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77/176
PCT/TCO/SS/IV/3
ENGLISH ONLY
DATE: March 15, 1973

WORLD INTELLECTUAL PROPERTY ORGANIZATION
UNITED INTERNATIONAL BUREAUX FOR THE PROTECTION OF INTELLECTUAL PROPERTY
GENEVA

PATENT COOPERATION TREATY

INTERIM COMMITTEE FOR TECHNICAL COOPERATION

STANDING SUBCOMMITTEE

Fourth Session, Geneva, April 25 to 30, 1973

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 processing tasks of the International Authorities under Chapters I and II of the PCT, briefly describes each step under each processing task, and illustrates--in flow charts--such tasks and steps as well as indicating the Forms to be used in connection therewith.

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INTRODUCTION

Purpose of this Document

1. The primary purpose of this document is to indicate to the International Authorities which Form is to be used and when it is to be used in the processing of international applications.

Construction of this Document

2. This document covers the processing of international applications under Chapters I and II of the PCT. The International Authorities involved are symbolized as follows: the Receiving Office ("RO"), the International Searching Authority ("ISA"), the International Bureau ("IB"), and the International Preliminary Examining Authority ("IPEA").

3. This document is divided into four Parts (A, B, C, and D), each corresponding to one of the said four Authorities (in the order indicated above).

4. Each Part is subdivided into three subparts: the first (A/I, B/I, C/I and D/I) indicating the processing tasks of the Authority; the second (A/II, B/II, C/II and D/II) describing the various steps under each task; and the third (A/III, B/III, C/III, and D/III) consisting of flow diagrams illustrating the tasks, the steps and the Forms to be used.

5. Part C has its subparts further subdivided to reflect the processing performed on an international application by the International Bureau under both Chapters I and II of the PCT.

The Processing Tasks

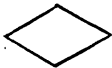
6. The processing, which any international application may receive before a particular Authority, is divided into general categories referred to as processing tasks. These tasks are indicated by the symbol of the Authority (RO, ISA, IB, or IPEA), an oblique stroke and a number. For example: "RO/3" means task number 3 of the Receiving Office.

The Steps Under the Processing Tasks




7. Each processing task is itself divided into steps which are described and annotated with references to the relevant provision of the Articles, Rules and Administrative Instructions of the PCT and, where applicable, with references to the Forms. These steps are indicated by the symbol of the Authority 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.

8. It is to be noted that in certain instances incomplete references are made to Sections of the Administrative Instructions. This has been done since that document is presently under revision and will be presented to the next meeting of the Interim Advisory Committee for Administrative Questions. After revision of the Administrative Instructions, such references in this document will be clarified.

The Flow Diagrams

9. The flow diagrams are contained in charts. Each chart has a double line || running along the right-hand side of the page. This double line traces the normal flow of the processing of an international application. 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.

10. The arrangement of the normal processing flow is such that, for the vast majority of international 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 temporarily, or, in some situations, permanently, from continuing down the normal flow line.

11. 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 processing 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/105). Reference can readily be made to document PCT/TCO/SS/IV/2 to  determine the contents of the Form to be used.

12. Any Form is identified in the manner used in document PCT/TCO/SS/IV/2. Such identification consists of the symbol PCT, an oblique stroke, the symbol of the authority employing the Form, an oblique stroke, and the number of the Form (for example: "PCT/RO/110").

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

PART A/I RECEIVING OFFICE: PROCESSING TASKS

<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) CHECK (LATER FINDING OF 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	RULES 18.5 AND 54.4 REQUEST FOR CHANGE IN PERSON, NAME OR ADDRESS
RO/15	RULES 90.3 AND 90.4 APPOINTMENT OR REVOCATION OF POWER OF ATTORNEY
RO/16	RULE 83 PRODUCTION OF PROOF OF RIGHT TO PRACTICE
RO/17	RULE 93.1 KEEPING OF RECORDS AND FILES

PART A/II RECEIVING OFFICE: ANNOTATED DESCRIPTION OF THE STEPS UNDER THE PROCESSING 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 purported International Application by marking date of receipt in space provided in request (Form PCT/RO/101) and then marks number assigned by International Bureau on each sheet (Rule 20.1(a)).
- RO/1.2 Does the receiving Office receive later filed sheets (missing papers and drawings) from the Applicant completing the 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), Section 208 of the Administrative Instructions).
- RO/1.4 Does the receiving Office find that the 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 20.2).

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 the application lacks compliance with any of the Article 11(1) requirements?

RO/3.1 The receiving Office mails invitation (Form PCT/RO/103) to Applicant to fulfill Article 11(1) requirement (Rules 20.6(a) and (b)).

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

RO/3.3 The receiving Office corrects the date of actual receipt marked on the request (Form PCT/RO/101) (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)), and notifies International Bureau that number marked on papers shall not be used as an International Application number (Rule 20.7(ii)), (Form PCT/RO/104).

RO/3.5 The receiving Office refunds (Form PCT/RO/119) any international and/or search fee received since attempted Article 11(1) corrections unsuccessful (Rules 15.6 and 16.2).

RO/3.6 The receiving Office transmits (Form PCT/RO/118) a copy of the purported International Application to the International Bureau provided a request (Form PCT/IB/303) therefore has been received (Rule 20.7(iv)).

RO/3.7 The receiving Office makes a positive determination of Article 11(1) requirements and marks name of receiving Office and words "PCT International Application" or "Demande Internationale PCT" in the request (Form PCT/RO/101) (Rule 20.5(a)).

RO/3.8 The receiving Office notifies (Form PCT/RO/105) Applicant as to the international application number and international 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 (Rule 11.1(b), Section 205 of the Administrative Instructions) and prepares the additional copies for which it may fix a fee (Form PCT/RO/120) (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 (Form PCT/RO/118) 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). Where the record copy is forwarded to the applicant, see Form PCT/RO/122. Where it has been held available but has not been timely collected by the applicant, the International Bureau is notified accordingly (Form PCT/RO/114).
- RO/5.2 The receiving Office transmits the record copy to the International Bureau (Rule 22.1(a)) (unless alternative procedure applicable, see RO/5.1) and transmits the search copy to the competent International Searching Authority (Form PCT/RO/118) (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 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), so notifies the International Searching Authority (Form PCT/RO/106) (Rule 26.1(b)).
- RO/6.2 The receiving Office marks date of receipt of any corrections submitted by the Applicant 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) and Section 211 of the Administrative Instructions).
- 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 (Form PCT/RO/117) the Applicant, the International Bureau, and the International Searching Authority (if search copy was sent already) that the International Application is considered withdrawn (Rule 29.1(ii)).
- RO/6.5 The receiving Office transmits (Form PCT/RO/118) any corrections and replacement sheets to the International Bureau and a copy thereof to the International Searching Authority (Rules 26.4(c) and (d)).

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

- RO/7.0 Does the receiving Office find references in the International Application to drawings which were not filed (Article 14(2))?
- RO/7.1 The receiving Office indicates in the international application that drawings are missing (Rule 26.6(a)).
- RO/7.2 The receiving Office notifies (Form PCT/RO/107) Applicant of missing drawings (Article 14(2)).
- RO/7.3 Does the receiving Office find that the Applicant timely files the missing drawings?
- 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 international filing date or the date of actual receipt marked on the request (Form PCT/RO/101) where the international filing date has not yet been accorded. (Article 14(2), Rule 20(2)(a)(iii) and Section 210(a)(i) of the Administrative Instructions).

- RO/7.6 The receiving Office notifies, where the missing drawings are timely filed, the Applicant (and the International Bureau and International Searching Authority where Article 12(1) transmittals have already been made) of the correction of the date (Section 210(ii), (iii), of the Administrative Instructions). Where the missing drawings are not timely filed, the receiving Office notifies the applicant of this fact and the date of receipt of the missing drawings, (Section 210(b)(i) of the Administrative Instructions).
- RO/7.7 The receiving Office transmits, where the Article 12(1) transmittals have already been made, copies of the drawings to the International Bureau and, provided the missing drawings are timely filed, also to the International Searching Authority (see Section 210(a)(iii), (b)(ii) of the Administrative Instructions. (Form PCT/RO/118).
- 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 search fee and/or the international 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 (Form PCT/RO/102) payment of the transmittal fee, the search fee and/or the international fee.
- RO/8.2 Does the receiving Office timely receive payment of the transmittal fee, the search fee, and the basic fee part of the international fee?
- RO/8.3 Does the receiving Office find that timely payment of the designation fee part of the international fee for all designated States is lacking (Article 14(3)(b))?
- RO/8.4 The receiving Office notifies (Form PCT/RO/117) 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 (Form PCT/RO/118) 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 (Form PCT/RO/116) the Applicant and the International Bureau that it declares that the designation of States for which no designation fee was paid are considered to be withdrawn (Article 14(3)(b), Rule 29.1(b)).
- RO/9 ARTICLE 14(4) CHECK (LATER FINDING OF NON COMPLIANCE WITH ARTICLE 11(1) REQUIREMENTS)
- RO/9.0 Does the receiving Office later find non-compliance with the requirements of Article 11(1) before the expiration of the Rule 30 time limit of six months (Article 14(4))? (See Forms PCT/ISA/209 and PCT/IB/321).
- RO/9.1 The receiving Office notifies (Form PCT/RO/115) 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 (Form PCT/RO/117) 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 The receiving Office transmits (Form PCT/RO/118) the record copy (unless already transmitted) and any corrections thereto to the International Bureau (Rule 29.1(a)(i)), but does not transmit the search copy (Rule 29.1(a)(iii)).

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

RO/10.0 Does the receiving Office find Rule 9 defects exist?

RO/10.1 The receiving Office invites (Form PCT/RO/112) the Applicant to voluntarily correct lack of compliance with Rule 9.1 and notifies the International Searching Authority and the International Bureau of such lack of compliance (Rule 9.2).

RO/10.2 Does the receiving Office find that the Article 12(1) transmittals (Form PCT/RO/118) of the record and search copies have already been made?

RO/10.3 The receiving Office enters corrections received from the Applicant into the International Application.

RO/10.4 The receiving Office transmits (Form PCT/RO/118) copies of the corrections to the International Searching Authority and the International Bureau (Section 204 of the Administrative Instructions).

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 is lacking?

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 (Form PCT/RO/121) 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 (Section 202 of the Administrative Instructions).

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 (Form PCT/RO/110) 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 (Form PCT/RO/111) 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 (Form PCT/RO/108) Applicant to submit a request for rectification of obvious errors of transcription (Rule 91.1(d)).
- RO/13.2 Does the receiving Office find, where it is presented with a request for authorization, that such request is proper and 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 Applicant and the International Bureau of any rectification authorized and, where the authorization for rectification was denied, notifies only the Applicant (Form PCT/RO/109) (Rule 91.1(h), Section _____ of the Administrative Instructions).

RO/14 RULES 18.5 AND 54.4 REQUEST FOR CHANGE IN PERSON, NAME, OR ADDRESS

- RO/14.0 Does the receiving Office receive a request for any change in the person, name or address of the Applicant?
- RO/14.1 The receiving Office notifies (Form PCT/RO/113) the International Bureau of the requested change (Rules 18.5 and 54.4, Section _____ of the Administrative Instructions).

RO/15 RULES 90.3 AND 90.4 APPOINTMENT OR REVOCATION OF POWER OF ATTORNEY

- RO/15.0 Does the receiving Office receive a separate document appointing or revoking a power of attorney?
- RO/15.1 Does the receiving Office find that the appointment or revocation is defective (Rules 90.3(c) and 90.4(b))?
- RO/15.2 The receiving Office notifies (Form PCT/RO/124) the Applicant of the defects and invites correction thereof (Rules 90.3(c) and 90.4(b), Section _____ of the Administrative Instructions).
- RO/15.3 Does the receiving Office find that the Applicant has timely corrected the defects?
- RO/15.4 The receiving Office considers the appointment or revocation as non-existent (Rules 90.3(c) and 90.4(b)).
- RO/15.5 The receiving Office notifies (Form PCT/RO/123) the International Bureau, the International Searching Authority, and the International Preliminary Examining Authority of the appointment or revocation (Rules 90.3(b) and 90.4(b)).

RO/16 RULE 83 PRODUCTION OF PROOF OF RIGHT TO PRACTICE

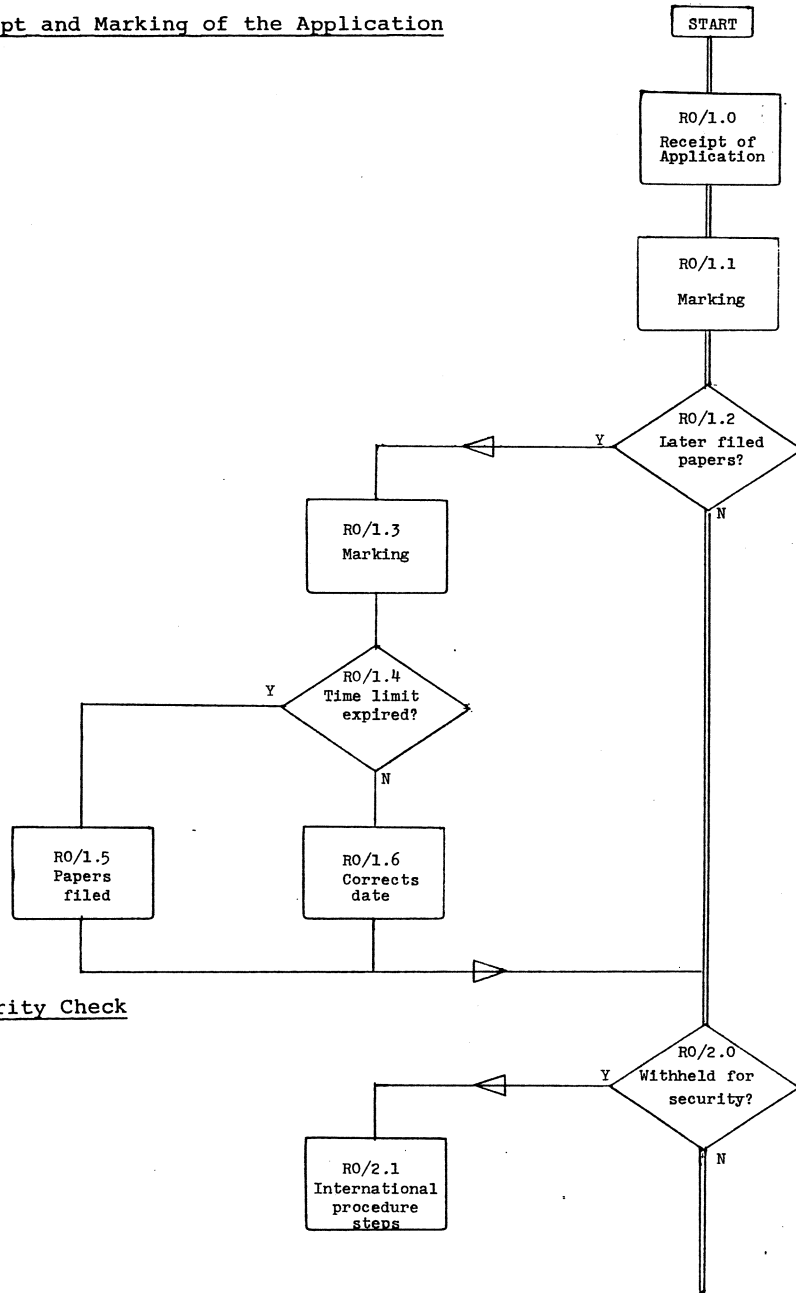
- RO/16.0 Does the receiving Office receive a request from either the International Searching Authority (Form PCT/ISA/214) or the International Bureau (Form PCT/IB/323) or the International Preliminary Examining Authority (Form PCT/IPEA/410) for the production of proof of the right to practice of any attorney, patent agent, or other person (Article 49, Rule 83)?
- RO/16.1 The receiving Office transmits (item 6 of Form PCT/RO/118) information whether such person has the right to practice to the international authority which so requested (Rule 83.2).

RO/17 RULE 93.1 KEEPING OF RECORDS AND FILES

- RO/17.0 The receiving Office keeps the records relating to the Interna-

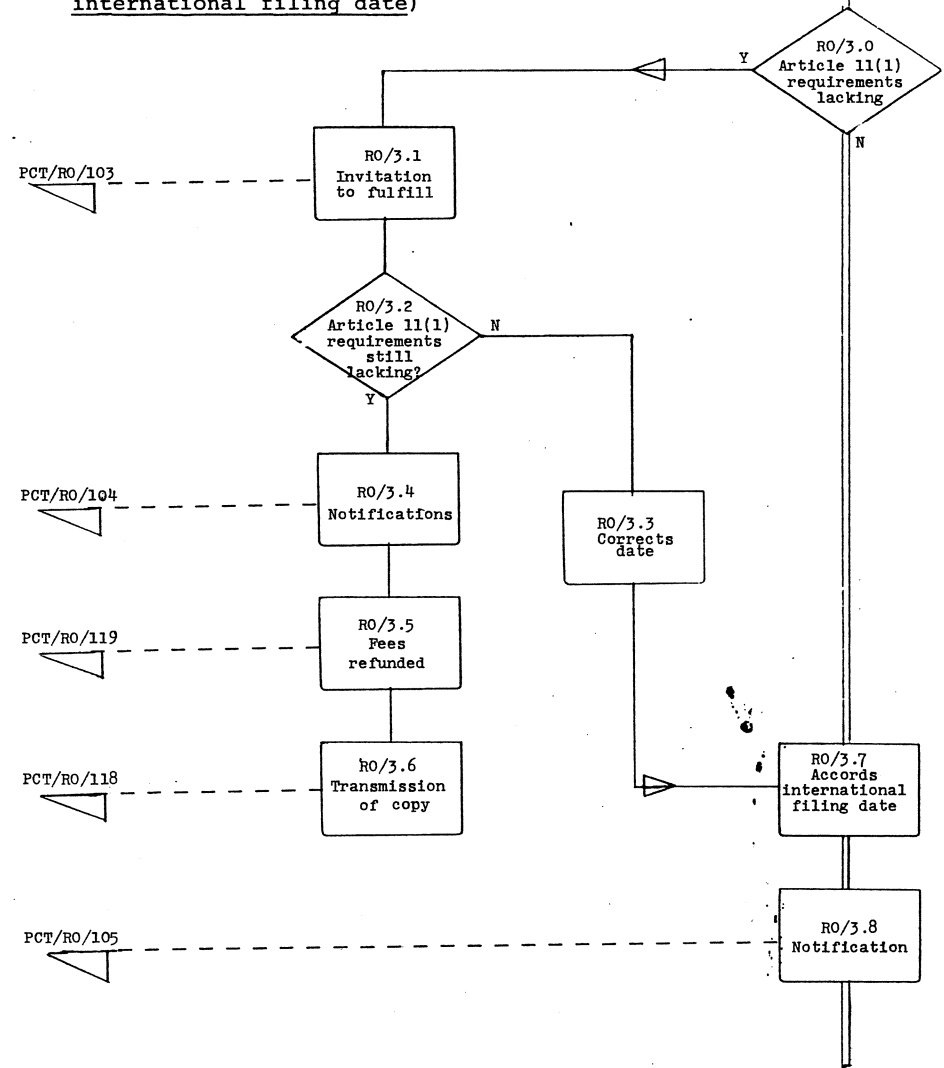
PART A/III RECEIVING OFFICE: FLOW DIAGRAMS

