New online filing (CMS)

User guide

Software version 1.70 / 2020-03-28
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Disclaimer
This user manual reflects the EPO's new online filing (CMS) service at the time of writing. As changes are possible, the screenshots may deviate from the actual content of the system.
1. How to use new online filing (CMS)

The EPO's new online filing (CMS) service enables applicants
- to file EP, Euro-PCT and international (PCT) applications and
- to manage these applications online.

1.1. Contacting EPO Customer Services

Please contact EPO Customer Services for all questions about CMS and other EPO online services. We are open Monday to Friday, 08.00-18.00 hrs CET.

Our freephone number 00 800 80 20 20 20 is available for the following countries:

Austria
Belgium
Bulgaria
Croatia
Cyprus
Czech Republic
Denmark
Estonia
Finland
France
Germany
Greece
Hungary
Iceland
Ireland
Isle of Man
Italy
Latvia

Lithuania
Luxembourg
Malta
Netherlands
North Macedonia
Norway
Poland
Portugal
Romania
San Marino
Slovakia
Slovenia
Spain
Sweden
Switzerland
Turkey
United Kingdom

Please note that some network operators, internet phone services, payphones and hotels do not allow access to 00 800 numbers or may charge for these calls.

Alternatively, you can
- use our contact form to send us your enquiry at any time: 
  https://forms.epo.org/service-support/contact-us/contact0-form.html
- call Customer Services (normal national/international rates apply):
  - Munich: +49 89 2399-4500
  - The Hague: +31 70 340-4500
  - Berlin: +49 30 25901-4500
  - Vienna: +43 1 52126-4500

1.2. Accessing new online filing (CMS)

To access new online filing (CMS), follow these steps:
→ Connect your smart card reader to your computer and insert your smart card into the reader.
→ To confirm the certificate issued by the European Patent Office, click OK.
→ In the smart card login dialog box, enter your PIN and click OK.
You are directed to the Applications overview and you can start using new online filing (CMS).

Only one CMS session should be open at a time. Starting multiple CMS sessions in different browser tabs is not recommended.

**Terms and conditions of use**
If you log on to CMS for the first time, you will see a message about the EPO terms and conditions of use.
→ Click the Read more… link to learn more about the terms and conditions of use.
→ Click OK to accept the terms and conditions of use.

![Figure 1 – Message about the EPO terms and conditions of use](image)

**Browser and system settings**
CMS works in most modern browsers running on desktop computers. To find out more about versions supported and browser configuration, please refer to the document [Settings and quick access to new online filing (CMS) functions](http://www.epo.org/applying/online-services/new-online-filing.html) available as a PDF download from the EPO website.

1.3. Overview of CMS

1.3.1. Applications overview

*My applications* under Applications is the starting point for all your activities in CMS.

1. Click the EPO logo to go back to *My applications* from any other point in CMS.
2. Select the display language for CMS.
3 View comprehensive EPO contact information in a new browser window.
4 Set preferences for the current user, go to EPO Online Services or log off CMS.
5 Click a tab or sub-tab in the main navigation for more CMS functions.
6 Select filter options or search for a specific term in your list of applications.
7 Select a task from the toolbar or open a drop-down menu for more tasks.
8 Sort your application list by one of the column headers or change the order of the columns.
9 Select the columns to be shown or hidden in the list of applications.
10 Organise your applications in folders and sub-folders.
11 Click an application to see all details in the form view.

![EPO case management system](image)

Figure 2 – Features of CMS in "My applications"

1.3.2. Application form view

In the form view, you can add information and documents, edit the application data and process the application until its submission to the EPO.

1 Click a tab or sub-tab in the main navigation for more CMS functions.
2 View the basic application data.
3 Inspect the validation messages to verify your data.
4 View the status of your application.
5 Click a form tab to view and edit other sections of the form.
6 View and expand the details in the active tab.
7 Proceed to the next step in the application process or execute another task from the task list.

![Diagram of CMS features]

Figure 3 – Features of CMS in the application form

1.3.3. Dialog boxes

Dialog boxes open whenever you click a task or an action icon in the application form, e.g. to add or remove information.

Handling dialog boxes

→ Move the dialog box by clicking the grey header and dragging it to another place on your screen.
→ Resize the dialog box by dragging the right border, the bottom right corner or the bottom border.
→ Close the dialog box without saving changes by pressing the ESC key, by clicking the Close button in the upper right corner or by clicking the appropriate button in the dialog box, if applicable (e.g. No).
→ Close the dialog box and save changes or proceed to the next step in the workflow by clicking the appropriate button (e.g. Next or Yes).
Required fields
Mandatory fields that require data entry or a selection are marked with an asterisk (*). If you click Next without completing the required fields, red error messages are displayed to inform you about missing or incorrect data. You cannot proceed to the next step without providing the required data.

Look-up function
In long drop-down lists, e.g. when selecting the country in an address entry, you can enter one or more consecutive characters from the word you are looking for. The list is immediately filtered to the entries containing your search string to help you select the appropriate option.
1.4. User preferences

You can adjust some of the CMS features to fit your personal preferences and save these to your user profile.

→ To access your user profile, go to the user menu.
→ To open the user menu, move your cursor over your user name and organisation name on the right-hand side of the screen.
→ Select Preferences from the user menu.

The User profile dialog box opens.

You can select the following preferences:

- Preferred language
  - English (default)
  - French
  - German

- Applications, default sub-tab
  - My applications (default, visible if activated by your organisation administrator)
  - Inbox
  - My demo applications

- EP1001 default procedural language
  - No preference (default)
  - English
  - French
1.4.1. Preferred language

You can set your preferred language for the graphical user interface of CMS either by clicking the language in the top right-hand corner of the screen (Deutsch, English or Français) or by selecting the appropriate option in User profile.

→ Go to the user menu and select Preferences.
→ Select your preferred language.
→ Click Next.

The text in the graphical user interface of CMS is now in the language selected.

1.4.2. Default sub-tab in Applications

You can select the sub-tab that is displayed in Applications when you log on to CMS. By default, the My applications sub-tab is displayed on start-up. If you are still new to CMS and intend to practise in the system, you should set your default to My demo applications. Starting in the demo environment will help you to avoid sending your test applications as real filings to the EPO live server.

→ Go to the user menu and select Preferences.
→ Select your preferred start-up view under Applications, default sub-tab.
The My applications option is only available if your organisation administrator has assigned the appropriate user access rights to your user account (see 11.4.7 Right to access applications).

→ Click Next.

Your start-up view for CMS has now been set. The next time you log on to CMS, you will see your preferred default sub-tab.

1.4.3. Default procedural language for EPO Form 1001

You can set the default procedural language for your EPO Form 1001 applications. If you select a default procedural language in your User profile, this language will be selected for any new EPO Form 1001 application.

→ Go to the user menu and select Preferences.
→ Select your preferred default procedural language for EPO Form 1001.
→ Click Next.

Your default procedural language for the EPO Form 1001 has now been set. When you create a new EPO Form 1001, this language will be selected in the Procedural language field.

1.4.4. Task list position

The task list contains a list of tasks available to you depending on the stage you are at with your application. For more information on tasks, see 2.7 Tasks and steps in preparing an application.

You can set the position of your task list to the left or right side of the screen. By default, the task list is displayed on the right-hand side of the screen.

→ Go to the user menu and select Preferences.
→ Select your preferred Task list position.
→ Click Next.

The task list is now displayed on the side of the screen to which you have just set your Task list position preference.
1.4.5. Folder position

Folders are containers for organising CMS items like applications, templates and address book entries. For more information on using folders, see Organising applications with folders.

You can set the position of the folders to the top or to the bottom of the overview table. By default, the folders are displayed above the individual items, e.g. in the application overview table.

→ Go to the user menu and select Preferences.
→ Select your preferred Folder position.
→ Click Next.

Example:
If you select Bottom, the folders in My applications are displayed below the list of applications.

![Figure 10 – Folder position at the bottom of the application overview table](image)

1.5. Logging off

→ To log off CMS, go to the user menu and select Log out.
You will be directed to the EPO website.
For security reasons, it is also good practice to close all browser windows or tabs after logging off.

![Figure 11 – Logging off CMS](image)

Session timeout
After 30 minutes of inactivity in CMS, your session will time out.
- If you were viewing an overview page or detail page, you can continue to work without being alerted, provided that your smart card is still correctly inserted in the card reader.
• If you were working in a dialog box, e.g. Application, you will see a Request blocked notification when you click the Next button. The data you entered in the dialog box will be lost.

→ To continue working in CMS, either click the EPO logo or click the link Go back to the home page.

Provided that your smart card is still correctly inserted in the card reader, you can continue working without having to log on again. You will be directed to your default view (see 1.4.2 Default sub-tab in Applications).

![Request blocked / Requête bloquée / Anfrage abgelehnt](image)

Figure 12 – The “Request blocked” notification following an automatic session timeout provides links back to CMS

1.6. Shortcut keys

In CMS you can use shortcut keys to navigate between tabs and views and to open menus and tasks. In addition, you can use the Tab key, the ↑ (up arrow) and ↓ (down arrow) keys and the Enter (Return) key to move around in the forms and select items.

Depending on whether you are currently viewing a list (e.g. My applications or My contacts) or an individual application, the graphical user interface provides different sets of shortcut keys.

→ To see which shortcut keys are available, press H on your keyboard. Yellow labels appear in the screen and indicate the active shortcuts.

→ Press the key or the key combination you want. Pressing a key combination means that you press the first key and hold it down, and then press the second key.
The visible items are numbered consecutively from left to right and from top to bottom. Which items are visible depends on your user access rights. For example, if you do not have organisation administration rights, the **Account management** tab will not be visible and the number 5 will be indicated on the **Online help** tab instead.

<table>
<thead>
<tr>
<th>Shortcut key</th>
<th>Action in list view</th>
<th>Action in application view</th>
</tr>
</thead>
<tbody>
<tr>
<td>H</td>
<td>Show available shortcut keys in current screen</td>
<td>Show available shortcut keys in current screen</td>
</tr>
<tr>
<td>1</td>
<td>Go to <strong>Applications</strong></td>
<td>Go to <strong>Applications</strong></td>
</tr>
<tr>
<td>2</td>
<td>Go to <strong>Templates</strong></td>
<td>Go to <strong>Templates</strong></td>
</tr>
<tr>
<td>3</td>
<td>Go to <strong>Address book</strong></td>
<td>Go to <strong>Address book</strong></td>
</tr>
<tr>
<td>4</td>
<td>Go to <strong>System messages</strong></td>
<td>Go to <strong>System messages</strong></td>
</tr>
<tr>
<td>5</td>
<td>Go to <strong>Account management</strong> (only visible for users with organisation administration rights)</td>
<td>Go to <strong>Account management</strong> (only visible for users with organisation administration rights)</td>
</tr>
<tr>
<td>6</td>
<td>Go to <strong>Online help</strong></td>
<td>Go to <strong>Online help</strong></td>
</tr>
<tr>
<td>CTRL+1</td>
<td>Go to first sub-tab in the main navigation</td>
<td>Go to first sub-tab in the main navigation</td>
</tr>
<tr>
<td>CTRL+2</td>
<td>Go to second sub-tab in the main navigation</td>
<td>Go to second sub-tab in the main navigation</td>
</tr>
<tr>
<td>CTRL+3</td>
<td>Go to third sub-tab in the main navigation</td>
<td>Go to third sub-tab in the main navigation</td>
</tr>
<tr>
<td>ALT+1</td>
<td>Open first task/first menu in toolbar</td>
<td>Open first task under <strong>Next steps/Tasks</strong></td>
</tr>
<tr>
<td>ALT+2</td>
<td>Open second task/first menu in toolbar</td>
<td>Open second task under <strong>Next steps/Tasks</strong></td>
</tr>
<tr>
<td>ALT+3</td>
<td>Open third task/first menu in toolbar</td>
<td>Open third task under <strong>Next steps/Tasks</strong></td>
</tr>
<tr>
<td>ALT+4</td>
<td>Open fourth task/first menu in toolbar</td>
<td>Open fourth task under <strong>Next steps/Tasks</strong></td>
</tr>
<tr>
<td>ALT+5</td>
<td>Open fifth task/first menu in toolbar</td>
<td>Open fifth task under <strong>Next steps/Tasks</strong></td>
</tr>
<tr>
<td>ALT+6</td>
<td>Open sixth task/first menu in toolbar</td>
<td>Open sixth task under <strong>Next steps/Tasks</strong></td>
</tr>
<tr>
<td>ALT+7</td>
<td></td>
<td>Open seventh task under <strong>Next steps/Tasks</strong></td>
</tr>
<tr>
<td>TAB</td>
<td></td>
<td>Go to next field in a form</td>
</tr>
<tr>
<td>Shift+TAB</td>
<td></td>
<td>Go to previous field in a form</td>
</tr>
</tbody>
</table>

**Example of a list view:**

In **My applications**, the **New application** menu and the **Folder** menu are available in the toolbar if no individual applications are selected.

→ To open the **New application** menu, press **ALT+1**.
→ To select a menu item, move the focus to it by pressing the ↓ (down arrow) key.
→ To open the task, e.g. create a new **Form 1038**, press the **Enter** key.
Example for an application view:
In a draft application which is ready to be signed, the Pay fees task is available under Next steps.

→ To open the Pay fees dialog box, press ALT+1.

Figure 13 – Keyboard shortcuts available in "My applications"

Figure 14 – Keyboard shortcuts available in an application ready to be signed
1.7. Online help

In Online help you will find an online version of this user guide.

1.7.1. Navigating in the online help

→ Select a topic in the navigation panel on the left-hand side of the screen.
   If there is a ➔ icon displayed next to the topic, click it to expand and display the section and its contents.

→ Select a topic under Contains sections in the content panel on the right-hand side of the screen.
   To access the contents of the online help, click a topic under either Contains sections or in Is part of section.

![Navigating to sections and sub-sections of the online help](image)

1.7.2. Downloading the user guide

You can download the user guide as a PDF document from the Online help.

→ Click Download user guide in the Online help tab.

→ Click the link Click to download the EPO case management system user guide. The user guide (PDF file) opens in a new browser window.

1.7.3. Online help for tasks and actions

In the Application tab, the tasks in the task list and the actions for adding information in a tab (e.g. Add applicant) have a [?] icon.

→ When you click this icon, you will be directed to the online help, where you will find an explanation about the task or action.
Figure 16 – Finding out about a task or action
2. Applications

Applications is the default view after you log on to CMS, and features three sub-tabs:

- My applications
- Inbox
- My demo applications

My applications is accessible only to CMS users with appropriate user rights, whereas Inbox and My demo applications are accessible to all users. For more information, see 11.4.7 Right to access applications.

2.1. My applications

My applications displays all of the applications in CMS originating from your organisation.

![Figure 17 – "My applications" with application overview]

2.1.1. Filtering the application list

You can filter your applications according to any of the visible columns, except Date. Example:

→ To display only the submitted applications, select Submitted from the Status drop-down list.
→ Click Filter.

Only the applications with status Submitted are displayed.
→ To clear the filter and display all applications, delete all filter options or reset them to Choose a value and then click Filter.
Your filter settings are stored in your internal user settings. This means that they will still be active next time you log on to CMS.

Figure 18 – Filtering the applications by status “Submitted”

2.1.2. Sorting the applications list

By default, the list is sorted, in descending order, by date and time of the application's creation. You can sort your applications according to any of the visible columns. Example:

→ To sort the applications by Procedure, click Procedure in the table header. The applications are now sorted, in ascending order, by the Procedure column.

→ To reverse the sort order to descending, click Procedure in the table header again.

Figure 19 – Sorting applications by "Procedure" in ascending order

2.1.3. Customising the application list

If you want to modify how the data is displayed in the application list, you can select and arrange the columns that you would like to be contained in the table. The following six columns are displayed by default in the order given:

- Reference
- Title of Invention
- Procedure
- Form
- Date
- Status

**Hiding and showing columns**

→ Move your mouse cursor over the gear-wheel icon at the right-hand side of the table header.
   The column selection opens.

![Figure 20 – Opening the table preferences with the column selection](image)

→ To hide a column, clear the relevant check box.
→ To show one of the other columns, select the relevant check box.
   If the maximum number of six columns is selected, all other check boxes are disabled.
   The page reloads and displays the table with your selected columns.

![Figure 21 – The selected column is shown in the table](image)

The filter options also change according to the selected columns.
The **Reference** column can never be hidden as this field is the unique identifier for an application in the database.
Changing the order of columns

You can arrange the columns in the table using a "drag and drop operation".

→ Click the column header, hold down the mouse button and move the header to the new position ("drag").
→ Release the mouse button ("drop").
   The table reloads with the new column order.

2.1.4. Creating new applications

→ In My applications, go to New application and select one of the tasks to create a new application:
  • Form PCT/RO/101 – use this form to file an international application where the EPO acts as receiving Office (RO) and International Searching Authority (ISA).
  • EPO Form 1001 – Form 1001 is the default form used for requesting the grant of a European patent and examination of the application under Article 94 EPC.
  • Euro-PCT Form 1200 – this is the form used for requesting the entry of an international application into the European phase before the EPO as designated or elected Office.
  • Form 1038 – this is the form used for filing subsequently filed documents for either a previous Form PCT/RO/101 filing or a previous EPO Form 1001 or Form 1200 filing.
You can also use Form 1038 for subsequent filings for applications that have been previously submitted to the EPO by other means, e.g. filed on paper or with the Online Filing software.

- **Import from file** – this task is used to import XML data from a patent management system (PMS) into CMS.
- **Use template** – this task is used to create an application from a template (see 3 Templates).

![Figure 24 – Tasks in the "New application" menu of "My applications"](image)

**2.1.5. Removing draft applications from CMS**

You can only remove applications while they are in **Draft** status.

→ In **My applications**, select one or more applications.
→ Click **Remove**.

![Figure 25 – Removing draft applications from "My applications"](image)

You are prompted to confirm that you want to remove the application(s) in question.

→ Click **Yes**.

The selected application(s) are now removed from CMS.

**2.1.6. Exporting signed or submitted applications from CMS**

CMS allows you to export applications including all documents and system-generated files so that you can import the data into your patent management system or process them internally. The export function for multiple signed or submitted applications is available in **My applications**.

→ Select the applications that you want to export (their status is either **Signed** or **Submitted**).
→ Go to **Actions** and select **Export**.
→ At the browser prompt, select whether to open or to save the ZIP file.
Applications

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Figure 26 – Exporting selected applications in status “Submitted”

The exported ZIP file contains a package for each of the selected applications. These ZIP files are named by the reference, procedure, form, date and time of submission (or export, as the case may be), e.g. PCT-001-B_PCT-R0101_20160219-1559.zip.

Figure 27 – ZIP archives for each submitted application in the exported ZIP archive

Alternatively, you can

- export an individual application at any time, using the Export task (see 2.7.5 Exporting an application)
- export an application as soon as it is submitted, including the acknowledgement of receipt (see 9.4.3 Exporting submitted applications)

2.2. Inbox

The Inbox contains messages from CMS that concern the activities of your organisation. If new messages have been received since you last logged on to CMS, these messages are marked in bold text.

- When you submit an application, a message about the acknowledgement of receipt is sent to the Inbox.
- If an error occurs in the processing of your application, you are notified by way of a message in the Inbox. The types of error messages you may receive are listed in chapter 9.4.5 Error messages when submitting applications.
- When a new user is added to your organisation, the organisation administrator will find a message in the Inbox informing him to assign the applicable user rights.
2.3. My demo applications

My demo applications offers you a demo environment in which to practise the process of completing, signing and sending applications without submitting a real filing. Demo applications are transmitted to the EPO demo server, but real applications are sent to the EPO production server.

My demo applications gives an overview of all your organisation's demo applications and the current status of each: Draft, Signed or Submitted.
You can filter and sort the items in My demo applications by the same criteria as in My applications.
In My demo applications, you can perform the following tasks from the New demo application menu:

- **Form PCT/RO/101** – create a demo PCT application.
- **Form EP 1001** – create a demo EP application.
- **Euro-PCT Form 1200** – create a demo Euro-PCT application.
- **Form 1038** – create a demo application for subsequently filed documents.
- **Import from file** – import XML data from a patent management system (PMS) application into CMS.
- **Use template** – create a demo application from a template.

When creating a new demo application, **DEMO**- is always automatically inserted as a prefix in the Reference field. The **DEMO**- prefix cannot be deleted from the Reference field.

![Form PCT/RO/101](image)

*Figure 30 – Creating a new demo application*

### 2.4. Organising applications with folders

In My applications, you can create folders and sub-folders to organise your applications.

- CMS users with folder management rights can perform folder-related tasks in My applications and in My demo applications. For more information, see 11.4.3 Folder management rights.

- You can move both applications and folders into other folders.
- When creating a new application, you can select a folder where the new application will be stored.
- When creating a new folder, you can select an existing folder to make the new folder a sub-folder of that folder.
- You can rename folders.
- You can remove empty folders.
- You can restrict access to a top-level folder to specific users.
2.4.1. Expanding and collapsing folders

You can show/hide a folder's content either by clicking the relevant row in the overview table or by clicking the expand/collapse icons to the left of the folder's name. If there is no icon to the left of the folder's name, this means that this folder is empty and there is nothing to expand.

→ To show a folder's content, click the relevant row or the ▶ icon. The folder expands.

→ To hide a folder's content, click the relevant row or the ◄ icon. The folder collapses.

→ To expand all folders, click the ◄ icon in the table header.
2.4.2. Creating a new folder

→ First check that no application is selected in My applications.
→ Go to Folder in the toolbar and select New from the Folder drop-down menu.
→ If applicable, select an existing folder as the parent folder for the new folder.
→ Enter the Name for the new folder.
→ Click Next.

A new folder is created in My applications.

2.4.3. Moving applications to a folder

→ Select the application(s) you want to move to a folder in My applications.
→ Click Move to folder.
→ Select the name of the folder where you want to move the application(s).
→ Click Next.

The application(s) are now placed in the selected folder.
The number of applications contained in the folder is displayed in brackets to the right of the folder name.

2.4.4. Moving applications out of a folder

→ In My applications, open the folder and select the application(s) you want to move.
→ Click Move to folder.
→ To move the applications to the first level of the application overview, select No folder (default).
→ To move the applications to another folder, select a folder from the drop-down list.
→ Click Next.
→ In My applications, the application(s) are moved to the selected location.

2.4.5.  Moving a folder
→ Select the folder you want to move.
→ Click Move to folder.
→ To move the folder to the first level of the application overview, select No folder (default).
→ To move the folder to another folder, select a folder from the drop-down list.
→ Click Next.
   In My applications, the folder is moved to the selected location.

2.4.6.  Renaming a folder
→ First check that no application is selected in My applications.
→ Select the folder you want to rename.
→ Go to Folder and select Rename.
→ Enter the new name for the folder.
→ Click Next.
   The folder is now renamed.

2.4.7.  Removing a folder
You can only remove empty folders and only one folder at a time. If the folder still contains applications, first move these out with Move to folder.
→ Select the empty folder you want to remove.
→ Go to Folder and select Remove.
   You are prompted to confirm that you want to remove the folder in question.
→ Click Yes.
   The folder is now removed from My applications.

2.4.8.  Managing folder access rights
Users with folder management rights (see 11.4.3 Folder management rights) can restrict access to a specific top-level folder to specific users. By default, all folders including their sub-folders are accessible to all users. In My applications or My demo applications, applications that are not contained in a folder are always accessible to all users.

You can manage access rights for top-level folders only. Applications and sub-folders contained in a top-level folder will inherit its access right settings.
→ Select the folder you want to edit.
→ Go to Folder and select Edit access.
→ The Assign folder access dialog box opens.
On the left, there is a list of all users who have access to the selected environment. For example, when you are editing a folder in My applications and some users in your organisation are only allowed access to My demo applications, these users are not listed in the Assign folder access dialog box.

![Assign folder access](image)

**Figure 36 – All users are authorised to access the selected folder**

→ To disallow access to the folder, clear the check boxes of the relevant users. Users with folder management rights cannot be removed from the folder access list. These check boxes are disabled and remain selected.

→ To disallow access for all users except those with folder management rights, clear the check box All users.

On the right, your current selection is listed under Authorised users.

→ Click Next.

![Assign folder access](image)

**Figure 37 – Access rights restricted to specific users**

The next time a user logs on to CMS, he or she will only see the top-level folder and its contents if appropriate access rights have been granted.

![Reference table](image)

**Figure 38 – The user does not see the top-level folder for which access rights have been removed**
2.5. Editing applications

To complete an application, you have to work your way through a number of tabs. In most of these tabs, you can add, edit or remove information.

→ Click the tab where you want to edit information.
→ To edit the fields in the Application tab, click the pencil icon on the right-hand side of the tab details area.

In the editing mode of the Application tab, you can, for example, edit the contents of the Reference field.

![Editing the "Application" tab of an application](image)

2.5.1. Adding information

You can add information by clicking the + icon in the tab details.

![Adding information with the add icon](image)

2.5.2. Editing information

You can edit information by clicking the pencil icon in the row you want to edit.

![Editing information with the edit icon](image)
2.5.3. Removing information

You can remove information by clicking the icon in the row you want to remove.

![Image of removing information with the remove icon](Figure 42 – Removing information with the remove icon)

You are prompted to confirm that you want to remove the selected information. If the item you want to remove is linked to other parts of the application, the prompt will contain a list of these items. These items will be automatically removed if you confirm your wish to remove the selected information.

![Image of confirming that information should be removed](Figure 43 – Confirming that information should be removed)

2.5.4. Viewing information details

There are various options for viewing the information you have added. In some tabs, e.g. Declarations, the details are organised in two levels which can be displayed step by step.

→ Click the icon to expand the view.

![Image of expanding the view](Figure 44 – Expanding the view)

→ To view the details, click the relevant entry.
2.5.5. Task locking: only one user at a time may execute a task

When multiple users from the same organisation execute the same task in the same application at the same time, the user who saves their changes first will have their changes saved.

- Any user whose changes are not saved will be notified that the record has been modified by another user and that their changes have not been saved.
- Any such user should close this message and see which changes have been applied by the other user.
2.6. Validation

CMS has validation mechanisms that check the logical consistency of the data entered in an application. Validation icons and validation messages may be displayed in the following places in the form:

- In the **Validation messages** box
- On a tab in the tab bar
- In the tab details area

![Validation messages example](image)

*Figure 48 – Validation icons and validation messages in a PCT form*
There are three severity levels for validation messages:

<table>
<thead>
<tr>
<th>Icon</th>
<th>Severity</th>
<th>Validation status</th>
</tr>
</thead>
<tbody>
<tr>
<td>🔄</td>
<td>1</td>
<td>The red error icon means that mandatory information is missing or incorrect. You must supply or amend this information before you can submit the application.</td>
</tr>
<tr>
<td>🔄</td>
<td>2</td>
<td>The yellow warning icon means that some information is missing but may be supplied subsequent to your filing.</td>
</tr>
<tr>
<td>🔄</td>
<td>3</td>
<td>The grey information icon provides helpful hints concerning your filing.</td>
</tr>
</tbody>
</table>

### 2.6.1. Validation messages

The validation messages are grouped per tab, which can be expanded or collapsed by clicking the 🔄 icon.

