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INTERIM COMMITTEE FOR TECHNICAL COOPERATION

STANDING SUBCOMMITTEE

Third Session, Geneva, October 2 to 5, 1972

EXPLANATORY MEMORANDUM ON THE
UTILIZATION OF THE FORMS ATTACHED
TO THE PCT DRAFT ADMINISTRATIVE INSTRUCTIONS

prepared by the International Bureau

SUMMARY

This document lists the tasks of the Receiving Office, the International Searching Authority and the International Bureau under Chapter I of the PCT, briefly describes each step under each task, and indicates --on flow charts--such tasks, steps and the Forms to be used in connection with each.

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INTRODUCTION

Purpose of this Document

1. The primary purpose of this document is to indicate which Authority has to use which form in connection with what step when fulfilling its tasks.
2. This document deals with the procedures under Chapter I of the PCT. Another similar document, prepared for one of the subsequent sessions of this Subcommittee, will deal with the procedures under Chapter II of the PCT. (Exceptionally--particularly where the task of any International Preliminary Examining Authority ("IPEA") is similar to that of an International Searching Authority--reference is also made to the former.)

Construction of this Document

3. Under Chapter I of the PCT, three Authorities are involved: the Receiving Office ("RO"), the International Searching Authority ("ISA") and the International Bureau ("IB").
4. This document is divided into three Parts (A, B, C), each corresponding to one of the said three Authorities (in the order indicated above).
5. Each Part is subdivided into three subparts: the first (A/I, B/I, C/I) indicating the processing tasks of the Authority; the second (A/II, B/II, C/II) indicating the various steps under each task; and the third (A/III, B/III, C/III) consisting of flow diagrams showing the tasks, the steps and the Forms to be used.


The Processing Tasks

6. The tasks are indicated by the symbol of the Authority (RO, ISA, IB), an oblique stroke and a number. For example: "RO/3" means task number 3 of the Receiving Office.


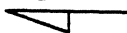
The Steps Under the Processing Tasks

7. The steps are indicated by the same symbol followed, after a decimal point, by the number of the step. For example: "RO/3.3" means step number 3 of task number 3 of the Receiving Office.

The Flow Diagrams

8. The flow diagrams are contained in charts. Each chart has a number and a double line || running along the right-hand side of the page. This double line traces the normal flow of the processing. The processing tasks indicated along this "normal flow line" are, whenever possible, set forth in chronological sequence. Questions presented in the flow of processing are represented by the figure  in which key words are included.

9. The arrangement of the normal processing flow is such that, for the vast majority of applications, vis-à-vis the question presented along the normal flow line under any particular processing task, the answer will be negative (indicated by the letter "N" (for "no")) and the processing proceeds down the normal flow line rather than encounter the abnormal processing occurring when an affirmative answer (indicated by the letter "Y" (for "yes")) diverts the processing from the normal flow line.

10. Processing steps to be taken are represented by the figure  in which key words are included and, as the main purpose of this document is to explain the use of the Forms, any communication arising from any given step and requiring the use of any given Form is indicated by the figure  and, above that figure, the symbol of the Form to be used (for example: PCT/RO/5). Reference can readily be made to document

PCT/TCO/SS/III/2 to determine the contents of the Form to be used.

11. Any Form is indicated by the symbol it has in document PCT/TCO/SS/III/2. Such symbol consists of the symbol PCT, an oblique stroke, the symbol of the authority or authorities employing the Form, an oblique stroke, and the number of the Form. For example: "PCT/RO-IB/10" means the number 10 PCT Form which is to be employed by both the Receiving Office and the International Bureau.

12. The Standing Subcommittee is invited to comment on the processing tasks, the processing steps and the flow diagrams contained in this document.

PART A/I RECEIVING OFFICE PROCESSING TASKS:
GENERAL BREAKDOWN

<u>TASK SYMBOL</u>	<u>TASK</u>
RO/1	RECEIPT AND MARKING OF THE APPLICATION
RO/2	SECURITY CHECK
RO/3	ARTICLE 11(1) CHECK (REQUIREMENTS FOR INTERNATIONAL FILING DATE)
RO/4	PREPARATION OF COPIES
RO/5	TRANSMITTAL OF RECORD COPY AND SEARCH COPY
RO/6	ARTICLE 14(1) CHECK (CERTAIN DEFECTS IN THE INTERNATIONAL APPLICATION)
RO/7	ARTICLE 14(2) CHECK (DEFECT OF MISSING DRAWINGS)
RO/8	ARTICLE 14(3) CHECK (DEFECT OF LACK OF PAYMENT OF FEES)
RO/9	ARTICLE 14(4) LATER FINDING (NON-COMPLIANCE WITH ARTICLE 11(1) REQUIREMENTS)
RO/10	RULE 9 CHECK (EXPRESSIONS NOT TO BE USED)
RO/11	RULE 4.10(b) CHECK (LACK OF NECESSARY PRIORITY INDICATIONS CONCERNING COUNTRY OR DATE OF FILING)
RO/12	RULE 4.10(d) CHECK (ERRONEOUS INDICATION OF PRIORITY DATE)
RO/13	RULE 91 CHECK (RECTIFICATION OF OBVIOUS ERRORS OF TRANSCRIPTION)
RO/14	KEEPING OF RECORDS

PART A/II RECEIVING OFFICE PROCESSING TASKS:
ANNOTATED DESCRIPTION OF THE TASKS

RO/1 RECEIPT AND MARKING OF THE APPLICATION

- RO/1.0 The receiving Office receives purported International Application filed by the Applicant.
- RO/1.1 The receiving Office processes application by marking date of receipt in space provided in request (Rule 20.1(a)) (Form PCT/RO/1) and then marks number assigned by International Bureau on each sheet (Rule 20.1(a)).
- RO/1.2 Does the receiving Office receive papers later filed by the Applicant completing purported International Application (Rule 20.2)?
- RO/1.3 The receiving Office marks the date of receipt on sheets received on a date later than the date on which sheets were first received (Rule 20.2(b)).
- RO/1.4 Does the receiving Office find that the 30-day time limit has expired (Rule 20.2(a))?

RO/1.5 The receiving Office enters the papers into the file of the purported International Application.

RO/1.6 The receiving Office corrects date of receipt (Rule 20.3).

RO/2 SECURITY CHECK

RO/2.0 Does the receiving Office withhold the purported International Application for security reasons (Rule 22.1(a))?

RO/2.1 The receiving Office withholds the purported International Application from further processing.

RO/3 ARTICLE 11(1) CHECK (REQUIREMENTS FOR INTERNATIONAL FILING DATE)

RO/3.0 Does the receiving Office find that any of the Article 11(1) requirements are lacking?

RO/3.1 The receiving Office mails invitation to Applicant to correct Article 11(1) requirement (Rules 20.6(a) and (b)) and notifies applicant if priority year expires before time limit to correct Article 11(1) requirements have expired (Rule 20.6(b)).

RO/3.2 Does the receiving Office find that the corrections are not sufficient and that Article 11(1) requirements are still lacking (Rule 20.7)?

RO/3.3 The receiving Office corrects date of receipt (Rule 20.3).

RO/3.4 The receiving Office notifies Applicant that Article 11(1) corrections fail and application will not be treated as an International Application (Rule 20.7(i)); the receiving Office also notifies International Bureau that number marked on papers shall not be used as an International Application number (Rule 20.7(ii)).

RO/3.5 The receiving Office refunds any international and/or search fee received since attempted Article 11(1) corrections unsuccessful (Rules 15.6 and 16.2).

RO/3.6 Does the receiving Office receive a request (Form PCT/IB/3) for a copy of the purported International Application from the International Bureau (Rule 20.7(iv))?

RO/3.7 The receiving Office transmits a copy of the purported International Application to the International Bureau (Rule 20.7(iv)).

RO/3.8 The receiving Office withholds the purported International Application from further processing and keeps the records relating thereto for at least 10 years (Rule 93.1).

RO/3.9 The receiving Office makes a positive determination of Article 11(1) requirements and marks application number, name of receiving Office, words "International Application" or "Demande Internationale" as well as translation of these words (if needed) (Rule 20.5(a)).

RO/3.10 The receiving Office notifies Applicant as to the International Application number and filing date (Rule 20.5(c)).

RO/4 PREPARATION OF COPIES

RO/4.0 Does the receiving Office find that the Applicant filed the International Application in less than the number of copies required (Rule 11.1(b))?

RO/4.1 The receiving Office verifies the copies received (Rules 11.1(b) and prepares any lacking copies for which it may fix a fee (Rule 21.1(b)(c)).

RO/4.2 The receiving Office prepares any additional copies (Rule 21.1(a)).

RO/5 TRANSMITTAL OF RECORD COPY AND SEARCH COPY

RO/5.0 Does the receiving Office provide for the alternative procedure of transmittal of the record copy (Rule 22.2)?

RO/5.1 The receiving Office transmits the record copy to the International Bureau or, depending on how the Applicant has exercised his options, forwards the record copy to the Applicant or holds it available for collection (Rule 22.2).

RO/5.2 The receiving Office transmits the record copy to the International Bureau (Rule 22.1(a) and at the latest on the same day the receiving Office transmits the search copy to the competent International Searching Authority (Rule 23.1(a) and (b)).

RO/6 ARTICLE 14(1) CHECK (CERTAIN DEFECTS IN THE INTERNATIONAL APPLICATION)

RO/6.0 Does the receiving Office find Article 14(1) defects to exist?

RO/6.1 The receiving Office invites Applicant to correct Article 14(1) (a) defects (Rule 26.1) and if the defects include Article 14(1) (a) (iii) and/or (iv) (missing title and/or abstract) the receiving Office so notifies the International Searching Authority (Rule 26.1(b)).

RO/6.2 The receiving Office marks date of receipt of any corrections on papers received (Rule 26.5(b)); checks corrections and any replacement sheet (Rule 26.4(b)); and marks application number and the stamp identifying the receiving Office on each replacement sheet (Rule 26.4(b)).

RO/6.3 Does the receiving Office find that the Article 14(1) defects have been timely corrected?

RO/6.4 The receiving Office notifies the Applicant (Rule 29.1(ii), the International Searching Authority (if search copy was sent already) (Rule 29.1(ii) that the International Application is considered withdrawn.

RO/6.5 The receiving Office transmits any corrections and replacement sheet to the International Bureau (Rule 26.4(c)), and the receiving Office also sends a copy of any letter of corrections and replacement sheet to the International Searching Authority, if necessary (Rule 26.4(d)).

RO/7 ARTICLE 14(2) CHECK (DEFECT OF MISSING DRAWINGS)

RO/7.0 Does the receiving Office find references in the International Application referring to drawings which were not filed (Article 14(2))?

RO/7.1 The receiving Office indicates in International Application that drawings are missing (Rule 26.6(a)).

RO/7.2 The receiving Office notifies Applicant of missing drawings (Articles 14(2)).

RO/7.3 Does the receiving Office find that the missing drawings were timely filed?

- RO/7.4 The receiving Office indicates that any reference to drawings shall be considered non-existent (Article 14(2)).
- RO/7.5 The receiving Office shall correct the date marked on the request (Rule 20.2(a)(iii)).
- RO/7.6 The receiving Office transmits copies of drawings to the International Bureau and International Searching Authority.

RO/8 ARTICLE 14(3) CHECK (DEFECT OF LACK OF PAYMENT OF FEES)

- RO/8.0 Does the receiving Office find that payment of the transmittal fee, the basic fee portion of the international fee and/or the search fee is lacking at the time of receipt of the International Application (Article 14(3)(a), Rules 14.1(b), 15.4(a))?
- RO/8.1 The receiving Office requests payment of the transmittal fee, international fee, and/or search fee.
- RO/8.2 Does the receiving Office timely receive payment of the transmittal, international and/or search fees?
- RO/8.3 Does the receiving Office find that timely payment of the designation fee for all designated states is lacking (Article 14(3)(b))?
- RO/8.4 The receiving Office notifies the Applicant, the International Bureau, and the International Searching Authority that the fees were not timely paid and that it declares the International Application to be considered withdrawn (Rule 29.1(a)(ii), (iii)).
- RO/8.5 The receiving Office transmits the record copy and corrections (if any) to the International Bureau (Rule 29.1(a)(i)).
- RO/8.6 Does the receiving Office find that timely payment of the designation fees for some of the designated States is lacking?
- RO/8.7 The receiving Office notifies the Applicant and the International Bureau that it declares that the designation of States for which no designation fee paid are considered to be withdrawn (Article 14(3)(b), Rule 29.1(b)).

RO/9 ARTICLE 14(4) LATER FINDING (NON-COMPLIANCE WITH ARTICLE 11(1) REQUIREMENTS)

- RO/9.0 Does the receiving Office find later non-compliance with the requirements of Article 11(1) before the expiration of the Rule 30 time limit of 6 months (Article 14(4))?
- RO/9.1 The receiving Office notifies the Applicant of intent to issue a declaration of withdrawal (Rule 29.4).
- RO/9.2 Does the receiving Office find Applicant's arguments timely and persuasive and reverse its tentative findings?
- RO/9.3 The receiving Office notifies the Applicant and the International Bureau and, if the search copy has already been transmitted, also the International Searching Authority, of the declaration of withdrawal (Rules 29.1(a)(ii), (iii)).
- RO/9.4 Does the receiving Office find that the record and search copies have already been transmitted to the International Bureau and the International Searching Authority?
- RO/9.5 The receiving Office transmits the record copy to the International Bureau (Rule 29.1(a)(i)).

RO/10 RULE 9 CHECK (EXPRESSIONS NOT TO BE USED)

- RO/10.0 Does the receiving Office find Rule 9 defects to exist?
- RO/10.1 The receiving Office invites the Applicant to voluntarily correct lack of compliance with Rule 9.1 and notifies the International Bureau of such lack of compliance.
- RO/10.2 The receiving Office enters corrections received from the Applicant into the International Application.

