United States Patent and Trademark Office

Electronic Filing System

Welcome to the USPTO's Electronic Filing System (EFS)

Today's presentation:

- – EFS concepts

- – EFS process

- – EFS software components

- – EFS customer support

The EFS Concept

EFS facilitates *electronic* authoring and *secure* submission of patent application documents to the USPTO via the *Internet*.

The EFS Concept

EFS applies Internet and e-commerce technologies to the existing patent practice.

| Patent Business Rules/Practices | + | Internet Technologies |

Patent Business Rules/Practices

- Author Submission (paper output)
- Check for Compliance with Rules
- Compile and Package for Mailing
- Mail Package to USPTO
- USPTO Postcard Receipt

Internet Technologies

- Tagged Data (electronic output)
- Software Validates, Bundles, Compresses
- Internet Provider, Browser, Security Software, Electronic Signature
- Electronic Mailroom/Receipt

EFS Implementation

Several EFS releases phase in electronic filing of various types of patent application submissions.

- EFS phases allow USPTO to gather feedback, test, and improve each successive release.

- October 2000 EFS release, which incorporates EFS Pilot release feedback, is the first EFS production release of software that will support:

  - new utility

  - pre-grant publication

  - biosequence CRF submissions

EFS and Pre-Grant Publication

EFS supports authoring and submission for Pre-Grant Publication requests:

- Voluntary
    - applications pending on November 29, 2000
- Redacted
    - publications containing less disclosure than filed abroad
- Amended
    - publications incorporating changes made during prosecution
- Republication
    - republication of previously published applications

The EFS Process

1. Preparation
   - obtain Customer Number and PKI Certificate, setup EFS technical environment, and gather application documents
2. Authoring
   - create electronic application components for submission to the USPTO
3. Viewing
   - display the application in standard Web browser for attorney or applicant review
4. Submission
   - package and encrypt the application components for transmission to the USPTO over the Internet

EFS Software Descriptions

- Patent Application Specification Authoring Tool (PASAT)

- electronic Packaging and Validation Engine (ePAVE)

PASAT

Patent Application Specification Authoring Tool

Basic steps to create a new specification with PASAT:

- Select specification sections for inclusion
  - PASAT generates appropriately tagged sections
- Type content, or copy text from a source document
- Insert references to TIFF image files (graphics)
- Validate specification against patent business rules
- View in browser
- Export XML (eXtensible Mark-up Language) file

PASAT

Create New Specification

Create New Specification dialog box:
- ☑ Specification
  - ☑ Title of Invention
  - ☐ Cross Reference to Related Applications
  - ☐ Copyright of Invention
  - ☐ Federal Research Statement
  - ☐ Appendix Data
  - ☑ Background of Invention
  - ☑ Summary of Invention
  - ☑ Brief Description of Drawings
  - ☐ Brief Description of Sequences
  - ☑ Detailed Description
  - ☐ Program Listing Deposit
  - ☑ Claims
  - ☑ Abstract of Disclosure
  - ☑ Figures

OK   Cancel

SPECIFICATION

[Insert title of invention]

