

would be made available to all concerned within a reasonably short time. Early publication could prevent needless duplication of the disclosed work, promote additional technological advances based on the information disclosed, and apprise entrepreneurs of their potential liability.

An applicant would be permitted to abandon his application prior to the time for publication and retain the invention in secrecy. Alternatively, an applicant could have his application published promptly after filing, with or without abandonment, which would make his disclosure available earlier for prior art or interim liability purposes. However, the Commissioner could refuse such publication where the subject matter is nonstatutory, immoral, or the like.

In the case of an application which is given a notice of allowance, or in which an appeal is filed to the Board of Appeals, within the eighteen to twenty-four months after its earliest effective filing date, immediate publication would permit citation of prior art by the public (Recommendation No. XI).

Republication after a notice of allowance or the filing of an appeal would be required if amendments to the claims or specification are made after the first publication. Printing costs should not be increased substantially since republication could consist merely of a notice, published in the Official Gazette, with copies of the allowed claims prepared and made available to the public. When considered appropriate by the Commissioner, integrated copies of the specification and drawings could be prepared and made available.

## VIII

This recommendation is intended to prevent the repetitive filing of dependent applications. It is designed to eliminate undue postponement of the publication of the scope of protection granted, bring the United States into accord with international practice, and permit more efficient Patent Office examination.

Unless a later filed application is:

1. A continuation application and is filed before the occurrence of any of the following events: (a) the abandonment of, (b) the allowance of all pending claims in, or (c) the filing of an appeal to the Board of Appeals as to any claim in, the original parent application; or
2. A continuation-in-part application and is filed before the publication of any of its parent applications; or
3. A divisional application filed (a) on one of the inventions indicated to be divisible in a restriction requirement and is filed during the pendency of the application in which the restriction was first required, or (b) during the pendency of the original parent application;

The later filed application shall not be entitled to the effective filing date of a parent application for matter disclosed in the parent, and the parent, if published, shall constitute prior art against the later filed application.

At present, an applicant may serially file continuing applications for an unlimited period of time and maintain his invention in secrecy. Such practice makes effective examination in the Patent Office more difficult and expensive, and indefinitely prolongs the time before the issuance of a patent and the resultant publication of the scope of protection granted.

Permitting an applicant to file a continuation application during the indicated portion of the pendency of his original parent application would provide some latitude for one who felt that inadequate opportunity existed in the parent case to reach a clear issue. At the same time, it would avoid needless effort in preparing examiner's responses to appeal briefs, as well as unduly prolonged prosecution of the same invention.

Requiring that a continuation-in-part application be filed before publication of the parent application, as would appear to

be required if the provisions of the present Council of Europe Treaty and proposed Common Market Patent System were observed, normally would allow both the parent and continuation-in-part applications to be examined contemporaneously, possibly by the same examiner. Further, the public would learn sooner of the scope of patent protection that ultimately might be obtained based on the invention disclosed in the parent application.

Providing that all divisional applications must be presented during the pendency of the original parent application, or the application in which restriction first was required, would shorten the period of public uncertainty as to the scope of patent protection that eventually may be granted on the subject matter disclosed in the parent application. On the other hand, the applicant would have ample opportunity to perfect an appeal or to file a petition that may affect the propriety of a restriction requirement.

#### IX

The Commission clearly favors a high quality immediate examination system if it can be maintained without a constantly increasing backlog. Nevertheless, it is recommended that:

**Standby statutory authority should be provided for optional deferred examination.**

Although this recommendation reflects the consensus of the Commission, a split exists among the members as to when and how such authority should be exercised.

One view favors optional deferred examination going into effect, on a pilot basis, as soon as appropriate legislation can be enacted. Proponents of this view feel that early experience with optional deferred examination is desirable, and that it can be obtained effectively only by instituting a pilot program as early as possible. For example, the pilot program could apply to applications filed within a given period of time or to applications concerned with some given subject matter.

ALL ENTITIES

FY	Number of 2+ CPA/RCE Filings	Number of First CPA/RCE Filings with a CON/CIP Parent	Number of 2+ CONs/CIPs	Single CON/CIP with CPA/RCE in Parent	Total 2+ Filings	Total Filings	Total CPA/RCE Filings	Serialized Filings
1995	3	898	19,845	420	21,266	221,881	1,812	220,249
1996	107	3,272	8,530	328	13,287	191,744	5,019	188,725
1997	870	1,984	11,015	813	14,492	219,879	3,755	216,224
1998	1,200	5,233	7,217	1,294	14,944	238,887	19,819	219,068
1999	4,113	4,478	8,933	2,816	18,140	280,470	28,210	234,260
2000	6,083	3,786	8,430	3,855	22,143	297,222	32,387	264,855
2001	6,630	3,807	9,802	5,838	25,877	325,945	35,053	290,892
2002	6,755	3,883	11,553	8,540	28,711	326,028	34,782	291,246
2003	7,455	4,574	11,114	6,692	29,835	335,577	42,005	293,572
2004	8,582	4,880	11,242	7,100	31,804	357,199	46,089	311,101
2005	10,572	6,250	12,347	7,188	36,357	385,389	55,230	330,139
2006	18,025	8,400	13,239	7,482	45,128	420,051	74,467	345,584
2007	4,728	2,113	2,835	1,621	11,285	107,307	19,488	87,841

FY	Number of 3+ CPA/RCE Filings / No CON/CIP Parent	Number of 2nd CPA/RCE Filings with 1+ CON/CIP Parents	Number of 1st CPA/RCE Filings with 2+ CON/CIP Parents	Number of 1st CPA/RCE Filings with 1 CON/CIP Parent having 1+ CPAs/RCEs	Number of 3+ CONs/CIPs	2nd CON/CIP with 1+ CPA/RCE in Either Parent	1st CON/CIP with 2+ CPA/RCE in Parent	Total 3+ Filings	Total Filings	Total CPA/RCE Filings	Serialized Filings
1995	0	1	354	8	8,813	303	103	10,382	221,881	1,812	220,249
1996	0	111	1,006	12	3,631	189	71	5,800	191,744	5,019	188,725
1997	1	455	1,177	61	4,219	393	155	6,471	219,879	3,755	216,224
1998	22	888	2,095	132	3,087	389	282	6,616	238,887	19,819	219,068
1999	214	1,385	1,594	244	2,928	719	473	7,535	280,470	28,210	234,260
2000	888	1,231	1,321	410	3,876	1,034	785	9,149	297,222	32,387	264,855
2001	1,048	1,000	1,149	874	4,114	1,382	1,400	10,767	325,945	35,053	290,892
2002	1,098	849	1,160	850	5,185	1,584	1,663	12,367	326,028	34,782	291,246
2003	1,394	850	1,293	1,187	4,841	1,812	1,524	12,701	335,577	42,005	293,572
2004	1,492	922	1,409	1,494	4,738	1,879	1,640	13,282	357,199	46,089	311,101
2005	1,949	1,130	1,780	1,719	5,202	1,584	1,833	14,987	385,389	55,230	330,139
2006	2,956	1,836	2,401	2,321	5,753	1,834	1,881	18,582	420,051	74,467	345,584
2007	864	523	604	558	1,221	368	385	4,489	107,307	19,488	87,841

**Bahr, Robert**

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From: Morse, Gregory  
 Sent: Thursday, March 15, 2007 2:12 PM  
 To: Bahr, Robert  
 Subject: FW: Numbers

3320 Small entity; 8006 non-small entity

-----Original Message-----

From: Morse, Gregory  
 Sent: Wednesday, March 14, 2007 3:43 PM  
 To: Doll, John  
 Cc: Love, John; Focarino, Margaret (Peggy); Fleisher, Mindy; Bahr, Robert; Mielcarek, John  
 Subject: RE: Numbers

Number of 3 CON/CIP filings or 4+ CON/CIP/RCE/CPA filings, by TC, as of 3/13/07:

I apologize that these were not available when you asked.

(2006 numbers, 2006 filings 419,760 UPR, all based on analysis of PALM data)

TC	Filings	3 CON or 4+	Percent
1600	41,756	2,356	5.6%
1700	57,368	1,189	2.1%
2100	44,425	1,295	2.9%
2600	65,974	1,401	2.1%
2800	94,851	1,927	2.0%
3600	51,661	1,131	2.2%
3700	63,725	2,027	3.2%
UPR	419,760	11,326	2.7%

Of the 11326, 2621 were 3rd CON/CIP filings, and 8705 were 4+ of any combination.

In discussions with Undersecretary Dudas, we previously estimated the 8,705 as "about 8,000" and the overall number as "about 10,000".

-----Original Message-----

From: Doll, John  
 Sent: Monday, March 12, 2007 4:07 PM  
 To: Morse, Gregory  
 Subject: Numbers

Do we have the distribution of 3+ CONS / RCEs by TC ?!

BlackBerry Wireless

Error Rates by Claims at Filing					
# Claims	Total Cases	Total Errors Found	Error Rate	95% Confidence Level	
				Lower Limit	Upper Limit
FY05/FY06 Allowances and IPRs (exclude plant and design)					
<=25	12046	656	5.4%	5.0%	5.9%
26 - 39	3088	194	6.3%	5.4%	7.1%
40 - 49	970	65	6.7%	5.1%	8.3%
50 - 99	1109	88	7.9%	6.3%	9.5%
100 - 199	158	10	6.3%	2.5%	10.1%
200+	29	0	0.0%	n/a	n/a
FY05/FY06 Allowances Only (exclude plant and design)					
<=25	9026	350	3.9%	3.5%	4.3%
26 - 39	2205	113	5.1%	4.2%	6.0%
40 - 49	666	38	5.7%	3.9%	7.5%

DRAFT - for Management Discussions Only

UPR Filings and Refilings -- 1980+

<b>Refile Data</b> -- Applications That Claim Priority to, or Continue Prosecution of, Earlier Filed Cases <small>Only 1st priority claim is counted</small>										
Fiscal Year	UPR Filings	Continuations	CPAs	RCES	R129s	CIPs	CON, CIP, RCE, R129, CIP	CON+ as % of UPR	Fiscal Year	
FY 1980	93,800	6,054	0	0	0	4,667	10,721	11.4%	FY 1980	
FY 1981	107,513	8,253	0	0	0	5,828	14,081	13.1%	FY 1981	
FY 1982	116,731	9,149	0	0	0	5,986	15,135	13.0%	FY 1982	
FY 1983	97,448	6,803	0	0	0	5,102	11,905	12.2%	FY 1983	
FY 1984	109,539	9,578	0	0	0	6,070	15,648	14.3%	FY 1984	
FY 1985	116,427	11,960	0	0	0	6,782	18,742	16.1%	FY 1985	
FY 1986	121,611	14,156	0	0	0	7,549	21,705	17.8%	FY 1986	
FY 1987	126,407	15,622	0	0	0	7,935	23,557	18.6%	FY 1987	
FY 1988	137,069	17,139	0	0	0	8,670	25,809	18.8%	FY 1988	
FY 1989	151,331	19,450	0	0	0	9,621	29,071	19.2%	FY 1989	
FY 1990	163,561	20,317	0	0	0	10,610	30,927	18.9%	FY 1990	
FY 1991	167,715	22,761	0	0	0	11,372	34,133	20.4%	FY 1991	
FY 1992	172,539	26,518	0	0	0	12,499	39,017	22.6%	FY 1992	
FY 1993	174,553	28,356	0	0	0	12,906	41,262	23.6%	FY 1993	
FY 1994	186,123	32,033	0	0	0	13,959	45,992	24.7%	FY 1994	
FY 1995	221,304	37,900	0	0	1,612	16,086	55,598	25.1%	FY 1995	
FY 1996	191,016	23,999	0	0	5,016	10,629	39,644	20.8%	FY 1996	
FY 1997	220,773	29,021	0	0	3,737	11,089	43,847	19.9%	FY 1997	
FY 1998	240,090	14,311	17,462	0	2,356	11,455	45,584	19.0%	FY 1998	
FY 1999	261,013	13,591	25,258	0	949	12,456	52,254	20.0%	FY 1999	
FY 2000	293,244	17,958	30,888	1,035	444	13,948	64,273	21.9%	FY 2000	
FY 2001	326,081	21,799	22,407	12,440	206	14,689	71,541	21.9%	FY 2001	
FY 2002	333,688	25,889	8,981	25,682	118	14,602	75,272	22.6%	FY 2002	
FY 2003	333,452	26,283	2,334	39,582	87	14,747	83,033	24.9%	FY 2003	
FY 2004	355,527	28,087	1	46,043	42	15,082	89,255	25.1%	FY 2004	
FY 2005	384,228	30,937	0	55,248	9	15,631	101,825	26.5%	FY 2005	
FY 2006	419,760	32,710	0	74,793	24	15,757	123,284	29.4%	FY 2006	
FY 2007	523,526	42,102	0	53,276	0	16,618	133,954	33.5%	FY 2007	

\* Continuing Reissue counts are included in counts provided for Continuations, Divisions, CPAs, RCES and  
 \*\* FWC CONs and FWC DIVs are subsets of the Continuations and Divisionals columns, respectively.  
 ALL FYs updated December 12, 2006 --- FYs 2005 - 2007 updated on June 4, 2007

SUMMARY	FY 2004		ACTUAL DATA						
	6/24/05	11:30 07OMB.P39I	06 Pres Budget				FY 07 OMB Budget Submission		
YEAR	2004	2005	2006	2006	2007	2008	2009	2010	2011
EOY STAFF	3,681	4,173	4,723	4,705	5,235	5,771	6,325	6,842	7,326
PROF W-Y	3,550	3,687	4,149	4,200	4,749	5,325	5,921	6,451	6,954
# HIRED	443	950	900	1,000	1,000	1,000	1,000	1,000	1,000
# ATTRITED	336	415	337	427	430	423	404	443	479
Net Positions	107	535	563	573	570	577	596	557	521
OVERTIME(K)	13,373	14,360	20,000	18,227	21,559	25,280	29,410	32,043	34,541
OT HOURS	303,459	311,496	414,765	377,999	427,410	479,250	532,890	580,590	625,859
# BOY NEW	443,852	508,878	594,753	604,559	698,508	788,734	870,112	939,182	996,340
TOTAL D'TLS	12	25	25	28	29	31	32	32	32
AVG. GRADE	12.41	11.91	11.65	11.69	11.55	11.55	11.63	11.72	11.82
RECEIPTS	355,527	383,969	395,709	414,687	443,715	474,775	508,009	543,570	581,620
RECEIPTS TO BE EXAMINED	355,527	383,969	395,709	410,540	439,278	470,027	502,929	538,134	575,803
REG PROD	272,372	268,242	293,432	292,755	322,232	358,615	400,439	444,441	495,679
TOT PROD	287,752	284,029	314,454	311,913	343,894	382,905	427,448	473,867	527,400
DISPOSALS	287,188	279,769	292,536	307,234	338,736	377,161	421,036	466,759	519,489
FIRST ACTS	288,316	288,288	336,371	316,591	349,052	388,649	433,859	480,976	535,311
PEND FA	20.2	20.7	21.4	22.0	23.0	23.7	23.9	23.7	23.1
PEND IS/AB	27.6	31.0	31.3	31.3	32.0	33.0	33.7	33.9	33.7
# SPE'S	278	321	364	362	402	443	485	525	562
#PATS PRTD	170,664	170664	178,913	160,000	181,200	196,300	218,500	244,000	270,500

#2 added assumptions  
 1,000 Examiner Hiring Levels  
 Trainers for New Hires

Efficiency gain from Outsourcing the Search

FY 06/11 Attrition rate 10%/9%/8%/7%/7%/7%

Plus #1 BASE Assumptions  
 Adjusted for Complexity Creep  
 PGPub Outsourced Savings FY 06/11  
 PCT Outsourced Savings FY 06/11  
 1% Application Abandonments from OIPE  
 GS-12+ Tech Training



**07OMB.P39I Patent Production Model assumptions**

Fiscal Year	2005	2006	2007	2008	2009	2010	2011
<b>Receipts:</b>							
UPR Filings growth @ 8% FY 05/06 7% FY 07/11	383,969	414,687	443,715	474,775	508,009	543,570	581,620
Less 5% for discontinued continuation UPR Filings		0	0	0	0	0	0
		0	0	0	0	0	0
Less Abandonment Rate 1% during UPR Filings TO BE Examined		4,147	4,437	4,748	5,080	5,436	5,816
		410,540	439,278	470,027	502,929	538,134	575,803
Examiner Hires:	950	1,000	1,000	1,000	1,000	1,000	1,000
Attrition rate:	11%	10%	9%	8%	7%	7%	7%
<b>Production Rates:</b>							
Total complexity creep		-2.0%	-3.0%	-3.5%	-4.0%	-4.5%	-5.0%
Efficiency Gains		0.0	0.0	0.0	0.0031	0.0156	0.0281
<b>Production Units per examiner per grade per fiscal year</b>							
	FY 04 Actual						
GS-5	25.4	24.9	24.6	24.5	24.5	24.7	25.3
GS-7	31.5	30.9	30.6	30.4	30.4	30.7	31.4
GS-9	50.4	49.4	48.9	48.7	48.6	49.1	50.2
GS-11	62.7	61.4	60.8	60.5	60.4	61.1	62.5
GS-12	68.3	66.9	66.3	65.9	65.8	66.5	68.0
GS-13	81	79.4	78.6	78.2	78.0	78.9	80.7
GS-14	91.5	89.7	88.8	88.3	88.2	89.1	91.1
GS-15	103.1	101.0	100.0	99.5	99.3	100.4	102.7
<b>Patent Cooperation Treaty (PCT):</b>							
PCT Chapter I PUs redirected (paralegal)							
Chap I reduction 25%-07 50%-08 75%-09/11							
Chap II reduction 25%-08 50%-09/11							
Total PCT PU savings		1,250	4,078	9,496	15,284	15,856	16,462
Examiner PCT PUs		18,423	16,236	11,496	6,428	6,619	6,821
Examiner FTE		201	177	126	70	72	75
<b>Competitive Sourcing:</b>							
PGPub FTE redirected to examination		35	37	39	42	44	47
<b>Overtime:</b>							
Overtime hours per examiner FTE		90	90	90	90	90	90
<b>Examiner FTE lost/taken out of the examining corps:</b>							
Part-time		55	55	55	55	55	55
Quality initiatives		39	42	48	50	57	57
New Hire trainers		30	30	30	30	30	30
CLE Training		20	21	22	23	24	25
Exmr Tech Trng 8 hrs >=GS12		10	13.7	14.4	16	17.6	19.1
Allowance Rate		60.0%	63.0%	63.0%	63.0%	63.0%	63.0%

