

EXHIBIT 1

Excerpts of Administrative Record

Bahr, Robert

From: Morse, Gregory
Sent: Wednesday, July 19, 2006 8:08 AM
To: Bahr, Robert
Subject: RE: Continuing applications data



Refile Analysis.xls

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

From: Bahr, Robert
Sent: Wednesday, July 19, 2006 5:49 AM
To: Morse, Gregory
Subject: Continuing applications data

Could you obtain for me a chart showing the number of applications filed from FY 1982-2005 and also showing the number and percentage of continuation, divisional, continuation-in-part, and total continuing applications filed each of these FYs?

Fiscal Year	UPR Filings	Continuations	CPAs	RCEs	R129s	Total CON-type Refiles	% CONs of Total Filings	% Total CONs of Total Filings
FY80	93,800	6,022	0	0	0	6,022	6.4%	6.4%
FY81	107,513	8,192	0	0	0	8,192	7.6%	7.6%
FY82	116,731	9,097	0	0	0	9,097	7.8%	7.8%
FY83	97,448	6,764	0	0	0	6,764	6.9%	6.9%
FY84	109,539	9,509	0	0	0	9,509	8.7%	8.7%
FY85	116,427	11,882	0	0	0	11,882	10.2%	10.2%
FY86	121,611	14,036	0	0	0	14,036	11.5%	11.5%
FY87	126,407	15,466	0	0	0	15,466	12.2%	12.2%
FY88	137,069	16,923	0	0	0	16,923	12.3%	12.3%
FY89	151,331	19,184	0	0	0	19,184	12.7%	12.7%
FY90	163,561	19,962	0	0	0	19,962	12.2%	12.2%
FY91	167,715	22,346	0	0	0	22,346	13.3%	13.3%
FY92	172,539	26,086	0	0	0	26,086	15.1%	15.1%
FY93	174,553	28,067	0	0	0	28,067	16.1%	16.1%
FY94	186,123	31,750	0	0	0	31,750	17.1%	17.1%
FY95	221,304	37,563	0	0	1,612	39,175	17.0%	17.7%
FY96	191,016	23,735	0	0	5,016	28,751	12.4%	15.1%
FY97	220,773	28,673	0	0	3,737	32,410	13.0%	14.7%
FY98	240,090	14,016	17,461	0	2,356	33,833	5.8%	14.1%
FY99	261,013	13,239	25,258	0	949	39,446	5.1%	15.1%
FY2000	293,244	17,613	30,888	1,033	444	49,978	6.0%	17.0%
FY2001	326,081	21,436	22,406	12,438	206	56,486	6.6%	17.3%
FY2002	333,688	25,613	8,978	25,680	118	60,389	7.7%	18.1%
FY2003	333,452	26,141	2,333	39,572	87	68,133	7.8%	20.4%
FY2004	355,527	27,981	0	46,014	42	74,037	7.9%	20.8%
FY2005	384,228	30,756	0	54,964	8	85,728	8.0%	22.3%
FY2006	229,219	17,212	0	38,259	9	55,480	7.5%	24.2%

REDACTED

Relevant data:

Of the 607,347 backfile applications for which claims data is available, 304,365 (50.1%) have 3 or fewer independent claims and 20 or fewer total claims, and 302,982 (49.9%) have more than 3 independent claims or more than 20 total claims. Thus, it appears that 324,350 (49.9% of 650,000) applicants would be affected by a requirement (in an application containing more than 3 independent claims or more than 20 total claims) to select which dependent claims (if any) are representative claims.

Costs to applicants: It is estimated that a reply to a notice to designate which dependent claims (if any) are representative claims will on average take 1 hour of attorney time at \$286/hour. Thus, the total cost to all patent applicants to select which dependent claims (if any) are representative claims would be \$92,764,100 (324,350 hours at \$286/hour).

REDACTED

Relevant data:

Of the 607,347 backfile applications for which claims data is available, 475,627 (78.3%) have 6 or fewer independent claims and 30 or fewer total claims, and 131,720 (21.7%) have more than 6 independent claims or more than 30 total claims. Thus, it appears that 140,970 (21.7% of 650,000) applicants would be affected by a requirement (in an application containing more than 6 independent claims or more than 30 total claims) to select which dependent claims (if any) are representative claims.

Costs to applicants: It is estimated that a reply to a notice to designate which dependent claims (if any) are representative claims will on average take 1 hour of attorney time at \$286/hour. Thus, the total cost to all patent applicants to select which dependent claims (if any) are representative claims would be \$40,317,420 (140,970 hours at \$286/hour).

Comparison Chart

	10 Representative Claims	3/20 Representative Claims	6/30 Representative Claims
# of Claims	Independent: 1-10 Total: 1-10	Independent: 1-3 Total: 1-20	Independent: 1-6 Total: 1-30
% of Applicants Required to Select	82.1%	49.9%	21.7%
Costs to Applicants	\$158.3 M	\$92.8 M	\$40.3 M

CONFIDENTIAL

Do Not Distribute

Morse, Gregory

From: Hutzell, Paula
Sent: Wednesday, October 18, 2006 12:16 PM
To: Focarino, Margaret (Peggy)
Cc: Le, Nancy (Off of the Comm for Patents); Morse, Gregory; Rater, Martin
Subject: Results of RCE Targeted Review

Peggy,

The results of our RCE review are attached below. The word document contains a summary, the PDF file contains the detailed findings and the Excel file is the review form that was used by the reviewers. Let us know if you have any questions.

Thanks



RCE Review
Summary.doc



OPQA RCE Review
Summary - 0610...



RCE Review Form
v1 061004.xls

Paula Hutzell
Office of Patent Quality Assurance
MDW 4B89
Phone: (571) 272-0531
RightFax: (571) 273-0531
email: paula.hutzell@uspto.gov

Targeted RCE Review Results Summary

- 5.5% of RCEs reviewed should have been allowed prior to filing of the RCE
 - Sampling error margin: +/- 2.5% @ 95 % confidence level
 - Sample consisted of 325 RCEs allowed on first action that were randomly selected from across all TCs
- Finding of no improper action by examiner- Principle reasons that application was not allowed prior to RCE filing:
 - Applicant filed an RCE without filing a response after final rejection (38.5%)
 - Applicant presented substantial new amendment evidence, and/or arguments with or after filing of RCE to place application in condition for allowance (40.6%)
 - Examiner properly denied entry of an after-final amendment that was not in compliance with the requirements of 37 CFR 1.116 (31.4%)
- Finding of improper action by examiner: Principle reasons why examiner did not allow application prior to RCE filing:
 - RCE allowed based upon entry of after-final amendment to which examiner improperly denied entry after final rejection (3.7%)
 - RCE allowed based upon the same arguments/evidence presented and considered by examiner in previous action/no claim amendments (1.2%)
 - Other (0.6%)

Review Form

RCE Review Form

Application No. []

RQAS []

Click to select from list

In an application which was allowed on the first action following the filing of an RCE, should the application have been allowed prior to filing of RCE?

Yes No

If yes, what is the indication that the application should have been allowed Prior to RCE: (check appropriate box a, b, or c)

- a. RCE allowed based on same arguments/evidence presented in previous response that was entered and considered by the examiner/no claim amendments
- b. RCE allowed based upon entry of amendment to which examiner improperly denied entry after final rejection
 - Amendment did not raise new issues that would require further consideration and/or search and placed application in condition for allowance.
 - Amendment merely canceled claims.
 - Amendment merely complied with matters of form expressly set forth in a previous Office Action
 - Independent claim amended to incorporate limitation previously in dependent claim
 - Amendment introduced limitation suggested by examiner in prior Office action to overcome rejection and otherwise placed the application in condition for allowance
- c. Other - please specify in comments.

If no, indicate why examiner action was proper: (check appropriate box a, b, c, d, e, f, or g.)

- a. Applicant filed an RCE without filing a response after Final Rejection
- b. Amendment after final was informal/non-responsive and applicant chose to file an RCE in response to the notice of informality
- c. Applicant filed an amendment after final and then filed an RCE before the examiner was able to consider the amendment after final
- d. Examiner properly refused entry/consideration of untimely affidavit/IDS after final rejection
- e. Examiner properly denied entry of after-final amendment that was not in compliance with requirements of 37 CFR 1.116
 - Amendment added claim(s) to patentably distinct invention
 - Amendment added claim(s) that raised a new issue that would require further consideration and/or search
 - Was limitation previously in dependent claim? Yes No
 - Amendment added a limitation to an existing claim that would require further consideration and/or search
 - Amendment raised the issue of new matter
 - Amendment added additional claim(s) without canceling corresponding number of claims
 - Would entry/allowance have imposed burden on examiner? Yes No

If any item e. boxes checked, should applicant have been called and given an opportunity to modify proposed amendment to place application in condition for allowance?

