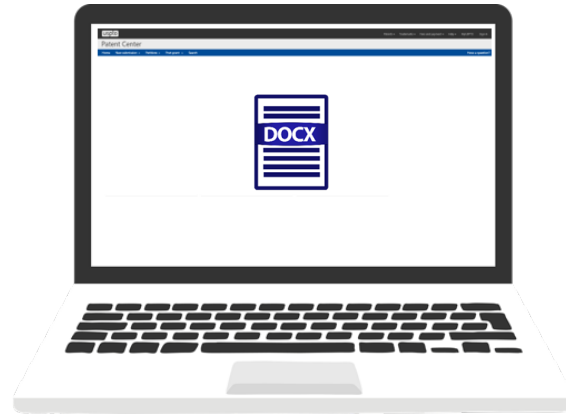


DOCX intake in Patent Center

Quick Start Guide

June 2021



Quick Start Guide

Text intake in Patent Center

UNITED STATES
PATENT AND TRADEMARK OFFICE



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1. Introduction

This Quick Start Guide provides information on how to file .docx documents and includes a brief overview of the process and screen shots that identify critical aspects of the submission.

An overview of Patent Center can be found at the Patent Center page located at: <https://www.uspto.gov/patents-application-process/patent-center>.

2. Basic requirements for submitting DOCX in Patent Center

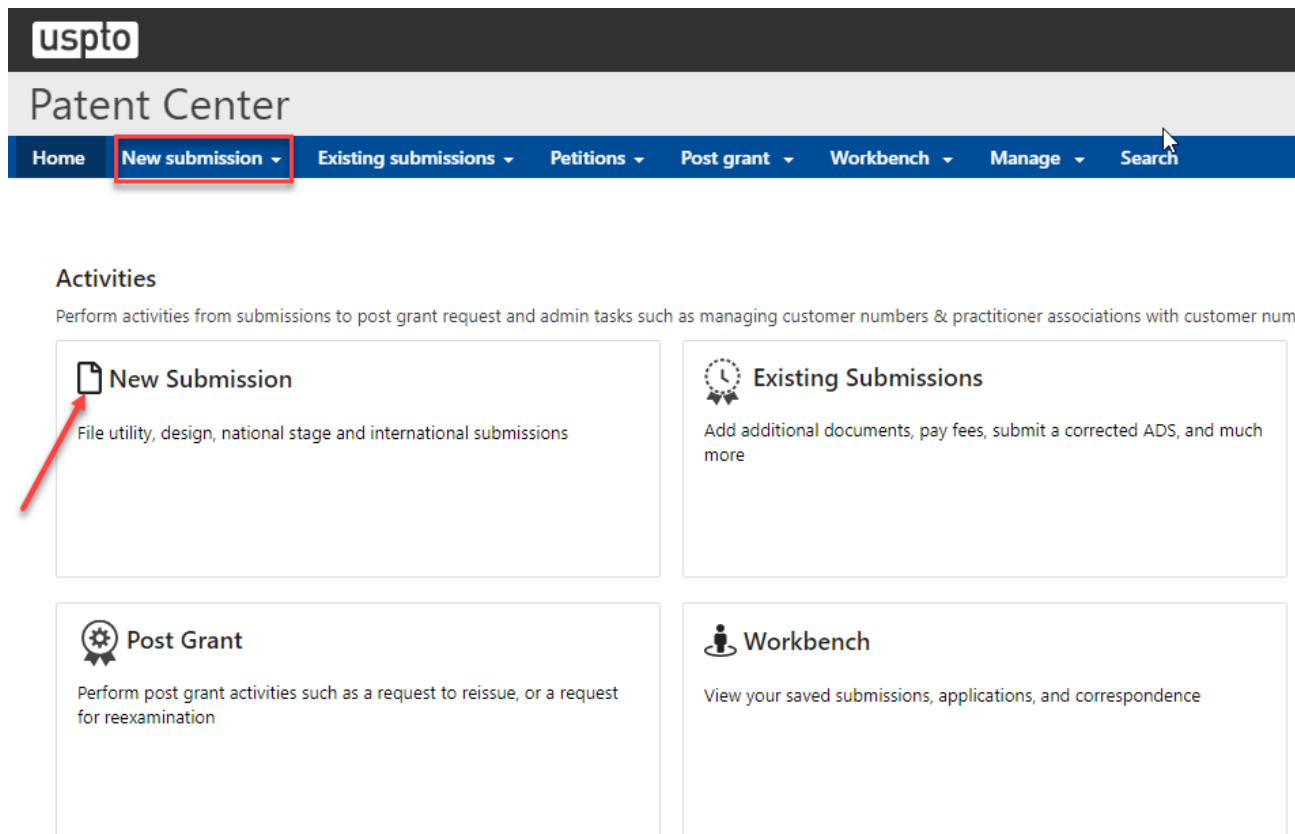
- Only guest users or MyUSPTO.gov account holders can access Patent Center.
 - **Note:** Registered users can save their submissions at any time and return to make edits prior to completing the submission, but the required payment will be due upon filing of the completed submission.
- The DOCX intake feature is **only** available for new Utility Nonprovisional, Utility Provisional and National Stage 371 submissions. It is currently unavailable for all other submission types.
- Submissions under a Secrecy Order may not be filed electronically.