→ Expand the tab to see the text of each validation message and its severity level. Next to the validation message, a 🔄 icon is displayed.

→ By clicking the 🔄 icon, you will be directed to the tab or dialog box in which you can make the necessary corrections.

**Figure 49 – Validation messages for all tabs in the form**

### 2.6.2. Validation icons

On the tabs in the tab bar, validation icons will be displayed for any validation messages applicable to the information in the tab details. If for a particular tab there are several validation messages applicable with different severity levels, the icon with the highest severity level will be displayed.

→ Move your cursor over the validation icon on the tab to see the number of validation messages for the data in this tab.

→ Move your cursor over the validation icon to see the validation messages.
2.7. Tasks and steps in preparing an application

The task list in the form shows the tasks that can be executed depending on the status of your application. The task list is displayed on the right-hand side of the screen but can also be positioned on the left-hand side of the screen by changing this setting in Preferences (see 1.4.4 Task list position).

The task list contains:

- **Next steps** – what you can do next in the particular process.
- **Tasks** – tasks that can be executed at any time prior to submission of the application:
  - Review
  - Export
  - Authorise EPO access/Revoke EPO access
  - Use for new template (see 3.2.2 Creating a template from an existing application)
2.7.1. Next steps

Next steps are tasks that can only be executed when certain conditions are fulfilled, or that can only be executed in a specific order.

<table>
<thead>
<tr>
<th>Next step</th>
<th>Task</th>
<th>Condition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Pay fees</strong></td>
<td>Pay fees</td>
<td>allows you to indicate the payment method for payment of the fees for this application and to sign the fee sheet. The valid signature of an authorised person is required. All the mandatory information must have been completed.</td>
</tr>
<tr>
<td><strong>Sign</strong></td>
<td>The application can be signed by multiple applicants or an agent. The valid signature of at least one authorised person is required. Once the application has been signed, you can no longer edit its contents. The data is packaged to prepare it for sending.</td>
<td>There are no red validation icons present and Pay fees must have been completed.</td>
</tr>
<tr>
<td><strong>Remove signature</strong></td>
<td>Remove signature allows you to delete a signature from your application. If all the signatures on the application are deleted, the status of the application returns to Draft.</td>
<td>The application must have been signed by at least one applicant.</td>
</tr>
<tr>
<td><strong>Submit</strong></td>
<td>Submit</td>
<td>sends the application to the EPO. You must have executed Sign.</td>
</tr>
</tbody>
</table>
2.7.2. **Authorising EPO access**

If you need assistance from the EPO, please contact Customer Services. After your support call has been registered, the staff will help you with any issues related to new online filing (CMS).

For comprehensive contact information, either click the Contact link on the top right of the screen or refer to chapter 1.1 Contacting EPO Customer Services.

If you need help with a particular application, you can give the EPO read-only access to this application so that Customer Services can view the data and guide you through the next steps.

→ Click **Authorise EPO access** under Tasks.
   The Authorise EPO access dialog box opens.
→ To grant the EPO access to the application, click **Yes**.
   The task Authorise EPO access under Tasks is replaced by Revoke EPO access.

2.7.3. **Revoking EPO access**

If you have earlier granted the EPO staff access to an application and you do not need this assistance any more, you can cancel this read-only access at any time while the application is in Draft or Signed status.

→ Click **Revoke EPO access** under Tasks.
   The Revoke EPO access dialog box opens.
→ To cancel the EPO access to the application, click **Yes**.
   The task Revoke EPO access under Tasks is replaced by Authorise EPO access.

2.7.4. **Reviewing and downloading forms and documents**

You can review a form at any time while you are still working on it. The form is rendered as a PDF file with all the information that has been entered.

→ Click **Review** under Tasks.
   The form opens in the Document preview window.
→ To download the form as a PDF file or to print it, use the icons in the toolbar of the PDF viewer.
   Depending on the browser you are using, this toolbar may be fixed or appears when you move your mouse pointer to the upper border of the Document preview window.
Figure 52 – Document preview showing the first page of a request form

→ To view one of the documents you attached, click the relevant file name on the left side of the Document preview window.

Your original file names are shown in brackets underneath the file names assigned by CMS.
→ To view other forms rendered by CMS, e.g. the designation of inventor, click the relevant PDF file name, e.g. f1002-1.pdf.

XML files cannot be displayed in the Document preview window.
→ To download an XML file from CMS, click the link provided in the Document preview window.
If there is no PDF viewer installed on your computer, you will see a corresponding message in the Document preview window when you select a form or a PDF document.

→ To download the PDF file, click the link provided below the message.

### 2.7.5. Exporting an application

In any status of the application, you can create an up-to-date export file containing the form, all your uploaded documents and other PDF and XML files generated by CMS.

→ Click Export under Tasks.

The data is packed into a ZIP file and is downloaded by your browser (this can take a minute).

If the export file exceeds the maximum file size limit (90 MB), the system will not pack the data into a ZIP file but displays a pop-up message asking you to contact EPO Customer Services to obtain your download.
Follow the browser dialog to store the ZIP file.

To download the ZIP file later, go to the Documents tab. The Export file can be found under Other documents in the System-generated section. Note that the export file contains the data status at the moment of clicking the Export task and is not automatically updated when you edit the application further.

Click the icon to expand the System-generated section.

Click Export file to view the details.

Click Download.

Follow the browser dialog to store the ZIP file.

Figure 57 – Downloading the export file from the "Documents" tab

Alternatively, you can

- export multiple applications in My applications (see 2.1.6 Exporting signed or submitted applications from CMS)
- export an application immediately upon submission, including the acknowledgement of receipt (see 9.4.3 Exporting submitted applications)
- download individual files from the Document preview window (see 2.7.4 Reviewing and downloading forms and documents)
2.7.6. **Hiding and showing the task list and tabs**

By default, the tasks and tabs are visible in the application view. However, you can hide them individually to create more space on your screen.

**Hiding task list or tabs**
- To hide the task list, click the toggle icon above the task list.
- To hide the tabs, click the toggle icon above the tabs.

![Image](image.png)

*Figure 58 – The task list and the tabs are visible in the default view*

**Showing task list or tabs**
- To show the task list again, click the toggle icon above the task list.
- To show the tabs again, click the toggle icon above the tabs.
2.8. Status

An application can have one of the following three statuses:

- **Draft** – this is the initial status, once an application has been created.
- **Signed** – when the application has been signed (by executing the Sign task), the status of the application will change from Draft to Signed.
- **Submitted** – the status will change to Submitted when the application has been submitted.

The processing status of an application is displayed in the upper right corner of the form.

*Figure 59 – The task list and the tabs are hidden*

*Figure 60 – PCT application in "Draft" status*
3. Templates

Templates are a useful feature when you want to create a series of applications with the same information or task, e.g. for the same applicant or for paying a specific fee. In CMS, you can simply create a new template in **My templates** and enter frequently used data. All CMS users in your organisation can then re-use this information in every new application that they create on the basis of this template.

CMS users with template management rights can create, edit or delete templates and organise templates in folders (see 11.4.4 Template management rights). All CMS users in your organisation can access template folders and use templates to create new applications or new demo applications.

3.1. My templates

**My Templates** gives an overview of all your application templates.

- You can filter your templates according to all visible columns, except **Date**.
- You can sort your templates according to all visible columns.
- You can create folders and sub-folders to organise your templates.

For more information on customising the list of templates, see the corresponding chapters under 2.1 My applications.

![Figure 61 – Templates in "My templates"](image_url)
3.2. Creating templates

3.2.1. Creating a new template from scratch

In My templates, you can perform the following tasks from the New template menu:

- **Form PCT/RO/101** – create a template for a PCT application
- **EPO Form 1001** – create a template for an EP application
- **Euro-PCT Form 1200** – create a template for a Euro-PCT application
- **Form 1038** – create a template for subsequently filed documents

→ To create a new empty template, go to New template and select the form you require, e.g. EPO Form 1001.

![Figure 62 – Selecting a form to create a new template from scratch](image)

The **Application** dialog box opens with an empty form that looks like a new application.

At the top, however, you will find two fields that are specifically required for templates: **Template ID** and **Template description**.

→ If applicable, select a folder in which to store the new template.

→ Enter the unique **Template ID** and the **Template description**.

→ Then enter the frequently used details you wish to save in the template.

![Figure 63 – Creating a new template for an EP 1001 form](image)
3.2.2. Creating a template from an existing application

You can create a new template when in My applications or when viewing a specific application. The application to be used as the basis for the template can be in any status: Draft, Signed or Submitted.

My applications > Use for new template
→ Select an application in My applications and click Use for new template.

My applications > Open application > Use for new template
→ Open the application and click Use for new template under Tasks.

The New template dialog box opens.
→ If applicable, select a folder in which to store the new template.
→ Enter the unique Template ID and the Template description.
   The system will copy most of the information from the existing application to the new template.
   Technical documents and signatures will not be copied to the template.
   The status of the template will be set to Template.
→ Click Next.
→ After the template is created, remove any details that should not be part of the template and add any details that should be part of it.
3.2.3. Copying templates

You can copy a template when in My templates or when viewing a specific template.

My templates > Use for > New template

→ Select a template in My templates.
→ Go to Use for and select New template.

You can select only one template at a time when copying a template.

My templates > Open template > Copy template

→ Open the template and click Copy template under Tasks.

The Copy template dialog box opens.
→ If applicable, select a folder in which to store the new template.
→ Enter a unique Template ID and a Template description.
→ Click Next.

A new template is created.

3.3. Removing templates

→ In My templates, select the template(s) to be removed.
→ Click **Remove** in the toolbar.

![Figure 68 – Removing templates from "My templates"](image)

You are prompted to confirm that you want to remove the template(s) in question.
→ Click **Yes**.

The selected templates(s) are now removed from CMS.

3.4. Using templates to create new (demo) applications

You can create a new application or a new demo application from an existing template when you are in:

- My templates
- an open template
- My applications
- My demo applications

**My templates > Use for new (demo) application**
→ Select a template in **My templates**.
→ Go to **Use for** and select **New application** (or **New demo application**).

![Figure 69 – Using a template in "My templates" to create a new application](image)

**My templates > Open template > Use for new (demo) application**
→ Open a template and click **Use for new application** (or **Use for new demo application**).
My (demo) applications > Use template

→ In My (demo) applications, go to New application and select Use template.

The Use for new application dialog box opens.
→ Select a Template from the drop-down list.
→ Click Next.
The **New (demo) application** dialog box opens.

→ If applicable, select a folder in which to store the new (demo) application.

→ Enter an **Application reference** for your new (demo) application.

→ Click **Next**.

A new (demo) application based on the template is now created.

Complete the missing details and check whether the pre-entered information is correct.

### 3.5. Differences between templates and applications

Templates work in almost the same way as application forms, but there are a few differences.

**Unique name**

When creating a template, it is mandatory to enter a **Template ID** and a **Template description**. The template ID must be unique within your organisation’s account.

**Status**

*Template* is the default status for templates.

**No checks on fields in the Application dialog box of a template**

Because some information is either unknown when you are creating a template or is application-specific, the first dialog box when you create a template, **Application**, differs from the **Application** dialog box of a new application.

- **No required fields**: In the **Application** dialog box of a template, a number of fields are not required which are required in the **Application** dialog box of an application, e.g. **Reference** and **Application number**. You can see that there are no asterisks (*) next to the relevant field names.

- **No format checks**: In the **Application** dialog box of a template, the format of the field entry is not checked.

**Example**: You can enter an invalid application number like **PCT/NL2014/** and click **Next** and the number will be saved even though it is not valid. Whenever you create a new application based on this template, the template will contain an invalid application number which you must correct before you can sign the form.
Record validation
Even though a template allows you to save incomplete and invalid data in the Application tab, the details will still be checked and incomplete and invalid data will result in a Record not valid validation message. You can ignore this message when creating a template, since it is only there to inform you that some additional information will have to be entered before you can sign the application when you create a new application from this template. When you create a new application from a template, you will need to resolve the Record not valid validation messages (and the other red validation messages) before you can sign and submit your application. To do this, edit the parts of the application that are not valid. When you edit parts of the application, all checks on required fields and format will be active again. If you click Next before correcting the missing or invalid information, red error messages will be shown above the fields that need to be corrected. This will help you to see which fields need to be corrected in order to resolve the Record not valid validation messages.

No technical documents in a template
You cannot upload technical documents to a template (except for the Form 1038 template). This is because it is unlikely that technical documents will be used in more than one application. Technical documents are always uploaded as a part of a specific application and not as a part of a template. When creating a template from an existing application, all documents will be copied to the template except for the technical documents and system-generated files. System-generated files will be re-created in the template.

Pay fees
The Pay fees task is always displayed in a template, although fees are not calculated in a template. You can use Pay fees to select a mode of payment and enter the bank account information.
4. **Address book**

In **Address book** you can add persons or legal entities with their name, address and contact details. All CMS users in your organisation can then re-use this contact information when they add persons to a form, e.g. applicants or inventors.

Only CMS users with address book management rights can access **Address book** to create, import, edit or delete address book items and to organise items in folders (see 11.4.1 Address book management rights). All CMS users in your organisation can use all address book items when adding contact details to an application.

**Address book** features two sub-tabs:
- **My contacts** – this gives an overview of the entries that have been added to your organisation's address book.
- **Import log** – the import log provides an overview of address book imports.

### 4.1. Adding a contact from the address book to an application

All CMS users in your organisation can copy contact information from **Address book** into an application.

→ When adding a natural person or a legal entity, click **Select from address book** in the top right-hand corner of the dialog box (**Add representative**, in this example).

![Figure 74 – "Select from address book" option](image)

The **Select from address book** dialog box opens.

The address book view is filtered to the selected person type. For example, if you selected **Natural person** in the **Add representative** dialog box, only natural persons are displayed. You can search and sort the address book contacts.

→ Click the person or entity you want to add.
The data from the address book is copied to the dialog box (Add representative, in this example).
→ Add additional information as applicable.
→ Click Next.
Where applicable, you can amend the data in the form once it has been copied from the address book. However, the EPO recommends always using the exact same address of the same specific person or legal entity.

4.2. My contacts

In My contacts you will see not only the contacts that you have added, but also the contacts that have been added by all the other CMS users that belong to your organisation.

![Figure 75 – Locating and selecting the person in the address book you want to add to an application](image)

All tasks in Address book and My contacts are only available to CMS users with address book management rights.

You can filter and sort your contacts according to the visible columns. For more information on customising the list of contacts, see the corresponding chapters under 2.1 My applications.
→ Click an item in the overview to see the details of this person or legal entity.
4.3. Managing contacts in Address book

You can use folders and sub-folders to organise your contacts in My contacts. For more information on working with folders and moving items to folders, see Organising applications with folders.

All tasks in Address book and My contacts are only available to CMS users with address book management rights.

4.3.1. Creating a new contact in Address book

In My contacts, you can enter data manually for new individual contacts. If you want to import a complete list of contacts, it is more convenient to import the contacts from an address book file. For more information, see 4.4 Importing contacts into the address book.

→ To create a new contact, click New item in the toolbar.

The Address book item dialog box opens.
→ Select **Natural person** or **Legal entity**.
→ Enter the name, address and contact details.
→ Select nationality and residence or place of business.
   This information is required in most cases when adding a person to an application.
   - For a natural person, select the appropriate country both from the **Country of residence** and the **Country of nationality** drop-down lists.
   - For a legal entity, select the appropriate country from the **Principal place of business** drop-down list.
   - If a legal entity is an association of representatives, also enter the **Association number**. This information, however, is not required for legal entities acting as applicants or as other parties in the procedure before the EPO.
→ Click **Next**.
   A new contact for this natural person or legal entity is created in the address book.

![Address book item](image)

**Figure 78 – Entering details for new contact**

### 4.3.2. Adding a person or legal entity from an application to the address book

When entering the data for a new applicant, inventor, intervener, opponent, proprietor, third party, representative or agent in an application, you can add this natural person or legal entity to the address book.

→ To copy the data from the application to the address book, select the check box **Add to address book** at the bottom of the dialog box (**Add applicant**, in this example).
→ Click **Next**.
   A new contact for this natural person or legal entity is now created in the address book.
4.3.3. Removing a contact from Address book

→ Select one or more contacts in My contacts.
→ Click Remove.

You are prompted to confirm that you want to remove the contact(s) in question.
→ Click Yes.
The selected contact(s) are now removed from CMS.
4.3.4. Adding notes to contacts

You can add notes to any contact in the address book.

→ In My contacts, click the name of the natural person or legal entity.
→ Click the Notes tab.
→ Click Create note.
→ Fill in the Title and Date fields and add your remarks in the Note field.
→ Click Next.

Your note has been added to this contact.

4.4. Importing contacts into the address book

You can import contacts from a CSV file into the address book.

⚠️ All tasks in Address book and My contacts are only available to CMS users with address book management rights.

4.4.1. Preparing address book import file for import

The CSV file must meet the following technical requirements:

- It should be a text file in ISO8859-1 format
- Fields must be delimited by semicolons
- Each record must start on a new line
- Attributes that contain newline characters must be enclosed within double quotes
- For automatic matching of the imported CSV data to the CMS address book fields, the column names in your CSV file must conform to the standard column names used by the EPO Online Filing software (which are in English, see the table further below)
- The data to be imported must be contained in the first 30 columns.
- Country names must be replaced by the 2-letter ISO codes. For a list of country codes, see the ISO website at https://www.iso.org/obp/ui/#search/code.

System settings for creating CSV files with MS Excel

You can prepare your address list in Microsoft Excel and save it as a CSV (comma-separated values) file.

If your computer is running with a German or French operating system, Excel will automatically use semicolons as the field delimiter when saving to CSV format. However, if your operating system's language is English, Excel will use commas as the default delimiter.

→ To make sure that semicolons are used, check the system settings and change the list separator if appropriate.
→ Close all Excel windows.
→ For Windows, go to Control Panel > All Control Panel Items > Region and Language.
→ In the Region and Language dialog box, click Additional settings.
→ In the Customise Format dialog box, go to the Numbers tab.
→ In the **List separator** field, select the semicolon (;) or enter the semicolon if it is not available in the drop-down list.

→ Click **OK**.

![Customise Format](image)

**Figure 81 – Setting semicolon as list separator in Windows**

→ For Mac OS X, go to **System Preferences > Language & Region**.
→ Click **Advanced**.
→ Set the **Decimal value** to a comma (,) in the **Number separators** line.
→ Click **OK**.

### Standard column names in the import file

Before importing the CSV file into the address book, please ensure that the first line in the CSV file is the header row containing the following standard column names:

<table>
<thead>
<tr>
<th>Standard column name</th>
<th>Maps onto CMS address book field</th>
</tr>
</thead>
<tbody>
<tr>
<td>Person Type</td>
<td>Type</td>
</tr>
<tr>
<td>Last Name</td>
<td>Last name (of a natural person)/ Name (of a legal entity)</td>
</tr>
<tr>
<td>First Name</td>
<td>First name (of a natural person)</td>
</tr>
<tr>
<td>Title</td>
<td>First name Note: Title will be added together with the first name (of a natural person)</td>
</tr>
<tr>
<td>Last Name (National)</td>
<td>Company (of a natural person)</td>
</tr>
<tr>
<td>First Name (National)</td>
<td>Department</td>
</tr>
<tr>
<td>Street</td>
<td>Address line 1</td>
</tr>
<tr>
<td>Postal Code</td>
<td>Postal code</td>
</tr>
<tr>
<td>Standard column name</td>
<td>Maps onto CMS address book field</td>
</tr>
<tr>
<td>----------------------</td>
<td>----------------------------------</td>
</tr>
<tr>
<td>Region</td>
<td>Province/state/county</td>
</tr>
<tr>
<td></td>
<td>Note: If a District is also indicated, it will be added together with Region to the Province/state/county field</td>
</tr>
<tr>
<td>District</td>
<td>Province/state/county</td>
</tr>
<tr>
<td></td>
<td>Note: If a Region is also indicated, it will be added together with District to the Province/state/county field</td>
</tr>
<tr>
<td>City</td>
<td>City</td>
</tr>
<tr>
<td>Country</td>
<td>Country</td>
</tr>
<tr>
<td>Note: use only the ISO code of the country</td>
<td></td>
</tr>
<tr>
<td>State of Nationality</td>
<td>Country of nationality (of a natural person – for a legal entity this will be discarded)</td>
</tr>
<tr>
<td>Note: use only the ISO code of the country</td>
<td></td>
</tr>
<tr>
<td>State of Residence</td>
<td>Country of residence (of a natural person)/ Principal place of business (of a legal entity)</td>
</tr>
<tr>
<td>Note: use only the ISO code of the country</td>
<td></td>
</tr>
<tr>
<td>Telephone</td>
<td>Telephone</td>
</tr>
<tr>
<td>Facsimile</td>
<td>Fax</td>
</tr>
<tr>
<td>e-mail</td>
<td>E-mail</td>
</tr>
</tbody>
</table>

4.4.2. **Using an export file from the EPO Online Filing address book**

The standard column names for importing CSV files into CMS conform to the address book export standard used by the EPO Online Filing software (OLF). This means that your OLF address book export file can be imported into CMS. However, a number of fields in the OLF address book are not available in CMS and will therefore not be imported into the CMS address book.

**OLF export fields that are not in CMS**
- Middle Name
- Address1 – used by OLF for the PO Box number
- Address2 – used by OLF for the Building
- Address (National)
- Street (National)
- City (National)
- Corporate body Country of incorporation
- Corporate body State of incorporation
- Role – used by OLF for Role and Registration number
- Category

**Required CMS fields that are not contained in the OLF export file**
- Association number
4.4.3. Importing from a file with standard column names

Once you have prepared and checked your CSV file, you can import it into the address book.

→ In My Contacts, go to Import/Export in the toolbar and select Import address book.
   The Import file dialog box opens.
→ Click Browse… to upload the CSV file.
→ Select the CSV file to be imported and click Next.
   – If your file has standard column names and includes all the fields required by CMS, you will see the Confirmation dialog box and can proceed importing.
   – If your file does not have standard column names or does not include a field which is required by CMS, you will see the dialog box Indicate which columns to use. In this dialog box you can match CSV columns to CMS fields before you proceed (see 4.4.4 Indicating column names manually).

The Confirmation dialog box then displays the uploaded file name, the number of records, and if applicable, the number of possible duplicates detected by CMS.

→ If applicable, select a folder in which to store the imported contacts.
→ Click Import to import the file.
   The CSV file is now imported. You will be directed to the Import log.

4.4.4. Indicating column names manually

If you try to import a CSV file that does not have the standard column names, you must indicate which column in your CSV file should be mapped to which field in the CMS address book.

The Indicate which columns to use dialog box shows the following data:
- The left-hand side shows the target CMS address book field names.
- The drop-down lists on the right-hand side contain the column names in your source CSV file. If a drop-down list shows Choose a value, no matching column was found for the relevant CMS field.

![Figure 82 – Mapping CSV columns (right side) to CMS fields (left side) required](image-url)
→ Select which column in your CSV file should be mapped to which CMS field.
   - If there is no corresponding column in your CSV file, leave the setting as Choose a value. This will result in an empty field in the CMS address book.
→ Click Next to proceed as described in chapter 4.4.3 Importing from a file with standard column names.

![CSV and CMS field mapping](image)

**Figure 83 – Mapping of CSV columns (right side) and CMS fields (left side): ready for import**

**Mapping rules for CMS fields that do not appear in address book entries**
The fields in the Indicate which column to use dialog box conform to the CMS address book export standard. This means that certain fields, like Title, District and Region, are not shown as distinct entries in the CMS address book but their content is mapped to – and merged with – other fields in the CMS address book.
For more information on the mapping and merging of fields, see 4.4.3 Importing from a file with standard column names.

**Example:**
If your import CSV file contains a separate column for the title of a natural person, you can select this column name from the Title drop-down list. The data from this column is then merged with the data from the column you select for the First name and imported into the First name CMS address book field. However, note that when you enter new address book items manually, there will be no Title field in the dialog box.

If you do not want the Title field from the import file to be merged with the First name field in CMS, you can set the option for Title to Choose a value when you are mapping the field names in the Indicate which columns to use dialog box.

### 4.4.5. Import log
After an import, you are directed to the Import log tab.
To open the most recent import log, click the file name of your imported CSV file.

> Figure 84 – Import log entries

**Items for revision**
This shows the items in the CSV import file for which the import has failed. When you click an item in **Items for revision**, you will see the error report about this item in the CSV import file.

- **Result** shows the error category. The result **Wrong value** (or **Wrong value(s)** or **Multiple wrong values**) is shown if the imported file does not contain data for a required field or contains data that could not be mapped to the corresponding field. The result **Duplicate** is shown if the imported file contains identical items. The result **Possible duplicate** is shown if there is already a similar natural person or legal entity in the address book with the same **Name**, **City** and **Country**.
- **Import error** describes in further detail why the error has occurred.
- **Item name** indicates the item in which the error has occurred. It is based on the last name and first name of a natural person or on the name of a legal entity. If there is no last name, first name or other name present in a row during the import, **No name specified** is shown under **Item name**.

**Imported items**
This shows the items that have been imported from the CSV file.

> Click an item in **Imported items** to view that item's details.

**Import details**
This shows general information about the import: the **File name**, the **Import date**, the number of **Records** (number of items excluding the header row) in the import file, the number of items **Imported** and the number of items not imported (Failed), the name of the **Organisation** to which the address book belongs and the import **Status**.

**Correcting a failed import item**
You can manually correct a failed import item in an import log so that the item can still be imported into the address book.

> Click the **Edit** icon to edit the item.
> Where applicable, correct the item and click **Next**.
> The item is now imported into the address book. It is no longer shown in **Items for revision**, and now appears instead in **Imported items**. In **Imported items**, the import item is now accompanied by a **Manually completed** remark in the **Result** column.
Removing an import log

→ To remove an import log, go to Import log in Address book.
→ In Import log, click the import log you want to remove.
  You are now in the import log.
→ Click Remove this import log under Tasks.
  You are prompted to confirm the removal of this import log.
→ Click Yes.
  The import log is now removed and you will be taken back to the Import log overview.

4.5. Exporting the address book

You can export all contacts from the address book to an Excel file. You can save this Excel file as a CSV file, and then use this CSV file to import the contacts into another system.

