

## IV. Interpreting and Utilizing ISR, WOISA, and IPER

- A. What are the ISR , the WOISA, and the IPER ?
- B. International Search Report(ISR)
- C. Written Opinion of the International Searching Authority(WOISA)
- D. International Preliminary Examination Report (IPER)**

# IV. Interpreting and Utilizing ISR, WOISA, and IPER

## D. IPER ( IPRP(II) ) ( cover sheet & Box No.I )

PATENT COOPERATION TREATY																		
PCT																		
INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY (Chapter II of the Patent Cooperation Treaty)																		
(PCT Article 36 and Rule 70)																		
Applicant's or agent's file reference	<b>FOR FURTHER ACTION</b> See Form PCT/IPEA/416																	
International application No.	International filing date (day/month/year)	Priority date (day/month/year)																
International Patent Classification (IPC) or national classification and IPC																		
Applicant																		
<p>1. This report is the international preliminary examination report, established by this International Preliminary Examining Authority under Article 35 and transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of <u>5</u> sheets, including this cover sheet.</p> <p>3. This report is also accompanied by ANNEXES, comprising:</p> <p>a. <input checked="" type="checkbox"/> (sent to the applicant and to the International Bureau) a total of <u>8</u> sheets, as follows:</p> <p><input checked="" type="checkbox"/> sheets of the description, claims and/or drawings which have been amended and/or sheets containing rectifications authorized by this Authority, unless those sheets were superseded or cancelled, and any accompanying letters (see Rules 46.5, 66.8, 70.16, 91.2, and Section 607 of the Administrative Instructions).</p> <p><input type="checkbox"/> sheets containing rectifications, where the decision was made by this Authority not to take them into account because they were not authorized by or notified to this Authority at the time when this Authority began to draw up this report, and any accompanying letters (Rules 66.4bis, 70.2(e), 70.16 and 91.2).</p> <p><input type="checkbox"/> superseded sheets and any accompanying letters, where this Authority either considers that the superseding sheets contain an amendment that goes beyond the disclosure in the international application as filed, or the superseding sheets were not accompanied by a letter indicating the basis for the amendments in the application as filed, as indicated in item 4 of Box No. I and the Supplemental Box (see Rule 70.16(b)).</p> <p>b. <input type="checkbox"/> (sent to the International Bureau only) a total of (indicate type and number of electronic carrier(s)) _____, containing a sequence listing, in electronic form only, as indicated in the Supplemental Box Relating to Sequence Listing (see paragraph 3bis of Annex C of the Administrative Instructions).</p> <p>4. This report contains indications relating to the following items:</p> <table border="0"><tr><td><input checked="" type="checkbox"/> Box No. I</td><td>Basis of the report</td></tr><tr><td><input type="checkbox"/> Box No. II</td><td>Priority</td></tr><tr><td><input type="checkbox"/> Box No. III</td><td>Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</td></tr><tr><td><input type="checkbox"/> Box No. IV</td><td>Lack of unity of invention</td></tr><tr><td><input checked="" type="checkbox"/> Box No. V</td><td>Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</td></tr><tr><td><input type="checkbox"/> Box No. VI</td><td>Certain documents cited</td></tr><tr><td><input type="checkbox"/> Box No. VII</td><td>Certain defects in the international application</td></tr><tr><td><input type="checkbox"/> Box No. VIII</td><td>Certain observations on the international application</td></tr></table> <p>Date of submission of the demand _____ Date of completion of this report _____</p> <p>Name and mailing address of the IPEA/JIP _____ Authorized officer _____</p> <p>Facsimile No. _____ Telephone No. _____</p>			<input checked="" type="checkbox"/> Box No. I	Basis of the report	<input type="checkbox"/> Box No. II	Priority	<input type="checkbox"/> Box No. III	Non-establishment of opinion with regard to novelty, inventive step and industrial applicability	<input type="checkbox"/> Box No. IV	Lack of unity of invention	<input checked="" type="checkbox"/> Box No. V	Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement	<input type="checkbox"/> Box No. VI	Certain documents cited	<input type="checkbox"/> Box No. VII	Certain defects in the international application	<input type="checkbox"/> Box No. VIII	Certain observations on the international application
<input checked="" type="checkbox"/> Box No. I	Basis of the report																	
<input type="checkbox"/> Box No. II	Priority																	
<input type="checkbox"/> Box No. III	Non-establishment of opinion with regard to novelty, inventive step and industrial applicability																	
<input type="checkbox"/> Box No. IV	Lack of unity of invention																	
<input checked="" type="checkbox"/> Box No. V	Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement																	
<input type="checkbox"/> Box No. VI	Certain documents cited																	
<input type="checkbox"/> Box No. VII	Certain defects in the international application																	
<input type="checkbox"/> Box No. VIII	Certain observations on the international application																	

