

Introduction to One Portal Dossier, Global Dossier, CASE, and IP5 IT Initiatives

Association for Southeast Asian Nations
Technical Requirements to Facilitate ASPEC Work
Sharing and ASEAN IP Portal
July 16 – 17, 2014



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United States Patent and Trademark Office



USPTO and ASEAN Cooperation

- USPTO hosted ASEAN IP Office Administration Conference June 23-27, 2014. Topics included:
 - Patent Operations and Management
 - Patent Examination Procedures
 - Effective Training Systems
 - IT Infrastructure
 - Electronic Filing
 - PCT Implementation and Management
 - Worksharing Strategies
 - Search Tools
 - Trademark Processing
 - Stakeholder Outreach
 - IP Enforcement



Worksharing at the USPTO

- USPTO is committed to global worksharing and complete transparency to
 - Improve patent quality
 - Reduce patent pendency
 - Reduce USPTO costs
 - Improve efficiency
 - Reduce costs for applicants
- USPTO has initiated a number of international worksharing initiatives including PPH and Global Dossier



In the Beginning...



- Paper and hard-media documents exchanged
 - International Search Reports
 - Priority Documents
 - Sequence Listings
 - Publication Data
- Burden on Offices, Applicants, and the Public
- Incompatible with Worksharing



Brief History of IP5

Pre 2007

- Between 1985 and 2006, WIPO estimated that the number of patent applications filed world-wide grew from 884,400 to nearly 1.76 million.
- In 2006, the EPO, JPO, KIPO, SIPO, and USPTO received over 70% of all patent applications filed world-wide.



Brief History of IP5

- **2007 : The IP5 (EPO, JPO, KIPO, SIPO, USPTO) held their first meeting**
- **IP5 Vision: “The elimination of unnecessary duplication of work among the offices, enhancement of patent examination efficiency and quality, and guarantee of the stability of patent right.”**



IP5 Foundation Projects Background

2008

Agreed on 10 Foundation Projects

1. **Common Access to Search and Examination Results**
2. **Common Application Format**
3. **Common Hybrid Classification**
4. **Common Documentation Database**
5. **Common Rules for Examination Practice and Quality Control**



IP5 Foundation Projects Background

- 6. Mutual Machine Translation**
- 7. Common Search and Examination Support Tools**
- 8. Common Approach to Sharing and Documenting Search Strategies**
- 9. Common Statistical Parameter System for Examination**
- 10. Common Training Policy**



IP5 Foundation Projects Background

2009

Formed Working Groups

- **WG1: *Common Hybrid Classification***
- **WG2: *IT-Supported Business Processes***
Common Documentation, Search and Exam Tools, Sharing and Documenting Search Strategy, Common Application Format, Mutual Machine Translation, Common Access Tools
- **WG3: *Examination Practice-Related Projects***
Common Training Policy, Search and Exam Rules/Quality Management, and Common Statistical Parameters



