

Regional Seminar on the Patent Cooperation Treaty (PCT) for Selected African Countries

Topic 4: International Search and Written Opinion of the ISA

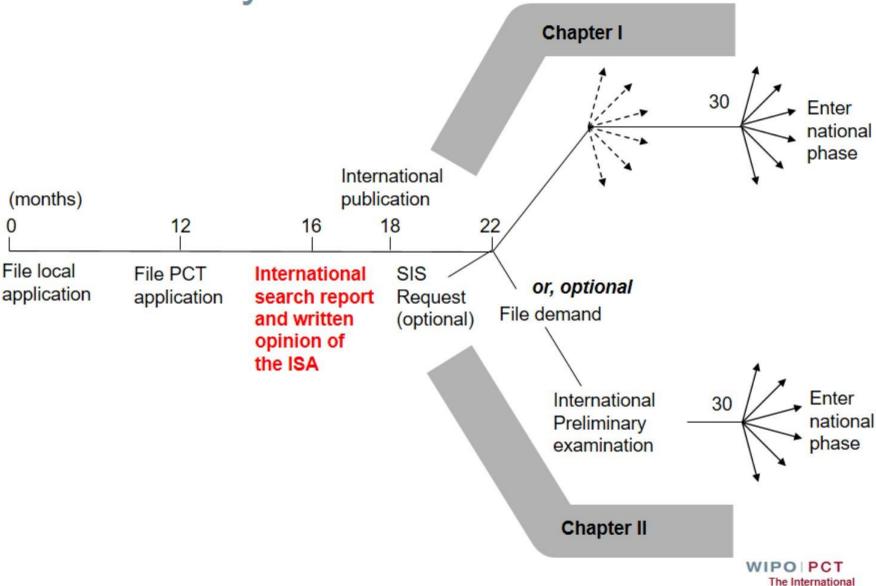
Supplementary International Search

International Preliminary Examination

Gaborone, Botswana September 10-12, 2019

Kenichiro Natsume
Director
PCT International Cooperation Division

The PCT system



Patent System

International Searching Authorities (23 in total)

- AT Austria
- KR Republic of Korea
- AU Australia
- PH Philippines (operational as from 20 May 2019)

BR – Brazil

- RU Russian Federation
- CA Canada
- SE Sweden

■ CL - Chile

■ SG – Singapore

■ CN – China

■ TR – Turkey

■ EG – Egypt

UA – Ukraine

■ ES – Spain

- US United States of America
- FI Finland
- EP European Patent Office

■ IL – Israel

 XN – Nordic Patent Institute (Denmark, Iceland, Norway)

■ IN – India

XV – Visegrad Patent Institute (VPI)

JP – Japan

(Czech Republic, Hungary, Poland, Slovakia)



Prior art for international search (Article 15(2) and Rule 33)

- Prior art:
 - everything which has been made available to the public,
 - anywhere in the world,
 - by means of written disclosure,
 - which is capable of being of assistance in determining that the claimed invention is or is not new and that it does or does not involve an inventive step,
 - provided the making available to the public occurred prior to the international filing date.
- PCT Minimum Documentation (Rule 34)

International Search Report (ISR) (Rules 42 and 43)

