

# Detailed Contents

Foreword .....	VII
Preface .....	IX
About the author .....	XI
Contents .....	XIII
Abbreviations used .....	XLI

## PART A – STRATEGY

### Chapter 1: Paper D Part I – Legal Questions

1.1	General comments .....	1
1.2	How to tackle the questions .....	2
1.2.1	Time management – understanding the question .....	2
1.2.2	Finding the answer .....	3
1.2.3	Writing the answer .....	4
1.3	Calculating time limits .....	7
1.3.1	Calculating time limits under the EPC .....	7
1.3.2	Calculating time limits under the PCT .....	10
1.4	Preserving the rights of an applicant, proprietor or opponent that have apparently been lost under the EPC .....	10
1.4.1	Was notification sent to the correct address? .....	10
1.4.2	Can the time limit be extended? .....	11
1.4.3	Is a grace period available? .....	11
1.4.4	Can further processing be applied? .....	11
1.4.5	Can re-establishment be applied? .....	11
1.4.6	Can proceedings be interrupted? .....	12
1.4.7	Can the good faith principle be invoked? .....	12
1.4.8	Can an appeal be filed? .....	12
1.4.9	Is conversion of a European patent application possible? .....	12
1.4.10	Can the failure to pay a fee on time be excused? .....	13
1.4.11	Can the late arrival of a document posted in good time be excused? ...	13
1.4.12	Can a new application be filed? .....	13
1.5	Preserving the rights of an applicant that have apparently been lost under the PCT .....	13
1.5.1	Can the time limit be extended? .....	13
1.5.2	Is a grace period available? .....	14
1.5.3	Can the late arrival of a document posted in good time be excused? ...	14
1.5.4	Can a loss of rights be excused by a national/regional office? .....	14
1.5.5	Can the application be re-instated where the national phase is not entered on time? .....	15
1.6	Enlarged Board Decisions .....	15
1.7	Miscellaneous points of interest .....	41
1.7.1	Divisional applications .....	41
1.7.2	The prior art effects of a published European patent application .....	46
1.7.3	Renewal fees .....	51
1.7.4	Incorporation by reference .....	56
1.7.5	The filing of an application and its filing date .....	59
1.7.6	Filing of documents – Languages and fee reductions .....	60
1.7.7	Filing of documents – other considerations .....	65

1.7.8	The prohibition of reformatio in peius .....	68
1.8	Transitional provisions EPC1973/EPC2000 .....	71
1.9	Worked examples – Paper D1 2012.....	75

### Chapter 2: Paper D Part II – Legal Opinion

2.1	General comments .....	86
2.2	How to tackle each question .....	88
2.2.1	Preparing a time line .....	88
2.2.2	Analysing the paper by considering the patentability of each invention .....	89
2.2.3	Points to consider when an application for an invention has been filed .....	90
2.2.4	Points to consider where an application for an invention has not been filed .....	92
2.2.5	What national rights are therefore obtainable by the client and might be used to keep competitors off the market? .....	92
2.2.6	What national rights are therefore obtainable by any competitor which might limit your client’s commercial freedom?.....	93
2.2.7	Answering the paper .....	93
2.3	Relevant timeline events for European and Euro-PCT applications ...	94
2.3.1	Regular European patent application .....	94
2.3.2	European patent application filed via the PCT.....	95
2.4	Aspects of US and Japanese patent law .....	95
2.5	Notes on claiming priority .....	97
2.5.1	Relevance of the Paris Convention to European and Euro-PCT applications .....	97
2.5.2	The importance of naming the correct applicant .....	97
2.5.3	The importance of the “first filing” .....	98
2.5.4	The limited circumstances in which priority may be claimed from a second or subsequent filing .....	98
2.5.5	Illustrative examples of how priority works in relation to the first filing.....	99
2.5.6	Examples of questions relating to the claiming of priority from a first filing in the EQE.....	102
2.6	Worked example – Paper D2 2012.....	103
2.6.1	First reading and initial thoughts.....	103
2.6.2	Generating a list of dates (Q1–3).....	115
2.6.3	Chronological list of dates (Q1–3) .....	116
2.6.4	Expanded chronological list of dates (Q1–3).....	116
2.6.5	Drawing up a timeline (Q1–3) .....	116
2.6.6	Analysis of patent rights (Q1–3) .....	118
2.6.7	Possible answer (Q1–3) .....	121
2.6.8	Possible answer (Q4) .....	124

### Chapter 3: Pre-examination – Legal Questions

3.1	Overview .....	127
3.2	Worked examples .....	127

## PART B – THE EPC

### Chapter 4: The EPC and EPO

4.1	European patents .....	135
4.2	The European Patent Organisation.....	135
4.2.1	Foundation of the Organisation.....	135
4.2.2	Structure of the Organisation .....	135
4.2.3	Purpose of the Organisation .....	135
4.3	The European Patent Office and its employees .....	135
4.3.1	Location of the European Patent Office and its sub-offices .....	135
4.3.2	President of the European Patent Office and his duties .....	136
4.3.3	Appointment of senior EPO employees .....	136

4.3.4	Employees not to disclose or make use of confidential information ...	136
4.3.5	Disputes between the Organisation and the employees of the European Patent Office .....	137
4.4	The departments of the European Patent Office .....	137
4.4.1	The departments entrusted with the procedure .....	137
4.4.2	Administrative structure of the EPO .....	137
4.5	The Receiving Section .....	137
4.6	The Search Divisions .....	138
4.7	The Examining Divisions .....	138
4.8	The Opposition Divisions .....	139
4.9	The Legal Division .....	140
4.10	The Boards of Appeal and the Enlarged Board of Appeal .....	140
4.10.1	Composition of the Board of Appeal .....	140
4.10.2	Organisation of the Boards of Appeal .....	141
4.10.3	Enlarged Board of Appeal .....	142
4.10.4	Independence and exclusion of Board of Appeal members .....	142
4.10.5	Adoption of Rules of Procedure by the Boards of Appeal and the Enlarged Board .....	142
4.10.6	Exclusion and objection .....	143
4.11	The Administrative Council .....	143

### Chapter 5: The Invention

5.1	What is not an invention for the purposes of the EPC? .....	144
5.1.1	Requirement for technical subject matter .....	144
5.1.2	Discoveries .....	144
5.1.3	Scientific theories and mathematical methods .....	144
5.1.4	Aesthetic creations .....	144
5.1.5	Scheme, rule or method for performing a mental act .....	145
5.1.6	Scheme, rule or method for playing games .....	145
5.1.7	Scheme, rule or method for doing business .....	145
5.1.8	Computer programs .....	145
5.1.9	Presentation of information .....	145
5.2	What inventions are barred from patentability? .....	146
5.2.1	Morality exemption .....	146
5.2.2	Plant varieties .....	146
5.2.3	Animal varieties .....	147
5.2.4	Essentially biological processes .....	148
5.2.5	Method of treatment or diagnosis exclusion – general points .....	149
5.2.6	Method of treatment of the human or animal body by therapy .....	149
5.2.7	Method of treatment of the human or animal body by surgery .....	150
5.2.8	Diagnostic method practiced on the human or animal body .....	151
5.3	What is a patentable invention? .....	151
5.4	Which inventions are susceptible of industrial application? .....	151
5.5	Which inventions are new? .....	152
5.5.1	Definition of novelty .....	152
5.5.2	The state of the art includes earlier disclosures .....	152
5.5.3	The state of the art includes the contents of earlier European patent applications .....	152
5.5.4	Under what circumstances is something “made available to the public”? .....	153
5.5.5	Judging the content of what has been made available .....	154
5.5.6	Judging whether the content of what has been made available is prejudicial to novelty .....	155
5.5.7	First medical use .....	155
5.5.8	Second medical use .....	155
5.5.9	Second non-medical use .....	156
5.5.10	Abusive disclosure exemption .....	157
5.5.11	Exhibition exemption .....	157
5.5.12	Novelty of selection inventions .....	158

5.6	Which inventions involve an inventive step? .....	158
5.6.1	Definition of inventive step .....	158
5.6.2	Problem-solution approach .....	158
5.6.3	The skilled person and common general knowledge .....	159
5.6.4	Considerations when asking whether the invention is obvious .....	159
5.6.5	Inventive step based on an unexpected advantage .....	160
5.6.6	Further indicators of inventive step .....	160

