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WORLD INTELLECTUAL PROPERTY ORGANIZATION  
UNITED INTERNATIONAL BUREAUX FOR THE PROTECTION OF INTELLECTUAL PROPERTY  
GENEVA

## PATENT COOPERATION TREATY

INTERIM COMMITTEE FOR TECHNICAL COOPERATION

STANDING SUBCOMMITTEE

(Fourth Session, Geneva, April 25 to 30, 1973)

EXPLANATORY NOTES AND REFERENCES  
ON THE CONTENTS OF THE FORMS  
ATTACHED TO THE DRAFT  
PCT ADMINISTRATIVE INSTRUCTIONS

prepared by the International Bureau

### SUMMARY

This document contains a first draft of the explanatory notes and references on the contents of the Forms to be employed by the International Authorities under Chapters I and II of the PCT.

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INTRODUCTION

Purpose of this document

1. The purpose of this document is to supplement document PCT/TCO/SS/IV/2 (Draft Forms Under the PCT Administrative Instructions) with explanations on the contents of the Forms and with references to the relevant provisions of the PCT Articles, Rules and Administrative Instructions upon which such contents are based.

Construction of this document

2. This document has been drafted in four parts with each part pertaining to the Forms employed by a particular International Authority (Receiving Office (RO), International Searching Authority (ISA), International Bureau (IB), or International Preliminary Examining Authority (IPEA)). The particular Form to which the explanations and references pertain is identified by its numerical designation (e.g. PCT/RO/101) and the contents of this Form can be found under the same numerical designation in document PCT/TCO/SS/IV/2.

3. In general, this document provides explanations and references only where such facilitates the understanding of the contents of any given Form. These explanations and references are set forth as general comments pertaining to the nature of any given Form and as specific comments pertaining to particular items of content of the Form.

4. It is to be noted that in certain instances incomplete references are made to sections of the Administrative Instructions. This has been necessary as that document is presently under revision for presentation to the next meeting of the Interim Advisory Committee for Administrative Questions. After revision of the Administrative Instructions is completed, such references in this document will be clarified.

Common Features

5. Generally the contents of the Forms have been constructed with certain common features.

6. Provision has been made for the indication of a reference number (REFERENCE NO.). Its purpose is to assist the Authority in establishing a method of recording in its files any communications relating to an international application and to facilitate processing, where, for instance, the reference number of a communication is cited in a reply received from the Applicant.

7. The indication of the DATE OF MAILING has been provided for in the Forms. This date is very important as the calculation of time limits under the PCT is based upon the date of sending of any communication starting a time limit (e.g. Article 22(2), Rule 51.1).

8. The IDENTIFICATION OF INTERNATIONAL APPLICATION has generally been provided for through the indication of the name of the applicant, and the number and filing date of the international application, except where an application has the status of a purported international application, e.g. Form PCT/RO/103. For certain communications, the applicable provision of the PCT requires certain additional indications (e.g. the priority date claimed, the name of the Receiving Office, etc. see Rule 24.2). The name of the applicant to be used for identification purposes where there are several applicants is to be regulated in the Administrative Instructions.

9. A TITLE has been provided for each Form. The title is accompanied by a reference placed between parentheses to the most pertinent provisions of the PCT or Regulations under the PCT upon which the contents of the Form are based.

10. A rectangular space has been provided in the upper left corner of the Forms for the ADDRESSING of the communication. The address to be used for communication purposes in the case of the applicant, particularly where agents or several applicants are involved, is to be regulated by the Administrative Instructions.

11. The indication of the RECIPIENTS, that is the Applicant and/or the Authorities to whom any given Form is communicated has been provided for as has been the indication of and the AUTHENTICATION by the Authority communicating the Form.

12. The contents of the Forms follow the usual practice that, wherever appropriate, a word used in the singular stands also for the plural.

13. The Standing Subcommittee is invited to examine and comment on the draft explanatory notes and references which are contained in this document.

I. FORMS TO BE EMPLOYED BY THE RECEIVING OFFICE.

PCT/RO/101

This Form is included in the list of Receiving Office Forms, even though it originates with the applicant, since it is primarily that Office which performs the checks to determine whether the information set forth conforms to the requirements of the PCT.

The information contained in this Form, other than the information contained in the boxes appearing on page 1 which is expressly indicated to be filled in by the Receiving Office or the International Bureau, is to be filled in by the applicant.

This Form is constructed to allow for incorporation of a Supplementary Sheet containing additional space for information pertaining to additional applicants, inventors, agents or priorities or due to the indication of different applicants or inventors for different designated States.

Check List

As to item A, see Rule 3.3(a)(i). A primary purpose of determining the number of sheets is to calculate the basic fee part of the international fee, see item 3, sub-item A of Form PCT/RO/102.

As to item B, see Rule 3.3(a)(ii). As to the manner in which the Receiving Office indicates that more than one of any particular type of document accompanies the international application (e.g. priority documents where multiple priority claims have been made), see Section \_\_\_\_\_ of the Administrative Instructions.

As to item C, see Rule 3.3(a)(iii). The International Searching Authority examines item C, see item V of Form PCT/ISA/210.

Except for item C, the check list will be filled in by the Receiving Office if applicant fails to do so, see Rule 3.3(b). Where the Receiving Office has filled in any items in the check list, it indicates this fact in the margin, see Section \_\_\_\_\_ of the Administrative Instructions.

Dates to be filled in by the Receiving Office

As to item 1, see Rule 20.1(a).

As to item 2, see Rule 20.2(a).

As to item 3, see Article 11(2)(b). See also Form PCT/RO/103, Invitation to Correct.

The international filing date, if accorded, will be the date under items 1 to 3 which is applicable. See Form PCT/RO/105, notifying that an international filing date has been accorded. See also Rule 20.5(a) in regard to stamping of the name of the Receiving Office and the words "PCT International Application."

