



UNITED STATES DEPARTMENT OF COMMERCE
Office of Inspector General
Washington, D.C. 20230

October 9, 2012

MEMORANDUM FOR: David Kappos
Under Secretary of Commerce for Intellectual Property and
Director of the United States Patent and Trademark Office

FROM: Ron Prevost 
Assistant Inspector General for Economic and Statistical
Program Assessment

SUBJECT: Audit of USPTO's AIA Implementation and Lessons Learned

As part of our fiscal year 2013 audit and evaluation plan, we will conduct an audit of USPTO's efforts to implement new patent provisions as mandated by the Leahy-Smith America Invents Act (AIA, P.L. 112-29). Our objectives are as follows:

- Evaluate the effectiveness of USPTO's plans and efforts to train employees and provide the necessary IT infrastructure to roll out AIA provisions by statutory deadlines.
- Review whether and to what extent USPTO is collecting the necessary information to provide Congress with an assessment of AIA implementation by September 2015, as mandated by the Act.
- Review whether and how USPTO will incorporate lessons learned from the implementation of initial AIA provisions during the roll out of later provisions and evaluate the progress it has made in meeting congressionally mandated requirements.
- Review the extent to which USPTO is carrying out the expansion of satellite offices in a cost-effective manner and in accordance with relevant regulations.

We will contact the audit liaison to arrange an entrance conference. In the meantime, if you have any questions about this review, please call me at (202) 482-3052 or Eleazar Velazquez, Supervisory Program Analyst, at (202) 482-0744. Thank you in advance for your cooperation.

cc: Margaret A. Focarino, Commissioner for Patents
Anthony P. Scardino, Chief Financial Officer
Welton Lloyd, Audit Liaison