



## Topic 4: Types of Work Products and Sources for their Retrieval

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**Cybercity**  
**October 20, 2021**

# Agenda

- Types of work products/examination results
  - intermediary
    - PCT international phase
  - final
- Overview of options and sources for retrieval
  - Patent registers (primary sources)
  - Work-sharing platforms (secondary sources)

# Work-Sharing in the PCT national phase

Utilizing examination work products from other national phases for improving **efficiency** and **quality** requires

- **Databases/platforms** providing
  - Patent **family information** (family table) [>Topic 2]
  - **Examination status** of family members [>Topic 3]
  - **Access to examination work products** (**dossiers**, file wrappers) of family members [>Topic 3]
- Ideally, platforms which integrate this information in a user-friendly manner, e.g. within family table; and with additional tools, for example, for comparing work products (Common Citation Document - CCD)
- Information on differing national practices (naming and content of work products; important case law; exclusions; ..)

# Actions during life cycle of application

Actions are performed by

- Applicant/representative
- Office officials
- (Third parties)

As defined by

- Law
- Regulations
- other (codified) legal instructions
- Habitual practice

Communicated usually in written form

- Paper copies
- Electronic copies in file wrapper/dossier
  - > **'examination work products'**

Publicly accessible  
(**'laid open'**) for  
published applications:  
> **'file inspection'**

