

EPO Online Filing

README file

Version 5.08 Build 5.0.8.130

Last updated: 25/11/2014

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1 What is the Online Filing software (OLF)?

The Online Filing software (OLF) enables you to submit patent applications and subsequently filed documents electronically over a secure Internet link. A key benefit of this service is that you receive the receipt immediately. The receipt contains the application number as well as the date and time the application was received.

With the Online Filing software you can file

- European patent applications (Form EP(1001E2K)) with e-filing-enabled filing offices in the EPO member states
- Entry into the regional phase (Form Euro-PCT(1200E2K)) with the EPO
- Subsequent documents (Form EP(1038E)) with the EPO
- PCT applications with the EPO and WIPO (RO/IB) and with e-filing-enabled receiving offices in the EPO member states (Form PCT/RO/101)
- Subsequent documents for all PCT procedures with the EPO, as well as payment of related fees (Form PCT-SFD)
- Demands for international preliminary examination (Form PCT/IPEA/401) with the EPO, as well as payment of related fees
- National applications with e-filing-enabled national offices in the EPO member states (optional). The required plug-ins are made available, defined and maintained by the national offices concerned. See www.epo.org for a list of participating offices and supported procedures.
- Documents relating to opposition, appeal, revocation and limitation proceedings (Form EP(Oppo) and Form EP(1038E)) with the European Patent Office

2 System requirements

In order to run OLF, your system should have:

- Intel Pentium 4 processor (or equivalent) 2.4 GHz (or above, depending on operating system)
- 2 to 4 GB RAM (depending on operating system)
- 4 GB hard disk free space (at least 10 GB recommended for server installation with database)
- Smart card reader connected to USB port, e.g. GemPC Twin

Supported operating systems for installing the Online Filing software (client, server or stand-alone):

- Microsoft Windows Server 2003 (SP3), 32-bit and 64-bit
- Microsoft Windows Vista (SP2), 32-bit and 64-bit
- Microsoft Windows 7 (SP1), 32-bit and 64-bit
- Microsoft Windows 8 / 8.1, 32-bit and 64-bit
- Microsoft Windows Server 2008, 32-bit
- Microsoft Windows Server 2008 R2, 64-bit
- Microsoft Windows Server 2012 / 2012 R2, 64-bit

Arial Unicode Font

The MS Arial Unicode font is required to run the Online Filing software. This font can be installed from the Microsoft Office package or ordered and installed separately (see www.ascendercorp.com).

! ***Note:** Microsoft has stopped supporting Windows XP as of 8 April 2014. If you are planning to install OLF from scratch, it is recommended that you install it on a computer running Windows 7 or a suitable version of Windows Server. Bear in mind that using an outdated operating system without regular support and security updates puts your data security at risk.*

3 Setup and configuration

In order to install OLF version 5.08, you need to install version 5.07 first. Please download the most recent installation file **OLF507.exe** (build 5.0.7.120) from the EPO website.

Once you have successfully installed OLF version 5.07, run Live Update from the Server Manager and install all available updates. You are then ready to install the version 5.08 update, either by using the **epptch5197.exe** file or by running Live Update.

3.1 Installation instructions

In order to install OLF version 5.07, please download the most recent installation file **OLF507.exe** (build 5.0.7.120) from the EPO website.

- ➔ Download and install **Gemalto Classic Client 6.3** and the latest version of the **Gemplus smart card reader driver** from the EPO website.

You will find the download link in the welcome letter sent to you by EPO Customer Desk.

- ➔ If not already installed, download and install **Adobe Reader 11.0.x** or higher from <http://get.adobe.com/reader/>.
- ➔ Download the latest version of the **Full package for installation of Online Filing (OLF)** from the EPO website at www.epo.org/applying/online-services/online-filing/download.html.
- ➔ To start the installation wizard, double-click the **OLF507.exe** installation file.
- ➔ Select the installation options as appropriate.

For more information, please refer to the **OLF Installation Guide** available from the EPO website at www.epo.org/applying/online-services/online-filing/documentation.html.

- ➔ After successful installation, run **Live Update** from the Server Manager to install all available updates.

