



EPO Online Filing

User Guide

Version 5.05

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The EPO reserves the right to modify, extend or discontinue the available services, in full or in part, without prior notice.

Using the Online Filing software (OLF)

The EPO grants users the right to use the Online Filing software free of charge for an unlimited period. The software is exclusively intended for online filing with the EPO, i.e. for European patent applications and other documents.

Please refer to the EPO website and go to **Applying for a patent > Online services > Online filing > Download documentation** (<http://www.epo.org/applying/online-services/online-filing/documentation.html>) to download the most recent version of the **Conditions for the loan and use of the Online Filing software** (<http://docs.epoline.org/onlinefilingdocs/olf-license-en.pdf>).

2 Introduction

Intended audience

This guide is intended for users of the Online Filing software and EPO Online Services. To use EPO Online Services, you need a username and a smart card registered and supplied free of charge by the EPO. You can enrol for a smart card using the enrolment form provided on the **EPO website** (<http://www.epo.org/applying/online-services.html>).

What this guide contains

This guide details the features of File Manager and describes the processes for submitting patent applications or subsequently filed documents electronically. Online Filing supports applications via the EP and PCT routes as well as the use of additional national filing routes with the EPO as interface.

Additional information

The information presented in this document may change over time as online services develop. The latest documents and software updates are available for download from the **EPO website** (<http://www.epo.org/applying/online-services.html>).

Registered users have access to the **Online Services forum** (<http://forums.epo.org/online-services/>), where they can discuss all technical issues relating to Online Filing.

2.1 Help and Support

The EPO operates a helpdesk for Online Filing users.

Send us your question using our **contact form** (<http://forms.epo.org/service-support/contact-us/contact2-form.html>).

Our experts will get back to you as soon as possible.

You can also reach us by phone or e-mail:

Open:	Monday to Friday, 08.00 – 18.00 hrs. CET
Tel.:	+31 (0)70 340-4500
Fax:	+31 (0)70 340-4600
e-mail:	support@epo.org
Internet:	Online filing on the EPO website (http://www.epo.org/applying/online-services/online-filing.html) Contact us online on the EPO website (http://www.epo.org/service-support/contact-us.html)

Important note for customers using Online Filing version 5 Service Pack 3 (Build 5.0.0.053) or earlier:

- ♦ As of 1 September 2012, the EPO will withdraw customer support for Online Filing versions Service Pack 3 (and earlier).
- ♦ As of 1 March 2013, the EPO is planning to cease accepting applications filed with Online Filing versions Service Pack 3 (and earlier). However, PCT applications to the EPO as receiving office will still be accepted by the office's receiving server.

2.2 Typographical conventions

The following kinds of formatting in the text identify special information.

Formatting	Usage
Object	Objects within the application, such as windows, options, menu items or field names.
Button	Items which you can click, such as command buttons or icons.
Text Entry	Text that you enter in fields when completing a form.
KEY	Keys that you press on your computer keyboard, e.g. Shift, CTRL or ALT.
KEY+KEY	Keys that you press at the same time appear in CAPS with a plus sign.
Filename.ext	Name and extension of files used in Online Filing.

3 Overview of Online Filing

Online Filing version 5.05 lets you file EP, Euro-PCT and PCT applications with the EPO and make submissions within the opposition, appeal, limitation and revocation procedure. It also lets you submit subsequently filed documents for all EP procedures. EPO Online Filing can furthermore be used to submit applications and documents to participating national offices.

The EPO recommends that all applicants use the Online Filing software for their filings with the EPO. This method guarantees the quality of the data and documents transmitted. As soon as the EPO receives the electronic application, you are sent a receipt with the application number and the date of filing. What is more, the EPO grants Online Filing users a reduction on certain fees.

If you file an application online with the EPO, you should use the same procedure, where possible, for subsequent communications and document submission. In particular, you should not send a confirmation fax or letter to the EPO by post.

Running Online Filing

The Online Filing software opens with the **File Manager**. Log on by entering the **user name** and **password** you were assigned by the Online Filing Administrator. User names are associated with roles that allow you to perform certain tasks on the system. Online Filing only allows you to use the options appropriate to the role assigned to your user name - e.g. only certain roles may add or remove signatures.

Online Filing modes

Online Filing operates in two different work environments: production mode or demo mode. The appropriate mode is selected when starting File Manager.

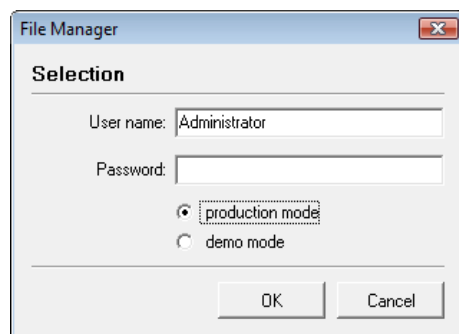


Figure 1: Online Filing login window

Production mode is for real filings. The default is production mode. You can also set this startup mode in **User Preferences** (p. 56).

Demo mode is provided to allow users to practice the processes of completing, signing and sending applications, without submitting a real filing. Demo mode transmissions go to a different EPO server address from production transmissions and submissions are only confirmed by a demo receipt.

① All settings, forms, applications and Address Book entries, as well as users, groups and user profiles are specific to the current mode, i.e. demo mode or production mode, to ensure that any work in one is kept entirely separate from the other.

File Manager

The File Manager is the central administration interface for using the Online Filing suite. This is where you organise your applications and track their processing status.

- ◆ Create folders for applications and templates
- ◆ Edit applications in the workflow process (Draft - Sign - Send)
- ◆ Check the legal and formal requirements of applications
- ◆ Export applications
- ◆ Create user names and manage user privileges
- ◆ Save names and contact details in the Address Book
- ◆ Customise File Manager to suit individual user preferences
- ◆ Manage general system settings.

Electronic Forms

At the EPO, electronic online filing is available for the following procedures, also referred to as forms, which can be found in the **Forms** folder in File Manager:

◆ **EP(1001E2K) - Request for grant of a European Patent (EPC 2000)**

Form EP(1001E2K) is the default form used for requesting the grant of a European patent and examination of the application under Article 94 EPC. The application can be filed directly to the EPO or via one of the participating national offices.

◆ **EP(1038E) - Subsequently filed documents (in EP procedures)**

All subsequently filed documents should be submitted using Form EP(1038E), except in the opposition procedure, when they should be submitted with Form **EP(Oppo)** (p. 225).

Form EP(1038) can also be used to submit an appeal and/or documents filed subsequently in appeal proceedings. Please note that these filings may only be signed using a smart card issued to a person authorised in the appeal proceedings.

At present, the online filing option is not available for priority documents, with the exception of US certified priority documents.

Non-public documents can also be filed with this form. Please note, however, that you cannot file non-public documents at the same time as any other documents, i.e. public documents. Nor can you file non-public documents at the same time as you pay fees related to public documents.

You can also use Form EP(1038E) exclusively to pay a fee.

◆ **Euro-PCT(1200E2K) - Entry into the European phase (EPC 2000)**

Euro-PCT(1200E2K) is the form used for entry of an international application into the European phase before the EPO as designated or elected office.

◆ **EP(Oppo) - EP opposition**

The EP(Oppo) form is used for filing an opposition and/or submitting subsequently filed documents in opposition proceedings (not for appeal proceedings). It should be used by all parties involved in opposition proceedings.

◆ **PCT/RO/101 - PCT/RO/101 Request**

You can use Form PCT/RO/101 to submit an international application filed under the PCT to the EPO. You can define the EPO as both receiving office (RO) and international searching authority (ISA).

At present, the online filing option is not available for documents filed subsequently in the PCT procedure.

These forms may be used to create drafts for new applications. The electronic forms are structured along the same lines as traditional paper forms to simplify data entry. You can open and work in several forms at the same time. You can create new applications and produce your own templates by copying your drafts and applications already filed.

Server Manager

The Server Manager tool allows the Online Filing administrator to manage services, servers and databases.

- ◆ Monitor, start and stop services
- ◆ Activate and deactivate services for national procedures
- ◆ Backup and restore databases
- ◆ Export and import data
- ◆ Manage user connections to the server
- ◆ Monitor and log the progress of all actions
- ◆ Configure and run Live Update for software updates
- ◆ Select countries for the update of national procedures via Live Update

3.1 Network-based online filing

Online Filing is a client-server application and can be configured as either a stand-alone installation or a network installation.

In a ***stand-alone installation***, the client and server both run on the same computer. There is usually only one user here who is also the administrator.

For ***network installation***, the Online Filing server is installed with the database on a specific computer in the applicant's company or a patent attorney firm. This server centrally administers all applications, data and users. The individual users have an Online Filing client installed on their PC workstations. Data is accessed via the company network or via a private Internet connection (VPN tunnel), allowing persons working at discrete locations all over the world to co-operate on joint applications.

User authorisation and authentication

The data and software functions released for users in Online Filing are specified individually by the administrator. An application that is being processed by a user is locked for all other users, but is available in read-only format. All users can see who edited and saved the application last, ensuring that workflows remain transparent and fully documented.

Smart cards (p. 92) are used for signing applications as well as for authentication when making transmissions to the EPO. All users who have signing and sending privileges need their personal smart card with PIN and a smart card reader in their offices.

Network settings when installing Online Filing

The exchange of data between the client and the server is managed by the computer network. How the data is exchanged is defined by the network protocol. The Online Filing server works with two different protocols - CORBA and SOAP - and reserves individual ports for each service.

CORBA is recommended, since SOAP considerably slows down the rendering of the graphical user interface. Also, SOAP does not work with procedure PCT/RO/101. However, SOAP is useful when the server is accessed via a WAN through a firewall.

During the Online Filing client setup, you are prompted to specify the settings for the connection to the server. CORBA is set by default.

- Enter the correct **IP address** of the server or its computer name in your network (available from your system administrator).

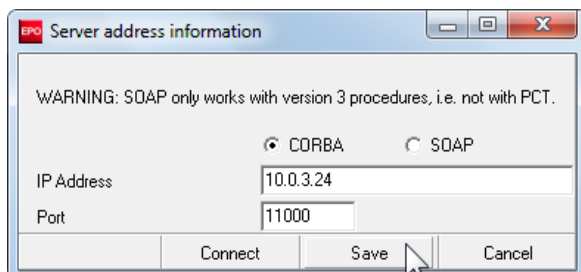


Figure 2: Setting the server address when installing the client

- ❗ The **localhost** address should only be used if the client and server are running on the same logical PC.

When configuring the Online Filing server, you have the option of entering a specific port for each individual procedure. You can leave the default ports, provided that they are not already otherwise assigned in your network. Ask your network specialist or system administrator for more information.

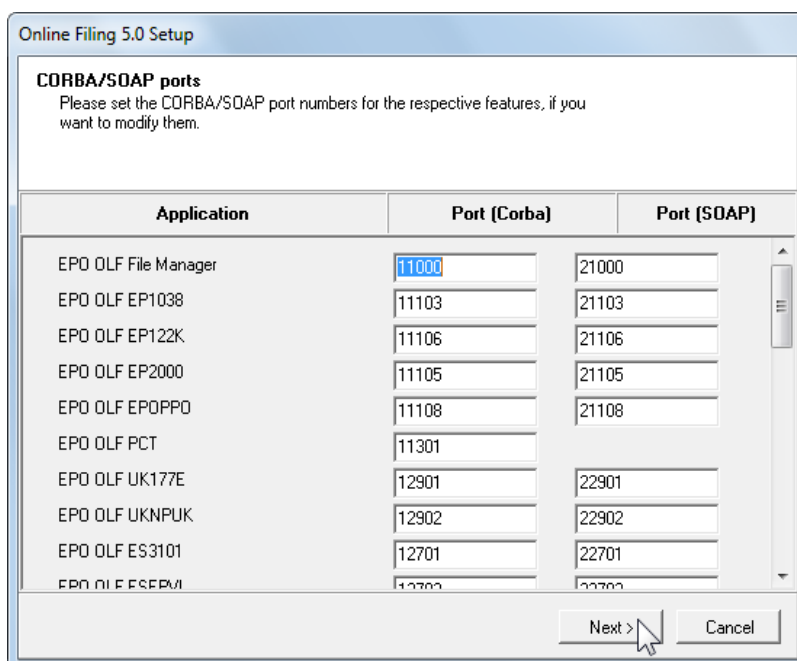


Figure 3: Settings for CORBA and SOAP ports during installation

For more information on installing Online Filing, refer to the installation manual, which is available from the EPO website at **Online services > Online filing > Download documentation** (<http://www.epo.org/applying/online-services/online-filing/documentation.html>).

3.2 National procedures in Online Filing

All national procedures compatible with Online Filing are integrated by default in the software as standalone plug-ins and are systematically installed. Individual plug-ins can be activated and deactivated subsequently as required under **Services management** (p. 339) in the Server Manager tool.

You can select the options **Typical** and **Custom** when setting up Online Filing as a server installation or standalone installation.

- ◆ **Typical**

Installs the default services: File Manager, Server Manager, EP(1001E), Euro-PCT(1200E), EP(1038E), EP(OPPO) and PCT/RO/101.

Installs all national plug-ins without activating them.

- ◆ **Custom**

Installs the default services and all national plug-ins.

Also activates selected national plug-ins.

For more information on installing Online Filing, refer to the installation manual, which is available from the EPO website at **Online services > Online filing > Download documentation** (<http://www.epo.org/applying/online-services/online-filing/documentation.html>).

For an overview of all national procedures, see the EPO website at **Online services > Online filing > Online Filing in national offices** (<http://www.epo.org/applying/online-services/online-filing/national.html>).

3.3 Updating the Online Filing software

The EPO is constantly developing and upgrading the Online Filing system and software in response to customer requirements to improve performance, data quality and workflow.

All software updates are made available via the Live Update service, and installation files are published on the EPO website for manual download.

Live Update

The EPO recommends that all software users configure the Live Update function. This ensures that you are always using the latest version of Online Filing, incorporating the most recent procedural and fee changes, for your submissions.

Live Update also lets you download and install updates for specific national procedures.

For details on how to use and configure this tool, see **Live Update** (p. 356) in the Server Manager section of this manual.

Manual Update

A chronological list of all downloadable updates for version 5.0 can be found on the EPO website at **Online services > Online filing > Download software for filing with the EPO** (<http://www.epo.org/applying/online-services/online-filing/download.html>).

Release notes

The new features and changes implemented by the current and previous Online Filing software updates are listed at **Online services > Online filing > Download software for filing with the EPO > Version 5.** (<http://www.epo.org/applying/online-services/online-filing/download/version-5.html>)

RSS feed

If you would like to keep abreast of all new versions, updates, patches and maintenance data, you can subscribe to the EPO Online Services RSS feed. The RSS feed will then notify you as soon as new software modules are available for download.

For the link to the RSS feed visit the **Online services page** (<http://www.epo.org/applying/online-services.html>) or go to <http://www.epo.org/rss/online-services.xml>.

3.4 Help on using Online Filing

Apart from reading this guide, there are other things you can do to get help on using the Online Filing software.

Contacting EPO User Support

→ Select **Help > Info** from the menu.

The **About File Manager** window provides contact details for EPO User Support as well as information on the type of installation and the build numbers for the modules currently installed. It is important to have this data to hand when talking to Customer Services.

Contact details for the national patent offices can also be found in the upper part of the window.

→ For more addresses, scroll down this pane.

The lower part of the window contains information on all the national procedures installed.

→ Scroll down this pane to see all the plug-ins.

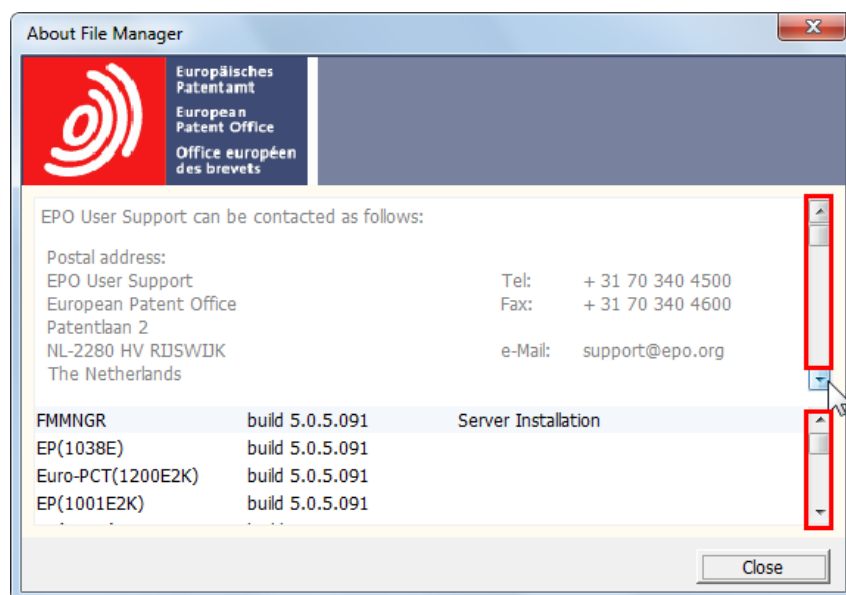


Figure 4: Helpful information on Online Filing

Creating a diagnostic file

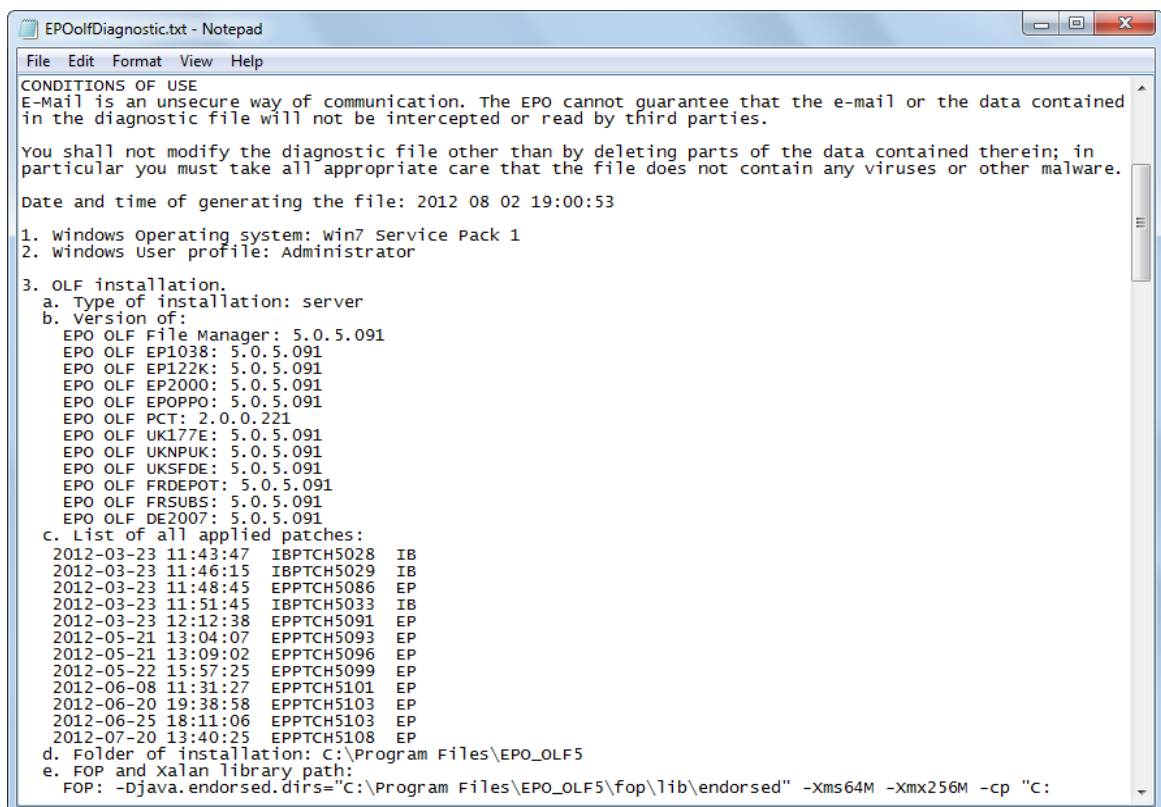
When you contact EPO User Support, it is always useful to have detailed information on your OLF system setup at hand. The helpdesk can then get a clear picture of how your Online Filing software is configured and this can enable the support staff to help you efficiently with advice and troubleshooting.

You can export all the relevant information, i.e. version number, installed plug-in versions, installed patches, original installation settings and server configuration, into a diagnostic file and mail this to EPO User Support.

- Start the Online Filing Server Manager.
- Select **Help > Create diagnostic file**.
- Note the warning message in the next dialogue window.
- Click **Create**.

Online Filing Server Manager exports all relevant data into the **EPOolfDiagnostic.txt** file. You are prompted to select the storage location for the diagnostic file on your hard disk.

- Open the **EPOolfDiagnostic.txt** file in Windows Notepad to inspect the contents including the warning message.
- If required, you can now modify the file's contents before sending it to EPO User Support.



```

EPOolfDiagnostic.txt - Notepad
File Edit Format View Help
CONDITIONS OF USE
E-Mail is an unsecure way of communication. The EPO cannot guarantee that the e-mail or the data contained
in the diagnostic file will not be intercepted or read by third parties.

You shall not modify the diagnostic file other than by deleting parts of the data contained therein; in
particular you must take all appropriate care that the file does not contain any viruses or other malware.

Date and time of generating the file: 2012 08 02 19:00:53

1. windows operating system: win7 Service Pack 1
2. windows User profile: Administrator

3. OLF installation.
  a. Type of installation: server
  b. Version of:
    EPO OLF File Manager: 5.0.5.091
    EPO OLF EP1038: 5.0.5.091
    EPO OLF EP122K: 5.0.5.091
    EPO OLF EP2000: 5.0.5.091
    EPO OLF EPOPP0: 5.0.5.091
    EPO OLF PCT: 2.0.0.221
    EPO OLF UK177E: 5.0.5.091
    EPO OLF UKNPUK: 5.0.5.091
    EPO OLF UKSFDE: 5.0.5.091
    EPO OLF FRDEPOT: 5.0.5.091
    EPO OLF FRSUBS: 5.0.5.091
    EPO OLF DE2007: 5.0.5.091
  c. List of all applied patches:
    2012-03-23 11:43:47 IBPTCH5028 IB
    2012-03-23 11:46:15 IBPTCH5029 IB
    2012-03-23 11:48:45 EPPTCH5086 EP
    2012-03-23 11:51:45 IBPTCH5033 IB
    2012-03-23 12:12:38 EPPTCH5091 EP
    2012-05-21 13:04:07 EPPTCH5093 EP
    2012-05-21 13:09:02 EPPTCH5096 EP
    2012-05-22 15:57:25 EPPTCH5099 EP
    2012-06-08 11:31:27 EPPTCH5101 EP
    2012-06-20 19:38:58 EPPTCH5103 EP
    2012-06-25 18:11:06 EPPTCH5103 EP
    2012-07-20 13:40:25 EPPTCH5108 EP
  d. Folder of installation: C:\Program Files\EPO_OLF5
  e. FOP and Xalan library path:
    FOP: -Djava.endorsed.dirs="C:\Program Files\EPO_OLF5\fop\lib\endorsed" -Xms64M -Xmx256M -cp "C:
  
```

Figure 5: Contents of the diagnostic file in Windows Notepad

Online Help

Online Filing's integrated online help files contain all information from this user guide for reference. An index is provided to help you search for keywords.

- Click the **Help** button in the toolbar on the right.



-OR-

Select **Help > Online Filing Help**.

The Online Filing Help opens in a new window in the default browser specified in the relevant Windows system settings, e.g. Microsoft Internet Explorer.

4 File Manager

Online Filing opens with the **File Manager** window. The **Forms** folder is always displayed when you start the application, enabling you to select a procedure immediately to create a new application.

→ Click **All Applications**, to see the Application List and the screen elements described below.

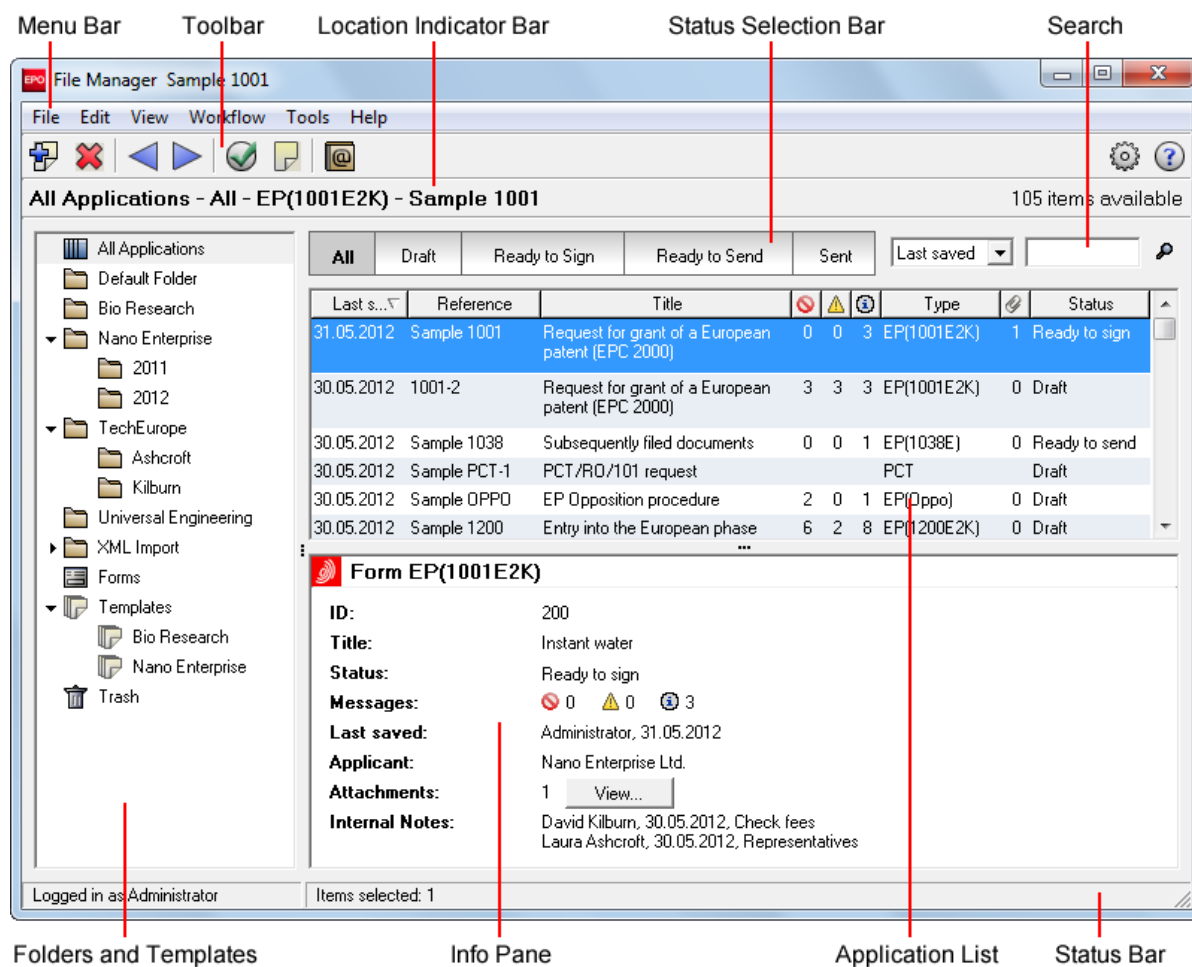


Figure 6: File Manager - Overview

Element	Comments
Menu Bar	Contains all commands that you need to create, edit and save applications, options for configuring the program properties of Online Filing as well as other tools.
Toolbar	Provides shortcuts to the most frequently used tasks and tools.
Location Indicator Bar	Contains specific information on the application currently selected: folder, status, procedure, user reference.
Status Selection Bar	Displays the applications in a selected folder filtered by their current status: Draft, Ready to sign, Ready to send or Sent .
Search	Searches the list of applications (or templates) for a specific search term. To find a term, select the column you want to search in the drop-down list and enter the search term in the field to the right. The first application (or template) in the list that matches your search terms is highlighted in grey after you click the Search button  . Click Search again to jump to the next application that matches your search criteria.
Folders and Templates	Contains the system folders All Applications, Default Folder, Forms, Templates and Trash . You can create additional folders and sub-folders as required for your applications and templates.
Info Pane	Displays general information on the application (or template) currently highlighted in the list. Click the View... button to preview the application. The application then appears in the PDF Viewer with a list of all attached files that can also be displayed in PDF view.
Application List	Shows the content of the folder that you selected on the left, that is, all applications, templates or forms that are in this folder.
Status Bar	Shows information on the last action executed in the program.

Customising File Manager

You can customise **File Manager** to only display the elements you wish to see.

- Click the options checked in the **View** menu one by one, e.g. **Status Bar** and **Location Indicator**.
The check marks are removed and the **Status Bar** and **Location Indicator** elements will be hidden.
- Click an option in the **View** menu again to set the check mark and display the element once more in File Manager.

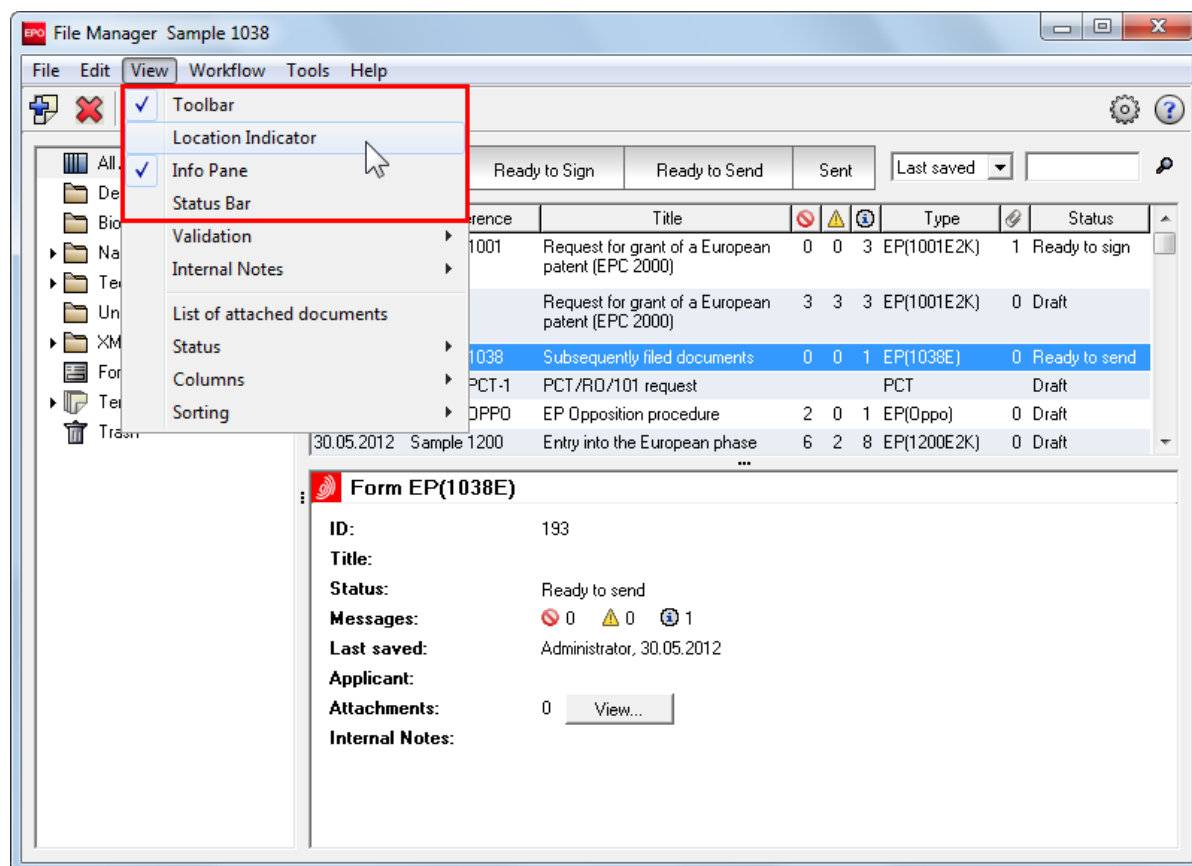


Figure 7: Customising File Manager: Location Indicator and Status Bar are hidden

Exiting File Manager

Use the **File** menu to close File Manager and exit Online Filing.

- Select **Exit** to close the program.
- Select **Log off** if you want to operate the program under a different user name.

4.1 Toolbars

The Online Filing **toolbars** provide buttons for the most common tasks you need to complete as you prepare, sign and send your application.

① All of these functions can also be activated via options on the File Manager menu bar. Another alternative is the **shortcut menu**, which you open by right-clicking an object. The shortcut menu always contains a list of frequently used options to make working with Online Filing as user-friendly as possible.

File Manager toolbar

Button	Function	Comments
	New draft	Creates a new application based on a standard procedure or template.
	Delete	Moves the selected item to the Trash folder.
	Previous	Moves the application back a step in the workflow process.
	Next	Moves the application forward a step in the workflow process.
	Validation	Displays validation messages for the selected application.
	Internal Notes	Creates application notes not intended for transmission to the EPO. Notes for the EPO are inserted in the Annotations tab on a form.
	Address Book	Opens the Online Filing Address Book to edit contact details for legal and natural persons.
	System preferences	Opens the System Preferences (p. 60) window.
	Help	Opens the Online Help for the File Manager.

Forms toolbar

When you edit an application in Online Filing, the software opens a form in a separate window, e.g. Form EP(1001E2K). The form view window also features buttons for the most common tasks.

Button	Function	Comments
	Save	Stores a copy of your work so far.
	Next	Moves the application forward a step in the workflow process.
	Validation	Shows validation messages for the tab currently open.
	Internal Notes	Creates notes not intended for transmission to the EPO.
	Preview	Shows a preview of the application in the PDF Viewer.
	Add	Adds a new item, e.g. adding details for a new applicant or attaching a new file.
	Delete	Removes the selected item from the form.
	Help	Opens the Online Help for the EP forms.

4.2 Folders

The **File Manager** in Online Filing features a series of special system folders to help with organising your work. You cannot rename or delete these.

Icon	System Folder	Comments
	All Applications	Contains a list of all applications (apart from objects in the Trash folder).
	Default Folder	All new drafts are filed here unless you specify a different location when saving.
	Forms	Contains the official forms prescribed for the various procedures that are available for applications. The list of procedures available depends on the settings chosen during installation.
	Templates	Contains modified forms with user-specific information.
	Trash	Contains deleted applications (or templates). Once the Trash folder has been emptied, none of the objects deleted in Online Filing can be retrieved.

You can create your own folders and sub-folders in File Manager. These folders could be named by type of application, company name or any other criteria that suit you. Folders are ordered alphabetically under the **Default Folder**. You can rename and delete folders you create.

Folders containing sub-folders are marked by a little black triangle on the left.

→ To open a folder and view its sub-folders, double-click the folder.

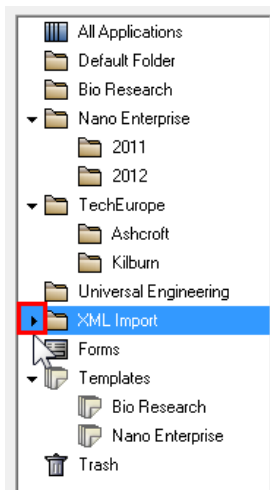


Figure 8: Folders with sub-folders in File Manager

Creating a folder

- In File Manager, select **New Folder** from the **File** menu.
- OR-
- Right-click in the folder area and select **New Folder** from the shortcut menu.
- Type a name for the folder and press **ENTER**.

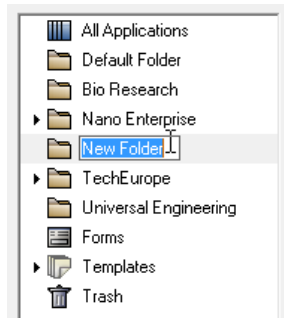


Figure 9: New folder created

Creating a sub-folder

- Right-click the folder to which you want to add a sub-folder.
- Select **New SubFolder** from the shortcut menu.
- Type a name for the sub-folder and press **ENTER**.

Renaming a folder

- Right-click the folder you want to rename.
- OR-
- Press the **F2**-key.
- Select **Rename Folder** from the shortcut menu.
- Enter the new name and press **ENTER**.

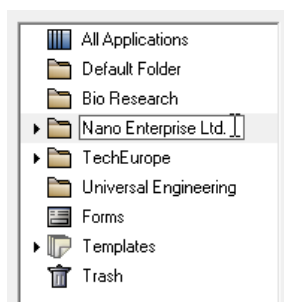


Figure 10: Folder renamed

Deleting a folder

- Right-click the folder you want to delete.
- Select **Delete Folder** from the shortcut menu.

The folder is deleted immediately.

- ① You can only delete folders which do not contain any applications or templates.

Sorting a folder

- In File Manager, select the folder you wish to sort.
- Select the name of the column you want to sort the list by in the **View > Sorting** menu.

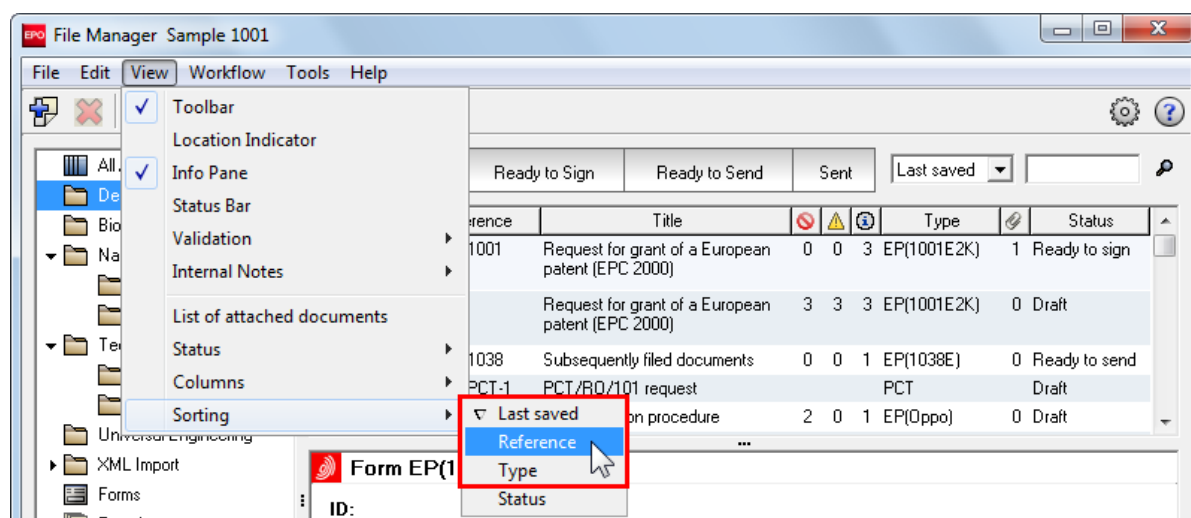


Figure 11: Sorting applications by an option in the "View" menu

-OR-

- Click a column heading in the **list of applications**.
- Click the column heading again to change the sorting order from ascending (A-Z or 0-9) to descending (Z-A or 9-0).

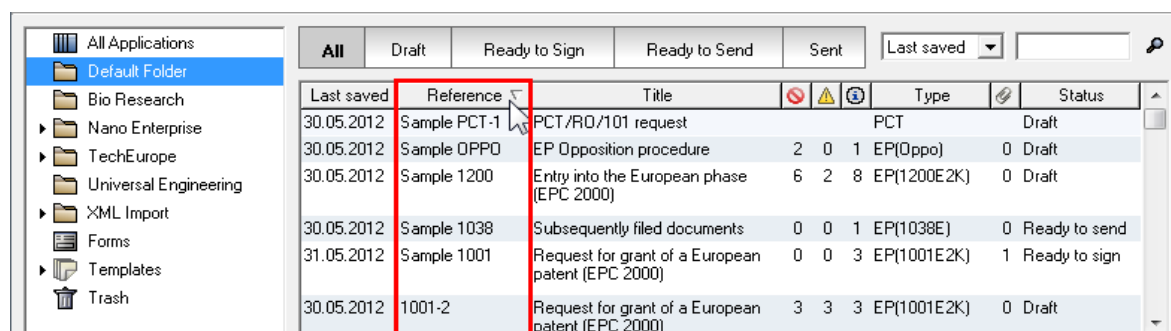


Figure 12: Sorting applications by clicking the column heading

4.3 Applications

The list of applications indicates the most important properties of all applications in the folder currently selected:

- ◆ **Last saved** - Date of the last change
- ◆ **Reference**
- ◆ **Title**
- ◆    Number of validation messages by **validation level** (see "**Validation**" p. 40)
- ◆ **Type** of procedure/form used
- ◆  Number of attachments
- ◆ **Status** in the workflow process

All	Draft	Ready to Sign	Ready to Send	Sent	Last saved		
Last s...	Reference	Title				Type	Status
31.05.2012	Sample 1001	Request for grant of a European patent (EPC 2000)	0	0	3	EP(1001E2K)	1 Ready to sign
30.05.2012	1001-2	Request for grant of a European patent (EPC 2000)	3	3	3	EP(1001E2K)	0 Draft
30.05.2012	Sample 1038	Subsequently filed documents	0	0	1	EP(1038E)	0 Ready to send
30.05.2012	Sample PCT-1	PCT/RO/101 request				PCT	Draft
30.05.2012	Sample OPPO	EP Opposition procedure	2	0	1	EP(Oppo)	0 Draft
30.05.2012	Sample 1200	Entry into the European phase (EPC 2000)	6	2	8	EP(1200E2K)	0 Draft

Figure 13: List of applications in File Manager

You can customise the list of applications and filter it by various criteria.

- ➔ Select **Status** in the **View** menu and then choose the status you want, e.g. **Ready to send**.
- OR-
- Click the appropriate button in the **Status Selection Bar**.
- ➔ Use **View > Columns** to select the columns you want to display in the list of applications.
- ➔ Double-click the dividing line between two column headers to resize the columns so that they fit their content.

4.3.1 Creating a new application

You can create a new application in File Manager using a form from the **Forms** folder or a customised form from the **Templates** folder.

→ In File Manager select **New Draft** from the **File** menu.

-OR-

Click the **New Draft** button in the toolbar.



-OR-

Double-click a form or template.

-OR-

Press **STRG+N** on your keyboard.

The **Create a New Application** window opens.

→ Enter the **User Reference** for the new application.

→ Select the type of procedure you want to choose in the **Group** list, e.g. EP.

This is not mandatory but it reduces the number of forms displayed in the **Procedure** list, making selection easier for you if the number of procedures installed is very high.

→ Select the option you want in the **Procedure** list.

The procedure on which an application is based cannot be changed afterwards.

Data automatically appears in the **Description** field and cannot be edited.

→ If you want to use one of your templates as a basis for the new application, select it in the **Based on Template** list.

→ Select the language you want in the **Language of proceedings** list.

The form on which the application is transmitted to the EPO will be created in this language. This setting does not affect the language of the Online Filing graphical user interface.

→ Select the **folder** where you want to save the new application.

→ Click **Create**.

A warning appears if the user reference you entered has already been assigned to an application.

- Confirm this message with **Yes** if you are sure you want to use the same user reference for the new application.
- Click **No** to change the user reference in the **Create a New Application** window.
- If you create a new PCT/RO/101 application, only unique user references are allowed; see **Creating a new PCT/RO/101 application** (p. 260) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

① The option **Customer number** is only available for the UK procedures **UK-IPO(F1)**, **UK-IPO(NP1)** and **UK-IPO(SFD)**.

Example

This new EP(1001E2K) draft is not based on a template. English is selected as the language of proceedings and the application is stored in one of the personal folders.

Figure 14: Create a new draft based on Form EP(1001E2K)

4.3.2 Saving applications

A new application is only transferred to the database after the draft has been saved for the first time. Changes made in the subsequent workflow process can be saved at any time. Saving changes ensures that the data displayed in File Manager is also updated.

- Select **Save** from the **File** menu in the form view.

-OR-

Click the **Save** button in the toolbar.



You can use the **Save As** option in the File menu to create a new object from an open application:

- Select **Save copy as Draft** and enter a reference to save as a new copy.
The original remains as it was when last saved. All subsequent changes apply to the new document.
- Select **Save as Template** to save as a **customised form** (see "**Templates**" p. 31) on which to base new drafts.

① The saving options in form PCT/RO/101 are slightly different; see **Saving the form** (p. 262) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

4.3.3 Renaming applications

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

- Open File Manager and locate the application you wish to modify in your folders.
- Right-click the application in the list and select **Rename user reference** from the popup menu.

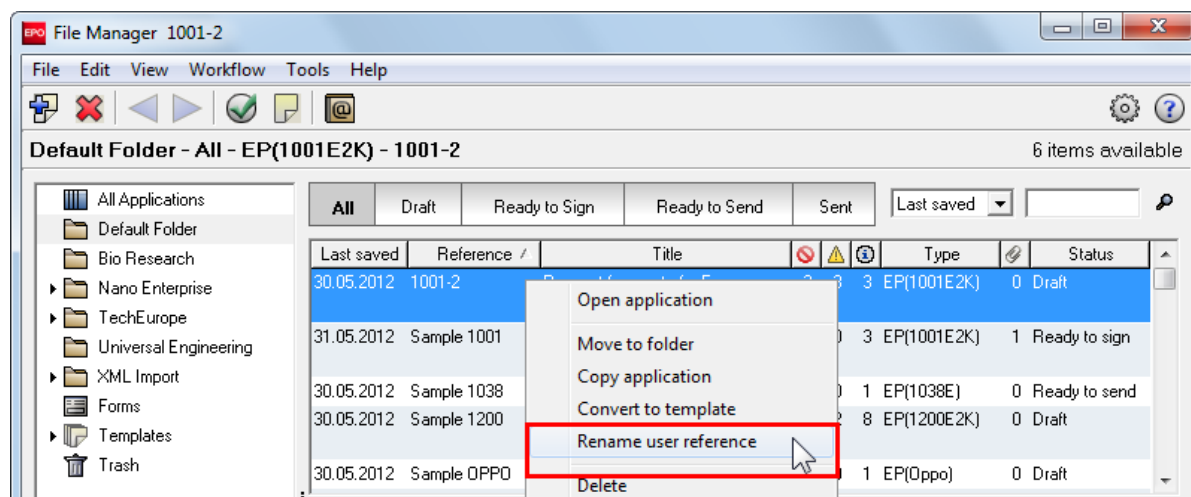


Figure 15: Rename user reference for application

- Enter the new user reference in the **Rename user reference** window.
- Click **Rename** to save your changes.

The user reference in the database will be updated. It can take a few moments for the change to appear in File Manager.

- ❗ Applications based on form PCT/RO/101 cannot be renamed.

4.3.4 Moving applications

- In File Manager, select the application (or template) you want to move.
- Right-click the application.
- Select **Move to folder** in the shortcut menu.
- Select the destination folder for the application in the **Move to folder** window.
- ❗ You can display sub-folders by double-clicking the parent folder.
- Click **OK**.

The application is now in the selected folder.

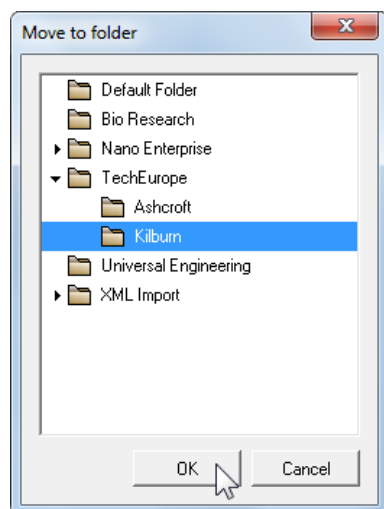


Figure 16: Selecting the folder where you want to move an application

4.3.5 Previewing applications

Just like in any word processing application, you can open a preview of an application in Online Filing to display the application form as it appears in print. In Online Filing, the preview of the application is displayed as a PDF file in the **PDF Viewer** window, which runs the **Adobe Acrobat Reader** application installed on your PC. This window also displays all attached files as well as the system files generated by Online Filing.

→ Click an application in File Manager.

The **Info Pane** provides more information on a selected application, including information that is not yet visible in the list of applications:

- **ID** is the internal number of the application in the database.
- **Title** is the title of the invention (for applications using the EP(1001E2K) form only, otherwise blank).
- **Last saved** indicates the user's name and the date.
- **Applicant** indicates the name(s) of the applicant.
- **Internal Notes** provides a short summary of remarks by the persons handling the application.

→ Click the **View...** button in the Info Pane.

-OR-

Select **View > List of attached documents**.

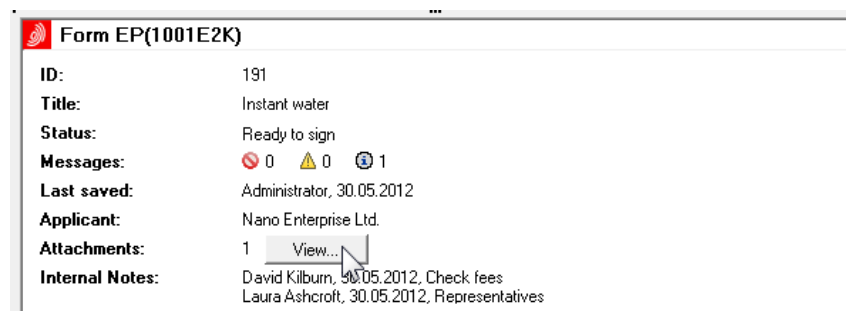


Figure 17: Info Pane with application information

The **PDF Viewer** opens with a preview of the required application in PDF format (**ep-request.pdf**).

A list of all files associated with this application is displayed on the left.

- ◆ In this example, the technical documents are contained in one attachment (**SPECEPO-1.pdf**).
- ◆ The XML files listed are the system files required for transmission to the EPO. The **f1002-1.pdf** file is the designation of inventor generated internally by Online Filing.
- ◆ The list of files displayed by the PDF Viewer includes the acknowledgment of receipt (**receipt.pdf**) once an application has been successfully transmitted to the EPO.
- ◆ The user reference appears on the bottom left of each page in the PDF document created by Online Filing.

The PDF Viewer provides a toolbar and other items for handling the PDF document.

- ➔ To print the form, click the **Print** button in the PDF Viewer's toolbar.
- ➔ To create a copy of the PDF file, use the **Save** button.
- ➔ To resize the width of the left navigation pane, click the grip at the centre of the divider (symbolised by three dots) and drag it to the required position.

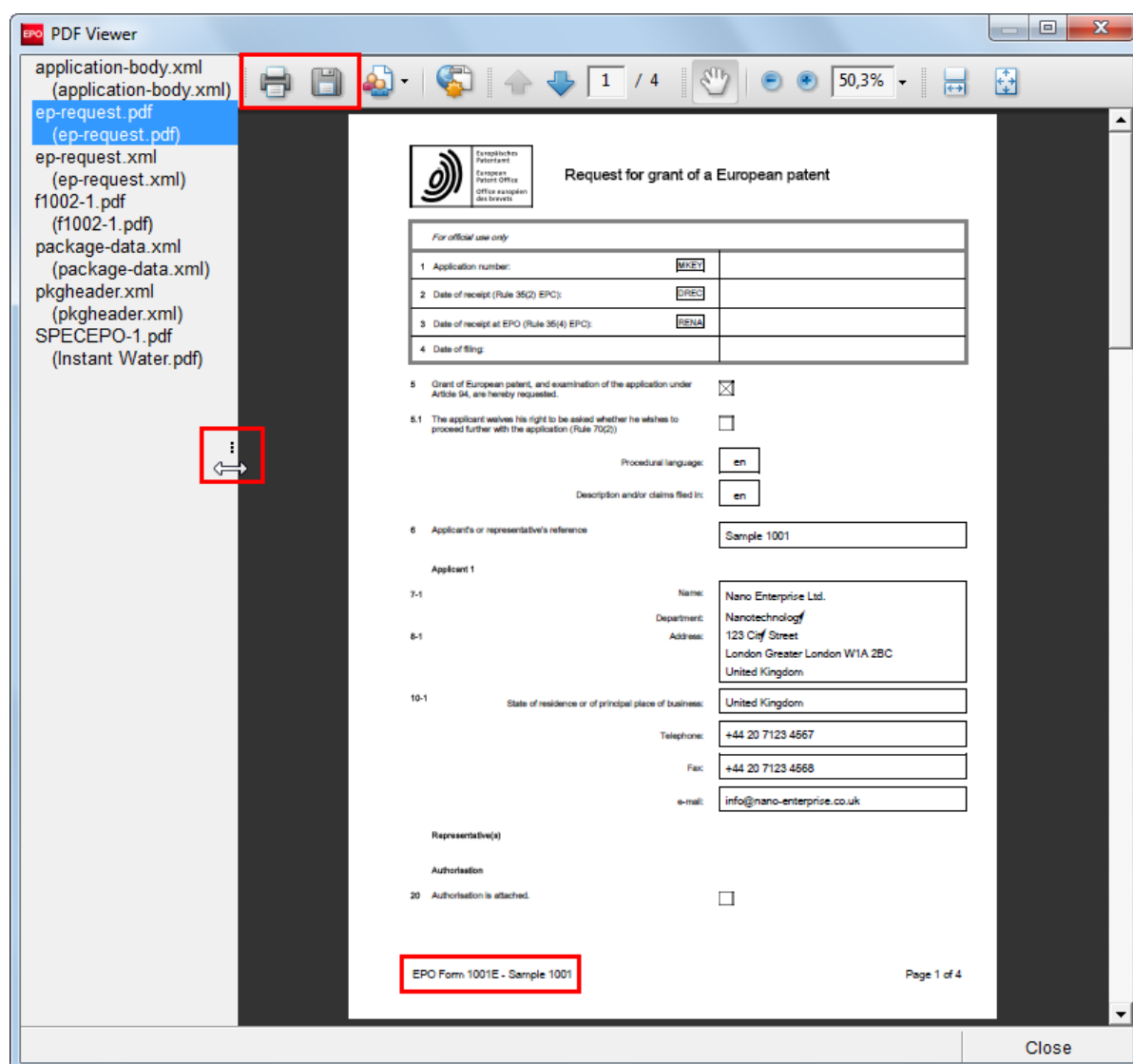


Figure 18: Application displayed in the PDF viewer

4.3.6 Deleting applications

There are a number of ways to delete applications. At every stage of the deletion process, Online Filing asks if you are absolutely sure you want to delete an application. This is not a setting that can be deactivated in the user preferences.

Deleted applications are first moved to the **Trash** folder where they remain until you empty the trash.

- In the File Manager select the application(s) or template(s) you wish to delete.
 - ① You can select multiple objects one after the other by clicking them with the **CTRL** key held down.
- Select **Delete application** in the **Edit** menu.
- OR-
- In the Toolbar click the **Delete** button.
- 
- OR-
- Right-click the application(s) and select **Delete** in the shortcut menu.
- OR-
- Press **DELETE** on your keyboard.

Retrieving deleted items

- Click the **Trash** folder.
- 
- Select the application you want to restore.
- Right-click the application and select **Move to folder** in the shortcut menu.
- Select the required folder in the **Move to folder** window and click **OK**.

Removing objects from the Trash folder

You can clear all objects or individual objects in the Trash folder.

- Right-click the Trash folder and select **Empty Trash Folder** in the shortcut menu.
- OR-
- Select the objects you want to remove and delete them as described above.
- ① The procedure described for applications applies equally to templates.

4.4 Templates

Templates are user-defined forms, containing data that you need every time you prepare certain applications, such as information relating to a particular applicant or to fee payments.

4.4.1 Creating a new template

You can create a template from a draft application, start with a blank form or use an existing template.

① Specific instructions on how to create a template for PCT/RO/101 applications can be found in **Working with templates** (p. 263) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

Creating a template with a blank form

- Select **New Template** from the File menu in File Manager.
- OR-
- Press **SHIFT+CTRL+N**.
- In the **Create a New Template** window, enter the **Template Name**.
- Select the required **procedure** and the **language of proceedings**.
- To store the new template in one of your template folders, double-click the **Templates** folder and select the appropriate sub-folder in the **Save to folder** field.
- If you wish, enter a **description** to help identify the template.
This is displayed in the **Title** column in File Manager.
- Click **Create**.

The screenshot shows the 'Create a New Template' window. It contains several input fields and a folder selection tree. The 'Template Name' field is filled with 'Nano 1200'. The 'Group' dropdown is set to 'EP'. The 'Procedure' dropdown is set to 'Euro-PCT(1200E2K)'. The 'Description' field contains 'Entry into the European phase (EPC)'. The 'Based on Template' dropdown is set to '<none>'. The 'Language of proceedings' dropdown is set to 'English'. The 'Customer number' field is empty. In the 'Save to folder' section, the 'Templates' folder is expanded, showing sub-folders 'Bio Research' and 'Nano Enterprise'. The 'Description' text area at the bottom contains the text 'Template for applicant Nano Enterprise with form Euro-PCT(1200E2K)'. At the bottom right, there are 'Create' and 'Cancel' buttons.

Figure 19: Creating a new template

The new template opens in the form view where it can be edited.

Creating a template from an existing application (draft)

The application is in **Draft** status.

- Double-click the application to open it.
- Select **Save As > Save as Template** from the File menu in the form view.
- Enter the **template name** in the **Save As Template** window.
- Select a **folder** if you want to save the template in a sub-folder of the **Templates** folder.
 - ① Double-click the **Templates** folder to display all sub-folders.
- Enter a **description**.
- Click **Save**.

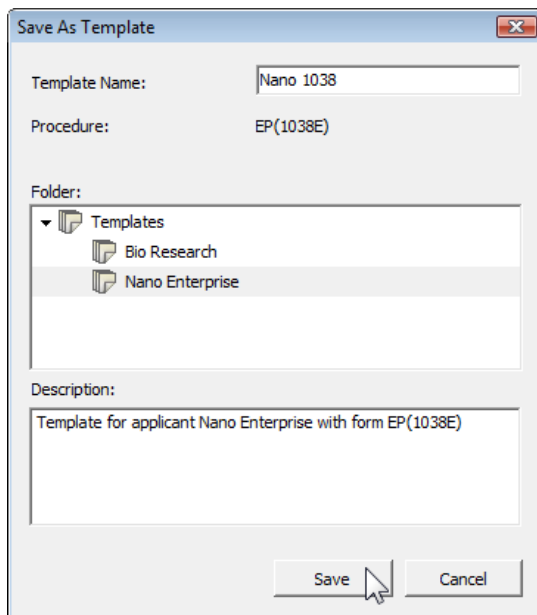


Figure 20: Saving an application as a template

The new template remains open in the form view.

Converting an application (draft) into a template

Only an application in **Draft** status can be converted into a template. This removes the application from its original location and creates a new template in the selected template folder.

- Right-click the application you want to convert into a template in File Manager.
- Select **Convert to template** in the shortcut menu.
- Select a folder in the **Convert to template** window.
- Enter a **description**.
 - ① You cannot change the **template name** here.

→ Click **Save**.

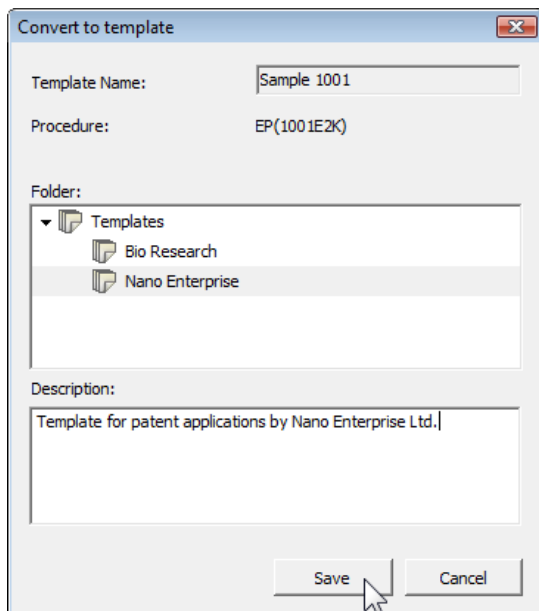


Figure 21: Converting an application into a template

The template then appears in the selected template folder in File Manager.

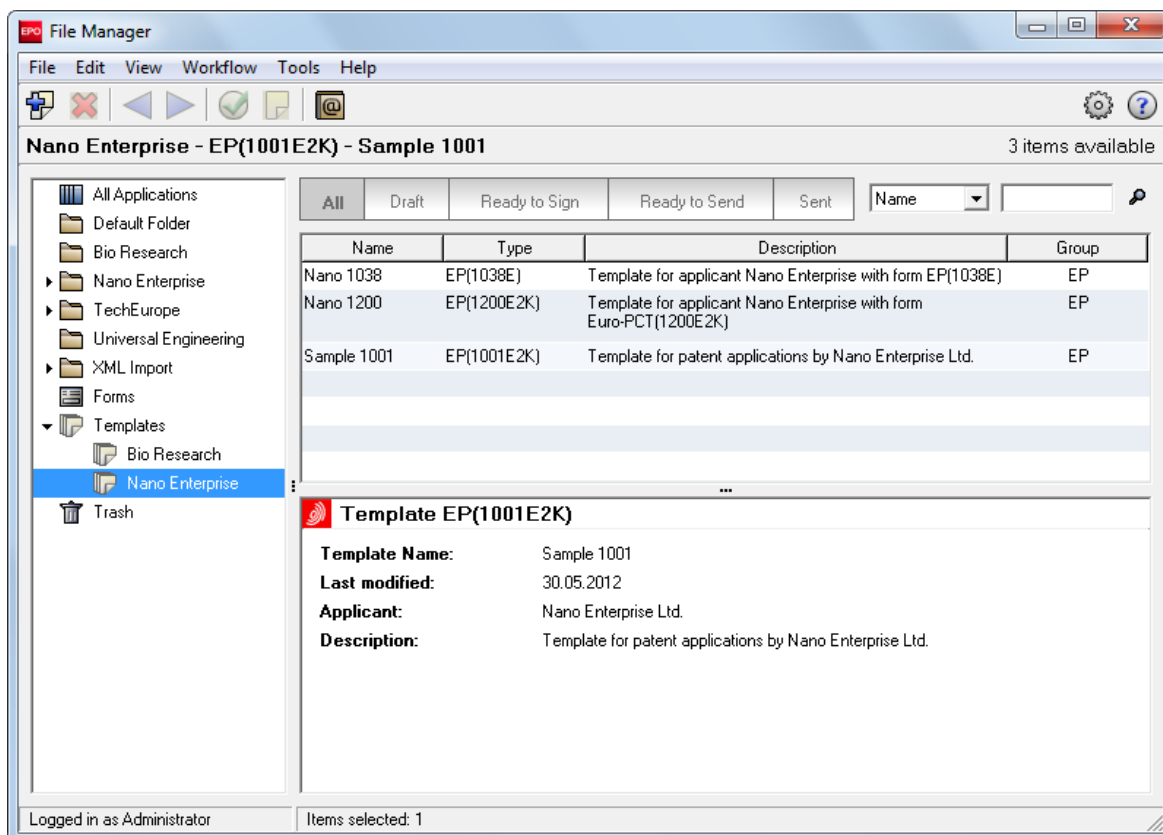


Figure 22: Templates folder with sub-folders and new template

Creating a template from an application already processed (Sent, Ready to send, Ready to sign)

Only applications still in **Draft** status can be directly converted into templates. There is, however, also a way to create a template from an application, for instance, that has already been sent.

- In File Manager, select the application you want to use as a template.
Its status can be **Ready to sign**, **Ready to send** or **Sent**.
- Right-click the application and select **Copy application** in the shortcut menu.
- Type a new **user reference**.
- Click **Copy**.
The copy now appears in **Draft** status in File Manager.
- Right-click this application and select **Convert to template** in the shortcut menu.
- To continue, proceed as described above.

Copying a template

- Click the **Templates** folder.
- Select the template you want to copy.
- Right-click the template and select **Create a copy of template** in the shortcut menu.
- Enter a name for the new template in the **Copy template** window.
- Click **Copy**.

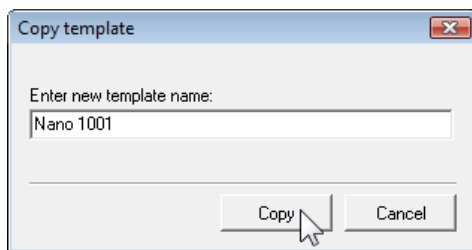


Figure 23: Creating a new template by copying an existing template

In File Manager, the new template appears in the same folder as the copied template.

4.4.2 Using a template

You can use your templates immediately to create a new application.

→ In the **Templates** folder, double-click the template you require.

-OR-

Click the **New Draft** button in the toolbar.



The **Create a New Application** window opens.

→ Where applicable, select the template you want in the **Based on Template** list.

→ Enter the details for the new application.

→ Click **Create**.

Figure 24: Create a new application based on a template

4.4.3 Modifying a template

You cannot change the underlying procedure in a template. Nor can you rename a template. Changes made to a template are not transferred to existing applications based on this template.

Editing data in a template

→ Click the **Templates** folder.

→ Select the template you want to edit.

→ Right-click the template in the list and select **Edit template** from the pop-up menu.

The template will open in the form view.

→ Modify the data as required and save the template.

Updating fee information in a template

When you create a template, the most recent fee schedule for the selected procedure is always entered in full in the template. The Live Update routine updates the fee information in Online Filing - but not in existing templates - whenever the EPO issues new fees.

A warning message appears if the template that you try to open to create a new application still contains outdated fee information.

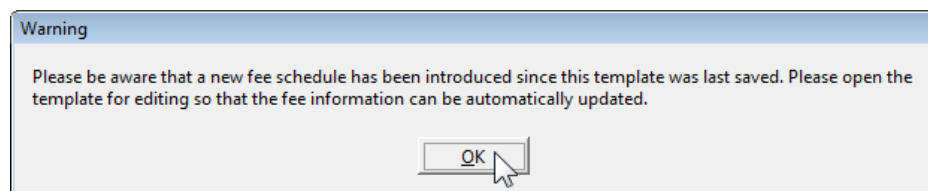


Figure 25: Warning when you open a template containing outdated fee information

- Click **OK** to cancel the operation.

Update the template before you resume working with it.

- Right-click the template in File Manager and select **Edit template** in the shortcut menu.
A warning message about updating fee information appears.

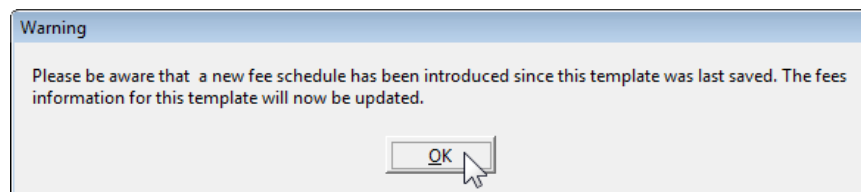


Figure 26: Warning about updating fee information in a template

- Click **OK**.
The template now opens with the new fees.
- Save the template.

Modifying the template description

- Click the **Templates** folder.
- Select the template you want to edit.
- Right-click the template and select **Properties** in the shortcut menu.
- Change the text in the **Template description** field in the **Template properties** window.
- Click **Save**.

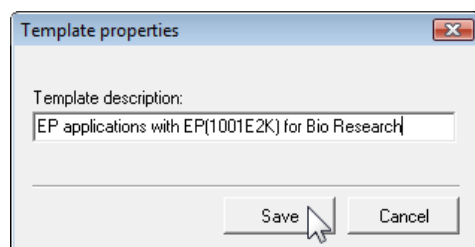


Figure 27: Changing template properties

4.5 Workflow and status

In Online Filing, the **workflow** is the sequence of all tasks related to the filing of an application, that is, from the creation of a draft to the successful transmission of an application to the EPO. The **status** of an application indicates which tasks have already been performed for an application and which task can be performed next.

File Manager shows the current status of each application, that is, either **Draft**, **Ready to sign**, **Ready to send** or **Sent**. You can filter the list of applications so that only applications in a specific status are displayed.

→ Click a status button for a list of all the applications in the relevant status.

All	Draft	Ready to Sign	Ready to Send	Sent

All	Shows all applications in the File Manager folder currently selected.
Draft	All applications that are still being processed. Applications in this status are missing either mandatory information or documents required for the procedure.
Ready to sign	Mandatory information and documents have been included but signatures have not been added.
Ready to send	Mandatory information and documents has been included and signatures have been added.
Sent	The application was successfully transmitted to the EPO and the acknowledgment of receipt was received from the EPO.

4.5.1 Changing the status of an application in File Manager

The workflow process in Online Filing helps you to fill out applications correctly and in full. The software checks the documents and data contained in an application for compliance with the legal framework and the **Validation** (p. 40) function informs you about which data is missing or has to be corrected. An application can only move forward to the next status in the workflow if all necessary data was entered and is correct (where verifiable).

① You can only change the status of applications if your user name is assigned the corresponding privileges in Online Filing.

You can change the status of applications either via the **Next** and **Previous** workflow buttons in the toolbar or via the **Workflow** menu. The workflow buttons only ever change the status one step at a time to the next or previous stage. In contrast, you can use the menu options to change the status several steps at a time, e.g. from **Ready to send** directly back to **Draft**.

- Select the application you want in File Manager.
- Select one of the options available in the **Workflow** menu to move an application back or forward.
- Select **Workflow > Change Status** followed by the required option to move the application back to a specific status.

-OR-

Keep clicking the relevant workflow button until the application reaches the status you want.

	Next	Move the application forward a step in the workflow process. You can only move an application to the next step if the current data is sufficient, e.g. only an application signed with a digital signature can be moved to Ready to send status.
	Previous	Move the application back a step in the workflow process, e.g. return it to Draft status so that changes can be made.

Example 1

In this example, the selected application is in **Draft** status and already contains all mandatory information. Clicking the **Next** button moves the application to **Ready to sign** status and opens it in the PDF Viewer. Notice that the **Previous** button is disabled because **Draft** is the first step in the workflow process.

The tool-tip on the **Next** button says "Ready to sign".

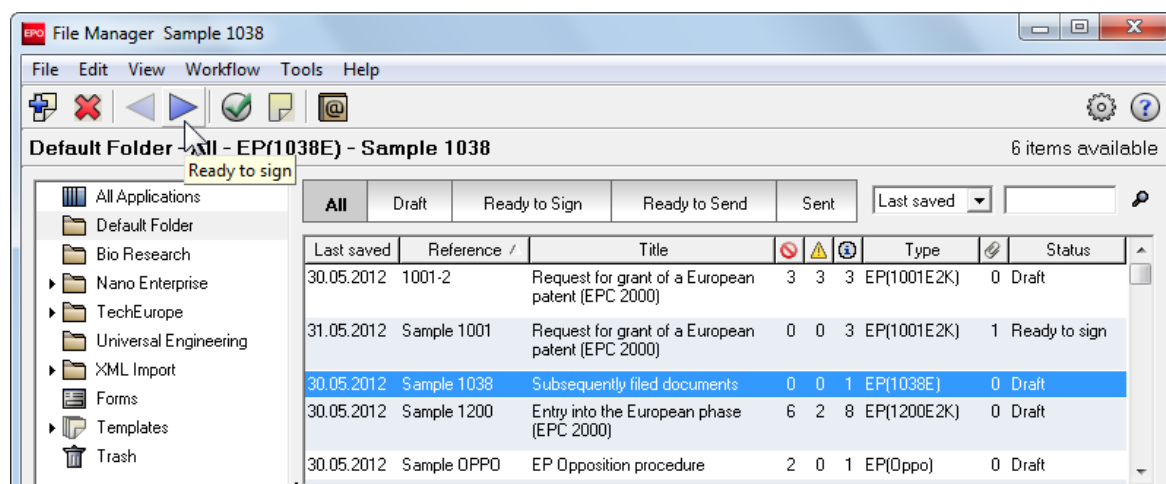


Figure 28: "Ready to sign" option available in the workflow

Example 2

In this example, the status of the selected application is **Ready to sign**. Clicking the **Next** button initiates the signing process. Note that the **Previous** button is enabled. Clicking it would return the application to **Draft** status.

In this example the tool-tip on the **Next** button says "Sign".

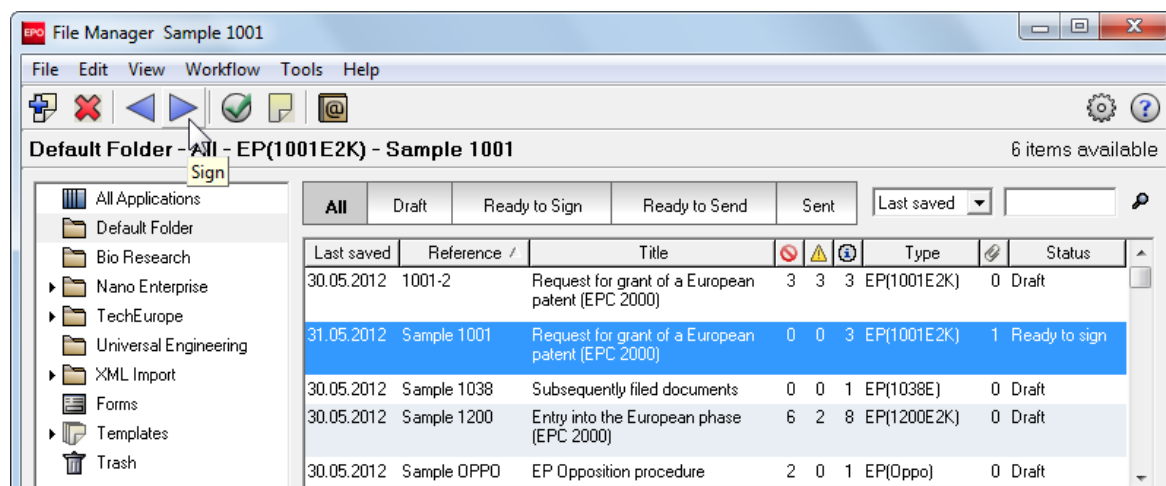


Figure 29: "Sign" option available in the workflow

4.5.2 Changing the status of an application in the form

An application remains in **Draft** status until you actively change its status, e.g. move the application to **Ready to sign** status.

- Open an application in **Draft** status.
- In the form toolbar, click the **Next** button.

① Form PCT/RO/101 provides different functions; see **Processing the PCT/RO/101 application** (p. 330) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

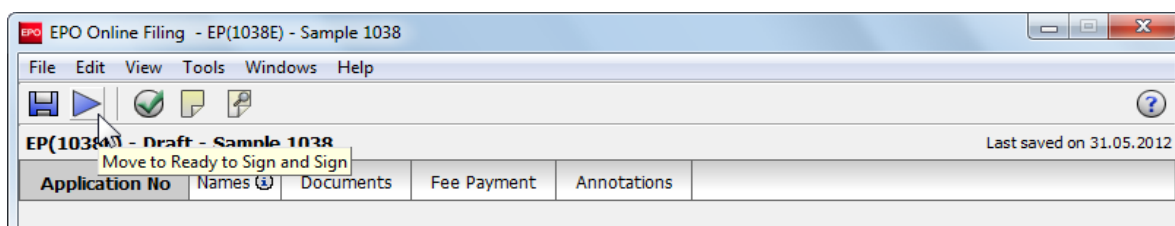


Figure 30: Using workflow buttons in the form view to move an application to "Ready to sign" status

-OR-

- Select **Close** from the File menu followed by **Move to Ready to Sign and exit**.

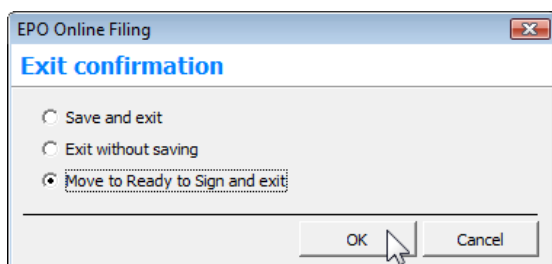


Figure 31: Moving an application to "Ready to sign" status when closing a form

When an application leaves **Draft** status, the next step in the workflow process automatically starts the next time the application is opened.

For example, the signing process automatically starts if you open an application in **Ready to sign** status and the sending process initiates if you open an application in **Ready to send** status.

Use the **Previous** workflow button in File Manager to move the application back to **Draft** status in order to make changes in the form view.

4.6 Validation

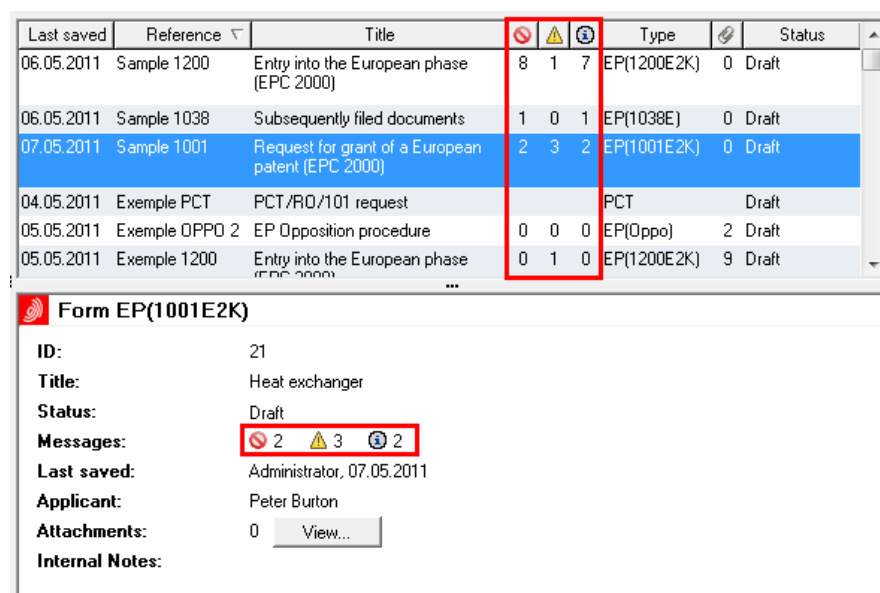
The Online Filing software incorporates validation mechanisms that check the logical consistency of data entered in an application and compares it with the legal requirements of the EPC and the various filing offices. For the latest version of the EPC, see the EPO website at **Law & practice > Legal texts > European Patent Convention** (<http://www.epo.org/law-practice/legal-texts/epc.html>).

There are three severity levels for validation messages:

Icon	Severity	Validation state
	1	The red icon for error means that mandatory information required by the EPC is missing or the data provided is incorrect. You must supply or amend this information before you can submit the application.
	2	The yellow icon for warning means that some information is missing but may be supplied subsequent to your filing.
	3	The grey icon for message means that helpful hints concerning your filing are available.

In File Manager, the total number of validation messages about an application is shown both in the **Application List** and the **Info Pane**.

There are no validation indications for the PCT/RO/101 requests shown in the overview screens as the validation system operated by the PCT/RO/101 is not compatible with the data format used by the EPO Online Filing File Manager. For more information on validation messages, please refer to **PCT/RO/101** (p. 257) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.



Last saved	Reference	Title	Validation Status	Type	Status
06.05.2011	Sample 1200	Entry into the European phase (EPC 2000)	8 1 7	EP(1200E2K)	0 Draft
06.05.2011	Sample 1038	Subsequently filed documents	1 0 1	EP(1038E)	0 Draft
07.05.2011	Sample 1001	Request for grant of a European patent (EPC 2000)	2 3 2	EP(1001E2K)	0 Draft
04.05.2011	Exemple PCT	PCT/RO/101 request		PCT	Draft
05.05.2011	Exemple OPPO 2	EP Opposition procedure	0 0 0	EP(Oppo)	2 Draft
05.05.2011	Exemple 1200	Entry into the European phase (EPC 2000)	0 1 0	EP(1200E2K)	9 Draft

Form EP(1001E2K)

ID: 21

Title: Heat exchanger

Status: Draft

Messages:  2  3  2

Last saved: Administrator, 07.05.2011

Applicant: Peter Burton

Attachments: 0 [View...](#)

Internal Notes:

Figure 32: Number of validation messages in the Info Pane and Application List

In the form view, the validation status is indicated by icons in the tabs corresponding to the form sections.

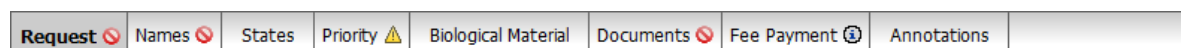


Figure 33: Validation icons in a form's tabs indicate missing data

The total number of validation messages per severity level is also displayed in the status bar of the currently opened application.

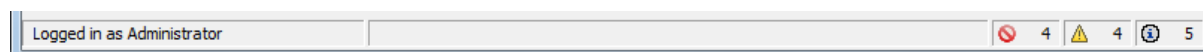


Figure 34: Number of validation messages indicated in the form's status bar

Note that the validation icons change dynamically as you enter new data.

- Click the **Validation** button in an application's form view to view the messages specific to the currently displayed tab.
- Click the **Validation** button in the **File Manager** to see all the messages concerning the selected application.



The validation messages are displayed in a separate window.

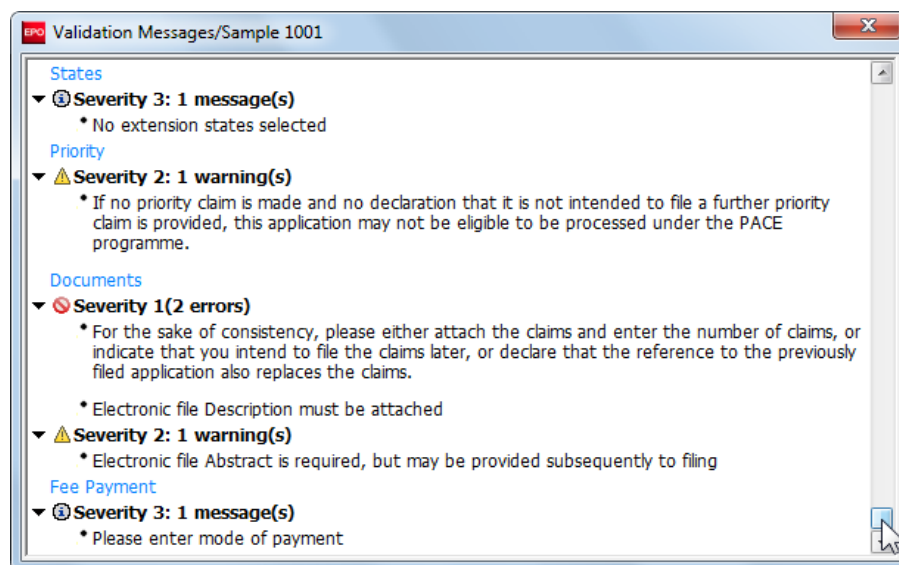


Figure 35: All validation messages for an application

You can leave the validation window open to keep track of your applications while working in File Manager.

- Select **View > Validation > Docked** to dock the validation window under the File Manager window.
 - ① If you want the validation window to appear docked to the form window each time, select the corresponding option for **Startup** (p. 56) in User Preferences.
- If you prefer, you can select **Validation > Undocked**.
 - This option leaves the floating window open and allows resizing of the window.
- To close the validation window, select **Validation > Hide** from the **View** menu.

4.7 Internal Notes

Internal Notes can be used by the persons handling an application within a company to exchange information without sending it to the EPO. You can only create and delete internal notes in the applications, not in File Manager. Notes are displayed as read-only when opened from File Manager.

Information for the EPO is inserted in the form's **Annotations** tab, see **EP(1001E2K) Annotations** (p. 164).

❗ For instructions on annotations and notes in form PCT/RO/101, please refer to **PCT/RO/101 Annotate** (p. 325) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

Creating Internal Notes

- In the procedural form, click the **Internal Notes** button in the toolbar.



Any notes already created for this form are listed.

- Click the **New** button.



- Enter the author's name, subject and note text.

Figure 36: Sample for internal notes, created in the form

Viewing Internal Notes

- In File Manager, select the application of which you wish to view the notes.
- Click the **Internal Notes** button in the toolbar.



- In the list click a note to display it.

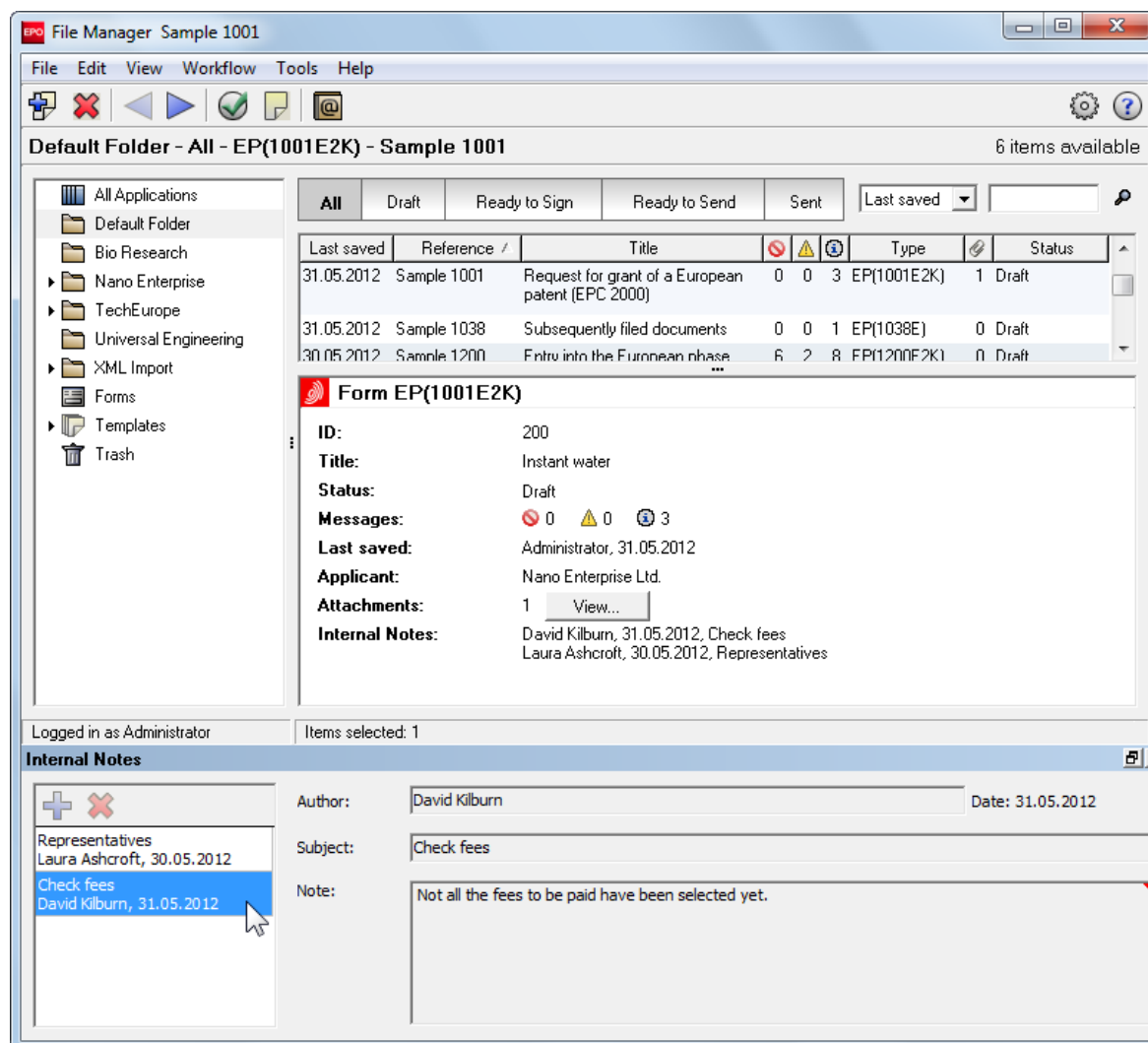


Figure 37: Example of an internal note in the docked Internal Notes window in File Manager

① Like the validation window, the Internal Notes window can be set to **Docked**, **Undocked** or **Hide** from the **View** menu.

4.8 Address Book

The **Address Book** is a facility for storing contact details (e.g. applicants, representatives, inventors).

Open File Manager first to activate the Address Book.

→ Select **Tools > Address Book** from the File Manager menu.

-OR-

Click the **Address Book** button in the toolbar.

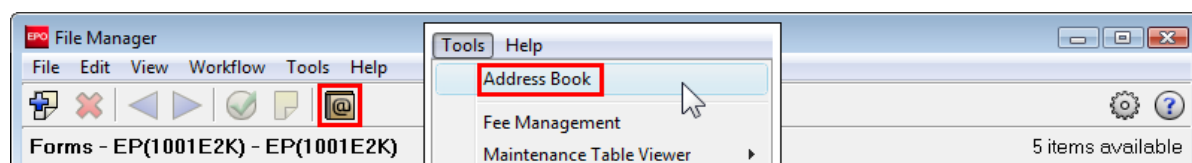


Figure 38: Opening Address Book in File Manager

Entries in the Address Book are grouped by legal and natural persons. Note that a **legal person** is represented by the icon  and a **natural person** by the icon .

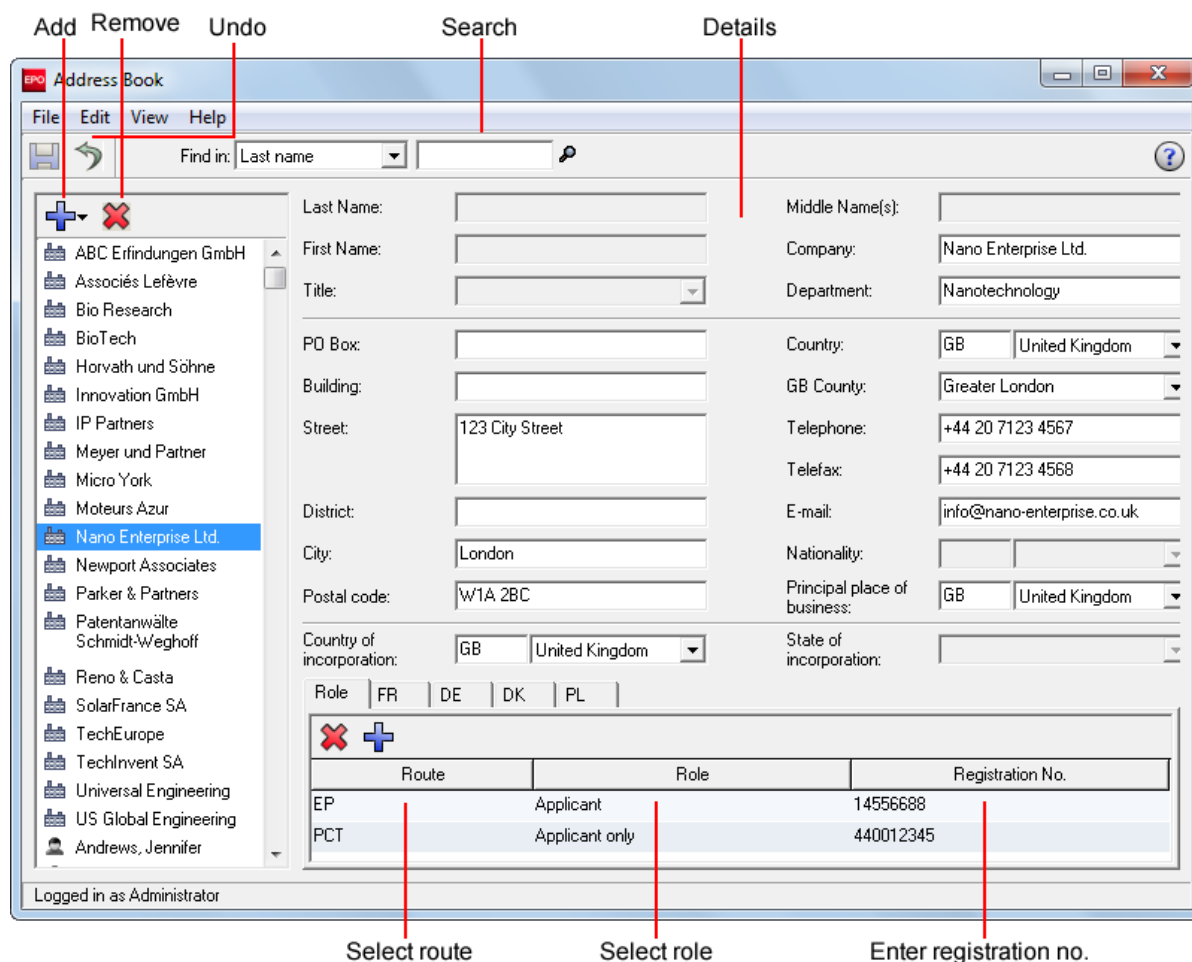


Figure 39: Address Book with legal and natural persons

Address Book functions and buttons

Option	Comments
Add	Click  to create a new Address Book entry.
Remove	Click  to delete the Address Book entry currently selected.
Revert changes	Click  to cancel entries or changes.
Search	Select the data field you want to search in the Find in drop-down list and then enter the relevant search term in the search field. Click  to find matching Address Book entries.
Enter details	Edit the personal details in the data fields. You must enter at least a first and last name for a natural person or at least the company name for a legal person.
Select route	Click this field to open a drop-down list of routes.
Select role	Click this field to open a drop-down list of features for the selected route.
Enter registration number	Click the field to enter the registration number.

Exchange of data between Address Book and forms

When filling out forms, you can **copy entries** (see "**Adding names from the Address Book to a form**" p. 48) from the Address Book for the persons listed in the Names tab. You can also copy the information on a person you entered in a form to a **new entry** (see "**Saving names from a form to the Address Book**" p. 50) in the Address Book.

 For instructions on exchanging address data with form PCT/RO/101, please refer to **Adding names from the Address Book to a form and vice versa** (p. 286) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

! **Note:** Data loss can occur in Online Filing if information from an EP form is copied to the Address Book and then transferred to a non-EP form, and vice versa. You should therefore check the integrity of address data when transferring Address Book entries and add any missing information manually.

Exchange of data between Address Book and external files

You can create Address Book entries either directly in Online Filing or **import** (see "**Importing Address Book names**" p. 53) them from existing CSV files. You can also **export** (see "**Exporting Address Book names**" p. 52) entries created in Online Filing to an external CSV file.

4.8.1 Creating names in the Address Book

- In the Address Book select **New Person** or **New Company** from the **File** menu.
- OR-
- Click the **Add** button, and then select **Legal Person** or **Natural Person**.

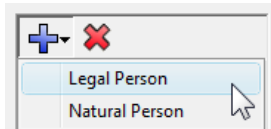


Figure 40: Creating a new person

- Enter the details in the fields on the right.
- Click the **Save Changes** button.



A warning appears if there is already an Address Book entry with the same name.

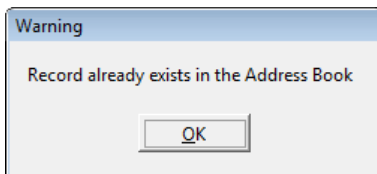


Figure 41: Warning: Record already exists in the Address Book

- ◆ The data in the First Name, Last Name and Registration No. fields is compared for natural persons. The Address Book allows you to create two entries with the same first name and last name but different registration numbers.
- ◆ You can save two entries with the same company name but different registration numbers for legal persons.

Editing names in the Address Book

- Select the name you wish to change.
- Edit the data.
- Click the **Save Changes** button to store the changes.



- To cancel the changes, click the **Undo** button.



Deleting names from the Address Book

- Select the entry you wish to remove.
- Click the **Delete** button.



4.8.2 Routes and roles

The **Route**, **Role** and **Registration No.** fields are grouped as a table in the **Role** sub-tab, situated on the right side of the Address Book below the personal data.

① A registration number is no longer required for filing with the EPO.

Adding a route and role to a name

- Select the name you wish to use in the Address Book.
- Click the **New** button (in the **Role** sub-tab).



The route **EP** and the role **Applicant** are added automatically.

- To select another route, click the field to open it for editing.

All routes supported by Online Filing are listed in the **Route** drop-down list, irrespective of whether they are actually activated in your system.

- Select the **role** in the same manner.
 - The roles for the EP route are **Applicant** and **Representative**.
 - The roles for the PCT route are **Applicant only** and **Agent**.

Route	Role	Registration No.
EP	Applicant	0.0

Figure 42: Selecting a role for the EP route

- Click the grey field in the **Registration No.** column to activate it.
 - Enter the registration number for the selected role.
- ① For more information on the format of registration numbers, contact the relevant national office.

Multiple registration numbers

If a person has registration numbers for different filing offices, you can create multiple lines with routes, roles and registration numbers.

- To create a second line, click the **New** button once more.
- Select the **Route** and **Role** options.
- Enter the registration number.

Route	Role	Registration No.
EP	Applicant	14556688
PCT	Applicant only	440012345

Figure 43: Multiple roles and registration numbers entered

Deleting a route and role

- Select the relevant line in the Address Book entry.
Click the **Delete** button (in the **Role** sub-tab).



4.8.3 Adding names from the Address Book to a form

You can insert the names saved in the Address Book into your applications.

- In the **Names** tab of Form EP(1001E2K) click the **Add** button.
- Select a role, e.g. **Representative, Legal Practitioner**.

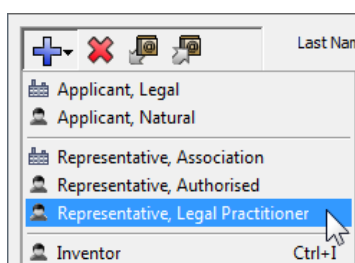


Figure 44: Selecting Representative, Authorised

- Click the **Copy from Address Book** button.



The Address Book opens. The list of names is filtered and only shows natural persons because the **Representative, Legal Practitioner** role is defined as a natural person.

- In the Address Book click the name to be selected.
- Click the **Copy person to the form** button to confirm.

Find in: Last name			
Last Name:	Carrington	Middle Name(s):	
First Name:	John	Company:	IP Partners
Title:	Mr	Department:	
PO Box:		Country:	GB United Kingdom
Building:		GB County:	Cambridgeshire
Street:	Cambridge Science Park 100 Red Lion Square	Telephone:	+44 1223 351670
District:		Telefax:	+44 1223 352690
City:	Cambridge	E-mail:	carrington@ip-partners.co.uk
Postal code:	CB2 1AB	Nationality:	GB United Kingdom
Country of incorporation:		Residence:	GB United Kingdom
		State of incorporation:	

Figure 45: Copy representative's data to the form

The entry is added to the **Names** tab of the current form.

EPO Online Filing - EP(1001E2K) - Sample 1001

File Edit View Tools Windows Help

EP(1001E2K) - Draft - Sample 1001 Last saved on 07.05.2011

Request **Names** States Priority Biological Material Documents Fee Payment Annotations

Applicants
 Burton, Peter
Representatives
 Carrington, John
 Inventors

Name and Address | Authorisation |

Last Name: Carrington
 First Name: John
 Title: Mr
 Company: IP Partners
 Department:
 Association:

Please use appropriate upper and lowercase letters

Country: GB United Kingdom
 Address: Cambridge Science Park
 100 Red Lion Square
 Postal code: CB2 1AB
 City: Cambridge
 GB County: Cambridgeshire

Telephone: +44 1223 351670
 Telefax: +44 1223 352690
 E-mail: carrington@ip-partners.co.uk

☐ Same address as the first representative

Logged in as Administrator

Figure 46: Data and registration number for representative entered automatically in form

4.8.4 Saving names from a form to the Address Book

If you enter details on a person in a form's **Names** tab, you can save this information in the Address Book for future use.

- In the **Names** tab, select the name you wish to save..
- Click the **Copy to Address Book** button.



A warning appears and the entry is not saved in the Address Book if the name already exists in the Address Book.

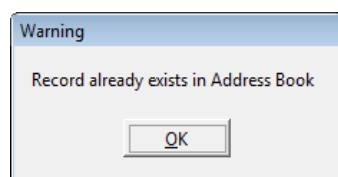


Figure 47: Warning: Record already exists in Address Book

If the data has been successfully copied to the Address Book, a corresponding message in the **status bar** is displayed.

EPO Online Filing - EP(1001E2K) - 1001-Reference

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001-Reference Last saved on 07.05.2011

Request **Names** States Priority Biological Material Documents Fee Payment Annotations

Applicants: **Parker & Partners**

Representatives: Kilburn, David

Inventors:

Company: Parker & Partners

Department: Nanotechnology

Country: GB United Kingdom Telephone: +44 1304 76002-0

Address: 267, Harbour Road Telefax: +44 1304 76002-40

E-mail: info@parker.co.uk

Postal code: CT16 3PJ

City: Dover

GB County: Kent Residence: GB United Kingdom

☐ Address for correspondence

☐ Parker & Partners is represented by the following employee acting pursuant to Art. 133(3) EPC:

Last Name: General Authorisation:

First Name:

Title:

Logged in as Administrator Data successfully copied to Address Book

Figure 48: Applicant's data successfully copied from the form to the Address Book

Multiple entries for a legal person

You can specify a separate address for correspondence with one of the applicants, e.g. see **Applicants** (p. 125) in the EP(1001E2K) section.

