



# EPO Online Filing

User guide

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# 1. Legal notices

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Please refer to the EPO's website to view the most recent version of the [Terms and conditions for EPO online services electronic infrastructure](https://www.epo.org/footer/terms/online-services-electronic-infrastructure.html) (<https://www.epo.org/footer/terms/online-services-electronic-infrastructure.html>).

## 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/online-services>).

### What this guide contains

This guide details the features of the Online Filing Software 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/online-services>).

## 2.1 Help and Support

The EPO operates a helpdesk for Online Filing users.

Send us your question using our contact form on the EPO website at [www.epo.org/contact-form](http://www.epo.org/contact-form).

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 to 18:00 (CET)
Phone:	00800 8020-2020 (free call from most countries worldwide)
E-mail:	<a href="mailto:support@epo.org">support@epo.org</a>
Internet:	Online filing on the EPO website: <a href="http://www.epo.org/online-filing">www.epo.org/online-filing</a> Contact us online on the EPO website: <a href="http://www.epo.org/contact">www.epo.org/contact</a> Visit the Online filing discussion forum (English only): <a href="http://forums.epo.org/onlineservices-your-say-online-filing/">http://forums.epo.org/onlineservices-your-say-online-filing/</a>

## 2.2 Typographical conventions

The following text styles identify special information.

Style	Usage
<b>Element</b>	Interactive elements in the application such as windows, options, menu items, icons, buttons and data entry fields.
<b>Text Entry</b>	Text that you type in data entry fields.
<b>KEY</b>	Keys that you press on your computer keyboard, e.g. <b>P</b> , <b>ALT</b> or <b>CTRL</b> .
<b>KEY1+KEY2</b>	Keys that you press at the same time: hold down <b>KEY1</b> and press <b>KEY2</b> .
<b>Filename.ext</b>	Name and extension of files used in Online Filing.

## 3. Overview of Online Filing

The Online Filing software lets you file EP, Euro-PCT and PCT applications with the EPO and make submissions within the opposition, appeal, limitation and revocation procedures. 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 to 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 **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.

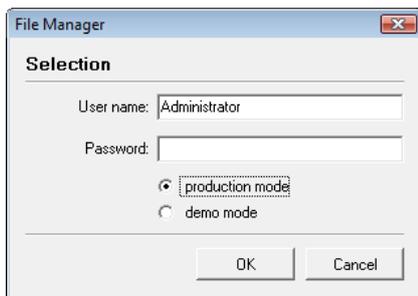


Figure 1: Online Filing login window

**Production mode** is for real filings. The default is production mode. You can also set this startup mode in User Preferences (p. 55).

**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.

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

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
- Save names and contact details in the Address Book
- Customise File Manager to suit individual user preferences
- Create user names and manage user privileges
- Set up your own password policy
- 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. 237).

Form EP(1038) can also be used to submit an appeal and/or documents filed subsequently in appeal proceedings. If you file documents and fees related to an appeal, you cannot file other documents or fees, i.e. non-appeal-related documents or fees – at the same time.

Non-public documents can also be filed with Form EP(1038E). Please note 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.

At present, Online Filing does not allow the filing of priority documents, with the exception of US certified priority documents.

## **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).

## **PCT-SFD – PCT Subsequently filed documents**

You can use Form PCT-SFD to file documents submitted after the filing of an international application under the Patent Cooperation Treaty (PCT). You can also use it to select the fees for the subsequently filed documents and the way you want to pay them.

## **PCT-DEMAND – PCT Demand (PCT/IPEA/401)**

Form PCT/IPEA/401 is used for filing demands for international preliminary examination according to Chapter II of the Patent Cooperation Treaty (PCT).

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
- Migrate either the user configuration or the Online Filing database.

### 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 mode. All users can see who edited and saved the application last, ensuring that workflows remain transparent and fully documented.

**Smart cards** (p. 95) 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).

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

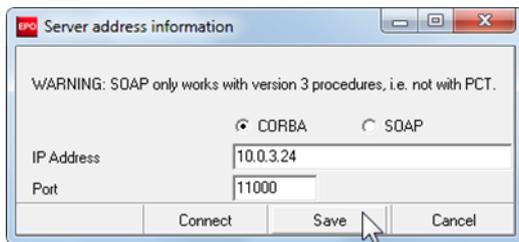


Figure 2: Setting the server address when installing the client

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.

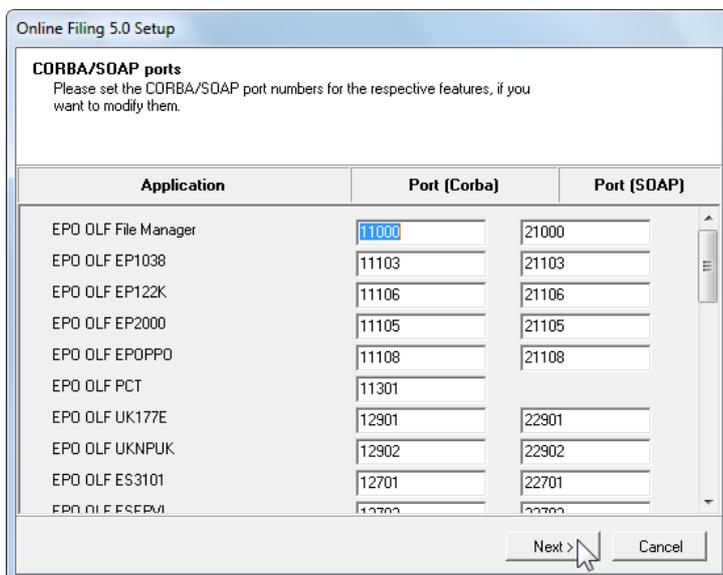


Figure 3: Settings for CORBA and SOAP ports during installation

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 in Server Manager; see **Services management** (p. 401).

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

### Typical installation

- Installs the default services: File Manager, Server Manager, EP(1001E), Euro-PCT(1200E), EP(1038E), EP(OPPO), PCT/RO/101, PCT-DEMAND (PCT/IPEA/401) and PCT-SFD
- Installs all national plug-ins without activating them

### Custom installation

- 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 National procedures in Online Filing

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. 417) in the Server Manager section of this manual.

#### Manual Update

A chronological list of all downloadable updates for the Online Filing software 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 downloads are available.

For the link to the RSS feed visit the **Online services page** (<http://www.epo.org/online-services>) 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 Customer Services

In the menu, click **Help > Info**.

The **About File Manager** window provides contact details for Customer Services 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.

To see more addresses, scroll down this pane.

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

To see all the plug-ins, scroll down this pane.

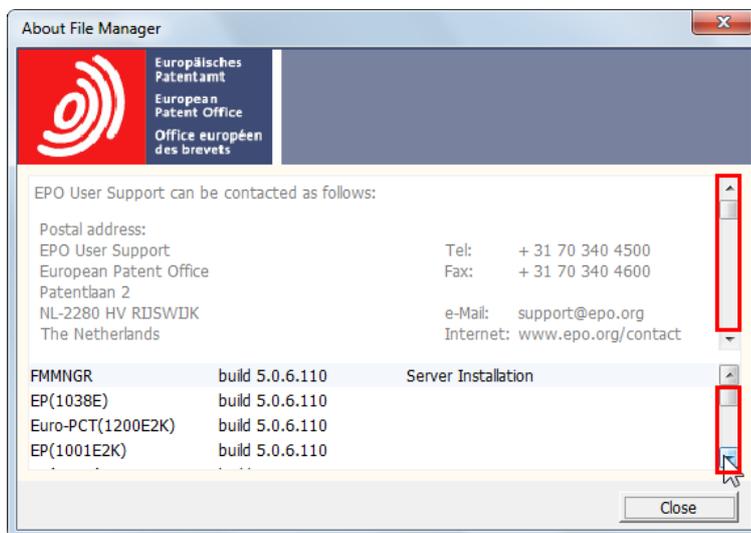


Figure 4: Helpful information on Online Filing

#### Creating a diagnostic file

When you contact Customer Services, 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 Customer Services.

Start the Online Filing Server Manager.

In the menu, click **Help > Create diagnostic file**.

Note the warning message in the next dialog 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 Customer Services.

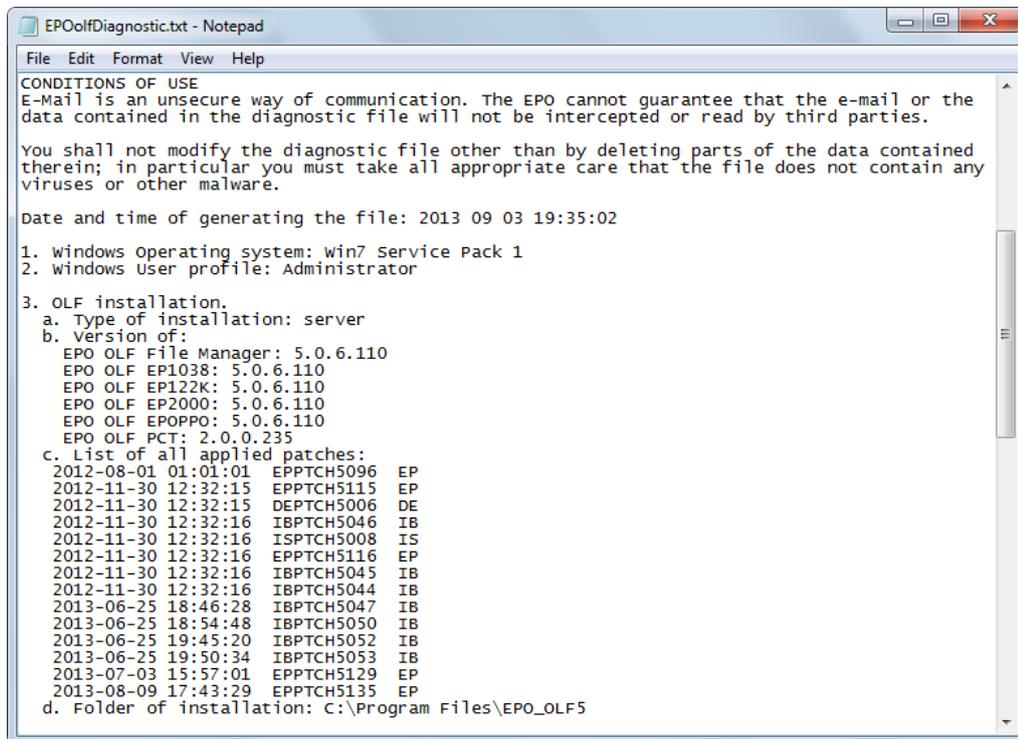


Figure 5: Contents of the diagnostic file in Windows Notepad

## 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

In the menu, click **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.

### 3.5 Digitally signed packages

Starting with new patches from spring 2021, EPO online services packages, including OLF packages, will be digitally signed.

When you download, "signed" software gives you the assurance that the package is from the European Patent Office and is still valid, and that code has not been tampered with since being published.

EPO digital certificates are issued by the European Patent Organisation and the European Patent Office.

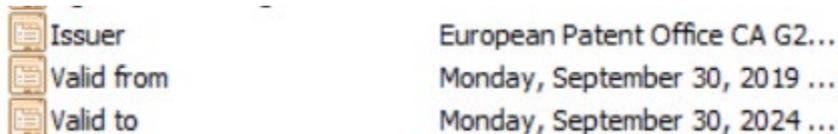


Figure 6 Digital certificates

In Windows, the identity of the software publisher can be seen in the file properties.

Additionally, when the downloaded executable file is opened, the following alert may appear: "This file does not have a valid digital signature that verifies its publisher. You should only run software from publishers you trust."

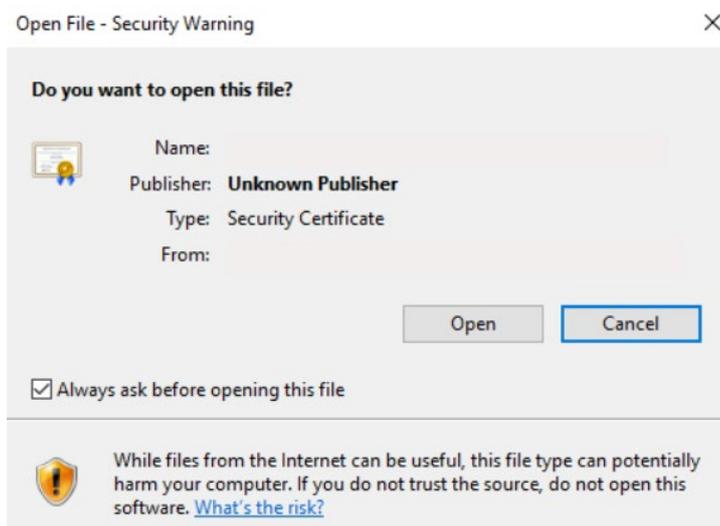


Figure 7 Security warning

Additional information about the file is also shown.

If the package is unsigned, the publisher is shown as unknown.

If the package is signed, but the EPO digital certificates have not been correctly saved in Windows, the publisher is shown as unknown.

If the package is signed and the EPO digital certificates have been correctly saved in Windows with the trusted root certificates, the publisher will be shown as "EPO".

The EPO digital certificates can be downloaded from [epo.org](http://epo.org).

Using Windows Explorer, open the location of the downloaded certificate.

Select the file and right-click to view the following menu:

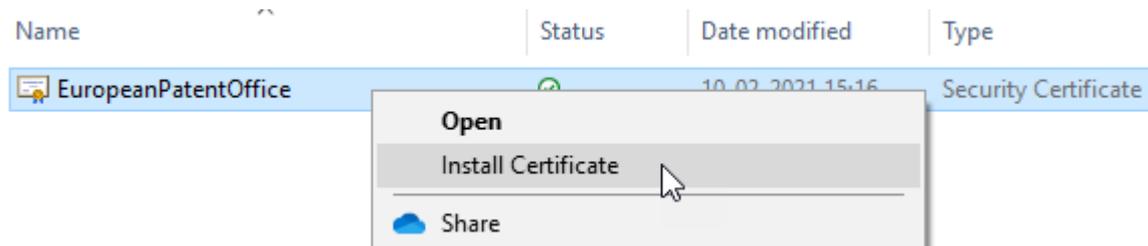


Figure 8 Install certificate

Left-click **Install Certificate** to open the Windows Certificate Import Wizard.

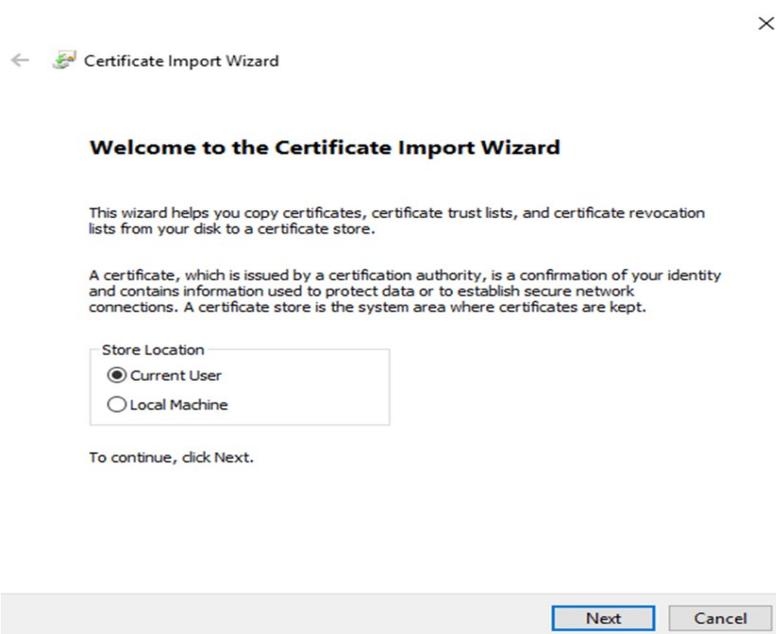


Figure 9 Certificate import wizard

**Note:** To install a certificate, administration rights are required.

Select **Current User** to import the certificate into our personal store or **Local Machine** (for all users), then **Next**.

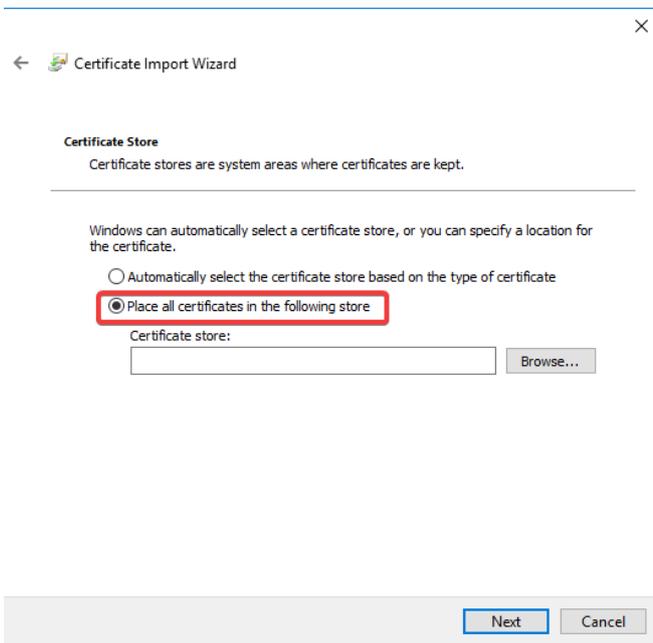


Figure 10 Certificate store

In the **Certificate Store**, select **Place all certificates in the following store** and click **Browse**.

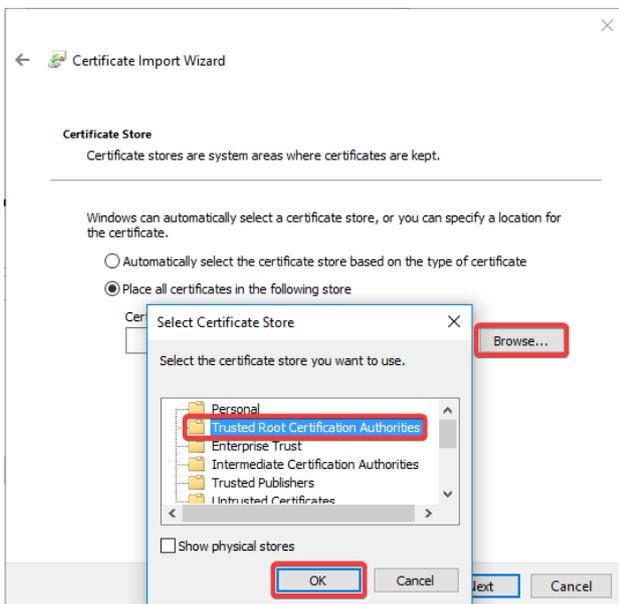


Figure 11 Trusted Root Certification Authorities

Select the certificate store **Trusted Root Certification Authorities** and click **OK**, then **Next**.

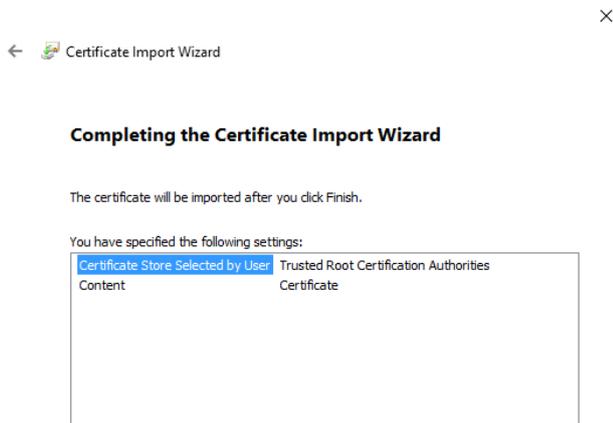


Figure 12 Completing the certificate import wizard

Click **Finish** to complete the import.

Windows will then show a security message:

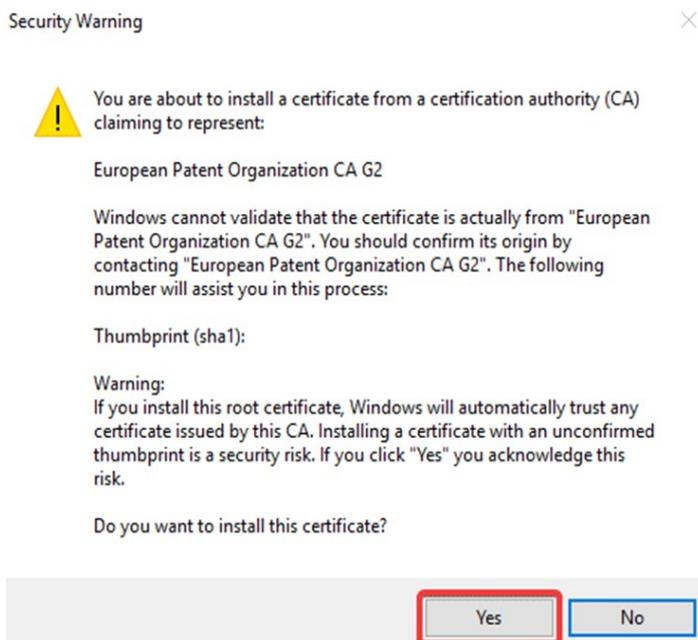


Figure 13 Security warning - certificate

Click **Yes**.

If the import was successful, the following message will be shown:

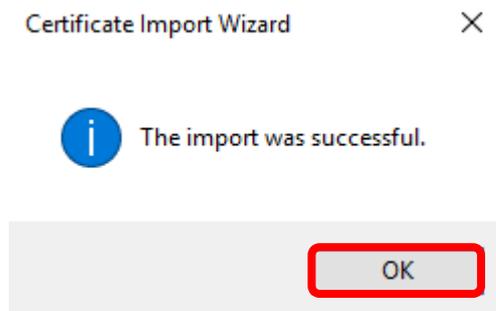


Figure 14 Import was successful

Click **OK** to close.

### **Both EPO digital signatures should be downloaded and imported.**

This action does not need to be repeated with each package. Users will be informed when the certificates used to sign EPO online services packages are changed so that they can update the certificates at their end.

Once the EPO digital certificate has been installed, the identity of the software publisher will be shown in the file properties as "EPO".

Additionally, when the downloaded executable file is opened, the alert regarding unsigned executable files is removed.

Users can choose not to install the digital certificates.

Furthermore, users updating via OLF **Live Update** do not need to take any further action. The file will download and install as normal.

Users choosing to **manually download** OLF packages from epo.org can choose to install the digital certificates and be able to view the publisher information when installing packages by verifying the digital signature.

Users can also choose to install the digital certificates only centrally and not locally, to verify the digital signature of packages before proceeding with a distributed installation. This means that where a server installation has verified publisher information, thin clients that also have verified publisher information via locally installed digital certificates are not required.

An EPO smart card is not a requirement for the download and installation of EPO digital certificates or for the download of EPO online services packages.

## 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.

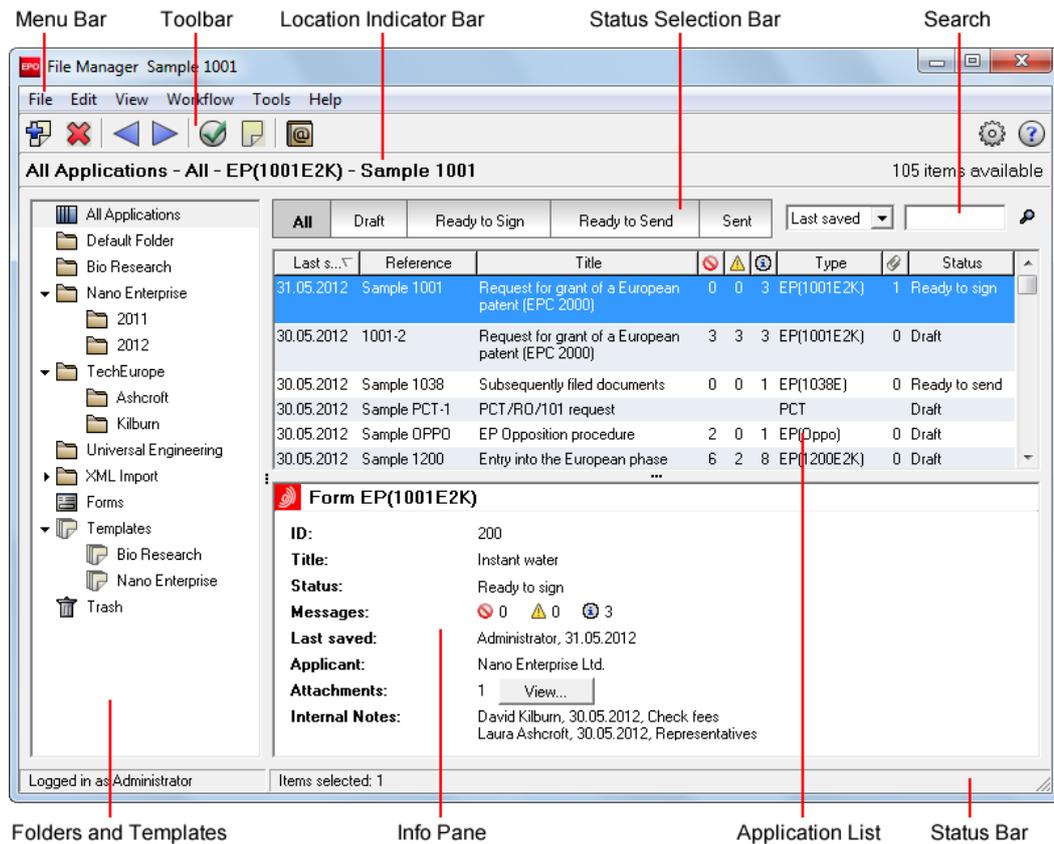


Figure 15: File Manager – Overview

## Elements in File Manager

Element	Description
<b>Menu Bar</b>	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.
<b>Toolbar</b>	Provides shortcuts to the most frequently used tasks and tools.
<b>Location Indicator Bar</b>	Contains specific information on the application currently selected: folder, status, procedure, user reference.
<b>Status Selection Bar</b>	Displays the applications in a selected folder filtered by their current status: <b>Draft, Ready to sign, Ready to send</b> or <b>Sent</b> .
<b>Search</b>	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 <b>Search</b> icon  . Click the <b>Search</b> icon again to jump to the next application that matches your search criteria.
<b>Folders and Templates</b>	Contains the system folders <b>All Applications, Default Folder, Forms, Templates</b> and <b>Trash</b> . You can create additional folders and sub-folders as required for your applications and templates.
<b>Info Pane</b>	Displays general information on the application (or template) currently highlighted in the list. Click <b>View ...</b> to preview the application. The application then appears in the <b>PDF Viewer</b> with a list of all attached files that can also be displayed in PDF view.
<b>Application List</b>	Shows the content of the folder that you selected on the left, that is, all applications, templates or forms that are in this folder.
<b>Status Bar</b>	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.

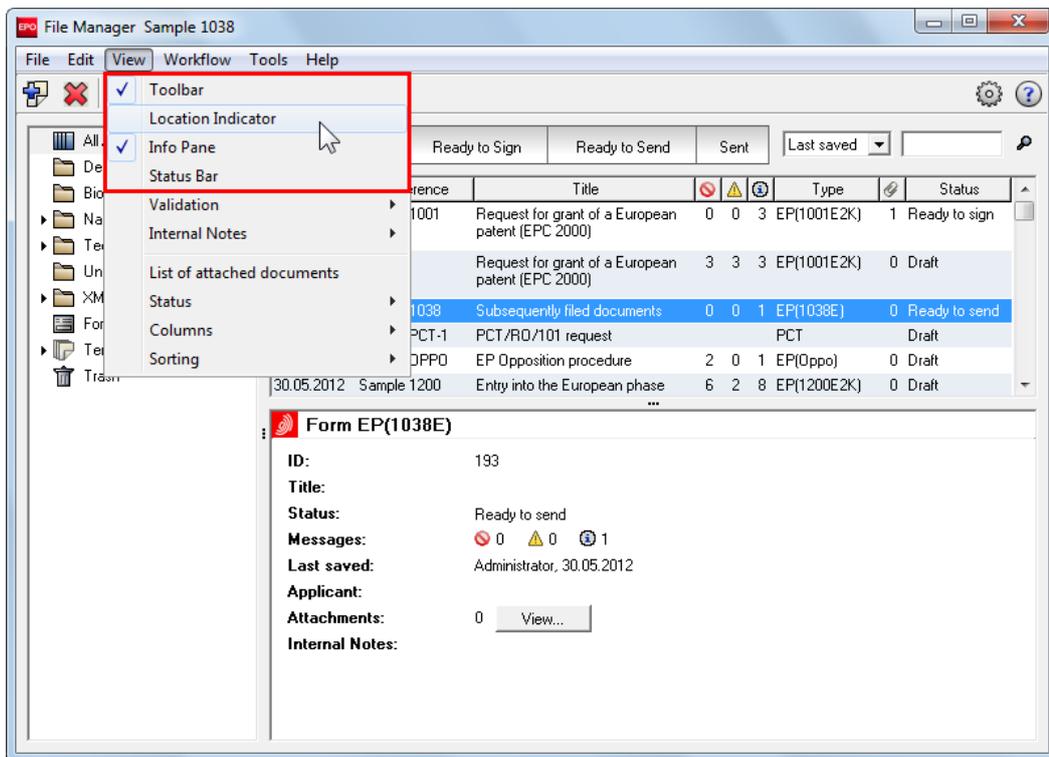


Figure 16: Customising File Manager: Location Indicator and Status Bar are hidden

## Exiting File Manager

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

Click **Exit** to close the program.

Click **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.

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 element. The shortcut menu always contains a list of frequently used options.

## File Manager toolbar

Button	Function	Description
	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 <b>Annotations</b> 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. 59) window.
	Help	Opens the online help for 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	Description
	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

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

Icon	System Folder	Description
	All Applications	Contains a list of all applications (apart from items 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 items 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.

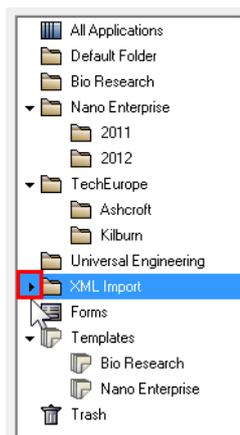


Figure 17: Folders with sub-folders in File Manager

### Creating a folder

In the menu, click **File > New Folder**.

or

Right-click in the folder area and select **New Folder** from the shortcut menu.

Type a name for the folder and press **ENTER**.

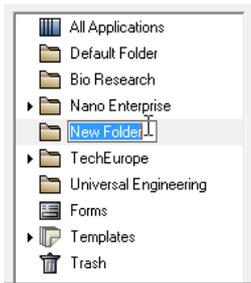


Figure 18: New folder created

### 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**.

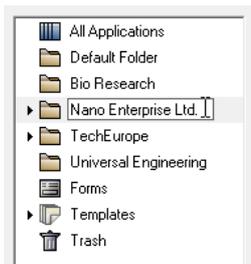


Figure 19: Folder renamed

### Deleting a folder

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

Right-click the folder you want to delete.

Select **Delete Folder** from the shortcut menu.

The folder is deleted immediately.

## Sorting a folder

Select the folder you wish to sort.

In the menu, click on **View > Sorting**, then choose the name of the column you want to sort the list by.

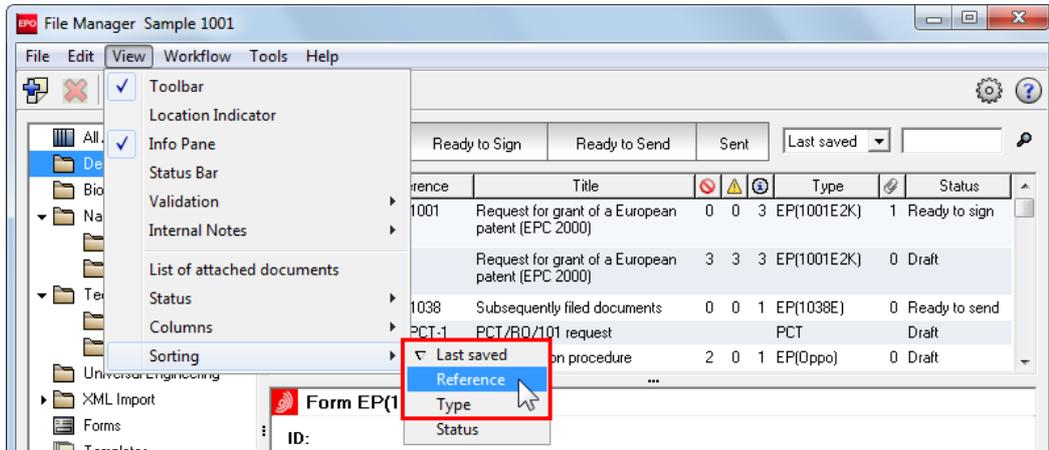


Figure 20: Sorting applications by an option in the "View" menu

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).

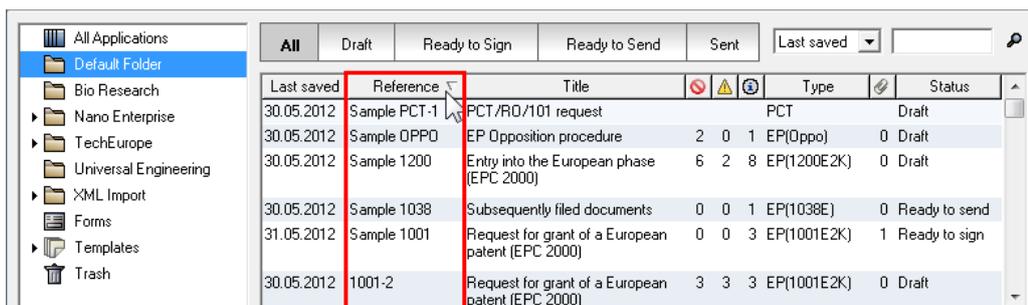


Figure 21: Sorting applications by clicking the column heading

### 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



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 22: List of applications in File Manager

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

In the menu, click **Status > View**, then choose the status you want, e.g. **Ready to send**.

or

Click the appropriate button in the **Status Selection Bar**.

In the menu, click **View > Columns**, then 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 the menu, click **File > New Draft**.

or

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



or

Double-click a form or template.

or

Press **CRTL+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 from 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 application form will be created in the language selected. However, this setting has no effect on 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. 272) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

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 23: 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.

In the form view menu, click **File > Save**.

or

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



You can use the **Save As** option in the **File** menu to create a new item 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. 32) on which to base new drafts.

The saving options in form PCT/RO/101 are slightly different; see Saving the form (p. 274) 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. Applications based on form PCT/RO/101 cannot be renamed.

Open File Manager and select the application you wish to modify.

Right-click the application in the list and select **Rename user reference** from the shortcut menu.

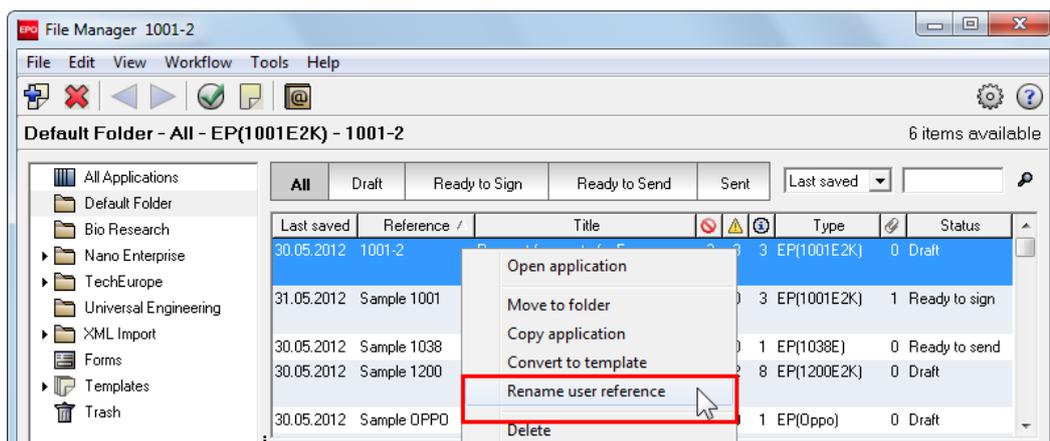


Figure 24: Rename user reference for application

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.

### 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** from 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.

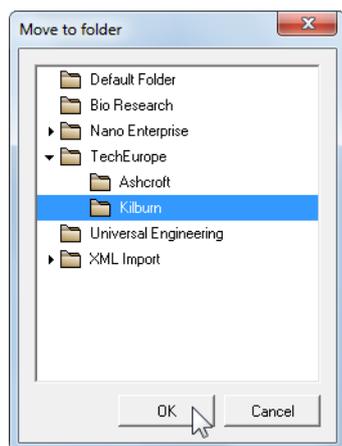


Figure 25: Selecting the folder where you want to move an application

### 4.3.5 Deleting applications

There are a number of ways to delete applications (or templates). 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 File Manager, select the application(s) or template(s) you wish to delete.

 You can select multiple items one after the other by clicking them with the **CTRL** key held down.

In the menu, click **Edit > Delete application**.

or

In the toolbar, click the **Delete** button.



or

Right-click the application(s) and select **Delete** from 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** from the shortcut menu.

Select the required folder in the **Move to folder** window and click **OK**.

## Removing items from the Trash folder

You can clear all items or individual items in the **Trash** folder.

Right-click the Trash folder and select **Empty Trash Folder** from the shortcut menu.

or

Select the items you want to remove and delete them as described above.

### 4.3.6 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.

Select 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 26: Info pane with application information

The **PDF Viewer** opens with a preview of the required application (**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 acknowledgement 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 file** icon in the PDF Viewer's toolbar.

To save a copy of the PDF file to your PC, click the **Save file** icon.

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.

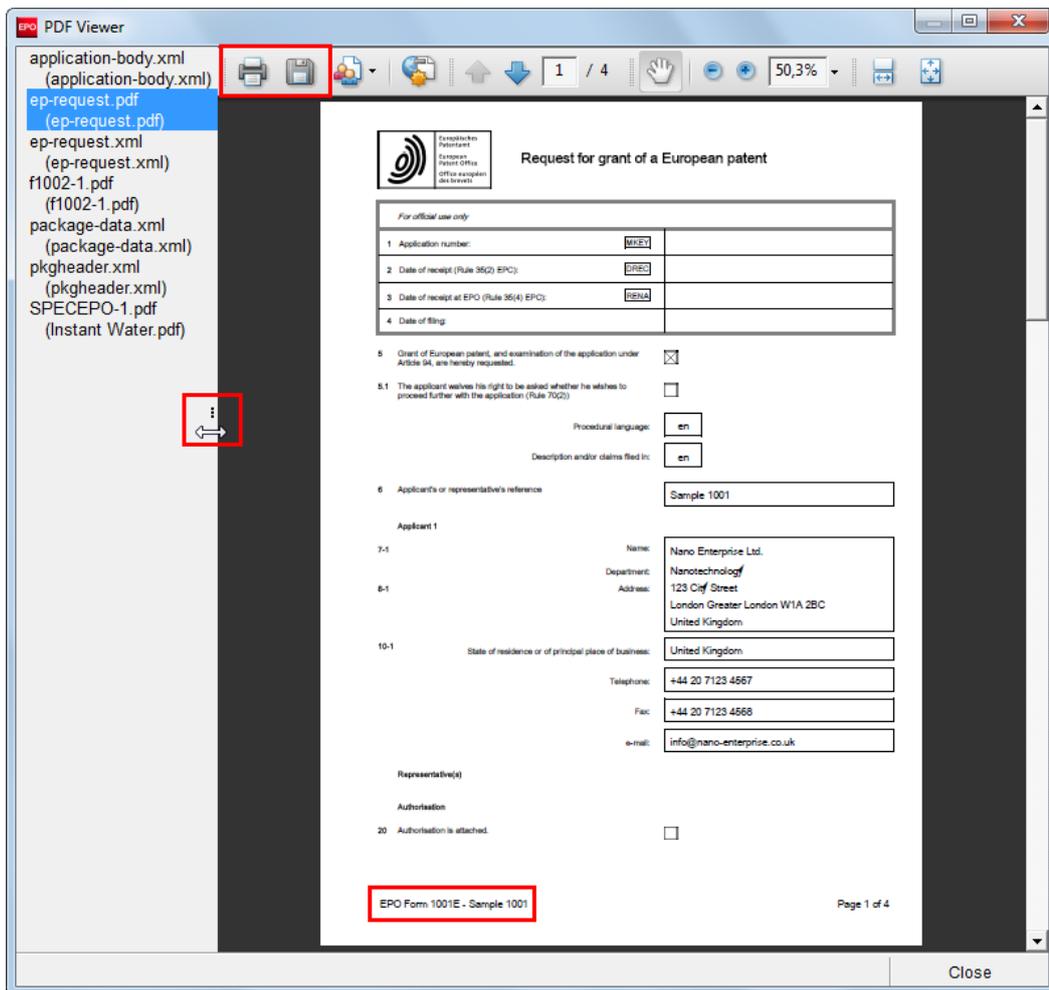


Figure 27: Application displayed in the PDF viewer

## 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

In File Manager, you can create a template from a draft application, start with a blank form or use an existing template.

Specific instructions on how to create a template for PCT/RO/101 applications can be found in Working with templates (p. 275) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

#### Creating a template with a blank form

In the menu, click **File > New Template**.

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**.

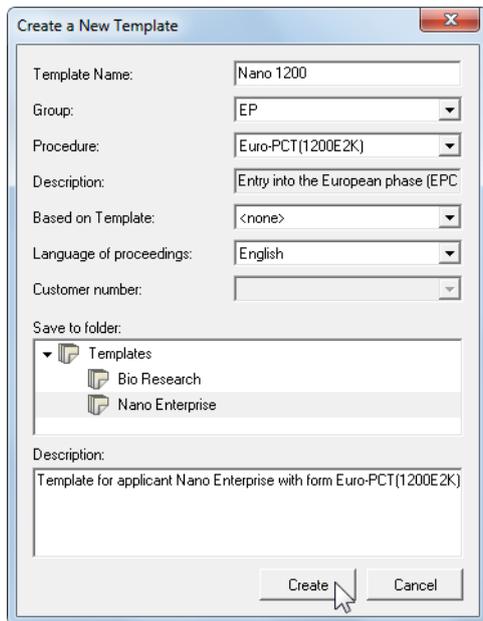


Figure 28: Creating a new template

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 in the form view.

In the menu, click **File > Save As > Save as Template**.

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.



Double-click the **Templates** folder to display all sub-folders.

Enter a **description**.

Click **Save**.

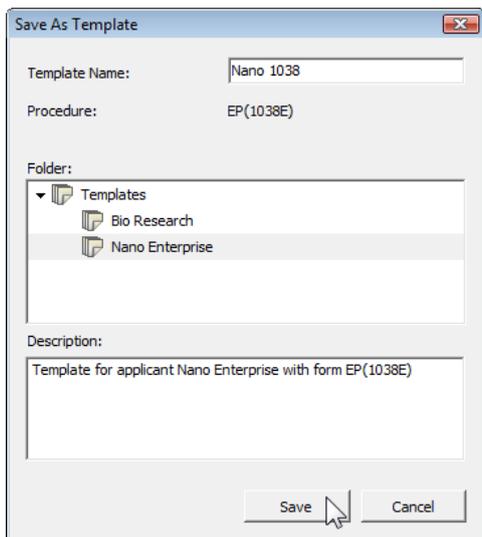


Figure 29: Saving an application as a template

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.

In File Manager, right-click the application you want to convert into a template.

Select **Convert to template** from the shortcut menu.

Select a folder in the **Convert to template** window.

Enter a **description**.

 You cannot change the **template name** here.

Click **Save**.