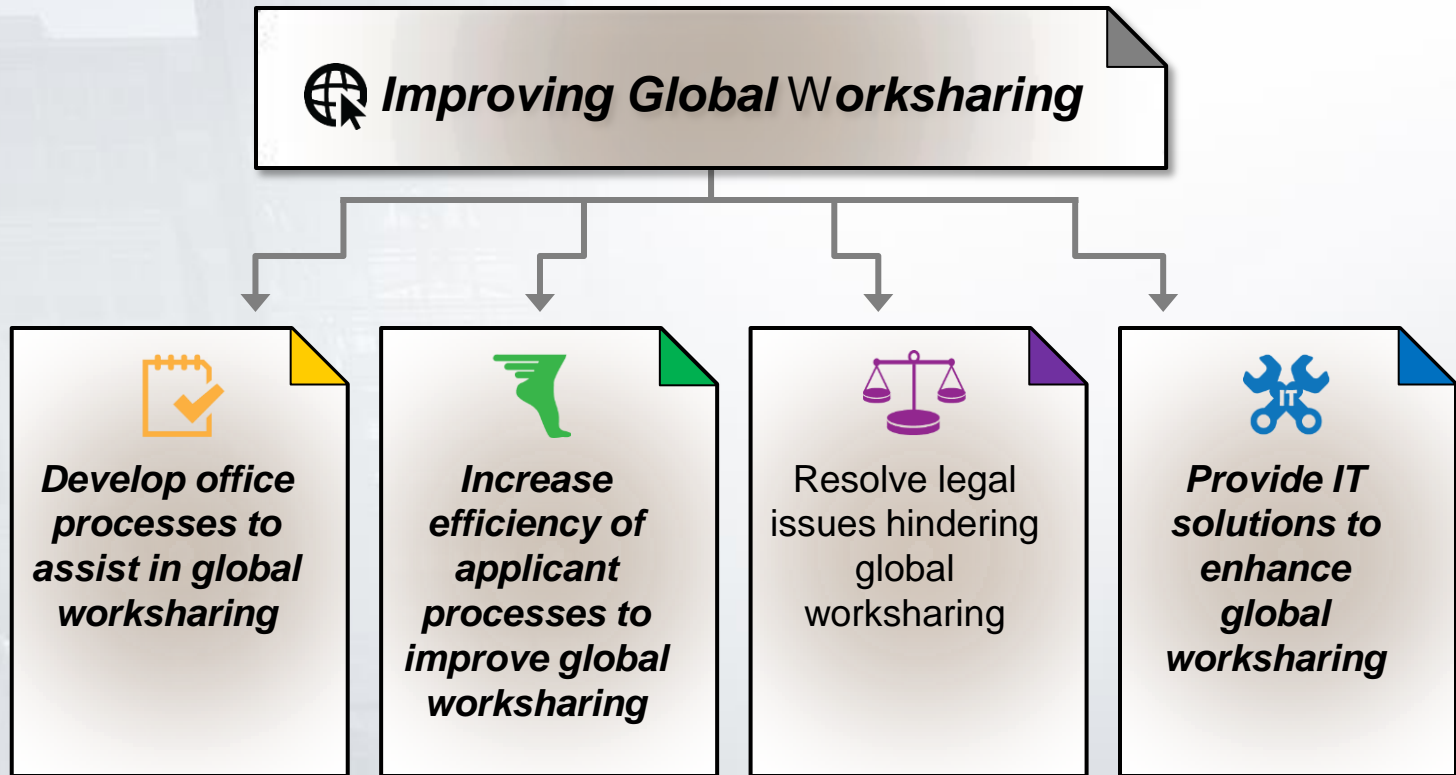
IP5 Working Group 2 (WG2): 2011 - Introducing Global Dossier

- Global Dossier provides IP5 Offices and WIPO a new opportunity to consolidate, conclude, or re-mission current IT initiatives, and will reduce IT development costs and provide usable results for stakeholders quickly.
- Requirements derived from the Global Dossier Taskforce: IP5 Offices, WIPO, and Industry Groups
- Additional information on Global Dossier may be found on the USPTO website at http://www.uspto.gov/patents/int_protect/gbldssr/



Office of International Patent Cooperation

Improve the quality, efficiency and predictability of patent family prosecution, thereby improving the certainty of global patent rights.





OPD Examiner User Interface (Mockup) Related Cases Screen

- OPD will not be released to U.S. Examiners until PE2E deployment

Related Search

Patent Family Search

US12/698,480 5 results found. Currently displaying results 1-5

Quick Filters: **IP5** 1 **Non IP5** 4 **All** 5

Results per page 50 Page 1 of 1

App. #	Publication #	Publication Date	Priority	Priority Date ▲	Title	Applicant	OA Indicator
AT08786576	AT528429	10/15/2011	DE10200703640	08/02/2007	Not Available	Not Available	false
CN20088010992	CN101815818	08/25/2010	DE10200703640	08/02/2007	Loading...	Loading...	false
CN20088010992	CN101815818	05/29/2013	DE10200703640	08/02/2007	Loading...	Loading...	false
DE10200703640	DE10200703640	12/18/2008	DE10200703640	08/02/2007	Not Available	Not Available	false
EP08015228	EP2173938	04/14/2010	DE10200703640	08/02/2007	APPARATUS AND PROCESS F...	Fong's Euro...	true



OPD Examiner User Interface (Mockup) Doc List, Classification & Citation

- OPD will not be released to U.S. Examiners until PE2E deployment

Patent Family Search Results x EP08015228

EP08015228
Filing Date: 12/09/2010
Inventor: Ben Enis, Henderson, NV et al.