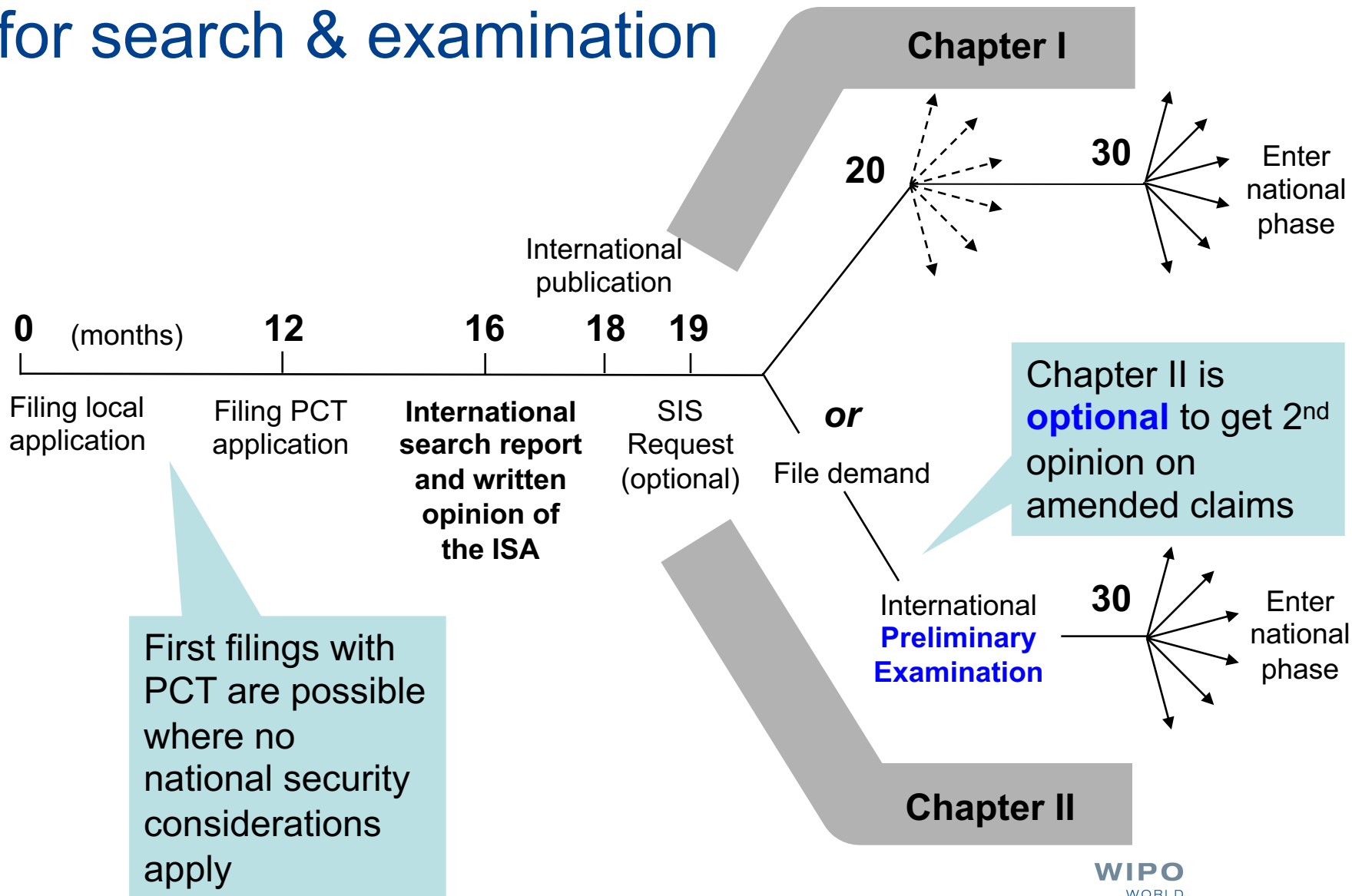
# Types of examination work products

- **Intermediary or pre-grant** work products
  - Search reports
    - basic list of citations (cited by examiner, by applicant)
    - enriched search reports (citation category X, Y, ..; relevant claims;...)
  - Search strategies
  - Written opinions, examination reports
  - Communications from applicant to examiner
  - Protocols of hearings
  - Third party observations
- **Final** work products/results
  - Granted claims; claims after opposition
  - Rejections; withdrawals following substantive reports; abandoned claims
- **Post-grant** work products/results
  - Additional prior art from opposition/re-examination/invalidation
  - Restricted claims
  - Communications between involved parties (3+)

# Overview of differing terminology

- Search reports (basic; enriched)/Citations
  - USPTO: "List of references cited by examiner", "List of references cited by applicant and considered by examiner"
  - JPO: "Search Report by Registered Searching Organization"
  - EPO: "European Search Report"
  
- Written opinions, examination reports
  - PCT: "Written opinions" = examiner statements before IPRP issuance (sent to applicant)
  - PCT: IPRP = Written opinion sent to designated/elected offices at the end of the international phase
  - EPO: "European search opinion", "Communication from the examining division" (subsequent written opinions during examination)
  - USPTO: "Non-final rejections", "Final rejections"
  - JPO: "Notification of reasons for refusal"
  - CA: "Examiner requisition"

# International phase options for search & examination



# Main products of international phase

## Work products of authorities

- **Publication of international application** (bibliographic data, abstract, description, drawings, claims ) [Rule 48]
- **International Search Report (ISR)** [Rule 43]
- **Written Opinion of ISA (WO-ISA)** [Rule 43bis]
  - prepared as complement to international search, but deals in substance with examination matters
- (Optional) Supplementary International Search Report (SISR) [Rule 45bis.7]
- **International Preliminary Report on Patentability (IPRP)**
  - IPRP (Chapter I) = WO-ISA plus cover sheet [Rule 44bis], or
  - IPRP (Chapter II) = International Preliminary Examination Report (IPER)

## Other statements related to patentability

- (Optional) informal statements by applicant on WO-ISA and respective amendments of claims [Article 19(1); Rule 46.4]
- (Optional) third party observations [Sect. 801ff]



# International publications

- 18 month after filing/priority date: **WO-A1** or **WO-A2**
- **WO-A1**: international application + international search report
- **WO-A2**: international application only if ISR not yet available
  - Front page, description, drawings, claims
  - Declaration that no ISR will be established (Article 17(2)(a))
- **WO-A3**: Later publication international search report + front page
- **WO-A4**: Later publication of amended claims and/or statement (Article 19)
- **WO-A8**: Republication front page with corrections
- **WO-A9**: Republication of full application or ISR with corrections, alterations or supplements

# International Search Report (ISR)

- Established by (selected) competent ISA
- **Search based on claims as originally filed (Article 15)**
  - > Limited utility of ISR for claims amended for national phase entry
- Search performed according to PCT Examination Guidelines
- Prior art is everything made available to the public (Rule 33)
  - in written disclosure (ISR may refer to oral disclosure, exhibition, though)
  - prior to the international filing date (i.e. priorities are not taken into account for the international search)
- Not any written disclosure is to be searched: **only PCT minimum documentation** (Rule 34)
  - Top-up search in national or further patent collections
- In case of lack of unity, only the "first" invention will be searched (Rule 40), unless additional fees are paid
- ISA can decline search of certain subject matter (Rule 39), namely subject matter that is excluded from patentability in national law (PCT does not define what is patentable!)

# ISR

- ISR is "**enriched**" **search report** as it includes
  - List of relevant prior art documents (citations) **plus** indications:
  - Claims for which a citation is relevant
  - Parts of the cited document which are relevant (e.g. 'line 5-6, page 7; drawing 6') for those claims
  - Why the document is relevant (challenging novelty, inventive step; describing background art)
  - IPCs of the claimed subject matter
  - Limited search strategy: technology areas (IPC) searched
- Includes observations regarding lack of unity (Box III), or whether no meaningful search could be performed (clarity of claims)

