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Collaborative PCT metrics

Update on 2012 work

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Trilateral User Meeting,
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Agenda

- Collaborative achievements in 2011

2012

- Follow-up: measuring PCT/national phase correspondence
- Characteristics of International Search Reports
- Introducing a Quality Metrics Framework
- Where should we be heading? Taking advantage of automation

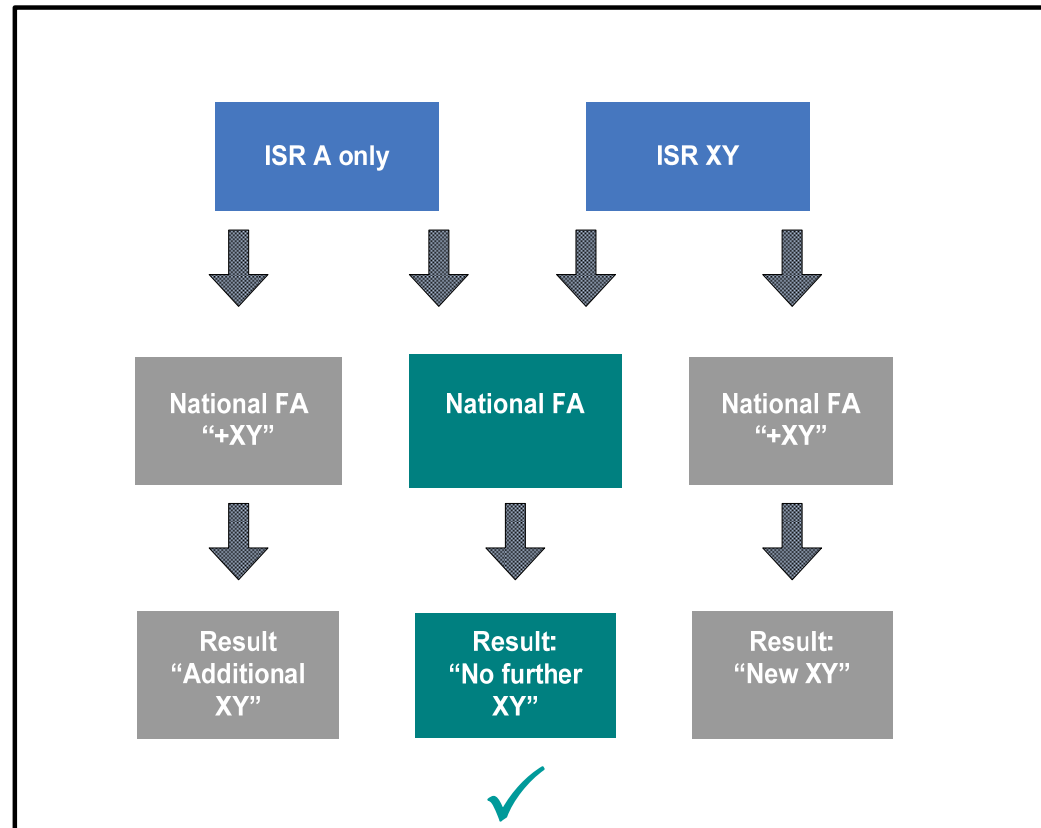
Collaborative achievements in 2011

<p>Phase 1 Focus on ISR characteristics and structured database data</p>	<ul style="list-style-type: none"> •Comprehensive statistics delivered •Results included detailed breakdowns by technology •Repeatable metrics
<p>Phase 2 Extensive sample-based study of the contribution of PCT Ch 1 work in national phase first actions</p>	<ul style="list-style-type: none"> •Collaboration on definitions, sample selection, data collection and analysis •Sample sizes permitted statistically significant results
<p>Trilateral conference November 2011</p>	<ul style="list-style-type: none"> • Report on Phase 1 and Phase 2 delivered • Agreement to expand Phase 1 to the IP5 offices and follow-up selected points from the Phase 2 study within the Trilateral