Classification Information 2.0

International (IPC8)	G06F17/30; G10H1/00; G11B27/034
Original	G10H1/0025; G11B27/034; G11B27/322

Citation Information 2.0

Patent Literature

Cited By	Category	Pub/Pat No.	Pub/Pat Date	Title
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Non - Patent Literature (NPL)

Cited By	Date	Title
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Table of Contents (TOC) - EP08015228

3.0 Outgoing 5 Incoming 2 Application 2 All 2 Office Actions 2

Information Disclosure Statement	04/17/2008	IDS
Oath or Declaration Filed	03/16/2008	OATH
Fee Worksheet (SB06)	12/10/2007	WFEE
Abstract	12/10/2007	ABST
4.0 Drawings	12/10/2007	DRW
Transmittal of New Application	12/10/2007	OATH
Claims		CLM
Specification		SPEC



OPD Examiner User Interface (Mockup)

Doc Contents Screen

- OPD will not be released to U.S. Examiners until PE2E deployment

EP08015228

222%

All ** DRW (04/17/2002)

Figure 1 of 17

Table of Contents

- Figure 1a
- Figure 1b
- Figure 2a
- Figure 2b

Figure 1a

```
graph LR; A[WIND TURBINE (HAWT)] --> B[ELECTRIC GENERATOR (IN HUB)]; B --> C[SIGNAL CONDITIONER (MAST BASE)]; C --> D[IMMEDIATE USE];
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Figure 1a

Figure 1a

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graph TD; A[WIND TURBINE (HAWT OR VAWT***)] --> B[GEAR BOX #1 (IN HUB)]; B --> C[VERTICAL ROTATING SHAFT]; C --> D[GEAR BOX #2 (MAST BASE)]; D --> E[ELECTRIC MOTOR (MAST BASE)]; E --> F[CONTROL SYSTEM****]; E --> G[COMPRESSOR]; F --> G; G --> H[600-PSIG STORAGE TANK*]; H --> I[TURBO EXPANDER**]; I --> J[ALTERNATOR]; J --> K[LATER USE]; J --> L[DC TO AC INVERTER]; L --> M[AC TO DC CONVERTER]; M --> N[ALTERNATOR]; O[PROpane BURNER] --> P[ALTERNATOR]; Q[FROM CONTROL SYSTEM] --> O; R[EMERGENCY SYSTEM] --> P; S[EXCESSIVE LONG LOW-WIND PERIODS] --> P;