Background of Invention

Summary of Invention

Brief Description of Dra

Detailed Description

Claims
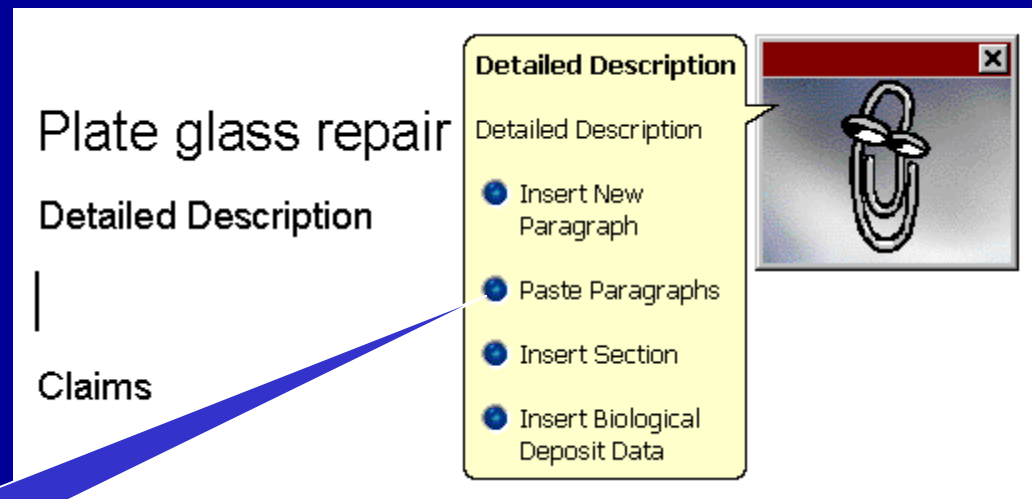
Abstract of Disclosure

Figures

Selected sections are inserted, with behind-the-scenes XML tags, and placeholder text for headings.

10

PASAT

Paste Paragraphs

PASAT

View Specification in Browser
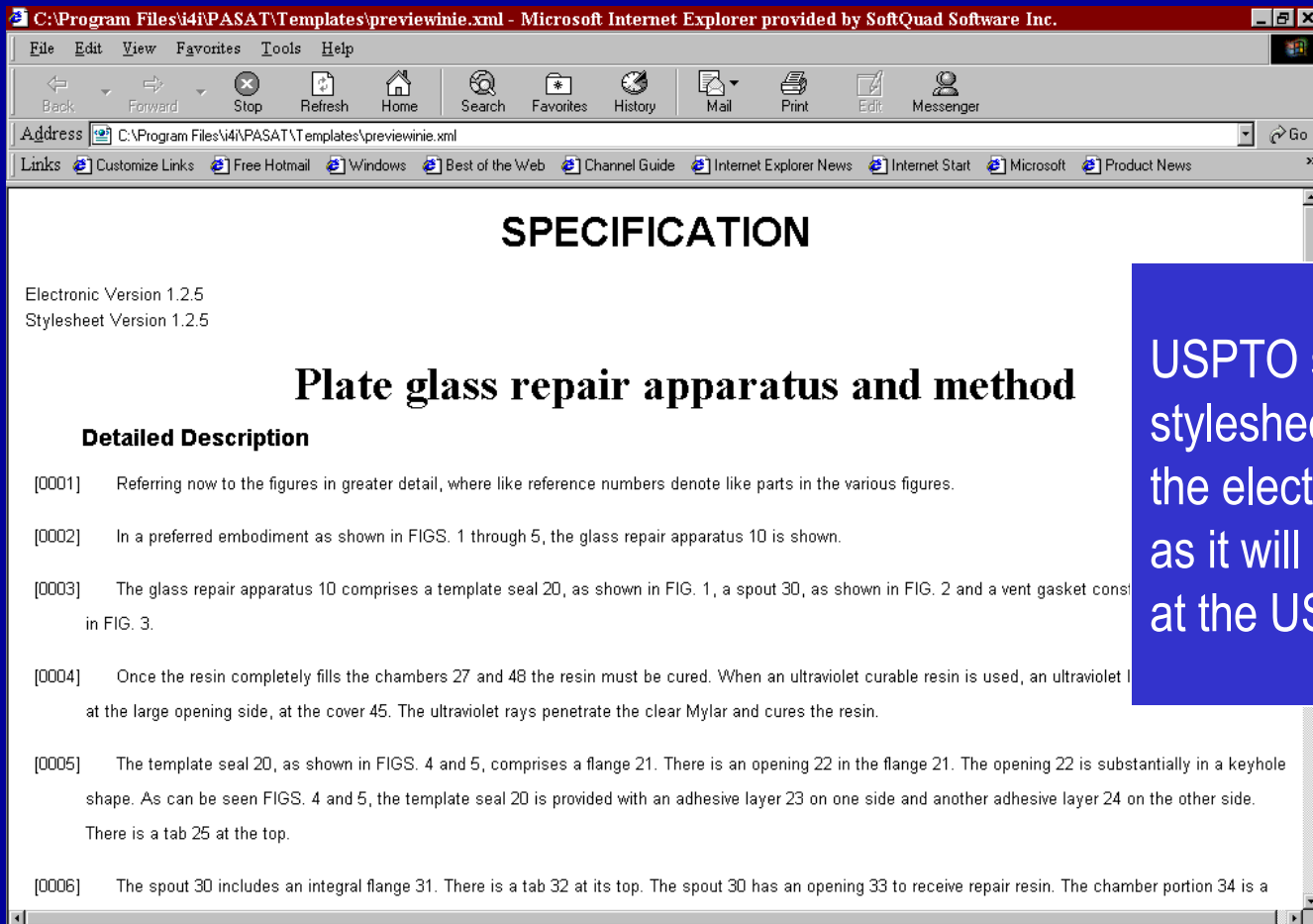
USPTO standard stylesheet displays the electronic file as it will be seen at the USPTO