Yes No

If yes, is there an indication in the record that an attempt was made to contact applicant and reach agreement?

Yes No

- f. Applicant presented substantial new amendment/evidence/argument with/after filing of RCE to place application in condition for allowance
- g. Other - please specify in comments.

Comments

[Empty box for comments]

Raw Data

OPQA RCE Review
October, 2006

	Yes		No		Total
	Count	Row N %	Count	Row N %	Count
Should the application have been allowed prior to filing of RCE?	18	5.5%	307	94.5%	325

Sampling Error Margin: +/- 2.5% @ 95% Confidence Level

Review Outcome	Count	% of Total Cases
Proper: Applicant filed an RCE without filing a response after Final Rejection	125	38.5%
Proper: Amendment after final was informal/non-responsive and applicant chose to file an RCE in response to the notice of informality	1	.3%
Proper: Applicant filed an amendment after final and then filed an RCE before the examiner was able to consider the amendment after final	6	1.8%
Proper: Examiner properly refused entry/consideration of untimely affidavit/IDS after final rejection	1	.3%
Proper: Examiner properly denied entry of after-final amendment that was not in compliance with requirements of 37 CFR 1.116	102	31.4%
Proper: Applicant presented substantial new amendment/evidence/argument with/after filing of RCE to place application in condition for allowance	132	40.6%
Proper: Other - please specify in comments.	23	7.1%
Not Proper: RCE allowed based on same arguments/evidence presented in previous response that was entered and considered by the examiner/no claim amendments	4	1.2%
Not Proper: RCE allowed based upon entry of amendment to which examiner improperly denied entry after final rejection	12	3.7%
Not Proper: Other - please specify in comments.	7	2.2%

Sum of items may exceed 100% due to multiple reasons cited for a particular application.

OPQA RCE Review
October, 2006

Application should have been allowed prior to filing of RCE.

Examiner Action Not Proper Item A	True		False		Total
	Count	Row N %	Count	Row N %	Count
Not Proper: RCE allowed based on same arguments/evidence presented in previous response that was entered and considered by the examiner/no claim amendments	4	22.2%	14	77.8%	18

Examiner Action Not Proper Item B	True		False		Total
	Count	Row N %	Count	Row N %	Count
Not Proper: RCE allowed based upon entry of amendment to which examiner improperly denied entry after final rejection	12	66.7%	6	33.3%	18

	True		False		Total
	Count	Row N %	Count	Row N %	Count
Amendment did not raise new issues that would require further consideration and/or search and placed application in condition for allowance.	11	91.7%	1	8.3%	12

	True		False		Total
	Count	Row N %	Count	Row N %	Count
Amendment merely canceled claims.	0	.0%	11	100.0%	11

	True		False		Total
	Count	Row N %	Count	Row N %	Count
Amendment merely complied with matters of form expressly set forth in a previous Office Action	2	18.2%	9	81.8%	11

	True		False		Total
	Count	Row N %	Count	Row N %	Count
Independent claim amended to incorporate limitation previously in dependent claim	8	72.7%	3	27.3%	11

OPQA RCE Review
October, 2006

	True		False		Total
	Count	Row N %	Count	Row N %	Count
Amendment introduced limitation suggested by examiner in prior Office action to overcome rejection and otherwise placed the application in condition for allowance	4	36.4%	7	63.6%	11

Examiner Action Not Proper (Row %)	True		False		Total
	Count	Row N %	Count	Row N %	Count
Not Proper: Other - please specify in comments.	7	38.9%	11	61.1%	18

OPQA RCE Review
October, 2006

Application *should not* have been allowed prior to filing of RCE (examiner action was proper)

Proper Item A	True		False		Total
	Count	Row N %	Count	Row N %	Count
Proper: Applicant filed an RCE without filing a response after Final Rejection	125	40.7%	182	59.3%	307

Proper Item B	True		False		Total
	Count	Row N %	Count	Row N %	Count
Proper: Amendment after final was informal/non-responsive and applicant chose to file an RCE in response to the notice of informality	1	.3%	306	99.7%	307

Proper Item C	True		False		Total
	Count	Row N %	Count	Row N %	Count
Proper: Applicant filed an amendment after final and then filed an RCE before the examiner was able to consider the amendment after final	6	2.0%	301	98.0%	307

Proper Item D	True		False		Total
	Count	Row N %	Count	Row N %	Count
Proper: Examiner properly refused entry/consideration of untimely affidavit/IDS after final rejection	1	.3%	306	99.7%	307

Proper Item E	True		False		Total
	Count	Row N %	Count	Row N %	Count
Proper: Examiner properly denied entry of after-final amendment that was not in compliance with requirements of 37 CFR 1.116	102	33.2%	205	66.8%	307

	True		False		Total
	Count	Row N %	Count	Row N %	Count
Amendment added claim(s) to patentably distinct invention	0	.0%	102	100.0%	102

OPQA RCE Review
October, 2006

	True		False		Total
	Count	Row N %	Count	Row N %	Count
Amendment added claim(s) that raised a new issue that would require further consideration and/or search	18	17.6%	84	82.4%	102

	Yes		No		Total
	Count	Row N %	Count	Row N %	Count
Was limitation previously in dependent claim?	2	11.1%	16	88.9%	18

	True		False		Total
	Count	Row N %	Count	Row N %	Count
Amendment added a limitation to an existing claim that would require further consideration and/or search	96	94.1%	6	5.9%	102

	True		False		Total
	Count	Row N %	Count	Row N %	Count
Amendment raised the issue of new matter	2	2.0%	100	98.0%	102

	True		False		Total
	Count	Row N %	Count	Row N %	Count
Amendment added additional claim(s) without canceling corresponding number of claims	4	3.9%	98	96.1%	102

	Yes		No		Total
	Count	Row N %	Count	Row N %	Count
Would entry/allowance have imposed burden on examiner?	4	100.0%	0	.0%	4

OPQA RCE Review
October, 2006

	Yes		No		Total
	Count	Row N %	Count	Row N %	Count
Should applicant have been called and given an opportunity to modify proposed amendment to place application in condition for allowance?	0	.0%	102	100.0%	102

Proper Item E	True		False		Total
	Count	Row N %	Count	Row N %	Count
Proper: Applicant presented substantial new amendment/evidence/argument with/after filing of RCE to place application in condition for allowance	132	43.0%	175	57.0%	307

Proper Item E	True		False		Total
	Count	Row N %	Count	Row N %	Count
Proper: Other - please specify in comments.	23	7.5%	284	92.5%	307

Reviewer Comments: Examiner Action Not Proper			
Not Proper: RCE allowed based on same arguments/evidence presented in previous response that was entered and considered by the examiner/no claim amendments.	Not Proper: RCE allowed based upon entry of amendment to which examiner improperly denied entry after final rejection	Not Proper: Other	Reviewer Comments
	TRUE		Dependent claims 2-5 were incorporated in claim 1 and persuasively argued. The amendment was denied because dependent claim 6 only depended from claim 1, which would now incorporate dependent claim limitations 2-5. Nevertheless, as a dependent claim, claim 6 would be allowable because claim 1 is allowable and any 112 considerations would be minimal.
	TRUE		The case has 3 independent claims. Two has support for the amended limitations in a corresponding depending claim. One independent claim was similarly amended but did not has the limitation in a dependent claim.
	TRUE		Amendment to the Specification did not raise the issue of new matter, as alleged in the Advisory Action.
		TRUE	The amendment after final added a simple limitation that should have been searched for during the initial search.
TRUE			The amendment after final was entered but the advisory action stated that the claims would be rejected over the art of record because the amendment did not change the scope of the claims. However, the examiner then allowed the application on the first action after RCE with no further amendment by the applicant. The examiner's reasons for allowance gave the same reason put forth by applicant in the amendment after final. This is a borderline situation because the applicant made extensive amendments to the claims, and the examiner could have reasonably denied entry of the amendment. Furthermore, the examiner performed an additional EAST text search after the RCE was filed.
	TRUE		
TRUE			Applicant did not file a response after final. Applicant and examiner agreed independent claims overcome the prior art of record in an interview after final. The case was not allowed after final, nor was the final withdrawn. The case was subsequently allowed several months later after the filing of an RCE in an Examiner's Amendment, but there does not appear to be any reason why this could not have been done after final. Arguments/remarks set forth by Applicant (8/11/2005) have the same and other similar reasons as to those in the interview after final.
	TRUE	TRUE	Indicated allowable subject matter of claim 34 amended into the independent claims.
	TRUE		
	TRUE		
	TRUE	TRUE	The AF amendment did add two new claims while only canceling 1 claim. However, all independent claims did incorporate subject matter identified as being allowable. Entry of the AF amendment would not have imposed a burden on the examiner.
		TRUE	The amendment after final included an amendment only to dependent claim 30. The advisory indicated that the amendment to claim 30 would overcome 112, 1st and 2nd paragraph, issues but denied entry because the amendment would require further consideration/search. The examiner went on to say that the arguments relative to the art were not persuasive. The RCE requested entry of that same amendment after final. The examiner now found persuasive the same arguments relative to the art. If the examiner had found those arguments persuasive at the time of the advisory, then the whole case could have been allowed because at that point no further consideration/search would have been required for dependent claim 30.

