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International Patent Cooperation Union (PCT Union)

Assembly

Fiftieth (29th Extraordinary) Session
Geneva, September 24 to October 2, 2018

**AMENDMENT OF THE AGREEMENT IN RELATION TO THE FUNCTIONING OF THE
CANADIAN COMMISSIONER OF PATENTS AS AN INTERNATIONAL SEARCHING
AND PRELIMINARY EXAMINING AUTHORITY UNDER THE PCT**

Document prepared by the International Bureau

BACKGROUND

1. The Assembly, at its forty-ninth session, held in Geneva from October 2 to 11, 2017, extended the appointment of the Canadian Commissioner of Patents as an International Searching and Preliminary Examining Authority until December 31, 2027 and approved the text of a new draft agreement in relation to the functioning of the Canadian Commissioner of Patents in that capacity. At the same time, the Assembly approved an extension of the existing agreement until December 31, 2018, or until the day before the entry into force of the new Agreement, as set out in document PCT/A/49/2 Corr. (see paragraph 43 of the Report of the session, document PCT/A/49/5).

EXTENSION OF THE EXISTING AGREEMENT

2. The Canadian Commissioner of Patents has informed the International Bureau that it may not be possible to complete the relevant national processes for approval of the new agreement before December 31, 2018.

3. Consequently, it is proposed to approve a further extension of the existing agreement between the International Bureau and the Canadian Commissioner of Patents for a period of up to one year pending the ratification of the new agreement, with the existing agreement ceasing automatically on entry into force of the new agreement.

4. Annex I to this document sets out a draft extension of the existing agreement. This takes a similar form to the extension agreed by the Assembly in 2017 set out in the Annex to document PCT/A/49/2 Cor.

AMENDMENT OF THE AGREEMENT

5. In order to complete the ratification of the new agreement, the Government of Canada would require amendment of the text of the agreement approved at the last session in relation to certain procedural and formal matters, as follows:

(a) the party to the agreement with the International Bureau has been changed from the Canadian Commissioner of Patents to the Government of Canada;

(b) the Preamble explicitly defines “the Parties” and includes the date of signature of the PCT; and

(c) amendments are proposed to Article 9 and Articles 11(1) and (2) relating to the process for entry into force of the agreement and subsequent amendments to the agreement other than those listed in Article 11(3).

6. Annex II to this document sets out the proposed amendments. Annex III to this document sets out a “clean” version of the draft agreement incorporating these amendments.

APPROVAL BY THE ASSEMBLY

7. It is recalled that Article 11(1) of the existing and new agreements requires that amendments to the main body of the agreements be subject to approval by the Assembly.

8. *The Assembly of the PCT Union is invited to:*

(i) approve the text of the draft amendment to the agreement in relation to the functioning of the Canadian Commissioner of Patents as an International Searching and Preliminary Examining Authority, as set out in Annex I to document PCT/A/50/4; and

(ii) approve the proposed amendments to the agreement in relation to the functioning of the Canadian Commissioner of Patents as an International Searching and Preliminary Examining Authority, as set out in Annex II to the same document.

[Annexes follow]

Amendment to the Agreement

between the Canadian Commissioner of Patents
and the International Bureau of the World Intellectual Property Organization

in relation to the functioning of the Canadian Commissioner of Patents
as an International Searching Authority
and International Preliminary Examining Authority
under the Patent Cooperation Treaty

Preamble

The Canadian Commissioner of Patents and the International Bureau of the World Intellectual Property Organization,

Considering that the Agreement between the Canadian Commissioner of Patents and the International Bureau of WIPO in relation to the functioning of the Canadian Commissioner of Patents as an International Searching Authority and International Preliminary Examining Authority under the Patent Cooperation Treaty (PCT) of December 13, 2007 (the Agreement), made under PCT Articles 16(3)(b) and 32(3), was concluded for a period of 10 years from January 1, 2008 to December 31, 2017,

