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DRAFT GUIDELINES ON PUBLICATION UNDER THE PATENT COOPERATION TREATY (PCT)

First draft

prepared by the International Bureau

Background to This Document

1. At its sixth session, held in Geneva from October 27 to November 3, 1975, the Patent Cooperation Treaty (PCT) Interim Advisory Committee for Administrative Questions (hereinafter referred to as "the Interim Committee") requested that the International Bureau prepare a first draft of Guidelines on Publication under the PCT reflecting the form, style and layout of publication which the International Bureau is required to issue under the PCT.

2. The present document has been prepared in response to that request.

Purpose and Content of This Document

3. In preparing the first draft of the Guidelines, the International Bureau has attempted to identify as many as possible of the questions involved in its publication activities under the PCT. Having identified the questions, the International Bureau has, where there appears to it to be an obvious solution, stated its conclusion in order to provide a focus for the discussion of the Interim Committee. Where different approaches are possible for the solution of a given problem, the various approaches have been set out and analyzed. As far as possible, an indication has been given, again as a basis for discussion by the Interim Committee, of what appears to be the best approach to adopt.

4. Thus, the first draft of the Guidelines annexed to the present document contains an analysis of the various questions raised by the publication of the following documents: pamphlets publishing international applications, the Gazette, weekly and cumulative indexes relating to bibliographic information contained in the Gazette, classified abstracts and various information brochures. The Appendices to the Guidelines contain a general review of existing reproduction systems, the Articles, Rules and Administrative Instructions under the PCT governing publication by the International Bureau, as well as various samples illustrating possible layouts and presentations of the various publications to be issued by the International Bureau.

5. The present document therefore, in raising questions and presenting possible alternative solutions, frequently has less the nature of Guidelines than that of a study providing necessary elements for the decisions of the Interim Committee needed before the principles of the publications under the PCT can be determined with more precision and before a document having more the character of Guidelines can be written. On the basis of the decisions of the Interim Committee, new draft Guidelines will be prepared.

6. The Interim Committee is invited to examine the Guidelines and the Appendices thereto, and to provide guidance to the International Bureau on questions raised therein.

[Annex follows]

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DRAFT GUIDELINES ON PUBLICATION UNDER THE
PATENT COOPERATION TREATY (PCT)

PART I - INTRODUCTION

Purpose of the Guidelines

1. The purpose of these Guidelines is to establish the form, content and layout of publications to be issued by the International Bureau under the PCT, as well as to indicate the methods and procedures to be adopted for the preparation and production of such publications.
2. The Guidelines have been prepared in order to ensure that, as far as possible, publications under the PCT are of optimum usefulness both as regards their information content and their quality, taking due account of considerations of economy and expeditious execution of the tasks of the International Bureau, particularly having regard to the time limits imposed by the PCT.
3. The publication methods provided for in these Guidelines have been selected from the available techniques in order to facilitate the execution of the tasks of the International Bureau without undue complication or cost.

Glossary of Terms Used

4. The meanings of certain terms used in these Guidelines are set out in paragraphs 5 to 17 below.
5. Publication* refers to the making available to the public of multiple copies of a document produced by printing or a like process. The term "printing or like process" covers not only conventional printing processes, but also micrography and all other processes whereby a document may be reproduced in multiple copies.
6. International publication means publication, by the International Bureau, of the international application, in accordance with Article 21 of the PCT.
7. Pamphlet refers to the international application published by the International Bureau in the form of a pamphlet in accordance with PCT Rule 48.1(a).
8. Front page of the pamphlet means the first page of the pamphlet, which includes certain data taken from the request, a figure or figures when the international application contains drawings, and the abstract.
9. Gazette means the publication of the International Bureau containing data specified by the Administrative Instructions in relation to published international applications, as well as other useful information in accordance with PCT Rule 86 and Section 407(c) of the Administrative Instructions.
10. Indexes means the synoptic tables allowing easy access to the bibliographic data and the information contained in the Gazette.
11. Bibliographic data means elements of information identifying a patent document and not necessarily relating to the content of the document (e.g. filing date, publication number, name of applicant, etc.). Notwithstanding the fact that the "title of the invention" is strictly text material, it will be considered "data" for the purposes of these Guidelines.
12. Text means the matter contained in a patent document which comprises its content (e.g. the abstract, description, claims, etc.).
13. Drawings and Figures means any form of graphical representation the reproduction of which calls for recourse to duplicating techniques other than typesetting (see the Guidelines for the Presentation and Execution of Drawings under the PCT, document PCT/AAQ/VII/11).
14. Reproduction system means a method for producing multiple copies of an original document, or master image. The expression "reproduction system" is intended to cover only the production of multiple copies of a given master image, whatever method is used for preparing the master image.

* The term "publication" is also used herein to designate a document so published.

15. Photocomposition means a process of text composition whereby the text of a document is optically set to produce a desired layout and presentation.

16. Computer-controlled photocomposition means a photocomposition process whereby the text of a document is transferred onto a machine-readable carrier (punched or magnetic tape) and reproduced by a photocomposer controlled by a computer.

17. Micrography covers reproduction methods whereby the text of a document is reproduced, on a reduced scale, on microfilm or microfiches, either by direct microfilming of the original document, or by computer-controlled photocomposition of the text to be reproduced on microfiches (Computer Output Microfiches (COM)).

Identification of the Various Publications to be Issued
by the International Bureau under the PCT

18. Pamphlet and Gazette. According to Articles 21 and 55(4) of the PCT, the International Bureau shall publish international applications in the form of pamphlets, as well as a Gazette. The international application shall be published in the form specified in PCT Rule 48, while the particulars concerning publication of the Gazette are set forth in PCT Rule 86 (see Appendices B and C).

19. Weekly and cumulative indexes. PCT Rule 86.1(v) and Section 407(c) of the Administrative Instructions provide for a certain number of indexes to be published in the Gazette. In addition to these indexes which will appear in each issue of the Gazette, it will be advisable to consider the publication of cumulative indexes containing the same information in a consolidated form.

20. Abstract service and information brochures. Further publications containing useful information including a classified abstract service as well as brochures describing various aspects of the practice under the PCT should be envisaged.

General Review of Existing Reproduction Systems

21. The purpose of paragraphs 22 to 37 is to enumerate the various existing reproduction systems and to analyze their main characteristics in the light of the requirements of the PCT with respect to publication. These reproduction systems have been arranged, for the purpose of this review, into two broad groups, namely, reproduction in paper form and micrography. The review also deals with computer-controlled photocomposition and analyzes the various aspects of this sophisticated technique in the context of the publication under the PCT.

Reproduction in Paper Form

22. The various systems for reproduction in paper form fall into two main categories. These categories may be differentiated by the number of copies to be prepared from one document, i.e., the category which requires an intermediate matrix to be made up and the other category which does not require such intermediate matrix. These two categories are more fully explained below.

23. Reproduction processes which do not require an intermediate matrix. Methods not requiring an intermediate matrix to be made up are suitable if the number of prints required is small (less than 50 copies). Although it seems that this situation is hardly likely to arise where PCT publications are concerned, it is a possibility which should not be rejected out of hand in case international publications are required in small numbers for specific purposes.

24. The various processes, i.e., contact photocopying, thermocopying, diazocopying, electrocopying and optical photocopying, provide copies of a satisfactory quality.

25. Reproduction processes requiring an intermediate matrix. Methods requiring an intermediate matrix to be made up are essentially suitable for the reproduction of a large number of copies to be produced from a given original document. In such methods, the matrix can sometimes be obtained from the original document, if its quality lends itself to this; in other cases, it has to be recomposed beforehand. These techniques are suitable when the number of prints required is significant (more than 50).

26. The cost of these various techniques, i.e. hectography, stencilling (electronic or otherwise), typography and offset, is directly proportional to the quality obtained. At any rate, it would seem that the first two aforementioned techniques, which produce only a mediocre quality, should be rejected.

27. Typography (e.g., hot metal printing) is only mentioned for the record. In view of the expense involved, it is used for high-quality printing or for running off several thousand copies, and so does not appear suitable for international publications at this time.

28. As a result of the foregoing considerations, only offset printing has been considered hereinafter for reproduction processes of international publications in paper form.

Micrography

29. Although micrography is not likely to be used for international publication and is considered somewhat beyond the scope of these Guidelines, at least in the first stage of implementation of publication under the PCT, consideration has been given to such a reproduction method essentially for archival purposes, since this method offers economical solutions to the problems of the rising cost and proliferation of paper, and to the storage and transportation of documents. The various microforms which could be used for these purposes are considered in detail in Appendix A.

Computer-Controlled Photocomposition

30. Although computer-controlled photocomposition is not, strictly speaking, a reproduction system, but rather a system whereby the text of a document is composed on a master image which is later reproduced in several copies (e.g., by offset printing), it is considered advisable to mention this system in the framework of this general review.

31. According to this system, the information to be printed is entered by key-boarding on a punched or magnetic tape, and then is processed by a photocomposer controlled by a computer. The photocomposer produces a bromide print for proof-reading.

32. After proofreading, only the corrected parts are retyped so as to produce a corrector tape; this is then combined with the original tape, to produce a final tape which can be used by the photocomposition apparatus to obtain a film. This film, once it has been mounted, can be used to produce the offset matrix.

33. The variety of types of font that can be used and the quality are such that the finished product approximates very closely to typography print. By a judicious choice of the systems of characters and the arrangement of columns, the number of pages of text can be substantially reduced. There is no change, of course, in the amount of space taken up by illustrations.

34. Other advantages of computer-controlled photocomposition are as follows:

- automatic data entry (continuous typing);
- automatic process for corrections by tape mixing (punched or magnetic tape);
- programming of layout by calibration of the line spacing, leaving room for illustrations;
- the possibility of obtaining a number of different typographical formats for one and the same piece of information;
- handling is simplified (the film is easy to manipulate);
- the data carrier (punched or magnetic tape) can also be used to produce indexes, cumulative indexes, etc.

35. However, computer controlled photocomposition does have some disadvantages:

- if there is only one machine and it breaks down, a similar system must be used in replacement of the defective equipment;
- a sound technical infrastructure will be required for preparing the computer programs and putting them into operation, and for preparing and controlling the operations involved in the composition.

36. It should also be mentioned that there is another method of data compilation where photocomposition is based on optical reading of documents from applicants.

37. This system might be more economical than any of the others, but also the most difficult to put into use, for it requires:

- a systematic survey of the market to ascertain that technical progress will be such as to allow the reading of accented letters and special signs;
- standardized procedures for drawing up an applicant's document (use of special kinds of paper and standardized and perfectly adjusted keyboards to produce an impeccable graphic quality);
- strict conditions governing the layout of optically read documents, which should not be soiled, crumpled or dog-eared.

PART II - INTERNATIONAL PUBLICATION OF THE INTERNATIONAL APPLICATION

PCT Provisions Governing the International Publication of the International Application

38. The international publication of the international application is governed by the following Articles, Regulations and Administrative Instructions under the PCT (see Appendix B):

- Articles 21 and 64(3) under the PCT, which provide, respectively, for the publication of international applications by the International Bureau, and reservations by Contracting States with respect to such publication;
- PCT Rule 48 (International Publication);
- Sections 404 to 406 of the Administrative Instructions.

Other Articles, Regulations and Administrative Instructions having a bearing on specific aspects of the publication are mentioned in relation to specific items.

Form and Contents of the International Publication of the International Application

39. PCT Rule 48.1 specifies that the international application shall be published in the form of a pamphlet. The pamphlet will be published in A4 size in accordance with Section 406(b) of the Administrative Instructions.

40. The contents of the pamphlet, as specified in PCT Rule 48.2, are the following:

- (i) a standardized front page;
- (ii) the description;
- (iii) the claims;
- (iv) the drawings, if any;
- (v) the international search report, if available at the time of publication, or the declaration under Article 17(2)(a);
- (vi) any statement filed under Article 19(1), unless the statement does not comply with PCT Rule 46.4.

Time and Frequency of Publication

41. In accordance with Article 21 of the PCT, the international publication of the international application is required to be effected promptly after the expiration of 18 months from the priority date of the application or in accordance with a request from the applicant to the International Bureau for earlier publication of his international application. Since the latter case is an exceptional situation, these Guidelines only deal with publication after 18 months.

42. The pamphlets publishing international applications will be issued on a given day of each week in accordance with Section 406(a) of the Administrative Instructions (as to coordination of the timing between publication of the pamphlet and the Gazette, see paragraph 98).

Numbering of Published International Applications

43. The numbering of published international applications is provided for in Section 404 of the Administrative Instructions as follows:

"The International Bureau shall assign to each published international application an international publication number which shall be different from the international application number. The international publication number shall be used on the pamphlet and in the Gazette entry. It shall consist of the two-letter code "WO" followed by a two-digit designation of the last two numbers of the year of publication, a slant, and a serial number consisting of five digits (e.g., "WO75/12375")."

44. It is thought that a five-digit serial number, which would permit the international publication of up to 100,000 international applications per year, would be appropriate. Should circumstances later require a sixth digit, Section 404 of the Administrative Instructions could be easily amended.

45. It is to be noted that the Technical Committee for Standardization of ICIREPAT is presently carrying out a study concerning the numbering of patent applications and patent documents with a view to establishing recommendations. These recommendations will be taken into consideration when available.

Sequence of the Elements and Numbering of the Pages of the Pamphlet

46. The sequence of the elements of the pamphlet should be as set out in PCT Rule 48.2(a)(i) to (v).

47. Section 208 of the Administrative Instructions, which deals with the arrangement of elements and numbering of sheets of the international application, provides:

"(a) In effecting the sequential numbering of the sheets of the international application in accordance with Rule 11.7, the elements of the international application shall be placed in the following order: the request, the description, the claims, the drawings, the abstract.

