



सत्यमेव जयते

Government of India

**Controller General of Patents, Designs & Trade Marks**

Ministry of Commerce & Industry

Department of Industrial Policy and Promotion

## **Request for proposal (RFP)**

For

Providing access to database containing Patent Literature and  
related databases



**INTELLECTUAL  
PROPERTY INDIA**

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## Disclaimer

- (i) This Request for Proposal (RFP) is not an offer by the Office of the Controller General of Patents, Designs and Trade Marks but an invitation to receive offers from interested parties. The purpose of this RFP is to provide the necessary information to such interested parties that may be useful to them in formulating their proposals in response to this RFP.
- (ii) No contractual obligation whatsoever shall arise from the RFP process unless and until a formal contract is signed and executed between the Office of the Controller General of Patents, Designs and Trade Marks and the selected party.
- (iii) Office of the Controller General of Patents, Designs and Trade Marks reserves the right to modify or even not to proceed with the project.

## 1. Definitions & abbreviations

- (i) 'Act' means the Patents Act, 1970.
- (ii) 'Applicant' means a domestic / foreign or multinational Firm / Company / Organization / Individual making a proposal in response to this RFP.
- (iii) 'CGPDTM' means the Controller General of Patents, Designs and Trade Marks.
- (iv) 'IPATS' stands for Search System of Indian Patent Office and means a customized integrated search platform (ISP) and the related interface.
- (v) 'IPO' means Indian Patent Office including branch offices. CGPDTM and IPO shall be used interchangeably in this document.
- (vi) 'IPEA' means the International Preliminary Examining Authority.
- (vii) 'ISA' means the International Searching Authority.
- (viii) 'ISP' means an Integrated Search Platform.
- (ix) 'LoA' means Letter of Acceptance.
- (x) 'NPL' means Non Patent Literature.
- (xi) 'Patent Family' means a group of patents related by priority numbers claimed. These patents are related, and often protect the same invention in different countries.
- (xii) 'PCT' means the Patent Cooperation Treaty.
- (xiii) 'PL' means Patent Literature.
- (xiv) 'Patent Number' means a reference number identifying a patent.
- (xv) 'Priority Number' means the application number from which priority rights are claimed.

- (xvii) 'Proposal' means the proposal submitted by an Applicant in response to this RFP.
- (xviii) 'Publication Number' is the number accorded by a patenting authority to the publication of a patent document. Publications can include patent applications, granted patents, amendments, search reports, or other type of published documents concerning the patent, depending on laws and regulations applicable to a given patenting authority. The Publication Number for the various publications can use the same number with a Kind code appended, or an entirely different number, depending on the patenting authority.
- (xix) 'RFP' means the present Request for Proposal.
- (xx) 'SLA' means Service Level Agreement.

## 2. Request for Proposal (RFP)

The office of the Controller General of Patents, Designs and Trade Marks invites Proposals for providing access to database containing Patent Literature covering the records of all countries / intergovernmental organizations mentioned in the PCT Minimum Documentation under Rule 34.1 of Regulations under the PCT, within one month from the date of award of contract.

## 3. Access to data

### a. Access shall be deemed to include the following:

- (i) the Applicant provides the database for storage in the servers of the IPO, i.e. the database is hosted in-house with IPO; and
- (ii) the Applicant provides regular and periodic updates to the database provided in para (i), the said updates being provided for seamless access by IPO either :
  - a. By way of a web service of the data provider,.
  - b. By way of API's, .
  - c. By any other suitable means; and
- (iii) the Applicant provides access to the database through its search interface accessed by internet.. This mode of access will be utilised in rare circumstances, for instance, till the time the data cannot be used in the IPATS due to issues relating to integration of data with IPATS or due to issues related to development of IPATS; in case of a technical fault in the search system of the IPO; or an issue at the end of the service provider that restricts the functionality of the IPATS.
- (iv) The Applicant shall be mandatorily required to provide access to the data in the schema

provided in para 9(c). If the applicant has any value added or extended schema in addition to the standard edition mentioned in para 9(c), the same may be considered by the IPO. However, all the additional benefits and modifications of such value added or extended schema should be clearly explained in the technical proposal.

Note: CGPDTM does not intend to procure data with perpetual access. That is, CGPDTM would like to gain access to the data during the period of contract under this process, after which, in accordance with the copyright conditions imposed by the data owner, the data will be disposed off.

#### **b. Data required to be hosted with the IPO:**

- (i) Bibliographic data
- (ii) Full text extraction in ST.36/xml (for schema please refer para 9(c))
- (iii) IPC database
- (iv) CPC database
- (v) ECLA database
- (vi) A value added databases, such as a database serving the functions of a dictionary / thesaurus. Any other such value added database may also be submitted in the proposal for consideration.
- (vii) PDF documents and images (not mandatory)

#### **c. API shall be provided:**

- (i) For enabling use of a data, where the data is not provided for storage on IPO's servers i.e. in case the data is not mandatorily required to be stored on IPO's servers under para 3(a).
- (ii) For retrieving PDF documents and images from the server of the Applicant, if data does not reside with the IPO, within the IPATS.

#### **d. Data to be provided through web service or may be made available for storage on IPO's servers:**

- (i) Patent family database where a family is defined as follows:
  - a. A patent family combines all national applications filed in the same or different jurisdictions that claim the same priority number.
  - b. Also, a patent family may take into account an application made outside the 1 year limit and thus not qualifying for legally claiming a priority of the earlier application

under the Paris Convention.

- c. Patents entering national phase via PCT filing routes can be clubbed with their parent to form a family.
- (ii) EPO Worldwide Patent Statistical Database - EPO PATSTAT
- (iii) Register of patent authorities
- (iv) PDF's of patent documents
- (v) Images of patent documents

**Note:** It is clarified that the primary objective of gaining access to Patent Literature under the present RFP is to integrate the Patent Literature with the IPATS. This would allow the users within the IPO to seamlessly use the IPATS at the front end while using the data at the back end. It may also be noted that the different modes of access mentioned in sub-para (a) above are ranked according to their priority for the IPO.

#### 4. Key details

##### a. Name of the Purchaser:

President of India through the "Controller General of Patents, Designs and Trade Marks".

##### b. Address for downloading the RFP document:

This document can be downloaded from <http://www.ipindia.nic.in> or [www.tenders.gov.in](http://www.tenders.gov.in).

##### c. Cost of RFP:

The RFP document may be obtained from the Cash Counter at Intellectual Property Office, Boudhik Sampada Bhavan, S. M. Road, Antop Hill, Mumbai-400037 by making a payment of Rs. 1000/- in cash or by way of Demand Draft, drawn in favour of Controller of Patents and payable at Mumbai.

In the alternative, the RFP document may be downloaded free of cost from the aforementioned websites in which case the submitted Proposal shall be accompanied by a payment of Rs. 1000/- in cash or by way of Demand Draft, drawn in favour of Controller of Patents and payable at Mumbai, towards the cost of RFP.

**Note:** If the RFP document has been downloaded free of cost from the website of this Office, the cost of RFP shall be paid by way of a separate Demand Draft i.e. the cost of RFP and the earnest money deposit should not be clubbed in a single Demand Draft.



#### d. Schedule of Activities

| Sr.No. | Event  | Date       |
|--------|--|------------|
| 1      | Availability of RFP document at the aforementioned web sites | 29.12.2014 |
| 2      | Last date for receiving queries / clarifications             | 02.01.2014 |
| 3      | Pre-bid conference   | 07.01.2014 |
| 4      | Issuance of addendum to RFP document, if any                 | 09.01.2014 |
| 5      | Deadline for submission of Proposals in response to RFP      | 16.01.2014 |
| 6      | Opening of proposals   | 19.01.2014 |

#### e. Venue for pre-bid conference and opening of tender:

Conference Hall, Boudhik Sampada Bhavan, S. M. Road, Antop Hill, Mumbai-400037.

#### f. Address at which Proposals are to be submitted.

The Administrative Officer, Office of the Controller General of Patents, Designs and Trade Marks, Boudhik Sampada Bhavan, Near Antop Hill Head Post Office, S. M. Road, Antop Hill, Mumbai-400037.

#### g. For any further technical clarification please contact:

|  |   |
|--|---|
| Sukhdeep Singh<br>Examiner of Patents & Designs<br>Office of the Controller General of Patents,<br>Designs and Trade Marks,<br>Boudhik Sampada Bhavan, Near Antop Hill<br>Head Post Office, S. M. Road, Antop Hill,<br>Mumbai-400037 | Dr. Prithipal Singh<br>Examiner of Patents & Designs<br>IT Wing, Office of the Controller General of<br>Patents, Designs and Trade Marks,<br>Boudhik Sampada Bhavan,<br>Plot No. 32, Sector-14,<br>Dwarka, Delhi-110078 |
|--|---|

### 5. Background

The Office of the Controller General of Patents, Designs & Trade Marks (CGPDTM) is an office functioning under the Department of Industrial Policy and Promotion, Ministry of Commerce and Industry, Government of India. The CGPDTM is responsible for the administration of the Patents Act, 1970. Consequent to India's accession to the World Trade Organization in 1995, the intellectual property laws were amended/re-enacted in order to meet the obligations under

the TRIPS Agreement. The Patents Act 1970 was amended in 1999, 2002 and 2005. India also became the Member of Patent Cooperation Treaty (PCT) and the Paris Convention for the protection of Industrial Property in 1998. In 2007 India acquired the status of International Searching Authority (ISA) and International Preliminary Examining Authority (IPEA) under the PCT and is now also discharging functions as an ISA / IPEA.