RO/1 Receipt and Marking of the Application

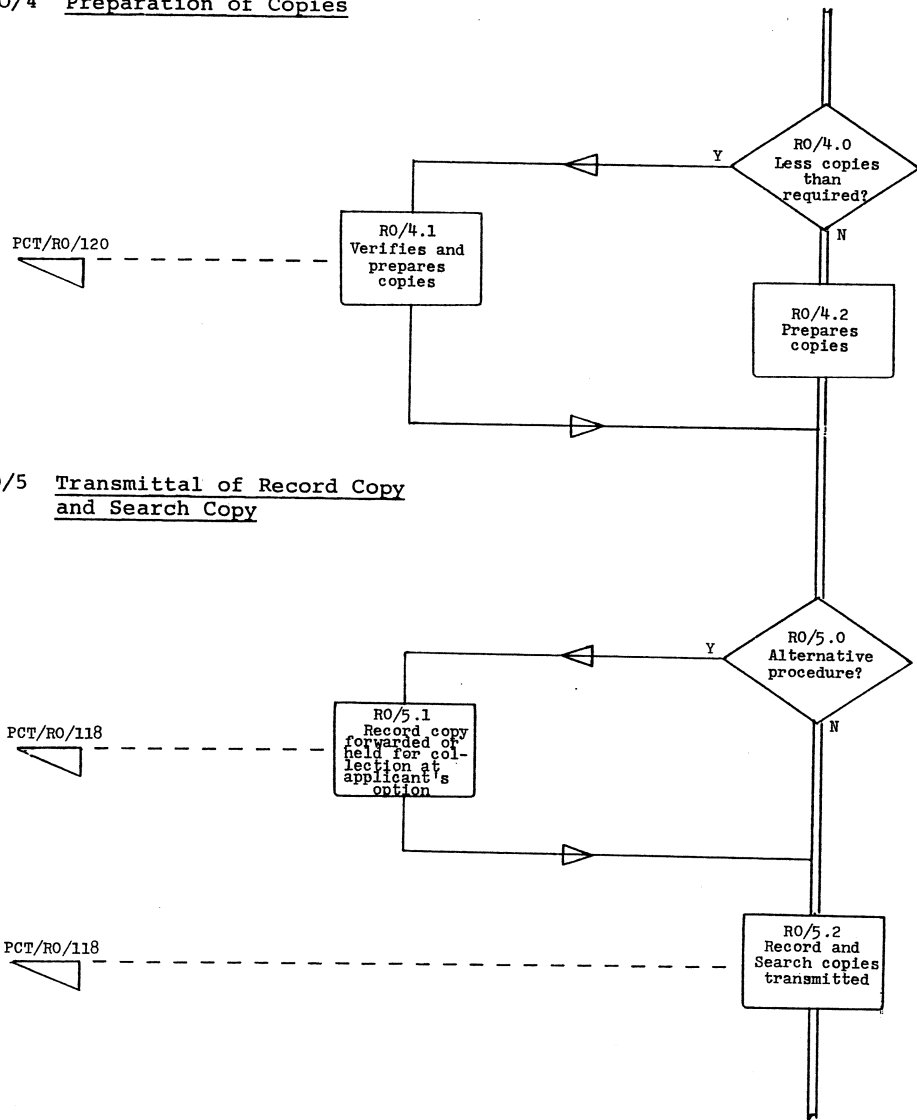


RO/2 Security Check

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

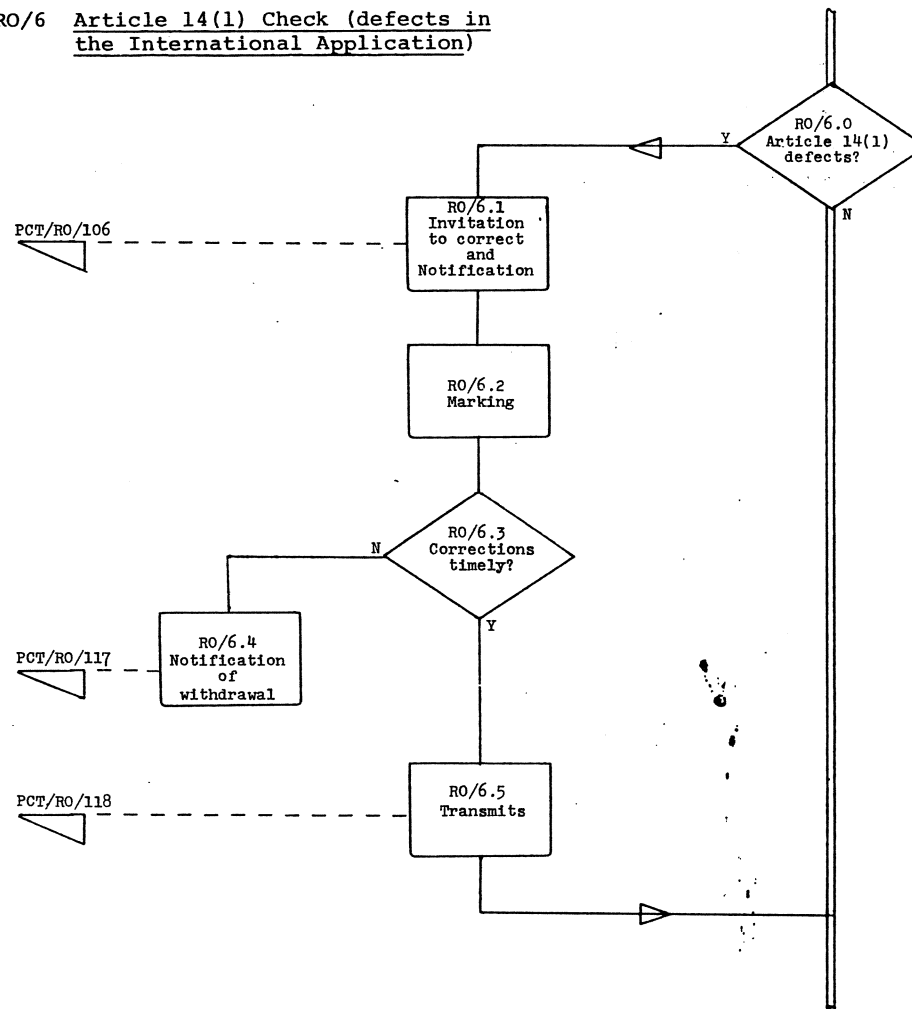


RO/4 Preparation of Copies

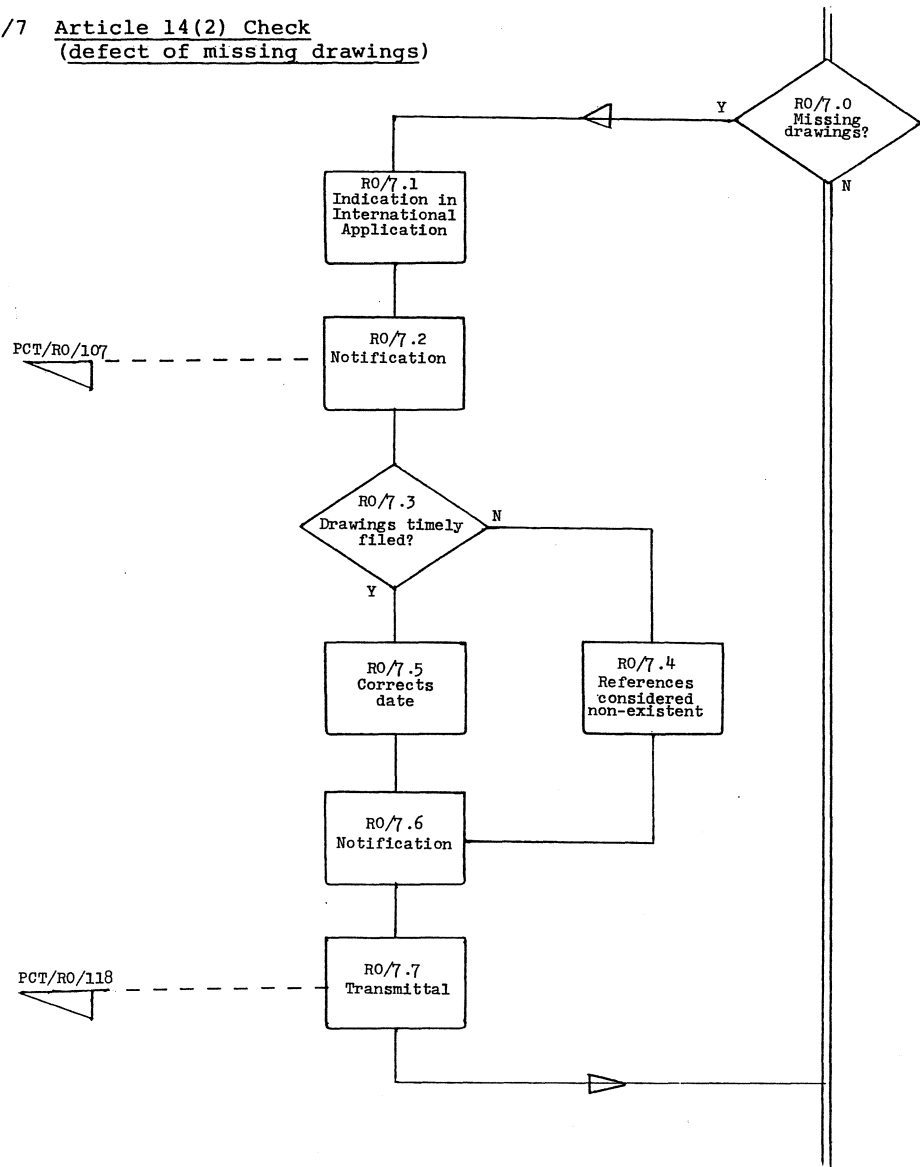


RO/5 Transmittal of Record Copy
and Search Copy

RO/6 Article 14(1) Check (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)

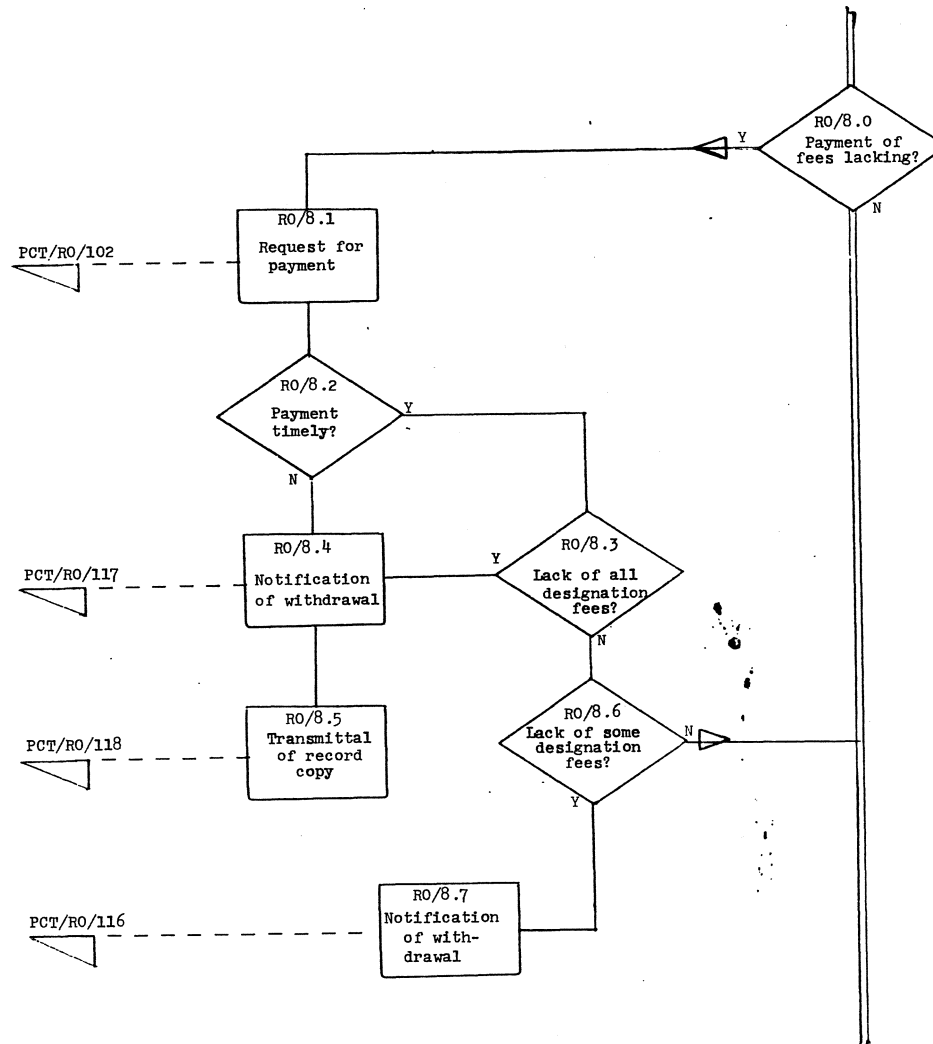
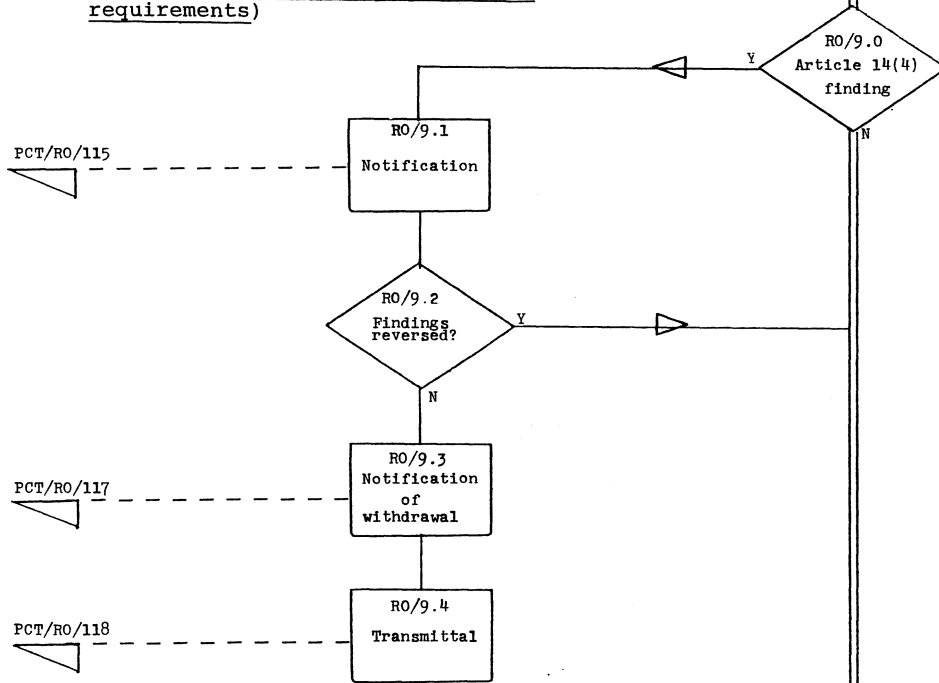


CHART A7

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RO/9 Article 14(4) Check (later finding of non-compliance with Article 11 requirements)



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

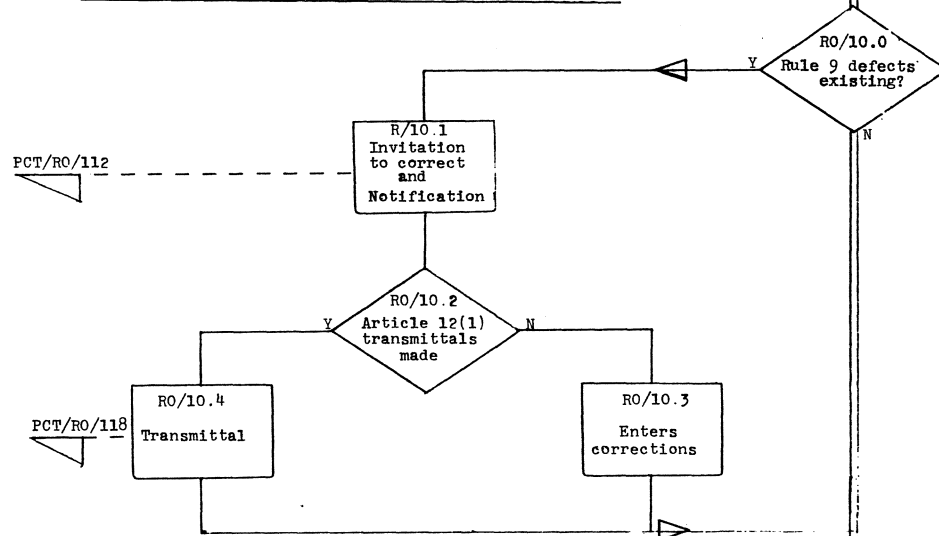
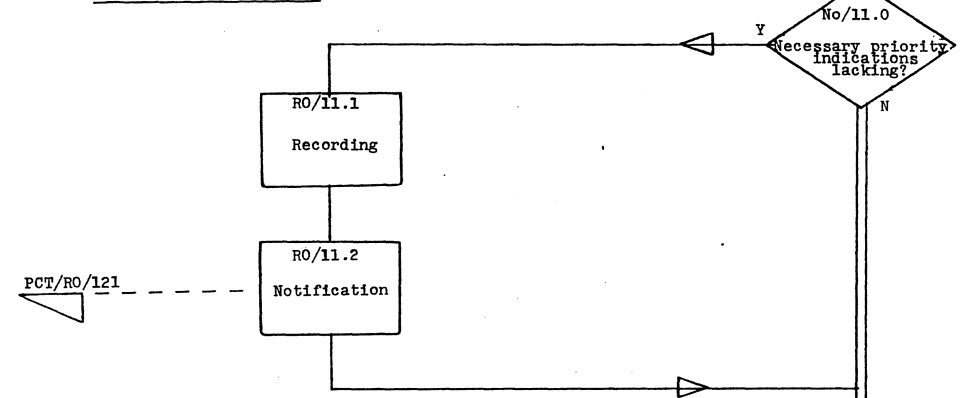


