EFS-Web/PAIR
Patent Electronic Application Filing and Management Systems
Lisa Tran and Amy Stevens
Office of Patent Information Management
Office of Innovation Development

- In-person assistance (by appointment) for pro se applicants
- Assistance hotline 1-866-767-3848
- Patent email support innovationdevelopment@uspto.gov
- PTRC Partnership for Patent Education courses
  - Virtual Assistance Pilot Program
- Inventor outreach
  - Independent inventor conferences
  - Education for inventor organization
- http://www.uspto.gov/inventors

Email any questions during the information chat to inventorinfochat@uspto.gov
Agenda

• EFS-Web: Electronic Filing System for Patents
• PAIR: Patent Application Information Retrieval
• Getting started
• Authentication changes
• EFS-Web and PAIR tutorial
• Assistance resources
• Patent Center
EFS-Web overview

- USPTO’s Web-based electronic filing system (EFS-Web) for patent application submissions
- Immediately routes documents to USPTO internal systems
- Generates Acknowledgement Receipt to show that the USPTO has received the submission
- Reduces manual processing and minimizes paper waste
- Processes faster by avoiding wait times associated with conventional mailing
- Allows for saving submission package to complete, review, or submit at a later time
PAIR: Patent Application Information Retrieval overview

• **Public PAIR**: Public applications, published applications and issued patents

• **Private PAIR**: Applications (published and unpublished) and issued patents, which are associated with the Customer Number, PAIR Administration
  
  – A verified USPTO.gov account is required to use Private PAIR
  
  – To access applications in Private PAIR:
    
    • Correspondence Address of the application needs to be associated to the Customer Number
    
    • Customer Number needs to be linked to the USPTO.gov account of the PAIR user
Getting started – Obtain a Customer Number

- A Customer Number (CN):
  - Allows easy correlation of filings and correspondence with a single mailing address
  - Eliminates typographical errors or variations in addresses

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

www.uspto.gov/patents-application-process/applying-online/getting-started-new-users
Getting started – USPTO.gov Accounts

Verified USPTO.gov accounts uniquely identify you and allows secure access to your patent data. Follow the new verification process.

www.uspto.gov/patents-application-process/applying-online/getting-started-new-users
Dates you need to know

**JUNE 2018**
**USPTO.gov ACCOUNT**
All PKI certificate holders and support staff should create USPTO.gov accounts now, and set them up for two-step authentication.

**OCT 2018**
**MIGRATE**
USPTO released a migration tool to allow current PKI certificate holders to link their USPTO.gov account to their PKI certificate. PKI certificate will remain valid until retired.

**NOV 2018**
**SPONSOR**
Registered Practitioners can sponsor their support staff to work on their behalf by giving them access via USPTO sponsorship tool.

**JAN 2019**
**NEW VERIFICATION PROCESS**
New verification process available for users to obtain verified USPTO.gov accounts. Certificate Action Forms and the process to obtain new PKI certificates retired.

**TBD 2019**
**RETIRE PKI**
Transition must be complete.
**TBD**: Users can no longer access EFS-Web and PAIR using PKI certificates.
**TBD**: Users can no longer migrate PKI certificates; must use new verification process.

Practitioners and Independent Inventors can start signing in using USPTO.gov accounts
Support staff can start accessing using USPTO.gov accounts
Authentication change webpage

Link: www.uspto.gov/AuthenticationChange

Authentication Change for EFS-Web and PAIR

Important update: The deadlines related to authentication change and migration for EFS-Web and PAIR are being extended due to technical issues. We will announce the new deadlines when they are determined. Until then, you can still authenticate using either USPTO.gov accounts or PKI certificates.

If you have not done so, please update your USPTO.gov account or PKI certificate. If you have already done so, you can continue to use your current USPTO.gov account.

Registration practitioners should use the Sponsorship Tool to manage their support staff. See the guide for more information.

How does logging in with USPTO.gov help you?
- USPTO.gov provides secure access to your account.
- USPTO.gov allows you to manage your account from anywhere.
- USPTO.gov provides a single sign-on for all USPTO services.

Legal Information and Guidance
- The Patent Electronic System Access Document provides additional information on the authentication, authorization, and security requirements for accessing the patent electronic system.
- The Electronic Signature Policy Statement provides additional information.
- You can view the Electronic Signature Policy Statement.

