UNITED STATES
PATENT AND TRADEMARK OFFICE



Faster at the USPTO: Expedited patent prosecution processes

Kalyan Deshpande, Lead Administrative Patent Judge

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July 23, 2020



Agenda

- Prioritized examination
- COVID-19 Prioritized Examination Pilot
- Fast-Track Appeal Pilot



Question/comment submission

- To send in questions or comments during the webinar, please email:
 - PTABBoardsideChat@uspto.gov



Prioritized Examination Program (or Track One)

Prioritized Examination Program (or Track One)

- Applicants may request prioritized examination of their patent applications.
 - For a new application, the request must be made on filing.
 - After prosecution is closed in an application, applicant may request prioritized examination with the filing of a request for continued examination under 37 CFR 1.114 (RCE).
- The USPTO's goal is to provide a final disposition within twelve months of prioritized status being granted.
 - Final disposition includes mailing of a notice of allowance or final office action, filing of a notice of appeal, completion of examination as defined in 37 CFR 41.102, filing of an RCE, or abandonment of the application.

Track One requirements

- Original utility or plant nonprovisional applications filed under 35 U.S.C. 111(a) may be continuation or divisional applications.
- Must contain four or less independent claims, thirty or less total claims, and no multiple dependent claims.



Track One requirements

- Track One utility applications must be filed via EFS-Web.
- Applicants are advised to submit Prioritized Examination request form PTO/AIA/424 when filing the application.
- PTO/AIA/424 identifies all the requirements that must be submitted with the request.

CERTIFICATION AND REQUEST FOR PRIORITIZED EXAMINATION UNDER 37 CFR 1.102(e) (Page 1 of 1)

First Named Inventor:	Nonprovisional Application Number (if known):	
Title of Invention:		

APPLICANT HEREBY CERTIFIES THE FOLLOWING AND REQUESTS PRIORITIZED EXAMINATION FOR THE ABOVE-IDENTIFIED APPLICATION.

- 1. The processing fee set forth in 37 CFR 1.17(i)(1) and the prioritized examination fee set forth in 37 CFR 1.17(c) have been filed with the request. The publication fee requirement is met because that fee, set forth in 37 CFR 1.18(d), is currently \$0. The basic filing fee, search fee, and examination fee are filed with the request or have been already been paid. I understand that any required excess claims fees or application size fee must be paid for the application.
- I understand that the application may not contain, or be amended to contain, more than four independent claims, more than thirty total claims, or any multiple dependent claims, and that any request for an extension of time will cause an outstanding Track I request to be dismissed.
- 3. The applicable box is checked below:
- I. Original Application (Track One) Prioritized Examination under § 1.102(e)(1)
- (a) The application is an original nonprovisional utility application filed under 35 U.S.C. 111(a). This certification and request is being filed with the utility application via EFS-Web.
- (b) The application is an original nonprovisional plant application filed under 35 U.S.C. 111(a). This certification and request is being filed with the plant application in paper.
- An executed inventor's oath or declaration under 37 CFR 1.63 or 37 CFR 1.64 for each inventor, or the application data sheet meeting the conditions specified in 37 CFR 1.53(f)(3)(i) is filed with the application.
- II. Request for Continued Examination Prioritized Examination under § 1.102(e)(2)
- A request for continued examination has been filed with, or prior to, this form.
- ii. If the application is a utility application, this certification and request is being filed via EFS-Web.
- The application is an original nonprovisional utility application filed under 35 U.S.C. 111(a), or is a national stage entry under 35 U.S.C. 371.
- iv. This certification and request is being filed prior to the mailing of a first Office action responsive to the request for continued examination.
- No prior request for continued examination has been granted prioritized examination status under 37 CFR 1.102(e)(2).

Signature	Date			
Name (Print/Typed)	Practitioner Registration Number			
Nate: This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4(d) for signature requirements and certifications. Submit multiple forms if more than one signature is required.*				
*Total of forms are submitted.				

Track One requirements for RCEs

- Requests for prioritized examination may be filed concurrently with or subsequently to the filing of an RCE.
- The request for prioritized examination must be filed before the mailing of the first office action after the filing of the RCE.
 - Prioritized examination fee and the processing fee must accompany request.

When Track One is terminated before final disposition

- Prioritized examination of an application in the Track One program will be terminated if:
 - Applicant files a petition for an extension of time to file a reply or a request for suspension of action.
 - Applicant files an amendment to the application resulting in more than four independent claims, more than thirty total claims, or a multiple dependent claim.
- Upon termination of prioritized examination, the application will be placed on the examiner's regular docket in accordance with its stage of prosecution.

