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uspto



Patent Quality Chat

Latest Updates in USPTO's Work Sharing Efforts

July 11, 2017

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To send in questions or comments during the webinar, please email:

PatentQuality@uspto.gov

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<http://www.uspto.gov/patentquality>

Patent Quality

Providing high-quality, efficient examination of patent applications is paramount to **our mission** at USPTO. To ensure we continue to issue high-quality patents that will fuel innovation well into the future, the **Office of the Deputy Commissioner for Patent Quality**, along with our partners across the Patents organization, promotes and supports the continuous improvement of patent products, processes and services through collaboration with internal and external stakeholders of the intellectual property community.

Highlights



Patent Quality Chat

Tune into our next webinar on Tuesday, July 11, from noon - 1 p.m. ET, on "Latest Updates in USPTO's Work Sharing Efforts".

Quality Metrics

See our new metrics approach, categorizing into product, process and perception indicators.

Stakeholder Training on Examination Practice and Procedure (STEPP)

Sign up for an upcoming training developed for those interested in a better understanding of the examination process at the USPTO.

Areas of Focus

Collaboration with our stakeholders has directed our focus within three areas, where we can best improve patent quality.



Email questions to PatentQuality@uspto.gov

Patent Quality Chat

Latest Updates in USPTO's Work Sharing Efforts

Mark Powell

Deputy Commissioner for International Patent Cooperation

Daniel Hunter

Director for International Work Sharing, Planning and Implementation
Office of International Patent Cooperation (OIPC)

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Topics for Discussion

- Work Sharing and the IP5
- Global Dossier update
- Access to Relevant Prior Art Project update
- Collaborative Search Program Pilot



The background of the slide is a light gray technical drawing of a mechanical assembly, showing various components and parts with numerical callouts such as 18, 80, 22, 26, 68, 34, 32, 52, 84, 86, and 82. The drawing is rendered in a clean, line-art style.