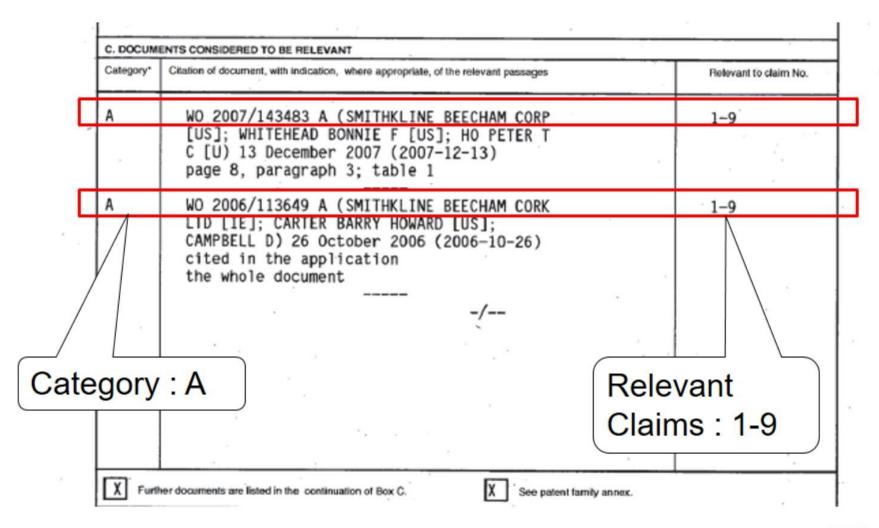
Contains:

15.08.2019

- IPC (International Patent Classification) symbols
- indications of the technical areas searched
- indications relating to any finding of lack of unity
- a list of the relevant prior art documents
- indications relating to any finding that a meaningful search could not be carried out in respect of certain (but not all) claims
- Time limit to establish ISR and written opinion of the ISA:
 - 3 months from the date of receipt of the search copy by the ISA (usually within approximately 16 months from the priority date if priority is claimed); or
 - 9 months from the priority date, whichever time limit expires later
 WIPO FOR OFFICIAL USE ONLY

	PCT	
	FCI	
	INTERNATIONAL SEARCH REP	PORT
	(PCT Article 18 and Rules 43 and 44)	
Applicant's or agent's file reference	FOR FURTHER ACTION as well	see Form PCT/ISA/220 I as, where applicable, item 5 below.
riternational application No.	International filing date (day/month/year)	(Earliest) Priority Date (day/month/year)
PCT/EP2009/060890	24/08/2009	25/08/2008
RATIOPHARM GMBH This international search report has being according to Article 18. A copy is being	on prepared by this International Searching Authoransmitted to the International Bureau.	ority and is transmitted to the applicant
This international search report consist It is also accompanied	s of a total of sheets. by a copy of each prior art document cited in this	report.
1. Basis of the report		
	e international search was carried out on the be	
200	d application in the language in which it was filed	
a translation of of a translation	the international application into	, which is the language h (Rules 12.3(a) and 23.1(b))
b. This international search	h report has been established taking into accound to this Authority under Rule 91 (Rule 43.5big):	t the rectification of an obvious mistake
	o to this Aumoniy under Hule 91 (Hule 43.50)(2) leotide and/or amino acid sequence disclosed	
	and and an an an are greated and and are	The transfer approach age but ho.
Certain claims were for	ound unsearchable (See Box No. II)	
3. Unity of invention is a	acking (see Box No III)	
With regard to the title, Tyle text is accommod as	submitted by the applicant	
	Ashed by this Authority to read as follows:	
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5. With regard to the abstract,		
X the text is approved as the text has been estab	submitted by the applicant listined, according to Rule 38.3(b), by this Author from the date of mailing of this international sear	By as it appears in Box No. IV. The applicant ch report, submit comments to this Authority
X the text is approved as the text has been estab	fished, according to Rule 38.2(b), by this Author	By as it appears in Box No. IV. The applicant ch report, submit comments to this Authority
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			Information	on on patent family me	mbers			2009/060890
9		itent document in search report		Publication date		Patent family member(s)		Publication date
	WO	2007143483	A	13-12-2007	NONE			
	WO	2006113649	A	26-10-2006	AR	054252	2 A1	13-06-2007
					. AU	2006236423	3 A1	26-10-2006
		,			CA	2606207	7 A1	26-10-2006
					CN	10120321	I A	18-06-2008
					EA	200702253	3 A1	28-04-2008
					EP	1871347	7 A1	02-01-2008
			1.7		JP	200853693	l T	11-09-2008
					KR	20080005557	7 A	14-01-2008
					US	2008206330) A1	28-08-2008
	WO	2008067144	Α .	05-06-2008	EP	2088862	2 ·A2	19-08-2009