### Chapter 6: The Application

6.1	Elements of the application .....	161
6.2	General and physical requirements of the application .....	161
6.2.1	Prohibited matter .....	161
6.2.2	Physical requirements .....	161
6.3	Requirements relating to the request .....	161
6.3.1	Use of a specified form .....	161
6.3.2	Drawings not allowed .....	161
6.3.3	Petition for grant (Box 5) .....	161
6.3.4	Waiver of communication under r.70(2) (Box 5.1) .....	161
6.3.5	Details of the applicant (Boxes 7–14) .....	161
6.3.6	Details of any representative (Boxes 15–19) .....	162
6.3.7	Designation of the inventor (Boxes 22–23) .....	162
6.3.8	Title of the invention (Box 24) .....	162
6.3.9	Priority claim (Box 25) .....	162
6.3.10	Indication of divisional status (Box 27) .....	162
6.3.11	Indication that application is a replacement application (Box 28) .....	162
6.3.12	Figure of the drawings to be published with the abstract (Box 30) .....	163
6.3.13	List of documents accompanying the request (Box 44) .....	163
6.3.14	Signature (Box 46) .....	163
6.3.15	Correction of the request .....	163
6.4	Requirements relating to the description .....	163
6.4.1	Need for a sufficient disclosure .....	163
6.4.2	Content of the description .....	164
6.4.3	Order of presentation of the content of the description .....	164
6.4.4	Description not to contain drawings .....	164
6.5	Requirements relating to the claims .....	164
6.5.1	Requirement for clarity, conciseness and support .....	164
6.5.2	Claims to define matter the applicant seeks to protect .....	165
6.5.3	Situations in which two-part form is required .....	165
6.5.4	Number and type of claims allowed .....	165
6.5.5	Numbering of the claims .....	165
6.5.6	Omnibus claims generally not allowed .....	166
6.5.7	References in claims to reference signs in figures .....	166
6.5.8	Unity of invention .....	166
6.5.9	Allowability of disclaimers .....	166
6.5.10	Functional features .....	166
6.5.11	Claims not to contain drawings .....	166
6.6	Requirements relating to the abstract .....	166
6.7	Requirements relating to the drawings .....	167
6.8	Requirements relating to any priority claim .....	167
6.8.1	Relevance of the Paris Convention .....	167
6.8.2	Who may make a claim to priority? .....	167
6.8.3	Length of priority period .....	168
6.8.4	Priority claim to be in respect of the same invention .....	168
6.8.5	What kind of application may be used as a basis for claiming priority? .....	169
6.8.6	Procedure for claiming priority – declaration .....	169
6.8.7	Procedure for claiming priority – certified copy .....	170
6.8.8	Procedure for claiming priority – translation .....	171
6.8.9	Can one application claim more than one priority? .....	172
6.8.10	Can one priority be claimed in more than one application? .....	172

6.8.11	Effect of priority right .....	172
6.8.12	Obligation to file copies of search results when claiming priority .....	172
6.9	Requirements relating to the designation of the inventor .....	172
6.10	Language requirements of the application .....	173
6.10.1	Acceptable languages of filing .....	173
6.10.2	Requirement for a translation .....	173
6.10.3	Languages of filing under EPC1973 .....	174
6.10.4	Languages accepted if filing at a national office .....	174
6.10.5	Language of a divisional application or a replacement application .....	174
6.11	Requirements relating to biotechnological inventions .....	174
6.11.1	Sequence listings .....	174
6.11.2	Deposit of biological material .....	174
6.12	Special requirements for divisional applications .....	175

### Chapter 7: Filing a European Patent Application

7.1	Who is entitled to file a European patent application? .....	176
7.2	Where may a European patent application be filed? .....	176
7.2.1	Where to file a regular European patent application .....	176
7.2.2	Where to file a divisional application .....	176
7.2.3	Where to file a replacement application under Art. 61(1)(b) .....	176
7.2.4	Restrictions on the filing of European patent applications under national law .....	176
7.2.5	Procedure where the application is filed with a national office – time limit for forwarding to the EPO .....	177
7.3	Manner of filing the application .....	177
7.3.1	Filing in writing by post or by hand .....	177
7.3.2	Filing by fax .....	177
7.3.3	Filing electronically .....	178
7.3.4	Filing by other means .....	178
7.4	Filing a Divisional application .....	178
7.4.1	Up to what point in time can a divisional application be filed? .....	178
7.4.2	A divisional application may be filed in respect of any pending earlier European patent application .....	178
7.4.3	On what kind of application can a divisional be based? .....	179
7.4.4	Who is entitled to file a divisional application? .....	179
7.5	Filing a replacement application .....	180
7.6	Requirement to pay a filing fee, a search fee and claims fees .....	180
7.6.1	Filing fee .....	180
7.6.2	Reduction of the filing fee if using an official language of a contracting state .....	180
7.6.3	Search fee .....	181
7.6.4	Claims fees .....	182
7.6.5	Fees for divisional applications .....	182
7.6.6	Fees for replacement applications .....	182
7.7	Designation of Contracting States .....	182
7.8	Extension of a European patent .....	183
7.9	Validation of a European patent .....	184
7.10	Requirement to file copies of search results relating to a priority application .....	185

### Chapter 8: Examination on Filing

8.1	Procedure on receipt of a new application .....	186
8.2	Examination as to whether a filing date can be accorded .....	186
8.2.1	Requirements for a filing date .....	186
8.2.2	Need for a certified copy of the previous application if filing by reference .....	186
8.2.3	Need for a translation of the previous application if filing by reference .....	187
8.2.4	Procedure where a filing date cannot be accorded .....	187

8.2.5	Filing date in the case of a divisional application or replacement application .....	188
8.3	Filing date where pages of the description and drawings are subsequently filed .....	188
8.4	Procedure where a filing date can be accorded – examination of formal requirements .....	189
8.4.1	Determination as to whether any necessary translation has been filed .	190
8.4.2	Request, description, claims, drawings and abstract .....	190
8.4.3	Designation of the inventor .....	190
8.4.4	Priority claim .....	191
8.4.5	Representation and authorisation .....	191
8.4.6	Filing and search fees .....	192
8.4.7	Claims fees .....	192
8.4.8	Sequence listings .....	192
8.4.9	Other matters .....	193

### Chapter 9: The Search Report and Opinion

9.1	The EPO must draw up a search report for each European patent application .....	194
9.2	Procedure where a plurality of independent claims exist .....	194
9.3	Procedure where a meaningful search is not possible .....	194
9.4	Procedure where the application lacks unity .....	195
9.5	Establishing of the definitive content of the abstract .....	195
9.6	Patent classification used by the EPO .....	195
9.7	Accelerated search .....	196
9.8	The European Search Report .....	196
9.8.1	Content of the search report .....	196
9.8.2	Language of the search report .....	196
9.8.3	Additional copies of citations .....	196
9.9	The extended European Search Report .....	197
9.10	Transmittal of the search report, search opinion and definitive content of the abstract .....	197
9.11	Requirement to file a response to the extended European search report .....	197
9.12	One chance for submission of voluntary amendments in response to extended European search report .....	198

### Chapter 10: Publication of the Application and Search Report

10.1	Timing of publication .....	199
10.2	No publication to take place when the application is withdrawn or refused .....	199
10.3	Language and form of the publication .....	199
10.4	Contents of the publication .....	199
10.5	Matter excluded from the publication .....	200

### Chapter 11: Request for Examination, Designation Fee, Extension Fees and Validation Fees

11.1	Communication to the applicant of the date on which the Bulletin mentions the publication of the search report .....	201
11.2	Payment of the designation fee .....	201
11.2.1	Designation fee for a regular European patent application .....	201
11.2.2	Designation fee for a divisional application .....	201
11.2.3	Designation fee for a replacement application .....	201
11.3	Payment of extension fees .....	202
11.4	Payment of validation fees .....	202
11.5	Request for examination .....	203
11.5.1	Examination must be requested .....	203
11.5.2	Time limit for requesting examination .....	203
11.5.3	Payment of an examination fee .....	203

11.5.4	Consequences of not requesting examination .....	203
11.5.5	Refund of the examination fee .....	204
11.5.6	Language of the request for examination – fee reduction .....	204
11.6	A request for examination filed before transmittal of the search report must usually be confirmed .....	205
11.7	Assumption of responsibility by the Examining Division .....	206

**Chapter 12: Substantive Examination**

12.1	Formal written procedure .....	207
12.2	Informal communications by telephone, interview or e-mail .....	208
12.3	Procedure of the Examining Division in the case of an incomplete search .....	208
12.4	Further searches .....	209
12.5	Auxiliary requests .....	209
12.6	Double patenting .....	209
12.7	Accelerated procedure .....	210
12.8	Request for information concerning prior art .....	210
12.9	Refusal of the application .....	210