Date to be filled in by the International Bureau

See Rule 24.1. As to the place on all sheets where the stamp of the International Bureau is to be marked, see Section \_\_\_\_\_ of the Administrative Instructions.

Title of Invention

See Rules 4.1(a)(ii) and 4.3.

### Applicant

See Rules 4.1(a)(iii) and 4.5. See Rule 4.4 as to the manner of indicating names and addresses. Note that the indications of the telephone and telegraphic address are recommended but not mandatory.

Any transliteration or translation, where applicable, of the name, address, or name of country is to also be indicated, see Rule 4.16.

### Inventor

See Rules 4.1(a)(v) and 4.6. As to the indication that the applicant is also the inventor, see Rule 4.6(b).

As to the manner of indicating names and addresses and, where applicable, the transliteration or translation of such, see the above notes concerning the Applicant.

### Agent

See Rules 4.1(a)(iii) and 4.7. Note that an agent may be designated in the request (by indicating his name and address in the space provided) or may be designated in a separate power of attorney (which may accompany the filing of the international application, see sub-item 1 under item B in the Check List on this Form), see Rule 90.3(a).

In the case where there are several applicants, the designation (i.e. appointment) of the agent (or agents) is to be signed by all applicants, see Rule 90.3(a), and the agent (or agents) is consequently considered as the common agent (or common agents).

Note that acts under Rule 90.2(c), e.g. communications, will be taken by the International Authorities in relation to the common agent which is first mentioned (in the case where more than one common agent is designated), see Section \_\_\_\_\_ of the Administrative Instructions.

Section \_\_\_\_\_ of the Administrative Instructions applies also to acts under Rule 90.2(c) taken by the International Authorities in relation to the agent which is first mentioned in the case where there is only one applicant but he designates several agents.

As to the manner of indicating names and addresses and, where applicable, the transliteration or translation of such, see the above notes concerning the Applicant.

### Designation of States

As to the order of preference of designations in regard to the treatment of designation fees, see Rule 15.5(b).

As to the name of any designated State, see Rule 4.9 and Section 103 of the Administrative Instructions.

As to the words, "regional patent" to indicate the wish to obtain a regional patent, see Article 4(1)(ii), Rule 4.1(b)(iv), and Section 105 of the Administrative Instructions.

As to the choice of protection other than a national patent, see Articles 43 and 4(3), Rules 4.1(b)(iii), 4.12(a), and Section 104(a) of the Administrative Instructions and as to the choice of protection in addition to a national patent, see Article 44, Rule 4.12(b) and Section 104(b) of the Administrative Instructions.

### Priority Claim

See Rules 4.1(b)(i) and 4.10(a)(i) to (iv).

Patent Application or Grant

See Rules 4.1(b)(v), 4.13 and 4.14.

Earlier International or International-Type Search

See Rules 4.1(b)(ii) and 4.11. The reference to Receiving Office is applicable to the situation where the earlier search was an international search and the Receiving Office is either a national Office or an intergovernmental organization.

The Reference to a Supplementary Sheet

An indication should be made in the box provided when the additional information contained in the Supplementary Sheet is to be incorporated by reference into the request.

Petition

As to the petition, see Article 4(1)(i) and Rules 4.1(a)(i) and 4.2.

Signature of Applicant

As to the signature, see Rules 4.1(d) and 4.15. Note that under Rule 2.1 the reference to "applicant" means also the agent. Consequently, the agent may sign the request in lieu of the applicant provided that the agent has been designated in a separate signed power of attorney since where the agent is first designated in the request, the request must be signed by the applicant, see Rule 90.3(a).

Note also under Rule 90.3(a) that, in the situation where there are several applicants who do not designate a common agent, but instead designate in the request a particular applicant to act as their common representative, (see Rule 4.8(a) and item X on the Supplementary Sheet of this Form) all applicants must sign.

PCT/RO/102

This Form acknowledges receipt of the application by the Receiving Office and in respect of the required fees provides the applicant with an accounting of what payment has been made and what payment is still due within the prescribed time limits.

Transmittal Fee

The amount of and the time limit for the payment of this fee is fixed by the Receiving Office, see Rule 14.1(b).

Search Fee

The amount of the search fee is to be fixed by the International Searching Authority, see Rule 16.1(a), whereas the maximum time limit for payment is fixed in Rule 15.4(a)(i), see Rule 16.1(b).

International Fee

Item A: The amount of the Basic Fee is fixed by Rule 15.2.

Item B: Where an Article 13 copy is not required, the amount of the designation fee either for each Designated State for which a regional patent has not been sought or for each group of designated States for which a regional patent has been sought is fixed by Rule 15.2(b)(i). Where such Designated State or group of Designated States require an Article 13 copy, the fee is fixed by Rule 15.2(b)(ii).

As to the Designated States covered in their order of preference (see item V of Form PCT/RO/101) due to an insufficient payment of the amount of the designation fees, see Rule 15.5(b).

As to the coverage of all Designated States belonging to a group of States for which a regional patent is sought if an insufficient payment of the amount of the designation fees applied in the order of preference covers at least one of the Designated States belonging to this group, see Rule 15.5(c).

#### PCT/RO/103

Items 1 to 7 specify the requirements under Article 11(1)(i) to (iii) which must be fulfilled before an international filing date can be awarded, see Rule 20.6(a).

As to the time limit fixed for the filing of corrections and as to the notation that such time limit exceeds the priority year, see Rule 20.6(b).

#### PCT/RO/104

As to the refund of fees, see Rules 15.6(a) and 16.2.

Items 1 to 3 cover the various reasons for making the negative determination. Moreover, in relation to item 3, items a to g reiterate the specific requirement under Article 11(1)(i) to (iii) (see Form PCT/RO/103) which was not fulfilled.