# Enriched prior art search reports



EUROPEAN SEARCH REPORT

Application Number  
EP 09 16 8955

Application number

DOCUMENTS CONSIDERED TO BE RELEVANT		
Category	Citation of document with indication, where appropriate, of relevant passages	Relevant to claim
X	EP 0 813 338 A2 (ROCKWELL INTERNATIONAL CORP [US]) 17 December 1997 (1997-12-17) * column 6, line 12 - column 8, line 26 * * column 8, line 52 - column 9, line 4; figure 1 *	1-13
Y	US 6 128 039 A (CHEN DATONG [US] ET AL) 3 October 2000 (2000-10-03) * column 3, line 57 - column 4, line 28; figure 2 *	1,3-7
Y	US 6 163 029 A (YAMADA SHINICHI [JP] ET AL) 19 December 2000 (2000-12-19) * column 15, line 30 - column 16, line 45; figures 2,15,16 *	1,3-7
A	FR 2 864 628 A1 (COMMISSARIAT ENERGIE ATOMIQUE [FR]) 1 July 2005 (2005-07-01) * page 4, line 18 - page 6, line 15; figure 3 *	1-13
A,D	WO 2004/064168 A1 (SCHERRER INST PAUL [CH]; BROENNIMANN CHRISTIAN [CH]; SCHMITT BERND [CH]) 29 July 2004 (2004-07-29) * the whole document *	1-13
E	WO 2009/131151 A1 (HAMAMATSU PHOTONICS KK [JP]; MORI HARUMICHI [JP]; KYUSHIMA RYUJI [JP];) 29 October 2009 (2009-10-29) * figure 12 *	1
The present search report has been drawn up for all claims		
1	Place of search The Hague	Date of completion of the search 23 March 2010
		Examiner Wulveryck, J
<p>CATEGORY OF CITED DOCUMENTS</p> <p>X : particularly relevant if taken alone                      Y : particularly relevant if combined with another document of the same category                      A : technological background                      O : non-written disclosure                      P : intermediate document</p> <p>T : theory or principle underlying the invention                      E : earlier patent document, but published on, or after the filing date                      D : document cited in the application                      L : document cited for other reasons                      &amp; : member of the same patent family, corresponding document</p>		

International Patent Classification

Category X, Y, A, etc.

Relevant to Claim ...

Cited documents

Technical Fields Searched

Searching Authority

Date of Completion of the Search

Examiner

# Categories of citations

- X particularly relevant if taken alone (novelty)
- Y particularly relevant if combined with another document of the same category (inventive step)
- A technological background
- O non written disclosure
- P intermediate document, i.e. published between the earliest priority date and the filing date
- E earlier document but published on or after the filing date
- T theory or principle underlying the invention
- D document cited in the application
  
- I (applied by EPO for limited period of time)

See 16.59ff of the [PCT Examination Guidelines](#)

# Written Opinion (WO), IPRP (Chapter I,II)

- WO is established together with ISR but not published with ISR
- Deals in substance with examination matters; presents a preliminary opinion on:
  - novelty (not anticipated)
  - inventive step (not obvious)
  - industrial applicability
- Priority dates are taken into account
- Sent to applicant with ISR
- WO is converted to IPRP (Chapter I) if no chapter II preliminary examination is requested, and communicated to DO (30 months) together with any informal comments of the applicant on WO-ISA
- Not binding for national phase examination
- Made publicly accessible (file inspection) after 30 months (Rule 44ter), e.g. in
  - Patentscope, EP-Register, Global Dossier
  - not yet in CCD

# PCT – WO

WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING  
AUTHORITY (SEPARATE SHEET)

International application No.

PCT/US2010/020787

**Box No. V Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. Statement

Novelty (N)	Yes: Claims	<u>3, 19</u>
	No: Claims	<u>1, 2, 4-18, 20</u>
Inventive step (IS)	Yes: Claims	
	No: Claims	<u>1-20</u>
Industrial applicability (IA)	Yes: Claims	<u>1-20</u>
	No: Claims	

2. Citations and explanations

see separate sheet

Form PCT/ISA/237 (April 2007)

Statements  
(Rule 70.6)

Explanations  
(Rule 70.8)

**Re Item V**

**Reasoned statement with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1 Reference is made to the following documents:

D1 US 2002/186921 A1 (SCHUMACHER LYNN C [CA] ET AL) 12 December 2002 (2002-12-12)

D2 WO 2007/136816 A2 (MASSACHUSETTS INST TECHNOLOGY [US]; BULOVIC VLADIMIR [YU]; KYMISSIS IO) 29 November 2007 (2007-11-29)

2 The present application does not meet the criteria of Article 33(1) PCT, because the subject-matter of claims 1, 4-15, 17-18, 20 is not new in the sense of Article 33(2) PCT.

2.1 D1 discloses

an optical fiber capable of being diagnosed non-invasively comprising an optical fiber (12) for conveying a light beam; said optical fiber comprising a first end for receiving said light beam and a second end opposed thereto, a core (14) comprising an inner wall, and a cladding (16) surrounding said core, said optical fiber further comprising at least one uncladded portion comprising a plurality of quantum dots (26) dispersed in a medium, wherein said quantum dots become activated by evanescent wave coupling resulting from total internal reflection of said light beam contacting said inner wall of said optical fiber core and wherein said activation results in emittance of light from said quantum dots (Fig. 2c; paragraphs [0033], [0045]).

Therefore, the subject-matter of present claim 1 is not novel over the teachings of D1.

