



# Business Architecture at the United States Patent & Trademark Office

**Panel Discussion**  
**March 20, 2013**



# USPTO Panelists

- Paula Mihalek – Enterprise Architect, OCIO
- Dan Vavonese – Managing Attorney, Trademark Office
- Dan Hunter – Supervisory Patent Examiner (SPE), Patent Office
- John Barlow – Supervisory Patent Examiner (SPE), Patent Office



# United States Patent and Trademark Office (USPTO): Background

- USPTO: Federal agency for granting U.S. patents and registering trademarks
- USPTO fulfills mandate of Article I, Section 8, Clause 8, of the Constitution that the legislative branch
  - "promote the progress of science and the useful arts by securing for limited times to inventors the exclusive right to their respective discoveries."
  - Established April 10, 1790, Thomas Jefferson was first patent examiner
- USPTO registers trademarks based on the Commerce Clause of the Constitution (Article I, Section 8, Clause 3)
- Mission: To foster innovation and competitiveness
- Vision: Leading the World in Intellectual Property Protection and Policy
- USPTO has granted over 8 million patents and 4.3 million trademarks, manages numerous international relationships and manages petitions, appeals, trials and various other exception scenarios



# Business Architecture Use at USPTO

- Patent and Trademark are separate businesses at USPTO with:
  - Patent Office and Patent Trial and Appeals Board
  - Trademark Office and Trademark Trial and Appeals Board
- Trademark organization established its business architecture in 2010
- Patent organization established its business architecture in 2011
- Both organizations are using their respective business architectures for:
  - Business impact analysis, planning and prioritization
  - To support major IT initiatives such as the Patents End-to-End project and Trademark Next Generation project
- Following examples include:
  - Patent business capability map
  - Sample patent business value streams
  - Value stream / capability cross-mappings for patent business and one for trademark business

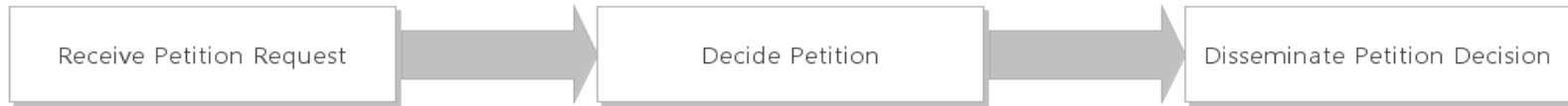
# Patent Business – Sample Value Streams



