ePCT for receiving Offices, International Authorities and Designated Offices

A guide to using WIPO’s ePCT system

ePCT version 2.12
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INTRODUCTION

INTENDED AUDIENCE

This guide is intended for receiving Offices and International Authorities as users of WIPO’s ePCT system. It also includes a dedicated section about ePCT for Designated Offices (National Phase Entry).

OVERVIEW

This user guide describes available features of the ePCT system for receiving Offices (RO), International Authorities and designated Offices, and provides detailed information about secure online access to documents and bibliographic data held by the International Bureau (IB) in respect of International Applications (IA) filed as of January 1, 2009. Office users can view the latest bibliographic data and documents in the International Bureau’s files for IAs where the Office acts in the relevant role, and can upload process and transmit to the IB or other Offices new documents related to an IA. The ePCT system also includes other features in the form of “actions,” e.g., the ability for receiving Offices to register new IAs and to add documents relevant to RO processing before Record Copy is sent to the IB, the transmission of new IAs to the receiving Office of the IB, the transmission of record copies, priority documents, and data relating to the withdrawal of the international application and/or priority claims.

CONVENTIONS AND GLOSSARY

<table>
<thead>
<tr>
<th>Convention</th>
<th>Indicates</th>
</tr>
</thead>
<tbody>
<tr>
<td>IA</td>
<td>International Application</td>
</tr>
<tr>
<td>IB</td>
<td>International Bureau</td>
</tr>
<tr>
<td>RO/IB</td>
<td>Receiving Office of the International Bureau</td>
</tr>
<tr>
<td>RO</td>
<td>Receiving Office</td>
</tr>
<tr>
<td>ISA</td>
<td>International Searching Authority</td>
</tr>
<tr>
<td>IPEA</td>
<td>International Preliminary Examining Authority</td>
</tr>
<tr>
<td>DO</td>
<td>Designated Office (or elected Office)</td>
</tr>
</tbody>
</table>

SUPPORTED BROWSERS

The supported browsers for WIPO Accounts and the ePCT system are Mozilla Firefox version 3.6 and above (strongly recommended) and Internet Explorer 7+.
The list of supported browsers appears at the bottom of the ePCT log-in page (e.g. Mozilla Firefox 3.6+, Internet Explorer 7+)

**EPCT ICONS AND FUNCTIONS**

The documents on file at the International Bureau are divided into two sections: ‘Related Documents’ contains all the documents on file at the IB, excluding documents that specifically make up the contents of the international publication; the lower part of the screen shows the ‘Documents for International publication’ which displays only documents that make up the international application as published, or as due to be published.

The following icons distinguish between the different statuses of a document:

- (Not yet processed) Document in status new “Not yet Processed” by the IB or by the recipient Office. This icon also denotes outgoing forms that have been drafted but not yet officially sent out or new documents uploaded by the Office or eRouted to the Office.

*Note: If you attempt to view a document that is still in the status “Not yet processed” (under the sub-tab Record as held by the IB), the indication ‘pending processing’ will appear on the document as a warning that it may still change before the processing is complete (see figure below).*
Pending processing indication

❓ (Business error detected by IB) Document processed, but a business error has been detected and the document is “parked” pending correction (documents in such a status are not communicated by the IB and are not made publicly available on PATENTSCOPE), for example: a missing page or pages not numbered consecutively are considered as ‘business errors’.

✅ (Processed) Document successfully processed and now part of the record or ready to be transmitted to another Office. This icon appears when an Office uses the action “Process” on a document. Set this status by selecting the checkbox next to one or more documents in status “not yet processed” in the file list, select “Process” from the dropdown below the list and press “OK”.

 почта (Outgoing form): this icon means that a PCT/IB Form has been issued and sent out related to that IA. A certified copy of the form can be downloaded by clicking the icon. In the case of IAs filed at RO/IB, a similar icon will appear next to RO type forms that were issued by RO/IB.
(Office Private) Document marked as private by an Office user. Set this status by selecting the checkbox next to one or more documents in status “not yet processed” in the file list, select “Mark as Private” from the dropdown below the list and press “OK”.

(Copy as received) this is the *bona fide* copy of the document exactly as received by the Office via ePCT, but processing will be done outside of ePCT and therefore the exact processing status will not be flagged in ePCT and this status icon will never change. This icon is used for Offices that process documents outside of the ePCT system (e.g. IP Australia)

**Indications regarding communication rules for documents**

The indications concerning the rules of communication for documents of different types are indicated in the “Status” column. The tool tip on the different Status icons indicates whether a document is communicable by the IB or not:

- **18** = document will be made publicly available on PATENTSCOPE at the time of international publication.
- **30** = document will be made publicly available on PATENTSCOPE at 30 months from the priority date.
- **P#B** = document is part of the international publication.

- **X** = document may be communicated externally by the IB (e.g., to a designated Office) but will not be made publicly available on PATENTSCOPE.
- **☐** = document is not communicated externally by the IB and will not be made publicly available on PATENTSCOPE.

**Downloading certified copies of documents from ePCT**

(Download signed PDF) Clicking this icon next to a document allows you to download a certified copy of the document in the form of a signed PDF document, digitally signed by a certificate in the name of the International Bureau.

*Note: The icon ☐ only appears next to documents that have been fully processed.*
Each document on file can be downloaded for viewing by clicking the name of the document. The document will open in a new tab of your internet browser where ‘Save’ and ‘Print’ options are available.

*Note: You can download several documents from the IA content as simple downloads (not certified copies) by selecting the checkbox next to each document and clicking on the ‘Multiple Downloads’ button. All documents will be downloaded as PDF documents and compressed into a ZIP file that can be saved on your computer or to another location.*

**IMPORTANT NOTICE ABOUT SCANNED PDF FILES**

All documents that are uploaded in ePCT are subject to a number of validations. The ‘Add document’ button always mentions the type of file format that it is permitted depending on the context, e.g.,

![Add document (pdf) + Add Document (txt or .zip or .app)]

Important validations are also performed on the actual content of files selected to be added, so as to avoid to the extent possible that defects are detected receipt at IB. A file cannot be added if the paper size is not A4 or US letter size and the orientation is not portrait.

The system displays an error message:

![Error: PDF document is not standard A4 size](image1)

![Error: PDF orientation must be portrait](image2)

Certain defects cannot be detected with certainty by the system, in which case the user is warned that there may potentially be a defect with the file. This is the case for PDF documents that are detected by the ePCT system to have the defects like:

- file appears to be empty
- contains greyscale or color
- not embedded fonts
- poor resolution less than 300 dpi
Such files can be attached, but the user is warned that they require re-rendering by the system for import and storage for further processing, following which the contents might be of poor quality. IMPORTANT: As mentioned in the warning message above, when the defects described above are detected with attached PDF documents, the user is always prompted to use the dedicated view icon available in ePCT to view how the document will look after it has been rendered for processing.

This is a unique feature that allows the user to validate the rendered contents of the attached documents before they are sent to IB and thus avoid discrepancies as to quality or content.

The ‘View’ icon should be used to view and check document contents when a potential error is detected.

Electronic files containing sequence listings may be attached and must be in text format. Image format is not permitted for sequence listings.

The content of sequence listings files are checked for compliance with WIPO standard ST.25 and any files that do not meet this standard cannot be attached.
HOW CAN I ACCESS ePCT?

To use ePCT for Offices, you need first to create a WIPO user Account, authenticate it with a valid digital certificate and have the right access role(s) based on your Office capacity (RO, ISA, IPEA and/or DO).

I DON’T HAVE A WIPO ACCOUNT

Please refer to the document ‘ePCT Getting Started for Offices’ available under ‘SHORTCUTS FOR OFFICES’ on the ePCT Portal web page https://pct.wipo.int/ePCT

I ALREADY HAVE A WIPO ACCOUNT

Open ePCT Portal web page https://pct.wipo.int/ePCT and click ‘Access ePCT private services’

- Click on the button ‘Access ePCT private services’ to open the ePCT login page. You will be redirected to the ePCT login page if you have a valid certificate already uploaded to your ePCT user account.
• Enter your Username, password and click ‘Login’.

• If you are a new Office user and you do not have yet any access role assigned, then you will get the following error message:

Your WIPO Office account is not configured for ePCT Office access, Please contact the PCT e-Services helpdesk epct@wipo.int

Please ask the main ePCT contact person from your Office to send an email to epct@wipo.int asking for the relevant access role(s) (ePCT-DO, ePCT-RO, ePCT-ISA and/or ePCT-IPEA).

• PCT Office users should have at least one access role defined in order to be able to use ePCT. If an Office operates as RO only, all users of the same Office will have only the ePCT-RO role. Users from Offices that also act as International Authorities might have more than one access role (ePCT-RO, ePCT-ISA, ePCT-IPEA and/or ePCT-DO). It is the responsibility of your Office to define the access role(s) of the Office users.
If you have at least one access role assigned (example: ePCT-RO), you will get the following ePCT view:

- Office Profile
- Search IA
- Notifications
- New IA
- My History

Other functions related to each IA are accessible through IA sub-tabs:

- File View
- Bibliographic Data (or Bibliographic Data Draft)
- Time Line
- History
- Upload Documents
- Actions

This user guide provides more details about each tab / Sub-tab and all Office functions and actions.

*Note: Some tabs, buttons or fields are disabled or hidden based on the user access role and the Office Profile.*
WHAT IS THE PROFILE OF MY OFFICE?

The Office profile tab summarizes the profile of your Office (settings) as defined in the IB system. The profile of your Office is set up and maintained by the IB, if you notice any wrong information or you would like to update some of the information then please contact the PCT e-Services helpdesk at epct@wipo.int.

The Office Profile tab contains the following sections: Office Information, Office users, Filing, Fees and Currencies, eSearch Copy, ePCT processing settings, Current distribution per office capacity, Office closed dates and reporting. See corresponding paragraphs below for more information.

OFFICE INFORMATION

This section shows your Office name, current local date & time, the language of correspondence used with the IB, language(s) accepted for the request form and filing, competent ISA(s) and IPEA(s), and whether your Office supports request for restoration of priority. The last parameter 'ePCT RO service generates new IA numbers' indicates whether the ePCT system is configured for your Office to generate the next IA number when registering new international application filed in paper or PCT-EASY format.
By default this parameter is set to ‘No’ for all Offices. The button ‘Assign Next Number’ is shown in the screen ‘New IA’ only when the parameter ‘ePCT RO service generates new IA numbers’ is set to ‘YES’.

For more details about ‘Assign next number’, please see the paragraph ‘How can I create a new IA?’

OFFICE USERS

This section shows the list of your Office users who have an ePCT Office account and at least one ePCT access role (ePCT-DO, ePCT-RO, ePCT-ISA or ePCT-IPEA). The list of users contains the first name, last name, the access role(s), the email address of each Office user and the status of the user account.

Note: Please note that the ePCT Office administrators are no longer allowed to access and use ePCT. Administrators can only manage Office user accounts (e.g. create new users, modify user’s data, enable/disable Office user account, assign access roles, etc). For more information about the role of the Office Administrator, please contact epct@wipo.int.
FILING

This section shows the list of possible accepted filing format(s), whether ePCT-Filing is enabled for your Office, the starting date and the payment method supported by your receiving Office.

<table>
<thead>
<tr>
<th>Filing</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Accepted</td>
<td>PAPER, EASY, E-Filing (PDF), E-Filing (PDF), E-Filing XML, E-Filing XML</td>
</tr>
<tr>
<td>ePCT-Filing</td>
<td>ePCT-Filing available for applicants to file to RO (hosted by ePCT Office Services)</td>
</tr>
<tr>
<td>ePCT Filing server start date for RO</td>
<td>15 August 2013</td>
</tr>
<tr>
<td>ePCT Filing payment methods supported by RO</td>
<td>Cheque, Charge deposit a/c, No payment at this time</td>
</tr>
</tbody>
</table>

This list does not show which tools used by applicants to file their international applications.

