

**UNITED STATES  
PATENT AND TRADEMARK OFFICE**

**uspto**

Patent Public Advisory Committee  
Quarterly Meeting

# International Update

Mark R. Powell

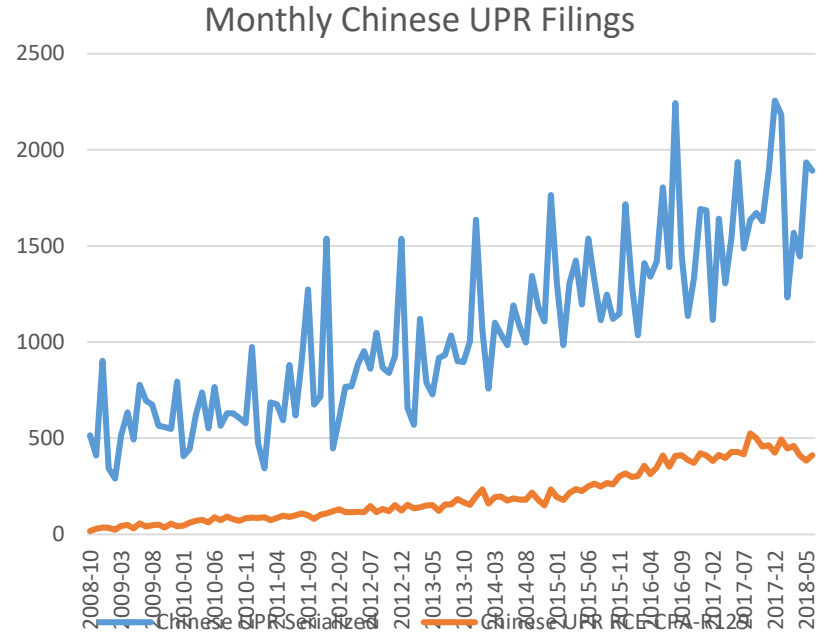
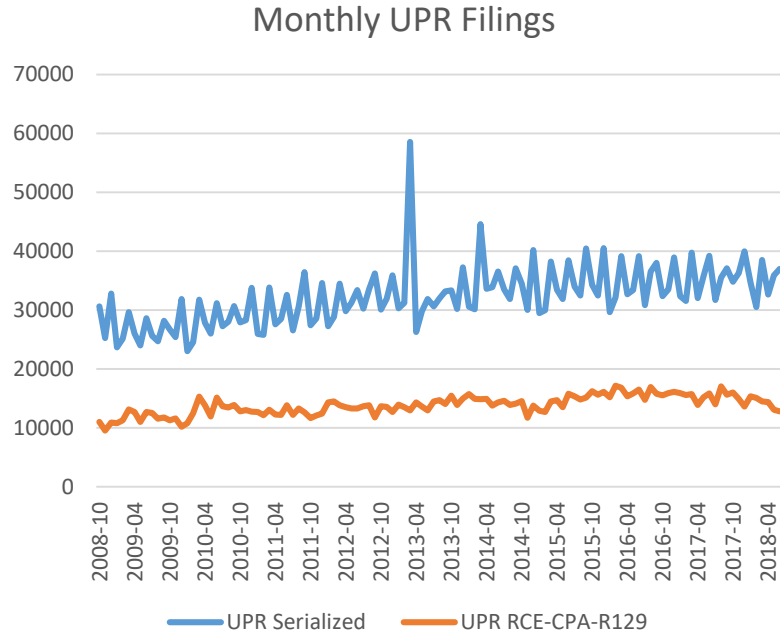
Deputy Commissioner for International Patent Cooperation