SUMMARY	FY 2005	ACTUAL DATA			FY 08 OMB Budget Submission			
	8/30/06 14:15 08OMB.P13v3							
YEAR	2005	2006	2007	2008	2009	2010	2011	2012
EOY STAFF	4,177	4,747	5,268	5,724	6,135	6,502	6,828	7,118
PROF W-Y	3,804	4,197	4,707	5,245	5,722	6,091	6,422	6,728
# HIRED	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	425	559	639	709	758	804	849	888
Net Positions	534	641	561	491	442	396	351	312
OVERTIME(K)	12,225	14,795	17,220	19,590	21,800	23,700	25,500	27,300
OT HOURS	278,669	330,329	376,558	419,575	457,310	486,952	513,078	549,295
# BOY NEW	508,878	586,599	693,132	800,996	909,171	1,023,423	1,152,761	1,301,308
TOTAL D'TLS	13	20	20	20	20	20	20	20
AVG. GRADE	12.17	11.57	11.31	11.28	11.33	11.39	11.47	11.56
RECEIPTS	384,228	414,966	445,923	479,176	517,511	558,911	603,624	651,914
RECEIPTS TO BE EXAMINED	384,228	410,817	441,463	474,385	512,335	553,322	597,588	645,395
REG PROD	275,008	285,467	305,918	335,468	364,603	388,338	411,418	434,089
TOT PROD	288,315	301,242	323,900	355,505	386,442	411,592	435,920	460,320
DISPOSALS	279,345	298,200	314,200	344,800	374,800	399,200	422,800	446,500
FIRST ACTS	297,285	304,284	333,599	366,210	398,084	423,984	449,041	474,140
PEND FA	21.1	22.0	23.7	24.9	25.5	26.5	27.6	28.9
PEND IS/AB	29.1	31.3	33.0	34.7	35.9	36.5	37.5	38.6
# SPE'S	294	365	405	440	471	500	525	547
#PATS PRTD	152104	160,000	177,397	192,820	210,062	224,810	238,419	251,957

**1,200 Examiner Hiring Levels**

FY 07 Overtime 80 hours per examiner FTE

FY 07/12 Limitation on Continuations - 1% reduction in filings

FY 06/12 Attrition rate 13%/13.2%/13.3%/13.4%/13.5%/13.6%/13.6%

FY 06/12 Filing rate 8%

Chap I reduction 25%-07 50%-08 75%-09/12

Chap II reduction 25%-08 50%-09/12

Adjusted for Complexity Factor

PCT Outsourced Savings FY 06/12

1% Application Abandonments from OIPE

**08OMB.P13v3 Patent Production Model assumptions**

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012			
<b>Receipts:</b>											
UPR Filings growth @ 8% FY 07/12	384,228	414,966	448,164	484,017	522,738	564,557	609,722	658,499			
Less 1% for discontinued continuation			2,241	4,840	5,227	5,646	6,097	6,585			
Less 10% for accelerated examination											
add back 20% of 5% of FY 09											
add back 20% of 5% of FY 10											
add back 20% of 5% of FY 11											
UPR Filings		414,966	445,923	479,176	517,511	558,911	603,624	651,914			
Less Abandonment Rate 1% during initial UPR Filings TO BE Examined		4,150	4,459	4,792	5,175	5,589	6,036	6,519			
		410,817	441,463	474,385	512,335	553,322	597,588	645,395			
Examiner Hires:	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200			
Attrition rate:	10%	13.0%	13.2%	13.3%	13.4%	13.5%	13.6%	13.6%			
Overtime hours per examiner		80	78	77	76	76	76	75			
<b>Production Rates:</b>											
Total complexity factor		-1.0%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%			
Efficiency Gains		0.0	0.0	0.0	0.0	0.0	0.0	0.0			
	FY 04	FY 05	2-YR Avg								
	Actual	Actual	of Actual		Production Units per examiner per grade per fiscal year						
GS-5	25.4	24.1	24.75		24.5	24.3	24.1	24.0	23.9	23.8	23.7
GS-7	31.5	31.4	31.45		31.1	30.8	30.7	30.5	30.4	30.2	30.1
GS-9	50.4	45.3	47.85		47.4	46.9	46.7	46.4	46.2	46.0	45.7
GS-11	62.7	54.2	58.45		57.9	57.3	57.0	56.7	56.4	56.1	55.9
GS-12	68.3	67.1	67.7		67.0	66.4	66.0	65.7	65.4	65.0	64.7
GS-13	81	79.4	80.2		79.4	78.6	78.2	77.8	77.4	77.0	76.7
GS-14	91.5	89.8	90.65		89.7	88.8	88.4	88.0	87.5	87.1	86.6
GS-15	103.1	99.3	101.2		100.2	99.2	98.7	98.2	97.7	97.2	96.7
<b>Patent Cooperation Treaty (PCT):</b>											
PCT Chapter I PUs redirected (paralegal)											
Chap I reduction 25%-07 50%-08 75%-09/12											
Chap II reduction 25%-08 50%-09/12											
Total PCT PU savings		913	1,250	2,680	7,446	12,768	13,628	14,540	15,507		
Examiner PCT PUs	14,234	14,806	14,339	10,594	6,355	6,642	6,946	7,268			
Examiner FTE	158	165	160	118	71	74	77	81			
<b>Examiner FTE lost/taken out of the examining corps:</b>											
Part-time	44	44	44	44	44	44	44	44			
Quality initiatives	12	5	4	6	17	28	34	40			
SP Quality Initiatives			55	43	31	31	32	35			
New Hire trainers	5	15	15	15	15	15	15	15			
CLE Training	8	29	34	38	43	48	53	58			
Exmtr Tech Trng 8 hrs	7	6	6	6	7	10	12	14			
Allowance Rate	58.7%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%			

*09OMB  
Budget  
Submission*

SUMMARY FY 2006 ACTUAL DATA  
7/31/07 12:15 09OMB.P15

YEAR	2006	2007	2008	2009	2010	2011	2012	2013
EOY STAFF	4,779	5,395	5,970	6,487	6,953	7,374	7,751	8,090
PROF W-Y	4,444	4,788	5,380	5,992	6,471	6,907	7,299	7,658
# HIRED	1,193	1,200	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	510	511	580	643	699	749	793	835
Net Positions	683	561	491	557	501	451	407	365
OVERTIME(K)	15,031	17,520	25,265	28,565	31,500	34,325	37,035	39,670
OT HOURS	341,760	383,118	541,122	599,223	647,215	690,643	745,171	781,828
# BOY NEW	574,922	674,333	772,435	838,152	874,485	888,564	890,622	883,263
TOTAL D'TLS	13	20	20	20	20	20	20	20
AVG. GRADE	11.59	11.52	11.53	11.6	11.73	11.84	11.94	12.05
RECEIPTS	419,760	440,748	458,158	481,065	505,119	530,375	556,893	584,738
RECEIPTS TO BE EXAMINED	419,760	436,341	453,576	476,255	500,068	525,071	551,324	578,891
REG PROD	298,937	313,578	354,766	403,063	446,038	480,256	512,626	542,417
TOT PROD	315,019	331,607	380,230	431,261	476,495	512,756	547,692	579,208
DISPOSALS	309,689	324,975	372,600	422,600	467,000	502,500	536,700	567,600
FIRST ACTS	320,349	338,239	387,859	439,921	485,990	523,012	558,684	590,817
PEND FA	22.6	23.7	26.9	27.5	27.6	27.6	27.8	27.7
PEND IS/AB	31.1	33.0	34.7	37.9	38.5	38.6	38.6	38.8
# SPE'S	365	415	460	500	535	565	595	621
#PATS PRD	164,115	160,500	175,757	199,793	222,096	240,463	257,279	272,728

1,200 Examiner Hiring Levels  
 FY 07 Overtime 100 hours per examiner FTE  
 Efficiency Gains:  
 Patents Hoteling Program - 2% FY 08/13  
 Examiner Lap Top Pilot - 3% nFY 08/13  
 Flat Goal Pilot - .5% FY 08/13  
 Calims, Continuations & IDS (Examiner Bonus Structure) - 1% in FY 08 / 2% FY 09/13

FY 07/13 Attrition rate 10%  
 FY 07/13 Filing rate 5%  
 Chap I reduction 25%-07/08/09 75%-10/13  
 Chap II reduction 25%-10 50%-11/13

Adjusted for Complexity Factor

1% Application Abandonments from OIPE  
 1% Application reduction for continuations

09OMB.P15 Patent Production Model assumptions

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015		
<b>Receipts:</b>													
UPR Filings growth @ 5% FY 07/13	384,228	419,760	440,748	462,785	485,925	510,221	535,732	562,519	590,644	620,177	651,186		
Less 1% for discontinued continuation				4,628	4,859	5,102	5,357	5,625	5,906	6,202	6,512		
<b>UPR Filings</b>		419,760	440,748	458,158	481,065	505,119	530,375	556,893	584,738	613,975	644,674		
Less Abandonment Rate 1% during initial		4,198	4,407	4,582	4,811	5,051	5,304	5,569	5,847	6,140	6,447		
<b>UPR Filings TO BE Examined</b>		415,562	436,341	453,576	476,255	500,068	525,071	551,324	578,891	607,835	638,227		
Examiner Hires:	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200		
Attrition rate:	10.6%	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%		
Overtime hours per examiner		80	80	100	100	100	100	100	100	100	100		
<b>Production Rates:</b>													
Total complexity factor			-1.0%	-1.5%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%	-5.0%		
Efficiency Gains		0.0	0.0	2.0%	5.5%	5.5%	5.5%	5.5%	5.5%	5.5%	5.5%		
	FY 04	FY 05	FY 06	Production Units per examiner per grade per fiscal year									
	Actual	Actual	Actual										
GS-5	25.4	24.1	25.1	25.1	24.8	25.2	26.0	25.8	25.7	25.6	25.5	25.3	25.2
GS-7	31.5	31.4	34.1	34.1	33.8	34.3	35.3	35.1	34.9	34.8	34.6	34.4	34.2
GS-9	50.4	45.3	49.9	49.9	49.4	50.1	51.6	51.4	51.1	50.9	50.6	50.4	50.1
GS-11	62.7	54.2	53.1	53.1	52.6	53.4	54.9	54.7	54.4	54.1	53.9	53.6	53.3
GS-12	68.3	67.1	65.6	65.6	64.9	65.9	67.9	67.5	67.2	66.9	66.5	66.2	65.9
GS-13	81	79.4	77.0	77.0	76.2	77.4	79.7	79.3	78.9	78.5	78.1	77.7	77.3
GS-14	91.5	89.8	87.9	87.9	87.0	88.3	91.0	90.5	90.0	89.6	89.1	88.7	88.3
GS-15	103.1	99.3	92.3	92.3	91.4	92.7	95.5	95.0	94.6	94.1	93.6	93.1	92.7
<b>Patent Cooperation Treaty (PCT):</b>													
PCT Chapter I PUs redirected (paralegal)													
Chap I reduction 25%-07 50%-08 75%-09/13													
Chap II reduction 25%-08 50%-09/13													
Total PCT PU savings	913	977	2,690	4,000	4,000	11,960	12,732	13,551	14,418	15,338	16,313		
Examiner PCT PUs	14,234	12,617	11,719	11,274	12,191	5,203	5,460	5,733	6,022	6,329	6,654		
Examiner FTE	158	144	133	128	139	59	62	65	68.5	72	75		
<b>Examiner FTE lost/taken out of the examining corps:</b>													
Part-time		44	44	44	44	44	44	44	44	44	44		
Quality initiatives		12.7	0	0	11	22	27	28	28	28	28		
SP Quality Initiatives			19	39	34	34	34	34	34	34	34		
New Hire trainers		29	15	15	15	15	15	15	15	15	15		
CLE Training		2	4	6	8	10	12	14	14	14	14		
Exam Tech Training		20	3	6	9	11	13	15	15	15	15		
<b>Allowance Rate</b>		53.6%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%		

PT actual number based on 60% TOD  
 Quality Initiatives 55 hours per GS-12  
 SP Quality Initiatives Target reviews, quality award, reclass, search strategy, and soft skills. FY 07 mid-year implementation  
 New Hire trainers are additional over FY 06 level.  
 CLE Training 2 FTE over base each year  
 Exmr tech trng is 8 hours per examiner over FY 06 base.

SUMMARY FY 2006 ACTUAL DATA  
5/9/07 12:15 09OMB.P17

YEAR	2006	2007	2008	2009	2010	2011	2012	2013
EOY STAFF	4,779	5,395	5,970	6,487	6,953	6,953	6,953	6,953
PROF W-Y	4,444	4,788	5,411	5,992	6,471	6,782	6,774	6,771
# HIRED	1,193	1,200	1,200	1,200	1,200	749	749	749
# ATTRITED	510	511	580	643	699	749	749	749
Net Positions	683	561	491	557	501	0	0	0
OVERTIME(K)	15,031	17,520	25,265	28,565	31,500	31,500	33,700	34,400
OT HOURS	341,760	383,118	541,122	599,223	647,215	633,802	678,068	677,966
# BOY NEW	574,922	674,333	755,854	784,980	757,258	691,029	593,796	479,949
TOTAL D'TLS	13	20	20	20	20	20	20	20
AVG. GRADE	11.59	11.52	11.54	11.63	11.73	11.95	12.25	12.45
RECEIPTS	419,760	419,760	419,760	419,760	419,760	419,760	419,760	419,760
RECEIPTS TO BE EXAMINED	419,760	419,760	419,760	419,760	419,760	419,760	419,760	419,760
REG PROD	298,937	313,578	357,503	410,543	446,038	477,020	491,244	502,470
TOT PROD	315,019	331,607	382,967	438,741	476,495	506,846	523,153	534,374
DISPOSALS	309,689	324,975	375,300	430,000	467,000	496,700	512,700	523,700
FIRST ACTS	320,349	338,239	390,634	447,482	485,990	516,993	533,606	545,049
PEND FA	22.6	23.7	23.9	25.1	23.3	20.5	16.2	12.6
PEND IS/AB	31.1	33.0	34.7	34.9	36.1	34.3	31.5	27.2
# SPE'S	365	415	460	500	535	565	595	621
#PATS PRD	164,115	160,500	176,751	202,829	222,991	238,340	247,790	253,752
New Applications/Examiner		125	127	121	109	99	85	69

1,200 Examiner Hiring Levels

FY 07 Overtime 100 hours per examiner FTE

Efficiency Gains:

Patents Hoteling Program - 2% FY 08/13

Examiner Lap Top Pilot - 3% nFY 08/13

Flat Goal Pilot - .5% FY 08/13

Calims, Continuations & IDS (Examiner Bonus Structure) - 1% in FY 08 / 2% FY 09/13

FY 07/13 Attrition rate 10%

FY 07/13 Filing rate 0%

Chap I reduction 25%-07 50%-08 75%-09/13

Chap II reduction 25%-08 50%-09/13

Adjusted for Complexity Factor

1% Application Abandonments from OIPE

1% Application reduction for continuations

09OMB.P17 Patent Production Model assumptions

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015		
<b>Receipts:</b>													
UPR Filings growth @ 8% FY 07/13	384,228	419,760	419,760	419,760	419,760	419,760	419,760	419,760	419,760	419,760	419,760		
Less 1% for discontinued continuation				4,198	4,198	4,198	4,198	4,198	4,198	4,198	4,198		
<b>UPR Filings</b>		419,760	419,760	415,562	415,562	415,562	415,562	415,562	415,562	415,562	415,562		
Less: Abandonment Rate 1% during initial		4,198	4,198	4,156	4,156	4,156	4,156	4,156	4,156	4,156	4,156		
<b>UPR Filings TO BE Examined</b>		415,562	415,562	411,407	411,407	411,407	411,407	411,407	411,407	411,407	411,407		
<b>Examiner Hires:</b>	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200		
<b>Attrition rate:</b>	10.6%	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%		
<b>Overtime hours per examiner</b>		80	80	100	100	100	100	100	100	100	100		
<b>Production Rates:</b>													
Total complexity factor			-1.0%	-1.5%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%	-5.0%		
<b>Efficiency Gains</b>		0.0	0.0	2.0%	5.5%	5.5%	5.5%	5.5%	5.5%	5.5%	5.5%		
	FY 04	FY 05	FY 06	Production Units per examiner per grade per fiscal year									
	Actual	Actual	Actual										
GS-5	25.4	24.1	25.1	25.1	24.8	25.2	26.0	25.8	25.7	25.6	25.5	25.3	25.2
GS-7	31.5	31.4	34.1	34.1	33.8	34.3	35.3	35.1	34.9	34.8	34.6	34.4	34.2
GS-9	50.4	45.3	49.9	49.9	49.4	50.1	51.6	51.4	51.1	50.9	50.6	50.4	50.1
GS-11	62.7	54.2	53.1	53.1	52.6	53.4	54.9	54.7	54.4	54.1	53.9	53.6	53.3
GS-12	68.3	67.1	65.6	65.6	64.9	65.9	67.9	67.5	67.2	66.9	66.5	66.2	65.9
GS-13	81	79.4	77.0	77.0	76.2	77.4	79.7	79.3	78.9	78.5	78.1	77.7	77.3
GS-14	91.5	89.8	87.9	87.9	87.0	88.3	91.0	90.5	90.0	89.6	89.1	88.7	88.3
GS-15	103.1	99.3	92.3	92.3	91.4	92.7	95.5	95.0	94.6	94.1	93.6	93.1	92.7
<b>Patent Cooperation Treaty (PCT):</b>													
PCT Chapter I PUs redirected (paralegal)													
Chap I reduction 25%-07 50%-08 75%-09/13													
Chap II reduction 25%-08 50%-09/13													
Total PCT PU savings		913	977	2,690	6,725	11,231	11,960	12,732	13,551	14,418	15,338	16,313	
Examiner PCT PUs		14,234	12,617	11,719	8,549	4,960	5,203	5,460	5,733	6,022	6,329	6,554	
Examiner FTE		158	144	133	97	56	59	62	65	68.5	72	76	
<b>Examiner FTE lost/taken out of the examining corps:</b>													
Part-time		44		44	44	44	44	44	44	44	44	44	
Quality initiatives		12.7		0	0	11	22	27	28	28	28	28	
SP Quality Initiatives				19	39	34	34	34	34	34	34	34	
New Hire trainers			29	15	15	15	15	15	15	15	15	15	
CLE Training			2	4	6	8	10	12	14	14	14	14	
Exam Tech Trng			20	3	6	9	11	13	15	15	15	15	
<b>Allowance Rate</b>		53.6%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	

PI actual number based on 60% TOD  
 Quality Initiatives 55 hours per GS-12  
 SP Quality Initiatives Target reviews, quality award, reclass, search strategy, and soft skills. FY 07 mid-year implementation  
 New Hire trainers are additional over FY 06 level.  
 CLE Training 2 FTE over base each year  
 Exmr tech trng is 8 hours per examiner over FY 06 base.

