



# Intellectual Property Conference for Legal Professionals

September 15-16, 2016

Capital Hilton, Washington, DC

## **USPTO New Initiatives: Global Dossier & Patent Center**

**Presented by**

**Jessica Patterson &**

**Lisa Tran**

**LI02**

**9/16/2016**

**11:00 AM - 12:00 PM**

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**uspto**

# Global Dossier Initiative

**Jessica Patterson**

Program Manager

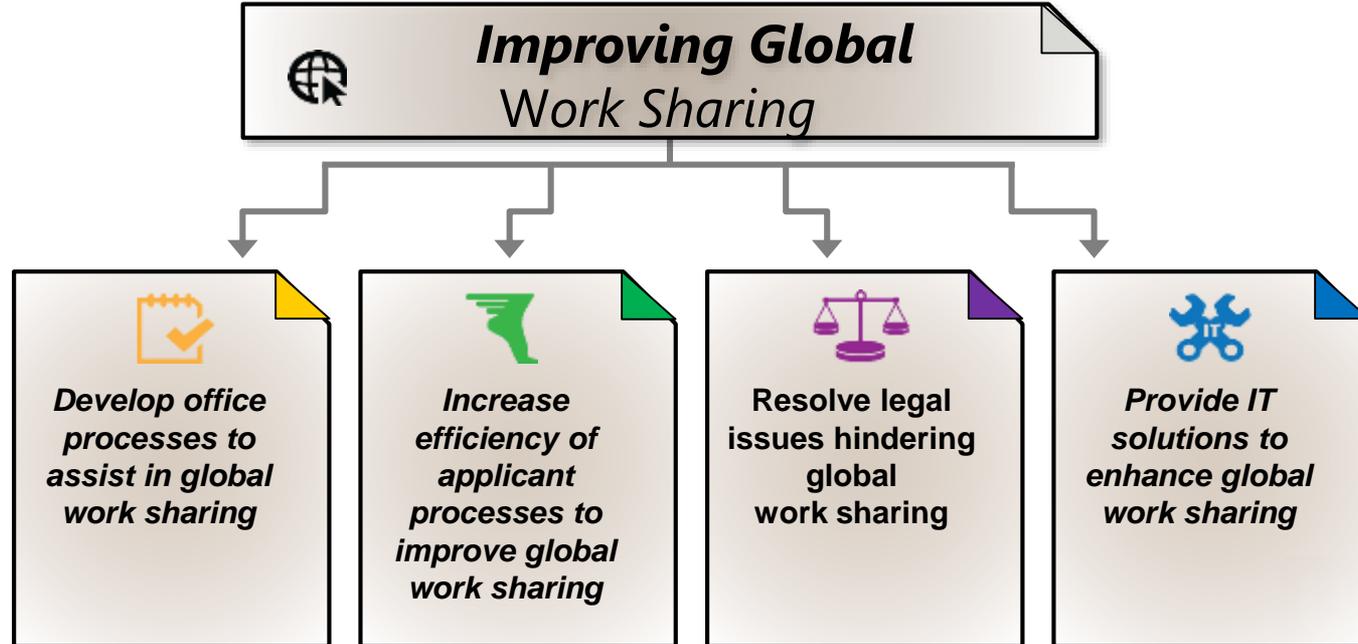
Office of International Patent Cooperation

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# Office of International Patent Cooperation

*Improve the quality, efficiency and predictability of patent family prosecution, thereby improving the certainty of global patent rights.*



# International Cooperation

- **Cooperation among world IP offices**
  - Trilateral
  - IP5
  - Multilateral
  - Bilateral
  
- **Cooperation with IP stakeholder groups**
  - Global Dossier Task Force
  - AIPPI, FICPI, ABA, PPAC, others

# The IP5

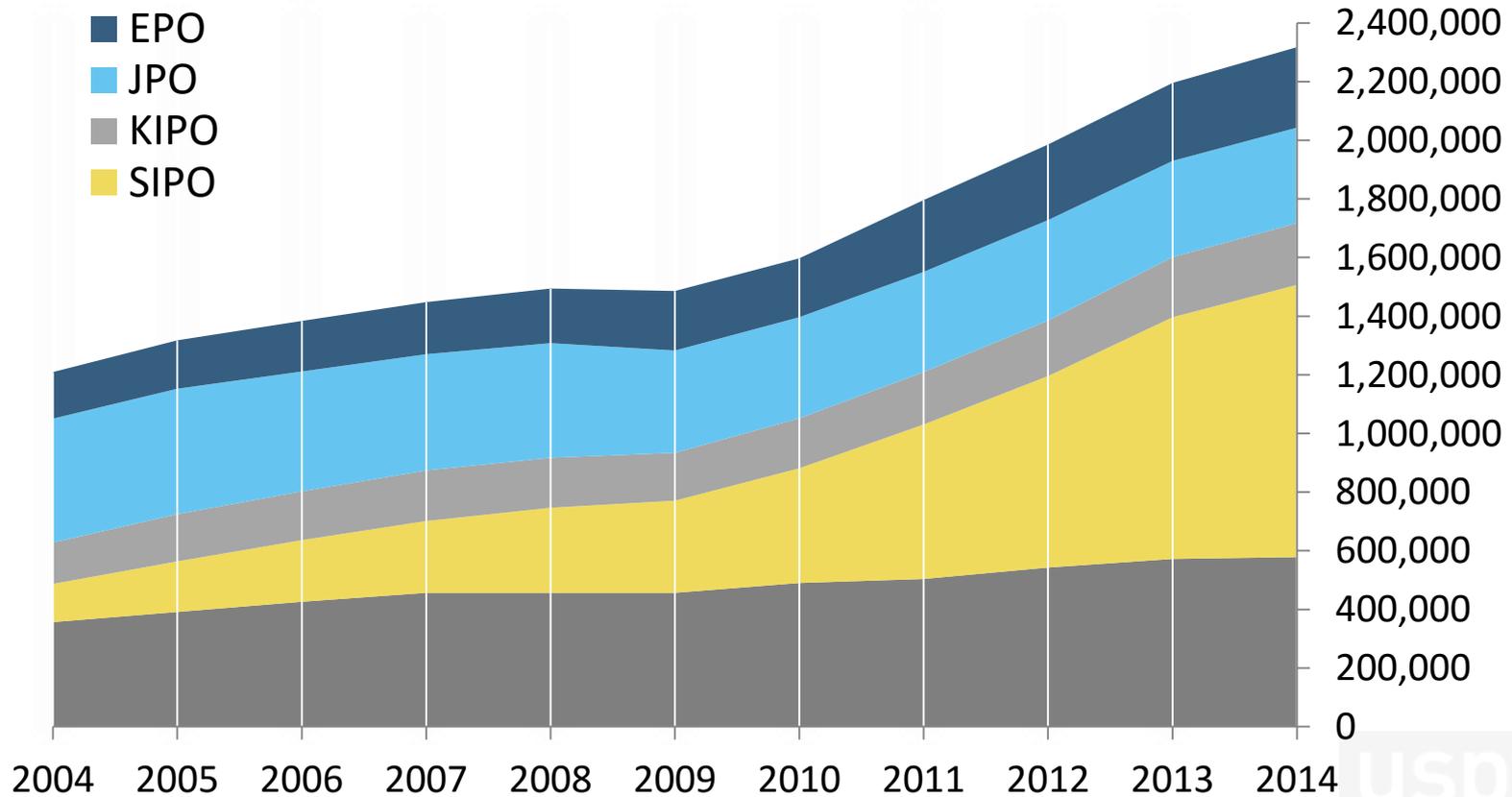
- First meeting held May 2007
- Members:
  - European Patent Office (EPO)
  - Japan Patent Office (JPO)
  - Korean Intellectual Property Office (KIPO)
  - State Intellectual Property Office of the People's Republic of China (SIPO)
  - United States Patent & Trademark Office (USPTO)