ePAVE
electronic Packaging and Validation Engine

Tabs guide filer through submission process:

- General
- Filer
- Forms
- Attachments
- Certificate of Transmittal
- Validation
- Comments
- Submit

ePAVE
electronic Packaging and Validation Engine
General Tab

Enter submission identification information to create XML tagged Transmittal file in background to be submitted with "package" to USPTO

Required information has bold field labels

ePAVE
electronic Packaging and Validation Engine
Filer Tab

Captures identification of authorized electronic filer

Required information has bold field labels

ePAVE
electronic Packaging and Validation Engine
Forms Tab

Displays description and usage of available forms

ePAVE - tranapp123.xml (Pre-Grant Publication)

File Edit Go Window Help

General | Filer | Forms | Attachments | Certificate of Transmittal | Validation | Comments | Submit

Form Description and Usage

This form specifies identifies fees due, method of payment, and amount of payment

Simple Form List

Available Forms

Form Name
Application data
Biosequence Transmittal
Fee Transmittal
Patent Assignment Recordation For...

Add>>

<<Remove

Selected Forms

Form Name	Status/File Name	
Application data		

Open

Select and create forms, such as Fee Transmittal and Application Data Sheet

ePAVE
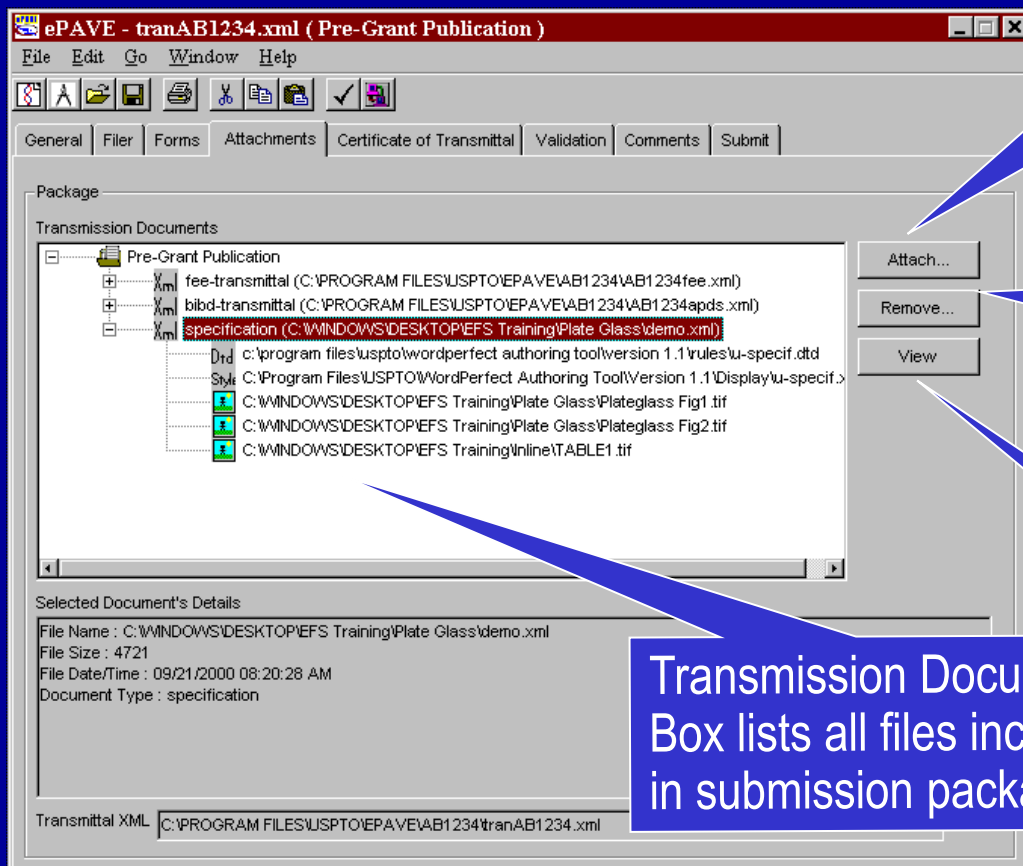## electronic Packaging and Validation Engine

