

## **IV. Interpreting and Utilizing ISRs, WOISAs, and IPERs**

- 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

- 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

### A. What are the ISR , the WOISA, and the IPER ?

#### ● International Search Report (ISR)

- The results of the international search are recorded in the International Search Report.
- The Search Report is published by the International Bureau.
- The Search Report serves as a basis for any examination of the International application by the designated Offices.

(PCT Guidelines 16.01)

#### ● Written Opinion of the International Searching Authority (WOISA)

(International Preliminary Report on Patentability (Chapter I) (IPRP(I)))

- Its primary role is to identify whether or not the claimed invention appears to be novel, involve an inventive step (be non-obvious) and be industrially applicable.

(PCT Guidelines 17.02)

#### ● International Preliminary Examination Report (IPER)

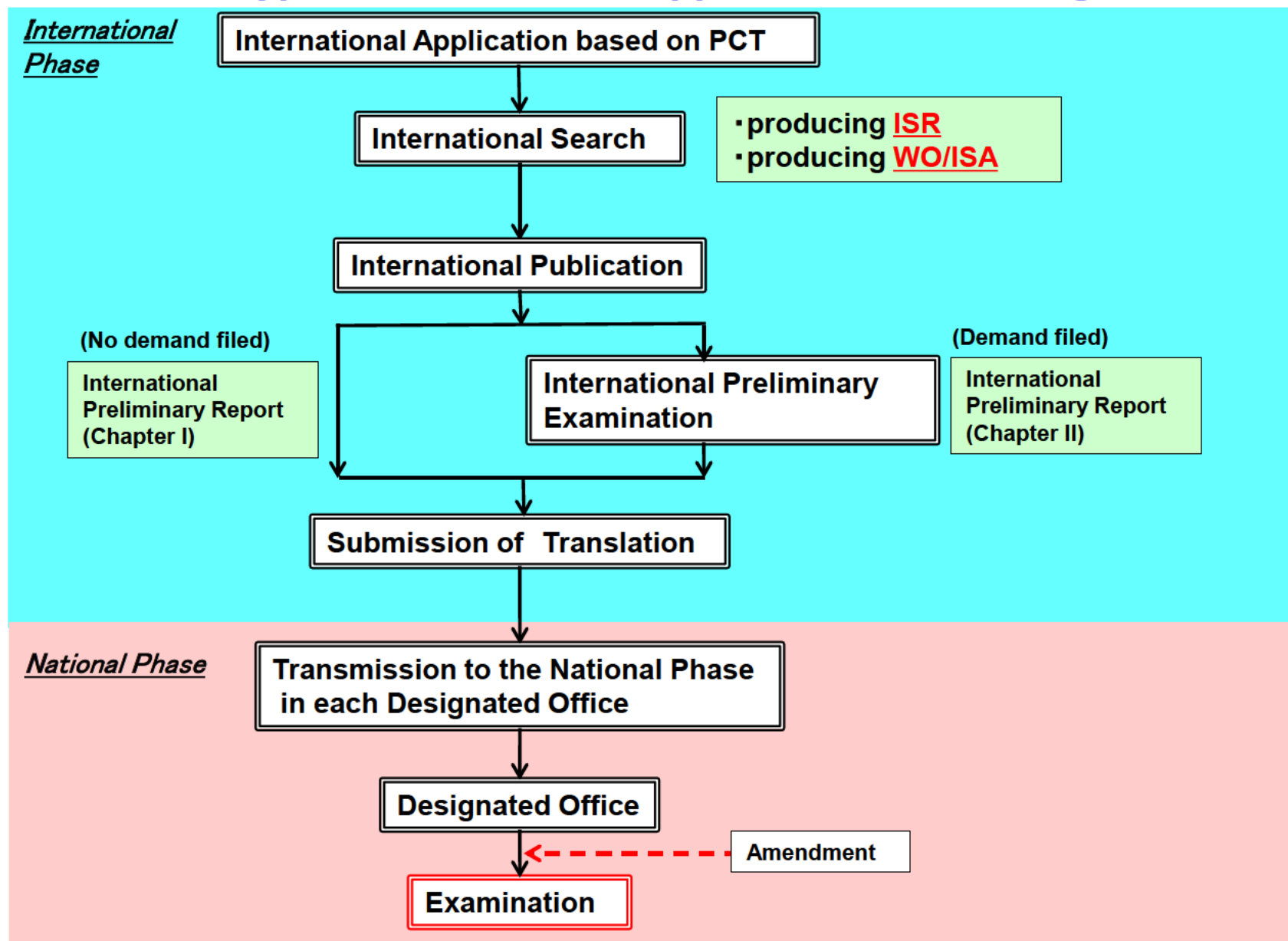
(International Preliminary Report on Patentability (Chapter II) (IPRP(II)))