Alternatively, download all subsequent OLF patches from the EPO website and install them in the order of their release (oldest first).

3.2 Updating from an older version

It is not possible to update to version 5.08 directly from versions older than 5.07 (build 5.0.7.120). Before installing the version 5.08 update, please upgrade your OLF installation either by running Live Update from the Server Manager or by downloading and installing all required updates and patches from the EPO website.

- ➔ To update OLF version 5.07 to version 5.08, run the **epptch5197.exe** file.

- Proceed with the installation wizard.

Depending on your computer's performance, updating the database may take some time. You should plan at least one hour for completing the update.

For information about updates, fixes and patches, you should check www.epo.org. If you have activated Live Update in OLF, you will normally be notified automatically. However, for technical reasons the EPO may not always be able to provide these software components via Live Update. Users wishing to be automatically informed of OLF updates, fixes and patches should therefore sign up for the RSS feed with updates for the Online-Services..

3.3 Uninstall instructions

To remove the software from your computer, proceed as follows:

- Open the Windows **Control Panel**.
- Go to **Programs > Programs and Features > Uninstall or change a program**.
- Select the OLF component to be removed from the list of applications that can be uninstalled by Windows:
 - If you have installed the stand-alone version, select **Online Filing 5.07**.
 - If you have only installed the OLF client, select **Online Filing Client 5.0**.
 - If you have only installed the OLF server, select **Online Filing 5.07**.
 - If you have installed both the OLF client and the OLF server, follow the steps for the client first and then repeat the procedure for the server.
- To uninstall the selected OLF component, click **Uninstall/Change**.
- If the uninstall program encounters errors, see the following section for manual uninstall instructions.

Any other software which is part of the package has to be uninstalled in a similar way (e.g. GemSAFE libraries, Acrobat Reader, Amyuni PDF Converter).

3.4 Additional manual uninstall (clean-up) instructions

- Delete the **EasyTeam** key along with its contents from the Windows Registry.
- Delete the keys for **MClient.exe** from the Windows Registry.
- Delete the **GDS32.DLL** file, which is usually located in the **Windows\System32** folder.

4 Help

4.1 Online help

The latest user documentation is available from the download page on www.epo.org. Note: Some of the screenshots may differ in minor details from the screens as implemented by the software.

4.2 User Support

You can contact our EPO Customer Desk team as follows:

E-mail: support@epo.org
Tel.: +31 (0)70 340 4500
Fax: +31 (0)70 340 4600

Postal address:

EPO User Support
European Patent Office
Patentlaan 2
NL-2280 HV Rijswijk
The Netherlands

If you contact the EPO User Support, please include the following information:

- the build number of the individual component (can be found in File Manager under **Help > Info**)
- your name, address, e-mail address and telephone number
- your hardware and software configuration
- a description of the problem, and what you were trying to do when it occurred.

5 What is new in each version?

5.1 5.08 (SP8)

The 5.08 update contains new features and minor functional changes as well as minor technical corrections and fixes.

All procedures

- OpenSSL security: Discontinuation of support for SSL, and upgrade to TLS as standard default.

Address Book

- Field **Association No.** added to the address book.

PCT/RO/101

- The 1 October 2014 PCT-SAFE release (version 3.51.064.240) is available in eOLF Client.
- Updated PCT fees valid as from 1 April 2014 for receiving office NO.
- Updated PCT fees valid as from 1 October 2014 for receiving offices GB and SE.

EP procedures

- More information about the **deferred execution date** feature (**Fee payment** tab).
- Indicated name for employee acting pursuant to Art. 133(3) EPC is added to the signature on generated PDF.

EP(1001E2K)

- Link added between the applicant's nationality/principal place of business/residence and admissible non-EPO languages in the context of the declaration under Rule 6(6) EPC.

- Form 1001, Form 1002 (designation of inventor): If there are multiple inventors, a single F1002 will be created. If appropriate, separate forms for public and non-public inventors will be created.
- New field to indicate that an inventor is deceased.

EP(1200E2K)

- New documents category added: **Amendments with annotations** (documents with handwritten amendments are no longer accepted with few exceptions; see the EPO Official Journal 2013, p. 603-604)
- The designated states have been removed from the **States** tab due to the fact that there is no requirement to select designated states. All the contracting states party to the EPC at the time of filing of the international patent application and designated in the international application are deemed to be designated (see Article 79(1) EPC).