NOTE: Patent Center sessions will time-out after thirty minutes of inactivity. A web-based ADS that has not been submitted or saved after thirty minutes of inactivity will be lost. Users will need to login to Patent Center again and re-enter the information from the start.

3. Filing an application in DOCX

3.1 Initiating the filing process

Once signed in to Patent Center, or accessing Patent Center as guest user, the user will need to choose "New submission" from the menu bar or "Activities" boxes.



From the menu bar, a drop down appears and the user would then choose, "Utility-Nonprovisional", "Utility-Provisional" or "U.S. 371 National stage". From the Activities box, the user is directed to another page, titled "File new submission" and would choose "Utility-Nonprovisional", "Utility-Provisional" or "371 National stage". If a U.S. 371 National stage filing is chosen, the appropriate international application number and international application filing date must be provided before continuing to the Application Data selection page.

3.2 Application data

Select one of the following options on the Application Data page:

1. A Web ADS which uses an online form
2. Upload a fillable and completed AIA/14 form in PDF format
3. Provide mandatory application data and provide a custom ADS, SB/14, or AIA14 at a later time

The screenshot shows the USPTO Patent Center interface. At the top, there is a navigation bar with the USPTO logo and links for Patents, Trademarks, Fees and payment, Help, and My. Below this is the 'Patent Center' header and a secondary navigation bar with links for Home, New submission, Existing submissions, Petitions, Post grant, Workbench, Manage, and Search. The main content area is titled 'Utility Nonprovisional' and includes a progress indicator with three dots. Below the progress indicator, there are three links: 'Application data', 'Upload documents', and 'Calculate fees'. A red arrow labeled 'Link' points to the 'Application data' link. Below the links, the text 'Nonprovisional Application under 35 USC 111(a)' is displayed. The 'Application Data Sheet (ADS) filing options' section is titled and includes a sub-header 'Application Data Sheet (ADS) filing options' and a note: 'Select a method for filing an ADS. Changing the filing method will overwrite any unsaved application data.' There are three columns of options, each with a 'Select' button:

- Web ADS**: Use the ADS online form:
 - Generate a streamlined Application Data Sheet
 - Error checking and data validations
 - Provided data is automatically loaded to USPTO database
- Upload ADS (PDF)**: Upload a completed fillable AIA/14 form:
 - Upload a USPTO fillable AIA/14 Application Data Sheet
 - No online error checking or data validation
 - Provided data is automatically loaded to USPTO database
- No ADS, or Attach ADS (PDF)**: Complete ADS later:
 - Provide required application data
 - Upload AIA/14, SB/14, or custom ADS form (PDF)
 - User may file ADS at a later time (may result in additional fees)