Track One (Fiscal Year 2020 cumulative as of June 2020)

- Pendency continues to be extremely low:
 - Average time from filing to petition grant:
 1.1 months
 - Average time from petition grant to first action: 1.6 months
 - Average time from petition grant to final disposition:
 6.4 months



Track One requests (data as of June 30, 2020)

Track One Requests Received	Total
FY 11	855
FY 12	5,037
FY 13	6,894
FY 14	9,124
FY 15	9,286
FY 16	10,011
FY 17	9,599
FY 18	10,516
FY 19	12,131
FY 20	9,644



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COVID-19 Prioritized Examination Pilot Program

COVID-19 Prioritized Examination Program

- The USPTO considers the effects of the COVID-19 outbreak to be an extraordinary situation, such that fees not required by statute may be waived.
- Accordingly, the USPTO is accepting requests for prioritized examination for applications that claim a product or process related to COVID-19 without the additional fee.
- The USPTO's goal is to provide a final disposition within six months
 of prioritized status being granted if applicants respond within 30
 days to a notice from the USPTO.

COVID-19 Prioritized Examination Pilot Program requirements

- Same requirements as Track One, except:
 - The prioritized examination fee is waived.
 - Open to small and micro entities only.
 - The application must be a non-continuing nonprovisional application or a continuing application claiming the benefit of one nonprovisional application or one prior international application designating the United States.
 - Applicants must certify claim(s) of the application must cover a product or process subject to an applicable FDA approval for COVID-19 use.
 - The request must include an Application Data Sheet (ADS).



COVID-19 Prioritized Examination Pilot—"FDA certification"

- Applicants must certify their applications claim products or processes that are subject to an applicable FDA approval, which may include, but are not limited to: an Investigational New Drug (IND) application, an Investigational Device Exemption (IDE), a New Drug Application (NDA), a Biologics License Application (BLA), a Premarket Approval (PMA), or an Emergency Use Authorization (EUA).
- "Subject to . . . approval" does not mean approval has already been sought or granted, but rather that the product or process covered by the claim is subject to the FDA's jurisdiction before it can be marketed for use in prevention, diagnosis, or treatment of COVID-19.



Requesting prioritized examination under the pilot

- Applicants are encouraged to submit form PTO/SB/450.
- Form PTO/SB/450 contains the necessary certifications for qualification to participate in the pilot.
- Use of form PTO/SB/450 will also enable the USPTO to quickly identify and timely process the request.

Doc Code: TRACK1.COVID

Document Description: COVID-19 Prioritized Examination Request

PTO/SB/450 (05-20)

CERTIFICATION AND REQUEST FOR COVID-19 PRIORITIZED EXAMINATION PILOT PROGRAM UNDER 37 CFR 1.102(e) (Page 1 of 1)

PILOT PROGRAM UNDER 37 CFR 1.102(e) (Page 1 of 1)					
First Named Inventor:		Nonprovisional Application Number (if known):			
Title of Invention:					

APPLICANT HEREBY CERTIFIES THE FOLLOWING AND REQUESTS PRIORITIZED EXAMINATION UNDER THE COVID-19 PILOT PROGRAM FOR THE ABOVE-IDENTIFIED APPLICATION.

- The claim(s) of the above-identified application cover a product or process relating to COVID-19 and such product or process is subject to an applicable FDA approval for COVID-19 use.
- Applicant qualifies for small entity (37 CFR 1.27) or micro entity (37 CFR 1.29) status.
- If the application contains a benefit claim under 35 U.S.C. 120, 121, or 365(c), it is to only one
 prior nonprovisional U.S. application or international application designating the United States.
- 4. The basic filing fee, search fee, and examination fee are filed with this request or have been already been paid. I understand that any required excess claims fees or application size fee must be paid for the application. The fees set in 37 CFR 1.17(c) and 1.17(i)(1) are waived.
- 5. I understand that the application may not contain, or be amended to contain, more than four independent claims, more than thirty total claims, or any multiple dependent claims, and that any request for an extension of time will cause an outstanding request to be dismissed.
- 6. The applicable box is checked below:

Original Application - Prioritized Examination under § 1.102(e)(1)

- (a) The application is an original nonprovisional utility application filed under 35 U.S.C. 111(a).
 This certification and request is being filed with the utility application via EFS-Web or Patent Center.
 - (b) The application is an original nonprovisional plant application filed under 35 U.S.C. 111(a). This certification and request is being filed with the plant application.
- An application data sheet meeting the conditions specified in 37 CFR 1.53(f)(3)(i) is filed with the application.