Considering that the said Agreement has been amended in 2010, these amendments having been published in the PCT Gazette on July 22, 2010,

Considering that the Canadian Commissioner of Patents and the International Bureau of WIPO have already started negotiations for a new Agreement as provided under Article 10 therein,

Considering that an Amendment to the said Agreement was signed on October 30, 2017 and December 13, 2017 to extend the said Agreement until December 31, 2018 or until the day before the entry into force of the said new Agreement on the same subject matter in accordance with PCT Articles 16(3)(b) and 32(3), said Amendment having been published in the PCT Gazette on January 18, 2018,

Recognizing that the Government of Canada will not be able to complete the necessary domestic procedures to ratify a new Agreement in relation to the functioning of the Canadian Commissioner of Patents as an International Searching Authority and International Preliminary Examining Authority under the Patent Cooperation Treaty, prior to the expiration of the extended Agreement on December 31, 2018;

Hereby agree as follows:

Article 1
Extension of the Agreement

(1) The Agreement between the Canadian Commissioner of Patents and the International Bureau of WIPO signed on December 13, 2007, including its amendments and Annexes, is hereby further extended until December 31, 2019, or until the day before the entry into force of a new Agreement on the same subject matter in accordance with PCT Articles 16(3)(b) and 32(3) and with the domestic legal and constitutional procedures of Canada, whichever is sooner.

(2) Consequently, references made to “December 31, 2018” under Articles 10 and 12 of the Agreement are amended to “December 31, 2019”, accordingly.

Article 2
Approval and entry into force

(1) In accordance with Article 11(1) of the Agreement, this amendment shall be subject to the approval of the Assembly of the International Patent Cooperation Union.

(2) Subject to paragraph 1 of this Article, this amendment shall take effect on December 31, 2018.

In witness whereof the parties hereto have executed this Agreement.

Done at *[city]*, this *[date]*, in two originals in the English and French languages, each text being equally authentic.

For the Canadian Commissioner of Patents
by:

For the International Bureau of the World
Intellectual Property Organization by:

[Annex II follows]

Draft Agreement¹

between the ~~Canadian Commissioner of Patents~~ Government of Canada
and the International Bureau of the World Intellectual Property Organization

in relation to the functioning of the Canadian Commissioner of Patents
as an International Searching Authority
and International Preliminary Examining Authority
under the Patent Cooperation Treaty

Preamble

The ~~Canadian Commissioner of Patents~~ Government of Canada and the International Bureau of the World Intellectual Property Organization, hereinafter referred to as the "Parties",

Considering that the ~~PCT~~ Patent Cooperation Treaty Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the Canadian Commissioner of Patents as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty, done at Washington, on June 19, 1970, and approved this Agreement in accordance with Articles 16(3) and 32(3),

Hereby agree as follows:

Article 1

Terms and Expressions

- (1) For the purposes of this Agreement:
- (a) "Treaty" means the Patent Cooperation Treaty (PCT);
 - (b) "Regulations" means the Regulations under the Treaty;
 - (c) "Administrative Instructions" means the Administrative Instructions under the Treaty;
 - (d) "Article" (except where a specific reference is made to an Article of this Agreement) means an Article of the Treaty;
 - (e) "Rule" means a Rule of the Regulations;
 - (f) "Contracting State" means a State party to the Treaty;
 - (g) "the Authority" means the Canadian Commissioner of Patents;
 - (h) "the International Bureau" means the International Bureau of the World Intellectual Property Organization.
- (2) All other terms and expressions used in this Agreement which are also used in the Treaty, the Regulations or the Administrative Instructions have, for the purposes of this Agreement, the same meaning as in the Treaty, the Regulations and the Administrative Instructions.

¹ Proposed additions and deletions are indicated, respectively, by underlining and striking through the text concerned.

Article 2 Basic Obligations

(1) The Authority shall carry out international search and international preliminary examination in accordance with, and perform such other functions of an International Searching Authority and International Preliminary Examining Authority as are provided under, the Treaty, the Regulations, the Administrative Instructions and this Agreement.