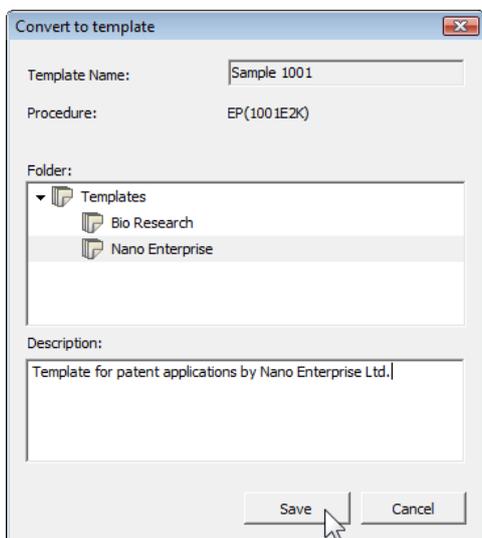


Figure 30: Converting an application into a template

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

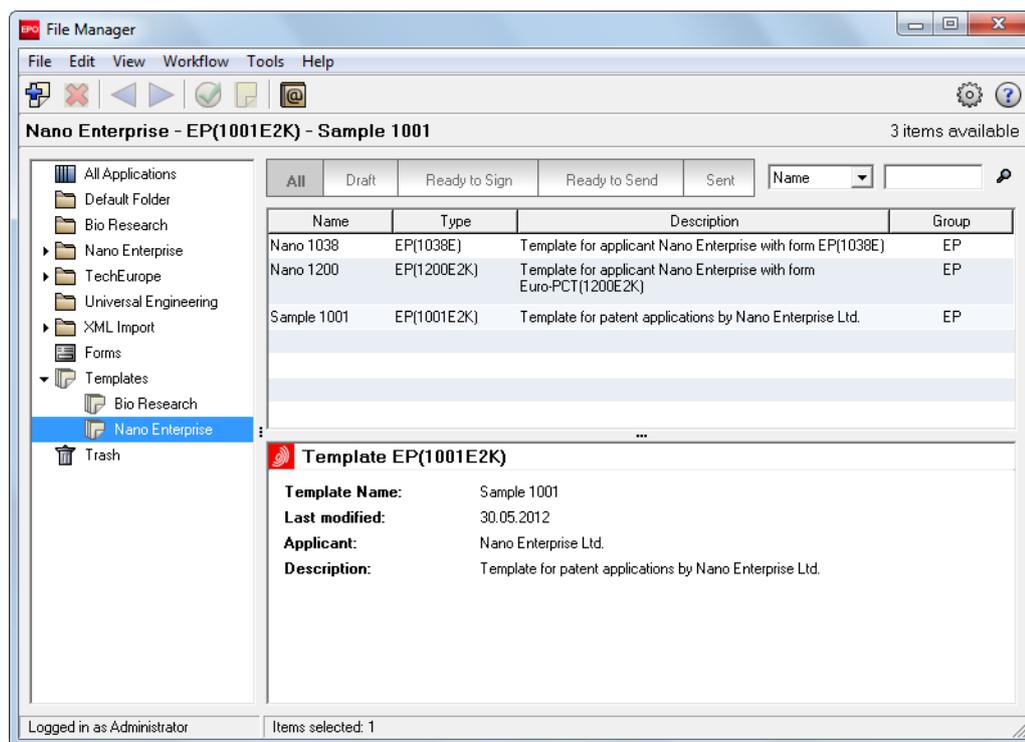


Figure 31: Templates folder with sub-folders and new template

### 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** from 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** from 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** from the shortcut menu.

Enter a name for the new template in the **Copy template** window.

Click **Copy**.

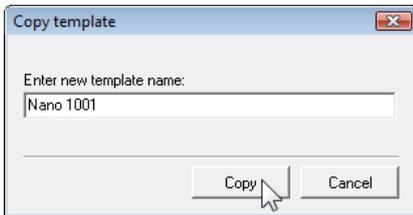


Figure 32: Creating a new template by copying an existing template

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**.

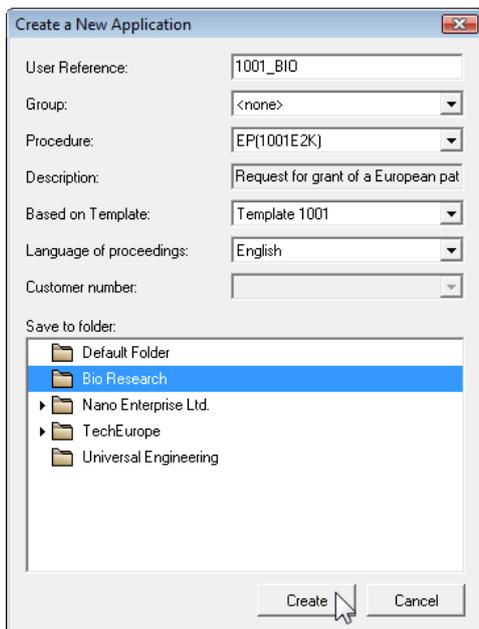


Figure 33: Create a new application based on a template

### 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 and select **Edit template** from the shortcut 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.

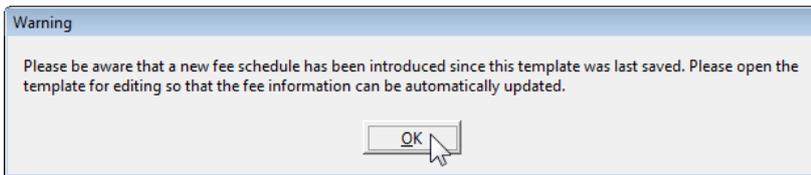


Figure 34: Warning when you open a template containing outdated fee information

Click **OK** to cancel the operation.

To update the template, right-click the template in File Manager and select **Edit template** from the shortcut menu.

A warning message about updating fee information appears.

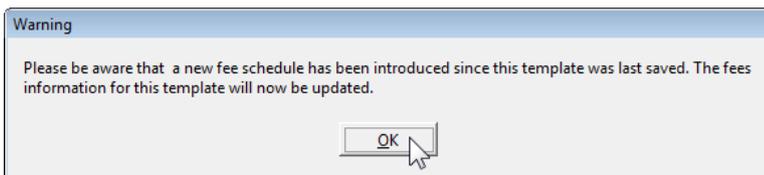


Figure 35: Warning about updating fee information in a template

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** from the shortcut menu.

Change the text in the **Template description** field in the **Template properties** window.

Click **Save**.

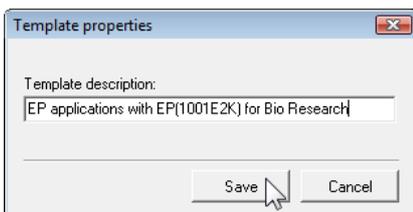


Figure 36: Changing template properties

## 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	<b>Ready to Sign</b>	Ready to Send	Sent
-----	-------	----------------------	---------------	------

<b>All</b>	Shows all applications in the folder currently selected.
<b>Draft</b>	All applications that are still being processed. Applications in this status are missing either mandatory information or documents required for the procedure.
<b>Ready to sign</b>	Mandatory information and documents have been included but signatures have not been added.
<b>Ready to send</b>	Mandatory information and documents has been included and signatures have been added.
<b>Sent</b>	The application was successfully transmitted to the EPO and the acknowledgement 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).

 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.

In the menu, click **Workflow > Change Status** followed by the required option to move the application to a specific status.

or

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

Icon	Function	Description
	<b>Next</b>	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.
	<b>Previous</b>	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 37: "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".

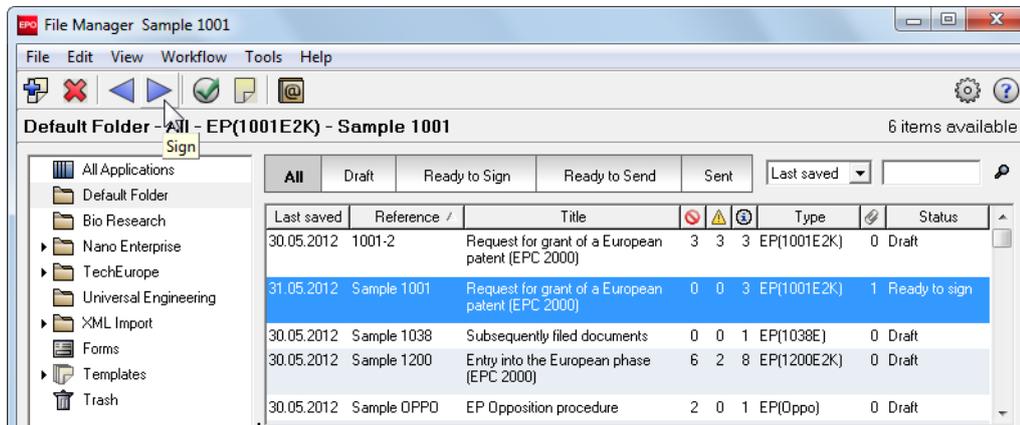


Figure 38: "Sign" option available in the workflow

### 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.

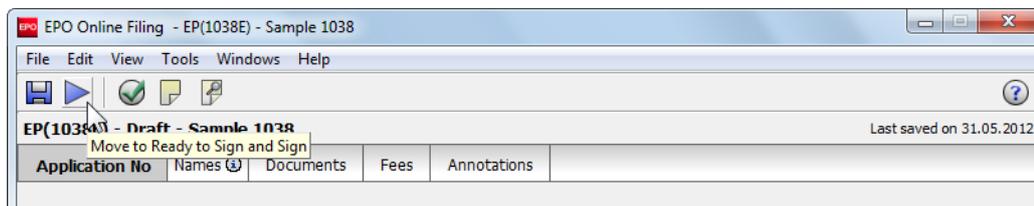


Figure 39: Using workflow buttons in the form view to move an application to "Ready to sign" status

In the menu, click **File > Close**, then select **Move to Ready to Sign and exit**.

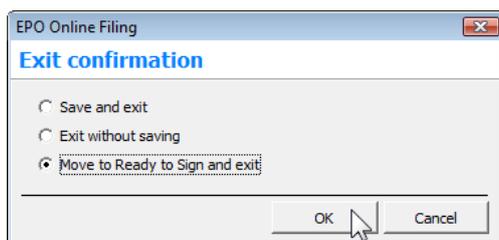


Figure 40: Moving an application to "Ready to sign" status when closing a form

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

Form PCT/RO/101 provides different functions; see Processing the PCT/RO/101 application (p. 339) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

## 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 <b>error</b> 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 <b>warning</b> means that some information is missing but may be supplied subsequent to your filing.
	3	The grey icon for <b>message</b> 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. 270) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

Last saved	Reference	Title				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

**Internal Notes:**

Figure 41: 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 42: 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.

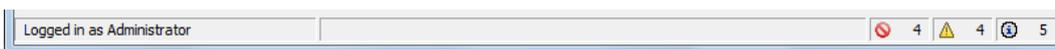


Figure 43: Number of validation messages indicated in the form's status bar

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 File Manager to see all the messages concerning the selected application.



The validation messages are displayed in a separate window.

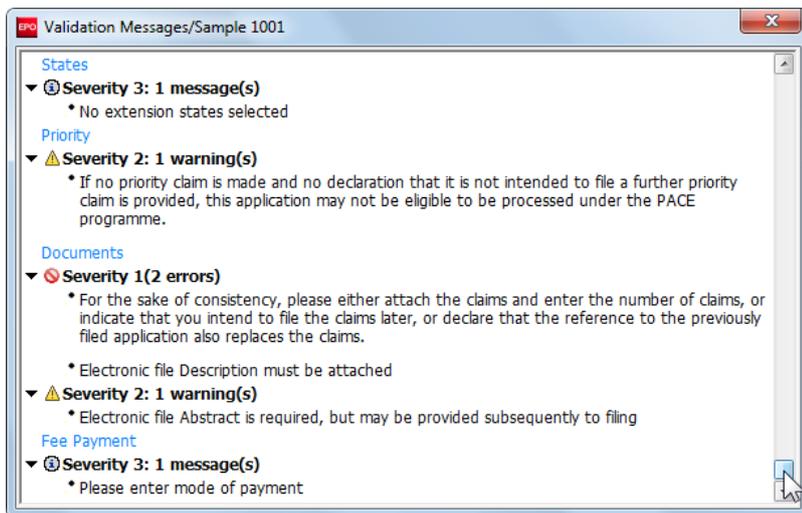


Figure 44: All validation messages for an application

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

In the menu, click **View > Validation > Docked** to dock the validation window under the File Manager window.



If you want the validation window to appear docked to the form window each time, select the corresponding option for Startup (p. 55) in User Preferences.

If you prefer, you can select **View > Validation > Undocked**.

This option leaves the floating window open and allows resizing of the window.

To close the validation window, click **View > Validation > Hide**.

## 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. 167).

For instructions on annotations and notes in form PCT/RO/101, please refer to PCT/RO/101 – Annotate (p. 334) 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**.

A screenshot of the 'Internal Notes' application window. The window title is 'EPO Internal Notes'. On the left, there is a list of notes: 'Representatives Laura Ashcroft, 30.05.2012' and 'Check fees David Kilburn, 31.05.2012'. The main area shows a form with fields for 'Author' (David Kilburn), 'Subject' (Check fees), and 'Note' (Not all the fees to be paid have been selected yet.). A 'Created on' field shows '31.05.2012'. There are also '+' and '-' icons in the top left of the main area.

Figure 45: 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.



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

In the list click a note to display it.

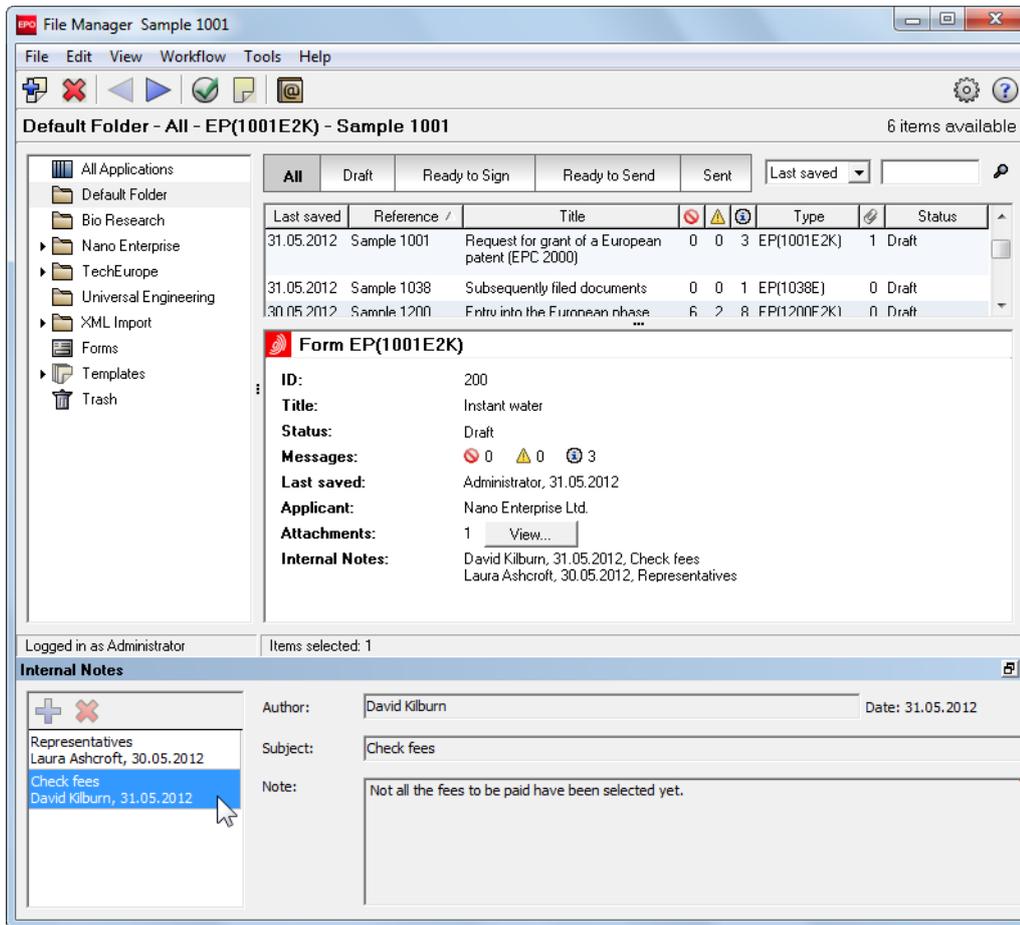


Figure 46: Example of an internal note in the docked Internal Notes window in File Manager

## 4.8 Address Book

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

In the File Manager menu, click **Tools > Address Book**.

or

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

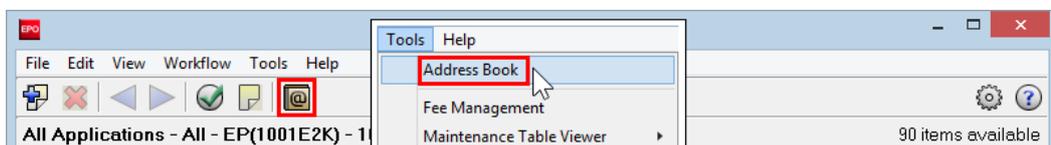


Figure 47: Opening Address Book in File Manager

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 👤.

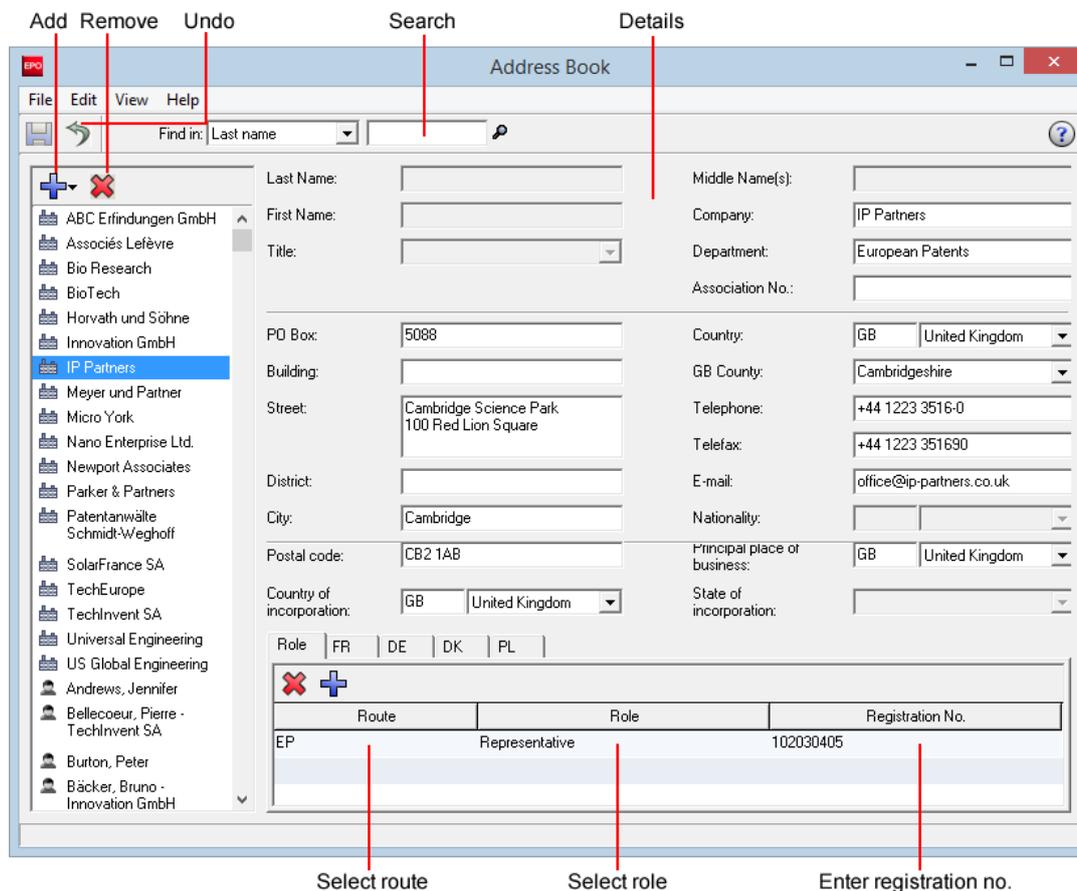


Figure 48: Address Book with legal and natural persons

## Address Book functions

Function	Description
<b>Add</b>	Click  to create a new Address Book entry.
<b>Remove</b>	Click  to delete the Address Book entry currently selected.
<b>Revert changes</b>	Click  to cancel entries or changes.
<b>Search</b>	Select the data field you want to search in the <b>Find in</b> drop-down list and then enter the relevant search term in the search field. Click the <b>Search icon</b>  to find matching Address Book entries.
<b>Enter details</b>	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.
<b>Select route</b>	Click this field to open a drop-down list of routes.
<b>Select role</b>	Click this field to open a drop-down list of features for the selected route.
<b>Enter registration number</b>	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. 47) 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. 49) 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. 296) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

 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. 52) them from existing CSV files. You can also export (see "Exporting Address Book names" p. 51) entries created in Online Filing to an external CSV file.

### 4.8.1 Creating names in the Address Book

In the Address Book menu, click **File** and then **New Person** or **New Company**.

or

Click the **Add** button, and then select **Legal Person** or **Natural Person**.



Figure 49: 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.

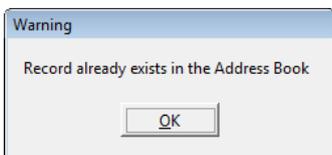


Figure 50: Warning: Record already exists in the Address Book

- 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. 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

The Role dropdown menu is open, showing the following options:

- Applicant
- Representative

Figure 51: 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.



For more information on the format of registration numbers, contact the relevant national office.

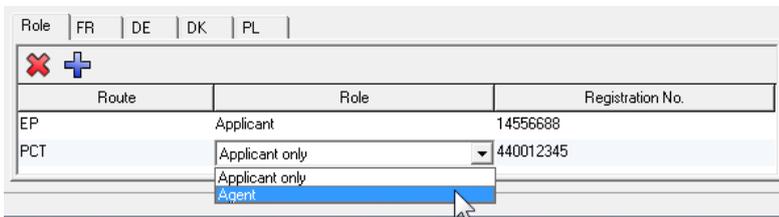
## Multiple registration numbers

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 52: 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**.



Role	Shortcut
Applicant, Legal	
Applicant, Natural	
Representative, Association	
Representative, Authorised	
Representative, Legal Practitioner	
Inventor	Ctrl+I

Figure 53: 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, select the name as appropriate.

Click the **Copy person to the form** button.

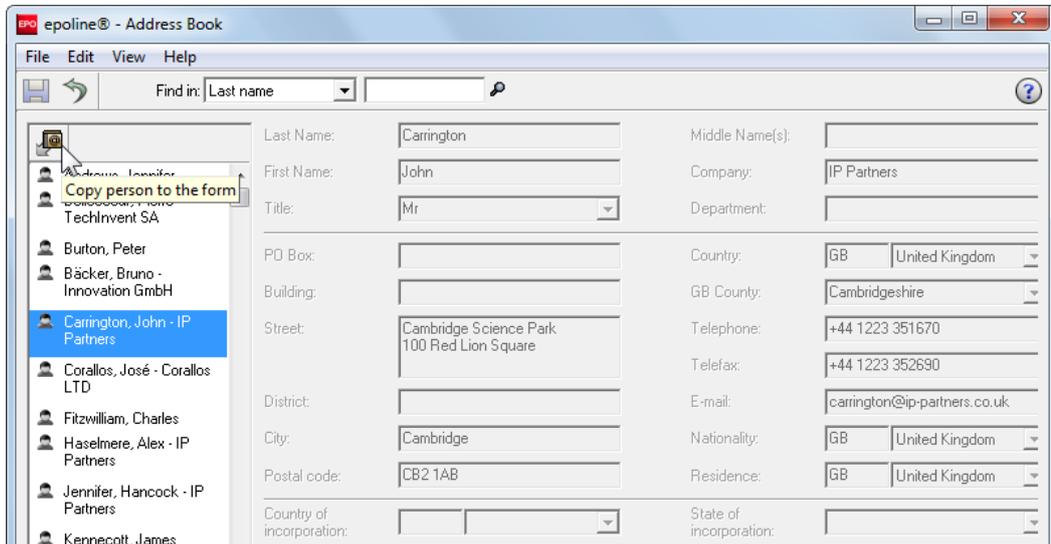


Figure 54 Copy representative's data to the form

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

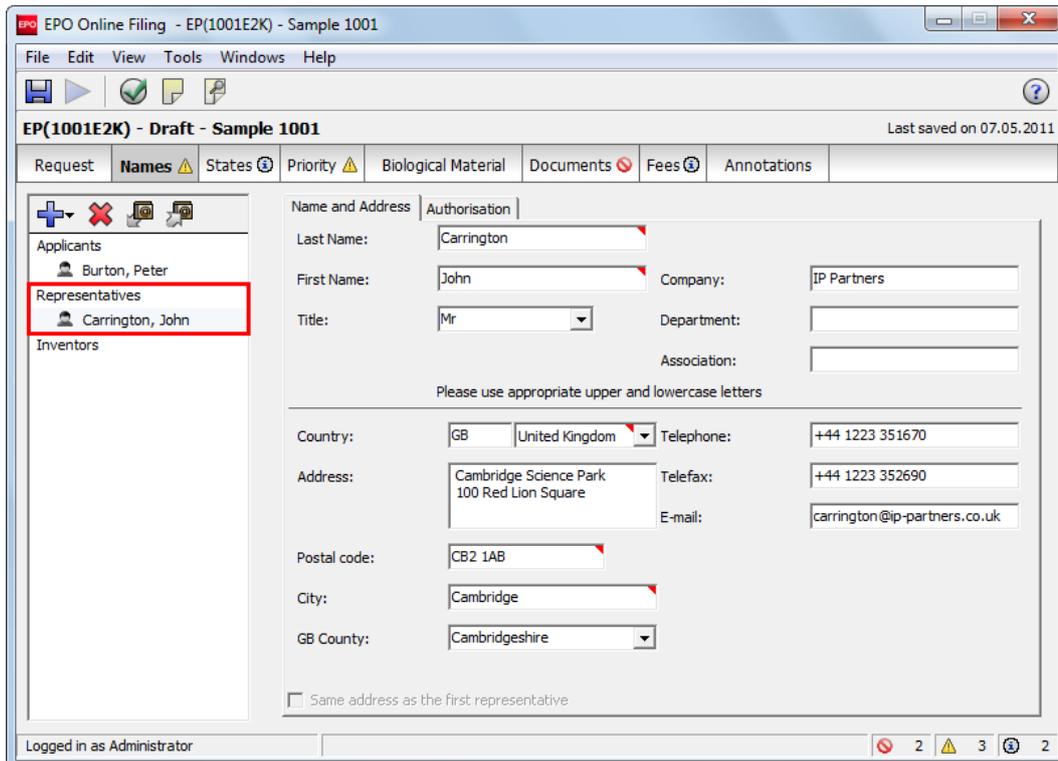


Figure 55: Data and registration number for representative entered automatically in form

#### 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 56: Warning: Record already exists in Address Book

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

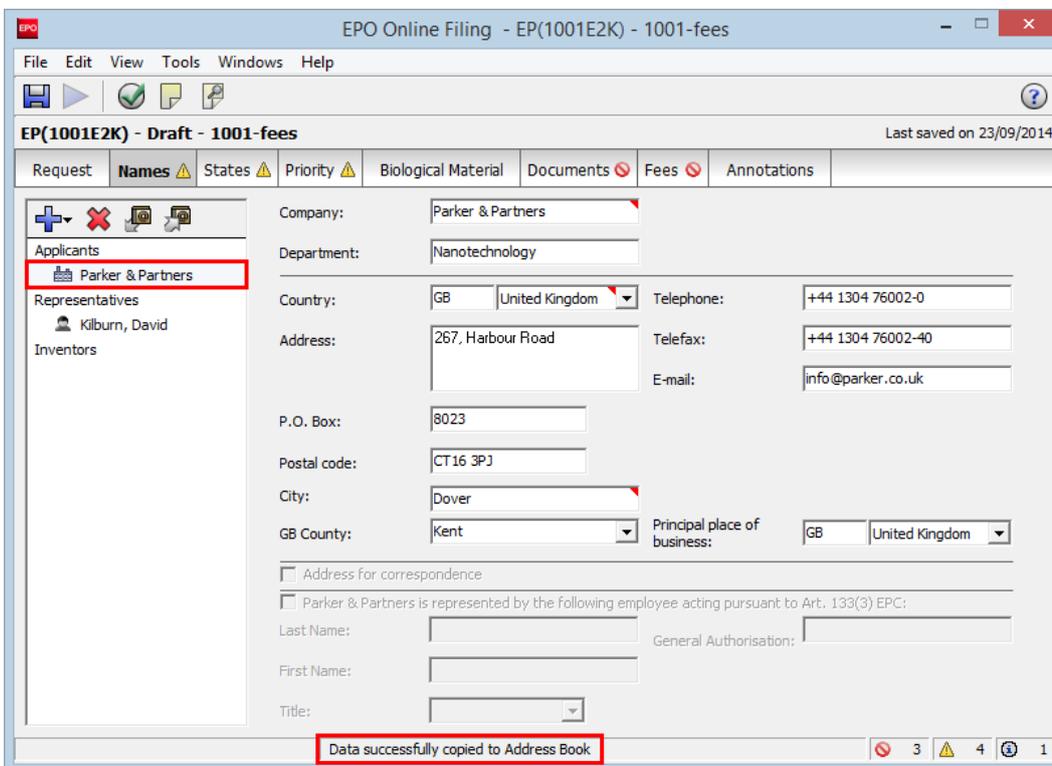


Figure 57: Applicant's data successfully copied from the form to the Address Book

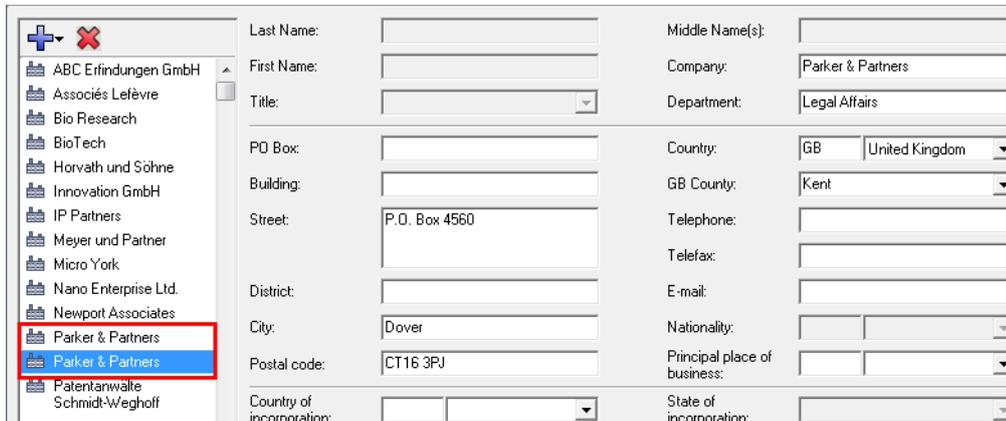
## Multiple entries for a legal person

You can specify a separate address for correspondence with one of the applicants, e.g. see Applicants (p. 124) 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.



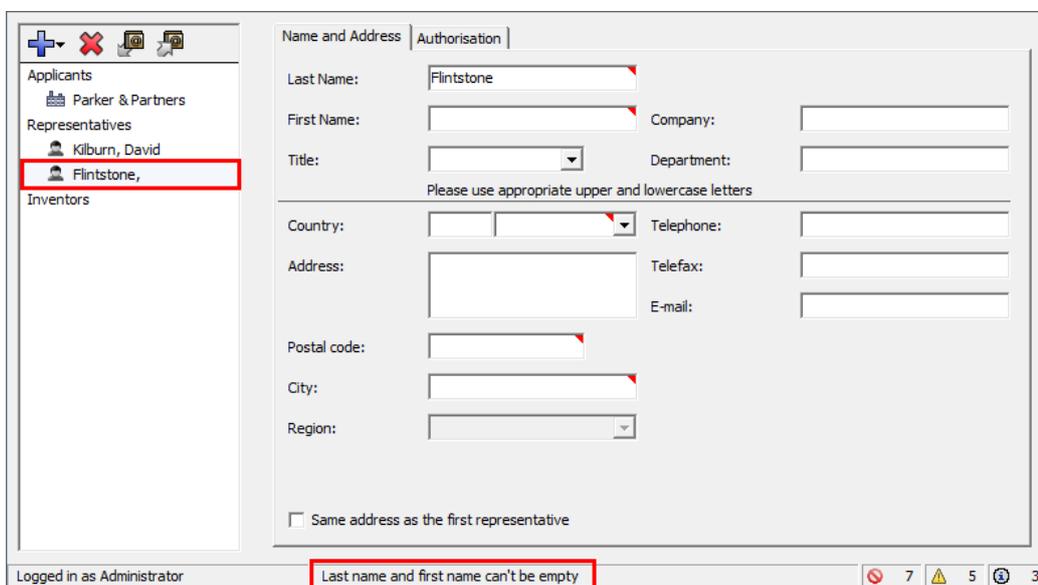
The screenshot shows a software interface for managing an address book. On the left is a list of companies, with 'Parker & Partners' selected and highlighted in blue. The main area contains a form with the following fields: Last Name, First Name, Middle Name(s), Company (filled with 'Parker & Partners'), Title, Department (filled with 'Legal Affairs'), PD Box, Building, Street (filled with 'P.O. Box 4560'), District, City (filled with 'Dover'), Postal code (filled with 'CT16 3PJ'), Country (filled with 'GB' and 'United Kingdom'), GB County (filled with 'Kent'), Telephone, Telefax, E-mail, Nationality, Principal place of business, and State of incorporation.

Figure 58: 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 same software interface as Figure 58, but with a different company selected in the list: 'Flintstone, David'. The form fields are: Last Name (filled with 'Flintstone'), First Name (empty), Middle Name(s) (empty), Company (empty), Title (empty), Department (empty), Country (empty), Address (empty), Telephone (empty), Telefax (empty), E-mail (empty), Postal code (empty), City (empty), Region (empty). A checkbox at the bottom is labeled 'Same address as the first representative'. At the bottom of the window, a status bar displays the message 'Last name and first name can't be empty' in a red box. The status bar also shows 'Logged in as Administrator' and several icons.

Figure 59: 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 menu, click **File > Export**.

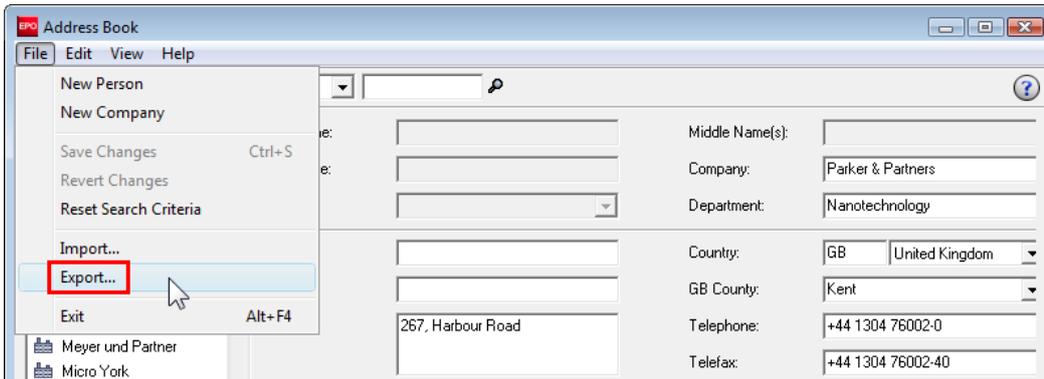


Figure 60: Exporting data from the Address Book

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

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

**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.

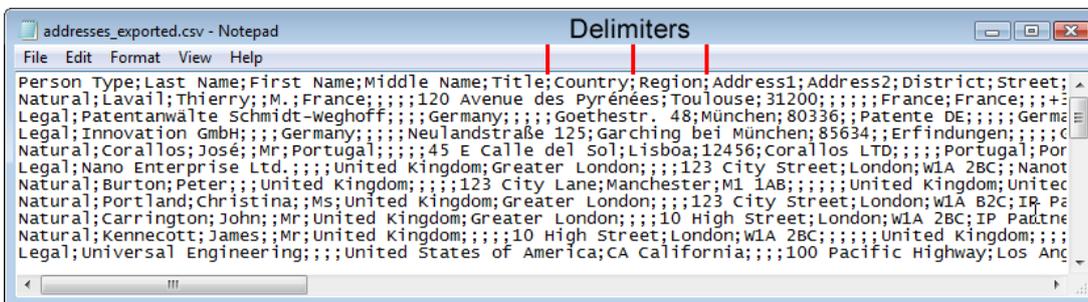


Figure 61: Sample CSV file opened in Notepad

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 62: Sample CSV file in Microsoft Excel spreadsheet

The application associated with CSV files depends on your computer's configuration. 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				Route, Role and Registration no. each separated by vertical bars
5				

Figure 63: Different sets of data for EP and PCT routes

#### Importing the CSV file

In the File Manager menu, click **Tools > Address Book**.

or

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

In the Address Book menu, click **File > Import**.

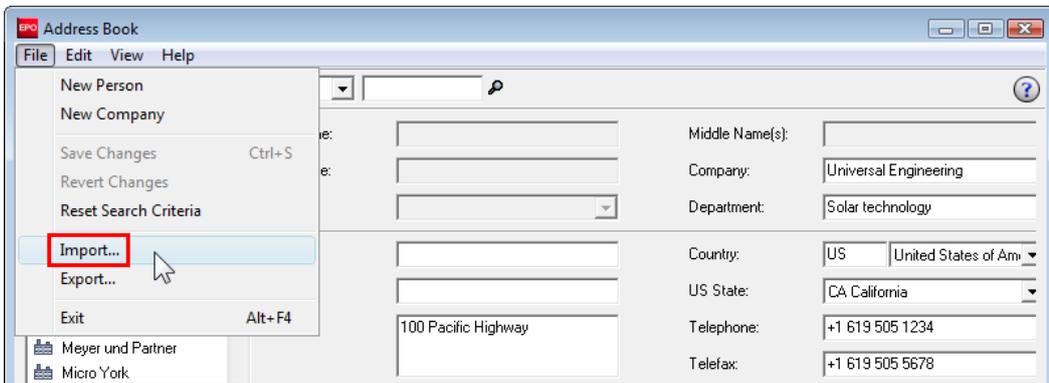


Figure 64: Importing data into Address Book

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.

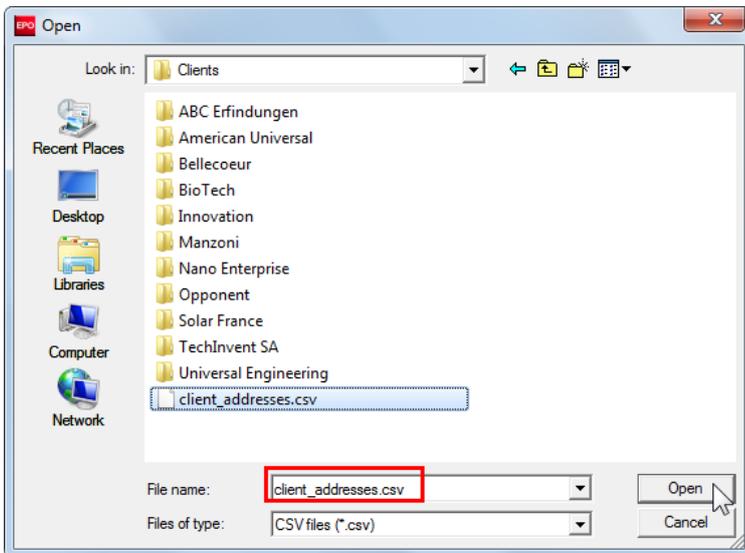


Figure 65: Selecting CSV file for import into Address Book

## 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.

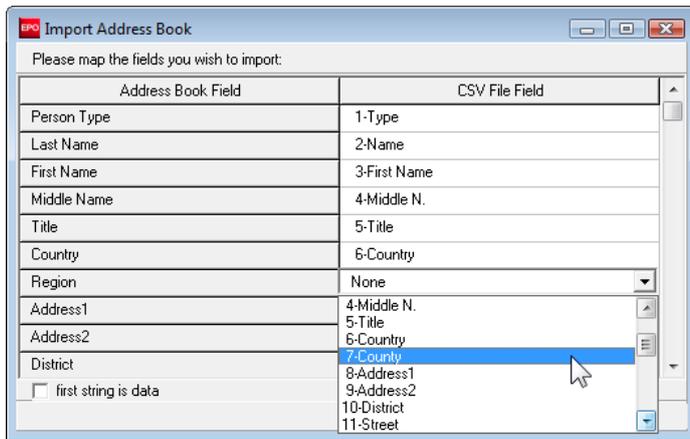


Figure 66: Import Address Book – matching field names

## Handling duplicate entries

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

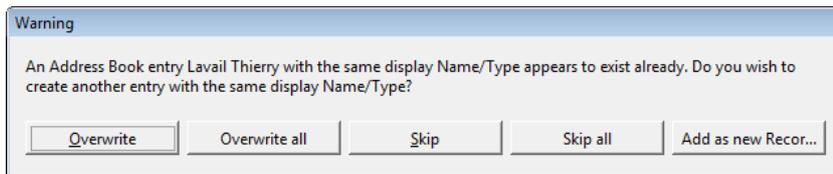


Figure 67: Address Book message for duplicate entries

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.

Click **Overwrite all** to 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.

In the File Manager menu, click **Tools > Preferences > User Preferences**.

Changes 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.

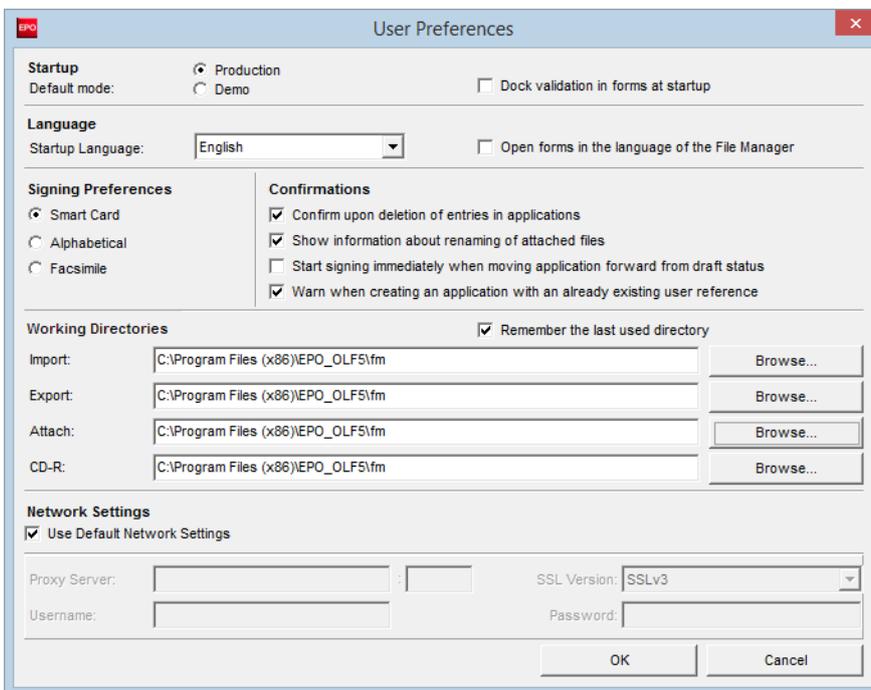


Figure 68: User preferences in File Manager, default options

### 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. 12).

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. 27).

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

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. 62). 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.



The EPO does not currently accept soft certificates as an electronic signature for filings to the EPO server. Other offices may, however, accept them for online filing. See the website of the office concerned for details.

#### 4.9.4 Confirmations

Online Filing displays warning messages following certain actions. You can avoid some extra clicks by de-activating these confirmation dialogs.

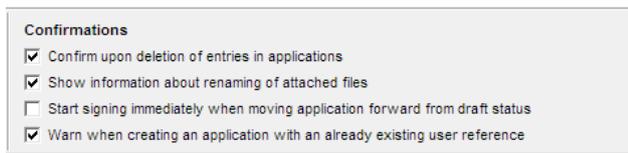


Figure 69: Default settings for confirmations

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 this message appears in the procedural form, you can choose not to display it in future.

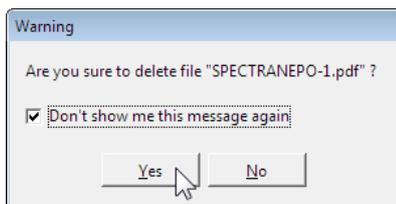


Figure 70: Message to confirm deletion of file

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 this message appears in the procedural form, you can choose not to display it in future.



Figure 71: Message 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 message appears when creating a new application, you can choose not to display it in future.

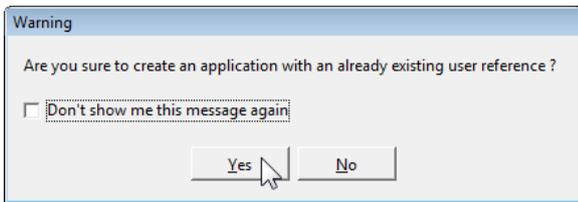


Figure 72: Message when creating a new application indicating that a form already exists with the user reference you want to use

#### 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 dialog; see Sending applications (p. 102). The application data is saved in a special file format and can be burned to a CD or DVD later.

**i** Working directories are not supported when working with the PCT procedure (Form PCT/RO/101).

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.



Figure 73: Modified working directories

## 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. File Manager) uses the same internet connection as the Online Filing server, which can be configured in Server Manager.

To modify the internet connection for your personal Online Filing Client, clear 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.

If required, enter **username** and **password** for authorisation at the proxy server.

The **SSL Version** is set to **TLSv1** by default and cannot be changed. To provide for enhanced security in terms of data encryption, Online Filing does not use previous SSL versions anymore.