Work Sharing and the IP5

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Work Sharing

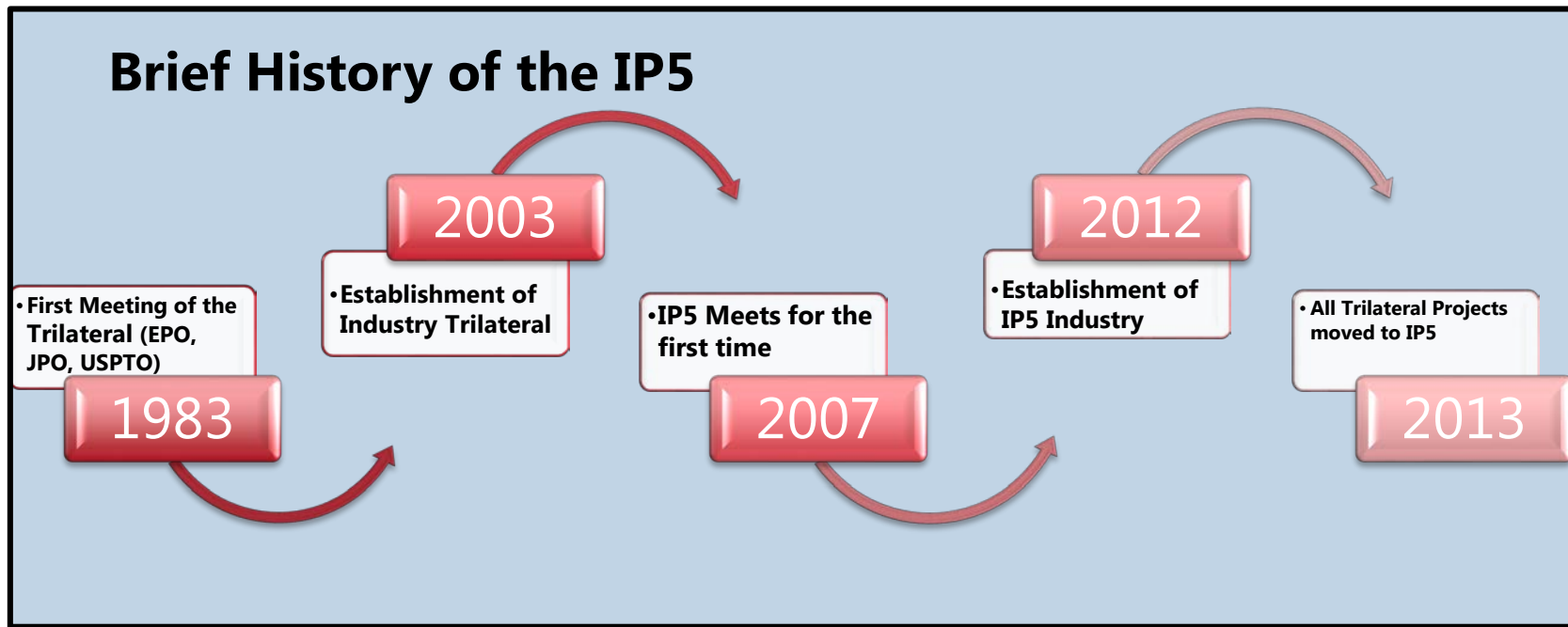
Trends Leading to Greater Work Sharing

- **BACKLOGS**: Backlogs in offices around the world began to explode in the late 1990s
- **FILINGS**: The number of applications filed in multiple offices also started to steadily increase
- **INEFFICIENCIES**: Duplication of work over common patent applications



The IP5

Largest five IP offices in the world today (EPO, JPO, KIPO, SIPO, and USPTO)





Global Dossier Initiative

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Email questions to PatentQuality@uspto.gov

Global Dossier Access

Direct access link:

<http://globaldossier.uspto.gov>

The screenshot shows the homepage of the Global Dossier website. At the top, there is a navigation bar with the USPTO logo and the text "Global Dossier". Below this is a secondary navigation bar with links for "Home", "Public Pair", "Common Citation Document", "Current Service Status", "Service Hours", "Help", and "Email Us". A search bar is located below the navigation, with "Office" set to "US" and "Type" set to "Application". The main content area features a welcome message "Welcome to Global Dossier" and three columns of information: "Global Dossier Initiative", "Global Dossier Public Access", and "Service Hours".

Global Dossier Initiative
The Global Dossier Initiative is a set of business services being developed by the IPS Offices (USPTO, EPO, JPO, KIPO, and SIPO) aimed at modernizing the global patent system and delivering benefits to all stakeholders through a single portal/user interface. Global Dossier will provide a single, secure point of access for the management of dossier and examination information, enabling and encouraging streamlining of office procedures among different IP Offices. This will lead to improved efficiency and predictability of global patent family prosecution with increased cost savings provided to patent applicants.
For more information, on the please visit the Global Dossier Initiative page.

Global Dossier Public Access
The first service being provided by the Global Dossier Initiative is a secure, online access to the file histories of related applications from participating IP Offices, which currently include the IPS Offices.
By using this service, users can see the patent family for a specific application, containing all related applications filed at participating IP Offices, along with the dossier, classification, and citation data for these applications. This service also provides Office Action Indicators to help users identify applications that contain office actions, a Collections View for saving documents and applications for review later on in the session, and the ability to download the documents in an application.

Service Hours
Global Dossier users will be able to view the scheduled service hours for each IPS office, including scheduled outages due to holidays and maintenance.
To view the scheduled hours of availability, users can select the **Service Hours** link on the top right corner of the website. In addition, any current scheduled outages for one or more offices will also be displayed on top of the homepage as a reminder for the users.
Users may also verify the availability of application data from each office by selecting the **Current Service Status** link on the top right side of the website.

The footer of the website contains the USPTO logo and the text "UNITED STATES PATENT AND TRADEMARK OFFICE". It is organized into four columns of links: "BROWSE BY TOPIC" (Patents, Trademarks, Learning & Resources, About the USPTO, Glossary, Careers), "ABOUT THIS SITE" (Accessibility, Privacy Policy, Terms of Use, Security, Systems Status, Site Map), "USPTO BACKGROUND" (Federal Activity Inventory Reform Act (FAIR), USPTO Budget and Performance, Freedom of Information Act, Information Quality Guidelines), and "FEDERAL GOVERNMENT" (Regulations.gov, StopPapers.gov, USA.gov, Department of Commerce, Strategy Targeting Organized Piracy). A large, semi-transparent "uspto" logo is overlaid on the right side of the footer.