"(b) The sequential numbering shall be effected by using two separate series of numbering, one applying to the request only and commencing with the first sheet of the request, the other commencing with the first sheet of the description and continuing until the last sheet of the other elements of the international application."

Section 410 of the Administrative Instructions, which provides for the numbering of sheets of the international application for the purposes of international publication, prescribes:

"In the course of preparing the international application for international publication, the International Bureau shall sequentially renumber the sheets of the international application only when necessitated by the addition of any new sheet, the deletion of entire sheets or a change in the order of the sheets. Otherwise, the numbering provided under Section 208 shall be maintained."

48. It is proposed to exclude the front page of the pamphlet from the sequential numbering of the pages of the pamphlet, so that no renumbering of the sheets of the international application by the International Bureau would be necessary, unless necessitated by the addition or deletion of sheets or change in the order of the sheets. Additional elements of the pamphlet, not forming part of the international application itself, such as the international search report, would be placed after the last page of the international application and their pages would be sequentially numbered accordingly.

Technical Preparation for Publication

49. The technical preparation for publication of the international application begins with the verification of the bibliographic data appearing on the request, progresses through the file contents, and is completed with the inspection of the claims and drawings. Each of the separate items of bibliographic data appearing on or in the file, would be assigned, in a uniform order in the file, a numeric identifier for easy reference in accordance with the INID Codes (ICIREPAT Numbers for the Identification of Data) as provided for in ICIREPAT Standard ST.9 "Recommendation concerning Bibliographic Data (Identification by INID Codes and Minimum Required) on the First Page of a Patent Document and in Entries in an Official Gazette".

50. For publication of the pamphlet to be effected promptly after the expiration of the period of 18 months laid down in Article 21(2)(a), a time limit for the termination of technical preparation of the pamphlet would have to be fixed some time (possibly two weeks) before the end of that period of 18 months. The public would be given notice of this time limit in the Gazette.

51. The time necessary for technical preparation of the pamphlet is estimated to be a period of four weeks at a minimum.

Reproduction of the Pamphlet

52. The problem of selection of a reproduction system for international publication is directly related to considerations such as quality versus cost and the total volume of reproduction (i.e. number of copies to be produced from the same master image).

53. With respect to the quality level for reproduction of the pamphlet, the "Draft Guidelines on Physical Characteristics of Patent Documents Particularly Relevant to Reproducibility and Legibility of Such Documents" adopted by the Technical Committee for Standardization of ICIREPAT will be taken into account.

54. It is clear that the selection of a given reproduction process for the pamphlet should be made on the basis of the number of copies to be reproduced for each pamphlet. This number is estimated to be at least 150 copies per pamphlet. This estimation has been made on the basis of information with respect to the number of copies of each patent document presently printed by the Patent Offices of the following countries, excluding the patent documents of Japan, since these documents are published in bound volumes:

Austria	100
Denmark	90
Finland	100
France	100
Germany (Federal Republic of)	100
Hungary	100
Japan	900
Norway	100
Romania	8
Sweden	75
Switzerland	100
United Kingdom	120
United States of America	140

55. Considering the estimated number of 150 copies per pamphlet, it seems that the reproduction processes not requiring an intermediate matrix (see paragraphs 23 and 24), and which are suitable only if the number of prints required is small (less than 50 copies), can be ruled out for the purposes of the international publication of the international application.

56. Consequently, it is concluded that the only reproduction process appropriate for the international publication of the international application is offset printing (recto-verso) (see also Section 406(b) of the Administrative Instructions). Accordingly, only preparation of the master image to be duplicated by offset printing has hereinafter been considered separately for each of the different components of the pamphlet.

Assembling of Pages of the Pamphlet

57. In view of the obvious cost savings, it is suggested that the pamphlet pages be fastened together by stapling.

THE STANDARDIZED FRONT PAGE OF THE PAMPHLET

Form and Contents of the Front Page

58. PCT Rule 48.2(b) provides that the front page shall include:

- "(i) data taken from the request sheet and such other data as are prescribed by the Administrative Instructions;
- (ii) a figure or figures where the international application contains drawings;
- (iii) the abstract; if the abstract is both in English and in another language, the English text shall appear first."

Bibliographic Data

59. With respect to the bibliographic data printed on the front page of the pamphlet, it is suggested that the following data should appear:

(i) Data taken from the request sheet which pertain to the minimum bibliographic data to be provided on the first page of a patent document, according to ICIREPAT Standard ST.9 "Recommendation concerning Bibliographic Data (Identification by INID Codes and Minimum Required) on the First Page of a Patent Document and in Entries in Official Gazette", namely:

- (11) international publication number*

* The Interim Committee could consider the possibility of using near the publication number a letter code to identify the kind of document to which the pamphlet relates. Such a letter code (which could be associated with a single digit amplifying the information represented by the letter code) would be used in accordance with ICIREPAT Standard SI.8: "Standard Code for Identification of Different Kinds of Patent Documents." The pamphlet, being of the nature of a patent document numbered in a primary series and issued on the first publication level, would carry the letter code "A". However, it would be necessary to make provision for the situation where the international search report and/or amended claims are published subsequent to the publication of the international application. For this purpose, the following codes at least could be established:

- A1 - publication of the international application with the international search report and amended claims
- A2 - publication of the international application with the international search report but without amended claims
- A3 - publication of the international application with neither the international search report nor the amended claims
- A4 - subsequent publication of the international search report without amended claims together with the front page of the pamphlet
- A5 - subsequent publication of the international search report with amended claims together with the front page of the pamphlet.

It should be noted that the situation where the pamphlet would be identified by the code A2 or the code A4 could occur either before or after the time limit for amending the claims under Article 19 has expired. Such alternatives are not spelled out in the proposed coding scheme. If it should be decided to adopt a coding system, these alternatives might best be indicated in some other way e.g. as provided in PCT Rule 48.2(h); this would avoid an unduly prolix and cumbersome coding system.

However, in view of the number of possible combinations of situations to be covered, it may be preferable to merely provide for an indication of whether or not the search report or the amended claims are included in the pamphlet (see paragraph 59(iii)).

- (19) designation of the International Bureau as the Authority in charge of publishing the international application under the PCT, by means of a two-letter code*
- (21) international application number
- (22) international filing date
- (23) priority application(s) number(s)
- (32) priority date(s)
- (33) country (countries) in which priority application(s) was (were) filed
- (43) date of the international publication
- (51) International Patent Classification
- (54) title of the invention
- (60) parent application(s) or grant(s)
 - (61) related by addition
 - (63) related by continuation
- (71) name(s) of applicant(s).

(ii) Other data prescribed by the Administrative Instructions (Section 406(c) and Annex D of the Administrative Instructions), namely.

- (72) name(s) of inventor(s)
- (74) agent or common representative
- (**) designated States.

(iii) An indication of whether the following items are published in the pamphlet:

- international search report
- declaration under Article 17(2)(a)
- amended claims
- statement under Article 19(1)
- the essence of the comments by the applicant with respect to the translation of the international application in accordance with PCT Rule 48.3(b).***

(iv) When applicable, a statement indicating that the time limit for amending the claims under Article 19 has not expired and that, should the claims be amended under Article 19, then, promptly after such amendments, the claims as amended or a statement reflecting all the amendments will be published.

(v) An indication of elected States will be included in the bibliographic data on the front page of the pamphlet, provided that at the time the preparations for the publication of the international application have been completed, the demand has already been made.*

* The two-letter code "WO", identifying the International Bureau as such Authority, has been established by the ICIREPAT Technical Committee for Standardization and will be submitted to the Plenary Committee of ICIREPAT in September, 1976, for final approval.

** The item "designated States" is not yet identified by an INID number in ICIREPAT Standard ST.9. However, an extension of this Standard to include INID numbers for data specific to the PCT has been established by the ICIREPAT Technical Committee for Standardization and will be submitted to the Plenary Committee of ICIREPAT in September, 1976, for final approval. The INID number established for identifying PCT designated States is (81). This extension of ICIREPAT Standard ST.9, also includes an INID number identifying "elected States", namely INID number (82).

*** It is recommended that the Interim Committee invite the competent body of ICIREPAT to consider the establishment of a specific INID number to identify the data entry indicating whether the items are contained in the pamphlet.

Abstract

60. The publication of the abstract is governed by PCT Rules 48.2(b)(iii), (c) and (e) and 48.3(c). PCT Rule 48.2(b)(iii) and (c) provides that the front page shall include the abstract, unless, instead of a search report, a declaration under Article 17(2)(a) has issued. If the abstract is both in English and in another language, the English text shall appear first. Such publication in two languages results from PCT Rule 48.3(c) which provides that, if the international application is published in a language other than English, the abstract shall be published both in that language and in English.

61. PCT Rule 48.2(e) provides that, if there is not enough room on the front page for the totality of the abstract, the abstract shall appear on the back of the front page.

62. It is proposed to continue the abstract on the reverse side of the front page when the abstract, whether in one or two languages, cannot be printed solely on the front of the front page of the pamphlet. This would allow the full use of the space available on the front page and would be consistent with the "Draft Guidelines on the Layout and Presentation of the Composed First Page of Patent Documents" established by the ICIREPAT Technical Committee for Standardization (the Draft Guidelines will be submitted to the Plenary Committee of ICIREPAT at its September 1976 session). If it is felt that this form of publication of the abstract is not compatible with the wording of PCT Rule 48.2(e), an appropriate amendment to that provision should be considered.

Special Arrangements Concerning Certain Elements of the Front Page

63. Certain elements of the front page, which are provided or verified by the International Searching Authority, namely, the classification of the subject matter of the international application according to the International Patent Classification, the title and the abstract, and which are normally available to the International Bureau upon transmittal of the international search report by the International Searching Authority, may not be available to the International Bureau in accordance with the normal procedure prior to completion of the technical preparations for publication due to non-receipt of the international search report. In order that the front page of the pamphlet should contain such elements, special arrangements will have to be made with the International Searching Authorities to ensure that the said elements are available to the International Bureau before completion of the technical preparations for publication.

Language of the Front Page

64. It is provided in PCT Rule 48.3 that an international application filed in English, French, German, Japanese or Russian shall be published in the language in which it was filed. Where the international application is published in a language other than English, the international search report, or a declaration under Article 17(2)(a), and the abstract are required to be published both in the original language and in English. If the international application is filed in a language other than English, French, German, Japanese or Russian, the application is required to be published in English translation. It is clear that these provisions apply to the front page of the pamphlet.

Preparation of the Master Image of the Front Page for Offset Printing

65. The International Bureau will have to compose a master image, to be reproduced by offset, providing the information listed in PCT Rule 48.2(b). Several possibilities might be considered for preparing this master image:

Variant 1

(i) Automatic processing by computer-controlled photocomposition: the bibliographic data to be printed on the front page and the abstract would be recorded on a machine-readable carrier by keyboarding and reproduced by the photocomposer with the desired layout and presentation. This method would allow subsequent automatic production of the Gazette, weekly and cumulative indexes, and by extracting from the same machine-readable carrier the necessary information and thus printing this information by photocomposition. A montage of any drawing and/or mathematical or chemical formulae would be necessary.

Variant 2

(ii) Complete manual processing: the bibliographic data to be presented on the front page of the pamphlet as well as the abstract would be typed manually. A montage of any drawing (and/or mathematical or chemical formulae) would also be necessary.

Variant 3

(iii) Manual processing using a model front page with preprinted entries: the bibliographic data to be printed on the front page and the abstract would be typed opposite preprinted entries. A montage of any drawing (and/or mathematical or chemical formulae) would also be necessary.

Comparison of the Three Variants for Offset Printing

66. The first two variants set forth in paragraph 65 above permit an information content/space used ratio much higher than that of the third variant. In this connection, non-existing data (e.g. priority data, when no priority is claimed) may not be printed when variants (i) or (ii) above are used, whereas variant (iii) requires that any non-existent data result in blank spaces opposite to the corresponding preprinted entries. However, a set of different front pages containing variations in preprinted entries, designed to meet the various situations that might occur, could be prepared. This possibility has to be considered, nevertheless, in the context of publication in a number of different languages.

67. While the practical advantages of using computer-controlled photocomposition for the production of the master image of the front page over other methods for such production are apparent from a consideration of the above discussion of the three variants, the introduction of such a sophisticated method in the initial stages of the operation of the PCT might probably be considered to be premature, and only to be contemplated on the basis of a cost/benefit analysis based on actual experience of publication under the PCT. As regards the other two variants, it is considered that manual processing using a model front page with preprinted entries, although it involves a lower content/space used ratio than complete manual processing, would constitute the more appropriate method, since it requires less processing time and better meets the requirements of a standardized layout for the front page.

68. The sample front pages reproduced in Appendices D and E illustrate two possible layouts and presentations of the front page of the pamphlet. Appendix D shows a sample front page prepared by complete manual processing and Appendix E shows a sample front page with preprinted entries.

69. It should be noted, in this respect, that the question of the layout and presentation of the first page of a patent document is under active consideration within the Technical Committee for Standardization of ICIREPAT, which adopted, inter alia, the following principle applying to the composed first page of a patent document:

"The information appearing on the first page of a patent document should be presented in three general areas, namely:

- (i) in the upper part of the page, those data considered by the issuing Office to be of importance compared with the remaining data (essential document identification data);
- (ii) in the middle part of the page, remaining data other than the abstract or main claim and the drawing;
- (iii) in the lower part of the page, the abstract or main claim and the drawing."