RO/11 RULE 4.10(b) CHECK (LACK OF NECESSARY PRIORITY INDICATIONS CONCERNING COUNTRY OR DATE OF FILING)

- RO/11.0 Does the receiving Office find that where a priority has been claimed, that indication of the country in which, or the date on which, the priority application was filed are lacking (Rule 4.10(b))?
- RO/11.1 The receiving Office records in the International Application the fact that the priority claim has been considered not to have been made (Rule 4.10(b)).
- RO/11.2 The receiving Office notifies the Applicant and, if the record and search copies have already been sent, also the International Bureau and the International Searching Authority that the priority claim is considered not to have been made.

RO/12 RULE 4.10(d) CHECK (ERRONEOUS INDICATION OF PRIORITY DATE)

- RO/12.0 Does the receiving Office find that, where a priority has been claimed, the priority date must be either corrected or cancelled?
- RO/12.1 The receiving Office invites Applicant to submit corrections or cancel the priority claim (Rule 4.10(d)).
- RO/12.2 Does the receiving Office find that Applicant's response was timely filed?
- RO/12.3 The receiving Office ex officio cancels the priority claim (Rule 4.10(d)).
- RO/12.4 The receiving Office effects the correction or cancels the priority claim in accordance with Applicant's response (Rule 4.10(d)).
- RO/12.5 The receiving Office notifies the Applicant and, if the record and search copies have already been sent, also the International Bureau and the International Searching Authority of the correction or cancellation (Rule 4.10(d)).

RO/13 RECTIFICATION (OBVIOUS ERRORS OF TRANSCRIPTION)

- RO/13.0 Does the receiving Office note obvious errors of transcription (Rule 91.1(d))?
- RO/13.1 The receiving Office invites Applicant to submit a request for rectification of obvious errors of transcription (Rule 91.1(d)).
- RO/13.2 Does the receiving Office find that the request for authorization was timely filed (Rule 91.1(g))?
- RO/13.3 The receiving Office authorizes rectification (Rule 91.1(e)(i)) and records the date of authorization for rectification (Rule 91.1(f)).

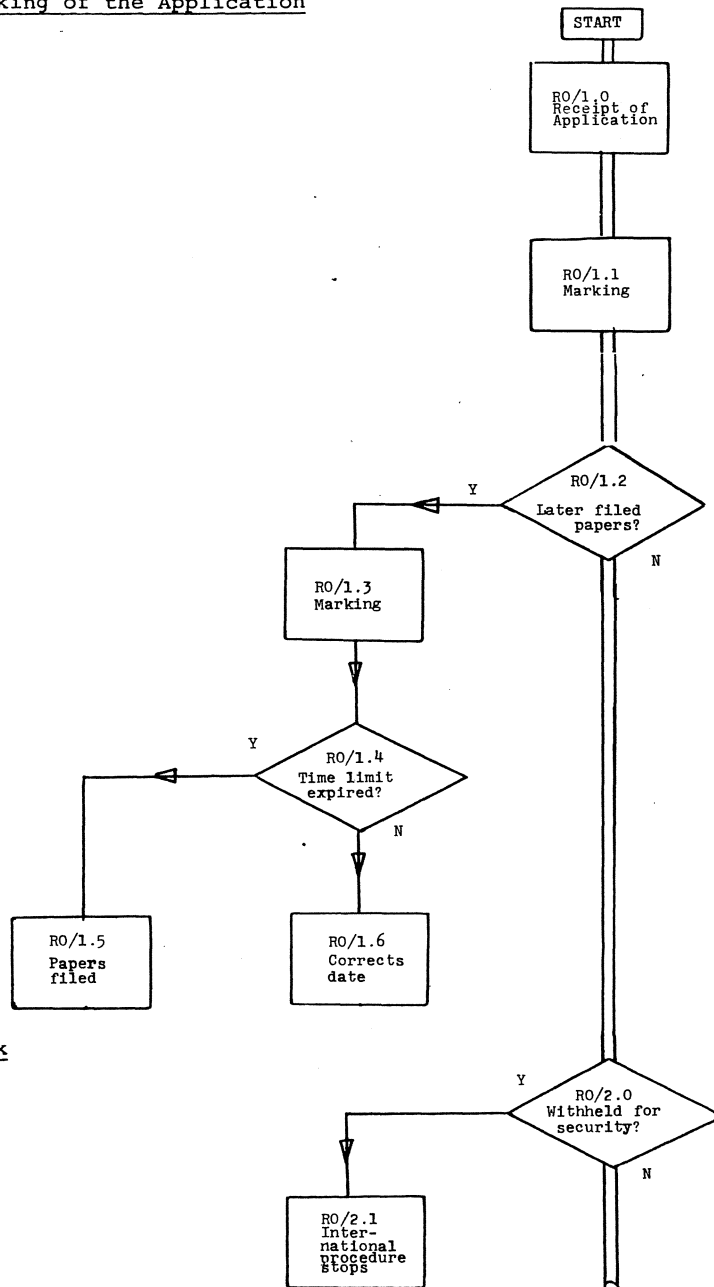
RO/13.4 The receiving Office notifies the International Bureau of the authorization for rectification (Rule 91.1(h)).

RO/14 KEEPING OF RECORDS

RO/14.0 The receiving Office keeps the records relating to the International Application for, at least, 10 years (Rule 93.1).

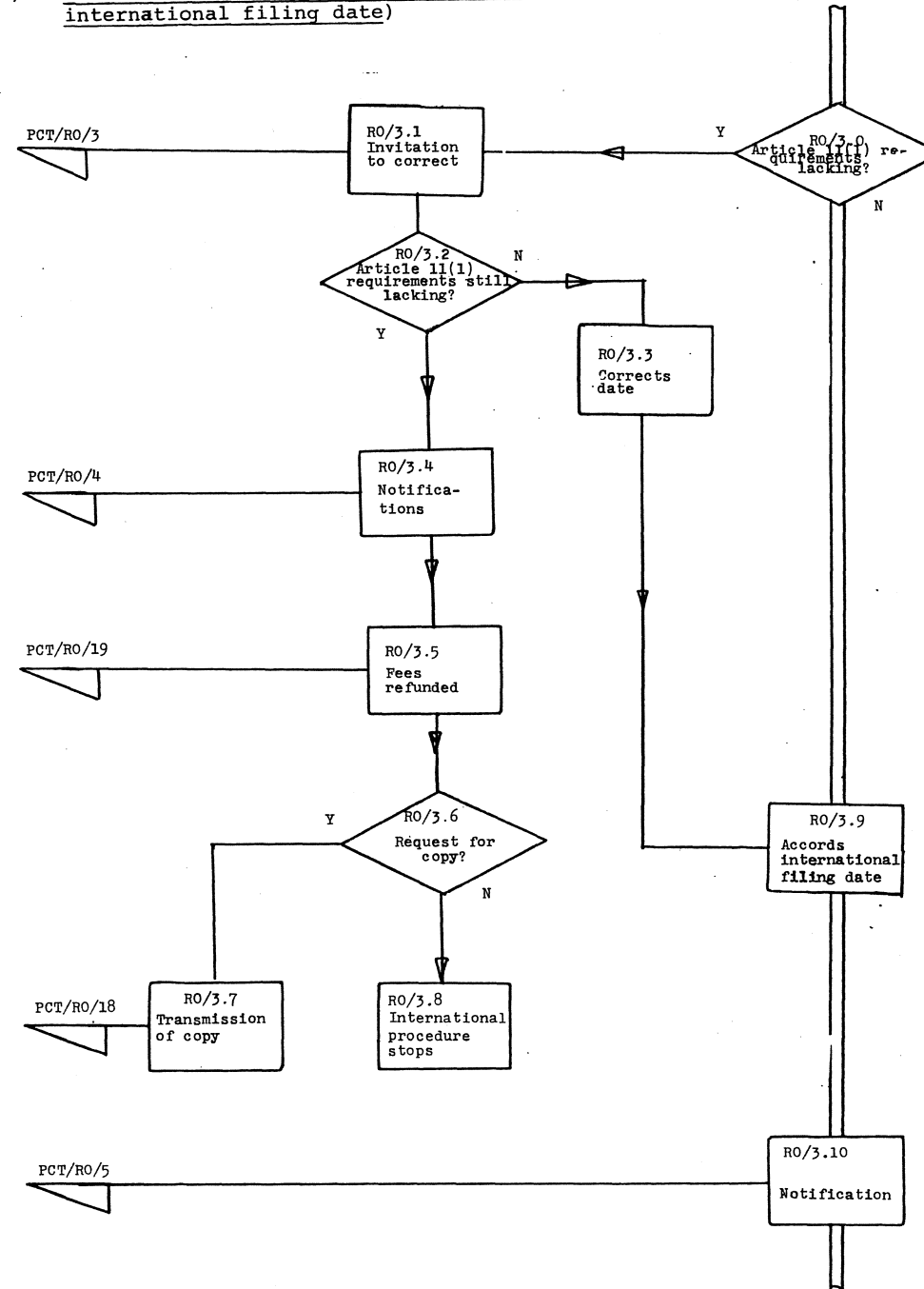
PART A/III RECEIVING OFFICE PROCESSING TASKS: FLOW
DIAGRAMS OF THE COMMUNICATIONS INVOLVED

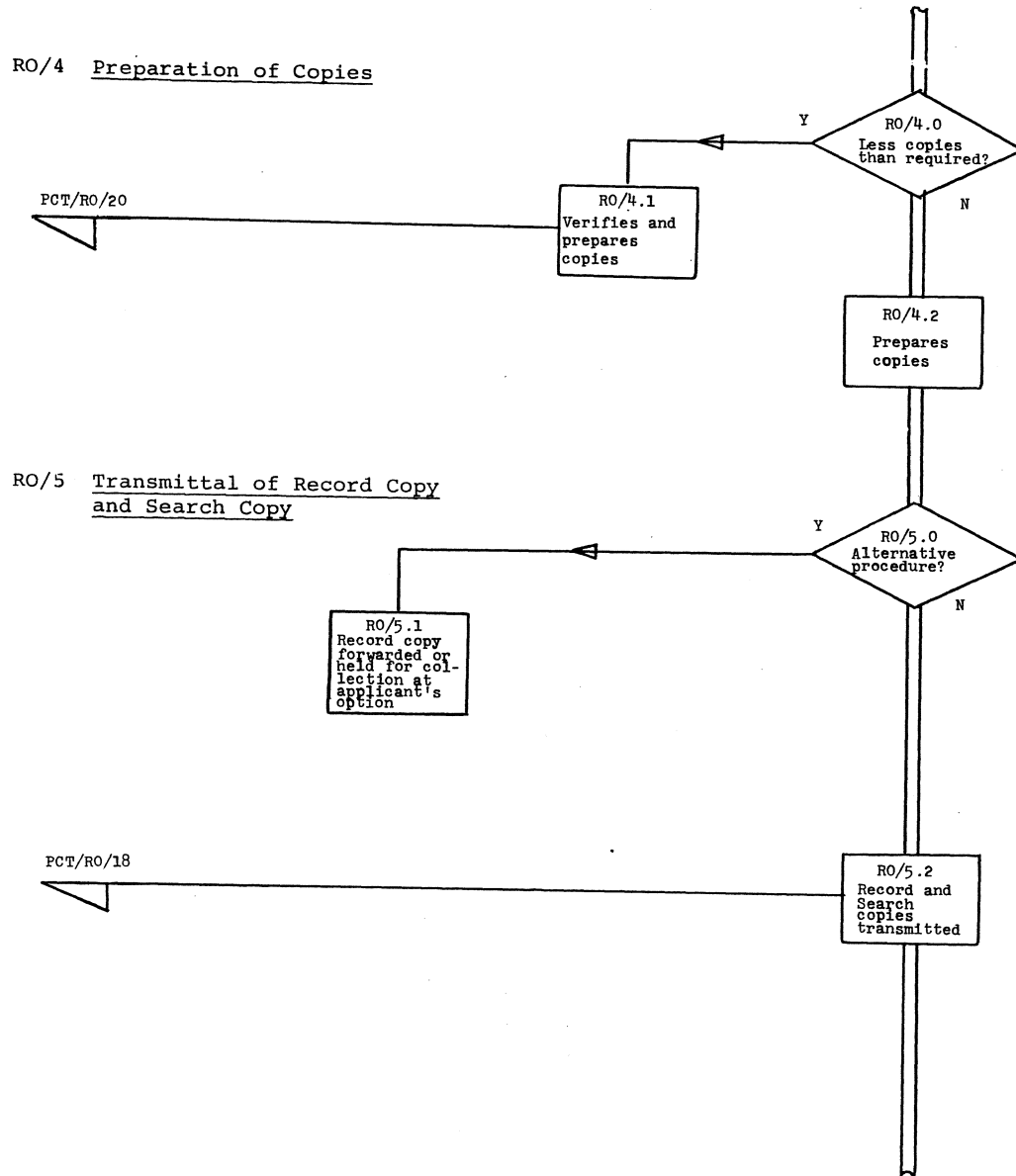
RO/1 Receipt and Marking of the Application



