

Supplemental Materials

for

Improving Data-Driven Decision Making within the USPTO

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Sponsor:

United States Patent and Trademark Office

These materials supplement the above-named project report and are submitted to the faculty of WPI in partial fulfillment of the requirements for the Degree of Bachelor of Science

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Part A: Authorship

Writing	
Background:	
Section 1: Intro - Primary Author(s)	Christopher Bell and Keryn Reno
Section 2: Overview - Primary Author(s)	Ryan LaPointe
Section 3: OPQA - Primary Author(s)	Keryn Reno
Section 4: Patent Ops - Primary Author(s)	Keryn Reno
Section 5: Best Practices - Primary Author(s)	Peter Christakos
Section 6: References	Christopher Bell, Peter Christakos, Ryan LaPointe, and Keryn Reno
Methods:	
Section 1: Intro - Primary Author(s)	Keryn Reno
Section 2: Obj1 - Primary Author(s)	Peter Christakos
Section 3: Obj2 - Primary Author(s)	Peter Christakos
Section 4: Obj3 - Primary Author(s)	Peter Christakos
Section 5: Obj4 - Primary Author(s)	Peter Christakos
Section 6: Obj5 - Primary Author(s)	Peter Christakos
Results:	
Quality Leads: Descriptions	Peter Christakos and Keryn Reno
Quality Leads: Screenshots	Peter Christakos
Quality Leads: Callouts	Keryn Reno
RQAS: Section Descriptions	Peter Christakos and Keryn Reno
RQAS: Screenshots	Peter Christakos
RQAS: Callouts	Keryn Reno
Patent Ops: Section Descriptions	Peter Christakos and Keryn Reno
Dashboard 3: Screenshots	Christopher Bell, Peter Christakos, and Keryn Reno
Dashboard 3: Callouts	Christopher Bell, Peter Christakos, and Keryn Reno
Abstract:	
Abstract	Peter Christakos and Keryn Reno

Editing	
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Section 2: Overview - Editor(s)	Peter Christakos and Keryn Reno
Section 3: OPQA - Editor(s)	Christopher Bell, Peter Christakos, and Keryn Reno
Section 4: Patent Ops - Editor(s)	Peter Christakos and Keryn Reno
Section 5: Best Practices - Editor(s)	Peter Christakos and Keryn Reno
Methods:	
Section 1: Intro - Editor(s)	Peter Christakos and Keryn Reno
Section 2: Obj1 - Editor(s)	Christopher Bell, Peter Christakos, and Keryn Reno
Section 3: Obj2- Editor(s)	Christopher Bell, Peter Christakos, and Keryn Reno
Section 4: Obj3 - Editor(s)	Christopher Bell, Peter Christakos, and Keryn Reno
Section 5: Obj4 - Editor(s)	Christopher Bell, Peter Christakos, and Keryn Reno
Section 6: Obj5 - Editor(s)	Christopher Bell, Peter Christakos, and Keryn Reno
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Quality Leads – Editor(s)	Peter Christakos and Keryn Reno
RQAS – Editor(s)	Peter Christakos and Keryn Reno
Patent Ops – Editor(s)	Peter Christakos and Keryn Reno
Supplemental Materials:	
Supplemental Materials Doc	Peter Christakos (edits by Christopher Bell)
Meeting Facilitation	
Meeting Invitations/Scheduling	Keryn Reno
with QLs	Christopher Bell (3/3), Peter Christakos (2/3), Ryan LaPointe (3/3), and Keryn Reno (2/3)
with RQAS	Peter Christakos (10/10) and Keryn Reno (10/10)
with Patent Ops	Christopher Bell (4/8), Peter Christakos (6/8), Ryan LaPointe (5/8), and Keryn Reno (6/8)
Note-Taking and Meeting Summary	
QL Meeting Notes	Christopher Bell and Ryan LaPointe
RQAS Meeting Notes	Keryn Reno

Patent Ops Meeting Notes	Christopher Bell and Keryn Reno
QL Meeting Summary	Christopher Bell
RQAS Meeting Summary	Peter Christakos
Patent Ops Meeting Summary	Peter Christakos
Document Design	
QL Mockups	Christopher Bell and Ryan LaPointe
RQAS Mockups	Peter Christakos and Keryn Reno
Patent Ops Mockups	Christopher Bell
PowerPoint Slides	Christopher Bell and Keryn Reno
Publisher Booklet	Peter Christakos and Keryn Reno
Specifications	
Quality Leads	Ryan LaPointe
RQAS	Ryan LaPointe
Patent Ops	Ryan LaPointe

Part B: Sponsor Background

The United States Patent and Trademark Office (USPTO) has gone by several names during its 228-year history. The first predecessor of the modern-day USPTO was established by Congress with the Patent Act of 1790 (Reed Tech, 2015). The act was passed just two years after the U.S. Constitution was ratified and was made to fulfill the language in Article 1, Section 8 of the Constitution, “Congress shall have the power...to promote the progress of science and useful arts by securing for limited times to...inventors the exclusive right to their...discoveries” (U.S. Const. art. I, § 8). Federal trademark law did not exist until 1870, at which point the Patent Office, as it was known then, was chosen to be the registrar of trademarks (Housewright, 2007).

The USPTO’s purpose is to register patents and trademarks in order to “promote the progress of science and the useful arts.” It does so by first reviewing applications for eligibility under the law. Patents serve the purpose of encouraging innovation for the benefit of society. In exchange for publishing a full disclosure of their invention to the public, including all information necessary for a person of reasonable skill to replicate the invention, an inventor is granted a right to exclude others from manufacturing, using, selling, or importing the invention for a limited time (Bouchoux, 2016). Once the term of the patent has expired, society may freely exploit the invention and has the necessary information to do so. Patents incentivize innovation by allowing inventors to monetize their inventions without competition for a limited time, and then ensure that society benefits from that innovation after that time is up.

The USPTO is a part of the Department of Commerce, which has a mission “to create the conditions for economic growth and opportunity” (“About Commerce,” 2013). The USPTO’s mission of promoting innovation aligns well with the Department of Commerce’s goal of growing the American economy.

The most common type of patent is the utility patent, which covers any new and useful machine, process, or manufactured item. To qualify for a utility patent, an invention must be novel, useful, and non-obvious. An invention is not novel if it is already patented, described in a written publication, or otherwise available to the public anywhere in the world. Certain things are

Figure 2.
USPTO STAFFING

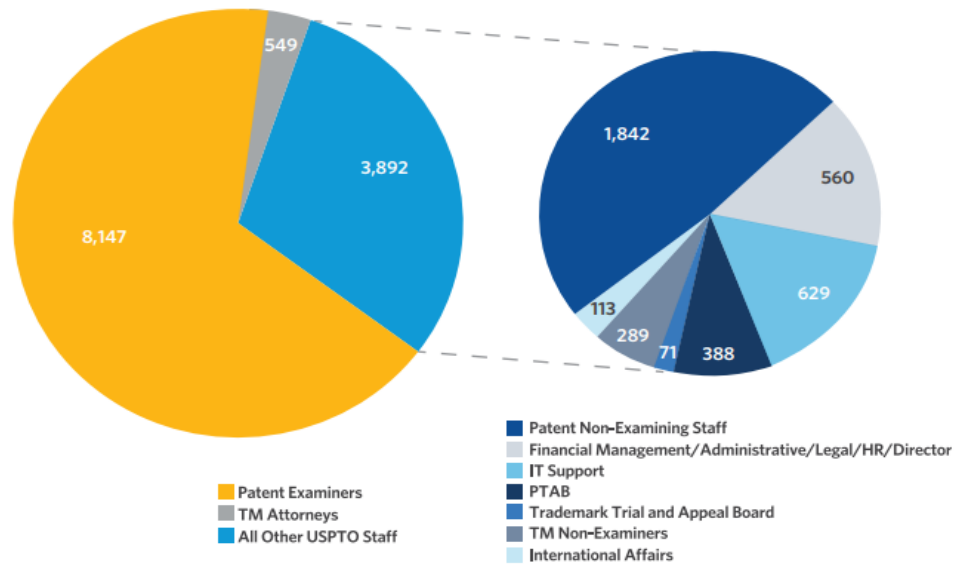


Figure 1: USPTO Staffing

specifically excluded from patent protection. These include products of nature, laws of nature, abstract ideas, atomic weapons, and printed matter. The USPTO must evaluate all these criteria in determining whether to issue a patent (Bouchoux, 2016).

The majority (67% or 8,147) of the 12,588 USPTO staff are patent examiners (Figure 1). Five hundred and forty nine (3%) other employees are trademark attorneys and 3,892 (30%) occupy a range of positions from IT Staff to International Affairs. While these miscellaneous jobs might not initially seem as important in the big picture, such positions are crucial for the USPTO. For example, employees working under the USPTO’s International Affairs section are indispensable since “approximately half of the USPTO’s patent filings are from nondomestic files” (USPTO, 2017). The USPTO runs more akin to a business than a traditional agency. When a service of the USPTO is requested, such as an application for a patent or trademark registration, a fee is charged to cover the cost of performing said service. As a result, the USPTO is able to run solely on the collected fees and not on taxpayer dollars through congressional appropriations (“United States Patent and Trademark Office,” 2018). The USPTO’s budget is based on the workload demand and fee collection estimates which are calculated based on production and workload models and reflects their commitment to both fiscal responsibility and efficiency. The USPTO makes sure to maintain sufficient operating reserves as insurance in case they run into disruptions while working on mission-critical operations (USPTO, 2018b).

Exhibit 2 – Organization Chart

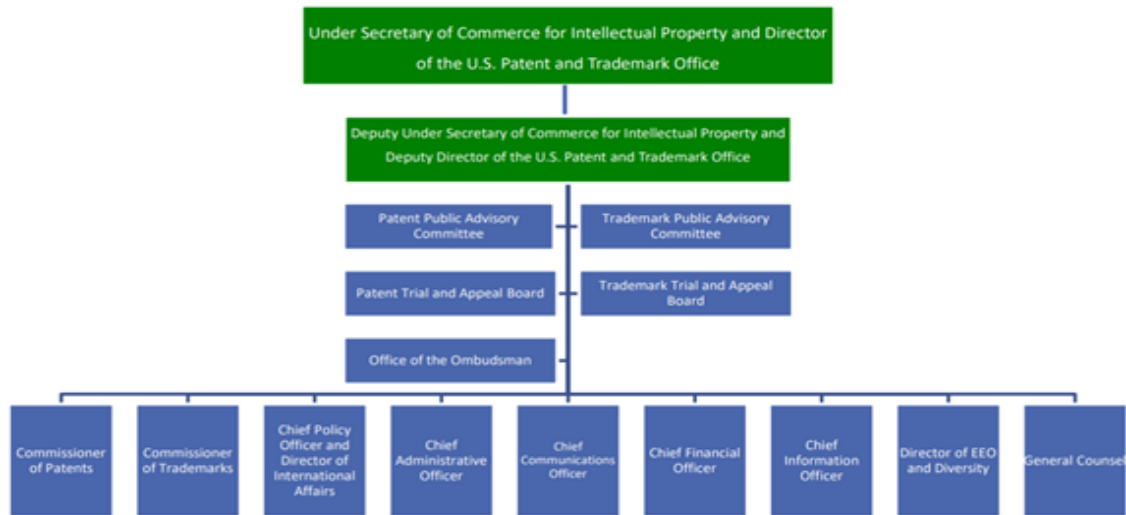


Figure 2: Breakdown of USPTO Offices and Committees

The USPTO is made up of thirteen main offices or committees, each with a unique purpose. These branches cover both patent and trademark operations, with patents taking up the majority of the organization’s resources. The Office of Commissioner for Patents, provides quality assessment and analysis through compliance and clarity. Under this branch, the Office of Patent Quality Assurance (OPQA), which will be the main focus of this project, reviews the work of patent examiners to improve efficiency.

One key aspect of the OPQA is statistical analysis of all patent examiner approvals and resources, which helps better identify training needs for those examiners. The USPTO explains that through statistical analysis, the OPQA is able to use “trend analysis on statutory compliance and clarity assessments to pinpoint which technologies can provide best practices to share” (Office of the Deputy Commissioner for Patent Quality date or n.d.). This analysis on the patent examination process can more accurately depict discrepancies in previous examinations to clearly see what trends promote efficiency and which slow down the process. Holding certain variables constant will allow for a more complete analysis of the specific effects of different patent processes.

The OPQA’s goal is to assess and analyze the quality of each specialized USPTO’s work product reviews. These reviews observe patent compliance, clarity, best practices, and assess the standardization of quality metrics. The results are given back to Technology Centers to enhance their employees’ trainings and review employees. Before joining the OPQA, employees must have proven themselves to be high quality patent examining experts in their specified fields. The sixty plus employees in the OPQU also include discipline-specific supervisors to facilitate reviewers (Office of Patent Quality Assurance: Ensuring the Highest Quality in Patent

Examination, 2018). In 2016, the Office of Patent Quality Assurance simplified the evaluation metrics into the following three categories: “Product indicators focused on statutory compliance and clarity of office action, process indicators focused on QIR-type data, and perception indicators focused on the surveys” (Office of Patent Quality Assurance: Ensuring the Highest Quality in Patent Examination, 2018).

The two subcategories of product indicators are correctness and clarity. Correctness is defined as a patent issued accurately in compliance with all the requirements of Title 35 and in compliance with all relevant case law at the time of issuance (Quality Metrics, 2018). Clarity is not as concrete. The current practice is to utilize a Master Review Form (MRF). This consists of about four “check-all-that-apply” questions along with a few other brief questions. This practice is always under revisions and the OPQA is constantly trying to improve their clarity measures (Quality Metrics, 2018).

Process indicators help track the OPQA’s internal frameworks to optimize efficiency without losing quality. One way that this is accomplished is by evaluating transactions in their Quality Index Report. This report is helpful in examining positive and negative trends to analyze either problem areas or best practices. Other methodologies used in root-cause analysis could be decision making charts, rework charts, and re-opening charts (Quality Metrics, 2018).

Perception indicators are based on feedback from internal and external stakeholders. Semi-annually, 750 randomly-selected internal patent examiners receive the survey and 3,000 randomly-selected frequent-filing customers. The survey results are analyzed and presented in different charts such as: a Frequency of Sound Rejections by Statute Chart, a Prior Art Quality chart, a Consistency chart, or overall examination quality charts (Quality Metrics, 2018). The results are then combined with product and process indicators to assess the quality of their issued and non-issued patents.

Throughout its 228-year-old lifespan, the USPTO has stayed true to its mission to promote the progress of science and useful arts. Always striving to maintain efficiency and correctness, the USPTO makes sure to prudently set its goals. The OPQA exemplifies these ideals as well, structuring their internal framework in an attempt to optimize efficiency without affecting quality. Especially with the increasing number of patents waiting to be reviewed, and even more coming in every day, the standard of high quality always remains at the forefront of importance.

