

Pre-Grant Publication (PGPub)

Global Concept of Operations

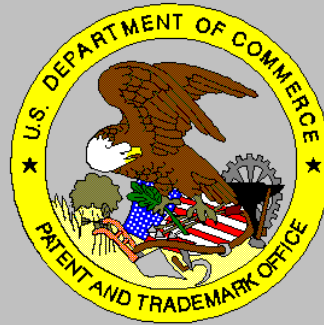


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1.0 INTRODUCTION

This Concept of Operations (ConOps) sets forth the changes to current procedures necessary to implement Pre-Grant Publication (PGPub) on November 29, 2000. The ConOps is organized as follows:

- Pre-Examination (Section 2.0)
- Examination (Section 3.0)
- Publication (Section 4.0)
- Information Dissemination (Section 5.0)

1.1 Background

Legislation has been enacted to minimize the delay in disclosure of technology contained in patent applications. This requires publication of each pending patent application 18 months after its effective filing date, unless it has not been filed in any foreign patent office and the applicant requests that it not be published. The legislation applies to utility and plant applications but does not apply to design or provisional applications.

Only plant and utility applications will be published under Pre-Grant Publication. The following plant and utility applications will be excluded from publication:

- Applications subject to Secrecy Order;
- Applications abandoned prior to assignment of patent application publication numbers;
- Applications that have resulted in granted patents before the assignment of patent application publication numbers; and
- Applications that the applicants elect not to be published and are not filed in a country that publishes.

1.2 PGPub System

The goal of this document is to describe a set of procedures and automated systems that, on November 29, 2000, will allow the Patent and Trademark Office (PTO) to publish a patent application 18 months after the effective filing date and to provide patent area employees, the public, Intellectual Property Offices (IPOs), and Trilateral Offices (TOs) access to patent application publication information.

The main aspects of the system include:

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- Capture of bibliographic, assignment, classification, and publication data for the production of patent application publication front pages;
- Patent area employees access to document images and searchable text of the patent application publication by application number or publication number, and other bibliographic data fields, including classification, via desktop workstations.
- Public access to document images and searchable text of the patent application publication by application number or publication number, and other bibliographic data fields, including classification, via Web and public workstations in the Patent Search Room (PSR) and certain Patent and Trademark Depository Libraries (PTDLs), and via other media in other PTDLs and Intellectual Property Offices throughout the world;
- Trilateral Offices access to document images and searchable text of the patent application publication by application number or publication number, and other bibliographic data fields, including classification, via Web, bulk data files, and Data File Delivery (DFD) system;
- Intellectual Property Offices access to document images and searchable text of the patent application publication by application number or publication number, and other bibliographic data fields, including classification, via Web and exchange agreement media (typically optical disc);
- Electronic Filing System (EFS) applicant submission of computer-readable application content for: redacted applications¹, applications filed before November 29, 2000 requesting publication, applications to be published “as amended”, and republications of already published patent applications;
- A Web-based copy presented in both a full-text searchable database and a fully-composed page-image database;
- On-demand printing of the patent application publication;
- Paper copies of the complete application file wrapper and contents for non-redacted patent application publications and copies of the application file wrapper and contents for redacted patent application publications will be available for a fee;
- Public access to patent application publication prosecution status and history information via Patent Application and Information Retrieval System (PAIR); and

¹ A “redacted application” is an application that eliminates description not contained in any previously filed foreign submissions per 35 U.S.C. 122(b)(2)(B)(v).

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- Capture and dissemination of application data in Red Book (XML) and Yellow Book (image) format.

1.3 PGPub Products

PGPub will provide the publication, via the PTO Web site, of the:

- Page images of the fully-composed application “as perfected”; and
- Full-text searchable application.

PGPub will accomplish information dissemination by:

- Updating Examiner Automated Search Tool (EAST) & Web-based Examiner Search Tool (WEST) search systems to facilitate patent area employee and public retrieval of patent application publications;
- Enhancing PAIR to display status information and prosecution history about patent application publications;
- Providing paper and other products via Order Entry Management System/Patent and Trademark Copy Sales System (OEMS/PTCS) modifications, as well as providing paper file wrapper copies;
- Providing electronic products to Trilateral Office partners [European Patent Office (EPO) and Japanese Patent Office (JPO)] and other international exchange partners as negotiated; and
- Providing electronic products to commercial vendors/resellers and other customers – including the general public through PTDs.

1.3.1 Patent Application Publication Front Page

A fully-composed patent application publication front page (Appendix A) will be created from bibliographic, assignment, classification data and images of the application “as perfected”. The chart below provides data similar to that found on a patent application publication front page where the data exists. The INID [Internationally agreed Numbers for the Identification of (bibliographic) Data] codes are based on WIPO Standard ST.9. The codes permit users unfamiliar with the English language to understand the significance of the data.

<i>INID Code</i>	<i>Data</i>	<i>Sample</i>
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INID Code	Data	Sample
12	Document name	Patent Application Publication or Plant Patent Application Publication Corrected Patent Application Publication or Corrected Plant Patent Application Publication
	ST.10/B bar code	
10	Publication number	US 2002-0084557 A9 US 2002-0084557 P9
	ST.16 kind code (included in Publication number)	A1 or A2 or A9 P1 or P4 or P9
	ST.3 country code (included in Publication number)	US
43	Publication date (month abbreviated, day, year)	Mar. 6, 2000
48	Publication Date of Correction	Mar. 14, 2002
54	Title of invention	Boot System For Distributed Digital Data Processing System
75	Inventor(s) name(s) [used if inventor and applicant are the same or application filed by an heir or administrator for a deceased or incapacitated inventor]	John Q. Inventor
	Inventor(s) residence(s) (city, state and/or country code)	Manassas, VA (US)
	Correspondence name and address	Smith & Jones 501 Court of the Americas New York, NY 01006 (US)
76	Inventor(s) name(s) [If inventor, applicant and assignee are the same or no real designee. It is also used if the application filed by an heir, administrator for a deceased or incapacitated inventor.]	John Q. Inventor
	Inventor(s) residence(s) (city, state and/or country code)	Manassas, VA (US)
	Correspondence name and address	Smith & Jones 501 Court of the Americas New York, NY 01006 (US)
21	Application number	09-999,999
22	U.S. filing date	Mar. 6, 2000
15	Correction Information	Correction of US 2001-0019557 A2 Mar. 1, 2001 See Claim 7

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INID Code	Data	Sample
65	Related US Application Data (publication number and filing date)	US 2001-0070889 A2 Jun. 14, 2001 US 2001-0019557 A2 Mar. 1, 2001 US 2001-0000045 A1 Jan. 1, 2001 US 2001-0070889 P2 Jun. 14, 2001 US 2001-0019557 P2 Mar. 1, 2001 US 2001-0000045 P1 Jan. 1, 2001
60	Provisional application No.	60-000,000 Dec. 13, 1999
62	Division of Serial No.	08-000,000 Aug. 9, 1999, Pat. No. 1,234,567
63	Continuation/Divisional/Continuation- In-Part Data	Continuation of Ser. No. 000,000 filed on Dec. 13, 1999
30	Priority Data	Jun. 15, 2000 (JP) Japan.....2- 000000
22	PCT Filing Date	Mar. 1, 2001
86	PCT No. 371 Date	PCT/EP96/00000 May 1, 1998
87	PCT Pub No. PCT Pub Date	May 1, 1998 Feb. 13, 1997
51	International Patent Classification(s)	Int. Cl ⁷H04Q 9/00
52	U.S. Patent Classification(s)	U.S. Cl ... 364/200 , 379/94, 268, 269, 272, 284
57	Abstract	A distributed digital data processing....
	Representative Figure	

There are four types of retrieval methods for patent application publications. One method is to enter the full publication number, e.g. US 2002-0084557 A9. Another method is to enter the publication number without the country code, e.g. 2002-0084557 A9. The third method is to enter the publication number without the kind code, e.g. US 2002-0084557. The last method is to enter the publication number without the country and the kind code, e.g. 2002-0084557.

1.3.2 Patent Application Publication Contents

The application contents published will consist of a fully-composed front page and specification. This includes the abstract, specification, claims, and drawings of the application that were scanned as part of the intake process. If the original submission was not in an English language, the applicant-supplied translation will be published in its place.

The application content for publication will be “as perfected”. See Section 2.0.

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1.3.2.1 Publication Number

Utility and plant type published application numbers begin with the year, followed by a dash and a seven digit numerically sequenced number. The number is preceded by the ST.3 country code (US) and followed by the ST.16 kind code. The numbering sequence, shown below, will start over at the beginning of each new calendar year.

US 2001-0000001 A1	(Utility)
US 2001-0000001 P1	(Plant)

1.3.2.2 Kind Code

Secondary publications of corrections initiated by the PTO will carry a new publication number with a different ST. 16 kind code:

US 2001-0002301 A9	(Utility - correction involving complete reprint of document)
US 2001-0004501 P9	(Plant - correction involving complete reprint of document)

Secondary publications, such as republications initiated by the applicant, will be given a new sequential publication number and the kind code A2 for utility type patent application publications and P4 for plant type patent application publications:

US 2001-1234567 A2	(Utility)
US 2001-1112222 P4	(Plant)

Using this approach, US Utility Patent Grants will become "B" publications (second publications of application content). This is similar to other patent offices with B1 being the kind code for grants with no previous Pre-Grant Publication and B2 being the kind code for grants with previous Pre-Grant Publication.

US 7,654,321 B1 if no prior publication
or
US 7,654,321 B2 if prior publication

Re-examination publications (which are now identified as "B" publications) become "Cx" publications.

Using this approach, US Plant Patent Grants will become second "P" publications. P2 will be the kind code for grants with no previous Pre-Grant Publication and P3 will be the kind code for plant grants with previous Pre-Grant Publication.

US PP23,456 P2 if no prior publication
or
US PP23,456 P3 if prior publication

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1.4 PGPub Training

The Public Relations/Training Team (PRT) will work with the other process teams to identify, define, develop, and implement the required training programs to prepare PTO staff for the deployment and operations of PGPub.