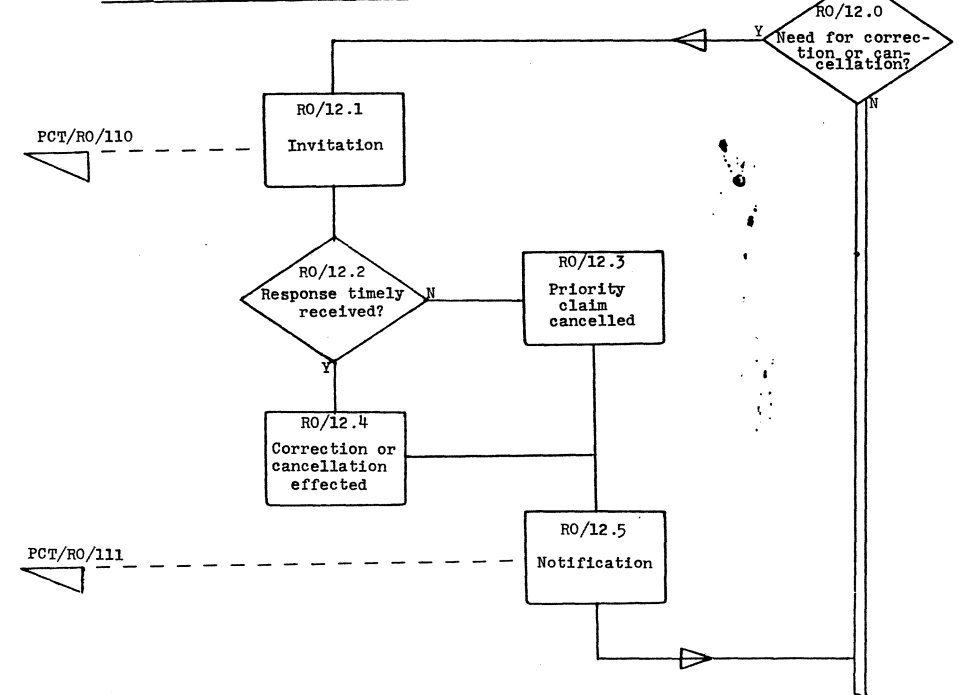
CHART A8

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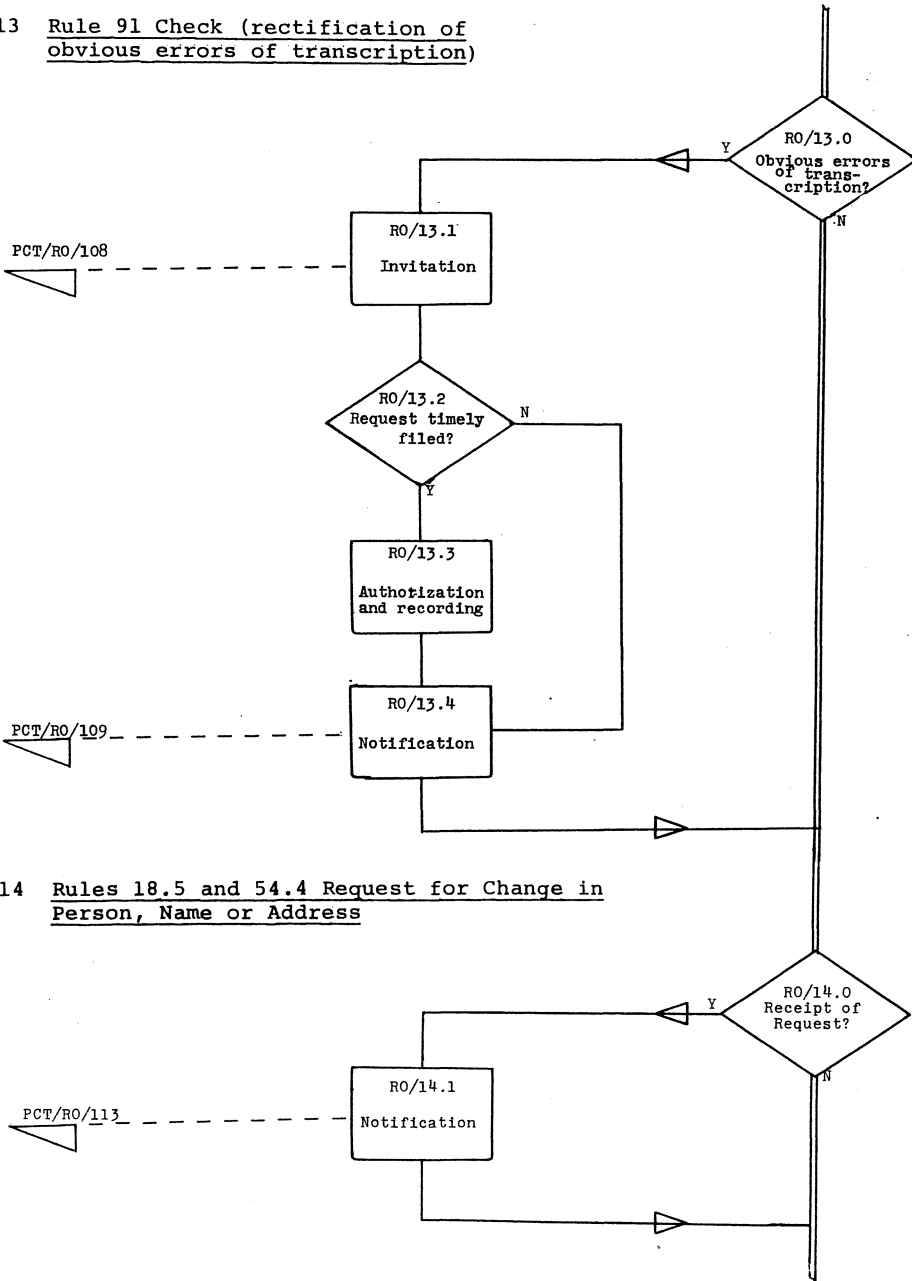
RO/11 Rule 4.10(b) Check (lack of necessary priority indications concerning country or date of filing)



RO/12 Rule 4.10(d) Check (erroneous indication of priority date)

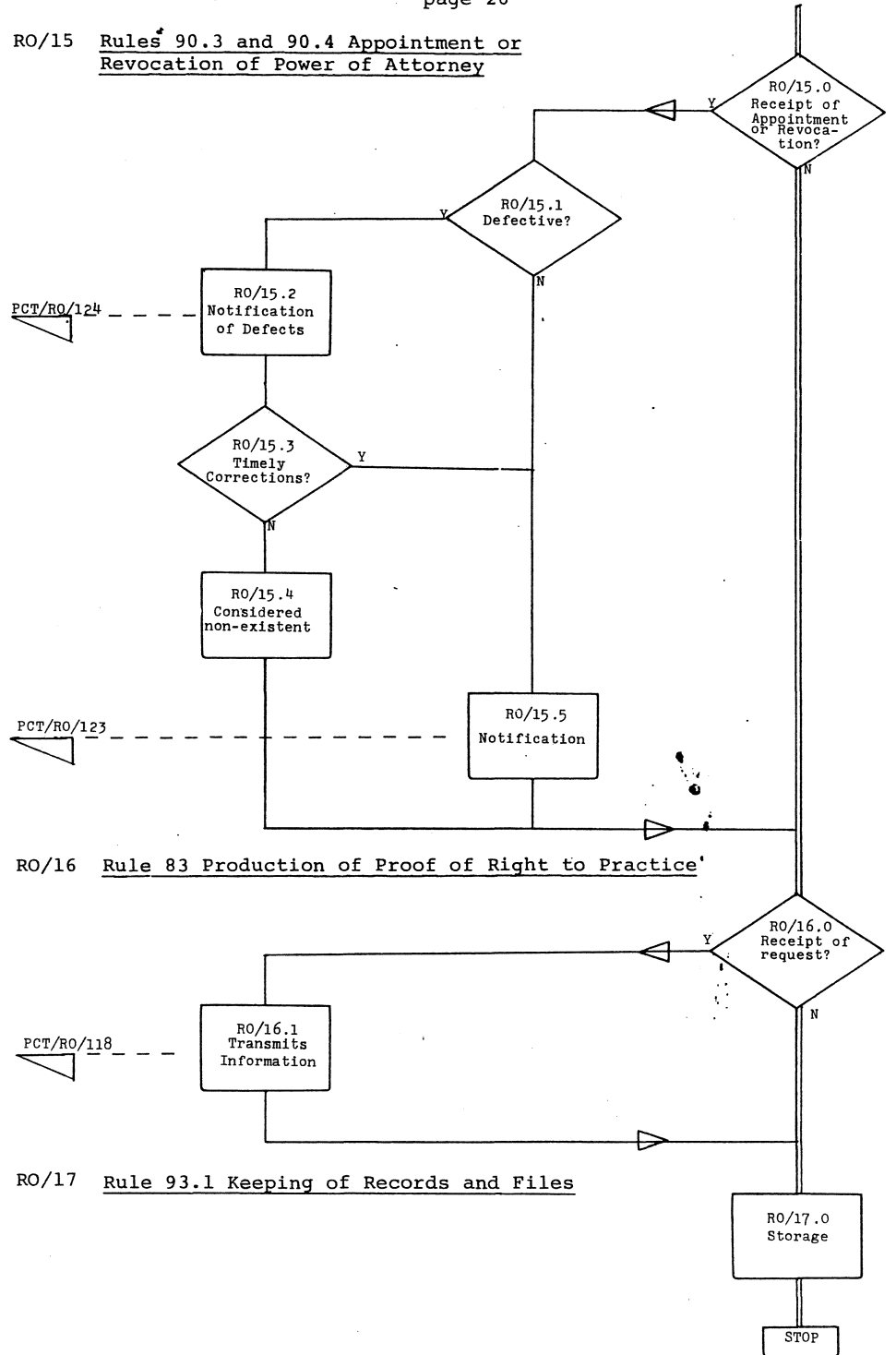


RO/13 Rule 91 Check (rectification of obvious errors of transcription)



RO/14 Rules 18.5 and 54.4 Request for Change in Person, Name or Address

RO/15 Rules 90.3 and 90.4 Appointment or Revocation of Power of Attorney



RO/16 Rule 83 Production of Proof of Right to Practice

RO/17 Rule 93.1 Keeping of Records and Files

PART B/I INTERNATIONAL SEARCHING AUTHORITY: PROCESSING TASKS

<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 COMPLIANCE WITH REQUIREMENT 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 48.3(b) TRANSLATION OF INTERNATIONAL APPLICATION
ISA/15	RULE 93.3 KEEPING OF RECORDS AND FILES

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

ISA/1 RECEIPT OF THE SEARCH COPY UNDER RULE 25

ISA/1.0 The International Searching Authority notifies (Form PCT/ISA/202) 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 (Form PCT/ISA/209) 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 (Form PCT/ISA/203) 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 (item VII of Form PCT/ISA/210) 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 REQUIREMENT 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 (item VI of Form PCT/ISA/210) 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 (Form PCT/ISA/206) 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 and notifies (Form PCT/ISA/212) the Applicant accordingly (Rule 40.2(c), Section _____ of the Administrative Instructions).
- ISA/4.7 The International Searching Authority registers the notice of protest and its decision thereon and, if requested by Applicant, forwards them together with the international search report (item VI(2) of Form PCT/ISA/210) to the International Bureau so that such may be notified to designated Offices (Rule 40.2(c)).
- ISA/4.8 The International Searching Authority searches also 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 is missing a title?

- ISA/5.1 Does the International Searching Authority find that it has received a notification (item 2 of Form PCT/RO/106) 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/210) (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 is missing an abstract?
- ISA/6.1 Does the International Searching Authority find that it has received a notification (item 2 of Form PCT/RO/106) 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, only in the case where the abstract was established on the basis of an abstract which was not missing but was defective, invites (Form PCT/ISA/204) Applicant to comment thereon (Rule 38.2(a)).
- ISA/6.4 The International Searching Authority upon consideration of any timely comments submitted by the Applicant determines the definitive contents of the abstract (Rule 38.2(b)).
- ISA/6.5 The International Searching Authority notifies (Form PCT/ISA/205) the Applicant and the International Bureau of the abstract approved or established (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 (Form PCT/ISA/215) 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 (Form PCT/ISA/218) (Rule 9.2).
- ISA/8.2 The International Searching Authority enters corrections received from the Applicant into the International Application.
- ISA/9 RULE 91 CHECK (RECTIFICATION OF 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 (Form PCT/ISA/216) 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 rectification 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 (Form PCT/ISA/217) the Applicant and the International Bureau of the authorization for rectification (Rule 91.1(h), Section _____ of the Administrative Instructions).

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/201) which is to be utilized (Rule 4.11)?
- ISA/10.1 The International Searching Authority refunds (Form PCT/ISA/213) to Applicant the Search Fee to 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/210) (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 (Form PCT/ISA/220) and to the International Bureau (Form PCT/ISA/219) (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 (Form PCT/ISA/219) 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 (Form PCT/ISA/211) copies of cited documents to the Applicant and to the designated Offices (Rule 44.3(b)).

ISA/14 RULE 48.3(b) TRANSLATION OF INTERNATIONAL APPLICATION

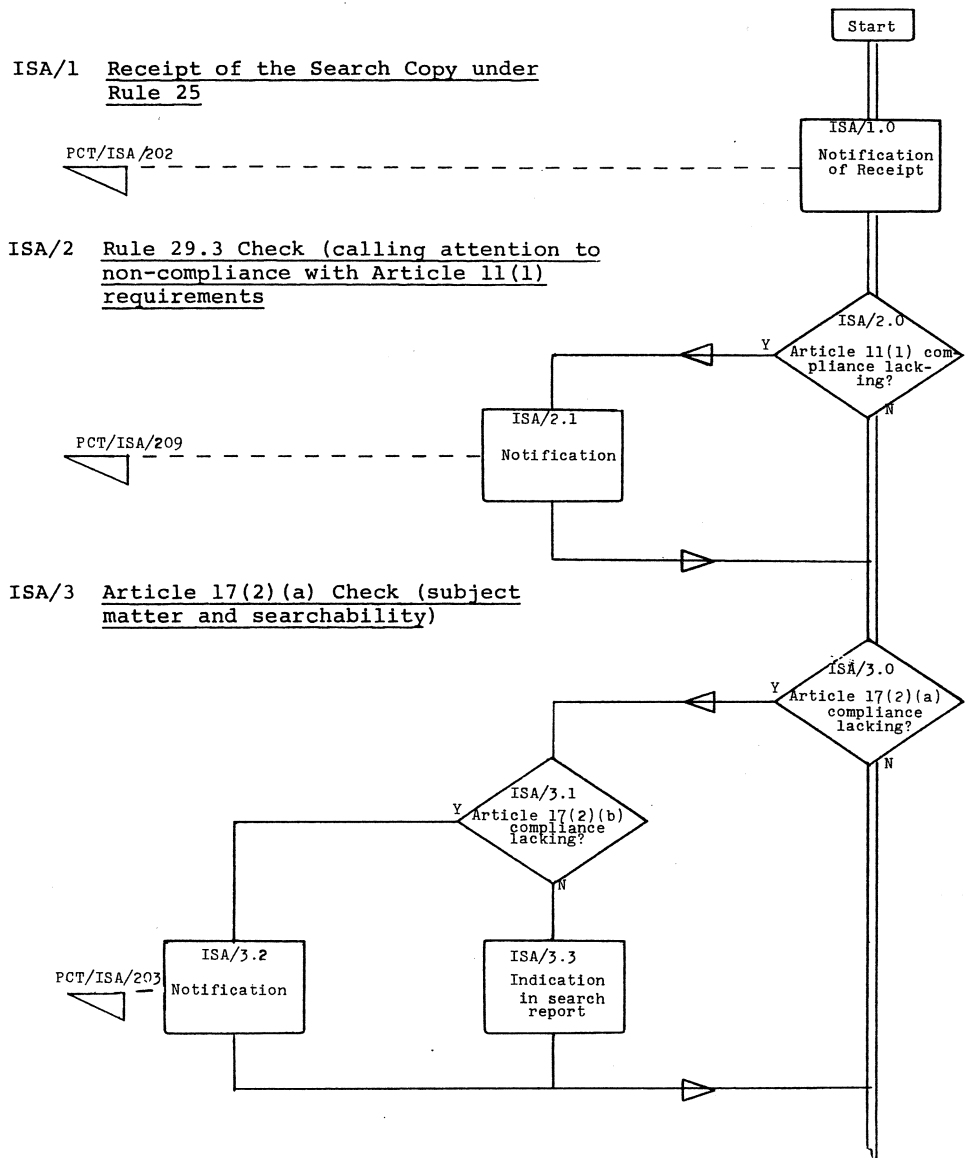
- ISA/14.0 Does the International Searching Authority find that the International Application was filed under Rule 12 in a language other than English, French, German, Japanese, or Russian (Rule 48.3(b))?

- ISA/14.1 The International Searching Authority prepares a draft translation of the International Application within the prescribed time limit (Rule 48.3(b)).
- ISA/14.2 The International Searching Authority invites (PCT/ISA/207) the Applicant to comment on the draft translation within the prescribed time limits (Rule 48.3(b)).
- ISA/14.3 Does the International Searching Authority find that the Applicant has timely submitted comments?
- ISA/14.4 The International Searching Authority does not consider the comments in establishing the translation (Rule 48.3(b), Section _____ of the Administrative Instructions).
- ISA/14.5 The International Searching Authority notifies (Form PCT/ISA/208) the Applicant as to the consideration given the comments in establishing the translation (Rule 48.3(b), Section _____ of the Administrative Instructions).

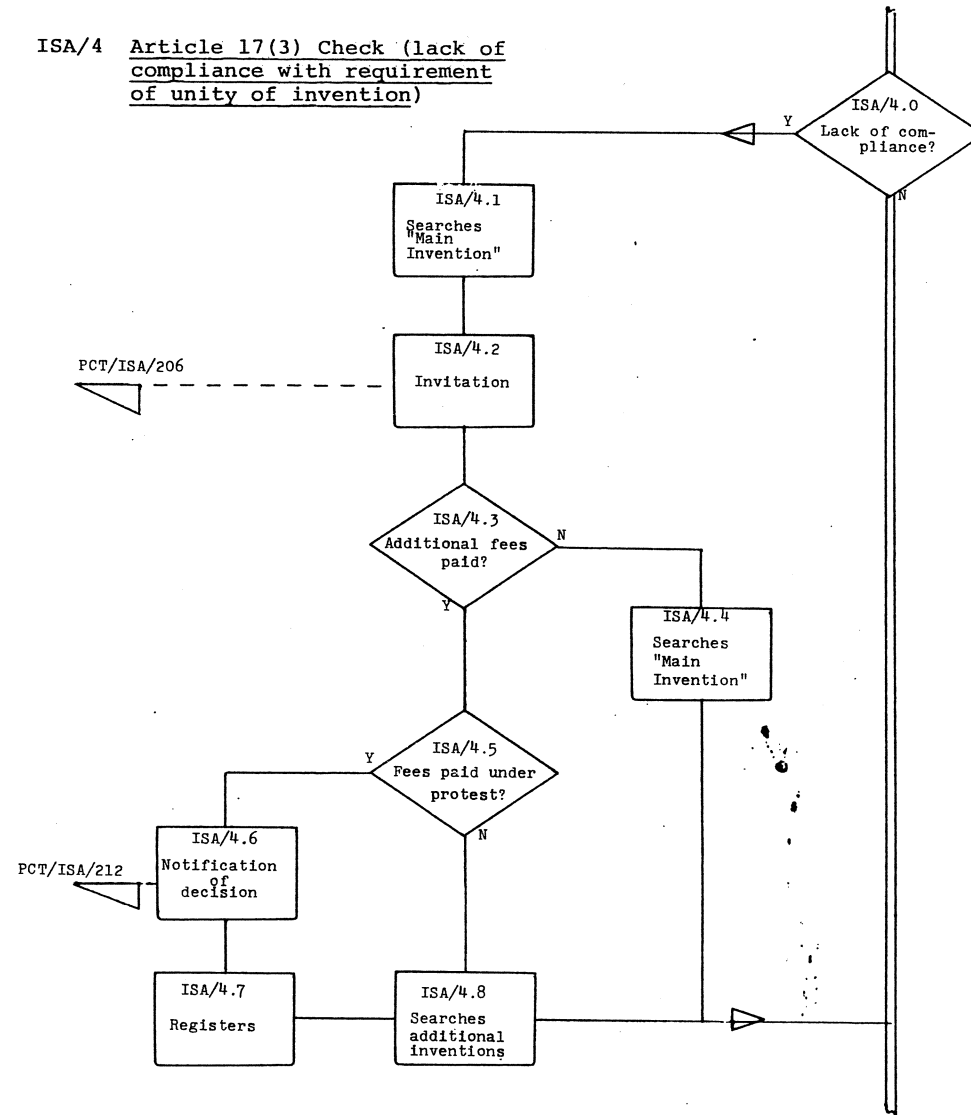
ISA/15 RULE 93.3 KEEPING OF RECORDS AND FILES

- ISA/15.0 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).

