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# Patent Public Advisory Committee Quarterly Meeting

# IT Update

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# Major PE2E Examination Products

| Effort | Description | Key Milestones |
|---|---|---|
| **Docket & Application Viewer (DAV)*** in Examination Tools & Infrastructure (ET&I) project (replaces eDan) | Case management tool: docket with multiple views; planner to prioritize work; document, claims, application management; IDS viewer, electronic notes | **Full feature parity with eDan achieved May 2016** Continuing quarterly enhancement releases eDan retired in Dec 2016 BC/DR improvements released in Jan 2017 Initial activities achieved acceptable performance on Count Mondays for 5 months **Released in production additional MADRAS functionality in May 2017** **Next steps:** Monitor DAV on Count Mondays; Quarterly releases to attain MADRAS parity FY 18 Q1 |
| **Official Correspondence** (Office Actions/replaces OACS) | Authoring & workflow solution; integrates with DAV by leveraging notes, references, & dispositions | Limited audience release Nov 2015 Pilot released Feb 2016; additional features released July 2016 Pilot released to larger audience Oct 2016 **Production release to pilot audience completed Dec 2016** **Production bug fixes/performance improvements completed in Jan-Jul 2017** **Training completed in Apr-May 2017 for OPESS/TC 2900 (~200 users)** **Training commenced in Jul 2017 for TC 1600/TC 3600 (~2,000 users)** **Next steps:** FY 17 Q4 production bug fixes; continue examiner training and rollout to Patent Corps |
| **Examiner Search** (replaces EAST) | Modern, scalable enterprise search for Patent Examiners | Limited audience release Nov 2015 Pilot released Apr 2016; pilot audience expanded Jul 2016 Pilot release Oct 2016 with additional features **Pilot release completed Dec 2016** **Production bug fixes and performance enhancements deployed in Jan-Jul 2017; deployed to approximately fifteen Examiners on compensated time** **Next steps:** FY 17 Q4 production bug fixes (**delayed from December 2016**) |
| **Cooperative Patent Classification (CPC)** | Harmonization & modernization of classification jointly managed between USPTO & EPO. Facilitates collaborative maintenance of classification system | Released Jan 2013 Presented USPC/CPC crosswalk data for examiners Apr 2016 **Released enhancements Jul 2016, Oct 2016, Jan 2017, May 2017 and July 2017** **Next steps:** Quarterly releases in cooperation with international partners |

# Official Correspondence Training Schedule

**Status:** OPESS staff have received training; all examiner and Manager pilot users have received training; and training by Technology Center is in progress

**Recent Milestones**

- Apr – May 2017: Trained OPESS staff; pilot Patent examiners; managers on User Centered Design Council; and TC 2900 (~200 users)

- Jul 2017: Training commenced for TC 1600/TC 3600 (~2,000 users)

**Next Steps**

- Aug – Dec 2017: Continue training Patent examiners by Technology Center

# Legacy System Retirement

**Recent Milestones**

- Dec 2016: Retired eDAN; replaced by Document & Application Viewer

**Next Steps**

- FY18

  - IFW & MADRAS retirement (high risk); to be replaced by Content Management System and Document & Application Viewer

  - OACS retirement; to be replaced by Official Correspondence (OC)

- FY19: OACS & EAST/WEST retirement; to be replaced by PE2E Search

- FY19: Classification Data System (CDS) retirement; to be replaced by CPC

# Enterprise IT Release: Role Based Access Control

Role-Based Access Control (RBAC) provides identity and access management for all Next-Generation USPTO systems. Users interacting with RBAC-protected systems need only one account for any USPTO access

**Status:** All external fee collection is protected by RBAC today. Patent Center will use RBAC in its scheduled July 2017 alpha production and subsequent releases. Many internal systems use or are transitioning to RBAC

**Next Steps:** Consolidate processes in which USPTO grants system access. Activate components to improve system availability across USPTO

**Identity Verifiers:** NIST is expressing concerns that when using a second factor to provide higher identity assurance, text messages (SMS) and other forms of authentication secrets (e.g., email) must be verifiably sent over a separate communications channels and devices.