Reviewer Comments: Examiner Action Not Proper			
Not Proper: RCE allowed based on same arguments/evidence presented in previous response that was entered and considered by the examiner/no claim amendments	Not Proper: RCE allowed based upon entry of amendment to which examiner improperly denied entry after final rejection	Not Proper: Other	Reviewer Comments
	TRUE		The amendment after final amended claims 21-22 to change "high intensifier" to "hydraulic" in response to the examiner's comments that "high" was indefinite. This should have been entered. Claim 22 was a system claim that was also amended to include the intended use "for coating at least one layer on a flexible support". This limitation did not raise a new issue requiring further consideration/search because the same limitation already appeared in other claims, such as claim 21, and all of the claims were rejected under 103 using the same combination of references. So the examiner already considered the limitation and found that the references taught it. After filing of the RCE, the examiner restricted. This was improper because there is no burden when the examiner already examined all the claims. Applicant elected the apparatus claims, including 22, and the examiner allowed them.
	TRUE		Prior to final, claim 1 was independent, claim 2 depended from claim 1, and claim 3 depended from claim 2. After final, applicant cancelled claims 1-2 and amended claim 3 to include all the limitations of claims 1-2. This amended claim 3, then, was really no different in scope from claim 3 prior to final and, therefore, did not require further consideration/search.
TRUE		TRUE	The Final action was mailed on 5-11-2006. Applicants submitted an RCE/amendment on 6-16-2006. The claims pending at the time of the Final action were not changed in any way by applicants' RCE/amendment (although 2 new dependent claims were filed). The arguments presented in the RCE/amendment were the same as those used in the response to similar art rejections in the NonFinal action of 11-16-2006 (i.e. that the references do not teach or suggest a 'foamable delivery system' lacking any fatty alcohol, as is required by the claims). The claims were allowed without substantive change following a personal interview with applicant, the examiner and a SPE on 7-17-2006. Judging from the Interview Summary of 8-23-2006, no new arguments were presented. The Final action mailed 5-11-2006 should not have been made and the claims pending at that time allowed prior to the RCE/amendment of 6-16-2006.
	TRUE	TRUE	The final rejection included no art rejection—only an indefiniteness rejection. Furthermore, the examiner suggested a claim which the applicant resubmitted in an after final amendment. This is clearly a situation in which the applicant was improperly forced to file an RCE.
	TRUE	TRUE	The Final action was mailed on 1-19-2006. Applicant responded on 4-18-2006 with an amendment to the claim language that changed the claims from recited methods 'consisting essentially of' particular steps to methods 'consisting of' the particular steps done in a particular order. This was done to obviate rejections over the prior art that comprised additional steps and/or where the steps were done in a different order. According to the applicants' response, there was an interview on 4-4-2006 in which applicants, the examiner and a SPE participated (there is no corresponding Interview Summary). Applicants' response asserts that the changes to the claims were suggested by the SPE (see page 14 of the response; 'consisting of' and sequential order of steps). In the Advisory Action of 5-4-2006, the examiner denied entry of the amendment because the terms 'consisting of' and 'thereafter' raised new issues. This was improper because (i) the changes made were actually suggested by the examiner/SPE in the interview, (ii) the preferred embodiment clearly is 'consisting of' (no new search burden) and (iii)
TRUE			No new remarks are seen filed with or subsequent the RCE. The only new paper found is the request for RCE.

Draft

Filings Comparison -- FY 06 v. FY 05

TC	FY 05 (OFFICIAL)	FY05 RCE	FY 06 (GAU 0 apportioned as of November 26, 2006)	FY 06 RCE	FY 06 / FY 05		RCE Growth
					Increase	Growth w/o RCEs	
1600	38,994	6,236	41,681	7,513	6.9%	4.3%	20.5%
1700	50,329	7,640	57,603	11,946	14.5%	7.0%	56.4%
2100	38,648	8,935	44,910	12,524	16.2%	9.0%	40.2%
2600	58,445	7,895	66,376	11,998	13.6%	7.6%	52.0%
2800	88,221	10,762	93,395	13,239	5.9%	3.5%	23.0%
3600	49,776	6,890	51,298	8,289	3.1%	0.3%	20.3%
3700	59,815	6,867	64,482	8,611	7.8%	5.5%	25.4%
UPR	384,228	55,225	419,745	74,122	9.2%	5.1%	34.2%
2900	25,304		25,868		2.2%		

As of 11/26/06 - not yet final for FY 2006

Because of delay in processing national stage cases, 1600 filings for FY06 may be understated.

Draft

Year	Filings	RCEs	CPA	RCE/CPA Growth	Filing Growth	% RCEs of filings
1998	240133		17416			7.3%
1999	261013		25074	44%	8.7%	9.6%
2000	293244	969	30549	26%	12.3%	10.7%
2001	326081	12249	22385	10%	11.2%	10.6%
2002	333688	25618	8963	0%	2.3%	10.4%
2003	333452	39535	2332	21%	-0.1%	12.6%
2004	355527	45368		8%	6.6%	12.8%
2005	384228	55,216		22%	8.1%	14.4%
2006	419745	74101		34%	9.2%	17.7%

Bahr, Robert

From: Brown, Peter Toby
Sent: Friday, January 26, 2007 12:54 PM
To: Bahr, Robert; Morse, Gregory
Subject: Claim Categories w Continuity.xls



Claim Categories w
Continuity....

Bahr, Robert

From: Brown, Peter Toby
Sent: Friday, January 26, 2007 1:27 PM
To: Morse, Gregory; Bahr, Robert
Subject: RE: Claim Categories w Continuity.xls

318,433 with claim data (INDP > 0 and Total > 0) (see this number on the spreadsheet you sent me)

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

From: Morse, Gregory
Sent: Friday, January 26, 2007 1:26 PM
To: Bahr, Robert; Brown, Peter Toby
Subject: Re: Claim Categories w Continuity.xls

Any number you're getting is newly serialized, which excludes RCE (about 75k). Total 2006 filings 419,760

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

From: Bahr, Robert
To: Brown, Peter Toby; Morse, Gregory
Sent: Fri Jan 26 13:22:21 2007
Subject: Re: Claim Categories w Continuity.xls

Thanks

Just to confirm that we have 312,036 FY 2006 applications for which we have claims data.