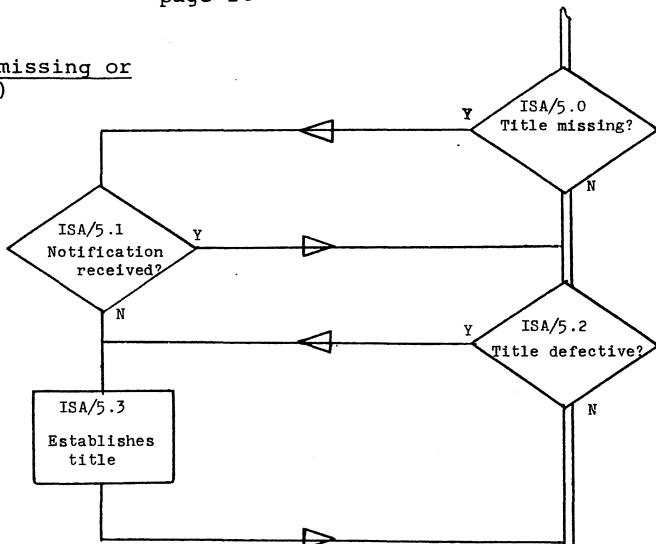
PART B/III: INTERNATIONAL SEARCHING AUTHORITY: FLOW DIAGRAMS



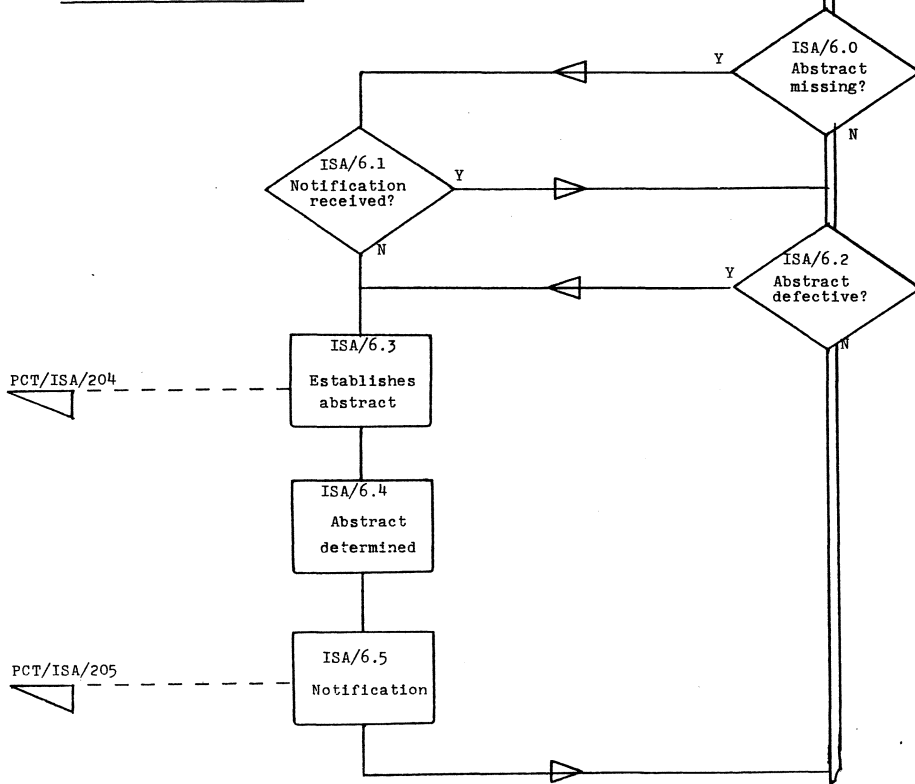
ISA/4 Article 17(3) Check (lack of compliance with requirement of unity of invention)



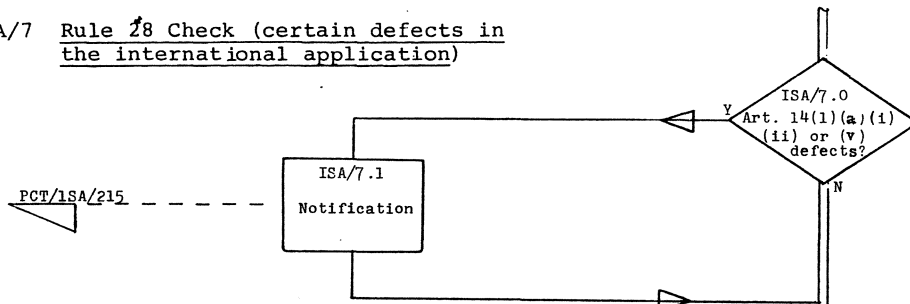
ISA/5 Rule 37 Check (missing or defective title)



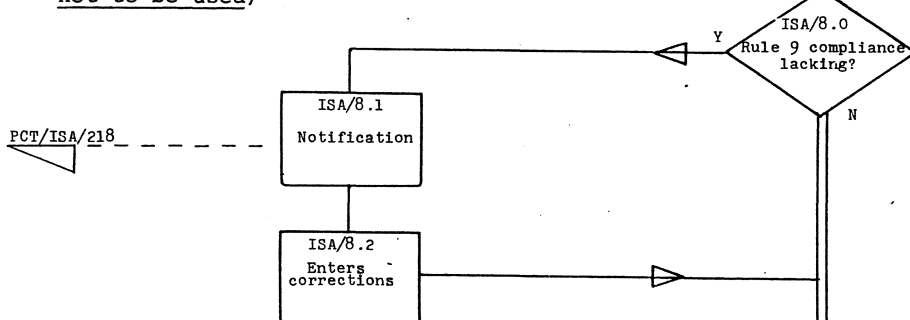
ISA/6 Rule 38 Check (missing or defective abstract)



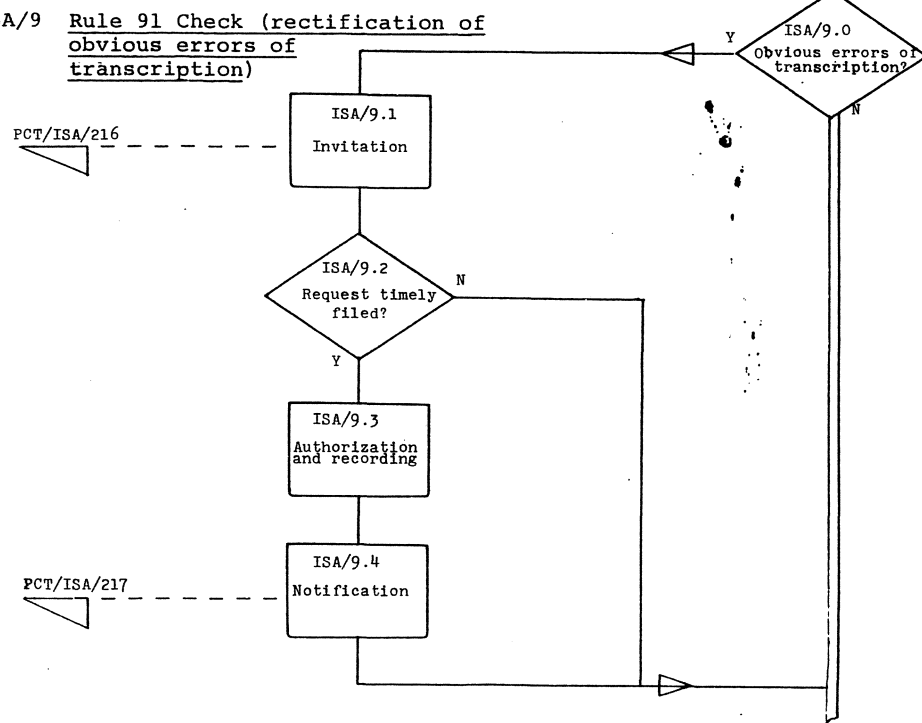
ISA/7 Rule 28 Check (certain defects in the international application)



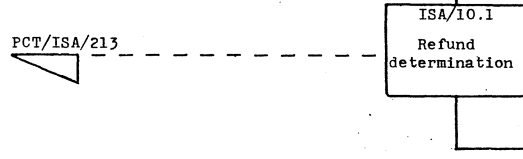
ISA/8 Rule 9 Check (expressions not to be used)



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

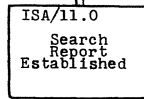


ISA/10 Rules 16.3 and 41 Refund (using of international or international-type search report)



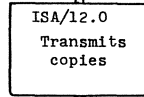
PCT/ISA/213

ISA/11 Article 18 Establishment of International Search Report

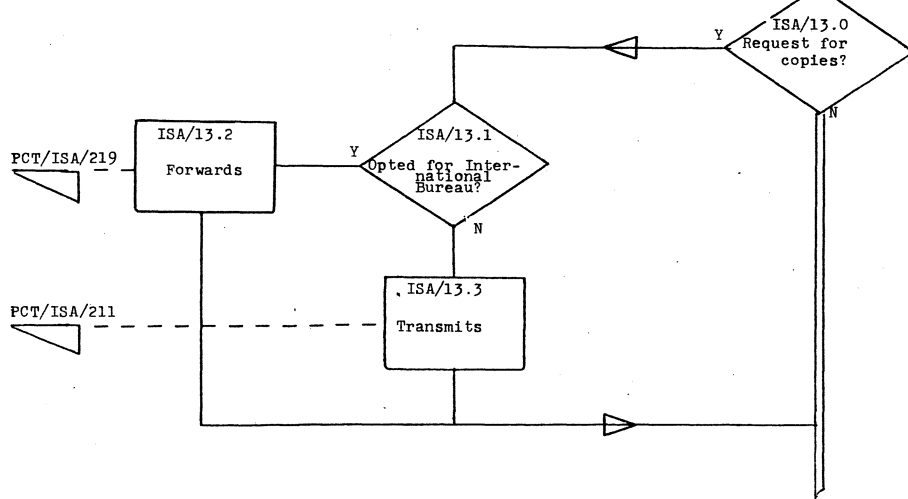


ISA/12 Rule 44.1 Transmittal of International Search Report

PCT/ISA/219 and PCT/ISA/220



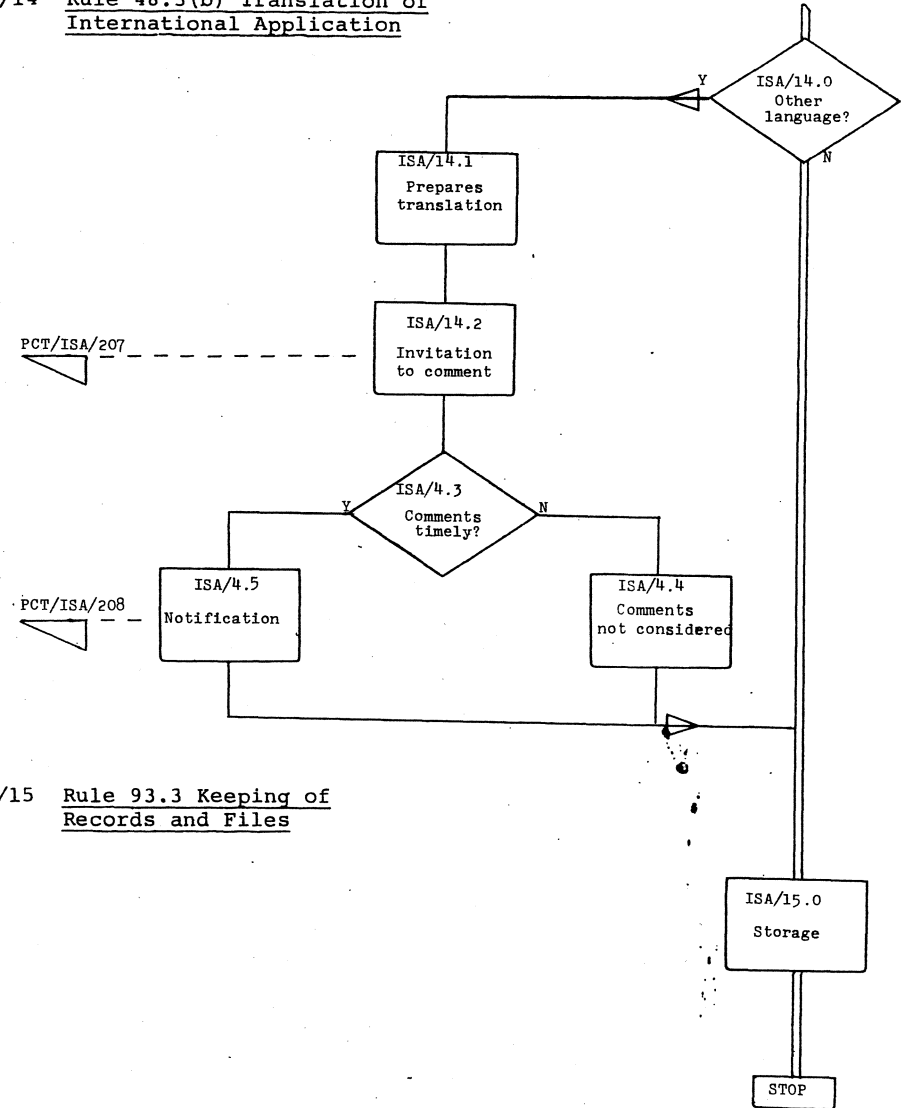
ISA/13 Rule 44.3 Preparation and Transmittal of Cited Documents



PCT/ISA/219

PCT/ISA/211

ISA/14 Rule 48.3(b) Translation of International Application



PCT/ISA/207

PCT/ISA/208

ISA/15 Rule 93.3 Keeping of Records and Files

PART C/I INTERNATIONAL BUREAU: PROCESSING TASKS

PCT CHAPTER I

<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	RULES 18.5 AND 54.4 REQUEST FOR CHANGE IN PERSON, NAME OR ADDRESS*
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 93.2 KEEPING OF RECORDS AND FILES*
IB/15	RULE 94 FURNISHING OF COPIES*
IB/16	RULE 95 REQUEST FOR COPY OF TRANSLATION*
IB/17	RULES 90.3 AND 90.4 APPOINTMENT OR REVOCATION OF POWER OF ATTORNEY*
IB/18	RULE 32 WITHDRAWAL BY APPLICANT
IB/19	ARTICLE 14(1), (3) OR (4) DECLARATION OF INTERNATIONAL APPLICATION OR DESIGNATION CONSIDERED WITHDRAWN
IB/20	ARTICLE 25 SENDING OF COPIES OF DOCUMENTS FOR REVIEW

* These tasks are listed above under PCT Chapter I, however, they may arise also in respect to PCT Chapter II.

PCT CHAPTER II

<u>TASK SYMBOL</u>	<u>TASK</u>
IB/21	RECEIPT OF COPY OF DEMAND
IB/22	RULE 60.1(d) CHECK (DEFECTS IN THE DEMAND)
IB/23	RULE 62.1(b) TRANSMITTAL OF COPY OF INTERNATIONAL APPLICATION AND INTERNATIONAL SEARCH REPORT
IB/24	TRANSMITTAL OF ARTICLE 19 AMENDMENTS
IB/25	RULE 66.7(a) TRANSMITTAL OF PRIORITY DOCUMENT
IB/26	ARTICLE 31(6)(b) LATER ELECTION OF STATES
IB/27	RULE 75.1 WITHDRAWAL BY APPLICANT
IB/28	RECEIPT OF THE INTERNATIONAL PRELIMINARY EXAMINATION REPORT
IB/29	TRANSLATION OF THE INTERNATIONAL PRELIMINARY EXAMINATION REPORT
IB/30	COMMUNICATION OF THE INTERNATIONAL PRELIMINARY EXAMINATION REPORT

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

PCT CHAPTER I

IB/1 RECEIPT OF THE RECORD COPY

IB/1.0 The International Bureau processes the record copy by marking date of receipt on request sheet and stamp of International Bureau on each sheet of the 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 (Form PCT/IB/326) 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 (Form PCT/IB/301) the Applicant, the receiving Office, and the International Searching Authority of the fact and date of receipt of record copy. Applicant's notification is to contain a list (item 1 of Form PCT/IB/309) of designated Offices notified and their applicable time limits under Article 22(3). The International Bureau also notifies (Form PCT/IB/302) the designated Office of the designation and of the fact and date of receipt of the record copy. (Rule 24.2(a)).
- IB/1.4 Does the International Bureau find that timely receipt of the notification (Form PCT/ISA/202) 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 (item 1 of Form PCT/IB/310) 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 transmits (item 2 of Form PCT/IB/310) 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 (item 2 of Form PCT/IB/310) 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 (Form PCT/IB/318) the Applicant, the receiving Office and the International Searching Authority that the priority claim is considered not to have been made (Section _____ of the Administrative Instructions).

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 (Form PCT/IB/305) 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 but 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 (Form PCT/IB/304) the Applicant and the designated Offices accordingly (Rule 17.1(c)).

IB/5.3 The International Bureau prepares and furnishes (item 3 of Form PCT/IB/310) 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 (Form PCT/IB/316) 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 (Form PCT/IB/317) 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 (Form PCT/IB/313) 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 (Form PCT/IB/314) 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 rectification 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/8.4 The International Bureau notifies (Form PCT/IB/315) Applicant of the authorization or denial of any request for rectification (Section _____ of the Administrative Instructions).

IB/9 RULES 18.5 AND 54.4 REQUEST FOR CHANGE IN PERSON, NAME OR ADDRESS

- IB/9.0 Does the International Bureau receive a request for change in person, name or address from the Applicant or receiving Office (Form PCT/RO/113)?
- IB/9.1 The International Bureau records change in person, name or address and notifies (Form PCT/IB/306) the International Searching Authority (International Preliminary Examining Authority) and designated (elected) Offices accordingly (Rules 18.5 and 54.4, Section _____ of the Administrative Instructions).

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 (Form PCT/IB/322) 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 (Form PCT/IB/310) the International Application and International Search Report (or declaration) to the designated Offices (Article 20).
- IB/12.1 The International Bureau notifies the Applicant (Form PCT/IB/308 and item 2 of Form PCT/IB/309) indicating designated 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 93.2 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 (Form PCT/IB/327), 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 which has been provided upon request (Form PCT/IB/311) to the International Bureau by a designated (elected) Office (Rule 95.1(a))?
- IB/16.1 The International Bureau transmits (Form PCT/IB/312), subject to reimbursement of cost, copies of translations to the persons requesting (Rule 95.1(b)).

IB/17 RULES 90.3 AND 90.4 APPOINTMENT OR REVOCATION OF POWER OF ATTORNEY

- IB/17.0 Does the International Bureau receive a separate document appointing or revoking a power of attorney?
- IB/17.1 Does the International Bureau find that the appointment or revocation is defective (Rules 90.3(c) and 90.4(b))?
- IB/17.2 The International Bureau notifies (Form PCT/IB/320 the Applicant of the defects and invites correction thereof (Rules 90.3(c) and 90.4(b), Section _____ of the Administrative Instructions).
- IB/17.3 Does the International Bureau find that the Applicant has timely corrected the defects?
- IB/17.4 The International Bureau considers the appointment or revocation as non-existent (Rules 90.3(c) and 90.4(b)).
- IB/17.5 The International Bureau notifies (Form PCT/IB/319) the receiving Office, the International Searching Authority, and the International Preliminary Examining Authority of the appointment or revocation (Rules 90.3(b) and 90.4(b)).

IB/18 RULE 32 WITHDRAWAL BY APPLICANT

- IB/18.0 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/18.1 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/18.2 The International Bureau sends notice (Form PCT/IB/307) 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/19 ARTICLE 14(1), (3) OR (4) DECLARATION OF INTERNATIONAL APPLICATION
OR DESIGNATION CONSIDERED WITHDRAWN

IB/19.0 Does the International Bureau find that it has received from the receiving Office a notification (Form PCT/RO/117) declaring that the International Application is considered withdrawn under Article 14(1), 3(a) or (4) or a notification (Form PCT/RO/116) that the designations of certain States are considered withdrawn under Article 14(3)(b)?

