

Topic 2:

Patent Examination Practices and Policies of JPO in View of Exploiting Patent Family Relations

Aug.2014

JAPAN PATENT OFFICE

Outline



- Background
- II. Patent Examination Practices and Policies of the JPO
- III. Unity of Invention



I. <u>Background</u>

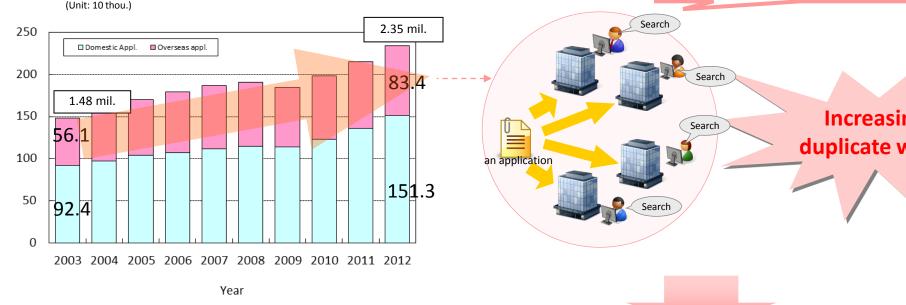
- II. Patent Examination Practices and Policies of the JPO
- III. Unity of Invention

Background



Growing Demand for Work Sharing

Changes in Patent Appl. Filed in the Whole World The number of applications filed in many offices is increasing. (Unit: 10 thou.) Search 2.35 mil. Overseas appl. Domestic Appl.



Increasing duplicate work!

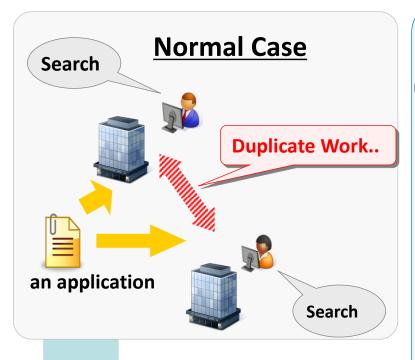
Source: WIPO Industrial Property Statistics

