

## Appendix to Statement of Work/Specifications

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### USPTO Mission and Work Environment

The examination of patent and trademark applications results in the need for extensive information access and retrieval along with training support on how to use automated information systems and information resources. Contractors provide support for these services for the United States Patent and Trademark Office (USPTO).

USPTO Mission - The USPTO's mission is to ensure that the intellectual property system contributes to a strong global economy, encourages investment in innovation, and fosters entrepreneurial spirit.

The primary services the agency provides are to process and disseminate patent and trademark information.

- Through the issuance of patents, the USPTO encourages technological advancement by providing incentives to invent, invest in, and disclose new technology worldwide.
- Through the registration of trademarks, the agency assists businesses in protecting their investments, promoting goods and services, and safeguarding consumers against confusion and deception in the marketplace.

Confidentiality - Applications for patents and trademarks are confidential documents and all contractor access to these documents is subject to non-disclosure and secrecy requirements as outlined in section H of this contract.

Collaborative Effort – It is critical that the contractor understands the work environment at the USPTO and the need to work collaboratively with the Government. The Government has managers or team leaders for each Information Center operation who manage the Government staff associated with their information facility. Due to the extensive array of services provided under this contract, and the distribution of contract staff among these numerous facilities, the on-site government managers or team leaders assist the COTR by providing localized, on-the-spot technical direction to contract staff. Government staff who assist the COTR with on-the-spot technical direction are referred to as GMs (Government Monitors). Any issues or questions related to the appropriateness of a GM's technical direction must be immediately being brought to the COTR's attention prior to the contractor taking action on that technical direction.

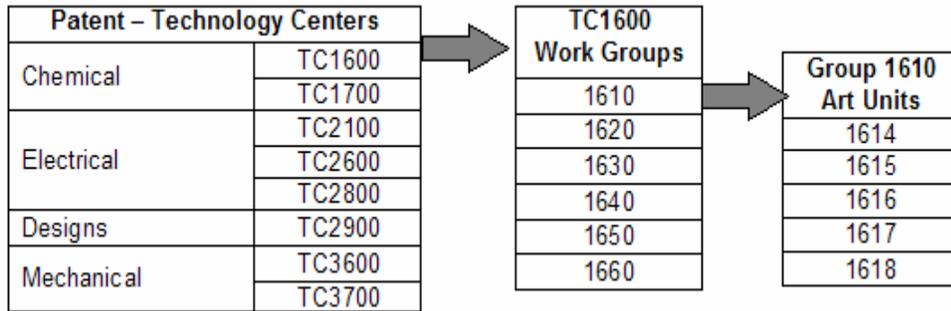
The contractor provides extensive workload support in many of these operations with supplemental support in others. The contractor also provides support in collaboration with Government staff for outreach, marketing, research, planning and for all other areas as identified in this contract. This approach requires a great deal of communication, cooperation and collaboration between the Government and the contractor. Contract managers must be able to effectively manage their staff in this collaborative environment.

Patent Organization - USPTO patent examiners review patent applications and grant patents for allowed applications. Utility patents are granted for applications that fall under three broad areas of technology: chemical, electrical and mechanical. Design patents are granted to protect only the appearance of an article and not structural or utilitarian features.

The Patent organization structure is based on Technology Centers specializing in major technology categories. Each Technology Center is comprised of Groups and each Group is subdivided into Art Units. Art Unit examiners specialize in a specific subset of technologies, which is referred to as the "art" that they examine. There are over 4,700 examiners distributed among eight patent technology centers. The patent examiners are collectively referred to as the Patent Examining Corps. The Patent Office plans to hire approximately 1,200 examiners annually over the next several years.

The following chart identifies the Patent Technology Centers as of Feb 2006 and illustrates the organizational structure of TC1600.