- Patent Center requires higher identity assurance

- USPTO is working to identify mechanisms other than SMS or voice for identity assurance

- Primary means to meet his requirement are specialized hardware or smart phone apps, and we are evaluating system currently scheduled for late 2017

# PE2E Key Release: Patent Center

Modernize eCommerce system to directly receive text-based applications and dramatically increase automation. Replaces EFS-Web, Private & Public PAIR

**Status:** Focusing on accepting Office Open XML (e.g., docx) and converting to XML4IP to validate feasibility, quality, and system interaction; initial application type is non-provisional utility applications

**Recent Milestones**

- Feb 2017: Completed RBAC proof-of-concept (delayed from Dec 2016); increased (20 to 86) Customer Numbers in eMod Text Pilot Program for new utility non-provisional applications in .docx (specification, claims, abstract)
- Apr 2017: Deployed 24-hour re-authentication released to test environments

**Next Steps**

- July 2017: Alpha production release: utility non-provisional, provisional, design, & national stage, and follow-ons
- Sept 2017: Production release of Patent Center Text pilot in EFS-Web/Private PAIR, allowing text filing of initial application for new non-provisional utility

# PE2E Key Release: Global Dossier

**Public Access to Foreign Application Dossiers (GD-PAD)**

Provide published US application dossier documents via web services for consumption by foreign IP Offices and a public-facing USPTO website to access foreign IP Office application documents

**Status:** Solution for public documents in use; Ongoing work to share non-public documents

**Recent Milestones**

- Dec 2016: Delivered Global Dossier Document Sharing system for IP5 partners to test fully functional active component services, shared document processing capability

- Apr 2017: Begin testing Global Dossier Document Sharing with IP5 partners

- Jun 2017: Establish Back File database for DocDB; test EPO's open patent services

**Next Steps**

- Aug 2017: Deliver consolidated citation list and export functionality; deliver new portal for examiners

- Nov 2017: Deliver enhanced data model to capture and store additional information; implement patent number expansion and new information disclosure citation form

# PE2E Key Release: CPC Management Tools

Enhance USPTO-driven components of CPC, including the Classification Allocation Tool (CAT) to support CPC Reclassification projects and legacy services, and Next Gen applications - DAV and Enterprise Search Tools (EST)

**Status:** Deployed Jan 2013; refining & improving classification tools to work toward CDS retirement

**Recent Milestones**

Jan 2017: Enhanced QA Tool - editing of Classification Symbols; released prototype for synchronizing cloud-based classification database with EPO (CPC INTL)

Apr 2017: Delivered new QA Tool Reports; Created Classification Quality & International Cooperation (CQIC) auto-population and validation dashboard; delivered first prototype of cloud based CPC-INTL services

Jul 2017: Expanded QA Tools to handle combination sets; integrated PDCS in Classification Allocation Tool (CAT) for withdrawals, added ability to process publications for Publication and Grants, delivered next phase CAT enhancements to include combination sets and CPC INTL services

**Next Steps**

Oct 2017: Enhance QA Tool to handle error processing; create new reports; enhance CPC INTL services and user interfaces for CAT

FY 2018: Extend support to additional CPC member IP Offices to store their data and move CPC to a full cloud infrastructure; Complete CPC INTL service and data implementation
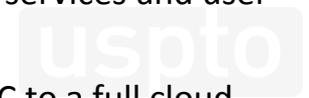
# PE2E Key Release: CPC IP Office Collaboration Tools

Collaborate with EPO to create shared, web-based collaboration tools, including message board-like environment for examiners to discuss classification issues and recommend revision projects

**Status:** Improving tools to increase automation

**Recent Milestones**

- Nov 2016: Delivered Structured Proposal Editor enhancements, definitions, and images
- Feb 2017: Delivered enhancements to Scheme Navigator, Revision Support tool set, and project coordinator dashboard views
- May 2017: Incorporated enhancements to revision and editing tool, introduced rich text editing for the advanced editor tool, and delivered enhanced views to dashboard for editorial board

**Next Steps**

- Aug 2017: Enhance dashboard to include notice of changes; implement definitions and scheme change table; deliver discussion board for comments and real-time collaboration
- Oct 2017: Deliver enhancements to notice of changes and artifact generation; deliver updates to Cross Reference List
- FY2018: Replace CPC E-Forum as CPC workflow tool with a web-based workflow system to support USPTO, EPO, and other CPC member IP offices; Continue enhancements to Advanced Editors and Dashboards.

# PE2E Key Release: Content Management System

Consolidates multiple content repositories into single, modern, highly available solution to reduce duplication & support distributed deployment to decrease downtime

**Status:** Storage solution on hold to resolve high availability and disaster recovery (HA/DR) issues; work on data migration from non-IFW systems continues

**Recent Milestones**
- Jan 2016: 70% of all IFW data available to the Patent Corps in the PE2E CMS (delay)
- Mar 2016: 99.5% of IFW data migrated to PE2E CMS (delay from Dec 2015)
- Apr 2016: Taken offline due to issues related to completing requirements for disaster recovery & high availability
- May 2017: Completed requirements & prototype for HA/DR to bring PE2E CMS back into production in FY 17

**Next Steps**
- Jul 2017: Complete performance and resilience testing on storage and storage service prototypes
- TBD: Schedule for major, post-prototype milestones and migration of data from other repositories

# Questions and Comments

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