UNITED STATES
PATENT AND TRADEMARK OFFICE



# **USPTO Inventor Info Chat Series: EFS-Web/PAIR/Patent Center**

Patent Electronic Application Filing and Management Systems

Office of Innovation Development Lisa Tran & Richard Fernandez Robert Hodge May 18, 2017



### Office of Innovation Development

- In Person Assistance (by appointment) for Pro Se Applicants
- Assistance Hotline 1-866-767-3848
- Patent Email Support <u>innovationdevelopment@uspto.gov</u>
- PTRC Partnership for Patent Education Courses
  - Virtual Assistance Pilot Program
- Inventor Outreach
  - Independent Inventor Conferences
  - Education for Inventor Organizations
- http://www.uspto.gov/inventors



### **Overview**

- Filing Patent Applications Online
  - EFS-Web: Electronic Filing System
- Managing Patent Applications Online
  - PAIR: Patent Application Information Retrieval
- EFS-Web and PAIR Tutorial
- Assistance Resources
- Upgrading the USPTO Patents Online Tools
  - eMod: eCommerce Modernization Project

Send your questions to: <a href="mailto:inventorinfochat@uspto.gov">inventorinfochat@uspto.gov</a>



### **EFS-Web Overview**

- USPTO's Web-based electronic filing system (EFS-Web) for patent application submissions
- Available anytime, anywhere with minimal software requirements (e.g., standard Web browser, Internet connection)
- Launched on March 18, 2006
- Immediately routes documents to USPTO internal systems and provides instant electronic Acknowledgement Receipt to user

# **Electronic Filing Benefits**

- Generates Acknowledgement Receipt to show that the USPTO has received the submission
- Reduces manual processing
- Minimizes paper waste
- Automatically feeds information into internal systems
  - Sends notifications to appropriate processing teams (reduce errors in processing, such as lost files)
- Processes faster by avoiding wait times associated with conventional mailing
- Allows for saving submission package to complete, review, or submit at a later time



### **Security Features and Digital Certificates**

- All transactions are secure and encrypted
- Digital Certificate (or PKI, Public Key Infrastructure, Certificate)

Provides additional security

Enhanced 2-step authentication

Grants access to secured features in EFS-Web and Private PAIR



# Digital (PKI) Certificate

Patent attorneys/agents and pro se filers may apply by the following process:



**Digital Certificate Management**: site to manage your digital certificate contact information, create a set of recovery codes and to perform self-recovery of damaged or lost digital certificates online

### **Customer Number**

- Allows you to easily correlate all your filings and correspondence with a single mailing address, eliminating typographical errors or variations in addresses that can make it difficult to correspond with the USPTO
- To get your unique Customer Number:
  - PAIR Administration option via Private PAIR
  - OR Complete Customer Number Request form and fax it to the EBC at 571-273-0177
- To associate existing patent applications to a Customer Number:
  - PAIR Administration (Attorneys or Agents with Registration Numbers only)
  - OR Complete Change of Correspondence Address Form SB/122 (single application) and fax to 571-273-8300, or mail to:

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

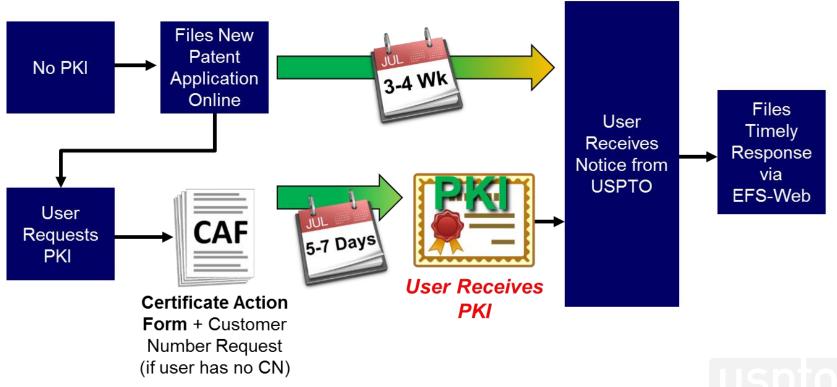
 OR Complete Customer Number Upload Spreadsheet SB/125 (multiple applications) and mail the CD or USB memory stick to:

Mail Stop EBC Customer Number Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-145011



### **Digital Certificate Request Process**

(Post Initial Filing)



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# Registered eFiler

- Has both an assigned Customer Number and Digital Certificate for secure access to application documents both during and after the filing of a patent application
  - Provides ability to authenticate sessions by requiring positive identification of a customer using Public Key Infrastructure technologies
- Can save "in-progress" submissions and return to edit them prior to completing filing
  - Provides added protection against loss of data in the event of a localized internet or office equipment failure or in the event of an unplanned system outage during an online filing session
- Can electronically process subsequent actions on electronically filed cases without delay
- Can review their confidential Private PAIR records for most of their electronically filed cases

### Registered vs Unregistered EFS-Web

- EFS-Web Unregistered
  - (Without Digital Certificate)

EFS Unregistered						
Unregistered eFilers	Registered eFilers 🔽	Please Read Announcements				
Welcome to	o Electron	ic Patent Fil	ing for UNR	EGISTERED	eFILERS	
A submission has not been filed officially at the USPTO until the e-filer execal items denoted by * are required.						
Maintenance Advisory: Firefox released Firefox 52 on March 7, 2017. This iteratio more information see the <a href="EFS-Web Announcements page">EFS-Web Announcements page</a> .						
				g EFS-Web. For earance and PRA		
Sign-on as an UNREGISTERED eFILER						
* e-Filer Last I	Name:					
* e-Filer First	Name:					
* e-Filer E-Ma	il Address:					

- EFS-Web Registered
- (With Digital Certificate and Customer Number)

EFS Registered					
Registered, eFilers	Please Read Announcements				
Certification	on				
received at		en filed officially at the US astern Time. The Acknowle uired.			
Effective Sep	otember 2015	15): Web 85b option now a 6, due to Chrome discontinuing FS-Web or Private PAIR, For			
ePetitions, th	nird party subr	the <u>Legal Framework for usir</u> missions under 37 CFR 1.290 1.501, and issue fee transmit			

### Unregistered vs Registered eFiling

### Unregistered eFiler

Basic initial filing of new patent applications, third party submissions, and auto-processed petitions (age & maintenance fee)

Submission must be completed in one session

### Registered eFiler

Enhanced filing, follow-on processing, and other submission types available (such as ePetitions)

Access to secured features, such as Saved Submission Packages and Acknowledgement Receipts

Access to pending application in Private PAIR (Digital certificate and Customer Number)

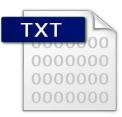
## **Accepted Document Formats**



**PDF Files**General Documents



PCT-SAFE Zip Files
Generated zip files produced by
the PCT-SAFE software



**Text Files**Bio-Sequence Listings,
Computer Code, Etc.



JPEG Files
Hague Reproductions
(Drawings)

Email questions to: inventorinfochat@uspto.gov

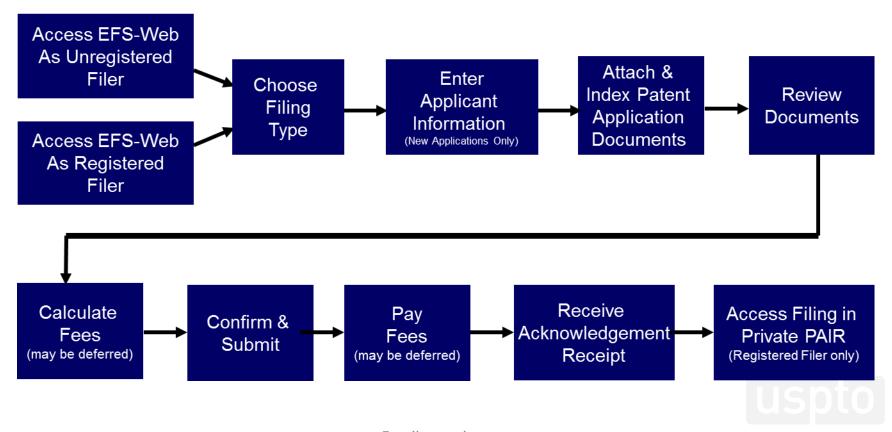


**DOCX Files** 

Initial Applications
(Specification, Claims, Abstract)
Limited to eMod Text Pilot
Program until Summer 2017