**fiveIPoffices**

European Patent Office /// Japan Patent Office ///  
Korean Intellectual Property Office /// State Intellectual  
Property Office of the People's Republic of China ///  
United States Patent and Trademark Office

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# Evolution of filings at the IP5 (2004-2014)



# Global Dossier Task Force

## Members:

### – IP5 Offices

- United States Patent and Trademark Office (USPTO)
- European Patent Office (EPO)
- Japan Patent Office (JPO)
- Korean Intellectual Property Office (KIPO)
- State Intellectual Property Office of the People's Republic of China (SIPO)

### – Industry IP5 Members

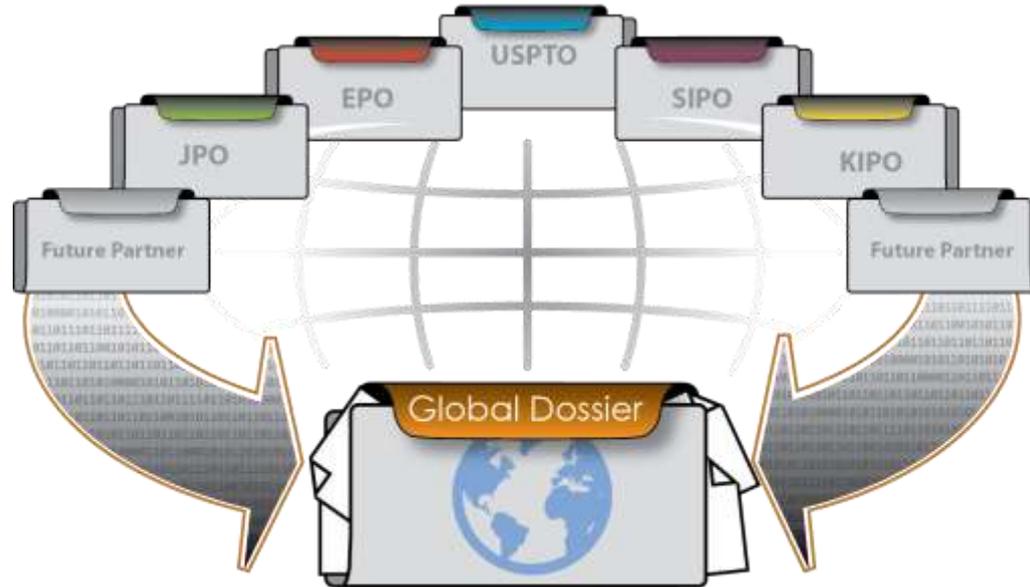
- American Intellectual Property Law Association (AIPLA)
- Intellectual Property Owners Association (IPO)
- Japan Intellectual Property Association (JIPA)
- Korea Intellectual Property Association (KINPA)
- Patent Protection Association of China (PPAC)
- BUSINESSEUROPE

### – World Intellectual Property Organization (WIPO)



# Global Dossier

**Global Dossier is a set of business services modernizing the global patent system and delivering benefits to all stakeholders**



**Global**  **Dossier**



# Benefits of Global Dossier

Improved patent quality

Higher value patents

Increased ease of international filing

Increased procedural harmonization

*Cost savings - exploit more IP!*

Global  Dossier 

# Global Dossier Services

## – Current Services

- **Public Access:** provides access to a user-friendly online interface, which will make it easier for patent applicants to quickly and easily view, monitor, and manage intellectual property (IP) protection around the world by providing access to the dossiers of related applications filed at participating offices
- **International Patent Family:** provides examiner access to work done by examiners on related applications at other offices

## – Upcoming Future Services

- **Document Sharing Functionality:** sharing documents between office, such as prior art exchanges and supporting documents. Viewed as a first step towards cross-filing
- **WIPO CASE Linkage:** provides examiners and the public with access to additional participating offices outside of the IP5

A background of a technical drawing or patent illustration, showing various mechanical components and parts with reference numerals such as 18, 20, 22, 24, 26, 28, 30, 32, 34, 36, 38, 40, 42, 44, 46, 48, 50, 52, 54, 56, 58, 60, 62, 64, 66, 68, 70, 72, 74, 76, 78, 80, 82, 84, 86, 88, 90, 92, 94, 96, 98, and 100. The drawing is rendered in a light gray color against a white background.

# **Global Dossier First Release Demo**

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# Global Dossier Family List

The screenshot shows the USPTO Global Dossier website. At the top, there is a navigation bar with links for Home, Public Pair, Common Citation Document, Current Service Status, Service Hours, Help, and Email Us. Below this is a search bar with a dropdown menu for 'Office' (set to 'US') and a dropdown for 'Type' (set to 'Application'). A search box contains the text 'US 2010/0100000'. A blue box highlights the search box, and an arrow points to it with the text 'Enter number'. Below the search bar, there are two dropdown menus: 'Office' and 'Type'. The 'Office' dropdown is open, showing options: US, CN, EP, KR, and JP. The 'Type' dropdown is also open, showing options: Application, Application, Pre-grant Publication, and Patent. The main content area features a 'Welcome to Global Dossier' heading, followed by sections for 'Global Dossier Public Access' and 'Service Hours'. The 'Global Dossier Public Access' section describes the service as a secure, online access to the file histories of related applications from participating IP Offices. The 'Service Hours' section states that users will be able to view the scheduled service hours for each IP office, including scheduled outages due to holidays and maintenance.

The footer of the USPTO website is displayed. It features the USPTO logo and the text 'UNITED STATES PATENT AND TRADEMARK OFFICE'. Below this, there are four columns of navigation links:

- BROWSE BY TOPIC**
  - Patents
  - Trademarks
  - Learning & Resources
  - About the USPTO
  - Glossary
  - Careers
- ABOUT THIS SITE**
  - Accessibility
  - Privacy Policy
  - Terms of Use
  - Security
  - Systems Status
  - Site Map
- USPTO BACKGROUND**
  - Federal Agency Inventory Reform Act (FAIR)
  - USPTO Budget and Performance
  - Freedom of Information Act
  - Information Quality Guidelines
- FEDERAL GOVERNMENT**
  - Regulations.gov
  - StopFakes.gov
  - USA.gov
  - Department of Commerce
  - Strategy Targeting Organized Piracy

The USPTO seal is visible on the right side of the footer.

# Global Dossier Family List

The screenshot displays the USPTO Global Dossier interface. At the top, there is a navigation bar with links for Home, Public Pair, Common Citation Document, Current Service Status, Service Hours, Help, and Email Us. A search bar is located below the navigation bar, with the search term '13565455' entered. The main content area shows a list of patent entries for the family 'US 13565455'. The table has columns for Office, Application #, Applicant, Title, Pub. No., Pub. Date, and Action. A callout box highlights the 'US 13565455' header, indicating it has 9 members in the patent family (8 currently shown). Another callout points to a small icon in the table header, labeled 'Sorting indicator'. A third callout points to a button in the table header, labeled 'Office Action Indicator'. A fourth callout points to a filter menu on the left, labeled 'Filtering', which shows options for 'IP Office Type' (All IP5 Offices, EPO, SIPO, KIPO, JPO, USPTO) and 'Non-IP5 Offices'. A fifth callout points to a filter menu in the center, also labeled 'Filtering', which shows options for 'IP Office Type' (All IP5 Offices, EPO, SIPO, KIPO, JPO, USPTO) and 'Non-IP5 Offices'. The footer contains links for 'BROWSE BY TOPIC' (Patents, Trademarks, Learning & Resources, About the USPTO, History, Careers, Contact Us), 'USPTO BACKGROUND' (Federal Agency Inventory Reform Act (FARA), USPTO Budget and Performance, Freedom of Information Act, Information Quality Guidelines), and 'FEDERAL GOVERNMENT' (Regulation.gov, Dept. of Justice, USA.gov, Department of Commerce, Strategy Targeting Organized Fraud).