(2) In carrying out international search and international preliminary examination, the Authority shall apply and observe all the common rules of international search and of international preliminary examination and, in particular, shall be guided by the PCT International Search and Preliminary Examination Guidelines.

(3) The Authority shall maintain a quality management system in compliance with the requirements set out in the PCT International Search and Preliminary Examination Guidelines.

(4) The Authority and the International Bureau shall, having regard to their respective functions under the Treaty, the Regulations, the Administrative Instructions and this Agreement, render, to the extent considered to be appropriate by both the Authority and the International Bureau, mutual assistance in the performance of their functions thereunder.

Article 3 Competence of Authority

(1) The Authority shall act as International Searching Authority for any international application filed with the receiving Office of, or acting for, any Contracting State specified in Annex A to this Agreement, provided that the receiving Office specifies the Authority for that purpose, that such application, or a translation thereof furnished for the purposes of international search, is in the language or one of the languages specified in Annex A to this Agreement and, where applicable, that the Authority has been chosen by the applicant and that any other requirements regarding such application as specified in Annex A to this Agreement have been met.

(2) The Authority shall act as International Preliminary Examining Authority for any international application filed with the receiving Office of, or acting for, any Contracting State specified in Annex A to this Agreement, provided that the receiving Office specifies the Authority for that purpose, that such application, or a translation thereof furnished for the purposes of international preliminary examination, is in the language or one of the languages specified in Annex A to this Agreement and, where applicable, that the Authority has been chosen by the applicant and that any other requirements regarding such application as specified in Annex A to this Agreement have been met.

(3) Where an international application is filed with the International Bureau as receiving Office under Rule 19.1(a)(iii), paragraphs (1) and (2) apply as if that application had been filed with a receiving Office which would have been competent under Rule 19.1(a)(i) or (ii), (b) or (c) or Rule 19.2(i).

(4) The Authority shall conduct supplementary international searches in accordance with Rule 45*bis* to the extent decided by it, as set out in Annex B to this Agreement.

Article 4
Subject Matter Not Required to Be Searched or Examined

The Authority shall not be obliged to search, by virtue of Article 17(2)(a)(i), or examine, by virtue of Article 34(4)(a)(i), any international application to the extent that it considers that such application relates to subject matter set forth in Rule 39.1 or 67.1, as the case may be, with the exception of the subject matter specified in Annex C to this Agreement.

Article 5
Fees and Charges

(1) A schedule of all fees of the Authority, and all other charges which the Authority is entitled to make, in relation to its functions as an International Searching Authority and International Preliminary Examining Authority, is set out in Annex D to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex D to this Agreement:

(i) refund the whole or part of the search fee paid, or waive or reduce the search fee, where the international search report can be wholly or partly based on the results of an earlier search (Rules 16.3 and 41.1);

(ii) refund the search fee where the international application is withdrawn or considered withdrawn before the start of the international search.

(3) The Authority shall, under the conditions and to the extent set out in Annex D to this Agreement, refund the whole or part of the preliminary examination fee paid where the demand is considered as if it had not been submitted (Rule 58.3) or where the demand or the international application is withdrawn by the applicant before the start of the international preliminary examination.

Article 6
Classification

For the purposes of Rules 43.3(a) and 70.5(b), the Authority shall indicate the classification of the subject matter according to the International Patent Classification. The Authority may, in addition, in accordance with Rules 43.3 and 70.5, indicate the classification of the subject matter according to any other patent classification specified in Annex E to this Agreement to the extent decided by it as set out in that Annex.

Article 7
Languages of Correspondence Used by the Authority

For the purposes of correspondence, including forms, other than with the International Bureau, the Authority shall use the language or one of the languages indicated, having regard to the language or languages indicated in Annex A and to the language or languages whose use is authorized by the Authority under Rule 92.2(b), in Annex F.