August 2, 2018

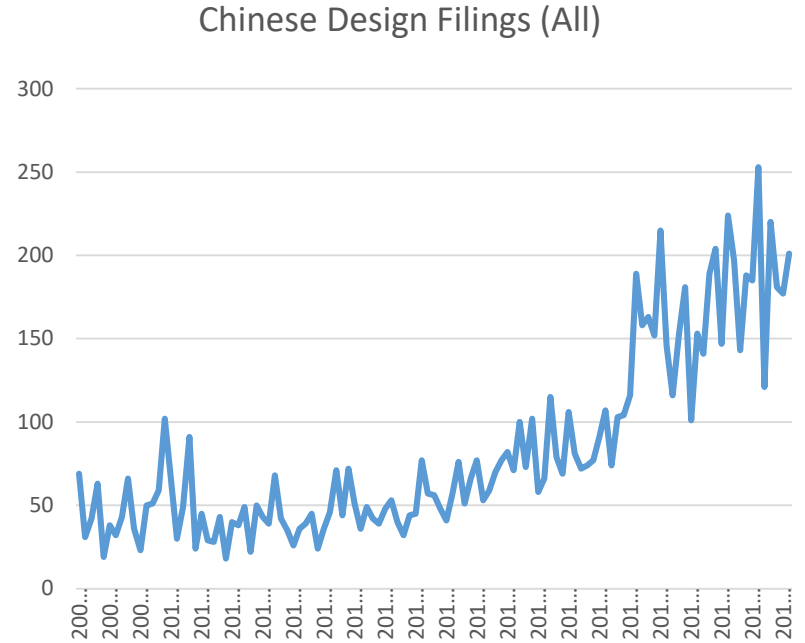
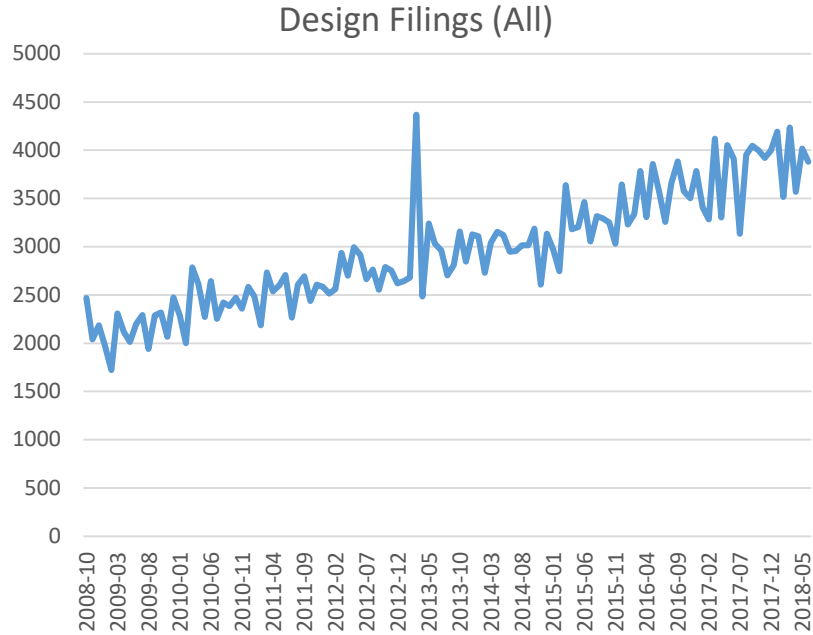
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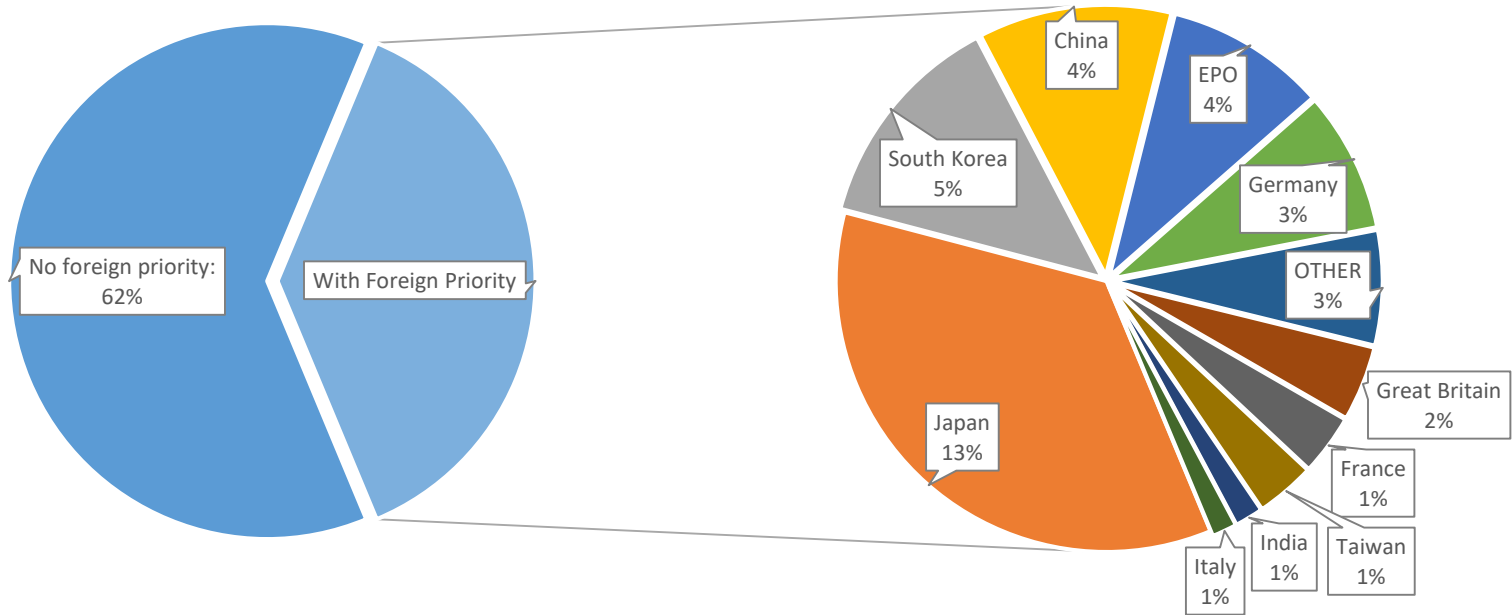
# Monthly UPR Filings



