Appendix II - 35 U.S.C. 102 Rejections

706.02(a) Rejections Under 35 U.S.C. 102(a)(1) and (a)(2) and pre-AIA 35 U.S.C. 102(a), (b), or (e); Printed Publication or Patent

706.02(a)(1) Determining Whether To Apply 35 U.S.C. 102(a)(1) or 102(a)(2)

706.02(a)(2) Determining Whether To Apply Pre-AIA 35 U.S.C. 102(a), (b), or (e)

706.02(c) Rejections Under 35 U.S.C. 102(a)(1) or pre-AIA 35 U.S.C. 102(a) or (b); Knowledge by Others or Public Use or Sale

706.02(c)(1) Rejections under 35 U.S.C. 102(a)(1); Public Use or Public Sale

706.02(c)(2) Rejections under pre-AIA 35 U.S.C. 102(a) and (b); Public Use or On Sale

706.02(d) Rejections Under Pre-AIA 35 U.S.C. 102(c)

706.02(e) Rejections Under Pre-AIA 35 U.S.C. 102(d)

706.02(f) Rejection Under pre-AIA 35 U.S.C. 102(e)

706.02(f)(1) Examination Guidelines for Applying References Under Pre-AIA 35 U.S.C. 102(e)

706.02(f)(2) Provisional Rejections Under 35 U.S.C. 102(a)(2) or pre-AIA 35 U.S.C. 102(e); Reference Is a Copending U.S. Patent Application

706.02(g) Rejections Under Pre-AIA 35 U.S.C. 102(f)

706.02(h) Rejections Under pre-AIA 35 U.S.C. 102(g)

717 Prior Art Exceptions under AIA 35 U.S.C. 102(b)(1) and (2)

717.02 Prior Art Exception for Commonly Owned or Joint Research Agreement Subject Matter under AIA 35 U.S.C. 102(b)(2)(C)

717.02(a) Invoking the Prior Art Exception under 35 U.S.C. 102(b)(2)(C)

I. COMMON OWNERSHIP

A. Definition of Common Ownership

- B. Evidence Required to Establish Common Ownership
- II. JOINT RESEARCH AGREEMENT

717.02(b) Evaluating Whether the Prior Art Exception under AIA 35 U.S.C. 102(b)(2)(C) is Properly Invoked

717.02(c) Examination Procedure With Respect to the Prior Art Exception under AIA 35 U.S.C. 102(b)(2)(C)

Availability of a Document as a "Patent" for Purposes of Rejection Under 35 U.S.C. 102(a) or Pre-AIA 35 U.S.C. 102(a), (b), and (d)

2126.01 Date of Availability of a Patent as a Reference

2126.02 Scope of Reference's Disclosure Which Can Be Used to Reject Claims When the Reference Is a "Patent" but Not a "Publication"

- 2127 Domestic and Foreign Patent Applications as Prior Art
- 2128 "Printed Publications" as Prior Art
 - 2128.01 Level of Public Accessibility Required

2128.02 Date Publication Is Available as a Reference

- 2129 Admissions as Prior Art
- 2131 Anticipation Application of 35 U.S.C. 102
 - 2131.01 Multiple Reference 35 U.S.C. 102 Rejections
 - 2131.02 Genus-Species Situations
 - 2131.03 Anticipation of Ranges
 - 2131.04 Secondary Considerations
 - 2131.05 Nonanalogous or Disparaging Prior Art
- 2132 Pre-AIA 35 U.S.C. 102(a)

2132.01 Publications as Pre-AIA 35 U.S.C. 102(a) Prior Art

- 2133 Pre-AIA 35 U.S.C. 102(b)
 - 2133.01 Rejections of Continuation-In-Part (CIP) Applications
 - 2133.02 Rejections Based on Publications and Patents
 - 2133.03 Rejections Based on "Public Use" or "On Sale"
 - 2133.03(a) "Public Use"
 - 2133.03(b) "On Sale"
 - 2133.03(c) The "Invention"
 - 2133.03(d) "In This Country"
 - 2133.03(e) Permitted Activity; Experimental Use
 - 2133.03(e)(1) Commercial Exploitation

