

# WIPO



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WORLD INTELLECTUAL PROPERTY ORGANIZATION  
GENEVA

## INTERNATIONAL PATENT COOPERATION UNION (PCT UNION)

### ASSEMBLY

### Thirty-Sixth (16<sup>th</sup> Ordinary) Session Geneva, September 24 to October 3, 2007

#### EXTENSION OF APPOINTMENT OF THE INTERNATIONAL SEARCHING AND PRELIMINARY EXAMINING AUTHORITIES UNDER THE PCT

*Document prepared by the International Bureau*

#### SUMMARY

1. The Assembly is invited to extend the appointment of the 13 International Searching and Preliminary Examining Authorities (“International Authorities”) and to approve draft agreements between the International Bureau and the relevant Offices.

#### BACKGROUND

2. Thirteen Offices hold appointments to act as International Authorities: the Offices of Australia, Austria, Canada, China, Finland, Japan, the Republic of Korea, the Russian Federation, Spain, Sweden, and the United States of America, and the European Patent Office and the Nordic Patent Institute. Of these, 12 Offices have been operating as International Authorities for between two and nearly 30 years. The Nordic Patent Institute has not yet notified a date from which it intends to commence operations.

3. Each of the International Authorities was appointed by the Assembly for a period ending December 31, 2007, and is seeking an extension of its appointment. In accordance with PCT Articles 16(3) and 32(3), the Assembly is required to hear the interested Office and seek the advice of this Committee before making a decision on the extension of the appointments. Appointment is also conditional on the conclusion of an agreement between the International Bureau and the relevant Office, which must be approved by the Assembly.

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## EXTENSION OF APPOINTMENTS

4. The minimum requirements which an International Authority must satisfy before it can be appointed, and which it must continue to satisfy while it remains appointed, are set out in PCT Rules 36 and 63, as described in document PCT/CTC/23/2. The PCT Committee for Technical Cooperation has been invited to give its advice to the Assembly in relation to the extension of the appointments.

5. The International Bureau recommends that the appointment of all of the International Authorities be extended by a period of 10 years, to end December 31, 2017.

## APPROVAL OF DRAFT AGREEMENTS

6. The existing agreements between the International Bureau and the International Authorities follow a common general format. Following discussions in the 14th session of the Meeting of International Authorities under the PCT, held in Geneva from February 5 to 7, 2007, it is proposed to use a similar format but to further standardize the text of the agreements. Other than matters such as the name of the Office, the main bodies of the draft agreements differ from one another only in respect of different requirements relating to the extent of competence (Articles 3 and 11(3)); whether national classification terms will be applied to international search reports and similar documents in addition to the International Patent Classification (Article 6); and the date of entry into force (Article 9). Each draft agreement contains four Annexes, specifying details very particular to an International Authority, such as languages and fees.

7. As a result of this standardization of text, it is proposed not to include the text of Article 3(4) of the existing agreement between the International Bureau and the European Patent Office in the equivalent new agreement. This provision deals with contracting out of international search and preliminary examination to Offices of EPC Contracting States, and with limitation of competence in the event that the work load levels of the Office reach a level where it is unable to perform the tasks assumed by it under the agreement without risks for its functioning under the European Patent Convention.

8. The omission of this text is not intended to make any practical difference in the options open to the European Patent Office under the new agreement:

(a) It should be understood that International Authorities have an implicit power under the PCT to outsource work, providing that they retain overall responsibility for the work being conducted in compliance with the requirements of the Treaty and associated provisions, including matters of confidentiality and of the quality framework requirements set out in Chapter 21 of the PCT International Search and Preliminary Examination Guidelines. This power would, however, be subject to any restrictions which may be placed on them separately by their constitutional framework or governing bodies.

(b) A provision has been included in Article 3(1) and (2) of the European Patent Office's draft agreement to permit exclusion from competence for applications "of a kind specified in Annex A". This would permit the European Patent Office to make exclusions of a similar nature to those permitted under existing Article 3(4)(ii). It is noted that such exclusions, since they would be made by way of amendment of Annex A in accordance with Article 11(2), could only be made with the agreement of the Director General, whose practice would be to ensure, before agreeing, that no international application would be left without a

potentially competent Authority and that appropriate consultations had first taken place with other potentially affected receiving Offices and International Authorities. Under an existing notification under Article 3(4)(a)(ii) of the present agreement between the European Patent Organization and the International Bureau, the European Patent Office is excluded, until March 1, 2009, from competence as an International Searching Authority and International Preliminary Examining Authority with respect to international applications filed, by a national or a resident of the United States of America, with the United States Patent and Trademark Office or the International Bureau as receiving Office where such applications contain one or more claims relating to business methods. The EPO has informed the International Bureau that this limitation will remain in force until March 2009 as foreseen in its notice dated 27 July 2006 (OJ EPO 10/2006, 555 and *PCT Gazette* No. 38/2006, page 19070); however, it will not be included in Annex A of the new Agreement unless the EPO seeks to issue a fresh limitation in 2009, which will then be introduced in accordance with the procedure under the new Agreement outlined above. Details will be included in the *PCT Applicant's Guide* and as a footnote to the new agreement when published in the *PCT Gazette*.

#### *Entry into Force*

9. It is proposed that most of the agreements enter into force January 1, 2008. The exceptions are as follows:

(a) In the case of the Australian Patent Office, it was not possible to complete the draft agreement so as to lay it before the Australian Parliament in time to reliably complete its domestic ratification procedures before the end of 2007. Consequently, an extension of the existing agreement is proposed for a period of up to one year, the existing agreement to cease automatically on entry into force of the new agreement. A draft extension agreement to that effect is included in the Annex, in addition to the draft new agreement.

(b) In the case of the European Patent Office, it is proposed for the new agreement to enter into force on December 13, 2007, this being the date of entry into force of the version of the European Patent Convention as revised by the Act Revising the Convention on the Grant of European Patents signed in Munich on November 29, 2000 ("EPC 2000"). In the course of signing the new agreement, the Director General and the European Patent Organisation would agree in accordance with Article 12(2) that the present agreement would terminate on December 12, 2007.

(c) In the case of the Nordic Patent Institute, it is proposed the agreement enter into force one month after the date on which the Authority notifies the Director General of the World Intellectual Property Organization that it is prepared to start functioning as an International Searching Authority and as an International Preliminary Examining Authority (as was provided in the draft agreement approved by the Assembly at its 35<sup>th</sup> session, when the Institute was originally appointed).

10. The International Bureau considers that the fact that the periods for which particular agreements are valid do not coincide exactly with periods for which an appointment is made will not cause any legal or operational issues, provided that there is no gap between successive agreements and that the agreements do not extend beyond the end of the total period for which the relevant Authority has been appointed.

*11. The Assembly is invited to extend the appointment of the present International Searching and Preliminary Examining Authorities for a period of 10 years, and to approve the draft agreements in the Appendix.*

[Appendix follows]

## APPENDIX

DRAFT AGREEMENTS BETWEEN THE INTERNATIONAL BUREAU  
AND THE INTERNATIONAL SEARCHING AND  
PRELIMINARY EXAMINING AUTHORITIES UNDER THE PCT

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AT: Draft new agreement between the International Bureau and the Federal Minister of Transport, Innovation and Technology of the Republic of Austria

Agreement

between the Federal Minister of Transport, Innovation and Technology  
of the Republic of Austria  
and the International Bureau of the World Intellectual Property Organization

in relation to the functioning of the Austrian Patent Office  
as an International Searching Authority  
and International Preliminary Examining Authority  
under the Patent Cooperation Treaty

*Preamble*

The Federal Minister of Transport, Innovation and Technology of the Republic of Austria and the International Bureau of the World Intellectual Property Organization,

*Considering* that the PCT Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the Austrian Patent Office as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty 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;
  - (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 Austrian Patent Office;
  - (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.

## **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.

(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.

(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).

**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 B 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 C to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex C 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 C 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 solely the International Patent Classification.

**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 D.

**Article 8**  
**International-Type Search**

The Authority shall carry out international-type searches to the extent decided by it.

**Article 9**  
**Entry into Force**

This Agreement shall enter into force on January 1, 2008.

**Article 10**  
**Duration and Renewability**

This Agreement shall remain in force until December 31, 2017. The parties to this Agreement shall, no later than July 2016, 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; they shall take effect on the date agreed upon by them.

(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; they shall take effect on the date agreed upon by them.

