Text Intake in EFS-Web

Quick Start Guide   *September 2017*

Quick Start Guide

Text Intake in EFS-Web

UNITED STATES
PATENT AND TRADEMARK OFFICE

uspto

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1. Introduction

This Quick Start Guide provides information needed to understand how to file .docx documents and includes a brief overview of the process and screen shots that identify critical aspects of the submission.

A more comprehensive guide on how to use EFS-Web can be found at the EFS-Web Guidance and Resources page located at: http://www.uspto.gov/patents-application-process/applying-online/efs-web-guidance-and-resources.

2. Basic Requirements for Submitting Text in EFS-Web

- You must be able to access EFS-Web.
- You must be a Registered eFiler.
- The text intake feature is **only** available for new Utility Nonprovisional submissions. It is currently unavailable for all other submission types.
- All required fields must be completed in order to proceed with the submission. The required fields are indicated with an asterisk.
- Submissions under a Secrecy Order may not be filed electronically.

NOTE: EFS-Web sessions will time-out after one hour of inactivity. A Web-based ADS that has not been submitted or saved after one hour of inactivity will be lost. You will need to login to EFS-Web again and re-enter the information from the start.
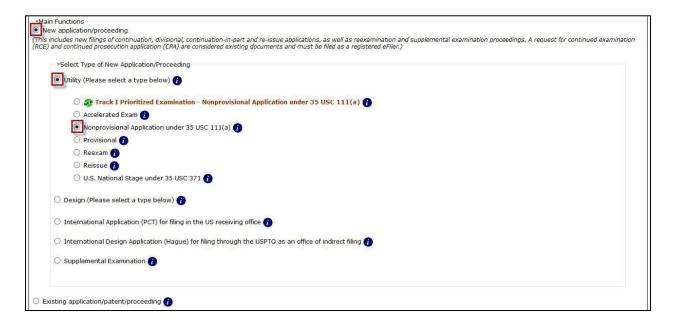
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3. Filing an Utility Nonprovisional Application including Text Documents

3.1 Initiating the filing process

Once signed on to EFS-Web as a Registered eFiler, the user will need to certify that they are the certificate holder or working under the authority of the certificate holder. Registered eFilers who authenticate can save "In-progress" submissions and return to make edits prior to completing the submission, but any required payment will be due upon filing of the completed submission.
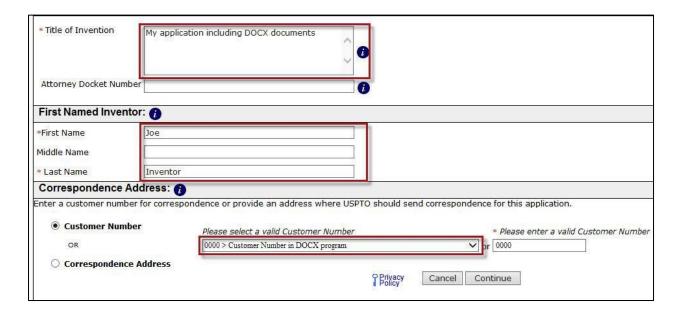
To submit a new utility nonprovisional application via EFS-Web select the "**New application/Proceeding**" radio button, the Web screen will then expand to display additional options. Select the radio button for Utility and then the radio button located next to "**Nonprovisional Application under 35 USC 111(a)**" and click Continue.

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3.2 Application Data

On the Application Data tab, you must specify the title of your invention, the first named inventor, and a correspondence address. (See 37 C.F.R. § 1.51 for further details).

If any corrections are needed, the user can go back to the Application Data screen by clicking on the Application Data tab at the top of the screen or by clicking the "**Application Data**" hyperlink above the displayed Bibliographic Data. After making any corrections, click on the **Continue** button located at the bottom of the "**Application Data**" screen in order to apply any changes.

3.3 Attaching Documents

On the "**Attach Documents**" screen, the user can upload documents for a utility nonprovisional application filing. The "**Attach Documents**" screen has two different sections for attaching documents: (1) "**Attach Application Parts – Specification, Claims and Abstract**;" and (2) "**Attach Additional PDF or TXT Documents**." These sections are discussed in detail below.

3.3.1 Attach Application Parts – Specification, Claims and Abstract

Application Parts (specifically Specification, Claims, and Abstract) may be submitted in text format. These documents must be attached individually, and filers are limited to 3 .docx files. The recommended order for attaching these sections is listed above. Please note, when attaching individual files, page numbering must be consecutive starting with 1, compliant with 37 C.F.R. § 1.52 (b). Preliminary amendments (see 37 C.F.R. § 1.115) may not be submitted.
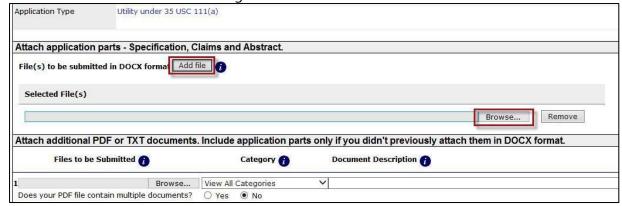
Technical requirements for .docx files are as follows. A word processor that can create and save Office Open XML (docx):

- **Microsoft Word 2007 or higher**
- **Google Docs**
- **Office Online**
- **LibreOffice**
- **Pages for Mac**

*Please see the appendix for key words that need to be present for the section to be automatically detected.