→ In My Contacts, go to Import/Export in the toolbar and select Export address book.
  A browser dialog box opens.
→ Select whether you want to open or save the file.
  The exported Excel file is downloaded to your browser's default download folder.
5. **Form PCT/RO/101**

You can use Form PCT/RO/101 to file an international application where the EPO acts as receiving Office (RO) and International Searching Authority (ISA).

### 5.1. Creating a new PCT application

- To create a new PCT/RO/101 application, go to Applications > My applications.
- Open the New application menu in the toolbar and select Form PCT/RO/101.

![Image](image.png)

*Figure 85 – Selecting "New application > Form PCT/RO/101" in "My applications"*

The Application dialog box opens.
- If applicable, select a folder in which to store the new application.
- Enter the **Reference** for the new application.
  - You can enter max. 25 digits: lower-case characters a-z, upper-case characters A-Z, numbers 0-9 and the separator characters _ , . ( ) / < > =.
- Enter the **Title of invention**.
  - You can enter the title in lower case or upper case. CMS will automatically convert the title into upper case.
- Select the **Language of filing of the international application**.
- Optionally, you can select the states you want to exclude from designation in States not designated.
- Select the **Technical field** of the invention.
  - If the invention is relevant in more than one technical field, select Multiple fields.
  - If you do not know which technical field you should select, select Unknown.
- Optionally, you can add a note for the EPO in the Remarks field.
- Click Next.
Figure 86 – Example of creating a new PCT/RO/101 application

A draft of this new PCT application is created and an overview of the data you entered in the previous steps is displayed.

Figure 87 – Example of a new PCT/RO/101 application in “Draft” status
5.2. Tabs in Form PCT/RO/101

The PCT application form is organised into twelve tabs. We recommend that you enter the data in the tab-sequence order from top to bottom. Certain options and conditions in the Address for correspondence tab, for instance, are determined by the data you enter in the Applicant or Agent tabs.

<table>
<thead>
<tr>
<th>Tab</th>
<th>Data entry/purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Application</td>
<td>For entering the applicant's or agent's file reference, entering the title of the invention, selecting the procedural language, selecting states to be excluded from designation, entering a note in the remarks field and selecting the technical field.</td>
</tr>
<tr>
<td>Applicant</td>
<td>For entering details of applicants and e-mail authorisation.</td>
</tr>
<tr>
<td>Inventor</td>
<td>For entering details of inventors and successors.</td>
</tr>
<tr>
<td>Agent</td>
<td>For entering details of agents and e-mail authorisation.</td>
</tr>
<tr>
<td>Address for correspondence</td>
<td>For entering details of the address for correspondence.</td>
</tr>
<tr>
<td>Priority claim</td>
<td>For entering national, regional or international priorities.</td>
</tr>
<tr>
<td>Earlier search results</td>
<td>For entering references to the search results of a previously filed application.</td>
</tr>
<tr>
<td>Declarations</td>
<td>For entering details of declarations.</td>
</tr>
<tr>
<td>Biological material</td>
<td>For entering details of biological material.</td>
</tr>
<tr>
<td>Documents</td>
<td>For attaching the specification documents or application documents and other electronic files.</td>
</tr>
<tr>
<td>Fee sheet</td>
<td>Gives an overview of applicable fees.</td>
</tr>
<tr>
<td>Dates</td>
<td>Gives an overview of dates relating to the application.</td>
</tr>
<tr>
<td>History</td>
<td>Gives an overview of the data-entry history based on executed tasks and added, edited or deleted data.</td>
</tr>
</tbody>
</table>

5.3. Applicant

A minimum of one applicant is required. You can designate multiple natural persons and legal entities as applicants.

→ In the Applicant tab, click Add applicant.

![Add applicant](image)

The Select applicant type dialog box opens.

→ Select the applicant type: Legal entity or Natural person.

→ Click Next.

The Add applicant dialog box opens.
→ If you want to add a person from the address book, click **Select from address book** in the top right-hand corner. For more details, see 4.1 Adding a contact from the address book to an application.
   – Fill in the remaining empty fields.
→ If you want to add a new person, enter the applicant's name, address and contact details.
   Note that you must provide the address, country of nationality and country of residence of at least one applicant.
→ If you add an applicant who is a natural person, you must select the appropriate option for the **Applicant is inventor** statement.
   – Select **No** if the applicant is not the inventor.
→ Select e-mail authorisation (where applicable).
→ Select the appropriate option for **Designated states for applicant**.
   By default, **All designated states** is selected.
→ Click **Next**.

![Add applicant](image)

**Figure 89 – Entering details of applicant**

A new applicant has now been added.
→ If required, add more applicants by repeating the steps described above.
5.3.1. **Selecting designated states**

If you select **Certain designated states only**, an extra dialog box opens allowing you to select the states that you want to designate.

→ Select the designated states as appropriate.
  
  – The regional options are **EA** (Eurasian patent), **OA** (OAPI patent), **EP** (European patent) and **AP** (ARIPO patent).
  
  – For states for which only a national patent can be obtained, select **National designations only**.

→ Click **Next**.

![Selecting certain designated states for applicant](image)


5.3.2. **Applicant who is also inventor**

→ To add an applicant who is also inventor, select **Natural person** in the **Select applicant type** dialog box.

→ Click **Next**.

![Selecting applicant type Natural person to add an applicant who is also inventor](image)

→ Enter the details for the applicant.

→ Select the **Yes** option at the **Applicant is inventor** statement.

   This will automatically add the applicant as an inventor in the **Inventor** tab.

→ Select e-mail authorisation (where applicable)
Select the appropriate option for **Designated states for applicant** (see 5.3.1 Selecting designated states).

→ Click **Next**.

![Figure 92 – Selecting "Yes" for the "Applicant is inventor" statement](image)

### 5.3.3. Designating a common representative

If there is more than one applicant, but no agent and no address for correspondence, it is possible to designate a common representative.

→ Click the 🆕 icon of the applicant that you want to designate as the common representative.

![Figure 93 – Designating one of the applicants as the common representative](image)

You can also designate the common representative immediately when adding a second or subsequent applicant.

→ In the field **Applicant is common representative**, select **Yes**.

This field is only available if at least one applicant has been added to the form.

→ Click **Next**.
5.4. Inventor

The yellow validation icon on the **Inventor** tab indicates that inventor details are required, but may be filed later.

If none of the applicants is also the inventor, the inventor should be named separately.

An inventor is always a natural person.

→ In the **Inventor** tab, click **Add inventor**.

→ If you want to add a person from the address book, click **Select from address book** in the top right-hand corner. For more details, see 4.1 Adding a contact from the address book to an application.

→ Fill in the remaining empty fields (where applicable).

→ If you want to add a new person, enter the inventor's name and address.

→ Click **Next**.
A new inventor has now been added.
→ If required, add more inventors by repeating the steps described above.

5.4.1. **Deceased inventor**

If an inventor is deceased, please indicate this in the Add inventor dialog box.
→ Select the Yes option in the field Deceased.
→ Click Next.

A new deceased inventor has now been added.
→ Click the icon next to the deceased inventor to expand the inventor's details.
All previously added applicants (legal entities or natural persons) who are designated for the United States of America are shown.
For each person that you want to select as a successor, you must indicate the capacity in which they will act.
→ To do this click the icon next to the name.
The **Successor of inventor** dialog box opens.

→ Select the **Capacity** as appropriate.

→ Click **Next**.

![Figure 98 – Indicating successor to deceased inventor](image)

**Figure 98 – Indicating successor to deceased inventor**

5.5. **Agent**

You can only add an agent if you did not designate one of the applicants as the common representative and if you did not specify an address for correspondence. You can add more than one agent.

→ In the **Agent** tab, click **Add agent**.

![Figure 100 – Adding an agent](image)

→ Select the agent type: **Legal entity** or **Natural person**.

→ Click **Next**.

The **Add agent** dialog box opens.

→ If you want to add a person from the address book, click **Select from address book** in the top right-hand corner. For more details, see 4.1 Adding a contact from the address book to an application.

  − Fill in the remaining empty fields.

→ If you want to add a new person, enter the agent's name, address and contact details.
→ Select e-mail authorisation (where applicable).
→ Click Next.

A new agent has now been added.
→ If required, add more agents by repeating the steps described above.

5.6. Address for correspondence

You can only specify a separate address for correspondence for applicants from one of the EPC contracting states.

You cannot enter an address for correspondence if you have already added an agent or if you have added an applicant who resides outside of the EPC contracting states.
→ In the Address for correspondence tab, click Add address for correspondence.

The Add address for correspondence dialog box opens.

→ From the drop-down list, select the person for whom you want to add an address for correspondence.
   By default, the first-named applicant is selected.
→ Enter the address details.
→ Click Next.
An address for correspondence has now been added.

![Add address for correspondence](image)

**Figure 103 – Selecting applicant for address for correspondence**

### 5.7. Priority claim

In the **Priority claim** tab you can enter details of the priorities you wish to claim. You can declare more than one priority.

→ In the **Priority claim** tab, click **Add priority claim**.

![Priority claim](image)

**Figure 104 – Adding a priority claim**

→ Select the **Earlier application type**: National, Regional or International (PCT).

→ Click **Next**.

![Application type](image)

**Figure 105 – Selecting type of earlier application**

→ Select the **priority country/regional office/receiving Office**.

→ Enter the **Priority filing date** in the format *dd-mm-yyyy* or select the date from the calendar.

→ Enter the application number as given by the Office of First Filing in the **Priority number** field.
For Office-specific formats and examples, see the table in chapter 5.7.2 Priority number formats for selected countries.

→ If the date of filing of the priority application is between 12 and 14 months prior to the current date, you can select the check box The receiving Office is requested to restore the right of priority. A yellow validation icon appears on the Priority tab, indicating that a statement explaining the reasons for this request should be furnished as an accompanying item. You can upload a Declaration/evidence in support of request for restoration of priority right (Rule 26bis.3 PCT) in the Documents tab.

→ If the receiving Office is one of the patent offices participating in the DAS, you can select the check box The International Bureau is requested to obtain a certified copy of the earlier application identified above from a digital library.
  
  → If applicable, enter the Access code.

→ If the Access code field is filled in but the DAS access code you have entered does not match the required format, an error message will be displayed.

![Add priority claim](image)

**Figure 106 – Incorrect DAS code entered**

The DAS access code must comprise four characters from the ranges 0-9 and A-F. It should contain no spaces.

Please note that any letters in lower case will automatically be converted to upper case.

→ Click Next.
  
  A new priority claim has now been added.

→ If required, add more priority claims by repeating the steps described above.
5.7.1. Validation of priority number formats

CMS validates your entry in the Priority number field and checks if the format is a valid application number from the national, regional or international patent office which you indicated as receiving Office. For a list of the countries and application number formats currently validated by CMS, see chapter 5.7.2 Priority number formats for selected countries. If you add a regional priority and enter an EP application number in the wrong format, an error message appears in the Add priority claim dialog box.

→ To proceed, correct the number.

EP priority numbers must be entered in the format YYnnnnnn.d without the letters EP.

Figure 107: Error message for incorrect EP priority number

If you enter an incorrect priority number for one of the other patent offices validated by CMS, the priority claim is added, but a yellow validation icon is displayed in the Priority tab.

→ To see the correct priority number format, move your mouse cursor over the validation icon.
5.7.2. **Priority number formats for selected countries**

The following table lists the countries and application number formats that are currently being validated by CMS.

- There are different formats for different kinds of priorities (e.g. patents and utility models) in some of the countries.
- You can enter the numbers with or without the separator characters such as spaces, hyphens or slashes.

<table>
<thead>
<tr>
<th>Country</th>
<th>Kind of priority</th>
<th>Format</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canada</td>
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<td>2nnnnnn</td>
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<td>China</td>
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<tr>
<td></td>
<td>utility model</td>
<td>YYYY2nnnnnnn(.d)</td>
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<td>09 52503</td>
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<td></td>
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<tr>
<td></td>
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<td>19951798</td>
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<td></td>
<td></td>
<td></td>
<td>199 51 798</td>
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<td></td>
<td>filed on or after 01.01.2004</td>
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<td>203 05992.1</td>
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<td></td>
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*Figure 108 – Validation message for incorrect priority number*
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<td>patent application</td>
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</table>
### Country | Kind of priority | Format | Example
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 | provisional patent | 6N/nnnnn | 61/253091 | 61/253,091 | 61 253 091 | 61253091 |

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</tr>
<tr>
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<td>number, 6 digits (serial number, the formats usually require 4 to 7 digits)</td>
</tr>
<tr>
<td>N</td>
<td>special number, 1 digit</td>
</tr>
<tr>
<td>YY</td>
<td>year, short</td>
</tr>
<tr>
<td>YYYY</td>
<td>year, full</td>
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<tr>
<td>d</td>
<td>check digit</td>
</tr>
<tr>
<td>(xx)</td>
<td>optional character(s), must conform to the format if entered</td>
</tr>
<tr>
<td>. - /</td>
<td>separator characters: dot, hyphen, slash, space</td>
</tr>
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<td>2-letter code for the province (Italy)</td>
</tr>
<tr>
<td>LLL</td>
<td>3-letter code for the region (India: MUM, DEL, CHE, KOL)</td>
</tr>
<tr>
<td>A</td>
<td>patent application (Italy)</td>
</tr>
<tr>
<td>U</td>
<td>utility model (Italy)</td>
</tr>
<tr>
<td>J</td>
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</tr>
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<td>T</td>
<td>type of application (India), 1 digit (1-9)</td>
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<tr>
<td>CC</td>
<td>2-letter country code, used in PCT application numbers</td>
</tr>
</tbody>
</table>

#### 5.8. Earlier search results

In the **Earlier search results** tab, you can refer to a previously filed application in order to have the results of the earlier search on that application used.

→ In the **Earlier search results** tab, click **Add request to use results of earlier search**.

![ Earlier search results tab ]

Figure 109 – Adding a request to use the results of an earlier search

→ Select the priority claim whose earlier search results you want to use.

→ Select `<Other>` to add an application which is not mentioned in the current PCT application form.

→ Click **Next**.
The **Request to use results** of earlier search dialog box opens.

→ If you selected *<Other>* in the previous step, enter the filing date, the application number and the country (or regional Office).

→ If applicable, select the check box for the **Statement (Rule 4.12ii)**.

→ If applicable, select the **documents available to the ISA** (Rule 12bis.1(f) PCT).

→ Click **Next**.

A new request to use results of earlier search has now been added.

→ If required, add more requests to use the results of an earlier search by repeating the steps described above.
5.9. Declarations

For the purposes of the national law applicable in one or more designated states, the application may contain one or more of the following declarations, using the prescribed standardised wording (Rules 4.1(c)(iii) and 4.17 PCT).

- For further details, see also Rule 51bis.1, Sections 211 to 215 and the PCT Applicant’s Guide, International Phase.
- For information on the declarations required by each designated office, see the relevant national chapter in the PCT Applicant's Guide.

→ In the Declarations tab, click Add declaration.

![Figure 112 – Adding a declaration](image)

→ Select a declaration type:
  - Declaration as to identity of inventor
  - Declaration as to applicant's entitlement to apply for and be granted a patent
  - Declaration as to applicant's entitlement to claim priority of earlier application
  - Declaration of inventorship (for USA)
  - Declaration as to non-prejudicial disclosures or exceptions to lack of novelty

→ Click Next.

Once added, declarations can only be removed, but not edited.

You can download declarations as PDF files or view them in the Document preview window.

→ To download the declarations, create an export file (see 2.7.5 Exporting an application).
  You will find the Declarations.pdf in the exported ZIP file.
→ To view the declarations in any status of the PCT/RO/101 application, click Review under Tasks.
  The Document preview window opens.
→ Click Declarations.pdf in the document list on the left.
5.9.1. Declaration as to identity of inventor

Such a declaration is not necessary in respect of any inventor who is indicated as such (either as inventor only or as applicant and inventor) in the application form in accordance with Rule 4.5 or 4.6 PCT.

→ Select an inventor or select <Other> if you want to add another person.
   - If you want to add another person, add their name and address.
→ Click Next.
A new declaration as to identity of inventor has been added.
→ Click the icon to expand the view.
→ Add another inventor or person to the same declaration as to identity of inventor by clicking Add declaration item at the bottom of the declaration.
5.9.2. **Declaration as to applicant's entitlement to apply for and be granted a patent**

Possible kinds of transfer of entitlement include mergers, acquisitions, inheritance, donations, etc. Where there has been a succession of transfers from the inventor, the order in which transfers are listed should follow the actual order of succession of transfers. Items may be included more than once, if this is necessary to explain the applicant's entitlement.

→ Select an applicant or select `<Other>` if you want to add another person.
   → If you want to add another person, add their full name.

→ Click Next.
→ Select an item applicable to this declaration.
→ Click Next.
→ Fill in the fields of the item.
→ Click Next.

A new declaration as to applicant's entitlement to apply for and be granted a patent has been added.

→ Click the icon to expand the view.
→ Add more subjects to the same *Declaration as to applicant's entitlement to apply for and be granted a patent* by clicking *Add declaration item* at the bottom of the declaration.

5.9.3. **Declaration as to applicant's entitlement to claim priority of earlier application**

This declaration is only applicable where the applicant or the applicant's name is different from that of the applicant who filed the earlier application from which priority is claimed.
For example, this declaration may be applicable in cases where one applicant is different from the applicants indicated in respect of an earlier application. Possible kinds of transfer of entitlement include mergers, acquisitions, inheritance, donations, etc. Where there has been a succession of transfers from the applicant in respect of the earlier application, the order in which transfers are listed should follow the actual succession of transfers. Items may be included more than once, if this is necessary to explain the applicant’s entitlement.

→ Select an applicant or select <Other> if you want to add another person.
  → If you want to add another person, add the full name of this other person.
→ Click Next.
→ Select an earlier application or select <Other> if you want to add another earlier application.
  → If you want to add another earlier application, enter the Priority number.
→ Click Next.
→ Select an item that this declaration refers to.
→ Click Next.
→ Fill in the fields of the item (this step does not apply to the inventor).
→ Click Next.
  A new declaration as to applicant’s entitlement to claim priority of earlier application has been added.
→ Click the icon to expand the view.
→ Add more subjects to the same Declaration as to applicant's entitlement to claim priority of earlier application by clicking Add declaration item at the bottom of the declaration.

Figure 116 – Declaration as to applicant's entitlement to claim priority of earlier application

### 5.9.4. Declaration of inventorship (for USA)

The name and address of each inventor must be included. Where there is more than one inventor and they do not all sign the same declaration, each declaration must indicate the names of all the inventors (Section 214(b)).

→ Select the inventor or select <Other> if you want to add another person.
  → If you want to add another person, add their name and address.
→ Click Next.
→ Select the signature type Alphanumeric or Facsimile and add the signature of the inventor. The types of signature are explained in chapter 9.3 Signing the application.
→ Click Next.
A new declaration of inventorship (for USA) has been added.

→ Click the ▶ icon to expand the view.
→ Add another inventor or person to the same Declaration of inventorship (for USA) by clicking Add declaration item at the bottom of the declaration.

Figure 117 – Declaration of inventorship (for USA)

5.9.5. Declaration as to non-prejudicial disclosures or exceptions to lack of novelty

→ Select an applicant or inventor or select <Other> if you want to add another person.
  → If you want to add another person, add their name.
→ Select the Kind of disclosure you want to add.
→ Click Next.
→ Fill in the fields of the disclosure.
→ Click Finish.
  A new declaration as to non-prejudicial disclosures or exceptions to lack of novelty has been added.
→ Add multiple disclosures to the same Declaration as to non-prejudicial disclosures or exceptions to lack of novelty by clicking Add declaration item at the bottom of the declaration.

Figure 118 – Declaration as to non-prejudicial disclosures or exceptions to lack of novelty

5.10. Biological material

In the Biological material tab, you can provide details of any biological material relating to your invention.
→ In the Biological material tab, click Add biological material.
You can enter the following details:

- **Identification reference**, the **Page(s) or paragraph** and **Line(s)** of the technical document referred to.
- The **Depository institution**. If you selected **OTHER** in the **Depository institution** field, the **Name and address** field will be shown. Enter the address of the other depository institution in the **Name and address** field.
- The **Accession number**. Enter the number you have been assigned. A prefix belonging to the selected depository institution will be automatically added to the accession number in the next dialog box.
- The **Date of deposit** and **Additional indications**.

Select the appropriate option for **Designated states**.

- If you select **Certain designated states only**, you must then select the states that you want to designate. The regional options are **EA** (Eurasian patent), **OA** (OAPI patent), **EP** (European patent) and **AP** (ARIPO patent).
- For states for which only a national patent can be obtained, select **National designations only**.
- Select the states that you want to designate.

You can find more information about the PCT contracting states at


Click **Next**.
In the **Documents** dialog box, you can add the following documents:

- Copy of the receipt(s) of deposit issued by the depository institution
- Separate furnishing of indications
  - Attach a document by clicking **Browse**… and selecting the document you want to upload.
  - Attached documents relating to biological material will also be shown in the **Documents** tab, where documents can be replaced or removed.
  - It is important to remember that documents must be Annex F-compliant (see 9.1 Preparing documents for attachment).
  - Alternatively, if you choose not to upload a copy of receipt(s) of deposit, you can select the check box **A copy of the receipt(s) of deposit will be filed later**.
  - Optionally, you can enter a line of text as **Separate furnishing of indications**.
  - Click **Next**.
  - If required, add more biological material by repeating the steps described above.

You can remove or replace a document that you added to a biological material item.
→ In the **Biological material** tab, click the 🆕️ icon to edit the biological material.
→ In the **Details** dialog box, click **Next**.
   The **Document action** part displays three options if a document is attached.
   By default, the **Keep current document** option is selected.
   – Select **Remove current document** if you want to remove the current document.
   – Select **Replace current document** if you want to replace the current document.
→ Then click **Browse...**, navigate to the file's storage location and click **Open** to select it.
→ Click **Next**.

5.11. **Documents**

In the **Documents** tab, you can add documents to your application.
For information about permitted file types and other standards for files to be attached to the application under the **Documents** tab, see 9.1 Preparing documents for attachment.

5.11.1. **Adding documents**

→ In the **Documents** tab, click **Add document**.

![Add document](image1)

**Figure 122 – Adding a document**

→ Click **Browse...**, navigate to the file's storage location and click **Open** to select it.
→ Select the document type.
→ Click **Upload**.
A new document is uploaded and is displayed under Application documents in the Documents tab.

→ If required, add more documents by repeating the above procedure.

**Specification in XML format**

There are two different options for adding the specification in XML format:

→ To upload a specification without images, use a single XML file (extension .xml or .pxml).

→ To upload a specification that includes images, use a ZIP file containing all components, i.e. the XML file and the TIFF image files that are referenced in the XML code.

<i>When you are working with PatXML and insert images into your patent document, these are converted into TIFF files and stored in the same working folder as the .pxml file. For uploading the specification into CMS, you must create a ZIP file containing the .pxml file and all TIFF files.</i>

For more information on preparing XML files for attachment, see 9.1.4 Generating XML files.

Note that a specification in XML format does not allow later additions or modifications:

- If you have added a specification in XML format, you cannot add further technical documents (e.g. claims contained in a PDF file), except a sequence listing where applicable.

- If you have added one or more technical documents as PDF files (e.g. the description and the abstract), you cannot subsequently add the specification in XML format.

- Details of the XML specification file cannot be edited in the Documents tab, whereas this is possible for PDF documents.
5.11.2. Working with uploaded documents

In the Documents tab, the documents are grouped into two sections: Application documents and Other documents.

- Any files you upload with Add document are displayed under Application documents.
- Files generated by the system are grouped under the heading System-generated under Other documents. For example, if you execute the Export task you will find an Export file item in this group.
- Files that are attached to a priority claim entry in the Priority claim tab are grouped under the heading Priority-related under Other documents.
- Files attached to a biological material entry in the Biological material tab are grouped under the heading Biological material under Other documents.

You can download, edit or remove a document using the action icons to the right of the document details.

→ To download a PDF copy of a document, click the Download document icon 📄. Depending on your browser's settings, you are prompted to select a folder and to enter a file name, or the file is automatically saved to your default download folder. The file name of the downloaded PDF document is created by CMS, e.g. 090000c980016799.pdf.

→ To edit the document information, e.g. to change the document type or to change the language, click the Edit document icon ✏️.

- In the Edit document dialog box, edit the document properties as appropriate.
→ To remove the document from the form and delete the uploaded file in CMS, click the Remove document icon ☠️.

Figure 124 – List of uploaded documents in the “Documents” tab

If you want to preview the form and the document attachments in the PDF viewer, you can use the Review task (see 2.7.4 Reviewing and downloading forms and documents). XML files and TIF image files – which you added as the document type Specification in XML format – cannot be displayed in the browser. CMS converts the uploaded XML specification file, including the images, into a PDF file for export and preview.
→ To display the specification file in the PDF viewer, click **Review** under **Tasks**.
The **Document preview** window opens.
→ Click **application-body.pdf** in the list on the left.

### 5.12. Fee sheet

Once all the mandatory information has been entered in the form, you can pay the fees for this application via **Pay fees** in the task list.
Please note that the calculation in the fee sheet does not include the number of pages of the PCT application until the **Pay fees** task has been executed.

The **Fee sheet** tab provides an overview of the fees applicable for your current application.
→ To view the details of a fee and its status, click the fee name in the fee sheet.
The fee sheet has the following fee status indication:

- **Due** – this is the initial fee status.
- **In progress** – the fee status changes to **In progress** once you have completed the **Pay fees** task, i.e., you have specified the mode of payment and signed the fee sheet. If you make changes to the application that require the fees to be recalculated, the fee status will revert from **In progress** to **Due**.

Figure 125 – Fee sheet tab with fee details, the fees have not been calculated yet
5.13. Dates

The Dates tab gives an overview of:
- The earliest priority date (from the priority claims in the Priority claim tab).
- The date of receipt (the date the PCT application was received by the EPO).

![Figure 126 – "Dates" tab]

5.14. History

The History tab gives an overview of the data entry history.
The following actions are displayed in the History tab:
- Executing a task from the task list
- Adding data
- Editing data
- Removing data
- Actions performed by the system

Each item can be expanded to view the details.
5.15. Paying fees

Once all the mandatory information has been entered, the Pay fees task becomes available under Next steps, allowing you to specify the mode of payment and provide the current account number and the authorised user's name.

→ Click Pay fees under Next steps.

The Payment method dialog box opens.