- Assuming that international preliminary examination is demanded, an IPER is drawn up at the end of the process of examination, taking into account amendments or observations that the applicant has made during the process.

(PCT Guidelines 17.08)

## IV. Interpreting and Utilizing ISR, WO/ISA, and IPER

### Flowchart of Typical International Application Processing



## 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

### B. International Search Report(ISR)

#### ■ Front Page

##### ➤ Basic information

- International application number
- International Filing Date
- Earliest Priority Date
- Name of the applicant

Applicant's or agent's file reference 5 6 7 8 H	<b>FOR FURTHER ACTION</b> see Form PCT/ISA/220 as well as, where applicable, item 5 below.	
International application No. PCT/JP2013/999999	International filing date( <i>day/month/year</i> ) 01 . 02 . 2013	(Earliest) Priority Date ( <i>day/month/year</i> ) 01 . 02 . 2012
Applicant PATENT CORPORATION		

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

### B. International Search Report(ISR)

- Basis of the Report
- Certain claims were found to be unsearchable
- Unity of invention is lacking

1. **Basis of the report**

a. With regard to the **language**, the international search was carried out on the basis of:

☒ the international application in the language in which it was filed.

☐ a translation of the international application into \_\_\_\_\_ which is the language of a translation furnished for the purposes of international search (Rules 12.3(a) and 23.1(b)).

b. ☐ This international search report has been established taking into account the **rectification of an obvious mistake** authorized by or notified to this Authority under Rule 91 (Rule 43.6bis(a)).

c. ☐ With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, see Box No. I

2. ☒ **Certain claims were found unsearchable** (see Box No. II).

3. ☒ **Unity of invention is lacking** (see Box No. III).

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





### B. International Search Report(ISR)

#### ■ Observation where certain claims were found to be unsearchable.

- The international application relates to a subject matter for which the ISA is not required to search (PCT Article 17(2)(a)(i))

- Scientific and mathematical theories
- Plant or animal varieties or essentially biological processes for the production of plants and animals, other than microbiological processes and the products of such processes
- Schemes, rules or methods of doing business, performing purely mental acts, or playing games
- Mere presentation of information
- Computer programs to the extent that the ISA is not equipped to search prior art concerning such programs

- The description, the claims, or the drawings fail to comply with the prescribed requirements to such an extent that a meaningful search cannot be carried out. (PCT Article 17(2)(a)(ii))
- Multiple dependent claim referring to other multiple dependent claim (JPO allows)

	Searchable	MAY NOT required to search
Claim1		Claim5
Claim2		Claim6
Claim3		
Claim4		



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

### B. International Search Report(ISR)

- Observation where certain claims were found to be unsearchable.

