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

Email questions to: inventorinfochat@uspto.gov
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 Organizations
- http://www.uspto.gov/inventors

Email questions to: inventorinfochat@uspto.gov
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: inventorinfochat@uspto.gov
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

Email questions to: inventorinfochat@uspto.gov
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

Email questions to: inventorinfochat@uspto.gov
Digital (PKI) Certificate

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

1. Applicant completes the Certificate Action Form (CAF)
2. Applicant has the Certificate Action Form notarized by a notary
3. Applicants mails the original form (no faxes or copies)
   Mail Stop EBC Customer Number
   Commissioner for Patents
   P.O. Box 1450
   Alexandria, VA 22313-1450
4. USPTO processes CAF and approves
5. Applicant receives two codes:
   • Authorization Code via e-mail
   • Reference Number via U.S. mail (for U.S. residence only, EBC will attempt one phone call to deliver, or you can contact the EBC to obtain)
6. Applicant uses codes to generate Digital Certificate to access Private PAIR and/or EFS-Web Registered

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

Email questions to: inventorinfochat@uspto.gov
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)

- **No PKI** → Files New Patent Application Online → **3-4 Wk**
- **User Requests PKI** → **Certificate Action Form + Customer Number Request** (if user has no CN) → **5-7 Days**
- **User Receives PKI**
- **User Receives Notice from USPTO**
- **Files Timely Response via EFS-Web**
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-Web Registered**
  - *(With Digital Certificate and Customer Number)*

Welcome to Electronic Patent Filing for UNREGISTERED eFILERS

A submission has not been filed officially at the USPTO until the e-filer executes an Authorization and Acknowledgment form.

All items denoted by * are required.

**Maintenance Advisory:** Firefox released Firefox 52 on March 7, 2017. This iteration fixes a security issue. For more information see the [EFS-Web Announcements page](#).

**IMPORTANT:** Please read the [Legal Framework for using EFS-Web](#). For information statements under 37 CFR 1.501, please see the [OMB Clearance and PRA Burden Statement](#).

**Sign-on as an UNREGISTERED eFILER**

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

Email questions to: inventorinfochat@uspto.gov
Accepted Document Formats

PDF Files
General Documents

Text Files

DOCX Files
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

JPEG Files
Hague Reproductions (Drawings)

Email questions to: inventorinfochat@uspto.gov
Electronic Filing Process

Access EFS-Web As Unregistered Filer

Choose Filing Type

Enter Applicant Information (New Applications Only)

Attach & Index Patent Application Documents

Review Documents

Calculate Fees (may be deferred)

Confirm & Submit

Pay Fees (may be deferred)

Receive Acknowledgement Receipt

Access Filing in Private PAIR (Registered Filer only)

Email questions to: inventorinfochat@uspto.gov
Where does it go next?

- EFS-Web
- Formalities Review
- Classification and Assignment
- Examination
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

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 might 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 considered existing documents and must be filed as a registered eFiler.)

- Existing application/parent

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 file. Context-sensitive help (information graphic links) will appear in a new window.

Provide basic identity information

Select from limited application types available

Email questions to: inventorinfochat@uspto.gov
Accessing EFS-Web Registered

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 Plug-in installed into the browser. The Java Applet Plug-in has to be configured to use the installed JRE. Many newer versions of major browsers may not support Java Applet Plug-in.

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

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

If you need help:

- Call the Patent Electronic Business Center at (866) 217-8829 (toll-free) or e-mail EBC@uspto.gov for specific questions about Patent e-Filing.
- Send general questions about USPTO programs to the USPTO Contact Center (UCC).
- If you experience technical difficulties or problems with the application, please report them via e-mail to Electronic Business Support or call 1-800-786-0193.
Accessing EFS-Web Registered (Old Method)

Login Screen

Browse for your .epf file and enter the password
Accessing EFS-Web Registered (New Method)

Email questions to: inventorinfochat@uspto.gov
EFS-Web Registered

<table>
<thead>
<tr>
<th><strong>Certification</strong></th>
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<tbody>
<tr>
<td>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 Eastern Time. The Acknowledgement Receipt is evidence of this submission.</td>
</tr>
<tr>
<td>All items denoted by * are required.</td>
</tr>
</tbody>
</table>

**New Feature (28SEPT2015):** Web 85b option now available for users with POA to submit Issue Fee. [Learn more](#).

Effective September 2015, due to Chrome discontinuing their support for Java, Chrome customers using version 45 and above will no longer be able to log into EFS-Web or Private PAIR. For USPTO updates regarding this issue please visit 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 submissions under 37 CFR 1.290, Web-based application data sheets, and citations of prior art and written statements under 37 CFR 1.501, and issue fee transmittals (85b), please see the [OMB Clearance and PRA Burden Statement page](#).