For assessing the patentability of a patent application, an Examiner conducts a search in a wide variety of databases. In the present scenario, an Examiner is required to login into different databases and conduct separate searches in those databases. Thereafter, the Examiner compiles a report based on analysis of search results retrieved from different databases. It is desirable to have a search engine, which has the capability to search across a spectrum of databases, patent as well as non-patent, from a single interface, without the necessity of logging into different web-based databases. The database selected under this process will be integrated into the search system of the IPO.

#### **a. National Applications:**

The applications for patents filed under the Patents Act, 1970, seeking protection in India, are examined by the IPO in accordance with the Act to ascertain as to whether the claimed subject matter constitutes an invention under the Act.

#### **b. PCT International Applications received as ISA and IPEA:**

IPO has established itself as an International Searching Authority (ISA) and International Preliminary Examining Authority (IPEA) under the Patent Cooperation Treaty in 2013 and accordingly, the IPO is required to equip itself with adequate search tools with coverage conforming to at least the PCT minimum documentation. Prior art searches are vital for ascertaining the novelty and inventive step of an invention.

Conducting a comprehensive search is an integral part of the examination process for National as well as International Applications. Conducting such searches is resource intensive and requires extensive data sets of PL as well as NPL databases. Under this process, access to one such patent database is sought to be gained.

## **6. IPATS**

IPATS is a Search System of Indian Patent Office. At a broad level, it comprises a customized integrated search platform and related interface. The search engine has the capability to search

across a spectrum of databases comprising, Patent as well as non-Patent literatures, using a single interface, without the necessity of logging into different databases. The front end, which is the interface, therefore remains unchanged while the databases at the back end can change over a period of time.

The IPATS indexes and retrieves very large electronic collections of text. IPATS conducts a search among a large number of databases, patent as well as non-patent, and retrieves and displays the results within the interface of IPATS. IPATS is utilized for the following:

- a. Retrieve and enable search, including full text search for the full-text data available with the IPO, from the following:
  - i. Indian Patent Data,
  - ii. Patent data,
  - iii. Non Patent Literature, such as journals,
  - iv. Other external freely available or paid databases.
- b. Integration with document delivery service provider.
- c. Link with external biological sequence search platform.

## 7. Objective of the RFP

This RFP is being published for the purpose of securing access to a patent database containing at least the records mentioned in the PCT Minimum Documentation prescribed by Rule 34.1 of Regulations under the PCT. It is made clear that the most important objective of the IPO is to gain access to Patent Literature and related databases, in accordance with para 2 above.

## 8. Documents under the PCT Minimum documentation

Rule 34.1 of Regulations under the PCT prescribes the PCT Minimum Documentation. It may be noted that the official language of India, while acting as an ISA/IPEA, is English. Rule 34.1(e) of Regulations under the PCT shall be interpreted accordingly. The list of patent documents under the PCT Minimum Documentation can be accessed from the following link:

[www.wipo.int/export/sites/www/standards/en/pdf/04-01-01.pdf](http://www.wipo.int/export/sites/www/standards/en/pdf/04-01-01.pdf)

## 9. PL database

### a. Important

- i. Successful Applicant will be required to provide a copyright compliant patent database and related databases and should comply with [rule 34 of the Regulations under the PCT](#).

The PL databases of the PCT minimum list, not being provided shall be detailed out in Annexure IIA, along with PL databases that are provided in addition to PCT minimum documentation list.

- ii. The data shall be provided in such a manner so as to make searching practical and efficient.
- iii. Family search should be enabled. It may be noted that the CGPDTM does not have a preference for any kind of family database. Accordingly, any database that allows for searching by family, based on its suitability for the IPO which will be judged by a committee, may be considered.
- iv. The documents that are not available in English language shall be available for search. Such documents should be available in the database as documents translated from another language into English language. Therefore, the requirement of translation in any form should be obviated.
- v. The PL database should contain full text, bibliographic information, abstract, patent drawings, provision for accessing file wrappers of patent applications as well as granted patents, reassignment information of the granted and pending patent applications with different patent authorities.
- vi. Publication numbers should be standardized.
- vii. Application & priority numbers should be standardized.
- viii. Classification systems should be standardized.
- ix. IPC, ECLA and CPC (Cooperative Patent Classification from the date of coming into effect) classifications should have "live" schemes that are retroactively updated in case of amendments.
- x. Dates should be standardized and data should be searchable date-wise.
- xi. Filing details with clear labels explaining the evolution of the application should be available.
- xii. Prior art citations should be convey the relevancy, for instance, whether the cited document was of X or Y category under the PCT.

#### **b. Fields available for PL searching in IPATS.**

Applicants are required to submit the fields available in their database and any additional and /or alternate fields, alternate abbreviations as available in their database in Annexure IIH.

| S.No. | Field  | Abbreviation used in IPATS |
|-------|--|----------------------------|
| 1.    | Title  | TI                         |
| 2.    | Abstract   | ABS                        |
| 3.    | Claims   | CLMS                       |
| 4.    | Description  | DESC                       |
| 5.    | Object of Invention  | OBJ                        |
| 6.    | Advantages   | ADB                        |
| 7.    | Independent claims   | ICLM                       |
| 8.    | Full text  | FR                         |
| 9.    | IPC  | IPC                        |
| 10.   | CPC  | CPC                        |
| 11.   | FI   | FI                         |
| 12.   | F-terms  | FTM                        |
| 13.   | Assignee (original, intermediate, current)   | PA                         |
| 14.   | Assignee (current only latest)   | PAC                        |
| 15.   | Assignee (original only earliest)  | PAO                        |
| 16.   | Inventor   | IN                         |
| 17.   | Representative   | RP                         |
| 18.   | Publication Number   | PN                         |
| 19.   | Application Number   | AP                         |
| 20.   | Priority Number  | PR                         |
| 21.   | Patent Number  | ---                        |
| 22.   | Publication date (from, to, up to).  | PD                         |
| 23.   | Application Date.  | APD                        |
| 24.   | Priority Date (first filing date in family, and/or Parent application in Indian Patent Applications) | EPRD                       |
| 25.   | Date of grant/issued patent.   | PDG                        |
| 26.   | Patent Date, last pub.   | PDL                        |
| 27.   | First Family's Priority Date   | EPRD                       |
| 28.   | Earliest Application Date  | EAPD                       |
| 29.   | Earliest Publication Date  | PDF                        |
| 30.   | Other Publication Dates  | OPD                        |
| 31.   | State(alive)   | ---                        |
| 32.   | State(dead)  | ---                        |
| 33.   | Legal event Opposition   | EG/ACT=OPP                 |

| S.No. | Field                                     | Abbreviation used in IPATS |
|-------|---|----------------------------|
| 34.   | Legal event Licensing                     | ---                        |
| 35.   | Legal event Term rights extension         | ---                        |
| 36.   | Legal event Reassignment                  | ---                        |
| 37.   | Legal event Entry into national phase     | ---                        |
| 38.   | Legal event No opposition filed           | ---                        |
| 39.   | Legal event Designated contracting state  | ---                        |
| 40.   | Expiration date actual                    | ---                        |
| 41.   | Expiration date expected                  | ---                        |
| 42.   | Cited Patents                             | CT                         |
| 43.   | Cited Literature                          | REF                        |
| 44.   | Designated States                         | ---                        |
| 45.   | FamPat Family Number                      | FAN                        |
| 46.   | PCT Publication number                    | PPN                        |
| 47.   | PCT Application Number                    | PAP                        |
| 48.   | Patent Assignee Country                   | ---                        |
| 49.   | Patent Assignee                           | ---                        |
| 50.   | Inventor Country                          | INAD                       |
| 51.   | Inventor State                            | INAD                       |
| 52.   | Representative Country                    | RPAD                       |
| 53.   | US Filing Details                         | ---                        |
| 54.   | FR Filing Details                         | ---                        |
| 55.   | Examples                                  | DESX                       |
| 56.   | Number of Patents in the FamPat Family    | NPN                        |
| 57.   | Number of Priorities in the FamPat Family | NPR                        |
| 58.   | USPTO Examiner                            | NO                         |
| 59.   | US Representative                         | REP                        |
| 60.   | Number of Independent claim               | ICL                        |
| 61.   | Number of claims                          | NC                         |
| 62.   | Number of pages with drawings             | NPS                        |
| 63.   | Number of drawings                        | NDR                        |
| 64.   | US Case ID                                | CID                        |