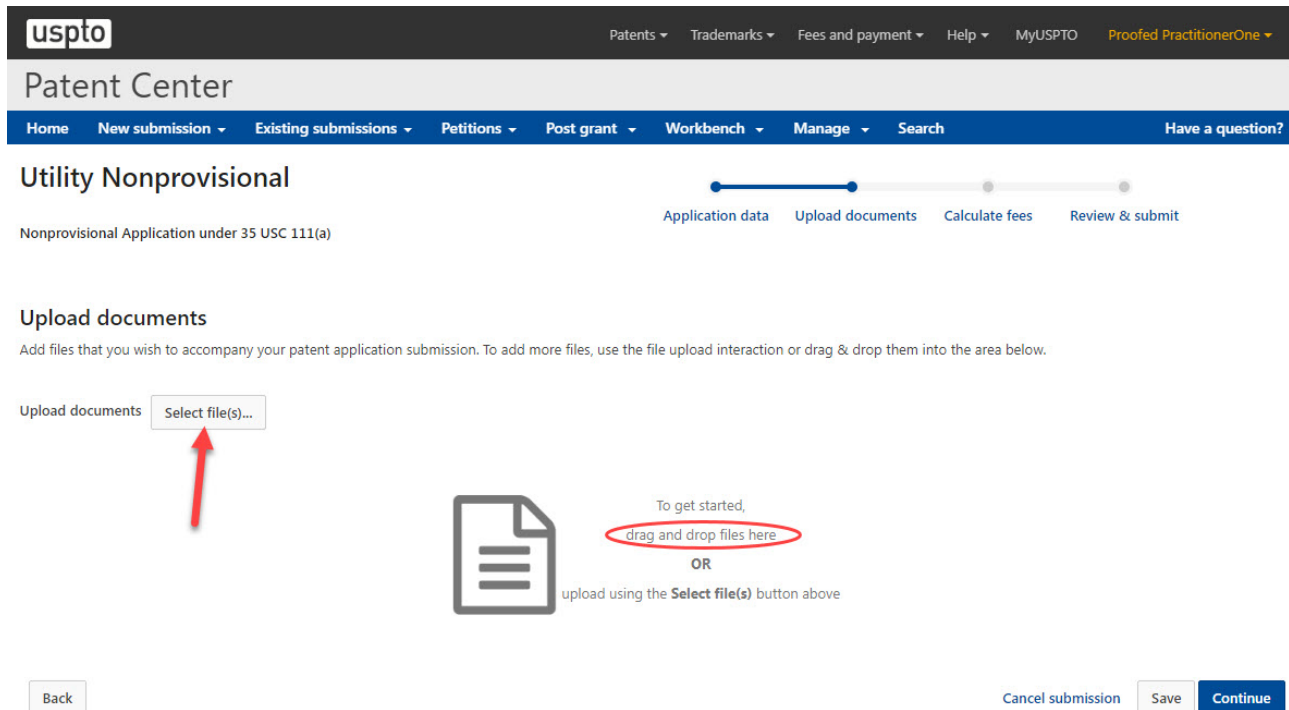
If any corrections are needed after proceeding with the ADS option, the user can go back to the Application Data screen by clicking on the "Application data" link at the top right of the screen.

DOCX intake in Patent Center

3.3 Attaching documents

On the “**Upload documents**” page, the procedure for attaching .docx is as follows:

- **Option 1:** Drag and drop files directly from the computer folder into Patent Center.
- **Option 2:** Click the “Select file(s)...” button and choose files from the appropriate computer directory.



Application Parts, specifically the Specification, Claims, Abstract, and Drawings may be submitted in DOCX format. These documents can be attached individually or as part of one multi-section document in DOCX format. Please see the appendix for recognized section headings required for automatic detection.