Request for Continued Examination - Prioritized Examination under § 1.102(e)(2)

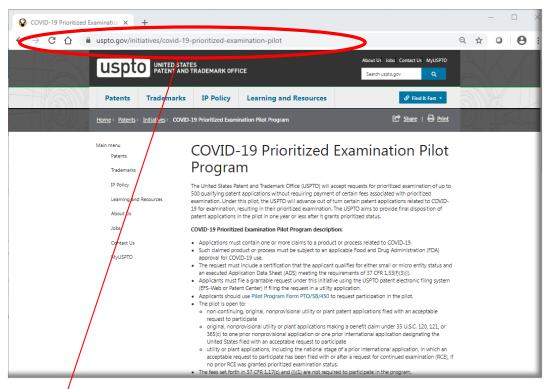
- A request for continued examination has been filed with, or prior to, this form.
- If the application is a utility application, this certification and request is being filed via EFS-Web or Patent Center.
- The application is an original nonprovisional utility or plant application filed under 35 U.S.C. 111(a), or is a national stage entry under 35 U.S.C. 371.
- iv. This certification and request is being filed prior to the mailing of a first Office action responsive to the request for continued examination.
- No prior request for continued examination has been granted prioritized examination status under 37 CFR 1.102(e)(2).

Signature	Date		
Name (Print/Typed)	Practitioner Registration Number		
Note: This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4(d) for signature requirements and certifications. Submit multiple forms if more than one signature is required.*			
*Total of forms are submitted.			

Duration of the COVID-19 prioritized examination

- Until 500 requests are granted.
- The USPTO may extend, modify, or terminate the program
 depending on the workload and resources needed to administer the
 program, feedback from the public, and the effectiveness of the
 program.
- Comments may be addressed to: <u>Covid19PrioritizedExamPilot@uspto.gov.</u>

COVID-19 Prioritized Examination Program webpage



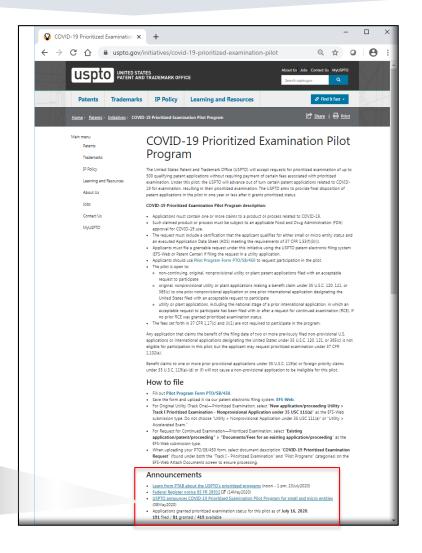
www.uspto.gov/initiatives/covid-19-prioritized-examination-pilot

Routine updates of applications granted prioritized examination under pilot

 Check website to gauge how close we are to limits.

 Applications granted prioritized examination status for this pilot as of July 16, 2020:

191 filed / 81 granted / 419 available



Question/comment submission

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Fast-Track Appeals Pilot Program

Overview

- One-year pilot starting July 2, 2020.
- \$400 fee.
- Six month pendency goal.
- 125-granted-petition limit per quarter (500 total).
- Hearings permitted, with some restrictions.



What the program is not

- No impact on procedures before Docketing Notice is issued.
- No change in briefing before the examiner.



What appeals qualify?

- Pending appeal (Docketing Notice issued).
 - Not limited to "new" appeals, i.e., a petition may be submitted for any currently pending appeal.
- Appeal not already being treated as special under MPEP 708.01.
 - E.g., not already special due to age or health of inventor.



Requirements of petition to Chief APJ

- Application and appeal numbers.
- Certifications that the appeal qualifies.
 - Pending appeal, not currently treated as special.
- \$400 fee under 37 C.F.R. 41.20(a).
 - Non-refundable, even if petition denied.

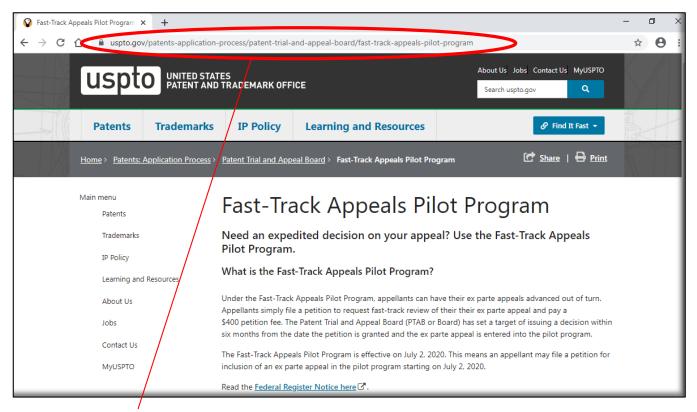


Petitioning Chief APJ

- Submit by EFS-Web, Patent Center, or Postal Service.
 - Electronic submission is preferred.
- Form PTO/SB/451 recommended, but not required.
- Petitioner notified of grant or denial.
- May petition again if denied, but will not get the filing date of a denied petition.