2.2 D1 also discloses

# Access to Examination Work Products

- **File inspection (dossier)** gives access to all communications between applicant and office/examiner, i.e. examination work products, for published applications, in particular
  - **Search reports (citations)**
  - **examination reports/written opinions**
  - Original and amended **claims**
    - Opinions and search reports are based on (amended) claims
    - Claim sets may be different in different jurisdictions
      - May **limit the utility** of work products if claim set to be examined is different from that of other jurisdictions
  - Final **rejection rulings, grant decisions**



# Dossier Access (and Status Information)

- **Primary sources:** each jurisdiction defines how **authoritative (official)** patent information is published and the respective authority in charge
- **National Patent Registers** are **authoritative** sources for
  - national **legal status: all do (many online)**
  - national family relations (divisions, continuations)
  - national publications
  - online access to national **dossiers** (public file inspection): **some do**
- **Secondary sources (dossier access platforms):** one-stop shops to access information from several primary sources through a unified user interface (building on a table of the patent family); access with English user interface:
  - **Espacenet - Global Dossier** (public)
  - **USPTO - Global Dossier** (public)(Google Patents links to USPTO GD)
  - **J-PlatPat - One Portal Dossier** (public)
  - **CPQUERY** (registration required)
  - **WIPO CASE** (non-public)
  - **WIPO PATENTSCOPE** (public)

# Global Dossier

- Initially IP5 initiative (initially labelled One Portal Dossier)
- Access to **IP5 Offices' file wrappers/dossiers**
  - always up-to-date because it is retrieved on-the-fly from IP5 national registers
  - Machine translation for non-English documents
  - Accessible via Espacenet, USPTO-GD, J-PatPLat, CPQUERY, Google Patents
  - Same data, only different user interface
- Access to **non-IP5 dossiers** of 'providing' Offices of WIPO-CASE
  - partly operational
- Espacenet interface with additional information/tools
  - Different types of families viewable (USPTO GD only extended family)
  - Inpadoc legal status
  - integrated access to **Common Citation Document (CCD)**:
    - viewing and comparing of citations from members of extended and simple families from AP, AU, CA, CN, DE, EA, EP, JP, KR, RU, TW, US, WO, ....
    - 'comparing': which examiners have seen a particular citation or an equivalent thereof

# Global Dossier at USPTO



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## Global Dossier

Home Public Pair Common Citation Document Current Service Status Service Hours Help Email Us

Office: WIPO Type: PCT Application ★ Collections 0 ↻ History 1

Inpadoc (extended) family table; no choice to select simple or PCT family

**PCT/US2014/052705** 12 Members in Patent Family (12 currently shown)  

Office	Application	Applicant	Title	App. Date	Priority #	Pub. #	Pub. Date	Action
⚠ PE	0002862016			08/26/2014	US 61870089	PE 03542016 A1	05/11/2016	
⚠ MX	20160024				US PCT/US14/52705 US 61870089	MX 2016002410 A	05/31/2016	
⚠ EA	20169047				US PCT/US14/52705 US 61870089	EA 201690475 A1	06/30/2016	
⚠ AR	P1401102			08/26/2014	US 61870089	AR 097461 A1	03/16/2016	
⊕ AU	2014311324 <a href="#">View Dossier</a>	1) Red Leaf Resources, Inc.,	Gas transport composite barrier	08/26/2014	US PCT/US14/52705 US 61870089	AU 2014311324 A1 AU 2014311324 B2	04/07/2016 11/10/2016	 (2) <a href="#">Add to ★</a>
⚠ AP	201609052			08/26/2014	US PCT/US14/52705 US 61870089	AP 201609052 D0	02/29/2016	
⊕ US	14469062 <a href="#">View Dossier</a>	1) Patten, James W. 2) Bunger, James W. 3) Seely, Dan	GAS TRANSPORT COMPOSITE BARRIER	08/26/2014	US 61870089 US 14469062	<a href="#">US 20150053269 A1</a>	02/26/2015	 (1) <a href="#">Add to ★</a>
⚠ CA	2922019			08/26/2014	US PCT/US14/52705 US 61870089	CA 2922019 A1	03/05/2015	

"+" indicates that AU dossier is accessible

- IP Office Type
- All IP5 Offices
  - EPO
  - SIPO
  - KIPO
  - JPO
  - USPTO
  - Non-IP5 Offices

# Global Dossier at USPTO

**uspto**

## Global Dossier

Home Public Pair Common Citation Document Citation list **BETA** Availability Help Email us

Office WIPO Type PCT Application PCT/US2014/052705

**PCT/US2014/052705** 14 Members in Patent Family (14 currently shown)

**Dossier**

**Prosecution (event) history**

**Proseution (event) history**

Office	Application	Applicant	Title	App. Date	Priority #	Pub. #	Pub. Date	Action
EP	14840412	1) Red Leaf Resources Inc,	GAS TRANSPORT COMPOSITE BARRIER	08/26/2014	US PCT/US14/52705 US 61870089	EP 3038726 A1 EP 3038726 A4	07/06/2016 04/05/2017	(2) <a href="#">Add to ★</a>

**Most Recent Documents**

Date	Document Description	Options
03/14/2018	Refund of fees	...
11/08/2017	Application deemed to be withdrawn (no declaration of maintenance of the application/non-reply to the Written Opinion)	...
04/20/2017	Document concerning representation	...