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2.0 PRE-EXAMINATION PROCESSING

This section describes the PTO activities necessary to process an application from receipt to "perfection" for publication. Applications released from Pre-Exam will have all data available for publication with the exception of the classification data and representative figure that is completed by Examination. Under the implementation of Pre-Grant Publication, the following major changes will occur:

- All applications will be held in the Office of Initial Patent Examination (OIPE) or PCT Operations (PCT-Ops) until the application is "perfected". An application "as perfected" will have the following requirements resolved:
 1. A nonprovisional application must include some written description of the invention, a drawing (if necessary for an understanding of the invention), and at least one claim to entitle it to a filing date.
 2. An application that appears to omit a portion of the description or a drawing figure(s) must have the omitted item issue resolved within 2 months. After 2 months has elapsed, the application is considered "perfected" if no other deficiencies exist.
 3. Application papers and drawings must be of sufficient quality to be used for Pre-Grant Publication. Otherwise, suitable substitute pages must be received.
 4. Drawings must meet the publication standards. The same standards will apply to the patent application publication as with the patent grant. See Section 2.9.3 for the standards that are applied to drawings.
 5. An abstract will be no longer than 250 words and must begin on a separate page.
 6. The title will be no longer than 600 characters including spaces. The rule will specify 500 characters to reduce the number of submissions that exceed the system capabilities of 600 characters.
 7. Claims must begin on a separate page.
 8. An application must establish inventorship with a properly executed Oath or Declaration for all inventors. The Oath or Declaration must include the full name including the family name and at least one given name without abbreviation.
 9. If the original submission was filed in a language other than English, an English translation must be received.
 10. The basic filing fee must be received.
 11. All Pre-Examination surcharges and extension of time fees necessary to avoid abandonment must be received.
 12. All Computer Readable File (CRF) submissions must be compliant with current rules.
 13. Petitions under 37 CFR 1.47 must be sufficient for granting.
- Applicants/attorneys must use EFS to submit redacted publications, voluntary publications, amended applications for publication, and republications. A non-automated review of these applications is required to determine if EFS submitted

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applications are “perfected” for publication. These applications will be reviewed on-screen.

- All applicants will be required to “perfect” their application before it is released from OIPE or PCT-Ops to Examination. The Office will allow for extensions of time under existing rules. **The applicant will not receive a publication date until it is “perfected” (even if there is a follow-up EFS submission);**
- Applicants will be required to submit claims for foreign or domestic priority. They must provide foreign or domestic priority filing information by the later of 16 months from the earliest claimed priority date or four months from the actual filing date of the application;
- Updates to the priority date, projected publication date, and bibliographic data will be performed in the PALM-PGPub Pre-Exam System at the location of the application. This may be in Pre-Exam, Examination, or Publication;
- Applicants must submit, *at time of filing*, requests for non-publication if the applicant has not and will not file the application in a foreign country, regional office, or under a treaty that provides for 18-month publication;
- The appropriate legacy systems, e.g., Patent Application Locating and Monitoring (PALM), PALM-PGPub Pre-Exam system, Patent Application and Information Retrieval (PAIR) system, Patent Application Capture and Review (PACR), Patent and Trademark Assignment System (PTAS), Classification Data System (CDS), and Receipts Accounting Management System (RAM), will be modified to support Pre-Grant Publication requirements;
- Applicants may suggest, *at time of filing*, one representative figure for inclusion on the front page. Applicant may provide assignment information for printing on the front page. This information will be captured in PALM-PGPub Pre-Exam System;
- Applicants whose application will be published, may submit redacted copies of application contents upon request and with the submission of publication-ready copies of application contents as specified via Electronic Filing System (EFS), no later than 16 months from the earliest claimed priority date. This includes drawings submitted after an application is considered "as perfected" (see Section 5.6.2.1);
- Applicants whose applications are still pending and have filing dates before November 29, 2000, can request publication by submitting publication-ready copies of application contents as specified via EFS;
- Applicants whose application will be published may have the application published in an amended state upon request and with the submission of publication-ready copies of application contents as specified via EFS, no later than 14 weeks before the publication date; and

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- Paper copies of redacted or amended publications will NOT be accepted. If the redacted or amended application fails the EFS checks, the PTO will not capture the paper submission of the redaction or amendment in any automated system. The PTO will publish the application “as perfected” from PACR images.

2.1 Electronic Application Review Office (EAR)

The Electronic Application Review Office will be established within OIPE to support EFS submissions. This group will have responsibility for accomplishing at least the following:

- Resolve issues if submission contains a virus detected by the EFS;
- Resolve issues related to bibliographic information (application number, attorney docket number, first named inventor, etc.) that does not match the PALM record for the original paper file. This information is used to verify that the application number for the electronically submitted application is correct;
- Determine if the submission is original, redacted, or voluntary;
- Review the drawings for compliance with drawing standards;
- Collect the publication fees;
- Generate and send preferably electronic notices but otherwise, paper notices regarding any informality, comparable to Pre-Exam notices for new application files. The exact type and nature of possible deficiencies can only be learned from experience;
- Verify proper tagging of information and either correct the tagging or inform the applicant to correct the problem;
- Assists customer with the use of the EFS authoring tools, ePAVE (electronic Packaging and Validation Engine), and other applications identified during EFS development to complete and file the EFS submission;
- Prepare the notice of projected publication date; and
- Forward to Publications.

2.2 Open/Sort

Initial mail processing will be performed as it is now. Paper applications will be received in the OIPE or other PTO locations. New applications will be identified in Open/Sort and directed to Document Preparation according to existing procedures. However, because of the disparity between the requirements for an “as perfected” application and those for a filing date only, it will now be necessary to scan and index certain follow-on papers, some of which are not captured today. More detail is provided in 2.4 Scanning.

2.3 Document Preparation

Changes to current Document Preparation procedures include the addition of separator sheets for the identification of application sections. The Patent Application Capture and

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Review (PACR) System functions will be expanded to accommodate the new separator sheets. The use of separator sheets will facilitate the identification of application images “as filed” (for certification purposes) and “as perfected” (for PGPub purposes). The following new separator sheets will facilitate optical character recognition (OCR), automated first-level security review, and access by examiners to application images for classification and other front page activities:

- Transmittal,
- Application Data Sheet,
- Preliminary Amendments (if present),
- Specification,
- Claims,
- Abstract,
- Drawings, and
- Miscellaneous Papers (Oath/Declaration, Small Entity, Power of Attorney).

The practice of forwarding assignment papers, which are not bundled with the application filing fee, to the Assignment Division for processing will continue. Sequence disks will continue to be removed from the application and forwarded to STIC at this stage.

2.4 Fee Processing

Changes in fee processing will include the processing of the new publication fee. Assignment documents submitted with application filing fees will be posted in RAM and forwarded to the Assignment Division for processing, as is current practice.

2.5 Scanning

All new applications, except Provisionals, will be scanned into PACR with separator sheets that identify:

- Transmittal,
- Application Data Sheet,
- Preliminary Amendments (if present),
- Specification,
- Claims,
- Abstract,
- Drawings, and
- Miscellaneous Papers (Oath/Declaration, Small Entity, Power of Attorney).

The Quality Assurance/Rescan operators will evaluate the quality of the scanned image and complete a deficiency sheet for any page that has a quality problem related to the following rules:

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Specification:

- Each sheet of paper must have a left margin of at least 2.5 cm (1") and top, bottom and right margins of at least 2.0 cm (3/4") (enforced only if grossly incorrect).
- Papers must be flexible, strong, smooth, non-shiny, durable and white.
- Papers must have sufficient clarity, contrast and quality for electronic reproduction.

Drawings:

- Each drawing sheet must include a top margin of at least 1 inch, a left side margin of at least 1 inch, a right side margin of at least 5/8 inch, and a bottom margin of at least 3/8 inch (enforced only if grossly incorrect).
- Lines, numbers, and letters must be clean, black (rejected for poor line quality), uniformly thick, and well defined.
- Photographs (or photomicrographs) will not be permitted unless they are reproducible and what is being shown cannot be drawn. The latter is limited to: crystalline structures, metallurgical microstructures, textile fabrics, grain structures, electrophoresis gels, immunological blots, blots (e.g., western, southern, and northern), autoradiographs, cell cultures (stained and unstained), histological tissue cross sections (stained and unstained), animals, plants, in vivo imaging and thin layer chromatography plates. Additional items will be added to the exception list if a new material is identified that cannot be drawn.
- Color drawings or photographs must be accompanied by an electronically reproducible black and white drawing or photograph. (Scanning operator will select the color or black and white copy that produces the best quality image.)

The operator will scan the deficiency sheet to add it to the application image file, and place the deficiency sheet in the application file wrapper on top of the transmittal letter.

New process-flow and procedures are required for scanning and indexing follow-on papers. The follow-on papers to be scanned include, but are not limited to:

- Corrections to the initially scanned pages,
- Omitted items,
- Incomplete application responses, and
- English language translations.

PACR will maintain version control of document images. The document images required for a certified copy of the "as filed" application will be separately retrievable from the document images which represent the "as perfected" version for PGPub purposes. The capture of follow-on papers will require unique separator sheets to aid PACR in maintaining version control.

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Using version control, PACR will add any omitted items and incomplete application responses to the “as filed” application to ensure that the Certifications Branch prints certified copies of an application “as filed”. Corrections to the initially scanned pages and English language translations are not considered part of the “as filed” application. Therefore, they will not be included in a certified copy of the “as filed” application.

The Specification, Abstract, any Preliminary Amendments, and Claims will be OCR'd to create a textual data file of the application. Preliminary amendments, however, will not be published. Drawings, which are submitted after an application is considered “perfected”, must be filed electronically using EFS. For this purpose, an additional separator sheet will not be required.

PACR text processing functionality will be enhanced to count the number of words present in the Abstract. The word count will be passed to PALM-PGPub for enforcement of the 250-word limit on Abstracts during the Pre-Examination formalities review.