- 2133.03(e)(2) Intent
- 2133.03(e)(3) "Completeness" of the Invention
- 2133.03(e)(4) Factors Indicative of an Experimental Purpose
- 2133.03(e)(5) Experimentation and Degree of Supervision and Control
- 2133.03(e)(6) Permitted Experimental Activity and Testing
- 2133.03(e)(7) Activity of an Independent Third Party Inventor
- 2134 Pre-AIA 35 U.S.C. 102(c)
- 2135 Pre-AIA 35 U.S.C. 102(d)

2135.01 The Four Requirements of Pre-AIA 35 U.S.C. 102(d)

- 2136 Pre-AIA 35 U.S.C. 102(e)
 - 2136.01 Status of U.S. Application as a Reference
 - 2136.02 Content of the Prior Art Available Against the Claims
 - 2136.03 Critical Reference Date
 - 2136.04 Different Inventive Entity; Meaning of "By Another"
 - 2136.05 Overcoming a Rejection Under Pre-AIA 35 U.S.C. 102(e)
- 2137 Pre-AIA 35 U.S.C. 102(f)
 - 2137.01 Inventorship
 - 2137.02 Applicability of Pre-AIA 35 U.S.C. 103(c)
- 2138 Pre-AIA 35 U.S.C. 102(g)
 - 2138.01 Interference Practice
 - 2138.02 "The Invention Was Made in This Country"
 - 2138.03 "By Another Who Has Not Abandoned, Suppressed, or Concealed It"
 - 2138.04 "Conception"
 - 2138.05 "Reduction to Practice"
 - 2138.06 "Reasonable Diligence"
- 2152 Detailed Discussion of AIA 35 U.S.C. 102(a) and (b)
 - 2152.01 Effective Filing Date of the Claimed Invention

2152.02 Prior Art Under AIA 35 U.S.C. 102(a)(1) (Patented, Described in a Printed Publication, or in Public Use, on Sale, or Otherwise Available to the Public)

- 2152.02(a) Patented
- 2152.02(b) Described in a Printed Publication
- 2152.02(c) In Public Use
- 2152.02(d) On Sale
- 2152.02(e) Otherwise Available to the Public
- 2152.02(f) No Requirement of "By Others"
- 2152.03 Admissions
- 2152.04 The Meaning of "Disclosure"
- 2153 Prior Art Exceptions Under 35 U.S.C. 102(b)(1) to AIA 35 U.S.C. 102(a)(1)

2153.01 Prior Art Exception Under AIA 35 U.S.C. 102(b)(1)(A) To AIA 35 U.S.C. 102(a)(1) (Grace Period Inventor Or Inventor-Originated Disclosure Exception)

2153.01(a) Grace Period Inventor Disclosure Exception

2153.01(b) Grace Period Inventor-Originated Disclosure Exception

2153.02 Prior Art Exception Under AIA 35 U.S.C. 102(b)(1)(B) to AIA 35 U.S.C. 102(a)(1) (Inventor Or Inventor-Originated Prior Public Disclosure Exception)

2154 Provisions Pertaining to Subject Matter in a U.S. Patent or Application Effectively Filed Before the Effective Filing Date of the Claimed Invention

2154.01 Prior Art Under AIA 35 U.S.C. 102(a)(2) "U.S. Patent Documents"

2154.01(a) WIPO Published Applications

2154.01(b) Determining When Subject Matter Was Effectively Filed Under AIA 35 U.S.C. 102(d)

2154.01(c) Requirement Of "Names Another Inventor"

2154.02 Prior Art Exceptions Under 35 U.S.C. 102(b)(2) to AIA 35 U.S.C. 102(a)(2)

2154.02(a) Prior Art Exception Under AIA 35 U.S.C. 102(b)(2)(A) to AIA 35 U.S.C. 102(a)(2) (Inventor-Originated Disclosure Exception)

2154.02(b) Prior Art Exception Under AIA 35 U.S.C. 102(b)(2)(B) to AIA 35 U.S.C. 102(a)(2) (Inventor or Inventor-Originated Prior Public Disclosure Exception)

2154.02(c) Prior Art Exception Under AIA 35 U.S.C. 102(b)(2)(C) to AIA 35 U.S.C. 102(a)(2) (Common Ownership or Obligation of Assignment)

- 2156 Joint Research Agreements
- 2157 Improper Naming of Inventors