



EFS-Web

Filing Documents For Pre-Grant Publication Quick Start Guide

***EFS-Web
(Updated June 23, 2008)***





Introduction

EFS-Web is the United States Patent and Trademark Office's (USPTO's) easy-to-use, web-based patent application and document filing system. This overview will explain the application process by explaining and demonstrating how to electronically file a Pre-Grant Publication submission i.e., requests for voluntary publication, republication, amended publication, or redacted publication through EFS-Web. For more information about Pre-Grant Publication see MPEP 1120-1135 and 37 CFR 1.211 -1.221.

How to electronically file your Pre-Grant Publication submission

EFS-Web only accepts Portable Document Format (PDF) (.pdf) and text (.txt) files for Pre-Grant Publication submissions i.e., requests for voluntary publication, republication, amended publication, or redacted publication. Text files are accepted only for sequence listings, computer program listings, and tables in text format. Unlike most EFS-Web submissions, Pre-Grant Publication submissions do not become part of the image file wrapper, as they are used only for creating the publication. Pre-Grant Publication submissions can be filed by a registered e-Filer only.

A copy of the application including the fillable application data sheet must be submitted via EFS-Web, as a "Pre-Grant Publication under 37 CFR 1.211-1.221 and pass electronic application review to be in compliance with the Office's electronic filing system requirements. Electronic application review is a review performed in the Office of Data Management for Pre-Grant Publication submissions, which is a separate review from the EFS-Web review and is done to determine if the submission is complete and complies with the pertinent rules. See 37 CFR 1.211-1.221.

Steps the e-Filer will take to submit a copy of the application for Pre-Grant Publication:

1. Log-in as a registered e-Filer
2. Choose Existing Application/Patent
3. Choose Pre-Grant Publication under 37 CFR 1.211 to 1.221.
Note: If the e-Filer does not choose "Pre-Grant Publication under 37 CFR 1.211 to 1.221" and instead chooses "Documents/Fees for an existing application", the submission will not be put into the queue for electronic application review and publication by the Office. The submission will be entered into the image file wrapper as a document and it will be rejected when it is reviewed, as being improperly filed. The e-Filer will then be required to resubmit the application using the proper procedure. In



addition, any processing fees that have been paid will be retained by USPTO.

4. The e-Filer is required to enter the application number, confirmation number, and type of Pre-Grant Publication submission.
 - i. "Original-publication - Amended" for an original publication
 - ii. "Original-publication - Redacted" for an original redacted publication
 - iii. "Republication - Amended" for republishing an application
 - iv. "Voluntary" for publishing an application that is not subject to publication, for applications filed prior to November 29, 2000

5. *Attach files:* When filing a Pre-Grant Publication submission, the e-Filer is required to file the necessary parts of the application to create the publication, for example a specification, claims, abstract, any necessary drawings or sequence listing and the EFS-Web fillable Application Data Sheet (SB14). If the specification, claims and abstract files and EFS-Web fillable Application Data Sheet are not attached, EFS-Web will not allow the e-Filer to proceed.

Note: While EFS-Web may accept a Pre-Grant Publication submission without a sequence listing or drawings, if one or both of these elements is part of the application and not attached, the submission will fail electronic application review.

Once all of the files are attached and validated, the e-Filer will continue to the *Calculate Fees* screen.

6. *Calculate Fees:* EFS-Web automatically provides the Pre-Grant Publication fee that is due based on the type of Pre-Grant Publication selected.

Note: If an applicant attempts to file a Pre-Grant Publication submission for an amended publication before the application has been published but after the application has been exported to the publisher, the submission will be treated as a request for republication during electronic application review and the submission will be rejected for failure to pay the publication fee and processing fee as required. This fee is calculated from the selection chosen on the login screen. After reviewing the fees, the e-Filer will continue to the *Confirm/Pay* screen.

7. *Confirm/Pay:* e-Filer is given a chance to review all attachments and fees before paying for the submission. e-Filer will click *Confirm/Pay* and proceed to the payment screens.

Pre-Grant Publication fees, if required must be paid at time of filing the submission. The e-Filer will not receive an acknowledgement receipt until the fees have been paid using a deposit account, credit card, or electronic funds transfer.