Part C: Interview Questions

C.1 - Dashboard 1: Quality Leads

- What do you want to get out of dashboards?
- How do you currently view your data (do you have existing dashboards?)
- Are we adding to this or changing it?
- How much information do you want your RQAS to see on their version of the dashboard?
- Will they be two/three different dashboards (for three different views) or one dashboard with three two/different datasets?
- What metrics do each of you want on your dashboard?
- Where does the data come from?
- Do you have a sample of this data?
- Are there any features you'd like that will improve your IQS experience?

C.2 - Dashboard 2: RQAS

- What do you want to get out of dashboards?
- How do you currently view your data (do you have existing dashboards?)
- Are we adding to this or changing it?
- Do you want to see names of other RQAS you are comparing yourself to or do you want to keep it anonymous?
- Will they be two/three different dashboards (for three different views) or one dashboard with three two/different datasets?
- What metrics do each of you want on your dashboard?
- Where does the data come from?
- Do you have a sample of this data?
- Are there any features you'd like that will improve your IQS experience?

C.3 - Dashboard 3: Patent Ops

- What do you want to get out of dashboards?
- How do you currently view your data (do you have existing dashboards?)
- Are we adding to this or changing it?
- Since there are three groups (MQAS, SPEs, Directors), how will your dashboards differ?
- Will they be two/three different dashboards (for three different views) or one dashboard with three two/different datasets?
- What metrics do each of you want on your dashboard?
- Where does the data come from?
- Do you have a sample of this data?
- Are there any features you'd like that will improve your IQS experience?

Part D: Interview Notes

D.1 - Dashboard 1: Quality Leads

D.1a - Initial Meetings

QL Meeting 1 (10/30/18)

- Already have an idea of what they want
 - Mockups for final deliverables
 - Report -> created mockups for these personas
 - Business Rules
 - Marty had told Quality Leads that we will be reaching out to them
- Learn if envisioned ideas are reasonable/realistic
- Examiner Training material on website
- Task reviewers for consistency
 - Compare reviewer to group & organization as a whole
 - Data sensitivity
 - “What else do you need to manage that?”
 - Personas: Employer & Employee
- Too much data leads to less data-driven decisions
- How frequently should the IQS (database) metrics be updated?
- Do something other than a survey (takes too much time), possibly only talk to experienced employees
- What kind of reports do they have?
- Keep personal data general enough so they cannot manipulate it in their favor
- Consistency Team – 2 Quality Leads
- OPQA Management just wants everyone within the outlier line
- We are supposed to act like consultants

QL Meeting 2 (11/1/18)

- Action Plans – don’t know how frequently it should be updates
- Measures for success – ask Dan if it should be included
- Ask QL’s
- RQAS and QL consistency (Production, Timeliness, Consistency, Quality Control)
 - Consistency individually and RQAS view (We already did this)
- Production Reports
- Targets for group and individual
- % of individual goal
 - Bi-Weekly?

- Cumulative for the fiscal year
 - Goes to 110%
- Production % is cumulative
- Pass through, alteration, noncompliance
 - Accolades can be both an accolade and a pass through
- Reviewer noncompliance
 - % of total
- Tickler – query based on the status of the case
- Simple query with status code
- Excel list of cases
- Implement into dashboards as # without showing all the cases
 - Click to show all the cases
- Red, yellow, green based on number of days in DB or until due
 - Incorporate into QL dashboard
- Disposition of Reviews
- Marty will send clarifying chart
- Just changes in status codes
- Quarterly
- % of the total cases sent on to the TC
- Once x amount of cases reach a point, threshold to warn user
 - Review 25 pass-throughs
- Random mix of spotchecking reviews
- Track if they did the 75%
 - At least 6 from each person? – randomness trumps
 - % sampled & % need to be reviewed (Progress Bar)

- Timeliness
- Just need to see avg
- How many cases in that avg? (Worse or better via trend line)
- What do we do with cases that are not closed?
- Just takes the time from the first time you act on it
- Add tags on reports?
- Widgets? Allow the user to pick what he/she wants?

QL Tables Handout

These reports would be built into IQS under the Report Tab in addition to the “Production” report which is currently available. The data would populate with data for the TC that the QL is assigned.

Overview Production Report Cumulative to date

TC: XXXX							
Reviewer	Production	Random MRF Reviews	Pass Through Random MRF Reviews	Accolades	Attention Needed Random MRF Reviews	Noncompliant Random MRF Reviews	% Noncompliant of Total Random Reviews
RQAS 1	%	###	###	###	###	###	###
RQAS 2	%	###	###	###	###	###	###
RQAS 3	%	###	###	###	###	###	###
RQAS 4	%	###	###	###	###	###	###
Total	%	###	###	###	###	###	###

OPQA FY Random Review Goals

TC	MRF Random Review Goal	Random MRF Reviews Completed	Random MRF Reviews Remaining	% Of Goal Complete
1600	Goal1600	###	###	%
1700	Goal1700	###	###	%
2100	Goal2100	###	###	%
2400	Goal2400	###	###	%
2600	Goal2600	###	###	%
2800	Goal2800	###	###	%
2900/3600	Goal3600	###	###	%
2900/3700	Goal3700	###	###	%
Total	SUMGOALS	###	###	%

Disposition of Reviews with Noncompliance Issues Raised Report

TC: XXXX													REBUTTED VALIDATION REVIEWS			
Reviewer	Random Reviews with Noncompliance Issue Raised		Raised Noncompliance Reviews Forwarded to TC		Noncompliance reviews agreed and/or expired with no rebuttal		Noncompliance QL dropped after rebuttal		Noncompliance TC agree to after rebuttal		Finalized without further rebuttal (not validation)		OPQA Director Forwards to DCPQ		DCPQ Affirms Reviewer	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
RQAS 1	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
RQAS 2	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
RQAS 3	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
RQAS 4	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Total	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%

Reviewer Noncompliance Stats

TC: XXXX		Noncompliance Issues Raised									
Reviewer	Raised Noncompliance Reviews Forwarded to TC		102 Rejection Made/Omitted		103 Rejection Made/Omitted		101 Rejection Made/Omitted		112 Rejection Made/Omitted		
	#	%	#	%	#	%	#	%	#	%	
RQAS 1	#	%	#	%	#	%	#	%	#	%	
RQAS 2	#	%	#	%	#	%	#	%	#	%	
RQAS 3	#	%	#	%	#	%	#	%	#	%	
RQAS 4	#	%	#	%	#	%	#	%	#	%	
Total	#	%	#	%	#	%	#	%	#	%	

TC Feedback Pending Tickler Report

(Status Codes 245 and 255)

TC: XXXX					
IQS Review ID	Application No.	Reviewer	ISO Date	IQS Status Date	IQS Status
XXXXX	XXXXXXXXX	RQAS	XXX	XXX	Attention Needed – TC Feedback Pending
XXXXX	XXXXXXXXX	RQAS	XXX	XXX	Pass Through – TC Feedback Pending

Awaiting TC Rebuttal Tickler Report

(In Status Code 140 over 18 days)

TC: XXXX					
IQS Review ID	Application No.	Reviewer	ISO Date	IQS Status Date	IQS Status

XXXXX	XXXXXXXXXX	RQAS	XXX	XXX	Awaiting TC rebuttal
XXXXX	XXXXXXXXXX	RQAS	XXX	XXX	Awaiting TC rebuttal

Awaiting OPQA Response Tickler Report

(In Status Code 180 over 18 days)

TC: XXXX					
IQS Review ID	Application No.	Reviewer	ISO Date	IQS Status Date	IQS Status
XXXXX	XXXXXXXXXX	RQAS	XXX	XXX	Awaiting TC rebuttal
XXXXX	XXXXXXXXXX	RQAS	XXX	XXX	Awaiting TC rebuttal

RQAS Docket Tickler Report

(In Status Codes 20, 40 or 60 over 7 days)

TC: XXXX					
IQS Review ID	Application No.	Reviewer	ISO Date	IQS Status Date	IQS Status
XXXXX	XXXXXXXXXX	RQAS	XXX	XXX	Docketed to reviewer – ready for review
XXXXX	XXXXXXXXXX	RQAS	XXX	XXX	Review in progress
XXXXX	XXXXXXXXXX	RQAS	XXX	XXX	Returned to reviewer

D.1b - Feedback Meetings

QL Meeting 3 (11/5/18)

- Production
- Want overview of production report
- Don't want QL and RQAS production together
 - Separate pages for RQAS and QL award plans
 - Use a button to hide or show?
- Goals per each pay period
- Bar graphs
 - Don't need them on the production page
 - Move them to consistency?
 - Clustered bar chart is better than the other chart
- Table and second graph – overview production, pull IQS data
- Top – award plan or QL goal
- Timeliness Data
- Total number of review dispositions
 - # of times an individual case ends up as a status code
 - Per person, look at entire history

- History of all of its statuses and sum
- Does not include still open cases
- Wants end result (one of 3 columns on the right) and history
- Just want as a pure number (Total at bottom with avg?)
- Reviewer Noncompliance Stats (Power BI)
- Don't necessarily need graphs
- Just want tables they can use day-to-day
- Just want to be able to paste RQAS reports into email – can't do that with charts
- Query to grab data, dump it on to table in the frontend (THIS IS WHAT THEY WANT!)

- Tickler Report – It's pretty good!
 - Want it to be easily exported to Excel, people can do whatever they want with it easily
 - Listed by IQS status date
 - Days left (IOS Date – Status Date)
 - Highlight rows based on timeliness
- Make it sortable and exportable to Excel
- Check out SPE color-code (red, orange, yellow, green) circle with number inside
- Colored circle in boxes
- Approx. 30 cases are typically stored at a time
- Additional Reports
- Mid-year quarter goals
- Formulas are there
- New report (very useful)
- Try graphs with gauges?
- Feel free to call if there are questions about the #'s
- Call before you put the work in
- Don't know the process
- Meet with Steven and Sudhanshu
- Awards plan
- Have him fight those battles

QL Meeting 4 (11/7/18)

- RQAS Production Page
 - Bar chart is good
 - RQAS production percent at a quarterly timespan
 - Halfway at a quarter, halfway should be 50%
 - Progress bar to show how off of 2% they are
 - Select running total vs bi-week
 - Switch chart between quarterly

- Dropdown menu on time is great
- Move Non-Compliant column to the left
- Non-Compliance and Tickler Report
 - Menu/legend to show what color mean (Green: < 1 day, Yellow: between 1 and 3 days, etc.)
 - Non-Compliance Chart
 - Col # rebutted – has to add up
 - # sent to OPQA Director
 - Select which columns to view
 - Turn off/on showing percentage
 - TC Feedback & Awaiting TC Rebuttal (Don't care)
 - Tickler Feedback (Select categories)
 - Filter by RQAS name for reports
 - Tickler Report Section
 - Cases awaiting OPQA Director
 - Cases Awaiting DCPQ
 - Use colored buttons to indicate timeliness
 - Highlight reports with colors associated with timeliness
- Consistency Page
 - Range of combined _____
 - Combine for 101, 103 – combine bar graph into 1 (Sudhanshu)
 - Add total for 101, 102, etc.
 - Maybe select per quarter or have a dropdown to select from
 - Add color to outlier analysis
 - Choose whether you want to display the chart as either combined or separate
 - Select by quarter
- QL Awards Page
 - Track 2% and 5%
 - Within 2% of the midyear target – production number
 - +/- 2% of midyear target
 - Track if you are on the + side or – side
 - Bar is good, change to reflect 2%
 - Make it quarterly, thus it is also yearly
 - Assume that x/75 random reviews will be logged in IQS (is not currently)

D.2 - Dashboard 2: RQAS

D.2a - Initial Meetings

RQAS Meeting 1 (11/6/18)

- Wanted both a personal RQAS view as well as a view of all RQAS's (anonymous) per Tech Center
- Wants Pie charts containing info on individual rejections made (completed, pass through, etc)
- Wants section on goals – how many completed and what cases need to be completed
 - goal num is standard and unchanging
- Include a progress bar for production
- Compare others for consistency
- View metrics about hours spent on cases

RQAS Meeting 2 (11/6/18)

- Wanted to provide statistics per statute (102, 103, 112, etc...)
- Wanted to compare between herself and other RQAS's in Tech Center
- Showed us a dashboard made by Ryan Stiglic to measure some of these things
- Wanted Percentages (comparison to average)
- Wanted a temperature reading – what percentage in fiscal year and how close they are to the goal
- Wanted to see cases where an error was proposed with a status on that case (agreed on vs. disagreed on)
- Liked visualizations
- Liked to see review case comments (error vs needs attention)
- Information should be present but not so specific and detailed

RQAS Meeting 3 (11/7/18)

- Liked metrics on consistency (omitted vs improper), the idea of following alleged non-compliance cases, and personal production status
- Wanted a way to track hours put in on reviews as well as a list of reviews given for pay period with IQS case numbers
- Would be helpful to track compliance at the statute level
- Add “notes” field to track at application level
- Show standard deviations or percentages of other RQAS's, don't show a perfect number

RQAS Meeting 4 (11/7/18)

- Idea for docket website – embed and put own comments associated per case
 - Notes should be kept at user level if possible
- Include a tab for pass-through's, completed, etc...
- Show data case by case (similar to tickler reports)

RQAS Meeting 5 (11/7/18)

- Include an area to log a time sheet and have it exported to WebTA
- Include a biography page for all RQAS with picture, contact info, helpline (ex. Legal)
- It's hard to look through errors

- include a comment box with the ability to search through it
- Include a notification if a status has been changed

RQAS Meeting 6 (11/7/18)

- Wants to track issues raised under noncompliance by art units
- Have a library of good non-compliance examples
- Search bars across the RQAS
- Bi-weekly data refresh

D.2b - Feedback Meetings

RQAS Meeting 7 (11/15/18)

- Payroll page – click by day
- Case laws
- Less analytics
- Have a repository of case laws
 - Search DNA like a directory w/ very narrow issues

RQAS Meeting 8 (11/15/18)

- Non compliances that are categorized as ‘needs attention’ aren’t being captured
- Capture statues under ‘needs attention’
- Exporting logged hours may not be feasible because WebTA is a part of federal records
- Careful on Federal records of notes – professionalism

RQAS Meeting 9 (11/16/18)

- A lot of Production and Consistency analytics are not useful to him
- Wants tickler reports – and final and what kind of rejections
- Tag a case

RQAS Meeting 10 (11/16/18)

- Change payroll hours section to showing a breakdown of hours from WebTA
 - Assistance hours and average hours per MRF review
- Directory idea is possible
 - Would need to push up bookmarks to QL’s for approval
- Add area for tickler reports and distribution of reviews by status
 - Status code definitions

D.3 - Dashboard 3: Patent Ops

D.3a - Initial Meetings

Ops Group 1 (11/26/18)

