

# Text Intake in EFS-Web

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*Quick Start Guide*

*August 2017*



## Quick Start Guide

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### Text Intake in EFS-Web



UNITED STATES  
PATENT AND TRADEMARK OFFICE

**uspto**

# Text Intake in EFS-Web

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## *Quick Start Guide*

### **Contents**

<b>1.</b>	<b>Introduction .....</b>	<b>3</b>
<b>2.</b>	<b>Basic Requirements for Submitting Text in EFS-Web .....</b>	<b>3</b>
<b>3.</b>	<b>Filing an Utility Nonprovisional Application including Text Documents.....</b>	<b>4</b>
3.1	Initiating the filing process.....	4
3.2	Application Data .....	5
3.3	Attaching Documents .....	5
3.3.1	Attach Application Parts – Specification, Claims and Abstract .....	6
3.3.2	Attach Additional PDF or TXT Documents .....	7
3.4	Reviewing .docx Documents .....	7
3.5	Calculate Fees .....	10
3.6	Confirm & Submit .....	10
3.7	Save Submission Feature for Registered eFilers .....	11
<b>4.</b>	<b>Appendix.....</b>	<b>14</b>
4.1	DOCX Key Words for Section Headers .....	14

# Text Intake in EFS-Web

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## *Quick Start Guide*

### 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.

# Text Intake in EFS-Web

## Quick Start Guide

### 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.

The screenshot displays the 'Main Functions' section of the EFS-Web interface. Under the 'New application/proceeding' heading, there is a sub-section titled '\*Select Type of New Application/Proceeding'. The 'Utility (Please select a type below)' option is selected with a radio button. Within the Utility options, 'Nonprovisional Application under 35 USC 111(a)' is selected. Other visible options include 'Track I Prioritized Examination - Nonprovisional Application under 35 USC 111(a)', 'Accelerated Exam', 'Provisional', 'Reexam', 'Reissue', 'U.S. National Stage under 35 USC 371', 'Design (Please select a type below)', 'International Application (PCT) for filing in the US receiving office', 'International Design Application (Hague) for filing through the USPTO as an office of indirect filing', and 'Supplemental Examination'. At the bottom, there is an option for 'Existing application/patent/proceeding'.

# Text Intake in EFS-Web

## Quick Start Guide

### 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).

\* Title of Invention: My application including DOCX documents

Attorney Docket Number:

**First Named Inventor:**

\*First Name: Joe

Middle Name:

\* Last Name: Inventor

**Correspondence Address:**

Enter a customer number for correspondence or provide an address where USPTO should send correspondence for this application.

☒ Customer Number *Please select a valid Customer Number*

OR

☐ Correspondence Address

*\* Please enter a valid Customer Number*

0000 > Customer Number in DOCX program or 0000

[Privacy Policy](#)

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.

# Text Intake in EFS-Web

## Quick Start Guide

### 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.

Application Type		Utility under 35 USC 111(a)	
<b>Attach application parts - Specification, Claims and Abstract.</b>			
File(s) to be submitted in DOCX format		<b>Add file</b> ⓘ	
Selected File(s)			
		<b>Browse...</b> Remove	
<b>Attach additional PDF or TXT documents. Include application parts only if you didn't previously attach them in DOCX format.</b>			
Files to be Submitted ⓘ		Category ⓘ	
Document Description ⓘ			
1		Browse... View All Categories	
Does your PDF file contain multiple documents? <input type="radio"/> Yes <input checked="" type="radio"/> No			

# Text Intake in EFS-Web

## Quick Start Guide

### 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.

Attach additional PDF or TXT documents. Include application parts only if you didn't previously attach them in DOCX format.

Files to be Submitted	Category	Document Description
1 Browse...	View All Categories	Delete

Does your PDF file contain multiple documents? ☐ Yes ☒ No

Add File

Users are advised not to submit credit card payment form PTO-2038 via EFS-Web. Submission of the credit card payment form via EFS-Web may result in the form being included among the patent or trademark records open for public inspection. Users choosing to pay with a credit card should instead utilize the on-line payment method available through EFS-Web.