Article 8
International-Type Search

The Authority shall carry out international-type searches to the extent decided by it as set out in Annex G to this Agreement.

Article 9
Entry into Force

This Agreement shall enter into force on the date specified in the written notification from the Government of Canada to the International Bureau of the World Intellectual Property Organization informing that it has completed its internal procedures necessary for the entry into force of this Agreement.

Article 10
Duration and Renewability

This Agreement shall remain in force until December 31, 2027. The ~~parties to this Agreement~~ Parties shall, no later than July 2026, start negotiations for its renewal.

Article 11
Amendment

(1) Without prejudice to paragraphs (2) and (3), amendments may, subject to approval by the Assembly of the International Patent Cooperation Union, be made to this Agreement by agreement between the ~~parties hereto~~ Parties; they shall take effect ~~on the date agreed upon by them~~ in accordance with the process set out in Article 9 of this Agreement.

(2) Without prejudice to paragraph (3), amendments may be made to the Annexes to this Agreement by agreement between the Director General of the World Intellectual Property Organization and the ~~Authority~~ Government of Canada; and, notwithstanding paragraph (4), they shall take effect ~~on the date agreed upon by them~~ in accordance with the process set out in Article 9 of this Agreement.

(3) The ~~Authority~~ Government of Canada may, by a notification to the Director General of the World Intellectual Property Organization:

(i) add to the indications of States and languages contained in Annex A to this Agreement;

(ii) amend the indications on supplementary international searches contained in Annex B to this Agreement;

(iii) amend the schedule of fees and charges contained in Annex D to this Agreement;

(iv) amend the indications on patent classification systems contained in Annex E to this Agreement;

(v) amend the indications on languages of correspondence contained in Annex F to this Agreement;

(vi) amend the indications on international-type searches contained in Annex G to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that:

(i) for an amendment to Annex B to the effect that the Authority shall no longer conduct supplementary international searches, that date is at least six months later than the date on which the notification is received by the International Bureau, and

(ii) for any change in the currency or amount of fees or charges contained in Annex D, for any addition of new fees or charges, and for any change in the conditions for and the extent of refunds or reductions of fees contained in Annex D, that date is at least two months later than the date on which the notification is received by the International Bureau.

Article 12 Termination

(1) This Agreement shall terminate before December 31, 2027:

(i) if the ~~Canadian Commissioner of Patents~~ Government of Canada gives the Director General of the World Intellectual Property Organization written notice to terminate this Agreement; or

(ii) if the Director General of the World Intellectual Property Organization gives the ~~Canadian Commissioner of Patents~~ Government of Canada written notice to terminate this Agreement.

(2) The termination of this Agreement under paragraph (1) shall take effect one year after receipt of the notice by the other party, unless a longer period is specified in such notice or unless both parties agree on a shorter period.

In witness whereof the parties hereto have executed this Agreement.

Done at *[city]*, this *[date]*, in two originals in the English and French languages, each text being equally authentic.

For the ~~The Canadian Commissioner of Patents~~ Government of Canada:

For the International Bureau of the World Intellectual Property Organization by:

[Annexes to the agreement are not reproduced here]

[Annex III follows]

Draft Agreement²

between the Government of Canada
and the International Bureau of the World Intellectual Property Organization

in relation to the functioning of the Canadian Commissioner of Patents
as an International Searching Authority
and International Preliminary Examining Authority
under the Patent Cooperation Treaty

Preamble

The Government of Canada and the International Bureau of the World Intellectual Property Organization, hereinafter referred to as the "Parties",

Considering that the Patent Cooperation Treaty Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the Canadian Commissioner of Patents as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty, done at Washington, on June 19, 1970, and approved this Agreement in accordance with Articles 16(3) and 32(3),

Hereby agree as follows:

Article 1

Terms and Expressions

- (1) For the purposes of this Agreement:
- (a) "Treaty" means the Patent Cooperation Treaty (PCT);
 - (b) "Regulations" means the Regulations under the Treaty;
 - (c) "Administrative Instructions" means the Administrative Instructions under the Treaty;
 - (d) "Article" (except where a specific reference is made to an Article of this Agreement) means an Article of the Treaty;
 - (e) "Rule" means a Rule of the Regulations;
 - (f) "Contracting State" means a State party to the Treaty;
 - (g) "the Authority" means the Canadian Commissioner of Patents;
 - (h) "the International Bureau" means the International Bureau of the World Intellectual Property Organization.