- Supervisors make evals at end of fiscal year through documented stats
 - Assign ratings to examiners -> approved by Director
 - Send matrix to Director
 - Director needs to look at report for that Art Unit
- Director wants to see more reviews
 - Wants to see details (individual examiner stats) *
- Can have more than 1 clear error in a case (can have multiple errors)
- IQS is too static - can't drill down
 - Need the ability to see rollups
- Compliance Rates Reports
 - Have to meet goals
 - Used to rate SPE's
- QIR Data
 - Not held to a standard but is used to find problems
 - Reworks are red flags
 - Allowance Rates feed into the quality picture of the TC
- Cat I, II, and III are types of errors
- Want, ideally, the excel chart (Handed out at the meeting)
 - Info is out there, just need to compile it
 - Filter it to the different units
 - TC Level -> Workgroup Level -> Art Unit Level
- MQAS
 - Job is to notice error patterns and provide the appropriate training
 - Likes 101, 102, 103, 112 IQS Data Chart
- SPE might want both dashboards
- IQS has review types
 - 1.) SPE from examiner
 - 2.) OPQA random reviews

SPE	ART UNIT	Original Zed + Alarm Hrs	3rd- Notified after RCE	Consecutive Restrictions	Consecutive Final Rejections	Total Rework	Office Actions	% Rework
Andrew Lai	2411	54	15	0	2	71	1871	3.79
Charles Jiang	2412	36	6	0	1	43	2190	1.96
Jun Cho	2413	11	6	0	0	17	966	1.78
Edan Orgad	2414	27	5	0	0	32	1941	1.65
Jeffrey Rutkowski	2415	28	10	0	2	40	1712	2.34
Noel Bohary	2416	17	9	0	1	27	1841	1.47
Nathan Flynn	2421	17	7	0	1	25	2140	1.17
Jeffrey Harold	2422	95	34	0	1	130	2696	4.02
Ben Bruckart	2423	14	13	0	0	27	1924	1.40
Pankaj Kumar	2424	35	8	0	0	44	2450	1.80
Brian Pendleton	2425	26	22	0	0	48	2626	1.83
Nasser Goodarzi	2426	8	0	0	0	14	2429	0.58
Lynn Feld	2431	7	11	0	0	18	2029	0.89
Jeffrey Pwu	2433	31	4	0	2	37	2121	1.74
Kambiz Zand	2434	16	2	0	0	18	2051	0.88
Joe Hill	2435	3	2	0	0	5	2284	0.22
Shewey Gelagay	2436	21	6	0	0	27	2117	1.28
Hadi Amouchie	2437	15	5	0	0	20	1844	1.03
Taghi Arani	2438	9	1	0	1	11	2050	0.54
Luu Pham	2439	11	1	0	0	12	2247	0.53
Wing Chan	2441	33	11	0	0	44	2418	1.82
Glendon Burgess	2442	19	10	1	0	30	1463	2.05
Tonia Dollinger	2443	27	5	0	1	33	1872	1.76
Peter Anthony Pappas	2444	12	8	0	0	20	1553	1.28
Oscar Louie	2445	46	33	0	1	80	1951	4.10
Brian Gillis	2446	15	15	0	1	31	2001	1.55
Joon (James) Hwang	2447	11	9	2	0	22	2141	1.03
Krista Zole	2448	41	7	0	6	54	1969	2.74
Vivak Shivastava	2449	16	7	2	1	26	2207	1.16
Christopher Parry	2451	7	8	0	1	16	1461	1.10
Thu Nguyen	2452	13	5	0	2	20	1779	1.12
Kamal Divechia	2453	12	2	0	0	14	986	1.42
J. Avellino*	2454	40	11	0	0	51	3818	1.34
E. Moise	2455	21	20	0	2	43	1950	2.21
Philip Chea	2456	25	14	1	2	42	1869	2.25
A. Etienne*	2457	111	45	0	2	158	4021	3.93
Kevin Bates	2458	47	21	0	3	71	2299	3.09
Jeffrey Nickerson	2459	29	21	0	2	52	1548	3.36
Ray Vu	2461	57	14	0	2	73	3039	2.40
Yeman Mesfin	2462	43	6	0	2	51	2839	1.80
Mark Rinehart	2463	33	15	0	1	49	2545	1.93
Ricky Ngo	2464	46	8	1	0	55	2407	2.23
Marsha Banks-Harold	2465	64	14	0	4	86	2351	3.49

SPE	ART UNIT	Reopen Prosecution after Pre-Appeal Conference	Reopen Prosecution after Appeal Briefs	Reopen Prosecution after Final Rejection	Total Reopens	Total Office Actions	% Reopens
Andrew Lai	2411	12	6	12	30	1871	1.60
Charles Jiang	2412	3	3	4	10	2190	0.46
Un Cho	2413	1	3	1	5	956	0.52
Edan Orgad	2414	8	7	4	19	1941	0.98
Jeffrey Ruthkowski	2415	4	11	3	18	1712	1.05
Noel Behary	2416	6	1	3	10	1841	0.54
Nathan Flynn	2421	1	1	2	4	2140	0.19
Jeffrey Harold	2422	5	9	19	33	2696	1.22
Ben Bruckart	2423	2	8	3	13	1924	0.68
Pankaj Kumar	2424	0	2	1	3	2450	0.12
Brian Pendleton	2425	9	10	3	22	2626	0.84
Nasser Goodarzi	2426	3	7	3	13	2429	0.54
Lynn Feild	2431	9	2	1	12	2029	0.59
Jeffrey Pwu	2433	3	4	5	12	2121	0.57
Kambiz Zand	2434	2	5	2	9	2051	0.44
Joe Hirli	2435	0	3	0	3	2294	0.13
Sheway Gelagay	2436	4	6	1	11	2117	0.52
Hadi Amouchte	2437	4	9	1	14	1944	0.72
Taghi Arani	2438	1	2	1	4	2050	0.20
Luu Pham	2439	3	10	1	14	2247	0.62
Wing Chan	2441	4	7	2	13	2418	0.54
Glenton Burgess	2442	6	7	4	17	1463	1.16
Tonia Dollinger	2443	8	4	1	13	1872	0.69
Peter-Anthony Pappas	2444	10	17	2	29	1563	1.86
Oscar Louie	2445	3	15	4	22	4051	1.42

o Current interface doesn't filter

SPE	ART UNIT	Original 2nd + Action NFs	2nd+ NonFinals after RCE	Consecutive Restrictions	Consecutive Final Rejections	Total Rework	Office Actions	% Rework	
Fanuk Hamza	2466	22	7	0	1	30	2820	1.06	
Hassan Phillips	2467	43	4	0	1	48	2624	1.83	
Asad Nawaz	2468	28	16	0	0	44	2306	1.91	
Ian Moore	2469	17	6	0	0	23	2291	1.00	
Chi Pham	2471	62	9	0	1	72	2503	2.88	
Hassan Kizou	2472	39	12	0	0	51	2063	2.47	
Kwang Yao	2473	36	9	0	0	45	2447	1.84	
Michael Thier	2474	15	8	0	0	23	2787	0.83	
Ayaz Sheikh	2476	91	11	2	1	105	2463	4.28	
Chraeg Shah	2477	37	17	0	0	54	2503	2.16	
Derrick Ferris	2478	25	11	0	0	36	2408	1.50	
Andrew Chiss	2479	33	7	0	0	40	2282	1.75	
William Vaughn	2481	9	1	2	0	12	2447	0.49	
Chris Kelley	2482	28	26	0	1	55	2757	1.99	
Joseph Uslaris	2483	12	8	0	0	20	2359	0.85	
Thai Tran	2484	47	21	0	0	68	2585	2.62	
Jayantil Patel	2485	23	6	1	1	31	2343	1.32	
Mehrdad Dastoun*	2486	37	26	0	0	63	4590	1.37	
David Czekaj	2487	58	15	1	2	76	2982	2.55	
Sath Perungavoor	2488	6	1	0	0	7	2443	0.29	
Jorge Ortiz Criado	2489	19	13	0	1	33	1931	1.71	
Ashokkumar Patel	2491	18	12	0	0	30	2306	1.30	
Saleh Najjar	2492	16	7	0	1	24	2385	1.01	
Carl Cohn	2493	11	7	0	0	18	2201	0.82	
Jung "Jay" Kim	2494	32	6	0	0	38	1620	2.35	
Fahid Homayounmehr	2495	10	3	0	0	13	1936	0.67	
Elni Shiferaw	2497	12	0	0	0	12	2258	0.53	
Yin-Chen Shaw	2498	16	15	0	1	32	1761	1.82	
Group Totals		2410	173	51	6	230	10511	2.19%	
		2420	196	90	0	2	288	14265	2.02%
		2430	113	32	0	3	148	16853	0.88%
		2440	220	105	5	10	340	17585	1.93%
		2450	305	147	1	14	467	19731	2.37%
		2460	353	90	1	11	455	23282	1.95%
		2470	338	84	2	2	426	19456	2.19%
		2480	239	117	4	5	365	24447	1.49%
		2490	115	50	0	2	167	14467	1.15%
		2400	2052	796	13	55	2886	160907	1.80%
Corps		21954	7055	1063	939	31011	1548697	2.00%	

- Want ability to choose data by review type

Ops Group 2 (11/26/18)

- Director
 - Wants to see how the TC at large is doing with error rates
 - Areas in the “danger zone” for not making targets
 - No historical data on IQS
 - Might be due to revamped system
 - Don’t drill down to SPE or MQAS level
 - See errors per workgroup/examiner/art unit
- SPE
 - Wants to see where Art Unit is struggling year-to-year
- Separate SPE Reviews and RQAS Reviews (in different columns)
 - Document the underperformance
 - SPE’s document errors, RQAS document quality of the office
- MQAS
 - Get examiners to do their jobs correctly
 - Wants to see types of errors
 - What were the biggest number of hits in a category
 - Wants to know what categories and subcategories are causing the errors
 - Both quantitative and percentage-wise
 - Outlier / Consistency Report to show if there is a skew
 - If one person is making the numbers go off
 - Want to see the errors by themselves
 - Want a way to export errors to email or just in general
 - Errors are related to correctness, clarity is shown as comments
 - Wants to see multiple categories of errors on the same page
- SPE
 - Currently red flag for correctness, yellow flag for clarity
 - Wants to separate correctness from clarity because the examiners are dumb and freak out and don’t understand the clarity
 - Export just the error itself
 - Export the error to send to the examiner
 - Possibly just make more copy-paste-able
- Director
 - Filter out clarity
 - For exporting, maybe just Select all button (eliminates need to drag to select)
 - Clock / SPE color-coded circles for OPQA noncompliances awaiting rebuttal
 - Red, Yellow, Green
 - Time is approx. 1 month (30 calendar days)
- SPE
 - Reviews can be randomly pulled for error-checking
 - Can be deceiving -> could only pull 1 and make it look like 100% error
- IQS Walkthrough
 - Have to click TC ____ for every field
 - Clarity vs. Correctness When a Rejection is Made

- Visualization is really bad
- Reviews
 - Button to export error to email
 - Doesn't need clarity for some user groups
 - Export Errors (correctness issues) and Export Clarity
 - SPE will only see their own Art Unit
 - SPE color codes per case
 - Don't need orange
 - SPE (and MQAS?) warning email if a rebuttal is due in 5 days
 - Because SPEs don't look at IQS every day
 - Export Error and Rebuttal
 - Make interface more readable
 - Maybe place error text and rebuttal text side-by-side so it can be seen better
 - Filter tabs and columns in IQS
 - Should be able to move tabs so the ones you want to see first are in front
 - Display due date as days remaining in IQS

Ops Group 3 (11/27/18)

- They have someone who checks rebuttals
- They like the concept of visualizing a count of errors from the total amount
- IQS has limited printability
 - Ability to copy and select portions to export/print would be helpful
- SPE
 - Communication mechanism between spe and patent examiner (not just copy and paste)
 - Filter for historical trends
 - Show paygrade level
- MQAS
 - Clarity -> is there a correlation with noncompliance
 - Rqas tagging cases may help
 - Can we get a calculation of this
 - Noncompliance with work group or art unit would be helpful
 - Reversal rate
 - Needs attention
 - Consistency
 - Want the ability to delegate role to someone else and share responses
 - Validation process
 - Second set of eyes
 - Keep opqa self in check
 - Document peer review
 - TC's see if peer reviews agree with findings
 - Full comments

- Report errors and present positives

Ops Group 4 (11/29/18)

- 2600 SPEs/QAS
- Loading is too slow
- new cases added should automatically appear on top
- a case should automatically close out if an error is charged and the time period for rebuttal has elapsed and examiner never rebutted within the rebuttal time period
- The OC tool gives the SPE the ability to make comments
 - Should move this to the Quality Tracker
- Add a column to show the status of non-compliant cases on the quality assurance side
 - Similar to the disposition table on the QL layout, but current
- Export button
- Timeline of where things are and the milestone (Microsoft proj)
 - Where it is currently and how far along it is with avg amount of days per category
- Include a zip or link of the patent application for a case
- Add a column to show if a case was reviewed via MRF or Quality Tracker or both
- Progress bar - Be able to run a report for cases only having non-compliance with the option to select from quarter and pay period
 - Filter by time – how many reviews have been done per quarter for the SPE
- Be able to run a report to see what errors are on each case for individual examiners, art units, and/or workgroup and statute
 - Good/bad indicia
 - Feedback
 - Quality major activity deficiency (QMA)
 - Clear Error
- Tally and Timeliness by art unit (Director)
- Look at eStats -> shows tally counts and how it rolls up
 - Manager view
- SPE Requests on tracking
 - How many reviews have they done, when
 - What type of error
 - What reviews are not finalized
 - Types of office actions -> bar per person
 - Compare yearly trends
 - Review to examiner ratio
 - SPE Responsibilities
 - Entering own reviews into quality tracker
 - Did I get opqa error back and what do I do with it
 - Break down visualization from statutes with their respective sub-categories

Ops Group 5 (11/30/18)

- Print/export cases
- Stop receiving 2nd email about patent examiners not responding to cases
- Info for midyear and end of year -> for quality writeup
- Show list of examiners and then click and see a breakdown of cases per examiner (about 8-20 examiners per spe)
- Show what indicia (2 for jr & 3 for primary)
- Reports broken down into gu and au
 - Select what areas
 - Rolling 12 mo for trends
 - What group and what time period
- Add in accolades
- Clear rollup
 - My tc has x in this status
 - Can't see pass-throughs (very opaque)
 - Did someone add comments?
 - What's the final?
 - Different stages?
- How many are approaching deadlines
 - Can you put into spe dashboard
- Rarely go into IQS unless there is an email sent out
- Miami Report pulls from IQS
 - Results from goals
 - Quality tab
 - Rn just non compliance
 - Maybe show deadlines
- Integrate PE2E portal
 - Comments brought to IQS
 - Prior art will be searchable soon
- Purpose of IQS
 - Patent ops – using to charge errors & interact with OPQA
 - OPQA – Review Cases
- Original purpose is to integrate reviews
- Did quality tracker to MRF combining well
- Interesting
 - Pull down of most common mrf errors

MQAS/SPE Emailed Requests

Current pain points:

- 1) Loading is too slow (loading docket view, saving, validating, marking review complete, etc).
- 2) New IQS entries don't appear at the top of the docket. It would be nice to be able to sort by IQS entry creation date.
- 3) Finalizing IQS errors. A case should automatically close out if an error is charged and the examiner didn't rebut within the rebuttal time period (Note – this point was debated, some SPEs were concerned that the system may maintain errors that the examiner successfully rebutted, if the SPE fails to enter the rebuttal into IQS).
- 4) Copying and pasting text associated with non-compliant OPQA reviews. If the text is long or there are multiple issues in various correctness and clarity sections within IQS it can be tedious to copy and paste everything into a single document. Possibly build an “export review” function that creates a summary of all issues in a Word doc or PDF.
- 5) The process for maintaining and dropping errors within IQS isn't intuitive. Some SPEs drop errors by deleting the original QT review item, others edit the original QT item, and some try to create a new QT item. When a SPE checks the box in order to update a QT review item the system should bring up a list of options, such as “Maintain”, “Drop”, and “Reduce to a QMA Deficiency”.