**Box No. II**      **Observations where certain claims were found unsearchable (Continuation of item 2 of first sheet)**

This international search report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

- ☒ **Claims Nos.: 8**  
because they relate to subject matter not required to be searched by this Authority, namely:  
The subject matter of claim 8 relates to a method of doing business, which does not require an international search by the International Searching Authority in accordance with PCT Article 17(2)(a)(i) and Rule 39.1(iii).
- ☐ **Claims Nos.:**  
because they relate to parts of the international application that do not comply with the prescribed requirements to such an extent that no meaningful international search can be carried out, specifically:
- ☐ **Claims Nos.:**  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

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

### B. International Search Report(ISR)

#### ■ Lack of Unity of Invention

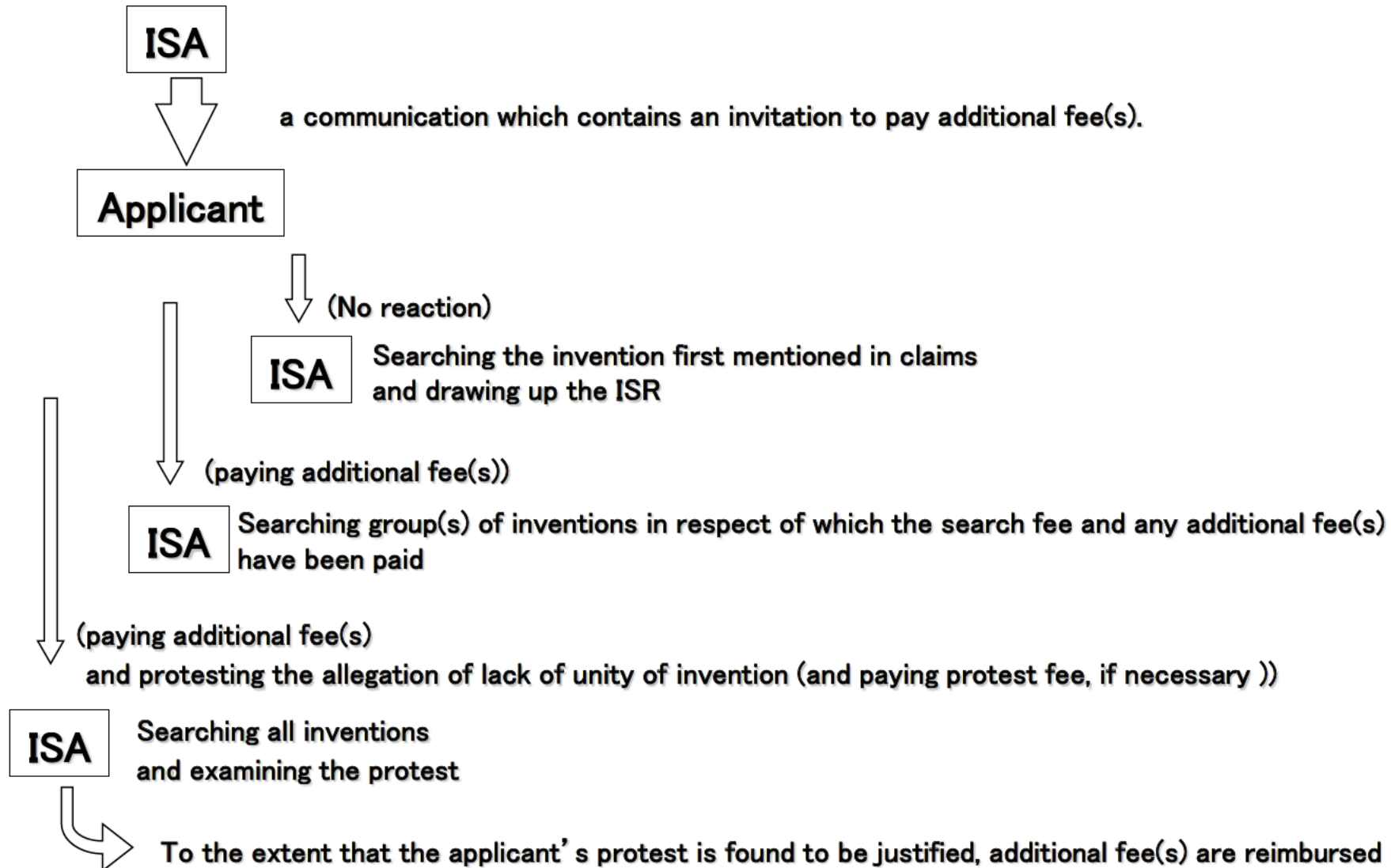
1. The international application shall relate to one invention only, or to a group of inventions so linked as to form a single general inventive concept ("requirement of unity of invention").
2. If the ISA determines that the international application does not comply with the requirement of unity of invention, it shall invite the applicant to pay additional fees.

