

**Report on FY2017**  
**Annual User Satisfaction Survey**  
**on Patent Examination Quality**

**February 2018**

**Japan Patent Office**

## **Abstract**

### **I. Introduction**

Globally reliable, high-quality examination and proper granting of patent rights by the Japan Patent Office (JPO) are keys for supporting domestic enterprises in developing their global business activities, driving innovation, and maintaining sound business practices. In order to grant high-quality patents, it is essential to make efforts to maintain and improve the quality of patent examination<sup>1</sup> based on properly understanding the needs and expectations of users such as applicants and third parties.

The JPO released its Quality Policy on Patent Examination (the “Quality Policy”), which outlines the fundamental principles of the JPO’s quality management policies designed to achieve the utmost examination quality in the world. The Quality Policy states, in one of its six fundamental principles, “we meet wide-ranging needs and expectations.”

Carefully listening to the opinions of users is essential to continuously formulate measures for achieving quality assurance in patent examination. The JPO has conducted its User Satisfaction Survey (the “Survey”) annually since the first Survey in FY2012 was conducted, and has reflected the results of the Survey in its quality management initiatives. A question asking how often any proper cited document is newly presented in the Offices in the other countries/regions (the “other Offices”) was added in the Survey in FY2017, in order to identify users’ satisfaction on prior art search at the JPO by comparing it with the search results at the other Offices.

Since a great number of users took the Survey, invaluable information was derived as a result. The JPO is committed to making continuous efforts to maintain and improve examination quality in view of the results of the Survey.

The following is a summary of the Survey results, including the results of an analysis that was conducted, which gives the details and overall findings.

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<sup>1</sup> In this Report, the term “patent examination” means examination on inventions including International Search and International Preliminary Examination under the PCT, and establishment of Reports of Utility Model Technical Opinion, as defined in the Quality Policy. Any reference to “patent examination” in the context of national application means examination on inventions in national applications.

## **II. Overview of aggregated results and detailed analysis**

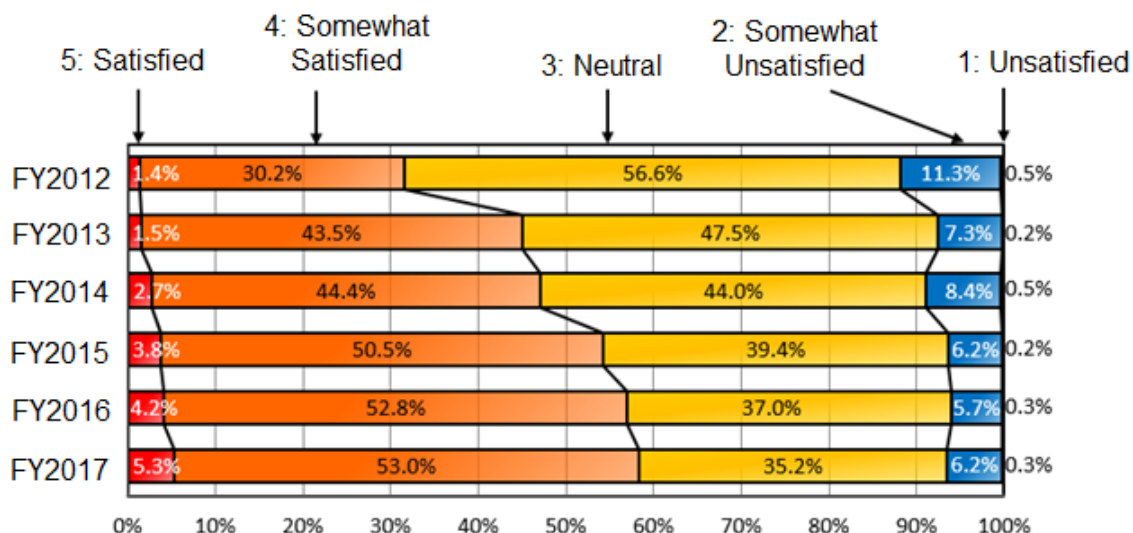
The following four types of questionnaire sheets were used for the Survey.

- Sheet A: Overall Quality of Patent Examination on National Applications
- Sheet B: Quality of Patent Examination on Specific National Applications
- Sheet C: Overall Quality of the International Search and International Preliminary Examination on PCT Applications
- Sheet D: Quality of the International Search and International Preliminary Examination on Specific PCT Applications

# 1. Level of satisfaction on the overall quality and the results of survey analysis

## i. Overall quality of patent examination on national applications

The percentage of positive responses, namely “Satisfied” or “Somewhat Satisfied” with the overall quality of patent examination on national applications during the last one year or so has increased year by year since the first Survey in FY2012 was conducted. The percentage of positive responses was 58.3% in FY2017.



**Figure 1: Level of satisfaction on the overall quality of patent examination on national applications**

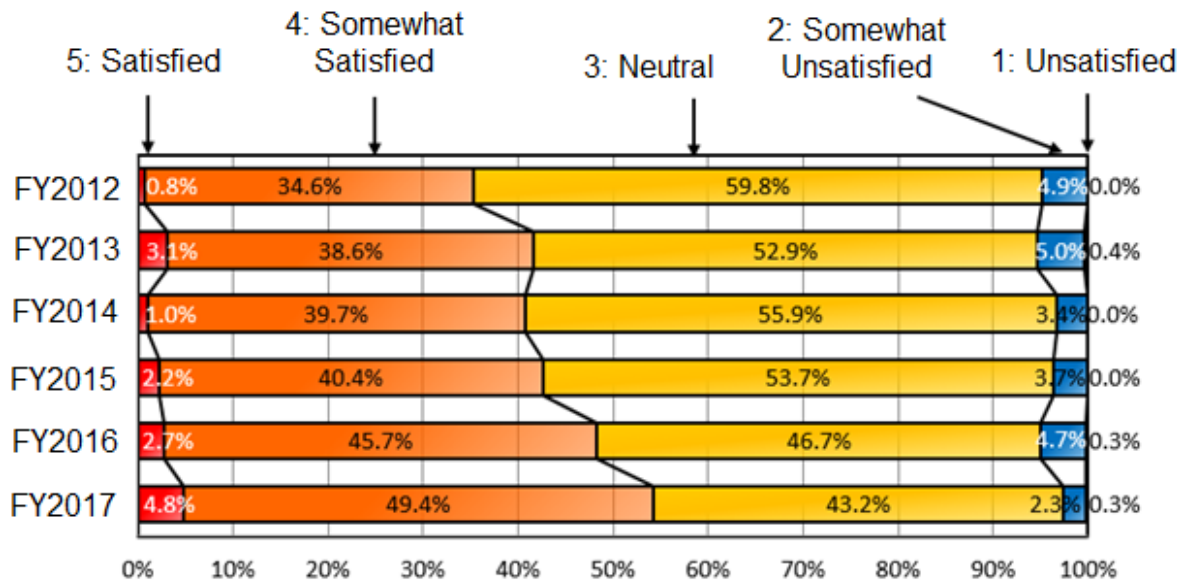
The percentage of “Satisfied” or “Somewhat Satisfied” in this FY exceeded 60% for the following three evaluation items in regard to patent examination on national applications: “thorough and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal)” (67.2%), “domestic patent literature searches” (65.7%), and “communication with examiners such as face-to-face interviews and telephone conversations” (62.1%). The percentage of “Satisfied” or “Somewhat Satisfied” for “thorough and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal)” improved by more than 30%, compared to that in the first Survey in FY2012.

The percentages of negative responses, namely “Unsatisfied” or “Somewhat Unsatisfied” for the evaluation items regarding “Article 29 (2): inventive step” (14.8%) and “Article 36 (4) (i) and Article 36 (6): descriptive requirements for description and claims” (13.8%) decreased, falling to under 20%. Meanwhile, the percentages of “Satisfied” or “Somewhat Satisfied” on these evaluation items exceeded 40% for the first time since the first Survey in FY2012 was conducted. On the evaluation item “consistency of judgments among examiners,” the percentage of “Satisfied” or “Somewhat Satisfied” has steadily been improving, though the percentage of “Unsatisfied” or “Somewhat Unsatisfied” was still higher than 20%.

For the evaluation items “foreign patent literature searches” and “non-patent literature searches,” the percentages of “Satisfied” or “Somewhat Satisfied” increased by approximately 7% and 6%, respectively.

**ii. Level of satisfaction on the overall quality of the International Search and International Preliminary Examination on PCT applications**

The percentage of positive responses, namely, “Satisfied” or “Somewhat Satisfied” with the overall quality of the international search and international preliminary examination during the last one year or so was 54.2%. The percentage of positive responses exceeded 50% for the first time since the first Survey in FY2012 was conducted. The percentage increased by approximately 6% compared to that in the last FY (48.4%).



**Figure 2: Level of satisfaction on the overall quality of the International Search and International Preliminary Examination on PCT applications**

The percentage of “Satisfied” or “Somewhat Satisfied” exceeded 50% in this FY for the following three evaluation items in regard to searches on PCT applications: “domestic patent literature searches” (65.5%), “IPC accuracy” (53.3%), description on “judgement on novelty/inventive step” (51.2%).

Meanwhile, the percentage of “Unsatisfied” or “Somewhat Unsatisfied” exceeded 10% for the three evaluation items “non-patent literature searches” (18.6%), “foreign patent literature searches” (18.5%), and “consistency of judgements between the international phase and the national phase” (14.4%).

For the evaluation item “foreign patent literature searches,” the percentage of positive responses improved to 26.1%, from 15.9% in the last FY, though that of negative responses did not show a significant change. For the evaluation item of “consistency of judgements between the international phase and the national phase,” the percentage of positive responses improved to 42.3%, from 35.3% in the last FY. Meanwhile, the percentage of negative responses for this item has been decreasing since the first Survey in FY2012 was conducted.

### iii. Analysis on how the level of satisfaction on each evaluation item affects the overall level of satisfaction

(1) National Applications: Average level of satisfaction on each item and the correlation coefficients with the overall level of satisfaction

Analysis in this section shows how the level of satisfaction on each evaluation item, such as “thorough and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal)” affects the overall level of satisfaction on quality. The degree of influence can be analyzed by using correlation coefficients between the overall level of satisfaction (evaluated by using a 5-point scale on the overall quality of patent examination between “5: Satisfied” and “1: Unsatisfied”) and the level of satisfaction on each evaluation item (evaluated by using a 5-point scale on each evaluation item between “5: Satisfied” and “1: Unsatisfied”).

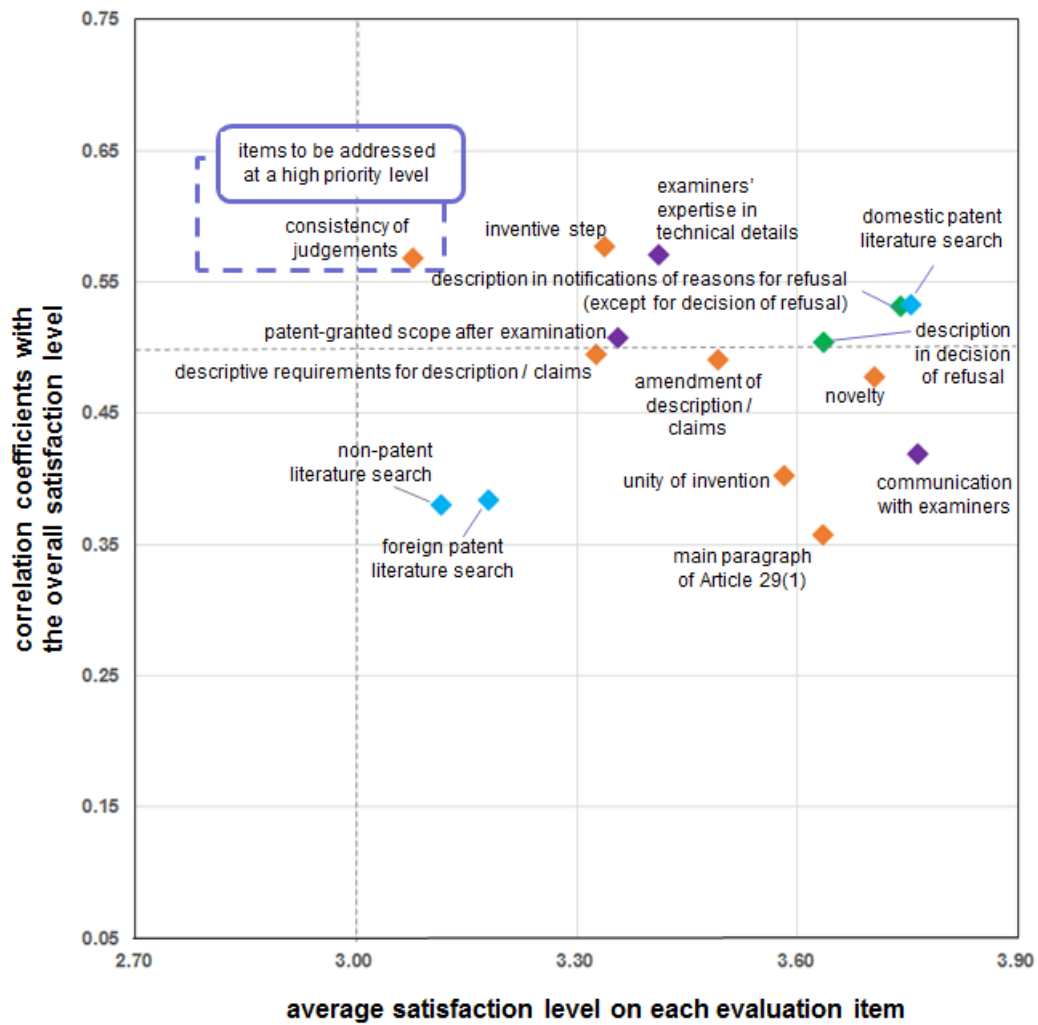
Figure 3<sup>1</sup> shows the relation between the average level of satisfaction on each evaluation item and the correlation coefficients in terms of the overall level of satisfaction on national applications (Sheet A). As seen in this figure, the best approach would be to firstly improve evaluation items which received low levels of satisfaction, in spite of high correlation coefficients with the overall level of satisfaction (i.e., the items seen on the upper left in the figure).

The average level of satisfaction on “consistency of judgments among examiners” is relatively low, and the correlation coefficient with the overall level of satisfaction of the item is relatively high among 15 evaluation items. Accordingly, the appropriate action would be to give a high priority for improving this item.

Although the correlation coefficients with the overall level of satisfaction of the evaluation items “foreign patent literature searches” and “non-patent literature searches” are not so high, the average levels of satisfaction of these items are relatively low compared to the other items.

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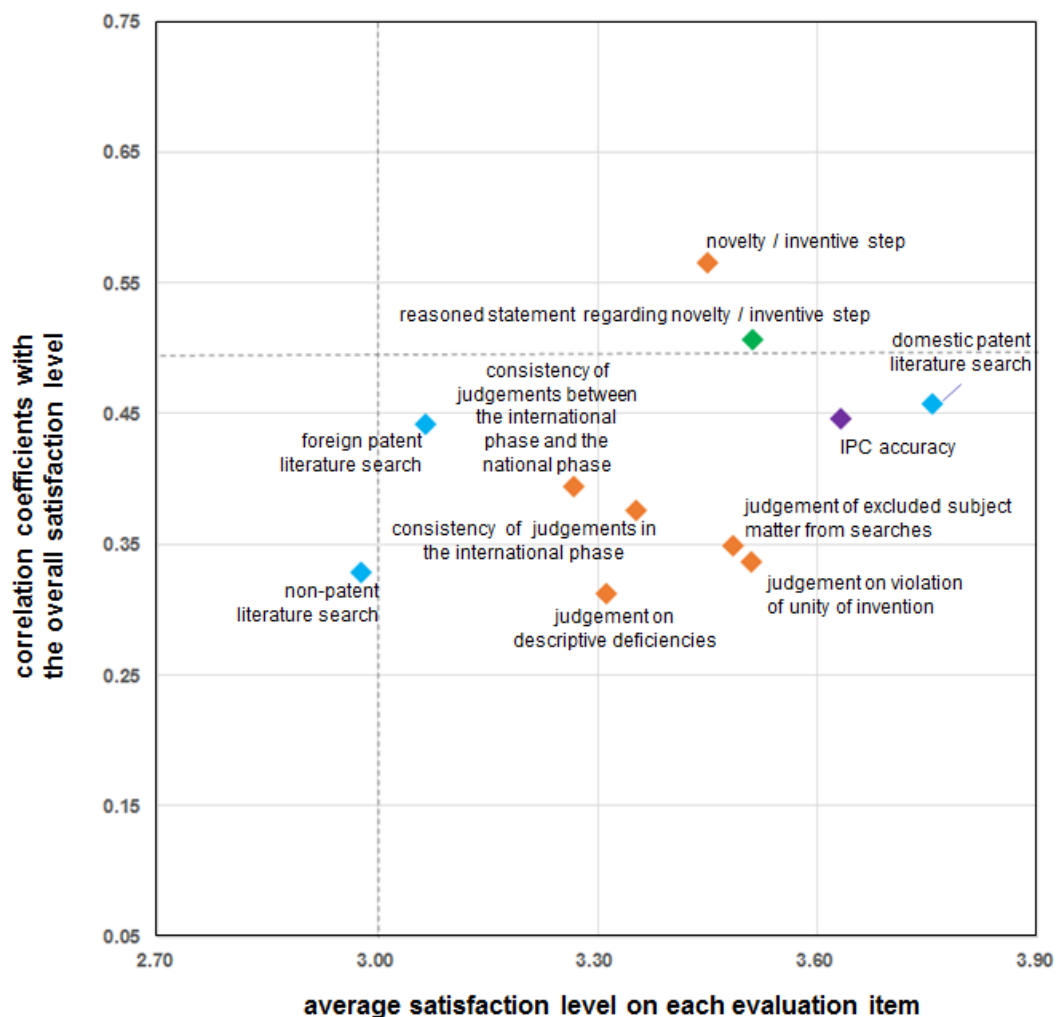
<sup>1</sup> In this Figure, the plots are colored in accordance with the types of evaluation item: light blue: searches, orange: judgements, green: descriptions in notifications, and purple: others.



**Figure 3: Average level of satisfaction on each evaluation item and the correlation coefficients with the overall level of satisfaction (national applications)**

(2) PCT Applications: Average level of satisfaction on each item and the correlation coefficients with the overall level of satisfaction

Figure 4<sup>1</sup> shows the relation between the average level of satisfaction on each item and the correlation coefficients with the overall level of satisfaction, regarding the overall quality of the international search and international preliminary examination on PCT Applications (Sheet C). The average levels of satisfaction on “foreign patent literature searches” and “non-patent literature searches” are relatively low compared to the other evaluation items.



**Figure 4: Average level of satisfaction on each evaluation item and the correlation coefficients with the overall level of satisfaction (PCT applications)**

<sup>1</sup> In this Figure, the plots are colored in accordance with the types of evaluation item: light blue: searches, orange: judgements, green: descriptions in notifications, and purple: others.



## **2. Evaluation and analysis on specific applications**

### **i. Patent examination quality on specific national applications**

The percentage of “Satisfied” or “Somewhat Satisfied” on patent examination quality on the specific national applications used in the Survey has remained around 55% since the first Survey in FY2012.

“Thorough and easy-to-understand description in the notifications of reasons for refusal” and “proper judgement on novelty/inventive step” were major reasons for “Satisfied” or “Somewhat Satisfied”<sup>1</sup>.

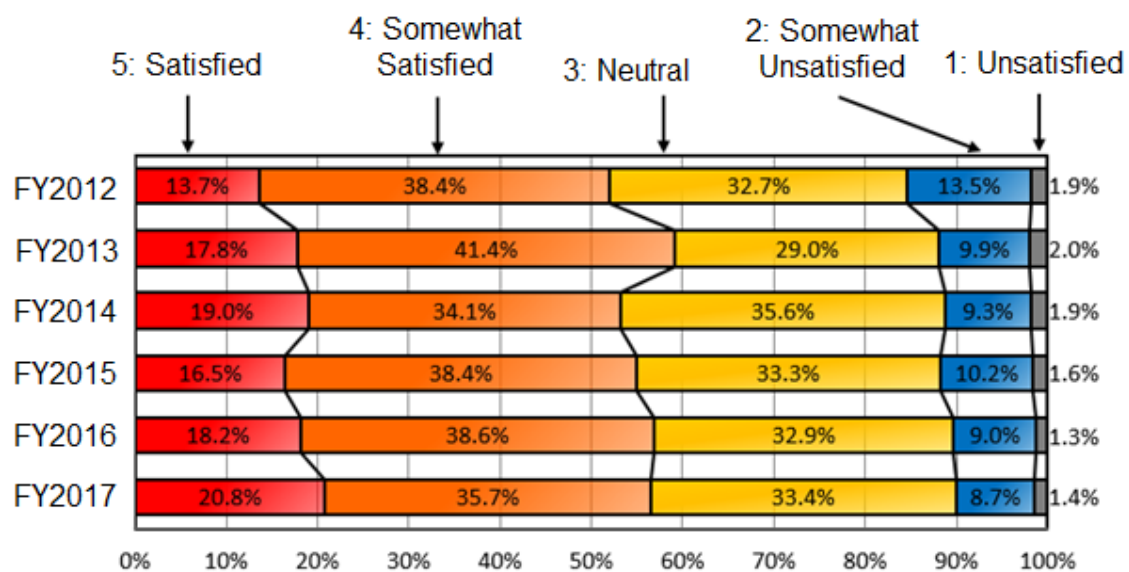
On the other hand, dissatisfaction with “judgement on lack of novelty/inventive step,” “thorough and easy-to-understand description in the notifications of reasons for refusal / decision of refusal,” and “judgement on lack of descriptive requirements (Article 36 (4) (i) and Article 36 (6))” were major reasons for “Unsatisfied” or Somewhat Unsatisfied.”

Specifically, “identification of cited documents”, “judgement of identical features/differences” and “judgement of combination/motivation” were major reasons for dissatisfaction with judgement on lack of novelty/inventive step<sup>2</sup>. In addition, dissatisfaction with “judgement regarding support requirements” and “judgement regarding clarity requirements” were major reasons for dissatisfaction with judgement on lack of descriptive requirements.

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<sup>1</sup> 998 responses were valid. When multiple checks were in a single response, the number of check was counted for each. 656 checks were given for “thorough and easy-to-understand description in the notifications of reasons for refusal”, and 618 checks were given for “proper judgement on novelty/inventive step.”

<sup>2</sup> 166 “Unsatisfied” or “Somewhat Unsatisfied” responses with judgement of lack of novelty/inventive step were given, mainly because of dissatisfaction with “identification of cited document(s)” (62 checks), “judgement of identical features/differences” (62 checks) and “judgement of combination/motivation” (70 checks). 36 respondents were “Unsatisfied” or “Somewhat Unsatisfied” with “judgement on lack of descriptive requirements”, mainly because of “judgement regarding support requirements” (14 checks) and “judgement regarding clarity requirements” (11 checks). 7 responses related to PBP claims. When multiple checks were given related to inventive step or descriptive requirements in a single response, the number of check was counted for each.