IB/19.1 The International Bureau notifies (Form PCT/IB/325) the designated Offices of the declaration that the International Application is considered withdrawn, or, where the declaration is that the designations of certain States are considered withdrawn, notifies (Form PCT/IB/324) the interested designated Offices (Rules 29.1(a)(ii) and 29.1(b)).

IB/20 ARTICLE 25 SENDING OF COPIES OF DOCUMENTS FOR REVIEW

IB/20.0 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/20.1 Does the International Bureau have the necessary documents on file (Rule 20.7(iii))?

IB/20.2 The International Bureau requests (Form PCT/IB/303) the documents from the receiving Office (Rule 20.7(iv)).

IB/20.3 The International Bureau transmits (item 5 of Form PCT/IB/310) the documents to the designated Offices named by the Applicant (Article 25(1)(a)).

PCT CHAPTER IIIB/21 RECEIPT OF COPY OF DEMAND

IB/21.0 The International Bureau receives (item 1 of Form PCT/IPEA/415) the original copy of the demand (Form PCT/IPEA/401) from the International Preliminary Examining Authority (Rule 61.1(a)).

IB/22 RULE 60.1(d) CHECK (DEFECTS IN THE DEMAND)

IB/22.0 Does the International Bureau find that the demand does not comply with the requirements specified (Rule 60.1(a), Section _____ of the Administrative Instructions)?

IB/22.1 The International Bureau notifies (Form PCT/IB/336) the International Preliminary Examining Authority of defects in the demand (Rule 60.1(d)).

IB/22.2 Does the International Bureau find that the Applicant has attempted to elect a State which is not a designated State or which is not bound by Chapter II (Rule 60.3)?

IB/22.3 The International Bureau notifies (Form PCT/IB/335) the Applicant that the attempted election shall be considered not to have been made (Rule 60.3).

IB/22.4 The International Bureau notifies (Form PCT/IB/331) the elected States of their election and informs the Applicant (Form PCT/IB/332 and item 3 of Form PCT/IB/309) of the elected Offices notified and their applicable time limits under Article 39 (Rules 61.2 and 61.3).

IB/23 RULE 62.1(b) TRANSMITTAL OF COPY OF INTERNATIONAL APPLICATION AND INTERNATIONAL SEARCH REPORT

IB/23.0 Does the International Bureau find that the International Searching Authority is a different national Office or intergovernmental organization than the competent International Preliminary Examining Authority (Rule 62.1(b))?

IB/23.1 The International Bureau sends (item 6 of Form PCT/IB/310) a copy of the international application and the international search report (or declaration according to Article 17(2)(a)) to the International Preliminary Examining Authority (upon receipt of the international search report, or if demand is received after the international search report, promptly after receipt of the demand) (Rule 62.1(b)).

IB/24 TRANSMITTAL OF ARTICLE 19 AMENDMENTS

IB/24.0 Does the International Bureau find that at the time the demand was submitted that amendments under Article 19 have already been filed?

IB/24.1 The International Bureau promptly transmits (Form PCT/IB/337) any amendments filed under Article 19 to the International Preliminary Examining Authority (Rule 62.2(a)).

IB/24.2 Does the International Bureau find that the time limit expired without the Applicant having filed Article 19 amendments or that Applicant has filed a declaration that he does not wish to make Article 19 amendments (Rule 62.2(b))?

IB/24.3 The International Bureau notifies (Form PCT/IB/337) the International Preliminary Examining Authority that Applicant has not timely filed Article 19 amendments or has declared the wish not to make Article 19 amendments (Rule 62.2(b)).

IB/25 RULE 66.7(a) TRANSMITTAL OF PRIORITY DOCUMENT

- IB/25.0 Does the International Bureau receive a request (Form PCT/IPEA/414) from the International Preliminary Examining Authority to furnish it with a copy of the earlier application whose priority is claimed (Rule 66.7(a))?
- IB/25.1 Does the International Bureau find that the Applicant has already submitted the priority document to it?
- IB/25.2 The International Bureau transmits (item 3 of Form PCT/IB/310) the priority document to the International Preliminary Examining Authority (Rule 66.7(a)).

IB/26 ARTICLE 31(6) (b) LATER ELECTION OF STATES

- IB/26.0 Does the International Bureau find that the Applicant has submitted (Form PCT/IB/328) later elections of states (Article 31(6) (b), Rule 56)?
- IB/26.1 Does the International Bureau find that the supplement to the handling fee has been paid (Rule 57.5(a))?
- IB/26.2 The International Bureau invites (Form PCT/IB/330) the Applicant to pay the supplement to the handling fee within the prescribed time limit (Rule 57.5(a)).
- IB/26.3 Does the International Bureau find that the supplement to the handling fee has been timely paid?
- IB/26.4 The International Bureau notifies (Form PCT/IB/334) the Applicant that the later elections are considered as not having been submitted (Rule 57.5(c)).
- IB/26.5 Does the International Bureau find that the later elections comply with the requirement specified in Rule 56 (Rule 60.2(a)).
- IB/26.6 The International Bureau invites (Form PCT/IB/333) the Applicant to correct defective later elections within prescribed time limit (Rule 60.2(a)).
- IB/26.7 Does the International Bureau find that the Applicant has timely corrected the defects in the later elections?
- IB/26.8 The International Bureau notifies (Form PCT/IB/334) the Applicant that the later elections are considered as not having been submitted (Rule 60.2(c)).
- IB/26.9 The International Bureau notifies (Form PCT/IB/329) the Applicant and the International Preliminary Authority of the receipt and date of receipt of the later elections. This date may be the actual date of receipt or the date of receipt of timely payment of the supplement to the handling fee or the date of receipt of timely corrections of the defects in the later elections (Rule 61.1(c)).

IB/27 RULE 75.1 WITHDRAWAL BY APPLICANT

- IB/27.0 Does the International Bureau receive a notice of withdrawal of the demand or the election of any state by the Applicant (Article 37, Rule 75.1)?
- IB/27.1 Does the International Bureau find that the applicable time limit has expired (Rule 75.1)?
- IB/27.2 The International Bureau does not consider the withdrawal to be effected.

IB/27.3 The International Bureau considers that the withdrawal of the demand or any election is withdrawal of the international application for the States concerned where any applicable Article 22 time limit has already expired (Article 37(4)).

IB/27.4 The International Bureau notifies (Form PCT/IB/339) the Applicant, the concerned elected Offices and the International Preliminary Examining Authority of the fact and date of receipt of the withdrawal (Rule 75).

IB/28 RECEIPT OF THE INTERNATIONAL PRELIMINARY EXAMINATION REPORT

IB/28.0 The International Bureau receives the international preliminary examination report and its annexes transmitted (item 2 of Form PCT/IPEA/415) by the International Preliminary Examining Authority (Rule 71.1).

IB/29 TRANSLATION OF THE INTERNATIONAL PRELIMINARY EXAMINATION REPORT

IB/29.0 The International Bureau prepares the translations of the international preliminary examination report as required by elected States (Article 36(2)(a), (b) and Rule 72.1).

IB/30 COMMUNICATION OF THE INTERNATIONAL PRELIMINARY EXAMINATION REPORT

IB/30.0 The International Bureau communicates (item 7 of Form PCT/IB/310) the international preliminary examination report, together with its translation (as required) and its annexes (in original language) to each elected Office as promptly as possible (Rule 73.2)), and transmits (Form PCT/IB/338) a copy of each translation of the international preliminary examination report to the Applicant (Rule 72.2).

PART C/III INTERNATIONAL BUREAU: FLOW DIAGRAMS

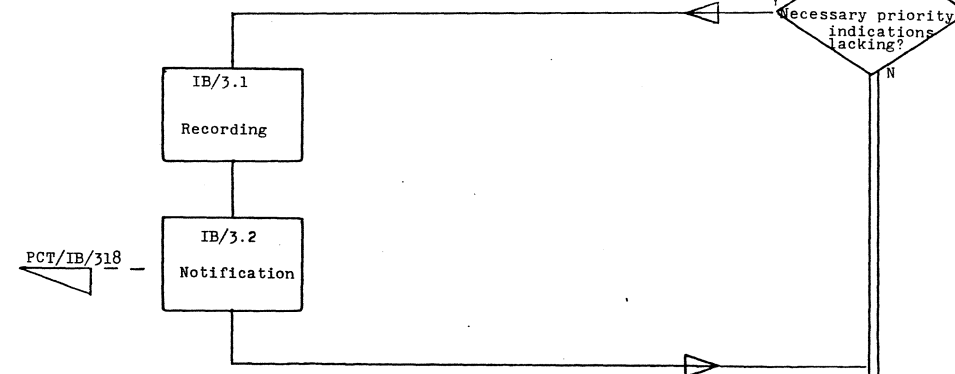
PCT CHAPTER I

IB/1 Receipt of the Record Copy

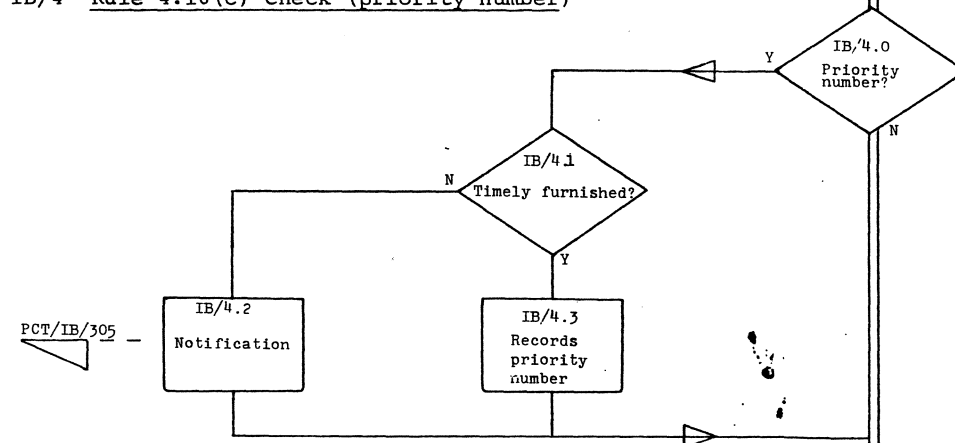


IB/2 Article 13 Transmittal

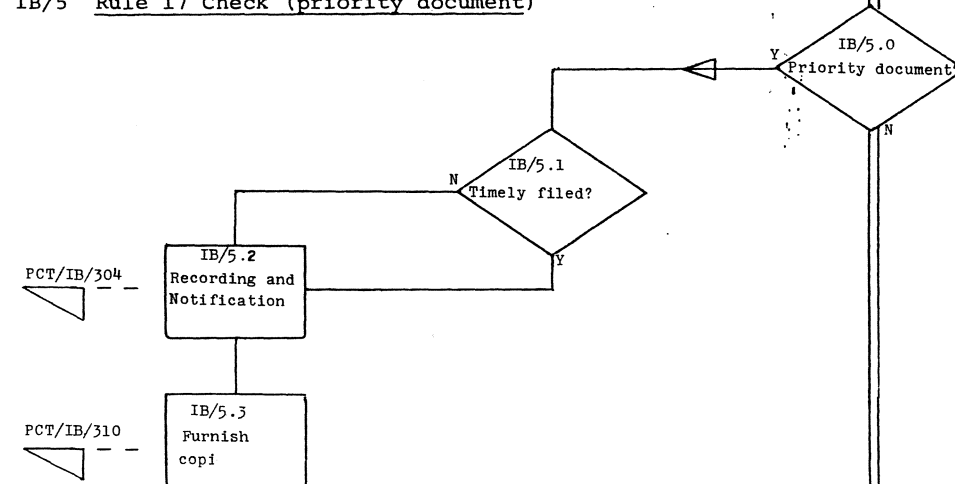
IB/3 Rule 4.10(b) Check (lack of necessary
priority indications concerning country
or date of filing)



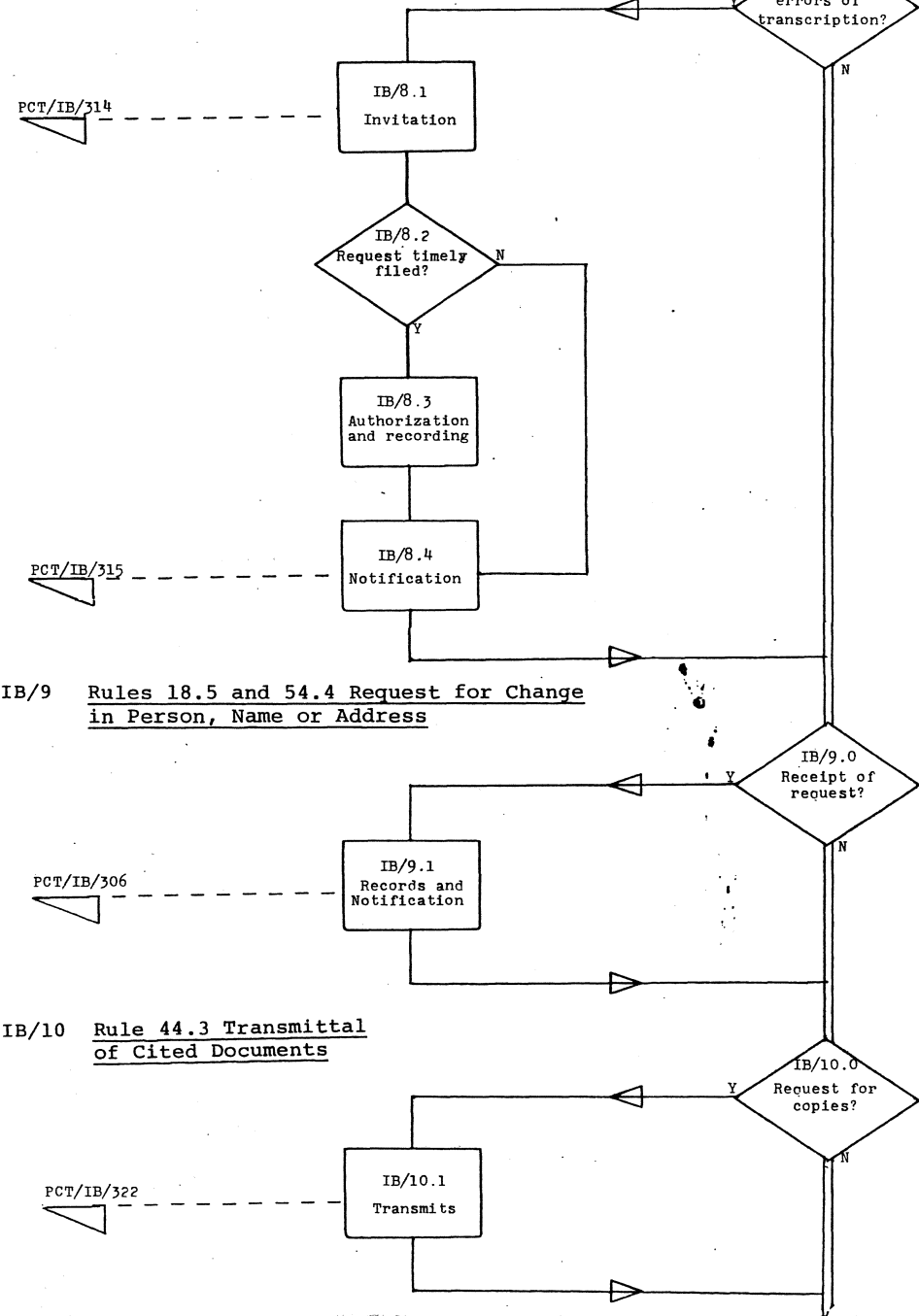
IB/4 Rule 4.10(c) Check (priority number)



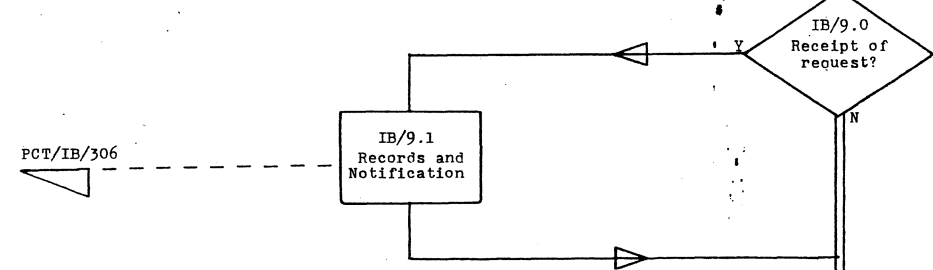
IB/5 Rule 17 Check (priority document)



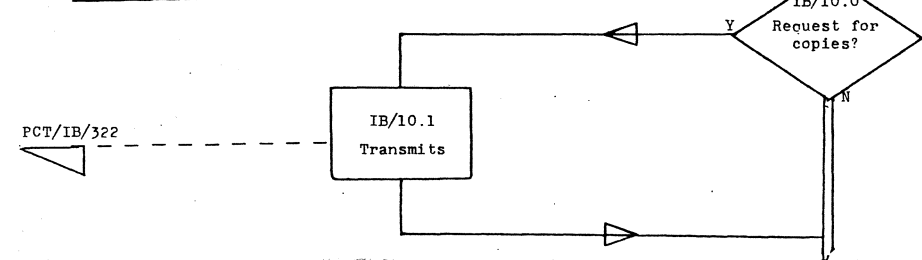
IB/8 Rule 91 Check (rectification of obvious errors of transcription)



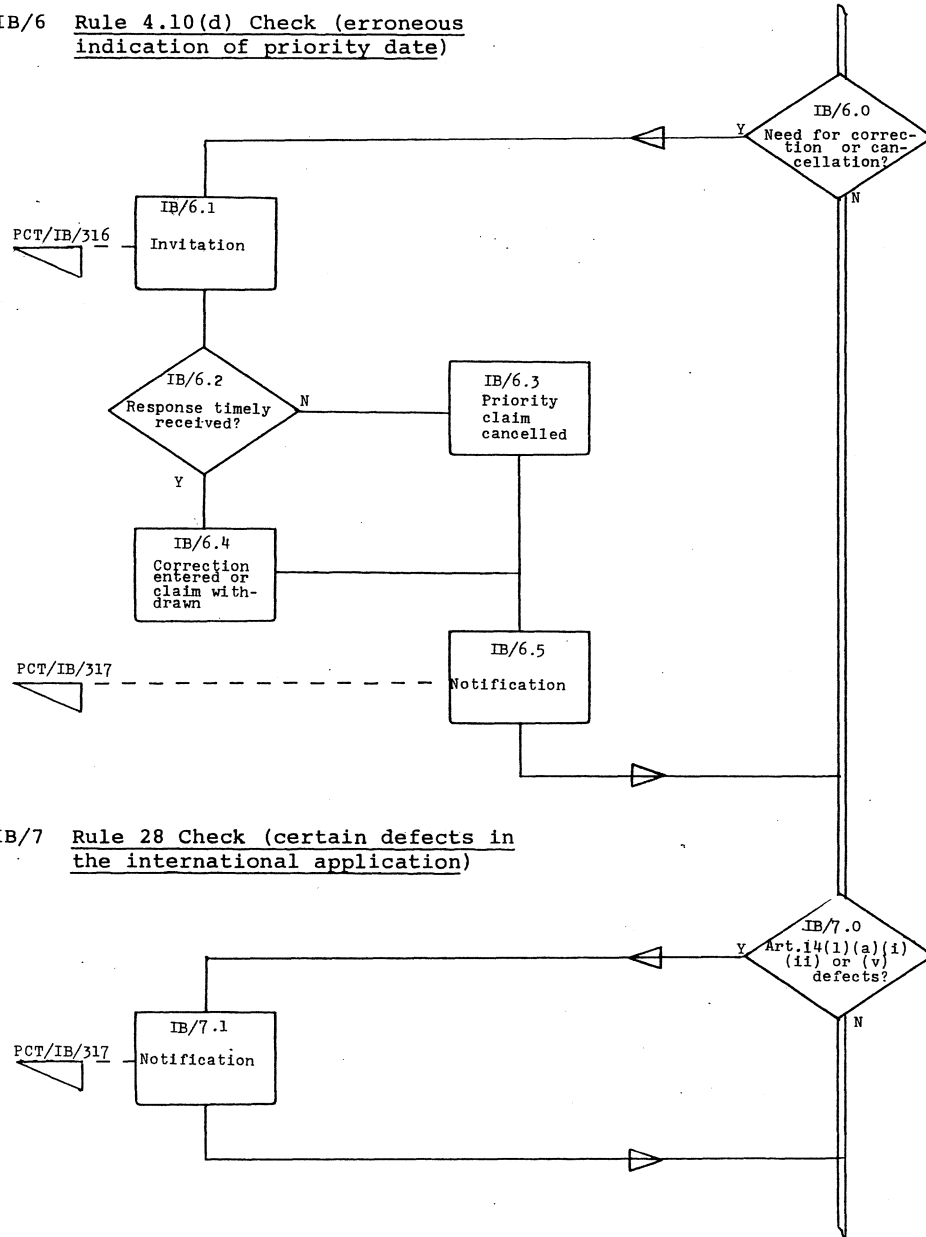
IB/9 Rules 18.5 and 54.4 Request for Change in Person, Name or Address



