



IP5 Project Evaluation

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UNITED STATES
PATENT AND TRADEMARK OFFICE



Agenda

- Overview of process
- Principles for progress
- Updated timeline

Project Evaluation Description

- At the 2017 IP5 Heads of Office Meeting, it was agreed that a project evaluation should be conducted, which entails:

Performing a review of current IP5 work/structure to ensure that:

1. Our projects have clearly defined objectives, milestones, and timelines, and
2. Our outreach with stakeholders is targeted and prioritized.

Evaluation and Reorganization

- **Goals:**
 - For each project identify objectives, timelines, etc.
 - Prioritize projects in order to streamline agendas and account for resource demands.
 - Identify completed projects/end projects that have run their intended course.
 - Review IP5 framework and consider appropriate structure for cooperation.
 - Targeted interaction with stakeholders.

Evaluation Work Plan

- **Two Phases:**
 - Phase 1: Data Gathering
 - Description, Project Type, Objective Benefits, Current Status, Important Milestones, Completion Criteria, Timeline, Is stakeholder feedback necessary? (If yes, describe need)
 - Phase 2: Evaluation and Prioritization
 - Alignment with new IP5 Vision, Benefits to External Stakeholders, Office Benefit, Resource Requirements, Maintenance Requirements
 - Important to identify projects that have run their course or are no longer serving the needs of the offices or industry



Phase 1

Name of Project/Sub-project: PCT CS&E		Lead Office: EPO
Description:	This IP5 feasibility study aims at testing the concept of collaborative PCT work whereby one PCT search is performed by the main ISA in collaboration with "peer" ISAs which provide contributions and feedback.	
Project type:	Work Sharing	
Objective:	Determine the feasibility of five offices working in a collaborative manner to establish PCT Search Reports and Written Opinions efficiently and on time. In addition to meeting timeliness criteria of the process, further criteria to be assessed will include quality and efficacy gains for the benefit of applicants and the IP5 offices.	
Benefits:	<p>The expected benefit of the collaborative approach is a high quality international search and increased legal certainty early on in the procedure.</p> <p>The benefit of this IP5 study is in determining the feasibility of such a product going into production from both procedural timeliness and quality point of view.</p>	
Current status:	Preparatory phase ongoing	
Important Milestones:	<ul style="list-style-type: none"> - Pilot phases 1 and 2 with three participating offices (2010-2012) - CS&E collaborative framework adopted and preparatory phase launched by IP5 Heads of Office - June 2016 - CS&E Pilot Group met for the first time and agreed on working methods and roadmap - October 2016 - CS&E operational arrangements adopted - June 2017 	
Completion criteria:	End of pilot: 3 years after the start of the operational phase (2021)	
Timeline:	Launch of operational phase (tentatively) by 1 May 2018.	
Is stakeholder feedback necessary? (If yes, describe need)	<p>Stakeholder feedback essential as the main aim of the third pilot phase is to test the potential uptake by applicants.</p> <p>Detailed metrics analyses related to timeliness, procedural efficiency and quality carried out by the Offices (as stakeholders) will be an essential component of assessing the success of this initiative.</p>	

New IP5 Vision

The IP5 Offices envision: patent harmonization of practices and procedures, enhanced work-sharing, high-quality and timely search and examination results, and seamless access to patent information to promote an efficient, cost-effective and user-friendly international patent landscape.

Phase 2

Criteria	Description	Rating Scale (1-5)	Weight
Alignment with new IP5 Vision	To what extent does the project align with the new IP5 Vision?	5: Clear alignment with vision 1: Little alignment with vision	4
Benefit to external stakeholders	To what extent does this project provide a benefit to external stakeholders? Consideration should also be given to the breadth of stakeholders impacted.	5: High benefit to stakeholders 1: Low benefit to stakeholders	2
Office benefit	To what extent does this project benefit the offices?	5: High benefit to offices 1: Low benefit to office	2
Resource requirements	How much impact will the project have on office resources?	5: Little impact on resources 1: High impact on resources	1
Maintenance requirements	How much maintenance will be needed to keep the project up to date or properly functioning?	5: No need for maintenance 1: Regular maintenance required	1

Phase 2 (cont.)

- Each office will evaluate and prioritize the projects/sub-projects and ad hoc topics using the table below, which includes the proposed criteria, rating scale, and a weight that will be used to score the projects.

Project Name	Criteria 1(weight)	Criteria 2 (weight)	...	Score
A	4(4)	1(2)		$16 + 2 = 18$
...				

- This will allow the IP5 to assign a score to each project and from that, better prioritize our work. It will be imperative that the IP5 assess projects with low scores to determine if the project needs recalibrated or closed.

Principles

- Look at current state of projects.
- Back to basics – project proposals to scope out work in advance.
 - Allows for determination of resource demands, need for stakeholder feedback, and meeting planning.
- Work should provide realistic, tangible outcomes for offices and/or stakeholders.
- Consider other vehicles for information sharing, where appropriate.
- Seek out areas for collaboration.
- As we complete evaluation – if we were starting anew would this project be agreed upon?

Timeline

Date	Task
By June 15	USPTO will provide a list of projects (including lead office and category). Offices should review to ensure that all current projects are accounted for.
June 15 – August 31	The lead office for each project or ad hoc discussion should complete a Phase 1 project chart.
By September 15	USPTO will circulate a combined document to the PMG for comment.
By September 31	Comments/edits are due (Note: We hope this will allow the offices to make sure their charts are in alignment with the other offices).
By November 15	USPTO will circulate the combined document.
November 30	<ul style="list-style-type: none"> Lead offices finalize charts taking into account comments from other offices and send back to USPTO for consolidation. USPTO will circulate template for Phase 2 work.
By December 30	All offices will complete a Phase 2 analysis on the projects.
By January 12	USPTO will circulate combined document with average scores to PMG to aid in discussion at PMG meeting.
January/February	Discussion on ratings and priorities during PMG meeting alongside GDTF meeting.
By March 31	USPTO will prepare recommendation for discussion during PMG meeting at Spring DH Meeting.
By April 15	USPTO will prepare and circulate updated recommendations on potential new IP5 structure to Heads of Office for endorsement.
By May 15	Offices will provide comments on recommendations.
On 13 June	Presentation of new IP5 co-operation framework to IP5 Industry for their input.
On 14 June	IP5 Heads agree the new IP5 co-operation framework and related structure.