| S.No. | Field                      | Abbreviation used in IPATS |
|-------|----------------------------|----------------------------|
| 65.   | Abstract - (EAB)           | AB                         |
| 66.   | Advantages and Drawbacks   | ADB                        |
| 67.   | Accession Number           | AN                         |
| 68.   | Application Number (APC)   | AP                         |
| 69.   | Application Date (DDP)     | APD                        |
| 70.   | Berlin Class               | BC                         |
| 71.   | Citations                  | CT                         |
| 72.   | ECLA Definition            | DEF                        |
| 73.   | Designated States          | DS                         |
| 74.   | Document Type              | DT                         |
| 75.   | ECLA Class (ECLA)          | EC                         |
| 76.   | Abstract in French         | FAB                        |
| 77.   | Filing Details             | FD                         |
| 78.   | Family ID                  | FI/ FID                    |
| 79.   | Family Priority            | FPR                        |
| 80.   | French Title               | FT                         |
| 81.   | F-Terms (File forming      | FTM                        |
| 82.   | Abstract in German         | GAB                        |
| 83.   | German Title               | GT                         |
| 84.   | Reference for Abstract     | IAB                        |
| 85.   | Intl Patent Class          | IC                         |
| 86.   | Additional IPC             | ICA                        |
| 87.   | IPC Advanced All           | ICAA                       |
| 88.   | IPC Advanced Inventive     | ICAI                       |
| 89.   | IPC Advanced Non-inventive | ICAN                       |
| 90.   | IPC Core All               | ICCA                       |
| 91.   | IPC Core Inventive         | ICCI                       |
| 92.   | IPC Core Non-inventive     | ICCN                       |
| 93.   | Independent Claim          | ICLM                       |
| 94.   | Main IPC                   | ICM                        |
| 95.   | In Computer Only           | ICO                        |
| 96.   | Secondary IPC              | ICS                        |
| 97.   | Reference for Citation     | ICT                        |
| 98.   | Dutch Class                | IDT                        |
| 99.   | Patent Kind Code           | IKD                        |
| 100.  | Inventor(s)                | IN                         |
| 101.  | Inventor(s)                | INO                        |
| 102.  | Inventor Country           | INC                        |
| 103.  | Inventor Name              | INN                        |

| S.No. | Field  | Abbreviation used in IPATS |
|-------|--|----------------------------|
| 104.  | Inventor Name                                | INNO                       |
| 105.  | Index Terms                                  | IT                         |
| 106.  | Index Words                                  | IW                         |
| 107.  | Concepts                                     | KEW                        |
| 108.  | Language                                     | LA                         |
| 109.  | Machine Translated Abstract                  | MTAB                       |
| 110.  | Normalized Patent assignee                   | NPA                        |
| 111.  | Number of Priority                           | NPR                        |
| 112.  | Other Abstracts                              | OAB                        |
| 113.  | Patent Object                                | OBJ                        |
| 114.  | Other Publication Dates                      | OPD                        |
| 115.  | Other Title                                  | OTI                        |
| 116.  | Patent Assignee                              | PA                         |
| 117.  | Patent Assignee                              | PA0                        |
| 118.  | Patent Assignee Country                      | PAC                        |
| 119.  | Patent Assignee History                      | PAH                        |
| 120.  | Patent Assignee Name                         | PAN                        |
| 121.  | Patent Assignee Name                         | PANO                       |
| 122.  | PCT Application Number                       | PAP                        |
| 123.  | US Class                                     | PCL                        |
| 124.  | US Original PCL                              | PCLO                       |
| 125.  | Publication Date                             | PD                         |
| 126.  | First Date of Publication                    | PDA                        |
| 127.  | First Date of Issue                          | PDG                        |
| 128.  | Patent Date Last                             | PDL                        |
| 129.  | Patent Number                                | PN                         |
| 130.  | PCT Patent Number                            | PPN                        |
| 131.  | Priority Details                             | PR                         |
| 132.  | Priority Date                                | PRD                        |
| 133.  | Priority Indicator                           | PRI                        |
| 134.  | Publication country (from legal status only) | PUB                        |
| 135.  | Questel Month                                | QM                         |
| 136.  | Questel Week                                 | QW                         |
| 137.  | Non Patent Citation References               | REF                        |
| 138.  | Simple Family                                | SFM                        |
| 139.  | Stage  | STG                        |
| 140.  | Title - English                              | TI                         |



| S.No. | Field   | Abbreviation used in IPATS |
|-------|---|----------------------------|
| 141.  | Update Amendments   | UA                         |
| 142.  | Monthly UABA  | UAA4                       |
| 143.  | Abstract Update   | UAB                        |
| 144.  | Monthly UAB   | UAB4                       |
| 145.  | All Abstracts - Human   | UABA                       |
| 146.  | Classification Code Update  | UCL                        |
| 147.  | Citation Update   | UCT                        |
| 148.  | Update Equivalents / Stages   | UE                         |
| 149.  | Monthly UE  | UE4                        |
| 150.  | Monthly UMTA  | UMT4                       |
| 151.  | MTAB Update   | UMTA                       |
| 152.  | Update Code   | UP                         |
| 153.  | Monthly Update  | UP4                        |
| 154.  | Standardized Application Number   | XAP                        |
| 155.  | Standardized Citation Number  | XCT                        |
| 156.  | Cited Document Category from EP, WO Search Reports– Technology Background                             | XCTA                       |
| 157.  | Cited Document Category from EP, WO Search Reports– Document Cited in Application                     | XCTD                       |
| 158.  | Cited Document Category from EP, WO Search Reports– Earlier Patent, published on or after filing date | XCTE                       |
| 159.  | Cited Document Category from EP, WO Search Reports– Document Cited for other reasons                  | XCTL                       |
| 160.  | Cited Document Category from EP, WO Search Reports– Non-Written Disclosure                            | XCTO                       |
| 161.  | Cited Document Category from EP, WO Search Reports– Intermediate Document                             | XCTP                       |
| 162.  | Cited Document Category from EP, WO Search Reports  | XCTT                       |

| S.No. | Field  | Abbreviation used in IPATS |
|-------|--|----------------------------|
|       | –Theory/Principle Underlying the Invention   |                            |
| 163.  | Cited Document Category from EP, WO Search Reports- Particularly Relevant if taken alone                                 | XCTX                       |
| 164.  | Cited Document Category from EP, WO Search Reports– Particularly Relevant if combined with r document in the same family | XCTY                       |
| 165.  | Standardized Patent Number   | XPN                        |
| 166.  | Standardized Priority Number   | XPR                        |