4/18/2019
Electronic filing process

1. Access EFS-Web As Unregistered Filer
2. Choice Filing Type
3. Enter Applicant Information (New Applications Only)
4. Attach & Index Patent Application Documents
5. Review Documents
6. Calculate Fees (may be deferred)
7. Confirm & Submit
8. Pay Fees (may be deferred)
9. Receive Acknowledgement Receipt
10. Access Filing in Private PAIR (Registered Filer only)
Accepted document formats

**PDF Files**
General Documents

**TEXT**
Bio-Sequence listings, computer code, etc.

**JPEG Files**
Hague Reproductions (Drawings)

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

**PCT-SAFE zip files**
Generated zip files produced by the PCT-SAFE software

4/18/2019
EFS-Web and PAIR tutorial

Electronic patent application filing and viewing systems
EFS-Web unregistered

Welcome to Electronic Patent Filing for UNREGISTERED eFILERS

A submission has not been filed officially at the USPTO until the e-filer executes the Submit function and the documents are received at the USPTO. All items denoted by * are required.

Maintenance Advisory: Firefox released Firefox 52 on March 7, 2017. This iteration dropped support for NPAPI (including the Java plug-in), which impact more information see the EFS-Web Announcements page.

IMPORTANT: Please read the Legal Framework for using EFS-Web. For information on the Paperwork Reduction Act as it pertains to ePetitions, third party statements under 37 CFR 1.501, please see the OMB Clearance and PRA Burden Statement page.

Sign-on as an UNREGISTERED eFILER

* e-Filer Last Name
* e-Filer First Name
* e-Filer E-Mail Address:

- Main Functions:
  - New application/proceeding
  (This includes new filings of continuation, divisional, continuation-in-part and reissue applications, as well as reexamination and supplementary examination of existing applications and must be filed as a registered eFiler.)
  - Existing application/patent

If you close or exit the eFiling portal you will lose your work.

For your convenience, all links in the left hand side of the eFiling portal will open in new windows to help prevent accidental loss of information during filing. Context-sensitive help (information graphic & links) will appear in a new window.

Provide basic identity information
Select from limited application types available
Sign-in with USPTO.gov account

There are new **EFS-Web** and **Private PAIR** URLs for signing in with your USPTO.gov account.
Select second step authentication

Two-step authentication provides an extra layer of security to your account by requiring you to enter a authentication code.

Note: Two-step authentication may be required in order to access certain areas within the site.

Receive code via:
- Email (pcp*******02@gmail.com)
- Code generator (Authenticator app)
Enter authentication code

Note: By selecting the checkbox that “this is a computer that I trust and use regularly,” the second step authentication will be valid for 24 hours after the initial sign-in. If you are logged out after 30 minutes of inactivity, you will only need to use your first factor, email and password, to authenticate back into EFS-Web and PAIR.
EFS–Web registered

Certify your identity
Select Application type

4/18/2019
EFS-Web application data

- Select ADS submission type
- Enter Title of Invention
- Enter Inventor Name
- Enter Customer Number or Correspondence Address
EFS-Web attach documents

- Attach Files
- Filter by Category
- Select Document
- Delete Files
- Bibliographic Data is Echoed Back to Applicant
EFS-Web review documents

Review Bibliographic Data

Review validation for possible errors
EFS-Web calculate fees

Must select business size (Micro, Small Entity, or Regular Undiscounted)

Fees Calculated Based on Values Entered by User
EFS-Web confirm documents

Review Bibliographic Data

Review documents
EFS-Web pre-acknowledgment receipt

Congratulations! You are ready to pay fees associated with your submission.

13:15:06 Eastern Time on 29-SEP-2015

The USPTO has received your submission. An Acknowledgement Receipt will be received in due course. Prior to receiving the Acknowledgement Receipt, registered users may check "My Workplace" to check the status of your submission and access Private PAIR to view the actual documents filed. You may continue below for fees and payment options. See the EFS Web Page for contact info and hours.

The following identification numbers are associated with your submission.

<table>
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<tr>
<th>Identification</th>
<th>Number</th>
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<tbody>
<tr>
<td>Application Number</td>
<td>59957356</td>
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<tr>
<td>Confirmation Number</td>
<td>1002</td>
</tr>
<tr>
<td>EFS ID</td>
<td>23633588</td>
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The following fees are due.