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NOTE #1
SOLAR THERMAL INPUT
THERMAL INERTIA MASS
WASTE HEAT FROM COMPRESSOR INPUT
FOSSIL FUEL BURNER INPUT

NOTE #2
OUTPUT CHILLED AIR TO REFRIGERATION
OUTPUT CHILLED AIR TO COMPRESSOR

NOTE #3
OUTPUT TO WATER WELL PUMP
OUTPUT TO DESALINATION PLANT

******CONTROL SYSTEM**
BETWEEN USER AND POWER SPLITTER
BETWEEN USER AND TURBOEXPANDER
BETWEEN USER AND PROPANE BURNER

EMERGENCY SYSTEM
EXCESSIVE LONG LOW-WIND PERIODS

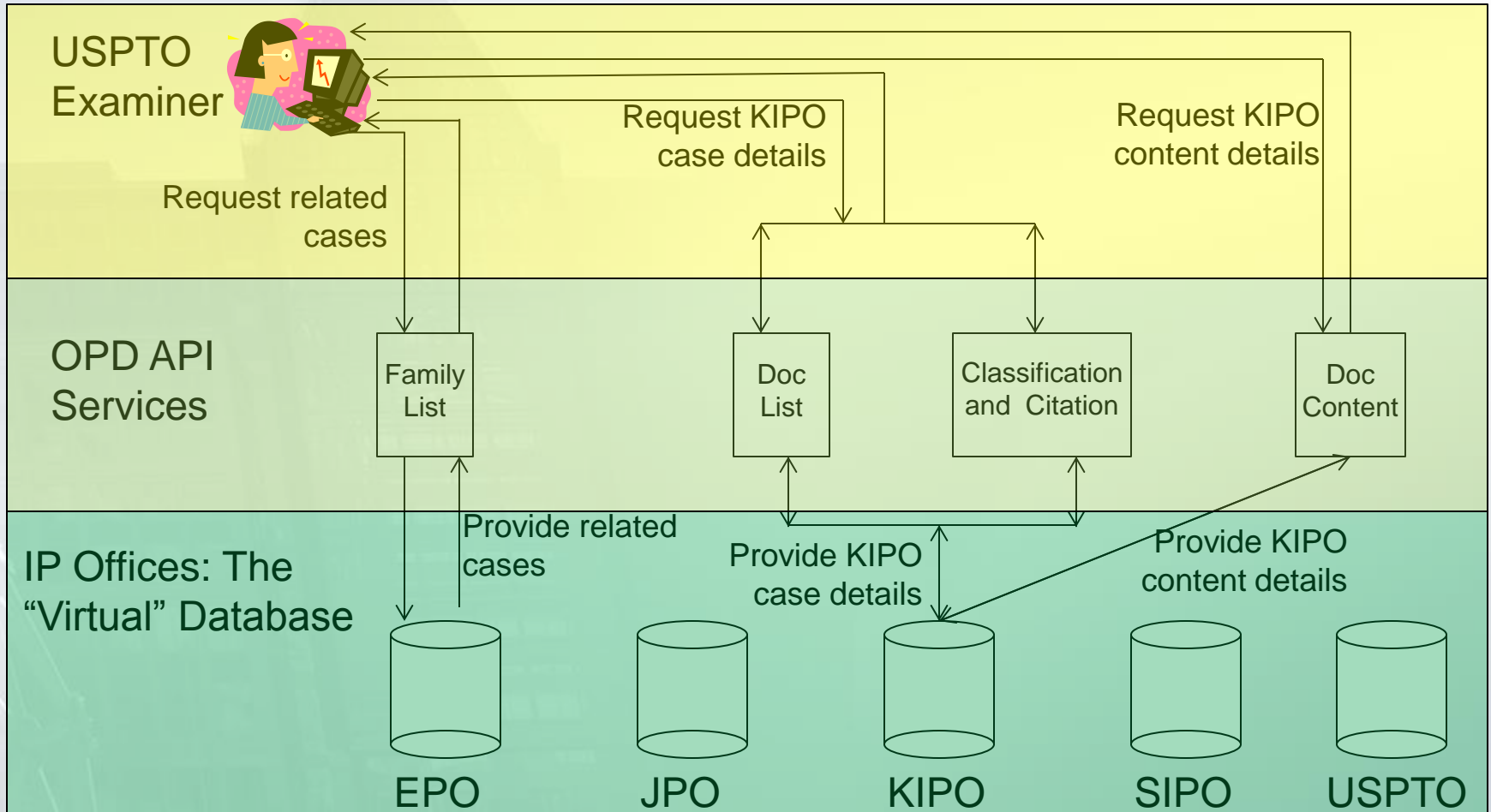


One Portal Dossier (OPD)

- A “virtual database” of all related cases in the IP5 Offices
- Facilitates Worksharing
- Four Service API Specifications Mutually Developed by the IP5 Offices
 - Family List Service: Returns related cases for a requested application
 - DocList Service: Returns a Table of Contents of documents in a filewrapper for a Requested Case
 - DocContent Service: Returns the actual contents of the filewrapper for a requested document, e.g., Office Action
 - Classification and Citation Service: Returns the classification and any citation data for a requested case
- All responses (to U.S. examiners) will be automatically machine-translated into English
- ***USPTO is currently a “providing” office***
- ***U.S. examiner will have access to OPD with PE2E deployment (November 2014)***



OPD Example Workflow





From OPD to Global Dossier

Stakeholders



Patent Examiners



Law Firms



Industry Groups



Applicants

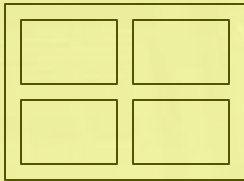


Public and 3rd Parties