**Figure 5: Level of satisfaction on patent examination quality on specific national applications**

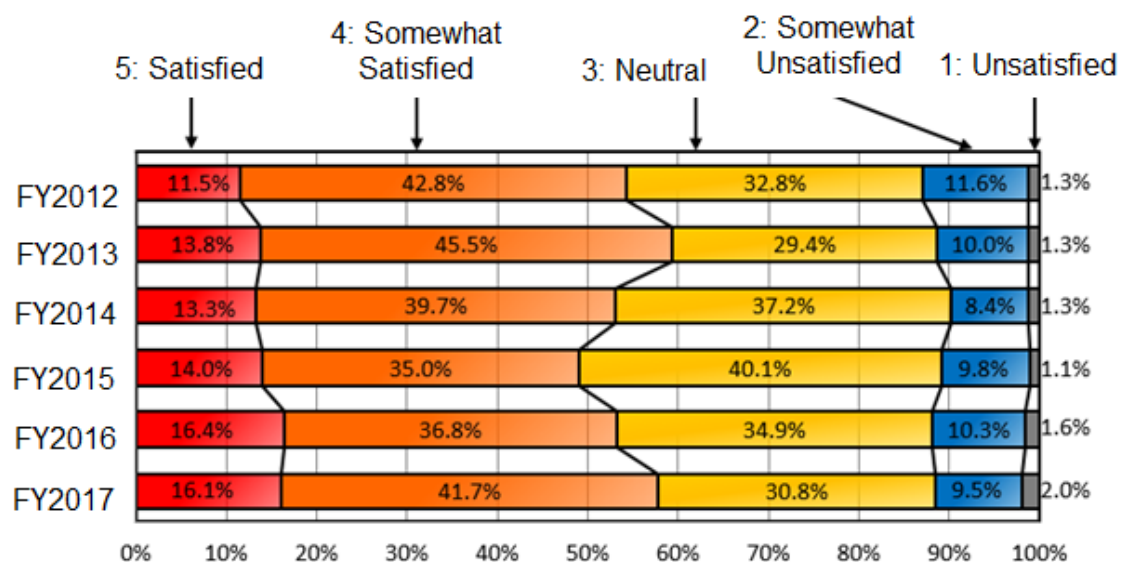
## ii. Quality of the International Search and International Preliminary Examination on specific PCT applications

The percentage of “Satisfied” or “Somewhat Satisfied” responses given for international search and international preliminary examination on specific PCT applications used in the Survey has remained about 55% since the first Survey in FY 2012.

“Thorough and easy-to-understand description in ISR, WO/ISA, and IPER” and “proper judgement on novelty/inventive step”<sup>1</sup> were major reasons for “Satisfied” or “Somewhat Satisfied”.

On the other hand, dissatisfaction with “judgement on lack of novelty/inventive step” was the major reason for “Unsatisfied” or “Somewhat Unsatisfied”.

Specifically, the respondents were “Unsatisfied” or “Somewhat Unsatisfied” mainly with “judgment of combination/motivation” “judgement of identical features/differences” and “identification of cited document(s)”<sup>2</sup>.



**Figure 6: Level of satisfaction on the quality of International Search and International Preliminary Examination on specific PCT applications**

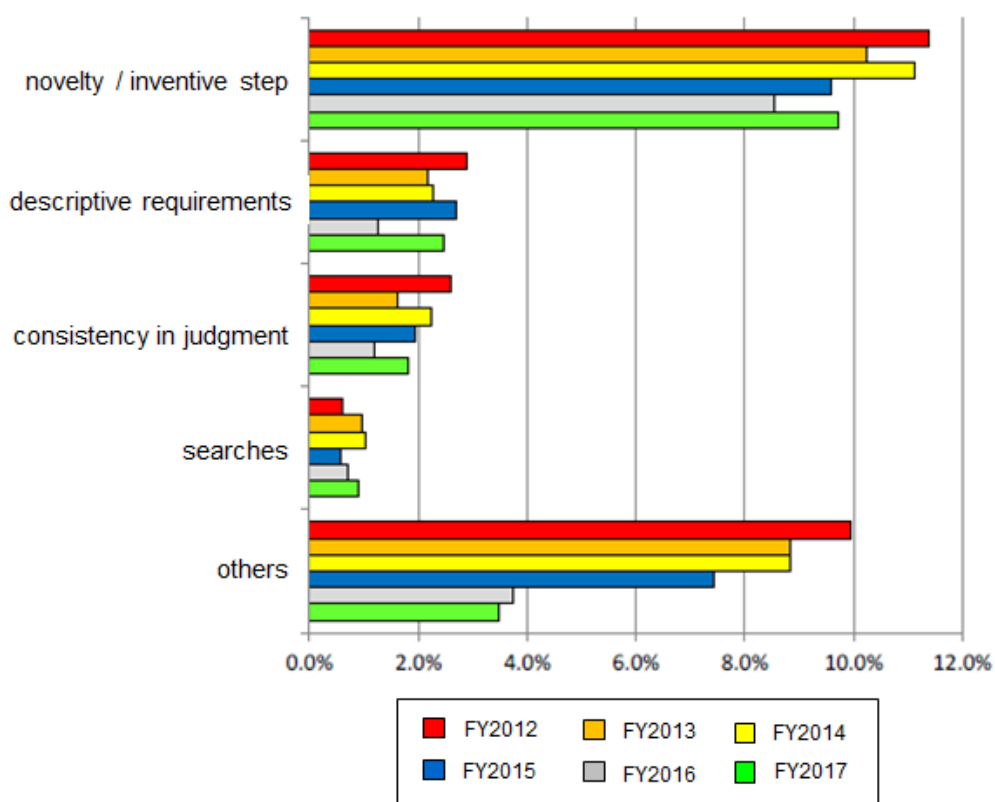
<sup>1</sup> 384 responses were valid, with 252 checks given to “thorough and easy-to-understand description in ISR, WO/ISA, and IPER” and 254 checks given to “proper judgement of novelty/inventive step.” When multiple responses were given to a single item, the number of responses was counted for each.

<sup>2</sup> 66 respondents were “Unsatisfied” or “Somewhat Unsatisfied” with “judgement of lack of novelty/inventive step”, mainly because of “identification of cited document(s) (28 checks),” “judgement of identical features/differences (32 checks),” and “judgement of combination/motivation (34 checks).”

### iii. Analysis on the reasons for dissatisfaction

An analysis was conducted based on the responses to Sheets B and D (related to the specific applications used in the Survey) and the specific applications that have were referred to in the free description columns in Questionnaire Sheets.

Figure 7 below shows the total percentages of checks that users gave to novelty/inventive step, descriptive requirements, consistency of judgments, and searches in the Questionnaire Sheets about the specific applications used in the Survey; as well as what they wrote in the free description columns in the Questionnaire Sheets about issues or problems to be addressed in patent examination procedures or quality. The highest percentage of checks was given to novelty/inventive step



**Figure 7: Breakdown of reasons for dissatisfaction on quality and its over-year change**

### **III. Main points of the results of the Survey in FY2017**

The percentage of positive responses, namely “Satisfied” or “Somewhat Satisfied”, on the overall quality of patent examination on national applications (Sheet A) has been increasing year by year, ever since the first Survey was conducted in 2012. The overall level of satisfaction was 58.3% in FY2017.

The level of satisfaction on each evaluation item such as “thorough and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal)” generally improved. The levels of satisfaction were significantly high. They exceeded 60% on “thorough and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal)” (67.2%), “domestic patent literature searches” (65.7%), and “communication with examiners such as face-to-face interviews and telephone conversations” (62.1%). In particular, the percentage of “Satisfied” or “Somewhat Satisfied” on “thorough and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal)” has improved by more than 30%, compared to that in FY2012 when the first Survey was conducted. Although more than 20% of the respondents were still “Unsatisfied” or “Somewhat Unsatisfied” with “consistency of judgements among examiners”, the percentage of “Satisfied” or “Somewhat Satisfied” shows a stable improvement (see page c).

Also on the overall quality of the international search and international preliminary examination on PCT Applications (Sheet C), the percentage of positive responses, namely “Satisfied” or “Somewhat Satisfied”, has been increasing year by year and, in this FY, exceeded 50% (54.2%) for the first time since the first Survey was conducted.

Generally, the level of satisfaction on each evaluation item (such as “IPC accuracy”) improved on the international search and international preliminary examination on PCT applications. In particular, the percentage of “Satisfied” or “Somewhat Satisfied” exceeded 50% on the three evaluation items “domestic patent literature searches” (65.5%), “IPC accuracy” (53.3%), and “reasoned statement regarding lack of novelty/inventive step” (51.2%). Although the percentage of negative responses on “foreign patent literature searches” did not show a significant change, the percentage of positive responses improved to 26.1%, compared to 15.9% in the last FY (see page d).

These results show that the measures and initiatives that the JPO is conducting to improve examination quality improvement are definitely raising user satisfaction.

According to the analysis on the applications that seemed to involve the issues or problems to be addressed in patent examination procedures or quality, based on the responses to Sheets B and D (related to the specific applications used in the Survey) and the specific applications that have been indicated through the free description columns in Questionnaire Sheets, a greater number of checks or comments were given by the respondents on the aspects related to novelty/inventive step (see page k). Also on the “difference in judgements in the same technical field” and the “difference

in judgements among different technical fields”, the percentages of “Unsatisfied” or “Somewhat Unsatisfied” were relatively high compared to those for the other items and in fact even increased in this FY. According to responses given in Sheet A about the overall level of satisfaction on examination on national applications, the relatively low level of satisfaction on consistency of judgements, corresponded to the increasing percentage of “Unsatisfied” or “Somewhat Unsatisfied” responses in Sheets B and D.

In addition to the current measures and initiatives to improve the quality of examination practices, the JPO has to identify issues or problems to be addressed based on comprehensively analyzing how the level of satisfaction on one evaluation item affects the level of satisfaction overall (see pages e - g). In addition, the JPO needs to conduct other analysis as well. In particular, the JPO has to address the issues or problems with consistency of judgements, which were identified through the Survey in this FY.

## **Acknowledgment**

The JPO expresses its gratitude to all the respondents for their generous time in taking the Survey, and appreciates everyone's continuous support.

In order to maintain and further enhance the quality of patent examination, the JPO will continue to conduct its survey on examination quality with users, and based on the results, make utmost efforts for continuous enhancement of its patent examination practices and operating procedures.

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## **1. Overview of the Survey**

### **(1) Background**

Conducting globally reliable, high-quality examination and properly granting patent rights by the Japan Patent Office (JPO) are keys for supporting domestic enterprises in developing their global business activities, driving innovation, and maintaining sound business practices. The JPO released its Quality Policy on Patent Examination (the “Quality Policy”) in April 2014, which outlines the fundamental principles of quality management designed to achieve the utmost examination quality in the world. The Quality Policy has six fundamental principles. One of the principles states “we meet wide-ranging needs and expectations.” The principle further states “the JPO understands and respects broad-ranging needs of and expectations for patent examination so that it may contribute to the benefit of Japanese society and the satisfaction of people connected with the patent system.”

Carefully listening to the opinions of users is essential to continuously formulating measures for ensuring the quality of patent examination. The JPO has conducted its User Satisfaction Survey (the “Survey”) annually since the first Survey in FY2012 was conducted.

This Report gives a summary of the results from the Survey conducted in FY2017 and an analysis on those results, along with details and overall findings.

### **(2) Purpose of the Survey**

In view of the background above, this Survey aims to identify the level of satisfaction that users have in regard to the quality of the JPO’s patent examination practices and international search and international preliminary examination. In addition, the Survey is conducted to hear user opinions on these topics, in order to identify the current status of the JPO’s patent examination quality. This done as a means for the JPO to improve the quality of its patent examination and the international search and international preliminary examination in the future.

The Survey falls under the “Check” part of the PDCA (Plan, Do, Check, Act) Cycle outlined in the Quality Management Manual for Patent Examination, which was created for maintaining and improving the quality of patent examination, since the Survey evaluates patent examination procedures. The Survey results are used to continuously improve patent examination practices based on the principle “we continually improve operations,” which is one of the principles of the Quality Policy on Patent Examination.

### **(3) Method of Gathering Level of User Satisfaction**

Questionnaire Sheets (see (4) below) were sent by e-mail to users who had been selected based on (5) below, after they had agreed to take the Survey when the JPO contacted them by phone-call or e-mail.

The users were given about a month to submit their responses. The users were asked to complete the Questionnaire Sheets via e-mail or postal service. The Questionnaire Sheets were

distributed and the responses were received between June and August, 2017.

Users could choose to respond either “onymously,” i.e., name made known to the JPO; or “anonymously,” i.e., name not made known to the JPO, on Sheets A and C, as in (4) below.

#### **(4) Questionnaire Sheets**

The following four types of questionnaire sheets were used for the Survey, which are attached to this Report as an APPENDIX.

Sheet A: Overall Quality of Patent Examination on National Applications

Sheet B: Quality of Patent Examination on Specific National Applications

Sheet C: Overall Quality of the International Search and International Preliminary Examination on PCT Applications

Sheet D: Quality of the International Search and International Preliminary Examination on Specific PCT Applications

Sheets A and B, which had been translated into English when necessary (see APPENDIX), were sent to foreign-resident applicants.

#### **(5) Respondents**

Table 1 shows the method of selecting applicants/applications and the number of applicants/applications that were selected to respond to Sheets A and B (national applications). Table 2 shows the method of selecting applicants/applications and the number of applicants/applications that were selected to respond to Sheets C and D (PCT applications). It should be noted that the respondents to Sheets A and C overlap with each other to some degree. The number of respondents was 725 when the overlap was excluded. The number of foreign-resident applicants selected to respond to Sheets A and B was 59, the same as in last-year's survey. Representatives who had filed large numbers of applications were also used in the Survey. The JPO asked them to respond from the standpoint as representatives.

**Table 1: Method of selecting applicants/applications for responding to Sheets A and B (national applications)**

	method of selecting applicants/applications	the number of applicants/applications	
Sheet A	non-individual, domestic-resident applicants who filed 50 or more national applications and who were the lead applicants in FY2015 and who also had been sent one or more final decisions in FY2016	551	681
	non-individual, foreign-resident applicants who filed 120 or more national applications who were the lead applicants in FY2015 and who also had been sent one or more final decisions in FY2016	59	
	applicants who filed a small number of applications and/or who had a small number of employees [*1]	19	
	representatives [*2]	52	
Sheet B	randomly selected national applications of which the lead applicant is a respondent to Sheet A, and to which a decision to grant a patent or a decision of refusal was issued in FY2016 [*3]	1970	

[\*1] The applicants were randomly selected from manufacturers who filed 49 or fewer national applications as lead applicants in FY 2015, taking into account previous interviews or discussions with the JPO.

[\*2] The top representatives who filed a large number of applications in FY2016 were selected.

[\*3] The number of subject applications ranged from two to five, in order to make it easier for the respondents to take the Survey. 2-5 Questionnaire Sheets were sent to each of the respondents in proportion to the number of national applications they filed as lead applicants in FY2015.

**Table 2: Method of selecting applicants/applications for Sheets C and D (PCT applications)**

	method of selecting applicants/applications	the number of applicants/applications	
Sheet C	non-individual, domestic-resident applicants who filed 18 or more PCT applications as lead applicants in FY2016 and who also were sent one or more International Search Reports (ISRs) or International Preliminary Examination Report (IPERs) in FY2016.	290	336
	applicants who filed a small number of applications and/or applicants with a small number of employees [*1]	19	
	representatives [*2]	27	
Sheet D	randomly selected PCT applications of which the lead applicants were eligible to respond to Sheet C, and to which ISRs or IPERs were sent in FY2016 [*3]	731	

[\*1] The applicants were randomly selected from domestic-resident manufacturers who filed 17 or fewer PCT applications as lead applicants in FY2016, and who had had previous interviews and discussions with the JPO.

[\*2] The top representatives who filed a large number of applications in FY2016.

[\*3] The number of subject applications was from two to five, in order to make it easier for the respondents to take the Survey. Two to five Questionnaire Sheets were sent to the respondents in proportion to the number of PCT applications they had filed as lead applicants in FY2016.

## **(6) Response Rates**

The response rates for Sheets A, B, C, and D slightly increased to about 90 % (about 89% - 92%, respectively) compared to those in the last FY (see Table 3). These high rates indicate a keen interest by users in the Survey.

Table 4 shows a breakdown by type of industry of respondents on Sheets A and C.

“Anonymous” responses given to Sheet A accounted for 55.6% of the total. (There were 48.4% in the last FY.) “Anonymous” responses given to Sheet C accounted for 60.6% of the total. (They were 53.3% in the last FY.) (See Table 4.)



**Table 3: Response rates to each Questionnaire Sheet**

	number of Sheets distributed	number of response s	response rate in FY2017	response rate in FY2016	response rate in FY2015	response rate in FY2014	response rate in FY2013	response rate in FY2012
Sheet A	681	617	90.6%	89.3%	85.5%	86.8%	91.8%	91.4%
Sheet B	1970	1765	89.6%	88.9%	85.1%	87.5%	90.6%	91.7%
Sheet C	336	310	92.3%	91.2%	87.4%	88.7%	90.6%	91.8%
Sheet D	731	665	91.0%	93.4%	89.1%	90.4%	90.1%	93.0%

**Table 4: Breakdown by the types of industry of the respondents for Sheets A and C**

attributes		Sheet A		Sheet C	
	type of industry [*1]	number of respondents	percentage in relation to total	number of respondents	percentage in relation to total
domestic -resident applicant	metal	20	3.2%	10	3.2%
	construction	6	1.0%	0	0.0%
	machinery	63	10.2%	28	9.0%
	chemistry	40	6.5%	24	7.7%
	food/medicine	7	1.1%	3	1.0%
	electronics	76	12.3%	33	10.6%
	other industries	12	1.9%	4	1.3%
	others	9	1.5%	6	1.9%
	institutes/public research organization	7	1.1%	1	0.3%
representatives		26	4.2%	13	4.2%
foreign-resident applicants		8	1.3%	0	0.0%
anonymous respondents		343	55.6%	187	60.6%
total		617	100.0%	310	100.0%

[\*1] Industrial classifications of respondents are sorted into 9 sectors according to the following. (When representatives are included therein, the classifications increase to 10.): TOPIX Sector indices (33 sectors), Teikoku Databank industry classification table, Japan Standard Industry Classification, Research Report on Practice of Patent Examination so as to Enhance User's Convenience (2011.02), and Research Report on "Quality Management System that Takes into Consideration the Evaluations Made by Patent Applicants and Agents" (2008.03). Note that the term "other industries" means industries such as stationaries, toys, sporting goods etc. and excludes the manufacturers named above, and the term "others" means non-manufacturers such as service, transportation, finance, etc.

## **(7) Definition of “Satisfied” and “Unsatisfied” in this Report**

In the Questionnaire Sheets (see APPENDIX), a 5-point scale was used to indicate the level of satisfaction for each evaluation item, in which 5 indicates “Satisfied,” 4 indicates “Somewhat Satisfied,” 3 indicates “Neutral,” 2 indicates “Somewhat Unsatisfied,” and 1 indicates “Unsatisfied.”

In this Report, as long as there is no particular remark stated, the “positive response(s)” consist of “5: Satisfied” and “4: Somewhat Satisfied,” and the “negative response(s)” consists of “1: Unsatisfied” and “2: Somewhat Unsatisfied.”

## **(8) Changes from the Last Fiscal Year**

The following reports the main changes that were made to the Questionnaires in this year’s survey.

- ✓ The wording asking the level of satisfaction on “communication with examiners (such as face-to-face interviews and telephone conversations)” was changed into “communication with examiners such as face-to-face interviews and telephone conversations,” in Sheet A about the overall quality of patent examination on national applications.
- ✓ The words “thorough and easy-to-understand” were added to the question asking the level of satisfaction on “description in notifications of reasons for refusal,” “description in decision of refusal” in Sheet A in the last FY, about the overall quality of patent examination on national applications. It was changed to “thorough and easy-to-understand description in notifications of reasons for refusal” and “thorough and easy-to-understand description in decision of refusal”.
- ✓ The question asking whether the respondents found other patent office(s) to have superior qualities compared to those of the JPO was asked only in Sheet A about the overall quality of patent examination on national applications in this FY, though the question was included in both Sheet A and Sheet C about the overall quality of the international search and international preliminary examination on PCT applications in the last FY. In addition, “no opportunity for examination by the other Office(s)/not sure” and “nothing in particular” were added as options to the question.
- ✓ The question asking how often any proper cited document is newly presented in the other countries/regions including the USPTO, EPO, SIPO and KIPO was added to Sheet A about the overall quality of patent examination on national applications and Sheet C related to the overall quality of the international search and international preliminary examination on PCT applications.
- ✓ The wording “not sure” was changed into “not sure/no opportunity” in Sheet A about the overall quality of patent examination on national applications and in Sheet C about the overall quality

of the international search and international preliminary examination on PCT applications.

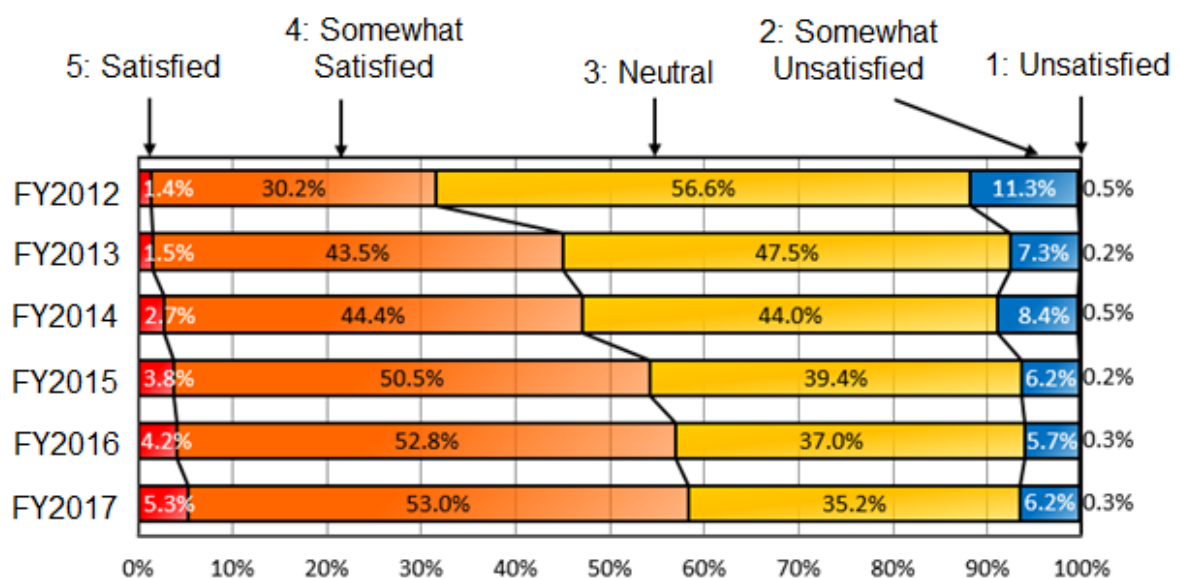
- ✓ Until the last fiscal year, respondents could tick a checkbox to give their consent to provide their responses to the examiner(s) in charge as feedback. In this year's survey, the checkbox was changed. Respondents ticked it when they didn't want to give their consent, in Sheet B about the quality of patent examination on the specific national applications used in the Survey and in Sheet D about the quality of the international search and international preliminary examination on specific PCT applications.

## 2. Aggregated Results

### (1) Levels of satisfaction on the Quality of Patent Examination on National Applications

#### (i) Levels of satisfaction on the Overall Quality of Patent Examination on National Applications

The percentage of positive responses, namely “Satisfied” or “Somewhat Satisfied”, about the overall quality of patent examination on national applications during the last one year or so has increased year by year since the first Survey in FY2012 was conducted. The percentage of positive responses was 58.3% in FY2017.



**Figure 1: Year-over-year change in the levels of satisfaction on the overall quality of patent examination on national applications**

#### (ii) Level of satisfaction on Each Evaluation Item on Patent Examination on National Applications

Table 5 below shows the number of ticks for each level of satisfaction on each evaluation item. Figure 2 through Figure 11 show the Year-over-year changes in the level of satisfaction between “5: Satisfied” and “1: Unsatisfied” on each evaluation item.

The percentage of “Satisfied” or “Somewhat Satisfied” in this FY exceeded 60% for the following three evaluation items in regard to patent examination on national applications: “thorough and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal)” (67.3%), “domestic patent literature searches” (65.7%), and “communication with examiners such as face-to-face interviews and telephone conversations” (62.1%). In particular, the percentage of “Satisfied” or “Somewhat Satisfied” for “thorough and easy-to-understand description in notifications of reasons for refusal (except for any final decisions of refusal)” improved by more

than 30%, compared to that in the first Survey in FY2012.

The percentages of negative responses, namely “Unsatisfied” or “Somewhat Unsatisfied” for the evaluation items regarding “Article 29 (2): inventive step” (14.8%) and “Article 36 (4) (i) and Article 36 (6): descriptive requirements for description and claims” (13.8%) decreased, falling to under 20% when compared to those in the last FY. Meanwhile, the percentages of “Satisfied” or “Somewhat Satisfied” on these evaluation items exceeded 40% for the first time since the Survey was started in FY2012.