(3) The Authority 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 schedule of fees and charges contained in Annex C to this Agreement;
- (iii) amend the indications of languages of correspondence contained in Annex D to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that, for any increase of fees or charges contained in Annex C, that date is at least one month 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, 2017:

- (i) if the Federal Minister of Transport, Innovation and Technology of the Republic of Austria 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 Federal Minister of Transport, Innovation and Technology of the Republic of Austria 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 German languages, each text being equally authentic.

For the Federal Minister of Transport,  
Innovation and Technology of the Republic  
of Austria by:

For the International Bureau by:

[...]

[...]

#### **Annex A States and Languages**

Under Article 3 of the Agreement, the Authority specifies:

- (i) the following States for which it will act:

the States regarded as developing countries in conformity with the established practice of the General Assembly of the United Nations, provided that the Republic of Austria, in accordance with its obligations undertaken within the framework of the European Patent Organisation, has concluded with those States an agreement for that purpose;

- (ii) the following languages which it will accept:

English, French, German.

#### **Annex B Subject Matter Not Excluded from Search or Examination**

The subject matter set forth in Rule 39.1 or 67.1 which, under Article 4 of the Agreement, is not excluded from search or examination, is the following:

all subject matter searched or examined under the national patent grant procedure under the provisions of the Austrian Patent Law.

**Annex C**  
**Fees and Charges**

**Part I. Schedule of Fees and Charges**

| <b>Kind of fee or charge</b>                               | <b>Amount<br/>(Euro)</b> |
|--|--------------------------|
| Search fee (Rule 16.1(a))                                  | 200                      |
| Additional fee (Rule 40.2(a))                              | 200                      |
| Preliminary examination fee (Rule 58.1(b))                 | 200                      |
| Additional fee (Rule 68.3(a))                              | 200                      |
| Protest fee (Rules 40.2(e) and 68.3(e))                    | 220                      |
| Cost of copies (Rules 44.3(b), 71.2(b) and 94.2), per page | 0.95                     |

**Part II. Conditions for and Extent of Refunds or Reductions of Fees**

(1) Any amount paid by mistake, without cause, or in excess of the amount due, for fees indicated in Part I shall be refunded.

(2) Where the international application is withdrawn or considered withdrawn, under Article 14(1), (3) or (4), before the start of the international search, the amount of the search fee paid shall be fully refunded.

(3) Where the Authority benefits from an earlier search to the full extent or to a substantially prevailing portion, 75% of the search fee shall be refunded.

(4) In the cases provided for under Rule 58.3, the amount of the preliminary examination fee paid shall be fully refunded.

(5) Where the international application or the demand is withdrawn before the start of the international preliminary examination, the amount of the preliminary examination fee paid shall be fully refunded.

**Annex D**  
**Languages of Correspondence**

Under Article 7 of the Agreement, the Authority specifies the following languages:

English, French and German, noting that the language of correspondence shall be the language in which the international application is filed or translated, as the case may be.

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AU: Draft agreement extending the current agreement between the International Bureau and the Government of Australia

Extension of the Agreement

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

in relation to the functioning of the Australian Patent Office  
as an International Searching Authority  
and International Preliminary Examining Authority  
under the Patent Cooperation Treaty

*Preamble*

The Government of Australia and the International Bureau of the World Intellectual Property Organization,

*Considering* that the Agreement of December 7, 1997, under Articles 16(3)(b) and 32(3) of the Patent Cooperation Treaty in relation to the functioning of the Australian Patent Office as an International Searching Authority and International Preliminary Examining Authority under the Patent Cooperation Treaty was concluded for a period of 10 years from January 1, 1998 to December 31, 2007,

*Considering* that the said Agreement has been amended several times in 2001, 2002, 2003 and 2007, all these amendments having been published in the PCT Gazettes No. 04/2001, 33/2002, 49/2003 and 1 February 2007, respectively,

*Considering* that the Government of Australia and the International Bureau of WIPO have already started negotiations for the renewal of a new Agreement as provided under Article 10 therein,

*Aware* that the Government of Australia will not be able to complete the necessary domestic procedures to ratify a new Agreement in relation to the functioning of the Australian Patent Office as an International Searching Authorization and International Preliminary Examining Authority under the Patent Cooperation Treaty, as from January 1, 2008,

*Hereby agree as follows:*

**Article 1**  
**Extension of the Agreement**

(1) The Agreement between the Government of Australia and the International Bureau of the World Intellectual Property Organization signed on December 4, 1997, including its amendments and Annexes, in relation to the functioning of the Australian Patent Office as an International Searching Authority and International Preliminary Examining Authority under the Patent Cooperation Treaty, is hereby extended until December 31, 2008 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 Australia, whichever is sooner.

(2) Consequently, the reference made to “December 31, 2007” under Articles 10 and 12 of the Agreement referred to above is amended, accordingly.

**Article 2**  
**Approval and entry into force**

(1) According to Article 11 of the Agreement referred to above, this amendment shall be subject to the approval of the Assembly of the International Patent Cooperation Union.

(2) Without prejudice to the above, this amendment shall take effect on December 31, 2007.

*In witness whereof* the parties hereto have executed this Agreement.

Done at *[city]*, this *[date]*, in two originals in the English language.

For the Government of Australia by:

For the International Bureau by:

[...]

[...]

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AU: Draft new agreement between the International Bureau and the Government of Australia

Agreement

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

in relation to the functioning of the Australian Patent Office  
as an International Searching Authority  
and International Preliminary Examining Authority  
under the Patent Cooperation Treaty

*Preamble*

The Government of Australia and the International Bureau of the World Intellectual Property Organization,

*Considering* that the PCT Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the Australian Patent Office as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty 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;
  - (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 Australian Patent Office;
  - (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.

## **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.

(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.

(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).

**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 B 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 C to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex C 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 C 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 solely the International Patent Classification.

**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 D.

**Article 8**  
**International-Type Search**

The Authority shall carry out international-type searches to the extent decided by it.

**Article 9**  
**Entry into Force**

This Agreement shall enter into force on *[date]*.

**Article 10**  
**Duration and Renewability**

This Agreement shall remain in force until December 31, 2017. The parties to this Agreement shall, no later than July 2016, 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; they shall take effect on the date agreed upon by them.

(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; they shall take effect on the date agreed upon by them.

(3) The Authority 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 schedule of fees and charges contained in Annex C to this Agreement;
- (iii) amend the indications of languages of correspondence contained in Annex D to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that, for any increase of fees or charges contained in Annex C, that date is at least one month 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, 2017:

- (i) if the Government of Australia 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 Australia 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 language.

For the Government of Australia by:

For the International Bureau by:

[...]

[...]

### **Annex A States and Languages**

Under Article 3 of the Agreement, the Authority specifies:

- (i) the following States for which it will act:

Australia, New Zealand and

the States regarded as developing countries in conformity with the established practice of the General Assembly of the United Nations;

- (ii) the following language which it will accept:

English.

### **Annex B Subject Matter Not Excluded from Search or Examination**

The subject matter set forth in Rule 39.1 or 67.1 which, under Article 4 of the Agreement, is not excluded from search or examination, is the following:

subject matter which is searched or examined under Australian national grant procedure.

### **Annex C Fees and Charges**

#### **Part I. Schedule of Fees and Charges**

| <b>Kind of fee or charge</b>  | <b>Amount<br/>(Australian dollars)</b> |
|-------------------------------|--|
| Search fee (Rule 16.1(a))     | 1,600                                  |
| Additional fee (Rule 40.2(a)) | 1,600                                  |

|   |     |
|---|-----|
| Preliminary examination fee (Rule 58.1(b)):                         |     |
| – where the international search report was issued by the Authority | 550 |
| – in other cases  | 780 |
| Additional fee (Rule 68.3(a))                                       | 550 |
| Cost of copies (Rules 44.3(b) and 71.2(b)), per document            | 50  |
| Cost of copies (Rule 94), per document                              | 50  |

## **Part II. Conditions for and Extent of Refunds or Reductions of Fees**

(1) Any amount paid by mistake, without cause, or in excess of the amount due, for fees indicated in Part I shall be refunded.

(2) Where the international application is withdrawn or considered withdrawn, under Article 14(1), (3) or (4), before the start of the international search, the amount of the search fee paid shall be fully refunded.

(3) Where the Authority benefits from an earlier search, 25% or 50% of the search fee shall be refunded, depending on the extent to which the Authority benefits from that earlier search.