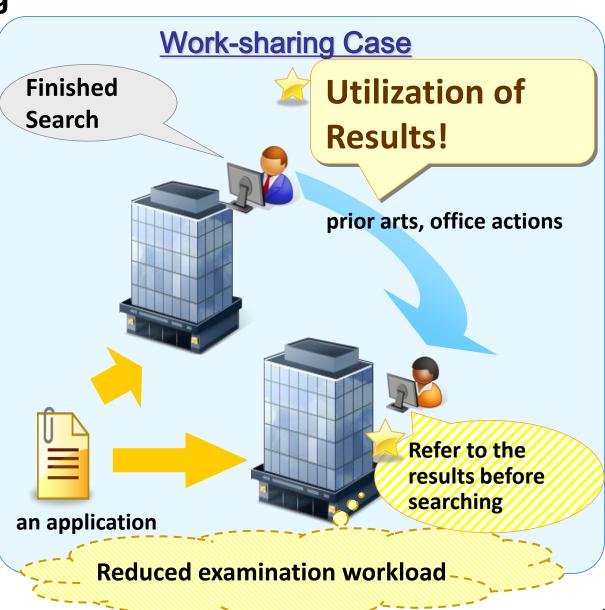
Growing Demand for Work Sharing

Background



Efficiency of Work sharing

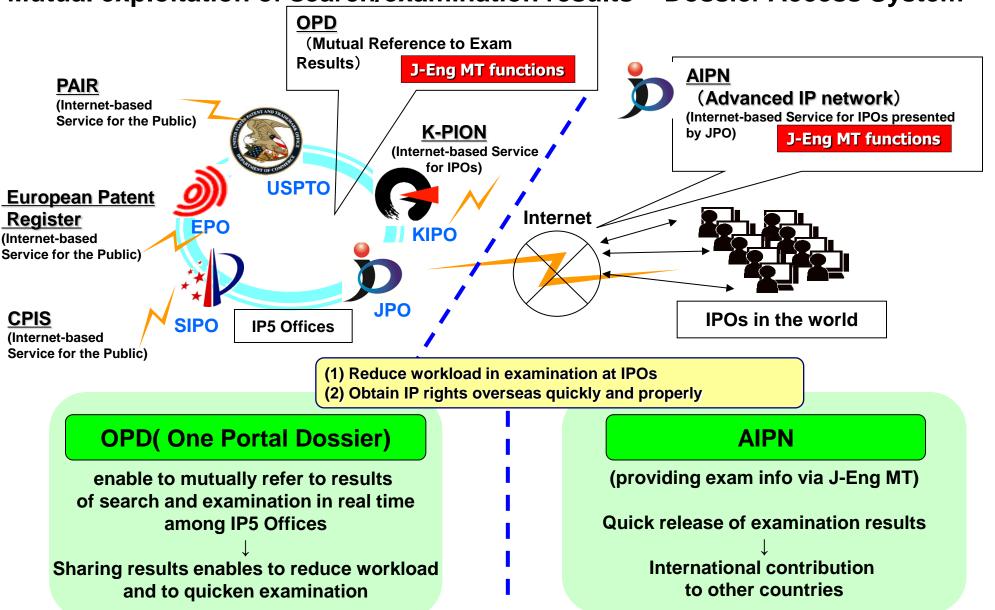




Background



Mutual exploitation of search/examination results - Dossier Access System-

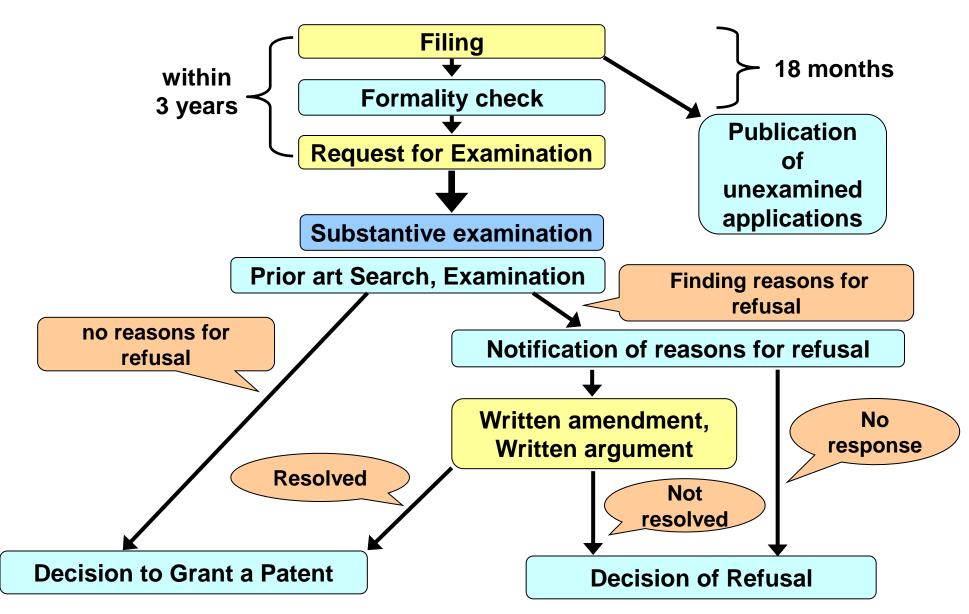




- I. Background
- II. Patent Examination Practices and Policies of JPO
- III. Unity of Invention