#### ■ Example

- Claim1 : A process of manufacturing an apparatus comprising steps A and B
- Claim2 : Apparatus specifically designed for carrying out step A
- Claim3 : Apparatus specifically designed for carrying out step B

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

- If the ISA decides that the international application **does not comply with the requirement of unity of invention**:



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

### ■ Observation where unity of invention is lacking

This International Searching Authority found multiple inventions in this international application, as follows:

D1 (JP 987654 A) discloses an apparatus including "A". Therefore, claim 1 lack novelty over D1 and involves no special technical features. Thus there are 2 inventions in the claims of this application.

Note that claim1, which involves no special technical features, is grouped into invention 1.

(invention 1) claim 1-7, 9-15

(invention 2) claim 16-20

**Basis**

1. ☒ As all required additional search fees were timely paid by the applicant, this international search report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying additional fees, this Authority did not invite payment of additional fees.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this international search report covers only those claims for which fees were paid, specifically claims Nos.:

**Applicant's  
Reaction**

4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this international search report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

**Remark on Protest**

- ☒ The additional search fees were accompanied by the applicant's protest and, where applicable, the payment of a protest fee.
- ☐ The additional search fees were accompanied by the applicant's protest but the applicable protest fee was not paid within the time limit specified in the invitation.
- ☐ No protest accompanied the payment of additional search fees.

**Remark of  
Protest**

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

### B. International Search Report(ISR)

- Classification and Fields searched ← Not always identical
- Minimum documentation Searched
- Documentation Searched Other than Minimum Documentation
- Electronic Database Consulted

#### A. CLASSIFICATION OF SUBJECT MATTER

Int.Cl. G06Q50/00 (2012.01) i

According to International Patent Classification (IPC) or to both national classification and IPC

#### B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

Int.Cl. G06Q50/00, G06Q10/00

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Published examined utility model applications of Japan 1922-1996  
Published unexamined utility model applications of Japan 1971-2005  
Registered utility model specifications of Japan 1996-2005  
Published registered utility model applications of Japan 1994-2005

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

CA (STN), [?root?\*74/SX]

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

### B. International Search Report(ISR)

#### ■ Documentation

- Citation category, citation of the document, identification of relevant claim numbers

#### ■ Citation of the Documentation

- WIPO Standard ST.14

#### ■ Patent Family

- Sign &

C. DOCUMENTS CONSIDERED TO BE RELEVANT		
Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	JP 2010-987654 A (PCT SYSTEM CORP)	1-7
Y	2010.10.07, paragraphs [0026]-[0030]	9-13
A	& US 6543210 A, column 5, lines 5-30	14-20
<div>Patent Family</div>		
Y	JP 2009-111111 A (INDUSTRIAL PROPERTY INC)	9-13
	2009.09.28, Claim 1, Figure 1	
	& WO 2007/222222 A1	

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

### B. International Search Report(ISR)

#### ■ Patent Family Annex

Cited document	Publication date	Patent Family
JP 2010-987654 A	2010.10.07	US 6543210 A
JP 2009-111111 A	2009.09.28	WO 2007/222222 A1
US 0123456 B1	2013.02.15	DE 1123456 A1 FR 2123456 A1
JP 4321567 B2	2006.02.20	Family: none
JP 5-222222 U	1993.07.01	Family: none