(4) In the cases provided for under Rule 58.3, the amount of the preliminary examination fee paid shall be fully refunded.

(5) Where the international application or the demand is withdrawn before the start of the international preliminary examination, the amount of the preliminary examination fee paid shall be fully refunded.

### **Annex D Languages of Correspondence**

Under Article 7 of the Agreement, the Authority specifies the following language:

English.

---

CA: Draft new agreement between the International Bureau and the Canadian Commissioner of Patents

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 PCT 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 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;
  - (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.

## **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.

(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).

**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 B 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 C to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex C 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 C 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 solely the International Patent Classification.

**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 D.

**Article 8**  
**International-Type Search**

The Authority shall carry out international-type searches to the extent decided by it.

**Article 9**  
**Entry into Force**

This Agreement shall enter into force on January 1, 2008.

**Article 10**  
**Duration and Renewability**

This Agreement shall remain in force until December 31, 2017. The parties to this Agreement shall, no later than July 2016, 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; they shall take effect on the date agreed upon by them.

(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; they shall take effect on the date agreed upon by them.

(3) The Authority 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 schedule of fees and charges contained in Annex C to this Agreement;
- (iii) amend the indications of languages of correspondence contained in Annex D to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that, for any increase of fees or charges contained in Annex C, that date is at least one month 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, 2017:

- (i) if the Canadian Commissioner of Patents 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 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 Canadian Commissioner of Patents  
by:

[...]

For the International Bureau by:

[...]

### **Annex A States and Languages**

Under Article 3 of the Agreement, the Authority specifies:

- (i) the following States for which it will act:

so far as Article 3(1) is concerned: Canada, and the States regarded as developing countries in conformity with the established practice of the General Assembly of the United Nations;

so far as Article 3(2) is concerned: where the Authority has prepared the international search report, Canada, and the States regarded as developing countries in conformity with the established practice of the General Assembly of the United Nations;

- (ii) the following languages which it will accept:

English, French.

### **Annex B Subject Matter Not Excluded from Search or Examination**

The subject matter set forth in Rule 39.1 or 67.1 which, under Article 4 of the Agreement, is not excluded from search or examination, is the following:

all subject matter which is searched or examined under the Canadian patent grant procedure.

**Annex C**  
**Fees and Charges**

**Part I. Schedule of Fees and Charges**

| <b>Kind of fee or charge</b>                              | <b>Amount<br/>(Canadian dollars)</b> |
|---|--------------------------------------|
| Search fee (Rule 16.1(a))                                 | 1,600                                |
| Additional fee (Rule 40.2(a))                             | 1,600                                |
| Preliminary examination fee (Rule 58.1(b))                | 800                                  |
| Additional fee (Rule 68.3(a))                             | 800                                  |
| Cost of copies (Rules 44.3(b), 71.2(b) and 94.2) per page | 1                                    |

**Part II. Conditions for and Extent of Refunds or Reductions of Fees**

(1) Any amount paid by mistake, without cause, or in excess of the amount due, for fees indicated in Part I shall be refunded.

(2) Where the international application is withdrawn or considered withdrawn, under Article 14(1), (3) or (4), before the start of the international search, the amount of the search fee paid shall be fully refunded.

(3) Where the Authority benefits from an earlier search, 25% of the search fee paid shall be refunded, depending upon the extent to which the Authority benefits from that earlier search.

(4) In the cases provided for under Rule 58.3, the amount of the preliminary examination fee paid shall be fully refunded.

(5) When the international application or the demand is withdrawn before the start of the international preliminary examination, the amount of the preliminary examination fee paid shall be fully refunded.

**Annex D**  
**Languages of Correspondence**

Under Article 7 of the Agreement, the Authority specifies the following languages:

English, French.

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CN: Draft new agreement between the International Bureau and the Chinese Patent Office

Agreement

between the Chinese Patent Office  
and the International Bureau of the World Intellectual Property Organization

in relation to the functioning of the Chinese Patent Office  
as an International Searching Authority  
and International Preliminary Examining Authority  
under the Patent Cooperation Treaty

*Preamble*

The Chinese Patent Office and the International Bureau of the World Intellectual Property Organization,

*Considering* that the PCT Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the Chinese Patent Office as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty 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;
  - (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 Chinese Patent Office;
  - (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.

## **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.

(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.

(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).

**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 B 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 C to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex C 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 C 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 solely the International Patent Classification.

**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 D.

**Article 8**  
**International-Type Search**

The Authority shall carry out international-type searches to the extent decided by it.

**Article 9**  
**Entry into Force**

This Agreement shall enter into force on January 1, 2008.

**Article 10**  
**Duration and Renewability**

This Agreement shall remain in force until December 31, 2017. The parties to this Agreement shall, no later than July 2016, 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; they shall take effect on the date agreed upon by them.

(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; they shall take effect on the date agreed upon by them.

(3) The Authority 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 schedule of fees and charges contained in Annex C to this Agreement;
- (iii) amend the indications of languages of correspondence contained in Annex D to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that, for any increase of fees or charges contained in Annex C, that date is at least one month 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, 2017:

- (i) if the Chinese Patent Office 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 Chinese Patent Office 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 Chinese and English languages, each text being equally authentic.

For the Chinese Patent Office by:

For the International Bureau by:

[...]

[...]

### **Annex A States and Languages**

Under Article 3 of the Agreement, the Authority specifies:

- (i) the following States for which it will act:

China, Ghana, India, Kenya, Liberia, Turkey, Zimbabwe  
and any State that the Authority will specify;

- (ii) the following languages which it will accept:

Chinese, English.

### **Annex B Subject Matter Not Excluded from Search or Examination**

The subject matter set forth in Rule 39.1 or 67.1 which, under Article 4 of the Agreement, is not excluded from search or examination, is the following:

subject matter which is searched or examined in Chinese national applications.

### **Annex C Fees and Charges**

#### **Part I. Schedule of Fees and Charges**

| <b>Kind of fee or charge</b>  | <b>Amount<br/>(Yuan renminbi)</b> |
|-------------------------------|-----------------------------------|
| Search fee (Rule 16.1(a))     | 2,100                             |
| Additional fee (Rule 40.2(a)) | 2,100                             |

|   |       |
|---|-------|
| Preliminary examination fee (Rule 58.1(b))                                  | 1,500 |
| Additional fee (Rule 68.3(a))   | 1,500 |
| Protest fee (Rules 40.2(e) and 68.3(e))                                     | 200   |
| Late furnishing fee (Rule 13 <del>ter</del> .1(c) and 13 <del>ter</del> .2) | 200   |
| Cost of copies (Rules 44.3(b), 71.2(b) and 94.2), per page                  | 2     |

## **Part II. Conditions for and Extent of Refunds or Reductions of Fees**

(1) Any amount paid by mistake, without cause, or in excess of the amount due, for fees indicated in Part I shall be refunded.

(2) Where the international application is withdrawn or considered withdrawn, under Article 14(1), (3) or (4), before the start of the international search, the amount of the search fee paid shall be fully refunded.

(3) Where the Authority benefits from an earlier search to the full extent or to a substantially prevailing portion, 75% of the search fee paid shall be refunded.

(4) In the cases provided for under Rule 58.3, the amount of the preliminary examination fee paid shall be fully refunded.

(5) Where the international application or the demand is withdrawn before the start of the international preliminary examination, the amount of the preliminary examination fee paid shall be fully refunded.

### **Annex D Languages of Correspondence**

Under Article 7 of the Agreement, the Authority specifies the following languages:

Chinese and English, noting that the language of correspondence shall be the language in which the international application is filed or translated, as the case may be.

---

EP: Draft new agreement between the International Bureau and the European Patent Organisation

Agreement

between the European Patent Organisation  
and the International Bureau of the World Intellectual Property Organization

in relation to the functioning of the European Patent Office  
as an International Searching Authority  
and International Preliminary Examining Authority  
under the Patent Cooperation Treaty

*Preamble*

The European Patent Organisation and the International Bureau of the World Intellectual Property Organization,

*Considering* that the PCT Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the European Patent Office as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty 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;
  - (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 European Patent Office;
  - (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.

## **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, 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, that such application is not an application of a kind specified in Annex A to this Agreement and, where applicable, that the Authority has been chosen by the applicant.

(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, 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, that such application is not an application of a kind specified in Annex A to this Agreement and, where applicable, that the Authority has been chosen by the applicant.

(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).

**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 B 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 C to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex C 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 C 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 solely the International Patent Classification.

