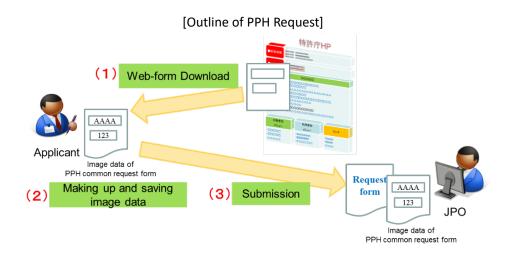
# How to Use a Web Form for PPH Request Form

#### **Table of Contents**

1.	Outline of PPH request using PPH Request Form	1
2.	Preparation of the PPH Request Form using the web form	3
	(1) Operating environment	3
	(2) Acquisition and startup of the web form	3
	(3) Input onto the web form	4
	(4) How to generate image data	8
	(5) Other functions	. 10
3.	PPH request using the PPH Request Form	. 12
	(1) Completion of the "Explanation of the Circumstances Concerning Accelerated Examination"	"12
	(2) How to submit the "Explanation of Circumstances Concerning Accelerated Examination"	15

## 1. Outline of PPH request using PPH Request Form

When filing a Patent Prosecution Highway (PPH) request with the JPO, the applicant has to submit an "Explanation of Circumstances Concerning Accelerated Examination" by attaching a "PPH Request Form" thereto. When submitting the PPH Request Form, please use a web form for the PPH Request Form which is downloadable from the JPO web site (hereinafter, the "web form"). The following figure outlines a brief chart for the PPH request using the web form.



- i. Download a web form from the JPO website to your device.
- ii. Open the downloaded web form in an Internet browser, enter the required information in Japanese, and generate and save the image data of a PPH Request Form using web form's functions.
- iii. Attach the saved image data to an "Explanation of Circumstances Concerning Accelerated Examination" and submit the compiled data to the JPO via the electronic filing software.

  If the applicant files a request in paper, print the image data of the PPH Request Form to attach to the "Explanation of Circumstances Concerning Accelerated Examination," and submit.

This document explains how to use the web form when preparing the PPH request and how to submit the PPH request using the prepared PPH Request Form.

When the applicant cannot prepare the PPH request form (an image file or a text file) using the web form, please refer to the JPO website<sup>1</sup> to write the necessary items for the PPH request in the "Explanation of Circumstances Concerning Accelerated Examination" and submit it.

2

<sup>&</sup>lt;sup>1</sup> https://www.jpo.go.jp/e/system/patent/shinsa/soki/pph/jijou setsumeisho jurai.html

## 2. Preparation of the PPH Request Form using the web form

## (1) Operating environment

Operations were tested and confirmed for the following internet browsers (hereinafter, the "browser") as of July, 2021.

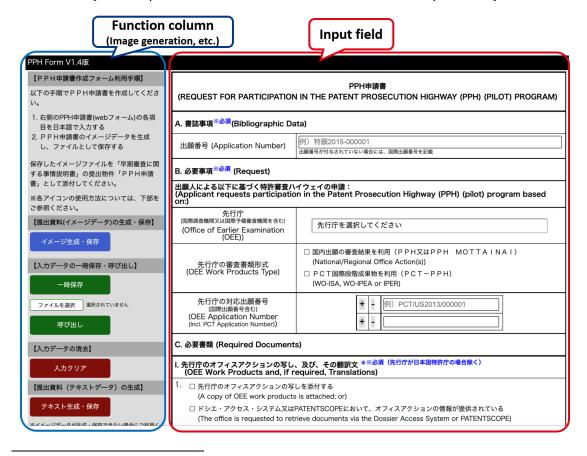
- Windows 10
  - Chrome, Edge, Firefox
- macOS
  - Chrome, Edge, Firefox, Safari

#### (2) Acquisition and startup of the web form

First, download the web form for the PPH Request Form which is available on the JPO website<sup>2</sup> and save the web form onto your device.

Then, open the downloaded web form on your browser. The following web form with the function column and the input fields is displayed. When you open the web form on a non-compliant browser, an error message appears. Thus, please use any one of above-mentioned browsers under 2.(1).