The International Bureau is instructed in accordance with Rule 20.7(ii) through receipt of a copy of this notification.

As to review, see Article 25(1)(c) and Rule 51.1, concerning the time limit for submitting the request for the forwarding of copies of documents and, see Article 25(2)(a) and Rule 51.3 concerning the time limit for paying national fees and providing translations.

#### PCT/RO/105

This Form is communicated when the Receiving Office, in making the Article 11(1) check, finds that the application fulfilled the requirements either at the time of filing or after timely receipt of corrections (see Form PCT/RO/103).

#### PCT/RO/106

This Form is constructed so that items 1 to 3 cover the defects stated in Article 14(1)(a)(i) to (v). Item 3 makes reference to the two separate annexes, the first of which covers the defects in the text matter and the other of which covers the defects in the drawings.

See Forms PCT/ISA/215 and PCT/IB/313 which are similar to this Form and which are employed under Rule 28.1(a) by the International Searching Authority and the International Bureau, respectively, to notify the Receiving Office of Article 14(1)(i), (ii) or (v) defects.

#### Item 1:

As to the items pertaining to the applicant, see the notes to Form PCT/RO/101 under Applicant and Signature of Applicant.

#### Item 2:

Note that a copy of this Form is to be notified to the International Searching Authority only in respect of a missing title or abstract, see Rule 26.1(b).

Item 3:

See Rule 26.3 for conditions of compliance with prescribed physical requirements.

As to the time limit for correction to be fixed by the Receiving Office, see Rule 26.2.

Notice of Defects in the Text Matter

Item I: As to admitting of direct reproduction, see Rule 11.2(a).

As to commencing on a new sheet, see Rule 11.4(a).

Item II: As to a, see Rule 11.2(b)  
b, see Rule 11.2(d)  
c, see Rule 11.2(c)  
d, see Rule 11.3  
e, see Rule 11.4(b)  
f, see Rule 11.5  
g, see Rule 11.6  
h, see Rule 11.7  
i, see Rule 11.9  
j, see Rule 11.10  
k, see Rule 11.12  
l, see Rule 11.12  
m, see Rule 11.13(1)

Notice of Defects in the Drawings

Item I: As to a, see Rule 11.2(b)  
b, see Rule 11.2(c)  
c, see Rule 11.3  
d, see Rule 11.4(b)  
e, see Rules 11.5, 11.6(a) and (c)  
f, see Rule 11.6(c)  
g, see Rule 11.7  
h, see Rule 11.12

Item II: As to a, see Rule 11.2(a)  
b, see Rule 11.11(a)  
c, see Rule 11.11(b)  
d, see Rule 11.13(a)  
e, see Rule 11.13(b)  
f, see Rule 11.13(c)  
g, see Rule 11.13(d)  
h, see Rule 11.13(e)  
i, see Rule 11.13(f)  
j, see Rule 11.13(g)  
k, see Rule 11.13(h)  
l, see Rule 11.13(h)  
m, see Rule 11.13(i)  
n, see Rule 11.13(j)  
o, see Rule 11.13(k)  
p, see Rule 11.13(k)  
q, see Rule 11.13(l)  
r, see Rule 11.13(m)

PCT/RO/107

This Form concerns only the notification of drawings which were referred to but were not included in the international application.

As to the Identification of International Application, it is noted that the award of an international filing date under Article 11(1) is not dependent upon the inclusion of drawings. However, any international filing date awarded will be post-dated upon the timely submission of the referred to but missing drawings.



As to the time limit for submission of the drawings, see Rule 20.2(a)(iii). The receipt of this notification has no effect on the prescribed time limit, see Rule 26.6(b).

PCT/RO/108

This Form parallels Form PCT/ISA/216 employed by the International Searching Authority, Form PCT/IB/314, employed by the International Bureau, and Form PCT/IPEA/411 employed by the International Preliminary Examining Authority.

By way of example, in identifying the document containing the error the Receiving Office should specify ... "page 5, line 2 of the description appears to be in error in that, etc.". Further, by way of example, the name of the Authority to which the request for rectification is to be submitted should be specified ... "International Searching Authority".

The identification of the document containing the error and consequently the Authority to which the request for rectification should be submitted implements Rule 91.1(e).

PCT/RO/109

This Form parallels Form PCT/ISA/217 employed by the International Searching Authority, Form PCT/IB/315 employed by the International Bureau, and Form PCT/IPEA/214 employed by the International Preliminary Examining Authority.

As to item a, a copy of this Form is to be communicated to the International Bureau only in the case where one of the other Authorities authorizes rectification, see Rule 91.1(h). The rectification which has been authorized should be specified in the manner set forth in the example given in the above notes to Form PCT/RO/108. See Section \_\_\_\_\_ of the Administrative Instructions as to the notification to the applicant of the authorization for rectification.

As to item b, see Section \_\_\_\_\_ of the Administrative Instructions regarding notification of the denial of the rectification. See Rule 91.1(b) for the reasons to be specified why rectification should be denied.

PCT/RO/110

This Form parallels Form PCT/IB/317 employed by the International Bureau.

As to the indication in the request of the date of filing of the earlier application, see item VI of Form PCT/RO/101.

The particular priority claim where multiple priorities have been claimed should be identified in the manner in which it was identified in the request, (i.e., country, filing date and application number).

PCT/RO/112

This Form parallels Form PCT/ISA/218 employed by the International Searching Authority.

Items a to e identify not only the type of expression to be included under Rule 9.1 but also the place in the text or drawings where such expression is set forth.

PCT/RO/113

See Form PCT/IB/306 which is based upon this Form and which is employed by the International Bureau.