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Customized services - Information and instructional services are customized to meet the needs of each Patent Technology Center. The USPTO’s Scientific and Technical Information Center (STIC) provides these services, with the support of staff under this contract, primarily to patent managers, examiners, and support staff. STIC also maintains specialized facilities, Electronic Information Centers (EICs), which are co-located with the Technology Centers. Each EIC provides art specific information support for the patent examination process. STIC also maintains a legal resources library called the Lutrelle F. Parker, Sr. Memorial Law Library (typically referred to as the Parker Law Library). STIC provides information resource training and one-on-one assistance on automated resources, customer’s workstations, and systems targeted for the needs of the Technology Center served. Planned annual increases in the Patent Examining Corps are expected to increase the need for information and training services.

Prior Art – This is a critical concept concerning the examination of patent applications. Patent examiners need technology specific information dated earlier than the filing date of the patent application. In this context, pre-application dated information is referred to as “prior art” at the USPTO. Prior art includes US patents, foreign patents and related materials, and non-patent literature (legal materials, journal articles, standards, manuals, books, conference proceedings, films, videos, images, web pages, etc). USPTO’s information needs are different from the information needs of many other organizations served by technologically oriented libraries. Those organizations typically need to identify the latest “state of the art” technology, whereas the USPTO’s examination process requires finding older technological information available prior to the patent application filing date. This key difference has an impact on the breadth and depth of information and instructional services provided to the Patent Examining Corps.

Patent Examiner Production Time - patent examiners are given production goals for the examination of patent applications. Examiner production is counted each bi-week and is grouped into quarters. Production quarters adjust for holidays time periods and other factors and therefore typically do not match the end dates for fiscal year quarters. The following explanations of Count Mondays, Other time, and Quiet Time are provided as they have an impact on when some services can be provided by the contractor and the Information Centers.

Count Mondays - the first Monday after the end of each bi-week is called “Count Monday”. This is the day when examiner actions on cases for the bi-week are officially counted.

Other time – examiners use codes to reflect how their work time is allocated. “Other time” is the term they use for recording time spent on non-examining activities, including training time.

For example - when examiners are required to attend training by their SPE’s (Supervisory Patent Examiners) or by USPTO management, an approved “other time” code is provided to the instructors. The instructors provide this code to the examiners who attend the class. Examiners input this code and the amount of time used on their time and attendance records.

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Quiet time – In order to ensure that patent examiners have relatively uninterrupted periods of time to achieve production goals, the following periods of time are designated as “quiet time”:

- The last bi-week of the first production quarter,
- The last bi-week of the second production quarter,
- The last bi-week of the third production quarter,
- The entire last month of the fiscal year (September).

Implementation of quiet time impacts the provision of informational and instructional services. For example:

- The push down of changes to examiner workstations, such as software releases (updates or new software) are held until after quiet time ends.
- Training classes and demonstrations for patent examiners are either not scheduled during quiet time or are severely reduced.
- Significant increases in requests for information center services (reference assistance requests, searching, document retrieval/interlibrary loan requests) typically occur.

Rapid changes in technologies and emerging technologies (current example is nanotechnology) greatly impact the kinds of facilities, systems, services and staff that are needed in order to respond effectively to the growing and changing requirements of patent examination. The dynamic evolution of automation and electronic networking capabilities both within and outside of the USPTO has had a strong impact on the kind of services that are practical, desirable and expected. For example, there was a significant push to provide expanded patent business automation tools in the last few years resulting in electronic access to all patent applications. This significant change in the work process required extensive training of the entire examiner workforce (thousands of employees). These factors, together with the programs and plans underway for quality improvements, and changes in patent laws, are all expected to have a continued and substantial impact on information and instructional functions, facilities, systems, and service requirements at the USPTO.

Trademark Organization - USPTO trademark examining attorneys examine trademark applications in order to register trademarks. The Trademark organization structure currently includes 17 Trademark Law Offices, Law Office 101 through Law Office 117. There are approximately 500 Trademark examining attorneys distributed among these offices. The Trademark Law Library provides information services, with the support of staff under this contract, to Trademark managers, examining attorneys, and support staff.

LC Classification Scheme - USPTO Information Centers primarily use the Library of Congress Classification scheme. However, some special collections are categorized based on other, unique or customized schemes. An example is the USPTO's classification scheme used for the design materials collection.