Sent from my BlackBerry Wireless Handheld (www.BlackBerry.net)

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

From: Brown, Peter Toby
To: Bahr, Robert; Morse, Gregory
Sent: Fri Jan 26 12:54:05 2007
Subject: Claim Categories w Continuity.xls

Large Entity Applications with No CON / DIV / CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	9,934	1,265	4,101	4,784	6,931	7,884
	1700	19,417	3,605	11,201	12,263	16,376	17,758
2005	2100	16,330	1,295	8,103	9,742	13,701	14,811
Last 3	2600	25,741	3,738	12,944	15,831	21,401	23,015
Quarters	2800	36,072	6,918	21,638	24,293	31,389	33,519
	3600	14,214	3,168	9,040	9,843	12,514	13,316
	3700	16,360	3,250	9,688	10,540	14,000	15,188
Totals		138,068	23,239	76,715	87,296	116,312	125,491
Cases Affected			83%	44%	37%	16%	9%

Large Entity Applications with No CON / DIV / CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	13,561	1,725	5,476	6,383	9,221	10,531
	1700	26,292	4,828	14,748	16,184	21,736	23,718
2005	2100	22,143	1,719	10,079	12,311	17,878	19,677
ALL	2600	34,497	4,894	16,637	20,504	28,033	30,406
Quarters	2800	48,523	9,222	28,340	31,910	41,619	44,667
	3600	19,112	4,227	11,788	12,864	16,490	17,656
	3700	21,755	4,353	12,582	13,706	18,301	19,968
Totals		185,883	30,968	99,650	113,862	153,278	166,623
Cases Affected			83%	46%	39%	18%	10%

Large Entity Applications with No CON / DIV / CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	11,133	1,263	4,381	5,062	7,586	8,808
	1700	23,376	4,242	13,412	14,673	19,655	21,391
2006	2100	20,429	1,620	10,749	12,842	17,606	18,884
ALL	2600	34,983	4,734	17,922	21,601	29,401	31,559
Quarters	2800	49,964	9,275	30,778	34,305	44,172	46,889
	3600	17,682	3,445	11,174	12,104	15,638	16,668
	3700	21,079	3,771	12,376	13,556	18,088	19,567
Totals		178,646	28,350	100,792	114,143	152,146	163,766
Cases Affected			84%	44%	36%	15%	8%

Small Entity Applications with No CON / DIV / CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	5,875	538	1,982	2,382	3,642	4,290
	1700	6,452	1,504	3,780	4,076	5,316	5,811
2005	2100	3,302	532	1,584	1,779	2,539	2,813
Last 3	2600	5,314	1,127	2,907	3,240	4,325	4,745
Quarters	2800	8,603	2,233	5,281	5,686	7,233	7,826
	3600	12,805	3,702	8,943	9,525	11,516	12,074
	3700	15,159	4,394	10,210	10,906	13,325	14,065
Totals		57,510	14,030	34,687	37,594	47,896	51,624
Cases Affected			76%	40%	35%	17%	10%

Small Entity Applications with No CON / DIV / CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	7,866	736	2,576	3,079	4,702	5,577
	1700	8,589	1,990	4,933	5,341	6,967	7,636
2005	2100	4,312	699	2,017	2,293	3,238	3,608
ALL	2600	6,989	1,465	3,741	4,179	5,569	6,135
Quarters	2800	11,388	2,991	6,937	7,477	9,452	10,244
	3600	16,868	4,927	11,524	12,305	14,965	15,763
	3700	20,025	5,841	13,280	14,235	17,418	18,437
Totals		76,037	18,649	45,008	48,909	62,311	67,400
Cases Affected			75%	41%	36%	18%	11%

Small Entity Applications with No CON / DIV / CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	6,678	706	2,382	2,815	4,187	4,931
	1700	7,694	1,718	4,490	4,836	6,357	6,915
2006	2100	4,167	590	1,939	2,270	3,247	3,618
ALL	2600	6,823	1,321	3,803	4,240	5,594	6,139
Quarters	2800	11,705	2,983	7,247	7,790	9,979	10,741
	3600	15,629	4,383	10,945	11,642	14,048	14,773
	3700	18,708	5,201	12,594	13,383	16,376	17,401
Totals		71,404	16,902	43,400	46,976	59,788	64,518
Cases Affected			76%	39%	34%	16%	10%

ALL Applications with No CON / DIV / CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	15,809	1,803	6,083	7,166	10,573	12,174
	1700	25,869	5,109	14,981	16,339	21,692	23,569
2005	2100	19,632	1,827	9,687	11,521	16,240	17,624
Last 3	2600	31,055	4,865	15,851	19,071	25,726	27,760
Quarters	2800	44,675	9,151	26,919	29,979	38,622	41,345
	3600	27,019	6,870	17,983	19,368	24,030	25,390
	3700	31,519	7,644	19,898	21,446	27,325	29,253
Totals		195,578	37,269	111,402	124,890	164,208	177,115
Cases Affected			81%	43%	36%	16%	9%

ALL Applications with No CON / DIV / CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	21,427	2,461	8,052	9,462	13,923	16,108
	1700	34,881	6,818	19,681	21,525	28,703	31,354
2005	2100	26,455	2,418	12,096	14,604	21,116	23,285
ALL	2600	41,486	6,359	20,378	24,683	33,602	36,541
Quarters	2800	59,911	12,213	35,277	39,387	51,071	54,911
	3600	35,980	9,154	23,312	25,169	31,455	33,419
	3700	41,780	10,194	25,862	27,941	35,719	38,405
Totals		261,920	49,617	144,658	162,771	215,589	234,023
Cases Affected			81%	45%	38%	18%	11%

ALL Applications with No CON / DIV / CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	17,811	1,969	6,763	7,877	11,773	13,739
	1700	31,070	5,960	17,902	19,509	26,012	28,306
2006	2100	24,596	2,210	12,688	15,112	20,853	22,502
ALL	2600	41,806	6,055	21,725	25,841	34,995	37,698
Quarters	2800	61,669	12,258	38,025	42,095	54,151	57,630
	3600	33,311	7,828	22,119	23,746	29,686	31,441
	3700	39,787	8,972	24,970	26,939	34,464	36,968
Totals		250,050	45,252	144,192	161,119	211,934	228,284
Cases Affected			82%	42%	36%	15%	9%

Large Entity Applications with CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	628	47	197	240	379	445
	1700	1,062	72	403	447	727	861
2005	2100	597	15	234	263	418	480
Last 3	2600	690	25	306	358	534	600
Quarters	2800	1,027	78	413	474	759	882
	3600	695	66	317	350	529	609
	3700	965	102	410	457	702	821
Totals		5,664	405	2,280	2,589	4,048	4,698
Cases Affected			93%	60%	54%	29%	17%

Large Entity Applications with CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	857	57	250	300	481	587
	1700	1,448	97	516	574	956	1,145
2005	2100	800	24	289	322	537	634
ALL	2600	902	33	365	434	666	760
Quarters	2800	1,422	108	555	641	1,025	1,201
	3600	893	87	383	428	646	751
	3700	1,274	123	498	565	900	1,060
Totals		7,596	529	2,856	3,264	5,211	6,138
Cases Affected			93%	62%	57%	31%	19%

Large Entity Applications with CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	800	102	264	298	474	569
	1700	1,360	97	530	598	991	1,156
2006	2100	949	256	525	566	762	844
ALL	2600	926	62	366	419	708	812
Quarters	2800	1,363	117	554	641	1,010	1,156
	3600	869	93	389	446	672	751
	3700	1,359	137	622	688	1,038	1,180
Totals		7,626	864	3,250	3,656	5,655	6,468
Cases Affected			89%	57%	52%	26%	15%

2005	1600	5,875	538	1,982	2,382	3,642	4,290
2005	1700	6,452	1,504	3,780	4,076	5,316	5,811
2005	2100	3,302	532	1,584	1,779	2,539	2,813
2005	2600	5,314	1,127	2,907	3,240	4,325	4,745
2005	2800	8,603	2,233	5,281	5,686	7,233	7,826
2005	3600	12,805	3,702	8,943	9,525	11,516	12,074
2005	3700	15,159	4,394	10,210	10,906	13,325	14,065
2005 - All	1600	7,866	736	2,576	3,079	4,702	5,577
2005 - All	1700	8,589	1,990	4,933	5,341	6,967	7,636
2005 - All	2100	4,312	699	2,017	2,293	3,238	3,608
2005 - All	2600	6,989	1,465	3,741	4,179	5,569	6,135
2005 - All	2800	11,388	2,991	6,937	7,477	9,452	10,244
2005 - All	3600	16,868	4,927	11,524	12,305	14,965	15,763
2005 - All	3700	20,025	5,841	13,280	14,235	17,418	18,437
2006 - All	1600	6,678	706	2,382	2,815	4,187	4,931
2006 - All	1700	7,694	1,718	4,490	4,836	6,357	6,915
2006 - All	2100	4,167	590	1,939	2,270	3,247	3,618
2006 - All	2600	6,823	1,321	3,803	4,240	5,594	6,139
2006 - All	2800	11,705	2,983	7,247	7,790	9,979	10,741
2006 - All	3600	15,629	4,383	10,945	11,642	14,048	14,773
2006 - All	3700	18,708	5,201	12,594	13,383	16,376	17,401

Small Entity Applications with CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	892	62	304	359	543	640
	1700	669	99	290	324	498	564
2005	2100	308	34	114	138	214	249
Last 3	2600	489	53	195	219	360	400
Quarters	2800	813	102	378	426	632	703
	3600	1,184	199	680	764	996	1,081
	3700	1,739	231	848	939	1,320	1,483
Totals		6,094	780	2,809	3,169	4,563	5,120
Cases Affected			87%	54%	48%	25%	16%