# **Electronic Filing Process**



# Where does it go next?

**EFS-Web** 

Formalities Review Classification and Assignment

Examination

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### **PAIR: Patent Application Information Retrieval**

- Public PAIR: Public applications, published applications and issued patents
- Private PAIR: Pending applications, published applications, and issued patents, PAIR Administration
  - A Digital Certificate is required to access unpublished applications
  - To access unpublished applications:
    - Correspondence Address of the application needs to be associated to the Customer Number
    - Customer Number needs to be linked to the Digital Certificate of the PAIR user

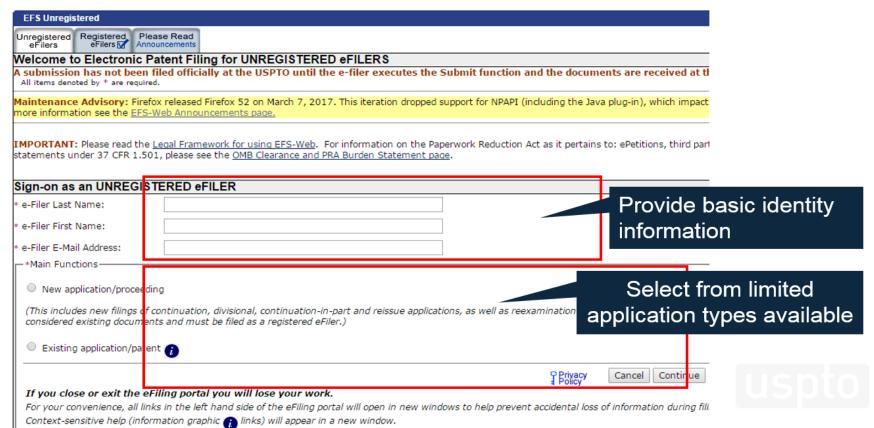


# **EFS-Web and PAIR Tutorial**

Electronic Patent Application Filing and Viewing Systems



# **EFS-Web Unregistered**



# **Accessing EFS-Web Registered**

uspto.gov

Authenticate User

The United States Patent and Trademark Office an agency of the Department of Commerce

Portal Home | Patents | Trademarks | Other

Select User Authentication Method

Authenticate with Java Applet (old method) Authenticate with Java Web Start (new method)

Which Authentication Method to Choose?

Authenticate with Java Applet method is the original authentication method for the system. This method requires Java Runtime Environment (JRE) installed on the system, and Java Applet Plugin installed into the browser. The Java Applet Plugin has to be configured to use the installed JRE. Many newer versions of major browsers may not support Java Applet Plugin.

Authenticate with Java Web Start requires Java Runtime Environment (JRE) installed on the system, with Web Start launcher (lavaws) configured to process downloaded JNLP files, either by file extension or by file content type. These configuration steps are performed by standard JRE installation process, Java Applet Plugin is NOT required.

For additional information regarding these authentication methods, please visit EFS-Web/PAIR System Requirements

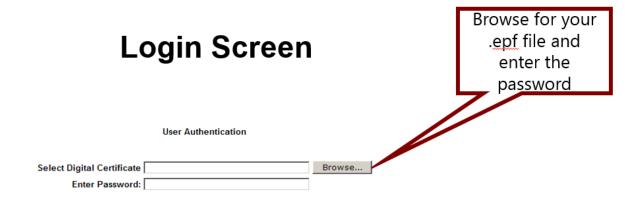
If you need help

- Call the Patent Electronic Business Center at (866) 217-9197 (toll free) or e-mail EBC@uspto.gov for specific questions about Patent e-Filing.
- Send general questions about USPTO programs to the <u>USPTO Contact Center (UCC)</u>
- If you experience technical difficulties or problems with this application, please report them via e-mail to <u>Electronic Business Support</u> or call 1 800-786-9199.