EP(1038E)

- Documents relating to appeal proceedings must not be sent together with documents for any other proceedings.

EP(Oppo)

- Addition of non-public documents.

5.2 5.07 with updated plugins for the PCT procedures (build 5.0.7.120)

PCT-DEMAND

- Enables creation and submission to the EPO of PCT/IPEA/401, as well as payment of related fees
- GUI and Online Help available in English, German and French

PCT-SFD

- Allows submission to the EPO of PCT subsequently filed documents for all PCT procedures, as well as payment of related fees
- Includes some corrections to the version of 22 April 2014
- GUI and Online Help available in English, German and French

All forms except PCT/RO/101

- Closure of additional 13 euro bank accounts by 31 August 2014

PCT/RO/101

- Signing process improvement

Technical changes

- Up-to-date certificates
- Latest version of OpenSSL
- New thin client

5.3 5.07 (SP7)

The 5.07 update contains new features and functional changes related to amendments to the EPC's Implementing Regulations as of 1 April 2014.

All EP procedures

- update of EP fees, including 1 April 2014 fee schedule
- changes to the filing of translations and reduction of fees under Rule 6 EPC:
 - 30% reduction in all filing fees for applications filed in an admissible non-EPO language;
 - 30% reduction in the examination fee for requests for examination filed in an admissible non-EPO language;
 - both applicable only to entities or natural persons making a declaration under Rule 6(4) EPC
- introduction of a deferred execution date which allows users to have debit orders executed up to 40 days after their submission date
- updated list of biological material depository institutions
- minor technical corrections and fixes

EP(1001E2K)

- changes to the procedure for divisionals (Rule 36 EPC)
- adapted to allow the addition of future validation states

Euro-PCT (1200E2K)

- adapted to allow the addition of future validation states

PCT/RO/101

- update of PCT fees, including 1 April 2014 fee schedule, for EPO as Receiving Office

5.4 5.06 (SP6)

New features

- **File Manager**
 - A customisable password policy can now be set up when user management is activated (for more details please see section 4.10.2 in the latest version of the eOLF User Guide).
- **PCT/RO/101**
 - The July 2013 PCT-SAFE maintenance patch is available in eOLF Client
 - Updated list of designated states
 - Latest fee schedule

Technical improvements and software updates

- **All procedures**
 - Updated build for all procedures (5.0.6.111)
 - Address book: number of characters allowed for legal person's company name increased from 62 to 103
- **EP procedures**

- Updated list of countries for addresses, nationality and place of residence
- Fee selection: **Initial fees** filter removed. **Selected fees only** and **All fees** filters still available
- Procedural changes regarding Rule 53(3) EPC, which took effect on 1 April 2013, added
- **EP(1001E2K)**
 - New field labelled **Number of claims you intend to pay for (including first 15 claims)** inserted for the purpose of fee calculation (in addition to the existing **Number of claims** field)
 - Austria and Republic of Korea added to the list of exempted states for filing a copy of the search results under Rule 141(1) EPC
 - New static validation message under **States**, warning that any change made to the date of filing will disable any previous selection of designation and/or extension states
 - Removal of validation message for cases where the Rule 70(2) EPC waiver and an automatic debit order are selected, i.e. no extra payment necessary
- **EP(1200E2K)**
 - Optimisation of the **Document overview** section, which is needed to calculate the additional fee
 - New field labelled **Number of claims you intend to pay for (including first 15 claims)** inserted for the purpose of fee calculation (in addition to the existing **Number of claims** field)
 - New static validation message under **States**, warning that any change made to the international date of filing will disable any previous selection of designation and/or extension states
- **EP(1038E)**
 - New document types related to the appeal procedure added
 - When sending at least one document concerning the appeal procedure only an electronic enhanced (smart card) signature is allowed
 - Document types added for inventor waivers under Rule 19(3) EPC (public or non-public) and Rule 20(1) EPC (non-public)
- **EP (Oppo)**
 - New mandatory field for indicating a reason in requests for accelerated processing
 - Number of characters for referencing cited documents (evidence) increased from 4 to 8