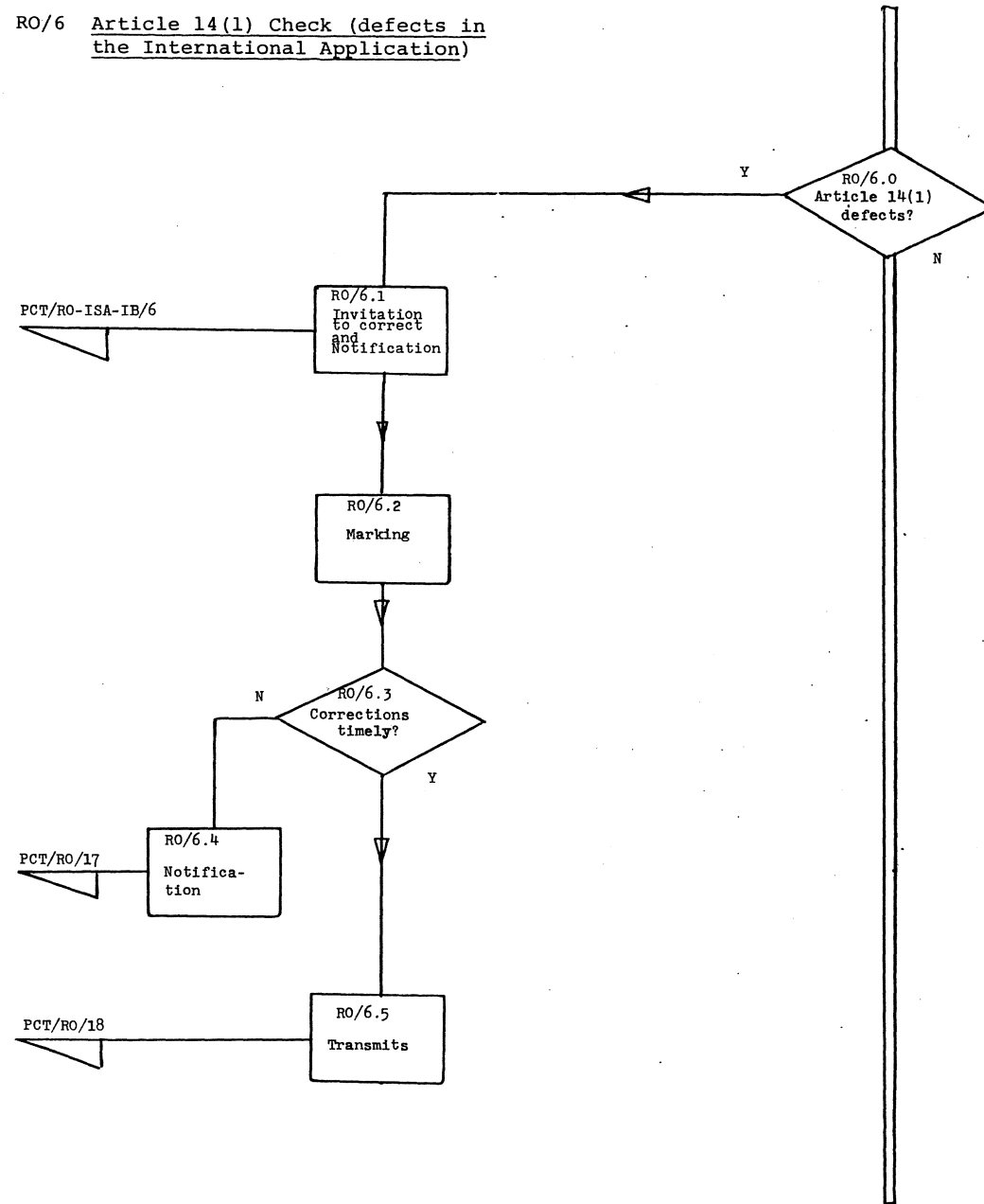
RO/2 Security Check

RO/3 Article 11(1) Check (requirements for
international filing date)

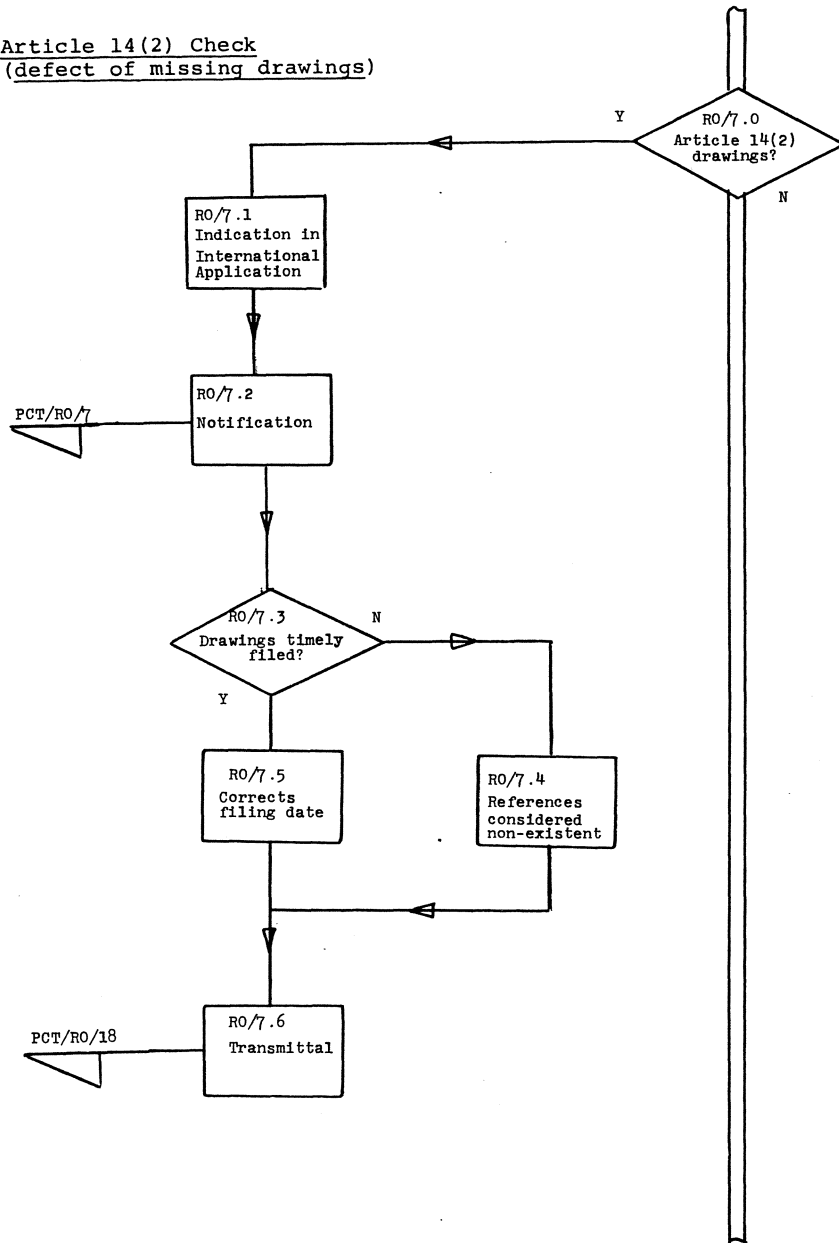




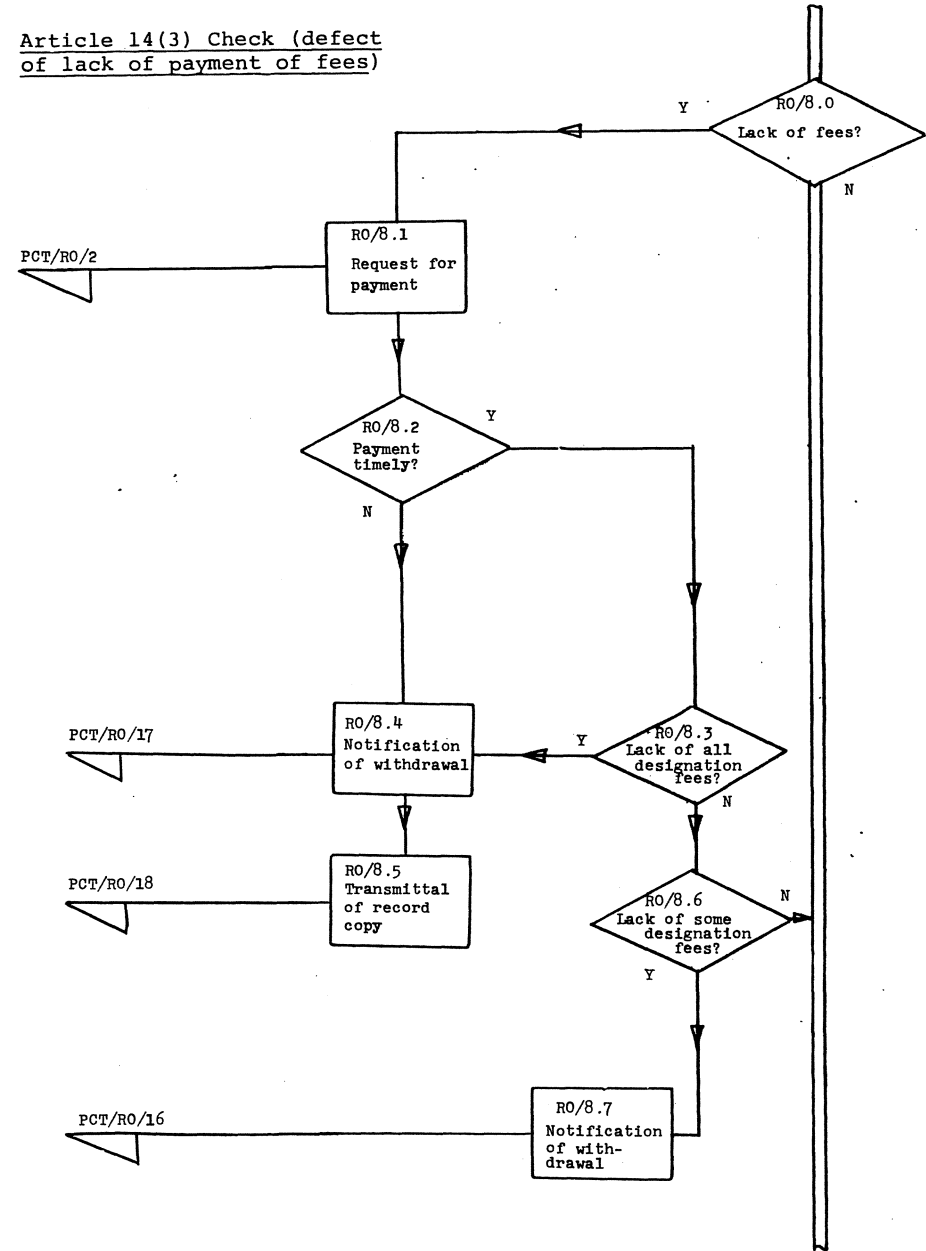
RO/6 Article 14(1) Check (defects in the International Application)



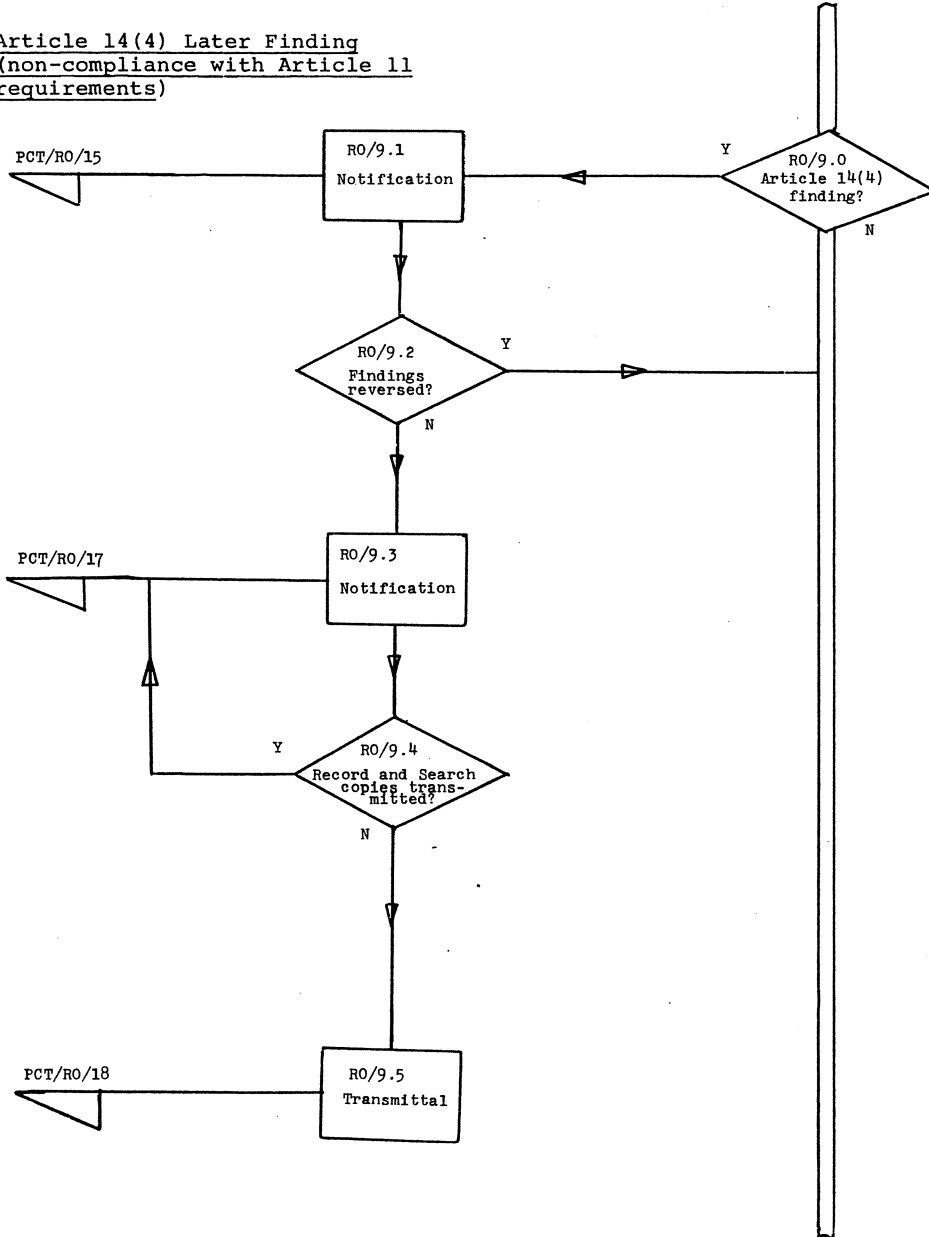
RO/7 Article 14(2) Check
(defect of missing drawings)