Union Representation: Professional and clerical Government staff are represented by unions at the USPTO. The contractor needs to be aware that a number of issues are subject to USPTO negotiation with one or more unions. Examples include implementation of mandatory training programs and restrictions on requirements to complete feedback mechanisms such as surveys. The unions currently representing these staffs are:

National Treasury Employee Union, Chapter 243 (NTEU 243)

Represents administrative, clerical, and support positions throughout the Patent and Trademark Office.

National Treasury Employee Union, Chapter 245 (NTEU 245)

Represents Trademark Attorneys, Trademark Examiners, and Interlocutory Attorneys.

Patent Office Professional Association (POPA)

Represent all Patent Examiners and other employees requiring a college degree (with the exception of Trademark Attorneys or Examiners)

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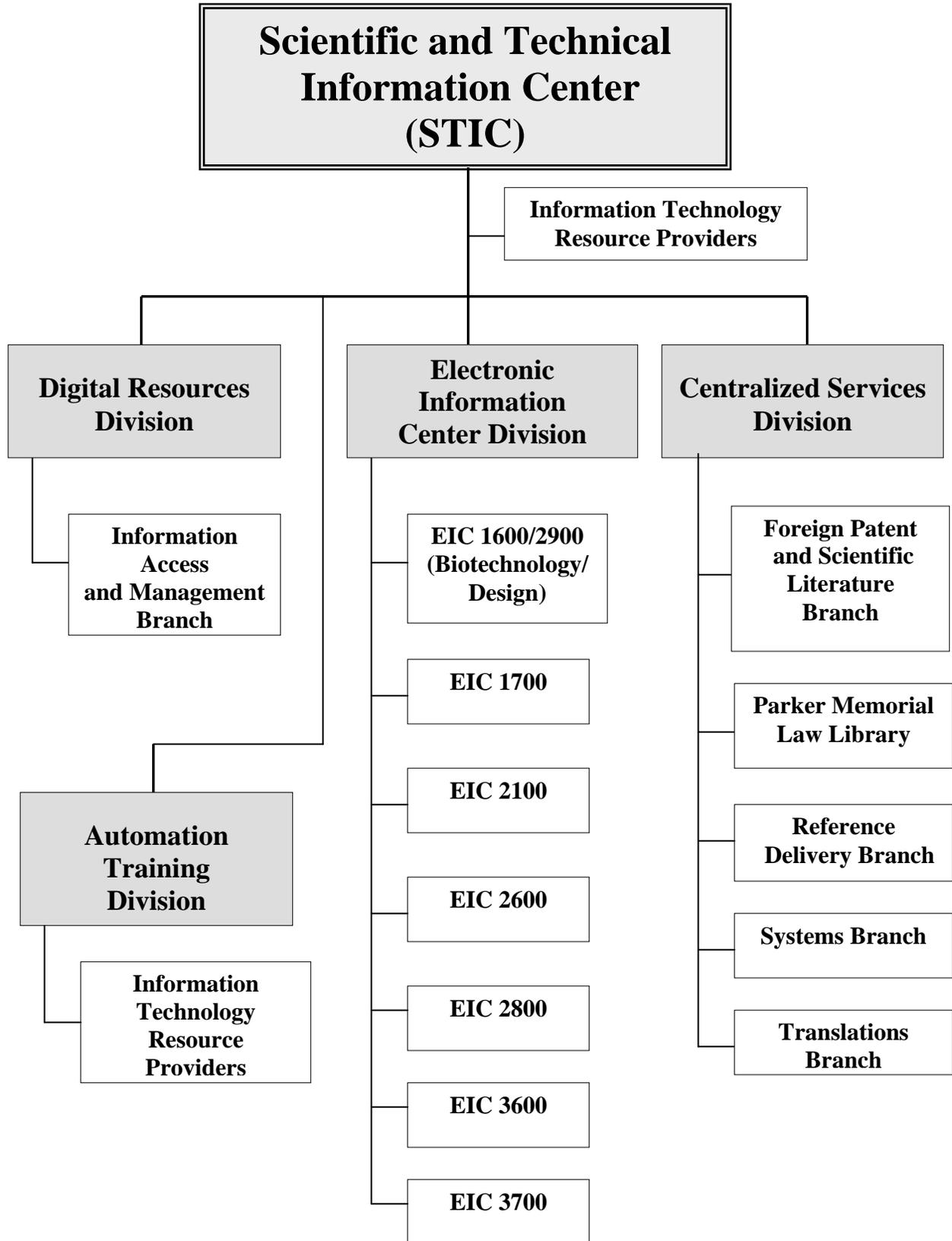
USPTO Campus - Throughout most of its history, USPTO examiners and support staff worked out of a centralized set of offices in the Washington, DC area. Currently, the USPTO maintains a campus in the Carlyle area of Alexandria, Virginia. The USPTO allows its Government staff the opportunity to participate in a flexi-time program that allows Government staff to start work as early as 5:00 am, or to stay as late as 10:00 PM. Information and instructional support provided by USPTO Information Centers has historically been provided during core work hours – weekdays from 8:00 AM to 5:00 PM. As the needs of our customers continue to change, future support under this contract may also be required outside of these core hours.