uspto Global Dossier

Home Public Pair Common Citation Document Current Service Status Service Hours Help Email Us

Office: US Type: Application Search: 13565455

US 13565455 9 Members in Patent Family (8 currently shown)

Sorting indicator

Filtering

Office Action Indicator

IP Office Type

- All IP5 Offices
- EPO
- SIPO
- KIPO
- JPO
- USPTO

Non-IP5 Offices

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Terms of Use

Security

System Status

Site Map

USPTO BACKGROUND

- Federal Agency Inventory Reform Act (FARA)
- USPTO Budget and Performance
- Freedom of Information Act
- Information Quality Guidelines

FEDERAL GOVERNMENT

- Regulation.gov
- Dept. of Justice
- USA.gov
- Department of Commerce
- Strategy Targeting Organized Fraud

# Global Dossier Family List

uspto Global Dossier

Home Public Pair Common Citation Document Current Service Status Service Hours Help Email Us

Office: US Type: Application 13565455

US 13565455 9 Members in Patent Family (8 currently shown)

Office	Application #	Applicant	Title	App. Date	Priority #	Pub. # (B)	Pub. Date	Action
US	PC1/059/54877	Rebady Dossier		08/21/2009	US 9204408	WO 2010077113 A2 WO 2010077112 A2	02/11/2010 05/14/2010	
EP	09811071	View Dossier	1) Applied Materials, Inc.	LASER MATERIAL REMOVAL METHODS AND APPARATUS	08/21/2009	US 9204408 US PC1/059/54877	EP 2029104 A2	06/04/2011 (E) Add to ★
US	12545488	View Dossier	1) Zhang, Zhenhua 2) Rana, Vinodh V.S. 3) Shah, Vijay K. 4) Dierigacker, Chris	LASER MATERIAL REMOVAL METHODS AND APPARATUS	08/21/2009	US 9204408	US 2010005560 A1 US 8255426 B2	01/04/2010 09/04/2012 (E) Add to ★
CH	20131090403	View Dossier	1) APPLIED MATERIALS, INC.	Laser material removal methods and apparatus	08/22/2009	US 9204408	CH 333537612 A	10/29/2014 (E) Add to ★
CH	20090113793	View Dossier	1) The Applied Materials	Laser material r				
KR	20111700675	View Dossier	1) Applied Materials, Inc.	LASER MATERIA				
JP	2011525114	View Dossier	1) Applied Materials, Inc.	LASER MATERIA				
US	12505455	View Dossier	1) ZHANG, ZHENHUA 2) RANA, VINODH V.S. 3) SHAH, VIJAY K. 4) DIERIGACKER, CHRIS	LASER MATERIA				

Download list of patent family members

Publication Link

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US PATENT & TRADEMARK OFFICE  
PATENT APPLICATION FULL TEXT AND IMAGE DATABASE

US 2010005560 A1  
US 8255426 B2

United States Patent Application  
Serial Code  
Zhang, Zhenhua ; et al.  
March 4, 2010

LASER MATERIAL REMOVAL METHODS AND APPARATUS

Abstract

Embodiments of the present invention generally provide methods and apparatus for material removal using lasers in the fabrication of solar cells. In one embodiment, an apparatus is provided that generally removes portions of a dielectric layer deposited on a solar cell substrate according to a desired pattern and deposits a conductive layer over the remaining dielectric layer. In one embodiment, the apparatus also removes portions of the conductive layer as a desired pattern. In certain embodiments, methods for removing a portion of a material via a laser without damaging the underlying substrate are provided. In one embodiment, the intensity profile of the beam is adjusted so that the difference between the maximum and minimum intensity within a spot focused on a substrate surface is reduced to an optimum range. In one example, the substrate is preheated such that the peak intensity of the source versus the periphery of the substrate is lowered. In one embodiment, the pulse energy is adjusted to provide thermal stress and physical lift-off of a desired portion of a dielectric layer.

Inventors: Zhang, Zhenhua (Newark, CA); Rana, Vinodh V.S. (San Diego, CA); Shah, Vijay K. (San Mateo, CA); Dierigacker, Chris. (Palo Alto, CA)

Correspondence Address: PATTERSON & SHERIDAN, LLP - APPMEX  
3048 POST OAK BOULEVARD, SUITE 1500  
HOUSTON  
TX  
77056  
US

Assignee: APPLIED MATERIALS, INC.  
Santa Clara  
CA

Family ID: 4876894  
Appl. No: 12545455  
Filed: August 21, 2009

Related U.S. Patent Documents

# Global Dossier Quick View

The screenshot displays the USPTO Global Dossier interface for patent application US 13565455. The main view shows a list of documents with columns for DATE, DOCUMENT DESCRIPTION, and OPTIONS. A 'Quick View Display' is shown in an expanded state, displaying a list of documents with buttons for 'All Documents' and 'Classification and Citation'. A 'First Office Action (TRANSLATED)' document is shown in a separate window, displaying the text of the action in Chinese and English.

**US 13565455** 5 Members in Patent Family (Currently shown)

Office #	Application #	Applicant	Title #	App. Date #	Priority #	Pub. # #	Pub. Date	Action # #
US	PCT/US89/0487	Verbatim, Inc.		08/21/1989	US 61892041	WO/2000/7112 A2 WO/2000/7112 A3	01/11/2000 05/14/2000	
EP	0881471	Applied Materials, Inc.	LASER MATERIAL REMOVAL METHODS AND APPARATUS	08/21/2000	US 61892041 US 61770556/0487	EP 218818 A2	06/04/2001	ID

**DATE**    **DOCUMENT DESCRIPTION**    **OPTIONS**

- Apr 28, 2015    Claims (ORIGINAL)    ...
- Apr 28, 2015    Argument (TRANSLATED)    ...
- Apr 28, 2015    Argument (ORIGINAL)    ...

**All Documents**    **Classification and Citation**

**Quick View Display**

**Collapse/Expand Quick View**

**First Office Action (TRANSLATED)**

The State Intellectual Property Office of People's Republic of China

**200233**

上海市知识产权局 上海今程知识产权服务有限公司 披露

Issuing Date:

Application No. or Publication Issue No.  
No.201310590463.1

Applicant/Patentee APPLIED MATERIALS, INC.

Title of Invention: Laser material removal methods and apparatus

**First Office Action**

- Upon the request of substantive examination of the applicant, in accordance with Article 35.1 of the Patent Law, the State Intellectual Property Office performs the substantive examination for the aforesaid application for a patent for invention.
- In accordance with Article 36.3 of the Patent Law, the State Intellectual Property Office proceeds to examine the aforesaid application for a patent for invention as to its substance on its own initiative.
- The applicant requests on the basis of:

# Global Dossier Collections

The screenshot displays the USPTO Global Dossier interface. The main area shows application details for US 13565455, including a list of documents with columns for Date, Document Description, and View More. A callout box points to the 'View More' link with the text: "Open Document in New Window" and "Download Document". Below this, another callout box points to the 'Add to Collections' button with the text: "Add to Collections".

On the right side, there is a 'Collections' sidebar. A callout box points to the 'Add to ★' button at the bottom of this sidebar with the text: "Add Application to Collections".