SUMMARY FY 2006 ACTUAL DATA  
5/9/07 12:15 09OMB.P16

YEAR	2006	2007	2008	2009	2010	2011	2012	2013
EOY STAFF	4,779	5,395	5,970	6,487	6,953	7,374	7,751	8,090
PROF W-Y	4,444	4,788	5,411	5,992	6,471	6,907	7,299	7,658
# HIRED	1,193	1,200	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	510	511	580	643	699	749	793	835
Net Positions	683	561	491	557	501	451	407	365
OVERTIME(K)	15,031	17,520	25,265	28,565	31,500	34,325	37,035	39,670
OT HOURS	341,760	383,118	541,122	599,223	647,215	690,643	745,171	781,828
# BOY NEW	574,922	674,333	755,854	784,980	757,258	691,029	587,776	448,853
TOTAL D'TLS	13	20	20	20	20	20	20	20
AVG. GRADE	11.59	11.52	11.54	11.63	11.73	11.84	11.94	12.05
RECEIPTS	419,760	419,760	419,760	419,760	419,760	419,760	419,760	419,760
RECEIPTS TO BE EXAMINED	419,760	419,760	419,760	419,760	419,760	419,760	419,760	419,760
REG PROD	298,937	313,578	357,503	410,543	446,038	480,256	512,626	542,417
TOT PROD	315,019	331,607	382,967	438,741	476,495	512,756	547,692	579,208
DISPOSALS	309,689	324,975	375,300	430,000	467,000	502,500	536,700	567,600
FIRST ACTS	320,349	338,239	390,634	447,482	485,990	523,012	558,684	590,817
PEND FA	22.6	23.7	23.9	25.1	23.3	20.3	15.3	10.4
PEND IS/AB	31.1	33.0	34.7	34.9	36.1	34.3	31.3	26.3
# SPE'S	365	415	460	500	535	565	595	621
#PATS PRTD	164,115	160,500	176,751	202,829	222,991	240,463	257,279	272,728
New Applications/Examiner		125	127	121	109	94	76	55

1,200 Examiner Hiring Levels  
 FY 07 Overtime 100 hours per examiner FTE  
 Efficiency Gains:  
 Patents Hoteling Program - 2% FY 08/13  
 Examiner Lap Top Pilot - 3% nFY 08/13  
 Flat Goal Pilot - .5% FY 08/13  
 Calims, Continuations & IDS (Examiner Bonus Structure) - 1% in FY 08 / 2% FY 09/13

FY 07/13 Attrition rate 10%  
 FY 07/13 Filing rate 0%  
 Chap I reduction 25%-07 50%-08 75%-09/13  
 Chap II reduction 25%-08 50%-09/13

Adjusted for Complexity Factor.

1% Application Abandonments from OIPE  
 1% Application reduction for continuations



09OMB.P16 Patent Production Model assumptions

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015		
<b>Receipts:</b>													
UPR Fees growth @ 8% FY 07/13	384,228	419,760	419,760	419,760	419,760	419,760	419,760	419,760	419,760	419,760	419,760		
Less 1% for discontinued continuation				4,198	4,198	4,198	4,198	4,198	4,198	4,198	4,198		
<b>UPR Filings</b>		419,760	419,760	415,562	415,562	415,562	415,562	415,562	415,562	415,562	415,562		
Less Abandonment Rate 1% during initial UPR Filings TO BE Examined		4,198	4,198	4,156	4,156	4,156	4,156	4,156	4,156	4,156	4,156		
		415,562	415,562	411,407	411,407	411,407	411,407	411,407	411,407	411,407	411,407		
<b>Examiner Hires:</b>	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200		
<b>Attrition rate:</b>	10.6%	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%		
<b>Overtime hours per examiner</b>		80	80	100	100	100	100	100	100	100	100		
<b>Production Rates:</b>													
Total complexity factor			-1.0%	-1.5%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%	-5.0%		
Efficiency Gains		0.0	0.0	2.0%	5.5%	5.5%	5.5%	5.5%	5.5%	5.5%	5.5%		
	FY 04	FY 05	FY 06	Production Units per examiner per grade per fiscal year									
	Actual	Actual	Actual										
GS-5	25.4	24.1	25.1	25.1	24.8	25.2	26.0	25.8	25.7	25.6	25.5	25.3	25.2
GS-7	31.5	31.4	34.1	34.1	33.8	34.3	35.3	35.1	34.9	34.8	34.6	34.4	34.2
GS-9	50.4	45.3	49.9	49.9	49.4	50.1	51.6	51.4	51.1	50.9	50.6	50.4	50.1
GS-11	62.7	54.2	53.1	53.1	52.6	53.4	54.9	54.7	54.4	54.1	53.9	53.6	53.3
GS-12	68.3	67.1	65.6	65.6	64.9	65.9	67.9	67.5	67.2	66.9	66.5	66.2	65.9
GS-13	81	79.4	77.0	77.0	76.2	77.4	79.7	79.3	78.9	78.5	78.1	77.7	77.3
GS-14	91.5	89.8	87.9	87.9	87.0	88.3	91.0	90.5	90.0	89.6	89.1	88.7	88.3
GS-15	103.1	99.3	92.3	92.3	91.4	92.7	95.5	95.0	94.6	94.1	93.6	93.1	92.7
<b>Patent Cooperation Treaty (PCT):</b>													
PCT Chapter I PUs redirected (paralegal)													
Group I reduction 25%-07 50%-08 75%-09/13													
Group II reduction 25%-08 50%-09/13													
Total PCT PU savings		913	977	2,690	6,725	11,231	11,960	12,732	13,551	14,418	15,338	16,313	
Examiner PCT PUs		14,234	12,617	11,719	8,549	4,960	5,203	5,460	5,733	6,022	6,329	6,654	
Examiner FTE		156	144	133	97	56	59	62	65	68.5	72	76	
<b>Examiner FTE lost/taken out of the examining corps:</b>													
Part-time			44	44	44	44	44	44	44	44	44	44	
Quality initiatives		12.7	0	0	11	22	27	28	28	28	28	28	
SP Quality Initiatives			19	39	34	34	34	34	34	34	34	34	
New Hire trainers			29	15	15	15	15	15	15	15	15	15	
CLE Training			2	4	6	8	10	12	14	14	14	14	
Exam tech training			20	3	6	9	11	13	15	15	15	15	
<b>Allowance Rate</b>		53.6%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	

PT actual number based on 60% TOD

Quality Initiatives 55 hours per GS-12

SP Quality Initiatives Target reviews, quality award, reclass, search strategy, and soft skills. FY 07 mid-year implementation

New Hire trainers are additional over FY 06 level.

CLE Training 2 FTE over base each year

Exam tech trng is 8 hours per examiner over FY 06 base.

SUMMARY FY 2006 ACTUAL DATA  
7/30/07 12:15 09OMB.P14

YEAR	2006	2007	2008	2009	2010	2011	2012
EOY STAFF	4,779	5,268	7,180	8,783	10,230	11,551	12,753
PROF W-Y	4,444	4,707	5,768	7,504	9,026	10,406	11,672
# HIRED	1,193	1,200	2,500	2,500	2,500	2,500	2,500
# ATTRITED	510	639	580	772	943	1074	1208
Net Positions	683	561	491	1728	1557	1426	1292
OVERTIME(K)	15,031	17,220	25,265	28,565	31,500	34,325	37,035
OT HOURS	341,760	376,558	541,122	599,223	647,215	690,643	745,171
# BOY NEW	574,922	693,132	784,901	865,103	872,397	826,969	730,654
TOTAL D'TLS	13	20	20	20	20	20	20
AVG. GRADE	11.59	11.31	11.19	10.89	10.95	11.11	11.3
RECEIPTS	419,760	445,923	479,176	523,512	565,389	610,632	659,439
RECEIPTS TO BE EXAMINED	419,760	441,463	479,857	518,277	559,735	604,526	652,845
REG PROD	298,937	305,918	366,363	472,794	562,824	654,570	748,098
TOT PROD	315,019	323,900	391,827	500,992	593,281	687,070	783,164
DISPOSALS	309,689	314,200	384,000	491,000	581,400	673,300	767,500
FIRST ACTS	320,349	333,599	399,655	510,983	605,163	700,841	798,829
PEND FA	22.6	23.7	24.0	23.7	21.2	18.0	14.1
PEND IS/AB	31.1	33.0	34.7	35.0	34.7	32.2	29.0
# SPE'S	365	415	550	675	785	890	980
#PATS PRTD	164,115	160,500	179,954	226,216	272,255	316,836	362,441

2,500 Examiner Hiring Levels

FY 07 Overtime 100 hours per examiner FTE

Efficiency Gains:

Patents Hoteling Program - 2% FY 08/15

Examiner Lap Top Pilot - 3% nFY 08/15

Flat Goal Pilot - .5% FY 08/15

Calims, Continuations & IDS (Examiner Bonus Structure) - 1% in FY 08 / 2% FY 09/15

FY 07/15 Attrition rate 10%

FY 07/15 Filing rate 8%

Chap I reduction 25%-07 50%-08 75%-09/15

Chap II reduction 25%-08 50%-09/15

Adjusted for Complexity Factor

1% Application Abandonments from OIPE

1% Application reduction for continuations

09OMB.P14 Patent Production Model assumptions

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	
<b>Receipts:</b>												
UPR Filings growth @ 8% FY 07-13	384,228	419,760	453,340	489,600	528,800	571,100	616,800	666,100	719,400	776,900	839,100	
Less 1% for discontinued continuation				4,896	5,288	5,711	6,168	6,661	7,194	7,769	8,391	
<b>UPR Filings</b>		419,760	453,340	484,704	523,512	565,389	610,632	659,439	712,206	769,131	830,709	
Less Abandonment Rate 1% during initial		4,198	4,533	4,847	5,235	5,654	6,106	6,594	7,122	7,691	8,307	
<b>UPR Filings TO BE Examined</b>		415,562	448,807	479,857	518,277	559,735	604,526	652,845	705,084	761,440	822,402	
<b>Examiner Hires:</b>	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	
<b>Attrition rate:</b>	10.6%	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%	
<b>Overtime hours per examiner</b>		80	80	100	100	100	100	100	100	100	100	
<b>Production Rates:</b>												
Total complexity factor			-1.0%	-1.5%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%	-5.0%	
Efficiency Gains		0.0	0.0	2.0%	5.5%	5.5%	5.5%	5.5%	5.5%	5.5%	5.5%	
	FY 04	FY 05	FY 06	Production Units per examiner per grade per fiscal year								
	Actual	Actual	Actual									
GS-5	25.4	24.1	25.1	25.1	24.8	25.2	26.0	25.8	25.7	25.6	25.3	25.2
GS-7	31.5	31.4	34.1	34.1	33.8	34.3	35.3	35.1	34.9	34.8	34.6	34.2
GS-9	50.4	45.3	49.9	49.9	49.4	50.1	51.6	51.4	51.1	50.9	50.6	50.1
GS-11	62.7	54.2	53.1	53.1	52.6	53.4	54.9	54.7	54.4	54.1	53.9	53.3
GS-12	68.3	67.1	65.6	65.6	64.9	65.9	67.9	67.5	67.2	66.9	66.5	65.9
GS-13	81	79.4	77.0	77.0	76.2	77.4	79.7	79.3	78.9	78.5	78.1	77.3
GS-14	91.5	89.8	87.9	87.9	87.0	88.3	91.0	90.5	90.0	89.6	89.1	88.3
GS-15	103.1	99.3	92.3	92.3	91.4	92.7	95.5	95.0	94.6	94.1	93.6	92.7
<b>Patent Cooperation Treaty (PCT):</b>												
PCT Chapter I PUs redirected (paralegal)												
Chap I reduction 25%-07 50%-08 75%-09/13												
Chap II reduction 25%-08 50%-09/13												
Total PCT PU savings		913	977	2,690	6,725	11,231	11,960	12,732	13,551	14,418	15,338	16,313
<b>Examiner PCT PUs</b>	14,234	12,617	11,719	8,549	4,960	5,203	5,460	5,733	6,022	6,329	6,654	
Examiner FTE	158	144	133	97	56	59	62	65	68.5	72	76	
<b>Examiner FTE lost/taken out of the examining corps:</b>												
Part-time		44	44	44	44	44	44	44	44	44	44	
Quality initiatives		12.7	0	0	11	22	27	28	28	28	28	
SP Quality Initiatives			19	39	34	34	34	34	34	34	34	
New Hire trainers		29	15	15	15	15	15	15	15	15	15	
CLE Training		2	4	6	8	10	12	14	14	14	14	
Exam Tech Trng		20	3	6	9	11	13	15	15	15	15	
<b>Allowance Rate</b>		53.6%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	

P1 actual number based on 60% TOD  
 Quality Initiatives 55 hours per GS-12  
 SP Quality Initiatives Target reviews, quality award, reclass, search strategy, and soft skills, FY 07 mid-year implementation  
 New Hire trainers are additional over FY 06 level.  
 CLE Training 2 FTE over base each year  
 Exam tech trng is 8 hours per examiner over FY 06 base.

SUMMARY FY 2006 ACTUAL DATA  
5/9/07 12:15 09OMB.P13

YEAR	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
EOY STAFF	4,779	5,395	5,970	6,487	6,953	7,374	7,751	8,090	8,391	8,661
PROF W-Y	4,444	4,788	5,411	5,992	6,471	6,907	7,299	7,658	7,975	8,259
# HIRED	1,193	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	510	511	580	643	699	749	793	835	871	904
Net Positions	683	561	491	557	501	451	407	365	329	296
OVERTIME(K)	15,031	17,520	25,265	28,565	31,500	34,325	37,035	39,670	42,180	44,600
OT HOURS	341,760	383,118	541,122	599,223	647,215	690,643	745,171	781,828	831,296	878,990
# BOY NEW	574,922	674,333	759,968	797,362	786,468	745,799	677,012	581,640	463,400	324,753
TOTAL D'TLS	13	20	20	20	20	20	20	20	20	20
AVG. GRADE	11.59	11.52	11.54	11.63	11.73	11.84	11.94	12.05	12.14	12.23
RECEIPTS	419,760	428,155	432,351	440,998	449,818	458,814	467,991	477,351	486,898	496,636
RECEIPTS TO BE EXAMINED	419,760	423,874	428,028	436,588	445,320	454,226	463,311	472,577	482,029	491,669
REG PROD	298,937	313,578	357,503	410,543	446,038	480,256	512,626	542,417	569,369	593,568
TOT PROD	315,019	331,607	382,967	438,741	476,495	512,756	547,692	579,208	608,488	634,932
DISPOSALS	309,689	324,975	375,300	430,000	467,000	502,500	536,700	567,600	596,300	622,200
FIRST ACTS	320,349	338,239	390,634	447,482	485,990	523,012	558,684	590,817	620,676	647,663
PEND FA	22.6	23.0	22.9	21.7	19.7	17.2	14.4	11.4	8.6	6.0
PEND IS/AB	31.1	33.0	34.0	33.9	32.7	30.7	28.2	25.4	22.4	19.6
# SPE'S	365	415	460	500	535	565	595	621	649	675
#PATS PRTD	164,115	160,500	176,751	202,829	222,991	240,463	257,279	272,728	286,973	299,856
		448807	479857	518277	559735	604526	652845	705084	761440	827402
		37400.58	39988.08	43189.75	46644.583	50377.1667	54403.75	58757	63453.3333	68533.5
		20.31958	19.93999	18.209598	15.988973	13.4388662	10.6911748	7.88671988	5.11798172	2.46243078

1,200 Examiner Hiring Levels  
 FY 07 Overtime 100 hours per examiner FTE  
 Efficiency Gains:  
 Patents Hoteling Program - 2% FY 08/15  
 Examiner Lap Top Pilot - 3% nFY 08/15  
 Flat Goal Pilot - .5% FY 08/15  
 Calims, Continuations & IDS (Examiner Bonus Structure) - 1% in FY 08 / 2% FY 09/15

FY 07/15 Attrition rate 10%  
 FY 07/15 Filing rate 2%  
 Chap I reduction 25%-07 50%-08 75%-09/15  
 Chap II reduction 25%-08 50%-09/15

Adjusted for Complexity Factor

1% Application Abandonments from OIPE  
 1% Application reduction for continuations

09OMB.P13 Patent Production Model assumptions

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015		
<b>Receipts:</b>													
UPR Filings growth @ 5% FY 07/13	384,228	419,760	428,155	436,718	445,453	454,362	463,449	472,718	482,172	491,816	501,652		
Less 1% for discontinued continuation				4,367	4,455	4,544	4,634	4,727	4,822	4,918	5,017		
<b>UPR Filings</b>		419,760	428,155	432,351	440,998	449,818	458,814	467,991	477,351	486,898	496,636		
Less Abandonment Rate 1% during initial		4,198	4,282	4,324	4,410	4,498	4,588	4,680	4,774	4,869	4,966		
<b>UPR Filings TO BE Examined</b>		415,562	423,874	428,026	436,588	445,320	454,226	463,311	472,577	482,029	491,669		
<b>Examiner Hires:</b>	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200		
<b>Attrition rate:</b>	10.6%	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%		
<b>Overtime hours per examiner</b>		80	80	100	100	100	100	100	100	100	100		
<b>Production Rates:</b>													
Total complexity factor			-1.0%	-1.5%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%	-5.0%		
Efficiency Gains		0.0	0.0	2.0%	5.5%	5.5%	5.5%	5.5%	5.5%	5.5%	5.5%		
	FY 04	FY 05	FY 06	Production Units per examiner per grade per fiscal year									
	Actual	Actual	Actual										
GS-5	25.4	24.1	25.1	25.1	24.8	25.2	26.0	25.8	25.7	25.6	25.5	25.3	25.2
GS-7	31.5	31.4	34.1	34.1	33.8	34.3	35.3	35.1	34.9	34.8	34.6	34.4	34.2
GS-9	50.4	45.3	49.9	49.9	49.4	50.1	51.6	51.4	51.1	50.9	50.6	50.4	50.1
GS-11	62.7	54.2	53.1	53.1	52.6	53.4	54.9	54.7	54.4	54.1	53.9	53.6	53.3
GS-12	68.3	67.1	65.6	65.6	64.9	65.9	67.9	67.5	67.2	66.9	66.5	66.2	65.9
GS-13	81	79.4	77.0	77.0	76.2	77.4	79.7	79.3	78.9	78.5	78.1	77.7	77.3
GS-14	91.5	89.8	87.9	87.9	87.0	88.3	91.0	90.5	90.0	89.6	89.1	88.7	88.3
GS-15	103.1	99.3	92.3	92.3	91.4	92.7	95.5	95.0	94.6	94.1	93.6	93.1	92.7
<b>Patent Cooperation Treaty (PCT):</b>													
PCT Chapter I PUs redirected (paralegal)													
Group I reduction 25%-07 50%-08 75%-09/13													
Group II reduction 25%-08 50%-09/13													
Total PCT PU savings		913	977	2,690	6,725	11,231	11,960	12,732	13,551	14,418	15,338	16,313	
Examiner PCT PUs		14,234	12,617	11,719	8,549	4,960	5,203	5,460	5,733	6,022	6,329	6,654	
Examiner FTE		158	144	133	97	56	59	62	65	68.5	72	76	
<b>Examiner FTE lost/taken out of the examining corps:</b>													
Part-time		44	44	44	44	44	44	44	44	44	44	44	
Quality initiatives		12.7	0	0	11	22	27	28	28	28	28	28	
SP Quality Initiatives			19	39	34	34	34	34	34	34	34	34	
New Hire trainers		29	15	15	15	15	15	15	15	15	15	15	
CLE Training		2	4	6	8	10	12	14	14	14	14	14	
Exam tech training		20	3	6	9	11	13	15	15	15	15	15	
<b>Allowance Rate</b>		53.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	

PT actual number based on 60% TOD  
 Quality Initiatives 55 hours per GS-12  
 SP Quality Initiatives Target reviews, quality award, reclass, search strategy, and soft skills. FY 07 mid-year implementation  
 New Hire trainers are additional over FY 06 level.  
 CLE Training 2 FTE over base each year  
 Exam tech training is 8 hours per examiner over FY 06 base.