5.15.1. Selecting the payment method

In the Payment method dialog box, you must select one of the following options:

- Authorisation to charge current account – if you select this mode of payment, the relevant fees will be debited from your EPO deposit account.
- Automatic debit – if you select this mode of payment, the EPO will calculate the fees payable using the information provided in your application and will debit this amount direct from your EPO deposit account.
- **Bank transfer** – if you select payment by bank transfer, you must transfer the fees to the EPO’s bank account at the Commerzbank AG, München
- **Credit card** – if you select payment by credit card, please go to EPO fee payment service at the EPO website to effectively execute the payment.
- **No payment at this time** – if you intend to pay at a later time, you can indicate **No payment at this time**.
- **Other** – if you wish to pay your fees by any other method, you can indicate **Other** and specify the method.

EPO deposit account numbers start with 28 followed by six digits (28nnnnnn).

→ Select the applicable **Mode of payment**.
   Depending on your selection, the dialog box will display further fields and options.

**Authorisation to charge current account**

→ If you select **Authorisation to charge current account**, clear any account authorisations which are not applicable.
   By default, all account authorisations are selected.

   → Enter the EPO deposit account number in **Deposit account number**.
   → Enter a name in **Name of authorised user**.

![Figure 129 – Details for payment method "Authorisation to charge current account"](image)

**Automatic debit**

→ If you select **Automatic debit**, fill in the fields **Deposit account number** and **Name of authorised user**.

**Bank transfer**

→ If you select **Bank transfer**, you can select the check box **Please also indicate deposit account authorisation**.
   - Select authorisations for subsequent payments from your deposit account.
– Enter the EPO deposit account number in **Deposit account number**.
– Enter a name in **Name of authorised user**.

**Credit card**
→ If you select **Credit card**, there are no further options.

**No payment at this time**
→ If you select **No payment at this time**, there are no further options.

**Other**
→ If you select **Other**, enter information about your other payment method in the **Specify** field.
→ Optionally, you can select the check box **Please also indicate deposit account authorisation**.
  – Select authorisations for subsequent payments from your deposit account.
  – Enter the EPO deposit account number in **Deposit account number**.
  – Enter a name in **Name of authorised user**.

→ Click **Next**.
You will see an overview of the fees to pay.

**Further options**
→ Optionally, you can select the check box **Reimbursement, if any, to be made to deposit account with the EPO**.
  – If applicable, fill in the fields **Deposit account number** and **Account holder**.

### 5.15.2. Verifying fees

The **Fees** dialog box contains a summary of all fees that have been calculated for your application. The selected mode of payment is indicated above the fees table.
→ Review the fees and amounts and click **Next**.
The **Signature** dialog box opens.

![Figure 130 – Summary of the fees to pay](image)
5.15.3. **Signing the fee sheet**

In the PCT procedure, the fee sheet must be signed by an authorised person to complete the **Pay fees** task. However, this step is not required if you selected **No payment at this time**.

→ Select the signature type **Alphanumeric** or **Facsimile** and add the signature of an authorised person.

The types of signature are explained in chapter 9.3 Signing the application.

→ Click **Next**.

---

**Figure 131 – Signing the fee sheet**

You will be directed to the Fee sheet tab.

→ Click the icon to expand the view.

The selected mode of payment and the signature have been added.

→ Click the individual items in the view for more information.

---

**Fee sheet**

<table>
<thead>
<tr>
<th>Date created</th>
<th>Mode of payment</th>
<th>Total fees payable in EUR</th>
<th>Current account number</th>
<th>Name of authorised user</th>
</tr>
</thead>
<tbody>
<tr>
<td>20.04.2020</td>
<td>Authorisation to charge current account</td>
<td>3210</td>
<td>28123456</td>
<td>John Smith</td>
</tr>
</tbody>
</table>

**Fees**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Amount (EUR)</th>
<th>Reduction</th>
<th>Amount (EUR)</th>
<th>Quantity</th>
<th>Amount to pay (EUR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>03</td>
<td>International search fee</td>
<td>1775.00</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>1775.00</td>
</tr>
<tr>
<td>10</td>
<td>Transmittal fee</td>
<td>135.00</td>
<td>135.00</td>
<td>135.00</td>
<td>1</td>
<td>135.00</td>
</tr>
<tr>
<td>222</td>
<td>PCT charge per fee in excess of 30</td>
<td>14.00</td>
<td>14.00</td>
<td>14.00</td>
<td>19</td>
<td>266.00</td>
</tr>
<tr>
<td>225</td>
<td>International filing fee</td>
<td>1217.00</td>
<td>1217.00</td>
<td>1217.00</td>
<td>1</td>
<td>1217.00</td>
</tr>
<tr>
<td>318</td>
<td>PCT – PDF reduction</td>
<td>-183.00</td>
<td>-183.00</td>
<td>-183.00</td>
<td>1</td>
<td>-183.00</td>
</tr>
</tbody>
</table>

**Fee sheet signature**

<table>
<thead>
<tr>
<th>Type</th>
<th>Alphanumeric signature</th>
<th>Date signed</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>John Smith</td>
<td>20.04.2020</td>
</tr>
</tbody>
</table>
5.15.4. Updating the fee sheet

Payment methods: Authorisation to charge current account, Automatic debit, Bank transfer, Credit card or Other

If the PCT application has Draft status, you can update a signed fee sheet. To do this, you must first delete the signature from the fee sheet.

→ Go to the Fee sheet tab.
→ Click the icon to expand the view.
→ To delete the signature, click the icon next to the signature on the fee sheet.

Figure 133 – Deleting the fee sheet signature

You will be prompted to confirm the deletion of the signature from the fee sheet.

→ Click Yes.

Figure 134 – Confirming removal of the fee sheet signature

The Pay fees task is available again under Next steps.

→ Click Pay fees.
→ The Information dialog box opens.
→ Click Next.
→ Select the appropriate action:
  - Update fee sheet – you can select another mode of payment and follow the instructions for that mode of payment as described in this chapter.
  - Add signature only – you can select the signature type Alphanumeric or Facsimile and add the signature of an authorised person. The types of signature are explained in chapter 9.3 Signing the application.

→ Click Next.
Payment method: No payment at this time

You can change the mode of payment or the signature on the fee sheet after you have executed the Pay fees task and have chosen No payment at this time as mode of payment, as long as the application has Draft status.

The Pay fees task remains displayed under Next steps after you have executed it and selected No payment at this time as the mode of payment.

→ Click Pay fees.
→ Follow the instructions for paying fees as described in this chapter.

5.16. Signing and submitting an application

The steps for signing and submitting an application are explained in chapter 9 Processing applications.

5.16.1. ePCT Ownership

Applicants who are using WIPO's ePCT system receive an eOwnership code on form PCT/IB/311. They can specify this code when signing their CMS application. This code grants them access to the application on WIPO's ePCT portal.

The Signature dialog box for Form PCT/RO/101 provides two optional ePCT fields, ePCT customer ID and ePCT eOwnership code.

→ Enter your ePCT credentials as appropriate.
→ If your surname is composed of multiple words, e.g. Van der Meer, use the WIPO-prescribed spacing with hyphens in the ePCT customer ID, e.g. user_NL_VAN-DER-MEER_GRIETJE_6789.
Figure 136 – ePCT properties in the “Signature” dialog box for Form PCT/RO/101
6. EPO Form 1001

The EPO Form 1001 is the default form used for requesting the grant of a European patent and examination of the application under Article 94 EPC.


→ To create a new EP application, go to Applications > My applications.
→ Open the New application menu in the toolbar and select EPO Form 1001.

The Application dialog box opens.

→ If applicable, select a folder in which to store the new application.
→ Enter the Applicant's file reference for the new application.
  → You can enter max. 25 digits: lower-case characters a-z, upper-case characters A-Z, numbers 0-9 and the separator characters _, . , ( ) / < > =.
→ If applicable, select the check boxes Divisional application or Filing by reference (Rule 40(1)(c), (2) EPC) or Article 61(1)(b) EPC.
  Note: You cannot select Article 61(1)(b) EPC in combination with Divisional application or Filing by reference (Rule 40(1)(c), (2) EPC).
→ If applicable, select the check box Application contains request for extension/validaton to add extension states.
→ Select a Procedural language for your application.
→ Select the Filing language of attached or previous application.
→ If applicable, select the check box Request for examination in admissible non-official EPO language.
  → Select a language in the Admissible non-official EPO language field.
→ If applicable, select the check box The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.
→ If applicable, select the check box The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70(2) EPC).
→ Enter the Title of invention in English in capital letters.
  → Leave the field blank if the title of the invention is not available yet.
→ If available, enter the Title of invention in French in capital letters.
  → Leave the field blank if the French translation is not available yet.
  → Include accents where appropriate in the French text.
→ If available, enter the Title of invention in German in capital letters.
  → Leave the field blank if the German translation is not available yet.
  → Include umlauts where appropriate in the German text.
→ Optionally, you can add a note for the EPO in the Remarks field.
This note is a public remark and will be displayed on the application form.
→ Click Next.

![EPO Form 1001](image)

**Figure 138 – Example of creating a new EP application with request for examination in non-official EPO language**

If you select any of the following options in the Application dialog box, a number of extra dialog boxes will appear:

- **Divisional application** (see 6.1.1 Divisional application)
- **Filing by reference (Rule 40(1)(c), (2) EPC)** (see 6.1.2 Filing by reference (Rule 40(1)(c), (2) EPC))
- **Article 61(1)(b) EPC** (see 6.1.3 Article 61(1)(b) EPC)
  
  If you want a combination of **Filing by reference (Rule 40(1)(c), (2) EPC)** with **Article 61(1)(b) EPC**, you can select the check box **Article 61(1)(b) EPC** in the Application dialog box and, in the next dialog box, select the check box **Reference is made to a previously filed application (Rule 40(2) EPC)**.
- **Application contains request for extension/validation** (see 6.1.4 Extension and validation)

If you do not select any of the specific options above, the next step will be the Document declarations dialog box. Document declarations is always the last step when creating a new EPO Form 1001 application (see 6.1.5 Document declarations).
6.1.1. Divisional application

If you select the application type Divisional application in the Application dialog box, the Divisional application dialog box opens.

→ Enter the Application number of earlier application in the format EPnnnnnnnn.n.
→ Enter the Date of filing (Article 80/Rule 40 EPC).
This date will control the list of designated states, extension states and validation states.
→ Select the relevant Generation of divisional application.
→ Click Next.

![Divisional application dialog box](image)

Figure 139 – Divisional application dialog box

6.1.2. Filing by reference (Rule 40(1)(c),(2) EPC)

If you selected the application type Filing by reference (Rule 40(1)(c), (2) EPC) in the Application dialog box, the Filing by reference dialog box opens.

→ Select the Office where previous application was filed.
→ Select the Kind of application.
→ Enter the Filing date.
→ Enter the Application number in the appropriate format (see 6.7 Priority claim).
→ If applicable, select the check box It is hereby declared that the reference to the previously filed application also replaces the claims (Rule 57(c) EPC).
  → Enter the Number of claims in previous application.
→ If applicable, select the check box Previously filed application is also a priority application.

When filing by reference to a priority application, a copy of the search results required under Rule 141(1) EPC must be provided if not already available to the EPO. You can attach the relevant file in the Documents tab.
You are not required to supply a copy of the search results if it can be assumed that the results are available to the EPO; i.e. if the previous application was filed with one of the exempted offices (EP, JP, US, AT, GB, KR, DK or ES).
If the filing date of the previous application is between 12 and 14 months ago, you can request re-establishment of rights. The relevant check box becomes available if Previously filed application is also a priority application is selected.
  → If applicable, select the check box Re-establishment of rights is herewith requested.
If applicable, select the check box The description contains a sequence listing (Rule 30(1) EPC).
If applicable, select the check box A certified copy will be filed later.
Click Next.

Figure 140 – Example of filing by reference with request for re-establishment of rights

CMS validates the entry in the Application number field and checks if the format is a valid application number issued by the selected patent office.

The format of an international PCT application number is PCT/CCYYYY/nnnnnn, e.g. PCT/EP2013/068455.

For more examples and a list of application number formats used by other countries, see 5.7.2 Priority number formats for selected countries.

6.1.3. Article 61(1)(b) EPC

If you selected Article 61(1)(b) EPC in the Application dialog box, the Article 61(1)(b) EPC application dialog box opens.

→ In the field Earlier application, enter the number of the earlier application in the format YYnnnnnn.d.
→ Optionally, you can select the check box Reference is made to a previously filed application (Rule 40(2) EPC).
If you select the check box **Reference is made to a previously filed application (Rule 40(2) EPC)**, extra fields will become available.

- Enter the **Filing date** for the previously filed application.
- If applicable, select the check box **It is hereby declared that the reference to the previously filed application also replaces the claims (Rule 57(c) EPC)**.
  - Enter the number of claims in the **Number of claims in previous application** field.
- Optionally, you can select the check box **The description contains a sequence listing (Rule 30(1) EPC)**.
- Click **Next**.

### 6.1.4. Extension and validation

If you selected **Application contains request for extension/validation** in the Application dialog box, the States dialog box opens.

By default, the extension states and validation states valid at the date of filing are displayed. If a divisional application is filed, the list shows the extension states and validation states valid at the time of filing of the earliest application. This is the date entered in the **Date of filing (Article 80/Rule 40 EPC)** field of the Divisional application dialog box.

- Select the relevant extension states and validation states.
- Click **Next**.
6.1.5. Document declarations

The final dialog box when creating a new EP application is Document declarations.

→ Optionally, you can clear the check box It is not intended to file a (further) declaration of priority after submission of this application.

→ Optionally, you can select the check box It is intended to submit claims after submission of this application.

→ If you selected a non-EPO language (i.e., other than English, French or German) in the Filing language of attached or previous application field in the Application dialog box, the check box A translation will be supplied after submission of this application will be available in the Document declarations dialog box.
  
  → If applicable, you can select the check box A translation will be supplied after submission of this application.

→ If you want to add a sequence listing, select the check box The European patent application contains a sequence listing as part of the description.

→ Click Next.
A draft of this new EP application is created and an overview of the data you entered in the previous steps is displayed.

6.2. Tabs in EPO Form 1001

EPO Form 1001 is organised into eleven tabs. We recommend that you enter the data in the tab sequence order from top to bottom. Certain options and conditions in the Address for correspondence tab, for instance, are determined by the data you enter in the Applicant or Representative tabs.

<table>
<thead>
<tr>
<th>Tab</th>
<th>Data entry/purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Application</td>
<td>For entering the applicant's file reference, entering details of the application type, selecting the procedural language, selecting the filing language of the attached or a previous application, entering a request for examination, selecting the waiver, entering the title of invention, entering a note in the remarks field, selecting extension states and selecting the applicable document declarations.</td>
</tr>
<tr>
<td>Applicant</td>
<td>For entering details of applicants.</td>
</tr>
</tbody>
</table>
### Tab | Data entry/purpose
--- | ---
Inventor | For entering details of inventors.
Representative | For entering details of representative and authorisation.
Address for correspondence | For entering the address for correspondence.
Priority claim | For entering national, regional or international priorities.
Biological material | For entering details of biological material.
Documents | For attaching the specification documents or application documents and other electronic files.
Fee sheet | Gives an overview of applicable fees.
Dates | Gives an overview of dates relating to the application.
History | Gives an overview of the data entry history based on executed tasks and added, edited or deleted data.

### 6.3. Applicant

A minimum of one applicant is required. You can designate multiple natural persons and legal entities as applicants.

→ In the Applicant tab, click Add applicant.

The Select applicant type dialog box opens.
→ Select the applicant type: Legal entity or Natural person.
→ Click Next.

The Add applicant dialog box opens.
→ If you want to add a person from the address book, click Select from address book in the top right-hand corner. For more details, see 4.1 Adding a contact from the address book to an application.
  – Fill in the remaining empty fields.
→ If you want to add a new person, enter the applicant’s name, address and contact details.
  – Fill in the Address line 1 field and/or Postal code field as appropriate. Note that you must fill in at least one of the two fields.
→ If you add an applicant who is a natural person, you must select the appropriate option for the Applicant is inventor statement.
  – Select No if the applicant is not the inventor.
→ Select the appropriate option for Designated states for the applicant.
  By default, all designated states are selected.
→ Click Next.
A new applicant has now been added.
→ If required, add more applicants by repeating the steps described above.

6.3.1. Selecting designated states
If you selected Certain designated states only, an extra dialog box opens allowing you to select the states that you want to designate.
→ Select the designated states as appropriate.
  If you select CH Switzerland, LI Liechtenstein will automatically be selected as well and vice versa.
→ Click Next.
6.3.2. **Applicant is represented by an employee**

If you are adding the first-named applicant and this applicant is a legal entity with a principal place of business in one of the **EPC contracting states**, you can indicate that the applicant is represented by an employee.

→ If applicable, select the check box **The company is represented by the following employee acting pursuant to Article 133(3) EPC.**

→ Enter the first name, last name and general authorisation number of the employee representing the company.

→ Click **Next**.

More information about the EPC contracting states can be found at [http://www.epo.org/about-us/organisation/member-states/date.html](http://www.epo.org/about-us/organisation/member-states/date.html).
6.3.3. Applicant is also inventor

→ To add an applicant who is also inventor, select **Natural person** in the **Select applicant type** dialog box.
→ Click **Next**.

→ Enter the details for the applicant.
→ Select the **Yes** option at the **Applicant is inventor** statement.
   This will automatically add the applicant as an inventor in the **Inventor** tab.
→ Click **Next**.
6.4. Inventor

The yellow validation icon in the Inventor tab indicates that inventor details are required, but may be filed later.

If none of the applicants is the inventor, the inventor should be named separately. An inventor is always a natural person.

→ In the Inventor tab, click Add inventor.

→ If you want to add a person from the address book, click Select from address book in the top right-hand corner. For more details, see 4.1 Adding a contact from the address book to an application.
  
  - Fill in the remaining empty fields (where applicable).

→ If you want to add a new person, enter the inventor’s name and address.
  
  - Fill in the Address line 1 field and/or Postal code field as appropriate. Note that you must fill in at least one of the two fields.

→ Select the applicable option in the field Applicant has acquired the right to the European patent as follows.
  
  The default option is As employer.

→ Optionally, you can select Waiver by inventor of notification of information under Rule 19(3) EPC.

→ Optionally, you can select Waiver by inventor of his right to be mentioned under Rule 20(1) EPC.

→ Click Next.
Figure 153 – Entering details of inventor

A new inventor has now been added.
   → If required, add more inventors by repeating the steps described above.

6.4.1. Deceased inventor

If an inventor is deceased, you can indicate this in the Add inventor dialog box.
   → Select the Yes option for Deceased.
      All address fields except Country are removed from the form.
   → Supply the remaining details.
   → Click Next.
      The deceased inventor is added.
6.4.2. Designation of inventor – public and non-public

If the check box **Waiver by inventor of his right to be mentioned under Rule 20(1) EPC** is selected for an inventor, he or she will be designated as a non-public inventor.

A waiver signed by the inventor is required for submission.

For each non-public inventor, CMS automatically generates a PDF document which is pre-filled with the inventor's and applicant's data.

CMS also generates two separate **Designation of inventor** PDF forms: one for the public inventors (f1002-1.pdf) and one for the non-public inventors (f1002-2.pdf).

→ Open the **Document preview** window (see 2.7.4 Reviewing and downloading).

→ To view the inventor waiver, click the relevant epr201-n.pdf item on the left side of the **Document preview** window.

→ Print or download this waiver and have it signed by the inventor.

→ Create a new PDF document from the signed waiver.

→ Go to the **Documents** tab and add the waiver to the application as document type **Inventor waiver – Rule 20(1) EPC** under **Additional documents**.

  - Alternatively, you may submit the waiver as a subsequently filed document with Form 1038.

→ Repeat this process for each non-public inventor.
6.5. Representative

A representative is required if one or more applicants does not reside in one of the EPC contracting states. You can only add a representative if there is no appointment of an employee acting pursuant to Article 133(3) EPC (see 6.3 Applicant) and if you did not specify an address for correspondence.

→ In the Representative tab, click Add representative.

→ Select the representation type: Association of representatives, Authorised representative or Legal practitioner.

→ Click Next.

→ If you want to add a person from the address book, click Select from address book in the top right-hand corner. For more details, see 4.1 Adding a contact from the address book to an application.
  → Fill in the remaining empty fields (where applicable).
If you want to add a new person, enter the representative's name, address and contact details.
   - Fill in the **Address line 1** field and/or **Postal code** field as appropriate. Note that you must fill in at least one of the two fields.

Select the type of **Authorisation**. The default option is **Not applicable**.

If you selected **A general authorisation has been registered under number**, you must enter the general authorisation number in the **General authorisation No.** field.

Click **Next**.

A new representative has now been added.

If required, add more representatives by repeating the steps described above.
If a representative has already been added and you add another representative, there will be no address data fields in the **Add representative** dialog box.

→ Select the check box **Same address as first representative** if you want to use the same address as the first representative for this representative.

![Add representative dialog box](image)

**Figure 159** – Option of using the first representative's address when adding another representative

If you add an association of representative, **Association number** is a required field.

![Add representative dialog box](image)

**Figure 160** – Entering association number

### 6.6. Address for correspondence

You can specify an address for correspondence for the first applicant that was created under **Applicant**.

- The address for correspondence can only be added if the first applicant is from one of the EPC contracting states.
- You cannot enter an address for correspondence if you have already added a representative.
- You can add one address for correspondence only.

→ In the **Address for correspondence** tab, click **Add address for correspondence**.
The name and company details of the first applicant are re-used in the Address for correspondence dialog box.

→ Enter the address for correspondence details.
  → Fill in the Address line 1 field and/or Postal code field as appropriate. Note that you must fill in at least one of the two fields.

→ Click Next.

An address for correspondence has now been added.

6.7. Priority claim

In the Priority claim tab, you can enter details of the priorities you wish to claim. You can declare more than one priority.

→ In the Priority claim tab, click Add priority claim.

→ Select the Earlier application type: National, Regional or International (PCT).
→ Enter the Priority filing date in the format dd-mm-yyyy or select the date from the calendar.
→ Click Next.
Select the priority country/regional office/receiving Office.

→ Select the Kind of priority.

→ In the Priority number field, enter the application number as given by the office of first filing (OFF).

→ Optionally, you can select the check box This application is a complete translation of the previous application.

→ If the date of filing of the priority application is between 12 and 14 months prior to the current date, you can select the check box Re-establishment of rights is herewith requested.

A statement explaining the reasons for this request should be furnished as an accompanying item. You can upload the Grounds for re-establishment of rights document in the Documents tab.

→ If a copy of the search results for this priority claim is not available to the EPO, you must supply it under A copy of the search results under Rule 141(1) EPC is available for this priority claim.

  → To upload the document, click Browse... and then select the required file from your computer.

  → You are not required to supply a copy of the search results if it can be assumed that the results are available to the EPO; i.e. if the previous application was filed with one of the exempted offices (EP, JP, US, AT, GB, KR, DK or ES).

→ Click Next.
A new priority claim has now been added.

→ If required, add more priority claims by repeating the steps described above.

CMS validates the entry in the **Priority number** field and checks if the format is a valid application number from the national, regional or international patent office which you indicated as receiving Office.

The format of an international PCT application number is **PCT/CCYYYY/nnnnnn**, e.g. **PCT/EP2013/068455**.

For more examples and a list of application number formats used by other countries, see 5.7.2 Priority number formats for selected countries.

### 6.8. Biological material

In the **Biological material** tab, you can provide details of any biological material to which your invention relates.

→ In the **Biological material** tab, click **Add biological material**.

→ Enter the **Identification reference** and select the **Depository institution**.

   If you selected **OTHER** in the **Depository institution** field, the **Name and address** field will be shown.
Enter the address of the other depository institution in the Name and address field.

- Enter the Accession number.
  All you have to do is to enter your individual number. A prefix belonging to the selected depository institution will be automatically added to the accession number in the next dialog box.

- Optionally, you can select the check box The particulars referred to in Rule 31(1)(c) EPC are given in the technical documents in the application and enter the Line(s) and Page(s) of the technical document that is referred to.

- Optionally, you can select the check box Availability restricted to experts (Rule 32(1) EPC).

- Click Next.

Figure 167 – Entering details of biological material

In the next dialog box you can add the following documents:

- Copy of the receipt(s) of deposit issued by the depository institution
- Authorisation under Rule 31(1)(d) EPC
- Waiver of the right to an undertaking from the requester pursuant to Rule 33(2) EPC.

- Attach a document by clicking Browse... and selecting the document you want to upload.
  Attached documents relating to biological material will also be displayed in the Documents tab, where documents can be viewed or removed.
  It is important to remember that documents must be Annex F-compliant (see 9.1 Preparing documents for attachment).

- Optionally, you can select the check box Deposit by a person other than the applicant.
  - Enter the name and address of the other person in this Name and address field.

- Click Next.

- If required, add more biological material by repeating the steps described above.
6.9. Documents

In the **Documents** tab, you can add documents to your application.

- For information about allowed file types and other standards for files, see 9.1 Preparing documents for attachment.
- For a list of document types applicable in Form EPO 1001, see 6.9.2 Document types.

6.9.1. Adding documents

→ In the **Documents** tab, click **Add document**.

→ Click **Browse...**, navigate to the file's storage location and click **Open** to select it.
→ Select the document type from the relevant group in the **Documents** dialog box.
  - To expand the list of document types in a document group, click the title of the document group in the table.
→ Click **Upload**.
When adding Technical documents or Translation(s) of technical document(s) in procedural language, the next dialog box lets you specify the contents of the document.

→ For each relevant part of the technical documents, select the Yes radio button and fill in the From page and To page fields.

→ If you select Claims are included, you must enter the Number of claims.
→ If you select Abstract is included, enter the Figure to be published with abstract.
→ If you select Drawings are included, enter the Number of figures.
<table>
<thead>
<tr>
<th>Technical documents</th>
<th>Specification-Unobotanium.pdf</th>
</tr>
</thead>
<tbody>
<tr>
<td>Original file name</td>
<td>Specification-Unobotanium.pdf</td>
</tr>
<tr>
<td>Number of pages</td>
<td>10</td>
</tr>
<tr>
<td>Description</td>
<td></td>
</tr>
<tr>
<td>Description is included:</td>
<td>Yes</td>
</tr>
<tr>
<td>From page:</td>
<td>1</td>
</tr>
<tr>
<td>To page:</td>
<td>6</td>
</tr>
<tr>
<td>Claims</td>
<td></td>
</tr>
<tr>
<td>Claims are included:</td>
<td>Yes</td>
</tr>
<tr>
<td>From page:</td>
<td>7</td>
</tr>
<tr>
<td>To page:</td>
<td>8</td>
</tr>
<tr>
<td>Abstract</td>
<td></td>
</tr>
<tr>
<td>Abstract is included:</td>
<td>Yes</td>
</tr>
<tr>
<td>Figure to be published with abstract:</td>
<td>2</td>
</tr>
<tr>
<td>From page:</td>
<td>9</td>
</tr>
<tr>
<td>To page:</td>
<td>9</td>
</tr>
<tr>
<td>Drawings</td>
<td></td>
</tr>
<tr>
<td>Drawings are included:</td>
<td>Yes</td>
</tr>
<tr>
<td>Number of figures:</td>
<td>3</td>
</tr>
<tr>
<td>From page:</td>
<td>10</td>
</tr>
<tr>
<td>To page:</td>
<td>10</td>
</tr>
</tbody>
</table>

Figure 171 – Adding technical documents and specifying the content

→ Click **Next**.
A new document is uploaded and is displayed under **Application documents** in the **Documents** tab.
→ If required, you can add more documents by repeating the above procedure.

