Global Dossier



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This paper was created by the authors for the Intellectual Property Owners Association Patent Search Committee to provide background to IPO members. It should not be construed as providing legal advice or as representing the views of IPO.

Introduction

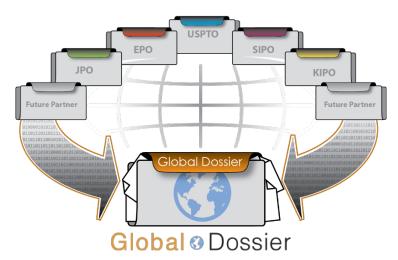
The purpose of this bulletin is to share insights with respect to Global Dossier that may prove useful to patent owners and/or practitioners. For those who may be unfamiliar with Global Dossier, here is the definition provided by the USPTO.

"The Global Dossier Initiative is a set of business services being developed by the IP5 Offices (USPTO, EPO, JPO, KIPO, and SIPO) aimed at modernizing the global patent system and delivering benefits to all stakeholders through a single portal/user interface. Global Dossier will provide a single, secure point of access for the management of dossier and examination information, enabling and encouraging streamlining of office procedures among different IP Offices. This will lead to improved efficiency and predictability of global patent family prosecution with increased cost savings provided to patent applicants." 1

The USPTO description discusses a single portal/user interface; however, more than one portal/user interface currently exists with respect to other IP5 members. That being said, all Global Dossier data is the same with the understanding that data synchronization timing may result in some differences between a participating patent office's information and that presented through a Global Dossier portal. The purpose of this bulletin is to compare the USPTO portal to that of the EPO since some differences exist and these differences may be of interest to the reader.

Global Dossier represents a pathway to two (2) information sources; however, both the EPO's Global Dossier portal and the USPTO Global Dossier portal include links to the "Common Citation Document" (CCD) database. In general, the following three (3) sources of information are available to the general public via Global Dossier. Citation information from CCD and Citation List (listed below) are discussed in a different bulletin.

- 1. Patent family information (EPO worldwide legal status database (INPADOC))
- 2. Image file wrapper content (pdfs of file wrapper documents from participating offices)
- 3. **Citation information** (available from CCD, via Espacenet, or Citation List, via Global Dossier)



Please be aware that CIPO (Canada) and PCT / 1B documents are included in "Future Partners".

¹ https://globaldossier.uspto.gov/#/

Global Dossier USPTO Portal

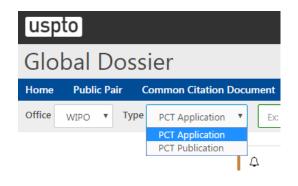
The Global Dossier portal, provided by the USPTO, is illustrated below to highlight currently participating Global Dossier offices. In addition to the IP 5 offices, the WIPO and WIPO CASE (Centralized Access to Search and Examination) systems also participate in Global Dossier information sharing. As shown below, the user may select a specific office and enter either the application, published application, or issued patent number for that office; however, the USPTO is unique in that it separates the "Pre-grant Publication" from the issued "Patent" field.