This principle, although it has not been finally adopted by the Plenary Committee of ICIREPAT and applies only to the composed first page of a patent document, was taken into consideration by the International Bureau when preparing the sample first pages reproduced in Appendices D and E.

THE DESCRIPTION AND CLAIMS

Preparation of the Master Image for Offset Printing of the Description and Claims

70. There are three possible variants for producing the master image from which to make the matrix needed for offset printing of the description and claims of the international application. The variants are set out below with comments on their respective advantages and disadvantages.

Variant 1

Original document drawn up by the applicant used as the master image

71. There will almost certainly be some variation in the quality of the documents supplied, and this in turn will affect the quality of offset duplication. Also, the original document prepared by the applicant may have to be renumbered by the International Bureau (see in this respect paragraphs 47 and 48). Furthermore, it should be noted that this variant cannot be implemented in the case of international applications filed in a language other than those mentioned in PCT Rule 48.3(a) (see, however, paragraph 77 below).

72. This variant does, nevertheless, present two advantages, the main one being its particularly low cost. The second advantage is that there is no risk of error and no need for proofreading.

Variant 2

Document supplied by the applicant retyped by the International Bureau

73. In this case, the quality obtained from the original document for offset printing is uniform. Following the retyping of the pages or parts corrected, proofreading is necessary..

Variant 3

Text processed by means of computer-controlled photocomposition

74. The information is compiled beforehand using a punched or magnetic tape machine; the tape is then placed on a photocomposition machine to obtain a bromide print for proofreading.

75. After proofreading, only the corrected parts are keyboarded so as to produce a corrector tape; this is then combined with the original tape to produce a final tape which can be used by the photocomposition apparatus to obtain a film. This film, once it has been mounted, can be used to produce the offset matrix.

Comparison of the three variants for offset printing

76. Each of these systems has advantages and disadvantages, which are briefly summarized in the following table.

	Variant 1	Variant 2	Variant 3	
CRITERIA	Without typing by the International Bureau or the printer	With typing by the International Bureau or the printer	Photo-composition	
Quality of finished product	average	satisfactory	excellent	
Number of pages per pamphlet (3N pages being the number of pages of the original document)	3N pages	2N to 3N pages	N pages	
Use of data medium for other purposes	no	no	yes	
Operations influencing production time	composition	no	yes	
	proofreading	no	yes	
	correction	no	yes (slow)	yes (rapid)
	printing	yes	yes	yes
Risk of error	no	yes	yes	

77. Any of the three above-mentioned variants for offset printing would be workable. However, the first variant, which consists of reproducing as such the original international application filed by the applicant, is at present used by many offices when publishing unexamined patent applications, and is regarded by the International Bureau as being, at least for the early period of operation of the PCT, the best solution. In the case of an international application filed in a language other than one of those mentioned in PCT Rule 48.3(a), the English translation prepared under the responsibility of the competent International Searching Authority could be used as the master image for offset printing so long as the document complies with the physical requirements specified in PCT Rule 11.

Publication of Claims under Article 19 and Rule 48.2(f) of the PCT

78. Article 19(1) of the PCT provides that, after receiving the international search report, the applicant is entitled to an opportunity to amend the claims of the international application. He may also, at the same time, file a brief statement indicating any impact that such amendment may have on the description and drawings.

79. No problem exists in connection with republication of the subject matter whenever claims have been amended in accordance with Article 19 and such amendment has been received by the International Bureau before technical preparations for publication of the pamphlet have been completed. In this connection, the International Bureau will, in accordance with PCT Rule 48.2(f), publish the full text of the claims both as filed and as amended or the full text of the claims as filed with the amendments specified.

80. While publication of the full text of the claims as filed with the amendments specified may be considered appropriate if the amendments are of a simple nature, such a method of publication may not be considered suitable for determining accurately the full text of the claims as amended if the amendments are not of a simple nature. In so far as the latter situation is concerned, and in order to ensure maximum usefulness of the published international application, it is suggested that the full text of the claims be published both as filed and amended. An amendment of a simple nature should be understood as an amendment which, if only specified, would, nevertheless, permit ready comprehension of the full text of the amended claim without reproducing it, e.g., a mere deletion or insertion of a few words. The task of preparing the full text of amended claims in a form readily understandable would constitute part of the technical preparations for publication carried out by the International Bureau. The manner in which the amendments are presented by the applicant would have an effect on the amount of work in which the International Bureau would be involved. The experience gained during the initial stage of operation of the PCT should permit it to be determined whether the burden placed on the International Bureau is acceptable or should be reduced by means of appropriate Administrative Instructions.

81. In the case where amendments to the claims are filed after the termination of the technical preparations for publication of the pamphlet, it will be necessary to republish the front page of the pamphlet and the claims as amended, as well as to publish the applicant's statement in respect of the amendment. Having regard to the cost of successive publications, such publications will be avoided whenever possible.

Presentation of the Publication of Amended Claims

82. As set forth above, PCT Rule 48.2(f) provides that, if claims have been amended under Article 19(1), the publication shall contain the full text of the claims as filed and as amended or the full text of the claims as filed with the amendments specified. Accordingly, the claims as amended should normally come after the original claims of the international application.

83. Publication of the amended claims with the international application at the time when publication is due can be effected only if the amended claims are available to the International Bureau a certain time before the date of publication of the international application, so that the necessary technical preparations for publication can be carried out under satisfactory conditions. Among such preparations should be cited the processing of the amended claims themselves, especially when the amendments are not of a simple nature. If, at the time when preparations

for publication of the pamphlet are completed, the time limit for amending the claims has not expired, the pamphlet will refer to that fact and the amended claims, if any, or the amendments and any statement filed by the applicant in respect of his amendments, will be published subsequently. In this connection, it is recommended that separate publication of the amended claims should only be effected along with republication of the front page of the pamphlet including the bibliographic data of the international application. Except where the international application is very short, republication of the entire pamphlet would appear to be too costly and unnecessary.

THE DRAWINGS

84. The method of reproducing drawings should be the same as for the other elements of the pamphlet, namely, offset printing recto-verso (see Section 410(b) of the Administrative Instructions)*. Drawings should be reproduced without reduction in size, except in the case of the figure(s) reproduced on the front page. Even in the case of the reduction of such figures, regard must be had to the ultimate legibility of the figures when reproduced later in the Gazette. In the case of drawings, PCT Rule 11.13 lays down that they "shall be executed in durable, black or blue, sufficiently dense and dark, uniformly thick and well-defined, lines and strokes without colorings" (see also Guidelines for Presentation and Execution of Drawings under the PCT, document PCT/AAQ/VII/11). Assuming that the receiving Offices adequately ensure compliance with this Rule, the reproduction of drawings should not create any major difficulties.

THE INTERNATIONAL SEARCH REPORT

85. Article 21 specifies that the international publication of the international application shall be effected promptly after the expiration of 18 months from the priority date of that application, and that the international search report or the declaration under Article 17(2)(a) shall be published as prescribed in the Regulations. PCT Rule 48.2 prescribes that the international search report, or the declaration under Article 17(2)(a), shall be included in the pamphlet or, if not available at the time when publication is due, be published later. The two possible situations resulting from the above-mentioned provisions of the PCT, namely publication of the international search report with the international application at the time when publication is due or later publication of the international search report, are dealt with separately below.

Publication of the International Search Report with the International Application at the Time when Publication is Due

86. Publication of the international search report with the international application at the time when publication is due can be effected only if the international search report is available to the International Bureau a certain time before the date of publication of the international application, so that the necessary technical preparations for publication can be carried out under satisfactory conditions. Among such preparations should be cited not only the processing of the international search report itself, including its translation into English when the international application is published in a language other than English, but also the use and processing of various information items contained in the international search report for preparing the front page (e.g., symbol(s) of the International Patent Classification, the title, final version of the abstract established by the International Searching Authority and the translation thereof, if applicable).

87. For the above-mentioned reasons, it is considered that the international search report, or the declaration under Article 17(2)(a) should reach the International Bureau at least two weeks before the expiration of 18 months from the priority date of the application. If the international search report is received by the International Bureau after the suggested deadline, the said search report should be considered as not available at the time when publication is due.

* It should, however, be considered whether recto-verso reproduction of drawings, which may require reference to both sides of a sheet, is convenient for search purposes.

Publication of the International Application per se and
Subsequent Republication of the Pamphlet or Separate Sub-
sequent Publication of the International Search Report

88. PCT Rule 48.2(g) provides that, when the international search report is not yet available at the time when publication is due, the pamphlet will either be republished with the international search report or a separate publication of the international search report will take place.

89. In this connection, it is recommended that separate publication of the international search report only be effected along with republication of the front page of the pamphlet including the bibliographic data of the international application. Apart from exceptional cases (where the international application is very short), republication of the entire pamphlet would appear to be an unnecessary and expensive arrangement, and is not further considered below.

90. The republished front page and published international search report could readily be combined with the previously published pamphlet (minus the search report) for distribution and sale purposes.

91. The republication procedure must be initiated as soon as the international search report is available, so that any substantial time lapse between successive publications remains minimal.

Reproduction and Publication of the International Search Report

92. The international search report will be reproduced by offset printing (see Section 406(b) of the Administrative Instructions) using as a master image the international search report form completed by the International Searching Authority, and the said search report will be located at the end of the pamphlet or attached to the front page if published in a second publication stage. However, whenever the international search report has been established in a language other than English, an English translation will be prepared and typed by the International Bureau in a standardized format.

CONCLUSIONS

93. The following table shows, for each element making up the pamphlet, the different possible ways of obtaining the master image to be reproduced by offset printing. The tentative conclusions of the International Bureau as to the most appropriate of these possible ways, at least in the initial stages of the operation of the PCT, are indicated by underlining.

ELEMENTS		Without typing by the Inter- national Bureau	With typing by the Inter- national Bureau	Photo- composition
front page	bibliographic data	IMPOSSIBLE	<u>POSSIBLE</u> (with pre-printed entries)	POSSIBLE
	text of abstract	POSSIBLE	<u>POSSIBLE</u> (with pre-printed entries)	POSSIBLE
International search report (located at the end of the pamphlet)		<u>POSSIBLE</u> (apart from English translation)	POSSIBLE (mandatory for English translation)	POSSIBLE
Text of descriptions and claims		<u>POSSIBLE</u>	POSSIBLE	POSSIBLE
Drawings		N O T A P P L I C A B L E		

MICROFILMING

94. It is also proposed that the possibility be considered of microfilming the pamphlet either on 16 mm or on 35 mm roll films, or even on multiframe microfiches, for the purpose of keeping complete files of the pamphlets for archival purposes and for distribution. After the entry into force of the PCT, experience should show whether this solution will be beneficial for the international publications or not.

PART III - THE GAZETTE

PCT Provisions Governing the Publication of the Gazette

95. The publication of the Gazette is governed by the following Articles, Rules and Administrative Instructions under the PCT, which are reproduced in Appendix C:

- Article 55(4) (publication of the Gazette by the International Bureau)
- PCT Rule 86 (the Gazette)
- Section 407 of the Administrative Instructions

Form and Contents of the Gazette

96. The Gazette will be printed by offset in A4 size, recto-verso, in accordance with Section 407(a) of the Administrative Instructions. Since it has been concluded that the pamphlet should be printed by offset, there would be obvious advantages, including those of uniformity in the publications issued by the International Bureau and cost savings, in the use of the same method (and equipment) for the printing of the Gazette.

97. The contents of the Gazette, which are specified in PCT Rules 86.1(i) to (v), are studied below (see paragraphs 111 to 135).

Time Limit for Publication, and Frequency of Issue

98. PCT Rule 86.3 provides that the Gazette shall be published once a week but is silent on the possibility of any time lag between the publication of the pamphlet and that of the Gazette. It is considered that publication of each issue of the Gazette should take place on the same day as the publication of each pamphlet whose first publication or (partial or whole) republication is announced in that issue. This question will be considered in connection with the reproduction method used for printing the Gazette, particularly with respect to the preparation of the master image to be reproduced (see paragraphs 115 to 124 below).

Languages

99. PCT Rule 86.2 stipulates that the Gazette shall be published in an English-language edition and a French-language edition, and that it shall also be published in editions in any other language, provided the cost of publication is assured through sales or subventions.

100. Since no information is available at present as to whether publication of the Gazette in languages other than English and French would be possible under the above-mentioned conditions, these Guidelines will be restricted to the publication of the Gazette in English and French only.

101. Each weekly issue of the Gazette could be published either in the form of a bilingual volume or as separate English and French editions.

102. The publication of a bilingual edition of the Gazette would result in information being duplicated in two languages in a single document. However, the users' needs would generally be directly related to information in only the English or the French language. Two separate editions (English and French) would avoid users being required to purchase duplicative material on a systematic basis, and the amount of paper used would be substantially less. Accordingly, publication of the Gazette in two separate editions is suggested here as constituting the better solution.

Numbering of the Successive Issues of the Gazette

103. No provision has been made either in the Regulations under the PCT or in the Administrative Instructions with respect to the numbering of Gazettes. Different kinds of numbering systems, in addition to the date of publication, could be used for identifying the successive issues of the Gazette, assuming that the two different versions of the same weekly issue, that is the English and the French versions, would be assigned the same number. The various possible numbering systems can be grouped in the two following categories:

- (i) systems using yearly numbering series;
- (ii) systems using continuous numbering series.

104. According to a yearly numbering series system, weekly issues of the Gazette would be assigned a serial number starting from number 1 each year, the number of the issue being constituted by the said serial number and by the year of publication (last two digits). For example, the third issue of the Gazette published in 1978 would be identified either as No. 03/78 or 78/No. 03.