Small Entity Applications with CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	1,165	79	368	440	667	797
	1700	886	116	370	420	638	725
2005	2100	411	43	147	175	272	324
ALL	2600	650	72	245	277	460	520
Quarters	2800	1,082	145	493	555	819	912
	3600	1,528	259	853	958	1,274	1,380
	3700	2,286	292	1,068	1,196	1,690	1,906
Totals		8,008	1,006	3,544	4,021	5,820	6,564
Cases Affected			87%	56%	50%	27%	18%

Small Entity Applications with CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	1,174	114	418	551	774	877
	1700	924	114	450	493	674	772
2006	2100	445	48	168	191	319	363
ALL	2600	698	65	278	316	495	569
Quarters	2800	1,090	153	541	600	860	963
	3600	1,474	223	847	925	1,245	1,334
	3700	2,196	313	1,113	1,221	1,725	1,929
Totals		8,001	1,030	3,815	4,297	6,092	6,807
Cases Affected			87%	52%	46%	24%	15%

ALL Applications with CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	1,520	109	501	599	922	1,085
	1700	1,731	171	693	771	1,225	1,425
2005	2100	905	49	348	401	632	729
Last 3	2600	1,179	78	501	577	894	1,000
Quarters	2800	1,840	180	791	900	1,391	1,585
	3600	1,879	265	997	1,114	1,525	1,690
	3700	2,704	333	1,258	1,396	2,022	2,304
Totals		11,758	1,185	5,089	5,758	8,611	9,818
Cases Affected			90%	57%	51%	27%	16%

ALL Applications with CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	2,022	136	618	740	1,148	1,384
	1700	2,334	213	886	994	1,594	1,870
2005	2100	1,211	67	436	497	809	958
ALL	2600	1,552	105	610	711	1,126	1,280
Quarters	2800	2,504	253	1,048	1,196	1,844	2,113
	3600	2,421	346	1,236	1,386	1,920	2,131
	3700	3,560	415	1,566	1,761	2,590	2,966
Totals		15,604	1,535	6,400	7,285	11,031	12,702
Cases Affected			90%	59%	53%	29%	19%

ALL Applications with CIP Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	1,974	216	682	849	1,248	1,446
	1700	2,284	211	980	1,091	1,665	1,928
2006	2100	1,394	304	693	757	1,081	1,207
ALL	2600	1,624	127	644	735	1,203	1,381
Quarters	2800	2,453	270	1,095	1,241	1,870	2,119
	3600	2,343	316	1,236	1,371	1,917	2,085
	3700	3,555	450	1,735	1,909	2,763	3,109
Totals		15,627	1,894	7,065	7,953	11,747	13,275
Cases Affected			88%	55%	49%	25%	15%

Large Entity Applications with CON Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	2,473	506	1,241	1,437	1,852	2,043
	1700	2,021	458	1,162	1,276	1,670	1,822
2005	2100	1,985	458	1,205	1,384	1,711	1,808
Last 3	2600	3,275	978	1,972	2,347	2,815	2,965
Quarters	2800	3,968	1,392	2,592	2,884	3,480	3,658
	3600	1,219	306	775	857	1,040	1,111
	3700	2,067	490	1,213	1,329	1,749	1,871
Totals		17,008	4,588	10,160	11,514	14,317	15,278
Cases Affected			73%	40%	32%	16%	10%

Large Entity Applications with CON Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	3,412	714	1,663	1,957	2,502	2,771
	1700	2,743	624	1,582	1,726	2,234	2,449
2005	2100	2,782	633	1,556	1,826	2,302	2,477
ALL	2600	4,200	1,190	2,384	2,886	3,503	3,729
Quarters	2800	5,179	1,833	3,354	3,745	4,506	4,743
	3600	1,692	411	1,023	1,144	1,414	1,523
	3700	2,697	646	1,557	1,724	2,240	2,413
Totals		22,705	6,051	13,119	14,988	18,701	20,105
Cases Affected			73%	42%	34%	18%	11%

Large Entity Applications with CON Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	2,473	506	1,241	1,437	1,852	2,043
	1700	2,021	458	1,162	1,276	1,670	1,822
2006	2100	1,985	458	1,205	1,384	1,711	1,808
ALL	2600	3,275	978	1,972	2,347	2,815	2,965
Quarters	2800	3,968	1,392	2,592	2,884	3,480	3,658
	3600	1,219	306	775	857	1,040	1,111
	3700	2,067	490	1,213	1,329	1,749	1,871
Totals		17,008	4,588	10,160	11,514	14,317	15,278
Cases Affected			73%	40%	32%	16%	10%

2005	1600	5,875	538	1,982	2,382	3,642	4,290
2005	1700	6,452	1,504	3,780	4,076	5,316	5,811
2005	2100	3,302	532	1,584	1,779	2,539	2,813
2005	2600	5,314	1,127	2,907	3,240	4,325	4,745
2005	2800	8,603	2,233	5,281	5,686	7,233	7,826
2005	3600	12,805	3,702	8,943	9,525	11,516	12,074
2005	3700	15,159	4,394	10,210	10,908	13,325	14,065
2005 - All	1600	7,866	736	2,576	3,079	4,702	5,577
2005 - All	1700	8,589	1,990	4,933	5,341	6,967	7,636
2005 - All	2100	4,312	699	2,017	2,293	3,238	3,608
2005 - All	2600	6,989	1,465	3,741	4,179	5,569	6,135
2005 - All	2800	11,388	2,991	6,937	7,477	9,452	10,244
2005 - All	3600	16,868	4,927	11,524	12,305	14,965	15,763
2005 - All	3700	20,025	5,841	13,280	14,235	17,418	18,437
2006 - All	1600	6,678	706	2,382	2,815	4,187	4,931
2006 - All	1700	7,694	1,718	4,490	4,836	6,357	6,915
2006 - All	2100	4,167	590	1,939	2,270	3,247	3,618
2006 - All	2600	6,823	1,321	3,803	4,240	5,594	6,139
2006 - All	2800	11,705	2,983	7,247	7,790	9,979	10,741
2006 - All	3600	15,629	4,383	10,945	11,642	14,048	14,773
2006 - All	3700	18,708	5,201	12,594	13,383	16,376	17,401

Small Entity Applications with CON Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	1,438	239	674	788	1,010	1,117
	1700	638	105	361	396	517	559
2005	2100	486	110	259	301	394	425
Last 3	2600	513	108	255	302	382	439
Quarters	2800	820	196	460	504	665	711
	3600	907	232	598	657	793	840
	3700	1,312	355	803	883	1,093	1,183
Totals		6,114	1,345	3,410	3,831	4,854	5,274
Cases Affected			78%	44%	37%	21%	14%

Small Entity Applications with CON Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	1,915	314	858	1,004	1,294	1,435
	1700	888	164	470	516	696	764
2005	2100	622	142	330	380	497	545
ALL	2600	662	137	322	384	486	557
Quarters	2800	1,108	256	603	665	879	950
	3600	1,229	319	783	868	1,053	1,123
	3700	1,758	458	1,031	1,139	1,427	1,545
Totals		8,182	1,790	4,397	4,956	6,332	6,919
Cases Affected			78%	46%	39%	23%	15%

Small Entity Applications with CON Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	1,995	518	1,003	1,122	1,454	1,614
	1700	755	156	422	458	601	661
2006	2100	712	136	378	429	569	612
ALL	2600	866	175	452	515	687	757
Quarters	2800	1,193	252	632	708	930	1,023
	3600	1,258	325	794	872	1,094	1,152
	3700	2,027	484	1,224	1,340	1,702	1,835
Totals		8,806	2,046	4,905	5,444	7,037	7,654
Cases Affected			77%	44%	38%	20%	13%

ALL Applications with CON Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	3,911	745	1,915	2,225	2,862	3,160
	1700	2,659	563	1,523	1,672	2,187	2,381
2005	2100	2,471	568	1,464	1,685	2,105	2,233
Last 3	2600	3,788	1,086	2,227	2,649	3,197	3,404
Quarters	2800	4,788	1,588	3,052	3,388	4,145	4,369
	3600	2,126	538	1,373	1,514	1,833	1,951
	3700	3,379	845	2,016	2,212	2,842	3,054
Totals		23,122	5,933	13,570	15,345	19,171	20,552
Cases Affected			74%	41%	34%	17%	11%