As to item a, the Receiving Office is to specify the person, name, or address of the applicant as it is presently recorded in the file of the international application, whereas as to item b, the changes in the person, name, or address to be recorded are to be specified.

As to the requirement concerning a change in the address of the applicant, see Section 206 of the Administrative Instructions.

PCT/RO/114

This Form would only be employed by a Receiving Office which has undertaken to provide for the alternative procedure under Rule 22.2.

PCT/RO/115

See Forms PCT/ISA/209 and PCT/IB/321 which are similar to this Form and which are employed by the International Searching Authority and the International Bureau respectively, to call the attention of the Receiving Office to the fact that Article 11(1) requirements have not been complied with.

Items 1 to 7 set forth the requirements under Article 11(1)(i) to (iii).

Where arguments are not timely found persuasive, see item 3 of Form PCT/RO/117.

PCT/RO/116

As to the payment of the required designation fees, see item 3B of Form PCT/RO/102.

See Form PCT/IB/324 which is similar to this Form and which is employed by the International Bureau to notify the Designated Offices.

As to review, see the notes in respect of Form PCT/RO/104.

PCT/RO/117

This Form covers the three provisions under which the Receiving Office can declare the international application to be considered withdrawn.

As to the similar Form with which the International Bureau notifies the Designated Offices, see Form PCT/IB/325.

Item 1:

As to the invitation to correct under Article 14(1)(b), see Form PCT/RO/106.

Item 2:

As to the invitation to submit the required payment, see Form PCT/RO/102.

Item 3:

Before this Form can issue for the reasons under item 3, the notification of intention to declare the international application to be considered withdrawn, see Form PCT/RO/115, must first be communicated.

As to review, see the notes in respect of Form PCT/RO/104.

PCT/RO/118

This Form is designed to identify particular types of transmittals made by the Receiving Office to the International Bureau, the International Searching Authority, or the International Preliminary Examining Authority.

It is envisaged that these transmittals may be bulk-type transmittals in the sense that numerous voluminous documents, for example, record copies of international applications filed before the Receiving Office during a given period of time, are forwarded to the International Bureau in a single transmittal (e.g. weekly mailing).

The types of transmittals which can be made to the International Bureau include items 1 to 6 (applies only to the record copies in item 2). Transmittals to the International Searching Authority include item 2 (search copies), item 4 (later filed missing sheets and drawings) and item 6. Transmittals to the International Preliminary Examining Authority involve item 6.

The cover letter identifies the particular type of transmittal whereas under item a, an attached list would identify the particular documents included therein.

Item b, pertains to the transmittal of copies of purported international applications under item 1 which is made by the Receiving Office upon special request of the International Bureau. Identification of this request, see Form PCT/IB/303, is provided for here.

#### PCT/RO/119

As to the negative determination, see Form PCT/RO/104.

#### PCT/RO/120

This Form is constructed on the basis that the Receiving Office first prepares the additional copies and subsequently requests the fee due. However in respect of the preparation of additional copies both the amount of the fee and the particulars governing its payment are to be determined by the Receiving Office which shall also be responsible for employing a procedure that assures the prompt preparation of copies.

#### PCT/RO/121

This Form parallels Form PCT/IB/318 employed by the International Bureau.

As to communicating this notification to the International Searching Authority and International Bureau, see Section 202 of the Administrative Instructions.

The particular priority claim where multiple priorities have been claimed should be identified by those indications which had been given in the request.

#### PCT/RO/122

This Form serves as a cover letter (cf. Form PCT/RO/118) and is designed to identify particular types of transmittals made by the Receiving Office to the applicant upon request.

As to items a and b, see Rule 20.9. As items a and b may be subject to the payment of a fee, this Form is constructed to cover the case where the Receiving Office provides either for a procedure of prepayment or post-payment.

As to item c, see Rule 22.1(b) and 22.2(d).

As to item d, see Rule 22.1(b).

#### PCT/RO/123

This Form parallels Form PCT/IB/319 employed by the International Bureau.

#### PCT/RO/124

This Form parallels Form PCT/IB/320 employed by the International Bureau.

II. FORMS TO BE EMPLOYED BY THE INTERNATIONAL SEARCHING AUTHORITY

PCT/ISA/201

Although this is a search report established on a national application, it is performed by the competent International Searching Authority on a national application presented in the form of an international application (see Article 15(5)(c)), and, as it is expected that many of such national applications would later be submitted as international applications, this search report will serve as the basis for any refund of the search fee in the establishment of the international search report (see Rule 41). Consequently, the construction of this Form was patterned after the international search report, see Form PCT/ISA/10.

As to the reference to the request for the international-type search, see Rule 4.11.

PCT/ISA/202

If this Form is not timely received by the International Bureau, this would give rise to the procedure under Rule 23.1(b), see item 1 of Form PCT/IB/310.

Note that this Form is addressed to the Receiving Office when it is not the same office as the International Searching Authority.

PCT/ISA/203

Items a to f under item 1 set forth the categories contained in Rule 39.

As to the non-establishment of the international search report in respect of certain claims only under Article 17(2)(b), see item VII of the International Search Report Form PCT/ISA/210.

As to the time limit for furnishing copies of the international application, etc., to the Designated Offices, see Article 22(2). Note the time of the Article 20 communication is accelerated under Rule 47.1(b).

PCT/ISA/204

As to the notification from the Receiving Office that applicant has been invited to supply the missing abstract, see item 2 of Form PCT/RO/106. This Form provides that the reasons for which the abstract is found not to comply with Rule 8 are to be specified.

PCT/ISA/205

As to the invitation to comment on the suggestions made by the International Searching Authority, see Form PCT/ISA/204.

Items a to c cover the various decisions taken in establishing the definitive contents of the abstract.

PCT/ISA/206

As to specifying the reasons for non-compliance with the requirement of unity of invention, see Rule 40.1. See also Section \_\_\_\_\_ of the Administrative Instructions as to the manner of indicating the reasons.

