

Chapter 1000 Matters Submitted to Commissioner and Group Directors

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1001 Statutory Authority of Commissioner

35 U.S.C. 6. Duties of Commissioner. The Commissioner, under the direction of the Secretary of Commerce, shall superintend or perform all duties required by law respecting the granting and issuing of patents and the registration of trademarks; and he shall have charge of property belonging to the Patent Office. He may, subject to the approval of the Secretary of Commerce, establish regulations, not inconsistent with law, for the conduct of proceedings in the Patent Office.

1001.01 Modes of Exercising Authority [R-21]

The Commissioner's authority to review and supervise the work of the Office is exercised by the promulgation of the Rules of Practice; issuance of Orders, Notices and Memoranda stating Office policies and modes for effectuating these policies; decisions on petitions by applicants, and by the designation of particular cases which must be submitted to the Commissioner or other officials authorized by the Commissioner. The present chapter deals with the latter two items.

The Commissioner's authority relating to decisions on petitions and to the supervision of the work of the Examining Corps has, in instances not requiring the personal decision of the Commissioner, been delegated to the Group Directors, to the Solicitor and to the Law Examiners.

1002 Petitions to the Commissioner [R-21]

Rule 181. Petition to the Commissioner. (a) Petition may be taken to the Commissioner (1) from any

action or requirement of any examiner in the *ex parte* prosecution of an application which is not subject to appeal to the Board of Appeals or to the court; (2) in cases in which a statute or the rules specify that the matter is to be determined directly by or reviewed by the Commissioner; and (3) to invoke the supervisory authority of the Commissioner in appropriate circumstances.

(b) Any such petition must contain a statement of the facts involved and the point or points to be reviewed and the action requested. Briefs or memoranda, if any, in support thereof should accompany or be embodied in the petition; and where facts are to be proven, the proof in the form of affidavits (and exhibits, if any) must accompany the petition.

(c) When a petition is taken from an action or requirement of an examiner in the *ex parte* prosecution of an application, it may be required that there have been a proper request for reconsideration (rule 111) and a repeated action by the examiner. The examiner may be directed by the Commissioner to furnish a written statement, within a specified time, setting forth the reasons for his decision upon the matters averred in the petition, supplying a copy thereof to the petitioner.

(d) No fee is required for a petition to the Commissioner except in the case of a petition to revive an abandoned application (rule 137) or for the delayed payment of a final fee (rule 317).

(e) Oral hearings will not be granted except when considered necessary by the Commissioner.

(f) Except as otherwise provided in these rules, any such petition not filed within 60 days from the action complained of, may be dismissed as untimely. The mere filing of a petition will not stay the period for reply to an examiner's action which may be running against an application, nor act as a stay of other proceedings.

(g) Determination of petitions of various kinds may be delegated by the Commissioner to the Supervisory Examiners or to the Solicitor and Law Examiners.

Rule 183. Suspension of rules. In an extraordinary situation, when justice requires, any requirement of these rules which is not a requirement of the statutes may be suspended or waived by the Commissioner in person on petition of the interested party, subject to such other requirements as may be imposed.

Petitions on appealable matters ordinarily are not entertained. See section 1201.

The mere filing of a petition will not stay the period for replying to an Examiner's action which may be running against an application, nor act as a stay of other proceedings (Rule 181(f)). For example, if a petition to vacate a final rejection as premature is filed within sixty days from the date of the final rejection, the period for response to the final rejection is not extended even if the petition is not reached for decision within that period. However, if the petition is granted and the applicant has filed an otherwise full response to the rejection *within the period for response*, the case is not abandoned.

Rule 181(f) now provides that any petition under that rule which is not filed "within 60 days from the action complained of" may be dismissed as untimely. Often, the "action complained of", for example, a requirement for a new drawing, is included in the same letter as an action on the merits of the claims, the latter having a three months period for response. Under such circumstances, if applicant requests reconsideration, under Rule 111(b), of the requirement for a new drawing, the Examiner's action on this request, if adverse, establishes the beginning of the 60 day period for filing the petition. The petition must be filed within this period even though the period for response to the rejection of the claims may extend beyond the 60 day period.

1002.01 Procedure [R-21]

Petitions, together with the respective application files, are sent to the Office of the Commissioner or other official having the delegated authority to decide the petition. The petition may be referred to the Examiner for a formal statement under Rule 181(c) or for an informal memorandum.

Where a formal statement under Rule 181(c) is made, a copy thereof is mailed to the petitioner by the Examiner unless the latter is otherwise directed, and the file and petition, accompanied by the original copy of his statement, are returned to the official handling the petition. If an informal memorandum is requested, no copy thereof is mailed to the petitioner by the Examiner. After the decision has been rendered, the decision is entered on the "Contents" of the file wrapper which is then returned to the Primary Examiner, who will act in accordance with the decision.

1002.02 Petitionable Subjects [R-21]

The following is a list of the most common petitions, together with a reference to the sec-

tions of this Manual where they are more fully treated:

1. To make an application special on the ground of prospective manufacture or infringement or where applicant, for lack of a patent or an Office action indicating patentable subject matter, is unable to interest capital. Section 708.02.
2. To revive an abandoned application. Sections 711.03(c) and 711.03(d).
3. For filing date. Sections 409.03 and 506.
4. To accept late issue fee. Section 712.
5. Second or subsequent extensions of time for filing an appeal brief. Section 1206.

A. Referred to Group Directors

6. From any *ex parte* action or requirement by the Examiner which is not subject to appeal, as, for example,

- (a) Prematureness of final rejection. Section 706.07(c).
- (b) Refusal to enter an amendment. Rule 127 and Section 714.19.
- (c) Holding of abandonment. Sections 711.03(c) and 711.03(d).

7. To make an application special on the ground of applicant's age or state of health or to make special a division, continuation or continuation-in-part of an earlier application. Section 708.02.

8. To amend after decision by Board of Appeals. Rule 198 and Section 1214.07.

9. From a final decision of the Examiner requiring restriction of an application. See Rule 144 and section 818.03(c).

B. Referred to Solicitor and Law Examiners

10. For access to an application. Sections 103 and 104.

11. For certificate of correction. Sections 1402 to 1402.02.

1003 Matters Submitted to Commissioner Through the Group Directors [R-21]

The following matters require the approval of the Commissioner. For this purpose, they should be transmitted by the Examiner to his Group Director.

1. Where a patent claim is copied outside the time limit set, its entry requires the approval of the Commissioner. See section 1101.02(f).
2. Amendment copying patent claims without identifying patent. See section 1101.02(d).
3. Return of papers containing discourteous remarks. See section 714.25.

