

## **Patent Cooperation Treaty (PCT) Working Group**

**Eleventh Session**  
**Geneva, June 18 to 22, 2018**

### **UPDATE TO PROGRESS REPORT ON IMPLEMENTATION OF FEE REDUCTION CHANGES**

*Document prepared by the International Bureau*

#### **SUMMARY**

1. The present document provides an update to the progress report on implementation of the new eligibility criteria for reductions in certain fees payable to the International Bureau presented to the tenth session of the Working Group.

#### **BACKGROUND**

2. The Working Group, at its seventh session in June 2014, agreed on proposed amendments to the PCT Schedule of Fees and on proposed Directives for Updating the Lists of States Meeting the Criteria for Reduction of Certain PCT Fees, with a view to their submission to the PCT Assembly for consideration at its September 2014 session. In addition, the Working Group recommended that a progress report on the implementation of the amendments to the PCT Schedule of Fees be made two years after the implementation of the amendments (see document PCT/WG/7/30, paragraphs 98 to 100).

3. This progress report was presented to the tenth session of the Working Group in May 2017 (document PCT/WG/10/20). The report showed the use of the fee reductions in the 18-month periods before and after the changes, including information concerning the total filings by residents of different States and the number of applications listing only natural persons as applicants. The International Bureau was invited to present an update of the document with more recent statistics to the present session of the Working Group (see paragraphs 115 to 119 of document PCT/WG/10/25).

## REPORT

4. The Annex to the present document contains tables showing the number of applications filed in the 24 months immediately preceding the change in the eligibility criteria and in the 24 months immediately following the entry into force of the new eligibility criteria, based on the indicated State of residence of the first applicant named in the international application. States which were not indicated as the State of residence of the first applicant on any application filed during this period (including Nauru, Palau and Suriname) are not shown.
5. Compared to the data in document PCT/WG/10/20, the information has been provided in more detail as well as covering a larger timespan.
6. For each State and for each of the two 12-month periods before and after the change, the tables show:
  - the total number of applications filed where the first applicant is resident in that State;
  - the number of those applications where all the applicants are natural persons and the percentage of the total which this represents; and
  - the number of applications where the first applicant at the time of filing was resident in that State and the 90 per cent fee reduction was granted and the percentage of the total which this represents.
7. In addition, for each State, the tables show:
  - the approximate percentage of applications claiming the reduction for the full 24-month periods before and after the change are shown (as in document PCT/WG/10/20, this is only an approximation for the reasons indicated in the Annex); and
  - the percentage change in the total number of applications by residents of the State and by natural persons from that State in the 24 months after the change compared to the 24 months before.
8. The tables group the States in the following order:
  - Table A: States whose natural person residents and nationals were eligible for the fee reduction up to June 30, 2015, but not afterwards;
  - Table B: States whose natural person residents and nationals were not eligible for the fee reduction up to June 30, 2015, but became eligible after that date;
  - Table C: States whose natural person residents and nationals were eligible for the fee reduction for the entire period covered;
  - Table D: Least-developed countries, whose nationals and residents are eligible for the fee reduction whether they are natural persons or not; and
  - Table E: States whose nationals and residents were not eligible for the fee reduction for the entire period (included in the tables for the purposes of comparison of filing trends and proportion of applications by all natural persons).

9. *The Working Group is invited to note the contents of this report.*

[Annex follows]

## ANNEX

## CHANGES IN FILINGS

The following tables show the number of applications filed in the two year periods before and after the changes in eligibility for fee reductions which came into force July 1, 2015. The total numbers of applications, applications by natural persons only and applications where the 90 per cent fee reduction was claimed are shown for the individual 12 month periods prior to the change (y-2 and y-1) and following the change (y+1 and y+2). The percentage of applications from the State which claim the reduction are shown as a proportion over the complete 24 month periods before and after the change. Similarly, the changes in the total number of applications from that State ("Total") and in the number of applications by natural persons only ("Nat.") show the percentage increase or decrease in the later 24 month period compared to the earlier one.

Due to data limitations, the figures concerning fee reductions are not properly comparable with the figures concerning total applications and applications by natural persons only. The figures concerning applications claiming fee reductions are based on the indicated residence of the first applicant listed at the time of filing. The figures concerning total applications and applications by natural persons only are based on the indicated residence of the first applicant currently listed. Consequently, the columns for the proportion of applications as a total by residents of the indicated State must be recognized as merely an approximation and can result in apparently anomalous results (such as more than 100 per cent of applications claiming the reduction) in certain cases.