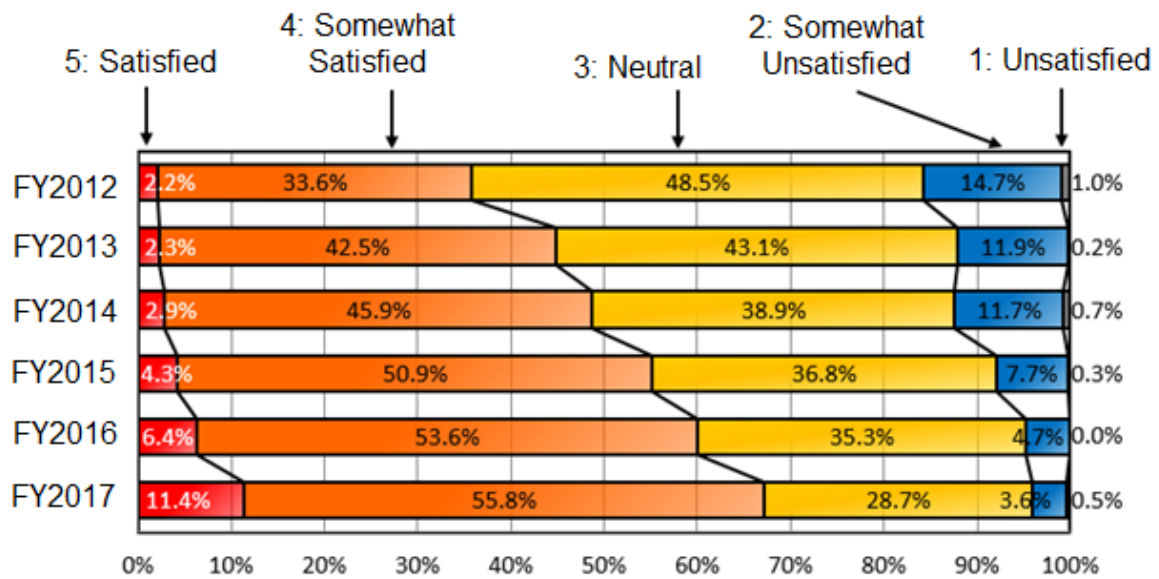
On the evaluation item “consistency of judgements among examiners<sup>1</sup>,” the percentage of “Satisfied” or “Somewhat Satisfied” has steadily been improving, though the percentage of “Unsatisfied” or “Somewhat Unsatisfied” was still higher than 20%. On the evaluation items “foreign patent literature searches” and “non-patent literature searches,” the percentages of “Satisfied” or “Somewhat Satisfied” increased by approximately 7% and 6% compared to that in the survey last year, respectively.

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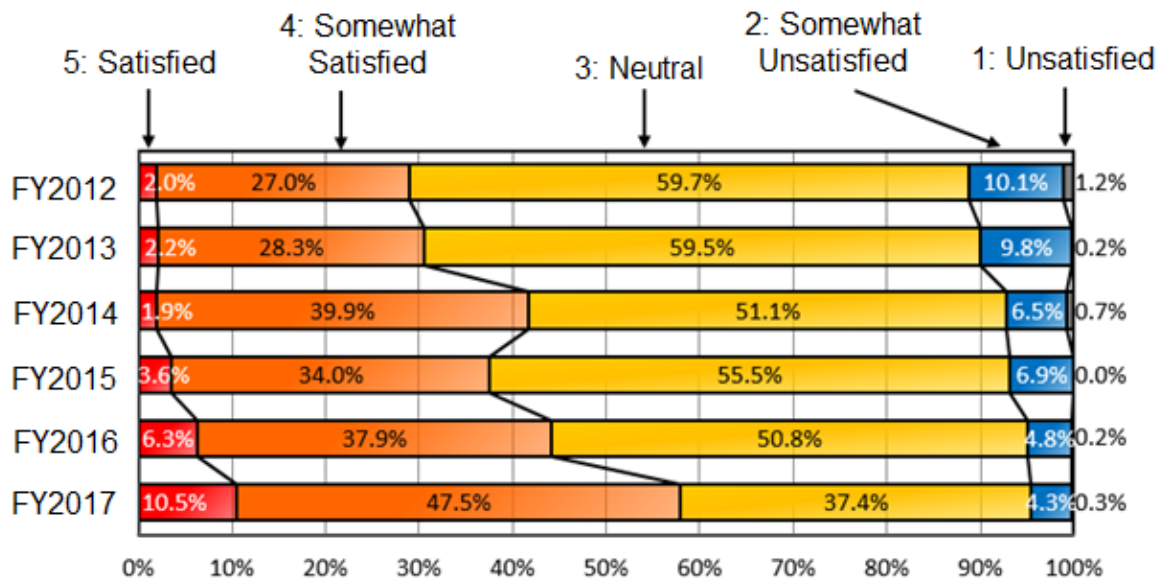
<sup>1</sup> The wording of the corresponding evaluation item until FY2015 was “judgement without discrepancy.”

**Table 5: Level of satisfaction on each evaluation item on patent examination**

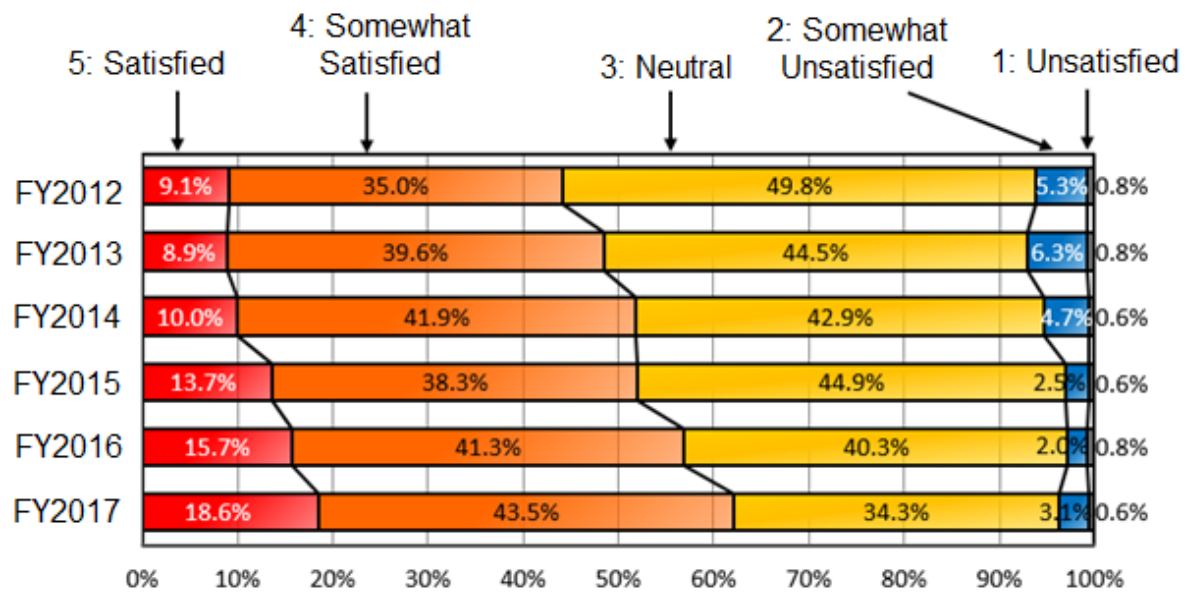
evaluation item		Satisfied	Somewhat Satisfied	Neutral	Somewhat Unsatisfied	Unsatisfied	Not Sure/No Opportunity
thorough and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal)		70	344	177	22	3	1
thorough and easy-to-understand description in decision of refusal		64	289	228	26	2	8
application of legal wordings	main paragraph of Article 29 (1) (industrial applicability and judgement of whether the subject matter falls under the concept of "invention")	77	155	225	10	1	149
	items of Article 29 (1): novelty	95	270	222	24	2	4
	Article 29 (2): inventive step	34	236	255	86	5	1
	Article 36 (4) (i) and Article 36 (6): descriptive requirements for description and claims	40	218	270	72	13	4
	Article 37: unity of invention	76	174	267	11	3	86
	Article 17-2 (3) through Article 17-2 (6): amendment of description and claims etc.	47	201	288	16	3	62
consistency of judgements among examiners		19	166	286	119	19	7
searches	domestic patent literature searches	87	316	189	17	5	3
	foreign patent literature searches	25	141	321	71	9	50
	non-patent literature searches	26	115	307	73	16	80
level of examiners' expertise in technical details		36	247	267	59	4	4
communication with examiners such as face-to-face interviews and telephone conversations		91	213	168	15	3	127
scope of patent that was granted after examination		19	233	307	41	7	10



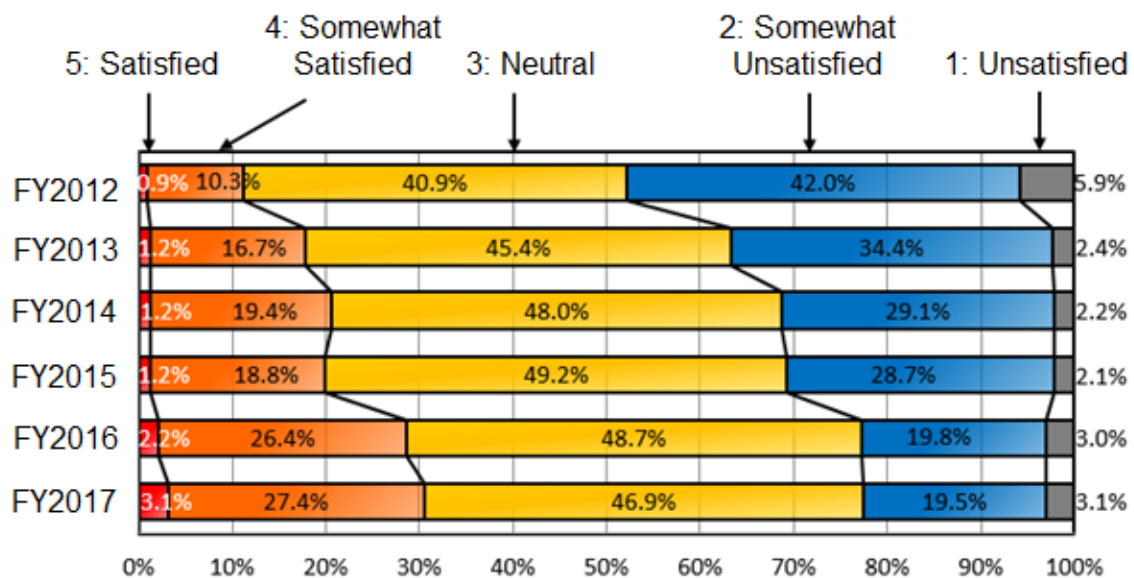
**Figure 2:** Year-over-year change in the levels of satisfaction on thorough and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal)



**Figure 3:** Year-over-year change in the levels of satisfaction on thorough and easy-to-understand description in decision of refusal

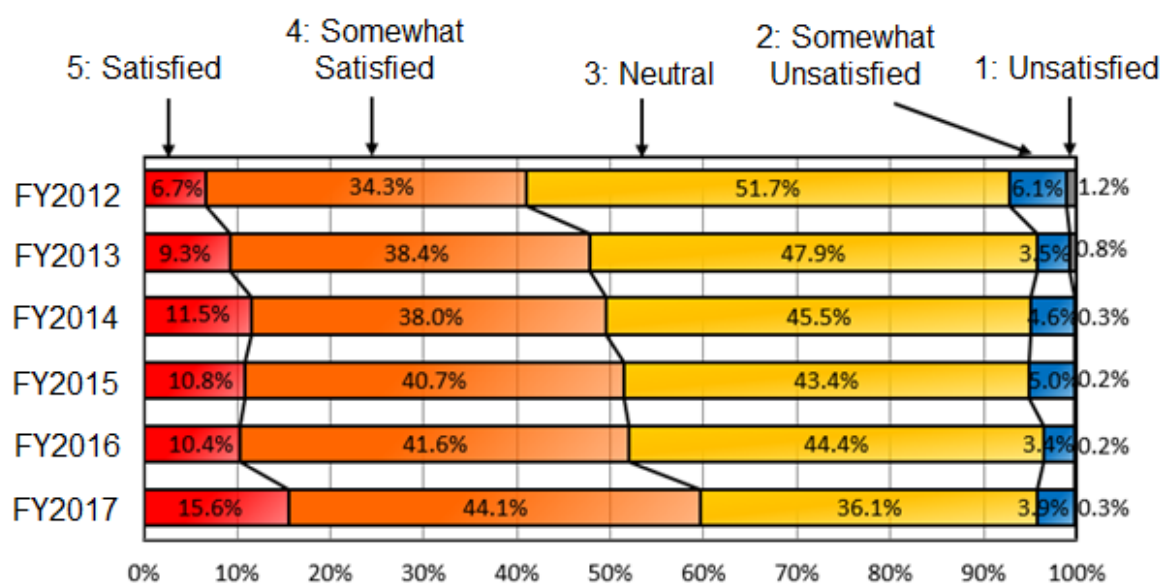


**Figure 4:** Year-over-year change in the levels of satisfaction on communication with examiners such as face-to-face interviews and telephone conversations

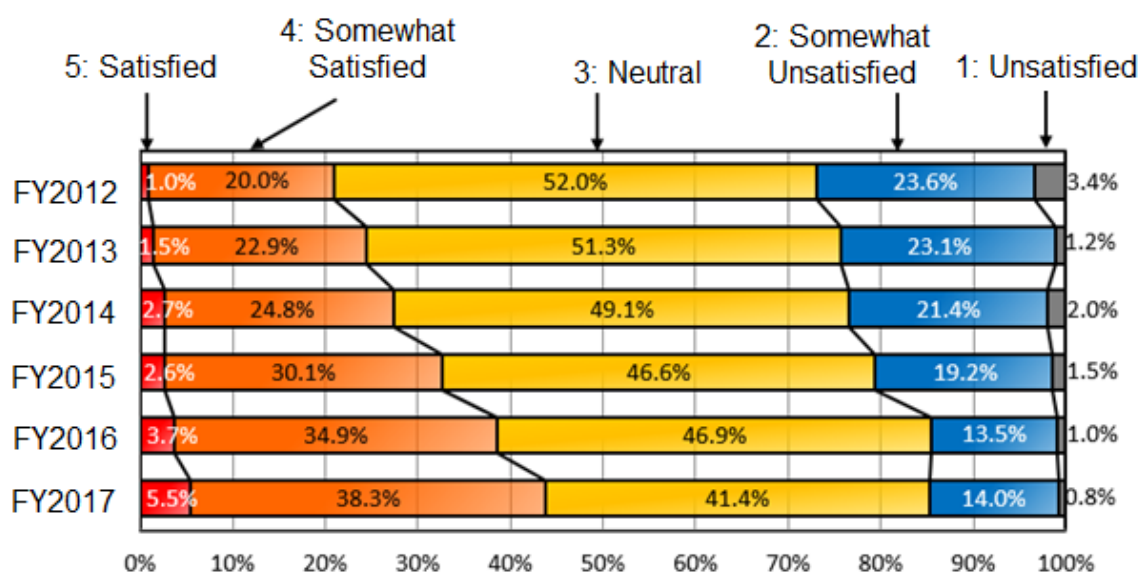


**Figure 5:** Year-over-year change in the levels of satisfaction on consistency of judgements among examiners

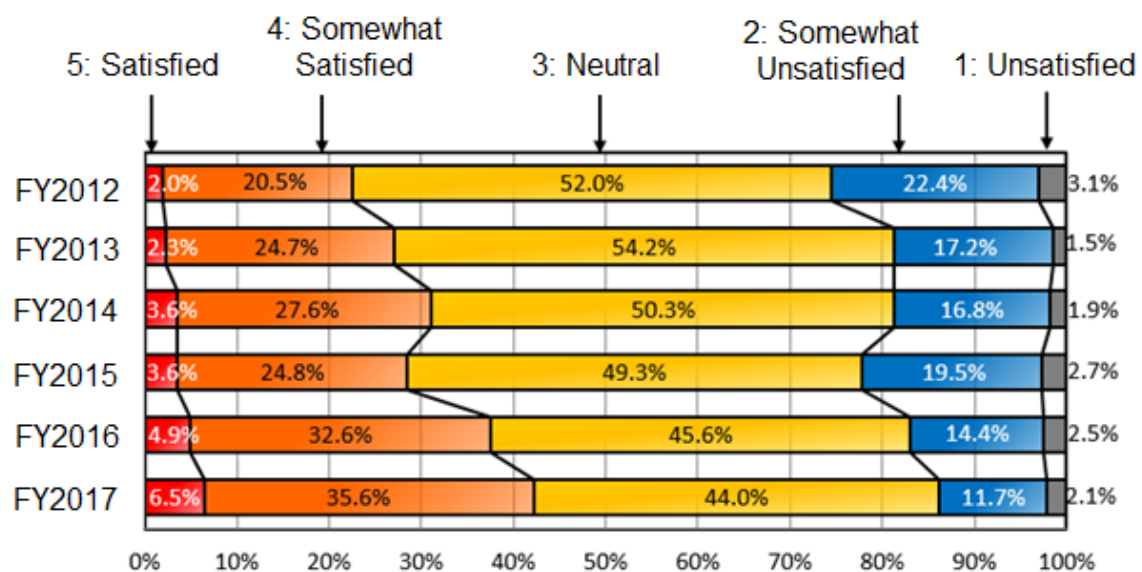




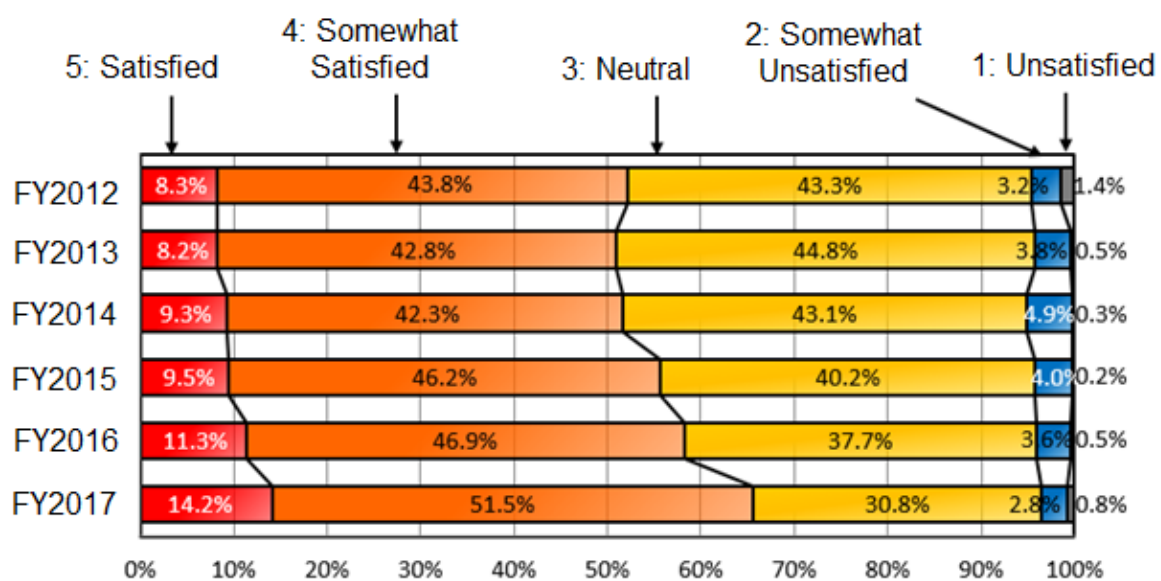
**Figure 6:** Year-over-year change in the levels of satisfaction on judgement on lack of novelty as in each item of Article 29 (1)



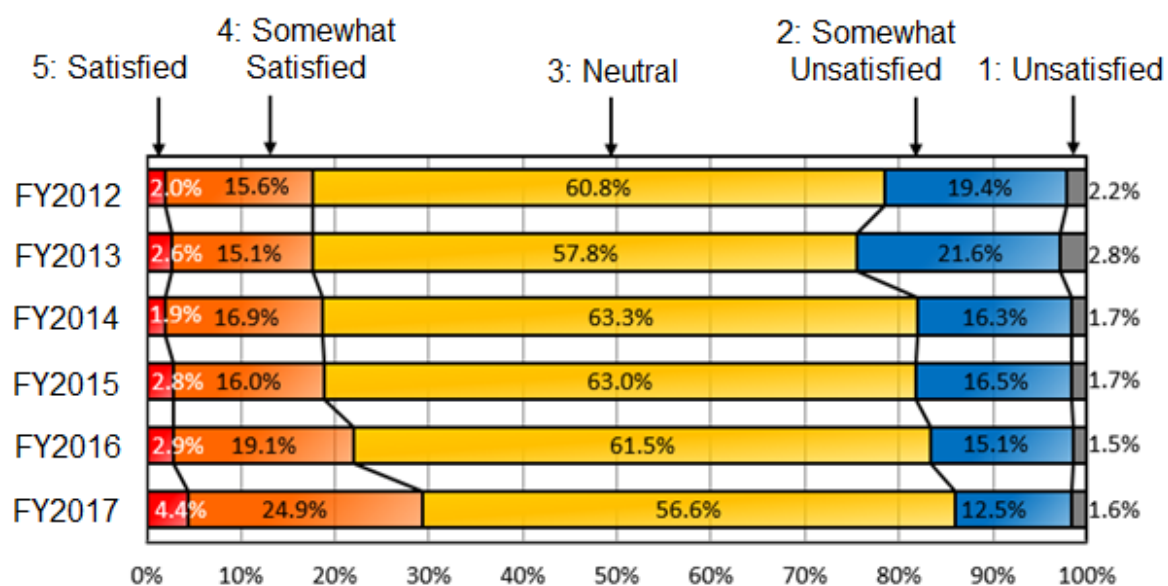
**Figure 7:** Year-over-year change in the levels of satisfaction on judgement on lack of inventive step as in Article 29 (2)



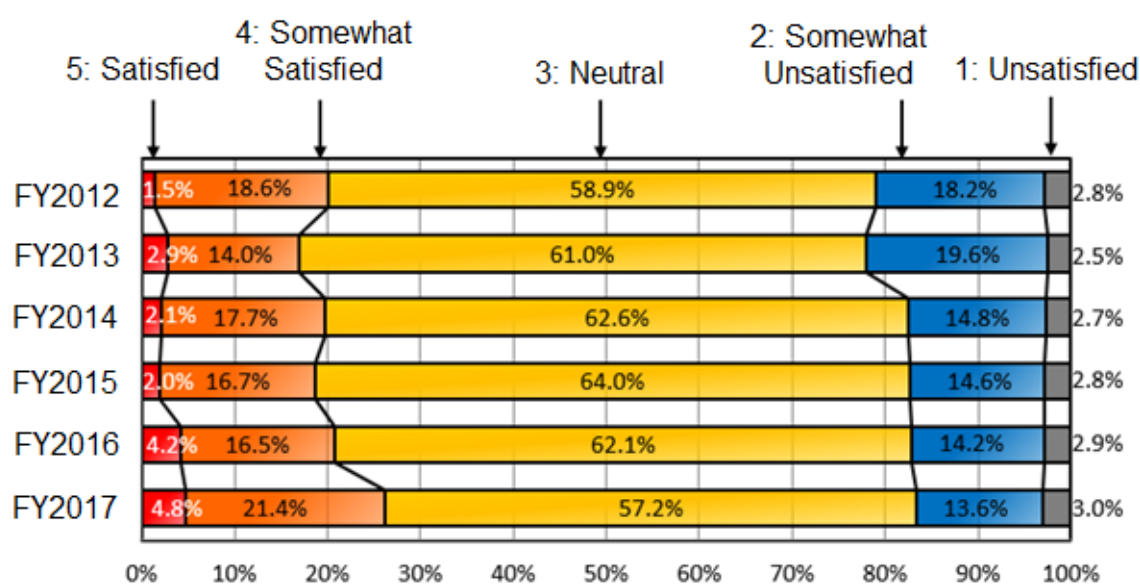
**Figure 8:** Year-over-year change in the levels of satisfaction on judgement on lack of descriptive requirements



**Figure 9:** Year-over-year change in the levels of satisfaction on domestic patent literature searches



**Figure 10:** Year-over-year change in the levels of satisfaction on foreign patent literature searches



**Figure 11:** Year-over-year change in the levels of satisfaction on non-patent literature searches

### (iii) Comparison to the Offices in the Other Countries/Regions

Table 6 shows the aggregated results of aspects that the JPO excelled in compared to Offices in other countries/regions<sup>1</sup> in terms of patent examination quality. The greatest number of respondents felt that the JPO was superior in terms of “examiners’ understanding of technical details”, as seen in Table 6.