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

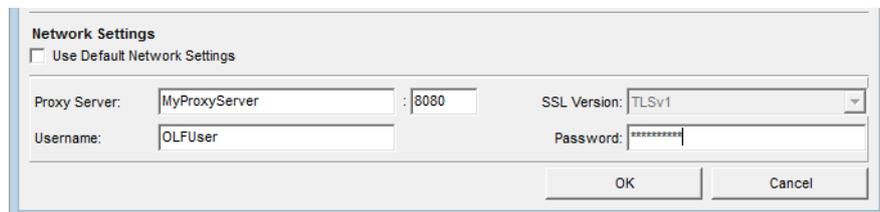


Figure 74: User-specific settings for network connections

## 4.10 System Preferences

In **System Preferences**, you can change global settings that apply to all users of Online Filing. This is usually done by the Online Filing administrator or another user with appropriate user rights; see Profiles for group authorisations (p. 74).

The settings for production mode and demo mode are configured independently.

In the File Manager menu, click **Tools > Preferences > System Preferences**.

or

Click the **System Preferences** button in the toolbar.



Edit the settings as required.

To apply your settings, click **Save**.

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

To discard your changes and return to the Online Filing default settings, click **Reset All Settings**.

To quit without applying any changes, click **Cancel**.

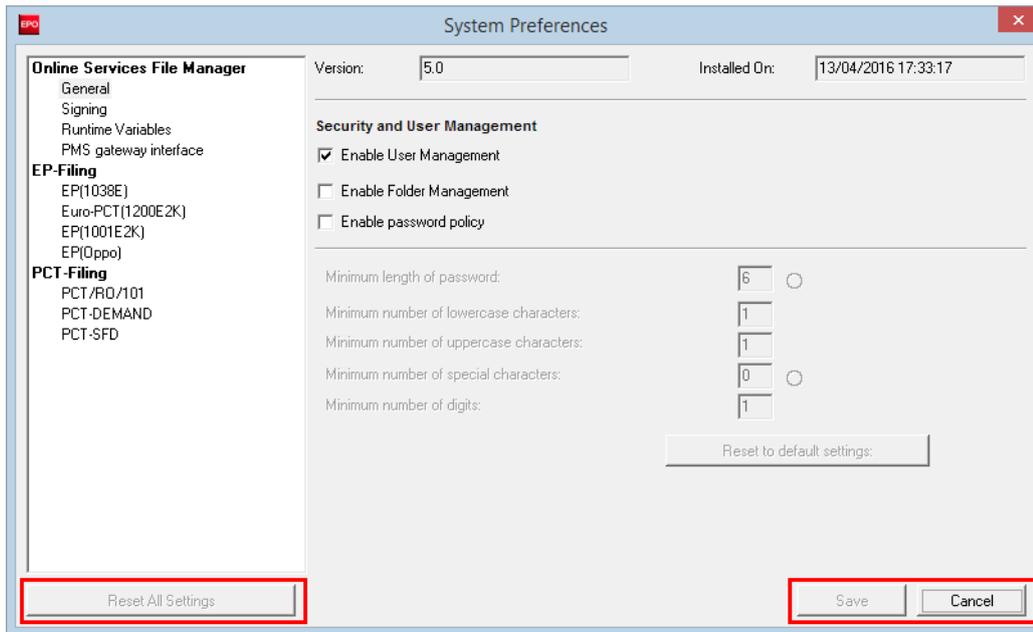


Figure 75: System preferences for File Manager

#### 4.10.1 Security and user management

To protect your IP data, it is highly recommended that you establish uniform security rules for all users in your company working with Online Filing. All users should log on with their user name and password, even if you have installed the standalone version for a single-user environment.

##### Enabling User Management

Only the Online Filing **Administrator** can enable user management either immediately during the installation of Online Filing or later in **System Preferences**. If user management is enabled, users must always enter their user name and password to log on to File Manager.

To enable User Management subsequent to the installation of the software, go to **System Preferences** in File Manager.

Select the **Enable User Management** check box.

Click **Save**.

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

Create user names and passwords as required; see Users (p. 68).

## Enabling Folder Management

Folder management is not enabled by default. This option governs whether or not the **Folders** tab is active in **User Administration**; see Sharing folders with groups (p. 78).

To enable folder management, enable user management if it is not already enabled.

Then select the **Enable Folder Management** check box.

Click **Save**.

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

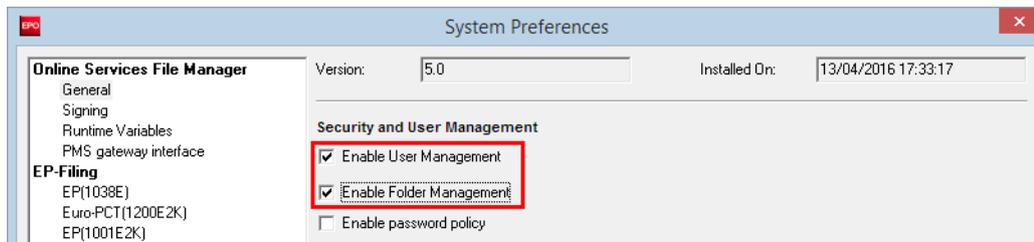


Figure 76: Enabling folder management after user management has been enabled

### 4.10.2 Password policy

If your company has a password policy for its network, you will be able to set up a similar policy in Online Filing should you wish to. That way, users are presented with a log-on method and style with which they are already familiar.

To enable password policy, user management has to be enabled by the Online Filing **Administrator** either during installation of the software or later in File Manager's **System Preferences**.

#### Enabling password policy when installing Online Filing

You can set up a password policy to protect access to Online Filing with a user name and password when installing the server or standalone version.

- This will enable user management and password policy at the same time.
- The master user **Administrator** is created.
- You are requested to enter a password for the master user **Administrator** that complies with the Online Filing default password policy.

For more information, please refer to the Online Filing Installation guide.

## Enabling password policy in File Manager

If required, you can enable user management and password policy in **System Preferences** subsequent to installation.

To enable user management and password policy, go to **System Preferences** in File Manager.

Select the **Enable User Management** check box.

The **Enable password policy** check box becomes available.

Select the **Enable password policy** check box as appropriate.

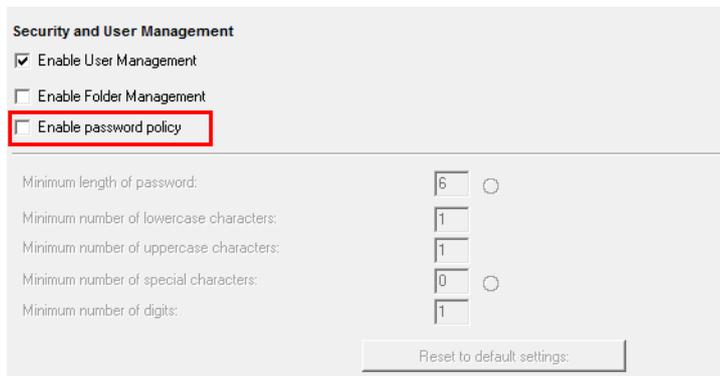


Figure 77: The password policy can be enabled if user management has been enabled

The password settings become editable.

To apply the Online Filing default settings, click **Save**

Password policy is activated when you restart File Manager.

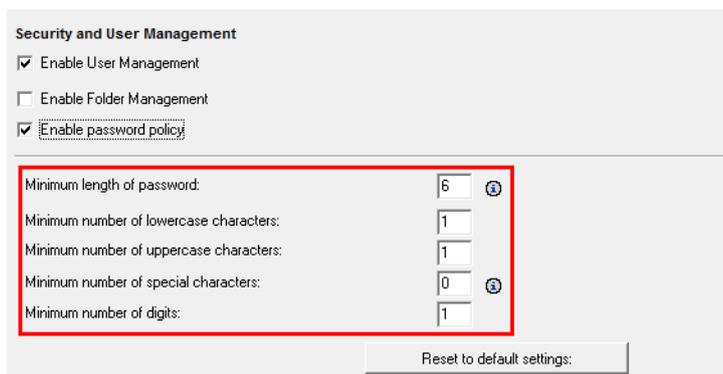


Figure 78: Enabling password policy with the default settings

**i** If you disable user management, password policy will also be disabled. The user accounts and passwords as well as the password policy settings, however, remain stored in the Online Filing database and will be activated again the next time user management and password policy are enabled.

## Defining a password policy

When defining a password policy in Online Filing, the following setting parameters apply:

1. The minimum password length is 6 characters, i.e. letters, special characters or digits.
2. The maximum password length is 20 characters. This means that a number between 6 and 20 is allowed in the **minimum length field**.
3. These special characters are allowed:  
**! # \$ % \* + , - . / : ; = ? @ [ \ ] ^ \_ { } ~**
4. The four minimum-number fields (lower-case letters, upper-case letters, special characters, digits) added together must not exceed the value entered as the minimum length of the password.

Example of a mismatch of password settings:

Enter **6** in the **Minimum length of password field**.

Enter **2** in each of the following fields: **Minimum number of lowercase characters**, **Minimum number of uppercase characters**, **Minimum number of special characters** and **Minimum number of digits**.

These four fields add up to **8**, which is greater than **6**.

Click **Save**.

You will see an error message prompting you to correct your settings.

## Changing your password policy

In File Manager, go to **System Preferences**.

Modify the field entries to match your password rules as required.

To display more helpful information about the fields, move your mouse pointer over the little  icons.

To discard your entries and return to the default values, click **Reset to default settings**.

To apply the new settings, click **Save**.

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

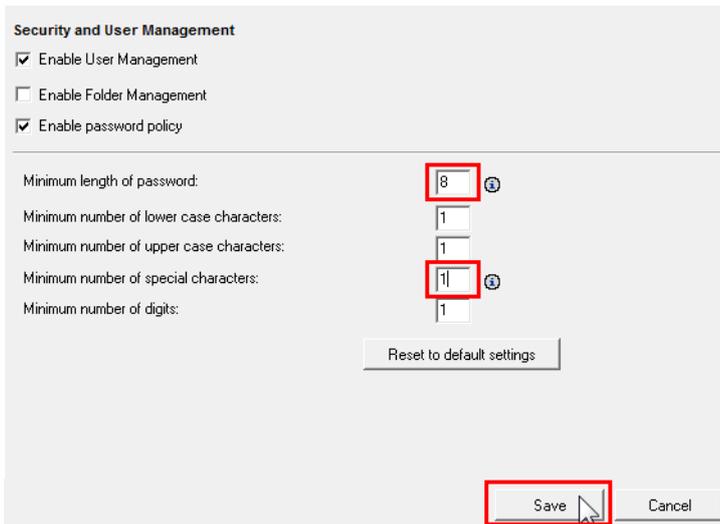


Figure 79: Modifying parameters to define your own password policy

If a user's password does not comply with the new password policy, he or she is prompted to provide a new password when logging on to File Manager the next time, see [Changing your password](#) (p. 71).

### 4.10.3 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.

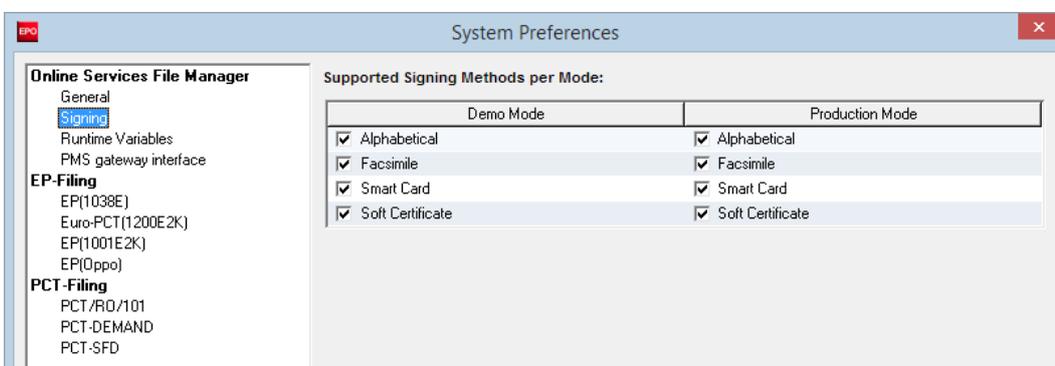


Figure 80: System preferences for signing

#### 4.10.4 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 **Fees** 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 open the drop-down list.

Select **True** or **False**.

Click somewhere else in the variables list to close the drop-down list.

Click **Save**.

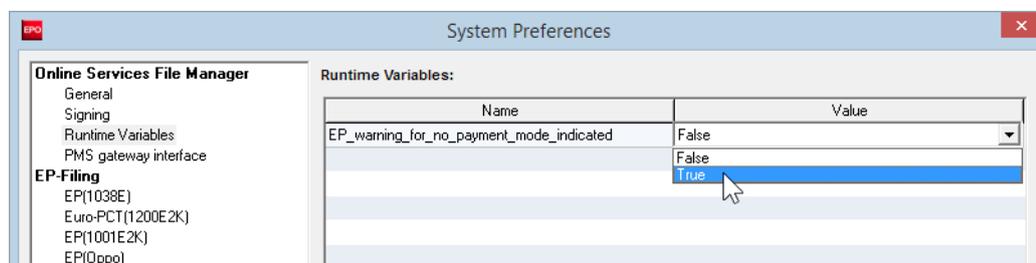


Figure 81: Changing the runtime variable to "True"

**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.

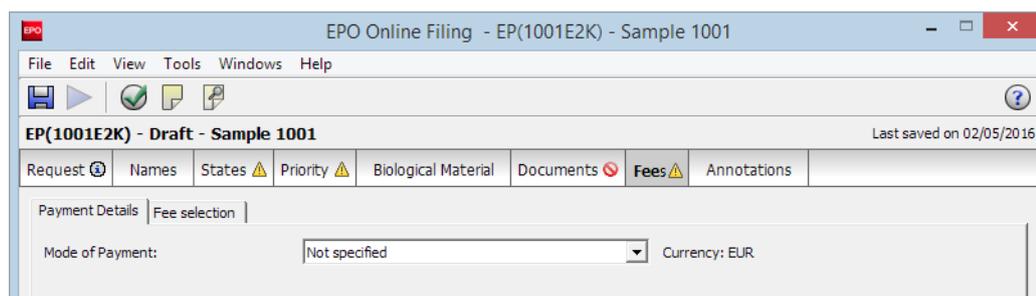


Figure 82: Yellow validation icon for the Fees tab after changing the runtime variable

#### 4.10.5 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 under **Online services > Online Filing**:

- Under **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 **Download documentation** (<http://www.epo.org/applying/online-services/online-filing/documentation.html>): Importing Data into Online Filing version 5 and higher

 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.

Click **PMS gateway interface**.

The default setting is **Not enabled**.

Select the **Smart card** option and enter **the smart card PIN code**.

 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.

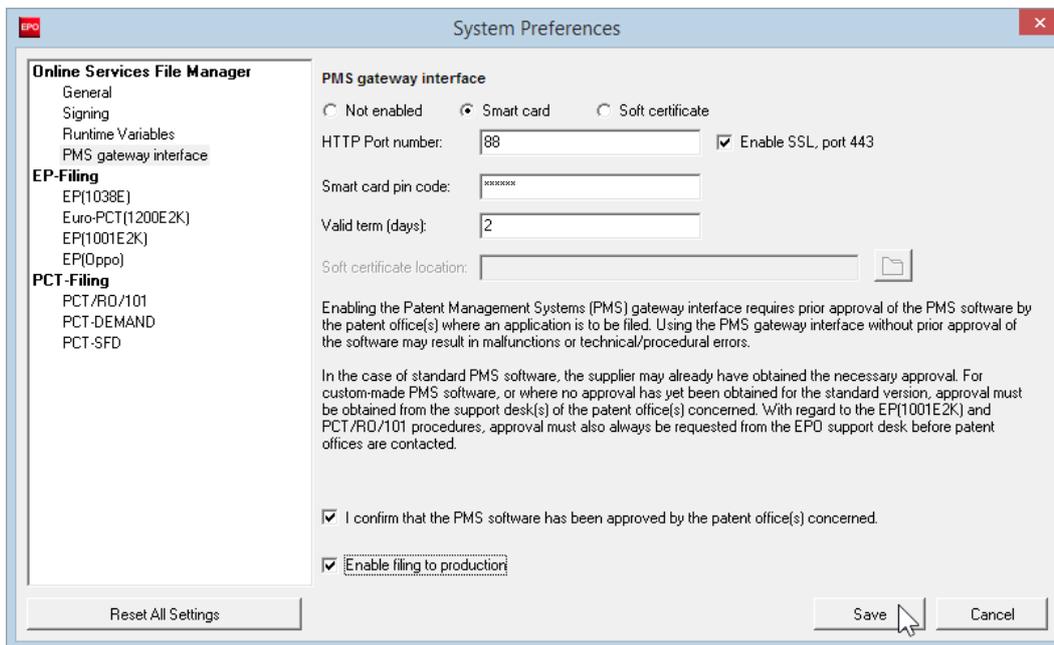


Figure 83: Settings for the PMS gateway interface when using a smart card

## 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 Customer Services at the EPO 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 check box **I confirm that the PMS software has been approved by the patent office(s) concerned.**

The check box **Enable filing to production allowed** activates after this confirmation.

**i** Do not select this check box 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.

### 4.10.6 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.

**i** 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.

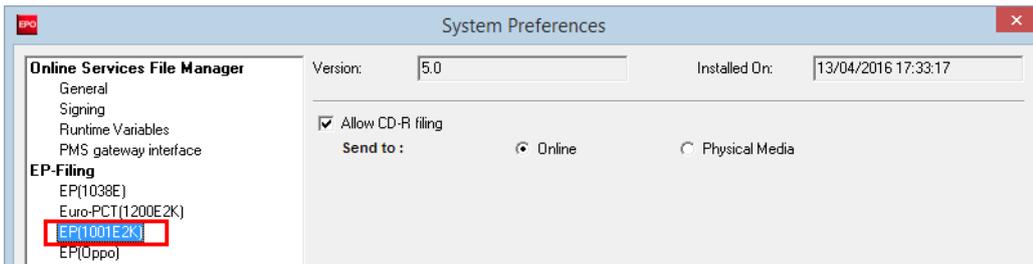


Figure 84: Settings for EP filing, "Online" send method

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

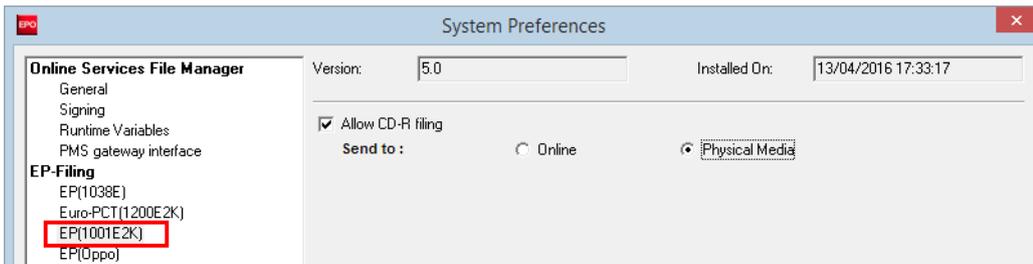


Figure 85: Settings for EP filing, "Physical Media" send method

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.

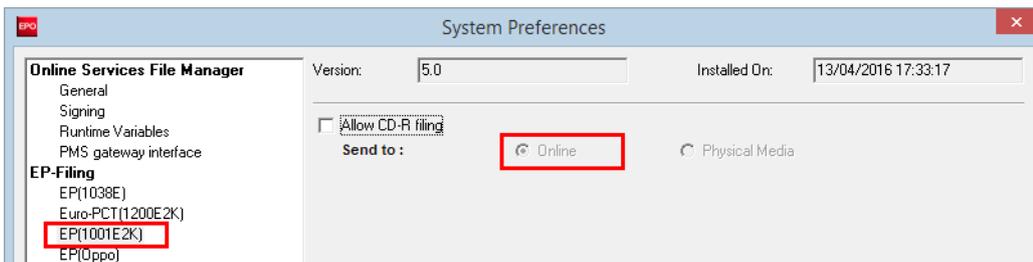


Figure 86: Settings for EP filing, CD-R filing not allowed

## 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.

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 enable **User Management** in File Manager 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 enabled, users are always prompted to log on with their user name and password when starting Online Filing.



**Attention:** Make sure you create a second user with full administrator rights, i.e. with authorisation to perform user administration. The **Administrator** user 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 the File Manager menu, click **Tools > User Administration**.

If the option is unavailable, go to **Tools > Preferences > Systems Preferences** and select the check box **Enable User Management**.

After enabling or disabling user management, restart File Manager.

Disabling user management does not mean that your existing user-rights configuration is deleted. If you enable user management again, the same user names and passwords apply as before.

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. 424) in the Server Manager section.

## Features in User Administration

There are five tabs in the **User Administration** window.



Tab	Description
<b>Users</b>	Entering details for individuals, creating passwords and assigning users to groups.
<b>Groups</b>	Creating groups based on company roles, or other criteria as appropriate.
<b>Profiles</b>	Creating lists of privileges for using the software.
<b>Mapping</b>	Assigning profiles to groups.
<b>Folders *)</b>	Assigning authorisations for individual folders to groups. *) The Folders tab is only active if the <b>Enable Folder Management</b> option is selected in System Preferences; see Security and user management (p. 59).

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.

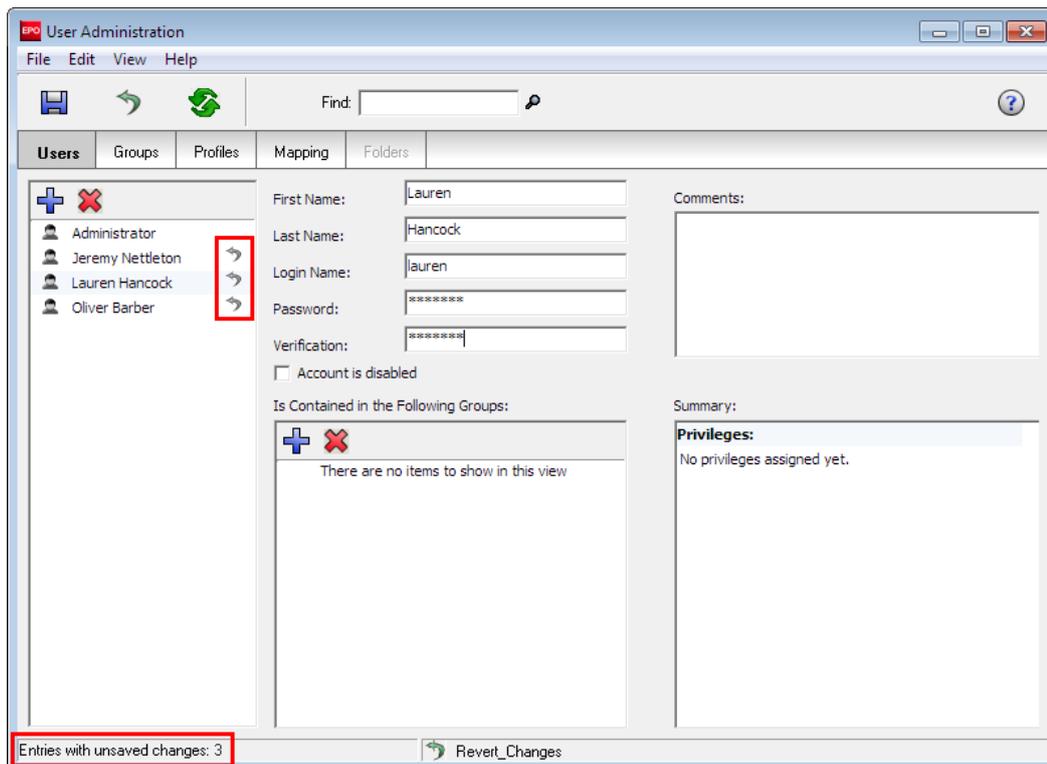


Figure 87: User Administration with unsaved entries

### 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.

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

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 as **Last saved** in the **info pane** – see *Previewing applications* (p. 31) – so it should be readily identifiable to all system users.

Enter a **password** for the new user.

Enter the password once again in the **Verification** field.

If password policy is enabled and your proposed password does not comply with it, you will be prompted to supply a new password once you click the **Verification** field; see *Changing your password* (p. 71).

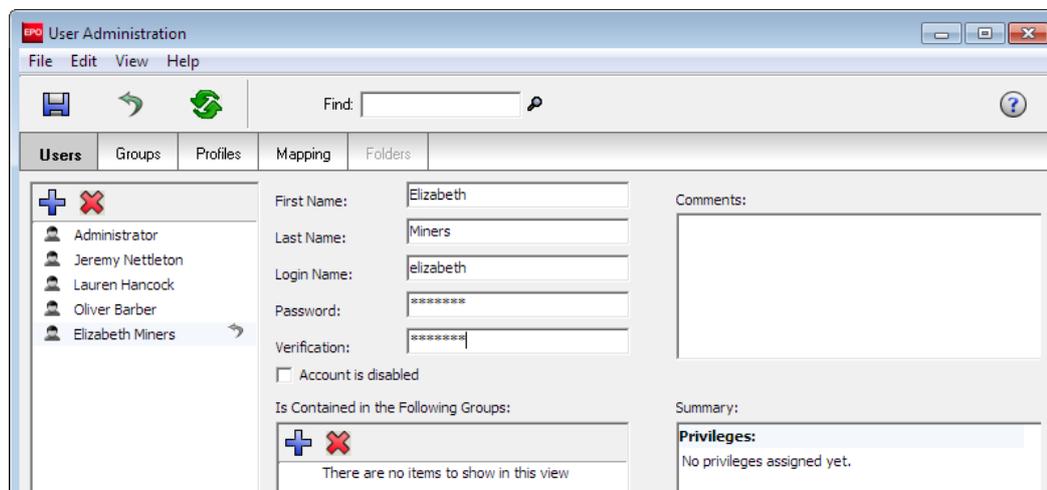


Figure 88: New user with login name

## 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 89: Adding users to a group

Finally click the **Save All** button.



## Modifying user data

The **Administrator** and other users with user-administration authorisation can change user data if necessary. For example, if a user forgets his or her password, the **Administrator** can create a new password for this user.

When users are logged in, they can change their password via **Tools > Change password**; see Changing your password (p. 71).

The **Administrator's** name and login name cannot be modified, however. These data fields are locked by default.

## 4.11.2 Unblocking users

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



Figure 90: 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** user 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

Select the blocked user in User Administration.

Clear the **Account is disabled** check box.

Click the **Save All** button.

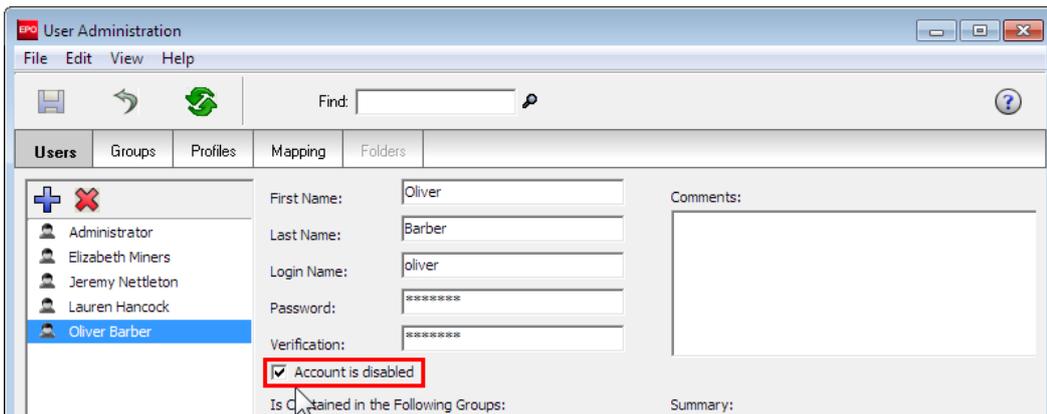


Figure 91: User is disabled and can be re-activated in User Administration

## Blocking a user account

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

Select 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:

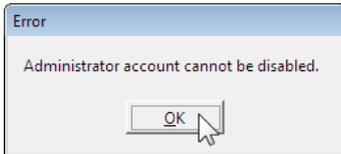


Figure 92: Message when starting User Administration with a blocked administrator account

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.

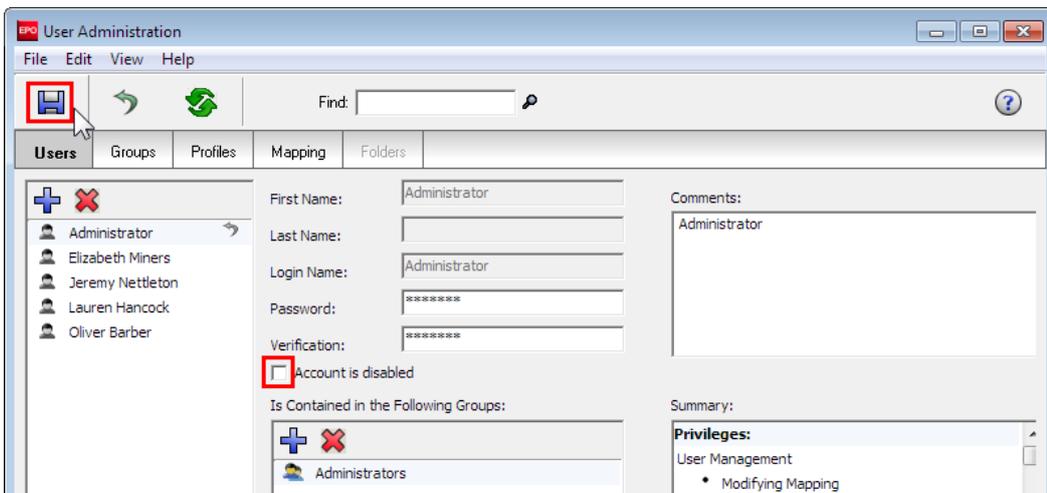


Figure 93: Removing the block on the "Administrator" user account

### 4.11.3 Changing your password

When you are logged on to File Manager you can change your password.

In the menu, click **Tools > Change password**.

The **Change password** window opens.

Enter your **old password**.

Enter your **new password**.

Enter your new password a second time to confirm.

Click **OK**.



Figure 94: Changing your password

### Applying password policy

If password policy is enabled and your new password does not comply with it, you are prompted to modify your new password after you click **OK** in the **Change password** window.

The same warning message appears if you log on to File Manager after the password policy has been changed and your old password no longer complies with it.

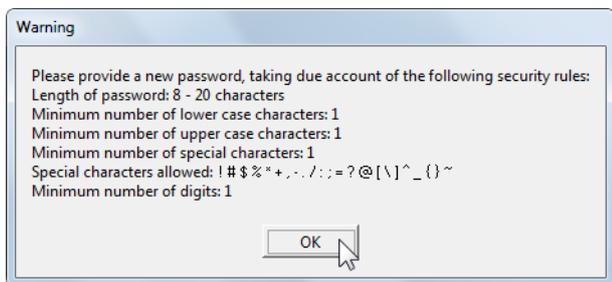


Figure 95: New password does not comply with the password policy

To close the warning message, click **OK**.

Edit your new password as required in the **Change password** window.

**i** Only the following special characters are allowed:  
! # \$ % \* + , - . / : ; = ? @ [ \ ] ^ \_ { } ~

For more information, please see Password policy (p. 60).

#### 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.

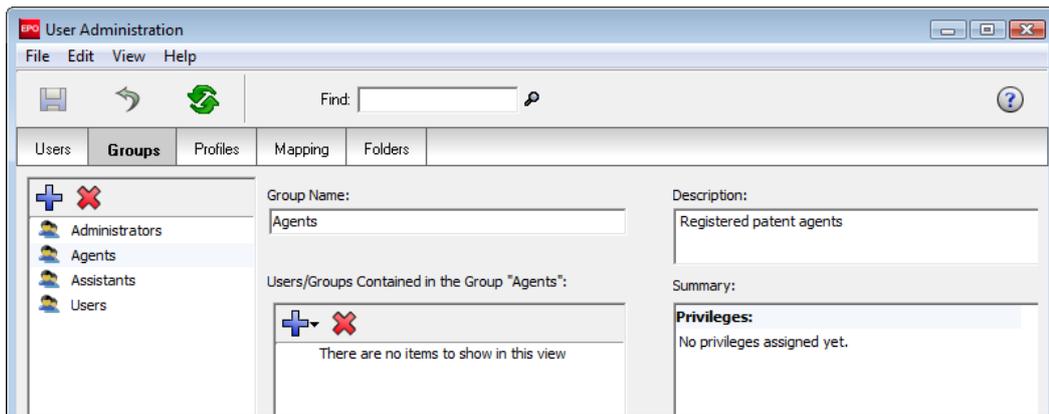


Figure 96: New group created

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**.

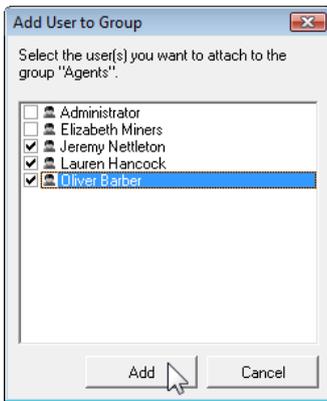


Figure 97: Selecting users to add to a group

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.

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.

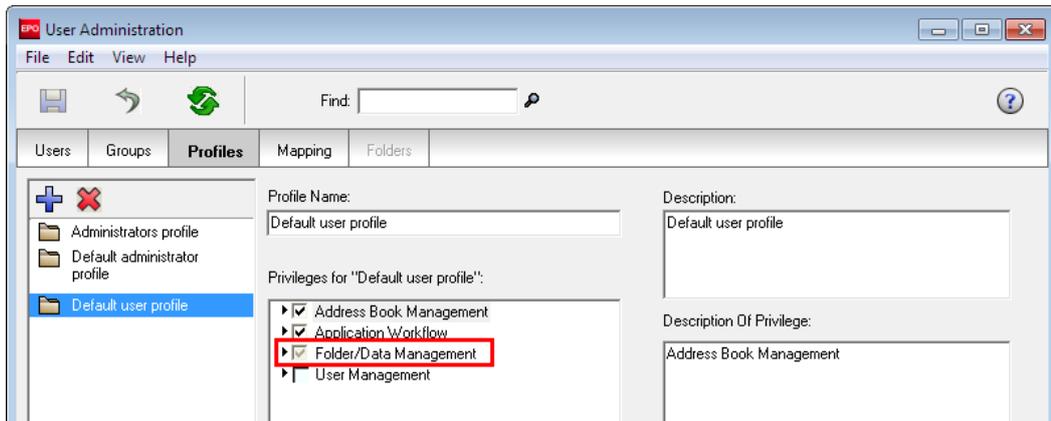


Figure 98: Individual privileges for "Default user profile" are deactivated under "Folder/Data Management"

## Creating profiles

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.

Under **Privileges for "<profile name>"**, double-click the text of the heading you wish to modify.

or

Double-click the small black pointer ▶ to the left of the heading.

Select the check boxes you require for this profile.

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 heading.

Enter a short description of the new profile in the **Description** field.

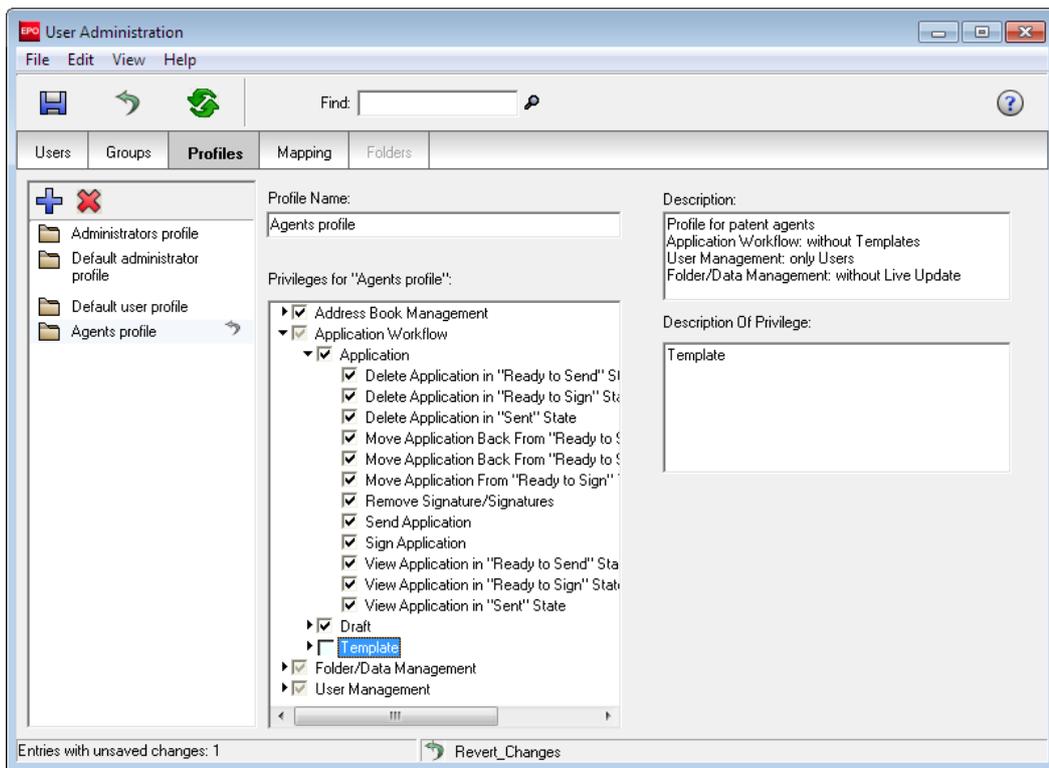


Figure 99: Edit privileges for profile

#### 4.11.6 List of privileges

Privilege	Description
<b>Address Book Management</b>	<b>Create, delete and edit entries in the Address Book.</b>
Create Contact	Add entry to Address Book.
Delete Contact	Remove entry from Address Book.
Edit Contact	Change details for an existing Address Book entry.
<b>Application Workflow</b>	<b>Control tracking and management of all activities from start to finish.</b>
<b>Application</b>	<b>Control activities on forms which can no longer be edited.</b>
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.

<b>Privilege</b>	<b>Description</b>
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.
<b>Draft</b>	<b>Control activities relating to applications which can still be edited.</b>
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.
<b>Template</b>	<b>Control activities relating to templates used to create new drafts.</b>
<b>Copy template</b>	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	<b>Control activities relating to external information, file maintenance and reference settings.</b>
Export/Import	<b>Control activities relating to information stored outside the Online Filing software application.</b>
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.
<b>File Manager</b>	<b>Control activities related to file maintenance and preference settings.</b>
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.

<b>Privilege</b>	<b>Description</b>
Empty Trash	Permanently delete any items in Trash folder.
Move To Folder	Change location where application is stored.
Rename Folder	Edit folder name.
<b>Live Update/Start Application</b>	<b>Control activities relating to Online Filing system updates.</b>
Use Live Update – Apply	Check for software updates.
Use Live Update – Download	Bring suggested updates into your local storage area.
<b>User Management</b>	<b>Control activities relating to setting up user and group profiles and assigning system privileges in Tools &gt; Administration.</b>
<b>Group</b>	<b>Control activities relating to defining and managing groups of users.</b>
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.
<b>Modify Mapping</b>	<b>Control activities relating to applying privileges to groups and individuals.</b>
<b>Profile</b>	<b>Control activities relating to assigning and maintaining lists of privileges for users and groups.</b>
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.
<b>User</b>	<b>Control activities relating to maintaining list of system users.</b>
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.

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.



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.

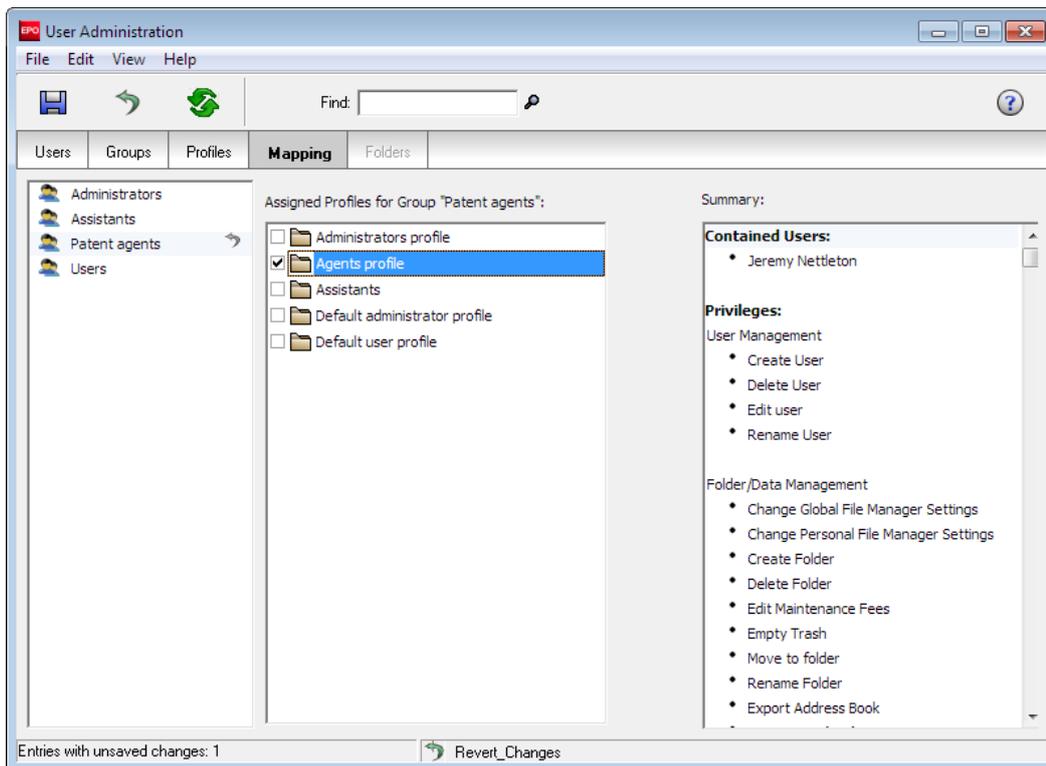


Figure 100: Check privileges after mapping profiles to groups

#### 4.11.8 Sharing folders with groups

In the **Folders** tab, you can define which of the user-defined folders in File Manager may be accessed by which user group.

The **Folders** tab is only active if the **Enable Folder Management** check box is selected in the System Preferences; see Security and user management (p. 59).

##### Default folder rights

1. The system folders **All Applications**, **Default Folder**, **Forms**, **Templates** and **Trash** are visible to all users.
2. The items contained in the **Default Folder** and **Templates** folder are accessible to all users.
3. The items contained in **All Applications** and **Trash** are only accessible to the user who created them and to the **Administrators** group. For example, if a user creates an application and moves it to the **Trash** folder, only this user or a member of the **Administrators** group can see that item.
4. The user-defined folders are accessible only to the user who created them and to the **Administrators** group. The same applies for sub-folders in user-defined folders and for sub-folders in the **Templates** folder.

##### Assigning folders to a group

To make a user-defined folder and its contents accessible to other users, a user with user management authorisation can assign this folder to a specific user group.

In **User Administration**, click the **Folders** tab.

All user-defined folders that were created in File Manager are listed in the window's central pane.

Click a group name on the left.

The folders and sub-folders that are currently accessible to the selected group are shown on the right.

To assign another folder to the selected group, select the corresponding check box in the central pane.

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

To assign individual sub-folders to the selected group, double-click the relevant parent folder.

The sub-folders are displayed.

Select the check boxes for the relevant sub-folders, including sub-folders in the **Templates** folder.

Finally click the **Save All** button.



The selected folders and sub-folders are then displayed on the right. This sequence corresponds to the order in which the selected user group will see the folders in File Manager.

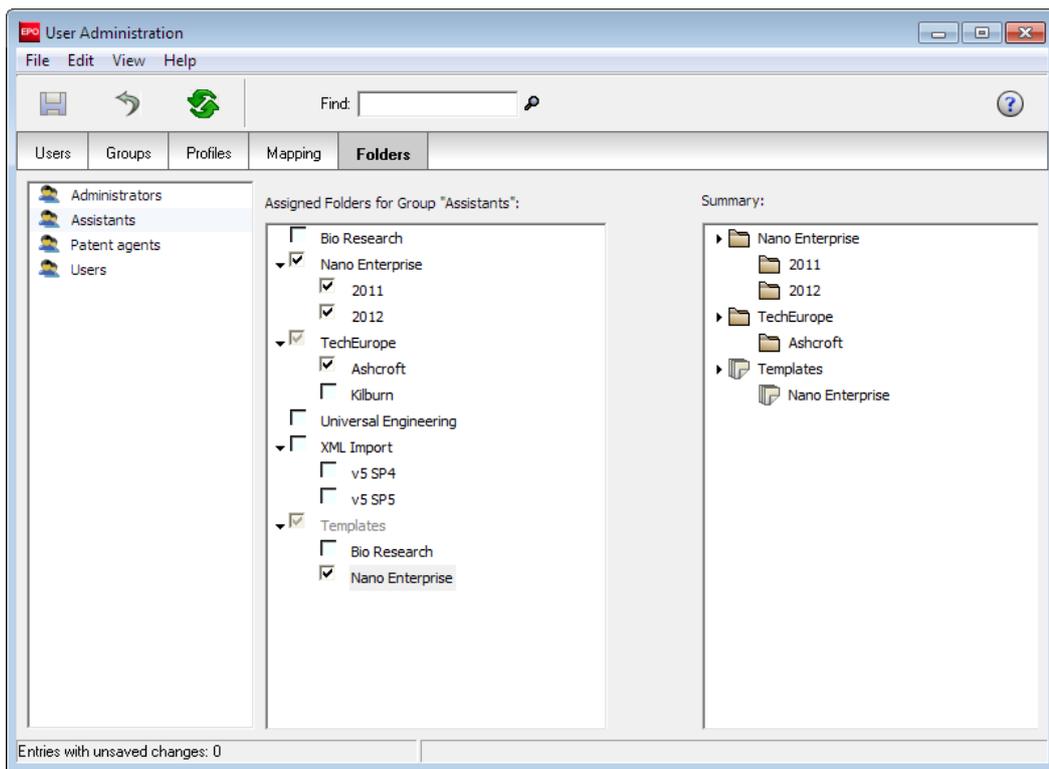


Figure 101: Assigning folders to a group

The assigned folders are then displayed for the users from the selected user group when they log on to File Manager.

