

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

- 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

- 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

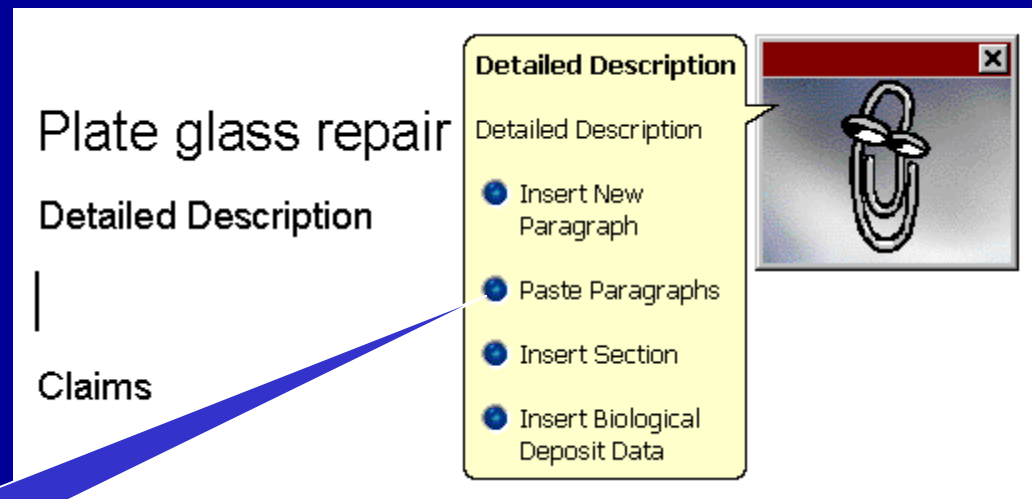
Abstract of Disclosure

Figures

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

PASAT

Paste Paragraphs



The screenshot shows a document editor window with the following content:

- Plate glass repair
- Detailed Description
- |
- Claims

A context menu is open over the 'Detailed Description' field, listing the following options:

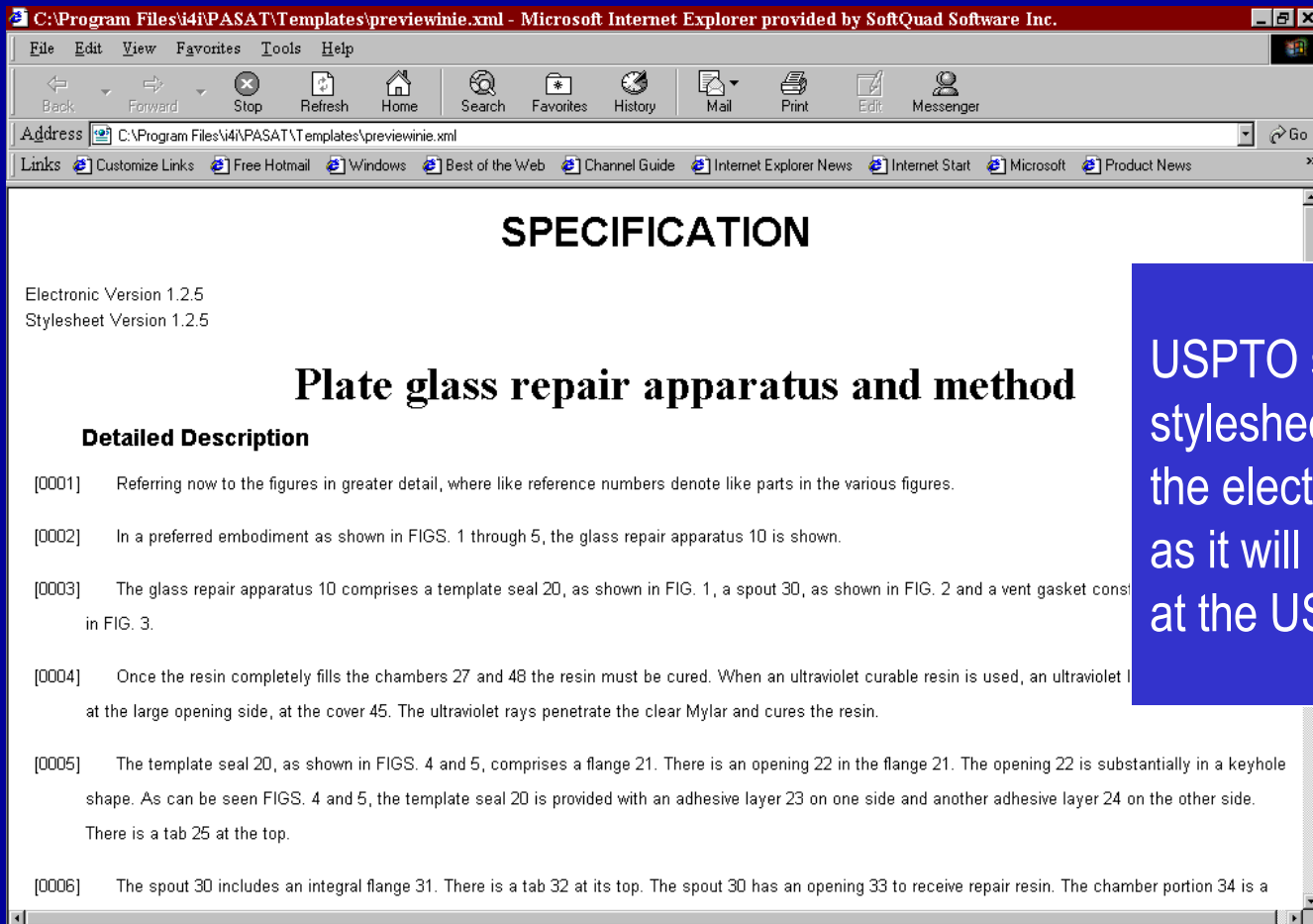
- Insert New Paragraph
- Paste Paragraphs
- Insert Section
- Insert Biological Deposit Data