### c. ST.36 DTD schema of IPO for reference:

If the applicant has any value added or extended schema in addition to the following standard edition, the same should be highlighted with additional benefits and features.

```
<?xml version='1.0' encoding='UTF-8' ?>
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lang CDATA #REQUIRED
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file CDATA #IMPLIED
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country CDATA #REQUIRED
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doc-number CDATA #IMPLIED
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```
kind CDATA #IMPLIED
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```
date-publ CDATA #IMPLIED>
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<!-- Sequence list document component in PCT publication-->
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*<!ATTLIST bibliographic-data id ID #IMPLIED*

*lang CDATA #IMPLIED*

*country CDATA #IMPLIED*

*status CDATA #IMPLIED >*

*<!-- Publication reference information: publication number, date, etc-->*

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*<!-- Application reference information: application number, country-->*

*<!ELEMENT application-reference (document-id)>*

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*<!-- Document identification refers to patents (and patent applications) only. See WIPO ST.14-->*

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*<!-- The number of the referenced patent (or application) document-->*

*<!ELEMENT doc-number (#PCDATA)>*

*<!-- Country: use ST.3 country code; e.g. DE, FR, GB, NL, etc.-->*

*<!ELEMENT country (#PCDATA)>*

*<!-- Publication language, ISO639 language code-->*

*<!ELEMENT language-of-publication (#PCDATA)>*

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 <!-- Priority claim (PCT Rule 4.10) (INID 32/33/34, ST.32:B320/B330/B340)-->  
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 <!ELEMENT parties (applicants , inventors?)>  
 <!-- Applicants information: -->  
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 <!ELEMENT applicant (addressbook+ , nationality)>  
 <!ATTLIST applicant sequence CDATA #REQUIRED app-type applicant #REQUIRED>  
 <!-- Inventors information:-->  
 <!ELEMENT inventors (inventor )+>  
 <!-- The individual or entity responsible for creating the matter that protection is sought for.-->  
 <!ELEMENT inventor (addressbook+ , nationality)>  
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 | text)>  
 <!ELEMENT classifications-ipcr (classification-ipcr+)>  
 <!-- International Patent Classification (IPC) data;-->  
 <!ELEMENT classification-ipcr ((ipc-version-indicator , field-of-invention , section , class , subclass ,  
 main-group? , subgroup? , symbol-position?)>  
 <!ELEMENT ipc-version-indicator IPC\_VERSION #IMPLIED>

*<!-- Indian field of invention as mentioned in IPO database-->*

*<!ELEMENT filed-of-invention #PCDATA #IMPLIED>*

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*<!ELEMENT main-group (#PCDATA)>*

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*<!ELEMENT symbol-position (#PCDATA)>*

*<!ELEMENT abstract (#PCDATA)>*

*<!ELEMENT description (#PCDATA)>*

*<!-- Claims: the claims shall define the matter sought for patent and be supported by the description.-->*

*<!ELEMENT claims (claim-statement,claim+)>*

*<!ELEMENT claim-statement (#PCDATA)>*

*<!-- Defines the matter for which protection is sought-->*

*<!ELEMENT claim (claim-text+)>*

*<!ATTLIST claim num CDATA #REQUIRED>*

*<!-- The text of the claim-->*

*<!ELEMENT claim-text (#PCDATA)>*

*<!-- References to other legally or procedurally related domestic patent documents.-->*

*<!ELEMENT related-documents (addition | division)*

*<!-- Earlier application from which the present document has been divided out.-->*

*<!ELEMENT division (relation)>*

*<!-- Earlier document to which this is an addition.-->*

*<!ELEMENT addition (relation)>*

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<!-- Child Document. -->  
<!ELEMENT child-doc (document-id)>  
<!-- Describes parent document.-->  
<!ELEMENT parent-doc (document-id)>  
<!-- PCT or regional publication information.-->  
<!ELEMENT pct-or-regional-publishing-data (document-id )>  
<!-- PCT or regional filing information. -->  
<!ELEMENT pct-or-regional-filing-data (document-id)>

## 10. Eligibility Criteria

- a. Proposals are invited only from Applicants who own or are able to provide the PL data through legal means.
- b. The Applicant should be able to provide the PL data listed in the PCT minimum documentation under Rule 34.1 for majority of countries.
- c. The Applicant should be willing to provide the PL data in accordance with para 3(a) above.
- d. The Applicant should be willing to support IPO in integrating the data with the IPATS.

Proposals of Applicants which do not fulfill the aforementioned eligibility criteria will not be considered.

## 11. Validity of Proposal

The offer must remain valid for a period of 120 days from the date of opening of the Financial Proposal.

## 12. Proposal

### a. Submission of Proposal:

The Proposals shall be submitted in four separate sealed envelopes and super scribed as “Demand Drafts”, “Eligibility Criteria”, “Technical Proposal”, and “Financial Proposal”, respectively.

The first envelope super scribed as “Demand Drafts” should contain two demand drafts, one

towards the cost of RFP and the other towards the Earnest Money Deposit. Earnest Money may be in the form of a demand draft or a fixed deposit receipt or a bank guarantee. In case the document was purchased from the counter of the Patent Office, Mumbai, in place of the first demand draft towards the cost of RFP, the envelope should contain the receipt issued by the Patent Office, Mumbai.

The second envelope super scribed “Eligibility Criteria” shall contain the information regarding eligibility criteria in Annexure-I.

The third envelope super scribed “Technical Proposal” shall contain the Annexures - II, IIA, IIB, IIC, IID, IIE, IIF, IIG, IIH, III, IV and VI.

The fourth envelope super scribed “Financial Proposal” shall contain the Annexure-V.

All the four envelopes shall be placed in a bigger fifth envelope. All the five envelopes should be duly sealed by the Applicant, and the fifth i.e. the bigger envelope should reach the address mentioned in para 4 on or before the expiry of the prescribed time limit. Any Proposal which is not submitted in accordance with the instructions given in this document will be summarily rejected without any reasons and communication.

**Note:** If the RFP document has been downloaded free of cost from the website of this Office, the cost of RFP shall be paid by way of a separate Demand Draft i.e. the cost of RFP and the earnest money deposit should not be clubbed in a single Demand Draft.

#### **b. Earnest money deposit:**

Each Proposal should be accompanied by a demand draft or a fixed deposit receipt or a bank guarantee for INR.5,00,000/- (Rupees Five lacs only), as the earnest money, payable at Mumbai, issued in favor of ‘Controller of Patents, Mumbai’. The earnest money deposit of unsuccessful Applicants shall be returned without any interest.

#### **Note:**

- i. It would be the responsibility of the Applicant to ensure that the earnest money deposit remains valid at least for a period of 180 days from the date of opening of Financial Proposal.
- ii. The earnest money deposit of unsuccessful bidders will be returned after 90 days from

the date of opening of Financial Proposal.

- iii. The earnest money deposit of the successful Applicant will be returned promptly after the receipt of performance security.

### c. Eligibility criteria

The Applicant shall clearly submit information in Annexure-I.

### d. Technical Proposal

The "Technical Proposal" shall be submitted in Annexures - II, IIA, IIB, IIC, IID, IIE, IIF, IIG, IIH, III, IV and VI.

### e. Financial Proposal

The Financial Proposal shall be submitted as per Annexure V. The price quotation should be a consolidated price inclusive of all expenses and taxes. Financial Proposals of only those Applicants shall be opened whose Technical Proposals fulfill the minimum requirements stipulated in the RFP.

**Note:**

1. Proposals shall be submitted in English language in accordance with the requirements specified in this RFP.
2. The successful Applicant will be required to enter into a Contract (based on the content of this RFP) and will also be required to submit a Non-Disclosure and Data Security Certificate.
3. Applicants must provide all the requisite information and should clearly and concisely respond to all points set out in this RFP. Unnecessary elaborate brochures or other presentations beyond what is necessary to present complete and effective Proposal are not encouraged.
4. Following submission of the Proposals and their final evaluation, the CGPDTM reserves the right to retain unsuccessful Proposals. It is the responsibility of the Applicant to identify and indicate any information of a confidential or proprietary nature contained in its Proposal so that it may be managed accordingly. Though all steps shall be taken by CGPDTM to ensure such confidentiality, CGPDTM does not guarantee confidentiality.

## 13. Evaluation of Proposals

### a. Technical Evaluation

The technical evaluation will be done only for the Proposals submitted by the Applicants fulfilling the eligibility criteria (Annexure I). The capability and eligibility of the Applicant shall be



determined based on the information provided by the Applicant i.e. experience in the field, coverage of the database as well as the suitability of the database. The Applicant will be required to give a presentation / demonstration for assisting in technical evaluation. The criteria adopted for technical evaluation shall be as follows:

| <b>S.No</b> | <b>Criteria</b>            | <b>Evaluation unit</b>                                  | <b>Maximum percentage marks that can be granted</b>  | <b>Documents to be submitted</b>     |
|-------------|----------------------------|---|--|--------------------------------------|
| <b>1.</b>   | Coverage of PL database    | Coverage of PL and suitability for IPO                  | 50 marks<br>(To be evaluated by a Technical Committee)   | Annexure IIA, IIG                    |
| <b>2.</b>   | Manner of providing access | Suitability for IPO                                     | For compliance of para 3(a)(i), 3(a)(ii) and 3(a)(iii) – upto 20 marks<br>(To be evaluated by a Technical Committee) | Annexure IIB, IIC, IIE, IIH, III, IV |
| <b>3.</b>   | Compliance of para 3(b)    | Compliance, means of compliance and suitability for IPO | 10 marks<br>(To be evaluated by a Technical Committee)   | Annexure IID, III                    |
| <b>4.</b>   | Compliance of para 3(c)    | Compliance, means of compliance and suitability for IPO | 10 Marks<br>(To be evaluated by a Technical Committee)   | Annexure IIE, III                    |
| <b>5.</b>   | Compliance of para 3(d)    | Compliance, means of compliance and suitability for IPO | 10 Marks<br>(To be evaluated by a Technical Committee)   | Annexure IIF, III                    |

**Note:** Technical score of the proposal shall be termed as ST. The minimum qualifying ST in

technical evaluation shall be 75. The Proposals not securing a minimum ST of 75 shall not be considered for financial evaluation.

## b. Financial Evaluation

- i. The Financial Proposal shall take into account all expenses, tax liabilities and all associated costs, whatsoever. For the avoidance of doubt, it is clarified that all taxes shall be deemed to be included in the prices quoted under the Financial Proposal. The total price should be stated clearly.
- ii. The prices in the Financial Proposal may be submitted in INR, USD or Euro.
- iii. For the purposes of evaluation, the daily representative exchange rates published by the Reserve Bank of India for the day on which the Financial Proposals are opened shall be considered as the applicable currency conversion rate. The prices submitted should be valid for a period of at least 120 days from the date of opening of the Financial Proposal.
- iv. Payments shall also be subject to deduction of taxes at source as per Applicable Laws.
- v. The total amount indicated in the Financial Proposal shall be unconditional, unequivocal, final and binding. If any assumption or condition is indicated in the Financial Proposal, it shall be considered as non-responsive and the Proposal may be rejected.
- vi. The financial evaluation shall be based purely on the total price charged on IPO.
- vii. The Financial Proposals will be evaluated on a relative basis. The lowest Financial Proposal shall be assigned 100 points and all other Proposals shall be assigned proportionate scores.
- viii. The lowest Financial Proposal ( $FP_{Min}$ ) will be given a score of 1 and other Financial Proposals will be given a weightage proportionally to the lowest Financial Proposal.