**Specific options for the different document types**

→ When you add documents in the filing language, it is important to add the **Drawings in filing language** before the **Original in filing language**.
The document type **Drawings in filing language** disappears from the document type list once the **Original in filing language** has been attached.
→ When adding drawings in the filing language, you can optionally enter the **Number of figures**.
When adding **Original in filing language**, you must enter the **Number of claims**. Optionally, you can enter the **Figure to be published with abstract** and the **Number of figures**.

When adding an **Other document**, you can optionally specify the type of document in the **Specify** field.

**Specification in XML format**
There are two different options for adding the specification in XML format:
→ To upload a specification without images, use a single XML file (extension .xml or .pxml).
→ To upload a specification that includes images, use a ZIP file containing all components, i.e. the XML file and the TIFF image files that are referenced in the XML code.

When you are working with PatXML and insert images into your patent document, these are converted into TIFF files and stored in the same working folder as the .pxml file. For uploading the specification into CMS, you must create a ZIP file containing the .pxml file and all TIFF files.

For more information on preparing XML files for attachment, see 9.1.4 Generating XML files.

Note that a specification in XML format does not allow later additions or modifications:
- If you have added a specification in XML format, you cannot add further technical documents (e.g. claims contained in a PDF file). You can, however, add a sequence listing in text format (i.e. in accordance with WIPO Standard ST.25) if you have indicated that the application contains a sequence listing as part of the description (see 6.1.5 Document declarations).
- If you have added one or more technical documents as PDF files (e.g. the description and the abstract), you cannot subsequently add the specification in XML format.
- Details of the XML specification file cannot be edited in the Documents tab, whereas this is possible for PDF documents.

6.9.2. Document types

Depending on the selections made in the Application dialog box of the EP application, the following document types can be added:

<table>
<thead>
<tr>
<th>Document type</th>
<th>Availability/remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Technical documents</td>
<td>Only available if: The selected language in Filing language of attached or previous application is Same as procedural language -AND- Specification in XML format is NOT added</td>
</tr>
<tr>
<td>Specification in XML format (XML file without images or ZIP file including XML file and images)</td>
<td>Only available if: Technical documents OR Translation(s) of technical document(s) in procedural language are NOT added</td>
</tr>
<tr>
<td>Translation(s) of technical document(s) in procedural language</td>
<td>Only available if: The selected language in Filing language of attached or previous application is NOT Same as procedural language -AND- Specification in XML format is NOT added</td>
</tr>
<tr>
<td><strong>Document type</strong></td>
<td><strong>Availability/remarks</strong></td>
</tr>
<tr>
<td>-----------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| Original in filing language       | Only available if: The selected language in **Filing language of attached or previous application** is NOT Same as procedural language  
                                           - AND -  
                                           **Filing by reference (Rule 40(1)(c), (2) EPC)** is NOT selected                                                                                   |
| Drawings in filing language       | Only available if: The selected language in **Filing language of attached or previous application** is NOT Same as procedural language  
                                           - AND -  
                                           **Filing by reference (Rule 40(1)(c), (2) EPC)** is NOT selected                                                                                   |
| Claims in filing language         | Only available if: The selected language in **Filing language of attached or previous application** is NOT Same as procedural language  
                                           - AND -  
                                           **Filing by reference (Rule 40(1)(c), (2) EPC)** is selected  
                                           - AND -  
                                           In the **Filing by reference** dialog box, **It is hereby declared that the reference to the previously filed application also replaces the claims (Rule 57(c) EPC)** is NOT selected  
                                           - AND -  
                                           In the **Document declarations** dialog box, **It is intended to submit claims after submission of this application** is NOT selected |
| Pre-conversion archive            | Always available, must be ZIP file                                                                                                                                 |
| Sequence listing                  | Only available if: In the **Document declarations** dialog box, **The European patent application contains a sequence listing as part of the description** is selected |
| General authorisation             | Always available                                                                                                                                                                                                  |
| Specific authorisation            | Always available                                                                                                                                                                                                  |
| Translation of priority documents | Always available                                                                                                                                                                                                  |
| Grounds for re-establishment of rights | Always available                                                                                                                                                                                                  |
| Search results required under **Rule 141(1) EPC** for previously filed application | Only available if: **Filing by reference (Rule 40(1)(c), (2) EPC)** is selected  
                                           - AND -  
                                           In the **Filing by reference** dialog box, **Previously filed application is also a priority application** is selected |
| Inventor waiver – **Rule 19(3) EPC** | Always available                                                                                                                                                                                                  |
6.9.3. Working with uploaded documents

In the Documents tab, the documents are grouped into two sections: Application documents and Other documents.

- Any files you upload with Add document are displayed under Application documents.
- Files generated by the system are grouped under the heading System-generated under Other documents. For example, if you execute the Export task you will find an Export file item in this group.
- Files that are attached to a priority claim entry in the Priority claim tab are grouped under the heading Priority-related under Other documents.
- Files attached to a biological material entry in the Biological material tab are grouped under the heading Biological material under Other documents.

You can download, edit or remove a document using the action icons to the right of the document details.

→ To download a PDF copy of a document, click the Download document icon 📝. Depending on your browser's settings, you are prompted to select a folder and to enter a file name, or the file is automatically saved to your default download folder. The file name of the downloaded PDF document is created by CMS, e.g. 090000c980016799.pdf.

→ To edit the document information, e.g. to change the document type or to change the language, click the Edit document icon 🛠.
   - In the Edit document dialog box, edit the document properties as appropriate.

→ To remove the document from the form and delete the uploaded file in CMS, click the Remove document icon ❌.
If you want to preview the form and the document attachments in the PDF viewer, you can use the **Review** task (see 2.7.4 Reviewing and downloading forms and documents). XML files and TIF image files – which you added as the document type **Specification in XML format** – cannot be displayed in the browser. CMS converts the uploaded XML specification file, including the images, into a PDF file for export and preview.

→ To display the specification file in the PDF viewer, click **Review** under **Tasks**.

The **Document preview** window opens.

→ Click **application-body.pdf** in the list on the left.

### 6.10. Fee sheet

The **Fee sheet** tab gives an overview of the fees applicable for your current application. Please note that the calculation in the fee sheet is not complete until the **Pay fees** task has been executed.
Once you have entered all the mandatory information in the form, you can pay the fees for this application via Pay fees in the task list. After the Pay fees task has been executed, you can view the details in the Fee sheet tab.

→ Click the icon to edit the fee sheet, i.e. to modify the payment details or the fee selection.
→ Click the icon to expand the view.
→ Click a fee in the Fee sheet tab to view its details.

The fee details are displayed.
The fee sheet has the following fee status indication:

- **Due** – These are the fees which are due for payment.

### 6.11. Dates

The **Dates** tab gives an overview of:

- The earliest priority date (from the priority claims in the **Priority claim** tab).
- The date of receipt (the date the EP application was received by the EPO).

### 6.12. History

The **History** tab gives an overview of the data entry history.

The following actions are displayed in the **History** tab:

- Executing a task from the task list
- Adding data
- Editing data
- Removing data
- Actions performed by the system

Each item can be expanded to view the details.
6.13. Paying fees

Once all the mandatory information has been entered, the Pay fees task becomes available under Next steps, allowing you to specify the mode of payment and select optional fees. After the Pay fees task has been executed, it will be replaced by the Sign task under Next steps.

If changes to the application are made after the Pay fees task has been executed, the fees will be recalculated. The Sign task will disappear and you will need to execute the Pay fees task again.

→ Click Pay fees under Next steps.

The Payment dialog box opens.

6.13.1. Mode of payment

In the Payment dialog box, you must select one of the following options:

- **Automatic debit order** – if you select this mode of payment, the EPO will calculate the fees payable using the information provided in your application and will debit this amount direct from your EPO deposit account. With this option you do not select the fees yourself in the Fees dialog box.

- **Bank transfer** – if you select payment by bank transfer, you must transfer the fees to the EPO’s bank account at the Commerzbank AG, München.
• **Credit card** – if you select payment by credit card, please go to EPO fee payment service at the EPO website to effectively execute the payment.

• **Debit from deposit account** – if you select this mode of payment, the relevant fees will be debited directly from your EPO deposit account.

• **Not specified (no payment at this time)** – if you are not sure how you will be paying your fees, you can indicate Not specified (no payment at this time).

---

<table>
<thead>
<tr>
<th>EPO deposit account numbers start with <strong>28</strong> followed by six digits (<strong>28nnnnnn</strong>).</th>
</tr>
</thead>
</table>

→ Select the applicable **Mode of payment**.
Depending on your selection, the dialog box will display further fields and options.

**Automatic debit order**

→ If you select **Automatic debit order**, fill in the fields **Deposit account number** and **Account holder**.

**Bank transfer**

→ If you select **Bank transfer**, the details of the bank account held by the EPO at the Commerzbank AG, München will be displayed.

**Credit card**

→ If you select **Credit card**, the term when fees and costs will be paid by credit card after filing will be displayed.

**Debit from deposit account**

→ If you select **Debit from deposit account**, fill in the fields **Deposit account number** and **Account holder**.

→ Optionally, you can select the **Yes** radio button at **Defer payment**.

Note: The date for **Defer payment** may not be later than 40 days from today's date.

**Further options**

→ Optionally, you can select the check box **Reimbursement, if any, to be made to deposit account with the EPO**.

→ If applicable, fill in the fields **Deposit account number** and **Account holder**.

→ Optionally, you can select the check box **Additional copies of the documents cited in the supplementary search report are hereby requested**.

→ If applicable, enter the **Number of copies**.

→ Optionally, you can enter the **Number of certified copies of the application**.

→ If you do not want to pay the fees for all claims that you specified in the **Documents** tab, edit the number in the **No. of claims to be paid** field as appropriate.

This value serves as the basis for calculating the number of claims fees in the fee sheet.

Initially, the field is pre-filled with the data from the **Technical documents**. However, note that the number of claims for which you have to pay is not updated automatically if you change the number of claims in the **Technical documents** at a later time.

→ Click **Next**.
If Automatic debit order is selected, the Payment dialog box closes. If Bank transfer, Credit card, Debit from deposit account or Not specified (no payment at this time) is selected, the Fees dialog box opens (see 6.13.2 Selecting fees).

### 6.13.2 Selecting fees

The Fees dialog box displays four fee groups:
- Standard fees
- Optional fees
- Renewal fees
- Other fees

Frequently paid fees for the selected procedure and fees related to the data you entered in your application will already be checked in the Fees dialog box. However, when Not specified (no payment at this time) is selected, no fees will be checked. Per fee group, the number of selected fees is displayed. Example: (4 of 4 selected).
→ Click the icon in a fee group to expand the view and to show the fees belonging to this group.

→ By selecting or clearing the check boxes within a fee group, you can select or deselect a fee.

The **Total** under the **Amount to pay** column is automatically updated.

→ Click **Next**.
Figure 184 – Expanding fee groups and selecting optional fees

Deselecting a fee does not mean that this fee does not need to be paid. The EPO will request payment if required.

6.13.3. Updating the fee sheet

You can edit a fee sheet after you have executed the Pay fees task if the EPO Form 1001 application is still in Draft status.

→ Go to the Fee sheet tab.
→ In Fee sheet, click the icon.
   The Payment dialog box opens.
→ Edit the fee details.
→ Click Next.
   The Fee sheet is updated.

6.14. Signing and submitting an application

The steps for signing and submitting an application are explained in chapter 9 Processing applications.
7. Euro-PCT Form 1200

The Euro-PCT Form 1200 is used for requesting the entry of an international application into the European phase before the EPO as designated or elected office.

7.1. Creating a new Euro-PCT application

You can either create a blank new Euro-PCT Form 1200 or use a submitted PCT/RO/101 filing to create an application for entry into the EP phase.

7.1.1. Creating a new Euro-PCT application in My applications

If the international application has been submitted by means other than CMS, you can create a new Euro-PCT Form 1200 and enter all required data manually.

→ To create a new Euro-PCT application, go to Applications > My applications.
→ Open the New application menu in the toolbar and select Euro-PCT Form 1200.

The EP phase dialog box opens.

→ Enter the Applicant’s file reference for the new application.
  – You can enter max. 25 digits: lower-case characters a-z, upper-case characters A-Z, numbers 0-9 and the separator characters _ . ( ) / \ < > =.
→ Optionally, you can select the check box at Request for examination in admissible non-official EPO language.
  – If applicable, select the desired language in Admissible non-EPO language.
→ Select the EPO office type: EPO as designated office or EPO as elected office.
  – If you select EPO as elected office, you have to select whether the EPO is the international preliminary examining authority (IPEA is EPO) or whether there is another international preliminary examining authority (IPEA other than EPO).
→ Select the International searching authority.
→ Optionally, you can select one of the following Waivers / acceleration:
  – Early processing of the application pursuant to Article 23(2) / 40(2) PCT is hereby requested ("early entry into the European phase").
  – The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70(2) EPC).
  – The applicant waives his right to the communication under Rules 161(1) or (2) and 162 EPC.
→ Optionally, you can select the check box Application contains request for extension/validation.
→ Select the **Language of the international publication**.
The selected value in the **Procedural language** field will be automatically selected according to the selected language in the **Language of the international publication**.

→ Enter the **PCT application number**.

→ Optionally, you can enter the **PCT publication number**.

→ Optionally, you can enter the **EP application number**.

→ Enter the **International filing date** in the format *dd-mm-yyyy* or select the **International filing date** by clicking the calendar icon.

→ Optionally, you can add a note for the EPO in the **Remarks** field.

→ Click **Next**.

*Figure 186 – “EP phase” dialog box for a new Euro-PCT Form 1200 application*
7.1.2. Creating a Euro-PCT application based on a PCT/RO/101 application submitted using CMS

If the international PCT/RO/101 application has been submitted using CMS, you can create a new Euro-PCT Form 1200 based on data in the submitted application.

→ Open the submitted application for which you want to create an application for entry into the European phase.
→ Click New Euro-PCT Form 1200 under Tasks.

![Figure 187 – Creating a new Euro-PCT Form 1200 from a submitted PCT/RO/101 application](image)

The EP phase dialog box opens. It will contain details copied from the submitted application.

→ If applicable, select a folder in which to store the new application.
→ Enter and edit the data as required (see 7.1.1 Creating a new Euro-PCT application in My applications).
  - The International searching authority is set to European Patent Office (EPO) and read-only.
  - The PCT application number is copied from the submitted PCT/RO/101 application and read-only.
  - The data in Applicant’s file reference, Language of the international publication, Procedural language and International filing date is copied from the submitted PCT/RO/101 application and can be edited as appropriate.
→ If you want the EPO to use parts of the international application as published, select the appropriate check boxes under Items being submitted on entry into the European phase. The following data will be copied to the Documents tab (see 7.7.1 Document overview):
  - Number of pages in the Description part
  - Number of pages and number of claims on entry into the European phase in the Claims part
  - Number of pages in the Drawings part
→ Click Next.
Figure 188 – “EP phase” dialog box for a Euro-PCT application created from a submitted PCT/RO/101 application

The **History** tab of the new Euro-PCT Form 1200 shows a specific entry for the related application.

→ To see the details, expand the item **Related application**.
→ To open that application in CMS, click the link **Open related application**.
7.1.3. Extension and validation

If you selected Application contains request for extension/validation in the EP phase dialog box, the States dialog box will open in the next step. The States dialog box lists the extension states and validation states valid on the International filing date specified in the EP phase dialog box.

Validation states are available if the international filing date is 01-03-2015 or later.

→ Select the relevant extension states and validation states (where applicable).
→ Click Next.
7.1.4. Document declarations

The **Document declarations** dialog box opens, where you can indicate information concerning documents.

→ If applicable, select the check box **Amendments are attached**.

→ Optionally, you can select the check box **It is hereby declared that the international application as originally filed is a complete translation of the previous application (Rule 53(3) EPC)**.

→ If in the **EP phase** dialog box **EPO as elected office** was selected in the **EPO office type** field, the declaration **If the EPO as International Preliminary Examining Authority has been supplied with test reports, these may be used as the basis of proceedings before the EPO is displayed**.

→ To add a declaration of **Sequence listing** documents, select the check box **The international application discloses nucleotide and/or amino acid sequences**.

   → If the sequence listing was filed earlier, select **The sequence listing was filed under Rule 5.2(a) PCT, or furnished to the EPO as ISA under Rule 13ter.1(a) PCT, or is otherwise available to the EPO, in computer-readable format in accordance with WIPO ST.25**.

   → If you intend to attach a sequence listing, select **The sequence listing is attached**.

If **The sequence listing is attached** was selected in the previous step, the field **Declaration sequence listing** is shown.

   → If applicable, select the check box **The sequence listing does not include matter that goes beyond the content of the application as filed**.

→ Click **Next**.
A draft of this new Euro-PCT 1200 application is now created and an overview of the data you entered in the previous steps is displayed.

7.2. Tabs in Euro-PCT Form 1200

Euro-PCT Form 1200 is organised into nine tabs. We recommend that you enter the data in the tab sequence order from top to bottom. Certain options and conditions in the Address for correspondence tab, for instance, are determined by the data you enter in the Applicant or Representative tabs.
Tab | Data entry/purpose
---|---
EP phase | This tab is for entering the applicant's file reference, indicating a request for examination in an admissible non-official EPO language, selecting the EPO office type, selecting the international searching authority, selecting the waivers, indicating that the application contains extension states, selecting the language of the international publication, selecting the procedural language, entering the PCT application number, entering the PCT publication number, entering the EP application number, entering the international filing date, entering a note in the remarks field and indicating document declarations.
Applicant | For entering details of applicants.
Representative | For entering details of representatives and authorisation.
Address for correspondence | For entering details of the address for correspondence.
Biological material | For entering details of biological material.
Documents | For attaching the specification documents or application documents and other electronic files.
Fee sheet | Gives an overview of applicable fees.
Dates | Gives an overview of dates relating to the application.
History | Gives an overview of the data entry history based on executed tasks and added, edited or deleted data.

7.3. Applicant

It is not mandatory to enter an applicant in Euro-PCT Form 1200 as this data is already available to the EPO. However, where applicant details have changed since the date of filing and have not been communicated to the International Bureau, one or more applicants may be added.

→ In the Applicant tab, click Add applicant.

![Add applicant](image)

Figure 193 – Adding an applicant

→ Select the applicant type: Legal entity or Natural person.
→ Click Next.
→ If you want to add a person from the address book, click Select from address book in the top right-hand corner. For more details, see 4.1 Adding a contact from the address book to an application.
  → Fill in the remaining empty fields.
→ If you want to add a new person, enter the applicant's name, address and contact details.
   – Fill in the **Address line 1** field and/or **Postal code** field as appropriate. Note that you must fill in at least one of the two fields.
→ If applicable, select **The applicant has already been recorded by the International Bureau**.
→ Click **Next**.

![Figure 194 – Entering details of applicant](image)

If you are adding the first-named applicant and this applicant is a legal entity with a principal place of business in one of the **EPC contracting states**, you can indicate that the applicant is represented by an employee.

→ If applicable, select the check box **The company is represented by the following employee acting pursuant to Article 133(3) EPC**.
→ Enter the first name, last name and general authorisation number of the employee representing the company.
→ Click **Next**.
A new applicant has now been added.
→ If required, add more applicants by repeating the steps described above.

7.4. Representative

Where representation has changed since the date of filing and this has not been communicated to the International Bureau, you can add one or more representatives to Form Euro-PCT 1200.

→ In the Representative tab, click Add representative.
You can only add a representative if no employee acting pursuant to Article 133(3) EPC has been appointed (see 7.3 Applicant) and if you have not specified an address for correspondence.
→ Select the representation type: **Association of representatives**, **Authorised representative** or **Legal practitioner**.
→ Click **Next**.
→ If you want to add a person from the address book, click **Select from address book** in the top right-hand corner. For more details, see 4.1 Adding a contact from the address book to an application.
   – Fill in the remaining empty fields.
→ If you want to add a new person, enter the representative's name, address and contact details.
   – Fill in the **Address line 1** field and/or **Postal code** field as appropriate. Note that you must fill in at least one of the two fields.
→ Select the type of **Authorisation**.
The default option is **Not applicable**.

![Figure 197 – Entering details of representative](image-url)

→ If you selected **A general authorisation has been registered under number**, you must enter the general authorisation number in the **General authorisation No.** field.
→ Click **Next**.
Second and subsequent representative
If you add additional representatives, you can only select Authorised representative or Legal practitioner as the representation type.
→ Enter the First name and Last name.
→ If appropriate, indicate the Authorisation.

Replacing the first representative
If you have added multiple representatives to the Representative tab and you want to remove the first representative from the list, you are prompted to provide address details for the next first representative. The original first representative can only be removed if you supply address details for the second representative who will then replace the first representative.
7.5. Address for correspondence

Where data has changed since the date of filing and this has not been communicated to the International Bureau, you can specify an address for correspondence for the first applicant.

- The address for correspondence can only be added if the first applicant is from one of the EPC contracting states.
- You cannot enter an address for correspondence if you have already added a Representative.
- You can add only one address for correspondence.

→ In the Address for correspondence tab, click Add address for correspondence.

If the application already contains an applicant, the name and company details of the first applicant are re-used.
→ Enter the address for correspondence details.
→ Click Next.
   An address for correspondence has now been added.

![Add address for correspondence](image)

**Figure 202 – Entering address for correspondence of first-named applicant**

If there is no applicant present in the application, you must first add a new applicant.

The Select applicant type dialog box opens.
→ Select the applicant type: Legal entity or Natural person.
→ Click Next.

The Address for correspondence dialog box opens.
→ Enter the name, address, contact details and, for natural persons, the country of nationality.
   → Fill in the Address line 1 field and/or Postal code field as appropriate. Note that you must fill in at least one of the two fields.
→ Click Next.
   An address for correspondence has now been added.

![Add address for correspondence](image)

**Figure 203 – Entering address for correspondence of new applicant**
7.6. Biological material

Where applicable, biological material deposited under Rule 31 EPC can be added to your Euro-PCT application.

→ In the Biological material tab, click Add biological material.

Figure 204 – Adding biological material

→ Enter the Identification reference and select the Depository institution.
  → If you selected OTHER in the Depository institution field, enter the address of the other depository institution in the Name and address field.

→ Enter the Accession number.
  All you have to do is to enter your individual number. A prefix belonging to the selected depository institution will be automatically added to the accession number in the next dialog box.

→ Optionally, you can select the check box The particulars referred to in Rule 31(1)(c) EPC are given in the technical documents in the application and enter the Line(s) and Page(s) of the technical document that is being referred to.

→ Click Next.

Figure 205 – Entering details of biological material

In the following Documents dialog box you can add a Copy of the receipt(s) of deposit issued by the depository institution or a Waiver of the right to an undertaking from the requester pursuant to Rule 33(2) EPC.

→ Attach a document by clicking Browse... and selecting the document you want to upload.
  Remember that documents must be Annex F-compliant (see 9.1 Preparing documents for attachment).
→ Click Next.

![Figure 206 – Adding biological material documents](image)

Attached documents relating to biological material will also be displayed in the Documents tab, where documents can be viewed or removed.

### 7.7. Documents

In the Documents tab, you can add documents relevant for your application, e.g. amendments or translations.

- For information about allowed file types and other standards for files, see 9.1 Preparing documents for attachment.
- For a list of document types applicable in Euro-PCT Form 1200, see 7.7.3 Document types.

#### 7.7.1. Document overview

You are not obliged to attach any application documents to Euro-PCT Form 1200. In order to allow calculation of the additional fee for applications comprising more than 35 pages, you are requested to indicate the documents to be used for the further procedure.

In the Documents tab, the Document overview provides a summary of the application documents on entry into the European phase.

- To submit an application, you must specify at least the Claims and the Description.
- You cannot specify an Abstract in the Document overview. CMS always counts one page for the Abstract by default; this cannot be changed.

If you created a new Euro-PCT application from scratch, the Document overview is empty except the default one page for the abstract.
If you created a Euro-PCT application based on a submitted PCT/RO/101 application, the Document overview shows the data copied from the international application as selected by you under Items being submitted on entry into the European phase (see 7.1.2 Creating a Euro-PCT application based on a PCT/RO/101 application submitted using CMS). You can now edit this data and add more information as appropriate.
Figure 208 – Page numbers and number of claims copied from the submitted PCT/RO/101 application

→ To edit the Document overview, click the icon on the right-hand side.

Figure 209 – Editing Document overview to specify description, claims and drawings

The Description dialog box opens.

→ Select the parts that are applicable.

International application as published is selected and the number of pages is pre-filled if you selected Description in the EP phase dialog box when creating the Euro-PCT Form 1200 application from a submitted PCT/RO/101 application.

→ Enter the page range and enter (or edit) the number of pages.

→ Click Next.
The Claims dialog box opens.

→ Enter (or edit) the number of claims in **Number of claims on entry into the European phase**.

The field is pre-filled if you selected Claims in the **EP phase** dialog box when creating the Euro-PCT Form 1200 application from a submitted PCT/RO/101 application.

→ Select the parts that are applicable.

**International application as published** is selected and the number of pages is pre-filled if you selected Claims in the **EP phase** dialog box when creating the Euro-PCT Form 1200 application from a submitted PCT/RO/101 application.

→ Enter the page range and enter (or edit) the number of pages.

→ Click **Next**.

The Drawings dialog box opens.

→ Select the parts that are applicable.
International application as published is selected and the number of pages is pre-filled if you selected Drawings in the EP phase dialog box when creating the Euro-PCT Form 1200 application.

→ Enter the page range and enter (or edit) the number of pages.
→ Click Next.

![Figure 212 – Entering details of drawings in Document overview](image)

7.7.2. Adding documents

→ In the Documents tab, click Add document.

![Figure 213 – Adding a document](image)

→ Click Browse..., navigate to the file's storage location and click Open to select it.
→ Select the document type from the relevant group in the Documents dialog box.
   - To expand the list of document types in a document group, click the title of the document group in the table.
→ Click Upload.
   A new document is uploaded and is displayed under Application documents in the Documents tab.
→ If required, add more documents by repeating the above procedure.
When adding an **Amendment**, the dialog box lets you specify the contents of the document.