SUMMARY FY 2006 ACTUAL DATA  
 6/29/07 12:15 09OMB.P5

YEAR	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
EOY STAFF	4,779	5,268	5,724	6,487	6,953	7,374	7,751	8,090	8,391	8,661
PROF W-Y	4,444	4,707	5,245	5,992	6,471	6,907	7,299	7,658	7,975	8,259
# HIRED	1,193	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	510	639	709	643	699	749	793	835	871	904
Net Positions	683	561	491	557	501	451	407	365	329	296
OVERTIME(K)	15,031	17,220	25,265	28,565	31,500	34,325	37,035	39,670	42,180	44,600
OT HOURS	341,760	376,558	541,122	599,223	647,215	690,643	745,171	781,828	831,296	878,990
# BOY NEW	574,922	693,132	772,435	835,377	864,150	878,229	880,287	872,928	861,002	848,161
TOTAL D'TLS	13	20	20	20	20	20	20	20	20	20
AVG GRADE	11.59	11.31	11.54	11.63	11.73	11.84	11.94	12.05	12.14	12.23
RECEIPTS	419,760	440,748	458,158	481,065	505,119	530,375	556,893	584,738	613,975	644,674
RECEIPTS TO BE EXAMINED	419,760	436,341	453,576	476,255	500,068	525,071	551,324	578,891	607,835	638,227
REG PROD	298,937	305,918	357,503	410,543	446,038	480,256	512,626	542,417	569,369	593,568
TOT PROD	315,019	323,900	382,967	438,741	476,495	512,756	547,692	579,208	608,488	634,932
DISPOSALS	309,689	314,200	375,300	430,000	467,000	502,500	536,700	567,600	596,300	622,200
FIRST ACTS	320,349	333,599	390,634	447,482	485,990	523,012	558,684	590,817	620,676	647,663
PEND FA	22.6	23.7	24.9							
PEND IS/AB	31.1	33.0	34.7							
# SPE'S	365	415	460	500	535	565	595	621	645	666
#PATS PRTD	164,115	160,500	166,146	190,659	209,611	226,036	241,842	256,365	269,755	281,865

#### 1,200 Examiner Hiring Levels

FY 07 Overtime 100 hours per examiner FTE

#### Efficiency Gains:

Patents Hoteling Program - 2% FY 08/15

Examiner Lap Top Pilot - 3% nFY 08/15

Flat Goal Pilot - .5% FY 08/15

Claims, Continuations & IDS (Examiner Bonus Structure) - 1% in FY 08 / 2% FY 09/15

Allowance rate reduced to 47% for KSR

FY 07/15 Attrition rate 10%

FY 07/15 Filing rate 5% due to KSR

Chap I reduction 25%-07 50%-08 75%-09/15

Chap II reduction 25%-08 50%-09/15

Adjusted for Complexity Factor

1% Application Abandonments from OIPE

1% Application reduction for continuations

09OMB.P5 Patent Production Model assumptions

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015		
<b>Receipts:</b>													
UPR Filings growth @ 6% FY 07/13	384,228	419,760	440,748	462,785	485,925	510,221	535,732	562,519	590,644	620,177	651,186		
Less 1% for discontinued continuation				4,628	4,859	5,102	5,357	5,625	5,906	6,202	6,512		
<b>UPR Filings</b>		419,760	440,748	458,158	481,065	505,119	530,375	556,893	584,738	613,975	644,674		
Less Abandonment Rate 1% during initial		4,198	4,407	4,582	4,811	5,051	5,304	5,569	5,847	6,140	6,447		
<b>UPR Filings TO BE Examined</b>		415,562	436,341	453,576	476,255	500,068	525,071	551,324	578,891	607,835	638,227		
<b>Examiner Hires:</b>	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200		
<b>Attrition rate:</b>	10.6%	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%		
<b>Overtime hours per examiner</b>		80	80	100	100	100	100	100	100	100	100		
<b>Production Rates:</b>													
Total complexity factor			-1.0%	-1.5%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%	-5.0%		
<b>Efficiency Gains</b>		0.0	0.0	2.0%	5.5%	5.5%	5.5%	5.5%	5.5%	5.5%	5.5%		
	FY 04	FY 05	FY 06	Production Units per examiner per grade per fiscal year									
	Actual	Actual	Actual										
GS-5	25.4	24.1	25.1	25.1	24.8	25.2	26.0	25.8	25.7	25.6	25.5	25.3	25.2
GS-7	31.5	31.4	34.1	34.1	33.8	34.3	35.3	35.1	34.9	34.8	34.6	34.4	34.2
GS-9	50.4	45.3	49.9	49.9	49.4	50.1	51.6	51.4	51.1	50.9	50.6	50.4	50.1
GS-11	62.7	54.2	53.1	53.1	52.6	53.4	54.9	54.7	54.4	54.1	53.9	53.6	53.3
GS-12	68.3	67.1	65.6	65.6	64.9	65.9	67.9	67.5	67.2	66.9	66.5	66.2	65.9
GS-13	81	79.4	77.0	77.0	76.2	77.4	79.7	79.3	78.9	78.5	78.1	77.7	77.3
GS-14	91.5	89.8	87.9	87.9	87.0	88.3	91.0	90.5	90.0	89.6	89.1	88.7	88.3
GS-15	103.1	99.3	92.3	92.3	91.4	92.7	95.5	95.0	94.6	94.1	93.6	93.1	92.7
<b>Patent Cooperation Treaty (PCT):</b>													
PCT Chapter I PUs redirected (paralegal)													
Chap I reduction 25%-07 50%-08 75%-09/13													
Chap II reduction 25%-08 50%-09/13													
Total PCT PU savings		913	977	2,690	6,725	11,231	11,960	12,732	13,551	14,418	15,338	16,313	
Examiner PCT PUs		14,234	12,617	11,719	8,549	4,960	5,203	5,460	5,733	6,022	6,329	6,654	
Examiner FTE		158	144	133	97	56	59	62	65	68.5	72	76	
<b>Examiner FTE lost/taken out of the examining corps:</b>													
Part-time		44		44	44	44	44	44	44	44	44	44	
Quality initiatives		12.7		0	11	22	27	28	28	28	28	28	
SP Quality Initiatives				19	39	34	34	34	34	34	34	34	
New Hire trainers			29	15	15	15	15	15	15	15	15	15	
CLE Training			2	4	6	8	10	12	14	14	14	14	
Exam Tech Training			20	3	6	9	11	13	15	15	15	15	
<b>Allowance Rate</b>		53.6%	47.0%	47.0%	47.0%	47.0%	47.0%	47.0%	47.0%	47.0%	47.0%	47.0%	

PT actual number based on 60% TOD

Quality initiatives 55 hours per GS-12

SP Quality Initiatives Target reviews, quality award, reclass, search strategy, and soft skills. FY 07 mid-year implementation

New Hire trainers are additional over FY 06 level.

CLE Training 2 FTE over base each year

Exam tech training is 8 hours per examiner over FY 06 base.

SUMMARY FY 2006 ACTUAL DATA  
6/18/07 8:40 09OMB.P4

YEAR	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
EOY STAFF	4,779	5,395	5,970	6,487	6,953	7,374	7,751	8,090	8,391	8,661
PROF W-Y	4,444	4,788	5,411	5,992	6,471	6,907	7,299	7,658	7,975	8,259
# HIRED	1,193	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	510	511	580	643	699	749	793	835	871	904
Net Positions	683	561	491	557	501	451	407	365	329	296
OVERTIME(K)	15,031	17,520	25,265	28,565	31,500	34,325	37,035	39,670	42,180	44,600
OT HOURS	341,760	383,118	541,122	599,223	647,215	690,643	745,171	781,828	831,296	878,990
# BOY NEW	574,922	674,333	784,901	874,124	921,294	962,149	957,753	932,388	911,777	883,892
TOTAL D'TLS	13	20	20	20	20	20	20	20	20	20
AVG. GRADE	11.59	11.52	11.54	11.63	11.73	11.84	11.94	12.05	12.14	12.23
RFCEIPTS	419,760	445,923	479,176	523,512	565,389	610,632	659,439	712,206	769,131	830,709
RECEIPTS TO BE EXAMINED	419,760	448,807	479,857	518,277	531,466	543,462	586,901	633,863	684,527	739,331
REG PROD	298,937	313,578	357,503	410,543	450,498	504,629	565,217	628,059	659,337	687,168
TOT PROD	315,019	323,900	382,967	438,741	480,955	537,129	600,283	664,850	698,456	728,532
DISPOSALS	309,689	314,200	375,300	430,000	471,300	526,400	588,300	651,600	684,500	714,000
FIRST ACTS	320,349	333,600	390,634	447,482	490,611	547,859	612,265	678,100	712,411	743,063
PEND FA	22.6	23.7	24.9	24.8	23.2	22.6	20.6	18.8	17.0	15.8
PEND IS/AB	31.1	33.0	34.7	35.9	35.8	34.2	33.6	31.6	29.8	28.0
# SPE'S	365	415	460	500	535	565	595	621	649	675
#PATS PRTD	164,115	177,400	176,751	202,829	224,565	249,734	279,062	309,725	329,426	344,124

1,200 Examiner Hiring Levels

FY 07 Overtime 100 hours per examiner FTE

Efficiency Gains:

Patents Hoteling Program - 2% FY 08/15

Examiner Lap Top Pilot - 3% nFY 08/15

Flat Goal Pilot - .5% FY 08/15

Calims, Continuations & IDS (Examiner Bonus Structure) - 1% in FY 08 / 2% FY 09/15

AQS FY 10 - 1% / FY 11 - 5% / FY 12 - 10% / FY 13/15 - 15%

FY 07/15 Filing rate 8%

AQS Dropout for Filings FY 10 - 5% / FY 11/15 - 10%

AQS New Inventory Dropout FY 10/13 - 23,625 applications

FY 07/13 Attrition rate 10%

Chap I reduction 25%-07 50%-08 75%-09/15

Chap II reduction 25%-08 50%-09/15

Adjusted for Complexity Factor

1% Application Abandonments from OIPE

1% Application reduction for continuations



What the numbers alone cannot show is the reason for variations. The dot-com bust accounted for some decline in computer architecture software and information security between 2001-2002, and the recovery in these industries precipitated the growth between 2003-2004. While surges in applications in biotechnology have not been as substantial as in other areas, FAOM pendency has increased more because of difficulties in recruiting, training, and retaining staff in these competitive fields.

USPTO routinely responds to changes in application volume by moving staff from one art area to another within a TC. In FY 2001, TCs for computers and information security and communications were formed. In FY 2002, business method patents—many of which are computer software-related—moved to a different TC. However, these adjustments do not affect total workload.

Table 2-2 shows FY 2005 pendency as of April 1, 2005. Pendency has increased since FY 2004 in six of the seven TCs. For example, in TC 1600, from FYs 2004-2005, FAOM pendency rose from 19.2 to 21.6 months, while in TC 2100 it grew less, but remains high at 34 months.

**Table 2-2. FY 2005 Pendency as of April 1, 2005**

TC	Number of months
<b>1600—biotechnology &amp; organic fields</b>	
• FAOM pendency	21.6
• Total pendency	30.4
<b>1700—chemical and materials engineering</b>	
• FAOM pendency	19.2
• Total pendency	28.4
<b>2100—computer architecture software &amp; information security</b>	
• FAOM pendency	34.0
• Total pendency	41.9
<b>2600—communications</b>	
• FAOM pendency	31.0
• Total pendency	41.2
<b>2800—semiconductors, electrical &amp; optical system components</b>	
• FAOM pendency	14.6
• Total pendency	24.3
<b>3600—transportation, electronic commerce, construction, agriculture, licensing &amp; review</b>	
• FAOM pendency	17.1
• Total pendency	25.6
<b>3700—mechanical engineering, manufacturing &amp; products</b>	
• FAOM pendency	16.3
• Total pendency	24.7

Source: USPTO

### Increased Complexity in Patent Applications

Individual applications have become more complex because of increases in the (1) number of claims in each application and (2) the amount of prior art cited. This increased complexity could explain why pendency rates for some TCs increased although the total number of applications

may have declined or increased slightly. In addition, USPTO is receiving more applications for inventions in complex technologies, which also increases the complexity of examiners' work.

- The average number of claims per patent application from 1998-2002 increased from 18.4 to 23.5,<sup>80</sup> and to 23.6 in 2004. TC and art unit directors believed that the increase in the number of claims posed the most significant challenge they faced in processing patent applications. One study of the patent process concluded once the number of claims in an application exceeds 12.5, each additional claim adds 1.67 days to the processing time.<sup>81</sup> Some of the increase in claims may be attributed to the Supreme Court's decision in the *Festo* case,<sup>82</sup> which encouraged inventors to include a larger number of claims in the applications with the goal of having at least some of the claims survive the examination process without an amendment.
- Seven percent of all applications represent about 25 percent of the patent claims. USPTO believes that complexity of analysis is directly related to the number of claims presented and that large numbers of claims affect examiners' ability to conduct the high-quality of examinations that [inventors] should expect from the patent system.<sup>83</sup>
- The amount of prior art has increased but the increase has not been quantified. Some of this is a function of a society in which people invent more (as shown in the overall increase in applications) and write more (as reflected in the number of books being published and web pages constructed). Patent examiners must go beyond patent literature to sources such as papers presented at conferences, news articles, and web pages, whether the latter are formal sites for corporations or blogs. The amount of prior art to review does not necessarily correlate with the length of the application. A 20-page application could have 15 pages of detailed references that the examiner must review.

The December 2004 Omnibus Appropriations Act authorized additional fees if applicants submit applications that have more than 100 pages, more than three independent claims, or more than 20 combined independent and dependent claims. These additional fees could reduce the complexity of applications in the long term.

<sup>80</sup> U.S. Department of Commerce, Office of Inspector General, *USPTO Should Reassess How Examiner Goals Performance Appraisal Plans, and The Award System Stimulate and Reward Examiner Productivity*, IPE-15722, September 2004, pg. 17.

<sup>81</sup> Mark A. Lemley and Kimberly A. Moore, *Ending Abuse of Patent Continuations*, UC Berkeley, Public Law and Legal Theory Research Paper Series (No. 140), and George Mason Law and Economic Research Paper (No. 03-52), pp. 74-75.

<sup>82</sup> *Festo Corp. v. Shoketsu Kinzoku Kogyo Kabushiki Co.* (2002) The Supreme Court ruled that when a patent owner submits an amendment to a patent application that narrows the original claim, the patent applicant may be barred from suing for infringement, but not absolutely barred from suing for infringement. The Court ruled that patent owner should have the opportunity to overcome a presumption of being barred from suing by demonstrating that at the time of the amendment a person skilled in the art could not have reasonably been expected to draft a claim that literally covered the invention of the accused.

<sup>83</sup> Under Secretary of Commerce's April 21, 2005 testimony before the Senate Committee on the Judiciary, Subcommittee on Intellectual Property, pg. 10.

09OMB.P4 Patent Production Model assumptions

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015		
<b>Receipts:</b>													
UPR Filings growth @ 8% FY 07/15	384,228	419,760	453,340	489,600	528,800	571,100	616,800	666,100	719,400	776,900	839,100		
Less 1% for discontinued continuation				4,896	5,288	5,711	6,168	6,661	7,194	7,769	8,391		
Dropout FY 10 - 5% / FY 11/15 10%						28,555	61,680	66,610	71,940	77,690	83,910		
UPR Filings		419,760	453,340	484,704	523,512	536,834	548,952	592,829	640,265	691,441	746,799		
Less Abandonment Rate 1% during initial		4,198	4,533	4,847	5,235	5,368	5,490	5,928	6,403	6,914	7,468		
UPR Filings TO BE Examined		415,562	448,807	479,857	518,277	531,466	543,462	586,901	633,863	684,527	739,331		
<b>BOY New Inventory Reduction 10% of FY 10 reduced over 4 years</b>						23,625	23,625	23,625	23,625				
Examiner Hires:	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200		
Attrition rate:	10.6%	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%		
Overtime hours per examiner		80	80	100	100	100	100	100	100	100	100		
<b>Production Rates:</b>													
Total complexity factor			-1.0%	-1.5%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%	-5.0%		
Efficiency Gains		0.0	0.0	2.0%	5.5%	6.5%	10.5%	15.5%	20.5%	20.5%	20.5%		
	FY 04	FY 05	FY 06	Production Units per examiner per grade per fiscal year									
	Actual	Actual	Actual										
GS-5	25.4	24.1	25.1	25.1	24.8	25.2	26.0	26.1	27.0	28.2	29.5	29.3	29.2
GS-7	31.5	31.4	34.1	34.1	33.8	34.3	35.3	35.5	36.7	38.3	40.0	39.8	39.7
GS-9	50.4	45.3	49.9	49.9	49.4	50.1	51.6	51.9	53.7	56.1	58.6	58.3	58.0
GS-11	62.7	54.2	53.1	53.1	52.6	53.4	54.9	55.2	57.1	59.7	62.4	62.1	61.7
GS-12	68.3	67.1	65.6	65.6	64.9	65.9	67.9	68.2	70.6	73.7	77.0	76.7	76.3
GS-13	81	79.4	77.0	77.0	76.2	77.4	79.7	80.1	82.9	86.6	90.4	90.0	89.5
GS-14	91.5	89.8	87.9	87.9	87.0	88.3	91.0	91.4	94.6	98.8	103.2	102.7	102.2
GS-15	103.1	99.3	92.3	92.3	91.4	92.7	95.5	96.0	99.3	103.8	108.4	107.9	107.3
<b>Patent Cooperation Treaty (PCT):</b>													
PCT Chapter I PUs redirected (paralegal)													
Chap I reduction 25%-07 50%-08 75%-09/13													
Chap II reduction 25%-08 50%-09/13													
Total PCT PU savings		913	977	2,690	6,725	11,231	11,960	12,732	13,551	14,418	15,338	16,313	
Examiner PCT PUs		14,234	12,617	11,719	8,549	4,960	5,203	5,460	5,733	6,022	6,329	6,654	
Examiner FTE		158	144	133	97	56	59	62	65	68.5	72	76	
<b>Examiner FTE lost/taken out of the examining corps:</b>													
Part-time		44	44	44	44	44	44	44	44	44	44	44	
Quality initiatives		12.7	0	0	11	22	27	28	28	28	28	28	
SP Quality Initiatives			19	39	34	34	34	34	34	34	34	34	
New Hire trainers		29	15	15	15	15	15	15	15	15	15	15	
CLE Training		2	4	6	8	10	12	14	14	14	14	14	
Exam tech training		20	3	6	9	11	13	15	15	15	15	15	
Allowance Rate		53.6%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	

PT actual number based on 60% TOD  
 Quality Initiatives 55 hours per GS-12  
 SP Quality Initiatives Target reviews, quality award, reclass, search strategy, and soft skills, FY 07 mid-year implementation  
 New Hire trainers are additional over FY 06 level.  
 CLE Training 2 FTE over base each year  
 Exam tech training is 8 hours per examiner over FY 06 base.