FEES AND CURRENCIES

This section shows the currencies accepted by your Office, as well as the list of fees and the fee reductions provided by the receiving Office for e-Filing formats:

<table>
<thead>
<tr>
<th>Fees and Currencies</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Currencies accepted by the RO</td>
<td>CHF, NZD, USD</td>
</tr>
<tr>
<td>Transmittal Fee</td>
<td>NZD 180</td>
</tr>
<tr>
<td>Fee for priority document</td>
<td>NZD 30</td>
</tr>
<tr>
<td>Fee for requesting restoration of the right of priority(PCT Rule 76bis.3(d))</td>
<td>None</td>
</tr>
<tr>
<td>International Filing fee for first 30 sheets</td>
<td>CHF 1330</td>
</tr>
<tr>
<td></td>
<td>NZD 1767</td>
</tr>
<tr>
<td></td>
<td>USD 1471</td>
</tr>
<tr>
<td>International Filing fee per sheet over 30</td>
<td>CHF 15</td>
</tr>
<tr>
<td></td>
<td>NZD 20</td>
</tr>
<tr>
<td></td>
<td>USD 17</td>
</tr>
<tr>
<td>Fee reduction provided by the RO for e-filing(image format)</td>
<td>CHF 200</td>
</tr>
<tr>
<td></td>
<td>NZD 266</td>
</tr>
<tr>
<td></td>
<td>USD 221</td>
</tr>
<tr>
<td>Fee reduction provided by the RO for e-filing (Text format, when available in ePCT-Filing)</td>
<td>CHF 300</td>
</tr>
<tr>
<td></td>
<td>NZD 399</td>
</tr>
<tr>
<td></td>
<td>USD 332</td>
</tr>
</tbody>
</table>
Note: Please contact epct@wipo.int in case the indicated amounts are not corresponding to what your office is currently charging. Receiving Offices that have chosen not to offer to their applicants the fees calculation through ePCT-Filing will see the fee amounts set to ‘0’ (zero).

ESEARCH COPY

This section shows the list of competent International Searching Authorities for your receiving Office, an indication whether the International Bureau is allowed or not to send the Search copy on behalf of the receiving Office and the start date.

Before setting the ‘Search Copy to be Sent by the IB’ to YES for an ISA, the IB requires to run some validation tests with the ISA in order to make sure that the Search copy package is correctly received and processed by the ISA. Once the IB, ISA and the RO are ready a start date is defined.

<table>
<thead>
<tr>
<th>Competent International Searching Authority</th>
<th>Search Copy to be Sent by the IB</th>
<th>Start Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>AU - Australian Patent Office</td>
<td>YES</td>
<td>10 July 2013</td>
</tr>
<tr>
<td>EP - European Patent Office (EPO)</td>
<td>NO</td>
<td></td>
</tr>
<tr>
<td>KR - Korean Intellectual Property Office</td>
<td>NO</td>
<td></td>
</tr>
<tr>
<td>US - United States Patent and Trademark Office (USPTO)</td>
<td>NO</td>
<td></td>
</tr>
</tbody>
</table>

EPCT PROCESSING SETTINGS

This section shows whether your Office, in its various capacities, is using ePCT to process documents and whether applicants have the ability to upload and eRoute documents via ePCT to your Office. It also shows whether the office can transmit document and data immediately to the IB, and receive ePCT messages, notifications and use ePCT-filing.

The following screenshot shows the setting of a receiving Office that has chosen to use ePCT to process documents and to communicate with other parties (applicant, IB, ISAs and IPEAs) via ePCT:

Office processing settings:
- **Applicants have the ability to upload and eRoute documents using ePCT:** When uploading documents, the applicant can select your Office as recipient. The document will be displayed in the dedicated office sub-tab for documents (e.g. Document for RO). Your Office will be notified each time a document is uploaded.

- **Applicants have the ability to send ePCT messages:** The applicant can select your office as recipient when sending an ePCT message for an IA. The ePCT message will be visible as new document in the file view of the IA and your Office will be notified.

- **Processing is performed in ePCT, documents under the RO tab have a status (Not yet processed/processed):** You will be allowed to rename, process and transmit documents from the File view.

- **ePCT Notifications (with emails) are expected to be used as primary trigger for exchanges:** Notifications will be sent to your Office using a generic email address.

- **IB official communication of Forms is expected, see distribution settings below:** your Office will be notified each time one of the elected IB forms is created by the processing team at IB.

- **Communication is instant and online:** The notifications are immediately sent by email and visible in the ePCT Notifications tab.

- **Applicants can file with ePCT Filing with all documents and data immediately available to applicant and to RO for processing. RO must use the ‘Transmit to IB’ action in ePCT to send application to IB:** Applicants can select your Office as RO when filing a new application through the ePCT-Filing. Your Office users will be able to access the same IA, process it and transmit it to the IB.

- **Applicants can file with ePCT Filing however the application status (and documents and bibliographic data) are only available once the RO has transferred the International Application from their system using PCT EDI:** The new filed IA is automatically sent to your own electronic filing server. You will be able to access the documents and the data on the IA until the Record Copy is received by the IB.

---

**CURRENT DISTRIBUTION PER OFFICE CAPACITY**

This section shows the list of distribution means (paper, CDVD, ePCT, PCT-EDI, etc) per Office capacity and the list of documents that your Office has chosen to receive from the IB.

Once ePCT is set up as the distribution method for the delivery of PCT Forms to your Office from the IB, you will be notified by e-mail (to the Office-Role e-mail address specified) and by an ePCT Notification (in the ePCT Notifications tab) about the receipt of such Forms.
The distribution section contains the following information per Office capacity (e.g. RO, ISA, IPEA, DO, EO, etc.):

- **Email address**: generic email address per Office capacity (the email address is communicated by your Office to the IB).

- **Physical address** of your Office

- **Current distribution**: list of documents per distribution means (e.g. the form IB310 is sent via ePCT to the RO and in paper format to the DO). By placing the mouse on the document id (e.g. IB310), a tooltip is displayed showing the address where the document is sent.

*Note: Please note that the current distribution methods (e.g. paper, DVD, etc) used by your Office remain unchanged even if we add ePCT as a new distribution method. Once your Office is comfortable that everything is functioning well, we can remove one or all the distribution methods that you don’t need anymore.*

**OFFICE CLOSED DATES**

This section shows your Office closed dates for the current, previous and next years. The current year is displayed by default.
**REPORTING**

Report 1 allows you to search the number of IAs filed in your Office between two dates. The search results are presented by filing type and current status of the IAs.

---

**ePCT-RO Reporting**

**Report 1: PCT Applications filed at MY from 01-Jan-2014 to 18-Jun-2014**

(Breakdown by filing type and current status)

<table>
<thead>
<tr>
<th>Current Status / Filing Type</th>
<th>PAPER</th>
<th>EASY</th>
<th>E-Filing (PDF)</th>
<th>E-Filing (XML)</th>
<th>EFS-Web</th>
<th>Not Determined</th>
<th>Total</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>New (EPO Phase)</td>
<td>1</td>
<td>2</td>
<td>10</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>13</td>
<td>37.7</td>
</tr>
<tr>
<td>Not yet published</td>
<td>25</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>32</td>
<td>88.6</td>
</tr>
<tr>
<td>Published</td>
<td>0</td>
<td>0</td>
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<td>0</td>
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<td>0</td>
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<td>0.0</td>
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<tr>
<td>Published and Withdrawn</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<td>0</td>
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<td>Withdrawn</td>
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<td>0</td>
<td>0</td>
<td>0</td>
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<td>0.0</td>
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<tr>
<td>Stopped</td>
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<td>0</td>
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<td>0</td>
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<td>0</td>
<td>2</td>
<td>4.3</td>
</tr>
<tr>
<td>4D Phase</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0.0</td>
</tr>
<tr>
<td>Not Publishable</td>
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<td>0</td>
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<td>0.0</td>
</tr>
<tr>
<td>Pending (Other)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0.0</td>
</tr>
<tr>
<td>Total</td>
<td>27</td>
<td>3</td>
<td>16</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>47</td>
<td></td>
</tr>
<tr>
<td>%</td>
<td>57.4</td>
<td>0.6</td>
<td>34.0</td>
<td>2.1</td>
<td>0.0</td>
<td>0.0</td>
<td></td>
<td>100</td>
</tr>
</tbody>
</table>

Report generated by ePCT for "AOFFICE" at 18-Jun-2014 09:45:55
SEARCHING INTERNATIONAL APPLICATION(S)

This function allows you to search one or multiple IAs using ‘Basic’ or ‘Advanced’ Search.

Offices with RO role only can search only IAs that were filed in their respective Offices (e.g. CH Office can search only IAs filed in RO/CH, the search result should return only applications with the IA number starting with PCT/CHyyyy/nnnnnn). The search result for an Office that has RO and ISA roles should be all IAs for which that Office is acting as RO or ISA.

*Note: In this ePCT release, Offices with DO role can search by IA Number only*

Search by IA Number:  
[Search]

**BASIC SEARCH**

The basic search allows you to search IAs by selecting one criterion from the drop down list.

The drop-down list ‘Search Criteria’ contains the following values:

- Last Accessed [from][to]: displays all IAs accessed by any user in your Office between the two dates (included)
- Filing date [from][to]: displays all IAs filed between the two dates (included)
- Priority date [from][to]: displays all IAs that have a priority date between the two dates (included)
- Publication date [from][to]: displays all IAs published between the two dates (included)
- IA number
- File reference
- IA Status: displays all IAs that are in the select status (New IA-RO Phase, published, withdrawn, etc)
- Filing Type
SEARCH BY DATES

Click on the drop down list to select one of the following criteria and then enter the dates. You can use the same date in both fields if you wish to select using only one date:

- Accessed on [from][to]
- Filing date [from][to]
- Priority date [from][to]
- Publication date[from][to]

Conditions:
- Both dates [From][To] are mandatory
- [From] date must be smaller than or equal to [To] date
- None of dates should be in the future

SEARCH BY IA NUMBER

The ‘Search by IA Number’ field is available at the top right-hand corner of the ePCT or as a search criteria ‘IA Number’ in the drop down list for Offices to search for a particular IA. Simply enter the IA number and click on the button ‘Search’.

1. Accepted format: The IA number can be entered in various formats, e.g., EP2010/000123, PCT/EP2010/000123, EP10/123 or simply EP10123. By placing the mouse on the ‘Search by IA Number’ field, a tool tip displays the supported formats.

2. Invalid format: If the IA number is not in the correct format, the user will get the following message:
3. **Non-Existent IAs**: In case you type the correct IA number format and the IA does not yet exist in the IB database, you will get a warning message asking you whether you want to upload documents for this IA.

   ![Confirmation required](image)

   This feature is mainly added for Office users who would like to send some documents to the IB for a specific IA for which the Record Copy is not yet received by the IB. For more details, please refer to the paragraph 'Uploading Documents for Non-Existent IAs'.

4. **IAs filed before 01 January 2009**: The system will display the following error message if you want to search for an IA filed before 01 January 2009:

   ![Error](image)

   **SEARCH BY FILE REFERENCE**

   Select the Search Criteria ‘File reference’, type the reference text and click on Search:
Note: The reference text you type must be identical to the file reference.

**SEARCH BY IA STATUS**

By selecting the IA Status you will be able to choose one status from a drop down list of possible IA status.

Please select a value from the drop down list and click on the button ‘Search’ you will retrieve all IAs that are in the selected status e.g. selected status ‘Not yet Published’ the search result is presented in the list below:
SEARCH BY FILING TYPE

By selecting the criteria ‘Filing Type’, you will be able to choose one format from a drop down list of possible filing types (e-Filing (PDF), e-Filing (XML), paper, PCT-EASY).

ADVANCED SEARCH

The advanced Search offers you the possibility to search IAs using one criterion or a combination of multiple criteria. It also allows you to search IAs by applicant’s name.

The following screenshot shows an example of Search IA using multiple criteria (Search by priority number and applicant’s name): Search all IAs that have at least one applicant’s name containing the word ‘nativis’ and the priority date between “1/1/2009 and 17/11/2014”: 
The result of the search is displayed in the list under the search criteria.

**DOWNLOADING SEARCH RESULTS**

Search result is shown under the search area. You can download the search result as an Excel spreadsheet.
Office users with ePCT-DO access role are able to search and open any IA for which their Office is designated.