New Functionality:

- 1) User interface – when entering cases for review – build in functionality to type in empl #, which would autofill a list of potential cases for review for that examiner (pull data from PALM 3205 reports for last xx pay periods, current quarter, etc.)
- 2) Design IQS to automatically capture all the review comments made in OC during a routine office action review. It is inefficient to make correction comments in OC and then go to IQS to retype everything. Second option: add an auto-populate button in OC which would automatically create a quality tracker entry in IQS.
- 3) Add a column to show further status updates of non-compliant cases that are before the QL – e.g. did QL drop the non-compliance after reading the TC's rebuttal, did the QL forward the NC to the OPQA Director.
- 4) Add a column to show if the case is reviewed via MRF or Quality Tracker or both.
- 5) Be able to run a report for cases that have at least one non-compliant rejection with the option to select from Pay Period xx to Pay Period yy.

- 6) Be able to run a report to see what the errors/QMA deficiencies/comments are on each case for individual examiners, Art Units and/or Workgroup. The report should be sortable by statute (101, 102, 103, 112). This data would be helpful for SPEs at mid-year and end-of-year.
- 7) For the list of completed reviews – add info to docket view, such as non-compliant statutes and at least a partial view of the text describing the issues (possibly hover over case to bring up contents, similar to the original quality tracker tool)
- 8) For completed reviews – indicate which quarter and pay period the review was completed in, and whether or not it's been finalized.
- 9) Left side of MRF review (the list of statutes and major activities). Only show MRF sections if there are comments or non-compliance issues. Currently, IQS lists all rejections made in an action, even if there are no comments or non-compliance issues.
- 10) Create an examiner version of IQS (examiner permission level). Create an interface for examiners to use in order to enter rebuttals.
- 11) When finalizing an error after the examiner's period for reply has expired, include an option to close and finalize w/o sending to examiner. Some examiners interpret the 'error maintained' email as being charged with the same error again, especially when three months have passed since the initial QT entry.
- 12) Include functionality to bulk close out reviews when examiners' rebuttal period has expired for multiple reviews.
- 13) Create a Quality Dashboard for TC reviews that shows errors, QMA deficiencies, and positive indicia of ratings as identified by SPEs. The dashboard could include functionality such as comparing errors and deficiencies identified this fiscal year with errors and deficiencies identified last fiscal year, or listing the number of non-finals, finals, and allowances reviewed at an examiner, art unit, or workgroup level for a particular quarter or fiscal year.

D.3b - Feedback Meetings

Ops Group 6 (12/7/18)

- Dav has files: Correspondence records -> not worth the time
 - Palm first hand history (background)
- Colored columns for timeliness – what are these tied to?

- RQAS, TQAS
- Who is the error to
 - Me or examiner
- Ability to sort by due date
- Correctness vs Clarity – all sent in email
 - Ability to manipulate and copy to email – currently very restricted
- Hover over to explain export
- At the end of the year...
 - How many are dropped, alleged, held
 - Export to huge report (per case)
- Count of number of issues
 - Not content – subcategories of statutes
- MRF is very harsh so SPEs prefer Quality Tracker
- Director: How many reviews done at the end of the quarter
 - Drill down
 - SPES – too cumbersome
- TC – Notification for expiring cases (approx. 2 days)
- Ability to refute to director even if it closes automatically (not delete)
- OC -> Official Correspondence
 - Have something to export or pull (not cut and paste)
- No on examiners
 - Email to close it out – looks like the error
 - Make it look different

Ops Group 7 (12/7/18)

- Liked color coded items on timeliness column
- Would incorporate everything on table into timeline
- Sort up or down based on MRF, QT or both
- Ad column for who did the review username on that page
 - Tagged only for art unit
 - All SPEs don't have access to cases done in their art unit
 - In completed by me
 - New tab “completed by art unit”
 - For AU's with multiple SPEs
 - SPE just sees AU, not whole TC
- Automated email response when QL takes an action
- Which OPQA reviewer is calling the most errors
- Reviews need to be affiliated with AU, not SPE
- Export at user level to excel

- Differentiate email image

Ops Group 8 (12/7/18)

- MRF, QT, both
- History Timeline
 - Allow SPE to see a timeline
- Distinguish what mockups go on director page
- Give examiners a little access to IQA
 - Respond to rebuttals without SPE involvement
 - Send all stuff SPE agrees with
 - Print to PDF
- Populate IQS with OC info
- Single file so you could lookup reviews of a single examiner
- Generate very long report for quarter for SPEs
 - Generate as Excel
 - Filter down
- Change error / maintain error / charged email
- Email warning for rebuttal
 - Email to MQAS
 - Select where they go
- See on-compliance statutes / extra columns

