

## THE PATENT REVIEW PROCESSING SYSTEM (PRPS) – QUICK START GUIDE

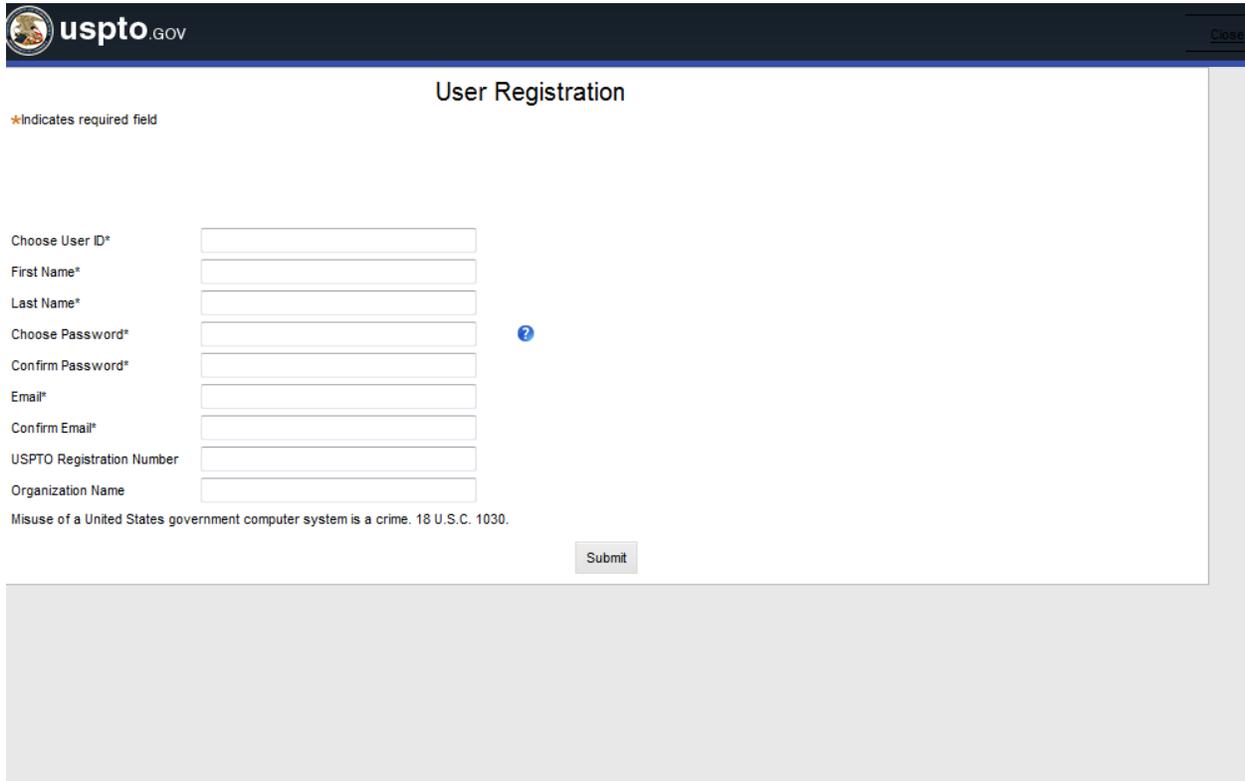
### I. Searching for a Case

- Select “Search for a proceeding / Browse the proceedings” from the main page
- Available to the public without registration
- Search by case number, patent number, or application number (for derivation proceedings)
- Search for all cases of a particular type by entering the trial type (e.g., “IPR,” “PGR,” “CBM,” or “DER”)
- Filter results by Party Name, Institution Date, and/or Filing Date
- Search screen displays Case Number, Filing Date, Institution Date, Patent Number, Application Number, Petitioner, Patent Owner, Status, and Tech Center for each case
- Institution Date column lists the date on which a decision whether to institute a review was entered
- Application Number column lists the application number of the patent being challenged (or application in the case of a derivation proceeding)
- Status column lists “Pending,” “Instituted,” “Not Instituted,” “Final Decision,” or “Settled”
- Searches limited to 500 cases
  - A warning message is displayed if a search retrieves more than 500 cases