105. According to a continuous numbering series system, a serial number would be assigned to each weekly issue of the Gazette, in ascending order, irrespective of the year of publication. This system implies that the number of digits of the serial number increases as the number of issues grows and might result in large numbers, whereas a yearly numbering system uses numbers with a fixed length.

106. A yearly numbering system is proposed, particularly from the viewpoint of facilitating the selection of particular issues of the Gazette from a collection on the basis of their publication dates.

Numbering of the Pages of the Gazette

107. Two possible basic methods could be used for numbering the pages of the Gazette, namely, consecutive numbering of the pages issue by issue (the first page of each issue being assigned the number 1) or consecutive cumulative numbering of the pages of all issues of the Gazette published during one calendar year (for example, the first page of the second issue would be numbered 10 if the first issue ended with page 9).

108. It is suggested that the consecutive cumulative numbering of the pages of all issues of the Gazette published during the calendar year be adopted, since this system would permit building up collections (e.g., bound collections for one year) of the issues of the Gazette with their pages being consecutively numbered.

Number of Copies of Each Weekly Issue of the Gazette

109. Assuming that the Gazette would, among many other purposes, be used for selecting the pamphlet considered relevant within the technical field in which the user is interested, it is felt that the number of copies of a given issue of the Gazette to be printed would be considerably higher than the number of copies of the pamphlets to be printed. The probable need, as regards the number of copies of each issue of the Gazette is assumed to be between 1500 and 2000 copies. Among these 1500 to 2000 copies, it is assumed that one-third would be published in French and two-thirds in English.

Assembling of Pages

110. It is proposed to assemble the pages of each weekly issue of the Gazette by glue binding (e.g., using the Lumback method). Such binding would permit the assembling of variable numbers of pages and ensure a good quality of binding of the publication at a reasonable cost.

First Section of the Gazette: Entries Containing Data Specified by the Administrative Instructions Taken from the Front Page of the Pamphlet, Drawings (if any) and Abstract (PCT Rule 86.1(i))

Contents

111. The contents of this section of the Gazette, as specified in PCT Rule 86.1(i), and Section 407(b) of the Administrative Instructions (see Appendix C), are identical with the contents of the front page of the pamphlet suggested in paragraphs 58 to 62 of these Guidelines. Therefore, this section of the Gazette would consist of a set of comprehensive entries which would be substantially identical with the front page of the pamphlet.

Organization of Contents

112. The various entries mentioned above should preferably be arranged in the order of the International Patent Classification symbols assigned to the corresponding international applications and follow the consecutive ascending order of the publication numbers. In other words, under each symbol of the International Patent Classification used in the issue of the Gazette concerned, there would appear the entries relating to international applications assigned that symbol in consecutive ascending order of their publication numbers.

113. The entries could be presented under separate headings corresponding to the eight sections of the International Patent Classification.

114. This arrangement of the entries would permit users of the Gazette to select given entries both on the basis of their International Patent Classification symbols and their publication numbers.

Preparation of the Master Image to be Reproduced by Offset Printing

115. There are two possible methods for preparing the master image of this section of the Gazette, which should harmonize with those techniques finally decided for preparing the master image of the front pages of the pamphlets, namely, complete resetting of the texts of the pamphlets, or reproducing the front pages of the pamphlets as such with or without reduction.

Complete resetting of the texts of the front pages of the pamphlets

116. The resetting of the texts of the front pages of the pamphlets would permit, for each page of the Gazette, the desired layout and presentation of the text to be published and an optimum information content/space used ratio to be obtained. In this connection, it is felt that complete manual retyping of the texts of the front pages would necessitate costly, error prone and time-consuming operations which would entail a significant time lag between the publication of the pamphlet and that of the Gazette. In fact, the resetting of the texts of the front pages could be contemplated only if the front pages were prepared by computer-controlled photo-composition. In the latter case, the information to be published in the Gazette could be extracted from the magnetic tape used for producing the front pages and generated by an automatic process.

Reproduction of the front pages of the pamphlets as such

117. For each issue of the Gazette to be published, all the front pages of the pamphlets concerned (as illustrated in Appendices D and E) would be systematically assembled. One would then have a collection of front pages, with abstracts, arranged in the order of IPC symbols and in ascending order of the international publication numbers (see paragraphs 112 to 114 above).

118. This collection of front pages would then be reproduced by offset printing, with or without reduction, to make up the pages of the Gazette. Preferably, the identification of the International Bureau of WIPO as the authority publishing the international application, which appears in the upper part of each front page of the pamphlet, should not be reproduced in order to avoid repetition of constant information in the entries of the Gazette and to save space.

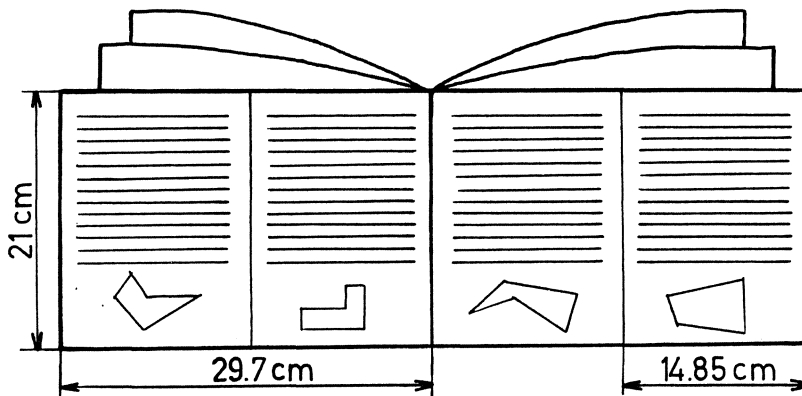
119. Reproduction of the front pages of the pamphlet as such would allow the publication of the Gazette on the same day as the publication of the pamphlet concerned.

120. The preparation of the master image for reproduction by offset printing of the pages of the Gazette might be effected in different ways providing for various layouts of these pages. For example, each page of the Gazette might contain a single front page reproduced without reduction or several front pages reproduced together on the same page of the Gazette with reduction. One may reasonably suppose that the Offices of the Contracting States are likely to keep card files of international applications, classified by subject-matter, with each card corresponding to one international application. The work of these Offices would therefore be facilitated if each front page appearing in the Gazette were given the format of an easy-to-use card of uniform or standard size.

121. A format without reduction would lead to A4 Cards (21 x 29.7 cm). This solution should, however, not be adopted. The Gazette would be too voluminous, and therefore too costly, and the filing of such cards would require cumbersome and weighty equipment.

122. Another format with substantial reduction would result in A6 Cards (10.5 x 14.85 cm). Compared with A4 cards, this solution would lead to a Gazette with a quarter of the number of pages (see Appendix G). One disadvantage, however, would be legibility, since the front page would be reduced by about 50%, particularly taking into account the reduction of the figure(s) appearing on the front page (see paragraph 84). If the front page were published with the bibliographic data and the drawing on the front, and the abstract on the back, the information printed on the back of the front page could be reproduced on the adjacent quarter of the page and constitute an additional A4 card (trailer card).

123. Another possible format is of A5 Cards (14.85 x 21 cm), which are half way between the two preceding types in size and would result in a Gazette with half as many pages as with A4 cards. Legibility would be improved, since the scale of reduction would be only 70.7%, compared with 50% for the A6 cards. When opened out, the Gazette would appear as illustrated below:



124. Whatever layout is finally agreed upon, it should be noted that the reproduction of the front pages of the pamphlet as such for the purpose of printing the Gazette is only applicable in the case of pamphlets published in the language of the edition concerned (see, however, in relation to the English edition, paragraph 64, under the heading "Language of the Front Page"). Whenever pamphlets have been published in a different language from that of the edition concerned, the International Bureau will have to prepare the necessary master image in the language of the said edition. The work involved will consist of translating the front pages of the pamphlets and of preparing new front pages for reproduction. It is envisaged that pages with preprinted entries would be used.

Other Sections of the Gazette

125. It is proposed to provide for three other separate sections of the Gazette, following the first section treated above, which will deal respectively with:

- (i) the notices related to given published international applications (Section 2);
- (ii) the notices of a general character, not specially related to given published international applications (Section 3);
- (iii) information facilitating access to the Gazette entries as contained in Section 1, which will be presented in the form of weekly indexes consisting of lists of bibliographic data arranged according to relevant criteria (Section 4).

126. Section 2 of the Gazette. This section will contain the following notices related to given international applications, published in accordance with PCT Rule 86.1(iii) and (v):

- (i) notification of the date on which the application number of the earlier application (priority application) was furnished by the applicant to the International Bureau, if the said number was not furnished at the time of the international publication of the international application (PCT Rule 4.10(c));
- (ii) publication of any notification received from the receiving Office under PCT Rule 29.1(a)(ii) (international application considered withdrawn), whenever this notification reached the International Bureau at a time later than that at which it was able to prevent the international publication of the international application (PCT Rule 48.6(a));
- (iii) publication of any notification issued by a designated Office under PCT Rules 29.2 (finding by designated Office) or 51.4 (notification to the International Bureau with respect to unjustified declaration or finding referred to in Article 25(1)) (PCT Rule 48.6(b));
- (iv) announcement of the withdrawal of an international application whenever the international application is withdrawn after its international publication (PCT Rule 48.6(c));
- (v) publication of any corrections to be effected with respect to a published international application (e.g., corrected abstract or title);
- (vi) information, if and to the extent furnished to the International Bureau by the designated or elected Offices, on the question whether the requirements provided for in Article 22 or Article 39 have been complied with in respect of the international applications designating or electing the Office concerned.

127. It is to be noted that the notices listed in paragraph 126 above, although relating to given published international applications, relate to facts occurring after the publication of the international applications concerned. Accordingly, those notices will be published in an issue of the Gazette subsequent to the issue containing the entry relating to the published international application concerned.

128. Section 3 of the Gazette. This section deals with information facilitating access to the Gazette entries and would contain various weekly indexes. These indexes have been identified on the basis of Section 407(c) of the Administrative Instructions as well as on the basis of ICIREPAT Standard ST.11 "Recommendation on the Minimum of Indexes to be Inserted in Official Gazettes". It is proposed to publish in this section the following indexes:

- (i) international publication numbers grouped according to receiving Offices;
- (ii) international publication numbers grouped according to designated States;
- (iii) applicants' name index giving, for each name, the corresponding international application number(s).

129. With respect to the index showing the international publication numbers grouped according to receiving Offices, it is proposed to include in the same index the corresponding international application numbers (which comprise the indication of the receiving Office by means of the two-letter country code established by ICIREPAT (see Section 307(b) of the Administrative Instructions). The said index has been presented as suggested in Appendix H.

130. As far as the index showing the international publication numbers grouped according to designated States is concerned, it is proposed to present the designated States in alphabetical order, the international publication numbers being given for each designated State in ascending order. The proposed layout and presentation of such an index is illustrated in Appendix I.

131. The applicants' name index giving, for each name, the corresponding international publication number(s), which is proposed to be published in accordance with ICIREPAT Standard ST.11, would be arranged by applicants' names listed in alphabetical order, as illustrated in Appendix J.

132. Preparation of the master image for offset printing of the above-mentioned indexes could be made either by being type-written or by computer-controlled photocomposition. Typing of these indexes would require manual processing of the data concerned, whereas computer-controlled photocomposition could be the result of an automatic processing of these data, provided that they have been recorded on a machine-readable data carrier, at an earlier stage. In the latter case, such indexes could be prepared with data extracted from the magnetic tapes used for preparing the front page of the pamphlet and the main entries of the Gazette.

133. Section 4 of the Gazette. This section, dealing with the notices of a general character published in accordance with PCT Rule 86.1(ii), (iii) and (v) and with Section 407(c) of the draft Administrative Instructions, will contain two different parts in which would be reproduced, respectively, regular notices (quarterly, semi-annually or annually) and non-periodic notices presented according to the PCT Authorities issuing the notifications to be published (e.g. notifications received from Contracting States, from Designated States, from Elected States, etc.).