The ePCT DO function allows you to send to the IB, through an online action (Notify National Phase Entry), an indication that an IA has entered the national phase in your Office. This function also makes available documents which are not available through PATENTSCOPE and PADOS, such as cited documents uploaded with a third party observation.

Office users who do not have ePCT-DO role or their Office is not designated for a particular IA will not be able to use the ePCT DO function.

For more information on how to get ePCT-DO access role please refer to the paragraph How can I access ePCT.

SEARCHING INTERNATIONAL APPLICATIONS

As DO Office user you can search all published applications and also unpublished applications for which the applicant has requested early national phase.

This ePCT release allows you to search only by IA number:

- Enter the IA number and click the button Search.
- The system opens the IA with three sub-tabs: File View, Upload Documents, Actions

The IA number can be entered in various formats, e.g., EP2010/000123, PCT/EP2010/000123, EP10/123 or simply EP10123. By placing the mouse on the ‘Search by IA Number’ field, a tool tip displays the supported formats.
ACTION: NOTIFY NATIONAL PHASE ENTRY

Click the tab Actions and select the action ‘Notify National Phase Entry’:

By clicking Ok the system checks whether a notification of national phase entry has already been made:

In case a notification of national phase entry is already done, you get the following error:

Your Office has already made a notification of national phase entry for this international application. If there was an error in the information provided, please contact the relevant Processing Team at the International Bureau using the ePCT message function to request a correction.
Otherwise the system displays the following screen:

- Enter the National Application Number:
  - The country code is set by default and cannot be modified
  - The number format could be: 15 characters, limited to alphanumeric plus space, slash (/) and hyphen (-)

- Date of National Phase Entry: set by default to DO current date, but can be replaced by an earlier date. In case you indicate a date which is more than one month ago, you get the following confirmation message:

  ![Confirmation required]

  Click No to modify the date of national phase entry, or click YES to continue.

  After the confirmation you get the following information message:
- By clicking OK the system refreshes the IA and displays the file view with two documents:

  o If the IA is not published, a notification Form IB/345 is automatically generated and sent to the international phase applicant (or agent) warning that pre-publication access has been granted to the file.

  o Information concerning national phase entry

Example of the generated form IB/345:
Example of the generated document ‘Information concerning national phase entry’:

### ePCT Office Action

**Information Concerning National Phase Entry**

**Intellectual Property Office of Singapore - DO/SG**

<table>
<thead>
<tr>
<th>IA Number:</th>
<th>PCT/MY2012/000021</th>
</tr>
</thead>
<tbody>
<tr>
<td>International Filing Date:</td>
<td>03 February 2012</td>
</tr>
<tr>
<td>National Application Number:</td>
<td>SG123456</td>
</tr>
<tr>
<td>Date of National Phase Entry:</td>
<td>18 November 2014</td>
</tr>
<tr>
<td>Authorized Officer:</td>
<td>/Office User/</td>
</tr>
<tr>
<td>Date:</td>
<td>19 November 2014 20:04:09 CET</td>
</tr>
<tr>
<td>ePCT User:</td>
<td>Alkal Aloni</td>
</tr>
<tr>
<td>Authentication:</td>
<td>WIPO digital certificate</td>
</tr>
</tbody>
</table>
Once you have done successfully a notification of national phase entry for an IA which has not yet been published, the system allows all users from the same Office, who have ePCT-DO access role, to access immediately the IA:

More documents and information are made available through different screens: File View, Bibliographic Data, Timeline and History.

The screens Upload Documents and Actions are also made available for DO users to upload more documents.

**UPLOADING DOCUMENTS**

As DO Office user you can upload only one document type ‘DO Document’ and choose IB as recipient (see screenshot below):

- Select the tab ‘Upload Documents’
Select the document type ‘DO Document’ and Click the button

Select the PDF document to be uploaded and click ‘Open’. The document will appear at the bottom in the list of uploaded documents showing the document type; File Name and File size and the column ‘Remove’. Please refer to ‘Important notice about scanned PDF files’ for more details about the validation of the PDF files (color, format, size, orientation, etc):

- Please check the box and add a message in case you wish to provide an explanation about uploaded document(s).

The button remains disabled until a document is added. Once the document is uploaded, you get the following information message:
By clicking OK the IA is refreshed and File View is displayed showing the DO document and its source ‘DO’:
CREATING A NEW IA IN EPCT

The tab ‘New IA’ allows you to securely create into the ePCT any new IAs that you received in paper or in PCT-EASY format. You can either create a new IA for further processing (i.e. the IA remains accessible by receiving Office users only until you decide to transmit the record copy to IB) or choose to immediately transmit the record copy to the IB (i.e. IAs processed manually by uploading all required documents.

The second part of the ‘New IA’ tab shows you the list of all IAs that are in status ‘New IA-RO Phase’ i.e. New IAs received via ePCT-Filing or created manually by your Office, and for which the Record Copy is not yet transmitted to the IB:

(use screenshot with Assign next IA number)

The list of IAs in status ‘New IA – RO Phase’ might be empty for some Receiving Offices.

The button is shown only when the parameter ‘ePCT RO service generates new IA numbers’ of the Office Profile is set to ‘YES’ (please see paragraph ‘Office Information’ under Office Profile).

The parameter ‘ePCT RO service generates new IA numbers’ is set by default to ‘No’ for all offices. You can contact epct@wipo.int if you wish to change it to ‘Yes’ and use the button ‘Assign next number’.
The button [Assign next number] allows you to generate the next sequential IA number for new IAs filed in paper or PCT-EASY formats.

The IA number is incremented each time the user clicks on the button [Assign next number] (i.e. similar to a counter or timer, it is incremented after each click without taking into account whether the IA is created or not), it does not check the latest IA number stored in the system. As office users you have the possibility to skip or reserve some IA numbers and later on enter them manually into the system. In case a number is not used (e.g. multiple clicks by mistake), the user can at any time create new IAs by typing unused numbers. The system always checks if a number has already been used or not yet.

CREATE NEW IA FOR FURTHER PROCESSING

ePCT allows you to create new IAs received in PAPER or PCT-EASY format. The IA is created in status ‘New IA-RO Phase’ and is accessible only by your Office users who have the ePCT-RO role granted.

To create a new IA you must enter first the following data:

**International Application Number (mandatory field):**
- The country code is set by default to your Office code (e.g. EP for EPO, MY for Malaysia or CH for Switzerland)
- The year is set by default to the current year but the user can also choose the previous year if necessary.
- The serial number (e.g. 123456 or 000123) corresponds to the IA number. You can enter the number manually or use the button ‘Assign next number’ if it is enabled. The system checks if the serial number already exists: ✗ An application with the same IA number already exists.

**Date of receipt (mandatory field):** Set by default to the current receiving Office date. It can be changed by the user. It is not possible to choose a date in the future and the year of the date of receipt must be the same as the year used in the IA number.

**Filing Type (mandatory field):** Paper or PCT-EASY; the system behaves differently depending on the selected filing type: PAPER or PCT-EASY.

**FILING TYPE PAPER**

Set the filing type to PAPER and click the button ‘Create New IA for Further processing’ to create a basic record for the New IA (IA number, filing type and date of receipt at RO):
The system creates the new IA and displays the following message:

**New IA in RO Phase successfully created.**

By clicking OK, the system add the IA to the list of new IAs that are not yet transmitted to the IB, and opens it in a dedicated tab:

Any other user from the same Office who has the same ePCT-RO role can immediately access and process this new IA.

The next steps you can perform on this new IA are: **Uploading documents, entering and loading bibliographic data** and **generating forms or performing actions**.

**UPLOADING DOCUMENTS**

Click the button ‘Upload Documents’ or select the sub-tab ‘Upload Documents’:
Since the status of the IA is ‘New IA – RO Phase’, the system allows you to upload documents only to your Office (My Office i.e. capacity is RO).

Upload the IA documents as a single package ‘New International Application’ (i.e., RO/101 request and other documents are scanned in one single file) or as multiple documents (i.e. RO/101 request, description, claims, abstract and drawings are scanned as separated documents):
Select the document type and click the button **Add Document (.pdf)**.

Select the PDF document to be uploaded and click ‘Open’. The document will appear at the bottom in the list of uploaded documents showing the document type; File Name and File size and the column ‘Remove’ (see previous screenshot). Please refer to ‘Important notice about scanned PDF files’ for more details about the validation of the PDF files (color, format, size, orientation, etc).

The buttons **Upload** remains disabled until a document is added. The check of mandatory documents is done during the transmittal of the record copy to the IB.
Click the button to upload the document into the File View tab of the selected IA. If the document is uploaded successfully then you will get the following information message:

By clicking Ok the system refreshes the screen and displays the File View of the IA.

The new uploaded document is located in the sub-tab ‘Document for RO/’ because the IA is still under the control of the RO (i.e. My Office selected as recipient):

Note: The document type ‘International Application Confirmation Copy’ should be used for original documents of an IA that was initially sent by Fax to the RO. The document type ‘International Application Confirmation Copy’ can be uploaded by the RO after the creation of the new IA.

ENTERING BIBLIOGRAPHIC DATA

After the creation of a new IA, you can immediately start uploading documents and entering some bibliographic data through the sub tab ‘Bibliographic Data Draft’:
The advantages of entering bibliographic data are:

- Data is entered only once but can be reused each time an Office user generates a PCT Form (no need to retype common data in each form e.g. file reference, IA number, applicant’s name, title and priority date).

- Once the ISA is defined and the IA is transmitted to the IB, the ISA can immediately access and upload ISA documents through ePCT (Search strategies, ISR and WOSA).

- Entering the priority data allows you to perform the action Transmittal of P.Doc immediately after the transmittal of the record copy to the IB. You don’t need to wait until the IB processes the record copy and enters priority data.

- A number of validations are put in place to help Office users entering correct and consistent data. The validation report helps you identifying and eventually correcting some errors before transmitting the record copy to the IB (e.g. missing or wrong nationality or residence of the applicant, missing or wrong ISA, etc):
When you first create a New IA and select the bibliographic data tab to start entering bibliographic data, by default the Validation Report will indicate:

Validating... 5 (Prevents data loading)  1 (Requires correction)  

At any time when you are entering bibliographic data you can choose to run validation checks on the data you have entered. This can be done by refreshing the ‘Validation Report’ which appears at all times in the header. The number of validations changes based on the data entered.

The Validation Report detects two types of error:

- Errors that prevent filing
- Errors that require correction

It also displays information tips about certain aspects of the data or documents in the New IA that are for information only.

**Important**: It is strongly recommended to check entered data and to correct all defects before loading the bibliographic data. **Draft** bibliographic data can be saved and edited multiple times. But once the bibliographic data is loaded, it is **NOT** possible for Office users to go back and edit it or make any further changes. Any modification of data will be done later on by the processing team at the IB.

**SUB TABS OF THE BIBLIOGRAPHIC DATA DRAFT**

The tab Bibliographic Data Draft is a customized version of the ePCT-Filing for applicants. It allows you to enter data such as the title of the application, applicants/agents names and addresses, the priority, the designations, the ISA and the number of pages per document which are used for the calculation of fees.

It is recommended to fill in the relevant data in each tab going from left to right – the tabs appear in a logical order so that data provided in the earlier tabs can be selected in later ones without having to retype data. For example, if all the priority claims are already filled in on the ‘Priority claims’ screen, that priority data can then be selected in later screens where required, without having to be retyped, e.g., when providing indications about earlier searches on the ISA screen.

Receiving Offices that do not want to enter bibliographic data can continue using the functions “Create New IA for further processing” or “Transmit Record Copy to IB”.

**FILING OPTIONS**
Click the button **Add** to add the file reference (maximum of 12 characters, the only special character allowed is hyphen ‘-‘)

![Change file reference](image)

Click the button **Save**. The file reference is set with the right value. The button ‘Add’ is replaced by the button ‘Edit’ which allows you to modify the File reference value:

![File reference](image)

The default filing method is set to ‘Paper’

![Filing method](image)
Select the right Language of request and the language of filing of the IA from the dropdown list of languages accepted by your receiving Office:

PRIORITY CLAIMS

Each priority claim which is added is validated as to completeness of the data entered i.e., it is mandatory to indicate the Type (national, regional or international), Country/Office, Filing Date and option to provide the priority document to the IB.