The screenshot shows the USPTO search interface. At the top left is the USPTO logo and the text "uspto.GOV". At the top right is a "Home" button. The main content area is titled "Search For a Case" and contains three input fields: "Case Number", "Patent Number", and "Application Number". Each input field has a small blue question mark icon to its right. Below the input fields are two buttons: "Clear" and "Search >>". To the right of the search form, there is a message: "Please enter a trial number (or part of a trial number) or a patent number." Below the search form is a section titled "Filter My Cases By" with three expandable options: "Party Name", "Institution Date", and "Filing Date". Below these options are two buttons: "Clear" and "Filter Results".

## II. User Registration

- Select “Register” from the main page
- Users must register to be able to file a petition and participate in a case as a petitioner or patent owner/respondent
- Anyone can register (not just registered practitioners)
- Do not need to register to search cases and view public documents



The screenshot shows the USPTO user registration interface. At the top left is the USPTO logo and the text "uspto.GOV". At the top right is a "Close" button. The main heading is "User Registration". Below the heading is a legend: "★Indicates required field". The form contains the following fields:

- Choose User ID\* (required)
- First Name\* (required)
- Last Name\* (required)
- Choose Password\* (required) with a help icon (?)
- Confirm Password\* (required)
- Email\* (required)
- Confirm Email\* (required)
- USPTO Registration Number
- Organization Name

At the bottom left of the form area, there is a disclaimer: "Misuse of a United States government computer system is a crime. 18 U.S.C. 1030." At the bottom center is a "Submit" button.

### III. Filing a Petition

- Select the “New Petitions” tab and then the “Create New Petition” option

**Create New Petition**  
You Will Need:

- The Trial Type
- The Patent Number
- The Number Of Claims
- Real Party In Interest
- Petition Documents
- Payment Information
- Counsel Information
- Related Matters

**Create New Petition**

**Patent Owner/Respondent Participation**  
You Will Need To Provide Mandatory Notice Information, Including:

- Patent or Application Number
- Proceeding Number
- Real Party In Interest
- Counsel Information
- Related Matters

**Start**

- **For IPR:** Enter trial type, patent number, statutory ground(s) for challenge (35 U.S.C. §§ 102 and/or 103), number of challenged claims, and list of challenged claims

\* Indicates Required Fields

**Trial and Patent Information**

Trial Type: IPR - Inter Partes Review

Patent Number:\* 5000000 **Find Patent** ?

**Patent Confirmation**

Patent Number: 5000000  
Application Number: 07352062  
Patent Title: ETHANOL PRODUCTION BY ENGINEERED MICROBES  
Patent Issue Date: 3/19/1991  
Filing Date: 5/15/1989  
First Named Inventor: LONNIE INGRAM  
Patent Owner:  
Number Of Claims: 34  
Tech Center: 1800  
Attorney Docket Number: UFS&S19C2

Please verify you entered the correct patent number.

Note: The trial type and patent number cannot be changed once the request has been submitted.

**Statutory Ground(s) for Challenge (Check all that apply)**

35 U.S.C. § 102  
 35 U.S.C. § 103

Number of Challenged Claims:\*

List of Challenged Claims:\* Example: 1,2,3 or 5-10

**Submit**

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- **For PGR or CBM:** Enter trial type, patent number, statutory ground(s) for challenge (35 U.S.C. §§ 101, 102, 103, and/or 112), number of challenged claims, and list of challenged claims

\* Indicates Required Fields

Trial and Patent Information

Trial Type: CBM - Transitional Program for Covered Business Method Patents ▼

Patent Number:\* 5000000 **Find Patent** ?

Patent Confirmation

Patent Number:	5000000
Application Number:	07352062
Patent Title:	ETHANOL PRODUCTION BY ENGINEERED MICROBES
Patent Issue Date:	3/19/1991
Filing Date:	5/15/1989
First Named Inventor:	LONNIE INGRAM
Patent Owner:	
Number Of Claims:	34
Tech Center:	1800
Attorney Docket Number:	UFS&S19C2

Please verify you entered the correct patent number.