The procedure for attaching .docx documents via the "**Attach Application Parts – Specification, Claims and Abstract**" is as follows:

- **Step 1:** Click on the "**Add File**" button and a file search field will be made available.
- **Step 2:** Click the "**Browse"** button to search for the document to be uploaded. Note: it might be beneficial to use a file name representative of the document being uploaded (e.g., "Specification.docx" for a .docx file containing specification information).

Additional documents may be attached by clicking the "**Add File**" button. Repeat Steps 1 and 2 for each additional document being attached.

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3.3.2 Attach Additional PDF or TXT Documents

The "**Attach Additional PDF or TXT Documents**" section is used for attaching documents other than text documents, such as the "Application Data Sheet" (AIA/14 form) and any additional application documents needed for the Utility Nonprovisional filing. Legacy text documents, such as sequence listing and tables may still be attached in this section.

The procedure for attaching documents via the "**Attach Additional PDF or TXT Documents**" is as follows:

- **Step 1:** Click on the "**Browse/Choose File**" button to search for the document to be uploaded. Note: it might be beneficial to use a file name representative of the document being uploaded (e.g., "Jones.pdf" for a copy of a document authored by Jones).
- **Step 2:** Once the document is uploaded, be sure to index it correctly. The "**Category**" drop down menu allows document descriptions to be narrowed down based on the file being attached. The "**Document Description**" drop down menu represents how the document will be indexed once submitted.

Additional documents may be attached by clicking the "**Add File**" button. Repeat Steps 1 and 2 for each additional document being attached.

After all application documents have been attached, click the "**Upload & Validate**" button to perform document validations and proceed with the filing process.

3.4 Reviewing .docx Documents

On the "**Review Documents**" screen, confirm that all of the necessary documents uploaded properly. If there are any validation errors, the user will not be able to proceed to the next screen until the errors are fixed. However, you will be able to proceed to the next screen if you receive any validation warnings.

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The following items within a document will generate a warning message, viewable at the time of upload and on the acknowledgement receipt:
- Track changes*
- Comments*
- Bookmarks*
- Hidden Items*
- Continuous line numbering*
- Text decorations*
- Unused invalid fonts*
- Abstract word count over 150
- Unsupported OLE Objects (Supported OLE Objects include Visio.Drawing.11, Equation.DSMT4, ACD.ChemSketch.20, ChemDraw.Document.6.0, Equation.3)

An asterisk indicates the system will automatically make changes to the document. Please review the generated files prior to submission.

The following items will generate an error message and you will not be able to continue unless it is corrected:

- Duplicate application parts
- Invalid Page Size – cannot exceed Letter or A4
- Contains Content control
- Contains Custom XML
- Invalid font
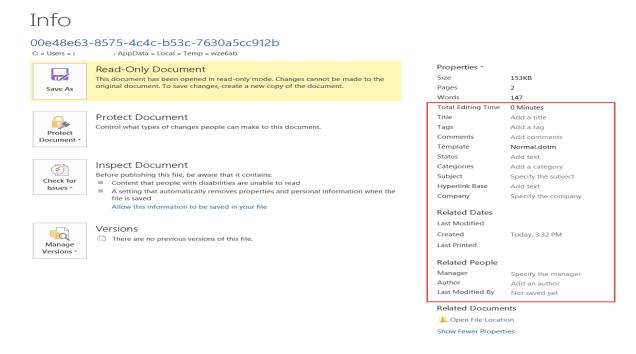
Recommended fonts include:
- Georgia
- Times New Roman
- Arial
- Arial Black
- Arial Narrow
- Arial Rounded MT Bold
- Tahoma
- Verdana
- Trebuchet MS
- Courier New
- Calibri
- Symbol

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International Fonts:
- PMingLiU
- SimSun
- MS Mincho
- Batang

NOTE: The system automatically scrubs unnecessary document properties such as company name, author, tags, etc.

A complete list of DOCX errors and warnings can be found at
https://www.uspto.gov/patent/initiatives/text-intake-efs-web-errors-and-warnings

A feedback document is generated when applicable to show where any warnings or errors are located within the document. Please note that the feedback document is only available during the submission process, and will not be saved to or shown within Private Pair.