[Screen layout of the downloaded web form for the PPH Request Form]



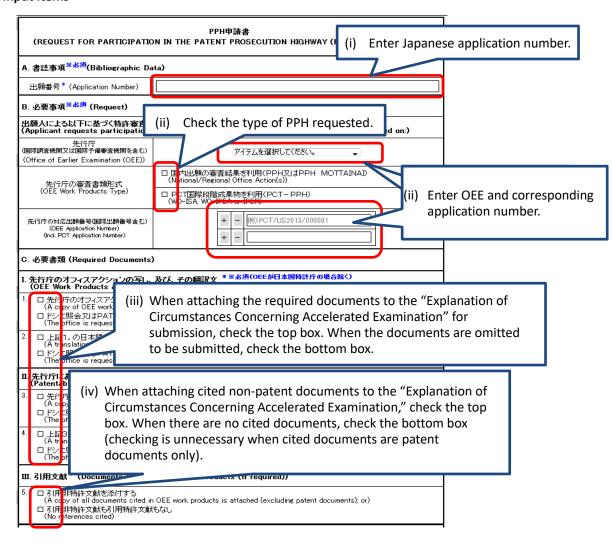
<sup>&</sup>lt;sup>2</sup> https://www.jpo.go.jp/e/system/patent/shinsa/soki/pph/jijou\_setsumeisho\_270801.html

Use the zoom option, when necessary, to change the display size of the web form.

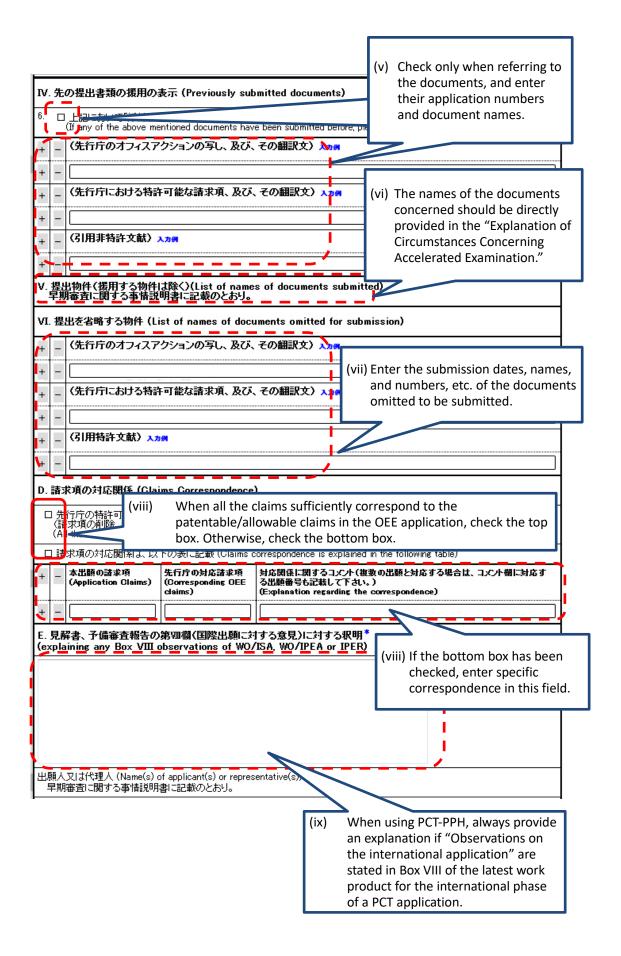
#### (3) Input onto the web form

Enter the required information for a PPH request in Japanese onto the input field<sup>3</sup>.

#### ► Input items



<sup>&</sup>lt;sup>3</sup> Note that English provided alongside Japanese is intended to facilitate comparison with the common forms used at overseas offices.



## ► Important points regarding input items

> A. Bibliographic data

Enter the number of the application concerned. If a Japanese application number has not been assigned, enter the international application number.

B. The fields for OEE in the "Request" section Select the OEE from the pull-down menu, check the box according to the OEE work products type, and enter the corresponding OEE application number. When filing a request for PPH based on multiple corresponding applications, enter all the corresponding application numbers. You will be able to add more input fields for the corresponding OEE

application number by clicking "+".

C. The fields of I.1. to II.4. in the "Required Documents" section Check the corresponding check box. When the examiner can browse documents in Dossier Access System or PATENTSCOPE, check the bottom check box. Otherwise, check the top check box.

NOTE: The default checking of the check boxes can be inappropriate depending on the combination of OEE and OEE Work Products Type. Be sure to confirm and make suitable adjustments.

C. The field of "III. Documents Cited" in the "Required Documents" section

In the 5<sup>th</sup> item under "III. Documents Cited," check the corresponding check box. When attaching cited non-patent documents, check the top box. When not attaching neither cited non-patent documents or cited patent documents, check the bottom box.