→ For each relevant part of the amended technical documents, select the **Yes** radio button and fill in the **From page** and **To page** fields.

When adding a **Translation of international application as published**, the dialog box lets you specify the contents of the document.

→ For each relevant part of the translation of the international application, select the **Yes** radio button and fill in the **From page** and **To page** fields.
When adding an Other document, you can optionally specify the type of document in the Specify field.
### 7.7.3. Document types

Depending on selections and choices made in the **EP phase** dialog box of the Euro-PCT application, the following document types can be added:

<table>
<thead>
<tr>
<th>Document type</th>
<th>Availability/remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amendments</td>
<td>Only available if: <strong>Amendments are enclosed</strong> is selected in the <strong>Document declarations</strong> dialog box</td>
</tr>
<tr>
<td>Translation of international application as published</td>
<td>Only available if: The selected <strong>Language of the international publication</strong> is not English, French or German (official EPO languages)</td>
</tr>
<tr>
<td>Translations of priority applications</td>
<td>Always available</td>
</tr>
<tr>
<td>Translation of annexes to international preliminary examination report</td>
<td>Only available if: <strong>EPO as elected office</strong> is selected -AND- The selected <strong>Language of the international publication</strong> is not English, French or German (official EPO languages)</td>
</tr>
<tr>
<td>Translations of amended claims (Article 19 PCT amendments)</td>
<td>Only available if: <strong>EPO as designated office</strong> is selected -AND- The selected <strong>Language of the international publication</strong> is not English, French or German (official EPO languages)</td>
</tr>
<tr>
<td>Pre-conversion archive</td>
<td>Always available, must be ZIP file</td>
</tr>
<tr>
<td>Sequence listing</td>
<td>Only available if: <strong>The international application discloses nucleotide and/or amino acid sequences</strong> is selected in the <strong>Document declarations</strong> dialog box -AND- <strong>Sequence listing is attached</strong> is selected in the <strong>Document declarations</strong> dialog box</td>
</tr>
<tr>
<td>Amended claims with annotations</td>
<td>Always available</td>
</tr>
<tr>
<td>Amended description with annotations</td>
<td>Always available</td>
</tr>
<tr>
<td>Amended drawings with annotations</td>
<td>Always available</td>
</tr>
<tr>
<td>Reply to written opinion/IPER</td>
<td>Always available</td>
</tr>
<tr>
<td>Search results required under <strong>Rule 141(1) EPC</strong></td>
<td>Always available</td>
</tr>
<tr>
<td>General authorisation</td>
<td>Always available</td>
</tr>
<tr>
<td>Specific authorisation</td>
<td>Always available</td>
</tr>
<tr>
<td>Electronic priority documents</td>
<td>Always available</td>
</tr>
<tr>
<td>Other document</td>
<td>Always available</td>
</tr>
<tr>
<td>Request for retrieval of priority document via DAS</td>
<td>Always available</td>
</tr>
</tbody>
</table>
7.7.4. Working with uploaded documents

In the Documents tab, the documents are grouped into two sections: Application documents and Other documents.

- Any files you upload with Add document are displayed under Application documents.
- Files generated by the system are grouped under the heading System-generated under Other documents. For example, if you execute the Export task you will find an Export file item in this group.
- Files attached to a biological material entry in the Biological material tab are grouped under the heading Biological material under Other documents.

You can download, edit or remove a document using the action icons to the right of the document details.

- To download a PDF copy of a document, click the Download document icon.
- Depending on your browser's settings, you are prompted to select a folder and to enter a file name, or the file is automatically saved to your default download folder. The file name of the downloaded PDF document is created by CMS, e.g. 090000c980016799.pdf.
- To edit the document information, e.g. to change the document type or to change the language, click the Edit document icon.
  - In the Edit document dialog box, edit the document properties as appropriate.
- To remove the document from the form and delete the uploaded file in CMS, click the Remove document icon.

If you want to preview the form and the document attachments in the PDF viewer, you can use the Review task (see 2.7.4 Reviewing and downloading forms and documents).
7.8. Fee sheet

The Fee sheet tab gives an overview of the fees applicable for your current application. Please note that the calculation in the fee sheet is not complete until the Pay fees task has been executed.

Once you have entered all the mandatory information in the form, you can pay the fees for this application via Pay fees in the task list. After the Pay fees task has been executed, you can view the details in the Fee sheet tab.

→ Click the icon to edit the fee sheet, i.e. to modify the payment details or the fee selection.

→ Click the icon to expand the view.

→ Click a fee in Fee sheet to view its details.

The fee details are displayed.
The fee sheet has the following fee status indication:
  - **Due** – these are the fees which are due for payment.

### 7.9. Dates

The **Dates** tab displays an overview of:
- The date of receipt (the date the Euro-PCT application was received by the EPO).

### 7.10. History

The **History** tab gives an overview of the data entry history. The following actions are displayed in the **History** tab:
- Executing a task from the task list
- Adding data
- Editing data
- Removing data
- Actions performed by the system

Each item can be expanded to view the details.
7.11. Paying fees

Once all the mandatory information has been entered, the Pay fees task becomes available under Next steps, allowing you to specify the mode of payment and select optional fees. After the Pay fees task has been executed, it will be replaced by the Sign task under Next steps.

If changes to the application are made after the Pay fees task has been executed, the fees will be recalculated. The Sign task will disappear and you will need to execute the Pay fees task again.

→ Click Pay fees under Next steps.

The Payment dialog box opens.

7.11.1. Mode of payment

In the Payment dialog box, you must select one of the following options:

- **Automatic debit order** – if you select this mode of payment, the EPO will calculate the fees payable using the information provided in your application and will debit this
amount direct from your EPO deposit account. With this option you do not select the fees yourself in the Fees dialog box.

- **Bank transfer** – if you select payment by bank transfer, you must transfer the fees to the EPO’s bank account at the Commerzbank AG, München.
- **Credit card** – if you select payment by credit card, please go to EPO fee payment service at the EPO website to effectively execute the payment.
- **Debit from deposit account** – if you select this mode of payment, the relevant fees will be debited directly from your EPO deposit account.
- **Not specified (no payment at this time)** – if you are not sure how you will be paying your fees, you can indicate Not specified (no payment at this time).

EPO deposit account numbers start with 28 followed by six digits (28nnnnnn).

→ Select the applicable Mode of payment.
Depending on your selection, the dialog box will display further fields and options.

**Automatic debit order**
→ If you select Automatic debit order, fill in the fields Deposit account number and Account holder.

**Bank transfer**
→ If you select Bank transfer, the details of the bank account held by the EPO at the Commerzbank AG, München will be displayed.

**Credit card**
→ If you select Credit card, the term when fees and costs will be paid by credit card after filing, will be displayed.

**Debit from deposit account**
→ If you select Debit from deposit account, fill in the fields Deposit account number and Account holder.
→ Optionally, you can select the Yes radio button at Defer payment.
  → If applicable, enter the Charge debit account on date.
Note: The date for Defer payment may not be later than 40 days from today's date.

**Further options**
→ Optionally, you can select the check box Reimbursement, if any, to be made to deposit account with the EPO.
  → If applicable, fill in the fields Deposit account number and Account holder.
→ Optionally, you can select the check box Additional copies of the documents cited in the supplementary search report are hereby requested.
This option is only available if the EPO was not selected as the International Searching Authority (ISA) in the EP phase dialog box.
  → Enter the Number of copies.
→ Optionally, you can select the check box Late entry into the European phase (Rule 159(1) EPC).
→ Optionally, you can select the check box Late filing of the examination request (Rule 159(1)(d),(f) EPC).
→ If you do not want to pay the fees for all claims that you specified in the Documents tab, edit the number in the No. of claims to be paid field as appropriate.
This value serves as the basis for calculating the number of claims fees in the fee sheet.
Initially, the field is pre-filled with the data from the Document overview. However, note that the number of claims to be paid is not updated automatically if you change the number of claims in the Document overview at a later time.

→ Click Next.

![Payment dialog box](image)

Figure 224 – Options for payment where "Debit from deposit account" is indicated

If Automatic debit order is selected, the Payment dialog box closes. If Bank transfer, Credit card, Debit from deposit account or Not specified (no payment at this time) is selected, the Fees dialog box opens (see 7.11.2 Selecting fees).

### 7.11.2. Selecting fees

The Fees dialog box displays four fee groups:
- Standard fees
- Optional fees
- Renewal fees
- Other fees

Frequently paid fees for the selected procedure and fees related to the data you entered in your application will already be checked in the Fees dialog box. However, when Not specified (no payment at this time) is selected, no fees will be checked. Per fee group, the number of selected fees is displayed. Example: (3 of 3 selected).

→ Click the icon in a fee group to expand the view and to show the fees belonging to this group.

→ By selecting or clearing the check boxes within a fee group, you can select or deselect a fee.

The Total under the Amount to pay column is automatically updated.
Deselecting a fee does not mean that this fee does not need to be paid. The EPO will request payment if required.

If you deselect a fee which is required by the EPO, a yellow validation icon notifies you to that effect.

### 7.11.3. Updating the fee sheet

You can edit a fee sheet after you have executed the **Pay fees** task if the Euro-PCT application is still in **Draft** status.

→ Go to the **Fee sheet** tab.

→ In **Fee sheet**, click the pen icon. The **Payment** dialog box opens.
→ Edit the fee details.
→ Click Next.
   The Fee sheet is updated.

7.12. Signing and submitting an application

The steps for signing and submitting an application are explained in chapter 9 Processing applications.

Signing by other person
If neither an applicant nor a representative has been added to the application, the Signature dialog box requires you to indicate the name and capacity of the person signing the form.
   → Under Name, select <Other>.
   → Enter the name of the signatory into the Other name field.
   → Select the capacity: Applicant or Representative.
   → Supply the signature.
   → Click Sign.

![Signature dialog box](image-url)

*Figure 227 – Entering details of person signing the application*
8. **Form 1038**

Form 1038 can be used for one or more of the following:

- To send a missing or modified document subsequent to a submitted filing in any of the EP procedures and in any of the PCT procedures
- To send a remark about a filing submitted to the EPO
- To file a request for accelerated search or accelerated examination under the PACE programme (non-public submission) in the EP procedure
- To submit an enquiry as to the processing of the file (public submission) in the EP procedure
- To pay fees for a submitted filing
- To send a document or remark to the EPO as an intervener, opponent, proprietor or third party (only for EP)
- To file a notice of opposition in the EP procedure
- To file a PCT Chapter II demand in the PCT procedure

Form 1038 always relates to a previously submitted application. Once an application is submitted, further communication about it can be made with the EPO using a Form 1038.

The previous application does not have to have been submitted using CMS. You can also use a Form 1038 to communicate about applications that have been submitted by means other than CMS.

8.1. **Creating a new Form 1038**

You can either create a blank new Form 1038 or use a submitted application to create a subsequent filing for that specific procedure.

8.1.1. Creating a new Form 1038 in My applications

If the previous application has been submitted by means other than CMS, you can create a new Form 1038 and enter all required data manually.

→ To create a new Form 1038, go to Applications > My applications.
→ Open the New application menu in the toolbar and select Form 1038.

![Creating a new Form 1038 in "My applications"](image)

The Application dialog box opens.

→ If applicable, select a folder in which to store the new application.
→ Enter your reference for this application in the Reference field.
– You can enter max. 25 digits: lower-case characters a-z, upper-case characters A-Z, numbers 0-9 and the separator characters _ - . ( ) / < > =.

→ Select the type of procedure applicable to the submitted application in the Procedure field.

→ If the submitted application is an EP or Euro-PCT application, select EP (see 8.1.3 Subsequent filing in the EP procedure).

→ If the submitted application is a PCT application, select PCT (see 8.1.4 Subsequent filing in the PCT procedure).

8.1.2. Creating a Form 1038 based on an application submitted using CMS

If the previous application has been submitted using CMS, you can create a new Form 1038 based on data in the submitted application.

→ Open the submitted application for which you want to create a subsequent filing.

→ Click New Form 1038 under Tasks.

![Creating a new Form 1038 from a submitted application](image)

Figure 229 – Creating a new Form 1038 from a submitted application

The Application dialog box opens. It will contain details copied from the submitted application.

→ If applicable, select a folder in which to store the new application.

→ Enter your reference for this application in the Reference field.

→ You can enter max. 25 digits: lower-case characters a-z, upper-case characters A-Z, numbers 0-9 and the separator characters _ - . ( ) / < > =.

The Procedure is the same as in the submitted application and cannot be edited.

- If the submitted application is an EP or Euro-PCT application, the procedure is set to EP.
- If the submitted application is a PCT application, the procedure is set to PCT.
Depending on the application that you select as a basis for the new Form 1038, the data is copied from the most recent related filing for that application number in the relevant procedure (i.e. EP or PCT).

**Example 1: Consecutive Forms 1038 in the PCT procedure**
- The first application is a PCT/RO/101.
- You have submitted a Form 1038 based on the PCT/RO/101.
- You create a second Form 1038 based on the PCT/RO/101. The new Form 1038 is based on the data in the first Form 1038, which is the most recent submitted instance of the application in the PCT procedure.

**Example 2: Form 1038 in the EP procedure following entry into the European phase**
- The first application is a PCT/RO/101.
- You have submitted a Form 1038 based on the PCT/RO/101.
- You have submitted a Euro-PCT Form 1200 based on the PCT/RO/101.
- You create a Form 1038 based on the Euro-PCT Form 1200. The new Form 1038 is based on the data in the Euro-PCT Form 1200, which is the most recent instance of the application in the EP procedure.

**Example 3: Parallel Forms 1038 in both the PCT procedure and EP procedure**
- The first application is a PCT/RO/101.
- You have submitted a Form 1038 based on the PCT/RO/101.
- You have submitted a Euro-PCT Form 1200 based on the PCT/RO/101.
- You have submitted a Form 1038 based on the Euro-PCT Form 1200.
- You create a second Form 1038 based on the PCT/RO/101. The new Form 1038 is based on the data in the first PCT Form 1038 and follows the PCT procedure.
- You create a second Form 1038 based on the Euro-PCT Form 1200. The new Form 1038 is based on the data in the first EP Form 1038 and follows the EP procedure.
The **History** tab of the new Form 1038 shows a specific entry for the related application.

→ To see the information on the previously filed application, expand the item **Related application**.

→ To open that application in CMS, click the link **Open related application**.

→ To see which details have been copied from the related application, expand the relevant item, e.g. **Copy sender data from existing application**.

![Figure 231 – Information on the related application in a Form 1038’s "History" tab](image)

8.1.3. **Subsequent filing in the EP procedure**

If you select the **EP** option for **Procedure**, EP- or Euro-PCT-specific fields are available in the **Application** dialog box.

→ Select the **Procedural phase** of the submitted application.
  
  → If you are not sure what phase your submitted application is in, you can select the option **All procedures**.

→ Select the role of the submitter of the Form 1038 application in the **Party type** field.
  
  → If you are a representative, indicate the party that you are representing.
  
  → The **Party type** field is available for the procedural phases **Search**, **Examination**, **Opposition**, **Appeal** and **All procedures**.

  → The **Party type** field is not displayed for the procedural phases **Filing** and **Limitation/revocation** because the applicable party type for these procedural phases is automatically set by CMS.

→ Enter the **Application number** assigned by the EPO to the submitted **EP** or **Euro-PCT** application.

→ If the procedural phase **Opposition** is selected, enter the **Publication number** of the submitted application.

→ Optionally, fill in the **Remarks** field for communicating short notes to the EPO.

→ Click **Next** to create the form.
The details you enter in the Application dialog box are recorded in the Application tab of the application.

In the new form there is now a specific tab for the selected party type. Depending on the procedural phase, the following options apply for Party type:

<table>
<thead>
<tr>
<th>Procedural phase</th>
<th>Party type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opposition</td>
<td>Opponent</td>
</tr>
</tbody>
</table>
### Filing a notice of opposition in the EP procedure

- To file a notice of opposition, create a new Form 1038 for the EP procedure.
- Select **Opposition** as the procedural phase.
- Download Form 2300 (Notice of opposition to a European Patent) from the EPO website under Applying for a patent > Forms and fees > European (EPC) forms ([http://www.epo.org/applying/forms-fees/forms.html](http://www.epo.org/applying/forms-fees/forms.html)).
- Complete the form with all required data.
- Convert the form to an Annex F-compliant PDF file and attach it in the **Documents** tab.
- Under the **Requests** category, select **Notice of opposition** as the document type.

### Filing a notice of appeal in the EP procedure

- To file a notice of appeal, create a new Form 1038 for the EP procedure.
- Select **Appeal** as the procedural phase.
- In the **Documents** tab, upload the relevant document as a PDF file.
- Under the **Appeal** category, select **Notice of appeal** as the document type.

### 8.1.4. Subsequent filing in the PCT procedure

If you select the **PCT** option for **Procedure**, PCT-specific fields are available in the **Application** dialog box.
- The **Filing Office** for a Form 1038 filing at the EPO is always the **European Patent Office**.
- Select the **Capacity** in which the EPO is acting in connection with this filing.
- Enter the **Application number** of the submitted PCT application.
- Optionally, fill in the **Remarks** field for communicating short notes to the EPO.
- Click **Next** to create the form.
Figure 234 – Creating a new Form 1038 for a PCT application with the EPO acting as the ISA

The details you enter in the Application dialog box are recorded in the Application tab of the application.

Figure 235 – "Application" tab with details of a PCT application

**Filing a PCT Chapter II demand in the PCT procedure**

→ To file a demand for international preliminary examination, create a new Form 1038 for the PCT procedure.

→ Select **International Preliminary Examining Authority (IPEA)** as the capacity in which the EPO is acting.

→ Download Form PCT/IPEA/401 (Demand) from the WIPO website under IP Services > PCT System > PCT Forms (http://www.wipo.int/pct/en/forms/index.html).

→ Complete the form with all required data.
→ Convert the form to an Annex F-compliant PDF file and attach it in the Documents tab.

### 8.2. Tabs in Form 1038

Form 1038 is organised into the tabs listed below:

<table>
<thead>
<tr>
<th>Tab</th>
<th>Data entry/purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Application</td>
<td>For viewing or changing the application details.</td>
</tr>
<tr>
<td>Applicant*</td>
<td>For entering details of applicant sending the form.</td>
</tr>
<tr>
<td>Intervener*</td>
<td>For entering details of intervener sending the form.</td>
</tr>
<tr>
<td>Opponent*</td>
<td>For entering details of opposition party sending the form.</td>
</tr>
<tr>
<td>Proprietor*</td>
<td>For entering details of proprietor sending the form.</td>
</tr>
<tr>
<td>Third party*</td>
<td>For entering details of third party sending the form.</td>
</tr>
<tr>
<td>Representative*</td>
<td>For entering details of representative sending the form.</td>
</tr>
<tr>
<td>Agent*</td>
<td>For entering details of agent sending the form.</td>
</tr>
<tr>
<td>Requests*</td>
<td>For creating a PACE request or an enquiry as to the processing of the file</td>
</tr>
<tr>
<td>Documents</td>
<td>For attaching the specification documents or application documents and other electronic files.</td>
</tr>
<tr>
<td>Fee sheet</td>
<td>Gives an overview of applicable fees.</td>
</tr>
<tr>
<td>Dates</td>
<td>Gives an overview of dates relating to the application.</td>
</tr>
<tr>
<td>History</td>
<td>Gives an overview of the data entry history based on executed tasks and added, edited or deleted data.</td>
</tr>
</tbody>
</table>

* These tabs are available depending on the procedure and the choices you make in the Application tab:
  - A Form 1038 for the PCT procedure always has an Applicant and Agent tab.
  - A Form 1038 for the EP procedure has tabs that depend on the selected Party type and a Representative tab.
  - A Form 1038 for the EP procedure has a Requests tab if the procedural phase is Filing, Search, Examination or All procedures and the party type is Applicant.

### 8.3. Sender

To submit the cover letter, you have to enter the name and address of the sender. This information will appear in the header of the Form 1038, thereby allowing the EPO to identify the sender.

You can add one sender to Form 1038. The sender can be an agent/representative or one of the parties to the selected procedural phase:

- Applicant (EP and PCT)
- Intervener (EP)
- Opponent (EP)
- Proprietor (EP)
- Third party (EP)
Please note:

- If the party is not the sender of the letter, either change the current party or remove the current party and add a new one.
- You cannot send documents anonymously to the EPO using Form 1038. If you wish to send documents anonymously to the EPO as a third party (under Article 115 EPC for example), you can use the third-party observations form available on the EPO website.

### 8.3.1. Adding a party as the sender (EP and PCT procedure)

An applicant can be added to Form 1038 in both the EP procedure and the PCT procedure. The process is similar for adding an intervener, opponent, proprietor or third party in the EP procedure.

→ In the Applicant tab, click **Add applicant**.

![Figure 236 – Adding an applicant](image)

→ Select the applicant type: Legal entity or Natural person.

→ Click Next.

→ If you want to add a person from the address book, click Select from address book in the top right-hand corner. For more details, see 4.1 Adding a contact from the address book to an application.

  - Fill in the remaining empty fields.

→ If you want to add a new person, enter the applicant’s name, address and contact details.

  - Fill in the Address line 1 field and/or Postal code field as appropriate. Note that you must fill in at least one of the two fields.

→ Click Next.

A new applicant has now been added.
Applicant is represented by an employee (EP only)

If you are adding an applicant and this applicant is a legal entity with a principal place of business in one of the EPC contracting states, you can indicate that the applicant is represented by an employee.

→ If applicable, select the check box **The company is represented by the following employee acting pursuant to Article 133(3) EPC.**
→ Enter the first name, last name and general authorisation number of the employee representing the company.
8.3.2. Adding a representative (EP procedure)

If you are using Form 1038 for an EP procedure, you can add a representative if you did not enter another party, e.g. an applicant.

→ In the Representative tab, click Add representative.

→ Select the representation type: Association of representatives, Authorised representative or Legal practitioner.

→ Click Next.

→ If you want to add a person from the address book, click Select from address book in the top right-hand corner. For more details, see 4.1 Adding a contact from the address book to an application.
  
  → Fill in the remaining empty fields.

→ If you want to add a new person, enter the representative's name, address and contact details.
– Fill in the **Address line 1** field and/or **Postal code** field as appropriate. Note that you must fill in at least one of the two fields.

→ Enter the **Name of represented party**.

→ Click **Next**.

A new representative has now been added.

![Add representative form](image)

**Figure 240 – Example of an association of representatives**

### 8.3.3. Adding an agent (PCT procedure)

If you are using Form 1038 for a PCT procedure, you can add an agent if you did not enter an applicant.

→ In the **Agent** tab, click **Add agent**.

![Agent tab](image)

**Figure 241 – Adding an agent**

→ Select the agent type: **Legal entity** or **Natural person**.

→ Click **Next**.

→ If you want to add a person from the address book, click **Select from address book** in the top right-hand corner. For more details, see 4.1 Adding a contact from the address book to an application.

→ Fill in the remaining empty fields.

→ If you want to add a new person, enter the agent's name, address and contact details.
− Fill in the **Address line 1** field and/or **Postal code** field as appropriate. Note that you must fill in at least one of the two fields.

→ Enter the **Name of represented party**.

→ Click **Next**.

A new agent has now been added.

![Add agent](image)

*Figure 242 – Example of an agent*

### 8.4. Requests (EP procedure)

In the EP procedure, you can use Form 1038 to either create a specific request under the programme for accelerated prosecution of European patent applications (PACE) or submit an **enquiry as to the processing of the file** as a request.

More information is available online:

- Notice from the European Patent Office dated 30 November 2015 concerning the programme for accelerated prosecution of European patent applications ("PACE"), **OJ EPO 2015, A93**
- Notice from the European Patent Office dated 2 August 2016 concerning the handling of enquiries as to the processing of files, **OJ EPO 2016, A66**

The PACE request (Form 1005) is a non-public submission, whereas the enquiry as to the processing of the file (Form 1012) is a public submission. Public and non-public submissions must be filed separately (see 8.6.2 Non-public documents in the EP procedure).
You can file a submission either by creating a PACE request or an enquiry as to the processing of the file – not both – in the Requests tab, or, alternatively, by attaching one of the two forms as a PDF file in the Documents tab.

You can choose one of these four options as appropriate:

1) Create a PACE request in the Requests tab
2) Create an Enquiry as to the processing of the file in the Requests tab
3) Attach the non-public document type Request for accelerated search/examination in the Documents tab.
4) Attach the document type Enquiry as to the processing of the file in the Documents tab.

8.4.1. Creating a request

The Requests tab is only visible in Form 1038 if the procedural phase is Filing, Search, Examination or All procedures and the party type is Applicant.

→ To create a request, click Add request.

The Add request dialog box opens, allowing to select one of the two request types.

Figure 243 – Adding a request

8.4.2. Request for accelerated search/examination (PACE request)

To file a request for accelerated search or accelerated examination under the PACE programme, you can either create the request electronically or attach a PDF file in the Documents tab. No fees are due for this request.

→ To create the request electronically, go to the Requests tab and click Add request.

→ In the Add request dialog box, under PACE request, select the option Under the programme for accelerated prosecution of European patent applications, I/we hereby request that the European patent application specified in the Application tab undergo:

→ Click Next.
Select the appropriate request: **Accelerated search** or **Accelerated examination**.
→ Click **Next**.

CMS generates a PDF file with the information you indicated. When you sign the Form 1038, the same signature will also be applied to the PACE request.
→ To view the request as a PDF file, click the **Review** task.
   The Form 1038 opens in the **Document preview** window.
→ Click **epf1005.pdf** in the list on the left.
   In the electronic PDF form, the box for the selected request is selected.
Sending two PACE requests with the same form is not possible. If you create a PACE request in the Requests tab and then attach the non-public document type Request for accelerated search/examination in the Documents tab, a red validation icon will appear in both the Requests and Documents tabs.

![Figure 246 – Previewing the PACE request in the Document preview](image)

![Figure 247 – Validation messages if a PACE request is created and the document type "Request for accelerated search/examination" is attached in the "Documents" tab](image)
8.4.3. **Enquiry as to the processing of the file**

To submit an enquiry as to the processing of the file, you can either create the request electronically or attach a PDF file in the **Documents** tab. No fees are due for this request.

![Figure 248 – Selecting the “Enquiry as to the processing of the file” option](image)

An enquiry as to the processing of the file is a public submission.

→ To upload the enquiry as a PDF file, use the official **Form 1012** which you can download from the EPO website under **Service & support > Forms**. You can only select **Enquiry as to the processing of the file** in the **Documents** tab if the procedural phase is **Filing, Search, Examination** or **All procedures** and the party type is **Applicant**.

→ To create the request electronically, go to the **Requests** tab and click **Add request**.