Category: X, Y C. DOCUMENTS CONSIDERED TO BE RELEVANT Category* Citation of document, with indication, where appropriate, of the relevant passages Relevant to claim No. Х US 2004/189715 A1 (MATTHEWS JOSEPH H [US] 1-3,5-12 ET AL MATTHEWS III JOSEPH H [US] ET AL) 30 Sentember 2004 (2004-09-30) paragraphs [0011], [0019], [0021], 4 [0022], [0044], [0060] - [0062], [0068], [0074], [0076], [0077]; figures 1.9.13-16 EP 2 053 850 A1 (VESTEL ELEKT SANAYI VE TICARET [TR]) 29 April 2009 (2009-04-29) column 9, line 51 - column 10, line 6; figures 4.5.9 X US 6 552 738 B1 (LIN WALTER C [US] ET AL) 1-4,6-11 22 April 2003 (2003-04-22) column 1, line 22 - line 39; figures 1-4 5,12 column 1, line 67 - line 15 column 3, line 66 - column 5, line 59 -/--Relevant Claims Further documents are listed in the continuation of Box C. See patent family annex.



Written opinion of the ISA (Rule 43bis) (1)

- Initial preliminary non-binding opinion on:
 - novelty (not anticipated)
 - inventive step (not obvious)
 - industrial applicability
- A written opinion will be established for all international applications at the same time as the ISR
- The written opinion is sent to applicant and the International Bureau together with the ISR



Written opinion of the ISA (Rule 43bis) (2)

- The written opinion is made publicly available on PATENTSCOPE in its original language as of the date of publication of the international application
- No formal procedure for applicants to respond to written opinion of the ISA
- Possibility to submit informal comments to the International Bureau
 - They are made publicly available together with the written opinion in their original language
 - They are communicated to the DOs together with the IPRP (Chapter I) if and when it is sent
- Note: The IPRP Chapter I and its translation are established at 30 months from the priority date

Patent System

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	see form	PCT/ISA220			WRITTEN OPINION OF THE ATIONAL SEARCHING AUTHOR
					(PCT Rule 43bis.1)
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App	plicant's or agent's file	reference		FOR FURT	HER ACTION
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	rmational application		International filing date	(day/honth/year)	Priority date (day/month/year)
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WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY

International application No. PCT/EP2009/060890

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

Statement

Novelty (N)

Yes: Claims

1-9

nuantina atan (10

Yes: Claims

1-9

Inventive step (IS)

lo: Claims

Industrial applicability (IA)

Yes: Claims No: Claims 1-9

Citations and explanations

see separate sheet

2. Novelty

Prior art document D1 discloses unit dosage forms comprising 0.5mg to 1000mg of lapatinib, which is below the amount claimed in the present application (p. 8, para. 3). Furthermore, a daily dose of 1250mg or 1500mg lapatinib is disclosed in D1 without, however, further specifying the amounts of active agent per unit dose (Table 1). Tablets comprising 250mg lapatinib are further known from D2 (ex. 1) and D3 is the package leaflet of Tyverb® 250mg, of which 5 tablets have to be administered per day.

Thus, in view of the cited prior art, the subject-matter of claims 1-9 seems to be novel (Art. 33(2) PCT).

Inventive Step

D3, which is regarded as closest prior art, differs from the subject-matter of the present application in the amount of active agent per unit dose. In view of the cited prior art, the technical problem of the present application seems to be the provision of an alternative dosage form of lapatinib, which is convenient to administer and which contains the whole daily lapatinib medication in a unit dose.

The provision of a unit dose comprising between 1200 and 1300mg lapatinib is not obvious in view of the cited prior art. As shown in the examples, the lapatinib formulations of the present application are even superior compared to the reference with regard to in-vitro parameters (fig. 1).

