ePCT for receiving Offices, Designated Offices and International Authorities

Office User Guide

ePCT version 4.10

WHAT IS ePCT?
ePCT is a secure browser-based system available in the 10 languages of publication offering a wide range of functions for applicants, IP Offices and third parties. Users with the relevant access rights can login to ePCT using their WIPO Account to access the latest bibliographic data and documents on record at the International Bureau (IB), including before publication. Log-in with strong.

WHY USE ePCT?
Applicants can file new international applications to participating PCT receiving Offices and manage all subsequent processes using ePCT.

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WHAT IS EPCT FOR OFFICES?

The ePCT system for receiving Offices (RO), International Authorities and Designated Offices, provides 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’ including 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 applications and/or priority claims.

The ePCT graphical user interface is available in all 10 languages of international publication (Arabic, Chinese, English, French, German, Japanese, Korean, Portuguese, Russian and Spanish). You can choose your preferred language in the dropdown list of languages located in top right of the login screen:

HOW CAN I ACCESS EPCT?

To use ePCT for Offices, follow the step-by-step process for new IP Office users at: https://pct.wipo.int/ePCT/about-newusers.xhtml.

To modify your WIPO Account details, to change your password or to set a new authentication method, refer to the WIPO Account FAQ (https://www.wipo.int/ipportal-
WHAT EXTENT OF PROCESSING CAN BE DONE BY MY OFFICE USING EPCT?

Depending on the capacity of your Office (RO, ISA, IPEA or DO) and the access roles assigned to you as Office user, you will get one of the following of options:

- **Task List** as default screen, **Search** and **Create New IA**: if your Office is acting as RO and has the processing enabled in ePCT.

- **Search** and **Create New IA**: if your Office is acting as RO and does not have the processing enabled in ePCT

- Only **Search** and **Task List**: if your office is acting in a different role than RO and has the processing enabled (e.g. Office acting as ISA/IPEA only)

- Only **Search**: if your office is acting in a different role than RO and **does not have** the processing enabled (e.g. Office acting as ISA/IPEA only)

WHAT IS THE PROFILE OF MY OFFICE?
The Office Profile section summarizes the profile of your Office (settings) as defined in the IB’s database. The Office profile defines what processing options have been selected by your Office, indicates which users have access and provides information regarding the treatment of applications such as accepted document distribution methods, signature types and Office closed dates.

To access your office profile, click on your name and select the option ‘Office Profiles’:

The profile of your Office is set up and maintained by the IB. If you notice any incorrect information or would like to update some of the information then please contact the PCT eServices helpdesk at pct.eservices@wipo.int.

What is the role of the Office main contact(s) for ePCT?

The main contact person(s) nominated by each Office are responsible for all communications with the IB regarding the access of Office users to ePCT, and any other ePCT related subjects. The main contact(s) must be copied on any correspondence regarding any change requests and may be nominated per Office role (RO, ISA or IPEA):

What does the Office profile show?

Office Users

This section of the Office profile allows you to view the list of users at your Office who have a WIPO Account and at least one ePCT access role (ePCT-DO, ePCT-RO, ePCT-ISA or ePCT-IPEA). The list of users per Office is visible only to users from that Office.

Note: Please note that Office users who have administrator rights cannot access and use ePCT. Administrators can only manage Office WIPO Accounts (e.g. create new users, modify user’s data, enable/disable Office WIPO Account, assign access roles, etc.). For more information about the role of the Office Administrator, please contact pct.eservices@wipo.int.

ESEARCH COPY

This section of the Office profile shows the list of competent International Searching Authorities for your receiving Office and the list shows the receiving Offices for which your Office acts as ISA, if applicable:
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.

**ACCEPTED SIGNATURE TYPES**

This section of the Office profile shows for your Office, in its various capacities, the acceptable signature types for electronic document submission.

- **Office Role IPEA**
  - Signature Types: Text, Image

- **Office Role ISA**
  - Signature Types: Text, Image

- **Office Role RO**
  - Signature Types: Text, Image
PROCESSING SETTINGS

This section of the Office profile 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.

*Note: it should be noted that the production and demo systems do not always have the same settings for each Office.*

The following screenshot shows the processing settings of your Office in its various capacities (RO, ISA and/or IPEA), noting that for the ISA a second section is available listing the standard clauses registered in the system:

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 Documents section of the IA and your Office will be notified.

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

- **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.

- **The RO can create paper new IAs using ePCT:** recording new applications received in paper.

- **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 to the applicant once the RO has transferred the International Application from their system using PCT EDI:** The new IA is automatically sent to your own electronic filing server. The applicant and Office users will be able to access the documents and the data on the IA once the Record Copy is received by the IB.

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**STANDARD CLAUSES**

This section of the Office profile shows the list of standard clauses configured for use by the International Searching Authority.
CURRENT DISTRIBUTION

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
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- **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 future years. The current year is displayed by default:

- **OFFICE CLOSED DATES**

  Closed weekly on Saturday and Sunday

  Additional closed dates per year
  2017

  - Friday, 6 January 2017
  - Monday, 17 April 2017
  - Monday, 1 May 2017
  - Thursday, 25 May 2017
  - Monday, 5 June 2017
  - Thursday, 16 June 2017
  - Tuesday, 16 August 2017
  - Thursday, 26 October 2017
  - Wednesday, 1 November 2017
  - Friday, 8 December 2017
  - Monday, 26 December 2017
  - Tuesday, 26 December 2017

**OFFICE OUTAGE DATES**

This section shows your Office outage dates where online systems have affected the ability to file applications, as notified to the IB, for the current, previous and future years. The current year is displayed by default:
OFFICE OUTAGE DATES

Outage dates per year
2021

No Office outage dates data available for the year selected
SEARCH INTERNATIONAL APPLICATIONS

QUICK SEARCH

The Search screen allows Office users to search one or multiple IAs using either a simple search field (by IA number, File reference or publication number) or available buttons (Quick Search) to search applications based on predefined search criteria:

**New IAs – RO Phase:** All applications in status ‘New IA – RO Phase’ that your Office in its capacity as receiving Office has either received electronically or created manually following a paper filing.

**Pending P.Docs:** All applications which have at least one priority that still has no priority document provided by either the receiving office or the applicant.

**Pending Documents:** All applications which have at least one document in status ‘Not yet Processed’ (document should be under the section corresponding to the Office capacity RO, ISA, and IPEA).
Processed but not sent to IB Documents: All applications that have at least one processed document that has not yet been transmitted to the IB.

Unread Notifications: All applications that have at least one unread notification that was sent to the Office.

Important: Offices with RO role only can search only IAs that have been filed in their respective Offices (e.g. SG Office can search only IAs that were filed in RO/SG, the search result should return only applications with the IA number starting with PCT/SGyyyy/nnnnnn). The search result for Offices that have more than one capacity (RO, ISA and IPEA) should be all IAs for which that Office is acting as RO, ISA or IPEA, assuming that the user who conducted the search has the appropriate access role(s). This condition applies to all kinds of searches in ePCT for Offices.

Office users are able to configure individually the columns to be displayed by the system:

User can save the new preferences by clicking the button ‘Save’ or restore default list of columns.
The order of the columns can be modified by using the drag and drop option. By clicking on the column name with the mouse and dragging it to another position the order of the columns is automatically modified.

**ADVANCED SEARCH**

The advanced Search offers you the possibility to search IAs, using a saved filter or a new search using one or a combination of multiple criteria to either process, or download a list of applications, or open the applications found in ePCT. You can combine as many criteria as you wish by using the button ‘Add criteria’:

The drop-down list ‘Search Criteria’ contains several fields which can be combined for search:
International application

- Filing date [from][to]: displays all IAs filed between the two dates (included)
- Filing method: Paper, E-Filing (PDF or XML)
- Filing language
- Accessed on [from][to]: displays all IAs accessed by any user in your Office between the two dates (included)
- Applicant/agent’s file reference
- Multiple IAs: display IAs included in a list of IA numbers that can be separated with spaces or commas or semi-colons
- Priority date [from][to]

Offices

- Receiving Office (RO): display all IAs filed with the selected RO
- International Searching Authority (ISA): displays all IAs that have the selected ISA
- International Preliminary Examining Authority (IPEA): displays all IAs that have the selected IPEA

Documents

- Document Type(s): All applications which contain the selected Document Type (Document type available under the Documents section tab)
- Document(s) received [from][to]
- Pending Documents
- Processed Documents
- New IAs and IAs with pending documents
- Priority Document not yet furnished: All IAs for which a priority document is still outstanding (or the priority document is not yet processed by the IB).
- IPRP II not yet received at IB: to retrieve all IAs for which the IPRP II is not yet delivered to the IB
- ISR not yet received at IB: to retrieve all IAs for which the ISR is not yet delivered to the IB
- ISR due [from][to]: to retrieve all IAs for which the ISR is expected to have provided during the predefined period
- IPRP due [from][to]: to retrieve all IAs for which the IPRP is expected to have provided during the predefined period
- IAs with draft ISR/WOSA: to retrieve all IAs for which a draft ISR/WOSA has been saved
- IAs with draft IPEA/408
- IAs with draft IPEA/409

Status

- IA Status: displays all IAs that are in the selected status (New IA-RO Phase, published, 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)
- Record Copy NOT YET received at IB
- Record Copy received at IB [from][to]: displays all IAs that have been received at IB between the two dates (included)
**Search Fee paid**  
**Search Copy status**

**Names**
- Names, with ability to search within type of party to the application (e.g. agent)

**Examiner**
- RO Examiner: to retrieve all IAs that are assigned to a receiving Office examiner  
- ISA Examiner: to retrieve all IAs that are assigned to an ISA examiner  
- IPEA Examiner: to retrieve all IAs that are assigned to an IPEA examiner

**Others**
- IA part of Collaborative Search (Pilot)  
- IPC: to retrieve all IAs that have a specific IPC code

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**PERFORMING ACTIONS ON SELECTED IAS**

When selecting multiple applications from the results list the user may perform a number of actions on all of the selected IAs using the Actions button. Available Actions are:

- Confirm Search Fee to IB  
- Assign to Examiner  
- Download fee information in XML and Excel formats

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**CONFIRMING SEARCH FEE TO IB**

This feature allows Offices to confirm simultaneously the receipt of the search fee for many IAs:

![Confirm Search Fee to IB](image_url)
ASSIGNING IAS TO OFFICE EXAMINERS

This feature allows Offices to distribute manually applications to their examiners depending on their role(s):

Select one or multiple applications and click Actions.

Select the action: Assign to Examiner and click OK. The following screen is displayed:

Depending on your Office role, the system displays the list of users per Office role (RO examiner, ISA examiner and IPEA examiner).
Select an examiner name and click the button Assign. The list should be refreshed with the examiner name displayed in the right column (RO, ISA or IPEA examiner).

**Note:** the examiner is not necessarily the Office user to whom all tasks are assigned. Depending on the organization of each Office and the role in which it is acting, the examiner and the user assigned to the tasks might be the same.

**DOWNLOAD FEE INFORMATION IN XML AND EXCEL FORMATS**

This feature allows Offices to download for the selected list of applications the search fee XML and Excel files needed for fee transfer processing with the IB.

This function is new in this version and Offices should contact the IB to agree how to start making use of the function. The function has been implemented in a limited manner and the IB is expecting feedback that will lead to improvements in this function in future releases.

**TASK LIST**

**ACCESSING THE LIST OF TASKS**

The task list is accessible only by users from Offices that have the ePCT processing enabled. It shows all pending tasks per IA:

Nine types of tasks are currently available in ePCT:

- **Transmit Record Copy to IB:** created automatically after each new PCT filing (paper or electronic)
- **Pending Documents**: created automatically if the application contains documents that are not yet processed by the Office.

- **Confirm Search Fee to IB**: Created automatically after the transmittal of the record copy (only if the checkbox ‘Confirm Search Fee to IB’ has not been ticked when transmitting the record copy to IB).

- **Draft ISR – WOSA**: this Task is automatically created once the drafting of the ISR-WOSA is started. Once the search report and written opinion has been generated, the related task is cleared from the task list.

- **Draft ISA/203 – WOSA**: this Task is automatically created once the drafting of the ISA203-WOSA is started. Once the search report and written opinion has been generated, the related task is cleared from the task list.

- **Draft ISA/206**: when a draft ISA/206 is saved a Task is automatically created and will remain visible in the task list until the ISA/206 is completed or cancelled. A reminder is automatically sent for these tasks when the Task is more than two weeks old.

- **Draft IPEA/408**: this Task is automatically created once the drafting of the IPEA/408 is started. Once the IPEA/408 has been generated, the related task is cleared from the task list.

- **Draft IPEA/409**: this Task is automatically created once the drafting of the IPEA/409 is started. Once the IPEA/409 has been generated, the related task is cleared from the task list.

- **Reminder**: a task with a mandatory deadline date that can be manually created and closed by Office users.

The columns shown in the list of tasks can be configured using the link ‘Columns’:

![Task List Screen](image)

Users can open the IA or launch the action directly from the task list. By clicking the task description, the system opens the IA and launches the task automatically.
If the user clicks on the IA number, the system opens the IA and displays the list of tasks related to the selected IA:

**MANAGING TASKS**

From the list of tasks, Office users can perform a number of actions on selected tasks:

**EDIT TASK**
Select one application/task from the list of tasks and click Edit Task:

By clicking OK, the following screen will be displayed allowing the user to edit the task details: Deadline, user name and the field remark.

ASSIGN TASK

A task can be assigned to an Office user depending on the capacity of the Office and the role assigned to the user:
The dropdown ‘Users’ contains the list of Office users.

Select one user and click the button ‘Assign’. The list of tasks will be refreshed showing the user name and Office code.

**UNASSIGN TASK**

Select one or multiple tasks and click Unassign task:

The user name will be removed from all selected tasks:
CLOSE TASK

This action allows users to close manually a task. Tasks that are created automatically cannot be closed manually (e.g. pending documents, Transmit record copy to IB).

Once a task is closed, the list of tasks is refreshed.

ADD TASK

New tasks can only be added within an IA. Users must first open an IA before adding a task:

The current ePCT version allows Office users to add only one task: Reminder

Click the button Add Task, the following screen will be displayed:
Select the capacity/role of your Office, or if your Office has only one role (e.g. RO) then the capacity filed is prefilled by default:

Select the task ‘Reminder’ from the dropdown list, set the deadline for the task and assign it to an Office user. Enter a remark if needed and then click the button Add.

The new task will be added to the list of tasks shown under the IA (e.g. RO Tasks):
And also added to the Task List of your Office:

**OVERVIEW OF AN INTERNATIONAL APPLICATION IN EPCT**

The IA screen allows Office users to access through the same screen all IA information as well as a set of authorized tasks and actions to be performed on the IA (list of pending tasks and actions based on the Office capacity, Upload documents, management of fees for receiving Offices, send ePCT Message):
Shortcut links are available in the top menu (floating menu that remains available when users scroll down) and allow to access each section of the screen.

The Close button (top right corner) allows users to close the IA and go back to the main screen (Search or Worklist).

INTERNATIONAL APPLICATION NUMBER MENU

The menu of functions available directly on the displayed International Application number allows users to:

- Office Comments: make a comment by Office role on an IA that will be viewable by ePCT Users
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- IA Status Report [PDF]: view the International Application Status Report in PDF format
- IA Status Report [XML]: download the International Application Status Report in XML format for the reuse of the data in another system
- Export eSearchCopy package [ZIP]: download the eSearchCopy package for the IA
- Add bookmark: create a bookmark for the international application in the browser that can be used to come back to the IA at a later time without having to search for it again.
- View draft IA as filed via ePCT: view the IA as seen by the Applicant/Agent as they filed the application using ePCT, see below.

VIEWING DRAFT IAS AS FILED

Competent RO, ISA, IPEA or DO office users can view the IA draft as it was filed using ePCT by selecting the function from the drop down menu next to the IA number:

The system will then display the application in ePCT as the user saw when they filed the application, showing the file reference rather than the IA number as the identifier of the application on screen:
TASKS

This section shows the list of pending tasks per IA and per Office capacity:

- **TASKS**
  - Add task

- **RO TASKS**

<table>
<thead>
<tr>
<th>Task</th>
<th>Created</th>
<th>Deadline</th>
<th>User</th>
<th>Remark</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transmit Record Copy to ID</td>
<td>03 Sep 2014</td>
<td>03 Oct 2014</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pending document</td>
<td>21 Sep 2018</td>
<td>21 Oct 2018</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Users can add a new task from the list of available tasks (e.g. Reminder):
Or perform some actions on existing tasks:

See more details in the section task list.

**ACTIONS**

The list of actions and PCT forms is refreshed based on the selected capacity of the Office (RO, ISA, IPEA or DO):
Actions and forms are designed in a consistent way where, the top part of the screen (e.g. language) and bottom part of the screen (Authorized officer, date of mailing, importance, notification sent to applicant and buttons), are always the same. Only the specific part (middle part) of each action or form is different:

A set of available actions and forms are shown per Office capacity:
Once the Office capacity is selected, the list of available actions and forms is refreshed accordingly:

<table>
<thead>
<tr>
<th>ACTIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Actions &amp; Forms</strong></td>
</tr>
<tr>
<td>Capacity *</td>
</tr>
<tr>
<td>RO</td>
</tr>
<tr>
<td>Action or Form *</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ACTIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transmit Record Copy to IB</td>
</tr>
<tr>
<td>Manage International Filing Date</td>
</tr>
<tr>
<td>Transmit New IA to RO/IB (Rule 19.4)</td>
</tr>
<tr>
<td>Transmit Priority Doc(s) to IB</td>
</tr>
<tr>
<td>Withdraw International Application</td>
</tr>
<tr>
<td>Withdraw Priority Claim(s)</td>
</tr>
<tr>
<td><strong>Withdraw Designation(s)</strong></td>
</tr>
<tr>
<td>Confirm Search Fee to IB</td>
</tr>
<tr>
<td>Rule 92bis change request</td>
</tr>
<tr>
<td>Manage Fees</td>
</tr>
<tr>
<td>Record Chapter II Demand</td>
</tr>
<tr>
<td>Application not to be treated as an IA (Stop processing)</td>
</tr>
<tr>
<td>Assign to an examiner</td>
</tr>
<tr>
<td>Ex officio corrections</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FORMS</th>
</tr>
</thead>
<tbody>
<tr>
<td>RO102-Notification Concerning Payment of Prescribed Fees</td>
</tr>
<tr>
<td>RO103-Invitaton to correct the purported International Application</td>
</tr>
<tr>
<td>RO105-Notification of the IA Number and of the International Filing Date</td>
</tr>
</tbody>
</table>

For actions that offer the possibility to save a draft that is then closed, the focus remains on the actions section that is expanded by default with the saved Draft action(s) visible.
DATA

When you open an IA, this section shows up-to-date bibliographic data related to that IA. Use the ‘►’ icon to expand a section or the ‘▼’ icon to collapse it.