In this example, the sub-folder **2013** was subsequently created. Because its parent folder, **Nano Enterprise**, has been assigned to the **Assistants** group, the new sub-folder is also automatically shared to the **Assistants** group.

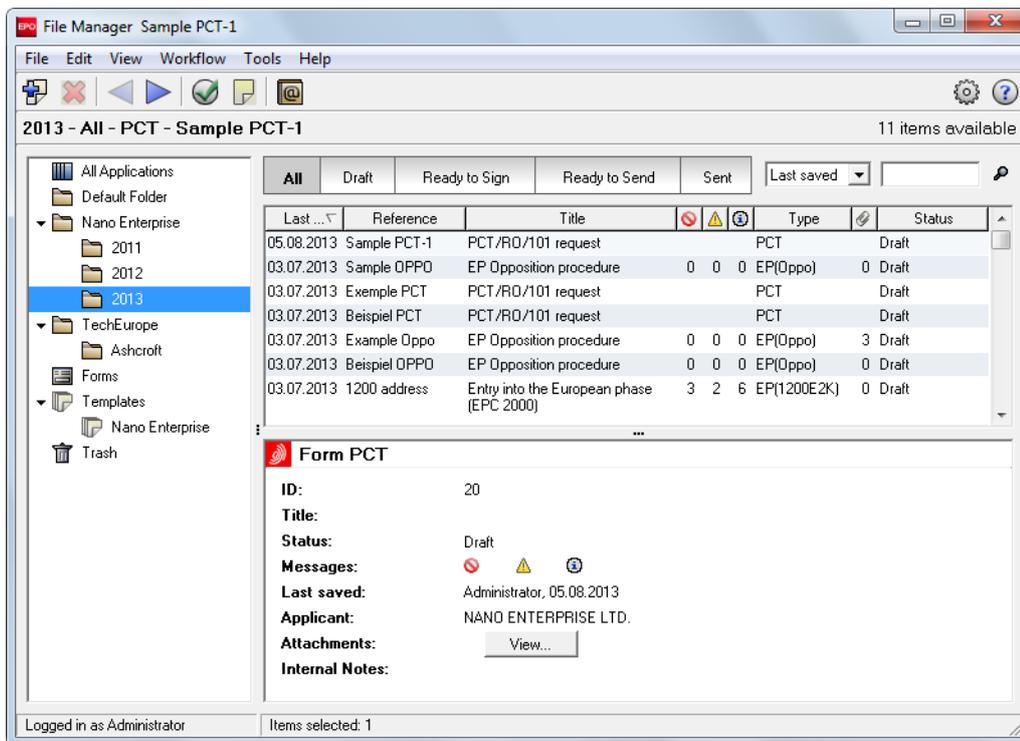


Figure 102: Folders visible to a user through group sharing

## 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 **Fees** tab of the EP forms when a new application is created.

Online Filing does not allow you to create your own fee tables or delete EPO fee tables. The  and  buttons are therefore deactivated.

### Viewing fee tables

In the File Manager menu, click **Tools > Fee Management**.

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.

EPO Fee Management

File Edit View Help

Currency: EUR Valid as of: 1 April 2019

Kind of Fee	Amount	New amount
001 Filing fee online	120.00	120.00
002 Fee for (supplementary) European search for applications filed on/after 01.07.2005	1,300.00	1,300.00
003 Fee for an international search	0.00	0.00
004 Fee for an international-type search	0.00	0.00
005 Designation fee for each state designated (max. 7x)	100.00	100.00
006 Examination fee - For applications filed on/after 01.07.2005	1,635.00	1,635.00
007 Fee for grant + printing not more than 35 pages	925.00	925.00
008 Printing fee for the 36th and each subsequent page	15.00	15.00
009 Fee for printing a new specification of the patent	75.00	75.00
010 Opposition fee	785.00	785.00
011 Appeal fee for an appeal filed by an entity other than those referred to in Rule 6(4) and (5) EPC	2,255.00	2,255.00
012 Fee for further processing	0.00	0.00
013 Fee for re-establishment of rights	640.00	640.00
014 Conversion fee	75.00	75.00
015 Claims fee for 16th up to 50th claim	235.00	235.00
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)	235.00	235.00

EPO Fee Management

File Edit View Help

Currency: EUR Valid as of: 1 April 2014

Kind of Fee	Amount	New amount
001 Filing fee online	120,00	120,00
002 Fee for (supplementary) European search for applications filed on/after 01.07.2005	1.285,00	1.285,00
003 Fee for an international search	0,00	0,00
004 Fee for an international-type search	0,00	0,00
005 Designation fee for each state designated (max. 7x)	100,00	100,00
006 Examination fee - For applications filed on/after 01.07.2005	1.620,00	1.620,00
007 Fee for grant + printing not more than 35 pages	915,00	915,00
008 Printing fee for the 36th and each subsequent page	15,00	15,00
009 Fee for printing a new specification of the patent	75,00	75,00
010 Opposition fee	775,00	775,00
011 Appeal fee	1.860,00	1.860,00
012 Fee for further processing	0,00	0,00
013 Fee for re-establishment of rights	635,00	635,00
014 Conversion fee	75,00	75,00
015 Claims fee for 16th up to 50th claim	235,00	235,00
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)	235,00	235,00
017 Fee for the awarding of costs	75,00	75,00

Figure 103: Fee groups

## Modifying fee amounts

The EPO always releases the latest revision of fees for manual download and for installation via Live Update (p. 417). 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.



EPO Fee Management

File Edit View Help

Currency: EUR Valid as of: 1 April 2019

Kind of Fee	Amount	New amount
001 Filing fee online	120.00	120.00
002 Fee for (supplementary) European search for applications filed on/after 01.07.2005	1,300.00	1,300.00
003 Fee for an international search	0.00	0.00
004 Fee for an international-type search	0.00	0.00
005 Designation fee for each state designated (max. 7x)	100.00	100.00
006 Examination fee - For applications filed on/after 01.07.2005	1,635.00	1,635.00
007 Fee for grant + printing not more than 35 pages	925.00	925.00
008 Printing fee for the 36th and each subsequent page	15.00	16
009 Fee for printing a new specification of the patent	75.00	75.00
010 Opposition fee	785.00	785.00
011 Appeal fee for an appeal filed by an entity other than those referred to in Rule 6(4) and (5) EPC	2,255.00	2,255.00
012 Fee for further processing	0.00	0.00
013 Fee for re-establishment of rights	640.00	640.00
014 Conversion fee	75.00	75.00
015 Claims fee for 16th up to 50th claim	235.00	235.00
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)	235.00	235.00

EPO Fee Management

File Edit View Help

Currency: EUR Valid as of: 1 April 2014

Kind of Fee	Amount	New amount
001 Filing fee online	120,00	120,00
002 Fee for (supplementary) European search for applications filed on/after 01.07.2005	1.285,00	1.285,00
003 Fee for an international search	0,00	0,00
004 Fee for an international-type search	0,00	0,00
005 Designation fee for each state designated (max. 7x)	100,00	100,00
006 Examination fee - For applications filed on/after 01.07.2005	1.620,00	1.620,00
007 Fee for grant + printing not more than 35 pages	915,00	915,00
008 Printing fee for the 36th and each subsequent page	15,00	12
009 Fee for printing a new specification of the patent	75,00	75,00
010 Opposition fee	775,00	775,00
011 Appeal fee	1.860,00	1.860,00
012 Fee for further processing	0,00	0,00
013 Fee for re-establishment of rights	635,00	635,00
014 Conversion fee	75,00	75,00
015 Claims fee for 16th up to 50th claim	235,00	235,00
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)	235,00	235,00
017 Fee for the awarding of costs	75,00	75,00

Figure 104: New fee amount entered

## 4.13 Maintenance table viewer

The maintenance tables allow you to view lists of standard data, e.g. filing offices and depository institutions. Maintenance tables cannot be edited. The EPO makes changes available via Live Update.

In the File Manager menu, click **Tools > Maintenance Table Viewer**, 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.

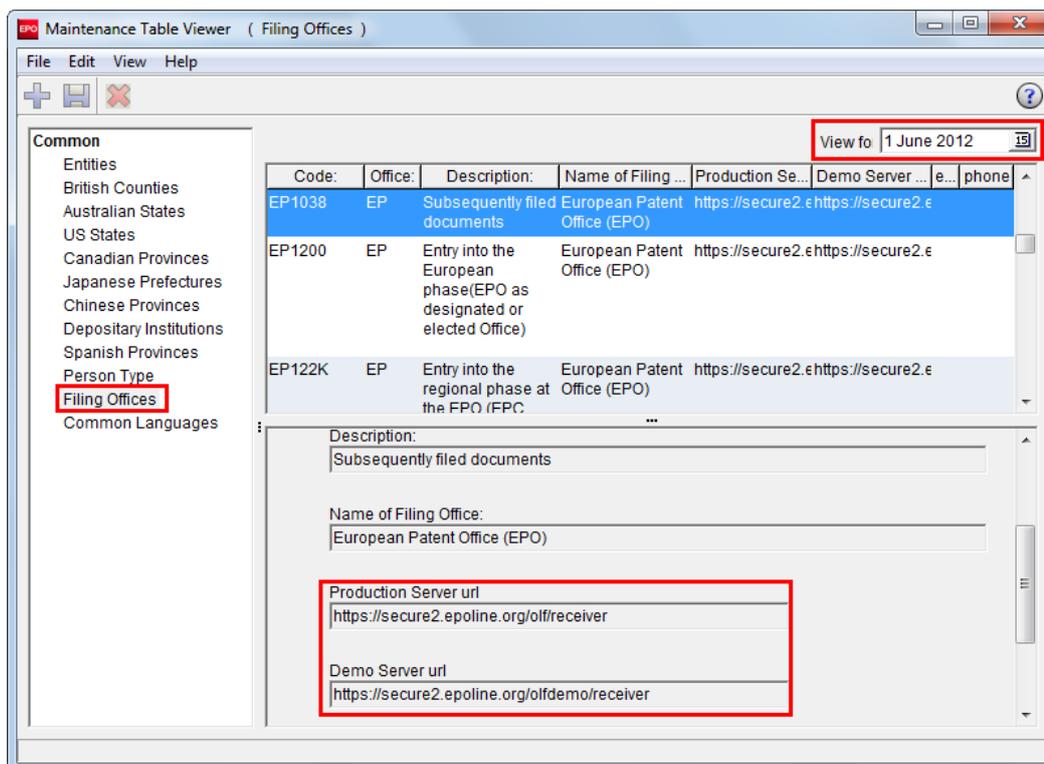


Figure 105: Common Maintenance, Filing Offices Table

## 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. 86).
- 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. 88).
- The application is sent to the receiving office, either electronically or physically; see Sending applications (p. 102).
- Applications and templates can be exported from Online Filing for backup and archiving purposes; see Exporting data from Online Filing (p. 105).
- 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. 110).

### 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
<b>PDF</b>	All document types, default option	EP, PCT
<b>XML (PatXML)</b>	Patent specification; prepared with the PatXML Software, including referenced JPG or TIF images	EP(1001E2K), PCT/RO/101
<b>TIFF (TIF)</b>	Facsimile signature	EP
<b>JPEG (JPG)</b>	Facsimile signature	EP, PCT
<b>TIFF (TIF)</b>	All document types	PCT
<b>JPEG (JPG)</b>	All document types	PCT
<b>TXT</b>	Sequence listing ST.25	EP, PCT
<b>ZIP</b>	Pre-conversion archive, sequence listing ST.25 or ST.26	EP, PCT
<b>XML</b>	Sequence listing ST.26	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 file type 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/>).
- **WIPO Sequence** (WIPO)  
On 1 July 2022, WIPO Standard ST.26 will enter into force. For applications with a filing date on or after 1 July 2022, sequence listings should be filed in ST.26. To create sequence listings compliant with the new standard, you should use WIPO Sequence (<https://www.wipo.int/standards/en/sequence/index.html>)

Images which are part of the technical documents are referenced in the XML file 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 format is suitable for all documents containing text or images. For example, you can save additional descriptions and notes relating to your application to PDF files 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

- All fonts must be embedded and licensed for distribution (exception: Base 14 fonts are accepted even if they are not embedded).
- The text in the PDF file must not be compressed, to facilitate searching.
- The PDF file must not be encrypted.
- The PDF file must be version 1.1 (or later)
- The PDF file must not contain any embedded OLE objects.
- The paper size in the PDF file may exceed A4 or US letter format by up to 5%, so, sizes up to 312 mm by 227 mm or 12.28" by 8.94" are accepted. Online Filing issues a warning if the document's paper size is larger and will not attach the PDF file.
- A mixture of landscape and portrait formats is allowed in a 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.

## Rules for DOCX documents

- **DOCX** (file type **.docx**)
  - Technical documents. Description, claims, abstract and drawings.
  - Where required, any translation of the description, claims, abstract and drawings.
  - Amendments, corrections and rectifications of the description, claims, abstract and drawings, and any translation thereof.
  - As a complete set, in a single DOCX file: description, claims and abstract with or without drawings.
  - Individually, in multiple DOCX files: description, claims, abstract or drawings.

Please refer to the EPO's website for more information about the file format DOCX (<http://www.epo.org/applying/online-services/improving/docx-filing.html>).

### **Creating ZIP archives for attachment as pre-conversion archive**

You can create ZIP files by using archiving software such as WinZip or WinRAR. However, the easiest method is to use the **Send to** option in Windows Explorer:

Select the files or folders you wish to archive.

Right-click the selection and from the shortcut menu select **Send to > Compressed (zipped) folder**.

The selected files or folders are packed into a new ZIP file.



The EPO does not recognise documents as legally binding if they are exclusively filed as part of a ZIP archive. To be accepted as legally binding filings, the official patent documents must always be attached as PDF or ST.26 files under the correct document type.

## **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. 91).

#### **2. Facsimile**

An electronic file containing a scanned image of a handwritten signature is attached to the application; see Facsimile signatures (p. 93).

#### **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. 95).

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.

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](http://archive.epo.org/epo/pubs/oj009/03_09/03_1829.pdf))

## 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.

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:

In the open application, click **File > Save As > Ready to Sign**.

The form view closes, leaving the application in **Ready to sign** status in File Manager.

or

In File Manager, select the application and click the **Next** button (the tool-tip indicates "Ready to sign")

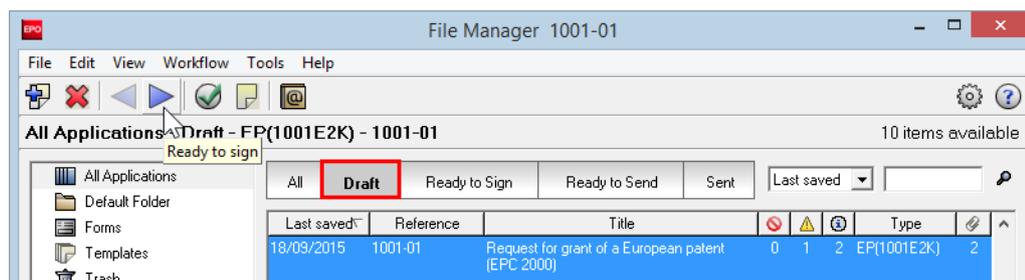


Figure 106: Moving an application from "Draft" to "Ready to Sign" status

## 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.

Double-click the application.

or

Select the application and click the **Next** button (the tool-tip indicates "Sign").

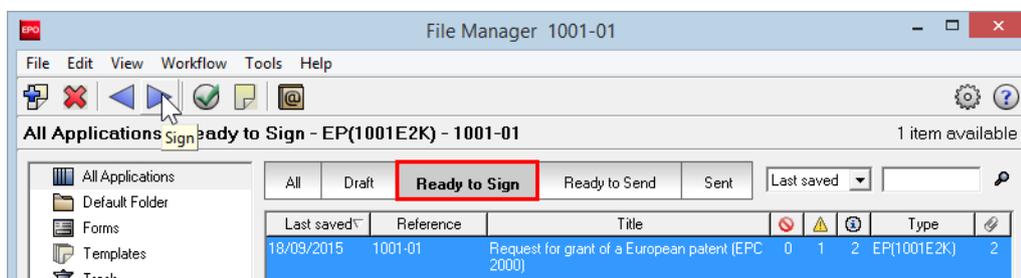


Figure 107: Starting the signing process from File Manager

## 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. 56) in User Preferences. This means that the signing dialog will be opened immediately.

In the menu, click **File > Save As > Ready to Sign and Sign**.

or

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

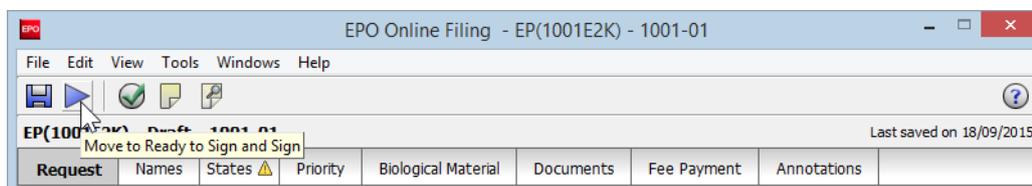


Figure 108: Tool-tip "Move to Ready to Sign and Sign"

Form PCT/RO/101 provides different functions; see Processing the PCT/RO/101 application (p. 339) in the section on PCT/RO/101 or in the online help for form PCT/RO/101.

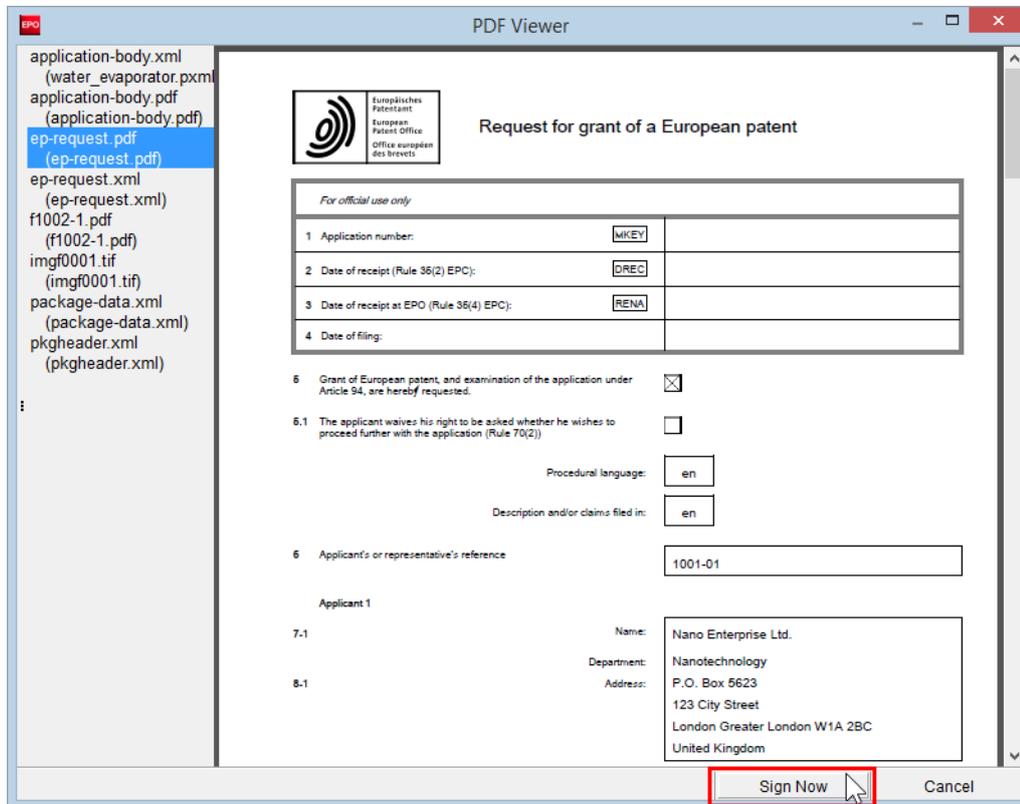
## Signing

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.

To proceed, 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.



The screenshot shows a PDF Viewer window titled "PDF Viewer" with a file list on the left and a form titled "Request for grant of a European patent" in the center. The form is for official use only and contains the following fields:

For official use only	
1 Application number:	MIKEY
2 Date of receipt (Rule 36(2) EPC):	DREC
3 Date of receipt at EPO (Rule 36(4) EPC):	RENA
4 Date of filing:	

Below the table, there are several checkboxes and dropdown menus:

- 6 Grant of European patent, and examination of the application under Article 94, are hereby requested.
- 6.1 The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70(2))
- Procedural language: en
- Description and/or claims filed in: en
- 6 Applicant's or representative's reference: 1001-01
- Applicant 1
- 7-1 Name: Nano Enterprise Ltd.
- Department: Nanotechnology
- 8-1 Address: P.O. Box 5623, 123 City Street, London Greater London W1A 2BC, United Kingdom

At the bottom right of the form, there are two buttons: "Sign Now" (highlighted with a red box) and "Cancel".

Figure 109: 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.

The attorney applies their alphabetical 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**.

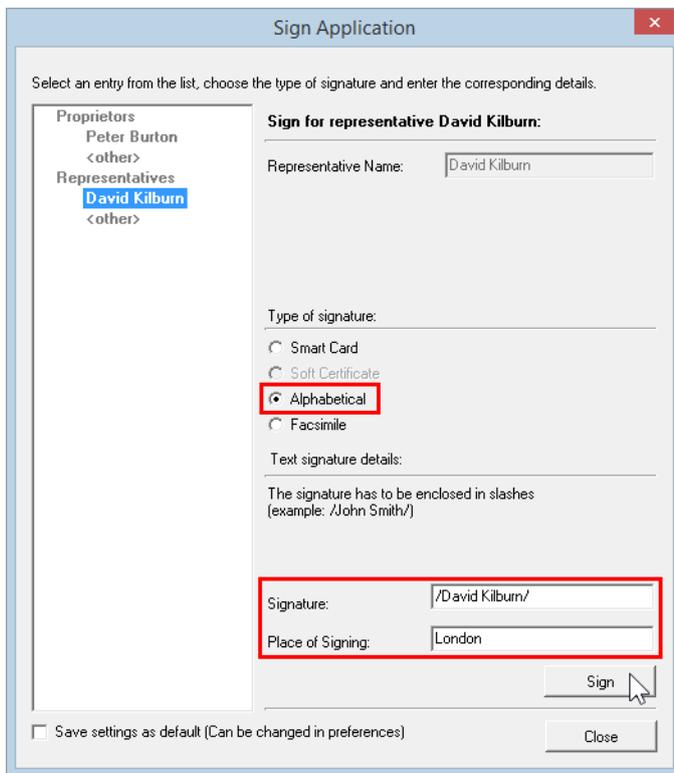


Figure 110: Applying alphabetical signature for the representative

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

Click **OK**.

The missing slashes are automatically inserted by the software.



Figure 111: Note on alphabetical signature

## 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. 56) in the User Preferences.

Click **Close** when ready.

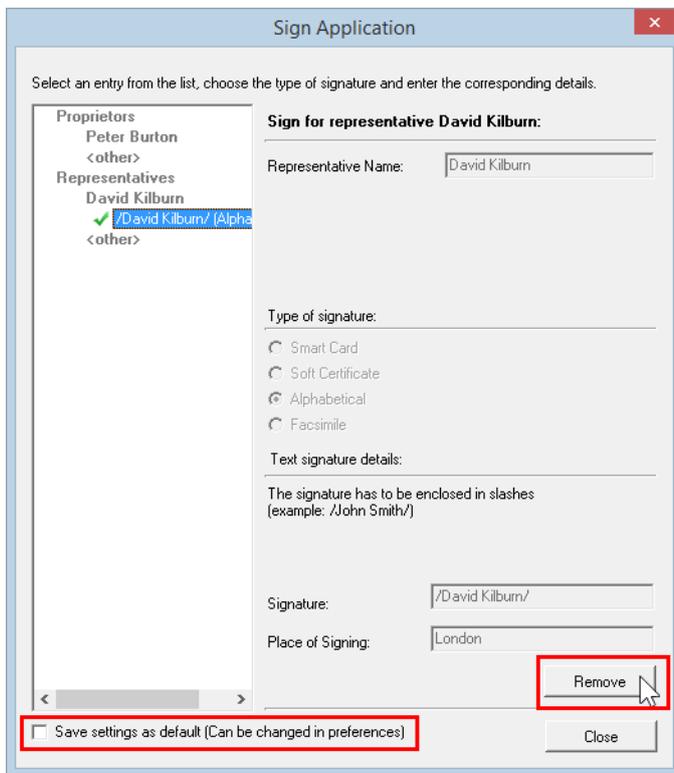


Figure 112: Other options in the Sign Application window

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



Figure 113: 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. 86).

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.

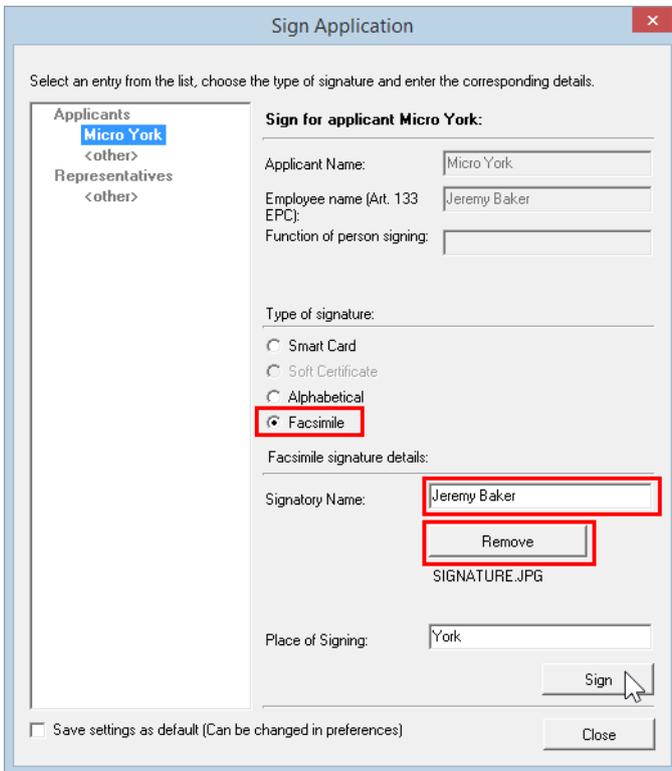


Figure 114: Facsimile signature for the applicant's employee attached in JPG format

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



Figure 115: 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 (Cryptovision) with the smart card PIN.



Figure 116: Inserting smart card into card reader

#### Security information

When an attorney leaves a company, the company should inform Customer Services 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.

**i** 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.

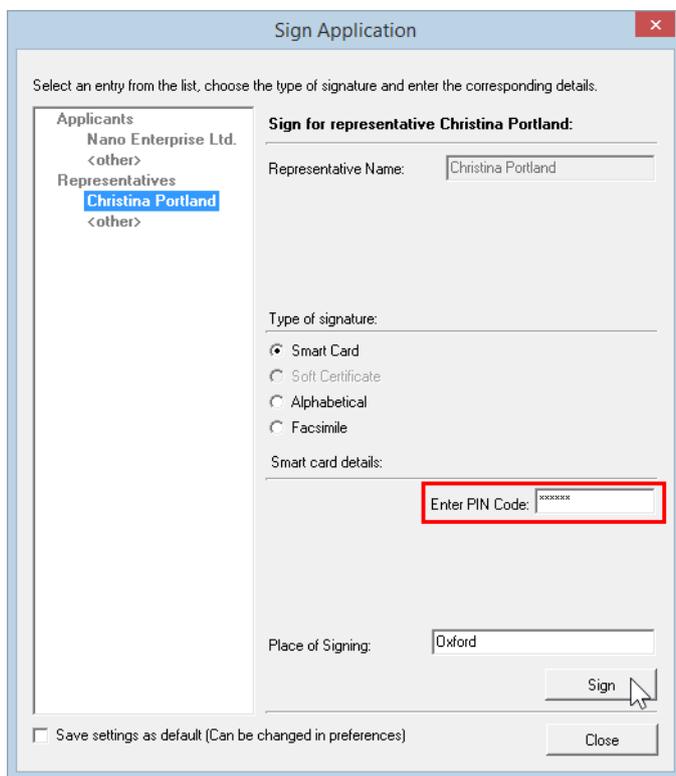
Under **Type of signature**, select **Smart Card**.

Insert your personal smart card into the reader connected to your PC; see Checking the smart card (p. 98).

Enter your **PIN code**.

Enter the **Place of signing** (optional).

Click **Sign**.



The screenshot shows the 'Sign Application' dialog box. On the left, there is a tree view with 'Applicants' (Nano Enterprise Ltd.) and 'Representatives' (Christina Portland). The 'Sign for representative Christina Portland:' section contains a 'Representative Name' field with 'Christina Portland'. The 'Type of signature:' section has radio buttons for 'Smart Card' (selected), 'Soft Certificate', 'Alphabetical', and 'Facsimile'. The 'Smart card details:' section has an 'Enter PIN Code:' field with a red box around it and a masked PIN 'xxxxxx'. The 'Place of Signing:' field contains 'Oxford'. At the bottom, there are 'Sign' and 'Close' buttons, and a checkbox for 'Save settings as default (Can be changed in preferences)'.

Figure 117: 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 dialog. 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**.

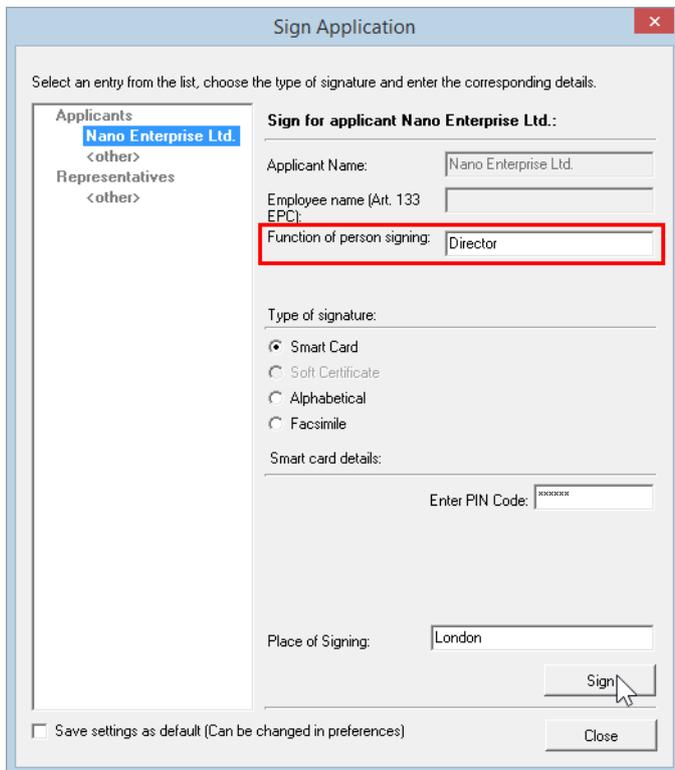


Figure 118: The director of a company signs as a legal applicant

### 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**.

Sign Application

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

Opponents  
Parker & Partners  
<other>  
Representatives  
<other>

Sign for applicant Parker & Partners:

Applicant Name: Parker & Partners

Employee name (Art. 133 EPC): Linda Morgan

Function of person signing:

Type of signature:

Smart Card  
 Soft Certificate  
 Alphabetical  
 Facsimile

Smart card details:

Enter PIN Code: \*\*\*\*\*

Place of Signing: Dover

Save settings as default (Can be changed in preferences)

Sign Close

Figure 119: 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 File Manager, i.e. the Online Filing client.

Smart Card Checker makes work easier for users signing with different types of smart card issued by different national patent offices. Smart Card Checker 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.

Smart Card Checker starts at the same time as 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 120: Programme icons in the Windows system tray

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 121: Check smart card

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

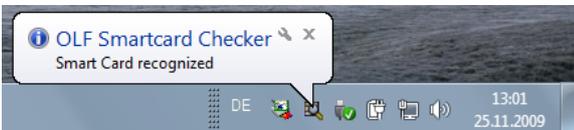


Figure 122: Smart card recognized

If no smart card reader is connected to your computer, if the smart card is not properly inserted or if it is invalid, 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.

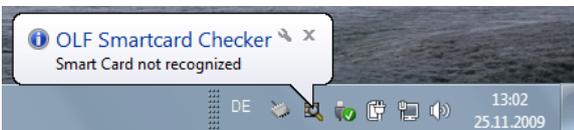


Figure 123: Smart card not recognized

## 5.2.5 Soft certificates

 The EPO does not currently accept soft certificates as an electronic signature for filings to the EPO server. Other offices may, however, accept them for online filing. 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 as files of type **.p12** or **.pfx**.

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

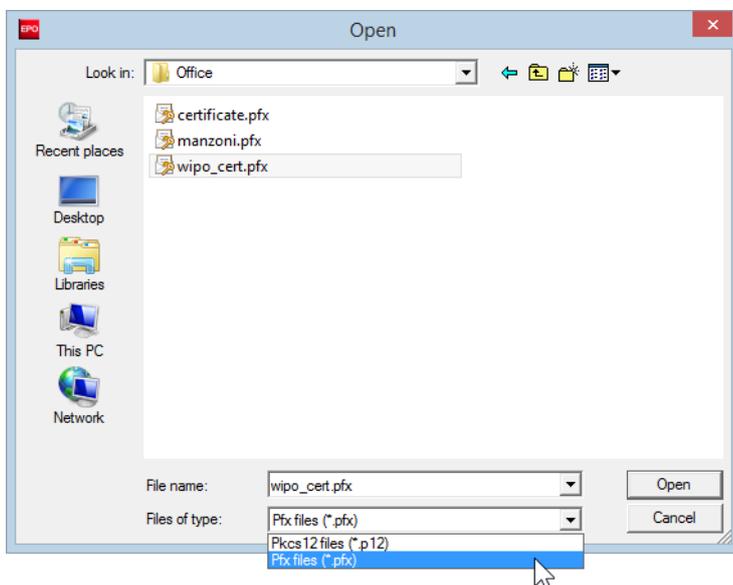


Figure 124: Selecting the soft certificate for digital signing

The button label changes to **Remove**.

Enter the **PIN code**.

Enter the **Place of signing** (optional).

Click **Sign**.

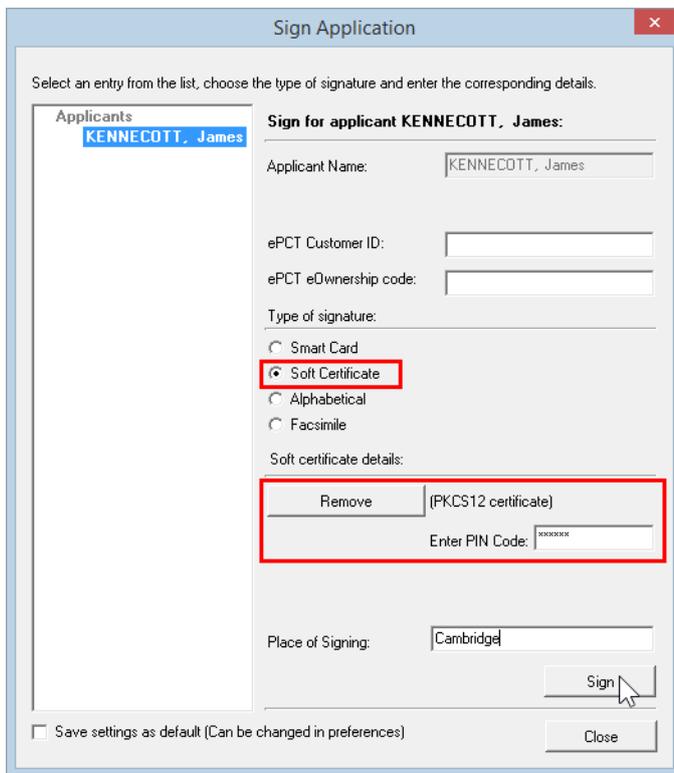


Figure 125: Applicant signing with soft certificate and PIN code

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

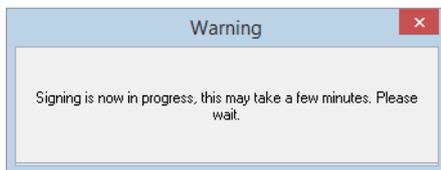


Figure 126: Message window that appears when the electronic signature is being created with a soft certificate

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).

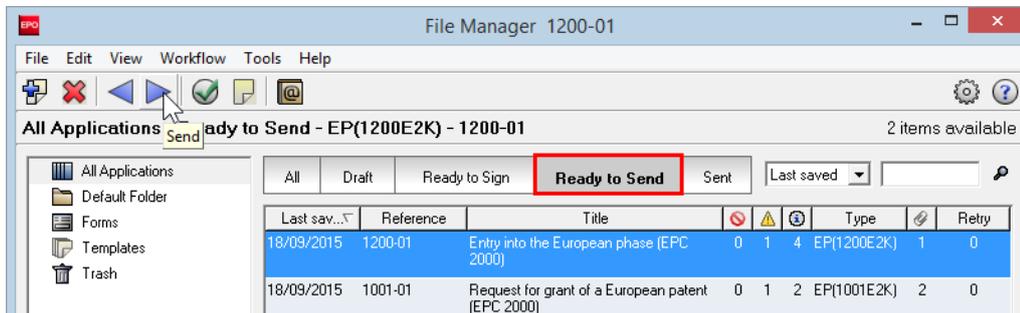


Figure 127: Moving the application to "Send" in the workflow requires the signature for non-repudiation

The window **Please sign for non-repudiation** opens.

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**.

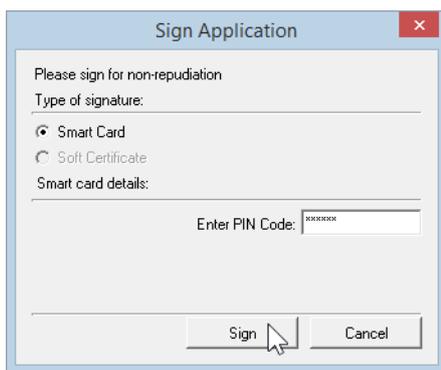


Figure 128: Signing for non-repudiation

The application is signed for non-repudiation and the sending dialog 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 the **Ready to send** status button.

Select the application you wish to send.

Click the **Next** workflow button ("Send" is displayed as the tool-tip).

The next dialog 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 129: Sending application to demo server

In the **Please enter PIN** window, enter your PIN and then click **OK**.

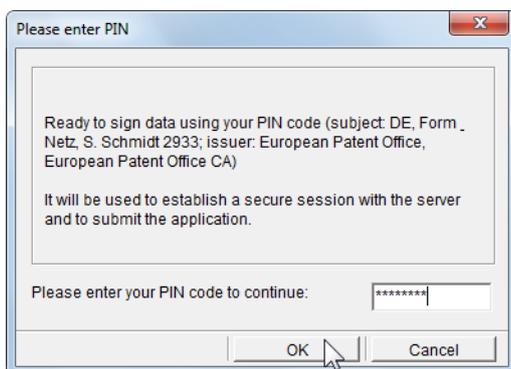


Figure 130: Entering PIN

The application is now sent to the EPO.

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

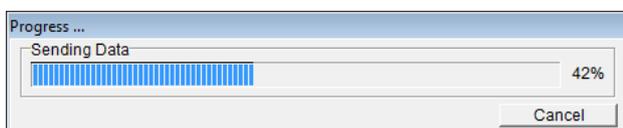


Figure 131: Progress indicator while sending application

### 5.3.1 Viewing receipts

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

Click **Yes** to see the PDF version of the receipt.

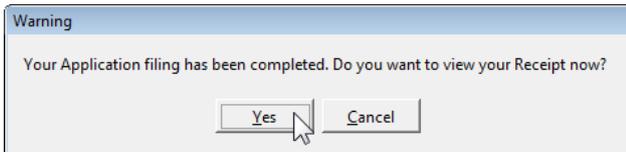


Figure 132: Message with option to view receipt

The acknowledgement of receipt opens in the **PDF Viewer**. The acknowledgement 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 file** icon in the PDF Viewer, or you can save a copy to your PC using the **Save file** icon.

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

Any time you want to view a receipt again, select the application in File Manager and click **View ...** in the **info pane**.

or

In the menu, click **View > List of attached documents**.

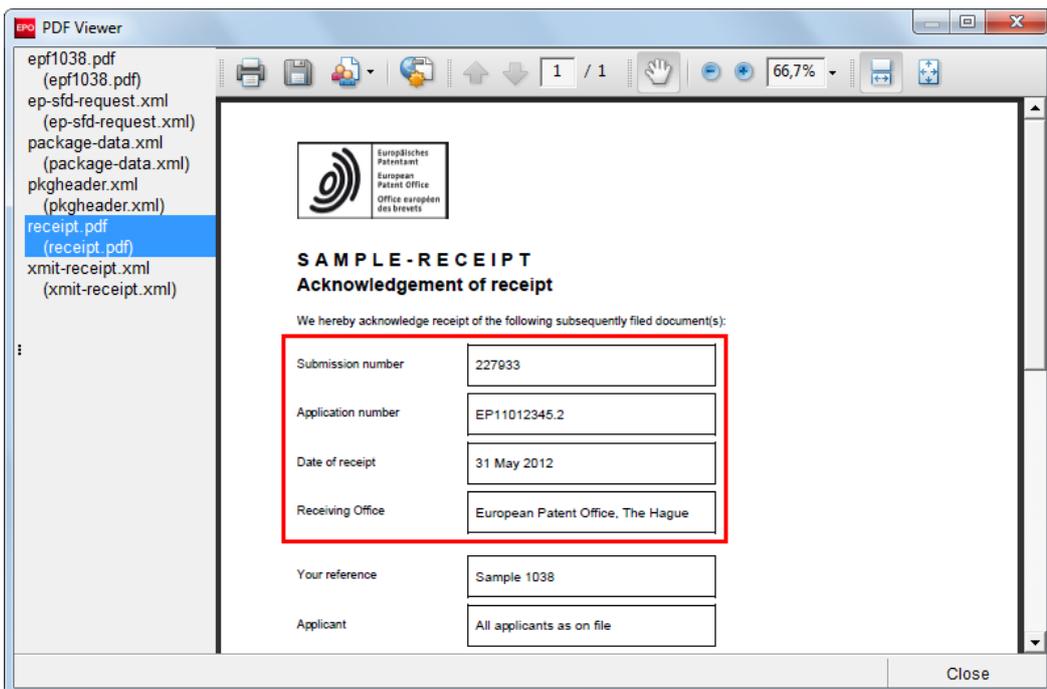


Figure 133: Viewing the acknowledgement of receipt after filing

### 5.3.2 Batch sending

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

In File Manager, 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** the last one to select all of them.

Click the **Next** workflow button ("Send" is displayed as the tool-tip).

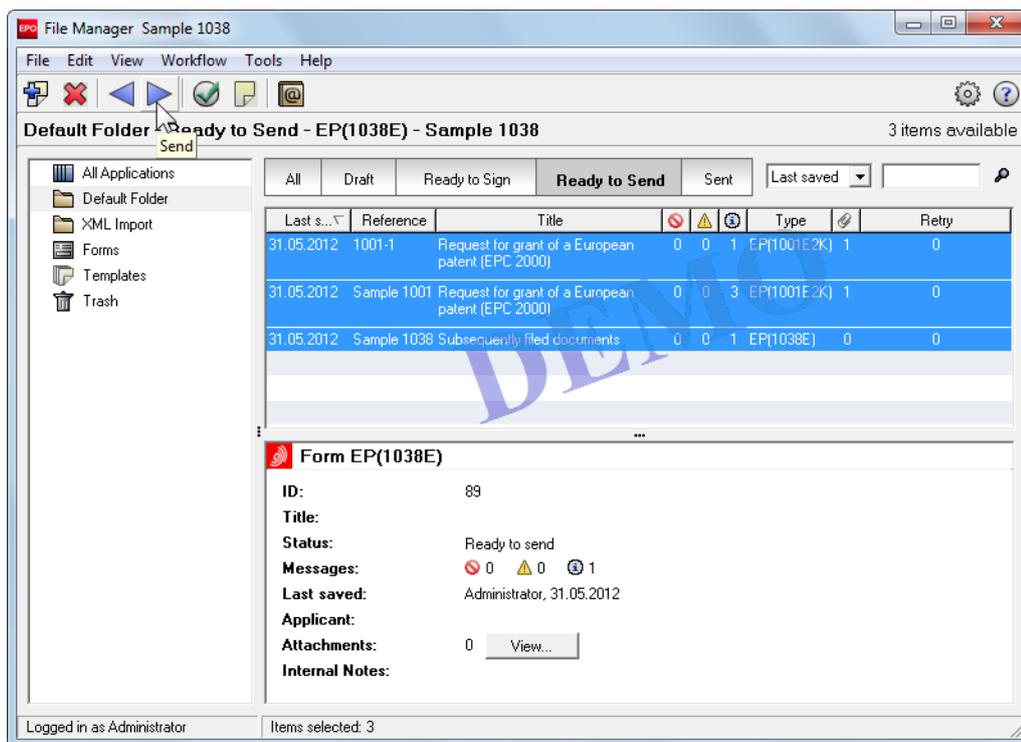


Figure 134: Applications with "Ready to send" status selected for batch sending

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

- The warning window and the window for PIN entry only appear once.
- The window 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 acknowledgement of receipt does not appear.