- Add an address for correspondence and enter the required information.
- Click the **Copy to Address Book** button.

This creates an additional Address Book entry for a legal person with the same company name, but with different address data.

The screenshot shows the 'Address Book' entry form. On the left, a list of companies is displayed, with 'Parker & Partners' selected and highlighted in blue. The main form contains the following fields:

- Last Name:** [Empty]
- First Name:** [Empty]
- Title:** [Empty]
- Middle Name(s):** [Empty]
- Company:** Parker & Partners
- Department:** Legal Affairs
- PO Box:** [Empty]
- Building:** [Empty]
- Street:** P.O. Box 4560
- District:** [Empty]
- City:** Dover
- Postal code:** CT16 3PJ
- Country of incorporation:** [Empty]
- Country:** GB (United Kingdom)
- GB County:** Kent
- Telephone:** [Empty]
- Telefax:** [Empty]
- E-mail:** [Empty]
- Nationality:** [Empty]
- Principal place of business:** [Empty]
- State of incorporation:** [Empty]

Figure 49: Additional address for correspondence copied to the Address Book

Data required for Address Book entries

An entry for a natural person must contain the first and last name while an entry for a legal person must contain the name of the company.

An appropriate message appears in the status bar if the entry in the form does not satisfy these conditions and the entry is not saved to the Address Book.

The screenshot shows the 'Address Book' entry form with an incomplete entry for 'Flintstone'. The left sidebar shows 'Applicants' with 'Parker & Partners' and 'Flintstone' listed. The main form contains the following fields:

- Last Name:** Flintstone
- First Name:** [Empty]
- Title:** [Empty]
- Company:** [Empty]
- Department:** [Empty]
- Country:** [Empty]
- Address:** [Empty]
- Postal code:** [Empty]
- City:** [Empty]
- Region:** [Empty]
- Telephone:** [Empty]
- Telefax:** [Empty]
- E-mail:** [Empty]

Below the form, there is a checkbox labeled 'Same address as the first representative' which is unchecked. At the bottom of the form, a red box highlights the error message: 'Last name and first name can't be empty'.

Figure 50: Incomplete entry is not copied to the Address Book from the form

4.8.5 Exporting Address Book names

This option allows you to save names from the Online Filing Address Book to an external location on your computer.

→ In the Address Book, select **File > Export** from the menu.

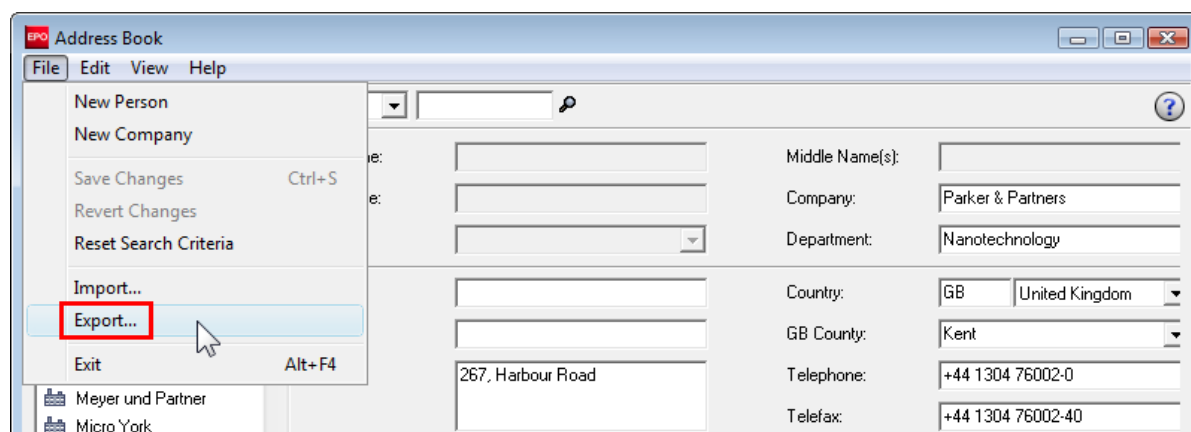


Figure 51: Exporting data from the Address Book

→ Select a **location** and enter a **file name**, and then click **Save**.

The entire Address Book is exported and saved as a file in **CSV format**.

CSV files (CSV = Character Separated Values) contain data in text-only format that can be read by many different programs. These files display data records as single lines in which the individual data fields are separated by delimiters. A delimiter is a marker, such as a comma, a semicolon or a tab character.

Example

The figure below shows a CSV file exported from the Address Book and opened in **Microsoft Notepad**. In this case, the delimiters are semicolons. The first line is the header containing the field names. These are only in English and are for internal use in Online Filing. The second line contains information on the first person in the Address Book.

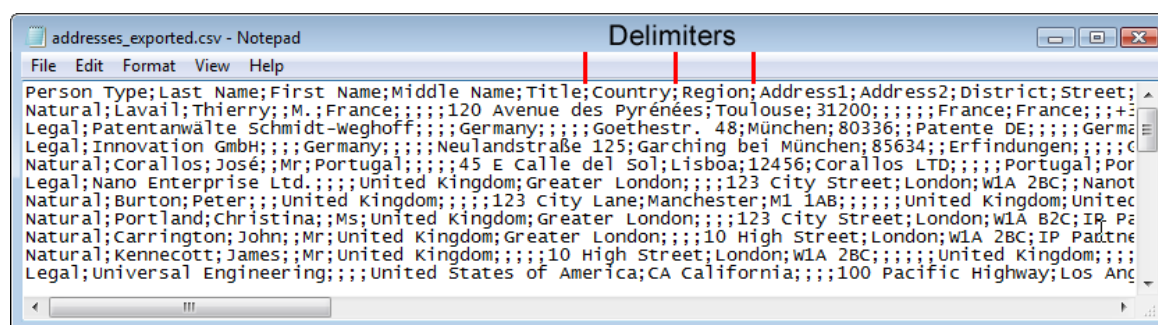


Figure 52: Sample CSV file opened in Notepad

This is how the same CSV file appears in **Microsoft Excel**. The data records are arranged in rows here and the data fields in columns. The first line again contains the field names as column headings. Persons are sorted by the date when the entry was created in the Address Book.

	A	B	C	D	E	F	G
1	Person Type	Last Name	First Name	Middle Nam	Title	Country	Region
2	Natural	Lavail	Thierry		M.	France	
3	Legal	Patentanwälte Schmidt-Weghoff				Germany	
4	Legal	Innovation GmbH				Germany	
5	Natural	Corallos	José		Mr	Portugal	
6	Legal	Nano Enterprise Ltd.				United Kingdom	Greater London
7	Natural	Burton	Peter			United Kingdom	
8	Natural	Portland	Christina		Ms	United Kingdom	Greater London
9	Natural	Carrington	John		Mr	United Kingdom	Greater London
10	Natural	Kennecott	James		Mr	United Kingdom	
11	Legal	Universal Engineering				United States of America	CA California

Figure 53: Sample CSV file in Microsoft Excel spreadsheet

① The application associated with CSV file formats depends on your computer setup. A Windows system opens CSV files by default with Microsoft Excel, provided this software is installed on the PC.

4.8.6 Importing Address Book names

This option allows you to import names from an external **CSV file** into the Online Filing Address Book.

Preparing the CSV file with multiple roles

When importing addresses from an external CSV file, all data on the route, role and registration number is contained in the **Role** field. All of the data must be within the one field but divided by vertical bars (|). The different terms for representative and applicant in the various routes must be entered in English so that they can be imported by Online Filing.

	A	B	C	D
1	Person Type	Last Name	First Name	Role
2	Natural	Andrews	Julie	EP Representative 14556889 PCT Agent 560088991
3				
4				
5				

Figure 54: Different sets of data for EP and PCT routes

Importing the CSV file

- In File Manager select **Tools > Address Book** from the menu.
- OR-
- Click the **Address Book** button in the toolbar.
- In the Address Book, select **File > Import** from the menu.

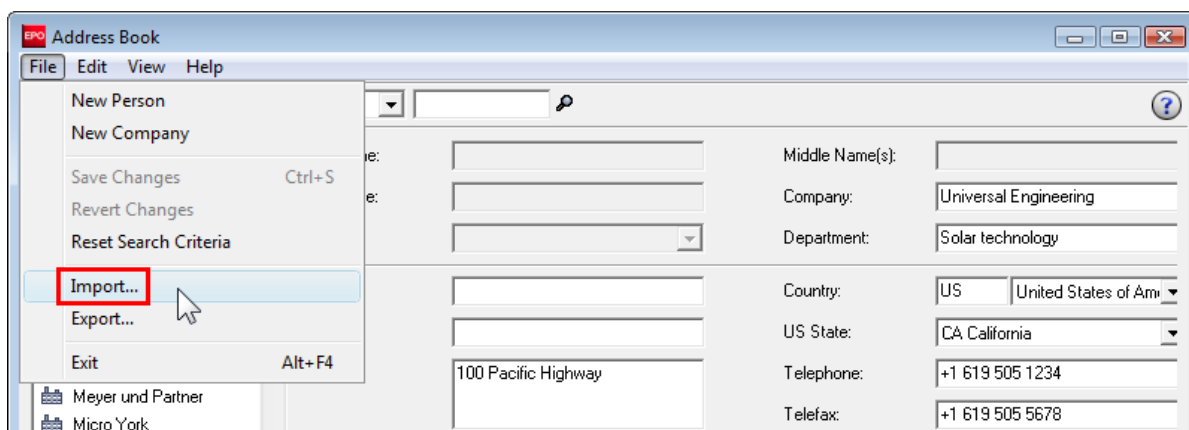


Figure 55: Importing data into Address Book

- Select the CSV file you want to import on your PC.
- Click **Open**.
- ❗ The CSV file must not be open in another program at the same time.

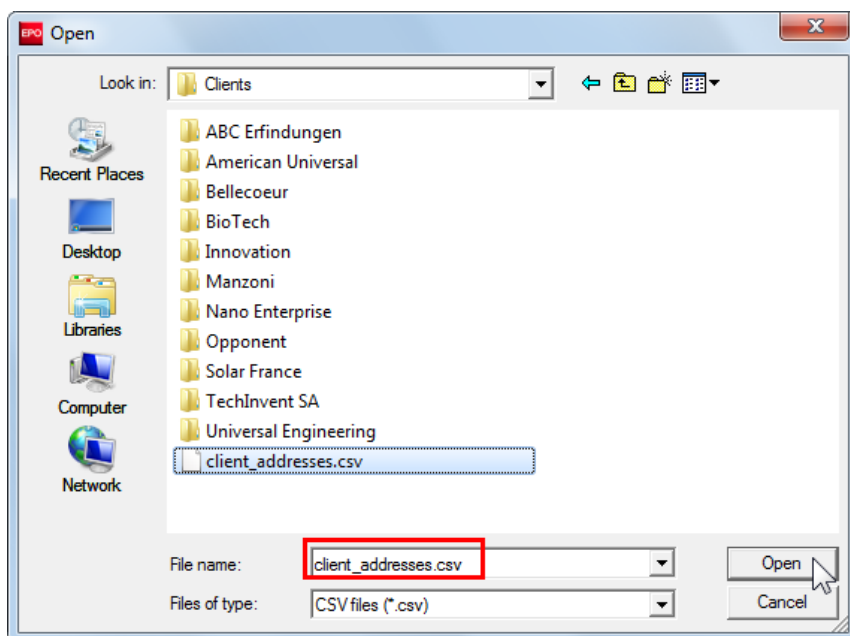


Figure 56: Selecting CSV file for import into Address Book

Mapping field names

Online Filing compares the names of the fields in the CSV file with the names of the fields in the address book. The fields' names are automatically assigned to each other if they match up exactly. If the name in the CSV File Field column differs from the name in the **Address Book Field** column, **None** is displayed in the list. In this case, you have to map the names manually.

- Open a drop-down list of available field names by double-clicking the entry you want to change in the **CSV File Field** column.
- Select the matching field in your CSV file. If there is no matching field, set the option to **None** to leave the Address Book field blank.

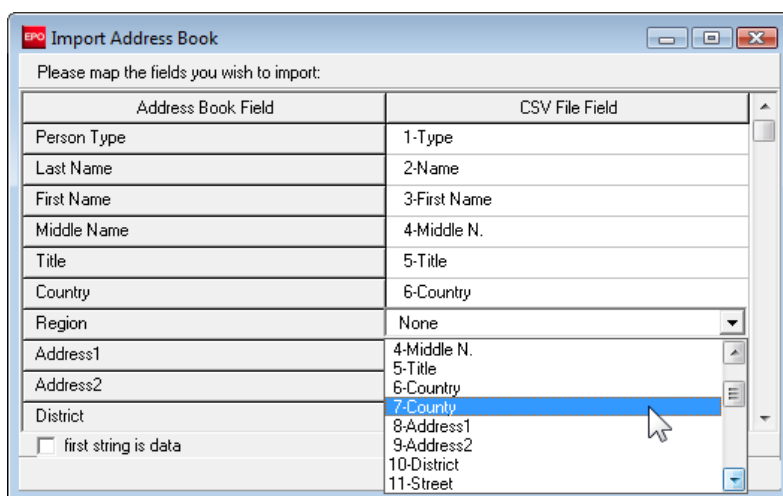


Figure 57: Import Address Book - matching field names

Handling duplicate entries

The import process is now started. If the software finds a duplicate name in the Address Book a prompt appears.

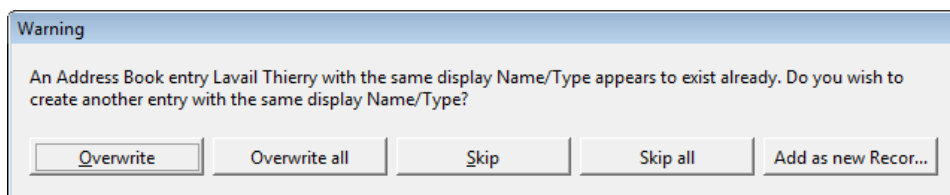


Figure 58: Address Book prompt for duplicate entries

- Click **Overwrite** to replace the existing name with the imported data. If the software finds a further duplicate name, you will be asked again how you wish to proceed.
 - Selecting **Overwrite all** will replace all existing duplicate names at once.
 - Click **Skip** if you do not wish to import a particular duplicate name. You will be prompted again if the software finds a further duplicate name.
 - Click **Skip all** if you do not wish to import any of the duplicate names.
 - Click **Add as new record** to import the duplicate name as a new entry in the Address Book.
- ❗ If no person type (either natural or legal) is indicated for a record, a legal person type is assumed by default. If both first name and last name are indicated, a natural person type is assumed.

4.9 User Preferences

Online Filing enables all users to individually set their preferred settings for working with the software. These user preferences can be set independently both in production mode and demo mode.

- Select **Preferences > User Preferences** from the Tools menu in File Manager.
- ① Changes only take effect the next time you start File Manager.
- Click **OK** to apply your changed settings and restart File Manager.
- Click **Reset All Settings** to restore the previous user preferences.

The screenshot shows the 'EPO User Preferences' dialog box with the following settings:

- Startup:** Default mode is set to **Production** (selected with a radio button). There is an unchecked checkbox for 'Dock validation in forms at startup'.
- Language:** Startup Language is set to **English** (selected in a dropdown menu). There is an unchecked checkbox for 'Open forms in the language of the File Manager'.
- Signing Preferences:** **Smart Card** is selected (radio button). Other options are 'Alphabetical' and 'Facsimile'.
- Confirmations:** Three checkboxes are checked: 'Confirm upon deletion of entries in applications', 'Show information about renaming of attached files', and 'Warn when creating an application with an already existing user reference'. The checkbox 'Start signing immediately when moving application forward from draft status' is unchecked.
- Working Directories (applies only to v3 procedures):** There is an unchecked checkbox for 'Remember the last used directory'. Below are four text boxes for 'Import', 'Export', 'Attach', and 'CD-R', all containing the path 'C:\Program Files\EPO_OLFS\fm'. Each text box has a 'Browse...' button to its right.
- Network Settings:** There is a checked checkbox for 'Use Default Network Settings'. Below are fields for 'Proxy Server', 'Username', 'SSL Version' (set to 'SSLv3' in a dropdown), and 'Password'.
- At the bottom are three buttons: 'Reset All Settings', 'OK', and 'Cancel'.

Figure 59: User preferences in File Manager, default options

4.9.1 Startup

- Select your preferred mode for startup: **Production** or **Demo**.
The working mode is selected in the login window; see **Overview of Online Filing** (p. 10).
- If you want the validation messages to appear each time you open an application, select the check box **Dock validation in forms at startup**.
The **Validation Messages** window can be docked below the form; see **Validation** (p. 40).

4.9.2 Language

The File Manager user interface can be used in English, German, French, Dutch, Spanish, Romanian, Slovak, Polish or Swedish.

→ Select the **startup language** you wish to work in.

By default, a form's user interface is displayed in the selected language of proceedings; see **Creating a new application** (p. 25).

→ If you want to work in the same language in the form as in the File Manager, select the check box **Open forms in the language of the File Manager**.

① This option does not apply for PCT/RO/101 forms. The PCT/RO/101 form's interface will always be in the language which was set in File Manager when creating the new application.

The language of proceedings, however, can only be English, French or German. Therefore, the default language of proceedings in a new application will be English if you set Dutch, Spanish, Romanian, Slovak, Polish or Swedish as the language for File Manager.

4.9.3 Signing preferences

The signing preferences show the options allowed by the Online Filing system settings; see **Signing settings** (p. 61). If an option is greyed out, this means that your Online Filing administrator has disabled it in the System preferences.

→ Select the type of signature you usually use:

- **Smart card** (default)
- **Soft certificate** (only available in demo mode)
- **Alphabetical**
- **Facsimile**

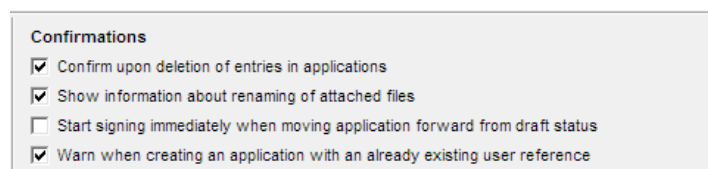
When signing an application, you can still select a different type of signature if required.

! ***Note:** At present, the EPO does not accept soft certificates as an electronic signature for filings to the EPO server.*

The soft certificate signing option can be used for online filing, however, if the office concerned accepts this certificate. Please see the website of the office concerned for details.

4.9.4 Confirmations

Online Filing prompts you with warning windows following certain actions. You can avoid some extra clicks by deactivating these confirmation dialogues.



Confirmations	
☒	Confirm upon deletion of entries in applications
☒	Show information about renaming of attached files
☐	Start signing immediately when moving application forward from draft status
☒	Warn when creating an application with an already existing user reference

Figure 60: Default settings for confirmations

→ If you do not wish to receive notifications about deletions of files, clear the check box for **Confirm upon deletion of entries in applications**.

-OR-

When a prompt appears in the procedural form you can choose not to display it in future.

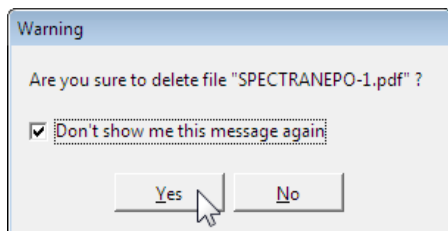


Figure 61: Prompt to confirm deletion of file

- If you do not wish to receive notifications about renaming of files, clear the check box for **Show information about renaming of attached files**.

-OR-

When a prompt appears in the procedural form you can choose not to display it in future.

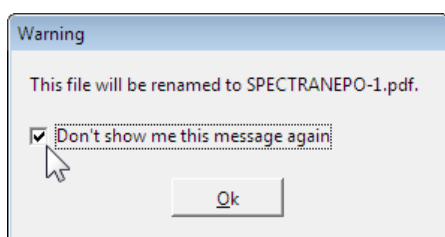


Figure 62: Information on renaming file

- Select the check box **Start signing immediately when moving application forward from draft status** if you want an application in **Draft** status to move directly to **Ready to sign** status by clicking the **Next** workflow button in File Manager.
- If you want to use an existing user reference for a new application and not receive a warning, clear the check box **Warn when creating an application with an already existing user reference**.

-OR-

If this warning appears when creating a new application, you can decide whether or not it should appear in future.

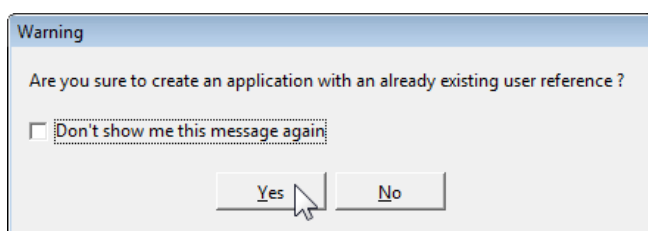


Figure 63: Message when creating a new application indicating that a form already exists with the user reference you want to use

4.9.5 Working directories

The creation of **working directories** is advisable if you tend to always access the same PC or network folders via Online Filing, for instance, when selecting electronic documents to attach to your applications or when importing data. You can create a central storage location in your company for documents associated with ongoing patent applications and allow shared access to all users of Online Filing.

The default for all working directories is `C:\Program Files\EPO_OLF5\fm`, i.e. the installation folder that was selected when setting up Online Filing.

- Click **Browse...** to set the working directories for **Import**, **Export**, **Attach** (i.e. attaching files) and **CD-R**.

The directory specified for **CD-R** is used by Online Filing when you select the **Physical Media** option in the sending dialogue; see **Sending applications** (p. 100). The application data is saved in a special file format and can be burned to a CD or DVD later.

- Select the check box **Remember the last used directory** if you want Online Filing to access the last directory you opened each time you import, export or attach files.

These working directories are updated in the user preferences every time you select another directory during the corresponding action.

Working Directories (applies only to v3 procedures) ☒ Remember the last used directory

Import:	E:\EPO_data\Import	Browse...
Export:	E:\EPO_data\Export	Browse...
Attach:	E:\EPO_data\Clients	Browse...
CD-R:	C:\Program Files\EPO_OLFS\fm	Browse...

Figure 64: Modified working directories

- ① Working directories are not applicable when working with the PCT procedure.

4.9.6 Network settings

The **network settings** depend on how the computer network is configured in your company. By default, the Online Filing Thin Client (i.e. the File Manager) uses the same internet connection as the Online Filing server, which can be configured in the Server Manager.

- To modify the Internet connection for your personal Online Filing Client, de-select the check box **User Default Network Settings**.
This opens the other fields for editing.
- Enter the IP address or the proxy server name in the **Proxy Server** field.
- Enter the number of the proxy server port in the field after the colon.
- Select the encryption version in the **SSL Version** field - this must match the **OLF server settings** (see "Default Network Settings" p. 355).
- If required, enter **username** and **password** for authorisation at the proxy server.

Network Settings

☐ Use Default Network Settings

Proxy Server:	MyProxyServer	:	8080	SSL Version:	SSLv3
Username:	OLFUser	Password:	*****		

Reset All Settings OK Cancel

Figure 65: User-specific settings for network connections

Please contact your system administrator if you are unsure about the information you need to enter in your situation.

4.10 System Preferences

The **System Preferences** window allows you to make general settings that apply to all users of Online Filing.

System preferences may only be modified by users belonging to a group with an appropriate profile of privileges. You will be notified if your user account does not authorise you to modify system preferences.

→ In File Manager select **System Preferences** from the **Tools** menu.

-OR-

Click the **System Preferences** button.



→ Click **Save** to apply your settings.

You are prompted to restart the File Manager for the changes to take effect.

In the **System Preferences** window, the basic settings for File Manager are listed under **General**.

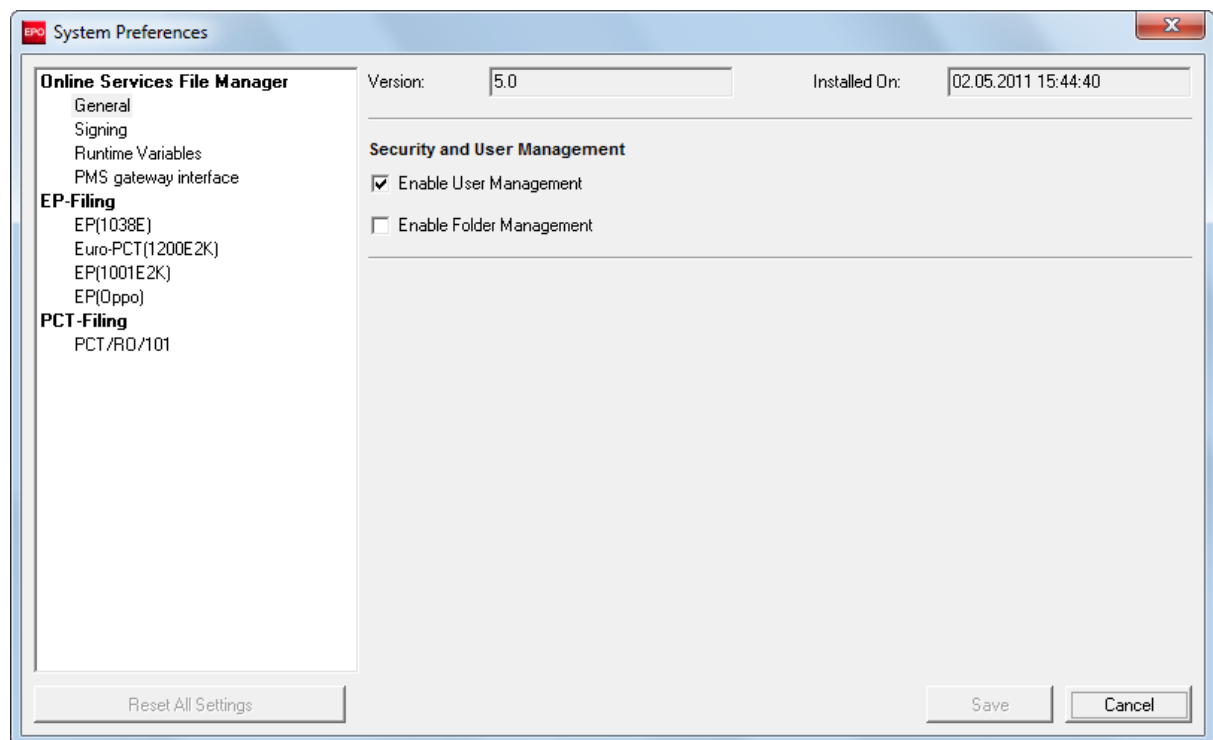


Figure 66: System preferences for the File Manager

Version and date of installation

When dealing with the EPO User Support team, it is always helpful to be able to specify the version or build number of the software installed as displayed on the upper part of the screen. The File Manager and Form modules can have different version numbers, depending on when they were installed or updated by the Live Update routine.

Security and User Management

Only the **Administrator** can modify the **Enable User Management** option. The default setting is selected for the first time when Online Filing is installed. If user management is activated, all users must enter their user name and password to log on to File Manager.

The **Enable Folder Management** option governs whether or not the **Folders** tab is active in **User Administration** (see "Activating folders for groups" p. 79). This option is not enabled by default.

4.10.1 Signing settings

This is where you define the types of signature that your company should support for signing applications. The settings are made separately for demo mode and production mode.

- Click **Signing** in the list on the left under the heading **Online Services File Manager**.
- Select or clear the check boxes as required.

For instance, if the **Alphabetical** check box is cleared, users cannot apply an alphanumeric signature to their applications.

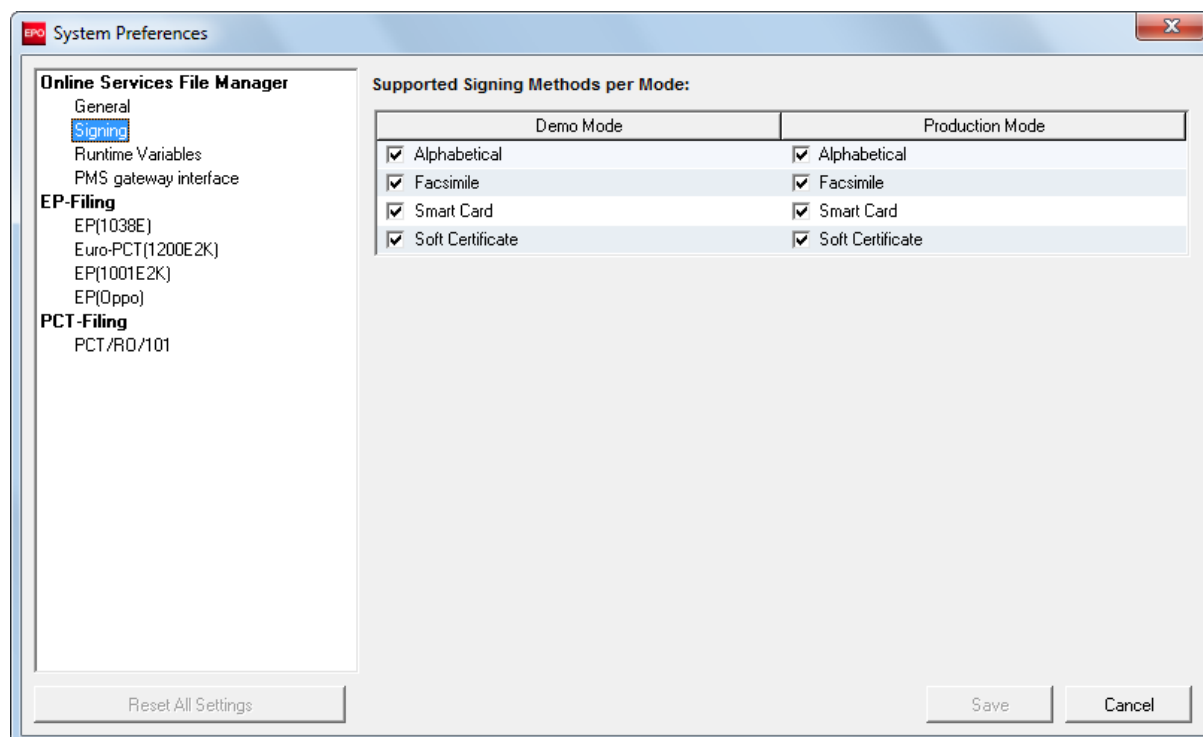


Figure 67: System preferences for signing

4.10.2 Runtime variables

Runtime variables enable you to customise Online Filing in line with user requirements that extend beyond the scope of the simple user preferences.

There is currently only one runtime variable for File Manager:

EP_warning_for_no_payment_mode_indicated. The EP prefix indicates that this variable affects all EP procedures. The variable governs whether a grey or yellow validation icon is displayed on the **Fee Payment** tab in EP forms if a mode of payment was not specified for this application.

Changing the value of a variable

- Click **Runtime Variables** in the **System Preferences** window and select the variable you want to change.
- Click the field in the **Value** column to activate the selection.
- Select **True** or **False**.
- Click somewhere else in the list to deactivate the selection.
- Click **Save**.

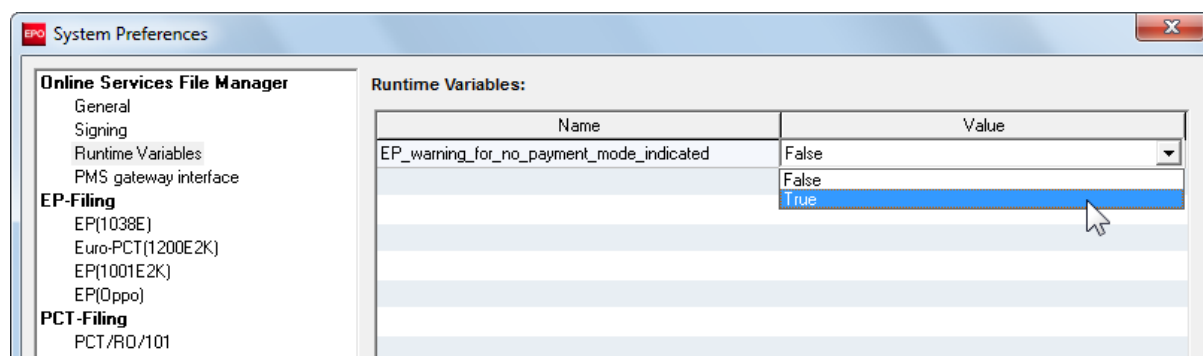


Figure 68: Changing the runtime variable to "True"

False: Grey validation icon, the validation message is "Please enter mode of payment".

True: Yellow validation icon, the validation message is "Warning (set by system preferences): no mode of payment is indicated".

The yellow validation icon is displayed in EP forms after you restart File Manager.

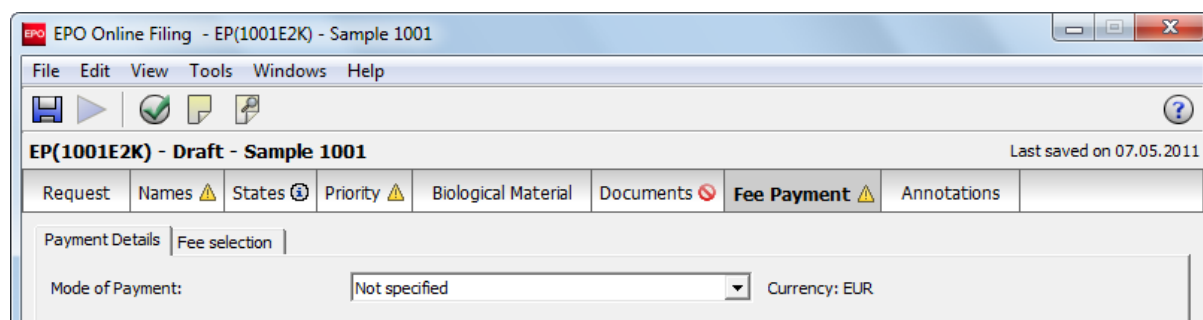


Figure 69: Yellow validation icon for the Fee Payment tab after changing the runtime variable

4.10.3 PMS gateway interface

The PMS gateway is used to exchange data with the EPO over a local OLF server. Users of other patent management systems (PMS) can use this interface to send their applications directly to the EPO via the OLF server, without actually processing the applications with the OLF software. For EPO authentication, a smart card reader with valid smart card must be connected to the computer running the OLF server.

For more information on the PMS gateway, refer to the following material on the **EPO website** (<http://www.epo.org/applying/online-services.html>):

- ◆ Under **Online filing > Download software for filing with the EPO** (<http://www.epo.org/applying/online-services/online-filing/download.html>):
Online Filing v5 PMS development kit (for applicants and PMS providers)
- ◆ Under **Online filing > Download documentation** (<http://www.epo.org/applying/online-services/online-filing/documentation.html>):
Importing Data into Online Filing version 5 and higher

! ***Note:** The PMS gateway interface can only be configured in File Manager's production mode. If you want to test the PMS gateway interface in demo mode, please enable it in production mode first. Your production mode settings will apply in the demo mode.*

- Open the **System Preferences** window.
- Select the **PMS gateway interface** option.
The default setting is **Not enabled**.
- Select the **Smart card** option and enter the **smart card PIN code**.
① At present, applications in EP procedures cannot be signed with a soft certificate and filed with the EPO.
- Enter the **HTTP port number** of the server and the **valid term** for the password or PIN.

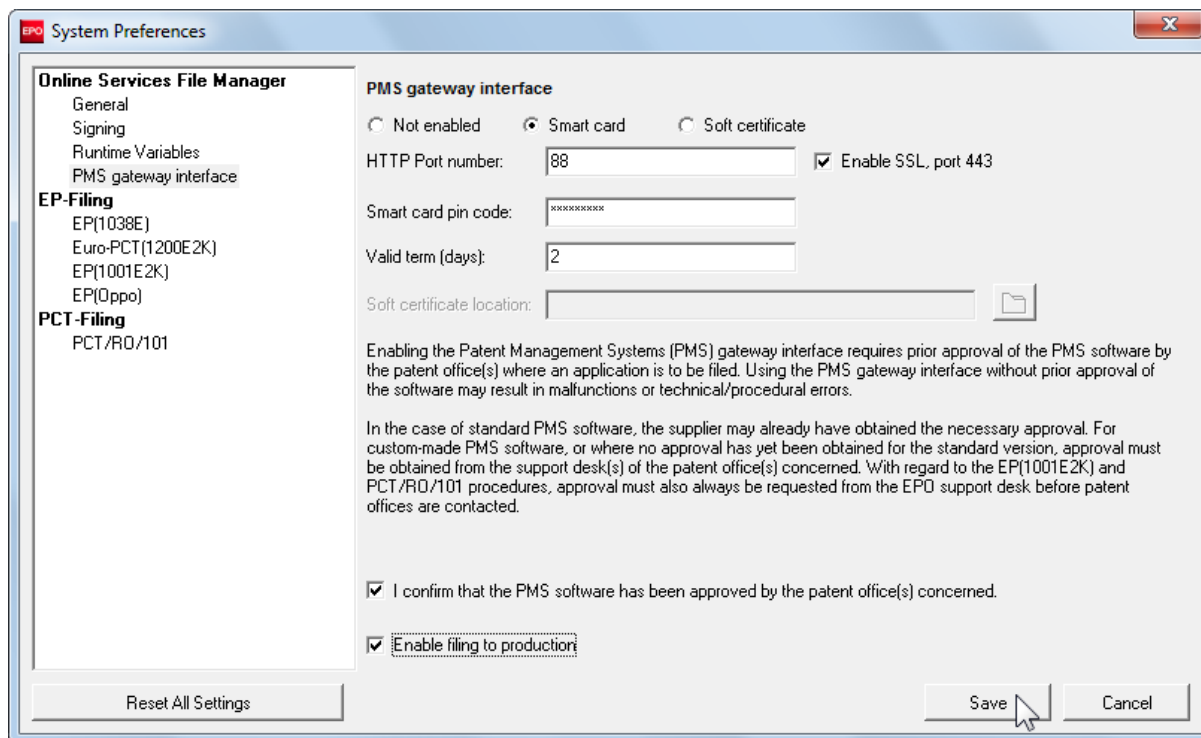


Figure 70: Settings for the PMS gateway interface when using a smart card

Technical coordination with the EPO

The EPO or the other patent offices can only accept files via the PMS interface if the PMS software used has already been approved. This guarantees that applicants only use PMS software that has been compatibility-tested with the EPO Online Filing system.

If you are using custom-made PMS software, approval must be obtained from the EPO User Support or the customer services departments of other patent offices before you use the software with the PMS gateway.

- If these requirements are satisfied, select the option ***I confirm that the PMS software has been approved by the patent office(s) concerned.***
- The option ***Enable filing to production allowed*** activates after this confirmation.

Do not select this option until your tests have been successfully completed and you want to enable the interface for your users for the transmission of documents to the EPO.

4.10.4 Filing settings

The sections ***EP-Filing*** and ***PCT-Filing*** in the ***System Preferences*** window contain information on the software version, the date of installation and the options for sending applications. You can define the settings individually for each procedure installed.

! **Note:** The EPO recommends **Online** (online filing over the Internet) as the default setting for filing applications.

The ***Physical Media*** option is an alternative for sending applications over a secure Internet connection. You can burn data to a CD- or DVD-ROM and send it by post or courier to the EPO. This might be suitable for very large files (e.g. extremely long sequence listings) that would take considerable time to transfer over an Internet connection.

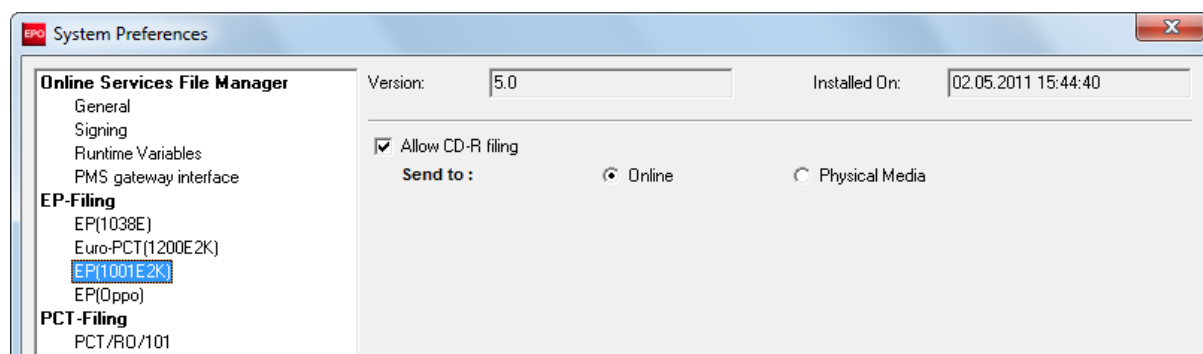


Figure 71: Settings for EP filing, "Online" send method

The default setting can be changed to ***Physical Media***.

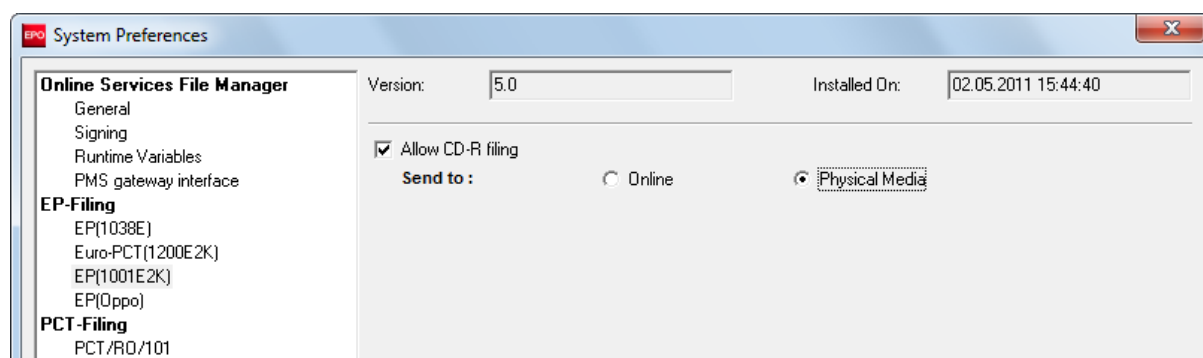


Figure 72: Settings for EP filing, "Physical Media" send method

The **Allow CD-R filing** check box is selected by default so that users always have the opportunity to choose between **Online** and **Physical Media** when sending applications.

If this check box is cleared, **Online** is the only option allowed and applications cannot be filed over physical media.

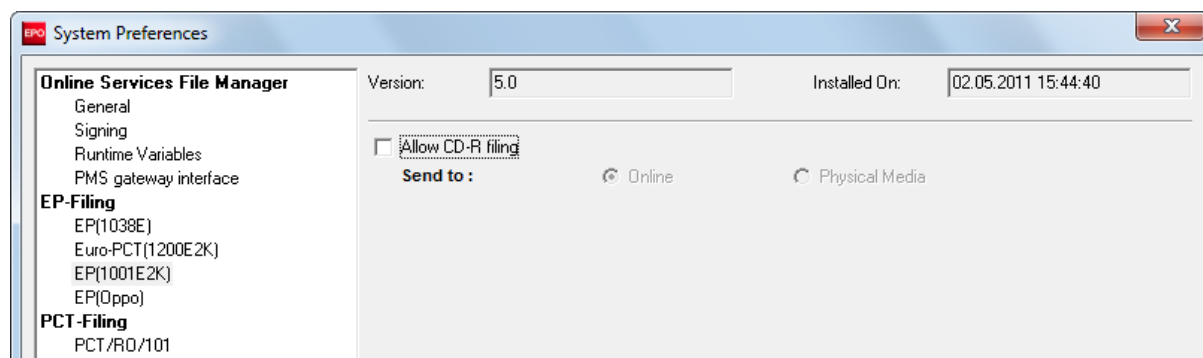


Figure 73: Settings for EP filing, CD-R filing not allowed

4.11 User Administration

User Administration in Online Filing can be used to create individual authorisation concepts for users and user groups. This enables you to provide details on the Online Filing system administrator, specify which data is released in a network and which actions may be performed in the software by individual users.

① User management settings are specific to the current mode, that is, to demo mode or to production mode, to ensure that any work in one is kept entirely separate from the other.

Enabling or disabling user management

Only a user with **Administrator** ID has the privilege to activate User Administration in Online Filing and assign administrator rights to others. As a master user, the **Administrator** is automatically created when installing the Online Filing server and cannot be deleted later.

If User Administration is activated, users are always prompted to log on with their user name and password when starting File Manager in Online Filing.

! **Attention:** Make sure you create a second user with full administrator rights, i.e. with authorisation to perform user administration. The Administrator's user name is blocked after three successive attempts to log on with the wrong password. If this happens, there is no way to reset the password unless there is another user with administrator rights configured on your system.

- Log on to **File Manager** with the **Administrator** user name.
- In File Manager select **User Administration** from the **Tools** menu.
If the option is unavailable, go to **Tools > Preferences > Systems Preferences** in File Manager and select the check box **Enable User Management**.

① After activating or deactivating the **User management** option, the File Manager must be restarted.

! **Note:** Once User Administration has been configured, this data can be transferred to a different server machine running Online Filing. For more details see **User Data Migration** (p. 363) in the **Server Manager** section.

Features in User Administration

There are five tabs in the **User Administration** window, providing the following functions:

Users	Groups	Profiles	Mapping	Folders

Tab	Comments
Users	Entering details for individuals, creating passwords and assigning users to groups.
Groups	Creating groups based on company roles, or other criteria as appropriate.
Profiles	Creating lists of privileges for using the software.
Mapping	Assigning profiles to groups.
Folders *)	Assigning authorisations for individual folders to groups. *) The Folders tab is only active if the Enable Folder Management option is selected in System Preferences (p. 60).

Changes that you have made but not yet saved in User Administration are indicated by a small grey arrow on the right. The total number of entries with unsaved changes in the open tab is displayed on the status bar.

- Click the **Save All** button to save your work in all tabs within User Administration.



- Click the **Revert All** button to discard all changes.

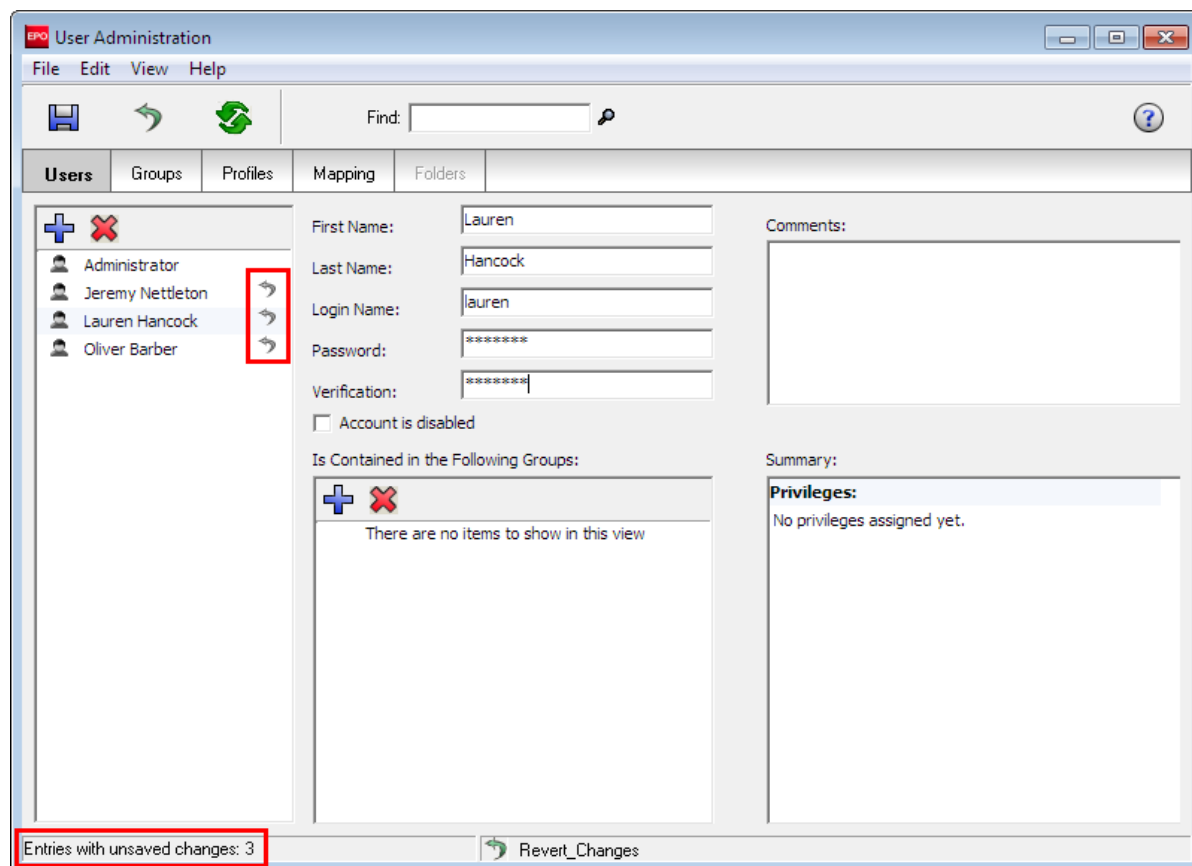


Figure 74: User Administration with unsaved entries

4.11.1 Users

The **Users** tab lists all persons who are authorised to use Online Filing. Login names and passwords are case sensitive, so they must be typed exactly as created in upper and lower case.

❗ The **Administrator** is automatically created when installing the software and cannot be renamed or deleted later

! Note: Configure groups and profiles first and then add the individual users to the groups you want.

Creating a new user

The **Administrator** and other users with user administration authorisation can create new users and assign them privilege profiles.

→ Click the **New** button on the left.



→ In the middle panel enter the **first name** and **last name**.

→ Enter the **login name**.

❗ The login name is the one that appears in the **Last saved** field in the **Info Pane** (see "Validation" p. 40), so it should be readily identifiable to all system users (see example below).

→ Enter a **password** for the new user and re-enter it for confirmation in the **Verification** field.

❗ Users can change their password later by selecting **Change password** from the **Tools** menu.

The screenshot shows the 'EPO User Administration' window. The 'Users' tab is selected. On the left, there is a list of users: Administrator, Jeremy Nettleton, Lauren Hancock, Oliver Barber, and Elizabeth Miners. The 'New' button (a blue plus icon) is highlighted. The main form area contains the following fields: First Name (Elizabeth), Last Name (Miners), Login Name (elizabeth), Password (*****), and Verification (*****). Below these fields is a checkbox for 'Account is disabled' which is unchecked. Under 'Is Contained in the Following Groups', there is a plus and minus icon and the text 'There are no items to show in this view'. On the right, there is a 'Comments' text area and a 'Summary' section showing 'Privileges: No privileges assigned yet.'

Figure 75: New user with login name

Adding user to a group

→ Click the **New** button in the middle of the tab under **Is Contained in the Following Groups**.



The **Add User to Group** window opens.

→ Select the group(s) for this user.

→ Click **Add**.

The user inherits all privilege profiles assigned to these groups.

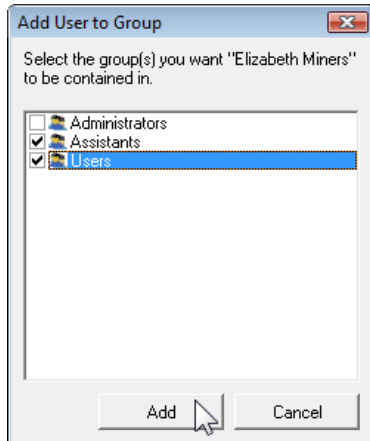


Figure 76: Adding users to a group

→ Finally click the **Save All** button.



4.11.2 Unblocking users

Online Filing automatically disables a user account after three successive attempts to log on with the wrong password.

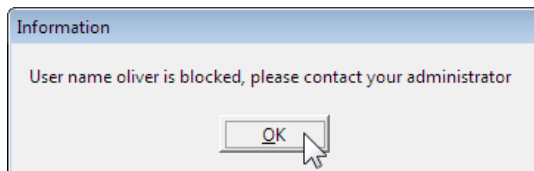


Figure 77: Blocked user is unable to log on to File Manager

The user **Administrator** - or another user who is member of the **Administrators** group - can unblock the user to let him log on to Online Filing again.

! **Attention:** Make sure you create a second user with full administrator rights, i.e. with authorisation to perform user administration. The Administrator's user name is blocked after three successive attempts to log on with the wrong password. If this happens, there is no way to reset the password unless there is another user with administrator rights configured on your system.

Unblocking a user account

The **Account is disabled** check box is selected for this user in User Administration.

- Clear the check box.
- Click the **Save All** button.

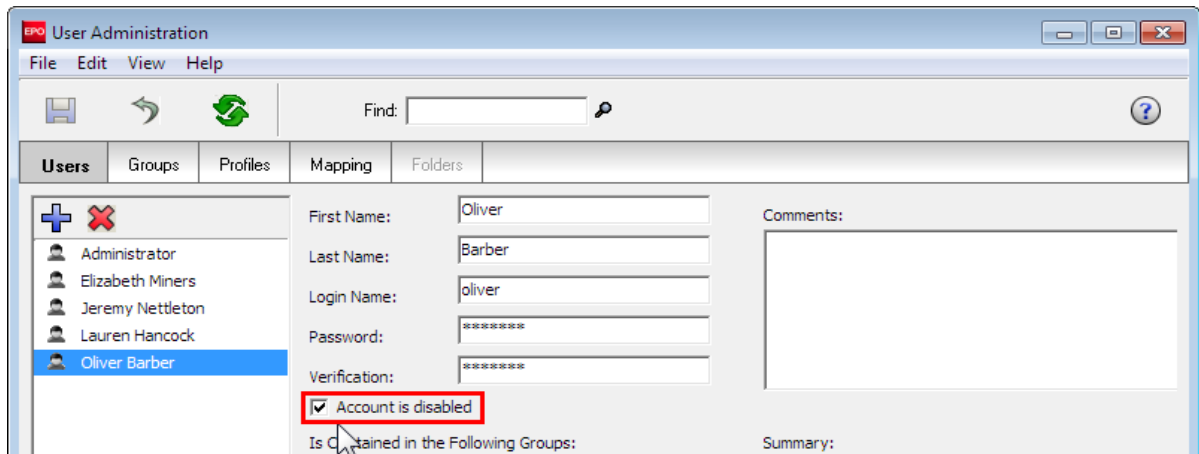


Figure 78: User is disabled and can be re-activated in User Administration

Blocking a user account

The administrator can, if required, also disable a specific user, assuming permanent deletion of the user is not intended.

- Tick the **Account is disabled** check box.
- Click the **Save All** button.

Unblocking the Administrator

The administrator account can also be blocked after three failed attempts to log on. To unblock this account, another user with user management privileges must log on to File Manager. The following message box appears when opening User Administration:

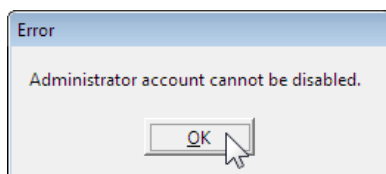


Figure 79: Message when starting User Administration with a blocked administrator account

- Click **OK**.
User Administration opens. The check mark in the **Account is disabled** check box automatically disappears.

→ Click the **Save All** button to complete the operation and re-activate the administrator account.

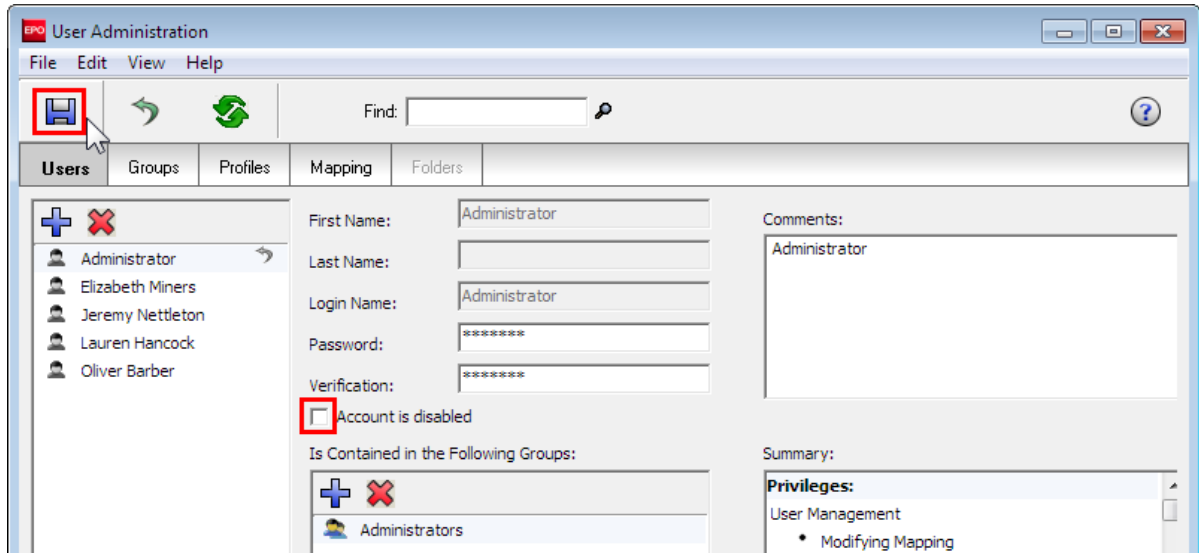


Figure 80: Removing the block on the "Administrator" user account

4.11.3 Changing passwords

Users are only prompted to enter a username and password when starting File Manager if the **Enable User Management** option is selected for File Manager in the **System Preferences** (p. 60).

The administrator generates usernames and default passwords for user access to Online Filing. The administrator can change the passwords for all users in User Administration, for instance, if a user forgets a password. Of course, the administrator can also change his or her own password here.

All users who logged on to Online Filing's File Manager can change their own password.

- In File Manager select **Change password** from the **Tools** menu.
- Enter your **old password**.
- Enter your **new password**, and then enter it again to confirm.
- Click **OK** to activate it.

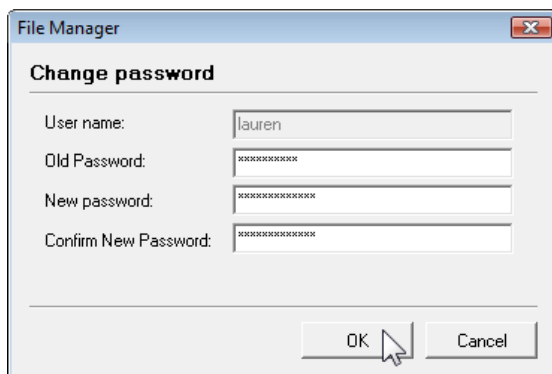


Figure 81: Changing your own password

4.11.4 Groups

The **Groups** tab is used to administer the user groups that were defined for your company. You can name the groups after employee roles, such as attorneys, paralegals and assistants, or use any other definitions that suit your requirements.

The group **Administrators** already exists and cannot be deleted. The **Users** group is also automatically created when installing Online Filing, but can be edited as required.

Creating groups

- In the **Groups** tab, click the **New** button.



- In the middle panel enter a name in the **Group Name** field.
- If required, also enter a **Description** for the group.
- Click the **Save All** button.

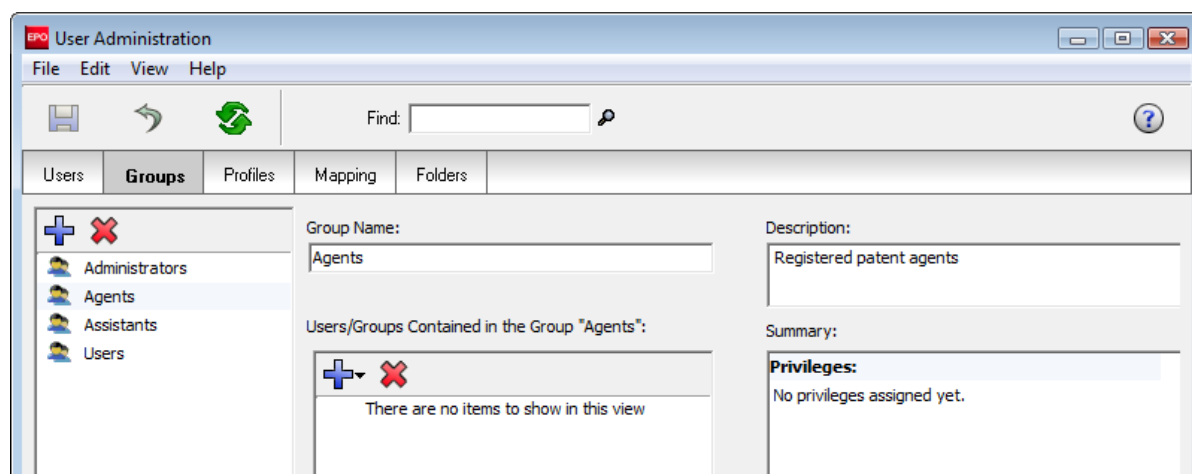


Figure 82: New group created

As a new group does not have any privilege profiles, **No privileges assigned yet** appears on the right under **Summary**. Privileges are assigned on the **Mapping** tab (see "Mapping profiles to groups" p. 78).

Adding users or subgroups to a group

You can add individual users or even complete groups to a group.

❗ It is not recommended to create complex group structures, i.e. groups that contain groups containing other groups. This kind of right management can become very confusing and may result in the authorisation of users for certain tasks they should not be allowed to perform.

→ Click the **Add** button in the middle of the Groups tab



→ Select **Add Users** or **Add Groups**.

The list of all registered users or groups is created. The list does not include blocked users.

→ Select all users or groups you want to add to the selected group.

→ Click **Add**.

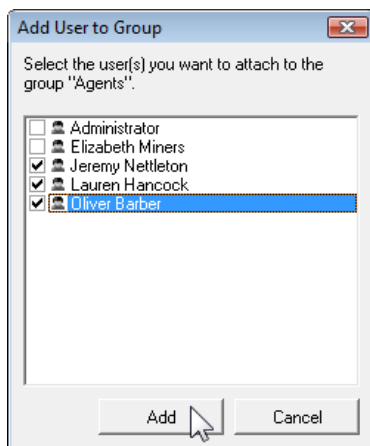


Figure 83: Selecting users to add to a group

→ Click the **Save All** button.



The users or groups added inherit all authorisations of the group you just edited.

If a user tries to carry out an action in the software that is not within his rights, he will receive a message warning him that he does not have the appropriate rights. Thus, if a user's access rights are not sufficient to perform certain operations, the Administrator should move him or her to a more appropriate group.

4.11.5 Profiles for group authorisations

The **Profiles** tab allows you to create different lists of privileges and assign them to groups.

You can use profiles to define authorisations for specific activities in the company, combine them as required and assign them to the various user groups. You can also select individual privileges from the list of all available privileges and modify profiles again at any time.

① Changes to profile-specific privileges only take effect after you save and quit user administration.

The privileges are grouped into four headings:

- ◆ Address Book Management
- ◆ Application Workflow
- ◆ Folder/Data Management
- ◆ User Management

Three standard profiles are created when you install the software:

- ◆ **Administrators profile** - this profile is mapped to the **Administrators** group. You cannot deactivate the privileges under **User Management** nor can you delete the Administrators profile.
- ◆ **Default administrator profile** - this profile can be used as a template to provide additional user groups with administrator rights as well as to set specific rights restrictions. The settings under **User Management** can therefore be edited.
- ◆ **Default user profile** - this profile is suitable for user groups mainly involved in processing applications. The **Edit Maintenance Fees** privilege under **Folder/Data Management** is deactivated.

Apart from the restrictions specified above, you can edit and rename these three profiles as required.

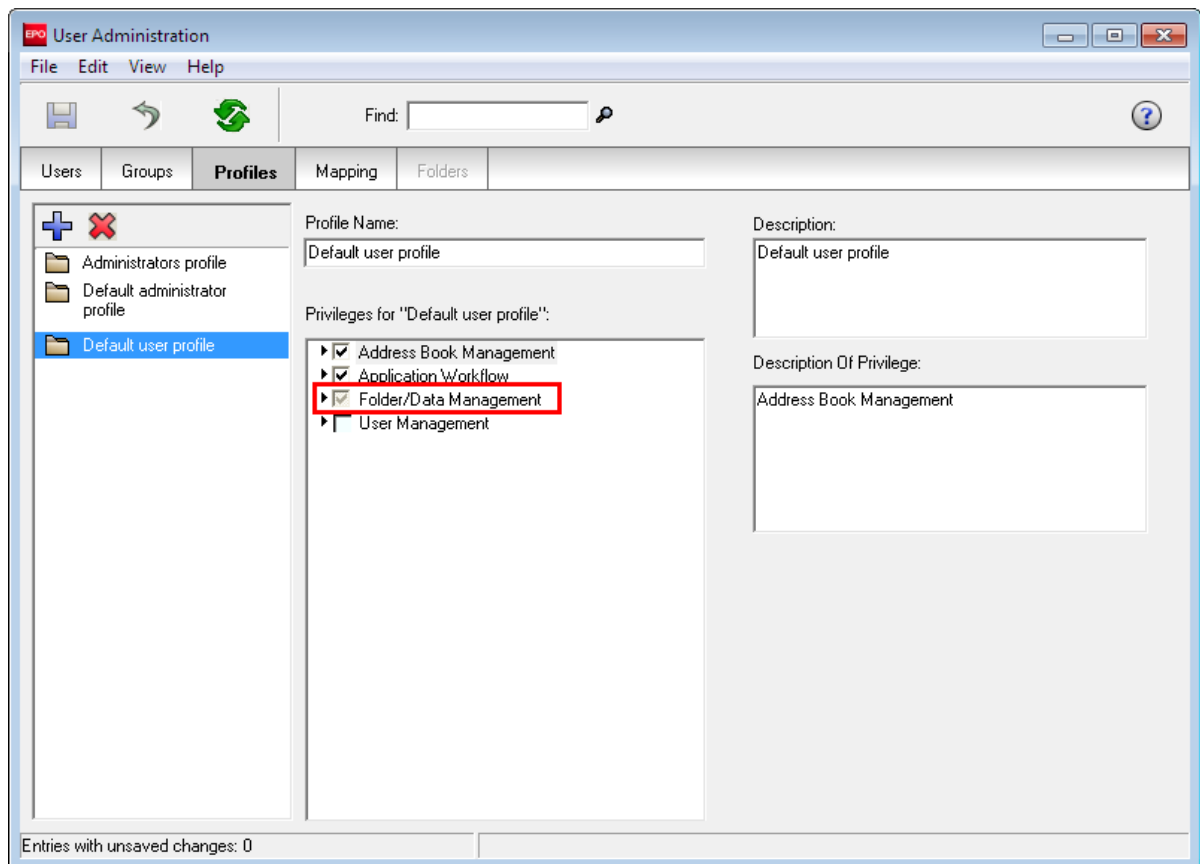


Figure 84: Individual privileges for "Default user profile" are deactivated under "Folder/Data Management"

Creating profiles

- Click the **Profiles** tab.
- In the **Profiles** tab, click the **New** button.



- In the middle panel enter a name in the **Profile Name** field.
- Click the **Save All** button.



Selecting privileges

The list of all privileges in the middle is available after a save. No privileges are selected by default.

- Double-click the text of the Privileges heading you wish to modify.
-OR-
Double-click the small black pointer  to the left of the Privileges heading.
- Select the check boxes you require for this profile.
① You can select an entire group of privileges by selecting the check box next to the relevant heading.
- To close the list again, double-click the pointer .
-OR-
Double-click the text of the Privileges heading.
- Enter a short description of the new profile in the **Description** field.

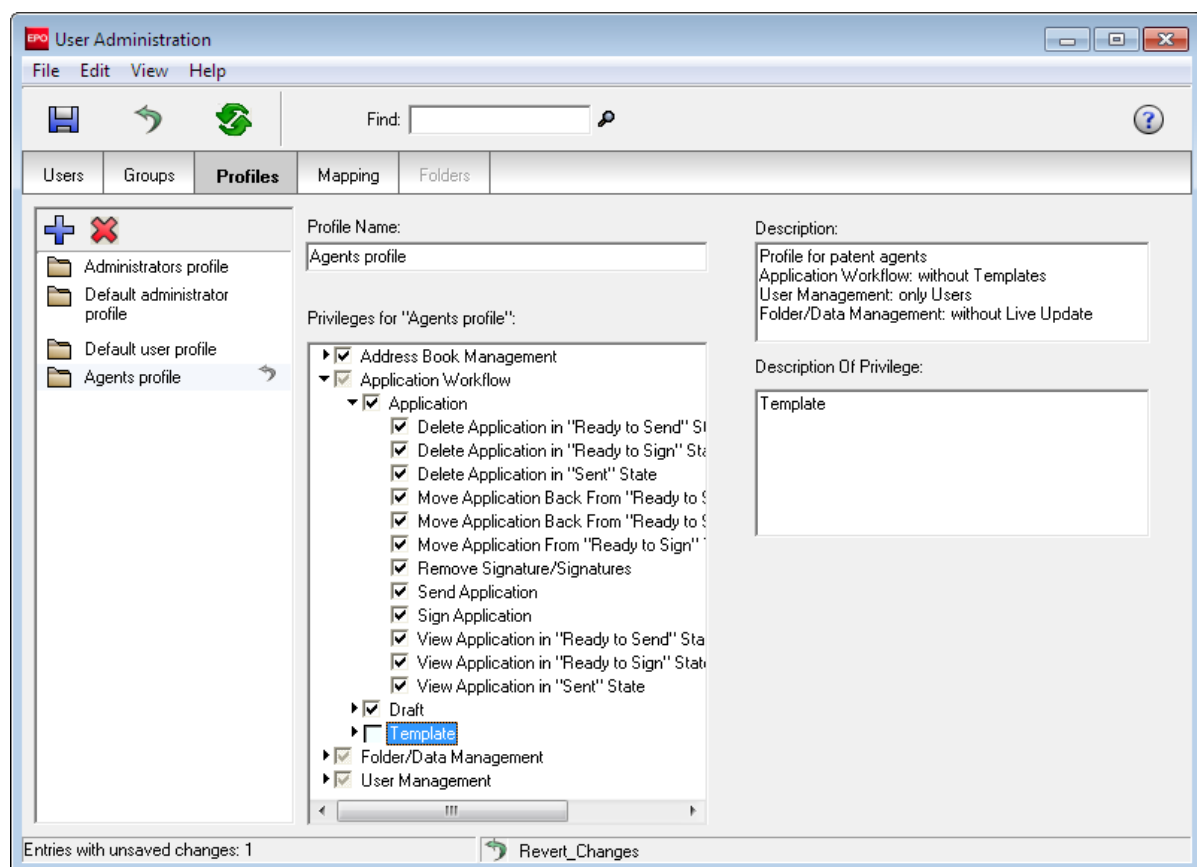


Figure 85: Edit privileges for profile

4.11.6 List of privileges

Privilege	Description
Address Book Management	Create, delete and edit entries in the Address Book.
Create Contact	Add entry to Address Book.
Delete Contact	Remove entry from Address Book.
Edit Contact	Change details for an existing Address Book entry.
Application Workflow	Control tracking and management of all activities from start to finish.
Application	Control activities on forms which can no longer be edited.
Delete Application in "Ready to Send" state	Place application with "Ready to Send" status in Trash folder.
Delete Application in "Ready to Sign" state	Place application with "Ready to Sign" status in Trash folder.
Delete Application in "Sent" state	Place application with "Sent" status in Trash folder.
Move Application Back from "Ready to Send" to "Ready to Sign"	Change status to "Ready to Sign". This action removes all signatures from application.
Move Application Back from "Ready to Sign" to "Draft"	Return application to "Draft" status. The application may then be edited.
Move Application from "Ready to Sign" to "Ready to Send"	Change status to allow sending.
Remove Signature/Signatures	Allow use of Remove button for individual signatures in signing window.
Send Application	Transmit application to EPO.
Sign Application	Apply alphabetical/facsimile/digital signature according to signing methods supported in File Manager > Tools > System Preferences.
View Application in "Ready to Send" State	Open application with "Ready to Send" status to display data entered. Status cannot be changed.
View Application in "Ready to Sign" State	Open application with "Ready to Sign" status to display data entered. Status cannot be changed.
View Application in "Sent" State	Open application with "Sent" status to display data entered. Status cannot be changed.
Draft	Control activities relating to applications which can still be edited.
Create Draft	Add new application based on a procedural form.
Delete Draft	Place application with "Draft" status in Trash folder.
Edit Draft	Change data entered in application with "Draft" status.
Move Draft to "Ready to Sign"	Change status of application to allow signing. Once the application has been moved to "Ready to Sign" it can only be edited if it is moved back to "Draft".
View Draft	Open application with "Draft" status to display data entered. Status cannot be changed.

Privilege	Description
Template	Control activities relating to templates used to create new drafts.
Copy template	Add a copy of an existing template.
Create template	Use an existing application or draft to save as template.
Delete template	Move a template to Trash folder.
Edit template	Open a template to modify data.
Folder/Data Management	Control activities relating to external information, file maintenance and reference settings.
Export/Import	Control activities relating to information stored outside the Online Filing software application.
Export Address Book	Send Address Book data to external CSV file.
Export XML (GUI)	Back up and archive Online Filing data. Send Online Filing data to external XML files in folder or ZIP format.
Import Address Book	Bring external CSV data into Address Book.
Import XML (GUI)	Bring external XML data into Online Filing.
File Manager	Control activities related to file maintenance and preference settings.
Change Global File Manager Settings	Set preferences for overall system usage.
Change Personal File Manager Settings	Set preferences for individual system usage.
Create Folder	Add a new folder for storing applications in File Manager.
Delete Folder	Remove a folder from File Manager. The "Default" folder cannot be deleted.
Edit Maintenance Fees	Change fees in File Manager > Tools > Fee Management.
Empty Trash	Permanently delete any items in Trash folder.
Move To Folder	Change location where application is stored.
Rename Folder	Edit folder name.
See Other Users' Folders	View contents of other user's private folders.
Live Update/Start Application	Control activities relating to Online Filing system updates.
Use Live Update - Apply	Check for software updates.
Use Live Update - Download	Bring suggested updates into your local storage area.
User Management	Control activities relating to setting up user and group profiles and assigning system privileges in Tools > Administration.
Group	Control activities relating to defining and managing groups of users.
Create Group	Add a new group name.
Delete Group	Remove an existing group name.
Edit Group	Add individual users to a group or remove them.
Rename Group	Change a group name.

Privilege	Description
Modify Mapping	Control activities relating to applying privileges to groups and individuals.
Profile	Control activities relating to assigning and maintaining lists of privileges for users and groups.
Create Profile	Add a profile name and assign privileges to it.
Delete Profile	Remove a profile name.
Edit Profile	View and change privileges assigned to a profile. This privilege is required for any activity relating to creating sets of privileges, mapping privileges to users or groups, or changing privileges.
Rename Profile	Change a profile name.
User	Control activities relating to maintaining list of system users.
Create User	Add an individual name, enter login name and initial password for user and assign to group.
Delete User	Remove an individual name.
Edit User	Change login name and password for user and change group assignments.
Rename User	Change an individual's first name / last name.

4.11.7 Mapping profiles to groups

The **Mapping** tab is where you assign the required privilege profiles to groups. The **Administrators** group is mapped by default to the **Administrators profile**. This assignment cannot be revoked.

→ Click a group name on the left.

→ Select the check box in the middle panel to assign the associated profile.

① You can assign multiple profiles to a group. This means that the group will inherit all privileges contained in the individual profiles.

→ Click the **Save All** button.



① To make sure each group has the privileges you intend, click each group name in turn, and then scroll down the summary of privileges on the right.

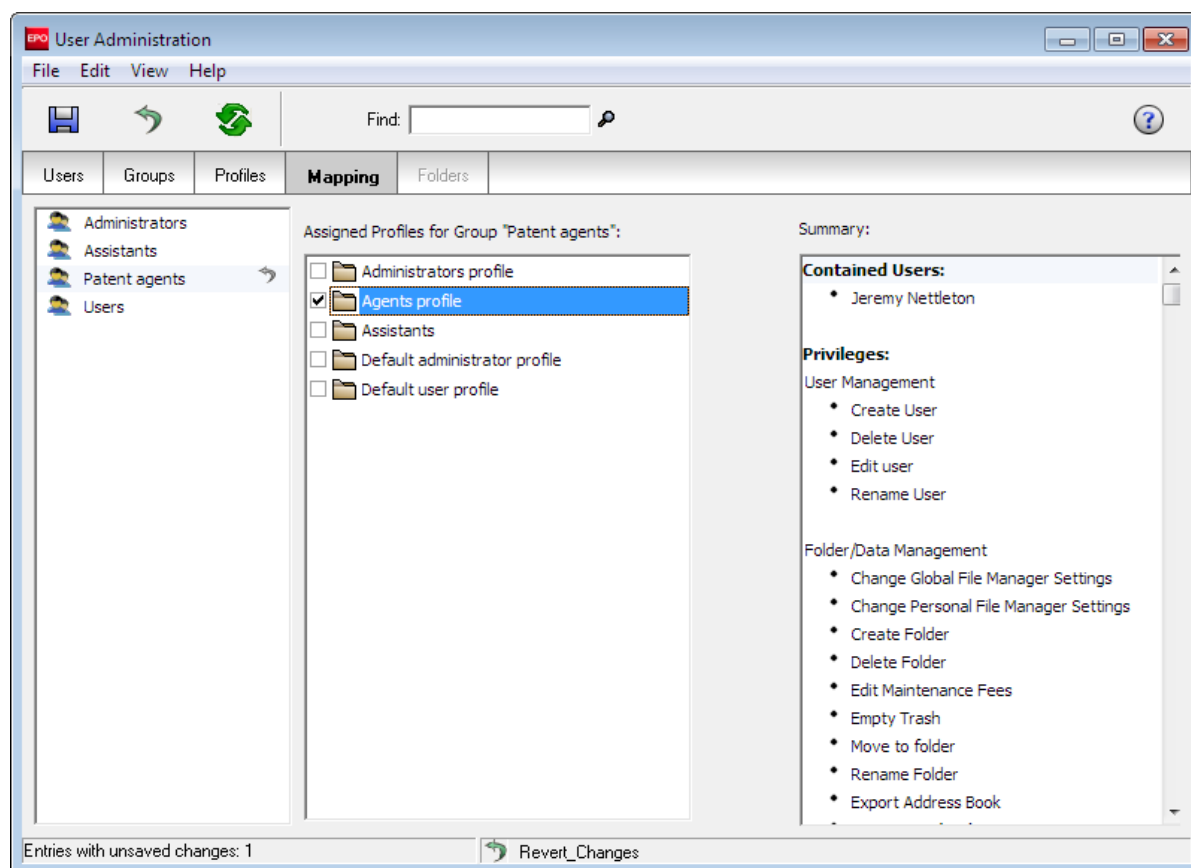


Figure 86: Check privileges after mapping profiles to groups

4.11.8 Activating folders for groups

In the **Folders** tab, you can define which of the user-defined folders in File Manager may be seen and used by a specific user group. All folders are activated by default for the **Administrators** group.

① The **Folders** tab is only active if the **Enable Folder Management** option was selected under **Security and User Management** in the **System Preferences** (p. 60) window.

→ Click a group name on the left.

All folders that were created in File Manager by users with appropriate authorisation are listed in the window's central pane.

The folders and sub-folders that are currently released for the selected group are shown on the right.

→ Select the check box for the folder you want in the central pane.

If a parent folder is selected, all of its sub-folders are also selected, even those yet to be created.

The check box for the **Templates** folder is always selected and cannot be changed. In this example, the **Templates** folder contains further sub-folders. These become visible and can be individually selected if you double-click the **Templates** heading.

→ Finally click the **Save All** button.



The folders are then displayed on the right with their sub-folders in the sequence in which they will be seen in File Manager by the selected user group.

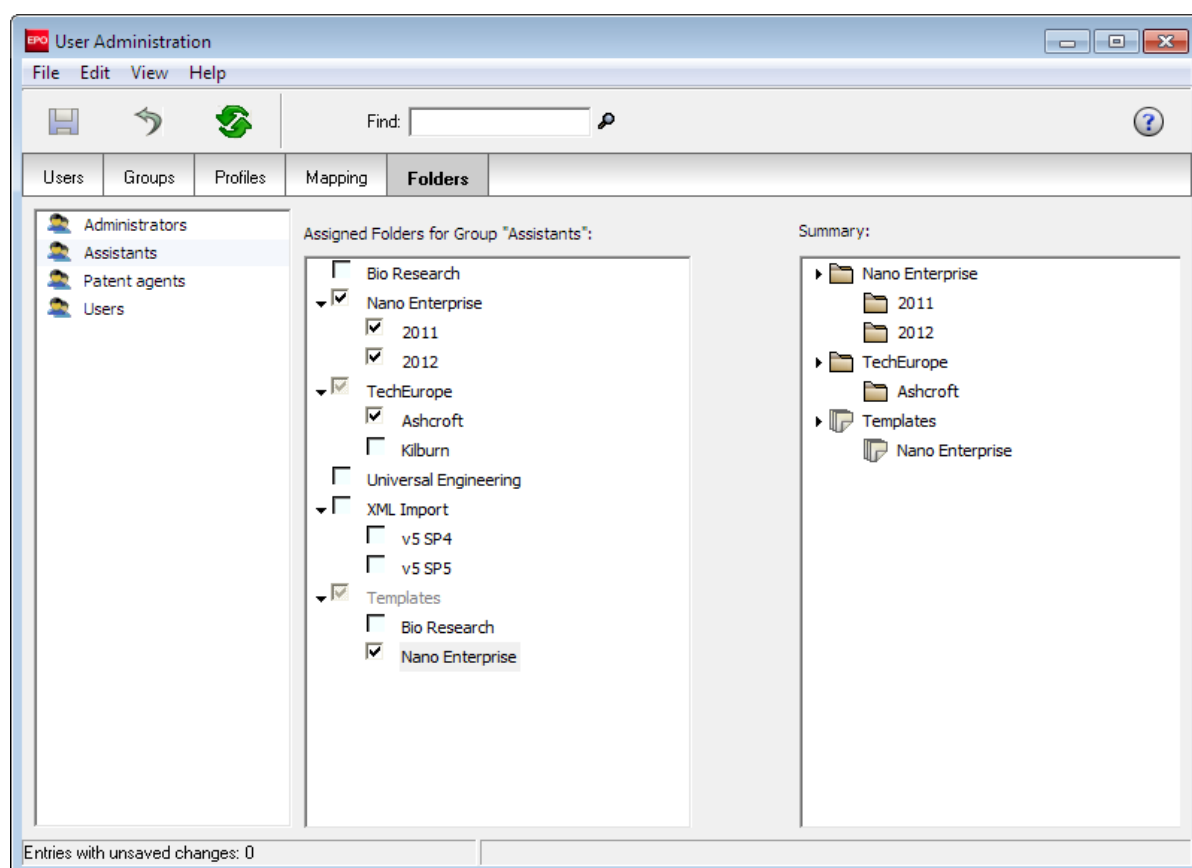


Figure 87: Enabling folders for a group

The following folders are then displayed for the user **Elizabeth Miners** from the **Assistants** group when she logs on to File Manager:

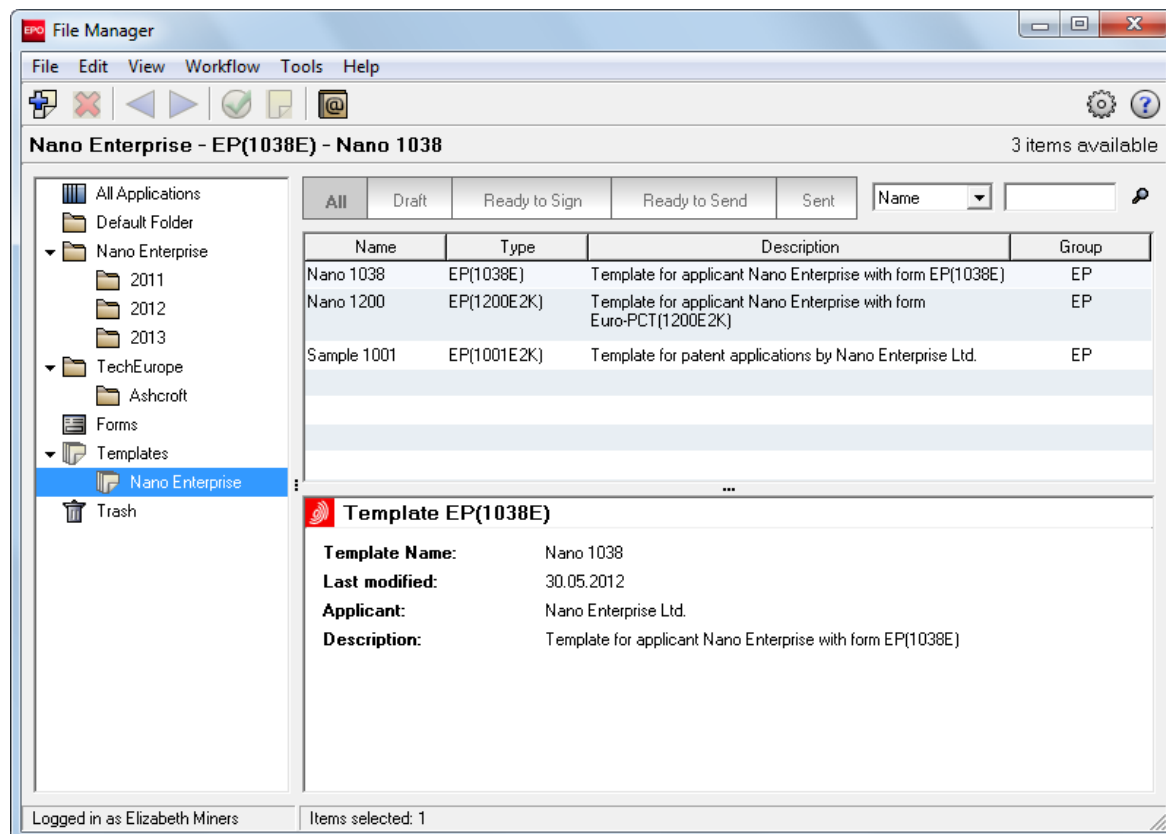


Figure 88: Folders visible for a user

The folder **2013** was subsequently created and is automatically released because its parent folder, **Nano Enterprise**, has already been assigned to the Assistants group.

The system folders **All Applications**, **Default Folder**, **Forms**, **Templates** and **Trash** are visible to all users. Rights to the individual objects contained in the folders (applications and templates, for instance) are defined by privileges, however, which are assigned to users based on the group they belong to.

4.12 Fee management

The **Fee Management** option shows you which fees are valid in Online Filing at a given date. Fees are displayed from the effective date on the **Fee Payment** tab of the EP forms when a new application is created.

Online Filing version 5.05 does not allow you to either create your own fee tables or delete EPO fee tables. The



and  buttons are therefore deactivated.

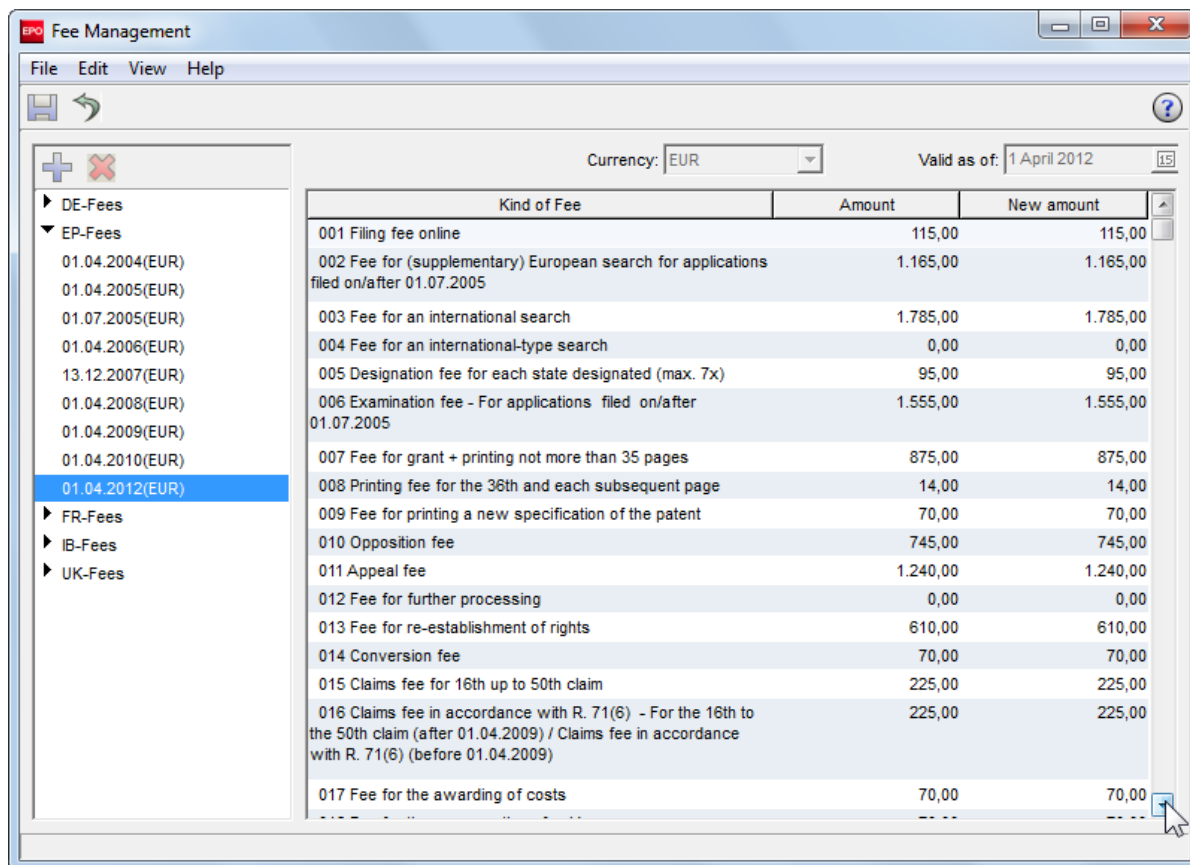
Viewing fee tables

- In File Manager select **Fee Management** from the **Tools** menu.

The fees are grouped on the left by type of fee and creation date.

- Click a group to see the list.

The new fees that were added as supplementary options following the various fee reforms can be found at the end of the list. The codes for these fees have a lower-case **e** suffix. The forms may display both fee variants for selection, depending on the options selected for fee payment.



Kind of Fee	Amount	New amount
001 Filing fee online	115,00	115,00
002 Fee for (supplementary) European search for applications filed on/after 01.07.2005	1.165,00	1.165,00
003 Fee for an international search	1.785,00	1.785,00
004 Fee for an international-type search	0,00	0,00
005 Designation fee for each state designated (max. 7x)	95,00	95,00
006 Examination fee - For applications filed on/after 01.07.2005	1.555,00	1.555,00
007 Fee for grant + printing not more than 35 pages	875,00	875,00
008 Printing fee for the 36th and each subsequent page	14,00	14,00
009 Fee for printing a new specification of the patent	70,00	70,00
010 Opposition fee	745,00	745,00
011 Appeal fee	1.240,00	1.240,00
012 Fee for further processing	0,00	0,00
013 Fee for re-establishment of rights	610,00	610,00
014 Conversion fee	70,00	70,00
015 Claims fee for 16th up to 50th claim	225,00	225,00
016 Claims fee in accordance with R. 71(6) - For the 16th to the 50th claim (after 01.04.2009) / Claims fee in accordance with R. 71(6) (before 01.04.2009)	225,00	225,00
017 Fee for the awarding of costs	70,00	70,00

Figure 89: Fee groups

Modifying fee amounts

The EPO always releases the latest revision of fees for manual download and for installation via **Live Update** (p. 356). This means that you normally are not supposed to change any of the fee information. If, however, you do need to change fees for operational reasons, you can edit the individual amounts in the fee table. Your Online Filing user account must have the necessary rights for this.

! Attention: Once you have saved your changes, you cannot automatically reload the original amounts in the fee tables. However, you can manually change the fees to bring them into line with the EPO's latest schedule of fees.

- Select the fee you want on the right-hand side of the list.
- Click the amount you want to change in the **New amount** column.
The field is opened for editing.
- Enter the new amount as a whole number.
- Click the **Revert All** button to discard changes.



- Click the **Save All** button to apply the changes.



The screenshot shows the 'EPO Fee Management' window. On the left is a tree view of fee categories: DE-Fees, EP-Fees (with sub-items for various dates), FR-Fees, IB-Fees, and UK-Fees. The main area displays a table with three columns: 'Kind of Fee', 'Amount', and 'New amount'. The currency is set to 'EUR' and the validity date is '1 April 2012'. Fee 008, 'Printing fee for the 36th and each subsequent page', has its 'New amount' field (14,00) selected and edited to 12. A red box highlights the input field.

Kind of Fee	Amount	New amount
001 Filing fee online	115,00	115,00
002 Fee for (supplementary) European search for applications filed on/after 01.07.2005	1.165,00	1.165,00
003 Fee for an international search	1.785,00	1.785,00
004 Fee for an international-type search	0,00	0,00
005 Designation fee for each state designated (max. 7x)	95,00	95,00
006 Examination fee - For applications filed on/after 01.07.2005	1.555,00	1.555,00
007 Fee for grant + printing not more than 35 pages	875,00	875,00
008 Printing fee for the 36th and each subsequent page	14,00	12
009 Fee for printing a new specification of the patent	70,00	70,00
010 Opposition fee	745,00	745,00
011 Appeal fee	1.240,00	1.240,00
012 Fee for further processing	0,00	0,00
013 Fee for re-establishment of rights	610,00	610,00
014 Conversion fee	70,00	70,00
015 Claims fee for 16th up to 50th claim	225,00	225,00
016 Claims fee in accordance with R. 71(6) - For the 16th to the 50th claim (after 01.04.2009) / Claims fee in accordance with R. 71(6) (before 01.04.2009)	225,00	225,00
017 Fee for the awarding of costs	70,00	70,00

Figure 90: New fee amount entered

4.13 Maintenance table viewer

This option allows you to view lists of standard data, e.g. filing offices and depositary institutions.

① Maintenance tables cannot be edited. The EPO makes changes available via Live Update.

→ In File Manager select **Maintenance Table Viewer** from the **Tools** menu, and then select the option you require:

- **Common Maintenance** for a list of countries with country codes and regional divisions.
- **EP Maintenance** for filing offices and other data
- **PCT Maintenance** for receiving offices and other data.

Depending on the national plug-ins installed, additional options are displayed.

→ Select an entry on the left to display any associated data from the maintenance table on the right, for instance, select **Filing Offices**.

This table also contains the URLs (Internet addresses) of the production server and demo server in the filing offices involved.

→ To retrieve information relevant at a date in the past or in the future, select a different date in the box in the top right corner.

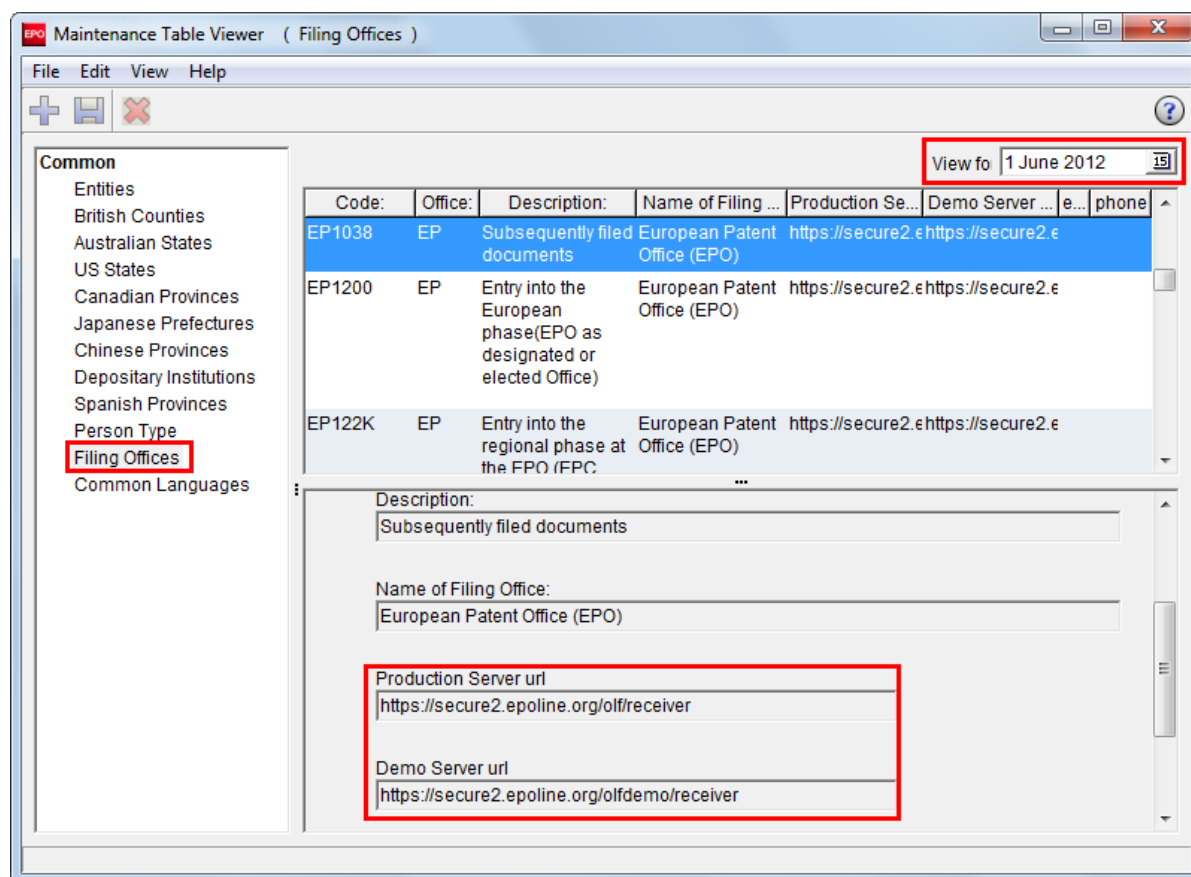


Figure 91: Common Maintenance, Filing Offices Table

5 Processing applications

After a new draft has been created, more actions are required before the application can be submitted to the receiving office.

This section describes the submission workflow common to all standard procedures (EP and PCT) and explains some additional functions for data handling in Online Filing.

- ◆ The patent specification and all other accompanying documents are made available in an appropriate format for electronic filing; see **Preparing documents for attachment** (p. 84).
- ◆ The application is signed by one of the methods accepted by the receiving office. A digital signature, usually with a personal smart card and PIN, is always required in addition to alphabetical or facsimile signatures; see **Signing applications** (p. 86).
- ◆ The application is sent to the receiving office, either electronically or physically; see **Sending applications** (p. 100).
- ◆ Applications and templates can be exported from Online Filing for backup and archiving purposes; see **Exporting data from Online Filing** (p. 103).
- ◆ Going in the other direction, previously exported items can be imported back into Online Filing for use as a basis for new applications or for looking up information; see **Importing data into Online Filing** (p. 109).

5.1 Preparing documents for attachment

Depending on the selected procedure and the type of document requested, you can select from several file types when attaching electronic documents to a form.

File type	Document type	Procedure
PDF	All document types, default option	EP, PCT
XML (PatXML)	Patent specification; prepared with the PatXML Software, including referenced JPG or TIF images	EP(1001E2K), PCT/RO/101
TIFF (TIF)	Facsimile signature	EP
JPEG (JPG)	Facsimile signature	EP, PCT
TIFF (TIF)	All document types	PCT
JPEG (JPG)	All document types	PCT
TXT	Sequence listing	EP, PCT
APP, SEQ	Sequence listing, compliant with WIPO Annex C/ST.25	EP, PCT
ZIP	Pre-conversion archive, sequence listing	EP, PCT

Generating XML files

Various software products are available from national and international patent offices which allow users to generate XML files which meet their standards:

- ◆ **PatXML** (EPO) is based on Microsoft Word®. Users can prepare their documents in the familiar Word environment or import documents formatted using standard sections. The format of the finished XML files is .pxml.

More information about PatXML can be found on the EPO website at **Applying for a patent > Online services > Online Filing > Download auxiliary software** (<http://www.epo.org/applying/online-services/online-filing/auxiliary.html>).

- ◆ **PCT-SAFE Software** (WIPO)

For information about this product see the WIPO website at **IP Services > PCT > PCT Electronic Filing** (<http://www.wipo.int/pct-safe/en/>).

Images which are part of the technical documents are referenced in the XML format to be attached and are automatically uploaded in the background. You will see these files later in Online Filing's PDF Viewer.

Generating PDF files

The PDF file format is suitable for all documents containing text or images. For example, you can store additional descriptions and notes relating to your application in PDF format or scan original documents not available in electronic form and convert them into PDF files.

To generate PDF documents for use in Online Filing, it is recommended that you use the **Amyuni® PDF Converter** which is delivered free of charge with the Online Services starter kit CD-ROM. The **Amyuni® PDF Converter** has been customised to embed all fonts (even the copyrighted ones) and has been preset with the required paper size.