### DATA

<table>
<thead>
<tr>
<th>VALIDATION REPORT</th>
</tr>
</thead>
<tbody>
<tr>
<td>No errors have been detected.</td>
</tr>
<tr>
<td>Report generated on 30 May 2019 at 11:18:00 CET</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>GENERAL INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>International Application Number: PCT/AT/2018/000001</td>
</tr>
<tr>
<td>Applicant/agent’s file reference: Nawi03-035</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>INTERNATIONAL PUBLICATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>International Publication Date: Not yet published</td>
</tr>
<tr>
<td>International Publication Number: Not yet published</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>PRIORITY CLAIM(S)</th>
</tr>
</thead>
<tbody>
<tr>
<td>AT</td>
</tr>
<tr>
<td>A S0702/2017</td>
</tr>
<tr>
<td>Not yet received; expected from RO</td>
</tr>
<tr>
<td>AT</td>
</tr>
<tr>
<td>PCT/AT/2018/000001</td>
</tr>
<tr>
<td>Not yet received; expected from RO</td>
</tr>
<tr>
<td>DE</td>
</tr>
<tr>
<td>102017010521</td>
</tr>
<tr>
<td>Not yet received; expected from Applicant</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NAMES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant, Legal entity: EPCT Test Center Vienna</td>
</tr>
<tr>
<td>All Designations</td>
</tr>
<tr>
<td>Applicant and Inventor, Natural person: Vomwen, Tamika</td>
</tr>
<tr>
<td>All Designations</td>
</tr>
</tbody>
</table>

DOCUMENTS

The Documents section contains the list of all documents of the IA. It contains four sections corresponding to the IB and the three Office capacities. Each section is shown only when there is at least one document within that section:
Documents that are under one of the Office capacities RO, ISA and IPEA are considered **NOT YET transmitted to the IB**. These documents must be processed and transmitted to the IB (documents will be moved under the part RECORD AS HELD BY THE IB), unless the Office considers that they are not part of the file or are not relevant for the international phase. In this case, Office users must change the status of the document either to processed or as ‘Office private’.

**DOCUMENT INFORMATION**

This feature allows users to view the history as well as general information of the document:

The history includes all types of actions performed on a document (e.g. process, rename, transmit, import, download, etc.), the name of the user who has performed it and the date of the event. It is
also possible to view the status, PATENTSCOPE visibility and view the document as it will be rendered by the IB.

Under Documents section, by clicking on the blue button appearing when the cursor is on the document, you will get the following screen:

* RECORD AS HELD BY THE IB

* DOCUMENTS FOR RIGHT

- Document 1: RO/146
  - Status: Not yet processed
  - Date: 29 March 2022

Example of general information document (RO/146).

**VIEW DOCUMENT**

This feature allows users to view documents alongside the application in ePCT:

The user can move within the document pages and scroll through the ePCT information to compare the information as needed:
UPLOAD DOCUMENT

Please refer to the section ‘Uploading documents’ for an IA under the Common ePCT Features for Offices.

FEES AND PAYMENTS

Fees and payments details are displayed in this section:

<table>
<thead>
<tr>
<th>FEES AND PAYMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Fee</strong></td>
</tr>
<tr>
<td>Transmission fee</td>
</tr>
<tr>
<td>Search fee</td>
</tr>
<tr>
<td>International filing fee</td>
</tr>
<tr>
<td>Fee for priority document</td>
</tr>
<tr>
<td>Fee for Earlier Search Documents</td>
</tr>
<tr>
<td><strong>Total Due</strong></td>
</tr>
<tr>
<td><strong>Total Paid</strong></td>
</tr>
<tr>
<td><strong>Balance</strong></td>
</tr>
</tbody>
</table>
It is possible for receiving Office users to update the fees using the Manage Fees button. Please refer to the action MANAGE FEES for more details.

### FEES

<table>
<thead>
<tr>
<th>Fee Type</th>
<th>Amount Due</th>
<th>Amount Paid</th>
<th>Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transmittal fee</td>
<td>CNY 500</td>
<td>CNY 0</td>
<td>CNY 500</td>
</tr>
<tr>
<td>Search fee</td>
<td>USD 230</td>
<td>USD 0</td>
<td>USD 230</td>
</tr>
<tr>
<td>International filing fee</td>
<td>USD 1,166</td>
<td>USD 0</td>
<td>USD 1,166</td>
</tr>
<tr>
<td>Fee for priority document</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Fee for Earlier Search Documents</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total Dues</td>
<td>CNY 500</td>
<td>CNY 0</td>
<td>CNY 500</td>
</tr>
<tr>
<td>Total Payments</td>
<td>USD 1,488</td>
<td>USD 0</td>
<td>USD 1,488</td>
</tr>
</tbody>
</table>

### TIMELINE

The Timeline section allows you to view a graphical representation of the PCT timeline of an 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 Timeline you can view the corresponding time limit details in relation to the current day’s date which is indicated by the red line.
A text summary of the key dates is displayed under the Timeline graphic.

Click an event in the graphic to see more details:

**NATIONAL PHASE ENTRY**
Office users can view the available National Phase Entry information, received from Designated Offices, for the IA.

**ACCESS RIGHTS**
Office users with at least one capacity (RO, ISA or IPEA) can see the name and email address of individuals (e.g. applicants, agents, etc.) who have access to the IA via ePCT. The column ‘Rights’ shows the level of access rights of the user (eOwner, eEditor or eViewer).
For more details about access rights, please refer to ePCT User Guide for applicants.

**ACCESS RIGHTS**

<table>
<thead>
<tr>
<th>Name</th>
<th>Granted On</th>
<th>Granted By</th>
<th>Rights</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jiao Mo</td>
<td>18 Apr 2016</td>
<td>Jiao Mo</td>
<td>eOwner</td>
</tr>
<tr>
<td>Kai Kan</td>
<td>19 Apr 2018</td>
<td>Jiao Mo</td>
<td>eEditor</td>
</tr>
</tbody>
</table>

**DESIGNATED OFFICES ACCESS**

<table>
<thead>
<tr>
<th>Name</th>
<th>Granted On</th>
<th>Granted By</th>
<th>Rights</th>
</tr>
</thead>
<tbody>
<tr>
<td>DO/CN</td>
<td>15 Mar 2017</td>
<td>ePCT Action (National Phase Entry)</td>
<td>Designated Office</td>
</tr>
</tbody>
</table>

The second part of the screen shows the list of designated Offices that have access to the IA following the receipt of national phase entry data.

**PERMITTING ACCESS RIGHTS TO IB**

It may be useful in some circumstances to grant access temporarily to the IB for an IA. To do so press the ‘Add IB eViewer access rights’ button:
Choose ‘IB access rights [eViewer]’ and enter a reason for granting the access and then press ‘Update’:

The resulting access rights are displayed along with the wastebasket button available for removing the rights once there is no longer a need for them.

**HISTORY**

This section shows the history of the IA 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 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’

4. The Capacity or role of the user who has performed the action

5. 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 down the search result 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.

To show more details concerning the actions on documents by ticking the box ‘Include detailed document history’.

**NOTIFICATIONS**

The section ‘NOTIFICATIONS’ shows all notifications related to the selected IA:
You can use the filter to show all or only unread notifications.

**SENDING AND RECEIVING EPCT MESSAGES FOR AN IA**

The link Send ePCT Message allows you to send a secure ePCT Message to:
- the team at the IB
- other Offices and competent Authorities (e.g. an RO user can send an ePCT message to IB, ISA or IPEA)
- Applicant: ePCT individual users who have active access rights to the IA, (who have the right to access the IA eOwner, eEditor, eViewer, e.g. applicants, agents, inventors, etc.)

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, IPEA or applicant), 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 Documents section:
- Added to section ‘Record as held by the IB’ if the selected recipient is IB
- Added to section ‘Documents for RO’ if the selected recipient is RO or the recipient is Applicant.
- Added to section ‘Documents for ISA’ if the selected recipient is ISA
- Added to section ‘Documents for IPEA’ if the selected recipient is IPEA

If the selected recipient is Applicant then the ePCT message is added to the section corresponding to the capacity of your Office as an “outgoing” document.
Click the ePCT Message to view the document with the message:

---

**ePCT Message (Office Services)**

*From State Intellectual Property Office of the People’s Republic of China - RO/CN*

---

**PCT/CN2016/080001 - TEST2016CZ02**

To: KAI KAN  
From: State Intellectual Property Office of the People’s Republic of China - RO/CN

**ePCT Message:**  
The ePCT Message is sent from the RO to the Applicant who has eOwner access rights for this IA

**Authorized Officer:** / John Doe /  
**Date at recipient Office:** 15 March 2017 10:14:04 CET  
**Authentication:** Secure online access

---

Access the international application directly in ePCT

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 it 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.

---

**STATUS REPORT OF THE IA**

Next to the IA number there is a dropdown menu (arrow), upon clicking on the menu it is possible to download the International Application Status Report (IASR) either in PDF or in XML. The IASR provides you with the up-to-date data on file at the IB.
(12) International Application Status Report

Received at International Bureau: 10 April 2012 (08.04.2012)
Report generated on: 08 May 2013 (08.05.2013)

(10) Publication number: WO2013/031544
(44) Publication date: 06 December 2012 (06.12.2012)
(21) Application Number: PCT/IB2012/051712
(22) Filing Date: 14 March 2012 (14.03.2012)
(33) Priority number(s): 405/ES/2011 (ES)
(31) Priority date(s): 01 April 2011 (01.04.2011)
(34) International Patent Classification:
A23K 1/36 (2006.01)

(71) Applicant(s):
SABRO, Reinhold; Berlin, Germany (DE); V.K. Tamilnadu Distt. Angul-759128, Odisha, India (IN)
(For all designated states)

(72) Inventor(s):
SABRO, Reinhold; Berlin, Germany (DE); V.K. Tamilnadu Distt. Angul-759128, Odisha, India (IN)

(74) Agent(s):
FAMSIN INNOVATIONS, A/O dmv; German Trade Association, Tannastrasse 3, Dusseldorf 40097, Germany

(54) Title (EN): ORGANIC COMPOSITION FOR INCREASE AND IMPROVEMENT OF MILK YIELD IN CATTLE
(54) Title (FR): COMPOSITIONS À BASE DE PLANTES POUR L'AMÉLIORATION DE LA PRODUCTION LACTÉE CHEZ LES BOVINS

(57) Abstract:
(EN): The present invention is a preferred embodiment providing 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 composition. The said composition comprises of a base of Aloe triandula.
(FR): La présente invention, dans une forme de réalisation précise, concerne des compositions à base de plantes pour l'amélioration de la production laitière chez les bovins. La présente invention concerne aussi les procédés de fabrication et les diverses formes d'administration de la composition désirée composées. La base des compositions comprend au moins une partie d'Aloe triandula.

International search report:
Not available (FP)

International preliminary examination report:
Not available

(81) Designated States:
UPLOAD DOCUMENTS

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]

The minimum requirements for a scanned PDF file are:

- Paper size: A4 or US letter
- Orientation: portrait
- Black and White (must not be greyscale or color)
- Resolution: 300 dpi minimum

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:

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 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 button available in ePCT to view how the document will look after it has been rendered for processing.

This is a 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 document button 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 ST.26 XML format (or ST.25 text format for IAs filed prior to July 1, 2022. Image/PDF format is not permitted for sequence listings.

The content of sequence listing files is checked for compliance with WIPO standard ST.26 (XML) format and any files that do not meet this standard cannot be attached. For applications filed prior to July 1, 2022, these applications must have sequence listing files in WIPO Standard ST.25 format (text).
UPLOAD DOCUMENTS FOR AN IA

Click Documents section Upload button:

The list of document types available for upload to your Office is displayed upon clicking on the drop-down list:

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 multiple documents (i.e. RO/101 request, description, claims, abstract and drawings are scanned as separated documents) or as a single package ‘New International Application’ (i.e., RO/101 request and other documents are scanned in one single file).

Select the document type and click the button

Select the PDF document to be uploaded and click ‘Open’. The document will appear at the bottom of 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 PDF files (color, format, size, orientation, etc.).

Before attaching a document, you must select a document type, if it is not done in that order you will get an error message:

The dropdown list ‘Document status’ is made available to users to set the status of a document during the upload operation. The option ‘Mark as processed’ is set by default. This means that the content of each document was checked and validated by the RO. The option ‘Mark as not yet processed’ can be selected when attaching a document that is yet to be checked by the user and marked as processed at a later stage.
The option ‘Mark as Office Private’ can be used when the Office user prefers to upload a document and make it visible only to its own Office users. This option can be used only for IA documents that are not relevant to other parties (e.g. private communication between the office and applicant or any other document that is not needed to be published or visible to IB or other parties).

Click the button to upload the document into the Documents’ section 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 Documents’ section with the recently uploaded documents highlighted. The new uploaded documents are located in the section ‘Documents for RO/XX’ (e.g. RO/CN) because the IA is still under the control of the RO.

Important: After upload, the documents description, claims, abstract and drawings are bundled in one single document type named ‘Application Body as Filed’
**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.

### UPLOAD DOCUMENTS FOR A NON-EXISTENT IA

Office users can upload documents for an IA that does not yet exist yet in the IB database:

- Enter the IA number in the search field

- You will get a message informing you that the IA does not yet exist in the IB system yet, and asking you whether you want to upload documents for this IA.
By clicking OK a new screen with the IA number as title will open:

- Click on DOCUMENTS and on the button Upload 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 of 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 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 Documents section of the IA.

NOTIFICATIONS RECEIVED BY THE OFFICE

To access the list of notifications, click on the icon or select from the dropdown menu the option ‘Notifications’.
The screen displays the notifications related to the IAs for which your Office is acting as RO, ISA or IPEA. Notifications are received in the following cases:

- a new document uploaded to your Office
- an ePCT message sent to your Office
- an IB notification addressed to your Office
- a reminder for New IAs remaining in RO Phase for more than three weeks
  - a New eFiling to your Office
  - a warning for a failed fax transmission
  - warning for a failed email transmission
- ISA notification (when your office is designated as ISA)

The system displays by default only the unread notifications.

You can modify the filter in order to display more notifications:
The notifications screen contains the following information:

1. **View column**:  and  show whether the notification is still new or has already been opened. Click on the envelope to see more details about the notification. The content of the popup information message depends on the notification type: document generated by the IB, document uploaded by the applicant, ePCT message, etc.

2. **The IA number**: link to open directly the IA contents.

3. **Subject**: Indicates the subject of the notification. It is displayed in red for a reminder or a failed fax or email and in blue for a new document received, ePCT Message or a new eFiling.

4. **Type [ID]**: type of the notification and its ID number. By clicking this link, you will open directly the related document or message:
5. From: This column indicates the party (Applicant, IB, etc.) who has performed the action that generated the notification.

6. 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.

7. Received date [xxx]: This column indicates the date of receipt of the notification. ‘xxx’ corresponds to the total number of notifications received (i.e. not yet cleared).

When selecting one or more notifications an action bar will appear allowing you to perform actions on the selected notifications.

The action bar offers three possible actions, Mark as Read, Mark as Unread and Clear selected notifications. The user is requested to confirm the selected action through a confirmation message.
The number of received notifications will decrease each time a notification is cleared or read.

The Filter allows to filter the list of notifications using the information displayed in different columns IA Status, From, Received date and Capacity.

USER HISTORY

Select the option ‘User History’ from the dropdown list:
The user history screen shows the history of all actions that have been performed by an Office user. You can select from the drop-down list an Office user in the ePCT system for all IAs to which the Office has access.

When you open the History screen, the start and end dates are set by default in such a way that you have a default view of all the actions for the last one week period. Your user name is set by default under user name filter. It is possible to select a different Office user as filter or ALL office users. The ‘History’ list shows the following columns:
o User Name
o IA Number: click on the IA Number to open the contents of the IA.
o Type of Action: shows the details of actions performed, documents uploaded, form generated, etc.
o Audit info: provides details related to the different actions performed.
o Event Date: shows the date of the action, if you point the date with the cursor, the time will also appear as a tool tip text.

REPORTING

ePCT Office Reports available to Office users accessed through the “MORE” functions menu on the ePCT screen:

The available reports are:
As shown in the dropdown list above, there are four types of reports: RO-xx, ISA-xx and IPEA-xx, and CS&E-xx for Collaborative Search and Examination.

In order to facilitate the work of the Offices and IB in the timely transmission and processing of record copies, search reports and IPERs, system notifications will be generated, and sent to the main contacts for Offices on a monthly / quarterly basis.

**RO-01 – APPLICATIONS FILED, BY TYPE AND STATUS**

Report RO-01 allows you to search the number of IAs filed in your Office between specified dates. The search results are presented by filing type and current status of the IAs.

Having clicked on the ‘Generate’ button, the report appears as follows:
Click on ‘Columns’ to select relevant columns to display.

Click the link ‘Download list’ to download the report results as shown on the screen. User can also click on the figures shown in the table to download the list of IAs corresponding to the selected criteria (Status, Filing method or total).

**RO-02 – PENDING (UNSENT) SEARCH COPIES**

This report covers all international applications for which the International Bureau (IB) has a record, the relevant Office is indicated as RO, the application has not been withdrawn or treated as not having been made, and the IB has not yet either received and processed a notification that a search copy has been received, or else received an international search report or declaration that no international search report will be established. This may mean that the search copy has not been sent to the ISA, that a notification of receipt of the search copy has not yet been sent, or that the IB has not yet received and processed a notification.

