USPTO New Initiatives: Global Dossier & Patent Center

Presented by
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Global Dossier Initiative

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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.

- **Develop office processes to assist in global work sharing**
- **Increase efficiency of applicant processes to improve global work sharing**
- **Resolve legal issues hindering global work sharing**
- **Provide IT solutions to enhance global work sharing**
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)
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 is a set of business services modernizing the global patent system and delivering benefits to all stakeholders.
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 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 offices, 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.
Global Dossier
First Release Demo
Global Dossier Family List
Global Dossier Family List

Download list of patent family members

Publication Link
Global Dossier Quick View
Global Dossier Collections

Add Application to Collections
Global Dossier History

History of viewed applications:

Application
- US 13555455
- EP 09811971

Publication
- US 20070155322
Global Dossier - Dossier View
Global Dossier Classification Data

- B29K 26/0846: ... (for moving elongated workpieces longitudinally, e.g., wire or strip material)
- B29K 26/0853: ... (Devices involving movement of the workpiece in at least in two axial directions, e.g., in a plane)
- B29K 26/0861: ... (in at least in three axial directions)
Global Dossier Citations

Classification Data

Citation Data

View Full Patent Family
View Application Dossier
View Publication
Global Dossier Availability

- JPO OPD Dossier Access Services are down for scheduled maintenance.
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
Document Filtering

Filter the documents by type in the All Documents tab.
Improved Office Availability Alerts
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 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
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Access to Relevant Prior Art
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 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 – 1st Quarter FY 17
Prior Art Access Contacts

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Thank you!
eMod Patent Center
Improving the Electronic Patent Application Process

Lisa Tran, eCommerce Division
Office of Patent Information Management
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.

### 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

Registration
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
Authentication Step 1: Username & Password

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

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 Public Involvement

• Get Updates:
  – Information Sessions
  – Website

• Provide Feedback:
  – Focus Sessions
  – User Sessions
  – IdeaScale (http://uspto- emod.ideascale.com)

• Help Us:
  – Sign Up for eMod Text Pilot Program

• Contact us:
  – eMod@uspto.gov
Question/Answer Feedback Session
Your Opinion Matters!

Please take a moment to evaluate this session.

Thank you!!

Your connection to knowledge, resources and networking

Association of Legal Administrators