Note: The trial type and patent number cannot be changed once the request has been submitted.

Statutory Ground(s) for Challenge (Check all that apply)

35 U.S.C. § 101

35 U.S.C. § 102

35 U.S.C. § 103

35 U.S.C. § 112

Number of Challenged Claims:\*  

List of Challenged Claims:\* Example: 1,2,3 or 5-10

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**Submit**

- **For DER:** Enter trial type, patent or application number to be challenged, and the petitioner's application number

**uspto** GOV Home My Docket New Petitions Finance Correspondence Search All Cases My Account **New** Close

\* Indicates Required Fields

**Trial and Patent Information**

Trial Type: DER - Derivation Proceeding

Patent Number:\* 5000000 ?

or Application Number:\*

**Find Patent/Application**

Patent Confirmation

Patent Number:	5000000
Application Number:	07352062
Patent Title:	ETHANOL PRODUCTION BY ENGINEERED MICROBES
Patent Issue Date:	3/19/1991
Filing Date:	5/15/1989
First Named Inventor:	LONNIE INGRAM
Patent Owner:	
Number Of Claims:	34
Tech Center:	1800
Attorney Docket Number:	UFS&S19C2

Petitioner Application Number\*

**Petitions to institute a derivation proceeding are kept confidential until they are reviewed by the Board.**

Saved on: 2/18/13 1:16 PM **Submit**

- Enter Party Information, Petition Documents, Payment, Counsel Information, and Related Matters using the sections appearing on the left menu
- Review petition using the “Review Petition” option
- After reviewing the petition, submit petition
- Save the petition by selecting the “Save” option (incomplete petitions kept for 30 days)
- Withdraw petition by selecting the “Withdraw” option
- Submitted petition will be reviewed by a Board paralegal for statutory and regulatory compliance

The screenshot shows the USPTO website interface for case IPR2013-00126. The top navigation bar includes links for Home, My Docket, New Petitions, Finance, Correspondence, Search All Cases, My Account, and the current case ID IPR2013-00126 with a Close button. Below the navigation bar is an 'Upload Document' button and a note: '\* Indicates Required Fields'. A summary table provides case details:

Proceeding	IPR2013-00126	Patent Number	5000000	No of Challenged Claims	34	Status	Pending	Accorded Filing Date	
Petitioner		Patent Owner	Technology Center		1800	Filing Date		Institution Date	

The main content area is divided into a left sidebar and a main form. The sidebar contains the following sections:

- Petition Information**
  - Party Information
  - Petition Documents
- Payment Information**
  - Payment
- Other Information**
  - Counsel Information
  - Related Matters
- Review Petition**
  - Review Petition

The main form is titled 'Real Party In Interest' and contains the following fields:

- Party Type:\* Organization (dropdown)
- Organization Name:\*
- Country:\* UNITED STATES (dropdown)
- Address Line 1:\*
- Address Line 2:\*
- City:\*
- State:\* Select... (dropdown)
- Postal Code:\*
- Email:
- Phone Number:
- Fax Number:

Below the main form is a section for 'Additional Real Party in Interest' which currently shows 'No items' and an 'Add Real Party In Interest' button. At the bottom of the page, there is a 'Saved on: 2/18/13 1:19 PM' timestamp and three buttons: 'Save', 'Next>>', and 'Withdraw'.

## IV. Fee Payment

- Payment options: deposit account, credit card, debit card, and electronic funds transfer (EFT)
- PRPS will calculate the amount of fees due based on the number of claims entered in the first screen above (see FAQs E6-E7 regarding the new fees effective March 19, 2013)

 uspto .GOV
Home My Docket New Petitions Finance Correspondence Search All Cases My Account IPR2013-70007 [Close](#)

Upload Document

\* Indicates Required Fields

Proceeding	IPR2013-70007	Patent Number	5000000	No of Challenged Claims	2	Status	Pending	Accorded Filing Date	
Petitioner		Patent Owner	Technology Center	1800	Filing Date	Institution Date			

**Petition Information**

Party Information

Petition Documents

**Payment Information**

Payment

**Other Information**

Counsel Information

Related Matters

**Review Petition**

Review Petition

**Make Payment**

Payment Instructions

Please have your payment details ready before starting the payment process.