To the right of the menu is a small window titled 'Detailed Description' containing an image of a paperclip.

Insert and tag multiple paragraphs automatically

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

ePAVE - tranapp123.xml (Pre-Grant Publication)

File Edit Go Window Help

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

Prerequisites: PGPUB, Email address

Application Data: Serial Number, Filing Date (2000-10-04), Attorney Docket Number, Group Art Unit

Title of Invention

First Named Inventor: Title, First Name, Middle Name, Last Name

Assigned Examiner: Title, First Name, Middle Name, Last Name, Suffix

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 - tranefiles.xml (Utility Patent Filing)

File Edit Go Window Help

General Filer Forms Attachments Validation Comments Submit

| Type | Name |
|--------------------------|--------------|
| Attorney or Agent | Robert Jones |

Filer Information

Type of Filer

Applicant Assignee

Attorney or Agent Assignee Undivided Part

Title

First Name Robert

Middle Name

Last Name Jones

Suffix

Registration Number 34,567

Person Organization

Organization Name

Title at Organization

New Delete Add Update

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 | Selected Forms | |
|---------------------------------------|------------------|------------------|
| Form Name | Form Name | Status/File Name |
| Application data | Application data | |
| Biosequence Transmittal | | |
| Fee Transmittal | | |
| Patent Assignment Recordation For ... | | |