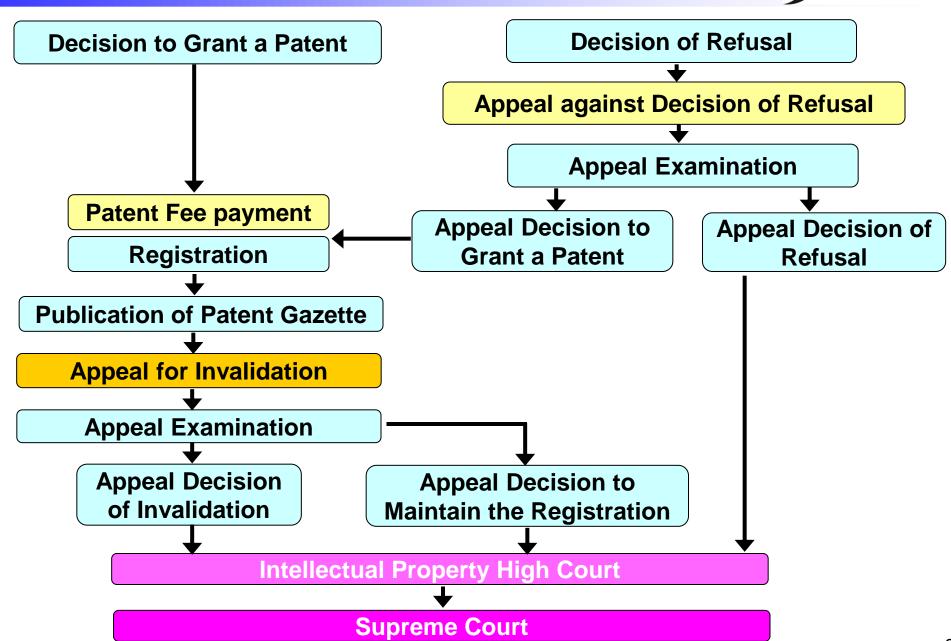
Examination Flow (1)





Examination Flow (2)





Activities of examiners



Understanding the claimed invention



Searching for prior arts





Utilizing (If available)

ISR, Examination-related information of IP Offices

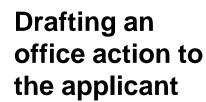
Search result of outside organization for prior art search

Send to the applicant



Directors or group leaders check and approve















 Guideline for the Use of Prior Art Search Results and Examination Results Provided by Foreign Patent Offices

(JPO's Examinations Guidelines, Part IX, attachment)

- 1. The examiner <u>shall refer to</u> the prior art search results and examination results provided by foreign patent offices.
- 2. The examiner <u>is not required to carry out an additional prior art search</u> himself/herself if he/she considers it possible, based on his/her knowledge and experience, to conduct an examination precisely and efficiently by using such search results.
- 3. The examiner shall carry out an additional prior art search himself/herself where he/she considers it impossible, based on his/her knowledge and experience, to conduct an examination precisely and efficiently by using only such search results. In this case, the scope already searched by the foreign patent office shall be excluded from the scope of the additional search.
- 4. The examiner shall take into account the prosecution history and examination results and shall take notice of the difference between the practice of each country.



Prior art search (1)

Examiners consider it possible, based on their knowledge and experience, to conduct an examination precisely and efficiently by using search and examination results provided by foreign patent offices.

Examiners are not required to carry out an additional prior art search.



Prior art search (2)

Examiners consider it impossible, based on their knowledge and experience, to conduct an examination precisely and efficiently by using search and examination results provided by foreign patent offices.

Examiners shall carry out an additional prior art search. In this case, the scope already searched by the foreign patent offices shall be excluded from the scope of the additional search.



Prior art search (3)

Examiners consider it possible, based on their knowledge and experience, to find relevant prior art documents more efficiently by carrying out a prior art search by themselves, rather than referring to search and examination results provided by foreign patent offices.

•

Examiners may carry out an additional prior art search before referring to the search results.



Prior art search (4)

- ■To search earlier filed but later published applications which were not searched by other offices (Top-up search)
- ■To search in order to avoid duplicate patenting



Additional prior art search (with Amendment)

If amendments add any features that necessitate additional prior art search.