5.5 5.05 (SP5)

Server Manager:

- The database can be moved to a location other than the default (data migration)
- Stand-alone installations only: the update transforms all processes into Windows services

PCT/RO/101:

- The 1 July 2012 PCT-SAFE release (version 3.5.000.231) is available in eOLF Client
- Supports eOwnership in ePCT during signing

Technical improvements and software updates:

- All procedures
 - Updated build for all procedures (5.0.5.094)
- EP procedures:
 - Dutch Antilles (AN) is no longer valid for Country and/or Residence and/or Nationality. New territory codes are available: Curaçao (CW), Sint Maarten (SX), Bonaire, Saint Eustatius and Saba (BQ)
 - Bank details selectable for bank transfer as mode of payment are updated
 - The user reference is displayed on all forms generated by eOLF Client
- EP(1001E2K)
 - The signed "Inventor waiver - Rule 19(3) EPC" and the signed "Inventor waiver - Rule 20(1) EPC" can be attached in the **Additional Documents** tab
 - Fee code 501 can be selected only if fee code 001 is selected
 - Fee code 015e can be selected only if fee code 015 is selected
- EP(1200E2K)
 - Fee code 520 can be selected only if fee code 020 is selected
 - Fee code 015e can be selected only if fee code 015 is selected
- EP(1038)
 - New procedural categories added
- EP(OPPO)
 - When requesting an extension that brings the total time limit over six months, it is mandatory to give convincing reasons why a reply in the period previously laid down is not possible.
- DE2007
 - The number of claims in DE2007 is now mandatory
 - When "Erfinder ist/sind Arbeitnehmer;" is ticked for an inventor (Erfinder): the text "Erfinder ist/sind Arbeitnehmer" should be visible in the PDF
 - When "ist auch Erfinder" is ticked for a natural applicant: the text "Erfinder ist/sind d. Anmelder;" is added under "Das Recht auf das Patent ist auf den Anmelder übergegangen durch:..." in inventor.pdf

5.6 5.04 (SP4)

- Server Manager:
 - export and import of User Management from production server to demo server or to production server of a clean new installation
 - support for automated backup of production database when running in client/server installation.
- File Manager: possibility to create a diagnostic file to facilitate support requests.
- Tool tips introduced for displaying long labels.
- minor technical corrections and fixes.

5.7 5.00 SP3

EP procedures:

- Contains procedural changes concerning amended Rules 161/162 EPC, changes in the rules for the filing of sequence listings
- Minor functional changes and some defects fixed
- Austria is available as an e-filing enabled office from 1st June onwards

PCT procedure:

- The PCT procedure is updated to the level of PCT-SAFE Client version (3.51.049.225) (April 1, 2011)
- Austria is available as an e-filing enabled receiving office from 1st June onwards

National Offices:

- all procedures available as of 16th of May are been included

Technical improvements and updates of the software:

- Updated libraries (FOP 0.20.5.18, OpenSSL 1.0.0.a, Firebird 2.1.3)
- Improved loading and execution of the procedures
- Improved execution and extended functionality of PMS interface commands:
 - It is now possible to obtain the rendered request form in PDF format
 - Support for .net has been added (please check the PMS development kit for further information)
- Server manager: export of history has been added
- To increase the robustness of the update procedure, all procedures will be installed, but only the ones used are activated. Any procedure can be activated or deactivated at any time.

The procedural changes concerning amended Rules 161/162 EPC, changes in the rules for the filing of sequence listings and the minor functional changes and defects fixed are as follows:

EP(1001E2K)

- "Documents" tab - "Sequence Listings" sub tab:

For applications which contain sequence listings in the description it is no longer mandatory to file the sequence listing in PDF format. A WIPO standard 25 file is now mandatory. Layout and severity messages have been adapted to this legal change.

- "Priority" tab:

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. The European Patent Office shall include in the file of a European patent application a copy of the search results referred to in Rule 141(1) EPC, thus exempting the applicant from filing said copy, where the priority of a first filing made in one of the following states is claimed: Japan, United Kingdom, United States of America.