- ix. The financial scores of the other Financial Proposals (SF) will be calculated as:  
$$SF = 100 \times FP_{Min} / FP,$$

Where SF = Financial score of Proposal under consideration,

$FP_{Min}$  = Price of lowest Financial Proposal and

FP = Price of the Proposal under consideration

### **Note:**

- i. The Technical Proposal and Financial Proposal will be given a weightage of 50% each. The final combined score (S) will be calculated as:  
$$S = ST \times 0.5 + SF \times 0.5$$

Where, S = Final combined score,  
ST = Technical score and

SF = Financial score

- II. The Applicant achieving the highest final combined score shall be awarded the work.
- III. Without prejudice to the above, in order to assist in the evaluation of applications, CGPDTM may, at its sole discretion, ask any Applicant for any clarification on its Application which shall be submitted on the same day or at the most the next day, as per the time provided during the evaluation. Any request for clarification and all clarifications shall be in writing.
- IV. If an Applicant does not provide clarifications requested by the date and time set in CGPDTM's request for clarification, its Application is liable to be rejected.

#### **14. Withdrawal of applications**

- i. No modification or substitution of the submitted Proposal/application shall be allowed.
- ii. An Applicant may withdraw its Application after submission, provided that written notice of the withdrawal is received by CGPDTM before the due date for submission of Applications. In case an Applicant wants to resubmit his application, he shall submit a fresh application following all the applicable conditions before the due date.
- iii. The withdrawal notice shall be prepared in Original only and each page of the notice shall be signed and stamped by authorized signatories. The copy of the notice shall be duly marked "WITHDRAWAL".

#### **15. Right to Accept/reject any or all applications**

CGPDTM reserves the right to accept or reject any or all Proposals / Applications and to annul the qualification process at any time without any liability or any obligation for such acceptance, rejection or annulment, without assigning any reasons.

#### **16. Additional work**

Upon request of CGPDTM, the Applicant shall agree to provide quotes for additional work, including development of further software or deployment in IPO in connection with the IPATS. Such quotes shall be according to fees provided by the Applicant. Similar payment conditions will apply.

#### **17. IPRs and other rights of CGPDTM and the Applicant**

- i. The technical work done by the IPO pursuant to this process in order to access or use the database provided by the successful Applicant shall be the exclusive intellectual property of the CGPDTM.
- ii. The CGPDTM will comply with all the copyright related issues in this regard.
- iii. The Applicant shall put forward all the IPR issues related to the PL database,

whatsoever. Unless the Applicant discloses all the related issues, it shall not be the responsibility of CGPDTM to comply with any such issue and all liability in such a case shall lie with the Applicant.

- iv. The Applicant shall undertake to treat all the information of IPO received by the Applicant during the course of performance of the contract, pursuant to grant of work, as confidential. Any breach of confidentiality shall be subject to applicable laws.

## 18. Rights of Applicant in software

The Applicant shall have no right to use any software developed by IPO in the context of integration with IPATS for any purpose whatsoever.

## 19. Acceptance testing/Service Level Agreement

- i. It will be the sole responsibility of the Applicant to conform to the quality assurance of the software related to ISP and integration with IPATS and assure the performance of the system as per the criteria decided and deliberated by the office of the CGPDTM.
- ii. The Acceptance tests shall be carried out by the office of CGPDTM. A technical committee constituted by the CGPDTM shall conduct the tests and if deemed appropriate an opportunity for rectifying the errors will be provided. If the Committee is of the view that rectification is not possible, the solution will be rejected and the contract will be deemed to be revoked.
- iii. In case of an acceptance with reservations, a new test of the software shall be carried out by CGPDTM according to a time frame agreed between the parties.

## 20. Problem notification & resolution time matrix

Time for resolution by the Applicant is defined as the time taken to resolve the defect, starting from the time of logging the complaint and within the time specified in table below.

| <b>S.No.</b> | <b>Defect Categories</b> | <b>Definition / Meaning</b>                                       | <b>Time to First Response by Applicant</b> | <b>Time to resolution by Applicant</b> |
|--------------|--------------------------|---|--|--|
| 1.           | Blocker                  | All IPATS users are unable to use all or most of PL functionality | Within 1 hour                              | Within 24 Hours                        |

|    |        |   |                |               |
|----|--------|---|----------------|---------------|
| 2. | Major  | A small number of IPATS users are not able to use all of PL functionality. Most IPATS users are not able to use some PL functionality as intended | Within 4 hours | Within 2 Days |
| 3. | Normal | Some users are not able to use some IPATS functionality as intended for PL data   | Within 1 day   | Within 3 days |
| 4. | Minor  | A defect not affecting core functionality, or limited to specific data and can be worked around   | Within 1 day   | Within 5 days |

## 21. Payment

- i. Payment will be made to the authorized representative of the Applicant in India, preferably in INR. Where applicable, the conversion rate shall be the daily representative exchange rates published by the Reserve Bank of India for the day on which the payment is made.
- ii. The successful Applicant shall raise an invoice quarterly, after the end of the quarter.
- iii. The General Financial Regulations of the Government of India preclude advance payments and payments by letter of credit. Such provisions in a Proposal will be prejudicial to its evaluation by the CGPDTM. The normal terms of payment are 45 days after satisfactory delivery of goods concerned. The payments will be made after evaluation by a technical committee and acceptance thereof by the CGPDTM. After successful testing by CGPDTM at each Stage, payment will be made by CGPDTM to the Applicant as under:

## 22. Liquidated damages

- i. In case of acceptance with reservations or non-acceptance of the services provided by the Applicant at a stage and if the services do not pass the new test or the new acceptance test, CGPDTM will be entitled to liquidated damages for each working day, past the new deadline at a daily rate, wherein the payment is calculated based on the percentage of non-compliance after the new deadline, if any.
- ii. The daily rates for liquidated damages shall be as follows:
  - a. 1% of the due payment, per week, for the first month.

- b. 2% of the due payment, per week, for the following month.
  - c. 3% of the due payment, per week, for the next months, with a maximum of 25%.
- If the liquidated damages go beyond 25%, the CGPDTM will have the right to terminate the Contract.

## 23. Termination rights

- i. CGPDTM shall have the right to terminate the contract if the Applicant fails to fulfill any of its material obligations hereunder and, upon notice by the CGPDTM, does not correct such failure within a period of two weeks from that notice.
- ii. The right to any liquidated damages shall remain unaffected by such termination.
- iii. In the case of termination of this contract, the Applicant shall agree to service and maintain that part of the work that was performed under the Contract immediately before the termination.

## 24. Supervision

CGPDTM reserves the right to appoint a third-party auditor / advisor.

## 25. Reporting Procedures

The successful Applicant shall provide monthly usage reports, in the first week of every month. Any other report that may reasonably be required by CGPDTM, shall also be provided to CGPDTM.

## 26. Corrupt or Fraudulent Practices

CGPDTM requires the Applicants to observe the highest standard of ethics. In pursuance of this policy, CGPDTM:

- i. defines, for the purpose of these provisions, certain important terms as follows:
  - a. "corrupt practice" means the offering, giving, receiving or soliciting of anything of value to influence the action of a public servant; and
  - b. "fraudulent practice" means a misrepresentation of facts in order to influence the decision to award the consultancy contract to the detriment of the Government of India and PPP and targeted stake holders and includes collusive practice among Applicants/Bidders (prior to or after the submission of Proposals) designed to establish bid prices at artificial non-competitive levels and to Government of India and PPP and targeted stake holders of the benefits of free and open competition.
- ii. CGPDTM will reject a Proposal for award work if it is determined that the Applicant recommended for award has engaged in corrupt or fraudulent practices in competing

for the contract in question.

- iii. CGPDTM will declare an Applicant/Bidder ineligible, either indefinitely or for a stated period of time, to be awarded a contract / contracts, if at any time it is determined that the Applicant/Bidder has engaged in corrupt or fraudulent practices in competing for, or in executing the consultancy contract.

## **27. Conflict of interest**

The selected Applicants shall not engage in activities that conflict with the interest of the office of the Controller General of Patents, Designs & Trade Marks under the contract and nor would they engage in any assignment that would be in conflict of interest with their current obligations to the same or other clients. The selected Applicants, that have a business or family relationship with such members of staff of the office of the Controller General of Patents, Designs & Trade Marks who are directly or indirectly involved in the project will not be awarded the contract. It shall be the responsibility of the Applicant to disclose any such fact relating to family relationship. Non-disclosure shall result in rejection of Proposal and cancellation of contact, if awarded.

## **28. Confidentiality**

Any confidential or copyrighted material of the CGPDTM or any part thereof, and all copies thereof must be returned to the CGPDTM upon request. Information may be communicated to and received by bidders on the condition that no part thereof or any information concerning it may be copied, exhibited or furnished to others without the prior written consent of the CGPDTM except that Applicants may exhibit the specifications to prospective sub-contractors for the sole purpose of obtaining offers from them. Notwithstanding the other provisions of the Request for Proposal, Applicants will be bound by the contents of this paragraph whether or not they submit a Proposal or responds in any other way to this Request for Proposal.

## **29. General Terms of Conditions of Work**

- i. At the commencement of the contract, the Applicant will be required to maintain the same team/individuals till the completion of the contract, as far as possible.
- ii. No other charges shall be incurred by the CGPDTM other than those specified in the Proposal.
- iii. Payment shall be released subject to acceptance of deliverables & certification of milestones as per the deliverables.
- iv. The decision of CGPDTM in selecting the Applicant will be final and no further queries will be entertained in this regard.



- v. The CGPDTM will have a contract with the successful Applicant for 1 year, which may be renewed annually twice by the CGPDTM, subject to the quality of services provided by the Applicant. Thus, at the most the successful applicant may have a contract with the CGPDTM for a total period of 3 years under this process.

### **30. Performance Security**

The Applicant who has been awarded the contract (successful bidder) shall furnish a performance security to the tune of 5% of the annual value of the contract in the form of fixed deposit receipt or in the form of a bank guarantee, in favour of the Controller of Patents payable at Mumbai. It would be the duty of the Applicant to ensure that the performance security remains valid during the period of the contract. Performance bank guarantee shall be forfeited and credited to the Government account in the event of breach of contractual obligations by the Applicant.

### **31. Right to Accept/Reject any or all Applications**

CGPDTM reserves the right to accept or reject any or all Applications and to annul the qualification process at any time without any liability or any obligation for such acceptance, rejection or annulment, without assigning any reasons.