Note that in addition to the main invention, the international search report will be established on each invention for which an additional fee is paid.

As to the time limit for payment, see Rule 40.3.

As to the notification of decision taken where the applicant pays under protest, see Form PCT/ISA/212.

PCT/ISA/207

The time limit to be fixed is that which is reasonable under the circumstances, see Rule 48.3(b).

PCT/ISA/208

As to the invitation to comment on the translation prepared under the responsibility of the International Searching Authority, see Form PCT/ISA/207.

Items 1 and 2 cover the various actions taken in respect of the comments submitted.

PCT/ISA/209

This Form parallels Form PCT/IB/321 employed by the International Bureau.

If the Receiving Office agrees with the finding, then Form PCT/RO/115 will issue, see Rule 29.4, and unless the Receiving Office changes its finding based upon arguments submitted by the applicant, then Form PCT/RO/117, specifically item 3, will issue.

PCT/ISA/210

The international search report is to be communicated to the International Bureau in conjunction with Form PCT/ISA/219 and to the Applicant in conjunction with Form PCT/ISA/220.

Identification of International Application

See Rules 43.1 and 43.2.

Classification of Subject Matter

Rule 43.3(a) states "at least" the International Patent Classification. Item 2 permits further classification of the subject matter such as its classification under national systems.

Fields Searched

As to item 1, see Rule 43.6(a).

Citations

As to the method of identifying cited documents under Rules 43.5(b) and (e) and as to the manner of indicating citations of particular relevance under Rule 43.5(c), see Section \_\_\_\_\_ of the Administrative Instructions.

Applications of Citations

See Rule 43.5(d) which is the basis for item 1 pertaining to citations relevant to all claims and item 2 pertaining to citations relevant to a particular claim or claims.

Title and Abstract

See Rule 44.2(a) as to items 1 and 2 and Rule 44.2(b) as to item 3.

As to item 4a see Rule 3.3(a)(iii) and item C of Form PCT/RO/101.

As to item 4b see Rule 8.2.

Lack of Unity of Invention

Items 1 and 3 indicate the extent of the international search due to the payment or non-payment of additional fees, see Rule 43.7.

As to item 2, see Rule 40.2(c).

Non-Establishment of International Search Report on Certain Claims

As to item 1, see Article 17(2)(b). Item 1 provides for specifying the non-searchable subject matter, see Rule 39.

As to item 2, see Article 17(2)(b). Item 2 provides for specifying the non-compliance found to exist.

As to the indication of the Date of Completion of the international search report, see Rule 43.2, as to the Identification of the International Searching Authority, see Rule 43.1, and as to the Signature of an Authorized Officer, see Rule 43.8.

PCT/ISA/211

As to the parallel Form employed by the International Preliminary Examining Authority, see Form PCT/IPEA/417. See also Form PCT/IB/322 where the International Bureau undertakes this transmittal.

As to the time limit for the request and as to the payment of a fee to cover costs, see Rule 44.3(a) and (b), respectively.

PCT/ISA/212

The protest and this decision if requested will accompany the international search report, see number 2 of item VI of Form PCT/ISA/210.

As to the reasons specified in the invitation to pay additional fees referred to in item 2a, see Form PCT/ISA/206.

PCT/ISA/213

This Form is designed to apply to a refund of the search fee based upon either a prior international or international-type search. See item VIII of Form PCT/RO/101, as to the indication in the request of a prior international or international-type search.

PCT/ISA/214

This Form parallels Form PCT/IB/323 employed by the International Bureau and Form PCT/IPEA/410 employed by the International Preliminary Examining Authority.

PCT/ISA/215

This Form parallels Form PCT/IB/313 employed by the International Bureau and except for the exclusion of the defects referred to in Article 14(1)(a)(iii) and (i) is patterned after Form PCT/RO/106. Consequently, reference should be made thereto.

PCT/ISA/216

This Form parallels Form PCT/RO/108 employed by the Receiving Office, Form PCT/IB/314 employed by the International Bureau, and Form PCT/IPEA/411 employed by the International Preliminary Examining Authority.

PCT/ISA/217

This Form parallels Form PCT/RO/109 employed by the Receiving Office, Form PCT/IB/315 employed by the International Bureau, and Form PCT/IPEA/412 employed by the International Preliminary Examining Authority.

In order to adequately inform the International Bureau, item a provides that any rectification authorized be specified.

As to item b, see Rule 91.1(c) and Section \_\_\_\_\_ of the Administrative Instructions.

PCT/ISA/218

This Form parallels Form PCT/RO/112 employed by the Receiving Office.

PCT/ISA/219

This Form is designed to identify particular types of transmittals made by the International Searching Authority to the International Bureau.

As to item 1, see Form PCT/ISA/210.

As to item 2, such transmission would be made in situations where the International Bureau and the International Searching Authority have entered into an agreement whereby the International Bureau undertakes the preparing and mailing of copies for the International Searching Authority.

PCT/ISA/220

As to the International Search Report, see Form PCT/ISA/210.

III. FORMS TO BE EMPLOYED BY THE INTERNATIONAL BUREAU

PCT Chapter I

PCT/IB/301

This Form has been designed so that the information which is sent only to the applicant is annexed to applicant's copy of this notification, see Form PCT/IB/309.

PCT/IB/302

This Form notifies the Designated Offices not only of the fact and date of receipt of the international application but also, as this is the first notification to the Designated State, of the fact of its designation.

This Form has been designed to cover the situation where a Regional Office serves as the Designated Office for a group of Designated States.

PCT/IB/303

Under Article 25(1) the applicant, after having received a negative determination under Article 11(1) from the Receiving Office, requests the International Bureau to forward to any of the Designated Offices named for their review, copies of the purported international application. As to the time limit during which the applicant must submit the request under Article 25(1), see Rule 51.1.