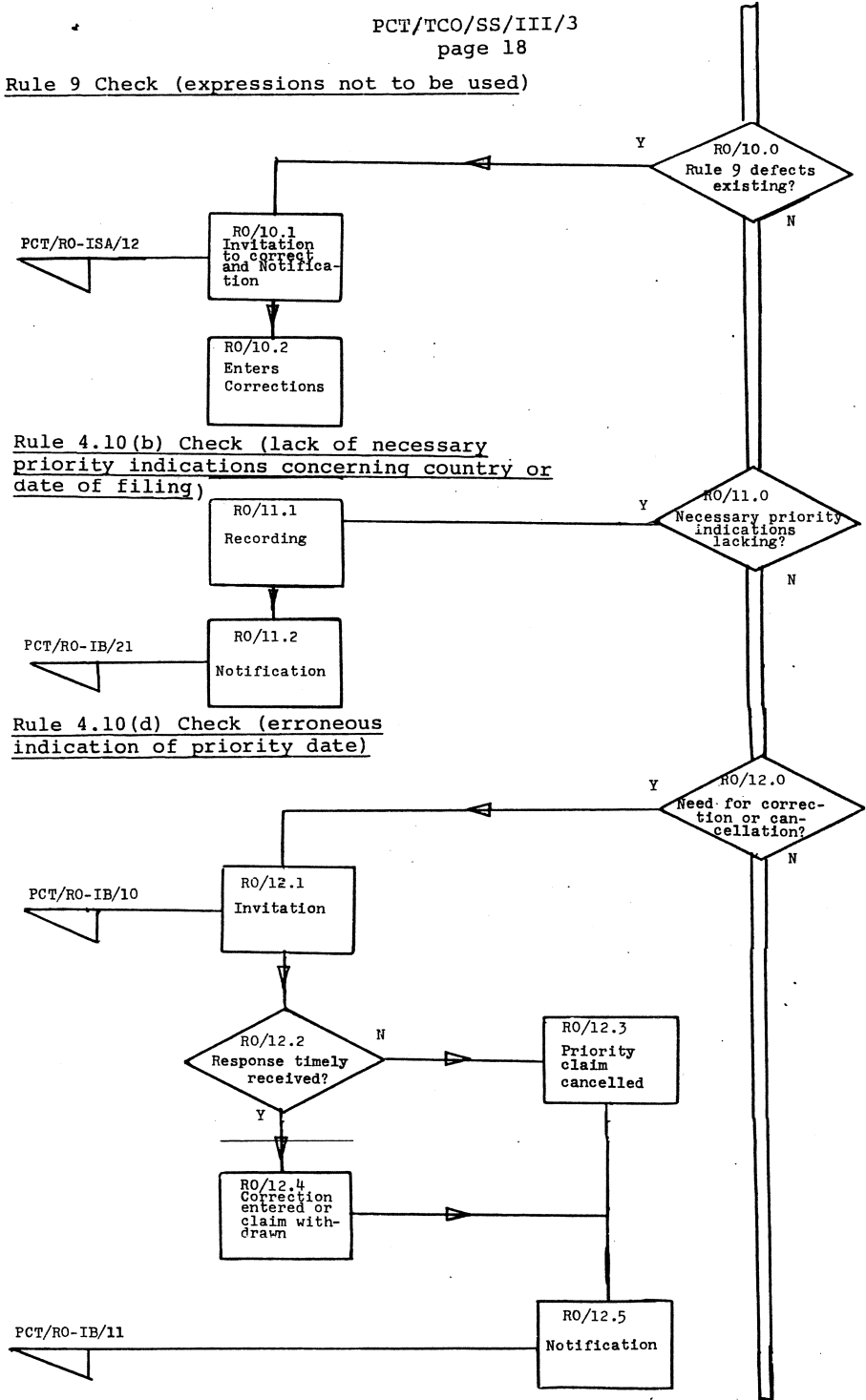
RO/8 Article 14(3) Check (defect
of lack of payment of fees)



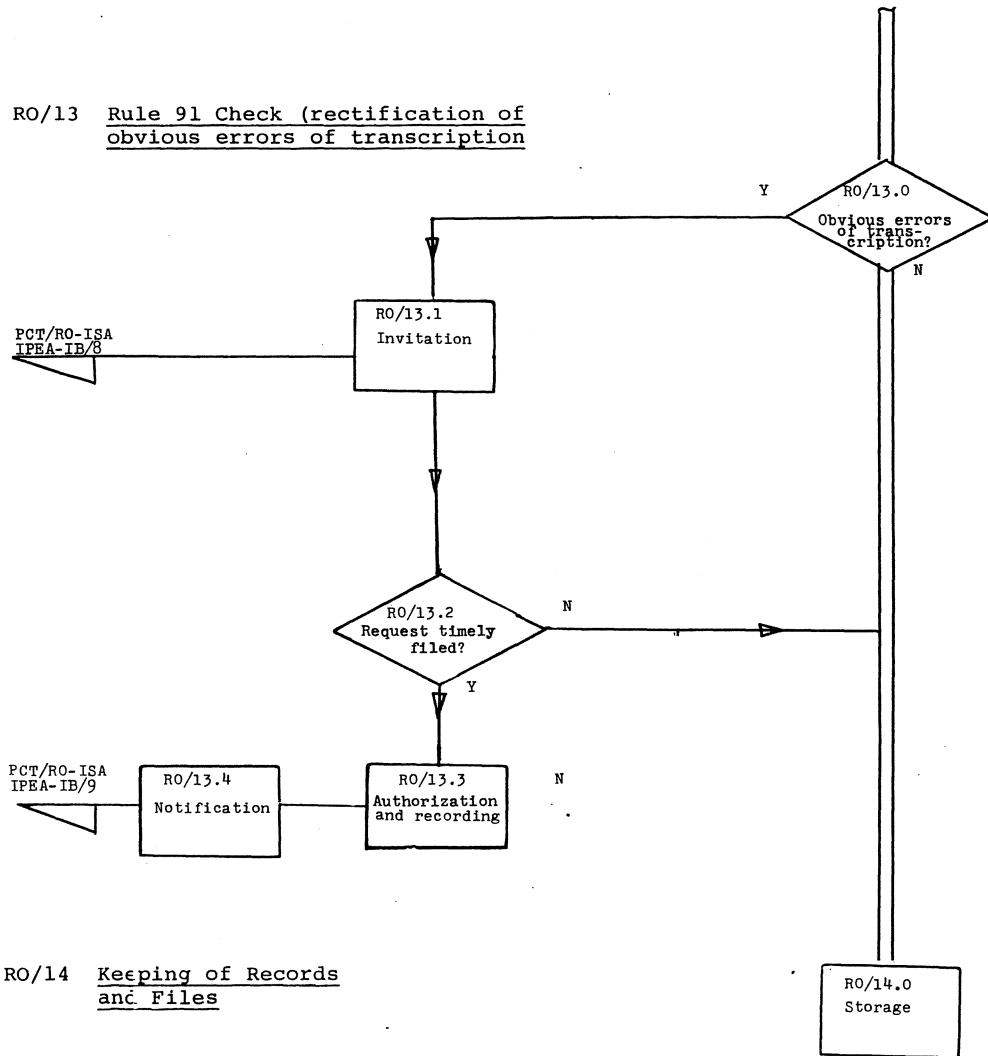
RO/9 Article 14(4) Later Finding
(non-compliance with Article 11 requirements)



RO/10 Rule 9 Check (expressions not to be used)



RO/13 Rule 91 Check (rectification of obvious errors of transcription)



RO/14 Keeping of Records and Files

PART B/I INTERNATIONAL SEARCHING AUTHORITY PROCESSING
TASKS: GENERAL BREAKDOWN

<u>TASK SYMBOL</u>	<u>TASK</u>
ISA/1	RECEIPT OF THE SEARCH COPY UNDER RULE 25
ISA/2	RULE 29.3 CHECK (CALLING ATTENTION TO NON-COMPLIANCE WITH ARTICLE 11 (1) REQUIREMENTS)
ISA/3	ARTICLE 17(2)(a) CHECK (SUBJECT MATTER AND SEARCHABILITY)
ISA/4	ARTICLE 17(3) CHECK (LACK OF UNITY OF INVENTION)
ISA/5	RULE 37 CHECK (MISSING OR DEFECTIVE TITLE)
ISA/6	RULE 38 CHECK (MISSING OR DEFECTIVE ABSTRACT)
ISA/7	RULE 28 CHECK (CERTAIN DEFECTS IN THE INTERNATIONAL APPLICATION)
ISA/8	RULE 9 CHECK (EXPRESSIONS NOT TO BE USED)
ISA/9	RULE 91 CHECK (RECTIFICATION OF OBVIOUS ERRORS OF TRANSCRIPTION)
ISA/10	RULES 16.3 AND 41 REFUND (USING OF INTERNATIONAL OR INTERNATIONAL-TYPE SEARCH REPORT)
ISA/11	ARTICLE 18 ESTABLISHMENT OF INTERNATIONAL SEARCH REPORT
ISA/12	RULE 44.1 TRANSMITTAL OF INTERNATIONAL SEARCH REPORT
ISA/13	RULE 44.3 PREPARATION AND TRANSMITTAL OF CITED DOCUMENTS
ISA/14	RULE 93.3 KEEPING OF RECORDS AND FILES

PART B/II INTERNATIONAL SEARCHING AUTHORITY PROCESSING TASKS:
ANNOTATED DESCRIPTION OF THE TASKS

ISA/1 RECEIPT OF THE SEARCH COPY UNDER RULE 25

ISA/1.0 The International Searching Authority notifies the Applicant, receiving Office (if latter not identical with ISA) and International Bureau of receipt of search copy (Rule 25.1).

ISA/2 RULE 29.3 CHECK (CALLING ATTENTION TO NON-COMPLIANCE WITH ARTICLE 11(1) REQUIREMENTS)

ISA/2.0 Does the International Searching Authority timely note that the International Application fails to comply with Article 11(1)?

ISA/2.1 The International Searching Authority notifies the receiving Office that the International Application fails to comply with Article 11(1) and the receiving Office should make a finding under Article 14(4) (Rule 29.3).

ISA/3 ARTICLE 17(2)(a) CHECK (SUBJECT MATTER AND SEARCHABILITY)

- ISA/3.0 Does the International Searching Authority find that the International Application lacks compliance with Article 17(2)(a)?
- ISA/3.1 Does the International Searching Authority find that all of the claims of the International Application lack compliance with Article 17(2)(a) (Article 17(2)(b))?
- ISA/3.2 The International Searching Authority shall declare that no international search will be carried out and shall notify the Applicant and the International Bureau that no international search report will be established (Article 17(2)(a)).
- ISA/3.3 The International Searching Authority indicates in the international search report the claims for which no international search report will be established (Article 17(2)(b)).

ISA/4 ARTICLE 17(3) CHECK (LACK OF COMPLIANCE WITH REQUIREMENTS OF UNITY OF INVENTION)

- ISA/4.0 Does the International Searching Authority find that the International Application lacks compliance with the requirement of unity of invention?
- ISA/4.1 The International Searching Authority proceeds to establish the international search report on those parts of the International Application which relate to the invention first mentioned in the claims ("main invention") (Article 17(3)(a)).
- ISA/4.2 The International Searching Authority invites Applicant to pay additional fees (Article 17(3)(a)).
- ISA/4.3 Does the International Searching Authority find that Applicant paid additional fees (Article 17.3(a))?
- ISA/4.4 The International Searching Authority limits the international search to the main invention (Article 17.3(a)).
- ISA/4.5 Does the International Searching Authority find that Applicant made payment of additional fees under protest (Rule 40.2(c))?
- ISA/4.6 The International Searching Authority (or any competent higher authority) holds hearing and decides on the justification of Applicant's protest (Rule 40.2(c)).
- ISA/4.7 The International Searching Authority registers the notice of protest and its decision thereon in order to forward them to the International Bureau so that such may be notified to designated Offices together with the international search report (Rule 40.2(c)).
- ISA/4.8 The International Searching Authority searches the "main inventions" and those parts of the International Application for which additional fees have been paid (Article 17(3)(a)).

ISA/5 RULE 37 CHECK (MISSING OR DEFECTIVE TITLE)

- ISA/5.0 Does the International Searching Authority find that the International Application lacks a title?

- ISA/5.1 Does the International Searching Authority receive a notification (Form PCT/RO-ISA-IB/6) from the receiving Office indicating that the Applicant has been invited to furnish the missing title (Rule 37.2)?
- ISA/5.2 Does the International Searching Authority find that the title fails to comply with Rule 4.3?
- ISA/5.3 The International Searching Authority establishes a title, the text of which is to accompany the international search report (Form PCT/ISA/10) (Rules 37.2 and 44.2(a)).

ISA/6 RULE 38 CHECK (MISSING OR DEFECTIVE ABSTRACT)

- ISA/6.0 Does the International Searching Authority find that the International Application lacks an abstract?
- ISA/6.1 Does the International Searching Authority receive a notification (Form PCT/RO-ISA-IB/6) from the receiving Office indicating that the Applicant has been invited to furnish the missing abstract (Rule 38.2)?
- ISA/6.2 Does the International Searching Authority find that the abstract fails to comply with Rule 8?
- ISA/6.3 The International Searching Authority establishes an abstract and invites Applicant to comment thereon (Rule 38.2(a)).
- ISA/6.4 The International Searching Authority determines the definitive contents of the abstract (Rule 38.2(b)).
- ISA/6.5 The International Searching Authority notifies the Applicant and the International Bureau of the abstract approved (time limit for Applicant's response expired) (Rule 44.2(c)).