**Office Actions**

Date	Document Description	Options
03/03/2017	European search opinion	...
03/15/2016	Copy of the international preliminary report on patentability	...

**All Documents** **Classification and Citation** **View All Office Actions**

US	14469062	1) Patten, James W. 2) Bungler, James W. 3) Seely, Dan	GAS TRANSPORT COMPOSITE BARRIER	08/26/2014	US 61870089 US 14469062	US 20150053269 A1 US 10036513 B2	02/26/2015 07/31/2018	(3) <a href="#">Add to ★</a>
AR	P140103202			08/26/2014	US 61870089	AR 097461 A1	03/16/2016	
CN	201480046997	1) RED LEAF RESOURCES, INC.,	Gas transport composite barrier	08/26/2014	US PCT/US14/52705 US 61870089	CN 105492095 A CN 105492095 B	04/13/2016 08/15/2017	(2) <a href="#">Add to ★</a>

WIPO PUBLIC

# One Portal Dossier (OPD) in J-PlatPat

Patents/Utility Models

Designs

Trademark

Trials & Appeals

[Home](#) > Patent/Utility Model Number Search/OPD

## Patent/Utility Model Number Search/OPD

 Help

If you select a document, you can retrieve various publications including patents/utility models, foreign documents, and non-patent documents (journals of technical disclosure).

If you select OPD retrieval, you can view application information and examination information (dossier information) at patent offices around the world.


Select an issued country/region/issued organization and type, and enter a number.

Search target

Document  OPD Retrieval

Input type

Number Searches are performed only for the numbers entered.

DOCDB Searches are performed only for the numbers entered. Include a country/region code for each number. 

Publication country/region/office

Japan (JP)



Number type

Patent application number



Number

Ex: 201900012X

 Search

Clear

# One Portal Dossier in J-PlatPat

## One Portal Dossier (OPD) Search

[▶ Help](#)

You can view application and examination information (dossier information) at patent offices around the world by document number.

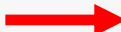
Search criteria	Number of family documents	Document group	ALL	▼
Publication/Registration number	14			
WO.2015031359.A*				

[Expand Document Information](#)

[Collapse Document Information](#)

[Display All Classification/Citation Information](#)

[CSV Output of Family List](#)

Country/region code	Application number ▲	Filing date ▲	Publication number	Registration number	Options
EP	EP.14840412.A	Aug.26,2014	<a href="#">EP.3038726.A1</a> EP.3038726.A4	- 	<a href="#">Classification/Citation Information</a> <a href="#">Expand Document List</a>
US	US.201414469062.A	Aug.26,2014	<a href="#">US.2015053269.A1</a>	<a href="#">US.10036513.B2</a> 	<a href="#">Classification/Citation Information</a> <a href="#">Expand Document List</a>
CN	CN.201480046997.A	Aug.26,2014	<a href="#">CN.105492095.A</a>	<a href="#">CN.105492095.B</a> 	<a href="#">Classification/Citation Information</a> <a href="#">Expand Document List</a>

# Dossiers in CPQUERY



China and Global Patent  
Examination Information Inquiry

China Patent Examination  
Information Inquiry

Global Patent Examination  
Information Inquiry



Notice: The system supports precise query. Application number, publication number and priority number shall be input in the following manner.

[RSS订阅使用手册](#)

\* Number Type:  \* Country Code:  \* Publication Number:  \* Kind Code:

\* Verification Code:

Search

Reset

filter :  sort :

[Application Number: EP 18781187 A](#)

Publication Number : EP 3607388 A1      Publication Date : 2020-02-12      Filing Date : 2018-04-06

Basic Information   Examination Information

[Application Number: EP 18781187 A](#)

Publication Number : EP 3607388 A4      Publication Date : 2020-04-15      Filing Date : 2018-04-06

Basic Information   Examination Information

[Application Number: AU 2018249563 A](#)

Publication Number : AU 2018249563 A1      Publication Date : 2019-10-10      Filing Date : 2018-04-05

Basic Information   Examination Information

[Application Number: AU 2018249563 A](#)

Publication Number : AU 2018249563 B2      Publication Date : 2020-07-23      Filing Date : 2018-04-05

# Dossier access platforms

## WIPO-CASE (non-public) - Centralized Access to Search and Examination

- Accessible only for 'accessing' and 'providing' Offices
- 'Providing' offices share their dossiers with other participating offices:
  - IP5 dossiers obtained from GD/OPD (WIPO/EPO collaboration)
  - plus: AU, BN, CA, CL, GB, IL, IN, NZ, SG ..
- All ASEAN member offices are 'accessing' offices, only BN, SG are also 'providing'; others may become 'providing' in the near future
- Family information includes only so-called 'complex' families
  - Proprietary family building based on applications of 'providing' Offices recorded in CASE, and NPEs recorded in PATENTSCOPE
  - EPO INPADOC family data are not integrated
- No plans to open CASE to the public
- Majority of dossiers are also publicly accessible through PATENTSCOPE 'document' tab (labelled as 'Global Dossier')





## WIPO CASE - Centralized Access to Search and Examination

The WIPO CASE system enables patent offices to securely share search and examination documentation related to patent applications in order to facilitate work sharing programs.