**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 D.

**Article 8**  
**International-Type Search**

The Authority shall carry out international-type searches to the extent decided by it.

**Article 9**  
**Entry into Force**

This Agreement shall enter into force on December 13, 2007.

**Article 10**  
**Duration and Renewability**

This Agreement shall remain in force until December 31, 2017. The parties to this Agreement shall, no later than July 2016, 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; they shall take effect on the date agreed upon by them.

(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; they shall take effect on the date agreed upon by them.

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

- (i) add to the indications of languages contained in Annex A to this Agreement;
- (ii) amend the schedule of fees and charges contained in Annex C to this Agreement;
- (iii) amend the indications of languages of correspondence contained in Annex D to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that, for any increase of fees or charges contained in Annex C, that date is at least one month 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, 2017:

- (i) if the European Patent Organisation 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 European Patent Organisation 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, French and German languages, each text being equally authentic.

For the European Patent Organisation by:                      For the International Bureau by:

[...]

[...]

### **Annex A Languages and Kinds of Application**

Under Article 3 of the Agreement, the Authority specifies:

(i) the following languages which it will accept:

English, French, German, and, where the receiving Office is the industrial property Office of Belgium or the Netherlands, Dutch;

(ii) the following kinds of application for which it will not act:<sup>1</sup>

as an International Preliminary Examining Authority, international applications where the international search is to be, or has been, performed by an International Searching Authority other than the European Patent Office or the industrial property Office of a State party to the European Patent Convention.

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<sup>1</sup> Under an existing notification under Article 3(4)(a)(ii) of the present agreement between the European Patent Organization and the International Bureau, the European Patent Office is excluded, until March 1, 2009, from competence as an International Searching Authority and International Preliminary Examining Authority with respect to international applications filed, by a national or a resident of the United States of America, with the United States Patent and Trademark Office or the International Bureau as receiving Office where such applications contain one or more claims relating to business methods. The EPO has informed the International Bureau that this limitation will remain in force until March 2009 as foreseen in its notice dated 27 July 2006 (OJ EPO 10/2006, 555 and *PCT Gazette* No. 38/2006, page 19070); however, it will not be included in Annex A of the new Agreement unless the EPO seeks to issue a fresh limitation in 2009, which will then be introduced in accordance with the procedure under the new Agreement. Details will be included in the *PCT Applicant's Guide* and as a footnote to the new agreement when published in the *PCT Gazette*.

**Annex B**  
**Subject Matter Not Excluded from Search or Examination**

The subject matter set forth in Rule 39.1 or 67.1 which, under Article 4 of the Agreement, is not excluded from search or examination, is the following:

all subject matter searched or examined under the European patent grant procedure in application of the equivalent provisions of the European Patent Convention.

**Annex C**  
**Fees and Charges**

**Part I. Schedule of Fees and Charges**

| <b>Kind of fee or charge</b>  | <b>Amount<br/>(Euro)</b> |
|---|--------------------------|
| Search fee (Rule 16.1(a))   | 1,615 <sup>2</sup>       |
| Additional fee (Rule 40.2(a))   | 1,615 <sup>2</sup>       |
| Preliminary examination fee (Rule 58.1(b))                                  | 1,595 <sup>2</sup>       |
| Additional fee (Rule 68.3(a))   | 1,595 <sup>2</sup>       |
| Protest fee (Rules 40.2(e) and 68.3(e))                                     | 1,065                    |
| Late furnishing fee (Rule 13 <sup>ter</sup> .1(c) and 13 <sup>ter</sup> .2) | 200                      |
| Cost of copies (Rules 44.3(b), 71.2(b) and 94.2), per page                  | 0.65                     |

**Part II. Conditions for and Extent of Refunds or Reductions of Fees**

(1) Any amount paid by mistake, without cause, or in excess of the amount due, for fees indicated in Part I shall be refunded.

(2) Where the international application is withdrawn or considered withdrawn, under Article 14(1), (3) or (4), before the start of the international search, the amount of the search fee paid shall, upon request, be fully refunded.

(3) Where the Authority benefits from an earlier search (including a privately commissioned “standard” search) already made by the Authority on an application whose priority is claimed for the international application and depending upon the extent to which the Authority benefits from the earlier search in carrying out the international search and any other task entrusted to it, the search fee paid shall be refunded, to the extent provided for in a communication from the Authority to the International Bureau and published in the Gazette.

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<sup>2</sup> This fee is reduced by 75% where the applicant or, if there are two or more applicants, each applicant is a natural person and is a national of and resides in a State not party to the European Patent Convention, which fulfils the requirements for the corresponding reduction of certain PCT fees as specified in the Schedule of Fees annexed to the PCT Regulations (see also corresponding footnote to the Annex C(IB) and *PCT Gazette* No. 50/1995, pages 19233 and 19234), and in accordance with the decision of the EPO’s Administrative Council of October 11, 2000 (OJ EPO 2000, 446).

(4) In the cases provided for under Rule 58.3, the amount of the preliminary examination fee paid shall be fully refunded.

(5) Where the international application or the demand is withdrawn before the start of the international preliminary examination, 75% of the preliminary examination fee paid shall be refunded.

(6) The Authority may provide further refunds of the international preliminary examination fee under the conditions and to the extent laid down by it.

#### **Annex D**

#### **Languages of Correspondence**

Under Article 7 of the Agreement, the Authority specifies the following languages:

English, French or German, depending on the language in which the international application is filed or translated.

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ES: Draft new agreement between the International Bureau and the Spanish Patent and Trademark Office

Agreement

between the Spanish Patent and Trademark Office  
and the International Bureau of the World Intellectual Property Organization

in relation to the functioning of the Spanish Patent and Trademark Office  
as an International Searching Authority  
and International Preliminary Examining Authority  
under the Patent Cooperation Treaty

*Preamble*

The Spanish Patent and Trademark Office and the International Bureau of the World Intellectual Property Organization,

*Considering* that the PCT Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the Spanish Patent and Trademark Office as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty 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;
  - (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 Spanish Patent and Trademark Office;
  - (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.

## **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, 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.

(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, 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).

**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 B 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 C to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex C 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 C 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 solely the International Patent Classification.

**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 D.

**Article 8**  
**International-Type Search**

The Authority shall carry out international-type searches to the extent decided by it.

**Article 9**  
**Entry into Force**

This Agreement shall enter into force on January 1, 2008.

**Article 10**  
**Duration and Renewability**

This Agreement shall remain in force until December 31, 2017. The parties to this Agreement shall, no later than July 2016, 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; they shall take effect on the date agreed upon by them.

(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; they shall take effect on the date agreed upon by them.

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

- (i) add to the indications of languages contained in Annex A to this Agreement;
- (ii) amend the schedule of fees and charges contained in Annex C to this Agreement;
- (iii) amend the indications of languages of correspondence contained in Annex D to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that, for any increase of fees or charges contained in Annex C, that date is at least one month 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, 2017:

- (i) if the Spanish Patent and Trademark Office 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 Spanish Patent and Trademark Office 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 Spanish languages, each text being equally authentic.

For the Spanish Patent and Trademark Office    For the International Bureau by:  
by:

[...]

[...]

### **Annex A Languages**

Under Article 3 of the Agreement, the Authority specifies the following language for which it will act:

Spanish.

### **Annex B Subject Matter Not Excluded from Search or Examination**

The subject matter set forth in Rule 39.1 or 67.1 which, under Article 4 of the Agreement, is not excluded from search or examination is the following:

all subject matter searched or examined in Spanish national applications.

### **Annex C Fees and Charges**

#### **Part I. Schedule of Fees and Charges**

| <b>Kind of fee or charge</b> | <b>Amount<br/>(Euro)</b> |
|------------------------------|--------------------------|
| Search fee (Rule 16.1(a))    | 1,615 <sup>1</sup>       |

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<sup>1</sup> This fee is reduced by 75% where the applicant or, if there are two or more applicants, each applicant is a natural person and is a national of and resides in a State not party to the European Patent Convention, which fulfils the requirements for the corresponding reduction of certain

|   |                    |
|---|--------------------|
| Additional fee (Rule 40.2(a))               | 1,615 <sup>1</sup> |
| Preliminary examination fee (Rule 58.1(b))  | 533.76             |
| Additional fee (Rule 68.3(a))               | 533.76             |
| Cost of copies (Rules 44.3(b) and 71.2(b)): |                    |
| – national documents, per document          | 4.69               |
| – foreign documents, per document           | 4.69               |
| Cost of copies (Rule 94.2), per page        | 0.23               |

## **Part II. Conditions for and Extent of Refunds or Reductions of Fees**

(1) Any amount paid by mistake, without cause, or in excess of the amount due, for fees indicated in Part I shall be refunded.