Besides Adobe Acrobat®, there are many other products on the market that generate PDF documents. You may 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).

Compatibility requirements by the EPO and WIPO

The European Patent Office can only accept documents which are compliant with Annex F. A full version of Annex F can be found on the WIPO website at **IP Services > PCT > Legal Texts** (<http://www.wipo.int/pct/en/texts/>).

Rules for Annex F-compliant 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.
- ◆ The paper size must not exceed A4. Online Filing issues a warning if the document's paper size is larger and will not attach the PDF file.

Rules for Annex F-compliant images

- ◆ **TIFF** (file type **.tif**)
 - Only black and white images are allowed
 - When saving an image as TIFF the following settings should be selected: TIFF V6.0 with Group 4 compression, single strip, Intel encoded (i.e. for IBM PC format, NOT Macintosh).
 - Image resolution must be 300 or 400 dpi.
 - The recommended maximum page size is 255 mm x 170 mm.
- ◆ **JPEG** (file type **.jpg**)
 - Image resolution must be 300 or 400 dpi.
 - The recommended maximum page size is 255 mm x 170 mm.

Problems fixed in version 5

- ◆ Paper size in the PDF file may exceed A4 or US letter format by up to 5%; thus, sizes up to 312 mm by 227 mm or 12.28" by 8.94" are accepted.
- ◆ A mixture of landscape and portrait formats is allowed in a file.
- ◆ US priority documents in US letter format can be attached.
- ◆ PDF files scanned with HPDigitalSender are accepted.

5.2 Signing applications

Once all the mandatory information is completed, the application can be signed by users with appropriate user rights in Online Filing.

Types of signature

The EPO accepts three legally recognised types of signature:

1. **Alphabetical**

The name of the signatory is entered in the electronic form via the computer keyboard; see **Alphabetical signatures** (p. 89).

2. **Facsimile**

An electronic file containing a scanned image of a handwritten signature is attached to the application; see **Facsimile signatures** (p. 91).

3. **Enhanced digital signature with smart card**

A personal smart card is inserted into the reader connected to the PC and the user's PIN code is entered; see **Smart cards** (p. 92).

An application can contain multiple alphabetical and/or facsimile signatures. It cannot be sent, however, until an enhanced digital signature has also been applied. No further signatures can be added once an enhanced digital signature is added as this finalises the signing process.

! ***Note:** For more information on enhanced electronic signatures, please refer to Articles 7 and Article 8 of the "Decision of the President of the European Patent Office dated 26 February 2009 concerning the electronic filing of documents", published in the **Official Journal EPO 3/2009**, p. 182-187. (http://archive.epo.org/epo/pubs/oj009/03_09/03_1829.pdf)*

! *Please note that under Article 8(2) of the aforementioned decision of the President, the authenticity of documents filed **in appeal proceedings** (Articles 106 to 112a EPC) must be confirmed by means of an enhanced electronic signature of a person authorised to act in the proceedings in question.*

Applying a signature

A signature may be applied by any smart card user in any of the three accepted formats when filing to the EPO.

A person applying an alphabetical or facsimile signature need not be party to or authorised in proceedings but the signature applied must be of a person authorised and recognised by the EPO to act in the proceedings in question. Any such signature will then need to be confirmed by an enhanced digital signature for non-repudiation before it is sent. This confirms the identity of the smartcard user applying any such signature (not applicable to appeal proceedings).

An enhanced digital signature using a smart card should only be applied for normal signing purposes by a smart card holder who is authorised to act in proceedings before the EPO, for the application being signed. The smart card signature of a smart card holder not authorised to act in the proceedings for which that signature is applied will not be accepted as valid.

Preparing for signature

If you want an application to be signed, you must first move it to **Ready to sign** status in the workflow process. There are two ways to do this while the application is still in **Draft** status:

- Select **Save As > Ready to Sign** from the **File** menu in the open application.
The form view closes, leaving the application in **Ready to sign** status in File Manager.
- OR-
- Select the application in File Manager and click the **Next** button (the tool-tip indicates "Ready to sign")

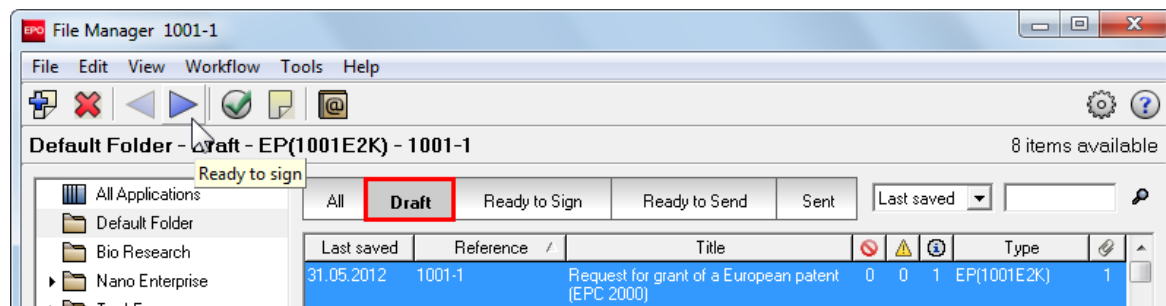


Figure 92: Moving an application from "Draft" to "Ready to Sign" status

Starting the signing process in File Manager

If the status of the application is **Ready to sign**, the signing process is automatically started as the next stage in the workflow process as soon as you open the application or click the **Next** button.

- Open the application in File Manager with a double-click.
- OR-
- Select the application in File Manager and click the **Next** button (the tool-tip indicates "Sign").

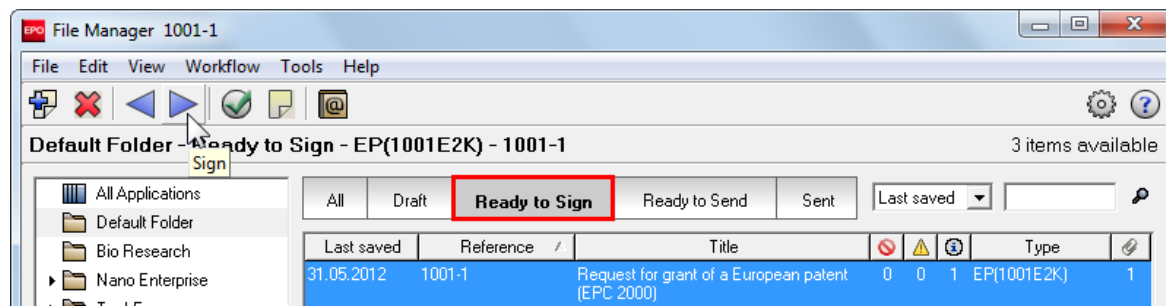


Figure 93: Starting the signing process from File Manager

Starting the signing process directly from draft status in the form

You can skip the **Ready to sign** status by activating the option **Start signing immediately when moving application forward from draft status** under **Confirmations** (p. 57) in User Preferences. This means that the signing dialogue will be opened immediately.

① Form PCT/RO/101 provides different functions; see **Processing the PCT/RO/101 application** (p. 330) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

- Select **Save As > Ready to Sign and Sign** from the **File** menu.
- OR-

Click the **Next** button (the tool-tip indicates "Move to Ready to Sign and Sign").

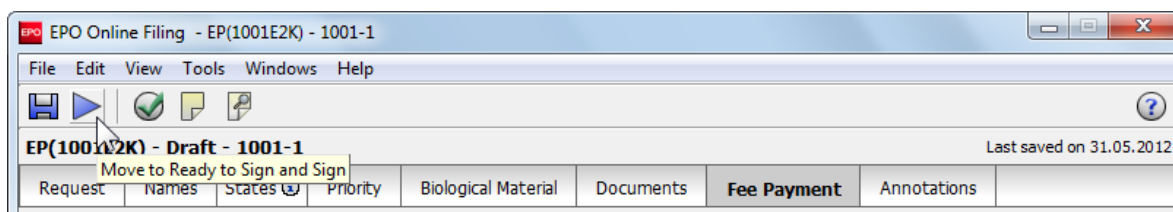


Figure 94: Tooltip "Move to Ready to Sign and Sign"

Signing

The **PDF Viewer** opens with a preview of the application. It is recommended that you use this opportunity to check all documents for accuracy before the application is signed.

→ Click **Sign Now** on the lower right of the PDF Viewer.

→ To stop the signing process, click **Cancel**.

This returns the application to the **Ready to sign** status in File Manager.

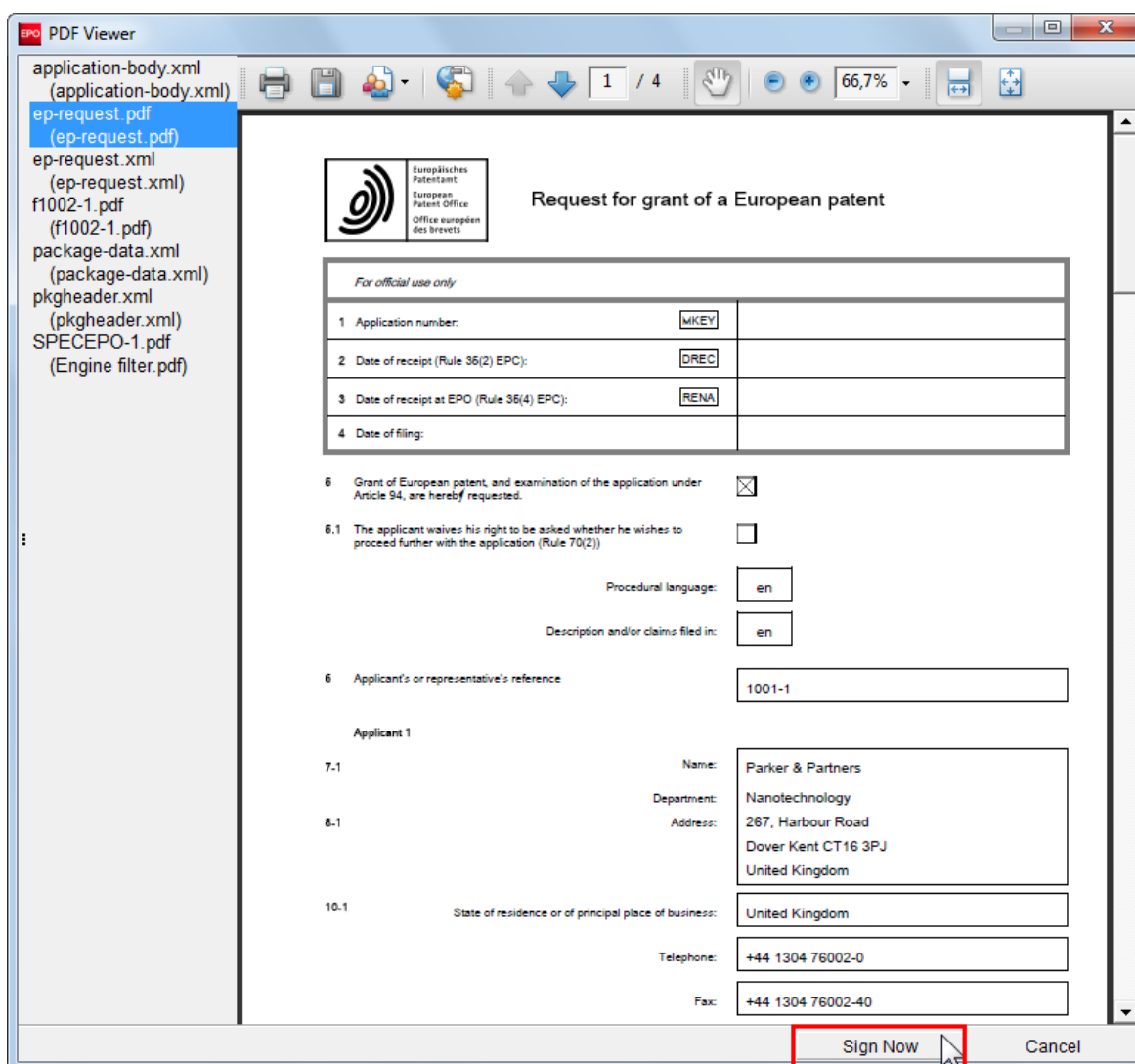


Figure 95: PDF Viewer with "Sign Now" button

5.2.1 Alphabetical signatures

In the example below, the proprietor of the patent files a submission in opposition proceedings. The proprietor is represented by a patent attorney, whose secretary is going to send the application to the EPO.

You, the secretary, apply an alphabetical signature on behalf of the attorney and then sign the application with your own smart card for non-repudiation; i.e. you confirm the validity of the alphabetical signature with your own smart card signature.

- Select the representative's name as signatory in the **Sign Application** window.
- Under **Type of signature**, select **Alphabetical**.
- In the **Signature** field, enter the name of the person enclosed in slashes, e.g. **/David Kilburn/**.
- Enter the **Place of signing** (optional).
- Click **Sign**.

Figure 96: Applying alphabetical signature for the representative

A warning appears if you accidentally remove or forget to enter the slashes in the **Signature** field.

- Click **OK**.

Figure 97: Note on alphabetical signature

The missing slashes are automatically inserted by the software.

Other actions

- Add more signatures if required.
- To remove a signature, select the corresponding name and click **Remove**.
- To save the current selection for the type of signature, select the check box **Save settings as default**.
This changes the **Signing preferences** (p. 57) in the User Preferences.
- Click **Close** when ready.

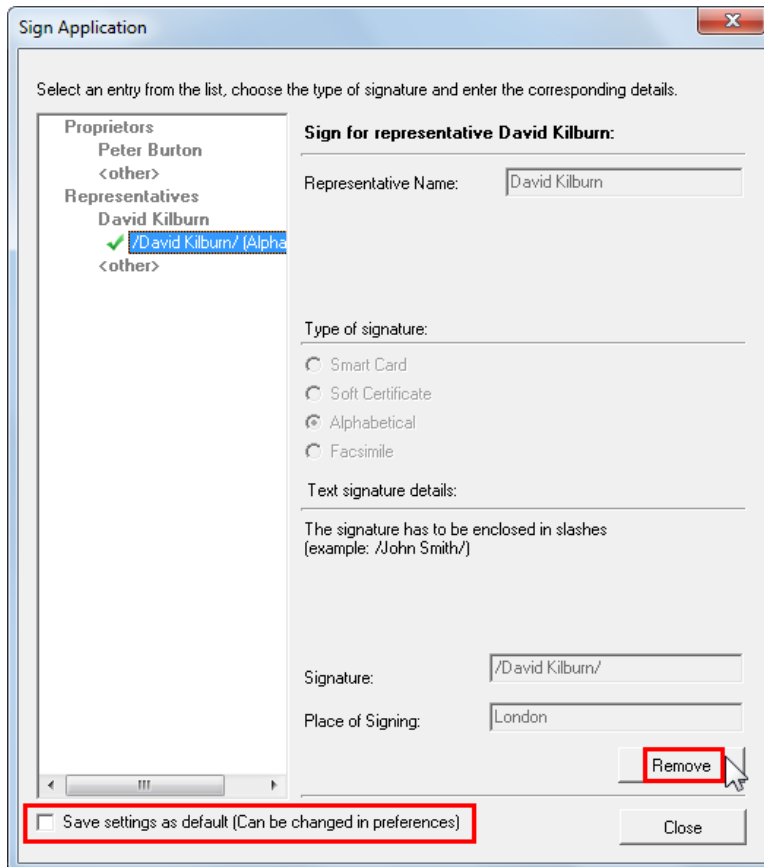


Figure 98: Other options in the Sign Application window

The following message box appears while Online Filing is processing the text signature.

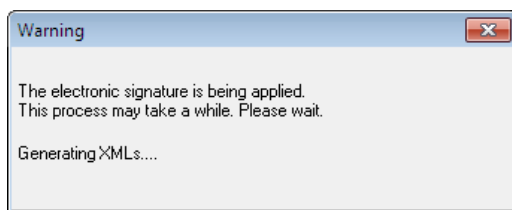


Figure 99: Message box that appears when a signature is being created

The **Sign Application** window closes automatically when the process finishes.

The status of the application remains in **Ready to sign** in File Manager because the sending process cannot be initiated without an electronic signature.

5.2.2 Facsimile signatures

In this example, the applicant is a legal body and represented by an employee under Article 133(3) EPC. The facsimile signature of the employee is attached to the application.

- Prepare the signature as an image file by scanning a sheet of paper with the handwritten text or using a pen tool to write the signature in a suitable graphics suite.
 - You can use files in either TIFF (*.TIF) or JPEG (*.JPG) format. The default is TIFF.
 - The file name must not contain any spaces or special characters.
 - The signature file must be **Annex F-compliant** (see "**Preparing documents for attachment**" p. 84).
- In the **Sign Application** window select the relevant **Applicant** (if not already selected).
 - The **Employee name (Art. 133 EPC)** field is automatically populated with the name entered in the **Names** tab and cannot be edited.
 - The **Function of person signing** field remains empty and is disabled.
- Under **Type of signature**, select **Facsimile**.
- Enter the **Signatory Name**.
- To attach the image file with the signature, click **Choose File**, navigate to the file's storage location and click **Open** to select it.
The button's label changes to **Remove**.
- Enter the **Place of signing** (optional).
- Click **Sign**.
- Click **Close** when ready.

The screenshot shows the 'Sign Application' window. On the left, under 'Applicants', 'Micro York' is selected. Below it, 'Representatives' is also listed. The main area is titled 'Sign for applicant Micro York:'. It contains several fields: 'Applicant Name' (Micro York), 'Employee name (Art. 133 EPC)' (Jeremy Baker), and 'Function of person signing' (empty). Below these is the 'Type of signature' section with three radio buttons: 'Smart Card', 'Soft Certificate', and 'Facsimile' (which is selected and highlighted with a red box). Under 'Facsimile signature details', there is a 'Signatory Name' field (Jeremy Baker, highlighted with a red box), a 'Remove' button, and a file name 'SIGNATURE.JPG' (highlighted with a red box). At the bottom, there is a 'Place of Signing' field (York) and a 'Sign' button. A 'Close' button is at the bottom right. A checkbox 'Save settings as default (Can be changed in preferences)' is at the bottom left.

Figure 100: Facsimile signature for the applicant's employee attached in JPG format

The following message box appears while Online Filing is processing the facsimile signature.

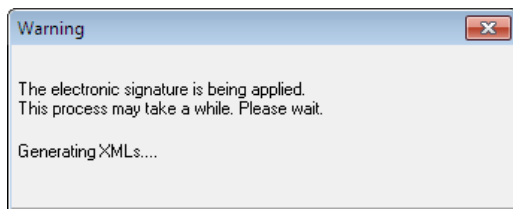


Figure 101: Message box that appears when a signature is being created

The **Sign Application** window closes automatically when the process finishes.

The status of the application remains in **Ready to sign** in File Manager because the sending process cannot be initiated without an enhanced electronic signature.

5.2.3 Smart cards

The European Patent Office provides registered users of Online Services with smart cards for digital signing. Smart cards are a very secure method for encrypting signatures.

Smart cards can be ordered free of charge from the EPO. Alternatively, you can register existing smart cards with the EPO for filing. For more information, go to the EPO website at **Applying for a patent > Online services > Security > Smart cards** (<http://www.epo.org/applying/online-services/security/smart-cards.html>).

The smart card is produced by a certification agency. It includes two certificates, a PKCS#7 certificate and a PKCS#11 certificate. Both contain a public and a private RSA key for the user. The private key is only visible if a user logs on to the smart card administration tool (GemSafe Toolbox) with the smart card PIN.

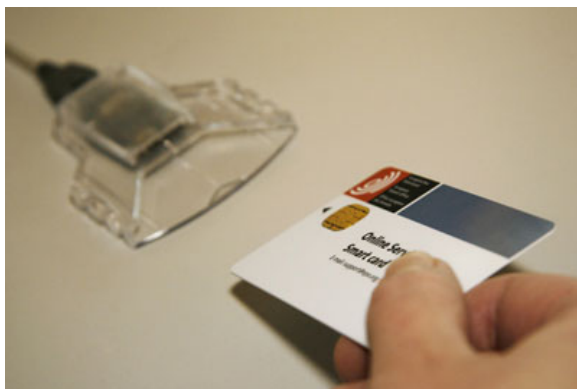


Figure 102: Inserting smart card into card reader

Security information

When an attorney leaves a company, the company should inform EPO User Support and have the attorney's card revoked. It should also tell the EPO the identity of the attorney taking over the relevant files. The files are then detached from the previous representative and attached to the new one. After this has been done the previous attorney will no longer be able to see the files as "his" assets.

! **Note:** Smart cards may not be shared. Each and every person in a company who has the right to access Online Filing should apply for a personal smart card. These should not be given to any other employee. The personal smart card allows the holder to use all EPO Online Services for which he is authorised by his enrolment.

Signing with the smart card as an applicant or representative

A smart card signature is legally binding. You cannot add any more signatures after you sign an application with the smart card.

In this example, you, the representative, are a natural person and you sign the application yourself.

- Select the representative in the **Sign Application** window.
- Under **Type of signature**, select **Smart Card**.
- Insert your personal smart card into the reader connected to your PC; see **Checking the smart card** (p. 96).
- Enter your **PIN code**.
- Enter the **Place of signing** (optional).
- Click **Sign**.

Figure 103: Representative signing with her personal smart card and PIN code

Signing with the smart card as a legal applicant

The legal owner or director of a company may sign an application with a personal smart card, if there is no authorised employee or representative. The function of the person signing can be optionally specified in the signing dialogue. However, the name of the smart card holder will always appear on the PDF form to identify the signatory to the EPO.

In the example below, you, the director of a company, enter a function and sign as the applicant.

- In the **Sign Application** window, select the role on the left.
 - The **Employee name (Art. 133 EPC)** field remains empty and is disabled.
- Enter the **Function of person signing**, e.g. **Director** (optional).
- Under **Type of signature**, select **Smart Card**.
- Enter the **PIN code**.
- Enter the **Place of signing** (optional).
- Click **Sign**.

Sign Application

Select an entry from the list, choose the type of signature and enter the corresponding details.

Applicants
 Nano Enterprise Ltd.
 <other>
Representatives
 <other>

Sign for applicant Nano Enterprise Ltd.:

Applicant Name: Nano Enterprise Ltd.

Employee name (Art. 133 EPC):

Function of person signing: Director

Type of signature:

☒ Smart Card
☐ Soft Certificate
☐ Alphabetical
☐ Facsimile

Smart card details:

Enter PIN Code: XXXXXXXXXX

Place of Signing: London

☐ Save settings as default (Can be changed in preferences)

Sign Close

Figure 104: The director of a company signs as a legal applicant

Signing with the smart card as an employee under Article 133 EPC

Only an employee who is authorised to represent the applicant under Article 133 EPC is allowed to sign an application for the applicant. That employee's name is indicated in the **Names** tab of form EP(1001E2K), Euro-PCT(1200E2K) or EP(Oppo); see the corresponding sections in this user guide.

For more legal information visit the EPO website to read the full text of **Article 133 EPC** (<http://www.epo.org/law-practice/legal-texts/html/epc/2010/e/ar133.html>).

The example below shows you, an employee authorised under Article 133 EPC, signing for the opponent, legal person.

- Select the applicant on the left.
 - The **Applicant Name** and **Employee Name (Art. 133 EPC)** fields are automatically populated and locked for editing.
 - The **Function of person signing** field remains empty and is disabled.
- Under **Type of signature**, select **Smart Card**.
- Enter the **PIN code**.
- Enter the **Place of signing** (optional).
- Click **Sign**.

The screenshot shows a window titled "Sign Application" with a close button (X) in the top right corner. Inside the window, there is a list of "Opponents" on the left, with "Parker & Partners" selected. Below the list, there are fields for "Applicant Name" (Parker & Partners) and "Employee name (Art. 133 EPC)" (Linda Morgan). The "Employee name" field is highlighted with a red rectangle. Below these fields is a "Function of person signing" field, which is empty and disabled. Under "Type of signature", the "Smart Card" option is selected with a radio button. Below this, there are "Smart card details" fields, including "Enter PIN Code:" with a masked input field. At the bottom, there is a "Place of Signing:" field with "Dover" entered. A "Sign" button is located at the bottom right, with a mouse cursor hovering over it. At the very bottom, there is a checkbox for "Save settings as default (Can be changed in preferences)" and a "Close" button.

Figure 105: Employee signing for applicant/opponent under Article 133

The message box "The electronic signature is being applied ..." appears while Online Filing is processing the digital signature.

The **Sign Application** window closes automatically when the process finishes. The status of the application changes to **Ready to send** in File Manager.

5.2.4 Checking the smart card

The **Smart Card Checker** tool is automatically installed together with the File Manager, i.e. the Online Filing client.

The Smart Card Checker makes work easier for users signing with different types of smart card issued by different national patent offices. The Smart Card Checker tool automatically checks the type and manufacturer of the smart card as soon as it is inserted in the reader, automatically finds the correct smart card driver software on the computer and checks the registered certificates.

The Smart Card Checker starts at the same time as the OLF File Manager. When active, the Smart Card Checker icon is displayed on the Windows toolbar. The icon for the smart card reader shows a small certificate when the user data has been successfully read from the smart card.



Figure 106: Programme icons in the Windows system tray

Check smart card using the OLF Smart Card Checker

- Make sure that the smart card reader is connected to your computer and working properly.
- Insert your smart card into the reader.
The green LED stops flashing and lights continuously when the smart card is operational.
- Right-click the system tray icon and select **Check Smartcard**.

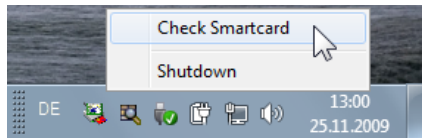


Figure 107: Check smart card

The smart card is checked. The Smart Card Checker displays the message "Smart Card recognized".

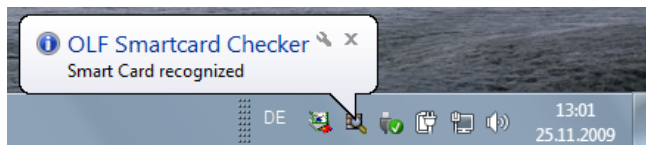


Figure 108: Smart card recognized

If no smart card reader is connected to your computer, if the smart card is not properly inserted or if it is invalid, the Smart Card Checker will tell you that the smart card has not been recognized.

The green LED on the reader flashes if the smart card was not inserted correctly or cannot be read. The reader's icon also shows that there is no smart card in the reader, indicating that certificates could not be read.

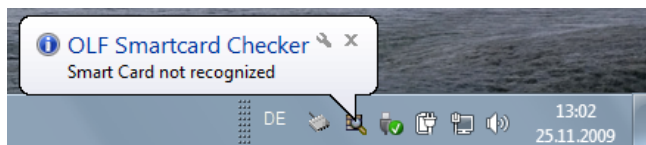


Figure 109: Smart card not recognized

5.2.5 Soft certificates

! ***Note:** At present, the EPO does not accept soft certificates as an electronic signature for filings to the EPO server.*

The soft certificate signing option can be used for online filing, however, if the office concerned accepts this certificate. Please see the website of the office concerned for details.

Signature with a soft certificate

In this example, a PCT/RO/101 application to the International Bureau as the receiving office is digitally signed with a soft certificate issued by WIPO.

- Select the signatory in the list.
- Under **Type of signature**, select **Soft Certificate**.
- Click **Choose File**.

Online Filing accepts PKCS#12 certificates with the file name extensions **.p12** or **.pfx**.

- Select the soft certificate file and click **Open**.

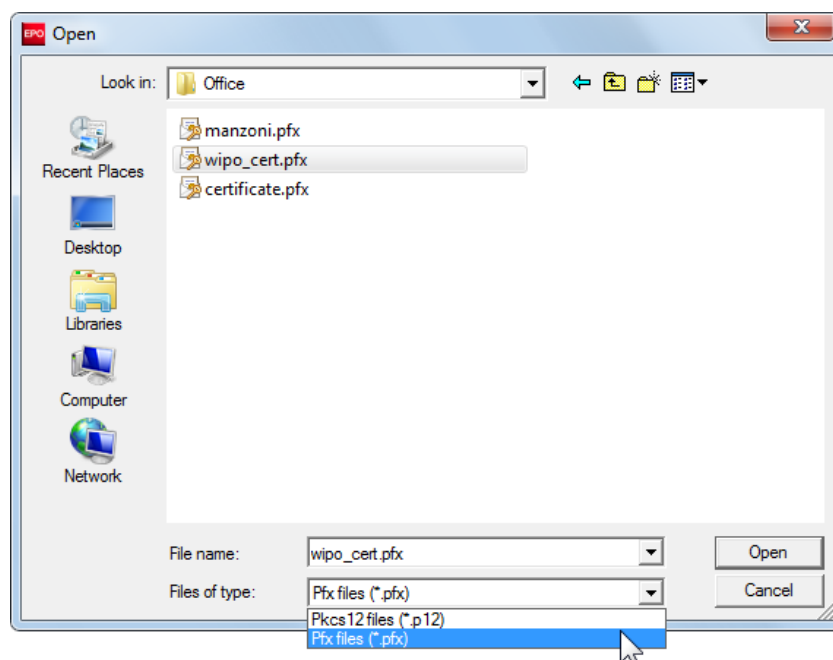


Figure 110: Selecting the soft certificate for digital signing

- The button label changes to **Remove**.
- Enter the **PIN code**.
- Enter the **Place of signing** (optional).
- Click **Sign**.

Figure 111: Applicant signing with soft certificate and PIN code

The following message box appears while Online Filing is processing the digital signature.

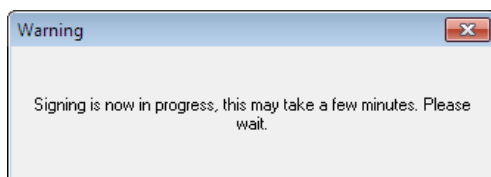


Figure 112: Message window that appears when the electronic signature is being created with a soft certificate

The **Sign Application** window closes automatically when the process finishes and the status of the application changes to **Ready to send** in File Manager.

5.2.6 Non-repudiation signature

An application without an enhanced digital signature, i.e. which has been signed with an alphabetical or facsimile signature but not with a smart card, must be manually changed to **Ready to send** status in File Manager.

Before the application can be sent, a **signature for non-repudiation** is required. Applying a non-repudiation signature not only validates the sender but also time-stamps the transaction, so it cannot be claimed subsequently that the transaction was not authorised or was not valid. A non-repudiation signature can only be applied with a valid smart card.

- Select the application in **Ready to sign** status.
- Click the **Next** button ("Ready to send" is displayed as the tool-tip).
The application switches to **Ready to send** status.
- Click the **Next** button ("Send" is displayed as the tool-tip).

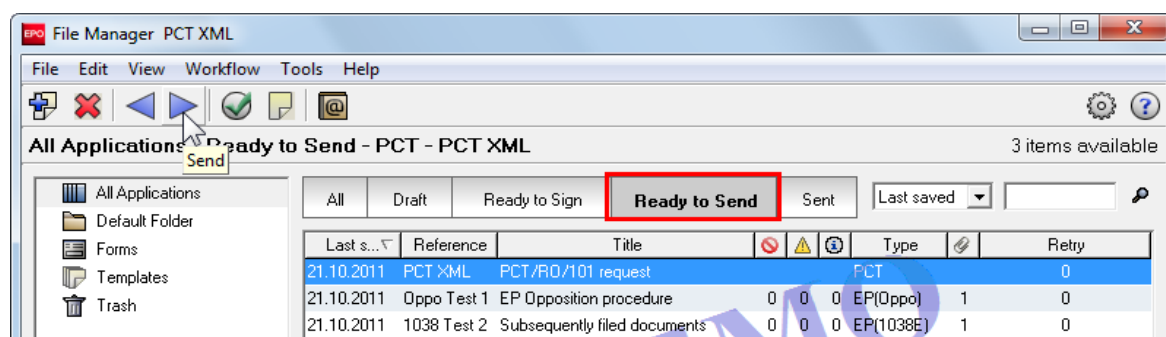


Figure 113: Moving the application to "Send" in the workflow requires the signature for non-repudiation

The prompt to **sign for non-repudiation** appears.

- Select the type of signature you want: **Smart Card** or **Soft Certificate**.
The default setting is **Smart Card**.
- Enter the **PIN code** of your smart card.
- Click **Sign**.

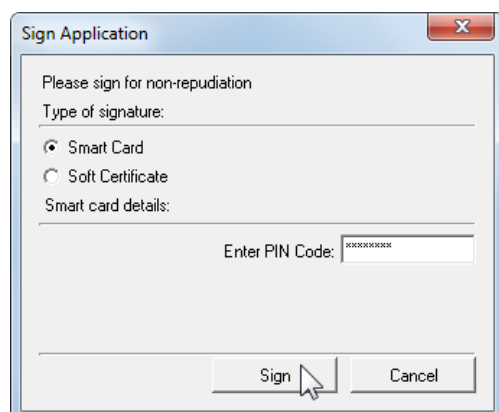


Figure 114: Prompt to sign for non-repudiation

The application is signed for non-repudiation and the sending dialogue appears.

5.3 Sending applications

Once you have added a digital signature to your application it is ready to be sent to the EPO. It has moved from **Ready to sign** to **Ready to send** status.

- In File Manager click on the **Ready to send** button.
- Select the application you wish to send.
- Click the **Next** workflow button ("Send" is displayed as the tool-tip).

The next dialogue allows you to verify the selected method of sending.

- Modify the filing option or signing option, if required.
- Ensure that the transmission is going to the location you intend (demo server or production server).
- Click **Continue Sending**.

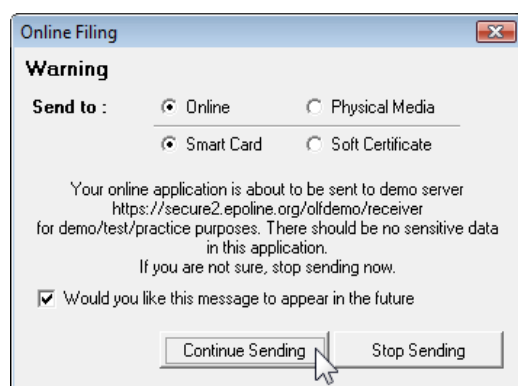


Figure 115: Sending application to demo server

- Enter your PIN at the prompt.

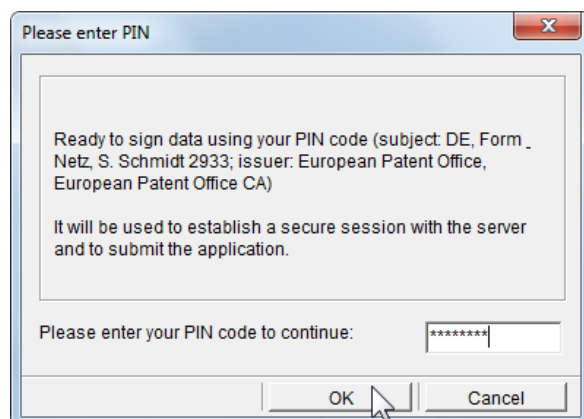


Figure 116: Prompt to enter PIN

The application is now sent to the EPO.

A progress indicator lets you know what stage the transmission is at.

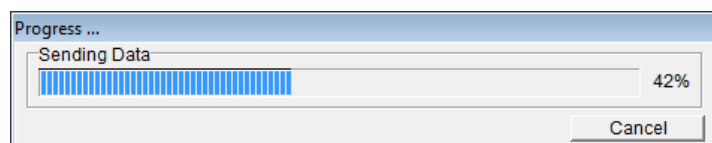


Figure 117: Progress indicator while sending application

5.3.1 Viewing receipts

When the transmission is finished, a prompt appears notifying you that filing has been completed and asking if you want to view the receipt.

→ At the prompt click **Yes** to see the PDF version of the receipt.

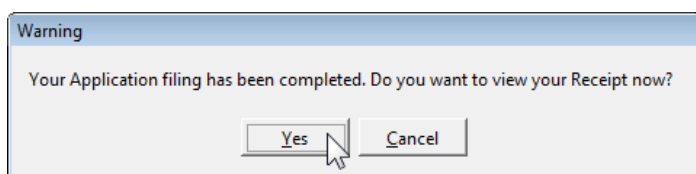


Figure 118: Prompt to view receipt

The acknowledgment of receipt opens in the **PDF Viewer**. The acknowledgment contains the EPO application number and is stamped with the exact data and time of receipt.

You can print the receipt by clicking the print icon in the PDF Viewer, or you can save a copy to your PC using the save icon.

→ Click **Close** to quit the PDF Viewer.

→ Any time you want to view a receipt again in Online Filing, just select the application and click **View...** in the **Info Pane**.

-OR-

Select **View > List of attached documents**.

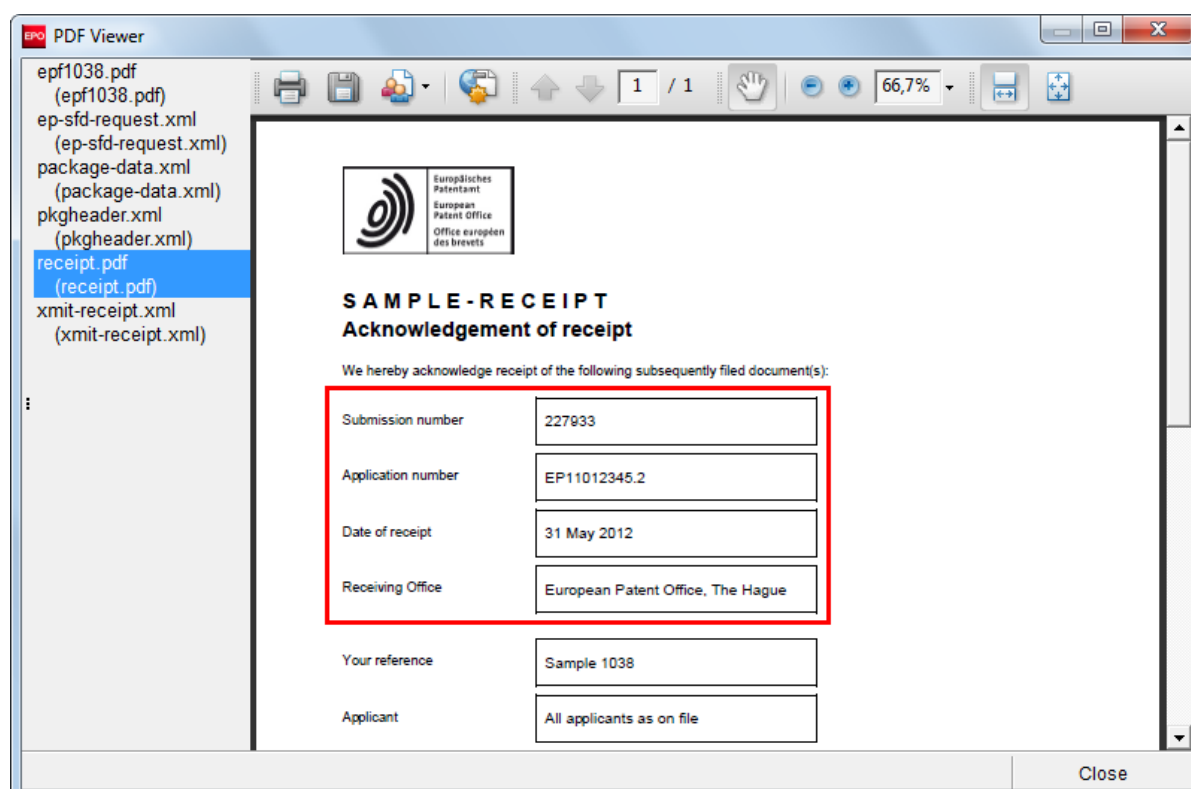


Figure 119: Viewing the acknowledgment of receipt after filing

5.3.2 Batch sending

Online Filing enables you to send more than one application at the same time.

- Click the **Ready to send** status button.
- Select the first application you want to send with a click and all other individual applications with **CTRL+Click**.
- OR-
- Select the first application and then press **SHIFT+Click** on the last one to select all of them.
- Click the **Next** workflow button ("Send" is displayed as the tool-tip).

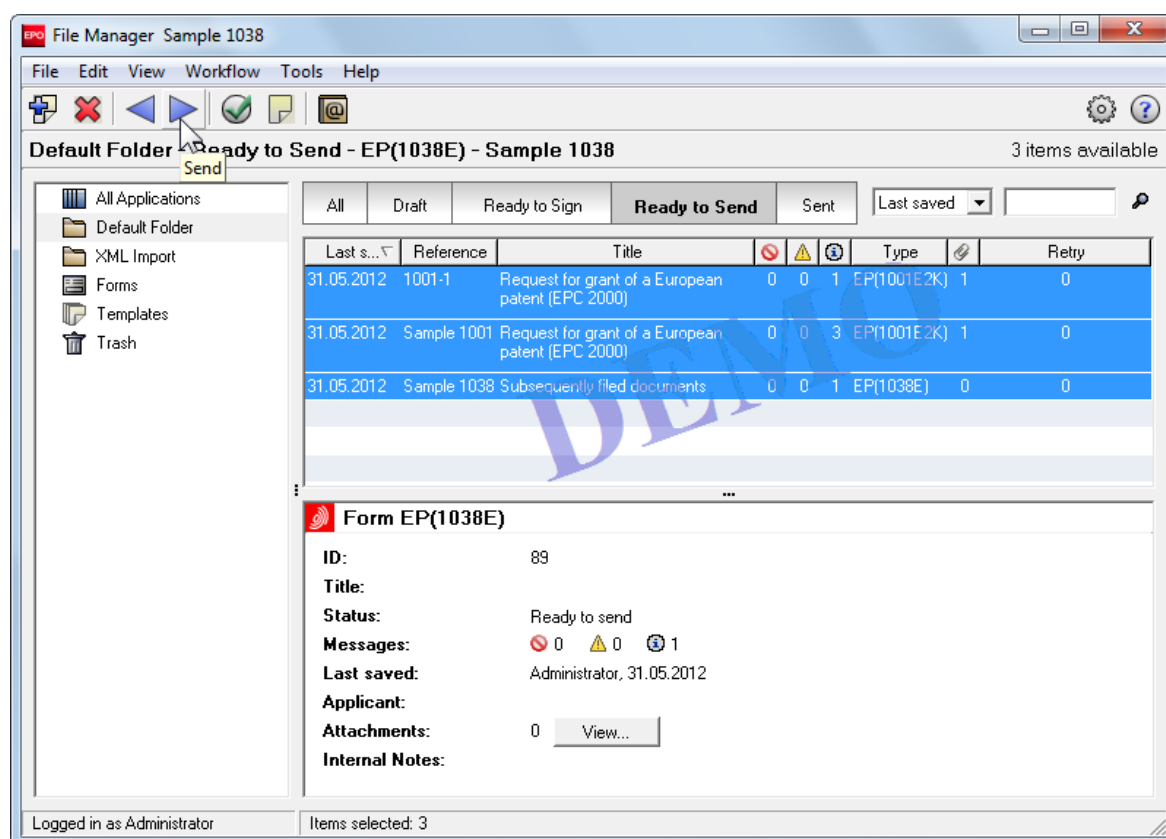


Figure 120: Applications with "Ready to send" status selected for batch sending

The batch sending process and the process for sending single applications are basically identical save for the following modifications:

- ♦ The warning window and the PIN-entry prompt only appear once.
- ♦ The prompt to sign for non-repudiation appears if one of the applications has not yet been digitally signed.
- ♦ As each application is being sent, a progress indicator lets you know what stage the transmission is at.
- ♦ The window prompting you to view the acknowledgment of receipt does not appear.

5.4 Exporting data from Online Filing

Online Filing provides different functions for exporting data from the File Manager, from the form and from the Server Manager. Exporting can also be used to reduce database size by archiving and removing applications that are no longer needed for your current work.

Exporting from File Manager

The export functions in File Manager allow the export of both multiple applications/ templates and individual items. Three options are available:

- ◆ **Export Forms** - select one or multiple items (EP forms, templates and PCT/RO/101 forms) in the **Forms Export** dialogue; see **Exporting items** (p. 104).
- ◆ **Export XML to File(s)** - select one or multiple items (only EP forms) in one of the File Manager's folders. Each item is exported as a ZIP file; see **Exporting data as XML to ZIP file** (p. 107).
- ◆ **Export XML to Folder(s)** - select one or multiple items (only EP forms) in one of the File Manager's folders. Each item is exported to a new folder; see **Exporting data as XML to folder** (p. 108).

Exporting from the form view

You can export the last saved status of an application (or a template) that is currently open in the form view. Exporting from the form is only possible while an application is still in **Draft** status.

For EP forms, two options are available:

- ◆ **Export** - creates a ZIP file.
- ◆ **Export XML to folder** - exports the data into an existing folder in your file system.

❗ For PCT/RO/101 forms, please refer to **Exporting and importing a form** (p. 335) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

Exporting from Server Manager

The **Export** function in Server Manager offers extended filtering and sorting options for preparing the range of applications to be exported; see **Exporting items** (p. 347) in the Server Manager section.

❗ Note that the **Export** function of Server Manager is not available for data created in the File Manager's demo mode.

Archiving database content

Keeping a large number of applications in the Online Filing database may eventually affect the system performance. It is therefore recommended to clear out the folders occasionally by archiving your application data to other storage locations on your computer system.

Selecting the option **Delete items from database after archiving** in the **Forms Export** dialogue removes all selected applications from Online Filing after backup copies are made; see **Deleting items from the database after archiving** (p. 106).

5.4.1 Exporting items

If you want to export any sent applications, templates, or previously prepared EP and/or PCT forms at the same time, the recommended procedure is described below.

→ In File Manager select **Export > Forms** from the **File** menu.

All available applications are shown by default.

→ Select the check boxes of the items you wish to export.

→ Click **OK**.

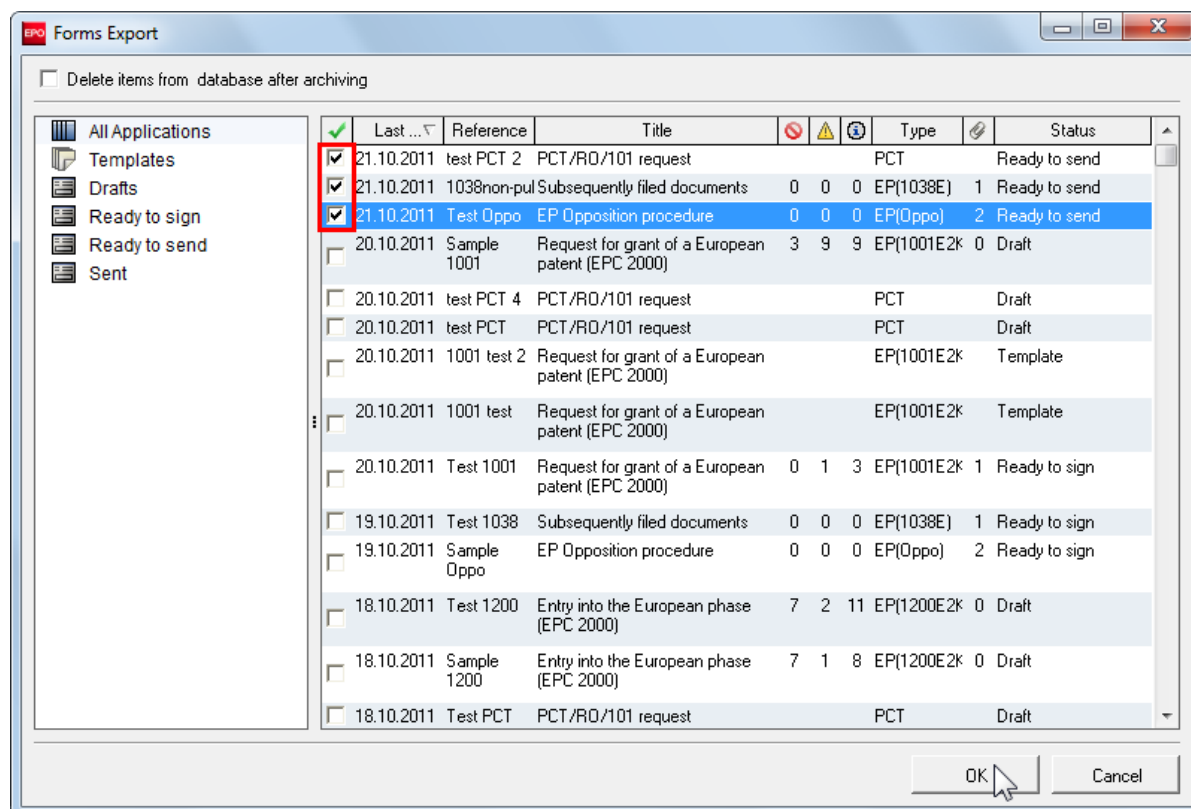


Figure 121: Selecting individual applications for export

Online Filing navigates to the working directory specified for export in **User Preferences**.

→ Navigate to the destination folder you require.

! **Note:** Each time you export an application, the Export function creates a new ZIP file and names it according to the application's user reference. If a ZIP file of the same name already exists in the export folder, e.g. **sample_oppo.zip**, the following ZIP files will be named **sample_oppo_001.zip**, **sample_oppo_002.zip** and so on. The same applies if two or more applications have the same user reference.

→ Click **OK** to confirm the file location.

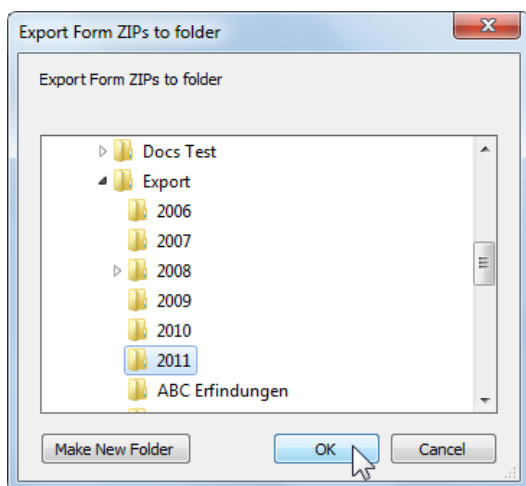


Figure 122: Select location for export

- At the **Export complete** prompt, click **OK**.
- View the ZIP files in the selected export folder.

An exported ZIP file contains a number of PDF and XML files that have been created internally by Online Filing. In this example, the ZIP file also contains DAT files that have been generated by the packing and signing process.

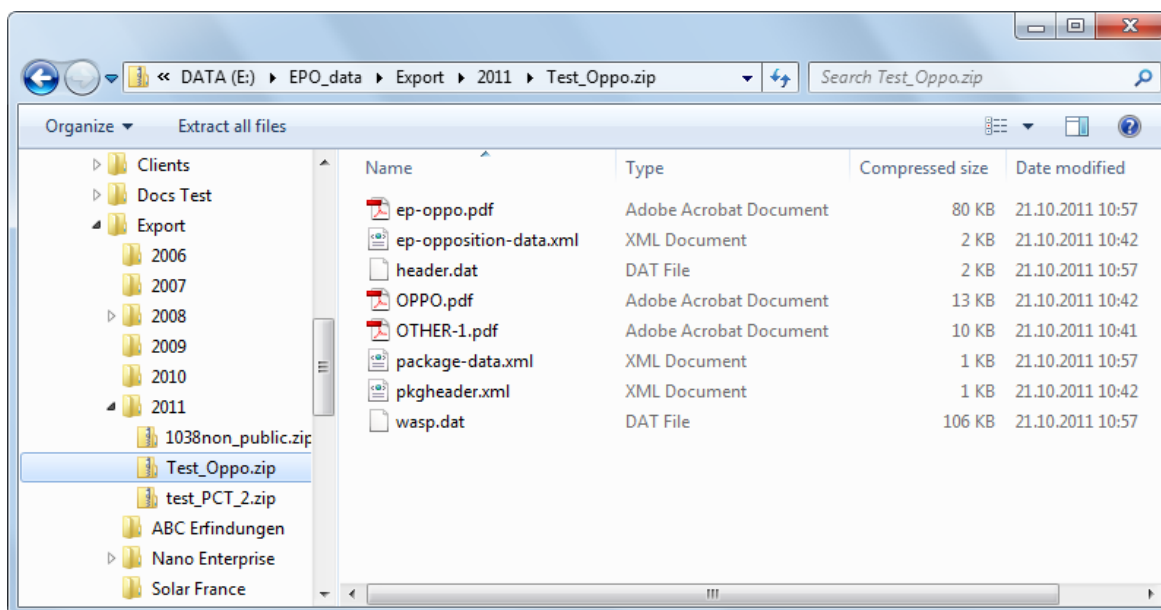


Figure 123: Exported ZIP file contents

5.4.2 Deleting items from the database after archiving

In order to free up database space, it is recommended to archive submitted applications on a regular basis.

In this example, all **Sent** applications are marked for archiving. They will be removed from the Online Filing database.

- Select the **Sent** folder on the left.
 - Click the green check label in the list heading to select all forms.
- 
- Select the option **Delete items from database after archiving**.
 - Click **OK** and then proceed as described in **Exporting items** (p. 104).

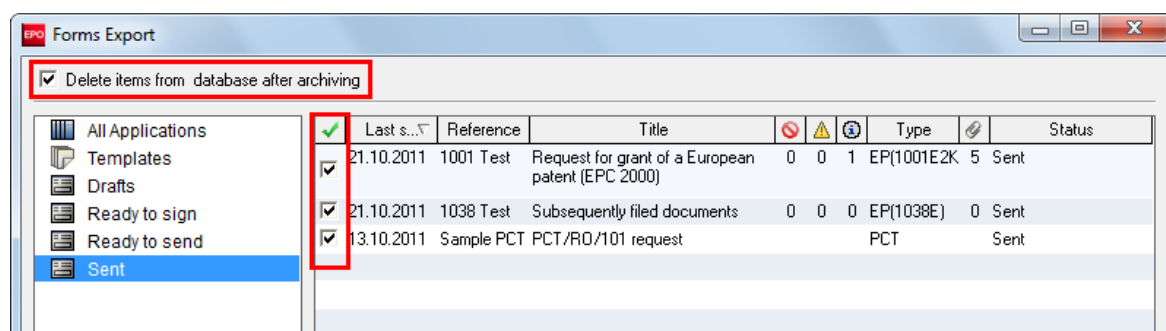


Figure 124: Select all applications with Sent status for export and deletion from the database

The data can always be imported back into Online Filing via the **Import** functions of the File Manager or the Server Manager.

After deleting applications from the database, it is advisable to use the **Empty Database** function in Server Manager to clean the database and physically free up the additional space; see **Database management (Backup, restore, empty)** (p. 342).

5.4.3 Exporting data as XML to ZIP file

Individual applications can be exported as XML files in compressed ZIP format. This operation can be carried out from either the File Manager or directly from an opened form.

→ When in File Manager, select the application and select **Export > XML to File(s)** from the **File** menu.

-OR-

When in the form, select **File > Export**.

Online Filing navigates to the working directory specified for export in **User Preferences**.

→ Edit the **File name** as required.

- If you are exporting from File Manager, the application's user reference is already entered by default.
- If you are exporting from the form view, the **File name** field will be empty.

! *Note: If the destination folder already contains a ZIP file with the same name, a warning message will be displayed asking you if you want to replace the existing file.*

→ Click **Save** to start exporting.

The file is saved in ZIP format.

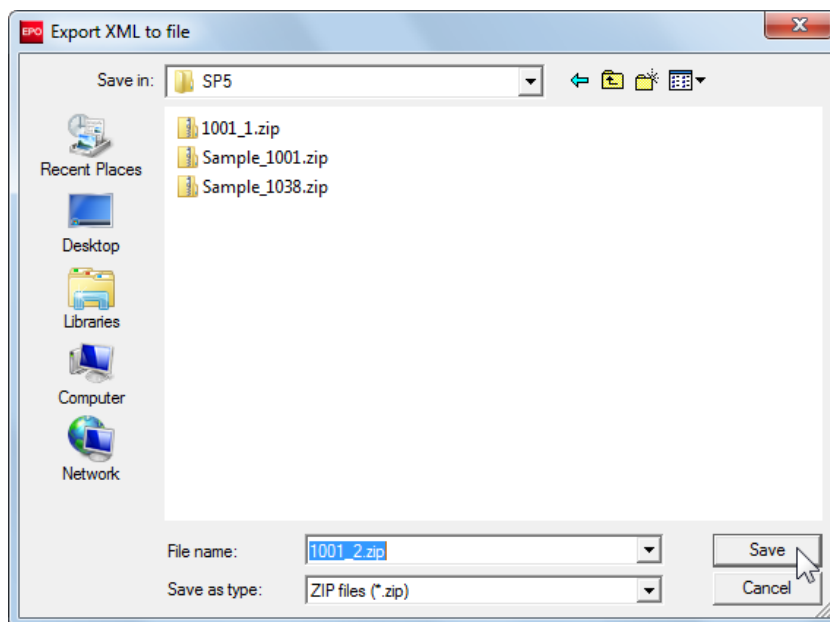


Figure 125: Enter file name for exporting XML to ZIP

5.4.4 Exporting data as XML to folder

Individual applications in Online Filing can be exported as XML files to an external folder. This operation can be carried out from either the main File Manager interface or directly from the form view.

→ From the File Manager, select the application(s) and select **File > Export > XML to folder(s)**.

-OR-

In the form, select **File > Export XML to folder**.

Online Filing navigates to the working directory specified for export in **User Preferences**.

→ Specify the target folder for export.

- If exporting from File Manager, the new folder will be created automatically with the same name as the application's user reference.
- If exporting from the form view, click **Make New Folder** and enter a name for this folder. If you do not do this, the exported files will be stored in the specified destination but will not have a separate sub-folder for unique identification.

→ Click **OK** to start exporting.

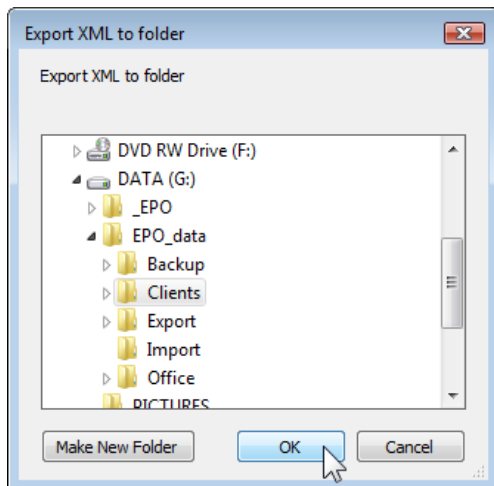


Figure 126: Export application as XML to folder

→ Click **OK** at the **Export complete** prompt.

! **Note:** If the destination folder already contains folders or files with the same names, a warning message will be displayed asking you whether existing files should be overwritten.

The new folder now contains XML and PDF files created by Online Filing.

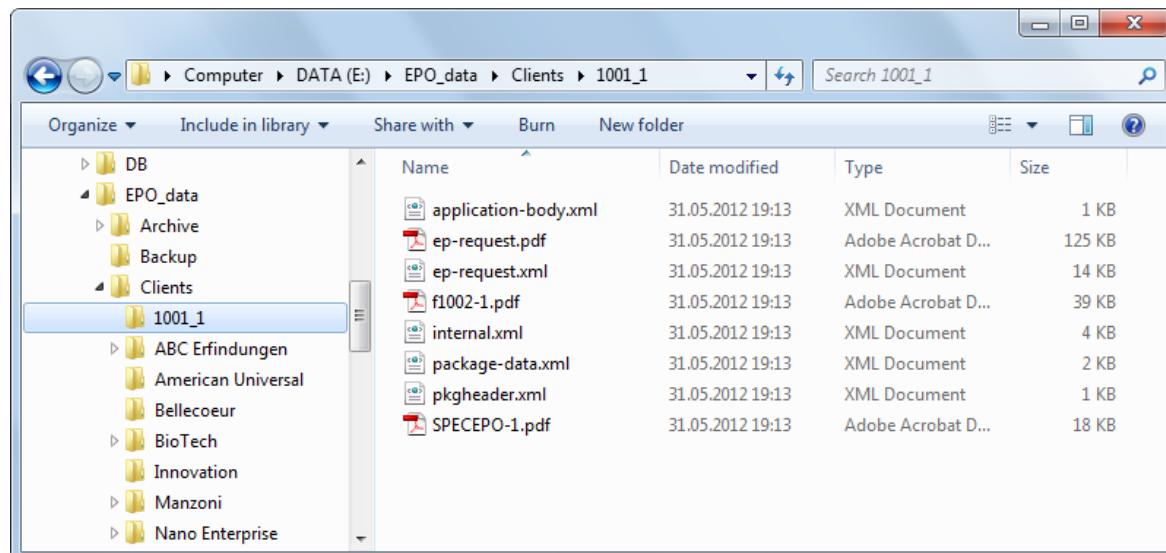


Figure 127: Exported folder containing XML and PDF files

5.5 Importing data into Online Filing

Previously exported applications can be imported back into Online Filing in File Manager or Server Manager and through the form.

Importing applications generally resets their status to **Draft**. This means that Online Filing also removes all signatures or acknowledgements of receipt from re-imported applications which had **Ready to send** or **Sent** status before they were exported. Only when re-imported via the Server Manager do sent applications retain their **Sent** status.

Importing via File Manager

The **Import** function in File Manager allows you to import one application at a time. Importing creates a new draft and immediately opens the form for editing.

Importing in the form view

You can create a new blank draft form and then import an application which is based on the same procedure. Note that importing into an opened form will delete any previously entered data.

❗ This import function is not available for the PCT/RO/101 form.

Importing via Server Manager

The most convenient way to import multiple applications at once is to use the **Import** function in Server Manager. For more details, see **Importing items** (p. 349) in the Server Manager section.

❗ Note that the **Import** function of Server Manager is not available for data created in the File Manager demo mode.

5.5.1 Importing data as XML from ZIP file

- When in File Manager, select **Import > XML from File** from the **File** menu.
- OR-
- When in the form, select **Import**.
- Online Filing navigates to the working directory specified for import in **User Preferences**.
- Select the ZIP file and click **Open** to start importing.

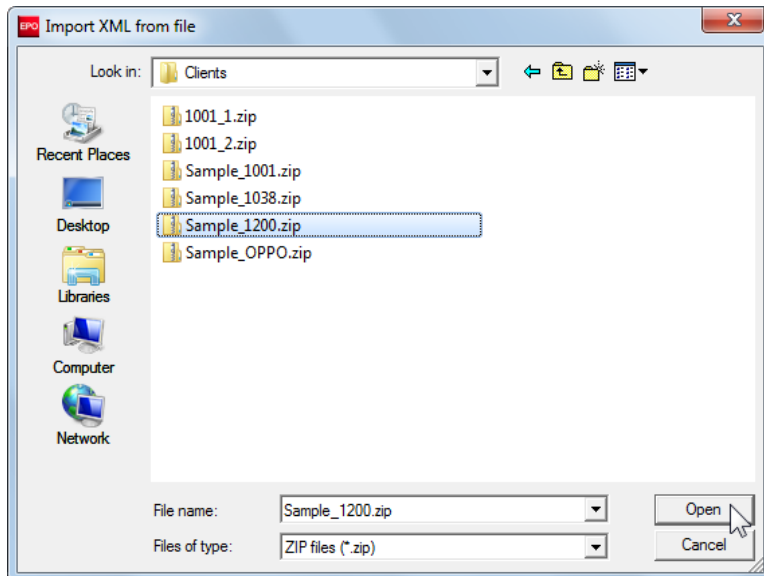


Figure 128: Import XML from ZIP file

The **Create a New Application** window opens.

→ Enter a new user reference.

① When importing a PCT application, only unique user references are accepted.

→ Select a folder, and then click **Create**.

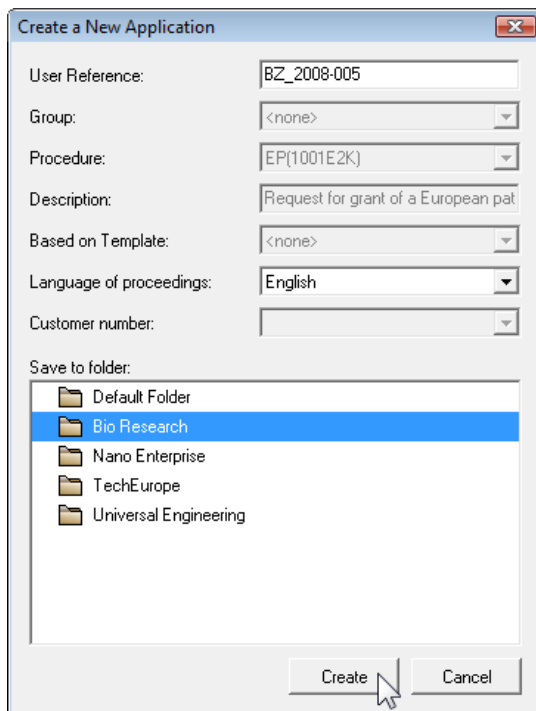


Figure 129: Specify reference and folder for imported application

The application then opens in the form view.

→ Continue with the application and save your work as you require.

5.5.2 Importing data as XML from folder

- Select **Import > XML from folder** from the **File** menu (in File Manager or in an EP form).
Online Filing initially navigates to the working directory specified for import in **User Preferences**.
- Select the folder containing the application to be imported.
- Click **OK**.

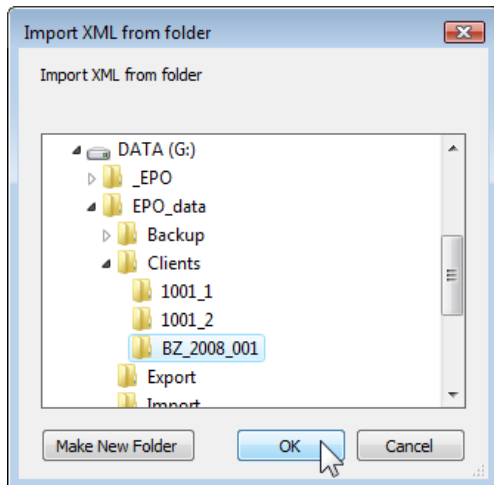


Figure 130: Select folder to import application

The **Create a New Application** window opens.

- Enter a new user reference.
① When importing a PCT application, only unique user references are accepted.
- Select a File Manager folder and click **Create**.
The application then opens in the form view.
- Continue with the application and save your work as you require.

6 EP(1001E2K)

Form EP(1001E2K) is the default form used for requesting the grant of a European patent and examination of the application under Article 94 EPC. The application can be filed directly to the EPO or via one of the participating national offices.

More information about the EPC can be found on the EPO website at **Law & practice > Legal texts > European Patent Convention** (<http://www.epo.org/law-practice/legal-texts/epc.html>).

Data input in form EP(1001E2K)

Form EP(1001E2K) is organised into eight sections represented by eight **tabs** in the **navigation bar**.

It is recommended to enter the data in the tab sequence given, i.e. starting with the **Request** tab. Certain options and conditions in the **Documents** tab, for instance, are determined by the selections you make in the **Request** tab.

Tab	What you can do
Request	Select the filing office, request examination in admissible non-EPO language, select the procedural language, enter the title of invention, enter details of divisional application or reference to a previously filed application.
Names	Enter details of applicant(s), representative(s), inventor(s) and authorisations.
States	Designate contracting states and extension states.
Priority	Declare national, regional or international priorities.
Biological Material	Enter details of deposited microorganisms and the depositary institution.
Documents	Attach the specification documents, their translations and other electronic files.
Fee Payment	Enter the payment method, select fees according to the appropriate fee schedule.
Annotations	Supply additional information for the EPO.

Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. This field must either be filled manually or you must select one of the options provided. If mandatory fields are not completed, the corresponding tab will show a red validation icon. Consult the validation messages for more information.

The screenshot shows the 'Request' tab selected in the navigation bar. Below the navigation bar, there are sub-tabs: 'Request', 'Divisional', and 'Reference'. The 'Request' sub-tab is active. The text 'Grant of European patent and examination of the application under Article 94, are hereby requested.' is displayed. Below this text, the 'Filing Office:' field is shown with a dropdown arrow. A red rectangle highlights the 'Filing Office:' label and the dropdown arrow, and a red triangle icon is visible in the upper right corner of the field, indicating it is a mandatory field.

Figure 131: Filing Office is a mandatory field in the Request tab and is marked with a red triangle

Elements in Form EP(1001E2K)

The screenshot shows the EPO Online Filing interface for Form EP(1001E2K). The interface is divided into several sections:

- Menu Bar:** File, Edit, View, Tools, Windows, Help.
- Toolbar:** Icons for save, print, and other functions.
- Location Indicator Bar:** EP(1001E2K) - Draft - Sample 1001.
- Navigation Bar:** Request, Names, States, Priority, Biological Material, Documents, Fee Payment, Annotations.
- Details Area:** Contains sub-tabs (Request, Divisional, Reference) and various input fields for patent details, including Filing Office, Request for examination in admissible non-official EPO language, The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70(2)), Procedural Language, Filing Language of attached or previous application, Title of Invention, Translation into French, and Translation into German.
- Status Bar:** Logged in as Administrator, and a status indicator with icons and numbers.

Figure 132: Form EP(1001E2K) - Overview

Form element	Comments
Menu Bar	Provides all options to edit, save, import and export applications, set the display and change the status, as well as other tools.
Toolbar	Provides shortcuts to the most frequently used tasks and tools.
Location Indicator Bar	Shows the selected procedure, the current status and the user reference for an application.
Navigation Bar	Displays tabs corresponding to the sections of the form. These tabs can contain sub-tabs, which are a sub-division of the main tab sections within the form.
Details Area	Displays data entry fields appropriate to the selected tab.
Status Bar	Displays information about the current activity. Shows the total number of validation messages for the open application on the right.

6.1 EP(1001E2K) Request

Form EP(1001E2K)'s **Request** tab has three sub-tabs, **Request**, **Divisional** and **Reference**, requiring the following information:

Request

1. Filing office
2. Language of the request for examination
3. Waiver, Rule 70(2)
4. Procedural language
5. Language of the technical documents
6. Title of the invention in English, French and German

Divisional

1. Mandatory divisional application (Rule 36(1)(b) EPC) or voluntary divisional application (Rule 36(1)(a) EPC)
2. Application number and date of filing of earlier application
3. Application number and date of filing of relevant earliest application, if this is different from the earlier application
4. Date of first communication

Reference

1. Declaration that the application is an Article 61(1)(b) application
2. Reference to a previously filed application
3. Data relating to the previously filed application
4. Various options as to how the referenced application is to be used in the procedure

6.1.1 Request details

Filing office

- In the **Request** sub-tab select an option from the **Filing office** list.

This information is mandatory.

① In addition to the EPO, this list includes all national patent offices that allow online filing with the EP(1001E2K) procedure.

- If required, select the check box **Request for examination in an admissible non-EPO language** and choose the relevant language.

The sentence "Examination of the application under Art. 94 is hereby requested" appears in the line below in the language you selected.

- If you wish, select the check box **The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70 (2))**.

① This waiver does not apply until after payment of the examination fee. If you choose this option, do NOT select **Automatic debit order** in the **Fee Payment** tab but opt for a different **mode of payment** ("Payment details" p. 158). This makes sure that the examination fee can be paid. The appropriate validation message (level 3) is displayed in the **Fee Payment** tab.

Figure 133: Request for examination in Italian

Procedural language and language of the technical documents

The default setting for the procedural language is the language selected in the settings; see **Creating a new application** (p. 25). However, you can change this language in the form to one of the three official languages: English, French or German.

- If required, change the language by selecting an entry from the **Procedural language** list under the **Request** sub-tab.
- Select the required language for the technical documents under **Language in which attached or previous application filed**.

The default setting is the procedural language you selected.

The drop-down lists for **Admissible language of an EPC contracting state** and **Other language** become active when you select the corresponding option.

Figure 134: Example in which the procedural language is English and the technical documents are in an admissible language of an EPC contracting state (in this case Italian)

- ❗ The EPO grants a reduction of 20% on the examination fee for applications submitted in an EPC language.
- ❗ The option **Admissible language of an EPC contracting state** is only allowed if the applicant is either a national of or has his or her place of residence in one of the EPC contracting states. Otherwise, a yellow validation icon appears in the **Request** tab.

Title of invention

The title must be a clear and concise technical designation of the invention in the procedural language you selected. It is advisable to supply translations in the other two official languages so that the invention title can be published in all three languages (Article 14 EPC). If you do not enter any translations, these will be supplied by the EPO.

- ➔ In the **Request** sub-tab enter the **Title of invention** in English.
- ❗ Please use appropriate upper and lower case letters for the title, i.e. do not enter the text in capital letters.
- ➔ Enter the **Translation into French** and the **Translation into German**.

! **Note:** The sequence in which the fields for the title of the invention and the translations appear will change if you change the procedural language. You should therefore make sure that each language version is in the correct field.

Figure 135: Title of the invention in German, English and French

Once you have entered all the mandatory information the red validation symbol will no longer appear in the **Request** button in the navigation bar.

6.1.2 Divisional application

Divisional applications can only be filed with the EPO. If you selected a different filing office in the **Request** tab, you will not be able to enter any data in the **Divisional** tab.

! **Note:** European divisional applications must be filed within 24 months of the date of notification of the first communication (Rules 36(1)(a) and (b) and 126(2) EPC).

- Select the **Divisional application** check box.
This activates the tab's other fields for editing.

Mandatory Divisional Application

The option **Mandatory divisional application (Rule 36(1)(b) EPC)** is checked by default

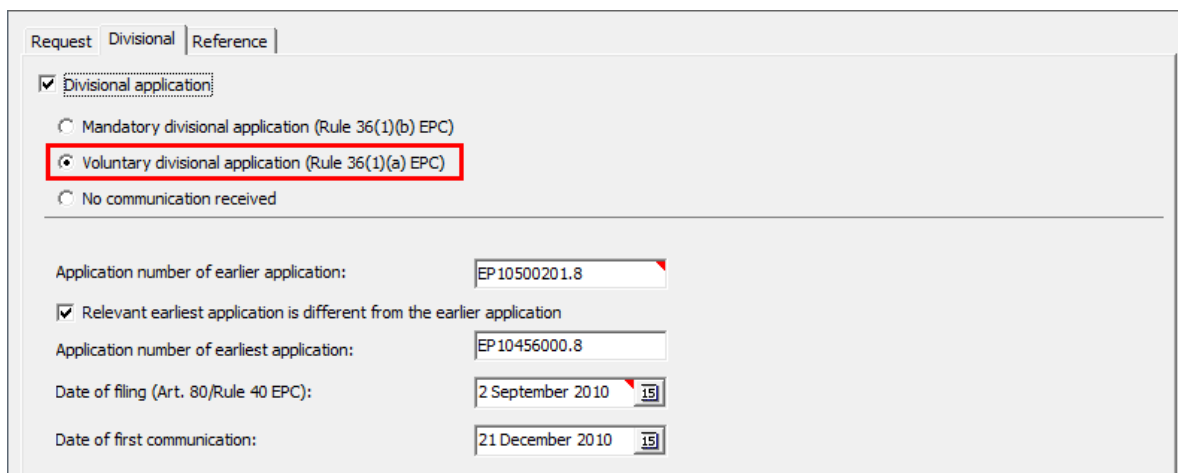
- Enter the **Application number of earlier application**.
- Enter the **Date of filing (Art. 80/Rule 40 EPC)**.
- Enter the **Date of first communication where objections under Art. 82 were raised**.

Figure 136: Data concerning a mandatory divisional application (Rule 36(1)(b) EPC)

Voluntary Divisional Application

- Select the option **Voluntary divisional application (Rule 36 (1) (a))**.
- Enter the **Application number of earlier application**.
- If applicable, select the check box **Relevant earliest application is different from the earlier application**.
- Enter the **Application number of earliest application**.
① This number must be different from the **Application number of earlier application**.
- Enter the **Date of filing (Art. 80/Rule 40 EPC)** (for the earlier application).

→ Enter the ***Date of first communication***.



Request | Divisional | Reference

☒ **Divisional application:**

☐ Mandatory divisional application (Rule 36(1)(b) EPC)

☒ **Voluntary divisional application (Rule 36(1)(a) EPC)**

☐ No communication received

Application number of earlier application:

☒ Relevant earliest application is different from the earlier application

Application number of earliest application:

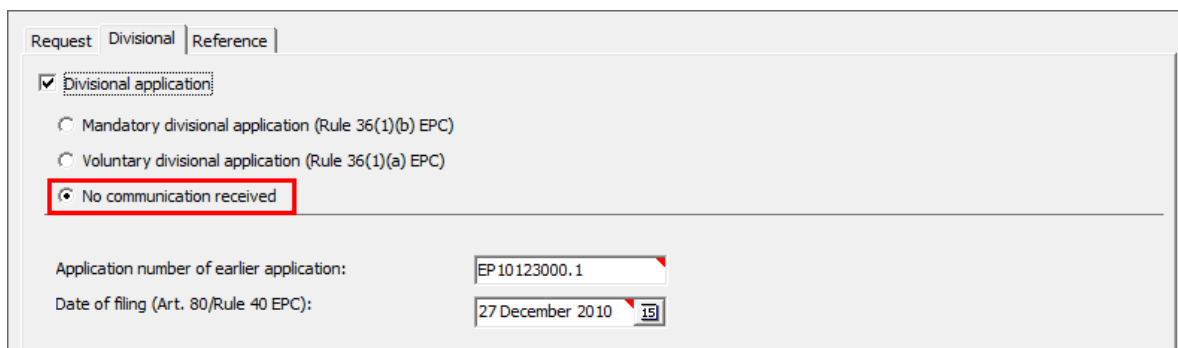
Date of filing (Art. 80/Rule 40 EPC): 

Date of first communication: 

Figure 137: Data concerning a voluntary divisional application (Rule 36(1)(a) EPC)

No communication received

- If you want to file a divisional application but have not yet received any communication from the EPO's Examining Division in relation to the earlier application, select the option ***No communication received***.
- Enter the ***Application number of earlier application***.
- Enter the ***Date of filing (Art. 80/Rule 40 EPC)***.



Request | Divisional | Reference

☒ **Divisional application:**

☐ Mandatory divisional application (Rule 36(1)(b) EPC)

☐ Voluntary divisional application (Rule 36(1)(a) EPC)

☒ **No communication received**

Application number of earlier application:

Date of filing (Art. 80/Rule 40 EPC): 

Figure 138: Data concerning a divisional application with no communication received

Deleting data

- Clear the ***Divisional application*** check box.
All data entered is immediately removed from the form.

6.1.3 Reference

In the **Request** tab's **Reference** sub-tab, you can make a reference to a previously filed European or international application.

- Select the check box **Reference is made to a previously filed application**.

This activates the tab's other fields for editing.

Reference to an application previously filed with the EPO

- Select the EPO as the **Office where previous application was filed**.
- Select patent application as the **Kind of application**.
- Enter the **Filing date** of the previous application.
- Enter the EP application number of the previous application into the **Application number** field in the format **YYnnnnn.d**, i.e. including the check digit.

The screenshot shows the 'Reference' sub-tab of the 'Request' form. The 'Art. 61(1)(b) application of earlier application:' checkbox is unchecked. The 'Reference is made to previously filed application Rule 40(2):' checkbox is checked and highlighted with a red box. Below this, the 'Office where previous application was filed:' dropdown is set to 'EP' (European Patent Office). The 'Kind of application:' dropdown is set to 'patent application'. The 'Filing date:' is set to '16 March 2010'. The 'Application number:' is set to '10500201.8'. A format hint 'Format: YYnnnnn.d, spaces, hyphens or commas allowed between data items' is visible next to the application number field.

Figure 139: Reference to a previously filed EP application

Reference to a previous PCT application

- Select the **Office where previous application was filed**.
- Select **PCT application** as the **Kind of application**.
- Enter the **Filing date**.
- Enter the **Application number** of the previous PCT application in the format **PCT/CCYYYY/nnnnnn** or **PCT/CCYY/nnnnn**.

① The 2-digit country code (**CC**) is automatically pre-set in the **Application number** field when you select the international office from the drop-down list.

The screenshot shows the 'Reference' sub-tab of the 'Request' form. The 'Art. 61(1)(b) application of earlier application:' checkbox is unchecked. The 'Reference is made to previously filed application Rule 40(2):' checkbox is checked. Below this, the 'Office where previous application was filed:' dropdown is set to 'US' (United States of America). The 'Kind of application:' dropdown is set to 'PCT application'. The 'Filing date:' is set to '20 April 2010'. The 'Application number:' is set to 'PCT/US2010/123456'. A format hint 'Format: PCT/CCYY/nnnnn or PCT/CCYYYY/nnnnnn' is visible next to the application number field.

Figure 140: Reference to a previous PCT/US application

Reference to a previous international or national application

- Select the **Office where previous application was filed**.
- Select the **Kind of application** (the available options depend on the office where the application was filed).
- Enter the **Filing date**.
- Enter the **Application number** of the previous application.
 - ① Hints for the correct format of this application number are shown to the right of this field.

Figure 141: Reference to a previous international or national application

Additional options depending on other application-specific data

Figure 142: Additional options in the "Reference" sub-tab

Reference replaces claims

- Select the check box **It is hereby declared that the reference to the previously filed application also replaces the claims (Rule 57(c))**, if applicable.
- Enter the appropriate number beside **Number of claims in previous application**.

If you do not enter a reference to the claims in the **Request** tab, you will be notified of this oversight by an error message in the **Documents** tab (red validation icon). You can attach a file with claims here or indicate that you intend to file the claims later; or you reference the claims.

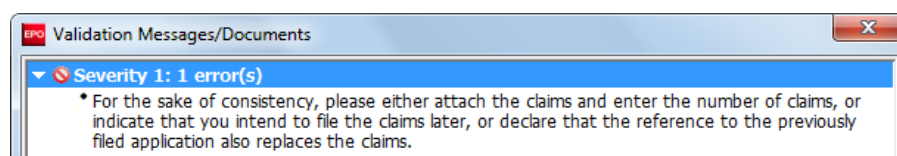


Figure 143: Error message: Claims required

Previous application is the priority document

→ Select the check box ***Previously filed application is also a priority application***, if applicable.

The warning (yellow validation icon) in both the **Request** and **Documents** tabs indicates that a copy of the search results required under Rule 141(1) EPC must be provided if not already available to the EPO.

The related document can be attached in the **Documents** tab; see **Additional documents** (p. 154).

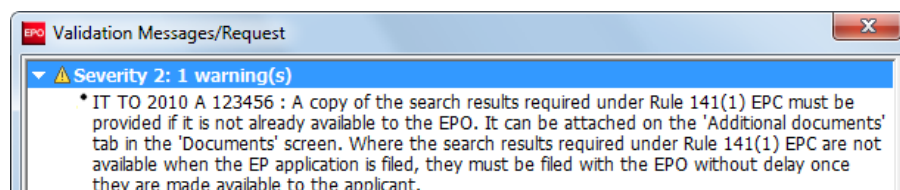


Figure 144: A copy of the search results must be provided

The copy of the search results does not need to be supplied if it can be assumed that it is available to the EPO. This is the case if the previous application was filed with the **EP**, **US**, **JP** or **GB** office. An appropriate message (grey validation icon) appears.

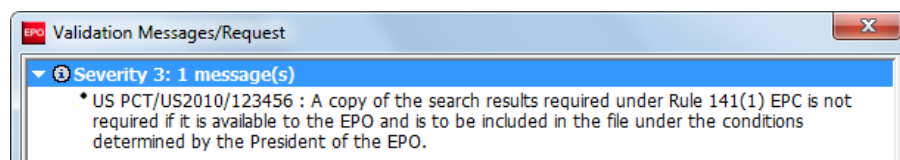


Figure 145: Earlier applications filed with the US, GB, JP or EP office are not required to file search results

Certified copy

The option ***A certified copy will be filed later*** is available if the selected filing office is not the EPO. In this case, a warning (yellow validation icon) appears, indicating that a certified copy of the previously filed application must be supplied within two months.

The warning disappears as soon as you select the check box ***A certified copy will be filed later***.

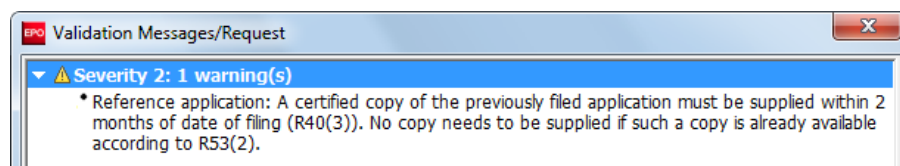


Figure 146: A certified copy of the previously filed application must be supplied

Sequence listing

You can specify that a sequence listing from the previously filed application should be used in the EP procedure.

- Select the check box ***The description contains a sequence listing in accordance with Rule 30(1) EPC.***

In this case, you can only attach a sequence listing that complies with WIPO Standard ST.25 in the **Documents** tab; PDF formats are not allowed; see **Sequence listings** (p. 151).

Re-establishing rights

The option ***Re-establishment of rights*** is active if the date of the earlier application is more than 12 months but less than 14 months prior to the date of the present filing and you have selected the option ***Previously filed application is also a priority application***. An appropriate warning (yellow validation icon) indicates that you must request the re-establishment of rights.

- Select the check box ***Re-establishment of rights***.

You can attach the reasons for re-establishment in the **Documents** tab (see **Additional documents** (p. 154)) or enter the text in the **Annotations** tab.

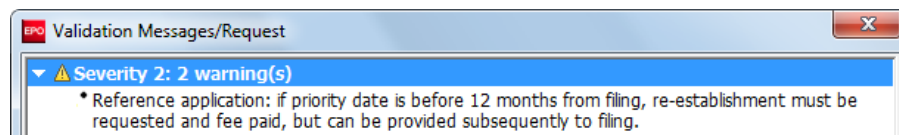


Figure 147: Re-establishment of rights must be requested and the fee paid

Art. 61(1)(b) application of earlier application

The option ***Art. 61(1)(b) application of earlier application*** is only active if the EPO is selected as the filing office in the **Request** tab and the ***Divisional application*** option is not selected in the **Divisional** tab.

6.2 EP(1001E2K) Names

The **Names** tab of EP(1001E2K) is where you enter details of applicants, representatives and inventors. At least one applicant is required. Details of the inventor(s) may be filed later.

Adding names

- In the **Names** tab, click the **Add** button.
- Select a role from the list.

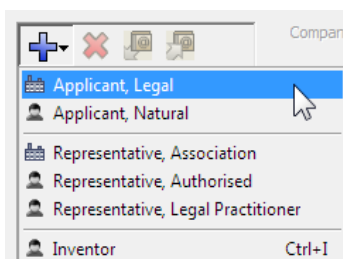


Figure 148: Options for adding names

- Complete the details in the entry fields on the right or copy a name from the Address Book.

Exchanging names with the Address Book

Online Filing provides an Address Book to help you organise your names and addresses. You can copy information from the current form to the Address Book or call up existing data from your Address Book.

(1) Storing data entered in the form in the Address Book

- Select a name (e.g. one of the applicants) and click the **Copy to Address Book** button.



If the data is successfully copied this is indicated in the status bar of the form.

(2) Copying data from the Address Book to the form

- Open the Address Book by clicking the **Copy from Address Book** button.



- Select the required name.

- Copy the data to the form by clicking the **Copy records to form** button.



The Address Book closes.

Removing names from the application

- Select the name to be removed on the left-hand side of the form.
- Click the **Delete** button.



6.2.1 Applicants

A minimum of one applicant is required for filing, although you can designate multiple natural and legal persons as applicants.

- In the **Names** tab, click the **Add** button.
- Select either **Applicant**, **Legal** or **Applicant, Natural** from the drop-down list.
- Enter the name and address for the applicant or transfer the data using the **Copy from Address Book** button.



- Add more applicants if required by repeating the above procedure.

EPO Online Filing - EP(1001E2K) - Sample 1001

File Edit View Tools Windows Help

EP(1001E2K) - Draft - Sample 1001 Last saved on 21.10.2011

Request **Names** States Priority Biological Material Documents Fee Payment Annotations

Applicants

Nano Enterprise Ltd.

Representatives

Inventors

Company: Nano Enterprise Ltd.

Department: Nanotechnology

Country: GB United Kingdom Telephone: +44 20 7123 4567

Address: 123 City Street Telefax: +44 20 7123 4568

E-mail: info@nano-enterprise.co.uk

Postal code: W1A 2BC

City: London

GB County: Greater London Residence: GB United Kingdom

☐ Address for correspondence

☐ Nano Enterprise Ltd. is represented by the following employee acting pursuant to Art. 133(3) EPC:

Last Name: General Authorisation:

First Name:

Title:

Logged in as Administrator

2 3 2

Figure 149: Details of legal applicant

Address for correspondence

You can specify a separate address for correspondence with the first-named applicant. You cannot enter an address for correspondence if you already added a representative and vice versa.

① The address for correspondence must be in an EPC contracting state.

→ Select the first-named applicant.

The **Address for correspondence** check box is unlocked after the mandatory fields for the first-named applicant have been completed, i.e. First Name, Last Name (or Company), City and Country.

→ Check the **Address for correspondence** option.

Address for correspondence then appears in the list on the left.

→ Click the **Add** button and select **Address** from the drop-down list.

① Note that the **Representatives** options have disappeared from the list.

Figure 150: Adding address for correspondence with the first-named applicant

The first applicant's name appears under **Address for Correspondence** on the left and the data entry fields become available on the right.

→ Edit the address information as required.

- For legal applicants, the **Company** field cannot be edited, whereas for natural applicants **Last Name** and **First Name** are locked.
- If you make changes to the first-named applicant's name after you have added the address for correspondence, the name in the address for correspondence will be updated accordingly.
- If you delete the first-named applicant, the address for correspondence will also be removed from the form.

Figure 151: Separate address for correspondence with the first-named applicant

① You can use both the **Copy from Address Book** button and the **Copy to Address Book** button to exchange the address for correspondence data with the Online Filing address book.

Applicant is represented by an employee

If the applicant is a legal person, i.e. a company, this person can be represented by an employee. Like the address for correspondence, an employee can only be selected as a representative if no other representative (legal or natural person) has been added to the form.

- Tick the check box **[Company] is represented by the following employee acting pursuant to Art. 133(3) EPC**.
- Enter **Last Name**, **First Name** and **Title**.
- Enter the **General Authorisation** number.

The screenshot shows a web form for filing an application. On the left is a sidebar with a tree view containing 'Applicants' (Nano Enterprise Ltd.), 'Inventors' (Preston, Anthony), and 'Address for Correspondence' (Nano Enterprise Ltd.). The main form area contains the following fields:

- Company: Nano Enterprise Ltd.
- Department: Nanotechnology
- Country: GB (dropdown), United Kingdom (dropdown)
- Telephone: +44 20 7123 4567
- Address: 123 City Street
- Telefax: +44 20 7123 4568
- E-mail: info@nano-enterprise.co.uk
- Postal code: W1A 2BC
- City: London
- GB County: Greater London (dropdown)
- Residence: GB (dropdown), United Kingdom (dropdown)
- ☒ Address for correspondence
- ☒ Nano Enterprise Ltd. is represented by the following employee acting pursuant to Art. 133(3) EPC: (highlighted with a red box)
- Last Name: Williams
- First Name: George
- Title: Mr. (dropdown)
- General Authorisation: GB11/nano308

Figure 152: Authorised employee representing the applicant

❶ The name of this employee will be automatically filled into the **Sign Application** dialogue and cannot be modified. Only an employee who is authorised by the applicant under Article 133 EPC is entitled to sign an application.

6.2.2 Representatives

The **Representative** option is only active if you did not select the option **Address for correspondence** with the first-named applicant. You can add more than one representative.

- Click the **Add** button.
 - Select an option from the list: **Representative, Association, Representative, Authorised or Representative, Legal Practitioner**.
 - Complete the fields in the **Name and Address** tab or copy an entry from the Address Book.
- ① The country must be an EPC contracting state.

Figure 153: Details of representative

Details relating to the representative's authorisation

The **Authorisation** tab is used to provide details relating to each representative.

- Select the **General Authorisation** check box.
 - Select the relevant option.
- ① Related documents can be attached in the **Documents** tab; see **Additional documents** (p. 154).

Figure 154: Details relating to the general authorisation of the representative

6.2.3 Inventors

The yellow validation icon indicates that details of the inventor are required, but may be filed later. You can name any number of inventors.

Applicant is also inventor

One of the applicants is a natural person and also an inventor.

- Select the name of the applicant on the left.
- Select the check box **Applicant is also inventor** at the bottom of the form.

The screenshot shows the 'EPO Online Filing - EP(1001E2K) - 1001-Reference' window. The 'Names' tab is active, showing a list of applicants on the left and a form for 'Burton, Peter (also inv...)'. The form includes fields for Last Name, First Name, Title, Company, Department, Country, Address, Telephone, Telefax, E-mail, Postal code, City, GB County, Nationality, and Residence. At the bottom of the form, the checkbox 'Applicant is also inventor' is checked and highlighted with a red box. The status bar at the bottom indicates 'Logged in as Administrator' and shows a yellow warning icon.

Figure 155: The applicant is also the inventor

Designating one or multiple inventors

If none of the applicants is a natural person and also inventor, the inventor must be named separately.

- Click the **Add** button.
- Select **Inventor** from the list.
- OR-
- Press **CTRL+I**.
- Complete the fields in the **Name and Address** tab or copy an entry from the Address Book.

→ Select the appropriate option to describe the legal relationship between first-named applicant and inventor.

Figure 156: Details of inventor

Inventor waivers Rule 19(3) and Rule 20(1) EPC

An inventor is entitled to waive both his right to be notified by the EPO under Rule 19(3) EPC and his right to be mentioned as an inventor under Rule 20(1) EPC.

- Select the inventor concerned.
- Select the required options.

The corresponding validation messages (yellow icon) explain that each waiver must be signed by the inventor and filed as an additional document.

Figure 157: Options for inventor waivers with corresponding validation messages

Online Filing automatically generates a PDF document which is pre-filled with the inventor's and applicant's data.

- Open the PDF Viewer; see **Viewing attached documents** (p. 156).
 - Print the waiver using the **Print** button in the PDF Viewer.
 - Have the waiver signed by the inventor.
 - Create a new PDF document from the signed waiver.
 - Attach the waiver to the application under **Additional documents** (p. 154) in Form EP(1001E2K).
- OR-
- Submit it as a subsequently filed document with Form **EP(1038E)** (p. 201).

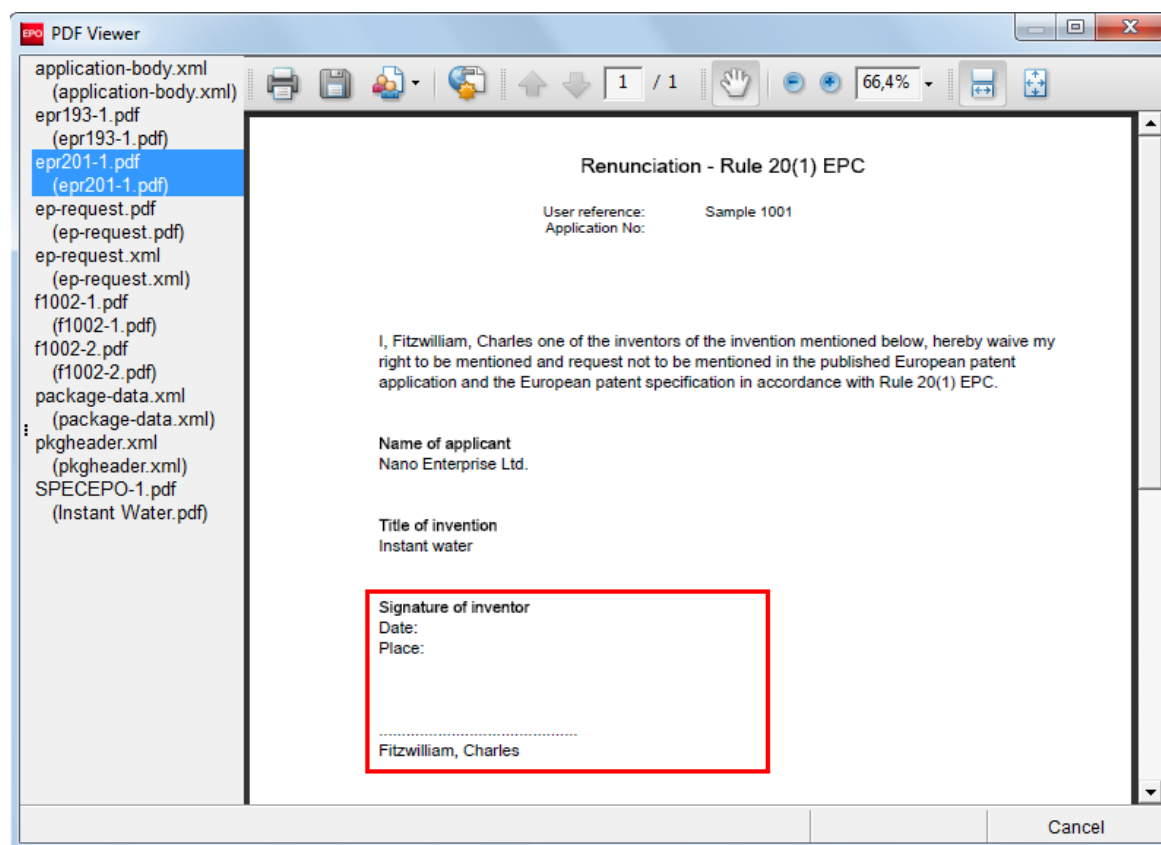


Figure 158: Inventor waiver (Rule 20(1) EPC) generated by Online Filing

6.3 EP(1001E2K) States

In the **States** tab you can designate the countries in which you require patent protection.

- ♦ You can specify all contracting states to the EPC in the **Designation** tab.
- ♦ You can specify the extension states you want in the **Extension** tab.

The options for designated states and extension states depend on when you last updated your software.

! Note: Please make use of the **Live Update** (p. 356) service to update the Online Filing software as well as the maintenance and fees data.

If your application is a divisional application or refers to an earlier application the states available for selection also depend on the filing date of the earlier application. The states available are those states which were contracting states or extension states at the time of filing of the earlier application.

The latest version of the EPC can be found on the EPO website at **Law & practice > Legal texts > European Patent Convention** (<http://www.epo.org/law-practice/legal-texts/epc.html>).

6.3.1 Designating contracting states

In the **Designation** tab a list of the contracting states can be found under the heading **All states which are contracting states to the EPC at the time of filing of this application are hereby designated**. All states are automatically selected and cannot be edited.

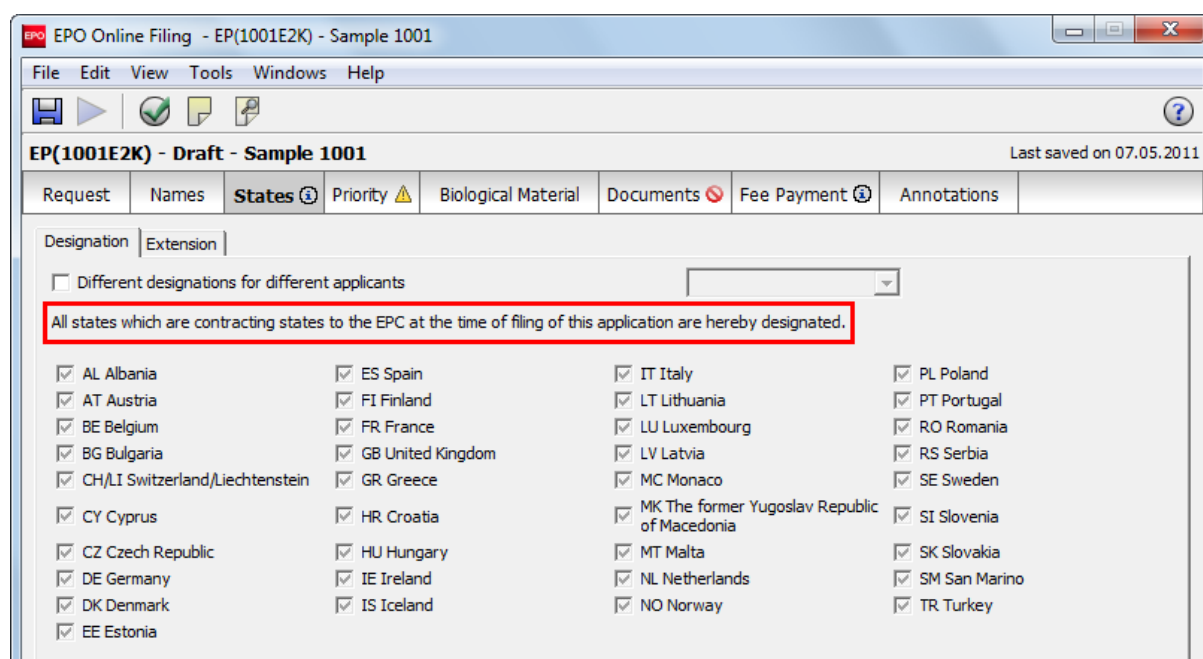


Figure 159: All contracting states to the EPC designated

If you checked the option **Divisional application** in the **Divisional** sub-tab you will see a message to the effect that the list of states corresponds to the states valid for the earlier application at the time of filing the divisional application.