IB/10 Rule 44.3 Transmittal of Cited Documents



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



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

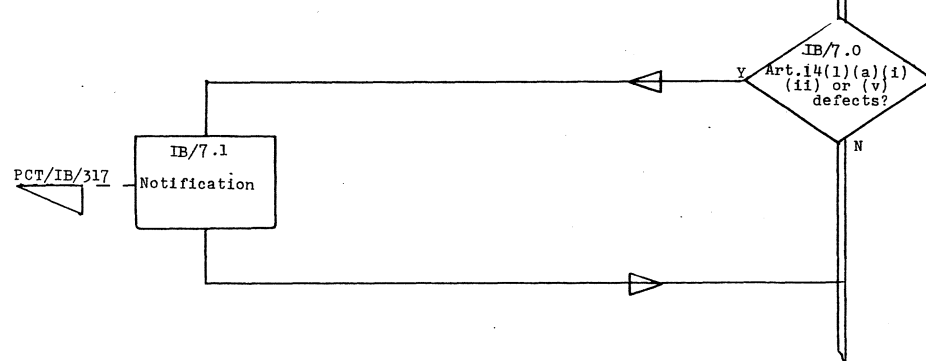


CHART C5

PCT/TCO/SS/IV/3
page 46

IB/11 Article 19 Amendments

IB/12 Article 20 Communication

IB/13 Article 21 International Publication

IB/14 Rule 93.2 Keeping of Records and Files

IB/15 Rule 94 Furnishing of Copies

IB/16 Rule 95 Request for Copy of Translation

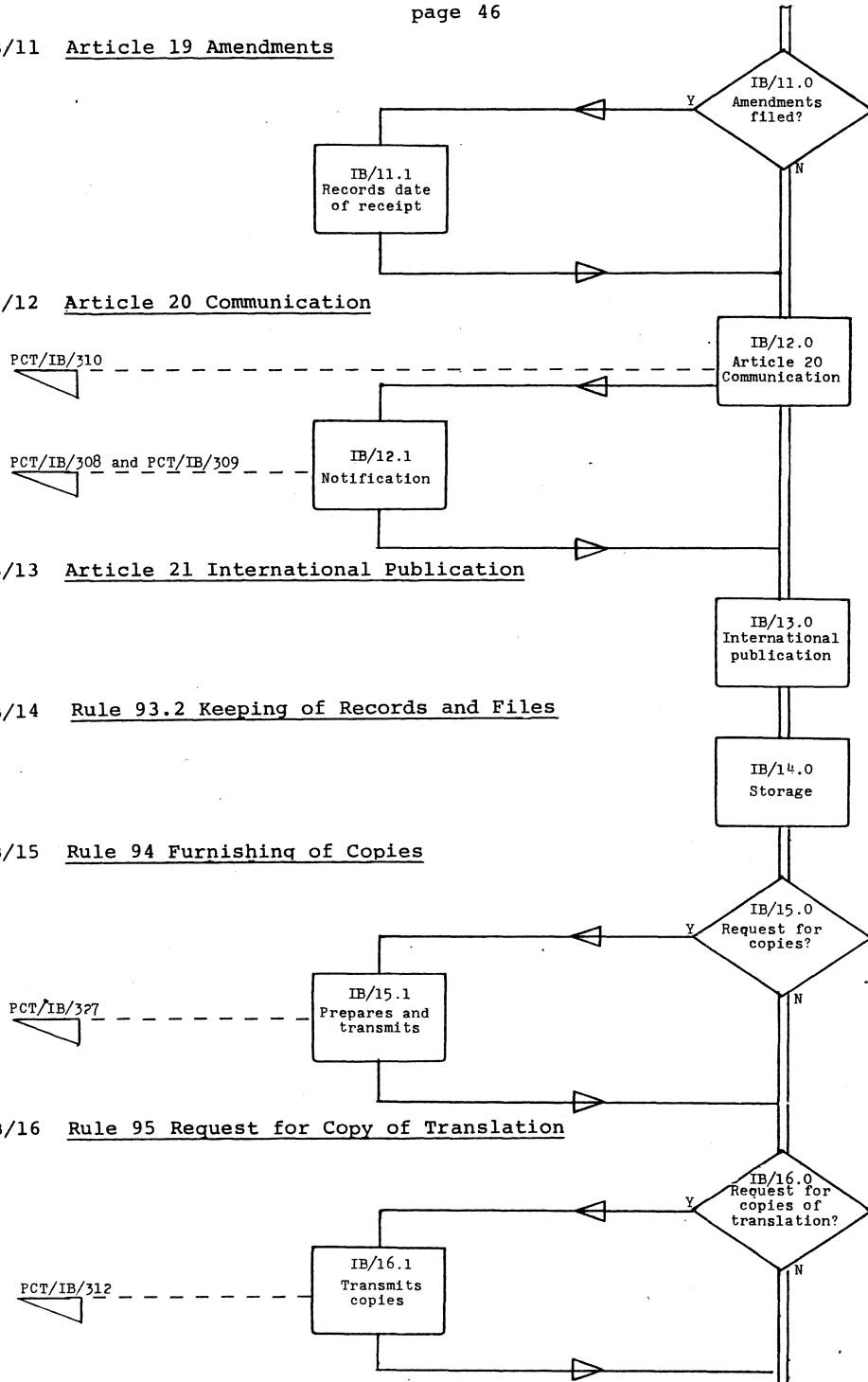
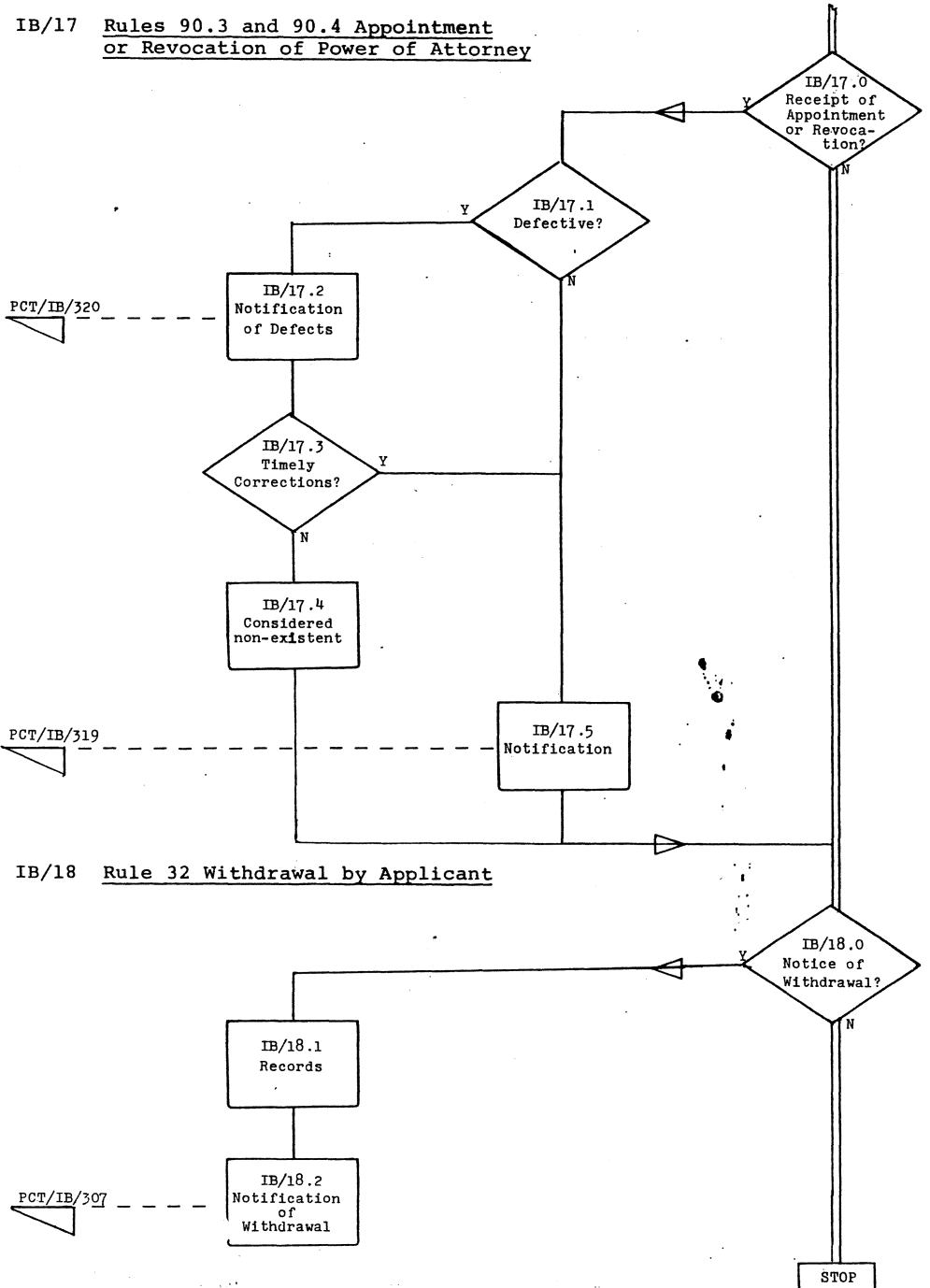
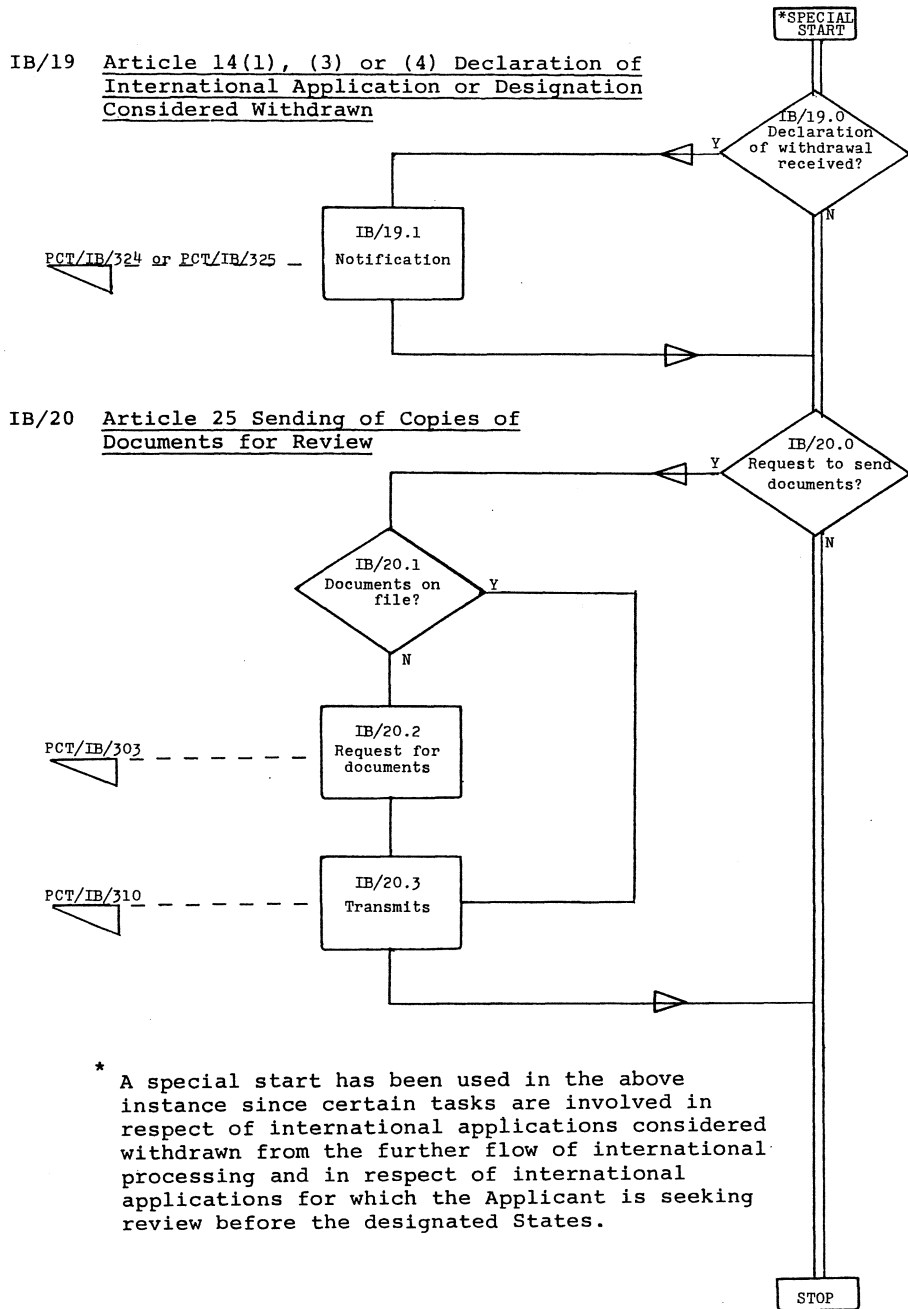


CHART C6

PCT/TCO/SS/IV/3
page 47

IB/17 Rules 90.3 and 90.4 Appointment
or Revocation of Power of Attorney

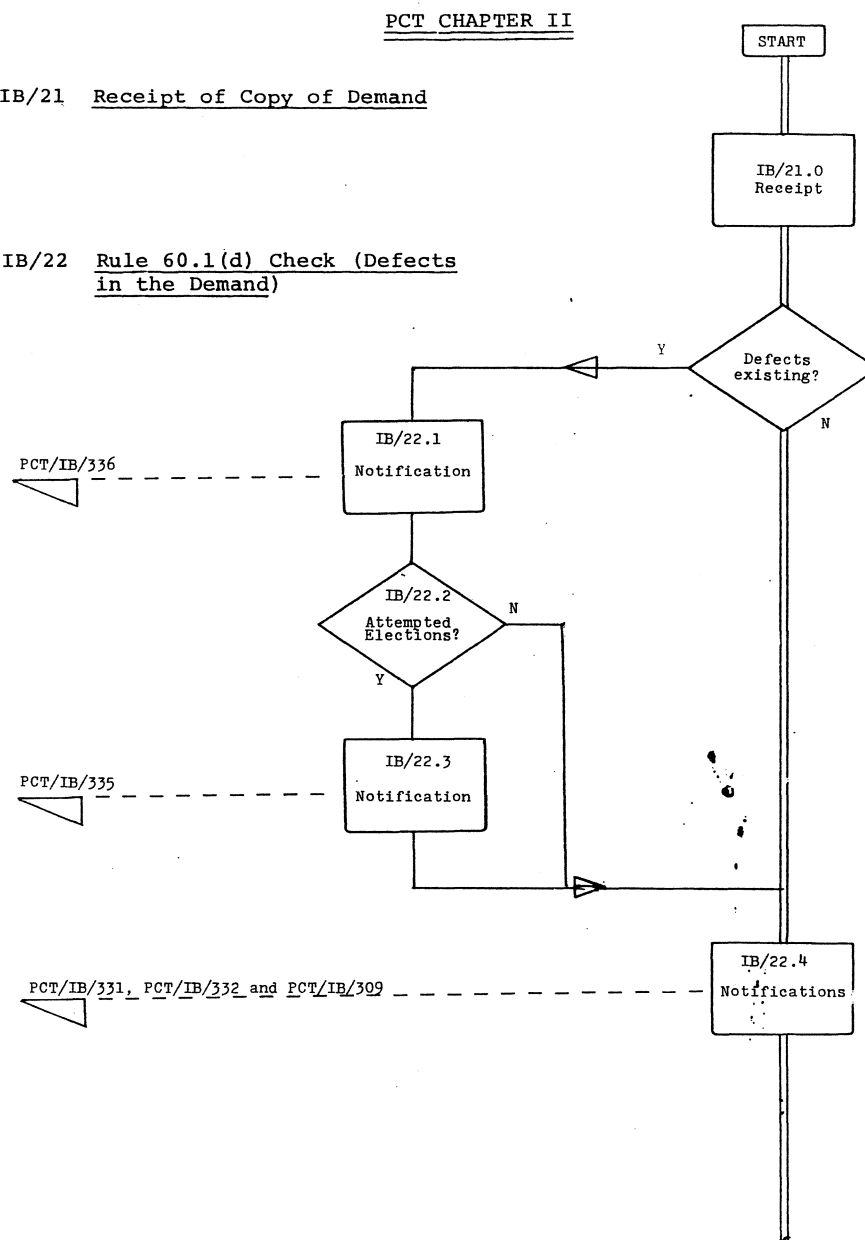




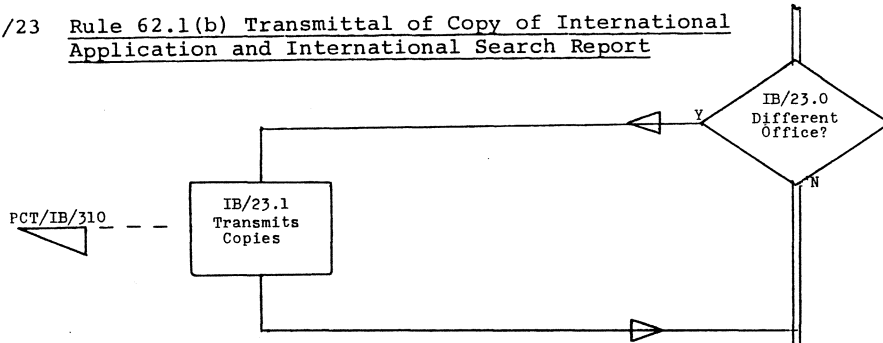
PCT CHAPTER II

IB/21 Receipt of Copy of Demand

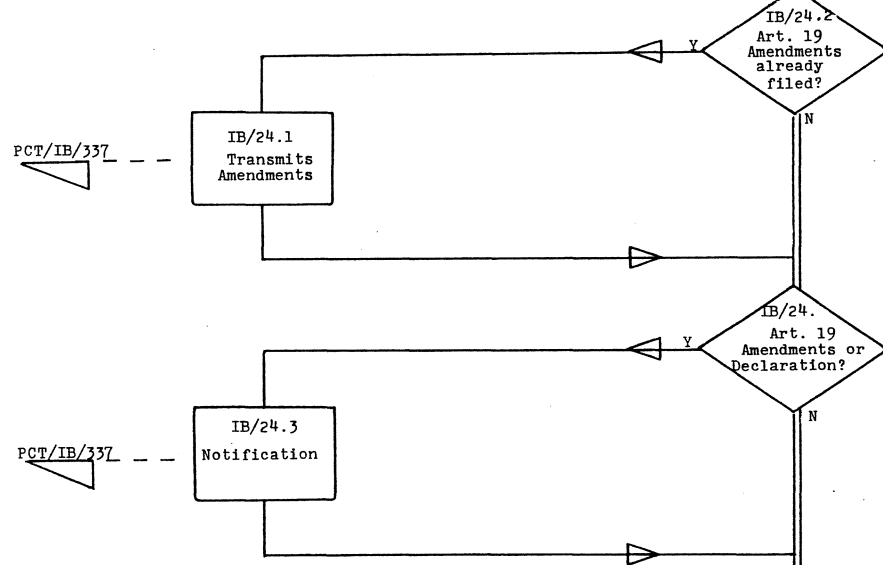
IB/22 Rule 60.1(d) Check (Defects in the Demand)