When only patent documents are cited in the OEE's office action, do not check this field. Instead, enter the numbers of the cited patent documents in the "VI. List of names of

documents omitted to be submitted" section.

C. The field of "IV. Previously submitted documents"

When referring to previously submitted documents, check the 6<sup>th</sup> field and input information of such documents. You will be able to add more input fields by clicking "+". Please refer to the following input examples.

Entry example 1: when referring to previously submitted "copy of OEE work products" 2013 年 8 月 9 日付拒絶理由通知の写し及びその翻訳文

(援用) 特願 2011-999999 平成 24 年 5 月 14 日付提出の早期審査に関する事情説明書

[English Translation as reference]

A copy of notice of reasons for refusal and its translation, dated August 9th, 2013

Reference: Japanese Patent Application No. 2011-999999; Explanation of Circumstances Concerning Accelerated Examination, submitted on May 14th, 2012

Entry example 2: when referring to previously submitted "patentable/allowable claims determined by OEE"

2014年12月1日付け提出の条約第34条による補正書の翻訳文

(援用) 特願 2015-123456 平成 27 年 3 月 9 日付特許協力条約第 34 条補正の翻訳文提出書 [English Translation as reference]

Translation of Written Amendment based on Article 34 of the PCT submitted on December 1st, 2014

Reference: Japanese Patent Application No. 2015-123456; Translation of Written Amendment based on Article 34 of the PCT, submitted on March 9th, 2015

Entry example 3: when referring to previously submitted "cited non-patent documents"

村岡洋一著、「コンピュータサイエンス大学講座 (第 11 巻) コンピュータ・アーキテクチャ」、 第 2 版、株式会社近代科学者、1985 年 11 月、p. 123 - 127

(援用)特願 2014-888888 平成 26 年 3 月 21 日付提出の早期審査に関する事情説明書 [English Translation as reference]

"Computer Science University Course (Vol. 11): Computer Architecture," 2nd Edition, by Youichi Muraoka, Kindai kagaku sha Co., Ltd., November 1985, pages 123-127.

Reference: Japanese Patent Application No. 2014-888888; Explanation of Circumstances Concerning Accelerated Examination, submitted on March 21st, 2014

#### > C. The field of "V. List of names of documents for submitted"

When documents are to be submitted, instead of entering the document numbers and relevant data in the "V. List of names of documents submitted" section of the web form, indicate the list of documents to be submitted in the "Explanation of Circumstances Concerning Accelerated Examination", and then submit them as attached documents.

C. The field of "VI. List of names of documents omitted for submission" When there are documents omitted to be submitted, including office actions, cited patent documents and other related documents, enter the document numbers and other relevant information in the "VI. List of names of documents omitted to be submitted" field. You will be able to add more input fields by clicking "+".

# D. The field of "Claims Correspondence"

When all the claims in the application for which the PPH request is filed sufficiently correspond to the patentable/allowable claims in the OEE application, check the box, "All the claims in the application sufficiently correspond to the patentable /allowable in the OEE application".

Otherwise, check the box, "Claims correspondence is explained in the following table" and enter the specific correspondence relationship between the claims in the application and the corresponding claims in the OEE application. You will be able to add more input fields by clicking "+"

Moreover, when filing the PPH request based on multiple corresponding applications, enter the corresponding application number in the bracket at the top of the comment field as follows. Any notes in the remarks column should be brief. If notes cannot be condensed into a single line, insert extra lines as appropriate.

Claims correspondence when there are multiple corresponding numbers						
Entry example:						
D.	D. 請求項の対応関係 (Claims Correspondence)					
□ 先行庁の特許可能な全請求項と完全に一致する (請求項の削除、追加、並び替えが無く、請求項の文言が完全に一致する) (All the claims in the application sufficiently correspond to the patentable/allowable claims in application; or)						
	■ 請求項の対応関係は、以下の表に記載 (Claims correspondence is explained in the following table)					
+	-	本出願の請求項 (Application Claims)	先行庁の対応請求項 (Corresponding OEE claims)	対応関係に関するコメント(複数の出願と対応する場合は、コメント欄に対応する 出願番号も記載して下さい。) (Explanation regarding the correspondence)		
+	-	1-5	1-5	(13/000000)両クレームは記載形式を除いて同一である		
+	-	6	1	(14/000000)両クレームは同一である		
+	-	7	3	(14/000000)両クレームは引用する請求番号を除き同一である		
+	-	8	5	(14/000000)両クレームは引用する請求番号を除き同一である		
+	-	9	7	(14/000000)両クレームは同一である		
+	-	10	8	(14/000000)両クレームは同一である		

E. The field of "explaining any Box VIII observations of WO/ISA, WO/IPEA or IPER" (opinions
on the international application)

When the PCT international phase product is used and an opinion is stated in Box VIII of the Written Opinion or the International Preliminary Examination Report, be sure to input an explanation for the opinion in the field of E.