Ex. Claim: A+B

Amendment

Claim: A+C



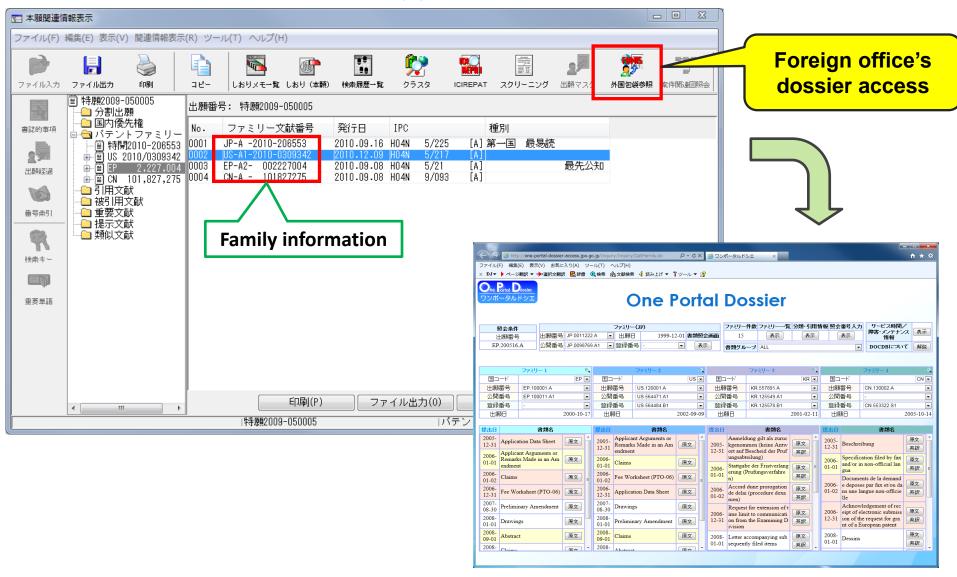
Judging patentability

- Examiners shall take into account the prosecution history and examination.
- Examiners should take notice of the difference between the Japanese examination system and practice and those of the foreign country.

- The substantive examination is conducted according to the Japanese law and guidelines.
- Examiners may only refer to search and examination results, but are not bound to these results.
- Examiners have to judge on their own.