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

### ■ Category Code

- X
- Y
- A
- E
- O
- P
- L

<input type="checkbox"/>	Further documents are listed in the continuation of Box C.	<input type="checkbox"/>	See patent family annex.
<p>* Special categories of cited documents:</p> <p>"A" document defining the general state of the art which is not considered to be of particular relevance</p> <p>"E" earlier application or patent but published on or after the international filing date</p> <p>"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)</p> <p>"O" document referring to an oral disclosure, use, exhibition or other means</p> <p>"P" document published prior to the international filing date but later than the priority date claimed</p> <p>"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention</p> <p>"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone</p> <p>"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art</p> <p>"&amp;" document member of the same patent family</p>			

(WIPO Standards ST.14 <http://www.wipo.int/standards/en/pdf/03-14-01.pdf>)

C. DOCUMENTS CONSIDERED TO BE RELEVANT		
Category <sup>2</sup>	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	JP 2010-987654 A (PCT SYSTEM CORP)	1-7
Y	2010.10.07, paragraphs [0026]-[0030]	9-13
A	& US 6543210 A, column 5, lines 5-30	14-20
Y	JP 2009-111111 A (INDUSTRIAL PROPERTY INC) 2009.09.28, Claim 1, Figure 1 & WO 2007/222222 A1	9-13



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

### B. International Search Report(ISR)

#### ■ Relevant to claim numbers

##### ➤ Relationship Between Documentation and Claims

- Each citation should include a reference to the claims to which it relates.
- It is also possible for the same document to represent a different category with respect to different claims.

#### C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	JP 2010-987654 A (PCT SYSTEM CORP) 2010.10.07, paragraphs [0026]-[0030] & US 6543210 A, column 5, lines 5-30	1-7
Y		9-13
A		14-20
Y	JP 2009-111111 A (INDUSTRIAL PROPERTY INC) 2009.09.28, Claim 1, Figure 1 & WO 2007/222222 A1	9-13
A		14-20

## 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

### C. Written Opinion of the International Searching Authority(WOISA)

#### ■ Front Page

##### ➤ Basic information

- The international application #
- Name of the applicant
- The international filing date
- The claimed priority date

Applicant's or agent's file reference 5 678H		FOR FURTHER ACTION See paragraph 2 below	
International application No. PCT/JP2013/999999	International filing date (day/month/year) 01.02.2013	Priority date (day/month/year) 01.02.2012	
International Patent Classification (IPC) or both national classification and IPC Int.Cl. G06Q50/00 (2012.01) i			
Applicant PATENT CORPORATION			

1. This opinion contains indications relating to the following items:

- ☒ Box No. I Basis of the opinion
- ☐ 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 Rule 43bis.1(a)(i) with regard to novelty, inventive step and 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

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

### C. Written Opinion of the International Searching Authority(WOISA)

#### ■ Basis of the Written Opinion

Box No. I	Basis of this opinion
1.	<p>With regard to the <b>language</b>, this opinion has been established on the basis of:</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 international search (Rules 12.3(a) and 23.1(b)).</p>

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

### C. Written Opinion of the International Searching Authority(WOISA)

#### ■ Priority

We need to consider whether or not the priority claim is valid.

Box No. II

Priority

1. ☒ The validity of the priority claim has not been considered because the International Searching Authority does not have in its possession a copy of the earlier application whose priority has been claimed or, where required, a translation of that earlier application. This opinion has nevertheless been established on the assumption that the relevant date (Rules 43*bis*.1 and 64.1) is the claimed priority date.
2. ☐ This opinion has been established as if no priority had been claimed due to the fact that the priority claim has been found invalid (Rules 43*bis*.1 and 64.1). Thus for the purposes of this opinion, the international filing date indicated above is considered to be the relevant date.
3. Additional observations, if necessary:

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

### ■ Non-Establishment of Opinion

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

The questions whether the claimed invention appears to be novel, to involve an inventive step (to be non obvious), or to be industrially applicable have not been examined in respect of:

☐ the entire international application.