ISA/7 RULE 28 CHECK (CERTAIN DEFECTS IN THE INTERNATIONAL APPLICATION)

- ISA/7.0 Does the International Searching Authority find Article 14(1)(a) (i), (ii) or (v) defects in the International Application (Rule 28.1(a))?
- ISA/7.1 The International Searching Authority notifies the receiving Office that the International Application contains defects referred to in Article 14(1)(a) (i), (ii) or (v), (Rule 28.1(a)).

ISA/8 RULE 9 CHECK (EXPRESSIONS NOT TO BE USED)

- ISA/8.0 Does the International Searching Authority note a lack of compliance with Rule 9.1 (Rule 9.2)?
- ISA/8.1 The International Searching Authority suggests to Applicant that he voluntarily correct lack of compliance with Rule 9.1 and notifies the receiving Office and International Bureau of lack of compliance (Rule 9.2).
- ISA/8.2 The International Searching Authority enters corrections received from the Applicant into the International Application.

ISA/9 RECTIFICATION UNDER RULE 91 (OBVIOUS ERRORS OF TRANSCRIPTION)

- ISA/9.0 Does the International Searching Authority note obvious errors of transcription (Rule 91.1(d))?

- ISA/9.1 The International Searching Authority invites Applicant to submit a request for rectification of obvious errors of transcription (Rule 91.1(d)).
- ISA/9.2 Does the International Searching Authority find that the request for authorization was timely filed (Rule 91.1(g))?
- ISA/9.3 The International Searching Authority authorizes rectification (Rule 91.1(e)(ii)) and records the date of authorization for rectification (Rule 91.1(f)).
- ISA/9.4 The International Searching Authority notifies the International Bureau of the authorization for rectification (Rule 91.1(h)).

ISA/10 RULES 16.3 AND 41 REFUND (USING OF INTERNATIONAL OR INTERNATIONAL-TYPE SEARCH REPORT)

- ISA/10.0 Does the International Searching Authority find a reference in the request to an earlier international or an international-type search report (Form PCT/ISA/1) which is to be utilized (Rule 4.11)?
- ISA/10.1 The International Searching Authority refunds to Applicant the Search Fee depending on the extent that the earlier international or international-type search can be partly or fully utilized (Rules 16.3 and 41.1).

ISA/11 ARTICLE 18 ESTABLISHMENT OF INTERNATIONAL SEARCH REPORT

- ISA/11.0 The International Searching Authority establishes the international search report (Form PCT/ISA/10) (Rule 43)..

ISA/12 RULE 44.1 TRANSMITTAL OF INTERNATIONAL SEARCH REPORT

- ISA/12.0 The International Searching Authority on the same day, transmits copies of the international search report to the Applicant and to the International Bureau (Rule 44.1).

ISA/13 RULE 44.3 PREPARATION AND TRANSMITTAL OF CITED DOCUMENTS

- ISA/13.0 Does the International Searching Authority receive a request from the Applicant and/or the designated Offices for copies of the documents cited in the international search report (Article 20(3))?
- ISA/13.1 Does the International Searching Authority opt for the International Bureau to furnish copies of the documents cited in search reports?
- ISA/13.2 The International Searching Authority forwards cited documents to the International Bureau for transmittal (Rule 44.3(c)).
- ISA/13.3 The International Searching Authority subject to reimbursement of cost transmits copies of cited documents to the Applicant and to the designated Offices (Rule 44.3(b)).

ISA/14 RULE 93.3 KEEPING OF RECORDS AND FILES

- ISA/14.0 The International Searching Authority shall keep the file of each International Application for at least ten years from the international filing date (Rule 93.3).

PART B/III INTERNATIONAL SEARCHING AUTHORITY
PROCESSING TASKS: FLOW DIAGRAMS OF
THE COMMUNICATIONS INVOLVED

ISA/1 Receipt of the Search Copy under Rule 25

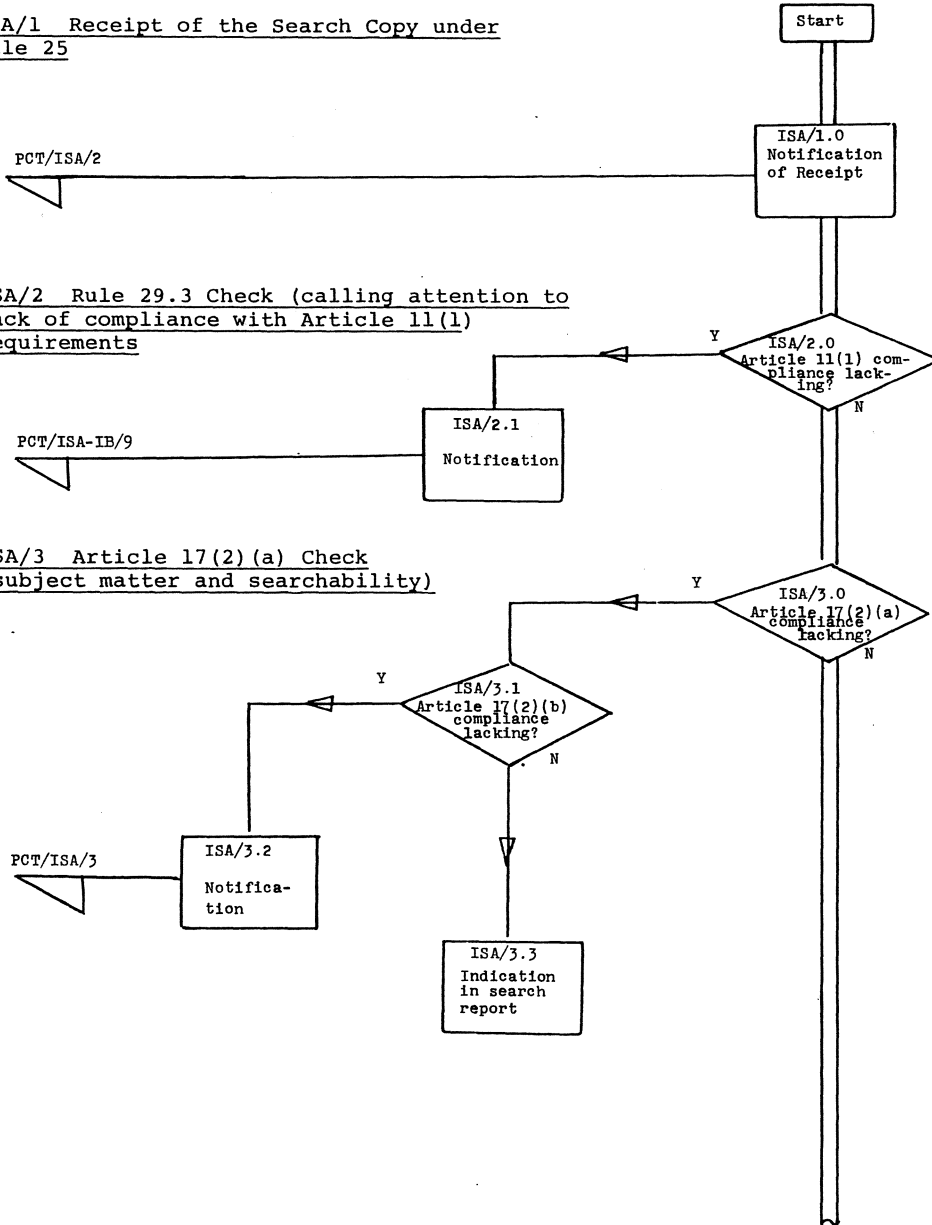
PCT/ISA/2

ISA/2 Rule 29.3 Check (calling attention to lack of compliance with Article 11(1) requirements

PCT/ISA-IB/9

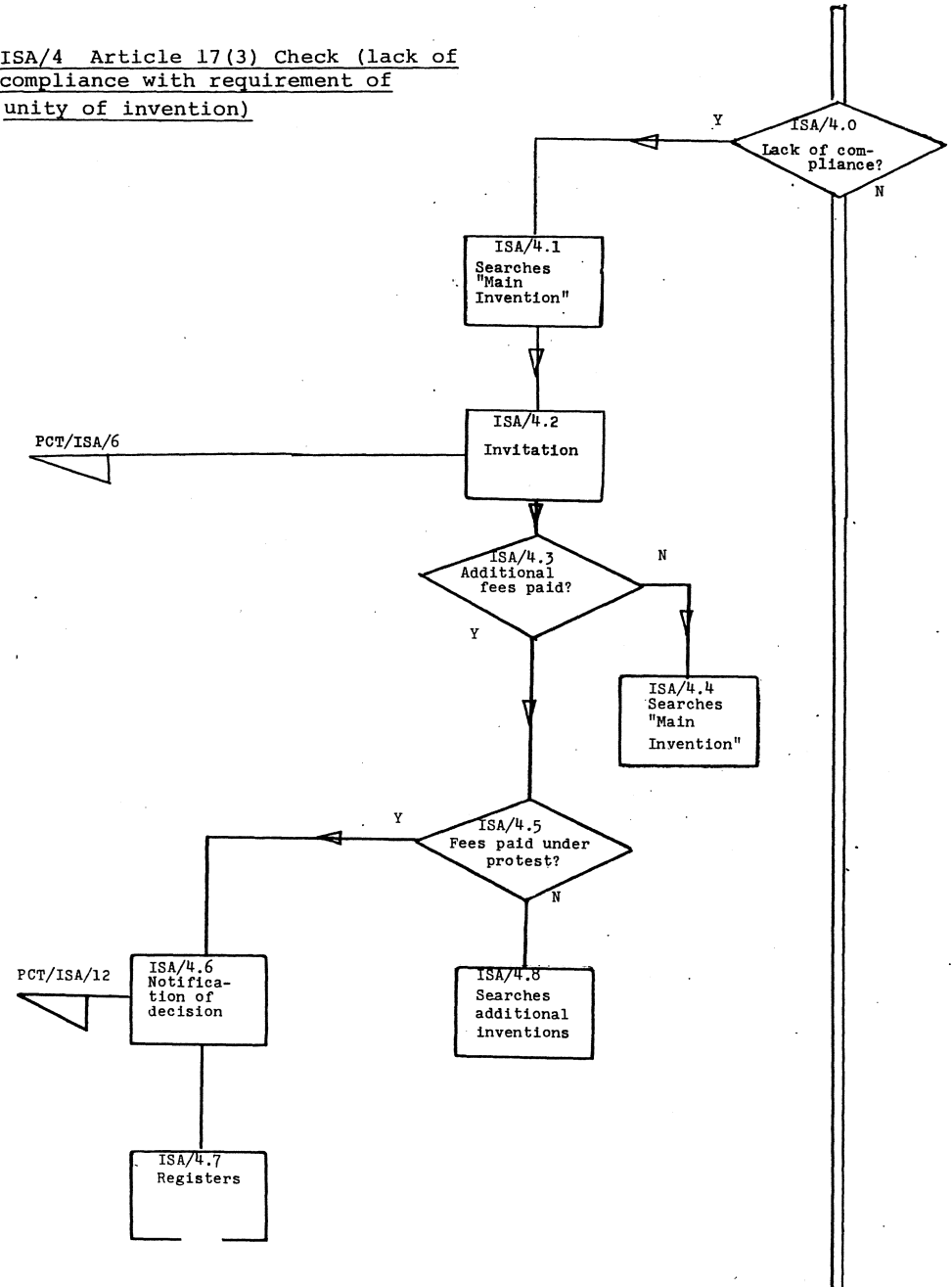
ISA/3 Article 17(2)(a) Check (subject matter and searchability)

PCT/ISA/3

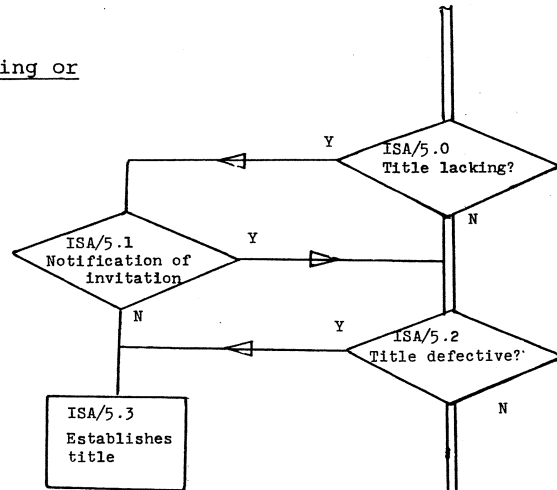


ISA/4 Article 17(3) Check (lack of compliance with requirement of unity of invention)