EP(1200E2K)

- "EP Phase" tab:

Checkbox has been added to waive the right to the communication under Rules 161/162 EPC.

- "Documents" tab - "Sequence Listings" sub-tab:

For international applications which contain sequence listings in the description 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 standard 25. In case the sequence listing is filed upon "Entry into the European Phase" the WIPO standard 25 is mandatory. Layout and severity messages have been adapted accordingly.

EP(1038)

- "Documents" tab:

Attachment of waiver document possible under category "Request".

Other changes

- EP(1001E2K):
 - The layout of the "Divisional" tab has been changed
 - When a divisional application is filed by reference to an international application it is now possible to enter the data for the international application in the "Reference" tab
 - The capture of the data regarding General Authorizations has been harmonized to EP(1200E2K)
- EP(1200E2K):
 - "Documents" tab: Attachment of new document type "Handwritten Amendments" possible under "Additional documents" screen
 - Search Fee (fee code 002) reduction is able to be entered in Euro amounts
- EP(1038):
 - Attachment of new document type in category "Non public..." possible requesting participation in the Patent Prosecution Highway scheme.
 - Attachment of new document type in category "Amendments.." possible regarding "Handwritten Amendments".
 - Attachment of new document type in new category "Third Party Observations..."
 - Search Fee (fee code 002) reduction is able to be entered in Euro amounts

5.8 5.00 SP2

- Updated installer
- Consolidates all previous builds and updates since V5.00 release
- Compatible with Windows 64-bit operating systems
- New improved version of PatXML 1.3.5 (optional)
- Update of PCT fees, including 1 January 2011 fee schedule
- Procedural changes following amended Rule 141 EPC and new Rule 70b EPC
- A number of defects fixed and change requests implemented

5.9 5.00

- The procedures EP(1001E) and Euro-PCT(1200E) that were replaced by EP(1001E2K) and Euro-PCT(1200E2K) in version 4.0 following the implementation of EPC 2000 are no longer

available in version 5.0.

- Compatibility with Windows 7 (32 Bit)
- The export functions have been standardised in File Manager, the form and Server Manager
- A blocked (disabled) user can be re-activated by an administrator or another user with user administration authorisation.
- Problems when attaching PDF documents have been fixed: PDF files containing pages in portrait and landscape format or pages that do not exactly match A4 format can now be attached to applications without any error messages. Attaching certified US priority documents is no longer a problem either.
- Fee calculation inconsistencies that occurred when importing forms and moving forms back to Draft status have been corrected.
- When signing applications with a smart card or soft certificate, a message box appears during the signing process to advise the user that it may take a while to generate the XML files and that the process is running smoothly in the background.
- Version 5.0 features WIPO's new PCT plug-in dated 1.10.2009 as well as a new WIPO certificate.
- New improved version of PatXML 1.3.4 (optional)
- Client build 5.027
- Procedural changes and fee adjustments with effect from 1 April 2010, and with effect from 1 May 2010 in the case of Albania and various bugs fixed

6 Known problems and limitations

- If you are using customised templates from earlier versions of Online Filing, some of the new features or bug fixes may not be available. We recommend that you verify the template and use the new standard templates as a basis.
- The OLF signature viewer only supports Acrobat Reader 5.0 and 6.01 and above or 7.00 and above.
- We advise checking for validation messages after filling up a form.
- Installation on certain versions of Windows 7 and Vista generates the error "This program might not have installed correctly" a few times. We recommend selecting the option "This program installed correctly" every time in order to allow the installation to progress.
- The user-defined description for "other document" cannot be imported via the PMS/Gateway interface. This does not, however, cause any problems with regard to the processing of the document.

7 Patent management system interface

Online Filing v5 offers a Web service interface for users' patent management systems (PMS). To use this interface, your PMS must be able to

- generate applications in WIPO standard Annex F XML format
- communicate with the Online Filing Web service. For more information consult the PMS Development Kit, available from www.epo.org.

To be able to carry out production filings from your PMS via the Online Filing PMS interface, your PMS must first be approved by the EPO. Find out more about obtaining approval under www.epo.org at ***Applying for a patent > Online services > Online filing > PMS interface***.