**Table A**

**States whose natural person residents and nationals were eligible for the fee reduction up to June 30, 2015, but not afterwards**

ST.3 code, State	Total Applications				Applications by natural persons only				Applications claiming fee reduction				% of all applications with reduction		Change in applications	
	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	Before	After	Total	Nat.
AE United Arab Emirates	76	93	81	77	28	22	21	22	29	11	0	0	24%	N/A	-7%	-14%
SG Singapore	925	924	888	899	71	72	25	41	58	62	2	0	6%	N/A	-3%	-54%

**Table B**  
**States whose natural person residents and nationals were**  
**not eligible for the fee reduction up to June 30, 2015, but became eligible after that date**

ST.3 code, State	Total Applications				Applications by natural persons only				Applications claiming fee reduction				% of all applications with reduction		Change in applications	
	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	Before	After	Total	Nat.
BS Bahamas	14	7	6	6	1	0	0	0	0	0	0	0	N/A	0%	-43%	-100%
CY Cyprus	42	56	55	42	6	2	8	1	0	0	7	0	N/A	7%	-1%	+13%
GR Greece	111	126	114	116	60	62	58	66	0	0	43	51	N/A	41%	-3%	+2%
MT Malta	74	67	79	108	2	3	2	1	0	0	0	0	N/A	0%	+33%	-40%
PT Portugal	147	160	169	190	21	27	19	30	0	0	14	24	N/A	11%	+17%	+2%
SA Saudi Arabia	258	364	277	362	13	21	34	46	0	0	28	26	N/A	8%	+3%	+135%
SI Slovenia	127	133	77	69	19	14	19	17	0	0	16	15	N/A	21%	-44%	+9%

**Table C**

**States whose natural person residents and nationals were eligible for the fee reduction for the entire period covered**

ST.3 code, State	Total Applications				Applications by natural persons only				Applications claiming fee reduction				% of all applications with reduction		Change in applications	
	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	Before	After	Total	Nat.
AG Antigua and Barbuda				33				1				0		0%		
AL Albania	1	3		2	1	3		2	1	3		1	100%	50%	-50%	-50%
AM Armenia	5	4	12	3	4	4	11	3	4	3	6	3	78%	60%	+67%	+75%
AR Argentina	33	26	37	43	17	9	22	16	3	4	9	5	12%	18%	+36%	+46%
AZ Azerbaijan	3		4	5	3		1	4	2		1	4	67%	56%	+200%	+67%
BA Bosnia and Herzegovina	6	2	4	5	6	2	3	2	6	2	3	2	100%	56%	+13%	-38%
BB Barbados	159	173	116	156	1	0	0	1	1	0	0	0	0%	0%	-18%	+0%
BG Bulgaria	54	58	53	36	28	26	26	15	25	23	27	17	43%	49%	-21%	-24%
BH Bahrain	3	4	4	3	2	4	3	0	2	1	2	0	43%	29%	+0%	-50%
BO Bolivia, Plurinational State of	1				1				0				0%	N/A		
BR Brazil	633	554	565	589	232	217	211	248	223	212	201	232	37%	38%	-3%	+2%
BW Botswana				2				2				2		100%		
BY Belarus	15	13	11	24	13	8	8	20	12	14	15	20	93%	100%	+25%	+33%
BZ Belize	4	2	3	8	1	0	0	1	0	0	0	2	0%	18%	+83%	+0%
CG Congo			2				1				1		N/A	50%		
CI Cote d'Ivoire	2	1	3	1	2	1	3	1	2	1	1	1	100%	50%	+33%	+33%
CL Chile	135	165	172	180	51	49	54	44	44	36	50	38	27%	25%	+17%	-2%
CM Cameroon	1	1	1	2	1	1	1	2	1	1	1	2	100%	100%	+50%	+50%
CN China	23,632	27,082	34,533	46,363	3,169	3,494	5,922	7,111	3,250	3,124	5,264	5,773	13%	14%	+60%	+96%
CO Colombia	101	96	80	134	26	25	20	44	26	21	20	31	24%	24%	+9%	+25%
CR Costa Rica	12	10	5	7	8	3	2	0	4	1	2	0	23%	17%	-45%	-82%
CU Cuba	9	3		7	0	0		0	0	0		0	0%	0%	-42%	
CZ Czechia	186	188	214	188	37	32	36	24	30	32	27	25	17%	13%	+7%	-13%
DM Dominica			1				0				0		N/A	0%		
DO Dominican Republic	7	1	6	8	4	1	3	7	4	1	3	6	63%	64%	+75%	+100%

