DOCX Filing/Retrieval and Patent Center Update

eCommerce Division
Office of Patent Information Management
United States Patent and Trademark Office
Agenda

• eMod Project and Schedule
• DOCX Filing/Retrieval
• Patent Center
• New Authentication for EFS-Web and PAIR
• Future Plans/Ongoing Efforts
• Public Involvement
eMod Project

The **eCommerce Modernization (eMod) Project** improves the electronic patent application process by modernizing USPTO’s application filing and viewing systems.

### 2016–2017

**eMod Text Pilot Program**
- System: Legacy (EFS-Web & PAIR)
- Participants: Pilot via Registration

### September 2017

**Offer Text Features to the Public**
- System: Legacy
- Participants: All EFS-Web Registered Filers
- USPTO accepts DOCX (for initial submissions)
- USPTO provides DOCX (including Office actions)
- USPTO provides XML

### March 2018

**eMod Patent Center Alpha Release**
- System: Next Gen
- Participants: External (active in the eMod Text Pilot)
- Limited live filings: Four types of new applications (utility non-provisional, provisional, national stage – 371, design), and their corresponding follow-on submissions
- Limited functionality for viewing/managing applications
- Legacy tools still needed for other functionalities

### Summer/Fall 2018

**eMod Patent Center Beta Release**
- System: Next Gen
- Participants: External (via open registration)
- Focus on patent applicants
- Features:
  - Unified user interface
  - Key functionalities from EFS-Web and PAIR
  - Updates based on eMod Text Pilot Program

### Late 2018

- New Authentication Method for EFS-Web Registered and Private PAIR
DOCX Filing/Retrieval

- **Most recent enhancements to EFS-Web and PAIR**
  - Ability to accept and process DOCX/XML
    - Ability to accept structured text
    - Ability to deliver structured text for initial submissions
    - Ability to deliver structured text Office actions
    - Ability to download XML for initial submissions
  - Limited to specifications, claims, abstract for non-provisional utility applications
- **Based on feedback from the eMod Text Pilot Program**
  - August 15, 2016 – September 10, 2017
- **Additional features and enhancements are being developed for structured text filing within Patent Center**
DEMO

DOCX Features in EFS-Web
Registered and Private PAIR
DOCX Common Topics

• Multi-Section Documents and Page Numbering
• Document Property (Author, Last Modified By, etc.)
• Revision History (Track Changes, Comments, etc.)
• Feedback Document
• DOCX Writers
DOCX Information/Resources

- **Quick Start Guides**
  - DOCX Intake located under EFS-Web Resources
    - [http://www.uspto.gov/SubmitDOCX](http://www.uspto.gov/SubmitDOCX)
  - Access and Download DOCX located under PAIR Resources
    - [http://www.uspto.gov/RetrieveDOCX](http://www.uspto.gov/RetrieveDOCX)

- **Patent Electronic Business Center (EBC)**
  - Phone: 1-866-217-9197
  - Email: ebc@uspto.gov

- **eMod Mailbox:** eMod@uspto.gov
Patent Center Overview

New and unified system to replace EFS-Web and PAIR

Single Interface
- Features single interface for filing and managing patent applications

Recent Technology
- Integrates recent technology
- Allows for enhanced system operations
- Enables increased functionality

Authentication
- Implements new permanent authentication method
- Independent of Java Applet
Patent Center New Functionality

- Upload multiple documents at a time
- Drag and drop for document upload
- Intuitive document codes/descriptions
- DOCX/XML features
- New look and feel (user interface)
- Save submissions at any time
New authentication solution
One user – one account*
Role-based access*
Customizable views*

*Under development; will be available in a future phase
Patent Center Preview
Authentication

Registered User Authentication

Two-step authentication

Step 1 of 2

Two-step authentication provides an extra layer of security to your account by requiring you to enter a verification code.

Note: Two-step authentication may be required in order to access certain areas within the site.

Receive code via:

- Email

Sign in

By signing in, I certify to the USPTO's Terms of Use and USPTO Privacy Policy.

Forgot password?

Create an account

Guest User Warning/Notification

Warning

As a guest user, you can file a new application and view public applications. Please sign-in or register for Patent Center, in order to have full access to all features, such as the ability to save your submission to resume at a later time and to submit additional documents/fees to an existing application.

Continue
Application Data Selection

Utility Nonprovisional
Nonprovisional Application under 35 USC 111(a)

Application Data

Application Data Sheet (ADS) filing options
Select a method for filing an ADS. Changing the filing method will overwrite any unsaved application data.