**Table 6: Aspects that the JPO excels in compared to offices in the other countries/regions**

alternatives	valid number of checks <sup>2</sup>	valid number of checks in the last FY <sup>3</sup>
examiners’ understanding of technical details	309	300
prior art searches	242	240
judgement on novelty/inventive step	224	252
thorough and easy-to-understand description in notifications of reasons for refusal	259	206
communication with examiners such as face-to-face interviews and telephone conversations	159	-

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<sup>1</sup> Up until FY2015, the comments that the respondents wrote in the free-writing columns had been analyzed and sorted into the aspects shown in Table 6. However, from FY2016, these aspects were provided in checkbox format.

<sup>2</sup> 616 responses were valid. When multiple checks were given for a single response, each check was counted. 33 checks were given to “no opportunity for examination by the other Offices/not sure.” 69 checks were given to “nothing in particular.”

<sup>3</sup> 509 responses were valid. When multiple checks were in a single response, each check was counted.

Table 7 shows the aggregated results of the aspects the Offices in the other countries/regions excelled in compared to the JPO in terms of patent examination quality on national applications.

**Table 7: Aspects that offices in the other countries/regions excelled in compared to the JPO**

	nothing in particular	EPO	USPTO	SIPO	KIPO	others <sup>1</sup>
number of checks <sup>2</sup>	377	150	75	41	14	11
number of checks in the last FY <sup>3</sup>	347	149	78	36	18	6

<sup>1</sup> "Others" includes 2 for the German Patent and Trade Mark Office (DPMA), 1 comment for the Intellectual Property Office of Singapore (IPOS), 1 comment for the UK Intellectual Property Office (UKIPO), 1 comment for Taiwan Intellectual Property Office (TIPO), 1 comment for IP Australia, and 1 comment for Intellectual Property Office of New Zealand.

<sup>2</sup> 615 responses were valid. When multiple checks were given to a single response, each check was counted. 31 checks were given to "no opportunity for examination by the other Offices/not sure."

<sup>3</sup> 552 responses were valid, which include 347 checks to "nothing in particular." When a check for multiple aspects was given in a single response, each check was counted.

**Table 8: Aspects the offices in the other countries/regions excelled in compared to the JPO**

	number of comments <sup>1</sup>				
	EPO	USPTO	SIPO	KIPO	others <sup>2</sup>
prior art searches	82	19	13	2	4
thorough and easy-to-understand description in notifications of reasons for refusal	25	32	11	5	1
judgement on novelty/inventive step	34	14	8	2	0
consistency of judgements	7	2	0	0	0
examiners' understanding of technical details	10	2	0	1	0
time length required for examination	0	3	2	0	1
communication with examiners such as face-to-face interviews and telephone conversations	1	7	0	0	0
suggestion for amendment	3	2	0	0	0
judgement on descriptive requirements	3	3	3	2	0
others <sup>2</sup>	17	6	4	1	1

As seen in Table 8, a large number of respondents gave high evaluations to prior art searches conducted by the EPO. Specifically, the respondents recognized the EPO for its proper non-patent literature searches and for its cited documents such as publications from various Offices, instead of those from only a limited number of Offices.

Further, the respondents gave high marks to the EPO and USPTO for their thorough and easy-to understand descriptions in notifications of reasons for refusal, including thorough descriptions on their reasoning and detailed descriptions on dependent claims.

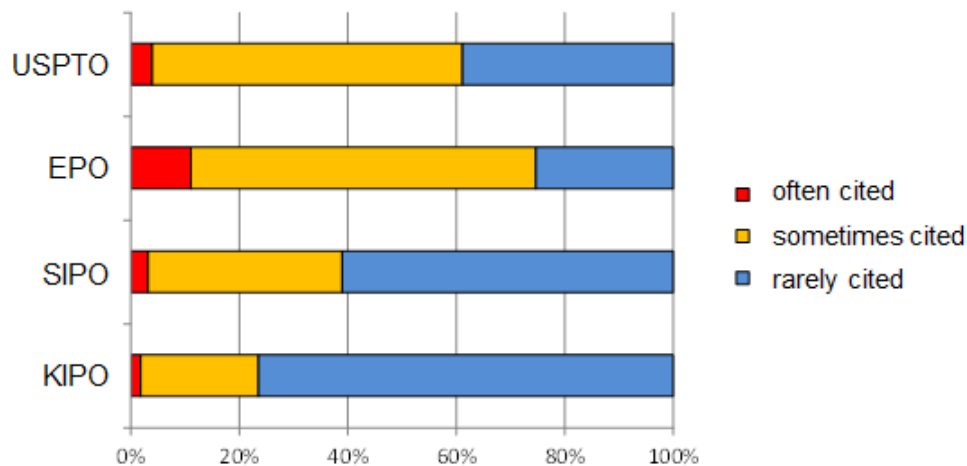
<sup>1</sup> 196 responses were valid, which did not include “nothing in particular.” When multiple checks were given in a single response, each check was counted.

<sup>2</sup> “Others” include (for the EPO) “a greater number of opportunities are given to oppose reasons for refusal” and (for the USPTO) “a broader range of patent rights are granted to claims”.

Table 9 shows the aggregated results of the responses given to the question asking how often additional, new, proper cited documents are presented in the other countries /regions after the JPO issued its examination results on national applications. Figure 12 shows a bar chart of Table 9 showing the frequency by each Office, from which the number of checks for “no opportunity for examination at the other Office(s)/not sure” have been subtracted.

**Table 9: Frequency of additional, new, proper cited documents being presented by the Offices in the other countries/regions (national applications)**

	often cited	sometimes cited	rarely cited	no opportunity for examination at the other Office(s)/not sure	total
USPTO	20	296	201	95	612
EPO	54	312	124	122	612
SIPO	16	180	307	109	612
KIPO	7	86	302	217	612



**Figure 12: Frequency of additional, new, proper cited documents being presented by the Offices in the other countries/regions (national applications)**

#### **(iv) Comments in the Free Description Columns**

The respondents wrote the most comments about judgements on novelty/inventive step (92 comments). Further, a large number of comments were given to thorough and easy-to-understand description in notifications of reasons for refusal (65 comments) and consistency of judgements (52 comments).

The comments on judgements on novelty/inventive step included those that the respondents considered to be lax in terms of judgements on inventive step (39 comments) and to have insufficient grounds for judging well-known art or design matters (18 comments).

The comments on thorough and easy-to-understand descriptions in notifications of reasons for refusal included those mentioning insufficient descriptions on judgements of identical features/differences (16 comments) and those mentioning insufficient descriptions on reasons for refusal on dependent claim(s) (11 comments).

The comments on consistency of judgements included those that lacked consistency in judgements on inventive step (15 comments) and those that lacked consistency in judgements on descriptive requirements (12 comments).

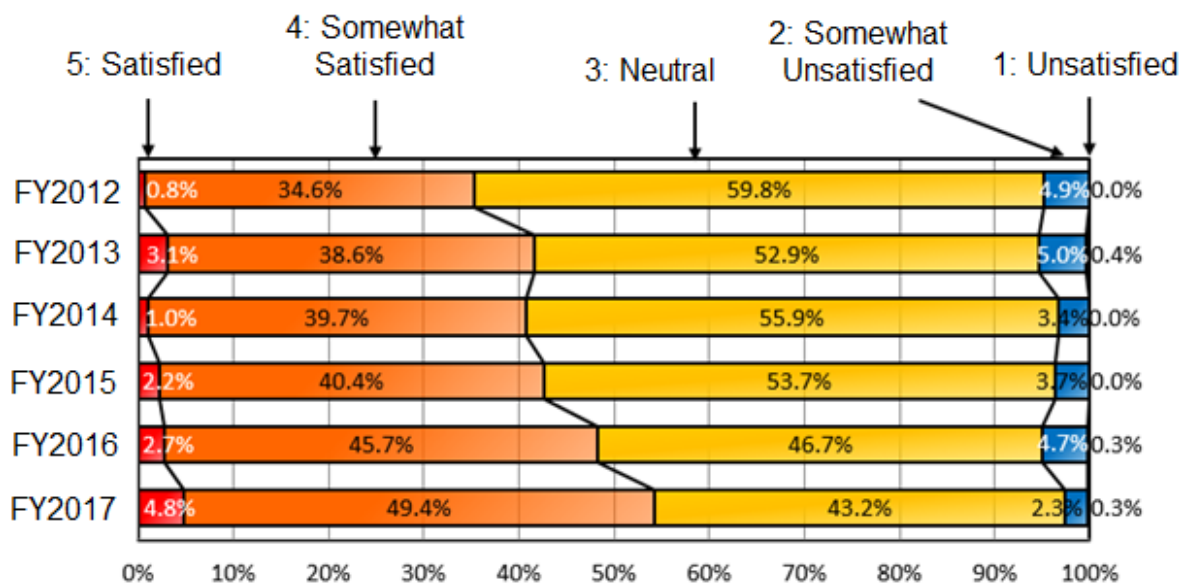


**(2) Levels of Satisfaction on the Quality of the International Search and International Preliminary Examination on PCT Applications**

**(i) Levels of Satisfaction on the Overall Quality of the International Search and International Preliminary Examination on PCT Applications**

The ratio of positive responses on the overall quality of the international search and international preliminary examination has increased year by year since the first Survey was conducted in FY2012.

Figure 13 shows the year-over-year change in the levels of satisfaction on the overall quality of the international search and international preliminary examination since the first Survey was conducted in FY2012. The percentage of “Satisfied” or “Somewhat Satisfied” responses given to the overall quality of the international search and international preliminary examination during the last one year or so was 54.2%. This is the first time that the percentage of positive responses exceeded 50% since the Survey was conducted. The percentage increased by approximately 6% compared to that in the Survey last year (48.4% in FY2016).



**Figure 13: Year-over-year change in the levels of satisfaction on the overall quality of the international search and international preliminary examination**

**(ii) Levels of Satisfaction on Each Evaluation Item on the Quality of the International Search and International Preliminary Examination on PCT Applications.**

Table 10 shows the number of checks by the levels of satisfaction on each evaluation item. Figure 14 through Figure 20 show bar charts of the year-over-year changes in the percentages of levels of satisfaction on each evaluation item<sup>1</sup>.

**Table 10: Number of checks by the levels of satisfaction on each evaluation item on PCT applications**

evaluation item		Satisfied	Somewhat Satisfied	Neutral	Somewhat Unsatisfied	Unsatisfied	Not sure/No opportunity
IPC accuracy		30	122	131	2	0	25
judgement on excluded subject matter from searches		17	32	78	3	0	180
judgement on unity of invention		30	80	150	5	0	45
judgement on novelty/inventive step		10	140	140	17	2	1
Reasoned statement regarding novelty/inventive step		16	142	136	14	1	1
judgement on descriptive defects		15	73	176	14	1	31
consistency of judgements in the international phase		9	84	189	21	0	7
consistency of judgements between the international phase and the national phase		24	102	129	41	2	12
appropriateness of searches	domestic patent literature searches	38	164	102	1	3	2
	foreign patent literature searches	6	70	162	45	9	18
	non-patent literature searches	3	46	166	40	9	46

<sup>1</sup> The percentages of “not sure/no opportunity” or the responses without any checks are excluded in the bar charts showing the over-year changes in the percentages of levels of satisfaction in the 5-point scale between “5: Satisfied” and “1: Unsatisfied.”

In this FY, the percentage of “Satisfied” or “Somewhat Satisfied” exceeded 50% on the following three evaluation items: “domestic patent literature searches” (65.5%), “IPC accuracy” (53.3%), and “reasoned statement regarding novelty/inventive step” (51.2%) on the quality of the international search and international preliminary examination on PCT applications by each evaluation item (see Figure 14 through Figure 16).

As seen in Figure 17, the percentage of “Unsatisfied” or “Somewhat Unsatisfied” on “foreign patent literature searches” has been decreasing since the first Survey was conducted in 2012, and decreased below 20% in the last FY. Meanwhile, the percentage of “Satisfied” or “Somewhat Satisfied” on this item was 26.1%, which increased by approximately 10% compared to that in the last FY.

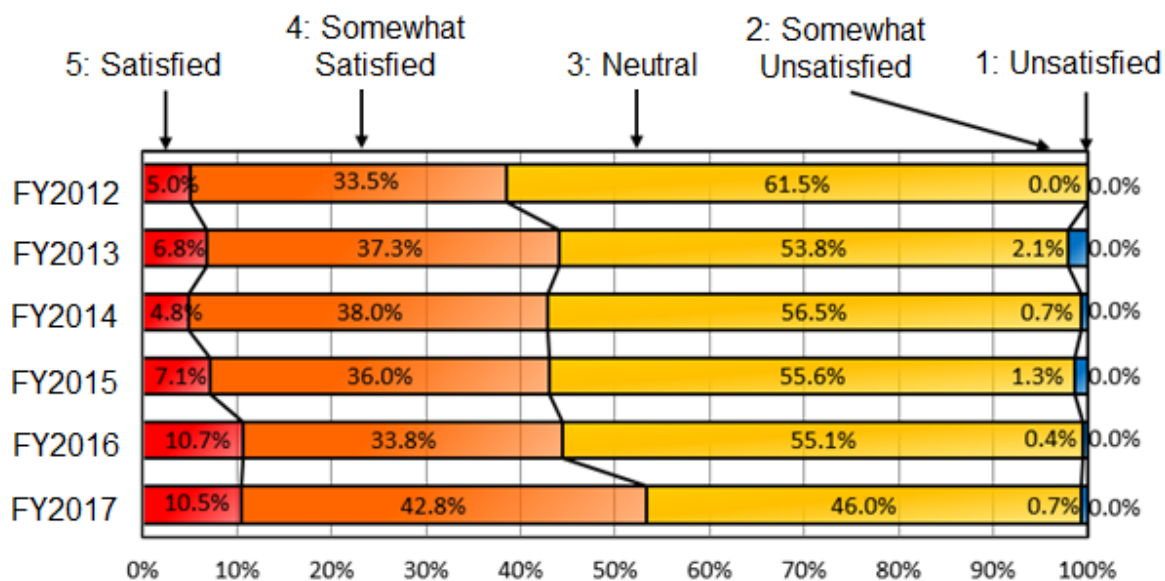
The percentage of “Unsatisfied” or “Somewhat Unsatisfied” on “non-patent literature searches” has been decreasing since the first Survey was conducted, and creased below 20% in this FY. Meanwhile, the percentage of “Satisfied” or “Somewhat Satisfied” on this item was the lowest (18. 5%) among the evaluation items (see Figure 18).

The Year-over-year changes during the previous 6 years show a certain degree of improvement in “consistency of judgements in the international phase<sup>1</sup>” and “consistency of judgements between the international phase and the national phase<sup>2</sup>” (see Figure 19 and Figure 20).

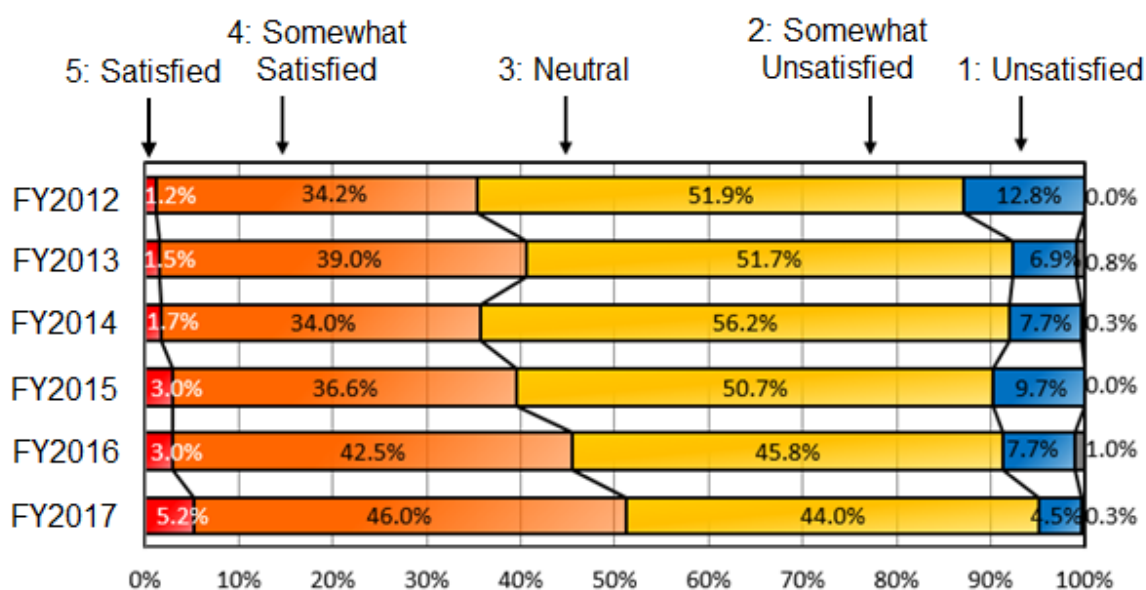
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<sup>1</sup> The wording of this evaluation item had been “judgement without discrepancy during the international phase” up through FY2015.

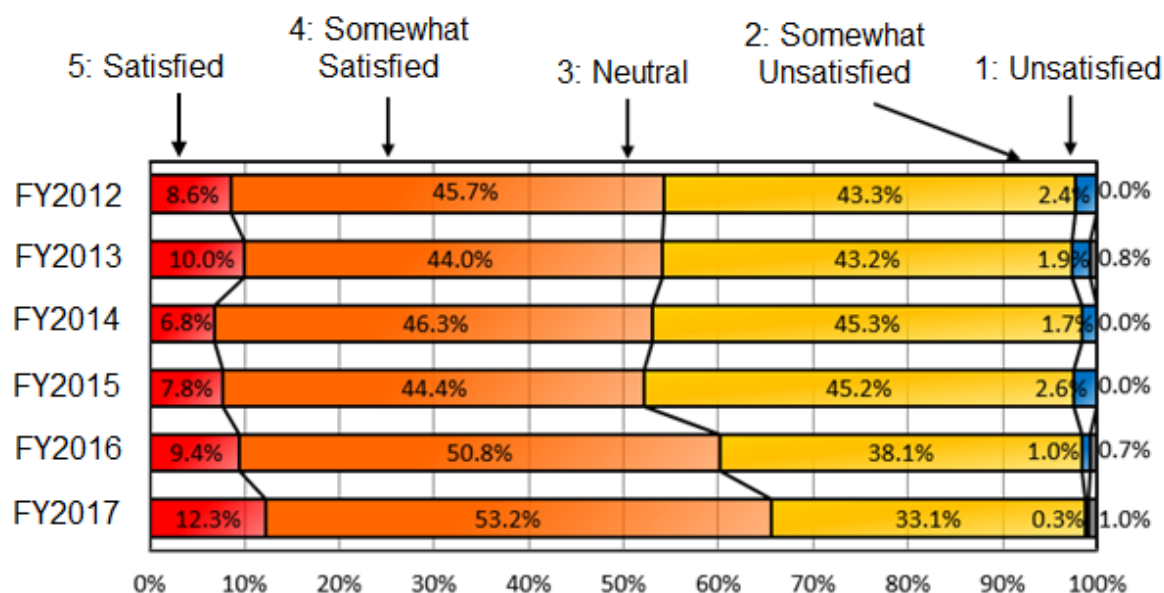
<sup>2</sup> The wording of this evaluation item had been “judgement without discrepancy between international phase and national phase” up through FY2015.



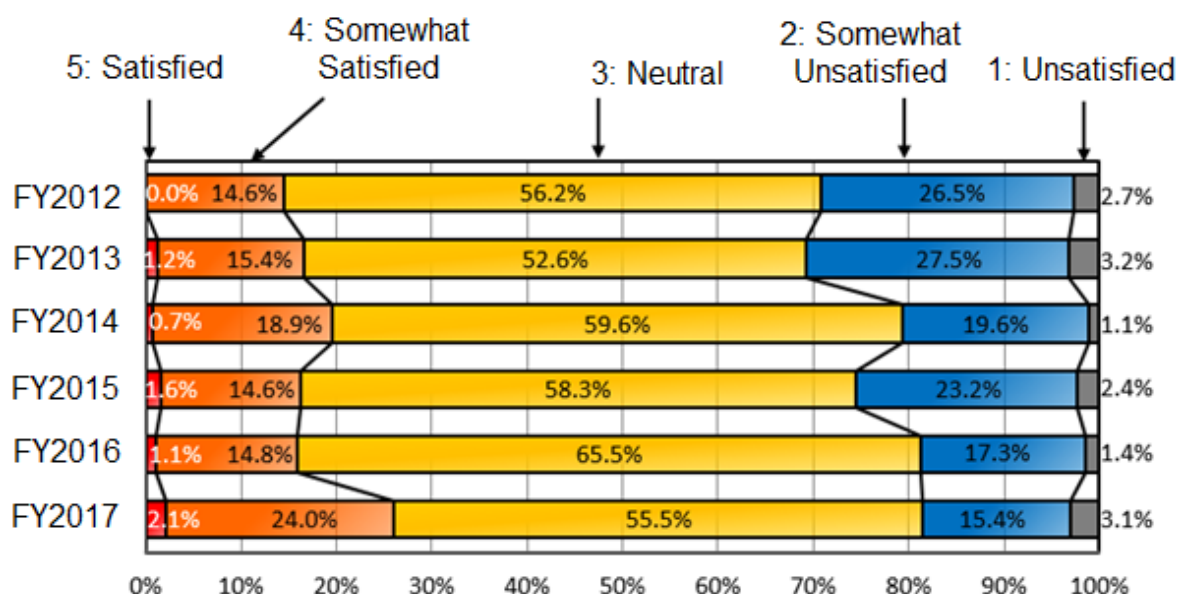
**Figure 14: Year-over-year change in the levels of satisfaction on IPC accuracy**



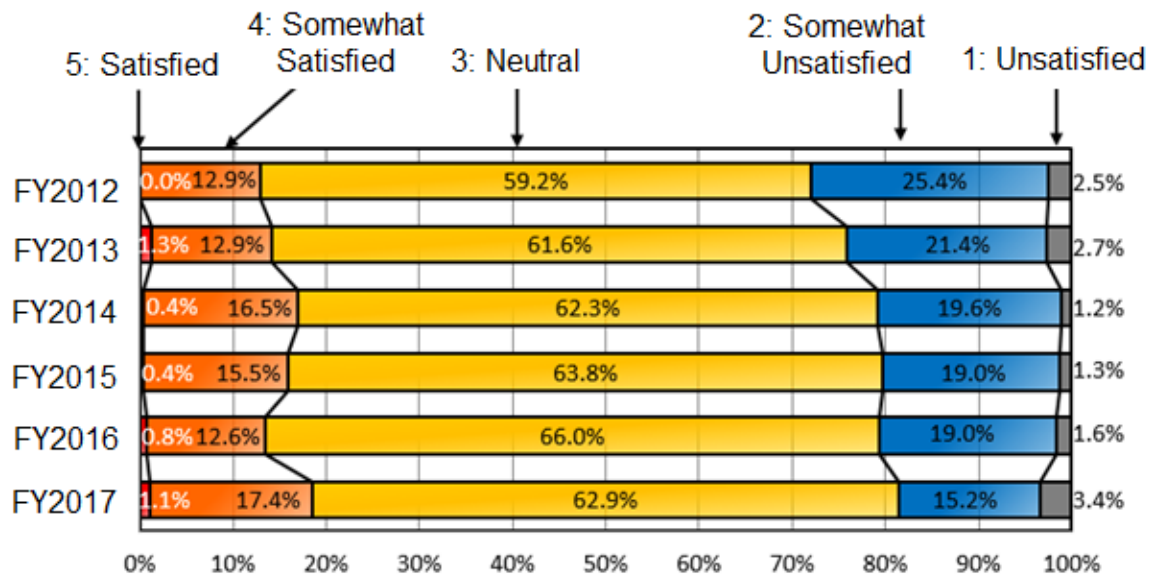
**Figure 15: Year-over-year change in the levels of satisfaction on reasoned statement regarding novelty/inventive step**