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Global Dossier Services

- Latest Service
 - **WIPO Case Linkage:** provides examiners and the public with access to additional participating offices outside of the IP5
- On-going Efforts
 - **Increasing Data Coverage:** Working with IP5 Offices to increase the scope of data coverage and hours of availability
 - **User Input:** Continually engaging users for feedback, input, and comment on current and future Global Dossier services
- Future Services
 - **Document Sharing Functionality:** sharing documents between offices, such as prior art exchanges and supporting documents. Viewed as a first step towards cross-filing

Stakeholder Input on Global Dossier

- IdeaScale - <http://uspto-globaldossier.ideascale.com/>
 - IdeaScale is one of the ways that OIPC will be gathering stakeholder input and feedback on Global Dossier.
 - Vote and comment on the various ideas
 - Provide additional suggestions for services and features that would improve the ability to monitor and manage related cases around the world
- Contact the Global Dossier Team
 - GlobalDossier@USPTO.gov



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Access to Relevant Prior Art

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Project Background

- Leveraging electronic resources to retrieve relevant information (prior art, search reports, etc.) from applicant's other applications.
- Automatically importing relevant information into the file wrapper at the earliest point.
 - Potentially reduce applicant's burden under the duty of disclosure.
- Considering if patent issuance can be streamlined by eliminating unnecessary information from first page of the patent.



Anticipated Benefits

- Quality and efficiency of examination is increased
- Examiner access to relevant prior art and supplemental information in a conveniently searchable format
- Decreased applicant expense of submitting information and information disclosure statements
- Reduced burden for applicant compliance with duty to disclose information material to patentability



Project Update

- Request for Written Comment Period Ended – October 28, 2016
- Application Case Studies – 3rd Quarter FY 17
- Examiners Focus Sessions – 3rd, 4th Quarter FY 17
- Gathering and Refining Business Requirements – Ongoing
- Developing Business Solution – 4th Quarter FY 17



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Collaborative Search Program (CSP) Pilot

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**Offices and Applicants want a
faster and cheaper examination of
patent applications with more certainty
as to rights granted and
more consistent results across offices.**



CSP 1.0 Pilots – Two Programs

- JPO/USPTO Pilot
 - Commenced August 1, 2015 – expires July 31, 2017
 - Serial initial search
 - Examiner consideration before search being provided to applicant
- KIPO/USPTO Pilot
 - Commenced September 1, 2015 – expires August 31, 2017
 - Parallel initial search
 - No examiner consideration before search being provided to applicant



How Does CSP Achieve that Goal?

- CSP provides faster examination by
 - Expediting examination in multiple offices
 - Coordinating the timing of initial examination
 - Parallel prosecution in multiple offices
- CSP provides cheaper examination for both applicant and office by
 - Reducing the number of actions to complete examination by
 - Getting a search on common claims from examiners in different offices prior to examination – yielding a more complete prior art search before the examiner
- CSP provides more certainty by
 - Providing art from different search databases, often in different languages
- CSP provides more consistent results by
 - Providing similar actions in multiple offices using common art