Part E: Sample Initial Mockups

E.1 – Quality Leads Initial Mockups

Image 1

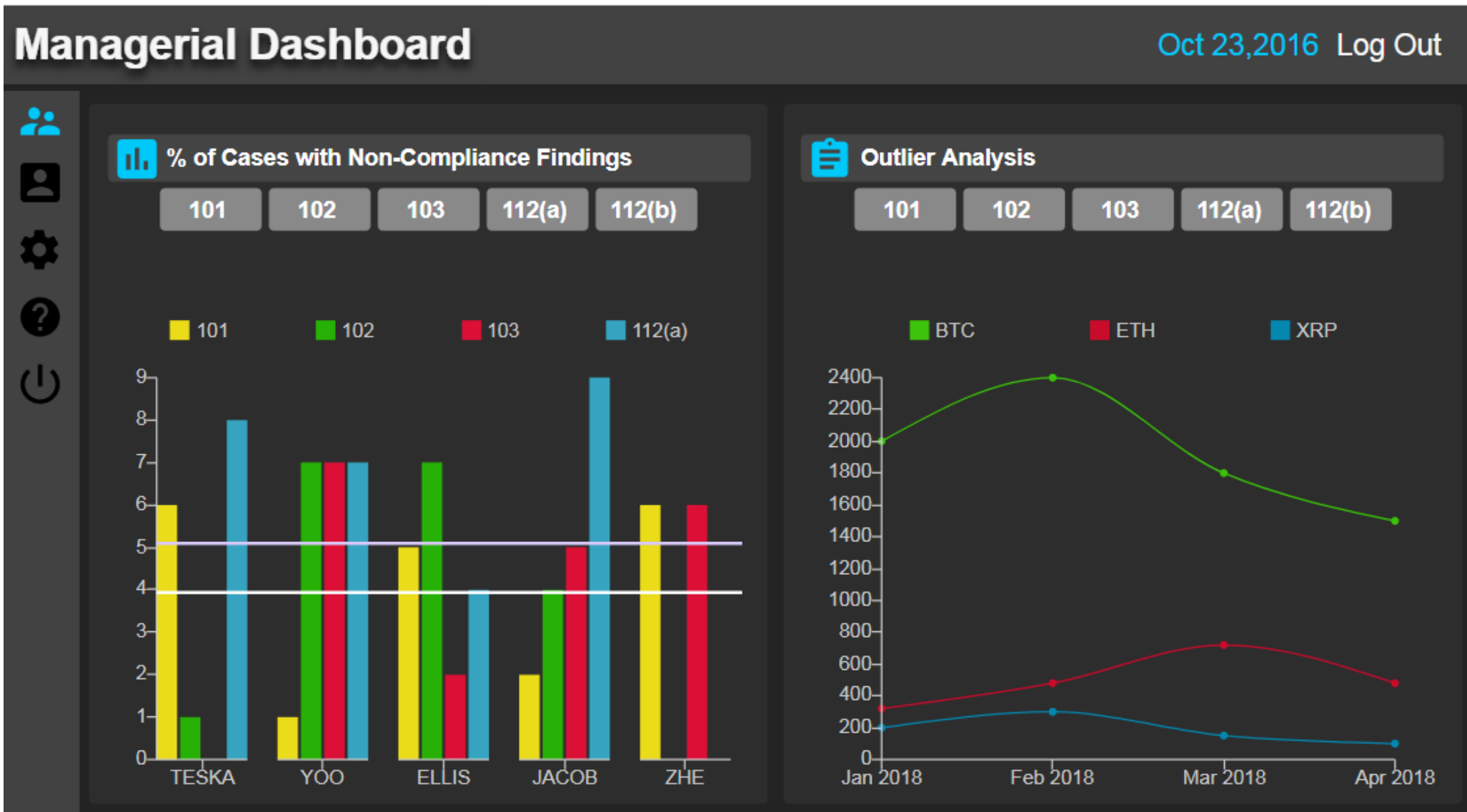


Image 2

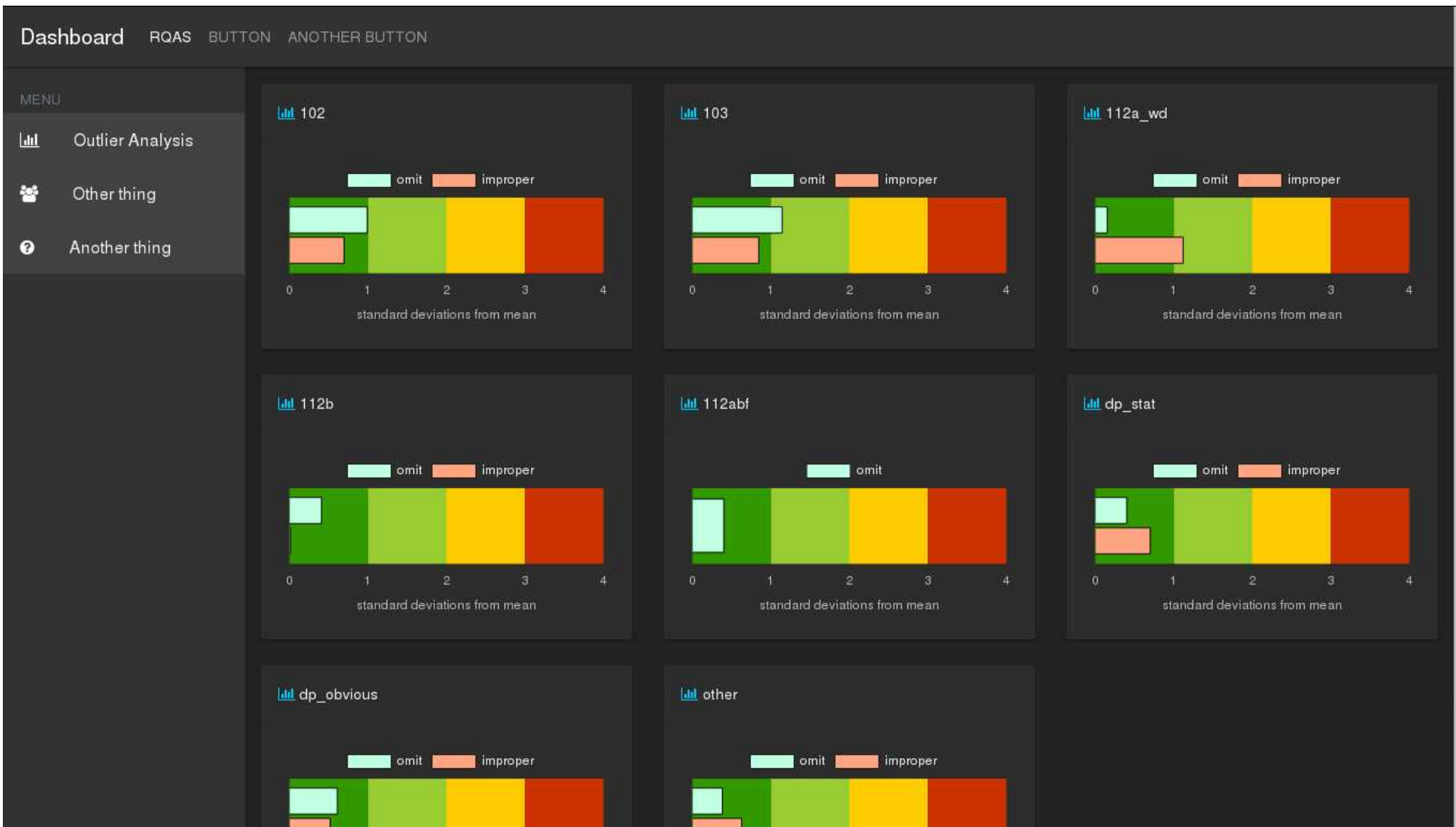


Image 3

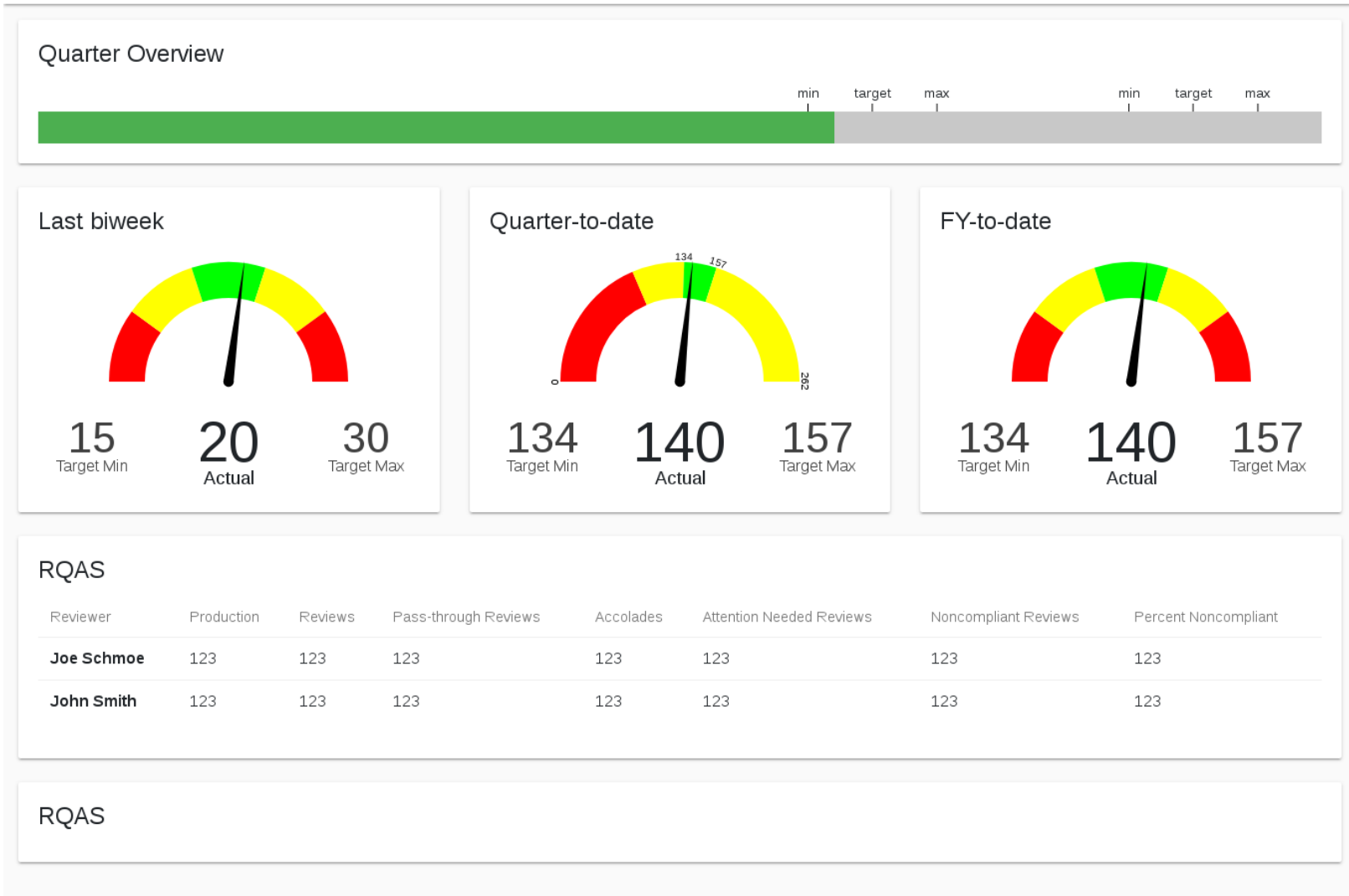


Image 4

Dashboard OVERVIEW BUTTON ANOTHER BUTTON

34_{/75} QL Reviews



Image 5

Dashboard OVERVIEW

Percentage Non-Compliance Within 10 Days



Average Working Days



Tickler Report

TC Feedback Pending ●

5

Awaiting TC Rebuttal ●

2

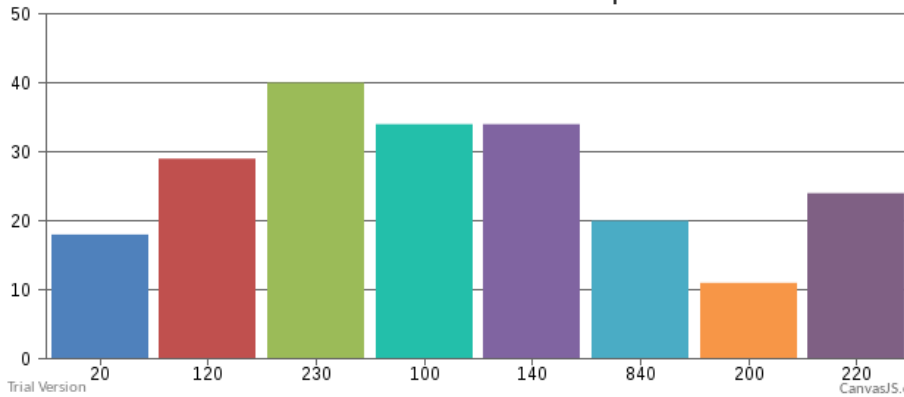
RQAS Docket ●

8

Awaiting OPQA Response ●

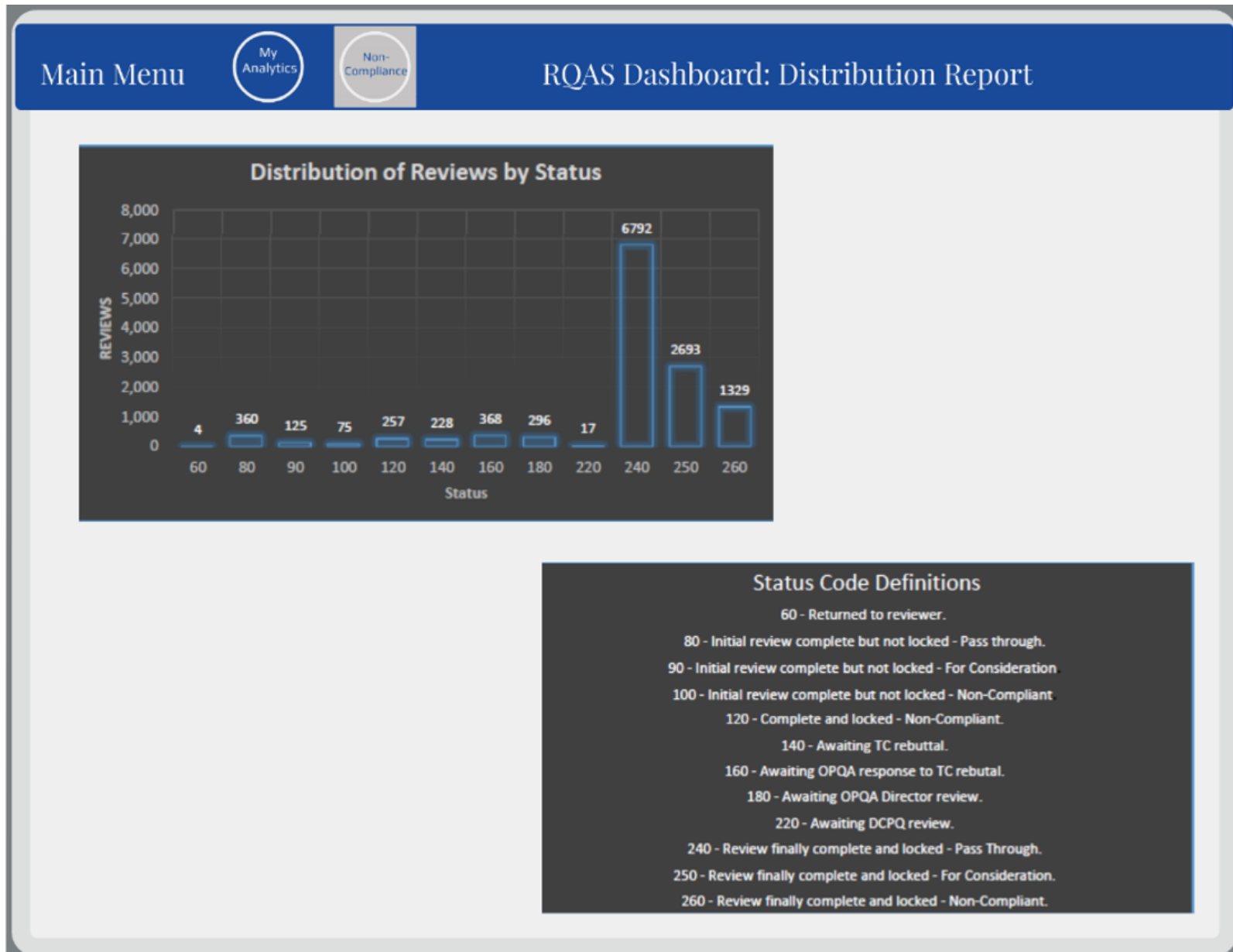
1

Total Number of Review Dispositions



E.2 – RQAS Initial Mockups

Image 1



E.3 – Patent Ops Initial Mockups

Image 1

HOME Report Problems

Docket
Reviews
Reports
Help
Viewing as

Director & SPE
View

Fiscal Year(s) Mailed:

- FY 2016
- FY 2017
- FY 2018
- FY 2019
- Quarter 1

Organization(s):

- 2300
- 2400
- 2600
- 2800
- 2900
- 3600
- 3700
- 4100

Art Unit Overview

Case No.	Quality Tracker Positive Index of Rating: Clear and Concise			Quality Tracker Positive Index of Rating: Compact Prosecution			Quality Tracker Positive Index of Rating: Allowable Subject Matter			Number of Clear Errors	Total Errors and Deficiencies Entered	Quality Metric: 35 U.S.C. 102 (TC-Based Review)			Quality Metric: 35 U.S.C. 103 (TC-Based Review)			Quality Metric: 35 U.S.C. 102 (TC-Based Review)			Quality Metric: 35 U.S.C. 101 (TC-Based Review)			Quality Metric Assessment: Any Deficiency - Compliance noted in 2019?			
	Count	%	Total	Count	%	Total	Count	%	Total			Compliant	Non-Compliant	Total	Compliant	Non-Compliant	Total	Compliant	Non-Compliant	Total	Compliant	Non-Compliant	Total	Compliant	Non-Compliant	Total	
2431	95	64	159	2	100	102	3	108	111	0	66	96	12	9	21	54	0	54	64	0	64	60	4	64	59	5	64

SPE Reworks

Technology Center: 2400 - Rolling Four-Quarter QIR Rework Data Through EOY 2018

SPE	ART UNIT	Original 2nd Action W/o	Shift 2nd/3rd/4th after RICE	Consecutive Final Rejections	Consecutive Final Rejections	Total Rework	Office Actions	% Rework
Frank Hamza	2406	22	7	0	1	30	2820	1.06
Masson Phillips	2407	43	4	0	1	48	2624	1.83
Raid Nawaz	2408	28	18	0	0	44	2306	1.91
Ian Moore	2409	17	6	0	0	23	2291	1.00
Chi Pham	2471	62	9	0	1	72	2503	2.88
Hassan Kizoo	2472	39	12	0	0	51	2063	2.47
Kwang Yao	2473	36	9	0	0	45	2447	1.84
Michael Tiew	2474	15	8	0	0	23	2787	0.83
Ayaz Sheikh	2476	91	11	2	1	105	2463	4.28
Chirag Shah	2477	37	17	0	0	54	2503	2.18
Derrick Ferris	2478	25	11	0	0	36	2408	1.50
Andrew Chinn	2479	33	7	0	0	40	2282	1.75
William Vaughn	2481	9	1	2	0	12	2447	0.49
Chris Kelley	2482	28	23	0	1	55	2757	1.99
Joseph Ustaris	2483	12	8	0	0	20	2359	0.85
Thai Tran	2484	47	21	0	0	68	2505	2.62
Jayant Patel	2485	23	6	1	1	31	2343	1.32
Mahesh Dalsour	2486	37	25	0	0	63	4590	1.37
David Casak	2487	18	15	1	2	36	2092	2.22
Sath Perungavoor	2488	6	1	0	0	7	2443	0.29
Jorge Ortiz Cisado	2489	19	13	0	1	33	1931	1.11
Ashokkumar Patel	2491	18	12	0	0	30	2306	1.31
Sudh Nagar	2492	16	7	0	0	24	2385	1.01
Carl Colon	2493	11	7	0	0	18	2201	0.82
Jung Jay Kim	2494	32	6	0	0	38	1620	2.35
Fahd Homayounmehr	2495	10	3	0	0	13	1636	0.67
Elan Srinivas	2497	12	0	0	0	12	2258	0.53
Yin Chen Shaw	2498	16	15	0	1	32	1761	1.82
	2410	173	51	0	6	230	10511	2.19%
	2420	196	90	0	2	288	14265	2.02%
	2430	113	32	0	3	148	16853	0.88%
	2440	220	105	0	10	340	17585	1.93%
	2450	305	147	1	14	467	19731	2.37%
	2460	353	90	1	11	455	23282	1.95%
	2470	338	84	2	2	426	19456	2.19%
	2480	239	117	4	8	368	14467	2.57%
	2490	115	60	0	5	305	24447	1.25%
	2400	2052	766	13	55	2886	16059	1.80%
Totals	21954	7055	1063	939	31011	1248297	2.00%	

Art Unit Detailed view

Case No.	ART UNIT	Original 2nd Action W/o	Shift 2nd/3rd/4th after RICE	Consecutive Final Rejections	Consecutive Final Rejections	Total Rework	Office Actions	% Rework																				
2431	2406	95	64	159	2	100	102	3	108	111	0	66	96	12	9	21	54	0	54	64	0	64	60	4	64	59	5	64

Image 2

Integrated Quality System

HOME Report Problems

Docket Reviews Reports Help Viewing as

Director View

Post-rebuttal Case Statuses

Noncompliance QL Dropped After Rebuttal	Noncompliance QL Dropped After Rebuttal	Noncompliance QL Dropped After Rebuttal	Noncompliance QL Dropped After Rebuttal
5 Average Retainment Time in Days See individual cases	20 Average Retainment Time in Days See individual cases	6 Average Retainment Time in Days See individual cases	2 Average Retainment Time in Days See individual cases
1 Average Retainment Time in Days See individual cases	3 Average Retainment Time in Days See individual cases	11 Average Retainment Time in Days See individual cases	9 Average Retainment Time in Days See individual cases