Missing parts responses that consist of the Oath/Declaration, Small Entity, Power of Attorney, and/or basic filing fee will not be scanned. The information on these documents that is necessary for publication will be captured in PALM-PGPub.

2.6 National Security Review

Images of new applications flagged by PACR for 2nd level security review by the Licensing and Review (L&R) Office will be forwarded to the Licensing & Review System (LARS) for security review in TC3600, as is current practice.

Follow-on documents scanned into PACR will be stored in the PICS database, based on the current L&R status of the application. If L&R has not reviewed the application or given it a referred status, the follow-on documents will be directed to LARS. If the application is in a cleared status, or the application has been forwarded to the Defense Threat Reduction Agency (DTRA) or other reviewing agencies for 3rd level review, the images are not directed to LARS.

Defense and other reviewing agencies are expected to complete their third-level security review within three months of receiving application copies from the PTO. However, these agencies frequently take substantially longer. It is anticipated that some applications will still be undergoing 3rd level review when due for publication release.

Applications that are still under 3rd level review will be cleared for publication release by L&R if (1) the reviewing agency has had the application for at least three months and (2) six months has elapsed since the actual U.S. filing date. To make this determination, the date of referral to the reviewing agency is recorded in PALM.

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L&R will only clear applications where a petition for accelerated publication has been granted for publication release if it meets the criteria in the paragraph above.

At the end of the review period identified above, L&R will receive a weekly listing of applications, with incomplete security reviews from PALM, due for publication release. At the same time, a letter will be sent to the defense or other reviewing agencies advising that the application will be cleared for publication. This will start the 14-week publication cycle. L&R will use the listing to clear for publication those applications that have been under review for more than three months and have been on file for more than six months by means of the Licensing and Review System (LARS). Since a Secrecy Order may be recommended during the 14-week publication cycle, PALM will support the ability to remove an application from the publication cycle up to four weeks prior to publication.

2.7 Presumptive (Routing) Classification

New applications will be assigned a presumptive (routing) classification according to current practice.

2.8 Capture of Bibliographic Data

PALM-PGPub will provide bibliographic data for publication of the new applications to the database contractor. EFS will provide bibliographic data for redactions, amendments, voluntary publications, and republications to the database contractor.

For internal processing, capturing the bibliographic data for new applications will be performed as it is currently. The PTO will provide a mailbox to receive correspondence for changes to PGPub data.

New data fields for assignee name and address will be added to PALM-PG Pub Pre-Exam. Currently, applicants may delay providing the full name (including the family name with at least one given name without abbreviation) until the Examination Phase. However, the PGPub process will require the full name (including the family name with at least one given name without abbreviation) for the Pre-Examination Phase. If an application data sheet is submitted, the complete name of the inventor is to be taken from this sheet, so long as this person is part of the inventive entity listed on the executed declaration in compliance with 37 CFR 1.64. An inventor shall not be included in the PALM bibliographic data if s/he has not signed the declaration personally or a person authorized by 37 CFR 1.42, 1.43, or 1.47 has not signed the declaration on his/her behalf.

For PGPub purposes, additional bibliographic information to be captured in PALM-PGPub Pre-Exam at this time will include: assignment name and address for publication, and request to avoid publication based on no foreign filing. Upon entry of

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bibliographic data, the filing receipt will be generated. No publication date will be printed on the filing receipt until the application is “perfected”.

PTO will enforce rules that require applicants to submit application papers and drawings suitable for electronic publication quality. PTO rules will be modified to allow applicants to provide the assignment name and address to be included on the fully-composed front page. The assignment name and address are new fields to be established in the PALM-PGPub Pre-Exam subsystem.

2.8.1 Assignment Data

The Assignment Division will follow current procedures to process assignment requests. If the applicant has indicated on the transmittal letter or the Application Data Sheet that the assignee data must appear on the front page, the assignee information will be captured like other bibliographic data and stored in PALM. The regular assignment recordation process will continue in parallel with OIPE application processing. Assignment documents are separated from the application at Document Preparation or fee collection. Therefore, the applicant must provide assignment name and address for publication on the transmittal letter or Application Data Sheet if s/he wants the assignment information printed on the front page. OIPE will not verify if an assignment was filed or not.

2.8.2 Representative Figure

Applicant may specify at time of filing one representative figure for publication on the front page. This will be captured in the PALM-PGPUB Pre-Exam system. The examiner may change this information and specify up to two figures. (See Examination Section.)

2.9 Formalities Review

This section describes the evaluation performed to ensure that an application can continue to be processed at the PTO. PGPub filing and information requirements shall be extended to all utility and plant applications, since an application not initially subject to publication may be published later.

2.9.1 Incomplete Applications

Incomplete applications are applications that do not meet the minimum statutory requirements to be entitled to a filing date (i.e. an application must include some written description, a drawing when necessary for an understanding of the invention, and at least one claim in a nonprovisional application). These applications are not assigned a filing date until the applicant supplies the missing part(s). There are no changes to the current process.

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2.9.2 Omitted Items

Applications that omit a portion of the description or a drawing figure(s) are categorized as omitted items. Applicants must resolve all omitted items before the two-month, non-extendable period to respond expires, for an application to be considered “perfected”. If a nonprovisional application appears to omit a portion of the description or a drawing figure(s) but the application includes the (some) written description, drawing (if necessary), and at least one claim necessary for a filing date, then the application is accorded a filing date. However, the applicant is notified that the application appears to omit a portion of the description or the drawing figure(s). The notice gives the applicant the option of:

- Not responding, in which case the application is processed using the application papers as deposited, without the portion of the description or a drawing figure(s) that appears to be omitted;
- Submitting a petition within the two month non-extendable period provided in 37 CFR 1.181(f) asserting that the PTO lost the portion of the description or a drawing figure(s) that appears to be omitted. In this case the application is processed using the application papers as deposited, plus an applicant-supplied copy of the portion of the description or a drawing figure(s) that appears to be omitted if the petition is granted; or
- Submitting a petition within the two month, non-extendable period provided in 37 CFR 1.181(f) to request that the PTO accept the portion of the description or a drawing figure(s) that appears to be omitted. In this case the application is processed using the application papers as deposited plus an applicant-supplied copy of the portion of the description or a drawing figure(s) that appears to be omitted. The application is then assigned a filing date as of the date that the applicant supplied these items.

For these omitted items cases, the following will occur:

- An effective filing date will be assigned;
- “To Be Determined” will be printed for the projected publication date;
- A filing receipt will be produced; and
- A required omitted items letter will be produced.

Applications that have omitted items will be held for two months, plus a variable period of time, to allow any response and the application to be matched or until the applicant responds to the Notice of Omitted Items, whichever comes first.

- If the applicant responds and requests a new filing date, the PALM-PGPub Pre-Exam System will be updated with the new filing date. A new filing receipt will be issued with the new filing date and projected publication date. The application will be forwarded to Examination if no other Pre-Exam requirements are outstanding.

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- If the applicant asks to retain his/her prior filing date and have the omitted item included, the application will be forwarded to the Office of Petitions for a decision.
- If the applicant does not respond, a new filing receipt showing the projected publication date will be issued and the case will be forwarded to Examination.

2.9.3 Corrected Application Papers and Drawing Requirements

The applicant must resolve all paper and drawing issues before an application may be considered "perfected". Applications with papers and/or drawings that are not of sufficient quality to be used for Pre-Grant Publication will be issued a Notice to File Corrected Application Papers. An application may be entitled to a filing date and contain the content necessary for Pre-Grant Publication, but have papers and/or drawings whose quality is not adequate to be used for Pre-Grant Publication. The application is not released from OIPE or given a publication date until the applicant provides a specification and drawing sheets (if drawings are included) on sheets of paper that meet OIPE's requirements.

- Specification:
 1. All Sheets of paper must be either A4 (21cm x 29.7 cm) or 8-1/2"x 11".
 2. Each sheet of paper must have a left margin of at least 2.5 cm (1") and top, bottom and right margins of at least 2.0 cm (3/4"). (Enforced only if grossly incorrect).
 3. Paper used must be flexible, strong, smooth, non-shiny, durable and white.
 4. Papers must be prepared with a typewriter or mechanical printer in permanent dark ink or its equivalent on only one side. Papers cannot contain hand lettering and/or initials except for signature requirements.
 5. Line spacing on sheets must be 1-1/2 or double-spaced.
 6. A verified English translation of any non-English language application must be presented.
 7. Paper must have sufficient clarity, contrast and quality for electronic reproduction.
 8. Claim or claims must commence on a separate sheet.
 9. An Abstract must commence on a separate sheet.
 10. An Abstract must not exceed 250 words.
 11. Title must not exceed 500 characters by rule but the PTO practices and systems will accommodate 600 characters including spaces.
- For drawings, Pre-Exam will enforce these 37 CFR 1.84 requirements. The same requirements will be enforced for patent grants unless an examiner makes his/her own objection following current practice.

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1. Drawings must be in dark ink (not pencil), except where color drawings or photographs are permitted.
2. Photographs (or photomicrographs) will not be permitted unless they are reproducible and what is being shown cannot be drawn. The latter is limited to: crystalline structures, metallurgical microstructures, textile fabrics, grain structures, electrophoresis gels, immunological blots, blots (e.g., western, southern, and northern), autoradiographs, cell cultures (stained and unstained), histological tissue cross sections (stained and unstained), animals, plants, in vivo imaging, thin layer chromatography plates, and ornamental effects (design applications).
3. Drawing sheets must be reasonably free from erasures and must be free from alterations, overwritings, interlineations, folds, and copy marks.
4. Drawing sheets must be either 8 ½ by 11 inches or DIN size A4.
5. Each drawing sheet must include a top margin of at least 1 inch, a left side margin of at least 1 inch, a right side margin of at least 5/8 inch, and a bottom margin of at least 3/8 inch (if grossly incorrect).
6. Lines, numbers, and letters must be clean, black (rejected for poor line quality), uniformly thick, and well-defined.
7. The English alphabet must be used for letters, except where another alphabet is customarily used, such as the Greek alphabet to indicate angles, wavelengths, and mathematical formulas.
8. Numbers, letters, and reference characters must measure at least 0.32 cm (1/8 inch) in height.
9. Lead lines are required for each reference character (except for those which indicate the surface or cross section on which they are placed, in which case the reference character must be underlined to make it clear that a lead line has not been left out by mistake).
10. Drawing views must be numbered in consecutive Arabic numerals, starting with 1.
11. Color drawings or photographs must be accompanied by an electronically reproducible black and white drawing or photograph.

