Online Filing version 5.0

Quick reference guide

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Getting started

Online Filing provides users with seven standard forms for filing patent applications and other documents online with the European Patent Office. These are: EP(1001E2K), Euro-PCT (1200E2K) and PCT/RO/101 for new applications, EP(1038E) for subsequently filed documents (including appeal proceedings) in the EP procedure, EP(Oppo) for oppositions, PCT-Demand (PCT/IPEA/401) for filing demands for international preliminary examination and PCT-SFD for subsequently filed documents in the PCT procedure.

– Log on to the EPO Online Filing client application.

   The File Manager opens in the *Forms* view **(1)**.
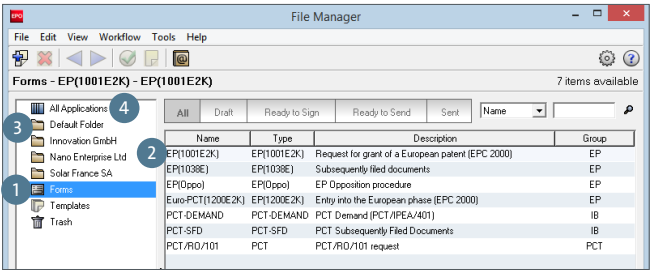
Creating a new application

In this guide we focus on filing a new application using Form EP(1001E2K)

– Double-click the form you want
  in our example *EP(1001E2K)* **(2)**.
  The *Create a new application* window opens.

– Enter a user reference for the new application.

– Select the language of proceedings you want.

– Select the folder where you want to store the application.
  If you have not yet created any folders in the File Manager, the application will be saved in the *Default Folder* **(3)** and displayed in the *All Applications folder* **(4)**.

– Click *Create*.
  A new form opens for processing.

Filling in the form

The form has a series of tabs **(5)** which you can click to enter your data. Some tabs are further divided into sub-tabs **(6)**.
– Click a tab – for example *Request* **(5)** – and enter the required information in the fields provided.
  A small red triangle **(7)** in a field indicates that you must provide the information concerned.
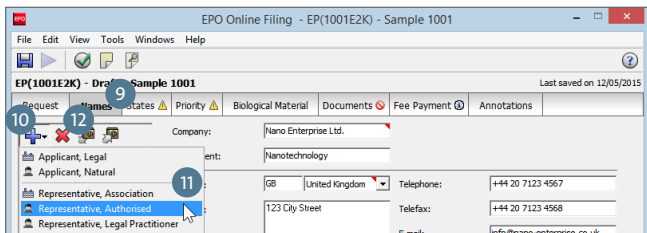– Click the *Save* button **(8)** to save your work.
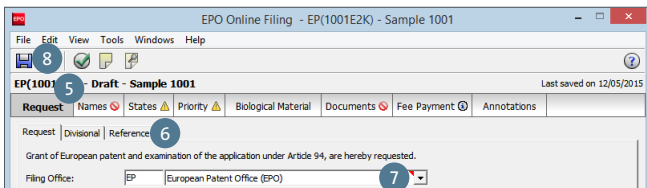
Entering the names of the applicant, representative and inventor

– Click the *Names* tab **(9)**.
– Click the *Add* button **(10)** and select applicant, representative or inventor as required **(11)**.

Using the address book
In the address book you can save and edit the names and addresses of legal and natural persons. When completing an application, you can copy contact details you have saved straight to the relevant form using the *Copy from address book* button **(12)**.

