

## Agreement

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

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

(as in force from October 20, 2011)\*

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\* Done at Geneva on October 3, 2007, and last amended with effect from October 20, 2011 (see *Official Notices (PCT Gazette)* dated December 13, 2007, pages 266 to 271, September 25, 2008, page 120, December 11, 2008, page 160, March 26, 2009, pages 61 and 62, July 30, 2009, page 125, December 17, 2009, page 187 June 17, 2010, pages 107 and 108, July 22, 2010, page 133, March 10, 2011, page 37, and October 20, 2011, page 152).

This consolidated text has been prepared by the International Bureau of WIPO on the basis of the original Agreement, which exists in English.

## **Preamble**

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

*Considering* that the PCT Assembly, having heard the advice of the PCT Committee for Technical Cooperation, has appointed the United States Patent and Trademark Office as an International Searching and Preliminary Examining Authority under the Patent Cooperation Treaty and approved this Agreement in accordance with Articles 16(3) and 32(3),

*Hereby agree as follows:*

## **Article 1 Terms and Expressions**

- (1) For the purposes of this Agreement:
  - (a) “Treaty” means the Patent Cooperation Treaty;
  - (b) “Regulations” means the Regulations under the Treaty;
  - (c) “Administrative Instructions” means the Administrative Instructions under the Treaty;
  - (d) “Article” (except where a specific reference is made to an Article of this Agreement) means an Article of the Treaty;
  - (e) “Rule” means a Rule of the Regulations;
  - (f) “Contracting State” means a State party to the Treaty;
  - (g) “the Authority” means the United States Patent and Trademark Office;
  - (h) “the International Bureau” means the International Bureau of the World Intellectual Property Organization.
- (2) All other terms and expressions used in this Agreement which are also used in the Treaty, the Regulations or the Administrative Instructions have, for the purposes of this Agreement, the same meaning as in the Treaty, the Regulations and the Administrative Instructions.

## **Article 2 Basic Obligations**

- (1) The Authority shall carry out international search and international preliminary examination in accordance with, and perform such other functions of an International Searching Authority and International Preliminary Examining Authority as are provided under, the Treaty, the Regulations, the Administrative Instructions and this Agreement.
- (2) In carrying out international search and international preliminary examination, the Authority shall apply and observe all the common rules of international search and of international preliminary examination and, in particular, shall be guided by the PCT International Search and Preliminary Examination Guidelines.

(3) The Authority shall maintain a quality management system in compliance with the requirements set out in the PCT International Search and Preliminary Examination Guidelines.

(4) The Authority and the International Bureau shall, having regard to their respective functions under the Treaty, the Regulations, the Administrative Instructions and this Agreement, render, to the extent considered to be appropriate by both the Authority and the International Bureau, mutual assistance in the performance of their functions thereunder.

### **Article 3**

#### **Competence of Authority**

(1) The Authority shall act as International Searching Authority for any international application filed with the receiving Office of, or acting for, any Contracting State specified in Annex A to this Agreement, provided that the receiving Office specifies the Authority for that purpose, that such application, or a translation thereof furnished for the purposes of international search, is in the language or one of the languages specified in Annex A to this Agreement and, where applicable, that the Authority has been chosen by the applicant.

(2) The Authority shall act as International Preliminary Examining Authority for any international application filed with the receiving Office of, or acting for, any Contracting State specified in Annex A to this Agreement, provided that the receiving Office specifies the Authority for that purpose, that such application, or a translation thereof furnished for the purposes of international preliminary examination, is in the language or one of the languages specified in Annex A to this Agreement and, where applicable, that the Authority has been chosen by the applicant and that any other requirements regarding such application as specified in Annex A to this Agreement have been met.

(3) Where an international application is filed with the International Bureau as receiving Office under Rule 19.1(a)(iii), paragraphs (1) and (2) apply as if that application had been filed with a receiving Office which would have been competent under Rule 19.1(a)(i) or (ii), (b) or (c) or Rule 19.2(i).

### **Article 4**

#### **Subject Matter Not Required to Be Searched or Examined**

The Authority shall not be obliged to search, by virtue of Article 17(2)(a)(i), or examine, by virtue of Article 34(4)(a)(i), any international application to the extent that it considers that such application relates to subject matter set forth in Rule 39.1 or 67.1, as the case may be, with the exception of the subject matter specified in Annex B to this Agreement.