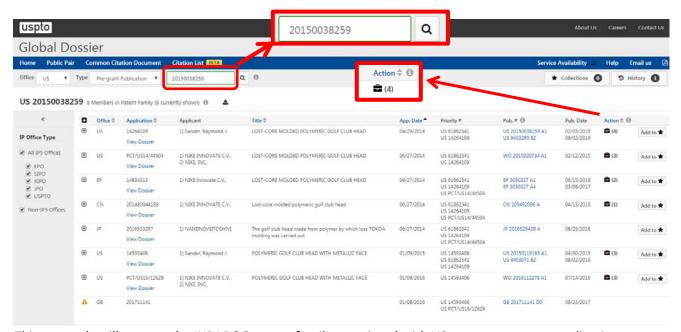




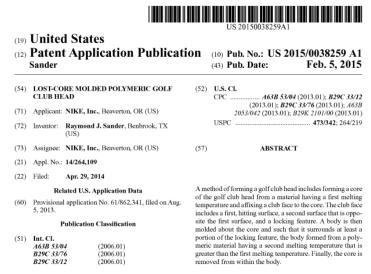




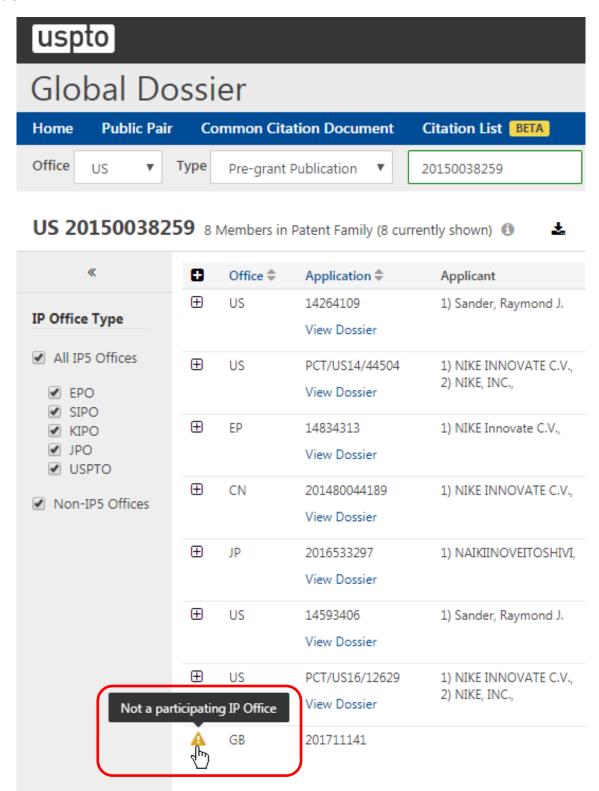
To help illustrate the differences between the EPO and USPTO Global Dossier portals, a golf club head patent family was selected as a working example. Publication number, US20150038259A1, was used to lookup (https://globaldossier.uspto.gov/#) the associated patent family using both the USPTO Global Dossier portal (as of 10/16/2017) as well as Espacenet (as of 10/17/2017). Please be aware that the pre-grant publication number must be entered without the "US" country code, the forward slash "/", or the kind code "A1" present on the US pre-grant publication. If additional letters, characters, or numbers are present the number will automatically truncate. This can be inconvenient if the user is using a cut and paste technique to enter a patent application, pre-grant publication, or patent number obtained from another database. One convenient feature of the USPTO Global Dossier portal is the column denoting the number of office actions associated with each patent family member, which includes the ability to open or download office action documents.



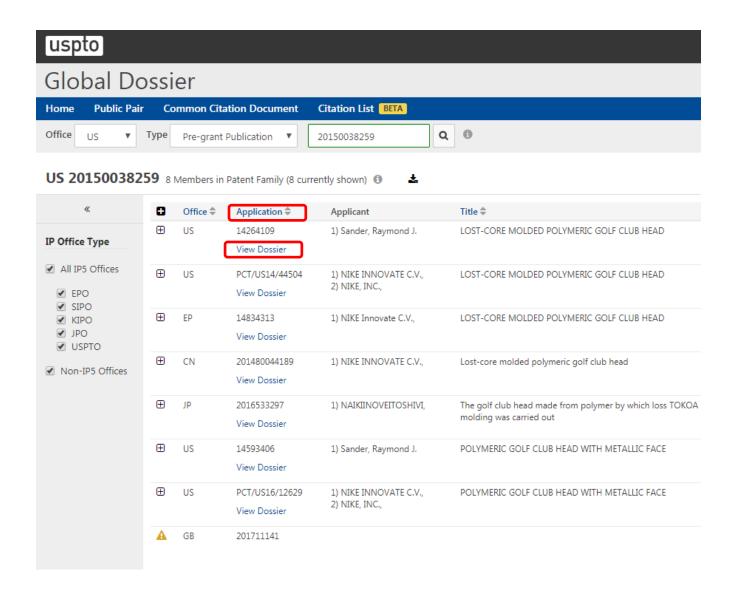
This screenshot illustrates the INPADOC patent family associated with US pre-grant patent application publication US20150038259A1.