As a result, the subject-matter of claims 1-9 of the present application seems to involve an inventive step (Art. 33(3) PCT).

15.08.2

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 4, 5, 9, 11, 12

No: Claims 1-3, 6-8, 10

Inventive step (IS) Yes: Claims

No: Claims 1-12

Industrial applicability (IA) Yes: Claims 1-12

No: Claims

2. Citations and explanations

see separate sheet



3 Novelty

Furthermore, the above-mentioned lack of clarity notwithstanding, the subjectmatter of independent claims 1, 6 and 7 and dependent claims 2, 3, 8 and 10 is not new in the sense of Article 33(2) PCT, and the criteria of Article 33(1) PCT are therefore not met.

3.1 Claim 1: Document D1 discloses:

A method for displaying an on-screen display (Fig. 13-15) comprising the steps of:

determining at least one display parameter (paragraph [0022]: "...the various applications present a GUI tailored for control via a limited input device from a distance) of an on-screen display (paragraph [0022]: GUI; Fig. 13-15: 1302, 1402, 1502) based upon the type (paragraph [0021]: "...to switch between the first and second graphical user interface modes based on the input device used to control the operating system"; paragraph [0076]; Fig. 16) of user interface device (Fig. 1: 40, 42, 55; paragraph [0044]) used;

displaying said on-screen display according to said determined at least one display parameter (paragraphs [0022], [0062], [0077]).

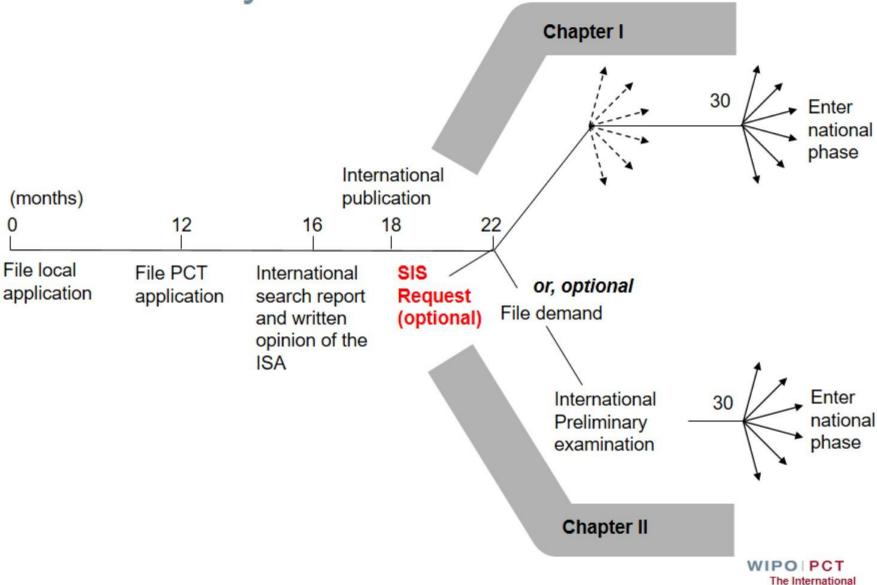
3.2 Claim 6 is directed to a computer program product for carrying out the method of claim 1 and is therefore equally anticipated by document D1

4 Inventive Step

Furthermore, the subject-matter of dependent claims 4, 5, 9, 11 and 12 does not involve an inventive step in the sense of Article 33(3) PCT, and the criteria of Article 33(1) PCT are therefore not met. Document D1 is considered to represent the closest prior art to the subject-matter of these claims.