(2) Where the international application is withdrawn or considered withdrawn, under Article 14(1), (3) or (4), before the start of the international search, the amount of the search fee paid shall be fully refunded.

(3) Where the Authority benefits from an earlier search already made by the Authority on an application whose priority is claimed for the international application, 100% or 50% of the search fee paid shall be refunded, depending upon the extent to which the Authority benefits from that earlier search.

(4) In the cases provided for under Rule 58.3, the amount of the preliminary examination fee paid shall be fully refunded.

(5) When the international application or the demand is withdrawn before the start of the international preliminary examination, the amount of the preliminary examination fee paid shall be fully refunded.

## **Annex D Languages of Correspondence**

Under Article 7 of the Agreement, the Authority specifies the following language:

Spanish.

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[Footnote continued from previous page]

PCT fees as specified in the Schedule of Fees annexed to the PCT Regulations (see also corresponding footnote to Annex C(IB) and *PCT Gazette* No. 50/1995, pages 19233 and 19234), and in accordance with the decision of the EPO's Administrative Council of October 11, 2000 (OJ EPO 2000, 446).

FI: Draft new agreement between the International Bureau and the National Board of Patents and Registration of Finland

Agreement

between the National Board of Patents and Registration of Finland  
and the International Bureau of the World Intellectual Property Organization

in relation to the functioning of the National Board of Patents and Registration of Finland  
as an International Searching Authority  
and International Preliminary Examining Authority  
under the Patent Cooperation Treaty

*Preamble*

The National Board of Patents and Registration of Finland and the International Bureau of the World Intellectual Property Organization,

*Considering* that the PCT Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the National Board of Patents and Registration of Finland as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty 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;
  - (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 National Board of Patents and Registration of Finland;
  - (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.

## **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.

(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).

**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 B 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 C to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex C 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 C 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 solely the International Patent Classification.

**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 D.

**Article 8**  
**International-Type Search**

The Authority shall carry out international-type searches to the extent decided by it.

**Article 9**  
**Entry into Force**

This Agreement shall enter into force on January 1, 2008.

**Article 10**  
**Duration and Renewability**

This Agreement shall remain in force until December 31, 2017. The parties to this Agreement shall, no later than July 2016, 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; they shall take effect on the date agreed upon by them.

(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; they shall take effect on the date agreed upon by them.

(3) The Authority 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 schedule of fees and charges contained in Annex C to this Agreement;
- (iii) amend the indications of languages of correspondence contained in Annex D to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that, for any increase of fees or charges contained in Annex C, that date is at least one month 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, 2017:

- (i) if the National Board of Patents and Registration of Finland 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 National Board of Patents and Registration of Finland 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 language.

For the National Board of Patents and  
Registration of Finland by:

For the International Bureau by:

[...]

[...]

### **Annex A States and Languages**

Under Article 3 of the Agreement, the Authority specifies:

- (i) the following States for which it will act:
- (a) Finland;
  - (b) any other Contracting State in accordance with the obligations of the Authority within the framework of the European Patent Organisation;
- (ii) the following languages which it will accept:
- Finnish, Swedish, English.

### **Annex B Subject Matter Not Excluded from Search or Examination**

The subject matter set forth in Rule 39.1 or 67.1 which, under Article 4 of the Agreement, is not excluded from search or examination, is the following:

all subject matter searched or examined under the national patent grant procedure under the provisions of the Finnish Patent Law.

**Annex C**  
**Fees and Charges**

**Part I. Schedule of Fees and Charges**

| <b>Kind of fee or charge</b>                               | <b>Amount<br/>(Euro)</b> |
|--|--------------------------|
| Search fee (Rule 16.1(a))                                  | 1,615                    |
| Additional fee (Rule 40.2(a))                              | 1,615                    |
| Preliminary examination fee (Rule 58.1(b))                 | 550                      |
| Additional fee (Rule 68.3(a))                              | 550                      |
| Cost of copies (Rules 44.3(b), 71.2(b) and 94.2), per page | 0.60                     |

**Part II. Conditions for and Extent of Refunds or Reductions of Fees**

(1) Any amount paid by mistake, without cause, or in excess of the amount due, for fees indicated in Part I shall be refunded.

(2) Where the international application is withdrawn or considered withdrawn, under Article 14(1), (3) or (4), before the start of the international search, the amount of the search fee paid shall be fully refunded.

(3) Where the Authority benefits from:

- (i) an earlier national search already made by the Authority on an application whose priority is claimed for the international application: 100 % of the national filing fee paid shall be refunded;
- (ii) an earlier international-type search already made by the Authority on an application whose priority is claimed for the international application: 50 % or 100 % of the international-type search fee paid shall be refunded, depending upon the extent to which the Authority benefits from that earlier search;
- (iii) an earlier international search already made by the Authority on an application whose priority is claimed for the international application: 50 % or 100 % of the earlier international search fee paid shall be refunded, depending upon the extent to which the Authority benefits from that earlier search.

(4) In the cases provided for under Rule 58.3, the amount of the preliminary examination fee paid shall be fully refunded.

(5) When the international application or the demand is withdrawn before the start of the international preliminary examination, the amount of the preliminary examination fee paid shall be fully refunded.

**Annex D**  
**Languages of Correspondence**

Under Article 7 of the Agreement, the Authority specifies the following languages:

Finnish, Swedish or English, depending on the language in which the international application is filed or translated.

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JP: Draft new agreement between the International Bureau and the Japan Patent Office

Agreement

between the Japan Patent Office  
and the International Bureau of the World Intellectual Property Organization

in relation to the functioning of the Japan Patent Office  
as an International Searching Authority  
and International Preliminary Examining Authority  
under the Patent Cooperation Treaty

*Preamble*

The Japan Patent Office and the International Bureau of the World Intellectual Property Organization,

*Considering* that the PCT Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the Japan Patent Office as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty 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;
  - (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 Japan Patent Office;
  - (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.

## **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.

(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).

**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 B 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 C to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex C 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 C 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 solely the International Patent Classification.

**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 D.

**Article 8**  
**International-Type Search**

The Authority shall carry out international-type searches to the extent decided by it.

**Article 9**  
**Entry into Force**

This Agreement shall enter into force on January 1, 2008.

**Article 10**  
**Duration and Renewability**

This Agreement shall remain in force until December 31, 2017. The parties to this Agreement shall, no later than July 2016, 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; they shall take effect on the date agreed upon by them.

(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; they shall take effect on the date agreed upon by them.

(3) The Authority 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 schedule of fees and charges contained in Annex C to this Agreement;
- (iii) amend the indications of languages of correspondence contained in Annex D to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that, for any increase of fees or charges contained in Annex C, that date is at least one month 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, 2017:

- (i) if the Japan Patent Office 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 Japan Patent Office 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 Japanese languages, each text being equally authentic.*

For the Japan Patent Office by:

For the International Bureau by:

[...]

[...]

### **Annex A States and Languages**

Under Article 3 of the Agreement, the Authority specifies:

- (i) the following States for which it will act, so far as Article 3(1) is concerned:  
Japan, Philippines, Republic of Korea;
- (ii) the following States for which it will act, so far as Article 3(2) is concerned:  
where the Authority has prepared the international search report, Japan,  
Philippines, Republic of Korea;
- (iii) the following languages which it will accept:
  - (a) for international applications filed with the receiving Office of, or acting for, Japan:  
Japanese, English;
  - (b) for international applications filed with the receiving Office of, or acting for, Philippines:  
English;
  - (c) for international applications filed with the receiving Office of, or acting for, Republic of Korea:  
Japanese.

**Annex B**  
**Subject Matter Not Excluded from Search or Examination**

The subject matter set forth in Rule 39.1 or 67.1 which, under Article 4 of the Agreement, is not excluded from search or examination, is the following:

subject matter which is searched or examined in Japanese national applications.