Other IP Offices

API Services



OPD Services

Cross Filing Services

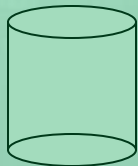
Global Payment Services

Public Access Services

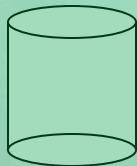
Collaboration Services

Worksharing Services

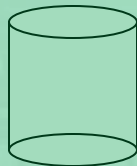
IP Offices: "Virtual" Database



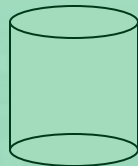
EPO



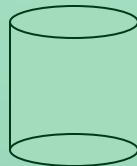
JPO



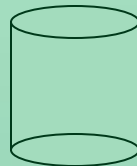
KIPO



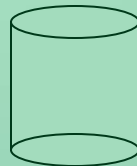
SIPO



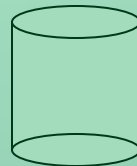
USPTO



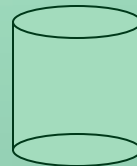
WIPO CASE



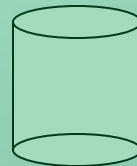
ASEAN



Israel



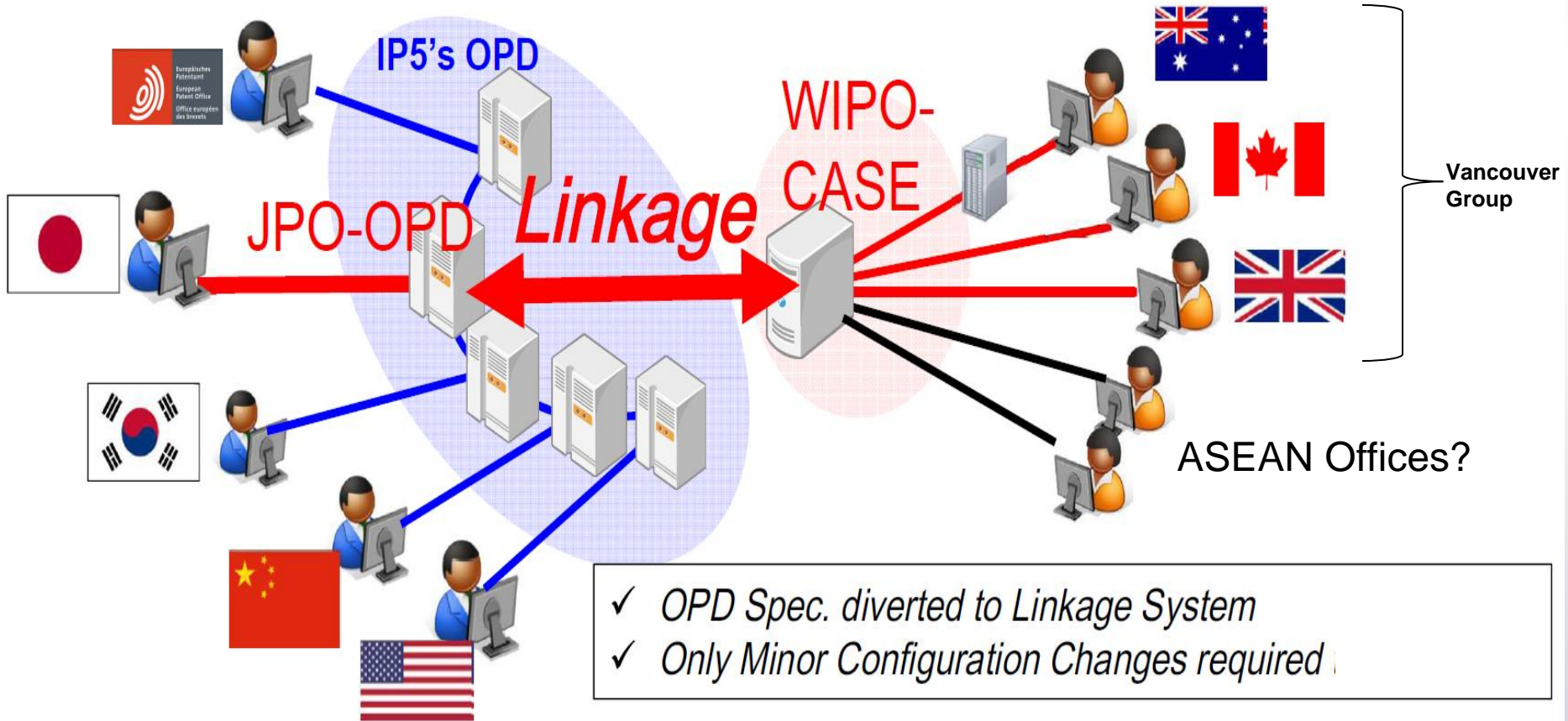
Russia



Others



Centralized Access to Search and Examination (CASE)





PPH at the USPTO

USPTO participates in PPH with 27 Offices

- Global PPH
- IP5 PPH
- Bi-lateral agreements



Global and IP5 PPH Offices



Australia (IPAU)



Canada (CIPO)



Denmark (DKPTO)



European Patent Office (EPO)



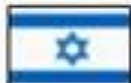
Finland (NBPR)



Hungary (HPO)



Iceland (IPO)



Israel (ILPO)



Japan (JPO)



Korea (KIPO)



Nordic Patent Institute (NPI)



Norway (NIPO)



People's Republic of China (SIPO)



Portugal (INPI)



Russia (ROSPATENT)



Spain (SPTO)



Sweden (PRV)



United Kingdom (UKIPO)



United States (USPTO)



Global/IP5 PPH Principles

- **Reciprocity**

Every participating office in Global PPH and IP5 PPH has agreed to accept the work product of any other participating office as the basis for a PPH request.

- **Common Requirements**