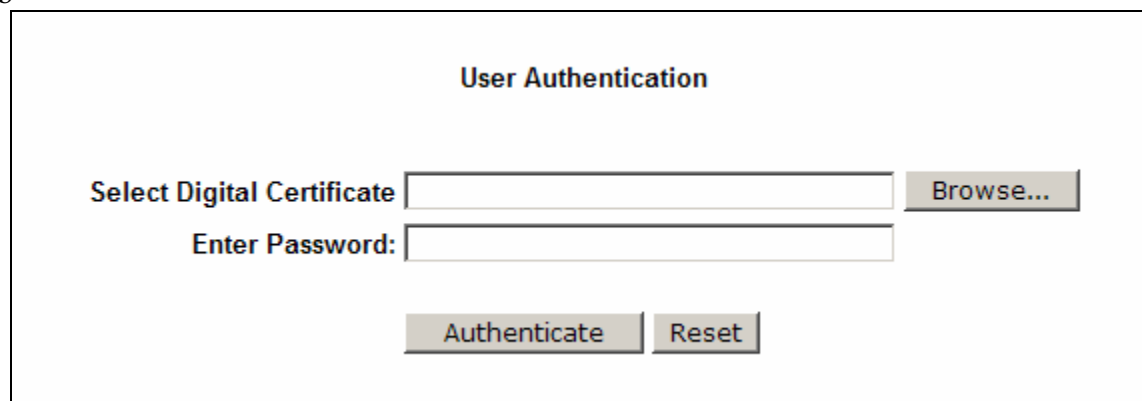
Redacted Publication: A request for redacted publication must include a timely filed copy of the application in compliance with the Office electronic filing system requirements and additionally comply with the other requirements of 37 CFR 1.217. For more information see MPEP 1132 and Changes to Implement Eighteen-Month Publication of Patent Applications, 65 FR 57023 (Sept. 20, 2000), 1239 Off. Gaz. Pat. Office Notices 63 (Oct. 10, 2000) (final rule).

Corrected Publication: A request for corrected publication may be submitted via EFS-Web, but it is not submitted as a Pre-Grant Publication submission, as it is a document that will become a part of the image file wrapper. It must be submitted by selecting "Document/Fees for an existing application" as the application type and then selecting "Request/Corrected Patent Application Publications" as the Document Description.

The following are screenshots showing the steps to file a Pre-Grant Publication submission in EFS-Web.

Steps to filing a Pre-Grant Publication submission in EFS-Web

1. Open <https://sportal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html> in a web browser
2. Login to EFS-Web

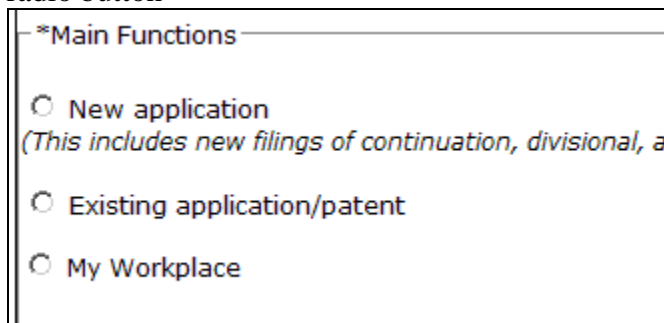


The image shows a web form titled "User Authentication". It contains the following elements:

- A label "Select Digital Certificate" followed by a text input field and a "Browse..." button.
- A label "Enter Password:" followed by a text input field.
- Two buttons at the bottom: "Authenticate" and "Reset".

* NOTE : DIGITAL CERTIFICATES provided by USPTO have a file name that ends in ".epf"

3. Choose **Existing application/patent** radio button



The image shows a menu titled "*Main Functions" with three radio button options:

- New application
(This includes new filings of continuation, divisional, and
- Existing application/patent
- My Workplace


4. Choose **Pre-Grant Publication under 37 CFR 1.211 to 1.221** radio button

Existing application/patent


Select Type of Existing Application

Documents/Fees for an existing application
(A request for continued examination (RCE) and continued prosecution application (CPA) are considered existing documents)


Petition


Pre-Grant Publication under 37 CFR 1.211 to 1.221 

5. Enter the application number, confirmation number, and choose the type of Pre-Grant Publication

Pre-Grant Publication under 37 CFR 1.211 to 1.221 

The following information is required if you are filing a Pre Grant Publication under 37 CFR 1.211 to 1.221

*Application Number (EXAMPLE: 99/999,999; 999999999; 99/999999) 

*Confirmation Number (EXAMPLE: 1234) 

*Pre-Grant filing type

- Original-publication - Amended
- Original-publication - Redacted
- Republication - Amended
- Voluntary

6. Attach the required documents (Specification, claims, abstract, any necessary drawings or sequence listing, and the USPTO fillable application data sheet (SB/14)). For redacted publication submissions see [37 CFR 1.217](#).