Attaching documents to your application

– Prepare the documents you want to attach to your
   application in PDF or XML format.
– Click the *Documents* tab **(13)**.
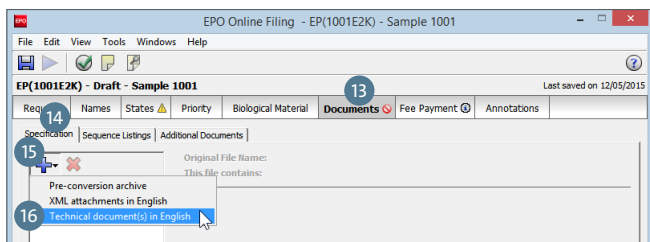
**Attaching the description, claims, abstract and drawings as
separate PDF files**

– Click the *Specification* sub-tab **(14)**.
– Click the *Add* button **(15)** and select the option T*echnical
   document(s) in English* **(16)**.
   – Go to where the first PDF file is saved and click *Open* to
      attach it.
   The file name changes to *SPECEPO-1.pdf* **(17)**.
– Select the type of document contained in the attached file:
   Description **(18)**, *Claims* **(19)**, *Abstract* **(20)** or *Drawings* **(21)**.
   The number of pages in the file is automatically recognised
   by the software and entered in the relevant fields.
– Repeat the process for all the other technical documents.
   The file names will be numbered consecutively up to
   SPECEPO-4.pdf **(22)**.
– Fill in the fields *Number of claims* **(23)***, Number of claims you
   intend to pay for* **(24)**, *Figure to be published with abstract*
   (25) and *Number of drawings* **(26)** for each file you attach.
– –You can attach additional documents in the *Sequence
   Listings* **(27)** and *Additional Documents* **(28)** sub-tabs.

Request | Names | ...ates ⚠ | Pr... | Biological Material | **Documents** | Fee Payment ⓘ | Annotations

Specification | Sequence Listings | Additional Documents

Technical document(s) in ...

(17) 📄 SPECEPO-1.pdf
   • Description.pdf
   📄 SPECEPO-2.pdf
   • Claims.pdf
   📄 SPECEPO-3.pdf
   • Abstract.pdf
(22) 📄 SPECEPO-4.pdf
   • Drawings.pdf

Original File Name: Claims.pdf   Number of Pages: 3
This file contains:

(18) ☐ Description   From page: ___ to ___

(19) ☑ Claims
Number of claims: (23) 20   From page: 1 to 3
Number of claims you intend to pay for (including first 15   (24) 20 ⊕
claims) :

(20) ☐ Abstract

Figure to be Published with Abstract   (25)   (E.g.: 1, 2a, 5)   From page: ___ to ___

(21) ☐ Drawings

Number of Drawings: (26)   From page: ___ to ___

Paying fees for your application

The Online Filing software offers different possibilities for making fee payments. If you use one of the four standard EP forms and choose Debit from deposit account as the payment mode, you can enter a deferred execution date to have your payment order executed later than the submission date. This option allows you to make use of the 30-day period for paying the basic fees upon filing a new European application. With Form EP(1038E) and Form PCT-SFD you can make fee payments related to subsequently filed documents. You can also use these forms just to make electronic fee payments or to request an automatic debit order. After filing your debit order with Online Filing, you can usually view it under *Pending orders* in Online Fee Payment within 30 minutes.

– Click the *Fee Payment* tab **(29)**.
– In the *Payment Details* sub-tab **(30)**, specify the mode of payment **(31)** (automatic debit order is also possible) and provide details of the deposit account number **(32)** and account holder **(33)**.
– Select *Deferred execution date* **(34)** if your payment order is to be executed later than the submission date (optional, can be a maximum of 40 days in the future).
   Please note that debit orders (standard or deferred) can only be revoked up to 00.00 hrs CET on the date of submission (Arrangements for deposit accounts, 7).
– Click the Fee selection sub-tab **(35)** and select the check

boxes of the fees to be paid **(36)**.

Online Filing already provides certain pre-selections and validation messages depending on the EP form used.

– If you wish to edit a fee amount or apply a specific reduction, select the *Edit fee amounts* check box **(37)**. If you do so, please note that the EPO will not perform the automatic fee correction for this application.