The interface includes a top navigation bar with 'uspto Global Dossier' and links for 'Home', 'Public Pair', 'Current Citation Document', 'Current Service Status', 'Service Hours', and 'Help'. A search bar is located below the navigation bar.

Office	App. No.	Applicant	Title	App. Date
US	13565455	Applied Materials, Inc.	LAYER MATERIAL REMOVAL METHODS AND APPARATUS	08/21/2008
US	1234567	Zhang, Zhentao; Song, Yuesha; Li, Shou; Zhao, Li; Li, Shengpan; Chen, ...	LAYER MATERIAL REMOVAL METHODS AND APPARATUS	08/21/2008
US	1234568	Zhang, Zhentao; Song, Yuesha; Li, Shou; Zhao, Li; Li, Shengpan; Chen, ...	LAYER MATERIAL REMOVAL METHODS AND APPARATUS	08/21/2008
US	1234569	Applied Materials, Inc.	LAYER MATERIAL REMOVAL METHODS AND APPARATUS	08/21/2008
US	1234570	Applied Materials, Inc.	LAYER MATERIAL REMOVAL METHODS AND APPARATUS	08/21/2008

Document List for US 13565455:

DATE	DOCUMENT DESCRIPTION	VIEW MORE
Mar 11, 2010	US Clear-Up - amended data concerning the representative of the applicant (Specification)	...
Jul 23, 2010	Refund of fee	...
Jul 23, 2010	Refund of fee	...
Aug 15, 2010	Issue Notification	...
Aug 1, 2012	EFS Acknowledgment Receipt	...
Aug 1, 2012	Fee Worksheet (SBO)	...

Document List for US 1234568:

DATE	DOCUMENT DESCRIPTION	VIEW MORE
Apr 08, 2010	Claim (CORRECTION)	...
Apr 08, 2010	Argument (TRANSLATED)	...
Apr 08, 2010	Argument (CORRECTION)	...

Document List for US 1234570:

DATE	DOCUMENT DESCRIPTION	VIEW MORE
Jul 23, 2010	Refund of fee	...

# Global Dossier History

The screenshot displays the USPTO Global Dossier interface. At the top, the USPTO logo and 'Global Dossier' text are visible. The navigation bar includes 'Home', 'Public Pair', 'Compare Citation Document', 'Current Service Status', 'Service Hours', and 'Help'. The search bar shows 'Office: US' and 'Type: Application' with the application number '13565455'. Below the search bar, the text 'US 13565455 3 Members in Zylant Family (currently viewed)' is shown. The main content area is a table of application entries. The first entry is for application 09811971, titled 'Laser material removal methods and apparatus'. A blue arrow points to the 'History' icon in the top right corner of the application entry. A modal window titled 'History' is open, showing a list of viewed applications: 'Application US 13565455 EP 09811971' and 'Publication US 20070155322'. A blue box at the bottom right of the modal contains the text 'History of viewed applications'.

Office #	Application #	Applicant	Title #	App. Date #	Pub. No. #	Pub. # #	Pub. Date	Pub. No.
US	09811971	Applied Materials, Inc.	LASER MATERIAL REMOVAL METHODS AND APPARATUS	08/21/2008	US 8204488	US 201007712 A2 US 201007712 A3	03/11/2010 03/14/2010	
US	1230488	Zheng, Zhensha Zong, Yuesha V.S. Soo, Vito S. Sampath, Eric	LASER MATERIAL REMOVAL METHODS AND APPARATUS	08/21/2008	US 8204488			
US	2008022784	The Applied Materials	Laser material removal methods and apparatus	08/21/2008	US 8204488 US PCT/EP/09487	US 20110378 A CN 10211978 B	01/20/2011 02/11/2011	

# Global Dossier - Dossier View

The screenshot displays the USPTO Global Dossier interface. At the top, the application number is US 1254588. The main document list includes:

- Unknown - Issue Notification (09/15/2012)
- 4 - Issue Fee Payment (PTO-858) (09/15/2012)
- 5 - Fee Worksheet (SR00) (09/17/2012)
- 2 - PFI Acknowledgment Receipt (09/17/2012)
- 100 - Search information including classification, databases and other search-related notes (07/06/2012)
- 100 - List of References cited by applicant and considered by examiner (07/06/2012)
- 100 - List of References cited by applicant and considered by examiner (07/06/2012)
- 100 - List of References cited by applicant and considered by examiner (07/06/2012)
- 100 - Examiner's search strategy and results (07/06/2012)
- 100 - List of References cited by applicant and considered by examiner (07/06/2012)
- 100 - List of references cited by examiner (07/06/2012)
- 2-23 - Notice of Allowance and Fees Due (PTOL-85) (07/06/2012)
- 5 - Paper of Claims (07/06/2012)
- 100 - Issue information including classification, examiner name, class, renumbering, etc. (07/06/2012)
- 4 - Bibliographic Data Sheet (07/06/2012)
- 5 - Examiner's search strategy and results (07/06/2012)
- 5 - Fee Worksheet (SR00) (04/27/2012)
- 2 - PFI Acknowledgment Receipt (04/27/2012)
- 4 - Response to Election / Restriction Filed (04/27/2012)
- 4 - Applicant Arguments/Remarks Made in an Answer/Rebuttal (04/27/2012)
- 4 - PFI (04/27/2012)

The detailed view of the Notice of Allowance and Fees Due (PTOL-85) form is shown on the right. It includes the following information:

- UNITED STATES PATENT AND TRADEMARK OFFICE**
- NOTICE OF ALLOWANCE AND FEES DUE**
- EXAMINED:** [Redacted]
- ISSUED:** [Redacted]
- DATE OF PUBLICATION:** [Redacted]
- APPLICANT:** PATTERSON & SHERIDAN, LLP - AIPMTX, 340 POST OAK BOULEVARD, SUITE 1300, HOUSTON, TX 77056
- CLASSIFICATION:** G01N 33/00
- ISSUE FEE AND PUBLICATION FEE:** \$1700
- ISSUE FEE:** \$1700
- PUBLICATION FEE:** \$0
- TOTAL FEE:** \$1700

The form also contains instructions on how to reply to this notice, including options for Small Entity status and payment of fees.

# Global Dossier Classification Data

uspto Global Dossier

Home Public File Commission Citation Document Current Service Status Service Hours Help

Application Number: 17 0812371 Filed Family: All Documents Classification and Choice

Classification Data

IPC Class: H01L 31/007 H01L 31/042

CPC Class: B23K 26/0846 B23K 26/0853 B23K 26/0861 H01L 31/04 H01L 31/042 H01L 31/0425 H01L 31/0425

No matching classification data found

B23K 26/0846	....	{for moving elongated workpieces longitudinally, e.g. wire or strip material}
B23K 26/0853	...	{Devices involving movement of the workpiece in at least in two axial directions, e.g. in a plane}
B23K 26/0861	....	{in at least in three axial directions}

Classification Description

uspto UNITED STATES PATENT AND TRADEMARK OFFICE

KNOWN BY TOPIC: [Patents](#), [Trademarks](#), [Issuance & Revisions](#), [About the USPTO](#), [Classify](#), [Careers](#), [Contact Us](#)

ABOUT THIS USE: [Accessibility](#), [Privacy Policy](#), [Terms of Use](#), [Security](#), [System Status](#), [Site Map](#)

USPTO BACKGROUND: [Federal Authority \(Executive Reform Act \(ERA\)\)](#), [USPTO Budget and Performance](#), [Freedom of Information Act](#), [Information Quality Guidelines](#)

FEDERAL GOVERNMENT: [Regulations.gov](#), [regulations.gov](#), [USA.gov](#), [Department of Commerce](#), [Strategy Targeting Organizational Policy](#)

# Global Dossier Citations

The screenshot displays the USPTO Global Dossier interface for application US 1234567. The page includes a navigation bar with 'Home', 'Public Pair', and 'Current Citation Document'. Below the navigation, the 'Classification Data' section shows IPC8 codes: B23K 29/18, B01C 11/00, and H01L 21/00. The 'Citation Data' section contains a table of cited patents.