A word processor that can create and save Office Open XML (.docx) is required. Known word processors capable of creating DOCX are:

- **Microsoft Word 2007 or higher**
- **Google Docs**
- **Office Online**
- **LibreOffice**
- **Pages for Mac**

DOCX intake in Patent Center

3.4 Reviewing DOCX documents

On the “**Upload documents**” screen, confirm that all of the necessary documents uploaded properly. If there are any validation errors, highlighted in red with an “x”, the user will not be able to submit the filing until the error is corrected. Any validation warnings, highlighted in yellow with a triangle does not prevent the user from submitting the filing.

Upload documents




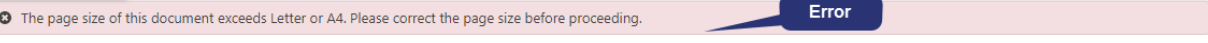
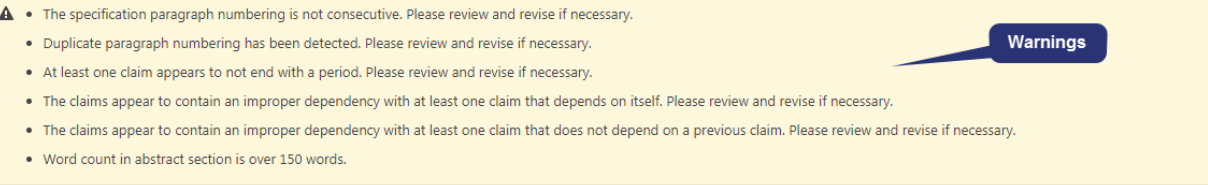
Add files that you wish to accompany your patent application submission. To add more files, use the file upload interaction or drag & drop them into the area below.

Upload documents

Total documents uploaded: 1

[Download all documents](#)

Please review the DOCX file(s) that is being submitted. By clicking the submit button, you agree to accept the DOCX validation(s) as your final submission. x

 multi-section.docx (157 KB) 	New Application in Text Format	
Feedback document		
		
		

A feedback document is generated to show the location of any warnings and/or errors within the document. Please note that the feedback document is only available during pre-submission, and will not be saved or shown within Patent Center or any other USPTO systems after submission.

Uploaded .docx file(s) will generate a DOCX equivalent, minus any metadata (e.g., author, comments, bookmarks) for review. To download the DOCX document, select the three vertical dots and select “**DOCX**”. To remove a .docx file, select the three vertical dots and select the “**Remove**” option. Once all of the necessary documents for the submission have been reviewed, select the “**Continue**” button to advance to the next screen.

DOCX intake in Patent Center

Upload documents



Add files that you wish to accompany your patent application submission. To add more files, use the file upload interaction or drag & drop them into the area below.


Upload documents

Total documents uploaded: 1

[Download all documents](#)

Please review the DOCX file(s) that is being submitted. By clicking the submit button, you agree to accept the DOCX validation(s) as your final submission. ✕

 Multi-APP.TEXT.docx (189 KB / 6 pages)  Feedback document Application body structured text document

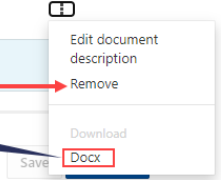
 The system detected multiple sections within the document. The individual sections may be downloaded after the submission by going to the respective application's IFW.

Detected: Specification, Claims, Abstract, Drawings

Application sections are detected

Download DOCX files

[Cancel submission](#)



A context menu is open over the detected sections. It contains the following options: 'Edit document description', 'Remove', 'Download', and 'Save'. The 'Docx' option is highlighted with a red box.