The screenshot shows the 'Designation' tab with the 'Extension' sub-tab selected. A message box states: 'All states valid for the earlier application at the time of filing this divisional application are hereby designated.' Below this, a list of states is shown with checkboxes, all of which are checked. The states include: AT Austria, BE Belgium, BG Bulgaria, CH/LI Switzerland/Liechtenstein, CY Cyprus, CZ Czech Republic, DE Germany, DK Denmark, EE Estonia, ES Spain, FI Finland, FR France, GB United Kingdom, GR Greece, HR Croatia, HU Hungary, IE Ireland, IS Iceland, IT Italy, LT Lithuania, LU Luxembourg, LV Latvia, MC Monaco, MK The former Yugoslav Republic of Macedonia, MT Malta, NL Netherlands, NO Norway, PL Poland, PT Portugal, RO Romania, SE Sweden, SI Slovenia, SK Slovakia, and TR Turkey.

Figure 160: Reference to contracting states valid at the time of filing of the earlier application

Different designations for different applicants

If more than one applicant is entered in the **Names** tab, you can define the designated states for each one. You can designate all states for each applicant, or exclude certain states for one or more applicants.

- In the **Designation** sub-tab select the option **Different designations for different applicants**.
- Select an applicant from the list.
All states are automatically selected.
- Uncheck those states which you wish to exclude for the selected applicant.
In this example AT, CH/LI, DE and IT have been deselected.

The screenshot shows the 'Designation' tab with the 'Extension' sub-tab selected. The option 'Different designations for different applicants' is checked. A dropdown menu shows 'Nano Enterprise Ltd.' selected. A message box states: 'All states which are contracting states to the EPC at the time of filing of this application are hereby designated.' Below this, a list of states is shown with checkboxes. The states include: AL Albania, AT Austria, BE Belgium, BG Bulgaria, CH/LI Switzerland/Liechtenstein, CY Cyprus, CZ Czech Republic, DE Germany, EE Estonia, ES Spain, FI Finland, FR France, GB United Kingdom, GR Greece, HR Croatia, HU Hungary, IE Ireland, IS Iceland, IT Italy, LT Lithuania, LU Luxembourg, LV Latvia, MC Monaco, MK The former Yugoslav Republic of Macedonia, MT Malta, NL Netherlands, NO Norway, PL Poland, PT Portugal, RO Romania, RS Serbia, SE Sweden, SI Slovenia, SK Slovakia, SM San Marino, and TR Turkey. The checkboxes for AT, CH/LI, DE, and IT are unchecked, while all others are checked.

Figure 161: Designating different states for different applicants

→ Select another applicant from the list.

All states are once again automatically selected.

→ Uncheck the boxes for the states you wish to exclude for the selected applicant.

In this example all the check boxes have been deselected except for AT, CH/LI, DE, IT, MC and MT. MC and MT are therefore designated for both applicants.

Designation | Extension

☒ Different designations for different applicants

Preston, Anthony (also in ...)

All states which are contracting states to the EPC at the time of filing of this application are hereby designated.

☐ AL Albania	☐ ES Spain	☒ IT Italy	☐ PL Poland
☒ AT Austria	☐ FI Finland	☐ LT Lithuania	☐ PT Portugal
☐ BE Belgium	☐ FR France	☐ LU Luxembourg	☐ RO Romania
☐ BG Bulgaria	☐ GB United Kingdom	☐ LV Latvia	☐ RS Serbia
☐ CH/LI Switzerland/Liechtenstein	☐ GR Greece	☒ MC Monaco	☐ SE Sweden
☐ CY Cyprus	☐ HR Croatia	☐ MK The former Yugoslav Republic of Macedonia	☐ SI Slovenia
☐ CZ Czech Republic	☐ HU Hungary	☒ MT Malta	☐ SK Slovakia
☒ DE Germany	☐ IE Ireland	☐ NL Netherlands	☐ SM San Marino
☐ DK Denmark	☐ IS Iceland	☐ NO Norway	☐ TR Turkey
☐ EE Estonia			

AL, AT, BE, BG, CH/LI, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HR, HU, IE, IS, IT, LT, LU, LV, MC, MK, MT, NL, NO, PL, PT, RO, RS, SE, SI, SK, SM, TR

Figure 162: Designating individual states for further applicant

The list in the lower part of the form indicates all states that were selected for at least one of the users.

Payment of the designation fee means that all contracting states are designated for an application, regardless of the individual states designated on the form. If you expressly do not wish to designate one or more specific states for the entire application, you must submit your request in writing to the EPO. You can attach this document to the application in electronic format; see **EP(1038E) Documents** (p. 205).

6.3.2 Extension states

In the **Extension** tab, select the states with extension agreements to which the patent application filed should also be extended. Appropriate fees are payable for this extension.

- Click the **Extension** sub-tab.
- Select the required option and, where appropriate, the individual states required.
- ① Make sure you also select the extension fees for these states in the **Fee Payment** tab.

Figure 163: Selecting extension states

6.4 EP(1001E2K) Priority

In the **Priority** tab of EP(1001E2K) you can give details of the priorities you wish to claim. You can declare more than one priority.

- ① Translations of priority documents can be attached in the **Documents** tab.
- In the **Priority** tab click the **Add** button and select **National**, **Regional** or **International**.
- Select the office, the type of application and the filing date.
- Enter the **Application Number**.

For international and regional priorities the **Application Number** field offers a pre-set format for the application number, e.g.:

- **PCT/US____/____** when you select **US** as the international office. After the letters US enter the four digits for the year, followed after the second forward slash by the six digits of the application number.
- **0.0** when you select **EP** as the regional office. EP application numbers consist of 8 digits, a full stop and a check digit.

For national priorities the format (where known) is shown to the right of the **Application Number** field, e.g.:

- **LL YYYY A nnnnnn** when selecting **IT** as the national office. **LL** stands for the province (e.g. **TO** for Torino/Turin), **YYYY** for the year, **A** for application (**U** if **utility model** is selected in the **Kind** field), and **nnnnnn** for the number.

① When entering national priority numbers you need not be concerned about the correct splitting format within data strings, i.e. you can use hyphens or commas instead of spaces as the format of the punctuation is not critical.

- Select the option **Re-establishment of rights is hereby requested** if the date of filing of the priority application is between 12 and 14 months prior to the current date.

① Applications should normally be filed within 12 months of the date of filing of the claimed priority. A yellow validation icon appears if you do not select the option for re-establishment of rights.

- To initiate accelerated processing under the PACE programme, select the option ***It is not intended to file a (further) declaration of priority.***

The screenshot shows the EPO Online Filing window for 'EP(1001E2K) - Draft - Sample 1001'. The 'Priority' tab is active, displaying the following fields:

- Regional office: EP (European Patent Office)
- Kind: patent application
- Filing date: 16 March 2010
- Application Number: 10456000.8

Below these fields, there are two checkboxes:

- ☒ Re-establishment of rights is herewith requested
- ☐ This application is a complete translation of the previous application

A message states: 'A copy of the search results under Rule 141(1) EPC is available for this priority claim.' Below this is a 'Choose file...' button and the text 'No file selected'.

At the bottom, another checkbox is highlighted with a red box:

- ☒ It is not intended to file a (further) declaration of priority:

The status bar at the bottom indicates 'Logged in as Administrator' and shows a notification area with 2 errors, 1 warning, and 3 information messages.

Figure 164: Priority of a regional application with request for re-establishment of rights

! **Note:** To complete the priority claim, a certified copy of the previous application containing the original of the certificate as issued by the receiving authority must be submitted within sixteen months of the earliest priority date claimed (Rule 53(1) EPC). See also the Decision of the President of the European Patent Office dated 17 March 2009 on the filing of priority documents, published in OJ EPO 4/2009, 236-237.

Filing search results for priority claims

A copy of the search results required under Rule 141(1) EPC for a priority claim does not have to be provided if the results are already available to the EPO; see also **Reference** (p. 120).

- ◆ If the selected office is not exempt from the obligation to file the search results, a yellow validation symbol appears in the **Priority** tab.
- ◆ If the selected office is EP, GB, US or JP, being exempted from the obligation, a grey validation symbol appears.
- ➔ Click the **Choose file** button to attach the file with the search results.
The file is renamed **PRSR-1.pdf**.
The caption on the button changes to **Detach file**.
- ➔ If necessary, click the **Detach file** button to remove this file and attach a different document for this priority declaration.

The screenshot shows the EPO Online Filing interface for application EP(1001E2K) - Draft - Sample 1001. The interface includes a sidebar with application details, a main form with fields for National office, Kind, Filing date, and Application Number. A 'Choose file...' button is highlighted, and a validation message at the bottom states that search results under Rule 141(1) EPC are available for this priority claim.

EP(1001E2K) - Draft - Sample 1001 Last saved on 07.05.2011

Request Names States **Priority** Biological Material Documents Fee Payment Annotations

National office: IT Italy

Kind: patent application

Filing date: 19 January 2011

Application Number: TO 2011 A 700342 LL YYYY A nnnnnn, spaces, hyphens or commas allowed between data items

☐ Re-establishment of rights is herewith requested

☐ This application is a complete translation of the previous application

A copy of the search results under Rule 141(1) EPC is available for this priority claim.

Choose file... No file selected

☒ It is not intended to file a (further) declaration of priority

Logged in as Administrator

Validation Messages/Priority

- Severity 2: 1 warning(s)
 - IT-TO 2011 A 700342: A copy of the search results required under Rule 141(1) EPC must be provided if it is not already available to the EPO. Where the search results required under Rule 141(1) EPC are not available when the EP application is filed, they must be filed with the EPO without delay once they are made available to the applicant.
- Severity 3: 1 message(s)
 - EP-10456000.8: A copy of the search results required under Rule 141(1) EPC is not required if it is available to the EPO and is to be included in the file under the conditions determined by the President of the EPO.

Figure 165: Declaration of national priority, reference to the search results required under Rule 141(1) EPC

6.5 EP(1001E2K) Biological Material

In the **Biological Material** tab of EP(1001E2K) you can give details pertaining to the biological material used in/related to by the invention.

① Sequence protocols are attached in the **Documents** tab.

Details of the deposit of biological material

- ➔ Click the **Add** button and select **Biology**.
- ➔ In the **Deposit details** sub-tab enter the **identification reference**.
- ➔ Select the **Depository institution** from the list (sorted alphabetically).
The data in the **name and address** field is automatically added.
- ➔ The corresponding reference is entered in the **accession number** field and all you have to do is add your individual number.
- ➔ Under the **Further details** sub-tab you can attach a copy of the receipt issued by the depository institution and other electronic documents.

EPO Online Filing - EP(1001E2K) - 1001-1

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001-1 Last saved on 01.06.2012

Request	Names	States	Priority	Biological Material	Documents	Fee Payment	Annotations
BI-123456							

The invention relates to and/or uses biological material which has been deposited under Rule 31

Deposit details | Further details

Identification Reference: BI-123456

Depository institution: European Collection of Cell Cultures

Name and address: Health Protection Agency – Porton Down, Salisbury, Wiltshire SP4 0JG, United Kingdom

Accession number: ECACC-91234567

☒ The particulars referred to in Rule 31(1)(c) (if not yet known, the deposit institution and the identification reference(s)) [number, symbols, etc.] of the depositor are given in the technical documents in the application on

Page(s) 5 Line(s) 20-45

☐ Availability restricted to experts (Rule 32(1))

Logged in as Administrator

Figure 166: Details of deposited biological material

6.6 EP(1001E2K) Documents

In the **Documents** tab of form EP(1001E2K) you can add the mandatory parts of the application as well as other documents. Various options are available for your documents in the three sub-tabs **Specification**, **Sequence listings** and **Additional documents**.

In order to file your application, you must attach a description of the invention. The abstract, claims and any translations required can be filed later.

① The attached documents are copies of the originals. If the original changes and you wish to include the changes in the patent application, you will need to reattach the document.

File formats

The Online Filing software offers a number of ways of attaching your technical documents in electronic form:

1. Technical documents (description, claims, abstract and drawings) in one or more PDF files
2. Technical documents in XML format or as PatXML files
3. Pre-conversion archive for files in ZIP format

File names

On attachment, all documents are automatically renamed with standard system names, but for ease of recognition, the original file names are stored in Online Filing and appear later both on the form (next to the system names) as well as on the confirmation of receipt issued by the EPO.

Attaching documents

→ Click the **Add** button.



A list of the documents which may be attached is shown.

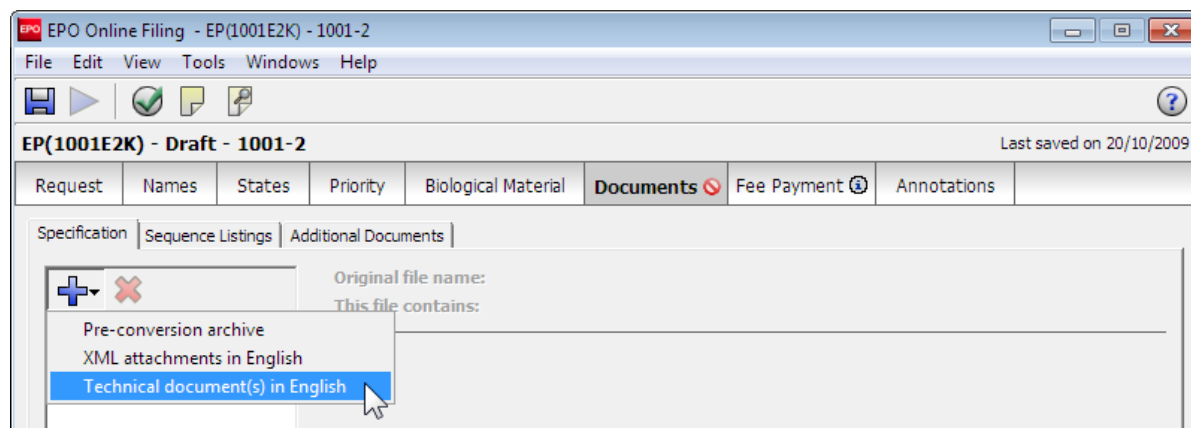


Figure 167: Document types for attached files

Language of the documents

The default language of the documents is **English**. Depending on the procedural language selected in the **Request** sub-tab and the language of the application, translations into the procedural language may additionally be requested.

In the example shown, **German** has been selected as the procedural language. The application itself is in Italian. The applicant must therefore file the original application documents in Italian along with translations into German.

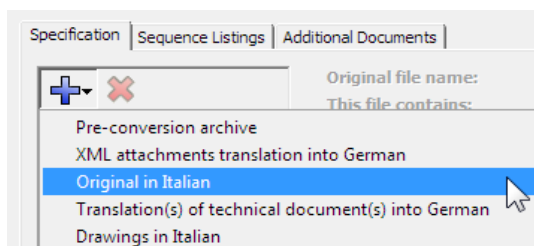


Figure 168: Attaching documents in another language

Translations may be filed later if required.

- Select the check box **A translation will be supplied later** on the left-hand side below the list of attached documents.

The list of documents which may be attached changes accordingly.

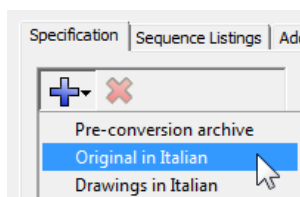


Figure 169: Attaching documents in another language - translations to be filed later

Removing documents

- Select the document you want to remove.
- Click the **Delete** button.



The copy of the file stored in the database is deleted. You can then add new documents again.

6.6.1 Attaching PDF files

You can attach one or more PDF files to your application as technical documents. For example, you can combine all components in a single file, create a separate file for each component or attach a number of components to multiple files. To do this, first attach a file in the **Specification** sub-tab, then specify the type of document and, where applicable, enter the page numbers for the individual components.

Example 1 - All technical document components are attached as individual PDF files

- Click the **Specification** sub-tab in the **Documents** tab.
- Click the **Add** button and select the option **Technical document(s) in English**.
- Navigate to the folder on your computer where you already saved the files.
 - ① Online Filing opens the working directory that was created under **Tools > User Preferences** in File Manager.
- Open the folder with a double-click.
- Select the required file.
- Click **Open**.

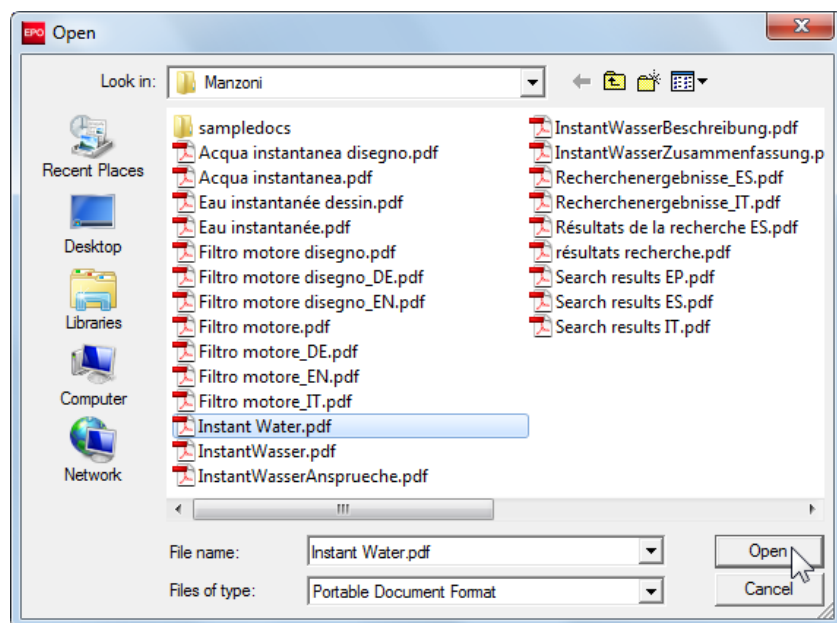


Figure 170: Navigating to where the documents you want to attach are saved

The file is attached and renamed to **SPECEPO-1 .pdf**.

➔ Select the check box for the component you attached (**Description**, for instance)

The page numbers are automatically entered in the **From page:** and **to:** fields.

EPO Online Filing - EP(1001E2K) - 1001-2

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001-2 Last saved on 20/10/2009

Request Names States Priority Biological Material Documents Fee Payment Annotations

Specification Sequence Listings Additional Documents

Technical document(s) in ...

SPECEPO-1.pdf

Original file name: instant water description.pdf Number of pages: 7

This file contains:

☒ Description

From page: 1 to 7

☐ Claims

Number of claims: From page: to

☐ Abstract

Figure to be Published with Abstract: (eg 1, 2a) From page: to

☐ Drawings

Number of Drawings: From page: to

☐ The claims will be filed later

☐ A translation will be supplied later.

Logged in as Administrator

Figure 171: Description added as a PDF file in the "Specification" sub-tab

→ Attach the next PDF file

The file is renamed **SPECEPO-2.pdf**.

→ Select the appropriate check box for the attached document.

① You can only attach **Description**, **Claims** or **Abstract** once; these check boxes are disabled when you go to attach the next file. However, you can add as many drawings as you wish.

→ Repeat the process until all components are attached.

The software automatically recognises and enters all page numbers.

→ Enter additional data for the individual documents:

- Claims: **Number of claims**
- If the abstract also contains a drawing: **Figure to be Published with Abstract**
- Drawings: **Number of Drawings**

EPO Online Filing - EP(1001E2K) - 1001-2

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001-2 Last saved on 20/10/2009

Request Names States Priority Biological Material Documents Fee Payment Annotations

Specification Sequence Listings Additional Documents

Technical document(s) in ...

- SPECEPO-1.pdf
- SPECEPO-2.pdf
- SPECEPO-3.pdf
- SPECEPO-4.pdf

Original file name: Instant water drawing.pdf Number of pages: 1

This file contains:

☐ Description

From page: to

☐ Claims

Number of claims: From page: to

☐ Abstract

Figure to be Published with Abstract: (eg 1, 2a) From page: to

☒ Drawings

Number of Drawings: 4 From page: 1 to 1

☐ The claims will be filed later

☐ A translation will be supplied later.

Logged in as Administrator 0 0 2

Figure 172: All four technical document components are added as PDF files

Example 2 - A PDF file with more than one component is attached

→ Click the **Add** button and select the option **Technical document(s) in English**.

→ Attach the required PDF file.

The file is renamed **SPECEPO-1.pdf**.

→ Select the check boxes for those components contained in the file (**Description** and **Abstract**, for instance).

→ Enter the page numbers in the appropriate fields.

All pages in the document must be accounted for and there must be no overlaps. The order of the individual components is not important, that is, the description does not have to appear as the first section on page 1 but can be the last section in the document. Every element in the attached document must start on a new page.

Claims may be filed later if required.

→ Tick the check box **The claims will be filed later** on the left-hand side below the list of attached documents.

The screenshot shows the EPO Online Filing application window titled "EPO Online Filing - EP(1001E2K) - 1001-3". The interface includes a menu bar (File, Edit, View, Tools, Windows, Help) and a toolbar. The main area is divided into tabs: Request, Names, States, Priority, Biological Material, **Documents**, Fee Payment, and Annotations. The "Documents" tab is active, showing a list of documents under "Additional Documents". A document named "SPECEPO-1.pdf" is listed. To the right of this document, there are fields for "Original file name:" (Card reader.pdf) and "Number of pages:" (10). Below these, a section titled "This file contains:" lists components with checkboxes: ☒ Description, ☐ Claims, ☒ Abstract, and ☐ Drawings. For the "Description" component, the "From page:" field is set to 1 and the "to" field is set to 7. For the "Abstract" component, the "From page:" field is set to 8 and the "to" field is set to 10. At the bottom of the document list, there is a checkbox labeled "The claims will be filed later:" which is checked and highlighted with a red rectangular box. Below it is an unchecked checkbox labeled "A translation will be supplied later:". The status bar at the bottom indicates "Logged in as Administrator" and shows a progress indicator with a red circle, a yellow triangle, and a blue circle, each followed by the number 0, and a final blue circle with the number 3.

Figure 173: Option to file claims later selected

6.6.2 Attaching XML and PatXML files

You can add XML files with the file extension **.XML** or **.PXML**. The file extension **.PXML** indicates that the file was generated using the PatXML software. XML files generated in accordance with EPO standards contain the prescribed components: description, claims, abstract and (embedded) drawings, so that no further files need to be attached. For more information about generating XML documents see **Preparing documents for attachment** (p. 84).

- In the **Documents** tab click the **Specification** sub-tab.
- Click the **Add** button and select the option **Technical documents in English (XML)**.
- Go to where your file is stored.
- Select the appropriate **file type**: PatXML files or XML files.
- Select the required file.
- Click **Open**.

The file is attached and renamed to **application-body.xml**.

The number of claims and drawings is identified by the software and automatically inserted.

- Enter the number of the **Figure to be published with abstract**.

The screenshot shows the EPO Online Filing application window. The title bar reads 'EPO Online Filing - EP(1001E2K) - 1001-1'. The menu bar includes 'File', 'Edit', 'View', 'Tools', 'Windows', and 'Help'. The toolbar contains icons for file operations. The main area is titled 'EP(1001E2K) - Draft - 1001-1' and 'Last saved on 20/10/2009'. The 'Documents' tab is selected, and the 'Specification' sub-tab is active. On the left, under 'XML attachments in English', there is a list with 'application-body.xml'. The main content area shows 'This file contains:' with the following fields: 'Figure to be Published with Abstract' (value: 2b), 'Number of claims' (value: 4), and 'Number of figures' (value: 3). At the bottom, there are two checkboxes: 'The claims will be filed later' and 'A translation will be supplied later.' The status bar at the bottom indicates 'Logged in as Administrator' and shows a progress bar with icons for errors, warnings, and information.

Figure 174: Attaching technical documents in XML format

6.6.3 Technical documents in other languages

The options available for adding technical documents depend on the language settings selected for the procedure in the **Request** tab.

Where the language of the technical documents differs from the selected procedural language, each document in another language must be translated into the procedural language. Various combinations of files are available.

Example 1: Original-language technical documents are attached as a PDF file and the translation is attached as an XML file

- In the **Documents** tab, click the **Specification** sub-tab.
- Click the **Add** button and select **Original in Italian**.
- Navigate to your PDF document and attach it.
The file is renamed **SPECNONEPO.pdf**.
- Enter the **Number of claims**.
- Enter the **Number of figures**.
If your document does not have any drawings, enter **0**.
- Specify an entry in the field **Figure to be published with abstract**.

EPO Online Filing - EP(1001E2K) - Sample 1001

File Edit View Tools Windows Help

EP(1001E2K) - Draft - Sample 1001 Last saved on 20/10/2009

Request Names States Priority Biological Material **Documents** Fee Payment Annotations

Specification Sequence Listings Additional Documents

Original in Italian

SPECNONEPO.pdf

Original file name: Filtro motore.pdf

This file contains:

The specification in original language (At least Description and if applicable Abstract, Claims and Drawings; Drawings can also be attached separately)

Number of claims: 4

Number of figures: 3

Figure to be Published with Abstract: 2b (eg 1, 2a)

☐ The claims will be filed later

☐ A translation will be supplied later.

Logged in as Administrator

0 4 2

Figure 175: Attaching the Italian original

→ Click the **Add** button again and select **Translations into German (XML)**.

→ Navigate to your XML document `filtro_translation.xml` and add it.

The file is renamed `application-body.xml`.

→ If necessary, enter a number for **Figure to be published with abstract**.

The **number of claims** and the **number of figures** are automatically transferred from the XML document. Should these figures not match your original values a red validation icon will appear in the **Documents** button. You should then correct the data for your original document (`SPECNONEPO.pdf`).

The screenshot shows the EPO Online Filing interface for application EP(1001E2K) - Draft - Sample 1001. The 'Documents' tab is active, showing a list of XML attachments on the left and a form for entering document details on the right.

XML attachments:

- XML attachments translated...**
 - application-body.xml
- Original in Italian**
 - SPECNONEPO.pdf

This file contains:

Figure to be Published with Abstract:

Number of claims:

Number of figures:

☐ The claims will be filed later

☐ A translation will be supplied later.

Logged in as Administrator

Figure 176: Attaching translation into German as XML

Example 2: Multiple PDF files are attached for originals and translations

You can attach up to two files for documents in the original language, i.e. either a PDF file containing the complete set of documents (including drawings) or one file with the documents and another with the drawings. If you would like to attach the drawings separately, we strongly recommend performing the following steps in the order shown:

→ Attach **Drawings in Italian**.

The file is renamed **DRAWNONEPO.pdf**.

→ Next, select **Original in Italian** and attach the file.

The file is renamed **SPECNONEPO.pdf**.

→ Enter all additional data.

① The **Number of figures** field is deactivated if you already attached a file with drawings.

EPO Online Filing - EP(1001E2K) - 1001-4

File Edit View Tools Windows Help

EP(1001E2K) - Draft - 1001-4 Last saved on 20/10/2009

Request Names States Priority Biological Material Documents Fee Payment Annotations

Specification Sequence Listings Additional Documents

Original file name: Filtro motore.pdf

This file contains:

The specification in original language (At least Description and if applicable Abstract, Claims and Drawings; Drawings can also be attached separately)

Number of claims: 15

Number of figures:

Figure to be Published with Abstract: 2b (eg 1, 2a)

☐ The claims will be filed later

☐ A translation will be supplied later.

Logged in as Administrator

Figure 177: Documents added in the original language

- To attach the two documents with the translations, select the option **Translation of technical document(s) into German** for each document.
The first file is renamed **SPECTRANEPO-1 .pdf**.
- Select the check box for **Drawings**.
The second file is renamed **SPECTRANEPO-2 .pdf**.
- Finally, select the check boxes for **Description**, **Claims** and **Abstract** and enter the page numbers for the components.

The screenshot shows the 'EPO Online Filing - EP(1001E2K) - 1001-4' window. The 'Documents' tab is active, displaying a list of documents on the left and their details on the right.

Document List:

- Original in Italian:**
 - SPECNONEPO.pdf
- Translation(s) of technical...:**
 - SPECTRANEPO-1.pdf
 - SPECTRANEPO-2.pdf
- Drawings in Italian:**
 - DRAWNONEPO.pdf

Document Details (Filtro motore_DE.pdf):

- Original file name:** Filtro motore_DE.pdf
- Number of pages:** 10
- This file contains:**
 - ☒ Description: From page: 1 to 5
 - ☒ Claims: From page: 6 to 7
 - ☒ Abstract: From page: 8 to 10
 - ☐ Drawings: From page: to

Additional Options:

- ☐ The claims will be filed later
- ☐ A translation will be supplied later.

Status Bar: Logged in as Administrator | 0 | 0 | 1

Figure 178: Documents in Italian and translations in German attached

6.6.4 Pre-conversion archive

Should you wish to add your original documents to the submission, you can make use of the **pre-conversion archive** functionality. This option allows you to add your original documents, before PDF or XML conversion, in a compressed ZIP format. This may be helpful if you feel that the EPO should also have access to your original files in case conversion errors occur. These documents will not be publicly available nor will they be an integral part of the visible internal procedural file, but they can be accessed for reference, e.g. in the case of quality issues.

Attaching pre-conversion archive

→ In the **Documents** tab under the **Specification** sub-tab click on the **Add** button.



→ Select the option **Pre-conversion archive**.

→ Navigate to where you have stored your ZIP file and select it.

→ Click **Open** to add the file.

The file is renamed to **OLF-ARCHIVE.zip**.

The names of the original files from the attached pre-conversion archive are listed on the right.

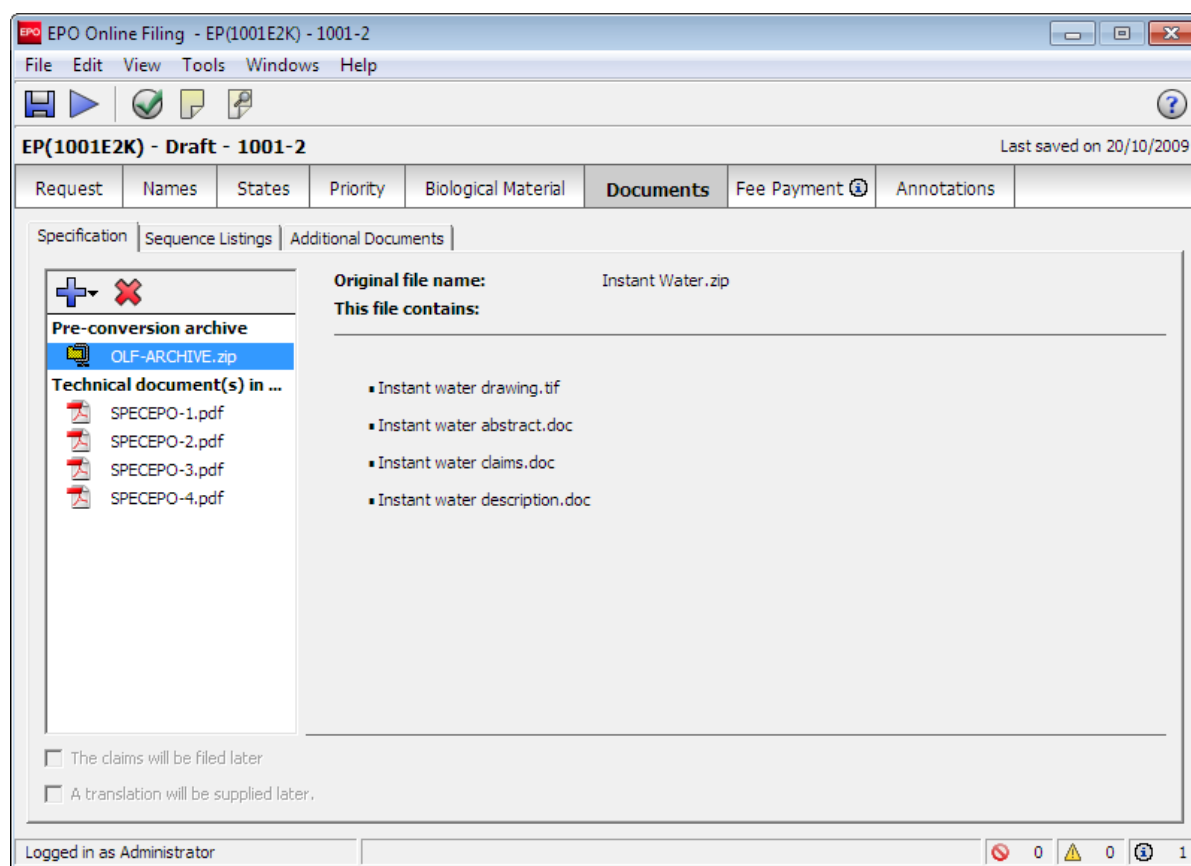


Figure 179: Attaching pre-conversion archive

6.6.5 Sequence listings

For a first filing, sequence listings must always be submitted in computer-readable format in accordance with WIPO Standard ST.25. If the sequence listing is not available in computer-readable format, you can submit it to the EPO first in PDF format and subsequently in TXT format, together with an additional fee.

Computer-readable sequence listings can be attached in the following TXT formats:

- ♦ Nucleotide and Amino Acid Sequence Listing (.APP or .SEQ)
- ♦ ASCII Text (.TXT)
- ♦ Archive File Format (.ZIP)

→ Click the **Sequence Listings** sub-tab under **Documents**.

→ Select the check box for **The European patent application contains a sequence listing as part of the description**.

This activates the tab's other options for editing.

❗ A red validation icon appears in the **Documents** tab, indicating that in order to file your application you must attach a sequence listing either as a computer-readable file or in PDF format

EPO Online Filing - EP(1001E2K) - Sample 1001

File Edit View Tools Windows Help

EP(1001E2K) - Draft - Sample 1001 Last saved on 07.05.2011

Request Names States Priority Biological Material **Documents** Fee Payment Annotations

Specification Sequence Listings Additional Documents

☒ The European patent application contains a sequence listing as part of the description.

The sequence listing is attached:

☐ In computer-readable format in accordance with WIPO Standard ST.25

WIPO ST.25 file: Choose file... No file selected

☐ In PDF format

PDF file: Choose file... No file selected

Logged in as Administrator

Figure 180: A sequence listing must be filed as part of the description

Sequence listing in computer-readable format

- Select the check box ***In computer-readable format in accordance with WIPO Standard ST.25.***
This deactivates the ***In PDF format*** check box.
- Click the **Choose file...** button.
- Select the appropriate file type.
 - Nucleotide and Amino Acid Sequence Listing (.APP or .SEQ)
 - ASCII Text (.TXT)
 - Archive File Format (.ZIP)

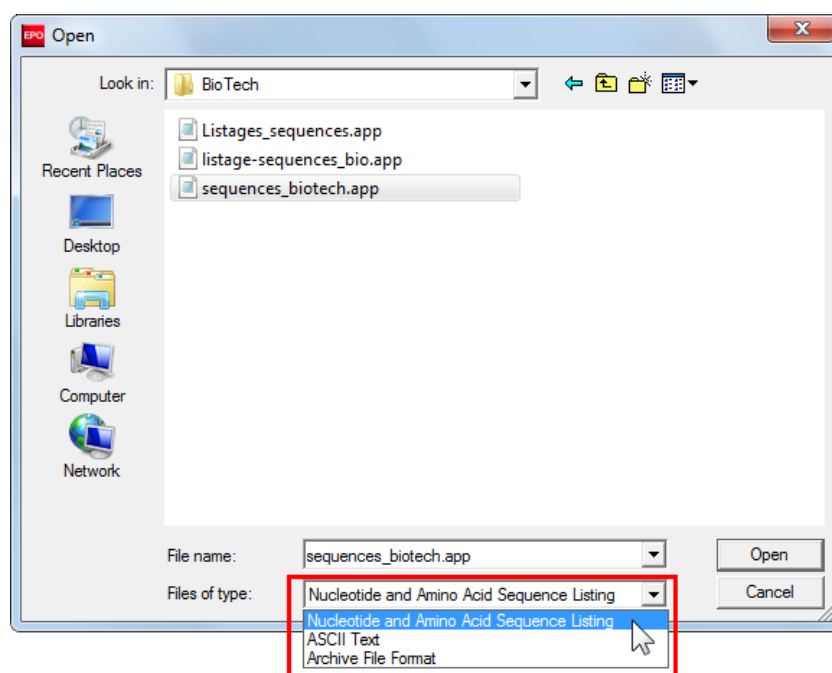


Figure 181: Selecting file type for sequence listing in computer-readable file format

- Navigate to the required file and attach it.
Depending on the format selected, the file is renamed **SEQLTX.T .app**, **SEQLTX.T .seq**, **SEQLTX.T .txt** or **SEQLTX.T .zip**.
The button's caption changes to **Detach file**.

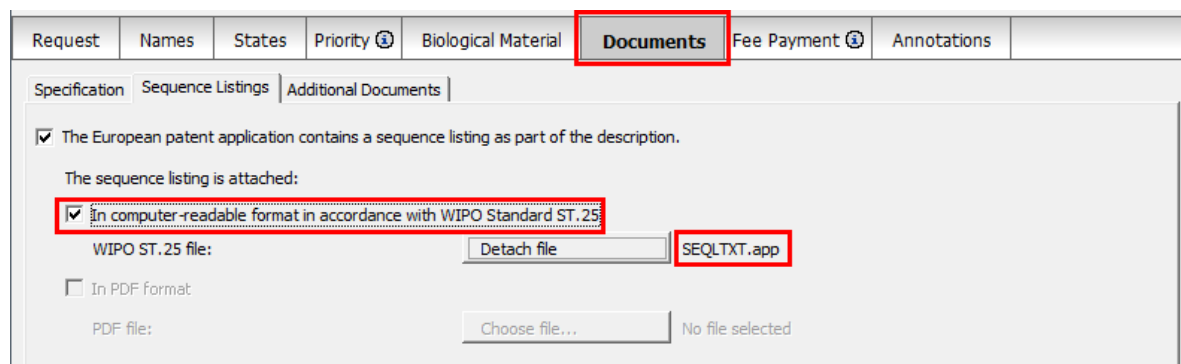


Figure 182: Sequence listing in APP format attached

Sequence listings in PDF format

① You cannot file a sequence listing in PDF format if you selected ***The description contains a sequence listing in accordance with Rule 30(1) EPC*** in the **Reference** (p. 120) tab under **Request**. In this case, the option is deactivated and you can only attach a file in computer-readable format.

→ Select the **In PDF format** check box.

This deactivates the **In computer-readable format in accordance with WIPO Standard ST.25** check box.

→ Click the **Choose file...** button.

→ Navigate to the required PDF file and attach it.

The file is renamed **SEQLTEXT.pdf**.

The button's caption changes to **Detach file**.

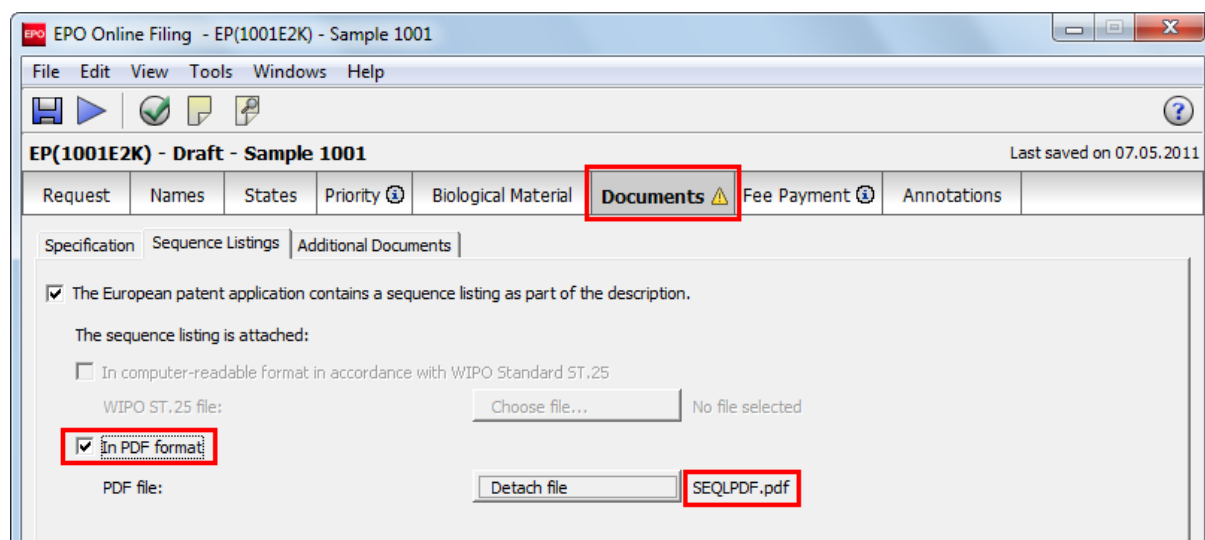


Figure 183: Sequence listing in PDF format attached

The warning (yellow validation icon) indicates that the sequence listing has to be filed later in computer-readable format and an additional fee has to be paid to the EPO.

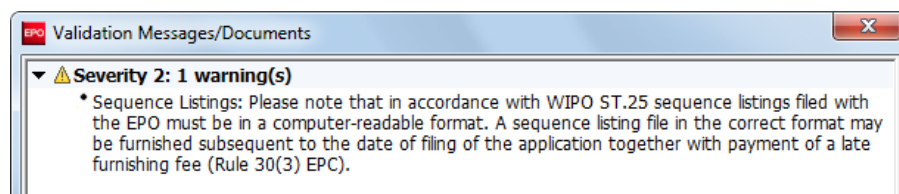


Figure 184: Warning following the attachment of a sequence listing in PDF format

Changing the sequence listing format

If you attach a PDF document and then decide to replace it with a computer-readable file (or vice versa), proceed as follows:

→ First, clear the check box beside the currently selected format.

This detaches the current file; both options are now available for selection.

→ Select the required file format option and attach the corresponding file.

6.6.6 Additional documents

In the **Additional documents** sub-tab you can attach all other documents you wish to send to the EPO, including authorisations, translations of priority documents or other documents.

Example

In this example you are going to add three documents: a translation of the priority documents, an additional information sheet and the search results for an earlier application.

- Click the **New** button.



- Navigate to the required PDF file and select it.
- Click **Open** to attach the file.
- From the **Document type** list, select the option **Translation of priority documents**.
The file is renamed **PRIOTRAN-1.pdf**.

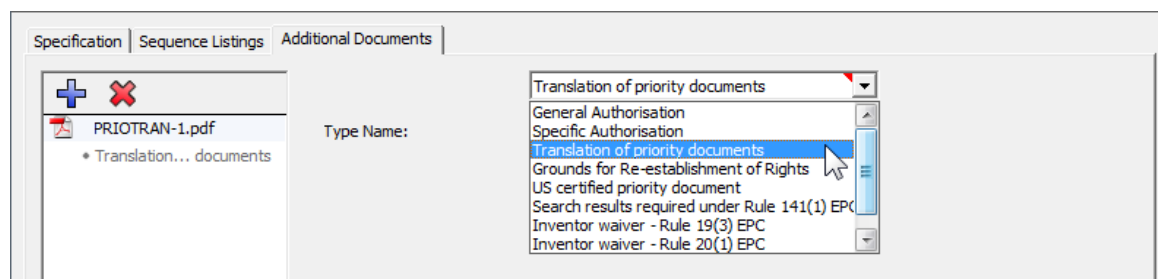


Figure 185: Attaching translation of priority documents as an additional document

- Click the **New** button again to add the second additional document.
- Navigate to the PDF file and attach it.
- Select **<other document>** from the **Document type** list.
The file is renamed **OTHER-1.PDF**.
- To describe this document, enter the words **Additional information sheet** in the **Type name** field.

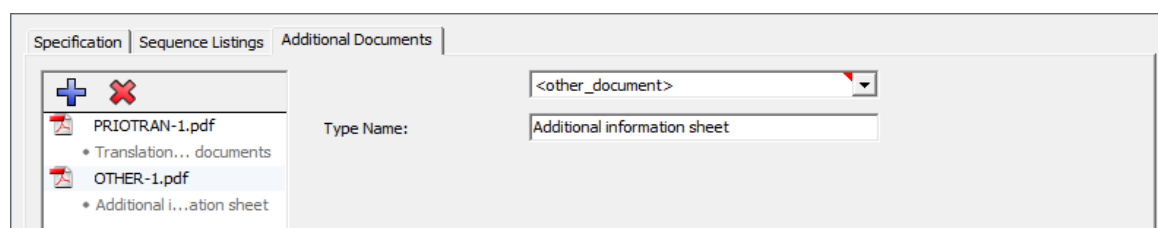


Figure 186: Attaching additional document with description

Search results for earlier application

If your application refers to an earlier application which has been declared a priority document, under Rule 141(1) EPC you must file the search results obtained for said earlier application if they are not already available to the EPO. The validation message for the yellow validation symbol in the **Documents** tab tells you what to do; see **Reference** (p. 120).

- Click the **New** button.
- Navigate to the PDF file and attach it.
- From the **Document Type** list select the option **Search results required under Rule 141(1) EPC for previously filed application**.

The file is renamed **PRSR-REF.pdf**.

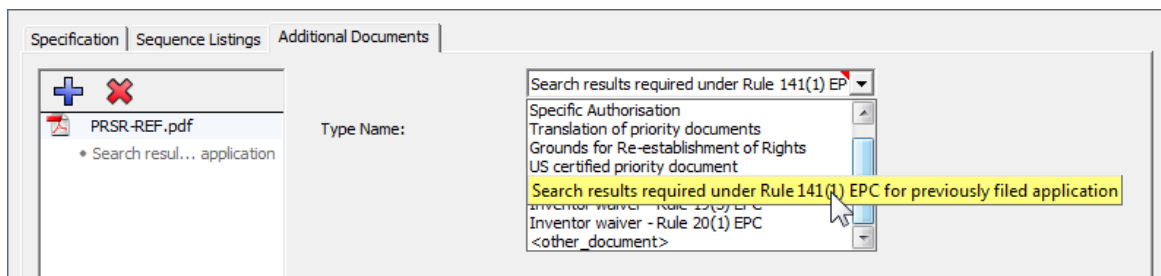


Figure 187: Adding search results for earlier application

6.6.7 Viewing attached documents

Use the Preview option to check your application as it appears in print.

→ In the tool bar click the **Preview** button.



-OR-

Select **Preview** from the **Tools** menu.

The application is shown in the **PDF-Viewer**.

The attached documents are listed in Section 44 of Form EP(1001E2K) with their original file names. On the left you can see a list of the files with their respective system names. In this example the form is in German, because German was selected as the procedural language.

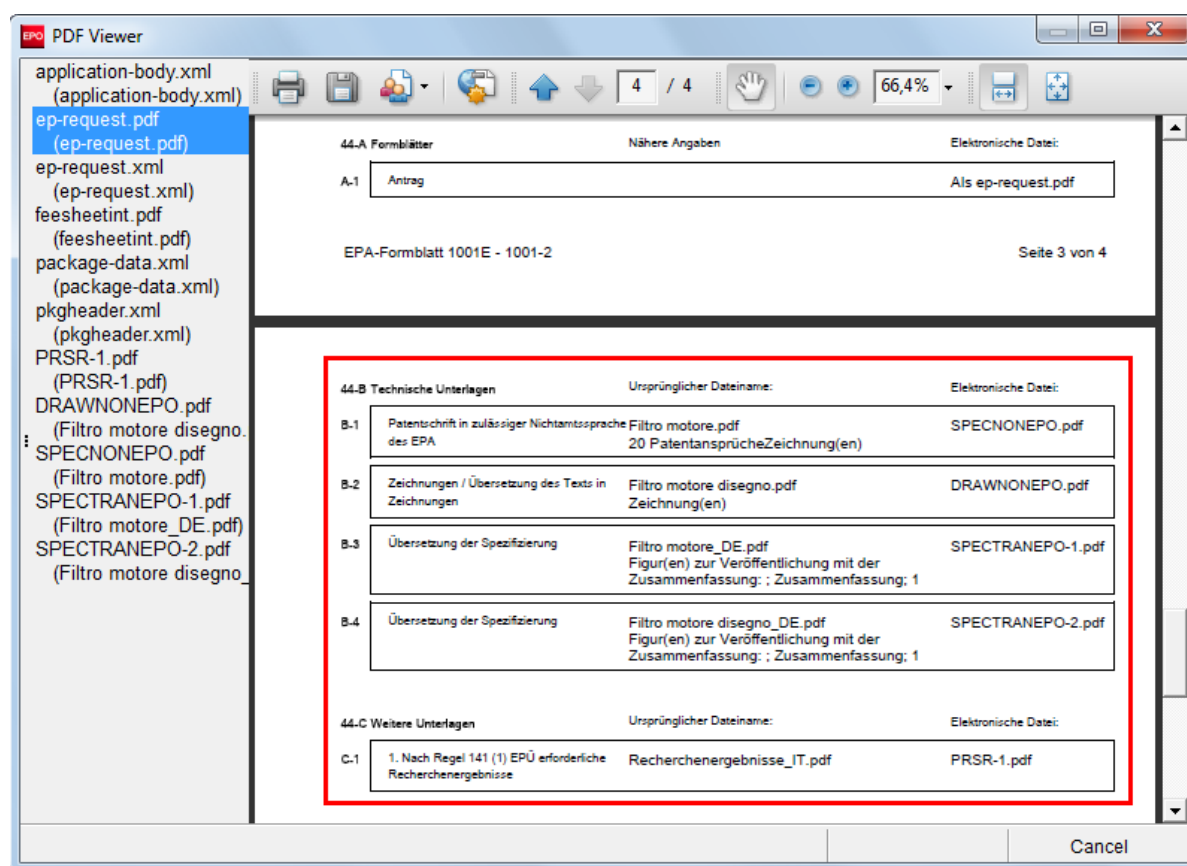


Figure 188: Previewing the application (technical documents section) in the PDF Viewer

- Click the name of a document to view it in the PDF Viewer. Do the same to view drawings attached as linked images together with an XML document.

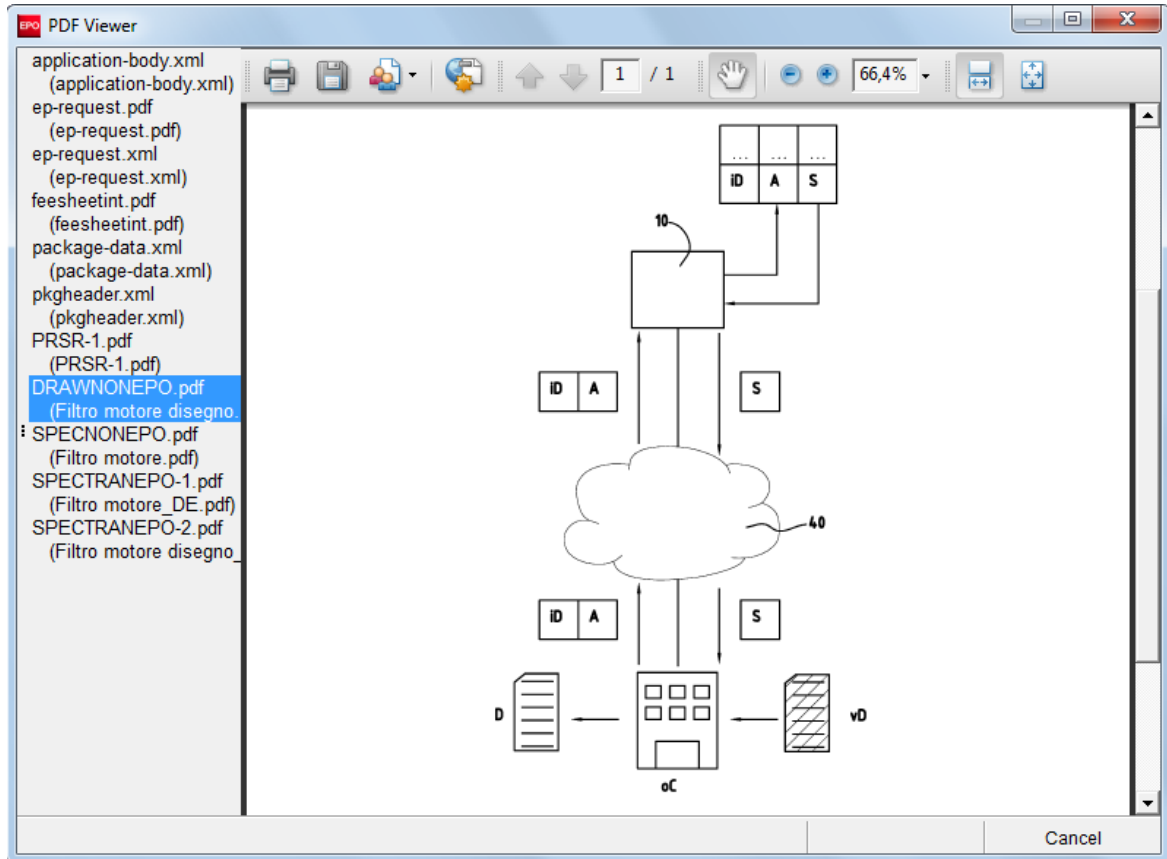


Figure 189: Attached drawings shown in the PDF Viewer

6.7 EP(1001E2K) Fee Payment

In the **Fee Payment** tab you can select the fees associated with your application and indicate how you wish to pay them. All fees must be paid in EUR.

The fees displayed in the **Fee Payment** tab reflect the fee schedules located in **File Manager > Tools > Fee Management**.

Make use of the **Live Update** function in Online Filing to ensure that your fee schedule is always up to date. You will find the most recent fee schedule on the EPO website at **Applying for a patent > Online services**, following the link **interactive schedule of fees** (<http://www.epoline.org/portal/portal/default/epoline.Scheduleoffees>).

Online fee payment

The EPO offers a quick and secure online fee payment service designed for holders of EPO deposit accounts. For more information, go to the EPO website and navigate to **Applying for a patent > Online services > Online fee payment** (<http://www.epo.org/applying/online-services/fee-payment.html>).

6.7.1 Payment details

In the **Payment details** sub-tab you can specify the mode of payment and provide details of the account number and account holder.

You have to specify the mode of payment before you can make a payment. If you do not, no fees will appear in the form for the EPO, even if you have selected one or more fees in the **Fee selection** sub-tab.

♦ **Automatic debit order**

If you select this option the check boxes in the **Fee selection** sub-tab are automatically deactivated and the total amount of the fees is shown as EUR 0.00. The EPO will calculate the amount of the fees payable using the information you provided in your application and will debit this amount direct from your account. With this option you cannot select the fees yourself in the form.

♦ **Debit from deposit account**

If you choose this mode of payment, the relevant fees will be debited directly from your EPO deposit account. If you issue a debit order during normal working hours (08.00-18.00 hrs.), you can usually view it under **pending orders** within about 30 minutes. The actual deduction from your account will appear 5 to 6 days later.

♦ **Bank transfer**

Select a bank to which you will transfer the fees. The bank sort code and EPO account number will then appear.

♦ **Not specified**

If you are not sure how you will be paying your fees, you can indicate **Not specified**.

The grey validation icon in the **Fee Payment** tab indicates that the mode of payment is required, but may be specified later.

! **Note:** You are not required to enter **28** as the leading digits of the deposit account number, since these are automatically supplied by the software. Just enter the six remaining digits. If the deposit account number is not entered correctly, e.g. you enter more than six digits, you will see a red validation icon in the **Fee Payment** tab. The corresponding warning tells you to verify the deposit account number. The same rule applies to the deposit account number for reimbursement.

Debit from deposit account

- Select **Debit from deposit account** as **Mode of payment**.
- Enter the **deposit account number**.
EPO deposit account numbers are made up of eight digits, starting with **28**.
- Enter the name of the **account holder**.

The screenshot shows the 'EPO Online Filing - EP(1001E2K) - Sample 1001' window. The 'Fee Payment' tab is active. Under 'Payment Details', the 'Mode of Payment' is set to 'Debit from deposit account' and the currency is 'EUR'. A text box states: 'The European Patent Office is hereby authorised, to debit from the following deposit account with the EPO any fees and costs indicated in the fee selection:'. Below this, the 'Deposit account number' is entered as '28123456__' and the 'Account holder' is 'Nano Enterprise Ltd.'.

Figure 190: Entering payment details for deposit account

Bank transfer

- Select **Bank transfer** as **Mode of payment**.
- Select the appropriate **Bank** from the list.
① This information is mandatory.
The EPO's bank account number is supplied automatically.

The screenshot shows the 'EPO Online Filing' window with the 'Fee Payment' tab active. Under 'Payment Details', the 'Mode of Payment' is set to 'Bank transfer' and the currency is 'EUR'. A text box states: 'The fees and costs indicated in the fee selection will be paid within a month after filing by transfer to the following bank account held by the EPO:'. Below this, the 'Bank' is selected as 'GB, Barclays Bank PLC, London' and the 'Bank account' is '86 98 72 66 (Sorting Code 20-47-35)'.

Figure 191: Selecting the bank for bank transfer as mode of payment

Further options

Additional options are available in the **Fee Payment** tab below the account information.

- If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, tick the corresponding check box.
 ⓘ This option applies to all selected modes of payment. However, if you selected **automatic debit order** or **debit from deposit account**, you are only required to enter an account number here if that number is different from the account number used for payment.
- Enter the EPO deposit account number where applicable and supply the account holder's name.
- If you want to request a refund of the search fee, tick the corresponding check box and enter the application number of the earlier search report.
- If you need **additional copies of the documents cited in the European search report**, tick the corresponding check box and enter the number of copies required.

The validation message (yellow validation icon) informs you that the corresponding fee 055 should also be selected. You should therefore tick the check box for fee 055 in the **Fee selection** sub-tab (it is not ticked by default).

☒ Reimbursement, if any, to be made to deposit account with the EPO:

Account holder:

☒ Refund of search fee (Art. 9 RFees) is requested on the basis of the earlier search report:

☒ Additional copies of the documents cited in the European search report: Copies

Logged in as Administrator

0 1 3

Figure 192: Other options for fee payment in Form EP(1001E2K)

6.7.2 Fee selection

Frequently paid fees such as **filing fee 001** are automatically selected and calculated by the software.

Other fees such as extension fees or fee 055 for additional copies of the search report become applicable based on the selections you make in the form.

The validation messages indicate which fees are to be paid.

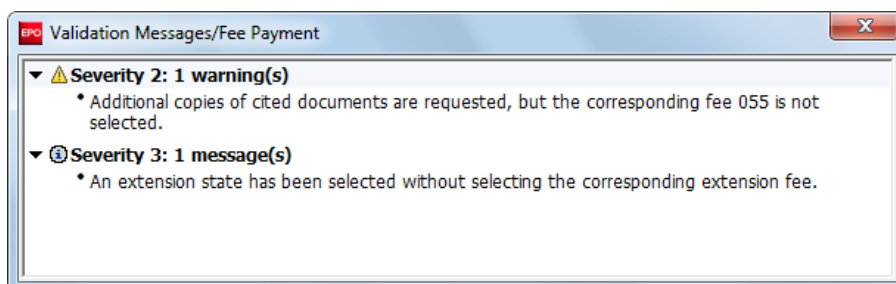


Figure 193: Validation messages with information on the fees to be paid

→ Select the check boxes for all necessary fees.

The relevant quantity is already entered.

The fee amount is automatically calculated.

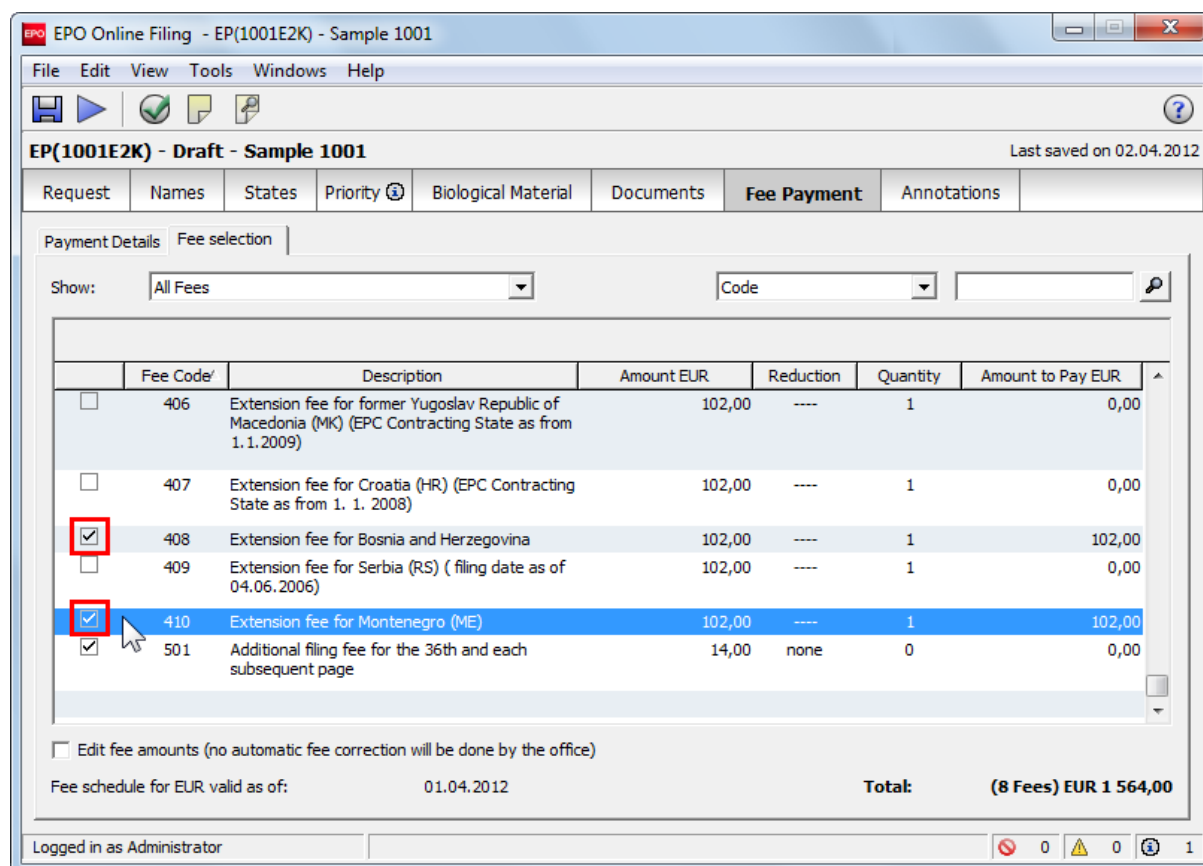


Figure 194: Selecting fees

Filtering the fees displayed

You can filter the list of fees by selecting one of the options in the **Show** list:

- ◆ **All fees**
- ◆ **Initial fees:** Fees normally associated with a European patent application, e.g. filing, search and claims fees.
- ◆ **Selected fees only:** all fees selected for the current application.

Payment Details | Fee selection

Show: **Selected fees only** Code:

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☒	001	Filing fee - EP direct - online	115,00	none	1	115,00
☒	002	Fee for a European search - Applications filed on/after 01.07.2005	1 165,00	----	1	1 165,00
☒	015	Claims fee for 16th up to 50th claim	225,00	----	0	0,00
☒	015e	Claims fee - For the 51st and each subsequent claim	555,00	----	0	0,00
☒	055	Add. copy of docs cited in search report	40,00	----	2	80,00
☒	408	Extension fee for Bosnia and Herzegovina	102,00	----	1	102,00
☒	410	Extension fee for Montenegro (ME)	102,00	----	1	102,00
☒	501	Additional filing fee for the 36th and each subsequent page	14,00	none	0	0,00

☐ Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2012

Total: (8 Fees) EUR 1 564,00

Figure 195: Showing selected fees only

Changing the fee quantity

The value in the **Quantity** column can only be edited for the following fees:

- ◆ 002 - Fee for a European search - Applications filed on/after 01.07.2005
- ◆ 029 - Certified copy of application; priority document
- ◆ 055 - Add. copy of docs cited in search report
- ◆ 501 - Additional filing fee for the 36th and each subsequent page

Editing fee amounts

In the default setting you cannot edit the fee amounts in Form EP(1001E2K). If however you wish to edit certain fee amounts you can select this option on an individual basis. If you do so, the EPO will no longer check the fees you have selected for this application and will invoice you for the total amount shown/debit the amount shown from your deposit account.

- ➔ Click the **Edit fee amounts** check box.
This activates the **Amount EUR** and **Reduction** fields for editing.
- ➔ Select the fee you wish to edit.
- ➔ Click in the field to be edited, in our example **Amount EUR**.

→ Enter the new amount.

Payment Details Fee selection

Show: Selected fees only Code

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☒	001	Filing fee - EP direct - online	115,00	none	1	115,00
☒	002	Fee for a European search - Applications filed on/after 01.07.2005	850,00	none	1	1 165,00
☒	015	Claims fee for 16th up to 50th claim	225,00	none	0	0,00
☒	015e	Claims fee - For the 51st and each subsequent claim	555,00	none	0	0,00
☒	055	Add. copy of docs cited in search report	40,00	none	2	80,00
☒	408	Extension fee for Bosnia and Herzegovina	102,00	none	1	102,00
☒	410	Extension fee for Montenegro (ME)	102,00	none	1	102,00
☒	501	Additional filing fee for the 36th and each subsequent page	14,00	none	0	0,00

☒ Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2012

Total: (8 Fees) EUR 1 564,00

Figure 196: Selecting the "Edit fee amounts" option and editing the fee

→ Click anywhere on the form.

The value in the **Amount to pay EUR** column and the total amount of the fees are automatically recalculated.

Payment Details Fee selection

Show: Selected fees only Code

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☒	001	Filing fee - EP direct - online	115,00	none	1	115,00
☒	002	Fee for a European search - Applications filed on/after 01.07.2005	850,00	none	1	850,00
☒	015	Claims fee for 16th up to 50th claim	225,00	none	0	0,00
☒	015e	Claims fee - For the 51st and each subsequent claim	555,00	none	0	0,00
☒	055	Add. copy of docs cited in search report	40,00	none	2	80,00
☒	408	Extension fee for Bosnia and Herzegovina	102,00	none	1	102,00
☒	410	Extension fee for Montenegro (ME)	102,00	none	1	102,00
☒	501	Additional filing fee for the 36th and each subsequent page	14,00	none	0	0,00

☒ Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2012

Total: (8 Fees) EUR 1 249,00

Figure 197: Edited fee amount and updated fee total

If you want to undo changes to the fee amounts, you can restore the values from the fee table in Online Filing.

→ Clear the **Edit fee amounts** check box.

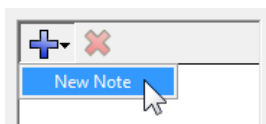
The original values for all fees are restored in the form.

6.8 EP(1001E2K) Annotations

In the **Annotations** tab you can enter notes to be transmitted to the EPO.

Creating notes for the EPO

→ Click the **Add** button and select **New Note**.



→ Enter the relevant information in the **Author**, **Subject** and **Note** fields.

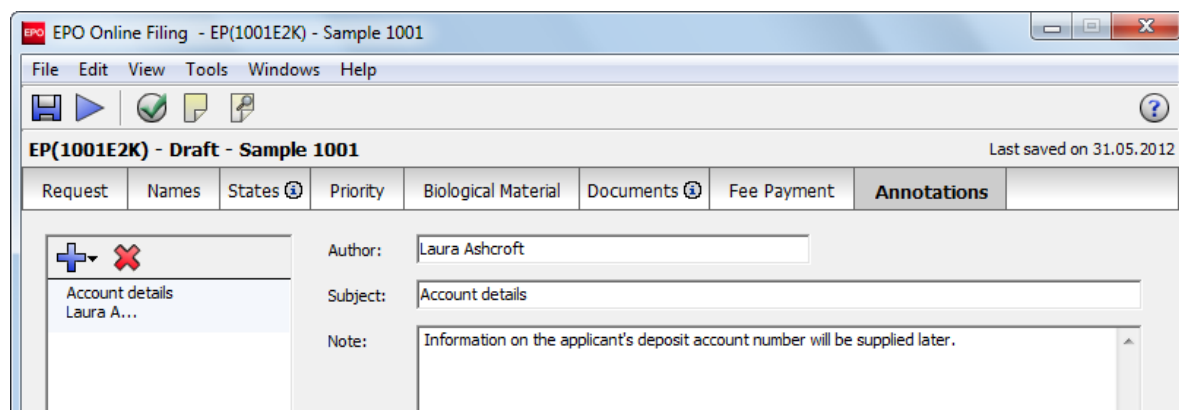


Figure 198: Adding a new note for the EPO

❗ To add notes that are NOT intended for the EPO, please use the **Internal notes** (p. 42) function.

7 Euro-PCT(1200E2K)

Euro-PCT(1200E2K) is the form used for entry of an international application into the European phase before the EPO as designated or elected office.

To file an application via the Euro-PCT procedure it must previously have been filed as an international application via the PCT route. For more information visit the WIPO website and go to **IP Services > PCT > Legal Texts** (<http://www.wipo.int/pct/en/texts/>).

Data input in form Euro-PCT(1200E2K)

Form Euro-PCT(1200E2K) is organised into seven sections represented by seven **tabs** in the **navigation bar**.

It is recommended to enter the data in the tab sequence given, i.e. starting with the **EP-Phase** tab. Certain options and conditions in the **Documents** tab, for instance, are determined by the selections you make in the **EP-Phase** tab.

Tab	What you can do
EP-Phase	Select the EPO's role, request examination in admissible non-EPO language, enter details of the international application, select the ISA and IPEA
Names	Enter changes concerning applicant(s), representative(s) and authorisations named in the international application.
States	Designate contracting states and extension states.
Biological Material	Enter details of deposited microorganisms and the depositary institution.
Documents	Attach amendments, translations of priority applications and other electronic files.
Fee Payment	Enter the payment method, select fees according to the appropriate fee schedule.
Annotations	Supply additional information for the EPO.

Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. This field must either be filled manually or you must select one of the options provided. If mandatory fields are not completed, the corresponding tab will show a red validation icon. Consult the validation messages for more information.

EP Phase 	Names 	States 	Biological Material	Documents 	Fee Payment 	Annotations	

PCT Application Number:


Figure 199: The PCT application number is a mandatory field in the EP Phase tab and is marked with a red triangle

Elements in Form Euro-PCT(1200E2K)

Menu Bar **Toolbar** **Location Indicator Bar** **Navigation Bar**

EPO Online Filing - Euro-PCT(1200E2K) - Sample 1200

File Edit View Tools Windows Help

Euro-PCT(1200E2K) - Draft - Sample 1200 Last saved on 02.04.2012

EP Phase **Names** **States** **Biological Material** **Documents** **Fee Payment** **Annotations**

Entry into the European Phase

☒ EPO as designated office
☐ EPO as elected office

Examination of the application under Article 94 EPC is hereby requested. The examination fee is being (has been, will be) paid.

☐ Request for examination in an admissible non-EPO language

☐ The applicant waives his right to be asked under Rule 70(2) EPC whether he wishes to proceed further with the application.

☐ The applicant waives his right to the communication under Rules 161(1) or (2) and 162 EPC.

Past Record

The language of the international publication is:

PCT Application Number: PCT/____/____ International Searching Authority (ISA)

PCT Publication Number: WO_____

EP Application Number: EP_____

International Filing Date: dd.mm.yyyy

International Preliminary Examining Authority (IPEA)

☐ IPEA other than EPO
☒ IPEA is EPO

Logged in as Administrator

7 1 8

Details Area **Status Bar**

Figure 200: Euro-PCT(1200E2K) - Overview

Form element	Comments
Menu Bar	Provides all options to edit, save, import and export applications, set the display and change the status, as well as other tools.
Toolbar	Provides shortcuts to the most frequently used tasks and tools.
Location Indicator Bar	Shows the selected procedure, the current status and the user reference for an application.
Navigation Bar	Displays tabs corresponding to the sections of the form. These tabs can contain sub-tabs, which are a sub-division of the main tab sections within the form.
Details Area	Displays data entry fields appropriate to the selected tab.
Status Bar	Displays information about the current activity. Shows the total number of validation messages for the open application on the right.

7.1 Euro-PCT(1200E2K) EP Phase

The **EP Phase** tab of Euro-PCT(1200E2K) is where you request examination of your application under Article 94 EPC.

① For the latest version of the EPC see the EPO website at **Law & practice > Legal texts > European Patent Convention** (<http://www.epo.org/law-practice/legal-texts/epc.html>).

The **EP Phase** tab contains two sections for entering data:

- ◆ Entry into the European phase (EPO as designated or elected office)
- ◆ Past Record

7.1.1 Entry into the European phase

- ➔ Select the EPO as either **designated office** or **elected office**.
- ➔ Select the check box **Request for examination in an admissible non-EPO language** (where appropriate).

If you select this option, the list of languages on the right becomes available.

- ➔ Select a language from the drop-down list.

The text "Examination of the application under Art. 94 EPC is hereby requested" is displayed in the selected language.

- ➔ If appropriate, tick the check box for **The applicant waives his right to indicate whether he wishes to proceed further with the application (Rule 70(2) EPC)**.

This option is only active if you do NOT select the EPO as the **International Searching Authority (ISA)** under **Past Record**.

① This waiver does not apply until after payment of the examination fee. Account holders participating in the automatic debiting procedure should pay any examination fees due on entry into the European phase using another permitted **mode of payment** (see "Payment details" p. 194).

- ➔ Select the option **The applicant waives his right to the communication under Rules 161(1) or (2) and 162 EPC**, if applicable.

① This waiver does not apply until after payment of the claims fees. Account holders participating in the automatic debiting procedure should pay any claims fees due on entry into the European phase using another permitted **mode of payment** (see "Payment details" p. 194).

EPO Online Filing - Euro-PCT(1200E2K) - Sample 1200

File Edit View Tools Windows Help

Euro-PCT(1200E2K) - Draft - Sample 1200 Last saved on 07.05.2011

EP Phase Names States Biological Material Documents Fee Payment Annotations

Entry into the European Phase

☒ EPO as designated office
☐ EPO as elected office

Examination of the application under Article 94 EPC is hereby requested. The examination fee is being (has been, will be) paid.

☒ Request for examination in an admissible non-EPO language Spanish

Se solicita el examen de la solicitud según el artículo 94.

☒ The applicant waives his right to be asked under Rule 70(2) EPC whether he wishes to proceed further with the application.

☒ The applicant waives his right to the communication under Rules 161(1) or (2) and 162 EPC.

Figure 201: Information on entry into the European phase

7.1.2 Past Record

- Select the **language of the international publication** from the drop-down list.

This information is mandatory.

- Enter the number of the previous application under **PCT application number**.

This information is mandatory.

- Enter the **PCT publication number** and the **EP application number** where applicable.

- Enter the corresponding **international filing date**.

-OR-

Select the date using the **Calendar** button.



The international filing date is mandatory and must match the year of the PCT application number.

① If the year of filing is different from the year in the PCT application number, a yellow validation icon is displayed. You can file your application to the EPO nevertheless, but please ensure that the data you enter is correct.

- Select the appropriate **International Searching Authority (ISA)**.

- Select the option for the **International Preliminary Examining Authority (IPEA)**.

① These options are only available if you select the **EPO as elected office** option in the **Entry into the European phase** section.

Past Record

The language of the international publication is: Spanish

PCT Application Number: PCT/ES2011/123456

PCT Publication Number: WO2011123456

EP Application Number: EP11500200.8

International Filing Date: 2 February 2011

International Searching Authority (ISA): EP European Patent Office (EPO)

International Preliminary Examining Authority (IPEA):

☐ IPEA other than EPO

☒ IPEA is EPO

Logged in as Administrator

2 1 5

Figure 202: Information on the past record in the EP Phase tab

7.2 Euro-PCT(1200E2K) Names

The **Names** tab of Euro-PCT(1200E2K) is where you can make changes to applicant and representative details. You can also specify an extra address for correspondence with the first-named applicant or add a new representative. You are not required to enter any extra data if there are no changes to either the applicant or the representative.

Additional information about applicant

- In the **Names** tab, click the **Add** button.



- Select **Applicant**, **Legal** or **Applicant, Natural** from the list.
- Enter the details for the applicant or use the **Copy from Address Book** button.



EPO Online Filing - Euro-PCT(1200E2K) - Sample 1200

File Edit View Tools Windows Help

Euro-PCT(1200E2K) - Draft - Sample 1200 Last saved on 01.06.2012

EP Phase **Names** States Biological Material Documents Fee Payment Annotations

Indications concerning the applicant(s) are contained in the international publication or recorded by the International Bureau after the international publication. Changes which have not yet been recorded by the International Bureau are set out here:

Applicants
 Corallos, José
Representatives

Last name: Corallos
 First name: José
 Title: Mr
 Company: Corallos LTD
 Department:
 Please use appropriate upper and lowercase letters

Country: PT Portugal
 Address: 45 E Calle del Sol
 Postal code: 12456
 City: Lisboa
 Region:

Telephone: +32 1 456 789
 Fax: +32 1 456 788
 e-mail: cj@corallos.pt
 Nationality: PT Portugal
 Residence: PT Portugal

☐ Address for correspondence
☐ The applicant has earlier been recorded by the International Bureau.

Logged in as Administrator

2 1 7

Figure 203: Applicant details

Removing names from the application

- Select the name to be removed on the left-hand side of the form.
- Click the **Delete** button.



Address for correspondence with the applicant

You can specify a separate address for correspondence with the first-named applicant. You cannot enter an address for correspondence if you have already added a representative and vice versa.

① The address for correspondence must be in an EPC contracting state.

→ Select the first-named applicant.

The **Address for correspondence** check box is unlocked after the mandatory fields for the first-named applicant have been completed, i.e. First Name, Last Name (or Company), City and Country.

→ Check the **Address for correspondence** option.

Address for correspondence then appears in the list on the left.

→ If there is no change of applicant and you just want to add a different address for correspondence, select the check box **The applicant has earlier been recorded by the International Bureau**.

① This option becomes available after the option **Address for correspondence** has been selected.

→ Click the **Add** button and select **Address** from the drop-down list.

① Note that the **Representatives** options have disappeared from the list.

Indications concerning the applicant(s) are contained in the international publication or recorded by the International Bureau after the international publication. Changes which have not yet been recorded by the International Bureau are set out here:

+ × 📄 📄 📄 Applicant, Legal 👤 Applicant, Natural 🏠 Address	Last name:	Corallos		
	First name:	José	Company:	Corallos LTD
	Title:	Mr	Department:	
	Please use appropriate upper and lowercase letters			
	Country:	PT Portugal	Telephone:	+32 1 456 789
	Address:	45 E Calle del Sol	Fax:	+32 1 456 788
			e-mail	cj@corallos.pt
	Postal code:	12456		
	City:	Lisboa	Nationality:	PT Portugal
	Region:		Residence:	PT Portugal
☒ Address for correspondence ☒ The applicant has earlier been recorded by the International Bureau.				

Figure 204: Adding address for correspondence with the applicant

The first applicant's name appears under **Address for Correspondence** on the left, and the data entry fields become available on the right.

→ Edit the address information as required.

- For legal applicants, the **Company** field cannot be edited, whereas for natural applicants **Last Name** and **First Name** are locked.
- If you make changes to the first-named applicant's name after you have added the address for correspondence, the name in the address for correspondence will be updated accordingly.
- If you delete the first-named applicant, the address for correspondence will also be removed from the form.

Indications concerning the applicant(s) are contained in the international publication or recorded by the International Bureau after the international publication. Changes which have not yet been recorded by the International Bureau are set out here:

+ × 📄 📄 Applicants 👤 Corallos, José Address for Correspondence 👤 Corallos, José	Last Name:	Corallos
	First Name:	José
	Country:	GB United Kingdom
	Address:	306, Westminster Lane
	Postal code:	G1U M3W
	City:	Oxford
	GB County:	Oxfordshire

Figure 205: Address for correspondence with the applicant

① You can use both the **Copy from Address Book** button and the **Copy to Address Book** button to exchange the address for correspondence data with the Online Filing address book.

Updating address for correspondence from previous OLF versions

If you open an application based on Form Euro-PCT(1200E2K) which was created with an OLF version prior to the January 2012 release, an address for correspondence will NOT be imported if no applicant is indicated.

You will be advised of this by way of a note in the **Annotations** tab, informing you which parts of the previous address for correspondence have not been imported. Please read that note carefully, correct the address data as required and delete the note afterwards. There will be a yellow validation icon in the **Names** tab and a red validation icon in the **Annotations** tab until you delete the note.

EP Phase	Names	States	Biological Material	Documents	Fee Payment	Annotations

+ × The import of Address for C...	Author:	eOLF System
	Subject:	The import of Address for Correspondence information not linked to an applicant failed.
	Note:	The following imported information can be entered for Address for Correspondence once the applicant information is entered in the Names tab: Company:IP Partners Department:European Patents Country:GB Address:Cambridge Science Park 100 Red Lion Square Postal Code:CB2 1AB City:Cambridge Region:Greater London IMPORTANT: Please delete this annotation after adding the applicant information with address for correspondence in the Names tab.

Figure 206: Annotation from eOLF System referring to address for correspondence

Applicant is represented by an employee

If the applicant is a legal person, i.e. a company, this person can be represented by an employee. An employee can only be selected as a representative if no other representative (legal or natural person) has been added to the form.

- Tick the check box **[Company] is represented by the following employee acting pursuant to Art. 133(3) EPC.**
- Enter **Last Name, First Name** and **Title**.
- Enter the **General Authorisation** number.

Indications concerning the applicant(s) are contained in the international publication or recorded by the International Bureau after the international publication. Changes which have not yet been recorded by the International Bureau are set out here:

+ × 📄 📄 Applicants 🏢 Micro York	Company:	Micro York	Department:	Patents
	Country:	GB United Kingdom	Telephone:	+44 1904 660345
	Address:	38, Fullerton St.	Fax:	+44 1904 660480
			e-mail	info@micro-york.co.uk
	Postal code:	YO1 9QN		
	City:	York		
	GB County:	Yorkshire	Residence:	GB United Kingdom
	☐ Address for correspondence			
	☐ The applicant has earlier been recorded by the International Bureau.			
	☒ Micro York is represented by the following employee acting pursuant to Art. 133(3) EPC:			
Last name:	White	Title:	Ms	
First name:	Megan	General authorisation:	MY2040	

Figure 207: Applicant is represented by an employee

The name of this employee will be automatically entered into the **Sign Application** dialogue and cannot be modified. Only an employee who is authorised by the applicant under Article 133 EPC is entitled to sign an application.

Representative

The **Representative** option is only available if no address for correspondence has been entered and if the applicant is not being represented by an employee under Article 133(3) EPC.

- ① The country of the representative must be an EPC state.
- In the **Names** tab, click the **Add** button.
- Select an option from the list: **Representative, Association, Representative, Legal Practitioner or Representative, Authorised**.
- Complete the details in the entry fields on the right or copy the name from the Address Book.

Indications concerning the applicant(s) are contained in the international publication or recorded by the International Bureau after the international publication. Changes which have not yet been recorded by the International Bureau are set out here:

Name and address		Authorisation	
Company: IP Partners		Association: 95	
Department: European Patents	Country: GB United Kingdom	Telephone: +44 1223 3516-0	
Address: Cambridge Science Park 100 Red Lion Square		Fax: +44 1223 351690	
		e-mail: office@ip-partners.co.uk	
Postal code: CB2 1AB			
City: Cambridge			
GB County: Greater London			

Figure 208: Representative (association) information entered

Authorisation

The **Authorisation** sub-tab is used to give details relating to the representative.

- Tick the **General Authorisation** check box.
- Select the appropriate option.
 - ① Related documents can be attached in the **Documents** tab; see **Additional documents** (p. 188).

Name and address		Authorisation	
+ × 📎 📎 Applicants Burton, Peter Representatives IP Partners		☒ General Authorisation ☒ An individual authorisation is attached. ☐ A general authorisation has been registered under number: ☐ A general authorisation has been filed, but not yet registered. ☐ The authorisation filed with the EPO as PCT receiving Office expressly includes the European phase	

Figure 209: Entering details of authorisation for representative

7.3 Euro-PCT(1200E2K) States

The **States** tab of Euro-PCT(1200E2K) is where you designate the countries in which you wish to obtain patent protection. You may also select extension states.

① The list of states depends on the international filing date entered in the **EP Phase** tab. For the latest list of EPC contracting states and extension states see the EPO website at **Law & practice > Legal texts > European Patent Convention** (<http://www.epo.org/law-practice/legal-texts/epc.html>).

Designation

In the **Designation** tab under the heading **All states which are contracting states to the EPC at the time of filing of this application are hereby designated** you will see a list of all the contracting states. All the states are automatically selected and cannot be edited.

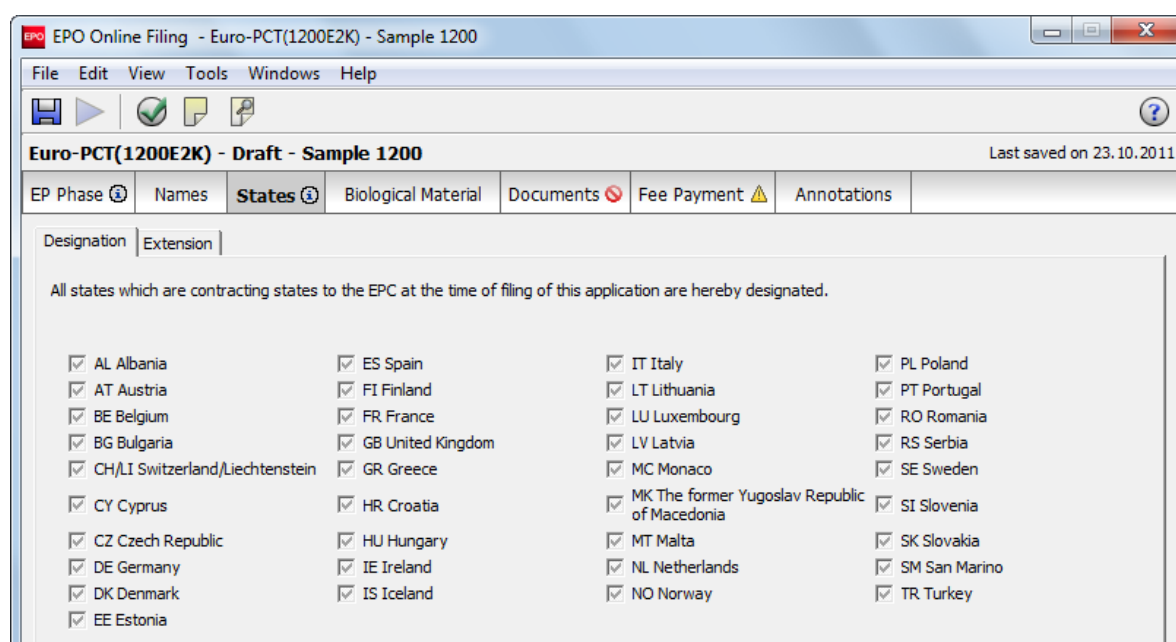


Figure 210: All contracting states designated

Extension

- Select the appropriate option.
- If required, select individual states.
- ① Make sure you also select the extension fees for these states in the **Fee Payment** tab.

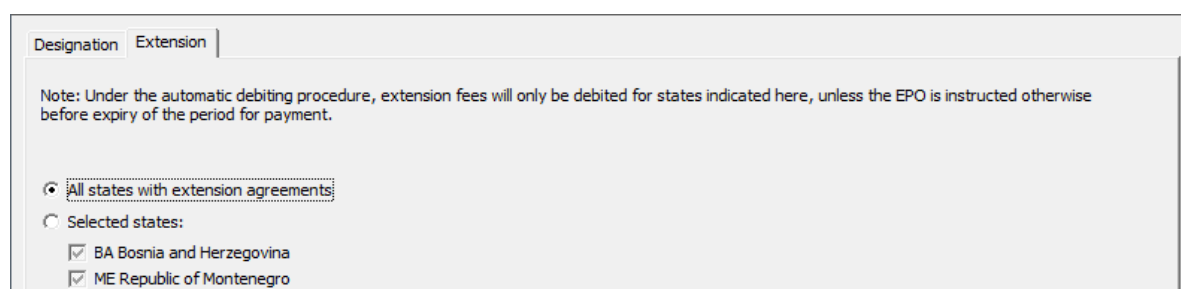


Figure 211: Selection of extension states

7.4 Euro-PCT(1200E2K) Biological Material

The **Biological Material** tab of Euro-PCT(1200E2K) is where you input details of any biological material filed and give the name the depositary institution.

① The form assumes that the invention relates to and/or uses biological material deposited under Rule 31 EPC. For the latest version of the EPC see the EPO website at **Law & practice > Legal texts > European Patent Convention** (<http://www.epo.org/law-practice/legal-texts/epc.html>).

Adding biological material details

- ➔ In the **Biological Material** tab, click the **Add** button and select **Biology**.
- ➔ In the **Deposit details** sub-tab, enter the **Identification Reference**.
- ➔ Select the **Depositary institution** from the list.
The **Name and Address** field data is supplied automatically.
- ➔ Enter the depositary institution code followed by your individual number in the Accession number field.
- ➔ You can add a copy of the acknowledgment of receipt from the depositary institution or a waiver of the right to an undertaking from the requester pursuant to Rule 33(2) EPC in the **Further details** tab.

EPO Online Filing - Euro-PCT(1200E2K) - Sample 1200

File Edit View Tools Windows Help

Euro-PCT(1200E2K) - Draft - Sample 1200 Last saved on 04.06.2012

EP Phase Names States **Biological Material** Documents Fee Payment Annotations

Sample 1200 Bio 012

The invention uses and/or relates to biological material which has been deposited under Rule 31.

Deposit details Further details

Identification reference: Sample 1200 Bio 012

Depositary institution: American Type Culture Collection

Name and address: 10801 University Blvd., Manassas, Virginia 20110-2209 United States of America

Accession number: ATCC-56001

☐ The particulars referred to in Rule 31(1)(c) (if not yet known, the deposit institution and the identification reference(s)) [number, symbols, etc.] of the depositor are given in the international publication or in the translation submitted on

Page(s) Line(s)

Logged in as Administrator

Figure 212: Deposit details for biological materials

7.5 Euro-PCT(1200E2K) Documents

The **Documents** tab of Euro-PCT(1200E2K) is where you confirm the documents to be used in proceedings before the EPO. This is also where you can attach amendments, translations, sequence listings and any additional documents.

Proceedings

In the **Proceedings** tab, specify which documents are to be used as a basis for proceedings in addition to the published international application documents.

→ Tick the option **Enclosed amendments** under **Proceedings** if you plan to attach amendments.

① You can also file documents with subsequent annotations, highlighted annotations/amendments and handwritten amendments to amended technical documents as the document type **Handwritten amendments** in the **Additional documents** (p. 188) tab.

→ Select the declaration on the **priority documents**, if appropriate.

The **Use of Test reports** option is automatically set and cannot be edited. It is only selected if the options **EPO as designated office** and **IPEA is EPO** were selected on the **EP Phase** tab.

EPO Online Filing - Euro-PCT(1200E2K) - Sample 1200

File Edit View Tools Windows Help

Euro-PCT(1200E2K) - Draft - Sample 1200 Last saved on 06.04.2010

EP Phase Names States Biological Material Documents Fee Payment Annotations

Proceedings Amendments and Translations Document Overview Sequence Listings Additional Documents

Documents to be used in proceedings before the EPO

Proceedings before the EPO as elected Office (PCT II) are to be based on:
The documents on which the international preliminary examination report is based, including any annexes

☒ Enclosed amendments

Declaration

Priority Document(s):

☐ It is hereby declared that the international application as originally filed is a complete translation of the previous application (Rule 53(3) EPC)

Use of test reports

☒ 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.

Logged in as Administrator

2 2 5

Figure 213: Options for documents in proceedings

7.5.1 Amendments and translations

Add amendments and translations for the international application, translations of amendments, translations of the priority application or translations of the annexes to the international preliminary examination report in the **Amendments and Translations** tab.

① Documents containing highlighted annotations/amendments can be attached as **Handwritten amendments** in the **Additional documents** (p. 188) tab.

→ Click the **Add** button.

→ Select the appropriate type of document in the list, e.g. **Amendments**.

The option **Amendments** only appears if **Enclosed amendments** has been selected in the **Proceedings** sub-tab.

There are various different **translation** options depending on the data entered in the **Request** tab on the role of the EPO (designated or elected office) and on the language of the international application.

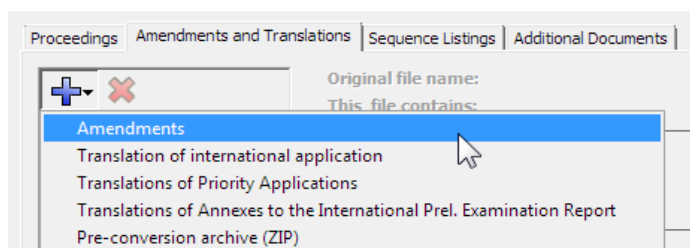


Figure 214: Selecting document category for amendments and translations

→ Navigate to the PDF file location.

→ Select the file and click **Open** to attach it.

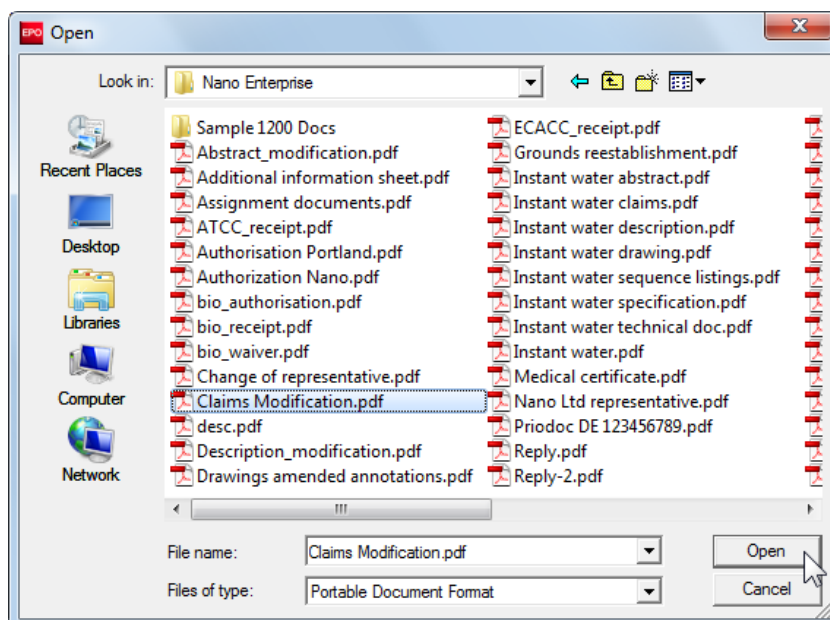


Figure 215: Find and open a PDF file

- Select the check box for the component you added to the amended document, e.g. **Amended claims**.
The file is renamed **AMSPECEPO-1.pdf**. The original file name is displayed for reference. The number of pages is supplied automatically.
- Repeat the process to attach additional documents, e.g. the translation of the priority application.

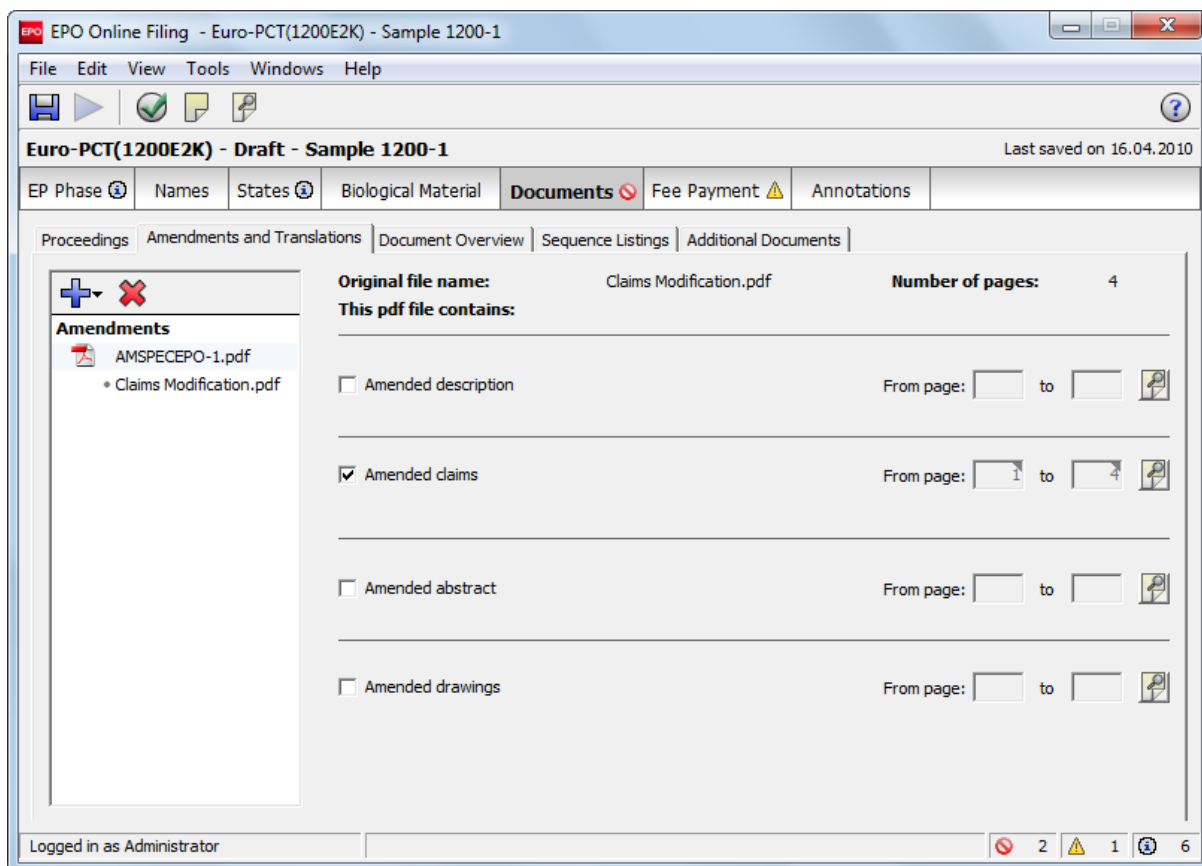


Figure 216: Attaching amended claims

Proceed as follows to attach a PDF file containing multiple components of the international application's translation:

- Click the **Add** button and select **Translation of international application**.
- Attach the PDF file.
The file is renamed **SPECTRANEPO-1.pdf**.
- Select the check boxes one at a time for the components contained in the file and enter the appropriate page numbers.

EPO Online Filing - Euro-PCT(1200E2K) - Sample 1200-1

File Edit View Tools Windows Help

Euro-PCT(1200E2K) - Draft - Sample 1200-1 Last saved on 16.04.2010

EP Phase Names States Biological Material **Documents** Fee Payment Annotations

Proceedings Amendments and Translations Document Overview Sequence Listings Additional Documents

Original file name: Translation intern...l application.pdf **Number of Pages:** 10

This pdf file contains:

- ☒ Translation of the description as originally filed From page: 1 to 5
- ☒ Translation of the claims as originally filed From page: 6 to 8
- ☒ Translation of abstract as published From page: 9 to 10
- ☐ Translation of any text in the drawings as originally filed From page: to

Logged in as Administrator 3 1 5

Figure 217: Amended abstract and translations attached

7.5.2 Document Overview

Enter the number of pages the individual documents contain in the **Document Overview** tab. If you make reference to already-published parts of the international application, but do not attach them, please make sure that the location and number of pages are also entered for these documents.

This information is needed for the purpose of calculating the correct fee because the EPO charges an extra fee for each page from the 36th onwards.

The **Document Overview** tab is organised into four sub-tabs:

1. Overview
2. Description
3. Claims
4. Drawings

The document part options in the various tabs differ depending on the role you selected for the EPO (designated or elected office) and the language of the international application; see **Entry into the European phase** (p. 167).

Overview

In the beginning, a red validation icon appears in the **Documents** tab if there are no amendments or translations attached. The validation messages indicate that information on the relevant documents is mandatory in the **Description** and **Claims** tabs.

Irrespective of the other data, the software calculates a single page by default as the minimum page count.