- Privacy Policy
- Terms of Use
- Emergencies/Security Alerts
- » Information Quality Guidelines
- » Federal Activities Inventory Reform (FAIR) Act
- » Notification and Federal
- Employee Antidiscrimination and Retaliation (NoFEAR) Act
- » Budget & Performance
- » Freedom of Information Act
- » Department of Commerce NoFEAR Act Report
- » Regulations.gov
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### **Accessing EFS-Web Registered (Old Method)**



□ I understand that technology and/or software included in patent applications may be subject to U.S. dual-use export controls, which are set out in the Export Administration Regulations (15 C.F.R. parts 730-774). Access to such technology and/or software by any person located outside the United States or by a foreign national inside the United States constitutes an export that may require a license from the U.S. Commerce Department's Bureau of Industry and Security (BIS). I affirm that I am not accessing or permitting access by others to technology or software in a manner that would violate or circumvent the Export Administration Regulations.

Information regarding U.S. dual-use export controls and their application to technology and software included in patent applications is available from BIS. Please see BIS's website, available at www.bis.doc.gov, or contact BIS's Office of Export Services at 202-482-4811.

Authenticate	Reset
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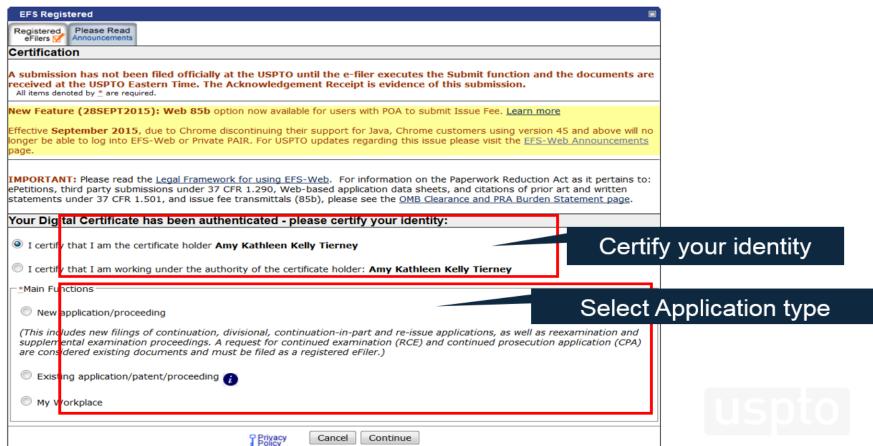
\* NOTE: DIGITAL CERTIFICATES provided by USPTO have a file name that ends in ".epf".



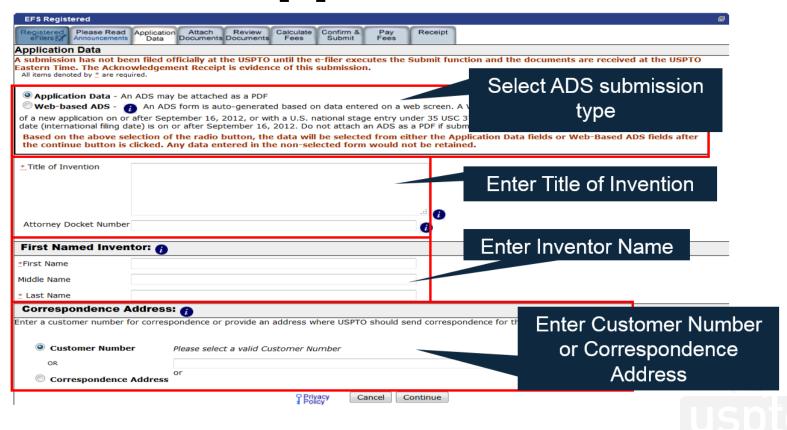
### **Accessing EFS-Web Registered (New Method)**