The applicant will have 2 months, plus the ability to purchase up to 5 months of extension, to comply with the Notice to File Corrected Application Papers. For these cases, the following must occur or the case will be held abandoned:

- An effective filing date will be assigned;
- “To Be Determined” will be printed for the projected publication date
- A filing receipt will be produced; and
- A required Notice to File Corrected Application Papers will be produced.

After the applicant submits the required information to comply with the Notice to File Corrected Application Papers and any other Pre-Exam notice, a new filing receipt will be issued which provides the projected publication date.

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Applications that fail to comply with the Notice to File Corrected Application Papers requirement will be abandoned and will not be published.

Application images will not be exported to the database contractor until the application is “perfected”.

2.9.4 Missing Parts

Missing parts applications will not be published until the following issues are resolved:

- Payment of basic filing fee;
- A properly executed Oath or Declaration which:
 1. Names each inventor by at least a family name and one given name without abbreviation; and
 2. Is signed by each inventor (or a party qualified to sign under 37 CFR 1.42, 1.43, or 1.47).

The applicant will have two months to comply with the missing parts notification, plus the ability to purchase up to five months of extension, or the case will be held abandoned. For these missing parts cases, the following will occur:

- An effective filing date will be assigned;
- “To Be Determined” will be printed for the projected publication date;
- A filing receipt will be produced; and
- A required missing parts letter will be produced.

After the applicant submits the required information to comply with the missing parts notices and any other Pre-Exam notice, a new filing receipt will be issued which provides the projected publication date. Note that residence and citizenship data are not required for an “as perfected” application.

Applications that fail to comply with the missing parts requirements will go abandoned and will not be published.

2.9.5 Pre-Exam Bio-Sequence Filings

To be considered a “perfected” application suitable for publication, applications containing nucleic acid and/or amino acid sequences will now be required to include sequence data in electronic format, on diskette or EFS/Compact Disc-Readable (CD-R), that is in compliance with the sequence rules, 37 CFR 1.821-825. Following current practice, sequences submitted in electronic format will be forwarded to STIC from OIPE for compliance check and updating to ABSS. STIC will continue to update PALM with the results of the compliance check. Compliant listings will undergo formalities review. Non-compliant files will be returned to OIPE with prepared notices. OIPE or the

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Technology Center will work with the applicant to perfect the application. “Perfected” applications (or those “perfected” with exception of containing a compliant sequence) will be forwarded to the appropriate Technology Center. At that time the application will be considered complete. A new filing receipt will be produced and mailed. The Technology Center will forward the application to the appropriate Group Art Unit (GAU) for classification and docketing.

Version control will be established for sequence submissions to provide for the instances of redacted, amended and republication applications.

2.9.6 Priority

There will be no change to the current process of determining the actual U.S. filing date. However, there will be changes to the determination of effective filing dates due to PGPub. The applicants must notify the PTO of any claim for priority at the time of filing or 4 months from filing or 16 months from the earliest claimed priority date, whichever is later. Failure to submit the priority information within this time may result in loss of the priority. Whoever has the application file wrapper will be authorized to update the projected publication date based on the change in priority in the PALM-PGPub Pre-Exam System. The initial projected publication date will be calculated in PALM, based on PALM-PGPub Pre-Exam System input.

Applicants claiming priority within the permitted time will follow the current process. Based on the priority date change, the projected publication date may also be changed. A corresponding Change Notification Letter must be printed, via the PALM-PGPub Pre-Exam system, and sent to the applicant. However, the letter will not be placed in the paper file wrapper. The support services contractor and the tech support staff will be instructed about this procedure and monitoring by both parties will ensure its success.

2.9.7 Calculation of Projected Publication Date

The projected publication date will be calculated as the first Thursday following 18 months from the effective filing date. The projected publication date for priority applications requiring immediate publication, completion by the applicant of requirements to make the application suitable for electronic publication, or applicant request will be the first Thursday following a minimum of 14 weeks after the date of calculation.

The projected publication date can be changed for the following reasons:

- Request for early publication is received;
- Petition for adjustment of the U.S. filing date is granted;
- Security review has been completed or the review cycle time exceeded;
- A claim for foreign/domestic priority is accepted or changed;

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- Application is withdrawn from PGPub publication cycle four weeks prior to the projected publication date;
- Application is issued as a Patent more than two weeks prior to the publication date;
- Application has changed to provisional (which precludes publication) more than two weeks prior to the publication date;
- Applicant has notified the OIPE of foreign filing or intent to file in a foreign office;
- Applicant has rescinded a request not to publish;
- A Secrecy Order has expired on an application;
- An abandoned unpublished application is revived; or
- Application is abandoned prior to the assignment of the patent application publication number.

If the projected publication date is changed, PALM-PGPub will automatically generate a Change Notification Letter, which will be mailed to the applicants. If a Statutory Invention Registration (SIR) request is received, and no publication number has been assigned, then the application will be pulled and the SIR request acted on.

Whenever a change in the projected publication date occurs, a notice will be sent to the applicant indicating the changed projected publication date and the date by which the applicant must notify PTO if they are going to abandon or withdraw the application.

PGPub DATE is based on PALM-PGPub Pre-Exam System input. The detailed calculation is described in Appendix B.

2.9.8 Generation of Filing Receipt

Filing receipts sent to applicants after the application is “perfected” will contain the projected publication date and the date by which the applicant must notify the PTO of his/her intent to abandon or withdraw an application. If the applicant provides new information or if the projected publication date is changed for any reason, the PALM-PGPub Pre-Exam System will generate a Change Notification Letter from the location the information is entered.

After the filing receipts are produced, “perfected” applications will be forwarded to the appropriate Technology Centers for selection and entry of the representative drawing(s) and classification data.

The projected publication date will not be printed on the filing receipt for cases under L&R review. When a case is sent to the agency for a 3rd level review, a Change Notification Letter will be sent informing the applicant of the referral. At the time of referral for 3rd level review, the reviewing agency will also be advised of the projected publication date as based on the effective filing date of the application.

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Assignment information will be added to the filing receipt. "No Publication" will appear in the publication date field if there is a request to not publish the application.

2.9.9 Patent Cooperation Treaty (PCT) Case Files

Bibliographic data for PCT applications entering the National Stage in the PTO will be captured in the International Division. The International Division directly receives all newly filed 371 National Stage applications. The applications are assembled in a file wrapper. Filing fees are captured in the RAM System. Then the application is initialized in the PALM System. The PTO will publish National Stage applications even though WIPO will have already published them a few months earlier. The International Division will assign a routing (expected) classification based on the International Patent Classification (IPC) of the application.

Bibliographic data is entered into the PALM-PGPub Pre-Exam System and rolls over to the old PALM system (PRO dataset). Then the application is assigned to a paralegal for review. Prior to delivery of the application to the paralegal, the applications are sent to PCT Central Files where contractors match the IB Article 20 papers with the file wrapper. PALM content entries are updated and the file wrapper is delivered for examination by the paralegal. The paralegal performs a formalities review to determine if the applicant has fulfilled all the requirements. For complete applications, Form 903 (Notice of Acceptance) is filled out. If the application has omissions, Form 905 (Notice of Missing Requirements) is inserted in the file wrapper.

Contractors use specified PALM transactions to generate notices for mailing, set flags and update PALM data. Applications that have a Notice of Acceptance mailed are considered complete or "perfected". The contractors then update any bibliographic data in the PALM-PGPub Pre-Exam, generate a filing receipt, and forward the application for scanning. After the application is scanned, it is forwarded to the appropriate Technology Center.

Applications that have a Notice of Missing Requirements mailed are held in the PCT Central Files awaiting a response from the applicant. Once the response is matched with the file wrapper in PCT Central Files, a paralegal again reviews the application papers. If the application is complete or "perfected", Form 903 (Notice of Acceptance) is mailed, the filing receipt is generated. The application is forwarded for scanning and then released to the appropriate Technology Center. If the application is still not complete, another notice is mailed. This process continues until either the case is complete or the application is abandoned.

2.9.10 Processing of Jumbo Applications

Guidelines for submission of jumbo applications are currently under review. Being considered are the requirements that "jumbo applications" be submitted on Compact Disk-Read Only Memory (CD-ROM) or Compact Disk-Recordable (CD-R). Two examples of these applications are the inclusion of very large bio-sequences and

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computer listings. The inclusion of bio-sequences or computer listings in the specification text will require a reference to the material on CD-ROM or CD-R only. This material will not be scanned in OIPE. Under PGPub, this specification reference to the CD-R material will be published and the material on the CD-R will not be. The public will be able to order copies of the CD-R after publication.

2.9.11 Conversion of Provisional Applications

When an applicant requests conversion of a provisional application to a utility application, the provisional application will be doc-prepped with the application section separator sheets and rescanned to create the “as filed” application for PGPub purposes.

In some provisional application conversions, particularly in the Biotech area, a provisional application may be filed with a large number of claims, whereas the converted application contains a much smaller number of claims. The reduction in claims will be considered a preliminary amendment.

Note that provisional applications will not be published as part of PGPub. An applicant may not request publication of a provisional application.