Total Fees Due: $ 930

The USPTO’s RAM payment server is ready to accept your fee payments using a USPTO Deposit Account, an Electronic Funds Transfer, or one of the following credit cards: American Express, Discover, MasterCard, or Visa. Please have all access codes, account numbers and account holder information ready to complete your online payment experience.

Would you like to pay your fees at this time?

YES! I want to pay now  NO - I will pay later (additional charges may be incurred)
Financial Manager payment method

User is directed to the new Financial Profile Page

Payment Method
Read more about the security of your transaction.

New USPTO Payment System

Pay using one of the following payment options which can be stored in your USPTO.gov Account:
- USPTO Deposit Account
- Credit/Debit Card
- Electronic Funds Transfer (EFT)

Pay with the New USPTO Payment System

Why this change?
Pay Later, Generate Acknowledgement Receipt
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.

1. Sign in
   - Email address or username *
   - Password *
   - Sign in

2. Pay as a guest
   - Continue the payment process as a guest.
Financial Manager pay fees
The USPTO has received your submission at 13:15:06 Eastern Time on 29-SEP-2015.

No fees have been paid for this submission. Please remember to pay any required fees on time to prevent abandonment of your application.

**eFiled Application Information**

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<tr>
<th>EFS ID</th>
<th>23633588</th>
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<td>Application Number</td>
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<tr>
<td>Confirmation Number</td>
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<td>Title of Invention</td>
<td>Test Application</td>
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<td>Test Test</td>
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<td>59</td>
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**Application Details**

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<td>14</td>
<td>Specification</td>
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<tr>
<td>sb0001_fill.pdf</td>
<td>3</td>
<td>Abstract</td>
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<td>fee-info.pdf</td>
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**Date and Time Stamp**

**Post-Submission Options**

You may take the following actions:
- E-mail Receipt Info
- Print Receipt
- Save Receipt
- File Another Application
- File an Assignment of Ownership
- Pay Maintenance Fees
- Access Private PAIR

**Important Application Information**

4/18/2019
Private PAIR access

Search for Application:
- Application Number (EXAMPLE: 99999999 or 99/999999)
- Control Number
- Patent Number
- PCT Number (EXAMPLE: PCT/CCYY/999999 or PCT/CCYYYY/999999)
- Publication Number
- International Design Registration Number (EXAMPLE: DM/999999)
- Search by Attorney Docket Number

Enter Number: [field] SEARCH XML

Search by Customer Number:

PAIR Administration:
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

<table>
<thead>
<tr>
<th>Application Number:</th>
<th>59/999,797</th>
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<tr>
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<td>11-09-2001</td>
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<tr>
<td>Application Type:</td>
<td>Utility</td>
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<tr>
<td>Examiner Name:</td>
<td>BRENNEMAN, ROBERT B</td>
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<tr>
<td>Group Art Unit:</td>
<td>STRA</td>
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<td>Confirmation Number:</td>
<td>5349</td>
</tr>
<tr>
<td>Attorney Docket Number:</td>
<td>2 [Update]</td>
</tr>
<tr>
<td>Class / Subclass:</td>
<td>118/71</td>
</tr>
<tr>
<td>First Named Inventor:</td>
<td>Richard Cliff [all inventors]</td>
</tr>
<tr>
<td>First Named Applicant:</td>
<td>-</td>
</tr>
<tr>
<td>Entity Status:</td>
<td>Undiscounted [Update]</td>
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<tr>
<td>AIA (First Inventor to File):</td>
<td>No</td>
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<tr>
<td>Title of Invention:</td>
<td>test</td>
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Correspondence Address Customer Number: 59
Status: Abandoned -- Incomplete (Filing Date Under Rule 53 (b) - PreExaminer)
Status Date: 11-13-2001
Location: OPAP CONTRACTOR FORMALITIES, ST - 7A CORRIDOR
Location Date: 11-10-2001
Earliest Publication No: -
Earliest Publication Date: -
Patent Number: -
Issue Date of Patent: -
International Registration Number ( Hague): -
International Registration Publication Date: -
Additional information

• Filing online:
  – www.uspto.gov/patents-application-process/file-online

• Application status:
  – www.uspto.gov/patents-application-process/check-filing-status-your-patent-application
Electronic Business Center (EBC) offers in-depth technical support to external users of the USPTO's Patent e-Commerce systems.