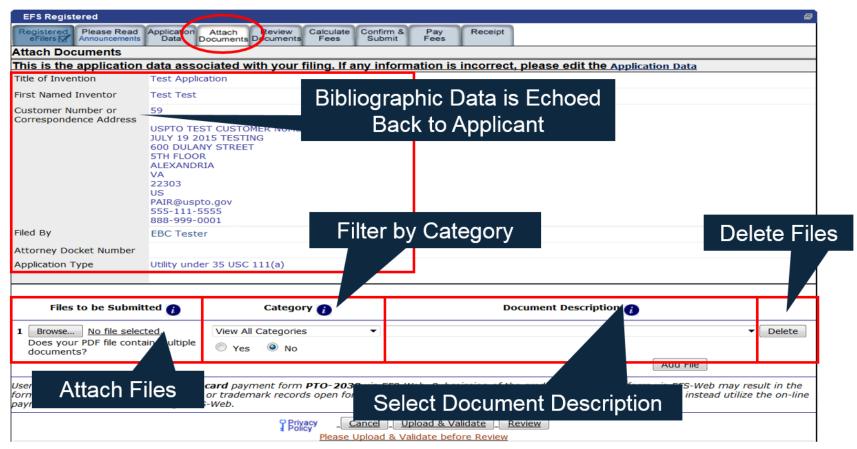
### **EFS-Web Registered**



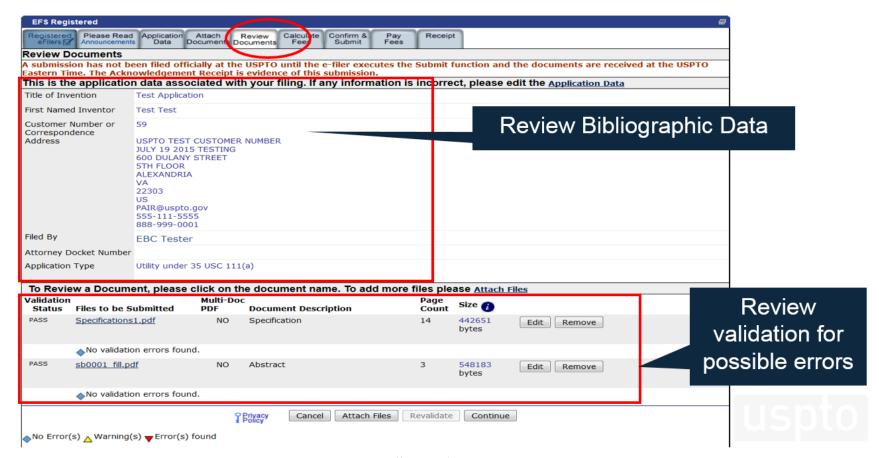
# **EFS-Web: Application Data**



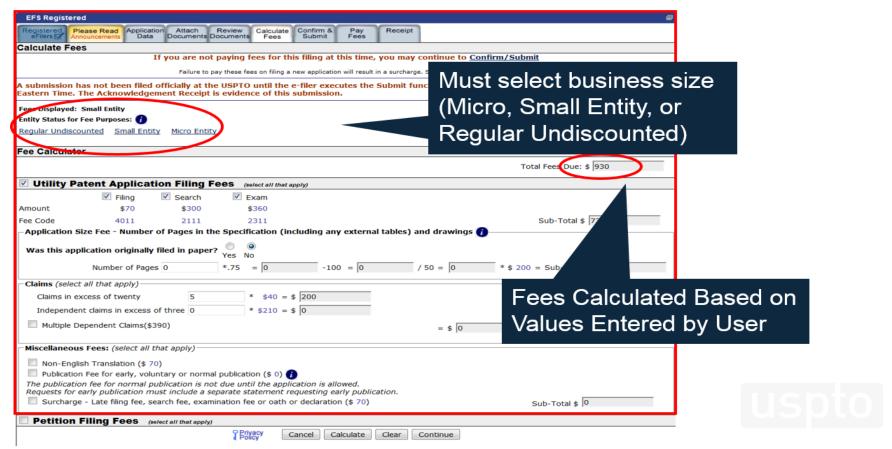
### **EFS-Web: Attach Documents**



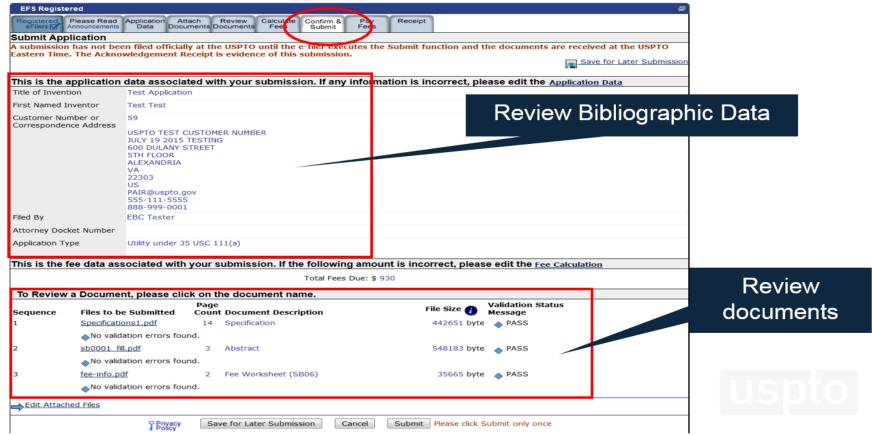
### **EFS-Web: Review Documents**



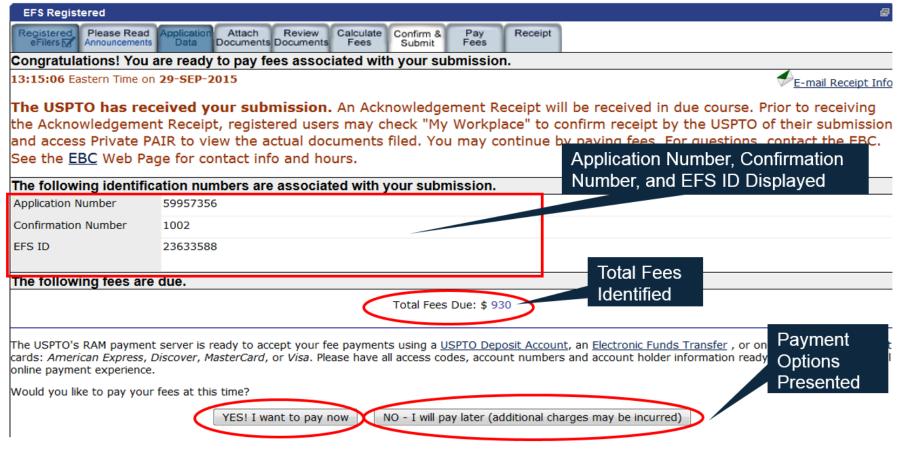
### **EFS-Web: Calculate Fees**



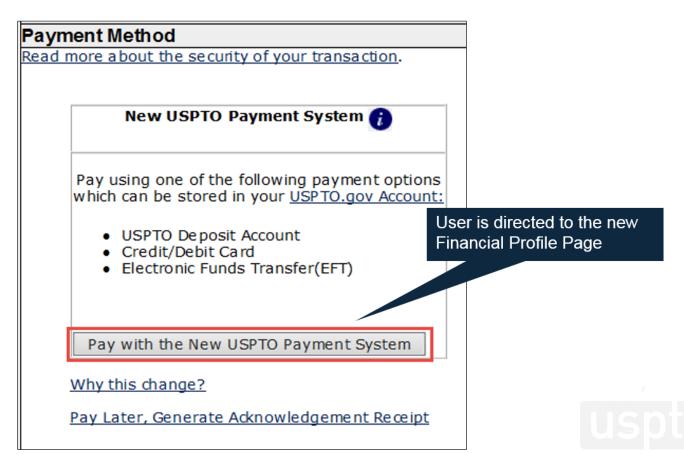
### **EFS-Web: Confirm Documents**



### **EFS-Web: Pre-Acknowledgment Receipt**



### **Financial Manager: Payment Options**



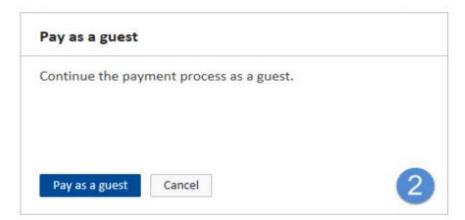
# Financial Manager: Sign-In

You can either sign in with a MyUSPTO account or pay as a guest (paying as a guest limits options to payment by credit/debit card only)

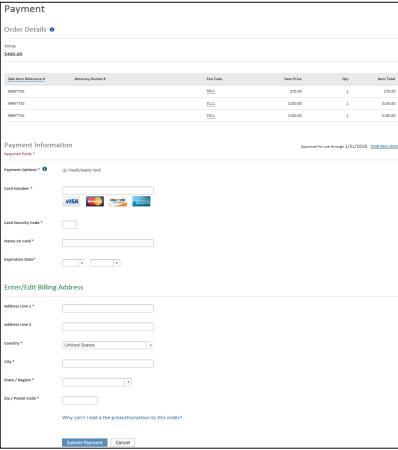
#### Sign in for Payment

If you are already a USPTO Financial Manager user, you can sign in using your uspto.gov username and password below to pay with your stored payment methods. If you're not a Financial Manager user, you can still checkout as a guest by clicking the Pay as a guest button below.