☒ claims Nos. 8

because:

☐ the said international application, or the said claims Nos. 8

relate to the following subject matter which does not require an international search (*specify*):

The subject matter of claim 8 relates to a method of doing business, which does not require an international search by the International Searching Authority in accordance with PCT Article 17(2)(a)(i) and Rule 39.1(iii).

☐ the description, claims or drawings (indicate particular elements below) or said claims Nos. \_\_\_\_\_ are so unclear that no meaningful opinion could be formed (*specify*):

☐ the claims, or said claims Nos. \_\_\_\_\_ are so inadequately supported by the description that no meaningful opinion could be formed (*specify*):

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

### ■ Lack of Unity of Invention

Box No. IV	Lack of unity of invention
1. <input checked="" type="checkbox"/>	<p>In response to the invitation (Form PCT/ISA/206) to pay additional fees the applicant has, within the applicable time limit:</p> <ul style="list-style-type: none"><li><input type="checkbox"/> paid additional fees.</li><li><input checked="" type="checkbox"/> paid additional fees under protest and, where applicable, the protest fee.</li><li><input type="checkbox"/> paid additional fees under protest but the applicable protest fee was not paid.</li><li><input type="checkbox"/> not paid additional fees.</li></ul> <p><b>Applicant's Reaction</b></p>
2. <input type="checkbox"/>	<p>This Authority found that the requirement of unity of invention is not complied with and chose not to invite the applicant to pay additional fees.</p>
3. <input type="checkbox"/>	<p>This Authority considers that the requirement of unity of invention in accordance with Rule 13.1, 13.2 and 13.3 is</p> <ul style="list-style-type: none"><li><input type="checkbox"/> complied with.</li><li><input checked="" type="checkbox"/> not complied with for the following reasons: D1 (JP 987654 A) discloses an apparatus including "A". Therefore, claim 1 lack novelty over D1 and involves no special technical features. Thus there are 2 inventions in the claims of this application. Note that claim1, which involves no special technical features, is grouped into invention 1.  (invention 1) claim 1-7, 9-15 (invention 2) claim 16-20</li></ul> <p><b>Basis</b></p>
4. <input type="checkbox"/>	<p>Consequently, this opinion has been established in respect of the following parts of the international application:</p> <ul style="list-style-type: none"><li><input type="checkbox"/> all parts.</li><li><input checked="" type="checkbox"/> the parts relating to claims Nos. 1-7, 9-20</li></ul> <p><b>Result</b></p>

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

### C. Written Opinion of the International Searching Authority(WOISA)

#### ■ Reasoned Statement and Citations

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

1. Statement

Novelty (N)	Claims	9-20	YES
	Claims	1-7	NO
Inventive step (IS)	Claims	14-20	YES
	Claims	1-7, 9-13	NO
Industrial applicability (IA)	Claims	1-7, 9-20	YES
	Claims		NO

	N	IS	IA
Claims 1-7	No	No	Yes
Claims 9-13	Yes	No	Yes
Claims 14-20	Yes	Yes	Yes

Claim 8 has not been searched



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

### C. Written Opinion of the International Searching Authority(WOISA)

#### 2. Citations and explanations:

D1: JP 2010-987654 A (PCT SYSTEM CORP)  
2010.10.07, paragraphs [0026]-[0030]  
& US 6543210 A, column 5, lines 5-30

D2: JP 2009-111111 A (INDUSTRIAL PROPERTY INC)  
2009.09.28, Claim 1, Figure 1  
& WO 2007/222222 A1

D3: JP 4321567 B2 (PATEMARU COMPANY)  
2006.02.20, the whole document  
(Family: none)

D4: Microfilm of the specification and drawings annexed  
to the written application of Japanese Utility Model  
Application No. 222222/1992 (Laid-open No. 111111/1993)  
(UTILITY MODEL INC),  
1993.07.01, the whole document,  
(Family: none)

**citations**

The subject matters of claim 1-7 are not novel and do not involve an inventive step in view of D1 (see paragraph [0026]-[0030], figure 7) cited in the ISR.