Form PCT/IPEA/409 (cover sheet) (July 2011)

INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY		International application No.
<b>Box No. I</b>	<b>Basis of the report</b>	
<p>1. With regard to the <b>language</b>, this report is based on:</p> <p><input checked="" type="checkbox"/> the international application in the language in which it was filed</p> <p><input type="checkbox"/> a translation of the international application into _____, which is the language of a translation furnished for the purposes of:</p> <p><input type="checkbox"/> international search (Rules 12.3(a) and 23.1(b))</p> <p><input type="checkbox"/> publication of the international application (Rule 12.4(a))</p> <p><input type="checkbox"/> international preliminary examination (Rule 55.2(a) and/or 55.3(a))</p> <p>2. With regard to the <b>elements</b> of the international application, this report is based on (replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report):</p> <p><input type="checkbox"/> the international application as originally filed/furnished</p> <p><input checked="" type="checkbox"/> the description:</p> <p>pages <u>1-65</u> _____ as originally filed/furnished.</p> <p>pages* _____ received by this Authority on _____</p> <p>pages* _____ received by this Authority on _____</p> <p><input checked="" type="checkbox"/> the claims:</p> <p>nos. _____ as originally filed/furnished.</p> <p>nos.* _____ as amended (together with any statement) under Article 19</p> <p>nos.* <u>1, 3-18</u> _____ received by this Authority on <u>16.03.2013</u></p> <p>nos.* _____ received by this Authority on _____</p> <p><input checked="" type="checkbox"/> the drawings:</p> <p>pages <u>figures 1-32</u> _____ as originally filed/furnished.</p> <p>pages* _____ received by this Authority on _____</p> <p>pages* _____ received by this Authority on _____</p> <p><input type="checkbox"/> a sequence listing – see Supplemental Box Relating to Sequence Listing.</p> <p>3. <input checked="" type="checkbox"/> The amendments have resulted in the cancellation of:</p> <p><input type="checkbox"/> the description, pages _____</p> <p><input checked="" type="checkbox"/> the claims, Nos. <u>2</u> _____</p> <p><input type="checkbox"/> the drawings, sheets/figs _____</p> <p><input type="checkbox"/> the sequence listing (specify): _____</p> <p>4. <input type="checkbox"/> This report has been established as if (some of) the amendments annexed to this report and listed below had not been made, since either they are considered to go beyond the disclosure as filed, or they were not accompanied by a letter indicating the basis for the amendments in the application as filed, as indicated in the Supplemental Box (Rule 70.2(c) and (c-bis)):</p> <p><input type="checkbox"/> the description, pages _____</p> <p><input type="checkbox"/> the claims, Nos. _____</p> <p><input type="checkbox"/> the drawings, sheets/figs _____</p> <p><input type="checkbox"/> the sequence listing (specify): _____</p> <p>5. <input type="checkbox"/> This report has been established:</p> <p><input type="checkbox"/> taking into account the <b>rectification of an obvious mistake</b> authorized by or notified to this Authority under Rule 91 (Rules 66.1(d-bis) and 70.2(e)).</p> <p><input type="checkbox"/> without taking into account the <b>rectification of an obvious mistake</b> authorized by or notified to this Authority under Rule 91 (Rules 66.1bis and 70.2(e)).</p> <p>6. <input type="checkbox"/> Supplementary international search report(s) from Authority(ies) _____</p> <p><input type="checkbox"/> has/have been received and taken into account in establishing this report (Rule 45bis.8(b) and (c)).</p> <p>* If item 4 applies, some or all of those sheets may be marked "superseded."</p>		

Form PCT/IPEA/409 (Box No. I) (July 2011)

# IV. Interpreting and Utilizing ISR, WOISA, and IPER

## D. IPER ( IPRP(II) ) ( cover sheet)

1. This report is the international preliminary examination report, established by this International Pre-Examination Authority under Article 35 and transmitted to the applicant according to Article 36.