[Privacy Policy](#)

Please Upload & Validate before Review

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.

# Text Intake in EFS-Web

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## *Quick Start Guide*

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\*
- Unnecessary document properties\*
- 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



# Text Intake in EFS-Web

## Quick Start Guide

International Fonts:

- PMingLiU
- SimSun
- MS Mincho
- Batang

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.

Application Type	Utility under 35 USC 111(a)			
<b>Evidence file(s). To add more files please <a href="#">Attach Files</a></b>				
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	<a href="#">0000_Happy_Path_ALL.docx</a> (Original: 0000_Happy_Path_ALL.docx)	Application body structured text document	-	41359 bytes
<div>Remove</div>				
<b>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.</b>				
File(s) to be Submitted(pdf)	Document Description	Page Count	File Size	
<a href="#">91c254b4-ff70-464f-a94d-e325d17e3cb2.pdf</a>	Claims Document	3	9091 bytes	
<a href="#">d726b298-de05-4d8d-9b39-dfff52a9f868.pdf</a>	Specification	31	223497 bytes	
<a href="#">fa24735b-22bf-469f-849c-26e5d6d8b42f.pdf</a>	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.

# Text Intake in EFS-Web

## Quick Start Guide

### 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.

The screenshot displays the "Calculate Fees" interface. At the top, it shows "Fees Displayed: Regular Undiscounted" and "Entity Status for Fee Purposes: Regular Undiscounted". Below this is the "Fee Calculator" section. It includes a table for "Utility Patent Application Filing Fees" with columns for Amount (\$280, \$600, \$720) and Fee Code (1011, 1111, 1311). There are also sections for "Application Size Fee", "Claims", "Miscellaneous Fees", and "Petition Filing Fees". A red arrow points from the "Calculate" button at the bottom to the "Total Fees Due: \$ 0" field at the top right.

### 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.

# Text Intake in EFS-Web

## Quick Start Guide

### 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.

The screenshot displays the 'Confirm & Submit' screen in EFS-Web. At the top right, there is a 'Save for Later Submission' button. The main content is divided into three sections: 'Application Data', 'Fee Calculation', and 'Document Review'. The 'Application Data' section contains fields for Title of Invention, First Named Inventor, Customer Number or Correspondence Address, Filed By, Attorney Docket Number, and Application Type. The 'Fee Calculation' section shows the Total Fees Due as \$ 730. The 'Document Review' section includes a table of uploaded files and a table of generated PDFs. At the bottom, there is an 'Edit Attached Files' link and a row of buttons: 'Save for Later Submission', 'Cancel', and 'Submit'. A privacy policy link is also visible.

This is the application data associated with your submission. If any information is incorrect, please edit the <a href="#">Application Data</a>					
Title of Invention	My application including DOCX documents				
First Named Inventor	Joe Inventor				
Customer Number or Correspondence Address	000000				
Filed By					
Attorney Docket Number					
Application Type	Utility under 35 USC 111(a)				

This is the fee data associated with your submission. If the following amount is incorrect, please edit the <a href="#">Fee Calculation</a>	
Total Fees Due:	\$ 730

To review a DOCX document, please click on the document name.					
Uploaded files have been validated by EFS Web. Please review the file below					
File(s) to be Submitted	Document Description	Page Count	File Size	Validation Status Message	
<a href="#">0000_Happy_Path_ALL.docx</a>	Application body structured text document	-	41359 bytes	PASSED	
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		
<a href="#">91c254b4-ff70-464f-a94d-e325d17e3cb2.pdf</a>	Claims Document	3	9091 bytes		
<a href="#">d726b298-de05-4d8d-9b39-dfff52a9f868.pdf</a>	Specification	31	223497 bytes		
<a href="#">fa24735b-22bf-469f-849c-26e5d6d8b42f.pdf</a>	Abstract	1	4119 bytes		

To Review a Document, please click on the document name.					
Sequence	Files to be Submitted	Page Count	Document Description	File Size	Validation Status Message
1	<a href="#">fee-info.pdf</a>	2	Fee Worksheet (SB06)	34592 byte	PASS
No validation errors found.					