Add>>

<<Remove

Open

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

ePAVE

electronic Packaging and Validation Engine

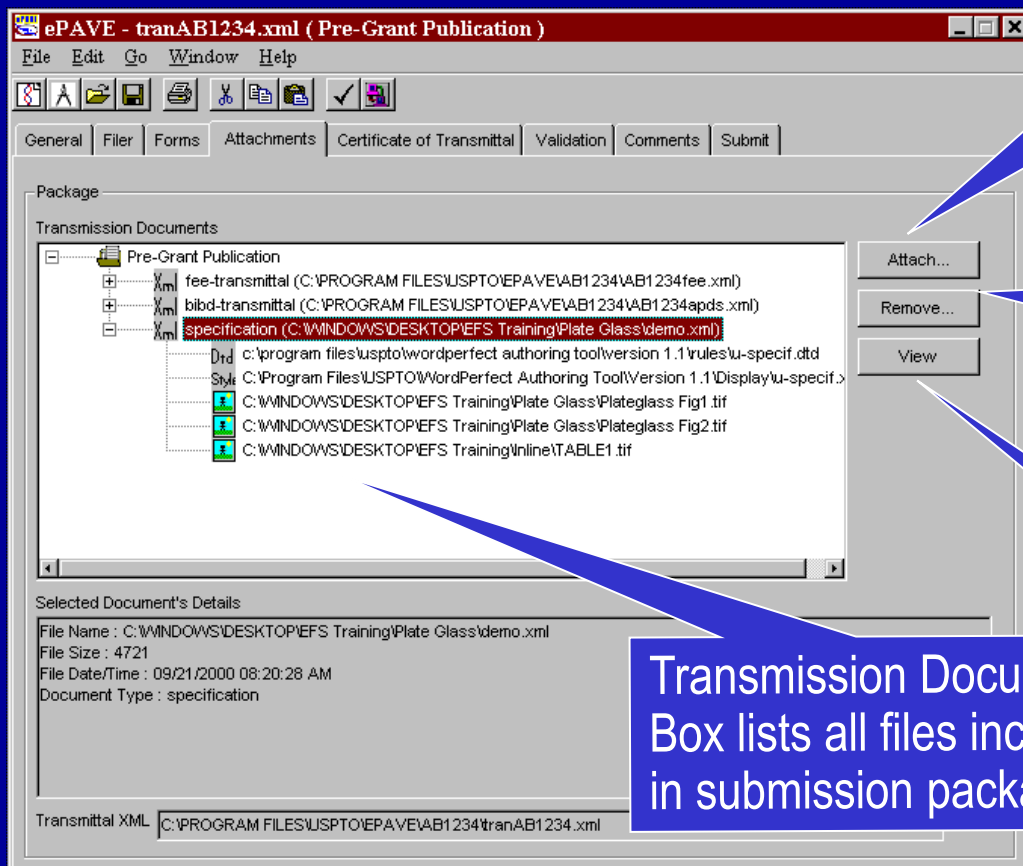
Attachments Tab

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



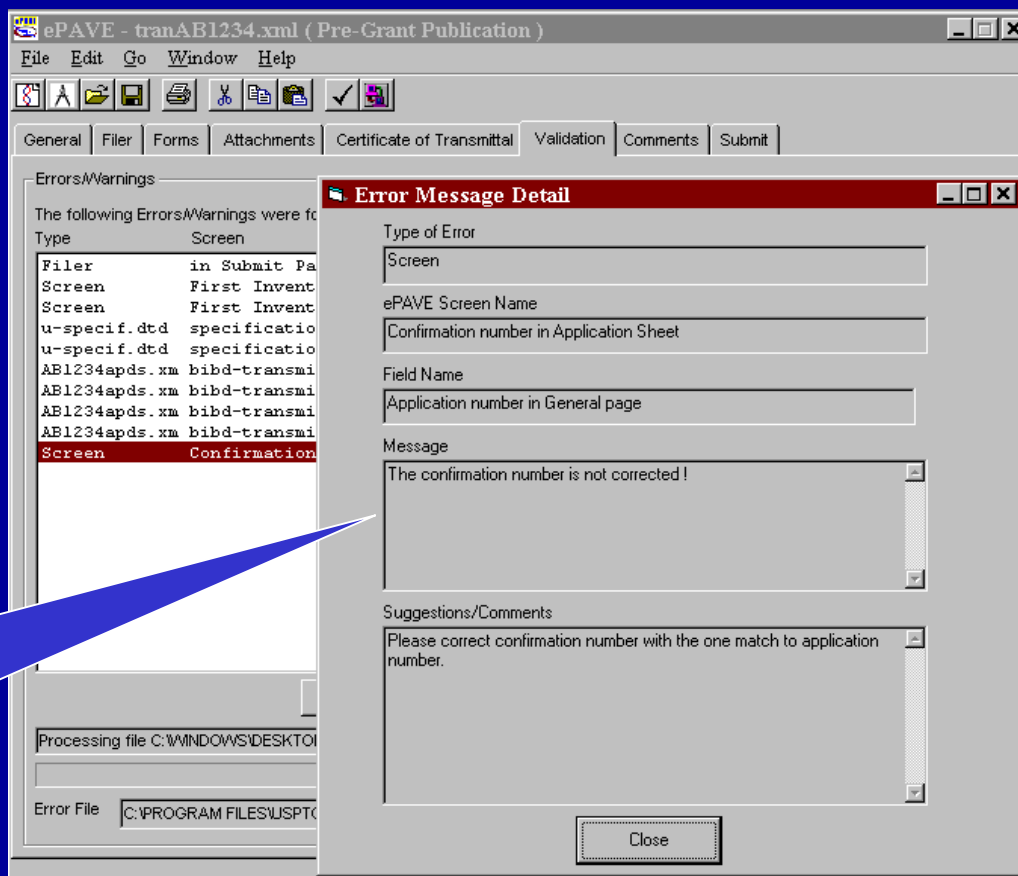
ePAVE

electronic Packaging and Validation Engine

Validation Tab

ePAVE automatically validates submission for presence of information and attachments based on patent business rules