PCT/IB/304

The indication of the priority date claimed in the Identification of the International Application has been included, as the time limit under Rule 17.1 for receipt of the certified copy of the priority document is based upon this date.

PCT/IB/305

The indication of the priority date claimed in the Identification of the International Application has been included, as the time limit under Rule 4.10(c) for submission of the number of the earlier application is based upon this date.

PCT/IB/306

As to the change in address of the applicant, see Section 206 of the Administrative Instructions.

As to a request made by the Receiving Office, see Form PCT/RO/113.

PCT/IB/307

As to the notification of withdrawal made by applicant under Chapter II, see Form PCT/IB/339.

The indication of the priority date claimed in the Identification of the International Application has been included as the time limit for withdrawal may be based upon this date.

As to items a and b, see Rule 32.1(a).



PCT/IB/308

As to the annexed list of Designated Offices to which the Article 20 communication was effected, see item 2 of Form PCT/IB/309.

As to the receipt by the applicant of a waived Article 20 communication, see Rule 47.1(e).

PCT/IB/309

This Form has been designed with an example listing of the names of Contracting States printed thereon so that the name of the applicable State can be readily checked in conjunction with the specific purpose indicating in items 1 to 3 when this Form is annexed to Forms PCT/IB/301, PCT/IB/308 or PCT/IB/332.

Items 1 to 3 provide for communicating with a Regional Office which acts as the Designated or Elected Office for a number of Contracting States.

PCT/IB/310

This Form is designed to identify particular types of transmittals made by the International Bureau to the International Searching Authorities and Designated Offices under Chapter I and to the International Preliminary Examining Authorities and Elected Offices under Chapter II.

The type of transmittals which can be made to the International Searching Authority involve item 1. Transmittals to the International Preliminary Examining Authority include items 3 and 6. Transmittals to the Designated Office include items 2 to 5. Transmittals to the Elected Offices involve item 7.

As to the purpose of a cover letter, see the general comments on Form PCT/RO/118.

PCT/IB/311

The translation of the international application may be furnished to the Designated or Elected Office by the applicant under Article 22(1) or Article 39(1), respectively.

PCT/IB/312

As the system governing payment for copies is not regulated, this Form is presently designed to cover a system requiring payment of predetermined costs before the request is fulfilled or requiring post-payment of costs after fulfillment of the request.

PCT/IB/313

This Form parallels Form PCT/ISA/215 employed by the International Searching Authority and except for the exclusion of the defects referred to in Article 14(1)(a)(iii) and (iv) is patterned after Form PCT/RO/106. Consequently, reference should be made to this latter Form.

PCT/IB/314

This Form parallels Forms PCT/RO/108, employed by the Receiving Office, PCT/ISA/216, employed by the International Searching Authority, and PCT/IPEA/411, employed by the International Preliminary Examining Authority.

PCT/IB/315

This Form parallels Forms PCT/RO/109, employed by the Receiving Office, PCT/ISA/217, employed by the International Searching Authority, and PCT/IPEA/412, employed by the International Preliminary Examining Authority.

PCT/IB/316

This Form parallels Form PCT/RO/110 employed by the Receiving Office.

PCT/IB/317

This Form parallels Form PCT/RO/111 employed by the Receiving Office.

The particular priority claim where multiple priorities have been claimed should be identified in the manner in which it was identified in the request. (For example, if a priority claim in an international application containing multiple priorities is to be indicated in this Form as having been cancelled then that particular priority claim needs to be identified by those indications, namely, country, filing date, and application number of the priority application which were indicated by the applicant in the request.)

PCT/IB/318

This Form parallels Form PCT/RO/121 employed by the Receiving Office.

As to identification of a particular priority claim where multiple priorities have been claimed, see the notes to Form PCT/IB/317.

As to the International Bureau giving notification of a failure to meet the requirements of Rule 4.10(b), see Section 202 of the Administrative Instructions.

PCT/IB/319

This Form parallels Form PCT/RO/123 employed by the Receiving Office.

PCT/IB/320

This Form parallels Form PCT/RO/124 employed by the Receiving Office.

PCT/IB/321

This Form parallels Form PCT/ISA/209 employed by the International Searching Authority.

PCT/IB/322

This Form is patterned after a combination of Form PCT/ISA/211, employed by the International Searching Authority, and Form PCT/IPEA/417, employed by the International Preliminary Examining Authority.

This Form will be employed by the International Bureau if the International Searching Authority or the International Preliminary Examining Authority decide not to undertake this transmittal, see Rules 44.3(c) and 71.2(c) respectively.

PCT/IB/323

This Form parallels Forms PCT/ISA/214, employed by the International Searching Authority, and PCT/IPEA/410 employed by the International Preliminary Examining Authority.

PCT/IB/324

This Form covers also the situation of a Designated Office acting under a regional treaty for a group of Designated States. This Form notifies the information received by the International Bureau in Form PCT/RO/116 to the concerned Designated Offices.

PCT/IB/325

This Form notifies the concerned Designated Offices of the information received by the International Bureau in Form PCT/RO/117.

PCT/IB/326

This Form notifies the applicant, Receiving Office and International Searching Authority of the untimely receipt of the record copy and the date of such receipt, see Rule 24.2(b).

The Identification of the International Application includes the indication of the priority date as the time limit is based upon such date.

As to review, see Article 25(1)(c) and Rule 51.1 concerning the time limit for submitting the request for the forwarding of copies of documents and, see Article 25(2)(a) and Rule 51.3 concerning the time limit for paying national fees and providing translations.

PCT/IB/327

This Form parallels Form PCT/IPEA/413 employed by the International Preliminary Examination Authority.