<u>Attachments Tab</u>

ATTACH document and image files authored off-line including XML authored application specification and TIFF images

REMOVE button allows electronic filer to remove previously attached file from package

VIEW button allows electronic filer to review submission content

Transmission Documents Box lists all files included in submission package

ePAVE - tranAB1234.xml (Pre-Grant Publication)

File   Edit   Go   Window   Help

General | Filer | Forms | Attachments | Certificate of Transmittal | Validation | Comments | Submit

Package

Transmission Documents

Pre-Grant Publication
- fee-transmittal (C:\PROGRAM FILES\USPTO\EPAVE\AB1234\AB1234fee.xml)
- bibd-transmittal (C:\PROGRAM FILES\USPTO\EPAVE\AB1234\AB1234apds.xml)
- specification (C:\WINDOWS\DESKTOP\EFS Training\Plate Glass\demo.xml)
  - Dtd c:\program files\uspto\wordperfect authoring tool\version 1.1\rules\u-specif.dtd
  - Style C:\Program Files\USPTO\WordPerfect Authoring Tool\Version 1.1\Display\u-specif.x
  - C:\WINDOWS\DESKTOP\EFS Training\Plate Glass\Plateglass Fig1.tif
  - C:\WINDOWS\DESKTOP\EFS Training\Plate Glass\Plateglass Fig2.tif
  - C:\WINDOWS\DESKTOP\EFS Training\Inline\TABLE1.tif

Attach...
Remove...
View

Selected Document's Details

File Name : C:\WINDOWS\DESKTOP\EFS Training\Plate Glass\demo.xml
File Size : 4721
File Date/Time : 09/21/2000 08:20:28 AM
Document Type : specification