Attached .docx file(s) will create a PDF equivalent which will be displayed for review. The attached is a multi-part .docx file, containing more than one application section, then each section will generate its own respective PDF file. To remove the .docx file or any of the derivative PDF files from the submission, select the "**Remove**" button adjacent to the .docx file.
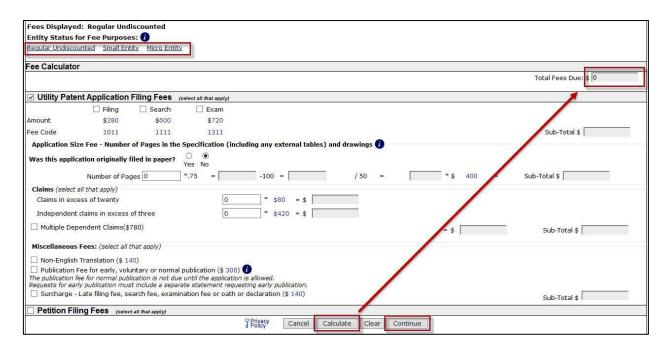
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Application Type	Utility under 35 USC 111(a)

Evidence file(s). To add more files please Attach Files

Uploaded files have been validated by EFS Web. Please review the file below

Validation Status	File(s) to be Submitted	Document Description	Page Count	File Size	
◆PASSED	0000_Happy_Path_ALL.docx *(Original: 0000_Happy_Path_ALL.docx)*	Application body structured text document	-	41359 bytes	Remove

The PDF(s) have been generated from the docx file(s). Please review the PDF(s) for accuracy. By clicking the continue button, you agree to accept any changes made by the conversion and that it will become the final submission.

File(s) to be Submitted(pdf)	Document Description	Page Count	File Size
91c254b4-ff70-464f-a94d-e325d17e3cb2.pdf	Claims Document	3	9091 bytes
d726b298-de05-4d8d-9b39-ddff52a9f868.pdf	Specification	31	223497 bytes
fa24735b-22bf-469f-849c-26e5d6d8b42f.pdf	Abstract	1	4119 bytes

NOTE: Generated PDF files cannot be removed individually.

Once all of the necessary documents for the submission have been reviewed, click on the "**Continue**" button to advance to the next screen.

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3.5 Calculate Fees

The "**Calculate Fees**" screen allows eFilers to select the appropriate entity status in the top left hand corner of the screen. In addition, fees are dynamically generated based on the values entered. After all applicable fees have been selected and/or entered, click the "**Calculate**" button to display the "**Total Fees Due**." After verifying selected fees, click "Continue" to proceed to the next section.
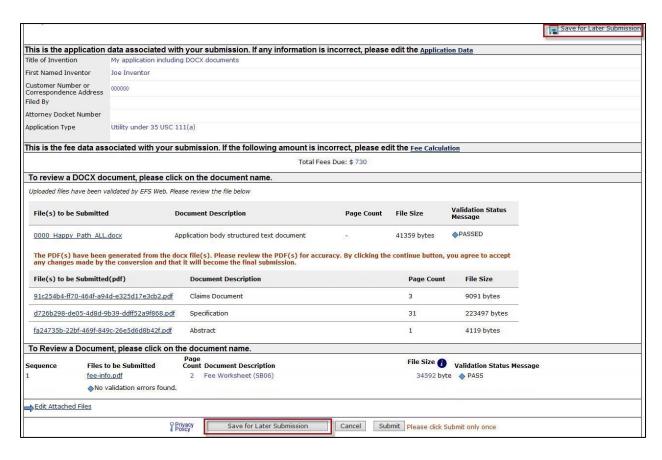

3.6 Confirm & Submit

On the "**Confirm & Submit**" screen, the user will be presented with a review of the content provided for the utility nonprovisional application including text submission. This will include all information entered on the "**Application Data**" screen, the fee(s) indicated on the "**Calculate Fees**" screen, as well as documents uploaded on the "**Attach Documents**" screen.

Ensure Bibliographic Data is correct; all documents have been attached; then click on the "**Submit**" button once.
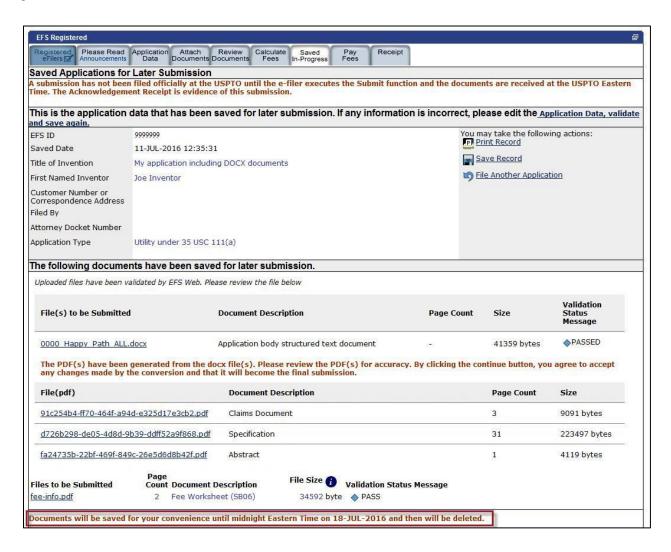
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3.7 Save Submission Feature for Registered eFilers

As a Registered eFiler the option of saving the submission for later will be available. All of the required ADS fields on the "Application Data" tab must be completed. The save option is located on the "Confirm & Submit" screen.