→ In the **Add request** dialog box, under **Enquiry as to the processing of the file**, select the option **I/We hereby enquire when the EPO will deliver the (supplementary) European search report/next communication for the application/patent specified in the Application tab**.

CMS generates a PDF document with the information you indicated. When you sign the Form 1038, the same signature will also be applied to the enquiry.

→ To view the enquiry as a PDF file, click the **Review** task.

The Form 1038 opens in the **Document preview**.

→ Click **epf1012.pdf** in the list on the left.

The electronic PDF form displays the text of the enquiry and the application/patent number.
Sending two enquiries as to the processing of the file with the same form is not possible. If you create an enquiry in the Requests tab and then attach the document type Enquiry as to the processing of the file from the Requests category in the Documents tab, a red validation icon will appear in both the Requests and Documents tabs.

8.5. Priority claim

In the Priority claim tab, you can enter details of the priorities you wish to claim. You can declare more than one priority.

You may upload a document with type Request for retrieval of priority document from DAS multiple times so the type does not disappear from the drop-down menu under the relevant category if it has already been used.
Document type **Request for retrieval of priority document from DAS** is a public document.
The assigned file name as displayed on the PDF of form 1038 for this document type is 1013.pdf.
The document type for F1013 – **Request for retrieval of priority document from DAS** (EP procedure) – is available in the following "procedural" document categories:

- “Filing”
- “Search”
- “Examination”
- “All Procedures”

![Figure 251 – Document type “Request for retrieval of priority document from DAS”](image)

### 8.6. Documents

In the **Documents** tab, you can add various subsequently filed documents to your application. Depending on the procedure (EP or PCT), the capacity of the EPO (PCT procedure), the procedural phase (EP procedure) and the party type (EP procedure) selected, different document types can be attached. CMS will only offer options for those document types that apply to the individual application you have opened. For example, if you want to add documents for an application in the examination phase, the document type list will not display appeal-related documents.

#### 8.6.1. Adding documents

→ In the **Documents** tab, click **Add document**.
→ Click **Browse…**, navigate to the file's storage location and click **Open** to select it.
→ Click a category header to expand the list of document types in that category.
→ Select the appropriate document type.
   If the document type you want to upload is not in the list, it is likely that you selected the wrong procedural phase or capacity. For more information on how to change the procedural phase or capacity, see 8.1.3 Subsequent filing in the EP procedure and 8.1.4 Subsequent filing in the PCT procedure.
→ When adding an **Other document**, enter a description for the type of document in the **Specify** field.
→ Click **Upload**.
   A new document is uploaded and is displayed under **Application documents** in the **Documents** tab.
→ If required, you can add more documents by repeating the above procedure.
8.6.2. Non-public documents in the EP procedure

When using Form 1038 for filing documents with the EPO in the EP procedure, you can upload documents from the Non-public category, for example a request for accelerated search/examination (PACE request).

If you attach a non-public document, you cannot use the same form for filing a public document, filing a public request or selecting a fee related to public submissions ("public fee"). Please use separate forms for all public and non-public submissions to the EPO.

This means that non-public documents can only be attached in combination with a non-public request (i.e. PACE request) and non-public fees:

- If you have selected **Enquiry as to the processing of the file** in the Requests tab (public request), you cannot attach a non-public document.

When selecting non-public requests and/or filing non-public documents, the only fees that can be paid are fees 029 and 030 (see 0
The validation messages for the Documents and Fees sheet tabs inform you if a combination of documents, requests and fees is not allowed.

![Figure 254 – Example of validation messages if a non-public document is attached in combination with a public document, a public request and a public fee](image)

Sending two PACE requests with the same form is not possible (see 8.4.2 Request for accelerated search/examination (PACE request)). If you create a PACE request in the Requests tab (accelerated search or accelerated examination) and then attach the non-public document type Request for accelerated search/examination, a red validation icon will appear in both the Requests and Documents tabs.
8.6.3. Working with uploaded documents

In the **Documents** tab, the documents are grouped into two sections: **Application documents** and **Other documents**.

- Any files you upload with **Add document** are displayed under **Application documents**.
- Files generated by the system are grouped under the heading **System-generated** under **Other documents**. For example, if you execute the **Export** task you will find an **Export file** item in this group.

You can download, edit or remove a document using the action icons to the right of the document details.

→ To download a PDF copy of a document, click the **Download document** icon 📄. Depending on your browser's settings, you are prompted to select a folder and to enter a file name, or the file is automatically saved to your default download folder. The file name of the downloaded PDF document is created by CMS, e.g. `090000c980016799.pdf`.

→ To edit the document information, e.g. to change the document type or to change the language, click the **Edit document** icon ✒.
   - In the **Edit document** dialog box, edit the document properties as appropriate.
→ To remove the document from the form and delete the uploaded file in CMS, click the **Remove document** icon ❌.
If you want to preview the form and the document attachments in the PDF viewer, you can use the **Review** task (see 2.7.4 Reviewing and downloading forms and documents).

### 8.7. Fee sheet

Paying fees is not a required step when filing with Form 1038, but is one of the purposes for which this form can be used.

The **Fee sheet** tab gives an overview of the fees you have selected to pay.

Please note that the calculation in the fee sheet is not complete until the **Pay fees** task has been executed.

After the **Pay fees** task has been executed, you can view the details in the **Fee sheet** tab.

→ Click the icon to edit the fee sheet, i.e. to modify the payment details or the fee selection.

→ Click the icon to expand the fee sheet.

→ Click a fee in the **Fee sheet** to view its details.

---

**Figure 256 – List of uploaded documents in the “Documents” tab**

**Figure 257 – Viewing the fees in the “Fee sheet” tab**
The fee details are displayed.

![Fee sheet](image)

*Figure 258 – Viewing fee details*

The fee sheet has the following fee status indication:
- **Due** – these are the fees that are due for payment.

### 8.8. Dates

The **Dates** tab displays the date of receipt (the date the Form 1038 application was received by the EPO).

![Dates](image)

*Figure 259 – "Dates" tab*

### 8.9. History

The **History** tab gives an overview of the data entry history. The following actions are displayed in the **History** tab:
- Executing a task from the task list
- Adding data
- Editing data
- Removing data
- Actions performed by the system

Each item can be expanded to view the details.

If you created the Form 1038 based on a previously filed application in CMS, you can find details and a link to that application in the **Related application** item.
8.10. Paying fees

You can pay the fees at any time as long as the application has Draft status. After the Pay fees task has been executed, the correct amount is shown on the fee sheet. If changes to the application are made after the Pay fees task has been executed, the fees will be recalculated. The Sign task will disappear and you will need to execute the Pay fees task again.

Since a Form 1038 can be used to send a note or document to the EPO or to pay fees, you will need to enter a minimal set of mandatory information. The information needed to calculate the fee amounts depends on the fees you want to pay. You will be asked to provide this information after selecting the fees, where applicable.

→ To specify the mode of payment and select individual fees, click Pay fees under Next steps.

The Payment dialog box opens.

8.10.1. Mode of payment

In the Payment dialog box, you must select one of the following options:

• Automatic debit order – if you select this mode of payment, the EPO will calculate the fees payable using the information provided in your application and will debit this
amount direct from your EPO deposit account. With this option you do not select the fees yourself in the Fees dialog box.

- In EP submissions with Form 1038, the **Automatic debit order** option is only available for the proprietor(s) of the patent and if **Opposition** is selected as the procedural phase.
- **Bank transfer** – if you select payment by bank transfer, you must transfer the fees to the EPO’s bank account at the Commerzbank AG, München.
- **Credit card** – if you select payment by credit card, please go to EPO fee payment service at the EPO website to effectively execute the payment.
- **Debit from deposit account** – if you select this mode of payment, the relevant fees will be debited directly from your EPO deposit account.
- **Not specified (no payment at this time)** – if you are not sure how you will be paying your fees, you can indicate Not specified (no payment at this time).

| EPO deposit account numbers start with 28 followed by six digits (28nnnnnn). |

→ Select the applicable **Mode of payment**.
Depending on your selection, the dialog box will display further fields and options.

**Automatic debit order**
→ If you select **Automatic debit order**, fill in the fields **Deposit account number** and **Account holder**.

**Bank transfer**
→ If you select **Bank transfer**, the details of the bank account held by the EPO at the Commerzbank AG, München will be displayed.

**Credit card**
→ If you select **Credit card**, the term when fees and costs will be paid by credit card after filing, will be displayed.

**Debit from deposit account**
→ If you select **Debit from deposit account**, fill in the fields **Deposit account number** and **Account holder**.
→ Optionally, you can select the **Yes** radio button at **Defer payment**.
  → If applicable, enter the **Charge debit account on** date.
Note: The date for **Defer payment** may not be later than 40 days from today’s date.

**Further options**
→ Optionally, you can select the check box **Reimbursement, if any, to be made to deposit account with the EPO**.
  → If applicable, fill in the fields **Deposit account number** and **Account holder**.
→ Click **Next**.
If **Automatic debit order or Not specified (no payment at this time)** is selected, the **Payment** dialog box closes.

If **Bank transfer, Credit card** or **Debit from deposit account** is selected, the **Fees** dialog box opens (see 8.10.2 Selecting fees).

### 8.10.2. Selecting fees

Depending on the selected procedural phase (EP procedure) or capacity of the EPO (PCT procedure) the **Fees** dialog box displays all or some of these four fee groups:

- Standard fees
- Optional fees
- Renewal fees
- Other fees

Per fee group, the number of selected fees is displayed. Example: (0 of 3 selected).

→ Click the ➤ icon in a fee group to expand the view and to show the fees belonging to this group.

→ By selecting or clearing the check boxes within a fee group, you can select a fee or clear the selection.

The **Total** under the **Amount to pay** column is automatically updated.

→ Click **Next**.
After you select the fees, CMS checks the information in your application to ascertain whether more information is required to calculate the fees correctly. Where applicable, a separate dialog box will open that allows you to enter the required data. For example, if you selected the **Claims fee for 16th up to 50th claim** (fee 015) you are requested to enter the number of claims.

- Enter the required additional information.
- Click **Next**.
The fees will be calculated and the final fee sheet will be presented. → Click Next.

Figure 265 – Calculation of the fees using additional information is ready
8.10.3. Non-public fees in the EP procedure

When using Form 1038 for filing documents with the EPO in the EP procedure, you can select specific fees related to non-public submissions ("non-public fees"). Some non-public fees are restricted to certain conditions. If you select a non-public fee, you cannot use the same form for paying a public fee, filing a public request or submitting a public document. Please use separate forms for all public and non-public submissions to the EPO.

This means that non-public fees can only be selected in combination with a non-public request (i.e. PACE request) and non-public documents (see 8.6.2 Non-public documents in the EP procedure).

The non-public fees are listed under Optional fee(s):

- 029 – Certified copy (application, priority document, patent certificate, other documents)

and Other fee(s):

- 030 – Communication of information from the files of a European patent application

The validation messages inform you if a combination of fees, requests and documents is not allowed.

![Validation messages example](image)

**Figure 266 – Example of validation messages if a non-public fee is selected in combination with a public fee and a public request**
8.10.4. Updating the fee sheet

You can edit a fee sheet after you have executed the Pay fees task if the Form 1038 application is still in Draft status.

→ Go to the Fee sheet tab.
→ In Fee sheet, click the ✒ icon.
   The Payment dialog box opens.
→ Edit the fee details.
→ Click Next.
   The Fee sheet is updated.

8.11. Signing and submitting an application

The steps for signing and submitting an application are explained in chapter 9 Processing applications.
9. Processing applications

Once a draft has been created, additional actions are required before the application can be submitted to the EPO:

- Preparing documents for attachment
- Uploading documents to CMS by adding documents to the application
- Signing the application by one of the methods accepted by the EPO
- Submitting the application

9.1. Preparing documents for attachment

9.1.1. Accepted file types

Depending on the type of document to be uploaded, the following file types are accepted when attaching documents in the Documents tab.

<table>
<thead>
<tr>
<th>File type</th>
<th>Document type</th>
<th>Procedure</th>
</tr>
</thead>
<tbody>
<tr>
<td>PDF</td>
<td>All document types, sequence listings in image format</td>
<td>EP, Euro-PCT, PCT</td>
</tr>
<tr>
<td>APP, SEQ, ZIP</td>
<td>Sequence listings in text format</td>
<td>EP, Euro-PCT</td>
</tr>
<tr>
<td>TXT</td>
<td>Sequence listings in text format</td>
<td>EP, Euro-PCT, PCT</td>
</tr>
<tr>
<td>ZIP</td>
<td>Pre-conversion archives (containing text and image files not converted to PDF)</td>
<td>EP, Euro-PCT, PCT</td>
</tr>
<tr>
<td>XML</td>
<td>Technical documents (PatXML files)</td>
<td>Form EPO 1001, Form PCT/RO/101</td>
</tr>
<tr>
<td>ZIP</td>
<td>Technical documents (XML/PatXML) with referenced images (TIF, JPG, Annex F-compliant), to be uploaded as one ZIP archive</td>
<td>Form EPO 1001, Form PCT/RO/101</td>
</tr>
</tbody>
</table>

9.1.2. Reserved file names

The following file names are reserved and may not be used for files to be attached to the application in the Documents tab. This is because these files are automatically generated by the system.

These reserved file names are not case-sensitive. Therefore, uploading a file with a similar file name but with one or more upper-case letters is also not allowed.

<table>
<thead>
<tr>
<th>Reserved file name</th>
<th>Procedure</th>
</tr>
</thead>
<tbody>
<tr>
<td>application-body.pdf</td>
<td>EP, Euro-PCT, PCT, SFD (Form 1038)</td>
</tr>
<tr>
<td>declarations.pdf</td>
<td>PCT</td>
</tr>
<tr>
<td>ep-cms-sfd-request.pdf</td>
<td>SFD (Form 1038)</td>
</tr>
<tr>
<td>ep-request.pdf</td>
<td>EP</td>
</tr>
<tr>
<td>epf1005.pdf</td>
<td>SFD (Form 1038)</td>
</tr>
<tr>
<td>epf1012.pdf</td>
<td>SFD (Form 1038)</td>
</tr>
<tr>
<td>epf1200.pdf</td>
<td>Euro-PCT</td>
</tr>
<tr>
<td>epr193-n.pdf (where n is a natural number)</td>
<td>EP</td>
</tr>
</tbody>
</table>
9.1.3. Generating PDF files

The PDF file format is suitable for all documents containing text or images. For example, you can store additional notes relating to your application in PDF or scan original documents not available in online form and convert them into PDF files.

To ensure that the PDF you have created will be accepted by CMS, you can use the Amyuni PDF converter available from EPO Customer Services (for contact details, see 1.1 Contacting EPO Customer Services).

Besides Adobe Acrobat®, there are many other products on the market that generate PDF documents. You can use any software which produces compliant PDF documents in a format compatible with Adobe Portable Document Format version 1.4 (Acrobat version 5 or higher).

9.1.4. Generating XML files

Various software products are available from national and international patent offices that allow users to generate XML files that meet their standards. The EPO recommends using PatXML or PCT-SAFE.

PatXML (EPO)

The PatXML software is available for download from the EPO website free of charge. PatXML is based on Microsoft Word® and supports you with built-in EPC rules. You can create your patent documents in the familiar Word environment or import existing patent documents. PatXML saves the patent document as an XML file with the extension .pxml. When you insert drawings as image files into a patent document, PatXML converts them into Annex-F-compliant TIFF files, which are referenced in the XML code. These TIFF files are stored in the same working folder as the .pxml file.

To prepare an XML file with images for upload into CMS, you must create a ZIP file containing the .pxml file and all TIFF files.

More information about PatXML can be found on the EPO website at Applying for a patent > Online services > Online Filing > Download auxiliary software.
PCT-SAFE (WIPO)
For information about the PCT-SAFE software, see the WIPO website at IP Services > PCT > PCT Electronic Services.

9.1.5. Annex F compatibility requirements
The EPO and WIPO can only accept documents which are compliant with Annex F. A full version of Annex F can be found on the WIPO website under PCT Treaty, Regulations and Administrative Instructions (http://www.wipo.int/export/sites/www/pct/en/texts/pdf/ai_anf.pdf).

Annex F standards for PDF files
- PDF files must be compatible with Adobe PDF version 1.4 or higher.
- The text in the PDF files must not be encrypted.
- PDF files must not contain any embedded OLE objects.
- The text in PDF files must not be compressed.
- Any fonts used in the PDF file must be embedded and licensed for distribution, except the Base 14 fonts available in PDF reader software compatible with the Adobe PDF standard:
  - Courier (standard, bold, italic, bolditalic)
  - Helvetica or Arial (standard, bold, italic, bolditalic)
  - Times or Times New Roman (standard, bold, italic, bolditalic)
  - Symbol
  - ZapfDingbats
- The paper size must not exceed 312 x 227 mm (A4 is recommended, i.e. 210 x 297 mm plus an additional 5% tolerance).
- PDF files must not be digitally signed (except for US certified priority documents).

Annex F standards for image formats
The allowed image formats are TIFF (Tagged Image File Format) and JFIF (JPEG File Interchange Format).

1) TIFF facsimile (black and white) images for use in IA document exchange must meet the following requirements:
   a) TIFF V6.0 with Group 4 compression, single strip, Intel encoded.
   b) Resolution of either 300 or 400 dpi
   c) Color space set to grey scale
   d) Maximum size: whole pages should be either A4 or Letter size, however the recommended maximum size is 255 mm by 170 mm.

2) JFIF images for use in IA document exchange must meet the following requirements:
   a) Resolution of either 300 or 400 dpi
   b) Color space set to grey scale
   c) Maximum size of 255 mm by 170 mm.

9.2. Uploading documents
When you upload documents to an application, CMS performs a series of checks on each individual file. If your file cannot be uploaded or is not valid, you will be notified during the various steps of the interaction:
- in the Add document dialog box
• by a special dialog box with a warning message
• by a level 1 validation message (red icon) in the Documents tab.

9.2.1. File names assigned by CMS

When you upload a document in the Documents tab of an application, CMS automatically assigns the appropriate EPO system name for the selected document type. Your original file name is saved in the document record. You can prepare your documents with file names containing special characters like accented vowels or umlauts.

In the example below, two documents have been added to a Form 1038 (EP procedure):

- José Corallo's Representation.pdf as Document concerning representation – the assigned file name is FREP-1.pdf
- Drawings.pdf as Drawings – the assigned file name is DRAW-1.pdf

![Figure 267 – Uploaded documents with file names assigned by CMS](image)

9.2.2. Annex F validation

CMS displays a red validation message if the document is not compliant with the Annex F standards. You must replace the document with an Annex F-compliant file before you can sign and submit the application.
9.2.3. Files rejected by CMS

Uploaded file rejected by virus scanner
When CMS virus scanner detects that the file you are trying to upload is malicious, the virus scanner will reject the file and you will be notified by a message.
Uploaded file rejected because file size limit is exceeded
When the file you are trying to upload exceeds the file size limit of 50 MB, the file is rejected by CMS and you will be notified by a message.

![Image of rejected file message]

*Figure 270 – Message when uploaded file exceeds the file size limit*

### 9.2.4. Changing the document type

If you selected the wrong document type for an uploaded PDF file, you do not need to remove the document entirely and attach it again, but you can change the document type later.

→ Click the edit icon in the **Documents** tab.

![Image of document tab]

*Figure 271 – The wrong document type is indicated in an EPO Form 1001 application*

The **Edit document** dialog box opens.

→ Select the correct document type.

→ Click **Next**.

The new document type is saved.
9.2.5. Correcting the language of a document

When you upload a PDF document to an application, CMS automatically detects the language if this is English, French or German. If the language of the document cannot be identified correctly, e.g. if the documents contains only drawings or the text is in Chinese characters, Other is displayed as the document language in the Documents tab. In a PCT/RO/101 application, a red validation icon will indicate that the set of drawings is not in an official language of the EPO.

→ To correct the document language, click the edit icon in the Documents tab.

The Edit document dialog box opens.

→ Select the correct language.

→ Click Next.
9.3. Signing the application

Once all the mandatory information has been entered, the application can be signed by a CMS user with appropriate user rights. The valid signature of at least one authorised person is required. The data in the form can no longer be edited after it has been signed.

9.3.1. Types of signature

CMS accepts two legally recognised types of signature:

- **Alphanumeric** – alphanumeric signatures consist of a string of characters (letters and/or numbers) between two forward slashes, e.g. */Jane Doe/*.
  - When entering an alphabetical signature in CMS, you do not need to type the slashes. They will be automatically added.

- **Facsimile** – facsimile signatures are files in TIFF format containing an image of a handwritten signature.
  - You can only use TIFF (*.tif) files (Annex F-compliant).
  - The file name must not contain any spaces or special characters.

- An application can contain multiple alphanumeric and/or facsimile signatures.
9.3.2. Steps in the signing process

The process of signing is basically the same in all CMS forms. There are some extra options in the Signature dialog box depending on the selected procedure and which person types have been added to the form. For more details and examples, see the relevant chapters for each form.

The following describes the general signing process using an EPO Form 1038 application as an example. **Filing** is the selected procedural phase, a translation document has been attached and a representative has been indicated as the sender of the application.

**Starting the signing process**
→ Open the application to be signed.
→ Click **Sign** under **Next steps**.

![Figure 275 – Example of an EP 1038 application ready to be signed](image)

**Previewing the form before signing**
The **Preview** dialog box opens, where you can check your application and the uploaded documents before finally signing the form. You can use the tools in the PDF viewer to zoom, save or print documents.
→ To proceed with signing, click **Next**.
Applying a signature

The Signature dialog box lists the persons indicated in the application.

→ Select the signatory.
→ In this example, you can either select the representative or add another person by selecting the <Other> option.
→ Select the type of signature.
  → If you select Alphanumeric, enter the signature as it should appear on the form into the Alphanumeric signature field.
  → If you select Facsimile, click Browse… to upload the signature image file.
→ Enter the Place of signing (optional).
→ Click Sign.

The Signature dialog box closes and you are redirected to the Application tab.
Adding other signatories (optional)

If required, you can add more signatures to the form.

→ Click **Sign** under **Next steps**.
   
   The **Signature** dialog box opens.
   
   In this example, the representative has already signed the application, therefore his name does not appear in the list anymore.

→ To add another person, select the **<Other>** option.

→ Enter the name of the signatory into the **Other name** field.

→ Select the **Capacity** of the signatory.
   
   In this example of an EP Form 1038 application, **Applicant** and **Representative** are available because **Filing** is selected as the procedural phase in the **Application** tab.

→ Select the type of signature and apply the signature.

→ Click **Sign**.
   
   The **Signature** dialog box closes and you are redirected to the **Application** tab.
9.3.3. Reviewing the signed form

After a signature has been applied to the form, you are redirected to the Application tab. The status of the application is now Signed.

→ Click the icon to expand the view.
The signatories are listed under Signature request.
→ If you want to verify the signatures, click Review under Tasks.

Figure 279 – Application with two signatures is now in “Signed” status

The Document preview window opens.
The signatures of the signatories are displayed in the form.
If filing with EP Form 1038, the smart card details of the CMS user who signed the application will also be printed in the form.

Figure 280 – Previewing signatures in the form
9.3.4. Removing signatures

After the application has been signed, **Remove signature** becomes available under **Next steps.** You can use this task to remove signatures that have been wrongly added to the form. The application will return to **Draft** status after all signatures have been removed.

→ Click **Remove signature** under **Next steps.**
   The **Signature** dialog box opens.
→ Select the signature(s) to be deleted.
→ Click **Next.**
   This will immediately remove the signature(s) from the form without further confirmation.
   The **Signature** dialog box closes.

![Remove signature dialog box](image)

*Figure 281 – Selecting the signature to be removed*

9.4. Submitting applications

Once your application has been signed using the **Sign** task, the application status changes to **Signed** and the **Submit** task becomes available. As part of the signing process, CMS generates an export file package (WAD file) that will now be submitted to the EPO. You can submit applications individually from the form view or you can start a batch submission using the **Submit** tool in **My (demo) applications** (see 9.4.4 Batch submission).

9.4.1. Submitting from the form view

→ Open the application you want to submit.
→ Click **Submit** under **Next steps.**
The **Preview** dialog box opens.

→ If applicable, click **Open document** to check the WAD file.

The WAD file is a ZIP file that you can open or download to your computer. The WAD file contains the PDF form, the attached PDF documents and the XML files to be transmitted to the EPO.

→ Click **Submit**.

The application is sent to the EPO now.

The status of the application changes to **Submitted**.

The progress bar in the application indicates when the acknowledgement of receipt will be ready.
9.4.2. Downloading the acknowledgement of receipt

If you submit a new application using Form PCT/RO/101, Form EP 1001 or Form Euro-PCT 1200, the EPO assigns it a new application number on receipt. The application number is part of the header, i.e. the basic data displayed in the upper part of the screen.

→ To open or download the acknowledgement of receipt as a PDF file, click the link **Acknowledgement of receipt** below the application number.

![Figure 285 – Application number with link to download acknowledgement of receipt](image)

You can also download the acknowledgement of receipt in the **Documents** tab.

→ Under **Other documents**, expand the **System-generated** section.

→ To download a PDF copy of the acknowledgement of receipt, click the **Download document** icon 📄.

![Figure 286 – Downloading the acknowledgement or receipt from the "Documents" tab](image)

In addition, you will find a message in the **Inbox** notifying you that the acknowledgement of receipt is ready and can be viewed.
9.4.3. Exporting submitted applications

You can download the export file of a submitted application as soon as the submission process has completed.

→ Under Tasks in the right-hand corner of the screen, click the link Export file. The data is downloaded as a ZIP archive file which includes the acknowledgement of receipt (PDF file).

If the export file exceeds the maximum file size limit (90 MB), the system will not download the data but displays a pop-up message (see 2.7.5 Exporting an application).

Alternatively, you can
- export multiple applications in My applications (see 2.1.6 Exporting signed or submitted applications from CMS)
- download the export file from the Documents tab (see 2.7.5 Exporting an application)

9.4.4. Batch submission

→ To submit several signed applications at the same time, go to My applications and select the applications as appropriate.
→ Click Actions > Submit.

The Submit dialog box opens and displays a list of the selected applications.

→ Verify that these are the correct applications to be submitted.
→ To cancel the submission, click Cancel.
→ To confirm and immediately start the submission process, click **Submit**.

![Submit dialog box](image)

**Figure 290 – Reviewing the list of applications and submitting the batch**

The applications are sent to the EPO now. The progress bars in the **Submit** dialog box indicate when the acknowledgements of receipt will be ready for the submitted applications.

![Submit dialog box](image)

**Figure 291 – Batch submission progress**

Upon submission to the EPO, the **Submit** dialog box remains open and provides links to download the acknowledgements of receipt and export files for all submitted applications.

→ To download an individual file, click the link **Acknowledgement of receipt** or **Export file** in the relevant row.