² Proposed amendments of the draft Agreement are set out in Annex II, in which additions and deletions are shown, respectively, by underlining and striking-through of the text concerned. This Annex contains, for convenient reference, a "clean" text of the draft Agreement as it would stand after amendment.

(2) All other terms and expressions used in this Agreement which are also used in the Treaty, the Regulations or the Administrative Instructions have, for the purposes of this Agreement, the same meaning as in the Treaty, the Regulations and the Administrative Instructions.

Article 2 Basic Obligations

(1) The Authority shall carry out international search and international preliminary examination in accordance with, and perform such other functions of an International Searching Authority and International Preliminary Examining Authority as are provided under, the Treaty, the Regulations, the Administrative Instructions and this Agreement.

(2) In carrying out international search and international preliminary examination, the Authority shall apply and observe all the common rules of international search and of international preliminary examination and, in particular, shall be guided by the PCT International Search and Preliminary Examination Guidelines.

(3) The Authority shall maintain a quality management system in compliance with the requirements set out in the PCT International Search and Preliminary Examination Guidelines.

(4) The Authority and the International Bureau shall, having regard to their respective functions under the Treaty, the Regulations, the Administrative Instructions and this Agreement, render, to the extent considered to be appropriate by both the Authority and the International Bureau, mutual assistance in the performance of their functions thereunder.

Article 3 Competence of Authority

(1) The Authority shall act as International Searching Authority for any international application filed with the receiving Office of, or acting for, any Contracting State specified in Annex A to this Agreement, provided that the receiving Office specifies the Authority for that purpose, that such application, or a translation thereof furnished for the purposes of international search, is in the language or one of the languages specified in Annex A to this Agreement and, where applicable, that the Authority has been chosen by the applicant and that any other requirements regarding such application as specified in Annex A to this Agreement have been met.

(2) The Authority shall act as International Preliminary Examining Authority for any international application filed with the receiving Office of, or acting for, any Contracting State specified in Annex A to this Agreement, provided that the receiving Office specifies the Authority for that purpose, that such application, or a translation thereof furnished for the purposes of international preliminary examination, is in the language or one of the languages specified in Annex A to this Agreement and, where applicable, that the Authority has been chosen by the applicant and that any other requirements regarding such application as specified in Annex A to this Agreement have been met.

(3) Where an international application is filed with the International Bureau as receiving Office under Rule 19.1(a)(iii), paragraphs (1) and (2) apply as if that application had been filed with a receiving Office which would have been competent under Rule 19.1(a)(i) or (ii), (b) or (c) or Rule 19.2(i).

(4) The Authority shall conduct supplementary international searches in accordance with Rule 45*bis* to the extent decided by it, as set out in Annex B to this Agreement.

Article 4 Subject Matter Not Required to Be Searched or Examined

The Authority shall not be obliged to search, by virtue of Article 17(2)(a)(i), or examine, by virtue of Article 34(4)(a)(i), any international application to the extent that it considers that such application relates to subject matter set forth in Rule 39.1 or 67.1, as the case may be, with the exception of the subject matter specified in Annex C to this Agreement.

Article 5 Fees and Charges

(1) A schedule of all fees of the Authority, and all other charges which the Authority is entitled to make, in relation to its functions as an International Searching Authority and International Preliminary Examining Authority, is set out in Annex D to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex D to this Agreement:

(i) refund the whole or part of the search fee paid, or waive or reduce the search fee, where the international search report can be wholly or partly based on the results of an earlier search (Rules 16.3 and 41.1);

(ii) refund the search fee where the international application is withdrawn or considered withdrawn before the start of the international search.