SUMMARY FY 2006 ACTUAL DATA  
5/9/07 12:15 09OMB.P3

YEAR	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
BOY STAFF	4,779	5,268	5,724	6,487	6,953	7,374	7,751	8,090	8,391	8,661
PROF W-Y	4,444	4,707	5,245	5,992	6,471	6,907	7,299	7,658	7,975	8,259
# HIRED	1,193	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	510	639	709	643	699	749	793	835	871	904
Net Positions	683	561	491	557	501	451	407	365	329	296
OVERTIME(K)	15,031	17,220	19,590	28,565	31,500	34,325	37,035	39,670	42,180	44,600
OT HOURS	341,760	376,558	419,575	599,223	647,215	690,643	745,171	781,828	831,296	878,990
# BOY NEW	574,922	693,132	800,996	874,124	944,919	1,018,665	1,100,178	1,194,340	1,308,607	1,449,371
TOTAL D'TLS	13	20	20	20	20	20	20	20	20	20
AVG. GRADE	11.59	11.31	11.28	11.63	11.73	11.84	11.94	12.05	12.14	12.23
RECEIPTS	419,760	445,923	479,176	523,512	565,389	610,632	659,439	712,206	769,131	830,709
RECEIPTS TO BE EXAMINED	419,760	441,463	474,385	518,277	559,735	604,526	652,845	705,084	761,440	822,402
REG PROD	298,937	305,918	335,468	410,543	446,038	480,256	512,626	542,417	569,369	593,568
TOT PROD	315,019	323,900	355,505	438,741	476,495	512,756	547,692	579,208	608,488	634,932
DISPOSALS	309,689	314,200	344,800	430,000	467,000	502,500	536,700	567,600	596,300	622,200
FIRST ACTS	320,349	333,599	366,210	447,482	485,990	523,012	558,684	590,817	620,676	647,663
PEND FA	22.6	23.7	24.9	25.4	25.5	25.6	25.7	25.8	26.3	27.2
PEND IS/AB	31.1	33.0	34.7	35.9	36.4	36.5	36.6	36.7	36.8	37.3
# SPE'S	365	415	460	500	535	565	595	621	645	666
#PATS PRTD	164,115	160,500	176,751	202,829	222,991	240,463	257,279	272,728	286,973	299,856

1,200 Examiner Hiring Levels  
 FY 07 Overtime 100 hours per examiner FTE  
 Efficiency Gains:  
 Patents Hoteling Program - 2% FY 08/15  
 Examiner Lap Top Pilot - 3% nFY 08/15  
 Flat Goal Pilot - .5% FY 08/15  
 Calims, Continuations & IDS (Examiner Bonus Structure) - 1% in FY 08 / 2% FY 09/15

FY 07/15 Attrition rate 10%  
 FY 07/15 Filing rate 8%  
 Chap I reduction 25%-07 50%-08 75%-09/15  
 Chap II reduction 25%-08 50%-09/15

Adjusted for Complexity Factor

1% Application Abandonments from OIPE  
 1% Application reduction for continuations

09OMB.P3 Patent Production Model assumptions

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	
Receipts:												
UPR Filings growth @	384,228	419,760	453,340	489,600	528,800	571,100	616,800	666,100	719,400	776,900	839,100	
8% FY 07/13				4,896	5,288	5,711	6,168	6,661	7,194	7,769	8,391	
Less: 1% for discontinued continuation												
<b>UPR Filings</b>		419,760	453,340	484,704	523,512	565,389	610,632	659,439	712,206	769,131	830,709	
Less: Abandonment Rate 1% during initial		4,198	4,533	4,847	5,235	5,654	6,106	6,594	7,122	7,691	8,307	
<b>UPR Filings TO BE Examined</b>		415,562	448,807	479,857	518,277	559,735	604,526	652,845	705,084	761,440	822,402	
Examiner Hires:	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200	
Attrition rate:	10.6%	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%	
Overtime hours per examiner		80	80	100	100	100	100	100	100	100	100	
Production Rates:												
Total complexity factor			-1.0%	-1.5%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%	-5.0%	
Efficiency Gains		0.0	0.0	2.0%	5.5%	5.5%	5.5%	5.5%	5.5%	5.5%	5.5%	
	FY 04	FY 05	FY 06	Production Units per examiner per grade per fiscal year								
	Actual	Actual	Actual									
GS-5	25.4	24.1	25.1	25.1	24.8	25.2	26.0	25.8	25.7	25.6	25.5	25.2
GS-7	31.5	31.4	34.1	34.1	33.8	34.3	35.3	35.1	34.9	34.8	34.6	34.2
GS-9	50.4	45.3	49.9	49.9	49.4	50.1	51.6	51.4	51.1	50.9	50.6	50.1
GS-11	62.7	54.2	53.1	53.1	52.6	53.4	54.9	54.7	54.4	54.1	53.9	53.3
GS-12	68.3	67.1	65.6	65.6	64.9	65.9	67.9	67.5	67.2	66.9	66.5	65.9
GS-13	81	79.4	77.0	77.0	76.2	77.4	79.7	79.3	78.9	78.5	78.1	77.3
GS-14	91.5	89.8	87.9	87.9	87.0	88.3	91.0	90.5	90.0	89.6	89.1	88.3
GS-15	103.1	99.3	92.3	92.3	91.4	92.7	95.5	95.0	94.6	94.1	93.6	92.7
<b>Patent Cooperation Treaty (PCT):</b>												
PCT Chapter I PUs redirected (paralegal)												
Chap I reduction 25%-07 50%-08 75%-09/13												
Chap II reduction 25%-08 50%-09/13												
Total PCT PU savings		913	977	2,690	6,725	11,231	11,960	12,732	13,551	14,418	15,338	16,313
Examiner PCT PUs		14,234	12,617	11,719	8,549	4,960	5,203	5,460	5,733	6,022	6,329	6,654
Examiner FTE		158	144	133	97	56	59	62	65	68.5	72	76
<b>Examiner FTE lost/taken out of the examining corps:</b>												
Part-time			44	44	44	44	44	44	44	44	44	44
Quality initiatives		12.7	0	0	11	22	27	28	28	28	28	28
SP Quality Initiatives			19	39	34	34	34	34	34	34	34	34
New Hire trainers			29	15	15	15	15	15	15	15	15	15
CLE Training			2	4	6	8	10	12	14	14	14	14
Exam tech trng hrs			20	3	6	9	11	13	15	15	15	15
<b>Allowance Rate</b>		53.6%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%	50.0%

PT actual number based on 60% TOD  
 Quality initiatives 55 hours per GS-12  
 SP Quality Initiatives Target reviews, quality award, reclass, search strategy, and soft skills. FY 07 mid-year implementation  
 New Hire trainers are additional over FY 06 level.  
 CLE Training 2 FTE over base each year  
 Exam tech trng is 8 hours per examiner over FY 06 base.

SUMMARY FY 2006 ACTUAL DATA  
5/2/07 12:15 09OMB.P2

YEAR	2006	2007	2008	2009	2010	2011	2012	2013
EOY STAFF	4,779	5,268	5,724	6,487	6,953	7,374	7,751	8,090
PROF W-Y	4,444	4,707	5,245	5,992	6,471	6,907	7,299	7,658
# HIRED	1,193	1,200	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	510	639	709	643	699	749	793	835
Net Positions	683	561	491	557	501	451	407	365
OVERTIME(K)	15,031	17,220	19,590	28,565	31,500	34,325	37,035	39,670
OT HOURS	341,760	376,558	419,575	599,223	647,215	690,643	745,171	781,828
# BOY NEW	574,922	693,132	800,996	874,124	944,919	1,018,665	1,100,178	1,194,340
TOTAL D'TLS	13	20	20	20	20	20	20	20
AVG. GRADE	11.59	11.31	11.28	11.63	11.73	11.84	11.94	12.05
RECEIPTS	419,760	445,923	479,176	523,512	565,389	610,632	659,439	712,206
RECEIPTS TO BE EXAMINED	419,760	441,463	474,385	518,277	559,735	604,526	652,845	705,084
REG PROD	298,937	305,918	335,468	410,543	446,038	480,256	512,626	542,417
TOT PROD	315,019	323,900	355,505	438,741	476,495	512,756	547,692	579,208
DISPOSALS	309,689	314,200	344,800	430,000	467,000	502,500	536,700	567,600
FIRST ACTS	320,349	333,599	366,210	447,482	485,990	523,012	558,684	590,817
PEND FA	22.6	23.7	24.9	25.4	25.5	25.6	25.7	25.8
PEND IS/AB	31.1	33.0	34.7	35.9	36.4	36.5	36.6	36.7
# SPE'S	365	415	460	500	535	565	595	621
#PATS PRTD	164,115	177,397	192,820	235,281	258,669	278,938	298,443	316,365

1,200 Examiner Hiring Levels

FY 07 Overtime 100 hours per examiner FTE

Efficiency Gains:

Patents Hoteling Program - 2% FY 08/13

Examiner Lap Top Pilot - 3% nFY 08/13

Flat Goal Pilot - .5% FY 08/13

Calims, Continuations & IDS (Examiner Bonus Structure) - 1% in FY 08 / 2% FY 09/13

FY 07/13 Attrition rate 10%

FY 07/13 Filing rate 8%

Chap I reduction 25%-07 50%-08 75%-09/13

Chap II reduction 25%-08 50%-09/13

Adjusted for Complexity Factor

1% Application Abandonments from OIPE

1% Application reduction for continuations

09OMB.P2 Patent Production Model assumptions

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012	2013		
<b>Receipts:</b>											
UPR Filings growth @ 8% FY 07/13	384,228	419,760	453,340	489,600	528,800	571,100	616,800	666,100	719,400		
Less 1% for discontinued continuation				4,896	5,288	5,711	6,168	6,661	7,194		
<b>UPR Filings</b>		419,760	453,340	484,704	523,512	565,389	610,632	659,439	712,206		
Less Abandonment Rate 1% during initial		4,198	4,533	4,847	5,235	5,654	6,106	6,594	7,122		
<b>UPR Filings TO BE Examined</b>		415,562	448,807	479,857	518,277	559,735	604,526	652,845	705,084		
<b>Examiner Hires:</b>	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200		
<b>Attrition rate:</b>	10.6%	10%	10%	10%	10%	10%	10%	10%	10%		
<b>Overtime hours per examiner</b>		80	80	100	100	100	100	100	100		
<b>Production Rates:</b>											
Total complexity factor			-1.0%	-1.5%	-2.0%	-2.5%	-3.0%	-3.5%	4.0%		
Efficiency Gains		0.0	0.0	2.0%	5.5%	5.5%	5.5%	5.5%	5.5%		
	FY 04	FY 05	FY 06	Production Units per examiner per grade per fiscal year							
	Actual	Actual	Actual								
GS-5	25.4	24.1	25.1	25.1	24.8	25.2	26.0	25.8	25.7	25.6	25.5
GS-7	31.5	31.4	34.1	34.1	33.8	34.3	35.3	35.1	34.9	34.8	34.6
GS-9	50.4	45.3	49.9	49.9	49.4	50.1	51.6	51.4	51.1	50.9	50.6
GS-11	62.7	54.2	53.1	53.1	52.6	53.4	54.9	54.7	54.4	54.1	53.9
GS-12	68.3	67.1	65.6	65.6	64.9	65.9	67.9	67.5	67.2	66.9	66.5
GS-13	81	79.4	77.0	77.0	76.2	77.4	79.7	79.3	78.9	78.5	78.1
GS-14	91.5	89.8	87.9	87.9	87.0	88.3	91.0	90.5	90.0	89.6	89.1
GS-15	103.1	99.3	92.3	92.3	91.4	92.7	95.5	95.0	94.6	94.1	93.6
<b>Patent Cooperation Treaty (PCT):</b>											
PCT Chapter I PUs redirected (paralegal)											
Chap I reduction 25%-07 50%-08 75%-09/13											
Chap II reduction 25%-08 50%-09/13											
Total PCT PU savings		913	977	2,690	6,725	11,231	11,960	12,732	13,551	14,418	
Examiner PCT PUs		14,234	12,617	11,719	8,549	4,960	5,203	5,460	5,733	6,022	
Examiner FTE		158	144	133	97	56	59	62	65	68.5	
<b>Examiner FTE lost/taken out of the examining corps:</b>											
Part-time			44	44	44	44	44	44	44	44	
Quality initiatives			12.7	0	0	11	22	27	28	28	
SP Quality Initiatives				19	39	34	34	34	34	34	
New Hire trainers			29	15	15	15	15	15	15	15	
CLE Training			2	4	6	8	10	12	14	14	
Exmr Tech Trng Rtns			20	3	6	9	11	13	15	15	
<b>Allowance Rate</b>		53.6%	54.0%	54.0%	54.0%	54.0%	54.0%	54.0%	54.0%	54.0%	

PT actual number based on 60% TOD  
 Quality Initiatives 55 hours per GS-12  
 SP Quality Initiatives Target reviews, quality award, reclass, search strategy, and soft skills. FY 07 mid-year implementation  
 New Hire trainers are additional over FY 06 level.  
 CLE Training 2 FTE over base each year  
 Exmr tech trng is 8 hours per examiner over FY 06 base.

SUMMARY FY 2006 ACTUAL DATA  
4/20/07 12:15 09OMB.P1

YEAR	2006	2007	2008	2009	2010	2011	2012	2013
EOY STAFF	4,779	5,395	5,970	6,487	6,953	7,374	7,751	8,090
PROF W-Y	4,444	4,788	5,411	5,992	6,471	6,907	7,299	7,658
# HIRED	1,193	1,200	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	510	511	580	643	699	749	793	835
Net Positions	683	689	620	557	501	451	407	365
OVERTIME(K)	15,031	17,520	25,265	28,565	31,500	34,325	37,035	39,670
OT HOURS	341,760	383,118	541,122	599,223	647,215	690,643	745,171	781,828
# BOY NEW	574,922	674,333	784,901	874,124	944,919	1,018,665	1,100,178	1,194,340
TOTAL D'TLS	13	20	20	20	20	20	20	20
AVG. GRADE	11.59	11.52	11.54	11.63	11.73	11.84	11.94	12.05
RECEIPTS	419,760	453,340	484,704	523,512	565,389	610,632	659,439	712,206
RECEIPTS TO BE EXAMINED	419,760	448,807	479,857	518,277	559,735	604,526	652,845	705,084
REG PROD	298,937	313,578	357,503	410,543	446,038	480,256	512,626	542,417
TOT PROD	315,019	331,607	382,967	438,741	476,495	512,756	547,692	579,208
DISPOSALS	309,689	324,975	375,300	430,000	467,000	502,500	536,700	567,600
FIRST ACTS	320,349	338,239	390,634	447,482	485,990	523,012	558,684	590,817
PEND FA	22.6	23.7	24.9	25.4	25.5	25.6	25.7	25.8
PEND IS/AB	31.1	33.0	34.7	35.9	36.4	36.5	36.6	36.7
# SPE'S	365	415	460	500	535	565	595	621
#PATS PRTD	164,115	177,397	192,820	235,281	258,669	278,938	298,443	316,365

1,200 Examiner Hiring Levels

FY 07 Overtime 100 hours per examiner FTE

Efficiency Gains:

Patents Hoteling Program - 2% FY 08/13

Examiner Lap Top Pilot - 3% nFY 08/13

Flat Goal Pilot - .5% FY 08/13

Calims, Continuations & IDS (Examiner Bonus Structure) - 1% in FY 08 / 2% FY 09/13

FY 07/13 Attrition rate 10%

FY 07/13 Filing rate 8%

Chap I reduction 25%-07 50%-08 75%-09/13

Chap II reduction 25%-08 50%-09/13

Adjusted for Complexity Factor

1% Application Abandonments from OIPE

1% Application reduction for continuations



09OMB.P1 Patent Production Model assumptions

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012	2013		
<b>Receipts:</b>											
UPR Filings growth @ 8% FY 07/13	384,228	419,760	453,340	489,600	528,800	571,100	616,800	666,100	719,400		
Less 1% for discontinued continuation				4,896	5,288	5,711	6,168	6,661	7,194		
<b>UPR Filings</b>		419,760	453,340	484,704	523,512	565,389	610,632	659,439	712,206		
Less Abandonment Rate 1% during initial		4,198	4,533	4,847	5,235	5,654	6,106	6,594	7,122		
<b>UPR Filings TO BE Examined</b>		415,562	448,807	479,857	518,277	559,735	604,526	652,845	705,084		
<b>Examiner Hires:</b>	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200	1,200		
<b>Attrition rate:</b>	10.6%	10%	10%	10%	10%	10%	10%	10%	10%		
<b>Overtime hours per examiner</b>		80	80	100	100	100	100	100	100		
<b>Production Rates:</b>											
Total complexity factor			-1.0%	-1.5%	-2.0%	-2.5%	-3.0%	-3.5%	4.0%		
<b>Efficiency Gains</b>		0.0	0.0	2.0%	5.5%	5.5%	5.5%	5.5%	5.5%		
	FY 04	FY 05	FY 06	Production Units per examiner per grade per fiscal year							
	Actual	Actual	Actual								
GS-5	25.4	24.1	25.1	25.1	24.8	25.2	26.0	25.8	25.7	25.6	25.5
GS-7	31.5	31.4	34.1	34.1	33.8	34.3	35.3	35.1	34.9	34.8	34.6
GS-9	50.4	45.3	49.9	49.9	49.4	50.1	51.6	51.4	51.1	50.9	50.6
GS-11	62.7	54.2	53.1	53.1	52.6	53.4	54.9	54.7	54.4	54.1	53.9
GS-12	68.3	67.1	65.6	65.6	64.9	65.9	67.9	67.5	67.2	66.9	66.5
GS-13	81	79.4	77.0	77.0	76.2	77.4	79.7	79.3	78.9	78.5	78.1
GS-14	91.5	89.8	87.9	87.9	87.0	88.3	91.0	90.5	90.0	89.6	89.1
GS-15	103.1	99.3	92.3	92.3	91.4	92.7	95.5	95.0	94.6	94.1	93.6
<b>Patent Cooperation Treaty (PCT):</b>											
PCT Chapter I PUs redirected (paralegal)											
Chap I reduction 25%-07 50%-08 75%-09/13											
Chap II reduction 25%-08 50%-09/13											
Total PCT PU savings		913	977	2,690	6,725	11,231	11,960	12,732	13,551	14,418	
Examiner PCT PUs		14,234	12,617	11,719	8,549	4,960	5,203	5,460	5,733	6,022	
Examiner FTE		158	144	133	97	56	59	62	65	68.5	
<b>Examiner FTE lost/taken out of the examining corps:</b>											
Part-time			44	44	44	44	44	44	44	44	
Quality initiatives		12.7		0	0	11	22	27	28	28	
SP Quality Initiatives			19	39	34	34	34	34	34	34	
New Hire trainers		29	15	15	15	15	15	15	15	15	
CLE Training		2	4	6	8	10	12	14	14	14	
Exam Tech Training		20	3	6	9	11	13	15	15	15	
<b>Allowance Rate</b>		53.6%	54.0%	54.0%	54.0%	54.0%	54.0%	54.0%	54.0%	54.0%	

PT actual number based on 60% TOD

Quality Initiatives 55 hours per GS-12

SP Quality Initiatives Target reviews, quality award, reclass, search strategy, and soft skills. FY 07 mid-year implementation

New Hire trainers are additional over FY 06 level.