Telework Programs - The USPTO has implemented telework programs. A number of years ago, the Trademarks organization instituted the Trademark Work at Home program (TWAH). In 2006, the Patent organization instituted the Patents Hoteling Program (PHP). Initially, the PHP program is geared to allow examiners to work from home in the Washington, DC metropolitan area. In the future, examiners will be able to telework from any location throughout the United States. At the end of FY2006, about 500 patent examiners worked from remote locations. In FY2007, 500 or more additional patent examiners will be trained to work remotely and an additional 500 or more will be trained per year for the next several years. The scope and effect of this cultural change is rapidly redefining how examiners work, and therefore also requires that the provision of information and instructional services remain flexible and progressive in order to meet changing needs.

Contractor Work Sites: Although most contract staff are currently located on the USPTO campus in Alexandria, VA, some contract staff will be required to work from off-site locations. For example, some contract staff may need to work at off-campus sites close to the USPTO's Alexandria campus. Also, the USPTO is currently exploring the creation of regional offices throughout the United States. Contract staff may be required to provide informational and instructional services at regional USPTO locations or at other locations as they are identified.

USPTO's organizational structure and additional information about USPTO is located at USPTO's Internet web site: <http://www.uspto.gov>.

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Patent Office  
Technology Centers and EICs

Main Technology Categories	Technology Centers	Technologies	Number of examiners as of May 2006	Scientific and Technical Information Center
				EIC Serving each TC
Chemical	TC1600	Biotechnology and Organic Chemistry	492	EIC1600/2900 (a.k.a. Biotechnology Information Branch)
Chemical	TC1700	Chemical and Materials Engineering	455	EIC1700
Electrical	TC2100	Computer Architecture, Software, and Information Security	762	EIC2100
Electrical	TC2600	Communications	730	EIC2600
Electrical	TC2800	Semiconductors, Electrical and Optical Systems, and Components	919	EIC2800
Designs	TC2900	Designs	80	EIC1600/2900
Mechanical	TC3600	Transportation, Construction, Electronic Commerce (Business Methods), Agriculture, National Security, and License and Review	469	EIC3600
Mechanical	TC3700	Mechanical Engineering, Manufacturing	505	EIC 3700
Re-exam	TC3900	Re-exams of all issued patents	28	All STIC information centers