2012 Activities

Follow-up: Measuring PCT/National phase correspondence

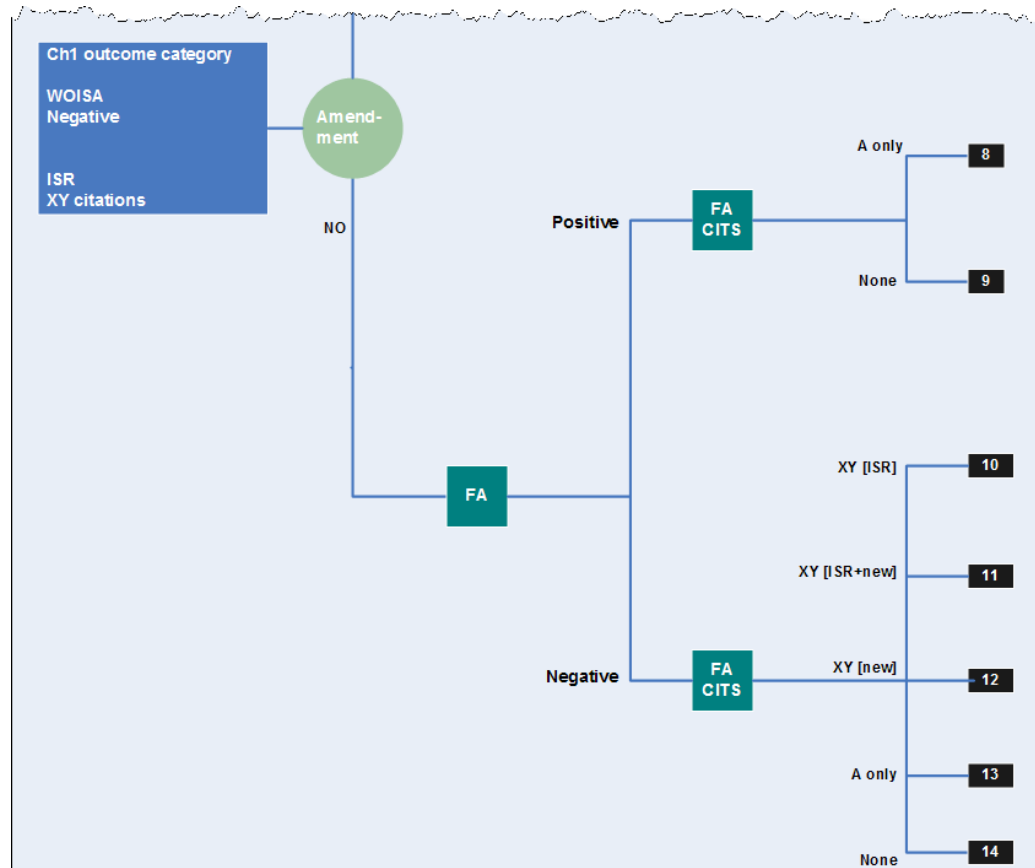
Correspondence between PCT Ch 1 / National phase A structured approach towards agreed metrics



Correspondence of PCT Ch 1 / National phase

A structured approach towards agreed metrics

A more detailed schema for discussion and validation



- Which first action scenarios represent Correspondence?
- Which scenarios are open to interpretation?
- Should a metric definition treat certain scenarios differently?

Correspondence assessment

Scenario	WOISA description	National phase first action description	Correspondence level (0 to 1)	Reasoning
B10	Negative WOISA ISR XY	No amendment before FA Negative FA XY citations in first action. All XY FA citations previously cited in ISR	1	<i>Both outcomes and cited prior art correspond</i>
B11	Negative WOISA ISR XY	No amendment before FA Negative FA with XY citations Some XY FA citations previously cited in ISR + new XY citations	0.75	<i>FA introduces new XY citations, but also makes at least 1 citation derived from the ISR</i> <i>FA outcome corresponds with WOISA. Cited documents partially correspond</i>