Part F: Final Mockups

F.1 – Quality Leads Dashboard

Image 1



Image 2

Tickler Reports

SELECT ▾

= 6+ Days = 5+ Days = 3+ Days = 0+ Days

TC Feedback Pending



Total
5

Awaiting TC Rebuttal



Total
2

Awaiting OPQA Director



Total
1

RQAS Docket



Total
8

Awaiting OPQA Response



Total
1

Awaiting DCPQ



Total
1

Awaiting QL First Action



Total
1

Image 3

Production



37
Last Biweek

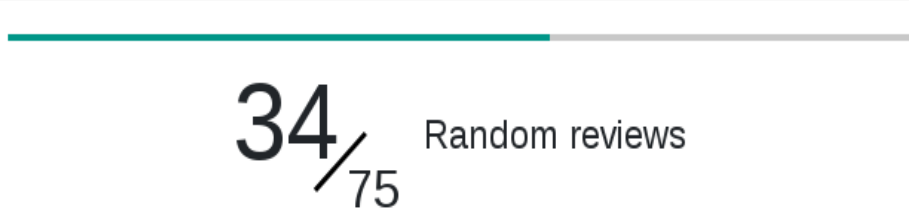
12
Current Biweek

250
Last Quarter

151
Current Quarter

972
Last FY

375
Current FY



Noncompliance reviews

5
Average days to first action

85%
Cases within 10 days

Image 4

CURRENT QUARTER

CURRENT BIWEEK

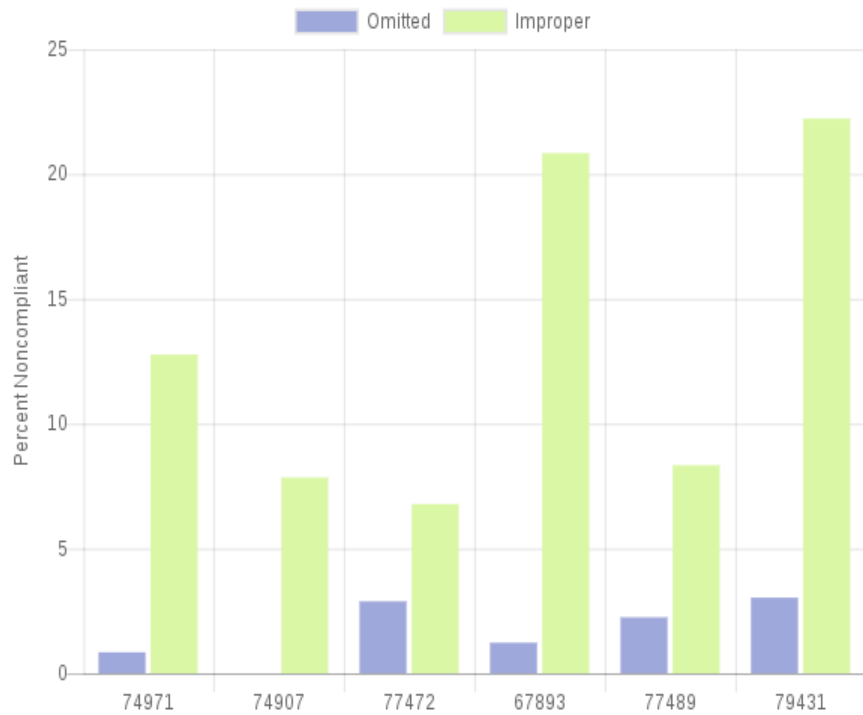
LAST BIWEEK

1600

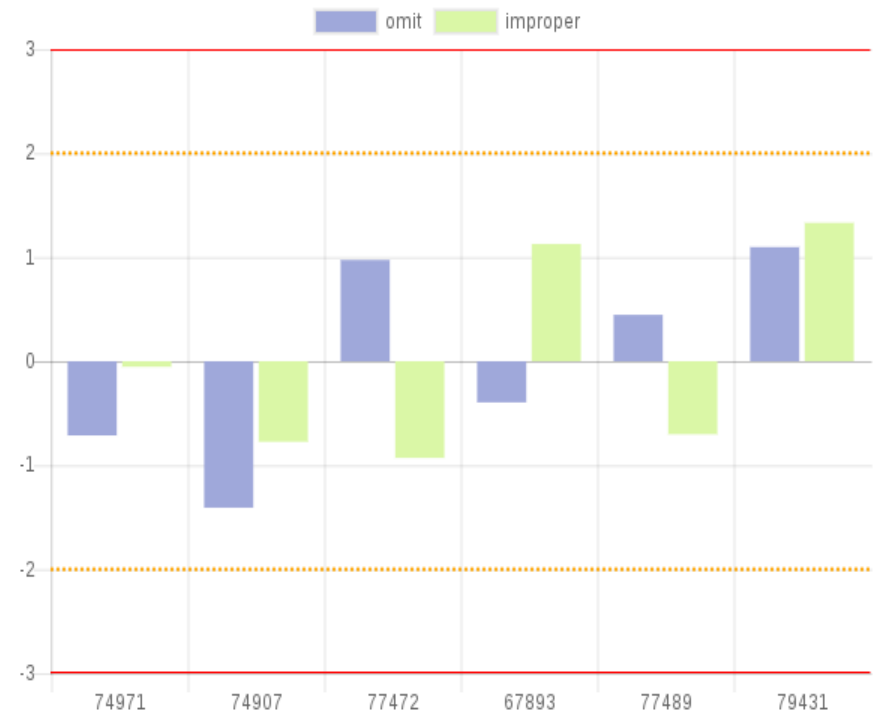
101

EXPORT

Percent Non-Compliant



Outlier Analysis



F.2 – RQAS Dashboard

Image 1

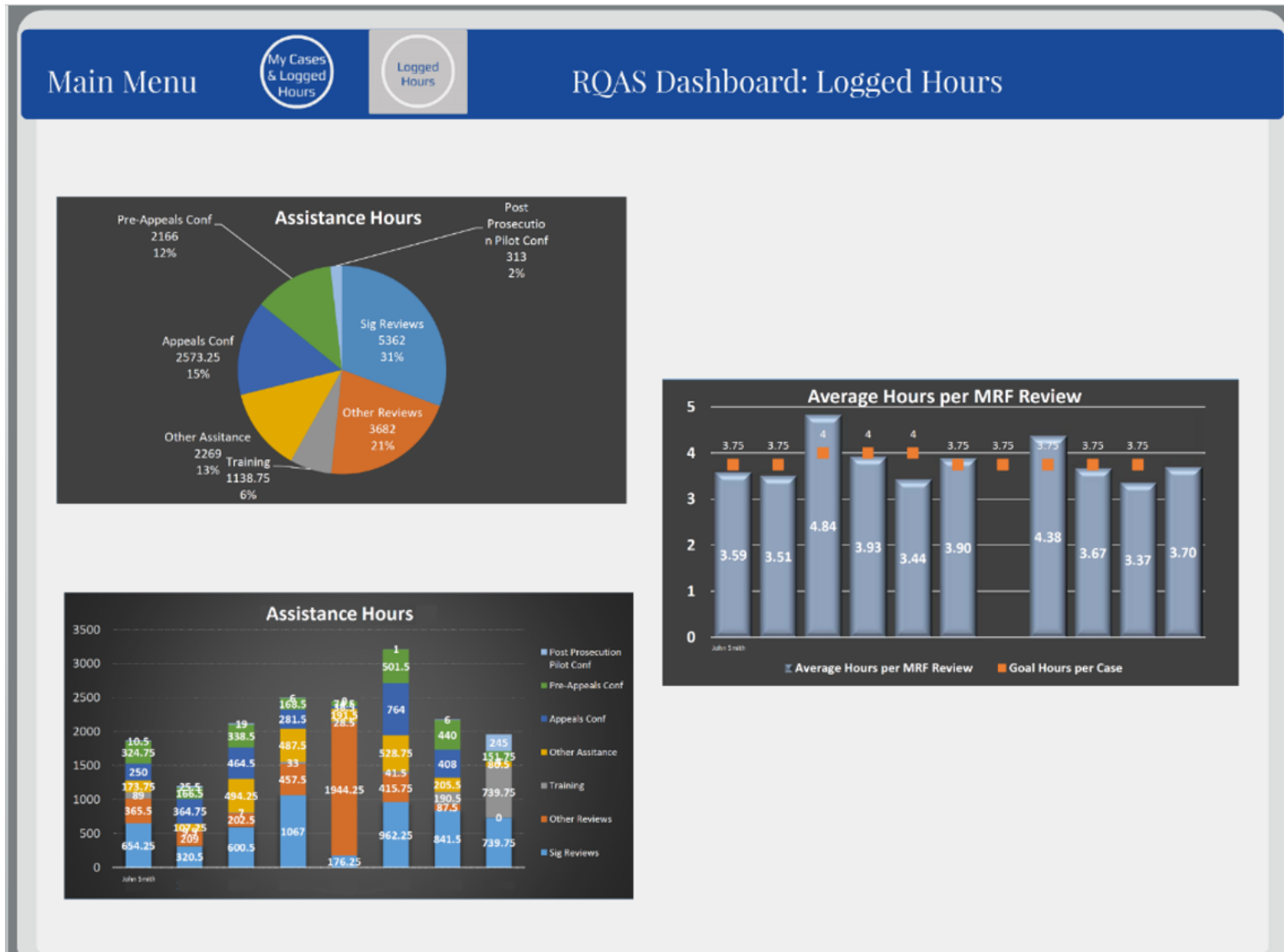


Image 2

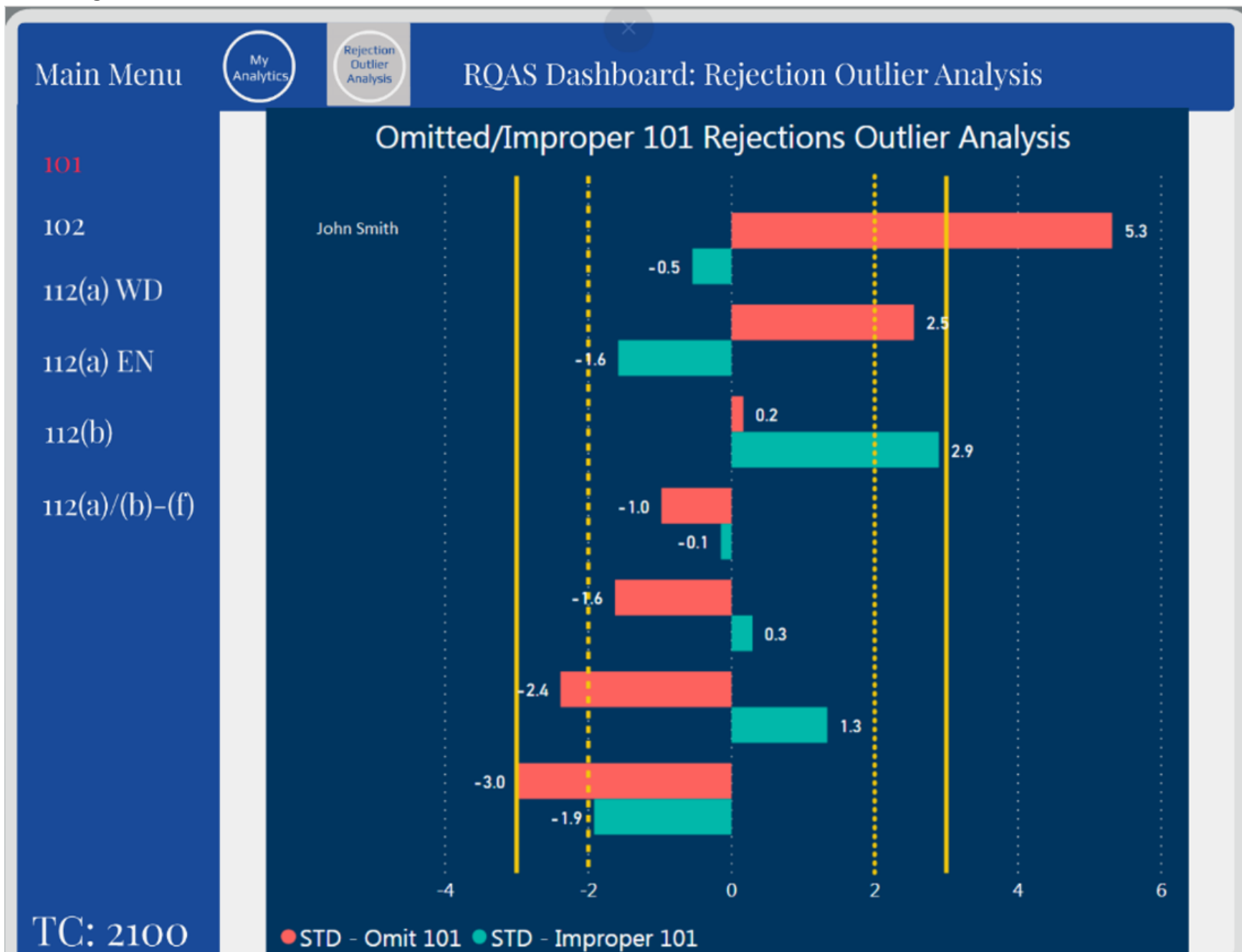


Image 3

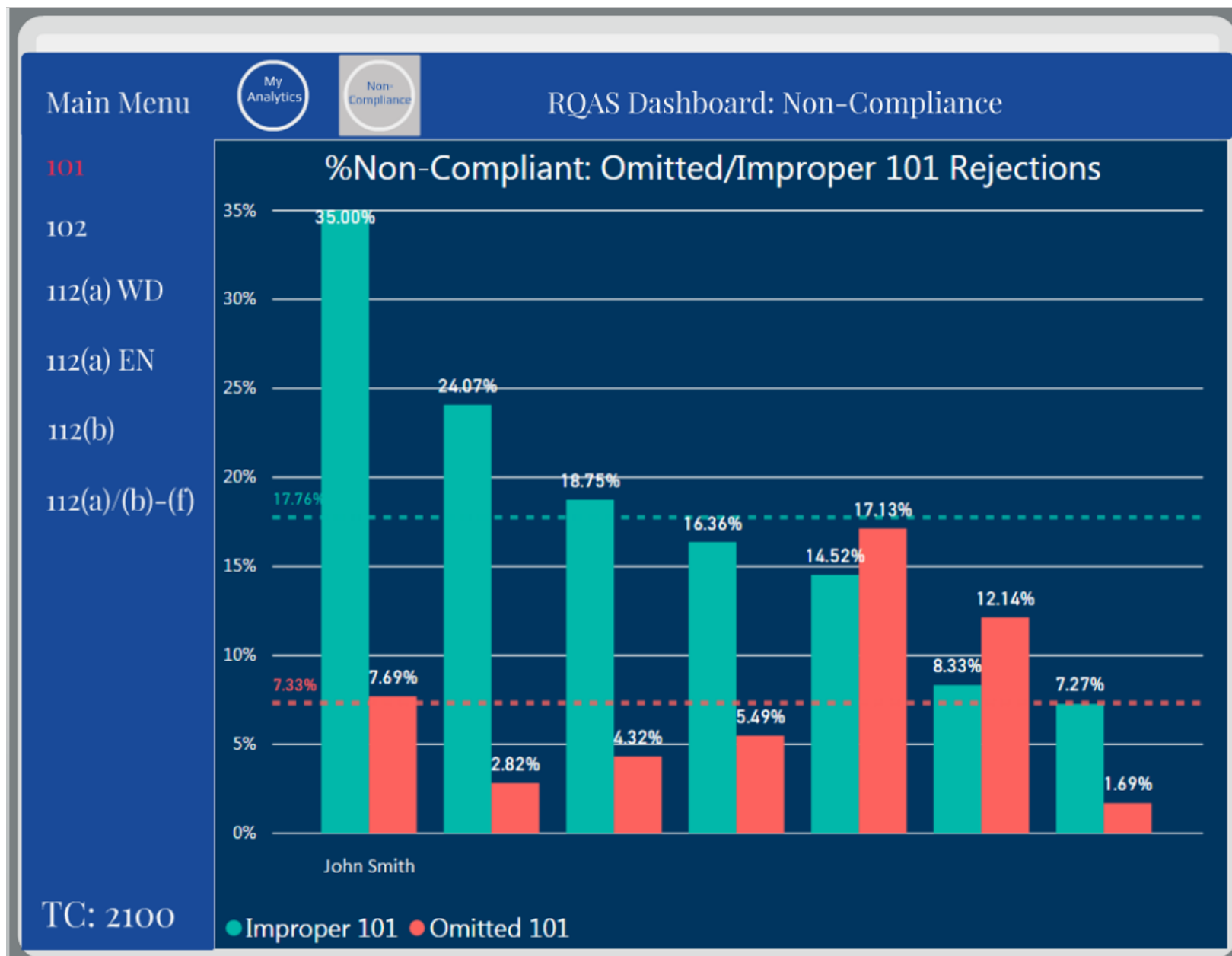


Image 4

Disposition of Reviews with Noncompliance Issues Raised Report

	#	%
Random Reviews with Noncompliance Issue Raised	#	%
Raised Noncompliance Reviews Forwarded to TC	#	%
Noncompliance reviews agreed and/or expired with no rebuttal	#	%
Number Rebutted	#	%
Noncompliance QL dropped after rebuttal	#	%
Noncompliance TC agree to aftr rebuttal	#	%
Number sent to OPQA Director	#	%
Number Reversed by OPQA Director	#	%
Finalized without further rebuttal (No validation)	#	%
OPQA Director forwards to DCPQ	#	%
DCPQ Affirms Reviewer	#	%

