

**OFFICE OF INTERNATIONAL
PATENT COOPERATION**

2018-2020

STRATEGIC PLAN



UNITED STATES
PATENT AND TRADEMARK OFFICE



전략 계획

戰略計劃

*Plan
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**"MORE THAN 20% OF ALL
PATENT RIGHTS GRANTED
WORLDWIDE ARE TO
AMERICAN INNOVATORS"**



MESSAGE

FROM THE DEPUTY COMMISSIONER

It is important that the USPTO help to foster a vigorous and supportive approach to acquiring intellectual property rights within the international business community. Half of our patent workload originates from abroad, while more than 20% of all patent rights granted worldwide are to American innovators.¹ Intellectual property (IP) is more global than ever. Keeping pace with changes in the innovation marketplace requires agility combined with stakeholder input to modernize international and domestic patent practices.

My team has outlined a plan that I believe will take us through the next three years and beyond as we tackle many challenges. Our approach is to ask difficult questions and lead in replacing outdated processes, while collaboratively seeking modern solutions. We seek to apply analytics to identify patent value; and to explore how practice, procedure, and law can be harmonized to lower barriers to entry into the IP marketplace; and to reduce costs to inventors.

The establishment of the Office of International Patent Cooperation in 2014, and all that we have accomplished since, are a continual reflection of the USPTO's strong commitment to the IP community. Our team created this plan for the benefit of our stakeholders.



Mark Powell
Deputy Commissioner for
International Patent Cooperation

¹ Figure based on USPTO analysis of USPTO and WIPO data.

介绍 소개 導入

INTRODUCTION

The Office of International Patent Cooperation (OIPC) strives to improve the international patent system in two critical areas: increasing certainty of IP rights and reducing costs for stakeholders. The goals and objectives in this plan are responsive to the USPTO's strategic goal "to optimize patent quality and timeliness" and the mission support goal "to deliver organizational excellence." OIPC aims to improve quality and timeliness, reduce costs to our end-users, and assist U.S. innovators in gaining protections worldwide for their inventions.

The OIPC vision was a driving force behind this 2018–2020 strategic plan. Another contributing factor was a recent internal study of OIPC's communication challenges identified a need for succinctly describing our mission, vision, goals, and objectives. We believe this document will help our internal and external stakeholders better understand the work we do and therefore, improve collaboration between us.

Since its formation, OIPC has been collaborating closely with stakeholders, both domestic and international, to modernize and enhance the way we do business. A recent shift from office-centric solutions to greater inclusion of the broader stakeholder community presented the need for USPTO to have a dedicated organization to work with the largest IP offices in the world to modernize our tools, legal frameworks, and services.

The USPTO is a member of the five largest IP offices in the world — the IP5 — that include: The European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Patent Office (KIPO), the State Intellectual Property Office of the People's Republic of China (SIPO). The IP5 is the forum that was set up to improve the efficiency of the examination process for patents worldwide. The IP5 Offices together handle at least 80 percent of the world's patent applications, and 95 percent of all work carried out under the Patent Cooperation Treaty (PCT).



The USPTO is also a member of the Industrial Design Five — ID5 — the includes: The European Union Intellectual Property Office (EUIPO), the JPO, the KIPO, the SIPO. These offices explore opportunities for encouraging enhanced and consistent practices that promote and develop user-friendly industrial design protection systems on a global scale.