**Chapter 13: Allowance and Grant**

13.1	Circumstances in which a patent is granted .....	211
13.2	Approval of the text for grant, payment of fees and the filing of claim translations .....	211
13.2.1	Communication from the Examining Division under r.71(3) .....	211
13.2.2	Consequences of not responding fully to the r.71(3) communication ..	212
13.2.3	Implicit approval of the text by payment of fees and filing of translations .....	212
13.2.4	Procedure where the proposed text is not acceptable to the applicant..	212
13.2.5	Refund of grant and publishing fee .....	213
13.3	Between approval of the text and a decision to grant .....	213
13.4	Decision to grant .....	214
13.5	The decision to grant takes effect on publication of the mention of grant in the Bulletin .....	214
13.6	No publication of the mention of grant until designation or renewal fees have been paid .....	214
13.7	Publication of the specification of the granted patent .....	214
13.8	Grant to different applicants .....	215
13.9	Issue of a certificate .....	215
13.10	Validation in contracting States .....	215
13.11	Registration of the granted patent .....	215
13.12	Validation in non-contracting States .....	216

**Chapter 14: Opposition Proceedings**

14.1	General considerations .....	217
14.2	Filing an opposition .....	217
14.2.1	Time limit for filing a notice of opposition .....	217
14.2.2	Where and how should the opposition be filed? .....	217
14.2.3	Who may file a notice of opposition? .....	218
14.2.4	Form and content of the notice of opposition .....	219
14.2.5	Grounds for opposition .....	219
14.2.6	Payment of the opposition fee .....	220
14.2.7	Language of the notice of opposition – fee reduction .....	220
14.2.8	Opposition may be filed even where a patent is surrendered or has lapsed .....	220
14.3	Examination of the opposition for admissibility and circumstances in which it is deemed not filed .....	221
14.3.1	An opposition must be admissible to be examined .....	221
14.3.2	A formalities officer can decide on admissibility in certain circumstances .....	221

14.3.3	Deficiencies that must be corrected before the opposition period expires.....	221
14.3.4	Deficiencies that may be corrected after the opposition period expires	221
14.3.5	Circumstances in which the opposition is deemed not to have been filed .....	222
14.3.6	Decision that opposition is inadmissible or deemed not filed is to be communicated to the proprietor .....	222
14.4	Intervening in an opposition .....	222
14.5	Opposition to apply to all designated States .....	223
14.6	Parties to the opposition and transfer of party status.....	224
14.6.1	Proprietor and opponents are parties .....	224
14.6.2	Replacement of party status as a result of entitlement proceedings ....	224
14.6.3	Transfer of the patent to a new proprietor during opposition proceedings.....	224
14.6.4	Transfer of the opposition during opposition proceedings .....	224
14.7	Procedure for examination of the opposition .....	225
14.7.1	Steps taken prior to examination of the opposition .....	225
14.7.2	Examination as to whether the grounds of opposition prejudice the patent .....	225
14.7.3	Permissible amendments of the patent during opposition .....	226
14.7.4	Requirements relating to documents filed during opposition proceedings.....	227
14.7.5	Continuation of the opposition by the EPO of its own motion in the event of the withdrawal of an opposition or the death of an opponent	227
14.7.6	Continuation of the opposition where the patent has been surrendered or has lapsed .....	227
14.7.7	Extent to which the Opposition Division may examine the patent beyond the stated extent of and grounds for the opposition .....	227
14.7.8	Acceleration of proceedings.....	228
14.7.9	Further searches .....	228
14.7.10	Stay in the case of entitlement proceedings .....	228
14.7.11	Different claims for different States when two proprietors are defending the patent .....	229
14.7.12	Revocation where no text is approved or patent is surrendered .....	229
14.7.13	Requirement to submit cited documents .....	229
14.8	Procedure if the opposition succeeds .....	229
14.9	Procedure if the opposition fails.....	229
14.10	Procedure if the opposition is partly successful .....	229
14.10.1	Notification of text which the Opposition Division proposes to maintain .....	229
14.10.2	Need for payment of printing fee/filing of claim translations .....	230
14.10.3	Publication of a new specification where the patent is amended – new patent certificate .....	231
14.11	Costs .....	231
14.11.1	Rules for the apportionment of costs .....	231
14.11.2	Opposition Division to fix amount of costs to be paid .....	231
14.11.3	Enforcement of decisions on costs in Contracting States.....	232
14.11.4	Restrictions on appealing an award of costs .....	232
14.11.5	Costs in opposition appeal proceedings .....	232
<b>Chapter 15: Limitation and Revocation Proceedings</b>		
15.1	The right to limit a European patent or have it revoked .....	233
15.2	Where and how should a request for limitation or revocation be filed?	233
15.3	What language may a request for limitation or revocation be filed in? .	234
15.4	What fees are due in respect of a request for limitation or revocation?	234
15.5	Content and form of the request for limitation or revocation .....	234
15.6	Opposition proceedings take precedence .....	234
15.7	Circumstances in which the request is deemed not to have been filed .	235
15.8	Circumstances in which the request is rejected as inadmissible .....	235



15.9	Decision on a request for revocation.....	235
15.10	Decision on a request for limitation .....	235
15.11	Publication of an amended specification if the patent is limited.....	237

**Chapter 16: Appeal Proceedings**

16.1	The nature of appeal proceedings .....	238
16.2	Decisions which may be appealed .....	238
16.3	Suspensive effect of an appeal on the decision appealed .....	239
16.4	Who may appeal and who is a party to the appeal?.....	239
16.5	Notice of appeal .....	240
16.5.1	Time limit for filing a notice of appeal .....	240
16.5.2	Where and how may a notice of appeal be filed? .....	240
16.5.3	Who may file the notice of appeal? .....	240
16.5.4	Content and form of the notice of appeal .....	241
16.5.5	Appeal fee .....	241
16.5.6	Language of the notice of appeal – fee reduction .....	242
16.6	Grounds of appeal .....	242
16.6.1	Time limit.....	242
16.6.2	Where and how may grounds of appeal be filed?.....	243
16.6.3	Who may file the notice of appeal? .....	243
16.6.4	Content of the grounds of appeal .....	243
16.7	Examination of the appeal for admissibility .....	243
16.8	Interlocutory revision .....	244
16.9	Examination of the appeal .....	245
16.9.1	General procedure to be used .....	245
16.9.2	Extent to which the Board of Appeal in opposition proceedings may introduce new grounds or examine new claims .....	246
16.9.3	Extent to which the Board of Appeal in examination proceedings may introduce new grounds or examine new claims .....	247
16.9.4	Reformatio in peius .....	247
16.9.5	Intervention of an assumed infringer is possible in appeal proceedings .....	248
16.9.6	Discretion to hear accompanying persons .....	248
16.9.7	Amendment during appeal proceedings .....	248
16.9.8	Accelerated procedure .....	249
16.9.9	Consolidation of proceedings .....	249
16.9.10	EPO President’s right to comment .....	249
16.10	Decision on the appeal .....	249
16.10.1	Taking a decision – discretion of the Board to remit proceedings to the first instance.....	249
16.10.2	The binding effect of a decision on remittal .....	249
16.10.3	Form and content of the decision .....	250
16.11	Withdrawal of the appeal and the effect of deemed withdrawal of an application .....	250

**Chapter 17: Proceedings before the Enlarged Board of Appeal**

17.1	Interpretation of the law by the Enlarged Board of Appeal.....	252
17.2	Petition for review by the Enlarged Board of Appeal .....	252
17.2.1	Petition for review .....	252
17.2.2	Grounds on which a petition may be filed .....	252
17.2.3	Obligation to raise objections .....	253
17.2.4	A petition does not have suspensive effect .....	253
17.2.5	Filing a petition for review .....	253
17.2.6	Communication to the parties .....	254
17.2.7	Examination of the petition for review .....	254
17.2.8	Third-party rights.....	255
17.3	Procedure before the Enlarged Board of Appeal .....	256

**Chapter 18: The Application and Patent in the Contracting States**

18.1	The effect of a European patent application having a filing date .....	257
18.2	The effect of a published European patent application .....	257
18.3	The effect of a granted European patent .....	257
18.4	Effect of a granted European patent may be dependent on the filing of a translation .....	258
18.5	The London Agreement .....	258
18.6	Effect of revocation during opposition on rights pre- and post-grant ..	259
18.7	Extent of protection of a European application or patent .....	259
18.8	The term of a European patent .....	260
18.9	Conversion of a European patent application into a national patent application .....	260
18.9.1	Circumstances in which conversion is possible .....	260
18.9.2	Time limit for requesting conversion .....	261
18.9.3	Submission and transmission of the request .....	261
18.9.4	Formal requirements for conversion .....	261
18.9.5	Information available to the public in the event of conversion .....	261
18.10	Revocation of a European patent in Contracting States .....	262
18.10.1	Grounds for revocation .....	262
18.10.2	Partial revocation – right to amend .....	262
18.11	Collision of European and national patents and patent applications ..	262
18.12	National renewal fees for European patents .....	262
18.13	Provisions which apply to national utility models and utility certificates .....	262
18.14	Authentic text in national proceedings .....	263
18.15	Request by a national court for a technical opinion from an Examining Division .....	263