### **Article 5**

#### **Fees and Charges**

(1) A schedule of all fees of the Authority, and all other charges which the Authority is entitled to make, in relation to its functions as an International Searching Authority and International Preliminary Examining Authority, is set out in Annex C to this Agreement.

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

- (i) refund the whole or part of the search fee paid, or waive or reduce the search fee, where the international search report can be wholly or partly based on the results of an earlier search (Rules 16.3 and 41.1);
- (ii) refund the search fee where the international application is withdrawn or considered withdrawn before the start of the international search.

(3) The Authority shall, under the conditions and to the extent set out in Annex C to this Agreement, refund the whole or part of the preliminary examination fee paid where the demand is considered as if it had not been submitted (Rule 58.3) or where the demand or the international application is withdrawn by the applicant before the start of the international preliminary examination.

#### **Article 6 Classification**

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

#### **Article 7 Languages of Correspondence Used by the Authority**

For the purposes of correspondence, including forms, other than with the International Bureau, the Authority shall use the language or one of the languages indicated, having regard to the language or languages indicated in Annex A and to the language or languages whose use is authorized by the Authority under Rule 92.2(b), in Annex D.

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

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

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

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

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

This Agreement shall remain in force until December 31, 2017. The parties to this Agreement shall, no later than July 2016, start negotiations for its renewal.

**Article 11**  
**Amendment**

(1) Without prejudice to paragraphs (2) and (3), amendments may, subject to approval by the Assembly of the International Patent Cooperation Union, be made to this Agreement by agreement between the parties hereto; they shall take effect on the date agreed upon by them.

(2) Without prejudice to paragraph (3), amendments may be made to the Annexes to this Agreement by agreement between the Director General of the World Intellectual Property Organization and the Authority; and, notwithstanding paragraph (4), they shall take effect on the date agreed upon by them.

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

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

(4) Any amendment notified under paragraph (3) shall take effect on the date specified in the notification, provided that, for any change in the currency or amount of fees or charges contained in Annex C, for any addition of new fees or charges, and for any change in the conditions for and the extent of refunds or reductions of fees contained in Annex C, that date is at least two months later than the date on which the notification is received by the International Bureau.

**Article 12**  
**Termination**

(1) This Agreement shall terminate before December 31, 2017:

- (i) if the United States Patent and Trademark Office gives the Director General of the World Intellectual Property Organization written notice to terminate this Agreement; or
- (ii) if the Director General of the World Intellectual Property Organization gives the United States Patent and Trademark Office written notice to terminate this Agreement.

(2) The termination of this Agreement under paragraph (1) shall take effect one year after receipt of the notice by the other party, unless a longer period is specified in such notice or unless both parties agree on a shorter period.

**Annex A  
States and Languages**

Under Article 3 of the Agreement, the Authority specifies:

- (i) the following States for which it will act, so far as Article 3(1) is concerned:  
United States of America, Bahrain, Barbados, Brazil, Chile, Dominican Republic, Egypt, Guatemala, India, Israel, Mexico, New Zealand, Oman, Peru, Philippines, Qatar, Saint Lucia, Saint Vincent and the Grenadines, South Africa, Thailand, Trinidad and Tobago;
- (ii) the following States for which it will act, so far as Article 3(2) is concerned:  
United States of America and,  
where the Authority has prepared the international search report, Bahrain, Barbados, Brazil, Chile, Dominican Republic, Egypt, Guatemala, India, Israel, Mexico, New Zealand, Oman, Peru, Philippines, Qatar, Saint Lucia, Saint Vincent and the Grenadines, South Africa, Thailand, Trinidad and Tobago;
- (iii) the following language which it will accept:  
English.

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

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

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

**Annex C  
Fees and Charges**

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

<b>Kind of fee or charge</b>	<b>Amount (US dollars)</b>
Search fee (Rule 16.1(a))	2,080
Additional search fee (Rule 40.2(a))	2,080
Preparation of an international-type search report on a United States national application	40
Preliminary examination fee (Rule 58.1(b)):	
– where the international search fee has been paid on the international application to the Authority	600
– where the international search was carried out by another Authority	750
Additional examination fee (Rule 68.3(a))	600
Cost of copies (Rule 94.2):	
– US patent, per copy	3
– non-US patent document, per copy	25

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

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

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

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

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

**Annex D  
Languages of Correspondence**

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

English.

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