USPTO Perspective: Global Dossier
Active Component

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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.
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
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

PILOT EXAMPLE - Active Component Used to Effect Remote Filing of Address Change in Offices A-E Using ONE PORTAL

Where First Filing is in Office A; Second in Offices B-E

1. Change of address submitted to Office A, with request to transmit to any of Offices B-E
2. Office A transmits request to Requested Offices
3. Requested Offices Make Changes; changes are reflected in GD/OPD
4. Any Local Representative is notified
5. Requester is Notified of Change in Requested Offices
# Active Component IT Building Blocks

<table>
<thead>
<tr>
<th>Row</th>
<th>Function</th>
<th>Similar Prior Experiences</th>
<th>Included in Proof of Concept</th>
<th>IT</th>
<th>Office and Industry</th>
<th>Legal</th>
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<tbody>
<tr>
<td>1</td>
<td>Accept request electronically</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
<td>N</td>
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<td>2</td>
<td>Validate completeness of request</td>
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<td>Y</td>
<td>Y</td>
<td>N</td>
<td>N</td>
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<td>3</td>
<td>Populate databases</td>
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<td>Y</td>
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<td>Securely transfer documents to other offices</td>
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<td>5</td>
<td>Perform machine translation</td>
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<td>Establish hand-shaking protocols</td>
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<td>Establish exception processing between offices</td>
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<td>8</td>
<td>Alert applicants and attorneys</td>
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<td>Y?</td>
<td>Y</td>
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<td>Assess fit-for-purpose</td>
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<td>Develop and exchange common forms</td>
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<td>Real-time update of foreign dossier</td>
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<td>MAYBE</td>
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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