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### Terminology

ACRONYM or TERM	DEFINITION
ABSS	Automated Biotechnology Sequence Search
Art	Specific technologies examined by Patent Examiners
Art Unit (AU) or GAU	In the Patent organization, Art Units are subdivisions of Groups. Art units are comprised of a number of patent examiners specializing in examining specific types of technology. GAU is the abbreviation for Group Art Unit
ATOM	Automation Training Online Manager
Auto690E	An automated timesheet program
Classification Insight	Electronic retrieval of US and International class and subclass systems
CRF	Computer Readable Format
EAST	Examiner Automated Search Tool
eDAN	Electronic Desktop Application Navigator This is the interface used by examiners to access IFW, PALM, RAM (Revenue, Accounting and Management) and other data.
EIC	Electronic Information Center There is one EIC for each Technology Center, with the exception of TC2900. EICs are organizationally under the Scientific and Technical Information Center.
EEDD	Examiners' Electronic Digest Database. A database of literature selected by examiners as pertinent to their art.
Examining Corps	Term used to collectively refer to all patent examiners.
FY	Fiscal Year. The Government's fiscal year runs from Oct 1 through Sept 30.
GM	Government Monitor
Group or Work Group	In the Patent organization, Work Groups are subdivisions of Technology Centers.
FPAS III	Foreign Patent Access System
IFW	Image File Wrapper This is the Electronic version of the paper application file wrapper.
IRIS	Information Resources and Instructional Services
ITRP	Information Technology Resource Provider
MADRAS	Interface used by technical support staff to IFW.
MPEP Insight	Manual of Patent Examining Procedures
Non-Patent Literature	Published or otherwise widely available information such as: journal articles, standards, manuals, books, conference proceedings, films, videos, images, web pages, etc).
OACS	Office Action Correspondence Subsystem
OPAC	Online Public Access Catalog
PALM	Patent Application Locating and Monitoring
PFW	Patent File Wrapper (expected to replace IFW in 2007)
PHP	Patents Hoteling Program
PLUS	Patent Linguistics Utility System
Prior Art	Information in any format on a specific technology that has a publication date earlier than the filing date of the patent application. Prior art includes U.S. patents, foreign patents, and non-patent literature.
PTP	Patent Telework Program
RSL	Raw Sequence Listing
STIC	Scientific and Technical Information Center.

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TARR	Trademark Application and Registration System
TEAS	Trademark Electronic Application System
TECH Center or TC	Technology Centers are the top organizational level of patent examiners. Each Technology Center specializes in a subset of technology under the three broad technology categories: chemical, electrical, mechanical.
TESS	Trademark Electronic Search System
TICRS	Trademark Image Capture and Retrieval System
TMEP	Trademark Manual of Examining Procedure
TRAM	Trademark Reporting and Application Monitoring system
TRLLS	Trademarks Reference Law Library Systems
TTABVUE	Trademark Trial and Appeal Board Viewing on the Web
TW@H or TWAH	Trademark Work at Home
USPTA	United States Patent Training Academy (the USPTO's training academy for newly hired patent examiners)
USPTO	United States Patent and Trademark Office
WEST	Web-Based Examiner Search Tool
X-Search	Examiner's Search System, a system to search for existing trademarks.

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**Examples of Automation Tools at the USPTO:**

Auto690E  
Classification Insight  
EAST  
EDAN  
FPAS III  
IFW  
MADRAS  
MPEP Insight  
OACS  
PALM  
PFW  
TICRS  
TMEP  
TRAM  
TRLLs  
TTABVUE  
WEBTA  
WEST  
X-Search

**Examples of Commercial Database Resources Available at the USPTO**

ACM Digital Library  
Agricola  
BNA@ Library  
Business Source Corporate  
CiteSeer (ResearchIndex)  
Columbia International Affairs Online (Gazeteer)  
Computer Source  
Dialog@ / Dialog Classic on the Web  
DTIC STINET  
EBSCOhost  
GrayLIT Network  
HeinOnline  
IEEE Explore  
INSPEC  
IP.com  
Knovel  
LexisNexis  
MEDLINE/Pubmed  
NTIS  
Proquest Direct  
Protein DataBank  
Questel/Orbit  
Research Disclosure  
Scirus  
SPI  
SPIE Digital Library  
STN International, STN on the Web  
UPOV (International Union for the Protection of New Varieties of Plants)  
Westlaw

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**IRIS  
Workloads**

The following charts provide data that represents major contractor workloads handled during FY06 (Oct 2005 – Sept 2006).

These charts do not necessarily reflect the entire workload handled for the USPTO as both government and contractor staff provide support for some of the categories listed. These charts reflect the portion of the workload handled by the incumbent contractor in FY06.