## 5.4 Exporting data from Online Filing

Online Filing provides different functions for exporting data from File Manager, from the form and from 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** dialog; see Exporting items (p. 106).
- **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. 109).
- **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. 109).

### 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. 343) 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. 409) 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** dialog removes all selected applications from Online Filing after backup copies are made; see Deleting items from the database after archiving (p. 108).



## 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 the File Manager menu, click **File > Export > Forms**.

All available applications are shown by default.

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

Click **OK**.

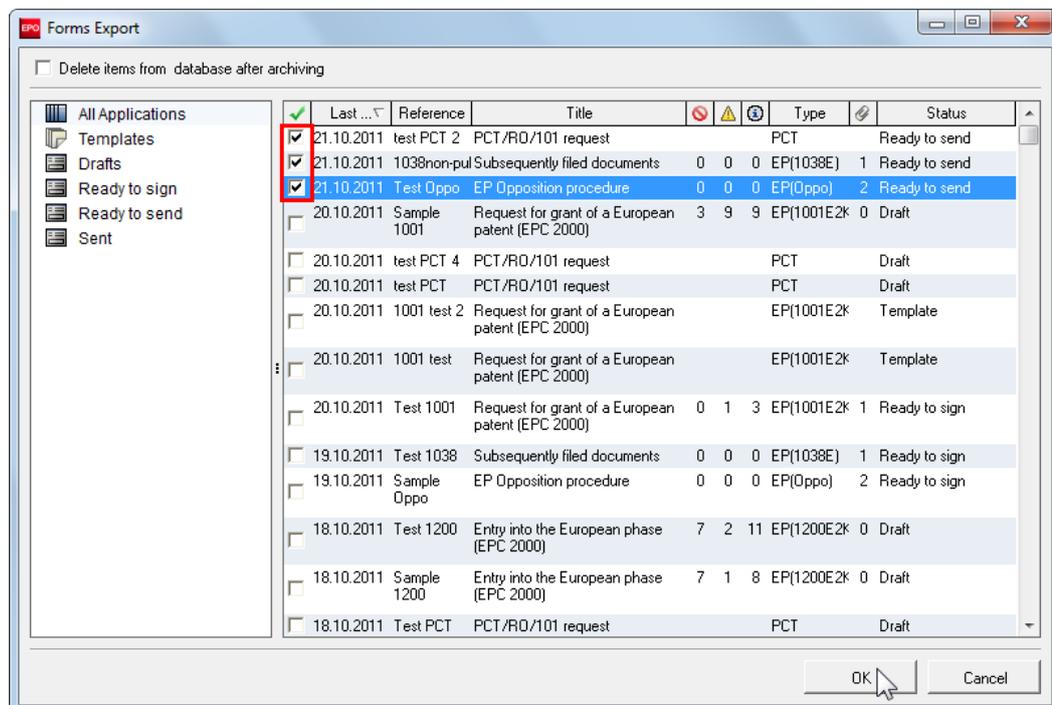


Figure 135: Selecting individual applications for export

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

Navigate to the destination folder you require.

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 136: Select location for export

In the **Export complete** message, click **OK**.

View the ZIP files in the selected export folder.

An exported ZIP file contains a number of PDF files 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.

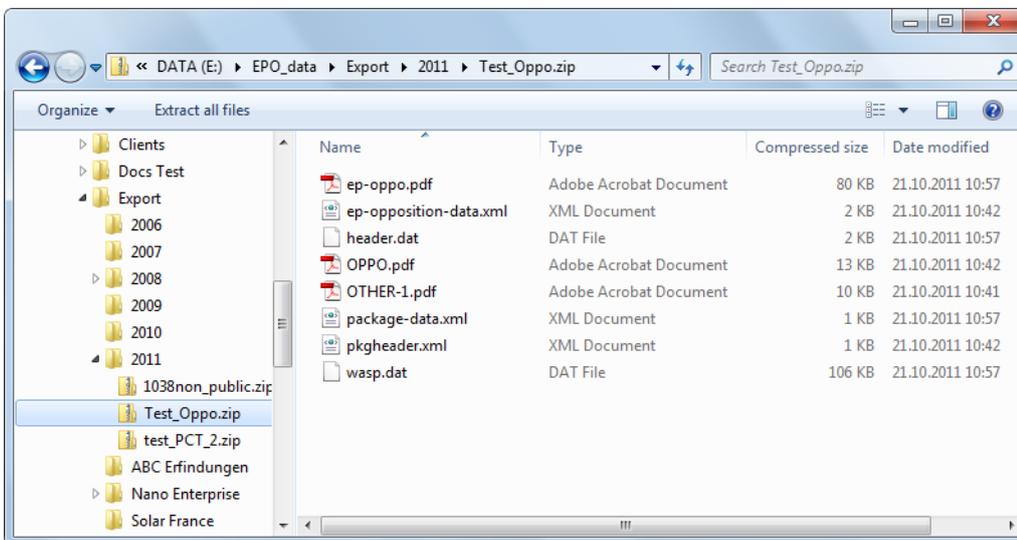


Figure 137: Exported ZIP file contents

## 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 check box **Delete items from database after archiving**.

Click **OK** and then proceed as described in Exporting items (p. 106).

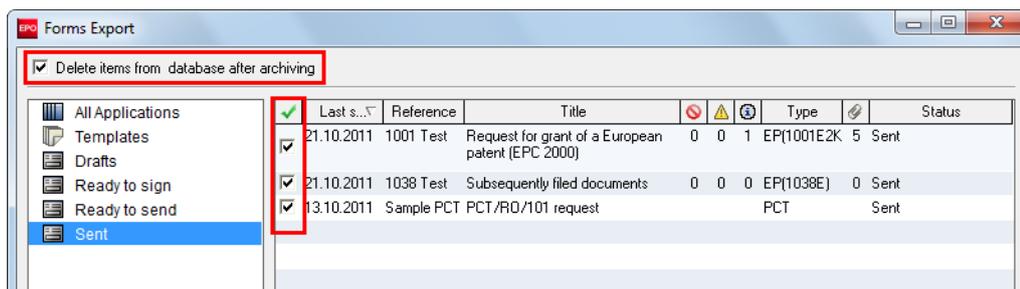


Figure 138: Select all applications with Sent status for export and deletion from the database

The data can always be imported back into Online Filing via the **Import** functions of File Manager or 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 Creating a new empty database (p. 408).

## 5.4.3 Exporting data as XML to ZIP file

Individual applications can be exported as XML files packed into a compressed ZIP file. This operation can be carried out from File Manager or directly from an opened form.

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

or

When in the form, click **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.

Click **Save** to start exporting.

**The ZIP file is saved on your computer.**

**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.**

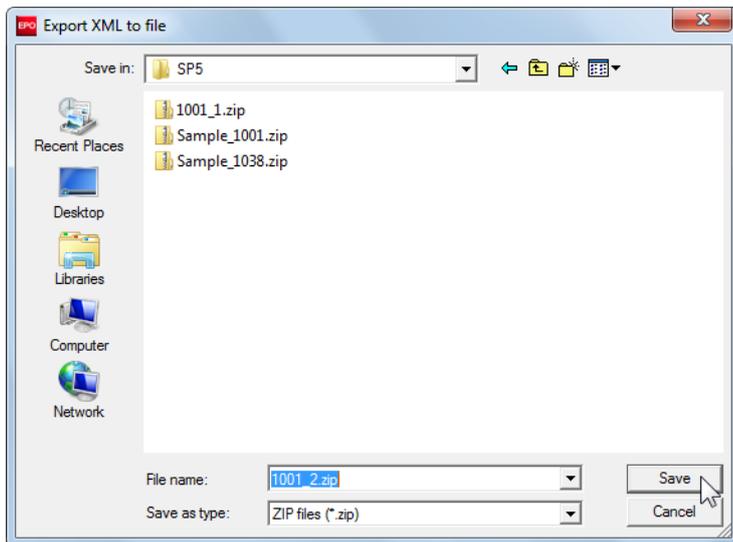


Figure 139: Enter file name for exporting XML to ZIP

#### 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.

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

or

When in the form, click **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.

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.

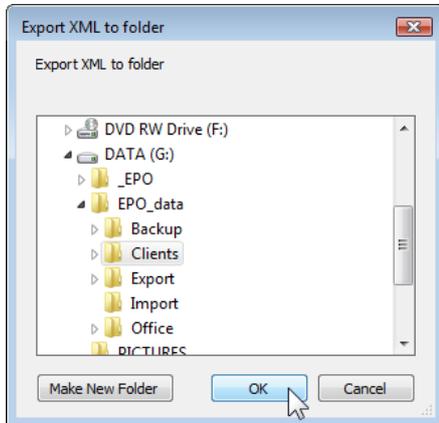


Figure 140: Export application as XML to folder

In the **Export complete** message, click **OK**.

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

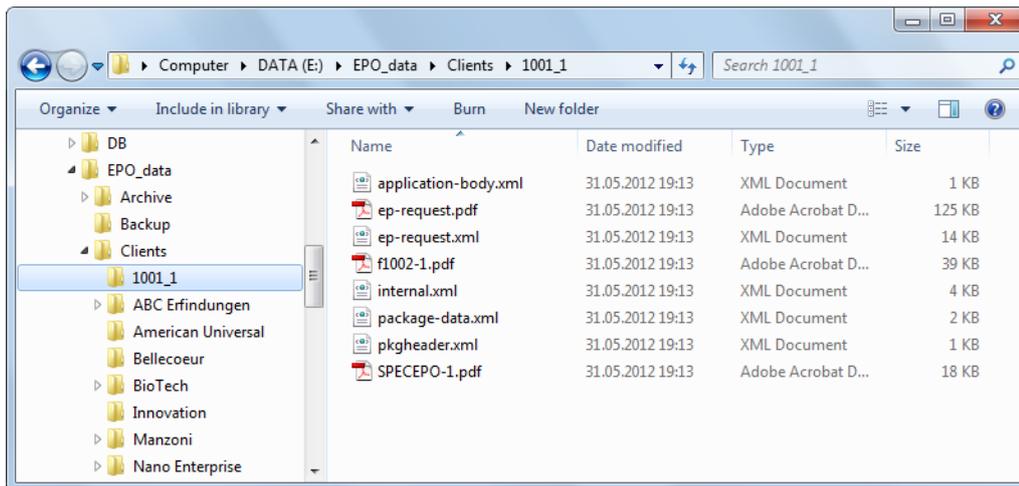


Figure 141: Exported folder containing XML and PDF files

## 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 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. 411) in the Server Manager section.

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, click **File > Import > XML from File**.

or

When in the form, click **File > Import**.

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

Select the ZIP file and click **Open** to start importing.

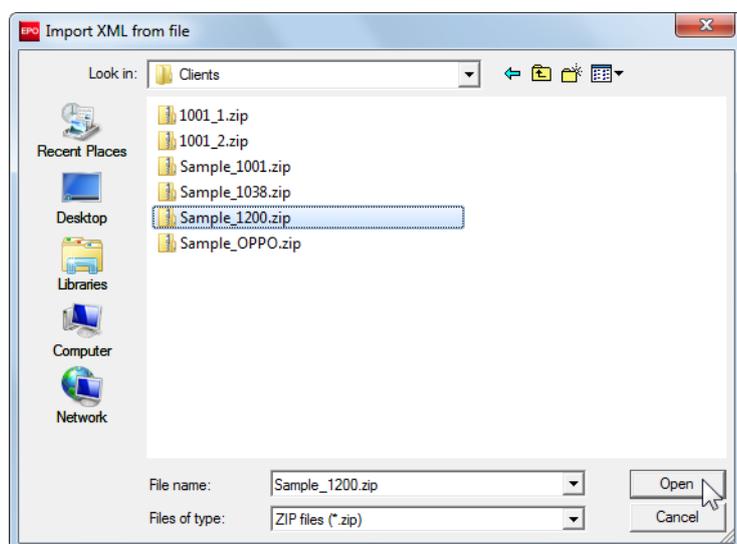


Figure 142: Import XML from ZIP file

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

Enter a new user reference.



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

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

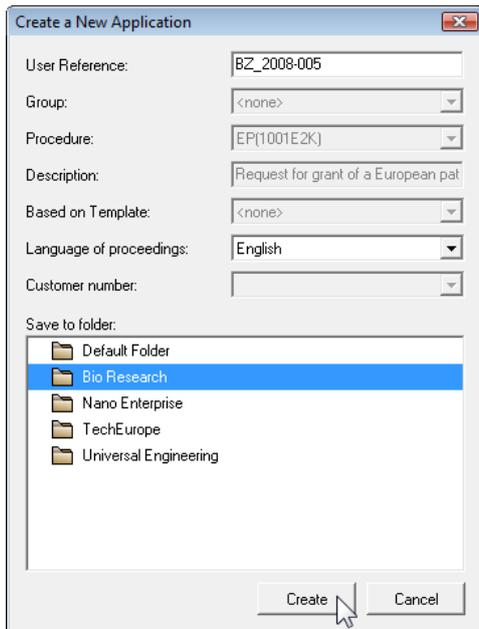


Figure 143: Specify reference and folder for imported application

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

In the menu (File Manager or form view), click **File > Import > XML from folder**.

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**.

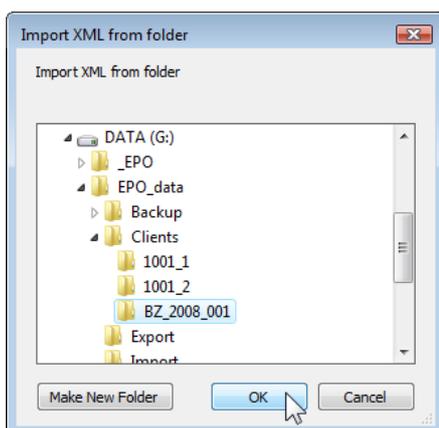


Figure 144: Select folder to import application

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

Enter a new user reference.

 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>).

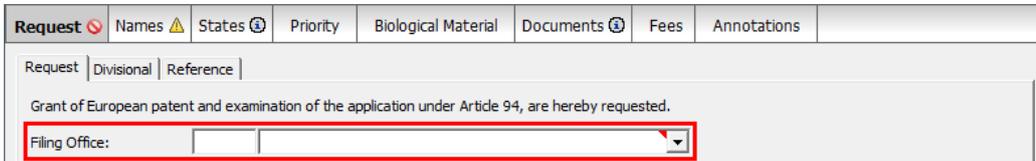
### Data input in form EP(1001E2K)

Form EP(1001E2K) is organised into eight tabs. 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
<b>Request</b>	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.
<b>Names</b>	Enter details of applicant(s), representative(s), inventor(s) and authorisations.
<b>States</b>	Designate contracting states, extension states and validation states.
<b>Priority</b>	Declare national, regional or international priorities.
<b>Biological Material</b>	Enter details of deposited microorganisms and the depositary institution.
<b>Documents</b>	Attach the specification documents, their translations and other electronic files.
<b>Fees</b>	Enter the mode of payment, select fees according to the appropriate fee schedule.
<b>Annotations</b>	Supply additional information for the EPO.

## Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. You must either manually fill out this field or 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.



Request  Names  States  Priority Biological Material Documents  Fees Annotations

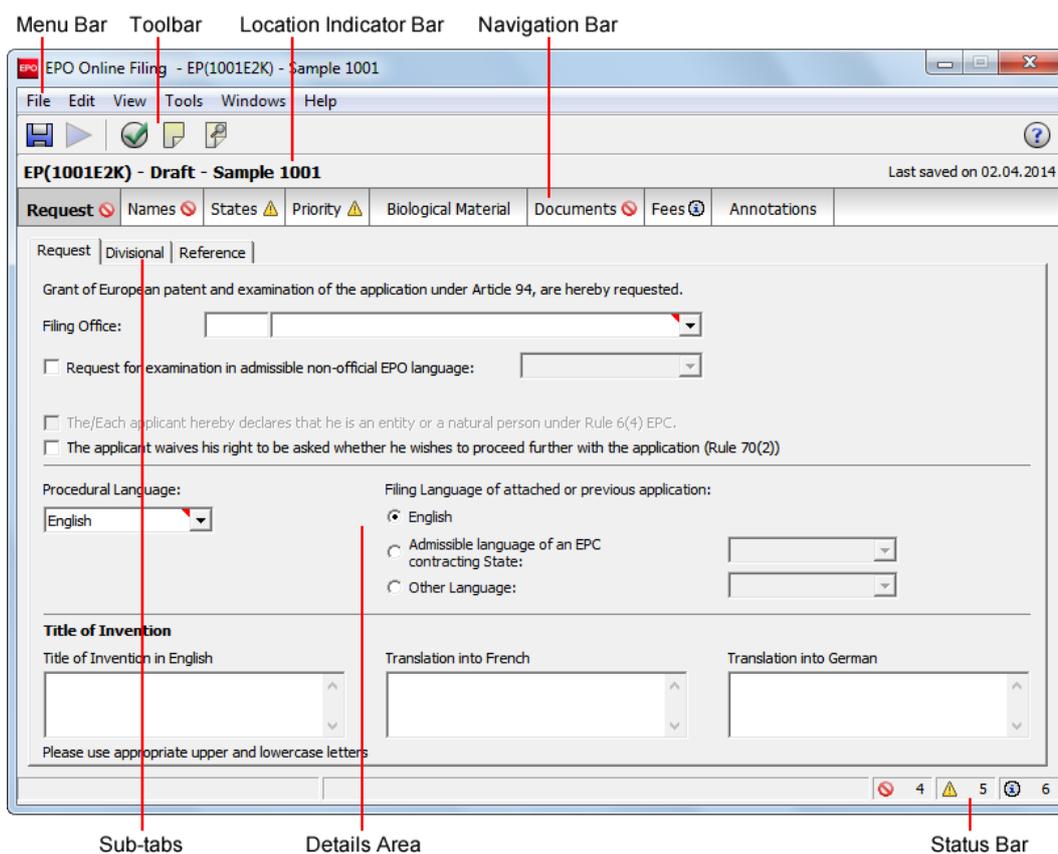
Request | Divisional | Reference |

Grant of European patent and examination of the application under Article 94, are hereby requested.

Filing Office: 

Figure 145: Filing Office is a mandatory field in the Request tab and is marked with a red triangle

## Elements in Form EP(1001E2K)



Menu Bar    Toolbar    Location Indicator Bar    Navigation Bar

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

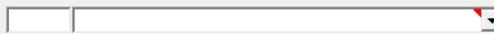
File Edit View Tools Windows Help

EP(1001E2K) - Draft - Sample 1001    Last saved on 02.04.2014

Request  Names  States  Priority  Biological Material Documents  Fees  Annotations

Request | Divisional | Reference |

Grant of European patent and examination of the application under Article 94, are hereby requested.

Filing Office: 

Request for examination in admissible non-official EPO language: 

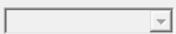
The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.

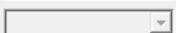
The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70(2))

Procedural Language:  English

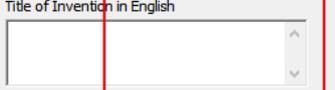
Filing Language of attached or previous application:

English

Admissible language of an EPC contracting State: 

Other Language: 

**Title of Invention**

Title of Invention in English 

Translation into French 

Translation into German 

Please use appropriate upper and lowercase letters

Status Bar:  4  5  6

Sub-tabs    Details Area    Status Bar

Figure 146: Form EP(1001E2K) – Overview

Element	Description
<b>Menu Bar</b>	Provides all options needed to edit, save, import and export drafts, set the display and change the status, as well as other tools.
<b>Toolbar</b>	Provides shortcuts to the most frequently used tasks and tools.
<b>Location Indicator Bar</b>	Shows the selected procedure, the current status and the user reference for the open draft.
<b>Navigation Bar</b>	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.
<b>Details Area</b>	Displays data entry fields appropriate to the selected tab.
<b>Status Bar</b>	Displays information about the current activity. Shows the total number of validation messages for the open draft.

## 6.1 EP(1001E2K) – Request

The **Request** tab of Form EP(1001E2K) features three sub-tabs, in which you enter the following information:

### Request

- Filing office
- Language in which the request for examination is made
- Declaration under Rule 6(4)
- Waiver pursuant to Rule 70(2)
- Procedural language, i.e. language in which the form is being submitted to the EPO
- Filing language, i.e. language in which the attached application is being filed or in which a previous application has been filed (technical documents)
- Title of the invention in English, French and German

### Divisional

- Indication that it is a divisional EP application
- Application number of earlier application
- Date of filing of earlier application
- Generation of the divisional application

## Reference

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

### 6.1.1 Request details

The basic details relating to an EP(1001E2K) application are entered in the **Request** sub-tab of the **Request** tab.

#### Filing office

Select the relevant patent office from the **Filing office** drop-down list or enter the two letter country code.

This information is mandatory.

The list of filing offices includes the EPO and all national patent offices that allow online filing with the EP(1001E2K) procedure.

#### Language in which the request for examination is made

Applicants who are nationals of an EPC contracting state or who have their residence or principal place of business in an EPC contracting state can request examination in an official language of that state, if this language is an admissible non-official EPO language, i.e. if it is not English, French or German (Article 14(4) EPC).

If appropriate, select the check box **Request for examination in admissible non-official EPO language**.

Select the relevant 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.

#### Declaration under Rule 6(4) EPC

The check box for the declaration under Rule 6(4) becomes available if you select one of these options:

- **Request for examination in admissible non-official EPO language**
- **Admissible language of an EPC contracting state (under Filing language of attached or previous application)**

The validation messages in the **Request** tab (severity level 2) provide further details. If each applicant fulfils the conditions of Rule 6(4) EPC, then you should select the corresponding check box

intended for the declaration under Rule 6(4) EPC to enable the Online Filing software to calculate the fee reduction.

Under Rule 6(3) EPC, the EPO grants a reduction in the examination fee and filing fees if applicants referred to in Article 14(4) EPC belong to one of the following groups specified in Rule 6(4) EPC:

- a. small and medium-sized enterprises (SMEs);
- b. natural persons; or
- c. non-profit organisations, universities or public research organisations.

To declare that the applicant(s) fulfil the conditions of Rule 6(4), select the check box **The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC**.

When you enter the relevant data in the **Names** tab, please verify that all applicants fulfil the conditions of both Article 14(4) EPC and Rule 6(4) EPC; see Applicants (p. 124) for more details.

If the declaration under Rule 6(4) EPC is selected and all applicants fulfil the conditions of Article 14(4) EPC, then the reduced fees will become available in the **Fee selection** sub-tab:

- The examination fee (006) will be reduced by 30%.
- The filing fee (001), the additional divisional fees (522 to 525) and the additional filing fee for the 36th and each subsequent page (501) will be reduced by 30%.

### Waiver pursuant to Rule 70(2)

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))**.

This waiver does not apply until after payment of the examination fee. If you select **Automatic debit order** in the **Fees** tab, fee 006 will be paid automatically. If you select another mode of payment, you should select fee 006 manually in the **Fee selection** sub-tab. A validation message to that effect (Severity 3) is displayed in the **Fees** tab.

The screenshot shows the EPO Online Filing software interface for a draft application. The window title is "EPO Online Filing - EP(1001E2K) - Sample 1001". The interface includes a menu bar (File, Edit, View, Tools, Windows, Help) and a toolbar. The main content area displays the "Request" sub-tab with the following options:

- Grant of European patent and examination of the application under Article 94, are hereby requested.
- Filing Office: EP European Patent Office (EPO)
- Request for examination in admissible non-official EPO language: Italian
- Si richiede di esaminare la domanda ai sensi dell'art. 94.
- The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.
- The applicant waives his right to be asked whether he wishes to proceed further with the application (Rule 70(2))

Figure 147: Request for examination in Italian

## Procedural language

At the time of creating a new application, you select the procedural language from the three official languages: English, French or German.

The application form will be created in the language selected. However, this setting has no effect on the language of the Online Filing graphical user interface.

If required, change the **procedural language** now by selecting another language from the drop-down list.

## Filing language

The filing language is the language in which the attached application is being filed or in which a previous application has been filed, i.e. it is the language that is used in the technical documents.

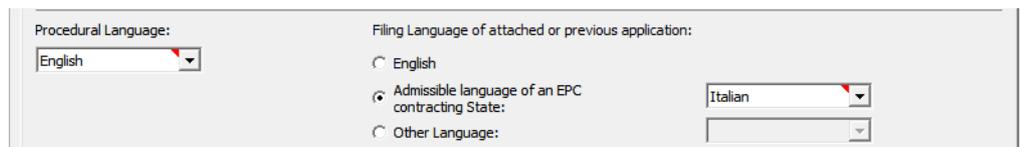
Applicants who are nationals of an EPC contracting state or who have their residence or principal place of business in an EPC contracting state can file their application in an official language of that state, if this language is an admissible non-official EPO language, i.e. if it is not English, French or German (Article 14(4) EPC).

Select the **Filing language of attached or previous application** from one of the three options.

The default option is the selected procedural language.

Select either **Admissible language of an EPC contracting state** or **Other language** to activate the corresponding drop-down list.

Select the appropriate language.



The screenshot shows a form with two main sections. The first section is labeled 'Procedural Language:' and contains a dropdown menu with 'English' selected. The second section is labeled 'Filing Language of attached or previous application:' and contains three radio button options: 'English', 'Admissible language of an EPC contracting State:', and 'Other Language:'. The 'Admissible language of an EPC contracting State:' option is selected. To the right of this option is a dropdown menu with 'Italian' selected. Below the 'Other Language:' option is an empty dropdown menu.

Figure 148: 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)

## Title of invention

The title of invention 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 title of invention can be published in all three languages (Article 14 EPC). If you do not enter any translations, these will be supplied by the EPO.

To harmonise patent bibliographic data, as of 1 April 2015 the EPO's systems will automatically convert all titles and their translations to uppercase for all new applications filed.

Enter the **Title of invention in English** in capital letters.

Enter the **Translation into French** and the **Translation into German** in capital letters.

- Include accents where appropriate in the French text.
- Include umlauts where appropriate in the German text.
- The sequence in which the fields for the title of 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.



Title of Invention		
Title of Invention in English	Translation into French	Translation into German
INSTANT WATER	EAU INSTANTANÉE	INSTANT-WASSER

Figure 149: Title of invention in English, French and German

### 6.1.2 Divisional application

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

 European divisional applications must be filed while the earlier European application is still pending (Rule 36 EPC).

Select the **Divisional application** check box.

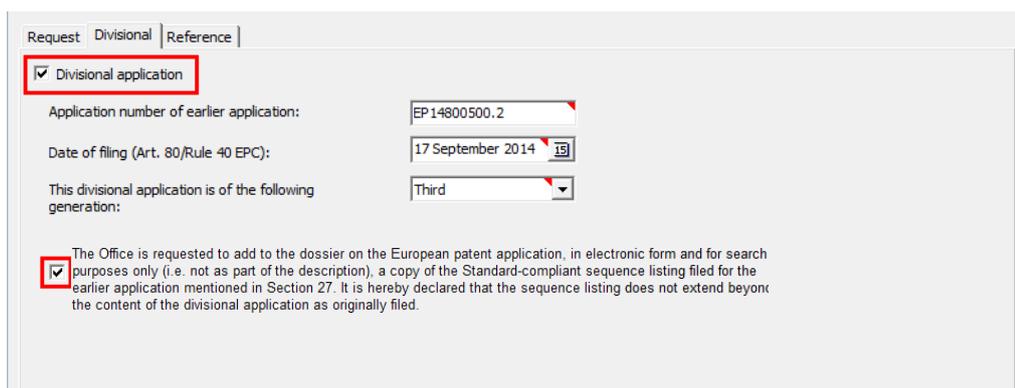
This activates the sub-tab for editing. All fields are mandatory.

Enter the **Application number of earlier application**.

Enter the **Date of filing (Art. 80/Rule 40 EPC)**.

From the drop-down list next to **This divisional application is of the following generation**, select the appropriate option.

The EPO charges an additional fee as part of the filing fee for divisional applications of the second or any subsequent generation; see Fee selection (p. 163).



Request | **Divisional** | Reference

Divisional application

Application number of earlier application: EP14800500.2

Date of filing (Art. 80/Rule 40 EPC): 17 September 2014

This divisional application is of the following generation: Third

The Office is requested to add to the dossier on the European patent application, in electronic form and for search purposes only (i.e. not as part of the description), a copy of the Standard-compliant sequence listing filed for the earlier application mentioned in Section 27. It is hereby declared that the sequence listing does not extend beyond the content of the divisional application as originally filed.

Figure 150: Entering details of divisional application

If you change the **Date of filing (Art. 80/Rule 40 EPC)** in the **Divisional** sub-tab under the **Request** tab, all of the designation states and none of the extension and validation states will be selected, i.e. the default settings appear and any states previously expressly selected in respect of the applicant(s) are lost. If this happens, please click the **States** tab and select the states again as appropriate. The yellow validation icon in the **States** tab notifies you of a warning message to this effect.

### **Requesting the EPO to copy the sequence listing from the parent application for search purposes**

Under Rule 40(1)(c) EPC, a sequence listing that is part of the description of the divisional application must be submitted together with the other documents making up the divisional application, unless reference is made to a previously filed application containing a sequence listing as part of the application (OJ EPO 2013, 542).

If you have submitted a Standard-compliant sequence listing in computer-readable format together with the parent application, however, you can ask the EPO to use that sequence listing **for search purposes only (i.e. not as part of the description)** in respect of the divisional application.

To ask the EPO to add a copy of the sequence listing filed for the earlier application to the dossier and to declare that the sequence listing does not extend beyond the content of the divisional application as originally filed, select the check box labelled **The Office is requested to add a copy [...]**.

### **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 **YYnnnnnn.d**, i.e. including the check digit.

Request | Divisional | Reference |

Art. 61(1)(b) application of earlier application: 0.0

The present European patent application is filed by making reference to the following previously filed application (Rule 40(1)(c), Rule 40(2)):

Office where previous application was filed: EP European Patent Office

Kind of application: patent application

Filing date: 16 March 2010

Application number: 10500201.8 Format: YYnnnnnn.d, spaces, hyphens or commas allowed between data items

Figure 151: 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**.

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.

Request | Divisional | Reference |

Art. 61(1)(b) application of earlier application: 0.0

The present European patent application is filed by making reference to the following previously filed application (Rule 40(1)(c), Rule 40(2)):

Office where previous application was filed: US United States of America

Kind of application: PCT application

Filing date: 20 April 2010

Application number: PCT/US2010/123456 Format: PCT/CCYY/nnnnn or PCT/CCYYYY/nnnnnn

Figure 152: 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.

Hints for the correct format of this application number are shown to the right of this field.

Figure 153: Reference to a previous international or national application

## Additional options depending on other application-specific data

Figure 154: 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 of claims in previous application**.

Enter the **Number of claims you intend to pay for (including first 15 claims)**.

- This indication is exclusively for the purpose of fee calculation. If you do not intend to pay for any claims with this application, please enter **0** (zero) in this field.
- 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.

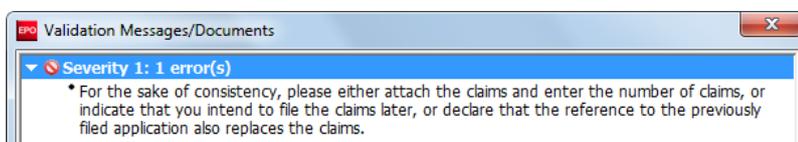


Figure 155: Error message: Claims required

## 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.

The related document can be attached in the **Documents** tab; see Additional documents (p. 157).

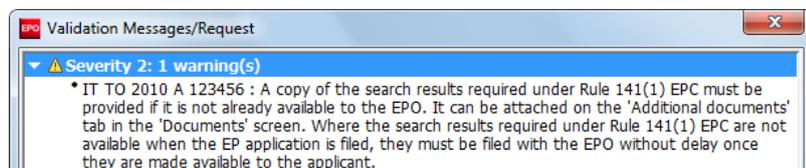


Figure 156: A copy of the search results must be provided

A 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, JP, US, AT, GB, KR, DK** or **ES** office (exempted offices). A message to this effect (grey validation icon) appears.

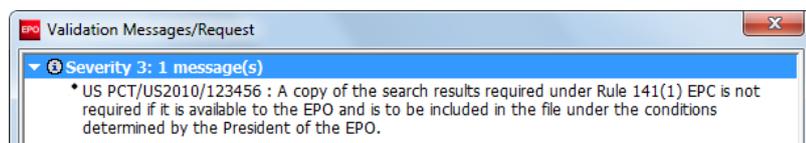


Figure 157: Earlier applications filed with one of the exempted offices are not required to file search results

## Certified copy

The check box **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**.

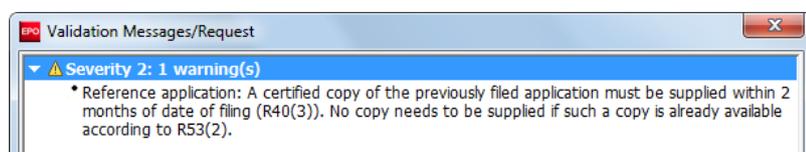


Figure 158: A certified copy of the previously filed application must be supplied

## 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 the correct WIPO Standard in the **Documents** tab; PDF formats are not allowed; see Sequence listings (p. 154).

 On 1 July 2022, WIPO Standard ST.26 will enter into force. For applications with a filing date on or after 1 July 2022, sequence listings should be filed in ST.26.

## Re-establishing rights

The check box **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 check box **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. 157)) or enter the text in the **Annotations** tab.

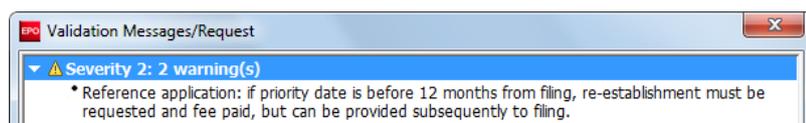


Figure 159: Re-establishment of rights must be requested and the fee paid

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

The check box **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** check box 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.

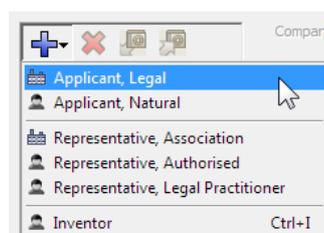


Figure 160: Options for adding names

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 form

Select the name to be removed on the left-hand side of the form.

Click the **Delete** button.



## 6.2.1 Applicants

At least one applicant is required for filing. You can designate multiple natural and legal persons as applicants. The applicant you add to the form first will also be the first-named applicant in the patent application.

In the **Names** tab, click the **Add** button.



Select **Applicant, Legal** or **Applicant, Natural**.

Enter the details for the applicant or use the **Copy from Address Book** button.



Add more applicants if required by repeating the above procedure.

The screenshot shows the 'EPO Online Filing - EP(1001E2K) - Sample 1001' window. The 'Names' tab is active, and the 'Applicants' section is highlighted with a red box. The form contains the following fields:

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
P.O. Box:	5623			
Postal code:	W1A 2BC			
City:	London			
GB County:	Greater London	Principal place of business:	GB	United Kingdom
<input type="checkbox"/> Address for correspondence				
<input type="checkbox"/> Nano Enterprise Ltd. is represented by the following employee acting pursuant to Art. 133(3) EPC:				
Last Name:		General Authorisation:		
First Name:				
Title:				

Figure 161: Details of legal applicant

## Address for correspondence

You can specify a separate address for correspondence with the first-named applicant if you have not added a representative to the form. The country in the address for correspondence must be an EPC contracting state. The address for correspondence is only valid if the country in the applicant's main address is also an EPC contracting state.

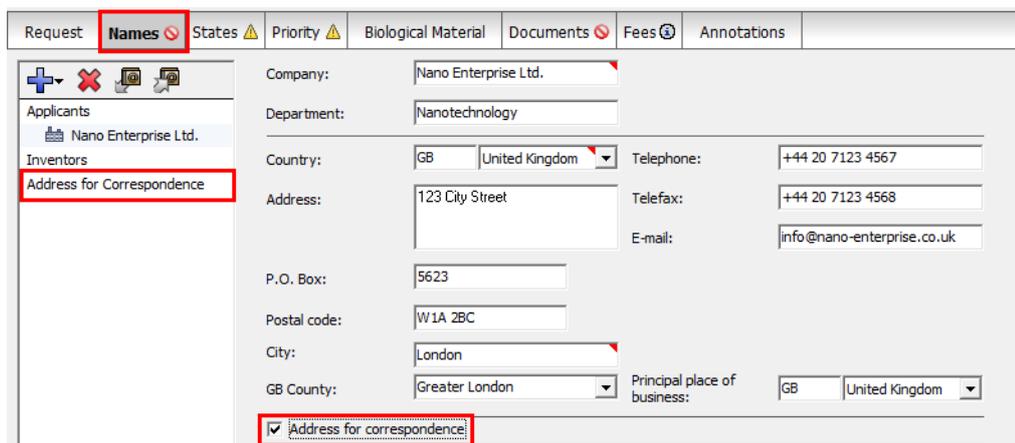
The **Address for correspondence** check box is unlocked after the mandatory fields for the first-named applicant have been completed, i.e. First Name, Last Name (or Company), City and Country.

Select the first-named applicant.

Select the **Address for correspondence** check box.

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

Entering the address for correspondence is now mandatory. The red validation icon in the **Names** tab notifies you of a validation message to that effect.

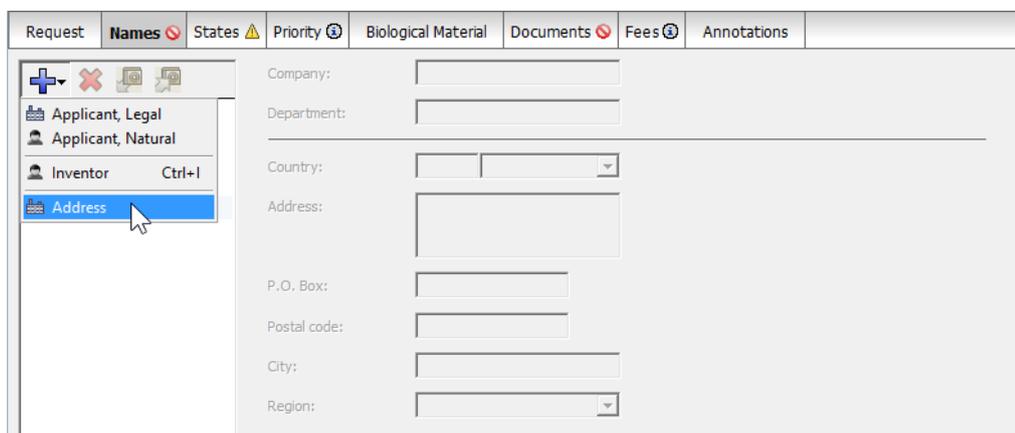


The screenshot shows the 'Names' tab in the EPO Online Filing interface. A red validation icon is visible in the 'Names' tab. The 'Address for Correspondence' checkbox is checked. The form fields are populated with data for Nano Enterprise Ltd. The fields include: Company: Nano Enterprise Ltd., Department: 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, P.O. Box: 5623, Postal code: W1A 2BC, City: London, GB County: Greater London, and Principal place of business: GB (United Kingdom). The 'Address for correspondence' checkbox is checked.

Figure 162: A red validation icon is visible if the address for correspondence has not yet been provided

Click the **Add** button and select **Address**.

Note that the **Representatives** options have disappeared.



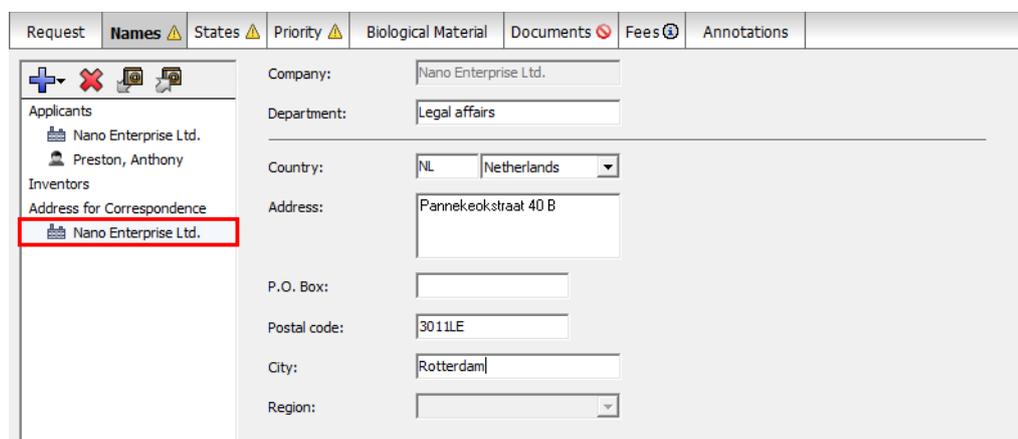
The screenshot shows the 'Names' tab in the EPO Online Filing interface. A red validation icon is visible in the 'Names' tab. The 'Address' option is selected in the left-hand menu. The form fields are empty. The fields include: Company, Department, Country, Address, P.O. Box, Postal code, City, and Region.

Figure 163: 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.

- The applicant's name cannot be edited in the address for correspondence. The **Company** field (legal applicant) and the **Last Name** and **First Name** field (natural applicant) are locked.
- If you subsequently modify the first-named applicant's name under **Applicants**, 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.



The screenshot shows a web interface for managing an application. At the top, there are tabs for 'Request', 'Names', 'States', 'Priority', 'Biological Material', 'Documents', 'Fees', and 'Annotations'. Below the tabs, there are several sections: 'Applicants' (with a list including 'Nano Enterprise Ltd.' and 'Preston, Anthony'), 'Inventors', and 'Address for Correspondence' (highlighted with a red box). The 'Address for Correspondence' section contains the following fields: 'Company' (Nano Enterprise Ltd.), 'Department' (Legal affairs), 'Country' (NL, Netherlands), 'Address' (Pannekeekstraat 40 B), 'P.O. Box', 'Postal code' (3011LE), 'City' (Rotterdam), and 'Region'.

Figure 164: Separate address for correspondence with the first-named applicant

### Applicant is represented by an employee

If the applicant is a company (legal person) with principal place of business in an EPC contracting state, it 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.

Select the check box **[Company] is represented by the following employee acting pursuant to Art. 133(3) EPC.**

Enter **Last Name** (mandatory field), **First Name** (mandatory field) and **Title**.

The name of this employee will be automatically filled into the **Sign Application** dialog and cannot be modified. Only an employee who is authorised by the applicant under Article 133 EPC is entitled to sign.

Enter the **Authorisation** number (where applicable).

Request	Names	States	Priority	Biological Material	Documents	Fees	Annotations
<div style="display: flex; justify-content: space-between;"> <div style="width: 20%;"> <p>Applicants</p> <ul style="list-style-type: none"> <li>Nano Enterprise Ltd.</li> <li>Preston, Anthony (als...)</li> </ul> <p>Inventors</p> <p>Address for Correspondence</p> <ul style="list-style-type: none"> <li>Nano Enterprise Ltd.</li> </ul> </div> <div style="width: 80%;"> <p>Company: Nano Enterprise Ltd.</p> <p>Department: Nanotechnology</p> <hr/> <p>Country: GB United Kingdom Telephone: +44 20 7123 4567</p> <p>Address: 123 City Street Telefax: +44 20 7123 4568</p> <p>E-mail: info@nano-enterprise.co.uk</p> <p>P.O. Box: 5623</p> <p>Postal code: W1A 2BC</p> <p>City: London</p> <p>GB County: Greater London Principal place of business: GB United Kingdom</p> <p><input checked="" type="checkbox"/> Address for correspondence</p> <p><input checked="" type="checkbox"/> Nano Enterprise Ltd. is represented by the following employee acting pursuant to Art. 133(3) EPC:</p> <p>Last Name: Williams General Authorisation: GB11-308</p> <p>First Name: George</p> <p>Title: Mr.</p> </div> </div>							

Figure 165: Authorised employee representing the applicant

### Conditions under Article 14(4) EPC for making the declaration under Rule 6(4) EPC

Under Rule 6(3) EPC, the EPO grants a reduction in the examination fee and filing fees if applicants referred to in Article 14(4) EPC belong to one of the following groups specified in Rule 6(4) EPC:

- a. small and medium-sized enterprises (SMEs);
- b. natural persons; or
- c. non-profit organisations, universities or public research organisations.