Every participating office has agreed to a common set of requirements to provide applicants with a generally standardized PPH request process.



Bilateral PPH Agreements

- Austrian Patent Office (APO)
- Colombian Superintendence of Industry and Commerce Colombian Patent and Trademark Office (SIC)
- Industrial Property Office of the Czech Republic (IPO-CZ)
- German Patent and Trademark Office (DPMA)
- Mexican Institute of Industrial Property (IMPI)
- Nicaraguan Registry of Intellectual Property (NRIP)
- Intellectual Property Office of the Philippines (IPOP HL)
- Intellectual Property Office of Singapore (IPOS)
- Taiwan Intellectual Property Office (TIPO)



Benefits to Users and Offices

- Rapid prosecution
- Higher grant rates
- Fast portfolio building
- **Cost Savings!!**

Helps offices with backlogs, improving the system in general



PPH Benefits

	Examination Actions per Application Disposal	Overall Allowance Rate	First Action Allowance Rate	Percent of Applications with at least one RCE
Non PPH Applications	3	66.3%	12.6%	25%
PPH Applications	2.2	83%	36.8%	12%

Actions include restrictions, non-final rejection, final rejection, ex parte Quayle, allowance, Interference, SIR disposal, Rule 105 requirement, examiner's answer, advisory action, miscellaneous action with SSP, first action interview actions, examiner initiated suspension and abandonment after PTAB decision



PPH Benefits

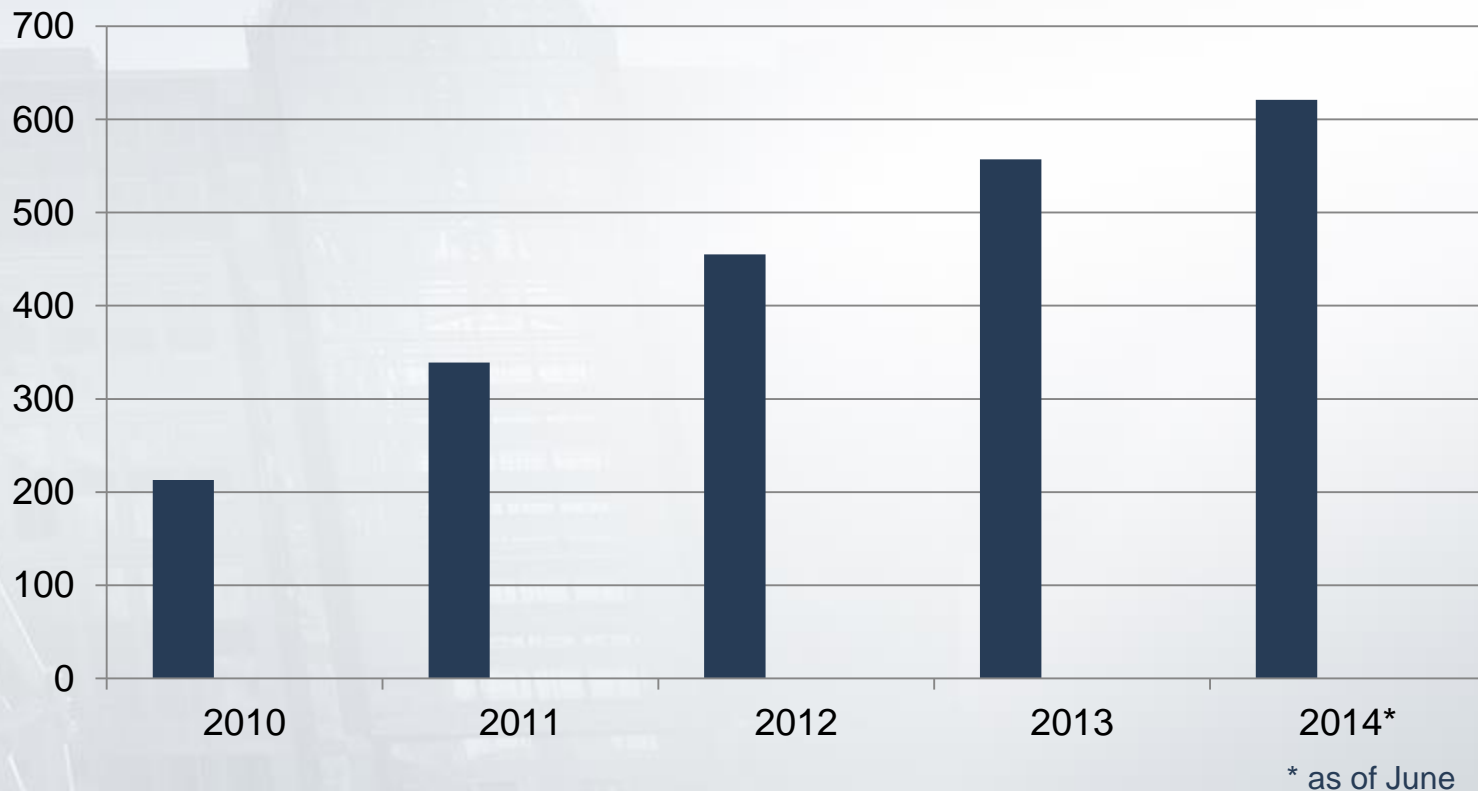
- Key factor in cost savings: Fewer office actions
- Depending on complexity, cost per action ranges from \$2,086-\$3,899 (AIPLA Economic Survey 2011)

	PPH	Non-PPH	Savings
Actions per Disposal	2.2	3.0	
Minimum: \$2,086	\$4,589	\$6,258	\$1,669
Maximum: \$3,899	\$8,577	\$11,697	\$3,120



PPH Growth

