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 specification, 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
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.

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. Add file.

**Selected File(s)**

- Browse... 3005 Specification Only.docx
- Browse... 3003 Claims Only2.docx
- Browse... 3004 Abstract Only2.docx

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

<table>
<thead>
<tr>
<th>Files to be Submitted</th>
<th>Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Browse... No file selected.</td>
<td></td>
</tr>
<tr>
<td>Does your PDF file contain multiple documents?</td>
<td></td>
</tr>
<tr>
<td>Options:</td>
<td>View All Categories</td>
</tr>
<tr>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

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 is not advised. Utilize the on-line payment method available through EFS-Web.

If you need help:
DOCX Features

DOCX Validation

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

Uploaded files have been validated by EFS Web. Please review the file below.

<table>
<thead>
<tr>
<th>Validation Status</th>
<th>File(s) to be Submitted</th>
<th>Document Description</th>
<th>Page Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>WARNING</td>
<td>c48af781-34a4-415b-90eb-edc311f8bb88.docx</td>
<td>Specification</td>
<td>4</td>
</tr>
</tbody>
</table>

Text decorations were found and have been removed.
You can view the location of warnings/errors in your uploaded file here.

| WARNING           | 46625a45-405d-4bde-9a23-a9912f6c7f16.docx | Claims Document | 1 |

Text decorations were found and have been removed.
You can view the location of warnings/errors in your uploaded file here.

| PASSED            | 3004_Abstract Only2.docx | Abstract        | 1 |

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 tool will become the final submission.

<table>
<thead>
<tr>
<th>File(s) to be Submitted(pdf)</th>
<th>Document Description</th>
<th>Pn</th>
</tr>
</thead>
<tbody>
<tr>
<td>d8546d52-5718-4d3-82da-7e3a9ac67c371.pdf</td>
<td>Specification</td>
<td>33</td>
</tr>
<tr>
<td>c6f33a3a-7550-4ffe-a7ba-0390e9e5b15.pdf</td>
<td>Claims Document</td>
<td>3</td>
</tr>
<tr>
<td>8ed2b2d4-8ce1-46e2-8ab3-b2ce7f22ee13.pdf</td>
<td>Abstract</td>
<td>1</td>
</tr>
</tbody>
</table>
# DOCX Features

## DOCX Validation: Location of Warnings/Errors

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

Uploaded files have been validated by EFS Web. Please review the file below.

<table>
<thead>
<tr>
<th>Validation Status</th>
<th>File(s) to be Submitted</th>
<th>Document Description</th>
<th>Page</th>
<th>Cour</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image" alt="WARNING" /></td>
<td>c484f781-34a4-4156-a0eb-edc511f8bb88.docx (Original: 3005_Specification_Only.docx)</td>
<td>Specification</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><img src="image" alt="WARNING" /></td>
<td>46526ad1-f05d-4b8f-a2e-a091f8f6c7f6.docx (Original: 3003_Claims_Only2.docx)</td>
<td>Claims Document</td>
<td>-</td>
<td>1</td>
</tr>
<tr>
<td><img src="image" alt="WARNING" /></td>
<td>3004_Abstract_Only2.docx (Original: 3004_Abstract_Only2.docx)</td>
<td>Abstract</td>
<td>-</td>
<td>1</td>
</tr>
</tbody>
</table>

Text decorations were found and have been removed.
You can view the location of warnings/errors in your uploaded file here.
DOCX Features

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.

<table>
<thead>
<tr>
<th><strong>eFiled Application Information</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>EFS ID</td>
<td>288265111</td>
</tr>
<tr>
<td>Application Number</td>
<td>59957740</td>
</tr>
<tr>
<td>Confirmation Number</td>
<td>1047</td>
</tr>
<tr>
<td>Title of Invention</td>
<td>Title of Invention</td>
</tr>
<tr>
<td>First Named Inventor</td>
<td>John Smith</td>
</tr>
<tr>
<td>Customer Number or Correspondence Address</td>
<td>59</td>
</tr>
<tr>
<td>Attorney Docket Number</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Filing Date</strong></th>
<th><strong>Receipt Date</strong></th>
<th><strong>Application Type</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>04-APR-2017</td>
<td>Utility under 35 USC 111(a)</td>
</tr>
</tbody>
</table>