- **Web ADS**
  - Use the ADS online form:
    - Generate a streamlined Application Data Sheet
    - Error checking and data validations
    - Provided data is automatically loaded to USPTO database
  - Select

- **Upload ADS (PDF)**
  - Upload a USPTO fillable AIA/14 form
  - No online error checking or data validation
  - Provided data is automatically loaded to USPTO database
  - Upload ADS

- **No ADS, or Attach ADS (PDF)**
  - Complete ADS later:
    - Provide required application data
    - Upload AIA/14, 58/14, or custom ADS form (PDF)
    - User may file ADS at a later time (may result in additional fees)
  - Select
Web ADS

Utility Nonprovisional
Nonprovisional Application under 35 USC 111(a)

Web ADS
Change filing method

Inventors
All inventors must be listed

# of inventors 0
maximum of 50

Add new inventor

Click the Add new inventor button to start adding inventors

Next section
Application details

Cancel submission  Save  Continue
Select Files

- Documents can be attached in various formats, depending on the document type (specification, claims, and abstract can be attached in either PDF OR DOCX)
- Two ways to select files:
  - Drag and drop into browser
  - Browse and select the file(s)
- Documents will be automatically validated when uploaded
- If the file has multiple documents, the system will provide the user the option to provide the document description and the corresponding pages
  - After clicking done, the user may continue to upload more files
- Enter the document description for the file or its parts if not found by the headings
- Additional documents can be added by clicking the “Select file(s)” button
- To remove attached files, click on the three-dot button and select “Delete” beside the file (same row)
Upload Files

Utility Nonprovisional
Nonprovisional Application under 35 USC 111(a)

Upload documents
Add files that you wish to accompany your patent application submission. To add more files, use the file upload interaction or drag & drop them into the area below.

Upload documents  Select files...

Total documents uploaded: 4
The PDF(s) have been generated from the docx file(s). Please review the PDF(s) for accuracy. By clicking the submit button, you agree to accept any changes made by the conversion and that it will become the final submission.

- ABSTONLY.docx (17 KB / 1 page) Abstract
- CLAIMONLY.docx (18 KB / 1 page) Feedback document Claims
- Oath.pdf (947 KB / 1 page) Oath or Declaration filed
- SPECONLY.docx (19 KB / 5 pages) Specification

Back  Cancel submission  Save  Continue
## Select Fees

### Utility Nonprovisional
Nonprovisional Application under 35 USC 133(a)

#### Calculate fees
Payment of fees during this stage of the application process is optional, but failure to pay fees in a timely manner may cause delays in the processing of your application.

#### Select fees to pay

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Review and Submit

Review & submit

Review all the information entered for your patent application. If there are any errors in the data displayed, go back and edit the information before submitting to the USPTO.

Application data

| Attorney docket # |  
| --- | --- |
| Entity status |  
| Application type | Subtype |
| Utility | Nonprovisional Application under 35 USC 119(a) |
| Title of invention |  
| Text |  
| First named inventor |  
| First name | Middle name | Last name |
| John | Doe |  
| Correspondence address |  

Total documents uploaded: 1

- [1012345678.pdf (127 KB / 3 pages)](#)
- [312345678-ABST.pdf (48 KB / 1 page)] Abstract
- [312345678-SEQ TXT.pdf (80 KB / 2 pages)] Sequence Listing

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Submit button
Submission Receipt

Applicant Information

Title of Invention
Test

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Application under 35 USC 111(a)

Conversion #: 5066
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Received: 10/26/2017 6:34:48 PM ET

Electronic Acknowledgement Receipt

Additional charges may be incurred if required fees are not timely paid.

Pay fees now
Skip fee for now

File an assignment of ownership
File another patent application
Back to home page
Pay Fees via Financial Manager

Financial Manager users may pay with any stored payment method of credit/debit card, deposit account, or electronic funds transfer (EFT). Guest users may only pay with a credit/debit card. For more information about payment options, including how to establish a stored payment method, please see the 'Help' section.
### Payment Receipt

**Application:**
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- Confirmation #: 7545
- Patent #: [Redacted]
- Received: 11/1/2017 10:00:40 AM ET

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**Title of Invention:**
- [Redacted]

**Application Information:**
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- Application under 35 USC 111(a)
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- Filed Date: [Redacted]
- First Named Inventor: [Redacted]

**Customer:**
- [Redacted]
- Correspondence Address: [Redacted]

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**TOTAL AMOUNT: $750.00**
Search for Application

Customers using the Patent Center system can search for patent applications on both the home page and the Search page, by:

- Application #
- Attorney docket #
- Patent #
- PCT #
- Publication #
- Intl. Design Reg. #
## Viewing Application Data

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- **Application type**: Utility
- **Examiner**: 
- **Group art unit**: 2627
- **Class/subclass**: 356/5
- **AJA (first inventor to file)**: 
- **Entity status**: Undiscounted

### Correspondence address

59 - CN 59 what day is it - Sept 22
"I'll take 15 million
600 DULANY STREET
5TH FLOOR
ALEXANDRIA, VA 22310
UNITED STATES

### Inventors

- sdf asdf
- sdf, VA (US)

### Applicants

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Workbench: Applications Tab

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Filters and Customization

Workbench: Applications Tab

Columns are customizable to add or remove, and each column is sortable by selecting the desired header.
XML Bib Data Download

Patent Center

Refine by
- Docket number
- Status category
- Status date

213 applications

Download XML
Manage

Manage sponsorships, customer numbers, requests and application addresses

Sponsorships
Add, edit and view sponsored users.