The date of receipt of search copy may not be known either because the RO has not yet sent the search copy to the ISA or because the International Bureau has not yet received and processed the notification of receipt of search copy. Where the date of receipt of the search copy is known to the IB, the target is based on the actual target date specified in Rule 42, save that non-working days and official holidays referred to in Rule 80.5 are not taken into account. Where the date of receipt of the search copy is not known, an artificial deadline of 16 months from priority is included to give a general idea of what the deadline might be.

The report shows the number of pending (unsent) search copies by weeks from the target date.

Clicking on any of the numbers in the table will generate a list of application numbers that fall into the relevant category, to assist Offices in identifying and overcoming any problems.
**RO-03 – PENDING (UNSENT) RECORD COPIES**

This report covers all international applications for which the International Bureau has a record, the relevant Office is indicated as RO, the application has not been withdrawn or treated as not having been made, and the International Bureau (IB) has not yet either received and processed a notification that a record copy has been received. This may mean that the record copy has not been sent to the IB, that a notification of receipt of the record copy has not yet been sent, or that the IB has not yet received and processed a notification.

The report shows the number of pending (unsent) record copies by weeks from the International Filing Date.

Clicking on any of the numbers in the table will generate a list of application numbers that fall into the relevant category, to assist Offices in identifying and overcoming any problems.
RO-04 – RO TIMELINESS IN TRANSMITTING RECORD COPIES

This report covers all international applications for which the International Bureau (IB) has a record, the relevant Office is indicated as RO, the application has not been withdrawn or treated as not having been made, and the IB has not yet either received and processed a notification that a record copy has been received. This may mean that the record copy has not been sent to the IB, that a notification of receipt of the record copy has not yet been sent, or that the IB has not yet received and processed a notification.

The purpose of this report is to facilitate the work of the ISA and IB in the timely transmission and processing of record copies. The report provides actual timeliness information across the last five quarters, presented by weeks from the International Filing Date.

Clicking on any of the numbers in the table will generate a list of application numbers that fall into the relevant category, to assist in identifying and overcoming any problems.
RO-05 – RO TIMELINESS IN TRANSMITTING SEARCH COPIES

This report covers all international applications for which the International Bureau (IB) has a record, the relevant Office is indicated as RO, the application has not been withdrawn or treated as not having been made, and the IB has not yet either received and processed a notification that a search copy has been received, or else received an international search report or declaration that no international search report will be established. This may mean that the search copy has not been sent to the ISA, that a notification of receipt of the search copy has not yet been sent, or that the International Bureau has not yet received and processed a notification.

The purpose of this report is to facilitate the work of the ISA and IB in the timely transmission and processing of search copies. The report provides actual timeliness information across the last five quarters, presented by weeks from IFD.

Clicking on any of the numbers in the table will generate a list of application numbers that fall into the relevant category, to assist in identifying and overcoming any problems.
ISA-01 – PENDING (UNSENT) SEARCH REPORTS

This report covers all international applications for which the International Bureau (IB) has a record, the relevant Office is indicated as ISA, the application has not been withdrawn or treated as not having been made, and the IB has not yet received and processed an international search report or declaration under Article 17(2)(a) that no international search report will be established. The current date, used for calculating the time from target (due date), is the date in the time zone of the IB in Geneva.

The date of receipt of search copy may not be known either because the ISA has not yet received the search copy, or because the International Bureau has not yet received and processed the notification of receipt of search copy. Where the date of receipt of the search copy is known to the International Bureau, the target is based on the actual target date specified in Rule 42, save that non-working days and official holidays referred to in Rule 80.5 are not taken into account. Where the date of receipt of the search copy is not known, an artificial deadline of 16 months from priority is included to give a general idea of what the deadline might be.

Clicking on any of the numbers in the table will generate a list of application numbers that fall into the relevant category, to assist Offices in identifying and overcoming any problems.
ISA-02 – SEARCH COPIES PENDING, BY RO

This report covers all international applications for which the International Bureau (IB) has a record, the relevant Office is indicated as ISA, the application has not been withdrawn or treated as not having been made, and the IB has not yet either received and processed a notification that a search copy has been received, or else received an international search report or declaration that no international search report will be established. This may mean that the search copy has not been sent to the ISA, that a notification of receipt of the search copy has not yet been sent, or that the IB has not yet received and processed a notification.

Clicking on any of the numbers in the table will generate a list of application numbers that fall into the relevant category, to assist Offices in identifying and overcoming any problems.
ISA-03 – INVALID IPC SYMBOLS

A report is available for ISA office users to generate a list of International Applications that are due to be published within the coming weeks where the IPC symbols are invalid.

The report produces a list of International Applications from which the user may directly access the Manage IPC Symbols action for each International Application by pressing the corresponding button.

ISA-04 – MISSING IPC SYMBOLS

A report is available for ISA office users to generate a list of International Applications that are due to be published within the coming weeks where the IPC symbols are not present.

The report produces a listing of International Applications from which the user may directly access the Manage IPC Symbols action for each International Application by pressing the corresponding button.

ISA-05 – TIMELINESS IN TRANSMITTING SEARCH REPORTS

This report covers all international applications for which the International Bureau (IB) has received an International Search report in each of the quarters included in the report for the relevant Office indicated as ISA, where the application has not been withdrawn or treated as not having been made. The current date, used for calculating the due date and timeliness, is the date in the time zone of the IB in Geneva.

The date of receipt of search copy may not be known because the IB has not yet received and processed the notification of receipt of search copy. Where the date of receipt of the search copy is known to the IB, the due date is based on the actual target date specified in Rule 42, save that non-working days and official holidays referred to in Rule 80.5 are not taken into account. Where the date of receipt of the search copy is not known, an artificial deadline of 16 months from priority is included to give a general idea of what the deadline ought to have been.
The purpose of this report is to facilitate the work of the ISA and IB in the timely transmission and processing of search reports. The report provides actual timeliness information across the last five quarters, presented by weeks before or after due date.

Clicking on any of the numbers in the table will generate a list of application numbers which fall into the relevant category, to assist in identifying and overcoming any problems.

### IPEA-01 – PENDING (UNSENT) IPERS

This report covers all international applications for which the IB has a record, the relevant Office is indicated as IPEA, the application has not been withdrawn or treated as not having been made, the IB has not been informed that the demand has been withdrawn and the IB has not yet received and processed the international preliminary examination report. The current date, used for calculating the time from target, is the date in the time zone of the International Bureau in Geneva.

The time limits are based on approximations of the time limits referred to in Rules 69.1 and 69.2. In particular, no account is taken of the payment of fees according to Rule 69.1(a)(ii) or of translations according to Rule 69.2(iii) (for which the IB has no information). Furthermore, it is assumed that the IPEA receives the ISR by the later of the date of the demand and the date on which the IB receives the ISR. Where none of the dates referred to in Rule 69.1(a) are known to the IB, the date for start of International Preliminary Examination is assumed to be the current date. This is likely to be incorrect.

The report shows the number of pending (unsent) IPERs by weeks before or after the due date.

Clicking on any of the numbers in the table will generate a list of application numbers which fall into the relevant category, to assist Offices in identifying and overcoming any problems.
IPEA-02 – TIMELINESS OF IPRP

This reports covers all international applications for which the IB has a record, the relevant Office is indicated as IPEA, the application has not been withdrawn or treated as not having been made, the IB has not been informed that the demand has been withdrawn and the IB has received and processed the international preliminary examination report. The due date, used for calculating the time before or after the due date each report has been received target, is the 28-month date in the time zone of the International Bureau in Geneva.

The time limits are based on approximations of the time limits referred to in Rules 69.1 and 69.2. In particular, no account is taken of the payment of fees according to Rule 69.1(a)(ii) or of translations according to Rule 69.2(iii) (for which the IB has no information). Furthermore, it is assumed that the IPEA receives the ISR by the later of the date of the demand and the date on which the IB receives the ISR. Where none of the dates referred to in Rule 69.1(a) are known to the IB, the date for start of International Preliminary Examination is assumed to be the current date. This is likely to be incorrect.

The purpose of this report is to facilitate the work of the IPEA and IB in the timely transmission and processing of examination reports. The report provides actual timeliness information across the last five quarters, presented by weeks before or after due date.

Clicking on any of the numbers in the table will generate a list of application numbers that fall into the relevant category, to assist Offices in identifying and overcoming any problems.
# IPEA-03 – TIMELINESS OF IPRP WITH TRANSLATION

This report covers all international applications for which the IB has a record, the relevant Office is indicated as IPEA, the application has not been withdrawn or treated as not having been made, the IB has not been informed that the demand has been withdrawn, and the IB has processed the translated international preliminary examination report. The due date, used for calculating the time before or after the due date each report has been received target, is the 30-month date in the time zone of the International Bureau in Geneva.

The time limits are based on approximations of the time limits referred to in Rules 69.1 and 69.2. In particular, no account is taken of the payment of fees according to Rule 69.1(a)(ii) or of translations according to Rule 69.2(iii) (for which the IB has no information). Furthermore, it is assumed that the IPEA receives the ISR by the later of the date of the demand and the date on which the IB receives the ISR. Where the IB knows none of the dates referred to in Rule 69.1(a), the date for start of International Preliminary Examination is assumed to be the current date. This is likely to be incorrect.

The purpose of this report is to facilitate the work of the IPEA and IB in the timely transmission and processing of translations of examination reports. The report provides actual timeliness information across the last five quarters, presented by weeks before or after due date.

Clicking on any of the numbers in the table will generate a list of application numbers that fall into the relevant category, to assist Offices in identifying and overcoming any problems.

### Table: Timeliness in Transmitting Examination Reports - [IPEA-02 Report]

<table>
<thead>
<tr>
<th>Weeks Before/After Due Date</th>
<th>08/2020</th>
<th>04/2021</th>
<th>01/2022</th>
<th>02/2022</th>
<th>03/2022</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt; 4 weeks</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>2 weeks</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>1 week</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>0 week</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>&lt; 1 week (total)</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>&lt; 4 weeks (total)</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>
NPE-01 – VOLUME OF NATIONAL PHASE ENTRY EVENTS PER OFFICE

The report NPE-01 provides the volume of National Phase Entry (NPE) events for Offices to enable the monitoring of the timely flow of this information into the IB database.

NPE-02 – LIST OF OFFICES WITH EACH NATIONAL PHASE EVENT TYPE

The report NPE-02 provides information regarding the types of National Phase Entry events for Offices to enable the monitoring of the types of NPE data flowing into the IB database.

NPE-03 – COUNTS OF NATIONAL PHASE EVENTS BY EVENT TYPE

The report NPE-03 provides information regarding the types, and volumes, of National Phase Entry events for Offices to enable the monitoring of the types of NPE data flowing into the IB database.

NPE-04 – LATEST NATIONAL PHASE ENTRY EVENT BY OFFICE

The report NPE-04 enables a quick assessment of the latest National Phase Entry events for Offices to identify the latest date in datasets provided by Offices to the IB.

SFD-01 – MONTLY SFD VOLUMES BY DOCUMENT TYPE

The report SFD-01 is useful for Offices to understand the usage of the ePCT system by applicants in submitting SubsequentlyFiled Documents (SFDs).
SFD-02 – MONTLY SFD VOLUMES BY OFFICE ROLE

The report SFD-01 is useful for Offices to understand the usage of the ePCT system by applicants in submitting Subsequently Filed Documents (SFDs) by each PCT role performed by the Office.

SFD-03 – MONTLY SFD VOLUMES BY NATIONALITY AND RESIDENCE

The report SFD-01 enables Offices to understand the usage of the ePCT system by applicants in submitting Subsequently Filed Documents (SFDs) by applicant/agent geographical location.

SFD-04 – MONTLY SFD VOLUMES BY APPLICANT

The report SFD-01 is useful for Offices to understand the usage of the ePCT system by individual applicants in submitting Subsequently Filed Documents (SFDs) to enable specific actions to be taken by the Office in promoting the usage of ePCT for SFDs.

CS&E-01 – APPLICATION ACCEPTED FOR THE CS&E PILOT

The report CS&E-01 is useful for the IP5 Offices that are involved in Collaborative Search and Examination pilot project. It provides the list of applications accepted for collaborative search and examination as well as the break down to different stages:
### CS&E-01 - Applications accepted for the CS&E pilot

**International Searching Authority : EP**

**Applications accepted for the CS&E pilot**

<table>
<thead>
<tr>
<th>Download list</th>
<th>By ISA/EP</th>
<th>By any ISA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>3</td>
<td>27</td>
</tr>
</tbody>
</table>

**Stage 1: Applications accepted with provisional reports not yet sent**

<table>
<thead>
<tr>
<th>Download list</th>
<th>Time from target</th>
<th>From ISA/EP</th>
<th>From any ISA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Deadline missed</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Deadline within 7 days</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td>3</td>
<td>28</td>
</tr>
</tbody>
</table>

**Stage 2: Applications with provisional report sent and at least 1 peer contribution outstanding**

<table>
<thead>
<tr>
<th>Download list</th>
<th>Time from target</th>
<th>EP as peer ISA</th>
<th>EP as main ISA</th>
<th>All ISAs</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Deadline missed</td>
<td>2</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Deadline within 7 days</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td>2</td>
<td>1</td>
<td>3</td>
</tr>
</tbody>
</table>

**Stage 2: Applications with final report due**

<table>
<thead>
<tr>
<th>Download list</th>
<th>Time from target</th>
<th>From ISA/EP</th>
<th>From any ISA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Deadline missed</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Deadline within 7 days</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

**Stage 4: Applications complete [final report sent]**

<table>
<thead>
<tr>
<th>Download list</th>
<th>By ISA/EP</th>
<th>By any ISA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
<td>2</td>
</tr>
</tbody>
</table>

Report generated by ePCT for HAL XX OFFICE at 09:57:54 CESEI, 08 May 2019. This information is confidential, for use only by the Office for which it is generated in managing the PCT workflow.
CREATE NEW IA

The function ‘Create New IA’ allows you to securely add into ePCT any new IAs that you received in paper format or to import new applications filed electronically to your Office either via PCT-SAFE or any other Annex F compliant tools (e.g. eOLF):

INTERNATIONAL APPLICATION RECEIVED IN PAPER

Select the filing method ‘New IA (Paper)’ and then enter the Application number as mentioned on the paper form (e.g. PCT/XY2018/000011):
The numbering of IAs filed in paper continues to be managed manually by the receiving Office. The IA number and the date of receipt at RO should be stamped or written on the first page of the request form (RO/101).

The system sets the country code by default to your Office code (e.g. EP for EPO, ‘MY’ for Malaysia or CH for Switzerland), the year is also set by default to the current year but the user can also choose the previous year if necessary.

The system indicates the last application number created for the selected year (e.g. PCT/XY2018/013318). This information might help receiving Offices to assign the next number to a newly received paper application.

The new number to be assigned is not always the number that follows immediately the last application number shown by the system. Users might decide to create a smaller or higher number if it has not been used yet.

The system checks if the application number already exists:
Once the correct application number and the date of receipt are entered, click the button ‘Create New IA’ to create a basic record for the New IA (IA number, filing type and date of receipt at RO).

The system creates the IA in status ‘New IA – RO Phase’, opens it immediately and opens the data draft ready for input of bibliographic data.

Note: the IA remains accessible only by the receiving Office users until you decide to transmit the record copy to IB.
Other users from the same Office, who have the same ePCT-RO role, can immediately access and process this new IA (i.e. the IA remains accessible only by receiving Office users until you decide to transmit the record copy to IB).

The next steps you can perform on this new IA are ‘enter and save bibliographic data’, ‘upload documents’, ‘manage fees’ and generate form’ or perform other action.

**ENTER BIBLIOGRAPHIC DATA**

After the creation of a new IA, you can immediately start uploading documents and entering some bibliographic data through the section ‘Data [Draft]’:
The section 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.

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 do not 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 enter correct and consistent data. The validation report helps you to identify and eventually correct 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 Data [Draft] section to start entering bibliographic data, the Validation Report will be available:

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 clicking on ‘Validation’ which appears at all times in the header. The number of validations changes based on the data entered.

The Validation Report detects three types of error:
- Errors that prevent data loading
- Errors that require correction
- Information only about certain aspects of the data or documents that do not necessarily require intervention

Note: Concerning Prevents data loading errors. It is possible to save the data when you have this kind of error. However, the data is not loaded in ePCT to allow you to issue Forms and perform some actions. Upon save with errors preventing data loading, a message will warn user.

It is recommended to fill in the relevant data in each section going from top to bottom. The sections appear in a logical order so that data provided in the earlier sections can be selected in later ones without having to retype data. If all the priority claims are already filled in on the ‘Priority claims’ section, that priority data can then be selected in later sections where required, without having to be retyped, e.g., when providing indications about earlier searches on the ISA screen.
GENERAL INFORMATION

Click the button to add the applicant/agent’s file reference (maximum of 25 characters, the only special character allowed is hyphen ‘-’)

The default filing method is ‘Paper’ and cannot be modified.

Select the 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 Add to add one or several priorities:

Click the button Add to add the priority to the list of priority claims:

Use the buttons  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 data loading:

The user must either uncheck the exclusions boxes or add corresponding national priority claims on the ‘Priority claims’ section.

Add parent filing data: Select this option if the applicant requests 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.

**DESIGNATIONS**

The filing of this request constitutes under Rule 4.5(a), the designation of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents.

Click the button Add Applicant(s)/Inventor(s) to enter details of the indicated party type. Click Agent/ Common representative/Address for correspondence to enter representative or address for correspondence:

**NAMES & ADDRESS BOOK**

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.

**NAMES**

Click the button Add Applicant(s)/Inventor(s) to enter details of the indicated party type. Click Agent/ Common representative/Address for correspondence to enter representative or address for correspondence:
Enter the details of the selected party or click the icon ‘Address Book’ to find existing names (applicant, agent, inventor, and address for correspondence) who have at least filed an application with your Office. The details of the selected name can be modified before adding the party name.