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3.0 EXAMINATION

Under the PGPub environment, new applications received in the Technology Centers from OIPE will be processed in a manner similar to the current process, with the following exceptions:

- The Technology Centers will provide and may update the following PGPub data: U.S. classification(s), IPC classification(s), and representative figure(s);
- Input and changes to any of the above listed items will be identified on a new PALM screen; and
- After publication, patent application publications become prior art that must be considered in the Examination process. To support Examination, the patent application publications will be available under WEST and EAST.

3.1 Identification of PGPub Data

3.1.1 New Applications

The Technology Centers will receive only “perfected” application case files from OIPE. Technology Centers will process the new application case files for selection and entry of the PGPub data. Working from the paper files or when the paper file is not present from a desktop electronic copy of the file, TC employees will assign one international classification and optionally, additional IPCs. Similarly, TC employees will assign U.S. classifications. Where there are plural inventions, the classification placement should cover all claimed inventions (in the electronic copy - claims as filed; in the paper copy - preliminary amendments to the claims should be considered.) Optionally, the employee may include further classification for additional disclosure. The PALM screen will permit TC employees to assign up to 8 different U.S. secondary classes with up to 6 subclasses in each class. If all secondary classifications are in a single class, up to 48 subclasses will be permitted. The primary PGPub classification will be the class and subclass in PALM where the application is assigned for examination. After entry of this data via the new PALM screen, the selected classification data will be automatically compared to the SubClass Data File (SDF) and the IPC valid symbols file for validation. Once the above classification data has been verified and validated, the PGPub data will be saved in PALM for later publication. If deemed necessary by other TC personnel, they will be able to add further classification data at a later date. However, only select individuals will have the authority to remove any classification data.

TC employees will not review the title or abstract in the PGPub process. The title and abstract will be published in PGPub as provided by the applicant. TC employees will have the option to change any applicant suggested figure and/or

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add one additional figure (no more than two figures will be allowed for the front page). Changes to the suggested figure and all classification data will be entered via the new PALM screen.

All bibliographic changes including filing date will be recorded in PALM in the Technology Center prior to the 9-week freeze date for publishing. Changes, which affect the projected publication date, will cause PALM to generate a Change Notification Letter.

3.1.2 Existing, Redacted, or As-Amended Patent Applications

TC Employees will not re-review any redacted and “as-amended” patent application publications where the front page data via the new PALM screen has been previously completed. Where the front page was not completed prior to the redacted and “as-amended”, the TC employees will complete the front page data (figure, US class, and IPC class). Publication of existing, redacted, and “as amended” patent applications will only be made from the electronic submission provided by the applicant. See 3.1.1 New Applications for more details on the TC process for data entry.

TC Employees will not review the title or abstract. TC employees will have the option to change any applicant suggested figure and/or add one additional figure (no more than two figures will be allowed for the front page). Changes to the suggested figure and all classification data will be entered via the new PALM screen.

3.1.3 Examination of Applications Containing Sequences

Sequence Rules Compliance

Tech Center 1600 & 1700 employees will retain responsibility for working with applicants to obtain a compliant sequence listing for applications forwarded to the Corps. They will send Notices to Comply with the Sequence Rules to the applicant. STIC will update PALM as the amended sequence listings are received and processed. At the time a listing becomes compliant, PALM will be updated with a publication date, thereby releasing the application for Pre-Grant Publication. Sequence listings will continue to be entered into ABSS by STIC when they are determined to be compliant.

Nucleic acid and Amino acid Sequence Searching

Searches on nucleic acid and amino acid sequence data will have to include searches on separate databases containing the sequence information “as received”, “as published”, and “as patented”.

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3.2 Changes to Bibliographic and PGPub Data

All bibliographic changes, including the filing date, will be recorded in PALM. Changes that affect the projected publication date, will cause PALM to generate a Change Notification Letter. The Change Notification Letters will be produced where the changes are entered. These letters will be the responsibility of the area generating the change. Contractor support will be provided to expedite the process.

Patent application publications will be reclassified (as is currently performed with the patented file) during any scheduled reclassification project in the specified class/subclass.

3.3 Availability of Patent Application Publications to Support Examination

TC employees will have the capability to print the patent application publications from their local group printers or desktop printers. Additionally, patent application publications will be searchable, retrievable, and printable via WEST and EAST clients at the employees' workstations. A virtually seamless search of both the patented file and patent application publication file will be available to TC employees. Tech center employees will also have the ability to limit search, retrieval and printing of a single preferred PTO family member of related published and republished patent applications. The preferred member will be that of which has the oldest effective date (either the publication date or the 102(e) date.) All PTO family members will be linked by a single US application serial number.

3.3.1 Production of Paper Copies for Use During Examination

Paper copies of the patent application publication images will be producible from local on-demand group or desktop printers as needed during application prosecution.

3.3.2 Text Search

Text search of patent application publications is required upon initial implementation of PGPub. Text search will be available to the public and the PTO staff.

3.4 Paper Search Files

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Copies of patent application publications will not be placed in the paper search files.

3.5 Paper Application Files

Copies of patent application publications will not be placed in the paper application files.

3.6 Drawings

“Perfected” application files will be delivered to the appropriate Technology Centers with drawings meeting the basic publication requirements. TC employees will not need to review drawings for PGPub because TC staff during the normal course of examination will review the content of the drawings.

3.7 Access to Application Files after Publication

Procedures will be in place in the TC to handle the public’s request for copies of the published files. File copying will be handled as stated in Section 5.1.2.2 of this document. Applicant’s rights to inspect the file remains in effect and current procedures within the TC will continue.

The above noted procedures will include a process that will have TC employees review in-process files and other files in transition to ensure files are copy-ready.

Examiners will be allowed to continue adding “value added” data on the OIPE copy of the drawings with the understanding that this data may be subject to copying for public viewing.

On a daily basis, the copying contractor, utilizing PALM data, will attempt to locate requested files. Files located in central file storage will be retrieved and taken to the nearest copy center. Each file located outside the central files area, such as, with the examiner, SPE, SPRE or in a tech support area will have a sheet attached identifying the file is needed for copying; the file will be given to the examiner of record. The examiner will review and “sanitize” the file within the designated time, removing extraneous personal notes, post-its, and similar material. When the file is copy-ready, the examiner will initial the accompanying sheet and place the file in the designated area for the copying contractor. Files which cannot be removed from their location without disrupting work in process (e.g., the file is in a count box or in a SPE office as part of a signature review or the examiner is currently in-progress with the examination) will not be retrieved for copying.

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3.8 IDS Submissions after Publication

Rules will be in place to limit the submission of IDS by third parties. They may include limiting the time after publication that a submission would be accepted and the number of references that may be submitted.

The MPEP will be amended to provide instructions for the TC to review third party Information Disclosure Statements (IDS). The procedures will include a review to ensure the submissions comply with the appropriate rules and the disposition instructions with non-compliance. This will most likely include checking the submission for proper fees, timeliness, content and deciding on any petitionable matters prior to releasing the document for paper entry and examination review. Procedures will also be in place in the MPEP for examiner handling.

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4.0 PUBLICATION

The Office of Patent Publication will rely entirely on PTO's electronic databases for all Pre-Grant Publication information. The following automated systems will support the Pre-Grant process:

- PACR will provide image content for processing;
- PALM will provide publication tracking, status and bibliographic data;
- EFS will provide electronic applications submitted for publication; and
- ABSS will provide sequence-listing data.

This information will be provided to the database contractor for preparation of the publications to support PTO's search, retrieval and dissemination needs. The database contractor will provide:

- a fully-composed image file of the patent application publication in Yellow Book format for PTO use and dissemination;
- a fully-composed text file of the patent application publication in Red Book (XML) format; and
- PALM update of publication data.

4.1 PG Pub Unit

The PGPub process is initiated by extracting application data from PALM, PACR, EFS and ABSS systems electronically. A review is needed to ensure the electronic data is complete and accurate. The PGPub Unit is responsible for this verification. The PGPub unit will also be responsible for identifying the corrective actions needed to complete required data in deficient applications. Finally, the PGPub Unit will ensure the process is successfully completed by tracking receipt of contract deliverables and performing quality inspections.

Data inspection will ensure:

- Image data is present and complete; and
- Front page data fields are present and appear valid.

Contract deliverables inspection will ensure:

- Image products (Yellow Book) are complete and legible; and
- Full text products (Red Book) meet required quality levels by comparing to the application data.

4.2 Pre-Grant Reports and Schedule

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A series of PALM reports are utilized to prepare application data for publication. The first PALM report is generated 14 weeks prior to the projected publication date. The PGPub Unit will utilize the following reports to track application status and resolve public records.

1. 14-Week Class/Drawing Validation Report: Fourteen weeks before publication, applications that are “perfected” and publication-ready are reported on this list. PALM will automatically re-validate the US and IPC Classification data for an application against the IPC valid symbols file or the current SDF data. Applications that need corrections will be listed on the electronic PALM classification report and sent to the appropriate Technology Centers.
2. 9-Week Publication Report: Nine weeks before publication, a report will be generated which identifies applications available for publication. This report will be sent to PGPub Unit.
3. 9-Week Exception Report: Nine weeks before publication, a report of applications that cannot be published, as referenced in Section 1.1, will be generated using PALM and sent to the PGPub Unit.
4. Weekly Security Report: Once a week, L&R will receive a listing of applications with incomplete security reviews due for publication release. This PALM report will be used to clear the applications from LARS. This will start the 14-week publication cycle. At the same time, a Change Notification Letter will be sent to the applicants and the agencies. The letter will notify the applicants and the agencies of the projected publication date. If a Secrecy Order is placed on an application during the publication cycle, PALM will have the ability to extract the application up to four weeks prior to publication. See Section 2.6 National Security for more details on the Weekly Security Report.

Four weeks before publication is the last withdrawal date for patent applications that are not publication-ready.

4.3 Patent Application Publication

A database contractor will produce a fully-photocomposed patent application publication using the inputs provided from the PTO’s electronic databases. The database contractor will assign patent application publication numbers and prepare the publication products needed for PTO automated systems and IDO products.