A simpler measure of correspondence

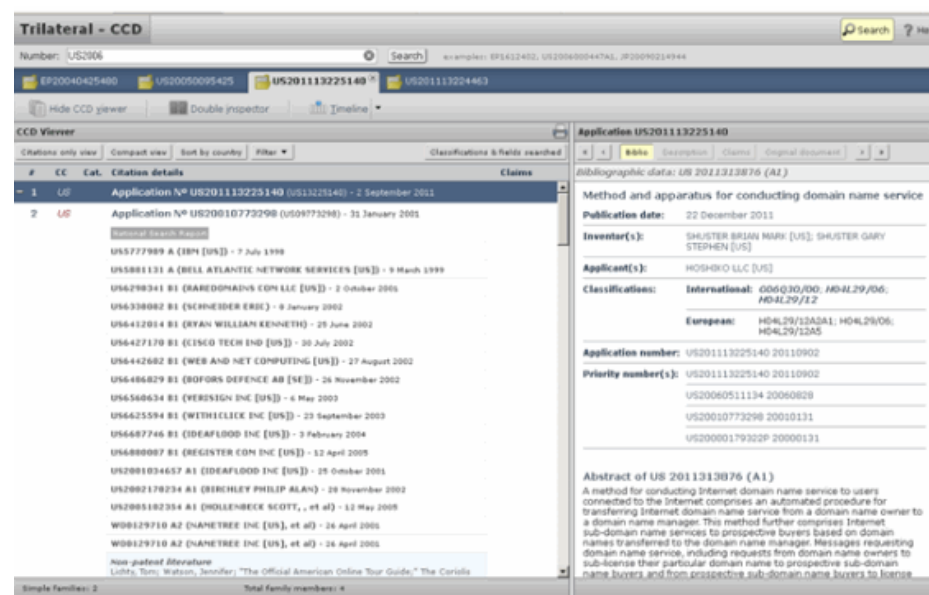
% of national phase first actions where all required XY citations are derived from the ISR

- ✓ Readily explainable
- ✓ Closely related to correspondence metric
- ✓ More potential for automation

Taking advantage of automation

% of national phase first actions where all required XY citations are derived from the ISR

- Consider for future monitoring
- Opportunities for efficiency and automation to be further explored
- Can we exploit and enhance collaborative infrastructure to produce metrics?

