



# ■ Regional Workshop on Patent Examination Quality Management

Session 10

QMS in the International Setting from the Point of View of WIPO

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# What is “Quality” in Patent Examination?

- Time factor
- Appropriate decision on patentability (grant/reject)
  - Stability of patent right
- Communication with stakeholders (e.g. applicants)
- Satisfaction of customer (e.g. applicants)

# Quality Management System

■ Quality Control

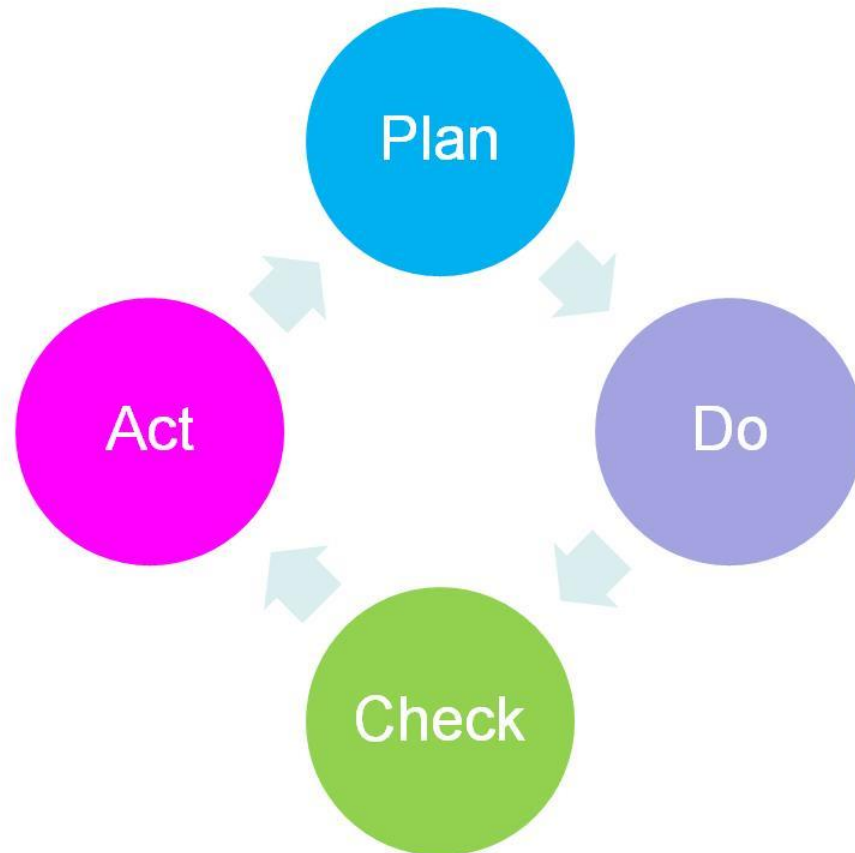
■ Management

Planning

Assurance

Control

Improvement

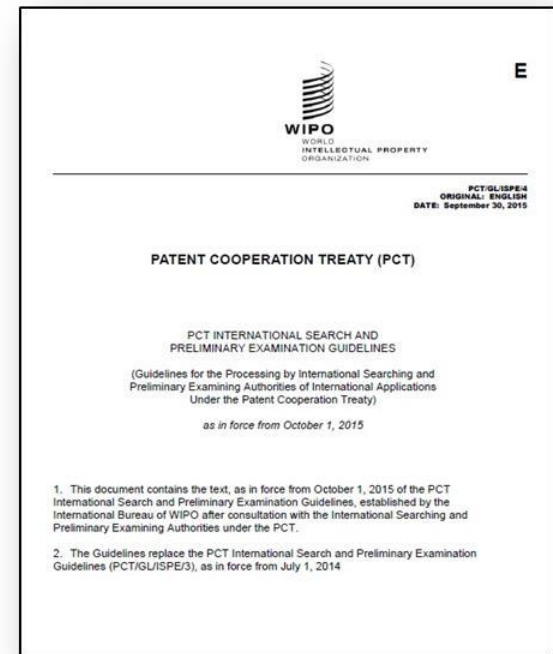


# Quality Management in the PCT System

## PCT INTERNATIONAL SEARCH AND PRELIMINARY EXAMINATION GUIDELINES

### Chapter 21

### Common Quality Framework for International Search and Preliminary Examination



# PCT Quality Framework

1. Leadership and policy
2. Resources
3. Management of administrative workload
4. Quality assurance
5. Communication
6. Documentation
7. Search process documentation
8. Internal review
9. Reporting arrangements