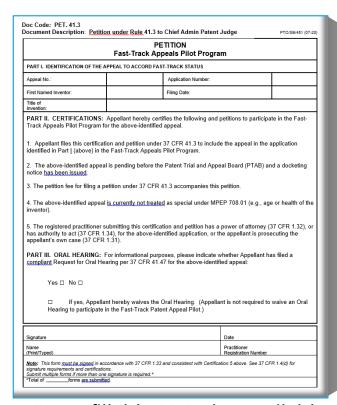


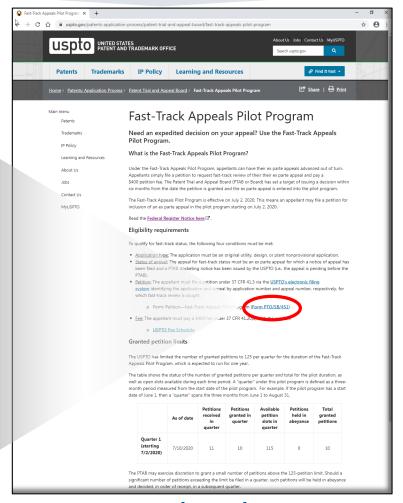
Fast-Track webpage



www.uspto.gov/patents-application-process/patent-trial-and-appeal-board/fast-track-appeals-pilot-program

Petition form





Form-fillable PDF also available at: www.uspto.gov/patent/forms/forms-patent-applications-filed-or-after-september-16-2012

Program limits

- 125 granted petitions per quarter and 500 total.
 - Quarter is a three-month period and first quarter started
 July 2 (day the Federal Register Notice published).
 - If 125 granted petitions in a quarter, additional petitions may be held in abeyance and considered in the following.



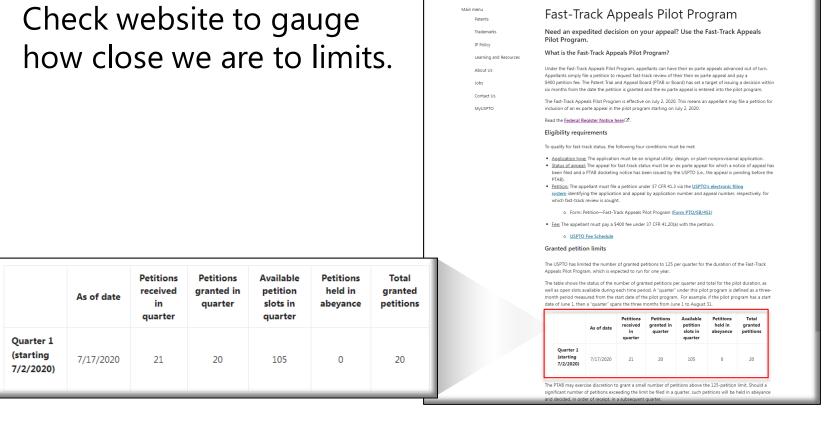
Program limits

- Limits chosen to provide robust participation while not compromising other PTAB goals, such as pendency.
- Track progress toward limits on Fast-Track webpage.



Routine updates of progress toward limits

Check website to gauge



🗦 🖰 🛕 uspto.gov/patents-application-process/patent-trial-and-appeal-board/fast-track-appeals-pilot-program

IP Policy

Home > Patents: Application Process > Patent Trial and Appeal Board > Fast-Track Appeals Pilot Program

Learning and Resources

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Hearings

- Yes, heard cases can be fast-tracked.
- Hearing requests can include time and location preferences.
 - Hearings team will do best to accommodate.
 - But, may be scheduled in any available hearing room in any office location, by video, or by telephone.



Hearings

- No rescheduling of hearings and staying in the pilot program.
 - May opt out of fast track and reschedule hearing.
 - May request video/telephone if office location is inconvenient.
 - May waive hearing and continue on fast-track.
- Right now, default for all appeals hearings (including fast-track) is telephonic.
 - www.uspto.gov/coronavirus



Further information

- Federal Register notice:
 - www.federalregister.gov/documents/2020/07/02/ 2020-14244/fast-track-appeals-pilot-program
- Frequently asked questions:
 - www.uspto.gov/patents-applicationprocess/patent-trial-and-appeal-board/fasttrack-appeals-pilot-program

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Thank you!

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