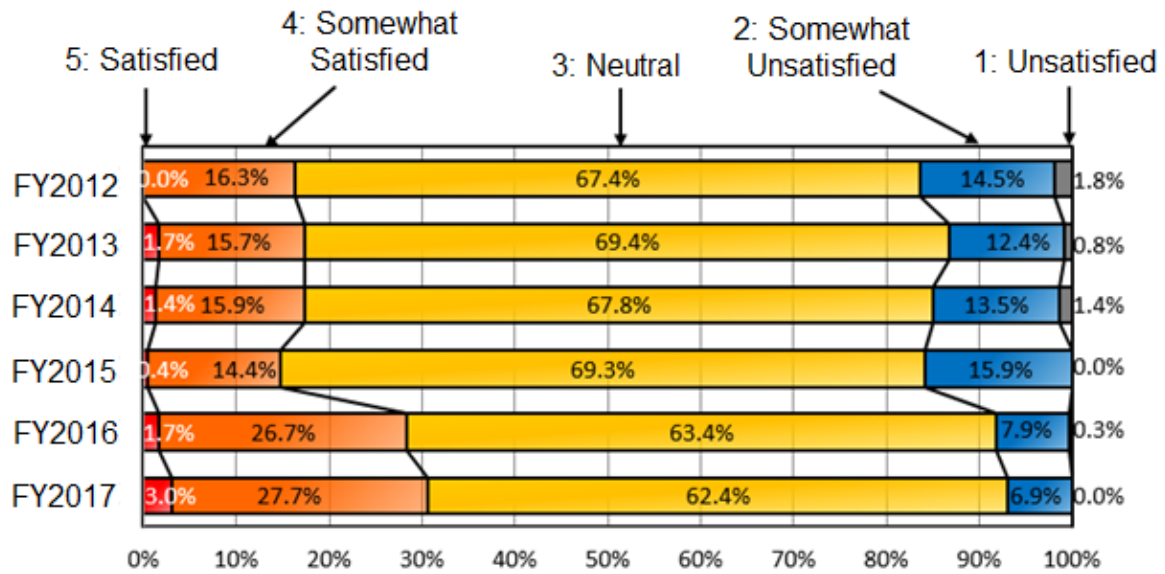
**Figure 16:** Year-over-year change in the levels of satisfaction on domestic patent literature searches in the international search and international preliminary examination



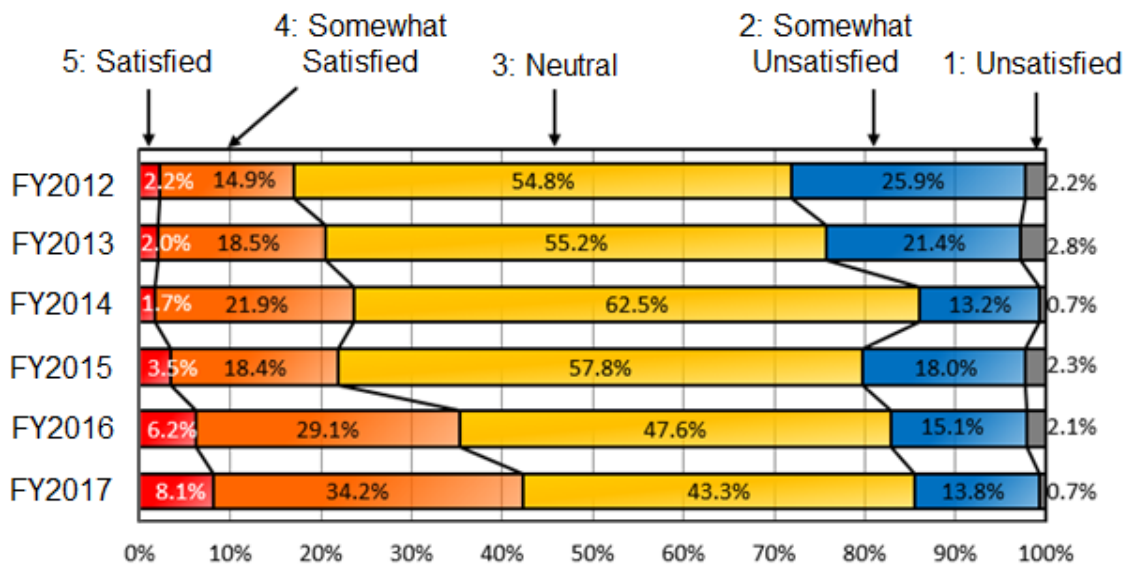
**Figure 17:** Year-over-year change in the levels of satisfaction on foreign patent literature searches in the international search and international preliminary examination



**Figure 18:** Year-over-year change in the levels of satisfaction on non-patent literature searches in the international search and international preliminary examination



**Figure 19:** Year-over-year change in the levels of satisfaction on consistency of judgements in the international search and international preliminary examination



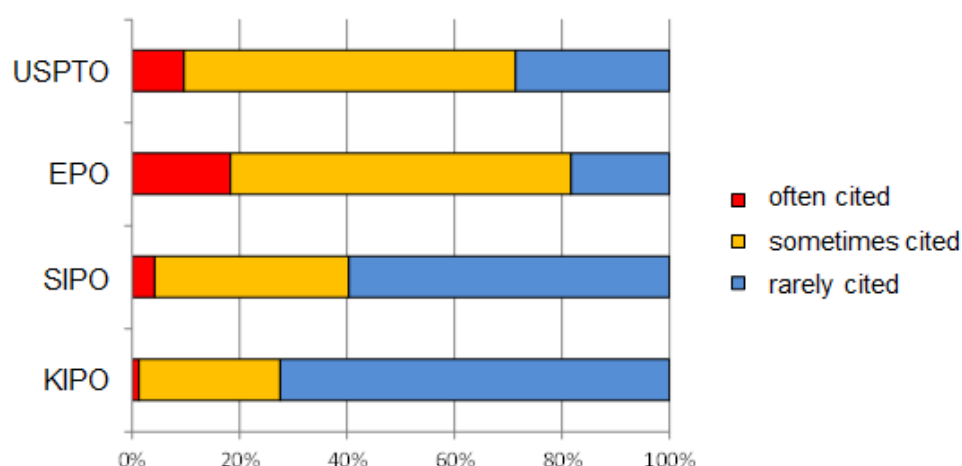
**Figure 20:** Year-over-year change in the levels of satisfaction on consistency of judgements between the international phase and the national phase

### (iii) Comparison to the Offices in the Other Countries/Regions

Table 11 shows the aggregated results of the responses given to the question asking the frequency of any additional, new, and proper cited documents being presented in the other countries /regions in the national phase, after the JPO issued reports or opinions on PCT applications as the ISA. Figure 21 shows the percentages for each possible response by Office, from which the percentages for “not sure /no opportunity” were subtracted.

**Table 11: Frequency of any additional, new, and proper cited documents being presented in the other countries/regions (PCT applications)**

	often cited	sometimes cited	rarely cited	not sure/no opportunity for examination at the other Office(s)	total
USPTO	28	179	83	20	310
EPO	50	173	50	37	310
SIPO	12	103	170	25	310
KIPO	3	62	171	74	310



**Figure 21: Frequency of any additional, new, and proper cited documents being presented in the other countries/regions in the national phase, after the international phase at the JPO (PCT applications)**



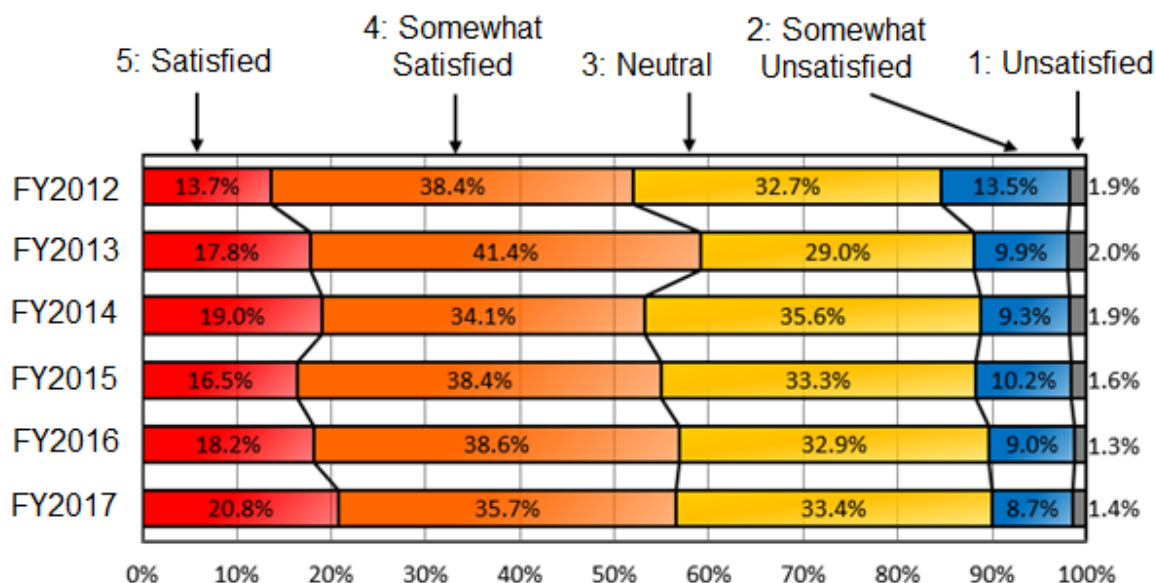
#### **(iv) Comments on the Free Description Columns**

The greatest number of comments and requests written in the free description columns in the Questionnaire Sheets were about prior art searches (40). Among them, 23 comments or requests were about foreign literature searches, 7 comments were about non-patent literature searches. Other comments or requests were about the difference in judgements between the international phase and the national phase at the JPO (20), and the difference in judgements between the international phase and the national phase in the other countries /regions (30).

### (3) Quality of Patent Examination on the Specific National Applications

#### (i) Overall Quality of Patent Examination on the Specific National Applications Used in the Survey

The percentage of positive responses “Satisfied” or “Somewhat Satisfied” was 56.5% on the quality of patent examination on the specific national applications used in the Survey. The percentages of positive responses vary around 55% since the first Survey was conducted in FY2012.



**Figure 22: Levels of satisfaction on patent examination on the specific national applications used in the Survey**

Table 12 shows a breakdown of the results in Figure 22 by the types of final decision. The percentage of positive responses “Satisfied” or “Somewhat Satisfied” were high in the order of “decision to grant a patent,” “decision of refusal without any response,” “decision of refusal after written opinions submitted by applicants” also in this FY.

The following are definitions of the types of final decisions.

- “decision of refusal after written opinions submitted by applicants”  
decision of refusal after applicants submitted written opinions or amendments in response to notifications of reasons for refusal immediately before final decisions.
- “decision of refusal without any response”  
decision of refusal made without any responses coming from applicants, such as written opinions or amendments, in response to notifications of reasons for refusal immediately before final decisions.

**Table 12: Breakdown of the levels of satisfaction on patent examination quality on the specific national applications by the types of final disposition, based on a 5-point scale**

5-point scale	decision of refusal after written opinions submitted by applicants	decision of refusal without any response	decision to grant a patent
5: Satisfied	17 (7.7%)	11 (8.3%)	340 (24.1%)
4: Somewhat Satisfied	60 (27.3%)	45 (34.1%)	525 (37.2%)
3: Neutral	79 (35.9%)	68 (51.5%)	442 (31.3%)
2: Somewhat Unsatisfied	51 (23.2%)	7 (5.3%)	96 (6.8%)
1: Unsatisfied	13 (5.9%)	1 (0.8%)	10 (0.7%)
total	220	132	1413

**(ii) Reasons for the Positive Responses Given to the Questions asking the Level of Satisfaction on Patent Examination Quality on the Specific National Applications Used in the Survey**

Table 13 shows the aggregated results of the reasons for the positive responses (“5: Satisfied” or “4: Somewhat Satisfied” based on a 5-point scale) to the questions asking the level of satisfaction on patent examination quality on the specific national applications used in the Survey. Table 14 shows the reasons for the positive responses by the types of final decision.

**Table 13: Breakdown of the reasons for the positive responses given to the questions asking the levels of satisfaction on patent examination quality on the specific national applications used in the Survey**

reasons for the positive responses	number of response <sup>1</sup>	number of response in the last FY <sup>2</sup>
thorough and easy-to-understand description in notification(s) of reasons for refusal	656	651
proper judgement on novelty /inventive step	618	609
proper search scope/search results	297	276
communication with examiners such as face-to-face interviews and telephone conversations	52	62

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<sup>1</sup> 998 responses were valid. When multiple responses were given, each response was counted.

<sup>2</sup> 1013 responses were valid. When multiple responses were given, each response was counted.

**Table 14: Breakdown of the reasons for the positive responses by the types of final disposition on the specific national applications**

	thorough and easy-to-understand description in the notification(s) of reasons for refusal	proper judgement on novelty /inventive step	proper search scope/search results	communication with examiners such as face-to-face interviews and telephone conversations	others
decision of refusal after any written opinion by applicants (77 checks)	58	53	24	0	5
decision of refusal without any response (56 checks)	45	40	16	0	3
decision to grant a patent (865 checks)	553	525	257	52	108

**(iii) Reasons for the Negative Responses Given to the Questions asking the Level of satisfaction on Patent Examination Quality on the Specific National Applications Used in the Survey**

Table 15 shows the Reasons for the negative responses (“1: Unsatisfied” or “2: Somewhat Unsatisfied” based on a 5-point scale) to the questions asking the level of satisfaction on the specific national applications by the types of final decision.

The major reasons for the negative responses were “judgement on lack of novelty/inventive step” for all of “first notification of reasons for refusal,” “final notification of reasons for refusal,” and “decision of refusal.”

**Table 15: Reasons for the negative responses given to the questions asking the level of satisfaction on the specific national applications**

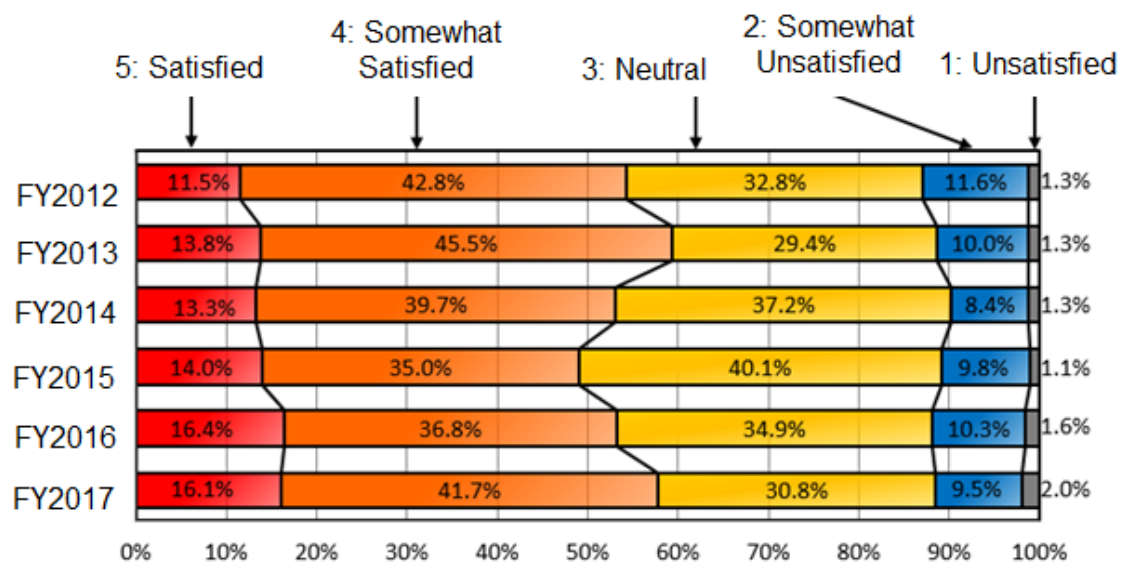
reasons for the negative responses	number of checks [*1]			
	first notification of reasons for refusal	final notification of reasons for refusal	decision of refusal	decision to grant a patent
thorough and easy-to-understand description in the notification(s) of reasons for refusal/decision of refusal	27	4	4	-
excessive number of cited documents	7	3	4	-
judgement on lack of novelty/inventive step	100	17	49	-
judgement on lack of descriptive requirements (Article 36 (4) (i) and Article 36(6))	24	7	5	-
judgement regarding violation of requirements for unity (Article 37)	1	0	0	-
consistency of judgements among examiners	7	1	2	0
search scope/search results	8	1	1	1
communication with examiners such as face-to-face interviews and telephone conversations	3	1	0	0
others	5	1	6	3

[\*1] 178 responses were valid. When multiple checks were in a single response, the number of check was counted for each.

**(4) Quality of the International Search and International Preliminary Examination on Specific PCT Applications**

**(i) Quality of the International Search and International Preliminary Examination on the Specific PCT Applications Used in the Survey**

The percentage of positive responses “Satisfied” or “Somewhat Satisfied” was 57.8% (53.2% in the last FY) in terms of the quality of the international search and international preliminary examination on the specific PCT applications used in the Survey. The percentages of positive responses vary, generally around 50% or higher since the first Survey was conducted in FY2012.



**Figure 23: Year-over-year change in the level of satisfaction on the quality of international search and international preliminary examination on the specific PCT applications used in the Survey**

**(ii) Reasons for the Positive Responses Given to the Questions asking the Level of Satisfaction on the International Search and International Preliminary Examination on the Specific PCT Applications used in the Survey**

Table 16 shows the aggregated results of the reasons for the positive responses “Satisfied” or “Somewhat Satisfied” on the level of satisfaction on the international search and international preliminary examination on the specific PCT applications used in the Survey.

**Table 16: Breakdown of the reasons for the positive responses given to the questions asking the levels of satisfaction on the international search and international preliminary examination on specific PCT applications**

reasons for positive responses	number of check <sup>1</sup>	number of check in the last FY <sup>2</sup>
thorough and easy-to-understand description in ISR, WO/ISA, and IPER	252	234
proper judgement on novelty/inventive step	254	243
proper search scope /search results	154	150

<sup>1</sup> 384 responses were valid. When multiple responses were given, each response was counted.

<sup>2</sup> 363 responses were valid. When multiple responses were given, each response was counted.



**(iii) Reasons for the Negative Responses Given to the Questions Asking the Level of Satisfaction on the International Search and International Preliminary Examination on the Specific PCT Applications Used in the Survey**

Table 17 shows the aggregated results of the negative responses (“1: Unsatisfied” or “2: Somewhat Unsatisfied” based on a 5-point scale) to the questions asking the level of satisfaction on the international search and international preliminary examination on the specific PCT applications used in the Survey, for each phase of the international Search and the international Preliminary Examination.

The major reason for the negative responses was “judgement on lack of novelty/inventive step” in the international phase (ISRs or WO/ISAs).

**Table 17: Breakdown of the reasons for the negative responses given to the questions asking the levels of satisfaction on the international search and international preliminary examination on specific PCT applications**

reasons for negative responses	number of response [*1]	
	ISRs, WO/ISAs	IPERs
thorough and easy-to-understand description in ISRs / IPERs	11	0
excessive number of cited documents	7	1
judgement on lack of novelty/inventive step	65	1
judgement on descriptive requirements	1	0
judgement regarding violation of requirements for unity	1	0
consistency of judgements among examiners	4	0
search scope/search results	8	0
others	5	0

[\*1] 76 responses were valid. When multiple checks were given to a single response, each check was counted.

### 3. Detailed Analysis on the Responses

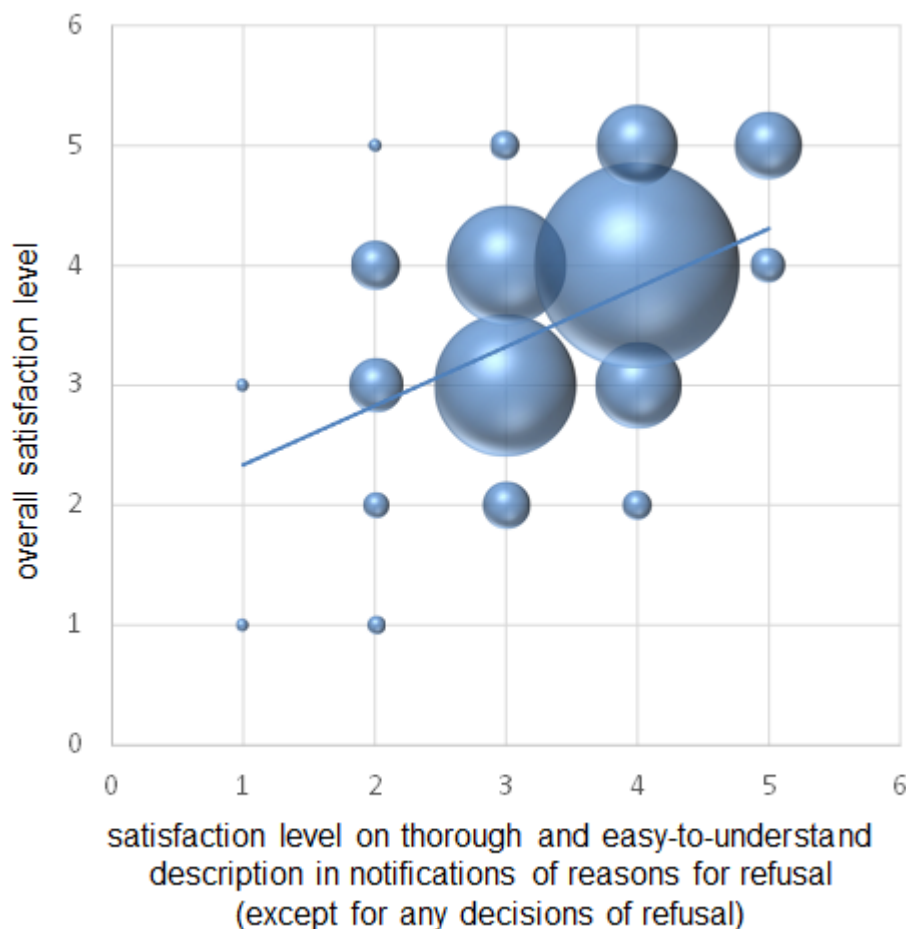
#### (1) Analysis on the Correlation between the Level of satisfaction on Each Evaluation Item and the Overall Level of satisfaction on Quality

##### (i) Details of the Analysis

An analysis was conducted on how the level of satisfaction on each evaluation item, such as “thorough and easy-to-understand description in notifications of reasons for refusal, (except for any decisions of refusal)” affected the overall level of satisfaction on quality. This was done to identify the items that had a high priority for improving the level of satisfaction on patent examination.

The degree of effect can be analyzed through the correlation coefficients between the level of satisfaction on the overall quality (based on a 5-point scale for the overall quality of patent examination) and the level of satisfaction on each item (based on a 5-point scale for each evaluation item), as it is common in general customer satisfaction surveys.

Figure 24 shows the correlation between the level of satisfaction on “through and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal)” and the overall level of satisfaction, in which the diameter of the circle represents the number of responses and the solid line represents a regressing line.