– For further details and guidance, please refer to the EPO Online Filing user guide.
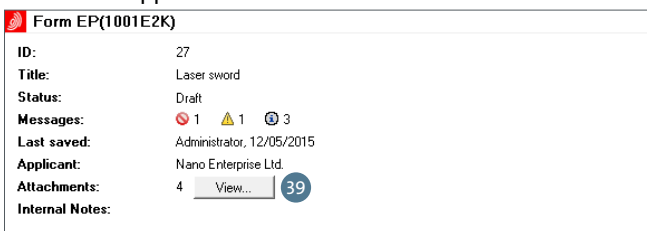
Previewing your application

You can view your application, including attachments, using the Preview function.

– Click the *Preview* button **(38)** in the open application.
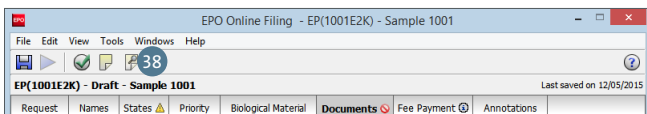
– In the File Manager, click the *View...* button **(39)** underneath the list of applications.

The *PDF Viewer* **(40)** opens to display the completed form as it appears in print **(41)**. A list of attached documents and other Online Filing system files is displayed on the left **(42)**.

– Check that all the documents you require have been attached.

– Click a file name – for example *SPECEPO-1.pdf* **(43)** – to display the corresponding file in the PDF Viewer.
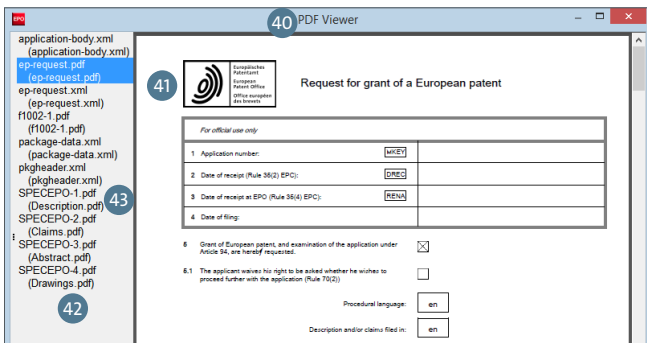
Checking that your application is complete (validation)

The Online Filing software contains built-in mechanisms which check that all mandatory information has been provided and that it meets the relevant requirements.

– Click the *Validation* button **(44)** in the File Manager.
  Validation messages are shown in a separate window **(45)**, which you can optionally dock to the main window.
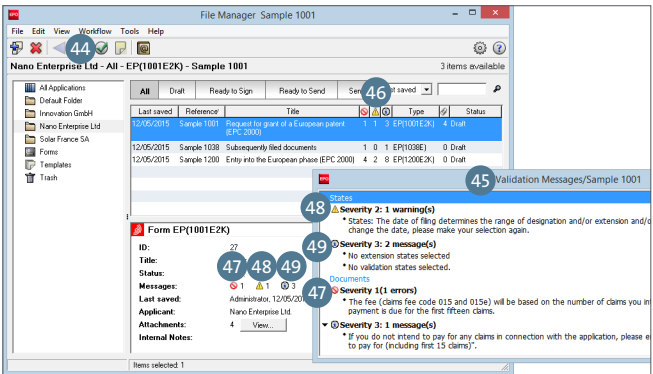
What the validation icons mean

There are three severity levels **(46)** for validation messages:

– Severity 1 errors with the red icon **(47)** indicate that mandatory information or required documents are missing. You must supply this information before you can file your application with the EPO.

– Severity 2 warnings with the yellow icon **(48)** indicate that the information you have provided is incomplete, but may be supplied subsequent to filing.

– Severity 3 messages with the grey icon **(49)** provide helpful hints about your filing.

Using the workflow process to manage your application

The status of your application is indicated by four consecutive stages in the workflow process: *Draft, Ready to Sign, Ready to Send* or *Sent*. In the File Manager, you can view the applications in a specific status by clicking the corresponding button, for example *Ready to Sign* **(50)**.