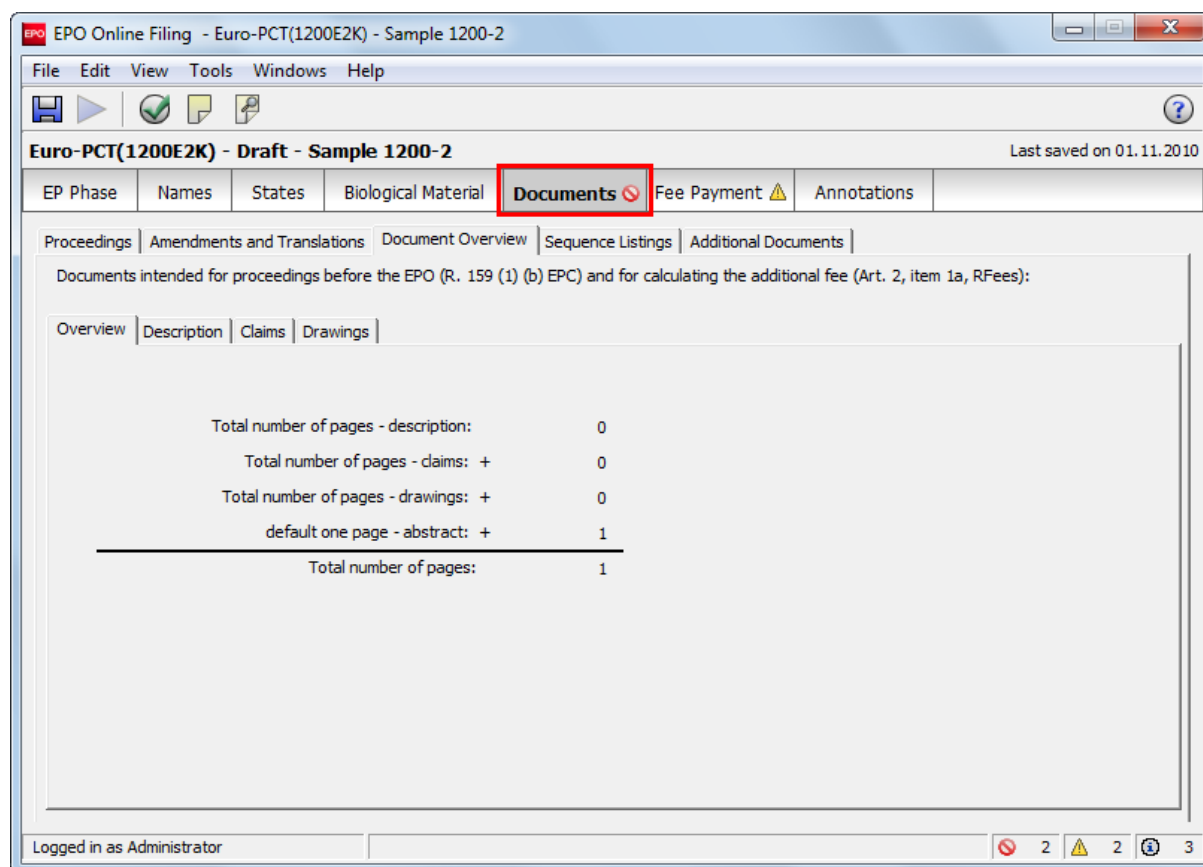


Figure 218: Overview of documents' pages, one page calculated by default

Description

In this example, you have made reference to an already-published description.

→ Select the check box **International application as published**.

→ Enter the **number of pages**.

The software automatically calculates the **total number of pages - description**.

Euro-PCT(1200E2K) - Draft - Sample 1200-2 Last saved on 01.11.2010

EP Phase Names States Biological Material **Documents** Fee Payment Annotations

Proceedings Amendments and Translations **Document Overview** Sequence Listings Additional Documents

Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):

Overview **Description** Claims Drawings

The description on entry into the European phase comprises the following parts:

Part	Pages from...to...	Number of pages
☒ International application as published	1-10	10
☐ Translation of international application as published		
☐ Art. 34 PCT amendments		
☐ Amendments on entry into the European phase		
Total number of pages - description:		10

Logged in as Administrator

Figure 219: Information on the description

Claims

The EPO needs the number of patent claims for the purpose of calculating the correct fee. Please include all claims from both the international application and subsequent amendments.

In this example, you attached a file with amended patent claims in the **Amendments and Translations** tab.

- Enter the **number of claims on entry into the European phase**.
- Select the check box **Amendments on entry into the European phase** and specify the **Pages from... to...**
- Enter the **number of pages**.

The software automatically calculates the **total number of pages - claims**.

EPO Online Filing - Euro-PCT(1200E2K) - Sample 1200-2

File Edit View Tools Windows Help

Euro-PCT(1200E2K) - Draft - Sample 1200-2 Last saved on 01.11.2010

EP Phase Names States Biological Material **Documents** Fee Payment Annotations

Proceedings Amendments and Translations Document Overview Sequence Listings Additional Documents

Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):

Overview Description **Claims** Drawings

Number of claims on entry into the European phase: 18

The set of claims on entry into the European phase comprises the following parts:

Part	Pages from...to...	Number of pages
☐ International application as published		
☐ Translation of international application as published		
☐ Art. 19 PCT amendments		
☐ Art. 34 PCT amendments		
☒ Amendments on entry into the European phase	11-14	4
Total number of pages - claims:		4

Logged in as Administrator

Figure 220: Information on the claims

Drawings

In this example, you make reference to the drawings in the international application.

- ➔ Select the check box **International application as published**.
- ➔ Use the **Pages from ... to ...** field to specify the location of the drawings in the international application.
- ➔ Enter the **number of pages**.

EPO Online Filing - Euro-PCT(1200E2K) - Sample 1200-2

File Edit View Tools Windows Help

Euro-PCT(1200E2K) - Draft - Sample 1200-2 Last saved on 01.11.2010

EP Phase Names States Biological Material **Documents** Fee Payment Annotations

Proceedings Amendments and Translations Document Overview Sequence Listings Additional Documents

Documents intended for proceedings before the EPO (R. 159 (1) (b) EPC) and for calculating the additional fee (Art. 2, item 1a, RFees):

Overview Description Claims **Drawings**

The drawings on entry into the European phase comprises the following parts:

Part	Pages from...to...	Number of pages
☒ International application as published	21-25	5
☐ Translation of international application as published		
☐ Art. 34 PCT amendments		
☐ Amendments on entry into the European phase		
Total number of pages - drawings:		5

Logged in as Administrator

Figure 221: Information on drawings in the international application

Total number of pages

- Finally, go to the **Overview** tab and check if all relevant documents are entered with the correct number of pages.

In this example, the total number of pages to be examined is **20**.

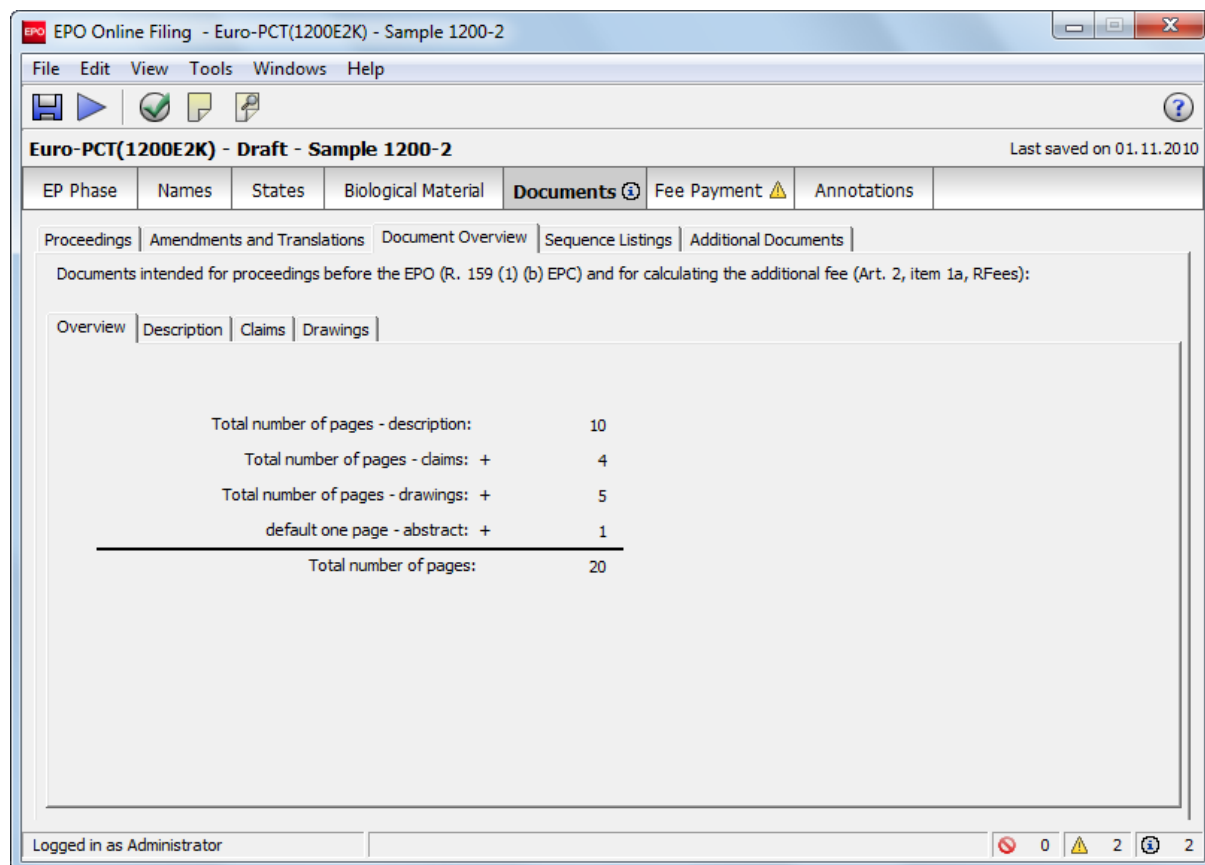


Figure 222: Calculation of the total number of pages in the Document Overview tab

7.5.3 Sequence listings

The **Sequence Listings** tab lets you specify whether or not the international application contains nucleotide and/or amino acid sequences. If a computer-readable sequence listing file has not yet been submitted to the EPO, please attach the relevant electronic sequence listing here also.

Sequence listings must always be submitted in computer-readable format in accordance with WIPO Standard ST.25. If the sequence listing is not available in computer-readable format, you can submit it to the EPO first in PDF format and subsequently in TXT format, together with an additional fee.

Computer-readable sequence listings can be attached in the following TXT formats:

- ◆ Nucleotide and Amino Acid Sequence Listing (.APP or .SEQ)
- ◆ ASCII Text (.TXT)
- ◆ Archive File Format (.ZIP)

→ In the **Documents** tab, click the **Sequence Listings** sub-tab.

→ Select the check box for **The international application discloses nucleotide and/or amino acid sequences**.

This activates the associated group of tab options for editing.

Reference to an existing sequence listing

The default setting is **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 it is otherwise available to the EPO, in computer-readable format in accordance with WIPO-ST.25.**

→ If this is selected, there is no need to submit a sequence listing.

The options for attaching files are therefore deactivated.

No error or warning validation icon is on display in the **Documents** tab.

The screenshot shows the EPO Online Filing interface for 'Euro-PCT(1200E2K) - Sample 1200'. The 'Documents' tab is active, and the 'Sequence Listings' sub-tab is selected. A red box highlights the 'The international application discloses nucleotide and/or amino acid sequences' checkbox, which is checked. Below it, the radio button for '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 it is otherwise available to the EPO, in computer-readable format in accordance with WIPO ST.25.' is selected. The options for attaching files (In computer-readable format and In PDF format) are deactivated. The 'Declaration' section at the bottom shows the checkbox for 'The sequence listing does not include matter that goes beyond the content of the application as filed.' is unchecked.

Figure 223: Reference to the sequence listing already submitted in computer-readable format

Attaching a sequence listing

- Select the check box ***The sequence listing is attached.***

This activates the other options for editing.

A red validation icon shows in the Documents tab because, in this case, attaching a document is mandatory.

EP Phase Names States Biological Material **Documents** Fee Payment Annotations

Proceedings | Amendments and Translations | Document Overview | Sequence Listings | Additional Documents

☒ The international application discloses nucleotide and/or amino acid sequences.

☐ 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.

☒ **The sequence listing is attached:**

☐ In computer-readable format in accordance with WIPO Standard ST.25

WIPO ST.25 file: No file selected

☐ In PDF format

PDF file: No file selected

Declaration

☐ The sequence listing does not include matter that goes beyond the content of the application as filed.

Figure 224: Option for attaching a sequence listing selected

Sequence listings in computer-readable format

- Select the check box ***In computer-readable format in accordance with WIPO Standard ST.25.***

This deactivates the ***In PDF format*** check box.

- Click the **Choose file...** button.

- Select the appropriate file type:

- Nucleotide and Amino Acid Sequence Listing (.APP or .SEQ)
- ASCII Text (.TXT)
- Archive File Format (.ZIP)

- Navigate to the required file and attach it.

Depending on the format selected, the file is renamed **SEQLTEXT.app**, **SEQLTEXT.seq**, **SEQLTEXT.txt** or **SEQLTEXT.zip**.

The caption on the button changes to **Detach file**.

EP Phase Names States Biological Material **Documents** Fee Payment Annotations

Proceedings | Amendments and Translations | Document Overview | Sequence Listings | Additional Documents

☒ The international application discloses nucleotide and/or amino acid sequences.

☐ 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.

☒ The sequence listing is attached:

☒ **In computer-readable format in accordance with WIPO Standard ST.25**

WIPO ST.25 file: **SEQLTEXT.app**

☐ In PDF format

PDF file: No file selected

Figure 225: Sequence listings in computer-readable format attached

Sequence listings in PDF format

- Select the **In PDF format** check box.

This deactivates the **In computer-readable format in accordance with WIPO-Standard ST.25** check box.

- Click the **Choose file...** button.

- Navigate to the required file and attach it.

The file is renamed to **SEQLTXT.pdf**.

The caption on the button changes to **Detach file**.

The screenshot shows the 'Documents' tab in the EPO Online Filing interface. The 'In PDF format' checkbox is selected and highlighted with a red box. The 'WIPO ST.25 file' section shows a 'Choose file...' button and 'No file selected'. The 'PDF file' section shows a 'Detach file' button and a file named 'SEQLPDF.pdf' highlighted with a red box.

Figure 226: Sequence listing in PDF format attached

The warning (yellow validation icon) indicates that the sequence listing has to be filed later in computer-readable format and an additional fee has to be paid to the EPO.

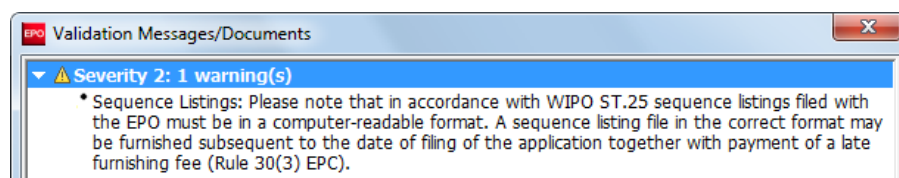


Figure 227: Warning following the attachment of a sequence listing in PDF format

Changing the sequence listing format

If you attach a PDF document and then decide to replace it with a computer-readable file (or vice versa), proceed as follows:

- First, clear the check box beside the currently selected format.
This detaches the current file; both options are now available for selection.
- Select the required file format option and attach the relevant file.

Declarations

- If the sequence listing you attached is identical to the listing from the international application, select the check box **The sequence listing does not include matter that goes beyond the content of the application as filed**.

7.5.4 Additional documents

In the **Additional Documents** tab, attach all other documents that you want to submit to the EPO:

- ◆ Authorisations
- ◆ Other documents
- ◆ Reply to written opinion
- ◆ Search results required under Rule 141(1) EPC
- ◆ Handwritten amendments

Authorisations

- Click the **Add** button.



- Select **Other document**.
- Navigate to the required PDF file and select it.
- Click **Open** to attach the file.
- In the **Document Type** list select **General Authorisation** or **Specific Authorisation**.
The document is renamed **GENAUTH-1.pdf** and **SPECAUTH-1.pdf**, respectively.

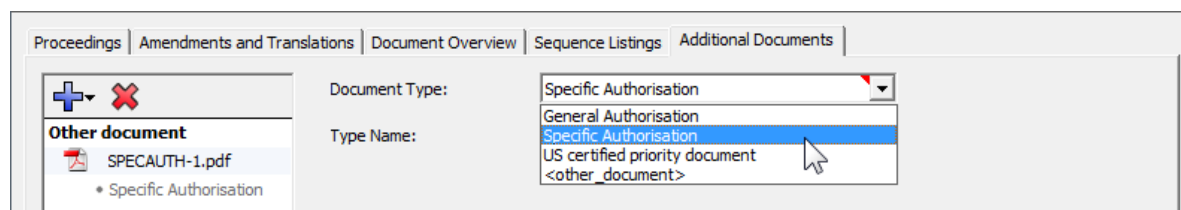


Figure 228: Attaching specific authorisation document

Other documents

- Click the **Add** button and select **Other document** to attach another document.
- Navigate to the required PDF file and attach it.
- Select the document type **<other_document>** from the list.
- The file is renamed **OTHER-1.pdf**.
- Enter a description of the document in the **Type Name** field, e.g. **Assignment documents**.

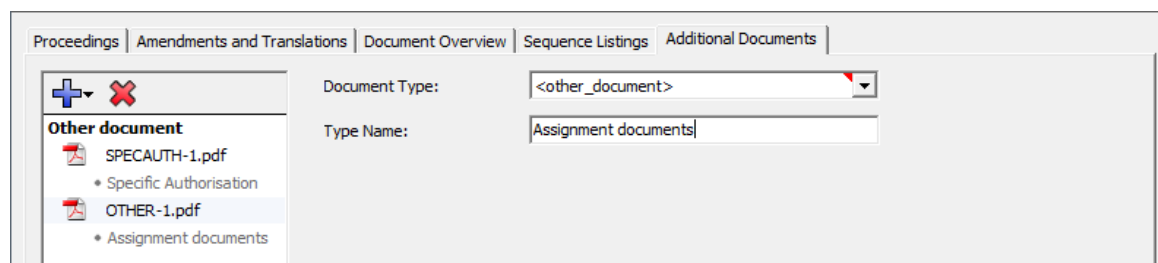


Figure 229: Attaching a document for the change of representative as <other_document>

Replies

Provided it was chosen to act as the IPEA in the EP phase, the EPO considers all amendments filed as a substantive reply to the written opinion on the international preliminary examination report (IPER).

If the EPO was chosen as the designated office upon entry into the EP phase, the amendments filed under Article 19 PCT are considered a substantive reply to the written opinion of the International Searching Authority (ISA).

If you have drafted your own written reply, you can attach it as an additional document.

- Click the **Add** button.



- Select **Reply to written opinion/IPER**.
- Navigate to the required file and select it.
- Click **Open** to attach the file.

The file is renamed **REPLYWO-1.pdf**.

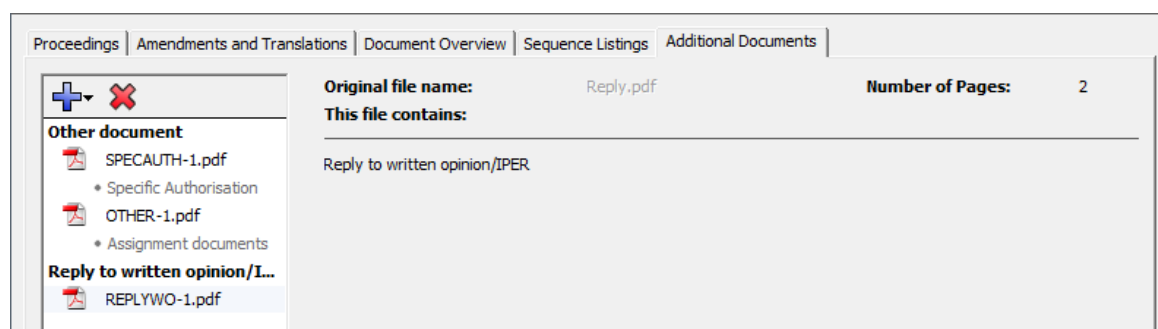


Figure 230: The reply to the written opinion on the international preliminary examination report (IPER) is attached

Search results

Under Rule 141(1) EPC, amended with effect from 1 January 2011, applicants claiming a priority must on entry into the European phase file a copy of the search results drawn up by the office of first filing if these results are not already available to the EPO.

- Click the **Add** button.



- Select **Search results required under Rule 141(1) EPC**.
- Navigate to the required file and select it.
- Click **Open** to attach the file.

The file is renamed to **PRSR-1.pdf**.

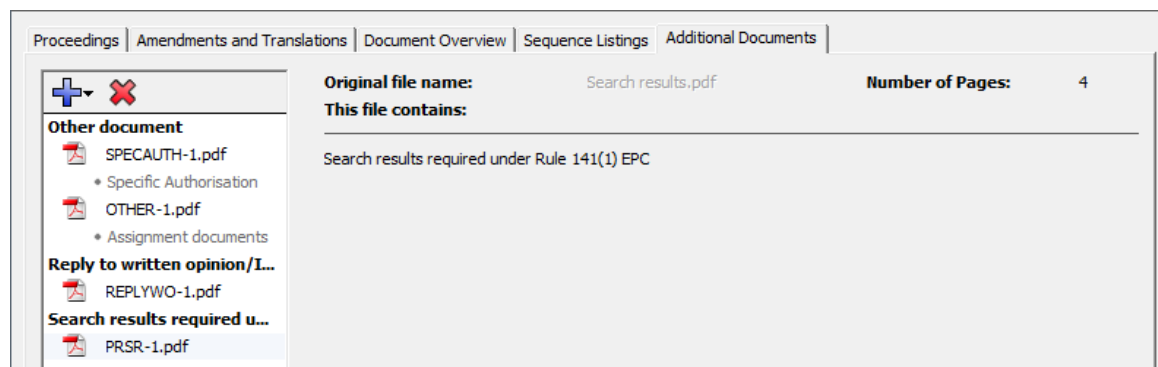


Figure 231: Adding search results from the office of first filing

Handwritten amendments

Since 1 June 2011 you can also file documents with subsequent annotations, highlighted annotations/amendments and handwritten amendments to amended technical documents as the document type **Handwritten amendments**:

- ◆ Amended claims with annotations
- ◆ Amended description with annotations
- ◆ Amended drawings with annotations

→ Click the **Add** button.



→ Select **Handwritten amendments**.

→ Navigate to the required file and select it, e.g. the amended claims with annotations.

→ Click **Open** to attach the file.

→ Select the document type **Amended claims with annotations** from the list.

The file is renamed **CLMS-HWA.pdf**.

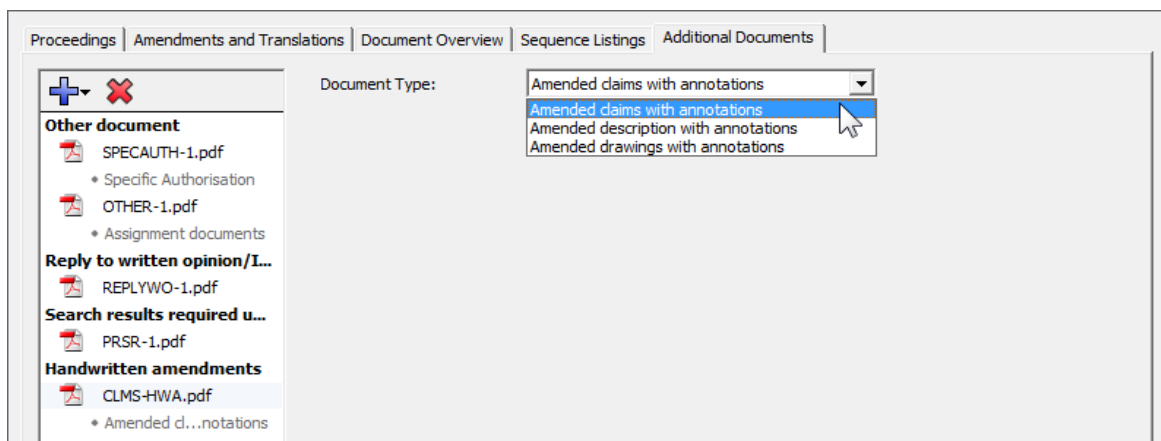


Figure 232: Document with handwritten amendments attached

7.5.5 Pre-conversion archive

Should you wish to add your original documents to the submission, you can make use of the **pre-conversion archive** functionality. This option allows you to add your original documents, before PDF conversion, in a compressed ZIP format. This may be helpful if you feel that the EPO should also have access to your original files in case conversion errors occur. These documents will not be publicly available nor will they be an integral part of the visible internal procedural file, but they can be accessed for reference, e.g. in case of quality issues.

Attaching pre-conversion archive

- In the **Documents** tab under the **Amendments and Translations** sub-tab, click the **Add** button.



- Select the option **Pre-conversion archive**.
- Navigate to your ZIP file and select it.
- Click **Open** to attach the file.

The file is renamed **OLF-ARCHIVE.zip**.

The names of the original files from the attached pre-conversion archive are listed on the right.

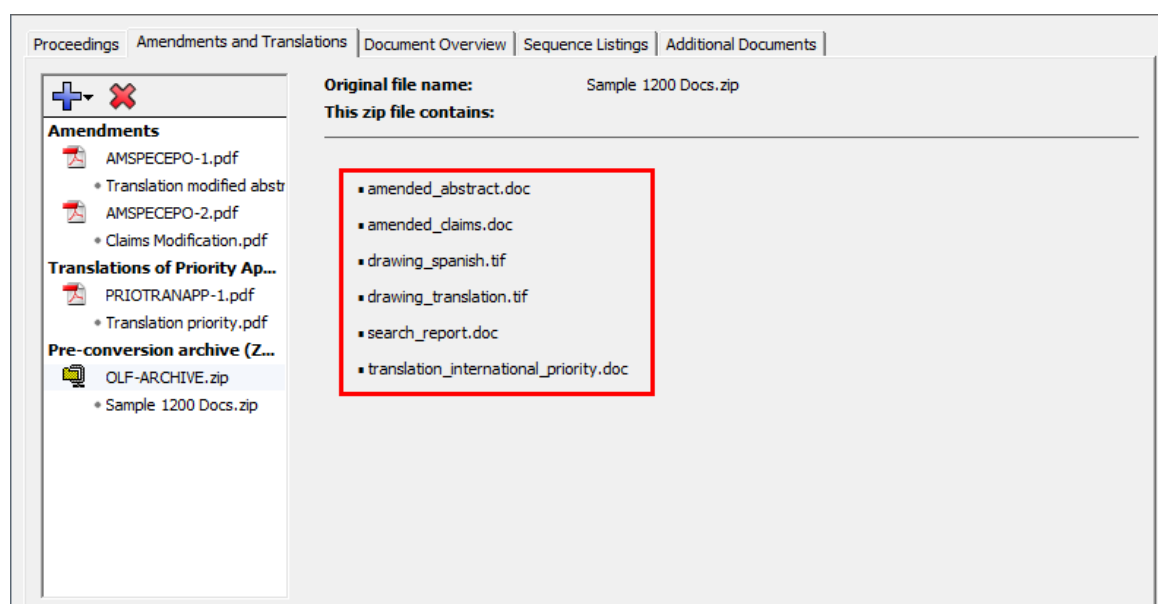


Figure 233: Pre-conversion archive containing original documents attached

7.5.6 Previewing attached documents

You can view the list of all attached documents in the form view.

→ Click the **Preview** button in the toolbar.



The application is displayed in the **PDF Viewer**. The enclosed documents are listed with their original file names in Section 12 of the form (**epf1200.pdf**).

All files are listed with their system names on the PDF Viewer's left pane.

→ Click on the name of a document in the list to the left to display it in the PDF Viewer.

PDF Viewer

AMSPECEPO-1.pdf
(Claims Modification.p
application-body.xml)
CLMS-HWA.pdf
(CLMS-HWA.pdf)
ep-euro-pct.xml
(ep-euro-pct.xml)
epf1200.pdf
(epf1200.pdf)
feesheetint.pdf
(feesheetint.pdf)
OTHER-1.pdf
(OTHER-1.pdf)
package-data.xml
(package-data.xml)
pkgheader.xml
(pkgheader.xml)
PRSR-1.pdf
(PRSR-1.pdf)
REPLYWO-1.pdf
(REPLYWO-1.pdf)
SPECATH-1.pdf
(SPECATH-1.pdf)
PRIOTRANAPP-1.pdf
(Translation priority.pdf)
SEQLTXT.app
(sequence_listings.app)
SPECTRANEPO-1.pdf
(Translation internation

international application is filed. However, the extension only takes effect if the prescribed extension fee is paid.
It is currently intended to pay the extension fee for the following states:
Note: Under the automatic debiting procedure, extension fees will only be debited for states indicated here, unless the EPO is instructed otherwise before expiry of the period for payment

12. List of enclosed documents

	Description of document	Original file name	Assigned file name
1	Combined Amendments	Claims Modification.pdf	AMSPECEPO-1.pdf
2	Combined Translations	Translation international application.pdf	SPECTRANEPO-1.pdf
3	Translation of the priority application(s)	Translation priority.pdf	PRIOTRANAPP-1.pdf
4	The sequence listing as part of the description is attached: In computer-readable format in accordance with WIPO Standard 26	sequence_listings.app	SEQLTXT.app
5	Reply to written opinion/IPER	Reply.pdf	REPLYWO-1.pdf
6	Search results required under Rule 141(1) EPC	Search results.pdf	PRSR-1.pdf
7	Specific Authorization	Authorization Nano.pdf	SPECATH-1.pdf
8	Amended claims with annotations	Translation claims.pdf	CLMS-HWA.pdf
9	Assignment documents	Assignment documents.pdf	OTHER-1.pdf

13. Mode of payment: Not specified ☐

14. Any refunds should be made to the following EPO deposit account: ☐

15. Fees

16. Annotations

17. Signature(s) of applicant(s) or representative

Sample 1200

Cancel

Figure 234: Attachments in the PDF viewer

The number of claims and information on documents intended for proceedings before the EPO are provided in section 6 of the PDF form. If a copy of the search results has been attached, this is indicated in section 6.3.

The various translations attached are listed in section 7.

PDF Viewer

AMSPECEPO-1.pdf
(Claims Modification.p
application-body.xml
(application-body.xml)
CLMS-HWA.pdf
(CLMS-HWA.pdf)
ep-euro-pct.xml
(ep-euro-pct.xml)
epf1200.pdf
(epf1200.pdf)
feesheetint.pdf
(feesheetint.pdf)
OTHER-1.pdf
(OTHER-1.pdf)
package-data.xml
(package-data.xml)
pkgheader.xml
(pkgheader.xml)
PRSR-1.pdf
(PRSR-1.pdf)
REPLYWO-1.pdf
(REPLYWO-1.pdf)
SPECAUTH-1.pdf
(SPECAUTH-1.pdf)
PRIOTRANAPP-1.pdf
(Translation priority.pdf
SEQLTXT.app
(sequence_listings.app
SPECTRANĒPO-1.pdf
(Translation internation

Number of additional sets of copies

6. Documents intended for proceedings before the EPO
Number of claims on entry into the European phase: **18**

6.1 Proceedings before the EPO as designated Office (PCT I) are to be based on the following documents:

the application documents published by the International Bureau (with all claims, description and drawings), where applicable with amended claims under Art. 19 PCT

unless replaced by the amendments attached.

Where necessary, clarifications should be attached as 'Other documents'

6.2 Proceedings before the EPO as elected Office (PCT II) are to be based on the following documents:

the documents on which the international preliminary examination report is based, including any annexes

unless replaced by the amendments attached.

Where necessary, clarifications should be attached as 'Other documents'

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.

6.3 A copy of the results of the search carried out by the authority with which the previous application(s) whose priority is claimed was (were) filed is attached (R. 141(1) EPC).

6.4 The applicant waives his right to the communication under Rules 161(1) or (2) and 162 EPC.

7. Translations
Translations in one of the official languages of the EPO (English, French, German) are attached as crossed below:

* In proceedings before the EPO as designated or elected Office (PCT I + II):

Translation of the international application (description, claims, any text in the drawings) as originally filed, of the abstract as published and of any indication under Rule 13bis.3 and 13bis.4 PCT regarding biological material

Translation of the priority application(s) (to be filed only at the EPO's request, Rule 53(3) EPC)

It is hereby declared that the international application as originally filed is a complete translation of the previous application (Rule 53(3) EPC)

* In addition, in proceedings before the EPO as designated Office (PCT I):

Translation of amended claims and any statement under Art. 19 PCT, if the claims as amended are to form the basis for the proceedings before the EPO (see Section 6).

* In addition, in proceedings before the EPO as elected Office (PCT II):

Translation of annexes to the international preliminary examination report

8. Biological material

210 x 297 mm

Cancel

Figure 235: Number of claims and information on the use of documents in the PDF preview of Form Euro-PCT(1200E)

7.6 Euro-PCT(1200E2K) Fee Payment

In the **Fee Payment** tab you can select the fees associated with your application and indicate how you wish to pay them. All fees must be paid in EUR.

The fees displayed in the **Fee Payment** tab reflect the fee schedules located in **File Manager > Tools > Fee Management**.

Make use of the **Live Update** function in Online Filing to ensure that your fee schedule is always up to date. You will find the most recent fee schedule on the EPO website at **Applying for a patent > Online services**, following the link **interactive schedule of fees** (<http://www.epoline.org/portal/portal/default/epoline.Scheduleoffees>).

Online fee payment

The EPO offers a quick and secure online fee payment service designed for holders of EPO deposit accounts. For more information, go to the EPO website and navigate to **Applying for a patent > Online services > Online fee payment** (<http://www.epo.org/applying/online-services/fee-payment.html>).

7.6.1 Payment details

In the **Payment details** sub-tab you can specify the mode of payment and provide details of the account number and account holder.

You have to select a mode of payment before you can pay any fees, even if you have selected one or more fees in the **Fee selection** tab.

- ◆ **Automatic debit order**

If you select this option the check boxes in the **Fee selection** sub-tab are automatically deactivated and the total amount of the fees is shown as EUR 0.00. The EPO will calculate the amount of the fees payable using the information you provided in your application and will debit this amount direct from your account. With this option you cannot select the fees yourself in the form.

- ◆ **Debit from deposit account**

If you choose this mode of payment, the relevant fees will be debited directly from your EPO deposit account. If you issue a debit order during normal working hours (08.00-18.00 hrs.), you can usually view it under **pending orders** within about 30 minutes. The actual deduction from your account will appear 5 to 6 days later.

- ◆ **Bank transfer**

Select a bank to which you will transfer the fees. The bank sort code and EPO account number will then appear.

- ◆ **Not specified**

If you are not sure how you will be paying your fees, you can indicate **Not specified**.

The grey validation icon in the **Fee Payment** tab indicates that the mode of payment is required, but may be specified later.

Debit from deposit account

- Select **Debit from deposit account** as **Mode of payment**.
- Enter the **deposit account number**.
EPO deposit account numbers are made up of eight digits, starting with **28**.
- Enter the name of the **account holder**.

The screenshot shows the EPO Online Filing window for 'Euro-PCT(1200E2K) - Draft - Sample 1200'. The 'Fee Payment' tab is selected, and the 'Payment Details' section is expanded. The 'Mode of payment' dropdown is set to 'Debit from deposit account', and the 'Currency' is 'EUR'. A text box for 'Deposit account number' contains '28123456', and the 'Account holder' text box contains 'Nano Enterprise'. A message states: 'The European Patent Office is hereby authorised, to debit from the following deposit account with the EPO any fees and costs indicated in the fee selection:'.

Figure 236: Payment details entered

! **Note:** You are not required to enter **28** as the leading digits of the deposit account number, since these are automatically supplied by the software. Just enter the six remaining digits. If the deposit account number is not entered correctly, e.g. you enter more than six digits, you will see a red validation icon in the **Fee Payment** tab. The corresponding warning tells you to verify the deposit account number. The same rule applies to the deposit account number for reimbursement.

Further options

Additional options are available in the **Fee Payment** tab below the account information.

- If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, tick the corresponding check box.
 ⓘ This option applies to all selected modes of payment. However, if you selected **automatic debit order** or **debit from deposit account**, you are only required to enter an account number here if that number is different from the account number used for payment.
- Enter the EPO deposit account number where applicable and supply the account holder's name.
- If you need **additional copies of the documents cited in the European search report**, tick the corresponding check box and enter the number of copies required.

This option is only available if the EPO was NOT selected as the International Searching Authority (ISA) in the **EP Phase** tab.

The validation message (yellow validation icon) informs you that the corresponding fee 055 should also be selected. You should therefore tick the check box for fee 055 in the **Fee selection** sub-tab (it is not ticked by default).

☒ Only required if different from above - Reimbursement, if any, to be made to deposit account with the EPO: 28203040

Account holder: Nano Enterprise Ltd.

☒ Additional copies of the documents cited in the supplementary European search report are requested. 3

Figure 237: Other options for fee payment in Form Euro-PCT(1200E2K)

7.6.2 Fee selection

Frequently paid fees are automatically selected and calculated by the software.

The number of claims for calculating the **claims fee for the 16th to the 50th claim (015)**, for example, and the total number used as the basis for calculating the **additional filing fee for the 36th and each subsequent page (520)** are provided in the **Document Overview** (p. 180) tab.

Other fees such as extension fees or the fee for additional copies of the search report (055) become applicable based on the selections you make in the form.

→ Select the check boxes for all fees to be paid.

The relevant quantity is already entered.

The fee amount is automatically calculated.

Payment Details | Fee selection

Show: Initial fees Code

	Fee C...	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☒	002	Fee for a European search - Applications filed on/after 01.07.2005	1 165,00	990 €	1	175,00
☒	005e	Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	555,00	----	1	555,00
☒	006	Examination fee - For applications filed on/after 01.07.2005	1 555,00	20%	1	1 244,00
☒	015	Claims fee for 16th up to 50th claim	225,00	----	0	0,00
☒	015e	Claims fee - For the 51st and each subsequent claim	555,00	----	0	0,00
☒	020	Filing fee - entry EP phase - online	115,00	----	1	115,00
☒	033	Renewal fee for the 3rd year	445,00	----	1	445,00
☒	055	Add. copy of docs cited in search report	40,00	----	2	80,00
☐	401	Extension fee for Slovenia (EPC contracting state as of 01.01.2003)	102,00	----	1	0,00

☐ Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2012

Total: (11 Fees) EUR 2 818,00

Figure 238: Selecting fees for payment

The validation messages indicate which fees are to be paid.

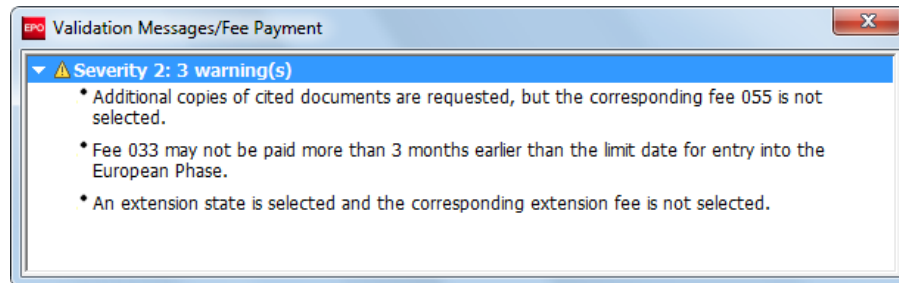


Figure 239: Validation messages with information on the fees to be paid

Filtering the fees displayed

You can filter the list of fees by selecting one of the options in the **Show** list:

- ◆ **All fees**
- ◆ **Initial fees:** Fees normally associated with a European patent application, e.g. filing, search and claims fees.
- ◆ **Selected fees only:** all fees selected for the current application.

Changing the fee quantity

The value in the **Quantity** column can only be edited for the following fees:

- ◆ 002 - Fee for (supplementary) European search for applications filed on/after 01.07.2005
- ◆ 002e - Fee for (supplementary) European search for applications filed before 01.07.2005
- ◆ 055 - Add. copy of docs cited in search report
- ◆ 121 - Fee for further processing (late performance as of acts R. 71(3))
- ◆ 122 - Fee for further processing (non fee related cases)
- ◆ 123 - Fee for further processing (late payment of a fee - 50%)
- ◆ 400 - Surcharge for extension fees
- ◆ 520 - Additional filing fee for the 36th and each subsequent page - entry into EP phase

Editing fee amounts

In the default setting you cannot edit the fee amounts in Form Euro-PCT(1200E2K). If however you wish to edit certain fee amounts you can select this option on an individual basis. If you do so, the EPO will no longer check the fees you have selected for this application and will invoice you for the total amount shown/debit the amount shown from your deposit account.

- Tick the **Edit fee amounts** check box.
This activates the **Amount EUR** and **Reduction** fields for editing.
- Select the fee you wish to edit.
- Click in the field to be edited, in our example **Reduction**.

→ Enter the new value.

Payment Details Fee selection

Show: Initial fees Code

	Fee C...	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☒	002	Fee for a European search - Applications filed on/after 01.07.2005	1 165,00	990 €	1	175,00
☒	005e	Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	555,00	none	1	555,00
☒	006	Examination fee - For applications filed on/after 01.07.2005	1 555,00	60	1	1 244,00
☒	015	Claims fee for 16th up to 50th claim	225,00	none	0	0,00
☒	015e	Claims fee - For the 51st and each subsequent claim	555,00	none	0	0,00
☒	020	Filing fee - entry EP phase - online	115,00	none	1	115,00
☒	033	Renewal fee for the 3rd year	445,00	none	1	445,00
☒	055	Add. copy of docs cited in search report	40,00	none	2	80,00
☐	401	Extension fee for Slovenia (EPC contracting state as of 01.04.2012)	102,00	none	1	0,00

☒ Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2012

Total: (11 Fees) EUR 2 818,00

Figure 240: Editing reduction for a fee after selecting the option to edit fee amounts

→ Click anywhere in the form.

The value in the **Amount to pay EUR** column and the total amount of the fees will be automatically recalculated.

Payment Details Fee selection

Show: Initial fees Code

	Fee C...	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☒	002	Fee for a European search - Applications filed on/after 01.07.2005	1 165,00	990 €	1	175,00
☒	005e	Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	555,00	none	1	555,00
☒	006	Examination fee - For applications filed on/after 01.07.2005	1 555,00	60%	1	622,00
☒	015	Claims fee for 16th up to 50th claim	225,00	none	0	0,00
☒	015e	Claims fee - For the 51st and each subsequent claim	555,00	none	0	0,00
☒	020	Filing fee - entry EP phase - online	115,00	none	1	115,00
☒	033	Renewal fee for the 3rd year	445,00	none	1	445,00
☒	055	Add. copy of docs cited in search report	40,00	none	2	80,00
☐	401	Extension fee for Slovenia (EPC contracting state as of 01.04.2012)	102,00	none	1	0,00

☒ Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2012

Total: (11 Fees) EUR 2 196,00

Figure 241: Amount to pay and total amount of the fees updated after editing

If you want to undo changes to the fee amounts, you can restore the values from the fee table in Online Filing.

→ Clear the **Edit fee amounts** check box.

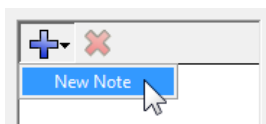
The original values for all fees are restored in the form.

7.7 Euro-PCT(1200E2K) Annotations

In the **Annotations** tab you can enter notes to be transmitted to the EPO.

Creating notes for the EPO

→ Click the **Add** button and select **New Note**.



→ Enter the relevant information in the **Author**, **Subject** and **Note** fields.

Figure 242: Adding a new note for the EPO

❗ To add notes that are NOT intended for the EPO, please use the **Internal notes** (p. 42) function.

7.8 Subsequent filing with Euro-PCT(1200E2K)

You can use an application already sent with the PCT/RO/101 form to create a new application with the Euro-PCT(1200E2K) form for entry into the regional phase.

- Open File Manager and select the folder where the sent application is saved.
- Click the **Sent** status button.
- Select the required application - the PCT application number is displayed in the **App.number** column.
- Right-click to select the option **Reuse data for a subsequent filing**.

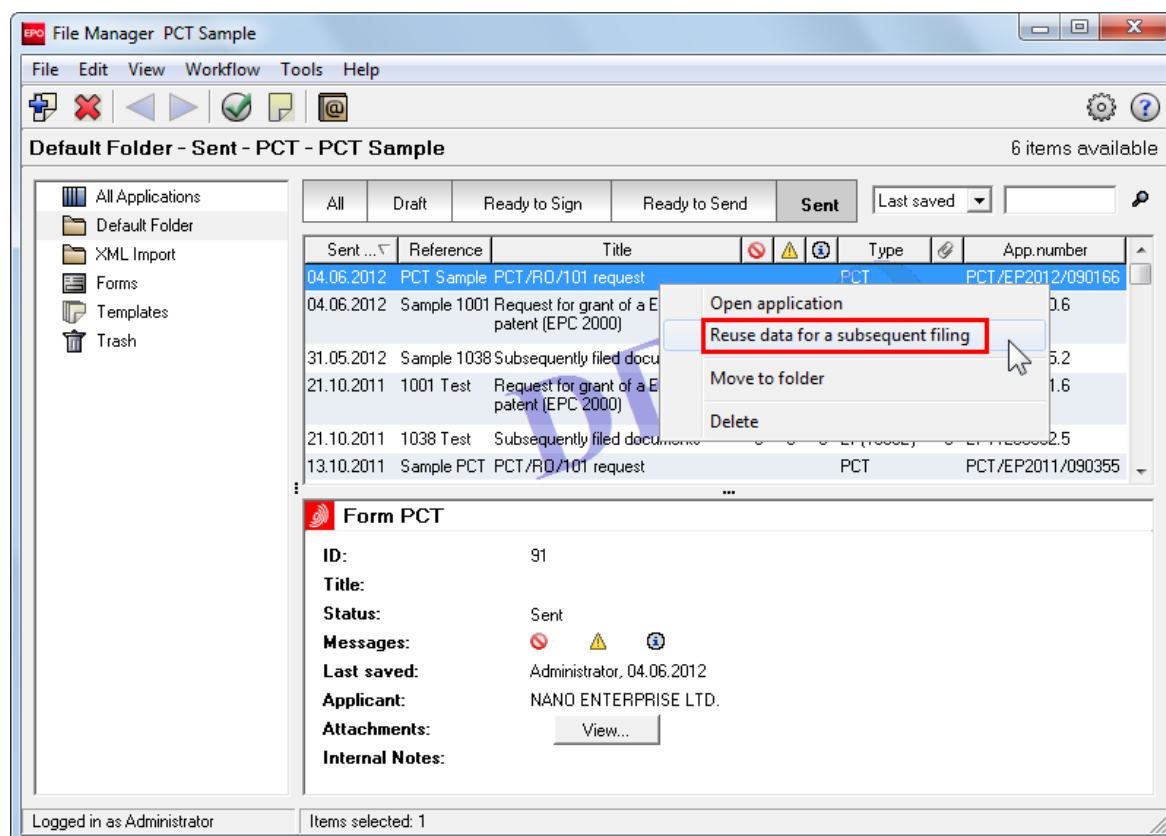


Figure 243: Creating a new application for entry into the European phase (Euro-PCT(1200E2K) form) using a PCT application already sent

The **Create a New Application** window opens. Enter a new user reference of your choice or use the existing one. The Euro-PCT(1200E2K) form then opens with the following data from the PCT application previously sent:

- ♦ PCT application number and international application date
- ♦ Designated office and international searching authority (ISA)
- ♦ Name of the first applicant
- ♦ Name of the first representative

Make your amendments or enter new data and save the application. Once the application has been successfully sent, it appears in File Manager with the same PCT application number.

8 EP(1038E)

Form **EP(1038E)** has many more uses than just submitting documents filed subsequently in the European patent procedure:

- ◆ All subsequently filed documents should be submitted using Form EP(1038E), except within the opposition procedure, when they should be submitted with Form **EP(Oppo)** (p. 225).
- ◆ Form EP(1038) should be used to submit an appeal and/or documents filed subsequently in appeal proceedings. Please note that these filings may only be signed using a smart card issued to a person authorised in the appeal proceedings.
- ◆ At present, the online filing option is not available for priority documents, with the exception of US certified priority documents.
- ◆ Non-public documents can also be filed with this form. Please note that non-public documents may not be filed at the same time as any other documents, i.e. public documents, or when paying a fee other than fee code 025, 026, 027, 029 or 080.
- ◆ You can also use Form EP(1038E) exclusively to pay a fee.
- ◆ If you want to file documents subsequently for an application already sent using the EP(1001E2K) procedure in Online Filing, you can transfer this data directly; see **Subsequent filing with EP(1038E)** (p. 224).

Data input in Form EP(1038E)

Form EP(1038E) is organised into five sections represented by five **tabs** in the **navigation bar**.

It is recommended to decide on the general type of the submission first, i.e. public or non-public, and then proceed with attaching corresponding documents and selecting fees.

Tab	What you can do
Application No	Enter the EP application number to which this subsequently filed data belongs.
Names	Enter details on applicant or representative.
Documents	Attach the subsequently filed documents.
Fee Payment	Enter the payment method, select a fee schedule and select fees.
Annotations	Supply additional information for the EPO.

Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. This field must either be filled manually or you must select one of the options provided. If mandatory fields are not completed, the corresponding tab will show a red validation icon. Consult the validation messages for more information.

The screenshot shows the navigation bar with five tabs: 'Application No', 'Names', 'Documents', 'Fee Payment', and 'Annotations'. Each tab has a small red circle with a white 'x' icon in its top right corner, indicating a validation error. Below the navigation bar, the 'Fee Payment' tab is active, showing a text input field for 'Deposit account number:'. The field contains the number '28' and has a red triangle icon in its top right corner, indicating it is a mandatory field.

Figure 244: The Deposit account number is a mandatory field in the Fee Payment tab and is marked with a red triangle

Elements in Form EP(1038E)

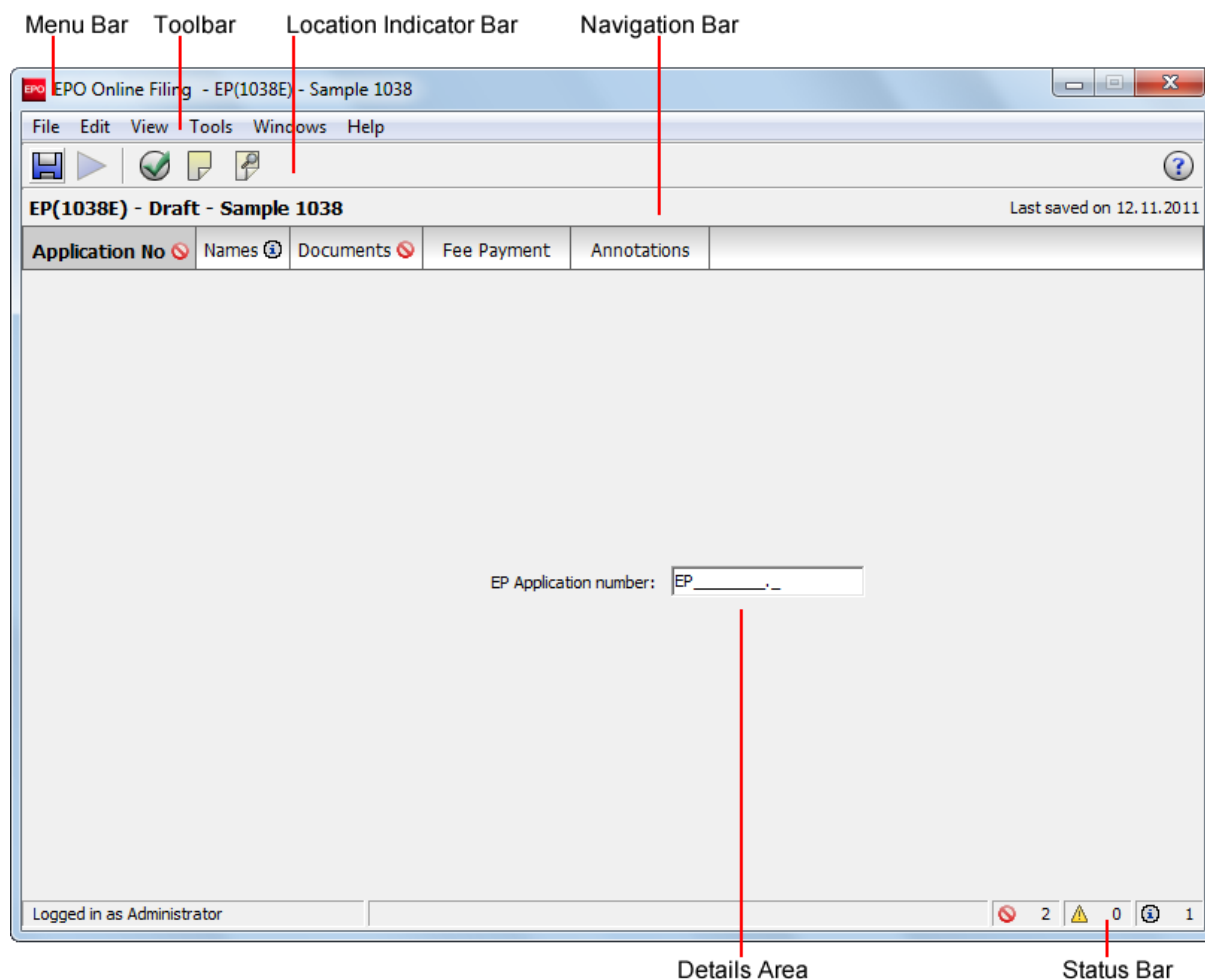


Figure 245: Form EP(1038E) - Overview

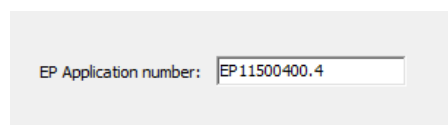
Form element	Comments
Menu Bar	Provides all options to edit, save, import and export applications, set the display and change the status, as well as other tools.
Toolbar	Provides shortcuts to the most frequently used tasks and tools.
Location Indicator Bar	Shows the selected procedure, the current status and the user reference for an application.
Navigation Bar	Displays tabs corresponding to the sections of the form. These tabs can contain sub-tabs, which are a sub-division of the main tab sections within the form.
Details Area	Displays data entry fields appropriate to the selected tab.
Status Bar	Displays information about the current activity. Shows the total number of validation messages for the open application on the right.

8.1 EP(1038E) Application Number

The **Application No** tab of EP(1038E) is where you enter the EP application number.

The red validation icon in the tab indicates that this information is mandatory.

→ Enter your **EP application number** in the field provided.



EP Application number:

Figure 246: Sample EP application number

An EP application number is made up of 8 digits and 1 check digit. A check digit contains an algorithm that verifies the other numbers entered and prevents you from entering invalid application numbers.

Once a correct application number has been entered, the validation icon in the tab will disappear.

8.2 EP(1038E) Names

The **Names** tab of EP(1038E) is where you add details for an applicant or a representative. The grey validation icon indicates that it is recommended that you enter at least one name for correspondence.

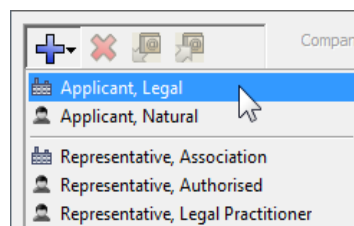
❗ Form EP(1038E) only allows you to enter one single name.

Adding a name

→ In the **Names** tab, click the **Add** button.



→ Select a role from the list, e.g. **Applicant, Legal**.



Company

- Applicant, Legal
- Applicant, Natural
- Representative, Association
- Representative, Authorised
- Representative, Legal Practitioner

Figure 247: Adding a name

① Once a role has been selected, the **Add** button becomes unavailable, as only one name may appear on the form.

- Enter name and address or copy an entry from the Address Book.
- If applicable, select the option **[Company] is represented by the following employee acting pursuant to Art. 133(3) EPC** and enter details for the applicant's employee.

① Note: The name of this employee will be automatically entered into the **Sign Application** dialogue and cannot be modified. Only an employee who is authorised by the applicant under Article 133 EPC is entitled to sign an application.

Figure 248: Applicant's details filled in

Removing names from the application

- Select the name to be removed on the left-hand side of the form.
- Click the **Delete** button.



8.3 EP(1038E) Documents

The **Documents** tab of EP(1038E) is where you attach documents subsequent to your original filing. Please find a list of all document types currently allowed for filing with EP(1038E) in section **Document types for EP(1038E) by category** (p. 210).

Initially there is a red validation icon on the **Documents** tab. However, if you select an option in the **Fee Payment** tab, the validation icon for the **Documents** tab disappears, since in this case no document is necessary.

① EP(1038E) may NOT be used for the PCT patent grant procedure.

Attaching documents

→ In the **Documents** tab of EP(1038E), click the **Add** button.



→ Navigate to the storage location of your file.

① Note this special case: If you want to attach a sequence listing file, change the option in the **files of type** drop-down list from **Portable Document Format** (default) to **ASCII Text** (for a sequence listing in TXT format) or **Nucleotide and Amino Acid Sequence Listing** (for a sequence listing in APP or SEQ format).

→ Select the file and click **Open**.

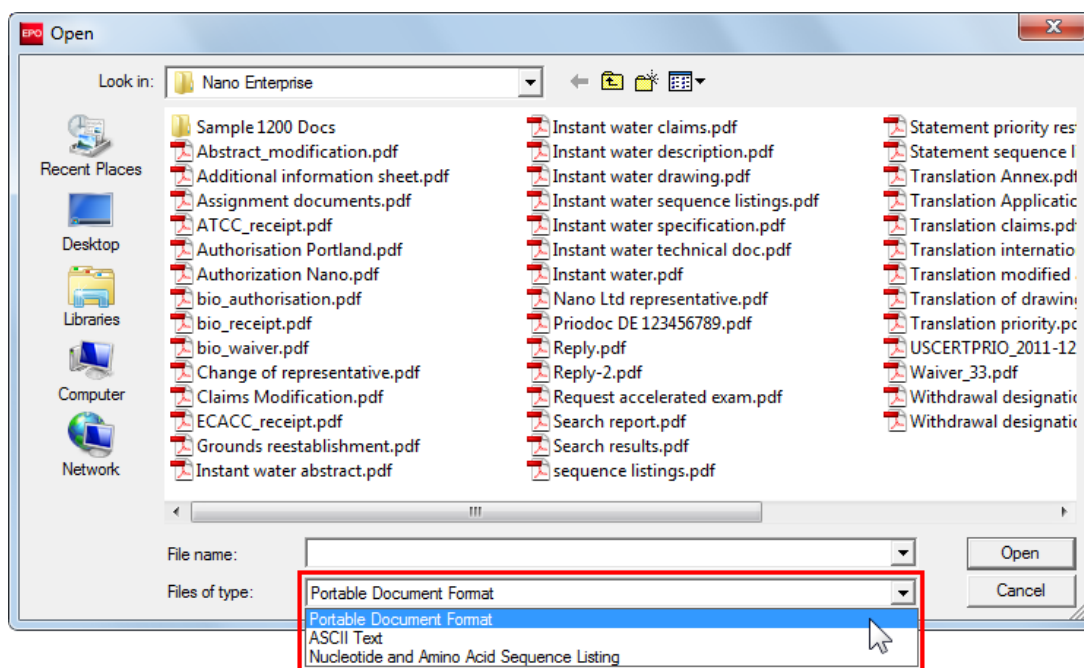


Figure 249: Selecting document for attachment

The file is attached to the application under its original file name.

→ Select the appropriate document category from the **Category** drop-down list.

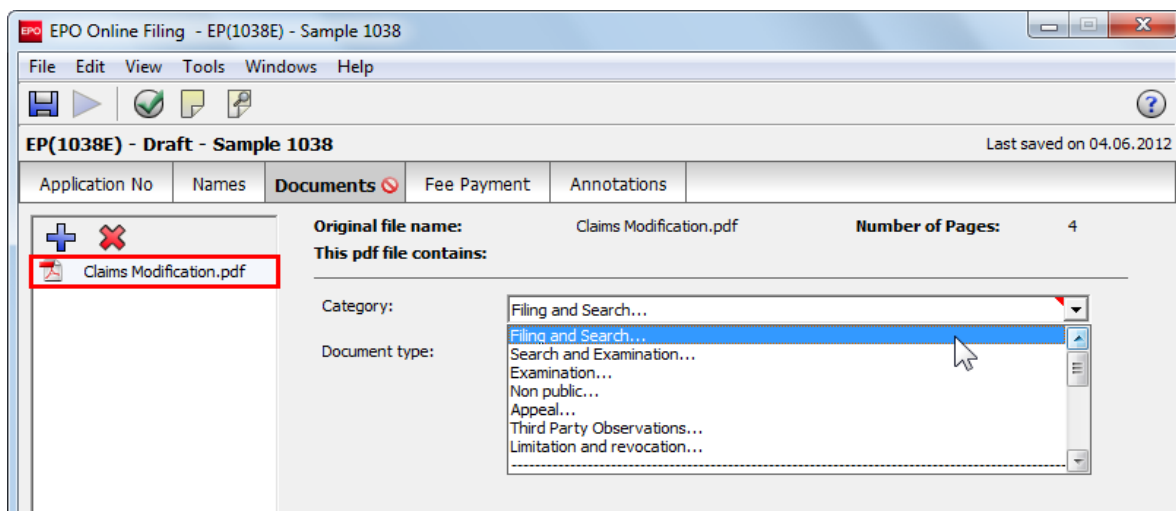


Figure 250: Selecting category for attached document

→ Select the appropriate document from the **Document type** drop-down list.

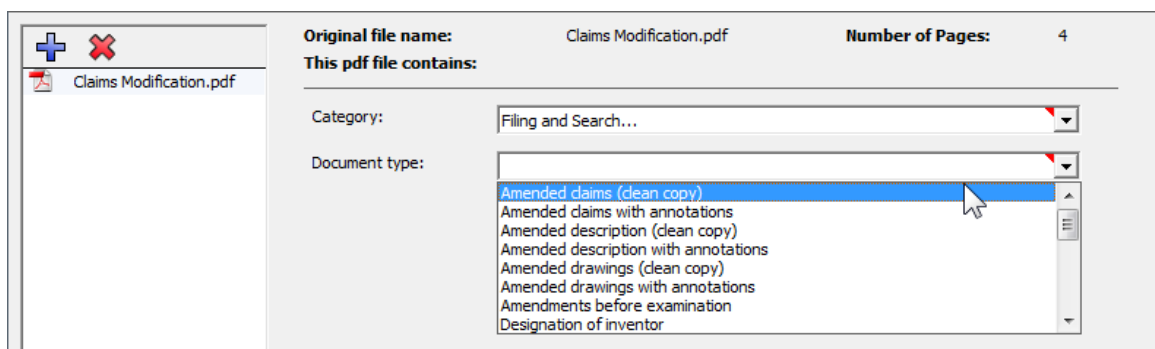


Figure 251: Selecting document type from the selected category

The file is renamed to the Online Filing default file name.

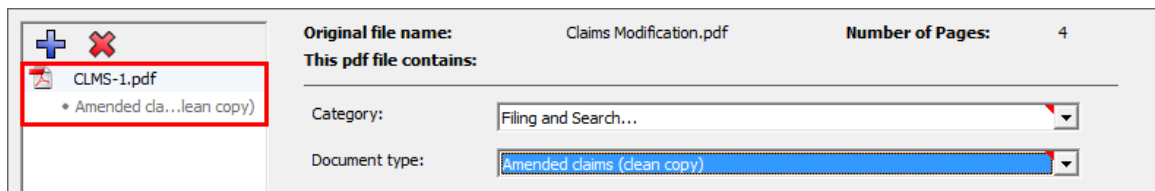
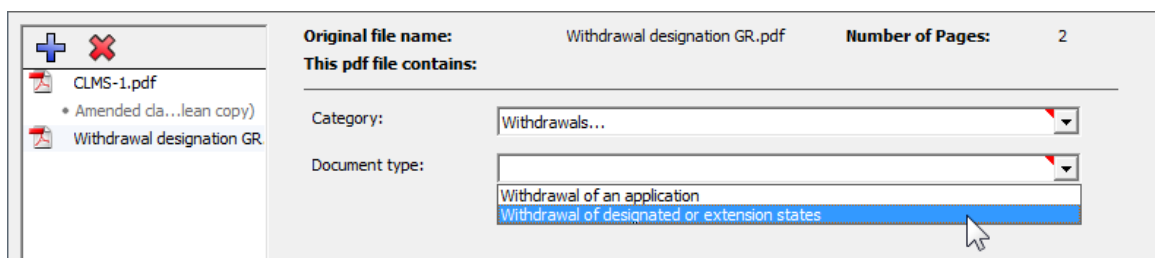


Figure 252: The attached document is renamed to the default OLF file name

Example 1 - Designation of contracting states is withdrawn

- Click the **Add** button.
- Navigate to your file and attach it.
- Select the **Withdrawals** category.
- In the **Document type** list, select the option **Withdrawal of designated or extension states**.



Original file name: Withdrawal designation GR.pdf Number of Pages: 2

This pdf file contains:

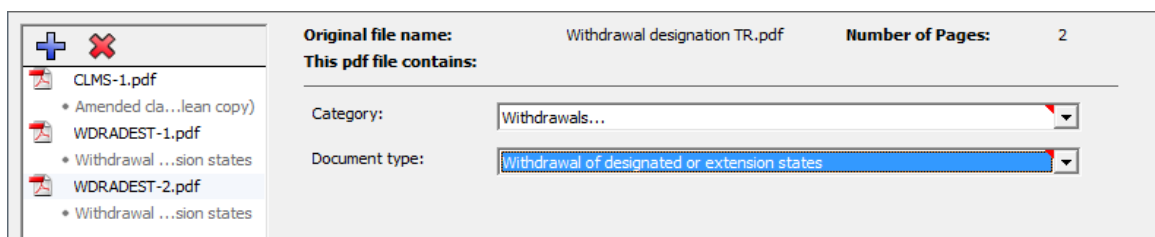
Category: Withdrawals...

Document type: Withdrawal of designated or extension states

Figure 253: Request for withdrawal of designated or extension states

The document is renamed **WDRADEST-1.pdf**. The **original file name** is displayed for reference.

- Repeat the process for additional documents if you want to withdraw multiple designated states.



Original file name: Withdrawal designation TR.pdf Number of Pages: 2

This pdf file contains:

Category: Withdrawals...

Document type: Withdrawal of designated or extension states

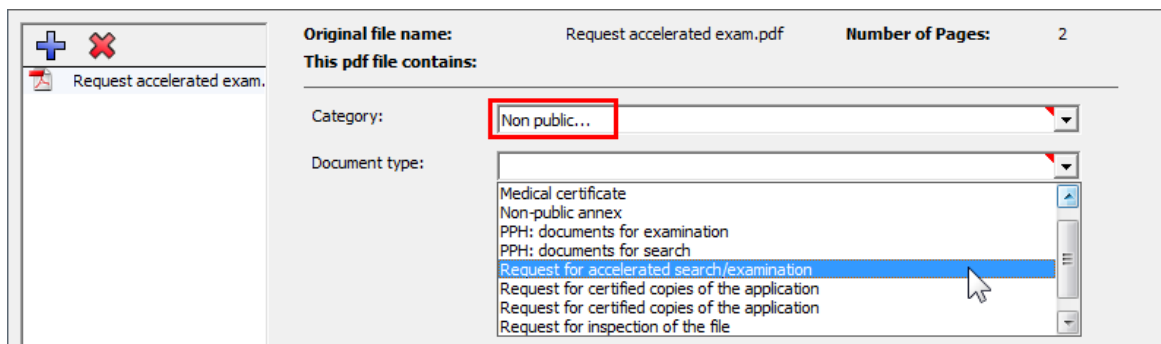
Figure 254: Withdrawal documents attached

Example 2 - A request for accelerated processing is submitted as a non-public document

Version 5.05 of the Online Filing software lets you submit documents in non-public proceedings to the EPO.

! **Attention:** You cannot attach a combination of both public and non-public documents to Form EP(1038E), i.e. all documents must be EITHER public OR non-public. If you want to attach an assortment of documents, please send two separate forms to the EPO.

- Click the **Add** button.
- Navigate to your file and attach it.
- Select the **Non-public** category.
- In the **Document type** list, select **Request for accelerated search/examination**.
- The file is renamed 1005 .pdf.



The screenshot shows the EPO Online Filing interface. On the left, there's a sidebar with a plus icon and a minus icon, and a list of documents including 'Request accelerated exam.'. The main area displays the document details: 'Original file name: Request accelerated exam.pdf' and 'Number of Pages: 2'. Below this, it says 'This pdf file contains:'. There are two dropdown menus: 'Category:' and 'Document type:'. The 'Category:' dropdown is set to 'Non public...'. The 'Document type:' dropdown is open, showing a list of options: 'Medical certificate', 'Non-public annex', 'PPH: documents for examination', 'PPH: documents for search', 'Request for accelerated search/examination' (which is highlighted), 'Request for certified copies of the application', 'Request for certified copies of the application', and 'Request for inspection of the file'.

Figure 255: Request for accelerated search/examination attached as non-public document

If, after having attached your non-public document, you proceed to attach one of the files from the assortment of public document types, a red validation icon appears on the **Documents** button. The validation message explains the error.

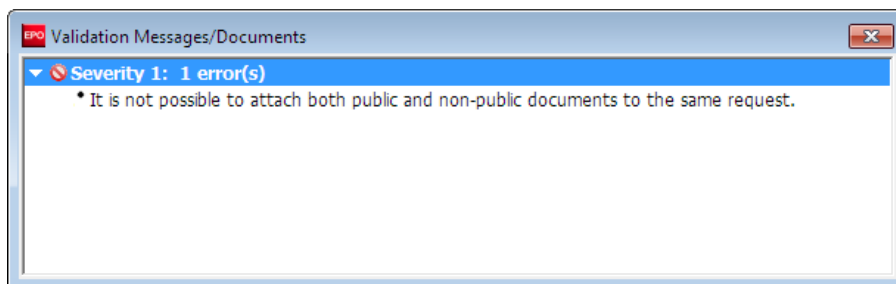


Figure 256: Validation message after attaching public and non-public documents

Viewing attached documents in the print preview

- Click the **Preview** button in the toolbar.



This opens the PDF Viewer.

- Click a file name in the list on the left of the screen to display the attached file in PDF format.

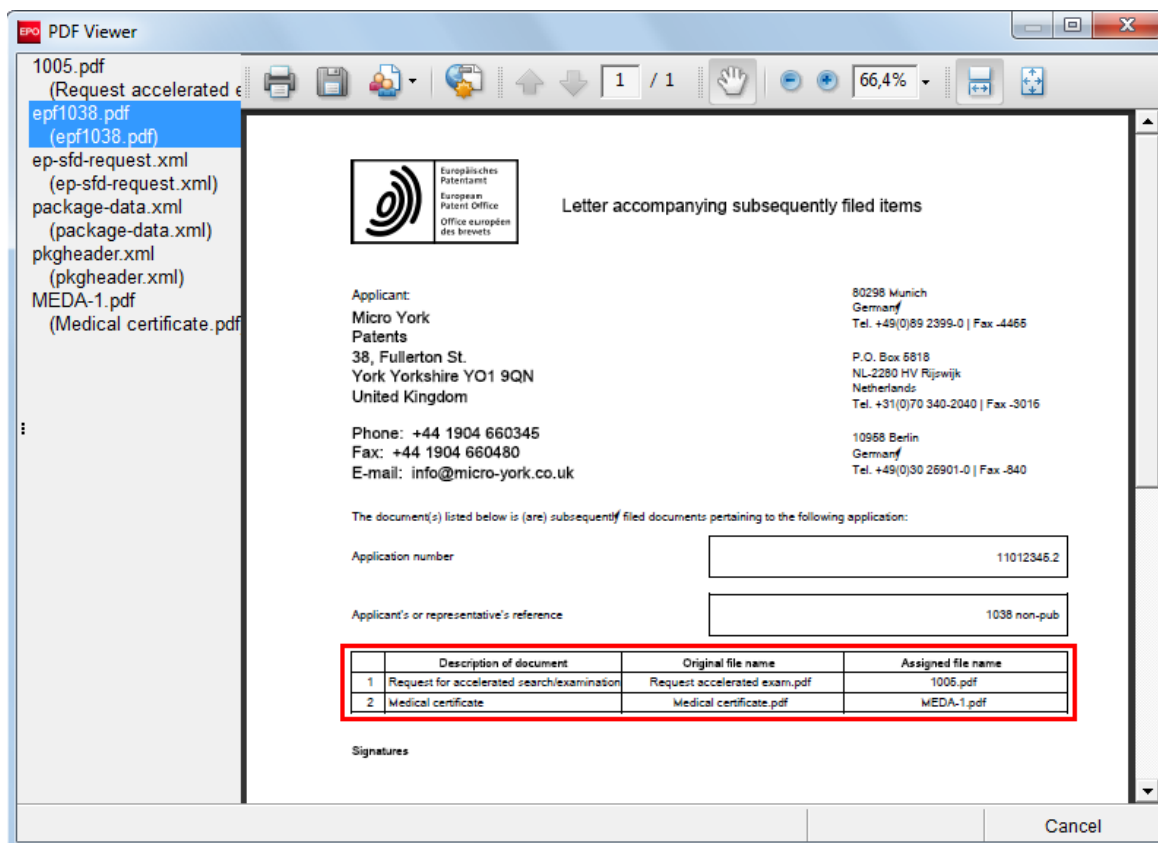


Figure 257: Attached files in the PDF Viewer

8.3.1 Document types for EP(1038E) by category

Where available, please select the correct document type for your file attachments. This simplifies and speeds up the internal processing of the EPO's filings. If you are unable to find an appropriate document type in the EP(1038E) drop-down list, you can select the general purpose **General enquiry** document type from the **Search and Examination** or the **All Documents** category.

The most frequently used general categories appear at the top of the list, whereas the lesser used, more specific options appear at the bottom. The **All Documents** category in the bottom section lists all available document types.

! **Note:** *In this list, a single document type may be assigned to multiple categories to facilitate your selection.*

Top section

Filing and Search

- ◆ Amended claims (clean copy)
- ◆ Amended claims with annotations
- ◆ Amended description (clean copy)
- ◆ Amended description with annotations
- ◆ Amended drawings (clean copy)
- ◆ Amended drawings with annotations
- ◆ Amendments before examination
- ◆ Designation of inventor
- ◆ Designation of inventor (Non-public)
- ◆ Document concerning search matters
- ◆ Document concerning the priority claims
- ◆ Drawings
- ◆ Missing parts of description
- ◆ Missing parts of drawings
- ◆ Modified abstract
- ◆ Reply to request for clarification
- ◆ Reply to search opinion/written opinion/IPER
- ◆ Request for extension of time limit during search procedure
- ◆ Search results required under Rule 141(1) EPC
- ◆ Statement of non-availability of search results required under Rule 141(1) EPC
- ◆ Subsequently filed claims
- ◆ Translation of previously filed application
- ◆ Translation of priority document
- ◆ Translation of the international preliminary examination report
- ◆ US certified priority document

Search and Examination

- ◆ Acknowledgement
- ◆ Authorisation of representative
- ◆ Automatic debiting
- ◆ Claims
- ◆ Document concerning fees and payments
- ◆ Document concerning micro-organisms and medical inventions

- ◆ Document concerning representation
- ◆ Document concerning sequence listing, PDF
- ◆ Document concerning sequence listing, TXT
- ◆ Document concerning the applicant
- ◆ Document concerning the designation and extension of states
- ◆ Document concerning the inventorship
- ◆ English translation of the claims
- ◆ French translation of the claims
- ◆ General enquiry
- ◆ German translation of the claims
- ◆ Grounds for Re-establishment of Rights
- ◆ Letter relating to the search and examination procedure
- ◆ Maintenance of the application
- ◆ Request for a decision
- ◆ Request for assignment
- ◆ Request for change of address
- ◆ Request for change of name
- ◆ Request for change of representative
- ◆ Request for correction of the documents (Rule 193 EPC)
- ◆ Request for further processing
- ◆ Request for Re-establishment of Rights
- ◆ Request for suspension/interruption of the procedure
- ◆ Request for transfer of rights
- ◆ Translation of description
- ◆ Translation of drawings
- ◆ Translation of priority document
- ◆ Translation of the abstract
- ◆ Waiver in respect of communication under Rule 161/161 EPC
- ◆ Withdrawal of an application
- ◆ Withdrawal of designated or extension states

Examination

- ◆ Document filed during examination procedure
- ◆ Letter dealing with Oral proceedings
- ◆ Reply to a communication under rule 70b EPC
- ◆ Reply to examination report
- ◆ Reply to the communication under rule 71(3) EPC
- ◆ Request for correction/amendment of the text proposed for grant sent from 01.04.2012
- ◆ Request for correction/amendment of the text proposed for grant sent until 31.03.2012
- ◆ Request for examination
- ◆ Request for extension of time limit during examination procedure
- ◆ Withdrawal of a request for oral proceedings

Non-public

- ◆ Designation of inventor (Non-public)
- ◆ Medical certificate
- ◆ Non-public annex
- ◆ PPH: documents for examination
- ◆ PPH: documents for search

- ◆ Request for accelerated search/examination
- ◆ Request for certified copies of the application
- ◆ Request for inspection of the file
- ◆ Request for participation in the Patent Prosecution Highway (PPH)

Appeal

- ◆ Annexes (other than cited documents) regarding appeal procedure
- ◆ Annexes (other than cited documents) regarding review procedure
- ◆ Evidence in support of the appeal
- ◆ Letter relating to Appeal procedure
- ◆ Letter relating to the review procedure
- ◆ Non-patent literature cited during the appeal procedure
- ◆ Notice of Appeal
- ◆ Patent Document cited during the appeal procedure
- ◆ Statement of grounds of appeal

Third Party Observations

- ◆ Citations filed by a third party
- ◆ Non-patent literature filed by a third party
- ◆ Observations by third parties (Art. 115 EPC)
- ◆ Patent document filed by a third party
- ◆ Reply from applicant/patentee regarding third party observations
- ◆ Reply to communication to third party

Limitation and revocation

- ◆ Citation for the limitation procedure
- ◆ Letter regarding the translation of the limited claims
- ◆ Letter/request relating to the limitation request
- ◆ Letter/request relating to the revocation procedure
- ◆ Reply to the limitation report
- ◆ Request for revocation of patent
- ◆ Withdrawal of limitation request

Bottom section

All documents

Amendments

① The "with annotations" document type is to be used for documents with handwritten amendments or highlighted annotations/amendments.

- ◆ Amended claims (clean copy)
- ◆ Amended claims with annotations
- ◆ Amended description (clean copy)
- ◆ Amended description with annotations
- ◆ Amended drawings (clean copy)
- ◆ Amended drawings with annotations
- ◆ Amendments before examination
- ◆ Drawings

- ◆ Modified abstract

Applicant-Representative-Inventor

- ◆ Designation of inventor
- ◆ Designation of inventor (Non-public)
- ◆ Document concerning representation
- ◆ Document concerning the applicant
- ◆ Documents concerning the inventorship

Biology

- ◆ Document concerning micro-organisms and medical inventions
 - ◆ Document concerning sequence listing, PDF
 - ◆ Document concerning sequence listing, TXT
- ❗ Use this document type for files in TXT, APP or SEQ format.

Fees

- ◆ Automatic debiting
- ◆ Document concerning fees and payments
- ◆ Document concerning the designation and extension of states

Filing

- ◆ Missing parts of description
- ◆ Missing parts of drawings
- ◆ Subsequently filed claims
- ◆ Translation of previously filed application

Forms

- ◆ Authorisation of representative
- ◆ Designation of inventor

Legal Remedies

- ◆ Grounds for Re-establishment of Rights
- ◆ Request for a decision
- ◆ Request for further processing
- ◆ Request for Re-establishment of Rights

Other

- ◆ Document concerning search matters
- ◆ Letter dealing with Oral proceedings
- ◆ Letter relating to the search and examination procedure
- ◆ Withdrawal of a request for oral proceedings

Priorities

- ◆ Document concerning the priority claims
- ◆ Translation of priority document
- ◆ US certified priority document

Replies

- ◆ Acknowledgement
- ◆ Claims
- ◆ Document filed during examination procedure
- ◆ Reply to a communication under rule 70b EPC
- ◆ Reply to examination report
- ◆ Reply to request for clarification
- ◆ Reply to search opinion/written opinion/IPER
- ◆ Reply to the communication under rule 71(3) EPC
- ◆ Request for correction/amendment of the text proposed for grant sent from 01.04.2012
- ◆ Request for correction/amendment of the text proposed for grant sent until 31.03.2012
- ◆ Search results required under Rule 141(1) EPC
- ◆ Statement of non-availability of search results required under Rule 141(1) EPC

Request

- ◆ General enquiry
- ◆ Maintenance of the application
- ◆ Request for assignment
- ◆ Request for certified copies of the application (Non-public)
- ◆ Request for change of address
- ◆ Request for change of name
- ◆ Request for change of representative
- ◆ Request for correction of the documents (Rule 139 EPC)
- ◆ Request for examination
- ◆ Request for extension of time limit during examination procedure
- ◆ Request for extension of time limit during search procedure
- ◆ Request for suspension/interruption of the procedure
- ◆ Request for transfer of rights
- ◆ Waiver in respect of communication under Rule 161/162 EPC

Translations

- ◆ English translation of the claims
- ◆ French translation of the claims
- ◆ German translation of the claims
- ◆ Translation of description
- ◆ Translation of drawings
- ◆ Translation of previously filed application
- ◆ Translation of priority document
- ◆ Translation of the abstract
- ◆ Translation of the international preliminary examination report

Withdrawals

- ◆ Withdrawal of an application
- ◆ Withdrawal of designated or extension states

8.4 EP(1038E) Fee Payment

Select the fees that you want to subsequently pay for the application on the EP(1038E) form's Fee Payment tab and specify the mode of payment. The currency for all fees is EUR.

! ***Note:** If the date of filing or of entry into the regional phase of your application is earlier than 1 April 2009 it is your responsibility to ensure that you have selected the correct schedule of fees for the application; see **Payment details** (p. 215).*

The fees displayed in the **Fee Payment** tab reflect the fee schedules located in **File Manager > Tools > Fee Management**.

Make use of the **Live Update** function in Online Filing to ensure that your fee schedule is always up to date. You will find the most recent fee schedule on the EPO website at **Applying for a patent > Online services**, following the link **interactive schedule of fees** (<http://www.epoline.org/portal/portal/default/epoline.Scheduleoffees>).

Online fee payment

The EPO offers a quick and secure online fee payment service designed for holders of EPO deposit accounts. For more information, go to the EPO website and navigate to **Applying for a patent > Online services > Online fee payment** (<http://www.epo.org/applying/online-services/fee-payment.html>).

8.4.1 Payment details

Under **Payment details** select a **mode of payment** and the schedule of fees applicable to your application.

Mode of payment

→ Select an option from the **Mode of payment** list.

♦ **Automatic debit order**

If you select this option the check boxes in the **Fee selection** sub-tab are automatically deactivated and the total amount of the fees is shown as EUR 0.00. The EPO will calculate the amount of the fees payable using the information you provided in your application and will debit this amount direct from your account. With this option you cannot select the fees yourself in the form.

♦ **Debit from deposit account**

If you choose this mode of payment, the relevant fees will be debited directly from your EPO deposit account. If you issue a debit order during normal working hours (08.00-18.00 hrs.), you can usually view it under **pending orders** within about 30 minutes. The actual deduction from your account will appear 5 to 6 days later.

♦ **Bank transfer**

Select a bank to which you will transfer the fees. The bank sort code and EPO account number will then appear.

♦ **Not specified**

If you are not sure how you will be paying your fees, you can indicate **Not specified**.

Debit from deposit account

An EPO deposit account is required to use the options **Automatic debit order** und **Debit from deposit account**.

- Enter the number of your deposit account and the name of the account holder.

EPO deposit account numbers are made up of eight digits, starting with **28**.

The screenshot shows the 'EPO Online Filing - EP(1038E) - Test 1038' window. The 'Fee Payment' tab is active, showing a red warning icon. The 'Payment details' section has 'Mode of payment' set to 'Debit from deposit account' and 'Currency: EUR'. Below this, a message states: 'The European Patent Office is hereby authorised, to debit from the following deposit account with the EPO any fees and costs indicated in the fee selection:'. The 'Deposit account number' field is filled with '28123456' and the 'Account holder' field is filled with 'Nano Enterprise'. The 'Fee schedule' section has two radio button options: 'Date of filing or entry into regional phase on or after 01.04.2009' (selected) and 'Date of filing or entry into regional phase before 01.04.2009' (unselected). Below these are several lines of text detailing conditions for the selected option. At the bottom, there is a checkbox for 'Only required if different from above - Reimbursement, if any, to be made to deposit account with the EPO:' and a field containing '28'. The status bar at the bottom indicates 'Logged in as Administrator' and shows icons for errors, warnings, and information.

Figure 258: Selecting mode of payment

! **Note:** You are not required to enter **28** as the leading digits of the deposit account number, since these are automatically supplied by the software. Just enter the six remaining digits. If the deposit account number is not entered correctly, e.g. you enter more than six digits, you will see a red validation icon in the **Fee Payment** tab. The corresponding warning tells you to verify the deposit account number. The same rule applies to the deposit account number for reimbursement.

Further options

Additional options are available in the **Fee Payment** tab below the account information.

- If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, tick the corresponding check box.
 - ① This option applies to all selected modes of payment. However, if you selected **automatic debit order** or **debit from deposit account**, you are only required to enter an account number here if that number is different from the account number used for payment.
- Enter the EPO deposit account number where applicable and supply the account holder's name.

Schedule of fees

The fee reform of 1 April 2009 introduced a number of changes, in particular with regard to the designation and claims fees.

There are two possible options for applications filed with Form EP(1038E):

- ◆ (A) The schedule of fees dated 1 April 2009 applies to filings relating to applications for which the date of filing or date of entry into the regional phase is **on or after 1 April 2009**. This is the default option.
 - ◆ (B) If the filing relates to an application for which the date of filing or date of entry into the regional phase is **before 1 April 2009**, then the previous schedule of fees applies.
- Select the appropriate fee schedule option.

EPO Online Filing - EP(1038E) - Sample 1038

File Edit View Tools Windows Help

EP(1038E) - Draft - Sample 1038 Last saved on 02.04.2012

Application No	Names	Documents	Fee Payment	Annotations
Payment details Fee selection Mode of payment: Bank transfer Currency: EUR The fees and costs indicated on the fees page will be paid within a month after filing by transfer to the following bank account held by the office: Bank: GB, Barclays Bank PLC, London Bank account: 86 98 72 66 (Sorting Code 20-47-35) Fee schedule: ☐ Date of filing or entry into regional phase on or after 01.04.2009 ☒ Date of filing or entry into regional phase before 01.04.2009 European divisional application received before 01.04.2009 or European patent application filed before 01.04.2009 or Euro-PCT application validly entering the regional phase before 01.04.2009 or Euro-PCT application with date of filing or earliest priority before 01.09.2006 ☐ Reimbursement, if any, to be made to deposit account with the EPO: 28 Account holder:				

Logged in as Administrator 2 0 0

Figure 259: Options for selecting the correct fee schedule

8.4.2 Fee selection

There is no fee selected by default in Form EP(1038E).

→ Select the check boxes for all fees to be paid.

The total fee amount is automatically calculated.

Filtering the fees displayed

You can filter the list of fees by selecting one of the options in the **Show** list:

- ◆ All fees
- ◆ Selected fees only

The screenshot shows the 'EPO Online Filing - EP(1038E) - Sample 1038' window. The 'Fee Payment' tab is active. The 'Show' dropdown is set to 'All Fees'. The table below lists the fees:

Fee Code	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☐ 022	Registering of transfer	95,00	----	1	0,00
☐ 023	Registering of licences and other rights	95,00	----	1	0,00
☐ 024	Cancellation of entry licences and other rights	95,00	----	1	0,00
☒ 025	Duplicate copies of the patent certificate	50,00	----	1	50,00
☐ 026	Extracts from the europ. patent register	40,00	----	1	0,00
☐ 027	Inspection of files (paper copies max. 100 pgs, electr. storage medium)	50,00	----	1	0,00
☐ 028	Maximum amount administrative fee deposit account	765,00	----	1	0,00
☒ 029	Certified copy of application; priority document	50,00	----	1	50,00
☐ 030	Communication of information from an application	40,00	----	1	0,00

At the bottom right, the total is calculated: **Total: (4 Fees) EUR 154,00**.

Figure 260: Selecting fees

Selecting fees when filing non-public documents

When attaching non-public documents to your application, only certain fees can be selected at the same time. These are:

- ◆ 025 - Duplicate copies of the patent certificate
- ◆ 026 - Extracts from the europ. patent register
- ◆ 027 - Inspection of files (paper copies max. 100 pgs, electr. storage medium)
- ◆ 029 - Certified copy of application; priority document
- ◆ 080 - Certification of other documents

For all other fees, a separate submission is required. If you select a fee that is incompatible with non-public filings, a red validation icon will appear in the **Documents** tab.

Changing the fee quantity

The value in the **Quantity** column can be edited for the following fees:

- ◆ 002 - Fee for (supplementary) European search for applications filed on/after 01.07.2005
- ◆ 002e - Fee for (supplementary) European search for applications filed before 01.07.2005
- ◆ 005 - Designation fee (for applications filed before 01.04.2009)
- ◆ 008 - Printing fee for 36th and each subsequent page
- ◆ 015 - Claims fee for the 16th to the 50th claim (for applications filed on/after 01.04.2009) / for the 16th and each subsequent claim (for applications filed before 01.04.2009)
- ◆ 015e - Claims fee - For the 51st and each subsequent claim
- ◆ 016 - Claims fee in accordance with R. 71(4) - For the 16th to the 50th claim (for applications filed on/after 01.04.2009) / Claims fee in accordance with R. 71(4) (for applications filed before 01.04.2009)
- ◆ 016e - Claims fee in accordance with R. 71(4) - For the 51st and each subsequent claim
- ◆ 025 - Duplicate copies of the patent certificate
- ◆ 029 - Certified copy of application; priority document
- ◆ 055 - Add. copy of docs cited in search report
- ◆ 121 - Fee for further processing (late performance as of acts R. 71(3))
- ◆ 122 - Fee for further processing (non fee related cases)
- ◆ 123 - Fee for further processing (late payment of a fee - 50%)
- ◆ 400 - Surcharge for extension fees
- ◆ 501 - Additional filing fee for the 36th and each subsequent page
- ◆ 520 - Additional filing fee for the 36th and each subsequent page - entry into EP phase

- Select the fee you wish to change.
- Click the **Quantity** field.
- Enter the new amount.

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☒	008	Printing fee for the 36th and each subsequent page	14,00	----	1	14,00
☒	025	Duplicate copies of the patent certificate	50,00	----	5 I	50,00
☒	029	Certified copy of application; priority document	50,00	----	1	50,00
☒	055	Add. copy of docs cited in search report	40,00	----	1	40,00
☐ Edit fee amounts (no automatic fee correction will be done by the office)						
Fee schedule for EUR valid as of:			01.04.2012		Total: (4 Fees) EUR 154,00	

Figure 261: Changing the quantity for a selected fee

→ Click anywhere on the form.

The value in the **Amount to Pay EUR** column and the total amount of the fees are automatically recalculated.

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☒	008	Printing fee for the 36th and each subsequent page	14,00	----	1	14,00
☒	025	Duplicate copies of the patent certificate	50,00	----	5	250,00
☒	029	Certified copy of application; priority document	50,00	----	1	50,00
☒	055	Add. copy of docs cited in search report	40,00	----	1	40,00

☐ Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2012

Total: (4 Fees) EUR 354,00

Figure 262: Recalculated total of the fees selected

Editing fee amounts

In the default setting you cannot edit the fee amounts in Form EP(1038E). If however you wish to edit certain fee amounts you can select this option on an individual basis. If you do so, the EPO will no longer check the fees you have selected for this application and will invoice you for the total amount shown/debit the amount shown from your deposit account.

- Tick the **Edit fee amounts** check box.
- Select the fee you wish to modify.
- Click in the field to be edited, **Amount EUR** or **Reduction**.
- Enter the new value.
- Click anywhere in the form.

The amounts in the column **Amount to pay EUR** and the total amount of the fees are automatically recalculated.

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☒	008	Printing fee for the 36th and each subsequent page	14,00	none	1	14,00
☒	025	Duplicate copies of the patent certificate	30,00	none	5	150,00
☒	029	Certified copy of application; priority document	50,00	none	1	50,00
☒	055	Add. copy of docs cited in search report	40,00	none	1	40,00

☒ Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2012

Total: (4 Fees) EUR 254,00

Figure 263: Recalculated amount shown

If you want to undo changes to the fee amounts, you can restore the values from the fee table in Online Filing.

- Clear the **Edit fee amounts** check box.
- The original values for all fees are restored in the form.
- ① The value in the **Quantity** column will not be reset, however.

8.4.3 Designation of states

The **Designation states** sub-tab is only available if you selected both **Date of filing or entry into regional phase before 01.04.2009** (Payment details sub-tab) and fee **005 - Designation fee for each state designated (max. 7x)** (Fee selection sub-tab).

Date of filing or entry into the regional phase on or after 1 April 2009

- Select fee **005e - Designation fee - For all Contracting States designated** in the **Fee selection** tab.
The **Designation states** sub-tab is not visible.

The screenshot shows the 'EPO Online Filing - EP(1038E) - Sample 1038' window. The 'Fee Payment' tab is active, and the 'Fee selection' sub-tab is selected. The 'Show:' dropdown is set to 'All Fees'. The table below lists the selected fees:

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☐	001	Filing fee - EP direct - online	115,00	----	1	0,00
☐	001e	Filing fee - EP direct - not online	200,00	----	1	0,00
☐	002	Fee for a European search - Applications filed on/after 01.07.2005	1 165,00	0 €	1	0,00
☐	002e	Fee for a European search - Supplementary search for applications filed before 01.07.2005	840,00	----	1	0,00
☒	005e	Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	555,00	----	1	555,00
☐	006	Examination fee - For applications filed on/after 01.07.2005	1 555,00	----	1	0,00
☐	006e	Examination fee - For applications filed before 01.07.2005 and for international applications filed	1 730,00	----	1	0,00

☐ Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2012

Total: (5 Fees) EUR 709,00

Logged in as Administrator

Figure 264: All contracting states designated

Date of filing or entry into the regional phase prior to 1 April 2009

- Select fee **005 - Designation fee for each state designated (max. 7x)**.

The **Designation states** sub-tab becomes visible.

- Click the **Designation states** sub-tab.

- Select the appropriate option: **All states** or **Fewer than seven**.

- Select the states for which designation fees should be paid.

The number of fees and the amount to be paid are then automatically calculated in the **Fee selection** tab.

EPO Online Filing - EP(1038E) - Sample 1038

File Edit View Tools Windows Help

EP(1038E) - Draft - Sample 1038 Last saved on 23.10.2011

Application No Names Documents **Fee Payment** Annotations

Payment details Fee selection Designation states

Designation fees are paid for:

☐ All states (in case of a divisional application only those states which were validly designated in the parent application)

☒ Fewer than seven (Applicable also to additional application):

☒ AT Austria	☐ ES Spain	☐ IT Italy	☐ PL Poland
☐ BE Belgium	☐ FI Finland	☐ LT Lithuania	☐ PT Portugal
☐ BG Bulgaria	☐ FR France	☐ LU Luxembourg	☐ RO Romania
☒ CH/LI Switzerland/Liechtenstein	☐ GB United Kingdom	☐ LV Latvia	☐ RS Serbia
☐ CY Cyprus	☐ GR Greece	☐ MC Monaco	☐ SE Sweden
☐ CZ Czech Republic	☐ HR Croatia	☐ MK The former Yugoslav Republic of Macedonia	☐ SI Slovenia
☒ DE Germany	☐ HU Hungary	☐ MT Malta	☐ SK Slovakia
☐ DK Denmark	☐ IE Ireland	☐ NL Netherlands	☐ SM San Marino
☐ EE Estonia	☐ IS Iceland	☐ NO Norway	☐ TR Turkey

If less than seven states are indicated, the EPO shall debit designation fees only for those states, unless it is instructed to do otherwise before expiry of the basic period.

Logged in as Administrator

Figure 265: Selecting states for designation fees

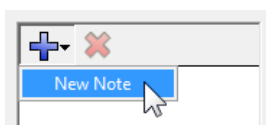
8.5 EP(1038E) Annotations

You may use the EP(1038E) form to send an annotation to the EPO without supplying any other data or attaching document.

In the **Annotations** tab you can enter notes to be transmitted to the EPO.

Creating notes for the EPO

→ Click the **Add** button and select **New Note**.



→ Enter the relevant information in the **Author**, **Subject** and **Note** fields.

 The screenshot shows a web application window titled 'EPO Online Filing - EP(1038E) - Sample 1038'. The window has a menu bar (File, Edit, View, Tools, Windows, Help) and a toolbar with icons for saving, undo, redo, and printing. Below the toolbar, the title 'EP(1038E) - Draft - Sample 1038' is displayed, along with the text 'Last saved on 04.06.2012'. The main area contains a tabbed interface with tabs for 'Application No', 'Names', 'Documents', 'Fee Payment', and 'Annotations'. The 'Annotations' tab is active. It shows a section 'Annotations for the EPO:' with a sub-section containing a blue plus icon and a red X icon, and a text input field labeled 'More non public documents...'. To the right of this section are three labeled input fields: 'Author:' (containing 'David Kilburn'), 'Subject:' (containing 'More non public documents'), and 'Note:' (containing 'Please note that a further application containing the non public documents referring to the same EP application number will also be filed subsequently.').

Figure 266: Adding a new note as an annotation for the EPO

❗ To add notes that are NOT intended for the EPO, please use the **Internal notes** (p. 42) function.

8.6 Subsequent filing with EP(1038E)

Instead of creating a new application with the EP(1038E) form, you can simply copy the data from the first filing you created and sent with the EP(1001E2K) form and on which the subsequent filing should be based.

- Open File Manager and select the folder where the sent application is saved.
- Click the **Sent** status button.
- Select the required application - the EP application number is displayed in the **App.number** column.
- Right-click to select the option **Reuse data for a subsequent filing**.

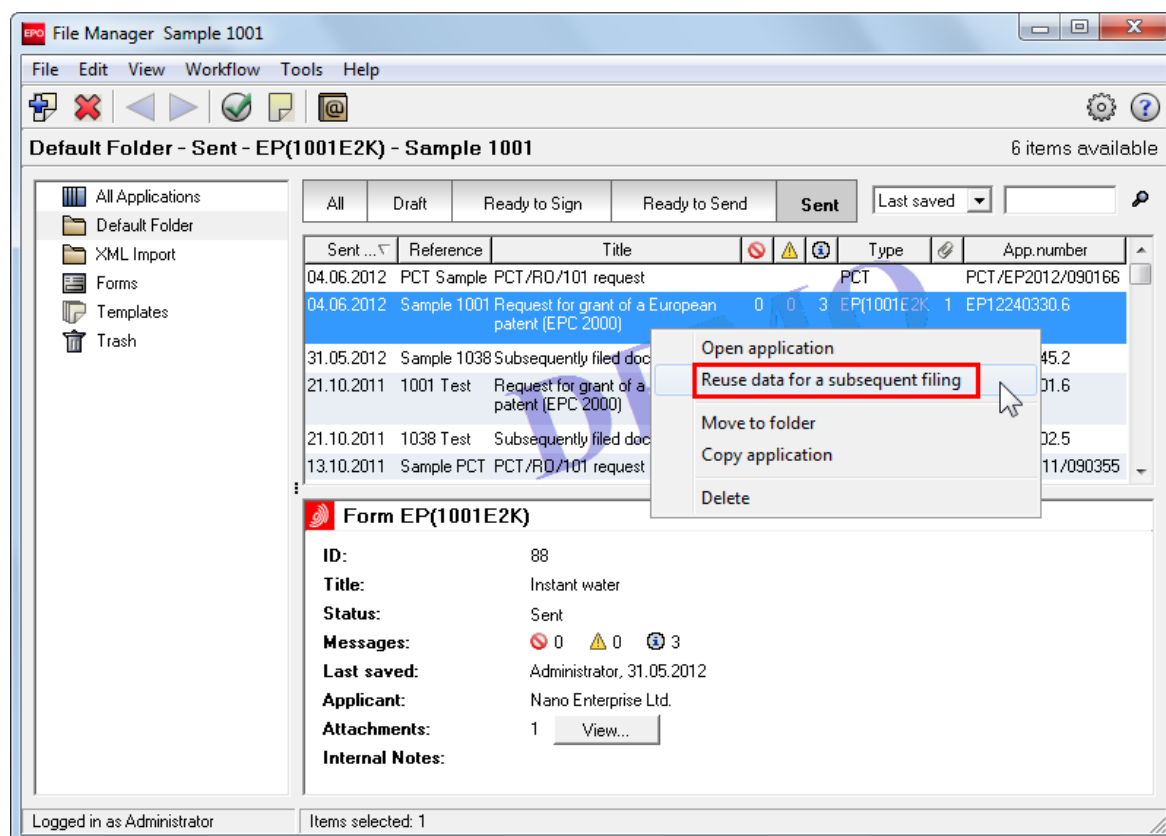


Figure 267: Creating a new application for subsequently filed documents (form 1038E) using an application already sent

The **Create a New Application** window opens. Enter a new user reference of your choice or use the existing one. The EP(1038E) form then opens with the following data from the application previously sent:

- ◆ EP application number
- ◆ Name of the first applicant
- ◆ Payment details entered
- ◆ Selected fees

Make your amendments or enter new data and save the application. Once the application has been successfully sent, it appears in File Manager with the same EP application number.