**Chapter 19: Time Limits and Procedural Safeguards**

19.1	Time limits .....	264
19.1.1	What is a “time limit”? .....	264
19.1.2	Computation of time limits .....	264
19.1.3	Units of time used .....	264
19.1.4	Day on which computation of time limit is to start .....	264
19.1.5	Expiry of time limits – years, months and weeks .....	264
19.1.6	Duration of time limits that are to be determined by the EPO .....	265
19.1.7	Extension of time limits determined by the EPO .....	265
19.2	Circumstances in which a missed time limit is excused where a document is sent in good time .....	265
19.3	Extension of time limits where the EPO or a national office is not open for business .....	266
19.4	Extension of time limits where there is a general interruption in mail delivery in a Contracting State .....	267
19.5	Extension of time limits where there is a war, revolution or similar event affecting the applicant or his representative .....	267
19.6	Further processing .....	267
19.7	Re-establishment of rights .....	268
19.7.1	Conditions necessary for re-establishment .....	268
19.7.2	Which parties to EPO proceedings can use re-establishment? .....	269
19.7.3	Grant or refusal – the effect of an allowable request .....	269
19.7.4	Exclusion of certain time limits from re-establishment .....	269
19.7.5	Procedure for applying for re-establishment – time limits .....	270
19.7.6	Grounds must be filed and fee paid .....	270
19.7.7	Department qualified to decide on the application for re-establishment ..	270
19.7.8	Third-party rights may be awarded .....	271
19.7.9	Contracting States may grant re-establishment for the EPC time limits that they have to administer .....	271
19.8	Interruption of proceedings .....	271

19.8.1	Circumstances under which proceedings may be interrupted . . . . .	271
19.8.2	Resumption of the proceedings . . . . .	271
19.8.3	Time limits on resumption . . . . .	272
19.8.4	Department responsible for questions concerning interruption . . . . .	272
19.9	Principle of good faith – protection of legitimate expectations . . . . .	272

### Chapter 20: Amendment and Correction

20.1	Circumstances in which amendment is allowed . . . . .	273
20.1.1	Amendment before receipt of the search report (direct filed European application) . . . . .	273
20.1.2	Single chance for voluntary amendment (direct filed European application) . . . . .	273
20.1.3	Further amendments require the consent of the Examining Division . .	273
20.1.4	Amendment during opposition and appeal . . . . .	273
20.2	Requirement to identify amendments and the basis for them . . . . .	273
20.3	Language and form of amendments . . . . .	274
20.4	Amendment must not add subject matter . . . . .	274
20.5	Circumstances in which amended claims may not to relate to unsearched subject matter . . . . .	275
20.6	Amendment must not extend the protection conferred by a patent . . . .	275
20.7	Correction of errors in documents . . . . .	276
20.7.1	What corrections are allowable? . . . . .	276
20.7.2	Corrections to the description, claims and drawings are governed by Art. 123(2) EPC . . . . .	277
20.7.3	Examples of allowable and non-allowable corrections . . . . .	277
20.7.4	Correction is only possible where proceedings are pending . . . . .	278
20.7.5	Competent body to decide on correction . . . . .	278
20.8	Correction of errors in decisions . . . . .	278

### Chapter 21: Inventorship, Ownership and Suspension of Proceedings

21.1	Right of the inventor to be mentioned . . . . .	279
21.1.1	Right of the inventor to be mentioned . . . . .	279
21.1.2	Designation of the inventor . . . . .	279
21.1.3	Rectification of the designation of the inventor . . . . .	279
21.1.4	Publication of mention of the inventor . . . . .	279
21.2	Right to a European patent . . . . .	279
21.3	Procedure where the applicant does not have the right to a European patent . . . . .	279
21.3.1	Jurisdiction of the Contracting States . . . . .	279
21.3.2	Stay of proceedings during examination . . . . .	280
21.3.3	Calculation of time limits when proceedings are resumed . . . . .	281
21.3.4	No withdrawal during stay of proceedings . . . . .	281
21.3.5	Remedies following a final decision . . . . .	281
21.3.6	Partial transfer of right by virtue of a final decision . . . . .	282
21.3.7	EPO division responsible . . . . .	282
21.3.8	Stay in opposition proceedings . . . . .	282

### Chapter 22: Representation

22.1	Kinds of representation available . . . . .	283
22.1.1	Choice of representation for a person having a residence or principal place of business within a Contracting State . . . . .	283
22.1.2	Choice of representation for a person not having a residence or principal place of business within a Contracting State . . . . .	283
22.1.3	Common representative for parties acting in common . . . . .	283
22.2	Professional representation . . . . .	284
22.2.1	Those who can act as a professional representative . . . . .	284
22.2.2	Right of a person acting as a professional representative to set up in business . . . . .	284
22.2.3	Procedure for being entered on the list of professional representatives .	284

22.2.4	The European Qualifying Exam .....	285
22.2.5	Institute of Professional Representatives before the EPO .....	285
22.2.6	Circumstances in which a representative may be deleted from the list .....	285
22.2.7	Re-entry on the list following deletion .....	286
22.2.8	Attorney-client evidentiary privilege .....	286
22.3	Authorisation .....	286
22.3.1	Requirement to file an authorisation .....	286
22.3.2	Form and content of an authorisation .....	287
22.3.3	Consequences of not filing an authorisation when requested .....	287
22.3.4	Withdrawal/termination of an authorisation .....	287
22.3.5	Where several representatives are appointed .....	287
22.3.6	The authorisation of an association .....	288

### Chapter 23: Languages

23.1	Languages of the EPC—authentic text .....	289
23.2	Official languages of the EPO .....	289
23.3	Language in which an application can be filed .....	289
23.4	Language of filing determines the language of proceedings and the authentic text .....	289
23.5	Language of the proceedings to be used in all proceedings except where exceptions are provided for .....	289
23.6	Language to be used in written procedures – exceptions to the use of the language of the proceedings .....	289
23.7	Consequence of not using an admissible language or not filing a required translation in written proceedings .....	290
23.8	Language to be used in oral proceedings – exceptions to the use of the language of the proceedings .....	291
23.9	Certification of translated documents .....	291
23.10	Language of publication of applications, patents, the Bulletin, the Official Journal and entries in the Register .....	291
23.11	Languages of the Administrative Council .....	292

### Chapter 24: Miscellaneous Common Provisions

24.1	Principles of interpretation relevant to the EPC .....	293
24.2	Rules relating to documents filed subsequently to the filing of the application .....	293
24.2.1	Where and how to file subsequent documents .....	293
24.2.2	Rules relating to content and form .....	294
24.2.3	Need for a signature .....	294
24.3	Withdrawal of applications, patents, designations, extensions, priority claims, oppositions, requests for limitation/revocation and appeals ...	294
24.3.1	Withdrawal of an application .....	294
24.3.2	Withdrawal of part of the subject matter of an application .....	295
24.3.3	Withdrawal of a designation .....	295
24.3.4	Withdrawal of a request for extension or validation .....	295
24.3.5	Withdrawal of a priority claim .....	295
24.3.6	Withdrawal of an opposition .....	295
24.3.7	Withdrawal of an appeal .....	295
24.3.8	Withdrawal of a patent .....	295
24.3.9	Withdrawal of a request for limitation/revocation .....	296
24.4	Renewal fees .....	296
24.4.1	Requirement to pay renewal fees .....	296
24.4.2	Consequences of non-payment – grace period .....	296
24.4.3	Provisions in respect of divisional applications .....	296
24.4.4	Provisions in respect of applications which have been refused or deemed withdrawn .....	297
24.4.5	Renewal fees when the Enlarged Board of Appeal reopens proceedings before the Board of Appeal .....	297
24.4.6	Provisions in respect of replacement applications .....	297