By clicking the address book button, you will get the following popup screen:
Enter part of the name in the field ‘Name’ and click the button Search, e.g. al% or AL% to search all names starting with al or AL.

Click on the right name in the result list to prefill the party details or click on Cancel to close the popup screen and enter manually the party details.

Once the data is complete, 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.

Use the button to change the order of the applicant and inventors recorded.

To record a Common Representative, the Applicant that is also Common Representative must be input first as Applicant, and there must be at least two Applicants entered, in order to be able to select it as Common Representative. It is not possible to indicate a Common Representative that is not also Applicant.
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:

**NAMES**

At least one Applicant must have the nationality or residence of the RO. Rule 18.4 is applicable since at least one Applicant has the nationality or residence of a PCT Contracting State.

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

**NAMES**

At least one inventor or applicant-inventor must exist.

**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:

**INTERNATIONAL SEARCH**

- BR – National Institute of Industrial Property (Brazil)
- AT – Austrian Patent Office
- BR – National Institute of Industrial Property (Brazil)
- SE – Swedish Patent and Registration Office

The ISA is pre-filled by default if only one ISA is competent for your Office (e.g. EPO member states).
The IA Contents allows you to enter the title of the IA as well as the number of pages of each section. The number of pages is mainly used to calculate the fees due:

The number of pages of the Request, 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 the loading of 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 number ‘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.

SAVE DATA [DRAFT]

At the very bottom of Data section, the button “Save” is available. Upon clicking on Save the Data
Draft is saved and if there are no errors preventing the data from being loaded, the data is also
loaded and made available when issuing RO Forms. A confirmation message will inform user that the
data has been successfully loaded:

After “Saving” the Data section is closed automatically and the IA refreshed. At this stage, the loaded
bibliographic data can be used to generate RO Forms.

UPLOADING DOCUMENTS

Please refer to the section Uploading documents for an IA under the Common ePCT Features for
Offices.

INTERNATIONAL APPLICATION RECEIVED ELECTRONICALLY (IMPORT WASP FILE)

Receiving Offices that are using ePCT as their main processing tool can import new applications
received online to their Annex F server (WASP files) and perform the RO tasks before transmitting
the record copy to the IB.

Select the filing method ‘Import RO WASP File’ and a file in the WASP format:
Click on the button ‘Import RO WASP File’.

The system processes the WASP file, creates the IA and shows an information message:

**Information**

RO WASP file has been processed successfully.

Once you click OK, the system opens the IA that contains all data and documents.

**PROCESSING A NEW INTERNATIONAL APPLICATION**
Receiving Offices that have the ePCT processing enabled (see PCT Processing Setting) can process new applications and documents (i.e. generate forms, upload new documents, perform actions on documents such as process, transmit, delete, mark as private, etc.) as well as fees and payments. The processing could be performed on any IA in status ‘New IA – RO Phase’ regardless of the filing type (ePCT-Filing or paper).

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

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

CHECKING AND PROCESSING NEW DOCUMENTS

The following screenshot shows an example of a New IA filed by an Applicant user via ePCT-Filing; all documents are visible under the document section ‘Document for RO’:
The Documents section is split into sub-sections, showing more clearly which documents have been submitted to the RO, ISA and IPEA, as well as the record as held by the IB. If the IA is still in “RO Phase” or if the International Bureau has no record of documents pending for a particular Office, some sub-sections may not be displayed.

All documents uploaded by the RO or transmitted to the RO initially appear in the sub-section ‘Documents for RO’. For Offices that use ePCT for processing, they will appear in status “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 “Processed”) and transmitted to the IB, it disappears from the “Documents for RO” (or ISA/IPEA) section but can still be viewed by users from that Office in the “Record as held by the IB” section. Documents are not duplicated between different sub-sections.

**Used status indications for documents:**

“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 to another Office).

<table>
<thead>
<tr>
<th>Application Body as Filed [31]</th>
<th>ePCT</th>
<th>Not yet processed</th>
<th>22 Apr 2018</th>
</tr>
</thead>
</table>

“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, and selecting “Process” from the dropdown list of actions offered then pressing “OK”.

<table>
<thead>
<tr>
<th>Power of Attorney [38]</th>
<th>RO</th>
<th>Processed</th>
<th>20 Dec 2016</th>
</tr>
</thead>
</table>

“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, and selecting “Mark as Private” from the dropdown list of actions and pressing “OK”.

<table>
<thead>
<tr>
<th>Biological Material [51]</th>
<th>ePCT</th>
<th>Office Private</th>
<th>22 Apr 2018</th>
</tr>
</thead>
</table>

“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 indication will never change). This icon is used for Offices that process documents outside of the ePCT system – currently this applies for example to ROs that are receiving new PCT applications directly on their own server (e.g. EPO Online Filing).

<table>
<thead>
<tr>
<th>Filing Transmission Receipt [11]</th>
<th>ePCT</th>
<th>Copy as received</th>
<th>Document i...</th>
</tr>
</thead>
</table>

**ACTIONS ON DOCUMENTS**

As Office users, this module offers you the possibility to perform actions on documents (whether New IAs or subsequently filed documents) which appear in your own documents sub-section (RO, ISA and IPEA).

The following actions are available:
Note: The action ‘Transmit’ is disabled as long as the IA is not yet transmitted to the IB. You cannot transmit documents of an IA in RO Phase before transmitting the record copy to IB.

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
- You will get the following warning message
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):

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

**MARK AS NOT YET PROCESSED**

By performing this action on document in Status “Processed” or “Office Private” you will be able to change back the status of the document to ’Not yet processed’.

**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 message](image)

- Click OK to mark the document as private
- The status of the document changes to ‘Office Private:

![Document status](image)

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

**MERGE**

This action allows users to merge two or more selected documents into a single document.
Select at least two documents from the list and select the action Merge.

Select the name of the document type you want to create (the merged document) and click on Merge:

It is possible to change the order of the selected documents before merging them by clicking the up / down arrows.
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 performing the “Process” action. Process action can be performed on multiple documents. Once you click OK, you will get the following confirmation message:

**Confirmation required**
Are you sure you want to mark the document as processed?

Cancel  OK

PROCESS 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 replacement sheets pages. Once the user confirms the processing of the document, the system watermarks automatically each page of the document by indicating: whether the page is an accompanying letter, an accepted or refused replacement sheet and the system will also indicate the receipt date of the processed pages.

The following screenshot shows 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:
- Accompanying 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:
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**

**PROCESS THE DOCUMENT TYPE REPLACEMENT SHEETS OF THE REQUEST FORM**

Upon processing the Replacement sheets of the request form, the RO Office user is requested to select under which PCT rule the document is to be processed, either Substitute sheets under PCT Rule 26 or Rectified sheets under PCT Rule 91. The selection is mandatory and it determines the way the document should be processed. If the user selects the Substitute sheets (Rule 26) then the related user interface will be displayed:
Please refer to the section “Process the document type: Replacement, substitute sheets (Rule 26)” for more details.

If the user selects Rectified sheets (Rule 91) from the dropdown list, the following screen is displayed:

Please refer to the section “Process the document type: Rectified sheets (Rule 91)” for more details

RENAMEN
This action allows you to modify the document name/type in case an applicant or another Office user used a wrong name when uploading the document. 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.

**REORDER**

This action allows you to reorder the pages of the same document.
Select a document and click Actions, select the action ‘Reorder’, the following screen is displayed showing the pages of the selected document as uploaded initially:
Drag and drop the pages to set the right order and then click ‘Save’. The document can be downloaded by clicking the link ‘Download Document’.

**SEND FORM**

In case a Form issued by the Office has not reached the applicant, it is possible for Office users to resend it by email or by Fax, if the email address and Fax number of the applicant are provided. This action is possible only on Office Forms that have been already generated by same Office users with the same Role.

Under Documents section, select Form(s) to be resent to Applicant, select Send Form action from the dropdown list. Two options will appear email and Fax.
If no email or Fax has been recorded, an error message will be displayed.

Note: In addition to the possibility to select Forms from Office Documents section, it is also possible to select Office Forms from the section **RECORD AS HELD BY THE IB** and resend them to the applicant.

The Fax or email transmission status may be checked when looking at Document Information, a tool-tip will indicate the transmission status of the email or the Fax.
This action allows user to split a selected document into two parts by dragging and dropping the pages into a new document:
Once the pages are correctly moved to the section ‘New Document’, select the name of the new document type and click ‘Save’.
The new document will be created and added in the list of documents of the IA.

**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). When opening the ePCT Action
to transmit the record copy to the IB, if the requirements for transmission are not met, an error message is displayed advising the user that the required documents for transmitting the Record Copy to the IB have not yet all been processed. The message informs the user which document is not present or is yet to be processed.

Transmit action cannot be performed if the IA is still in status ‘New IA - RO Phase’:

Office users are requested to use first 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 ‘RO Phase’, you can select one or more documents that are in status “Processed”, and perform the actions “Transmit”. The following screenshot shows:

- A document 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 section to the selected recipient’s section and the status of each document changes to ‘Not yet processed’ (example of a document transmitted to the IB):

**RECORD AS HELD BY THE IB**

<table>
<thead>
<tr>
<th>Documents [Doc ID]</th>
<th>Source</th>
<th>Status</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fee-related Correspondence [121]</td>
<td>ePCT</td>
<td>Not yet processed</td>
<td>20 Mar 2017</td>
</tr>
<tr>
<td>ePCT Cover Letter [111]</td>
<td>ePCT</td>
<td>Not yet processed</td>
<td>20 Mar 2017</td>
</tr>
<tr>
<td>ePCT Office Cover Letter [131]</td>
<td>ISA</td>
<td>Not yet processed</td>
<td>20 Mar 2017</td>
</tr>
</tbody>
</table>

A new ePCT Office cover letter (ePCT Document Transmission) is automatically created by the system. It shows the list of transmitted documents and the explanatory message:
The section ‘Actions’ allows you to perform a number of actions and to generate PCT receiving Office forms for a selected IA:
**ACTIONS**

- Transmit Record Copy to IB
- Manage International Filing Date
- Transmit New IA to RC/IB (Rule 19.4)
- Transmit Priority Doc(s) to IB
- Withdraw International Application
- Withdraw Priority Claim(s)
- Withdraw Designation(s)
- Confirm Search Fee to IB
- Rule 92bis change request
- Manage Fees
- Record Chapter II Demand
- Application not to be treated as an IA (Stop processing)
- Assign to an examiner

<table>
<thead>
<tr>
<th>FORMS</th>
</tr>
</thead>
<tbody>
<tr>
<td>RO102-Notification Concerning Payment of Prescribed Fees</td>
</tr>
<tr>
<td>RO103-Invitation to correct the purported International Application</td>
</tr>
<tr>
<td>RO105-Notification of the IA Number and of the International Filing Date</td>
</tr>
<tr>
<td>RO106-Invitation to Correct Defects in the International Application</td>
</tr>
<tr>
<td>RO108-Invitation to Request Rectification</td>
</tr>
<tr>
<td>RO109-Notification of Decision Concerning Request for Rectification</td>
</tr>
<tr>
<td>RO110-Invitation to Correct Priority Claim and/or Notification of Possibility to Request Restoration of the Right of Priority</td>
</tr>
<tr>
<td>RO111-Notification Relating to Priority Claim</td>
</tr>
<tr>
<td>RO117-Notification that International Application Considered to be Withdrawn</td>
</tr>
<tr>
<td>RO123-Notification Concerning Representation</td>
</tr>
<tr>
<td>RO132-Communication in Cases for Which No Other Form Is Applicable</td>
</tr>
<tr>
<td>RO133-Invitation to Pay Prescribed Fees Together with Late Payment Fee</td>
</tr>
<tr>
<td>RO136-Notification of Withdrawal</td>
</tr>
<tr>
<td>RO141-Invitation to Furnish original Document Transmitted by Electronic Media</td>
</tr>
<tr>
<td>RO146-Notification regarding certain Corrections Made Ex Officio</td>
</tr>
<tr>
<td>RO150-Invitation to Furnish Translation of the IA (Rule 12.3(c) and (e))</td>
</tr>
<tr>
<td>RO151-Notification of Transmittal of Purported IA to the RO III and to pay Fee</td>
</tr>
<tr>
<td>RO152-Invitation to Authorize Transmittal of Purported International Application to the International Bureau as Receiving Office and to Pay Fee</td>
</tr>
<tr>
<td>RO157-Invitation to Furnish Translation of the IA (Rule 12.4(c) and (e))</td>
</tr>
</tbody>
</table>

There are online ePCT actions that you can perform depending on 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. Office users will not be able to run any actions on IAs that have been already withdrawn or
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).

**RO ACTIONS**

**ASSIGN TO AN EXAMINER**

This action can be performed only on a single IA by launching the RO action ‘Assign to an examiner’ from the dropdown list of RO actions or on multiple selected IAs from the search list (see Assign IAs to Office examiners).

Select the action ‘Assign to an examiner’:
Select an examiner name from the list of Office examiners and click the button ‘Assign’.

An information message is displayed:

**Information**
Assignment successful.

**MANAGE INTERNATIONAL FILING DATE**

This action allows receiving Offices to modify the date of receipt at RO and the international filing date of new IAs that are in RO Phase:

By launching the action, the system displays the current international filing date and the current date of receipt at RO. Office users have the possibility to modify both dates through the editable fields.

Click the button ‘Update’ to modify the date and to close the action screen.

**TRANSMIT RECORD COPY TO IB**
This action allows the receiving Office user to transmit the Record Copy to IB after formalities examination has been performed, all the documents have been checked and processed, bibliographic data entered and forms issued (for receiving Offices using ePCT for Processing new IAs).

A number of validations helping the RO user to perform this action correctly are available. E.g. If the required documents (New IA or RO/101 and Application Body) allowing to perform the action are missing, an error message is displayed.

A choice for the number of Documents for the “New IA” is made available when uploading. The user may upload either a single document or multiple documents: RO/101, Description, Claims, Abstract and Drawings if any, for the “New IA”.

Once uploaded, the multiple documents Description, Claims, Abstract and Drawings will be automatically merged by the system into a single document: Application Body as Filed.

When performing this action the system will automatically select all the documents to be transmitted to IB; mandatory documents cannot be unselected. The receiving Office user has to unselect manually the documents that should not be transmitted to IB.
If office user has entered the minimum bibliographic data and loaded it successfully under the section, the check box Form RO/105 is made available. By checking this box, the system will automatically generate the RO/105 when the IA is transmitted to IB. This action may be performed separately, see section Form RO/105.

Search Fee box will be also made available if your office and the ISA selected are eSeachCopy participating offices. This will confirm to IB that the Search fee has been paid. By checking this box, you will indicate to IB that the search fee has been paid by generating the corresponding document automatically and will trigger the transfer of the Search Copy to the ISA. This action may be performed separately, see section Confirm Search Fee to IB.
Once you have performed the Transmit record Coy to IB action, the selected documents will be transferred to IB and will appear under Record as held by the IB Documents section in status ‘Not yet processed’ pending processing by the IB. A cover letter listing all the documents transmitted to IB will be automatically generated. The IA status will change from New IA RO phase into Not yet processed.

Example of ePCT Office Cover letter generated when performing the action.

**Note:** Before transmitting the record copy to the IB, it is recommended to enter all the necessary bibliographic data in order to be able to issue RO Forms.
MANAGE FEES

This action allows Office users to manage fees through one single screen. Office users can manually set the right currency per fee and indicate paid amounts. The fee information is used when generating forms RO/102 and RO/133.
By clicking the button “Save”, the fee details are registered for the IA. Due and paid amounts are shown in the section Fees.

Note: ePCT does not offer any online fee payment facility for receiving Offices other than RO/IB.

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

This action can 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 eSearchCopy module is not yet done for your Office:

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:
Note: The action ‘Confirm Search fee to IB’ is the same as the check box that is made available under the action ‘Transmit Record Copy to IB’.

**TRANSMIT PRIORITY DOCUMENT TO IB**

In order to transmit priority documents to the IB:

- Open the IA and go the ‘Actions’ section.
- Select from the drop down list the action ‘Transmit Priority Doc(s) to IB’.
- If the IA is in RO phase the action can be completed, but it will finish with a message indicating that the priority document will be transmitted to the IB with the record; it will be automatically selected when using the ePCT Action ‘Transmit Record copy to IB’.
- 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 dropdown 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.

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. Click on OK to confirm the file.

To remove the document, click the icon

You may attach other documents or type a 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 ‘Submit’, you will get the following information message:

- Or in the case the IA is in ‘RO Phase’ 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 Documents section (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 to ‘Actions’.
- Select from the drop down list the action ‘Withdraw International Application’.
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:
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 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 Documents section ‘Record as held by the IB’:

Example of the document ‘Withdrawal of International Application’:
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 to proceed with the request for withdrawal, bearing in mind that the IA will in any case be published.

Note: Applicants, with eOwner or eEditor rights, can also submit actions to the IB to withdraw an IA via ePCT, or without strong authentication, when they do not have access rights to an IA, upload a document requesting withdrawal.

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 ‘Actions’
- Select from the drop down list the action ‘Withdraw Priority Claim(s)’.
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 the receiving Office, the Withdrawal date is set by default to current date, and cannot be modified.

If ‘Requested by’ is the Applicant, the Withdrawal date can be modified. This date cannot be in the future and cannot be before the International Filing Date:

- Select the 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:

```
Information
• ePCT Action Withdraw Priority Claim(s) submitted to the International Bureau for processing.

OK
```

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 Documents, section ‘Record as held by the IB’:

```
<< RECORD AS HELD BY THE IB

<table>
<thead>
<tr>
<th>Documents [Doc ID]</th>
<th>Source</th>
<th>Status</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Withdrawal of priority claim [22]</td>
<td>RO</td>
<td>Not yet processed</td>
<td>Document 1</td>
</tr>
</tbody>
</table>
```

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 completion 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 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, with eOwner or eEditor rights, can also submit actions to the IB to withdraw priority claim(s) via ePCT, or without strong authentication, when they do not have access rights to an IA, upload a document requesting the withdrawal of the priority claims(s)....
RULE 92BIS CHANGE REQUEST

As Receiving Office, in order to submit an online request to the IB to record a change under PCT Rule 92bis:

1. Open the IA and go to the ‘Actions’ section.
2. Select from the drop-down list the action ‘Rule 92bis change request’.