CITED BY	CITED IN	PUBLICATION/PATENT NUMBER ID
applicant		US20090162470A1
applicant		US20030059421A1
applicant		US20030059421A1
applicant		US2007012309A1
applicant		US20090162470A1
applicant		US630995B2
applicant		US729921B3
applicant		US759076B5
applicant		US788188B3
applicant		US209619489A1
applicant		US281003782A1
applicant		US282911719A1
applicant		US200904459A1
applicant		US2009038810A1
applicant		US208318271A1
applicant		US2008001188A1
applicant		US2008010295A1
applicant		US2008011827A1
applicant		US709888039A1
applicant		US2009077905A1
applicant		US644493B3

A callout menu for the highlighted entry 'US2007012309A1' provides the following options:

- View Full Patent Family
- View Application Dossier
- View Publication



# Global Dossier Availability

The image shows a screenshot of the USPTO Global Dossier website with several callouts highlighting key information:

- Current Outages:** A red banner at the top left states "Current Outages" and "JPO OPD Dossier Access Services are down for scheduled maintenance". A callout box below this banner provides more detail: "Current Outages" with a red 'x' icon, "JPO OPD Dossier Access Services are down for scheduled maintenance", and a "View More" link.
- Service Hours:** A callout box on the right side of the page points to the "Service Hours" link in the top navigation bar. Below it, a detailed "Service Hours" table is shown, which lists scheduled outage hours for various offices (USPTO, EPO, JPO, KIPO, SIPO) across different days of the week. Red text indicates scheduled outages.
- Service Availability Status:** A callout box on the left side of the page points to the "Service Availability Status" link. Below it, a "Service Availability Status" window is shown, which includes a "Check Availability" button and a table for "SERVICE AVAILABILITY STATUS FOR -- USPTO".

**Service Hours Table:**

	USPTO	EPO	JPO	KIPO	SIPO
The Scheduled Outage Hours (EST/EDT) are displayed in red text indicated by an asterisk (*). The scope of available document range coverage for EPO is from January 6, 1978 onwards.					
	Patent Family Service	Dossier Content Service	Classification & Citation Service		
MONDAY	00:00 - 11:00 11:00 - 12:00* 12:00 - 23:00 23:00 - 23:15* 23:15 - 23:59	00:00 - 23:59	00:00 - 11:00 11:00 - 12:00* 12:00 - 23:00 23:00 - 23:15* 23:15 - 23:59		
TUESDAY	00:00 - 23:00 23:00 - 23:15* 23:15 - 23:59	00:00 - 23:59	00:00 - 23:00 23:00 - 23:15* 23:15 - 23:59		
WEDNESDAY	00:00 - 11:00 11:00 - 12:00* 12:00 - 23:00 23:00 - 23:15* 23:15 - 23:59	00:00 - 23:59	00:00 - 11:00 11:00 - 12:00* 12:00 - 23:00 23:00 - 23:15* 23:15 - 23:59		
THURSDAY	00:00 - 23:00 23:00 - 23:15* 23:15 - 23:59	00:00 - 23:59	00:00 - 23:00 23:00 - 23:15* 23:15 - 23:59		
FRIDAY	00:00 - 23:00 23:00 - 23:15* 23:15 - 23:59	00:00 - 23:59	00:00 - 23:00 23:00 - 23:15* 23:15 - 23:59		
SATURDAY	00:00 - 23:00 23:00 - 23:15* 23:15 - 23:59	00:00 - 23:59	00:00 - 23:00 23:00 - 23:15* 23:15 - 23:59		
SUNDAY	00:00 - 23:00 23:00 - 23:15* 23:15 - 23:59	00:00 - 23:59	00:00 - 23:00 23:00 - 23:15* 23:15 - 23:59		

**Service Availability Status Table:**

SERVICE AVAILABILITY STATUS FOR -- USPTO			
	Patent Family	Dossier Content	Classification & Citation
Actual	UP	UP	UP
Scheduled	UP	UP	UP

# Global Dossier Enhancements

- Direct access to Office Actions from Patent Family Quick View
- Ability to filter document types when viewing application dossier
- Improved Office availability alerts (Closures, maintenance, holidays)

# Direct Access to Office Actions

The screenshot displays the USPTO Global Dossier interface. At the top, the 'uspto' logo is on the left, and navigation links for 'About Us', 'Careers', and 'Contact Us' are on the right. Below the logo, the 'Global Dossier' title is shown, followed by a navigation bar with links for 'Home', 'Public Pair', and 'Common Citation Document'. A search bar contains the application number '13565455'. On the right side of the search bar, there are buttons for 'Collections' and 'History'. Below the search bar, the text 'US 13565455' is displayed, along with a note that there are 9 members in the patent family.

The main content area features a table of patent entries. The table has columns for Office, Application #, Applicant, Title, App. Date, Priority #, Pub. #, Pub. Date, and Action #. The first row shows a US office entry for application PCT/AU09/54677. The second row shows an EP office entry for application 08822971, with applicant Applied Materials, Inc. and title LASER MATERIAL REMOVAL METHODS AND APPARATUS. The third row shows a US office entry for application 12543488, with applicants Zhang, Zhenhua; Kera, Virendra V.S.; Shah, Vinay K.; and Ebenbacher, Otho. The fourth row shows a CN office entry for application 20112990401, with applicant APPLIED MATERIALS, INC. and title Laser material removal methods and apparatus. A red arrow points to the 'Action #' column for the CN entry, which contains a document icon and the text 'This dossier has office actions'. A callout box with a black border and white background contains the text 'Click on the Office Action Indicator to view the Office Actions'.

Below the main table, there are two sections: 'Most Recent Documents' and 'Office Actions'. The 'Most Recent Documents' section has columns for Date, Document Description, and Options. It lists three documents: '11/12/2015' with description '1st Office Action (TRANSLATED)', '11/02/2015' with description '1st Office Action (ORIGINAL)', and '11/05/2015' with description 'Supplementary search (ORIGINAL)'. The 'Office Actions' section has columns for Date, Document Description, and Options. It lists three office actions: '11/12/2015' with description '1st Office Action (TRANSLATED)', '07/17/2015' with description '1st Office Action (TRANSLATED)', and '12/02/2014' with description 'First Office Action (TRANSLATED)'. At the bottom of the page, there are three buttons: 'All Documents', 'Classification and Citation', and 'View All Office Actions'.