Transmittal XML   C:\PROGRAM FILES\USPTO\EPAVE\AB1234\tranAB1234.xml

ePAVE
electronic Packaging and Validation Engine
Validation Tab

ePAVE automatically validates submission for presence of information and attachments based on patent business rules
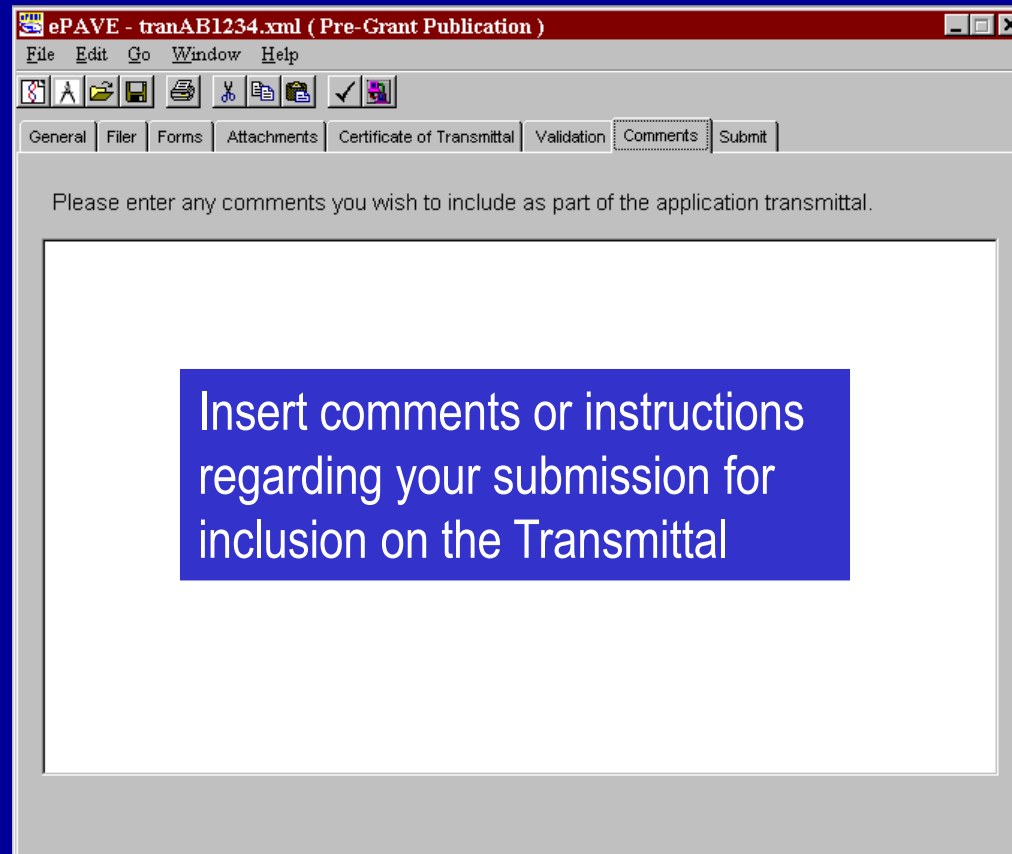
Error messages provide detail about type of error identified and suggest corrective action
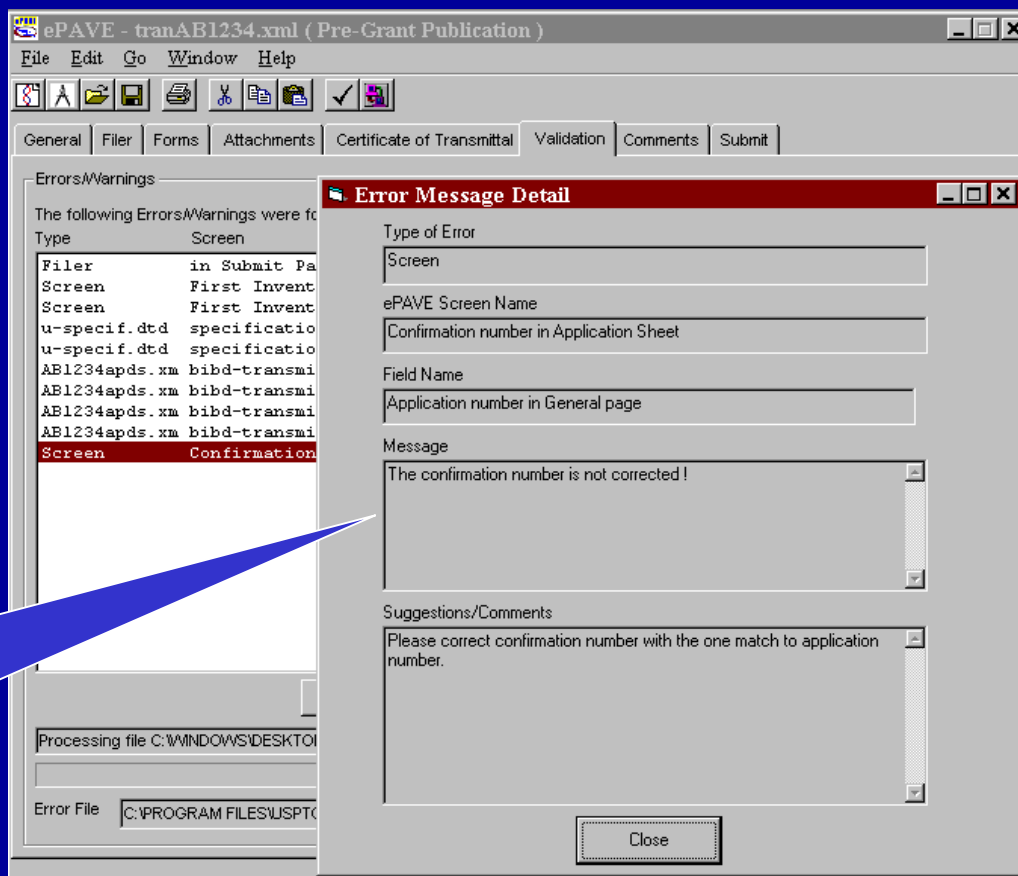
ePAVE
electronic Packaging and Validation Engine
Comments Tab