PALM-PGPub, the authority of an application's state of perfection for PGPub, will determine if applications are publication-ready 9 weeks prior to the publication date. Applications will not be considered publication-ready until all front page

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activities have been completed. See Section 1.3.1 for more information on front page activities.

4.3.1 Extraction of New Applications to be Published

The PALM System will identify applications that meet the criteria to enter the publication cycle. For applications that are ready to enter the publication cycle that do not have an electronically filed publication version available, the PACR System will create an export of all document images, which constitute the "as perfected" document version. An index file conveying the indexing information maintained in PACR for the image files will be created and provided with each application. The index file will also provide version information for document pages to aid the database contractor in identifying redundant portions of the application that may result from follow-on papers captured to perfect an application. A tape of the exported application images and index files will be produced weekly and sent to the database contractor. PACR will maintain a version control schema to ensure that "as perfected" application images are separately retrievable from "as filed" application images. Since a new publication cycle begins weekly, a tape export will be produced weekly.

The Electronic Application Review (EAR) Office will forward jumbo utility applications that are submitted on CD-ROM or CD-R to the OCIO for processing. OCIO will produce a tape of these files for transfer to the database contractor. The feasibility of providing this data through file transfer protocol (FTP) or some other electronic transfer method will be investigated.

4.3.2 Extraction of EFS Applications to be Published

The EFS system will extract applications filed electronically for publication that are identified by PALM as ready to enter the publications cycle. The electronic application data including XML instances of application documents, supporting TIFF images, Chemdraw and Mathematica files (if submitted by the applicant) will be transferred to tape and provided to the database contractor on a weekly basis. The Class, Subclass, and International Patent Classification information supporting these applications will be extracted from the PALM system and will also be provided on tape to the database contractor on a weekly basis.

4.3.3 Extraction of Sequences for Publication

STIC will receive from PALM a weekly listing of those applications that are to be published under PGPub. STIC will produce a data tape containing the sequences associated with the applications scheduled for publication and

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forward it to the PGPub Unit for transfer to the database contractor. Following current practice, STIC will update sequence records with the publication number and date from the tape returned by the database contractor.

4.4 Production of Publication Products

The database contractor will process and perform those steps necessary to prepare a fully-photocomposed patent application publication. The PTO-supplied tapes, with application data and PALM-PGPub data will be reviewed. The database contractor will create a dual column publication with a front page similar in style and format to an U.S. patent grant. Refer to Appendix A for more details. This publication will be produced in two forms: Yellow Book (images) and Red Book (full text of application). The database contractor will assign an application publication number to each application. See Section 1.3.2.

4.4.1 Image Data

The database contractor will produce image data in "Yellow Book" format. These images will be used on the Web site, loaded into EAST & WEST search systems, and other IDO products (see Section 5.0). Images will consist of the fully-composed front page and the application "as perfected". Fields where no data exists will not be presented.

4.4.2 Full Text Data

The database contractor will produce full text data of the front page and application "as perfected" with XML markup (Red Book) for use on the Web site, the EAST and WEST search systems, and other IDO products (See Section 5.0).

4.4.3 System Update Tape

The database contractor will produce a tape(s) to be used by PTO to update the following systems: PALM, CDS, OEMS/PTCS, ABSS, and PAIR with the appropriate publication information. Tapes will be delivered to the Publications Office on the Monday of the week prior to publication for a quality review. Final tapes will be provided to OCIO by noon Monday the week of publication. This data will be loaded and made available to users on Thursday, the day of publication, each week.

5.0 INFORMATION DISSEMINATION

Information Dissemination Organizations (IDO) will integrate patent application publications and information derived from them into their current range of patent products and services. IDO will make only those changes required by the differences between grants and applications and by the significantly increased workload.

5.1 Center for Patent and Trademark Information

5.1.1 Patent and Trademark Depository Libraries (PTDLs)

Patent and Trademark Depository Libraries (PTDLs) currently receive, house and provide public access to all information published by the PTO in all formats including print, micro format, optical disc, and online products. With the advent of PGPub and its associated electronic-only distribution formats, PTDLs will receive depository copies of all newly developed PGPub optical disc products containing source documents or other PGPub information. In addition, PTDLs will continue to receive all currently published optical disc products to which PGPub information will eventually be added. This includes the Cassis series of products.

5.1.1.1 EAST and WEST

PTDLs also have access to WEST. The Partnership PTDLs in Detroit, Houston, Sunnyvale and Boston have access to both WEST and EAST. PGPub images and text added to these systems will be available to subscribing PTDLs through their already established telecommunications channels.

5.1.1.2 New Developments

Should any new developments arise which result in new additional PGPub products or services, they will be examined for potential distribution or implementation at the PTDLs or Partnership PTDLs.

5.1.1.3 Printed Information Copies

PTDLs will receive depository copies of all printed information explaining the new products developed by the USPTO including general information brochures, documentation on searching, and/or training materials.

5.1.1.4 Service and Product Distribution

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The aforementioned services and products will be provided to PTDLs utilizing already established distribution mechanisms and administered through the Patent and Trademark Depository Library Program under IDO.

5.1.2 Public Search Services Program

5.1.2.1 Patent Search Room (PSR)

The services of the Patent Search Room currently include access to the PTO's online systems, which will be expanded to include access to PGPub images and searchable text. There is no fee to use the PSR.

5.1.2.2 File Wrappers

In general, published application file wrappers will be requested by placing an order for a copy of the file wrapper with the Office of Public Records. See section 5.6, Providing Published Application and File Wrapper Access to PTO Customers.

5.2 Office of Electronic Information Products

5.2.1 Optical Disc Publishing Program (ODPP)

The Cassis series of products currently includes several titles, which contain patent grant information. *USAPat*, *Patents BIB*, *Patents CLASS*, *Patents ASSIST*, and *Cassis Sampler* will be expanded to include information from patent application publications. A new product, *USAApp* will deliver page-images of patent application publications weekly on DVD-ROM.

5.2.1.1 Cassis Product Redesign

Some redesign of Cassis products may be necessary to incorporate patent application publication document numbers in the same indexes with patent grant numbers. By November 29, 2000, these products will be published on DVD-ROM and will easily accommodate the increase in data volume.

5.2.1.2 Cassis Product Data Transfer

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The data required to expand the scope of these products will be sent to ODPP via PTOnet (text for search products) or magnetic tape (DLT, images for document-delivery products), as it does currently for patent grants.

5.2.1.3 Cassis Updates

Documentation, order forms, training materials, the *Cassis Currents* newsletter, and other ODPP print products will be updated to include PGPub information.

5.2.2 Technology Assessment and Forecast (TAF) Program

The TAF database is used primarily to produce general patent statistics necessary to meet the obligations of PTO management. TAF data are also incorporated into PTO products such as many of the optical disc products produced and sold by IDO.

5.2.2.1 Bib Data Load Program

Selected bibliographic data will be extracted from the patent application publication electronic file and loaded into new and existing tables in the TAF database using a new load program. The new load program is expected to borrow substantial coding from the current load program used to load patent grant data into the TAF database.

5.2.2.2 Published Application Data Outputs

Creation of reports similar to those for patent grants will be performed using newly created programs that will borrow substantial portions of coding from the existing patent grant reporting system. Other patent application publication data outputs from the TAF database will also be produced using new methods and programs that are expected to borrow heavily from those that are currently being used to handle and produce output relating to patent grants.

5.2.3 Patent and Trademark Data Dissemination Program

5.2.3.1 FTP Access

FTP access for paying subscribers to weekly text files of patent application publications will be provided, comparable to the files for patent grants. Text will be in Application Red Book format. Abbreviated text products, comparable to offerings for patent grants, will also be available.

5.2.3.2 Image Files

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Magnetic tape (DLT) copies of PGPub image files will be provided on a subscription basis. They will be delivered in time to be in customer hands on publication day. The image files will use the Yellow Book 2 file format [CCITT G4 images with appended metadata derived from Patent Image Retrieval Systems (PIRS)].

5.3 Customer and Marketing Services Group

5.3.1 Customer Services Program

General Information Services (GIS) will provide responses to customers on patent application publications to questions such as:

- What is Pre-Grant Publication (PGPub)?
- When will it begin?
- What are the advantages of the PGPub?
- How do I access PGPub information and documents?

Customer Service Representatives will be trained on responses to the above inquiries.

5.3.1.1 Patent Assistance Center (PAC)

Technical questions regarding PGPub will be transferred to the Patent Assistance Center (PAC) for response.

5.4 Office of Public Records (OPR)

5.4.1 Certification Services Program

The Office of Public Records will continue to receive all orders for certified copies of PTO documents, including patent application and associated file wrappers and papers therefrom. Orders for certified copies of file wrappers or selected papers from redacted applications will be subject to the same entitlement rules as non-published pending applications, i.e., only entitled parties may receive certified copies of the original file papers. Orders for certified copies of redacted applications from unentitled persons will be filled from the redacted file papers. Orders for certified copies of file wrappers or selected papers from non-redacted applications will be available to the public at large, and will be filled from the file similar to patented files.

Internal OPR procedures for processing orders for certified copies of PTO documents will not change under PGPub with one exception. The Patent Cost Center Support Services Contractor will retrieve files and prepare the appropriate copies to fill orders for file wrappers and selected papers from file wrappers, that

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are stored in locations other than the warehouse and Board of Patent Appeals and Interferences (BPAI) locations.

5.4.2 Dissemination Services Program

The public may order copies of PGPub products using the same range of options currently available (mail, phone, fax, and Internet). Products housed on image stores will be available for electronic delivery to the customer (fax or Internet) similar to patent copy sales. Paper copies will be available as a delivery option.

5.5 International Exchange

5.5.1 Trilateral Offices

Trilateral Offices will have access to the full range of products based on or including information from patent application publications, including full text, extracts of bibliographic data, assignment information, classification information, and page image products. They will be offered these products through media, which include the Web, magnetic tape, optical disc, FTP, and the Trilateral Network.