9 EP(Oppo)

The EP(Oppo) form is used for filing an opposition and/or submitting subsequently filed documents in opposition proceedings (not for appeal proceedings). It should be used by all parties involved in opposition proceedings.

The following section describes how to draft the electronic form for both of these situations. The different options available in Form EP(Oppo) are explained using four examples. The options for attaching different documents are a prerequisite in the following for the designation of persons and the selection of grounds and requests.

- ◆ Example 1: An opposition is filed by multiple opponents
- ◆ Example 2: An intervener with representatives files an opposition and designates a witness
- ◆ Example 3: The proprietor of a patent responds to the opposition filed against her patent
- ◆ Example 4: A third party files evidence

First communication - filing the notice of opposition or intervention

All natural or legal persons can use Form EP(Oppo) to file an opposition to a patent with the EPO, provided they have their residence or corporate headquarters in a contracting state to the EPC. **Opponents** may be represented by one of their employees (example 1).

Further parties can join ongoing opposition proceeding as **interveners** and designate any representatives they may have. Both opponents and interveners can designate other persons as **witnesses** (example 2).

Persons who do not have their residence in a contracting state to the EPC must authorise a professional **representative** or a legal practitioner entitled to act as a professional representative.

The opponent must uniquely identify the opposed patent, specify his or her grounds for opposition and submit a written reasoned statement. The time allowed for filing notice of opposition is nine months from the publication of the mention of the grant of the patent in the European Patent Bulletin. For more information, see the EPO's

Notes to the notice of opposition

([http://documents.epo.org/projects/babylon/eponet.nsf/0/7843500A258C080CC125725D004F1CF5/\\$File/2300_notes_en.pdf](http://documents.epo.org/projects/babylon/eponet.nsf/0/7843500A258C080CC125725D004F1CF5/$File/2300_notes_en.pdf)).

Second communication - requests, submission of documents, payments, third-party observations

Proprietors of an opposed patent can use Form EP(Oppo) to respond to the opposition and designate their own witnesses and submit documents (example 3).

Third parties can lodge further objections (example 4).

All persons involved in these proceedings can use the form to designate other representatives, submit requests and documents, pay fees or write annotations for the EPO.

Data input in Form EP(Oppo)

Form EP(Oppo) is organised into six sections represented by six **tabs** in the **navigation bar**.

It is recommended to enter the data in the tab sequence given, i.e. starting with the **Opposition** tab. The options and conditions in the **Names** tab, for instance, are determined by the selections you make in the **Opposition** tab, and the options in the **Documents** tab depend on the selection in the **Names** tab.

Tab	What you can do
Opposition	Select the kind of communication, enter reference to the patent opposed, specify grounds for opposition
Names	Enter details of the persons involved: opponent(s), intervener(s), representative(s), proprietor(s), witness(es) or third parties.
Requests	Select options for additional request: refer to withdrawal/revocation, to oral proceedings, to extension of time limit, etc.
Documents	Attach facts and arguments, publications for evidence, other evidence and other documents.
Fee Payment	Enter the payment method, select fees according to the appropriate fee schedule.
Annotations	Supply additional information for the EPO.

Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. This field must either be filled manually or you must select one of the options provided. If mandatory fields are not completed, the corresponding tab will show a red validation icon. Consult the validation messages for more information.

Figure 268: The Patent No. of the patent opposed is a mandatory field in the Opposition tab and is marked with a red triangle

Elements in Form EP(Oppo)

Menu Bar Toolbar Location Indicator Bar Navigation Bar

EPO Online Filing - EP(Oppo) - Sample OPPO 1

File Edit View Tools Windows Help

EP(Oppo) - Draft - Sample OPPO 1 Last saved on 23.10.2011

Opposition Names Requests Documents Fee Payment Annotations

☒ Notice of opposition or intervention
☐ Other action (request, submission, payment, third-party observation)
☐ following summons to oral proceedings

Reference Grounds

Patent opposed Patent No. EP Date of mention of the grant in the European Patent Bulletin (Art. 97(3), 99(1) EPC)
Application No. EP dd.mm.yyyy 15

Title of invention

Proprietor of the patent
first named in the patent specification

Logged in as Administrator 7 1 1

Sub-tabs Details Area Status Bar

Figure 269: Form EP(Oppo) - Overview

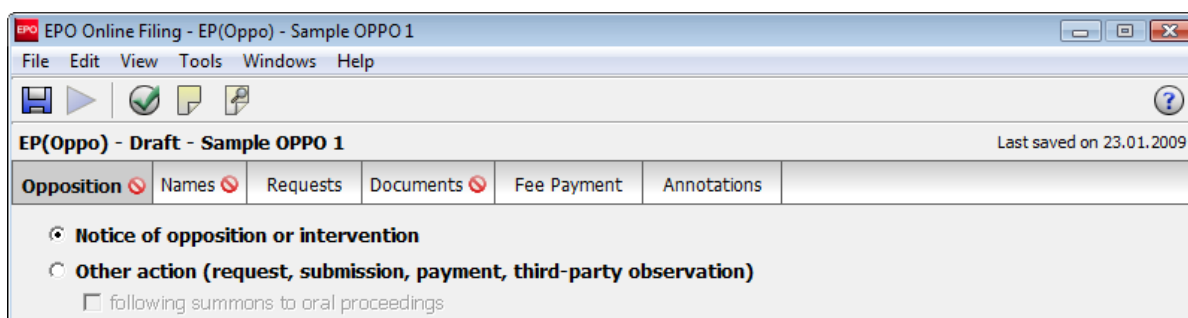
Form element	Comments
Menu Bar	Provides all options to edit, save, import and export applications, set the display and change the status, as well as other tools.
Toolbar	Provides shortcuts to the most frequently used tasks and tools.
Location Indicator Bar	Shows the selected procedure, the current status and the user reference for an application.
Navigation Bar	Displays tabs corresponding to the sections of the form. These tabs can contain sub-tabs, which are a sub-division of the main tab sections within the form.
Details Area	Displays data entry fields appropriate to the selected tab.
Status Bar	Displays information about the current activity. Shows the total number of validation messages for the open application on the right.

9.1 EP(Oppo) Opposition

The **Opposition** tab is where you basically choose the purpose for which you want to use Form EP(Oppo). Your alternatives are either **Notice of opposition or intervention** or **Other action**. All subsequent options are dependent on this selection. If you switch alternatives after entering data, you will lose any data that does not apply to the new setting.

→ Select the appropriate option.

The option **Notice of opposition or intervention** is selected by default (examples 1 and 2).



EPO Online Filing - EP(Oppo) - Sample OPPO 1

File Edit View Tools Windows Help

EP(Oppo) - Draft - Sample OPPO 1 Last saved on 23.01.2009

Opposition Names Requests Documents Fee Payment Annotations

☒ Notice of opposition or intervention

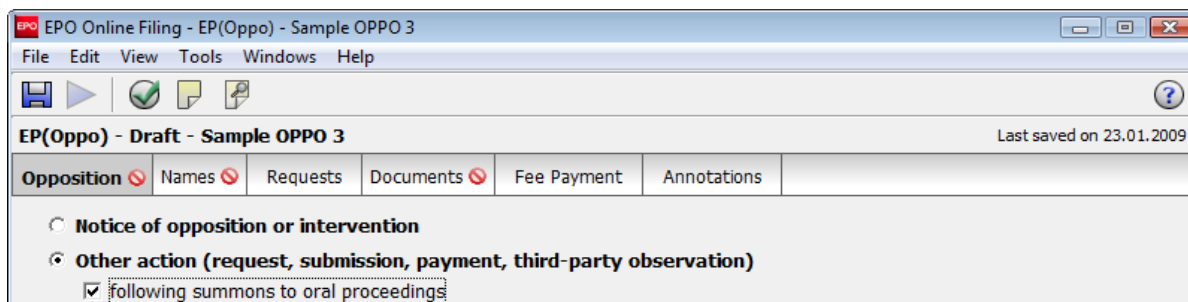
☐ Other action (request, submission, payment, third-party observation)

☐ following summons to oral proceedings

Figure 270: The option "Notice of opposition or intervention" is selected

→ If you choose the **Other action** option (examples 3 and 4), you should also select the check box **following summons to oral proceedings** if you have already received communication of this kind from the EPO.

① This option guarantees that your filing is assigned the highest priority for internal processing at the EPO.



EPO Online Filing - EP(Oppo) - Sample OPPO 3

File Edit View Tools Windows Help

EP(Oppo) - Draft - Sample OPPO 3 Last saved on 23.01.2009

Opposition Names Requests Documents Fee Payment Annotations

☐ Notice of opposition or intervention

☒ Other action (request, submission, payment, third-party observation)

☒ following summons to oral proceedings

Figure 271: The "Other action" option is selected

The red validation icon on the **Documents** button indicates that at least one document or piece of evidence is missing in this case and needs to be attached or that an application, payment or annotation needs to be made.

Enter information on the patent and your statement of grounds in the **Reference** and **Grounds** sub-tabs.

9.1.1 Reference

Enter information about the opposed patent in the **Reference** sub-tab (examples 1 and 2).

- Enter the number of the opposed patent as published in the European Patent Bulletin in the **Patent No.** field. This information is mandatory.
 - Enter the number of the application in the **Application No.** field. This information is mandatory.
 - Enter the relevant date in the field under **Date of mention of the grant in the European Patent Bulletin**. This helps the EPO to determine the possible time left for filing notice of opposition.
 - ① If the period between the date entered and the current processing data is more than nine months, an appropriate message is output with a yellow validation icon in the list of validation messages.
 - Enter the name of the invention in the **Title of invention** field, using the same wording as the title of the published specification.
 - In the **Proprietor of the patent** field, enter the party named first as proprietor in the patent specification.
- ① If you select the **Other action** option (examples 3 and 4), you only have to enter the patent number in this sub-tab because this is the number that the EPO uses for the administration of proceedings. All other settings are optional.

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Sample OPPO 1' window. The 'Reference' sub-tab is active, showing the following fields:

- Patent opposed:**
 - Patent No.: EP 1987710
 - Application No.: EP08429494.1
- Date of mention of the grant in the European Patent Bulletin (Art. 97(3), 99(1) EPC):** 9 December 2008
- Title of invention:** Instant water
- Proprietor of the patent:** first named in the patent specification: Manzoni, Salvatore

The interface also shows a status bar at the bottom indicating 'Logged in as Administrator' and a validation icon (yellow triangle) with the number 3.

Figure 272: Information on the opposed patent entered in the "Reference" sub-tab

9.1.2 Grounds

Enter the grounds for your opposition to the patent as a whole or specific patent claims in the **Grounds** sub-tab (examples 1 and 2).

- Select the **claim(s) No(s).** option and enter the numbers of the relevant claims in the field provided if you only want to file an opposition to certain claims.

The option **the patent as a whole** is selected by default.

- Select at least one of the options **(a)** to **(c)** under **Grounds for opposition**.

① Please note that a written reasoned statement is also to be attached in the **Documents** tab.

If you selected non-patentability pursuant to Article 100 (a) EPC as the grounds for opposition, please provide more details by choosing one or more of the reasons listed:

- Select the relevant grounds: **it is not new, it does not involve an inventive step** or **patentability is excluded on other grounds**.
- Enter the relevant EPC articles such as **53 (c)** in the **other grounds** field.

① If you select the **Other action** option, all fields in the **Grounds** sub-tab become inactive because grounds for opposition are not needed in this instance (examples 3 and 4).

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Sample OPPO 1' window. The 'Opposition' tab is active, and the 'Grounds' sub-tab is selected. The 'Notice of opposition or intervention' is selected, and the 'Other action' option is also visible. The 'Opposition is filed against' section shows 'claim(s) No(s)' selected with the value '4,7,12,18'. The 'Grounds for opposition' section is active, showing a list of reasons for opposition. The first reason, '(a) the subject-matter of the European patent opposed is not patentable (Art. 100(a) EPC) because:', is selected. Under this reason, the following options are listed: 'it is not new (Art. 52(1); 54 EPC)', 'it does not involve an inventive step (Art. 52(1); 56 EPC)', and 'patentability is excluded on other grounds, i.e. Art. 53 (c)'. The 'patentability is excluded on other grounds' option is selected, and the value '53 (c)' is entered in the adjacent field. The bottom status bar shows 'Logged in as Administrator' and a notification area with 2 errors and 0 warnings.

Figure 273: Stating the grounds for opposition

9.2 EP(Oppo) Names

Use the **Names** tab on Form EP(Oppo) to enter the name of the persons who file the opposition (first communication, examples 1 and 2) or perform other actions (second communication, examples 3 and 4). There are number of different options available for these two alternatives.

! Attention: Be aware that you can only attach documents to the EP(Oppo) form if at least one person is indicated in the **Names** tab. Please enter all names and their roles before you proceed to the **Documents** tab. The options for attaching documents depend on the roles chosen in the **Names** tab.

9.2.1 Persons in conjunction with "Notice of opposition or intervention"

If you selected the **Notice of opposition or intervention** option in the **Opposition** tab, you must specify at least one **opponent** OR **intervener**. Multiple opponents or interveners can be specified. You can also designate one or more **representatives** and **witnesses**, or enter an address for correspondence with the opponents/interveners.

→ Click the **Add** button in the **Names** tab.

→ Select the appropriate option.

① The **Address** option only becomes available if the check box **Address for correspondence** has been selected for the first-named opponent or intervener. In that case, the three **Representative** options are removed from the list.

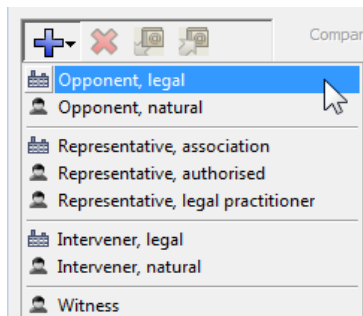


Figure 274: Options for adding persons when "Notice of opposition" is selected

→ Enter information on the person in the input fields on the right or transfer the relevant data from the Address Book.



→ Repeat this procedure to add additional persons.

Removing names from the application

→ Select the name to be removed on the left-hand side of the form.

→ Click the **Delete** button.



Example 1: multiple opponents are designated

In this example, two legal persons and one natural person were added as opponents. The first-named opponent, a company, is represented by one of its employees.

- Select the first-named opponent.
- Select the check box **[Company] is represented by the following employee acting pursuant to Art. 133(3) EPC**.

① Note that the **Representatives** option then disappears from the list on the left.

- Enter **Last Name**, **First Name** and **Title**.
- Enter the **General Authorisation** number.

① Note: The name of this employee will be automatically entered into the **Sign Application** dialogue and cannot be modified. Only an employee who is authorised by the applicant under Article 133 EPC is entitled to sign an application.

EPO Online Filing - EP(Oppo) - Sample OPPO 1

File Edit View Tools Windows Help

EP(Oppo) - Draft - Sample OPPO 1 Last saved on 23.01.2009

Opposition Names Requests Documents Fee Payment Annotations

Opponents

- Micro York
- Bio Research
- Kennecott, James
- Witnesses

Company: Micro York

Department: Surface Technologies

Country: GB United Kingdom Telephone: +33 1904 660345

Address: 38, Fullerton St. Telefax: +33 1904 660480

E-mail: info@micro-york.co.uk

Postal code: YO1 9QN

City: York

GB County: Yorkshire Residence: GB United Kingdom

☐ Address for correspondence

☒ Micro York is represented by the following employee acting pursuant to Art. 133(3) EPC:

Last Name: Scott General Authorisation: MIC-084567

First Name: Jessica

Title: Ms

Logged in as Administrator

1 0 0

Figure 275: Designation of multiple opponents; the first opponent is represented by an employee

Address for correspondence

You can specify a separate address for correspondence with the first-named opponent, intervener or proprietor. You cannot enter an address for correspondence if you have already added a representative, and vice versa.

① The country of the address for correspondence must be an EPC state.

→ Select the first-named opponent.

The **Address for correspondence** check box is unlocked after the mandatory fields for the first-named opponent (intervener or proprietor, respectively) have been completed, i.e. First Name, Last Name (or Company), City and Country.

→ Tick the **Address for correspondence** check box.

Address for correspondence then appears in the list on the left.

→ Click the **Add** button and select **Address** from the drop-down list.

The first opponent's name appears under **Address for Correspondence** on the left and the data entry fields become available on the right.

→ Edit the address information as required.

- For legal opponents, the **Company** field cannot be edited, whereas for natural opponents **Last Name** and **First Name** are locked.
- If you make changes to the first-named opponent's name after you have added the address for correspondence, the name in the address for correspondence will be updated accordingly.
- If you delete the first-named opponent, the address for correspondence will also be removed from the form.

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Sample OPPO' window. The 'Names' tab is active, and the 'Address for correspondence' section is highlighted in the left sidebar. The main form contains the following fields:

- Company:** Micro York (highlighted with a red box)
- Department:** Legal Affairs
- Country:** GB (dropdown), United Kingdom (dropdown)
- Address:** P.O. Box 3400
- Postal code:** W1A 2BC
- City:** London
- GB County:** Greater London (dropdown)

The status bar at the bottom indicates 'Logged in as Administrator' and shows a progress indicator with a red circle, a yellow triangle, and a blue circle, with the number 1 next to the blue circle.

Figure 276: Address for correspondence entered for the first-named opponent

① You can use both the **Copy from Address Book** button and the **Copy to Address Book** button to exchange the address for correspondence data with the Online Filing address book.

Example 2: one intervener, his or her authorised representative and one witness are designated

In this example, a natural person was designated as the intervener. The intervener is represented by a legal practitioner.

① Note: The address for correspondence option is not available for the intervener once a representative has been added to the form.

- Use the check boxes beside **Authorisation(s)** to indicate how the representative's authorisation is substantiated.
- If you select **is/are enclosed**, you have to attach the authorisation as an electronic file in the **Documents** tab. The validation messages for the **Documents** tab indicate that this document is mandatory.
 - If you select **has/have been registered under No.**, you have to enter the authorisation number in the adjoining - now mandatory - data field.

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Sample OPPO' window. The 'Names' tab is active, displaying a list of representatives on the left and a form for designating an intervener's representative on the right. The form includes fields for Last Name, First Name, Title, Company, Department, Country, Address, Postal code, City, GB County, Telephone, Telefax, and E-mail. The 'Authorisation(s)' section has two checkboxes: 'is/are enclosed' and 'has/have been registered under No.'.

Field	Value
Last Name	Kilburn
First Name	David
Title	Mr.
Company	IP Partners
Department	European Patents
Country	GB United Kingdom
Address	Cambridge Science Park 100 Red Lion Square
Postal code	CB2 1AB
City	Cambridge
GB County	Cambridgeshire
Telephone	+44 1223 351689
Telefax	+44 1223 351690
E-mail	kilburn@ip-partners.co.uk

Authorisation(s) ☐ is/are enclosed ☐ has/have been registered under No.

Logged in as Administrator

Figure 277: Designation of the intervener's representative

- Click the **Add** button again and select **Witness**.
Only natural persons can be designated as witnesses.
- Enter the name of the witness.
① The yellow validation icon indicates that an address is needed for the summons.
- Select the address to which the witness summons should be sent. The options available are:
 - **to the party** (i.e. the intervener in this example)
 - **to the following address**.

EPO Online Filing - EP(Oppo) - Sample OPPO 2

File Edit View Tools Windows Help

EP(Oppo) - Draft - Sample OPPO 2 Last saved on 23.01.2009

Opposition **Names** Requests Documents Fee Payment Annotations

Representatives
Kilburn, David

Interveners
Burton, Peter

Witnesses
Harper, Malcolm

Last Name: Harper
First Name: Malcolm
Title: Mr
Summons to be sent
☒ to the party
☐ to the following address:
Company: Department:
Country: Telephone:
Address: Telefax:
E-mail:
Postal code:
City:
Region:

Logged in as Administrator 2 0 1

Figure 278: Designation of the intervener's witness, summons via the party

9.2.2 Persons in conjunction with "Other action"

In addition to the options listed in the previous section, selecting the **Other action** alternative in the **Opposition** tab lets you select one or more **proprietors** or **third parties**. You can therefore add EITHER opponents, interveners, proprietors OR third parties IN ADDITION TO representatives and witnesses, or enter an address for correspondence with the opponents/interveners/proprietors. It should be noted that third parties cannot remain anonymous should they file with this option.

- Click the **Add** button in the **Names** tab.
- Select the appropriate option.

① The **Address** option only becomes available if the check box **Address for correspondence** has been selected for the first-named opponent, intervener or proprietor. In that case, the three **Representative** options are removed from the list.

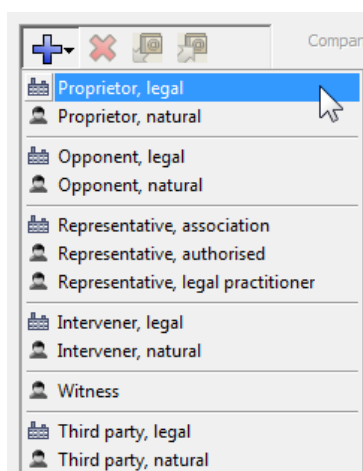


Figure 279: Options for adding persons for the second communication

Example 3: proprietor and representative are designated

In this example, the proprietor of the patent wants to submit additional information on her opposed patent. The company is represented by an attorneys' office (association).

→ Select other options for the proprietor of the patent as applicable.

① The option **[Company] is represented by the following employee acting pursuant to Art. 133(3) EPC** is only active for the first-named legal person if no representative has been added.

→ Enter information on the representative's authorisation; see example 2.

EPO Online Filing - EP(Oppo) - Sample OPPO 3

File Edit View Tools Windows Help

EP(Oppo) - Draft - Sample OPPO 3 Last saved on 23.01.2009

Opposition **Names** Requests Documents Fee Payment Annotations

Proprietors

Nano Enterprise Ltd.

Representatives

IP Partners

Witnesses

Company: Nano Enterprise Ltd.

Department: Nanotechnology

Country: GB United Kingdom Telephone: +44 20 7123 4567

Address: 123 City Street Telefax: +44 20 7123 4568

E-mail: info@entercons.co.uk

Postal code: W1A 2BC

City: London

GB County: Greater London Residence: GB United Kingdom

☐ Address for correspondence

☐ Nano Enterprise Ltd. is represented by the following employee acting pursuant to Art. 133(3) EPC:

Last Name: General Authorisation:

First Name:

Title:

Logged in as Administrator

1 0

Figure 280: Designation of proprietor and representative

Example 4: a third party is designated

In this example, a third party who has not yet been involved in the proceedings makes observations on the opposition to the patent.

- Enter the name and address of the third party.
- ① A witness cannot be added in this instance.

EPO Online Filing - EP(Oppo) - Sample OPPO 4

File Edit View Tools Windows Help

EP(Oppo) - Draft - Sample OPPO 4 Last saved on 23.01.2009

Opposition	Names	Requests	Documents	Fee Payment	Annotations
+ X Representatives Third party Parker & Partners Company: Parker & Partners Department: Nanotechnology Country: GB United Kingdom Address: 267, Harbour Road Postal code: CT16 3PJ City: Dover GB County: Kent					

Figure 281: Designation of third party

9.3 EP(Oppo) Requests

Use the **Requests** tab to file additional requests that extend beyond the scope of the opposition or, in the case of a second communication, respond or refer to the opposition.

The options available are directly dependent on the settings you chose or the data you entered in the **Opposition** and **Names** tabs.

Example 1: The opponents submit an auxiliary request for oral proceedings with an interpreter

- Tick the check box **Request for oral proceedings**.

This automatically activates and ticks the check box **auxiliary**. This means that your request for oral proceedings only applies if the EPO decides against your interests.

- Clear the check box **auxiliary** if you want the request for oral proceedings to apply irrespective of the EPO decision.
- Tick the check box **Request for interpreting** if you are only able to participate in oral proceedings in a specific language.
- Select one of the EPO's three official languages (English, German and French) for the options **listening in** and **speaking in**. These inputs are mandatory if you enter a request for interpreting.
- Tick the check box **Request for accelerated processing** as applicable.

The screenshot shows the 'EP(Oppo) - Draft - Sample OPPO 1' window with the 'Requests' tab selected. The 'Oral proceedings' section has the 'Request for oral proceedings' checkbox checked, which has automatically checked the 'auxiliary' checkbox. The 'Request for interpreting' checkbox is also checked, and the 'listening in' and 'speaking in' dropdown menus are both set to 'English'. In the 'Other' section, the 'Request for accelerated processing' checkbox is checked. The status bar at the bottom indicates 'Logged in as Administrator'.

Figure 282: Request for oral proceedings with interpreting and request for accelerated processing

Example 2: The interveners submit a request for oral proceedings irrespective of the EPO decision and a request for the taking of witness evidence

In this example, the **Request for oral proceedings** option is selected and the check box **auxiliary** has been cleared.

The option **Request for the taking of evidence by the hearing of a witness** is always automatically selected if one or more persons were named as witnesses in the **Names** tab.

→ If you are expressly against the taking of witness evidence in oral proceedings, clear this check box.

The screenshot displays the 'EPO Online Filing - EP(Oppo) - Sample OPPO 2' window. The 'Requests' tab is active, showing various options for the opposition. The 'Oral proceedings' section is highlighted with a red box, showing that 'Request for oral proceedings' is checked, while 'auxiliary' is unchecked. The 'Other' section also has a red box around the 'Request for the taking of evidence by the hearing of a witness' checkbox, which is checked. The status bar at the bottom indicates the user is logged in as Administrator and shows several icons and counts.

Figure 283: Request for oral proceedings irrespective of the EPO decision and request for the taking of witness evidence

Example 3: The proprietor of the patent withdraws her request for oral proceedings and submits a request for extension of the time limit

In this example, the proprietor of the patent responds to an opposition to her patent. A request for oral proceedings has already been submitted.

- Tick the check box **Withdrawal of request for oral proceedings**.

This deactivates the **Request for oral proceedings** option because the two options are mutually exclusive.

The options for extending the time limit are only active if the field **Date of mention of the grant in the European Patent Bulletin** in the **Opposition** tab was either left blank or the date entered is more than nine months before the current date.

- Tick the check box **Request for extension of time limit by**.
- Select the number of months – 1, 2, 3 or 4 – from the drop-down list labelled **month(s) to a total of**.
- Enter the total number of months for the extension of time limit into the last field labelled **month(s)**. This information is mandatory.

❗ The maximum permitted time limit is six months. If you request an extension that brings the time limit to over six months, a red validation icon appears in the **Requests** tab. The validation message informs you that you must provide convincing reasons as to why a reply in the period previously laid down is not possible.

- Specify the **Reason** in the corresponding text field.

❗ If the total number of months requested for extension is six or fewer, this information is optional.

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Sample OPPO 3' window. The 'Requests' tab is active. Under 'Withdrawal/revocation', the 'Withdrawal of request for oral proceedings' checkbox is checked. Under 'Oral proceedings', the 'Request for oral proceedings' checkbox is unchecked. Under 'Extension of time limit', the 'Request for extension of time limit by' checkbox is checked, with a dropdown set to '3' and a text field set to '5'. The 'Reason' field contains the text: 'The proprietor of the patent cannot take part in the proceedings due to serious illness.'

Figure 284: Request by the proprietor of the patent for extension of the time limit and withdrawal of the request for oral proceedings

Example 4: The proprietor of the patent requests revocation of the patent

The **Request for revocation of the patent** option is only active if you named one or more persons as the proprietor of the patent in the **Names** tab.

If the check box is ticked, all other options with the exception of **Request for accelerated processing** and **Other requests** are deactivated.

- Tick the check box **Other requests** as applicable.
- Describe your request in greater detail in the text field provided.

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Sample OPPO' window. The 'Requests' tab is selected. Under 'Withdrawal/revocation', the checkbox 'Request for revocation of the patent' is checked. Under 'Other', the checkbox 'Other requests' is checked, and the text 'We request access for file inspection.' is entered in the text field next to it. The status bar at the bottom indicates 'Logged in as Administrator'.

Figure 285: Request for revocation of the patent by the proprietor

9.4 EP(Oppo) Documents

Use the **Documents** tab on Form EP(Oppo) to attach all documents needed in support of your opposition. You can also submit data on publications as evidence, amendments to the patent description, translations and authorisations as well as many other documents.

! **Attention:** Be aware that you can only attach documents to the EP(Oppo) form if at least one person is indicated in the **Names** tab. The **Add** button for document attachment is disabled if no role has been added on the **Names** tab.

The **Documents** tab is split into the **Documents**, **Evidence - publications** and **Evidence - other** sub-tabs. The options available in these sub-tabs for the type of documents to be attached change depending on the communication type selected, the designated persons and the requests entered.

- ◆ In the event of opposition (examples 1 and 2), **Facts and Arguments** is a mandatory attachment. A red validation icon therefore appears on the **Documents** button.
- ◆ If you select the **Other action** option (examples 3 and 4), the attachment of documents is optional, provided you enter data in the **Requests**, **Fee Payment** or **Annotations** tabs. Otherwise, a red validation icon also appears here.

You can only attach files in PDF format. All electronic documents attached must be compatible with Annex F; see **Preparing documents for attachment** (p. 84).

9.4.1 Documents

The options for the type of documents to be attached in the **Documents** sub-tab depend on what you selected in the **Opposition** and **Names** tabs:

- ◆ The only options available in the event of opposition are:
 - Facts and Arguments
 - Other documents
- ◆ If the **Other action** option is selected, you can:
 - (a) As proprietor of the patent
 - Reply to notice(s) of opposition -OR-
 - Reply to an examination report in opposition proceedings
 - Main request document
 - Separate auxiliary request document
 - Acknowledgement of receipt
 - Other documents
 - (b) As opponent or intervener
 - Facts and Arguments
 - Reply to the communication concerning admissibility of an opposition
 - Reply to the observations made by the patent proprietor(s) -OR-
 - Reply to an examination report in opposition proceedings
 - Acknowledgement of receipt
 - Other documents
 - (c) As third party
 - Attach cited documents such as patents and other publications

Example 1: The opponents submit the facts and arguments and an authorisation

The grounds for opposition with an explanation of the facts should be presented pursuant to Rule 76 (2) c) EPC in a separate file with the opposition.

In this example, the first-named opponent, a company, is represented, by an employee. The specific authorisation for representation is presented as a separate document.

→ In the **Documents** sub-tab, click the **Add** button.



→ Select the **Facts and Arguments** option.

→ Navigate to where your file is saved.

→ Select the file and click **Open** to attach it.

The file is renamed **OPPO.pdf**.

The original file name and the number of pages are indicated on the form.

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Sample OPPO 1' window. The 'Documents' tab is active, and the 'Facts and arguments' option is selected. The document is named 'OPPO.pdf'. The original file name is 'Micro York Oppos...stant Water.pdf' and the number of pages is 10. The interface includes a menu bar (File, Edit, View, Tools, Windows, Help), a toolbar with icons for saving, opening, and deleting, and a status bar at the bottom indicating 'Logged in as Administrator'.

Figure 286: Facts and arguments document attached

- Click the **Add** button again to attach the authorisation.
 - Select the **Other documents** option.
 - Navigate to where your file is saved.
 - Select the file and click **Open** to attach it.
 - Select an option - in this example **Specific authorisation** - in the **Document type** list.
- The file is renamed **SPECAUTH-1 .pdf**.



Figure 287: Authorisation attached

Example 3: The proprietor of the patent submits a reply to the notice of opposition filed, a translation of the claims and the acknowledgement

In this example, the proprietor responds to the notice of opposition filed against the patent. An English translation of the claims is also filed.

- Click the **Add** button in the **Documents** sub-tab.



- Select the option **Reply to notice(s) of opposition**.
- Navigate to where your file is saved.
- Select the file and click **Open** to attach it.

The file is renamed **OBSO3 .pdf**.

The original file name and the number of pages are indicated on the form.

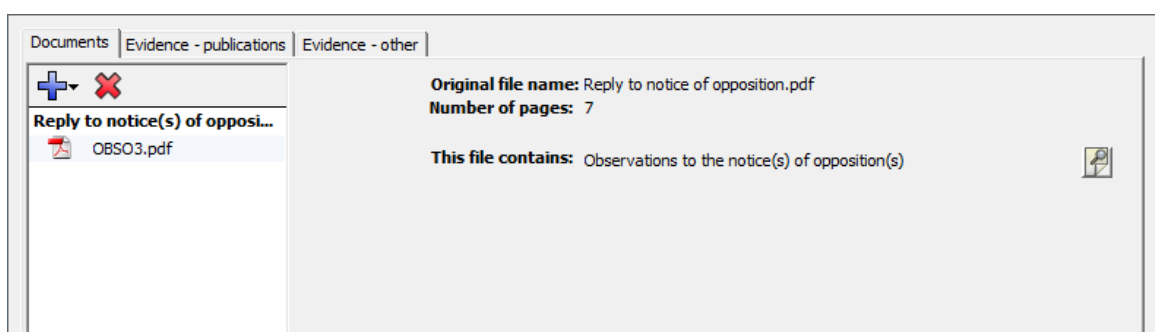


Figure 288: Reply to notice of opposition attached

- Click the **Add** button again to attach the translation.
- Select the **Other documents** option.
- Navigate to where your file is saved.
- Select the file and click **Open** to attach it.
- Select an option - in this example **English translation of claims** - in the **Document type** list.
The file is renamed **CLMSTRAN-EN-1 .pdf**.

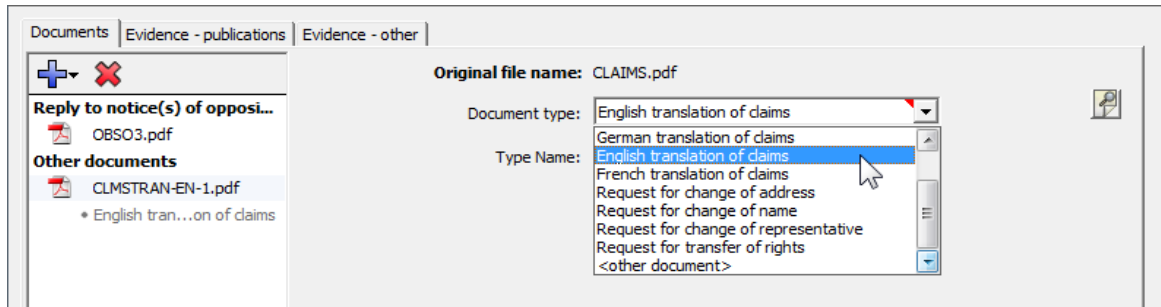


Figure 289: Translation of claims attached

- Click the **Add** button again to attach the acknowledgement.
- Select the **Acknowledgement** option.
- Navigate to where your file is saved.
- Select the file and click **Open** to attach it.
The file is renamed **ADVOFDELIVERY .pdf**.

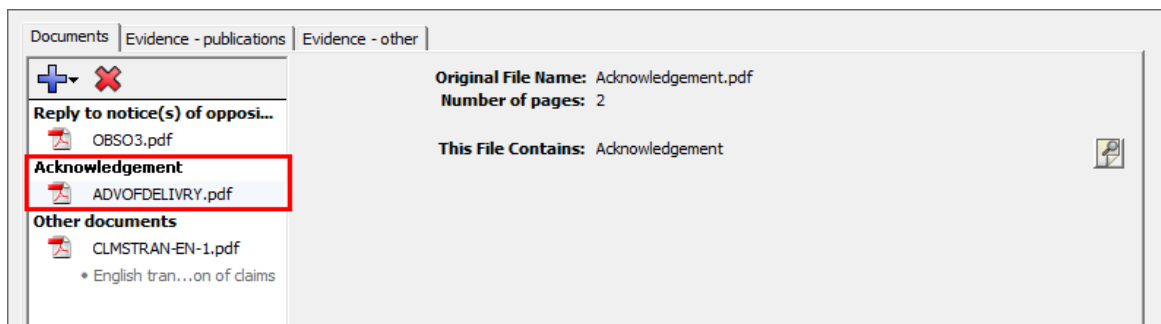


Figure 290: Advice of delivery attached by the proprietor

9.4.2 Evidence - publications

You can attach the following documents in the **Evidence - publications** sub-tab:

- ◆ Patents
- ◆ Articles
- ◆ Books
- ◆ Database
- ◆ Internet publications

Additional details on the publication should be provided for every document attached, including the date, author, publisher or URL.

Example 2: The interveners present multiple publications as evidence

In this example, the interveners present two publications as evidence: an article from a periodical and a publication on the Internet. Copies of both publications are provided as PDF files.

- Click the **Evidence - publications** sub-tab.
- Click the **Add** button.
- Select the **Articles** option and attach the relevant PDF file.
- Enter information on the publication in the fields provided:
 - **Reference** is an internal code under which you archived the publication or evidence
 - **Author's surname** and **first name**
 - **Title** of the published article
 - **Periodical name** of the periodical in which the article appeared, and where applicable **Volume number** and **Article No.**
 - **Publication date** in the format DD.MM.YYYY or month and year
 - **ISBN** number, if appropriate
 - **Particular relevance** indicates items of particular relevance in the article

The screenshot shows the 'Evidence - publications' sub-tab in the EPO Online Filing interface. On the left, there is a list of attached documents under the 'Articles' section, including 'Published-Evidence-1.pdf'. The main form is titled 'Article in Serial/Journal/Periodical' and contains the following fields:

- Original file name:** B01 Article Nano...gy Aug 2008.pdf
- Number of pages:** 10
- Reference:** B01 (with a note: e.g. D01, E02, etc.)
- Author's surname:** Foster
- Author's first name:** Joseph (with an 'et al.' checkbox)
- Title (Article):** Process of humidification of surfaces using powdered water
- Periodical name:** Nanotechnology - Progress in surface treatments
- Volume number:** 3
- Article No.:** 15
- Publication date:** 19 August 2008 (with a date picker)
- ISBN:** (empty field)
- Particular relevance (page, column, line, fig.):** page 35, fig. 5

Figure 291: Information on an article attached as evidence

- Click the **Add** button again to attach the Internet publication.
- Select the **Internet publications** option and attach the relevant PDF file.
- Enter information on the Internet publication, particularly the reference, the exact wording of the title and the date when you retrieved the publication.

Documents | Evidence - publications | Evidence - other

Internet publications

Published-Evidence-1.pdf
Published-Evidence-2.pdf

Internet

Original file name: B02 Internet Nanotechnology.pdf Number of pages: 2

Reference: B02 e.g. D01, E02, etc.

URL: www.nano-technology.info/publish/articles/0901409WaterPowder.html

Title: World of molecules - Novelty water powder tested in surface sealing

Publication date: 1 April 2008

Retrieval date: 15 October 2008

Author: ☐ Company:
☒ Surname: Foster
First name: Joseph ☐ et al.

Particular relevance (page, column, line, fig.): lines 24-36

Figure 292: Information on an Internet publication as evidence

9.4.3 Evidence - other

You can attach all other evidence in the **Evidence - Other** sub-tab:

- ◆ Affidavit
- ◆ Images or photo (PDF)
- ◆ Cover letter for non-scannable object
- ◆ Other evidence
- ◆ Translation of evidence

For every document, enter your internal reference for the evidence.

Example 4: The third party presents an affidavit and other evidence

In this example, the third party presents an affidavit. The third party has prepared a video recording as evidence and sent a DVD with the digital video film to the EPO by mail. The copy of the reference sheet to this DVD is presented as another piece of evidence in the online proceedings.

- Click the **Evidence - other** sub-tab.
- Click the **Add** button.
- Select the **Affidavit** option and attach the relevant PDF file.
The file is renamed **Affidavit-1.pdf**.
- Enter your internal reference in the **Reference field**.
- Select the option **Cover letter for non-scannable object** and attach the second PDF file.
The file is renamed **Model-Reference-1.pdf**.
- Enter your internal reference in the **Reference field**.

Documents	Evidence - publications	Evidence - other
+ × Affidavit Affidavit-1.pdf Cover letter for non-scanna... Model-Reference-1.pdf		
Original file name: D04 Miller Reference Sheet.pdf		Number of pages: 2
This file contains: Cover letter for non-scannable object		
Reference: D04 e.g. D01, E02, etc.		

Figure 293: Further documents attached as evidence

9.5 EP(Oppo) Fee Payment

Select the fees that you want to pay on Form EP(Oppo)'s **Fee Payment** tab and specify the mode of payment. The currency for all fees is **EUR**.

Payment details

- Click the **Payment details** sub-tab.
- Select the **Mode of payment** in the drop-down list.
 - The options **Automatic debit order** and **Debit from deposit account** assume that you have an EPO deposit account.
The **Automatic debit order** option is only valid for the proprietor(s) of the patent.
EPO deposit account numbers are made up of eight digits, starting with **28**.
 - Select the **Bank transfer** option if you want to transfer the fees to one of the EPO's bank accounts.
The **Bank** field becomes mandatory.
The number of the bank account appears with the bank sort code (RIB) in the **Bank account** field when you select the relevant bank.
 - Select **Not specified** if you are not sure how you will be settling the fees.

A red validation icon now appears on the **Fee Payment** button. The associated message indicates that the total fee amount is zero.

EPO Online Filing - EP(Oppo) - Sample OPPO 1

File Edit View Tools Windows Help

EP(Oppo) - Draft - Sample OPPO 1 Last saved on 26.10.2011

Opposition Names Requests Documents **Fee Payment** Annotations

Payment details Fee selection

Mode of payment: Debit from deposit account Currency: EUR

The European Patent Office is hereby authorised, to debit from the following deposit account with the EPO any fees and costs indicated in the fee selection:

Deposit account number: 28123456__

Account holder: Micro York

☐ Only required if different from above - Reimbursement, if any, to be made to deposit account with the EPO: 28

Account holder:

Logged in as Administrator

Figure 294: Details on fee payment

! **Note:** You are not required to enter **28** as the leading digits of the deposit account number, since these are automatically supplied by the software. Just enter the six remaining digits. If the deposit account number is not entered correctly, e.g. you enter more than six digits, you will see a red validation icon in the **Fee Payment** tab. The corresponding warning tells you to verify the deposit account number. The same rule applies to the deposit account number for reimbursement.

Further options

Additional options are available in the **Fee Payment** tab below the account information.

- If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, tick the corresponding check box.
 - ① This option applies to all selected modes of payment. However, if you selected **automatic debit order** or **debit from deposit account**, you are only required to enter an account number here if that number is different from the account number used for payment.
- Enter the EPO deposit account number where applicable and supply the account holder's name.

Fee selection

- Click the **Fee selection** sub-tab.
- Tick the check boxes for the fees to be paid.
The fee amount is automatically calculated.

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
☐	009	Fee for publishing a new specification of the European patent	70,00	none	1	0,00
☒	010	Opposition fee	745,00	none	1	745,00
☐	017	Fee for the awarding of costs	70,00	----	1	0,00
☐	018	Fee for the conservation of evidence	70,00	----	1	0,00
☐	056	Surcharge fee for printing (R.82(3), R.95(3))	115,00	none	1	0,00

Fee schedule for EUR valid as of: 01.04.2012

Total: (1 Fees) EUR 745,00

Figure 295: Selecting the fees payable

Online fee payment

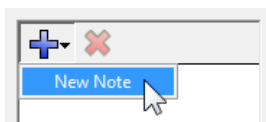
The EPO offers a quick and secure online fee payment service designed for holders of EPO deposit accounts. For more information, go to the EPO website and navigate to **Applying for a patent > Online services > Online fee payment** (<http://www.epo.org/applying/online-services/fee-payment.html>).

9.6 EP(Oppo) Annotations

In the **Annotations** tab you can enter notes to be transmitted to the EPO.

Creating notes for the EPO

→ Click the **Add** button and select **New Note**.



→ Enter the relevant information in the **Author**, **Subject** and **Note** fields.

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Sample OPPO 1' application window. The 'Annotations' tab is active, displaying a form with the following fields:

- Author:** Jessica Scott
- Subject:** Authorisation for representation
- Note:** Micro York has authorised me instead of Mr. Andrew Morgan as their representative effective from November 1, 2008.

The window also features a menu bar (File, Edit, View, Tools, Windows, Help), a toolbar with icons for saving, printing, and help, and a status bar at the bottom indicating 'Logged in as Administrator'.

Figure 296: Opponent annotation for the EPO

❗ To add notes that are NOT intended for the EPO, please use the **Internal notes** (p. 42) function.

9.7 EP(Oppo) Previewing the completed form

Two different PDF views of Form EP(Oppo) are displayed in preview mode depending on whether you started by selecting **Notice of opposition** or **Other action**.

→ Click the **Preview** button in the toolbar.



Example 1: Multiple opponents

If you selected the **Notice of opposition** option, EPO Form 2300E entitled **Notice of opposition to a European patent** is displayed.

Information on the opposed patent, the proprietor of the patent and the (first) opponent is displayed on the first page. The address for correspondence and the employee under Article 133(3) EPC are indicated.

PDF Viewer

ep-oppo.pdf (ep-oppo.pdf)
 ep-opposition-data.xml (ep-opposition-data.xml)
 package-data.xml (package-data.xml)
 pkgheader.xml (pkgheader.xml)
 OPPO.pdf (Micro York Opposition)
 SPECAUTH-1.pdf (Micro York Authorisation)

Notice of opposition to a European patent

I. Patent opposed

Patent No. EP1234567
 Application No. EP11012346.2
 Date of mention of the grant in the European Patent Bulletin (Art. 97(3), Art. 98(1) EPC) 29 September 2011
 Title of the invention Instant Water

II. Proprietor of the patent

first named in the patent specification Manzoni, Salvatore
 Opponent's or representative's reference Sample OPPO 1

III. Opponent

Name Micro York
 Department Patents
 Address 38, Fullerton St
 York Yorkshire YO1 9QN
 United Kingdom
 State of residence or of principal place of business United Kingdom
 Telephone/Fax +44 1904 660345 +44 1904 660480
 e-mail info@micro-fork.co.uk
 Address for correspondence
 Address Micro York
 Legal Affairs
 P.O. Box 3400
 London Greater London W1A 2BC
 United Kingdom

Multiple opponents (see additional sheet) ☒

IV. Authorisation

EPO Form 2300E - Sample OPPO 1 Page 1 of 4

Cancel

Figure 297: PDF view of the form "Notice of opposition to a European patent"

The other opponents are listed on one or more additional sheets at the end of the PDF document.

Additional Sheet(s) to Form EP2300E

Opponent's or representative's reference: Sample OPPO 1

Additional Opponent(s):

2. Opponent: Bio Research

Department: Nanotechnologie

Address: Kanalstraße 34
10234 Berlin
Germany

State of residence or of principal place of business: Germany

Telephone/Fax: +49 30 870067 / +49 30 87006721

e-mail: nano@bioresearch.de

3. Opponent: Kenneccott, Mr James

Address: 10 High Street
London Greater London W1A 2BC
United Kingdom

State of residence or of principal place of business: United Kingdom

Country of nationality: United Kingdom

Telephone/Fax: +33 23 78987

EPO Form 2300E - Sample OPPO 1

Page 4 of 4

Cancel

Figure 298: PDF view of the additional sheet to the opposition, listing additional opponents

Example 3: Reply of the proprietor of the patent

If you selected the **Other action** option, the form entitled **Submission in opposition proceedings** is displayed.

Requests and attached documents are listed in the section after the information on the proprietor of the patent and the patent.

Submission in opposition proceedings
Submission following summons to attend oral proceedings

Representative:
IP Partners
European Patents
Cambridge Science Park
100 Red Lion Square
Cambridge Greater London CB2 1AB
United Kingdom
Phone: +44 1223 3616-0
Fax: +44 1223 361690
E-mail: office@ip-partners.co.uk

80208 Munich
Germany
Tel. +49(0)89 2396-0 | Fax +4485
P.O. Box 5618
NL-2280 HW Rijswijk
Netherlands
Tel. +31(0)70 340-2040 | Fax +3016
10058 Berlin
Germany
Tel. +49(0)30 25901-0 | Fax +480

- representing the proprietor(s): Nano Enterprise Ltd.

Proprietor/representative's reference: Sample OPPO 3

The information given below is pertaining to the following patent in opposition proceedings:

Patent No. EP1160040

Application No. EP11600400.4

Date of mention of the grant in the European Patent Bulletin (Art. 97(3), Art. 99(1) EPC) 04 October 2011

Requests:

- The request for oral proceedings is hereby withdrawn.
- An extension of the time limit by 4 month(s) to a total of 6 month(s) is hereby requested.

Documents attached:

	Description of document	Original file name	Assigned file name
1	Reply of the patent proprietor to the notice(s) of opposition	Reply to notice of opposition.pdf	OB303.pdf
2	Acknowledgement	Acknowledgement.pdf	ADVOFDELIVRY.pdf
3	English translation of claims	English Translation of Claims.pdf	CLMSTRAN-EN-1.pdf

Signatures

Sample OPPO 3

Cancel

Figure 299: PDF view of the form "Submission in opposition proceedings"

Example 4: A third party submits information

If you selected the **Other action** option and designated a third party, the form entitled **Observations by third parties (Art. 115 EPC)** is displayed.

The attached documents and evidence are listed on the form.

Observations by third parties (Art. 115 EPC)

Third Party:
Parker & Partners
 Nanotechnology
 257, Harbour Road
 Dover Kent CT16 3PJ
 United Kingdom

80296 Munich
 Germany
 Tel. +49(0)89 2360-0 | Fax +4465

P.O. Box 5818
 NL-2280 HV Rijswijk
 Netherlands
 Tel. +31(0)70 340-2040 | Fax -3018

10058 Berlin
 Germany
 Tel. +49(0)30 25601-0 | Fax -640

Third party/representative's reference:

The information given below is pertaining to the following patent in opposition proceedings:

Patent No.

Application No.

Date of mention of the grant in the European Patent Bulletin (Art. 97(3), Art. 99(1) EPC)

Title of the invention

Proprietor of the patent

Evidence filed subsequently:

1a	Other evidence	original file name: D04 Miller Reference Sheet.pdf attached as: Model-Reference-1.pdf
D07	Other evidence	original file name: D07 Miller Affidavit.pdf attached as: Affidavit-1.pdf

Signatures

Sample OPPO 4

Cancel

Figure 300: PDF view of the "Observation by third parties (Art. 115 EPC)" form

10 PCT/RO/101

The request form PCT/RO/101 allows you to submit an international application electronically to the EPO, WIPO or any national office that accepts these online filings. The provisions of the PCT and its regulations (PCT Rules) apply, supplemented where applicable by the provisions of the EPC.

! *Note: This document focuses on the EPO acting as receiving office. For more information about the PCT, see the WIPO website at **IP Services > PCT > Treaty** (<http://www.wipo.int/pct/en/treaty/about.html>).*

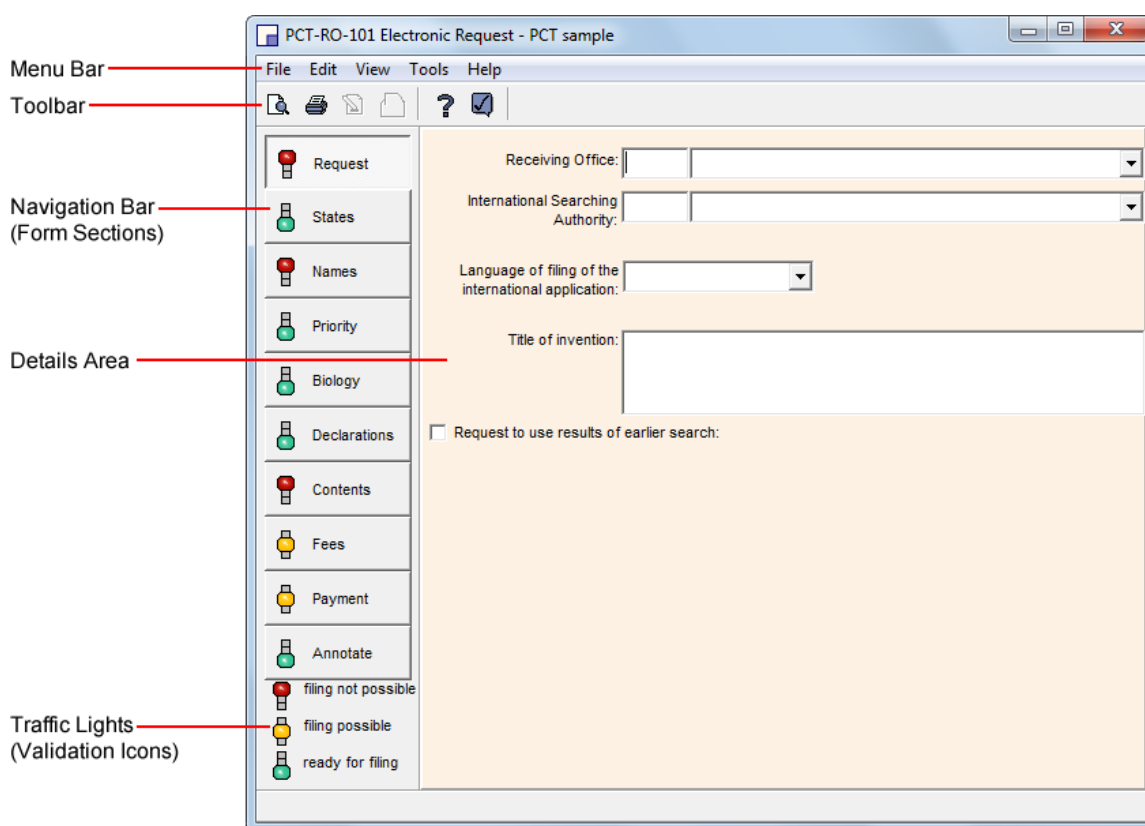


Figure 301: PCT/RO/101 form overview

Form element	Comments
Menu bar	Provides options to edit, save, preview, print, import and export applications, switch to another section, view validation messages and access help.
Toolbar	Provides shortcuts to the most frequently used tasks and tools.
Navigation bar	Displays tabs corresponding to the sections of the form.
Details area	Displays data entry fields appropriate to the selected tab.
Traffic lights	Uses colours to indicate the completeness of each section.

Toolbar

The **toolbar** provides buttons for the most common tools you will need to access as you prepare, sign and send your application. If the current status of your application does not allow you to perform a particular task yet, the corresponding button is deactivated.

Button	Function	Comments
	Preview	Shows a preview of the application in the PDF Viewer.
	Print	Prints the application to your default printer.
	Sign	Prepares the application for submission and moves it to Ready to sign status in the File Manager. If the option Start signing immediately when moving application forwards from draft status is selected in the user preferences in the File Manager, the application immediately opens in the PDF Viewer to be signed; see Signing the form (p. 331).
	Save as Ready for Signing	Prepares the application for submission and moves it to Ready to sign status in the File Manager. Signing can then be done from the File Manager; see Signing the form (p. 331).
	Help	Opens the Online Help in your default browser.
	Validation	Opens the Validation Messages window for the currently selected section (tab).

Navigation bar (sections)

Form PCT/RO/101 is split into ten administrative sections represented by corresponding tabs.

Tab	What you can do
Request	Request that the present international application be processed according to the Patent Cooperation Treaty (PCT) Select the receiving office, the International Searching Authority and the language Enter a title for the application
States	Exclude certain designated states Indicate reference to a parent application or grant
Names	Enter details of applicant, agent (representative) and inventor
Priority	Claim a national, regional or international priority
Biology	Enter details related to deposited microorganisms and the depositary institution Indicate that the description contains a sequence listing
Declarations	Make applicant or inventor declarations
Contents	Attach specification documents and other electronic files
Fees	Calculate fees according to the selected fee schedule
Payment	Select a payment option and enter related data.
Annotate	Create remarks and private remarks View the Validation Log Designate inventor(s) for certain states only

Traffic lights (validation icons)

Validation messages are indicated by the traffic light icons. This way, you can see at a glance if the data you have entered is complete or if additional information is required.

 filing not possible	A red traffic light icon signals that mandatory information is missing (for example, the description of the invention or the claims). You must supply this data before submitting the form. A PDF or XML document added in the Contents tab may also trigger a red traffic light if it is deemed not to be of a sufficient quality to meet the filing criteria.
 filing possible	A yellow traffic light icon indicates that this information is required, but not mandatory at this stage (for example, the abstract). If a yellow light is displayed when you add a PDF or XML document in the Contents tab this may also reflect compliancy or quality issues that should be reviewed. In this case, however, the documents are of sufficient quality to allow filing.
 ready for filing	A green traffic light icon indicates that the information is complete.

Viewing validation messages

For example, if you are working in the **Request** section and the traffic light icon in the **Request** tab is red, the validation window will provide you with more information about the data that is missing.

→ To open the **Validation Messages** window, click the **Validation** button in the toolbar.



-OR-

Select **Tools > Validation** from the menu.

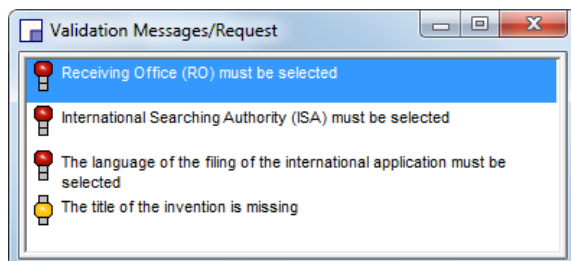


Figure 302: Validation messages relating to the Request tab

You can display the validation messages for each form section individually or you can view the **Validation Log** for the application as a whole; see **PCT/RO/101 Annotate** (p. 325).

10.1 Creating a new PCT/RO/101 application

The most convenient way to create a new PCT/RO/101 application from scratch is by using the **PCT/RO/101** form in the **Forms** folder of the File Manager.

① For detailed information on working with folders, applications and templates in the File Manager, see the corresponding section in the Online Filing user guide or in the online help for the File Manager.

→ Launch the **Online Filing Client 5.0**.

By default, the File Manager opens with the **Forms** folder displayed.

→ Double-click the **PCT/RO/101** form.

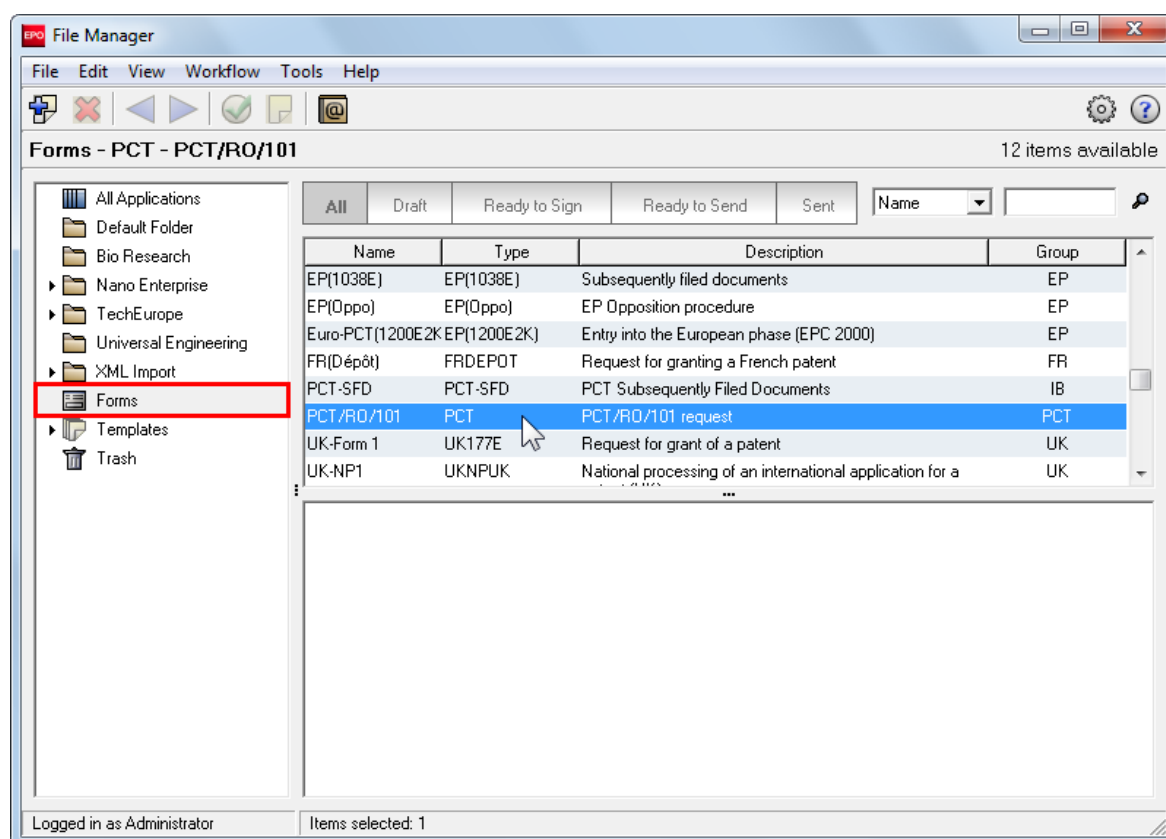


Figure 303: Selecting the PCT/RO/101 form in the Forms folder of the File Manager

The **Create a New Application** window opens.

- Enter the **User Reference** for the new application.
- Select the language you want in the **Language of proceedings** list.
The form on which the application is transmitted to the EPO will be created in this language.
By default, the language is **English** if your File Manager is also set to English.
- Select the **folder** where you want to save the new application.
Default Folder is selected by default.
- Click **Create**.

Figure 304: Entering data to create a new application

A warning message appears if the user reference you entered has already been assigned to another PCT/RO/101 application.

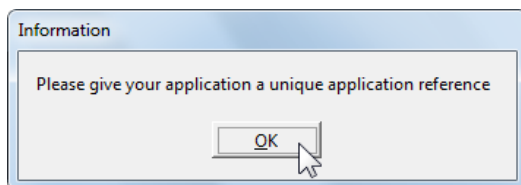


Figure 305: Warning message if the user reference is already in use

Online Filing does not allow you to use the same user reference for multiple PCT/RO/101 applications.

- Edit your entry in the **User Reference** field.
- Click **Create**.
- The new PCT/RO/101 application opens in the form view.

10.1.1 Saving the form

The new application and all the data that you are going to enter are only stored in the Online Filing database if you save the form. If you close the form without saving, all data will be lost.

Saving the draft application while keeping the form open

- From the menu, select **File > Save as Draft**.

The saving process will take a few moments. You can then continue working in the application.

Closing the form and saving the application on exit

- From the menu, select **File > Close Form**.

-OR-

Click the red closing button in the top right-hand corner of the form window.

-OR-

Double-click the violet and white icon in the top left-hand corner of the form window.

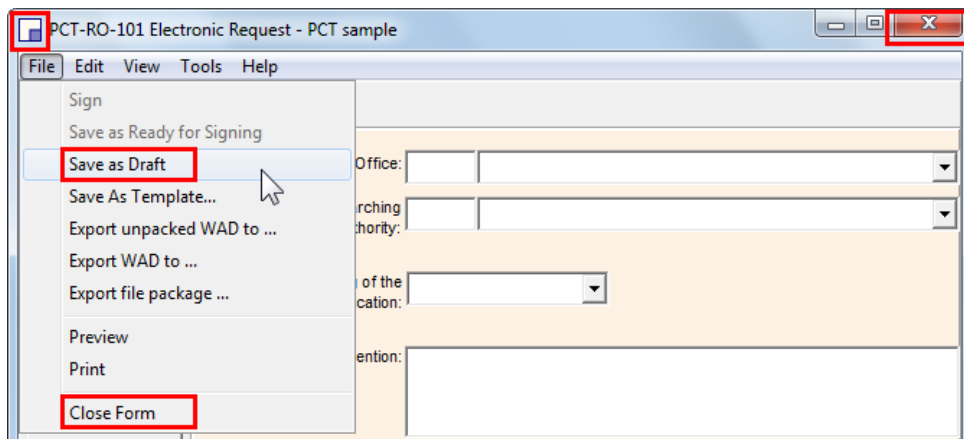


Figure 306: Options for saving and closing an application

- In the following dialogue, select **Save as Draft**.

- Click **OK**.

The application is saved and closed, returning you to the File Manager.

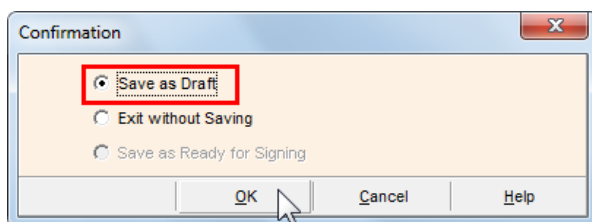


Figure 307: Options in the closing dialog

10.1.2 Working with templates

Templates are user-defined forms, containing data that you need every time you prepare certain applications, such as information relating to a particular applicant or to fee payments.

❗ The only way to create a template for a PCT/RO/101 form is to use a draft saved in the **Default Folder** of the File Manager. If you create a template using any other folder, your template will not be visible from the File Manager interface.

Creating a template from the open form

- From the menu, select **File > Save as Template**.
- In the following dialogue, enter a unique user reference for the template.
- Click **OK**.

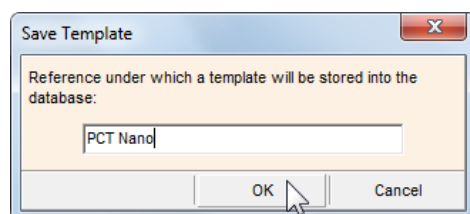


Figure 308: Entering user reference for a new template

Entering a description for the template

All templates based on form PCT/RO/101 are automatically saved in the **Templates** folder in the File Manager.

- To assign a description to a template, right-click it and select **Properties** from the context menu.

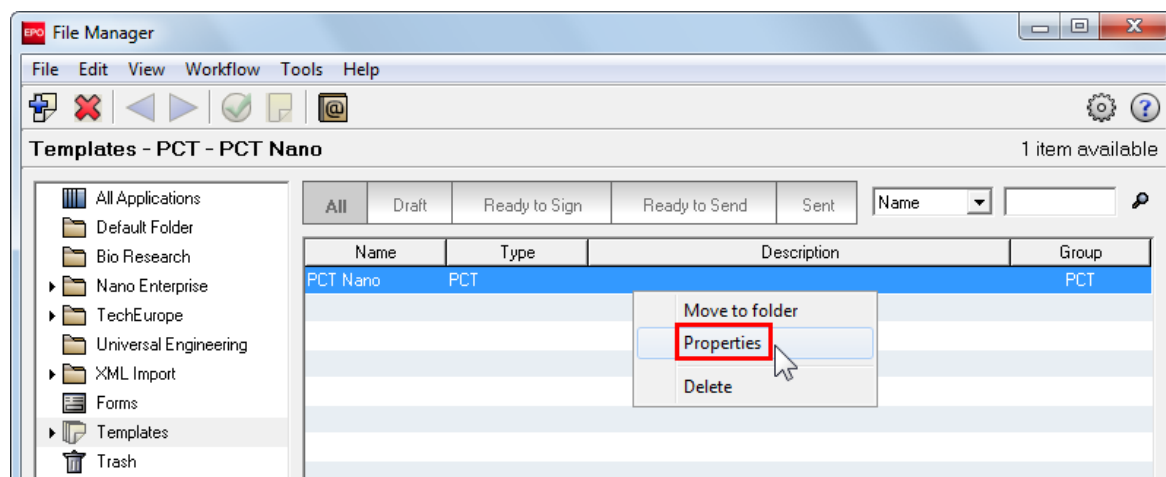


Figure 309: Editing the properties of a template

- In the following dialogue, enter the **Template description**.
- Click **Save**.

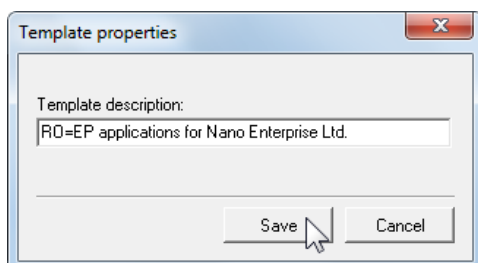


Figure 310: Entering a description after a template has been created

❶ Note: Existing PCT/RO/101 templates cannot be edited. If you want to copy or edit a template, create a new application based on this template, edit the data as required and save the form as a new template.

Using the template for a new application

- Double-click the template in the **Templates** folder.
The **Create a New Application** window opens.
The template's name is already selected in the **Based on Template** drop-down list.
- Proceed as described in **Creating a new PCT/RO/101 application** (p. 260).

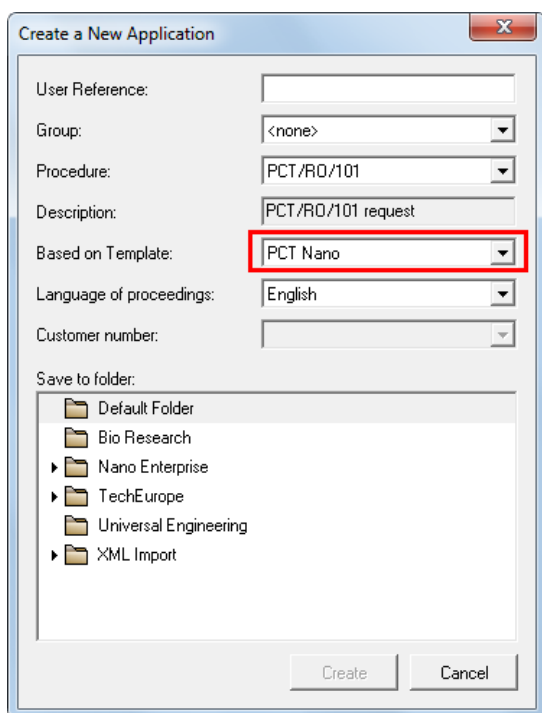


Figure 311: Creating a new application from a PCT/RO/101 template

10.2 PCT/RO/101 Request

Form PCT/RO/101 opens with the **Request** tab by default. This section provides data entry fields for the most basic information of a new application.

① The examples shown in this document are confined to applications where the EPO is selected as both receiving office and International Searching Authority (ISA).

- Select **EP** as the **Receiving Office**.
- Select **EP** as the **International Searching Authority**.
- Select the **Language of filing of the international application**.
The available options are English, French and German.
- Enter the **Title of invention** using BLOCK CAPITALS.
The title should be the same as on the first page of the description.

The screenshot shows the 'PCT-RO-101 Electronic Request - PCT sample' window. On the left is a sidebar with icons for Request, States, Names, Priority, and Biology. The main area contains the following fields:

- Receiving Office:** EP (selected), European Patent Office (EPO)
- International Searching Authority:** EP (selected), European Patent Office (EPO)
- Language of filing of the international application:** English (selected)
- Title of invention:** CARD READER

Figure 312: Entering basic data for the application

Request to use results of earlier search

- If appropriate, tick the check box **Request to use results of earlier search**.
This enables additional options for entering the required details.
- Double click the row **Open to add reference to earlier search**.
-OR-
Click the **Open** button.

The screenshot shows the 'Request to use results of earlier search' section. A red box highlights the checked checkbox. Below it is a table with the following structure:

No.	Country (or regional Office)	Date	Number
+	Open to add reference to earlier search		

At the bottom right, there is an 'Open' button with a mouse cursor pointing to it.

Figure 313: Adding a reference to an earlier search

The **Details of Earlier Search** window opens.

- Select the **Country (or regional Office)**.

The **European Patent Office (EPO)** is selected by default if the EPO was selected as the International Searching Authority.

- Enter the **Filing date**.
- Enter the **Application number** in the appropriate format.
- If applicable, tick the check box for **This international application is the same, or substantially the same, as the application in respect of which the earlier search was carried out, except, where applicable, that it is filed in a different language**.

The two remaining options are mutually exclusive.

- If search-related documents are already available to the ISA, select **The following documents are available to the ISA in a form and manner acceptable to it and therefore do not need to be submitted by the applicant to the ISA (Rule 12bis.1(f))**.
- Select all applicable options.

Figure 314: Details of earlier search, documents available to the ISA

① The option **The receiving Office is requested to prepare and transmit to the ISA (Rule 12bis.1(c))** does not apply for applications where the EPO is the receiving office, because the EPO is also the ISA in these cases.

- Click **OK**.

The **Details of Earlier Search** window closes.

Back in the **Request** tab, you can continue editing references to earlier searches.

- Add another reference by clicking **Open** once again.
- Delete a reference by right-clicking it and selecting **Cut** from the shortcut menu.

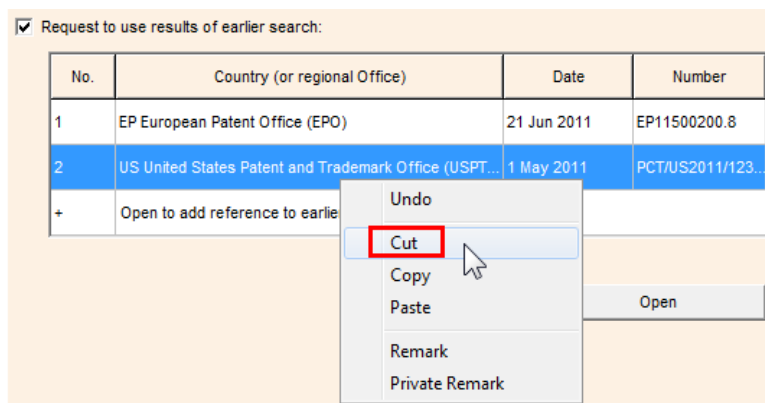


Figure 315: Deleting reference to earlier search results

10.3 PCT/RO/101 States

The **States** tab of form PCT/RO/101 allows you to exclude pre-defined designation states and add references to parent applications or grants.

① The most recent list of **PCT contracting states** (http://www.wipo.int/pct/guide/en/gdvol1/annexes/annexa/ax_a.pdf) is available on the WIPO website.

By default, all contracting states bound by the PCT on the international filing date are designated when a new request is filed. However, the designation of Germany, Japan or the Republic of Korea can be excluded if a national priority of the particular state concerned is claimed.

→ To exclude a designation irrevocably, tick the corresponding check box.

Reference to parent application or grant

→ To add a reference, click the **Reference to parent application or grant** button.

① The check box to the left of the button cannot be edited manually.

PCT-RO-101 Electronic Request - PCT sample

File Edit View Tools Help

Request States Names Priority Biology Declarations Contents Fees Payment Annotate

Designations

The filing of this request constitutes under Rule 4.9(a), the designation of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents.

However,

☐ DE Germany is not designated for any kind of national protection

☐ JP Japan is not designated for any kind of national protection

☐ KR Republic of Korea is not designated for any kind of national protection

(The check-boxes above may only be used to exclude (irrevocably) the designations concerned if, at the time of filing or subsequently under Rule 26bis.1, the international application contains a priority claim to an earlier national application filed in the particular State concerned, in order to avoid the ceasing of the effect, under the national law, of this earlier national application. For details see the PCT Applicant's Guide, in the relevant Annex B1.)

☐ **Reference to parent application or grant**

Please follow the internet link below for the current list of PCT Contracting States:

<http://www.wipo.int/treaties/en/documents/pdf/pct.pdf>

filing not possible
filing possible
ready for filing

Figure 316: Designation of states, adding reference to parent application or grant

The **Reference to Continuation or Continuation-in-Part ...** window opens, with the **National parent application or grant** tab selected by default. All relevant countries are displayed in the list.

- ① If you excluded individual countries (DE, JP or KR) from designation, these are not listed.
- To enter or edit a reference, double-click the corresponding country in the list.

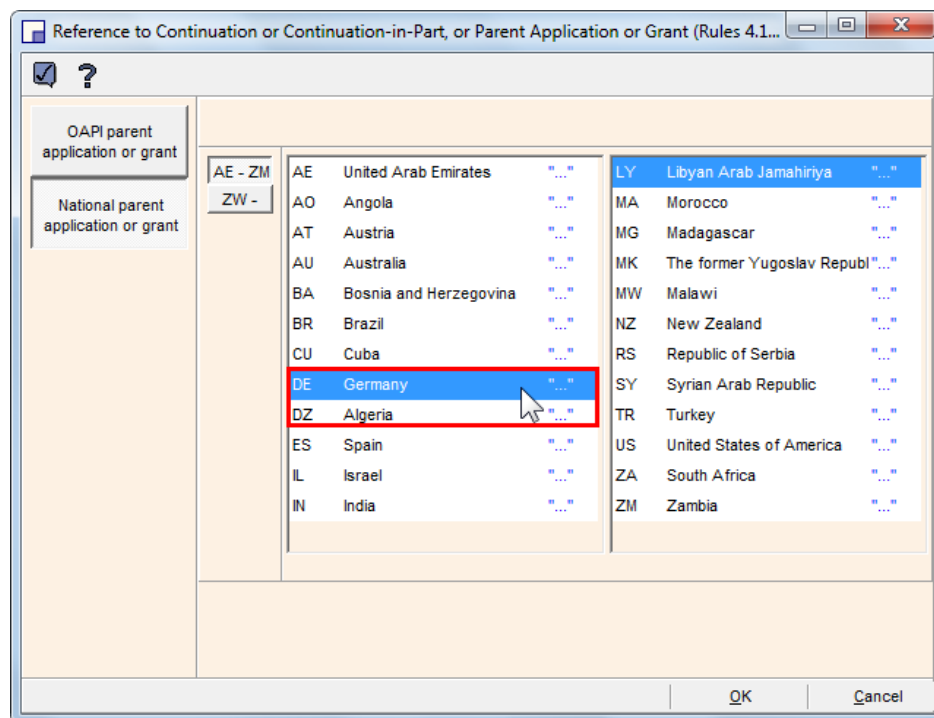


Figure 317: Adding reference to national parent application or grant

The **National parent application or grant** window opens.

- Select the **Kind of parent application or grant**.
- Enter the **Parent application or grant number**.
- Enter the **Parent application or grant date**.
- To add or edit another reference, click the corresponding country code on the left-hand side and enter the relevant details.
- Click **OK**.

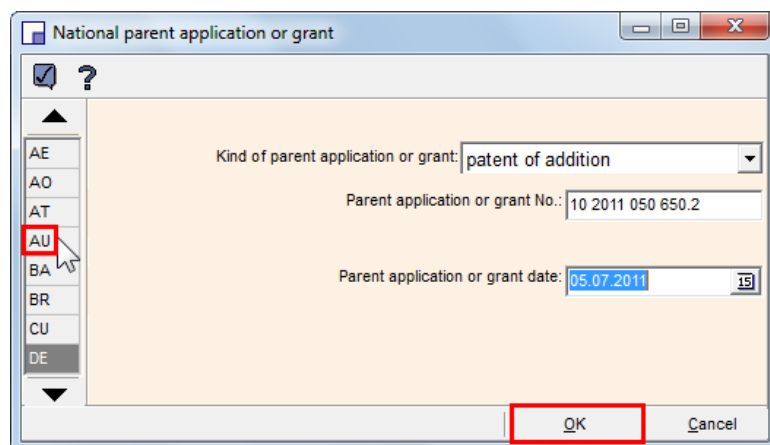


Figure 318: Entering details for national parent application or grant

The national references are now displayed in the country list. The abbreviation stands for the kind of patent application or grant. For example, **poa** means **patent of addition**.

- To add an OAPI reference, click the button labelled **OAPI parent application or grant** (OAPI = Organisation Africaine de la Propriété Intellectuelle).

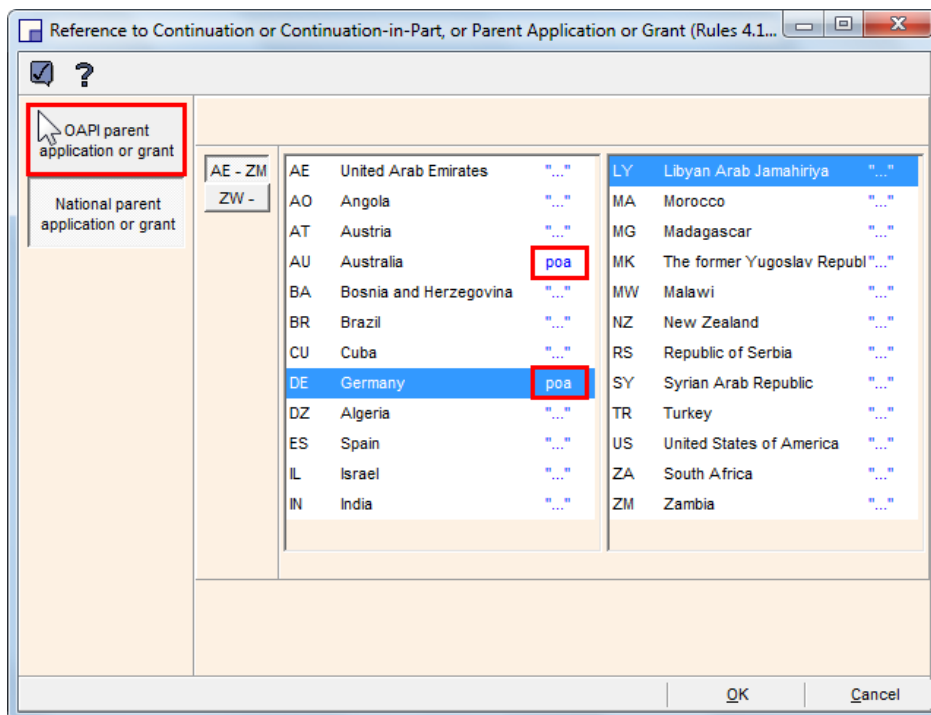


Figure 319: National parent applications entered, switching to OAPI parent application

- Enter the details.
→ Click **OK**.

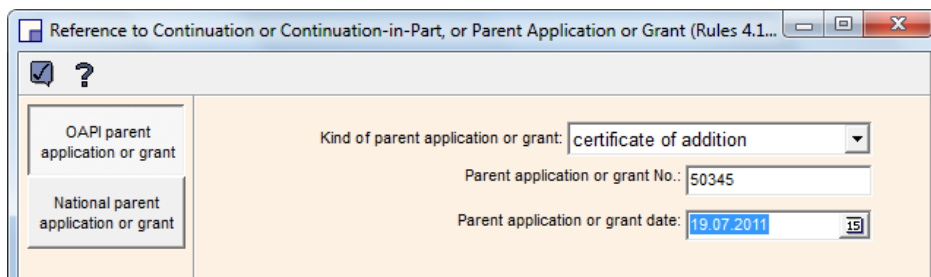


Figure 320: Entering details for OAPI parent application

Back in the **States** tab, the check box for **Reference to parent application or grant** is now ticked.

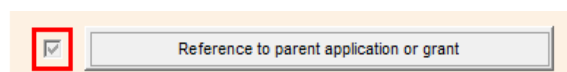


Figure 321: Check box is selected and indicates references to parent applications

10.4 PCT/RO/101 Names

The **Names** tab of PCT/RO/101 is for adding contact details for all persons involved in this application:

- ◆ Applicant
- ◆ Inventor
- ◆ Agent
- ◆ Common representative

In certain cases, an additional special address for correspondence can be added.

There are two different ways of adding names and addresses to the form. Choose the method which is most convenient for your personal workflow.

(1) Copying names from the Address Book

- ➔ To browse the Online Filing Address Book, click the **Address Book** button.
- ➔ Define a single entry for one of the functions in the **Names** tab; see **Adding names from the Address Book to a form and vice versa** (p. 286).

Function	Name	Val.
+ Applicant	Open to add applicant or applicant/inventor	
+ Inventor only	Open to add inventor only	
+ Agent	Open to add agent	

Address Book Power of Attorney Open

Figure 322: Options for adding persons in the Names tab

(2) Adding names in the Details window

- Open the details window for the applicant, inventor or agent, either by double-clicking the corresponding row in the list or by selecting an entry and clicking the **Open** button.
- Enter the name and address data manually.

-OR-

Import an entry from the Address Book:

- Select the first address book entry by clicking the address book icon.



- Browse the address book in sequence using the left and right buttons.

**Removing names**

- To delete a name, right-click the corresponding entry and select **Cut** from the shortcut menu.

① Note: This action cannot be undone.

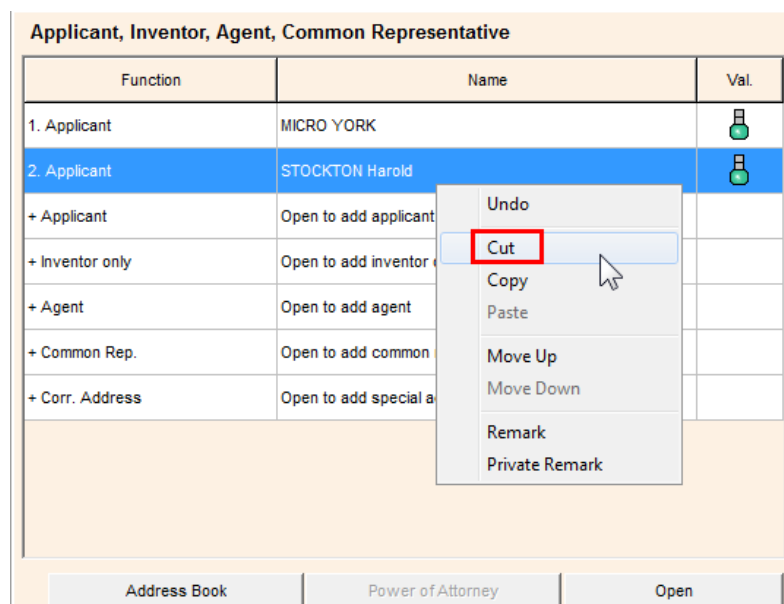


Figure 323: Removing person from the Names tab

10.4.1 Applicant

At least one applicant or applicant/inventor must be indicated for all designated states or group of designated states. For the competence of the EP as the receiving office at least one of the applicants must be resident in or have the nationality of one of the EPC states.

Applicant is a legal entity

The **Details concerning Applicant or Applicant/Inventor** window opens when you click **Open** in the **Names** tab. **Legal entity** is selected by default.

- In the **Name** field, enter the company name (full official name) in BLOCK CAPITALS.
- Enter the remaining address information.
- If applicable, enter additional address information such as the floor, building etc. in the first address field.
 - ① Note: The second address field is intended for the street and house/building number.
- If you wish, you can select your preferred option for the use of e-mail to send notifications.
 - ① At present, however, the EPO does not send any official communications by e-mail so this option is redundant when filing with the EPO.
- To continue adding entities, click the corresponding button on the left-hand side. For example, **+ App.** adds a second applicant to the list.
- Click **OK** when ready to return to the **Names** tab.
- Click **Cancel** to close the **Details** window without saving data.

Figure 324: Details concerning applicant, legal entity

Applicant or applicant/inventor is a natural person

- Select **Natural person**.

This also unlocks the option **This person is also inventor** to the right.

- Where appropriate, tick the check box to designate this applicant as inventor.
- Enter the last name in BLOCK CAPITALS.
- Complete the address data.

❗ **Telephone, facsimile and e-mail** information is only required for the first applicant, so the corresponding fields are locked for the second and all further applicants.

- ❗ The **Rep.** (common representative) option becomes available on the left-hand side.

Figure 325: Details concerning second applicant, natural person

Designated states

If you want to restrict the designated states for any applicant, you can specify the states individually.

- Select **Certain designated States only**.
- Click the **select/modify** button, which is now available.

Figure 326: Option for designating certain states only

- Select the desired countries by ticking boxes individually.
- Use the **Select All** button to select the complete list.
- Use the **Clear All** button to undo any selection.

Note that the list is ordered alphabetically by type and then country. A country may appear more than once under these types:

- ◆ ARIPO patent
- ◆ Eurasian patent
- ◆ European patent
- ◆ OAPI patent
- ◆ National patent

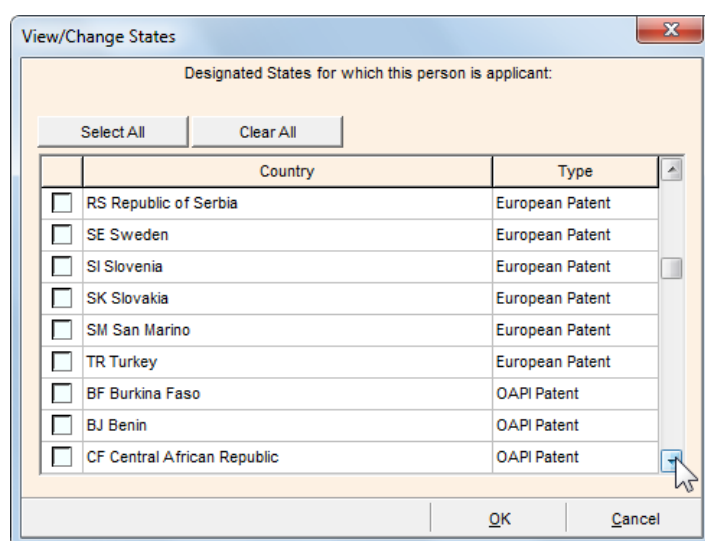


Figure 327: Designated states grouped by type

Common representative

If more than one applicant is entered, the common representative (**Rep.**) option becomes available if no agent or correspondence address is used. The common representative must be resident in or have the nationality of one of the EPC states.

Agent (**Agf.**), common representative (**Rep.**) and correspondence address (**Corr.**) are mutually exclusive options, meaning that if one is chosen then the other two options are unavailable. If none of these three options is used, the first named applicant will be considered as the common representative and all correspondence will be addressed to him.

- Click the **Rep.** button on the left-hand side of the **Details** window.
- OR-
- Double-click the **+ Common Rep.** row in the **Names** tab.
- Select one of the applicants from the **Name** drop-down list.

The address details are completed automatically.

Figure 328: Details concerning Common Representative, using data of 1. Applicant

Special address for correspondence

If no agent and no common representative are named, you can add an extra address for correspondence which is different from an applicant's primary address.

→ Click the **Corr.** button on the left-hand side of the **Details** window.

-OR-

Double-click the **+ Corr. Address** row in the **Names** tab.

By default, the details are completed automatically with the name and address information of the first applicant.

→ Modify this data where necessary.

Figure 329: Details concerning Special Address for Correspondence, legal entity

10.4.2 Inventor

You do not have to name the inventor(s) when you file your application, as the information can be submitted subsequently, but it is strongly recommended that you do so.

Inventor only

- In the **Names** tab, double-click the + **Inventor only** row.
- OR-
- In the **Details** window, click + **Inv.**
- Fill in the data fields or retrieve an entry from the address book.
- ① Remember to enter the inventor's last name in BLOCK CAPITALS.

Details concerning Inventor Only

Name: BURTON ☐ Deceased

First Name: Peter Enter last name in CAPITAL Letters

Country or territory: GB United Kingdom

Address: 20, London Road

City: Manchester

Greater Manchester

Postal code: M1 1AB

OK Cancel

Figure 330: Details concerning Inventor Only

Deceased inventor

The successor to the rights of the deceased inventor can be selected from defined applicants provided that an applicant is designated for the US in the **Names** tab. The deceased person remains the inventor.

- Select the **Deceased** check box in the **Details concerning Inventor Only** window.

The applicant names that appear on the list are those whose designations include the United States of America.

① If no US designation is present under any of the applicants, then this list will be empty and you cannot enter any data for succession rights in the US.

- Select the check box for the applicant who is successor to the rights of the deceased inventor.
- Double-click in the corresponding **Capacity** box to open the list of options.
- Select the appropriate capacity.
- Repeat these steps if there is more than one legal representative for the deceased inventor.

Details concerning Inventor Only

Name: ☒ Deceased

First Name:

The following person(s) is (are) successor(s) to the rights of the deceased inventor for the purposes of the designation of the United States of America:

	Applicant	Name	Capacity
☒	1. Applicant	NANO ENTERPRISE LTD.	executor
☐	2. Applicant	PRESTON Anthony	administrator administratrix estate executors executrix heir heiress heirs

OK Cancel

Figure 331: Selecting capacity for the successor to the rights of the deceased inventor

10.4.3 Agent

If you don't specify a common representative or a special address for correspondence, you can name one or more agents.

→ In the **Names** tab, double-click the **+ Agent** row.

-OR-

In the **Details** window, click **+ Agt.**

① Note that the options **Common Representative** and **Corr. Address** become unavailable once you added an agent.

→ Select the person type: **Legal entity** or **Natural person** (default option).

- For legal entities, enter the company name in BLOCK CAPITALS.
- For natural persons, enter the last name in BLOCK CAPITALS.

→ Complete the agent's data.

① For the competence of the EP as the receiving office the agent must be resident in or have the nationality of one of the EPC states.

→ If you provide an e-mail address, select the appropriate authorisation check box.

① At present, however, the EPO does not send any official communications by e-mail.

Details concerning Agent

☒ Legal entity ☐ Natural person

Name: IP PARTNERS Registration No.

First Name:

Country or territory: GB United Kingdom Telephone: +44 1223 3516-0

Address:

Facsimile: +44 1223 351690

City: Cambridge e-mail: office@ip-partners.co.uk

GB County: Greater London

Postal code: CB2 1AB

The competent PCT Authorities are authorized to use this e-mail address, if the Authority so wishes, to send notifications issued in respect of this international application:

☐ as advance copies followed by paper notifications

☒ exclusively in electronic form (no paper notifications will be sent)

☐ Same address as the first-named agent

OK Cancel

Figure 332: Details concerning agent, legal entity

- Click **+ Agt.** to name a second agent.
- Enter the agent's name.
- Select **Same address as the first-named agent**, if applicable.
The address data entry fields are then removed from the form.
- Click **OK** when ready.

Details concerning Agent

☐ Legal entity ☒ Natural person

Name: Registration No.

First Name:

1. App.
2. App.
+ App.
1. Inv.
2. Inv.
+ Inv.
1. Agt.
2. Agt.
+ Agt.

☒ Same address as the first-named agent

OK Cancel

Figure 333: Details concerning 2. Agent, natural person

Back in the **Names** tab you have further options:

- To change the order of the agents, right-click a name and select **Move Up** or **Move Down** from the shortcut menu.
The list will be re-arranged accordingly.
- Click the **Power of Attorney** button to create the **Power of attorney document** (p. 282).

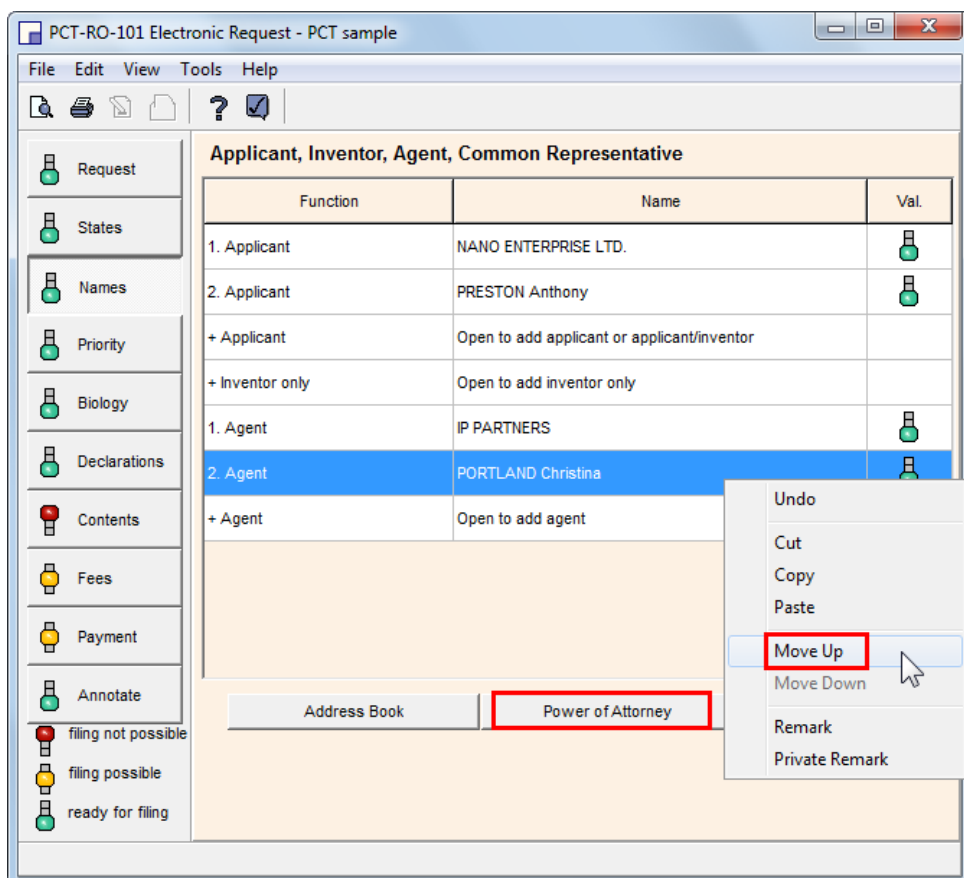


Figure 334: Options for 2. Agent in the Names tab

10.4.4 Power of attorney document

You can create a power of attorney document in PDF format and attach it to the application. The **Power of Attorney** button becomes available if

- ◆ At least one applicant and one agent are added.
- OR-
- ◆ More than one applicant and a common representative are added.

→ In the **Names** tab, click **Power of Attorney**.

The **Power of Attorney** window opens.

→ Select the applicant(s) giving power of attorney.

→ Select the agent/common representative to whom power of attorney is given.

→ Select the applicable authority from the drop-down list at the bottom of the form.

→ Enter a date.

→ To view the draft power of attorney document in the PDF Viewer before signing, click **Preview**.

→ To open the PDF Viewer and then proceed further to the signing dialogue, click **Sign**.

Figure 335: Selecting applicants and agents for the Power of Attorney document

The PDF Viewer window opens.

- ➔ To return to the **Power of Attorney** window and modify the data before signing, click **Cancel** in the bottom right-hand corner of the PDF Viewer.
- ➔ To launch the signing process, click **Continue**.

PCT sample 1/1

PCT POWER OF ATTORNEY
Print Out (Original in Electronic Form)

0-1	PCT Power of Attorney (for an international application filed under the Patent Cooperation Treaty) (PCT Rule 90.4)	
0-1-1	Prepared Using	PCT Online Filing Version 3.5.000.225 MT/FOP 20020701/0.20.5.20
1	The undersigned applicant(s)	
1-1-1	hereby appoints (appoint) the following person	IP PARTNERS Cambridge Science Park 100 Red Lion Square Cambridge Greater London CB2 1AB United Kingdom
1-1-2	hereby appoints (appoint) the following person	PORTLAND, Christina Cambridge Science Park 100 Red Lion Square Cambridge Greater London CB2 1AB United Kingdom
1-2	as	Agent
1-3	to represent the undersigned before	all the competent International Authorities

Continue Cancel

Figure 336: Previewing the Power of Attorney in the PDF Viewer before signing

The **List of Signatories** window opens.

- If the applicant is a legal entity, enter the last name and first name of the person entitled to sign in the **<name_of_signatory>** field and that person's function in the **<capacity>** field.
If the applicant is a natural person, only the applicant's name can be selected.
- Click **Add Signatory**.

Figure 337: Adding signatory for 2. Applicant who is a natural person

The **Signature** window opens.

- In the **Signature** window, enter an alphanumeric signature between the two slashes **/.../** or attach a file with the facsimile signature.
- Click **Apply Signature**.

Figure 338: Applying alphanumeric signature for applicant

The **List of Signatories** window shows the new signature.

- Repeat these steps to add more signatories if required.
- Click **OK** when ready.

Figure 339: Adding signatories for the Power of Attorney document

Back in the **Power of Attorney** window the names and capacity (if legal applicants) of the signatories are now indicated in the applicants' list.

- To view the form with the signatures in the PDF Viewer, click **Preview**.
- To return to the **Power of Attorney** window after checking the PDF, click **Cancel**.

Figure 340: Signatures in the Power of Attorney document preview

- To save your data and exit the **Power of Attorney** window, click **OK**.

10.4.5 Adding names from the Address Book to a form and vice versa

The **Address Book Exchange** function provides a convenient way to copy existing addresses from the address book to a PCT/RO/101 form. Vice versa, it allows you to copy an address which was manually entered from the form to the Address Book.

! ***Note:** The data structure of form PCT/RO/101 is not fully compatible with the Online Filing address book, because the PCT plug-in is based on the WIPO PCT-Safe software and uses an older technical platform. Please open the OLF address book from the File Manager to check whether the address information has been copied correctly, and amend the data if necessary.*

Adding names to the form

→ In the **Names** tab, click **Address Book**.

In the upper part of the **Address Book Exchange** window the existing Address Book entries are listed, whereas the lower part lists the names added to the form at this time.

→ To copy a name from the Address Book to the form, select an entry in the list at the top.

Depending on the type of name, the following functions may be available:

- Applicant only
- Applicant/inventor (for natural persons only)
- Inventor only (for natural persons only)
- Agent

→ Click the function you wish to add.

Figure 341: Selecting legal person as applicant only

The lower list now contains the entry to be added to the **Names** tab.

- To add more names, select another entry from the Address Book and click the appropriate function.
- To delete a name from the list, select it and click **Remove**.
- To finish the address selection and transfer the data to the **Names** tab, click **OK**.