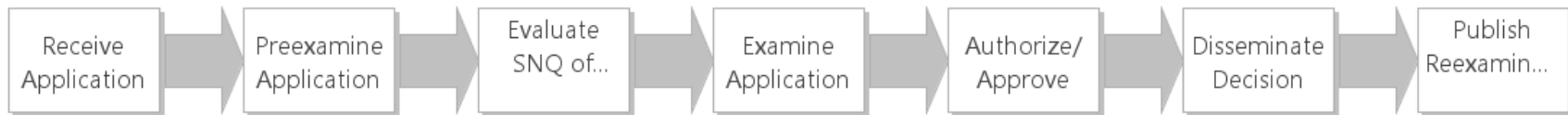
## ◆ Grant Patent



## ◆ Decide Petition



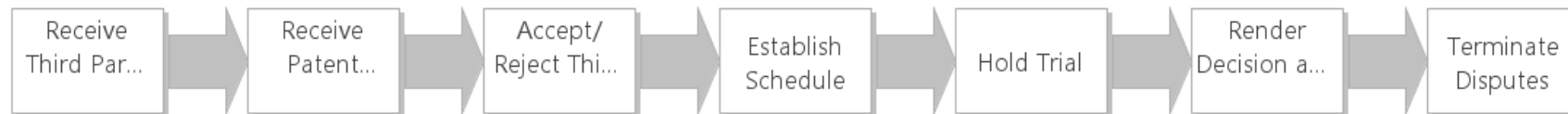
## ◆ Ex-Parte Reexamination



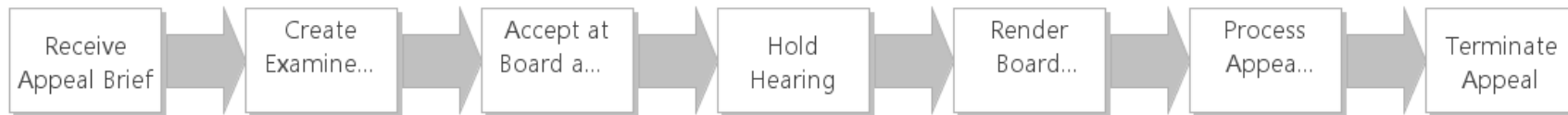
## ◆ Reissue Patent



## ◆ Determine Post Grant Inter Partes Disputes

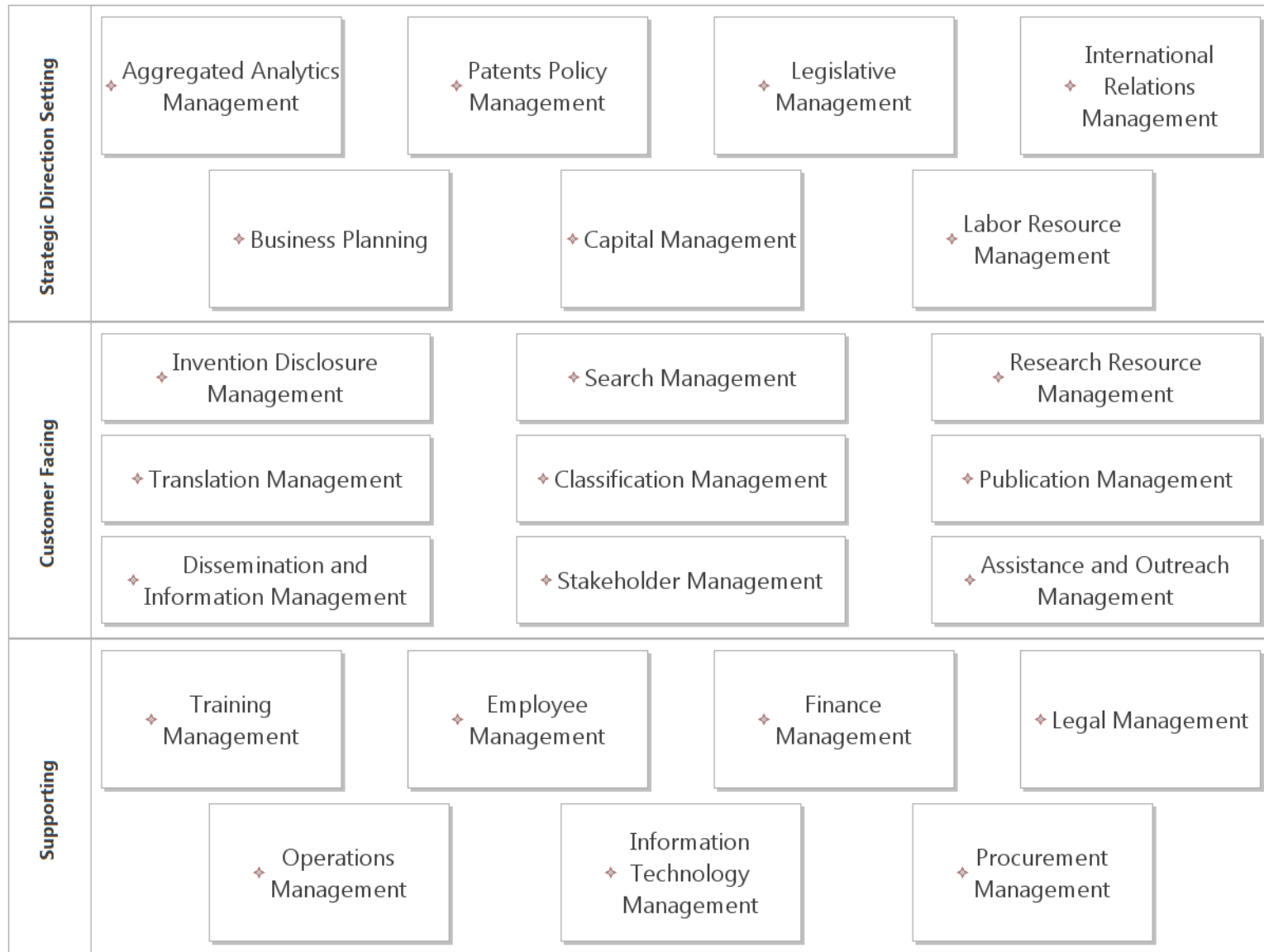


## ◆ Decide Appeal



- Value streams represent end-to-end perspective on stakeholder value delivery
- Patent business has 21 value streams, 4 of which are for Patent Trial & Appeals Board
- Above sample streams cover granting, reissuing and reexamining an invention disclosure, deciding a petition or determining a trial request