(3) The Authority shall, under the conditions and to the extent set out in Annex D to this Agreement, refund the whole or part of the preliminary examination fee paid where the demand is considered as if it had not been submitted (Rule 58.3) or where the demand or the international application is withdrawn by the applicant before the start of the international preliminary examination.

Article 6 Classification

For the purposes of Rules 43.3(a) and 70.5(b), the Authority shall indicate the classification of the subject matter according to the International Patent Classification. The Authority may, in addition, in accordance with Rules 43.3 and 70.5, indicate the classification of the subject matter according to any other patent classification specified in Annex E to this Agreement to the extent decided by it as set out in that Annex.

Article 7
Languages of Correspondence Used by the Authority

For the purposes of correspondence, including forms, other than with the International Bureau, the Authority shall use the language or one of the languages indicated, having regard to the language or languages indicated in Annex A and to the language or languages whose use is authorized by the Authority under Rule 92.2(b), in Annex F.

Article 8
International-Type Search

The Authority shall carry out international-type searches to the extent decided by it as set out in Annex G to this Agreement.

Article 9
Entry into Force

This Agreement shall enter into force on the date specified in the written notification from the Government of Canada to the International Bureau of the World Intellectual Property Organization informing that it has completed its internal procedures necessary for the entry into force of this Agreement.

Article 10
Duration and Renewability

This Agreement shall remain in force until December 31, 2027. The Parties shall, no later than July 2026, start negotiations for its renewal.

Article 11
Amendment

(1) Without prejudice to paragraphs (2) and (3), amendments may, subject to approval by the Assembly of the International Patent Cooperation Union, be made to this Agreement by agreement between the Parties; they shall take effect in accordance with the process set out in Article 9 of this Agreement.

(2) Without prejudice to paragraph (3), amendments may be made to the Annexes to this Agreement by agreement between the Director General of the World Intellectual Property Organization and the Government of Canada; and, notwithstanding paragraph (4), they shall take effect in accordance with the process set out in Article 9 of this Agreement.

(3) The Government of Canada may, by a notification to the Director General of the World Intellectual Property Organization:

(i) add to the indications of States and languages contained in Annex A to this Agreement;

(ii) amend the indications on supplementary international searches contained in Annex B to this Agreement;

(iii) amend the schedule of fees and charges contained in Annex D to this Agreement;

(iv) amend the indications on patent classification systems contained in Annex E to this Agreement;

(v) amend the indications on languages of correspondence contained in Annex F to this Agreement;

(vi) amend the indications on international-type searches contained in Annex G to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that:

(i) for an amendment to Annex B to the effect that the Authority shall no longer conduct supplementary international searches, that date is at least six months later than the date on which the notification is received by the International Bureau, and

(ii) for any change in the currency or amount of fees or charges contained in Annex D, for any addition of new fees or charges, and for any change in the conditions for and the extent of refunds or reductions of fees contained in Annex D, that date is at least two months later than the date on which the notification is received by the International Bureau.

Article 12 Termination

(1) This Agreement shall terminate before December 31, 2027:

(i) if the Government of Canada gives the Director General of the World Intellectual Property Organization written notice to terminate this Agreement; or

(ii) if the Director General of the World Intellectual Property Organization gives the Government of Canada written notice to terminate this Agreement.

(2) The termination of this Agreement under paragraph (1) shall take effect one year after receipt of the notice by the other party, unless a longer period is specified in such notice or unless both parties agree on a shorter period.

In witness whereof the parties hereto have executed this Agreement.

Done at *[city]*, this *[date]*, in two originals in the English and French languages, each text being equally authentic.

For the Government of Canada:

For the International Bureau of the World
Intellectual Property Organization by:

[Annexes to the agreement are not reproduced here]

[End of Annex III and of document]