ALL Applications with CON Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	5,327	1,028	2,521	2,961	3,796	4,206
	1700	3,631	788	2,052	2,242	2,930	3,213
2005	2100	3,404	775	1,886	2,206	2,799	3,022
ALL	2600	4,862	1,327	2,706	3,250	3,989	4,286
Quarters	2800	6,287	2,089	3,957	4,410	5,385	5,693
	3600	2,921	730	1,806	2,012	2,467	2,646
	3700	4,455	1,104	2,588	2,863	3,667	3,958
Totals		30,887	7,841	17,516	19,944	25,033	27,024
Cases Affected			75%	43%	35%	19%	13%

ALL Applications with CON Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	4,468	1,024	2,244	2,559	3,306	3,657
	1700	2,776	614	1,584	1,734	2,271	2,483
2006	2100	2,697	594	1,583	1,813	2,280	2,420
ALL	2600	4,141	1,153	2,424	2,862	3,502	3,722
Quarters	2800	5,161	1,644	3,224	3,592	4,410	4,681
	3600	2,477	631	1,569	1,729	2,134	2,263
	3700	4,094	974	2,437	2,669	3,451	3,706
Totals		25,814	6,634	15,065	16,958	21,354	22,932
Cases Affected			74%	42%	34%	17%	11%

Large Entity Applications with DIV Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	1,638	522	970	1,115	1,368	1,464
	1700	2,003	839	1,481	1,570	1,816	1,896
2005	2100	697	235	490	549	620	648
Last 3	2600	1,267	533	810	971	1,097	1,132
Quarters	2800	3,860	1,686	2,729	3,002	3,467	3,607
	3600	675	258	454	520	599	626
	3700	1,194	515	858	948	1,103	1,140
Totals		11,334	4,588	7,792	8,675	10,070	10,513
Cases Affected			60%	31%	23%	11%	7%

Large Entity Applications with DIV Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	2,190	682	1,271	1,460	1,800	1,932
	1700	2,787	1,152	2,027	2,165	2,514	2,625
2005	2100	909	293	597	683	789	830
ALL	2600	1,665	688	1,043	1,268	1,434	1,490
Quarters	2800	5,008	2,180	3,546	3,886	4,472	4,660
	3600	922	360	621	715	818	859
	3700	1,589	686	1,135	1,246	1,448	1,506
Totals		15,070	6,041	10,240	11,423	13,273	13,902
Cases Affected			60%	32%	24%	12%	8%

Large Entity Applications with DIV Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	2,351	794	1,392	1,589	1,926	2,060
	1700	2,726	1,153	2,018	2,181	2,489	2,589
2006	2100	1,049	385	707	816	931	966
ALL	2600	1,773	787	1,168	1,402	1,547	1,598
Quarters	2800	5,293	2,263	3,783	4,153	4,777	4,943
	3600	1,158	490	837	916	1,051	1,095
	3700	1,657	698	1,200	1,319	1,503	1,571
Totals		16,007	6,570	11,105	12,376	14,224	14,822
Cases Affected			59%	31%	23%	11%	7%

2005	1600	5,875	538	1,982	2,382	3,642	4,290
2005	1700	6,452	1,504	3,780	4,076	5,316	5,811
2005	2100	3,302	532	1,584	1,779	2,539	2,813
2005	2600	5,314	1,127	2,907	3,240	4,325	4,745
2005	2800	8,603	2,233	5,281	5,686	7,233	7,826
2005	3600	12,805	3,702	8,943	9,525	11,516	12,074
2005	3700	15,159	4,394	10,210	10,906	13,325	14,065
2005 - All	1600	7,866	736	2,576	3,079	4,702	5,577
2005 - All	1700	8,589	1,990	4,933	5,341	6,967	7,636
2005 - All	2100	4,312	699	2,017	2,293	3,238	3,608
2005 - All	2600	6,989	1,465	3,741	4,179	5,569	6,135
2005 - All	2800	11,388	2,991	6,937	7,477	9,452	10,244
2005 - All	3600	16,868	4,927	11,524	12,305	14,965	15,763
2005 - All	3700	20,025	5,841	13,280	14,235	17,418	18,437
2006 - All	1600	6,678	706	2,382	2,815	4,187	4,931
2006 - All	1700	7,694	1,718	4,490	4,836	6,357	6,915
2006 - All	2100	4,167	590	1,939	2,270	3,247	3,618
2006 - All	2600	6,823	1,321	3,803	4,240	5,594	6,139
2006 - All	2800	11,705	2,983	7,247	7,790	9,979	10,741
2006 - All	3600	15,629	4,383	10,945	11,642	14,048	14,773
2006 - All	3700	18,708	5,201	12,594	13,383	16,376	17,401

Small Entity Applications with DIV Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	683	213	414	469	563	598
	1700	494	173	336	365	443	472
2005	2100	133	43	78	90	103	116
Last 3	2600	213	61	119	136	167	181
Quarters	2800	496	162	322	357	422	452
	3600	437	157	322	345	403	416
	3700	612	222	425	462	548	569
Totals		3,068	1,031	2,016	2,224	2,649	2,804
Cases Affected			66%	34%	28%	14%	9%

Small Entity Applications with DIV Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	922	293	543	618	747	795
	1700	660	230	443	481	573	621
2005	2100	178	58	103	120	142	157
ALL	2600	276	91	158	184	225	241
Quarters	2800	665	208	425	473	562	606
	3600	606	226	431	472	554	575
	3700	825	298	559	611	735	766
Totals		4,132	1,404	2,662	2,959	3,538	3,761
Cases Affected			66%	36%	28%	14%	9%

Small Entity Applications with DIV Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	1,018	302	584	676	827	898
	1700	597	210	426	457	540	564
2006	2100	237	73	131	157	201	214
ALL	2600	266	84	163	185	226	240
Quarters	2800	736	286	508	557	657	685
	3600	651	231	447	492	574	602
	3700	1,033	369	727	797	914	963
Totals		4,538	1,555	2,986	3,321	3,939	4,166
Cases Affected			66%	34%	27%	13%	8%

ALL Applications with DIV Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	2,321	735	1,384	1,584	1,931	2,062
	1700	2,497	1,012	1,817	1,935	2,259	2,368
2005	2100	830	278	568	639	723	764
Last 3	2600	1,480	594	929	1,107	1,264	1,313
Quarters	2800	4,356	1,848	3,051	3,359	3,889	4,059
	3600	1,112	415	776	865	1,002	1,042
	3700	1,806	737	1,283	1,410	1,651	1,709
Totals		14,402	5,619	9,808	10,899	12,719	13,317
Cases Affected			61%	32%	24%	12%	8%

ALL Applications with DIV Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	3,112	975	1,814	2,078	2,547	2,727
	1700	3,447	1,382	2,470	2,646	3,087	3,246
2005	2100	1,087	351	700	803	931	987
ALL	2600	1,941	779	1,201	1,452	1,659	1,731
Quarters	2800	5,673	2,388	3,971	4,359	5,034	5,266
	3600	1,528	586	1,052	1,187	1,372	1,434
	3700	2,414	984	1,694	1,857	2,181	2,272
Totals		19,202	7,445	12,902	14,382	16,811	17,663
Cases Affected			61%	33%	25%	12%	8%

ALL Applications with DIV Immediate Parent

FY	TC	> 0 Independent	1 - 3	1 - 3	1 - 6	1 - 6	1 - 6
		> 0 Total Claims	1 - 10	1 - 20	1 - 20	1 - 30	1 - 40
	1600	3,369	1,096	1,976	2,265	2,753	2,958
	1700	3,323	1,363	2,444	2,638	3,029	3,153
2006	2100	1,286	458	838	973	1,132	1,180
ALL	2600	2,039	871	1,331	1,587	1,773	1,838
Quarters	2800	6,029	2,549	4,291	4,710	5,434	5,628
	3600	1,809	721	1,284	1,408	1,625	1,697
	3700	2,690	1,067	1,927	2,116	2,417	2,534
Totals		20,545	8,125	14,091	15,697	18,163	18,988
Cases Affected			60%	31%	24%	12%	8%