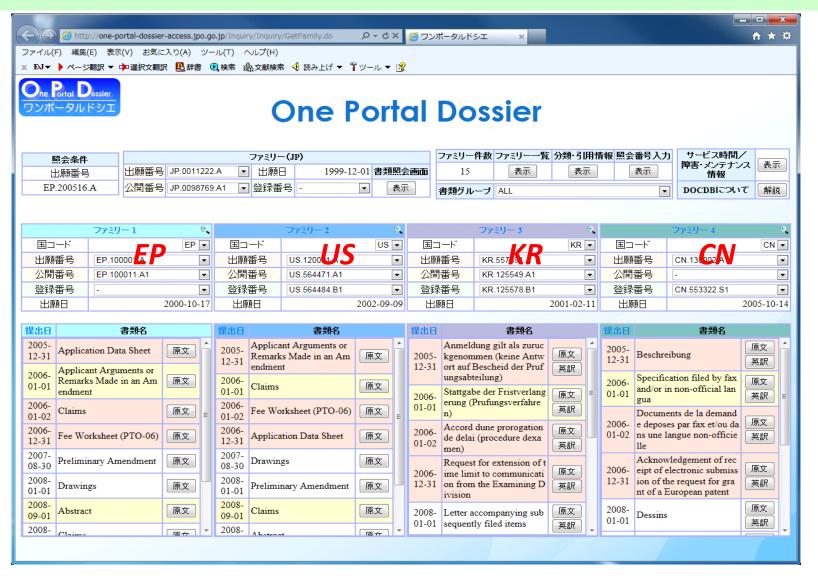


Information relevant to the application

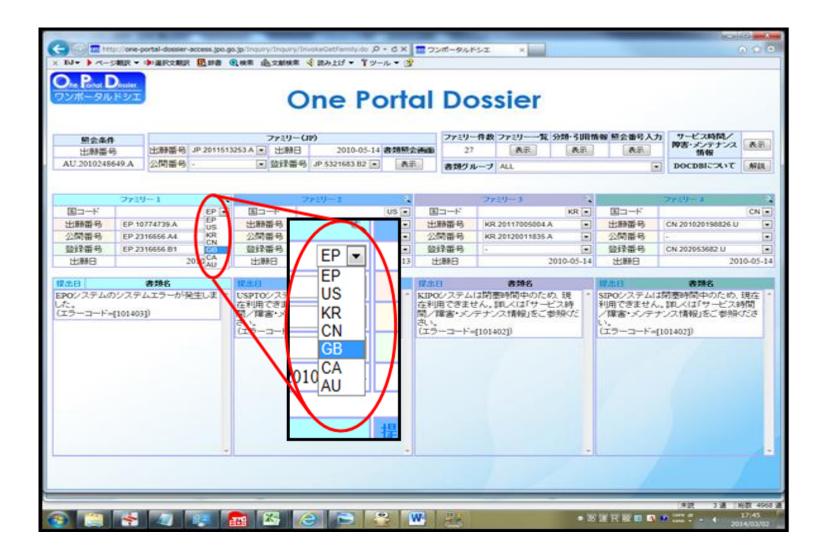




Mutually refer to results of search and examination among IP5 Offices.