5.5.2 Intellectual Property Offices

The PTO has entered into bilateral exchange agreements with approximately 118 Intellectual Property Offices (IPOs) throughout the world. The PTO provides various patent and trademark related products, mostly CD's and OG's free-of-charge to each office in exchange for similar patent and trademark related products produced by IPOs. Patent application publications, which will be the first-published patent documents of the PTO, will become part of the PCT Minimum Documentation (Rule 34.1 (c)(iii) of PCT Regulations). Therefore, they will be of immense importance to other IPOs.

IPOs will be offered a range of products based on or including information from patent application publications such as extracts of bibliographic data, assignment information, classification information, and page image products. IPOs will be offered these products through media, which include optical disc, Web and FTP.

Informational products and training materials that support the use of patent application publications will be provided as required by current exchange agreements.

5.6 Providing Patent Application Publication and File Wrapper Access to PTO Customers

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Only authorized individuals through the Files and Information Unit (FIU) are allowed access to the physical file. The public will only be provided with copies of the file. There will be no public access to the physical file. To submit orders for PGPub-related products, customers will be able to utilize all ordering methods currently available: mail, fax, Internet, e-mail, and telephone. Except for Internet orders that are keyed by the customer, orders will be received by the Office of Public Records (OPR) where the Customer Service Representatives will do initial review and processing. Then orders will be forwarded to contractors for collection of the appropriate fees and entry into the Order Entry Management System (OEMS) which is used to track order fulfillment. Actual order fulfillment will occur in accordance with the information provided below. Orders that cannot be processed (e.g., nonexistent publication number supplied) will be forwarded to OPR Customer Service Representatives for preparation of a letter to the customer and cancellation of the order. Using information from OEMS, the Customer Service Representatives will respond to all customer order inquiries. Copies of the following PGPub products will be available to customers:

- patent application publications,
- file wrappers/selected papers,
- patented files,
- abandoned files, and
- certified copies of the above products.

5.6.1 Patent Application Publications

Orders for copies of patent application publications (both nonredacted and redacted) will be handled by OPR in the same manner as requests for patent copies currently are handled. Service levels and goals for providing copies of patent application publications will be the same as currently established for providing patent copies:

- Internet or fax delivery - copies sent to the requester within 1 day; and
- Paper delivery by mail or to a customer box - order filled within 3 days.

5.6.2 File Wrappers/Selected Papers

Patent application publication file wrappers will be made available by providing copies of the file wrapper or selected papers in response to customer orders. Customers may order copies of complete file wrappers of patent application publications or selected papers from the file wrapper. The location of the file and whether a redacted or nonredacted application was published will determine the process used to fill orders for file wrappers or selected papers.

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5.6.2.1 Redacted application published

Each applicant submitting a redacted application for publication will be required to submit a redacted EFS copy and two copies of the application: one copy indicating the redaction(s) in brackets and the other copy having the bracketed redaction(s) removed. An applicant must provide two similarly marked copies of all subsequent PTO communications and applicant submissions within a nonextendable 30-day period of each communication/submission. (If at any time an applicant having a redacted published application finds this continuing requirement too onerous, s/he can file a written authority permitting copying and inspection of the file. When such an authority is on file, the application will be treated as nonredacted for access purposes.)

Individuals with full access to a pending application will be provided copies of the nonredacted file wrapper contents and selected papers. Individuals without full access to an application file will be provided with copies of the redacted file wrapper contents/selected papers provided by an applicant. If an applicant fails to provide the requested bracketed or redacted copy or pay required fees, a copy of the nonredacted file wrapper or selected pages will be provided to the requester. Order fulfillment procedures will be the same as those used for nonredacted applications.

5.6.2.2 Nonredacted patent application publications

Orders for copies of selected papers from, or complete file wrappers of, patent application publications found in the Board of Patent Appeals and Interferences (BPAI) will be filled by OPR in accordance with existing procedures. The service goal for these orders is 25 days. Although no expedited service will be available, customers may request special "at cost" services. Before an "at cost" order is accepted, a determination will be made of the file wrapper's availability and the production operation's ability to process the order in the requested time frame. Additional fees will be based on the time/effort necessary to fill the order.

Copy orders for all other applications will be forwarded to the Patent Cost Center's support services contractor for processing. On a daily basis, the contractor, utilizing PALM data, will attempt to locate requested files. Files located in central file storage will be retrieved and taken to the nearest copy center for reproduction. Each file located in examiner, SPE, or SPRE offices or in a tech support area will have a sheet attached identifying the file as needed for copying. The file will be given to the examiner of record. The examiner will review and "sanitize" the file within the designated time, removing extraneous personal notes, post-its, and similar material. When the file is ready for copying, the examiner will initial the accompanying sheet and place the file in the designated area for pickup by the contractor. Files that cannot be removed from their location without disrupting work in process (e.g., the file is in a count box or

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in a SPE office as part of a signature review) will not be retrieved for copying. The contractor will determine what documents to copy, produce the required number of copies, re-assemble each application file, and perform extensive quality review of both copies produced and the re-assembled files. Application files will be returned to their retrieval location. Document copies will be packaged for mailing. After entering the appropriate information into the OEMS system, the contractor will deliver all packages to the appropriate location for pickup by the commercial carrier or delivery to customer mailboxes.

PGPub-related file retrieval, copying, and re-assembling work will be performed on a second shift. Typically, files will not be removed from examiner, SPE, and SPRE offices, and tech support processing locations before 4:00 p.m. Files will be returned to their retrieval location by 8:00 a.m. the following day. Each file will have its PALM location information updated when it is moved. The service goal for these orders is 25 days. No expedited service will be available. "At cost" requests will be handled as specified above. If at the end of the 25-day period an order has not been filled, a determination will be made as to when the order can be filled. The contractor will monitor cases flagged LOST in PALM and will follow-up to ensure reconstruction has been initiated in accordance with established policies. If it is determined that an order can be filled within the next 30 days, the order will remain open. If not, the order will be closed. Fees will be refunded to the requester.

5.6.3 Patented Files

Orders for patent application publication files will be handled by OPR in the same manner as requests for patented files. Service levels and goals for providing copies of patent application publication files will be the same as established for providing patented files.

5.6.4 Abandoned Files

Orders for abandoned files for which a nonredacted application was published will be handled by OPR in the same manner as requests for abandoned files are handled. Full access to abandoned files for which a redacted application was published will be allowed for those individuals entitled to full access to the pending file of the redacted published application. Those individuals not entitled to full access to the pending application file for which a redacted application was published will receive copies of applicant-provided redacted papers in accordance with the provisions for providing copies of file wrappers/selected papers.

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5.6.5 Certified Copies

OPR will provide certified copies of PGPub documents in the same manner as requests for certified copies are handled. When a certified copy of a file wrapper or selected papers for a published application is requested, the Patents Cost Center support services contractor will reproduce the appropriate pages on A4 paper. The copy and the source file will then be forwarded to OPR for certification. Applications will not be pulled from locations where the work in process will be disrupted (e.g., count box, open on examiner's desk). When the application has been borrowed from locations such as the examiner, SPE's office or the tech support area to provide the certified copy, OPR will return the application to the support services contractor within 24 hours. All other applications will be returned by OPR within 3 days.

5.7 World Wide Web Availability

5.7.1 PatFT and PatImg

Publication of patent applications at 18 months will be accomplished using methods derived from the existing PatFT (Patent Full-Text) and PatImg (Patent Full-page Image) database systems, sharing connectivity and bandwidth with PatImg.

5.7.2 Patent Application Publication Database

A full-text search database server for patent application publications will be created using the BRS search engine and the Netscape server software along with other custom applications running on redundant HP systems. This database will include provisions for handling and linking multiple publications of a single application (A1, A2, etc.) and for searchability by US classifications (and potentially other fields) whose content may change during the publication (i.e., pre-issue) life of each application. Full-text pages served to the public by this system will be specifically encoded for Web browser display. The pages will include hashed security mechanisms and hyperlinks to full-page patent application images. This database will be updated weekly.

5.7.3 Patent Application Image Database

The full-page patent application images will be served by custom image-handling software and Netscape server software from a PatImg-clone system composed of dual HP servers with shared terabyte data storage. Every effort will be made to provide an image delivery format natively compatible with common commercial Web browsers or via a more popular and common plug-in (e.g., Adobe PDF). This system will include all custom software necessary to efficiently control the delivery of very large documents, assure system security,

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and prevent abusive users from denying the general public timely access to the system. This database will also be updated weekly.

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APPENDIX A - PATENT APPLICATION FRONT PAGE



US20010000001A1

(12) **Patent Application Publication**

(10) **Publication Number: US 2001-0000001 A1**

(43) **Publication Date: Mar. 1, 2001**

(54) **BOOT SYSTEM FOR DISTRIBUTED DIGITAL DATA PROCESSING SYSTEM**

(57) **ABSTRACT**

(75) **Inventor: John Q. Inventor, Manassas, VA (US)**

Correspondence Name and Address:
Smith & Jones
501 Court of the Americas
New York, NY 01006 (US)

(73) **Assignee: Smith's Internet Corp., Alexandria, VA (US)**

(21) **Appl. No. 09-999,999**

(22) **PCT Filed: Jul. 26, 1996**

(86) **PCT No.: PCT/EP96/00000**

§ 371 Date: May 1, 1998

(87) **PCT Pub. No.: May 1, 1998**

PCT Pub. Date: Feb. 13, 1997

A distributed digital data processing system including a host and at least one node interconnected by a communication link. In response to a boot command, the node requests its boot image from the host over the communications link. The host then provides pointers to portions of the boot image to the node. The node then retrieves the portions of the boot image identified by the pointers. These operations are repeated until node retrieves the entire boot image. By having the host supply pointers to the boot image and the node perform the retrieval operations in response to the pointers, the host is freed to perform other operations while the node is actually performing the retrieval operations.

Related U.S. Application Data

(63) Continuation of Ser. No. 000,000 filed on Dec. 13, 1999.

