

1. Identification page

Please enter the ST.3 code and name of the member state or international organization you represent.

US - United States of America

Please enter the name of the office or organization you represent. For instance, Canadian Intellectual Property Office. If your organization name is the same as your ST.3 code name, you may put "n/a".

United States Patent and Trademark Office

Please enter your email address so we can contact you if we have questions about your response.

2. Questions page

1. In what formats does your Office/Organization ingest applications? Please select all that apply.

PDF

Microsoft Word DOCX (free form, no template)

Paper

Comments: Majority is in PDFs however Starting January 1, 2023, a surcharge up to \$400 will apply when filing a new nonprovisional utility applications under 111(a) and applies to the specification, claims, and abstract when filed in PDF format.

2. How does your Office/Organization capture markups (insertions, deletions) in amendments, corrections, and rectifications? Please select all that apply.

Applicant submits amendments with track changes to show insertions and deletions

Applicant submits amendments with underlines for insertions, and strikethroughs for deletions

Comments: Underlines are used to indicate insertions and strikethroughs are used to markup text deletions. In DOCX, the USPTO plans to support both track changes as well as text formatting (stylistic underlines & strikethroughs). The full text of any replacement paragraph with markings to show all the changes relative to the previous version of the paragraph. The text of any added subject matter must be shown by underlining the added text. The text of any deleted matter must be shown by strike-through except that double brackets placed before and after the deleted characters may be used to show deletion of five or fewer consecutive characters. The text of any deleted subject matter must be shown by being placed within double brackets if strike-through cannot be easily perceived.

3. Does your Office/Organization provide initial content-based validations to applicants prior to submission to reduce the number of formality non-compliances?

Yes

Comments: Yes, currently DOCX filings provides content-based validations for specification, claims and abstract. This feature is does not apply to PDFs.

4. What does your Office/Organization validate prior to submission? Please select all that apply.

Missing required application parts

Informalities such as typographical errors or missing claim numbers

Improper claim dependencies

Other (specify):

Comments: A list of warnings and errors can be found at

<https://www.uspto.gov/sites/default/files/documents/DOCX%20Feedback%20Errors%20and%20Warnings.xlsx>

5. Metadata Scrubbing

Does your Office/Organization provide a scrubbing tool to remove unwanted metadata from the documents prior to submission?

Yes

If yes, which types of metadata are removed?

Yes. Metadata is generally removed by applicants prior to submission. However, if metadata is found during the validation process, it is automatically removed prior to submission. Examples of metadata include author, company, last modified by, bookmarks, etc. The only information that is preserved is the size, page count, and word count.

6. Does your Office/Organization provide a feedback document, additional document or online messages during the filing process detailing potential problems within the submitted application documents based on the above validations?

Yes

Comments: Yes, a feedback document is generated pre-submission where warnings and errors are pinpointed in a copy of the uploaded document in real time. The warnings and errors are also displayed to the user.

7. What does your Office/Organization consider the authoritative copy of the submission?

Originally submitted application documents

Document converted from originally submitted document to another format used within your Office/Organization (e.g. PDF, TIFF)

Other (specify): For DOCX filings, the DOCX is considered the authoritative copy.

<https://www.federalregister.gov/documents/2021/06/02/2021-11256/submitting-patent-applications-in-structured-text-format-and-reliance-on-the-text-version-as-the>

Comments:

8. If your Office/Organization converts or plans to convert the submitted document to XML, in which format would you preserve embedded images? Please select all that apply.

SVG

Comments: Images are currently converted to SVG for DOCX filings.

9. When the submitted document is transformed to XML, in what format does your Office/Organization preserve mathematical equations?

MathML

Other (specify): Mathematical equations are generally converted to MathML for DOCX filings

10. When the submitted document is transformed to XML, in what format does your Office/Organization preserve chemical formulae?

Converted to an image format

Other (specify): Chemical formulae are preserved as images for DOCX filings.

Comments:

11. When the submitted document is transformed to XML, in what format does your Office/Organization preserve table or tabular data? Please select all that apply.

Other (specify): USPTO Internal Version 7.1 (WIPO ST.96 V2_1) contains elements for TableHeader, TableHeaderCell, etc.

Comments:

12. Is your Office/Organization moving away from paper-based rules for applicant submissions, such as page count, margins line spacing and focus more on the amount of characters/words in a document or file size?

We are considering it

Other (specify): These kinds of changes will also require legal changes to current rules guiding paper submissions..

Comments:

13. If your Office/Organization is not considering moving away from paper-based rules, select the presentation elements your Office/Organization needs to preserve from the submitted application documents. Please select all that apply.

Comments:

14. Select the formats by which your Office/Organization displays or would display an application for examination or administration purposes. Select all that apply.

Rendered XML

Other (specify): Current process is that all electronic filings are converted to TIFF

Comments:

15. Select the formats which your Office/Organization uses or would use to publish documents submitted by applicants.

More than one format

Comments: XML (WIPO ST.36), TIF image (WIPO ST.33)

16. Specify the content management system your Office/Organization uses to store and manage documents. Please provide either names of commercial products or brief description of custom-built systems.

USPTO uses internally developed custom built systems to store and manage documents.

17. In what formats do you publish your Official Gazette? Select all that apply.

Electronic format with paper-based layout (e.g. PDF)

Purely digital format (e.g. HTML pages)

Comments: PDF for Trademark Official Gazette & HTML for Patent Official Gazette

18. If you still publish in a physical format, are you considering discontinuing physical publication within the next five years?

Yes

Comments:

19. If you still publish in an electronic format with paper-based layout (e.g. PDF), are you considering discontinuing this format in favor of a purely digital format within the next five years?

Yes

Comments:

4. Thank You!

Send confirmation email

Apr 19, 2022 14:33:22 Success: Email Sent to: ,cws.surveys@wipo.int

Apr 19, 2022 14:39:35 Success: Email Sent to: ,cws.surveys@wipo.int

Oct 13, 2022 11:32:51 Success: Email Sent to: ,cws.surveys@wipo.int