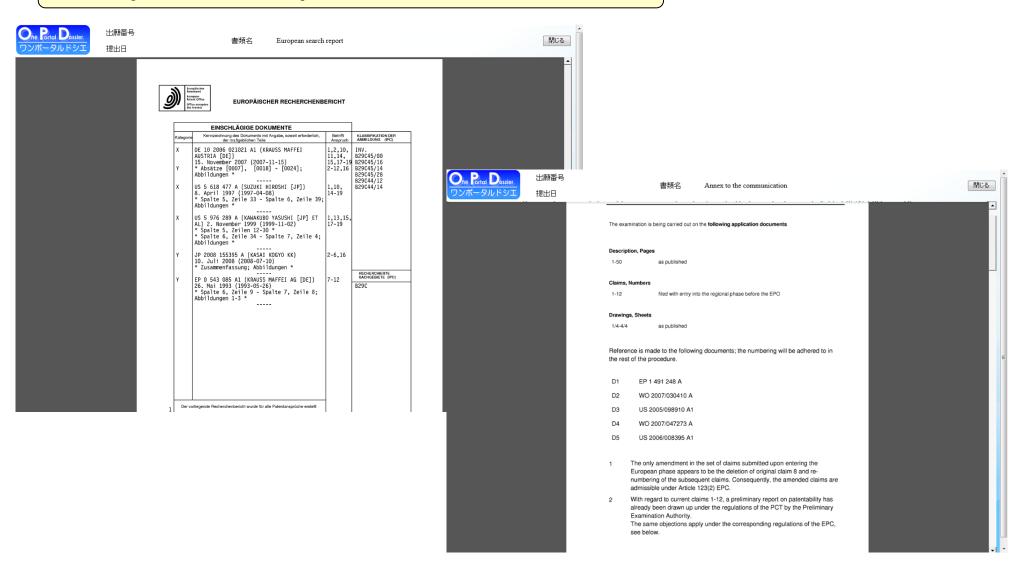






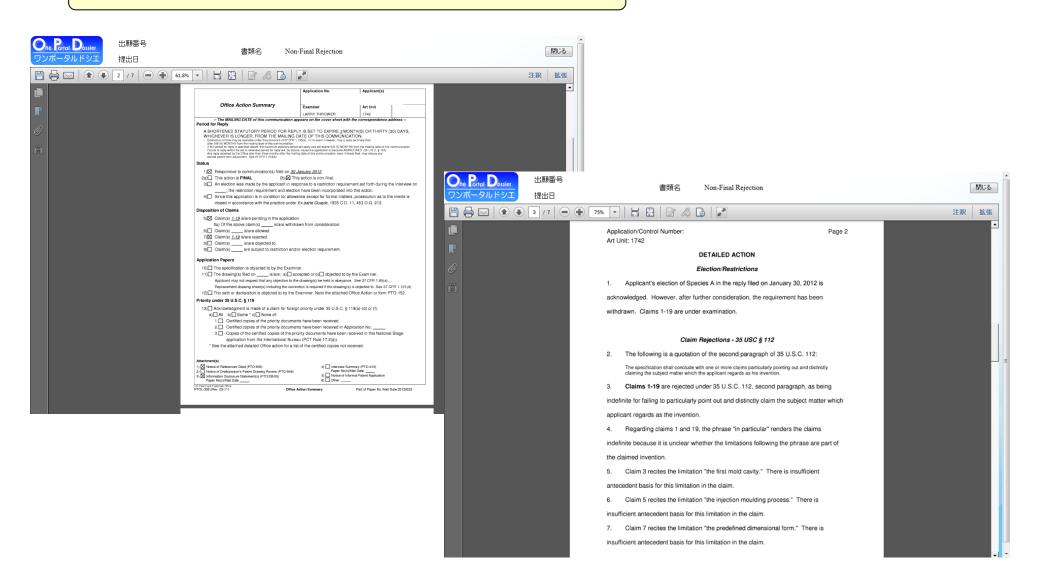


European search report and Reasons for refusal



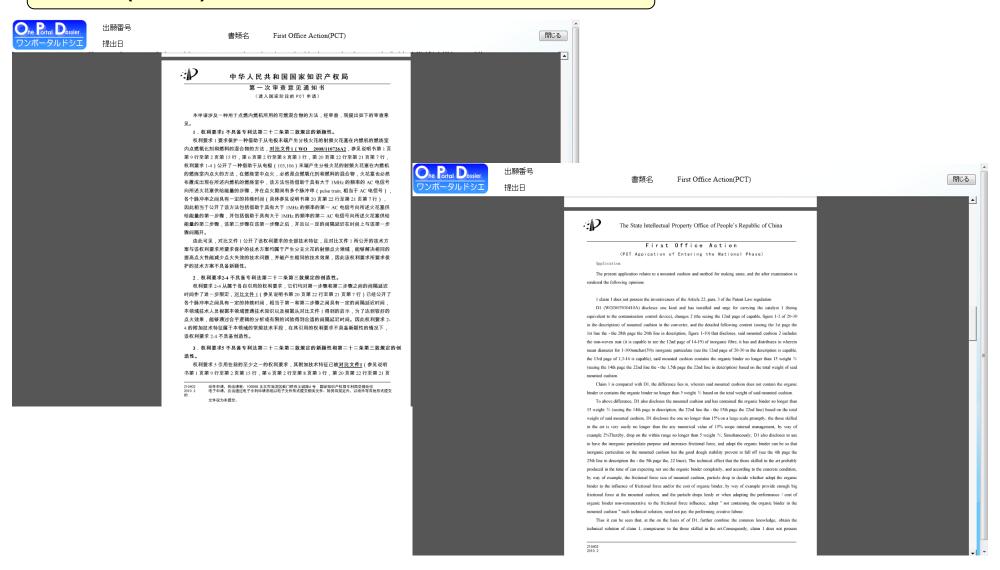


USPTO's notification of reasons for refusal





SIPO(China)'s notification of reasons for refusal





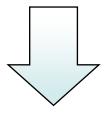
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Unity of invention



Purpose of Unity of Invention

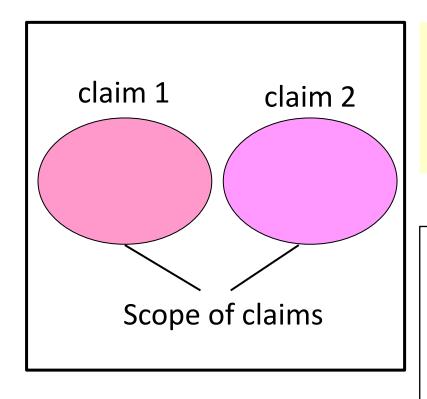
Two or more inventions complying with the requirement of unity of invention may be filed for a patent in a single patent application.