Partial payment over multiple sessions is not acceptable.

Complete payment must be made in one session.

Payment must be made using one payment method only.

Petition Fee:	\$0.00		
Total Amount:	\$0.00		
Payment Due:	\$0.00		
Number of Claims:	2		

Payment Method:\*

Amount:\* \$

Payment Due

**\$0.00**

Payment must match fee amount

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## V. Patent Owner/Respondent Participation

- Select the “New Petitions” tab and then the “Patent Owner/Respondent Participation” option

The screenshot shows the USPTO website interface. The top navigation bar includes 'uspto.GOV', 'Home', 'My Docket', 'New Petitions', 'Finance', 'Correspondence', 'Search All Cases', and 'My Account'. The 'New Petitions' tab is active. Below the navigation bar, there are two main sections. The left section is titled 'Create New Petition' and lists requirements: 'The Trial Type', 'The Patent Number', 'The Number Of Claims', 'Real Party In Interest', 'Petition Documents', 'Payment Information', 'Counsel Information', and 'Related Matters'. A 'Create New Petition' button is at the bottom. The right section is titled 'Patent Owner/Respondent Participation' and lists requirements: 'Patent or Application Number', 'Proceeding Number', 'Real Party In Interest', 'Counsel Information', and 'Related Matters'. A 'Start' button is at the bottom.

- Begin by entering the patent number for the proceeding (or application number in the case of a derivation proceeding)
- Select the correct proceeding and click “Next”
- Enter mandatory notice information in the following screens
- A Board paralegal will then verify the information and send an email notification
- Patent owner/respondent can then login, access the case, and begin uploading documents (e.g., preliminary response, motions) by selecting the “Upload Document” option

The screenshot shows the USPTO website interface with the 'Patent Owner Identification' form. The top navigation bar is the same as in the previous screenshot, but the 'New' tab is active and has a 'Close' button. Below the navigation bar, there is a note: '\* Indicates Required Fields'. The form is titled 'Patent Owner Identification' and contains a text input field labeled 'Enter Your Patent / Application Number:' followed by a 'Search' button. At the bottom of the form, there is a disclaimer: 'Giving false or misleading information to the United States government is a crime. 18 U.S.C. 1001.'

- Once a patent owner/respondent is verified and participating in a proceeding, the patent owner/respondent should access the case via the “My Docket” tab and not select “Patent Owner/Respondent Participation” again

## VI. View Docket

- Select the “My Docket” tab
- Click the “All,” “IPR,” “PGR,” “CBM,” and “DER” tabs to filter by proceeding type
- Screen displays Case Number, Filing Date, Institution Date, Patent Number, Application Number, Petitioner, Patent Owner, My Role, Status, and Tech Center for each case

The screenshot shows the 'My Docket' page on the USPTO website. The navigation bar includes 'uspto.GOV', 'Home', 'My Docket' (selected), 'New Petitions', 'Finance', 'Correspondence', 'Search All Cases', and 'My Account'. The main content area is divided into two sections: 'Search For a Case' and 'Filter My Cases By'. The 'Search For a Case' section has input fields for Case Number, Patent Number, and Application Number, with 'Clear' and 'Search >>' buttons. The 'Filter My Cases By' section has expandable options for Party Name, Institution Date, and Filing Date, with 'Clear' and 'Filter Results' buttons. On the right, there are tabs for 'All (0)', 'IPR (0)', 'PGR (0)', 'CBM (0)', and 'DER (0)'. Below these tabs is a table header with columns: Case Number, Filing Date, Institution Date, Patent Number, Application Number, Petitioner, Patent Owner, My Role, Status, and Tech Center. The table currently displays 'No items'.