**Annex C**  
**Fees and Charges**

**Part I. Schedule of Fees and Charges**

| <b>Kind of fee or charge</b>                                   | <b>Amount<br/>(Japanese yen)</b> |
|--|----------------------------------|
| Search fee (Rule 16.1(a))                                      | 97,000                           |
| Additional fee (Rule 40.2(a))                                  | 78,000                           |
| Preliminary examination fee (Rule 58.1(b))                     | 36,000                           |
| Additional fee (Rule 68.3(a))                                  | 21,000                           |
| Cost of copies (Rules 44.3(b), 71.2(b) and 94.2), per document | 1,400                            |

**Part II. Conditions for and Extent of Refunds or Reductions of Fees**

(1) Any amount paid by mistake, without cause, or in excess of the amount due, for fees indicated in Part I shall be refunded.

(2) Where the Authority benefits from an earlier search to a considerable extent, the amount of 41,000 Japanese yen shall be refunded, upon request.

(3) In the cases provided for under Rule 58.3, the amount of the preliminary examination fee paid shall be fully refunded.

(4) As long as the refund of the search fee (in the case where the international application is withdrawn or considered withdrawn, under Article 14(1), (3) or (4), before the start of the international search) and the refund of the preliminary examination fee (in the case where the international application or the demand is withdrawn before the start of the international preliminary examination) continue not to be compatible with the national law applicable to the Authority, the Authority may abstain from refunding those fees.

**Annex D**  
**Languages of Correspondence**

Under Article 7 of the Agreement, the Authority specifies the following languages:

Japanese, English.

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KR: Draft new agreement between the International Bureau and the Korean Intellectual Property Office

Agreement

between the Korean Intellectual Property Office  
and the International Bureau of the World Intellectual Property Organization

in relation to the functioning of the Korean Intellectual Property Office  
as an International Searching Authority  
and International Preliminary Examining Authority  
under the Patent Cooperation Treaty

*Preamble*

The Korean Intellectual Property Office and the International Bureau of the World Intellectual Property Organization,

*Considering* that the PCT Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the Korean Intellectual Property Office as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty 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;
  - (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 Korean Intellectual Property Office;
  - (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.

## **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.

(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.

(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).

**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 B 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 C to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex C 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 C 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 solely the International Patent Classification.

**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 D.

**Article 8**  
**International-Type Search**

The Authority shall carry out international-type searches to the extent decided by it.

**Article 9**  
**Entry into Force**

This Agreement shall enter into force on January 1, 2008.

**Article 10**  
**Duration and Renewability**

This Agreement shall remain in force until December 31, 2017. The parties to this Agreement shall, no later than July 2016, 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; they shall take effect on the date agreed upon by them.

(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; they shall take effect on the date agreed upon by them.

(3) The Authority 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 schedule of fees and charges contained in Annex C to this Agreement;
- (iii) amend the indications of languages of correspondence contained in Annex D to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that, for any increase of fees or charges contained in Annex C, that date is at least one month 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, 2017:

- (i) if the Korean Intellectual Property Office 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 Korean Intellectual Property Office 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 Korean languages, each text being equally authentic.

For the Korean Intellectual Property Office  
by:

[...]

For the International Bureau by:

[...]

#### **Annex A States and Languages**

Under Article 3 of the Agreement, the Authority specifies:

- (i) the following States for which it will act:  
Republic of Korea;  
any country that the Authority will specify;
- (ii) the following languages which it will accept:  
Korean, English.

#### **Annex B Subject Matter Not Excluded from Search or Examination**

The subject matter set forth in Rule 39.1 or 67.1 which, under Article 4 of the Agreement, is not excluded from search or examination, is the following:

subject matter which is searched or examined in Korean national applications.

**Annex C**  
**Fees and Charges**

**Part I. Schedule of Fees and Charges**

| <b>Kind of fee or charge</b>  | <b>Amount<br/>(Korean won)</b> |
|---|--------------------------------|
| Search fee (Rule 16.1(a))   | 225,000                        |
| Additional fee (Rule 40.2(a))   | 225,000                        |
| Preliminary examination fee (Rule 58.1(b))                                  | 225,000                        |
| Additional fee (Rule 68.3(a))   | 225,000                        |
| Protest fee (Rules 40.2(e) and 68.3(e))                                     | 11,000                         |
| Late furnishing fee (Rule 13 <sup>ter</sup> .1(c) and 13 <sup>ter</sup> .2) | 112,500                        |
| Cost of copies (Rules 44.3(b), 71.2(b) and 94.2), per page                  | 100                            |

**Part II. Conditions for and Extent of Refunds or Reductions of Fees**

(1) Any amount paid by mistake, without cause, or in excess of the amount due, for fees indicated in Part I shall be refunded.

(2) Where the international application is withdrawn or considered withdrawn, under Article 14(1), (3) or (4), before the start of the international search, the amount of the search fee paid shall be fully refunded.

(3) Where the Authority benefits from an earlier search, 75% of the search fee paid shall be refunded.

(4) In the cases provided for under Rule 58.3, the amount of the preliminary examination fee paid shall be fully refunded.

(5) Where the international application or the demand is withdrawn before the start of the international preliminary examination, the amount of the preliminary examination fee paid shall be fully refunded.

**Annex D**  
**Languages of Correspondence**

Under Article 7 of the Agreement, the Authority specifies the following languages:

Korean, English.

---

RU: Draft new agreement between the International Bureau and the Russian Federal Service for Intellectual Property, Patents and Trademarks

Agreement

between the Russian Federal Service for Intellectual Property, Patents and Trademarks  
and the International Bureau of the World Intellectual Property Organization

in relation to the functioning of the Russian Federal Service for  
Intellectual Property, Patents and Trademarks  
as an International Searching Authority  
and International Preliminary Examining Authority  
under the Patent Cooperation Treaty

*Preamble*

The Russian Federal Service for Intellectual Property, Patents and Trademarks and the International Bureau of the World Intellectual Property Organization,

*Considering* that the PCT Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the Russian Federal Service for Intellectual Property, Patents and Trademarks as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty 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;
  - (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 Russian Federal Service for Intellectual Property, Patents and Trademarks (Rospatent);

(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.

## **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, 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.

(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, 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.

(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).

#### **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 B 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 C to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex C 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 C 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 solely the International Patent Classification.

#### **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 D.

**Article 8**  
**International-Type Search**

The Authority shall carry out international-type searches to the extent decided by it.

**Article 9**  
**Entry into Force**

This Agreement shall enter into force on January 1, 2008.

**Article 10**  
**Duration and Renewability**

This Agreement shall remain in force until December 31, 2017. The parties to this Agreement shall, no later than July 2016, 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; they shall take effect on the date agreed upon by them.

(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; they shall take effect on the date agreed upon by them.

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

- (i) add to the indications of languages contained in Annex A to this Agreement;
- (ii) amend the schedule of fees and charges contained in Annex C to this Agreement;
- (iii) amend the indications of languages of correspondence contained in Annex D to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that, for any increase of fees or charges contained in Annex C, that date is at least one month 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, 2017:
- (i) if the Russian Federal Service for Intellectual Property, Patents and Trademarks 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 Russian Federal Service for Intellectual Property, Patents and Trademarks 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 Russian and English languages, each text being equally authentic.

For the Russian Federal Service for  
Intellectual Property, Patents and Trademarks  
by:

For the International Bureau by:

[...]

[...]

**Annex A**  
**Languages**

Under Article 3 of the Agreement, the Authority specifies the following languages:

Russian, English.

**Annex B**  
**Subject Matter Not Excluded from Search or Examination**

The subject matter set forth in Rule 39.1 or 67.1 which, under Article 4 of the Agreement, is not excluded from search or examination, is the following:

all subject matter searched or examined under national patent law administered by the Russian Federal Service for Intellectual Property, Patents and Trademarks.

**Annex C**  
**Fees and Charges**

**Part I. Schedule of Fees and Charges**

| <b>Kind of fee or charge</b>   | <b>Amount<br/>(US dollars)</b> |
|--|--------------------------------|
| Search fee (Rule 16.1(a)) <sup>1</sup>   | 500                            |
| Additional fee (Rule 40.2(a)) <sup>2</sup>   | 500                            |
| Preliminary examination fee (Rule 58.1(b)): <sup>2</sup>   |                                |
| – if the international search report has been prepared by the Authority  | 200                            |
| – if the international search report has been prepared by another International Searching Authority  | 300                            |
| Additional fee (Rule 68.3(a)): <sup>2</sup>  |                                |
| – if the international search report has been prepared by the Authority  | 200                            |
| – if the international search report has been prepared by another International Searching Authority  | 300                            |
| Late furnishing fee (Rule 13 <sup>ter</sup> .1(c)) <sup>2</sup>  | 150                            |
| Cost of copies of cited documents (except for documents transmitted to the applicant along with the international search report or preliminary examination report) (Rules 44.3(b) and 71.2(b)): <sup>2</sup> |                                |
| – patent document, per page  | 0.30                           |
| – non-patent document, per page  | 1.20                           |
| Cost of copies of document contained in the file of the international application (Rule 94.2), per page <sup>2</sup>   | 3.00                           |

**Part II. Conditions for and Extent of Refunds or Reductions of Fees**

(1) Any amount paid by mistake, without cause, or in excess of the amount due, for fees indicated in Part I shall be refunded.