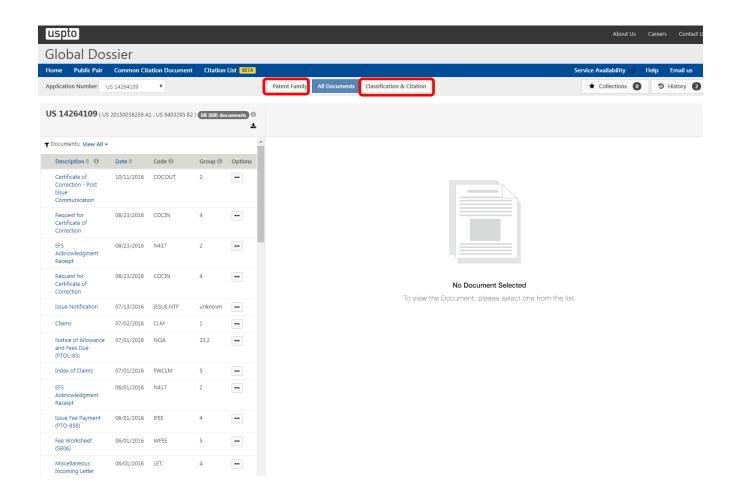
The "Expand All" icon is replaced by a warning notice (see the warning triangle below) when information is not available.



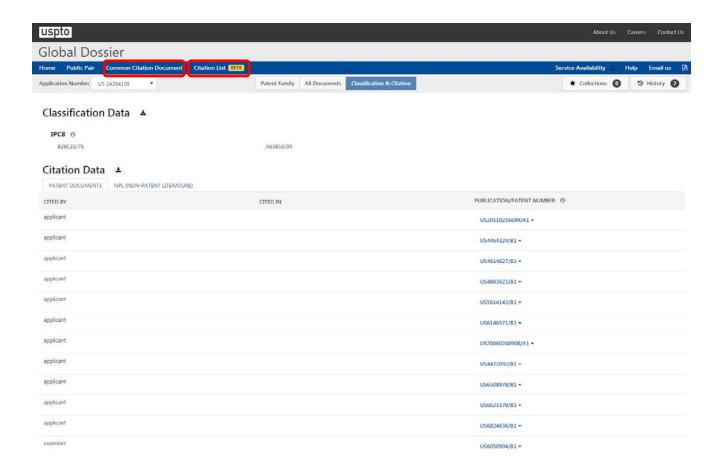
By selecting the "View Dossier" hyperlink, within the USPTO Global Dossier portal for the first patent application number (14/264,109), one retrieves the file wrapper information webpage.



After selecting "View Dossier" the user will see a list of file history documents in chronological order. Please note that three viewing options are listed across the top of the screen. The list of file wrapper documents is referred to as "All Documents", which is the webpage associated with selection of the "View Dossier" hyperlink. If the user selects the "Patent Family" viewing option, Global Dossier will return to the webpage shown on page 6. In other words, when a user enters an application, pre-grant publication, or patent number the "Patent Family" webpage appears by default. Lastly, selecting the "Classification & Citation" information option will deliver the webpage shown on page 8. The "Classification & Citation" webpage provides IPC classification, patent citation, and non-patent literature citation information, but not CPC information.

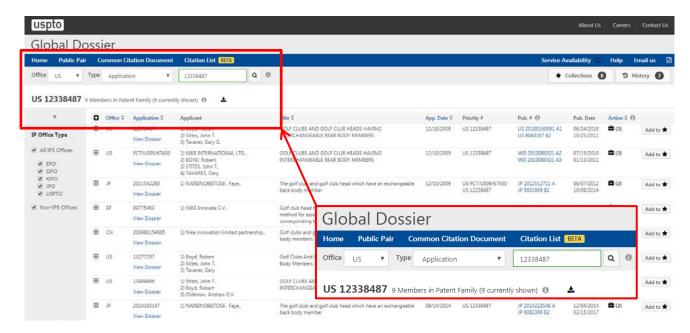


The USPTO portal provides hyperlinks to both the IP5 "Common Citation Document" database and the newly introduced USPTO "Citation List" database. Both databases are discussed in a separate IPO bulletin.