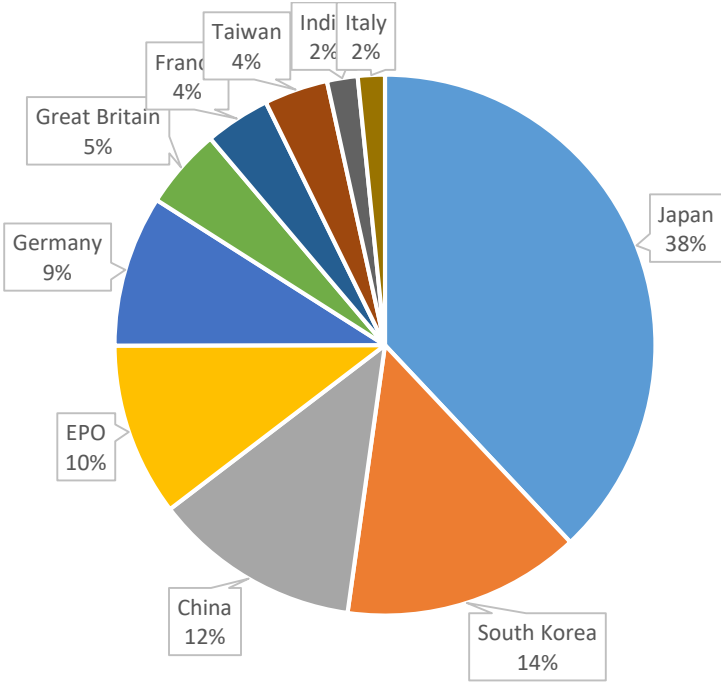
# Monthly Design Filings



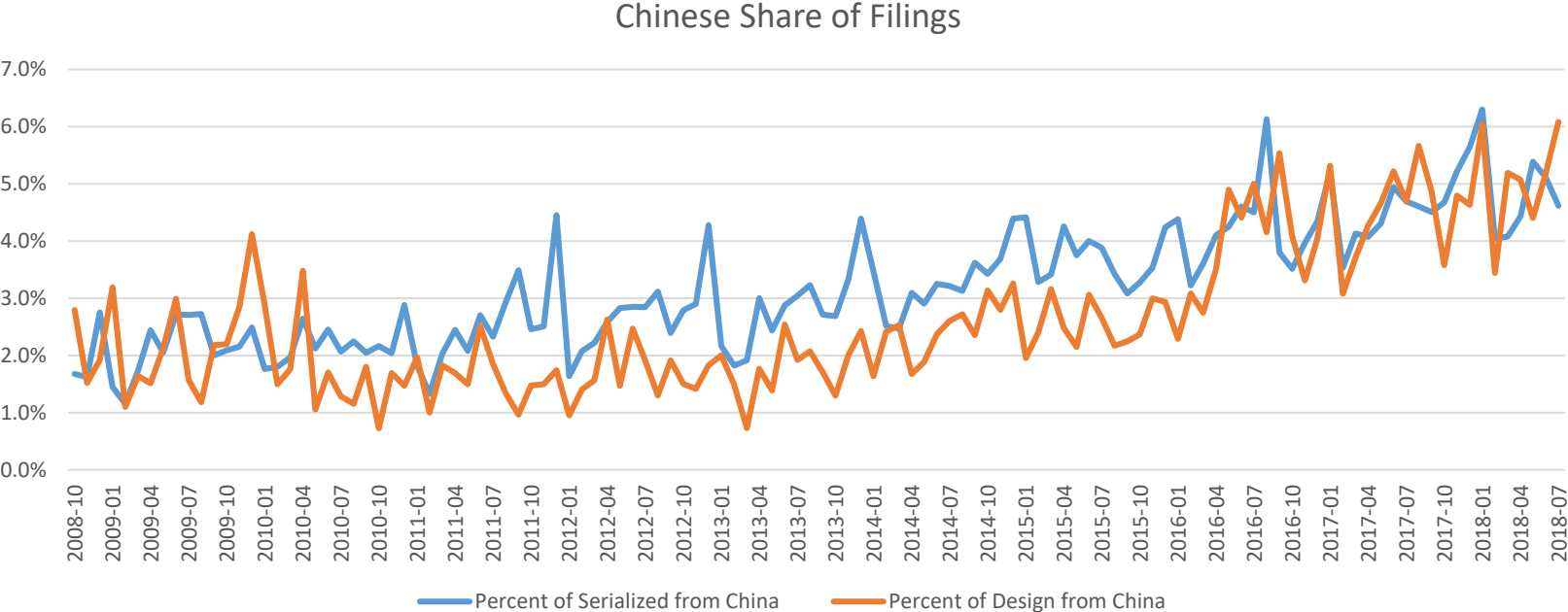
# FY17 Serialized Filings