### **32. Errors in Proposal**

Applicants or their authorized agents are expected to examine all the relevant material pertaining to the work. Failure to do so will be at the Applicant's own risk.

### **33. No commitment**

This RFP does not commit the CGPDTM to award a contract or to pay any costs incurred in the preparations or submission of Proposals, or costs incurred in making necessary studies for the preparation thereof or to procure or contract for services or supplies. The CGPDTM reserves the right to reject any or all Proposals received in response to this RFP and to negotiate with any of the Applicants or other firms in any manner deemed to be in the best interest of the CGPDTM. The CGPDTM reserves the right to negotiate and award only a portion of the requirements; to negotiate and award separate or multiple contracts for the elements covered by this RFP in any combination it may deem appropriate, at its sole discretion to add new considerations, information or requirements at any stage of the procurement process, including during negotiations with Applicants; and reject Proposal of any Applicant that has previously failed to perform properly or in a timely manner contracts of a similar nature, or of an Applicant that, in the opinion of the CGPDTM, is not in a position or is not sufficiently qualified to perform

the contract.

This RFP contains no contractual Proposal of any kind. Any Proposal submitted will be regarded as a Proposal by the Applicant and not as an acceptance by the Applicant of any Proposal by the CGPDTM. No contractual relationship will exist except pursuant to a written contract document signed by the CGPDTM and by the successful Applicant.

### **34. Jurisdiction**

The disputes, if any, arising between the successful Applicant and CGPDTM shall be resolved amicably, failing which they shall be referred to a Sole Arbitrator appointed by the CGPDTM as per the Arbitration and Conciliation Act, 1996. Also, disputes shall be subject to the jurisdiction of courts at Mumbai.

## Annexure I

### ELIGIBILITY CRITERIA

1. The Applicant owns or is able to provide access to PL data through legal means.  
Yes/No
2. The Applicant is able to provide access to PL listed in the PCT minimum documentation under Rule 34.1.  
Yes/No
3. The Applicant agrees to provide access in accordance with para 3.  
Yes/No
4. The Applicant agrees to support CGPDTM in integrating the data with IPATS.  
Yes/No

**It is certified that the information furnished above is true and correct to the best of my knowledge. In case, it is found that the information submitted is wrong or there has been a misrepresentation of facts, I have no objection for my Proposal to be rejected, or if the Contract has been signed, the Contract to be terminated.**

Signature of the Applicant/Authorized representative

## Annexure-II

### TECHNICAL PROPOSAL (Details of the Applicant)

|     |  |  |
|-----|--|--|
| 1.  | Name of the Applicant / Company / Firm / Agency<br>(Attach certificate of registration)  |  |
| 2.  | Name of Proprietor / Director of Company / Firm / Agency   |  |
| 3.  | Complete address of Registered Office:<br>Telephone Number:<br>FAX No.:<br>E mail:   |  |
| 4.  | Complete address of Branch Offices:<br>Telephone Number:<br>FAX No.:<br>E mail:  |  |
| 5.  | Details of Banker<br>(Please attach certified copy of bank statement of last three years)  |  |
| 6.  | PAN/GIR No.<br>(Attach an attested copy)   |  |
| 7.  | Service Tax Registration No.<br>(Attach an attested copy)  |  |
| 8.  | Financial turnover for the last 3 financial years<br>(Attach separate sheet if space provided is insufficient)   |  |
| 9.  | Length of experience in the field of patent databases  |  |
| 10. | In case the company is subsidiary, the involvement, if any, please provide the details of the Parent Company:  |  |
| 11. | Has the Applicant or any constituent partner in case of a partnership firm, ever been debarred/ black-listed anywhere at any point of time by any organisation? If yes, please provide complete details.   |  |
| 12. | Has the Applicant or any constituent partner in case of partnership firm, ever been convicted under the laws of any country? If yes, please provide complete details.  |  |
| 13. | Please provide complete details of internal relationship, for instance, contracts or details of contracts between the parties involved in this process.<br>Note: Under this point, the IPO intends to gain an insight into the relationship between the principal and its agent or between partners of a consortium etc. |  |
| 14. | Details of similar projects handled in last 10 years   |  |

| S.No. | Name and location of the Project | Name and Address of the Client | Cost of Project | Nature of Work | Year of start and completion | Litigation! Arbitration, if any with details |
|-------|----------------------------------|--------------------------------|-----------------|----------------|------------------------------|--|
| 1     |                                  |                                |                 |                |                              |  |
| 2     |                                  |                                |                 |                |                              |  |
| 3     |                                  |                                |                 |                |                              |  |
| 4     |                                  |                                |                 |                |                              |  |

**It is certified that the information furnished above is true and correct to the best of my knowledge. In case, it is found that the information submitted is wrong or there has been a misrepresentation of facts, I have no objection for my Proposal to be rejected, or if the Contract has been signed, the Contract to be terminated.**

Signature of the Applicant/Authorized representative

## Annexure-IIA

### TECHNICAL PROPOSAL (Coverage of PL database)

1. Details of PL data listed in PCT Minimum Documentation, not being provided:

| S.No. | Issuing Office or Organisation | ST.16 Code | Kind of Patent Document | Number Range | Publication Year(s) | Number of Documents | Type of Series |
|-------|--------------------------------|------------|-------------------------|--------------|---------------------|---------------------|----------------|
|       |                                |            |                         |              |                     |                     |                |
|       |                                |            |                         |              |                     |                     |                |
|       |                                |            |                         |              |                     |                     |                |
|       |                                |            |                         |              |                     |                     |                |

2. Details of PL data in addition to PCT Minimum Documentation being provided:

| S.No. | Issuing Office or Organisation | ST.16 Code | Kind of Patent Document | Number Range | Publication Year(s) | Number of Documents | Type of Series | Full-text / bibliographic data / any other type |
|-------|--------------------------------|------------|-------------------------|--------------|---------------------|---------------------|----------------|---|
|       |                                |            |                         |              |                     |                     |                |   |
|       |                                |            |                         |              |                     |                     |                |   |
|       |                                |            |                         |              |                     |                     |                |   |
|       |                                |            |                         |              |                     |                     |                |   |

It is certified that the information furnished above is true and correct to the best of my knowledge. In case, it is found that the information submitted is wrong or there has been a misrepresentation of facts, I have no objection for my Proposal to be rejected, or if the Contract has been signed, the Contract to be terminated.

Signature of the Applicant/Authorized representative

**TECHNICAL PROPOSAL**

**(Manner of providing access in accordance with para 3(a))**

- 1. Please provide complete details regarding para 3(a)(i):**

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- 2. Please provide complete details regarding para 3(a)(ii):**

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- 3. Please provide complete details regarding para 3(a)(iii):**

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**It is certified that the information furnished above is true and correct to the best of my knowledge. In case, it is found that the information submitted is wrong or there has been a misrepresentation of facts, I have no objection for my Proposal to be rejected, or if the Contract has been signed, the Contract to be terminated.**

Signature of the Applicant/Authorized representative

**TECHNICAL PROPOSAL  
(Access in accordance with para 3(a)(iv))**

**Please provide complete details regarding para 3(a)(iv):**

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**It is certified that the information furnished above is true and correct to the best of my knowledge. In case, it is found that the information submitted is wrong or there has been a misrepresentation of facts, I have no objection for my Proposal to be rejected, or if the Contract has been signed, the Contract to be terminated.**

Signature of the Applicant/Authorized representative



**TECHNICAL PROPOSAL  
(Compliance of para 3(b))**

1. **Bibliographic data shall be provided:**  

(Yes / No)
  
2. **Please provide complete technical details regarding the above reply:**  

---
  
3. **Full text extraction in ST.36 (or its value added or extended schema)/xml shall be provided:**  

(Yes / No)
  
4. **Please provide complete technical details regarding the above reply:**  

---
  
5. **IPC database shall be provided:**  

(Yes / No)
  
6. **Please provide complete technical details regarding the above reply:**  

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7. **CPC database shall be provided:**  

(Yes / No)
  
8. **Please provide complete technical details regarding the above reply:**  

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9. **ECLA database shall be provided:**  

(Yes / No)
  
10. **Please provide complete technical details regarding the above reply:**  

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11. **A value added database, such as a database serving the functions of a dictionary / thesaurus shall be provided (any other such value added database may also be submitted for consideration):**

(Yes / No)

**12. Please provide complete technical details regarding the above reply:**

---

**It is certified that the information furnished above is true and correct to the best of my knowledge. In case, it is found that the information submitted is wrong or there has been a misrepresentation of facts, I have no objection for my Proposal to be rejected, or if the Contract has been signed, the Contract to be terminated.**

Signature of the Applicant/Authorized representative

**NOTE: Details such as coverage of data must be provided.**

**TECHNICAL PROPOSAL  
(Compliance of para 3(c))**

**Please provide complete technical details:**

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**It is certified that the information furnished above is true and correct to the best of my knowledge. In case, it is found that the information submitted is wrong or there has been a misrepresentation of facts, I have no objection for my Proposal to be rejected, or if the Contract has been signed, the Contract to be terminated.**

Signature of the Applicant/Authorized representative

**TECHNICAL PROPOSAL  
(Compliance of para 3(d))**

- 1. Patent family database will be provided through a web service or by storage on IPO's servers or through any other mode:**

**(Yes / No)**

- 2. Please provide complete technical details regarding the above reply:**

---

- 3. EPO Worldwide Patent Statistical Database - EPO PATSTAT - will be provided through a web service or by storage on IPO's servers or through any other mode:**

**(Yes / No)**

- 4. Please provide complete technical details regarding the above reply:**

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- 5. Register of patent authorities will be provided through a web service or by storage on IPO's servers or through any other mode:**

**(Yes / No)**

- 6. Please provide complete technical details regarding the above reply:**