## VII. View Documents in a Case (Party Search Screen)

- Select a case from the “My Docket” tab
- “Petitioner Info” and “Patent Owner Info” tabs display information about the case and the parties
- “Documents” tab includes separate “Papers” and “Exhibits” tabs
  - Screen displays Document #, Name, Document Type, Filing Date, Filing Party, Filed By, and Availability for each document
  - Filing Party column lists “Petitioner,” “Patent Owner,” or “Board”
  - Open a document by clicking the link in the Name column
  - Filter documents by Filing Date, Document Type, and/or Filing Party

The screenshot shows the USPTO web interface for case IPR2013-70041. The navigation bar includes 'uspto.GOV', 'Home', 'My Docket', 'New Petitions', 'Finance', 'Correspondence', 'Search All Cases', 'My Account', and 'IPR2013-70041 Close'. Below the navigation bar are buttons for 'Update Information' and 'Upload Document'. The main content area is titled 'Petition (IPR2013-70041)' and includes a note '\* Indicates Required Fields'. A summary table shows case details: Proceeding (IPR2013-70041), Patent Number (5000000), No of Challenged Claims (1), Status (Pending), and Accorded Filing Date (Jun 18, 2013). Below this is a 'My Pending Tasks' section with a table for Description, Task Created On, and Status, currently showing 'No items'. The 'Documents' tab is active, showing a filter sidebar with options for Filing Date, Document Type, and Filing Party. The main document list table has columns for Document #, Name, Document Type, Filing Date, Filing Party, Filed By, and Availability. The list contains three items: 1. Petition, 2. Power of Attorney, and 3. Related Matters.

Proceeding	IPR2013-70041	Patent Number	5000000	No of Challenged Claims	1	Status	Pending	Accorded Filing Date	
Petitioner	Petitioner	Patent Owner	Technology Center	Filing Date	1800	Filing Date	Jun 18, 2013	Institution Date	

Document #	Name	Document Type	Filing Date	Filing Party	Filed By	Availability
1	<a href="#">Petition</a>	Petition	6/18/2013	Petitioner	jdoe2	Public
2	<a href="#">Power of Attorney</a>	Power of Attorney	6/18/2013	Petitioner	jdoe2	Public
3	<a href="#">Related Matters</a>	Notice	6/18/2013	Petitioner	jdoe2	Public

## VIII. View Documents in a Case (Public Search Screen)

- Select a case from the “Search All Cases” tab
- Screen displays Name, Type, Exhibit/Paper Number, File Name, Filing Date, Filing Party, and Availability for each document
- Filing Party column lists “Petitioner,” “Patent Owner,” or “Board”
- Open a document by clicking the “View Document” link

The screenshot shows the USPTO public search interface. At the top is a navigation bar with the USPTO logo and links for Home, My Docket, New Petitions, Finance, Correspondence, Search All Cases (highlighted), and My Account. Below the navigation bar is a search area with input fields for Case Number, Patent Number, and Application Number, along with a Search button. A table displays search results for case IPR2013-70041, listing filing date, institution date, patent and application numbers, petitioner, patent owner, status, and tech center. A 'Documents' window is overlaid on the search results, displaying a table of documents for case IPR2013-70041. The document table includes columns for Name, Type, Exhibit/Paper Number, File Name, Filing Date, Filing Party, and Availability, with 'View Document' links for each entry.

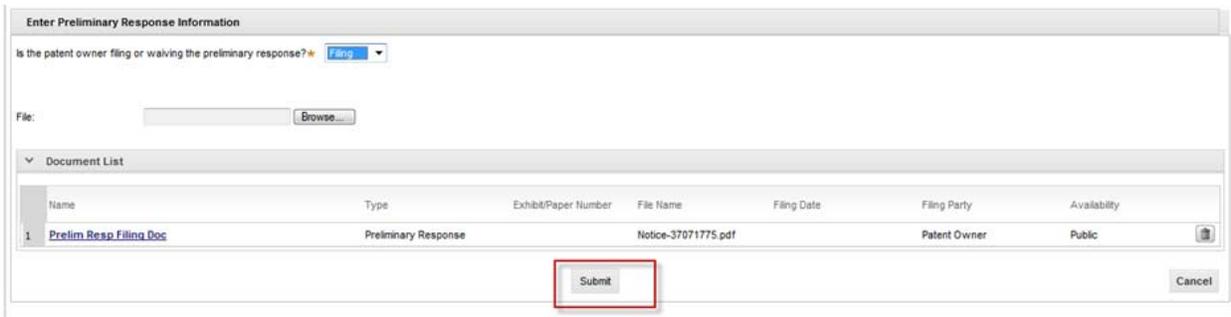
Case Number	Filing Date	Institution Date	Patent Number	Application Number	Petitioner	Patent Owner	Status	Tech Center
IPR2013-70041	6/18/2013		5000000	07352062	Petitioner		Pending	1800