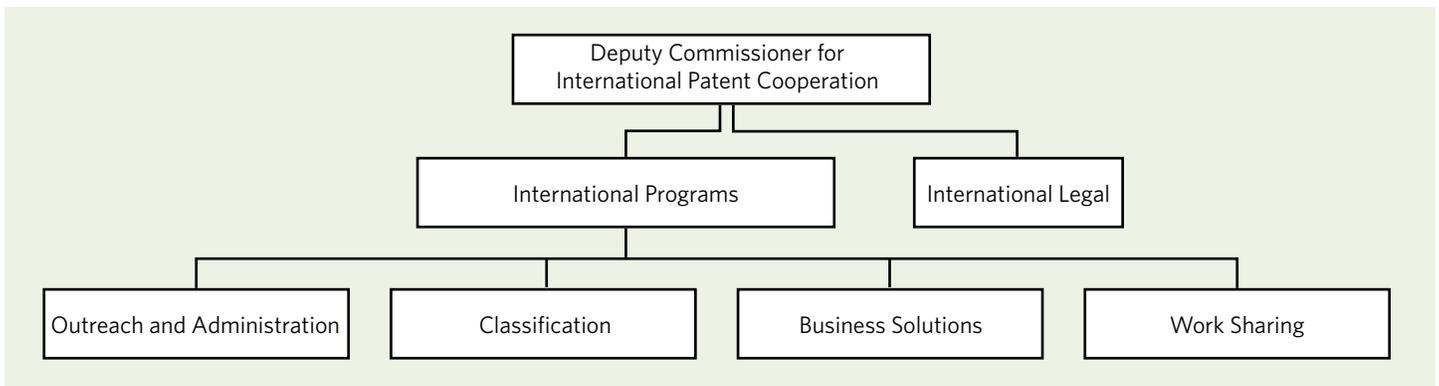
ABOUT OIPC

OIPC is made up of five main business areas: (1) Classification, (2) Work Sharing, (3) Business Solutions, (4) International Legal, and (5) Outreach and Administration (See High Level Functional Organizational Chart in Figure 1). This current structure allows us to achieve the goals and objectives outlined in this plan. A brief description of these areas follows.

- 1. Classification** — Our classification team is responsible for administering and developing the classification systems, Cooperative Patent Classification (CPC), and the International Patent Classification (IPC) system. OIPC works bilaterally and globally to harmonize the classification systems, maintain and develop the classification schemes, ensure the quality of the classification systems, and provide classification training and communication.
- 2. Work Sharing** — Our work sharing team is responsible for the strategic planning and implementation of international work sharing pilots, programs, and initiatives at the USPTO. This team works closely with USPTO Patent Operations as well as international IP offices to improve the international patent system in terms of increased certainty of IP rights, improved efficiency of the IP system, and reduced costs for stakeholders.
- 3. Business Solutions** — This team builds innovative IT products supporting examiners, applicants, researchers, and all stakeholders with an interest in the IP system. The team also investigates emerging technologies to determine how they can be leveraged to improve efficiency of office functions.

4. **International Legal** — Our legal team advises all of our teams and other offices within USPTO on international legal matters. Additionally, they educate and assist the patent community, develop policy, and resolve legal issues relating to the Patent Cooperation Treaty (PCT), the Hague Agreement Concerning the International Registration of Industrial Designs, and other international cooperative patent projects or agreements. This team decides petitions to the Commissioner in international applications filed under the PCT, in U.S. national stage applications submitted under 35 U.S.C. 371, and in U.S. applications filed under 35 U.S.C. 111 which claim continuing benefit to a previously filed PCT application. The team also operates the PCT Help Desk and represents the USPTO at international IP meetings and treaty negotiations.
5. **Outreach and Administration** — Our Outreach and Administration team is charged with expanding and establishing alliances and building coalitions with domestic and international stakeholders. The team coordinates and executes OIPC's outreach program, including furthering engagement and collaboration with internal and external stakeholders, ensuring their ideas are considered and/or incorporated into our teams products and services. OIPC program management, analysis, and reporting, as well as overseeing administrative functions are also handled by this team.

Figure 1: High Level Functional Organizational Chart



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MISSION

In cooperation with domestic and international IP partners, we lead efforts to assist U.S. inventors and businesses in protecting their patent rights worldwide, and we support the global innovation community.



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OUR CORE VALUES

COLLABORATION | ADDING VALUE | SCHOLARSHIP

Collaboration

Inspire inclusion and participation in a team focused environment with both our international partners (e.g. foreign Patent Offices and World Intellectual Property Organization (WIPO)) and domestic customers (e.g. applicants, examining corps, and third parties) to achieve tangible results in global IP initiatives. Provide excellent customer service to external and internal stakeholders.

Adding Value

Provide a valuable impact so our customers benefit from everything we do in our day to day interactions. Add value to the patent system through the long term solutions we implement. Explore creative approaches for complex global work sharing issues.

Scholarship

Excel as subject matter experts regarding global projects in efforts to improve the quality, efficiency, and predictability of world-wide patent prosecution.





STRATEGIC DRIVERS

In order to successfully achieve our goals and objectives, we have taken into considerations the environment in which we currently operate. As we move forward we will be guided by these strategic drivers as we execute projects and programs.