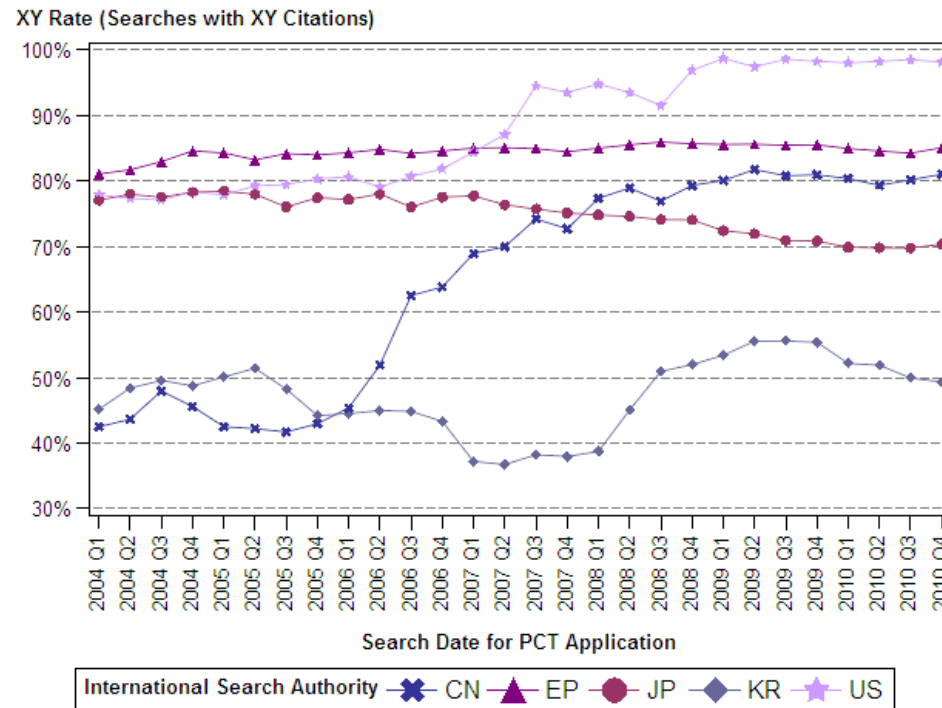


The screenshot displays the 'Trilateral - CCD' interface. The main window shows a list of citations for application US201113225140. The citations are listed in a table with columns for '#', 'CC', 'Cat.', 'Citation details', and 'Claims'. The first citation is US577989 A (IBM [US]) dated 7 July 1999. The second citation is US5881131 A (BELL ATLANTIC NETWORK SERVICES [US]) dated 9 March 1999. The third citation is US6298341 B1 (BAREDOMAINS EDN LLC [US]) dated 2 October 2005. The fourth citation is US6338882 B1 (SCHNEIDER ERDC) dated 9 January 2002. The fifth citation is US6412014 B1 (RYAN WILLIAM KENNETH) dated 25 June 2002. The sixth citation is US6427170 B1 (ELSCO TECH INC [US]) dated 30 July 2002. The seventh citation is US6442682 B1 (WEB AND NET COMPUTING [US]) dated 27 August 2002. The eighth citation is US6486829 B1 (BOFORS DEFENCE AB [SE]) dated 24 November 2002. The ninth citation is US6588634 B1 (VEROSION INC [US]) dated 4 May 2002. The tenth citation is US6625594 B1 (WETHILLICK INC [US]) dated 23 September 2003. The eleventh citation is US6687746 B1 (IDEAFLOOD INC [US]) dated 3 February 2004. The twelfth citation is US6880087 B1 (REGISTER COM INC [US]) dated 12 April 2005. The thirteenth citation is US2001034657 A1 (IDEAFLOOD INC [US]) dated 25 October 2001. The fourteenth citation is US2002170234 A1 (BIRCHLEY PHILIP ALAN) dated 28 November 2002. The fifteenth citation is US2005182354 A1 (HOLLENBECK SCOTT, et al) dated 12 May 2005. The sixteenth citation is W00129710 A2 (NANETREE INC [US], et al) dated 24 April 2000. The seventeenth citation is W00129710 A2 (NANETREE INC [US], et al) dated 24 April 2000. The interface also shows a 'National Search Report' and a 'Bibliographic data' section for application US 20113225140 (A1), including publication date (22 December 2011), inventor(s) (SHUSTER BRIAN MARK, SHUSTER GARY, STEPHEN [US]), applicant(s) (HOSHOKO LLC [US]), and classifications (International: G06Q30/00, H04L29/06, H04L29/12; European: H04L29/12A51, H04L29/06, H04L29/12A5).

Characteristics of ISRs

Characteristics of International Search Reports

IP5 offices - XY rate



- SIPO: "[the statistics are] necessary as reference for each participating office
- Statistics help us to learn more about trends and differences in practice

Characteristics of International Search Reports

- Search result
- Intermediate prior art
- Patent and non-patent literature citations
- Language of citations
- Publication/Search authority of citations

Characteristics of ISRs Statistics for all International Search Authorities

- EPO systems make ISR data available for all with character-recognition scanning of "dumb" forms
- EPO has transferred knowledge to WIPO on how it has used the Patent Statistical Database PATSTAT to produce the ISR statistics
- WIPO has produced the statistics for all ISAs and distributed in the *PCT Circular*



The EPO proposes that PCT quality management is strengthened with a structured framework for ongoing monitoring

Quality Metrics Framework

Proposal: A Quality Metrics Framework for the PCT

- Provide comprehensive overview of the system
- Address contributions of all the main actors
 - Applicants
 - Receiving offices
 - International Bureau
 - International Search Authorities
 - International Preliminary Examination Authorities
- Determine how the contributions of the main actors impact on others
- Gauge benefit to Designated Offices
- Provide a platform that supports efforts to improve the quality of PCT services and products

Proposal 1: First Steps

- The International Bureau to produce ISR Metrics annually
- International Search Authorities review results and:
 - identify lessons learned
 - report on actions taken
 - report on outcomes of improvement actions
 - make recommendations

Summary

- ❖ We are building up a metrics-based monitoring capability through collaborative work
- ❖ We should continue to develop the system together
- ❖ Our achievements fit into a long-term approach
- ❖ The EPO proposes a Quality Metrics Framework