- Applicants can simplify and rationalize the application procedures.
- Patent Offices can <u>examine</u> such inventions together <u>in an efficient</u> <u>way</u>.
- Third parties can use patent information and transact patent rights easier.



Two or more inventions in an application must form a single general inventive concept.



Claim 1: Airplane



Claim 2: Shoes



It is obvious that <u>"airplane" and "shoes"</u> don't form a single general inventive concept.

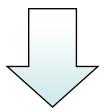
Not Good

-> This application doesn't meet the requirement of unity of invention.



Rule 13.1 Requirement

The international application shall relate to one invention only or to a group of inventions so linked as to form a single general inventive concept ("requirement of unity of invention").



A single general inventive concept



Rule 13.1 Requirement

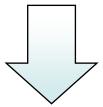
The international application shall relate to one invention only or to a group of inventions so linked as to form a single general inventive concept ("requirement of unity of invention").

Rule 13.2 Circumstances in Which the Requirement of Unity of Invention Is to Be Considered Fulfilled

Where a group of inventions is claimed in one and the same international application, the requirement of unity of invention referred to in Rule 13.1 shall be fulfilled only when there is a technical relationship among those inventions involving one or more of the same or corresponding special technical features. The expression "special technical features" shall mean those technical features that define a contribution which each of the claimed inventions, considered as a whole, makes over the prior art.



"A single general inventive concept "shall be fulfilled only when there are one or more of the same or corresponding "special technical features" among a group of inventions.

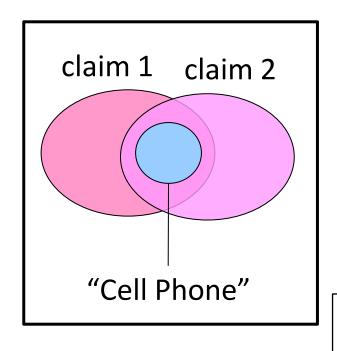


Special Technical Features (STF)

- "STF" means technical features that make a contribution over prior art.
- Any technical features that doesn't make a contribution over prior art is not an STF.
 - <Typical Case>
 - The feature is found in the prior art.
 - The feature is well-known or commonly used technology.
 - The feature is a mere design variation of a prior art.

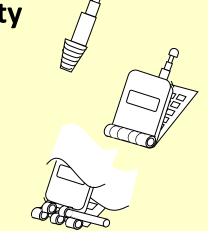


Does this application meet the requirement of unity of invention?



Claim 1: Antenna of high sensitivity for a cell phone.

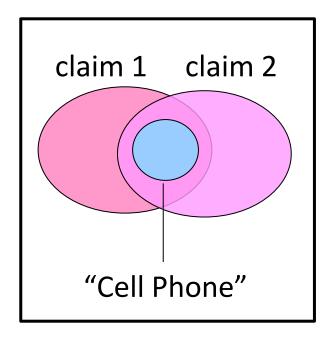
Claim 2: Hinges for folding a cell phone.



Claim 1 and 2 are inventions related to "cell phone". There are many prior arts related to cell phone.



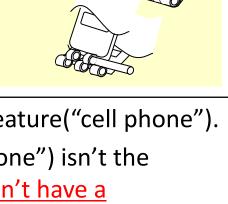
Two or more inventions in an application must have the same or corresponding special technical features (STF) among them.



Not Good

Claim 1: Antenna of high sensitivity for a cell phone.

Claim 2: Hinges for folding a cell phone.



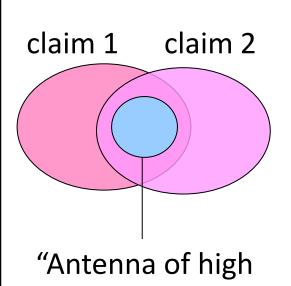
Claim 1 and 2 have the same technical feature ("cell phone"). However, this technical feature ("cell phone") isn't the special technical feature because it doesn't have a contribution over the prior art.