- 4.1 Claim 4: Document D1 does not disclose determining the dimension of the on-screen display based on the distance between the remote control device and display of said on-screen display. Nevertheless, this practice is known from e.g. document D2, and the skilled person would simply adopt such known practice with corresponding effect starting from D1 in order to achieve constantly good readability of the OSD when the distance of the user from the display device is variable.
- 4.2 <u>Claims 5, 9, 12</u>: Document D1 is not specific about the location of the "local control device". Nevertheless, the skilled person would choose as Monitor 47 in Fig. 1 of D1 among any known display devices, among which are display devices with built-in USB ports as well as touch-screens. Therefore displays with built-in touch-screens or with a mouse/keyboard connected to the display USB ports fully fall within the sope of the "local control device located on said."

The PCT system



Patent System

Main Features

- An optional service for applicants,
 - it is currently offered by: AT, EP, FI, RU, SE, SG, TR, UA, XN and XV
 - more Authorities are expected to offer SIS in the future
- An applicant can request supplementary search by any Authority offering this service, except the one responsible for main international search
- Each Authority determines the scope and fees for its supplementary search
- Supplementary international search (SIS) covers only one invention – there is no option for paying additional fees

The International Patent System

Deciding When to Use the Service (1)

- The main international search report is intended to be of a high quality, sufficient for normal purposes
- Consequently, this service need not be used for every international application, but to give extra information in some cases where the applicant believes that this additional expense in the international phase will be worthwhile
- Before requesting supplementary search, applicants should consider:
 - the main international search report
 - the commercial value of particular application
 - the number of disclosures relevant to the particular technical field which are known to be made in languages that are not a speciality of the main ISA The Internation Patent System

Deciding when to Use the Service (2)

- Interest in a search being carried out by a particular International Authority (free choice of SISA)
- Interest in a search being carried out in prior art documents in a particular <u>language</u>
- Interest in a particular <u>subject matter</u> not searched by the main ISA in accordance with Article 17(2) (e.g. methods of treatment, Rule 39.1(iv))



Services currently available (1)

- SISA/AT: three search options
 - search of only the German-language documentation
 - search of only the European and North American documentation
 - search of only the PCT minimum documentation
- SISA/EP: search of the PCT minimum documentation as well as documents held in its search collection
- SISA/FI and SISA/SE: search of the PCT minimum documentation as well as documents in Danish, Finnish, Norwegian and Swedish held by the Authority



Services currently available (2)

- SISA/RU: two search options
 - search of only the Russian language documentation and certain other patent documentation of the former Soviet Union and CIS States
 - ☐ for applications where the main ISA has made an Article 17(2)(a) declaration because of subject matter referred to in Rule 39.1(iv) (methods of treatment): the PCT minimum documentation, plus the above
- SISA/SG: search of the PCT minimum documentation as well as documents in English and Chinese held by the Authority
- SISA/TR: search of the PCT minimum documentation as well as documents in Turkish held by the Authority



Services currently available (3)

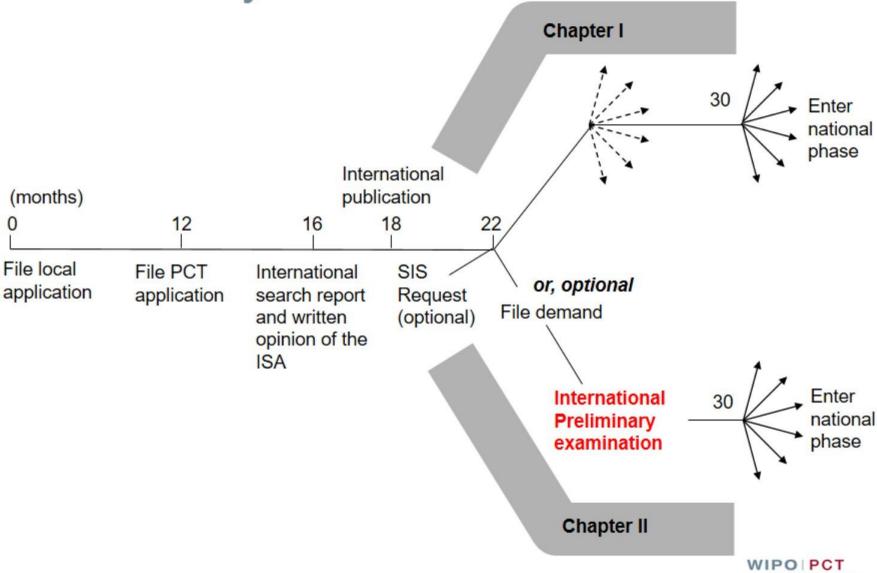
- SISA/UA: three search options
 - search of only the PCT minimum documentation
 - search of only the Russian language documentation of the former USSR and the Ukrainian language documentation
 - search of only the European and North American documentation
- SISA/XN: search of the PCT minimum documentation, as well as documents in Danish, Icelandic, Norwegian and Swedish held by the Authority
- SISA/XV: two search options
 - search of only the documents in Czech, Hungarian, Polish and Slovak held by the Authority
 - □ search of the PCT minimum documentation as well as documents in Czech, Hungarian, Polish and Slovak The International Patent System

