

**UNITED STATES  
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# Peer search collaboration pilot

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August 13, 2020

Patent Public Advisory Committee quarterly meeting

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# Peer search pilot overview

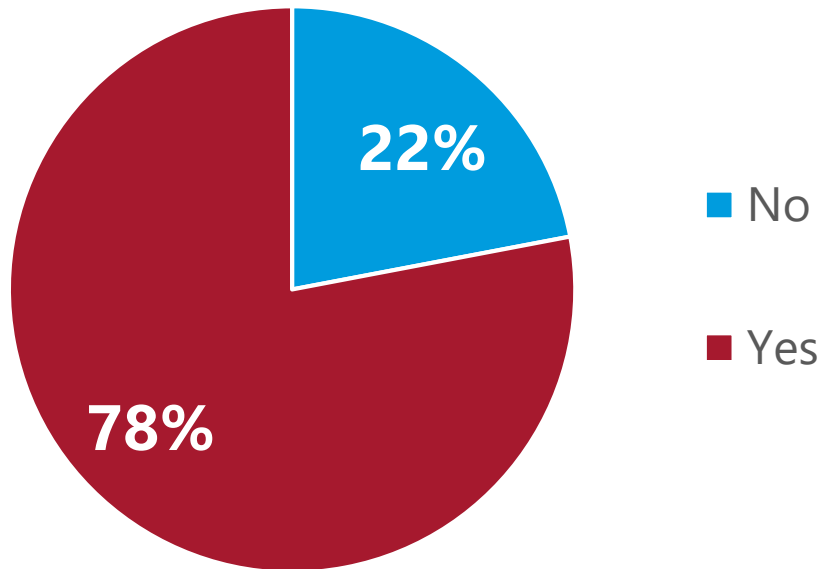
- Paired (lead and secondary) examiners each independently searched an application to share results and strategies
- Pilot ran for two quarters (October to April, 2019) and had participants from every utility technology center
- Total of 130 applications (out of a possible 240 applications)
- Investment of seven hours of other time per application
  - Three hours for secondary examiner to search
  - Two hours for each examiner for surveys and meetings

# Evaluations conducted

- **Previously presented results:**
  - Surveys of lead and secondary examiner participants
  - Focus sessions with participants
- **Updated results:**
  - OPQA reviews of pilot and pre-pilot cases
  - Monitoring of pilot cases through prosecution

# Selected survey results

**Did the paired pilot examiner's search results contain any relevant references not contained in your search?**



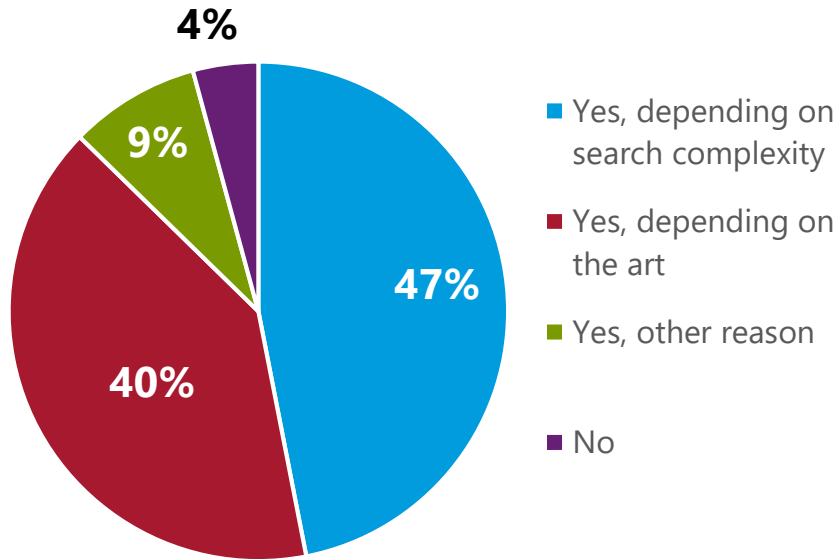
Quality review showed statistically significant increase in prior art citations:

Average # references cited Pre-Pilot= **6.5**

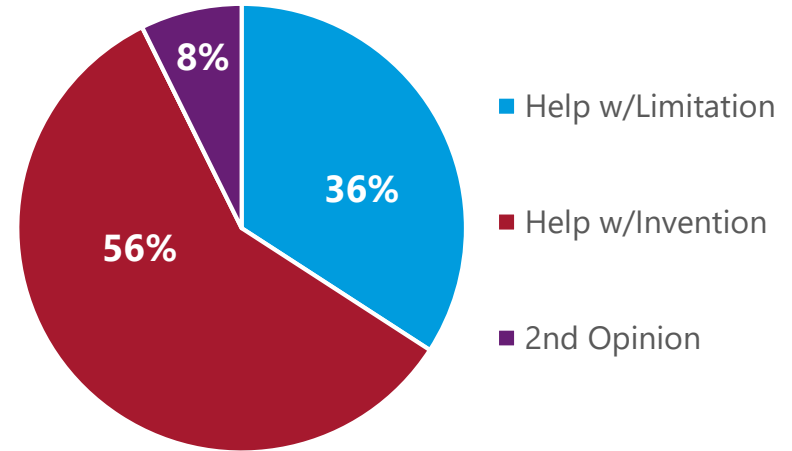
Average # references cited Pilot= **8.2**

# Selected survey results

**Would you recommend periodic search collaboration as a regular part of examination procedure?**



**Reasons lead examiners selected cases for pilot**



# OPQA review of non-finals

Overall correctness	Pre-pilot	Pilot
102 Compliance Rate	80.6%	81.6%
103 Compliance Rate	86.6 %	80.4%

- Modified review process to capture additional information on search
- No statistical significant differences between pre-pilot and pilot cases for 102 or 103 correctness
- Clarity metrics
  - 102 equal or non-significant increases
  - 103 equal or non-significant increases
  - Small sample sizes for most of the clarity metrics

# Prosecution outcomes

App type	Total	Abandoned	Allowance	Terminal disposal	Rejection	RCE count	% Allowance rate	% Terminal disposal rate
<b>Control</b>	79	5	20	25	54	30 (37.9%)	25.3%	31.6%
<b>Pilot</b>	106	10	32	42	64	40 (37.7%)	30.2%	39.6%
						<b>Difference</b>	<b>+4.9%</b>	<b>+8.0%</b>

- Slight increase in allowances and terminal disposals in pilot (pre-RCE)
- Not statistically significant



# Next steps

- Positive survey data indicates support among examiners
- No statistically significant differences identified in statutory compliance, clarity, or compact prosecution
  - Limitations due to small sample sizes for some metrics
- **Proceeding with further piloting**
  - Considering use cases with potential value
  - Larger data sets to increase statistical confidence
  - Evaluate processes that are more cost effective



# Thank you!

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