

# USPTO Perspective: Global Dossier Active Component



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# Extending Passive Component to Accomplish Active Component

- ❑ In its simplest terms, the Active Component may be viewed as a (near) real-time transfer of documents from one dossier to the dossier in another IP5 Office
- ❑ IP5 Offices already have the capability for real-time access to foreign dossiers (Passive Component – Examiner and Public Access)
- ❑ Proposal: Extend the functionality of the Passive Component to transfer selected documents from DocList to one or more related cases in FamilyList



# Technical Proof-of-Concept

- ❑ Recognizing that there are Legal and Business Challenges to developing significant “cross-filing” scenarios, various ministerial and administrative processes can be explored to reduce costs and improve quality
- ❑ Implementing a technical proof-of-concept would serve as a building block for future (and more complicated) services
- ❑ Concepts to be developed, implemented, and evaluated would identify local issues associated with:
  - Security
  - Value of Machine Translated documents
  - Business Impact
  - Exception Processing
  - Actual Cost Benefit
  - Navigation and Operations



# Benefits of the Proof-of-Concept

1. Auto-population of information in a foreign dossier
2. Validating the Active Component processing as an extension of the Passive Component implementation
3. Identifying security issues
4. Establishing notification and business processes
5. Establishing Active Component handshaking between participating Offices
6. Detecting exception processing conditions and establishing resolution procedures
7. Determining the desirability and feasibility of common electronic forms
8. Assessing possible issues with forms and machine translations
9. Understanding and correcting performance concerns.

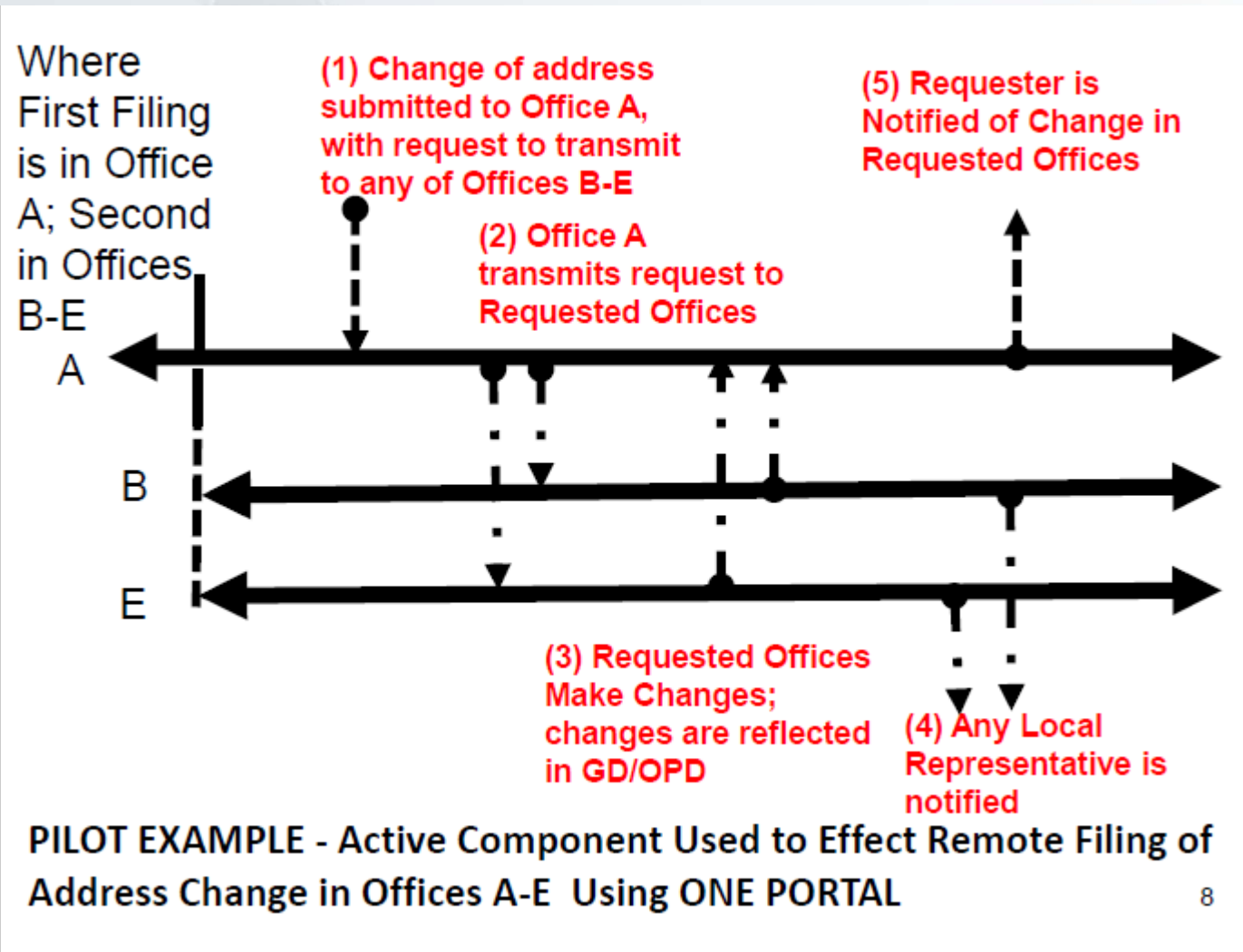


# Next Steps

- Work with Industry Groups to identify and agree on a simple Active Component function to be implemented. Examples may include:
  - Change of address
  - Prior Art exchanges
  - Bib data updates
  - Exchange of Forms
  - Others?
- Assess readiness and willingness of each office to participate
- Agree on business processes
- Identify Data Exchange Services and Specification, e.g., OPD specification
- Update Governance document



# Proof of Concept Example from Industry





# Active Component IT Building Blocks

Row	Function	Similar Prior Experiences	Included in Proof of Concept	IT	Office and Industry	Legal
1	Accept request electronically	Y	Y	Y	N	N
2	Validate completeness of request	Y	Y	Y	N	N
3	Populate databases	Y	Y	Y	N	N
4	Securely transfer documents to other offices	Y	Y	Y	N	N
5	Perform machine translation	Y	Y	Y	N	N
6	Establish hand-shaking protocols	Y	Y	Y	N	N
7	Establish exception processing between offices	Y	Y	Y	N	N



# Business Functions

Row	Function	Similar Prior Experiences	Included in Proof of Concept	IT	Office and Industry	Legal
8	Alert applicants and attorneys	N	Y?	Y	N	N
9	Assess fit-for-purpose	N	Y	N	Y	MAYBE
10	Develop and exchange common forms	Partial	N	Y	Y	Y
11	Real-time update of foreign dossier	Partial	Y	Y	N	N
12	Establish new filing in another office	N	N	Y	Y	Y
13	Process documents in <u>existing</u> foreign dossier	Y	Y	Y	MAYBE	MAYBE
14	Request bibliographic data update in foreign office	Y	Y	Y	MAYBE	MAYBE





## Steps Toward Active Component Implementation

- ❑ Information Technology (IT) is an integral part of ALL Global Dossier implementation
- ❑ IT is (obviously) NOT the only part of GD implementation
- ❑ Other challenges
  - Business
  - Legal
- ❑ Build on existing IT successes
- ❑ Early completion of IT building blocks will facilitate implementation of future Active Component services
- ❑ USPTO is seeking other IP5 Offices to work on the development of the Active Component Proof of Concept



Thank you