International Update

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Global Dossier Initiative
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

![Global Dossier](image)

**Office Action Indicator**

- Click on the Office Action Indicator to view the Office Actions.

**Most Recent Documents**

- Date: 11/12/2015, Document Description: Nth Office Action (TRANSLATED)
- Date: 11/12/2015, Document Description: Nth Office Action (ORIGINAL)
- Date: 11/08/2015, Document Description: Supplementary search (ORIGINAL)

**Office Actions**

- Date: 12/22/2014, Document Description: First Office Action (TRANSLATED)
- Date: 07/17/2015, Document Description: Nth Office Action (TRANSLATED)
- Date: 05/14/2010, Document Description: Nth Office Action (TRANSLATED)
Document Filtering

Filter the documents by type in the All Documents tab
Improved Office Availability Alerts

Global Dossier Initiative
The Global Dossier Initiative is a set of business services being developed by the USPTO 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, 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 USPTO.

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 or 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 IP 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 Active Component

- 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
Access to Relevant Prior Art Project
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.
## 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*
Project Update

• External User Initial Focus Sessions at Regional Office Locations – June 2016
• Federal Register Notice – August 2016
• Roundtable – September 28, 2016
• Examiners Focus Sessions – 1st Quarter FY 17
International Working Group Meetings
• Approved proposal to allow changes to name or address of creator by filing request with WIPO
• Approved proposal to allow WIPO to charge basic fee before examination
Hague Working Group – June ’16

• Approved analysis of concept of reinstatement of rights
• Discussed use of WIPO/DAS to exchange priority documents in design applications
• Approved proposal to extend deadline for requesting supplementary international search
• Approved proposal to allow Receiving Offices to forward classification and earlier classification and/or search results to International Searching Authority
Discussions continued on

- Proposal to reduce fees for universities and publically funded research institutions
- Color drawings
- Updated sequence listing standard
- Incorporation by reference of missing parts
IP5 – WG3 - October ‘16

- PCT
- Quality
- Work Sharing
- PCT Collaborative Search and Examination Pilot
- Patent Harmonization Expert’s Panel (PHEP)
Questions and Comments

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