24.4.7	Refund of a renewal fee .....	297
24.5	Assignment, licensing and other property transactions .....	298
24.5.1	Transfer and constitution of rights .....	298
24.5.2	Assignment .....	298
24.5.3	Contractual licensing .....	298
24.5.4	Law applicable .....	298
24.5.5	Registration of a transfer of an application or a patent .....	298
24.5.6	Registration of the grant or transfer of a licence and other transactions relating to a patent application .....	298
24.5.7	EPO department responsible .....	299
24.6	Observations by third parties .....	299
24.7	Notification by the EPO .....	300
24.7.1	Subject matter of notifications .....	300
24.7.2	Form of notification .....	300
24.7.3	Person to whom notification is made .....	300
24.7.4	Notification by postal services – deemed notification on the tenth day following posting .....	300
24.7.5	Notification by delivery by hand .....	301
24.7.6	Notification by public notice .....	301
24.7.7	Notification by technical means of communication .....	301
24.7.8	Notification through the central industrial property office of a Contracting State .....	302
24.7.9	Irregularities in notifications .....	302
24.7.10	Notification of loss of rights .....	302
24.7.11	Communications and notices to be signed and identify author .....	302
24.8	Decisions .....	302
24.8.1	Decisions only to be based on grounds/evidence on which the parties have had an opportunity to comment .....	302
24.8.2	Applicant or proprietor to submit or agree text decided on – auxiliary requests .....	303
24.8.3	Form of decisions .....	303
24.8.4	The finality of a decision .....	304
24.8.5	Obtaining a decision after the EPO has notified a loss of rights .....	304
24.8.6	Decisions to be signed and identify author .....	304
24.8.7	Notification of decisions .....	305
24.8.8	Correction of errors in decisions .....	305
24.8.9	Interlocutory decisions .....	305
24.9	Examination by the EPO of its own motion .....	305
24.10	Facts and evidence submitted late may be ignored .....	305
24.11	Oral proceedings .....	306
24.11.1	Extent of the right to oral proceedings .....	306
24.11.2	Summons to oral proceedings .....	306
24.11.3	Consequence of summoned party not turning up .....	306
24.11.4	Preparation for oral proceedings by the parties .....	307
24.11.5	Extent to which oral proceedings are open to the public .....	307
24.11.6	Procedure in oral proceedings .....	308
24.11.7	Minutes of oral proceedings .....	309
24.11.8	Fresh oral proceedings if the composition of a Board of Appeal changes .....	309
24.12	Taking of evidence .....	309
24.12.1	Forms of evidence available to the EPO .....	309
24.12.2	Principles to be applied when evaluating evidence .....	310
24.12.3	Decision to take evidence .....	310
24.12.4	Summons to give evidence before the EPO .....	310
24.12.5	Hearing of evidence before a competent court .....	311
24.12.6	Examination of evidence before the EPO .....	311
24.12.7	The opinion of experts .....	311
24.12.8	Costs of taking evidence .....	311

24.12.9	Conservation of evidence .....	312
24.12.10	Minutes of taking of evidence/inspection .....	312
24.13	Authentic text of a European patent or application .....	312
24.14	Unity of a European patent application or European Patent .....	313
24.15	Request for information concerning prior art .....	313
24.16	Reference to the procedural law of the Contracting States .....	315

#### Chapter 25: Information Made Available by the EPO

25.1	The Register of European patents .....	316
25.1.1	Content of the register .....	316
25.1.2	No entry in the register prior to publication of the application .....	317
25.1.3	Register to be open to the public .....	317
25.1.4	Language of the register .....	317
25.2	Inspection of files relating to applications .....	317
25.2.1	No inspection of files relating to unpublished application except where rights have been invoked .....	317
25.2.2	Inspection of files after publication of the application .....	317
25.2.3	Procedure for the inspection of files and communication of information in the files .....	318
25.2.4	Maintenance of the files .....	318
25.3	The Official Journal .....	319
25.4	The Bulletin .....	319
25.5	Exchanges of information between the EPO and national authorities/courts .....	319

#### Chapter 26: Special Agreements under the EPC

26.1	Unitary patents .....	321
26.1.1	Grant of a unitary patent by the EPO .....	321
26.1.1.1	Switzerland/Liechtenstein unitary patent .....	321
26.1.1.2	EU unitary patent .....	321
26.1.2	Special department of the EPO .....	322
26.1.3	Representation before special departments .....	322
26.1.4	Select Committee of the Administrative Council .....	322
26.1.5	Cover for expenditure for carrying out special tasks .....	322
26.1.6	Payments in respect of renewal fees for unitary patents .....	322
26.1.7	The European patent application as an object of property .....	323
26.1.8	Joint designation .....	323
26.2	Other agreements between the Contracting States .....	323

#### Chapter 27: Rules Relating to Fees

27.1	The Administrative Council adopts the rules relating to fees .....	324
27.2	Purpose of the rules relating to fees .....	324
27.3	Fees, costs and prices laid down by the President .....	324
27.4	Amounts of fees to be published .....	324
27.5	Due date for fees where not specified .....	324
27.6	Currency to be used .....	324
27.7	Payment or transfer to an EPO bank account .....	324
27.8	Payment by other methods – deposit accounts and credit cards .....	324
27.9	Safeguard in cases where payment is deemed not to have been made in time .....	326
27.10	The EPO must be able to establish what a payment is for .....	327
27.11	Who may make payments? To whom will refunds be paid? .....	327
27.12	Procedure where the amount paid is insufficient .....	327
27.13	Refund of insignificant amounts .....	327
27.14	Refund in other cases .....	328

## PART C – THE PCT

## Chapter 28: Institutional Aspects and Definitions

28.1	Establishment of a Union .....	329
28.2	Parts of the Union .....	329
28.2.1	The Assembly .....	329
28.2.2	The International Bureau .....	329
28.3	Regulations and Administrative Instructions .....	329
28.3.1	Regulations under the PCT .....	329
28.3.2	Administrative Instructions .....	329
28.4	The Gazette .....	329
28.5	Definitions/Interpretations .....	330

## Chapter 29: The Application

29.1	Elements of the application .....	332
29.2	General and physical requirements of the application .....	332
29.2.1	Prohibited matter .....	332
29.2.2	Number of copies to be filed .....	332
29.2.3	Terminology and signs .....	332
29.2.4	Physical requirements .....	332
29.3	Requirements relating to the request .....	332
29.3.1	Use of a specified form .....	332
29.3.2	Petition .....	333
29.3.3	Title .....	333
29.3.4	Details of the applicant .....	333
29.3.5	Details of the inventor .....	333
29.3.6	Details of any agent .....	333
29.3.7	Details of any common representative .....	334
29.3.8	Requirements for providing names and addresses .....	334
29.3.9	Address for correspondence .....	334
29.3.10	Designation of Contracting States .....	334
29.3.11	Designation of the EPO .....	335
29.3.12	Kind of protection sought .....	335
29.3.13	Priority claim .....	335
29.3.14	Restoration of the right of priority .....	336
29.3.15	Transmittal of certified copy .....	336
29.3.16	Statement of incorporation by reference .....	336
29.3.17	Choice of international searching authority .....	336
29.3.18	Use of the results of earlier search or search opinion .....	336
29.3.19	Standardised declarations .....	337
29.3.20	Check list .....	338
29.3.21	Signature of the applicant .....	338
29.3.22	Reference to a parent application or patent .....	338
29.3.23	No further content of the request is allowed .....	338
29.4	Requirements Relating to the Description .....	339
29.4.1	Need for a sufficient disclosure .....	339
29.4.2	Content of the description .....	339
29.4.3	Order of presentation of the content of the description .....	339
29.5	Requirements relating to the claims .....	339
29.5.1	Requirement for clarity, conciseness and support .....	339
29.5.2	Claims to define matter the applicant seeks to protect .....	339
29.5.3	Situations in which two-part form is required .....	339
29.5.4	Number and type of claims allowed .....	340
29.5.5	Numbering of the claims .....	340
29.5.6	Omnibus claims generally not allowed .....	340
29.5.7	References in claims to reference signs in figures .....	340
29.5.8	Manner of claiming in respect of an application for a utility model .....	340
29.5.9	Unity of invention .....	341
29.6	Requirements relating to the abstract .....	341

29.7	Requirements relating to the drawings .....	341
29.8	Requirements relating to any priority claim .....	342
29.8.1	Relevance of the Paris Convention .....	342
29.8.2	Who may make a claim to priority? .....	342
29.8.3	Length of the priority period .....	342
29.8.4	Restoration of a right to priority by the receiving Office where the time limit is missed .....	342
29.8.5	The whole content of the previous application can support a priority right .....	343
29.8.6	What kind of application may be used as a basis for claiming priority? .....	344
29.8.7	Priority claims originating in World Trade Organisation countries do not apply in respect of the EPO if the priority-claiming application was filed before the coming into force of EPC2000 .....	344
29.8.8	Procedure for claiming priority – declaration .....	344
29.8.9	Procedure for claiming priority – certified copy .....	345
29.8.10	Procedure for claiming priority – translation .....	345
29.8.11	Can one application claim more than one priority? .....	346
29.8.12	Effect of the claim to priority in the international phase .....	346
29.8.13	Effect of designating a State in which the priority application was filed .....	346
29.9	Language requirements of the application .....	346
29.9.1	Acceptable languages of filing .....	346
29.9.2	Languages the receiving Office must accept .....	346
29.9.3	Circumstances in which the applicant must provide a translation for international search .....	346
29.9.4	Circumstances in which the applicant must provide a translation for international publication .....	347
29.9.5	Procedure where the request is not in a language of publication .....	347
29.9.6	Procedure where language of filing is not accepted by the receiving Office .....	347
29.10	Requirements relating to biotechnological inventions .....	348
29.10.1	Sequence listings .....	348
29.10.2	Deposit of biological material .....	348