(2) Where the international application is withdrawn or considered withdrawn, under Article 14(1), (3) or (4), or Rules 90<sup>bis</sup>.1(a) or 90<sup>bis</sup>.2(c) before the start of the international search, the amount of the search fee paid shall be fully refunded.

(3) Where the Authority benefits from an earlier international, international-type or other search report prepared by it, the following amount of the search fee shall be refunded:

- (i) 75%, if no additional search is required;

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<sup>1</sup> If payment is made to a receiving Office which accepts payments in Russian roubles, the applicant may, instead of paying the US dollar amount, pay the equivalent amount in Russian roubles at the exchange rate applicable, on the date of payment, at the Central Bank of the Russian Federation.

<sup>2</sup> The applicant may, instead of paying the US dollar amount, pay the equivalent amount in Russian roubles at the exchange rate applicable, on the date of payment, at the Central Bank of the Russian Federation.

(ii) 50%, if the additional search is confirmed by documents relating to one or two additional IPC subgroups;

(iii) 25%, if the additional search is confirmed by documents relating to new aspects of the claimed invention.

(4) In the cases provided for under Rule 58.3, the amount of the preliminary examination fee paid shall be fully refunded.

(5) Where the international application or the demand is withdrawn before the start of the international preliminary examination, the amount of the preliminary examination fee paid shall be fully refunded.

#### **Annex D** **Languages of Correspondence**

Under Article 7 of the Agreement, the Authority specifies the following languages:

Russian or English, depending on the language in which the international application is filed or translated, or at the applicant's choice.

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SE: Draft new agreement between the International Bureau and the Swedish Patent and Registration Office

Agreement

between the Swedish Patent and Registration Office  
and the International Bureau of the World Intellectual Property Organization

in relation to the functioning of the Swedish Patent and Registration Office  
as an International Searching Authority  
and International Preliminary Examining Authority  
under the Patent Cooperation Treaty

*Preamble*

The Swedish Patent and Registration Office and the International Bureau of the World Intellectual Property Organization,

*Considering* that the PCT Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the Swedish Patent and Registration Office as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty 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;
  - (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 Swedish Patent and Registration Office;
  - (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.

## **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.

(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.

(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).

**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 B 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 C to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex C 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 C 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 solely the International Patent Classification.

**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 D.

**Article 8**  
**International-Type Search**

The Authority shall carry out international-type searches to the extent decided by it.

**Article 9**  
**Entry into Force**

This Agreement shall enter into force on January 1, 2008.

**Article 10**  
**Duration and Renewability**

This Agreement shall remain in force until December 31, 2017. The parties to this Agreement shall, no later than July 2016, 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; they shall take effect on the date agreed upon by them.

(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; they shall take effect on the date agreed upon by them.

(3) The Authority 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 schedule of fees and charges contained in Annex C to this Agreement;
- (iii) amend the indications of languages of correspondence contained in Annex D to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that, for any increase of fees or charges contained in Annex C, that date is at least one month 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, 2017:

- (i) if the Swedish Patent and Registration Office 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 Swedish Patent and Registration Office 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 language.

For the Swedish Patent and Registration  
Office by:

For the International Bureau by:

[...]

[...]

### **Annex A States and Languages**

Under Article 3 of the Agreement, the Authority specifies:

- (i) the following States for which it will act:
  - (a) Denmark, Finland, Iceland, Norway, Sweden;
  - (b) the States regarded as developing countries in conformity with the established practice of the General Assembly of the United Nations, provided that Sweden, in accordance with its obligations undertaken within the framework of the European Patent Organisation, has concluded with those States an agreement for that purpose;
- (ii) the following languages which it will accept:
  - (a) for international applications filed with the receiving Office of, or acting for, any State referred to in subparagraph (i)(a), above:  
Danish, English, Finnish, Norwegian, Swedish;
  - (b) for international applications filed with the receiving Office of, or acting for, any State referred to in subparagraph (i)(b), above:  
Danish, English, Finnish, French, Norwegian, Swedish.

### **Annex B Subject Matter Not Excluded from Search or Examination**

The subject matter set forth in Rule 39.1 or 67.1 which, under Article 4 of the Agreement, is not excluded from search or examination, is the following:

none.

**Annex C**  
**Fees and Charges**

**Part I. Schedule of Fees and Charges**

| <b>Kind of fee or charge</b>   | <b>Amount<br/>(Swedish kronor)</b> |
|--|------------------------------------|
| Search fee (Rule 16.1(a))  | 15,230                             |
| Additional fee (Rule 40.2(a))  | 15,230                             |
| Preliminary examination fee (Rule 58.1(b))   | 5,000                              |
| Additional fee (Rule 68.3(a))  | 5,000                              |
| Cost of copies (Rule 94.2), per page   | 4                                  |
| Cost of copies in paper form (Rules 44.3(b) and 71.2(b)), <sup>1</sup><br>per document | 50                                 |

**Part II. Conditions for and Extent of Refunds or Reductions of Fees**

(1) Any amount paid by mistake, without cause, or in excess of the amount due, for fees indicated in Part I shall be refunded.

(2) Where the international application is withdrawn or considered withdrawn, under Article 14(1), (3) or (4), before the start of the international search, the amount of the search fee paid shall be fully refunded.

(3) Where the Authority benefits from an earlier international or international-type search, 50% or 100% of the search fee paid according to Part I shall be refunded, depending upon the extent to which the Authority benefits from that earlier search.

(4) Where on an earlier application, the priority of which is claimed, a search report has been issued by the Danish Patent Office, the Icelandic Patent Office, the National Board of Patents and Registration of Finland or the Norwegian Patent Office, and where the Authority benefits from that search report, the amount of SEK 1,400 shall be refunded in respect of the search fee paid according to Part I. Where on an earlier application, the priority of which is claimed, a search report has been issued by the Swedish Patent and Registration Office, and where the Authority benefits from that search report, the amount of SEK 2,800 shall be refunded in respect of the search fee paid according to Part I.

(5) In the cases provided for under Rule 58.3, the following amount of the preliminary examination fee shall be refunded:

- (a) refund of the full amount paid where Rule 54.4(a), 57.4(c) or 58.2(c) applies;
- (b) refund of the amount paid less the current amount of transmittal fee, where Rule 60.1(c) applies.

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<sup>1</sup> The applicant will receive free of charge a copy of each document containing non-patent literature. Other documents are available electronically, free of charge, on the website [www.prv.se](http://www.prv.se).

(6) Where the international application or the demand is withdrawn before the start of the international preliminary examination, the amount of the preliminary examination fee paid shall be fully refunded.

**Annex D**  
**Languages of Correspondence**

Under Article 7 of the Agreement, the Authority specifies the following languages:

Danish, English, Finnish, French, Norwegian or Swedish, depending on the language in which the international application is filed or translated; however, English or Swedish may be used in all cases.

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US: Draft new agreement between the International Bureau and the United States Patent and Trademark Office

Agreement

between the United States Patent and Trademark Office  
and the International Bureau of the World Intellectual Property Organization

in relation to the functioning of the United States Patent and Trademark Office  
as an International Searching Authority  
and International Preliminary Examining Authority  
under the Patent Cooperation Treaty

*Preamble*

The United States Patent and Trademark Office and the International Bureau of the World Intellectual Property Organization,

*Considering* that the PCT Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the United States Patent and Trademark Office as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty 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;
  - (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 United States Patent and Trademark Office;
  - (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.

## **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.

(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).

**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 B 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 C to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex C 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 C 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**

The Authority shall indicate the International Patent Classification for the purposes of Rules 43.3(a) and 70.5(b) and may also apply the United States Patent Classification.

**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 D.

**Article 8**  
**International-Type Search**

The Authority shall carry out international-type searches to the extent decided by it.

**Article 9**  
**Entry into Force**

This Agreement shall enter into force on January 1, 2008.