Image 5

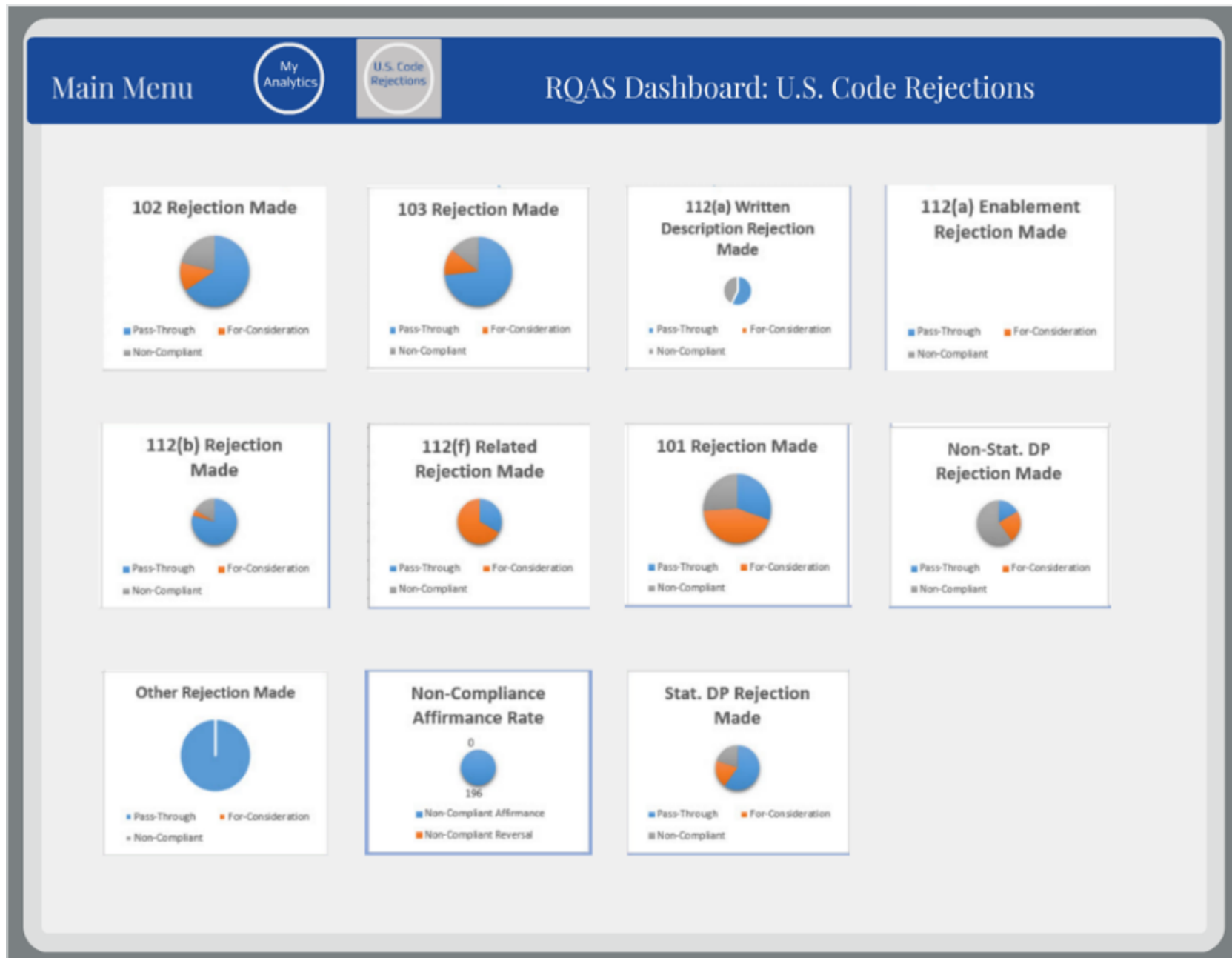


Image 6

The image shows a web application interface. At the top right, there is a search bar with a magnifying glass icon and a close button (X). Below this is a table with the following columns: Application Number, Examiners, IQS Status, Tags, Bookmark?, and Personal Notes. The table contains two rows of data:

Application Number	Examiners	IQS Status	Tags	Bookmark?	Personal Notes
14216366	Smith, John	Available for TC Feedback - Pass Through	DNA, 102	yes	Click Here
15217366	Bell, Chris	Available for TC Feedback - Pass Through	Soil, 112		Click Here
					Click Here
					Click Here
					Click Here
					Click Here

Below the table, a modal window titled "Add New Note" is displayed. It features a search bar at the top right and a blue arrow pointing left. The modal contains a text input field with a blue plus sign on the left. Below the input field, there are two example notes:

- Note 1: "This case is just like XXXXXXXX because on paragraph 6 on page 8 XXXXXXXXXX" with a timestamp of 1:30 pm and a trash icon.
- Note 2: "This case is a good example of Statute 102, because XXXXXXXXXX" with a timestamp of 1:28 pm and a trash icon.

Image 7

The image shows a web application interface. At the top right, there is a search bar with a magnifying glass icon and a close button (X). Below the search bar is a table with the following columns: Statute, Tech Center, Art Unit, Application Number, Examiners, Tags, Reviewer, and Personal Notes. The first row of data contains the following values: 102, 1600, 1620, 123456, Bell, Chris, Orgo, Smith, John, and a blue hyperlink labeled "Click here". The rest of the table is empty.

Statute	Tech Center	Art Unit	Application Number	Examiners	Tags	Reviewer	Personal Notes
102	1600	1620	123456	Bell, Chris	Orgo	Smith, John	Click here

F.3 – Patent Ops Dashboard

Image 1

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Docket Reviews Reports Help Viewing as

Show reviews completed in fiscal year: 2019 (including in progress) **TC Response Required :** 6 ≤ 4 days 4 ≤ 14 days 8 ≤ 30 days [Edit Tabs](#)

My Reviews In Progress (4) OPQA in Progress - TC Response Required (32) OPQA in Progress - TC Rebutted (5) TC in Progress (511) Completed by Me (19) All Complete in TC - Non-OPQA Reviews (468) All Complete in TC - Pass

IQS Review ID ↑	Application No.	Count FY	Review Type	GAU	Examiner	Office Action Type	Action Post Date	Action Count Date	Action Mail Date	Due Date ↑	Time Remaining ↑	IQS Status Date	IQS Status
		2019	Random			Non-Final Rejection	10/19/2018	10/19/2018	10/24/2018	12/03/2018	● 1 day	11/05/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/18/2018	10/18/2018	10/23/2018	12/04/2018	● 2 days	11/06/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/17/2018	10/17/2018	10/25/2018	12/04/2018	● 2 days	11/06/2018	Awaiting TC rebuttal
		2019	Random			Non-Final Rejection	10/25/2018	10/25/2018	11/01/2018	12/05/2018	● 3 days	11/07/2018	Awaiting TC rebuttal
		2019	Random			Non-Final Rejection	10/28/2018	10/28/2018	11/01/2018	12/06/2018	● 4 days	11/08/2018	Awaiting TC rebuttal
		2019	Random			Allowability Notice	10/27/2018	10/29/2018	11/02/2018	12/06/2018	● 10 days	11/08/2018	Awaiting TC rebuttal
		2019	Random			Non-Final Rejection	10/23/2018	10/23/2018	10/26/2018	12/11/2018	● 11 days	11/13/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/29/2018	10/29/2018	11/02/2018	12/11/2018	● 12 days	11/13/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/15/2018	10/24/2018	10/29/2018	12/12/2018	● 15 days	11/14/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/17/2018	10/23/2018	10/26/2018	12/12/2018	● 20 days	11/14/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/16/2018	10/29/2018	11/01/2018	12/12/2018	● 21 days	11/14/2018	Awaiting TC rebuttal
		2019	Random			Non-Final Rejection	10/30/2018	10/30/2018	11/05/2018	12/12/2018	● 21 days	11/14/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/29/2018	10/29/2018	11/02/2018	12/13/2018	● 23 days	11/15/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/30/2018	10/30/2018	11/05/2018	12/13/2018	● 24 days	11/15/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/31/2018	10/31/2018	11/05/2018	12/13/2018	● 27 days	11/15/2018	Awaiting TC rebuttal
		2019	Random			Allowability Notice	10/10/2018	10/10/2018	11/07/2018	12/13/2018	● 30 days	11/15/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	11/05/2018	11/05/2018	11/09/2018	12/13/2018	● 30 days	11/15/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	11/02/2018	11/02/2018	11/07/2018	12/17/2018	● 30 days	11/19/2018	Awaiting TC rebuttal

Open View History Export to Excel Redocket Delete Refresh

Image 2

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Review / Application

Review Selection / Summary for Application

IQS Review ID ↓	Office Acti... FY	Review Type	Reviewing Org.	Reviewer	Flagged for Search	GAU	Examiner	Office Action Type	Action Mail Date	AIA Ind.	IQS Status Date	IQS Status
	2019	Random	OPQA		N			Non-Final Rejection	10/23/2018	Y	11/26/2018	Awaiting OPQA response to TC rebuttal

Review Content – Form Version 3.14 – Non-Compliant

- ✓ MRF Overview
- ✓ Search
- ✓ 103 Rej. Made
- ✓ 112(b) Vague/Indefinite Rej. Made
- ✓ 112(f) Analysis
- ✓ Other Quality-Related Items

From: [Redacted] Select All

Review History / Messages

Date ↑	Status Change	Event	Message	Due Date	User
10/31/2018		Forwarded to Quality Lead		11/05/2018	
11/01/2018		Review modified		11/05/2018	
11/01/2018	Awaiting TC rebuttal	Quality Lead agreed with reviewer			
11/01/2018		Forwarded to TC		11/29/2018	
11/26/2018	Awaiting OPQA response to TC rebuttal	TC disagreed with reviewer	✉		
11/26/2018		Forwarded to Quality Lead		12/24/2018	

IQS Version: 3.17

Export Clarity Comment | Export Correctness Comment

Validate and Save | Email Reviewer

Disagree with Reviewer and Return | Agree with Reviewer

Image 3

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Make it so the DAV link takes them directly to the application, no searching required

Review Selection / Summary for Application

IQS Review ID	Office Acti... FY	Review Type	Reviewing Org.	Reviewer	Office Action Type	Action Mail Date	AIA Ind.	IQS Status Date	IQS Status
	2019	Random	OPQA		Non-Final Rejection	10/24/2018	Y	11/05/2018	Awaiting TC rebuttal

Review | Content – Form Version | **Non-Compliant**

- ✓ MRF Overview
- ✓ Search
- ✓ 112(a) Enablement Rej. Made
- ✓ Double Patenting (Nonstat.) Rej. Made
- ✓ 112(f) Analysis
- ✓ Other Quality-Related Items

Rejections made in Office action. Check all that apply.

- None
- 35 U.S.C. 102
- 35 U.S.C. 103
- 35 U.S.C. 112(a) – Written Description
- 35 U.S.C. 112(a) – Enablement
- 35 U.S.C. 112(b) – Vague and Indefinite Claim Language
- 35 U.S.C. 112(a)/(b) – 112(f) Related
- 35 U.S.C. 101 (Eligibility)
- 35 U.S.C. 101 (Utility)
- Double Patenting (Statutory)
- Double Patenting (Nonstatutory)

Review | History / Messages

Date ↑	Status Change	Event	Message	Due Date	User
11/03/2018	Initial review complete but not locked – Non-Compliant	Initial review marked as complete – Non-Compliant			
11/03/2018		Forwarded to Quality Lead		11/07/2018	
11/05/2018		Review modified		11/07/2018	
11/05/2018	Awaiting TC rebuttal	Quality Lead agreed with reviewer			
11/05/2018		Forwarded to TC		12/03/2018	

Click on a row to the left with a icon to view a message here. Double click on the row for an expanded view of the message.

Image 4

Integrated Quality System

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Quality Dashboard | Production | **MQAS View**

Show reviews completed in fiscal year: 2019 (include)

[Edit Tabs](#)

To Do - From RQAS (16) | To Do - From TC (0) | Returned to RQAS (0) | Sent to TC (0) | Completed - Pass Through (1612) | Completed - Attention Needed (300) | **Completed - Non-Compliant (468)** | Suspended (18)

IQS Review ID ↑	Application No.	Count FY	Review Type	Revi...	GAU	Exa...	Office Action Type	Action Mail Date	Accolade	Validation Process	Acknowledged by User / Date ↑	Due Date	IQS Status Date ↓	IQS Status
		2019	Random				Non-Final Rejection	10/10/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Final Rejection	10/12/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Final Rejection	10/10/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Non-Final Rejection	10/29/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Non-Final Rejection	10/29/2018	N	Y		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Non-Final Rejection	10/30/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Non-Final Rejection	10/30/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Final Rejection	10/30/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Allowability Notice	10/31/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Non-Final Rejection	11/01/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Allowability Notice	11/02/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Final Rejection	11/05/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Non-Final Rejection	11/05/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Non-Final Rejection	11/08/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Allowability Notice	11/13/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Non-Final Rejection	11/20/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Non-Final Rejection	11/20/2018	N	N		11/29/2018	11/29/2018	Review finally complete ...
		2019	Random				Final Rejection	10/10/2018	N	N		11/28/2018	11/28/2018	Review finally complete ...