If the check box **The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC** in the **Request** tab is selected, the Online Filing software will validate the data that you enter for the applicants in the **Names** tab and cross-check these with the languages that you indicated in the **Request** tab.

To qualify for the fee reduction, all applicants have to fulfil both the above-mentioned conditions under Rule 6(4) EPC and the following conditions under Article 14(4) EPC:

- Natural applicants must be nationals of an EPC contracting state having an admissible non-official EPO language or residents in an EPC contracting state having an admissible non-official EPO language.
- Legal applicants must have their principal place of business in an EPC contracting state having an admissible non-official EPO language.
- The selected language must be both an official language of the EPC contracting state of at least one of the applicants and an admissible non-official EPO language (i.e. it must not be English, French or German).

The validation messages in the **Request** tab and **Names** tab will tell you how to correct your data if these conditions are not met.

## Examples

The following examples demonstrate whether the applicants indicated in the **Names** tab fulfil the conditions of Article 14(4) or not – always in relation to the languages selected in the **Request** tab. If the answer is **yes**, the applicants can select the declaration under Rule 6(4) in order to get the fee reduction.

1. A company from the Netherlands selects Dutch as the language of the request for examination.

**Yes:** Dutch is the official language in the Netherlands.

2. A natural person is a Swiss national and selects Italian as the filing language.

**Yes:** Italian is one of the official languages in Switzerland, along with French and German.

3. A natural person is a national of Italy with residence in the UK and files a request for examination in Italian.

**Yes:** Italian is the official language in Italy and the applicant is an Italian national.

4. A company has its principal place of business in the United Kingdom and files the request for examination in Italian.

**No:** The UK is an EPC contracting state which does not have an admissible non-official EPO language and Italian is not an official language in the UK. The applicant does not fulfil the conditions under Article 14(4).

5. The applicants are a company from Poland and a company from Italy. They select Italian as the filing language.

**Yes:** Both applicants are from an EPC contracting state and Italian as the official language of Italy is an admissible non-official EPO language. In this example, the applicants could also choose between Polish and Italian because both languages are admissible.

6. The applicants are a company from Poland and a company from Germany. They select Polish as the filing language.

**No:** Germany is an EPC contracting state which does not have an admissible non-official EPO language. The applicant from Germany does not fulfil the conditions under Article 14(4).

## 6.2.2 Representatives

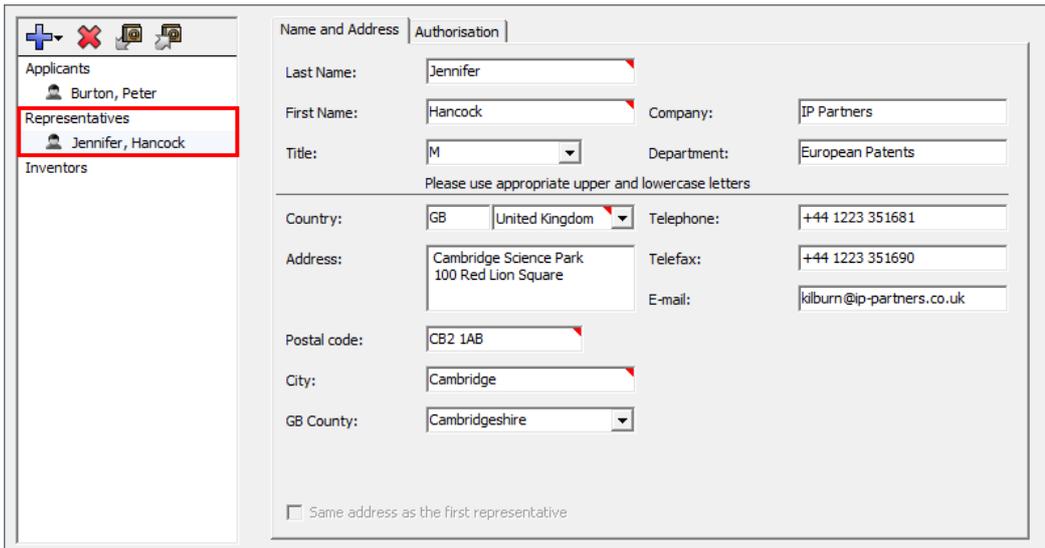
The **Representative** option is only available if no address for correspondence has been entered and if the applicant is not being represented by an employee under Article 133(3) EPC. The country of the representative must be an EPC contracting state.

In the **Names** tab, click the **Add** button.

Select **Representative, Association, Representative, Legal Practitioner** or **Representative, Authorised**.

In the **Name and Address** sub-tab, complete the details or copy the name from the Address Book.

 You can add more than one representative.



Name and Address		Authorisation
Last Name:	Jennifer	
First Name:	Hancock	Company: IP Partners
Title:	M	Department: European Patents
Please use appropriate upper and lowercase letters		
Country:	GB United Kingdom	Telephone: +44 1223 351681
Address:	Cambridge Science Park 100 Red Lion Square	Telefax: +44 1223 351690
Postal code:	CB2 1AB	E-mail: kilburn@ip-partners.co.uk
City:	Cambridge	
GB County:	Cambridgeshire	
<input type="checkbox"/> Same address as the first representative		

Figure 166: Details of representative

### Details relating to the representative's authorisation

The **Authorisation** sub-tab is used to provide details relating to each representative.

- Select the **Authorisation** check box.
- Select the appropriate option.

 Related documents can be attached in the **Documents** tab; see Additional documents (p. 157).



Name and Address	Authorisation
<input checked="" type="checkbox"/> Authorisation	
<input type="radio"/> An individual authorisation is attached.	
<input checked="" type="radio"/> A general authorisation has been registered under number: 110234	
<input type="radio"/> A general authorisation has been filed, but not yet registered	

Figure 167: Details relating to the authorisation of the representative

### 6.2.3 Inventors

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

You can name any number of inventors.

Following the entry into force of amended Rule 19 EPC on 1 April 2021, the EPO no longer notifies inventors of their designation in a patent application. In addition, applicants are no longer required to indicate the full addresses of the inventors in the designation, but instead only their country and place of residence. The place of residence is the city or other municipality where the inventor permanently resides, including the postal code (where available).

For applications that are signed and ready to send but were not submitted before the 1 April 2021 update, any inventor designations under Rule 19 EPC should be removed as attachments. To ensure compliance with amended Rule 19 EPC, the designations will have to be reprocessed before the application can be submitted.

For draft applications that were not signed before the 1 April 2021 update, any inventor designations prepared should be removed as attachments and must be reprocessed.

The option afforded to inventors under Rule 20(1) EPC to waive their right to be mentioned remains unaffected by these changes.

As of the entry into force of amended Rule 143 EPC on 1 November 2021, inventors' full addresses will no longer be published in the European Patent Register. Instead, only their country and place of residence will be published, unless the inventor has waived their right to be mentioned under Rule 20(1) EPC.

For further information, see [OJ EPO 2021, A12](#).

#### **Applicant is also inventor**

If an applicant is a natural person, the same person can also be named as 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\_INVNT' window. The 'Names' tab is active, displaying a form for applicant and inventor details. The form includes fields for Last Name (Burton), First Name (Peter), Title (Mr.), Country (United Kingdom), Address (20 London Rd), City (Manchester), and Nationality (United Kingdom). A checkbox labeled 'Applicant is also inventor' is checked and highlighted with a red box. The status bar at the bottom indicates 1 error, 3 warnings, and 3 information messages.

Figure 168: 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(s) must be named separately.

Click the **Add** button.

Select **Inventor**.

or

Press **CTRL+I**.

Complete the fields in the **Name** tab or copy an entry from the Address Book.

Select the appropriate option to describe the legal relationship between first-named applicant and inventor.

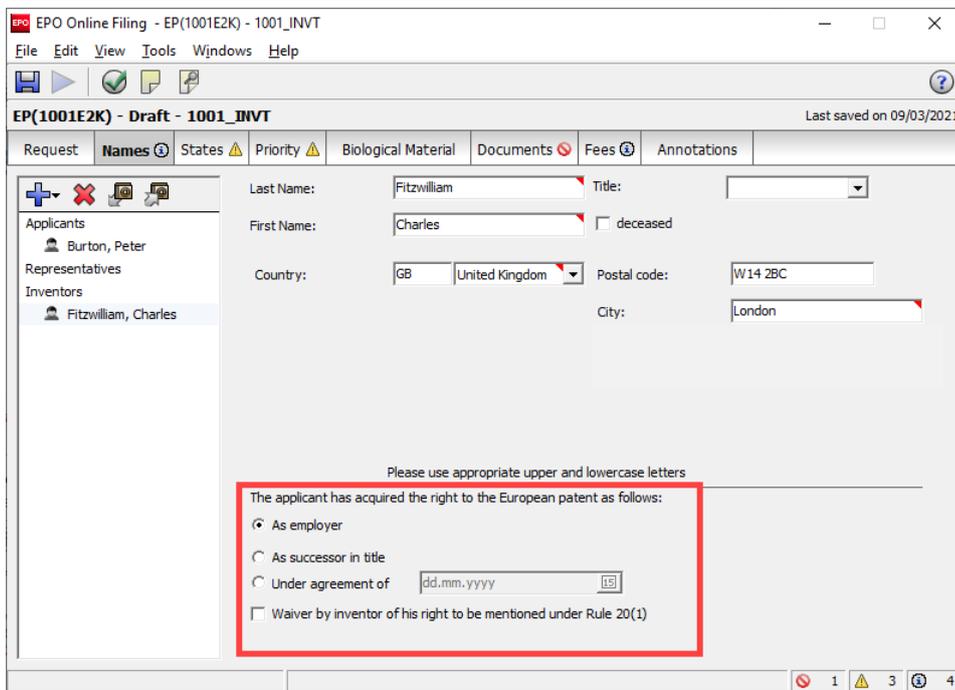


Figure 169: Details of inventor

## Deceased inventor

If one of the inventors to be designated is no longer alive, select the **Deceased** check box. All the address fields except the **Country** field (mandatory) are locked.

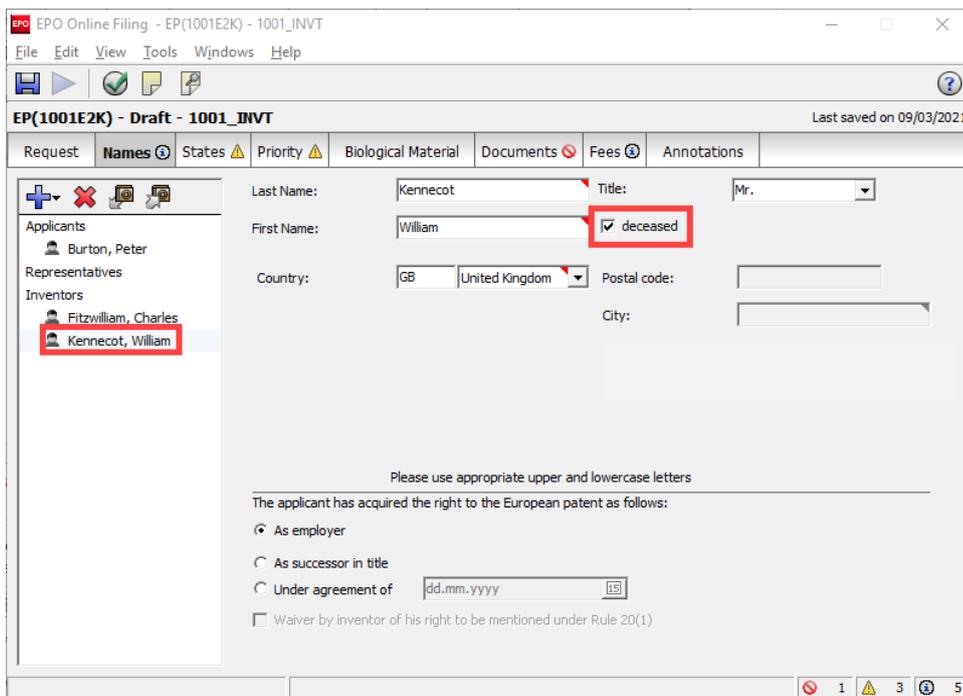


Figure 170: Designating a deceased inventor

## Inventor waiver Rule 20(1) EPC

An inventor is entitled to waive 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 171: 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. 158).

Print the waiver using the **Print file** icon 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. 157) in Form EP(1001E2K).

or

Submit it as a subsequently filed document with Form EP(1038E) (p. 205).

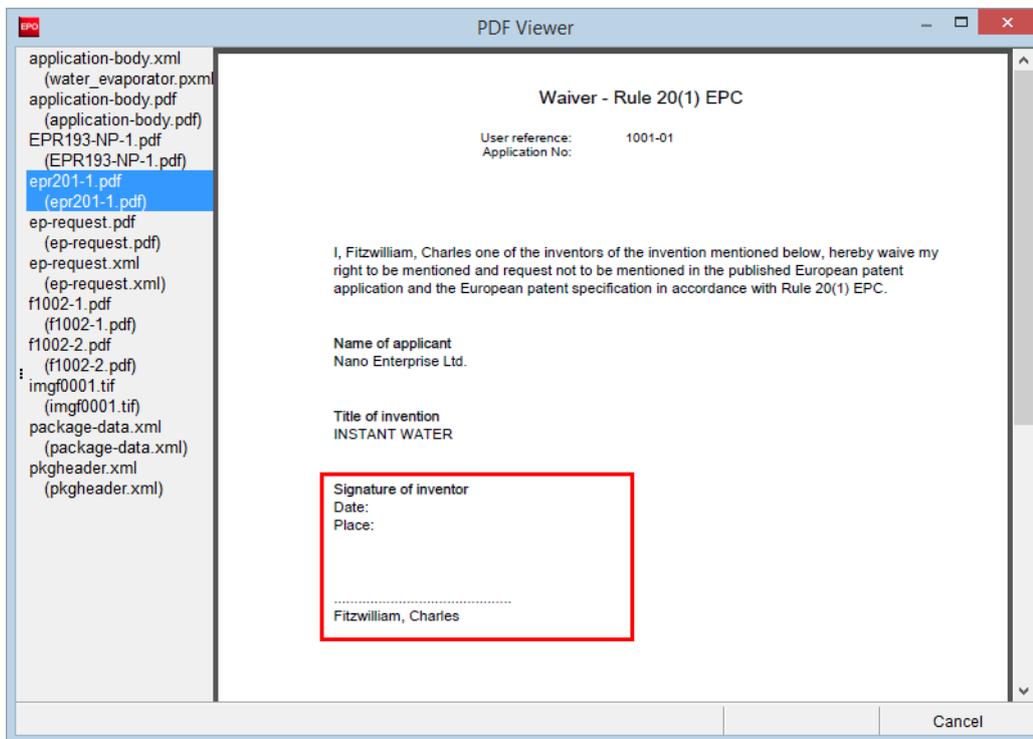


Figure 172: Options for inventor waivers with corresponding validation messages

### Public and non-public inventors

In this example, four inventors have been added to the form. One of the inventors has signed the waiver under Rule 20(1) EPC and is therefore designated as a non-public inventor.

Online Filing generates two separate **Designation of inventor** PDF forms: one for the public inventors and one for the non-public inventors.

File **f1002-1.pdf** lists the public inventors.

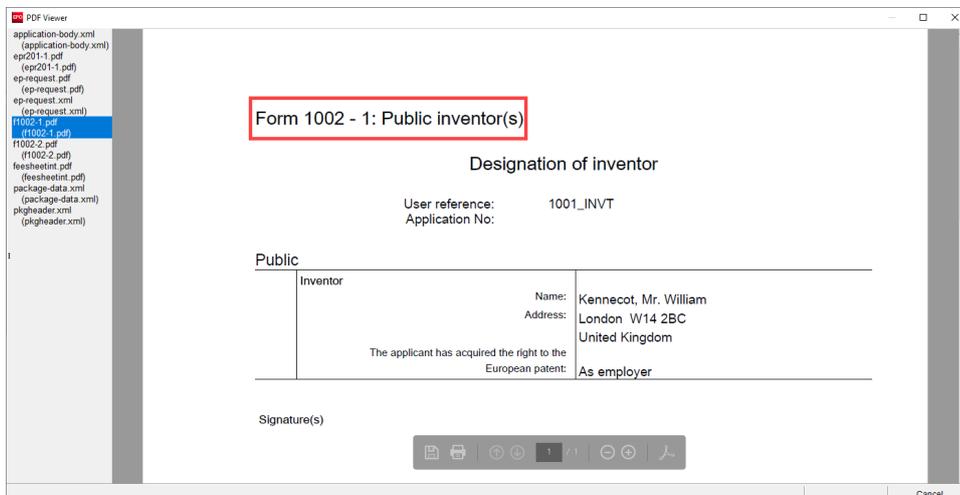


Figure 173: PDF form 1002-1with designation of public inventors

File **f1002-2.pdf** lists the non-public inventors.

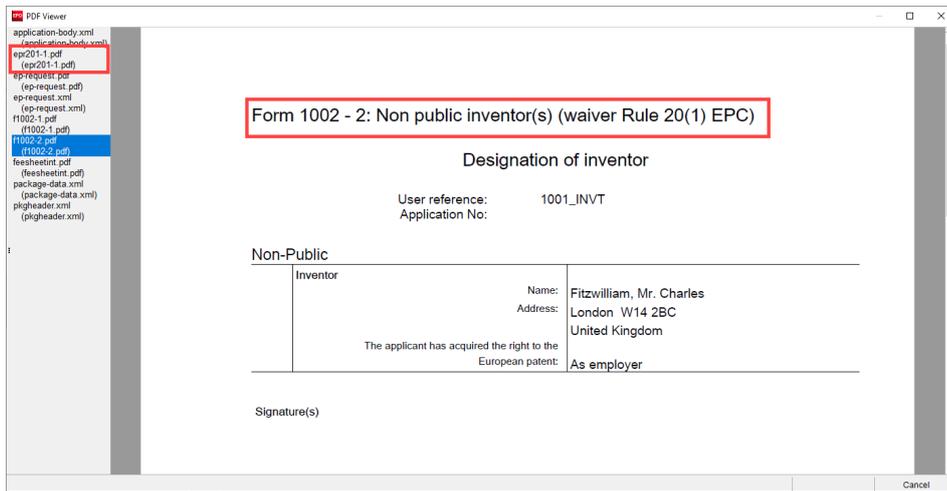


Figure 174: PDF form 1002-2 with designation of non-public inventors

### 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 sub-tab**.
- You can specify the extension states you want in the **Extension sub-tab**.
- You can specify the validation states you want in the **Validation sub-tab**.

The available states displayed in the three sub-tabs are determined by

- your version of the Online Filing software (its release date and whether you have installed any relevant updates).
- the filing date of the earlier application if your application is a divisional application. The states available are those which were contracting states, extension states or validation states at the time of filing of the earlier application.
- the date on which the validation agreement with the national patent office of the relevant state has entered into force.

For the latest list of EPC contracting states, extension states and validation states see the EPO website at **About us > European Patent Organisation > Member states** (<http://www.epo.org/about-us/organisation/member-states.html>). The EPC contracting states include all overseas departments and territories.



If you change the **Date of filing (Art. 80/Rule 40 EPC)** in the **Divisional** sub-tab under the **Request** tab, all of the designation states and none of the extension and validation states will be selected, i.e. the default settings appear and any states previously expressly selected in respect of the applicant(s) are lost. If this happens, please click the **States** tab and select the states again as appropriate. The yellow validation icon in the **States** tab notifies you of a warning message to this effect.

### 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.

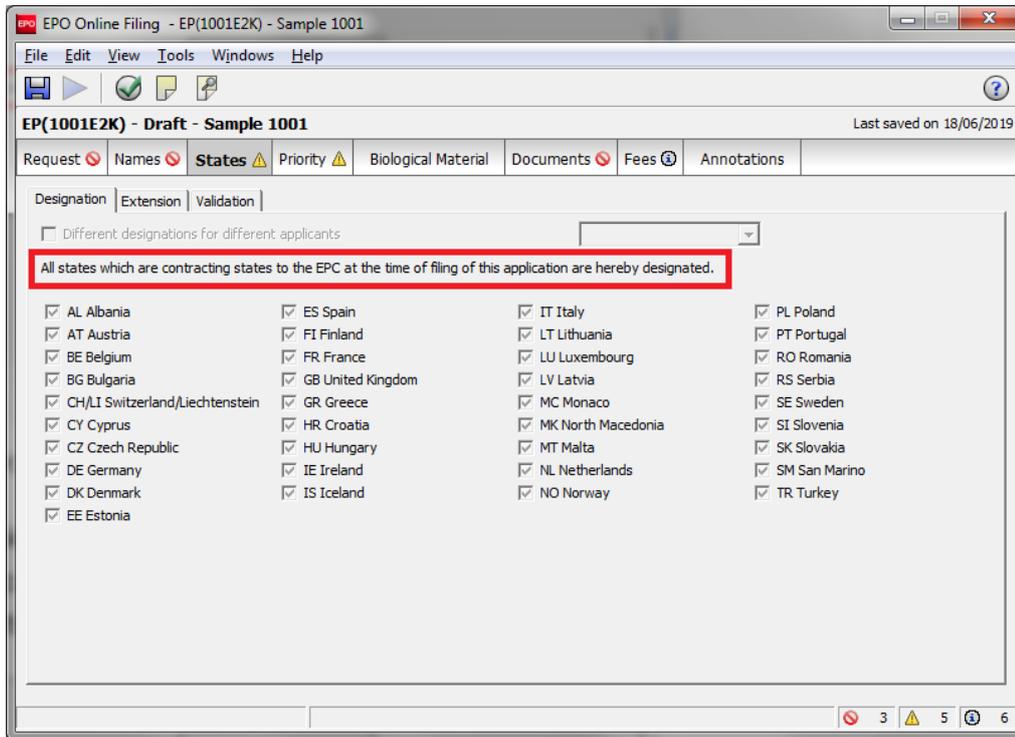


Figure 175: All contracting states to the EPC designated

If you selected the check box **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.

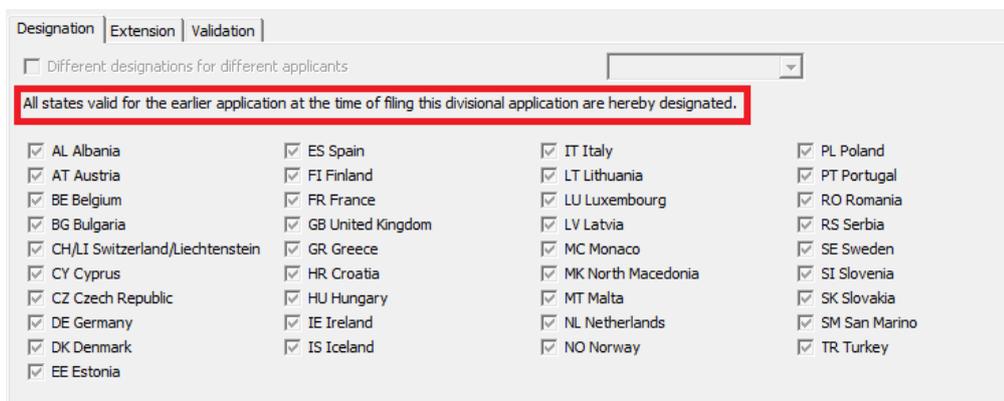


Figure 176: Reference to contracting states valid at the time of filing of the earlier application

#### 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 check box **Different designations for different applicants**.

Select an applicant from the list.

All states are automatically selected.

Clear the check boxes for those states which you wish to exclude for the selected applicant. In this example AT, DE and IT have been cleared.

Designation	Extension	Validation
<input checked="" type="checkbox"/> Different designations for different applicants		
Nano Enterprise Ltd.		
All states which are contracting states to the EPC at the time of filing of this application are hereby designated.		
<input checked="" type="checkbox"/> AL Albania	<input checked="" type="checkbox"/> ES Spain	<input checked="" type="checkbox"/> IT Italy
<input checked="" type="checkbox"/> AT Austria	<input checked="" type="checkbox"/> FI Finland	<input checked="" type="checkbox"/> LT Lithuania
<input checked="" type="checkbox"/> BE Belgium	<input checked="" type="checkbox"/> FR France	<input checked="" type="checkbox"/> LU Luxembourg
<input checked="" type="checkbox"/> BG Bulgaria	<input checked="" type="checkbox"/> GB United Kingdom	<input checked="" type="checkbox"/> LV Latvia
<input checked="" type="checkbox"/> CH/LI Switzerland/Liechtenstein	<input checked="" type="checkbox"/> GR Greece	<input checked="" type="checkbox"/> MC Monaco
<input checked="" type="checkbox"/> CY Cyprus	<input checked="" type="checkbox"/> HR Croatia	<input checked="" type="checkbox"/> MK North Macedonia
<input checked="" type="checkbox"/> CZ Czech Republic	<input checked="" type="checkbox"/> HU Hungary	<input checked="" type="checkbox"/> MT Malta
<input type="checkbox"/> DE Germany	<input checked="" type="checkbox"/> IE Ireland	<input checked="" type="checkbox"/> NL Netherlands
<input checked="" type="checkbox"/> DK Denmark	<input checked="" type="checkbox"/> IS Iceland	<input checked="" type="checkbox"/> NO Norway
<input checked="" type="checkbox"/> EE Estonia		<input checked="" type="checkbox"/> PL Poland
		<input checked="" type="checkbox"/> PT Portugal
		<input checked="" type="checkbox"/> RO Romania
		<input checked="" type="checkbox"/> RS Serbia
		<input checked="" type="checkbox"/> SE Sweden
		<input checked="" type="checkbox"/> SI Slovenia
		<input checked="" type="checkbox"/> SK Slovakia
		<input checked="" type="checkbox"/> SM San Marino
		<input checked="" type="checkbox"/> TR Turkey

Figure 177: Designating different states for different applicants

Select another applicant from the list.

All states are once again automatically selected.

Clear the boxes for the states you wish to exclude for the selected applicant.

In this example all the check boxes have been cleared except for AT, DE, IT, MC and MT. MC and MT are therefore designated for both applicants.

Designation	Extension	Validation
<input checked="" type="checkbox"/> Different designations for different applicants		
Preston, Anthony		
All states which are contracting states to the EPC at the time of filing of this application are hereby designated.		
<input type="checkbox"/> AL Albania	<input type="checkbox"/> ES Spain	<input checked="" type="checkbox"/> IT Italy
<input checked="" type="checkbox"/> AT Austria	<input type="checkbox"/> FI Finland	<input checked="" type="checkbox"/> LT Lithuania
<input type="checkbox"/> BE Belgium	<input type="checkbox"/> FR France	<input type="checkbox"/> LU Luxembourg
<input type="checkbox"/> BG Bulgaria	<input type="checkbox"/> GB United Kingdom	<input type="checkbox"/> LV Latvia
<input type="checkbox"/> CH/LI Switzerland/Liechtenstein	<input type="checkbox"/> GR Greece	<input checked="" type="checkbox"/> MC Monaco
<input type="checkbox"/> CY Cyprus	<input type="checkbox"/> HR Croatia	<input type="checkbox"/> MK North Macedonia
<input type="checkbox"/> CZ Czech Republic	<input type="checkbox"/> HU Hungary	<input checked="" type="checkbox"/> MT Malta
<input checked="" type="checkbox"/> DE Germany	<input type="checkbox"/> IE Ireland	<input type="checkbox"/> NL Netherlands
<input type="checkbox"/> DK Denmark	<input type="checkbox"/> IS Iceland	<input type="checkbox"/> NO Norway
<input type="checkbox"/> EE Estonia		<input type="checkbox"/> PL Poland
		<input type="checkbox"/> PT Portugal
		<input type="checkbox"/> RO Romania
		<input type="checkbox"/> RS Serbia
		<input type="checkbox"/> SE Sweden
		<input type="checkbox"/> SI Slovenia
		<input type="checkbox"/> SK Slovakia
		<input type="checkbox"/> SM San Marino
		<input type="checkbox"/> TR Turkey

Figure 178: Designating individual states for further applicant



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 Attaching documents (p. 219).

### 6.3.2 Extension states

In the **Extension** sub-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.

**i** Make sure you also select the extension fees for these states in the **Fees** tab.

Designation | Extension | Validation

This application is deemed to be a request to extend the effects of the European patent application and the European patent granted in respect of it to all non-contracting states to the EPC with which extension agreements are in force on the date on which the application is filed. However, the request is deemed withdrawn if the extension fee is not paid within the prescribed time limit.

All States with extension agreements:  
 Selected state(s):

BA Bosnia and Herzegovina  
 ME Montenegro

Figure 179: Selecting extension states

### 6.3.3 Validation states

In the **Validation** sub-tab, select the states with validation agreements to which the patent application filed should also be extended. Appropriate fees are payable for the selected validation states.

Click the **Validation** sub-tab.

Select the required option and, where appropriate, the individual states required.

**i** Make sure you also select the validation fees for these states in the **Fees** tab.

Designation | Extension | Validation

This application is deemed to be a request to extend the effects of the European patent application and the European patent granted in respect of it to all non-contracting states to the EPC with which validation agreements are in force on the date on which the application is filed. However, the request is deemed withdrawn if the validation fee is not paid within the prescribed time limit.

All states with validation agreements  
 Selected state(s): 2 selected

KH Cambodia  
 MA Morocco  
 MD Republic of Moldova  
 TN Tunisia

Figure 180: Selecting validation 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.

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 receiving office of the international application.

After the letters **US** enter the four digits for the year and the six digits of the application number. The pre-set slash remains in place.

- **EP \_\_\_\_\_.** when you select **EP** as the regional office.

After the letters **EP** enter eight digits and the check digit for the application number. The pre-set full stop remains in place.

For national priorities the format (where known) is shown to the right of the **Application Number** field. For example, if Italy (**IT**) is selected as the national office, different formats apply:

- **LL YYYY A nnnnnn** for patent applications from 01.01.1991 until 30.06.2016.

**LL** stands for the province (e.g. **TO** for Torino/Turin), **YYYY** for the year, **A** for patent application and **nnnnnn** for the number.

- **LL YYYY U nnnnnn** for utility models from 01.01.1991 until 30.06.2016.

**U** stands for utility model.

- **10 YYYY nnnnnnnnn** for patent applications from 01.07.2016 onwards.

- **20 YYYY nnnnnnnnn** for utility models from 01.07.2016 onwards.

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 check box **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.

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 check box for re-establishment of rights.

If appropriate, select the check box **It is not intended to file a (further) declaration of priority**.

For European patent applications claiming no priority (first filings), the Office always performs an accelerated search; no separate request is needed.

Figure 181: Priority of a regional application with request for re-establishment of rights

**i** 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 exempted from the obligation to file the search results, a yellow validation icon appears in the **Priority** tab.
- If the selected office is exempted from the obligation, a grey validation icon appears. At present (July 2016), these offices are **EP, JP, US, AT, GB, KR, DK** and **ES**.

Click **Choose file** 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 **Detach file** to remove this file and attach a different document for this priority declaration.

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 Fees 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 182: 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.

Sequence listings 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 **Depositary 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 depositary institution and other electronic documents.

The screenshot shows the 'EPO Online Filing - EP(1001E2K) - dcfvrb' window. The main tab is 'Biological Material'. The 'Further details' sub-tab is active, showing the following information:

- Identificator reference: BI-123456
- Depositary institution: European Collection of Cell Cultures (ECACC)
- Name and address: Culture Collections Public Health England, Porton Down, Salisbury, Wiltshire SP4 0JG, United Kingdom
- Accession number: ECACC-91234567

There are two checkboxes below the form:

- The information required under Rule 31(1)(c), i.e. depositary institution and accession number or, if the accession number is not yet known on the date of filing, the depositary institution and the depositor's identification reference(s) (number, symbols, etc.), is given in the technical documents on  
Page(s) [ ] Line(s) [ ]
- Availability restricted to experts (Rule 32(1))

The status bar at the bottom shows 2 errors, 5 warnings, and 11 information messages.

Figure 183: 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.

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:

- Technical documents (description, claims, abstract and drawings) in one or more PDF files
- Technical documents as XML or PatXML files
- Pre-conversion archives as ZIP files

## 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.

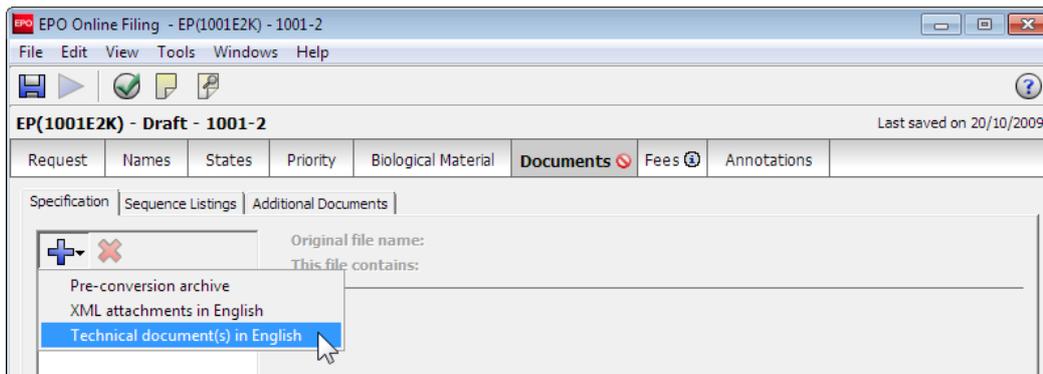


Figure 184: Document types for attached files

## 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.

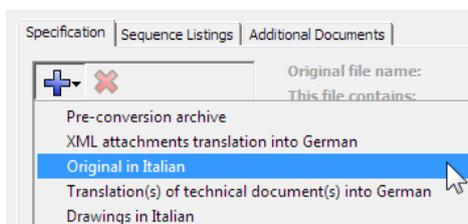


Figure 185: Attaching documents in another language

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 186: 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 **Technical document(s) in English**.

Navigate to the folder on your computer where you already saved the files.

Online Filing opens the working directory that was created under **Tools > User Preferences** in File Manager.

Select the required file.

Click **Open**.

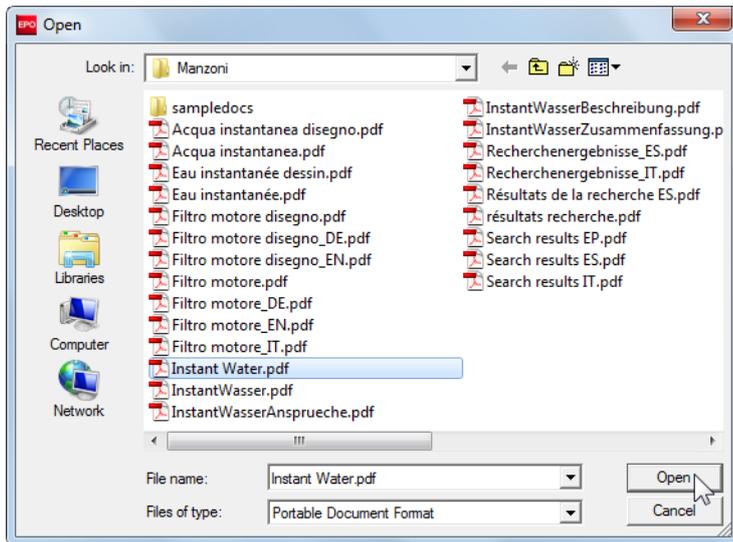


Figure 187: Navigating to where the documents you want to attach are saved

The file is attached and renamed **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.

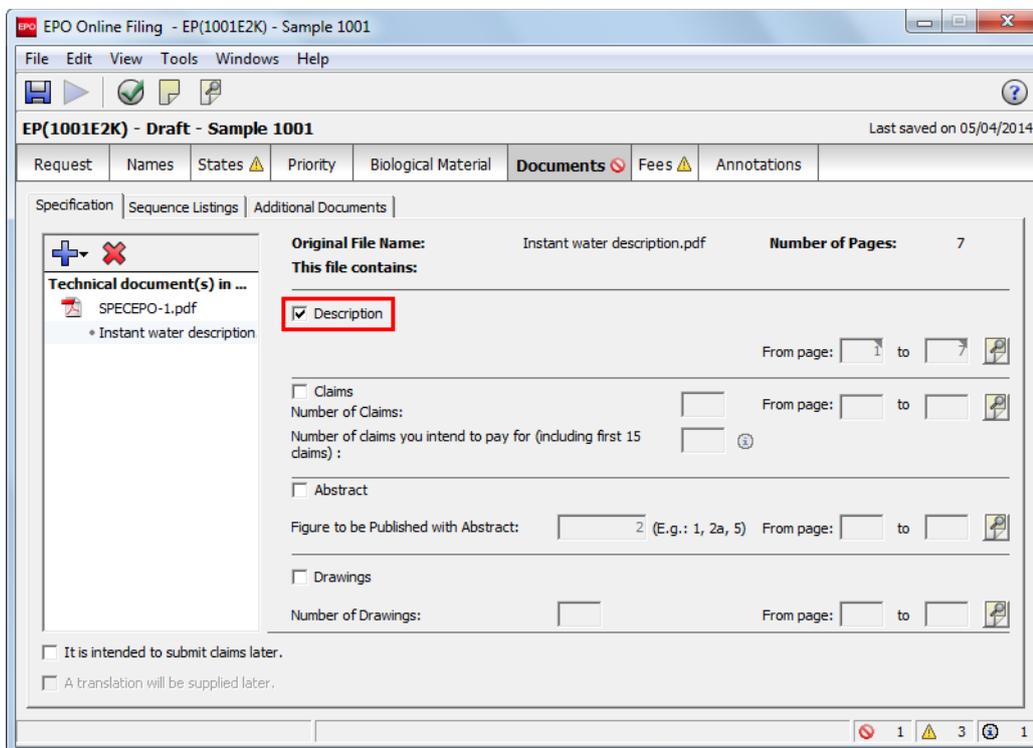


Figure 188: Description added as a PDF file in the "Specification" sub-tab

Attach the next PDF file.

The file is renamed **SPECEPO-2.pdf**.

Select the check box for the component you attached (**Claims**, for instance).

When attaching claims, enter the additional data in the two mandatory fields:

- **Number of claims**
- **Number of claims you intend to pay for (including first 15 claims).**
- This indication is exclusively for the purpose of fee calculation. If you do not intend to pay for any claims with this application, please enter **0** (zero) in this field.
- If the number of claims you intend to pay for is lower than the number of claims indicated, a yellow validation icon will appear in the **Documents** tab. In this case, please specify the claims for which you intend to pay by writing a note to the EPO in the **Annotations** tab.

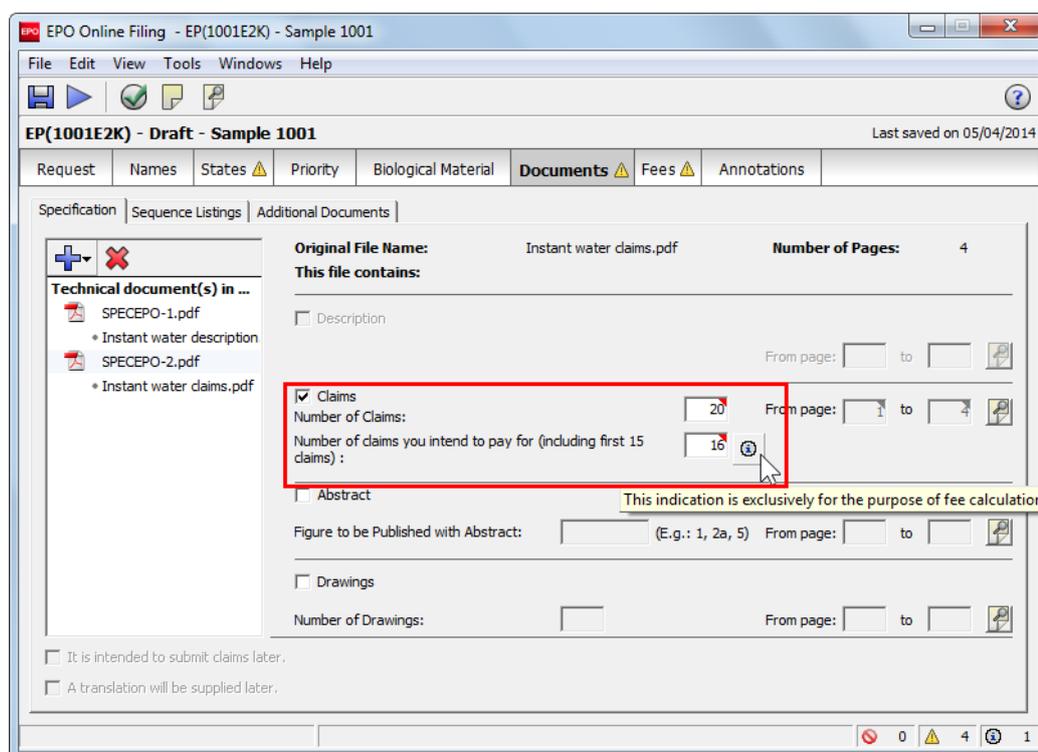


Figure 189: Claims added – number of claims and number of claims you intend to pay for (including first 15 claims) are entered

Repeat the process until all components are attached.

The software automatically recognises and enters all page numbers.

Select the appropriate check boxes for the attached documents.

You can only attach **Description**, **Claims** or **Abstract** once; these check boxes are disabled once you have attached a PDF file and you go to attach the next file. However, you can add as many drawings as you wish.

Enter additional data for the individual documents:

- If the abstract also contains a drawing: **Figure to be Published with Abstract**
- If you attach drawings: **Number of Drawings**

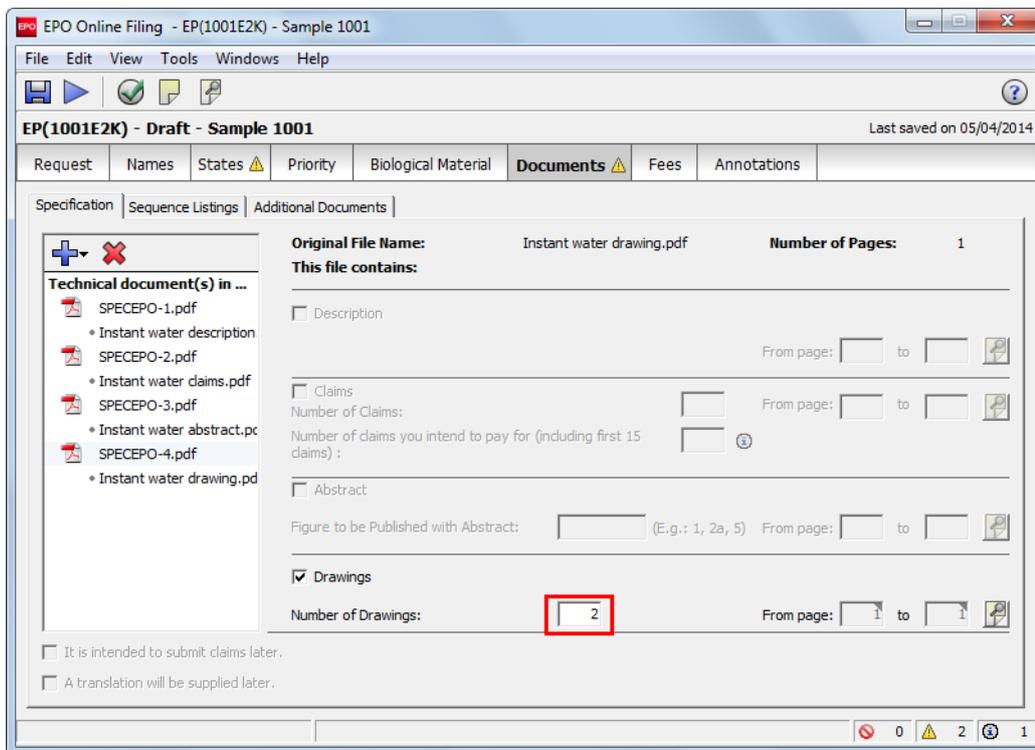


Figure 190: All four technical document components are added as PDF files

## Example 2 – A PDF file with more than one component is attached

Click the **Add** button and select **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.

Select the check box **It is intended to submit claims later** on the left-hand side below the list of attached documents.