3.5 DOCX validation: warnings and errors

The following items within a DOCX document will generate a warning message, viewable at the time of upload and on the acknowledgement receipt:

- Track changes
- Comments
- Bookmarks
- Hidden Items
- Continuous line numbering
- Text decorations
- Unused invalid fonts
- Unnecessary document properties
- Dynamic dates
- Formula fields
- Advance fields
- Auto text lists
- Hyperlinks
- No page numbering
- Sequential specification paragraph numbering not being sequential
- Claims not numbered with positive integers
- Invalid margins
- Color or grayscale images in a document
- Invalid Claim status identifier
- OLE objects in document
- Insertions and deletions in tracked changes
- Abstract word count over 150
- Abstract more than on paragraph
- Invalid background color
- Text simultaneously marked for insertion and deletion
- Claim does not end with a period
- Claim does not start with a capital letter
- Claim contains more than one sentence
- Multiple dependent claim that does not use alternative form
- Improper Claim dependency
- Unsupported OLE Objects (Supported OLE Objects include Visio.Drawing.11, Equation.DSMT4, ACD.ChemSketch.20, ChemDraw.Document.6.0, Equation.3)

DOCX intake in Patent Center

The following items will generate an error message and the user will not be able to submit the filing unless the error is corrected:

- Duplicate application parts
- Invalid page size – cannot exceed letter or A4
- Contains content control
- Contains custom XML
- Invalid font
- Non-portrait page orientation
- Multiple specifications in a single document
- Multiple claims in a single document
- Multiple abstracts in a single document
- Automation fields
- FORMCHECKBOX fields present
- FORMDROPDOWN fields present
- RD fields present
- Hyperlink fields to local resources
- User information fields
- Mail merge fields
- Fields that reference bookmarks
- INCLUDEDPICTURE fields
- INCLUDEDTEXT fields
- PAGeref fields
- STYLeref fields
- QUOTE fields
- AUTONUM fields
- AUTONUMLGL fields
- AUTONUMOUT fields

3.6 DOCX recommended fonts

Recommended fonts include:

- Arial
- Arial Black
- Arial Narrow
- Arial Rounded Mt
- Arial Unicode Ms
- Calibri
- Cambria
- Cambria Math
- Castellar
- Courier New
- Georgia
- Liberation Sans

DOCX intake in Patent Center

- Lucida Sans
- Monaco
- Symbol
- Tahoma
- Times
- Times New Roman
- Trebuchet MS
- Verdana
- Wide Latin

International fonts:

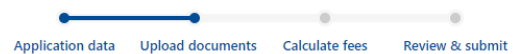
- MingLiu
- PMingLiU
- SimSun
- MS Mincho
- MS Pmincho
- Batang
- Batangche
- STIXGeneral

3.7 Editing the document description (single section DOCX)

Uploaded .docx file(s) are provided with automatic document codes, however, the document code can be updated for single section documents. To edit the document code, click the three vertical dots and select “**Edit document description**”. Document codes are automatically detected for the uploaded .docx files(s).

Utility Nonprovisional

Nonprovisional Application under 35 USC 111(a)



Upload documents


Add files that you wish to accompany your patent application submission. To add more files, use the file upload interaction or drag & drop them into the area below.

Upload documents

Total documents uploaded: 1

[Download all documents](#)

Please review the DOCX file(s) that is being submitted. By clicking the submit button, you agree to accept the DOCX validation(s) as your final submission.

 specification-SPEC.docx (16 KB / 1 page)

Specification

- Edit document description
- Remove
- Download Docx

DOCX intake in Patent Center

Select the appropriate document description from the drop down menu.

Upload documents


Add files that you wish to accompany your patent application submission. To add more files, use the file upload interaction or drag & drop them into the area below.

Upload documents

Total documents uploaded: 1

[Download all documents](#)

Please review the DOCX file(s) that is being submitted. By clicking the submit button, you agree to accept the DOCX validation(s) as your final submission. ✕

 specification-SPEC.docx (16 KB / 1 page) ⋮

All documents

Application Part

Specification

Abstract

Applicant Arguments/Remarks Made in an Amendment

Claims

CRF Statement Paper and CRF are the same

Drawings-only black and white line drawings

Foreign Reference

Internet Communications Authorized

Miscellaneous Incoming Letter

Non Patent Literature

Preliminary Amendment

Specification

Transmittal Letter

3.8 Calculate fees

The **“Calculate fees”** screen allows users to select the appropriate entity status. In addition, fees are dynamically generated based on the values entered. After all applicable information has been selected and/or entered, click the **“Calculate fees”** button to display a pick list of fees.