134. Part I of Section 4 of the Gazette. This part will contain the following regular notices of a general character:

- (i) schedule of all fees payable to the receiving Offices, the International Bureau and the International Searching and Preliminary Examining Authorities (PCT Rule 86.1(ii)); this information, which will remain the same for a given period of time, can be laid down on a standardized page which would be reproduced in the Gazette on a periodic basis (e.g. quarterly or semi-annually); changes in fee schedules occurring in the intervening period will be published as they occur;
- (ii) publication, once a year, of statistics concerning non-compliance with Rules 22.1 and 22.2 (PCT Rule 22.4);
- (iii) publication, once a year, of the number of instances in which, according to the knowledge of the International Bureau, any receiving Office has not complied with the requirement of PCT Rule 23.1(a) (PCT Rule 23.1(c)),

135. Part II of Section 4 of the Gazette. This part will contain the following information of a general character*:

- (i) list of such published items of non-patent literature, pertaining to the PCT minimum documentation, as the International Searching Authorities have agreed upon, this list being published when agreed upon for a first time and whenever changed (PCT Rule 34.1(b)(iii));
- (ii) any notification received from any receiving Office with respect to its decision to avail itself of the faculty provided for in PCT Rule 35.2(a) (PCT Rule 35.2(b));
- (iii) any notification received from any Contracting State under PCT Rule 49.1(a) (languages of translations and amounts of fees under Article 22(1) and notifications received from any Contracting State with respect to any changes of requirements of PCT Rule 49.1(a) (PCT Rule 49.1(b) and (c));
- (iv) any notification received from any Contracting State under PCT Rule 50.1(a) (Faculty Under Article 23(3) with respect to time limit expiring later than the time limits provided for in Article 22(1) or (2), as allowed by a Contracting State) (PCT Rule 50.1(b));
- (v) information received from any Contracting State with respect to the competence of International Preliminary Examining Authority or Authorities (PCT Rule 59.1);
- (vi) any requirement of any Elected State with respect to the language of the international preliminary examination report (PCT Rule 72.1(b));
- (vii) any notification issued by any Contracting State wishing to take advantage of the faculty provided in Article 37(4)(b) (PCT Rule 75.4(b));
- (viii) any notification received from any Contracting State under PCT Rule 76.1 (Languages of Translation and Amounts of Fees under Article 39(1); notification received from any Contracting State with respect to any changes of requirements of PCT Rule 76.1(a) (PCT Rules 76.1(b) and (c));
- (ix) the time limits applicable under Articles 22 and 39 in respect of each Contracting State;
- (x) any notification issued by any Contracting State allowing a time limit expiring later than the time limit provided for in Article 39(1) (copy, translation and fee, to elected Offices) (PCT Rule 77.1(b));
- (xi) the names of the national Offices which do not wish to receive copies under Article 13(2)(c);
- (xii) the relevant provisions of the laws of Contracting States concerning international-type search;
- (xiii) the texts of the agreements entered into between the International Bureau and the International Searching Authorities or the International Preliminary Examining Authorities;
- (xiv) the names of the national Offices which entirely or in part waived their rights to any communication under Article 20;
- (xv) the names of the Contracting States which are not bound by Chapter II of the PCT;
- (xvi) the indication of any subject-matter that will not be searched or examined by the various International Searching and Preliminary Examining Authorities under PCT Rules 39 and 67;
- (xvii) the delegation of duties of receiving Offices (PCT Rule 19.3).

* The Interim Committee is invited to consider the possibility of publishing, during the initial stage of implementation of the PCT, these notices in several issues of the Gazette (e.g., the ten first issues).

GENERAL ORGANIZATION OF THE GAZETTE

136. Taking into consideration the contents of the Gazette specified in PCT Rule 86.1(i) to (v) and considered in paragraphs 111 to 135 above, it is suggested to organize the Gazette in the following order:

- (i) Standardized Cover Page on which would be illustrated:
 - the identification of the International Bureau as the Authority in charge of publishing the Gazette;
 - the title of the Gazette as provided for in PCT Rule 86.5;
 - the date of publication of the weekly issue;
 - the number of the weekly issue;
- (ii) Table of Contents indicating the location, by page number, of the various sections of the Gazette;
- (iii) A First Section entitled "Published International Applications" and containing the comprehensive entries referred to in paragraph 111 of these Guidelines, beginning always on the front side of a sheet;
- (iv) A Second Section entitled "Notices and Information relating to Published International Applications", beginning always on the front side of a sheet;
- (v) A Third Section containing weekly indexes, beginning always on the front side of a sheet; as to cumulative indexes, see Part IV below;
- (vi) A Fourth and Last Section entitled "Notices and Information of a General Character", beginning always on the front side of a sheet.

PART IV - CUMULATIVE INDEXES

137. Although the publication of cumulative indexes is connected with the publication of the information contained in the Gazette, this question is dealt with separately, since the frequency of publication of cumulative indexes is not necessarily the same as of the various items considered in the study in connection with the Gazette.

138. It is suggested to publish periodically (e.g., quarterly, semi-annually or annually) cumulative indexes consisting of the indexes listed in paragraphs 128 to 132 above accumulated over a period of 3, 6 or 12 months.

139. Such cumulative indexes could be either annexed to the appropriate weekly issue of the Gazette or published as separate volumes.

PART V - ABSTRACT SERVICE AND INFORMATION BROCHURES

Classified Abstract Service

140. The Interim Committee is invited to consider the feasibility and advisability of publishing the abstracts of published international applications arranged in accordance with the symbols of the International Patent Classifications assigned to the corresponding international applications.

141. While the service would, to some extent, duplicate information available in the Gazette, particularly if the arrangement of the entries of the Gazette proposed in Part III of the present document (see paragraphs 112 to 114) is adopted, there are important considerations which would favor the provision of this service.

142. The Gazette, which is printed recto-verso, could not be readily used for making up cards and contains a certain number of other kinds of information which might not be relevant for search purposes. For these reasons, the Gazette does not fully meet the needs of users wishing to establish and maintain card files. It goes without saying, that the classified abstracts should be printed in recto only and that other material should be excluded.

143. Such a classified abstract service could readily be implemented in the form of an SDI (Selective Dissemination of Information) service which would meet the specific needs of users according to their respective fields of interest.

144. Furthermore, it is to be noted that the provision by the European Patent Organisation (EPO), of a classified abstract service is being considered within the framework of the Interim Committee of the EPO. Since, under the European Patent Convention, publication of an international application, for which the EPO is a designated Office, in one of the official languages of the EPO takes the place of publication under the European Patent Convention, there would, in the event that a classified abstract service was established by the EPO, be an assured demand for classified abstracts of international applications from users who would wish to complete their abstracts of European patent applications. This demand would, of course, be greatly added to by the interest of users in other countries in having classified abstracts in their fields of interest.

145. The classified abstract service should, particularly, if it is established on an SDI basis, be developed using a computerized data bank and delivered in the form of documents produced by computer-assisted printing techniques (e.g., computer printed-out, COM microfiches or photocomposed bulletin). With these considerations in mind, the Interim Committee is invited to consider the advantage that might be derived from the utilization of the experience and equipment of the International Patent Documentation Centre (INPADOC), Vienna, in connection with the establishment of a classified abstract service. Collaboration between WIPO and INPADOC could either be on the basis of an arrangement providing for operation of the service by INPADOC or by the International Bureau in conjunction with INPADOC.

146. Account should also be taken of the possible benefits to users which could be derived from the utilization, in conjunction with the classified abstract service, of the existing services of INPADOC such as the Patent Classification Service (PCS) and the Patent Family Service (PFS).

Information Brochures

147. It is proposed to publish brochures to meet the information needs of PCT Authorities and users with respect to certain aspects of the procedure and practice under the PCT (e.g., Guidelines for Applicants and Receiving Offices, Guidelines on the Presentation and Execution of Drawings).

148. It is further suggested that all relevant information for applicants and their representatives could be contained in a single manual to be kept up to date by the International Bureau.

149. The form of presentation of these information brochures should be dealt with at a later date, notwithstanding the fact that some of these brochures may be published before the PCT enters into force.

[End of Annex, Appendices follow]

REVIEW OF EXISTING MICROFORMS

1. Microforms may be divided into two categories depending on whether they are treated sequentially by scanning or whether individual documents are identified.
2. The first category includes microfilm on spools or in cassettes (16 or 36 mm).
3. The second category includes 8-up aperture cards, jackets, and multi-frame microfiches (possibly from a computer output microfilm system).

Microfilms

4. The most usual sizes of roll microfilms used for reproducing documents or patent-related information (e.g. Official Gazettes, Indexes) are 16 mm roll microfilms and 35 mm roll microfilms in 8-up configuration. These two kinds of roll microfilms can be handled in spools or in cassettes.
5. It should be noted, in this respect, that ICIREPAT has established the following recommendations relating to microfilms:
 - (i) Standard ST.7/B: "Recommended Standard for 16 mm Roll Microfilm for Exchange between Patent Offices";
 - (ii) Standard ST.7/C: "Recommended Standard for 35 mm Roll Microfilm in 8-up Configuration for Exchange between Patent Offices";
 - (iii) Standard ST.7/D: "Recommendation for a Standardized Method of Identifying Roll Microfilm Files of Patent and Patent-related Documents".
6. The respective advantages and disadvantages of the various types of films, namely silver-halide, diazo and vesicular films, are not analyzed. Such a comparative analysis would be made in a further study, once basic decisions have been taken with respect to implementation of the international publication.
7. If a patent contains ten pages, 35 mm 8-up film will permit eight pages for the first frame and only two pages for the second frame. The waste of space is therefore considerable. The occupied part of 35 mm film placed under an aperture card is in this case proportionately less than for 16 mm film.
8. This remark militates in favor of 16 mm film which, however, has disadvantages when it comes to mounting in an aperture card; for this reason it is suggested to use both 16 and 35 mm film.
9. The cassette is practical, as it can be indexed, lends itself better than the spool to frequent handling, and protects the film from dirt and damage. On the other hand, microfilm on spools is essential as a medium for preparing aperture cards, jackets or for mailing films.
10. It would be for the Contracting States receiving such spools to put them into cassettes. The choice of cassette, which affects the choice of reading equipment, should be left to each Office and not be imposed by the International Bureau (see paragraph 44 of ICIREPAT Standards ST.7/B and ST.7/C).

8-up Aperture Cards

11. In its recommendation (see Standard ST.7/A), ICIREPAT defines the 8-up aperture card as a punched card with 80 columns and an aperture giving eight images from a 35 mm 8-up film. The cards can be selected by card sorters.
12. Possible disadvantages to this system are as follows:
 - Capacity - although eight images might seem sufficient for the majority of publications when they are treated by photocomposition, the same cannot be said when they are printed from the original document. In this case, two to three cards are often necessary which increases their number fairly considerably;

- Weight - this card is heavier and more cumbersome than any other micrographic medium. Account should also be taken of the weight and awkwardness of the furniture for housing aperture cards, which is frequently made of metal;
- Sorters - the handling of aperture cards in sorters is rather delicate and subject to many factors affecting the characteristics of the cards, such as degree of humidity, thickness, smoothness of the card, geometry of the edges of the cards, etc. Sorting operations have to be carried out on batches of cards of the same origin with sorters adjusted to the characteristics of the batches concerned.

13. However, the aperture card does have the merit of being already in use, and ICIREPAT finally preferred this method because most national Offices do not publish their patents in sequence. The sorters permit of easy extrication. The re-filing of cards is simple, and it is possible to standardize equipment.

14. However, this system is costly, because of the way the cards are made (punching and carding). It is cumbersome and heavy. It is fragile because the passing of the cards through the sorter leads to deterioration and therefore inevitably to the need for replacements.

Jackets (strip microfiche)

15. This is a complete data medium for a document. Updating is done as and when required by inserting films cut into strips. It can be duplicated to form a microfiche.

16. However, this system is also heavy and costly when it comes to preparation of the medium and filing. Titles have to be added by hand and the editing requires great care.

[Appendix B follows]

PCT PROVISIONS GOVERNING THE INTERNATIONAL PUBLICATION
OF THE INTERNATIONAL APPLICATION

Article 21

International Publication

(1) The International Bureau shall publish international applications.

(2) (a) Subject to the exceptions provided for in subparagraph (b) and in Article 64(3), the international publication of the international application shall be effected promptly after the expiration of 18 months from the priority date of that application.

(b) The applicant may ask the International Bureau to publish his international application any time before the expiration of the time limit referred to in subparagraph (a). The International Bureau shall proceed accordingly, as provided in the Regulations.

(3) The International search report or the declaration referred to in Article 17(2)(a) shall be published as prescribed in the Regulations.

(4) The language and form of the international publication and other details are governed by the Regulations.

(5) There shall be no international publication if the international application is withdrawn or is considered withdrawn before the technical preparations for publication have been completed.

(6) If the international application contains expressions or drawings which, in the opinion of the International Bureau, are contrary to morality or public order, or if, in its opinion, the international application contains disparaging statements as defined in the Regulations, it may omit such expressions, drawings, and statements, from its publications, indicating the place and number of words or drawings omitted, and furnishing, upon request, individual copies of the passages omitted.

Article 64

Reservations

(3) (a) Any State may declare that, as far as it is concerned, international publication of international applications is not required.

(b) Where, at the expiration of 18 months from the priority date, the international application contains the designation only of such States as have made declarations under subparagraph (a), the international application shall not be published by virtue of Article 21(2).

(c) Where the provisions of subparagraph (b) apply, the international application shall nevertheless be published by the International Bureau:

(i) at the request of the applicant; as provided in the Regulations,

(ii) when a national application or a patent based on the international application is published by or on behalf of the national Office of any designated State having made a declaration under subparagraph (a), promptly after such publication but not before the expiration of 18 months from the priority date.

Rule 48

International Publication

48.1 Form

(a) The international application shall be published in the form of a pamphlet.

(b) The particulars regarding the form of the pamphlet and the method of reproduction shall be governed by the Administrative Instructions.

48.2 Contents

(a) The pamphlet shall contain:

(i) a standardized front page,

(ii) the description,

(iii) the claims,

(iv) the drawings, if any,

(v) subject to paragraph (g), the international search report or the declaration under Article 17(2)(a),

(vi) any statement filed under Article 19(1), unless the International Bureau finds that the statement does not comply with the provisions of Rule 46.4.

(b) Subject to paragraph (c), the front page shall include:

(i) data taken from the request sheet and such other data as are prescribed by the Administrative Instructions,

(ii) a figure or figures where the international application contains drawings,

(iii) the abstract; if the abstract is both in English and in another language, the English text shall appear first.

(c) Where a declaration under Article 17(2)(a) has issued, the front page shall conspicuously refer to that fact and need include neither a drawing nor an abstract.

(d) The figure or figures referred to in paragraph (b)(ii) shall be selected as provided in Rule 8.2. Reproduction of such figure or figures on the front page may be in a reduced form.

(e) If there is not enough room on the front page for the totality of the abstract referred to in paragraph (b)(iii), the said abstract shall appear on the back of the front page. The same shall apply to the translation of the abstract when such translation is required to be published under Rule 48.3(c).