### Application Details

<table>
<thead>
<tr>
<th><strong>Submitted Files</strong></th>
<th><strong>Page Count</strong></th>
<th><strong>Document Description</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><code>c48f781-34a4-4156-a0eb-edc511f8bb88.docx</code></td>
<td>-</td>
<td>Specification</td>
</tr>
<tr>
<td>Text decorations were found and have been removed.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><code>48546d52-5718-4d34-82da-7a39a9cf7c371.pdf</code></td>
<td>33</td>
<td>Specification</td>
</tr>
<tr>
<td>Text decorations were found and have been removed.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><code>46626a46-f05d-4b8f-9a2e-a0912f6c776.docx</code></td>
<td>3</td>
<td>Claims</td>
</tr>
<tr>
<td>Text decorations were found and have been removed.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><code>c6f33a3a-7650-4ffe-a7ba-0390fe9e7e5f.pdf</code></td>
<td>3</td>
<td>Claims</td>
</tr>
<tr>
<td>Text decorations were found and have been removed.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><code>3004_Abstract_Only2.docx</code></td>
<td>-</td>
<td>Abstract</td>
</tr>
<tr>
<td><code>Bedb2d24-8cc1-46e2-8ab3-b2e7f22ee13.pdf</code></td>
<td>1</td>
<td>Abstract</td>
</tr>
</tbody>
</table>

The acknowledgement receipt may be printed or saved to the applicant's computer. Further, a copy of the acknowledgement receipt is available on the USPTO's website.
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](mailto:ebc@uspto.gov)
- eMod Mailbox: [eMod@uspto.gov](mailto:eMod@uspto.gov)
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
Patent Center New Functionality – Cont.

- New authentication solution
- One user – one account
- Role-based access
- Customizable views
Patent Center Preview
Authentication

Registered User Authentication

Guest User Warning/Notification

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.
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 Application Data Sheet
  - 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, 38/14, or custom ADS form (PDF)
    - User may file ADS at a later time (may result in additional fees)
  - Select
Web ADS
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)
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 interactions or drag & drop them into the area below.

Upload documents  Select files...

Total documents uploaded: 4

The PDF(s) have been generated from the docs 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.

- ABST_ONLY.docx (17 KB / 1 page)
- CLAIMSONLY.docx (18 KB / 1 page)  Feedback document
- Oath.pdf (947 KB / 1 page)
- SPEC ONLY.docx (19 KB / 5 pages)

Abstract
Claims
Oath or Declaration filed
Specification

Back  Cancel submission  Save  Continue
Calculate Fees

Utility Nonprovisional
Nonprovisional Application under 35 USC 131(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.

Fill in the information below in order to accurately calculate your fees.
* indicates required

Entity status *
- Regular Undiscounted
- Small
- Micro

Application related information
- # of pages in the specification
- # of claims
- # of independent claims

Petitions
- Check the box if you are filing petition(s) as part of this application

[Calculate 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

<table>
<thead>
<tr>
<th>Fee code</th>
<th>Description</th>
<th>Item price ($)</th>
<th>Quantity</th>
<th>Item total ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1203</td>
<td>Multiple Dependent Claim</td>
<td>780.00</td>
<td>1</td>
<td>780.00</td>
</tr>
<tr>
<td>1053</td>
<td>Non-English Translation</td>
<td>140.00</td>
<td>1</td>
<td>140.00</td>
</tr>
<tr>
<td>1504</td>
<td>Publication Fee for Early, Voluntary or Normal Publication</td>
<td>0.00</td>
<td>1</td>
<td>0.00</td>
</tr>
<tr>
<td>1051</td>
<td>Surcharge - Late Filing Fee Search Fee, Exam Fee or Oath or Declaration, or Application filed Without at Least One Claim or by Reference</td>
<td>140.00</td>
<td>1</td>
<td>140.00</td>
</tr>
<tr>
<td>1011</td>
<td>Basic Filing Fee - Utility Paper Filing Also Requires Non-Electronic Filing Fee Under 1.16(r)</td>
<td>200.00</td>
<td>1</td>
<td>200.00</td>
</tr>
<tr>
<td>1111</td>
<td>Utility Patent Appl. Search Fee</td>
<td>600.00</td>
<td>1</td>
<td>600.00</td>
</tr>
<tr>
<td>1311</td>
<td>Patent Appl. Examination Fee</td>
<td>720.00</td>
<td>1</td>
<td>720.00</td>
</tr>
</tbody>
</table>

**Total fees selected to pay**: $1,600.00
Review and Submit
Submission Receipt

Your patent submission has been received by the USPTO.