**Figure 24:** Correlation between the level of satisfaction on each evaluation item and the overall level of satisfaction

**(ii) Analysis on how the Level of satisfaction on Each Evaluation Item Affects the Overall Level of satisfaction on Examination Quality (National Applications)**

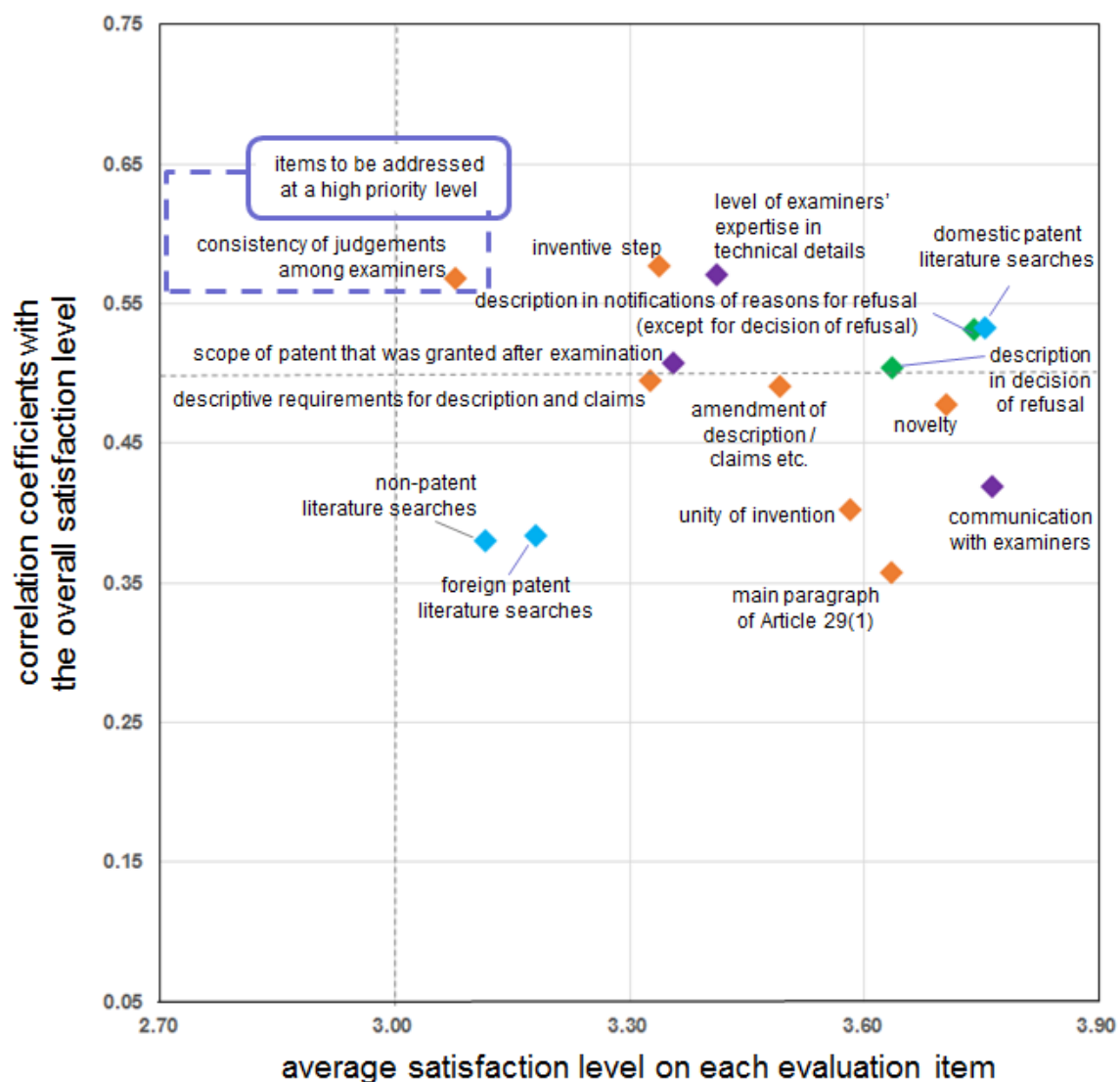
Analysis in this section shows how the level of satisfaction on each evaluation item, such as “thorough and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal), affects the overall level of satisfaction on quality. The degree of effect can be analyzed by using the correlation coefficients between the overall level of satisfaction (evaluated by using a 5-point scale on the overall quality of patent examination between “5: Satisfied” and “1: Unsatisfied”) and the level of satisfaction on each evaluation item (evaluated by using a 5-point scale on each evaluation item between “5: Satisfied” and “1: Unsatisfied”).

Figure 25<sup>1</sup> shows the relationship between the average levels of satisfaction on each evaluation item and the correlation coefficients in terms of the overall level of satisfaction on national applications. As seen in this figure, the best approach would be to firstly improve evaluation items which received low levels of satisfaction, in spite of high correlation coefficients with the overall level of satisfaction (i.e., the items seen on the upper left in the figure).

The average level of satisfaction on “consistency of judgements among examiners” is relatively low, and the correlation coefficient with the overall level of satisfaction of the item is relatively high, compared to the other evaluation items. Accordingly, the appropriate action would be to give a high priority for improving these items. Although the correlation coefficients with the overall level of satisfaction of the evaluation items “foreign patent literature searches” and “non-patent literature searches” are not so high, the average levels of satisfaction of these items are relatively low compared to the other items.

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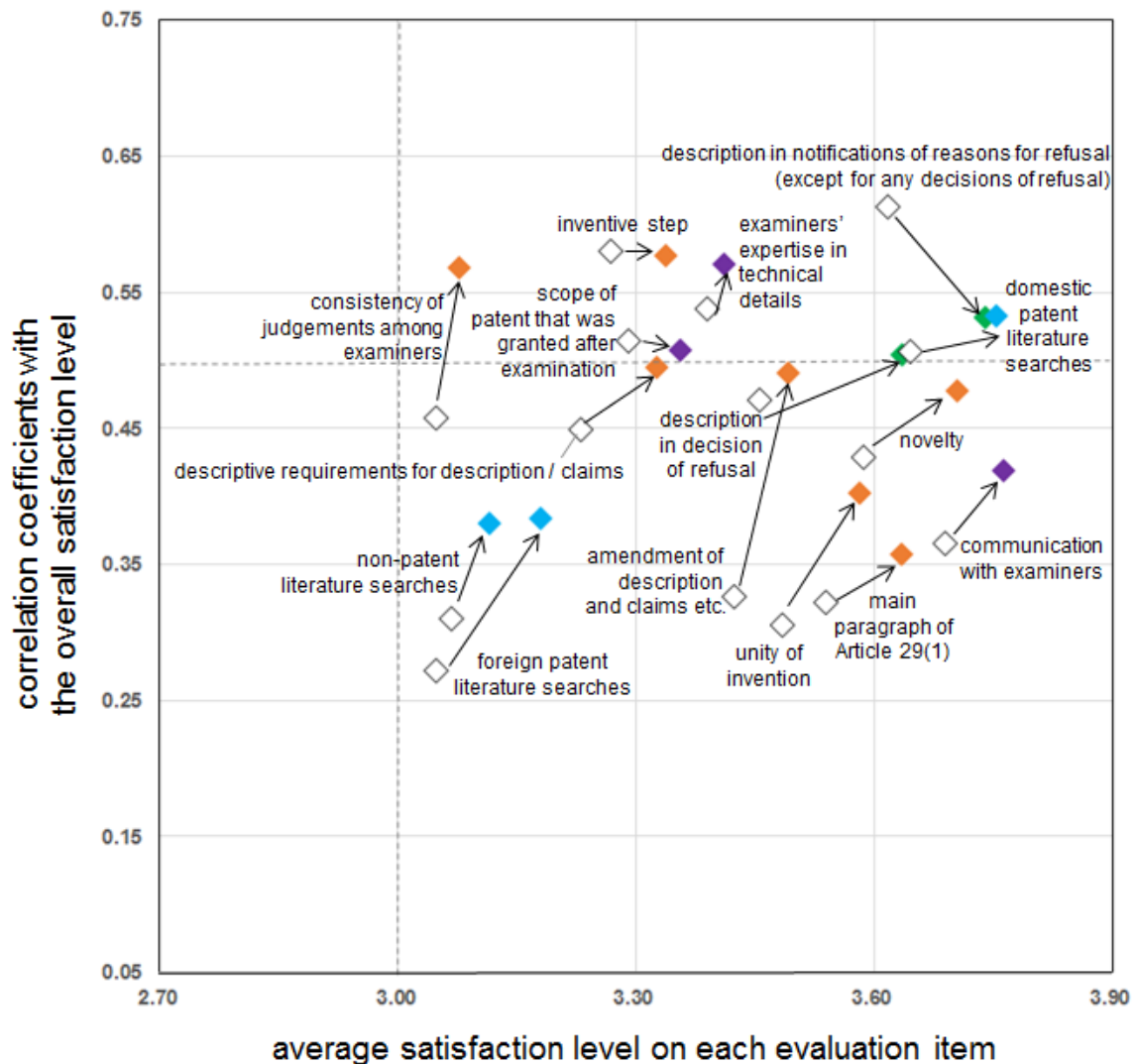
<sup>1</sup> In this Figure, the plots are colored in accordance with the types of evaluation item as follows: light blue: searches, orange: judgements, green: descriptions in notifications, and purple: others.



**Figure 25: Average level of satisfaction on each evaluation item and the correlation coefficients with the overall level of satisfaction (national applications)<sup>1</sup>**

<sup>1</sup> In this Figure, the plots are colored according to the types of evaluation item, i.e., light blue: searches, orange: judgement, green: description in notifications, and purple: others.

Figure 26 shows the year-over-year change in the average level of satisfaction on each evaluation item and the correlation coefficients with the overall level of satisfaction, in which arrows show the degree of change compared to those in the last FY. The correlation coefficients with the overall level of satisfaction increased more significantly in “consistency of judgements among examiners,” “foreign patent literature searches,” “non-patent literature searches,” “amendment of description and claims etc.,” and “unity of invention” compared to the other evaluation items.



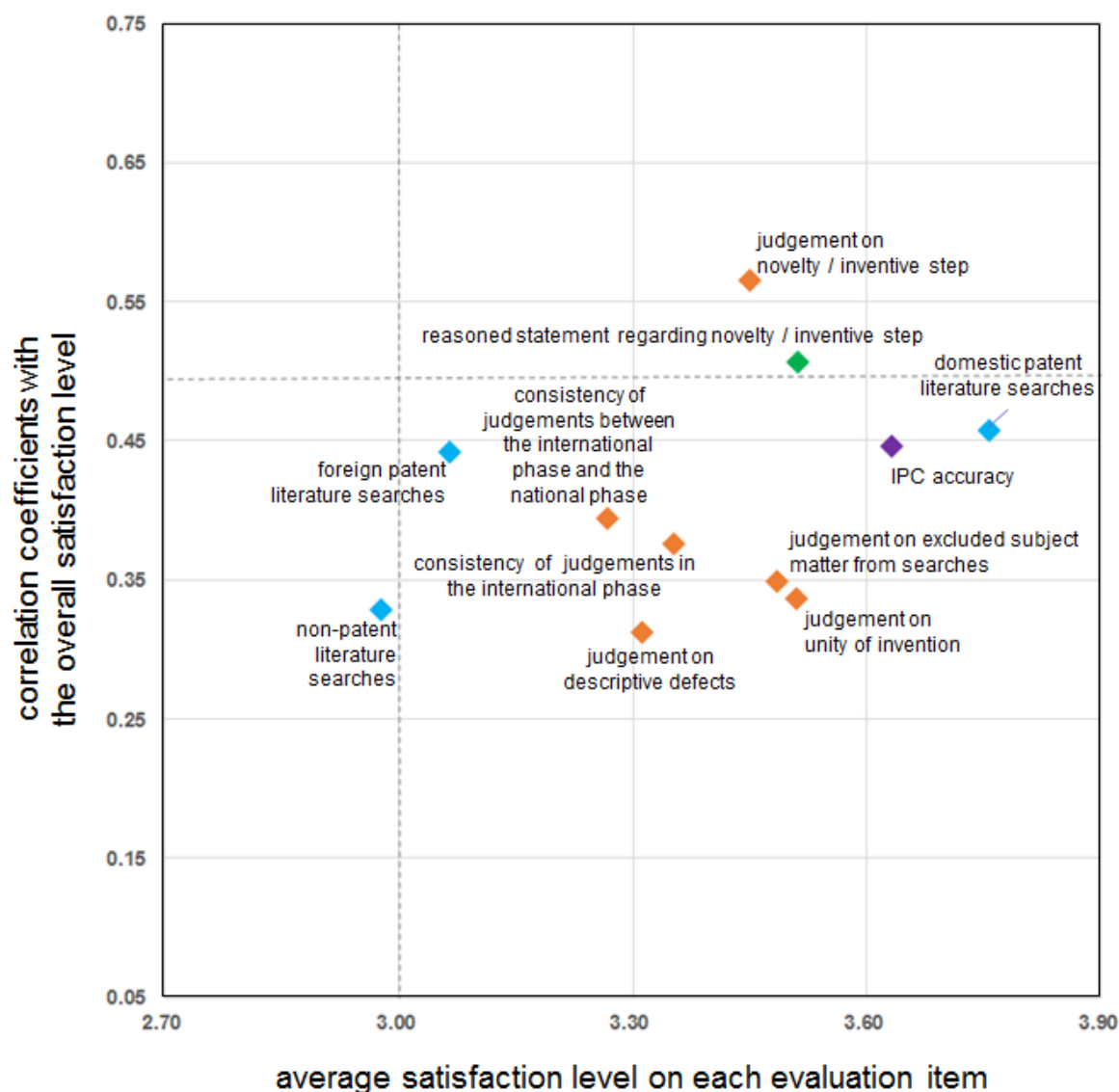
**Figure 26: Year-over-year change of the average level of satisfaction on each evaluation item and the correlation coefficients with the overall level of satisfaction (national applications)<sup>1</sup>**

<sup>1</sup> In this Figure, the plots are colored in accordance with the types of evaluation item, i.e., light blue: searches, orange: judgements, green: descriptions in notifications, and purple: others.

### **(iii) Analysis on how the Level of Satisfaction on Each Evaluation Item Affects the Overall Levels of Satisfaction on Examination Quality (PCT Applications)**

An analysis was conducted on how the levels of satisfaction on each evaluation item, such as “IPC accuracy” affected the overall levels of satisfaction on examination quality, for Questionnaire Sheet C asking the respondents about their levels of satisfaction on the overall quality of the international search and international preliminary examination on PCT applications. The degree of the effects can be determined by analyzing the correlation coefficients between the overall levels of satisfaction on international search and international preliminary examination, and the level of satisfaction on each evaluation item (both based on a 5-point scale evaluation between 5: Satisfied and 1: Unsatisfied).

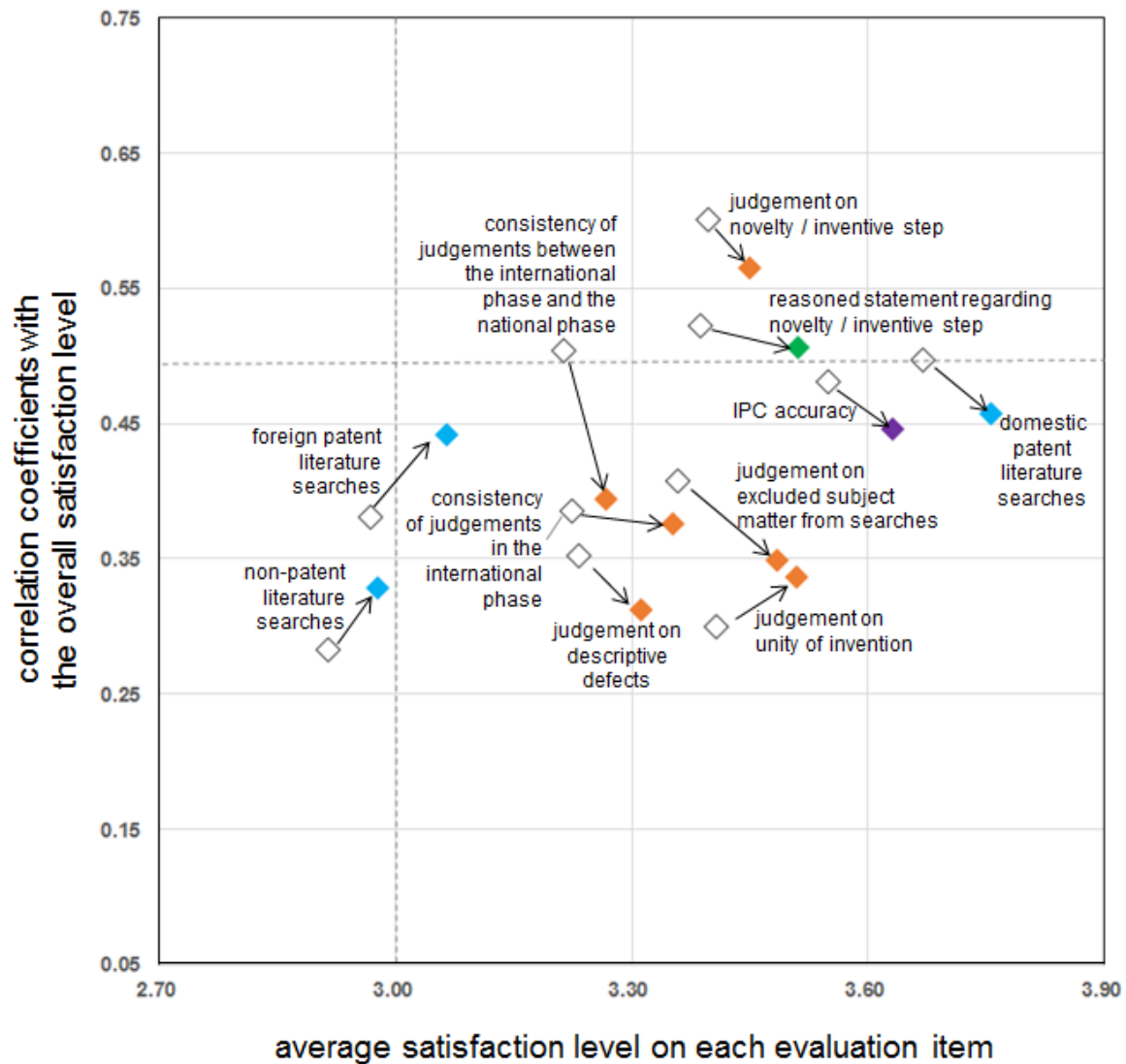
Figure 27 shows the average level of satisfaction on each evaluation item and the correlation coefficients with the overall levels of satisfaction on PCT applications. The average levels of satisfaction on “foreign patent literature searches” and “non-patent literature searches” were relatively low compared to the other items.



**Figure 27:** Average level of satisfaction on each evaluation item and the correlation coefficients with the overall level of satisfaction (PCT applications)<sup>1</sup>

<sup>1</sup> In this Figure, the plots are colored in accordance with the types of evaluation item, i.e., light blue: searches, orange: judgements, green: descriptions in notifications, and purple: others.

Figure 28 shows the year-over-year change in the average level of satisfaction on each evaluation item and the correlation coefficients with the overall level of satisfaction, in which arrows show the degree of change compared to those in the last FY. The correlation coefficients with the overall level of satisfaction increased in “foreign patent literature searches” and “non-patent literature searches”, compared to those in the last FY, which means a greater influence on the overall level of satisfaction on the overall quality.



**Figure 28:** Year-over-year change of the average level of satisfaction on each evaluation item and the correlation coefficients with the overall level of satisfaction (PCT applications)<sup>1</sup>

<sup>1</sup> In this Figure, the plots are colored in accordance with the types of evaluation item, i.e., light blue: searches, orange: judgements, green: descriptions in notifications, and purple: others.



## **(2) Analysis on what the Respondents Gave the Negative Responses on Specific Applications**

In addition to the comments on or requests in regard to the specific applications used in the Survey, the respondents found some issue or problem in patent examination procedures or quality and gave comments on or requests in regard to specific applications through the free description columns in Questionnaire Sheets. The comments written in the free description columns included 121 national applications. Analysis was conducted on the negative responses in Sheets B and D as well as the negative comments on patent examination quality related to these specific applications that had been indicated by the respondents.

### **(i) Details of Analysis**

As stated above, a detailed analysis on dissatisfaction was conducted based on issues and problems the respondents wrote in the free description columns, describing dissatisfaction with patent examination procedures or quality, and on the applications to which the negative responses had been given by the respondents in Questionnaire Sheets on the specific applications used in the Survey. There were 375 applications broken down to 121 national applications written in the free description columns, 178 national applications, and 76 PCT applications used in the Survey.

In this analysis, what had been indicated by the respondents was sorted into the aspects #01-#21<sup>1</sup> shown in Figure 29.

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<sup>1</sup> Until FY2015, there were 57 aspects for sorting the responses given in the free description columns on the Survey. In the Survey in FY2016, Sheets B and D were revised, with some aspects combined or deleted. Accordingly, for the sake of comparison, the number of aspects mentioned in the Survey until FY2015 was integrated into the corresponding aspects used in FY2016 and FY2017.

**•aspects related to novelty/inventive step**

- #01 identification of cited document(s)
- #02 judgement of identical features/differences
- #03 judgement of combination/motivation
- #04 judgement regarding dependent claim(s)
- #05 others

**•aspects related to descriptive requirements**

- #06 judgement regarding support requirements
- #07 judgement regarding enablement requirements
- #08 judgement regarding clarity requirements
- #09 judgement regarding product-by-process (PBP) claims
- #10 others

**•aspects related to consistency of judgements**

- #11 difference in judgements in the same technical field
- #12 difference in judgements among different technical fields
- #13 difference in judgements between the examination division and the appeals and trials
- #14 difference from the judgements at the office(s) other than the JPO
- #15 other

**•aspects related to searches**

- #16 foreign patent literature searches
- #17 non-patent literature searches
- #18 domestic patent literature searches
- #19 difference from the search results at the office(s) other than the JPO
- #20 others

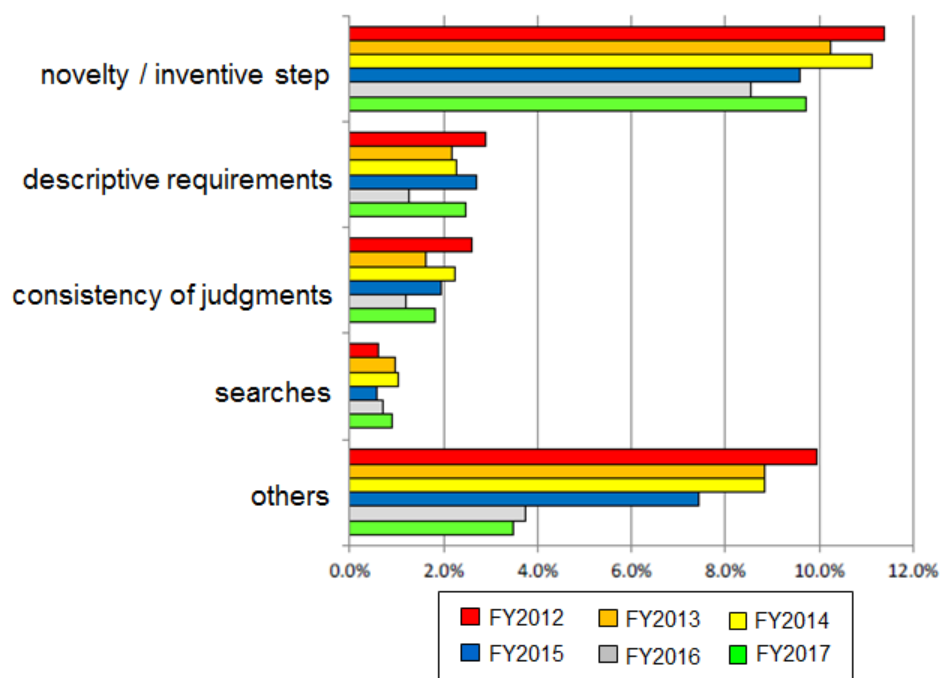
**•others**

- #21

**Figure 29: Aspects sorted, to which the respondents gave negative responses**

## (ii) Overall Trends in Negative Responses

Figure 30 shows a breakdown of the aspects (i.e., novelty/inventive step, descriptive requirements, consistency of judgements, and searches) on which the respondents ticked checks or wrote comments in Questionnaire Sheets about the specific applications used in the Survey. Respondents also wrote in the free description columns in the Questionnaire Sheets when they found any issues or problems that need to be addressed in patent examination procedures or quality. As seen in this figure, the major reasons for the negative responses are in regard to novelty/inventive step.