(f) If the claims have been amended under Article 19, the publication shall contain either the full text of the claims both as filed and as amended or the full text of the claims as filed and specify the amendments. Any statement referred to in Article 19(1) shall be included as well, unless the International Bureau finds that the statement does not comply with the provisions of Rule 46.4. The date of receipt of the amended claims by the International Bureau shall be indicated.

(g) If, at the time when publication is due, the international search report is not yet available (for example, because of publication on the request of the applicant as provided in Articles 21(2)(b) and 64(3)(c)(i)), the pamphlet shall contain, in place of the international search report, an indication to the effect that that report was not available and that either the pamphlet (then also including the international search report) will be republished or the international search report (when it becomes available) will be separately published.

(h) If, at the time when publication is due, the time limit for amending the claims under Article 19 has not expired, the pamphlet shall refer to that fact and indicate that, should the claims be amended under Article 19, then, promptly after such amendments, either the pamphlet (containing the claims as amended) will be republished or a statement reflecting all the amendments will be published. In the latter case, at least the front page and the claims shall be republished and, if a statement under Article 19(1) has been filed, that statement shall be published as well, unless the International Bureau finds that the statement does not comply with the provisions of Rule 46.4.

(i) The Administrative Instructions shall determine the cases in which the various alternatives referred to in paragraphs (g) and (h) shall apply. Such determination shall depend on the volume and complexity of the amendments and/or the volume of the international application and the cost factors.

48.3 Language

(a) If the international application is filed in English, French, German, Japanese, or Russian, that application shall be published in the language in which it was filed.

(b) If the international application is filed in a language other than English, French, German, Japanese, or Russian, that application shall be published in English translation. The translation shall be prepared under the responsibility of the International Searching Authority, which shall be obliged to have it ready in time to permit the communication under Article 20 by the prescribed date, or, if the international publication is due at an earlier date than the said communication, to permit international publication by the prescribed date. Notwithstanding Rule 16.1(a), the International Searching Authority may charge a fee for the translation to the applicant. The International Searching Authority shall give the applicant an opportunity to comment on the draft translation. The International Searching Authority shall fix a time limit reasonable under the circumstances of the case for such comments. If there is no time to take the comments of the applicant into account before the translation is communicated or if there is a difference of opinion between the applicant and the said Authority as to the correct translation, the applicant may send a copy of his comments, or what remains of them, to the International Bureau and each designated Office to which the translation was communicated. The International Bureau shall publish the essence of the comments together with the translation of the International Searching Authority or subsequently to the publication of such translation.

(c) If the international application is published in a language other than English, the international search report, or the declaration referred to in Article 17(2)(a), and the abstract shall be published both in that language and in English. The translation shall be prepared under the responsibility of the International Bureau.

48.4 Earlier Publication on the Applicant's Request

(a) Where the applicant asks for publication under Articles 21(2)(b) and 64(3)(c)(i) and the international search report, or the declaration referred to in Article 17(2)(a), is not yet available for publication together with the international application, the International Bureau shall collect a special publication fee whose amount shall be fixed in the Administrative Instructions.

(b) Publication under Article 21(2)(b) and 64(3)(c)(i) shall be effected by the International Bureau promptly after the applicant has asked for it and, where a special fee is due under paragraph (a), after receipt of such fee.

48.5 Notification of National Publication

Where the publication of the international application by the International Bureau is governed by Article 64(3)(c)(ii), the national Office concerned shall, promptly after effecting the national publication referred to in the said provision, notify the International Bureau of the fact of such national publication.

48.6 Announcing of Certain Facts

(a) If any notification under Rule 29.1(a)(ii) reaches the International Bureau at a time later than that at which it was able to prevent the international publication of the international application, the International Bureau shall promptly publish a notice in the Gazette reproducing the essence of such notification.

(b) The essence of any notification under Rule 29.2 or 51.4 shall be published in the Gazette and, if the notification reaches the International Bureau before preparations for the publication of the pamphlet have been completed, also in the pamphlet.

(c) If the international application is withdrawn after its international publication, this fact shall be published in the Gazette.

Section 404

International Publication Number

The International Bureau shall assign to each published international application an international publication number which shall be different from the international application number. The international publication number shall be used on the pamphlet and in the Gazette entry. It shall consist of the two-letter code "WO" followed by a two-digit designation of the last two numbers of the year of publication, a slant, and a serial number consisting of five digits (e.g., WO75/12375").

Section 405

Special Publication Fee

The special publication fee provided for in Rule 48.4 shall be ... Swiss francs.

Section 406

Pamphlets

(a) Pamphlets referred to in Rule 48.1 shall be published on a given day of each week.

(b) All pamphlets shall be of A4 size and shall be printed by offset, recto-verso.

(c) The form and particulars of the front page of each pamphlet shall be according to the example set forth in Annex D *.

*See document PCT/AAQ/VII/6

PCT PROVISIONS GOVERNING THE PUBLICATION OF THE GAZETTE

Article 55

International Bureau

(4) The International Bureau shall publish a Gazette and other publications provided for by the Regulations or required by the Assembly.

Rule 86

The Gazette

86.1 Contents

The Gazette referred to in Article 55(4) shall contain:

(i) for each published international application, data specified by the Administrative Instructions taken from the front page of the pamphlet published under Rule 48, the drawing (if any) appearing on the said front page, and the abstract,

(ii) the schedule of all fees payable to the receiving Offices, the International Bureau, and the International Searching and Preliminary Examining Authorities,

(iii) notices the publication of which is required under the Treaty or these Regulations,

(iv) information, if and to the extent furnished to the International Bureau by the designated or elected Offices, on the question whether the requirements provided for in Articles 22 or 39 have been complied with in respect of the international applications designating or electing the Office concerned,

(v) any other useful information prescribed by the Administrative Instructions, provided access to such information is not prohibited under the Treaty or these Regulations.

86.2 Languages

(a) The Gazette shall be published in an English-language edition and a French-language edition. It shall also be published in editions in any other language, provided the cost of publication is assured through sales or subventions.

(b) The Assembly may order the publication of the Gazette in languages other than those referred to in paragraph (a).

86.3 Frequency

The Gazette shall be published once a week.

86.4 Sale

The subscription and other sale prices of the Gazette shall be fixed in the Administrative Instructions.

86.5 Title

The title of the Gazette shall be "Gazette of International Patent Applications," and "Gazette des Demandes internationales de brevets," respectively.

86.6 Further Details

Further details concerning the Gazette may be provided for in the Administrative Instructions.

Section 407

The Gazette

(a) The Gazette referred to in Rule 86 shall be of A4 size and shall be printed by offset, recto-verso.

(b) In addition to the contents specified in Rule 86, the Gazette shall contain, in respect of each published international application, the data indicated in Annex E.

(c) The information referred to in Rule 86.1(v) shall be that which is indicated in Annex F.

(d) The subscription price of the Gazette shall be ... Swiss francs per year. The price of any single issue of the Gazette shall be ... Swiss francs.

[Annexes E and F of the Draft
Administrative Instructions
follow]

PCT/AAQ/VII/4
Appendix C, page 3
Annex E of the Draft Administrative Instructions

INFORMATION FROM PAMPHLET FRONT PAGE TO BE INCLUDED IN THE GAZETTE
UNDER RULE 86.1(i)

The following information shall be extracted from the front page of the pamphlet of each published international application and shall, in accordance with Rule 86.1(i), appear in the corresponding entry of the Gazette:

1. As to the international publication:
 - 1.1 the international publication number
 - 1.2 the date of the international publication
 - 1.3 an indication whether the following items were published in the pamphlet:
 - 1.31 international search report
 - 1.32 declaration under Article 17(2)
 - 1.33 amended claims
 - 1.34 statement under Article 19(1)
 - 1.35 the essence of the comments by the applicant on the translation of the international application as referred to in Rule 48.3(b).
2. as to the international application:
 - 2.1 the title of the invention
 - 2.2 the symbol(s) of the International Patent Classification (IPC)
 - 2.3 the international application number
 - 2.4 the international filing date
3. as to any priority claim:
 - 3.1 the application number of the earlier application
 - 3.2 the date of the earlier application
 - 3.3 the country in or for which the earlier application was filed
4. as to the applicant, inventor and agent:
 - 4.1 their name(s)
 - 4.2 their mailing address(es)
5. as to the designated and elected States:
 - 5.1 their names
 - 5.2 the indication of any wish for a regional patent
 - 5.3 the indication of kind of protection sought, unless patent is sought.

Annex F of the Draft Administrative Instructions

INFORMATION TO BE PUBLISHED IN THE GAZETTE
UNDER RULE 86.1(v)

1. The time limits applicable under Articles 22 and 39 in respect of each Contracting State.
2. The list of the non-patent literature agreed upon by the International Searching Authorities for inclusion in the minimum documentation.
3. The names of the national Offices which do not wish to receive copies under Article 13(2)(c).
4. The provisions of the national laws of Contracting States concerning international-type search.
5. The text of the agreements entered into between the International Bureau and the International Searching Authorities or the International Preliminary Examining Authorities.
6. The names of the national Offices which entirely or in part waived their rights to any communication under Article 20.
7. The names of the Contracting States which are bound by Chapter II of the PCT.
8. Listing of international publication numbers grouped according to receiving Offices.
9. Listing of international publication numbers grouped according to IPC classification symbols.
10. Listing of international publication numbers grouped according to countries designated.
11. Indication of any subject matter that will not be searched or examined by the various International Searching and Preliminary Examining Authorities under Rules 39 and 67.

(Appendix D follows)



INTERNATIONAL PUBLICATION
under the Patent Cooperation Treaty
(PCT)

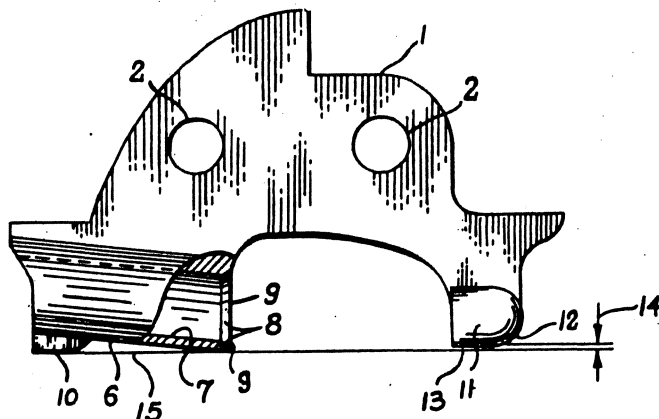
(51) INTERNATIONAL PATENT CLASSIFICATION:
B27B 33/02

INTERNATIONAL PUBLICATION

(11) NUMBER: **WO 75/12345**
(43) DATE : 14 July 1975

(21) INTERNATIONAL APPLICATION NUMBER : PCT/GB75/61234
(22) INTERNATIONAL FILING DATE : 10 January 1975
(31) PRIORITY APPLICATION NUMBER : 53762/74
(32) PRIORITY DATE : 14 January 1974
(33) COUNTRY IN WHICH PRIORITY APPLICATION FILED : GB
(71) APPLICANT : THAMES, Ltd., 34 South Bank Street,
Chiswick, London, S.W.2,
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United Kingdom - Tel : 01-72-69-43
(73) AGENT : JONES, Peter, 179 Richmond Hill,
Richmond, London, S.W.4,
United Kingdom - Tel : 01-29-64-32
() DESIGNATED STATES : AG, BR, CA, CH(regional patent),
CS(inventor's certificate), DT(regional
patent), ET, FR(regional patent),
GB(regional patent), HU, IT(regional
patent), JA(utility model), SU(inventor's
certificate), SW(regional patent)
US.
PUBLISHED WITH : INTERNATIONAL SEARCH REPORT, AMENDED
CLAIMS AND STATEMENT

(54) TITLE : CUTTING SECTION FOR CHAIN SAWS



(57) ABSTRACT

A chain saw device, comprising a cutting tooth having a planar base plate(1) with an aperture(2) therein for attachment to a power-driven chain. A pilot block(11) depends from the leading edge of the plate and a cylindrical member(6) from the trailing edge of the plate with its longitudinal axis inclined upwardly and rearwardly. The cylindrical member has a sharpened, arcuate, forward edge(9) for cutting a kerf. A bore(7) extends through the cylindrical member for passage of chips therethrough and a heel portion(10) follows the forward cutting edge(9) for engaging and finishing the kerf. The chain saw device, while particularly designed for use in cutting wood, is also adapted for cutting minerals and other materials.