Note: If technical preparations for publication have already closed but the IA has not yet been published, a message in the interface informs the user that the submitted change can no longer be reflected in the international publication (see below).

3. The list of all the parties on record for the IA is displayed for selection of the party in respect of whom a change is requested to be recorded.

   A ‘party’ can be:
   - Applicant
   - Applicant/Inventor
   - Inventor only
   - Common representative
   - Agent
   - Address for correspondence.

4. The different types of change that can be requested are: ‘Add a new party’, ‘Delete an existing party’ and Edit/Replace an existing party.
Adding a new party:

1. If you select ‘Add a new party’, a screen is displayed for the input of bibliographic data relating to the new party. This action will not suspend access to the IA in ePCT.

All fields marked with ‘*’ are mandatory.
Rule 92bis form: Add a new party

2. Once you have completed the input of the bibliographic data for the new party, click ‘Confirm’ to proceed. The new party will be added to a list of ‘Saved Changes’ being requested for the IA. You can Edit, View or Delete the change that you have just added using the appropriate icon.

Editing/Replacing an existing party to request a change in the bibliographic data:

1. On the line of the party concerned, click on ‘Edit/Replace an existing Party’ icon.
2. The details of the selected Party are displayed as a web form in order for you to edit the data to reflect the requested change. The data as currently on file at the IB for the selected party is displayed with a grey background and is not editable.

![Web form showing Party details](image)

**Note:** If you are requesting a change in the person of a Party, tick the ‘Change in person’ checkbox. If you need to indicate that a person is now deceased, change its type to inventor only and check the ‘Deceased’ checkbox.
Note, if the request for change concerns the name, the address or the person of an existing party, online access to the IA will be temporarily suspended, pending processing of the change by the IB.

3. Once you have finished editing the requested change(s), click ‘Confirm’ to proceed. The edited Party will be added to a list of ‘Saved Changes’. If you click ‘Cancel’, the changes edited for the bibliographic data will be deleted.

4. After clicking ‘Confirm’ the modified Party details appears in the list of ‘Changes’:

![Saved Changes](image)

6. You can Edit, View or Delete the change that you have just added using the appropriate icon.

![Saved Changes](image)

To request the deletion of a party from the record:

1. Click on the corresponding icon ‘Delete an existing Party’ from the Party line.
2. A warning message appears asking you to confirm the deletion of the Party concerned. Click ‘OK’ to confirm or ‘Cancel’ to go back to the Rule 92bis screen.

Note: If you are requesting the deletion of the sole applicant of record, you will get a warning.

3. The deleted party appears in the ‘Changes’ part of the screen.

4. You can Preview or Delete the change that you have just made by clicking using the appropriate icon.

Attaching a file and Submitting the Rule 92bis request:

1. Once you have entered all the changes required, you must attach a document (in PDF format) to support your request, e.g., Rule 92bis Change Request or a power of attorney furnished by the applicant. An error message will prevent you from submitting the change request.

To attach documents, select the document type and click on Add Document.
2. You may type text in the Message field if desired (optional), however, it is compulsory to sign the request:

![SUBMIT REQUEST]

3. A document entitled “ePCT Action: Rule 92bis change request” is transmitted to the IB for processing. You may consult this document in the contents of the IA Documents section.
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, create the New IA in ePCT, prepare the 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 transmitted to your Office via ePCT-Filing, open the IA, prepare the necessary forms (RO/151 or RO/152) and perform 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 documents otherwise you will get the following error message:

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 status of the IA changes into “Not yet published” and all selected documents move from the sub-section ‘Documents for RO’ to the sub-section ‘Record as held by the IB’ and their status is 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 Transmittal 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 for the old IA number, 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 ‘RO Phase’, you cannot perform this action. You will get the following error message:

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

This action is made available to the receiving Office either to stop 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 that could be specified by the receiving Office.

**Case when the application is still under the control of the RO (status: RO Phase):**
- Open an application that is still in status ‘RO phase’ and select ‘Actions’ section
- 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:

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

Please send an email to pct.eservices@wipo.int if you have performed this action by mistake.

Case when the IA has already been 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:

  Confirmation required
  The IB will make this application no longer accessible via ePCT. For confirmation, please click OK.

  Cancel  OK

- Click on ‘OK’, if the action is performed successfully then the system will create a cover letter and add it automatically in the Documents section ‘Record as held by the IB’ in status “Not yet processed” for processing by the IB.

The following screenshot shows an example of ePCT Office cover letter generated when this action is performed:
- IMPORTANT: the system offers to Office users the possibility to restore applications that are not treated as IA. This action is not shown in the list of Office actions but users can search applications that are not treated as an IA:

The list of result should show IAs that is in status ‘Processing Stopped’, by clicking the IA number; the system displays a popup confirmation message:
Confirmation required

This application is no longer being treated as an International Application. Do you want to restore this application?

By clicking the button Yes, user gets a new screen to provide the reason and any other informal message if needed:

**Application to be treated as an IA**

Reason
Receiving Office decision

Informal message

Authorized Officer *
/
AAL XY-OFFICE
/

After clicking Submit, the following confirmation message is displayed:
Information

The application is now considered as an IA and access is reactivated

Click OK to refresh the screen and access all IA data and documents.

If the IA is in IB Phase, a confirmation message will be displayed for the user to submit request to the IB to restore the application:

Confirmation required

This application is no longer being treated as International Application. Do you want to submit a request to restore this application to IB?

By clicking YES, the user will have to provide a reason and if needed an informal message for more explanation, then submits the request to the IB. The application should be restored as soon as the IB processes the request.

**RECORD CHAPTER II DEMAND**

For more details, please refer to **Record Chapter II Demand** under the section International Preliminary Examining Authority.

**EX-OFFICIO CORRECTION**

To assist in the timeliness and accuracy of processing Ex-officio corrections, an ePCT action is available for receiving Offices to allow the processing of Ex-officio corrections relating to the names and addresses of parties in text form. The Ex-officio corrections Action can be performed on a limited rage of bibliographic data for IAs both in RO phase and after transmittal of the record copy to the IB.
When completing the action for IAs already transmitted to the IB, the RO user submitting the ex-officio action will be prompted with a confirmation message, "Action submitted to IB for processing". The action will automatically create a work item and document that will be received at IB that will be processed. The IB will either accept or refuse the ex-officio action.

**USING THE EX-OFFICIO CORRECTION ACTION**

Users having the RO Capacity can select the action from the RO actions listing within an IA:

The Action shows the current parties and invites the RO User to add additional parties and/or edit/delete existing parties:

When editing the parties, the system will prompt the user to indicate if the change is related to a change in party or a correction of the formatting.

Once the parties have been edited, noting that at this point the RO User may revise any changes made, the user has the option to enter an informal comment before pressing the “Submit”
Following submission, the Ex-officio corrected data is available in ePCT under “DATA” and an automatically created document is inserted in the “DOCUMENTS FOR RO” in status processed:

The Ex-officio corrections document should be transmitted to the applicant using the RO/146 and to the IB with the record copy.
RO 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 (the dropdown list shows only available actions and forms based on the capacity of your office and the access role that you have).

- Select Other PCT/RO Forms option from the dropdown list Actions & Forms, this opens the WIPO PCT Resources web page, select the right form http://www.wipo.int/pct/en/forms/index.html#OfficeForms), complete manually the editable PCT form, save it as PDF file and upload it into ePCT through ‘Upload’ in Documents section.

- Continue using your current way of generating forms and upload them into ePCT as PDF files through ‘Upload’ in Documents section.

The following explanations are mainly covering the first possibility that is using ePCT integrated module to generate forms:

List of receiving Office forms.

Important Note:

For Paper IAs, forms can be generated only after you enter the bibliographic data. If there is no Bibliographic data the following error message will be displayed:
COMMON PARTS OF PCT OFFICE FORMS

When generating different office forms using ePCT there are fields common to all forms.

Language field:
Forms are available only in some languages, (development is ongoing for further languages):

Authorized Officer:
This is a free text mandatory field where the current office user name is indicated by default as signature.

Date of mailing:
The mailing date of the form is today’s date by default and can be modified by the office user. It is not possible to indicate a date in the past.

Importance:

When generating a form, Office users can indicate whether the form corresponds to a ‘Corrected version’ of a previous form or whether it is urgent.

Notifications to be sent by:

This field indicates the communication method selected by the applicant. It can be:

- Email only, communications should be sent to the applicant only by email.
- Email & Paper, a paper copy should be sent by the Office to the applicant in addition to the email.
- Paper, a paper copy should be sent by the Office to the applicant.

Important notes:
The email address used to send communications by email to the applicant is the email address furnished by the applicant either at the time of filing of the IA, in the request Form RO/101, or by submitting a Change Request under Rule 92bis to the IB.

It is recommended to use the communication method selected by the applicant (selected by default by the system).

Please note that for a form that is generated in ePCT by selecting “Paper” or “Paper & email” as communication method, the paper copy is not sent to the applicant by the ePCT system. Therefore, Office user must print or download the paper copy of any form generated and send it to the applicant by whichever method the Office is currently using.

Office user has the possibility, when required, to send Forms by Fax if the applicant has furnished a Fax number. The form will be sent by Fax using IB fax server. It is possible to check the Fax transmission status by checking the document Information. A tool-tip will update user on the status of the Fax transmission (see Document History).

In case the Fax transmission or the Email fails, an automatic “Fax transmission failed” or “Email Transmission Failed” an ePCT notification in addition to an email (depends on office profile) will be sent to your Office. In such a situation, it is necessary to resend (see Send Form) the Form to the applicant.

It is recommended to preview the forms always before generating them.
After clicking on the button Generate and Upload Form, user will get an information message with three options: Close, Print and Save a copy. It is recommended to select Print option when the Form must be sent to applicant by paper.

The generated forms are added automatically to the document section of the IA, under the subsection Documents for RO if the IA status is RO phase and the RO is issuing the Form. The status of the document is set to ‘Processed’ and is ready to be transmitted to the IB and applicant.

If the IA is not in Status RO phase, the Form will be added automatically to the Documents subsection of Record as held by the IB.

**RO102-NOTIFICATION CONCERNING PAYMENT OF PRESCRIBED FEES**

Select Form RO/102 in the drop down list of Actions.

The screen shows by default the fee amounts due and allows you to enter the amount paid, the balance is automatically calculated. In case of an underpayment, the system displays automatically the time limit(s) for payment with three check boxes.

The boxes will be automatically checked in the rendered form based on the balance and the boxes checked under time limits if any.

Late payment fee section is available only if payments are still pending at the time Form RO102 is issued.
Please use the button PREVIEW, verify that the amounts and the boxes are correctly mentioned in the Form.

**RO103-INVITATION TO CORRECT THE PURPORTED INTERNATIONAL APPLICATION**

Select Form RO/103 in the Actions drop down list. The following sections are displayed by default and according to issues reported by checking the boxes, different options will be offered.

E.g. When indicating that the description is missing (check box 6), you either require a correction or request a confirmation of incorporation by reference.
Select Form RO/105 in the Actions drop down list.

When generating the Form PCT/RO/105, the only relevant field is 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 the applicant)

RO106-INVITATION TO CORRECT DEFECTS IN THE INTERNATIONAL APPLICATION

Select Form RO/106 in the Actions drop down list.

The following fields are displayed:
- **Defects in the IA as filed**: list of possible defects that are defined by Annex (A, B1, B2, C1 and C2).

Please note that the list of defects used in ePCT is shorter than the list of defects defined in RO/106 in PDF/paper format.

**Annex A: about defects of the IA as filed:**

**ANNEX A**

Select Defect(s)
Of the IA as filed (Annex A)

**Signature**
- Missing signature
- Missing power of attorney
- Other

**Other**

**Applicant**
- Defects in the Name
- Missing address
- Defects in the Address
- Missing nationality
- Missing residence
- Further observations

**Defects in the Name**

**Defects in the Address**

**Further observations**

**Language**
- The Request is not in Russian, English
- The text of the Drawings is not in Russian
- The Abstract is not in Russian

**Title**
- Not indicated on the Request
- Title not indicated at the top of the first sheet of the Description
- Title on the Request and on the Description are different

**Abstract**
- Missing Abstract

**Annex A: about defects of the translation of the IA:**
Annex B1: Only five possible defects are kept for Request, Description. Claims and Abstract – the selectable defects vary for each section.

Use the Add button to enter a defect. To add another defect, use the main button. Users are not allowed to add the same defect twice under the same category.

Annex C1: Defects about Drawings or Sheets of the drawings:
Annexes B2 and C2 contain the list of defects related to translation of the IA. The list of defects is similar to Annexes B1 and C1.

**Additional Observations**: for any additional comment that the Office might have regarding defects mentioned in each annex. This release does not allow Office users to enter ‘Further Observations per Annex’. The field ‘Additional Observations’ can be used by prefixing the text of the observation with the annex number (A, B1, B2, C1 and C2)

**RO108-INVITATION TO REQUEST RECTIFICATION**

Select Form RO/108 in the Actions drop down list:
Select the language of the form to be generated.

Select, from the dropdown list, the type of ‘Obvious mistake’ discovered by the receiving Office. The screen should refresh and display further options based on the selection.

Select the party that should receive the request for rectification (RO, ISA or IB).

Preview the form to check that its content is correct and then click the button ‘Generate and Upload Form’.

---

**RO109 - NOTIFICATION OF DECISION CONCERNING REQUEST FOR RECTIFICATION**

Select Form RO/109 in the Actions drop down list:

---

Select the language of the form and the decision of the receiving Office:
The screen should refresh and display the fields based on the selected value.

Complete the mandatory fields and preview the form to check that its content is correct.

Click the button ‘Generate and Upload Form’ to generate the form RO/109.

**RO110: INVITATION TO CORRECT PRIORITY CLAIM AND/OR NOTIFICATION OF POSSIBILITY TO REQUEST RESTORATION OF THE RIGHT OF PRIORITY**

Select Form RO/110 in the drop down list of Actions.

Once the form is displayed, select the priority claim to be corrected or restored by clicking the button ‘Select’:

After having selected the priority:
You can proceed with the completion of the RO/110 form check boxes:

- **Defects in the priority claims**

```
<table>
<thead>
<tr>
<th>DEFECTS IN THE PRIORITY CLAIM(S)</th>
</tr>
</thead>
<tbody>
<tr>
<td>National application</td>
</tr>
<tr>
<td>Filing date missing</td>
</tr>
<tr>
<td>Filing date earlier than 12 months from the international filing date</td>
</tr>
<tr>
<td>Application number missing</td>
</tr>
<tr>
<td>Country invalid – not member of Paris Convention or WTO</td>
</tr>
</tbody>
</table>

Regional application
- Filing date missing
- Filing date earlier than 12 months from the international filing date
- Application number missing
- Regional Office missing
- Not a valid regional Office
- Not a member of Paris Convention or WTO indicated

International application
- Filing date missing
- Filing date earlier than 12 months from the international filing date
- Application number missing
- Receiving Office missing
```

- **Defects in the priority claims**:

```
<table>
<thead>
<tr>
<th>INCONSISTENCIES BETWEEN REQUEST FORM AND PRIORITY DOCUMENT(S)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Filing date does not match</td>
</tr>
<tr>
<td>The request indicates *</td>
</tr>
<tr>
<td>The priority document indicates *</td>
</tr>
<tr>
<td>Application number does not match</td>
</tr>
<tr>
<td>The request indicates *</td>
</tr>
<tr>
<td>The priority document indicates *</td>
</tr>
<tr>
<td>Country does not match</td>
</tr>
<tr>
<td>The request indicates *</td>
</tr>
<tr>
<td>The priority document indicates *</td>
</tr>
<tr>
<td>Regional office does not match</td>
</tr>
<tr>
<td>The request indicates *</td>
</tr>
<tr>
<td>The priority document indicates *</td>
</tr>
<tr>
<td>Receiving office does not match</td>
</tr>
<tr>
<td>The request indicates *</td>
</tr>
<tr>
<td>The priority document indicates *</td>
</tr>
</tbody>
</table>
```

1. Failure to Comply with the Requirements of Rule 4.10

   a. National application
      - Missing indication of the filing date of the earlier application.
      - Filing date indicated for the earlier application does not fall within the period of 12 months filing date.
      - Missing indication of the number of the earlier application.
      - Missing indication of the country party to the Paris Convention for the Protection of Industrial Property or to the WIPO, in which the earlier application was filed.

   b. Regional application
      - Missing indication of the filing date of the earlier application.
      - Filing date indicated for the earlier application does not fall within the period of 12 months filing date.
      - Missing indication of the number of the earlier application.
      - Missing indication of the authority indicated in the grant or for the purposes of regional protection.

   c. International application
      - Missing indication of the filing date of the earlier application.
      - Filing date indicated for the earlier application does not fall within the period of 12 months filing date.
      - Missing indication of the number of the earlier application.
      - Missing indication of the receiving Office or in which it was filed.
Request to restore the right of priority and fee payment:

Once the form is complete, click Preview button to view the draft form RO/110 before generating and uploading it into the system.

**RO111-NOTIFICATION RELATING TO PRIORITY CLAIM**

Select Form RO/111 in the drop down list of Actions.

Once the form is displayed, select from the dropdown list the purpose of the notification:
Based on the selected option, the system displays the corresponding fields and boxes.

Once the form is complete, click Preview button to view the draft form RO/111 before generating and uploading it into the system.

**RO117 - NOTIFICATION THAT IA CONSIDERED TO BE WITHDRAWN**

Select Form RO/117 in the drop down list of Actions:

**Reason for Withdrawal**: the reasons are listed in the dropdown list. User must indicate the date of the Forms sent.

**RO123 - NOTIFICATION CONCERNING REPRESENTATION**

Select Form RO/123 in the drop down list of Actions.
Once the form is displayed,

- select from the dropdown list the name of the document received
- select the recipient to whom a copy will be sent (ISA or IB), and
- Attach the relevant document to be sent with the form.