Click the button to add one or several priorities:

Click the button Add to add the priority to the list of priority claims:
Use the buttons of the column to ‘Edit’ or ‘Delete’ a priority claim.

**DESIGNATIONS**

By default the Designations screen displays all the designations possible on the current date:

The user can exclude DE, JP and/or KR from national protection by checking the relevant checkbox. If a corresponding national priority claim has NOT been indicated on the ‘Priority claims’ screen, the Validation Report displays an error message that prevents filing:
The user must either uncheck the exclusions boxes or add corresponding national priority claims on the ‘Priority claims’ screen.

Add parent filing data: Select this option if the applicant request a particular type of treatment in respect of certain designations, e.g., ‘continuation’ or ‘continuation in part’ for the designation of US. The user can select a corresponding priority claim that has been previously entered in the ‘Priority claims’ screen.

When parent filing data has been entered in respect of a particular designation, the data can be viewed in the ‘View Designations’ screen as tooltip text on an information icon.

NAMES

This screen is used to capture the bibliographic data for each party to be named in the international application and to prepare or attach any corresponding powers of attorney.
It is mandatory to indicate at least one Applicant that has the right to file with the receiving Office selected in the Filing Options screen. Failure to do so prevents filing:

**Validation Report: Prevents filing**

<table>
<thead>
<tr>
<th>Names</th>
</tr>
</thead>
<tbody>
<tr>
<td>At least one applicant must have the nationality or residence of the RO</td>
</tr>
</tbody>
</table>

Failure to indicate at least one Inventor is a defect that requires correction:

**Validation Report: Requires correction**

<table>
<thead>
<tr>
<th>Names</th>
</tr>
</thead>
<tbody>
<tr>
<td>At least one Inventor or applicant-Inventor must exist</td>
</tr>
</tbody>
</table>

Click the button Add to enter details of a Party (Applicant, inventor, agent or common representative):
Click the button ‘Add’ to create the Party:

Use the button 🗂️ to add a new party with the same address details as an existing one.

Click the button ‘Address for service’ 🏡 to check to which address PCT notifications will be sent.

To record a Common Representative, the Applicant that is also Common Representative must be input first as Applicant, in order to be able to be selected as Common Representative. It is not possible to indicate a Common Representative that is not also Applicant.
INTERNATIONAL SEARCH

It is mandatory to indicate the International Search Authority by selecting from the dropdown list of ISAs that are competent for your Office:

The ISA is pre-filled by default if only one ISA is competent for your Office.
The IA Contents screen allows you to enter the title of the IA as well as the number of pages of each document. The number of pages is mainly used to calculate the fees due:

The number of pages of the Description, Claims, Abstract must be indicated on the ‘IA Contents’ screen. It is also mandatory to indicate the title of the invention in the relevant box. Failure to do so prevents from loading bibliographic data.

If Drawings are included as part of the IA Contents, the system prompts the user to indicate which drawing, if any, should accompany the Abstract:
This is a mandatory field, so ‘0’ must be entered even if no drawing is to be published with the Abstract.

If the drawing to be published with the Abstract contains text matter, the user can indicate this by selecting ‘Yes’. This information is not essential to filing, but it is an extremely useful indication for subsequent processing at the IB when scheduling translation for international publication. It is at the discretion of the Office user to either type or copy & paste the text matter (including reference numbers) contained in the drawing to be published with the Abstract in the field provided.

In case a Sequence listing for the purposes of International Search in provided in machine-readable format, user should enter the number of CD/DVDs received.
FEES

Payment details: The payment methods that can be selected for paying fees varies depending on the receiving Office selected in the Filing Options screen. By default, the preferred default payment method specified by the receiving Office will be displayed, but can be modified.

The amount of the fees due is displayed using the button [Show fees], which calculates the fees based on the data and the number of pages indicated so far in the IA Contents. If additional applicants are subsequently added that may affect a fee reduction, or if the number of pages of a document is modified that affects the page count, the fee due may fluctuate as a result:

Click the button [Preview fee sheet] to preview the fee calculation sheet.
SUMMARY & LOAD DATA

This final screen displays a summary of all the bibliographic data entered in the New IA and automatically refreshes the Validation Report to show any outstanding defects that have been detected. There are shortcut icons to take the user directly to the corresponding screen in order to edit/correct defects:

It is possible to expand individually each section to view the actual data content and the related defects that have been detected. All sections could be expanded and collapse at the same time by using this icon: 

The button is enabled only if there is no remaining error that prevents data loading.

After clicking the button ‘Load Bibliographic Data’, you get the following confirmation message:

**Important:** It is strongly recommended to check entered data and to correct all defects before loading the bibliographic data. Draft bibliographic data can be saved and edited multiple times. But once the bibliographic data is loaded, it is NOT possible for Office users.
to go back and edit it or make any further changes. Any modification of data will be done later on by the processing team at the IB.

Click ‘Confirm’ to proceed with loading data:

Once the data is loaded successfully, the system refreshes the IA and replaces the sub-tab ‘Bibliographic Data Draft’ by ‘Bibliographic Data’:

The loaded bibliographic data can, at this stage, be used in the generation of RO Forms.
FILING TYPE PCT-EASY

If the filing type is PCT-EASY then a click on the button ‘Create New IA for further processing’ displays the list of document types to be uploaded. A new document type ‘Bibliographic data’ is automatically added to the list of document types. The Bibliographic Data is a ZIP file provided as part of the PCT-EASY package:

A new application must have at least one document type ‘New International Application’ as single document or a set of documents ‘request RO/101, Description and Claims) if you choose multiple documents.

The buttons remains disabled until required mandatory documents are uploaded.
UPLOAVING BIBLIOGRAPHIC DATA AND DOCUMENTS

- Select ‘Bibliographic Data’ on the document type list and click ‘Add Document’

- Select the PCT-EASY file (ZIP file) to be uploaded and click the button.

- The ZIP file will appear at the bottom in the list of uploaded documents showing the document type, the File Name and File size:

<table>
<thead>
<tr>
<th>Document Type</th>
<th>File Name</th>
<th>File Size</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bibliographic data</td>
<td>EASY-1-EN.zip</td>
<td>245 KB</td>
<td></td>
</tr>
</tbody>
</table>

If the ZIP file is corrupted, an error message is displayed and the file will not be uploaded. If you cannot correct or replace the ZIP file then you can upload only the PDF documents of the IA. However, please indicate the reason why the ZIP file could not be uploaded in the Message field when transmitting the record copy to the IB.

- Select the mandatory document type(s) and then click the button.

- Select the PDF document to be uploaded and click ‘Open’. The document will also appear at the bottom in the list of uploaded documents. Please refer to ‘Important notice about scanned PDF files’ for more details about the validation of the PDF files (color, format, size, orientation, etc).

- Other documents and PCT forms such as RO/105, RO/102, etc. could be uploaded separately by choosing the right document type from the proposed list (see screenshot).

- Click the file name to view the document or the icon to see how the document will be rendered at the IB.

- Click the icon to remove the document from the list.

Once the bibliographic data file and all documents are added, click the button to create the new IA in ePCT.

If the IA is created successfully, you will get the following information message:
By Clicking OK, the IA will be automatically opened and the file View tab selected by default:

The bibliographic data is automatically extracted from the zip file and uploaded into the database. The documents are stored in the sub-tab ‘Documents for RO’ of the File View tab.

The IA is created in status ‘New IA – RO Phase’; it is accessible only by your receiving Office users who have the right access role. At this stage you can upload other documents or perform actions on the IA. Please refer to paragraphs How to upload documents and PCT Forms and Actions

**TRANSMIT RECORD COPY TO IB**

This function allows you to create the new IA in ePCT and immediately transmit it to the IB without any further processing. This button is useful for Offices that are doing the work on paper before scanning and uploading the whole package as new international application:

Enter the IA number, select the filing type (PAPER or PCT-EASY), set the date of receipt and then click the button ‘Transmit Record Copy to IB’. The list of document types is displayed, allowing you to upload documents. If you select PCT-EASY as a filing type then you will notice that the document ‘Bibliographic Data’ is added to the list.
A new application must have at least one document type ‘New International Application’ as single document or a set of documents ‘request RO/101, Description and Claims) if you choose multiple documents.

The buttons remains disabled until required mandatory documents are uploaded.

In the case of Filing Type PCT-EASY and you do not upload Bibliographic Data; you will get the following confirmation message:
Click Cancel if you wish to upload Bibliographic Data or OK to transmit the IA without any Bibliographic Data.

If the transmittal is successfully done, you will get the following information message:

Clicking OK opens the IA automatically in a dedicated tab:

The application documents are uploaded in the sub-tab ‘Record as held by the IB’ and the application is given the status ‘Not yet Published’, this means that the Record Copy of the IA has been transmitted to the IB and is visible to the processing teams at the IB.
PROCESSING A NEW IA IN EPCT

Any receiving Office that has the ePCT processing enabled (see PCT Processing Setting) can process new documents (i.e. perform actions on documents such as process, transmit, delete, mark as private, etc).

The processing could be performed on any IA in status ‘New IA – RO Phase’ regardless of the filing type (ePCT-Filing, paper or PCT-EASY).

The following steps could be used as example to process a New IA (it is not necessarily to perform all steps in the same order):

- Check and process the New IA documents by using available actions on documents (sub-tab File View)
- Upload and process additional documents that the RO might produce or receive from the applicant (sub-tab Upload Documents)
- Generate PCT RO forms i.e. RO/105, RO/102 (sub-tab Actions)
- Perform Office online actions such as ‘Transmit Record Copy to IB’, ‘Application not treated as IA’ (sub-tab Actions)

CHECKING AND PROCESSING NEW IA DOCUMENTS (SUB-TAB FILE VIEW)

The following screenshot shows an example of a New IA filed by a private user via ePCT-Filing; all documents are visible under the sub-tab ‘Document for RO’:
The file view is split into sub-tabs, showing more clearly which documents have been submitted to RO, ISA and IPEA, as well as documents on record at the IB. If the IA is still in “New IA – RO Phase” or if the International Bureau has no record of documents pending for a particular Office, some sub-tabs will be disabled.

All documents uploaded by the RO or transmitted to the RO initially appear in the sub-tab ‘Documents for RO’. For Offices which use ePCT for processing, they will appear with a status icon “not yet processed”, giving both Office and applicants an indication that they still need to be checked and that action may need to be taken.

Once a document is processed (status icon “processed”) and transmitted to the IB, it disappears from the “Documents for RO” (or ISA/IPEA) tab but can still be viewed by users from that Office in the “Record as held by the IB” tab. Documents are not duplicated between different sub-tabs.

**Used status icons for documents:**

![Icon]

= “Not yet processed” (i.e., a new document uploaded by the Office or eRouted to the Office. The status of the document is ‘Not yet processed’. The Office should check if the document is the right one and should use the action process to set the status of the document to process before transmitting it to the IB or another Office).

![Icon]

= “Processed” (i.e., the Office has used the action “Process” and the document is ready to be transmitted to the IB or another Office). **Set this status** by selecting the checkbox next to one or more documents in status “not yet processed” in the file list, selecting “Process” from the dropdown below the list and pressing “OK”.

![Icon]

= “Office Private” (i.e., a document marked as private by an Office user. **Set this status** by selecting the checkbox next to one or more documents in status “not yet processed” in the file list, selecting “Mark as Private” from the dropdown below the list and pressing “OK”.

![Icon]

= “Copy as received” (i.e., this is the *bona fide* copy of the document exactly as received by the Office via ePCT, but processing will be done outside of ePCT and therefore the exact processing status will not be flagged in ePCT and this status icon will never change). This icon is used for Offices that process documents outside of the ePCT system – currently this applies to IP Australia only.
As Office users this module offer you the possibility to perform processing actions on documents (whether New IAs or subsequent documents) which appear in your own documents sub-tab (RO, ISA and IPEA).