## (4) How to generate image data

After entering the required information for the PPH request, please generate image data for the PPH Request Form.

Since image data generation and saving methods vary depending on the browser you use, please refer to the methods which are explained by the browser.

## ► Chrome, Edge, Firefox

i. Click "Generate and Save image" which is displayed in the function column.



ii. When a confirmation pop-up appears for file downloading, confirm it and save the data. The data is saved under names of "ap\_pph01.jpg", "ap\_pph02.jpg" and "ap\_pph03.jpg", which configure image data of the PPH Request Form. These last numbers of the file names show the order of attachment of images to the "Explanation of Circumstances Concerning Accelerated Examination" to be completed subsequently. Please bear this in mind in case of changing the file names for saving.

#### ► Safari

i. Click "Generate image" which is displayed in the function column.



ii. Image data configuring the PPH Request Form is dividedly displayed into three tabs, "ap\_pph01", "ap\_pph02" and "ap\_pph03".



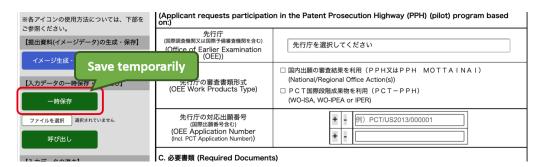
iii. Right-click on each image on the tab and select "Save Image As..." to save image data into the file. Files can be named freely. However, the last numbers of the tab names "ap\_pph01", "ap\_pph02" and "ap\_pph03" file show the order of attachment of images to the "Explanation of Circumstances Concerning Accelerated Examination" to be completed subsequently. Please bear this in mind in case of changing the file names for saving.

# (5) Other functions

i. Temporary saving of input data

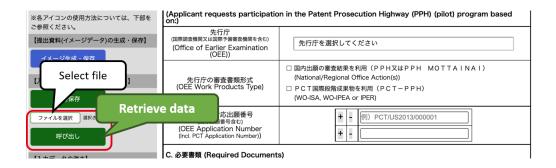
Use this function to save input data temporarily while completing the form.

Upon clicking "Save temporarily", the data is saved as a "pph\_temp.txt" file in a prescribed folder. When a confirmation pop-up appears for file downloading, confirm it and save the data. Note that the temporarily saved data is saved in text file format.



ii. Retrieval of input data

Use this function to re-enter the content of the text file saved with the "Save temporarily" function into the web form. Click "Select file" to select the file you need to retrieve, and then click "Retrieve data." The temporarily saved data will be entered into the web form.



## iii. Deletion of input data

Use this function to delete the data in processing, which has been entered into the field. Click "Clear" and the web form will be reset to the initial state without data.



#### iv. Generation of text data

Use this function only when image data cannot be generated.

Upon clicking "Generate and save text," a "PPH\_FORM\_TEXT.txt" file is saved in a prescribed folder. When a confirmation pop-up appears for file downloading, confirm it and save the data.



<Reference: Image of the text generated using "Generate and save text">

## 3. PPH request using the PPH Request Form

- (1) Completion of the "Explanation of the Circumstances Concerning Accelerated Examination"
  - (i) Enter bibliographic information such as [Indication of the Case] and [Submitter].
  - (ii) Describe "Patent Prosecution Highway" in [Types of accelerated examination].
  - (iii) In the "1. Circumstances" field of the [Explanation of Circumstances Concerning Accelerated Examination], state that the accelerated examination is requested under the Patent Prosecution Highway program, and explain the relationship between the present application and the corresponding OEE applications.

Entry example 1: When using examination results of an application filed with the USPTO

特許審査ハイウェイに基づく早期審査の申請を行う。

本出願の優先権主張の基礎となる対応米国出願(出願番号 13/705\*\*\*) に対して、米国特許商標庁により特許可能との判断がなされている。

#### [English Translation as reference]

An accelerated examination under the Patent Prosecution Highway program is requested.

This application is an application claiming priority under the Paris Convention based on the corresponding application filed with the USPTO (the application number is 13/705\*\*\*). The USPTO found the invention in this corresponding application patentable.