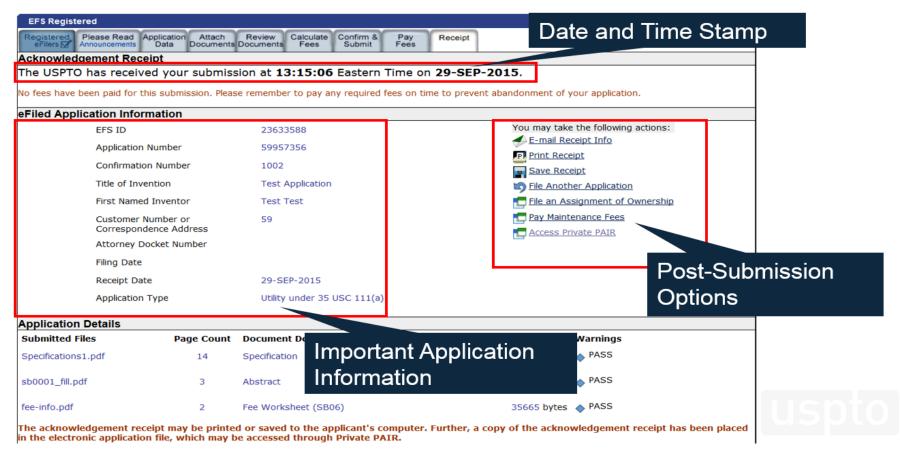
# Financial Manager: Pay Fees





Email questions to: inventorinfochat@uspto.gov

### **EFS-Web: Acknowledgment Receipt**

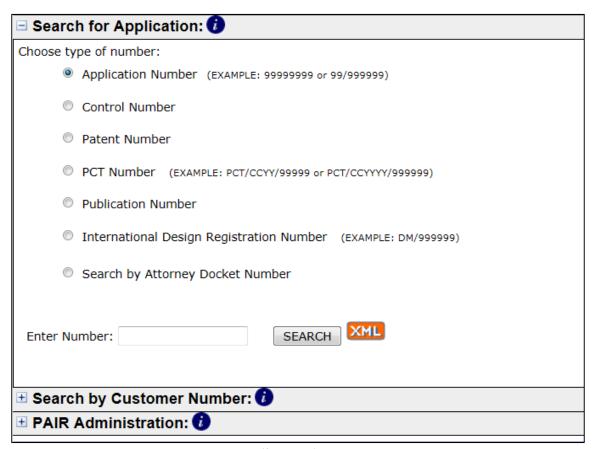


### **Private PAIR Access**

User Authentication - Private PAIR							
Select Digital Certificate		Browse					
Enter Password:							
I understand that technology and/or software included in patent applications may be subject to U.S. dual-use export controls, which are set out in the Export Administration Regulations (15 C.F.R. parts 730-774). Access to such technology and/or software by any person located outside the United States or by a foreign national inside the United States constitutes an export that may require a license from the U.S. Commerce Department's Bureau of Industry and Security (BIS). I affirm that I am not accessing or permitting access by others to technology or software in a manner that would violate or circumvent the Export Administration Regulations.  Information regarding U.S. dual-use export controls and their application to technology and software included in patent applications is available from BIS. Please see BIS's website, available at www.bis.doc.gov, or contact BIS's Office of Export Services at 202-482-4811.							
	Authenticate Reset						
* NOTE : DIGITAL CERTIFICATES provided by USPTO have a file name that ends in ".epf".							