Many patent applications are filed in multiple offices and patent examiners can increase the efficiency and quality of their work by sharing their examination results.

The system was initially developed by the International Bureau in response to a request from the Vancouver Group offices (the patent offices of Australia, Canada and the UK). Based on their requirements, an initial system was deployed in 2011. The system was further enhanced during 2012 and is now operational for exchange of documents between examiners in the three offices.

Since June 1, 2015, any patent office may join the system by notifying the International Bureau that it is willing to participate according to the new terms and conditions [PDF](#) for the system. The office will choose whether it wishes to be a providing office or only an accessing office and technical choices need to be made for the exchange of documents between the office and the system. During a transition period, some offices are still participating according to the previous

[Access the WIPO CASE system](#)

[Terms and conditions](#) [PDF](#)

[Consultative Group WIKI](#)

### WIPO IP PORTAL



[The one-stop shop for your online IP services](#)

# CASE family table



Application Number

\*

Extended

Simple

e.g.: ( PCT/JP2013/081486, PCT/US2013/071150 )

Compare

History

Maximize

Close all tabs

PCTUS2014052705 x

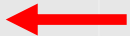
[Time Line](#)
[Tabular View](#)
[Family Citations](#)
[Discussion](#)

Application/Priority #	Filing/National Entry Date	Publications	PCT Application #
EA201690475	2014-08-26	EA 201690475.A1.2016-06-30	<a href="#">PCT/US2014/052705.2014-08-26</a>
US61/870,089	2013-08-26		
CLAP2016000410	2014-08-26	CL A/P/2016/000410.A.2016-10-28	<a href="#">PCT/US2014/052705.2014-08-26</a>
IDP00201601115	2014-08-26	ID 2017/08000.A.2017-07-28	<a href="#">PCT/US2014/052705.2014-08-26</a>
MA38846	2014-08-26	MA 38846.A1.2017-07-31	<a href="#">PCT/US2014/052705.2014-08-26</a>
US61/870,089	2013-08-26		
EP2014840412	2014-08-26	EP 3038726.A1.2016-07-06	<a href="#">PCT/US2014/052705.2014-08-26</a>
US201361870089	2013-08-26		
MYPI2016700460	2014-08-26		<a href="#">PCT/US2014/052705.2014-08-26</a>
US61/870,089	2013-08-26		
ARP140103202	2014-08-26	AR 097461.A1.2016-03-16	

# CASE family table – lower part

Time Line	Tabular View	Family Citations	Discussion
Application/Priority #	Filing/National Entry Date	Publications	PCT Application #
US201361870089 ⓘ			
MYPI2016700460			<a href="#">PCT/US2014/052705.2014-08-26</a>
US61/870,089			
ARP140103202 ⓘ	2013-08-26	AR 097461.A1.2016-03-16	
US61/870,089	2013-08-26		
<a href="#">AU2014311324</a> ⓘ	2014-08-26	AU 2014311324.B2.2016-11-10 , AU 2014311324.A1.2016-04-07	<a href="#">PCT/US2014/052705.2014-08-26</a>
US61/870,089	2013-08-26		
BR112016003861 ⓘ	2014-08-26	BR 112016003861.A2.2017-08-01	
US61/870,089	2013-08-26		
<a href="#">CN201480046997.2</a> ⓘ	2014-08-26	CN 105492095.A.2016-04-13	<a href="#">PCT/US2014/052705.2014-08-26</a>
US61/870,089	2013-08-26		
PE2016000286 ⓘ	2014-08-26	PE 2016-0354.A1.2016-05-11	<a href="#">PCT/US2014/052705.2014-08-26</a>
<a href="#">PCT/US2014/052705</a> ⓘ	2014-08-26	WO 2015/031359.A1.2015-03-05	
US61/870,089	2013-08-26		
MX2016002410 ⓘ	2016-02-24	MX 2016002410.A.2016-05-31	
US61/870,089	2013-08-26		
<a href="#">IN201627006520</a> ⓘ	2016-02-25	IN 201627006520.A.2016-07-22	<a href="#">PCT/US2014/052705.2014-08-26</a>
US61/870,089	2013-08-26		

If dossier available,  
number is linked



# IN dossier via CASE

To date, IN dossiers are not systematically updated in CASE and PATENTSCOPE;

Better to access via register [inPASS](#)

WIPO IP PORTAL MENU **WIPO CASE** HELP

Application Number \*  Extended Simple e.g.: ( PCT/JP

all tabs

PCTUS2014052705 x

AU2014311324 x IN201627006520 x

Document List

Document Name	Document Category	Date	Pages/Size	<input type="checkbox"/>				
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WITHDRAWALLETTER	Specifications and Incoming Documents	2017-11-20		<input type="checkbox"/>				
RELEVANT DOCUMENTS	Specifications and Incoming Documents	2017-10-24		<input type="checkbox"/>				
DESCRIPTION	Specifications and Incoming Documents	2017-06-14		<input type="checkbox"/>				
FORM 13	Specifications and Incoming Documents	2017-06-14		<input type="checkbox"/>				
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FORM 18	Specifications and Incoming Documents	2017-06-09		<input type="checkbox"/>				

