copolymer gasoline liquid photograph atom copper gel lubricant piperazine bacterium luggage corn gem pith bait planet cotton gemstone lye ball lyophilizate plant crab gene bamboo cream glass lysine plasma banana glucose magnesium plaster crystal plastic bark curd glyceryl mannitol baseball cycloalkyl glycol manure platinum bauxite daub gold marble plaything bead dextran grain martensite plenum bean dialysate granite meat plywood diamond beeswax graphite medicament pollen benzotriazole diesel gravel polyamino medicine benzyl dimethyl hair membrane polycarbonate beryllium diode halogen mesalamine polyester beverage dioxide hay polyethylene metal biodiesel disulfide hemoglobin methane polyglycolide biopolymer dough hemp methanol polymer blood drug herbal polynucleotide methyl methylbenzyl book duroplastic herbicide polypeptide borax dye heteroaryl methylene polyphosphate dynamite brass honey microorganism polyphosphite polystyrene brick earth honeycomb milk

humectant

mineral

egg

bromide

polyurethane

porcelain silicone potassium silver poultry slag powder slate primer sludge prodrug slurry slush progeny propane smoke propellant soap propylene sodium protein soil pulp solid solute pvc quartz solvent quinacrine soy soybean rebaudioside reed specimen refrigerant spider render sponge resin starch reticulocyte steam rock steel root stem rubber steroid saline stockpile salt stone sand stream substance sap sash substrate sawdust sucrose seawater sugar seed sulfate sulfide shampoo sulfur sheet silica sunlight silicon surfactant

sweetener warp svrup waste tantalum water tarpaulin wax tea weed termite wheat tetracycline whiteout textile wire thatch wood thermoplastic wool thread varn tile yeast timber zinc time tin

tobacco transferase tree triethylamine trifluoromethyl triglyceride tuft tungsten uranium urethane urine vaccine vantablack vapor vegetable veneer vinyl waffle

wallpaper

tissue

titanium

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