# Cooperation (Work sharing)

- Collaboration
- Cooperation
- Work sharing





# PCT/MIA Quality Subgroup

- Reports on QMS under Chapter 21 of the PCT Search and Examination Guidelines
- Sharing of Quality Policies and Guidelines
- Collecting User Feedback
- Feedback and Analysis on ISR and WO
- Quality Metrics

# Characteristics of International Search Reports

- % of PCT Search Reports (SR) with at least one X, Y or E citation
- % of PCT SR with A citation only
- % of PCT SR with P and X
- % of PCT SR with Y and without X
- Average number of citations per SR
- Average number of NPL citations per SR
- % of patent citations in non-official languages ...



# WIPO IP Statistics Data Center

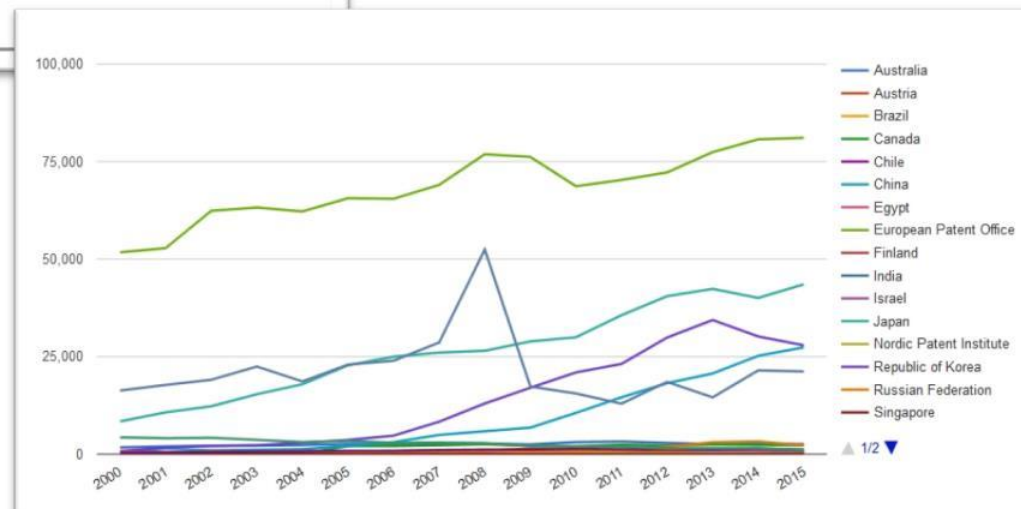
Key indicators Patent Trademark Industrial design Utility model **PCT** Madrid Hague

Indicator

Report type

Year range

- Indicator
- 1 - PCT applications by filing date
- 2 - PCT applications by date of receipt at IB
- 3 - PCT applications by filing medium (filing date)
- 4 - PCT publications by language
- 5 - PCT publications by technology
- 6 - PCT publications by IPC class
- 7 - PCT publications by A1/A2
- 8a - International Searching Authorities (ISA) selected by applicants
- 8b - International Searching Authorities (ISA) selected by RO
- 9 - International Search Reports established by ISA
- 10 - Chapter II Demands by IPEA
- 11 - International preliminary examinations by IPEA
- 12 - Requests of Supplementary International Searches (SIS) by SISA
- 13 - Timeliness of RO to transmit copies of PCT filings to IB
- 14 - Timeliness of ISA to transmit ISR to IB (from priority date)
- 15 - Timeliness of ISA to transmit ISR to IB (from receipt of search copy)
- 16 - Timeliness of IPEA to transmit IPER to IB (from priority date)
- 17 - Timeliness of IB to publish PCT filings
- 18 - Timeliness of IB to publish late ISRs