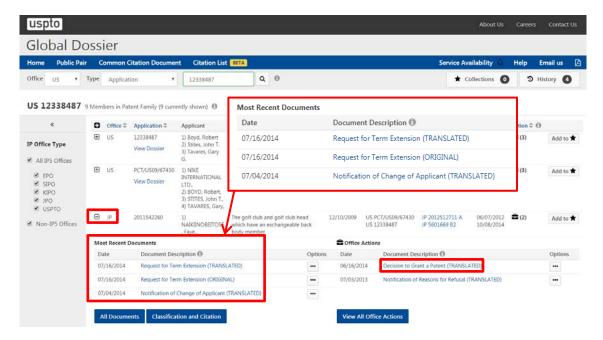


Global Dossier USPTO Portal – English Translations

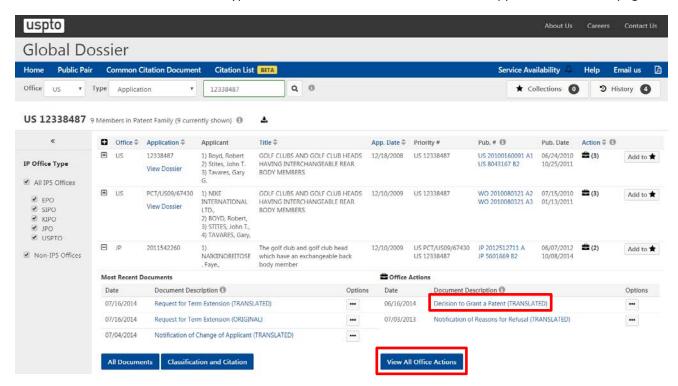
The previous patent family example did not provide an opportunity to demonstrate the English translation feature available in the USPTO Global Dossier portal. The following example pertains to the patent family associated with US patent application 12/338,487. Please note that the USPTO Global Dossier portal does not permit inclusion of the forward slash "/" in the application number.



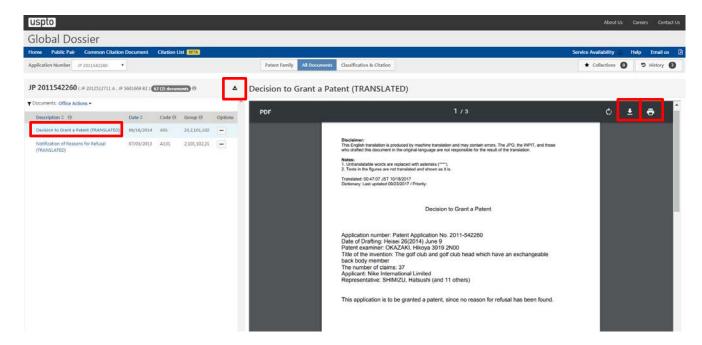
A listing of the "Most Recent Documents", with respect to the Japan filing, can be retrieved by selecting the JP +/- icon.



If the USPTO Global Dossier user would like to review the "Decision to Grant a Patent (TRANSLATED)" document for the JP family member, an English translation is available as shown on the following page. Simply select the "View All Office Actions" hyperlink and the "All Documents" view will appear, as shown on page 11.



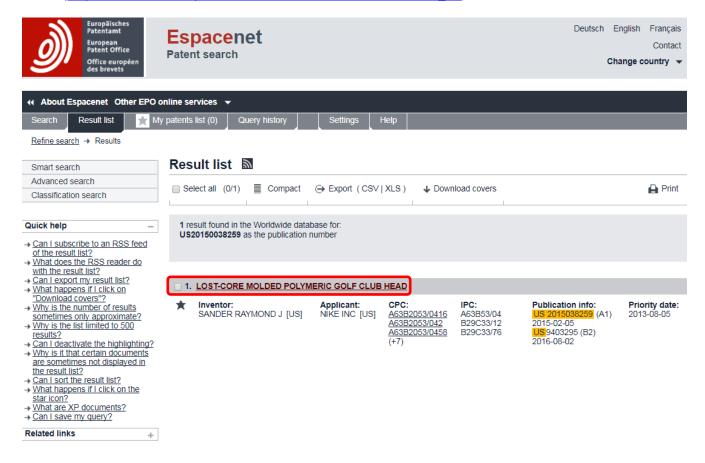
If the user selects "Decision to Grant a Patent (TRANSLATED)", a PDF image of the English translated document will appear in the right-hand window. The document list or PDF file can be downloaded by selecting either of the downward arrow icons. The PDF file can be printed by selected the print icon.