Attach the document received and click Preview button to see the draft RO/123 before generating and uploading the form into the file. Print the form for sending to the ISA and/or IB as applicable.

**RO126-NOTIFICATION CONCERNING LATER SUBMITTED SHEETS NOT FOR INCORPORATION BY REFERENCE**

Select Form RO/126 in the drop down list of Actions.
Once the form is displayed:

- indicate the date of receipt of the later submitted parts,
- select the decision text from the dropdown list, and
- indicate if a copy of the notification has been sent to the ISA

Once completed, press ‘Generate and Upload’ form and print for sending to the applicant and ISA if applicable.

**RO132-COMMUNICATION IN CASES FOR WHICH NO OTHER FORM IS APPLICABLE**

Select the Form RO/132 in the drop down list of Actions, the following screen is displayed:
Select the recipient:
If the recipient is Applicant, IB or ISA:

**Reply due within**: Select this option and enter the number of days or months (e.g. 10 days or 2 months) from the date of mailing during which the reply must be received.

**Important communication / Information Only**: two options indicating whether the communication is important or for information only.

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

If the recipient is other, the system displays new fields allowing the user to enter the details of the recipient, complete the remaining field and then generate the Form RO/132.
RO133: INVITATION TO PAY PRESCRIBED FEES TOGETHER WITH LATE PAYMENT FEE

Select Form RO/133 in the drop down list of Actions.

The screen shows by default the fee amounts due and allows you to enter the amount received, the balance is automatically calculated. The section ‘Late Payment Fee’ shows three radio buttons corresponding to the options:

- 50% of total unpaid fees
- Transmittal fee
- 50% of international filing fee
The ‘Manage Fees’ button allows you to edit the fee details if necessary and then you can prepare the RO/102 and generate it.

The amounts and the boxes will be automatically reflected in the rendered form RO/133.

**Other observations** free text field allows you to enter your observations, if necessary; they will be reflected on the generated Form.

**RO136-NOTIFICATION OF WITHDRAWAL**

Select Form RO/136 in the drop down of Actions.

The following screen is shown by default:
- Enter the date on which your office has received the notice from the applicant

- Select one of the three options concerning the withdrawal (withdrawal of the IA, withdrawal of Designated States or withdrawal of the priority claim(s))

**Withdrawal of Designated States**

Click on Choose specific designations. The list of Designated States will be displayed, select the one(s) to be withdrawn.
At least one must be selected; it is not possible to select All Designations. Validations are running to prevent these errors.

Withdrawal of Priority Claim(s)

The Priority claims will be displayed, select the one(s) to be withdrawn.
RO141 - INVITATION TO FURNISH ORIGINAL DOCUMENT TRANSMITTED BY ELECTRONIC MEDIA

Select Form RO/141 in the drop down list and click OK. The following screen is shown by default:

- **Reply due within**: set the number of days or months during which the reply must be received.
- **Date of receipt of the document(s)**: date when the Office received the document(s)
- **Document(s) received**: List of received documents
- **Indication whether the original document was furnished within 14 days**
**RO146-NOTIFICATION REGARDING CERTAIN CORRECTIONS MADE EX-OFFICIO**

Select Form RO/146 in the drop down of Actions. The following screen is shown by default:

**Ex-Officio Corrections**: Indicate the page number(s) that were corrected/modified for each document type (request, description, claims, drawings or specify the name of any other document).

**Attach the documents ‘ex-officio corrections’**: this step is mandatory. You can attach all corrections as one single document or upload different documents using the same document type ‘ex-officio corrections’.

**RO150-INVITATION TO FURNISH TRANSLATION OF IA AND TO PAY, LATE FURNISHING FEE**
Select the Form RO/150 in the drop down list and click OK.

In case the translation is not required, you will get the following error message:

Otherwise, the following screen is displayed:

The following fields are displayed:

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

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

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

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

RO151 - NOTIFICATION OF TRANSMITTAL OF PURPORTED IA TO THE RO/IB AND TO PAY FEE
Select Form RO/151 in the drop down list of Actions.

The screen below shows by default the two main reasons and button Add the transmittal fee is available:
Select one of the two reasons and click on Add button of ‘Transmittal fee’ before selecting how this fee will be paid.

**RO152-INVITATION TO TRANSMITTAL OF PURPORTED IA TO THE RO/IB AND TO PAY FEE**

Select Form RO/152 in the drop down list of Actions.

The following screen is shown by default:
Enter the reason of transmitting the IA to the IB if required
Select one of the two options
Click on Add button of ‘Transmittal fee’ and select how this fee will be paid under payment method

RO157-INVITATION TO FURNISH TRANSLATION OF THE IA (RULE 12.4(C) AND (E))
Select Form RO/157 in the drop down list of Actions:

The following field is displayed:
Translation not yet received in [one of] the following language[s]:
English, French, German

The applicant is invited to furnish required translation within 14 months from the priority date or between 14 and 16 months with a late furnishing fee. (The system selects automatically the right option)
OTHER PCT/RO FORMS

You can also use 'Other PCT/RO Forms' to access the web page of all PCT forms related to the receiving Office:

<table>
<thead>
<tr>
<th>FORMS</th>
</tr>
</thead>
<tbody>
<tr>
<td>RO102-Notification Concerning Payment of Prescribed Fees</td>
</tr>
<tr>
<td>RO103-Invitation to correct the purported International Application</td>
</tr>
<tr>
<td>RO105-Notification of the IA Number and of the International Filing Date</td>
</tr>
<tr>
<td>RO106-Invitation to Correct Defects in the International Application</td>
</tr>
<tr>
<td>RO119-Invitation to Correct Priority Claim and/or Notification of Possibility to Request Restoration of the Right of Priority</td>
</tr>
<tr>
<td>RO111-Notification Relating to Priority Claim</td>
</tr>
<tr>
<td>RO117-Notification that International Application Considered to be Withdrawn</td>
</tr>
<tr>
<td>RO123-Notification Concerning Representation (PCT Rule 90 and Administrative Instructions, Section 326)</td>
</tr>
<tr>
<td>RO132-Communication in Cases for Which No Other Form Is Applicable</td>
</tr>
<tr>
<td>RO133-Invitation to Pay Prescribed Fees Together with Late Payment Fee</td>
</tr>
<tr>
<td>RO136-Notification of Withdrawal</td>
</tr>
<tr>
<td>RO141-Invitation to furnish original Document Transmitted by Electronic Media</td>
</tr>
<tr>
<td>RO146-Notification regarding certain Corrections Made Ex Officio</td>
</tr>
<tr>
<td>RO159-Invitation to Furnish Translation of the IA (Rule 12.3(c) and (e))</td>
</tr>
<tr>
<td>RO151-Notification of Transmittal of Purported IA to the RO 3B and to pay Fee</td>
</tr>
<tr>
<td>RO152-Invitation to Transmittal of Purported IA to the RO 3B and to pay Fee</td>
</tr>
<tr>
<td>RO157-Invitation to Furnish Translation of the IA (Rule 12.4(c) and (e))</td>
</tr>
</tbody>
</table>

UPLOADING AND PROCESSING SUBSEQUENTLY FILED DOCUMENTS

Uploading documents is done only through the Documents section for an IA. Open the IA and open the Documents section. Click on the button.

- DOCUMENTS

  - Capacity *
    - RO

  - Recipient *
    - My Office

  - Date of receipt *
    - 24/03/2017

  - Document Type *

  - Attach document *
    - Add document (L.pdf)

  - Cancel
  - Upload
The system displays automatically one or more options under ‘Capacity’ and ‘Recipient’, depending on 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: 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 (e.g. ISA)
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 document 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’.

   ![Add Document](pdf)

   *Note: In case you do not find the right document type in the proposed list, you can select ‘RO Document’, ‘ISA Document’ or ‘IPEA Document’.*

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:

   ![Documents Attached for Upload](pdf)

   Documents are uploaded in status “Processed” by default. If for any reason you wish to have the document uploaded in status “Not yet processed”, please uncheck the box ‘Mark as processed’ before attaching the document.

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

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

   ![Information](pdf)

6. The system refreshes the IA screen and displays the Documents section with the document uploaded in the right recipient sub-section (e.g., if the recipient was ISA, the document is displayed in the sub-section ‘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/XY2016/030009

International Filing Date:
23 May 2016

TO:
IB

Date at recipient Office:
26 March 2017 21:29:29 CEST

From:
RO/XY - XY

ePCT User:
Riadh Ben Ghachem

Message:
Please add your message in this box

The following document(s) have been uploaded via ePCT Office Services:
- Rule 4.17 (i) Declaration of Identity of Inventor

Authorized Officer: /Office User/
Authentication: Secure online access
INTERNATIONAL AUTHORITIES (ISA, IPEA) FUNCTIONS

ACTIONS & FORMS FOR THE ISA

The section ‘Actions’ allows you to perform a number of actions and to generate ISA forms for a selected IA.

ACTIONS

- Assign to an examiner
- CS&E - Open IA for Collaborative Search and Examination
- CS&E - Upload Peer Contribution on International Search Report
- CS&E - Upload provisional search report and written opinion
- Manage International Patent Classification (IPC)
- Prepare International Search Report (ISA210) and/or Written Opinion (ISA237)
- Prepare Declaration of Non-Establishment of ISR [ISA203] and/or Written Opinion [ISA237]
- Record Chapter II Demand
- Upload cited document

FORMS

- ISA202-Notification of Receipt of Search Copy
- ISA205-Notification of Modification of Abstract Approved by International Searching Authority
- ISA206-Invitation to Pay Additional Fees and, Where Applicable, Protest Fee
- ISA212-Notification of Decision on Protest
- ISA213-Notification of Refund of Search Fee
- ISA216-Invitation to Request Rectification
- ISA217-Notification Of Decision Concerning Request for Rectification
- ISA220-Notification of transmittal of the ISR and the WO of the ISA or the declaration
- ISA224-Communication in Cases for Which No Other Form Is Applicable
- ISA225-Invitation to Furnish Sequence Listing and to Pay Late Furnishing Fee
- Other PCT/ISA Forms

Note: the actions for Collaborative Search and Examination (CS&E) are available only in ePCT DEMO environment for a pilot project with IP5 Offices. These Offices are directly informed through a dedicated eForum.

PREPARE INTERNATIONAL SEARCH REPORT (ISA/210) AND WRITTEN OPINION (ISA/237)

This action allows Office uses with ISA role to prepare the International Search Report (ISR) and/or the Written Opinion (WOSA):
The screen is divided into three parts:

- Common part for ISR and WOSA (i.e. Basis of the report): always shown in the screen
- ISR Specific data: displayed only if the check box International Search Report is ticked
- WOSA specific data: displayed only if the check box Written Opinion is ticked

In the case where an ISA/206 has already been issued, the ePCT Action to create the ISA/210 and the ISA/237 is initialized using the information already transmitted in the ISA/206.

- If the ISA/206 was generated outside ePCT and was uploaded as a PDF file an indication regarding the date the invitation to pay additional fees was uploaded in ePCT is included under the two on-screen checkboxes for preparing the ISA/210 and ISA/237.

- Where the ISA/206 was prepared in ePCT the text under 1.[i] and 1.[ii] of the ISA/206 is automatically inserted in the relevant boxes for the ISA/210 and ISA/237. The examiner has the opportunity to accept the values carried forward or revise them as needed.
Language: the language in which the report and the written Opinion were carried out. User can either select the language of filing or choose the language of the translation.

Language of report: the language of the forms to be generated by the system (ISA/210, ISA/237 and ISA/220 if it has been selected).

Rectification of obvious mistakes: By ticking this box, the user indicates that the ISR has been established taking into account the rectification of an obvious mistake authorized by or notified to the International Authority under Rule 91 (Rule 43.6bis(a)).

Nucleotide and/or amino acid sequence disclosed in the International Application: Allows user to indicate how the ISR was carried out taking into account any nucleotide and/or amino acid sequence disclosed in the International application:
By ticking, this box user can:

- Select one of the following proposed options corresponding to the nucleotide and/or amino acid sequence disclosed in the International application:

<table>
<thead>
<tr>
<th>Option</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nucleotide and/or amino acid sequence disclosed in the International Application</td>
<td>*</td>
</tr>
<tr>
<td>Forming part of the international application as filed</td>
<td></td>
</tr>
<tr>
<td>Furnished subsequent to the international filing date for the purposes of international search (Rule 13ter.1(a))</td>
<td></td>
</tr>
<tr>
<td>Furnished subsequent to the international filing date for the purposes of international search (Rule 13ter.1(a)), accompanied by a statement</td>
<td></td>
</tr>
<tr>
<td>This opinion has been established to the extent that a meaningful opinion could be formed without a WIPO Standard ST.26 compliant sequence listing</td>
<td></td>
</tr>
</tbody>
</table>

- Add comments

**Classification of the subject matter:** This section allows user to add IPC and national classification of the IA. By clicking the button Add located under IPC, user will get the following screen:

**CLASSIFICATION OF SUBJECT MATTER**

<table>
<thead>
<tr>
<th>Subclass D06M 23/08</th>
<th>Version(year.month) 2008.01</th>
<th>Invention NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Add International Patent Classification (IPC)</td>
<td>Add National Classification</td>
<td></td>
</tr>
</tbody>
</table>

Enter manually the IPC code or lick on Edit icon to select valid IPC code from a list:
After clicking OK, the system refreshes the version (year, month) automatically.

Select ‘YES or NO’ from the drop down list to indicate whether it is an invention or not (e.g. EPO uses INV. ADD., JPO users ‘i’ or ‘n’ next to the IPC).

Click OK to add the IPC:
The button allows user to delete an IPC.

**The National Classification** can be added as a free text. Click the button Add and enter the national classification in the text.

Click the button Ok to add the National Classification:

---

**PREPARATION OF THE ISR (ISA/210)**

The specific section of the ISR contains the following information:

**Fields Searched:** indicating the minimum documentation searched. The IPC and national classification are automatically refreshed based on the IPC and national classification of the common part of ISR and WOSA (see previous paragraph):
Users have also the possibility to add, as free text, indication(s) related to document searched other than minimum documentation to the extent that such documents are included in the fields searched, and the name of any electronic database consulted during the International Search, as well as search terms used.

The ISR user interface contains also a number of other fields related to claims, unity of the invention, title, abstract, claims, drawings, documents considered to be relevant and the possibility to attach copy of Prior art documents:
Certain claims were found unsearchable: by ticking this box, user will have the possibility to specify observations where certain claims were found unsearchable, and indicate the reasons why the ISR has not been established in respect of certain claims under Article 17(2)(a):
By selecting a reason, user will be requested to indicate the claim number(s) and the subject matter when required.

**Unity of invention is lacking:** This section allows user to add observations where unity of invention is lacking (e.g. where the international application contains multiple inventions):
The other check boxes are related to the payment of fees and whether they are already paid or not and whether they are covering all claims or not.

Use the drop down list to select a ‘Remark on Protest’:

Title: allows user to indicate whether the title was approved as submitted by the applicant or not:
In case the second option is selected, the original title is proposed in an editable field, allowing ISA user to modify it:

Abstract: allows user to indicate whether the Abstract was approved as submitted by the applicant or not:

In case the second option is selected, the original text of the abstract is proposed in an editable field, allowing ISA user to modify it:

**Drawings**: user can select from the drop down list the option corresponding to the figure number of the drawings to be published:
In case the drawing suggested by the applicant is not the one to be published, the ISA user will be requested to specify a drawing number.

Documents considered to be Relevant: ISA user can ‘import’ search results from an EPOQUENET session using the Import Citations Button or the ISA User can select from the proposed list of cited documents:

Importing citations from an EPOQUENET Session: the ISA User must save a drawer containing the desired search results from EPOQUENET and then import it into the ePCT documents considered to be relevant section using the ‘Import citations’ button. Pressing the button will launch a file selection dialogue and finishes with imported citations that are not yet valid as the import imports the documents found and now needs the ISA User to edit each citation to add the category, claims and relevant passages using the edit buttons as per the screen:
In the case the documents need to be added manually, press the ‘Add’ button and then select the relevant document type to begin adding the document:

**Patent / Utility model:**

- Country code (e.g. JP, EP, WO, US, etc.), Publication number (see below) and optionally the Document Kind (usually either a single letter or a letter and a digit, e.g. A1, A, B, B1, etc.) and then click the button ‘Look-up’ to get the bibliographic data and patent family information of the cited document. The patent family information is sourced from ESPACENET. This
function may be used with patent documents imported from EPOQUENET, but it is expected that such imports will include the patent family and bibliographic information.

If the Look-up does not return any value or generates an error, then user can complete the data entry manually by adding the Publication date and applicant or owner.

Notes on the publication number format: for some publication authorities, the publication number format requires that (part of) the document kind code be attached to the number as follows:

- for Japanese publications - JP - an entire kind code (a letter, and possibly/rarely a digit) must be attached to the number, except when the kind code is A, e.g., “2995292B” is used to retrieve JP2995292B1;
- for publications with a country code on the following list: AT, AU, BA, BG, CN, DK, FI, IS, KR, NL, NO, PL, SK, UY, TW, YU, a kind code letter must be attached to the number, except when the kind code is A;
- for publications from all other authorities, a kind code letter must be attached to the number, except when the kind code is either A, B or C;
- for US patent documents, the number of a A1/A2/A9 publication should have the following format: YYYYnnnnnn, i.e. a year followed by 6 digits. In case the complete publication number includes a zero after the year, this zero should be dropped. E.g., for retrieving US2015/0123456A1, the user should enter “2015123456” in the Publication Number field.

Once the above mandatory information are added, user can click on the button ‘Add relevant passages’.
Enter the most relevant passages or drawings (one or multiple passages for the same relevant claims) and then click on the button ‘Add category and claims’:

Select the category (or categories) and relevant claim numbers, and click OK:
The buttons Delete or Edit are made available to respectively delete or edit category and relevant claims.

Use the button ‘Add category and claims’ as many times as needed to add other categories and claims for the same relevant passage. Once finished, click OK to associate the relevant passage with its corresponding categories and claims.

Add other relevant passages if needed by using the button ‘Add relevant passages’.