 14 held by the Authority MIPO FOR OFFICIAL USE ONLY

Supplementary International Search Report

- The supplementary international search report (Form PCT/SISA/501) is very similar to the ISR, but:
 - it does not contain the classification of the international application or comments on the title and abstract
 - it need not contain citations of documents contained in the ISR unless cited in conjunction with a new reference not cited in the ISR
 - it may contain explanations regarding:
 - citations that are considered relevant (these are more detailed than references in the ISR)
 - the scope of the SIS (particularly where the ISR is late and assumptions have been made on the likely scope of main search)
- No written opinion is issued with the supplementary

The International Patent System The PCT system



The International Patent System

What is a demand?

- The demand is a request for International Preliminary Examination under Chapter II of the PCT
- International Preliminary Examination is an optional procedure that provides for continued examination of the PCT application before an International Preliminary Examining Authority (IPEA)
- Filing a demand constitutes the automatic "election" of all designated PCT Contracting States

Why file a demand? (1)

- Provides an opportunity during international preliminary examination to make amendments to the description, claims and drawings
- Can submit arguments to address patentability objections raised by the ISA
- International preliminary examination is the final opportunity to obtain a more positive patentability assessment during the international phase



Why file a demand? (2)

- Results in the establishment of an International Preliminary Report on Patentability (Chapter II)
- Likelihood of more favorable treatment in the national phase on the basis of a positive patentability report



Where to file the demand? (Rule 59) (1)

- Directly with the competent IPEA
 - specified by the RO
 - if more than one is specified by the RO, applicant has the choice
- In making his choice, the applicant must take into account
 - the language(s) accepted by the IPEA
 - that some IPEA(s) accept only international applications which have been searched by certain ISAs (that is the case, for example, of IPEA/EP)



Where to file the demand? (Rule 59) (2)

- If the international application was filed with IB as RO, the competent IPEAs will be those which would have been competent if the international application had been filed with (any of) the national Office(s) which, on the basis of applicant's nationality or residence, could be a competent RO
- Choice of IPEA should be indicated in the demand



When should a demand be filed? (Rule 54*bis*.1(a)) (1)

- At any time prior to the expiration of whichever of the following periods expires later:
 - 3 months from the date of transmittal of the ISR and WO of the ISA
 - 22 months from the priority date
- In respect of designated Offices for which the 20-month time limit under Article 22(1) continues to apply, prior to the expiration of 19 months from the priority date, in order to delay national phase from 20 to 30 months from the priority date
 - Only applies to LU and TZ



When should a demand be filed? (Rule 54*bis*.1(a)) (2)

Recommendation:

Upon receipt of the international search report and the written opinion of the ISA, evaluate the cited prior art documents and decide whether to proceed further, and if so, file the demand as soon as possible thereafter together with any amendments/arguments in light of the written opinion, thus allowing maximum time prior to issuance of international preliminary examination report (i.e, usually 28 months from the priority date)