ST.3 code, State	Total Applications				Applications by natural persons only				Applications claiming fee reduction				% of all applications with reduction		Change in applications	
	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	Before	After	Total	Nat.
DZ Algeria	5	9	18	13	4	8	11	8	4	8	9	8	86%	55%	+121%	+58%
EC Ecuador	16	4	5	7	5	2	0	4	3	1	1	3	20%	33%	-40%	-43%
EE Estonia	22	31	23	37	1	5	4	1	1	9	2	1	19%	5%	+13%	-17%
EG Egypt	53	61	47	42	42	55	39	40	40	48	38	35	77%	82%	-22%	-19%
FM Micronesia (Federated States of)			2				0				0		N/A	0%		
GA Gabon			1				1				0		N/A	0%		
GE Georgia	7	2	10	17	5	1	7	16	5	1	6	16	67%	81%	+200%	+283%
GH Ghana	1	1	1	1	1	1	1	1	1	1	1	1	100%	100%	+0%	+0%
GT Guatemala		3		2		3		2		3		2	100%	100%	-33%	-33%
HN Honduras				1				0				0		0%		
HR Croatia	50	41	34	33	33	23	18	13	28	12	17	11	44%	42%	-26%	-45%
HU Hungary	157	167	160	172	58	72	84	83	60	65	82	73	39%	47%	+2%	+28%
ID Indonesia	11	12	17	9	8	5	9	6	6	5	8	5	48%	50%	+13%	+15%
IN India	1,414	1,338	1,519	1,525	377	350	491	497	394	305	447	475	25%	30%	+11%	+36%
IQ Iraq			1	1			1	1			1	1	N/A	100%		
IR Iran (Islamic Republic of)	19	51	74	70	16	49	66	66	10	31	56	45	59%	70%	+106%	+103%
JM Jamaica	2				1				0				0%	N/A		
JO Jordan	6	2	1	1	1	2	0	0	0	0	0	2	0%	100%	-75%	-100%
KE Kenya	4	17	4	8	3	9	1	5	1	11	1	4	57%	42%	-43%	-50%
KG Kyrgyzstan	1		1		1		1		0		1		0%	100%	+0%	+0%
KN Saint Kitts and Nevis	2	1	1	1	0	0	0	0	0	0	0	0	0%	0%	-33%	
KP Democratic People's Republic of Korea	3	5	5	1	2	5	4	1	2	5	5	1	88%	100%	-25%	-29%
KZ Kazakhstan	18	21	31	25	14	13	23	18	15	14	23	20	74%	77%	+44%	+52%
LB Lebanon	4	9	8	4	4	5	2	0	0	0	1	0	0%	8%	-8%	-78%
LC Saint Lucia		1				0				0			0%	N/A		
LK Sri Lanka	16	19	16	15	12	11	7	8	9	10	5	5	54%	32%	-11%	-35%
LT Lithuania	47	43	35	32	3	0	4	3	4	2	3	3	7%	9%	-26%	+133%
LV Latvia	24	36	24	28	7	12	10	12	5	14	9	19	32%	54%	-13%	+16%
LY Libya		1		1		1		1		1		1	100%	100%	+0%	+0%