# Document Filtering

The screenshot displays the USPTO Global Dossier interface for application CN 201310590403. The 'All Documents' tab is active, showing a list of 17 documents. A dropdown menu is open under 'Documents : Office Actions', with 'Office Actions' selected. A red arrow points to the 'Date' column header in the table below. A text box at the bottom right contains the instruction: 'Filter the documents by type in the All Documents tab'.

uspto

## Global Dossier

Home Public Pair Common Citation Document

Application Number: CN 201310590403 Patent Family All Documents Classification & Citation

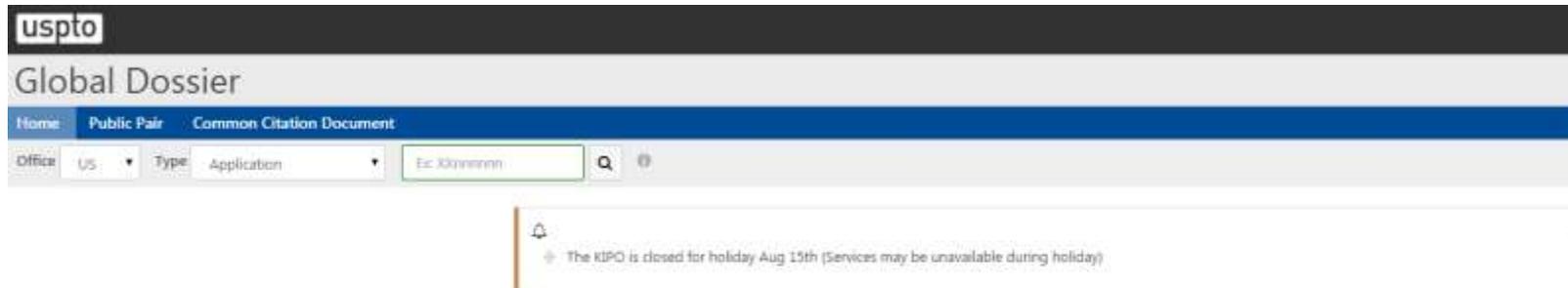
CN 201310590403 (CN 103537811 A) 17 documents

Documents : Office Actions

Description	Date	Code	Group	Options
Nth Office <input checked="" type="checkbox"/> Office Actions	12/22/2015	210403	2, 22	...
<input type="checkbox"/> Application Docs				
Nth Office <input type="checkbox"/> Arguments & Applicant's Responses	07/17/2015	210401	2, 22	...
First Office <input type="checkbox"/> Citation & Classification Docs	12/22/2014	210401	2, 21	...
<input type="checkbox"/> Miscellaneous				
Incoming Docs				
Outgoing Docs				

Filter the documents by type in the All Documents tab

# Improved Office Availability Alerts



The screenshot shows the USPTO Global Dossier interface. At the top left is the 'uspto' logo. Below it is the 'Global Dossier' header. A navigation bar contains 'Home', 'Public Pair', and 'Common Citation Document'. Below the navigation bar is a search area with 'Office' set to 'US', 'Type' set to 'Application', and a search box containing 'E: KIKMmmmm'. A red arrow points to a notification bell icon in the top right corner of the page content area. Below the bell icon is a message: 'The KIPO is closed for holiday Aug 15th (Services may be unavailable during holiday)'.

## Welcome to Global Dossier

### Global Dossier Initiative

The Global Dossier Initiative is a set of business services being developed by the IP5 Offices (USPTO, EPO, JPO, KIPO, and SIPO) aimed at modernizing the global patent system and delivering benefits to all stakeholders through a single portal/user interface. Global Dossier will provide a single, secure point of access for the management of dossier and examination information, enabling and encouraging streamlining of office procedures among different IP Offices. This will lead to improved efficiency and predictability of global patent family prosecution with increased cost savings provided to patent applicants.

For more information, on the please visit the [Global Dossier Initiative](#) page.

### Global Dossier Public Access

The first service being provided by the Global Dossier Initiative is a secure, online access to the file histories of related applications from participating IP Offices, which currently include the IP5 Offices.

By using this service, users can see the patent family for a specific application, containing all related applications filed at participating IP Offices, along with the dossier, classification, and citation data for these applications. This service also provides Office Action Indicators to help users identify applications that contain office actions, a Collections View for saving documents and applications for review later on in the session, and the ability to download the documents in an application.

### Service Hours

Global Dossier users will be able to view the scheduled service hours for each IP5 office, including scheduled outages due to holidays and maintenance.

To view the scheduled hours of availability, users can select the **Service Hours** link on the top right corner of the website. In addition, any current scheduled outages for one or more offices will also be displayed on top of the homepage as a reminder for the users.

Users may also verify the availability of application data from each office by selecting the **Current Service Status** link on the top right side of the website.



# Global Dossier Data Coverage

- Accessing Office to WIPO-CASE by December 2016
  - GD access to application dossiers from WIPO-CASE member Offices (e.g. IP AU, CIPO, UKIPO)
- Working with IP5 Offices to increase scope of data coverage and hours of availability

# Global Dossier Document Sharing

- Backend Document Sharing Services
  - Preliminary backend services developed
  - Documentation and code being provided by USPTO to other IP5 Offices for feedback to further refine services
- Identify next steps based on input gathered from IP5 Offices and stakeholders

# GD Usage Statistics

- Dossier Access Usage (Public Accesses)
  - 31,000 accesses per day
- International Patent Family Usage (Examiner Accesses)
  - 10,000 accesses per day

# Stakeholder Input on Global Dossier

- IdeaScale - <http://uspto-globaldossier.ideascale.com/>
  - IdeaScale is one of the ways that OIPC will be gathering stakeholder input and feedback on Global Dossier.
    - Vote and comment on the various ideas
    - Provide additional suggestions for services and features that would improve the ability to monitor and manage related cases around the world
- Focus Sessions
  - Conducted to gather input and feedback on services
- Contact the Global Dossier Team
  - [GlobalDossier@USPTO.gov](mailto:GlobalDossier@USPTO.gov)

# Global Dossier Access

Direct access link:  
<http://globaldossier.uspto.gov>

The screenshot shows the homepage of the Global Dossier website. At the top, there is a navigation bar with the USPTO logo and the text "Global Dossier". Below this is a secondary navigation bar with links for "Home", "Public Pair", "Common Citation Document", "Current Service Status", "Service Hours", "Help", "Email Us", and "About Us", "Careers", "Contact Us". A search bar is located below the navigation bar, with "US" selected for the office and "Application" for the type. The main content area features a welcome message "Welcome to Global Dossier" with a globe icon. Below this are three columns of text: "Global Dossier Initiative", "Global Dossier Public Access", and "Service Hours".

**Global Dossier Initiative**

The Global Dossier Initiative is a set of business services being developed by the IPS Offices (USPTO, EPO, IPO, KIPO, and SPC) aimed at modernizing the global patent system and delivering benefits to all stakeholders through a single point/user interface. Global Dossier will provide a single, secure point of access for the management of dossier and examination information, enabling and encouraging streamlining of office procedures among different IP Offices. This will lead to improved efficiency and predictability of global patent family prosecution with increased cost savings provided to patent applicants.

For more information, on the please visit the Global Dossier Initiative page.

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The first service being provided by the Global Dossier Initiative is a secure, online access to the file histories of related applications from participating IP Offices, which currently include the IPS Offices.

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Users may also verify the availability of application data from each office by selecting the **Current Service Status** link on the top right side of the website.

The screenshot shows the footer of the USPTO website. It features the USPTO logo and the text "UNITED STATES PATENT AND TRADEMARK OFFICE". Below this are four columns of links: "BROWSE BY TOPIC", "ABOUT THIS SITE", "USPTO BACKGROUND", and "FEDERAL GOVERNMENT".

**uspto** UNITED STATES PATENT AND TRADEMARK OFFICE

**BROWSE BY TOPIC**

- Patents
- Trademarks
- Learning & Resources
- About the USPTO
- History
- Careers

**ABOUT THIS SITE**

- Accessibility
- Privacy Policy
- Terms of Use
- Security
- Systems Status
- Site Map

**USPTO BACKGROUND**

- Federal Activity Inventory Reform Act (FAIR)
- USPTO Budget and Performance
- Freedom of Information Act
- Information Quality Guidelines

**FEDERAL GOVERNMENT**

- regulations.gov
- stopask.gov
- USA.gov
- Department of Commerce
- Strategy Targeting Organized Privacy



# Global Dossier Contacts

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# Access to Relevant Prior Art

UNITED STATES  
PATENT AND TRADEMARK OFFICE



# Project Background

- Study how the USPTO can increase examination efficiency and quality by leveraging electronic resources to retrieve information (prior art, search reports, etc.) from applicant's other applications.
- Explore whether or not automatically importing relevant prior art into the US application file at the earliest point in examination would reduce the burden of duty of disclosure for applicants.
- Consider if patent issuance can be streamlined by eliminating unnecessary information from first page of patent.