Patent Operations — Patent Operations is a major customer of OIPC and the largest business unit within the Patents organization. Currently, Patent Operations is working on two major analyses that will inform or affect the work OIPC is executing. First, Patent Operations with the support of OIPC is currently defining a proposed process for routing utility patent applications in light of the transition from US classification to CPC. The analysis will also study the current grouping of technologies for potential art unit or technology center realignment within Patent Operations. This will impact OIPC's support services, the way our classification staff are organized to optimally respond the Patent Operations' needs, and may impact other areas not yet foreseen. Second, a comprehensive study and plan to adjust examination time goals to ensure optimal USPTO performance in patent pendency and quality, that is commensurate with stakeholder expectations and user fees, is underway. The potential outcomes and impacts of this project will be the drivers to decide OIPC operational improvements and optimize performance in alignment with Patent Operations.

Stakeholder Priorities — There are many owners and users of the patent system: small businesses, major corporations, universities, patent attorneys, other patent offices - individually and in frameworks such as the IP5 and ID5, and IP industry groups. OIPC collaborates with all stakeholders to take into consideration their needs, priorities, and the challenges they face as we develop our programs.

Technology — IT development is a strategic driver for OIPC to successfully integrate global work sharing solutions into existing USPTO patent examination processes and tools. OIPC's agility to meet the increasing demands of international patent work sharing will require collaboration and alignment of USPTO's IT priorities with key internal business partners such as the Office of the Chief Information Officer and the Office of Patent Information Management.

Workforce Planning — The timing and recruitment of talent with diverse backgrounds to execute OIPC's strategic plan is a driver to ensure knowledge transfer and mitigate operational risk. Over one-third of OIPC employees are eligible to retire by 2019. Also, USPTO's patent processing work is largely unionized. Union negotiations take time and collaboration with labor relations personnel prior to implementing new business practices, and can have an impact on OIPC's ability to adapt in a timely manner.

Current Administration — The current priorities driving the USPTO include increasing jobs and growing the economy, optimizing our workforce, regulatory reform, operational efficiency. The priorities also advocate for international IP rights that meet U.S. standards and support American businesses and consumers. Over the next three years, OIPC will align with this administration's priorities as it develops and implements new programs.



목표 및 목적 *Buts et objectifs*

STRATEGIC GOALS

GOAL 1

LEAD AND SUPPORT THE DEVELOPMENT OF HIGH QUALITY GLOBAL PATENT-RELATED POLICIES, PROGRAMS AND SERVICES.

OBJECTIVES

- 1.1 Develop innovations to the IP system.
- 1.2 Optimize the formulation and administration of treaties and agreements.
- 1.3 Optimize classification systems and utility.
- 1.4 Optimize dissemination between offices and stakeholders.
- 1.5 Enhance Work Sharing.

GOAL 2

ENHANCE OUTREACH TO INTERNAL AND EXTERNAL CUSTOMERS.

OBJECTIVES

- 2.1 Enhance Stakeholder and Public Outreach through increased promotion, education, and guidance related to global patent-related policies, programs and services.
- 2.2 Improve internal education and communication by developing and expanding marketing and training on international programs and initiatives.
- 2.3 Expand and/or establish alliances and build coalitions with domestic and international stakeholders.

GOAL 3

PROVIDE EXPERTISE IN GLOBAL PATENT-RELATED MATTERS.

OBJECTIVES

- 3.1 Provide policy, advice, and influence on global patent-related matters to internal and external customers.
- 3.2 Create a professional development program for global patent knowledge expansion.
- 3.3 Develop a comprehensive understanding of systems, processes, and policies used by the USPTO and foreign intellectual property offices.
- 3.4 Increase recognition as experts in global patent-related matters by delivering tangible outcomes based on commitments made by USPTO/OIPC leadership.

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GOAL 4

ACHIEVE ORGANIZATIONAL EXCELLENCE.

OBJECTIVES

- 4.1 Enrich the OIPC workforce to drive a high performing organization.
 - 4.2 Optimize OIPC's organization to ensure it facilitates the delivery of business results.
 - 4.3 Improve OIPC's communication mechanisms so that its mission is clear to staff and the rest of the Patents organization.
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