Parent	FY	TC	Entity	> 0 / > 0	1-3/1-10 Count	1-3/1- 20	1-6/1- 20	1-6/1- 30	1-6/1- 40
CIP	2005A	1600	N	857	57	250	300	481	587
CIP	2005A	1700	N	1,448	97	516	574	956	1145
CIP	2005A	2100	N	800	24	289	322	537	634
CIP	2005A	2600	N	902	33	365	434	666	760
CIP	2005A	2800	N	1,422	108	555	641	1025	1201
CIP	2005A	3600	N	893	87	383	428	646	751
CIP	2005A	3700	N	1,274	123	498	565	900	1060
CIP	2005b3q	1600	N	628	47	197	240	379	445
CIP	2005b3q	1700	N	1062	72	403	447	727	861
CIP	2005b3q	2100	N	597	15	234	263	418	480
CIP	2005b3q	2600	N	690	25	306	358	534	600
CIP	2005b3q	2800	N	1027	78	413	474	759	882
CIP	2005b3q	3600	N	695	66	317	350	529	609
CIP	2005b3q	3700	N	965	102	410	457	702	821
CIP	2006A	1600	N	800	102	264	298	474	569
CIP	2006A	1700	N	1,360	97	530	598	991	1156
CIP	2006A	2100	N	949	256	525	566	762	844
CIP	2006A	2600	N	926	62	366	419	708	812
CIP	2006A	2800	N	1,363	117	554	641	1010	1156
CIP	2006A	3600	N	869	93	389	446	672	751
CIP	2006A	3700	N	1,359	137	622	688	1038	1180
CIP	2005A	1600	Y	1,165	79	368	440	667	797
CIP	2005A	1700	Y	886	116	370	420	638	725
CIP	2005A	2100	Y	411	43	147	175	272	324
CIP	2005A	2600	Y	650	72	245	277	460	520
CIP	2005A	2800	Y	1,082	145	493	555	819	912
CIP	2005A	3600	Y	1,528	259	853	958	1274	1380
CIP	2005A	3700	Y	2,286	292	1068	1196	1690	1906
CIP	2005b3q	1600	Y	892	62	304	359	543	640
CIP	2005b3q	1700	Y	669	99	290	324	498	564
CIP	2005b3q	2100	Y	308	34	114	138	214	249
CIP	2005b3q	2600	Y	489	53	195	219	360	400
CIP	2005b3q	2800	Y	813	102	378	426	632	703
CIP	2005b3q	3600	Y	1184	199	680	764	996	1081
CIP	2005b3q	3700	Y	1739	231	848	939	1320	1483
CIP	2006A	1600	Y	1,174	114	418	551	774	877
CIP	2006A	1700	Y	924	114	450	493	674	772
CIP	2006A	2100	Y	445	48	168	191	319	363
CIP	2006A	2600	Y	698	65	278	316	495	569
CIP	2006A	2800	Y	1,090	153	541	600	860	963
CIP	2006A	3600	Y	1,474	223	847	925	1245	1334
CIP	2006A	3700	Y	2,196	313	1113	1221	1725	1929

CON	2005A	1600	N	3,412	714	1663	1957	2502	2771
CON	2005A	1700	N	2,743	624	1582	1726	2234	2449
CON	2005A	2100	N	2,782	633	1556	1826	2302	2477
CON	2005A	2600	N	4,200	1,190	2384	2866	3503	3729
CON	2005A	2800	N	5,179	1,833	3354	3745	4506	4743
CON	2005A	3600	N	1,692	411	1023	1144	1414	1523
CON	2005A	3700	N	2,697	646	1557	1724	2240	2413
CON	2005b3q	1600	N	2473	506	1241	1437	1852	2043
CON	2005b3q	1700	N	2021	458	1162	1276	1670	1822
CON	2005b3q	2100	N	1985	458	1205	1384	1711	1808
CON	2005b3q	2600	N	3275	978	1972	2347	2815	2965
CON	2005b3q	2800	N	3968	1392	2592	2884	3480	3658
CON	2005b3q	3600	N	1219	306	775	857	1040	1111
CON	2005b3q	3700	N	2067	490	1213	1329	1749	1871
CON	2006A	1600	N	3,507	703	1598	1866	2476	2759
CON	2006A	1700	N	2,768	664	1692	1833	2335	2510
CON	2006A	2100	N	2,812	649	1574	1840	2329	2506
CON	2006A	2600	N	4,382	1,076	2538	2994	3678	3929
CON	2006A	2800	N	5,288	1,627	3333	3725	4602	4870
CON	2006A	3600	N	1,853	518	1128	1241	1583	1690
CON	2006A	3700	N	3,120	865	1934	2140	2656	2864
CON	2005A	1600	Y	1,915	314	858	1004	1294	1435
CON	2005A	1700	Y	888	164	470	516	696	764
CON	2005A	2100	Y	622	142	330	380	497	545
CON	2005A	2600	Y	662	137	322	384	486	557
CON	2005A	2800	Y	1,108	256	603	665	879	950
CON	2005A	3600	Y	1,229	319	783	868	1053	1123
CON	2005A	3700	Y	1,758	458	1031	1139	1427	1545
CON	2005b3q	1600	Y	1438	239	674	788	1010	1117
CON	2005b3q	1700	Y	638	105	361	396	517	559
CON	2005b3q	2100	Y	486	110	259	301	394	425
CON	2005b3q	2600	Y	513	108	255	302	382	439
CON	2005b3q	2800	Y	820	196	460	504	665	711
CON	2005b3q	3600	Y	907	232	598	657	793	840
CON	2005b3q	3700	Y	1312	355	803	883	1093	1183
CON	2006A	1600	Y	1,995	518	1003	1122	1454	1614
CON	2006A	1700	Y	755	156	422	458	601	661
CON	2006A	2100	Y	712	136	378	429	569	612
CON	2006A	2600	Y	866	175	452	515	687	757
CON	2006A	2800	Y	1,193	252	632	708	930	1023
CON	2006A	3600	Y	1,258	325	794	872	1094	1152
CON	2006A	3700	Y	2,027	484	1224	1340	1702	1835
DIV	2005A	1600	N	2,190	682	1271	1460	1800	1932
DIV	2005A	1700	N	2,787	1,152	2027	2165	2514	2625

DIV	2005A	2100	N	909	293	597	683	789	830
DIV	2005A	2600	N	1,665	688	1043	1268	1434	1490
DIV	2005A	2800	N	5,008	2,180	3546	3886	4472	4660
DIV	2005A	3600	N	922	360	621	715	818	859
DIV	2005A	3700	N	1,589	686	1135	1246	1446	1506
DIV	2005b3q	1600	N	1638	522	970	1115	1368	1464
DIV	2005b3q	1700	N	2003	839	1481	1570	1816	1896
DIV	2005b3q	2100	N	697	235	490	549	620	648
DIV	2005b3q	2600	N	1267	533	810	971	1097	1132
DIV	2005b3q	2800	N	3860	1686	2729	3002	3467	3607
DIV	2005b3q	3600	N	675	258	454	520	599	626
DIV	2005b3q	3700	N	1194	515	858	948	1103	1140
DIV	2006A	1600	N	2,351	794	1392	1589	1926	2060
DIV	2006A	1700	N	2,726	1,153	2018	2181	2489	2589
DIV	2006A	2100	N	1,049	385	707	816	931	966
DIV	2006A	2600	N	1,773	787	1168	1402	1547	1598
DIV	2006A	2800	N	5,293	2,263	3783	4153	4777	4943
DIV	2006A	3600	N	1,158	490	837	916	1051	1095
DIV	2006A	3700	N	1,657	698	1200	1319	1503	1571
DIV	2005A	1600	Y	922	293	543	618	747	795
DIV	2005A	1700	Y	660	230	443	481	573	621
DIV	2005A	2100	Y	178	58	103	120	142	157
DIV	2005A	2600	Y	276	91	158	184	225	241
DIV	2005A	2800	Y	665	208	425	473	562	606
DIV	2005A	3600	Y	606	226	431	472	554	575
DIV	2005A	3700	Y	825	298	559	611	735	766
DIV	2005b3q	1600	Y	683	213	414	469	563	598
DIV	2005b3q	1700	Y	494	173	336	365	443	472
DIV	2005b3q	2100	Y	133	43	78	90	103	116
DIV	2005b3q	2600	Y	213	61	119	136	167	181
DIV	2005b3q	2800	Y	496	162	322	357	422	452
DIV	2005b3q	3600	Y	437	157	322	345	403	416
DIV	2005b3q	3700	Y	612	222	425	462	548	569
DIV	2006A	1600	Y	1,018	302	584	676	827	898
DIV	2006A	1700	Y	597	210	426	457	540	564
DIV	2006A	2100	Y	237	73	131	157	201	214
DIV	2006A	2600	Y	266	84	163	185	226	240
DIV	2006A	2800	Y	736	286	508	557	657	685
DIV	2006A	3600	Y	651	231	447	492	574	602
DIV	2006A	3700	Y	1033	369	727	797	914	963