by Foreign Priority



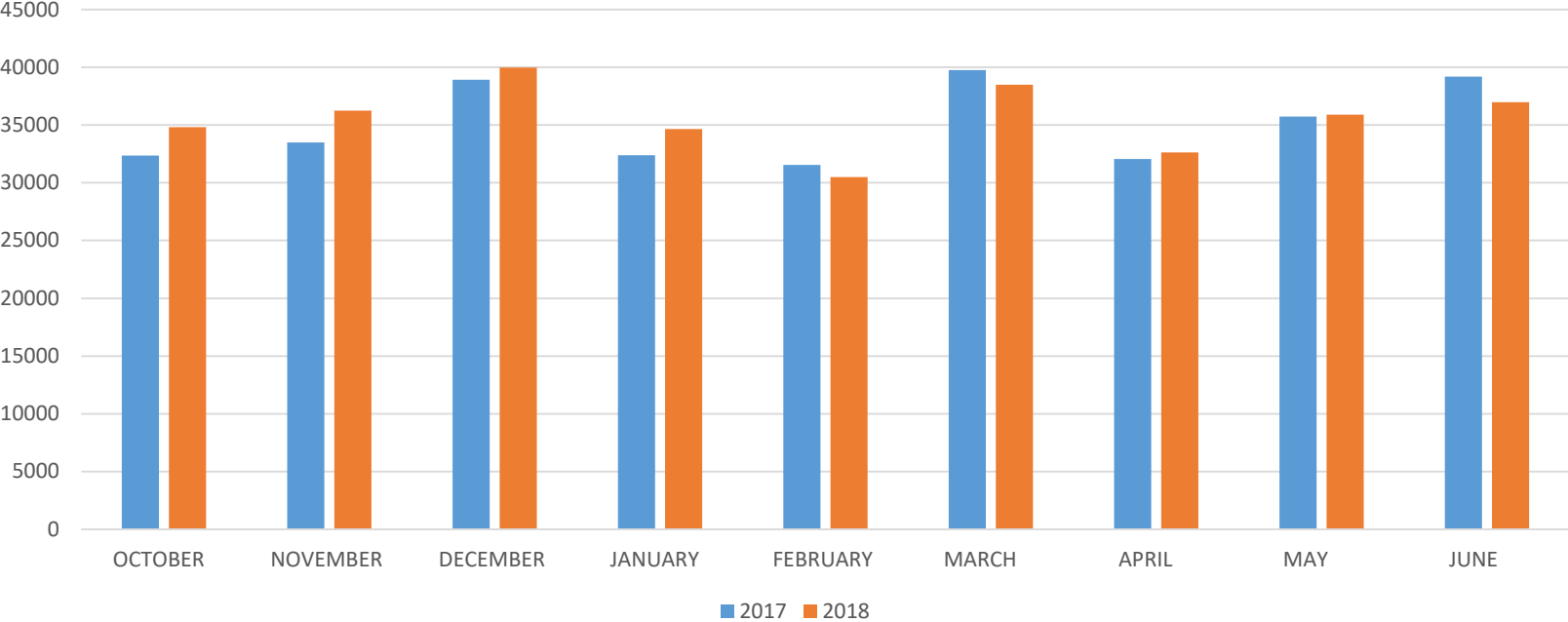
# Share of FY17 Serialized Filings by Country of Foreign Priority