**Article 10**  
**Duration and Renewability**

This Agreement shall remain in force until December 31, 2017. The parties to this Agreement shall, no later than July 2016, 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; they shall take effect on the date agreed upon by them.

(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; they shall take effect on the date agreed upon by them.

(3) The Authority 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 schedule of fees and charges contained in Annex C to this Agreement;
- (iii) amend the indications of languages of correspondence contained in Annex D to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that, for any increase of fees or charges contained in Annex C, that date is at least one month 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, 2017:

- (i) if the United States Patent and Trademark Office 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 United States Patent and Trademark Office 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 language.

For the United States Patent and Trademark Office by:      For the International Bureau by:

[...]

[...]

### **Annex A States and Languages**

Under Article 3 of the Agreement, the Authority specifies:

- (i) the following States for which it will act, so far as Article 3(1) is concerned:

United States of America, Barbados, Brazil, Egypt, India, Israel, Mexico, New Zealand, Philippines, Saint Lucia, South Africa, Trinidad and Tobago;

- (ii) the following States for which it will act, so far as Article 3(2) is concerned:

United States of America and,  
where the Authority has prepared the international search report, Brazil, Barbados, Egypt, India, Israel, Mexico, New Zealand, Philippines, Saint Lucia, South Africa, Trinidad and Tobago;

- (iii) the following language which it will accept:

English.

### **Annex B Subject Matter Not Excluded from Search or Examination**

The subject matter set forth in Rule 39.1 or 67.1 which, under Article 4 of the Agreement, is not excluded from search or examination, is the following:

subject matter which is searched or examined in United States national applications.

**Annex C**  
**Fees and Charges**

**Part I. Schedule of Fees and Charges**

| <b>Kind of fee or charge</b>  | <b>Amount<br/>(US dollars)</b> |
|---|--------------------------------|
| Search fee (Rule 16.1(a)):  |                                |
| – when a corresponding prior United States national application has been filed under 35 U.S.C. 111(a), the basic filing fee under 37 CFR. 1.16(a) has been paid and the prior US national application is identified by the application number if known, or if the application number is not known, by the filing date, title and name of applicant (and preferably by the application docket number), in the international application or accompanying the papers at the time of filing the international application | 300                            |
| – in all other cases  | 1,000                          |
| Additional search fee (Rule 40.2(a))  | 1,000                          |
| Preparation of an international-type search report on a United States national application  | 40                             |
| Preliminary examination fee (Rule 58.1(b)):   |                                |
| – where the international search fee has been paid on the international application to the Authority  | 600                            |
| – where the international search was carried out by another Authority   | 750                            |
| Additional examination fee (Rule 68.3(a))   | 600                            |
| Cost of copies (Rule 94.2):   |                                |
| – US patent, per copy   | 3                              |
| – non-US patent document, per copy  | 25                             |

**Part II. Conditions for and Extent of Refunds or Reductions of Fees**

(1) Any amount paid by mistake, without cause, or in excess of the amount due, for fees indicated in Part I shall be refunded.

(2) Where the international application is withdrawn or considered withdrawn, under Article 14(1), (3) or (4), before the start of the international search, the amount of the search fee paid shall be fully refunded.

(3) Where the demand is considered, under Rule 54.4(a), 57.4(c), 58.2(c) or 60.1(c), as if it had not been submitted, the amount of the preliminary examination fee paid shall be fully refunded.

(4) Where the international application or the demand is withdrawn before the start of the international preliminary examination, the amount of the preliminary examination fee paid, less a processing fee equivalent to the transmittal fee under Rule 14.1(b), shall be refunded.

**Annex D**  
**Languages of Correspondence**

Under Article 7 of the Agreement, the Authority specifies the following language:

English.

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XN: Draft new agreement between the International Bureau and the Nordic Patent Institute

Agreement

between the Nordic Patent Institute  
and the International Bureau of the World Intellectual Property Organization

in relation to the functioning of the Nordic Patent Institute  
as an International Searching Authority  
and International Preliminary Examining Authority  
under the Patent Cooperation Treaty

*Preamble*

The Nordic Patent Institute and the International Bureau of the World Intellectual Property Organization,

*Considering* that the PCT Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the Nordic Patent Institute as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty 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;
  - (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 Nordic Patent Institute;
  - (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.

## **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.

(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).

**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 B 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 C to this Agreement.

(2) The Authority shall, under the conditions and to the extent set out in Annex C 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 C 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 solely the International Patent Classification.

**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 D.

**Article 8**  
**International-Type Search**

The Authority shall carry out international-type searches to the extent decided by it.

### **Article 9** **Entry into Force**

This Agreement shall enter into force one month after the date on which the Authority notifies the Director General of the World Intellectual Property Organization that it is prepared to start functioning as an International Searching Authority and as an International Preliminary Examining Authority.

### **Article 10** **Duration and Renewability**

This Agreement shall remain in force until December 31, 2017. The parties to this Agreement shall, no later than July 2016, 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; they shall take effect on the date agreed upon by them.

(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; they shall take effect on the date agreed upon by them.

(3) The Authority 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 schedule of fees and charges contained in Annex C to this Agreement;
- (iii) amend the indications of languages of correspondence contained in Annex D to this Agreement.

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that, for any increase of fees or charges contained in Annex C, that date is at least one month 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, 2017:

- (i) if the Nordic Patent Institute 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 Nordic Patent Institute 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 Danish, English, Icelandic and Norwegian languages, each text being equally authentic.

For the Nordic Patent Institute by:

For the International Bureau by:

[...]

[...]

#### **Annex A States and Languages**

Under Article 3 of the Agreement, the Authority specifies:

- (i) the following States for which it will act:
  - (a) Denmark, Iceland, Norway;
  - (b) any other Contracting State in accordance with the obligations of Denmark and Iceland within the framework of the European Patent Organisation;
- (ii) the following languages which it will accept:

Danish, English, Icelandic, Norwegian and Swedish.

#### **Annex B Subject Matter Not Excluded from Search or Examination**

The subject matter set forth in Rule 39.1 or 67.1 which, under Article 4 of the Agreement, is not excluded from search or examination, is the following:

all subject matter searched or examined under the national patent grant procedure under the provisions of the Danish, Icelandic and Norwegian Patent Laws.

**Annex C**  
**Fees and Charges**

**Part I. Schedule of Fees and Charges**

| <b>Kind of fee or charge</b>  | <b>Amount<br/>(...)</b> |
|---|-------------------------|
| Search fee (Rule 16.1(a))   | [...]                   |
| Additional search fee (Rule 40.2(a))                                      | [...]                   |
| Preparation of international-type search report                           | [...]                   |
| Preliminary examination fee (Rule 58.1(b))                                | [...]                   |
| Additional fee (Rule 68.3(a))   | [...]                   |
| Cost of copies (Rules 44.3(b), 71.2(b) and 94.2)                          | [...]                   |
| Cost of copies in paper form (Rules 44.3(b)<br>and 71.2(b)), per document | [...]                   |

**Part II. Conditions for and Extent of Refunds or Reductions of Fees**

(1) Any amount paid by mistake, without cause, or in excess of the amount due, for fees indicated in Part I shall be refunded.

(2) Where the international application is withdrawn or considered withdrawn, under Article 14(1), (3) or (4), before the start of the international search, the amount of the search fee paid shall be fully refunded.

(3) Where the Authority benefits from an earlier international or international-type search, 50% or 100% of the search fee paid according to Part I shall be refunded, depending upon the extent to which the Authority benefits from that earlier search.

(4) Where on an earlier application, the priority of which is claimed, a search report has been issued by the Danish Patent Office, the Icelandic Patent Office or the Norwegian Patent Office, and where the Authority benefits from that search report, the amount of [...] shall be refunded in respect of the search fee paid according to Part I.

(5) In the cases provided for under Rule 58.3, the following amount of the preliminary examination fee shall be refunded:

- (a) refund of the full amount paid where Rule 54.4, 54*bis*.1(b) or 58*bis*.1(b) applies;
- (b) refund of the amount paid less the current amount of transmittal fee, where Rule 60.1(c) applies.

(6) Where the international application or the demand is withdrawn before the start of the international preliminary examination, the amount of the preliminary examination fee shall be fully refunded.

**Annex D**  
**Languages of Correspondence**

Under Article 7 of the Agreement, the Authority specifies the following languages:

Danish, English, Icelandic, Norwegian and Swedish, depending on the language in which the international application is filed or translated; however, English may be used in all cases.

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[End of Appendix and of document]