ePAVE
electronic Packaging and Validation Engine
Submit Tab

Displays two legal statements with check boxes to certify official use of the system and prior review of electronic documents to be submitted to the USPTO

Initiates upload of submission package to USPTO

ePAVE
electronic Packaging and Validation Engine
PKI Security

PKI Certificate ensures security of transmission

Entrust Profile Login

Please provide the location of your Entrust Profile (.epf) file and password.*

OK

Cancel

Entrust Profile   C:\Program Files\USPTO\RJones.epf ▼   Browse...

Password   ********

* Note: This password will be used for digital signature of the submission.

ePAVE
electronic Packaging and Validation Engine

ePAVE will *automatically*
bundle, compress, encrypt, wrap and
securely transmit to the USPTO via
the Internet.

ePAVE
electronic Packaging and Validation Engine
Acknowledgement Receipt

Includes Application Number

```
                Acknowledgement Receipt

Application Number:     09/500,048
First Named Inventor:   Jane Smith
Title of Invention:     Pat on the Back Apparatus
Attorney Docket Number:  a333
File Listing:
Stealth04fee.xml 4661 Bytes
 e-feetra.dtd    35233 Bytes
 e-feetra.xsl    13699 Bytes
 Specification.xml 54589 Bytes
 u-specif.dtd     103876 Bytes
 u-specif.xsl     25417 Bytes
 ToneFig1.tif     306732 Bytes
 ToneFig3.tif     344716 Bytes
 ToneFig2.tif     379600 Bytes
 ToneFig4.tif     298934 Bytes
 ToneFig5.tif     304884 Bytes
 ToneFig6.tif     260354 Bytes
 ToneFig7.tif     367608 Bytes
 Declaration.tif  982788 Bytes
 Stealth04\Stealth04.xml    5905 Bytes
 Stealth04.cfm    2668 Bytes
EFS ID:  594467002457
Filesize: 261809
Timestamp: Wed Dec 8 16:20:30 EST 1999
Message Digest:   hhcx2138kKGWSNgyhFx12A
Digital Certificate Holder Name: on=Diane Lewis Test, ou=Registered Attorneys
Upload Status:    You have successfully uploaded your submission to USPTO.
```

EFS Server verifies the contents of the package upon receipt

After successful receipt and verification at USPTO, an Acknowledgement Receipt is returned to the electronic filer

23

EFS Customer Benefits

- File patent application submissions 24 hours a day,   7 days a week
- Flexibility and convenience of filing patent applications over the Internet, per customer requests
- Facilitate e-filing and accuracy for Pre-Grant Publication
- Automatic validation of EFS submissions for completeness and USPTO business rules
- Immediate electronic Acknowledgement Receipt
  - no delay while waiting for Postcard
  - use Application Number for same day paper filings

EFS Customer Support

- User support via EBC Customer Support Center
  - Telephone: 1-800-PTO-9199 or 703-305-3028
  - e-Mail: efs@uspto.gov

- EFS User Documentation and Instructional Videos

- EBC Web site for updated information:

  - www.uspto.gov

  click on Patent Electronic Business Center

  click on Electronic Filing System

EFS Software

EFS software and documentation available:

- Download from EBC Web site

  – www.uspto.gov

    click on Patent Electronic Business Center

    click on Electronic Filing System

- Request CD from EBC Customer Support Center

  – Telephone: 1-800-PTO-9199 or 703-305-3028
  – e-Mail: efs@uspto.gov

United States Patent and Trademark Office

Electronic Filing System