### Chapter 30: Filing an International Patent Application

30.1	Who is entitled to file an international patent application? .....	349
30.2	Where may an international patent application be filed? .....	349
30.3	Procedure when the application is filed in the wrong place .....	350
30.4	The receiving Office can apply national law relating to representation .....	350
30.5	Those entitled to use the EPO as a receiving Office .....	350
30.6	Filing an international application with the EPO .....	350
30.7	Manner of filing the application .....	351
30.7.1	The use of paper .....	351
30.7.2	The use of telegraph, teleprinter, or facsimile .....	351
30.7.3	Filing in electronic form .....	352
30.8	Payment of Fees .....	352
30.8.1	Transmittal fee .....	352
30.8.2	Transmittal fee where the EPO is the receiving Office .....	352
30.8.3	International filing fee .....	352
30.8.4	Search fee .....	353
30.8.5	Late payment of fees .....	353
30.8.6	Consequences of not paying fees .....	354

### Chapter 31: Procedure of the Receiving Office

31.1	Examination as to whether a filing date can be accorded .....	355
31.1.1	Incorporation of the description and claims by reference – reservations .....	355
31.1.2	Requirements for a filing date .....	356
31.1.3	Procedure where a filing date can be accorded .....	356



31.1.4	Procedure where a filing date cannot be accorded . . . . .	357
31.1.5	Procedure where parts of the application are missing . . . . .	358
31.1.6	Review of the decision to award a filing date . . . . .	360
31.1.7	Supply to the applicant of certified copies of the application as filed . . . . .	360
31.2	Copying and transmittal of the international application by the receiving Office . . . . .	360
31.2.1	National security provisions . . . . .	360
31.2.2	Number of copies of the application required – responsibility for their provision . . . . .	360
31.2.3	Retention of the home copy by the receiving Office . . . . .	361
31.2.4	Transmittal by the receiving Office of the record copy to the International Bureau . . . . .	361
31.2.5	An international application is considered withdrawn if the International Bureau does not receive the record copy in time . . . . .	361
31.2.6	Procedure where the International Bureau receives the record copy in time – notification of receipt . . . . .	362
31.2.7	Transmittal by the receiving Office of a translation of the international application to the International Bureau . . . . .	362
31.2.8	Transmittal by the receiving Office of the search copy and any sequence listing in electronic form to the International Searching Authority . . . . .	362
31.2.9	Procedure of the International Searching Authority on receipt of the search copy . . . . .	362
31.2.10	Transmittal of documents relating to earlier search or classification . . . . .	362
31.3	Examination of formal requirements under Art. 14(1)(a) . . . . .	363
31.3.1	Was the application signed properly? . . . . .	363
31.3.2	Are the correct indications concerning the applicant present? . . . . .	363
31.3.3	Does the application contain a title? . . . . .	364
31.3.4	Does the application contain an abstract? . . . . .	364
31.3.5	Are certain of the physical requirements met? . . . . .	364
31.3.6	Invitation to correct defects where formal requirements of Art. 14(1)(a) are not met . . . . .	364
31.3.7	Format of any correction offered to the receiving Office . . . . .	365
31.4	Examination of other formal requirements . . . . .	365
31.4.1	Are the abstract, request and text matter of the drawings in the correct language? . . . . .	365
31.4.2	Has any priority claim been made correctly? . . . . .	366
31.4.3	Is any declaration under r.4.17 correctly made? . . . . .	367
31.4.4	Requirements relating to the submission of a translation . . . . .	367
31.4.5	The role of the International Bureau and International Searching Authority in identifying defects . . . . .	367
31.4.6	Procedure when the receiving Office declares that the application is considered withdrawn . . . . .	367
<b>Chapter 32: Drawing up the International Search Report</b>		
32.1	Authorities competent to carry out international search . . . . .	369
32.1.1	What is an International Searching Authority? . . . . .	369
32.1.2	Requirements that must be met by an International Searching Authority . . . . .	369
32.1.3	Appointment of International Searching Authorities . . . . .	369
32.1.4	Receiving Offices specify the competent International Searching Authority or Authorities . . . . .	369
32.1.5	Limitations set by the EPO on its competence as International Searching Authority . . . . .	370
32.2	The nature of an international search . . . . .	370
32.2.1	The purpose of an international search . . . . .	370
32.2.2	Basis of the international search . . . . .	370
32.2.3	Definition of relevant prior art . . . . .	370
32.2.4	Fields to be covered . . . . .	371

32.2.5	Minimum documentation .....	371
32.3	The nature of an international-type search.....	371
32.4	Procedure for conducting the search .....	371
32.4.1	General aspects .....	371
32.4.2	Check that title and abstract are present and appropriate .....	371
32.4.3	Check whether sequence listings have been provided properly .....	372
32.4.4	Determination as to whether a search is possible .....	372
32.4.5	Check for unity of invention .....	373
32.4.6	Lack of unity where the EPO is the International Searching Authority.....	374
32.4.7	Taking into account results of an earlier search or search opinion .....	374
32.4.8	Taking into account the rectifications of obvious mistakes .....	375
32.5	The International Search Report, the written opinion and the International Preliminary Report on Patentability .....	375
32.5.1	Time limit for establishing the search report .....	375
32.5.2	Form of the search report .....	376
32.5.3	Written opinion of the International Searching Authority .....	377
32.5.4	Transmittal of the search report and written opinion to the applicant and the International Bureau .....	377
32.5.5	Preparation by the International Bureau of an International Preliminary Report on Patentability (IPRP) and transmission to the applicant .....	378
32.5.6	Translation of the search report by the International Bureau .....	378
32.5.7	Translation of the written opinion or Preliminary Report on Patentability by the International Bureau and communication of the report and its translation to designated Offices .....	378
32.5.8	Requests by a receiving Office or the applicant for copies of cited documents .....	379
32.5.9	Publication of the search report .....	379
32.5.10	Public availability of the written opinion .....	379

### Chapter 33: Supplementary International Searches

33.1	Filing a request for a supplementary international search .....	380
33.1.1	Time limit .....	380
33.1.2	Where must the request be filed and what language should be used? ..	380
33.1.3	Can more than one request be filed? .....	380
33.1.4	Competent International Searching Authority .....	380
33.1.5	Content of the request .....	380
33.1.6	Requirement to pay fees .....	381
33.1.7	Situations under which the request is considered not to have been submitted.....	382
33.2	Processing of the request for supplementary international search by the International Bureau .....	382
33.2.1	Checking of the supplementary search request .....	382
33.2.2	Correction of defects and late payment of fees.....	382
33.2.3	Transmittal to International Searching Authority .....	382
33.3	Procedure for carrying out the supplementary international search ...	383
33.3.1	Start date for the search .....	383
33.3.2	Basis for the search .....	383
33.3.3	General procedure .....	383
33.3.4	Procedure in the case of a lack of unity .....	384
33.4	The supplementary International Search Report .....	385
33.4.1	Drawing up the supplementary International Search Report .....	385
33.4.2	Transmittal and effect of the supplementary International Search Report.....	385
33.4.3	Public availability of the supplementary International Search Report .	386

**Chapter 34: Amendment of the Application under Article 19**

34.1	Amendment of claims before the International Bureau .....	387
34.1.1	When can the applicant amend the claims? .....	387
34.1.2	Where should any amendments be filed? .....	387
34.1.3	Language of the amendments .....	387
34.1.4	Form of any amendments .....	387
34.1.5	Statement accompanying the amendments .....	388
34.1.6	Prohibition on added subject matter .....	388
34.2	Notification of amendments to the International Preliminary Examining Authority when a demand has been filed .....	388