# Chinese Share of Filings

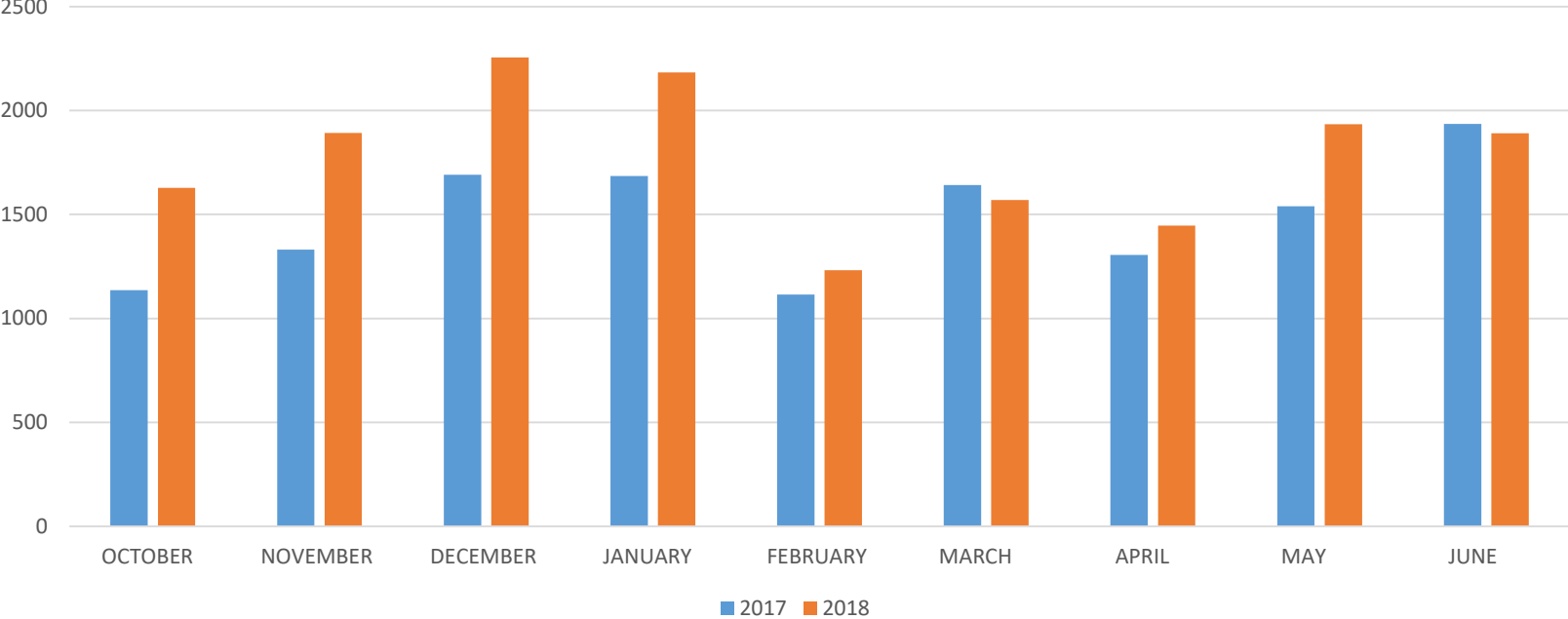


# Serialized Filing Comparison, FY17 vs FY18





# Serialized Chinese Filing Comparison, FY17 vs FY18



A technical drawing or patent illustration in the background, showing various mechanical components and parts. The drawing is rendered in a light gray color against a white background. It features numerous callout numbers such as 18, 22, 26, 32, 34, 36, 40, 42, 44, 46, 48, 50, 52, 54, 56, 58, 60, 62, 64, 66, 68, 70, 72, 74, 76, 78, 80, 82, 84, 86, and 88, which are connected to specific parts of the drawing by thin lines. The drawing appears to be a cross-section of a complex mechanical assembly.