There are four possible actions:

**PROCESS**

When documents are received in ePCT for processing their initial status is “Not yet Processed”. Office users can select one or more documents that have been duly verified and set them to status “Processed” by selecting the “Process” action under “Perform action on selected document(s)”. Process action can be performed on multiple documents.

Once you click OK you will get the following confirmation message:

By clicking on OK, the icon of the document changes to ‘Processed’ and a link ‘Set to new’ is added in front of the document:

**Processing the document type: Replacement, substitute sheets (Rule 26):**

As office user you can index the document by defining the pages corresponding to the applicant’s accompanying letter and accepted or refused pages. Once the processing of the document is confirmed by the user, the system watermarks automatically each page of the document by indicating whether the page is an accompanying letter, an accepted or refused replacement sheet as well as the processing date.
The following screenshot show how to process the ‘Replacement, Substitute Sheets’:
- Check the box corresponding to the document
- Select the action ‘Process’ and click OK

The system displays the following fields:
- Acccompanying letter submitted by the applicant
- Substitute sheet(s) accepted by the RO
- Substitute sheet(s) refused by the RO
- You can indicate the page numbers corresponding to each field (e.g. Substitute sheets accepted by the RO: 2-4,7 means that pages 2 to 4 and page number 7 of the document are accepted)

The system shows the total number of pages of the document and calculates automatically the number of pages indicated.

The indication of page numbers should not include space or blank (e.g. 2-4, 7)
If the number of pages indicated is different from the total number of pages, you will get this error message: The selected document contains 7 page(s) Number of pages indicated: 6 Incorrect total number of pages

Offices, using this ePCT function to process and transmit their documents, are no longer requested to stamp each page of the document type ‘Replacement, Substitute Sheets’. All accepted pages will be automatically stamped ‘SUBSTITUTE SHEETS (RULE 26)’ by the system:

**SUBSTITUTE SHEETS (RULE 26)**

Each page is also watermarked (accepted, refused or accompanying letter) based on the page numbers you entered in each field:

**Accepted Replacement Sheets received on 17 November 2014**

**Replacement Sheets Accompanying Letter received on 17 November 2014**

**Refused Replacement Sheets received on 17 November 2014**

**TRANSMIT**

This action allows you to transmit one or several documents in status “processed” via ePCT to the IB or to another Office that has access to the same IA (RO, ISA or IPEA).

Transmit action is not accessible if the IA is still in status ‘New IA – RO Phase’. Office users are requested to use the online Office action ‘Transmit Record Copy to the IB’ to transmit the IA and all its processed documents.

If the IA is not in status ‘New IA – RO Phase’, you can select one or more documents that are in status “Processed”, selecting the action “Transmit” under “Perform action on selected document(s)” and click OK. The following screenshot shows:
The document ‘Power of Attorney’ was uploaded/received and processed by the RO. The document is selected and ready to be transmitted to the IB (as recipient). In some cases the recipient could be also the ISA or the IPEA. The Office user checked the box ‘Add informal note for the selected recipient’ in order to add an explanatory message about the transmitted document.

Transmitted documents move from the original tab to the selected recipient’s tab and the status of each document changes to ‘Not yet processed’ (example of a document transmitted to the IB):

A new ePCT cover letter (ePCT Document Transmission) is automatically created by the system. It shows the list of transmitted documents and the explanatory message:
ePCT Document Transmission

ePCT Office Services

IA Number: PCT/XY2013/454454
International Filing Date: 18 April 2013
To main recipient: IB
Date at recipient Office: 14 November 2014 17:56:13 CET
From: ROXY - XY

ePCT User: Office User

Message:
This message is mandatory because the the check box 'Add informal note for the selected recipient' is ticked.

The following document(s) have been transmitted via ePCT Office Services:
- Power of Attorney

Authorized Officer: Office User
Authentication: WIPO digital certificate

SET TO NEW

By clicking this link [Set to new], you will be able to change back the status of the document to 'Not yet processed'.

The option 'Set to new' is automatically added for documents that are in status 'Processed' or 'Office Private'.

RENAME
This action allows you to modify the document name/type in case a wrong name was used when uploading the document by an applicant or another Office user. The document to be renamed must be in status ‘Not yet processed’:

The Office user has to select a new document type from the proposed list and click on “Rename” button after the confirmation message, the document will be renamed and its status “Not yet processed” remains unchanged.

Rename action can be performed only on a single document.

**MARK AS PRIVATE**

This action sets the status of the document from ‘Not yet processed’ to ‘Office Private’:

- Check the box corresponding to a document in status ‘Not yet processed’;
- Select the action ‘Mark as Private’ and click OK
- You will get the following confirmation message

```
Confirmation required

Are you sure you want to mark the selected document(s) as Private?

OK  Cancel
```

- Click OK to mark the document as private

- The status of the document changes to ‘Office Private:

```
[ ] Replacement, Substitute sheets (Rule 26)[1]
```

*Note: Private documents are visible only to users, from the same Office, having the right access role.*

#### DELETE

This action deletes documents in status ‘Not yet processed’ that are uploaded by users from the same Office.

- Check the box corresponding to a document in status ‘Not yet processed’
- Select the action ‘Delete’ and click OK

```
[ ] Replacement, Substitute sheets (Rule 26)[1]
```

- You will get the following warning message

```
Warning

Are you sure you want to delete the selected Documents?
WARNING You cannot undo this action

Yes  No
```

- Click YES to delete the selected document from the list
- The document is removed from the list of documents.
The action is recorded in the history of the IA (History) and the history of the user (My History):

<table>
<thead>
<tr>
<th>User Name</th>
<th>Type Of Actions</th>
<th>Audit Info</th>
<th>Event Date</th>
</tr>
</thead>
</table>

Note: Deleted documents are removed from the list of documents and cannot be restored anymore.

EPCT ACTIONS AND FORMS (SUB-TAB ACTIONS)

The tab ‘Actions’ allows you to perform a number of actions and to generate some forms for a selected IA. You can also use the link ‘Other PCT/RO Forms’ to access the web page of all PCT forms related to the receiving Office:

**ACTIONS**

There are online ePCT actions that you can perform depending of the status of an IA and your access role:
Only Office users with ePCT-RO role within the competent receiving Office can perform these actions. At the time of selection of the action, the system will warn you if you have the right or not to perform the operation:

Office users will not be able to run any actions on IAs that have been already withdrawn or are in a specific status:

The system will also warn you if an action cannot be performed on IA (e.g. some actions are permitted only after sending the record copy to the IB or when the IA is in a specific status).

**TRANSMIT RECORD COPY TO IB**

This action allows you to transmit the record copy of a new IA to the IB.

You can perform this action only on new IAs that are in status ‘New IA – RO Phase’

**IA Status: New IA - RO Phase**

i.e., New IAs that you have created in ePCT by using the operation ‘Create New IA for Further Processing’ or new IAs that your Office has received via ePCT-Filing (see list of new IAs displayed in the tab ‘New IA’).
Select the action ‘Transmit Record Copy to IB’ and click on OK.

For IAs filed in paper, in case you did not type or start yet entering draft bibliographic data but you did not load it, you will get the following confirmation message:

Click Cancel if you wish to go-back to the sub-tab ‘Bibliographic Data Draft’ to enter more data and to load it before transmitting the IA.

Click OK if you prefer to launch the action Transmit Record Copy to IB without loading the draft bibliographic data (This means that any draft data entered previously will be lost).

The following screen will be displayed:

The screen of the action ‘Transmit Record Copy to IB’ shows the following information:
- A check box to generate the form RO/105 at the same time of the transmittal of the record copy to IB

- The list of uploaded documents (documents that are stored in the sub-tab ‘Documents for RO’ under the File View)

- A check box to indicate whether the Search Fee has already been paid or not. For more details about this option, please refer to eSearch Copy under Office Profile and to the action ‘Confirm Search Fee to IB’.

For any IA the system checks if the file contains a document type ‘New International Application’ or a set of documents: request form and the IA body (description, claims, abstract and drawings, and if the status of each mandatory document is processed.

If none of the document is attached then you will get the following error message when you click the button:

The following error message shows you that both documents are attached but they have are not yet processed:

**Important**: All required documents of the record copy must be processed (status icon “processed”) before clicking on the button. Please refer to the paragraph ‘Process’ under Actions on Documents for more details.
CASE WHEN THE IA HAS NO DOCUMENTS

In case the IA does not contain any required document then the system displays this error message:

You can upload documents and launch again the action ‘Transmit Record Copy to IB’.

CASE WHEN THE IA IS NOT IN STATUS ‘NEW IA – RO PHASE’

In case you launch the action ‘Transmit Record Copy to IB’ on an IA which is not in status ‘New IA – RO Phase’, you will get the following error message:

CASE WHEN REQUIRED DOCUMENTS ARE NOT YET PROCESSED

Required documents are greyed out (e.g. RO/101, Application Body). As shown in the following screenshot, both documents are not processed yet and cannot be selected. By clicking on ‘Transmit Record Copy to IB’ you will get an error message saying that the Record Copy must contain either a New IA document (IA uploaded as a single document) or a request form and an application body, i.e., description and claims (IA uploaded as multiple documents):
To be able to transmit this IA, you must cancel the action, go back to ‘File View Tab’ and process required documents.

**CASE WHEN REQUIRED DOCUMENTS ARE PROCESSED**

Required documents are automatically ticked and greyed out by default, you can select other processed documents to be added to the Record Copy package.
Check if the name of the authorized Officer is correct and then click the button ‘Transmit Record Copy to IB’.

If the transmission of the Record Copy is performed successfully, you will get the following information message:

![Information](image)

Record copy transmitted to IB.

The status of the IA changes from **IA Status: Not yet Published** to **IA Status: New IA - RO Phase** and all selected documents move from the sub-tab ‘Documents for RO’ to the sub-tab ‘Record as held by the IB’ and the status of each document changes to ‘Not yet processed’:

![Table](image)

The system creates also a document ‘ePCT Office cover letter’ that summarizes the list of documents transmitted to the IB:
Note: The IA remains accessible by your Office users to upload other documents and to perform other actions.

GENERATING THE FORM RO/105 WHEN TRANSMITTING THE RECORD COPY

By ticking the check box ‘Generate RO/105’ the system displays the mailing date, the date of transmittal of the record copy to the IB, and the language of the form to be generated:
The date of mailing is prefilled by default with the current date at the receiving Office but could be replaced by another date in the future (for example: the date when the RO/105 could be printed and sent to an applicant who is not using ePCT):

Since the form RO/105 is generated and uploaded at the same time of the transmittal of the record copy to the IB, the check box ‘was transmitted to the International Bureau’ will be automatically
ticked and the date of transmittal set by default to the current receiving Office date (i.e. date when
the action transmit record copy to the IB is performed):

All other fields (address, applicant’s name, title of the invention, etc) are prefilled by the
bibliographic data of the IA.

Note: it is not possible to edit the generated form RO/105. In case you notice an error or you want to replace
the generated form, you can use the form ‘RO/105’ available under Actions (see paragraph Forms) or use the
standard RO/105 template from the WIPO website, save it as PDF and upload it.

CONFIRMING THE PAYMENT OF SEARCH FEE TO THE IB WHEN TRANSMITTING THE RECORD COPY

The check box ‘Search Fee has been paid’ should be automatically activated once the
configuration of the eSearch Copy module is done for your Office. Currently this check box should be
disabled for all receiving Offices. Please contact epct@wipo.int if you notice that this box is enabled
for your Office.