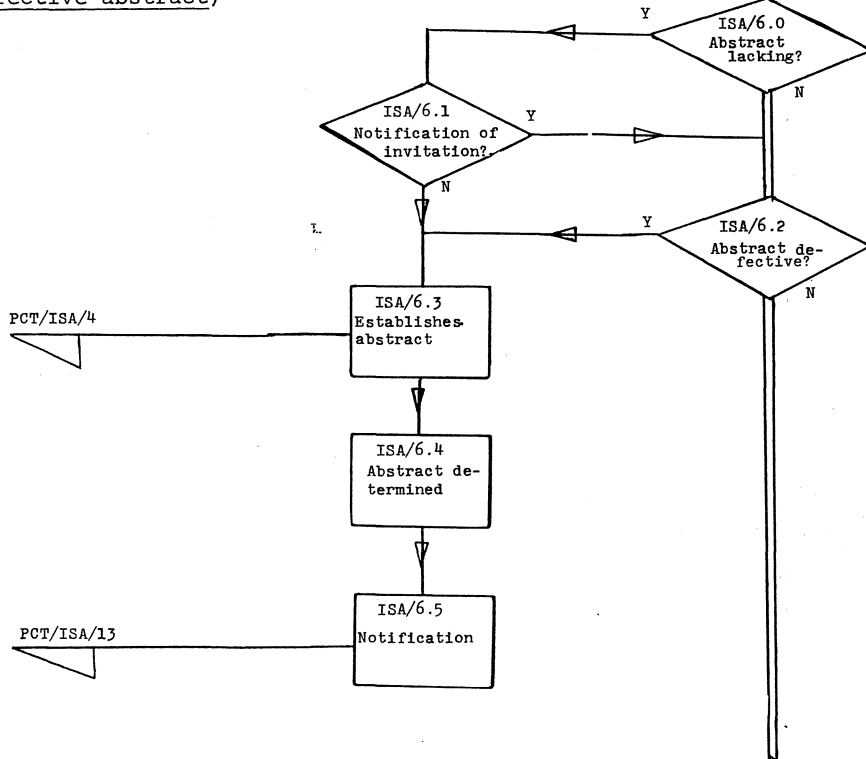
PCT/ISA/6



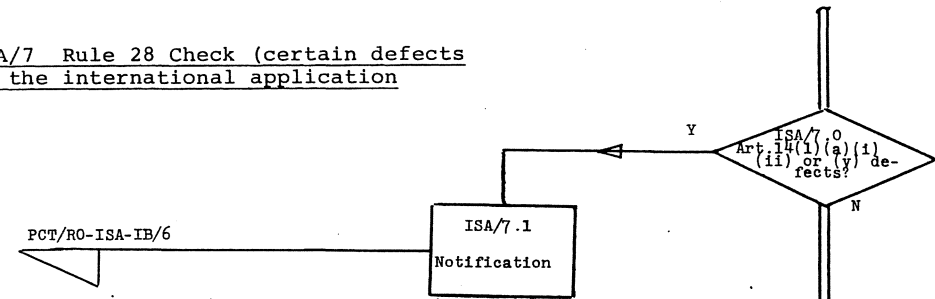
ISA/5 Rule 37 Check (missing or defective title)



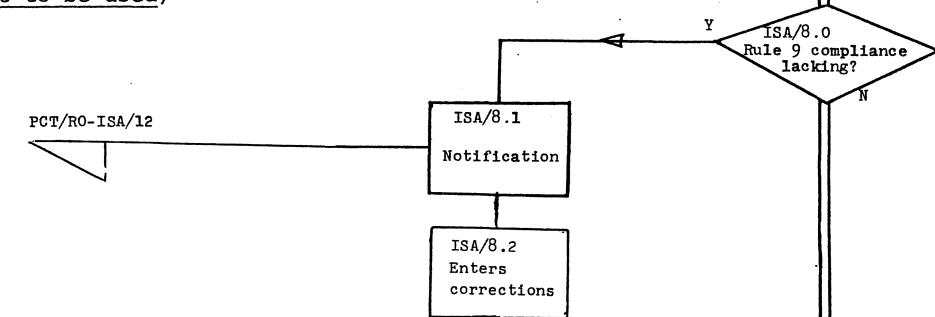
ISA/6 Rule 38 Check (missing or defective abstract)



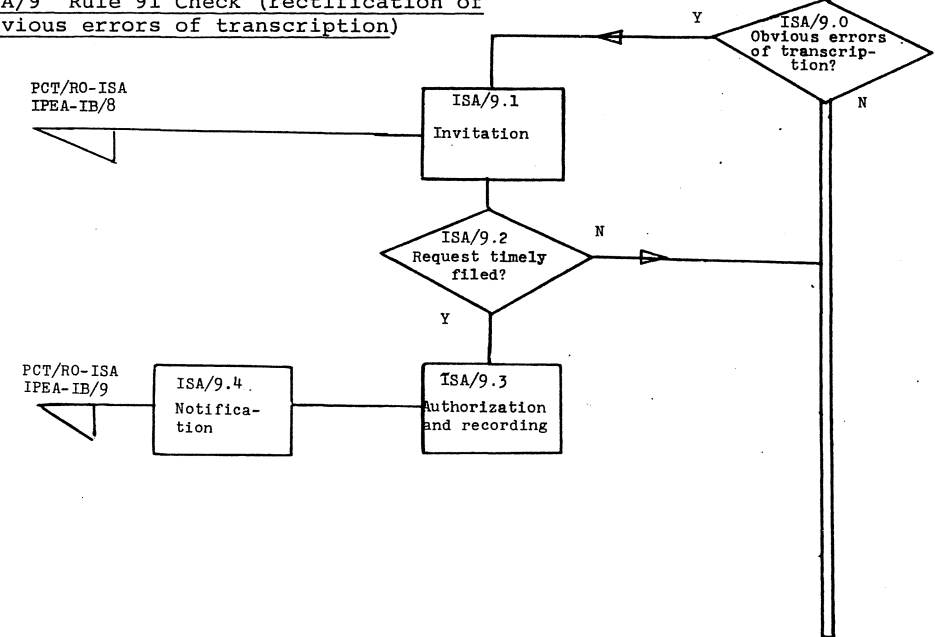
ISA/7 Rule 28 Check (certain defects in the international application)



ISA/8 Rule 9 Check (expressions not to be used)



ISA/9 Rule 91 Check (rectification of obvious errors of transcription)



ISA/10 Rules 16.3 and 41 Refund (using of international or international-type search report)

PCT/ISA/14

ISA/10.1
Refund
determina-
tion

ISA/11 Article 18 Establishment of International Search Report

ISA/11.0
Search
Report
Established

ISA/12 Rule 44.1 Transmittal of International Search Report

PCT/ISA/10

ISA/12.0
Transmits
Copies

ISA/13 Rule 44.3 Preparation and Transmittal of Cited Documents

PCT/ISA-IB/11

ISA/13.2
Transmits

ISA/13.1
Opted for Inter-
national
Bureau?

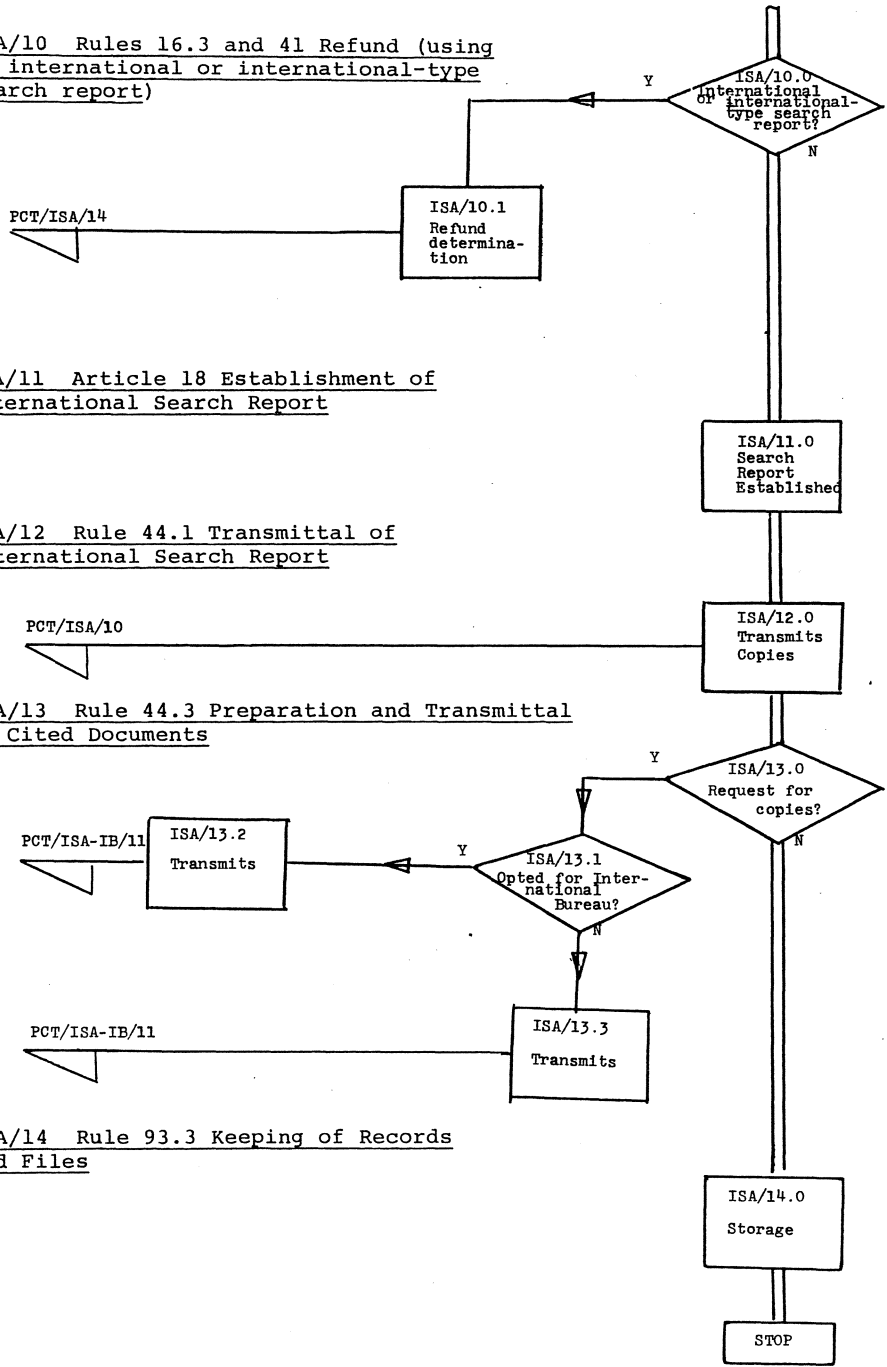
PCT/ISA-IB/11

ISA/13.3
Transmits

ISA/14 Rule 93.3 Keeping of Records and Files

ISA/14.0
Storage

STOP



PART C/I INTERNATIONAL BUREAU PROCESSING
TASKS UNDER CHAPTER I OF THE PCT:
GENERAL BREAKDOWN

<u>TASK SYMBOL</u>	<u>TASK</u>
IB/1	RECEIPT OF THE RECORD COPY
IB/2	ARTICLE 13 TRANSMITTAL
IB/3	RULE 4.10(b) CHECK (LACK OF NECESSARY PRIORITY INDICATIONS CONCERNING COUNTRY OR DATE OF FILING)
IB/4	RULE 4.10(c) CHECK (PRIORITY NUMBER)
IB/5	RULE 17 CHECK (PRIORITY DOCUMENT)
IB/6	RULE 4.10(d) CHECK (ERRONEOUS INDICATION OF PRIORITY DATE)
IB/7	RULE 28 CHECK (CERTAIN DEFECTS IN THE INTERNATIONAL APPLICATION)
IB/8	RULE 91 CHECK (RECTIFICATION OF OBVIOUS ERRORS OF TRANSCRIPTION)
IB/9	RULE 18.5 REQUEST FOR CHANGE IN PERSON OR NAME
IB/10	RULE 44.3 TRANSMITTAL OF CITED DOCUMENTS
IB/11	ARTICLE 19 AMENDMENTS
IB/12	ARTICLE 20 COMMUNICATION
IB/13	ARTICLE 21 INTERNATIONAL PUBLICATION
IB/14	RULE 93 KEEPING OF RECORDS AND FILES
IB/15	RULE 94 FURNISHING OF COPIES
IB/16	RULE 95 REQUEST FOR COPY OF TRANSLATION
IB/17	RULE 32 WITHDRAWAL BY APPLICANT
IB/18	ARTICLE 25 SENDING OF DOCUMENTS FOR REVIEW

PART C/II INTERNATIONAL BUREAU PROCESSING TASKS:
ANNOTATED DESCRIPTION OF THE TASKS

IB/1 RECEIPT OF THE RECORD COPY

IB/1.0 The International Bureau processes record copy by marking date of receipt on request sheet and stamp of International Bureau on each sheet of International Application (Rule 24.1).

IB/1.1 Does the International Bureau find that it lacks timely receipt of the record copy?

IB/1.2 The International Bureau declares the International Application to be considered withdrawn and notifies the Applicant, the receiving Office and the International Searching Authority accordingly (Article 12(3)(a), Rules 22.3 and 24.2(b)).

IB/1.3 The International Bureau notifies the Applicant, the receiving Office, the International Searching Authority, and all designated States of the fact and date, of receipt of record copy, including International Application number, international filing date, name of Applicant, name of receiving Office and priority date claimed. Applicant's notification shall contain a list of designated Offices notified and their applicable time limits under Article 22(3), (Rule 24.2(a)).

IB/1.4 Does the International Bureau find that timely receipt of the notification (Form PCT/ISA/2) from the International Searching Authority regarding receipt of the search copy is lacking (Rule 23.1(b))?

IB/1.5 The International Bureau prepares a copy of the record copy and transmits it to the International Searching Authority (Rule 23.1(b)).

IB/2 ARTICLE 13 TRANSMITTAL

IB/2.0 Does the International Bureau find that the Applicant submitted a request for early transmittal of a copy of the International Application to any designated Offices (Article 13(2)(b))?

IB/2.1 The International Bureau sends a copy of the International Application to designated Offices which have not specifically stated that they do not wish to receive copies (Article 13(2)(b)(c)).

IB/2.2 The International Bureau transmits copies of the International Applications to the designated Offices having so requested (Article 13(1)).

IB/3 RULE 4.10(b) CHECK (LACK OF NECESSARY PRIORITY INDICATIONS CONCERNING COUNTRY OR DATE OF FILING)

IB/3.0 Does the International Bureau find that where a priority has been claimed, that indication of the country in which, or the date on which, the priority application was filed are lacking (Rule 4.10(b))?

IB/3.1 The International Bureau records in the International Application the fact that the priority claim has been considered not to have been made (Rule 4.10(b)).

IB/3.2 The International Bureau notifies the Applicant and the International Searching Authority that the priority claim is considered not to have been made.

IB/4 RULE 4.10(c) CHECK (PRIORITY NUMBER)

IB/4.0 Does the International Bureau find that the International Application contains a priority claim which does not include the priority number (Rule 4.10(c))?