# Better Understanding of the Work of Other Offices

- Publication of Data Related to Search Strategies
- Standardized Clauses

1. (WO2011015910) CABLE CONNECTOR

PCT Biblio. Data	Description	Claims	National Phase	Notices	Drawings	Documents
<b>International Application Status</b>						
Date	Title	View		Download		
08.04.2016	International Application Status Report	HTML, PDF		PDF, XML		
<b>Published International Application</b>						
Date	Title	View		Download		
10.02.2011	Initial Publication without ISR (A2 06/2011)	PDF (19p.)		PDF (19p.), ZIP(XML + TIFFs)		
10.01.2013	Later publication of international search report (A3 02/2013)	PDF (8p.)		PDF (8p.), ZIP(XML + TIFFs)		
<b>Search and Examination-Related Documents</b>						
Date	Title	View		Download		
28.11.2012	Search Strategy	PDF (1p.)		PDF (1p.), ZIP(XML + TIFFs)		
28.11.2012	Translation of the ISR	PDF (4p.)		PDF (4p.), ZIP(XML + TIFFs)		
28.11.2012	International Search Report	PDF (4p.)		PDF (4p.), ZIP(XML + TIFFs)		
27.11.2012	(IB/373) International Preliminary Report on Patentability Chapter I	PDF (5p.)		PDF (5p.), ZIP(XML + TIFFs)		
27.11.2012	Written Opinion of the International Search Authority	PDF (4p.)		PDF (4p.), ZIP(XML + TIFFs)		

# Search Strategy available on PATENTSCOPE

		<b>Search Information Statement (SIS)</b>	
<b>Application Number</b>		<b>PCT/IB2010/001723</b>	
<b>A. Search Details</b>			
<b>Additional Members of the Search Team (if convened):</b>	R. Perera, B. Mitrovic	<b>Earlier Search Results (if available)</b>	
		<b>Current SIS Completion Date</b>	21 November 2012
<b>B. Search Strategy</b>			
Databases : WPI, EPODOC			
SS Results			
1	868661	CONNECTOR?	
2	868661	..LIM 1	
3	209289	CABL+ OR WIRE? OR CONDUCTOR?	
4	209289	..LIM 3	
5	14421	SHIELD+ OR SCREEN+	
6	14421	..LIM 5	
7	9851	OR FIRST, SECOND+, INNER, OUTER, LOWER, UPPER, OTHER, ANOTHER, TWO, TWIN, PAIR, DOUBLE, DUAL	
8	2597	7 5W 5	
9	7796	OR HOUSING?, CASING?, ENCLOSUR+, SHELL?, ENCAS+, SHROUD+, COVER+	
10	2181	7 5W 9	
11	803	8 AND 10	
12	996	PRINTED W CIRCUIT?	
13	1712	(CIRCUIT OR PRINTED) D BOARD?	
14	1939	OR 12, 13, PCB?	
15	87	11 AND 14	
16	3618	METAL+ OR ALUMIN+	
17	3046	CONDUCTIVE	
18	5878	16 OR 17	
19	5259	INSULAT+ OR DIELECTRIC+	
20	1152	7 5W 18	
21	1251	7 5W 19	
22	145	( 8 OR 20) AND (10 OR 21) AND 14	
23	428	( 8 OR 20) AND 14	
Results of search statements 15, 22, 23 viewed.			

## Search History:

### Limited Classification Search

The Patent Analyst performed a limited classification search within the following US, IPC, ECLA, or F-Term classification areas:

*U.S. Class/Subclass(es):* 435/4, 5, 6.1, 6.12, 6.15, 7.2, 7.32, 29, 34, 69.1, 69.7, 71.1, 91.1, 91.2, 91.32, 91.33, 91.4, 471, 472, 476, 477, 478

*IPC (B) Class/Subclass(es):* C12N 7/00, 7/01, 7/02, 15/00, 15/09, 15/10, 15/33, 15/34, 15/52, 15/63, 15/66, 15/76; C12Q 1/68, 1/70 (2012.01)

See Global Search Results.

### Global Patent Literature Text Search

The Patent Analyst performed the following global text search, which was not limited by classification but may or may not have been limited by other criteria:

#### PATBASE

#	Search query	Results
1	(PA=("SEQUELLA" OR "SEQUELLA_INC" OR "SEQUELLA_INCORPORATED"))	11
2	(INV=("MULVEY_MATTHEW" OR "MULVEY_MATTHEW_C"))	3
3	(INV=("EINCK_LEO" OR "EINCK_LEO_MCLEAN_VA_22101_US" OR "EINCK_LEO_US"))	6
4	(INV=("SACKSTEDER_KATHERINE"))	2
5	2 AND 3 AND 4	2
6	PN=WO2006/075996	1
7	PN=WO97/22713	1
8	PN=WO99/16868	1
9	PN=US6300061	1
10	PN=WO93/16172	1
11	PN=WO94/25572	1
12	(surrogate marker locus)	2
13	(mycobacterium tuberculosis) OR tuberculosis	28537
14	detect- OR diagnose-	more than 100,000
15	viable-	more than 100,000
16	(virulence) OR efficacy	more than 100,000
17	(bacteriophage) OR phage	75720

# Discussions continue ...

- What would be the best practice?
- It's your turn to think and act.