→ This application doesn't meet the requirement of unity of invention.

[Case 3]



Two or more inventions in an application must have the same or corresponding special technical features (STF) among them.

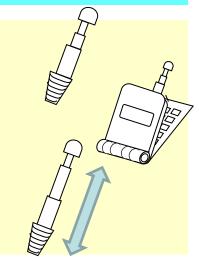


'Antenna of high sensitivity for a cell phone"

Good!!

Claim 1: Antenna of high sensitivity for a cell phone.

Claim 2 : Extensible <u>antenna of high</u> <u>sensitivity for a cell phone</u>.



Claim 1 and 2 have the same technical feature ("antenna of high sensitivity for a cell phone").

This technical feature is the special technical feature because it <u>has a contribution over the prior art</u>.

→ This application meets the requirement of unity of invention.

Basic Approach for Examining Unity of Invention



Subject of the examination

The requirement of unity of invention shall be examined among inventions described in claims.

Basic Approach

An examination for unity of invention

→ determining whether two or more inventions have <u>the same or corresponding STFs</u>.

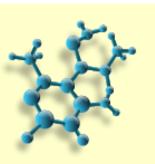
If what was deemed to be a "STF" doesn't contribute to the prior art of the relevant inventions,

→ it is denied posteriori that the technical feature is a "STF"

Basic Approach (Example 1)



Claim 1: compound A. (transparent substance having improved oxygen barrier characteristics)



Claim 2: A food packaging container composed of compound A.



(Explanation)

Since compound A itself has a contribution over the prior art, the inventions of Claims 1, 2 have the same special technical feature.

Basic Approach (Example 2)



Claim 1: A method of lighting comprising shielding a part of illumination light from the light source.

Claim 2: A lighting system with a light source and a light shielding part that partially shields against illumination light from the light source.



(Explanation)

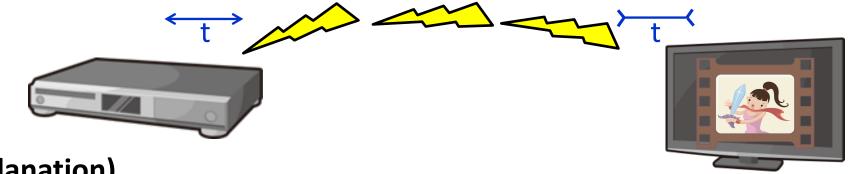
Because shielding a part of illumination light brings a contribution over the prior art, the inventions of Claims 1, 2 have the same special technical feature.

Basic Approach (Example 3)



Claim 1: A transmitter with a time axis extender for a video signal.

Claim 2: A receiver with a time axis compressor for a received video signal.



(Explanation)

The special technical features of the inventions of Claims 1, 2 are equipping a time axis extender and a time axis compressor respectively. Both functions lie in extension of the time axis to transmit a video signal and compression of the time axis to receive a video signal respectively. Therefore, they are related complementarily. the inventions of Claims 1, 2 have the corresponding special technical feature.

Examples with a Specific Relation among Claims



(1) Product and Method of Producing it, Product and Machine, Instrument, Device, the Other Means for Producing it

If a production method or a production device, etc. is suitable for producing "the product", they have the same or corresponding special technical feature.

(2) Product and Method of Using it, and Product and Another Product Solely Utilizing Specific Properties of the Product

If a "method of using a product" is suitable for use of "that product", they have the same or corresponding special technical feature.

Examples with a Specific Relation among Claims



(3) Product and Handling Method of the Product, or Product and Another Handling Product of it

If a handling method or another handling product is suitable for handling "the product", both have the same or corresponding special technical features

(4) Method and Machine, Instrument, Device, the Other Means Directly Used to Carry Out the Method

If a device directly used to carry out a method are suitable for direct use to carry out "the method", both have the same or corresponding special technical features.



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Thank you for your attention!