International preliminary examination (1)

- Results in the establishment by the IPEA of a nonbinding opinion on
 - □ novelty (not anticipated) (Article 33(2) and Rule 64)
 - □inventive step (not obvious) (Article 33(3) and Rule 65)
 - □ industrial applicability (Article 33(4))
- International preliminary examination provides an opportunity to make amendments and to address patentability issues raised by the ISA



International Preliminary Examination (2)

Only claims relating to the invention(s) searched by the ISA will be examined by the IPEA (Rules 66.1(e) and 66.2(a)(vi))



(Upplicase's er agreet's filo reference 1.099 PCT nternational application No. PCT/SE2007/000669	PCT NAL PRELIMINARY REPORT OF Chapter II of the Patent Cooperation (PCT Article 36 and Rule 70) FOR FURTHER ACTION See Form	N PATENTABILITY (reaty)
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	International filing date (deprisonth/year) 09-07-2007	Priority date (day/monthlymer) -
stemational Patent Classification (IPC) o See Supplemental Box	r national classification and IPC	
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Applicant Plir Systems AB et al	1	
	climinary examination report, established by	his International Preliminary Exemining
Authority under Article 35 and to	ranamitted to the applicant according to Articl	ie 36.
	of 5 sheets, including this ore	er sheet.
 This report is also accompanied b 	sy ANNEXES, comprising:	
 (seer to the applican 	t and to the International Bureau) a total of	4 sheets, as follows:
sheets of the	description, claims and/or drawings which ha	we been arrended and are the basis of this repo
and/or sheets	ceetaining rectifications authorized by this /	Suthority (see Rule 70.16 and Section 607 of 0
Administrati	we Instructions).	ority considers contain an amondment that goo
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4. This report contains indications		
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Box No. II Priori	·	to another step and industrial applicability
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2.	recei	ving Offi	the elements of the international application, this ce in response to an invitation under Article 14 are			
		report): the inter	national application as originally filed/furnished			
	\boxtimes	the desc	ription:			
		pages	1-4,6-14			as originally filed/furnished
		pages*	5	received by this Authority on	09.02	.2009
		pages*		received by this Authority on		
	\boxtimes	the clair	ns:			
		nos.	3-5			as originally filed/furnished
		nos.*		as amended (togethe	r with any	y statement) under Article 19
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		sheets*		received by this Authority on		

Box No. V		nt under Article 35(2) wit mations supporting such	h regard to novelty, inventive step or industrial appl statement	icability;
. Statement				
Novelty	(N)	Claims	1-5	YE NO
Inventiv	re step (IS)	Claims	1-5	YE NO
Industri	al applicability (IA)	Claims	1-5	YE NO



Claims 1-5

"A means for selecting a device to be operated, which selects an external device corresponding to a physical address designated in a first CEC message when a device not compatible with CEC is included in the input path via which a second CEC message is transmitted," described in claim 1, is not mentioned in the above document, nor would a person skilled in the art having reference to the above document easily conceive of said means.

Accordingly, the novelty and inventive step of the invention as set forth in claims 1-5 are not denied by the above document.



Reasons for delays in international preliminary examination (1)

- On the part of the applicant:
 - late payment of fee(s)
 - late correction of defects in the demand
 - incomplete statement, in the demand, concerning amendments
 - failure to attach amendments referred to in the statement
 - late furnishing of any required translation of the international application or of amendments
 - late response to invitation to pay additional examination fees in case of finding of lack of unity
 - late response to written opinion
 - failure to file replacement sheets containing amendments

The International Patent System

Reasons for delays in international preliminary examination (2)

- On the part of the ISA:
 - late issuance of international search report

- On the part of the IPEA:
 - finding of lack of unity
 - late issuance of written opinion