For more details, please refer to the paragraph ‘eSearch Copy’ of the Office profile or see the
paragraph of the online Office action ‘Confirm Search Fee to IB’

TRANSMIT NEW IA TO RO/IB (RULE 19.4)

In case your Office receives a new application but is not competent (Rule 19.4), please use the action
‘Transmit New IA to RO/IB (Rule 19.4)’ to transmit the IA to the receiving Office of the IB.
If the IA is received in paper or PCT-EASY format, then please create the New IA in the ePCT, prepare
necessary forms (RO/151 or RO/152) and use the action ‘Transmit New IA to RO/IB (Rule 19.4)’.
In case the IA is sent to your Office via ePCT-Filing, please open the IA, prepare necessary forms
(RO/151 or RO/152) and launch the action ‘Transmit New IA to RO/IB (Rule 19.4)’.
You will get the following screen:
- Date of receipt at the original receiving Office: corresponds to the date when your Office received the IA. This date corresponds to the date when the IA is first created in ePCT.
- Date of receipt at RO/IB: the current date at RO/IB
- List of mandatory document types RO/151 and RO/152. You must attach at least one of the two document types otherwise you will get the following error message:

> At least one of the forms RO/151 or RO/152 must be attached

Attach the form RO/151 or RO/152 and then click on the button ‘Submit’.
If the action is performed successfully, you will get the following information message:

```
The new IA MY2014030018 is successfully transmitted to RO/IB
```

The status of the IA changes from **IA Status : New IA - RO Phase** to **IA Status : Not yet Published** and all selected documents move from the sub-tab ‘Documents for RO’ to the sub-tab ‘Record as held by the IB’ and their status set to ‘Not yet processed’.
The system creates also a document ‘ePCT Office cover letter’ that summarizes the list of documents transmitted to the RO/IB (See the following example of an ePCT Office cover letter):

**ePCT Office Action**

**Transmit IA to RO/IB (Rule 19.4)**

**Intellectual Property Corporation of Malaysia - RO/MY**

IA Number: PCT/MY2014/009977  
Transmittal Date: 20 June 2014 (20.06.2014)

The following document(s) were submitted as attachment(s):

- New International Application
- (RO/151) Notification of Transmission of Purported International Application to the International Bureau as Receiving Office and Invitation to Pay Fee

Authorized Officer: /Office AA/
Date: 20 June 2014 (20.06.2014) 11:54:53 CEST
ePCT User: Office AA
Authentication: WIPO digital certificate

Once the new IA is processed by RO/IB you will not be able to open it again. If you search the same IA you will get the following message showing the old IA number and the new IA number assigned by
the IB: Click on the link to open the IB number and upload documents or to send an ePCT message.

If the IA is no longer in status ‘New IA – RO Phase’, you cannot perform this action. You will get the following error message:

In order to transmit priority documents to the IB:

- Open the IA and go the ‘Actions’ sub-tab.
- Select from the drop down list the action ‘Transmit Priority Doc(s) to IB’ and click ‘OK’.
- The system displays the following error message if the IA is not yet transmitted to the IB (i.e. still in status ‘New IA – RO Phase’):

- If the IA is already transmitted to the IB but it has no priority claims or if the priority document was already received by the IB, you get the following error messages:

Otherwise the list of all priority claims on record for the selected IA is displayed:
The date of transmittal to the IB is set by default to current date and cannot be modified by the user.

Select the priority document and choose in the drop down list the provider of the document. A priority document may be provided by an Applicant, prepared and transmitted by the RO or retrieved from DAS. Please note that the current release of ePCT for Offices does not yet include the possibility to retrieve priority documents from DAS.

If a priority document has already been received at the IB, the corresponding priority claim is not selectable.

If the priority document was ‘Provided by Applicant’ to the RO, enter the ‘Date of receipt at RO’ and Click on ‘Add Document’

Select the PDF document to be uploaded and click ‘Open’. The document will appear at the bottom in the list of uploaded documents showing the priority document and date, the File Name, provided by, date of receipt at RO and File size:
To remove the document, click the icon 🗑️.

- You may attach other documents or type a text message (optional), however, it is compulsory to sign the transmittal of a priority document by entering a text string signature in the Authorized Officer box. The name of the current user is set by default as Authorized Officer.

- After clicking on the ‘Submit’ button, you will get the following information message:

A document ‘ePCT Cover letter’ is automatically generated and transmitted immediately to the IB for processing. You may consult this document in the contents of the IA under File View (sub-tab Record as held by the IB’):
In order to submit an online request to the IB to withdraw an IA:

- Open the IA and go the sub-tab ‘Actions’.
- Select from the drop down list the action ‘Withdraw IA’ and click ‘Ok’.

Authorized Officer: OfficeUser
Date: 17 November 2014 18:21:51 CET
ePCT User: OfficeUser
Authentication: WIPO digital certificate
The withdrawal request can be either at the request of the Applicant (if the Applicant addressed a notice of withdrawal to the RO), or at the request of the RO (e.g., IA considered withdrawn if no fees have been paid):

- Choose from the drop down list ‘Requested by’: ‘receiving Office’ or ‘Applicant’

If ‘Requested by’ is receiving Office:

- Choose from the drop down list ‘Requested by’ and select ‘receiving Office’.
Withdrawal date is set by default to the current date and cannot be modified by the user.

Attach mandatory document RO/117: Notification that International Application Considered to be Withdrawn.

You can optionally attach other documents (e.g. RO/136).

If ‘Requested by’ is Applicant:

Withdrawal date is set by default to the current date and can be modified by the user. This date must not be in the future and not before the International Filing Date.

Attach mandatory document type ‘Withdrawal of International Application’ provided by the applicant.

You can attach other documents, e.g., RO/136, Power of Attorney, etc.

You may add a text in the message field (optional) if desired, however, it is compulsory to sign the withdrawal request by entering a text string signature in the Authorized Officer box. The name of the current user is set by default as Authorized Officer.
After clicking on ‘Submit’ button you will get the following information message:

A document entitled “Withdrawal of International Application” is automatically generated and transmitted immediately to the IB. You may consult this document under ‘File View’ (sub-tab ‘Record as held by the IB’):

Example of the document ‘Withdrawal of International Application’:

**ePCT Office Action**

**Withdraw IA**

**XY - RO/XY**

IA Number: PCT/XY2012/000003
International Filing Date: 01 October 2012
Withdrawal Date: 17 November 2014
Withdrawn by: Receiving Office

The following document(s) were submitted as attachment(s):

  (RO/117) Notification that International Application Considered to be Withdrawn

Authorized Officer: [Office User]
Date: 17 November 2014, 18:36:33 CET
ePCT User: Office User
Authentication: WIPO digital certificate
IMPORTANT: The usual time limits apply for requesting withdrawal of the IA. In particular, in order to prevent international publication, the IA must be withdrawn before the close of technical preparations for international publication. If technical preparations have already closed, the system will warn you of this fact at the time of selecting the action to withdraw an IA. You may then decide whether or not to proceed with the request for withdrawal, bearing in mind that the IA will in any case be published.

Note: Applicants can also submit actions to the IB to withdraw an IA via ePCT private services.

WITHDRAW PRIORITY CLAIM(S)

In order to submit an online request to the IB to withdraw one or several priority claims in an IA:

- Open the IA and select the sub-tab ‘Actions’
- Select from the drop down list the action ‘Withdraw Priority Claim(s)’ and click ‘Ok’.

- The withdrawal request can be either at the request of the Applicant (if the Applicant addressed a notice of withdrawal to the RO), or at the request of the RO.

Choose from the drop down list ‘Requested by’: ‘receiving Office’ or ‘Applicant’.

If ‘Requested by’ is receiving Office, the Withdrawal date is set by default to current date, and cannot be modified.

If ‘Requested by’ is Applicant, the Withdrawal date could be modified. This date must not be in the future and not before the International Filing Date:
Select one of the proposed priority claim(s) to be withdrawn.
- Attach mandatory document: RO/111 (Notification Relating to Priority Claim) or the document type ‘Withdrawal of Priority Claim’ provided by the applicant.
- You can optionally attach other documents (e.g., power of attorney, RO/136).
- You may add text in the message field (optional) if desired, however, it is compulsory to sign the withdrawal request by entering a text string signature in the Authorized Officer box. The name of the current user is set by default as Authorized Officer.

- After clicking on the ‘Submit’ button you will get the following information message:
A document ‘Withdrawal of Priority Claim’ is automatically generated and transmitted immediately to the IB for processing. You may consult this document in the contents of the IA under ‘File View’ (sub-tab ‘Record as held by the IB’):

**ePCT Office Action**

**Withdraw Priority Claim(s)**

**Intellectual Property Corporation of Malaysia - RO/MY**

<table>
<thead>
<tr>
<th>IA Number:</th>
<th>PCT/MY2014/080015</th>
</tr>
</thead>
<tbody>
<tr>
<td>International Filing Date:</td>
<td>06 June 2014</td>
</tr>
<tr>
<td>Withdrawal Date:</td>
<td>22 June 2014</td>
</tr>
<tr>
<td>Withdrawn by:</td>
<td>Receiving Office</td>
</tr>
</tbody>
</table>

The withdrawal concerns the following priority claim(s):

- MY 12345 28 June 2013

The following document(s) were submitted as attachment(s):

- (RO/111) Notification Relating to Priority Claim

**Authorized Officer:** /AAL/

**Date:** 22 June 2014 15:49:39 CEST

**ePCT User:** Office AA

**Authentication:** WIPO digital certificate

**IMPORTANT:** The usual time limits apply for requesting withdrawal of a priority claim. In particular, in order to delay international publication, the priority claim must be withdrawn before the close of technical preparations for international publication. If technical preparations have already closed, the system will warn you of this fact at the time of selecting the action to withdraw a priority claim.
You may then decide whether or not to proceed with the request for withdrawal of the priority claim, bearing in mind that the international publication date will not be affected.

Note: Applicants can also submit actions to the IB to withdraw priority claim(s) via ePCT private services.

**APPLICATION NOT BE TREATED AS AN INTERNATIONAL APPLICATION**

This action is made available to the receiving Office to stop either new applications before transmitting the Record Copy to the IB or to send a request to the IB to stop an IA that has already been transmitted by mistake.

There are several reasons for stopping an IA: Article 11 defect, national security or any other reason which could be specified by the receiving Office.

**Case when the application is still under the control of the RO (status: New IA – RO Phase):**

- Open an application that is still in status ‘New IA – RO phase’ and select the sub-tab ‘Actions’
- Select from the drop down list the action ‘Application not to be treated as an IA’ and click OK.

- Select the reason from the drop down list and click the button “Submit”.
- If you choose ‘Other’ as reason, then you will be requested to enter text explaining the reason(s):
By click on the button ‘Submit’ you will get the following warning message:

![Warning](image1)

Click on ‘Confirm’, if the action is performed successfully then you will get the following information message:

![Information](image2)

Clicking on ‘OK’ should display the following message: saying that this application is no longer treated as international application, which means that you cannot access this application through ePCT anymore:

![Information](image3)

Please send an email to epct@wipo.int if you perform this action by mistake.

**Case when the IA is already sent to the IB:**
- Open an application that is not in status ‘New IA – RO phase’ and is not yet published.
- Click the sub-tab ‘Actions’ and select from the drop down list the action ‘Application not to be treated as an IA’ and click OK.
- You will get the same screen as for applications that are still in status ‘New IA – RO Phase’ (see previous paragraph).
- By clicking the button ‘Submit’, you will get the following warning message:

```
Application not to be treated as an IA: confirming this action will result in the IB stopping all access to the application in ePCT.
```

- Click on ‘Confirm’, if the action is performed successfully then the system will create a cover letter and add it automatically in the ‘File View’ (sub-tab ‘Record as held by the IB’) in status “Not yet processed”tab for processing by the IB.

The following screenshot shows an example of ePCT Office cover letter generated when this action is performed:

**ePCT Action**

**Application not to be treated as an IA**

**European Patent Office (EPO) - RO/EP**

- IA Number: PCT/MY2014/009977
- International Filing Date: 20 June 2014 (20.06.2014)
- Stop Processing Date: 20 June 2014 (20.06.2014)
- Stop Processing Reason: Security

**Signature** /Office AA/
**Date:** 20 June 2014 (20.06.2014) 12:27:22 CEST
**Authorized Officer:** Office AA
**Authentication:** WIPO digital certificate

**CONFIRM SEARCH FEE TO IB (ESearch COPY)**

This action could be launched only for IAs that have been already transmitted to the IB and for which the pair RO-ISA is defined in the Office Profile. This means that your Office in its capacity as receiving Office should have an agreement with the ISA in order to receive automatically from the IB the Search Copy.
This action should automatically generate the following error message if the configuration of the eSearch Copy module is not yet done for your Office:

![Error](image)

You do not have access rights to do this operation.