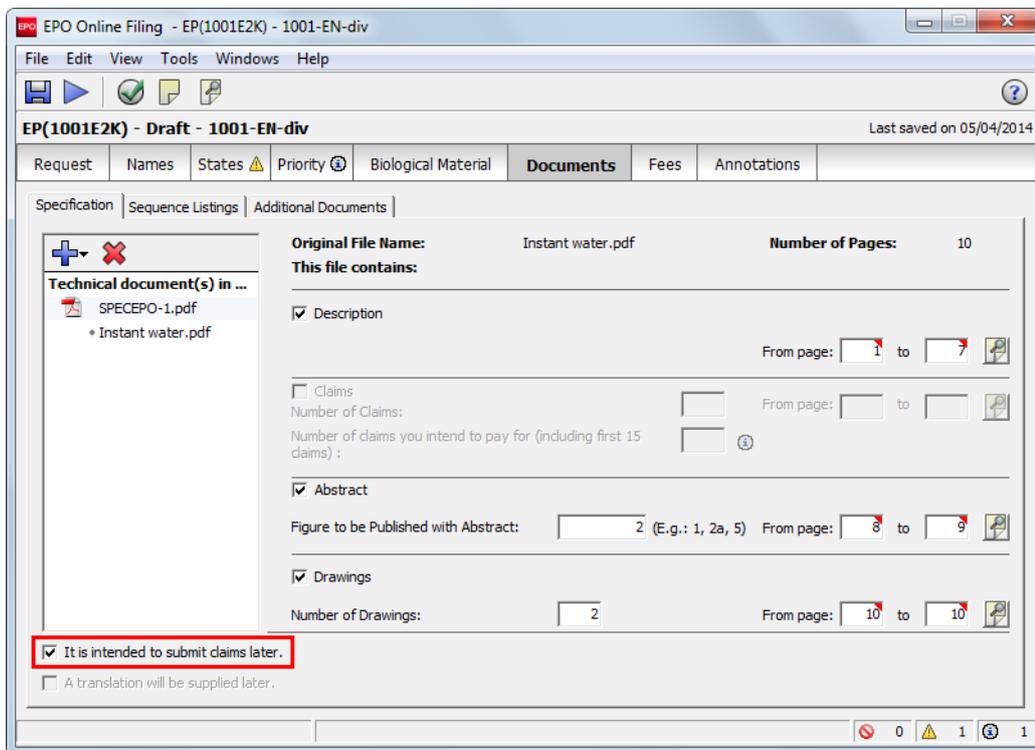


Figure 191: Option to submit claims later selected

## 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. 86).

In the **Documents** tab click the **Specification** sub-tab.

Click the Add button and select **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**.

If applicable, enter the number of the **Figure to be published with abstract**.

The **number of claims** is identified by the software and automatically inserted.

Enter the **number of claims you intend to pay for (including first 15 claims)**. This data is not imported from the XML file.

This indication is exclusively for the purpose of fee calculation. If you do not intend to pay for any claims with this application, please enter **0** (zero) in this field.

However, the **number of figures** is identified by the software and automatically inserted.

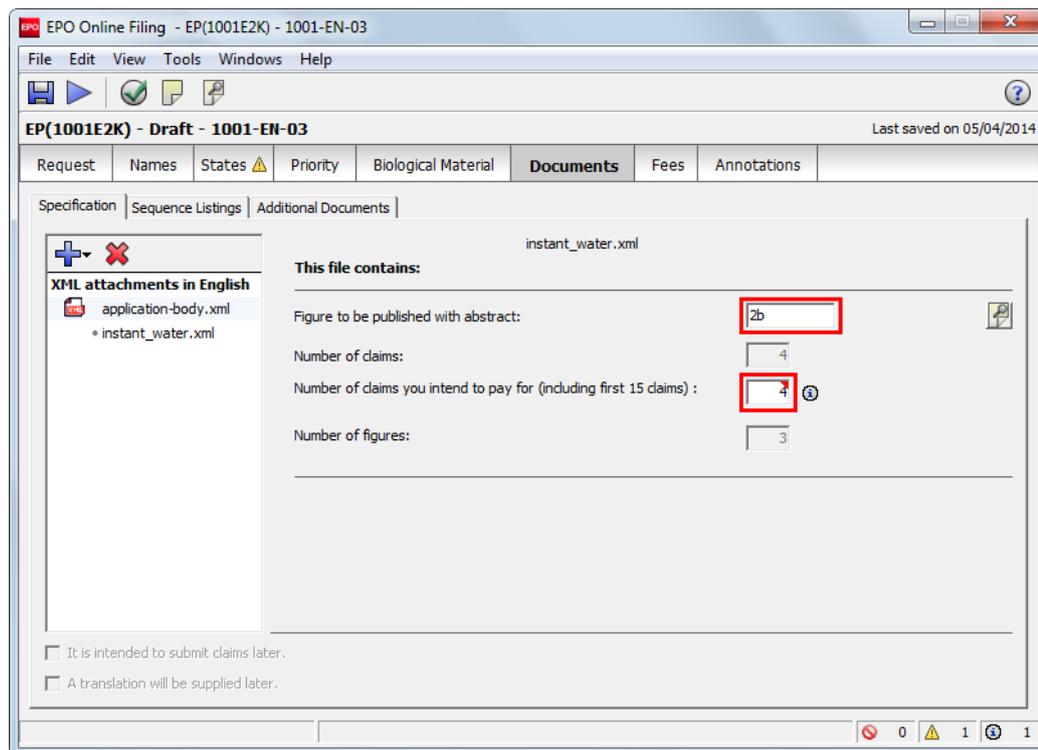


Figure 192: Attaching technical documents as an XML file

### 6.6.3 Technical documents in other languages

The options available for adding technical documents depend on the **procedural language** and the **filing language** selected 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**.

In this example, **Italian** was selected as the filing language in the **Request** tab.

Navigate to your PDF document and attach it.

The file is renamed **SPECNONEPO.pdf**.

Enter the **number of claims**.

Enter the **number of claims you intend to pay for (including first 15 claims)**.

**This indication is exclusively for the purpose of fee calculation. If you do not intend to pay for any claims with this application, please enter 0 (zero) in this field.**

Enter the number of figures.

If your document does not have any drawings, enter **0**.

If applicable, enter the number of the **Figure to be published with abstract**.

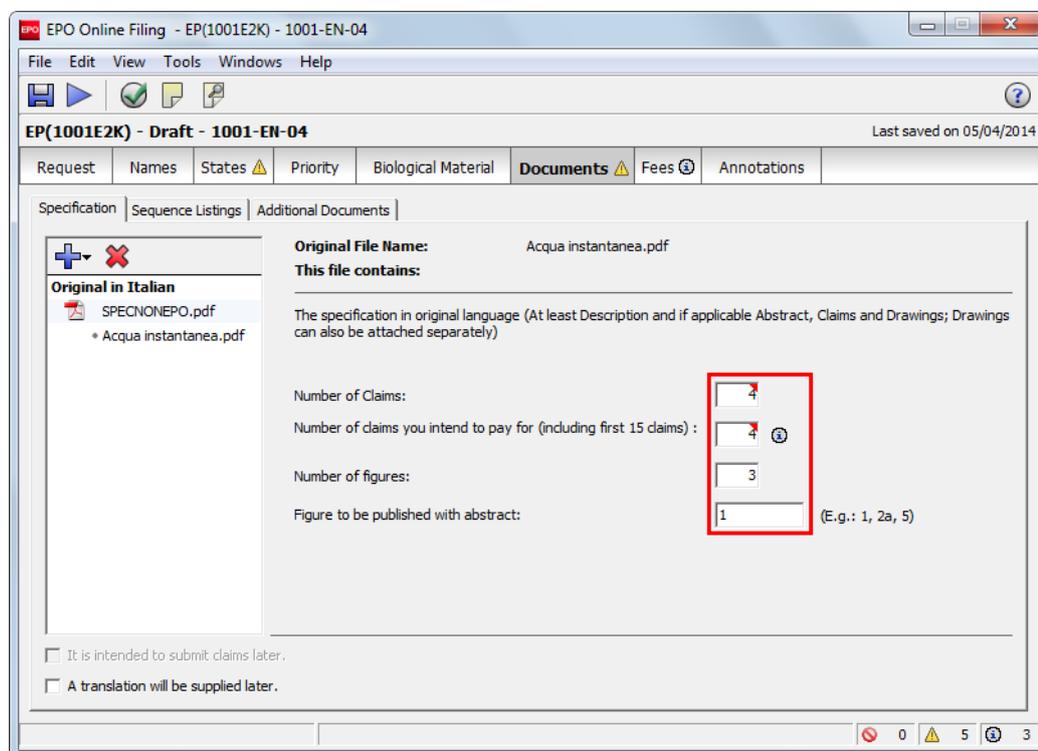


Figure 193: Attaching the Italian original

Click the **Add** button again and select **Translations into German (XML)**.

In this example, German was selected as the procedural language in the **Request** tab, so a translation of the original application into German is required.

Navigate to the XML document containing the translation and add it.

The file is renamed **application-body.xml**.

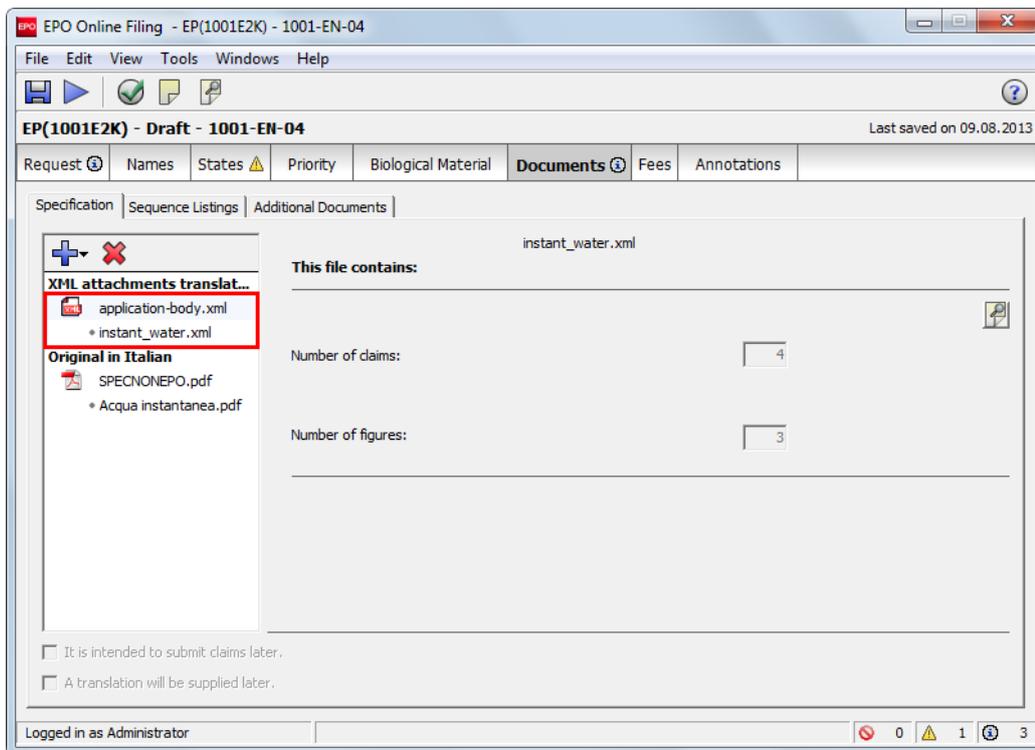


Figure 194: Attaching translation into German as XML

## 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**.

Enter the **Number of figures**.

Next, select **Original in Italian** and attach the file.

The file is renamed **SPECNONEPO.pdf**.

Enter all additional data.

The **Number of figures** field is deactivated if you already attached a file with drawings.

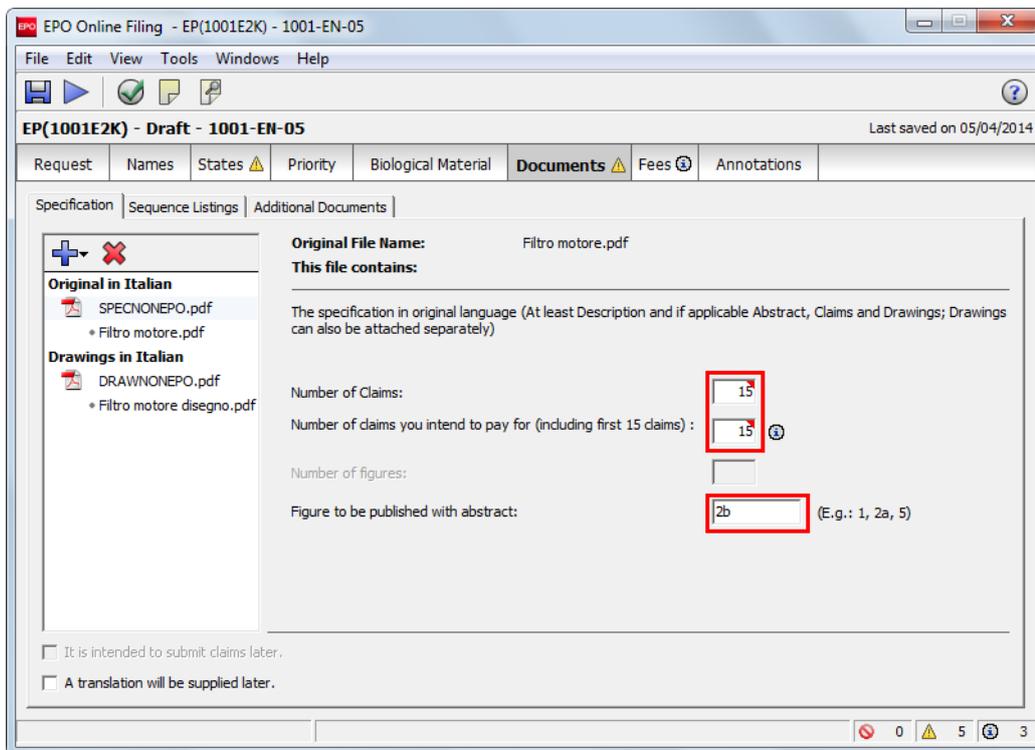


Figure 195: Documents added in the original language

To attach the two documents with the translations, select the option **Translation of technical document(s) into German** for each document.

Attach the translated drawings first.

The file is renamed **SPECTRANEPO-1.pdf**.

Select the check box for **Drawings**.

The page numbers are automatically entered in the **From page:** and **to:** fields.

Attach the translated specification.

The file is renamed **SPECTRANEPO-2.pdf**.

Select the check boxes for **Description**, **Claims** and **Abstract** and enter the page numbers for the components.

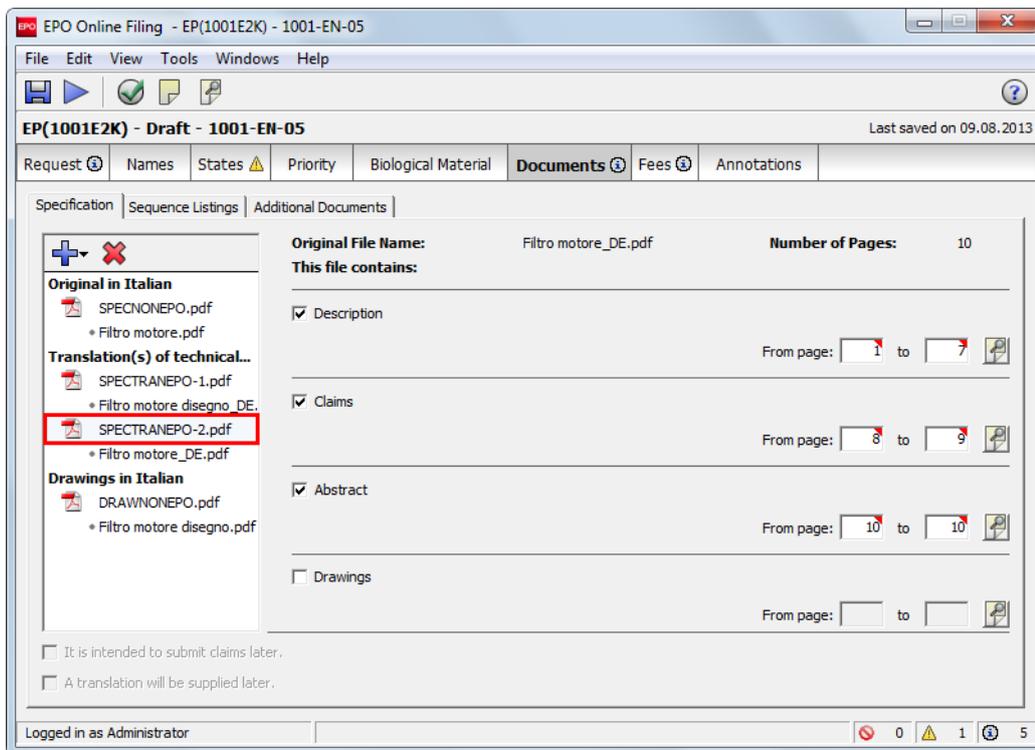


Figure 196: Documents in Italian and translations in German attached

#### 6.6.4 Pre-conversion archive

The **pre-conversion archive** option allows you to add your original documents, before converting them into PDF or XML files, as a compressed ZIP archive file. This may be helpful if you wish to provide the EPO with your original documents in colour. The documents contained in the ZIP file 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 event of quality issues.

 The EPO does not recognise documents as legally binding if they are exclusively filed as part of a ZIP archive. To be accepted as legally binding filings, the official patent documents must always be attached as PDF or ST.25 files under the correct document type.

#### Attaching pre-conversion archive

In the **Documents** tab under the **Specification** sub-tab click the **Add** button.



Select **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.

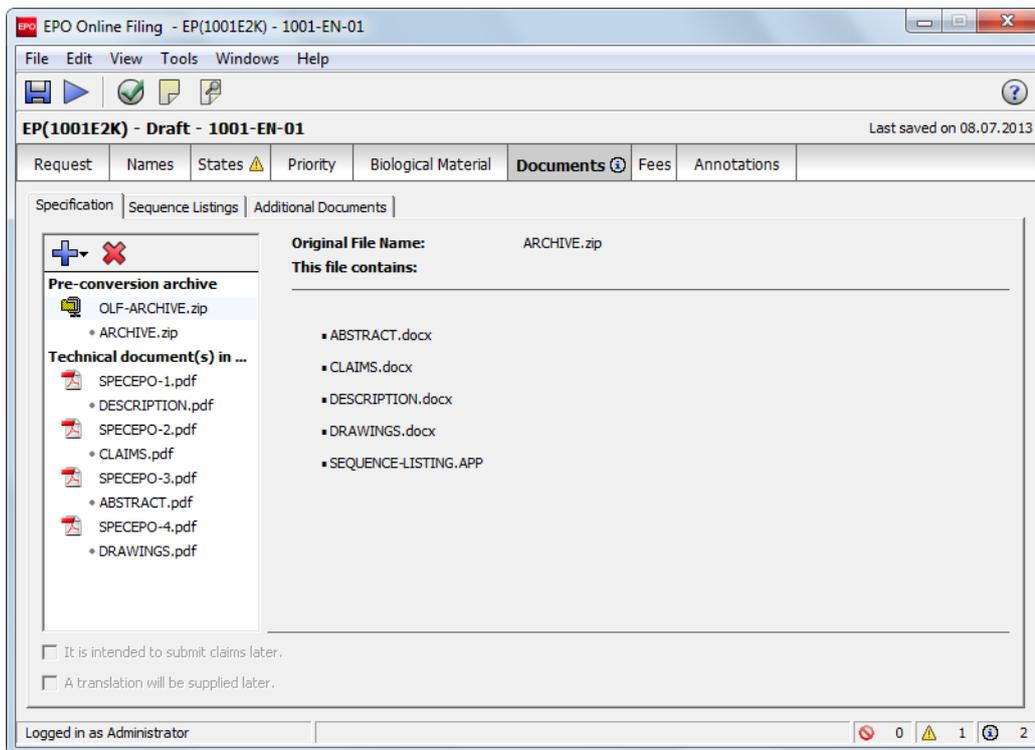


Figure 197: Attaching pre-conversion archive

### 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.26. If the sequence listing is not available in computer-readable format, please use WIPO Sequence to create sequence listings compliant with the new standard.

Computer-readable sequence listings can be attached as the following text-only file types:

- Archive File Format (file type **.zip**)
- XML format (file type **.xml**)

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**.

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.

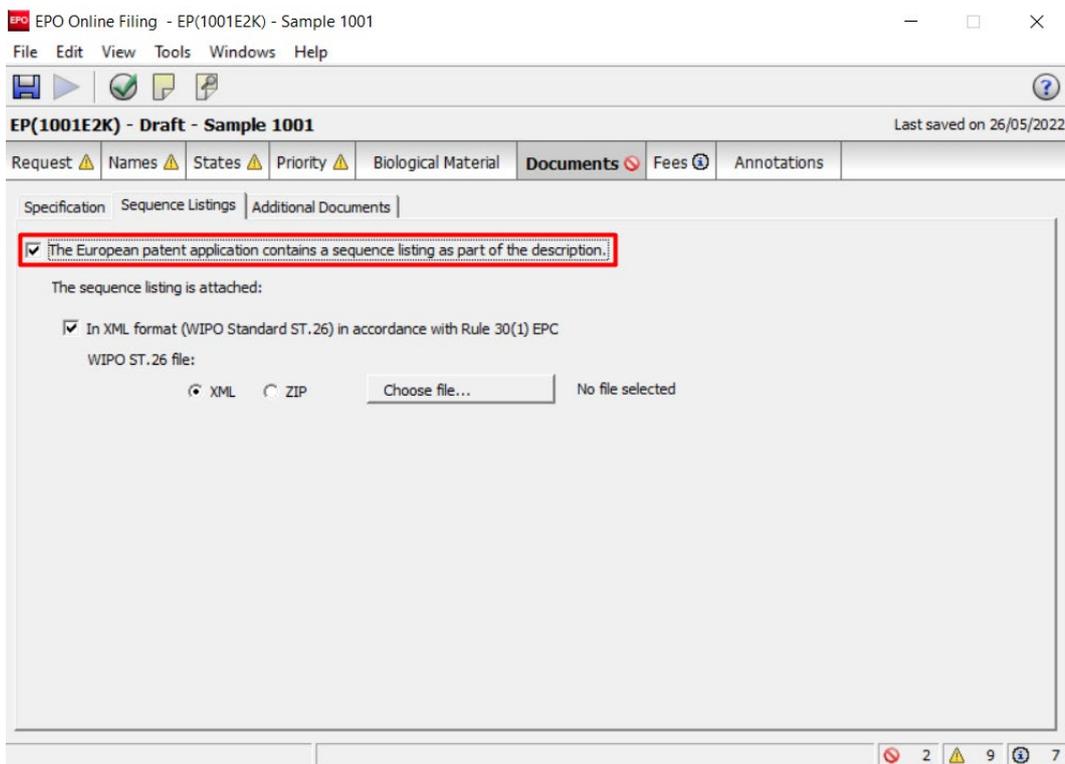


Figure 198: A sequence listing must be filed as part of the description

### Sequence listing in computer-readable format

Select the check box **In computer-readable format in accordance with WIPO Standard ST.26**.

Select the appropriate file type (XML or ZIP) and click **Choose file ...**

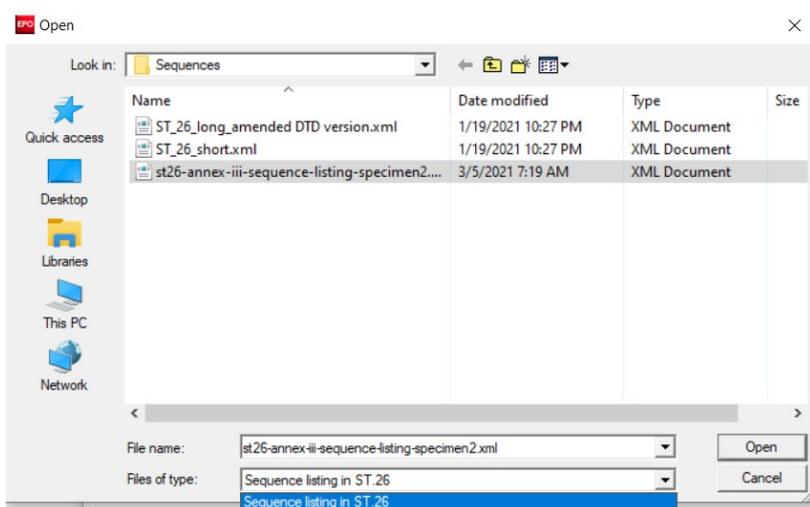


Figure 199: Selecting file type for sequence listing in computer-readable file format

Navigate to the required file and attach it.

Depending on the file type selected, the file is renamed **SEQLXML26.xml** or **SEQLZIP26.zip**.

The button's caption changes to **Detach file**.

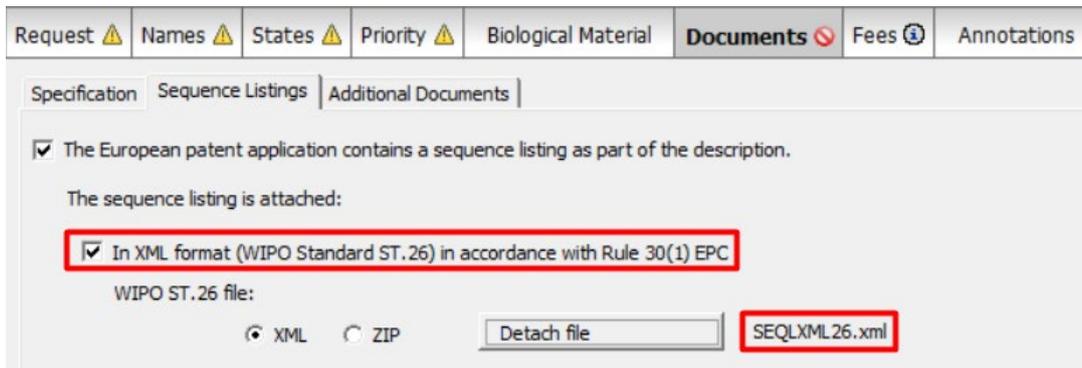


 Figure 200: Sequence listing in XML format attached. Note that, when selecting to submit a sequence listing as ZIP, the provided ZIP file must contain a single ST.26-compliant XML file. If the attached ZIP package contains none or multiple XML files, it will be rejected and a validation error message will be displayed.

### Changing the sequence listing format

If you attach a ZIP file and then decide to replace it with an XML file (or vice versa), proceed as follows:

- First, clear the check box for the currently selected format. This detaches the current file; both check boxes are now available for selection.
- Select the check box for the required format 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**.

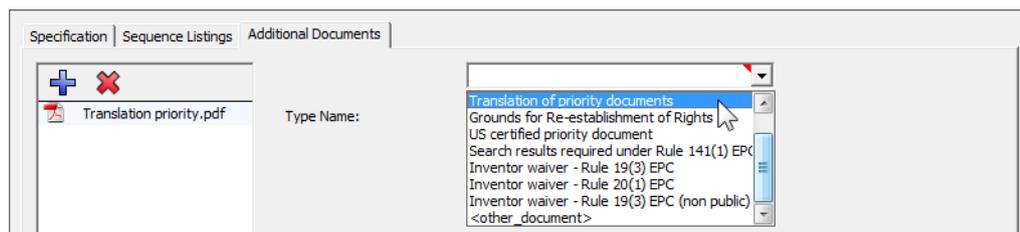


Figure 201: Attaching translation of priority documents as an additional document

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.

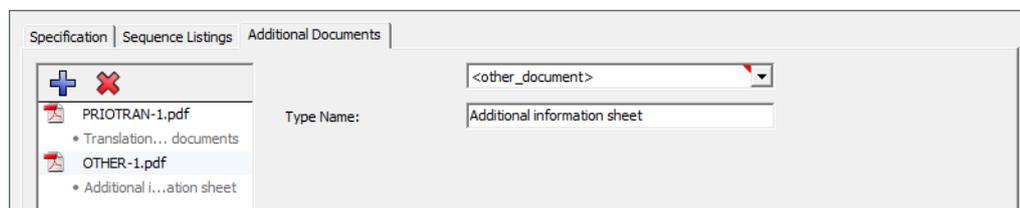


Figure 202: Attaching additional document with description

### **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 icon 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**.

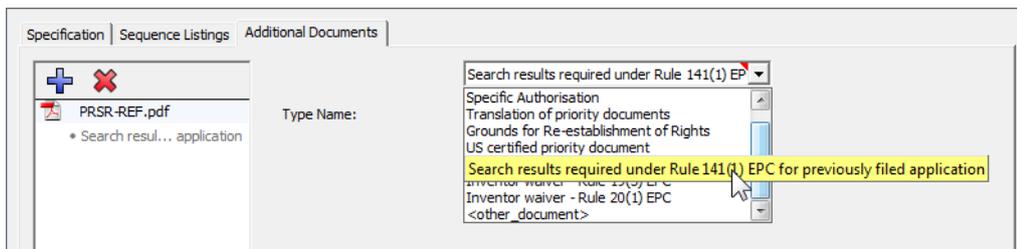


Figure 203: Adding search results for earlier application

## 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.

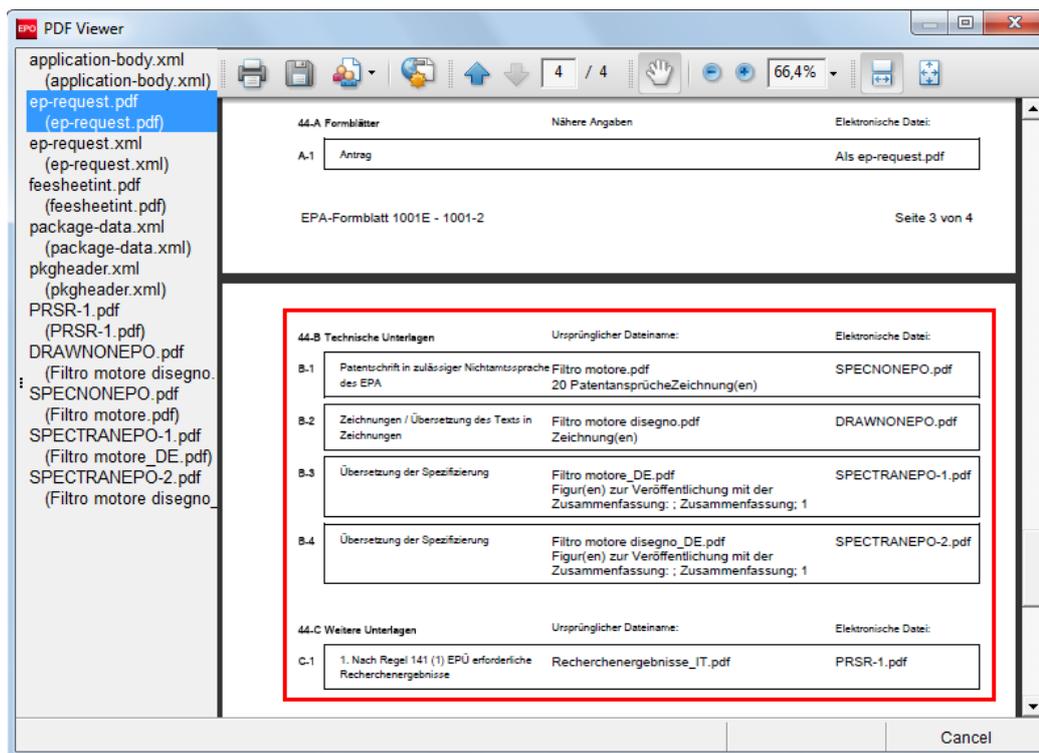


Figure 204: Previewing the application (technical documents section) in the PDF Viewer

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.

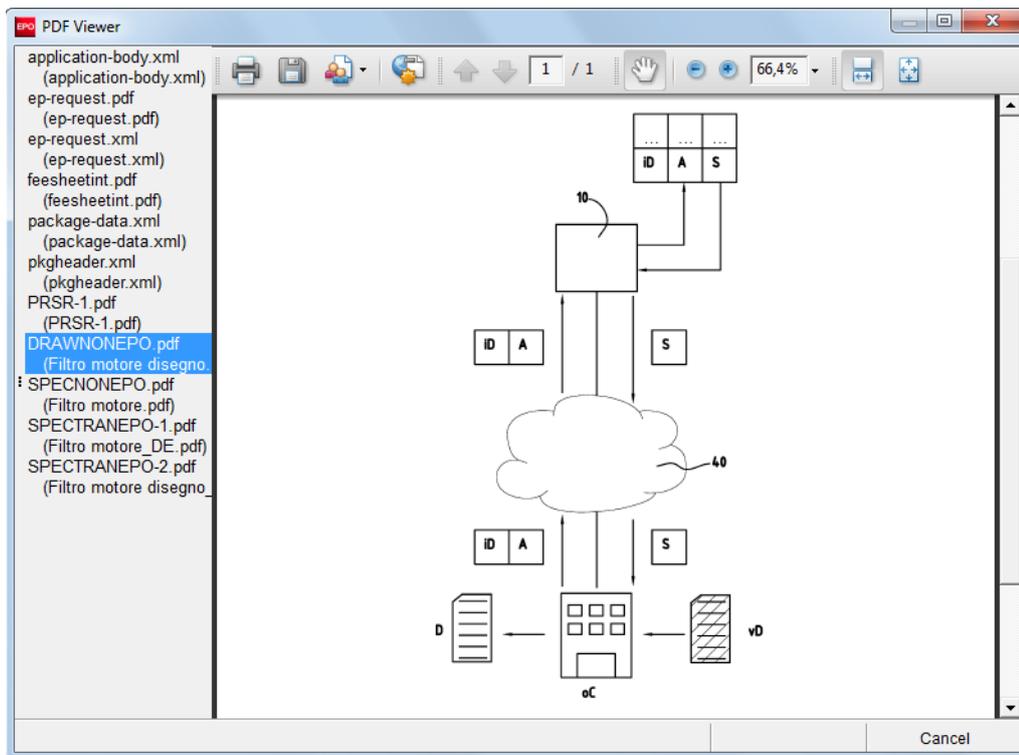


Figure 205: Attached drawings shown in the PDF Viewer

## 6.7 EP(1001E2K) – Fee Payment

In the **Fees** tab you can select the fees associated with your application and indicate how you wish to pay them. All fees must be paid in euros.

The fees displayed in the **Fees** 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>).

For more information on EPO deposit accounts and the automatic debiting procedure, please refer to the Official Journal:

- Arrangements for deposit accounts (ADA) Supplementary publication 3/2015, p. 8-16 (<http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p8.html>)
- Notice from the European Patent Office dated 12 February 2015 concerning revision of the Arrangements for deposit accounts (ADA) and their annexes Supplementary publication 3/2015, p. 2-7 (<http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p2.html>)
- Decision of the President of the European Patent Office dated 29 September 2016 revising points 5.3 and 7 of the Arrangements for deposit accounts (ADA) OJ EPO 2016, A83 (<http://www.epo.org/law-practice/legal-texts/official-journal/2016/10/a83.html>)

## 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 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**

All payments in EUR must be transferred to the EPO's bank account with the Commerzbank AG in Munich, Germany. The IBAN and BIC codes of the EPO's bank account are supplied automatically when you select the Commerzbank from the drop-down list.

- **Credit card**

All payments by credit card must be made via the dedicated EPO fee payment service on the EPO website at **Applying for a patent > Online services > Paying fees online > Pay by credit card** (<https://epo.org/fee-payment-service/en/login>).

Choosing this mode of payment in the Payment details sub-tab is considered merely an indication of how you intend to pay.

- **Not specified**

Choose this option if you do not intend to pay fees with this form or if you are not sure how you will be paying your fees.

The grey validation icon in the **Fees** 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**.

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 **Fees** tab. The corresponding validation message tells you to verify the deposit account number. The same rule applies to the deposit account number for reimbursement.

Enter the name of the **account holder**.

If you wish to have the fees debited from your account later than the filing date of your application, enter the date in the **Deferred execution date** field.

Hover your mouse pointer over the symbol  to the right of the **Deferred execution date** field to see the **Important information**:

This functionality allows you to indicate explicitly that your payment order is to be executed at a later date than the submission date.

In this case, the payment date will be deemed to be the deferred execution date, provided that you have sufficient funds on your deposit account on that date.

Please choose the deferred execution date option only if the fees are to be debited on a future date, as otherwise the default execution date is the date of receipt.

The deferred execution date can be a maximum of 40 days in the future.

Please ensure that the deferred execution date lies within the time limit set for paying the selected fees.

Please note that any debit orders (standard or deferred execution) can only be revoked until 00.00 hrs CET on the date of submission (Arrangements for deposit accounts, 7).

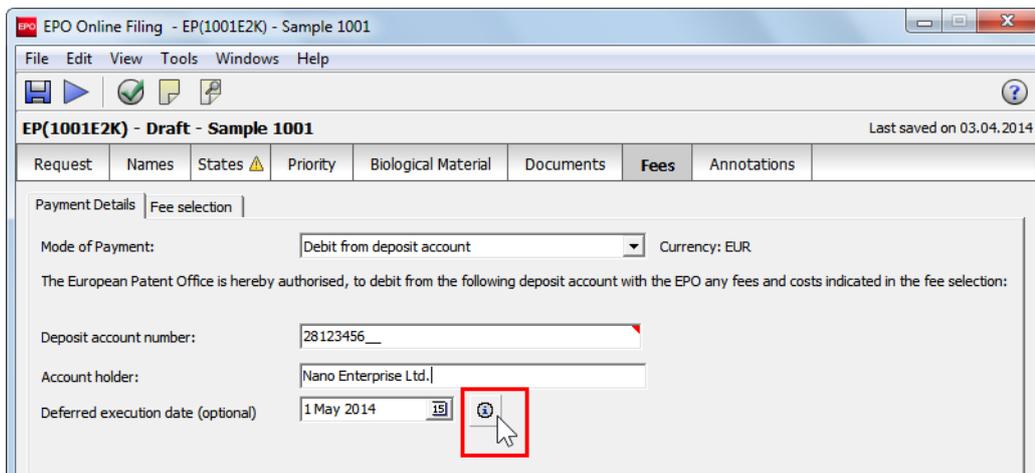


Figure 206: Entering payment details for deposit account

## Bank transfer

Select **Bank transfer** as Mode of payment.

Select **DE, Commerzbank AG, München** from the list.

This information is mandatory.

The IBAN and BIC codes of the EPO's bank account are supplied automatically.

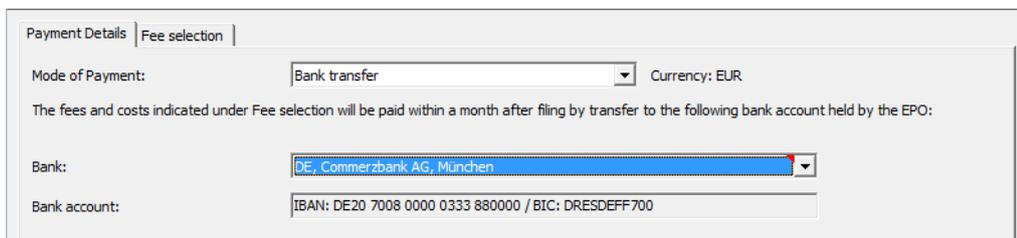


Figure 207: Selecting bank transfer as mode of payment

## Further options

The **Payment details** sub-tab offers some additional options at the bottom of the screen.

If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, select the corresponding check box.

This information applies to all selected modes of payment. 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 and supply the account holder's name.

If you want to request a refund of the search fee, select 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**, select the corresponding check box and enter the number of copies required.

The validation message (yellow icon) informs you that the corresponding fee 055 should also be selected. You should therefore select the check box for fee 055 in the **Fee selection** sub-tab (it is not selected by default).

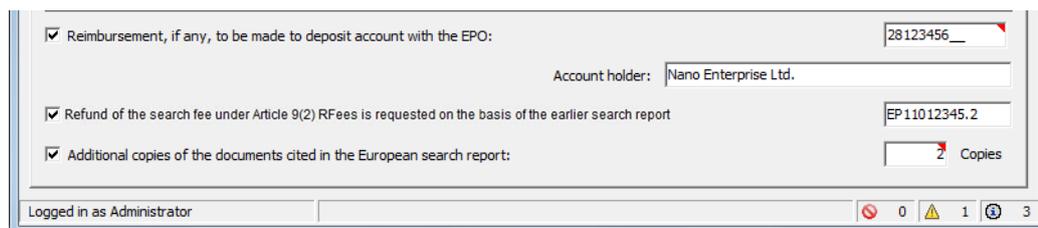


Figure 208: Other options for fee payment in Form EP(1001E2K)

## 6.7.2 Fee selection

Frequently paid fees such as the **Filing fee (001)** and the **Fee for a European search (002)** are automatically selected and calculated by the software.

Other fees such as **extension fees** or the fee for **additional copies of documents cited in the search report (055)** become applicable based on the selections you make in the form.

The validation messages indicate which fees are to be paid.

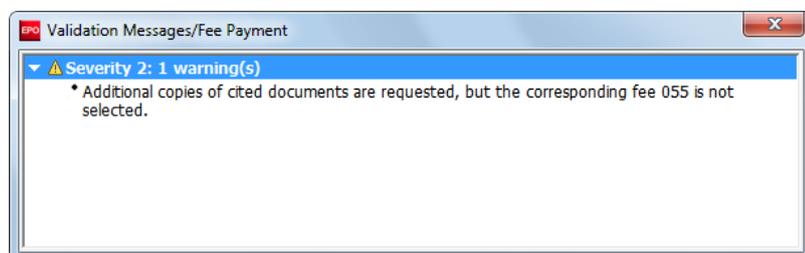


Figure 209: Validation messages with information on the fees to be paid

Select the check boxes of the fees to be paid.

The relevant quantity is already entered.

The amount to pay is automatically calculated.

The check boxes for fees not applicable in this application are locked.

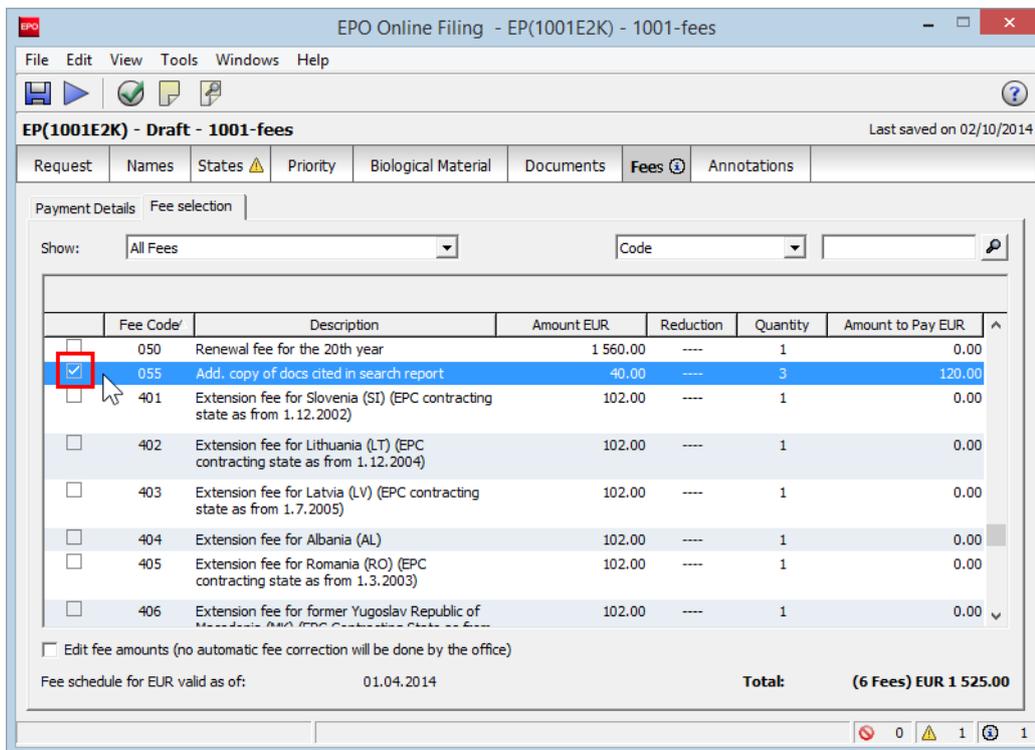


Figure 210: Selecting fees

## Filtering the fees displayed

You can filter the list of fees by selecting one of the options in the **Show** list:

- **All fees**
- **Selected fees only:** all fees selected for the current application.

The claims fees, **015** and **015e**, are selected by default and always locked. The quantity for both fees is determined by the **Number of claims you intend to pay for (including first 15 claims)** field in the **Documents** tab and cannot be edited in the **Fee selection** sub-tab.

Selecting the appropriate generation in the **Divisional** sub-tab immediately triggers the selection of the correct fee in the **Fee selection** sub-tab, e.g. **Additional fee for 2nd generation (552)**. The check box for this fee cannot be cleared.