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Bibliographic Data

Citation Data

# AU dossier via CASE



Application Number

pct/us2014/052705

Extended

Simple

e.g.: ( PCT/JP2013/081486, PCT/US2013/071150 )

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PCTUS2014052705

AU2014311324

IN201627006520

Document List

Document Name	Document Category	Date	Pages/Size	<input type="checkbox"/>				
Notice of Acceptance and Bibliographic Attach	Specifications and Incoming Documents	2016-10-28	0.2 MB	<input type="checkbox"/>				
Claim as Accepted	Specifications and Incoming Documents	2016-10-27	0.12 MB	<input type="checkbox"/>				
Description as Accepted	Specifications and Incoming Documents	2016-10-27	1.47 MB	<input type="checkbox"/>				
Amendment 18-10-2016 SPBI-0001081172	Specifications and Incoming Documents	2016-10-18	1.49 MB	<input type="checkbox"/>				
Amendment 18-10-2016 SPBI-0001081172	Specifications and Incoming Documents	2016-10-18	0.89 MB	<input type="checkbox"/>				
Amendment 18-10-2016 SPBI-0001081172	Specifications and Incoming Documents	2016-10-18	0.65 MB	<input type="checkbox"/>				
Amendment 18-10-2016 SPBI-0001081172	Specifications and Incoming Documents	2016-10-18	0.5 MB	<input type="checkbox"/>				



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# Dossier access platforms

## PATENTSCOPE

- Public access to WIPO CASE dossiers through 'document' tab (labelled as 'Global Dossier', though)
- For jurisdictions which have authorized public sharing outside of CASE
- For some additional jurisdictions enabling deep-linking to their national registers
- Two distinct family tables
  - PCT family (National Phase Entries (NPE) reported to WIPO from Designated and Elected Offices)
    - only shown for WO publications
    - Not comprehensive because depending on reporting by DO and EO)
  - Additional proprietary family building based on simple family concept
  - EPO INPADOC family data are not integrated

# Family information in PATENTSCOPE

## 1. WO2015031359 - GAS TRANSPORT COMPOSITE BARRIER

PCT Biblio. Data Description Claims Drawings National Phase Notices Documents

PermaLink Machine translation

### Publication Number

WO/2015/031359

### Publication Date

05.03.2015

### International Application No.

[PCT/US2014/052705](#)

### International Filing Date

26.08.2014

### IPC

B01D 19/00 2006.01 C10G 1/00 2006.01

C10G 31/00 2006.01

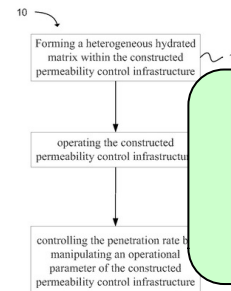
### CPC

### Title

[EN] GAS

[FR] B

National phase entries may offer access to further dossiers via register link



Family list does not indicate if dossiers are available

Patent family (proprietary built)

### Inventors

PATTEN, James, W.  
BUNGER, James, W.  
SEELY, Dan

### Agents

ERICKSEN, Erik, S.

### Priority Data

61/870,089 26.08.2013 US

### Publication Language

English [EN]

### Filing Language

English [EN]

### Designated States

### Abstract

[EN]

A method [10] of minimizing vapor transmission from a constructed permeability control infrastructure can comprise forming a heterogeneous hydrated matrix within the constructed permeability control infrastructure, the constructed permeability control infrastructure comprising a permeability control impoundment defining a heterogeneous hydrated matrix volume. The heterogeneous hydrated matrix includes a particulate solid phase and a continuous liquid phase which is penetrable by a vapor having a permeation rate. The constructed permeability control infrastructure is operated [14] to control the permeation rate by manipulating [16] an operational parameter of the constructed permeability control infrastructure. Additionally, the vapor can be retained during operating sufficient to contain the vapor within the constructed permeability control infrastructure.

[FR]

La présente invention concerne un procédé [10] de réduction au minimum de la transmission de vapeur depuis une infrastructure de contrôle de perméabilité construite qui peut comprendre la formation [12] d'une matrice hydratée hétérogène dans l'infrastructure de contrôle de perméabilité construite, l'infrastructure de contrôle de perméabilité construite comprenant une barrière de contrôle de perméabilité définissant un volume sensiblement encapsulé. La matrice hydratée hétérogène comprend une phase solide particulaire et une phase liquide continue qui est pénétrable par une vapeur ayant un taux de perméation. L'infrastructure de contrôle de perméabilité construite est mise en œuvre [14] pour contrôler le taux de perméation par manipulation [16] d'un paramètre opérationnel de l'infrastructure de contrôle de perméabilité construite. De plus, la vapeur peut être retenue pendant un fonctionnement suffisant pour contenir la vapeur dans l'infrastructure de contrôle de perméabilité construite.