If the IA is still in status ‘New IA - RO Phase’ (i.e. the Record Copy is not yet sent to the IB) then you will get the following error message:

![Error](image)

You are not allowed to perform this action before transmitting the Record copy to the IB.

Note: The action ‘Confirm Search fee to IB’ is the same as the check box [Search Fee has been paid](image) which is made available under the action ‘Transmit Record Copy to IB’. Currently the check box and the action ‘Confirm Search fee to IB’ should be disabled for all receiving Offices. Please contact [epct@wipo.int](mailto:epct@wipo.int) if you notice that the box is enabled or the action is accessible by your Office.

**FORMS**

There are three possibilities of generating a PCT form:

- Use the ePCT integrated module by selecting the right form from the dropdown list Actions & Forms.
- Open the link of the WIPO PCT resources web page and complete manually the editable PCT form, save it as PDF file and upload it into ePCT through ‘Upload Documents’ tab.
- Continue using your current way of generating forms and upload them into ePCT as PDF files through ‘Upload Documents’ tab.

The following explanations are mainly covering the first possibility (using ePCT integrated module to generate forms):
Select a Form from the drop down list and click OK

*Note: Please note that the Form that is visible in ePCT after upload is not sent to the applicant by the ePCT system, therefore, you must print or download a copy of any RO Form generated using ePCT and send it to the applicant by whichever conventional method your Office currently uses.*

**RO/105 - NOTIFICATION OF THE IA NUMBER AND OF THE INTERNATIONAL FILING DATE**

Select Form RO/105 in the drop down list and click OK:

The following fields are displayed:

- **Language**: language of the form to be generated
- **Date of mailing**: this date is prefilled by default with the current date at the receiving Office. It could be replaced by another date in the future (for example: the date when the RO/105 could be printed and sent to an applicant)

- **Date of transmittal to the IB**: this date is prefilled by default with the current date at the receiving Office but could be replaced by another date in the past (for example: the office has already transmitted the record copy to the IB and decides to send the RO/105 to the applicant another day)

- **Authorized Officer**: this field is prefilled with the ePCT user. You can modify it if the authorized officer is another person.

The button [Preview] allows you to view a draft copy of the form RO/105. You can check the data and ticked boxes of the draft form. Once you are happy with the content of the RO/105, you can click the button [Generate and Upload Form] to generate and upload the RO/105 in the file of the IA.

If the form RO/105 is generated successfully then you will get the following message:

![Information](Image)

After clicking on OK, the system refreshes the IA data and displays by default the File View of the IA:

- In case the IA is in status ‘New IA - RO Phase’, the generated form will be stored under the sub-tab ‘Documents for RO’ as a processed document:

- In case the IA is NOT in status ‘New IA - RO Phase’, the generated form will be stored under the sub-tab ‘Record as held by the IB’ as a ‘Not yet processed’ document:
You may download or print the generated form and send it to the applicant.

*Note: it is not possible to edit the generated form RO/105. In case you notice an error or you want to replace the generated form, you can generate another RO/105 using the standard RO/105 template from the WIPO website, save it as PDF and upload it.*

**RO/117 - NOTIFICATION THAT IA CONSIDERED TO BE WITHDRAWN**

Select Form RO/117 in the drop down list and click OK:

The following fields are displayed:

- **Language**: language of the form to be generated

- **Date of mailing**: this date is prefilled by default with the current date at the receiving Office. It could be replaced by another date in the future.

- **Reason for Withdrawal**: the reasons are listed in the dropdown list (same as in RO/117)
The screen displays different options based on each selected reason:

- **Authorized Officer**: this field is prefilled with the ePCT user. You can modify it if the authorized officer is another person.

The button [Preview] allows you to view a draft copy of the form RO/117. You can check the data and ticked boxes of the draft form. Once you are happy with the content of the RO/117, you can click the button [Generate and Upload Form] to generate and upload the RO/117 in the file of the IA.

If the form RO/117 is generated successfully then you will get the following message:

[Information]

RO117 generated successfully.

After clicking on OK, the system refreshes the IA data and displays by default the File View of the IA:
The generated form RO/117 is stored under the sub-tab ‘Record as held by the IB’ as a ‘Not yet processed’ document.

You may download or print the generated form and send it to the applicant.

**RO/132 - COMMUNICATION IN CASES FOR WHICH NO OTHER FORM IS APPLICABLE**

Select the Form RO/132 in the drop down list and click OK:

The following fields and radio buttons are displayed:

- **Language**: language of the form to be generated
- **Date of mailing**: this date is prefilled by default with the current date at the receiving Office. It could be replaced by another date in the future.

- **Reply due within**: Select this radio button and enter the number of days or months (e.g. 10 days or 2 months) from the date of mailing during which the reply should take place.

- **Important communication / Information Only**: two radio buttons indicating whether the communication in important or for information only

- **Communication**: this field is mandatory and it is limited to 2000 characters.

The button **Preview** allows you to view a draft copy of the form RO/132. You can check the data and ticked boxes of the draft form. Once you are happy with the content of the RO/132, you can click the button **Generate and Upload Form** to generate and upload the RO/132 in the file of the IA.

If the form RO/132 is generated successfully then you will get the following message:
After clicking on OK, the system refreshes the IA data and displays by default the File View of the IA:

The generated form RO/132 is stored under the sub-tab ‘Record as held by the IB’ as a ‘Not yet processed’ document.

You may download or print the generated form and send it to the applicant.

RO/150- INVITATION TO FURNISH TRANSLATION OF IA AND TO PAY, WHERE APPLICABLE, LATE FURNISHING FEE

Select the Form RO/150 in the drop down list and click OK:

The following fields are displayed:
- **Language**: language of the form to be generated

- **Date of mailing**: this date is prefilled by default with the current date at the receiving Office. It could be replaced by another date in the future.

- **Translation not yet received in**: the language(s) accepted by the ISA. This filed is set by default.

- **Late furnishing Fee (if applicable)**: shows currencies accepted by the RO

This field is enabled only if the translation is not received within the time limit (one month from the date of receipt of the IA).

- **Authorized Officer**: this field is prefilled with the ePCT user. You can modify it if the authorized officer is another person.

The button **Preview** allows you to view a draft copy of the form RO/150. You can check the data and ticked boxes of the draft form:

Once you are happy with the content of the RO/150, you can click the button **Generate and Upload Form** to generate and upload the RO/150 in the file of the IA.

- If the form RO/150 is generated successfully then you will get the following message:

After clicking on OK, the system refreshes the IA data and displays by default the File View of the IA:
The generated form RO/150 is stored under the sub-tab ‘Record as held by the IB’ as a ‘Not yet processed’ document.

The following example shows the RO/150 generated after the time limit:

- The language(s) for the required translation

- Option 2.b is ticket because the RO/150 is generated after the time limit

- Date of receipt of the IA is automatically set by the system

1. The applicant is hereby notified that this receiving Office has not yet received the required translation of the international application into a language which is all of the following:
   - a language accepted by the International Searching Authority that is to carry out the international search; and
   - a language of publication; and
   - a language accepted by this receiving Office (unless the international application is filed in a language of publication);
   that is, into the (or one of the) following language(s):
   German, English

2. The applicant is hereby invited
   a. to furnish the required translation within one month from the date of receipt of the international application
      (date of receipt: ________________);
   b. in the event that the required translation is not furnished within the time limit referred to in item 2.a, to furnish that translation
      – within one month from the date of mailing of this Invitation or
      – within two months from the date of receipt of the international application
      (date of receipt: ________________), whichever expires later,
      together with a late furnishing fee of ________________ EUR

3. Failure to furnish the required translation and/or, where applicable, to pay the required late furnishing fee within the applicable time limit referred to in item 2.b will result in the international application being considered withdrawn.

A copy of this invitation is being sent to the International Bureau.

You may download or print the generated form and send it to the applicant.
UPLOADING AND PROCESSING SUBSEQUENT DOCUMENTS

Uploading documents is done only through the sub-tab ‘Upload Documents’. Open an IA and click the button which is available in the File View or select the sub-tab ‘Upload Documents’:

The system automatically displays one or more options under ‘Capacity’ and ‘Recipient’:

- Depending of your access role(s), the capacity of your Office for the selected IA (RO, ISA and IPEA) and the status of the IA (e.g. New IA-RO Phase, Not yet published, etc).
- The list of recipients is enabled depending on whether the Office (as recipient) accepts eRouted documents via ePCT. For more information, please refer to Office Profile - section ‘ePCT processing settings’.

Note: If the ISA and the IPEA are not yet defined for the selected IA (e.g. filing type Paper), then the system will not display the radio buttons ISA and IPEA.

Note: It is not possible to upload documents to an IA with multiple capacities selected at the same time. You need to choose the specific capacity in which the document is being uploaded. To upload subsequent documents in a different capacity, choose another role and upload other document types.

List of document types:
The list of document types changes based on the selected capacity. The following screenshot shows an example of an upload document done by an Office in its capacity as RO to an ISA (as recipient):

1. Choose first the capacity of your Office.
2. Select the recipient (‘My Office’ is selected by default). The list of recipients depends on the status of the IA (e.g. for IAs that are in status ‘New IA – RO Phase’ only ‘My Office’ is proposed as recipient. You will not be able to upload documents to the attention of the IB or another office ISA or IPEA before the Record Copy is sent to the IB).
3. Select the right document type from the list of available documents and then click ‘Add Document’.

---

Maximum upload limit - 20MB per file

---

Document Type | File
---|---
Translation of Application Body for the purposes of international search (Rule 12.3) | Translation of Application Body for the purposes of international search (Rule 12.3)
4. Select the PDF document to be uploaded and click ‘Open’. The document will appear at the bottom in the list of uploaded documents showing the document type; the File Name and File size:

5. Click the ‘Upload’ button to confirm the upload.

If the document is uploaded successfully, then you will get the following information message:

6. The system refreshes the IA screen and displays the File View with the document uploaded in the right recipient sub-tab (e.g., for the recipient was ISA, the document is displayed in the sub-tab ‘Documents for ISA/EP):

   In case the recipient Office has the possibility to process documents in ePCT, a set of actions on documents will be automatically added to the list.

   Please refer to the paragraph ‘Actions on documents’ for more details about how to process and transmit uploaded documents.

   **Add an Informal Note for the processing team at the IB**
If you select IB as recipient when uploading documents, then the system will automatically display the check box. Please check the box and add a message in case you wish to provide an explanation about uploaded document(s):

You message will be included in the generated ePCT cover letter:

**ePCT Document Upload**

**ePCT Office Services**

- **IA Number:** PCT/MY2014/00017
- **International Filing Date:** 11 June 2014
- **TO:** IB
- **Date at recipient Office:** 19 June 2014 15:31:51 CEST
- **From:** RO/MY - Intellectual Property Corporation of Malaysia
- **ePCT User:** Office AA

**Message:**

> Please rename the RO document because I did not find the right document type in the list.

> Thank you

The following document(s) have been uploaded via ePCT Office Services:

- Power of Attorney
- RO Document

**Authorized Officer:** Office AA/
**Authentication:** WIPO digital certificate
Office users can upload documents for an IA that does not yet exist in the IB database:

- Enter the IA number in the field ‘Search by IA number’ or select the search criteria ‘IA number’ from the drop down list and then click the ‘Search’ button:

- You will get a message informing you that the IA does not yet exist in the IB system, and asking you whether you want to upload documents for this IA.

- By clicking OK a new tab with the IA number as title will open:
Choose first the type of document based on your role (DO, RO, ISA, IPEA) and then click ‘Add Document’.

Select the PDF document to be uploaded and click ‘Open’. The document will appear at the bottom in the list of uploaded documents showing the document type; the File Name and File size. Please refer to ‘Important notice about scanned PDF files’ for more details about the validation of the PDF files (color, format, size, orientation, etc).

Add an informal note for the processing team at IB about uploaded documents.

Click the ‘Upload’ button in the bottom right-hand corner of the screen to confirm the upload.