Address Book Exchange

Select from existing Address Book names:

Name	Fax	E-Mail
Portland, Christina, London, +44 20 123 4567	+44 20 123 6789	c.portland@ip-partners
Preston, Anthony, Dover, +44 1304 76002-15	+44 1304 76002-40	ap@parker.co.uk
Rousseau, Juliette		

↓ Applicant only ↓ Applicant/Inventor ↓ Inventor only ↓ Agent

Entries (to be) added to Names page:

Function	Name
1. App.	Nano Enterprise Ltd., London, +44 20 7123 4567

Copy to Address Book **Remove**

OK Cancel

Figure 342: Selecting natural person as applicant/inventor

Adding names to the Address Book

If you entered address data manually after adding a name in the **Names** tab, the lower list in the **Address Book Exchange** window displays this new address.

- Select the name in the list.
- Click **Copy to Address Book**.

Entries (to be) added to Names page:

Function	Name
2. Inv.	BURTON, Mortimer
1. Age.	IP PARTNERS, Cambridge, +44 1223 3516-0
2. Age.	PORTLAND, Christina, Cambridge, +44 1223 3516-0

Copy to Address Book Remove

OK Cancel

Figure 343: Namen vom Formblatt in das Adressbuch übernehmen

The data is copied to the Address Book.

If an entry with the same name already exists in the Address Book, Online Filing creates a further entry.

❗ Note that not all data entered in your PCT/RO/101 form is transferred to the Address Book.

→ Open the Address Book, verify and amend the data if necessary.

The screenshot shows the EPO Address Book application window. The title bar reads "EPO Address Book". The menu bar includes "File", "Edit", "View", and "Help". Below the menu bar is a search bar with a "Find in:" dropdown set to "Last name" and a search icon. On the left is a list of contacts, with "PORTLAND, Christina - IP Partners" selected. The main area contains a form for the selected contact. The form fields are as follows:

Last Name:	PORTLAND	Middle Name(s):	
First Name:	Christina	Company:	IP Partners
Title:		Department:	
PO Box:		Country:	GB United Kingdom
Building:		GB County:	Greater London
Street:	Cambridge Science Park 100 Red Lion Square	Telephone:	+44 1223 3516-0
District:		Telefax:	+44 1223 351690
City:	Cambridge	E-mail:	office@ip-partners.co.uk
Postal code:	CB2 1AB	Nationality:	
Country of incorporation:		Residence:	
State of incorporation:			

Below the form is a table for roles:

Role	FR	DE	DK	PL

At the bottom of the form is a table with three columns: "Route", "Role", and "Registration No.".

Route	Role	Registration No.
PCT	Agent	490055668

The status bar at the bottom indicates "Logged in as Administrator".

Figure 344: New entry in the Address Book with data copied from the form

10.5 PCT/RO/101 Priority

The **Priority** tab of PCT-RO-101 is for specifying details of an earlier application from which priority is claimed.

→ Double-click the **Add Priority Claim** row or click **Open**.

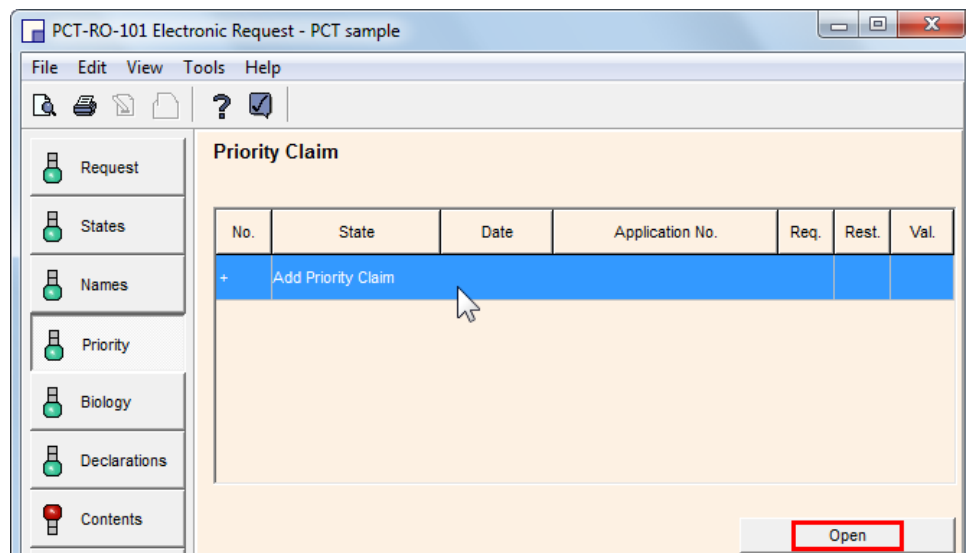


Figure 345: Adding a priority claim

The **Details of Priority Claim of Earlier Application** window opens.

- Select the appropriate option: **National**, **Regional** or **International (PCT)**.
- Select the country, the regional office or the **receiving office** where the earlier application was filed.
- Enter the **filing date** of the earlier application.
- Enter the application **number** that was assigned to the earlier application.
 - ① For some offices, the required application number format is pre-filled into the data entry field, e.g. **PCT/IB** ____/____ if you select **IB** as the receiving office.
- To add another priority, click the + button on the left.

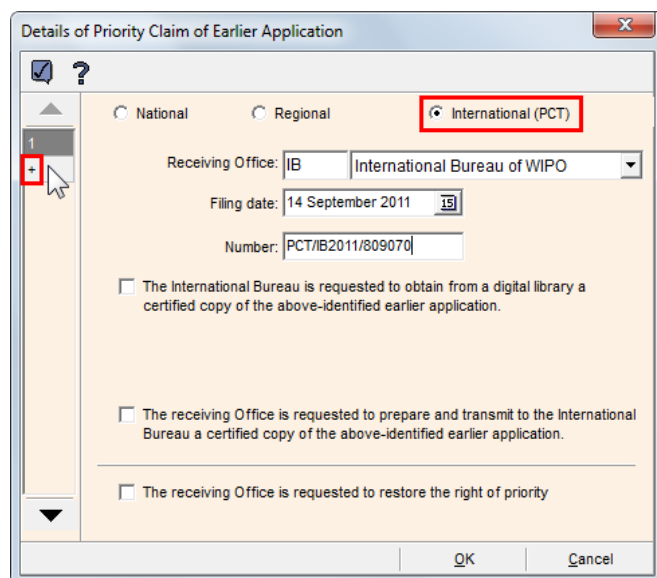


Figure 346: Entering details of priority claim of earlier application

Options for requesting the International Bureau to obtain a certified copy of the earlier application

In the lower part of the **Details** window, you can select the method by which a certified copy of the earlier application should be made available to the International Bureau.

The **WIPO Digital Access Service (DAS)** is an electronic system allowing priority documents and similar documents to be securely exchanged between IP offices. For more information, go to the WIPO website at **IP Services > Patents > Digital Access Service** and follow the shortcut to **Participating Offices** (http://www.wipo.int/patentscope/en/priority_documents/offices.html). As of March 2012, the digital libraries of the following countries are participating for notification both as depositing office and as accessing office: AU, DK, CN, ES, FI, GB, IB, JP, KR, SE and US.

- If applicable, select **The International Bureau is requested to obtain from a digital library a certified copy of the above-identified earlier application.**

A warning message appears, asking you to verify that the priority application can be retrieved by the receiving office. Note that the message is different if the country is one of the countries participating in the DAS or if the selected country is not a participating country.

- Enter the **access code** into the field which is displayed if the upper check box is ticked.

- Alternatively, select **The receiving Office is requested to prepare and transmit to the International Bureau a certified copy of the above-identified earlier application.**

This is the appropriate option if you have e.g. chosen an EP priority, as the EPO does not participate in the DAS (applies only to earlier applications treated by the EPO).

Request to restore the right of priority

A request for restoration of the right of priority can be filed where the international application has an international filing date which is later than the date on which the priority period expired but within a period of two months from that date (Rule 26bis 3).

- If applicable, tick the check box **The receiving Office is requested to restore the right of priority.**

① The option to add the related statement is automatically added to the **Accompanying Items** sub-tab of the **Contents** tab. Please remember to attach the corresponding electronic document.

- To save your data and return to the **Priority** tab, click **OK**.

Other actions

The priority claims are automatically sorted chronologically.

- To delete a priority claim, right-click and select **Cut** from the shortcut menu.
- To move an individual priority to another position in the list, right-click it and select **Cut** from the shortcut menu. Then right-click the priority before which you want to insert the priority and select **Paste** from the shortcut menu.
- To return a list to the default sorting, select **sort priority claims chronologically**.

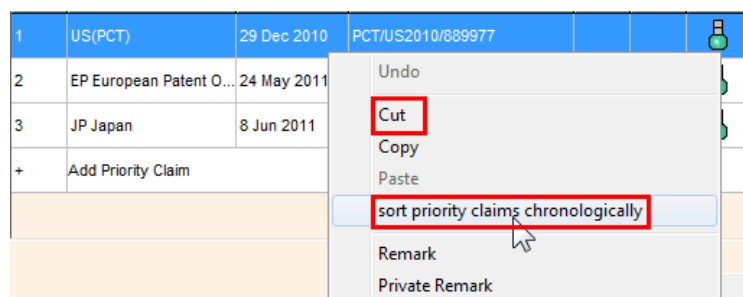


Figure 347: Shortcut menu options available in the priority claims list

Validation messages

The check boxes in the **Req.** and **Rest.** columns indicate whether one of the options for requesting a certified copy of the earlier application has been selected and if a request to restore the right of priority is being made.

→ Please see the validation messages for information about additional documents required when adding any one of these requests.

① If you cannot read the full text of the validation messages, open the **Validation Log** in the PDF Viewer, see **PCT/RO/101 Annotate** (p. 325).

The screenshot shows the 'PCT-RO-101 Electronic Request - PCT sample' window. On the left is a sidebar with icons for Request, States, Names, Priority, Biology, Declarations, Contents, Fees, Payment, and Annotate. The main area displays the 'Priority Claim' table. A red box highlights the 'Req.' and 'Rest.' columns for rows 1, 2, 3, and 4. Below the table, a 'Validation Messages/Priority' dialog box is open, listing several messages related to priority claims.

No.	State	Date	Application No.	Req.	Rest.	Val.
1	IB(PCT)	14 Sep 2010	PCT/IB2010/809070	☒	☒	
2	EP European Patent O...	4 Jan 2011	11500200.8	☒	☐	
3	IT Italy	8 Mar 2011	TO2011A600543	☒	☐	
4	EP European Patent O...	10 May 2011	11200302.5	☒	☐	
+	Add Priority Claim					

Validation Messages/Priority

- Priority 1: The twelve-month time limit for claiming priority would appear to have expired. Please verify.
- Priority 1: To the extent that the receiving Office selected allows, if the filing date of the earlier application has been entered correctly and if the filing date of the
- Priority 1: A request to restore the right of priority has been made. A statement explaining the reasons for this request should be furnished as an accompanying item.
- Priority 3: please verify that the Office with which the earlier application was filed is a DAS depositing office or ensure that the priority document is held in a digital library to
- Priority 1: please ensure that the priority document is held in a participating digital library and that the receiving Office/International Bureau has been granted the

Legend:

- filing not possible
- filing possible
- ready for filing

Figure 348: Validation messages referring to priority claims

10.6 PCT/RO/101 Biology

The **Biology** tab is for providing information on biological material and indicating whether sequence listings are part of the description of the international application.

Information on nucleotide and/or amino acid sequence listing

- If applicable, check the option ***The description contains a sequence listing***.
- Attach the required documents in the **Contents** tab; see **Sequence listing** (p. 318) for more details. The following options are automatically added to the form if the above is checked:
 - ◆ In the **International Application** sub-tab:
 - description (excluding sequence listings) replaces description
 - sequence listing
 - ◆ In the **Accompanying Items** sub-tab:
 - sequence listing submitted for international search only
 - statement confirming that "the information in Annex C/ST.25 text format submitted under Rule 13ter is identical to the sequence listing as contained in the international application".

Adding indications relating to biological material

- Double-click the first row **Open to add a new item** or click **Open**.

PCT-RO-101 Electronic Request - PCT sample

File Edit View Tools Help

Request States Names Priority Biology Declarations Contents Fees Payment Annotate

Indications Relating to Deposited Microorganism or Other Biological Material

No.	Depository Institution	Date of Deposit	Accession No.	Val.
+	Open to add new item			

Open

Nucleotide and/or amino acid sequence listing

☒ The description contains a sequence listing

Figure 349: Entering information on biological material

The **Details concerning Indications Relating to a Deposited Microorganism** window opens.

- Enter the page and line or paragraph number of the reference in the description.
- Select the **depository institution** (mandatory information) from the drop-down list.
The full **address** is automatically provided.
- Enter the **accession number** (mandatory information) and the **date of deposit** (mandatory information).
- If you want to supply extra documents regarding this biological material, specify the documents in the **Additional Indications** field.
 - ① The corresponding documents can be attached in the **Accompanying Items** (p. 316) sub-tab of the **Contents** tab.
- In the **Separate Furnishing of Indications** field, specify the indications which you wish to supply by separate cover.
- If required, modify the list of **designated states**; see the instructions under **Applicant** (p. 273).

The screenshot shows a software window titled "Details concerning Indications Relating to a Deposited Microorganism". The window has a sidebar on the left with a list of items, currently showing item 1. The main area contains the following fields and options:

- Indication Reference:** "on page or 4 in paragraph number:" and "line 15". A note says: "(please leave this field empty if you indicate paragraph number in the left field)".
- Depository institution:** A dropdown menu showing "ATCC American Type Culture Collection".
- Address:** A text box showing "10801 University Blvd., Manassas, Virginia 20110-2209 United States of America".
- Accession Number:** Two text boxes showing "ATCC" and "67890".
- Date of deposit:** A date picker showing "2 August 2011".
- Additional Indications:** A text box with a cursor.
- Separate Furnishing of Indications:** A text box with the text "Leave blank if not applicable." highlighted.
- Designated States for Which Indications Are Made:** Two radio buttons: "All Designated States" (selected) and "Certain Designated States only".
- Buttons:** "select/modify", "OK", and "Cancel".

Figure 350: Entering details for biological material

10.7 PCT/RO/101 Declarations

The **Declarations** tab allows you to prepare separate declaration sheets for filing with the application. These sheets contain the declarations as a default text, which is then complemented by additional data that is entered by you.

- Select an option from the **Declarations** drop-down list.
- Click **Add**.

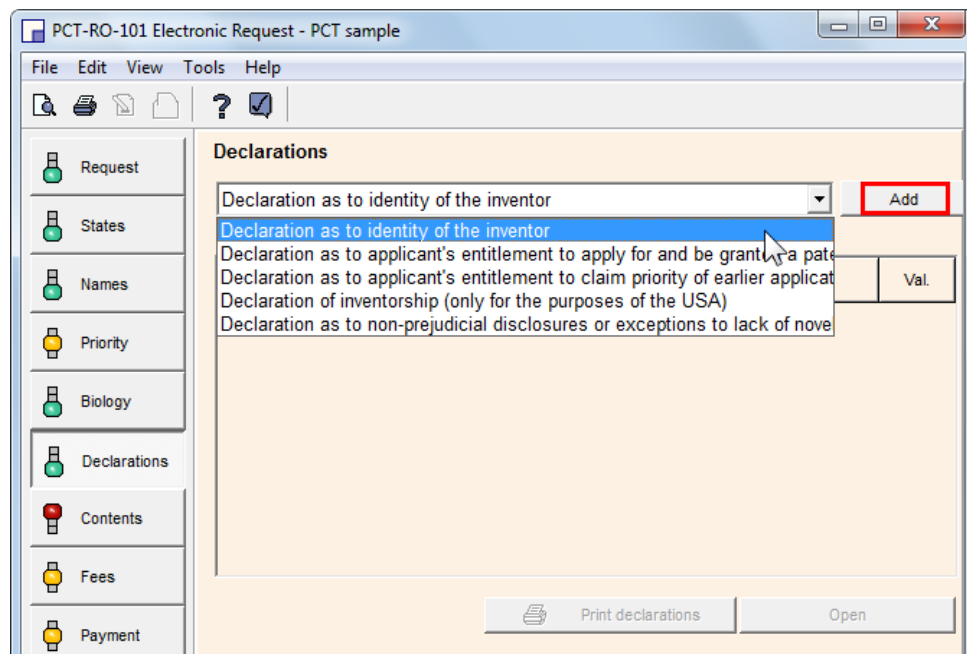


Figure 351: Declaration options

10.7.1 Declaration as to the identity of the inventor

- In the **Declarations** tab, select **Declaration as to the identity of the inventor** from the drop-down list, and then click **Add**.

The **Declarations** window opens.

- Double-click the **Add Inventor** row.

The **Details concerning inventor** window opens.

- In the **Name** field, select one of the inventors from the drop-down list.

① The deceased inventors are not available in the list.

The address data is automatically completed.

- To add another inventor, click the + button on the left.

- To specify an inventor whose name has not been added to the form, select **<other>** from the list and enter the address data manually.

- Click **OK** when ready.

Figure 352: Inventor's details for declaration as to identity of the inventor

The inventor is added to the list in the **Declarations** window.

- Click **OK** to return to the **Declarations** main tab.

Figure 353: Declaration as to the identity of the inventor added

10.7.2 Declaration as to applicant's entitlement to apply for and be granted a patent

→ In the **Declarations** tab, select **Declaration as to applicant's entitlement to apply for and be granted a patent** from the drop-down list, and then click **Add**.

The **Declarations** window opens.

→ Select one of the applicants from the list.

→ Double-click the **Add item** row.

Declarations

Declaration as to applicant's entitlement to apply for and be granted a patent

in relation to:

☒ this international application ☐ international application No. PCT/_____/____

NANO ENTERPRISE LTD. is entitled to apply for and be granted a patent by virtue of the following:

No.	Status/Event	Date
+	Add item	

Figure 354: Adding declaration as to applicant's entitlement to apply for and be granted a patent

The **Status/Event** window opens.

→ Select the appropriate option from the list:

- Inventor
- Employer of an inventor
- Agreement
- Assignment
- Consent
- Court order
- Transfer of entitlement
- Change of the applicant's name

Depending on your selection, more options and data entry fields become available.

→ Make the appropriate selections and supply the required data.

→ Click **OK** when ready.

Status/Event

Please select the appropriate item from the list:

Employer of an Inventor

NANO ENTERPRISE LTD. was

entitled as employer of the inventor,

BURTON, Mortimer

Figure 355: Selecting names for "employer of an inventor"

→ Back in the **Declarations** window, click **OK** to return to the **Declarations** main tab.

10.7.3 Declaration as to applicant's entitlement to claim priority

→ In the **Declarations** tab, select **Declaration as to applicant's entitlement to claim priority of earlier application** from the drop-down list, and then click **Add**.

The **Declarations** window opens.

→ Select one of the applicants from the list.

→ Select one of the priority applications from the list.

→ Double-click the **Add item** row.

The screenshot shows the 'Declarations' window with the title 'Declaration as to applicant's entitlement to claim priority of earlier application'. It features a sidebar with three items, the second of which is selected. The main area contains a form with the following elements:

- 'in relation to:' section with radio buttons for 'this international application' (selected) and 'international application No.' (with a text field 'PCT/____/____').
- A dropdown menu showing 'NANO ENTERPRISE LTD.' with the text 'is entitled to claim priority'.
- 'of earlier application No.' section with a dropdown menu showing '<select application>'. A mouse cursor is hovering over this dropdown, which has opened to show a list of applications:

No.		Date
	PCT/IB2010/809070	
	11500200.8	
	TO2011A600543	
	11200302.5	
- Below the dropdown is a table with columns 'No.', 'Add item', and 'Date'. The 'Add item' column is highlighted in blue.

Figure 356: Selecting application for declaration as to applicant's entitlement to claim priority

The **Status/Event** window opens.

→ Select the appropriate option from the list:

- Inventor
- Employer of an inventor
- Agreement
- Assignment
- Consent
- Court order
- Transfer of entitlement
- Change of the applicant's name

Depending on your selection, more options and data entry fields become available.

→ Make the appropriate selections and supply the required data.

→ Click **OK** when ready.

The screenshot shows the 'Status/Event' window with the title 'Please select the appropriate item from the list:'. It features a sidebar with two items, the first of which is selected. The main area contains the following elements:

- A dropdown menu showing 'Agreement'.
- 'an agreement between' section with a dropdown menu showing 'BURTON, Mortimer'.
- 'and' section with a dropdown menu showing 'NANO ENTERPRISE LTD.'.
- 'dated' section with a text field showing '8 July 2010' and a small calendar icon.

Figure 357: Adding agreement between persons involved in the international application

→ Back in the **Declarations** window, click **OK** to return to the **Declarations** main tab.

10.7.4 Declaration of inventorship

- In the **Declarations** tab, select **Declaration of inventorship (only for the purposes of the USA)** from the drop-down list, and then click **Add**.

The **Declarations** window opens.

The **Inventors** table displays all inventors and applicants/inventors from the **Names** tab, except the deceased inventors.

- To exclude one of the inventors from this declaration, right-click the corresponding name and select **Delete** from the context menu.
- To specify an inventor whose name has not been added to the form, double-click **Inventor**.

The screenshot shows a window titled "Declarations" with a toolbar containing a checkmark, a question mark, a printer, and a magnifying glass. The main area is titled "Declaration of inventorship" and contains two radio buttons. The first radio button is selected and is labeled "This declaration is directed to the international application of which it forms a part(if filing declaration with application)". The second radio button is labeled "This declaration is directed to international application No." and has a text field next to it containing "PCT/____/____". Below this is a table titled "Inventors" with two columns: "No." and "Inventor". The table contains two rows: "1 PRESTON, Anthony" and "2 BURTON, Peter". Below the table is a blue button labeled "Add Inventor" which is highlighted with a red box. A mouse cursor is pointing at the button. At the bottom right of the window is a "Sign" button. At the very bottom are "OK" and "Cancel" buttons.

No.	Inventor
1	PRESTON, Anthony
2	BURTON, Peter

Figure 358: Adding inventor for declaration of inventorship

The **Details concerning inventor** window opens.

- Select **<other>** from the **Name** list.
- Enter the inventor's last name in BLOCK CAPITALS.
- Complete the address data.
- Click **OK** when ready.

Figure 359: Entering details concerning inventor for declaration of inventorship

- Back in the **Declarations** window, click **Sign**.

No.	Inventor
1	PRESTON, Anthony
2	BURTON, Peter
3	BAKER, Jeremy
+	Add Inventor

Figure 360: Starting the signature process for declaration of inventorship

The **List of Signatories** window opens.

- Select an applicant/inventor and click **Add Signatory**.
 - In the **Signature** window, enter an alphanumeric signature or attach a file with the facsimile signature.
 - Click **Apply Signature**.
- The signatory is added to the list.
- Create a signature for each applicant/inventor.
 - Click **OK** to finish.

List of Signatories

To add a person to the List of Signatories (bottom), please select the corresponding row in the Applicants, Representative table (top) and press the "Add Signatory" button.

Applicants, Representatives:

Function	Name
1. Applicant/Inventor	PRESTON, Anthony
2. Applicant/Inventor	BURTON, Peter
3. Applicant/Inventor	BAKER, Jeremy

BAKER, Jeremy <capacity> **Add Signatory**

List of Signatories:

Signatory	Capacity	Signature
PRESTON, Anthony		Alphabetical
BURTON, Peter		Alphabetical

Move Up Delete Ok Cancel

Figure 361: Adding signatories to declaration of inventorship

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

- In the **Declarations** tab, select **Declaration as to non-prejudicial disclosures or exceptions to lack of novelty** from the drop-down list and click **Add**.

The **Declarations** window opens.

- Select the applicant or inventor concerned from the list.
- Double-click the **Add Disclosure** row.

Figure 362: Adding declaration as to disclosures

The **Disclosure** window opens.

- Select the **kind of disclosure** from the drop-down list.
- OR-
- Select **OTHER** and then specify the kind of disclosure.
- Enter the corresponding data.
- Click the + button on the left to add another disclosure.
- Click **OK** when ready.

Figure 363: Entering data for disclosure

10.7.6 Previewing declaration sheets

If you wish to verify your declaration data before submission, you can open the print preview of the declaration sheets in the PDF Viewer.

❶ The **Print declarations** button becomes available after the submission process, when you open the application from the **Sent** folder in the File Manager.

→ In the **Declarations** main tab, double-click on any of the declarations in the list.

-OR-

Click **Open**.

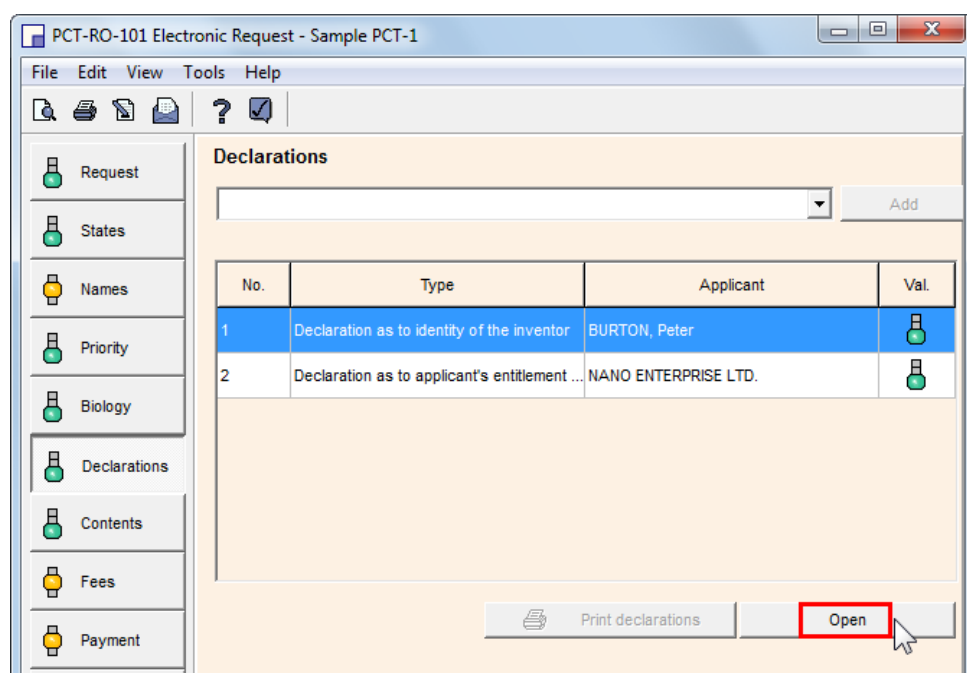


Figure 364: List of declarations

The **Declarations** window opens.

→ Click the **Preview** icon in the toolbar.

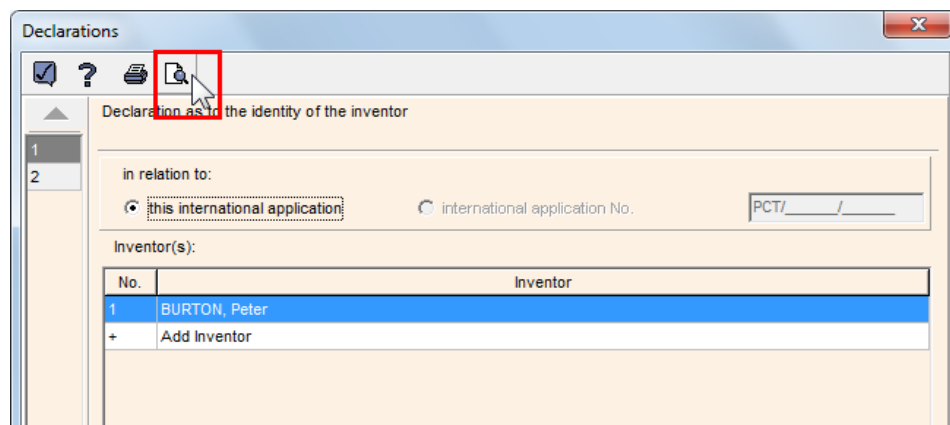


Figure 365: Opening the PDF Viewer from the Declarations window

The **PDF Viewer** opens and shows all the declaration sheets for this application, starting with declaration no. 1.

- Browse the pages to see the following declarations.
- Use the PDF Viewer's print button to create a hard copy of the declarations.
- Click **Cancel** when finished.

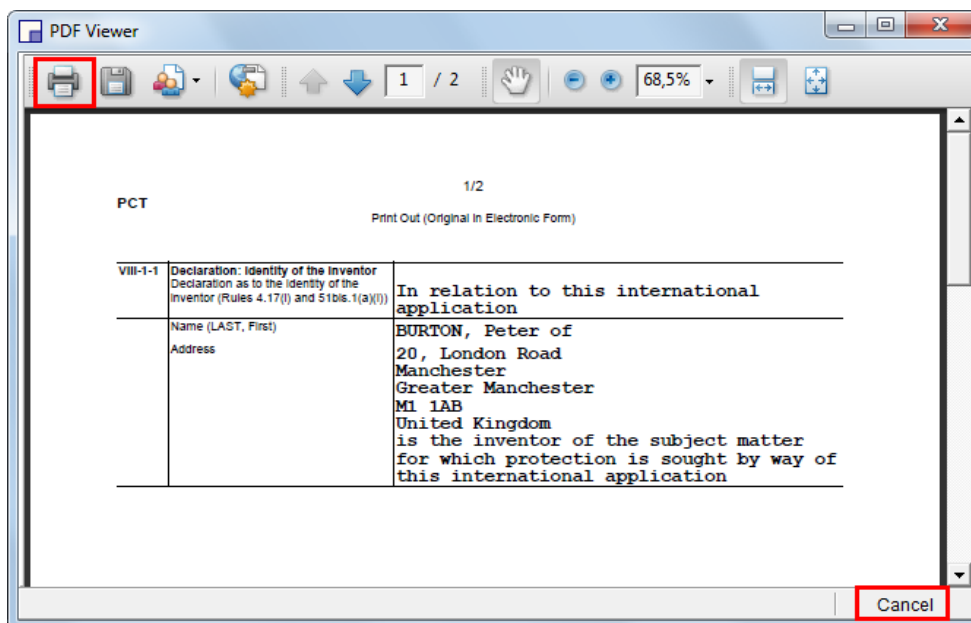


Figure 366: Previewing declaration sheets in the PDF viewer

The PDF Viewer closes.

- Click **OK** to return to the **Declarations** main tab.

10.8 PCT/RO/101 Contents

The **Contents** tab of form PCT/RO/101 is where you attach documents to support the patent application.

See **Preparing documents for attachment** (p. 84) in the EPO Online Filing user guide for more information about the correct settings for electronic documents.

The **Contents** tab provides two sub-tabs for attaching documents:

- ◆ **International Application**

Attaching the mandatory patent specification documents and other recommended files

- ◆ **Accompanying Items**

Attaching additional documents

The screenshot shows the 'PCT-RO-101 Electronic Request - PCT sample' window. The 'Contents' tab is selected in the left sidebar. The main area displays a 'Check List' with options for 'XML attachments' and 'PDF attachments'. Below this is a table with columns: Document, Details, Pages, Electronic File, and Val. The table lists 'Request (including declaration sheets)', 'Description', 'Claims', 'Abstract', and 'Drawings'. The 'Description' row is highlighted in blue. Below the table are buttons for 'Recalculate', 'total: 13 pages', and 'Open'. At the bottom, there are two sub-tabs: 'International Application' and 'Accompanying Items', both of which are highlighted with red boxes. The status bar at the bottom indicates 'In total: 3 documents 1 files'.

Document	Details	Pages	Electronic File	Val.
Request (including declaration sheets)		13		
Description				
Claims				
Abstract				
Drawings				

Figure 367: Contents tab with "International Application" and "Accompanying Items" sub-tabs

Validation messages

A red traffic light indicates that one or more mandatory documents have not yet been attached.

→ Click the validation icon to see the corresponding validation messages.



Attaching documents

The attachment process is basically the same for all document types. The example below shows how to attach a PDF file. The option **PDF attachments** is selected by default when you open the **Contents** tab. See **XML attachments** (p. 313) for an example of how to attach XML files.

→ Double-click a document option in the check list, e.g. **Description**.

-OR-

Select the document option and click **Open**.

The **Content Details** window opens. All document attachments for this application are listed on the left, with the currently selected item being highlighted.

→ To select a file from your computer, click the **Open** button on the right.

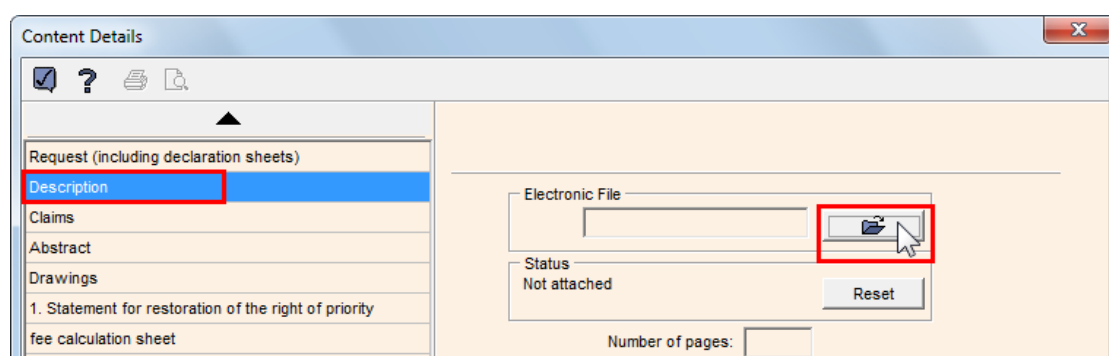


Figure 368: Attaching files in the Content Details window

→ In the **Open** window, navigate to the storage location of the corresponding file.

→ Select the appropriate file format in the **files of type** list.

① The available file types depend on the type of document you want to attach. The default type for text documents is **Portable Document Format** and the alternative is **TIFF files**, i.e. images in TIFF format. When attaching sequence listing documents, the options **ASCII Text (*.txt)** and **Annex C/ST.25 files (*.app)** become available.

→ Select the required file.

→ Click **Open**.

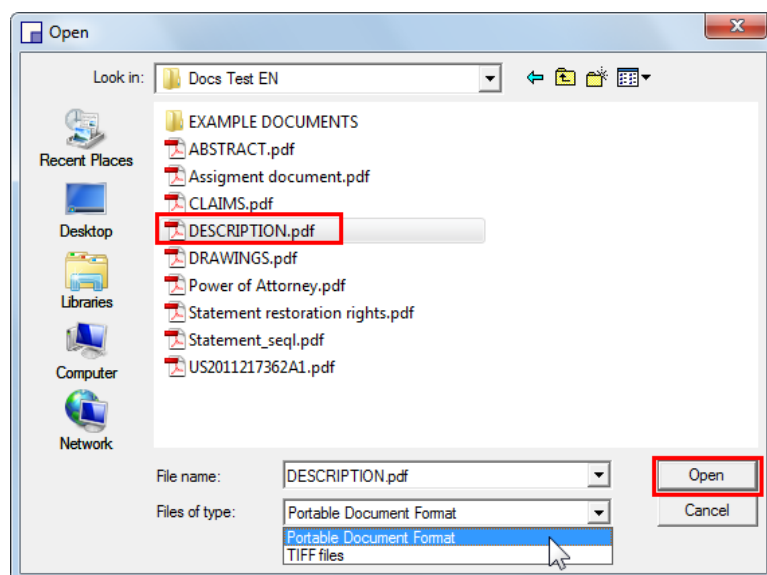


Figure 369: Selecting PDF file for attachment

The file is attached and it retains its name in lower case in the **Content Details** window.

The **number of pages** is calculated automatically when a PDF file is attached.

- If you attach a TIFF or JPEG file, e.g. a drawing, please enter the number of pages manually (**1**, in most cases).
 - ① Otherwise, the software will not recognise the attachment.
- If you want to attach other files, select the corresponding document type on the left and repeat the described procedure until all required documents are attached; see **PDF attachments** (p. 308).
- Click **OK** when ready.

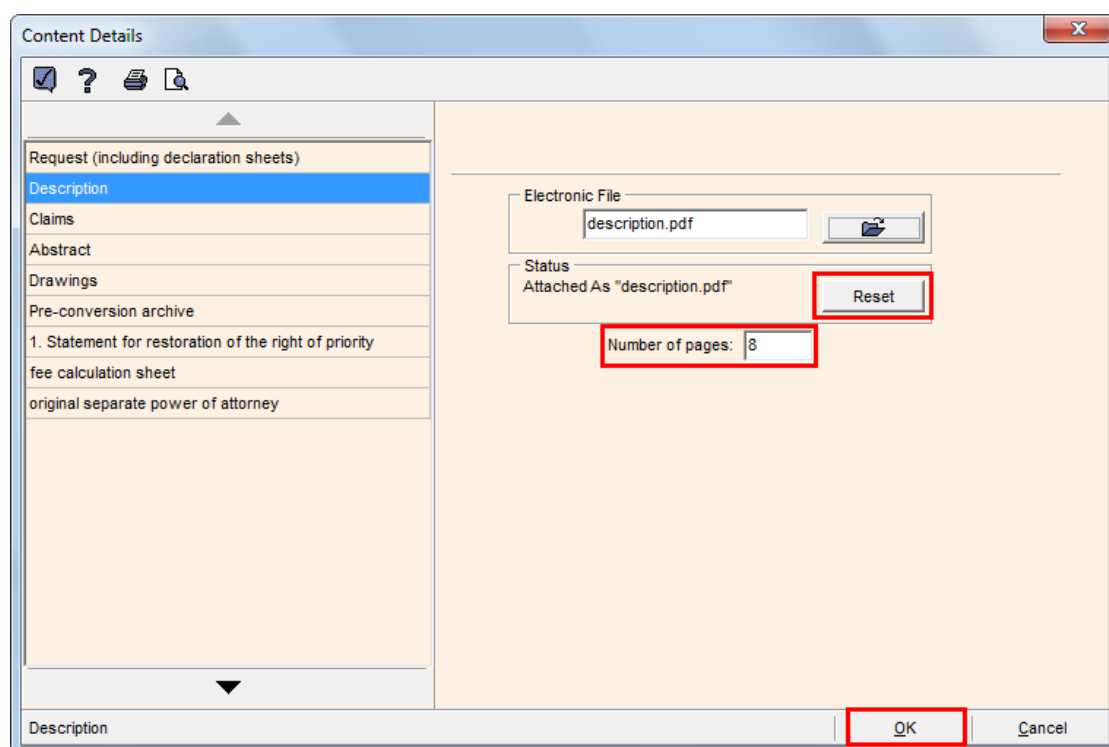


Figure 370: Electronic file is attached

Exchanging and removing attached files

If an original document has been modified, you can reattach the updated file to your application.

- In the **Contents** tab, double-click a document to open it.

The **Content Details** window opens.
- To reattach a file, click the **Open** button and select the corresponding file once again.

The new file from your computer replaces the existing attachment in the application.
- To remove the file without attaching a new one, click **Reset**.

10.8.1 International Application

The **International Application** sub-tab provides different options and preconditions for document attachment.

- **PDF attachment** is selected by default. Use this option to attach the description, claims, drawings and abstract as separate PDF files.
- Select **Single specification file** if you have prepared one single PDF file containing the description, claims and abstract. Note that drawings cannot be included in a single specification file. They should be added separately if required.
- Select **XML attachments** if you have prepared the specification document in XML format, e.g. with PatXML.

Document check list for PDF attachments

- ◆ Description
- ◆ Claims
- ◆ Abstract
- ◆ Drawings
- ◆ Pre-conversion archive (optional, but strongly recommended; becomes available after one of the specification documents has been attached)

Document check list for PDF attachments if description contains a sequence listing

If the option **The description contains a sequence listing** is checked in the **Biology** tab, the document check list is slightly different:

- ◆ Description (excluding sequence listing)
- ◆ Claims
- ◆ Abstract
- ◆ Drawings
- ◆ Sequence listing (should be attached in ST.25 standard, i.e. as ASCII text (*.txt) or Annex C/ST.25 (*.app) file)
- ◆ Pre-conversion archive (optional, but strongly recommended; becomes available after one of the specification documents has been attached)

Document check list for PDF attachments, single specification file

- ◆ Specification
- ◆ Drawings
- ◆ Pre-conversion archive (optional, but strongly recommended; becomes available after one of the specification documents has been attached)

Document check list for XML attachments

- ◆ Application body
- ◆ Pre-conversion archive (optional; becomes available after the XML specification file has been attached)

10.8.2 PDF attachments

Attaching separate PDF files for each part of the patent document is recommended as the most convenient procedure.

- ◆ The description and claims are mandatory.
- ◆ The abstract can be filed subsequently, but it is recommended to include it with the application.
- ◆ Drawings can also be added, if applicable.

Description

- In the **International Application** sub-tab of the **Contents** tab, double-click **Description**.
- The **Content Details** window opens.
- Click the **Open** button, navigate to the appropriate file and attach it.

Claims

! **Note:** Once the **Content Details** window is open, you can immediately proceed to attach all other documents one after the other. You are not required to return to the **Contents** main tab.

- In the list on the left-hand side of the **Content Details** window, click **Claims**.
- Click the **Open** button, navigate to the claims file and attach it.

Abstract

- Click **Abstract** on the left.
- Click the **Open** button, navigate to the appropriate file and attach it.
- Select the **Language of the abstract**.

The available options are English, French and German.

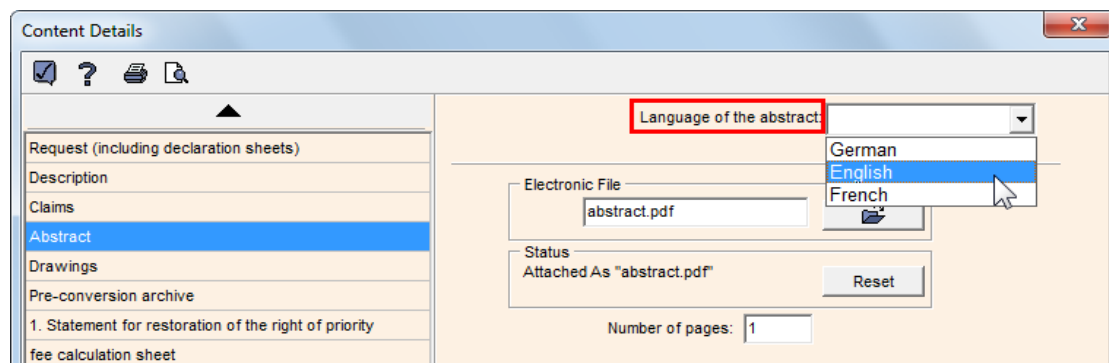


Figure 371: Abstract attached

Drawings

- Click **Drawings** on the left.
- Click the **Open** button, navigate to the appropriate file and attach it.
- Enter the **Figure of the drawings which should accompany the abstract**.

→ Click **OK** to return to the **Contents** main tab.

Content Details

Request (including declaration sheets)

Description

Claims

Abstract

Drawings

Pre-conversion archive

1. Statement for restoration of the right of priority

fee calculation sheet

Figure of the drawings which should accompany the abstract. 3a

Electronic File

drawings.pdf

Status

Attached As "drawings.pdf"

Reset

Number of pages: 4

Figure 372: Drawings attached

Summary

The software automatically calculates the total number of pages in the **International Application** sub-tab.

The fields showing the total number of **documents** and number of **files** at the bottom of this screen summarise all attachments, in both the **International Application** and **Accompanying Items** sub-tabs.

When all the attached documents show a green traffic light, everything is correct.

PCT-RO-101 Electronic Request - PCT sample

File Edit View Tools Help

Request

States

Names

Priority

Biology

Declarations

Contents

Fees

Payment

Annotate

filing not possible

filing possible

ready for filing

Check List

☐ XML attachments ☒ PDF attachments

☐ Single specification file

Document	Details	Pages	Electronic File	Val.
Request (including declaration sheets)		13		
Description		8	description.pdf	
Claims		3	claims.pdf	
Abstract		1	abstract.pdf	
Drawings	Fig. No. 3a	4	drawings.pdf	
Pre-conversion archive				

Recalculate

total: 29 pages

Open

International Application

Accompanying Items

In total: 7 documents 5 files

Request (including declaration sheets)

Figure 373: All required documents are properly attached

10.8.3 Single specification file (PDF)

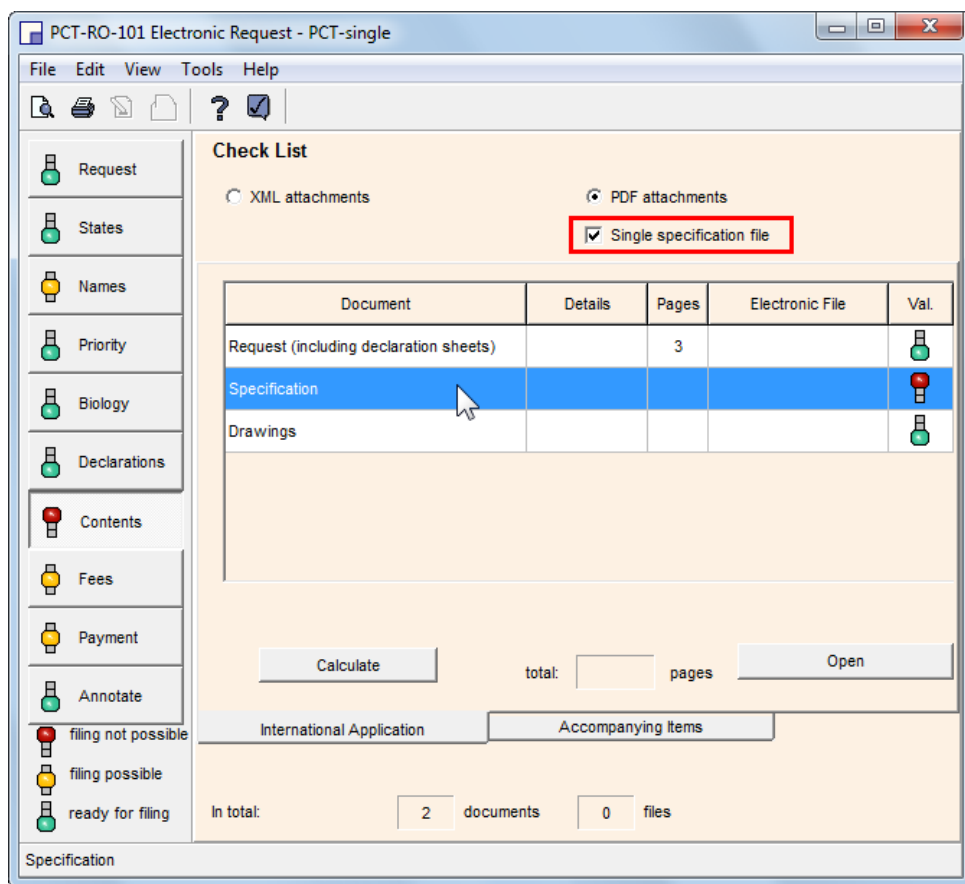
The following rules apply when preparing a single specification file:

- ♦ All pages in the document must be accounted for and there must be no overlaps.
- ♦ Every element in the attached document must start on a new page.
- ♦ The order of the individual components should be: description, claims, abstract.

If your PDF file does not correspond to these requirements, you may not be able to enter the data appropriately and will receive corresponding validation warnings.

Attaching the specification

- In the **Contents** tab, tick the check box **Single specification file**.
- Double-click **Specification**.



The screenshot shows the 'PCT-RO-101 Electronic Request - PCT-single' window. The 'Check List' tab is active, showing options for 'XML attachments' and 'PDF attachments'. Under 'PDF attachments', the 'Single specification file' checkbox is checked and highlighted with a red box. Below this is a table with columns: Document, Details, Pages, Electronic File, and Val. The 'Specification' row is highlighted in blue. At the bottom, there are buttons for 'Calculate', 'Open', and 'International Application', along with a summary of 'In total: 2 documents, 0 files'.

Document	Details	Pages	Electronic File	Val.
Request (including declaration sheets)		3		
Specification				
Drawings				

Calculate total: pages Open

International Application Accompanying Items

In total: 2 documents 0 files

Figure 374: Attaching single specification file in PDF format

The **Content Details** window opens.

- Click the **Open** button, navigate to the PDF file and attach it.
- Enter the first page and last page of the **description**.
- Enter the first page and last page of the **claims**.
- Enter the first page and last page of the **abstract**.
- Select the **Language of the abstract**.

The number of pages for each document section and the total number of pages is calculated automatically.

- Check whether the number of pages contained in the PDF file equals the total number of pages.
- To view the corresponding section of the single document, e.g. the claims, click the **Preview** icon next to the page numbers on the right.



Content Details

Language of the abstract: English

Electronic File: engine filter.pdf

Status: Attached As "engine filter.pdf" Reset

The Specification contains 10 pages

Description	from page	1	till	6	6	pages	
Claims	from page	7	till	9	3	pages	
Abstract	from page	10	till	10	1	pages	
☐ abstract is not included						In total	10 pages

Specification OK Cancel

Figure 375: Specification file attached and page numbers of document sections entered

Further options

- If you intend not to submit the abstract at this time, tick the check box ***abstract is not included***.
This action deactivates the options referring to the abstract.
- ① Note the validation message, informing you that the abstract is required.
- Click ***Drawings*** on the left to attach the drawings separately; see **PDF attachments** (p. 308).

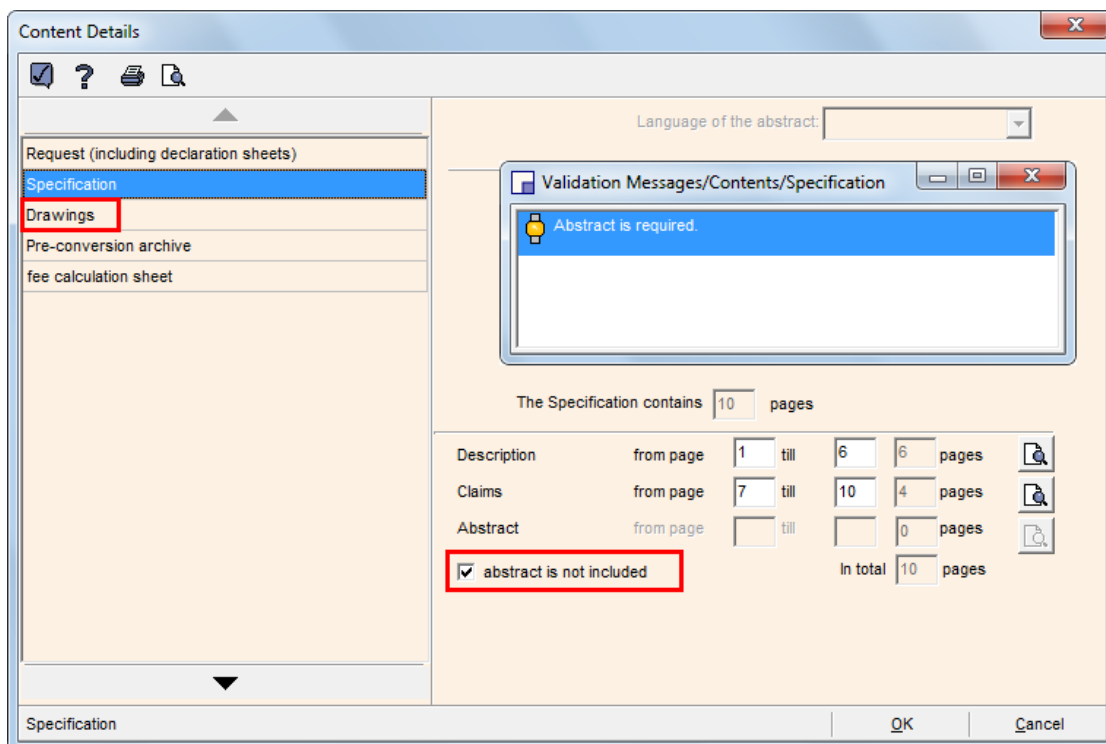


Figure 376: "Abstract is not included" option triggers a corresponding validation message

10.8.4 XML attachments

If you produce the specification document in XML format, e.g. with PatXML, you can insert graphics into the text. All graphic files must be prepared in WIPO Annex F compliant format. The graphics are stored as separate image files and referenced in the XML code.

① A full version of Annex F can be found on the WIPO website at **IP Services > PCT > Legal Texts** (<http://www.wipo.int/pct/en/texts/>).

- In the **Contents** tab, select the option **XML attachments**.
- Double-click **Application body**.

The screenshot shows the 'PCT-RO-101 Electronic Request - PCT XML' window. On the left is a sidebar with icons for Request, States, Names, Priority, Biology, Declarations, Contents, Fees, Payment, Annotate, and filing status. The 'Contents' tab is selected. The main area has a 'Check List' with 'XML attachments' selected. Below it is a table:

Document	Details	Pages	Electronic File	Val.
Request (including declaration sheets)		3		
Application body				

Below the table is a 'Recalculate' button and a 'total: 3 pages' display. At the bottom, there are tabs for 'International Application' and 'Accompanying Items'. The status bar at the bottom shows 'In total: 2 documents 0 files'.

Figure 377: Attaching specification document as XML file

The **Content Details** window opens.

→ Click the **Open** button.



→ Navigate to the XML specification file.

① Only PatXML files can be selected.

→ Select the PatXML file and click **Open**.

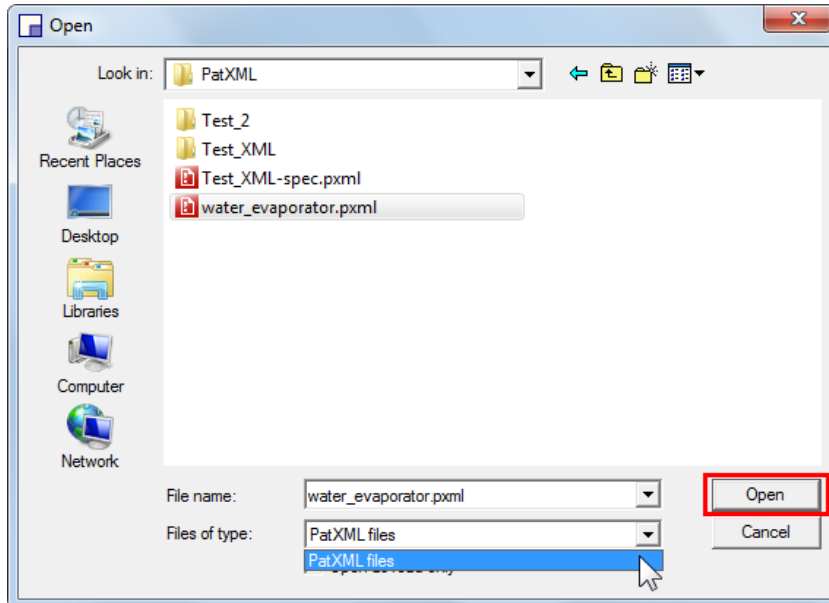


Figure 378: Selecting the specification document as PatXML file

The file is renamed **application-body.xml**.

If the language attribute in the XML file does not match the language indicated in the **Request** tab, a corresponding warning message will be displayed.

→ Please make sure that you entered the correct language in both the PatXML file and the **Request** tab.

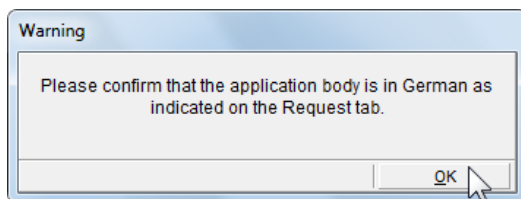


Figure 379: Warning message if language attribute mismatch occurred

- Enter the **figure of the drawings which should accompany the abstract**, if applicable.
The **number of pages** is calculated automatically from the PatXML file.
- Click the **Preview** icon to check whether the specification document is displayed correctly, including the images.



- Click **OK** when ready.

Figure 380: Application body XML file successfully attached

The green traffic lights in the **Contents** tab indicate that all the required documents have been properly attached.

- ① Note that the **Pre-conversion archive** option is now available.

Document	Details	Pages	Electronic File	Val.
Request (including declaration sheets)		3		
Application body		4	application-body.xml	
Pre-conversion archive				

Figure 381: Green traffic light for the Contents tab

10.8.5 Accompanying Items

In the **Accompanying Items** sub-tab you attach all the other attachments which do not relate to the main application body. These include documents such as statements, translations and powers of attorney.

The available document types for attachment are:

- ♦ original separate power of attorney
- ♦ original general power of attorney
- ♦ copy of general power of attorney
- ♦ translation of international application into ...
- ♦ separate indications concerning deposited microorganisms or other biological material
- ♦ sequence listing submitted for international search only
- ♦ statement confirming that "the information in Annex C/ST.25 text format submitted under Rule 13ter is identical to the sequence listing as contained in the international application"
- ♦ OTHER

System files, such as the **fee calculation sheet** and the **original separate power of attorney** document in XML format, are generated automatically by the software and do not require extra input from your side.

Attaching predefined document types

- ➔ Go to the **Accompanying Items** sub-tab.
- ➔ Select the appropriate document type from the drop-down list, e.g. **original general power of attorney**.

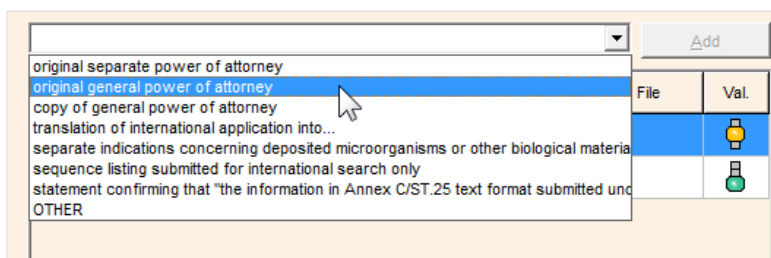


Figure 382: Selecting document type for attachment in the Accompanying items sub-tab

- ➔ Then click **Add**.

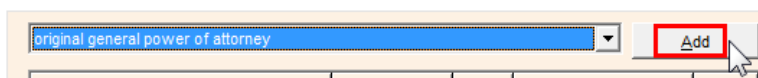


Figure 383: Adding selected document type to the application

A new item is created in the document check list.

- ➔ Double-click this document to open the **Content Details** window.

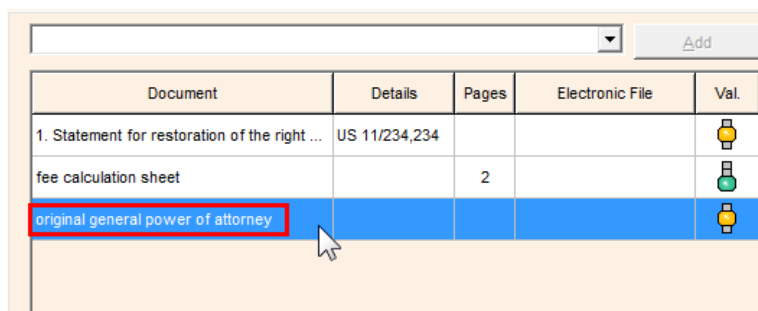


Figure 384: Opening the document for attachment

→ Click the **Open** button, navigate to the corresponding file and attach it.

The 'Content Details' window shows a list of documents on the left. The 'original general power of attorney' is selected. On the right, the 'Electronic File' section shows the file 'power of attorney.pdf' attached. The 'Status' section shows 'Attached As "power of attorney.pdf"' and a 'Reset' button. The 'Number of pages' is set to 1.

Figure 385: Original general power of attorney attached

Attaching other user-defined document types

- Select **OTHER** from the drop-down list.
- The text becomes editable and reads **<specify>**.

The 'Document' tab is selected in the document list. The input field contains the text '<specify>' and an 'Add' button is visible.

Figure 386: Other document to be specified

- Enter a document description.
- Click **Add**.

The input field now contains the text 'Assignment document'. The 'Add' button is highlighted with a red box and a mouse cursor.

Figure 387: Description for other document entered

The new item is created in the document check list.

Document	Details	Pages	Electronic File	Val.
1. Statement for restoration of the right ...	US 11/234,234			
fee calculation sheet		2		
original general power of attorney		1	power of attorney.pdf	
OTHER:Assignment document				

Figure 388: Other document added to the application; can be opened for attachment

- Attach the file in the **Content Details** window as described above.

Statement for restoration of the right of priority

If you have requested the restoration of the right of priority for one of the priority claims, you are required to attach a separate statement. This item is also automatically created in the the check list in the **Accompanying items** tab. The numbering refers to the numbering sequence of the priorities in the **Priority** tab.

→ Double-click the **statement for restoration of the right of priority** to attach the corresponding file.

The **Accompanying Items** tab is ready when all the traffic lights are green.

Document	Details	Pages	Electronic File	Val.
1. Statement for restoration of the right ...	US 11/234,234	3	statement restoration ri...	
fee calculation sheet		1		
original general power of attorney		1	power of attorney.pdf	
OTHER: Assignment document		1	assignment document.p...	

Figure 389: All documents are appropriately attached

10.8.6 Sequence listing

Form PCT/RO/101 provides two different options for attaching sequences listings; see also **PCT/RO/101 Biology** (p. 292).

(A) **The description contains a sequence listing** option IS selected in the **Biology** tab:

- ♦ Attaching a **sequence listing** in the **International Application** sub-tab is mandatory.
- ♦ If this sequence listing is NOT attached in Annex C/ST.25 format, two more options become available in the **Accompanying Items** sub-tab:
 - The **sequence listing submitted for international search only** is required, but not mandatory for the initial submission.
 - The **statement confirming that "the information in Annex C/ST.25 text format submitted under Rule 13ter is identical to the sequence listing as contained in the international application"** is required, but not mandatory for the initial submission.

(B) **The description contains a sequence listing** option is NOT selected in the **Biology** tab:

- ♦ Adding the document type **sequence listing submitted for international search only** in the **Accompanying Items** sub-tab is optional.

! **Note:** Sequence listings should always be submitted in computer readable format, i.e. as **Annex C/ST.25 files (*.app)** file. Other possible formats are **TXT**, **PDF** and **TIFF**. However, when attaching one of these file types a corresponding validation message will inform you that the ISA may require a sequence listing compliant with WIPO Annex C/ST.25. If filed as PDF every page of the sequence listing will be counted in the total number of pages of the international application and for the calculation of the fees per page over 30.

(A) Sequence listing as part of the description

- Go to the **International Application** tab.
- Double-click **Sequence listing**.
- ① Scroll down the list if you cannot see the item.

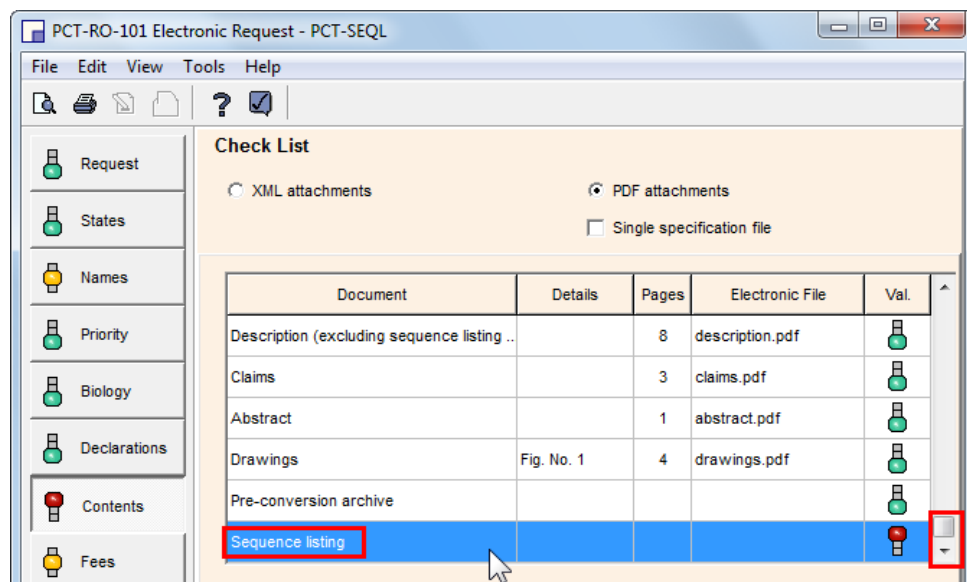


Figure 390: Selecting sequence listing for attachment

The **Contents Details** window opens.

- Tick the check box **submitted as part of description** under **Electronic file**.
This unlocks the other fields for editing.
- Click the **Open** button and attach the file.



If the attachment format is APP or TXT, the text below the **Number of pages** field is activated, i.e. it is true for this application.

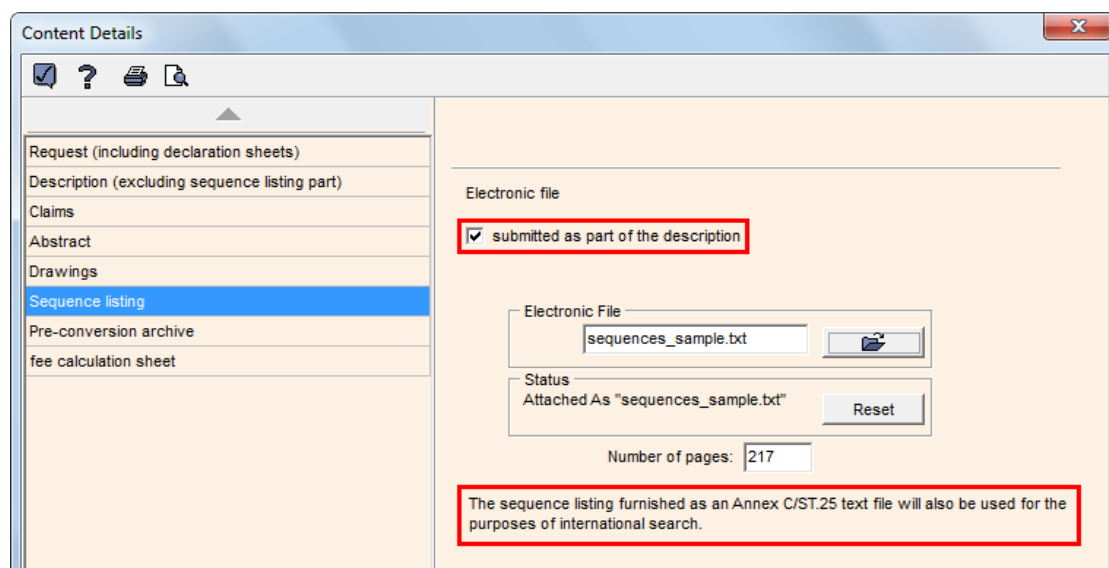


Figure 391: The sequence listing submitted as part of the description in APP or TXT format will also be used for the purposes of the international search

Otherwise, i.e. if you have used PDF or TIFF format for your attachment, this text remains greyed out. In this case you are required to submit the two additional documents relating to the sequence listing:

- ♦ sequence listing submitted for international search only
- ♦ statement confirming that "the information in Annex C/ST.25 text format submitted under Rule 13ter is identical to the sequence listing as contained in the international application"

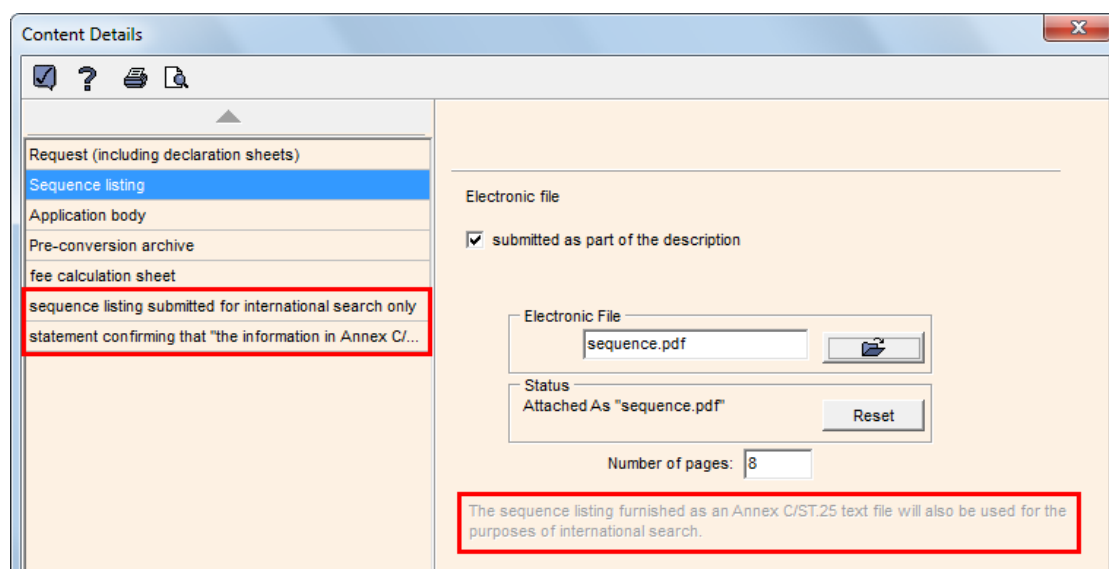
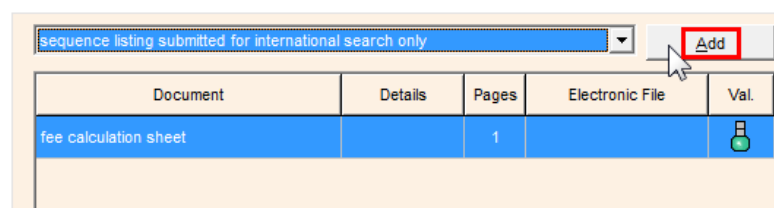


Figure 392: Sequence listing attached in PDF format, additional documents for international search required

(B) Sequence listing for international search only

- Go to the **Accompanying Items** sub-tab.
- Select **sequence listing submitted for international search only** from the drop-down list.
- Click **Add**.

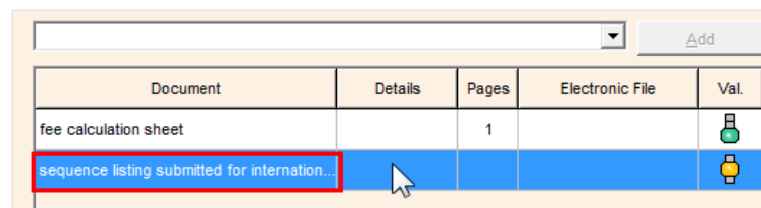


Document	Details	Pages	Electronic File	Val.
fee calculation sheet		1		
sequence listing submitted for international search only				

Figure 393: Adding sequence listing for international search only to the documents

The item is added to the check list.

- Double-click **sequence listing ...** to open the **Content Details** window.



Document	Details	Pages	Electronic File	Val.
fee calculation sheet		1		
sequence listing submitted for international search only				

Figure 394: Opening sequence listing for international search to attach electronic file

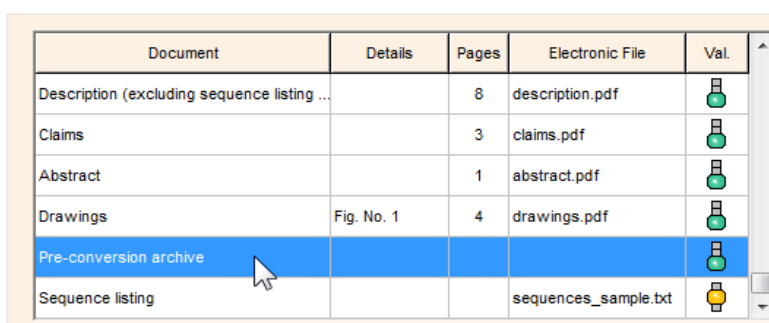
- Attach the file.
 - ❗ You may select any of the available file types: TXT, PDF, APP or TIFF.
- Click **OK** when ready.

10.8.7 Pre-conversion archive

Once you have attached a document in the **Contents** tab, the **Pre-conversion archive** appears as an item in the check list. The EPO strongly recommends attaching a pre-conversion archive in addition to your application documents.

A pre-conversion archive is a ZIP file containing all your original patent application documents before you converted them into PDF, XML or any other format. This archive file may also be submitted to the receiving office in case of problems with the attached documents.

- ➔ Create the ZIP file using either Windows Explorer or another suitable archiving utility, e.g. WinZip or WinRAR.
- ➔ Double-click **Pre-conversion archive** in the **International Application** sub-tab.



Document	Details	Pages	Electronic File	Val.
Description (excluding sequence listing ...)		8	description.pdf	
Claims		3	claims.pdf	
Abstract		1	abstract.pdf	
Drawings	Fig. No. 1	4	drawings.pdf	
Pre-conversion archive				
Sequence listing			sequences_sample.txt	

Figure 395: Opening the pre-conversion archive option to attach a ZIP file

- ➔ In the **Content Details** window, click the **Open** button and attach the ZIP file.
- ➔ Click the **Preview** icon to check the contents of the pre-conversion archive.

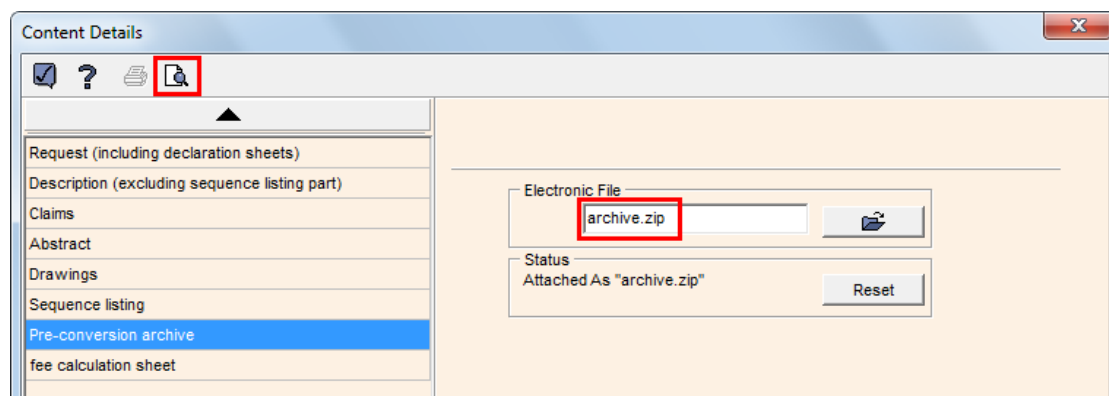


Figure 396: Pre-conversion archive attached

The attached ZIP archive is opened as a temporary folder in Windows Explorer.

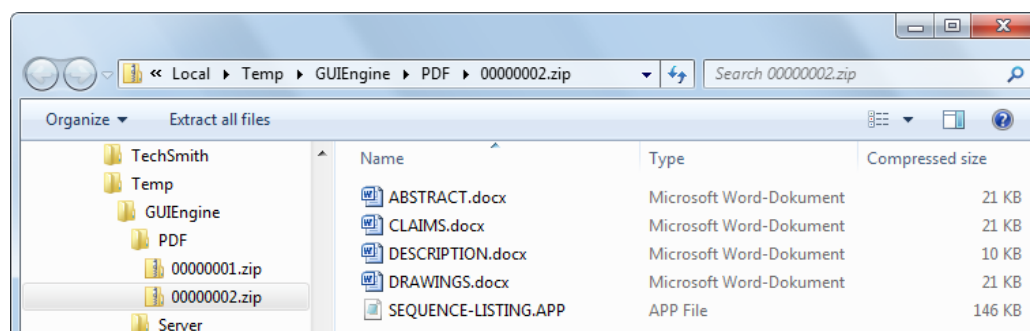


Figure 397: Previewing the contents of the pre-conversion archive

10.9 PCT/RO/101 Fees

The **Fees** tab of PCT/RO/101 displays the fees and amounts due. These are calculated automatically from the data in other tabs.

Applying a fee schedule

As a default, the **Fee Calculation** table does not contain any fee amounts or totals and the fee schedule is set to **None**.

The default currency when filing with the EPO is **EUR**.

→ To define fee amounts, select a valid fee schedule from the drop-down list.

The screenshot shows the 'Fee Calculation' form. At the top, there are two dropdown menus: 'Currency' set to 'EUR' and 'Fee schedule valid from' set to 'None'. Below these is a table with columns: Fee, Currency, Amount, X, and Total. The first row is 'Transmittal fee' with a currency of 'EUR', an amount of '0', an 'X' value of '1', and a total of '0'. The 'Fee schedule valid from' dropdown menu is open, showing 'None' and '01.04.2012' (which is highlighted in red). A mouse cursor is pointing at the '01.04.2012' option.

Figure 398: Selecting a fee schedule

The fee amount fields are populated and the **Total Fees Payable** is calculated.

① Note that reductions are displayed as negative amounts in red.

The screenshot shows the 'PCT-RO-101 Electronic Request - PCT seq' window. On the left is a sidebar with icons for Request, States, Names, Priority, Biology, Declarations, Contents, Fees, Payment, Annotate, and a status section with 'filing not possible', 'filing possible', and 'ready for filing'. The main area is the 'Fee Calculation' form. The 'Currency' is 'EUR' and the 'Fee schedule valid from' is '01.04.2012'. The table is filled with the following data:

Fee	Currency	Amount	X	Total
Transmittal fee	EUR	125	1	125
Search fee	EUR	1.875	1	1.875
International Filing Fee	EUR	1.094	1	1.094
Supplement per sheet over 30	EUR	12	206	2.472
Electronic Filing reduction (Imaoe)	EUR	-165	1	-165
Fee for priority document	EUR	50	0	0
Fee for restoration of right of priority	EUR	610	0	0
Total Fees Payable				EUR 5.401

At the bottom right of the table, there is a button labeled 'Update fee schedule'.

Figure 399: Fee calculation table filled in and total fees payable calculated

Editing fees

If required, individual fee amounts can be edited.

- Click the fee amount to be edited until the background of the table cell changes from blue to white.
- Edit the value.

Fee	Currency	Amount	X	Total
Transmittal fee	EUR	125	1	125
Search fee	EUR	1.500	1	1.875
International Filing Fee	EUR	1.094	1	1.094
Supplement per sheet over 30	EUR	12	206	2.472

Figure 400: Editing a fee amount

- Click away from the edited field to save the new amount.

The **Total** for the modified fee and the **Total Fees Payable** value are recalculated automatically.

Fee	Currency	Amount	X	Total
Transmittal fee	EUR	125	1	125
Search fee	EUR	1.500	1	1.500
International Filing Fee	EUR	1.094	1	1.094
Supplement per sheet over 30	EUR	12	206	2.472
Electronic Filing reduction (Image)	EUR	-165	1	-165
Fee for priority document	EUR	50	0	0
Fee for restoration of right of priority	EUR	610	0	0
Total Fees Payable				EUR 5.026

Update fee schedule

Figure 401: Fee calculation updated after a fee amount has been edited

The **Update fee schedule** button is activated after a fee has been edited.

! **Note:** If you click the **Update fee schedule** button, the new fee amount will be copied to the fee management table in the Online Filing database. As a result, all PCT/RO/101 applications created subsequently will use this new fee amount instead of the original fee amount issued by the EPO. If you wish to restore the original fee from the EPO's official fee schedule at a later stage, you will need to edit the fee amount manually again and save it using the same button if required.

Previewing the fee calculation sheet

- Go to the **Contents** tab and click the **Accompanying Items** sub-tab.
- Double-click **fee calculation sheet**.
- In the **Content Details** window, click the **Preview** icon.



The fee calculation sheet is displayed in the PDF Viewer.

10.10 PCT/RO/101 Payment

The **Payment** tab of PCT/RO/101 is where you specify the mode of payment and give details of the account number and account holder.

The EPO as receiving office can only receive payments made by charging current accounts (i.e. EPO deposit accounts) or by bank transfer.

Payment from an EPO deposit account

- Select **authorization to charge current account** as the **Mode of Payment**.

The check boxes for authorisation of the receiving office are selected by default.

- De-select the options which should not apply for your application.

- Enter the **Current account number**.

① EPO account numbers consist of 8 digits and start with **28**.

- Enter the **Authorized User Name**.

- Click **Sign**.

Figure 402: Entering authorisation for payment from deposit account

The **Signature** window opens; see also **Power of attorney document** (p. 282).

- Enter an alphanumeric signature or attach a file for a facsimile signature and click **Apply Signature**.

① After the signature has been applied, the traffic lights for the **Payment** tab change to green.

10.11 PCT/RO/101 Annotate

The **Annotate** tab is where you can see all the notes and comments that have been made for this application.

- ◆ A **remark** is a comment intended for the EPO and is part of the data submitted.
- ◆ A **private remark** is for internal use only and is not transmitted to the EPO.

The **Annotate** tab also contains the **Validation Log** with all the validation messages for the application. The **Entity** column indicates the tab relating to each item, i.e. in which tab the annotation was created.

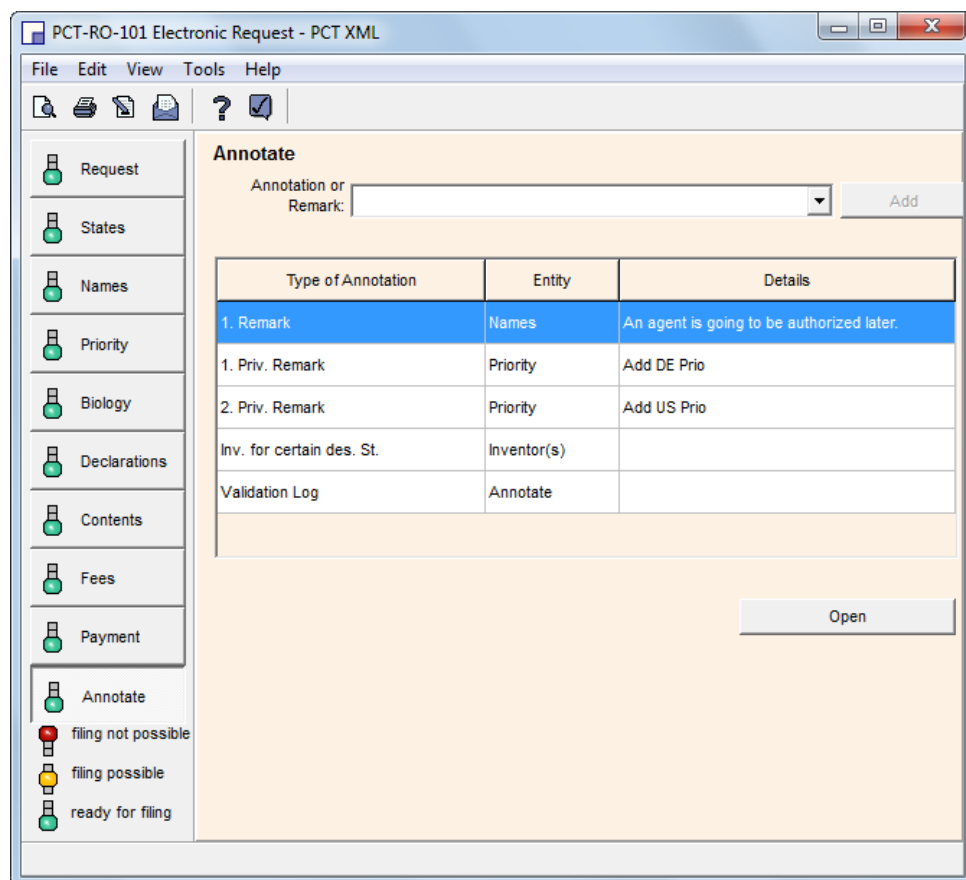


Figure 403: Remarks, private remarks, validation log and other annotations in the Annotate tab

Adding annotations referring to the application in general

- ➔ To create a new annotation, select the appropriate category from the drop-down list.
- ➔ Click **Add**.

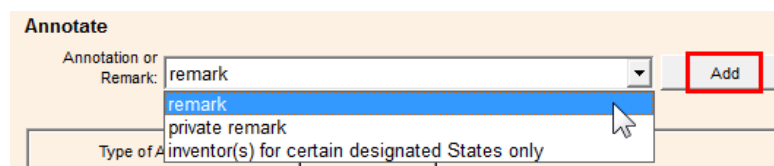


Figure 404: Adding a new remark

The **Annotation edit dialog** window opens.

- Enter your text.
- To view the other annotations, click the corresponding item on the left or browse through the list by clicking the up and down arrows.
- Click **OK** to save the entry.

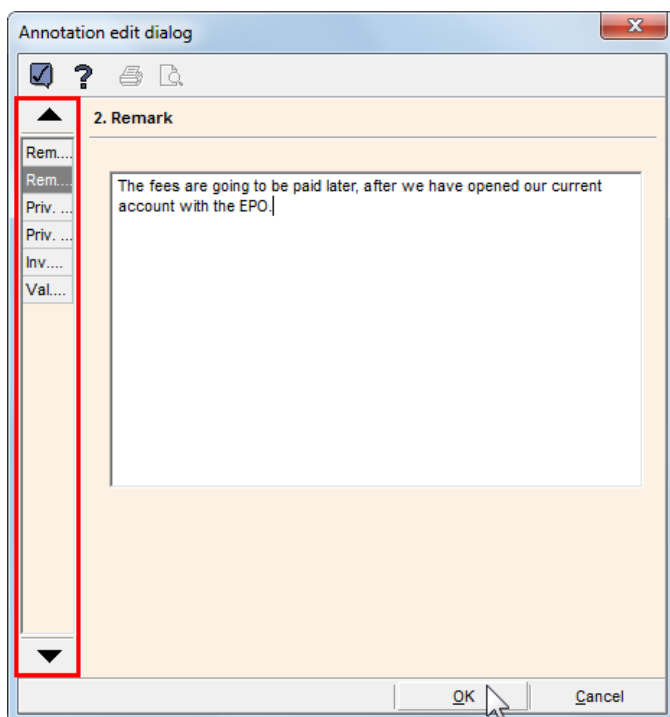


Figure 405: Creating a new remark

The remarks intended for the receiving office can be found in section 13 at the end of the PCT form.

12-22-3	Authorization to charge the fee for priority document	✓
12-23	Current account No.	28500987
12-24	Date	11 October 2011 (11.10.2011)
12-25	Name and signature	PRESTON, ANTHONY, /Anthony Preston/
REMARKS		
13-1-1	Applicant Remarks	An agent is going to be authorized later. The fees are going to be paid later, after we have opened our current account with the EPO.

Figure 406: Applicant remarks in the form preview

Adding annotations referring to specific tabs

Remarks and private remarks can be created not only in the **Annotate** tab, but also in most of the other tabs of Form PCT/RO/101. Wherever this function is enabled, it is accessible from the shortcut menu.

- For example, to add a private remark right-click the **Add Priority Claim** item in the **Priority** tab and select **Private Remark** from the shortcut menu.

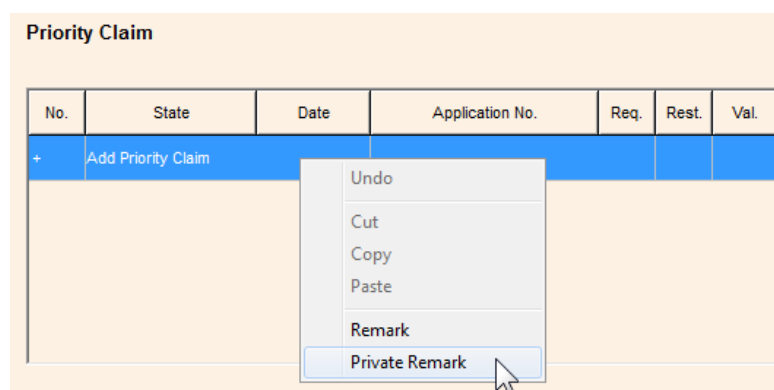


Figure 407: Adding a private remark referring to priority claims

Viewing the Validation Log

- In the **Annotate** tab, double-click **Validation Log**.
The **Annotation edit dialog** window opens.
The validation messages are grouped and ordered by the form sections.
- Scroll through the list to read the messages.

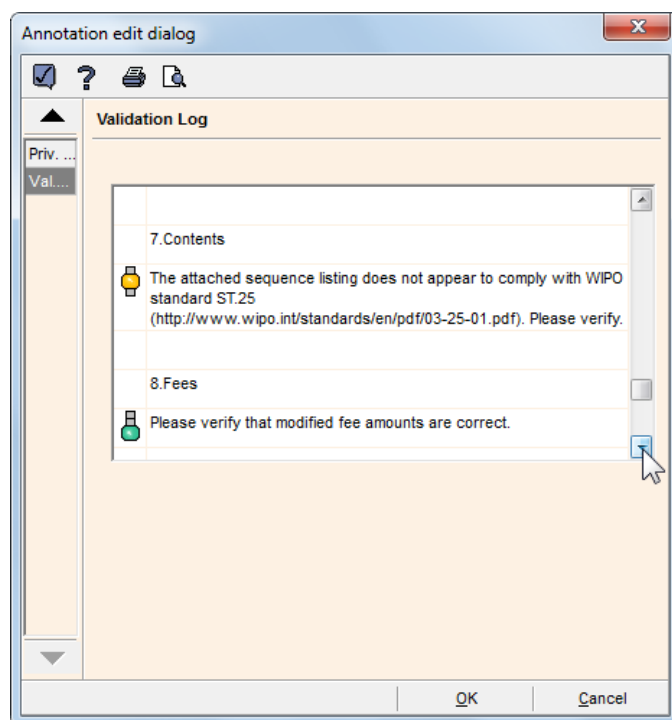


Figure 408: Viewing the Validation Log

→ If you cannot read the full text of the validation messages, click the **Preview** icon.



→ The Validation Log opens in the PDF Viewer.

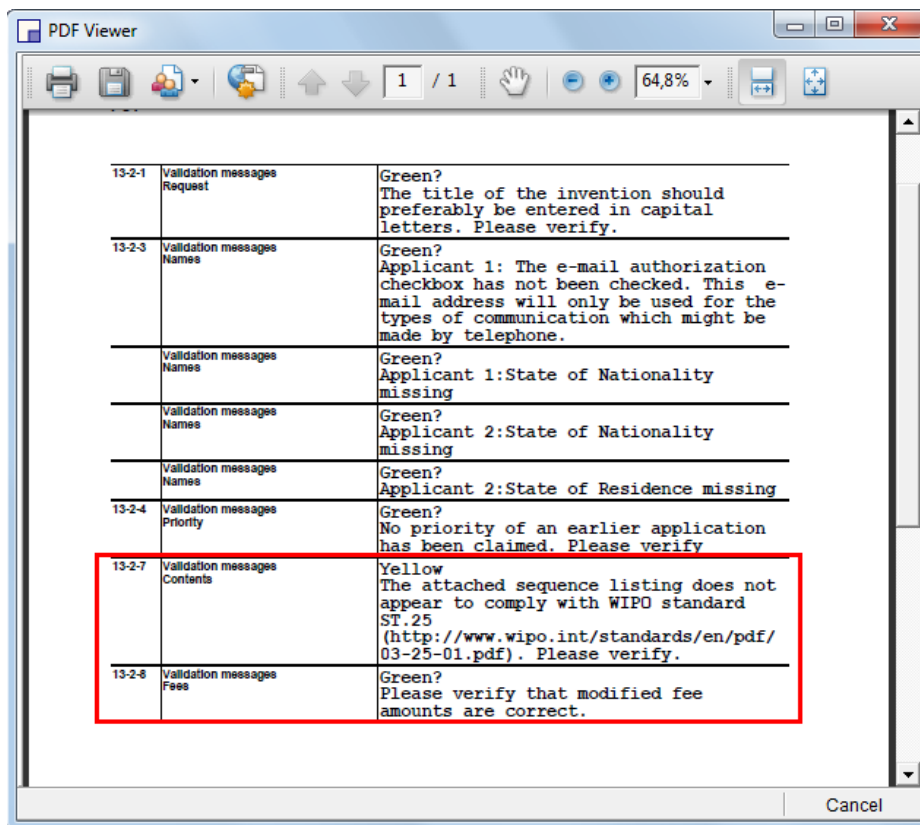


Figure 409: Validation Log showing messages

10.11.1 Designating inventor for certain states only

As with the applicant, you can edit the list of designated states for the inventor, although this is quite unusual and seldom used.

- In the **Annotate** tab, select **Inventor(s) for certain designated States only** from the drop-down list.
- Click **Add**.

The **Annotation edit dialog** window lists the names of the existing inventors and the designated states concerned.

- To edit the states for an inventor, double-click the inventor's name.

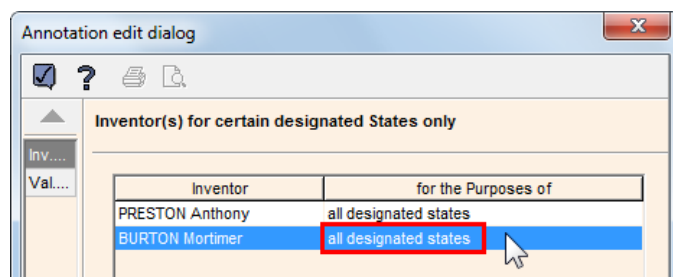


Figure 410: Editing designated states for an inventor

The **View/Change States** window opens.

- Select the countries as appropriate; see the instructions under **Applicant** (p. 273).

The selected states are displayed in the list of inventors.

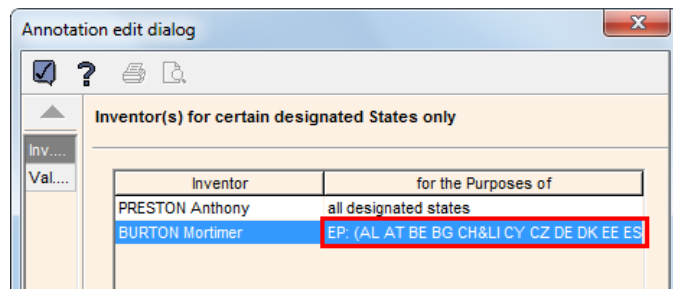


Figure 411: Designated states selected for one of the inventors

10.12 Processing the PCT/RO/101 application

Once all required data has been entered and the appropriate documents attached, the application is ready for submission to the EPO.

In the toolbar, the **Sign** icon and the **Save as Ready for Signing** icon are now activated, and all the traffic lights show green.

① Applications can also be filed if some of the traffic lights are yellow, provided that the user is satisfied that all the information required at the time of filing has been supplied/attached.

PCT-RO-101 Electronic Request - PCT sample

File Edit View Tools Help

Save as Ready for Signing

Request

States

Names

Priority

Biology

Declarations

Contents

Fees

Payment

Annotate

filing not possible

filing possible

ready for filing

International Searching Authority: EP European Patent Office (EPO)

Language of filing of the international application: English

Title of invention: CARD READER

☒ Request to use results of earlier search:

No.	Country (or regional Office)	Date	Number
1	EP European Patent Office (EPO)	21 Jun 2011	EP11500200.8
+	Open to add reference to earlier search		

Open

Figure 412: Application is ready for signing

10.12.1 Signing the form

Depending on the settings in the File Manager's User Preferences (see **Confirmations** (p. 57)), you can launch the signing process immediately from the PCT/RO/101 form or by using the workflow buttons in the File Manager.

- If **Start signing immediately when moving application forward from draft status** is not selected (default), the **Sign** button will move the application to the **Ready to sign** status in the File Manager, from where you can start the signing process.
- If that option is selected, the **Sign** button prepares the application for signature and opens the signing dialogue immediately.

Signing from the File Manager

- Select the application and click the **Next** button (the tool-tip indicates "Ready to sign").
- Proceed as described in **Signing applications** (p. 86) in the Online Filing user guide or in the File Manager online help.

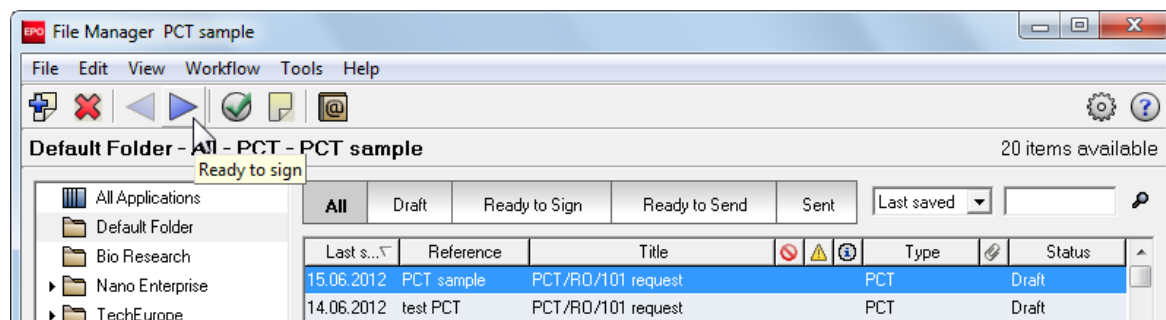


Figure 413: Launching the signing process from the File Manager

Signing from the form

- Click the **Sign** icon in the form toolbar.

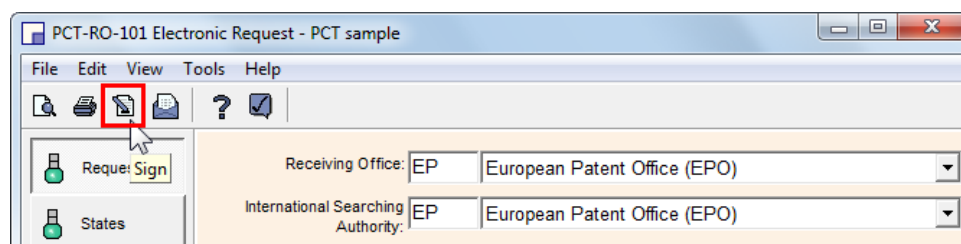
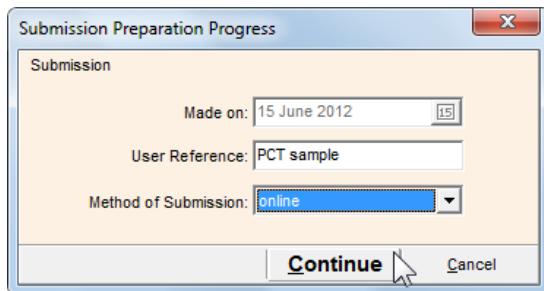


Figure 414: Starting the signing process from the form

Preparation for submission now starts.

- If required, you can modify the **User Reference** here.
- Select **online** (default option) as the **Method of Submission**.
- Click **Continue**.

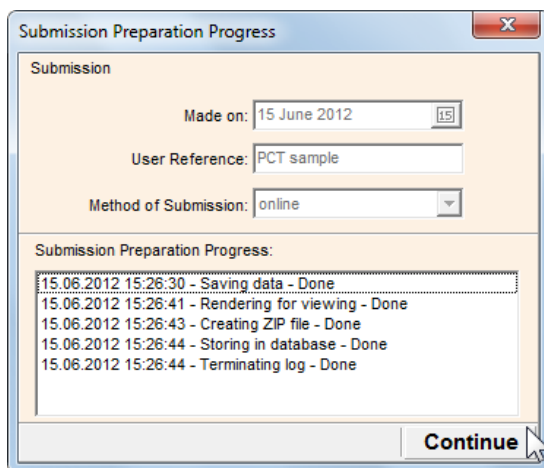


The screenshot shows a window titled "Submission Preparation Progress". Inside, there's a section labeled "Submission" with three input fields: "Made on:" with the value "15 June 2012", "User Reference:" with the value "PCT sample", and "Method of Submission:" with a dropdown menu showing "online". At the bottom, there are two buttons: "Continue" and "Cancel". A mouse cursor is pointing at the "Continue" button.

Figure 415: Preparing the application for submission

The data is saved, the form is rendered and the files are compressed and stored in the database.

- Click **Continue**.



This screenshot shows the same "Submission Preparation Progress" window, but now it includes a "Submission Preparation Progress:" section with a list of completed tasks:

- 15.06.2012 15:26:30 - Saving data - Done
- 15.06.2012 15:26:41 - Rendering for viewing - Done
- 15.06.2012 15:26:43 - Creating ZIP file - Done
- 15.06.2012 15:26:44 - Storing in database - Done
- 15.06.2012 15:26:44 - Terminating log - Done

 The "Continue" button at the bottom is still highlighted with a mouse cursor.

Figure 416: The application data has been prepared for submission

The PDF Viewer opens.

- Click **Sign Now** in the bottom right-hand corner.
- Proceed as described in **Signing applications** (p. 86) in the Online Filing user guide or in the File Manager online help.

! **Note:** The two fields **ePCT Customer ID** and **ePCT eOwnership code** are optional. These data are only relevant for EPO Online Filing users having registered an account for the ePCT private services run by WIPO. For more information, see the WIPO website at **IP Services > PCT > ePCT > FAQ** (http://www.wipo.int/pct/en/epct/pdf/pct_wipo_accounts_faq.pdf).

Sign Application

Select an entry from the list, choose the type of signature and enter the corresponding details.