PCT Chapter II

PCT/IB/328

This Form originates with the applicant and not with the International Bureau which is the recipient, however, as the International Bureau is the Authority which processes this Form, it is included here as an International Bureau Form.

PCT/IB/329

The construction of this Form is such that the acknowledged date of receipt is based upon that one of the three possible dates set forth which is to be checked.

As to item 2a, see Rule 57.5(b).

As to item 2b, see Rule 60.2(b).

PCT/IB/330

In addition to Rule 57.2(b), see Rules 57.3(b), (d) and 57.5 as to the time limit for payment, the method of payment, and the consequences of non-payment.

PCT/IB/331

This Form provides for the notification of an Elected Office which is a Regional Office acting for a group of Elected States.

Items a and b indicate whether the States specified were elected in either the Demand or a Later Election of States.

As to the date of receipt of the Demand and of the Later Elections, see Form PCT/IPEA/402 and Form PCT/IB/328 respectively.

PCT/IB/332

As to the annexed list, see item 3 of Form PCT/IB/309.

Any applicable Article 39(1)(b) time limits are to be indicated at the bottom of Form PCT/IB/309.

See Form PCT/IB/301 which also employs the same annex for a similar purpose.

PCT/IB/333

Items a to d list the requirement under Rule 56 governing the Later Elections.

As to item a, see Rule 56.2.

As to item b, see Rule 56.3.

As to item c, see Rule 56.1.

As to item d, see Rule 56.5.

See Later Elections Form PCT/IB/328.

PCT/IB/334

As to item a, see Rule 57.5(c) and Form PCT/IB/330.

As to item b, see Rule 60.2(c) and Form PCT/IB/333.

PCT/IB/335

The Form would be appropriate for use both in the situation where the attempted elections is made in the demand, see Form PCT/IPEA/401, as well as where the attempted elections is made subsequent to the filing of the demand under Rule 56 Later Elections, see Form PCT/IB/328.

PCT/IB/336

Items a to j enumerate the requirements of the demand under Rules 53, 54 and 55.

This Form is patterned after Form PCT/IPEA/404.

As to items a to f, see Rules 53.2(a)(i) to (iv), and 53.2(b).

As to item g, see Rule 55.1.

As to items h and i, see Rules 53.1(d) and (a), respectively.

As to item j, see Rule 54.

PCT/IB/337

As to item 1, see Rule 62.2(a).

As to items 2 and 3, see Rule 62.2(b).

PCT/IB/338

As to the number of translations made and the calculation of the required fees, see Forms PCT/IB/330 and item 2 of PCT/IPEA/403.

PCT/IB/339

As to the notification of withdrawal made by applicant under Chapter I, see Form PCT/IB/307.

The indication of the priority date claimed in the Identification of the International Application has been included as the time limit for withdrawal may be based upon this date.

As to items a and b, see Rule 75.1(a).

IV. FORMS TO BE EMPLOYED BY THE INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

PCT/IPEA/401

This Form is constructed to allow for incorporation of a Supplementary Sheet containing additional space for information pertaining to additional applicants, or agents or to the indication of different applicants or inventors for different Designated States.

As to the wording of the petition, see Rule 53.3.

As to the Identification of the International Application, see Rule 53.6.

As to item I, see Rule 53.7.

As to item II, see Rule 53.4.

As to item III, see Rule 53.5.

As to item IV, see Rule 53.8.

As to item V, see Rule 54.3.

As to the indication of the date of receipt of the Demand, see Rule 61.1(a).

PCT/IPEA/402

The construction of this Form is such that the date of receipt to be acknowledged will be based upon one of the three possible dates set forth.

As to item 2a, see Rule 57.4(b).

As to item 2b, see Rule 60.1(b).

PCT/IPEA/403

As to item 1, see Rule 58. As to the time limit, see Rule 58.1(b).

As to item 2, see Rule 57. As to the time limit, see Rules 57.3(a) and 57.4(a).

PCT/IPEA/404

Items a to j enumerate the requirements of the demand under Rules 53, 54 and 55.

See the notification Form PCT/IB/336 calling the defects to the attention of the International Preliminary Examining Authority.

As to items a to f, see Rules 53.2(a)(i) to (iv), and 53.2(b).

As to item g, see Rule 55.1.

As to items h and i, see Rules 53.1(d) and (a), respectively.

As to item j, see Rule 54.

PCT/IPEA/405

As to the requirements of unity of invention, see Rule 13.

Note that the time limit to be fixed shall be more than one but less than two months.

PCT/IPEA/406

As to item 1, see Rule 55.2(b)

As to item 2, see Rule 55.2(c).

PCT/IPEA/407

This Form sets forth all the bases upon which the International Preliminary Examining Authority can consider the Demand as not having been submitted. Note that a copy of this Form is communicated to the International Bureau only where items c or d are indicated.

As to item a, see Rules 61.1(b) and 57.4(c). See also the invitation to pay, Form PCT/IPEA/403.

As to item b, see Rules 61.1(b) and 60.1(c). See also the invitation to correct, Form PCT/IPEA/404.

As to items c and d, see Rule 55.2(d). See also the invitation to comply with the requirements, Form PCT/IPEA/406.

PCT/IPEA/408

This Form, since it is to a large extent a preview of the international preliminary examination report, is patterned after said report.

As to the Identification of the International Application, see Rule 70.3 and Form PCT/IPEA/409 after which this was patterned.

As to the indication of the first or additional written opinion, see Rule 66.4(a).

As to item I, Basis of Opinion, see Rule 66.2(a)(iv). This is patterned after Rule 70.2, see sub-item A2 of item I of Form PCT/IPEA/409.