Calculate fees

Payment of fees during this stage of the application process is optional, but failure to pay fees in a timely manner may cause delays in the processing of your application.

Fill in the information below in order to accurately calculate your fees.

Entity status *

Regular Undiscounted Small Micro

of pages in the specification

of claims

of independent claims

Petitions

Check the box if you are filing petition(s) as part of this application

DOCX intake in Patent Center

After verifying selected fees from the pick list, click "Continue" to proceed to the next section.

Calculate fees

Payment of fees during this stage of the application process is optional, but failure to pay fees in a timely manner may cause delays in the processing of your application.

Skip fees for now

Select fees to pay

Fee code	Fee description	Item price (\$)	Quantity	Item total (\$)
▼ Patent Basic Filing Fees				
<input checked="" type="checkbox"/>	1011 BASIC FILING FEE - UTILITY (PAPER FILING ALSO REQUIRES NON-ELECTRONIC FILING FEE UNDER 1.16(T))	320.00	1	320.00
<input checked="" type="checkbox"/>	1111 UTILITY PATENT APPL. SEARCH FEE	700.00	1	700.00
<input checked="" type="checkbox"/>	1311 PATENT APPL. EXAMINATION FEE	800.00	1	800.00
▼ Application Size and Claim Fees				
<input type="checkbox"/>	1203 MULTIPLE DEPENDENT CLAIM	860.00	1	860.00
<input type="checkbox"/>	1091 SUBMISSION OF SEQUENCE LISTINGS OF 300MB TO 800MB	1,060.00	1	1,060.00
<input type="checkbox"/>	1092 SUBMISSION OF SEQUENCE LISTINGS OF MORE THAN 800 MB	10,500.00	1	10,500.00
▶ Miscellaneous Patent Fees				
Total fees selected to pay				\$1,820.00

Entity status	Regular Undiscounted
# of pages	1
# of claims	4
# of independent claims	1
Petition being filed?	No
edit information	

Back

Cancel submission

Save

Continue



3.9 Review and submit

On the "Review & submit" screen, the user will be presented with a review of the content provided for the application. This will include all information entered on the "Application data" page, the fee(s) indicated on the "Calculate fees" screen, as well as documents uploaded on the "Upload documents" screen.

Ensure Bibliographic Data is correct; all documents have been attached; then click on the "Submit" button once.

DOCX intake in Patent Center

3.10 Save submission feature for registered users

As a registered user, the option of saving the submission for later will be available without the entry of Application Data. The save option is located in the bottom right corner of the **“Upload documents”**, **“Calculate fees”** and **“Review & submit”** screens.

After clicking on the **“Save”** button, there is a successfully saved notification statement. The application information will be saved for 14 days.

Utility Nonprovisional

Nonprovisional Application under 35 USC 111(a)

Application data Upload documents Calculate fees Review & submit

Successfully saved application information. ✕

Upload documents

Add files that you wish to accompany your patent application submission. To add more files, use the file upload interaction or drag & drop them into the area below.