Name	Type	Exhibit/Paper Number	File Name	Filing Date	Filing Party	Availability
Petition	Petition	1	Petition 1.pdf	6/18/2013	Petitioner	Public <a href="#">View Document</a>
Power of Attorney	Power of Attorney	2	Power of Attorney.pdf	6/18/2013	Petitioner	Public <a href="#">View Document</a>
Related Matters	Notice	3	Related Matters.pdf	6/18/2013	Petitioner	Public <a href="#">View Document</a>

## IX. Filing a Patent Owner Preliminary Response

- Select the appropriate case from the “My Docket” tab
- Click on “Upload Document” in the top-left of the screen and select “Preliminary Response”
- On the following screen, select “Filing” in response to the question “Is the patent owner filing or waiving the preliminary response?”
- Upload the document and click “Submit”
- User will receive a confirmation email



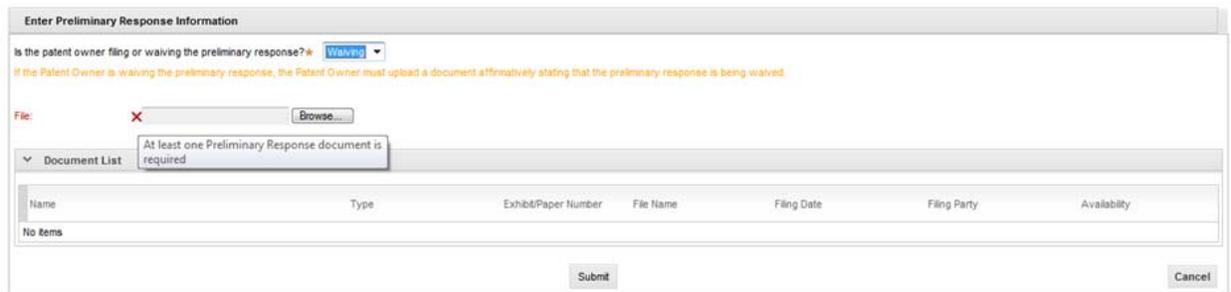
The screenshot shows a web form titled "Enter Preliminary Response Information". At the top, there is a dropdown menu with "Filing" selected. Below this is a "File:" field with a "Browse..." button. A "Document List" section is expanded, showing a table with the following data:

Name	Type	Exhibit/Paper Number	File Name	Filing Date	Filing Party	Availability
1 Prelim Resp Filing Doc	Preliminary Response		Notice-37071775.pdf		Patent Owner	Public

At the bottom of the form, there are "Submit" and "Cancel" buttons. The "Submit" button is highlighted with a red box.

## X. Waiving a Patent Owner Preliminary Response

- Select the appropriate case from the “My Docket” tab
- Click on “Upload Document” in the top-left of the screen and select “Preliminary Response”
- On the following screen, select “Waiving” in response to the question “Is the patent owner filing or waiving the preliminary response?”
- Upload a document stating affirmatively that the patent owner intends to waive the preliminary response, and click “Submit”
- User will receive a confirmation email



The screenshot shows the same web form as above, but with "Waiving" selected in the dropdown menu. A message in orange text reads: "If the Patent Owner is waiving the preliminary response, the Patent Owner must upload a document affirmatively stating that the preliminary response is being waived." Below this, the "File:" field has a red "X" icon and a "Browse..." button. A tooltip message says "At least one Preliminary Response document is required". The "Document List" section is collapsed and shows "No items". At the bottom, there are "Submit" and "Cancel" buttons.