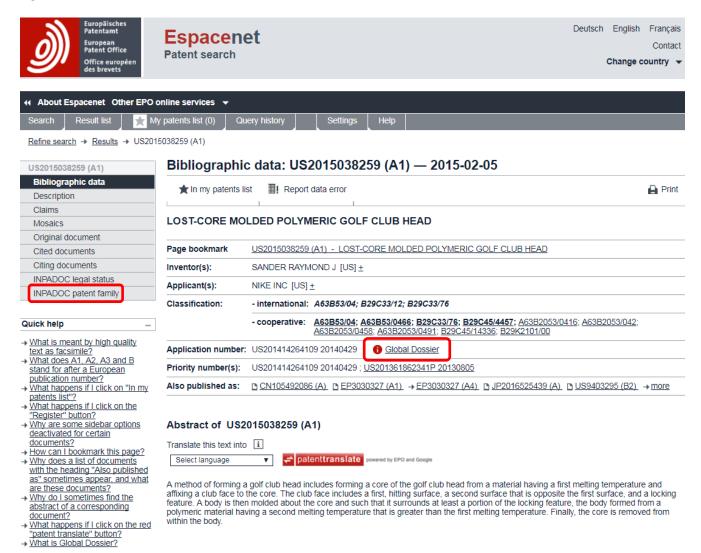
Global Dossier EPO Portal

The EPO does not have a dedicated Global Dossier portal per se, but it provides Global Dossier icons within Espacenet's search results and provides Global Dossier file wrapper information through the European Patent Register. To demonstrate, Espacenet will be used to retrieve patent family and citation information for US20150038259A1. After entering US20150038259A1 into Espacenet, the single publication is selected from the result list followed by retrieval of the "Bibliographic data" page.

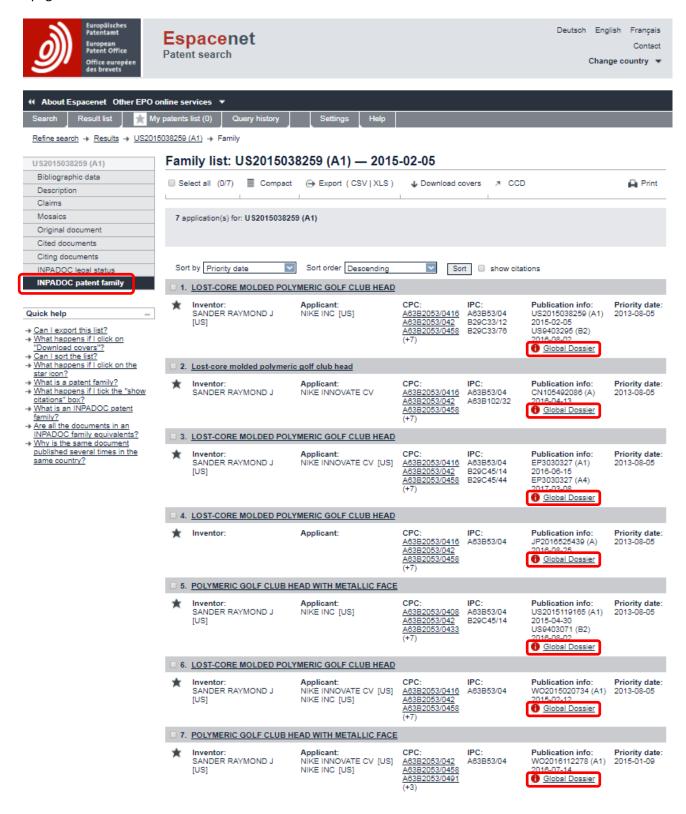
(https://worldwide.espacenet.com/advancedSearch?locale=en EP)



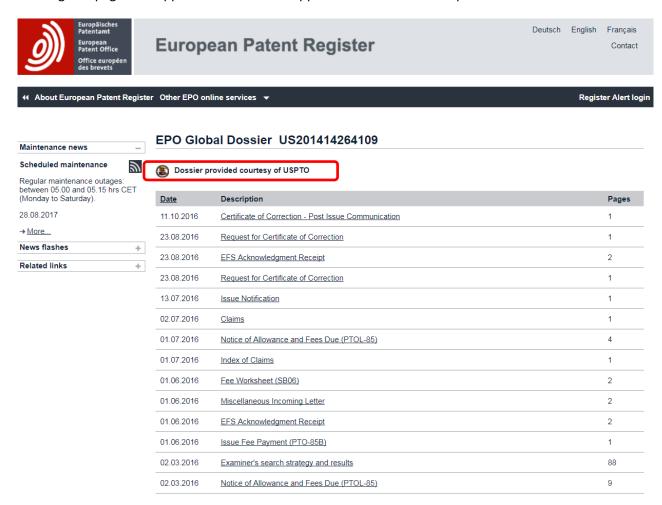
Please take note of the Global Dossier icon found on the "Bibliographic data" page. In addition, please note that Espacenet dropped one of the zeros in the publication number and reports it as US2015038259A1; however, Espacenet's search engine will retrieve the correct patent document record if the user enters two zeros or a single zero.