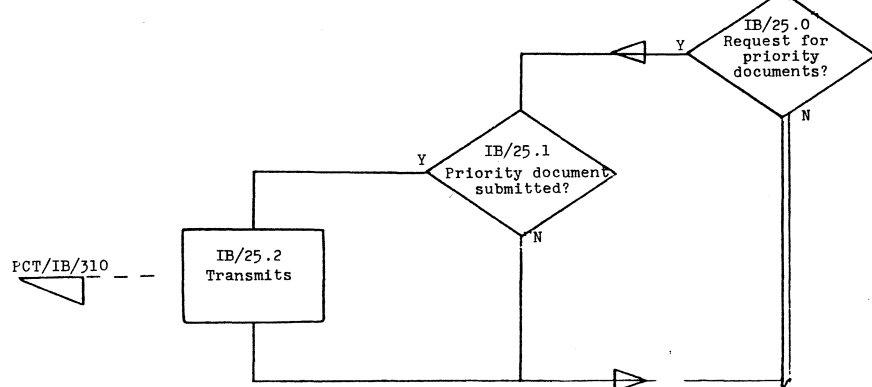
IB/23 Rule 62.1(b) Transmittal of Copy of International Application and International Search Report



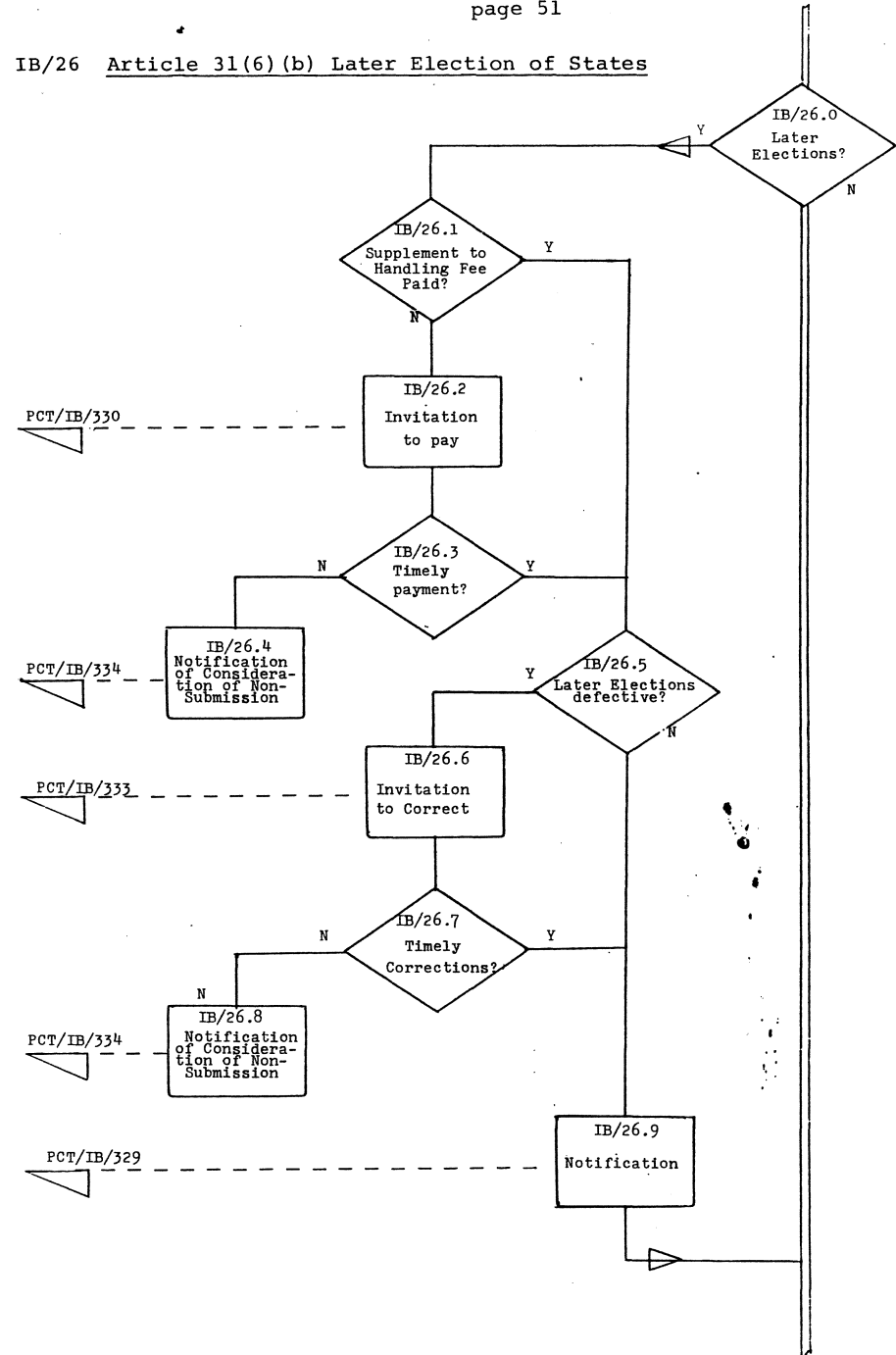
IB/24 Transmittal of Article 19 Amendments



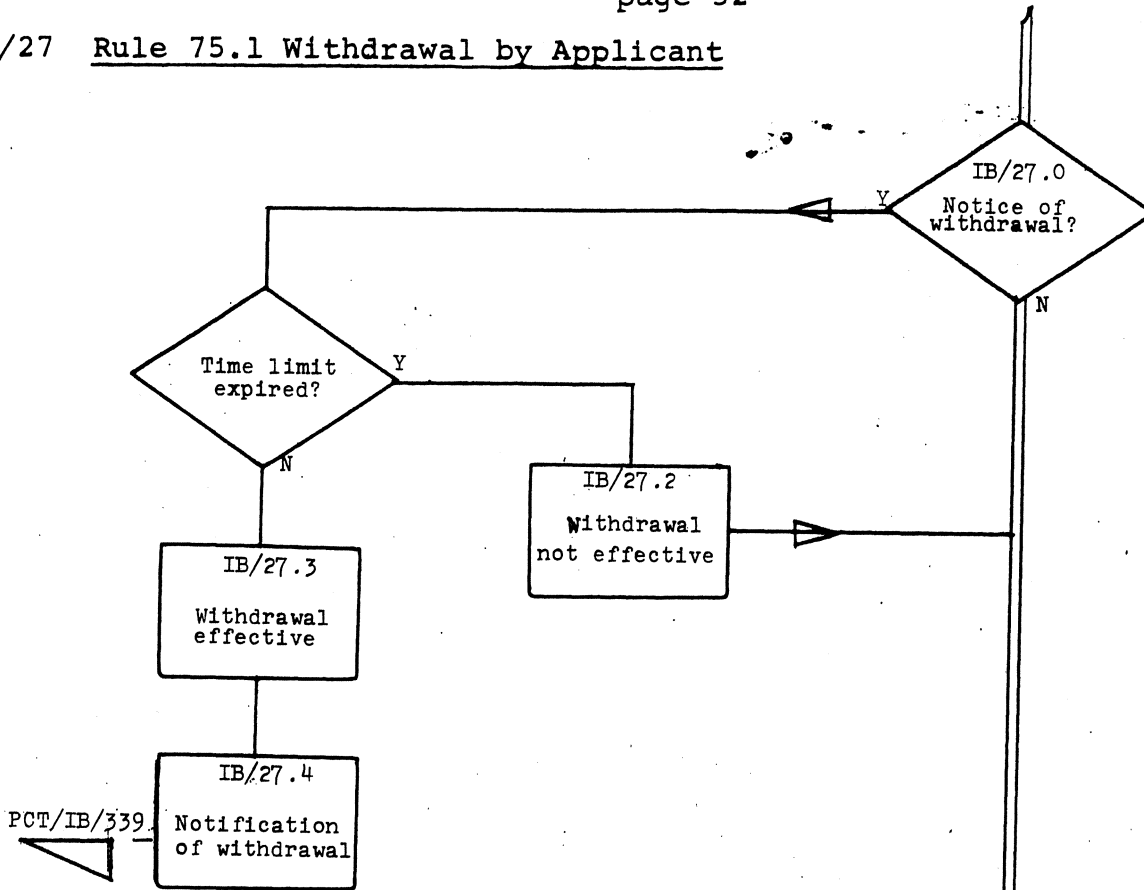
IB/25 Rule 66.7(a) Transmittal of Priority Document



IB/26 Article 31(6) (b) Later Election of States



IB/27 Rule 75.1 Withdrawal by Applicant

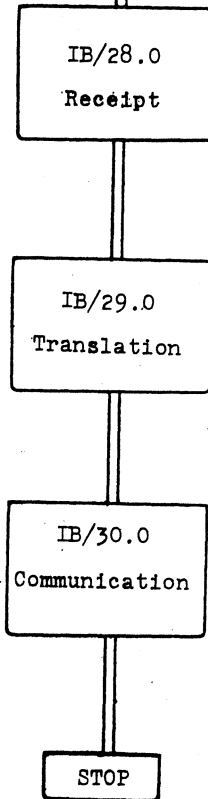


IB/28 Receipt of the International Preliminary Examination Report

IB/29 Translation of the International Preliminary Examination Report

IB/30 Communication of the International Preliminary Examination Report

PCT/IB/310 and PCT/IB/338



PART D/I INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY:
PROCESSING TASKS

<u>TASK SYMBOL</u>	<u>TASK</u>
IPEA/1	RECEIPT OF THE DEMAND
IPEA/2	RULE 60.1 CHECK (DEFECTS IN THE DEMAND)
IPEA/3	RULES 57 AND 58 CHECK (PAYMENT OF INTERNATIONAL PRELIMINARY EXAMINATION AND HANDLING FEES)
IPEA/4	TRANSMITTAL AND NOTIFICATION OF DEMAND
IPEA/5	RULE 55.2 CHECK (TRANSLATION OF INTERNATIONAL APPLICATION).
IPEA/6	RULE 66.7 PRIORITY DOCUMENT AND TRANSLATION
IPEA/7	RULE 66.1 AMENDMENT
IPEA/8	RULE 66.2 FIRST WRITTEN OPINION
IPEA/9	ARTICLE 34(3) (a) CHECK (LACK OF COMPLIANCE WITH REQUIREMENT OF UNITY OF INVENTION)
IPEA/10	RULE 91 CHECK (RECTIFICATION OF OBVIOUS ERRORS OF TRANSCRIPTION)
IPEA/11	ESTABLISHMENT OF INTERNATIONAL PRELIMINARY EXAMINATION REPORT
IPEA/12	RULE 71 TRANSMITTAL OF INTERNATIONAL PRELIMINARY EXAMINATION REPORT
IPEA/13	RULE 71.2 PREPARATION AND TRANSMITTAL OF COPIES OF CITED DOCUMENTS
IPEA/14	RULE 93.3 KEEPING OF RECORDS AND FILES
IPEA/15	RULE 94 FURNISHING OF COPIES

PART D/II INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY:
ANNOTATED DESCRIPTION OF THE STEPS UNDER THE
PROCESSING TASKS

IPEA/1 RECEIPT OF THE DEMAND

IPEA/1.0 The International Preliminary Examining Authority receives copies of the demand (Form PCT/IPEA/401) submitted by the Applicant (Article 31(6) (a)).

IPEA/2 RULE 60.1 CHECK (DEFECTS IN THE DEMAND)

- IPEA/2.0 Does the International Preliminary Examining Authority find defects existing in the demand (Rule 60.1(a))?
- IPEA/2.1 The International Preliminary Examining Authority invites (Form PCT/IPEA/404) the Applicant to correct the defects within the prescribed time limit (Rule 60.1(a)).
- IPEA/2.2 Does the International Preliminary Examining Authority find that the Applicant has timely filed corrections to the demand?
- IPEA/2.3 The International Preliminary Examining Authority notifies (item b of Form PCT/IPEA/407) the Applicant and the International Bureau that the demand is considered as if it had not been submitted (Rule 60.1(c)).

IPEA/3 RULES 57 AND 58 CHECK (PAYMENT OF INTERNATIONAL PRELIMINARY EXAMINATION AND HANDLING FEES)

- IPEA/3.0 Does the International Preliminary Examining Authority find that payment of the required amounts of the international preliminary examination fee and of the handling fee is lacking at the time of submission of the demand (Rules 57.3(a) and 58.1(b))?
- IPEA/3.1 The International Preliminary Examining Authority invites (Form PCT/IPEA/403) the Applicant to submit payment of the required amounts within the prescribed time limits (Rules 57.4(a) and 58.1(b)).
- IPEA/3.2 Does the International Preliminary Examining Authority find that the required amounts have been timely paid?
- IPEA/3.3 The International Preliminary Examining Authority notifies (item (a) of Form PCT/IPEA/407) the Applicant and the International Bureau that, in respect of the non-payment of the handling fee, the demand is considered as if it had not been submitted (Rule 57.4(c)).

IPEA/4 TRANSMITTAL AND NOTIFICATION OF DEMAND

- IPEA/4.0 The International Preliminary Examining Authority transmits (item 1 of Form PCT/IPEA/415) the original copy of the demand to the International Bureau and notifies (Form PCT/IPEA/402) the Applicant of the date of receipt of the demand. This date may be the actual date of receipt or the date of receipt of timely payment of the handling fee or the date of receipt of timely corrections of the defects in the demand (Rule 61.1(c)).

IPEA/5 RULE 55.2 CHECK (TRANSLATION OF INTERNATIONAL APPLICATION)

- IPEA/5.0 Does the International Preliminary Examining Authority require a translation of the international application?
- IPEA/5.1 The International Preliminary Examining Authority invites (Form PCT/IPEA/406) Applicant to submit the required translation of the international application within the prescribed time limit (Rule 55.2(d)).
- IPEA/5.2 Does the International Preliminary Examining Authority find that the translation has been timely filed?

IPEA/5.3 The International Preliminary Examining Authority notifies the Applicant and the International Bureau (item c of Form PCT/IPEA/407) that the demand shall be considered as if it had not been submitted (Rule 55.2(d)).

IPEA/6 RULE 66.7 PRIORITY DOCUMENT AND TRANSLATION

IPEA/6.0 Does the International Preliminary Examining Authority need the priority documents or a translation of the priority documents?

IPEA/6.1 The International Preliminary Examining Authority requests (item 1 of Form PCT/IPEA/414) the International Bureau or the Applicant, where the priority document has not yet been submitted, to furnish a copy of the priority document and, where required, invites (item 2 of Form PCT/IPEA/414) the Applicant to furnish a translation thereof within the prescribed time limit (Rule 66.7).

IPEA/6.2 Does the International Preliminary Examining Authority find that the requested priority document and (where required) the translation have been timely furnished (Rule 66.7(c))?

IPEA/6.3 The International Preliminary Examining Authority indicates in the international preliminary examination report (item I.B. of Form PCT/IPEA/409) that the report was established as if the priority had not been claimed (Rule 66.7(c)).

IPEA/7 RULE 66.1 AMENDMENT

IPEA/7.0 Does the International Preliminary Examining Authority find that the Applicant has submitted amendments before the start of the international preliminary examination (Rule 66.1)?

IPEA/7.1 The International Preliminary Examining Authority marks on each replacement sheet the international application number, the date on which it was received and the stamp of the International Preliminary Examining Authority and commences international preliminary examination on the international application as amended (Rules 66.8(b) and 66.1).

IPEA/8 RULE 66.2 FIRST WRITTEN OPINION

IPEA/8.0 Does the International Preliminary Examining Authority consider that the international application contains any of the defects referred to in Rule 66.2(a) (i) to (v)?

IPEA/8.1 The International Preliminary Examining Authority issues (Form PCT/IPEA/408) a first written opinion. Additional written opinions may be issued (Rules 66.2 and 66.4).

IPEA/9 ARTICLE 34(3) (a) CHECK (LACK OF COMPLIANCE WITH REQUIREMENT OF UNITY)

IPEA/9.0 Does the International Preliminary Examining Authority find that the international application lacks compliance with the requirement of unity of invention?

- IPEA/9.1 Does the International Preliminary Examining Authority choose to invite the applicant to restrict claims or pay additional fees?
- IPEA/9.2 The International Preliminary Examining Authority invites (Form PCT/IPEA/405) Applicant, at his option, to restrict or pay additional fees (Rule 68.2).
- IPEA/9.3 The International Preliminary Examining Authority will establish the international preliminary examination report on the entire international application with indication in the international preliminary examination report (item IX of Form PCT/IPEA/409) of non-fulfillment of the requirement of unity of invention and the reasons therefor (Rule 68.1).
- IPEA/9.4 Does the International Preliminary Examining Authority find that the Applicant timely complied with the requirement to restrict or pay additional fees?
- IPEA/9.5 The International Preliminary Examining Authority establishes the international preliminary examination report (item IX of Form PCT/IPEA/409) on the main invention (Article 34(3)(c)).
- IPEA/9.6 Does the International Preliminary Examining Authority find that additional fees were paid under protest?
- IPEA/9.7 The International Preliminary Examining Authority (or any competent higher authority) holds hearing and decides on the justification of Applicant's protest and notifies the Applicant accordingly (Rule 68.3(c), Section _____ of the Administrative Instructions).
- IPEA/9.8 The International Preliminary Examining Authority registers the notice of protest and its decision thereon and, if requested by Applicant, forwards them together with the international preliminary examination report (item IX(2) of Form PCT/IPEA/409) to the International Bureau so that they may be notified to the elected Offices.
- IPEA/9.9 The International Preliminary Examining Authority examines the inventions for which additional fees have been paid or to which restriction has been made.

IPEA/10 RULE 91 CHECK (RECTIFICATION OF OBVIOUS ERRORS OF TRANSCRIPTION)

- IPEA/10.0 Does the International Preliminary Examining Authority note obvious errors of transcription (Rule 91.1(d))?
- IPEA/10.1 The International Preliminary Examining Authority invites (Form PCT/IPEA/411) Applicant to submit a request for rectification of obvious errors of transcription (Rule 91.1(d)).
- IPEA/10.2 Does the International Preliminary Examining Authority find, where it is presented with a request for rectification, that the request for rectification was timely filed (Rule 91.1(g))?
- IPEA/10.3 The International Preliminary Examining Authority authorizes rectification (Rule 91.1(e)(iii)) and records the date of authorization for rectification (Rule 91.1(f)).
- IPEA/10.4 The International Preliminary Examining Authority notifies the Applicant and the International Bureau of any rectification authorized and, where the authorization for rectification was denied, notifies only the Applicant (Form PCT/IPEA/412) (Rule 91.1(h), Section _____ of the Administrative Instructions).

