

**UNITED STATES
PATENT AND TRADEMARK OFFICE**

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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 BC/DR improvements released in Jan 2017 Deployed Count Mondays performance improvements in Feb-Mar 2017 Next steps: Additional performance improvements for Count Mondays Quarterly releases to attain MADRAS parity Q1 FY18 |
| Official Correspondence (Office Actions/replaces OACS) | Authoring & workflow solution; integrates with DAV by leveraging notes, references, & dispositions | Production release to pilot audience completed Dec 2016 Production bug fixes deployed in Jan-Mar 2017 Patent Corps & OPESS training started in Apr 2017; runs thru Dec 2017 Next steps: FY17 Q3-Q4 production bug fixes; support training |
| Examiner Search (replaces EAST) | Modern, scalable enterprise search for Patent Examiners | Ongoing pilot releases since Nov 2015 Pilot production release completed Dec 2016 Production bug fixes deployed in Jan-Mar 2017; deployed to approximately fifteen Examiners on compensated time Next steps: FY17 Q3-Q4 production bug fixes; examiner training; rollout to corps |
| 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 Released enhancements Oct 2016 Released enhancements Jan 2017 Next steps: Quarterly releases in cooperation with international partners |

DAV Count Monday Status

Summary: DAV ran for 18 months alongside eDAN without major issues. Following eDAN's retirement in Dec 2016, DAV suffered numerous outages from 12/7 through 2/28/17 due to high loads on the DAV database system. These high loads were due to highly complex queries running more frequently than during the 18 months that DAV ran alongside eDAN.

Status: Due to improvements to the database configuration, DAV has run for the past 2 months of consecutive count Mondays without issues.

Actions Taken: Teams for database support, performance, and programming worked to improve DAV's database configuration and increase its query processing abilities. OCIO continues to closely monitor all aspects of DAV's performance every count Monday.

Next Steps: Resolve core problems causing the outage by implementing clustered hardware solution, optimizing queries.

Official Correspondence Training Schedule

Status: OPESS staff have received training; all examiner and Manager pilot users have received training

Recent Milestones

- Apr 2017: Trained OPESS staff; trained pilot Patent examiners and Managers on User Centered Design Council

Next Steps

- May – Dec 2017: 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 receive text-based applications and increase automation. Replaces EFS-Web, Private and Public PAIR

Status: Limited pilot in EFS-Web & Private PAIR accepts initial non-provisional utility applications to validate feasibility, quality, and system interaction; integration with Role Based Access Control in progress.

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 in EFS-Web/Private PAIR to allow 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 documents 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; prototyping underway to share non-public documents

Recent Milestones

- Work ongoing to implement secure pre-publication document sharing among IP partners
- Jul 2016: Delivered Global Dossier Document Sharing Prototype for IP5 Offices to for testing
- Dec 2016: Delivered Global Dossier Document Sharing system for IP5 partners to test fully functional active component services, shared document processing capability

Next Steps

- Jun 2017: Begin testing Global Dossier Document Sharing with IP5 partners (delayed from Apr)
- Aug 2017: Establish Back File database for DocDB; test EPO's open patent services (delayed from Jun)
- Nov 2017: Implement consolidated citation list and export; update examiner services and portal (delayed from Aug)

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 and 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) dashboard; delivered first prototype of cloud based CPC-INTL services.

Next Steps

- Jul 2017: Expand Classification Allocation Tool (CAT) to include combination sets and CPC International services; expand QA coverage for combination sets
- Oct 2017: Expand QA tools to manage validation; implement services for creating, reading, updating, and deleting in CPC International

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

- Aug 2016: Enhancements for Revision Support Tools, Structured Proposal Editor, Scheme Navigator, and Dashboards
- 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

Next Steps

- May 2017: Enhance revision and editing control; enhance dashboard for editorial board
- Aug 2017: Enhance dashboard to include notice of changes; deliver discussion board for comments and real-time collaboration

PE2E Key Release: Content Management System (CMS)

Consolidates multiple content repositories into single, modern, highly available solution to reduce duplication, improve internal and external access to USPTO data, support distributed deployment to decrease downtime

Status: Work has resumed. CMS will leverage DAV content repository as the basis for building an enterprise content repository to replace IFW, SCORE document, SCORE bio-sequence, and PATI repositories.

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 and high availability

Next Steps

- May 2017: Complete requirements and prototype for HA/DR to bring PE2E CMS back into production in FY17
- TBD: Schedule for major, post-prototype milestones and migration of data from other repositories

Questions and Comments

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