Patent family information may be retrieved by selecting "INPADOC patent family" from the menu shown on the left-hand side of the webpage. Global Dossier hyperlinks accompany each family member. The user may select any of the Global Dossier hyperlinks to retrieve file history (aka wrapper) information, as shown on page 15.



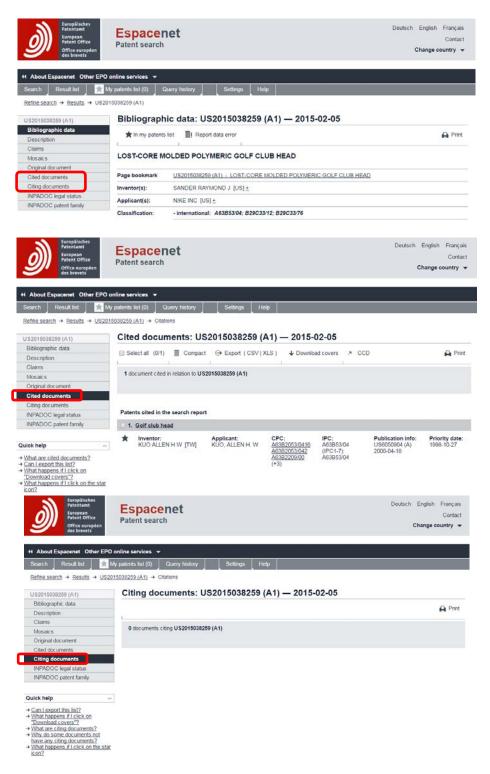
If the user selects the Global Dossier hyperlink with respect to publication US2015038259A1, the European Patent Register pages will appear with the file wrapper data associated with publication US2015038259A1.



If the user selects the Global Dossier hyperlink with respect to publication CN105492086(A), The European Patent Register will appear with the file wrapper data associated with publication CN105492086(A).

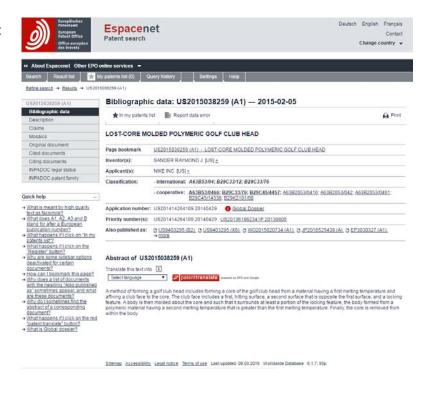


Patent documents that have been cited during the prosecution of US20150038259A1 may be identified by selecting "Cited Documents" from the menu shown on the left-hand side of the "Bibliographic data" webpage whereas any published patent applications/issued patents citing US20150038259A1 may be identified by selecting "Citing Documents". Please note that the "Cited Documents" count is not consistent with that identified within the USPTO Global Dossier portal because Espacenet has NOT included applicant references with respect to US20150038259A1.



Espacenet users may access citation (cited and citing) information through Espacenet OR may access citation information (cited ONLY) through the Common Citation Document (CCD) website. A CCD hyperlink may be found on the "Cited Document" or on the "INPADOC patent family" (not shown) webpages.

As mentioned earlier, CCD is discussed in a separate IPO bulletin.



Summary

Global Dossier provides a means for identifying the extended INPADOC patent family, patent application image file wrapper, and cited patent document/non-patent literature information with respect to patent applications of interest. The reader may have access to other fee-based patent search systems and associated databases; however, an alternative free source of INPADOC patent family, image file wrapper, and cited reference information may prove beneficial. If the reader requires the most up-to-date patent family and citation information available, the reader is encouraged to check more than one data source. The following comparison table lists the key Global Dossier features discussed in this bulletin.

	USPTO Global Dossier Portal	Espacenet ONLY	Espacenet - Global Dossier Portal
INPADOC Patent Family	Yes	Yes	No
Image File Wrapper List	Yes	No	Yes
Image File Wrapper Documents	Yes	No	Yes
Cited Patent References	Yes	Yes	No
Cited Non-Patent References	Yes	Yes	No
Citing Patent References	No	Yes	No
Citing Non-Patent References	No	No	No
IPC Information	Yes	Yes	No
Help	Yes	Yes	Yes