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
Receipts:							
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
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%
Production Rates:							
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
	FY 04 Actual	Production Units per examiner per grade per fiscal year					
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
Patent Cooperation Treaty (PCT):							
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
Competitive Sourcing:							
PGPub FTE redirected to examination		35	37	39	42	44	47
Overtime:							
Overtime hours per examiner FTE		90	90	90	90	90	90
Examiner FTE lost/taken out of the examining corps:							
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			
Receipts:											
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			
Production Rates:											
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
Patent Cooperation Treaty (PCT):											
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			
Examiner FTE lost/taken out of the examining corps:											
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%			

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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 PRTD	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
Receipts:											
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
UPR Filings		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
UPR Filings TO BE Examined		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
Production Rates:											
Total complexity factor				-1.0%	-1.5%	-2.0%	-2.5%	-3.0%	-3.5%	-4.0%	-4.5%
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	25.8	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
Patent Cooperation Treaty (PCT):											
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 PCI 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	76
Examiner FTE lost/taken out of the examining corps:											
Patent		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
Allowance Rate		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
 Exam tech training 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 PRTD	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
Receipts:											
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
UPR Filings		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
UPR Filings TO BE Examined		415,562	415,562	411,407	411,407	411,407	411,407	411,407	411,407	411,407	411,407
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 Actual	FY 05 Actual	FY 06 Actual	Production Units per examiner per grade per fiscal year							
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
Patent Cooperation Treaty (PCT):											
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
Examiner FTE lost/taken out of the examining corps:											
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
Allowance Rate		53.6%	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
 Exam Tech Training 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 PRD	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

Caljms, 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
Receipts:											
UPR Filings growth @	384,228	419,760	419,760	419,760	419,760	419,760	419,760	419,760	419,760	419,760	419,760
8%, FY 1977/13				4,198	4,198	4,198	4,198	4,198	4,198	4,198	4,198
Loss 1% for discontinued continuation											
UPR Filings		419,760	419,760	415,562	415,562	415,562	415,562	415,562	415,562	415,562	415,562
Loss 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
UPR Filings TO BE Examined		415,562	415,562	411,407	411,407	411,407	411,407	411,407	411,407	411,407	411,407
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	25.6	25.5	25.3
GS-7	31.5	31.4	34.1	34.1	33.8	34.3	35.3	35.1	34.9	34.8	34.4
GS-9	50.4	45.3	49.9	49.9	49.4	50.1	51.6	51.4	51.1	50.9	50.4
GS-11	62.7	54.2	53.1	53.1	52.6	53.4	54.9	54.7	54.4	54.1	53.6
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	77.7
GS-14	91.5	89.8	87.8	87.8	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
Patent Cooperation Treaty (PCT):											
PCT Chapter 1 PUs redirected (paralegal)											
Class I reduction 25%-07 50%-08 75%-09/13											
Class 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	12,517	11,719	8,549	4,950	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
Examiner FTE lost/taken out of the examining corps:											
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
Loss Tech Training		20	3	6	9	11	13	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%

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
 Loss tech training 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
Receipts:											
UPR Filings growth @ FY 07-13	384,228	419,760	453,340	489,800	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
UPR Filings		419,760	453,340	484,704	523,512	565,389	610,632	659,439	712,206	769,131	830,709
Loss 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
UPR Filings TO BE Examined		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
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	51.1	50.9	50.6	50.4
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
Patent Cooperation Treaty (PCT):											
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
Examiner PCT PUs		14,234	12,617	11,719	8,549	4,960	5,203	5,460	5,733	6,022	6,329
Examiner FTE		158	144	133	97	56	59	62	65	68.5	72
Examiner FTE lost/taken out of the examining corps:											
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
Allowance Rate		53.6%	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

Exam tech training 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
		448607	479857	518277	559735	604526	652845	705084	761440	822402
		37400.58	39968.08	43189.75	46644.583	50377.1667	54403.75	58757	63453.3333	68533.5
		20.31968	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
Receipts:											
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
UPR Filings		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
UPR Filings TO BE Examined		415,562	423,874	428,026	436,588	445,320	454,226	463,311	472,577	482,029	491,669
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
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
Patent Cooperation Treaty (PCT):											
PCT Chapter I PUs redirected (paralegal)											
Class I reduction 25%-07 50%-08 75%-09/13											
Class 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
Examiner FTE lost/taken out of the examining corps:											
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
Exm tech trng		20	3	6	9	11	13	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%

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
 Exm tech trng 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	281,885

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
Receipts:											
UPR Filings growth @ 1% 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
UPR Filings		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
UPR Filings TO BE Examined		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
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
GS-7	31.5	31.4	34.1	34.1	33.8	34.3	35.3	35.1	34.9	34.8	34.5
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	89.6	89.1	88.7
GS-15	103.1	99.3	92.3	92.3	91.4	92.7	95.5	95.0	94.6	94.1	93.6
Patent Cooperation Treaty (PCT):											
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
Examiner FTE lost/taken out of the examining corps:											
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 trainees		29	15	15	15	15	15	15	15	15	15
CLE Training		2	4	6	8	10	12	14	14	14	14
Law Clerk hires		20	3	6	9	11	13	15	15	15	15
Allowance Rate		53.6%	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 trainees are additional over FY 06 level.
 CLE Training 2 FTE over base each year
 Law Clerk hiring is 8 hours per examiner over FY 06 base.

SUMMARY FY 2006 ACTUAL DATA
5/18/07 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
RFCEPTS	419,760	445,923	479,176	523,512	565,389	610,632	659,439	712,206	769,131	830,709
RECEIPTS TO RE 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
1600—biotechnology & organic fields	
• FAOM pendency	21.6
• Total pendency	30.4
1700—chemical and materials engineering	
• FAOM pendency	19.2
• Total pendency	28.4
2100—computer architecture software & information security	
• FAOM pendency	34.0
• Total pendency	41.9
2600—communications	
• FAOM pendency	31.0
• Total pendency	41.2
2800—semiconductors, electrical & optical system components	
• FAOM pendency	14.6
• Total pendency	24.3
3600—transportation, electronic commerce, construction, agriculture, licensing & review	
• FAOM pendency	17.1
• Total pendency	25.6
3700—mechanical engineering, manufacturing & products	
• 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 23.5,⁸⁰ 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.⁸¹ Some of the increase in claims may be attributed to the Supreme Court's decision in the *Festo* case,⁸² 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.⁸³
- 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.

⁸⁰ 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.

⁸¹ 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.

⁸² *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.

⁸³ 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
Receipts:											
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
Loss 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	640,266	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

BOY New Inventory Reduction 10% of FY 10 reduced over 4 years											
						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

Production Rates:													
Total complexity factor													
Efficiency Gains													
	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

Patent Cooperation Treaty (PCT):											
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

Examiner FTE lost/taken out of the examining corps:											
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 Support		20	3	6	9	11	13	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%
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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
 Exam tech sup 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
FOY 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 @ 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		
UPR Filings		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		
UPR Filings TO BE Examined		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	25.3	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
Patent Cooperation Treaty (PCT):													
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	
Examiner FTE lost/taken out of the examining corps:													
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	15	
CLE Training		2	4	6	8	10	12	14	14	14	14	14	
Exam teching		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 teching 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 PRD	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
Receipts:									
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

UPR Filings	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
UPR Filings TO BE Examined	415,562	448,807	479,857	518,277	559,735	604,526	652,845	705,084

Examiner Hires:	959	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%
Overtime hours per examiner		80	80	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%
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

Patent Cooperation Treaty (PCT):										
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

Examiner FTE lost/taken out of the examining corps:									
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
Exam Tech Training		20	3	6	9	11	13	15	15

Allowance Rate	53.6%	54.0%	54.0%	54.0%	54.0%	54.0%	54.0%	54.0%	54.0%
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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
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
Receipts:									
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

UPR Filings		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
UPR Filings TO BE Examined		415,562	448,807	479,857	518,277	559,735	604,526	652,845	705,084

Examiner Hires:	959	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%

Overtime hours per examiner		80	80	100	100	100	100	100	100
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Production Rates:

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

Patent Cooperation Treaty (PCT):

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

Examiner FTE lost/taken out of the examining corps:

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			20	3	6	9	11	13	15	15

Allowance Rate		53.6%	54.0%	54.0%	54.0%	54.0%	54.0%	54.0%	54.0%	54.0%
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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 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		
Receipts:										
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		
Production Rates:										
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
Patent Cooperation Treaty (PCT):										
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	
Examiner FTE lost/taken out of the examining corps:										
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	
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