WORLD INTELLECTUAL PROPERTY ORGANIZATION
International Bureau



INTERNATIONAL PUBLICATION
under the Patent Cooperation Treaty
(PCT)

(51) International Patent Classification :

B27B 33/02

INTERNATIONAL PUBLICATION

(11) Number : **WO 75/12345**

(43) Date : 14 July 1975

(21) Int. Appl. No : PCT/GB75/61234
(22) Int. Filing Date : 10 January 1975
(31) Priority Appl. No : 53762/74
(32) Priority Date : 14 January 1974
(33) Priority Country : GB

(60) Parent Appl. or Grant

(61) Related by addition :

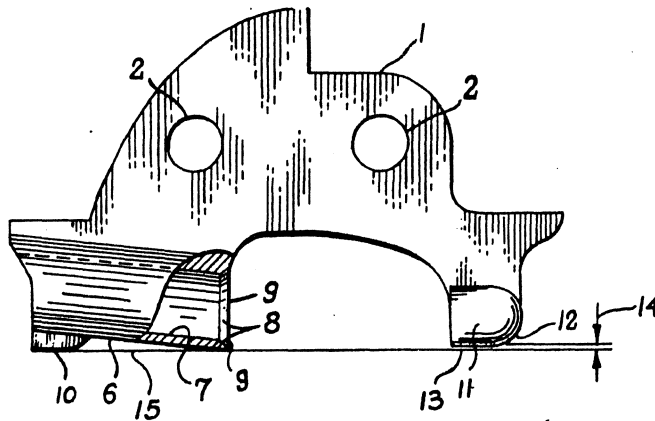
(63) Related by continuation :

Published with : INTERNATIONAL SEARCH
REPORT, AMENDED CLAIMS AND STATEMENT

(71) Applicant : THAMES Ltd., 34 South Bank
Street, Chiswick, London S.W.2,
United Kingdom - Tel:01-64-28-29
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() Designated States : AG, BR, CA, CH (regio-
nal patent), CS (inventor's certifi-
cate), DT (regional patent), ET, FR
(regional patent), GB (regional pa-
tent), HU, IT (regional patent), JA
(utility model), SU (inventor's cer-
tificate), SW (regional patent), US.

(54) Title : CUTTING SECTION FOR CHAIN SAWS



(57) Abstract

A chain saw device, comprising a cutting tooth having a planar base plate (1) with an aperture (2) therein for attachment to a power-driven chain. A pilot block (11) depends from the leading edge of the plate and a cylindrical member (6) from the trailing edge of the plate with its longitudinal axis inclined upwardly and rearwardly. The cylindrical member has a sharpened, arcuate, forward edge (9) for cutting a kerf. A bore (7) extends through the cylindrical member for passage of chips therethrough and a heel portion (10) follows the forward cutting edge (9) for engaging and finishing the kerf. The chain saw device, while particularly designed for use in cutting wood, is also adapted for cutting minerals and other materials.

SAMPLE PUBLISHED INTERNATIONAL APPLICATION

This Appendix contains a sample of a published international application, prepared in accordance with the principles set out in the Guidelines. Since this sample illustrates, among other things, the numbering system proposed for the pages of the pamphlet, the pages of the sample have been numbered according to this numbering system. For the sake of clarity, the current page numbering used throughout the present document has not been applied to this Appendix.

It should be noted that the sample application used in this Appendix, being one of those applications used in the framework of the simulated test program of the PCT procedure, contains certain defects (e.g., headings which do not comply with Section 205 of the Administrative Instructions). One of these defects (disparaging statement) has been omitted by the International Bureau in accordance with Article 21(6) and PCT Rule 9.1(iii).



INTERNATIONAL PUBLICATION
under the Patent Cooperation Treaty
(PCT)

(51) International Patent Classification :

B23K 37/04

INTERNATIONAL PUBLICATION

(11) Number : **WO 76/00023**

(43) Date : 26 July 1976

(21) Int. Appl. No : PCT/JA76/00002
(22) Int. Filing Date : 14 January 1976
(31) Priority Appl. No : 618,901
(32) Priority Date : 20 January 1975
(33) Priority Country : US

(60) Parent Appl. or Grant

(61) Related by addition :

(63) Related by continuation: Appl.
No. 543,210, filed on 16 December
1974 (US)

Published with : INTERNATIONAL SEARCH
REPORT

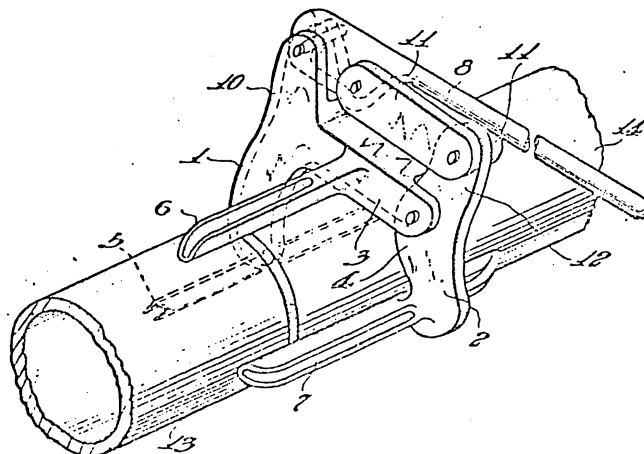
(71) Applicant : TUROWSKI, Mary, 1600 S.
Eads Street, Arlington, Virginia
22202, United States of America

(72) Inventor : Applicant is also the
inventor

(74) Agent :

() Designated States : CH,DT,GB,JA,OE,
SU,SW,US.

(54) Title : A SELF-LOCKING PIPE CLAMP FOR FIELD WELDING



(57) Abstract

The object of the invention is to provide a self-locking welding clamp which makes two pipes be in axial alignment.

Said clamp has a pair of clamping members (1 and 2) pivotally connected to each other at intermediate portions by means of a bar (3) and an enlarged portion (4) of the member (2), and a lever (8) pivotally connected to the upper end (10) of the member (1) and also connected at an intermediate portion by means of two links (11) to the upper end (12) of the other member (2).

The other object is to provide the method of welding two pipes by using said clamp where the clamp is placed over the pipes (13 and 14) then is actuated to grip them. After that the pipes are tack-welded at several points around the circumferences. The weld around the circumferences of the joint is completed after removing the clamp.

A Self-locking Pipe Clamp for Field Welding

Technical Field

My invention relates to pipe clamps and particularly to clamps that are employed in connection with the field welding of pipes of pipe lines for oil, gas or
5 water.

In the operation of welding pipes and particularly by means of butt welds, it is very essential that the pipes be in axial alignment in order that the ends may be in proper position for a weld of uniform width
10 and depth. Such precautions are necessary to prevent imperfect welds such as may be caused by misalignment of the pipe or variations in the distance between adjacent surfaces to be welded.

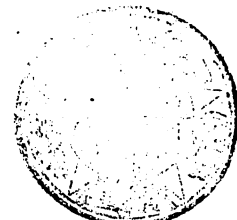
15 Background Art

4,567,891

The prior art, U.S. Patent No. $\sqrt{\quad}$, provided for a pair of clamping members wherein one clamping member has a slot therein for inserting the other clamping member there through without a self-locking device.
20 Pressure must be constantly applied to the pair of clamping members in order to hold the pipe firmly while welding.

[Part .. 23 words .. omitted by the International Bureau under Article 21(6) and PCT Rule 9.1(iii)]

25 In accordance with the present invention, I provide a pipe clamp consisting of a unitary mechanism having



relatively movable parts that may be actuated to open position to receive pipes therein and which may be locked in their closed or clamping positions. The actuating means for the clamping members positively
5 open the latter and also lock them in their clamping positions.

My improved clamp possesses the advantage that the pivotal connections of the clamping members are adjacent the actuating mechanism and all of the clamp
10 may be placed in position and operated entirely from the upper and therefore easily accessible portions of the clamp.

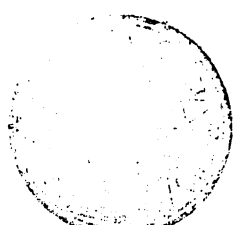
The clamp members are positively actuated to their open and their closed or clamping positions and they
15 are positively locked in clamping position by means of the toggle mechanism. The latter feature is of particular advantage and is a distinct improvement over certain prior art devices in which it has been
20 necessary for the operator to hold the actuating lever in clamping position until the welding operation has proceeded to a point at which the clamp might be released.

Brief Description of Drawings

25 The details of my invention will be described in connection with the accompanying drawing, in which Fig. 1 is a view in side elevation with the clamping members in their extended or open positions; Fig. 2 is a perspective view of the pipe clamp in engagement
30 with the end portions of two aligned pipes.

Disclosure

Referring to the drawing, a pipe clamp constructed in accordance with my invention comprises two clamping



members 1 and 2 that are pivotally connected at intermediate portions by means of a bar 3 that is integral with the member 1 and is pivotally connected to an enlarged portion 4 of the member 2. The members 1 and 2 are oppositely curved below their pivotal connection in order that they may enclose opposite sides of pipes that may be therebetween.

The curved member 1 is provided with two transversely extending members 5 and 6 that are of angular cross-section for engaging the sides of aligned pipes. The member 2 is provided with a similar transverse member 7, the members 5, 6 and 7 extending along lines that are equally angularly spaced from each other when the clamp is in operating position.

The upper ends of the clamping members 1 and 2 are connected by a lever 8 that is pivotally connected to an extension 10 integral with the clamping member 1 and which is connected at an intermediate portion by means of two links 11 to an extension 12 integral with the clamping member 2.

When the lever 8 is in its uppermost position as shown in Fig. 1 the upper ends of the clamping members 1 and 2 are drawn together by the lever 8 and the links 11 to extend the curved portions of the clamping members 1 and 2 to their fully open positions when it is desired to place the clamp over the ends of aligned pipes for field welding.

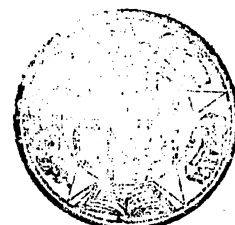
In the application of my improved clamp, sections of pipes are placed along the side of a ditch in which they are to be laid and the sections to be welded are usually mounted upon suitable supports in order that the welding operation may occur at a convenient distance above the ground.



The pipes to be welded are placed end-to-end, closely adjacent and in substantial alignment. The clamp in its open position, as illustrated in Fig. 1, is then placed over the pipes to enclose them at their ends in such manner that the beveled edges thereof are exposed. The lever 8 is then actuated downwardly to cause the links 11 to separate the projections 10 and 12 of the clamping members 1 and 2 to thereby cause the latter to tightly grip the pipes 13 and 14 at their adjacent ends by means of the transverse members 5, 6 and 7. The lever 8 and the links 11 constitute a toggle which is then in its locked position.

The ends of the pipes and the clamp then occupy the positions shown in Fig. 2. Since the members 5, 6 and 7 extend along the sides of the pipes and the members 5 and 7 are less than 180° from each other, the pipes are tightly held in axial alignment and the edges of the ends thereof are in accurate position for welding. Also if the pipes have been somewhat deformed from a circular cross-section the clamp will operate to correct the shape of the pipe for welding purposes.

While the pipes are held in this position by the clamp, the abutting or slightly spaced edges are temporarily welded or "tack" welded at several points around the circumference of the joint in order to hold them securely in position for the permanent weld after the clamp has been removed. The welding seam is then completed, the pipes being rolled on the horses as may be necessary to expose the entire circumference of the joint at the ends of the pipes, and the operation is thereby completed.



The foregoing and other advantages are obvious to those skilled in the art of welding pipes and the manipulation of clamps therefor.

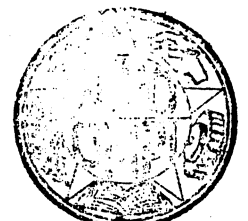


Claims

1. A pipe clamp comprising: two oppositely curved members hingedly connected at the adjoint ends, each of said members being provided with means comprising at least one transverse element for
5 engaging the sides of two aligned pipes, each of said members having portions projecting beyond their hinge connection and a lever pivotally connected to one of the projecting portions, said lever having a toggle pivotally connected
10 to the other projecting portion.
2. The pipe clamp of claim 1 wherein one of said members is provided with at least two transverse elements.
15
3. The pipe clamp of claim 1 or 2 wherein said toggle consists of two toggle links.
4. The pipe clamp of claim 1, 2 or 3 wherein said
20 transverse elements have an angular cross-section as illustrated in figure 1 of the drawings.
5. A pipe clamp having two oppositely curved members hingedly connected at adjacent ends of the curved
25 portions, each of said members being provided with



- means for engaging the sides of two aligned pipes at spaced intervals wherein the improvement comprises: providing each of said members with portions projecting beyond their hinge connection and a lever pivotally connected to one of the projected portions, said lever having a toggle pivotally connected to the other projecting portion.
- 5
- 10 6. The method of welding two pipes in end-to-end alignment comprising, placing a clamp over the pipes, actuating the clamp to grip the pipes, tack welding the pipes at several points around the circumference, removing the clamp and completing the weld around the circumference of the joint.
- 15