The subject matters of claim 9-13 do not appear to involve an inventive step in view of D1 and D2 (see claim 1, figure 1) cited in the ISR. Employing the feature [...A...] disclosed in D2 to the invention of D1 in order to constitute the present invention would have been easily conceived by the person skilled in the art.

**explanations**

The subject matters of claim 14-20 are neither disclosed in any of the documents cited in the ISR nor obvious to a person skilled in the art. None of the prior art documents cited in the ISR describes [...B...], and it was not obvious for the person skilled in the art to employ that the technical feature [...B...], which presents advantageous effects in that [...C...].

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

### C. Written Opinion of the International Searching Authority(WOISA)

#### ■ Certain Defects in the International Application

- In the case when defects exist in the form or contents of the international application.

**Box No. VII**    **Certain defects in the international application**

The following defects in the form or contents of the international application have been noted:

The term [...D...] used in the description (page 12, line 12) is not a technical term.

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

### C. Written Opinion of the International Searching Authority(WOISA)

#### ■ Certain Observations on the International Application

- the clarity of the claims, the description, and the drawing.
- The question whether the claims are fully supported by the description.

#### Box No. VIII Certain observations on the international application

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:

The feature of claim 7 is not referred to in the description. Therefore, claim 7 is not supported by the description as required by Article 6.

Fig.1 is unclear. That is, it does not adequately indicate the invention of claim 7.

## 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/JEP _____ 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 corrected 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 to rectify the claims or drawings because they were not authorized by or notified to this Authority at the time when they were filed.



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:
    1. sheets of the description, claims, and/or drawings which have been amended, etc.

PATENT COOPERATION TREATY PCT INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY (Chapter I of the Patent Cooperation Treaty)		
PCT Article 36 and Rule 70a		
Applicant's name (in full)	FOR FURTHER ACTION See Form PCT/ISA/215	
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 <u>5</u> sheets, including this cover sheet.		
3. This report is also accompanied by ANNEXES, comprising:		
a. <input checked="" type="checkbox"/> (sent to the applicant and to the International Bureau) a total of <u>8</u> sheets of the description, claims and/or drawings which have been amended and/or corrected 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).		
<input type="checkbox"/> sheets containing rectifications, where the decision was made by this Authority to rectify the claims or drawings because they were not authorized by or notified to this Authority at the time when they were filed.		
b. <input type="checkbox"/> (sent to the International Bureau only) a total of (indicate type and number of electronic content) containing a response listing, in electronic form only, as indicated in the Supplemental Box listing in Sequence Listing (see paragraph 3.1 of Annex C of the Administrative Instructions)		
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 priority 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 Referred statement under Article 36(2) with regard to novelty, inventive step or industrial applicability, claims and/or drawings 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		
Date of submission of the demand	Date of completion of this report	
Name and mailing address of the ISA/IBP	Authorized official	
Examiner's No.	Telephone No.	
Form PCT/ISA/215 (cover sheet) (July 2013)		

# 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 70.1a, 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, stating of (indicate type and number of electronic communication):

- ☐ communication to the International Bureau by being in Sequence Listing (see paragraph 1.10 of Article 15, as amended);
- ☐ communication to the International Bureau by being in Sequence Listing (see paragraph 1.10 of Article 15, as amended).

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 IPCAEP	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)*:

☐ the international application as originally filed/furnished

☒ the description:

pages **1 - 65** \_\_\_\_\_ as originally filed/furnished.

pages\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_

pages\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_

☒ the claims:

nos. \_\_\_\_\_ as originally filed/furnished.

nos.\* \_\_\_\_\_ as amended (together with any statement) under Article 19

nos.\* **1, 3-18** \_\_\_\_\_ received by this Authority on **16.03.2013**

nos.\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_

☒ the drawings:

pages **figures 1-32** \_\_\_\_\_ 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:

☐ the description, pages \_\_\_\_\_

☒ the claims, Nos. **2** \_\_\_\_\_



# **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