The IA will be created in the IB system and the uploaded documents will be visible in the File View of the IA.
SENDING AND RECEIVING EPCT MESSAGES

The link ‘Send ePCT Message’ allows you to send a secure ePCT Message to the processing team at the IB or to other Offices acting in a different capacity than your role (e.g. an RO user can send an ePCT to message to IB, ISA or IPEA).

By clicking the link, you will get the following screen. One or multiple capacities are automatically proposed based on the role of your Office for the selected IA (DO, RO, ISA and/or IPEA):

Select the right recipient (IB, RO, ISA or IPEA), type your text message and click on ‘Send’ button.

If your message is successfully sent then a copy of the ePCT Message is added to the list of documents in the File View:

- Added to the sub-tab ‘Record as held by the IB’ if the selected recipient is IB
- Added to the sub-tab ‘Documents for RO’ if the selected recipient is RO
- Added to the sub-tab ‘Documents for ISA’ if the selected recipient is ISA
- Added to the sub-tab ‘Documents for IPEA’ if the selected recipient is IPEA

Click the ePCT Message to view the PDF document with the message:
ePCT Message (Office Services)

From European Patent Office (EPO) - RO/EP


To: ISA/EP

Date at recipient Office: 19 November 2014 17:27:29 CET

From: European Patent Office (EPO) - RO/EP

epCT User: Allal Office TEST

This ePCT message is sent from RO to ISA

Authorized Officer: /RO User /

Authentication: WIPO digital certificate

You can check the content of the ePCT message and decide what could be the next step:

- Process the ePCT message (document) and

  a. Mark is as private document

  b. Delete it

  c. Transmit it to the IB or to another Office (e.g. RO, IPEA)

Please refer to ‘Actions on Documents’ for more details.
NOTIFICATIONS RECEIVED BY OFFICES

This screen displays the notifications related to the IAs for which your Office is RO, ISA or IPEA. Notifications are generated following an action performed by the applicant on an IA (e.g., new document uploaded by the applicant or an ePCT message sent by a private user) or by the IB (e.g., new PCT form issued and addressed to your Office, ePCT message or a reminder regarding IAs that remain in New IA-RO Phase for more than three weeks):

The notifications screen contains the following information:

1. Unread Unread 959: shows the total number of unread notifications. Each time you open a notification this number should decrease.

2. View column:  and  show whether the notification is still new or has already been opened. Click on envelop to see more details about the notification. The content of the popup information message is depending of the notification type: document generated by the IB, document uploaded by the applicant, ePCT message, etc.
3. The IA number: link to open directly the IA contents.

4. IA status: the current status of the IA.

5. Type [ID]: type of the notification and its ID number. By clicking this link, you will open directly the related document or message:

- General Correspondence [1]
- New International Application [3]
- (RO/110) Invitation to Correct Priority Claim and/or Notification of Possibility to Request Restoration of the Right of Priority [5]
- Replacement Substitute sheets (Rule 20) [4]
- Reminder – Send Record Copy to ID
- ePCT Message [14]

6. From: This column indicates the party (Applicant, IB, etc) who has performed the action that generated the notification.
7. Received: This column indicates the date of receipt of the notification. ‘xxx’ corresponds to the total number of notifications received (i.e. not yet closed).

8. Capacity: This column displays the recipient of the notification and whether the document was addressed (to) or copied (cc) to the Office. Office users with more than one ePCT access role (ePCT-RO, ePCT-ISA and ePCT-IPEA) should be able to see whether the document was added or copied to their Office as RO, ISA or IPEA.

9. The button ‘Clear selected notifications’ allows you to remove selected notifications that have been already opened:
By clicking this button, you will get the following warning message asking you to confirm the action:

![Confirmation required]

Are you sure you want to clear the notification(s)?

OK  Cancel

The number of received notifications will decrease each time a notification is cleared.

10. Filter: allows you to filter the list of notifications using the information displayed in different columns:

- **IA Status**: list of notifications for IAs that are in a specific status (e.g., Not yet published)
- **From**: list of notifications sent by the same sender (e.g., from IB, from applicant).
- **Received date**: list of notifications received between two dates
- **Capacity**: list of notifications addressed (To) or copied (Cc) to your Office in one of its capacities (e.g. to RO, cc ISA)
STATUS REPORT OF THE IA

- The File View sub-tab screen is divided in two parts: the upper part of the screen displays the bibliographic data summary of the IA and the lower part of the screen displays the documents on file at the International Bureau. The IA status report: is located in the bibliographic data summary part which is also available under other ePCT tabs (Time Line, History, Actions, etc) except the tab ‘Bibliographic data’ which contains the full bibliographic data of the select IA.

- The IA status report provides you with the up-to-date data on file at the IB. You can view the data in PDF or XML format.
<table>
<thead>
<tr>
<th>(12) International Application Status Report</th>
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<tbody>
<tr>
<td><strong>Received at International Bureau:</strong> 18 April 2012 (18.04.2012)</td>
</tr>
<tr>
<td><strong>Report generated on:</strong> 01 May 2013 (01.05.2013)</td>
</tr>
<tr>
<td><strong>Publication number:</strong> WO2012/013646</td>
</tr>
<tr>
<td><strong>Publication date:</strong> 04 October 2012 (04.10.2012)</td>
</tr>
<tr>
<td><strong>Publication language:</strong> English (EN)</td>
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<tr>
<td><strong>Filing Date:</strong> 30 March 2011 (06.03.2011)</td>
</tr>
<tr>
<td><strong>Filing language:</strong> English (EN)</td>
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<tr>
<td><strong>Priority number(s):</strong> 466/01/2011 (IN)</td>
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<td><strong>Priority date(s):</strong> 01 April 2011 (01.04.2011)</td>
</tr>
<tr>
<td><strong>Priority status:</strong> Priority document received (in compliance with PCT Rule 171)</td>
</tr>
</tbody>
</table>

### (71) International Patent Classification:
A01K14/16 (2006.01)

### (72) Applicant(s):
SAPOO, Bhaskar Shankar, 163, Tulsipal, via Vil., Bharatpur Distt., Anga–759128, Orissa, India Angel 759128 (IN) (for all designated states)

### (73) Inventor(s):
SAPOO, Bhaskar Shankar, Vil., Tulsipal, via Vil., Bharatpur Distt., Anga–759128, Orissa, India Angel 759128 (IN)

### (74) Assignee(s):
BANGLADESH AGRICULTURAL INSTITUTE, A-401, Arana Building, Lacha Road, Mirpur, Dhaka 1000, Bangladesh (BD)

### (51) Title (EN): HERBAL COMPOSITIONS FOR INCREASE AND IMPROVEMENT OF MILK YIELD IN CATTLE
### (51) Title (FR): COMPOSITIONS Á BASE DE PLANTES POUR L’AUGMENTATION ET L’AMELIORATION DE LA PRODUCTION LACTEE CHEZ LES BOVINS

### (80) Abstract:
(EN): The present invention is a preferred embodiment for herbal compositions for increase and improvement of milk yield in cattle. The present invention also provides for the methods of preparation and various forms of administration of the said compositions. The said compositions comprise at least a part of Acalyha laevis, Anethum graveolens.

(AR): La présente invention concerne des composés alimentaires à base de plantes pour l’augmentation et l’amélioration de la production laitière chez les bovins. La présente invention concerne aussi les procédés de préparation et les diverses formes d’administration des dites composés. Lesdits composés comprennent au moins une partie d’Acalyha laevis, Anethum graveolens.

**International search report:** Not available (IPS)

**International preliminary examination report:** Not available

### (81) Designated States:

**IASR – International Application Status Report**

- The third icon available allows you to preview the bibliographic data in the form of a front page for the IA when it will be published.
BIBLIOGRAPHIC DATA OF THE IA

When you open an IA, this sub-tab shows up-to-date bibliographic data information related to that IA:

Use the ‘.expand’ icon to expand a section or the ‘collapse’ icon to collapse it. The link ‘Expand/Collapse all’ allows you to collapse or expand all sections of the bibliographic data sub tab at the same time.
You can download the bibliographic data in PDF format by using this icon:

Download bibliographic data: 🔗

Example of bibliographic data in PDF format:

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<tr>
<th>General Information</th>
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<tr>
<td>International application number:</td>
<td>PCT/MY2014/080010</td>
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<tr>
<td>Receiving Office:</td>
<td>MY</td>
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<tr>
<td>Date of Receipt at Receiving Office:</td>
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</tr>
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<td>23 May 2014 (23.05.2014)</td>
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<tr>
<td>Applicant/agent's file reference:</td>
<td>AA-MY-211</td>
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<td>English</td>
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<tr>
<td>Filing type:</td>
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<td>Processing Team at the IB:</td>
<td>PTO1</td>
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<td>Request for indication of availability for licensing purposes received:</td>
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<table>
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<tr>
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<tr>
<td>Publication language:</td>
<td>English</td>
</tr>
<tr>
<td>Current target date for international publication:</td>
<td>26 November 2015 (26.11.2015)</td>
</tr>
<tr>
<td>International publication number:</td>
<td>Not yet Published</td>
</tr>
<tr>
<td>International Publication Date:</td>
<td>Not yet Published</td>
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<tr>
<td>Early Publication Requested:</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Priority Claim(s)</th>
<th></th>
</tr>
</thead>
</table>

| Applicant(s) and Inventor(s) |  |

| Agent, Common Representative or Address for Correspondence |  |

| Designations |  |
TIME LINE OF THE IA

The Time Line sub-tab allows you to view graphically the PCT timeline related to the IA (as shown below). Use the mouse scroll to navigate the chart or double-click to “grab” and then drag the mouse to see all the information. By clicking on each item on the Time Line you can view the corresponding time limit details in relation to the current day’s date which is indicated by the green arrow.

A text summary of the Time Line information is displayed under the Time Line graphic.
HISTORY

There are two types of history in ePCT:

- History of the Office user, which summarizes the work done so far on ePCT.

- History of the IA, which lists all actions and the work performed by all Office users on the same IA.

USER HISTORY (MY HISTORY)

This tab shows all the actions that have been performed by you in the ePCT system for all IAs to which you have access.

When you open the ‘My History’ tab, the start and end dates are set by default in such a way that you have a default view of all your actions for the last one week period.

The ‘My History’ list shows the following columns:

- IA Number: click on the IA Number to open the contents of the IA.

- IFD: The International Filing Date of the IA.

- File Ref: The agent’s or applicant’s file reference for the IA.
Type of Action: shows the details of actions performed, documents uploaded, form generated, etc.

Audit info: provides details related to the different actions performed.

Date/Time: shows the date of the action, if you point the date with the cursor, the time will also appear as a tool tip text.

Click on this icon to download your history data as an Excel spreadsheet.

**IA HISTORY (SUB-TAB HISTORY)**

This sub-tab shows the IA history with regard to any action performed on the IA: Register new IA, Transmit IA to IB, upload document, actions, forms generation, etc.

The IA History list shows:

1. The user name (first and last name) that performed the action. By pointing the cursor at the name, a tool tip will appear showing the Customer ID of that user.

2. The Type of Action taken, e.g., uploaded document, ePCT Action, form generated, etc.
3. The Audit info: gives details of the action performed, e.g., 'Withdraw IA request submitted', etc.

4. The Event date: the date on which the action took place. The precise time of the action taken appears as a tooltip when you place the cursor on the date.

It is also possible to narrow the search by entering a specific ‘Start date’ and ‘End date’ and by clicking the ‘Search’ button. To reset the search, click ‘Reset’. Use the arrows at the top of each column name to sort the column entries.
SUPPORT

Should you have any questions or require any assistance, please contact:

- For PCT business related questions: the Processing Team at IB as indicated in the File View header:

  Processing Team at IB : pt05.pct@wipo.int
  Tel. +41 22 338 74 05

  [Send ePCT Message]

  Example of an IA processed by IB processing Team Number 5

- For technical questions or queries about ePCT, digital certificates or access roles, please send an e-mail to epct@wipo.int or contact the PCT eServices Help Desk by clicking on ‘CONTACT US’ and filling in the web form.

End of document.