**Chapter 35: Publication of the Application and the Search Report**

35.1	Responsibility for international publication .....	389
35.2	Timing of international publication .....	389
35.3	Circumstances where no publication takes place .....	389
35.4	Language and form of the publication .....	390
35.4.1	Where the language of filing is used .....	390
35.4.2	Where the language of a translation is used .....	390
35.4.3	Translation of parts of the pamphlet into English where English is not the language of publication .....	390
35.4.4	Form of the publication .....	390
35.5	Contents of the publication .....	390
35.5.1	A standardised front page (r.48.2(a)(i)) .....	390
35.5.2	The description (r.48.2(a)(ii)) .....	391
35.5.3	The claims (r.48.2(a)(iii)) .....	391
35.5.4	Any drawings (r.48.2(a)(iv)) .....	391
35.5.5	The International Search Report or Art. 17(2)(a) declaration (r.48.2(a)(v)) .....	391
35.5.6	Any statement filed under Art. 19(1) (r.48.2(a)(vi)) .....	391
35.5.7	Any request for rectification (r.48.2(i)) .....	391
35.5.8	Indications relating to biological material (r.48.2(viii)) .....	392
35.5.9	Information concerning a priority claim (r.48.2(ix)) .....	392
35.5.10	Any declaration (r.48.2(x)) .....	392
35.5.11	Request for restoration of the priority right (r.48.2(xi)) .....	392
35.6	Matter excluded from the publication .....	392
35.7	Notice of publication in the Gazette .....	393
35.8	Publication of a notice that the application is considered withdrawn where withdrawal is received too late to stop publication .....	393

**Chapter 36: Communications to National and Regional offices**

36.1	Communication of the application (Art. 20) to designated States by the International Bureau .....	394
36.1.1	In what circumstances does the communication occur? .....	394
36.1.2	Normal timing of the communication and procedure where early national processing has been requested .....	394
36.1.3	Content of the communication .....	394
36.1.4	Responsibility for making copies .....	394
36.1.5	Language of the communication .....	394
36.1.6	Notification of the Art. 20 communication to the applicant .....	394
36.1.7	Designated Offices must accept the r.47.1(c) notification as evidence that the Art. 20 communication has occurred or is not necessary .....	395
36.2	Other information that is communicated to designated States by the International Bureau on request .....	395
36.2.1	Fact and date of receipt of the record copy and priority document ....	395
36.2.2	Transmission of the application to a designated Office other than the Art. 20 communication .....	395

### Chapter 37: Entry into the National/Regional Phase

37.1	Overview .....	396
37.2	Timing of national phase entry under Art. 22 .....	396
37.2.1	Standard 30 month time limit .....	396
37.2.2	Specification of a later time limit than 30 months by a designated Office .....	396
37.3	Supply of a copy of the international application .....	397
37.4	Supply of a translation of the international application .....	397
37.4.1	Requirements of the translation .....	397
37.4.2	Consequences of certain defects in the translation .....	398
37.4.3	Where requirements regarding the translation change.....	398
37.5	Payment of the national fee .....	399
37.6	Supply of indications concerning the inventor .....	399
37.7	Use of a national form .....	399
37.8	Procedure where applicant has performed the Art. 22 acts and the designated Office has not been informed that the International Bureau has received the record copy .....	399
37.9	Indications as to protection sought for the purposes of national processing .....	399
37.10	Consequences of not performing the Art. 22 acts .....	400
37.11	National and regional phase entry under Art. 39.....	400
37.11.1	Effect of election prior to 19 months on the application of Art. 22 ....	400
37.11.2	Necessary acts to enter the national phase under Art. 39 and the relevant time limit .....	400
37.11.3	Consequences of missing the Art. 39 time limit.....	400
37.11.4	Application of certain rules to national phase entry under Art. 39.....	400
37.11.5	Time limit for supplying a translation of the priority document to an elected State .....	401
37.12	Procedure before the EPO as a designated or elected Office .....	401
37.12.1	Entry into the EPO regional phase.....	401
37.12.2	Supply of a translation .....	402
37.12.3	Specification of documents on which the grant procedure is to be based .....	402
37.12.4	Filing fee .....	403
37.12.5	Designation fee .....	403
37.12.6	Extension fees .....	404
37.12.7	Validation fees .....	404
37.12.8	Supplementary European search and fee.....	405
37.12.9	Request for examination .....	407
37.12.10	Renewal fee.....	407
37.12.11	Certificate of exhibition.....	408
37.12.12	Amendment of the application and invitation to correct deficiencies ..	408
37.12.13	Claims fees .....	408
37.12.14	Designation of the inventor .....	409
37.12.15	Requirements relating to a priority claim.....	409
37.12.16	Provision of a sequence listing .....	410
37.12.17	Details relating to the applicant .....	410
37.12.18	Representation.....	411
37.12.19	Circumstances in which international publication takes the place of European publication .....	411
37.12.20	Opportunity to have a search report drawn up in respect of an invention not searched by the EPO in the international phase when no supplementary European search is necessary .....	411
<h3>Chapter 38: International Preliminary Examination</h3>		
38.1	Which designated States does Chapter II apply to? .....	413
38.2	Who may apply for international preliminary examination and which States may be elected.....	413

38.3	Authority competent to conduct international preliminary examination .....	413
38.3.1	Receiving Offices specify the competent International Preliminary Examining Authority or Authorities .....	413
38.3.2	Limitations set by the EPO on its competence as International Preliminary Examining Authority .....	414
38.4	How to apply for international preliminary examination – the demand .....	414
38.4.1	Demand .....	414
38.4.2	Time limit .....	415
38.4.3	Where to apply .....	415
38.4.4	Use of a form .....	415
38.4.5	Content of the demand .....	415
38.4.6	Filing the demand constitutes the election of all eligible States .....	416
38.4.7	The EPO as an elected Office .....	417
38.4.8	Fees due .....	417
38.4.9	Acceptable languages of the demand .....	418
38.4.10	Acceptable languages of the application .....	418
38.4.11	Acceptable languages of amendments .....	418
38.4.12	Languages before the EPO .....	419
38.5	Later election of States .....	419
38.6	Procedure where there are defects in the demand .....	419
38.6.1	Applicant not entitled to make a demand .....	419
38.6.2	Invitation by the International Preliminary Examining Authority to correct formal defects .....	419
38.6.3	Procedure where a statement concerning amendments is omitted or is misleading .....	420
38.6.4	Defects noticed by the International Bureau .....	420
38.7	Procedural steps taken by the international authorities on receipt of the demand .....	420
38.7.1	Procedure of the International Preliminary Examining Authority on receipt of the demand – notification to the International Bureau and the applicant .....	420
38.7.2	Notification to elected States of their election by the International Bureau and other related actions .....	420
38.7.3	Notification of the written opinion and any Art. 19 amendments to the International Preliminary Examining Authority by the International Bureau .....	421
38.8	The objective of international preliminary examination .....	421
38.8.1	Aspects of patentability examined .....	421
38.8.2	Definitions of novelty, inventive step and industrial applicability .....	421
38.8.3	Definition of prior art .....	422
38.8.4	Documents to be taken into consideration .....	422
38.9	Procedure before the International Preliminary Examining Authority .....	422
38.9.1	When international preliminary examination starts and finishes .....	422
38.9.2	General provisions governing procedure .....	423
38.9.3	Right of the applicant to communicate with the International Preliminary Examining Authority .....	423
38.9.4	Documents on which the examination is based .....	423
38.9.5	Applicant's right to amend .....	423
38.9.6	Situations where the International Preliminary Examining Authority is not obliged to examine part of or the whole of an application .....	424
38.9.7	The written opinion of the International Preliminary Examining Authority and responses thereto .....	425
38.9.8	Circumstances in which the written opinion established by the International Searching Authority is considered to be a written opinion of the International Preliminary Examining Authority .....	426
38.9.9	Situation where amendments and arguments may be ignored .....	426