2. This REPORT consists of a total of 5 sheets, including this cover sheet.

3. This report is also accompanied by ANNEXES, comprising:

a. ☒ (sent to the applicant and to the International Bureau) a total of 8 sheets of the description, claims and/or drawings which have been amended and/or authorized by this Authority, unless those sheets were superseded or cancelled, and Rules 46.5, 66.8, 70.16, 91.2, and Section 607 of the Administrative Instructions).

☐ sheets containing rectifications, where the decision was made by this Authority because they were not authorized by or notified to this Authority at the time when the

PATENT COOPERATION TREATY  
PCT  
INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY  
(Chapter I of the Patent Cooperation Treaty)

PCT Article 36 and Rule 70a

Applicant's agent(s) (if any)	FOR FURTHER ACTION	See Form PCT/ISA/115
International application No.	International filing date (day/month/year)	Priority date (day/month/year)
International Patent Classification (IPC) or International Classification and IPC		
Applicant		

This report is the international preliminary examination report, established by this International Preliminary Examination Authority under Article 35 and transmitted to the applicant according to Article 36.

2. This REPORT consists of a total of 5 sheets, including this cover sheet.

3. This report is also accompanied by ANNEXES, comprising:

a. ☒ (sent to the applicant and to the International Bureau) a total of 8 sheets of the description, claims and/or drawings which have been amended and/or authorized by this Authority, unless those sheets were superseded or cancelled, and Rules 46.5, 66.8, 70.16, 91.2, and Section 607 of the Administrative Instructions).

☐ sheets containing rectifications, where the decision was made by this Authority because they were not authorized by or notified to this Authority at the time when the Authority began to draw up this report, and any accompanying Annexes (Rules 56.03a, 70.16, 91.2, and 91.3).

☐ sheets containing rectifications, where the decision was made by this Authority because they were not authorized by or notified to this Authority at the time when the Authority began to draw up this report, and any accompanying Annexes (Rules 56.03a, 70.16, 91.2, and 91.3).

b. ☐ (sent to the International Bureau only) a total of (indicate type and number of electronic content) sheets of the description, claims and/or drawings which have been amended and/or authorized by this Authority, unless those sheets were superseded or cancelled, and Rules 46.5, 66.8, 70.16, 91.2, and Section 607 of the Administrative Instructions).

4. This report contains indications relating to the following items:

<input checked="" type="checkbox"/> Box No. I	Basic of the report
<input type="checkbox"/> Box No. II	Priority
<input type="checkbox"/> Box No. III	Non-establishment of claims with regard to novelty, inventive step and industrial applicability
<input type="checkbox"/> Box No. IV	Lack of unity of invention
<input checked="" type="checkbox"/> Box No. V	Relevant statement under Article 35(2) with regard to novelty, inventive step or industrial applicability, claims and/or drawings supporting such statement
<input type="checkbox"/> Box No. VI	Claims documents filed
<input type="checkbox"/> Box No. VII	Claims documents filed
<input type="checkbox"/> Box No. VIII	Claims documents filed

Date of submission of the demand: \_\_\_\_\_ Date of completion of this report: \_\_\_\_\_

Name and mailing address of the ISA/IBP: \_\_\_\_\_ Authorized officer: \_\_\_\_\_

Examiner No.: \_\_\_\_\_ Telephone No.: \_\_\_\_\_

Form PCT/ISA/115 (cover sheet) (July 2013)

2. This REPORT consists of a total of 5 sheets, including this cover sheet.
3. This report is also accompanied by ANNEXES, comprising:
- a. (sent to the applicant and to the International Bureau) a total of 8 sheets, as follows:
- sheets of the description, claims, and/or drawings which have been amended, etc.