The File Manager toolbar contains the two blue workflow buttons *Next* **(51)** and *Previous* **(52)**.

– Click the blue *Next* button **(51)** to move the application to the next status in the workflow process.

– Click the blue *Previous* button **(52)** to return to the previous status in the workflow process.

Signing your application

Online Filing offers a number of options for signing applications, including Smart card and Alphabetical.

– Click the blue *Next* button to change the status of a completed application to *Ready to Sign* and release it for signature.
  The software checks the information that has been entered and displays the application in the PDF Viewer.

– Click *Sign now* in the lower right-hand corner of the screen.
  The Sign Application window **(53)** opens.

– Select one of the names listed under either *Applicants* **(54)** or *Representatives* **(55)**.

– Select the option you want to use under *Type of signature* **(56)**. *Smart Card* is the default setting.

– Enter all the other information required depending on the type of signature selected:

  – *Smart Card* **(57)**: Make sure that your smart card is correctly inserted into the reader, which should be connected to

your PC, and enter your PIN code **(58)**.
- – *Alphabetical* **(59)**: Enter the signature as a string of
  letters enclosed in slashes (/ /).
- – Indicating the *Place of Signing* **(60)** is optional for all
  signatures
- – Finally, click *Sign* **(61)**.

***Note: Documents filed in appeal proceedings may only be
signed using a smart card issued to a person authorised to act
in the proceedings in question.***

Completing the signing process

The *Sign Application* window closes automatically as soon as
your digital signature, has been accepted. The status of the
application in the File Manager is now *Ready to Send*.
If you sign your application with an alphabetical signature
only, the window remains open so that further signatures can
be added as required.
- – Click *Close* **(62)** to return to the File Manager.
  The status of the application is now *Ready to Sign*.
- – Click the blue *Next* button.
  The application is moved to *Ready to Send* status in the
  File Manager.

Sending your application to the EPO

– Click the *Ready to Send* button in the File Manager and
  select the application you want to send.
– Click the blue *Next* button.

If the application has not yet been digitally signed (i.e. using
a smart card or soft certificate), you must now apply a digital
signature.

– Select the relevant option: *Smart Card* or *Soft Certificate*.
  Smart Card is the default setting.
– Enter your PIN code.
– Click *Sign*.

Authenticating the sender

Once you have applied a digital signature to your application,
Online Filing prompts you to re-enter your PIN before setting
up an SSL connection to the EPO to send encrypted data. Your
smart card must be inserted in the connected reader for this.

– Read the warning **(63)** carefully to ensure that your
  application is being sent to the correct EPO server.
– Select the option you want for the digital signature. The
  default setting is *Smart Card* **(64)**.
– Click *Continue Sending* **(65)** to confirm your selection.
– Enter your PIN code in the next window and click OK.

The submission process starts and the progress of your data
transmission is indicated.
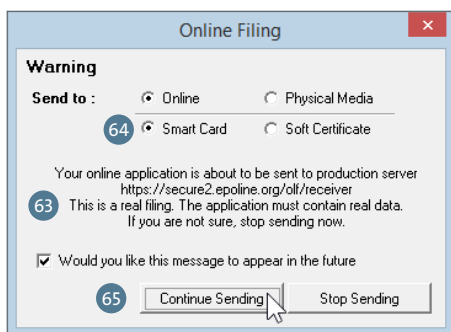
Acknowledgement of receipt
Once your data has been successfully transmitted to the EPO you will automatically receive an acknowledgement of receipt in the form of a PDF file containing the precise date and time of receipt as well as the application number.

Need more help?

Visit *www.epo.org/contact* to access
– FAQs and discussion forums
– contact forms to send enquiries
– our Customer Services phone number

Useful links:

www.epo.org/online-services
www.epo.org/online-filing
www.epo.org/fee-payment

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