Files to be Submitted	Category	Document Description
1 <input type="text"/> <input type="button" value="Browse..."/> Does your PDF file contain multiple documents?	<input type="button" value="View All Categories"/>	<input type="text"/>
<input type="radio"/> Yes <input checked="" type="radio"/> No		<input type="button" value="Add File"/>
<small>When using EFS-Web to electronically file a Pre-Grant Publication submission under 37 CFR 1.215, 37 CFR 1.217 or 37 CFR 1.221, the eFiler must attach the associated Pre-Grant Publication files that contains the specification including claims, drawings and abstract and the USPTO form fillable Application Data Sheet (SB/14). For redacted publication submissions additionally see 37 CFR 1.217.</small>		


7. Fees will be automatically calculated. Fee is determined by Pre-Grant Publication type chosen in Step 5.

Fee Calculator		
<input checked="" type="checkbox"/> PG Pub Fees		
Original Publication as Amended	Fee Code	Fee
		\$0
	Total Fees Due: \$	<input type="text" value="0"/>
Privacy Policy <input type="button" value="Cancel"/> <input type="button" value="Continue"/>		

8. Review all attached files and submit

To Review a Document, please click on the document name.					
Sequence	Files to be Submitted	Page Count	Document Description	File Size	Validation Status Message
1	Specification6PM.pdf ◆ No validation errors found.	24	Specification	102037 byte	◆ PASS
2	Routingsheet_EFS.pdf ◆ No validation errors found.	1	Claims	1592913 byte	◆ PASS
3	sb0014_kh.pdf ◆ No validation errors found.	4	Application Data Sheet	967026 byte	◆ PASS
4	5903574.pdf ◆ No validation errors found.	1	Abstract	775004 byte	◆ PASS

[Edit Attached Files](#)



 Please click Submit only once

9. Pay any fees due

The following fees will be collected for this application.				
Fee Description	Fee Code	Quantity	Fee Amount	Fee Total
Request for voluntary publication or rep	1803	1	130	130
Publ. Fee- early, voluntary, or normal	1504	1	300	300
				Total Payment \$ 430

Select method of payment

The U.S. Patent and Trademark Office supports Secure Sockets Layer (SSL) for the security of all transactions. Read more... [about the security of your transaction.](#)

Charge USPTO Deposit Account
 Charge Credit Card
 Electronic Funds Transfer

10. Upon paying fees (if due), an Acknowledgement Receipt will be generated

Acknowledgement Receipt
 The USPTO has received your submission at **08:14:33** Eastern Time on **21-APR-2008**.

No fees have been paid for this submission. Please remember to pay any required fees on time to prevent abandonment of your application.

eFiled Application Information

EFS ID	3179965	You may take the following actions: Print Receipt Save Receipt File Another Application File an Assignment of Ownership Pay Maintenance Fees Access Private Pair
Application Number	99999999	
Confirmation Number	9999	
Title of Invention	This is my title of invention	
First Named Inventor	John Q. Patent	
Customer Number or Correspondence Address	99111	
Filed By	Jane C. Patent	
Attorney Docket Number	Test1234.5	
Filing Date	16-FEB-2001	
Receipt Date	21-APR-2008	
Application Type	Utility under 35 USC 111(a) (Pre-Grant Publication under 37 CFR 1.211 to 1.221) Original-publication - Amended	
Pre-Grant Filing Type		

Application Details

Submitted Files	Page Count	Document Description	File Size	Warnings
sb0014_kh.pdf	4	Application Data Sheet	967026 bytes	◆ PASS
Specification6PM.pdf	24	Specification	102037 bytes	◆ PASS
Routingsheet_EFS.pdf	1	Claims	1592913 bytes	◆ PASS
5903574.pdf	1	Abstract	775004 bytes	◆ PASS