Manage customer numbers (Coming soon)
Add, edit and view customer number details.

View saved and completed requests (Coming soon)
View saved and submitted requests for Entity Status change, Update Application address and customer number update.

Update application address (Coming soon)
Update correspondence and maintenance fee address.
Sponsorship and Revocation

Practitioners are able to sponsor support staff to work on their behalf with individual login for authentication. To set up sponsorships, please follow the following steps:

1. Sign in as a practitioner
2. Select “Manage” along the top blue bar
3. Select “Sponsorships”
4. Select “Sponsor additional users”
5. Type in MyUSPTO email addresses into the box (with a space between each)
6. Select “Validate emails”
7. Review and select “Add sponsorships”

Please note that a MyUSPTO email login set up for two-factor authentication is required for each practitioner and support staff.

To revoke support staff sponsorship, please follow steps 1 – 3 above, and click on the “x” on the line item with the support staff name that you would like to revoke sponsorship for.
## Sponsorships

**Sponsoring: 2 paralegal(s)**

<table>
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</table>
Patent Center Beta Release

• Scheduled for Summer/Fall 2018
• Incorporates updates from Alpha Release and includes additional features
• Larger number of users

If you are interested in receiving more information, please email eMod@uspto.gov with the subject line “Participation Request: eMod Patent Center Beta Release” and we will contact you when the guidelines are available, and registration into the Beta Release is open.
# Upcoming Authentication Enhancements

**New authentication method for EFS-Web Registered and Private PAIR**

<table>
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<th>Who</th>
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<td>What</td>
<td>New authentication method will be similar to Patent Center and Financial Manager Uses MyUSPTO account log-in email and password, and a second factor to authenticate</td>
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<tr>
<td>When</td>
<td>Scheduled for late 2018</td>
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<tr>
<td>Why</td>
<td>To prepare for Patent Center migration To resolve issues related to current authentication methods</td>
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Users can prepare now by creating their MyUSPTO accounts
Future Plans

• **Release Patent Center**
  – Make Patent Center available to the public for filing and managing patent applications
  – Incorporate enhancements based on feedback from testing programs
  – Transfer functionality from EFS-Web and PAIR

• **Retire EFS-Web/PAIR**
  – Share retirement plans for legacy tools after Patent Center is available
  – Provide transition period after Patent Center release

• **Inform users**
  – Outreach events
  – Patents Alerts
  – EFS-Web/PAIR
eMod Ongoing Efforts

1. Work with stakeholders to assure that we understand business needs
2. Conduct outreach to inform stakeholders and gather user feedback
3. Continue to make improvements based on user feedback
eMod Public Involvement

Get Updates:
• Information Sessions
• Website (http://www.uspto.gov/patent/emod)

Provide Feedback:
• Focus Sessions
• User Sessions
• IdeaScale (http://uspto-emod.ideascale.com)
Question/Answer Feedback Session
Thank you!
For additional inquiries, please email us at:
eMod@uspto.gov
DOCX Filing Screens
DOCX Features

DOCX Files Selection

Attach application parts - Specification, Claims and Abstract.

File(s) to be submitted in DOCX format

Attach additional PDF or TXT documents. Include application parts only if you didn't previously.

Files to be Submitted

1. [Browse...] No file selected.
   Does your PDF file contain multiple documents?

Users are advised not to submit credit card payment form PTO-2038 via EFS-Web. Submission of the credit card payment form via utilize the on-line payment method available through EFS-Web.
DOCX Features

DOCX Files Attachment

Attach application parts - Specification, Claims and Abstract.

File(s) to be submitted in DOCX format

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Attach additional PDF or TXT documents. Include application parts only if you didn’t previously.

Files to be Submitted

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Does your PDF file contain multiple documents?

- Yes
- No

Users are advised not to submit credit card payment form PTO-2038 via EFS-Web. Submission of the credit card payment form via EFS-Web only utilizes the on-line payment method available through EFS-Web.
## DOCX Features

### DOCX Validation

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No Error(s) ▲ Warning(s) ▼ Error(s) found

The PDF(s) have been generated from the docx file(s). Please review the PDF(s) for accuracy. By clicking the continue button any changes made by the conversion and that it will become the final submission.
DOCX Features

DOCX Validation: Location of Warnings/Errors

Evidence file(s). To add more files please Attach Files

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Feedback Document for Warnings and Errors

SYSTEM FOR ADJUSTING A

USPTO WARNING: Text decoration here and will be removed.

USPTO WARNING: Text decoration removed.
Acknowledgement Receipt

The USPTO has received your submission at 13:32:55 Eastern Time on 04-APR-2017.

No fees have been paid for this submission. Please remember to pay any required fees on time to prevent abandonment of your application.

EFile Application Information

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Application Details

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