# Patent Business – Capability Map - Level 1



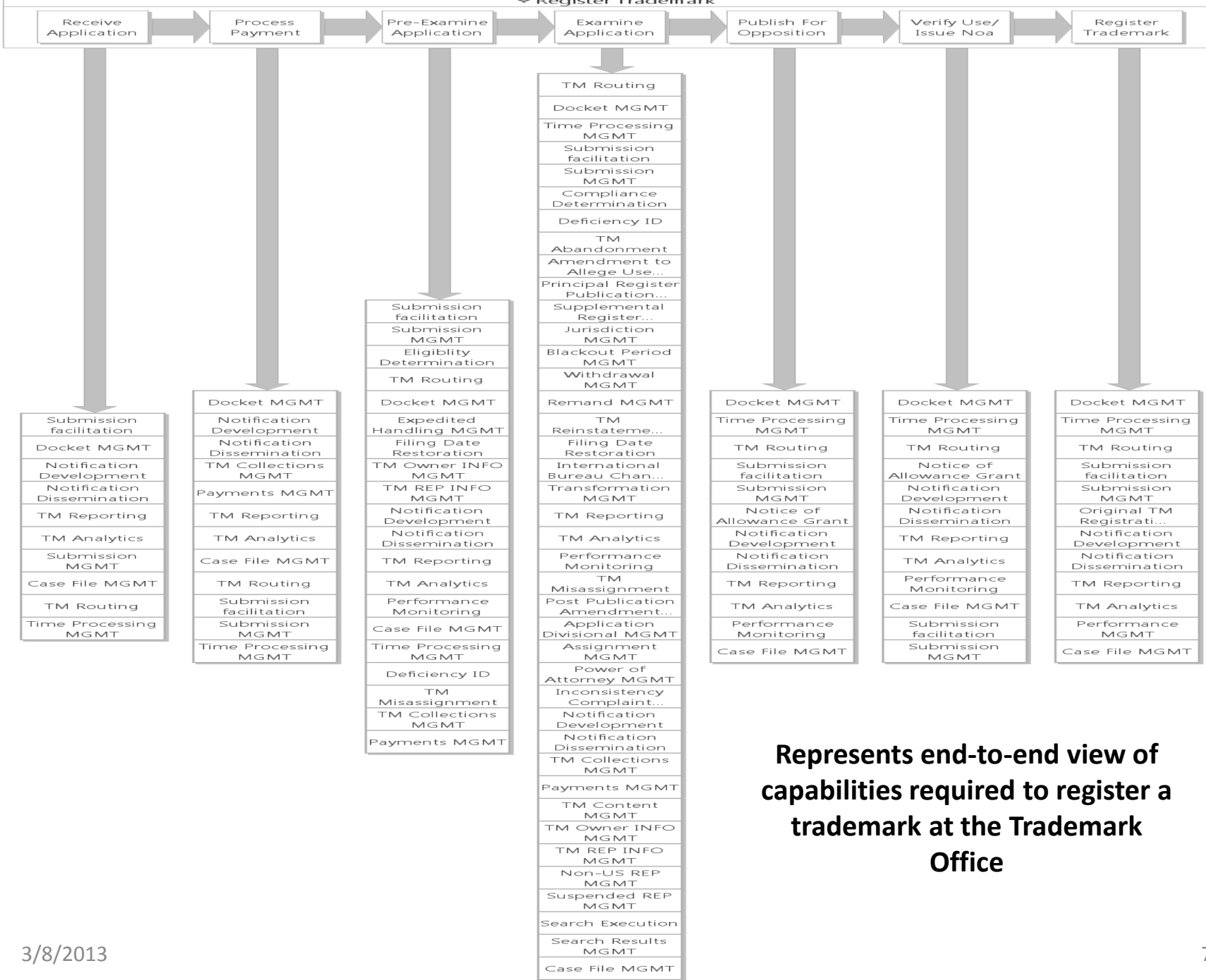
Generated for USPTO - Patents

- Level 1 capability map encompasses entire patent business, comprising over 500 capabilities
- Each capability has a definition and is heat mapped