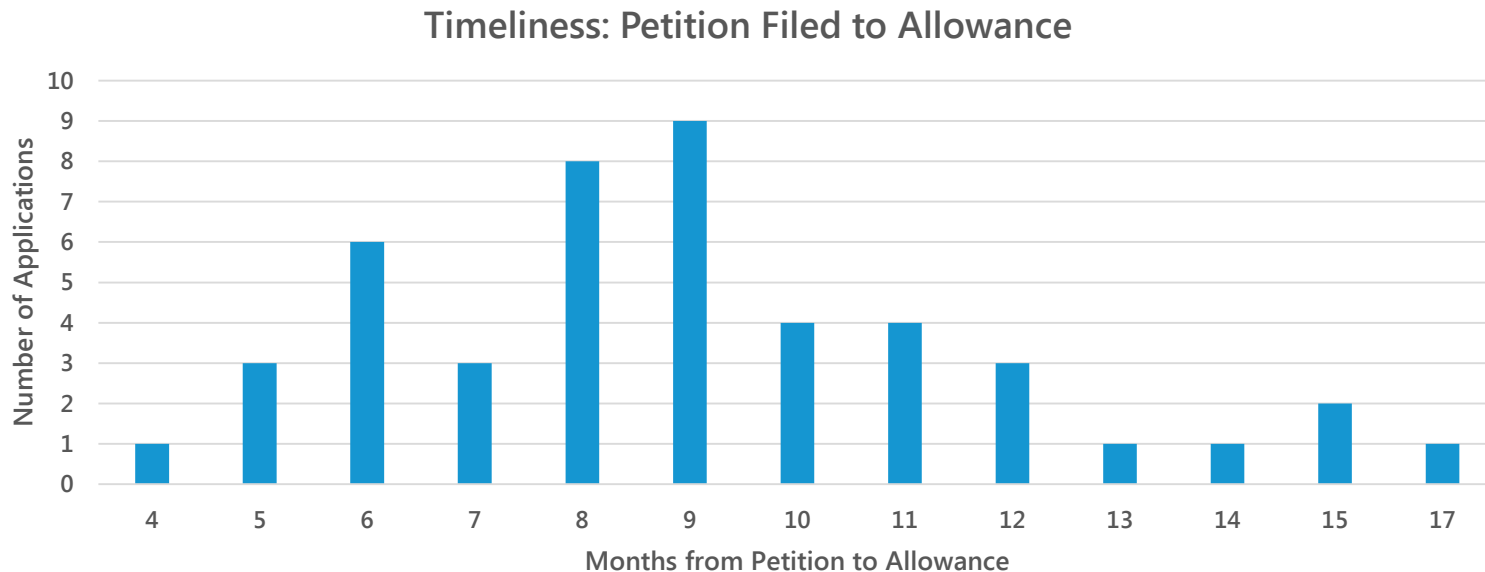
CSP Pilot Participation

	JPO	KIPO	Total
Applications with Petitions	53	87	141*
Granted Petitions	44	81	125
Denied Petitions	4	4	9*
Decision Pending	5	2	7
Notice of Allowance	20	26	46
Abandonments	0	0	0
Applications with at least one RCE	2	6	8
Applications with appeals	0	0	0

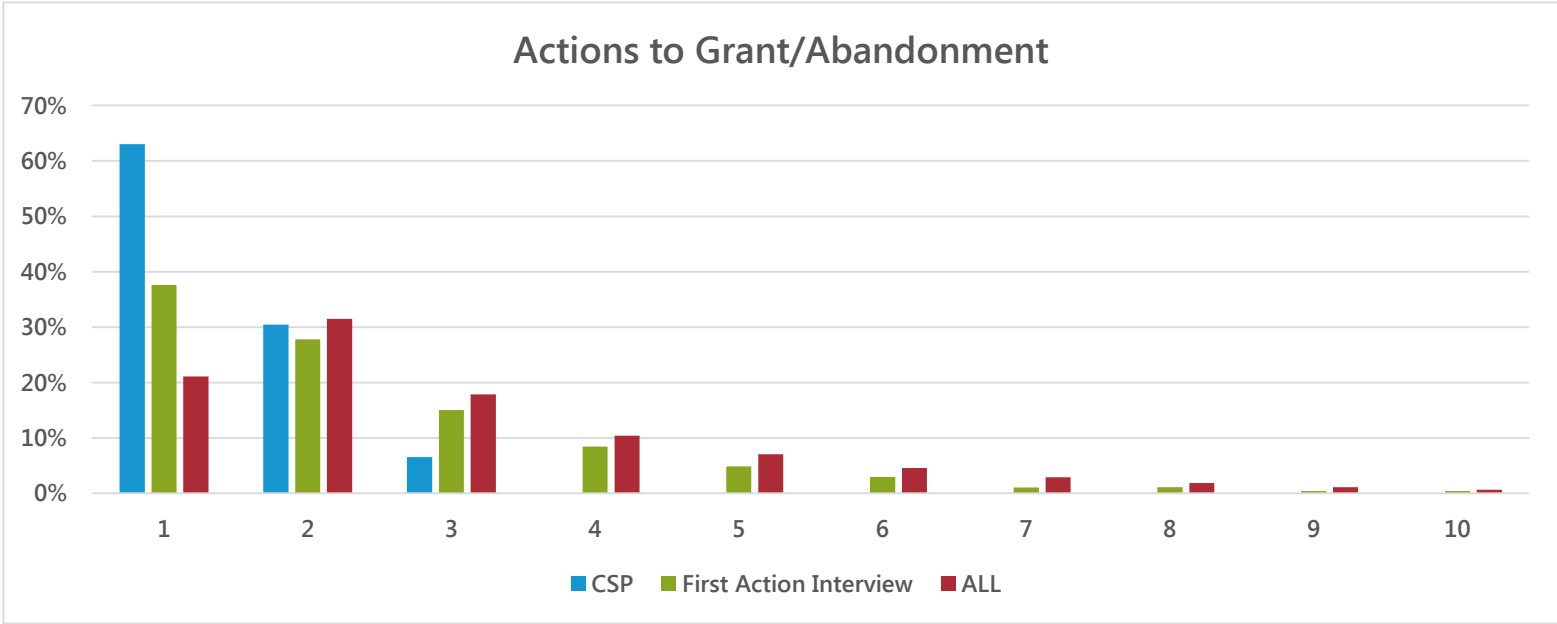
* 1 applicant filed petitions for both pilots