Entry Example 2: When using a work product in the international phase of a PCT application

特許審査ハイウェイに基づく早期審査の申請を行う。

本出願は、国際出願(PCT/XX0000/000000)の国内移行案件であり、当該国際出願のoo特許 庁が作成した最新国際段階成果物において、特許請求の範囲に対し特許性有りとの判断が明 示されている。

## [English Translation as reference]

An accelerated examination under the Patent Prosecution Highway program is requested.

This application is a PCT international application (PCT/XX0000/000000) that entered into the national phase, and the latest work product in the international phase of the PCT application established by the xx Patent Office clearly states that the invention within the scope of the claims in the PCT international application is patentable.

(iv) Provide information for the documents to be submitted in the "List of submitted documents" field.

Since the PPH Request Form completed under the above 2.4 is to be attached as a document to be submitted, write "PPH Request Form" in the "Document name" field of the "List of attached documents", and attach the image data of the PPH Request Form to the "Content" field.

When attaching the image data, select "Link to file" on "Insert picture" to insert the image files. (If "Link to file" is not selected, the attached image data will become extremely small. When the JPO cannot identify the content, it may contact the requester.)

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Entry example:

【提出物件の目録】

【物件名】PPH 申請書 1

【添付物件】

【物件名】PPH 申請書

【内容】(イメージファイル(3 ファイル)を添付)

[English Translation as reference]

[List of submitted documents]

[Document name] PPH Request Form 1

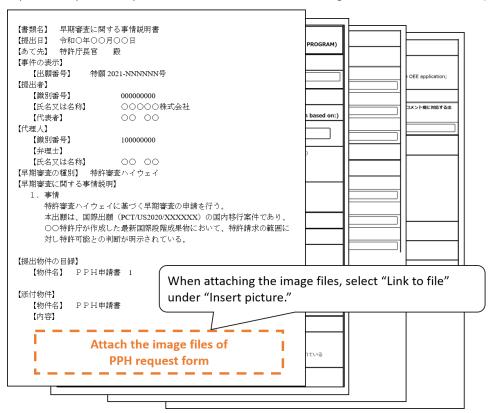
[List of attached documents]

[Document name] PPH Request Form

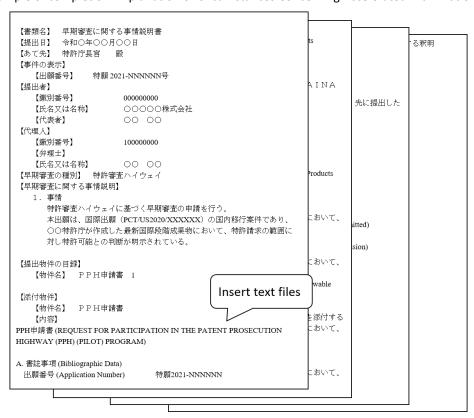
[Content] (three image files are attached)
```

When using the text data generated under 2.(5) iv, paste the text data in [Content] without change.

#### [Example of completion: Explanation of Circumstances Concerning Accelerated Examination (image file)]



## [Example of completion: Explanation of Circumstances Concerning Accelerated Examination (text file)]



- (2) How to submit the "Explanation of Circumstances Concerning Accelerated Examination" (When submitting online with the electronic filing software)
  - (i) Save the completed "Explanation of Circumstances Concerning Accelerated Examination" in html format, and submit the file to the JPO using the electronic filing software.
  - (ii) Before submitting the file, make sure that the image data is not too small, the attached image files are in the correct order and other relevant conditions.

NOTE: During the generation of the file to be sent, a warning message about image conversion will appear. It is not likely that the generated file has problems, but please make sure that the image data is clear before sending.

(When submitting documents in paper)

Print the image file of the completed PPH Request Form on A4 paper in vertical orientation, and submit it to the JPO by attaching it to the "Explanation of Circumstances Concerning Accelerated Examination."

# Inquiries about this document:

Comments on the PPH system or common formats of PPH Request Form:

Examination Policy Planning Section of Administrative Affairs Division under Patent and Design Examination Department

TEL: +81-3-3581-1101 (Ext. 3103) E-mail: PA2260@jpo.go.jp

How to complete Explanation of Circumstances Concerning Accelerated Examination and related questions:

Examination Support Management Section of Administrative Affairs Division under Patent and Design Examination Department

TEL: +81-3-3581-1101 (Ext. 3106) E-mail: PA2210@jpo.go.jp