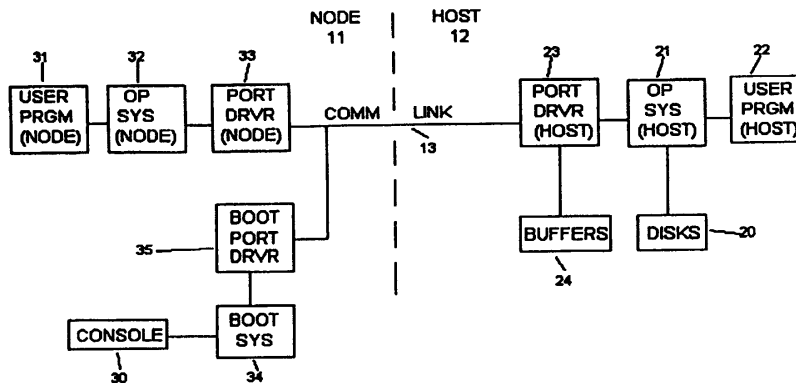
Foreign Application Priority Data

Jun. 15, 2000 (JP) Japan 2-000000

Publication Classification

(51) **Int. Cl.⁷ H04Q 9/00**

(52) **U.S. Cl. ... 364/200, 379/94, 268, 269, 272, 284**



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APPENDIX B – PGPUB DATE CALCULATION

PGPub DATE is based on PALM-PGPub Pre-Exam System input and is calculated using the following steps:

- A. CALCULATE EARLIEST PRIORITY DOCUMENT DATE**
Calculate DATE of Priority to be the earliest date entered in foreign priority data in PALM for this application. If there is no foreign priority data and the applicant has not requested to be withheld from publication, calculate DATE of Priority to be the earliest date entered in domestic continuity data in PALM for this application. If the applicant has requested to be withheld from publication, no DATE of priority is calculated.
- B. SAVE THE DOCUMENT NUMBER & EARLIEST PRIORITY DATE**
Store the foreign or domestic application number (PC) for the earliest priority date found in A. above and save the corresponding priority document filing date.
- C. CALCULATE BASE PGPub DATE**
Calculate a PGPub DATE equal to: DATE of Priority (if one exists) + 18 months. If no DATE of Priority exists, leave the PGPub date blank. If the application has an Issue Date or Abandonment Date, leave the PGPub date blank.
- D. ADJUST BASE DATE FOR REQUEST TO PUBLISH EARLY**
If the applicant has requested early publication, then calculate PGPub DATE = the current date + 14 weeks.
- E. ADJUST BASE PGPub DATE TO MINIMUM PUB CYCLE**

For OIPE Initial processing only:
If PGPub DATE is calculated to be less than the filing receipt print date plus 14 weeks, then adjust the PGPub DATE to the filing receipt print date plus 14 weeks;

If there are missing parts needed for PGPub, then the PGPub date is blank (until the application is “perfected”);

For later than initial filing processing:
If PGPub DATE is calculated to be less than the current date plus 14 weeks, then adjust the PGPub DATE to the current date plus 14 weeks;
- F. ADJUST FOR L&R PROCESSING**

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If the application is still under agency security review then:

If either the agency response date (transmittal letter + 90 days) is later than 4 weeks before PGPub date (the last chance to withdraw the application from publication)

or if the US filing date + 6 months is later than 4 weeks before PGPub date (the last chance to withdraw the application from publication)

then the PGPub date is blank (until the security review completion occurs)

(Note: For a case which could publish immediately, but is held up for agency security review processing, a PGPub date cannot be determined is printed on the filing receipt. When the 3 months under agency review and 6 months since the actual U.S. filing date has elapsed or the agency clears the application, a Change Notification Letter will be generated and sent stating the publication date. This will start the 14 week publication cycle.)

G. ADJUST DATE TO A THURSDAY

If PGPub DATE, as calculated, is not a Thursday, then it should be set forward to the next Thursday.

H. LOAD NEW PGPub DATE INTO PALM

For applications which have an existing PGPub DATE and which are not under security review:

If the PGPub date has **never** been loaded:

set PGPub DATE and send either the filing receipt or a Change Notification Letter to the applicant.

If the PGPub date **was** loaded:

Do not update for application. Too far into a pub cycle now

If the newly calculated PGPub DATE < current date + 8 weeks, do not change the current PGPub DATE;

UPDATE FOR NEW PGPub DATE LATER

If the newly calculated PGPub DATE > the current PGPub DATE, Update the PGPub DATE and send a Change Notification Letter to the applicant.

Do not update if new date = old date

If the newly calculated PGPub DATE = the current PGPub DATE, do not change PGPub DATE;

UPDATE FOR NEW PGPub DATE EARLIER

Pre-Grant Publication (PGPub) Concept of Operations

If the newly calculated PGPub DATE > current date + 14 weeks and is earlier than the old PGPub date, Update PGPub DATE and send a Change Notification letter to the applicant.

- I. **CONSTRUCT NEW PUB CYCLE DATES**
PALM builds new publication cycle dates for this application if the PGPub date has been changed.

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APPENDIX C - PUBLICATION ACTIVITY TIMELINE

Weeks Prior to Publication	Action	Con Ops Reference	Responsible Party/Potential Source	User
Upon Receipt of application	Perfect application for publication	Section 2	OIPE	
Initiate Timeline	Projected Publication Date assigned	Section 2.8.3	OIPE/EAR	
14	Produce Class/Drawing Validation Report listing applications with: missing classification data, missing designated drawings	Section 4.2	OCIO Operations/ PALM	Technology Centers
14-12	Application routed to Technology Centers	Section 1.8.8, 3.0, 3.11, 3.6, 4.2	OIPE	Technology Centers
Weekly	Produce Security Report listing applications with L&R flag not cleared	Section 2.6 and 4.2	OCIO Operations/ PALM	L&R
9	Produce Publication Report listing applications ready for publication.	Section 4.2	OCIO Operations/ PALM	PGPub Unit
9	Produce Exception Report listing applications not ready for publication	Section 4.2	OCIO Operations/ PALM	PGPub Unit
9	Extract publication data/produce transfer files	Section 4.3	OCIO Operations/ PALM,EAR, PACR, STIC for ABSS Seq.	PGPub Unit
9	QA inspection of publication data	Section 4.1	PGPub Unit	PGPub Unit
9	Extracted publication data to database contractor	Section 4.3	PGPub Unit	Database contractor
4	Last date to withdraw from publishing	Section 4.2	PALM, (Patent issued or abandoned)	Database contractor

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Weeks Prior to Publication	Action	Con Ops Reference	Responsible Party/Potential Source	User
4	Composition of application completed and published application number assigned.	Section 4.4	Database contractor	Database contractor
3	Deliver Yellow Book and Red Book products	Section 4.4.1, 4.4.2	Database contractor	PGPub Unit/OCIO Operations
2	QA inspection results of delivered products	Section 4.1	PGPub Unit	Database contractor
1	Replacement of corrected products	Section 2.8.3, 3.1.2	Database contractor	PGPub Unit/OCIO Operations
1	Create dissemination and search products	Section 1.2, 1.3, 4.0, 5.0	PTO	Internal & External Customers
1	PALM update	Section 4.4.3	Database contractor	PGPub Unit/OCIO Operations

APPENDIX D – DEFINITIONS OF ACRONYMS

ABSS	Automated Biotechnology Sequence Search System
ACRS	Application Capture and Review System
ACTS	Appeals Case Tracking System
BPAI	Board of Patent Appeals and Interferences
CCITT	Consultative Committee of International Telegraph and Telephone
CD-ROM	Compact Disc-Read Only Memory
CD-R	Compact Disc-Recordable
CDS	Classification Data System
ConOps	Concept of Operations
CSIR	Classified Search & Image Retrieval
CSS	Computer Search System
Doc-Prep	A step in the Pre-Exam application process conducted by OIPE
DTD	Document Type Definition
DTRA	Defense Threat Reduction Agency
EAR	Electronic Application Review
EAST	Examiner Automated Search Tool
EFS	Electronic Filing System
EMR	Electronic Mail Room
EPAP	Electronic Patent Application Processing
EPAVE	electronic Packaging and Validation Engine
EPO	European Patent Office
FIU	Files and Information Unit
FPAS	Foreign Patent Access System
FTP	File Transfer Protocol
FTS	File Tracking System
GAU	Group Art Unit, a subset of a Technology Center
GPI	Global Patent Information
IDO	Information Dissemination Organization
IDS	Information Disclosure Statement
INID	Internationally agreed Numbers for the Identification of (bibliographic) Data
IPC	International Patent Classification
IPO	Intellectual Property Offices
IPSS	Integrated Patent Search System
IS&R	Image Search and Retrieval System
JPO	Japanese Patent Office
LARS	License and Review System
MPEP	Manual of Patent Examination Procedure
OACS	Office Action Correspondence Subsystem
OCR	Optical Character Recognition
OCRF	Optical Character Recognition Facility
ODPP	Optical Disc Publishing Program
OEMS	Order Entry Management System
OIPE	Office of Initial Pre-Examination

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OPR	Office of Public Records
PAC	Patent Assistance Center
PACE	Patent Application Capture and Entry
PACR	Patent Application Capture and Review
PAIR	Patent Application Information Retrieval
PALM	Patent Application Locating and Monitoring
PCT	Patent Cooperation Treaty
PCT-Ops	PCT Operations
PGPUB	Pre-Grant Publication
PICS	Patent Image Capture System
PIRS	Patent Image Retrieval Systems
POWER	PCT Operations Workflow and Electronic Review
PRT	Public Relations Training Team
PTDLs	Patent and Trademark Depository Libraries
PREP	Patents Reengineering Prototype
SDF	Subclass Data File
SIR	Statutory Invention Registration
SPE	Supervisory Patent Examiner
SPRE	Special Program Examiner
TAF	Technology Assessment and Forecast Program
TC	Technology Center
TEAM	Tools for Electronic Application Management
WEST	Web-based Examiner Search Tool
WIPO	World Intellectual Property Organization
XML	eXtensible Markup Language