As to item II, Non-Establishment of Opinion on Novelty, Inventive Step, and Industrial Applicability, see Rule 66.2(a)(i). This also appears in the international preliminary examination report, see item X of Form PCT/IPEA/409. The first part indicates that said questions cannot be gone into either in respect of the international application (i.e. all the claims) (see Article 34(4)(a)), or in respect of certain claims (see Article 34(4)(b)). As to item 1, see Article 34(4)(a)(i) and Rule 67. As to items 2 and 3, see Article 34(4)(a)(ii).

As to item III, Negative Statement Under Article 35(2), see Rule 66.2(a)(ii). The indication of the criterion or criteria not satisfied, which is analogous to a similar item in the international preliminary examination report, see Rule 70.6(b) and item III of Form PCT/IPEA/409, more precisely indicates the bases for any negative result. As to the letter abbreviations, see Section \_\_\_\_\_ of the Administrative Instructions.

As to item IV, Citations under Article 35(2), see Rule 66.2(b). The International Preliminary Examining Authority must give the citations supporting a negative statement in order to fully state the reasons for its opinion. This also appears in the international preliminary examination report, see Rule 70.7 and item IV of Form PCT/IPEA/409.

As to item V, Explanations under Article 35(2), see Rule 66.2(b). The International Preliminary Examining Authority must additionally give explanations supporting a negative statement in order to fully state the reasons for its opinion. This also appears in the international preliminary examination report, see Rule 70.8 and item V of Form PCT/IPEA/409.

As to item VI, Certain Defects in the International Application, see Rule 66.2(a) (iii). This also appears in the international preliminary examination report, see Rule 70.12(i) and item VII of Form PCT/IPEA/409.

As to item VII, Certain Observations on the International Application, see Rule 66.2(a) (v). This also appears in the international preliminary examination report, see Rule 70.12(ii) and item VIII of Form PCT/IPEA/409.

As to the invitation to reply and the time limit therefore, see Rules 66.2(c) and (d).

#### PCT/IPEA/409

The international preliminary examination report is to be communicated to the International Bureau in conjunction with Form PCT/IPEA/415 (item 2) and to the applicant in conjunction with Form PCT/IPEA/416.

As to the Identification of the International Application, see Rule 70.3

As to item A of item I, Basis of Report, see Rules 70.11, 70.16 and 70.2(c). As to item B, see Rule 70.2(b).

As to item II, Classification of Subject Matter, see Rule 70.5.

As to item III, Statement under Article 35(2), see Rule 70.6 and Section \_\_\_\_\_ of the Administrative Instructions.

As to item IV, Citations under Article 35(2), see Rule 70.7.

As to item V, Explanations under Article 35(2), see Rule 70.8.

As to item VI, Citations of Documents Under Rules 64.2 and 64.3, see Rules 70.9 and 70.10.

As to item VII, Certain Defects in the International Application, see Rule 70.12(i).

As to item VIII, Certain Observations on the International Application, See Rule 70.12(ii).

As to items 1 and 3 of item IX, Unity of Invention, see Rule 70.13. As to item 2, see Rule 68.3(c). As to item 4, see Rule 68.1.

As to item X, Non-Establishment of Report on Novelty, Inventive Step or Industrial Applicability, the first part indicates that the said questions could not be gone into either in respect of the international application (i.e. all the claims) (see Article 34(4) (a)) or in respect of certain claims (see Article 34(4) (b)). As to item 1, see Article 34(4) (a) (i) and Rule 67. As to items 2 and 3, see Article 34(4) (a) (ii).

As to Date of Submission of the demand, see Rule 70.4(i), as to the Identification of the International Preliminary Examining Authority, see Rule 70.3, and as to the Date of Completion of the report, see Rule 70.4(ii).

#### PCT/IPEA/410

This Form parallels Form PCT/ISA/214 employed by the International Searching Authority, and Form PCT/IB/323 employed by the International Bureau.

#### PCT/IPEA/411

This Form parallels Form PCT/RO/108 employed by the Receiving Office, Form PCT/ISA/216 employed by the International Searching Authority and Form PCT/IB/314 employed by the International Bureau.



PCT/IPEA/412

This Form parallels Form PCT/RO/109 employed by the Receiving Office, Form PCT/ISA/217 employed by the International Searching Authority and Form PCT/IB/315 employed by the International Bureau.

PCT/IPEA/413

This Form parallels Form PCT/IB/327 employed by the International Bureau.

PCT/IPEA/414

As to item 1, see Rule 66.7(a).

As to item 2, see Rule 66.7(b). As to the time limit, see Rule 66.7(c).

The particular priority claim where multiple priorities have been claimed should be identified in the manner in which it was identified in the request. (For example, if a priority claim in an international application containing multiple priorities is to be indicated in this Form as having been cancelled then that particular priority claim needs to be identified by those indications, namely, country, filing date, and application number of the priority application which were indicated by the applicant in the request.)

PCT/IPEA/415

This Form is designed to identify particular types of transmittals made by the International Preliminary Examining Authority to the International Bureau.

This Form is patterned after Forms PCT/RO/118, PCT/ISA/219 and PCT/IB/310.

As to the purpose of a cover letter, see the general comments on Form PCT/RO/118.

As to item 1, see Form PCT/IPEA/401.

As to item 2, see Form PCT/IPEA/409.

As to item 3, the addressee of the Form could also be an agency responsible to the International Preliminary Examining Authority should that Authority appoint such an agency to prepare and mail copies of cited documents, see Rule 71.2(d).

PCT/IPEA/416

As to the international preliminary examination report, see Form PCT/IPEA/409.

PCT/IPEA/417

As to the parallel Form employed by the International Searching Authority, see Form PCT/ISA/211. See also Form PCT/IB/322 where the International Bureau undertakes this transmittal.

As to the time limit for making the request and as to the payment of a fee to cover costs of preparing and mailing copies, see Rules 71.1(a) and (b), respectively.