ST.3 code, State	Total Applications				Applications by natural persons only				Applications claiming fee reduction				% of all applications with reduction		Change in applications	
	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	Before	After	Total	Nat.
MA Morocco	48	53	42	38	10	14	15	11	10	14	12	9	24%	26%	-21%	+8%
MD Republic of Moldova	1	4	10	10	1	4	10	10	1	3	10	10	80%	100%	+300%	+300%
ME Montenegro	2			3	2			1	2			0	100%	0%	+50%	-50%
MH Marshall Islands	2	1			0	0			0	0			0%	N/A		
MK The former Yugoslav Republic of Macedonia	3	1	5		3	1	3		1	1	2		50%	40%	+25%	-25%
MN Mongolia			1	1			1	0			1	0	N/A	50%		
MU Mauritius	6	3	2	3	3	0	1	1	1	0	1	0	11%	20%	-44%	-33%
MX Mexico	272	301	289	290	150	155	145	152	142	142	139	139	50%	48%	+1%	-3%
MY Malaysia	400	204	235	169	34	30	45	42	31	27	43	38	10%	20%	-33%	+36%
NA Namibia	2	2	3	2	2	1	3	2	3	1	2	2	100%	80%	+25%	+67%
NG Nigeria	7	6	7	3	6	5	7	2	4	3	2	1	54%	30%	-23%	-18%
NI Nicaragua	1				1				1				100%	N/A		
OM Oman	3	1	10	5	1	1	5	5	1	1	4	3	50%	47%	+275%	+400%
PA Panama	12	19	6	58	0	2	2	2	0	2	2	1	6%	5%	+106%	+100%
PE Peru	16	16	28	22	10	10	19	18	10	11	19	19	66%	76%	+56%	+85%
PH Philippines	31	29	21	30	19	22	15	23	17	18	15	17	58%	63%	-15%	-7%
PK Pakistan	1		2	1	0		2	0	0		0	0	0%	0%	+200%	
PL Poland	352	375	411	339	56	41	91	94	48	42	81	71	12%	20%	+3%	+91%
PY Paraguay		1				0				0			0%	N/A		
RO Romania	34	33	35	32	16	17	26	19	10	17	23	17	40%	60%	+0%	+36%
RS Serbia	15	30	24	12	11	20	13	9	9	15	10	9	53%	53%	-20%	-29%
RU Russian Federation	1,033	820	862	1,021	598	468	454	543	542	434	432	484	53%	49%	+2%	-6%
SC Seychelles	18	8	6	4	1	0	1	0	0	0	0	0	0%	0%	-62%	+0%
SK Slovakia	67	41	41	48	28	13	11	20	26	10	10	19	33%	33%	-18%	-24%
SV El Salvador	1	3		2	1	1		2	1	1		1	50%	50%	-50%	+0%
SY Syrian Arab Republic	1	1	2	1	1	1	2	1	0	3	1	1	150%	67%	+50%	+50%
SZ Swaziland		1	1			1	1			1	1		100%	100%	+0%	+0%
TH Thailand	66	98	159	146	35	38	57	48	28	27	47	44	34%	30%	+86%	+44%
TN Tunisia	7	7	3	6	5	4	3	4	4	3	2	4	50%	67%	-36%	-22%



ST.3 code, State	Total Applications				Applications by natural persons only				Applications claiming fee reduction				% of all applications with reduction		Change in applications	
	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	Before	After	Total	Nat.
TO Tonga	1				1				1				100%			
TR Turkey	822	910	1,024	1,148	216	254	268	289	192	237	253	267	25%	24%	+25%	+19%
TT Trinidad and Tobago		5	31	9		5	31	9		1	0	2	20%	5%	+700%	+700%
UA Ukraine	158	132	156	155	125	101	145	137	114	96	140	123	72%	85%	+7%	+25%
UY Uruguay	6	9	9	13	3	1	5	7	1	0	0	2	7%	9%	+47%	+200%
UZ Uzbekistan	1	7	3	2	1	6	3	2	1	4	2	2	63%	80%	-38%	-29%
VC Saint Vincent and the Grenadines	2				0				0				0%	N/A		
VE Venezuela, Bolivarian Republic	2		1	1	2		1	0	0		0	0	0%	0%	+0%	-50%
VN Viet Nam	13	9	17	16	7	7	13	13	6	5	9	11	50%	61%	+50%	+86%
ZA South Africa	315	318	304	286	138	130	117	122	142	132	119	120	43%	41%	-7%	-11%
ZW Zimbabwe	1	1	1	2	1	1	1	2	1	1	1	2	100%	100%	+50%	+50%

**Table D**

**Least-developed countries, whose nationals and residents are eligible for the fee reduction whether they are natural persons or not**