Applicants
MICRO YORK
<other>

Representatives
CARRINGTON, John
<other>

Sign for representative CARRINGTON, John:

Representative Name: CARRINGTON, John

ePCT Customer ID:

ePCT eOwnership code:

Type of signature:

☒ Smart Card

☐ Soft Certificate

☐ Alphabetical

☐ Facsimile

Smart card details:

Enter PIN Code:

Place of Signing: Cambridge

☐ Save settings as default (Can be changed in preferences)

Sign

Close

Figure 417: Representative signing the PCT/RO/101 application with his smart card

10.12.2 Sending the form

In the File Manager, the application is in **Ready to send** status.

- Select the application and click the **Next** workflow button ("Send" is displayed as the tool-tip).
- Proceed as described in **Sending applications** (p. 100) in the Online Filing user guide or in the File Manager online help.

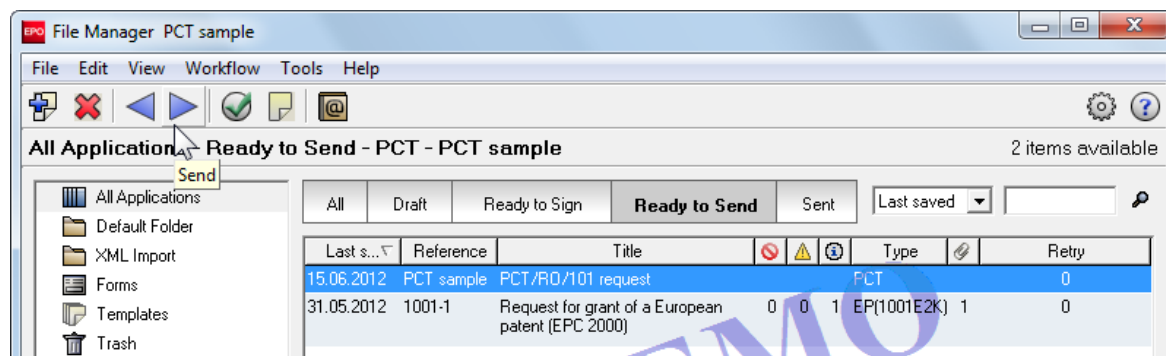


Figure 418: The application has moved from "Draft" to "Ready to send" status in the File Manager

Viewing submission information and the receipt

After the application has been sent, you can view it from the File Manager. Both the submission information and the acknowledgement of receipt can be opened from the **Annotate** tab.

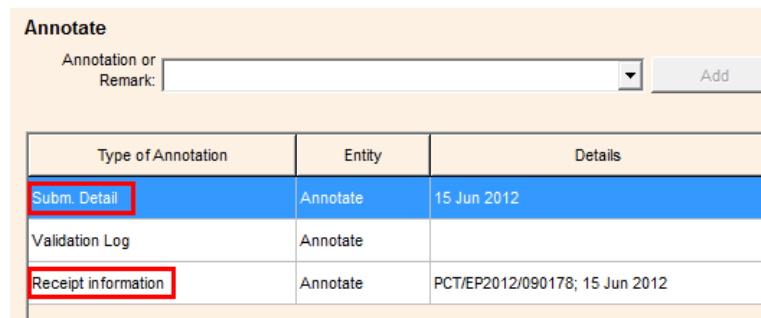


Figure 419: Submission details and receipt information available in the Annotate tab

10.12.3 Exporting and importing a form

For full instructions on exporting and importing applications via the File Manager and the Server Manager, see **Exporting data from Online Filing** (p. 103) and **Importing data into Online Filing** (p. 109) in the Online Filing user guide or in the File Manager online help.

If you want to export a single application from the PCT/RO/101 form view, use one of the following export options available in the **File** menu:

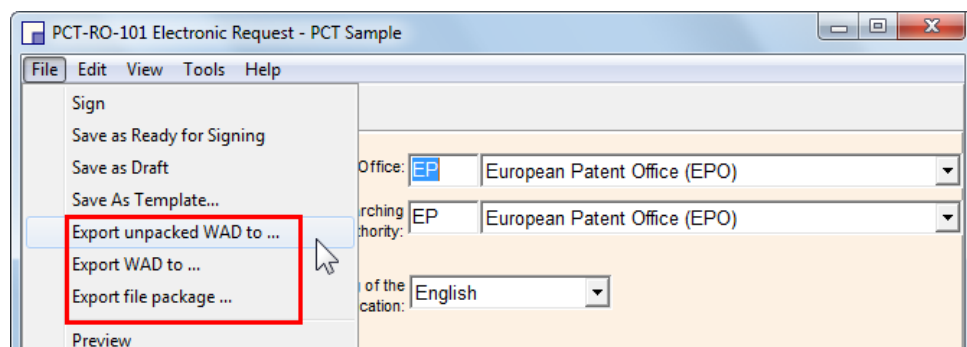


Figure 420: Export options in the File menu

Export unpacked WAD to ...

Attachments and data are rendered to XML, PDF, JPG and TXT files and are exported into an existing folder on your computer. The **Pct101.PDF** file is the application form.

❗ WAD stands for "wrapped application documents".

Export WAD to ...

The same data as above is packed into a ZIP archive file and stored in the selected location.

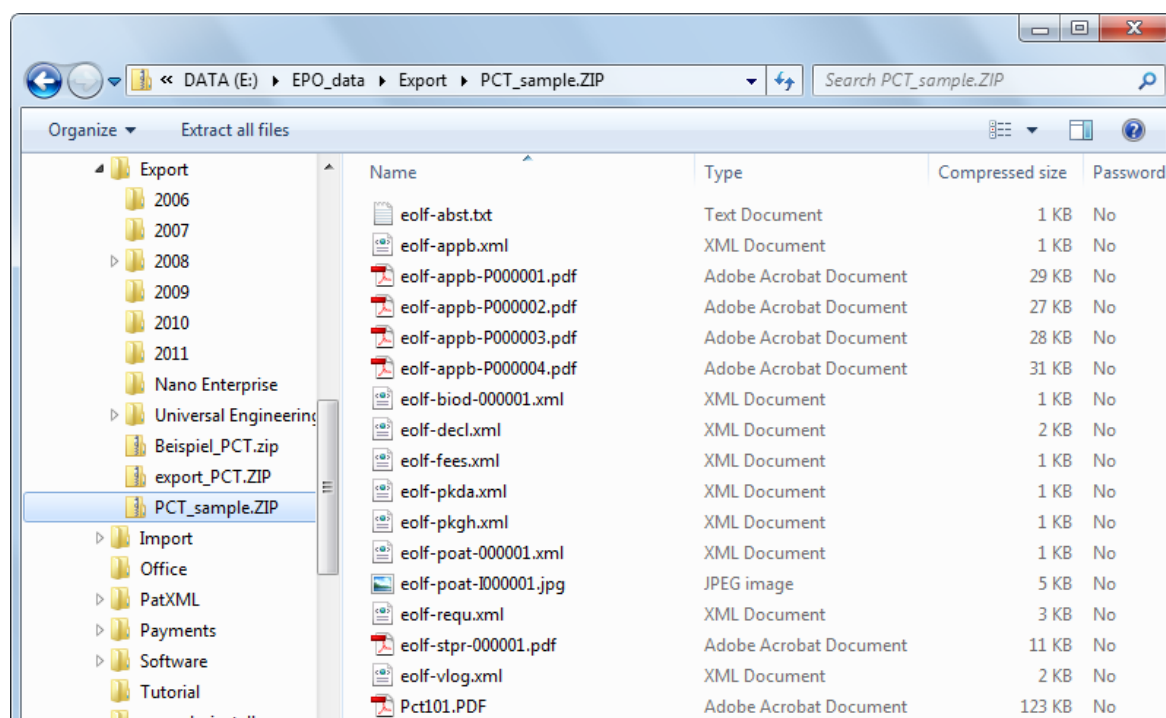


Figure 421: PCT/RO/101 application exported to WAD

Export file package ...

This option corresponds to the **Export Forms** option in the File Manager. It creates a ZIP archive containing the application form, the attached files and the accompanying items as XML and PDF files.

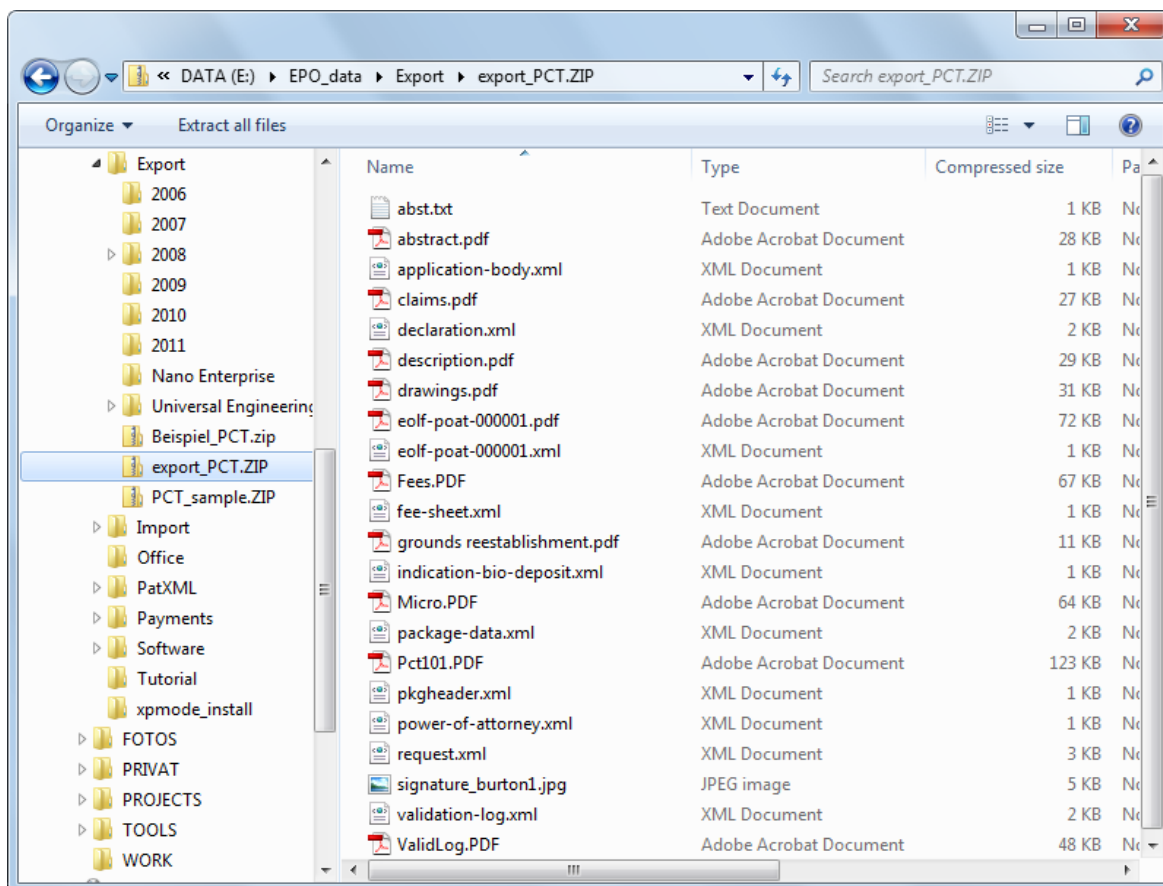


Figure 422: PCT/RO/101 application exported as file package

11 Server Manager

The Server Manager allows Online Filing users to administer and manage the Online Filing server and databases in their office environment.

Server Manager is automatically installed together with the Online Filing software Version 5.05 when **Server installation** or **Stand alone installation** is selected during setup. Server Manager cannot be run on a machine with the thin client only.

Login to Server Manager

Server Manager can only be started in **production mode**. However, most of the functions are available for both the production database and the demo database.

Users who are members of the **Administrators** group can log on to Server Manager with their user name and password. A user with **Administrator** ID is entitled to add users to the **Administrators** group in Online Filing's **User Administration** (p. 65) window.

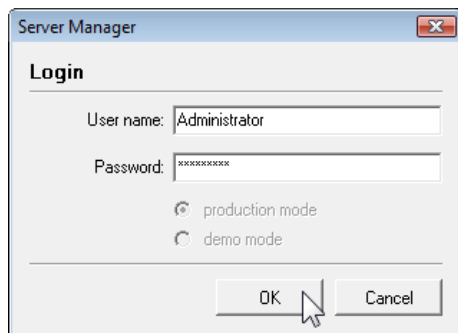


Figure 423: Login to Server Manager

Starting Server Manager in Windows 7 and Windows Vista

You need to be granted Windows Administrator privileges to start the Server Manager under Windows 7 or Windows Vista.

- ➔ Right-click the **Online Filing 5.0 Server Manager** shortcut in the **EPO Online Filing** program group.
- ➔ Select **Run as administrator** in the shortcut menu.

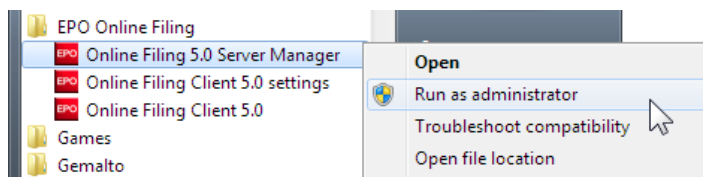


Figure 424: Starting the Server Manager via the Windows 7 Start menu

If you are not the Windows Administrator, you must enter his or her Windows account name and password in the next step.

- ➔ Click **Yes** (Windows 7) and **Allow** (Windows Vista) respectively in the **User Account Control** window.
- The Server Manager login window then appears.

11.1 Server Manager overview

By default, the Server Manager starts with the **Services** tab opened.

Server Manager's major features can be accessed via ten tabs. Every tab features a toolbar with buttons to activate the features currently available. You can also activate these features via the **Action** menu.

Tab	What you can do
Services	Control services: monitor, stop, start, activate and deactivate the Online Filing services.
Backup	Backup, restore and clear the complete database. Configure automatic backup.
Export	Export items from the database, e.g. applications or templates, and store them as ZIP files. Deleting items after export is optional.
Import	Import items into the database that have been previously exported, e.g. applications or templates, to use them in File Manager.
Users	Monitor and manage users logged in to Online Filing.
Unlock	Disconnect users from items in the database, so that the respective record (application) in the database becomes unlocked and, hence, editable for other users.
History	List of user activities in File Manager and the other services, with IP addresses, Windows account names and OLF user names. Export server log file.
Live Update Countries	Select the countries for which Live Update should search for new or updated national plug-ins.
Settings	Define default file locations for backup, import and export. Define settings for Live Update and perform a live update.
Data Migration	Transfer user administration settings from one server to another. Move the Online Filing database to another hard disk.

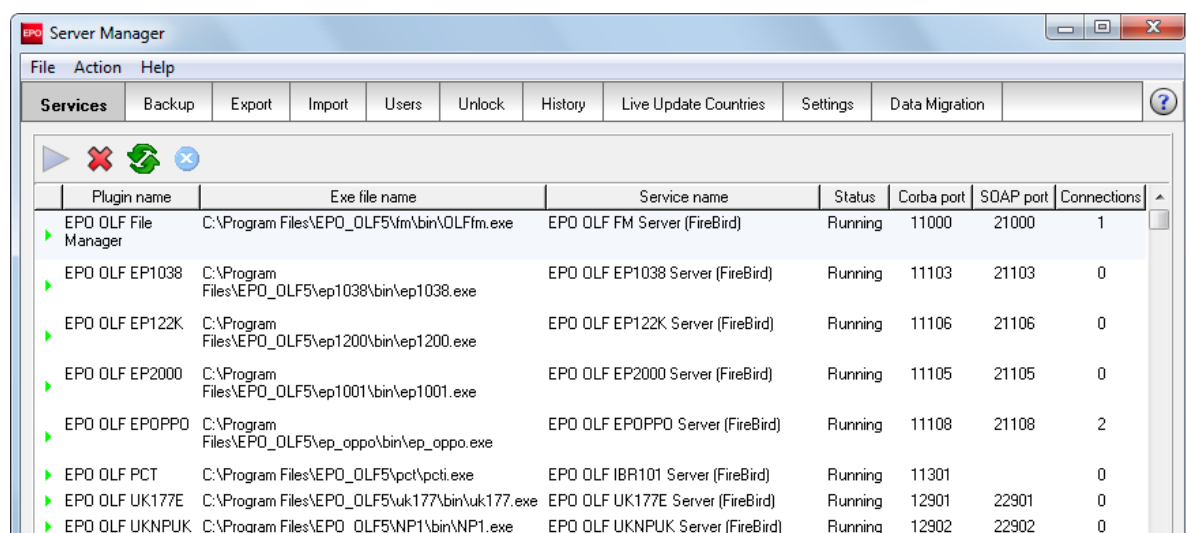


Figure 425: Server-Manager - Overview

11.2 Services management

The **Services** tab allows for monitoring and managing the Online Filing services.

The list displays all installed services by **Plugin name**, **Exe file name** (path to the program file), **Service name**, **Status**, **Corba port**, **SOAP port** and **Connections** (number of active user sessions).

In a typical installation of the EPO OLF Server the following services are installed and activated:

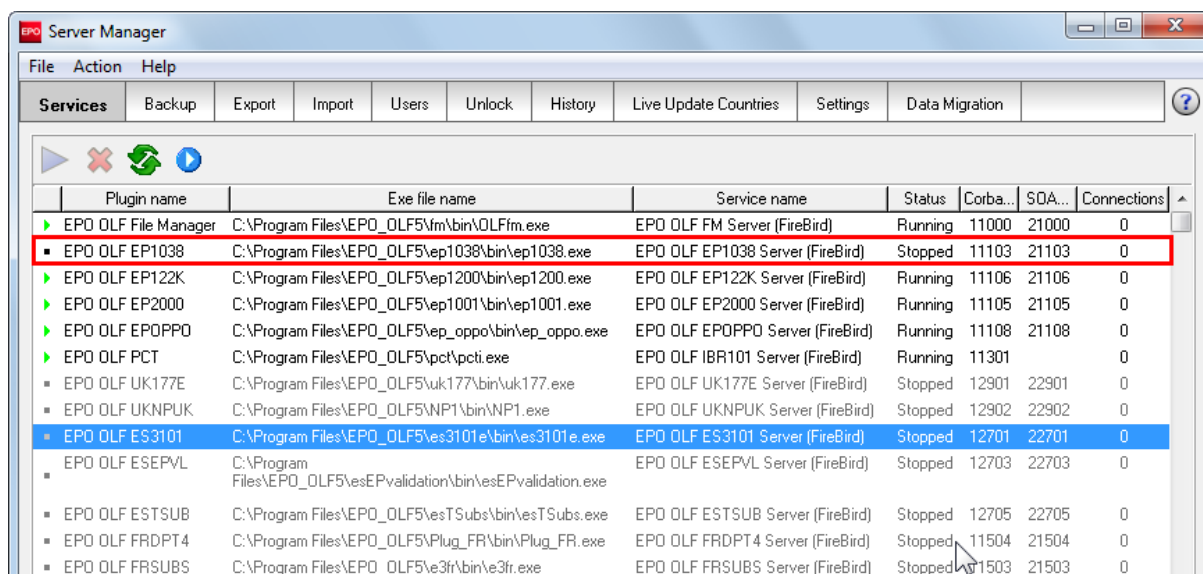
- ◆ EPO OLF File Manager
- ◆ EPO OLF EP1038 - Form EP(1038E)
- ◆ EPO OLF EP122K - Form Euro-PCT(1200E2K)
- ◆ EPO OLF EP2000 - Form EP(1001E2K)
- ◆ EPO OLF EPOPP0 - Form EP(OPPO)
- ◆ EPO OLF PCT - Form PCT/RO/101

! ***Note:** When setting up Online Filing you can select which national plug-ins should be activated. All plug-ins available for Online Filing are installed as a matter of course, but only the ones you select are activated as a service and started. Check the Online Filing installation guide for more details.*

The **Services** tab indicates the status of the various services in the following manner:

- ◆ Services that are activated are indicated in black.
- ◆ Services that are not activated are indicated in grey.
- ◆ Services that are running are indicated by a small green triangle.
- ◆ Services that are not running (including deactivated services) are indicated by a small square.

In the example below, the standard EPO OLF plug-ins and the EPO OLF File Manager are all running (black font with triangle), with the exception of the **EPO OLF EP1038** service which has been stopped (black font with square). The services for the national plug-ins are not active.



Plugin name	Exe file name	Service name	Status	Corba...	SOA...	Connections
▶ EPO OLF File Manager	C:\Program Files\EPO_OLF5\fm\bin\OLFfm.exe	EPO OLF FM Server (FireBird)	Running	11000	21000	0
■ EPO OLF EP1038	C:\Program Files\EPO_OLF5\ep1038\bin\ep1038.exe	EPO OLF EP1038 Server (FireBird)	Stopped	11103	21103	0
▶ EPO OLF EP122K	C:\Program Files\EPO_OLF5\ep1200\bin\ep1200.exe	EPO OLF EP122K Server (FireBird)	Running	11106	21106	0
▶ EPO OLF EP2000	C:\Program Files\EPO_OLF5\ep1001\bin\ep1001.exe	EPO OLF EP2000 Server (FireBird)	Running	11105	21105	0
▶ EPO OLF EPOPP0	C:\Program Files\EPO_OLF5\ep_oppo\bin\ep_oppo.exe	EPO OLF EPOPP0 Server (FireBird)	Running	11108	21108	0
▶ EPO OLF PCT	C:\Program Files\EPO_OLF5\pct\pcti.exe	EPO OLF IBR101 Server (FireBird)	Running	11301		0
■ EPO OLF UK177E	C:\Program Files\EPO_OLF5\uk177\bin\uk177.exe	EPO OLF UK177E Server (FireBird)	Stopped	12901	22901	0
■ EPO OLF UKNPUK	C:\Program Files\EPO_OLF5\NP1\bin\NP1.exe	EPO OLF UKNPUK Server (FireBird)	Stopped	12902	22902	0
■ EPO OLF ES3101	C:\Program Files\EPO_OLF5\es3101e\bin\es3101e.exe	EPO OLF ES3101 Server (FireBird)	Stopped	12701	22701	0
■ EPO OLF ESEPV	C:\Program Files\EPO_OLF5\esEPvalidation\bin\esEPvalidation.exe	EPO OLF ESEPV Server (FireBird)	Stopped	12703	22703	0
■ EPO OLF ESTSUB	C:\Program Files\EPO_OLF5\esTSubs\bin\esTSubs.exe	EPO OLF ESTSUB Server (FireBird)	Stopped	12705	22705	0
■ EPO OLF FRDPT4	C:\Program Files\EPO_OLF5\Plug_FR\bin\Plug_FR.exe	EPO OLF FRDPT4 Server (FireBird)	Stopped	11504	21504	0
■ EPO OLF FRSUBS	C:\Program Files\EPO_OLF5\es3fr\bin\es3fr.exe	EPO OLF FRSUBS Server (FireBird)	Stopped	11503	21503	0

Figure 426: Services running and stopped

Button	Command	Comments
	Start as a service	Start an online service that has been stopped.
	Stop	Stop an online service that is running.
	Refresh	Retrieve current status of online services from servers.
	Activate service	Activate service for a national plug-in (available for non-active services)
	Deactivate service	Deactivate service for a national plug-in (available for stopped services, apart from EPO OLF standard services)

Running a service

- Select the service you wish to start - the current status is **Stopped**.
- Click the **Start as a service** button.



- The service will be started and made available to users.

Stopping a service

- Select the service you wish to stop - the current status is **Running**.
- Click the **Stop** button.



- The service will be stopped. Active users will be disconnected.

ⓘ Stopping/starting the File Manager service (**EPO OLF File Manager**) will stop/start all other OLF services at the same time.

Activating a service

- Select the service for the national plug-in you want to activate - the current status is deactivated (grey font) and **Stopped**.
- Click the **Activate Service** button.

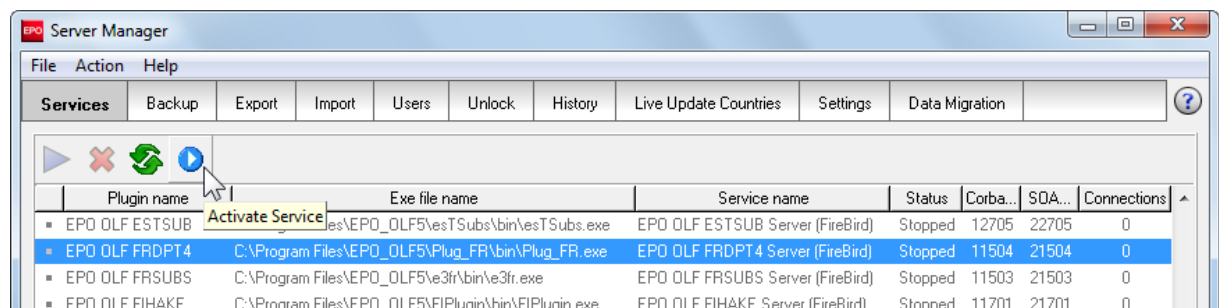


Figure 427: Activate service

The selected service is activated but not automatically started.

➔ Click the **Start as service** button.

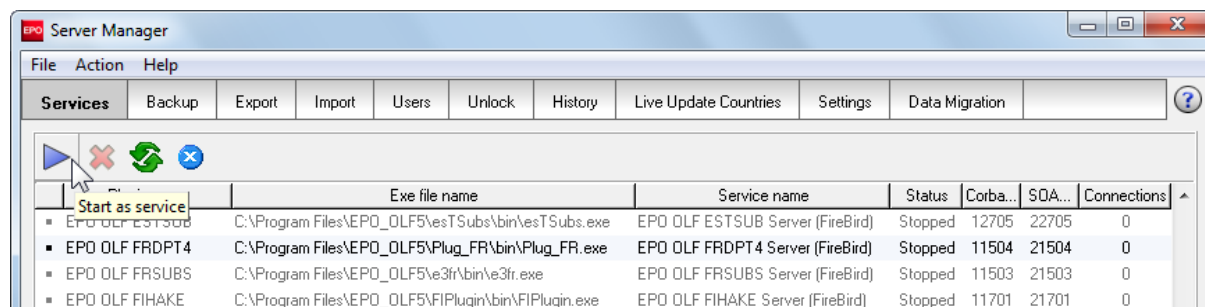


Figure 428: Service was activated and can be started

① A national plug-in activated in this way is not available in Online Filing's File Manager until all users have shut down and restarted this tool.

Deactivating a service

! Attention: If a service is deactivated, the applications created with this national procedure are no longer available in File Manager. However, the data is not removed from the database. The applications reappear as soon as the service is reactivated.

To deactivate a service that is running you must first stop it.

➔ Select the service you want to deactivate - its current status is **Running**.

➔ Click the **Stop** button.



The service is stopped and the **Deactivate Service** button reappears.

➔ Click the **Deactivate Service** button.

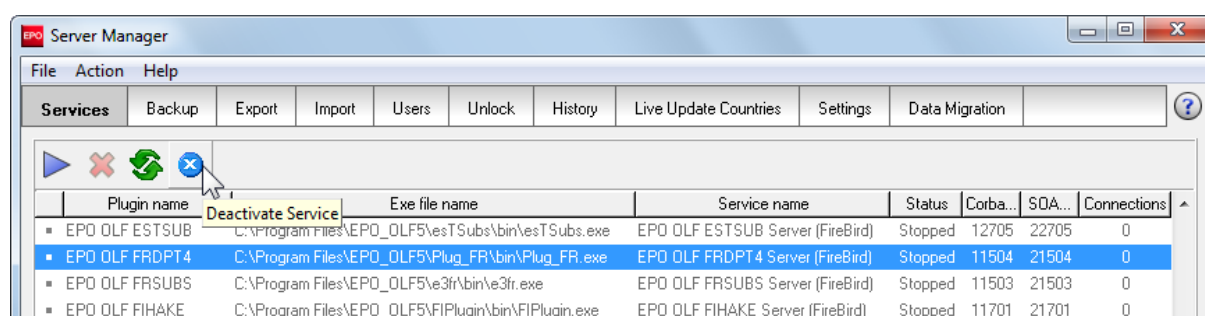


Figure 429: Deactivating a service that was stopped

① You cannot deactivate EPO OLF standard services, that is, EPO OLF File Manager, the four EPO OLF plug-ins and the EPO PCT plug-in.

11.3 Database management (Back up, restore, empty)

The Server Manager's **Backup** functionalities allow you to back up, restore and clear the complete Online Filing database.

The **Backup** tab displays a list of all existing backup files stored in your default Backup directory. The file location can be specified in **Settings**. The type of database, file name and file date are indicated in the backup list.

Button	Function	Comments
	Backup	Back up the complete Online Filing database to a compressed archive file.
	Restore	Restore the database from a selected backup file.
	Delete file	Delete a backup file.
	Empty database	Empty the Online Filing database. Specific data from the production database can be copied to the new database.
	Refresh	Display current list of all backup files from the default backup directory.

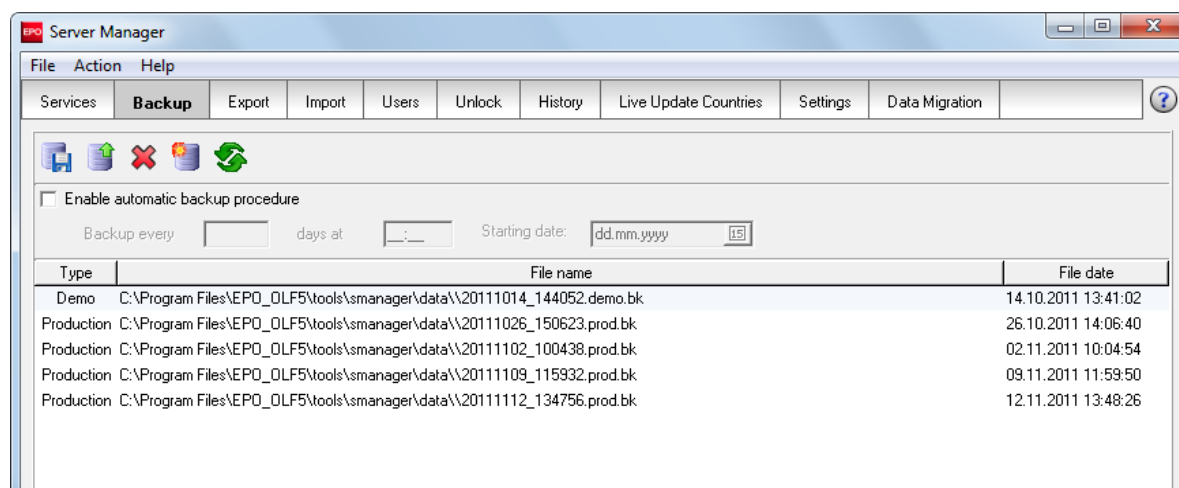


Figure 430: List of database backups in the backup directory

Backing up database

Use backup regularly to save all users' data in a physical location different from the hard drive used by the server. Backup is available for both demo and production mode.

① Applications that have been moved to the Trash folder in File Manager will not be included in the database backup. They are therefore not available for restore at a later date.

→ Click the **Backup** button to start the backup process.



→ In the **Backup logging** window, select the database you want to back up: **Production** or **Demo**.

→ Click **Start**.

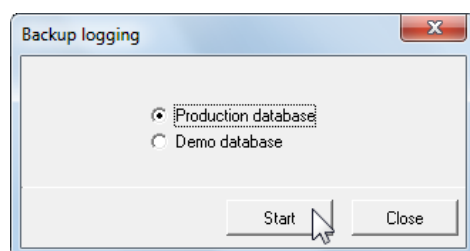


Figure 431: Selecting database for backup

The database will be backed up and stored in the default backup directory. The **Backup complete** prompt will inform you when the process is finished.

The backup file list is automatically refreshed.

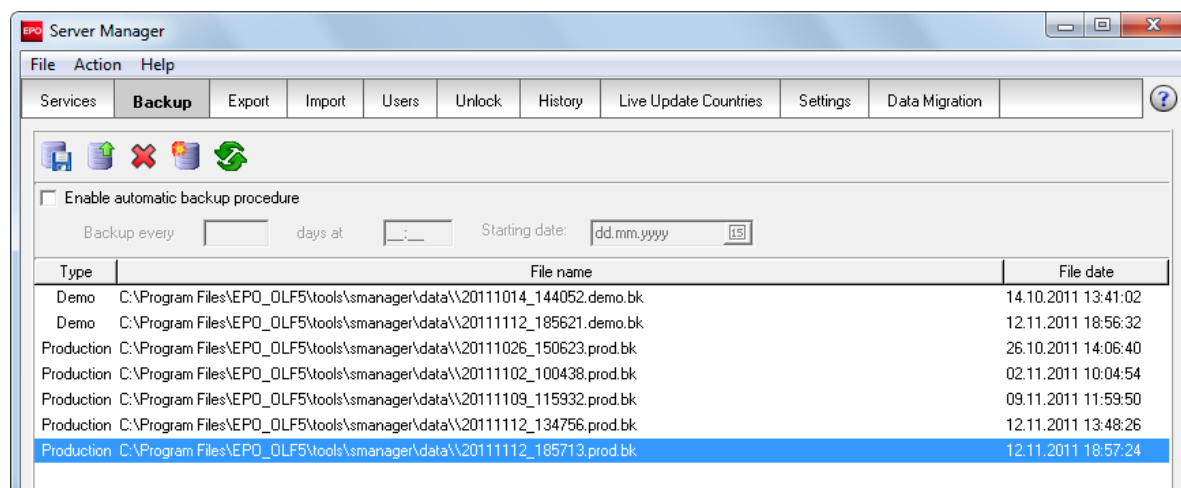


Figure 432: Backup complete, new file added to list

Deleting backup files

→ Select the backup file(s) in the list that you want to delete.

- To select multiple files, select the first backup file you want to delete with a click and all other individual files with CTRL+click.

-OR-

- Select the first file and then press SHIFT+click on the last one to select all of them.

→ Click the **Delete** button.

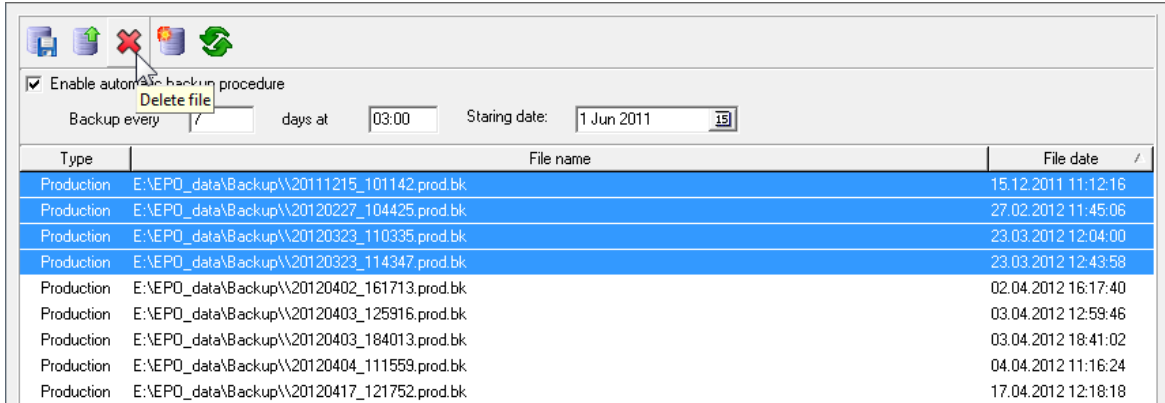


Figure 433: Deleting multiple backup files

You will be prompted for confirmation if you select multiple files to be deleted.

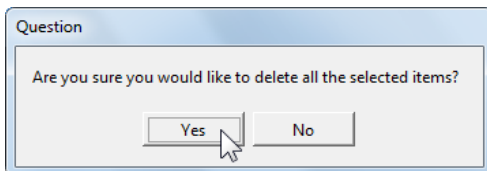


Figure 434: The Server Manager prompts for confirmation to delete multiple backup files

Enabling automatic backup procedure

You can enable the automatic backup procedure for the production database in an Online Filing server installation. Automatic backup runs database backups at regular intervals without user interaction.

→ Tick the check box **Enable automatic backup procedure**.

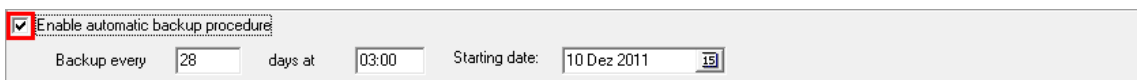


Figure 435: Default settings for automatic backup

→ Enter the number of days between the backups, e.g. **1** for daily backup or **7** for weekly backup.

① Keep in mind that daily backups require considerable amounts of free disk space and that you should therefore delete old backup files regularly. It is recommended to set the backup directory path to a physical hard drive with adequate storage capacity; see **Settings for file locations** (p. 354).

→ Enter the time of day.

① If the OLF server is down at this time, the automatic backup will start at a later time once the server is running.

→ Enter the **Starting date**.

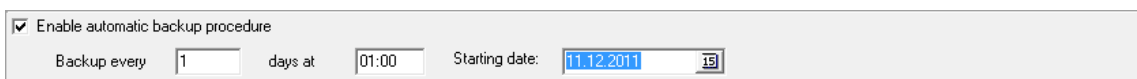


Figure 436: Settings for the automatic backup procedure

The backup settings will take effect after restarting the File Manager service. Once you click away from the **Backup** tab or you close the Server Manager, the following message is displayed as a reminder.

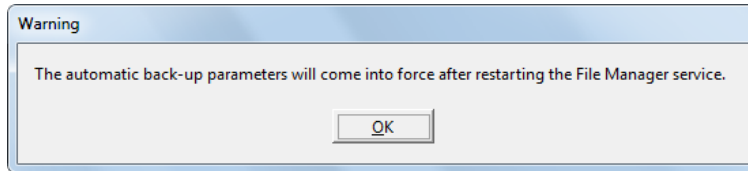


Figure 437: Reminder to restart the File Manager service, thereby activating the automatic backup

Restoring database

! **Warning:** Restore overwrites the whole database and restores it to the state it was in when the backup file was generated. You will lose all applications created since the backup!

→ Click the backup file in the list from which you want to restore your database.

① Any backup of the production database can only be restored to the production database, and any backup of the demo database can only be restored to the demo database. There is only one option available at a time, that is to say it is not possible to restore a backup file of the production database to the demo database or vice versa.

→ Click the **Restore** button.



If users are connected to the system, you will be prompted to disconnect them first.

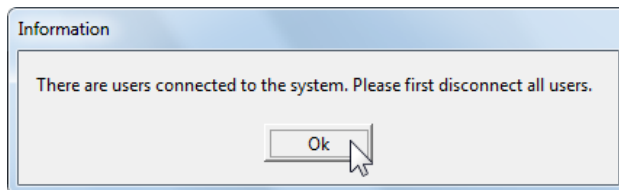


Figure 438: Warning message if there are active user connections

→ In the **Restore logging** prompt, click **Start**.

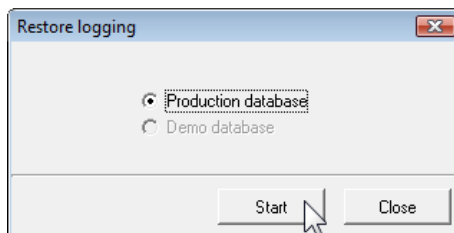


Figure 439: Restore logging prompt

The **Question** window prompts you to confirm that the data in the database will be overwritten.

→ Click **Yes**.

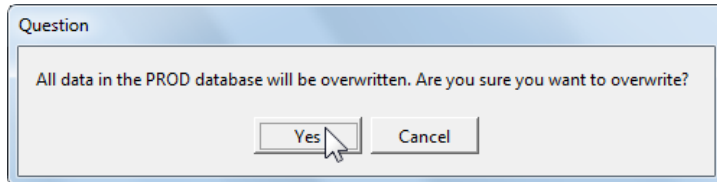


Figure 440: Warning before restore will overwrite data in the database

The database will be restored.

Creating a new empty database

Proceed as follows before you select **Empty**:

- Use **Backup** to create a complete copy of your database for backup.
- Terminate any active user sessions in the **Users tab** (see "User sessions" p. 350).

Emptying the database will create a new database and will delete all applications from the existing database. You can opt to transfer data like **users, groups, profiles, mappings, templates** and the **Address Book** as well as all applications that are not in Status **Sent** to the new database.

- Click the **Empty** button to start.



- Select which database is to be emptied.

① Extended options are available for the production database only.

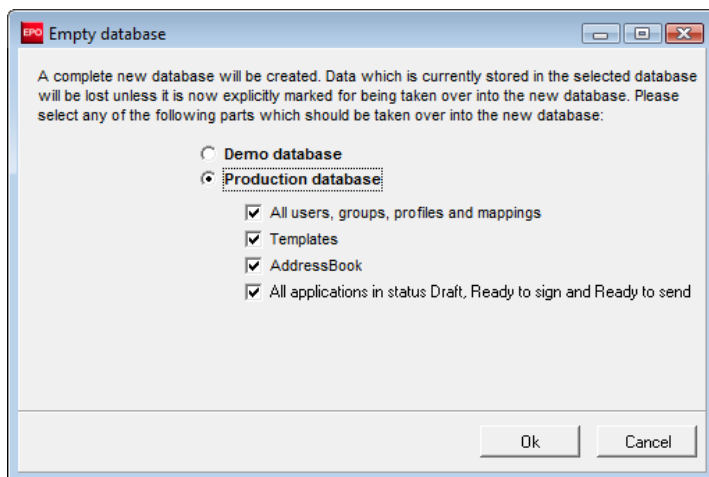


Figure 441: Empty database - selection of data to be transferred

- Click **OK** to continue.
- Click **Yes** in the **Question** prompt to confirm that you are sure you want to empty the selected database.

The new database is created. If applicable, the data previously selected is transferred from the old database to the new one.

11.4 Exporting items

The **Export** tab shows all the items stored in the Online Filing database. All existing applications and templates, including the corresponding number of validation messages and attachments, are listed to the right.

❶ The export functions in Server Manager apply to the production database only.

Button	Function	Comments
	Export	Export selected items to the default export location. Applications will be saved as ZIP files containing XML and PDF documents.
	Refresh	Update current status of applications.

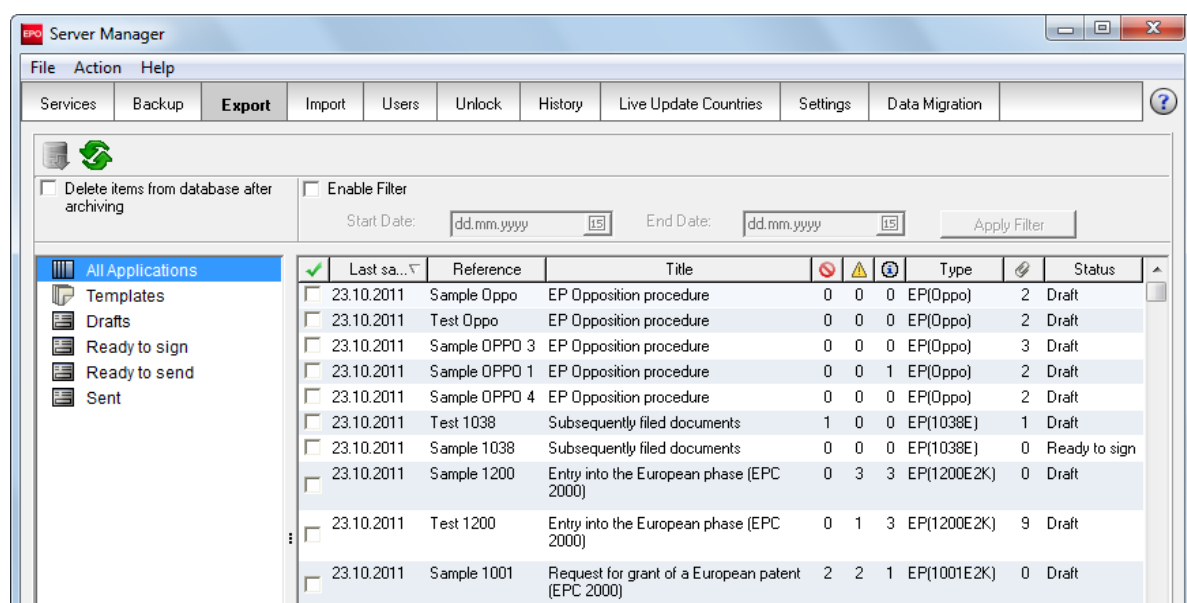


Figure 442: All applications in the Export tab

Filtering by date

You can restrict the applications to be displayed by enabling the filter by last saved date.

→ Tick the **Enable Filter** check box.

This enables the **Start Date** and **End Date** fields. The default settings are the day before the current date in the **End Date** field and the day four weeks before the **End Date** in the **Start Date** field.

→ Modify the **Start Date** and **End Date** as required.

→ Click **Apply Filter**.

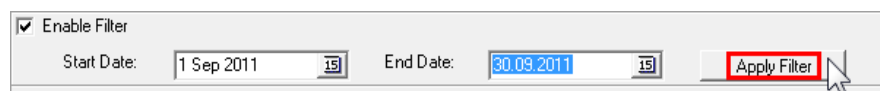


Figure 443: Enabling filter by start date and end date

→ To disable the filter, de-select the **Enable Filter** check box.

❶ The filter will also be removed automatically when you close Server Manager.

Exporting selected items

Each application will be stored as a separate ZIP file in the default **Export directory** specified in **Settings**.

- Narrow down the list of displayed items by selecting a workflow folder from the list on the left and/or enabling a filter by date.
- Click the check box next to an item to select it for export.
- Tick other check boxes to select more than one item.

-OR-

Click the  icon in the list header to select all items. Click the icon again to de-select all items.

- Click the **Export** button to start exporting files.

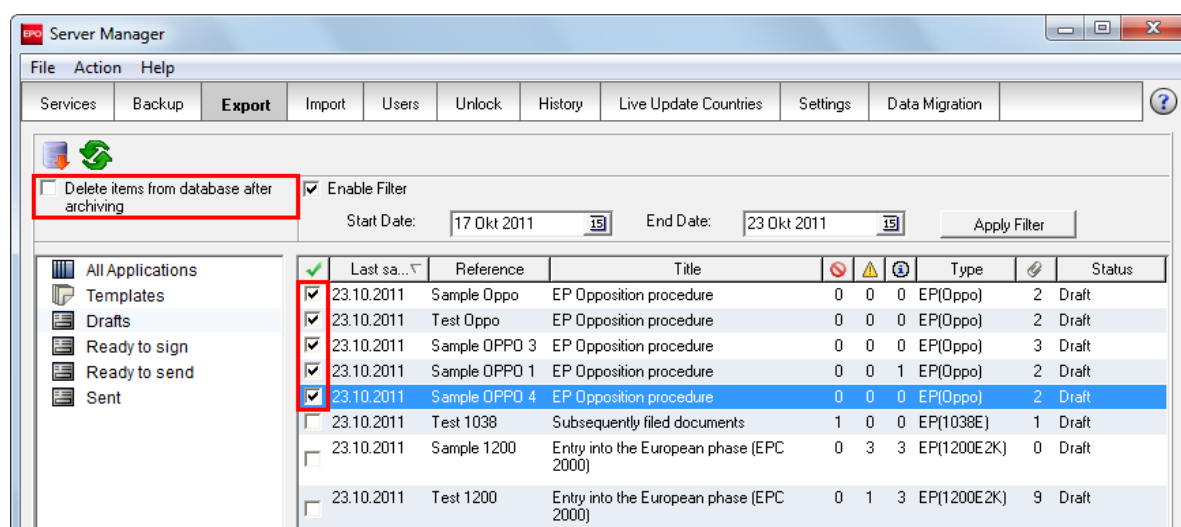


Figure 444: Selecting applications from the draft folder after a filter has been applied

! **Note:** Each time you export an application, the Export function creates a new ZIP file and names it according to the application's user reference. If a ZIP file of the same name already exists in the export folder, e.g. **sample_oppo.zip**, the following ZIP files will be named **sample_oppo_001.zip**, **sample_oppo_002.zip** and so on. The same applies if two or more applications have the same user reference.

Deleting items from database

You can opt to delete exported items from the database.

- Select the option **Delete items from database after archiving**.
- Click the **Export** button.



! **Warning:** Do not click **Cancel** while the Export progress window is still visible. Doing this will delete the selected applications processed up to this point but will not export them.

The applications will be exported and permanently deleted from the database. If you need to retrieve them, use the **Import** functions in File Manager or Server Manager.

11.5 Importing items

The **Import** tab shows all the applications available in the default import folder; see **Settings for file locations** (p. 354). Server Manager reads the ZIP files that have been created during export by File Manager or Server Manager.

❗ Like **Export**, **Import** works for the production database only.

Button	Function	Comments
	Import	Import selected items from the default import location. ZIP files will be converted into database records including the original attachments.
	Refresh	Update current status of applications.

Selecting items for import

All items are selected by default.

- Click one of the folders to the left to display applications grouped by workflow status or to select templates only.
- Clear the check boxes for the items that should not be imported.

-OR-

Reset the selection of all objects by clicking the  icon in the list header and selecting individual items.

- Click the **Import** button to start importing items.

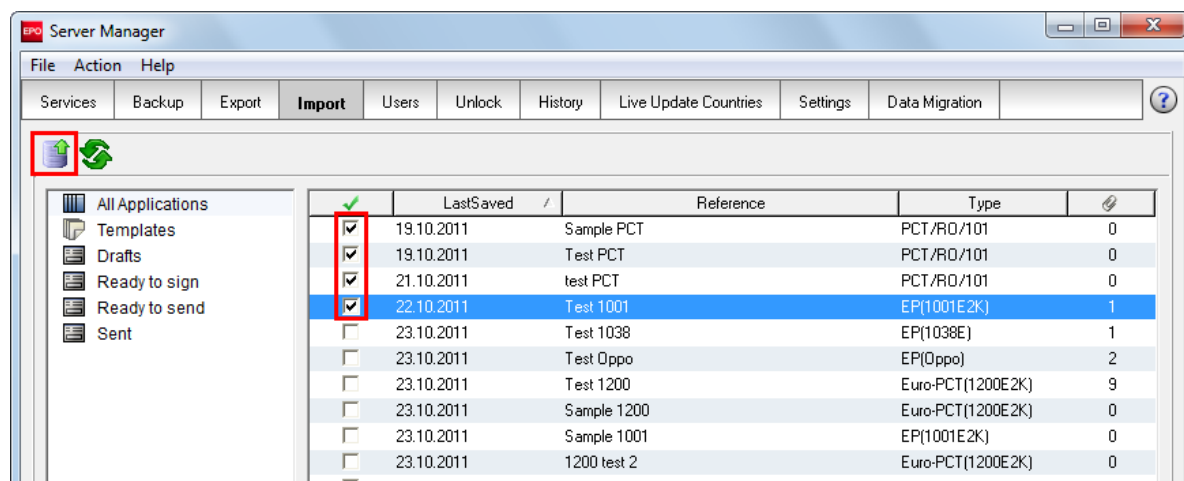


Figure 445: Import selected items

Applications imported into the database always have **Draft** status, irrespective of their pre-export status. Only sent applications are imported in **Sent** status.

In File Manager, you will find all imported applications in the default import folder that you specified under **Settings** for Server Manager. You can edit these applications once again in File Manager and move them to the required status.

11.6 User sessions

The **Users** tab displays all users currently connected to the Online Filing server.

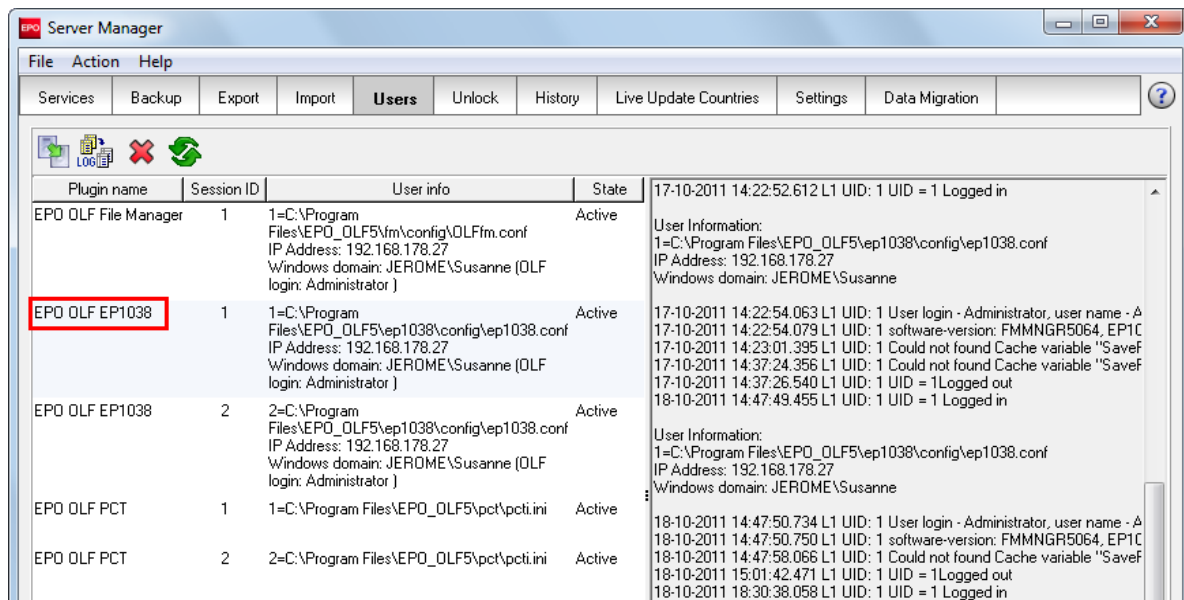
❶ In a stand-alone installation of Online Filing with a single user, the **Users** tab is empty.

Individual users can open multiple connections to the server: starting File Manager, opening applications and templates. All Online Filing plug-ins, e.g. **EPO OLF EP122K**, run as individual services to which users can connect when working in the specific Online Filing procedure.

Each individual connection is listed by **Plugin name** (service) and **User ID**. **User info** shows the path to the service's configuration file, the user's IP address, domain name and login name within the computer network as well as the internal Online Filing user name.

Button	Function	Comments
	Get user log	Display log information for selected user session in the right-hand pane.
	Get full user log	Display more detailed log information.
	Terminate user	Disconnect user from server.
	Refresh	Update current user session list.

➔ Click the **Get user log** or the **Get full user log** button to see the log for the OLF service connected to the currently selected user session ID.



Plugin name	Session ID	User info	State
EPO OLF File Manager	1	1=C:\Program Files\EPO_OLF5\fm\config\OLFfm.conf IP Address: 192.168.178.27 Windows domain: JEROME\Susanne (OLF login: Administrator)	Active
EPO OLF EP1038	1	1=C:\Program Files\EPO_OLF5\ep1038\config\ep1038.conf IP Address: 192.168.178.27 Windows domain: JEROME\Susanne (OLF login: Administrator)	Active
EPO OLF EP1038	2	2=C:\Program Files\EPO_OLF5\ep1038\config\ep1038.conf IP Address: 192.168.178.27 Windows domain: JEROME\Susanne (OLF login: Administrator)	Active
EPO OLF PCT	1	1=C:\Program Files\EPO_OLF5\pct\pct.ini	Active
EPO OLF PCT	2	2=C:\Program Files\EPO_OLF5\pct\pct.ini	Active

User Information:
 1=C:\Program Files\EPO_OLF5\ep1038\config\ep1038.conf
 IP Address: 192.168.178.27
 Windows domain: JEROME\Susanne

17-10-2011 14:22:52.612 L1 UID: 1 UID = 1 Logged in

17-10-2011 14:22:54.063 L1 UID: 1 User login - Administrator, user name - A

17-10-2011 14:22:54.079 L1 UID: 1 software-version: FMMNGR5064, EP1C

17-10-2011 14:23:01.395 L1 UID: 1 Could not found Cache variable "Savef

17-10-2011 14:37:24.356 L1 UID: 1 Could not found Cache variable "Savef

17-10-2011 14:37:26.540 L1 UID: 1 UID = 1 Logged out

18-10-2011 14:47:49.455 L1 UID: 1 UID = 1 Logged in

User Information:
 1=C:\Program Files\EPO_OLF5\ep1038\config\ep1038.conf
 IP Address: 192.168.178.27
 Windows domain: JEROME\Susanne

18-10-2011 14:47:50.734 L1 UID: 1 User login - Administrator, user name - A

18-10-2011 14:47:50.750 L1 UID: 1 software-version: FMMNGR5064, EP1C

18-10-2011 14:47:58.066 L1 UID: 1 Could not found Cache variable "Savef

18-10-2011 15:01:42.471 L1 UID: 1 UID = 1 Logged out

18-10-2011 18:30:38.058 L1 UID: 1 UID = 1 Logged in

Figure 446: Users logged in to Online Filing services

Terminating user sessions

- Select the user session to be disconnected in the left-hand pane.
- Click the **Terminate user** button.

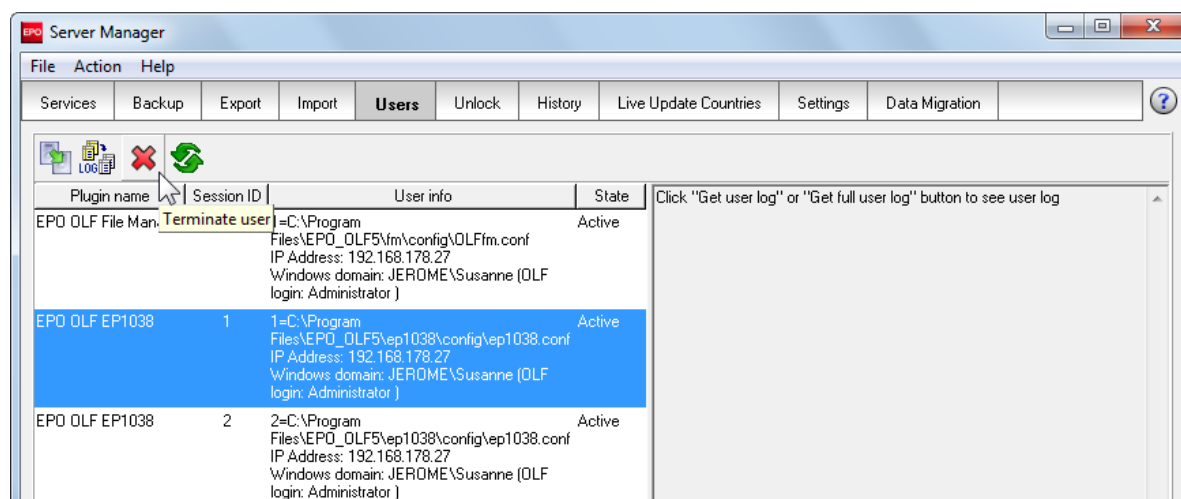


Figure 447: Terminate user

The connection will be terminated. In File Manager or in the form, the user will receive the following message:

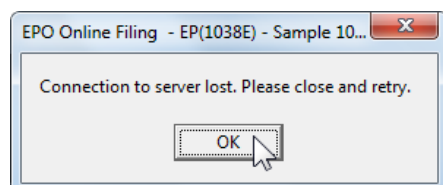


Figure 448: User info - connection to server lost

11.7 Unlocking forms

The **Unlock** tab displays a list of all database records locked by users.

❶ In a stand-alone installation of Online Filing with a single user, the **Users** tab is empty.

If a user logged on to File Manager and opened an application or template for processing, the corresponding record is locked in the database. If other users now try to open this specific application, they receive a message that this record is locked and a read-only copy of the application is opened.

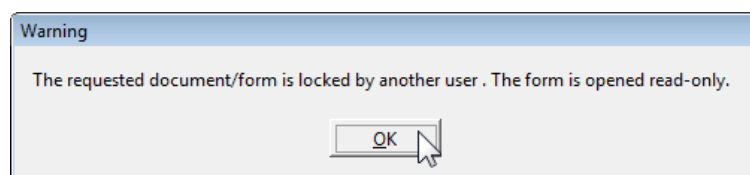


Figure 449: Warning about a locked application/document

In the **Unlock** tab, you can unlock locked records to enable other users to continue working on the relevant application.

❶ The **Unlock** function is not applicable for the PCT forms and works only for the production database.

The **Plugin name** (service for the selected plug-in), **Session ID** (internal user number), **Table** (table in the database) and **Record** (internal number of the record) are listed for each record. The **User info** column shows the IP address of the computer and the domain name of the network where the user logged on, the user's Windows logon name as well as his or her user name in Online Filing.

Button	Function	Comments
	Unlock	Unlock record and disconnect user from service.
	Refresh	Update current locked record list.

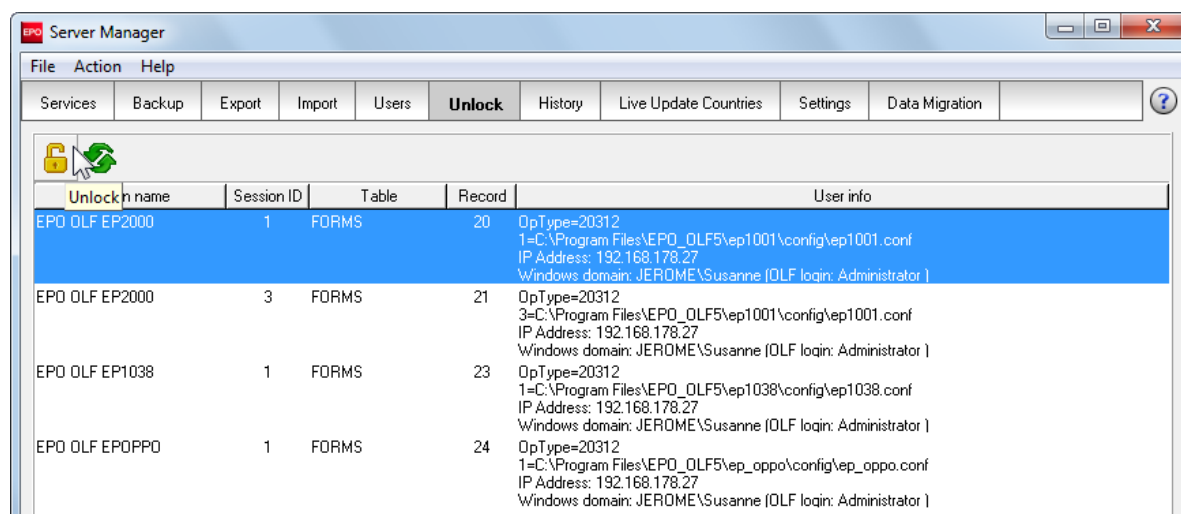


Figure 450: List of records currently locked

Unlocking a record

- Select the record to be unlocked.
- Click the **Unlock** button.



Server Manager terminates the active user session when unlocking a record.

- Click **Yes** to confirm.

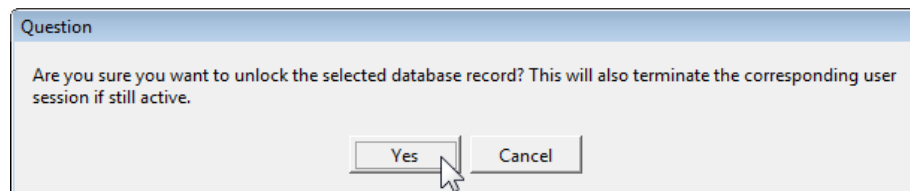


Figure 451: Unlocking a record also terminates the user session

11.8 History

The **History** tab provides a chronological list of login and logout actions by all users as well as the status of Online Filing services. A separate log is available for every service. Older entries are automatically hidden.

This enables the administrator to check user activities, find errors and, if necessary, prevent unauthorised operations.

- Click the **Refresh** button to retrieve the most recent status.



- Click a service (**Plugin name**) to display the associated history on the right.

Plugin name	Status	Date/time	User name	Operation	Information
EPD OLF File Manager	Running	19.09.2011 13:07:16	Administrator	Logged in	1=C:\Program Files\EPD_OLF5\ep_oppo\config\ep_oppo.conf IP Address: 192.168.178.27 Windows domain: JEROME\Susanne (OLF login: Administrator)
EPD OLF EP1038	Running				
EPD OLF EP122K	Running				
EPD OLF EP2000	Running	19.09.2011 13:07:42	Administrator	Logged out	
EPD OLF EP0PPO	Running				
EPD OLF PCT	Running	17.10.2011 14:23:24	Administrator	Logged in	1=C:\Program Files\EPD_OLF5\ep_oppo\config\ep_oppo.conf IP Address: 192.168.178.27 Windows domain: JEROME\Susanne (OLF login: Administrator)
EPD OLF UK177E	Running				
EPD OLF UKNPUK	Running				
EPD OLF UKSFDE	Running	17.10.2011 14:37:20	Administrator	Logged out	
EPD OLF ES3101	Stopped				
EPD OLF ESEPV	Stopped	18.10.2011 14:48:14	Administrator	Logged in	1=C:\Program Files\EPD_OLF5\ep_oppo\config\ep_oppo.conf IP Address: 192.168.178.27 Windows domain: JEROME\Susanne (OLF login: Administrator)
EPD OLF ESTSUB	Stopped				
EPD OLF FRDEPOT	Running				
EPD OLF FRSUBS	Running	18.10.2011 15:01:51	Administrator	Logged out	
EPD OLF FIHAKE	Stopped				

Figure 452: Log of user activities in the History tab

Exporting server log files

You can export the logs for every individual OLF service for later evaluation, if required.

- Select the Plugin name.
- Click the **Export** button.



Server Manager creates a CSV file, which is named according to the selected service and stores it in the default export folder.

11.9 Settings

The **Settings** tab comprises various options for configuring the Server Manager.

- ◆ Setting the target directories for backup and restore, for export and import in the file system of your computer or network.
- ◆ Selecting the destination folder in File Manager for importing applications.
- ◆ Entering data for internet access via a proxy server, if applicable.
- ◆ Entering access data for the internet connection used by Live Update, if applicable.
- ◆ Configuring the e-mail service for distributing Live Update information.
- ◆ Configuring Live Update and checking for updates manually.

11.9.1 Settings for file locations

During the installation of Online Filing, the default setting for all directories is defined by the program path to Server Manager, i.e. C:\Program Files\EPO_OLF5\tools\smanager\data.

You can designate your own specific directories for the Server Manager's data exchange functions, for example on a different hard disk partition or a mapped network drive.

In the **Backup**, **Export** and **Import** tab, Server Manager only lists the files located in these designated directories; files stored in sub-directories are ignored.

Setting	Comments
Backup and restore directory	Location for storing database backup files.
Export directory	Location for exporting applications as ZIP files.
Import directory - source	Default location from which ZIP files are imported to new applications.
Import directory - destination	Default folder in File Manager where imported applications are created.

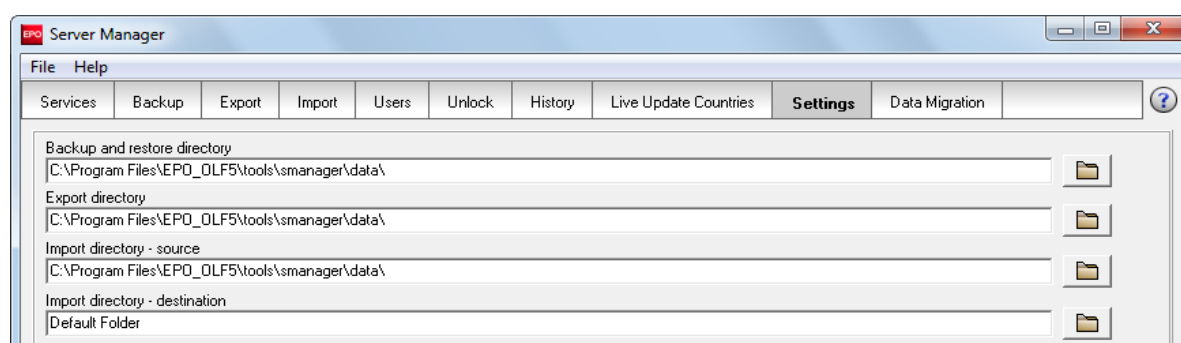


Figure 453: Default settings for file locations

Changing directory settings

- ➔ Click the folder button to the right of the directory path you wish to modify.



- ➔ Navigate to the new folder in your computer/network drives.
- ➔ Click **OK**.

The new path will be displayed in the **Settings** tab.

Backup and restore directory	\\BETTY\Public\OLF_backup\DB\	
Export directory	\\BETTY\Public\OLF_backup\export\	
Import directory - source	\\BETTY\Public\OLF_backup\import	
Import directory - destination	EPO 2011	

Figure 454: Example of individual settings for file locations

11.9.2 Default Network Settings

The administrator defines the default network settings in Online Filing for all users in the corporate network. PC workstations in larger companies usually do not connect directly to the Internet but rather are routed over a proxy server. This proxy examines all incoming and outgoing connections and rejects unauthorised connection attempts.

- Enter the IP address of the proxy server in the **Proxy server** field.
- In the field to the right of it, enter the number of the proxy server port that Online Filing should use to establish an Internet connection. You can configure the proxy server in such a way, for instance, that this port is only used by Online Filing.
- Use the **SSL Version** drop-down list to select the SSL version used in your company for data encryption.
- Enter appropriate access data in the fields **Username** and **Password** if the proxy server requires authentication every time a connection is established.

! **Warning:** The username and password for the proxy user are saved in unencrypted form in the file *OLFm.conf*. For security reasons, these credentials should never be identical to your Windows authentication.

Default Network Settings				
Proxy server:	192.168.178.33	8080	SSL Version:	SSLv3
Username:	OLFUser		Password:	XXXXXXXXXX

Figure 455: Network settings

- ❗ Please contact your system administrator if you are unsure about the information needed in your situation.

SSL Versions

Online Filing supports the SSL versions SSLv2, SSLv3, SSLv23 and TLSv1.

- ◆ **SSLv2** is the least secure encryption method and is only used nowadays by older applications.
- ◆ **SSLv3** is the default setting for Online Filing because it is compatible with most networks.
- ◆ **SSLV23** is compatible with systems that operate with SSLv2 or SSLv3.
- ◆ **TLSv1** is the latest version and offers the maximum security in terms of data encryption. Although TLSv1 is already supported by most browsers, it must be specially activated in the network settings.

❗ Please note that the SSL version selected in the **User Preferences** (p. 56) window must match the SSL versions in the Server Manager settings for Internet-based data exchange to work.

11.10 Live Update

The Live Update service is used to update the Online Filing software. Live Update establishes a connection between the Online Filing client and the EPO's update server and checks for updates for the installed version of the software.

Live Update is configured and can be activated manually in Server Manager. This means that only users in the **Administrators** group are allowed to perform a live update in Online Filing.

How to update Online Filing

- Log on to **Server Manager** with your user name.
- Use **Backup** to create a copy of your database.
- Check if there are any updates available in the **Settings** tab.
- Download the update.
- Install the update in a test environment to ensure that it does not cause any problems on your productive system.
- Shut down all Online Filing services.
- Install the update in the server installation. If the update also includes amendments to Online Filing's thin client, a new installation file is generated for the thin client when updating the server and stored in the program folder **EPO_OLF5/ThinClient_v500**.
- Restart the services.
- Distribute the thin client update to the individual users.

Update types

Live Update performs three different types of update.

- ◆ **Maintenance:** Changes in the maintenance tables, such as countries, languages, fees, URLs, addresses. The relevant maintenance tables are automatically updated when starting File Manager after the update has been downloaded.
- ◆ **Patch:** Changes to the existing software, new features, new national routes.
- ◆ **Installation:** New version of the Online Filing software released following a complete revision.

You can either install updates via Live Update or download the installation files from the EPO website at **Online Services > Online Filing > Download software for filing with the EPO** (<http://www.epo.org/applying/online-services/online-filing/download.html>).

11.10.1 Settings for Live Update

The basic settings for Live Update are made in Server Manager.

- Log on to Server Manager with the **Administrator** user name.
- Go to the **Settings** tab

The Live Update options are listed on the lower part of the tab.

The screenshot shows the 'Server Manager' application window with the 'Settings' tab selected. The 'Live Update' section is highlighted with a red border. It includes fields for 'Live Update proxy' (Server, Port, Username, Password) and 'Live Update e-mail' (Server, Sender, Receivers). Below these are checkboxes for 'Enable software update system' and a 'Check for update every ... day(s)' field. A 'Live Update Server Location' dropdown is also present.

Backup and restore directory	
Backup and restore directory	C:\Program Files\EPO_OLF5\tools\smanager\data\
Export directory	C:\Program Files\EPO_OLF5\tools\smanager\data\
Import directory - source	C:\Program Files\EPO_OLF5\tools\smanager\data\
Import directory - destination	Default Folder

Default Network Settings	
Proxy server:	SSL Version: SSLv3
Username:	Password:

Live Update proxy	Live Update e-mail
Server: myProxyServer	Server: smtp.mycompany.com
Port: 8080 (E.g.: Proxy : 8080)	Sender: OLFadmin@mycompany.com
Username: OLFadmin	Receivers: user01@mycompany.com user02@mycompany.com OLFusers@mycompany.com
Password: xxxxxxxx	

☒ Enable software update system

Check for update every 1 day(s)

Live Update Server Location: EPO, The Hague

Figure 456: Live Update settings in Server Manager

Enabling Live Update

The check box for **Enable software update system** is selected by default.

- Enter how frequently you want to check for updates in the field **Check for update every ... day(s)**.
The default setting is 1 day.
 - Select the location of the server you want to check for updates in the **Live Update Server Location** list.
The only option in the latest version of Online Filing is the EPO's Live Update server in The Hague.
- Online Filing automatically checks for updates every time File Manager starts and reports any updates found.

Live Update with Windows 7 and Windows Vista

In the Windows 7 and Windows Vista operating systems, only the administrator can perform live updates manually in Server Manager.

If updates are available, the following message appears when a user opens File Manager for the first time on the day in question:

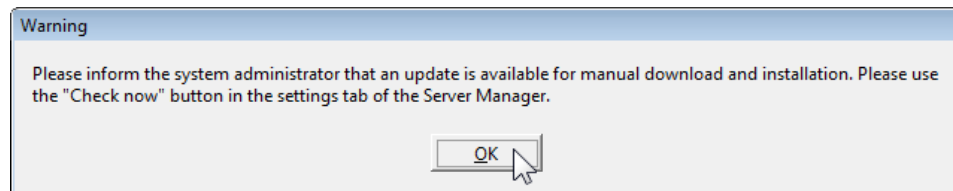


Figure 457: Message about an available update when File Manager starts

Connection to Live Update server

If your corporate network uses a proxy server to connect to the Internet, you can enter the relevant data in the Live Update settings.

- Enter the server name or the IP address of the proxy server in your network in the **Server** field under **Live Update proxy**.
- In the **Port** field, enter the number of the port that the server should use to set up the connection to the EPO Live Update server.
- If the proxy server requires authentication, enter the appropriate data in the fields **Username** and **Password**.

E-mail to the user

You can inform the users in your company when a new update is available for installation.

- Enter the address of your mail server in the **Server** field under **Live Update e-mail**.
 - ① Server Manager can only send e-mails via your mail server if the outgoing mail server (SMTP) does not require authentication.
- Enter the e-mail address of the sender in the **Sender** field.
- Enter the e-mail addresses of the recipients in the **Receiver** field.
 - If you enter multiple addresses, insert a line break after each e-mail address as a separator.
 - The configuration of a special collective address which forwards mail internally to individual recipients is also recommended.
- To verify your settings, click the **Test** button.

If all settings are correct, the receivers will get an e-mail. If not, you can find the error log file in the OLF program folder under C:\Program Files\EPO_OLF5\tools\smanager\logs\SendMail.log.

Including country-specific procedures in Live Update

Live Update automatically checks for new national procedures or their updates if you selected specific countries in the **Live Update Countries** tab.

- Select the appropriate countries.
- ① If you activated national plug-ins when installing Online Filing, the relevant countries are automatically selected by default.

Live Update informs you that updates are available for download as soon as the EPO publishes a new national procedure for one of your selected countries.

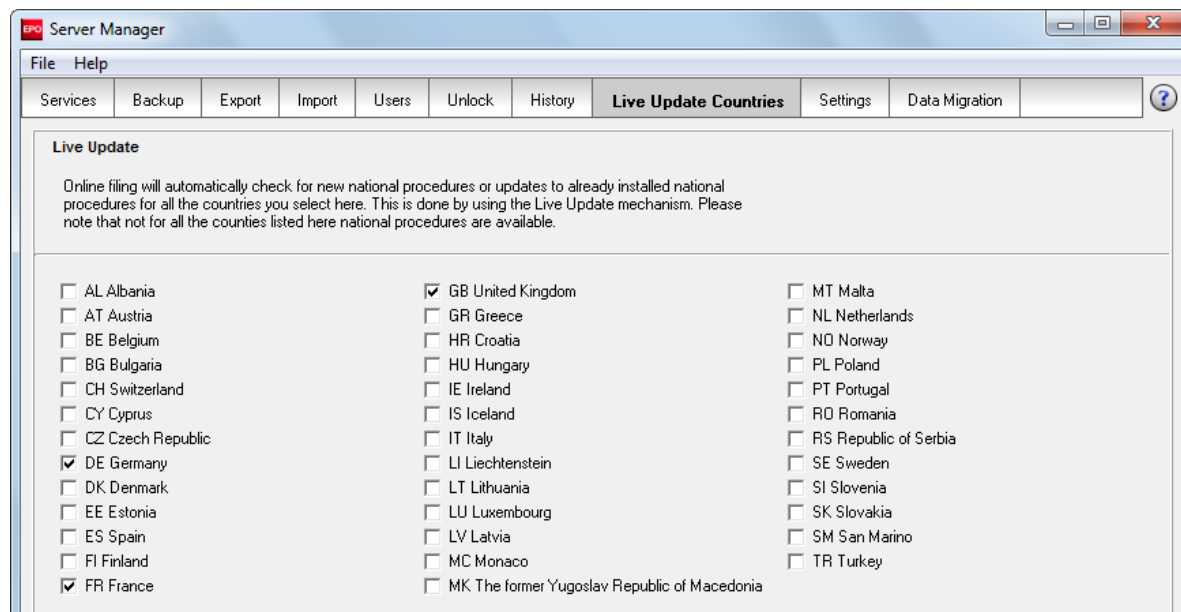


Figure 458: Selecting countries for Live Update

11.10.2 Downloading updates

Irrespective of the settings for Live Update, you can check for updates at any time you wish.

- Click the **Settings** tab in Server Manager.
- Click **Check Now**.

Online Filing establishes a connection to the EPO's Live Update server and checks for updates for the software and the selected countries. If so, a message appears asking you if you want to download the updates now.

- ① The same message appears if Live Update found new updates when starting File Manager.
- Click **Yes** to download the updates.

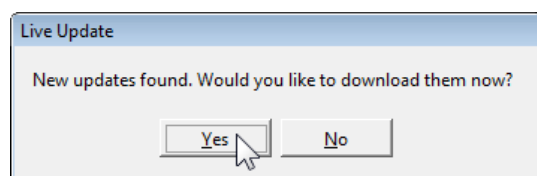


Figure 459: New updates found

The Live Update window opens with a list of the updates available.

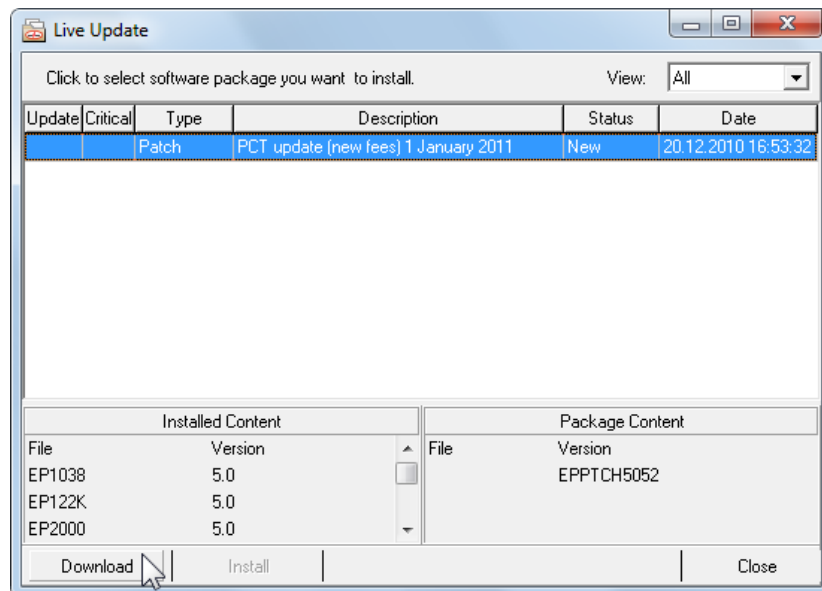


Figure 460: Updates available for download

Live Update shows all the available updates in order of **Date**. The entry in the **Type** column indicates whether it is a maintenance update, patch or full installation. The **Status** column shows whether the update is new or has already been downloaded. An exclamation mark in the **Critical** column indicates that the EPO considers that the update is particularly important and should be installed.

Further information about the selected update can be found at the bottom of the window under **Package Content**.

❶ The **Install** button does not become active until after the update has been downloaded.

- Select the update in the list.
- Click **Download**.

Downloading multiple updates

- From the **View** drop-down list in the top right-hand corner select **New**.
The **Update** column now contains a check box for each update.
- Tick the check boxes of the updates you wish to download.
- Click **Download**.

Downloading an update

With larger files, a progress indicator shows the progress of the download operation.

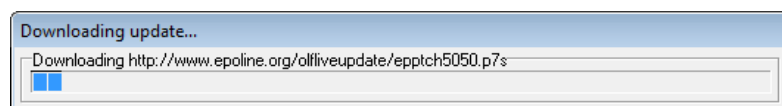


Figure 461: Progress indicator during Live Update download

Before the files are saved on your hard disk, they are subjected to verification.

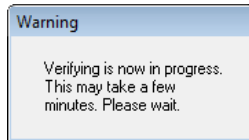


Figure 462: Verification of updates after download

Live Update always indicates when downloading and verification are successfully completed.

→ Click **OK**.

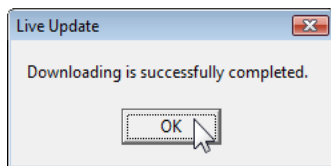


Figure 463: Downloading and verification completed.

The downloaded updates are now displayed with **Downloaded** status in the **Live Update** window.

→ Click **Close** to exit Live Update without installing any updates.

11.10.3 Installing updates

Installing maintenance updates

Maintenance updates are automatically installed when you start File Manager. To complete the maintenance update all you have to do is download the files from Live Update.

Installing a patch via Live Update

→ In the **Live Update** window select the update you require.

→ Click the **Install** button.

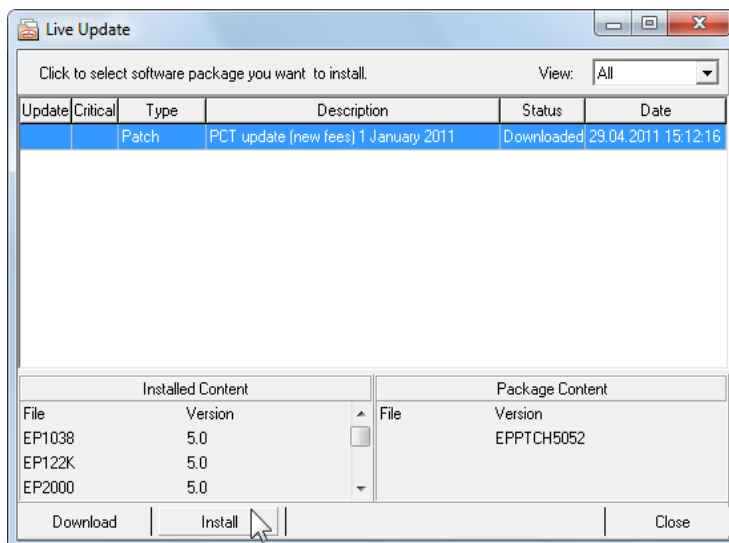


Figure 464: Installing a downloaded update

For the update to be installed correctly, all OLF programs and services must be stopped.

- Check the **Users** tab in Server Manager to see if there are any users currently working on applications and give them ample warning of the impending disruption of online services.
- Click **Yes** when the prompt appears.

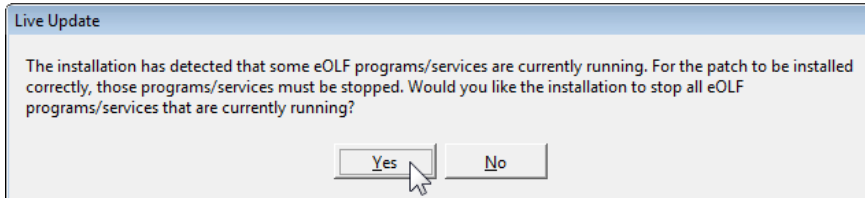


Figure 465: Pre-installation warning about the termination of Online Filing services

File Manager and any other active services are terminated. The Live Update window remains open in the background.

The installation program starts.

Running installation files as a program

- Close the **Live Update** window.
- Give any logged-on users ample warning of the impending disruption.
- Terminate all active Online Filing services in the **Services** tab in Server Manager.
- Open the Windows Explorer.

The downloaded updates are stored in the C:\Program Files\EPO_OLF5\fm\config\LU\Installations folder as executable EXE-files.

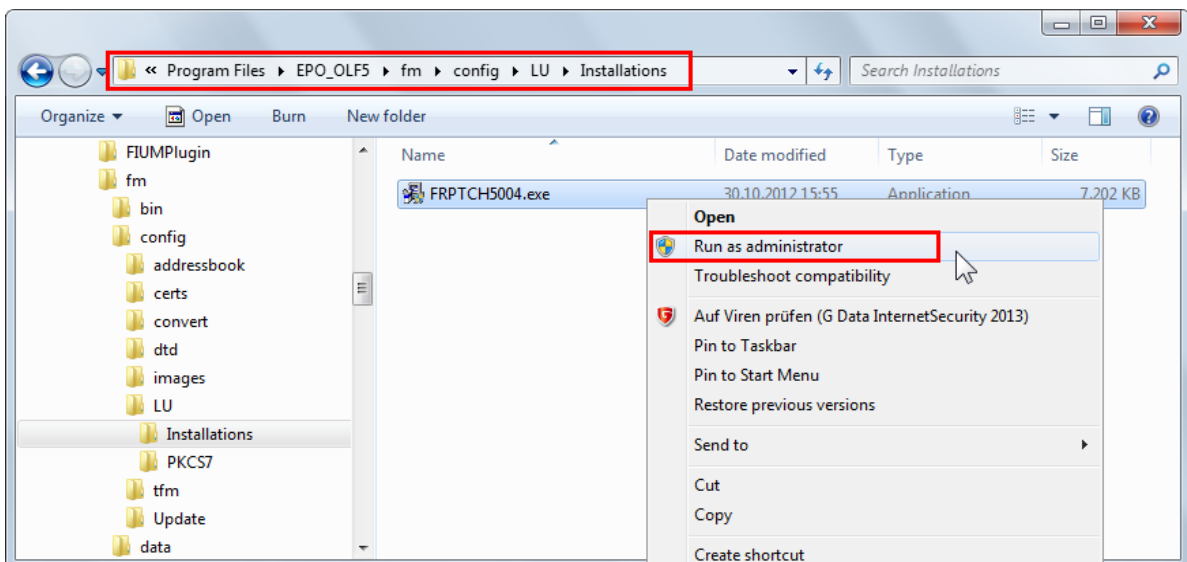


Figure 466: Downloaded update files in the EPO_OLF5 program directory

- Double click the update you wish to install.
- OR-
- Right-click the file and select **Run as administrator**.
- The installation program starts.
- Follow the instructions provided by the installation wizard.

11.11 Data Migration

The **Data Migration** tab in the Server Manager offers options for migrating data from one server to another or from the production database to the demo database, without the need to run the installation program. You can migrate the selected data either to a different hard drive or to a different machine.

Migrating user data

- ◆ Copy the complete user administration from the production server to the demo server.
- ◆ Export the user administration from the production server to a file.
- ◆ Import the user administration from a file to the production server.

Migrating databases

- ◆ Move the production database to another storage location.
- ◆ Move the demo database to another storage location.

11.11.1 User Data Migration

If your company has been working with Online Filing for some time, your Online Filing administrators may have created a specific system of user accounts, groups and profiles for your purposes.

When you install Online Filing on a new machine, you can conveniently transfer this user management set-up to the new installation. Likewise, the user settings of your OLF production server can be copied to your demo server for testing purposes.

! **Attention:** To avoid data conflicts, User Administration should only be copied to or imported into an empty Online Filing database.

- Open the **Data Migration** tab.
- Under **User Data Migration**, select the appropriate option.
- Click **Execute**.

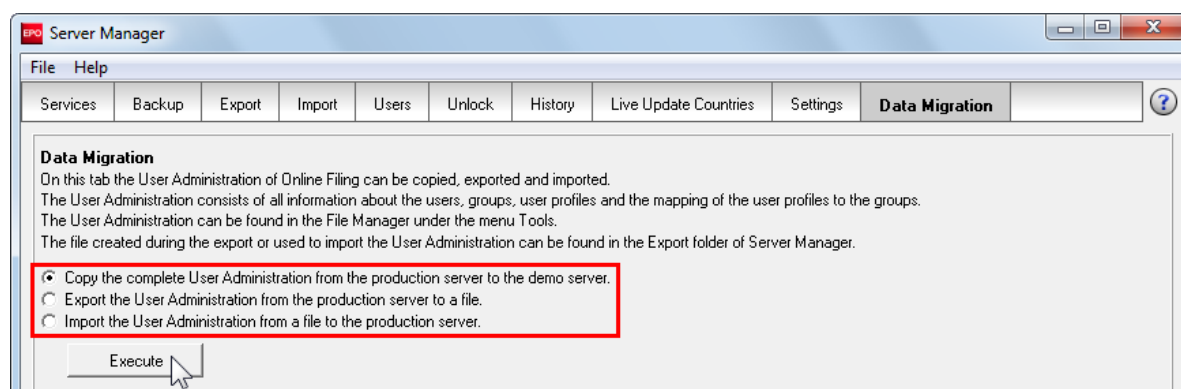


Figure 467: Options for migrating the User Administration

If users are connected, a warning prompt appears and the action is cancelled.

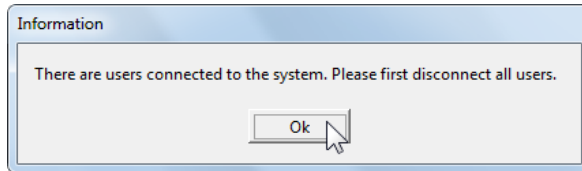


Figure 468: Warning to disconnect users before exporting or importing user management settings

Exporting user administration

The export operation creates a ZIP file in the Server Manager's default export directory. The ZIP file is named **useradministration[date]_[time].zip**, e.g. **useradministration20120628_153639.zip** and contains three files, **um.tmp**, **uma.tmp** and **umr.tmp**.

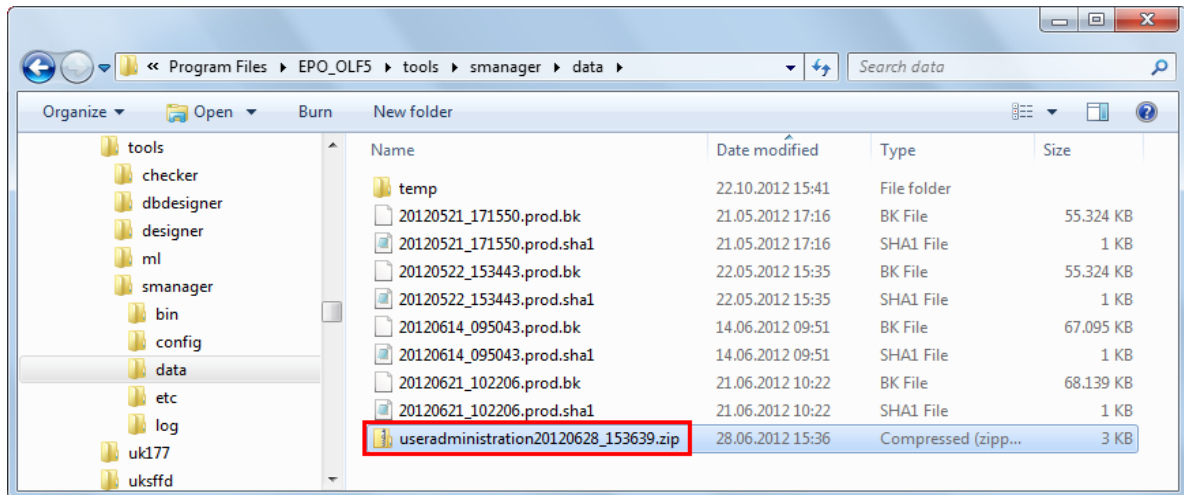


Figure 469: Locating the user administration file in the Server Manager's export folder

Importing user administration

The User Administration ZIP file can either be copied to the Server Manager's default import directory on the target machine or it can be located during import.

The **Data Migration** function opens the default import directory.

- ➔ Select the appropriate ZIP file or browse the file system to locate your user administration file.

→ Click **Open**.

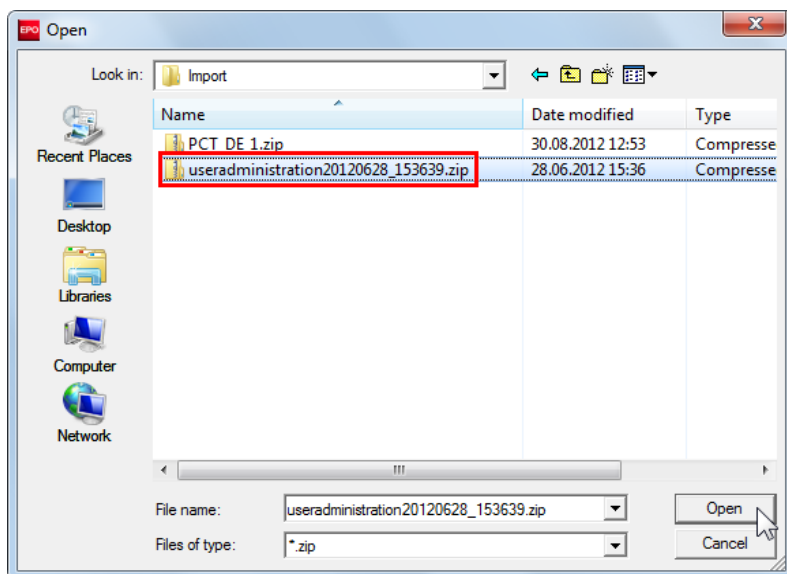


Figure 470: Selecting the user administration ZIP file for import to the production server

11.11.2 Database Migration

You can move the Online Filing databases to a different hard disk drive if your server computer's hard disk runs out of space or if you have to replace the hardware.

By migrating the database to another location, the Online Filing server will be reconfigured to connect to the new database path.

! **Note:** Inform all users to save their work and log out of Online Filing before you start the database migration.

→ Under **Database Migration**, select the appropriate option:

- Leave the copy of the database in the former location after successful migration (default)
- Delete the copy of the database in the former location after successful migration

① It is recommended to leave the copy of the database in the former location until you are sure that everything works correctly in the new location.

Figure 471: Options for migrating the OLF database

Both the production database and demo database can be migrated independently.

→ Click the folder icon next to the database path you wish to modify.



→ Select an existing folder in your file system or create a new one.

→ Click **OK**.

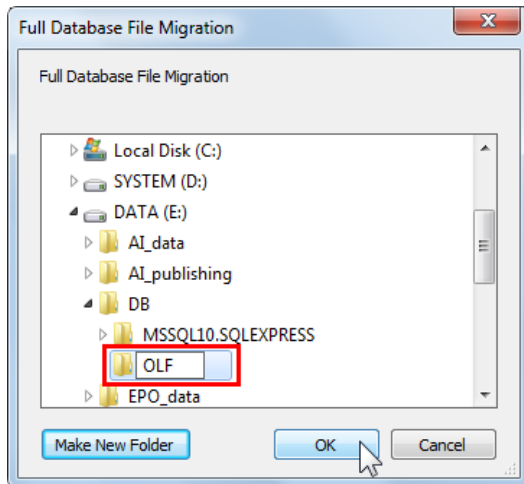


Figure 472: Selecting a new location for the OLF database

→ Wait until the **Information** prompt appears.

① If the database is very large, the process of copying and verifying the database could take some time. The new path is displayed in the message.

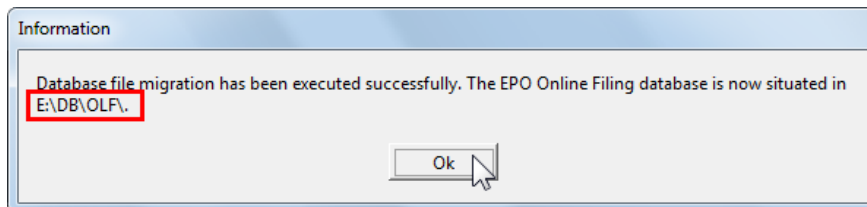


Figure 473: Confirmation of successful database migration

12 Glossary

ASCII

American Standard Code for Information Interchange.

May contain letters, numbers, spaces and punctuation, but no formatting. Also called a text file.

CD-ROM

A CD-ROM (Compact Disc Read-Only Memory) is a CD with permanently stored data. A CD-RW, in contrast, is rewritable (RW), meaning it permits the deletion of data on the CD.

Check digit

A check digit contains an algorithm that verifies the other numbers entered and helps reduce typing errors.

CORBA

Common Object Request Broker Architecture: defines cross-platform protocols and services, eases development of distributed applications in heterogeneous environments.

CSV

Character separated values.

A file format typically used for data sets where the data is arranged in columns and rows. The individual data fields are separated from each other by delimiters, such as commas.

Default

An automatic selection made by the system when the user does not specify an alternative.

Delimiter

A special character that sets off, or separates, individual items in a set of data. Commas and semi-colons are examples of delimiters commonly used.

Dock

To move a toolbar or window to the edge of an application window so that it attaches and becomes a feature of the application window.

DVD-ROM

A DVD (Digital Video Disc) is an optical data storage unit like a CD but with significantly more capacity (approx. 4 GB). It is therefore used primarily for the storage of video films. DVD-ROM (Read-Only Memory) are generally used to save

data. An appropriate DVD burner is needed to write data to a DVD.

Field

A space in an on-screen form where the user can enter a specific item of information, for example a name or a date. Fields may have restrictions on the length and type of data that may be entered, for example text only, or numbers in a certain format.

Firebird SQL database server

Firebird is a simplified Open Source spin-off of the InterBase relational database management system produced by Borland.

GUI

Graphical User Interface: software component allowing user interaction with graphical elements in the program via a mouse and keyboard.

HTTP

HyperText Transfer Protocol: method of transferring information on the WWW, usually in HTML.

HTTPS

HyperText Transfer Protocol Secure: indicates that HTTP is used with a different port (443) and an additional encryption/authentication layer between HTTP and TCP.

Icon

A small image displayed on the screen that allows the user to control certain computer actions without having to remember commands or type them on the keyboard.

IIOP

Internet Inter ORB Protocol: defined in CORBA, used to execute remote procedure calls.

LAN

Local Area Network: typically within one building of a company.

Non-repudiation

To protect and ensure trust in digital signatures, the parties may employ non-repudiation, which not only validates the sender, but also time-stamps the transaction, so it cannot be claimed subsequently that the transaction was not authorised or was not valid.

ORB

Object Request Broker: agent enabling communication between objects within a distributed system, for example the Internet.

Patch

A new feature or function added to a program, commonly used as an interim measure before release of a full version of the software.

PDF

Portable Document Format.

A file format used in saving documents. It can be read using free PDF Reader software.

PIN

Personal Identification Number: a numeric password shared between a user and a system, used to authenticate the user to the system.

PMS

Patent Management System.

Port

A port is part of a network address for a server application running on a computer within the network. Typical ports are 80 for HTTP Web servers and 110 for POP3 mail servers.

Proxy server

A firewall component that manages Internet traffic to and from a network.

SOAP

Simple Object Access Protocol: using XML for data display and mainly HTTP for transmission.

SQL

Simple Query Language. Used to query and modify databases.

SSL

Secure Socket Layer.

A protocol developed by Netscape Communications Corporation for ensuring security and privacy in internet communications. Supports authentication of client, server, or both, as well as encryption during a communication session.

TCP

Transmission Control Protocol.

Used to manage data exchange between computers via network connections.

TIFF

Tagged Image File Format.

A standard file format commonly used for scanning and storing grey-scale images. TIF files may be used for scanned signatures.

URL

Uniform Resource Locator.

An address for a resource on the internet. Used by Web browsers to locate internet resources.

WAN

Wide Area Network: normally across several offices/subsidiaries of a large company or organisation, including Internet connection parts in between.

Workflow

The tracking and management of all activities from start to finish.

XML

eXtensible Markup Language.

XML is a document-processing standard officially recommended by the World Wide Web Consortium and widely accepted throughout the internet community. It provides a way to define and manage information. It can be used to check the accuracy and quality of documents.

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