The button ‘Add category and claims’ can be directly used in the case where there are no relevant passages:

Each cited document can be edited or deleted by using the right buttons:

The button ‘Add patent family members’ allows user to add patent family members of a cited document:
After clicking the button, the following screens in shown:

Enter mandatory data (country code, publication Number, document kind code and publication date) and then click OK. The patent family member is added to the list:

**Attaching Copy of Prior Art**: by ticking this box, user can add a cited document transmitted by ISA as ‘Prior Art of cited document’:

- Select the document type and click the button add document
PREPARATION OF THE WOSA (ISA/237)

The Written Opinion specific section contains the following items:

**WRITTEN OPINION [ISA/237]**

- [ ] Priority [Box No. II]

- [ ] Non-establishment of opinion with regard to novelty, inventive step and industrial applicability [Box No. III]

- [ ] Lack of unity of invention [Box No. IV]

- [ ] Reasoned statement under Rule 43(b)(1)(a)(i) with regard to novelty, inventive step, and industrial applicability; citations and explanations supporting such statement [Box No. V]

- [ ] Certain documents cited [Box No. VI]

- [ ] Certain defects in the international application [Box No. VIII]

- [ ] Certain observations on the international application [Box No. VIII]

The information corresponding to Box No I (Basis of this opinion) of the form ISA/237 is included in the common part of the ISR and WOSA.

**Priority**: This information corresponds to Box No II of the form ISA/237. By ticking this box, two radio buttons are displayed allowing user to mention on which basis the written opinion was established:
On the assumption that the relevant date is the claimed priority date

Or,

As if no priority has been claimed (invalid priority claim)

Additional observations can be added as free text.

**Non-establishment of opinion with regard to novelty, inventive step and industrial applicability:**

by ticking this box, user gets the following screen
A drop down list offering two options, allowing user to mention whether the claimed invention to be novel or to be industrially applicable have not been examined in respect of the entire application or only on a limited number of claims, and to provide the reason(s).

Further details can also be provided as free text.

**Lack of unity of invention:**
This screen allows user to indicate the applicant’s response to the invitation (ISA/206) to pay additional fees. As shown in the following list, five possible responses are proposed in the drop down list:

- Paid
- Paid under protest including the protest fee where applicable
- Paid under protest but the applicable protest fee was not paid
- Did not pay
- Applicant is not invited to pay additional fees (Unity of invention is not complied with)

A second drop down list allows user to select one of the two options (Compliance or non-compliance in accordance with Rules 13.1, 13.2 and 13.3) with the requirement of unity of invention:

- Compliance with the requirement of unity of invention *
- Non-compliance with the requirement of unity of invention

Select one of the options to indicate whether the opinion has been established in respect of all parts of the IA or only the parts relating to certain claims:

- This opinion has been established in respect of *
  - all parts of the international application
  - the parts relating to claims number[s]

Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step and industrial applicability; citations and explanations supporting such statement:
Mention which claim(s) corresponds (Yes) or not (No) to which reasoned statement. The value ‘NONE’ can be used.

The button ‘SC’ (standardized Clauses) allows examiners to select a standard text from a proposed list of standardized clauses in different languages.

A dropdown menu within the SC (Standardized Clauses) window allows the selection of different languages by examiners (EN, FR, ES, PT, RU, CN, and AR). By default, the pre-selected language appearing upon opening the SC window is the language of the written opinion (Chapter I) or the language of the report (Chapter II) indicated in Box I. Click the button ‘SC’ to open the list:
Click on a row to get the text copied in the field ‘Citations and Explanations’.

Several Standardized Clauses can be added in the same field and in the right position where the user has placed the mouse cursor.

Certain documents cited:
Click the button **Add** to add certain published documents:

Enter the application or patent number, publication date, filing date and priority date then click OK. The published document is added to a list.

Click the button **Add** to add non-written disclosures:

**Certain defects in the international application:** User can mention as free text other defects in the IA
**Certain Observations on the international application**: User can add as free text certain observations on the IA:

The Button ‘SC’ allows user to pick one or more from a list standardized clauses corresponding to box VIII of the written opinion.

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**PREVIEW ISR AND WOSA**

User can click the buttons and to preview the ISR and WOSA before generating the final documents.

Some data must be entered before previewing the ISR (ISA/210) and WOSA (ISA/237): IPC and Fields Searched and Documents considered to be relevant.

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**SAVE DRAFT ISR AND WOSA**

ISA users have the possibility to save draft ISR and/or WOSA. The data is saved and repopulated next time that the same action is launched by the same user or any other user from the same ISA with the ISA role:
User can add a comment before saving a draft. This comment is displayed in a dedicated column of the draft:

Next time the same user or another user from the same ISA launches the action to prepare the ISR and WOSA on the same IA, the system will show the history of saved drafts:

The data saved for ISR and/or WOSA will be automatically prefilled when the same action is launched again. User can complete the draft, preview it and then generate the final ISR and/or WOSA.

**GENERATE AND UPLOAD ISR AND WOSA**

Once the ISA and/or WOSA are complete, user can set the date of completion and date of mailing before generating and uploading the forms (ISA210 and ISA237):
By clicking the button "Generate and Upload Form" and depending on the selected check box (ISR and/or WOSA) the system generates automatically the ISR (ISA/210) and/or the WOSA (ISA/237) and uploads both documents in the Documents section of the IA under ‘Record as held by the IB’.

**PREPARE DECLARATION OF NON-ESTABLISHMENT OF ISR [ISA203] AND/OR WRITTEN OPINION**

Select the Form ‘Prepare declaration of Non-Establishment of ISR [ISA/203] and/or Written Opinion’ in the drop down list of Actions:

The screen is divided into three parts:

- Common part for ISA203 and WOSA (i.e. Basis of the report): always shown in the screen
- ISA203 Specific data: displayed only if the check box International Search Report is ticked
- WOSA specific data: displayed only if the check box Written Opinion is ticked
In the case where an ISA/206 has already been issued, the ePCT Action to create the ISA/210 and the ISA/237 is initialized using the information already transmitted in the ISA/206.

The Common parts and the preparation of the Written Opinion are the same as described above in the Action ‘Prepare ISA210 and WOSA’. ISA203 specific data section should be completed by adding the indications as to the type of information the subject matter relates to, any failure to comply with the prescribed requirements or missing sequence listing:

Each of the checkboxes above will open a section to allow the selection of the relevant indications and additional information as needed may be added into the further comments box.

Once all three sections of the action have been completed, the forms may be generated and uploaded. Transmission to the applicant should be completed using the normal process, typically using postal mail, followed by the Office.

**UPLOAD CITED DOCUMENT**

Select the Action Upload cited document in the drop down list of Actions:
Use the highlighted buttons to add the cited document and submit the document to the file of the ISA marked as ‘Office private’.

**ISA202-NOTIFICATION OF RECEIPT OF SEARCH COPY**

Select the Form ISA202 in the drop down list of Actions:

- **Capacity ISA**
- **Action ISA202-Notification of Receipt of Search Copy**
- **Language**
- **English**

**Search Copy received on**

19/04/2022

- Sequence listing under PCT Rule 13ter.(a) for the purposes of international search only
- Sequence listing forming part of the international application as filed

Enter the date on which the search copy was received by your office

Please use the button PREVIEW, verify that the date is correctly reflected in the draft ISA/202 before clicking the button Generate and Upload.

**ISA205-NOTIFICATION OF MODIFICATION OF ABSTRACT APPROVED BY ISA**

Select the Form ISA/205 in the drop down list of Actions:

A dropdown is displayed to select the decision regarding the applicant’s comment regarding the modification of the abstract:

- Decision of the ISA on the applicant’s comment
- Text of the abstract remains as established by the ISA
- Text of the abstract has been changed based on the applicant’s comment

The following reasons for not establishing the search report may be selected:
Once completed, press ‘Generate and Upload’ form and print for sending to the applicant.

ISA206-INVITATION TO PAY ADDITIONAL FEES AND, WHERE APPLICABLE, PROTEST FEE (PCT ARTICLE 17(3)(A) AND RULES 40.1 AND 40.2(E))

Select the Form ISA/216 in the drop down list of Actions:

The following sections are shown:

International Searching Authority
Invitation to pay fee, protest fee and unsearchable claims found

<table>
<thead>
<tr>
<th>INVITATION TO PAY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fee per additional invention *</td>
</tr>
<tr>
<td>Number of additional claims *</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>PROTEST FEE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pay a protest fee *</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>UNSEARCHABLE CLAIMS FOUND</th>
</tr>
</thead>
<tbody>
<tr>
<td>Claim Number(s)</td>
</tr>
</tbody>
</table>

2. Consequently, the applicant is hereby invited to pay, within the time limit indicated above, additional fees in the amount indicated below.

<table>
<thead>
<tr>
<th>Fee-per additional invention</th>
<th>number of additional inventions</th>
<th>total amount of additional fees/currency</th>
</tr>
</thead>
</table>

3. The applicant is informed that, according to Rule 40.2(c), the payment of any additional fees may be made under protest, that is, a reasoned statement to the effect that the international application complies with the requirements of unity of invention or that the amount of the required additional fees is excessive, where applicable, subject to the payment of a protest fee. Where the applicant pays additional fees under protest, the applicant is hereby invited, within the time limit indicated above, to pay a protest fee (Rule 40.2(e)) in the amount of ________ (amount/currency).

Where the applicant has not, within the time limit indicated above, paid the required protest fee, the protest will be considered not to have been made and the International Searching Authority will so declare.

4. [ ] Claim(s) N(s) have been found to be unsearchable under Article 17(2)(b) because of defects under Article 17(2)(a) and therefore have not been included with any invention.

Complete the required fields, Preview the form and then ‘Generate and Upload Form’.

ISA212-NOTIFICATION OF DECISION ON PROTEST

Select the Form ISA/212 in the drop down list of Actions.

Complete the form, see below, and choosing:

- The language of the form,
- The decision of the ISA
- The authorized Officer, date of mailing and importance

And then Preview and/or Generate the form.

The form needs to be printed or saved as PDF and mailed to the applicant.
ISA213-NOTIFICATION OF REFUND OF SEARCH FEE

Select the Form ISA/213 in the drop down list of Actions.

Complete the form, see below, and choosing:

- The language of the form,
- The decision of the ISA including as appropriate the amount of refund
- The authorized Officer, date of mailing and importance

And then Preview and/or Generate the form.

The form needs to be printed or saved as PDF and mailed to the applicant.
ISA216 - NOTIFICATION TO REQUEST RECTIFICATION

Select the Form ISA/216 in the drop down list of Actions.
The following fields are displayed:

- **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.

- **Obvious mistake (s) discovered by the ISA**: A mandatory free text to describe the nature of mistake(s).

- **Request for rectification to be submitted to**: the recipient to whom the rectification should be submitted could be the ISA, RO or the IB. This field is mandatory.

The generated form is added automatically to the Documents section of the IA; under the sub section ‘Record as held by IB.

**ISA217-NOTIFICATION OF DECISION CONCERNING REQUEST FOR RECTIFICATION**

Select the Form ISA/217 in the drop down list of Actions:
The following fields are displayed:

- **Decision by the ISA**: there are three possible decisions. The following screen shows possible combinations.

The generated form is added automatically to the Documents section of the IA; under the sub section ‘Record as held by IB.’

**ISA220-NOTIFICATION OF TRANSMITTAL OF THE ISR AND WO OF THE ISA**
Select the Form ISA/220 in the drop down list of Actions:
The ISR and WOSA have been established and are transmitted. Attaching the ISR and WOSA is mandatory
If ISR and/or Written Opinion are already uploaded in the IA file, the system will indicate next to each document that it has been already generated:

The ISR will NOT be established. Attaching the form ISA/203 and WOSA are mandatory:
The system indicates whether a document has already been generated.

Check box ‘Protest against payment of additional Fees under Rule 40.2’: by ticking this box, two radio buttons are enabled:
The generated form is added automatically to the Documents section of the IA; under the sub section ‘Record as held by IB.

Attached documents are also automatically shown under the Documents section of the IA.

ISA224-COMMUNICATION IN CASES FOR WHICH NO OTHER FORM IS APPLICABLE
Select the Form ISA/224 in the drop down list of Actions.
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 as deadline for the reply.

No Reply due: Select this option if no reply is required.

Communication: This is a mandatory field.

The generated form is added automatically to the Documents section of the IA; under the sub section ‘Record as held by IB’.

ISA225-INVITATION TO FURNISH SEQUENCE LISTING AND TO PAY, IF APPLICABLE, LATE FURNISHING FEE

Select the Form ISA/225 in the drop down list of Actions.
Language: Select this radio button and enter the number of days or months (e.g. 10 days or 2 months) from the date of mailing as deadline for the reply.

Furnish nucleotide and/or amino acid sequence listing: Select the options relevant.

Late Furnishing Fee: if applicable, indicate a late furnishing fee is required, along with the amount and currency.

Further observations: Enter any observations as applicable.

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.

Importance: indicate that the form is ‘urgent’ or a ‘corrected version’
The generated form is added automatically to the Documents section of the IA; under the sub section ‘Record as held by IB’.

**OTHER PCT/ISA FORMS**

Selecting ‘Other PCT/ISA Forms’ will give you access to the web page of all PCT forms related to the ISA:

**RECORD CHAPTER II DEMAND**

For more details, please refer to Record Chapter II Demand under the section International Preliminary Examining Authority.

**MANAGE INTERNATIONAL PATENT CLASSIFICATION (IPC) SYMBOLS**

IPC Symbol management functions have been provided to enable accurate publication in the case where the ISR will be established after the publication deadline.
Using the ePCT Action, as ISA, an Office can add IPC classification symbols in ePCT. Once the Manage International Patent Classification (IPC) action has been selected from the ISA list of actions the following screen is displayed.

Using the highlighted buttons, the user may add classifications, modify or delete classifications as needed and then save them into the system so that for applications where it has not been possible to furnish a search report prior to publication the classifications can be provided by the ISA.

**ISA IPC NOTIFICATIONS**

The ePCT System on a weekly basis sends a single notification to ISA Offices to advise that there are international applications for which an IPC Symbol is missing or invalid and the date when technical preparations for publication are expected to be complete is imminent. The notification will invite the ISA to run the relevant ePCT reports to be able to correct the relevant international applications:

**IPC REPORTING ISA-03 – INVALID IPC SYMBOLS**

A report is available for ISA office users to generate a list of International Applications that are due to be published within the coming weeks where the IPC symbols are invalid.

This produces a list of International Applications from which the user may directly access the Manage IPC Symbols action for each International Application by pressing the corresponding button. For further details, refer to the reporting section above.

**IPC REPORTING ISA-04 – MISSING IPC SYMBOLS**
A report is available for ISA office users to generate a list of International Applications that are due to be published within the coming weeks where the IPC symbols are not present.

The report produces a listing of International Applications from which the user may directly access the Manage IPC Symbols action for each International Application by pressing the corresponding button. For further details, refer to the reporting section above.

**UPLOAD IPC SYMBOLS**

ISA Office users having IPC Symbols for multiple International Applications to upload into ePCT may access the Upload IPC function to upload them simultaneously using the accepted format:

- access to the Upload IPC function is via the User menu item:
- the ISA Office user must then input or paste the IPC Symbols into the input panel using the formatting indicated on the same screen (one row per IA, with correctly formatted symbols separated by ";") and then press add:

- the international applications must be in the ePCT system and the IPC Symbols must be valid. If an ISR is already at the IB a warning message will be displayed, but it will not block the upload.
- the uploaded IPC codes will overwrite all existing codes for each application included in an upload. Any codes entered this way will be replaced by those indicated in a subsequently processed international search report.

**ACTIONS AND FORMS FOR THE IPEA**
As an IPEA user, you are able to

- Record the receipt of a Chapter II Demand and notify that receipt with the IPEA/402
- Invite the submission of corrections to the Demand sending the IPEA/404
- Create the written opinion of the IPEA, the IPEA/408
- Create the international preliminary report on patentability, the IPEA/409
- Notify the transmittal of
  - the IPEA, the IPEA/408
  - and submit Form IPEA/424 in addition to other IPEA Forms that can be found when selecting from the Actions drop-down list Other PCT/IPEA Forms.

In addition to being able to perform these functions, the routing of IPEA documents for processing ePCT actions and the retention of draft documents in a task list has been enabled.

**RECORD CHAPTER II DEMAND**

Any Office having received a Chapter II Demand can transmit it to the IB using the action 'Record Chapter II Demand'.

This action is made available to all Offices regardless of their capacity (RO, ISA, and IPEA) for a given IA. A new capacity ‘Other’ is made available in case your Office receives a Chapter II Demand but has no role/capacity for the IA:
Select the action ‘Record Chapter II Demand’ and click OK.
The following screen is displayed:
Date of receipt of Chapter II Demand (mandatory): This date should correspond to the date your Office has received the documents:

Competent IPEA (mandatory): The drop down list contains only competent IPEA. Note that the option ‘Not specified’ is to be used when no Authority has been indicated on the Chapter II Demand.
**Attach Documents (Mandatory):** Chapter II Demand document must be attached as PDF file if you are acting as selected IPEA. Chapter II Demand for IPEA document must be attached if you are not acting as selected IPEA.

Click the button [Submit] to record the Chapter II Demand.

If the Chapter II Demand is successfully recorded, you will get the following information message:

![Information message](image)

By clicking OK, the system refreshes the IA. The document Chapter II Demand for IPEA is now in Documents section. The system also generates the Notification IB/368 as outgoing document for the applicant:

![Record as held by the IB](image)

The date of receipt and the IPEA Office indication will be automatically loaded in the IB system and the IPEA Authority will have immediately access to IA in ePCT. In case it is the competent IPEA who is transmitting the Chapter II Demand to IB, the document will be identified as Chapter II Demand and will be processed by IB on due time. However, if the Office transmitting the Chapter II Demand to IB is not the competent Authority the document transmitted to IB will be automatically transmitted to the competent IPEA.

**IPEA402-NOTIFICATION OF RECEIPT OF DEMAND AT IPEA**

Select the Form IPEA/402 in the drop down list of Actions:
Enter the date on which the Demand was received by your office and indicate the type of the date of receipt.