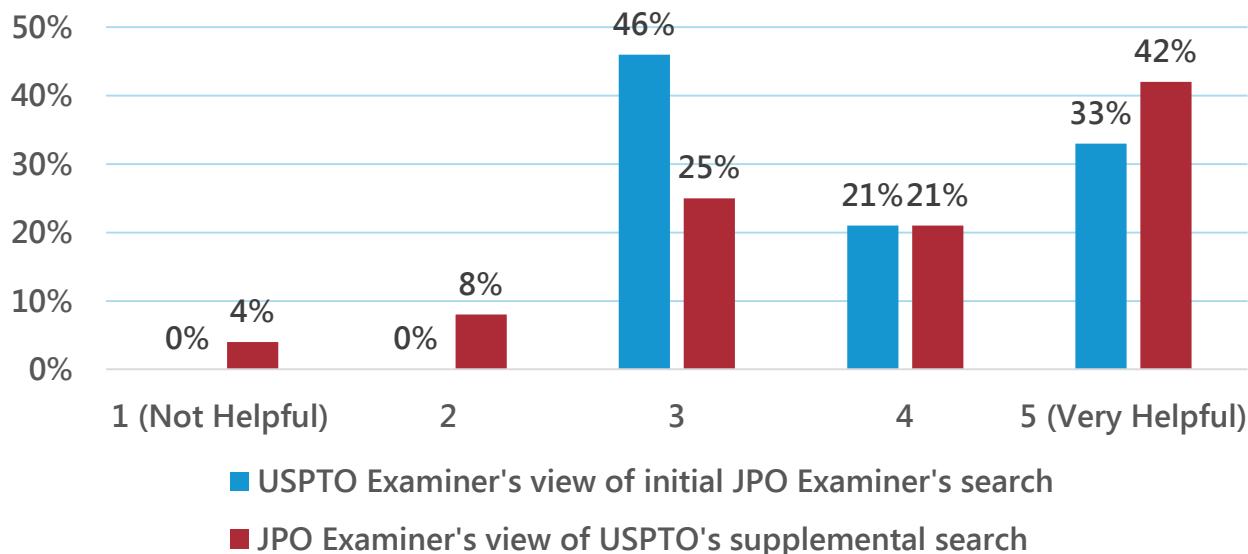
CSP 1.0 Pilots – Timeliness to Termination



CSP 1.0 Pilots - Actions to Complete Prosecution



Impacts of Work Sharing on Examination: JPO First/US Second Search



Note: Data from 24 completed JPO first search applications through July 10, 2017. JPO evaluations are in response to receiving USPTO examiner actions after they have already completed a first evaluation.