Average number of new PPH requests per month at the USPTO





PPH Numbers at a Glance

Number of petitions as of **June 30, 2014**:

	1 2 months	Cumulative
Paris-PPH	3,606	14,406
PCT-PPH	3,563	10,511
Total	7,169	24,917



Significantly Expand Outreach

- Developed an outreach campaign to:
 - Educate the audiences on PPH basics and clearly communicate benefits of the program
 - Target multiple audiences: current/potential users including inventors, practitioners, and owners
 - Listen to the IP community to continue to identify ways to improve the program and eliminate barriers to its use



Leverage the User Community

- AIPLA and IPO continue to be strong advocates, promoting PPH in various settings
 - Cost savings, increased efficiency, and the potential to exploit more, not less, IP
 - Flexibility: One more tool in the toolkit
- Continue to build and expand those relationships



Patent Prosecution Highway (PPH)

- PPH benefits every participant filing in multiple offices
- The program leverages the positive results indicated by an earlier examining office to render the following benefits in offices of later examination:
 - Fast-Tracked and streamlined examination
 - Higher initial allowance rate
 - Over 80% of PPH applications result in Grants
 - Rapid portfolio building for a substantial competitive advantage
 - *Significant and meaningful cost savings for innovators, enabling more IP to be exploited!*
- USPTO encourages global stakeholders to take advantage of these benefits and to rapidly bring innovations into the marketplace

USPTO PPH Website: http://www.uspto.gov/patents/init_events/pph/index.jsp



Questions?

Thank you for your attention!