→ To download all acknowledgements of receipt, click **All acknowledgements of receipt**.

The downloaded ZIP file contains a PDF file for each application which is named by the applicant’s reference, the procedure and the form, e.g. **PCT-001-B-1038-PCT-1038.pdf**.

→ To download all export files, click **All export files**.

The downloaded ZIP file contains a ZIP file for each application which is named by the applicant’s reference, the procedure and the form, plus the date and time of submission, e.g. **1038-PCT-01_PCT_1038_20160223-1452.zip**.

→ To close the **Submit** dialog box and return to **My applications**, click **Close**.
9.4.5. **Error messages when submitting applications**

If an error occurs in the processing of your application, you will be notified by way of a message in your inbox. You may find one of the following error messages:

**Your submission was unsuccessful. Please resubmit your application or contact the EPO.**
An error occurred when you submitted your application. If this happens, the status of your application is reset to **Signed**. **Resubmit application** now appears in the task list of the application. Resubmit your application by clicking the task **Resubmit application**. If the problem persists, contact EPO Customer Services for further assistance. They are open Monday to Friday, 08.00-18.00 hrs CET, +31 (0)70 340-4500 or support@epo.org.

**Your application has been submitted and is being processed, but a problem has been encountered. The EPO is looking into the issue and will notify you when it is resolved.**
Your application has been submitted, but a technical error has occurred in sending the system-generated technical files (receipt.zip, header.wasp, receipt.wasp or blob.wasp), application number and date of receipt to your application. The EPO is automatically notified of this problem and is looking into the issue. When the problem is resolved, the following message will be sent to your inbox: **Your final export file has been created and is available for download.**

**Your final export file has been created and is available for download.**
The technical error of which you were previously notified with the error message **Your application has been submitted and is being processed, but a problem has been encountered. The EPO is looking into the issue and will notify you when it has been resolved.**
The system-generated technical files (receipt.zip, header.wasp, receipt.wasp or blob.wasp), application number and date of receipt have been sent to your application. The final export file has been generated and can be found together with the other system-generated technical files in the **Documents** tab of your application. The application number is shown in your application and the date of receipt is shown in the **Dates** tab.
10. **Importing applications**

CMS allows you to import individual applications from a patent management system (PMS) or from EPO Online Filing as ZIP files. You can import both regular applications and demo applications. To use the import function, you need appropriate procedural access rights in CMS, i.e. your user account rights should include the procedural form used in the application to be imported. For more details about the relevant user rights, see 11.4.5 Procedural access rights.

10.1. **Supported forms**

The import function can currently import the following forms:

- Form PCT/RO/101
- EPO Form 1001
- Euro-PCT Form 1200
- Form 1038 (EP and PCT)

CMS automatically detects the form that was used for the application to be imported.

10.2. **Preparing for import**

10.2.1. **Requirements for ZIP files**

A ZIP file has to meet the same requirements in CMS as it does in the EPO's Online Filing software, i.e.:

- it should be a valid ZIP (archive) file
- it should contain
  - XML files containing data that is otherwise entered manually, usually accompanied by relevant documents
  - an XML file for a form supported by CMS
  - all of the required XML files (see 10.2.2 XML files in the ZIP file)

Each XML file references a DTD file and must meet the validation requirements laid down in that DTD file (see the Technical information section on the EPO website at http://www.epo.org/applying/online-services/online-filing/documentation.html).

10.2.2. **XML files in the ZIP file**

Each form requires a different set of XML files (see lists below). The PCT procedure also accepts certain optional XML files. If one or more of the optional files is present but fails the DTD validation, it will be ignored during import. The names of the XML files do not matter, as long as the DTD file referenced from the XML file matches a DTD file for the relevant procedure.

- Form PCT/RO/101
  - package-data.xml
  - application-body.xml
  - request.xml
  - fee-sheet.xml
  - declaration.xml (optional)
- indication-bio-deposit.xml (optional)
- validation-log.xml (optional)

- EPO Form 1001
  - package-data.xml
  - application-body.xml
  - ep-request.xml

- Euro-PCT Form 1200
  - package-data.xml
  - application-body.xml
  - ep-euro-pct.xml

- Form 1038 (source: new online filing (CMS))
  - package-data.xml
  - ep-cms-sfd-request.xml

- EP Form 1038 (source: Online Filing)
  - package-data.xml
  - ep-sfd-request.xml

- PCT-SFD (source: Online Filing)
  - package-data.xml
  - pct-sfd-request.xml
  - pct-sfd-fee-sheet.xml

10.3. Importing a ZIP file

When you are sure that your ZIP file meets all the requirements, you can import it into CMS.

→ To import a regular application, go to Applications > My applications, open the New application menu in the toolbar and select Import from file.

→ To import a demo application, go to Applications > My demo applications, open the New demo application menu and select Import from file.

![Image of Importing a new application in "My applications"](image)

The Import file dialog box opens.

→ Click Browse… to select the ZIP file for upload.

→ Click Next.
After the ZIP file has passed the first validation stage (see 10.3.1 File validation by CMS), the Import file dialog box displays the name of the form. The reference, the title of invention and the name of the first applicant are displayed, provided that this data was found in the XML file.

If an application with the same reference already exists in CMS, you will be notified in the Import file dialog box. However, you can continue to import the file.

→ Verify the details and, if applicable, select a folder in which to store the imported application.
→ Click Next.

The ZIP file is now imported. Please be aware that this might take some time.

After the import has been completed, CMS displays the imported application.

→ Where applicable, review the import error report (see 10.3.2 Viewing the import report).
→ Where applicable, resolve the errors indicated by the red validation icons (see 10.3.3 Resolving import errors).

### 10.3.1. File validation by CMS

CMS checks the import file and analyses the data to ensure valid data is imported. The validation is executed in three stages:

**First stage: import file check**

The first validation stage is performed after you click Next in the Import file dialog box where you attach the ZIP file for upload.

The ZIP file is rejected if the validation detects that the file does not fulfil the requirements for a valid import file (see 10.2 Preparing for import).
If the file does not pass any of the validation criteria, CMS will display a notification and allow you to upload a new file.

**Second stage: data validation and import error report**
The second validation stage is performed after you click Next in the Import file dialog box displaying the basic application details.
This validation will not block the import process. At this stage CMS will try to import all data specified in the file. However, certain data cannot be imported for technical reasons, e.g., letters instead of numbers in a date field or a specific PMS option that is not recognised by CMS. All data that cannot be imported at this stage will be ignored and indicated in the import error report. The import error report is automatically generated by CMS and can be downloaded from the Documents tab as a PDF file.

**Third stage: error details in the form**
The final validation stage results in red validation icons where errors are detected in the imported application. These errors should be resolved manually by supplying or editing the missing or incorrect data.

**10.3.2. Viewing the import report**
The error report also provides an overview of all documents contained in the ZIP file and whether they were imported or not. An error report is not generated if CMS does not detect errors in the second validation stage.
→ In the imported application, go to the Documents tab.
→ Under Other documents, click the icon to expand the System-generated section.
→ In the expanded System-generated view, click the document type Report on import into CMS to see its details.
The Report on import into CMS expands and the details are shown.
→ Click Download to download the import error report.
The steps involved in importing the application are also recorded in the History tab. 
→ If this is interesting for you, click one of the History items for more details.

10.3.3. Resolving import errors
In the Validation messages box of the imported application, you can find a number of red validation messages.
→ To resolve the errors, click the icon to the right of the validation message. 
This will open the dialog box for that item of the application where the error was detected.

For example, if the record of the applicant is indicated as not valid, the Applicant dialog box opens when you click the icon. 
You will probably not be able to identify what is wrong at first glance. 
→ Click Next. 
The missing data or incorrect entries are detected and highlighted in red. 
→ Read the error notifications and amend the data as appropriate.
10.4. Exceptions for imported forms

10.4.1. EPO Form 1001 and Euro-PCT Form 1200: fee selection

When applicable for the payment method specified, CMS will import the fee selection for EPO Form 1001 and Euro-PCT Form 1200. Fee amounts will always be recalculated based on the data entered for the application and the latest fee schedule. But when a fee selection is imported, it will be loaded in the application when the Pay fees task is executed for the first time. The imported fee selection will then overwrite the default selection. However, any details specified in the Payment dialog box that lead to changes in the fee selection will, in turn, overwrite the imported selection.

Example:
Changes in the selection of the Additional copies or Late payment check boxes in the Payment dialog box of Euro-PCT Form 1200 will lead to changes in the fee selection.

The import error report will automatically be updated if (part of) the imported fee selection is ignored as a result of the aforementioned changes in the Payment dialog box. The imported
fee selections are only ignored if they are not relevant or the (updated) payment method does not allow these fees to be selected.

→ If you rely on the imported fee selection, please review the import error report after executing the Pay fees task to check whether any fees have been ignored.

10.4.2. Form PCT/RO/101: documents related to biological material

Indications of deposits of biological material can be indicated in the Biological material tab. Documents can be added in respect of each indication of deposit of biological material. However, the PCT data format does not allow you to specify how a particular document relates to a deposit of biological material.

Therefore, biological material is imported as follows:

- The check box A copy of the receipt(s) of deposit will be filed later is never selected during import. Where relevant, this check box should always be selected manually after import. A red validation message will be shown to remind you of this.

![Image of the Edit biological material screen](image)

*Figure 300 – The declaration "A copy of the receipt(s) of deposit will be filed later" is cleared during import*

- If an indication of deposit is imported, all provided documents related to biological material (Copy of the receipt(s) of deposit issued by the depository institution and Separate furnishing of indications) will automatically be linked to this one imported indication.

- If more than one indication of deposit is imported, all documents related to biological material will also be imported even though they cannot be linked to a specific indication. This means that a document should be removed manually when the relevant indication is removed.
11. Account management

CMS users with organisation administration rights have access to the account management functions in Account management.
In Account management, you can manage the individual access rights for other users in your organisation.

- Address book management (see 11.4.1 Address book management rights)
- Organisation administration (see 11.4.2 Organisation administration rights)
- Folder management (see 11.4.3 Folder management rights)
- Template management (see 11.4.4 Template management rights)
- Procedures (see 11.4.5 Procedural access rights)
- Task groups (see 11.4.6 Task group-related user rights)
- Access to applications (see 11.4.7 Right to access applications)
- Access to the organisation’s account (see 11.2.1 Registering a new user to your organisation and 11.2.2 Removing a user from your organisation)

11.1. Setting up organisation administration

When registering a new organisation in CMS, the person making this request should indicate to whom the organisation administration rights should be assigned. Otherwise, the EPO will assign these rights to the first user linked to the new organisation.
If you have organisation administration rights, you can also assign organisation administration user rights to other users in your organisation (see 11.4.2 Organisation administration rights).
Alternatively, you can contact EPO Customer Services (for contact details, see 1.1 Contacting EPO Customer Services) to have organisation administration rights assigned to a certain user in your organisation.

11.2. Managing users

The Users overview lists all users in your organisation.
You can filter and sort users according to:
  - EPO ID – this is the smart card number of the user
  - Name – this is the full name of the user

11.2.1. Registering a new user to your organisation

You can add a new smart card user to your organisation if this user is not already registered with another organisation.
If you experience problems when trying to register a new user to your organisation, please contact EPO Customer Services (see 1.1 Contacting EPO Customer Services).

→ In Account management, click Register new user to my organisation in the toolbar.
→ Enter the full name of the user, as displayed on the smart card, in the Name field.
→ Enter the Smart card number.
→ Click Next.
   You will be prompted to confirm whether you want to add this user to your organisation.
→ Click **Yes**.
   If the name and the smart card number match the smart card data registered with the EPO, you can proceed.
→ Select the applicable access rights and user preferences for this user.
→ Click **Next**.
   You will be directed to the **Users** overview.
   The user has been added to your organisation.

The **Register user history** tab in your own user account shows details of your previous actions (see 11.3.3 Register user history).

### 11.2.2. Removing a user from your organisation

You can remove a user from your organisation in CMS if this person does not work in your company anymore. You can only remove one user at a time.

→ In **Users**, choose a user by selecting the check box of the user you want to remove and click **Remove from organisation** in the toolbar.
   You are prompted to confirm that you want to delete the user in question.
→ Click **Yes**.

![Figure 301 – Removing user from organisation](image)

The user is now removed from your organisation and no longer has access to your organisation's account in CMS.

<i>The user is not permanently removed from CMS but is removed from your organisation. A user with organisation administration rights or the EPO can add this user to another organisation or reinstate this user in your organisation.</i>

### 11.2.3. Inbox messages relating to account management

The following account management actions will be reported to you by way of a message in your inbox:

<table>
<thead>
<tr>
<th>Action</th>
<th>Who will be notified</th>
</tr>
</thead>
<tbody>
<tr>
<td>A user is removed from an organisation</td>
<td>The user who is removed from an organisation will be notified that they no longer have access to this organisation's account.</td>
</tr>
<tr>
<td>Action</td>
<td>Who will be notified</td>
</tr>
<tr>
<td>--------</td>
<td>----------------------</td>
</tr>
<tr>
<td>A user is added to your organisation by the EPO and has no access rights to applications</td>
<td>The user who is added to your organisation will be notified that they will be unable to access any of the applications until the applicable user rights are assigned by their organisation administrator. Users with organisation administration access rights for this organisation will be notified and requested to assign the applicable rights to the added user.</td>
</tr>
</tbody>
</table>

11.3. **Viewing user details**

In the **Users** overview in **Account management**, you can access details of all users registered to your organisation.

→ To see a user's details, click the user's name.
→ To edit a user, select the relevant check box and click **Edit user** in the toolbar.

Figure 302 – Account management with "Users" overview

11.3.1. **User details**

The user details view contains the following tabs:

- User
- History
- Register user history

The **User** tab shows the user details including access rights and user preferences.

→ To edit the user details, click the pen icon in the upper right corner of the tab details area.
### 11.3.2. History

The **History** tab gives an overview of the user history. The following actions are displayed in the **History** tab:

- Editing user details
- Removing the user from an organisation
- Adding the user to an organisation
- Actions performed by the system

Each item can be expanded to view details about the action.

> The actions listed in the **History** tab may have been performed by you, by a user from your organisation with organisation administration rights or, at the request of your organisation, by the EPO.
11.3.3. Register user history

The **Register user history** tab shows the actions of the current user when performing the **Register new user to my organisation** task. The **Register user history** tab is empty for users without organisation management rights.

The following is a list of possible results when performing the **Register new user to my organisation** task:

- **No match** – the user cannot be added to your organisation, because no match was found with the name and smart card number supplied.
- **Other organisation** – the user cannot be added to your organisation because he/she is already registered to another organisation.
- **Current organisation** – the user is already registered to your organisation.
- **Added** – the user has been added to your organisation.
- **Not added** – the user has not been added to your organisation because you clicked **No** in the confirmation dialog box.
- **Found** – a match was found for the name and smart card number supplied but you closed the confirmation dialog box before confirming whether or not to add this user to your organisation (you did not click the **Yes** or **No** button in the confirmation dialog box).

11.4. Assigning user access rights

You can start editing a user from the **Users** overview or from the **User** tab in the user details view.

→ In the **Users** overview, select the check box of the user you want to edit and click **Edit user** in the toolbar.
→ In the **User** tab in the user details view, click the ** pena icon in the upper right corner.
→ The **Edit user** dialog box opens.
→ Select or clear the individual access rights as appropriate among these access right types:
  - Administration rights
  - Procedural access
  - Tasks
  - Access to applications
→ If applicable, also select the **Preferred language** and the **EP1001 default procedural language** for the user.
→ Click **Next**.
  The modified access rights or user preferences are now applied to this user.

<table>
<thead>
<tr>
<th>Username:</th>
<th>30002</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name:</td>
<td>Berenice Williams</td>
</tr>
<tr>
<td>Country:</td>
<td>Malta</td>
</tr>
<tr>
<td>Organisation:</td>
<td>Miller Associates</td>
</tr>
<tr>
<td>Administration rights:</td>
<td></td>
</tr>
<tr>
<td>Address book management</td>
<td>✓</td>
</tr>
<tr>
<td>Folder management</td>
<td></td>
</tr>
<tr>
<td>Template management</td>
<td></td>
</tr>
<tr>
<td>Organisation administration</td>
<td></td>
</tr>
<tr>
<td>Procedural access:</td>
<td></td>
</tr>
<tr>
<td>All procedures</td>
<td>✓</td>
</tr>
<tr>
<td>Form PCT/RO/101</td>
<td></td>
</tr>
<tr>
<td>EP Form 1001</td>
<td></td>
</tr>
<tr>
<td>Euro-PCT Form 1200</td>
<td></td>
</tr>
<tr>
<td>Form 1038</td>
<td></td>
</tr>
<tr>
<td>Tasks:</td>
<td></td>
</tr>
<tr>
<td>All tasks</td>
<td>✓</td>
</tr>
<tr>
<td>Draft form</td>
<td></td>
</tr>
<tr>
<td>Sign fees (PCT/RO/101)</td>
<td></td>
</tr>
<tr>
<td>Sign form</td>
<td></td>
</tr>
<tr>
<td>Submit form</td>
<td></td>
</tr>
<tr>
<td>Access to applications:</td>
<td></td>
</tr>
<tr>
<td>Demo applications only</td>
<td>✓</td>
</tr>
<tr>
<td>All (including demo applications)</td>
<td></td>
</tr>
<tr>
<td>Preferred language:</td>
<td></td>
</tr>
<tr>
<td>English</td>
<td>✓</td>
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<tr>
<td>French</td>
<td></td>
</tr>
<tr>
<td>German</td>
<td></td>
</tr>
<tr>
<td>EP1001 default procedural language:</td>
<td></td>
</tr>
<tr>
<td>No preference</td>
<td></td>
</tr>
<tr>
<td>English</td>
<td>✓</td>
</tr>
<tr>
<td>French</td>
<td></td>
</tr>
<tr>
<td>German</td>
<td></td>
</tr>
</tbody>
</table>

*Figure 306 – Assigning user access rights, administration rights and access to applications*

### 11.4.1. **Address book management rights**

Users can be assigned address book management rights allowing them to create, remove and organise address book items. The **Address book** (i.e. **My contacts**) is only visible for users with address book management rights.
Every user registered to your organisation has access to the same address book. The EPO therefore advises you to restrict access to address book management rights in order to maintain the integrity of the address book data.

Address book management rights allow users to select the following tasks:
- New item
- Remove
- Move to folder
- New folder
- Rename folder
- Remove folder
- Import address book
- Export address book

Users with address book management rights can also add a natural person or legal entity from an application to the address book by selecting the check box *Add to address book* in the dialog boxes for adding or editing persons. Other users do not see this check box, however, they can use the *Select from address book* function to copy contact details into a form. For more information, see 4.3.2 Adding a person or legal entity from an application to the address book.

→ To assign address book management rights to a user, select the relevant check box in the *Users* overview and click *Edit user* in the toolbar. The user details are displayed.
→ In the *Administration rights* section of the user details, select the check box *Address book management*.
→ Click *Next* to save the changes. The next time the user logs on to CMS, he can create, remove and organise address book items.

### 11.4.2. Organisation administration rights

Users can be assigned organisation administration rights allowing them to register new users to their organisation and to assign appropriate access rights to the users. *Account management* (i.e. *Users*) is only visible for users with organisation administration rights.

→ To assign organisation administration rights to a user, select the relevant check box in the *Users* overview and click *Edit user* in the toolbar. The user details are displayed.
→ In the *Administration rights* section, select the *Organisation administration* check box.
→ Click *Next* to save the changes.
When logging on to CMS the next time, this user can access Account management with all organisation administration rights.

### 11.4.3. Folder management rights

Users can be assigned folder management rights allowing them to assign access rights for specific users to a selected top-level folder (see 2.4.8 Managing folder access rights).

→ To modify a user's folder management rights, select the relevant check box in the Users overview and click Edit user in the toolbar. The user details are displayed.

→ In the Administration rights section, select or clear the Folder management check box as appropriate.

→ Click Next to save the changes.

Users without folder management rights

- cannot see the Edit access task in the Folder menu of the toolbar
- can see and use all top-level folders (including their sub-folders and applications) to which another user with folder management rights has granted them access
- can see and use all applications not stored in a folder in My (demo) applications
11.4.4. Template management rights

Users can be assigned template management rights allowing them to create, edit or remove templates and to organise templates with folders (see 3 Templates).

→ To modify a user's template management rights, select the relevant check box in the Users overview and click Edit user in the toolbar. The user details are displayed.

→ In the Administration rights section, select or clear the Template management check box as appropriate.

→ Click Next to save the changes.

Users without template management rights

- cannot create, edit or remove templates and folders in My Templates
- can access My Templates and view templates in read-only mode
- cannot use an existing application to create a new template
- can use a template to create a new application or demo application

11.4.5. Procedural access rights

Users can be assigned access rights for some or all procedures in CMS:

- Form PCT/RO/101
- EPO Form 1001
- Euro-PCT Form 1200
- Form 1038

Users can only select the specific forms, applications and templates for which they have been granted procedural access rights when they

- create a new application or demo application
- import an application
• create or use templates
• view applications in My applications or My demo applications

→ To assign procedural access rights to a user, select the relevant check box in the Users overview and click Edit user in the toolbar.
The user details are displayed.
→ In the Procedural access section, select the procedures as appropriate:
  – either select All procedures to assign user rights to all procedures
  – or deselect All procedures and select only specific procedures.
→ Click Next to save the changes.
The next time the user logs on to CMS, he can work with applications and templates in the selected procedures.

Example 1:
A user who was assigned procedural rights solely for Form PCT/RO/101 will only see PCT/RO/101 applications in My (demo) applications. The only form the user can select from the New application menu is Form PCT/RO/101.

![Figure 311 – "My applications" viewed by user with access rights restricted to Form PCT/RO/101](image)

Example 2:
A user who was assigned procedural rights solely for Form 1038 can create new applications with Form 1038, but cannot create a new Form 1038 from a submitted EPO Form 1001 application. The user will not see the EPO Form 1001 applications in My (demo) applications.

11.4.6. Task group-related user rights

Users can be assigned rights to perform specific tasks when working on applications relating to procedures they are authorised to perform. Individual user rights can be selected for the following task groups:
• Draft form
• Sign fees (PCT/RO/101 only)
• Sign form
• Submit form

→ To assign task group rights to a user, select the relevant check box in the Users overview and click Edit user in the toolbar.
The user details are displayed.
→ In the Tasks section, select the task groups as appropriate:
  – either select All tasks to assign user rights to all task groups
  – or clear All tasks and select only specific task groups.
→ Click Next to save the changes.
The next time the user logs on to CMS, he will have the rights to perform the selected tasks.

**Tasks and tasks groups**

<table>
<thead>
<tr>
<th>Tasks</th>
<th>Task group</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Draft form</td>
</tr>
<tr>
<td>Export application</td>
<td>X</td>
</tr>
<tr>
<td>Review application</td>
<td>X</td>
</tr>
<tr>
<td>Create new application (using a form, template or import from file)</td>
<td>X</td>
</tr>
<tr>
<td>Edit application (add/edit/remove tasks in form view)</td>
<td>X</td>
</tr>
<tr>
<td>Create template</td>
<td>X</td>
</tr>
<tr>
<td>Remove draft application</td>
<td>X</td>
</tr>
<tr>
<td>Revise application</td>
<td>X</td>
</tr>
<tr>
<td>Pay fees</td>
<td>X</td>
</tr>
<tr>
<td>Remove fee sheet signature</td>
<td>X*</td>
</tr>
<tr>
<td>Sign application</td>
<td>X</td>
</tr>
<tr>
<td>Remove application signature</td>
<td>X</td>
</tr>
<tr>
<td>Submit application</td>
<td>X</td>
</tr>
<tr>
<td>Resubmit application</td>
<td>X</td>
</tr>
<tr>
<td>Authorise EPO access</td>
<td>X</td>
</tr>
<tr>
<td>Revoke EPO access</td>
<td>X</td>
</tr>
</tbody>
</table>

*Sign fees (PCT/RO/101) is a task group that only applies to Form PCT/RO/101 because this is the only form which has a fee sheet that needs to be signed separately from the application.

**11.4.7. Right to access applications**

Users' access to applications can be restricted to the CMS demo environment if you want to prevent users from filing real applications with the EPO. This way, inexperienced users can practise in CMS without interfering with the productive work of your organisation. 

**Access to applications** provides two options:

- **Demo applications only**, allowing access to **My demo applications**
- **All (including demo applications)**, allowing access to **My applications** and **My demo applications**. This is the default setting when a new user is added to your organisation.

→ To assign access to applications rights to a user, select the relevant check box in the **Users** overview and click **Edit user** in the toolbar. The user details are displayed.
→ In the **Access to applications** section, select the appropriate option.
→ Click **Next** to save the changes.

The next time the user logs on to CMS, he will have access to the applications in the selected environment(s).

![Diagram of access to applications settings](image)

Figure 312 – **Restricting user access to demo applications only**

**Users with Demo application only rights**
- cannot see **My applications** in **Applications**
- can access **Templates** and use templates to create new demo applications
12. System maintenance

The EPO performs system maintenance on CMS to introduce new functionalities in the forms in keeping with new legal regulations and to enhance CMS.

12.1. System messages

The **System messages** tab displays an overview of the most recent information on new functionalities in or maintenance work on CMS. These system messages are created by the EPO staff and are delivered to all CMS users.

- **General system messages** are indicated by the word **System** in the **Procedure** column.
- **Procedure-specific system maintenance messages** are indicated by the procedure type in the **Procedure** column, i.e. **PCT**, **EP1001**, **EP1200** or **EP1038**.

![System messages](image)

Figure 313 – System messages

12.1.1. General system messages

When the EPO sends out a general system message, it is displayed when you log on to CMS. A system message does not appear at log-on if it has expired – for example if the maintenance work that was announced is already completed – but you will find it in the **System messages** tab.
12.1.2. Procedure-specific system maintenance messages

A procedure-specific system maintenance message is displayed when you view an application that has been changed in the course of system maintenance.

→ To review the application and make amendments where necessary, click Revise.

12.2. Application status set to "Revise"

When system maintenance has been performed for forms, the status of applications in Draft or Signed status is set to Revise.

When you view an application for which form changes have been implemented during system maintenance, a system message appears. You are requested to review the application and to check whether amendments are necessary. The status of the application reverts from Revise to Draft after you have viewed the application.
12.3. Application locked due to system maintenance

When a form is updated during system maintenance, all applications using a previous version of this form are set to read-only. If you open an application affected by the maintenance, all fields are locked and you cannot edit the application. The system message to this effect is displayed in the information box in the upper part of the screen:

![System message informing the user that the application is locked](image)

Figure 317 – System message informing the user that the application is locked

After the form has been updated, the applications are unlocked and you can continue your work.