US-JPO CSP 1.0 Analysis

- 29% of USPTO examiners modified their search strategy as a result of JPO search
- 100% of USPTO examiners gave a score of at least 3 out of 5 on helpfulness of initial JPO search; 37% gave a score of 5 out of 5
- 88% of JPO examiners gave a score of at least 3 out of 5 on helpfulness of supplemental USPTO search; 42% gave a score of 5 out of 5



CSP – JPO 1.0 Findings

- Multiple examiner search before examination very beneficial
 - Examiners indicated that other examiners search had high impact on examination
- Serial search process
 - Examiners appear to focus on national search tools
 - References cited predominately of national origin
 - Prior search did not reduce search expectation for US examiners
 - Office search order variations complicated processing functions in offices
 - Difference in action date to applicants reduced applicant's ability to coordinate response



CSP – KIPO 1.0 Findings

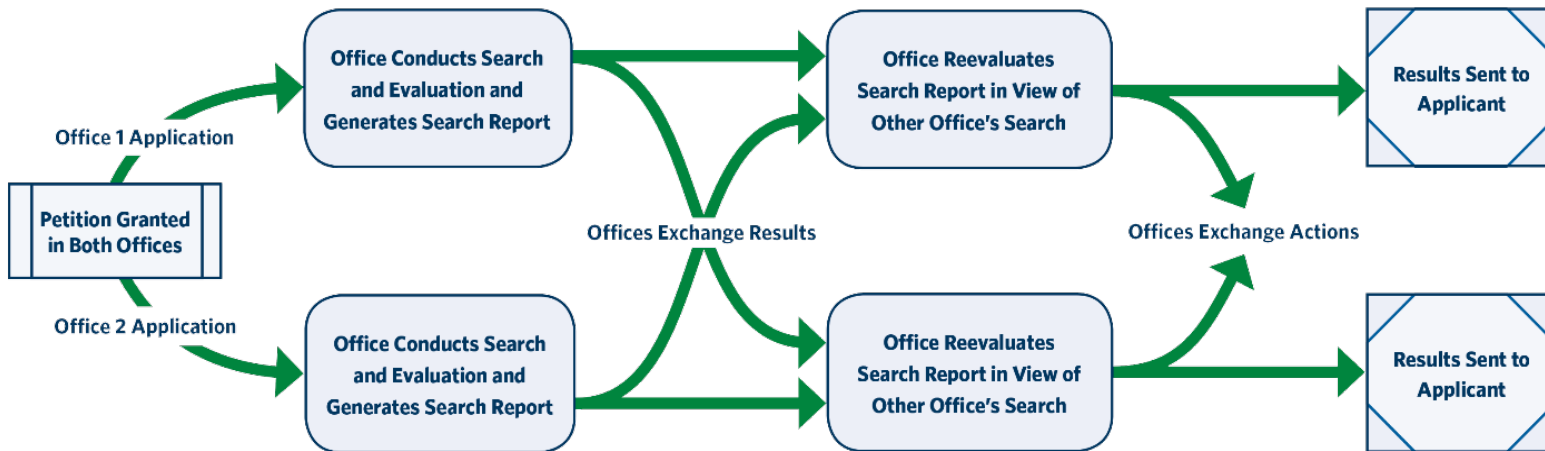
- Parallel search process
 - Examiners focus on national search tools
 - References cited predominately of national origin
- Applicants had to cite references from KIPO in response to USPTO
- Examiners not able to consider KIPO references prior to search report
 - Applicants uncertain of US examiners interpretation of KIPO art



CSP 2.0 – Proposed Process

Collaborative Search Pilot

Next Generation



CSP Program Framework – Application Eligibility

- National utility applications that have not started search or examination in the offices in which a request is filed are eligible for examination under the CSP program.
- Applications must share a common earliest priority date and the disclosures must support the claimed subject matter as of a common date.
- Applications are not limited or advantaged by technology, country of earliest priority, assignee, or inventor.



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Let's Chat about USPTO's Work Sharing Efforts

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Next Patent Quality Chat

Using Petitions Effectively in Patent Prosecution

August 8, 2017

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Other Patent Quality-Related Events

<https://www.uspto.gov/about-us/events>

July 20	Inventor Info Chat “Office of Petitions – Overview and Helpful Tips”
August 3	Patent Public Advisory Committee (PPAC) Quarterly Meeting
August 11-12	Invention-Con 2017



Thank you for joining us today!

Patent Quality Chat
Webinar Series 2017
July 11, 2017

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