# Anticipated Benefits

- Quality and efficiency of examination is increased
- Examiner access to relevant prior art and supplemental information in a conveniently searchable manner
- Decreased applicant expense of submitting information and information disclosure statements
- Reduced burden for applicant compliance with duty to disclose information material to patentability

# User Perspectives

## Examiners

**Awareness/availability**: how do examiners know that relevant information art is available and how do they access it

**Efficiently obtained**: how does the relevant information get to the examiner in a manner and time that will increase search and examination efficiency and quality

**Value Recognition** – what supplemental information is available to assist the examiner in determining the relevance of prior art

## Applicants

**Acquiring Information**: how do applicants efficiently obtain the information necessary to meet their duty of disclosure

**Efficiently obtained**: how do applicants avoid cumbersome, costly, and time consuming efforts to monitor prosecution in related or counterpart applications so as to obtain relevant prior art

**Compliant presentation**: how do applicants efficiently submit relevant prior art and related information to the examiner in a time and manner such that it complies with regulations

# Project Phases

- Phase 1: Three track parallel information gathering
  - Track 1 – IT & Data Source Gathering
  - Track 2 – Application Studies Data Gathering
  - Track 3 – Data gathering from internal and external stakeholders
- Phase 2: Information Review
- Phase 2.5: Business Solution Development
- Phase 3: IT Development and Implementation\*



*\*based on current IT roadmap and budget*

# Project Update

- External User Initial Focus Sessions at Regional Office Locations – June 2016
- Federal Register Notice – August 29, 2016
- Roundtable – September 28, 2016
- Examiners Focus Sessions – 1<sup>st</sup> Quarter FY 17

# Prior Art Access Contacts

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**Jessica Patterson**

Program Manager, Office of International Patent Cooperation

571-272-8828

[Jessica.Patterson@USPTO.gov](mailto:Jessica.Patterson@USPTO.gov)



**Thank you!**

uspto

# eMod Patent Center

*Improving the Electronic Patent  
Application Process*

Lisa Tran, eCommerce Division  
Office of Patent Information Management  
United States Patent and Trademark Office

UNITED STATES  
PATENT AND TRADEMARK OFFICE



# Agenda

- **eMod Overview**
  - Updates to EFS-Web (Electronic Filing System) and PAIR (Patent Application Information Retrieval) Systems
- **Patent Center and Impacts**
- **eMod Phases**
  - eMod Text Pilot Program
  - eMod Patent Center Beta Program
  - Authentication Update
- **Public Involvement**

# eMod: eCommerce Modernization

The **eMod Project** improves the electronic patent application process by modernizing USPTO's application filing and viewing systems

## UPDATES to EFS-Web and Private PAIR

### Completed Features

- Ability to accept structured text (eMod Text Pilot Program)
- Ability to deliver structured text (eMod Text Pilot Program)
- Ability to download XML (eMod Text Pilot Program)
- Link to Global Dossier (also available for public PAIR)

### Upcoming Features

- Interim authentication solution

# Patent Center

- New, unified system to replace EFS-Web and PAIR
  - Features single interface for filing and managing patent applications
  - Integrates recent technology for enhanced system operations and increased functionality
  - Implements new permanent authentication method
- Benefits/Impacts
  - Updated infrastructure to enable more efficient system integration
  - Increased functionality and overall system usefulness
  - Enhanced user experience through improved interface
  - Improved processes for patent submission, review, and management
  - Revamped authentication process to address current Java compatibility
  - Increased accuracy of application processing and publication

# eMod Phase 1: Summer 2016

- **eMod Text Pilot Program**
  - Initial kick-off on August 15, 2016 to first few Customer Numbers registered to join the eMod Text Pilot Program
  - Will expand to additional participants starting in September 2016
  - Through EFS-Web and Private PAIR
  - Accept and deliver initial patent application submissions in .docx format
  - Incorporate updates based on user feedback

# eMod Text Pilot Program

## Guidelines



**United States Patent and Trademark Office**

**EFS-Web and PAIR  
eMod Text Pilot Program Participant Guidelines  
Starting July 2016**

**Participant Guidelines:**

The guidelines below express the understanding between eMod (eCommerce Modernization) Text Pilot Program participants and the USPTO regarding the activities related to the testing of the new features that will be incorporated into the new patent electronic filing and management system in development, which will henceforth be referred to as Patent Center. During the eMod Text Pilot Program, the existing electronic patent application filing and viewing tools, EFS-Web and Private PAIR, will be leveraged to learn about the text usage to include into Patent Center. The goal of the eMod Text Pilot Program is to have applicants utilize new features to patent applications (specifically specification, claims and abstract) for new applications. eMod Text Pilot participants will be able to receive text from Private PAIR, green screen in the eMod Text Pilot Program, and to file and view patent applications. Participants may be able to file and view patent applications.

## Registration



uspto UNITED STATES PATENT AND TRADEMARK OFFICE Participation Request Information

\* 2. Are you participating as a registered practitioner or independent inventor?

Registered Practitioner  
 Independent Inventor

\* 3. Please list the Customer Numbers you would like to register for the eMod Text Pilot Program in order of priority?

You may list up to five Customer Numbers, however only the first Customer Number below will be added to the program initially. If there are available slots, additional Customer Numbers may be added into the program.

1st Customer Number:   
2nd Customer Number:   
3rd Customer Number:   
4th Customer Number:   
5th Customer Number:

\* 4. Requester Name (Registered Practitioner or Independent Inventor)



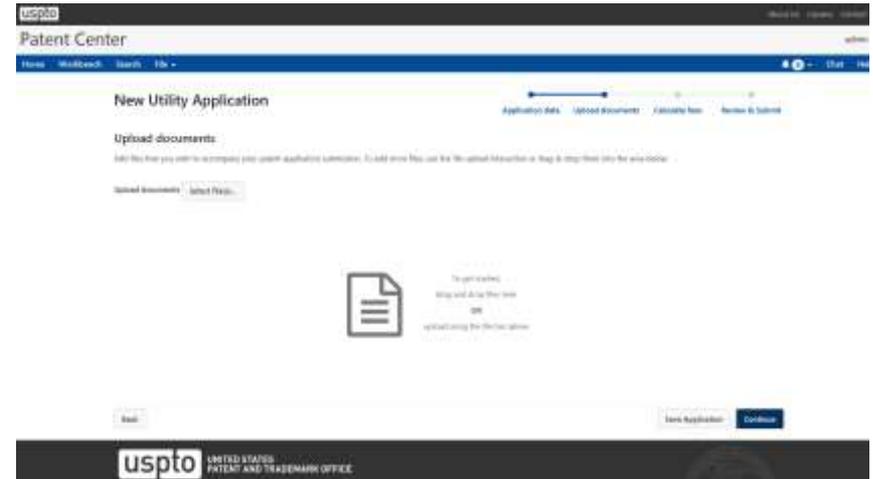
# eMod Phase 2

## New Interim Authentication Solution – Fall 2016

- An additional option for applicants, however the current/old method will still be available
- Ensures EFS-Web and Private PAIR accessibility without interruption
- Temporary until permanent solution is in place with Patent Center
- Will address the current inability to authenticate using Chrome
- Bypasses the current Java applet dependency/issue
- Will include Digital Certificate Management functionality
- Additional information will be provided:
  - Patents Alert
  - eMod website
  - EFS-Web/PAIR website