# IV. Interpreting and Utilizing ISR, WOISA, and IPER

## D. IPER ( IPRP(II) ) ( cover sheet)

next slide

4. This report contains indications relating to the following items:

<input checked="" type="checkbox"/>	Box No. I	Basis of the report
<input type="checkbox"/>	Box No. II	Priority
<input type="checkbox"/>	Box No. III	Non-establishment of opinion with regard to novelty, inventive step and
<input type="checkbox"/>	Box No. IV	Lack of unity of invention
<input checked="" type="checkbox"/>	Box No. V	Reasoned statement under Article 35(2) with regard to novelty, inventive step and industrial applicability, citations and explanations supporting such statement
<input type="checkbox"/>	Box No. VI	Certain documents cited
<input type="checkbox"/>	Box No. VII	Certain defects in the international application
<input type="checkbox"/>	Box No. VIII	Certain observations on the international application

= WO's style

PATENT COOPERATION TREATY  
PCT  
INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY  
(Chapter II of the Patent Cooperation Treaty)  
PCT Article 36 and Rule 70a

FOR FURTHER ACTION		See Form PCT/ISA/105
International application No.	International filing date (day/month/year)	Priority date (day/month/year)
International Patent Classification (IPC) (see international classification and IBC)		
Applicant		

1. This report is the international preliminary examination report, established by this International Preliminary Examining Authority under Article 35 and transmitted to the applicant according to Article 36.

2. This REPORT consists of a total of 5 sheets, including this cover sheet.

3. This report is also accompanied by ANNEXES comprising:

a. ☒ report to the applicant and to the International Bureau a total of 8 sheets, as follows:

- ☒ sheets of the description, claims and drawings which have been included under their containing notifications submitted by the Authority, unless these sheets were superseded or cancelled, and any accompanying letters (see Rules 46.5, 46.6, 70.1b, 70.2, and Section 407 of the Administrative Instructions);
- ☐ sheets containing notifications, where the decision was made by this Authority not to enter them into account because they were not submitted by or issued by the Authority, at the time when the Authority began to draw up this report, and any accompanying letters (Rules 46.5a, 70.2a, 70.1b and 70.2);
- ☐ superseded sheets and any accompanying letters, where this Authority either concludes that the superseding sheets contain an amendment that goes beyond the disclosure in the international application as filed, or the superseding sheets were not accompanied by a note indicating the basis for the amendments in the application as filed, as indicated in item 4 of Box No. I and the Supplemental Box (see Rule 70.1a(b)).

b. ☐ report to the International Bureau only, a total of (indicate type and number of electronic communication(s))

This report contains indications relating to the following items:

- ☒ Box No. I Basis of the report
- ☐ Box No. II Priority
- ☐ Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- ☐ Box No. IV Lack of unity of invention
- ☒ Box No. V Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability, citations and explanations supporting such statement
- ☐ Box No. VI Certain documents cited
- ☐ Box No. VII Certain defects in the international application
- ☐ Box No. VIII Certain observations on the international application

Date of submission of the demand	Date of completion of this report
Name and mailing address of the IPCAIP	Authorized officer
Facsimile No.	Telephone No.

Form PCT/ISA/309 (cover sheet) (July 2013)

## IV. Interpreting and Utilizing ISR, WOISA, and IPER

2. With regard to the **elements** of the international application, this report is based on *(replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report)*:

<input type="checkbox"/>	the international application as originally filed/furnished
<input checked="" type="checkbox"/>	the description:
pages	<b>1 - 65</b> as originally filed/furnished.
pages*	received by this Authority on
pages*	received by this Authority on
<input checked="" type="checkbox"/>	the claims:
nos.	as originally filed/furnished.
nos.*	as amended (together with any statement) under Article 19
nos.*	<b>1, 3-18</b> received by this Authority on <b>16.03.2013</b>
nos.*	received by this Authority on
<input checked="" type="checkbox"/>	the drawings:
pages	<b>figures 1-32</b> as originally filed/furnished.
pages*	received by this Authority on
pages*	received by this Authority on

3. ☒ The amendments have resulted in the cancellation of:

<input type="checkbox"/>	the description, pages
<input checked="" type="checkbox"/>	the claims, Nos. <b>2</b>

# **Utilization of Examination Results of Other Intellectual Property Offices**

- I. Background of Work-sharing
- II. Patent Family
- III. Retrieving and Utilizing External PO  
Results
- VI. Interpreting and Utilizing ISRs, WOISAs,  
and IPERs