Application #: XXXXXXXX
Confirmation #: 5066
Patient center #: XXXXXXXX

Received:
10/26/2017 6:34:48 PM ET

Based on your selection during submission, total fees due at this time:

$1,600.00

Electronic Acknowledgement Receipt

Title of Invention
Test

Application Information

Application Type: Utility - Nonprovisional
Application under 35 USC 111(a)

Conventional #: 5066
Patent Center #: XXXXXXXX
Customer #: 99

Correspondence Address:

Documents

<table>
<thead>
<tr>
<th>DOCUMENT</th>
<th>PAGES</th>
<th>DESCRIPTION</th>
<th>SIZE (KB)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1011345628.pdf</td>
<td>3</td>
<td>Application</td>
<td>127 KB</td>
</tr>
<tr>
<td>1012345628-AIST.pdf</td>
<td>1</td>
<td>Abstract</td>
<td>48 KB</td>
</tr>
<tr>
<td>1012345628-SEQLIST.pdf</td>
<td>2</td>
<td>Sequence Listing</td>
<td>80 KB</td>
</tr>
<tr>
<td>N41T.pdf</td>
<td>2</td>
<td>EPS Acknowledgment Receipt</td>
<td>17 KB</td>
</tr>
</tbody>
</table>

Total Documents: 3

Back to home page
Pay Fees via Financial Manager

Required fields *

Payment Options *

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 Information

Required fields *

Payment Options *
- Credit/Debit Card

Card Number *

Card Security Code *

Name on Card *

Expiration Date *

Enter/Edit Billing Address

Address Line 1 *

Address Line 2 *

Country *

City *

Note / Region *

Zip / Postal Code *

Submit Payment | Cancel
Payment Receipt
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

![Viewing Application Data](image_url)

<table>
<thead>
<tr>
<th>PCT #</th>
<th>Attorney Docket #</th>
<th>Patent #</th>
<th>Status</th>
<th>Filing or 371 (c) date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>99999</td>
<td></td>
<td>Application Undergoing Preexam Processing</td>
<td>12/12/2001</td>
</tr>
</tbody>
</table>

**Application Data**

- Application type: Utility
- Examiner: 
- Group art unit: 2627
- Class/subclass: 356/37
- 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
- asdf, VA (US)

**Applicants**

Data not available
### Workbench: Saved Submissions Tab

The image shows a screenshot of the Patent Center interface in the Workbench application, focusing on the Saved Submissions tab. The interface displays a list of saved applications, each with details such as ID, date saved, attorney docket number, customer number, type, and title. The table includes columns for these details, allowing users to manage and view their saved submissions efficiently.
### Workbench: Applications Tab

This screenshot shows a portion of the Patent Center interface within the Workbench tab. The interface displays a table with the following columns:

- **Application Number**
- **Customer Number**
- **Attorney Docket #**
- **Status date**
- **Status category**
- **Image File Wrapper**
- **Submission Receipt**
- **Payment Receipt**

The table lists 17,982 applications that have changed status. The entries include details such as application numbers, customer numbers, status dates, and status categories (e.g., ABANDONED, NEW). There are also options to download all or view specific details for each entry.

The interface includes filters for refining the search by DOCKET NUMBER, STATUS CATEGORY, and STATUS DATE. At the bottom, there are pagination controls for navigating through the list of applications.
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

![Image of Patent Center](uspto.png)
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>
<thead>
<tr>
<th>Name</th>
<th>Email</th>
<th>Sponsored date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Paralegal Two</td>
<td><a href="mailto:emailsample1@email.com">emailsample1@email.com</a></td>
<td>03/14/2018</td>
</tr>
<tr>
<td>Paralegal Three</td>
<td><a href="mailto:emailsample2@email.com">emailsample2@email.com</a></td>
<td>03/14/2018</td>
</tr>
</tbody>
</table>

Sponsor additional users
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>
<thead>
<tr>
<th>Who</th>
<th>All EFS-Web Registered and Private PAIR users, including support staff (role-based access)</th>
</tr>
</thead>
<tbody>
<tr>
<td>What</td>
<td>New authentication method will be similar to Patent Center and Financial Manager</td>
</tr>
<tr>
<td></td>
<td>Uses MyUSPTO account log-in email and password, and a second factor to authenticate</td>
</tr>
<tr>
<td>When</td>
<td>Scheduled for late 2018</td>
</tr>
<tr>
<td>Why</td>
<td>To prepare for Patent Center migration</td>
</tr>
<tr>
<td></td>
<td>To resolve issues related to current authentication methods</td>
</tr>
</tbody>
</table>

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.ideascalen.com)
Question/Answer
Feedback Session
Thank you!

For additional inquiries, please email us at:

eMod@uspto.gov