38.9.10	Procedure where the International Preliminary Examining Authority needs a copy of the priority document or translation thereof.....	427
38.9.11	Procedure where unity is in dispute .....	427
38.9.12	Lack of unity where the EPO is International Preliminary Examining Authority .....	428
38.9.13	Procedure where a sequence listing is absent or in the wrong format ..	428
38.9.14	Top-up search .....	428
38.10	The International Preliminary Examination Report (IPER).....	429
38.10.1	Time limit for establishing the International Preliminary Examination Report.....	429
38.10.2	Requirements as to form .....	429
38.10.3	Language of the report (and any annexes) .....	429
38.10.4	Documents on which the report is based .....	429
38.10.5	Information on the first page .....	429
38.10.6	Comments on amendments and the correction of mistakes .....	429
38.10.7	Comments on priority .....	430
38.10.8	Comments on the non-establishment of an opinion .....	430
38.10.9	Comments on lack of unity .....	430
38.10.10	Statement regarding patentability under Art. 35(2) .....	430
38.10.11	Certain documents cited .....	431
38.10.12	Certain defects in the application.....	431
38.10.13	Certain observations on the application .....	431
38.10.14	Annexes to the report .....	431
38.10.15	Comment on top-up search .....	432
38.11	Translation and communication of the International Preliminary Examination Report and its annexes.....	432
38.11.1	Transmission of International Preliminary Examination Report to the International Bureau and the applicant by the International Preliminary Examining Authority.....	432
38.11.2	Translation by the International Bureau of the International Preliminary Examination Report and its transmission to the elected Offices and the applicant.....	432
38.11.3	Translation and transmission of the written opinion prepared under r.43bis.1 where the International Preliminary Examination Report is not available and the applicant has requested early processing in an elected Office.....	433
38.11.4	Translation of the annexes of the International Preliminary Examination Report by the applicant and transmission of the translation to the elected Offices .....	433
38.11.5	Supply of documents cited in the International Preliminary Examination Report to the applicant and elected Offices by the International Preliminary Examining Authority .....	433
<b>Chapter 39: National Phase Aspects</b>		
39.1	The effect of an international patent application having a filing date ..	434
39.1.1	Nature of the effect .....	434
39.1.2	Circumstances in which the effect is lost .....	434
39.1.3	Exceptions to the effect – the prior art effect of an international application in a designated State.....	434
39.1.4	Definition of a Euro-PCT application .....	435
39.1.5	Extension of the effect to successor states .....	435
39.2	The effect of a published international patent application .....	435
39.2.1	Provisions of the PCT .....	435
39.2.2	Provisions of the EPC–publication of the translation .....	436
39.3	Examination by national Offices .....	436
39.3.1	When national processing may begin .....	436
39.3.2	Right to amend when entering the national phase under Chapter I....	436
39.3.3	Right to amend when entering the national phase under Chapter II ...	437
39.3.4	Right to amend on entering the EPO regional phase.....	437

39.3.5	Procedure where unity has been impugned in the international phase .	437
39.3.6	Consideration of unity by the EPO .....	437
39.3.7	Effect on a designated Office of a decision by the receiving Office to base a filing date on documents incorporated by reference in the case where reservations have been filed or errors made .....	438
39.3.8	Requirements relating to form or contents additional to those in the PCT may not be imposed by national Offices.....	438
39.3.9	Requirements relating to the submission of certain documents (e.g. as evidence) that may be imposed by national Offices .....	439
39.3.10	Requirements relating to the certification/verification of the Art. 22 translation that may be imposed by national Offices .....	440
39.3.11	Consequences of submitting or not submitting a copy of the priority document in the international phase – how a designated Office obtains a copy.....	440
39.3.12	Requirement to submit a translation of the priority document .....	440
39.3.13	The effect on designated Offices of a decision by the receiving Office to restore a right of priority .....	441
39.3.14	The effect on designated Offices of a decision by the receiving Office to refuse restoration of a right of priority .....	442
39.3.15	Request by the applicant for a designated Office to restore a right to priority .....	442
39.3.16	Substantive conditions of patentability that may be imposed by Contracting States.....	443
39.3.17	Requirement by Contracting States that the inventor(s) must be the applicant(s)–procedure when not abided by.....	443
39.3.18	Requirements relating to representation that may be imposed by Contracting States.....	443
39.3.19	Removal of reference signs in claims for publication .....	443
39.3.20	Submission of a sequence listing .....	443
39.3.21	Special provisions relating to utility models.....	443
39.3.22	Any requirement to supply the results of examination in other States is not allowed if an International Preliminary Examination Report has been received.....	444
39.4	Consequences of an incorrect translation on the scope of a patent obtained .....	444
<b>Chapter 40: The Calculation of Time Limits and Procedural Safeguards</b>		
40.1	Expression of dates.....	445
40.2	Time limits to be calculated from date of mailing .....	445
40.3	Computation of time limits .....	445
40.4	Extension of time limits where a national Office or intergovernmental organisation is not open for business .....	445
40.5	Extension of time limits where mail is not delivered in a relevant locality on the last day of a time limit.....	446
40.6	Circumstances in which a missed time limit is excused where a document is sent in good time .....	446
40.7	Excuse of the delay in meeting a time limit in the case of war, revolution, civil disorder, strike, natural calamity or unavailability of electronic communication .....	447
40.8	Extension of a time limit where a letter is received more than seven days after posting .....	447
40.9	Chance for the applicant to escape a negative determination made in the international phase .....	447
40.9.1	Overview .....	447
40.9.2	Duty of the International Bureau to supply documents to designated States when the International Bureau or receiving Office has made a negative determination .....	448

40.9.3	Assessment by the designated Office as to whether the applicant or the International Bureau/receiving Office is at fault according to the PCT .....	448
40.9.4	Right of any designated State to maintain the effect of an international application in that State when it does not have to .....	448
40.9.5	The duty of Contracting States to excuse missed time limits under provisions of national law .....	448
40.10	Opportunity to correct an application where allowed under national law .....	449
40.11	Rectification of errors made by the receiving Office or the International Bureau concerning filing date and priority claim .....	449
40.12	Reinstatement of rights after failure to enter the national phase within the time limit .....	449

#### Chapter 41: Rectification of Mistakes

41.1	Mistakes that may be rectified .....	451
41.2	Mistakes that may not be rectified .....	451
41.3	Authority responsible for authorising rectification .....	451
41.4	Either the applicant or an international authority may initiate rectification .....	452
41.5	Procedure for requesting rectification – time limit .....	452
41.6	Decision on the authorisation of a rectification .....	452
41.7	Language of the correction .....	453

#### Chapter 42: Representation

42.1	Requirements relating to representation that may be imposed by the receiving Office .....	454
42.2	Requirements relating to representation that may be imposed by Contracting States .....	454
42.3	Right to practice before international authorities .....	454
42.4	Agents and common representatives .....	455
42.4.1	Appointment of an agent .....	455
42.4.2	Representative where there are two or more applicants .....	455
42.4.3	Effects of acts carried out by representatives and agents .....	456
42.4.4	Manner of appointment of an agent or common representative .....	456
42.4.5	Manner of renunciation of an agent or common representative .....	457

#### Chapter 43: Miscellaneous Common Provisions

43.1	Relationship between the PCT and the EPC .....	458
43.2	Rules relating to documents filed subsequently to the filing of the application .....	458
43.2.1	Need for papers to be accompanied by a signed letter .....	458
43.2.2	Language of letters and documents .....	458
43.2.3	Form of subsequently filed documents .....	459
43.2.4	The use of telegraph, teleprinter, facsimile to transmit subsequently filed documents .....	459
43.2.5	The use of electronic means to transmit subsequently filed documents .....	459
43.3	Withdrawal of an international application, a designation, an election, a demand or a priority claim .....	460
43.3.1	Withdrawal of an international application .....	460
43.3.2	Withdrawal of a designation .....	461
43.3.3	Withdrawal of a priority claim .....	461
43.3.4	Withdrawal of a supplementary search request .....	462
43.3.5	Withdrawal of the demand or of elections .....	462
43.4	Recordal of changes concerning an applicant, inventor, agent or common representative by the International Bureau .....	463
43.5	Notification by national Offices and intergovernmental organisations .....	463



43.6	Schedule of Fees .....	463
43.7	Third party observations .....	464
43.8	Offer to license an international application .....	464
<b>Chapter 44: Information Made Available by the International Authorities and Designated/Elected Offices</b>		
44.1	Confidential nature of the international application before its publication.....	465
44.2	Confidential nature of the written opinion of the International Searching Authority and related documents (applications filed before 01 July 2014) .....	465
44.3	Confidential nature of international preliminary examination .....	466
44.4	Obligation for international authorities to keep files .....	466
44.5	Access allowed to files (applications filed on or after July 1, 1998).....	466
44.5.1	Access to the file held by the International Bureau .....	466
44.5.2	Access to the file held by the receiving Office.....	467
44.5.3	Access to the file held by the International Searching Authority and supplementary International Searching Authority .....	467
44.5.4	Access to the file held by the International Preliminary Examining Authority .....	468
44.5.5	Access to the file held by a designated Office .....	468
44.5.6	Access to the file held by an elected Office .....	468
44.6	Access allowed to files (applications filed before July 1, 1998).....	469
44.7	Availability of the priority document from the International Bureau (all applications) .....	469
44.8	Availability of translations required by national Offices (all applications) .....	469
44.9	Availability of citations in the International Search Report from the International Searching Authority (all applications) .....	469
44.10	Availability of citations in the International Preliminary Examination Report from the International Preliminary Examining Authority (all applications) .....	469
<b>Index</b>	.....	<b>471</b>