# eMod Phase 2 (Continued)

- Patent Center Beta Program – Early 2017
  - Testing of Patent Center while in development
  - With a small group of applicants, with priority given to active participants in the eMod Text Pilot Program
  - Unified user interface
  - Key functionalities from EFS-Web and PAIR
  - Updates based on eMod Text Pilot Program



# Subsequent Phases

- **Testing/Deployment of Patent Center**
  - Will be available to the public for filing and managing patent applications
  - Enhancements based on feedback gathered from testing programs
  - Functionality from EFS-Web and PAIR
  - New permanent authentication method

# Authentication Method Poll

- Soft Tokens (Mobile App)
- Verification Card (Example on Next Slide)
- SMS (Text Message)
- Email One-Time Password

# Sample Verification Card

Authentication Step 1:  
Username & Password



Username: \_\_\_\_\_  
Password: \_\_\_\_\_  
SUBMIT



Authentication Step 2:  
System challenges user  
to reply with verification  
card cell values

Reply with the contents of the following cells:

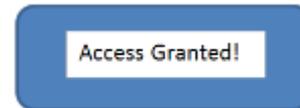
B4 D055 D2 \_\_\_\_\_ A9 \_\_\_\_\_ E10 \_\_\_\_\_

User Actions:  
Read Value from Requested  
Row and Column and...

Insert values into  
proper challenge  
slot

Verification Card						
COLUMN						
	A	B	C	D	E	
1	7A42	03G4	E181	935B	030G	
2	C650	28A7	011D	4F34	1D86	
3	009F	2D77	A913	58C2	E941	
4	77B7	D055	20E5	821F	6G38	
5	B513	2F45	5D94	73A0	360B	
6	8F97	4D93	166C	4F47	A650	
7	20E8	89A6	5F47	A994	5B93	
8	D801	G853	894B	662A	964D	
9	364G	818C	17C4	A089	37A1	
10	A590	21A0	649E	1G48	3E11	

Authentication Step 3:  
System verifies replies  
are correct and grants  
access



Access Granted!



# eMod Ongoing Efforts

1. USPTO is committed to working with our stakeholders to assure that we understand your business needs
2. Conduct outreach to inform and seek user feedback
3. Continuously look to further streamline the process

# eMod Website

<http://www.uspto.gov/patent/emod>



## eMod: eCommerce Modernization

eMod is an exciting project to improve the electronic patent application process by modernizing its filing and viewing systems.

### Patent Center

Patent Center is the new tool in development, which features a unified interface, with all of the capabilities from today's tools in a single place, and so much more. Patent Center will replace the Electronic Filing System - Web (EFS-Web), the current web-based patent application and document submission tool, and the Patent Application Information Retrieval (PAIR) system, the current web-based solution to retrieve and download information regarding patent application status.

#### Benefits

- Updated infrastructure to enable more efficient system integration
- Increased functionality and overall system usefulness
- Enhanced user experience through improved interface
- Improved processes for patent submission, review, and management
- Revamped authentication process
- Increased accuracy of application processing and publication

### Additional Information

#### eMod Features

Information about recent and upcoming eMod features based upon feedback received.

#### eMod Programs

Information about the eMod Test Pilot Program and eMod Patent Center Beta Program.

#### eMod IdeaScale

Information about how to provide input and collaborate on the eMod Project via IdeaScale.

#### eMod Events

Information about eMod events, including focus sessions, info sessions, user sessions, and more.

### Contact Information

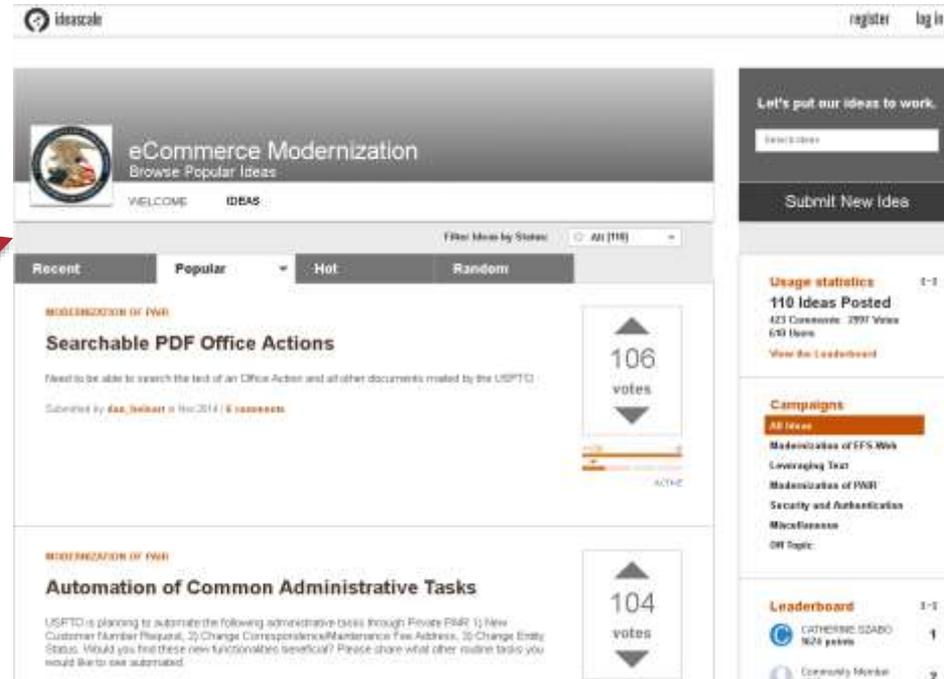
For questions or comments regarding the eMod initiative or the eMod IdeaScale website, please contact [eMod@uspto.gov](mailto:eMod@uspto.gov).

For questions or technical issues regarding how to use the current tools, EFS-Web and PAIR, please contact the Patent Electronic Business Center at [ebc@uspto.gov](mailto:ebc@uspto.gov) or 866-217-8197, Mon. - Fri., 6 a.m. - 12 a.m. ET.



# eMod Public Involvement

- Get Updates:
  - Information Sessions
  - Website
- Provide Feedback:
  - Focus Sessions
  - User Sessions
  - IdeaScale ([http://uspto-  
emod.ideascale.com](http://uspto-<br/>emod.ideascale.com))
- Help Us:
  - Sign Up for eMod Text Pilot Program
- Contact us:
  - [eMod@uspto.gov](mailto:eMod@uspto.gov)



The screenshot displays the IdeaScale website interface for eMod public involvement. The header includes the IdeaScale logo, a search bar, and links for 'register' and 'log in'. The main content area is titled 'eCommerce Modernization' and 'Browse Popular Ideas'. It features a navigation bar with 'Recent', 'Popular', 'Hot', and 'Random' tabs. A red arrow points from the 'Provide Feedback' section of the text to the 'IdeaScale' link in the list. The main content area shows two ideas: 'Searchable PDF Office Actions' with 106 votes and 'Automation of Common Administrative Tasks' with 104 votes. The right sidebar contains sections for 'Usage statistics' (110 Ideas Posted, 423 Comments, 2997 Votes, 670 Users), 'Campaigns' (All Ideas, Modernization of EFS Web, Leveraging Text, Modernization of FWH, Security and Authentication, MycraAccess, Off Topic), and a 'Leaderboard' (Catherine Osado, 3624 points, 1 point, Community Member, 2 points).

# Question/Answer Feedback Session





## ***Your Opinion Matters!***

**Please take a moment to evaluate this session.**

**Thank you!!**

*Your connection*  
to knowledge, resources and networking