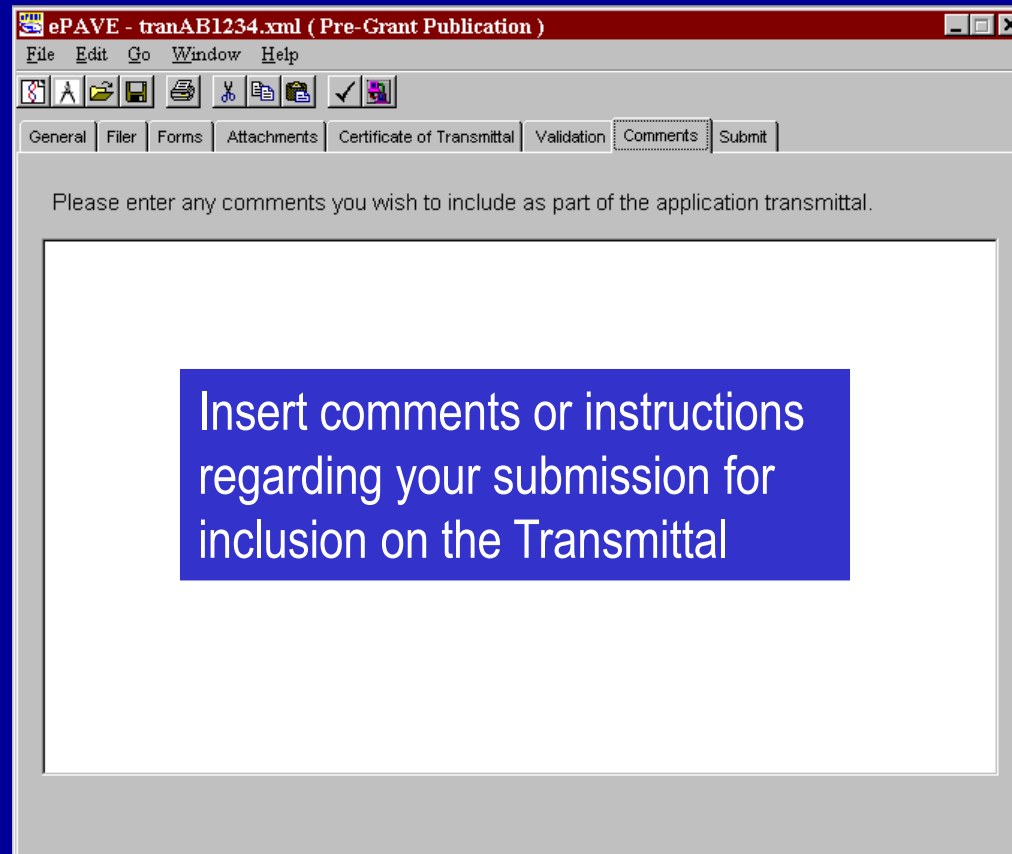
Error messages provide detail about type of error identified and suggest corrective action



ePAVE

electronic Packaging and Validation Engine

Comments Tab



The screenshot shows a web browser window titled "ePAVE - tranAB1234.xml (Pre-Grant Publication)". The browser has a menu bar with "File", "Edit", "Go", "Window", and "Help". Below the menu bar is a toolbar with various icons. The main content area has a tabbed interface with tabs for "General", "Filer", "Forms", "Attachments", "Certificate of Transmittal", "Validation", "Comments", and "Submit". The "Comments" tab is selected. The text "Please enter any comments you wish to include as part of the application transmittal." is displayed above a large white text input area. A blue rectangular box is overlaid on the input area with the text "Insert comments or instructions regarding your submission for inclusion on the Transmittal".

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

ePAVE - tranAB1234.xml (Pre-Grant Publication)

File Edit Go Window Help

General Filer Forms Attachments Certificate of Transmittal Validation Comments Submit

Submit

I certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.

I Accept (Required)

I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.

I Accept (Required)

Signature

| Name | Signature | Date |
|-------------|-----------|------------|
| James Smith | /js | 10/06/2000 |

Sign & Date Send to USPTO

Package Zipfile C:\PROGRAM FILES\USPTO\EPAVE\AB1234\dtfAB1234.zip

Encrypted File

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 xxxxxxxx

* 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

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

```
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 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