Upload documents



To get started,
drag and drop files here

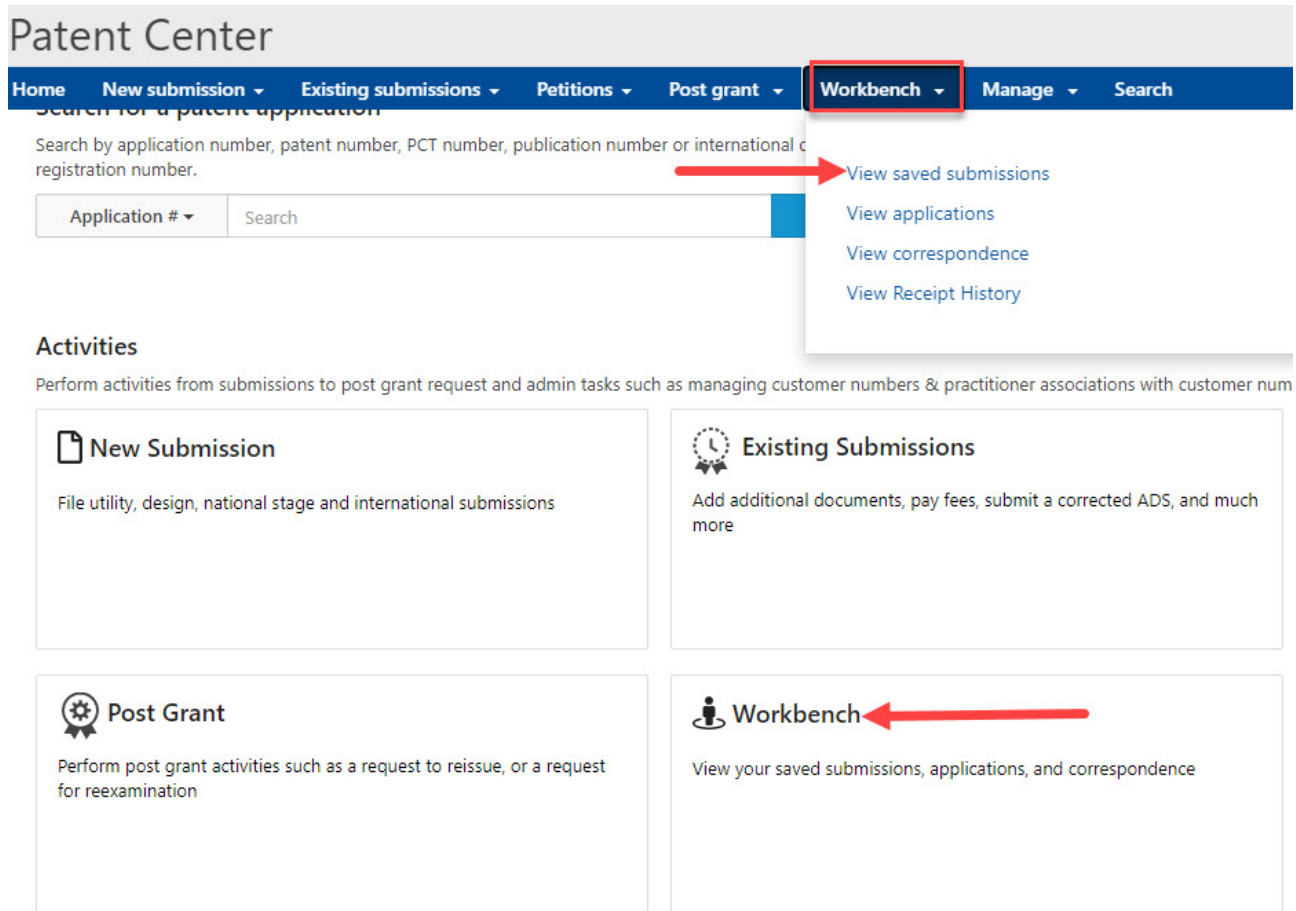
OR

upload using the **Select file(s)** button above

DOCX intake in Patent Center

3.11 Retrieving a Saved Submission

In order to retrieve the saved submission, login to Patent Center with the appropriate credentials. On the Patent Center home page, select "Workbench" from the toolbar or the Activities box. Then, select "View saved submissions".



DOCX intake in Patent Center

The user can use the filters to select the desired submission.