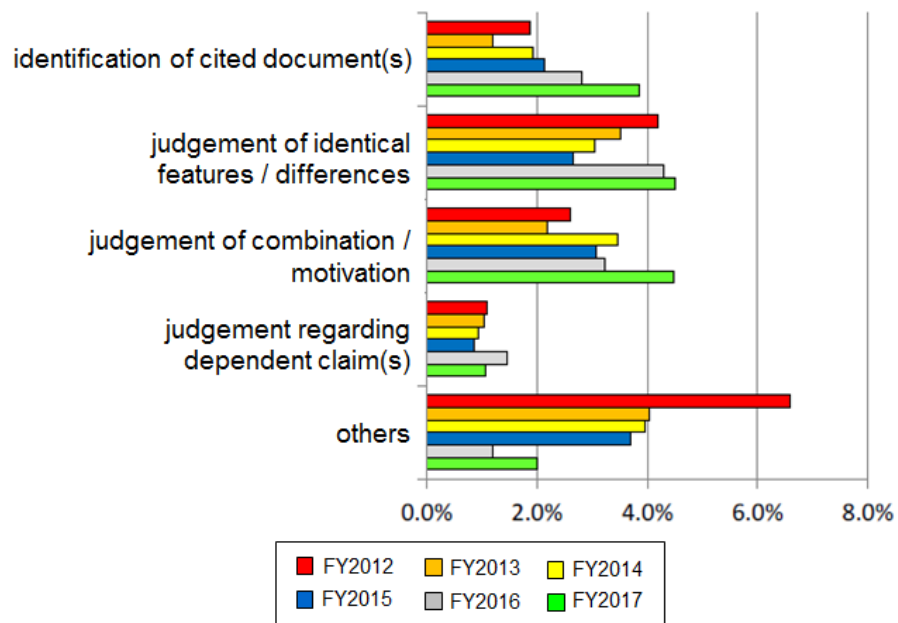


**Figure 30:** Year-over-year change in breakdown of the aspects to which the respondents gave the negative responses

### (iii) Reasons for the Negative Responses given to Judgement on Lack of Novelty/Inventive Step

Figure 31 shows a further detailed breakdown of Figure 30, as to the reasons for the negative responses given to judgement on lack of novelty/inventive step.

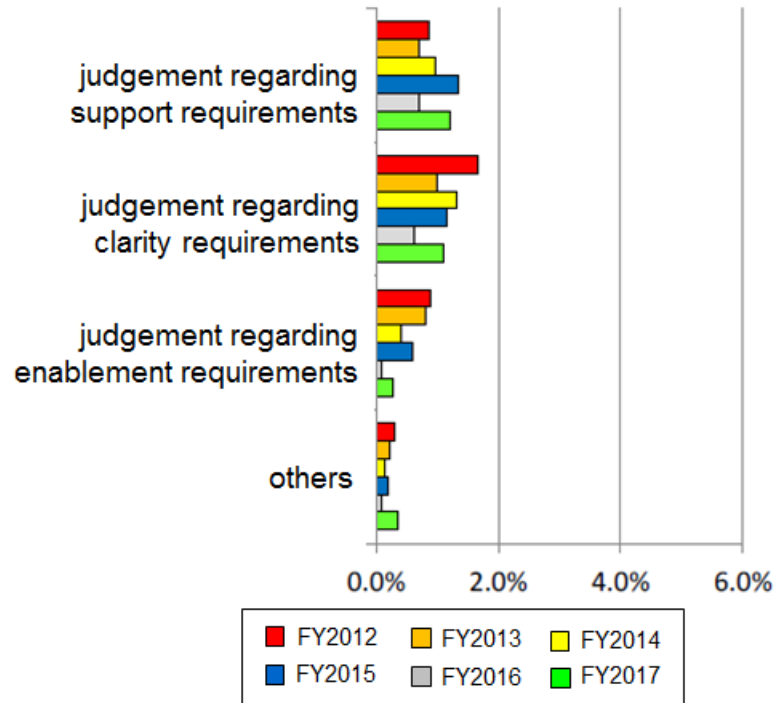
In the aspects related to novelty/inventive step, the major reasons given for the negative responses were “identification of cited document(s),” “judgement of identical features/differences,” and “judgement of combination/motivation.”



**Figure 31:** Breakdown of the reasons for the negative responses to judgement on lack of novelty/inventive step

**(iv) Reasons for the Negative Responses Given to Judgement on Lack of Descriptive Requirements**

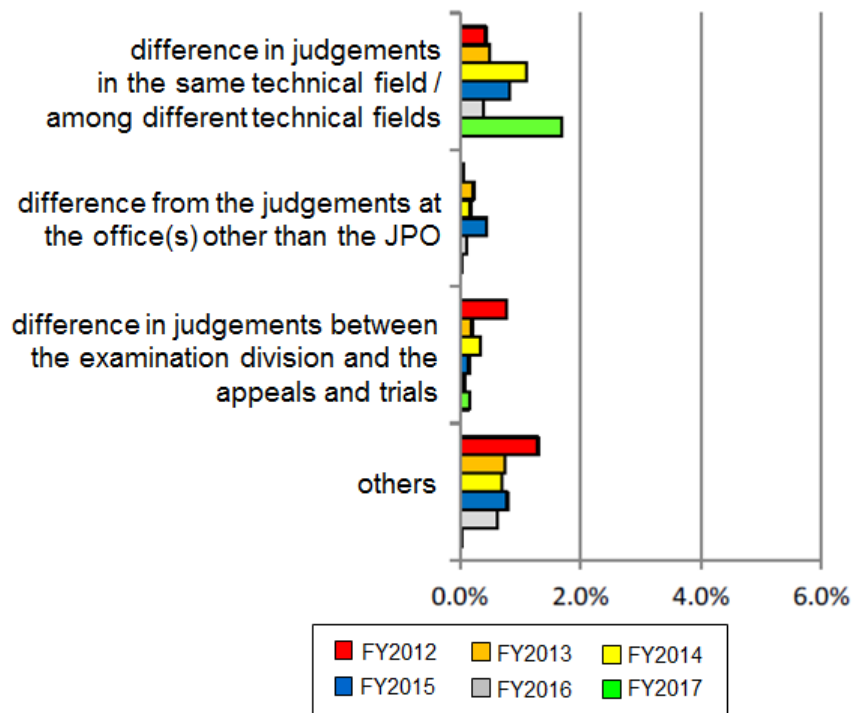
Figure 32 shows a further detailed breakdown of Figure 30, as to the reasons for the negative responses given to judgement on lack of descriptive requirements (Article 36).



**Figure 32: Breakdown of the reasons for the negative responses given to judgement on lack of descriptive requirements**

**(v) Reasons for the Negative Responses Given to Consistency of Judgements among Examiners**

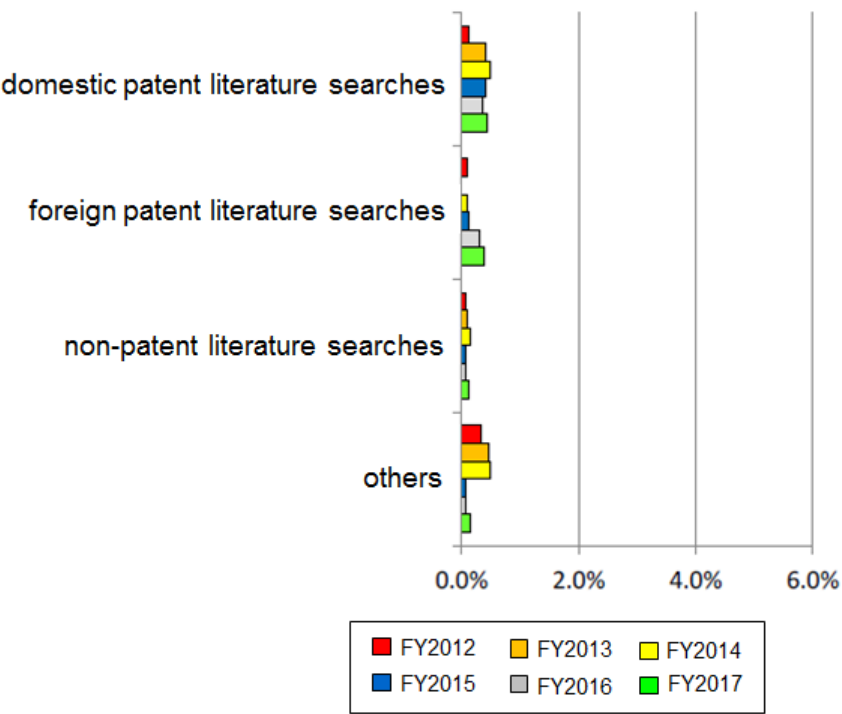
Figure 33 shows a further detailed breakdown of Figure 30, as to the reasons for the negative responses given to consistency of judgements among examiners. In this FY, the major reason for the negative responses was the difference in judgements in the same technical field / among different technical fields.



**Figure 33: Breakdown of the reasons for the negative responses given to consistency of judgements among examiners**

**(vi) Reasons for the Negative Responses Given to Searches**

Figure 34 shows a further detailed breakdown of Figure 30, as to the reasons for the negative responses given to searches.



**Figure 34: Breakdown of the reasons for the negative responses given to searches**

#### **4. Main Points of the Analysis Results of the Survey in FY2017**

The percentage of positive responses, namely “Satisfied” or “Somewhat Satisfied”, on the overall quality of patent examination on national applications (Sheet A) has been increasing year by year, ever since the first Survey was conducted in 2012. The overall level of satisfaction was 58.3% in FY2017.

The level of satisfaction on each evaluation item such as “thorough and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal).” generally improved. The levels of satisfaction were significantly high. They exceeded 60% on “thorough and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal)” (67.2%), “domestic patent literature searches” (65.7%), and “communication with examiners such as face-to-face interviews and telephone conversations” (62.1%). In particular, the percentage of “Satisfied” or “Somewhat Satisfied” on “thorough and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal)” has improved by more than 30%, compared to that in FY2012 when the first Survey was conducted. Although more than 20% of the respondents were still “Unsatisfied” or “Somewhat Unsatisfied” with “consistency of judgements among examiners”, the percentage of “Satisfied” or “Somewhat Satisfied” shows a stable improvement (see page 8 - 20).

Also on the overall quality of the international search and international preliminary examination on PCT Applications (Sheet C), the percentage of positive responses, namely “Satisfied” or “Somewhat Satisfied”, has been increasing year by year and, in this FY, exceeded 50% (54.2%) for the first time since the first Survey was conducted.

Generally, the level of satisfaction on each evaluation item (such as “IPC accuracy”) improved on the international search and international preliminary examination on PCT applications. In particular, the percentage of “Satisfied” or “Somewhat Satisfied” exceeded 50% on the three evaluation items “domestic patent literature searches” (65.5%), “IPC accuracy” (53.3%), and “reasoned statement regarding novelty/inventive step” (51.2%). Although the percentage of negative responses on “foreign patent literature searches” did not show a significant change, the percentage of positive responses improved to 26.1% compared to 15.9% in the last FY (see page 21- 29).

These results show that the measures and initiatives that JPO is conducting to improve examination quality are definitely raising user satisfaction.

According to the analysis on the applications that seemed to involve the issues or problems to be addressed in patent examination procedures or quality based on the responses to Sheets B and D (related to the specific applications used in the Survey) and the specific applications that have been indicated through the free description columns in Questionnaire Sheets, a greater number of checks or comments were given by the respondents on the aspects related to novelty/inventive step. Also, on the “difference in judgements in the same technical field” and the “difference in judgements



among different technical fields”, the percentages of “Unsatisfied” or “Somewhat Unsatisfied” were relatively high compared to those for other items, and in fact even increased in this FY. According to responses given in Sheet A about the level of satisfaction on examination on national applications, the relatively low level of satisfaction on consistency of judgements, corresponded to the increasing percentage of “Unsatisfied” or “Somewhat Unsatisfied” responses in Sheets B and D (see page 45 - 51).

In addition to the current measures and initiatives to improve the quality of examination practices, the JPO has to identify issues or problems to be addressed based on comprehensively analyzing how the level of satisfaction on one evaluation item affects the level of satisfaction overall (see page 38 - 44). In addition, the JPO needs to conduct other analyses as well. In particular, the JPO has to address the issues or problems with consistency of judgements, which were identified through the Survey in this FY.

The JPO will continue to conduct the Survey and announce to users the improvements it has made to issues that have been found out by conducting the Survey. Furthermore, the JPO will advise users about its quality management system and the current state of the system on our website and through other media.

## **5. Future of the User Satisfaction Survey**

The pool of users chosen to take the survey, and the corresponding number of respondents, has been basically the same since the first Survey was conducted in FY2012. In this year’s Survey, 725 users responded. Every year, approximately 90% of the pool of users respond to the survey. This shows that users understand the purpose of the Survey and have a keen interest in it.

In the FY 2017 Survey, in order to identify users’ satisfaction on prior art searches at the JPO in comparison to the search results at the other Offices, the JPO added a question asking how often Offices present new, proper, cited documents.

Going forward, the JPO will continue to conduct the Surveys basically along the same lines and scope, working to grasp users’ needs and improve strategies so that users will be able to better evaluate quality. The JPO will continue to improve the Survey by considering the timing for conducting the Survey, as well as give serious thought to operational strategies, methods for selecting applications used in the Surveys, survey questions, and the layouts of the questionnaire sheets.

The JPO established the Subcommittee on Examination Quality Management under the Intellectual Property Committee of the Industrial Structure Council, which discusses the system and implementation status of the JPO’s initiatives for examination quality management, and the results of the Survey are used for the discussion.

**Acknowledgment**

The JPO expresses our gratitude to all the respondents for their generous time in taking the Survey. In order to maintain and improve the quality of patent examination, the JPO will continue to conduct user-satisfaction surveys, and based on the results, improve the quality of patent examination and operating procedures. The JPO appreciates your continuous support.

## APPENDIX: Questionnaire Sheets

【A票】 国内出願における特許審査の質全般について						
<p>* 記名または無記名のいずれの回答を希望するかご回答ください。</p> <p>○ 記名で回答する</p> <p>○ 無記名で回答する</p> <p>* 無記名での回答は、メールアドレス等により回答者が特定される場合であっても、無記名でいただいた回答として集計いたします。</p>						
お名前			ご連絡先 (TEL)			
<p>* ご回答者のお名前、ご連絡先をご記入の上（記名でのご回答を希望された場合のみ）、 下記【1】～【2】の問いに<b>最近（1年程度）のご経験に基づいて</b>お答えください。</p> <p>* なお、ご回答いただいた内容につき、頂いた連絡先に確認の連絡をさせていただくことがございます。</p>						
【1】特許審査の質一般について						
	満足	比較的満足	普通	比較的不満	不満	
	5	4	3	2	1	
①最近(1年程度)の特許審査の質全般についてどのように感じていますか。	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
②最近（1年程度）の特許審査の質に関し、 各項目1～11の評価についてお答えください。	満足	比較的満足	普通	比較的不満	不満	わからない／ 経験がない
	5	4	3	2	1	
1. 拒絶理由通知等（拒絶査定を除く）の記載のわかりやすさ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. 拒絶査定の記載のわかりやすさ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. 条文の運用に関して						
3-1. 第29条1項柱書 （産業上の利用可能性、「発明」に該当するか否かの判断）	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3-2. 第29条1項各号（新規性）	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3-3. 第29条2項（進歩性）	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3-4. 第36条4項1号、第36条6項 （明細書・特許請求の範囲の記載要件）	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3-5. 第37条（発明の単一性）	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3-6. 第17条の2第3項～6項 （明細書、特許請求の範囲等の補正）	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. 判断の均質性について	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. サーチに関して						
5-1. 国内特許文献の調査	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5-2. 外国特許文献の調査	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5-3. 非特許文献等の調査	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6. 審査官の技術等に関する専門知識レベル	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7. 面接、電話等における審査官とのコミュニケーション	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8. 審査を通して付与された特許の権利範囲について （出願の開示や先行技術との対比において、十全な権利範囲となっているか）	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

<input type="checkbox"/> 先行技術文献調査	<input type="checkbox"/> 他国の特許庁で審査を受けた経験がない／わからない
<input type="checkbox"/> 拒絶理由通知等の記載のわかりやすさ	<input type="checkbox"/> 特に感じる点はない
<input type="checkbox"/> 新規性・進歩性等の判断	
<input type="checkbox"/> 審査官の技術理解力	
<input type="checkbox"/> 電話、面接等における審査官とのコミュニケーション	
<input type="checkbox"/> その他（下記記入欄にご記入ください）	

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<input type="checkbox"/> 米国特許商標庁（USPTO）	<input type="checkbox"/> 他国の特許庁で審査を受けた経験がない／わからない
<input type="checkbox"/> 欧州特許庁（EPO）	<input type="checkbox"/> 特に感じる点はない
<input type="checkbox"/> 中国国家知識産権局（SIPO）	
<input type="checkbox"/> 韓国特許庁（KIPO）	
<input type="checkbox"/> その他（国名も記入欄に記載してください）	

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より適切な引用文献が ほとんど提示されない	より適切な引用文献が ときどき提示される	より適切な引用文献が よく提示される	わからない／ 経験がない
1	2	3	4

	米国特許商標庁 (USPTO)	欧州特許庁 (EPO)	中国国家知識産権局 (SIPO)	韓国特許庁 (KIPO)	上記以外の主要な出願先国・地域
① 米国特許商標庁 (USPTO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
② 欧州特許庁 (EPO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
③ 中国国家知識産権局 (SIPO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
④ 韓国特許庁 (KIPO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
⑤ 上記以外の主要な出願先国・地域	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

その他、特許審査の質に関し、ご意見・ご要望がございましたら下記の記入欄に記入してください。  
（上記 1～8 の項目で、「1：不満」又は「2：比較的不満」をご回答になった理由や、1～11 の項目に関する追加のご意見・ご要望がございましたら、当欄に併せて記入してください）

## 【2】その他

その他、ご意見・ご要望がございましたら下記の記入欄に記入してください。

(自己や他者の個別案件に関するご意見や、本調査の様式等の本調査の手続き等に関するご意見等をご記入ください  
なお、個別案件についてのご意見を記入する場合には、担当審査官へのフィードバック可否についても併せてご記入ください)

(記入欄)

## 【B票】 特定の国内出願における特許審査の質について

\* 出願番号

(発明の名称)



・上記出願の審査に対する評価に関し、下記【1】、【2】についてご回答ください。

【1】担当審査官にも具体的な課題を把握させて、審査の質を向上させるため、回答内容を担当審査官にフィードバックさせていただきます。

☐ 担当審査官へのフィードバック不可

【2】本件特許出願の特許審査の質についてどのように感じていますか。

満足	比較的満足	普通	比較的不満	不満
5	4	3	2	1
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

上記【2】にて「5」または「4」にチェックをされた場合、

満足した点を以下の項目から選択してください。また、具体的な理由を下記の記入欄に記入してください(複数可、任意)。

- ☐ 拒絶理由通知／拒絶査定の記事のわかりやすさの点
- ☐ 新規性・進歩性に関する判断が適切である点
- ☐ サーチ範囲・サーチ結果が適切である点
- ☐ 面接、電話等における審査官とのコミュニケーションの点
- ☐ その他 (具体的な内容を下記記入欄に記入してください)

(自由記入欄)

上記【2】にて「2」または「1」にチェックをされた場合、

- 具体的にどの手続きに不満があったのかをⅠ欄に記載の手続きから選択してチェックし(複数可)、
- チェックした各手続きのどの点に不満があったのかを以下のA～Iから選択してⅡ欄にチェックしてください(複数可)。

Ⅰ 欄	
<input type="checkbox"/>	最初の拒絶理由通知
<input type="checkbox"/>	最後の拒絶理由通知
<input type="checkbox"/>	特許査定
<input type="checkbox"/>	拒絶査定

Ⅱ 欄								
A	B	C	D	E	F	G	H	I
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

A : 拒絶理由通知／拒絶査定の記事のわかりやすさの点

B : 引用文献が必要以上に多く提示されている点

C : 新規性・進歩性を欠いている理由についての判断の点

D : 記載要件(第36条4項1号、第36条6項)を満たしていないとする理由についての判断の点

E : 単一性違反(第37条)に関する判断の点

F : 判断の均質性の点

G : サーチ範囲・サーチ結果の点

H : 面接、電話等における審査官とのコミュニケーションの点

I : その他

⇒ 3 - 1. にもご回答ください

⇒ 3 - 2. にもご回答ください

⇒ 3 - 3. にもご回答ください

⇒ 3 - 4. にもご回答ください

3. 上記2. でチェックした具体的理由について、下記3-1. ～3-5. にご回答ください。

3-1. 上記2. でC（新規性・進歩性）をチェックした場合には、その不満の内容を以下から選択してください。

- |  |   |
|--|---|
| <input type="checkbox"/> 参考文献の認定         | <input type="checkbox"/> 一致点・相違点についての判断 |
| <input type="checkbox"/> 組合せ・動機づけについての判断 | <input type="checkbox"/> 下位請求項に対する判断    |
| <input type="checkbox"/> その他             |   |

（自由記入欄）差し支えがなければ、不満と思われる具体的内容をご記入ください。

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3-2. 上記2. でD（記載要件）をチェックした場合には、その不満の内容を以下から選択してください。

- |                                       |  |
|---------------------------------------|--|
| <input type="checkbox"/> サポート要件に関する判断 | <input type="checkbox"/> 実施可能要件に関する判断                    |
| <input type="checkbox"/> 明確性要件に関する判断  | <input type="checkbox"/> プロダクト・バイ・プロセスクレーム（P B P）に関する判断* |
| <input type="checkbox"/> その他          |  |

\* 上記チェックボックス欄にチェックする場合には、「明確性要件に関する判断」のチェックボックス欄には、チェックしないでください。

（自由記入欄）差し支えがなければ、不満と思われる具体的内容をご記入ください。

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3-3. 上記2. でF（判断の均質性）をチェックした場合には、その不満の内容を以下から選択してください。

- |   |   |
|---|---|
| <input type="checkbox"/> 同一技術分野内での判断の相違 | <input type="checkbox"/> 異なる技術分野間での判断の相違                      |
| <input type="checkbox"/> 審査・審判間の判断の相違   | <input type="checkbox"/> 他国特許庁との相違（国名： <input type="text"/> ） |
| <input type="checkbox"/> その他            |   |

（自由記入欄）差し支えがなければ、不満と思われる具体的内容をご記入ください。

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3-4. 上記2. でG（サーチ）をチェックした場合には、その不満の内容を以下から選択してください。

- |                                    |  |
|------------------------------------|--|
| <input type="checkbox"/> 外国特許文献の調査 | <input type="checkbox"/> 非特許文献の調査                                  |
| <input type="checkbox"/> 国内特許文献の調査 | <input type="checkbox"/> 他国特許庁の調査結果との違い（国名： <input type="text"/> ） |
| <input type="checkbox"/> その他       |  |

（自由記入欄）差し支えがなければ、不満と思われる具体的内容をご記入ください。

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3-5. その他、追加のご意見・ご要望等がございましたら併せてご記入ください。

他の個別案件についてのご意見でも構いません。

（なお、他の個別案件についてのご意見を記入する場合には、担当審査官へのフィードバック可否についても併せてご記入ください）

（自由記入欄）

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## 【C票】 P C T 出願における国際調査等の質全般について

\* 記名または無記名のいずれの回答を希望するかご回答ください。

- ☐ 記名で回答する  
☐ 無記名で回答する

\* 無記名での回答は、メールアドレス等により回答者が特定される場合であっても、無記名でいただいた回答として集計いたします。

お名前

ご連絡先 (Tel)

\* ご回答者のお名前、ご連絡先をご記入の上（記名でのご回答を希望された場合のみ）、  
 下記【1】～【2】の問いに**最近（1年程度）のご経験に基づいて**お答えください。

\* なお、ご回答いただいた内容につき、頂いた連絡先に確認の連絡をさせていただくことがございます。

### 【1】国際調査等（国際調査報告（様式210）・見解書（様式237）・予備審査（様式409））の質一般について

	満足 5	比較的満足 4	普通 3	比較的不満 2	不満 1	
①最近（1年程度）の国際調査等の質全般についてどのように感じていますか。	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
②最近（1年程度）の国際調査等の質に関し、 各項目1～10の評価についてお答えください。	満足 5	比較的満足 4	普通 3	比較的不満 2	不満 1	わからない／ 経験がない
1. 国際特許分類の精度	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. 除外対象*に関する判断 * 数学の理論や事業活動、情報の単なる提示などにより調査の除外となったもの	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. 単一性違反に関する判断	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. 新規性・進歩性に関する判断	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. 新規性・進歩性に関する見解の記載のわかりやすさ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6. 記載不備等に関する判断	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7. 国際調査等における判断の均質性について	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8. 国際段階と国内段階との間での判断の一貫性について (日本国特許庁が行った国際調査等での判断と、日本国への国内移行後の判断との間で一貫性があるか)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
9. サーチに関して						
9-1. 国内特許文献の調査	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
9-2. 外国特許文献の調査	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
9-3. 非特許文献等の調査	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