IPEA/11 ESTABLISHMENT OF INTERNATIONAL PRELIMINARY EXAMINATION REPORT

IPEA/11.0 The International Preliminary Examining Authority establishes the international preliminary examination report (Form PCT/IPEA/409) (Rule 70).

IPEA/12 RULE 71 TRANSMITTAL OF INTERNATIONAL PRELIMINARY EXAMINATION REPORT

IPEA/12.0 The International Preliminary Examining Authority transmits the international preliminary examination report (Form PCT/IPEA/409) and its annexes, if any, to the International Bureau (item 2 of Form PCT/IPEA/415) and the Applicant (Form PCT/IPEA/416) (Rule 71.1).

IPEA/13 RULE 71.2 PREPARATION AND TRANSMITTAL OF COPIES OF CITED DOCUMENTS

IPEA/13.0 Does the International Preliminary Examining Authority receive a request from the Applicant and/or from the elected Offices for copies of the documents cited in the international preliminary examination report and which were not cited in the international search report (Article 36(4))?

IPEA/13.1 Does the International Preliminary Examining Authority opt for the International Bureau to furnish copies of the documents requested?

IPEA/13.2 The International Preliminary Examining Authority forwards (item 3 of Form PCT/IPEA/415) copies of the documents to the International Bureau for transmittal (Rule 71.2(c)).

IPEA/13.3 The International Preliminary Examining Authority subject to reimbursement of cost transmits (Form PCT/IPEA/417) copies of requested documents to the Applicant and to the elected Offices (Rule 71.2(b)).

IPEA/14 RULE 93.3 KEEPING OF RECORDS AND FILES

IPEA/14.0 The International Preliminary Examining Authority shall keep the file of each international application for at least ten years from the international filing date (Rule 93.3).

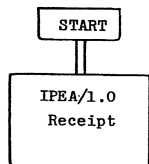
IPEA/15 RULE 94 FURNISHING OF COPIES

IPEA/15.0 Does the International Preliminary Examining Authority receive a request for a copy of any document in the file of an International Application from the Applicant or any person authorized by the Applicant (Rule 94.1)?

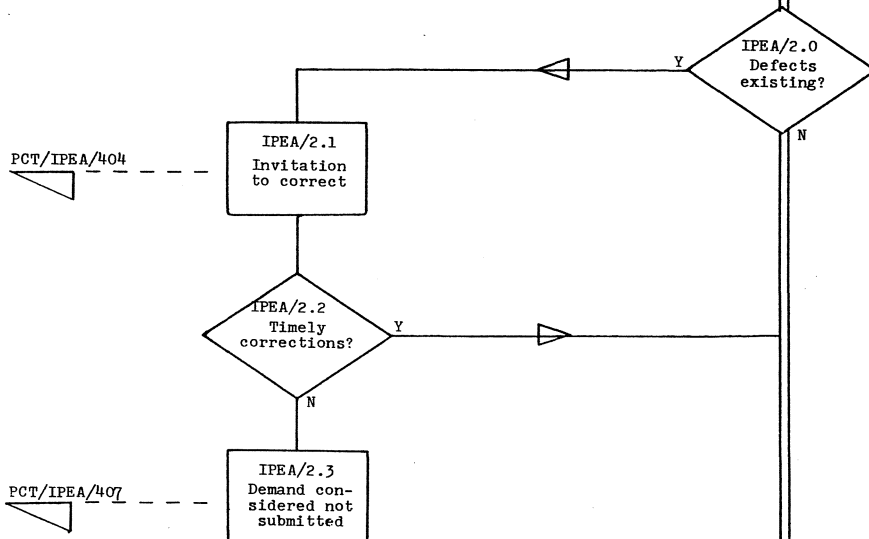
IPEA/15.1 The International Preliminary Examining Authority prepares and transmits (Form PCT/IPEA/413), subject to reimbursement of cost, copies of documents in the file of an International Application (Rule 94.1).

PART D/III INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY:
FLOW DIAGRAMS

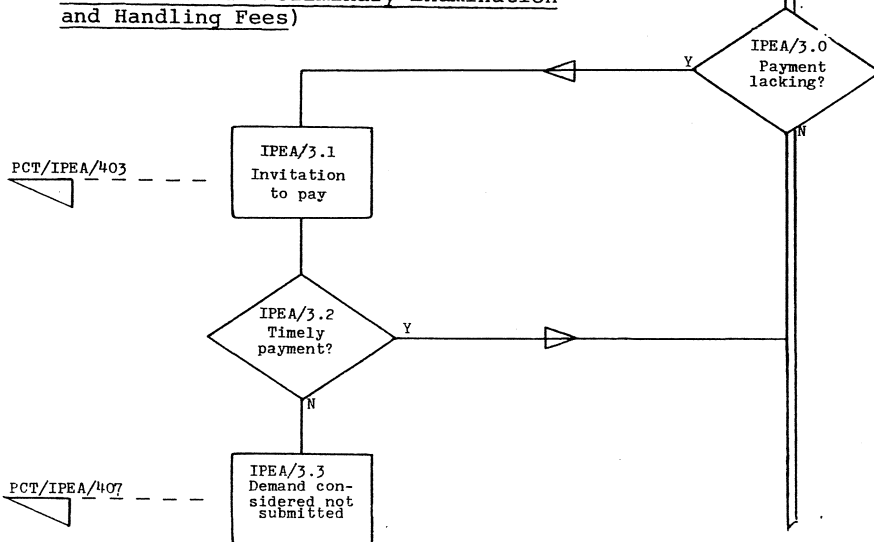
IPEA/1 Receipt of Demand



IPEA/2 Rule 60.1 Check (Defects in the Demand)

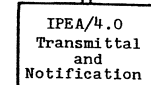


IPEA/3 Rules 57 and 58 Check (Payment of International Preliminary Examination and Handling Fees)



IPEA/4 Transmittal and Notification of Demand

PCT/IPEA/415 and PCT/IPEA/402



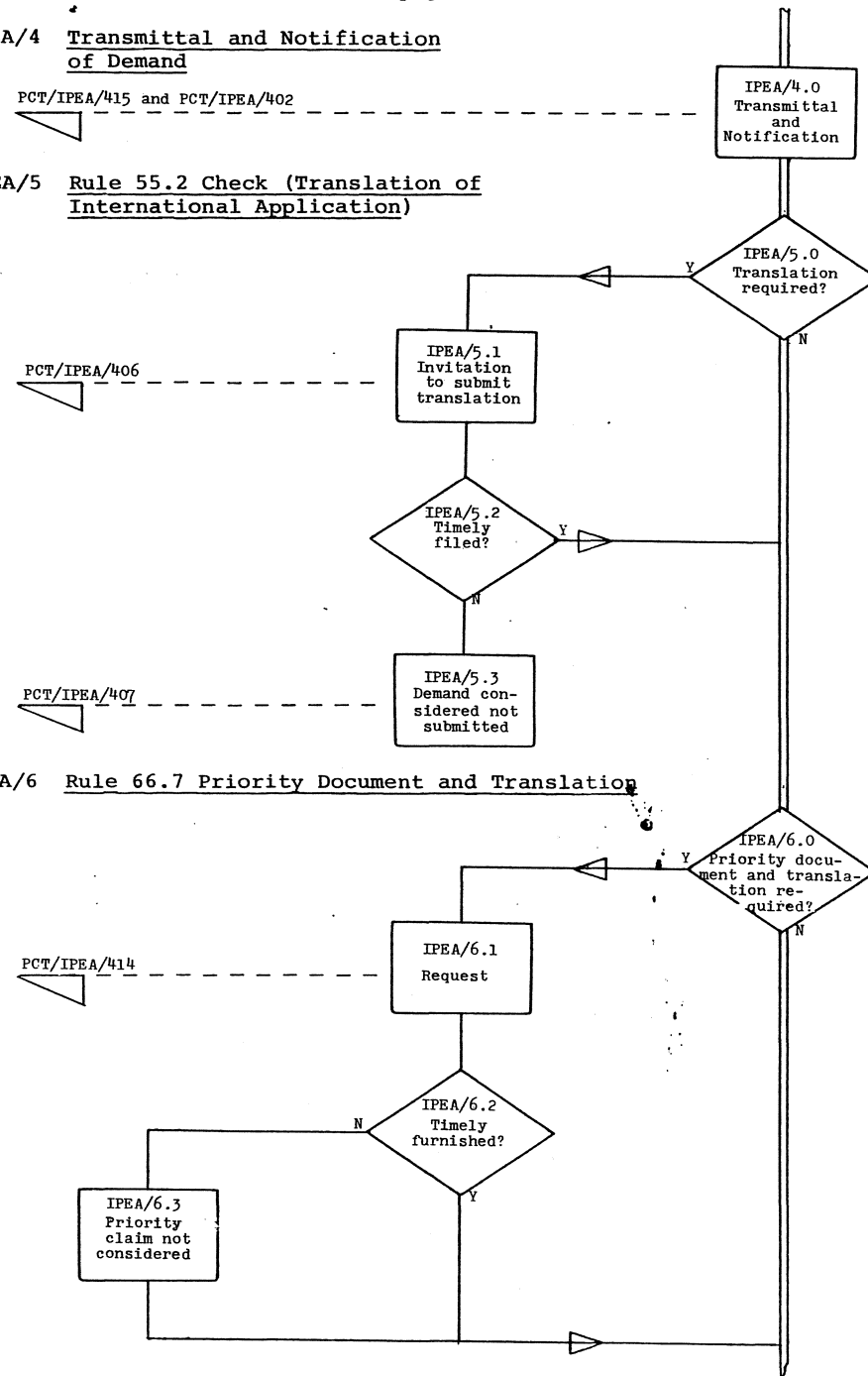
IPEA/5 Rule 55.2 Check (Translation of International Application)

PCT/IPEA/406

PCT/IPEA/407

IPEA/6 Rule 66.7 Priority Document and Translation

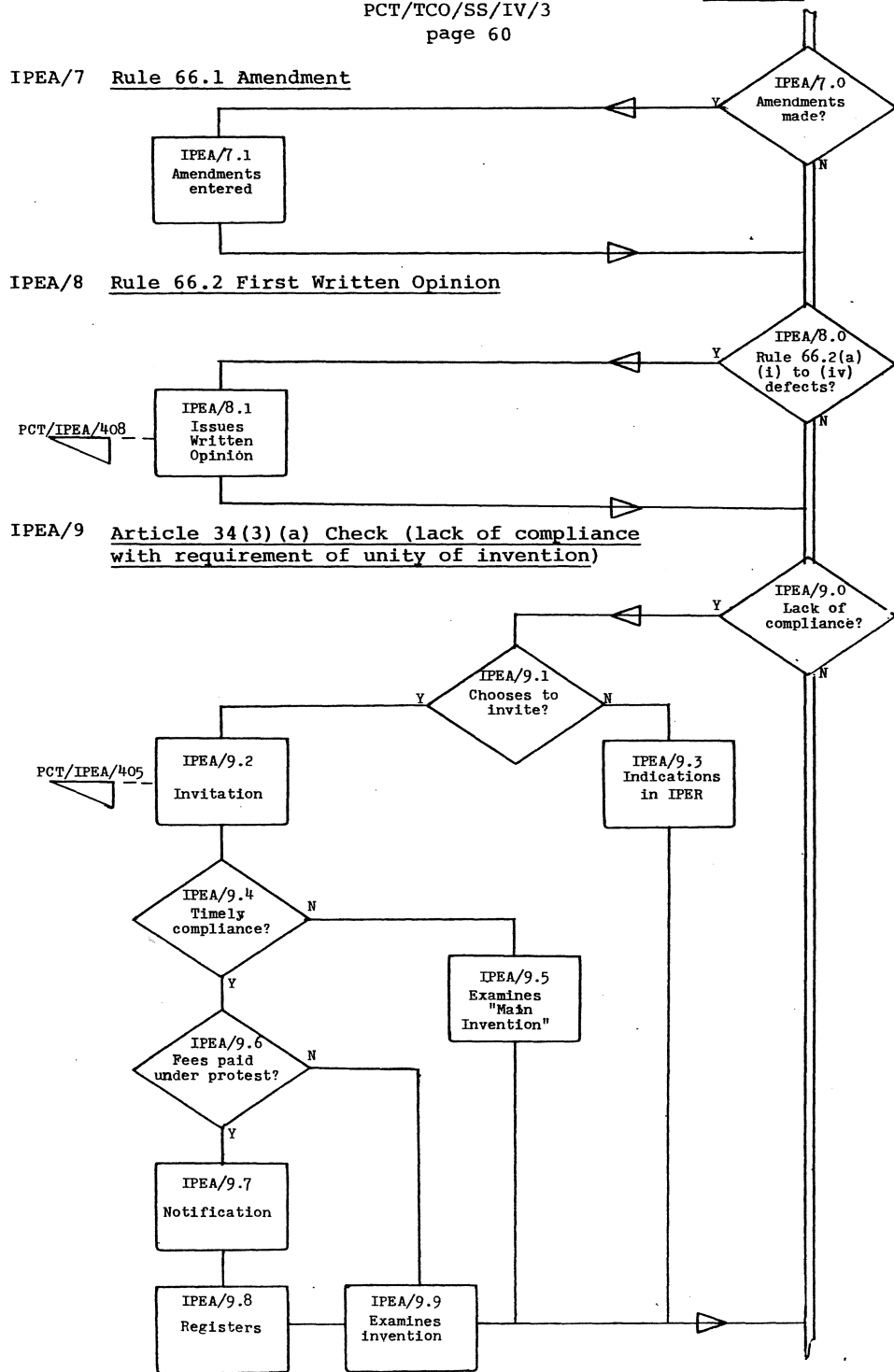
PCT/IPEA/414



IPEA/7 Rule 66.1 Amendment

IPEA/8 Rule 66.2 First Written Opinion

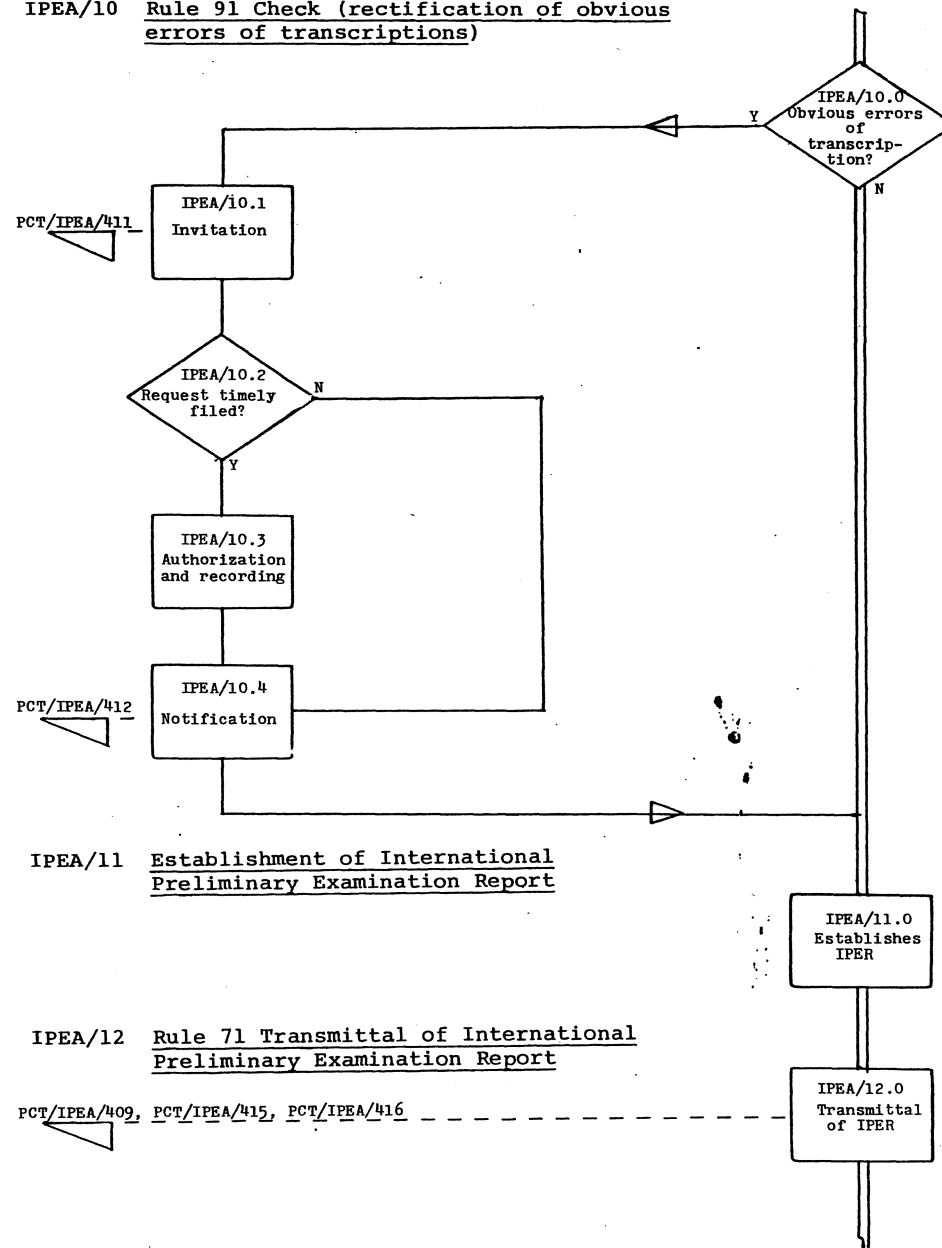
IPEA/9 Article 34(3)(a) Check (lack of compliance with requirement of unity of invention)



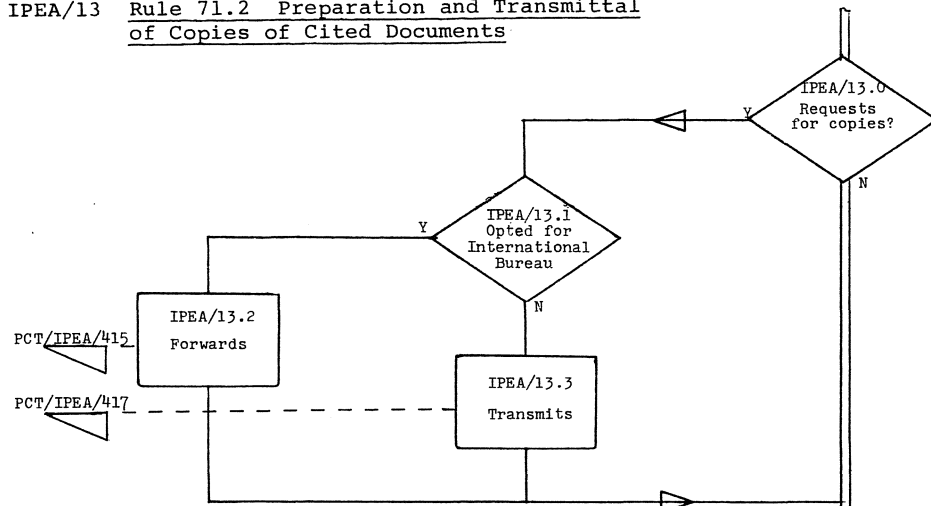
IPEA/10 Rule 91 Check (rectification of obvious errors of transcriptions)

IPEA/11 Establishment of International Preliminary Examination Report

IPEA/12 Rule 71 Transmittal of International Preliminary Examination Report



IPEA/13 Rule 71.2 Preparation and Transmittal of Copies of Cited Documents



IPEA/14 Rule 93.3 Keeping of Records and Files

IPEA/14.0
Storage

IPEA/15 Rule 94 Furnishing of Copies