# IP5 Heads of Office Meeting

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# IP5 Collaborative Search & Examination Pilot

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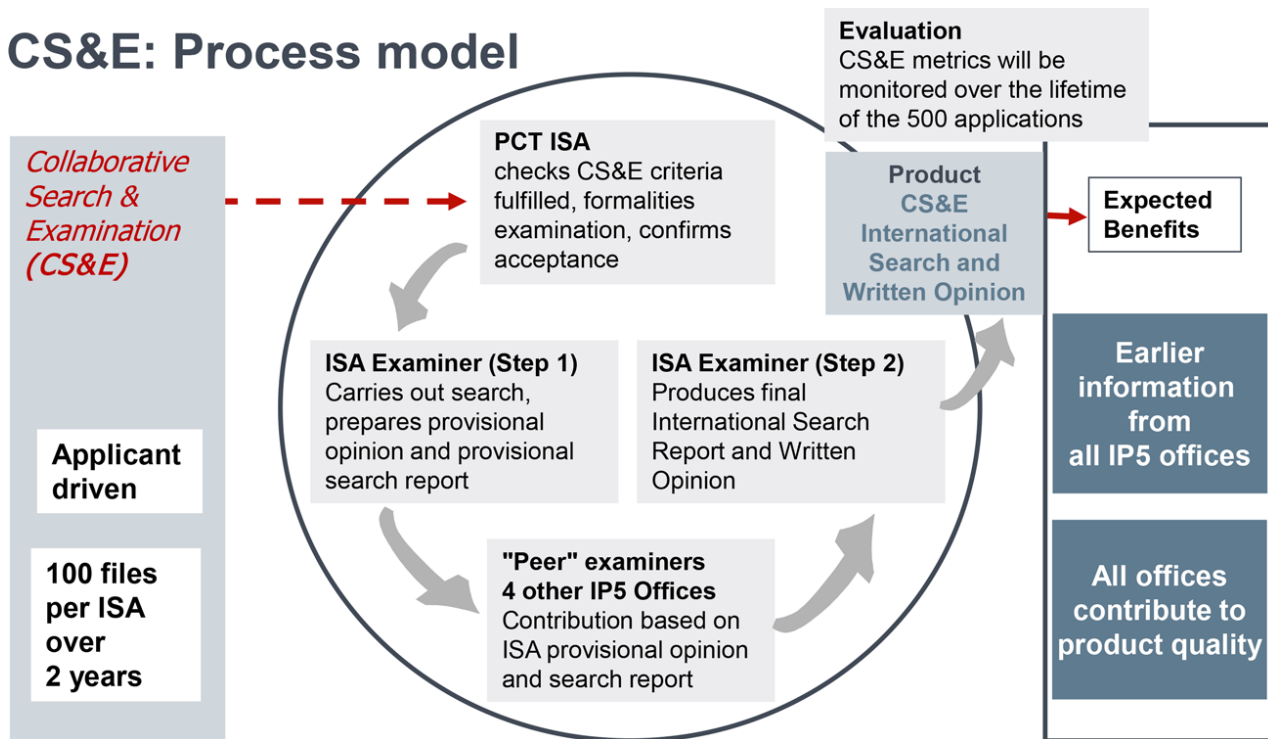


# PCT CS&E Pilot Overview

- Began July 1, 2018 by the IP5 Offices
- Explores a collaborative approach to international searches under the PCT with two goals
  - Assess expected efficiency gains
  - Determine the users' interest for this approach

# PCT CS&E Process Model

## CS&E: Process model



# PCT CS&E Pilot Participation

- Applicant driven
  - Must request participation when filing PCT
  - Number of applications per applicant will be limited
- Number of applications accepted
  - 100 as main ISA (50 per year, per office)

# PCT CS&E Pilot

- Current Status (as of July 27, 2018)
  - 18 applications received at USPTO as receiving Office (RO/US) with Request to Participate in CS&E Pilot
    - 6 for ISA/US
    - 6 ISA/EP
    - 1 ISA/JP
    - 2 ISA/KR
    - 3 ineligible for pilot
  - 1 application received by ISA/US from the International Bureau as receiving Office (RO/IB) with Request to Participate in CS&E Pilot