IB/4.1 Does the International Bureau find that the Applicant has timely furnished the application number of the priority application (Rule 4.10(c))?

IB/4.2 The International Bureau shall inform the Applicant and the designated Offices of the date on which the application number was furnished (Rule 4.10(c)).

IB/4.3 The International Bureau records the priority number and its date of receipt (Rule 4.10(c)).

IB/5 RULE 17 CHECK (PRIORITY DOCUMENT)

IB/5.0 Does the International Bureau find that the International Application contains a priority claim, and that the priority document has not been filed (Rule 17.1(a))?

IB/5.1 Does the International Bureau find that the Applicant timely files the priority document (Rule 17.1(a))?

IB/5.2 The International Bureau records the date of receipt of the priority document and notifies the Applicant and the designated Offices accordingly (Rule 17.1(c)).

IB/5.3 The International Bureau prepares and furnishes copies of priority documents specifically requested by designated Offices (Rule 17.2).

IB/6 RULE 4.10(d) CHECK (ERRONEOUS INDICATION OF PRIORITY DATE)

IB/6.0 Does the International Bureau find that, where a priority has been claimed, the priority date must either be corrected or cancelled?

IB/6.1 The International Bureau invites Applicant to submit corrections or cancel the priority claim (Rule 4.10(d)).

IB/6.2 Does the International Bureau find that Applicant's response was timely filed?

IB/6.3 The International Bureau ex officio cancels the priority claim (Rule 4.10(d)).

IB/6.4 The International Bureau effects the correction or cancels the priority claim in accordance with Applicant's response (Rule 4.10(d)).

IB/6.5 The International Bureau notifies the Applicant and the International Searching Authority of the correction or cancellation (Rule 4.10(d)).

IB/7 RULE 28 CHECK (CERTAIN DEFECTS IN INTERNATIONAL APPLICATION)

IB/7.0 Does the International Bureau find Article 14(1)(a), (i), (ii) or (v) defects in the International Application (Rule 28.1(a))?

IB/7.1 The International Bureau notifies the receiving Office that the International Application contains defects referred to in Article 14(1)(a), (i), (ii) or (v) (Rule 28.1(a)).

IB/8 RULE 91 CHECK (RECTIFICATION OF OBVIOUS ERRORS OF TRANSCRIPTION)

IB/8.0 Does the International Bureau note obvious errors of transcription (Rule 91.1(d))?

- IB/8.1 The International Bureau invites Applicant to submit a request for rectification of obvious errors of transcription (Rule 91.1(d)).
- IB/8.2 Does the International Bureau find that the request for authorization was timely filed (Rule 91.1(g))?
- IB/8.3 The International Bureau authorizes rectification (Rule 91.1(e)(iv)) and records date of authorization for rectification (Rule 91.1(f)).

IB/9 RULE 18.5 REQUEST FOR CHANGE IN PERSON OR NAME

- IB/9.0 Does the International Bureau receive a request for change in person or name forwarded from the Applicant or receiving Office (Form PCT/RO/13) (Rule 18.5)?
- IB/9.1 The International Bureau records change in person or name and notifies the International Searching Authority and designated Offices accordingly (Rule 18.5).

IB/10 RULE 44.3 TRANSMITTAL OF CITED DOCUMENTS

- IB/10.0 Does the International Bureau undertake in lieu of the International Searching Authority, to furnish upon request, copies of documents cited in the International Search Report (Rule 44.3(c))?
- IB/10.1 The International Bureau, subject to reimbursement of cost, transmits copies of cited documents to the Applicant and to the designated Offices (Rule 44.3(c)).

IB/11 ARTICLE 19 AMENDMENTS

- IB/11.0 Does the International Bureau receive Article 19 amendments (and possibly also statement) filed by the Applicant?
- IB/11.1 The International Bureau records date of receipt of amendments and indicates such in any publication or copy issued by it (Rule 46.2).

IB/12 ARTICLE 20 COMMUNICATION

- IB/12.0 The International Bureau communicates the International Application and International Search Report (or declaration) to the designated Offices (Article 20).
- IB/12.1 The International Bureau notifies the Applicant indicating national Offices to which the Article 20 Communication has been effected (Rule 47.1(c)).

IB/13 ARTICLE 21 INTERNATIONAL PUBLICATION

- IB/13.0 The International Bureau publishes the International Application (Article 21, Rule 48).

IB/14 RULE 93 KEEPING OF RECORDS AND FILES

- IB/14.0 The International Bureau keeps the file, including the record copy of any International Application for at least 30 years and the basic records indefinitely (Rule 93.2).

IB/15 RULE 94 FURNISHING OF COPIES

- IB/15.0 Does the International Bureau receive a request for a copy of any document in the file of an International Application from the Applicant or a person authorized by the Applicant (Rule 94.1)?
- IB/15.1 The International Bureau prepares and transmits, subject to reimbursement of cost, copies of documents in the file of an International Application (Rule 94.1).

IB/16 RULE 95 REQUEST FOR COPY OF TRANSLATION

- IB/16.0 Does the International Bureau receive a request for copies of a translation of any International Application provided through a designated Office (Rule 95.1(a), (b))?
- IB/16.1 The International Bureau transmits, subject to reimbursement of cost, copies of translations to the persons requesting (Rule 95.1(b)).

IB/17 RULE 32 WITHDRAWAL BY APPLICANT

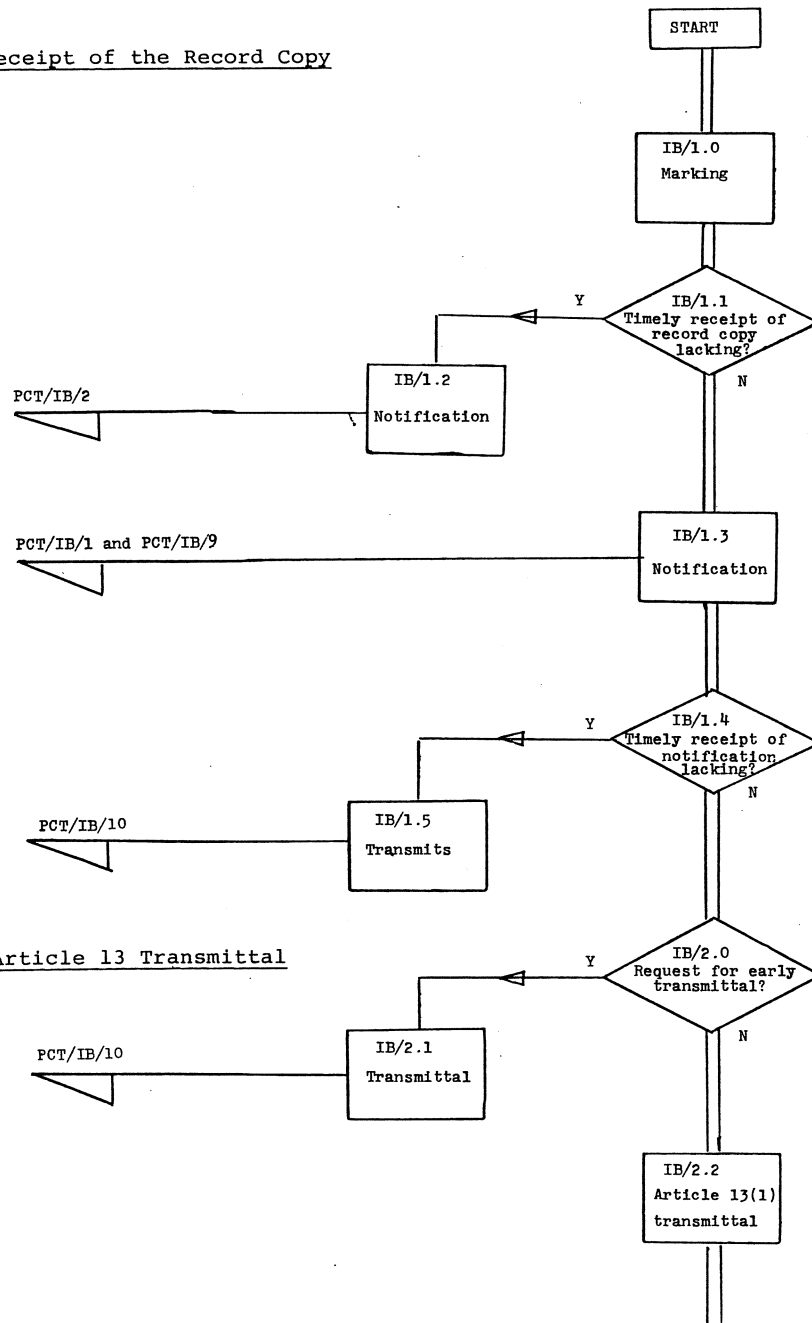
- IB/17.0 Does the International Bureau receive notice from the Applicant withdrawing the International Application or the designation of any designated State (Rule 32.1(a))?
- IB/17.1 The International Bureau records the facts of withdrawal together with the date of the receipt of the notice affecting withdrawal of the International Application or the designation of any designated State (Rule 32.1(d)).
- IB/17.2 The International Bureau sends notice of withdrawal to the receiving Office, the Applicant, all designated Offices affected, and the International Searching Authority if the International Search Report or declaration under Article 17(2)(a) has not been issued (Rule 32.1(d)).

IB/18 ARTICLE 25 SENDING OF COPIES OF DOCUMENTS FOR REVIEW

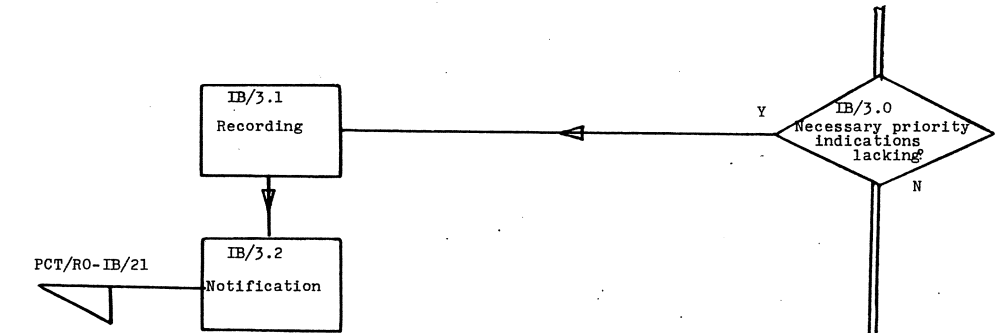
- IB/18.0 Does the International Bureau receive a request from the Applicant to send copies of documents in file to named designated Offices for review (Article 25(1)(a), (b))?
- IB/18.1 Does the International Bureau have the necessary documents on file (Rule 20.7(iii))?
- IB/18.2 The International Bureau receives the documents from the receiving Office upon request (Rule 20.7(iv)).
- IB/18.3 The International Bureau transmits the documents to the designated Offices named by the Applicant (Article 25(1)(a)).

PART C/III INTERNATIONAL BUREAU PROCESSING
TASKS: FLOW DIAGRAMS OF THE
COMMUNICATIONS INVOLVED

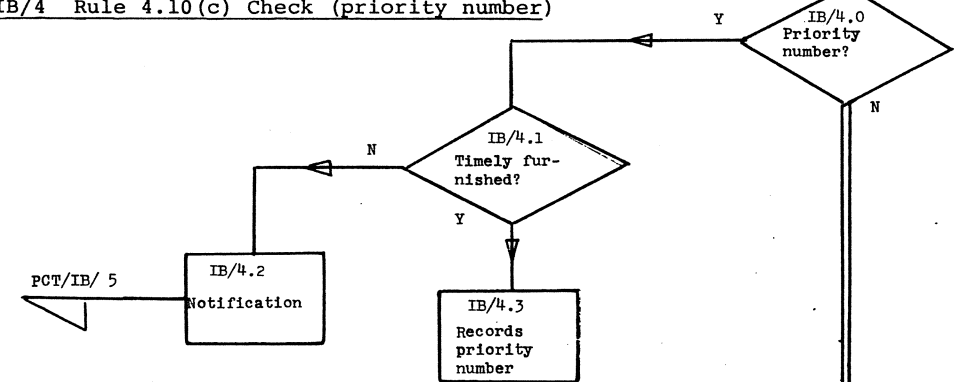
IB/1 Receipt of the Record Copy



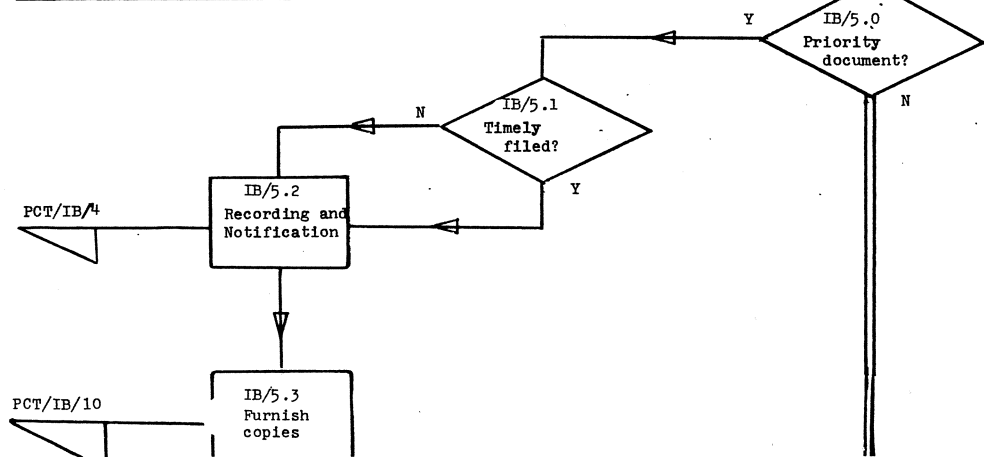
IB/3 Rule 4.10(b) Check (lack of necessary priority indications concerning country or date of filing)