CLE Training 2 FTE over base each year

Exam tech training is 8 hours per examiner over FY 06 base.

SUMMARY	FY 2005		ACTUAL DATA			FY 08 President's Budget Submission			
	8/30/06 14:15 08OMB.P13v4								
YEAR	2005	2006	2007	2008	2009	2010	2011	2012	
EOY STAFF	4,177	4,747	5,268	5,724	6,135	6,502	6,828	7,118	
PROF W-Y	3,804	4,197	4,707	5,245	5,722	6,091	6,422	6,728	
# HIRED	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200	
# ATTRITED	425	559	639	709	758	804	849	888	
Net Positions	534	641	561	491	442	396	351	312	
OVERTIME(K)	12,225	14,795	17,220	19,590	21,800	23,700	25,500	27,300	
OT HOURS	278,669	330,329	376,558	419,575	457,310	486,952	513,078	549,295	
# BOY NEW	508,878	586,599	693,132	800,996	909,171	1,023,423	1,152,761	1,301,308	
TOTAL D'TLS	13	20	20	20	20	20	20	20	
AVG. GRADE	12.17	11.57	11.31	11.28	11.33	11.39	11.47	11.56	
RECEIPTS	384,228	414,966	445,923	479,176	517,511	558,911	603,624	651,914	
RECEIPTS TO BE EXAMINED	384,228	410,817	441,463	474,385	512,335	553,322	597,588	645,395	
REG PROD	275,008	285,467	305,918	335,468	364,603	388,338	411,418	434,089	
TOT PROD	288,315	301,242	323,900	355,505	386,442	411,592	435,920	460,320	
DISPOSALS	279,345	298,200	314,200	344,800	374,800	399,200	422,800	446,500	
FIRST ACTS	297,285	304,284	333,599	366,210	398,084	423,984	449,041	474,140	
PEND FA	21.1	22.0	23.7	24.9	25.5	26.5	27.6	28.9	
PEND IS/AB	29.1	31.3	33.0	34.7	35.9	36.5	37.5	38.6	
# SPE'S	294	365	405	440	471	500	525	547	
#PATS PRTD	152104	160,000	177,397	192,820	210,062	224,810	238,419	251,957	

1,200 Examiner Hiring Levels  
 FY 07 Overtime 80 hours per examiner FTE  
 FY 07/12 Limitation on Continuations - 1% reduction in filings

FY 06/12 Attrition rate 13%/13.2%/13.3%/13.4%/13.5%/13.6%/13.6%  
 FY 06/12 Filing rate 8%  
 Chap I reduction 25%-07 50%-08 75%-09/12  
 Chap II reduction 25%-08 50%-09/12

Adjusted for Complexity Factor  
 PCT Outsourced Savings FY 06/12  
 1% Application Abandonments from OIPE

## 08OMB.P13v3 Patent Production Model assumptions

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012		
<b>Receipts:</b>										
UPR Filings growth @ 8% FY 07/12	384,228	414,966	448,164	484,017	522,738	564,557	609,722	658,499		
Less 1% for discontinued continuation			2,241	4,840	5,227	5,646	6,097	6,585		
Less 10% for accelerated examination										
add back 20% of 5% of FY 09										
add back 20% of 5% of FY 10										
add back 20% of 5% of FY 11										
UPR Filings		414,966	445,923	479,176	517,511	558,911	603,624	651,914		
Less Abandonment Rate 1% during initial		4,150	4,459	4,792	5,175	5,589	6,036	6,519		
UPR Filings TO BE Examined		410,817	441,463	474,385	512,335	553,322	597,588	645,395		
Examiner Hires:	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200		
Attrition rate:	10%	13.0%	13.2%	13.3%	13.4%	13.5%	13.6%	13.6%		
Overtime hours per examiner		80	78	77	76	76	76	75		
<b>Production Rates:</b>										
Total complexity factor		-1.0%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%		
Efficiency Gains		0.0	0.0	0.0	0.0	0.0	0.0	0.0		
	FY 04	FY 05	2-YR Avg	Production Units per examiner per grade per fiscal year						
	Actual	Actual	of Actual							
GS-5	25.4	24.1	24.75	24.5	24.3	24.1	24.0	23.9	23.8	23.7
GS-7	31.5	31.4	31.45	31.1	30.8	30.7	30.5	30.4	30.2	30.1
GS-9	50.4	45.3	47.85	47.4	46.9	46.7	46.4	46.2	46.0	45.7
GS-11	62.7	54.2	58.45	57.9	57.3	57.0	56.7	56.4	56.1	55.9
GS-12	68.3	67.1	67.7	67.0	66.4	66.0	65.7	65.4	65.0	64.7
GS-13	81	79.4	80.2	79.4	78.6	78.2	77.8	77.4	77.0	76.7
GS-14	91.5	89.8	90.65	89.7	88.8	88.4	88.0	87.5	87.1	86.6
GS-15	103.1	99.3	101.2	100.2	99.2	98.7	98.2	97.7	97.2	96.7
<b>Patent Cooperation Treaty (PCT):</b>										
PCT Chapter I PUs redirected (paralegal)										
Chap I reduction 25%-07 50%-08 75%-09/12										
Chap II reduction 25%-08 50%-09/12										
Total PCT PU savings		913	1,250	2,680	7,446	12,768	13,828	14,540	15,507	
Examiner PCT PUs	14,234	14,806	14,339	10,594	6,355	6,642	6,946	7,268		
Examiner FTE	158	165	160	118	71	74	77	81		
<b>Examiner FTE lost/taken out of the examining corps:</b>										
Part-time	44	44	44	44	44	44	44	44		
Quality initiatives	12	5	4	6	17	28	34	40		
SP Quality Initiatives			55	43	31	31	32	35		
New Hire trainers	5	15	15	15	15	15	15	15		
CLE Training	8	29	34	38	43	48	53	58		
Exnr Tech Trng 8 hrs	7	6	6	6	7	10	12	14		
Allowance Rate	58.7%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%		

SUMMARY FY 2005 ACTUAL DATA  
8/29/06 11:45 08OMB.P13

YEAR	2005	2006	2007	2008	2009	2010	2011	2012
EOY STAFF	4,177	4,747	5,268	5,724	6,135	6,502	6,828	7,118
PROF W-Y	3,804	4,197	4,707	5,245	5,722	6,091	6,422	6,728
# HIRED	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	425	559	639	709	758	804	849	888
Net Positions	534	641	561	491	442	396	351	312
OVERTIME(K)	12,225	14,795	17,220	19,590	21,800	23,700	25,500	27,300
OT HOURS	278,669	330,329	376,558	419,575	457,310	486,952	513,078	549,295
# BOY NEW	508,878	586,599	693,132	800,996	909,171	1,023,423	1,152,761	1,301,308
TOTAL D'TLS	13	20	20	20	20	20	20	20
AVG. GRADE	12.17	11.57	11.31	11.28	11.33	11.39	11.47	11.56
RECEIPTS	384,228	414,966	445,923	479,176	517,511	558,911	603,624	651,914
RECEIPTS TO BE EXAMINED	384,228	410,817	441,463	474,385	512,335	553,322	597,588	645,395
REG PROD	275,008	285,467	305,918	335,468	364,603	388,338	411,418	434,089
TOT PROD	288,315	301,242	323,900	355,505	386,442	411,592	435,920	460,320
DISPOSALS	279,345	298,200	314,200	344,800	374,800	399,200	422,800	446,500
FIRST ACTS	297,285	304,284	333,599	366,210	398,084	423,984	449,041	474,140
PEND FA	21.1	22.0	23.3	24.9	25.5	26.5	27.6	28.9
PEND IS/AB	29.1	31.3	32.0	34.3	35.9	36.5	37.5	38.6
# SPE'S	294	365	405	440	471	500	525	547
#PATS PRTD	152104	160,000	177,397	192,820	210,062	224,810	238,419	251,957

**1,200 Examiner Hiring Levels**

FY 07 Overtime 80 hours per examiner FTE

FY 07/12 Limitation on Continuations - 1% reduction in filings

FY 06/12 Attrition rate 13%/13.2%/13.3%/13.4%/13.5%/13.6%/13.6%

FY 06/12 Filing rate 8%

Chap I reduction 25%-07 50%-08 75%-09/12

Chap II reduction 25%-08 50%-09/12

Adjusted for Complexity Factor

PCT Outsourced Savings FY 06/12

1% Application Abandonments from OIPE

## 08OMB.P13 Patent Production Model assumptions

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012		
<b>Receipts:</b>										
UPR Filings growth @ 8% FY 07/12	384,228	414,966	448,164	484,017	522,738	564,557	609,722	658,499		
Less 1% for discontinued continuation			2,241	4,840	5,227	5,646	6,097	6,585		
Less 10% for accelerated examination										
add back 20% of 5% of FY 09										
add back 20% of 5% of FY 10										
add back 20% of 5% of FY 11										
UPR Filings		414,966	445,923	479,176	517,511	558,911	603,624	651,914		
Less Abandonment Rate 1% during initial		4,150	4,459	4,792	5,175	5,589	6,036	6,519		
UPR Filings TO BE Examined		410,817	441,463	474,385	512,335	553,322	597,588	645,395		
Examiner Hires:	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200		
Attrition rate:	10%	13.0%	13.2%	13.3%	13.4%	13.5%	13.6%	13.6%		
Overtime hours per examiner		80	78	77	76	76	76	75		
<b>Production Rates:</b>										
Total complexity factor		-1.0%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%		
Efficiency Gains		0.0	0.0	0.0	0.0	0.0	0.0	0.0		
	FY 04	FY 05	2-YR Avg							
	Actual	Actual	of Actual	Production Units per examiner per grade per fiscal year						
GS-5	25.4	24.1	24.75	24.5	24.3	24.1	24.0	23.9	23.8	23.7
GS-7	31.5	31.4	31.45	31.1	30.8	30.7	30.5	30.4	30.2	30.1
GS-9	50.4	45.3	47.85	47.4	46.9	46.7	46.4	46.2	46.0	45.7
GS-11	62.7	54.2	58.45	57.9	57.3	57.0	56.7	56.4	56.1	55.9
GS-12	68.3	67.1	67.7	67.0	66.4	66.0	65.7	65.4	65.0	64.7
GS-13	81	79.4	80.2	79.4	78.6	78.2	77.8	77.4	77.0	76.7
GS-14	91.5	89.8	90.65	89.7	88.8	88.4	88.0	87.5	87.1	86.6
GS-15	103.1	99.3	101.2	100.2	99.2	98.7	98.2	97.7	97.2	96.7
<b>Patent Cooperation Treaty (PCT):</b>										
PCT Chapter I PUs redirected (paralegal)										
Chap I reduction 25%-07 50%-08 75%-09/12										
Chap II reduction 25%-08 50%-09/12										
Total PCT PU savings		913	1,250	2,680	7,446	12,768	13,628	14,540	15,507	
Examiner PCT PUs	14,234	14,806	14,339	10,594	6,355	6,642	6,946	7,268		
Examiner FTE	158	165	160	118	71	74	77	81		
<b>Examiner FTE lost/taken out of the examining corps:</b>										
Part-time	44	44	44	44	44	44	44	44		
Quality initiatives	12	5	4	6	17	28	34	40		
SP Quality Initiatives			55	43	31	31	32	35		
New Hire trainers	5	15	15	15	15	15	15	15		
CLE Training	8	29	34	38	43	48	53	58		
Exmr Tech Trng 8 hrs	7	6	6	6	7	10	12	14		
			158	152	157	176	190	206		
Allowance Rate	58.7%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%		

SUMMARY FY 2005 ACTUAL DATA  
8/25/06 21:00 08OMB.P12

YEAR	2005	2006	2007	2008	2009	2010	2011	2012
EOY STAFF	3,643	3,643	3,643	3,643	3,643	3,643	3,643	3,643
PROF W-Y	3,617	3,473	3,366	3,386	3,470	3,447	3,427	3,424
# HIRED	425	490	490	490	490	490	490	490
# ATTRITED	425	490	490	490	490	490	490	490
Net Positions	0	0	0	0	0	0	0	0
OVERTIME(K)	12,225	12,445	12,315	12,650	13,235	13,425	13,625	13,900
OT HOURS	278,669	277,852	269,298	270,935	277,637	275,837	274,144	279,678
# BOY NEW	499,656	593,696	724,196	896,142	1,100,321	1,337,044	1,618,234	1,946,716
TOTAL D'TLS	13	20	20	20	20	20	20	20
AVG. GRADE	12.41	12.36	12.34	12.35	12.35	12.34	12.34	12.33
RECEIPTS	384,228	414,966	445,923	479,176	517,511	558,911	603,624	651,914
RECEIPTS TO BE EXAMINED	384,228	410,817	441,463	474,385	512,335	553,322	597,588	645,395
REG PROD	268,437	258,841	248,798	249,415	254,348	251,044	248,162	246,332
TOT PROD	281,744	272,109	261,658	262,353	267,606	264,216	261,253	259,688
DISPOSALS	273,300	263,900	253,800	254,500	259,600	256,300	253,400	251,900
FIRST ACTS	290,187	280,318	269,517	270,206	275,612	272,132	269,105	267,476
PEND FA	21.1	22.7	25.9	29.5	33.2	37.0	41.2	45.4
PEND IS/AB	29.1	31.3	32.7	36.9	40.5	44.2	48.0	52.2
# SPE'S	280	280	280	280	280	280	280	280
#PATS PRTD	152104	152,240	146,564	145,370	147,723	147,028	145,313	144,257

Replacement Examiner Hiring Levels  
 FY 07 Overtime 80 hours per examiner FTE (90)  
 FY 07/12 Limitation on Continuations - 1% reduction in filings

FY 06/12 Attrition rate 13%(10%/9%/8%/7%/7%/7%)  
 FY 06/12 Filing rate 8%  
 Chap I reduction 25%-07 50%-08 75%-09/12  
 Chap II reduction 25%-08 50%-09/12

Adjusted for Complexity Factor  
 PCT Outsourced Savings FY 06/12  
 1% Application Abandonments from OIPE

**08OMB.P12 Patent Production Model assumptions**

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012		
<b>Receipts:</b>										
UPR Filings growth @ 8% FY 07/12	384,228	414,966	448,164	484,017	522,738	564,557	609,722	658,499		
Less 1% for discontinued continuation			2,241	4,840	5,227	5,646	6,097	6,585		
Less 10% for accelerated examination										
add back 20% of 5% of FY 09										
add back 20% of 5% of FY 10										
add back 20% of 5% of FY 11										
UPR Filings		414,966	445,923	479,176	517,511	558,911	603,624	651,914		
Less Abandonment Rate 1% during initial UPR Filings TO BE Examined		4,150	4,459	4,792	5,175	5,589	6,036	6,519		
		410,817	441,463	474,385	512,335	553,322	597,588	645,395		
Examiner Hires:	425	490	490	490	490	490	490	490		
Attrition rate:	10%	13.0%	13.2%	13.3%	13.4%	13.5%	13.6%	13.6%		
Overtime hours per examiner		80	78	77	76	76	76	75		
<b>Production Rates:</b>										
Total complexity factor		-1.0%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%		
Efficiency Gains		0.0	0.0	0.0	0.0	0.0	0.0	0.0		
	FY 04 Actual	FY 05 Actual	2-YR Avg of Actual	Production Units per examiner per grade per fiscal year						
GS-5	25.4	24.1	24.75	24.5	24.3	24.1	24.0	23.9	23.8	23.7
GS-7	31.5	31.4	31.45	31.1	30.8	30.7	30.5	30.4	30.2	30.1
GS-9	50.4	45.3	47.85	47.4	46.9	46.7	46.4	46.2	46.0	45.7
GS-11	62.7	54.2	58.45	57.9	57.3	57.0	56.7	56.4	56.1	55.9
GS-12	68.3	67.1	67.7	67.0	66.4	66.0	65.7	65.4	65.0	64.7
GS-13	81	79.4	80.2	79.4	78.6	78.2	77.8	77.4	77.0	76.7
GS-14	91.5	89.8	90.65	89.7	88.8	88.4	88.0	87.5	87.1	86.6
GS-15	103.1	99.3	101.2	100.2	99.2	98.7	98.2	97.7	97.2	96.7
<b>Patent Cooperation Treaty (PCT):</b>										
PCT Chapter I PUs redirected (paralegal)										
Chap I reduction 25%-07 50%-08 75%-09/12										
Chap II reduction 25%-08 50%-09/12										
Total PCT PU savings		913	1,250	2,680	7,446	12,768	13,628	14,540	15,507	
Examiner PCT PUs	14,234	14,806	14,339	10,594	6,355	6,642	6,946	7,268		
Examiner FTE	158	165	160	118	71	74	77	81		
<b>Examiner FTE lost/taken out of the examining corps:</b>										
Part-time	44	44	44	44	44	44	44	44		
Quality initiatives	12	5	5	6	17	28	34	40		
SP Quality Initiatives			112	127	72	74	76	77		
New Hire trainers	5	15	15	15	15	15	15	15		
CLE Training	8	29	34	38	43	48	53	58		
Exnr Tech Trng 8 hrs	7	6	6	6	7	10	12	14		
Allowance Rate	58.7%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%		