# How to Learn More

The image is a screenshot of the USPTO website. At the top, the USPTO logo and the text "UNITED STATES PATENT AND TRADEMARK OFFICE" are displayed. Below this, there are two main navigation tabs: "Patents" and "Trademarks". Under the "Patents" tab, there is a "Getting started" section with several links: "Patent basics", "Process overview", "Legal assistance and resources", "Inventor and entrepreneur resources", "International cooperation" (circled in red), and "Patent FAQs". A blue arrow points from the "International cooperation" link to the "International cooperation" section in the main content area. This section is titled "International cooperation" and lists several programs: "Global Dossier", "Cooperative Patent Classification", "Collaborative Search Pilot", "Patent Prosecution Highway", "Patent Cooperation Treaty", "Hague Agreement", "Priority Document Exchange (PDX)", "IPR Toolkits", and "Patent FAQs". To the right of this list, there is a "Featured programs and services" section. It includes links and descriptions for "Global Dossier", "Cooperative Patent Classification (CPC)", "Collaborative Search Pilot Program (CSP)", "Patent Prosecution Highway (PPH)", and "Patent Cooperation Treaty (PCT)". A blue arrow points from the "PCT Collaborative Search & Examination Pilot" link in the "Patent Cooperation Treaty (PCT)" section to the corresponding bullet point in the "Featured programs and services" section. This bullet point is also circled in red. The "spto" logo is visible in the bottom right corner.

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**Patents** Trademarks

**Getting started**

- › Patent basics
- › Process overview
- › Legal assistance and resources
- › Inventor and entrepreneur resources
- › **International cooperation**
- › Patent FAQs

**International cooperation**

- Global Dossier
- Cooperative Patent Classification
- Collaborative Search Pilot
- Patent Prosecution Highway
- Patent Cooperation Treaty
- Hague Agreement
- Priority Document Exchange (PDX)
- IPR Toolkits
- Patent FAQs

**Featured programs and services**

[Global Dossier](#)  
Providing stakeholders with secure, one-stop access to related applications across the [IP5](#), the five largest patent offices in the world.

[Cooperative Patent Classification \(CPC\)](#)  
A joint partnership between the United States Patent and Trademark Office and the European Patent Office to harmonize their existing classification systems and migrate towards a common classification scheme.

[Collaborative Search Pilot Program \(CSP\)](#)  
Providing applicants who cross-file their patent applications internationally with search results from multiple offices early in the examination process. This allows the applicant to determine their next steps in patent prosecution.

[Patent Prosecution Highway \(PPH\)](#)  
Speeds up the examination process for corresponding applications filed in participating intellectual property offices.

[Patent Cooperation Treaty \(PCT\)](#)  
An international treaty making it possible to seek patent protection for an invention simultaneously in a large number of countries by filing a single "international" patent application instead of filing several separate national or regional patent applications.

- [PCT Collaborative Search & Examination Pilot](#): Examiners from the IP5 offices collaborating on the search and examination of a single international application, resulting in an international search report (ISR) and written opinion (WO) from the chosen International Searching Authority (ISA) based on contributions from all participating offices.

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# Access to Relevant Prior Art Initiative

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# Initiative Objectives

- Leveraging electronic resources to retrieve information (e.g., prior art, search reports, etc.) from relevant sources (e.g., related U.S. applications, counterpart foreign and PCT applications).
- Automatically import information into the file wrapper of a U.S. patent application under examination at the earliest point.
  - Potentially reduce applicant's burden under the duty of disclosure.

# Access to Relevant Prior Art: Phase 1

- Automatically imports references from immediate U.S. parent applications into pending U.S. applications
- New automated tool for examiners developed to provide a master reference list and enhanced searching and filtering functionality
- Federal Register Notice on Phase 1 to be published in September
- Targeted start date: November 1, 2018

# Access to Relevant Prior Art: Phase 1

- Initial implementation will be a targeted release and will not be a corps-wide release
  - Details and scope of the implementation will be announced later this summer
- Subsequent phases of the project will focus on importing from additional sources, such as counterpart foreign and PCT applications

# Access to Relevant Prior Art Contacts

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# Questions and Comments

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