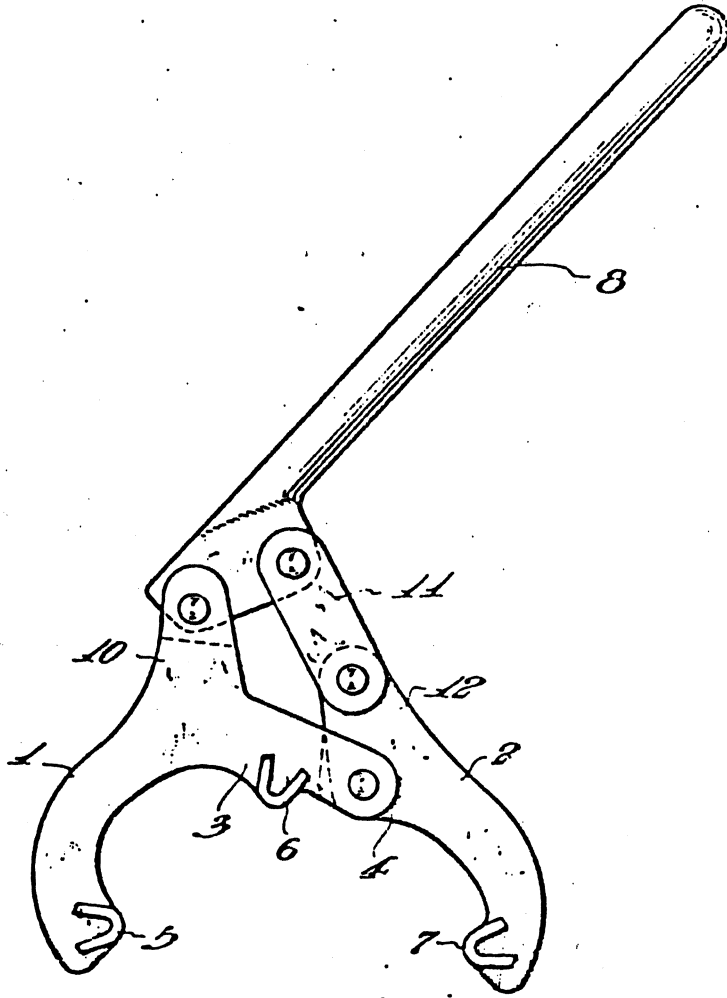


Fig. 1

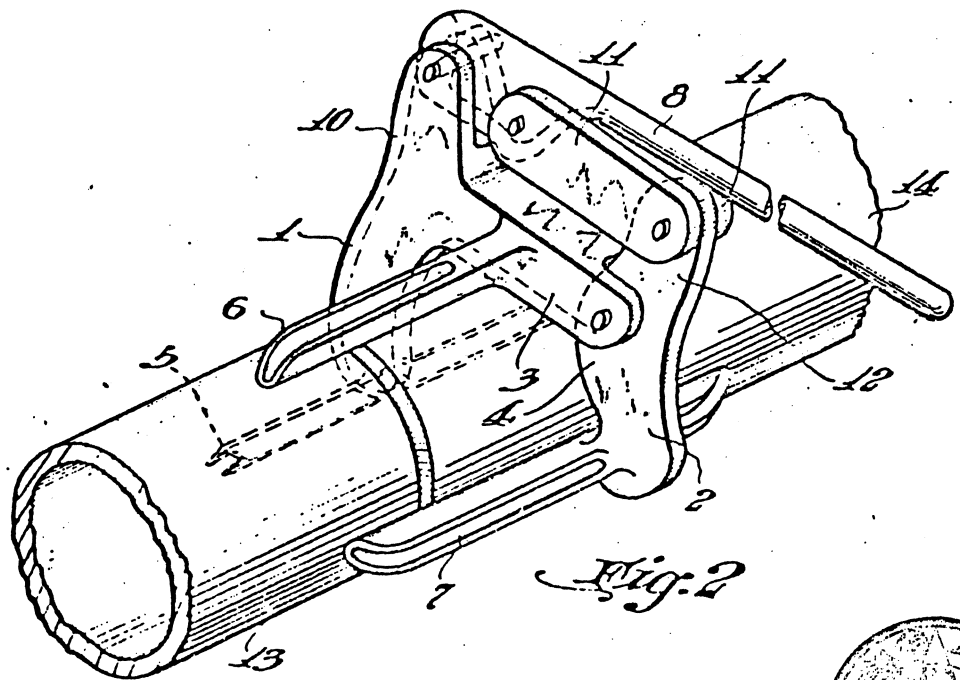


Fig. 2



Abstract

A self-locking pipe clamp having a lever (8), a pair of clamping members (1 and 2) and links (11). Each clamping member (1 and 2) has an extension (10 or 12) attached near the upper end and at least one
5 transverse extending member (5 or 7) attached near the bottom. The upper ends of clamping members (1 and 2) are connected by the lever (8) which is pivotally connected to extension (10) integral with clamping member (1) and which lever (8) is connected
10 at an intermediate portion by means of two links (11) to extension (12) integral with clamping member (2).



**PATENT COOPERATION TREATY
INTERNATIONAL SEARCH REPORT**

IDENTIFICATION OF INTERNATIONAL APPLICATION	
International Application No. ¹ <p style="text-align: center;">PCT/JA76/C0002</p>	International Filing Date ¹ <p style="text-align: center;">1976 January 14</p>
Receiving Office ¹ <p style="text-align: center;">RC/JA</p>	Priority Date Claimed ² <p style="text-align: center;">1975 January 20</p>
Applicant ¹ <p style="text-align: center;">Turowski, Mary</p>	

I. CLASSIFICATION OF SUBJECT MATTER (if several classification symbols apply, indicate all) ³
According to International Patent Classification (IPC) or to both National Classification and IPC <p style="text-align: center;">B23K 37/04</p>

II. FIELDS SEARCHED	
Minimum Documentation Searched ⁴	
Classification System	Classification Symbols
IPC JPC	B23K 37/00, 37/04, B25B 5/12, 5/00, 13/40 12B1, 10, 106.3, 2, 27 76B6, 62, 64
Patent Documentation Searched other than Minimum Documentation ⁵	
Utility Models, Japan, 1900-1976, Japanese Patents, Japan, 1900-1919, Japanese	

III. TITLE, ABSTRACT AND FIGURE OF DRAWING
1. The following indicated items are approved as submitted by the applicant: ⁶ <input type="checkbox"/> Title. <input type="checkbox"/> Abstract.
2. The texts established by this International Searching Authority of the following indicated items are set forth on a supplemental sheet: ⁶ <input type="checkbox"/> Title. <input checked="" type="checkbox"/> Abstract.
3. <input type="checkbox"/> This report is incomplete as far as the abstract is concerned as the time limit for comments by the applicant on the draft prepared by this International Searching Authority has not expired. ⁷
4. The figure of the drawings indicated below is to be published with the abstract: ⁸ <input type="checkbox"/> Figure No. as suggested by the applicant. ⁹ Figure No. <u>2</u> because: <input type="checkbox"/> applicant failed to suggest a figure. ¹⁰ <input checked="" type="checkbox"/> this figure better characterizes the invention. ¹⁰

IV. <input type="checkbox"/> UNITY OF INVENTION IS LACKING ¹¹ (Observations on supplemental sheet)

V. <input type="checkbox"/> CERTAIN CLAIMS WERE FOUND UNSEARCHABLE ¹² (Observations on supplemental sheet)

This International Searching Authority has established the following text of the:

- Title.
 Abstract.

ABSTRACT:

The object of the invention is to provide a self-locking welding clamp which makes two pipes be in axial alignment.

Said clamp has a pair of clamping members(1 and 2.) pivotally connected to each other at intermediate portions by means of a bar(3) and an enlarged portion(4) of the member(2), and a lever(8) pivotally connected to the upper end(10) of the member(1) and also connected at an intermediate portion by means of two links(11) to the upper end(12) of the other member(2).

The other object is to provide the method of welding two pipes by using said clamp where the clamp is placed over the pipes(13 and 14) them is actuated to grip them. After that the pipes are tack-welded at several points around the circumferences. The weld around the circumferences of the joint is completed after removing the clamp.

VI. DOCUMENTS CONSIDERED TO BE RELEVANT ¹⁵		Page ...
Category *	Citation of Document, ¹⁷ with Indication, where appropriate, of the relevant passages ¹⁸	Relevant to Claim No. ¹⁹
G	SU, A 299322 Published 1971 July 27	1
G	US, A 340072 Published 1962 August 10	1
G	US, A 3619891 Published 1971 November 16	1
G	SU, A 401460 Published 1974 March 2	1
X	JA, Y 34-6199 Published 1959 April 25	1, 3, 5
X	JA, A 50-154134 Published 1975 December 24	1
G	JA, U 50-77419 Published 1975 July 5	1
	JA, Y 43-30029 Published 1968 December 9	2
	JA, A 49-91935 Published 1974 September 3, see page 1 column 2 lines 11 to 14	2
G	N Welding Design & Fabrication, Volume 48, no. 6 issued 1975 July (Guildford Surrey GB), see the figure on page 58.	1
G	N Welding Design & Fabrication, Volume 78, no. 12 issued 1975 December (Guildford Surrey GB), see the figure on page 76.	1

* Categories of cited documents: ¹⁶ "X" (document of particular relevance); "O" (document referring to an oral disclosure, use, exhibition, or other means); "E" (earlier document but published later than the international filing date); "G" (document defining the general state of the art); "P" (document published prior to the international filing date but later than the priority date claimed).

VII. CERTIFICATION	
Date of the Actual Completion of the International Search ³	Date of Mailing of this Search Report ²
1972 April 19	
International Searching Authority ¹	Signature of Authorized Officer ²⁰
ISA/JA	<i>Tomoyasu Nagasaka</i>

GAZETTE OF INTERNATIONAL PATENT APPLICATIONS

Section 1

(51) International Patent Classification: **INTERNATIONAL PUBLICATION**
 a27b 33/02 (11) Number: **WO 76/12348**
 (43) Date: 14 July 1975

(21) Int. Appl. No.: PCT/GB75/61234 (71) Applicant: THAMES Ltd., 34 South Bank Street, Chiswick, London S.W.2, United Kingdom - Tel:01-28-29
 (22) Int. Filing Date: 10 January 1975 (72) Inventor: MOORE, Harry, 27 Victoria Street, Chiswick, London, S.W.2, United Kingdom - Tel:01-72-69-43
 (31) Priority Appl. No.: 53762/74 (32) Priority Date: 14 January 1974 (33) Priority Country: GB (X) Agent: JONES, Peter, 179 Richmond Hill Richmond, London S.W.4, United Kingdom - Tel:01-29-64-32

(60) Parent Appl. or Grant (61) Related by addition: (63) Related by continuation:

Published with: INTERNATIONAL SEARCH REPORT, AMENDED CLAIMS AND STATEMENT

(54) Title: CUTTING SECTION FOR CHAIN SAWS

(57) Abstract
 A chain saw device, comprising a cutting tooth having a planar base plate(1) with an aperture(2) therein for attachment to a power-driven chain. A pilot block(11) depends from the leading edge of the plate and a cylindrical member(6) from the trailing edge of the plate with its longitudinal axis inclined upwardly and rearwardly. The cylindrical member has a sharpened, arcuate, forward edge(9) for cutting a kerf. A bore(7) extends through the cylindrical member for passage of chips therethrough and a heel portion(10) follows the forward cutting edge(9) for engaging and finishing the kerf. The chain saw device, while particularly designed for use in cutting wood, is also adapted for cutting minerals and other materials.

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GAZETTE OF INTERNATIONAL PATENT APPLICATIONS

Section 4

INDEX

International Application Numbers
with corresponding
International Publication Numbers

International Application Numbers	International Publication Numbers	International Application Numbers	International Publication Numbers
AG PCT/AG75/00123	WO 76/10032		
PCT/AG75/00124	WO 76/10235		
PCT/AG75/00125	WO 76/10335		
PCT/AG75/00126	WO 76/10392		
PCT/AG75/00127	WO 76/10399		
PCT/AG75/00128	WO 76/10412		
AR PCT/AR75/00232	WO 76/10033		
PCT/AR75/00233	WO 76/10052		
PCT/AR75/00234	WO 76/10087		
PCT/AR75/00235	WO 76/10122		
PCT/AR75/00236	WO 76/10132		
PCT/AR75/00237	WO 76/10149		
PCT/AR75/00238	WO 76/10158		
AU PCT/AU75/00301	WO 76/10034		
PCT/AU75/00302	WO 76/10053		
PCT/AU75/00303	WO 76/10236		
PCT/AU75/00304	WO 76/10248		
PCT/AU75/00305	WO 76/10346		
PCT/AU75/00306	WO 76/10408		
PCT/AU75/00307	WO 76/10413		
PCT/AU75/00308	WO 76/10427		

GAZETTE OF INTERNATIONAL PATENT APPLICATIONS

Section 4

INDEX

International Publication Numbers
according to
Designated States

AG ALGERIA			
WO 76/10032			
WO 76/10033			
WO 76/10035			
WO 76/10235			
WO 76/10335			
WO 76/10392			
WO 76/10399			
WO 76/10412			
AR ARGENTINA			
WO 76/10033			
WO 76/10035			
WO 76/10037			
WO 76/10052			
WO 76/10087			
WO 76/10122			
WO 76/10132			
WO 76/10149			
WO 76/10158			
WO 76/10248			
WO 76/10427			
AU AUSTRALIA			
WO 76/10034			
WO 76/10053			
WO 76/10122			
WO 76/10238			
WO 76/10248			
WO 76/10346			
WO 76/10408			
WO 76/10413			
WO 76/10427			

GAZETTE OF INTERNATIONAL PATENT APPLICATIONS

Section 4

INDEX

Names of Applicants
and corresponding
International Application Numbers
of Published International Applications

Names of Applicants	International Application Numbers	Names of Applicants	International Application Numbers
ABBOT LABORATORIES ADAMS, Robert ADVANCE DRAINAGE SYSTEM AGENCE NATIONALE DE VALORISATION DE LA RECHERCHE AJINOMOTO Co, Inc. AMSTED-SIEMAG KETTE G.m.b.H. ARBENZ, Heinz and BAUMGARTNER, Werner BABCOCK & WILCOX Co BADISCHE ANILIN BEAUDETTE, Charles BELGIORNO, Carlo BENFORD, James Nelson BURUNOV, Vladimir BUSNELL LABORATORIES CALDWELL, John	PCT/US75/12345 PCT/GB75/23568 PCT/US75/12352 PCT/FR75/02468 PCT/JA75/03874 PCT/DT75/01282 PCT/CH75/05002 PCT/US75/02471 PCT/DT75/03958 PCT/FR75/04721 PCT/IT75/00283 PCT/GB75/08931 PCT/SU75/24891 PCT/GB75/09832 PCT/GB75/09833 PCT/GB75/09834 PCT/US75/12372		

[End of Appendices]
[End of Document]

[Fin des appendices]
[Fin du document]