# Register Trademark Value Stream / Capability Cross-mapping

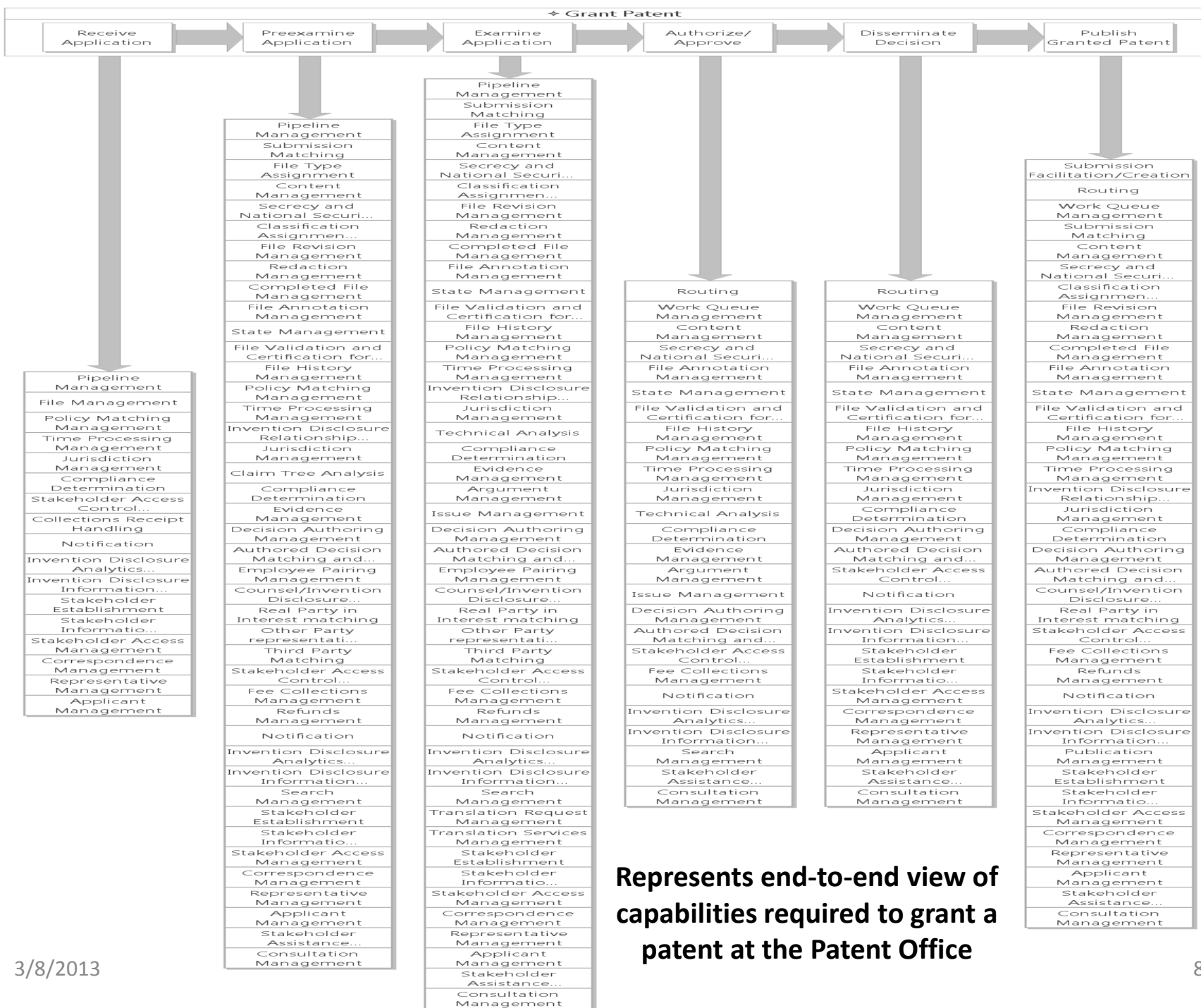


## Register Trademark



**Represents end-to-end view of capabilities required to register a trademark at the Trademark Office**

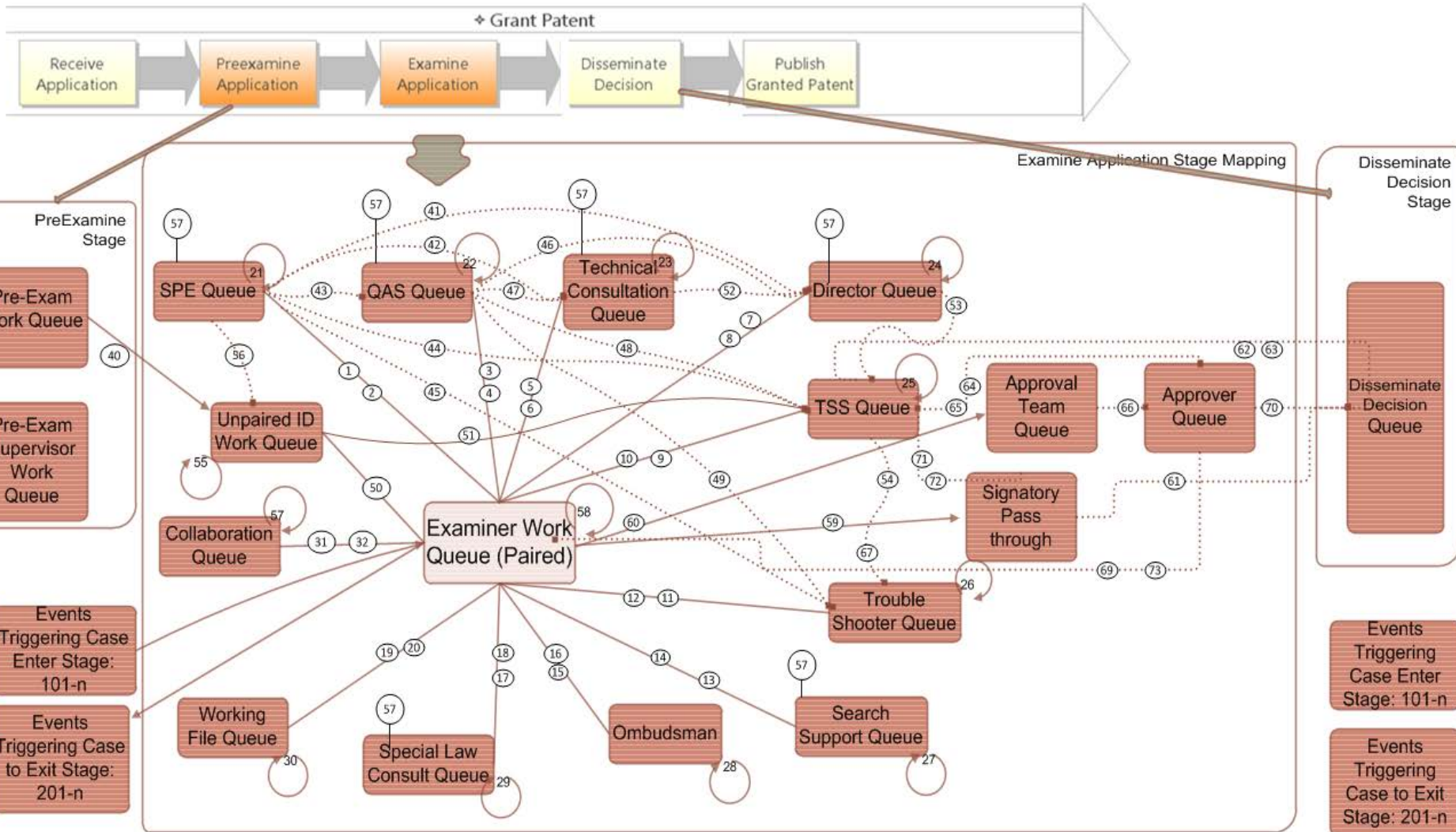
# Grant Patent Value Stream / Capability Cross-mapping



Represents end-to-end view of capabilities required to grant a patent at the Patent Office



# Grant Patent Value Stream, Examine Application Stage – Dynamic Rules Based Routing Map





# USPTO Panel Discussion & Questions