**Your Digital Certificate has been authenticated - please certify your identity:**

- I certify that I am the certificate holder **Amy Kathleen Kelly Tierney**
- I certify that I am working under the authority of the certificate holder: **Amy Kathleen Kelly Tierney**

<table>
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<tr>
<th><strong>Main Functions</strong></th>
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<tr>
<td>- New application/proceeding</td>
</tr>
<tr>
<td>This includes new filings of continuation, divisional, continuation-in-part and re-issue applications, as well as reexamination and supplemental examination proceedings. A request for continued examination (RCE) and continued prosecution application (CPA) are considered existing documents and must be filed as a registered eFiler.</td>
</tr>
<tr>
<td>- Existing application/patent/proceeding</td>
</tr>
<tr>
<td>- My Workplace</td>
</tr>
</tbody>
</table>

Email questions to: inventorinfochat@uspto.gov
EFS-Web: Application Data

Select ADS submission type

Enter Title of Invention

Enter Inventor Name

Enter Customer Number or Correspondence Address

Email questions to:
inventorinfochat@uspto.gov
EFS-Web: Attach Documents

Bibliographic Data is Echoed Back to Applicant

Filter by Category

Delete Files

Attach Files

Select Document Description

Email questions to: inventorinfochat@uspto.gov
EFS-Web: Review Documents

Review Bibliographic Data

Review validation for possible errors

Email questions to: inventorinfochat@uspto.gov
EFS-Web: Calculate Fees

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

Fees Calculated Based on Values Entered by User

Email questions to: inventorinfochat@uspto.gov
EFS-Web: Confirm Documents

To Review a Document, please click on the document name.

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</tr>
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</table>

Review Bibliographic Data

Review documents

Email questions to: inventorinfochat@uspto.gov
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 confirm receipt by the USPTO of their submission and access Private PAIR to view the actual documents filed. You may continue by paying fees. For questions, contact the EFC. See the EBC Web Page for contact info and hours.

The following identification numbers are associated with your submission.

- Application Number: 59957356
- Confirmation Number: 1002
- EFS ID: 23633588

The following fees are due.

- Total Fees Due: $930

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)

Email questions to: inventorinfochat@uspto.gov
Financial Manager: Payment Options

User is directed to the new Financial Profile Page

Email questions to:
inventorinfochat@uspto.gov
Financial Manager: Sign-In

1 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.

Sign in

Email address or username *

Password *

Pay as a guest

Continue the payment process as a guest.

Pay as a guest Cancel

Email questions to: inventorinfochat@uspto.gov
Financial Manager: Pay Fees
EFS-Web: Acknowledgment Receipt

Date and Time Stamp

Post-Submission Options

Important Application Information

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.

EFS ID: 23633588
Application Number: 59957356
Confirmation Number: 1002
Title of Invention: Test Application
First Named Inventor: Test Test
Customer Number or Correspondence Address: 59
Attorney Docket Number:
Filing Date:
Receipt Date: 29-SEP-2015
Application Type: Utility under 35 USC 111(a)

Submitted Files
- Specifications1.pdf: 14 pages, Specification
- sb0001_fil.pdf: 3 pages, Abstract
- fee-info.pdf: 2 pages, Fee Worksheet (SB06) 35665 bytes

The acknowledgement receipt may be printed or saved to the applicant’s computer. Further, a copy of the acknowledgement receipt has been placed in the electronic application file, which may be accessed through Private PAIR.

Email questions to: inventorinfochat@uspto.gov
Private PAIR Access

User Authentication - Private PAIR

Select Digital Certificate

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".
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:**

• **Application Status:**
Patent Electronic Business Center (EBC)

- 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

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
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 oidevents@uspto.gov

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

Email questions to: inventorinfochat@uspto.gov
Thank You!

To inquire about OID services please contact us at:
InnovationDevelopment@uspto.gov
1.866.767.3848

Presented By:
Lisa Tran & Richard Fernandez
Robert Hodge
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.
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, inter partes 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.

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**Get Updates:**
- Information Sessions
- Website ([www.uspto.gov/patent/emod](http://www.uspto.gov/patent/emod))

**Provide Feedback:**
- Focus Sessions
- User Sessions
- IdeaScale ([http://uspto-emod.ideascale.com](http://uspto-emod.ideascale.com))

**Help Us:**
- Sign Up for eMod Text Pilot Program

**Contact us:**
- eMod@uspto.gov

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