The screenshot shows the Patent Center interface. At the top, there is a navigation bar with the following items: Home, New submission, Existing submissions, Petitions, Post grant, Workbench, Manage, and Search. Below this is a sub-navigation bar with tabs for Saved Submissions, Applications, Correspondence, and Receipt History. The main content area is titled "Customer Numbers" and features a "Refine by" sidebar on the left. The sidebar includes a "Reset filters" link, a "Created in" dropdown menu set to "Past 7 days", and a "Created by" dropdown menu set to "All". The main area displays "1 saved submissions" with three filter tags: "Created In: 7 days", "Created By: All", and "Auto Saved: false". Below the filters is a table with the following columns: ID, Date saved, Date created, and Attorney docket #. The table contains one row with the ID 90927311.

ID	Date saved	Date created	Attorney docket #
90927311			

For any questions or concerns regarding filing in EFS-Web, please contact the Patent EBC Monday - Friday, from 6:00 a.m. to 12 Midnight Eastern Time, by email ebc@uspto.gov or telephone 866-217-9197.

4. Appendix

4.1 DOCX keywords for section headers

DOCX keywords for section headers
*Please note that at least one of these key words needs to be present for the section to be automatically detected.
Specification Section
INVENTION TITLE
INVENTION SPECIFICATION
INVENTION DESCRIPTION
TITLE OF (THE) INVENTION
DESCRIPTION OF (THE) INVENTION
SPECIFICATION
Claims Section
Claim
Claims
Patent Claims
What is claimed
What is claimed is
Claimed are
I claim
We (hereby) claim
We Claim
In the claims
The claims (here) defining the invention are
Claim or Claims
What is put forth is
Abstract Section
ABSTRACT
ABSTRACT OF (THE) INVENTION
INVENTION ABSTRACT
DISCLOSURE ABSTRACT
ABSTRACT OF (THE) DISCLOSURE
CONCLUSION

Specification Subsection
REFERENCE TO RELATED APPLICATIONS
RELATED APPLICATIONS
CROSS[-]REFERENCES
REFERENCE TO RELATED PATENTS
STATEMENT OF GOVERNMENT INTEREST
RIGHTS TO INVENTION UNDER FEDERAL RESEARCH
FEDERALLY SPONSORED RESEARCH AND DEVELOPMENT
GOVERNMENT INTEREST
GOVERNMENT RIGHTS IN THE INVENTION
FEDERAL FUNDS STATEMENT
STATEMENT AS TO RIGHTS TO INVENTIONS MADE UNDER FEDERALLY SPONSORED RESEARCH AND DEVELOPMENT
ORIGIN OF THE INVENTION
FEDERALLY SPONSORED RIGHTS
STATEMENT OF FEDERALLY SPONSORED RESEARCH
ACKNOWLEDGMENT OF GOVERNMENT SUPPORT
BACKGROUND OF THE INVENTION
DESCRIPTION
BACKGROUND OF (THE) INVENTION
BRIEF STATEMENT OF THE INVENTION
SUMMARY OF THE INVENTION
OBJECT OF THE INVENTION
OBJECT AND SUMMARY OF THE INVENTION
FIELD AND BACKGROUND OF THE INVENTION
FIELD OF (THE) INVENTION
TECHNICAL FIELD
TECHNICAL FIELD OF THE INVENTION
PRIOR ART
DESCRIPTION OF THE PRIOR ART
BRIEF STATEMENT OF THE PRIOR ART
BACKGROUND ART
DESCRIPTION OF RELATED ART
DESCRIPTION OF THE RELATED ART
BRIEF DESCRIPTION OF DRAWINGS
BRIEF DESCRIPTION OF THE DRAWINGS
BRIEF DESCRIPTION OF FIGURES
BRIEF DESCRIPTION OF THE FIGURES
JOINT RESEARCH AGREEMENT

DOCX intake in Patent Center

BEST MODE FOR CARRYING OUT THE INVENTION
DETAILED DESCRIPTION
DESCRIPTION OF THE INVENTION
DETAILED DESCRIPTION OF THE INVENTION
DETAILED DESCRIPTION OF THE DRAWINGS
CROSS[-]REFERENCE TO RELATED APPLICATIONS