The EBC can assist with:
- Submitting your patent application via EFS-Web
- Viewing application information in Public and Private PAIR
- Searching for patents in AppFT and PatFT
- Digital certificate, 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

Contact Info

Hours: Monday – Friday, 6 a.m. – midnight (ET), except federal holidays

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

Email: ebc@uspto.gov
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 former 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 a.m. – 8 p.m. (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)

- AAU can assist with questions about:
  - Status of an application that is in the pre-examination or the post-examination phase of processing
  - Filing receipts
  - Missing parts letters
  - Pre-examination and the post-examination abandonment notices
  - Express abandonments
  - Change/withdrawal of attorney; change of address
  - Power of attorney
  - Inventor Oath and Declaration

- AAU can also assist with:
  - Listing a patent for sale in official gazette
  - Lost or damaged patent grants or soft copies
  - Processing of Certificates of Corrections

Contact Info

Hours: Monday – Friday, 8:30 a.m. – 5 p.m. (ET), except federal holidays

Telephone Numbers:
- 888-786-0101 (toll-free)
- 571-272-4000 (local)
eMod project

The eCommerce Modernization (eMod) Project improves the electronic patent application process by modernizing USPTO’s application filing and viewing systems.

2016 –2017
eMod Text Pilot Program

- System: Legacy (EFS-Web & PAIR)
- Participants: Pilot via Registration

September 2017
Offer Text Features to the Public

- System: Legacy
- Participants: All EFS-Web Registered Filers
  - USPTO accepts DOCX (for initial submissions)
  - USPTO provides DOCX (including Office actions)
  - USPTO provides XML

March 2018
eMod Patent Center Alpha Release

- System: Next Gen
- Participants: External (active in the eMod Text Pilot)
- Limited live filings: Four types of new applications (utility non-provisional, provisional, national stage – 371, design), and their corresponding follow-on submissions
- Limited functionality for viewing/managing applications
- Legacy tools still needed for other functionalities

Oct ‘18- Feb ‘19
Authentication Change for EFS-Web & PAIR

- System: Next Gen
- Participants: External (via open registration)
- Focus on patent applicants
- Features:
  - Unified user interface
  - Key functionalities from EFS-Web and PAIR
  - Updates based on eMod Text Pilot Program

Early 2019
eMod Patent Center Beta Release

4/18/2019
Structured text (DOCX)

- Most recent enhancements to EFS-Web and PAIR
  - Ability to accept and process DOCX/XML
  - Limited to specifications, claims, abstract for non-provisional utility applications
- DOCX is only available for utility non-provisional initial filings
- Informational webpage: [www.uspto.gov/patent/docx](http://www.uspto.gov/patent/docx)
- Quick Start Guides
  - DOCX Intake located under EFS-Web Resources
    - [www.uspto.gov/SubmitDOCX](http://www.uspto.gov/SubmitDOCX)
  - Access and Download DOCX located under PAIR Resources
    - [www.uspto.gov/RetrieveDOCX](http://www.uspto.gov/RetrieveDOCX)
  - Patent Electronic Business Center (EBC)
    - Phone: 1-866-217-9197
    - Email: [ebc@uspto.gov](mailto:ebc@uspto.gov)
Patent Center

New and unified system to replace EFS-Web and PAIR in 2020

- **Single Interface**
  - Features single interface for filing and managing patent applications

- **Recent Technology**
  - Integrates recent technology
  - Allows for enhanced system operations
  - Enables increased functionality

- **Authentication**
  - Implements new permanent authentication method
  - Independent of Java Applet

**New Functionality Highlights:**

- Upload multiple documents at a time
- Drag and drop for document upload
- Intuitive document codes/descriptions
- DOCX/XML features
- New look and feel (user interface)
- Save submissions at any time
Patent Center Beta release

• Scheduled for early 2019
• Incorporates updates from Alpha Release and includes additional features
• Larger number of users

If you are interested in receiving more information, please email eMod@uspto.gov with the subject line “Participation Request: eMod Patent Center Beta Release” and we will contact you when the guidelines are available, and registration into the Beta Release is open.
Questions