<b>Organization or Function</b>	<b>Workload Category</b>	<b>FY06 Contractor's Workload</b>	<b>Comments</b>
CRF Support	RSLs Annotated	7,142	Raw Sequence Listing Reports – annotations of errors to notify patent applicant on how to correctly fix the error.
Electronic Information Centers	Training Classes	76	Classes taught to new patent examiner hires on EIC resources
	Searches completed	7,000	Primarily consists of complex searches performed using Commercial Databases such as Dialog & STN.
	PLUS searches	36,600	Contractor processing of automated searches of patents. During 2007, the USPTO expects the processing currently handled by the contractor to be fully automated.
	Reference assistance requests handled	3,000	
	Items picked up and delivered	19,000	On-campus pick-up and delivery of items to STIC organizations and to patent examiners.
Search Strategy Experts	Training Interactions (1 hour each)	NA	New initiative planned for CY 2007 with experts dedicated to each Technology Center. Estimated workload: 80-130 interactions per day
Trademark Law Library	Requests	40,400	Represents reference requests and search requests handled by the Trademark Law Library.
Translation Support	Translation requests processed	7,800	

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<b>Automation Training Support</b>		
<b>Workload Category</b>	<b>FY06 Contractor's Workload</b>	<b>Comments</b>
New Examiner Classes	300	
New Examiner Attendance	13,600	
Other Automation Tool Classes	140	Note: many of these classes are 2 week long training sessions to train patent examiners on hotelling tools.
Attendance at Other Automation Tool Classes	1,400	
Demonstrations Held	250	Both on-site and virtual (instructor led e-learning demonstrations).
Demonstration Attendance	2,100	
One-on-One Assistance	10,514	# of requests for help handled on a one-on-one assistance basis.
Computer Based Training Courses Supported	25	Number of completed and in-process CBTs where contract staff provided support (providing course content, or otherwise assisting with CBT graphics, development, and production). Development of CBTs e-learning courses is expected to grow dramatically.
Hotline Issues Received	560	Hotline issues received (primarily about usage of automation tools). Numbers expected to increase as more examiners start working at home under the hotelling program
Electronic Mailboxes	2,600	Number of issues received and handled (primarily concerning use of USPTO automation tools).

<b>Information Access and Management</b>		
<b>Workload Category</b>	<b>FY06 Contractor's Workload</b>	<b>Comments</b>
Items Ordered	2,900	Books, Standards, Serials/Subscriptions
Items Received	2,100	
Original Cataloging	400	Books, journals, e-books, e-journals, non-print formats
Copy Cataloging	24,100	
Item Records Added	24,400	Records added to Horizon, the online catalog
Item Records Deleted	23,000	Records deleted from Horizon, the online catalog
Database Maintenance	21,400	Edits/Corrections, Transfers/Relinks, and Circulation
Serials Checked-In	8,100	
EEDD Database	1,900	Documents selected by examiners and staff are reformatted, coded, and copyright compliance verified for the incorporation of full text records and images into this in-house database.
Web Services Actions	32,000	New Pages, Edited Pages, E-Access Reviewed, E-Access Resolved, URLs Verified, Activated IP Access, Respond to Webpage Feedback
Mail Processing	13,700	

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<b>Reference Delivery Support</b>		
<b>Workload Category</b>	<b>FY06 Contractor's Workload</b>	<b>Comments</b>
Database updates	5,900	Updates to Cuadra STAR database - Covers ILL requests, vendor records, journal titles, sources, and borrower information.
Database - new records	1,900	Records created in Cuadra STAR for new borrowers.
Documents delivered	32,300	Documents delivered to USPTO organizations and individual requesters. About 5,300 requests completed via a new electronic delivery process, handled by contract staff, which was initiated in April 2006. The USPTO expects dramatic growth in electronic delivery of documents.
Online Catalog Searches	35,900	
ILL requests completed	3,000	Contractor handles requests that must be researched. Most of those requests cannot be filled from in-house resources. In FY06, contractor researched requests for some specified USPTO organizations. Government staff researched requests for other USPTO organizations.