[Edit Attached Files](#)

[Privacy Policy](#) [Save for Later Submission](#) [Cancel](#) [Submit](#) Please click Submit only once

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.

# Text Intake in EFS-Web

## Quick Start Guide

EFS Registered

Registered eFilers

Please Read Announcements

Application Data

Attach Documents

Review Documents

Calculate Fees

Saved In-Progress

Pay Fees

Receipt

**Saved Applications for Later Submission**  
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.

**This is the application data that has been saved for later submission. If any information is incorrect, please edit the [Application Data](#), validate and save again.**  
EFS ID 9999999  
Saved Date 11-JUL-2016 12:35:31  
Title of Invention My application including DOCX documents  
First Named Inventor Joe Inventor  
Customer Number or Correspondence Address  
Filed By  
Attorney Docket Number  
Application Type Utility under 35 USC 111(a)  

You may take the following actions:  
[Print Record](#)  
[Save Record](#)  
[File Another Application](#)

**The following documents have been saved for later submission.**  
Uploaded files have been validated by EFS Web. Please review the file below  

File(s) to be Submitted	Document Description	Page Count	Size	Validation Status Message
<a href="#">0000_Happy_Path_ALL.docx</a>	Application body structured text document	-	41359 bytes	PASSED

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(pdf)	Document Description	Page Count	Size
<a href="#">91c254b4-ff70-464f-a94d-e325d17e3cb2.pdf</a>	Claims Document	3	9091 bytes
<a href="#">d726b298-de05-4d8d-9b39-ddff52a9f868.pdf</a>	Specification	31	223497 bytes
<a href="#">fa24735b-22bf-469f-849c-26e5d6d8b42f.pdf</a>	Abstract	1	4119 bytes

Files to be Submitted	Page Count	Document Description	File Size	Validation Status Message
<a href="#">fee-info.pdf</a>	2	Fee Worksheet (SB06)	34592 byte	PASS

Documents will be saved for your convenience until midnight Eastern Time on 18-JUL-2016 and then will be deleted.

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.

# Text Intake in EFS-Web

## Quick Start Guide

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

☒ I certify that I am the certificate holder **Joe Inventor**

☐ I certify that I am working under the authority of the certificate holder: **Joe Inventor**

**\*Main Functions**

☐ New application/proceeding  
*(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 examination (RCE) and continued prosecution application (CPA) are considered existing documents and must be filed as a registered eFiler.)*

☐ Existing application/patent/proceeding **i**

☒ My Workplace

Select a My Workplace Function

[Saved Submission Package](#)

[View last 40 eFiling Acknowledgement Receipts](#)

☒ My Saved Packages **i** Joe Inventor ▼ Retrieve

☐ Saved Packages by Customer Number **i**

**Saved Packages** (saved within the last 7 calendar days, but not submitted to the USPTO):

Select	Date	EFS-ID	Title of Invention	Docket Number	First Named Inventor / Applicant Name	Registered Practitioner/ eFiler
<input checked="" type="radio"/>	11-JUL-2016	4584517	My application including DOCX documents		Joe Inventor	Joe Inventor

[Privacy Policy](#) Cancel Continue

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](mailto:ebc@uspto.gov) or telephone 866-217-9197.

# Text Intake in EFS-Web

## Quick Start Guide

### 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:

<b>DOCX Key Words for Section Headers</b>
*Please note that at least one of these key words needs to be present for the section to be automatically detected.
<b>Spec Section</b>
INVENTION TITLE
INVENTION SPECIFICATION
INVENTION DESCRIPTION
TITLE OF (THE ) INVENTION
DESCRIPTION OF (THE ) INVENTION
SPECIFICATION
<b>Claims Section</b>
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
<b>Abstract Section</b>
ABSTRACT
ABSTRACT OF (THE ) INVENTION
INVENTION ABSTRACT
DISCLOSURE ABSTRACT
ABSTRACT OF (THE ) DISCLOSURE
CONCLUSION



# Text Intake in EFS-Web

## Quick Start Guide

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

# Text Intake in EFS-Web

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## *Quick Start Guide*

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