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- 7. PDF's of patent documents will be provided through a web service or by storage on IPO's servers or through any other mode:**

**(Yes / No)**

- 8. Please provide complete technical details regarding the above reply:**

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- 9. Images of patent documents will be provided through a web service or by storage on IPO's servers or through any other mode:**

**(Yes / No)**

- 10. Please provide complete technical details regarding the above reply:**

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**It is certified that the information furnished above is true and correct to the best of my knowledge. In case, it is found that the information submitted is wrong or there has been a misrepresentation of facts, I have no objection for my Proposal to be rejected, or if the Contract has been signed, the Contract to be terminated.**

Signature of the Applicant/Authorized representative

## Annexure-IIG

### TECHNICAL PROPOSAL (Compliance of para 9(a))

1. The documents that are not available in English language, will be made available:

(Yes / No)

2. Please provide the coverage of documents mentioned above:

| S.No | Issuing Office or Organisation | ST.16 Code | Kind of Patent Document | Number Range | Publication Year(s) | Number of Documents | Type of Series | Full-text / bibliographic level data / any other type |
|------|--------------------------------|------------|-------------------------|--------------|---------------------|---------------------|----------------|---|
|      |                                |            |                         |              |                     |                     |                |   |
|      |                                |            |                         |              |                     |                     |                |   |
|      |                                |            |                         |              |                     |                     |                |   |
|      |                                |            |                         |              |                     |                     |                |   |

3. All the aforementioned documents are available in the database as documents translated from another language into English language:

(Yes / No)

4. Please provide information regarding documents that are not available as 'documents translated into English' for searching:

| S.No. | Issuing Office or Organisation | ST.16 Code | Kind of Patent Document | Number Range | Publication Year(s) | Number of Documents | Type of Series | Full-text / bibliographic level data / any other type |
|-------|--------------------------------|------------|-------------------------|--------------|---------------------|---------------------|----------------|---|
|       |                                |            |                         |              |                     |                     |                |   |
|       |                                |            |                         |              |                     |                     |                |   |
|       |                                |            |                         |              |                     |                     |                |   |
|       |                                |            |                         |              |                     |                     |                |   |

5. Please provide complete technical details regarding the above issues:

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6. All other requirements of para 9(a) are complied with:

(Yes / No)

7. Please provide complete details regarding non-compliance of para 9(a):

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It is certified that the information furnished above is true and correct to the best of my knowledge. In case, it is found that the information submitted is wrong or there has been a misrepresentation of facts, I have no objection for my Proposal to be rejected, or if the Contract has been signed, the Contract to be terminated.

Signature of the Applicant/Authorized representative

## Annexure-IIH

### TECHNICAL PROPOSAL (Information regarding para 9(b))

#### 1. Information regarding abbreviations used in the Applicant's database:

| S.No. | Field  | Abbreviation used in IPATS | Abbreviation used in Applicant's database | Comments, if any |
|-------|--|----------------------------|---|------------------|
| 1.    | Title  | TI                         |   |                  |
| 2.    | Abstract   | ABS                        |   |                  |
| 3.    | Claims   | CLMS                       |   |                  |
| 4.    | Description  | DESC                       |   |                  |
| 5.    | Object of Invention  | OBJ                        |   |                  |
| 6.    | Advantages   | ADB                        |   |                  |
| 7.    | Independent claims   | ICLM                       |   |                  |
| 8.    | Full text  | FR                         |   |                  |
| 9.    | IPC  | IPC                        |   |                  |
| 10.   | CPC  | CPC                        |   |                  |
| 11.   | FI   | FI                         |   |                  |
| 12.   | F-terms  | FTM                        |   |                  |
| 13.   | Assignee (original, intermediate, current)   | PA                         |   |                  |
| 14.   | Assignee (current only latest)   | PAC                        |   |                  |
| 15.   | Assignee (original only earliest)  | PAO                        |   |                  |
| 16.   | Inventor   | IN                         |   |                  |
| 17.   | Representative   | RP                         |   |                  |
| 18.   | Publication Number   | PN                         |   |                  |
| 19.   | Application Number   | AP                         |   |                  |
| 20.   | Priority Number  | PR                         |   |                  |
| 21.   | Patent Number  | ---                        |   |                  |
| 22.   | Publication date (from, to, up to).  | PD                         |   |                  |
| 23.   | Application Date.  | APD                        |   |                  |
| 24.   | Priority Date (first filing date in family, and/or Parent application in Indian Patent Applications) | EPRD                       |   |                  |



| S.No. | Field                                    | Abbreviation used in IPATS | Abbreviation used in Applicant's database | Comments, if any |
|-------|--|----------------------------|---|------------------|
| 25.   | Date of grant/issued patent.             | PDG                        |   |                  |
| 26.   | Patent Date, last pub.                   | PDL                        |   |                  |
| 27.   | First Family's Priority Date             | EPRD                       |   |                  |
| 28.   | Earliest Application Date                | EAPD                       |   |                  |
| 29.   | Earliest Publication Date                | PDF                        |   |                  |
| 30.   | Other Publication Dates                  | OPD                        |   |                  |
| 31.   | State(alive)                             | ---                        |   |                  |
| 32.   | State(dead)                              | ---                        |   |                  |
| 33.   | Legal event Opposition                   | EG/ACT=OPP                 |   |                  |
| 34.   | Legal event Licensing                    | ---                        |   |                  |
| 35.   | Legal event Term rights extension        | ---                        |   |                  |
| 36.   | Legal event Reassignment                 | ---                        |   |                  |
| 37.   | Legal event Entry into national phase    | ---                        |   |                  |
| 38.   | Legal event No opposition filed          | ---                        |   |                  |
| 39.   | Legal event Designated contracting state | ---                        |   |                  |
| 40.   | Expiration date actual                   | ---                        |   |                  |
| 41.   | Expiration date expected                 | ---                        |   |                  |
| 42.   | Cited Patents                            | CT                         |   |                  |
| 43.   | Cited Literature                         | REF                        |   |                  |
| 44.   | Designated States                        | ---                        |   |                  |
| 45.   | FamPat Family Number                     | FAN                        |   |                  |
| 46.   | PCT Publication number                   | PPN                        |   |                  |
| 47.   | PCT Application Number                   | PAP                        |   |                  |
| 48.   | Patent Assignee Country                  | ---                        |   |                  |
| 49.   | Patent Assignee                          | ---                        |   |                  |
| 50.   | Inventor Country                         | INAD                       |   |                  |
| 51.   | Inventor State                           | INAD                       |   |                  |
| 52.   | Representative Country                   | RPAD                       |   |                  |
| 53.   | US Filing Details                        | ---                        |   |                  |
| 54.   | FR Filing Details                        | ---                        |   |                  |
| 55.   | Examples                                 | DESX                       |   |                  |
| 56.   | Number of Patents in the FamPat Family   | NPN                        |   |                  |

| S.No. | Field                                     | Abbreviation used in IPATS | Abbreviation used in Applicant's database | Comments, if any |
|-------|---|----------------------------|---|------------------|
| 57.   | Number of Priorities in the FamPat Family | NPR                        |   |                  |
| 58.   | USPTO Examiner                            | NO                         |   |                  |
| 59.   | US Representative                         | REP                        |   |                  |
| 60.   | Number of Independent claim               | ICL                        |   |                  |
| 61.   | Number of claims                          | NC                         |   |                  |
| 62.   | Number of pages with drawings             | NPS                        |   |                  |
| 63.   | Number of drawings                        | NDR                        |   |                  |
| 64.   | US Case ID                                | CID                        |   |                  |
| 65.   | Abstract - (EAB)                          | AB                         |   |                  |
| 66.   | Advantages and Drawbacks                  | ADB                        |   |                  |
| 67.   | Accession Number                          | AN                         |   |                  |
| 68.   | Application Number (APC)                  | AP                         |   |                  |
| 69.   | Application Date (DDP)                    | APD                        |   |                  |
| 70.   | Berlin Class                              | BC                         |   |                  |
| 71.   | Citations                                 | CT                         |   |                  |
| 72.   | ECLA Definition                           | DEF                        |   |                  |
| 73.   | Designated States                         | DS                         |   |                  |
| 74.   | Document Type                             | DT                         |   |                  |
| 75.   | ECLA Class (ECLA)                         | EC                         |   |                  |
| 76.   | Abstract in French                        | FAB                        |   |                  |
| 77.   | Filing Details                            | FD                         |   |                  |
| 78.   | Family ID                                 | FI/ FID                    |   |                  |
| 79.   | Family Priority                           | FPR                        |   |                  |
| 80.   | French Title                              | FT                         |   |                  |
| 81.   | F-Terms (File forming                     | FTM                        |   |                  |