10. 日本国特許庁を国際調査機関として指定し、国際調査機関としての見解を得てから各国の国内段階に移行したときに、他の国／地域の特許庁でより適切な引用文献が新たに提示される頻度について、どのように感じていますか。

	より適切な引用文献が ほとんど提示されない	より適切な引用文献が ときどき提示される	より適切な引用文献が よく提示される	わからない／ 経験がない
① 米国特許商標庁 (USPTO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
② 欧州特許庁 (EPO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
③ 中国国家知識産権局 (SIPO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
④ 韓国特許庁 (KIPO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
⑤ 上記以外の主要な出願先国・地域	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

(国／地域名： )

その他、特許審査の質に関し、ご意見・ご要望がございましたら下記の記入欄に記入してください。  
(上記1～9の項目で、「1：不満」又は「2：比較的不満」をご回答になった理由や、1～10の項目に関する追加のご意見・ご要望がありましたら、当欄に併せて記入してください)

## 【2】その他

その他、ご意見・ご要望がございましたら下記の記入欄に記入してください。

(自己や他者の個別案件に関するご意見、他国の国内段階での審査・調査結果に基づくご意見、本調査票の様式等の本調査の  
手続きに関するご意見等をご記入ください)

なお、個別案件についてのご意見をご記入いただく場合には、担当審査官へのフィードバック可否についても併せてご記入ください)

(記入欄)

# 【D票】 特定のPCT出願における国際調査等の質について

\* 国際出願番号

(発明の名称)



・上記出願の国際調査等（国際調査報告(様式210)・見解書(様式237)・予備審査(様式409)）に対する評価に関し、下記【1】、【2】についてご回答ください。

【1】担当審査官にも具体的な課題を把握させて、審査の質を向上させるため、回答内容を担当審査官にフィードバックさせていただきます。

☐ 担当審査官へのフィードバック不可

【2】本件PCT出願の国際審査等の質についてどのように感じていますか。

満足	比較的満足	普通	比較的不満	不満
5	4	3	2	1
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

上記【2】にて「5」または「4」にチェックをされた場合、  
満足した点を以下の項目から選択してください。また、具体的な理由を下記の記入欄に記入してください（複数可、任意）。

- ☐ 国際調査報告・見解書等の記載のわかりやすさの点
- ☐ 新規性・進歩性に関する判断が適切である点
- ☐ サーチ範囲・サーチ結果が適切である点
- ☐ その他（具体的な内容を下記記入欄に記入してください）

(自由記入欄)

上記【2】にて「2」または「1」にチェックをされた場合、

1. 具体的にどの手続きに不満があったのかをⅠ欄に記載の手続きから選択してチェックし（複数可）、
2. チェックした各手続きのどの点に不満があったのかを以下のA～Hから選択してⅡ欄にチェックしてください（複数可）。

Ⅰ 欄

- ☐ 国際調査報告（様式210）／見解書（様式237）
- ☐ 予備審査（様式409）

Ⅱ 欄

A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- A：国際調査報告・見解書等の記載のわかりやすさの点
- B：引用文献が必要以上に多く提示されている点
- C：新規性・進歩性を欠いている理由についての判断の点
- D：記載不備等と判断した理由についての判断の点
- E：単一性違反に関する判断の点
- F：判断の均質性の点
- G：サーチ範囲・サーチ結果の点
- H：その他

⇒ 3－1. にもご回答ください

⇒ 3－2. にもご回答ください

⇒ 3－3. にもご回答ください

3. 上記2. でチェックした具体的理由について、下記3-1. ～3-4. にご回答ください。

3-1. 上記2. でC（新規性・進歩性）をチェックした場合には、その不満の内容を以下から選択してください。

- |  |   |
|--|---|
| <input type="checkbox"/> 引用文献の認定         | <input type="checkbox"/> 一致点・相違点についての判断 |
| <input type="checkbox"/> 組合せ・動機づけについての判断 | <input type="checkbox"/> 下位請求項に対する判断    |
| <input type="checkbox"/> その他             |   |

（自由記入欄）差し支えがなければ、不満と思われる具体的内容をご記入ください。

3-2. 上記2. でF（判断の均質性）をチェックした場合には、その不満の内容を以下から選択してください。

- |  |   |
|--|---|
| <input type="checkbox"/> 同一技術分野内での判断の相違        | <input type="checkbox"/> 異なる技術分野間での判断の相違      |
| <input type="checkbox"/> 国際段階と国内段階（日本国特許庁）との相違 | <input type="checkbox"/> 国際段階と国内段階（他国特許庁）との相違 |
| <input type="checkbox"/> 国際段階（日本国特許庁）での相違      | （国名： <input type="text"/> ）                   |
| <input type="checkbox"/> その他                   |   |

（自由記入欄）差し支えがなければ、不満と思われる具体的内容をご記入ください。

3-3. 上記2. でG（サーチ）をチェックした場合には、その不満の内容を以下から選択してください。

- |                                    |  |
|------------------------------------|--|
| <input type="checkbox"/> 外国特許文献の調査 | <input type="checkbox"/> 非特許文献の調査                                  |
| <input type="checkbox"/> 国内特許文献の調査 | <input type="checkbox"/> 他国特許庁の調査結果との違い（国名： <input type="text"/> ） |
| <input type="checkbox"/> その他       |  |

（自由記入欄）差し支えがなければ、不満と思われる具体的内容をご記入ください。

3-4. その他、追加のご意見・ご要望等がございましたら併せてご記入ください。

他の個別案件に対するご意見でも構いません。

（なお、個別案件についてのご意見を記入する場合には、担当審査官へのフィードバック可否についても併せてご記入ください）

（自由記入欄）

## [Sheet A] Overall Quality of Patent Examination on National Applications

When responding to the questionnaire, please indicate by checking the box below if you wish your name to be known to us; or if you wish to remain anonymous, i.e., you don't want your name to be known to us.

- ☐ Wish your name to be known to us.  
☐ Wish to be anonymous.

\*If you choose "Wish to be anonymous," your response will be handled anonymously. However, information such as your e-mail address might disclose your identity, which we will not make note of.

Your Name		E-mail address	
-----------	--	----------------	--

\* If you choose "Wish your name to be known to us," please fill in the spaces above with your name and e-mail address. Please be advised that by providing your name and e-mail address, we may contact you if we have any question about your responses.

\* We would appreciate it if you would kindly answer all the questions in [1] and [2] below, **according to your experience during the last one year or so.**

### [1] Overall Quality of Patent Examination

		Satisfied	Somew hat Satisfied	Neutral	Somew hat Unsatisfied	Unsatisfied	
		5	4	3	2	1	
1)	Are you satisfied with the overall quality of patent examination at the JPO during the last one year or so?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2)	Please evaluate the quality of JPO's patent examination regarding the following aspects 1-11 below.						
		5	4	3	2	1	Not Sure/ Have no experience
1.	thorough and easy-to-understand description in notifications of reasons for refusal (except for any decisions of refusal)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2.	thorough and easy-to-understand description in decision of refusal	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.	proper application of the following legal wordings						
3-1.	the main paragraph of Article 29 (1) (industrial applicability and judgement of whether the subject matter falls under the concept of "invention")	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3-2.	items of Article 29 (1) (novelty)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3-3.	Article 29 (2) (inventive step)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3-4.	Article 36 (4) (i) and Article 36 (6) (descriptive requirements for description and claims)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3-5.	Article 37 (unity of invention)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3-6.	Article 17-2 (3) through Article 17-2 (6) (amendment of description and claims etc.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4.	consistency of judgements among examiners	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5.	appropriateness of searches						
5-1.	domestic patent literature searches	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5-2.	foreign patent literature searches	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5-3.	non-patent literature searches	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6.	level of examiners' expertise in technical details	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7.	communication with examiners such as face-to-face interviews and telephone conversations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8.	scope of patent that was granted after examination (Is the scope of the patent that was granted sufficient in view of the contents of the application and prior art?)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

9. If you have found any qualities that the JPO has, which exceed those of other patent offices, please check the categories below (multiple choices allowed).  
If you have not found anything superior, then please check "nothing in particular".

- |   |   |
|---|---|
| <input type="checkbox"/> prior art searches   | <input type="checkbox"/> have no experience with examinations by the other Offices / not sure |
| <input type="checkbox"/> thorough and easy-to-understand description in notifications of reasons for refusal      | <input type="checkbox"/> nothing in particular  |
| <input type="checkbox"/> judgement on novelty/inventive step  |   |
| <input type="checkbox"/> examiners' understanding of technical details  |   |
| <input type="checkbox"/> communication with examiners such as face-to-face interviews and telephone conversations |   |
| <input type="checkbox"/> others (fill in the space below)   |   |

comments for 9

10. If you have found other patent office(s), which have superior qualities compared to those of the JPO, please check the foreign patent office(s) below (multiple choices allowed). We also welcome your comment on which area the other offices are superior. If you did not feel that the other offices were superior, then please check "nothing in particular".

- |  |   |
|--|---|
| <input type="checkbox"/> United States Patent and Trademark Office (USPTO)                           | <input type="checkbox"/> have no experience with examinations by the other Offices / not sure |
| <input type="checkbox"/> European Patent Office (EPO)  | <input type="checkbox"/> nothing in particular  |
| <input type="checkbox"/> State Intellectual Property Office of the P.R.C. (SIPO)                     |   |
| <input type="checkbox"/> Korean Intellectual Property Office (KIPO)                                  |   |
| <input type="checkbox"/> Other Office(s) (Which office(s) is it?<br>Please fill in the space below.) |   |

comments for 10

11. What is your feeling about how often more appropriate documents are cited by other countries/regions after the JPO has released its examination results on application(s) filed seeking to obtain the same scope of patent rights at the JPO and other countries/regions?

more appropriate documents are rarely cited	more appropriate documents are sometimes cited	more appropriate documents are often cited	not sure/have no experience with examinations by other offices
---	--	--	--

- |  |                          |                          |                          |                          |
|--|--------------------------|--------------------------|--------------------------|--------------------------|
|  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (1)United States Patent and Trademark Office (USPTO)       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (2)European Patent Office (EPO)                            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (3)State Intellectual Property Office of the P.R.C. (SIPO) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (4)Korean Intellectual Property Office (KIPO)              | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (5)the countries/regions other than the above              | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |                          |

(countries/regions: )

If you have any other comments on or requests for improving the quality of patent examination, please let us know in the space below. (If you chose "1: Unsatisfied" or "2: Somewhat Unsatisfied" in 1.-8. above, please comment on your reasons for being unsatisfied or somewhat unsatisfied. We also welcome your opinion / request related to the aspects 1.-11. above.)

**[2] Comments/Requests about any other aspects of the questionnaire**

We would appreciate it if you would kindly give us any comments or requests you might have about any other aspects of the questionnaire. For example, this could include your opinions about your own or other users' specific application(s); or your comments could be about this Survey itself, such as the format, forms, wording. Please specify here whether you consent to giving your responses to the examiner(s) in charge as feedback, if you give any comments on any specific application.

comments

## [Sheet B] Quality of Patent Examination on Specific National Applications

\* **Application Number**

**(Title of the Invention)**

We would appreciate it if you would kindly answer the following questions in [1] and [2] below about the examination conducted on this specific patent application

**[1] We would like to give your response to the examiner in charge as feedback for examination quality improvement, if possible. If you would NOT like to give your response(s) to the examiner(s) in charge as feedback, please check the box on the right side.**

☐ **I would NOT like to give my responses to the examiner(s) in charge as feedback.**

**[2] Are you satisfied with the quality of patent examination on this application?**

Somewhat Satisfied		Neutral	Somewhat Unsatisfied	
5	4	3	2	1
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**If you chose "5: Satisfied" or "4: Somewhat Satisfied"**

please check the reasons which you are satisfied/somewhat satisfied with among the choices provided below. (This is optional and multiple responses are possible.)

- ☐ thorough and easy-to-understand description in the notification(s) of reasons for refusal
- ☐ proper judgement on novelty/inventive step
- ☐ proper search scope/search results
- ☐ communication with examiners such as face-to-face interviews and telephone conversations
- ☐ others (Please write the details in the space below.)

comments

**If you chose "2: Somewhat Unsatisfied" or "1: Unsatisfied" :**

- (1) Please check the procedures in **Column I** with which you are somewhat unsatisfied/unsatisfied (multiple choices allowed); and then
- (2) check the options in **Column II** from A-I with which you are somewhat unsatisfied/unsatisfied (multiple choices allowed). The descriptions for A through I are listed below.

### Column I

- ☐ first notification of reasons for refusal
- ☐ final notification of reasons for refusal
- ☐ decision to grant a patent
- ☐ decision of refusal

### Column II

A	B	C	D	E	F	G	H	I
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- A : thorough and easy-to-understand description in the notification(s) of reasons for refusal / decision of refusal
- B : excessive numbers of cited documents
- C : judgement on lack of novelty/inventive step
- D : judgement on lack of descriptive requirements (Article 36 (4) (i) and Article 36 (6))
- E : judgement regarding violation of requirements for unity (Article 37)
- F : consistency of judgements among examiners
- G : search scope/search results
- H : communication with examiners such as face-to-face interviews and telephone conversations
- I : others

⇒ Please go on to 3-1.

⇒ Please go on to 3-2.

⇒ Please go on to 3-3.

⇒ Please go on to 3-4.

<p>(3) Please let us know the basis for your choice in 2. above.</p>	
<p>3-1. If you chose "C: novelty/inventive step" in 2. above, please check the reasons with which you are unsatisfied.</p>	
<input type="checkbox"/> identification of cited document(s)	<input type="checkbox"/> judgement of identical features/differences
<input type="checkbox"/> judgement of combination/motivation	<input type="checkbox"/> judgement regarding dependent claim(s)
<input type="checkbox"/> others	
comments (Please comment in the space below why you are unsatisfied with this case.)	
<p>3-2. If you chose "D: descriptive requirements," in 2. above, please check the reasons with which you are unsatisfied.</p>	
<input type="checkbox"/> judgement regarding support requirements	<input type="checkbox"/> judgement regarding enablement requirements
<input type="checkbox"/> judgement regarding clarity requirements	<input type="checkbox"/> judgement regarding product-by-process (PBP) claims *
<input type="checkbox"/> others	
<p style="font-size: small;">*If you check this box for PBP claims, do not check the box "judgement regarding clarity requirements."</p>	
comments (Please comment in the space below why you are unsatisfied with this case.)	
<p>3-3. If you chose "F: consistency of judgements" in 2. above, please check the reasons with which you are unsatisfied.</p>	
<input type="checkbox"/> difference in judgements in the same technical field	<input type="checkbox"/> difference in judgements among different technical fields
<input type="checkbox"/> difference in judgements between the examination division and the appeals and trials	<input type="checkbox"/> difference from the judgements at the office(s) other than the JPO
<input type="checkbox"/> others (office name: <span style="border: 1px solid black; display: inline-block; width: 100px; height: 15px; vertical-align: middle;"></span> )	
comments (Please comment in the space below why you are unsatisfied with this case.)	
<p>3-4. If you chose "G: searches" in 2. above, please check the reasons with which you are unsatisfied.</p>	
<input type="checkbox"/> foreign patent literature searches	<input type="checkbox"/> non-patent literature searches
<input type="checkbox"/> domestic patent literature searches	<input type="checkbox"/> difference from the search results at the office(s) other than the JPO
<input type="checkbox"/> others (office name: <span style="border: 1px solid black; display: inline-block; width: 100px; height: 15px; vertical-align: middle;"></span> )	
comments (Please comment in the space below why you are unsatisfied with this case.)	
<p>3-5. If you have any further comments or requests, please write them in the space below. You can also write comments/requests about other application(s). (Please specify here whether you consent to giving your response to the examiner(s) in charge as feedback or not, if you give any comments on any other specific application.)</p>	
comments	



## Overall Quality of the International Search and International Preliminary Examination on PCT Applications

**[Sheet C]**

When responding to the questionnaire, please indicate by checking the box below if you wish your name to be known to us; or if you wish to remain anonymous, i.e., you don't want your name to be known to us.

- ☐ Wish your name to be known to us.  
☐ Wish to be anonymous.

\*If you choose "Wish to be anonymous," your response will be handled anonymously. However, information such as your e-mail address might disclose your identity, which we will not make note of.

Your Name

E-mail address

\* If you choose "Wish your name to be known to us," please fill in the spaces above with your name and e-mail address. Please be advised that by providing your name and e-mail address, we may contact you if we have any question about your responses.

\* We would appreciate it if you would kindly answer all the questions in [1] and [2] below, **according to your experience during the last one year or so.**

### [1] Overall Quality of the International Search and International Preliminary Examination including ISRs (Form PCT/ISA/210), WO/ISAs (Form PCT/ISA/237), and IPERs (Form PCT/ISA/409)

		Satisfied	Somewhat Satisfied	Neutral	Somewhat Unsatisfied	Unsatisfied
		5	4	3	2	1
1)	Are you satisfied with the overall quality of the International Search and International Preliminary Examination during the last one year or so?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Please evaluate the quality of the International Search and International Preliminary Examination at the JPO regarding the following aspects 1-11 below on a 5-point scale.		Satisfied	Somewhat Satisfied	Neutral	Somewhat Unsatisfied	Unsatisfied
		5	4	3	2	1
		Not sure / No Opportunity				
		-----				
1.	IPC accuracy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2.	judgement on excluded subject matter* from searches * excluded subject matter from searches falling under scientific and mathematical theories, methods of doing business, and mere presentations of information etc.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.	judgement on unity of invention	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4.	judgement on novelty/inventive step	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5.	reasoned statement regarding novelty/inventive step	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6.	judgement on descriptive defects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7.	consistency of judgements in the international phase	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8.	consistency of judgements between the international phase and the national phase (consistency of judgements between the international phase at the JPO and the national phase at the JPO)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
9.	appropriateness of searches					
9-1.	domestic patent literature searches	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
9-2.	foreign patent literature searches	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
9-3.	non-patent literature searches	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

10. How often any proper cited document is newly presented in the other countries/regions in the national phase, after the JPO issued the report as ISA?

	more proper document(s) are rarely cited	more proper document(s) are sometimes cited	more proper document(s) are often cited	no opportunity for examination at the other Office(s) / not sure
(1)United States Patent and Trademark Office (USPTO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2)European Patent Office (EPO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3)State Intellectual Property Office of the P.R.C. (SIPO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4)Korean Intellectual Property Office (KIPO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(5)the countries/regions other than the above	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

( countries/regions: )

If you have any other comments on or requests for improving the quality of patent examination, please let us know in the space below. (If you chose "1: Unsatisfied" or "2: Somewhat Unsatisfied" in 1-9 above, please comment on your reasons for being unsatisfied or somewhat unsatisfied. We also welcome your opinion / request related to the aspects 1.-10. above.)

## [2] Comments/Requests about any other aspects of the questionnaire

We would appreciate it if you would kindly give us any comments or requests you might have about any other aspects of the questionnaire. For example, this could include your opinions about your own or other users' specific application(s); or your comments could be about this Survey itself, such as the format, forms, wording. Please specify here whether you consent to giving your responses to the examiner(s) in charge as feedback, if you give any comments on any specific application.

comments

**[Sheet D] Quality of the International Search and International Preliminary Examination on Specific PCT Applications**

\* International Application Number (Title of the Invention)

--	--

We would appreciate it if you would kindly answer the following questions [1] and [2] below about the examination conducted on this specific PCT application.

[1] We would like to give your response to the examiner in charge as feedback for examination quality improvement.  
If you would NOT like to give your response(s) to the examiner(s) in charge as feedback, please check the box on the right side.

☐ I would NOT like to give my responses to the examiner(s) in charge as feedback.

[2] Are you satisfied with the quality of the International Search and International Preliminary Examination on this PCT application?

Somewhat Satisfied		Neutral	Somewhat Unsatisfied	
Satisfied				Unsatisfied
5	4	3	2	1
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

If you chose "5: Satisfied" or "4: Somewhat Satisfied", please check the reasons which you are satisfied/somewhat satisfied with among the choices provided below. (This is optional and multiple responses are possible.)

- ☐ thorough and easy-to-understand description in ISR, WO/ISA, and IPER
- ☐ proper judgement on novelty/inventive step
- ☐ proper search scope/search results
- ☐ others (Please write the details in the space below.)

comments

--

If you chose "2: Somewhat Unsatisfied" or "1: Unsatisfied" :

- (1) Please check the procedures in **Column I** with which you are somewhat unsatisfied/unsatisfied (multiple choices allowed); and then
- (2) check the options in **Column II** from A-H with which you are somewhat unsatisfied/unsatisfied (multiple choices allowed). The descriptions for A through H are listed below.

<p style="text-align: center;"><b>Column I</b></p> <div style="border: 1px dashed black; padding: 5px;"> <input type="checkbox"/> ISR (Form PCT/ISA/210) or WO/ISA (Form PCT/ISA/237)  <input type="checkbox"/> IPER (Form PCT/ISA/409)         </div>	<p style="text-align: center;"><b>Column II</b></p> <table border="1"> <tr> <th>A</th><th>B</th><th>C</th><th>D</th><th>E</th><th>F</th><th>G</th><th>H</th> </tr> <tr> <td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td> </tr> </table>	A	B	C	D	E	F	G	H	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A	B	C	D	E	F	G	H																		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																		

- A : thorough and easy-to-understand description in ISRs / IPERs
- B : excessive number of cited documents
- C : judgement on lack of novelty / inventive step
- D : judgement on descriptive deficiencies
- E : judgement regarding violation of requirements for unity
- F : consistency of judgements among examiners
- G : search scope/search results
- H : others

⇒ Please go on to 3-1.

⇒ Please go on to 3-2.

⇒ Please go on to 3-3.

(3) Please let us know the basis for your choice in 2. above.

3-1. If you chose "C: novelty/inventive step" in 2. above, please check the reasons with which you are unsatisfied.

- |  |  |
|--|--|
| <input type="checkbox"/> identification of cited document(s) | <input type="checkbox"/> judgement of identical features/differences |
| <input type="checkbox"/> judgement of combination/motivation | <input type="checkbox"/> judgement regarding dependent claim(s)      |
| <input type="checkbox"/> others                              |  |

comments (Please comment in the space below why you are unsatisfied with this case)

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3-2. If you chose "F: consistency of judgements" in 2. above, please check the reasons below with which you are unsatisfied.

- |  |   |
|--|---|
| <input type="checkbox"/> difference in judgements in the same technical field  | <input type="checkbox"/> difference in judgements among different technical fields  |
| <input type="checkbox"/> difference in judgements between the international phase at the JPO and the national phase at the JPO | <input type="checkbox"/> difference in judgements between the international phase at the JPO and the national phase at office(s) other than the JPO<br>(office name: <input type="text"/> ) |
| <input type="checkbox"/> difference in judgements in the international phase at the JPO  |   |
| <input type="checkbox"/> others  |   |

comments (Please comment in the space below why you are unsatisfied with this case)

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3-3. If you chose "G: searches" in 2. above, please check the reasons below with which you are unsatisfied.

- |  |   |
|--|---|
| <input type="checkbox"/> foreign patent literature searches  | <input type="checkbox"/> non-patent literature searches   |
| <input type="checkbox"/> domestic patent literature searches | <input type="checkbox"/> difference from the search results at the office(s) other than the JPO |
| <input type="checkbox"/> others                              | (office name: <input type="text"/> )  |

comments (Please comment in the space below why you are unsatisfied with this case)

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3-4. If you have any further comments or requests, please write them in the space below. You can also write comments/requests about other application(s).

(Please specify here whether you consent to giving your response to the examiner(s) in charge as feedback or not, if you give any comments on any other specific application.)

Additional comments

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