SUMMARY FY 2005 ACTUAL DATA  
8/25/06 20:00 08OMB.P11

YEAR	2005	2006	2007	2008	2009	2010	2011	2012
EOY STAFF	4,177	4,747	5,268	5,724	6,135	6,502	6,828	7,118
PROF W-Y	3,804	4,197	4,650	5,161	5,681	6,048	6,377	6,683
# HIRED	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	425	559	639	709	758	804	849	888
Net Positions	534	641	561	491	442	396	351	312
OVERTIME(K)	12,225	14,795	16,587	18,555	20,583	22,373	24,085	25,432
OT HOURS	278,669	330,329	362,715	397,408	431,781	459,687	484,607	511,710
# BOY NEW	508,878	586,599	693,132	805,587	916,176	1,025,112	1,143,550	1,274,741
TOTAL D'TLS	13	20	20	20	20	20	20	20
AVG. GRADE	12.17	11.57	11.31	11.27	11.32	11.38	11.46	11.55
RECEIPTS	384,228	414,966	445,923	474,740	507,971	543,529	581,576	622,287
RECEIPTS TO BE EXAMINED	384,228	410,817	441,463	469,992	502,892	538,094	575,761	616,064
REG PROD	275,008	285,467	302,133	329,924	361,909	385,526	408,493	431,177
TOT PROD	288,315	301,242	319,454	348,902	382,528	407,478	431,635	455,613
DISPOSALS	279,345	298,200	309,900	338,400	371,100	395,300	418,700	441,900
FIRST ACTS	297,285	304,284	329,008	359,404	393,956	419,655	444,571	469,327
PEND FA	21.1	22.0	23.3	24.9	26.0	27.0	28.1	29.2
PEND IS/AB	29.1	31.3	32.0	34.3	35.9	37.0	38.0	39.1
# SPE'S	294	365	405	440	471	500	525	547
#PATS PRTD	152104	160,000	175,549	189,454	207,563	222,608	236,103	249,397

**1,200 Examiner Hiring Levels**

FY 07 Overtime 80 hours per examiner FTE (90)

FY 07/12 Limitation on Continuations - 1% reduction in filings

FY 06/12 Attrition rate 13%(10%/9%/8%/7%/7%/7%/7%)

FY 06/07 Filing rate 8% - FY 08/12 7%

Chap I reduction 25%-07 50%-08 75%-09/12

Chap II reduction 25%-08 50%-09/12

Adjusted for Complexity Factor

PCT Outsourced Savings FY 06/12

1% Application Abandonments from OIPE



**08OMB.P11 Patent Production Model assumptions**

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012		
<b>Receipts:</b>										
UPR Filings growth @ 8% FY 07/08 - 7% FY 08/12	384,228	414,966	448,164	479,535	513,102	549,020	587,451	628,573		
Less 1% for discontinued continuation			2,241	4,795	5,131	5,490	5,875	6,286		
Less 10% for accelerated examination										
add back 20% of 5% of FY 09										
add back 20% of 5% of FY 10										
add back 20% of 5% of FY 11										
<b>UPR Filings</b>		414,966	445,923	474,740	507,971	543,529	581,576	622,287		
Less Abandonment Rate 1% during initial		4,150	4,459	4,747	5,080	5,435	5,816	6,223		
<b>UPR Filings TO BE Examined</b>		410,817	441,463	469,992	502,892	538,094	575,761	616,064		
<b>Examiner Hires:</b>	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200		
<b>Attrition rate:</b>	10%	13.0%	13.2%	13.3%	13.4%	13.5%	13.6%	13.6%		
<b>Overtime hours per examiner</b>		80	78	77	76	76	76	75		
<b>Production Rates:</b>										
Total complexity factor		-1.0%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%		
<b>Efficiency Gains</b>		0.0	0.0	0.0	0.0	0.0	0.0	0.0		
	FY 04	FY 05	2-YR Avg	Production Units per examiner per grade per fiscal year						
	Actual	Actual	of Actual							
GS-5	25.4	24.1	24.75	24.5	24.3	24.1	24.0	23.9	23.8	23.7
GS-7	31.5	31.4	31.45	31.1	30.8	30.7	30.5	30.4	30.2	30.1
GS-9	50.4	45.3	47.85	47.4	46.9	46.7	46.4	46.2	46.0	45.7
GS-11	62.7	54.2	58.45	57.9	57.3	57.0	56.7	56.4	56.1	55.9
GS-12	68.3	67.1	67.7	67.0	66.4	66.0	65.7	65.4	65.0	64.7
GS-13	81	79.4	80.2	79.4	78.6	78.2	77.8	77.4	77.0	76.7
GS-14	91.5	89.8	90.65	89.7	88.8	88.4	88.0	87.5	87.1	86.6
GS-15	103.1	99.3	101.2	100.2	99.2	98.7	98.2	97.7	97.2	96.7
<b>Patent Cooperation Treaty (PCT):</b>										
PCT Chapter I PUs redirected (paralegal)										
Chap I reduction 25%-07 50%-08 75%-09/12										
Chap II reduction 25%-08 50%-09/12										
Total PCT PU savings	913	1,250	2,680	7,446	12,768	13,628	14,540	15,507		
Examiner PCT PUs	14,234	14,806	14,339	10,594	6,355	6,642	6,946	7,268		
Examiner FTE	158	165	160	118	71	74	77	81		
<b>Examiner FTE lost/taken out of the examining corps:</b>										
Part-time	44	44	44	44	44	44	44	44		
Quality initiatives	12	5	5	6	17	28	34	40		
SP Quality Initiatives			112	127	72	74	76	77		
New Hire trainers	5	15	15	15	15	15	15	15		
CLE Training	8	29	34	38	43	48	53	58		
Exam Tech Trng & hrs	7	6	6	6	7	10	12	14		
<b>Allowance Rate</b>	58.7%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%		

SUMMARY FY 2005 ACTUAL DATA  
8/18/06 11:00 08OMB.P10

YEAR	2005	2006	2007	2008	2009	2010	2011	2012
EOY STAFF	4,177	4,747	5,315	5,818	6,267	6,680	7,048	7,377
PROF W-Y	3,804	4,197	4,672	5,230	5,793	6,202	6,575	6,921
# HIRED	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	425	559	588	658	717	756	805	846
Net Positions	534	641	612	542	483	444	395	354
OVERTIME(K)	12,225	14,795	17,100	19,500	22,100	24,150	26,140	28,100
OT HOURS	278,669	330,329	373,933	417,648	463,603	496,198	525,955	565,392
# BOY NEW	508,878	586,599	693,132	803,409	908,026	1,007,038	1,112,020	1,225,926
TOTAL D'TLS	13	20	20	20	20	20	20	20
AVG. GRADE	12.17	11.57	11.31	11.28	11.35	11.41	11.5	11.6
RECEIPTS	384,228	414,966	445,923	474,740	507,971	543,529	581,576	622,287
RECEIPTS TO BE EXAMINED	384,228	410,817	441,463	469,992	502,892	538,094	575,761	616,064
REG PROD	275,008	285,467	303,636	334,792	369,951	396,810	423,260	449,208
TOT PROD	288,315	301,242	321,493	354,737	392,090	420,506	448,377	476,208
DISPOSALS	279,345	298,200	311,800	344,100	380,300	407,900	434,900	461,900
FIRST ACTS	297,285	304,284	331,186	365,374	403,881	433,112	461,854	490,516
PEND FA	21.1	22.0	23.3	24.7	25.5	26.3	27.0	27.8
PEND IS/AB	29.1	31.3	32.0	34.3	35.7	36.5	37.3	38.0
# SPE'S	294	365	409	448	482	513	540	565
#PATS PRTD	152104	160,000	176,365	192,183	212,327	229,331	244,855	260,294

1,200 Examiner Hiring Levels  
 FY 07 Overtime 80 hours per examiner FTE (90)  
 No Efficiency gains from outsourcing the search  
 FY 07/12 Limitation on continuations - 1% reduction in filings

FY 07/12 Attrition rate 12%(10%/9%/8%/7%/7%/7%)  
 FY 07 Filing rate 8% - FY 08/12 7%  
 Chap I reduction 25%-07 50%-08 75%-09/12  
 Chap II reduction 25%-08 50%-09/12

Adjusted for Complexity Factor  
 PCT Outsourced Savings FY 07/12  
 1% Application Abandonments from OIPE

**08OMB.P10 Patent Production Model assumptions**

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012		
<b>Receipts:</b>										
UPR Filings growth @ 8% FY 07/08 - 7% FY 08/12	384,228	414,966	448,164	479,535	513,102	549,020	587,451	628,573		
Less 1% for discontinued continuation			2,241	4,795	5,131	5,490	5,875	6,286		
Less 10% for accelerated examination										
add back 20% of 5% of FY 09										
add back 20% of 5% of FY 10										
add back 20% of 5% of FY 11										
<b>UPR Filings</b>		414,966	445,923	474,740	507,971	543,529	581,576	622,287		
Less Abandonment Rate 1% during initial		4,150	4,459	4,747	5,080	5,435	5,816	6,223		
<b>UPR Filings TO BE Examined</b>		410,817	441,463	469,992	502,892	538,094	575,761	616,064		
<b>Examiner Hires:</b>	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200		
<b>Attrition rate:</b>	10%	13.0%	12.2%	12.3%	12.4%	12.5%	12.6%	12.6%		
<b>Overtime hours per examiner</b>		80	78	77	76	76	76	75		
<b>Production Rates:</b>										
Total complexity factor		-1.0%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%		
<b>Efficiency Gains</b>		0.0	0.0	0.0	0.0	0.0	0.0	0.0		
	FY 04 Actual	FY 05 Actual	2-YR Avg of Actual	Production Units per examiner per grade per fiscal year						
GS-5	25.4	24.1	24.75	24.5	24.3	24.1	24.0	23.9	23.8	23.7
GS-7	31.5	31.4	31.45	31.1	30.8	30.7	30.5	30.4	30.2	30.1
GS-9	50.4	45.3	47.85	47.4	46.9	46.7	46.4	46.2	46.0	45.7
GS-11	62.7	54.2	58.45	57.9	57.3	57.0	56.7	56.4	56.1	55.9
GS-12	68.3	67.1	67.7	67.0	66.4	66.0	65.7	65.4	65.0	64.7
GS-13	81	79.4	80.2	79.4	78.6	78.2	77.8	77.4	77.0	76.7
GS-14	91.5	89.8	90.65	89.7	88.8	88.4	88.0	87.5	87.1	86.6
GS-15	103.1	99.3	101.2	100.2	99.2	98.7	98.2	97.7	97.2	96.7
<b>Patent Cooperation Treaty (PCT):</b>										
PCT Chapter I PUs redirected (paralegal) : Chap I reduction 25%-07 50%-08 75%-09/12 Chap II reduction 25%-08 50%-09/12										
<b>Total PCT PU savings</b>		913	1,250	2,680	7,446	12,768	13,628	14,540	15,507	
<b>Examiner PCT PUs</b>	14,234	14,806	14,339	10,594	6,355	6,642	6,946	7,268		
<b>Examiner FTE</b>	158	165	160	118	71	74	77	81		
<b>Examiner FTE lost/taken out of the examining corps:</b>										
Part-time	44	44	44	44	44	44	44	44		
Quality initiatives	12	5	5	6	17	28	34	40		
SP Quality Initiatives			112	127	72	74	76	77		
New Hire trainers	5	15	15	15	15	15	15	15		
CLE Training	8	29	34	38	43	48	53	58		
Exm Tech Trng & hrs	7	6	6	6	7	10	12	14		
<b>Allowance Rate</b>	58.7%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%		

SUMMARY FY 2005 ACTUAL DATA  
8/11/06 11:00 08OMB.P9

YEAR	2005	2006	2007	2008	2009	2010	2011	2012
EOY STAFF	4,177	4,747	5,340	5,947	6,497	6,994	7,458	7,879
PROF W-Y	3,804	4,197	4,684	5,302	5,968	6,470	6,934	7,373
# HIRED	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	425	559	562	545	608	664	702	746
Net Positions	534	641	638	655	592	536	498	454
OVERTIME(K)	12,225	14,795	16,420	19,062	21,625	23,935	26,200	28,050
OT HOURS	278,669	330,329	359,064	408,267	453,639	491,781	527,162	564,386
# BOY NEW	508,878	586,599	693,132	805,453	909,872	940,501	966,420	990,345
TOTAL D'TLS	13	20	20	20	20	20	20	20
AVG. GRADE	12.17	11.57	11.31	11.3	11.38	11.46	11.56	11.68
RECEIPTS	384,228	414,966	448,164	479,535	513,102	549,020	587,451	628,573
RECEIPTS TO BE EXAMINED	384,228	410,817	443,682	474,740	447,015	478,814	512,839	549,245
REG PROD	275,008	285,467	304,534	340,014	382,580	416,213	449,533	482,865
TOT PROD	288,315	301,242	321,681	359,511	404,243	439,698	474,707	509,817
DISPOSALS	279,345	298,200	312,000	348,700	392,100	426,500	460,500	494,500
FIRST ACTS	297,285	304,284	331,361	370,321	416,385	452,895	488,915	525,135
PEND FA	21.1	22.0	23.3	24.9	26.1	25.7	24.7	23.7
PEND IS/AB	29.1	31.3	32.0	34.3	35.9	37.1	36.7	35.7
# SPE'S	294	365	410	458	500	539	573	606
#PATS PRTD	152104	160,000	179,592	198,421	221,761	242,452	261,941	281,642

#### 1,200 Examiner Hiring Levels

FY 07 Overtime 80 hours per examiner FTE (90)

No Efficiency gains from outsourcing the search

2% reduction in filings from continuation limitations starting in FY 09

10% reduction in filings from deferred examination starting in FY 09

FY 06/12 Attrition rate 13%/11.5%/10%/10%/10%/10%/10% (10%/9%/8%/7%/7%/7%)

FY 06/07 Filing rate 8% - FY 08/12 7%

Chap I reduction 25%-07 50%-08 75%-09/12

Chap II reduction 25%-08 50%-09/12

Adjusted for Complexity Factor

PCT Outsourced Savings FY 06/12

1% Application Abandonments from OIPE

## 08OMB.P9 Patent Production Model assumptions

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012			
<b>Receipts:</b>											
UPR Filings growth @ 8% FY 06/07 - 7% FY 08/12	384,228	414,966	448,164	479,535	513,102	549,020	587,451	628,573			
Less 2% for discontinued continuation					10,262	10,980	11,749	12,571			
Less 10% for accelerated examination					51,310	54,902	58,745	62,857			
add back 20% of 5% of FY 09						513	513	513			
add back 20% of 5% of FY 10							549	549			
add back 20% of 5% of FY 11								587			
UPR Filings		414,966	448,164	479,535	451,530	483,650	518,019	554,793			
Less Abandonment Rate 1% during initial UPR Filings TO BE Examined		4,150	4,482	4,795	4,515	4,837	5,180	5,548			
		410,817	443,682	474,740	447,015	478,814	512,839	549,245			
Examiner Hires:	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200			
Attrition rate:	10%	13.0%	13.2%	13.3%	13.4%	13.5%	13.6%	13.6%			
Target Attrition Rate:			10.2%	10.3%	10.4%	10.5%	10.6%	10.6%			
Overtime hours per examiner		80	78	77	76	76	76	75			
<b>Production Rates:</b>											
Total complexity factor		-1.0%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%			
Efficiency Gains		0.0	0.0	0.0	0.0	0.0	0.0	0.0			
	FY 04	FY 05	2-YR Avg		Production Units per examiner per grade per fiscal year						
	Actual	Actual	of Actual								
GS-5	25.4	24.1	24.75		24.5	24.3	24.1	24.0	23.9	23.8	23.7
GS-7	31.5	31.4	31.45		31.1	30.8	30.7	30.5	30.4	30.2	30.1
GS-9	50.4	45.3	47.85		47.4	46.9	46.7	46.4	46.2	46.0	45.7
GS-11	62.7	54.2	58.45		57.9	57.3	57.0	56.7	56.4	56.1	55.9
GS-12	68.3	67.1	67.7		67.0	66.4	66.0	65.7	65.4	65.0	64.7
GS-13	81	79.4	80.2		79.4	78.6	78.2	77.8	77.4	77.0	76.7
GS-14	91.5	89.8	90.65		89.7	88.8	88.4	88.0	87.5	87.1	86.6
GS-15	103.1	99.3	101.2		100.2	99.2	98.7	98.2	97.7	97.2	96.7
<b>Patent Cooperation Treaty (PCT):</b>											
PCT Chapter I PUs redirected (paralegal)											
Chap I reduction 25%-07 50%-08 75%-09/12											
Chap II reduction 25%-08 50%-09/12											
Total PCT PU savings		913	1,250	2,680	7,446	12,768	13,628	14,540	15,507		
Examiner PCT PUs	14,234	14,806	14,339	10,594	6,355	6,642	6,946	7,268			
Examiner FTE	158	165	160	118	71	74	77	81			
<b>Examiner FTE lost/taken out of the examining corps:</b>											
Part-time	44	44	44	44	44	44	44	44			
Quality initiatives	12	5	5	6	17	28	34	40			
SP Quality Initiatives			112	127	72	74	76	77			
New Hire trainers	5	15	15	15	15	15	15	15			
CLE Training	8	29	34	38	43	48	53	58			
Senior Tech Trng 8 hrs	7	6	6	6	7	10	12	14			
Allowance Rate	58.7%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%			

SUMMARY FY 2005 ACTUAL DATA  
8/11/06 11:00 08OMB.P6

YEAR	2005	2006	2007	2008	2009	2010	2011	2012
EOY STAFF	4,177	4,747	5,340	5,947	6,497	6,994	7,458	7,879
PROF W-Y	3,804	4,197	4,684	5,302	5,968	6,470	6,934	7,373
# HIRED	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	425	559	562	545	608	664	702	746
Net Positions	534	641	638	655	592	536	498	454
OVERTIME(K)	12,225	14,795	16,420	19,062	21,625	23,935	26,200	28,050
OT HOURS	278,669	330,329	359,064	408,267	453,639	491,781	527,162	564,386
# BOY NEW	508,878	586,599	693,132	805,453	900,377	931,006	956,925	980,850
TOTAL D'TLS	13	20	20	20	20	20	20	20
AVG. GRADE	12.17	11.57	11.31	11.3	11.38	11.46	11.56	11.68
RECEIPTS	384,228	414,966	448,164	479,535	513,102	549,020	587,451	628,573
RECEIPTS TO BE EXAMINED	384,228	410,817	443,682	465,245	447,015	478,814	512,839	549,245
REG PROD	275,008	285,467	304,534	340,014	382,580	416,213	449,533	482,865
TOT PROD	288,315	301,242	321,681	359,511	404,243	439,698	474,707	509,817
DISPOSALS	279,345	298,200	312,000	348,700	392,100	426,500	460,500	494,500
FIRST ACTS	297,285	304,284	331,361	370,321	416,385	452,895	488,915	525,135
PEND FA	21.1	22.0	23.3	24.7	25.9	25.5	24.5	23.5
PEND IS/AB	29.1	31.3	32.0	34.3	35.7	36.9	36.5	35.5
# SPE'S	294	365	410	458	500	539	573	606
#PATS PRTD	152104	160,000	179,592	198,421	221,761	242,452	261,941	281,642