| 82.   | Abstract in German                        | GAB                        |   |                  |
| 83.   | German Title                              | GT                         |   |                  |
| 84.   | Reference for Abstract                    | IAB                        |   |                  |
| 85.   | Intl Patent Class                         | IC                         |   |                  |
| 86.   | Additional IPC                            | ICA                        |   |                  |
| 87.   | IPC Advanced All                          | ICAA                       |   |                  |
| 88.   | IPC Advanced Inventive                    | ICAI                       |   |                  |
| 89.   | IPC Advanced Non-inventive                | ICAN                       |   |                  |
| 90.   | IPC Core All                              | ICCA                       |   |                  |

| S.No. | Field                       | Abbreviation used in IPATS | Abbreviation used in Applicant's database | Comments, if any |
|-------|-----------------------------|----------------------------|---|------------------|
| 91.   | IPC Core Inventive          | ICCI                       |   |                  |
| 92.   | IPC Core Non-inventive      | ICCN                       |   |                  |
| 93.   | Independent Claim           | ICLM                       |   |                  |
| 94.   | Main IPC                    | ICM                        |   |                  |
| 95.   | In Computer Only            | ICO                        |   |                  |
| 96.   | Secondary IPC               | ICS                        |   |                  |
| 97.   | Reference for Citation      | ICT                        |   |                  |
| 98.   | Dutch Class                 | IDT                        |   |                  |
| 99.   | Patent Kind Code            | IKD                        |   |                  |
| 100.  | Inventor(s)                 | IN                         |   |                  |
| 101.  | Inventor(s)                 | INO                        |   |                  |
| 102.  | Inventor Country            | INC                        |   |                  |
| 103.  | Inventor Name               | INN                        |   |                  |
| 104.  | Inventor Name               | INNO                       |   |                  |
| 105.  | Index Terms                 | IT                         |   |                  |
| 106.  | Index Words                 | IW                         |   |                  |
| 107.  | Concepts                    | KEW                        |   |                  |
| 108.  | Language                    | LA                         |   |                  |
| 109.  | Machine Translated Abstract | MTAB                       |   |                  |
| 110.  | Normalized Patent assignee  | NPA                        |   |                  |
| 111.  | Number of Priority          | NPR                        |   |                  |
| 112.  | Other Abstracts             | OAB                        |   |                  |
| 113.  | Patent Object               | OBJ                        |   |                  |
| 114.  | Other Publication Dates     | OPD                        |   |                  |
| 115.  | Other Title                 | OTI                        |   |                  |
| 116.  | Patent Assignee             | PA                         |   |                  |
| 117.  | Patent Assignee             | PAO                        |   |                  |
| 118.  | Patent Assignee Country     | PAC                        |   |                  |
| 119.  | Patent Assignee History     | PAH                        |   |                  |
| 120.  | Patent Assignee Name        | PAN                        |   |                  |
| 121.  | Patent Assignee Name        | PANO                       |   |                  |
| 122.  | PCT Application Number      | PAP                        |   |                  |
| 123.  | US Class                    | PCL                        |   |                  |
| 124.  | US Original PCL             | PCLO                       |   |                  |
| 125.  | Publication Date            | PD                         |   |                  |
| 126.  | First Date of Publication   | PDA                        |   |                  |
| 127.  | First Date of Issue         | PDG                        |   |                  |

| S.No. | Field  | Abbreviation used in IPATS | Abbreviation used in Applicant's database | Comments, if any |
|-------|--|----------------------------|---|------------------|
| 128.  | Patent Date Last   | PDL                        |   |                  |
| 129.  | Patent Number  | PN                         |   |                  |
| 130.  | PCT Patent Number  | PPN                        |   |                  |
| 131.  | Priority Details   | PR                         |   |                  |
| 132.  | Priority Date  | PRD                        |   |                  |
| 133.  | Priority Indicator   | PRI                        |   |                  |
| 134.  | Publication country (from legal status only)                             | PUB                        |   |                  |
| 135.  | Questel Month  | QM                         |   |                  |
| 136.  | Questel Week   | QW                         |   |                  |
| 137.  | Non Patent Citation References   | REF                        |   |                  |
| 138.  | Simple Family  | SFM                        |   |                  |
| 139.  | Stage  | STG                        |   |                  |
| 140.  | Title - English  | TI                         |   |                  |
| 141.  | Update Amendments  | UA                         |   |                  |
| 142.  | Monthly UABA   | UAA4                       |   |                  |
| 143.  | Abstract Update  | UAB                        |   |                  |
| 144.  | Monthly UAB  | UAB4                       |   |                  |
| 145.  | All Abstracts - Human  | UABA                       |   |                  |
| 146.  | Classification Code Update   | UCL                        |   |                  |
| 147.  | Citation Update  | UCT                        |   |                  |
| 148.  | Update Equivalent / Stages   | UE                         |   |                  |
| 149.  | Monthly UE   | UE4                        |   |                  |
| 150.  | Monthly UMTA   | UMT4                       |   |                  |
| 151.  | MTAB Update  | UMTA                       |   |                  |
| 152.  | Update Code  | UP                         |   |                  |
| 153.  | Monthly Update   | UP4                        |   |                  |
| 154.  | Standardized Application Number  | XAP                        |   |                  |
| 155.  | Standardized Citation Number   | XCT                        |   |                  |
| 156.  | Cited Document Category from EP, WO Search Reports-Technology Background | XCTA                       |   |                  |
| 157.  | Cited Document Category from EP, WO Search Reports-Document Cited in     | XCTD                       |   |                  |

| S.No. | Field  | Abbreviation used in IPATS | Abbreviation used in Applicant's database | Comments, if any |
|-------|--|----------------------------|---|------------------|
|       | Application  |                            |   |                  |
| 158.  | Cited Document Category from EP, WO Search Reports– Earlier Patent, published on or after filing date                    | XCTE                       |   |                  |
| 159.  | Cited Document Category from EP, WO Search Reports– Document Cited for other reasons                                     | XCTL                       |   |                  |
| 160.  | Cited Document Category from EP, WO Search Reports– Non-Written Disclosure   | XCTO                       |   |                  |
| 161.  | Cited Document Category from EP, WO Search Reports– Intermediate Document  | XCTP                       |   |                  |
| 162.  | Cited Document Category from EP, WO Search Reports –Theory/Principle Underlying the Invention                            | XCTT                       |   |                  |
| 163.  | Cited Document Category from EP, WO Search Reports- Particularly Relevant if taken alone                                 | XCTX                       |   |                  |
| 164.  | Cited Document Category from EP, WO Search Reports– Particularly Relevant if combined with r document in the same family | XCTY                       |   |                  |
| 165.  | Standardized Patent Number   | XPN                        |   |                  |
| 166.  | Standardized Priority Number   | XPR                        |   |                  |

**2. In case of a difference between the abbreviations used in the IPATS and the database of the Applicant, will the Applicant do the necessary changes in its database so as to remove the differences, to make the data readily available for use in IPATS:**

**(Yes / No)**

**3. Please provide complete technical details regarding the above issue:**

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4. Any additional field available in the database of the applicant, in addition to the aforementioned fields available in the IPATS, should be stated clearly, along with all the relevant details such as abbreviations, benefits etc.:
- 

**It is certified that the information furnished above is true and correct to the best of my knowledge. In case, it is found that the information submitted is wrong or there has been a misrepresentation of facts, I have no objection for my Proposal to be rejected, or if the Contract has been signed, the Contract to be terminated.**

Signature of the Applicant/Authorized representative

**Annexure-III**

**WORK PLAN**

**(Detailed work plan to be provided by the Applicant)**

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**It is certified that the information furnished above is true and correct to the best of my knowledge. In case, it is found that the information submitted is wrong or there has been a misrepresentation of facts, I have no objection for my Proposal to be rejected, or if the Contract has been signed, the Contract to be terminated.**

**Signature of the Applicant/Authorized representative**

**Annexure-IV**

**Brief CV of the professionals who will present the Proposal and will act as contact persons in case of grant of contract**

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**It is certified that the information furnished above is true and correct to the best of my knowledge. In case, it is found that the information submitted is wrong or there has been a misrepresentation of facts, I have no objection for my Proposal to be rejected, or if the Contract has been signed, the Contract to be terminated.**

**Signature of the Applicant/Authorized representative**



## Annexure-V

### FINANCIAL PROPOSAL

| S.No. | Item  | Details |
|-------|---|---------|
| 1.    | Name of the Applicant, Postal Address, Tel. No. / Cell No. / Fax / e-mail   |         |
| 2     | Total Price (including all applicable taxes and conversion charges) for providing PL data for 3 years, along with break-up, if any: |         |
|       | Grand Total   |         |

It is certified that the information furnished above is true and correct to the best of my knowledge. In case, it is found that the information submitted is wrong or there has been a misrepresentation of facts, I have no objection for my Proposal to be rejected, or if the Contract has been signed, the Contract to be terminated.

**Signature of the Applicant/Authorized representative  
(Seal of the Applicant to be affixed)**

**Note:** For the purpose of quarterly payment as well as performance security deposit for 1 year, the respective amounts will be deduced proportionally from the financial proposal (which is for 3 years).

## **Annexure VI**

### **STATEMENT AND UNDERTAKING**

- 1. I/we certify that the Patent databases have been procured through legal means. I/We agree to be liable for any breach thereof.**
- 2. I/we undertake to observe the highest standard ethics during the term of contract.**
- 3. I/we undertake to complete the work in stipulated period of time in accordance with the term of contract.**
- 4. I/we undertake to repay the amount due on me/us in case of breach of contract.**

**It is certified that the information furnished above is true and correct to the best of my knowledge. In case, it is found that the information submitted is wrong or there has been a misrepresentation of facts, I have no objection for my Proposal to be rejected, or if the Contract has been signed, the Contract to be terminated.**

Signature of the Applicant/Authorized representative

