



UNITED STATES  
PATENT AND  
TRADEMARK OFFICE

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**PPAC**  
**Patents Operations Update**

**Peggy Focarino**  
**Deputy Commissioner for Patents**

**March 3, 2010**



# Patents Dashboard

			4th Quarter			1st Quarter		
	Jul-09	Aug-09	Sep-09		Oct-09	Nov-09	Dec-09	Jan-10
<b>Total UPR Filings</b>	37,919	35,955	39,913		37,747	36,504	41,827	32,782
<b>RCE Filings</b>	12,462	11,453	11,586		11,251	11,545	10,083	10,414
<b>2nd and subsequent RCE Filings</b>	3,456	3,099	3,290		3,278	3,470	2,924	3,087
<b>% RCE of Total</b>	32.9%	31.9%	29.0%		29.8%	31.6%	24.1%	31.8%
<b>Reissue Filings</b>	44	47	45		64	47	44	39
<b>Allow &amp; Final Comp Rate (12 month rolling Avg)</b>			94.4%				94.5%	
<b>Non Final Comp Rate (12 month rolling Avg)</b>			93.6%				94.1%	
<b>UPR Allowance rate *</b>	40.3%	40.4%	41.3%		41.3%	43.3%	44.3%	44.0%
<b>Allowance rate without RCE Abandonments *</b>	57.3%	57.2%	57.4%		56.4%	57.4%	57.1%	57.1%
<b>Number of Allowances *</b>	150,230	165,602	189,120		23,461	42,911	69,599	79,056
<b>UPR Backlog</b>	733,273	725,833	718,835		722,835	726,098	738,981	753,264
<b>RCE Backlog</b>	19,666	19,555	14,620		17,763	18,114	14,226	15,978
<b>RCE to FAOM (months)</b>	2.06	2.06	2.07		2.07	2.05	2.05	2.05



# Patents Dashboard

			4th Quarter				1st Quarter	
	Jul-09	Aug-09	Sep-09		Oct-09	Nov-09	Dec-09	Jan-10
Months of Inventory	26.5	26.3	26.0		26.1	26.1	25.9	25.8
UPR Pendency FA (months)	25.3	25.4	25.8		26.1	26.1	25.9	25.8
Total Pendency	34.0	34.3	34.6		34.5	34.7	34.8	34.6
Rexam FA Pendency (months)			7.5				6.5	
Green Tech Petitions received							478	198
Green Tech Petitions approved %								10.4%
Exchange Petitions received *								16
Office of Petitions Pendency (months)			2.7				3.1	
UPR Examiner Staff	6,208	6,170	6,145		6,126	6,107	6,093	6,068
Examiner Attritions (less transfers & retirees)	35	37	32		26	11	12	20
Percent of Staff attrited	0.56%	0.60%	0.52%		0.42%	0.18%	0.20%	0.33%
UPR Backlog per examiner	118.1	117.6	117.0		118.0	118.9	121.3	124.1
UPR Production Units	33,050	54,128	49,394		31,959	39,430	45,461	50,899
UPR Production units per Examiner	5.32	8.77	8.04		5.22	6.46	7.46	8.39
Design Filings ~	2,293	1,954	2,274		2,318	2,136	2,475	2,126
Design Backlog ~	18,590	17,761	17,126		17,409	17,297	17,257	17,573



# Efficiency Improvements – Patent Prosecution

- Implemented/In Process:
  - Compact prosecution initiatives – interview, prosecution, and claim interpretation; statistical analysis to target areas for improvement
  - Revisions to the examiner count system
  - First Action Interview Program
  - Work-sharing (PPH)
  - Backlog reduction for small entities
  - Quality study to identify methods for enabling compact prosecution
  - Reengineering classification system
  - Ombudsman Program
  
- Under Development:
  - End-to-end electronic processing
  - Efficiencies in reexaminations and appeals processing



# Increase Examination Capacity

- Implemented/In Process:
  - Hiring, including rehires and IP specialists—replacing current attrits with experienced IP professionals
  - Overtime Increases
  - Align performance plans and awards with Agency goals
  - PCT contractor outsourcing



# Count System Initiative Data Tracking

- Actions per disposal
- Allowance rates
- Examiner-initiated interviews
- First action allowance rate
- Award program: Cost, Distribution of employees, Comparison between years
- Certification pass rate
- Attrition rates
- New (non-RCE) Backlog, Pendency to first action
- RCE Filings (1st, 2nd and subsequent), FAOMs (1st, 2nd and subsequent), pendency to first action, and mix (general patterns and examiner-level patterns)
- Transferred amendments
- IT impacts & Load data: end of biweek, end of quarter, distribution of counts/transactions
- Productivity
- Workflow
- Quality
- Revenue