1,200 Examiner Hiring Levels

FY 07 Overtime 80 hours per examiner FTE (90)

No Efficiency gains from outsourcing the search

2% reduction in filings from continuation limitations starting in FY 08

10% reduction in filings from deferred examination starting in FY 09

FY 06/12 Attrition rate 13%/11.5%/10%/10%/10%/10%/10% (10%/9%/8%/7%/7%/7%)

FY 06/07 Filing rate 8% - FY 08/12 7%

Chap I reduction 25%-07 50%-08 75%-09/12

Chap II reduction 25%-08 50%-09/12

Adjusted for Complexity Factor

PCT Outsourced Savings FY 06/12

1% Application Abandonments from OIPE

**08OMB.P6 Patent Production Model assumptions**

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012		
<b>Receipts:</b>										
UPR Filings growth @ 8% FY 06/07 - 7% FY 08/12	384,228	414,966	448,164	479,535	513,102	549,020	587,451	628,573		
Less 2% for discontinued continuation				9,591	10,262	10,980	11,749	12,571		
Less 10% for accelerated examination					51,310	54,902	58,745	62,857		
add back 20% of 5% of FY 09						513	513	513		
add back 20% of 5% of FY 10							549	549		
add back 20% of 5% of FY 11								587		
UPR Filings		414,966	448,164	469,944	451,530	483,650	518,019	554,793		
Less Abandonment Rate 1% during initial UPR Filings TO BE Examined		4,150	4,482	4,699	4,515	4,837	5,180	5,548		
		410,817	443,682	465,245	447,015	478,814	512,839	549,245		
Examiner Hires:	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200		
Attrition rate:	10%	13.0%	13.2%	13.3%	13.4%	13.5%	13.6%	13.6%		
Target Attrition Rate:			10.2%	10.3%	10.4%	10.5%	10.6%	10.6%		
Overtime hours per examiner		80	78	77	76	76	76	75		
<b>Production Rates:</b>										
Total complexity factor		-1.0%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%		
Efficiency Gains		0.0	0.0	0.0	0.0	0.0	0.0	0.0		
	FY 04 Actual	FY 05 Actual	2-YR Avg of Actual	Production Units per examiner per grade per fiscal year						
GS-5	25.4	24.1	24.75	24.5	24.3	24.1	24.0	23.9	23.8	23.7
GS-7	31.5	31.4	31.45	31.1	30.8	30.7	30.5	30.4	30.2	30.1
GS-9	50.4	45.3	47.85	47.4	46.9	46.7	46.4	46.2	46.0	45.7
GS-11	62.7	54.2	58.45	57.9	57.3	57.0	56.7	56.4	56.1	55.9
GS-12	68.3	67.1	67.7	67.0	66.4	66.0	65.7	65.4	65.0	64.7
GS-13	81	79.4	80.2	79.4	78.6	78.2	77.8	77.4	77.0	76.7
GS-14	91.5	89.8	90.65	89.7	88.8	88.4	88.0	87.5	87.1	86.6
GS-15	103.1	99.3	101.2	100.2	99.2	98.7	98.2	97.7	97.2	96.7
<b>Patent Cooperation Treaty (PCT):</b>										
PCT Chapter I PUs redirected (paralegal)										
Chap I reduction 25%-07 50%-08 75%-09/12										
Chap II reduction 25%-08 50%-09/12										
Total PCT PU savings		913	1,250	2,680	7,446	12,768	13,628	14,540	15,507	
Examiner PCT PUs		14,234	14,806	14,339	10,594	6,355	6,642	6,946	7,268	
Examiner FTE		158	165	160	118	71	74	77	81	
<b>Examiner FTE lost/taken out of the examining corps:</b>										
Part-time		44	44	44	44	44	44	44	44	
Quality initiatives		12	5	5	6	17	28	34	40	
SP Quality Initiatives				112	127	72	74	76	77	
New Hire trainers		5	15	15	15	15	15	15	15	
CLE Training		8	29	34	38	43	48	53	58	
Exmr Tech Trng 8 hrs		7	6	6	6	7	10	12	14	
Allowance Rate		58.7%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%	60.0%	

SUMMARY FY 2005 ACTUAL DATA  
5/28/06 12:30 08OMB.P2

YEAR	2005	2006	2007	2008	2009	2010	2011	2012
EOY STAFF	4,177	4,562	5,102	5,597	6,050	6,464	6,843	7,190
PROF W-Y	3,804	4,129	4,603	5,157	5,662	6,076	6,457	6,818
# HIRED	959	1,000	1,000	1,000	1,000	1,000	1,000	1,000
# ATTRITED	425	559	418	467	512	554	592	626
Net Positions	534	441	582	533	488	446	408	374
OVERTIME(K)	12,225	14,795	16,840	19,263	21,594	23,659	25,671	27,675
OT HOURS	278,669	330,329	368,255	412,579	452,986	486,119	516,519	556,850
# BOY NEW	508,878	586,599	696,362	806,015	894,564	983,126	1,080,167	1,189,822
TOTAL D'TLS	13	20	20	20	20	20	20	20
AVG. GRADE	12.17	11.66	11.53	11.54	11.62	11.69	11.78	11.88
RECEIPTS	384,228	414,966	448,164	464,656	501,828	541,975	585,333	632,159
RECEIPTS TO BE EXAMINED	384,228	410,817	443,682	459,816	496,601	536,329	579,235	625,574
REG PROD	275,008	283,852	306,678	340,782	374,537	403,280	431,224	458,678
TOT PROD	288,315	299,627	324,264	360,484	396,169	426,494	455,890	485,270
DISPOSALS	279,345	298,200	314,500	349,700	384,300	413,700	442,200	470,700
FIRST ACTS	297,285	301,054	334,029	371,267	408,039	439,288	469,579	499,839
PEND FA	21.1	22.0	23.3	24.0	24.8	25.7	26.1	26.7
PEND IS/AB	29.1	31.3	32.0	33.3	34.0	34.8	35.7	36.1
# SPE'S	294	350	392	430	465	497	526	553
#PATS PRTD	152104	160,000	177,526	194,980	214,842	232,392	248,817	265,114

**1,000 Examiner Hiring Levels**

Overtime 80 hours per examiner FTE (90)

No Efficiency gains from outsourcing the search

FY 06/12 Attrition rate 13%/9%/9%/9%/9%/9%/9% (10%/9%/8%/7%/7%/7%/7%)

FY 08/12 Claims/Continuations at 4% reduction in filings

FY 06/12 Filing rate 8% (FY 07/11 - 7%)

Chap I reduction 25%-07 50%-08 75%-09/12

Chap II reduction 25%-08 50%-09/12

Adjusted for Complexity Factor

PGPub Outsourced Savings FY 06/12

PCT Outsourced Savings FY 06/12

1% Application Abandonments from OIPE

GS-12+ Tech Training



**08OMB.P2 Patent Production Model assumptions**

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012		
<b>Receipts:</b>										
UPR Filings growth @ 8% FY 05/12	384,228	414,966	448,164	484,017	522,738	564,557	609,722	658,499		
Less 4% for discontinued continuation UPR Filings				19,361	20,910	22,582	24,389	26,340		
				464,656	501,828	541,975	585,333	632,159		
Less Abandonment Rate 1% during initial UPR Filings TO BE Examined		4,150	4,482	4,840	5,227	5,646	6,097	6,585		
		410,817	443,682	459,816	496,601	536,329	579,235	625,574		
<b>Examiner Hires:</b>	959	1,000	1,000	1,000	1,000	1,000	1,000	1,000		
<b>Attrition rate:</b>	10%	13%	9%	9%	9%	9%	9%	9%		
<b>Production Rates:</b>										
Total complexity factor		-1.0%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%		
<b>Efficiency Gains</b>		0.0	0.0	0.0	0.0	0.0	0.0	0.0		
	FY 04 Actual	FY 05 Actual	2-YR Avg of Actual	Production Units per examiner per grade per fiscal year						
GS-5	25.4	24.1	24.75	24.5	24.3	24.1	24.0	23.9	23.8	23.7
GS-7	31.5	31.4	31.45	31.1	30.8	30.7	30.5	30.4	30.2	30.1
GS-9	50.4	45.3	47.85	47.4	46.9	46.7	46.4	46.2	46.0	45.7
GS-11	62.7	54.2	58.45	57.9	57.3	57.0	56.7	56.4	56.1	55.9
GS-12	68.3	67.1	67.7	67.0	66.4	66.0	65.7	65.4	65.0	64.7
GS-13	81	79.4	80.2	79.4	78.6	78.2	77.8	77.4	77.0	76.7
GS-14	91.5	89.8	90.65	89.7	88.8	88.4	88.0	87.5	87.1	86.6
GS-15	103.1	99.3	101.2	100.2	99.2	98.7	98.2	97.7	97.2	96.7
<b>Patent Cooperation Treaty (PCT):</b>										
PCT Chapter I PUs redirected (paralegal)										
Total PCT PU savings	913	1,250	2,680	7,446	12,768	13,628	14,540	15,507		
Examiner PCT PUs	14,234	14,806	14,339	10,594	6,355	6,642	6,946	7,268		
Examiner FTE	158	165	160	118	71	74	77	81		
<b>Competitive Sourcing:</b>	0	35	37	39	42	44	47	50		
PGPub FTE redirected to examination										
<b>Overtime:</b>	86	85	80	80	80	80	80	80		
Overtime hours per examiner FTE										
<b>Examiner FTE lost/taken out of the examining corps:</b>										
Part-time	44	44	44	44	44	44	44	44		
Quality initiatives	12	5	5	6	17	28	34	40		
New Hire trainers	5	15	15	15	15	15	15	15		
CLE Training	8	29	34	38	43	48	53	58		
Exam Tech Trng 8 hrs >=GS12	7	6	6	6	7	10	12	14		
<b>Allowance Rate</b>	58.7%	60.0%	63.0%	63.0%	63.0%	63.0%	63.0%	63.0%		

SUMMARY FY 2006 ACTUAL DATA  
4/3/07 12:15 08CONG.P16

YEAR	2005	2006	2007	2008	2009	2010	2011	2012
EOY STAFF	4,177	4,779	5,395	5,970	6,487	6,953	7,374	7,751
PROF W-Y	3,804	4,444	4,788	5,411	5,992	6,471	6,907	7,299
# HIRED	959	1,193	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	425	510	511	580	643	699	749	793
Net Positions	534	683	689	620	557	501	451	407
OVERTIME(K)	12,225	15,031	17,520	20,215	22,900	25,200	27,500	29,630
OT HOURS	278,669	341,760	383,118	432,962	480,386	517,772	553,319	596,177
# BOY NEW	508,878	574,922	674,333	789,434	893,580	994,654	1,101,400	1,218,269
TOTAL D'TLS	13	13	20	20	20	20	20	20
AVG. GRADE	12.17	11.59	11.52	11.54	11.63	11.73	11.84	11.94
RECEIPTS TO BE EXAMINED	384,228	419,760	453,340	489,600	528,800	571,100	616,800	666,100
REG PROD	275,008	298,937	313,578	357,503	396,707	430,862	464,127	495,194
TOT PROD	288,315	315,019	331,607	377,877	419,313	455,227	490,165	523,249
DISPOSALS	279,345	309,689	324,975	370,300	410,900	446,100	480,400	512,800
FIRST ACTS	297,285	320,349	338,239	385,454	427,725	464,355	499,931	533,698
PEND FA	21.1	22.6	23.7	23.9	24.1	24.6	25.2	25.8
PEND IS/AB	29.1	31.1	33.0	34.7	34.9	35.1	35.6	36.2
# SPE'S	294	365	415	460	500	535	565	595
#PATS PRTD	152104	164,115	177,397	188,903	210,849	230,071	248,232	265,524

1,200 Examiner Hiring Levels  
FY 07 Overtime 80 hours per examiner FTE  
FY 08/12 2% efficiency for Claims  
FY 08/12 allowance rate is 54%

FY 07/12 Attrition rate 10%  
FY 07/12 Filing rate 8%  
Chap I reduction 25%-07 50%-08 75%-09/12  
Chap II reduction 25%-08 50%-09/12

Adjusted for Complexity Factor  
PCT Outsourced Savings FY 07/12  
1% Application Abandonments from OIPE

08CONG.P16 Patent Production Model assumptions

Fiscal Year	2005	2006	2007	2008	2009	2010	2011	2012		
<b>Receipts:</b>										
UPR Filings growth @ 8% FY 07/12	384,228	419,760	453,340	489,600	528,800	571,100	616,800	666,100		
Less 1% for discontinued continuation										
Less 10% for accelerated examination										
add back 20% of 5% of FY 09										
add back 20% of 5% of FY 10										
add back 20% of 5% of FY 11										
UPR Filings		419,760	453,340	489,600	528,800	571,100	616,800	666,100		
Less Abandonment Rate 1% during initial		4,198	4,533	4,896	5,288	5,711	6,168	6,661		
UPR Filings TO BE Examined		415,562	448,807	484,704	523,512	565,389	610,632	659,439		
Examiner Hires:	959	1,200	1,200	1,200	1,200	1,200	1,200	1,200		
Attrition rate:	10.6%	10%	10%	10%	10%	10%	10%	10%		
Overtime hours per examiner		80	80	80	80	80	80	80		
<b>Production Rates:</b>										
Total complexity factor			-1.0%	-1.5%	-2.0%	-2.5%	-3.0%	-3.5%		
Efficiency Gains		0.0	0.0	2.0%	2.0%	2.0%	2.0%	2.0%		
	FY 04	FY 05	FY 06	Production Units per examiner per grade per fiscal year						
	Actual	Actual	Actual							
GS-5	25.4	24.1	25.1	25.1	24.8	25.2	25.1	25.0	24.8	24.7
GS-7	31.5	31.4	34.1	34.1	33.8	34.3	34.1	33.9	33.8	33.6
GS-9	50.4	45.3	49.9	49.9	49.4	50.1	49.9	49.6	49.4	49.1
GS-11	62.7	54.2	53.1	53.1	52.6	53.4	53.1	52.8	52.6	52.3
GS-12	68.3	67.1	65.6	65.6	64.9	65.9	65.6	65.3	64.9	64.6
GS-13	81	79.4	77.0	77.0	76.2	77.4	77.0	76.6	76.2	75.8
GS-14	91.5	89.8	87.9	87.9	87.0	88.3	87.9	87.4	87.0	86.6
GS-15	103.1	99.3	92.3	92.3	91.4	92.7	92.3	91.8	91.4	90.9
<b>Patent Cooperation Treaty (PCT):</b>										
PCT Chapter I PUs redirected (paralegal)										
Chap I reduction 25%-07 50%-08 75%-09/12										
Chap II reduction 25%-08 50%-09/12										
Total PCT PU savings		913	977	2,690	6,725	11,231	11,960	12,732	13,551	
Examiner PCT PUs		14,234	12,617	11,719	8,549	4,960	5,203	5,460	5,733	
Examiner FTE		158	144	133	97	56	59	62	65	
<b>Examiner FTE lost/taken out of the examining corps:</b>										
Part-time		44	44	44	44	44	44	44	44	
Quality initiatives		12.7	0	0	11	22	27	28	28	
SP Quality Initiatives			19	39	34	34	34	34	34	
New Hire trainers		29	15	15	15	15	15	15	15	
CLE Training		2	4	6	8	10	12	14	14	
Exmr Tech Trng 8 hrs		20	3	6	9	11	13	15	15	
Allowance Rate		53.6%	60.0%	54.0%	54.0%	54.0%	54.0%	54.0%	54.0%	

PT actual number based on 60% TOD  
 Quality Initiatives 55 hours per GS-12  
 SP Quality Initiatives Target reviews, quality award, reclass, search strategy, and soft skills. FY 07 mid-year implementation  
 New Hire trainers are additional over FY 06 level.  
 CLE Training 2 FTE over base each year  
 Exmr tech trng is 8 hours per examiner over FY 06 base.

SUMMARY FY 2006 ACTUAL DATA  
3/29/07 12:15 08CONG.P15

YEAR	2005	2006	2007	2008	2009	2010	2011	2012
EOY STAFF	4,177	4,779	5,395	5,970	6,487	6,953	7,374	7,751
PROF W-Y	3,804	4,444	4,788	5,411	5,992	6,471	6,907	7,299
# HIRED	959	1,193	1,200	1,200	1,200	1,200	1,200	1,200
# ATTRITED	425	510	511	580	643	699	749	793
Net Positions	534	683	689	620	557	501	451	407
OVERTIME(K)	12,225	15,031	17,520	20,215	22,900	25,200	27,500	29,630
OT HOURS	278,669	341,760	383,118	432,962	480,386	517,772	553,319	596,177
# BOY NEW	508,878	574,922	674,333	789,434	893,580	994,654	1,101,400	1,218,269
TOTAL D'TLS	13	13	20	20	20	20	20	20
AVG. GRADE	12.17	11.59	11.52	11.54	11.63	11.73	11.84	11.94
RECEIPTS TO BE EXAMINED	384,228	419,760	453,340	489,600	528,800	571,100	616,800	666,100
REG PROD	275,008	298,937	313,578	357,503	396,707	430,862	464,127	495,194
TOT PROD	288,315	315,019	331,607	377,877	419,313	455,227	490,165	523,249
DISPOSALS	279,345	309,689	324,975	370,300	410,900	446,100	480,400	512,800
FIRST ACTS	297,285	320,349	338,239	385,454	427,725	464,355	499,931	533,698
PEND FA	21.1	22.6	23.7	23.9	24.1	24.6	25.2	25.8
PEND IS/AB	29.1	31.1	33.0	34.7	34.9	35.1	35.6	36.2
# SPE'S	294	365	415	460	500	535	565	595
#PATS PRTD	152104	164,115	177,397	202,895	226,467	247,113	266,619	285,192

1,200 Examiner Hiring Levels  
FY 07 Overtime 80 hours per examiner FTE  
FY 08/12 2% efficiency for Claims

FY 07/12 Attrition rate 10%  
FY 07/12 Filing rate 8%  
Chap I reduction 25%-07 50%-08 75%-09/12  
Chap II reduction 25%-08 50%-09/12

Adjusted for Complexity Factor  
PCT Outsourced Savings FY 07/12  
1% Application Abandonments from OIPE