

## USPTO: Quality Index Reporting (QIR) Items Used in Patent Quality Composite

Data items are summed to 26-biweek totals for all examiners on board at least 1 year prior to beginning of reported FY.

### Raw Data – to be extracted from QIR Database

**RCE Disposals** – The sum of the disposal counts awarded for abandonments for RCE (ABN9).

**Disposals** – A count of disposal counts awarded in the period where the counts are from allowances, interference actions, examiner's answers and abandonments.

**Reopens after Final** – The number of applications where prosecution is reopened (CTNF) after final rejection (CTFR). This category includes post-RCE reopens, but those situations where there is an intervening RCE filing between the final rejection and reopening non-final rejection are NOT included. The date and examiner associated with the reopening actions are used.

**Final Rejections** – The number of final rejections (CTFR) done by the examiner in the period.

**Original 2<sup>nd</sup>+ NFs** – A count of original second-plus-action non-final rejections in cases during the period where the examiner of the second-plus-action non-final rejection is recorded (e.g., not necessarily the same as the examiner of any earlier action). No actions after RCE included.

**Office Actions** – A count of Office actions in the period selected from restriction, rejections, allowance, Quayle action, interference actions, advisory actions, interference actions, suspensions, independent rule 105 communications, advisory actions and abandonments. Abandonments for failure to respond are not included in the count of actions.

**Original First Action Restrictions** – The number of original first action restrictions done by the examiner during the period.

**Restrictions after 2<sup>nd</sup> Action** – The number of applications in which a restriction / election requirement was imposed on the 3<sup>rd</sup>+ action. This category includes post-RCE restrictions. The date and examiner associated with the 3<sup>rd</sup>+ action restrictions are used.

**Restrictions ON 2<sup>nd</sup> Action** – The number of applications in which a restriction / election requirement was imposed on the 2<sup>nd</sup> action. This category includes post-RCE restrictions. The date and examiner associated with the 2<sup>nd</sup> action restrictions are used.

**Demographic/Other variables to include in extract.** The following variables should be included in any raw data extract to facilitate summarizing/reporting at levels other than simply the Corps as a whole.

- FY
- Work Group
- Examiner Name
- PP
- GAU
- Examiner on Board Date
- TC
- Examiner Number

- **Calculated Variables**

**% Employees Averaging <3 Actions Per Disposal:** Office Actions divided by Disposals for each employee. Reported metric is % of eligible employees with fewer than 3 actions per disposal in reported period.

$$\text{ActionsPerDisposal} = \frac{\sum[\text{Office Actions}]}{\sum[\text{Disposals}]}$$

$$QIR_{APD} = \frac{\# \text{ Employees Averaging } < 3 \text{ ActionsPerDisposal}}{\text{Total Number of Eligible Employees}}$$

**% Disposals not RCE:**

$$QIR_{RCE} = \frac{\sum[\text{Disposals}] - \sum[\text{RCE Disposals}]}{\sum[\text{Disposals}]}$$

**% Finals not Reopened:**

$$QIR_{FR} = \frac{\sum[\text{Final Rejections}] - \sum[\text{Reopens After Final}]}{\sum[\text{Final Rejections}]}$$

**% Total Actions not 2<sup>nd</sup> + NonFinals:**

$$QIR_{NF2} = \frac{\sum[\text{Office Actions}] - \sum[\text{Original 2nd + NFs}]}{\sum[\text{Office Actions}]}$$

**% of Total Restrictions not Made on 2<sup>nd</sup> or Subsequent Action:** (Original First Action Restrictions)/ (Restrictions ON 2<sup>nd</sup> Action + Restrictions After 2<sup>nd</sup> Action + Original First Action Restrictions)

$$QIR_{RST} = \frac{\sum[\text{Original First Action Restrictions}]}{\sum[\text{Original First Action Restrictions}] + \sum[\text{Restrictions On 2nd Action}] + \sum[\text{Restrictions After 2nd Action}]}$$

**QIR Component Metric for Quality Composite**

$$QIR \text{ Component Metric} = \frac{QIR_{APD} + QIR_{RCE} + QIR_{FR} + QIR_{NF2} + QIR_{RST}}{5}$$

**Important Note:** The QIR Component Metric reported in the Patent Quality Composite should be limited to only employees that are on board at least 12 months prior to beginning of the reporting period. Use “Examiner On Board Date” variable to filter the dataset prior to any reporting.