ST.3 code, State	Total Applications				Applications by natural persons only				Applications claiming fee reduction				% of all applications with reduction		Change in applications	
	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	Before	After	Total	Nat.
AO Angola	3	1	1		3	1	1		2	0	1		50%	100%	-75%	-75%
BD Bangladesh	3	2			0	0			0	0			0%	N/A		
BI Burundi			1	1			0	0			0	0	N/A	0%		
CD Democratic Republic of the Congo	1		1		1		1		1		0		100%	0%	+0%	+0%
ER Eritrea	1				1				0				0%	N/A		
KH Cambodia				1				1				0	N/A	0%		
LA Lao People's Democratic Republic	1	1	2	1	0	0	2	0	0	0	0	0	0%	0%	+50%	
LR Liberia	1	1			0	0			0	0			0%	N/A		
MG Madagascar	2	1			2	1			2	1			100%	N/A		
MW Malawi			1				1				1		N/A	100%		
MZ Mozambique			1				1				1		N/A	100%		
NE Niger		1				1				0			0%	N/A		
RW Rwanda	1				0				0				0%	N/A		
SD Sudan		8	1	8		5	1	8		3	1	6	38%	78%	+13%	+80%
SN Senegal	3	16	8	4	3	16	8	4	0	3	4	1	16%	42%	-37%	-37%
TD Chad				1								0	N/A	0%		
TG Togo				1				1				1	N/A	100%		
TZ United Republic of Tanzania			2				1				1		N/A	50%		
UG Uganda	3	3			1	1			1	1			33%	N/A		
VU Vanuatu	1			1	1			1	0			0	0%	0%	+0%	+0%
WS Samoa	1	8	3	1	0	0	0	0	0	2	0	0	22%	0%	-56%	
YE Yemen	1		1		0		1		0		2		0%	200%	+0%	

**Table E**

**States whose nationals and residents were not eligible for the fee reduction for the entire period  
(included in the tables for the purposes of comparison of filing trends and proportion of applications by all natural persons)**

ST.3 code, State	Total Applications				Applications by natural persons only				Applications claiming fee reduction				% of all applications with reduction		Change in applications	
	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	Before	After	Total	Nat.
AD Andorra	3	4	4	8	1	4	3	4							+71%	+40%
AT Austria	1,377	1,339	1,443	1,423	169	139	165	172							+6%	+9%
AU Australia	1,689	1,642	1,800	1,828	312	283	323	277							+9%	+1%
BE Belgium	1,172	1,154	1,215	1,378	40	46	46	58							+11%	+21%
BN Brunei Darussalam		2	8	1		0	1	0							+350%	
CA Canada	2,888	2,863	2,606	2,346	417	364	393	362							-14%	-3%
CH Switzerland	4,346	4,228	4,392	4,536	174	162	149	178							+4%	-3%
CK Cook Islands	3		1		0		0								-67%	
DE Germany	17,880	18,235	17,812	18,383	819	794	735	744							+0%	-8%
DK Denmark	1,297	1,280	1,343	1,377	39	26	31	22							+6%	-18%
ES Spain	1,716	1,550	1,533	1,505	363	370	360	333							-7%	-5%
FI Finland	1,812	1,677	1,550	1,550	48	58	49	44							-11%	-12%
FR France	8,271	8,505	8,303	8,068	333	291	340	360							-2%	+12%
GB United Kingdom	5,069	5,176	5,382	5,672	427	389	392	396							+8%	-3%
IE Ireland	437	424	468	528	50	38	56	33							+16%	+1%
IL Israel	1,547	1,661	1,695	1,825	294	259	238	249							+10%	-12%
IS Iceland	41	46	50	42	2	3	4	1							+6%	+0%
IT Italy	2,919	3,114	3,161	3,356	473	495	550	540							+8%	+13%
JP Japan	42,612	43,694	44,343	46,805	474	498	482	486							+6%	-0%
KR Republic of Korea	12,427	14,019	14,880	15,494	1,861	2,083	2,072	1,973							+15%	+3%
KW Kuwait		1	7	3		1	3	0							+900%	+200%
LI Liechtenstein	223	245	214	261	0	3	0	1							+1%	-67%
LU Luxembourg	488	401	480	439	10	5	4	4							+3%	-47%
MC Monaco	25	38	17	14	8	8	6	5							-51%	-31%
NL Netherlands	4,092	4,362	4,477	4,598	88	90	94	84							+7%	+0%

ST.3 code, State	Total Applications				Applications by natural persons only				Applications claiming fee reduction				% of all applications with reduction		Change in applications	
	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	y-2	y-1	y+1	y+2	Before	After	Total	Nat.
NO Norway	714	652	706	764	50	37	51	31							+8%	-6%
NZ New Zealand	328	351	334	294	70	58	50	59							-8%	-15%
QA Qatar	19	13	17	29	4	5	4	6							+44%	+11%
SE Sweden	3,938	3,961	3,791	3,702	143	111	100	103							-5%	-20%
SM San Marino	1	4	4	8	1	1	1	3							+140%	+100%
US United States of America	62,743	55,072	56,988	56,542	4,057	3,643	3,511	3,448							-4%	-10%

[End of Annex and of document]