After clicking on the "Save for Later" button, the next screen will display the details of the saved submission. There is a notification statement that explains that the submission has not been filed officially at the USPTO until the Submit function is executed. A statement at the bottom of the screen details that the submission will be saved for up to 7 days.

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In order to later retrieve the saved submission package, log in to EFS-Web as a Registered eFiler. On the EFS-Web page select "My Workplace" and then click on the "Saved Submission Package" link. Next, select "My Saved Packages" and click on the drop down menu to select an eFiler and click on the "Retrieve" button. This will retrieve the saved submission packages. Fill in the radio button under "Select" in order to choose the particular saved submission package and click the "Continue" button.

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If you have any questions or concerns regarding filing in EFS-Web, please contact the Patent EBC Monday - Friday, from 6:00 a.m. to 12 Midnight Eastern Time, by email ebc@uspto.gov or telephone 866-217-9197.

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4. Appendix

4.1 DOCX Key Words for Section Headers

EFS-Web can automatically detect the document description of the attached DOCX if the following key words are used:

DOCX Key Words for Section Headers
*Please note that at least one of these key words needs to be present for the section to be automatically detected.
Spec Section
INVENTION TITLE
INVENTION SPECIFICATION
INVENTION DESCRIPTION
TITLE OF (THE) INVENTION
DESCRIPTION OF (THE) INVENTION
SPECIFICATION
Claims Section
Claim
Claims
Patent Claims
What is claimed
What is claimed is
Claimed are
I claim
We (hereby) claim
We Claim
In the claims
The claims (here) defining the invention are
Claim or Claims
What is put forth is
Abstract Section
ABSTRACT
ABSTRACT OF (THE) INVENTION
INVENTION ABSTRACT
DISCLOSURE ABSTRACT
ABSTRACT OF (THE) DISCLOSURE
CONCLUSION

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Spec Subsection
REFERENCE TO RELATED APPLICATIONS
RELATED APPLICATIONS
CROSS[-]REFERENCES
REFERENCE TO RELATED PATENTS
STATEMENT OF GOVERNMENT INTEREST
RIGHTS TO INVENTION UNDER FEDERAL RESEARCH
FEDERALLY SPONSORED RESEARCH AND DEVELOPMENT
GOVERNMENT INTEREST
GOVERNMENT RIGHTS IN THE INVENTION
FEDERAL FUNDS STATEMENT
STATEMENT AS TO RIGHTS TO INVENTIONS MADE UNDER FEDERALLY SPONSORED RESEARCH AND DEVELOPMENT
ORIGIN OF THE INVENTION
FEDERALLY SPONSORED RIGHTS
STATEMENT OF FEDERALLY SPONSORED RESEARCH
ACKNOWLEDGMENT OF GOVERNMENT SUPPORT
BACKGROUND OF THE INVENTION
DESCRIPTION
BACKGROUND OF (THE) INVENTION
BRIEF STATEMENT OF THE INVENTION
SUMMARY OF THE INVENTION
OBJECT OF THE INVENTION
OBJECT AND SUMMARY OF THE INVENTION
FIELD AND BACKGROUND OF THE INVENTION
FIELD OF (THE) INVENTION
TECHNICAL FIELD
TECHNICAL FIELD OF THE INVENTION
PRIOR ART
DESCRIPTION OF THE PRIOR ART
BRIEF STATEMENT OF THE PRIOR ART
BACKGROUND ART
DESCRIPTION OF RELATED ART
DESCRIPTION OF THE RELATED ART
BRIEF DESCRIPTION OF DRAWINGS
BRIEF DESCRIPTION OF THE DRAWINGS
BRIEF DESCRIPTION OF FIGURES

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BRIEF DESCRIPTION OF THE FIGURES
JOINT RESEARCH AGREEMENT
BEST MODE FOR CARRYING OUT THE INVENTION
DETAILED DESCRIPTION
DESCRIPTION OF THE INVENTION
DETAILED DESCRIPTION OF THE INVENTION
DETAILED DESCRIPTION OF THE DRAWINGS
CROSS[-]REFERENCE TO RELATED APPLICATIONS