### Also published as

[AU2014311324](#) [BR112016003861](#) [CA2922019](#) [CL2016-410](#) [CL2016000410](#) [CN105492095](#) [EA201690475](#) [EP3038726](#) [GE14072](#) [GE14072/1](#) [ID2017/08000](#) [IDIDP00201601115](#) [IL244235](#) [IN201627006520](#) [MA38846](#)  
[MGMGB20164](#) [MX2016002410](#) [MYPI2016700480](#) [PE2016-0354](#) [TN2016000047](#) [Ua201603059](#)

# Dossiers in PATENTSCOPE (CASE data)

## 1. AU2014311324 - GAS TRANSPORT COMPOSITE BARRIER

Nation Biblio. Data Description Claims Drawings **Documents**

Family member selected from list

If dossiers are available they are accessible via 'document tab'

Published Application		
		View
AU2014311324A1	AU20160407	<a href="#">ZIP(XML + TIFFs)</a>
AU2014311324B2	AU20161110	<a href="#">ZIP(XML + TIFFs)</a>

### Global Dossier

Legal date	Description	Download
15.03.2016	Abstract as Accepted	<a href="#">PDF</a>
15.03.2016	ABSTRACT ver 1	<a href="#">PDF</a>
15.03.2016	CLAIM ver 1	<a href="#">PDF</a>



# Dossiers in PATENTSCOPE

To date, IN dossiers are not systematically updated in CASE and PATENTSCOPE;

Better to access via register [inPASS](#)

## 1. IN201627006520 - GAS TRANSPORT COMPOSITION

National Biblio. Data Documents

PermaLink

Global Dossier		
Legal date	Description	Download
25.02.2016	DESCRIPTION	<a href="#">PDF</a>
25.02.2016	DRAWING	<a href="#">PDF</a>
25.02.2016	FORM 20	<a href="#">PDF</a>
25.02.2016	PRIORITY DOCUMENT	<a href="#">PDF</a>
05.04.2016	CORRESPONDENCE	<a href="#">PDF</a>
05.04.2016	FORM 3	<a href="#">PDF</a>
05.04.2016	FORM 5	<a href="#">PDF</a>
05.04.2016	FORM PCT-IB-306	<a href="#">PDF</a>

# National phase entry tab PATENTSCOPE

## 1. W01999007319 - A MULTI-FUNCTIONAL FASTENER FOR DISPOSABLE ABSORBENT ARTICLES

PCT Biblio. Data Description Claims Drawings National Phase Notices

National application numbers reported by designated/elected offices

PermaLink

Available information on National Phase entries [\[more information\]](#)


Office	Entry Date	National Number	National Status
Israel	29.07.1998	<a href="#">132595</a>	Published: 19.03.2001 Granted: 11.02.2005
Canada	03.11.1999	<a href="#">2289029</a>	
		<a href="#">1020007001251</a>	
		PA/a/2000/001381	

Hyperlinked to national registers where possible

Sharing NPE data **mandatory** as from July 2017

# Register access example: Canada

## Canadian Patents Database

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Green Technologies  
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## Patent 2805819 Summary

**Third-party information liability  
Claims and Abstract availability**

<a href="#">(12) Patent Application:</a>	<a href="#">(11) CA 2805819</a>
<a href="#">(54) English Title:</a>	IMPROVED BROMINATED SORBENTS FOR REMOVING MERCURY FROM EMISSIONS PRODUCED DURING COMBUSTION
<a href="#">(54) French Title:</a>	SORBANTS BROMES AMELIORES POUR L'ELIMINATION DU MERCURE D'EMISSIONS PRODUITES PENDANT LA COMBUSTION DE CARBURANT

**Bibliographic Data** | Abstracts | Claims | Representative Drawing | Admin Status | **Documents**

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# Future of dossier access platforms

- Espacenet, USPTO-Global Dossier, J-PlatPat and WIPO-CASE & PATENTSCOPE are (at the present) **complementary** to each other
- Shall, in future, provide access to same set of dossiers
- Which one to use then?
  - Better user interface?
    - Searching, viewing, exporting, ...
  - Additional tools (comparing, translations, alerts, ..)
  - Additional information (citations, enriched citations, different types of families, ...)
- Many national registers already enable deep linking
- Do we still need secondary platforms then? Or just a 'federated register', i.e. a comprehensive family table linking to national registers

# Utility foreign examination work products

## ■ Examination reports/opinions

- Claims need to have equal wording or at least equal scope

## ■ Search reports/citations

- Claims should cover similar inventions or related technologies
  - Usually true even for extended family members
- Top-up search required if relevant collections were not searched; or claims if subject matter of amended claims were not searched previously

## ■ Claim sets granted

- Description needs to support foreign claim set
  - Usually true for PCT family members
  - Not necessarily true for simple family
  - Not very likely for extended family
- Awaiting final results incurs delay
- Using final results usually avoids assessing novelty and inventiveness; requires only assessing if claimed subject matter is exempt/excluded from patentability according to national law

Thank you

[lutz.mailander@wipo.int](mailto:lutz.mailander@wipo.int)