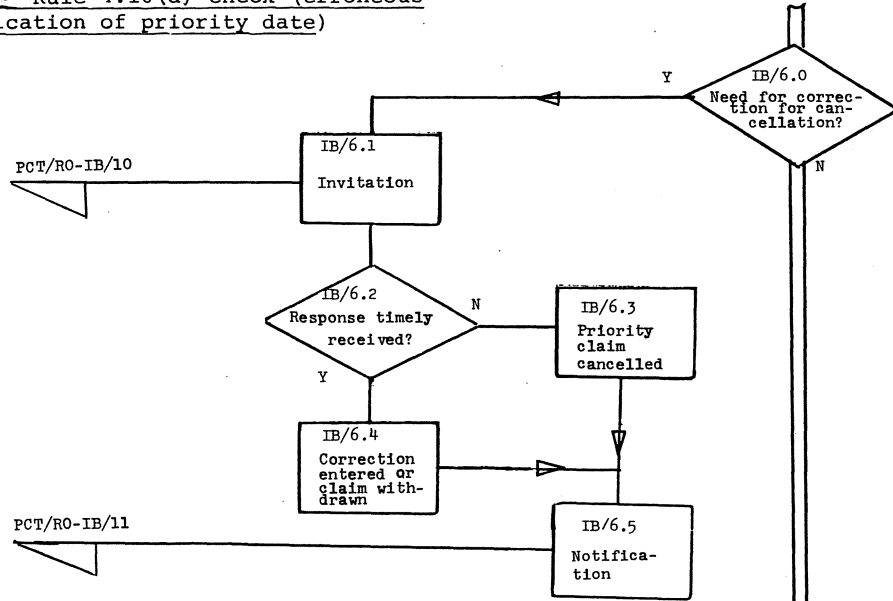
IB/4 Rule 4.10(c) Check (priority number)



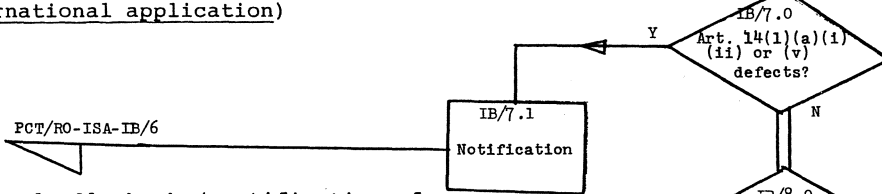
IB/5 Rule 17 Check (priority document)



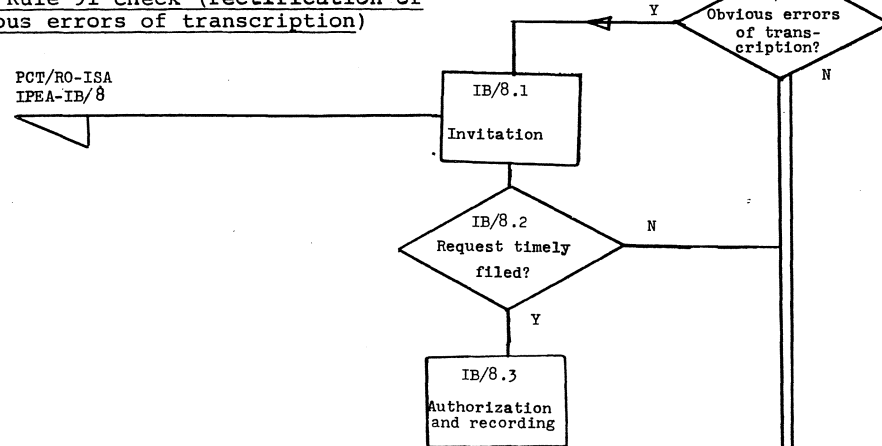
IB/6 Rule 4.10(d) Check (erroneous indication of priority date)



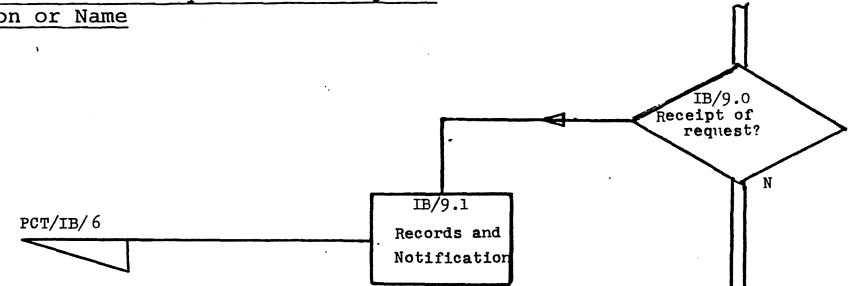
IB/7 Rule 28 Check (certain defects in the international application)



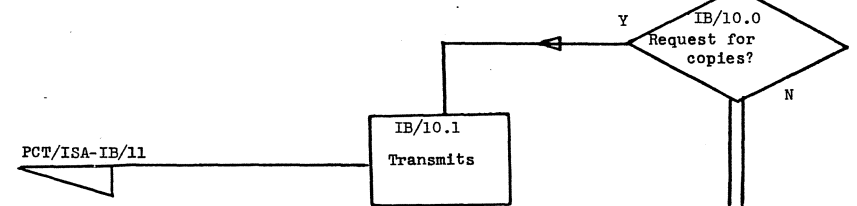
IB/8 Rule 91 Check (rectification of obvious errors of transcription)



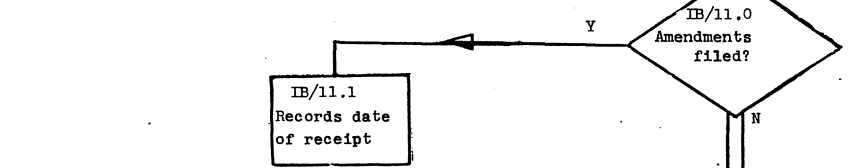
IB/9 Rule 18.5 Request for Change in Person or Name



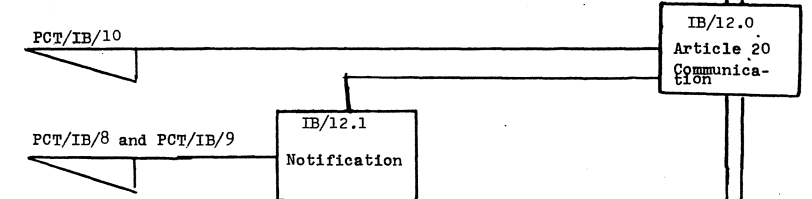
IB/10 Rule 44.3 Transmittal of Cited Documents



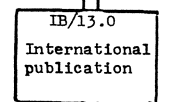
IB/11 Article 19 Amendments



IB/12 Article 20 Communication



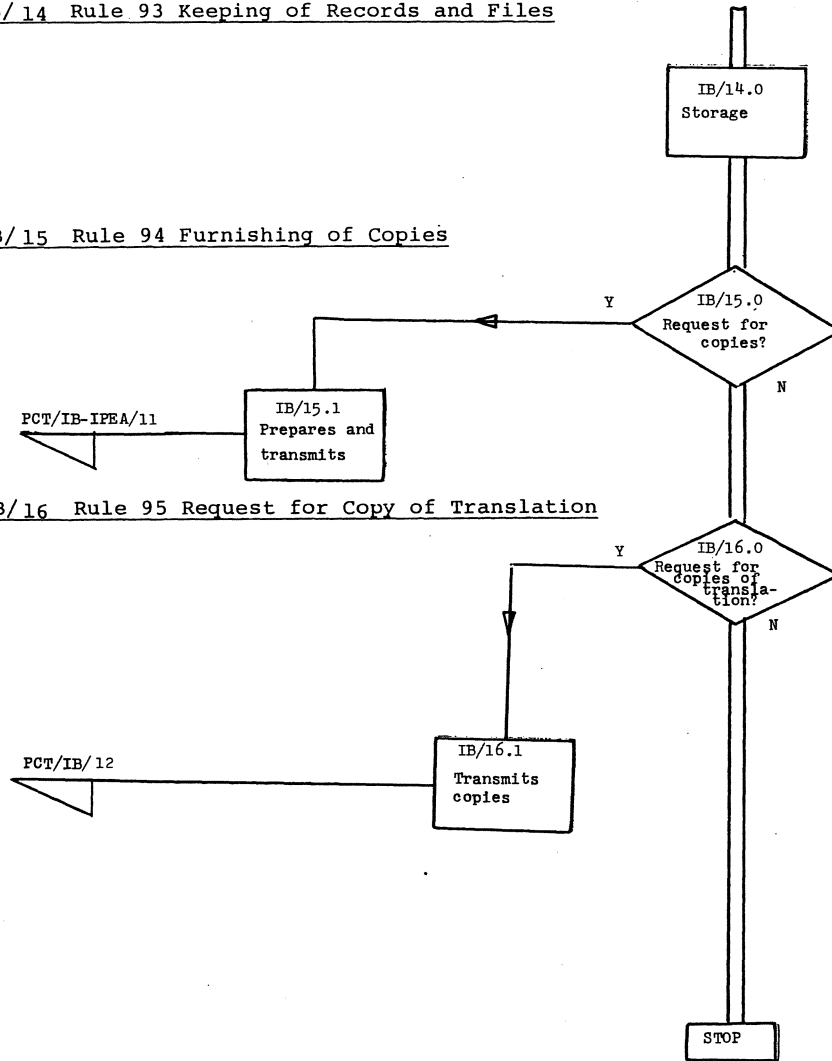
IB/13 Article 21 International Publication



IB/14 Rule 93 Keeping of Records and Files

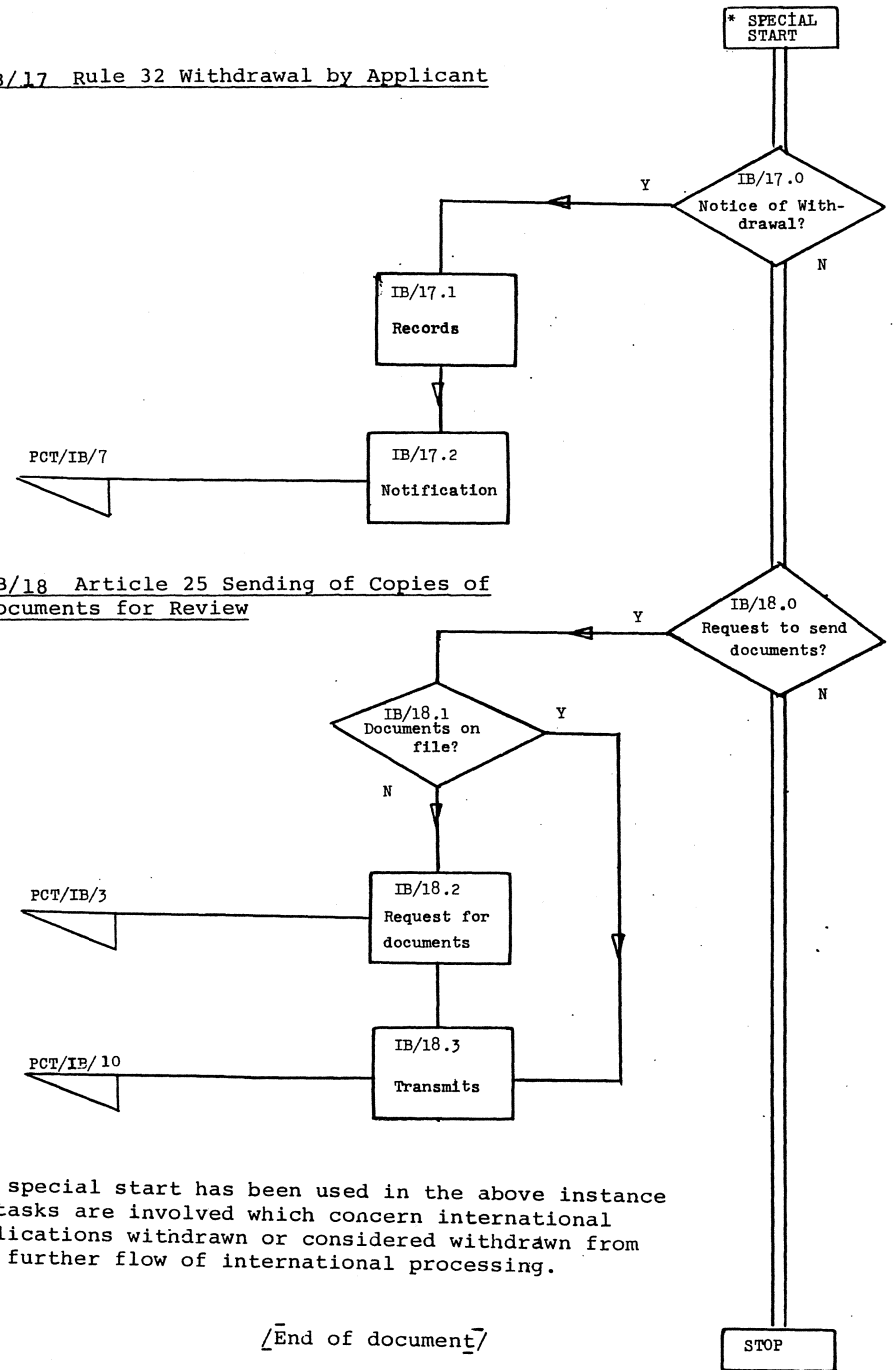
IB/15 Rule 94 Furnishing of Copies

IB/16 Rule 95 Request for Copy of Translation



IB/17 Rule 32 Withdrawal by Applicant

IB/18 Article 25 Sending of Copies of Documents for Review



*The special start has been used in the above instance as tasks are involved which concern international applications withdrawn or considered withdrawn from the further flow of international processing.

[/End of document/]