### **Private PAIR Access**





### **Accessing Information Within PAIR**

- Application Data is the default data display
- Select a "tab" to access other data
- Private PAIR will display same tabs in addition to others



### **Additional Information**

### Filing Online:

 http://www.uspto.gov/patents-applicationprocess/file-online

### Application Status:

 http://www.uspto.gov/patents-applicationprocess/check-filing-status-your-patentapplication



### **Patent Electronic Business Center (EBC)**

#### **Contact Info**

**Hours**: Monday – Friday, 6:00 AM – 12:00 Midnight (ET), except federal holidays

#### **Telephone Numbers:**

- Toll-Free: 866-217-9197
- Local: 571-272-4100

Email: ebc@uspto.gov

- Offers in-depth technical support to external users of the USPTO's Patent e-Commerce systems
- Submitting your Patent Application via EFS-Web
- Viewing Application information in Public and Private PAIR
- Searching for Patents in AppFT and PatFT
- Digital Certificate and Customer Number Issues and Assistance
- Java and Web Browser Problems
- Technical Problems or Errors with your Patent Application
- PDX/DAS Registration Inquires and Issues
- Technical Problems with Biotech Tools such as PatentIn and Checker

# **Upcoming OID Events**

- Upcoming Inventor Info Chat Webinars
  - Trademark Basics 6-15-17
  - Copyright Basics 7-20-17
- USPTO Invention Con (Independent Inventor Conference) at Alexandria Headquarters August 11-12, 2017
  - Conference will include seminars, panels and breakout sessions related to patents and trademarks

For more information or to register for any of the above events contact us at <a href="mailto:oidevents@uspto.gov">oidevents@uspto.gov</a>

https://www.uspto.gov/patents-application-process/inventor-info-chat





# Thank You!

To inquire about OID services please contact us at: <a href="mailto:InnovationDevelopment@uspto.gov">InnovationDevelopment@uspto.gov</a>

1.866.767.3848

Presented By:
Lisa Tran & Richard Fernandez
Robert Hodge

Email qu
inventorinfoc



### **Inventors Assistance Center (IAC)**

- Inventors Assistance Center (IAC) provides patent information and services to the public. The IAC is staffed by former Supervisory Patent Examiners and experienced Primary Examiners who answer general questions concerning patent examining policy and procedure.
- What IAC can do for you
  - Answer general questions regarding patent examining policy.
  - Direct your call to appropriate USPTO personnel, as necessary.
  - Assist you with filling out forms.
  - Provide you with general information concerning rules, procedures, and fees.
  - Send you patenting information via mail or facsimile.
- What IAC cannot do for you
  - Cannot answer questions concerning a particular patent application.
  - Cannot give an opinion as to whether an invention is patentable.
  - Cannot provide legal advice.

#### **Contact Info**

**Hours:** Monday – Friday, 8:30 AM – 8:00 PM (ET), except federal holidays

#### **Telephone Numbers**

- 800-PTO-9199 (800-786-9199)
- 571-272-1000

TTY customers can dial 571-272-9950 for customer assistance



# Application Assistance Unit (AAU)/ America Invents Act (AIA) Contact Center

#### Application Assistance Unit (AAU)

 Check the status of Power of Attorney, change of address, provisional application status, and express abandonment. Help with filing receipt questions, change/withdrawal of attorney, notice of abandonment for patent, notice of missing parts letter, lost grants or soft copies, certification of correction, filing a patent to the file repository, listing a patent for sale in official gazette, processing of Certificates of Corrections, or to speak to an AAU representative.

#### America Invents Act (AIA) Contact Center

For questions regarding the America Invents Act, including the new legal provisions and rules in effect as of September 16, 2012: inventors oath or declaration, supplemental examination, preissuance submission, citation of patent owner claim scope statement, post grant review, interpartes review, and transitional program for covered business methods.

#### **Contact Info**

**Hours:** Monday – Friday, 8:30 AM – 5:00 PM (ET), except federal holidays

#### **Telephone Numbers:**

- 888-786-0101 (toll-free)
- 571-272-4000 (local)



### eMod: eCommerce Modernization

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

#### Get Updates:

- Information Sessions
- Website (<u>www.uspto.gov/patent/emod</u>)

#### Provide Feedback:

- Focus Sessions
- User Sessions
- IdeaScale (<a href="http://uspto-emod.ideascale.com">http://uspto-emod.ideascale.com</a>)

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