Please use the button PREVIEW, verify that the date is correctly reflected in the draft IPEA/402 before clicking the button Generate and Upload.
IPEA404-INVITE SUBMISSION OF CORRECTIONS TO THE DEMAND

Select the Form IPEA/404 in the drop down list of Actions:

Enter the description of the defects using the fields and checkboxes provided on the screen:

Please use the button PREVIEW, verify that the defects are correctly reflected in the draft IPEA/404 before clicking the button Generate and Upload.
IPEA405-INVITATION TO RESTRICT CLAIMS OR PAY ADDITIONAL FEES

The IPEA/405 has been implemented in ePCT. The examiner must choose the number of inventions claimed, provide reasoning as to why *Unity of invention* is not complied with, specify the currency, and specify the amount per additional invention and the amount for the protest fee:

**INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY (IPEA)**

Number of inventions claimed *

2

Unity of invention not complied with

B \( \star \) U \( \star \) x \( \star \)

**INVITATION TO PAY**

Currency *

USD

Fees per additional invention *

**Number of additional inventions** *

1

Total amount of additional fees

**PROTEST FEE**

Currency

USD

Amount *

IPEA408-CREATE THE WRITTEN OPINION OF THE IPEA,

The IPEA/408 and IPEA/409 have been implemented as ePCT Actions for which the examiner can save a draft, send and subsequently draft and transmit further versions of the document. To facilitate returning to complete an IPEA/408 or IPEA/409, drafts are reported in the ePCT task list for the Office. To create a written opinion of the IPEA access the form using the Actions drop down list:
Common features for IPEA/408 and 409

The top floating bar enables an intuitive and easy navigation through a draft IPEA/408 or IPEA/409. It stays at the top of the screen, even when the users scroll down towards the bottom of the form. Each box of the bar is a shortcut to the relevant section, with a Box ordering reflecting the relative relevance of boxes. For instance, Box I is shown first because this section of the IPEA/408 or IPEA/409 has always to be completed. Box V comes second because this Box has to be completed in the vast majority of cases (unless Box III is selected to indicate that no meaningful examination can be carried out in respect of the entire international application). Box VIII is also frequently edited and completed in order to point out clarity issues and comes therefore third on the bar, etc...

At any time, an Office user can easily proceed to a particular Box by clicking directly on the corresponding shortcut on the top bar. The subscript “[draft]” is appended to a Box shortcut after
saving a draft IPEA/408 or IPEA/409 if the corresponding Box has been edited. In the screenshot above, the subscript appears for Boxes I, V, VIII and VI, which indicates that these Boxes were already edited in the draft form. Upon saving or previewing the draft IPEA/408 or IPEA/409, a Box shortcut is marked in red in case an error is detected in one of the edited fields of the corresponding Box.

EXPAND/COLLAPSE ARROWS FOR BOXES

Each individual Box area can be expanded or collapsed by clicking on the small grey arrow in front of it. Collapsing unedited sections helps the user to keep of good overview of the form content.

HISTORY OF SAVED DRAFTS

At the top of the IPEA/408, IPEA/409 forms, the user can conveniently access a list of all the previously saved drafts for a specific action, and preview them via an expand/collapse arrow. This
feature is of particular interest when a patent examiner takes over the work from a fellow examiner, or when an examiner resumes work on an International application after a long interruption. After the sending of an initial version, should later versions be sent, such later versions will be marked as corrected versions.

**BASIS OF THE OPINION/REPORT**

Box I features a section for entering the basis of the IPEA/408 or IPEA/409:

The first option (“as filed/furnished”) is selected when no amendments were filed during Chapter II or in the absence of Art. 19 claims, e.g. when the applicant only sends a rebuttal letter without amending any part of the application.

The second option (“as filed/amended”) is selected whenever amendments have been submitted (Art. 19 claims, Art. 34 amendments, etc...). Upon selecting this second option, the Office user has to enter the application documents forming the basis of the opinion/report:
Below is an illustrative example of a complete basis obtained after entering successively application documents as originally filed or amended via the drop-downs shown above. The three parts (Description, Claims, Drawings) are displayed in three distinct portions of the form. Every time an Office user adds an element in the basis section, the element is added to a list of elements located below the grey box entitled “Indications concerning the basis of the opinion/report”. In addition, each individual entry can be edited or deleted via respective buttons on the right-hand side.
SPECIFIC FEATURES OF THE IPEA/408 (CHAPTER II WRITTEN OPINION)

The top section of an IPEA/408 form comprises three items:

The first two fields correspond to the two items on the cover sheet of an IPEA/408. These entries are mandatory.

The third box (“Time limit to establish the IPRPII”) is presented to the user merely for information purpose, i.e. it is not legally binding and will not be rendered on the final generated IPEA/408 form. It solely gives an indication of the expected date on which the final IPEA/409 has to be issued (409 deadline). By default, the box shows the date determined under Rule 69.2 (i) PCT, i.e. 28 months from the priority date, and can be edited by the Office user if needed, for instance when any of the periods under Rule 69.2 (ii) or (iii) expires after the aforementioned 28-month period.

IPEA409-CREATE THE INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

In ePCT the creation of the IPEA/409 benefits from the common features shared with the IPEA/408, see above. To create a=the International Preliminary Report on Patentability select the form from the Actions drop down list:
The features specifically developed for the IPEA/409 are described below.

**SPECIFIC FEATURES OF THE IPEA/409 (IPRP CHAPTER II) - ANNEXES**

The top section of an IPEA/409 form features a built-in tool to upload and preview Annexes of an IPRP Chapter II. These Annexes to the Chapter II Report are the elements referred to in Rule 70.16 PCT. A user can for instance conveniently upload replacement sheets in PDF format by selecting at first the relevant category out of three possible Annex categories:

**ANNEXES**

- Description, claims, drawings as amended and/or rectifications authorized by the Authority
- Rectifications which were not authorized by or notified to the Authority
- Superseded sheets that go beyond the original disclosure and any accompanying letters
- Separate electronic file containing a sequence listing (sent to the International Bureau only)

Upon clicking on the first Annex box above, an “Add document” button allow the examiner to upload a PDF document containing a part of the Annexes, e.g. a set of claims submitted under Art. 34 PCT:
In the example below, a set of claims and description pages filed under Art. 34 are uploaded:

At any time, the user can preview the separate documents (e.g. the set of claims only), or click on the top button “Preview Annexes” to obtain an overview of all the collated Annexes in a single final “Annexes” PDF document.

IPEA416-NOTIFY TRANSMITTAL OF INTERNATIONAL PRELIMINARY REPORT FORM
Select the Form IPEA/416 in the drop down list of Actions.
Please use the button PREVIEW, verify that the language, date and importance are correctly reflected in the draft IPEA/416 before clicking the button Generate and Upload.

The generated form is added automatically to the Documents section of the IA; under the sub section ‘Record as held by IB.’

IPEA424-COMMUNICATION IN CASES FOR WHICH NO OTHER FORM IS AVAILABLE
**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 as deadline for the reply.

**No Reply due**: Select this option if no reply is required.

**Communication**: This is a mandatory field.

Please use the button PREVIEW, verify that the language, date and importance are correctly reflected in the draft IPEA/424 before clicking the button Generate and Upload.

The generated form is added automatically to the Documents section of the IA; under the sub section ‘Record as held by IB.

---

**IPEA ROUTING OF IPEA DOCUMENTS FOR PROCESSING EPCT ACTIONS IN EPCT HAS BEEN ENABLED**

The routing of IPEA documents for processing ePCT Actions for IPEAs that have selected ePCT processing for Chapter II has been enabled. This means that new Demands created in ePCT, rather than being sent to the IPEA via EDI, will appear in the task list in ePCT for the IPEA.

---

**ACTIONS ON DOCUMENTS**

Uploading and Processing Subsequently filed documents
UPLOAD ISA/IPEA DOCUMENTS

Uploading documents is done only through the section Documents. Open an IA, open Documents section and click the button ‘Upload’. In the screenshot below the IPEA documents that should be uploaded to the IB are shown:

The system displays automatically one or more options under ‘Capacity’ and ‘Recipient’, depending on 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: 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 ISA:

7. Choose first the capacity of your Office (e.g. ISA)
8. 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 document to the attention of the IB or another office ISA or IPEA before the Record Copy is sent to the IB).
9. Select the right document type from the list of available documents and then click ‘Add Document’
Note: In case you do not find the right document type in the proposed list, you can select ‘RO Document’, ‘ISA Document’ or ‘IPEA Document’.

10. 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:

   ![DOCUMENTS ATTACHED FOR UPLOAD]

   English Translation of the Written Opinion of the International Search Authority
downloadAction.pdf 1 page 1.37 KB

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

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

   ![Information]

   Document(s) uploaded successfully.

   OK

12. The system refreshes the IA screen and displays the Documents section with the document uploaded in the right recipient section (e.g., if the recipient was ISA, the document is displayed in the section ‘Documents for ISA/EP’).

   ![DOCUMENTS FOR RO/XY]

   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**

   When selecting IB as recipient when uploading documents, then the system will offer a choice to send an informal message about the uploaded documents. Check the box and add a message in case you wish to provide an explanation about the uploaded document(s):
You message will be included in the generated ePCT cover letter.

**PROCESS THE DOCUMENT TYPE: RECTIFIED SHEETS (RULE 91)**

As office user you can index the document by defining the pages corresponding to the applicant’s ‘Request for rectification under Rule 91.1’ and accepted or refused rectified sheets pages. Once the user confirms the processing of the document, the system watermarks automatically each page of the document by indicating: whether the page is a request for rectification, an accepted or refused rectified sheet and the system will also indicate the receipt date of the processed pages.

The following screenshot shows how to process the ‘Rectified Sheets’:

- Check the box corresponding to the document
- Select the action ‘Process’ and click OK

The system displays the following fields:
- Request Rule 91.1 submitted by the applicant
- Rectified sheet(s) accepted by the ISA
- Rectified sheet(s) refused by the ISA
- You can indicate the page numbers corresponding to each field (e.g. Rectified sheets accepted by the ISA : 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:

![Incorrect page number]

The selected document contains 3 page(s)
Number of pages indicated: 6

Offices, using this ePCT function to process and transmit their documents, are no longer requested to stamp each page of the document type ‘Rectified Sheets’. All accepted pages will be automatically stamped ‘RECTIFIED SHEETS (RULE 91)’ by the system:

**RECTIFIED SHEETS (RULE 91)**

Each page is watermarked (accepted, refused or Request Rule 91.1) based on the page numbers you entered in each field:

Request Rule 91.1 received on 24 May 2018

Accepted sheets received on 24 May 2018

Refused sheets received on 24 May 2018

It is possible to generate the form ISA/217 while processing the Rectified sheets document by checking the box “Generate ISA/217” (refer to ISA/217 section of this document).
If this option is used, after the confirmation of the processing of the documents by the user, the system will propose to send automatically the ISA/217 with a copy of the processed Rectified sheets to the IB.

If the user clicks on “Yes” the documents will be sent to the IB. However, by clicking on “No” the Processed Rectified sheets and the ISA/217 will remain in status “Processed” in the Documents for ISA section.
**DESIGNATED OFFICES (DO) FUNCTIONS**

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, 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 unpublished applications for which the applicant has requested early national phase.

The current 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 two sections: Documents and Actions:

ACTIONS

NOTIFY NATIONAL PHASE ENTRY TO THE IB

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

When selecting this action the system checks whether a notification of national phase entry has already been made or not. In case a notification of national phase entry has been already performed and a correction of the date or the Application number is required, it is possible to resubmit the notification of national phase entry. Data will be automatically updated.

Otherwise, the system displays the following screen:
Enter the National Application Number:

<table>
<thead>
<tr>
<th>National Application Number *</th>
<th>Date of National Phase Entry *</th>
</tr>
</thead>
<tbody>
<tr>
<td>ON  123456</td>
<td>27/03/2017</td>
</tr>
</tbody>
</table>

The country code is set by default and cannot be modified
The number format should be up to 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 that is more than one month ago, you get the following confirmation message:

**Confirmation required**

Indicated date of national phase entry is more than one month ago. Do you wish to continue?

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 under Documents section, Record as held by the IB, two new documents are available:

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.

Example of the generated form IB/345:
PATENT COOPERATION TREATY

ADVANCE E-MAIL

PCT

COMMUNICATION IN CASES FOR WHICH NO OTHER FORM IS APPLICABLE

From the INTERNATIONAL BUREAU

To:
NANJAPPAN, Puvaneswari
KASS International Sdn. Bhd.,
Suite 8-7-2, Menara Muriana Bangsar
Jalan Liko Off Jalan Rong, Bangsar
Kuala Lumpur, 59100
MALAYSIA

Date of mailing (day/month/year):
19 November 2014 (19.11.2014)

Applicant’s or agent’s file reference:
P3343-KM

International application No.:
PCT/MY2012/000021

Applicant:
PALANISAMY, Krishna Moorthy

REPLY DUE:
see paragraph 1 below

International filing date (day/month/year):
03 February 2012 (03.02.2012)

1. ☐ REPLY DUE within months/days from the above date of mailing.
☐ NO REPLY DUE, however, see below
☒ IMPORTANT COMMUNICATION
☐ INFORMATION ONLY

2. COMMUNICATION:

Singapore has indicated that this international application entered the national phase prior to international publication on 19/11/2014 with national application number SG 5G123456. The documents on file at the International Bureau are now available to that Office.

Example of the generated document ‘Information concerning national phase entry’:
Once you have successfully submitted a notification of national phase entry for a ‘Not yet published IA’, 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: Documents section, Bibliographic Data, Timeline and History.

**NOTIFY NATIONAL PHASE EVENT**

This action allows Designated Offices to record a notification about a national phase event. This action requires a National phase entry to be recorded first.

On selecting the action, the national phase application number and date of national phase entry are displayed (or ‘Not Known’ if the information cannot be retrieved). A drop down list of possible events is proposed:

**NATIONAL PUBLICATION EVENT (DEFAULT SELECTION)**

The date of national publication is mandatory and cannot be in the future (according to the time zone of the relevant Office).
The number and kind code for national publication are mandatory.

If the date of national publication is earlier than one month in the past then the following warning message is displayed, asking the user whether to continue or not:

![Warning Message]

Clicking the button ‘No’ cancels the operation. The user can modify the date and proceed again.

Clicking ‘Yes’ will confirm the action and proceed with the next step. An information message about the notification of a national phase event is displayed:

![Information Message]

**GRANT**

The date of grant is mandatory and cannot be in the future (according to the time zone of the relevant Office).

The number and kind code for national publication are NOT mandatory. The user gets a warning message in case this information is missing:
Clicking the button ‘No’ cancels the operation. The user can enter the publication number and kind code and submits again the action.

Clicking YES will confirm the action and proceed with the next step. An information message about the notification a national phase event is displayed:

**REFUSAL, WITHDRAWAL, EXPIRED/NON MAINTAINED, NON-ENTRY**

In each of the above mentioned cases, a date selection box is provided labelled "Date of refusal", "Date of grant", "Date of withdrawal", "Date of expiry" or "Date of non-entry":

The date is mandatory and cannot be in the future (according to the time zone of the relevant Office).

**REQUEST NATIONAL PHASE ENTRY DOCUMENTS**

The aim of this Action is to offer to all Designated Offices entering in national phase the ability to request from the IB documents that are not (yet) available in PATENTSCOPE or ePCT.
The DOs accessing the IAs in ePCT will have access to the documents that are made publicly available on PATENTSCOPE for published IAs and need to perform the existing action "National Phase Entry" on unpublished IAs for early national phase entry cases. When requesting documents the status of the IA is validated and an error message displayed when the IA is unpublished and the “National Phase Entry” action has not been performed for the IA.

In the case a document is not (yet) available in PATENTSCOPE or in ePCT, this action enables DO users to request document(s) not yet available at IB. For example, translations of written opinions may not yet have been completed; having been requested, once available at IB, they will be transmitted to the DO.

This action will evolve in time since we are starting with simple function. The next step is to have a more "intelligent" action that will give more information to users and make documents available to DOs in an automatic manner. The expected workflow for an Office user using this function is as follows:

In ePCT, Enter IA number in the search box

If pre-publication, complete the ePCT Action for Early National Phase Notification

Review available documents to identify if the required documents are available and download in ePCT.

Now, request any documents not yet present in the file use the ePCT Action ‘Document Request for Authorities’:
Specify the required documents:

Receive a confirmation of request and view a request saved in the application:
The Document request will remain unprocessed at IB until the requested documents become available, and, once available, will be sent using the normal transmission process to the Office.

**UPLOADING DOCUMENTS AS DO**

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

- **Capacity**: DO
- **Recipient**: IB
- **Immediate access to IB**: Monday, 27 March 2017, 08:47 CEST
- **Other**: DO Document
- **Add informal note**

**UPLOAD OF NATIONAL PHASE ENTRY DATA FILE USING A CSV OR XML FILE**

The possibility to upload National Phase Entry data in bulk, from a file extracted from a local system, has been added to the drop down menu to enable the automatic upload of this information by users.
at Offices where this data is not transmitted by EDI. This method of transmitting the National Phase Entry data is provided in addition to the ePCT actions previously mentioned in this user guide. The ePCT action is aimed at allowing the transmission of National Phase Entry information for individual International Applications.

- To access the upload National Phase Entry data function click the link on the drop down menu:

- The function offers a file upload dialogue accessed through the “Select file” button:

- The file to be uploaded must be selected. Once the file has been selected the processing of the data will start:
When the processing of the file is completed the screen will list the records successfully recognized and those which cannot be loaded:

- Should there be entries that are invalid the user has the option to cancel, correct the file and repeat the action, or alternatively, the user can proceed and complete the upload of the data by clicking the upload.
- Should the file be incorrectly formatted the following message will be displayed:
SUPPORT

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

- For PCT business related questions: the PCT Operation Team at IB as indicated in the Documents section header:
  
  Team at IB PCT RO/IB Team
  Tel. +41 22 338 95 23

  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 pct.eservices@wipo.int or contact the PCT eServices Help Desk by clicking on HELP and ‘CONTACT US’ and filling in the web form.

[End of document]