Open | View History | Export to Excel | Acknowledge | Redocket | Delete | Refresh

Image 5

Integrated Quality System

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MQAS View

Fiscal Year(s) Mailed:

- FY 2016
- FY 2017
- FY 2018
- FY 2019
 - Quarter 1

Organization(s):

- Corps
 - 1100
 - 1600
 - 1700
 - 2100
 - 2300
 - 2400
 - 2600

Cumulative Line Graph of SPE Review Production

Individual	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Walter White	1	2	3	4.5
Jessie Pinkman	2.5	4.5	5	5.5
Walt Jr. White	0.5	1	1.5	1.5
Gus Fring	1	2	3	4
Hank Schrader	1	2	2.5	2.5
Mike Ehrmantraut	1	1	2	2.2
Skyler White	1	2	5	5
Chris Bell	1	3	4	5

SPE Rebuttal Timeliness

SPE Name	≤ 10 days	≤ 20 days	≤ 30 days
WHITE, WALTER	10	20	20
PINKMAN, JESSIE	10	20	20
WHITE, WALTER JR.	10	20	20
FRING, GUS	10	20	20
SCHRADER, HANK	10	20	20
EHRMANTRAUT, MIKE	10	20	20
WHITE, SKYLER	10	20	20

Quality Metrics & Combined Case Outcome

Corps

Quality Metric Category	Compliant	% Compliant	Non-Compliant	% Non-Compliant	Total Reviews

Quality Metrics – Overall Compliance Rate

Quarter	Yellow Bar (%)	Blue Bar (%)
Quarter 1	97.2%	98.4%
Quarter 2	93.5%	96.1%
Quarter 3	88.6%	96.1%
Quarter 4	91.7%	94.5%

Image 6

Integrated Quality System

HOME Report Problems

Docket Reviews Reports Help Viewing as

Docket x

Show reviews completed in fiscal year: 2019 (including in progress) [Edit Tabs](#)

< IPQA in Progress - TC Response Required (25) OPQA in Progress - TC Rebutted (5) TC in Progress (518) Completed by Me (22) All Complete in TC - Non-OPQA Reviews (480) All Complete in TC - Pass Through (167) All Complet >

IQS Review ID ↑	Application No.	Count FY	Review Type	Reviewing Org.	Rev...	GAU	Exa...	Office Action Type	Action Post Date	Action Count Date	Action Mail Date	Accolade	Acknowledged by User / Date ↑	IQS Current Status	IQS Status Date ↓	IQS Stat...
		2019	Primary Revi...		WA...			Non-Final Rejection	10/26/2018	10/26/2018	10/31/2018			lorem ipsum	12/03/2018	Revi...
		2018	Primary Revi...		LE, ...			Non-Final Rejection	03/19/2018	03/19/2018	03/28/2018			lorem ipsum	12/02/2018	Revi...
		2018	Other		MO...			Non-Final Rejection	06/25/2018	06/25/2018	07/02/2018			lorem ipsum	11/30/2018	Revi...
		2018	Other		MO...			Non-Final Rejection	06/25/2018	06/25/2018	07/02/2018			lorem ipsum	11/30/2018	Revi...
		2018	Other		MO...			Non-Final Rejection	09/17/2018	09/17/2018	09/27/2018			lorem ipsum	11/30/2018	Revi...
		2018	Primary Revi...		MO...			Non-Final Rejection	10/01/2018	10/01/2018	10/04/2018			lorem ipsum	11/30/2018	Revi...
		2018	Primary Revi...		MO...			Non-Final Rejection	09/27/2018	09/27/2018	10/03/2018			lorem ipsum	11/30/2018	Revi...
		2018	Other		MO...			Non-Final Rejection	09/30/2018	09/30/2018	10/05/2018			lorem ipsum	11/30/2018	Revi...
		2019	Primary Revi...		PAR...			Non-Final Rejection	11/05/2018	11/05/2018	11/09/2018	Y		lorem ipsum	11/30/2018	Revi...
		2019	Primary Revi...		WA...			Non-Final Rejection	11/12/2018	11/12/2018	11/16/2018			lorem ipsum	11/29/2018	Revi...
		2019	Primary Revi...		WA...			Non-Final Rejection	11/26/2018	11/26/2018	11/29/2018			lorem ipsum	11/29/2018	Revi...
		2018	Primary Revi...		LE...			Non-Final Rejection	04/05/2018	04/05/2018	04/16/2018	N		lorem ipsum	11/27/2018	Revi...
		2019	Primary Revi...		WA...			Non-Final Rejection	10/26/2018	10/26/2018	10/31/2018			lorem ipsum	11/27/2018	Revi...
		2019	Primary Revi...		WA...			Non-Final Rejection	10/15/2018	10/15/2018	10/18/2018			lorem ipsum	11/27/2018	Revi...
		2019	Primary Revi...		PO...			Allowability Notice	10/26/2018	10/26/2018	10/31/2018	N		lorem ipsum	11/27/2018	Revi...
		2019	Primary Revi...		PO...			Final Rejection	10/18/2018	10/18/2018	10/23/2018	N		lorem ipsum	11/27/2018	Revi...
		2019	Primary Revi...		PO...			Final Rejection	10/30/2018	10/30/2018	11/08/2018	N		lorem ipsum	11/27/2018	Revi...
		2019	Primary Revi...		PO...			Allowability Notice	11/12/2018	11/12/2018	11/16/2018	Y		lorem ipsum	11/27/2018	Revi...

Open View History Export to Excel Redocket Delete Reopen

Image 7

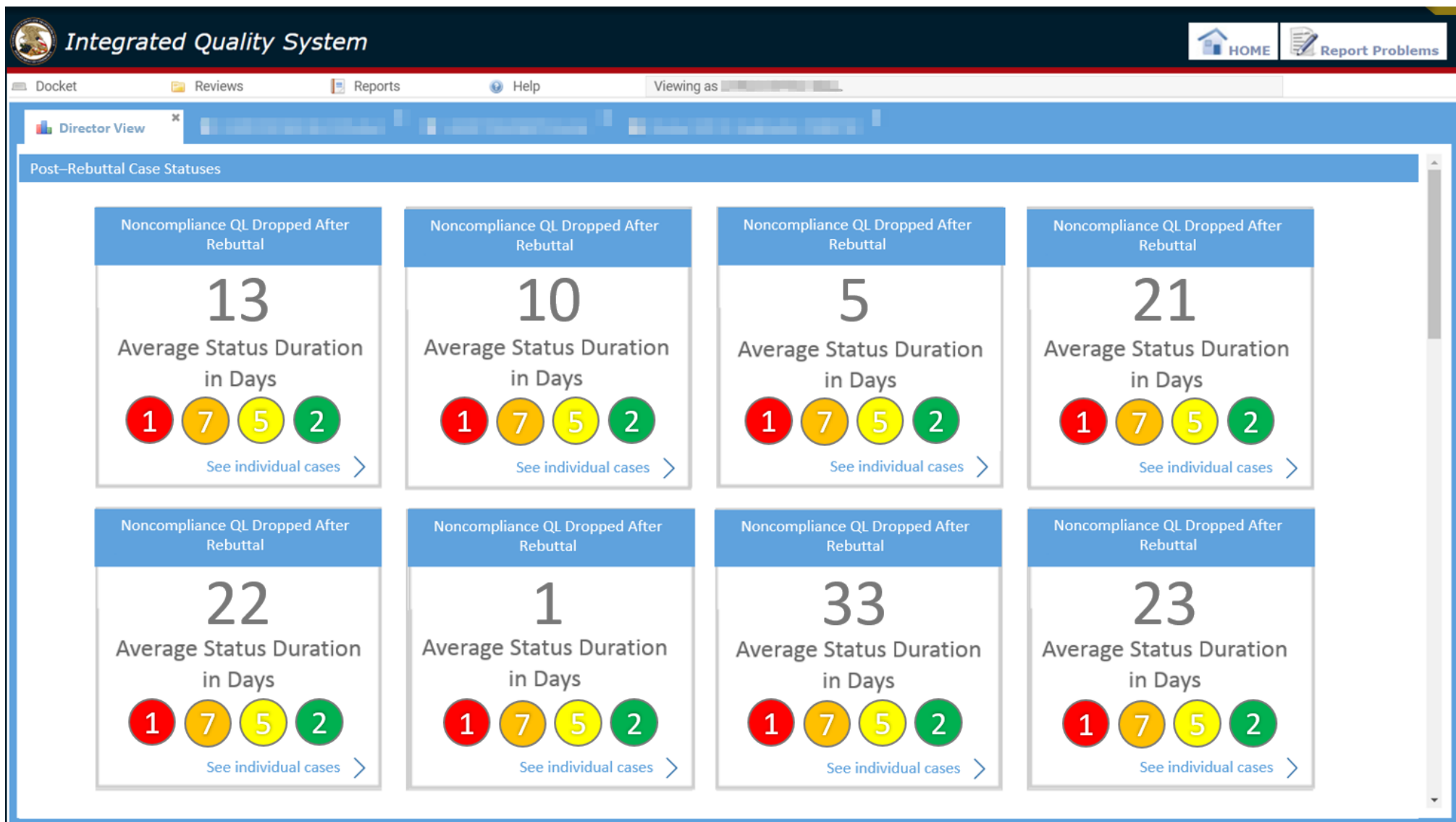


Image 8

Integrated Quality System

HOME Report Problems

Docket Reviews Reports Help Viewing as

Show reviews completed in fiscal year: 2019 (including in progress)

My Reviews in Progress (5) OPQA in Progress - TC Response Required (25) OPQA in Progress - TC Rebutted (5) TC in Progress (518) Completed by Me (22) All Complete in TC - Non-OPQA Reviews (480) All Complete in TC - P

IQS Review ID ↑	Application No.	Count FY	Review Type	GAU	Examiner	Office Action Type	Action Post Date	Action Count Date	Action Mail Date	Due Date ↑	IQS Status Date	IQS Status
		2019	Random			Non-Final Rejection	10/28/2018	10/28/2018	11/01/2018	12/06/2018	11/08/2018	Awaiting TC rebuttal
		2019	Random			Non-Final Rejection	10/23/2018	10/23/2018	10/26/2018	12/11/2018	11/13/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/29/2018	10/29/2018	11/02/2018	12/11/2018	11/13/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/15/2018	10/24/2018	10/29/2018	12/12/2018	11/14/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/17/2018	10/23/2018	10/26/2018	12/12/2018	11/14/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/29/2018	10/29/2018	11/02/2018	12/13/2018	11/15/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/30/2018	10/30/2018	11/05/2018	12/13/2018	11/15/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	10/31/2018	10/31/2018	11/05/2018	12/13/2018	11/15/2018	Awaiting TC rebuttal
		2019	Random			Allowability Notice	10/10/2018	10/10/2018	11/07/2018	12/13/2018	11/15/2018	Awaiting TC rebuttal
		2019	Random			Final Rejection	11/02/2018	11/02/2018	11/07/2018	12/17/2018	11/19/2018	Awaiting TC rebuttal
		2019	Random			Non-Final Rejection	11/06/2018	11/06/2018	11/08/2018	12/17/2018	11/19/2018	Awaiting TC rebuttal
		2019	Random			Non-Final Rejection	11/08/2018	11/08/2018	11/09/2018	12/17/2018	11/19/2018	Awaiting TC rebuttal
		2019	Random			Non-Final Rejection	11/08/2018	11/08/2018	11/14/2018	12/17/2018	11/19/2018	Awaiting TC rebuttal
		2019	Random				10/26/2018	10/29/2018	12/19/2018	11/21/2018	Awaiting TC rebuttal	
		2019	Random				10/07/2018	11/08/2018	12/19/2018	11/21/2018	Awaiting TC rebuttal	
		2019	Random				10/09/2018	10/12/2018	12/24/2018	11/26/2018	Awaiting TC rebuttal	
		2019	Random				10/23/2018	10/26/2018	12/24/2018	11/26/2018	Awaiting TC rebuttal	
		2019	Random				10/02/2018	10/02/2018	10/04/2018	11/06/2018	Awaiting TC rebuttal	

Click on View History Button to see timeline popup

Open View History Export to Excel Redocket Delete Refresh

Image 9

Integrated Quality System

HOME Report Problems

Docket Reviews Reports Help Viewing as

Show reviews completed in fiscal year

My Reviews in Progress (5)

IQS Review ID ↑ Application No.

Review History

Events for review application

- Docketed to reviewer 11/06/2018
- Initial Review Complete but Not Locked 11/07/2018
- Awaiting TC Rebuttal 11/08/2018
- Review in Progress 11/06/2018
- Forwarded to Quality Lead 11/07/2018
- Forwarded to Technology Center 11/08/2018


Date ↑	Status Change	Event	Message	Due Date	User
11/06/2018	Docketed to reviewer -- ready for review	Docketed to reviewer		11/13/2018	
11/06/2018	Review in progress	Review created		11/13/2018	
11/07/2018	Initial review complete but not locked -- Non-Compliant	Initial review marked as complete -- Non-Compliant			
11/07/2018		Forwarded to Quality Lead		11/13/2018	
11/08/2018	Awaiting TC rebuttal	Quality Lead agreed with reviewer			
11/08/2018		Forwarded to TC		12/06/2018	

Refresh Close

Open View History Export to Excel Rebooklet Delete Refresh

IQS Version: 3.17

Image 10



Integrated Quality System

HOME
Report Problems

Docket
Reviews
Reports
Help
Viewing as

Docket x

Show reviews completed in fiscal year: 2019 (including in progress) ▼

My Reviews in Progress (5)
OPQA in Progress - TC Response Required (25)
OPQA in Progress - TC Rebutted (5)
TC in Progress (518)
Completed by Me (22)
All Complete in TC - Non-OPQA Reviews (480)
All Complete in TC - P...

IQS Review ID ↑	Application No.	Count FY	Review Type	Rev...	GAU	Exa...	Office Action Type	Action Post Date	Action Count Date	Action Mail Date	Cla... / Sub...	Due Date ↑	IQS Status Date	Prelim. QT Finding	IQS Status	Case Reviewal Type
		2016	Partial Signa...				Non-Final Rejection	10/12/2015	10/20/2015				01/12/2016		Review in pro...	MRF
		2016	Junior Review				Non-Final Rejection	01/15/2016	01/25/2016				02/19/2016		Docketed to r...	QT
		2016	Junior Review				Non-Final Rejection	10/20/2015	10/29/2015				06/22/2016		Review in pro...	MRF
		2016	Random				Allowability Notice	06/12/2016	06/24/2016				06/28/2016		Docketed to ...	Both
		2016	Random				Non-Final Rejection	06/22/2016	06/24/2016				06/28/2016		Docketed to ...	MRF
		2016	Random				Allowability Notice	06/12/2016	06/24/2016				06/28/2016		Docketed to ...	QT
		2016	Random				Non-Final Rejection	06/16/2016	06/28/2016				06/28/2016		Docketed to ...	MRF
		2016	Random				Non-Final Rejection	06/19/2016	06/28/2016				06/28/2016		Docketed to ...	QT
		2016	Random				Non-Final Rejection	06/18/2016	06/24/2016				06/28/2016		Docketed to ...	MRF
		2016	Random				Non-Final Rejection	06/20/2016	06/24/2016				06/28/2016		Docketed to ...	Both
		2016	Random				Allowability Notice	06/13/2016	06/27/2016				06/28/2016		Docketed to ...	MRF
		2016	Random				Non-Final Rejection	06/15/2016	06/24/2016				06/28/2016		Docketed to ...	QT
		2016	Random				Allowability Notice	06/10/2016	06/27/2016				06/28/2016		Docketed to r...	MRF
		2016	Random				Non-Final Rejection	06/09/2016	06/27/2016				06/28/2016		Docketed to r...	QT
		2016	Random				Non-Final Rejection	06/22/2016	06/28/2016				06/28/2016		Docketed to r...	MRF
		2016	Random				Final Rejection	06/23/2016	06/27/2016				06/28/2016		Docketed to r...	QT
		2016	Random				Non-Final Rejection	06/22/2016	06/28/2016				06/28/2016		Docketed to r...	QT

Open
View History
Export to Excel
Redocket
Delete
Refresh

Image 11