Payment Details Fee selection

Show: Selected fees only Code

	Fee Code/	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input checked="" type="checkbox"/>	001	Filing fee - EP direct - online	120,00	none	1	120,00
<input checked="" type="checkbox"/>	002	Fee for a European search - Applications filed on/after 01.07.2005	1 285,00	----	1	1 285,00
<input checked="" type="checkbox"/>	015	Claims fee for 16th up to 50th claim	235,00	----	0	0,00
<input checked="" type="checkbox"/>	015e	Claims fee - For the 51st and each subsequent claim	580,00	----	0	0,00
<input checked="" type="checkbox"/>	055	Add. copy of docs cited in search report	40,00	----	3	120,00
<input checked="" type="checkbox"/>	501	Additional filing fee for the 36th and each subsequent page	15,00	none	0	0,00
<input checked="" type="checkbox"/>	552	Additional fee for divisional 2nd generation	210,00	none	1	210,00

Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2014

**Total: (7 Fees) EUR 1 735,00**

Figure 211: 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 (application, priority document, patent certificate, other documents)
- 055 – Add. copy of docs cited in search report
- 501 – Additional filing fee for the 36th and each subsequent page

## Editing fee amounts and reductions

If you wish to edit a fee amount or apply a specific reduction, you have to select the **Edit fee amounts** check box. If you do so, please note that there will be no automatic fee correction for this application. Depending on your selected mode of payment, the total amount shown will be debited from your deposit account or is payable by bank transfer.

Select 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
<input checked="" type="checkbox"/>	001	Filing fee - EP direct - online	120,00	none	1	120,00
<input checked="" type="checkbox"/>	002	Fee for a European search - Applications filed on/after 01.07.2005	900	none	1	1 285,00
<input checked="" type="checkbox"/>	015	Claims fee for 16th up to 50th claim	235,00	none	0	0,00
<input checked="" type="checkbox"/>	015e	Claims fee - For the 51st and each subsequent claim	580,00	none	0	0,00
<input checked="" type="checkbox"/>	055	Add. copy of docs cited in search report	40,00	none	3	120,00
<input checked="" type="checkbox"/>	501	Additional filing fee for the 36th and each subsequent page	15,00	none	0	0,00
<input checked="" type="checkbox"/>	552	Additional fee for divisional 2nd generation	210,00	none	1	210,00

Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2014 **Total: (7 Fees) EUR 1 735,00**

Figure 212: 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
<input checked="" type="checkbox"/>	001	Filing fee - EP direct - online	120,00	none	1	120,00
<input checked="" type="checkbox"/>	002	Fee for a European search - Applications filed on/after 01.07.2005	900,00	none	1	900,00
<input checked="" type="checkbox"/>	015	Claims fee for 16th up to 50th claim	235,00	none	0	0,00
<input checked="" type="checkbox"/>	015e	Claims fee - For the 51st and each subsequent claim	580,00	none	0	0,00
<input checked="" type="checkbox"/>	055	Add. copy of docs cited in search report	40,00	none	3	120,00
<input checked="" type="checkbox"/>	501	Additional filing fee for the 36th and each subsequent page	15,00	none	0	0,00
<input checked="" type="checkbox"/>	552	Additional fee for divisional 2nd generation	210,00	none	1	210,00

Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2014 **Total: (7 Fees) EUR 1 350,00**

Figure 213: 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.

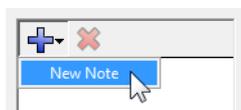
The original values for all fees are restored in the form.

## 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.

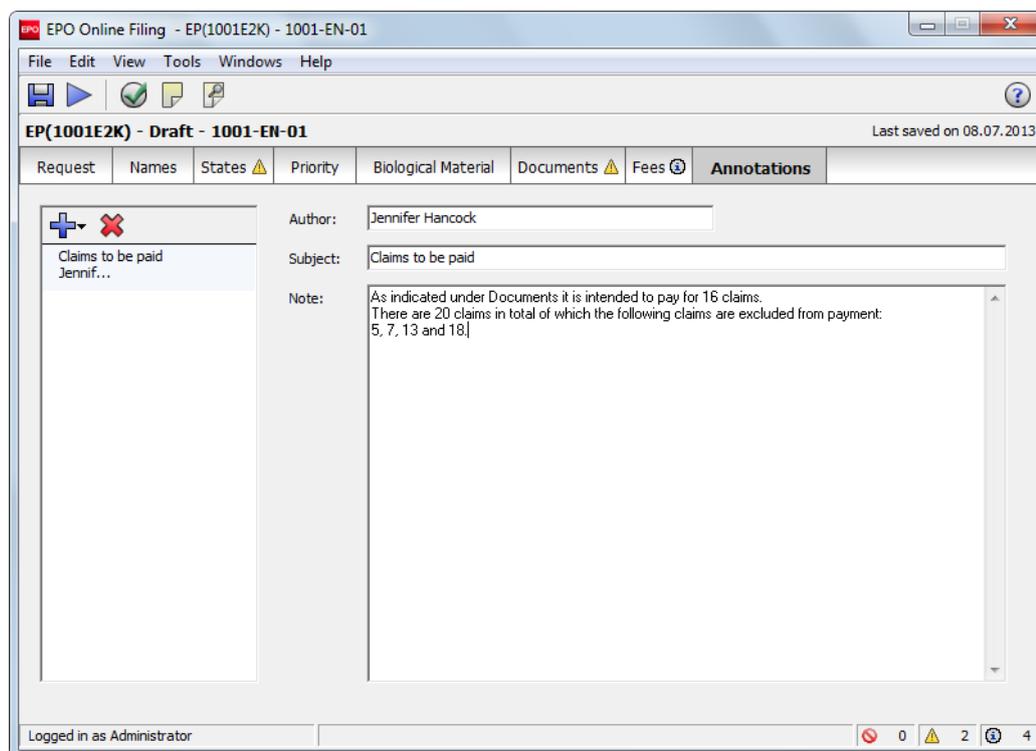


Figure 214: Adding a new note for the EPO

To add notes that are not intended for the EPO, use the **Internal notes** (p. 42) function on the form's toolbar.



## 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/>).

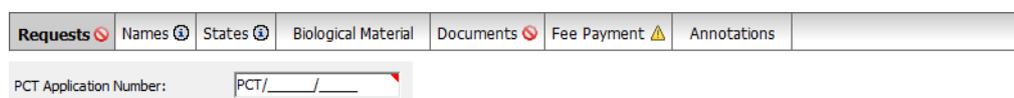
### Data input in form Euro-PCT(1200E2K)

Form Euro-PCT(1200E2K) is organised into seven tabs. It is recommended to enter the data in the tab sequence given, i.e. starting with the **Requests** tab. Certain options and conditions in the **Documents** tab, for instance, are determined by the selections you make in the **Requests** tab.

Tab	What you can do
<b>Requests</b>	Select the EPO's role, request examination in admissible non-EPO language. Select early processing of the application. Select waivers relevant for acceleration of the procedure. Select the language of the international publication and the procedural language. Enter details of the international application, select the ISA and IPEA.
<b>Names</b>	Enter changes concerning applicant(s), representative(s) and authorisations named in the international application.
<b>States</b>	Designate contracting states, extension states and validation states.
<b>Biological Material</b>	Enter details of deposited microorganisms and the depositary institution.
<b>Documents</b>	Attach amendments, translations of priority applications and other electronic files. Enter the number of pages in the documents attached or referenced.
<b>Fees</b>	Enter the mode of payment, select fees according to the appropriate fee schedule.
<b>Annotations</b>	Supply additional information for the EPO.

### Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. You must either manually fill out this field or 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 image shows a horizontal row of seven tabs: **Requests** (with a red validation icon), **Names** (with a blue question mark icon), **States** (with a blue question mark icon), **Biological Material**, **Documents** (with a red validation icon), **Fee Payment** (with a yellow warning triangle icon), and **Annotations**. Below the tabs is a text input field labeled "PCT Application Number:" with a red triangle in the top right corner of the input area. The field contains the text "PCT/\_\_\_/\_\_\_".

Figure 215: The PCT application number is a mandatory field in the Requests tab and is marked with a red triangle

## Elements in Form Euro-PCT(1200E2K)

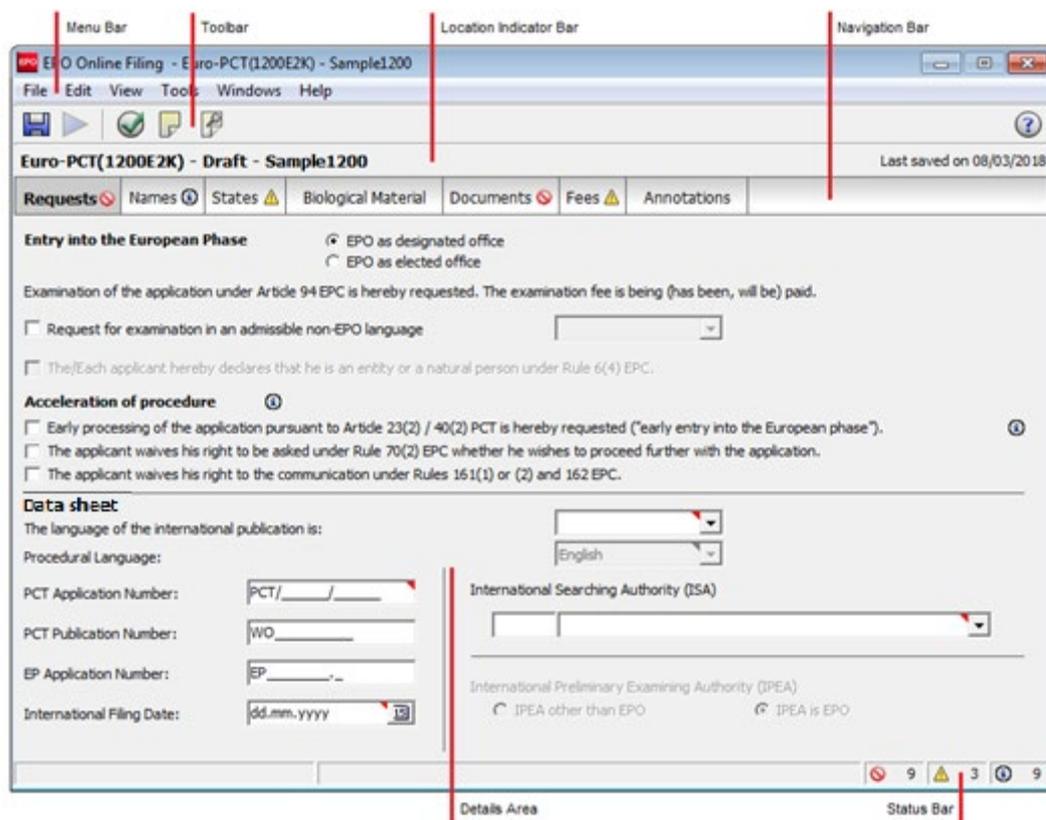


Figure 216: Euro-PCT(1200E2K) – Overview

Element	Description
<b>Menu Bar</b>	Provides all options needed to edit, save, import and export drafts, set the display and change the status, as well as other tools.
<b>Toolbar</b>	Provides shortcuts to the most frequently used tasks and tools.
<b>Location Indicator Bar</b>	Shows the selected procedure, the current status and the user reference for the open draft.
<b>Navigation Bar</b>	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.
<b>Details Area</b>	Displays data entry fields appropriate to the selected tab.
<b>Status Bar</b>	Displays information about the current activity. Shows the total number of validation messages for the open draft.

## 7.1 Euro-PCT(1200E2K) – EP Phase

The **Requests** tab of Euro-PCT(1200E2K) is where you request examination of your application under Article 94 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>).

The **Requests** tab contains two sections for entering data:

- Entry into the European phase (EPO as **designated** or **elected office**)
- Data sheet

### 7.1.1 Entry into the European phase

Select the EPO as either designated office or elected office.

#### Language in which the request for examination is made

Applicants who are nationals of an EPC contracting state or who have their residence or principal place of business in an EPC contracting state can request examination in an official language of that state, if this language is an admissible non-official EPO language, i.e. if it is not English, French or German (Article 14(4) EPC).

If appropriate, select the check box **Request for examination in admissible non-official EPO language**.

Select the relevant 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.

#### Declaration under Rule 6(4) EPC

The check box for the declaration under Rule 6(4) becomes available if you select the check box **Request for examination in admissible non-official EPO language**.

The validation message in the **Requests** tab (severity level 2) provides further details. If each applicant fulfils the conditions of Rule 6(4) EPC, then you should select the corresponding check box intended for the declaration under Rule 6(4) EPC to enable the Online Filing software to calculate the fee reduction.

Under Rule 6(3) EPC, the EPO grants a reduction in the examination fee and filing fees if applicants referred to in Article 14(4) EPC belong to one of the following groups specified in Rule 6(4) EPC:

- a. small and medium-sized enterprises (SMEs);
- b. natural persons; or
- c. non-profit organisations, universities or public research organisations.

To declare that the applicant(s) fulfil the conditions of Rule 6(4), select the check box **The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC**.

To qualify for the fee reduction, all applicants have to fulfil both the above-mentioned conditions under Rule 6(4) EPC and the following conditions under Article 14(4) EPC:

- Natural applicants must be nationals of an EPC contracting state having an admissible non-official EPO language or residents in an EPC contracting state having an admissible non-official EPO language.
- Legal applicants must have their principal place of business in an EPC contracting state having an admissible non-official EPO language.
- The selected language must be both an official language of the EPC contracting state of at least one of the applicants and an admissible non-official EPO language (i.e. it must not be English, French or German).
- Please verify that all applicants, both those already available to the EPO from the international application and those for whom you indicate changes in the **Names** tab, fulfil these conditions. For more details, see Applicants (p. 124) in the Form EP(1001E2K) section.

The reduction in the **examination fee (006/006e)** is determined by the role(s) selected for the EPO in the **Data sheet** (p. 172) section:

- if the EPO is the designated office
- if the EPO is the elected office and the IPEA is not the EPO
- if the EPO is the elected office and the IPEA is the EPO
- if applicants fulfil both the above-mentioned conditions under Rule 6(4) EPC and under Article 14(4) EPC.

### Early processing

If applicable, select the check box **Early processing of the application pursuant to Article 23(2) / 40(2) PCT is hereby requested ("early entry into the European phase")**.

### Waiver, Rule 70(2)

If the EPO is not selected as the International Searching Authority (ISA) and if appropriate, select the check box **The applicant waives his right to be asked under Rule 70(2) EPC whether he wishes to proceed further with the application**.

 This waiver does not apply until after payment of the examination fee; see Fee selection (p. 200).

### Waiver, Rules 161(1) or (2) and 162

If applicable, select the check box **The applicant waives his right to the communication under Rules 161(1) or (2) and 162 EPC**.



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. 198).

Figure 217: Information on entry into the European phase

### 7.1.2 Data sheet

Select the **language of the international publication** from the drop-down list.

This information is mandatory.

The drop-down list to select the **procedural language** becomes available. By default, the procedural language is set according to the selected of the international publication selected:

- the same language if English, German or French is selected
- English if another language is selected.

If required, change the **procedural language**.

The application form will be created in the language selected. However, this setting has no effect on the language of the Online Filing graphical user interface.

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 icon.



The international filing date is mandatory and should match the year of the PCT application number.

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)**.

This information is mandatory.

If the EPO is the elected office, select the appropriate **International Preliminary Examining Authority (IPEA)**.

The default option is **IPEA is EPO**.

**Data sheet**  
The language of the international publication is: [dropdown]  
Procedural Language: [English]  
PCT Application Number: PCT/\_\_\_/\_\_\_  
PCT Publication Number: WO\_\_\_  
EP Application Number: EP\_\_\_  
International Filing Date: dd.mm.yyyy [19]  
International Searching Authority (ISA) [dropdown]  
International Preliminary Examining Authority (IPEA)  
 IPEA other than EPO  IPEA is EPO  
10 3 9

Figure 218: Information on the data sheet in the Requests 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**.

Enter the details for the applicant or use the **Copy from Address Book** button.



The screenshot shows a web browser window titled 'EPO Online Filing - Euro-PCT(1200E2K) - Sample1200'. The interface has a menu bar (File, Edit, View, Tools, Windows, Help) and a toolbar with icons for save, back, forward, and help. Below the menu is a header with the document title 'Euro-PCT(1200E2K) - Draft - Sample1200' and a timestamp 'Last saved on 08/03/2018'. A navigation bar contains tabs for 'Requests', 'Names', 'States', 'Biological Material', 'Documents', 'Fees', and 'Annotations'. The main content area contains a form for applicant details. On the left, there is a sidebar with a list of 'Applicants' and 'Representatives', currently showing 'Corallos, José'. The form fields are as follows: Last name: Corallos; First name: José; Company: Corallos LTD; Title: Mr; Country: PT (Portugal); Address: 45 E Calle del Sol; Telephone: +32 1 456 789; Fax: +32 1 456 788; E-mail: cj@corallos.pt; Postal code: 123456; City: Lisboa; Nationality: PT (Portugal); Residence: PT (Portugal). There are two checkboxes at the bottom: 'Address for correspondence' (unchecked) and 'The applicant has already been recorded by the International Bureau.' (unchecked). A status bar at the bottom right shows icons for validation (9), warnings (3), and other system icons.

Figure 219: Applicant details

## Removing names from the form

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 if you have not added a representative to the form. The country in the address for correspondence must be an EPC contracting state. The address for correspondence is only valid if the country in the applicant's main address is also an EPC contracting state.

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.

Select the first-named applicant.

Select the **Address for correspondence** check box.

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

Entering the address for correspondence is now mandatory. The red validation icon in the **Names** tab notifies you of a validation message to that effect.

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**.

Click the **Add** button and select **Address**.

Note that the **Representatives** options have disappeared.

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  
P.O. Box:  
Postal code: 12456 Nationality: PT Portugal  
City: Lisboa Residence: PT Portugal  
Region:  
 Address for correspondence  
 The applicant has already been recorded by the International Bureau.

Figure 220: 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.

- The applicant's name cannot be edited in the address for correspondence. The **Company** field (legal applicant) and the **Last Name** and **First Name** field (natural applicant) are locked.
- If you subsequently modify the first-named applicant's name under **Applicants**, 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  
P.O. Box:  
Postal code: G1U M3W  
City: Oxford  
GB County: Oxfordshire

Figure 221: Address for correspondence with the applicant

## Applicant is represented by an employee

If the applicant is a company (legal person) with principal place of business in an EPC contracting state, it 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.

Select the check box **[Company] is represented by the following employee acting pursuant to Art. 133(3) EPC**.

Enter **Last Name** (mandatory field), **First Name** (mandatory field) and **Title**.

The name of this employee will be automatically filled into the **Sign Application** dialog and cannot be modified. Only an employee who is authorised by the applicant under Article 133 EPC is entitled to sign.

Enter the **General Authorisation** number (where applicable).

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

P.O. Box:

Postal code: YO1 9QN

City: York

GB County: Yorkshire Principal place of business: GB United Kingdom

Address for correspondence  
 The applicant has already 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 222: Applicant is represented by an employee

## 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. The country of the representative must be an EPC contracting state.

In the **Names** tab, click the **Add** button.

Select **Representative**, **Association**, **Representative**, **Legal Practitioner** or **Representative, Authorised**.

In the **Name and Address** sub-tab, complete the details 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	
Department:	European Patents	Association No.: 485
Country:	GB United Kingdom	Telephone: +44 1223 3516-0
Address:	Cambridge Science Park 100 Red Lion Square	Fax: +44 1223 351690
P.O. Box:	5088	e-mail: office@ip-partners.co.uk
Postal code:	CB2 1AB	
City:	Cambridge	

Figure 223: Representative (association) information entered

## Authorisation

The **Authorisation** sub-tab is used to give details relating to the representative.

Select the **Authorisation** check box.

Select the appropriate option.

**i** Related documents can be attached in the **Documents** tab; see Additional documents (p. 192).

Name and Address		Authorisation
<input checked="" type="checkbox"/> Authorisation		
<input type="radio"/> An individual authorisation is attached.		
<input checked="" type="radio"/> A general authorisation has been registered under number:		<input type="text"/>
<input type="radio"/> A general authorisation has been filed but not yet registered.		

Figure 224: 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.

For the latest list of EPC contracting states, extension states and validation states see the EPO website at **About us > European Patent Organisation > Member states** (<http://www.epo.org/about-us/organisation/member-states.html>). The EPC contracting states include all overseas departments and territories.

**i** Under the automatic debiting procedure, extension fees and validation fees will be debited only for the states indicated here, unless the EPO is instructed otherwise before expiry of the period for payment.

## Designation

You do not have to select the 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).

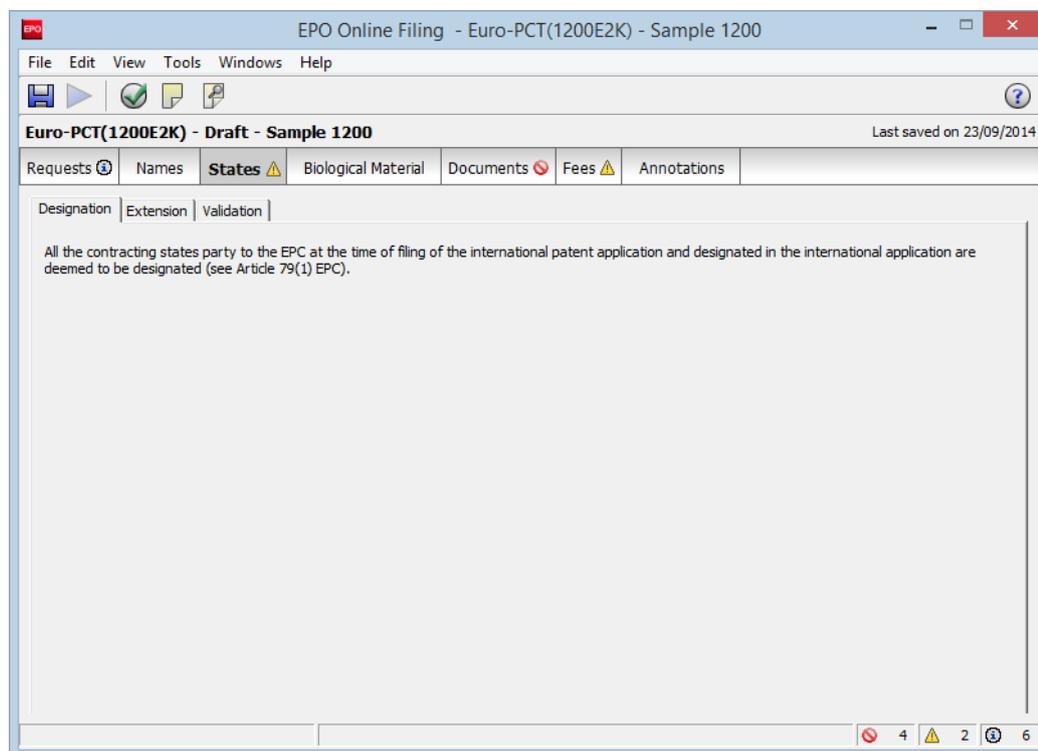


Figure 225: All contracting states designated

## Extension

Select the appropriate option.

If required, select individual states.

 Make sure you also select the extension fees for these states in the **Fees** tab.

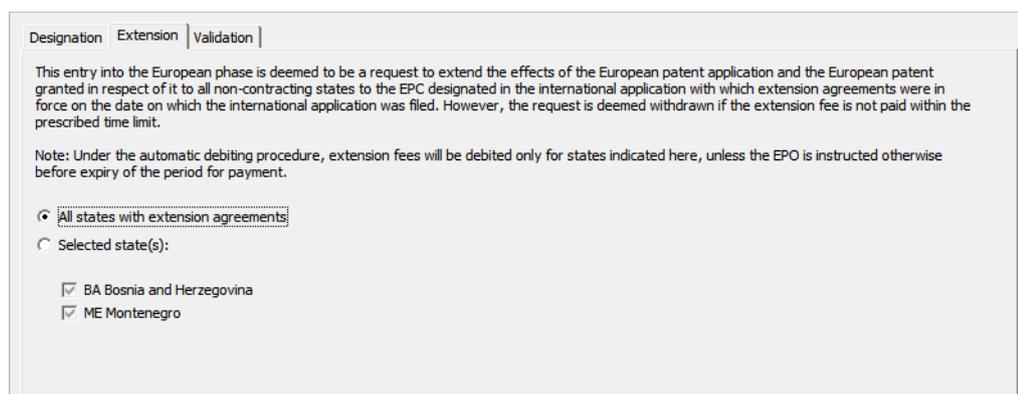


Figure 226: Selection of extension states

## Validation

In the **Validation** sub-tab, select the states with validation agreements to which the patent application filed should also be extended. Appropriate fees are payable for the selected validation states.

Click the **Validation** sub-tab.

Select the required option and, where appropriate, the individual states required.

 Make sure you also select the validation fees for these states in the **Fees** tab.

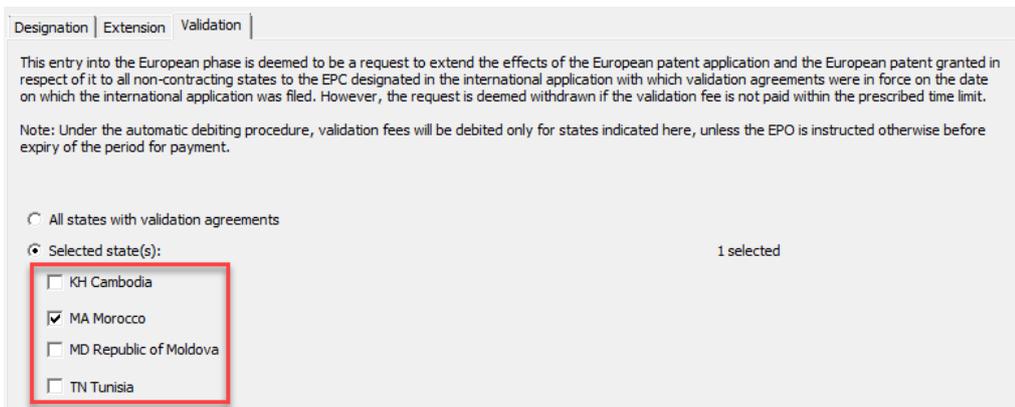


Figure 227: Selecting validation states

If you change the international filing date in the **Requests** tab, none of the extension states and validation states will be selected, i.e. the default settings appear and any states previously expressly selected are lost. If this happens, please click the **States** tab and select the states again as appropriate. The yellow validation icon in the **States** tab notifies you of a warning message to this effect.

## 7.4 Euro-PCT(1200E2K) – 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. Translations of priority documents can be attached in the **Documents** tab.

The document type "Request for retrieval of priority document via DAS" shall be added as type of document under the sub-tab Additional Documents and category Other document. The following should be observed:

- Documents of this type are classified as public.
- Multiple document types can be attached to the same application.
- The file type shall be named 'F1013.pdf'

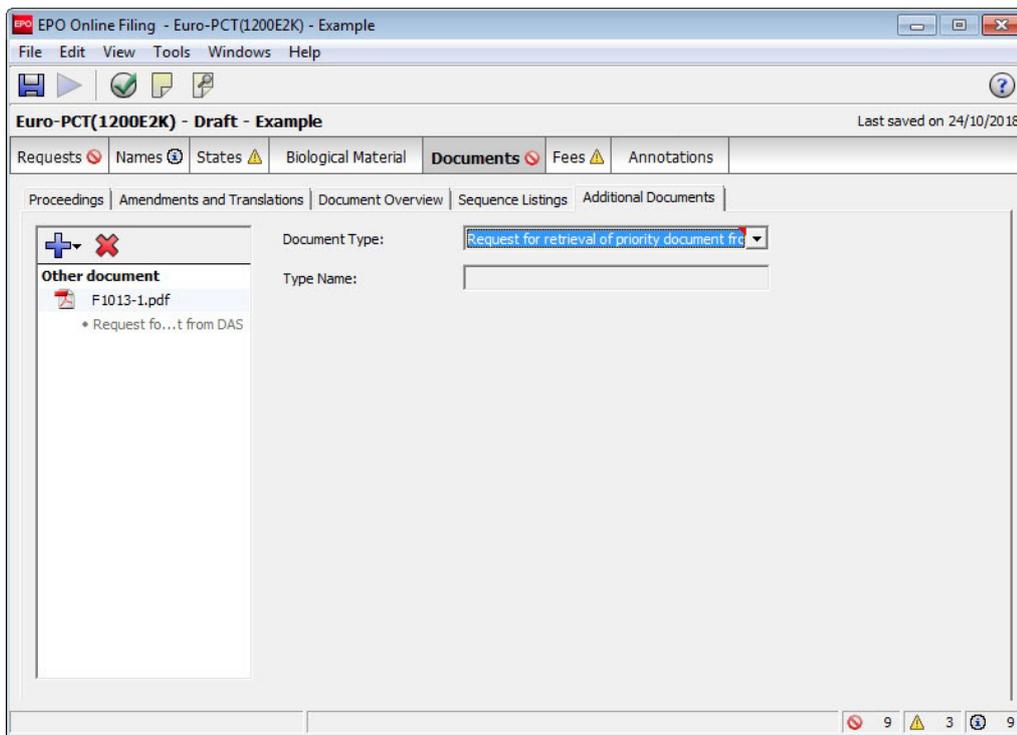


Figure 228: Document type in Additional Documents

## 7.5 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.

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 acknowledgement 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.

Figure 229: Deposit details for biological materials

## 7.6 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.

Select the check box **Enclosed amendments** under **Proceedings** if you plan to attach amendments.



You can also file documents with subsequent annotations or highlighted annotations/amendments to amended technical documents as the document type **Amendments with annotations** in the Additional documents (p. 192) tab.

Select the declaration on the **priority documents**, if appropriate.

The **Use of Test reports** check box is automatically selected and cannot be edited. It is only selected if the options **EPO as designated office** and **IPEA is EPO** were selected on the **Requests** tab.

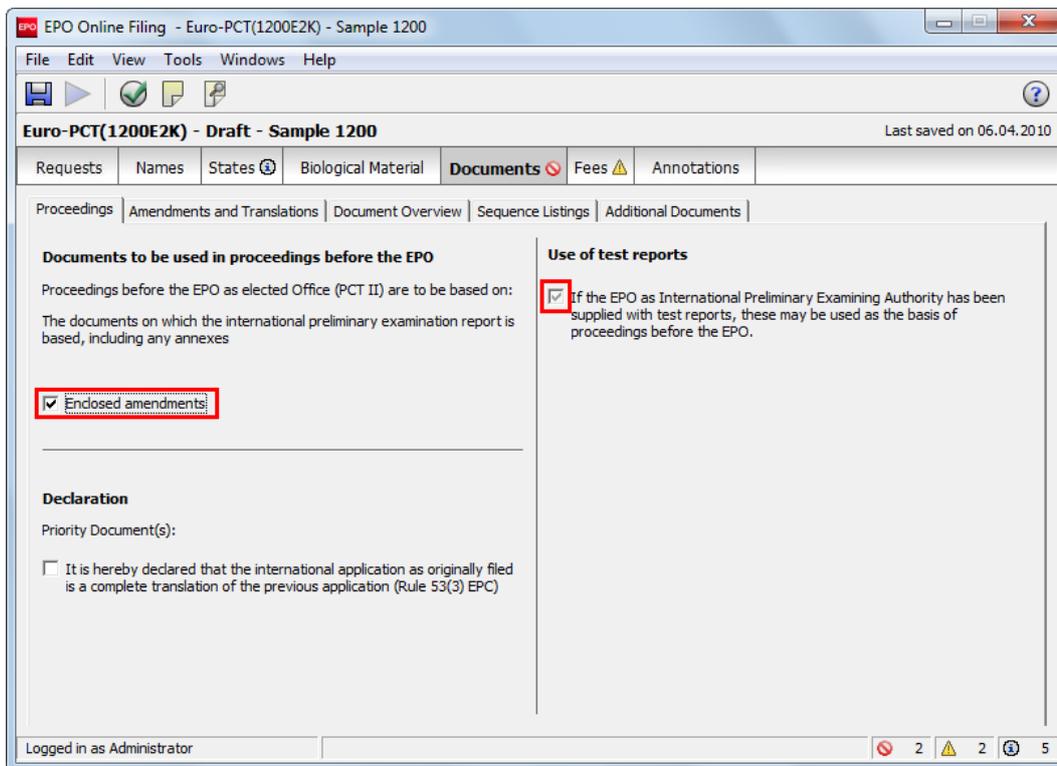


Figure 230: Options for documents in proceedings

### 7.6.1 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.

Documents containing highlighted annotations/amendments can be attached as **Amendments with annotations** in the Additional documents (p. 192) tab.

Click the **Add** button.

Select the appropriate type of document, 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.

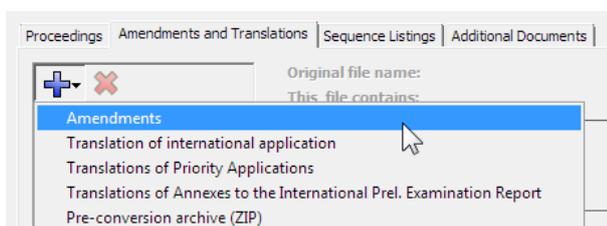


Figure 231: Selecting document category for amendments and translations

Navigate to the PDF file location.

Select the file and click **Open** to attach it.

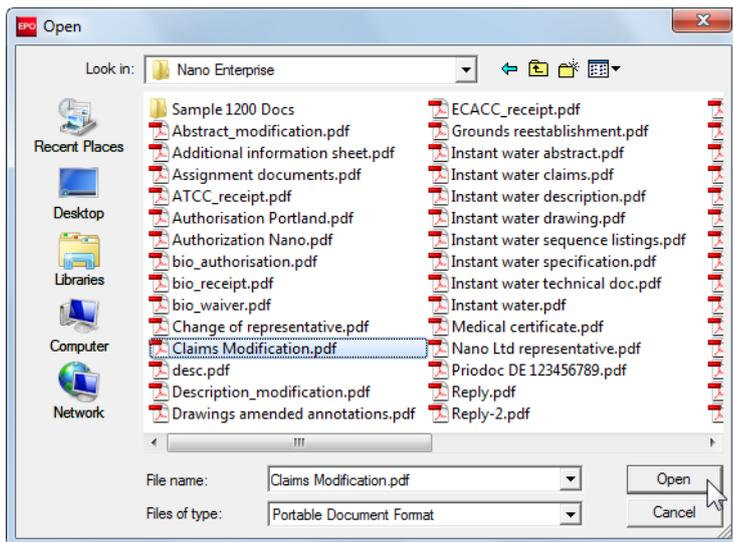


Figure 232: Find and open a PDF file

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.

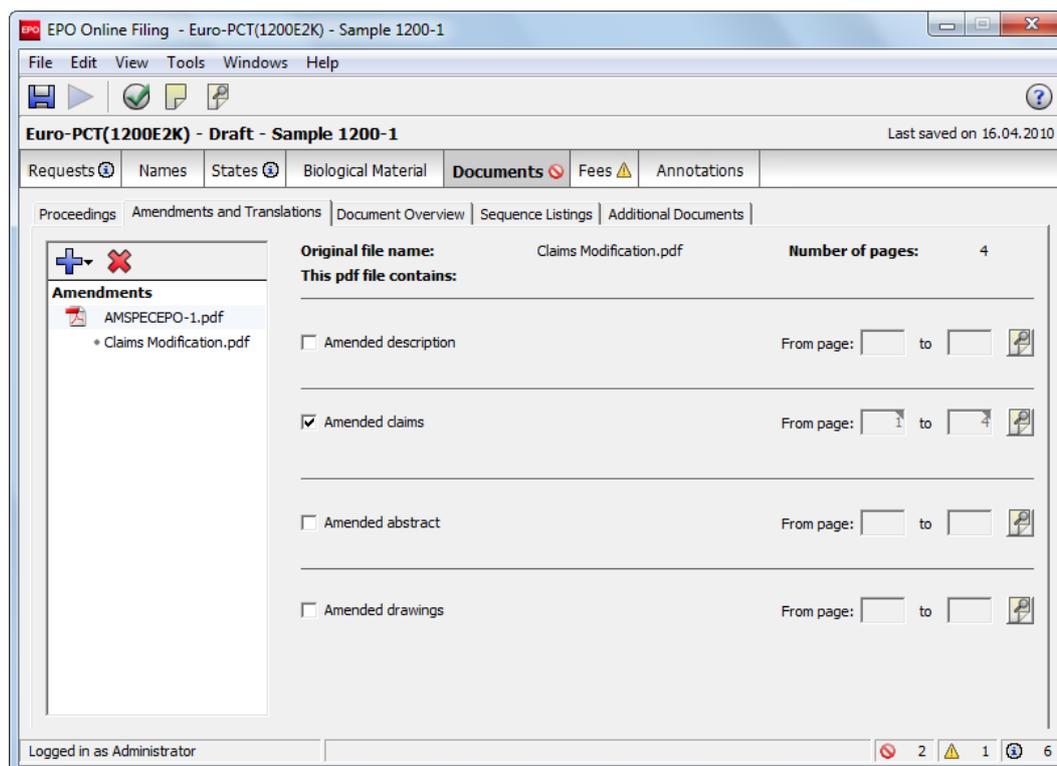


Figure 233: Attaching amended claims

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.

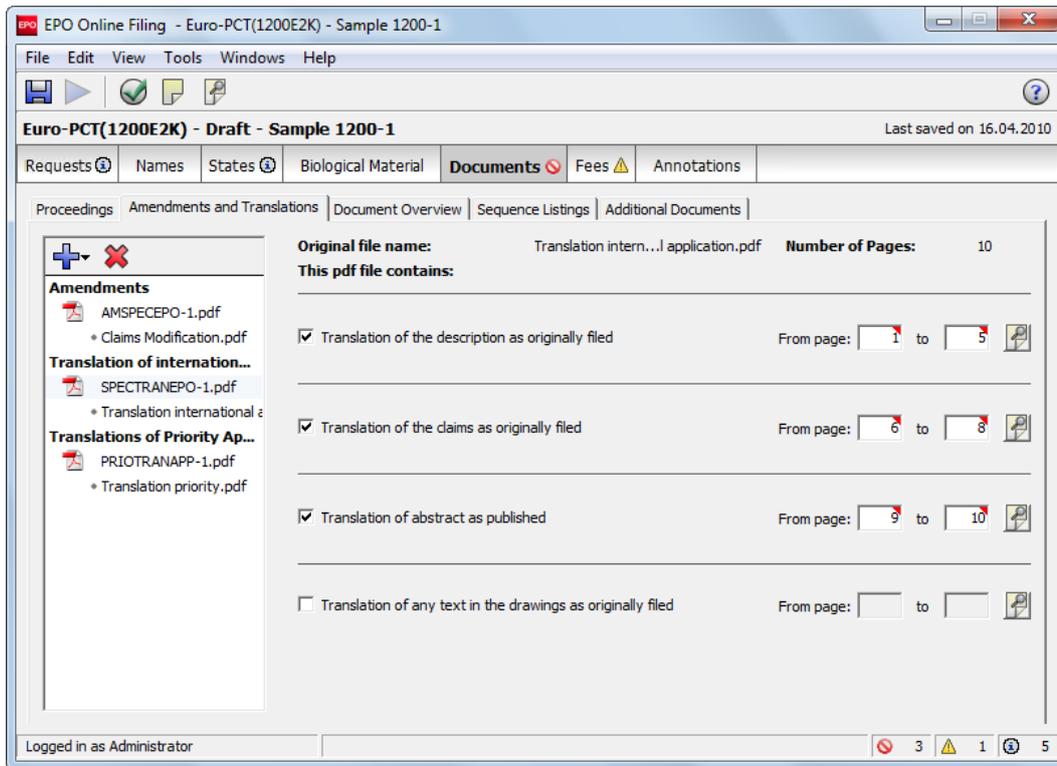


Figure 234: Amended abstract and translations attached

## 7.6.2 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. 170).

### 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.

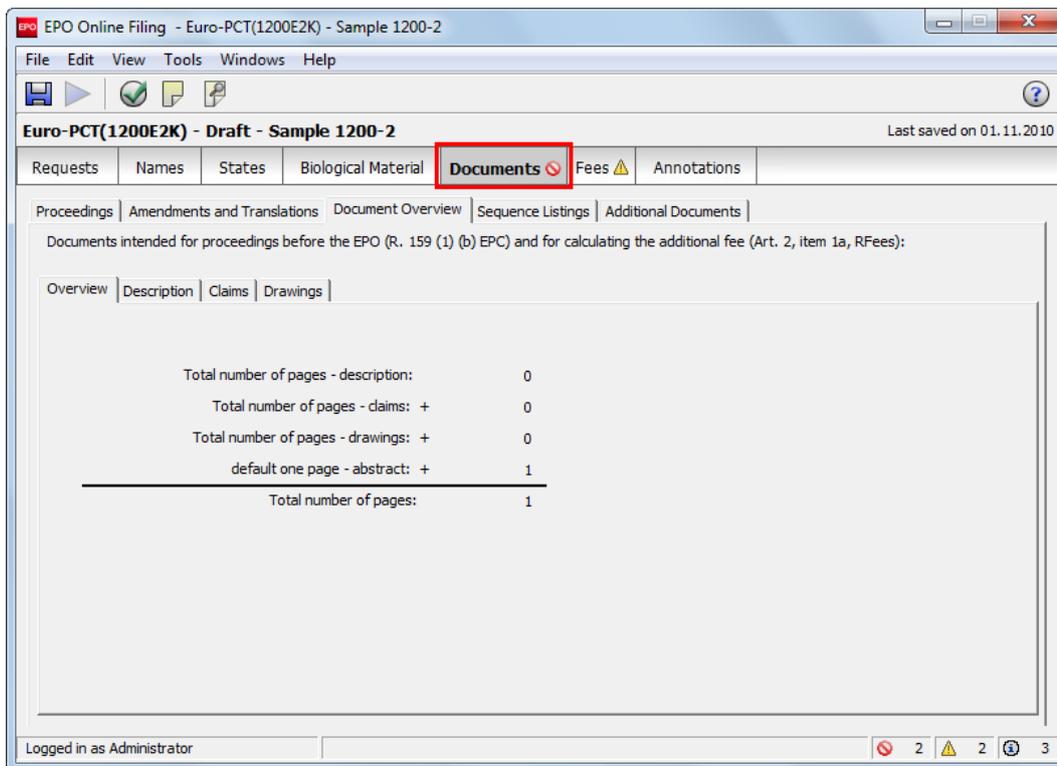


Figure 235: Overview of documents' pages, one page calculated by default

## 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**.

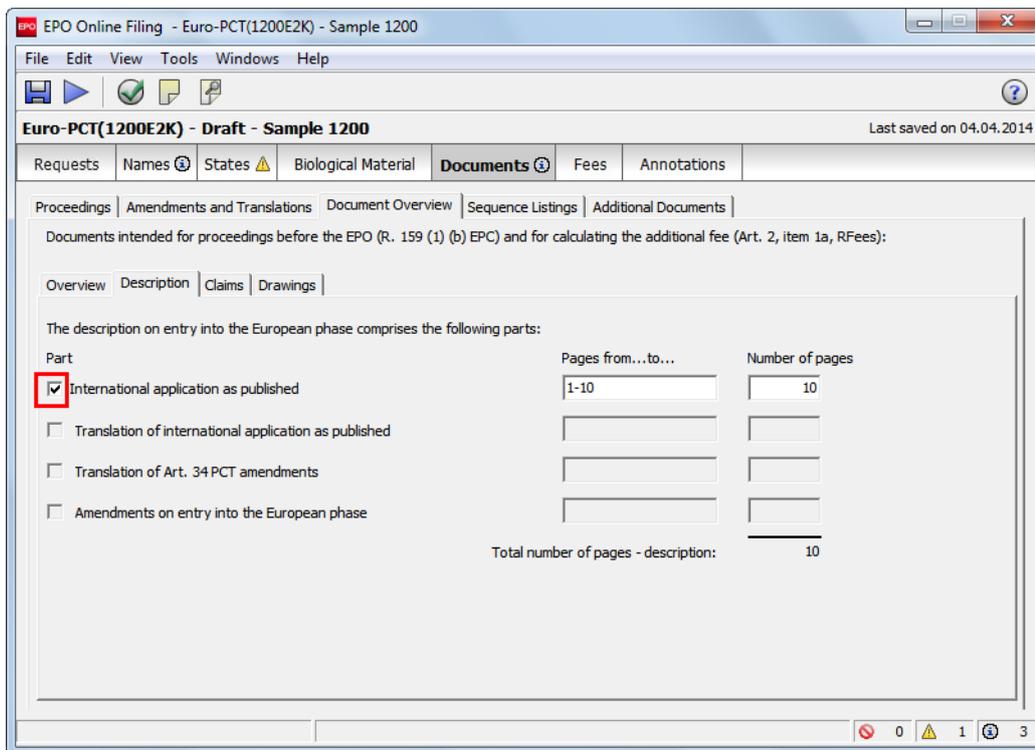


Figure 236: Information on the description

## 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.

Enter the **number of claims you intend to pay for (including the first 15 claims)**.

- This indication is exclusively for the purpose of fee calculation. If you do not intend to pay for any claims with this application, please enter **0** (zero) in this field.
- If the number of claims you intend to pay for is lower than the number of claims indicated, a yellow validation icon will appear in the **Documents** tab. In this case, please specify the claims for which you intend to pay by writing a note to the EPO in the **Annotations** tab.

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

File Edit View Tools Windows Help

**Euro-PCT(1200E2K) - Draft - Sample 1200** Last saved on 04.04.2014

Requests Names States Biological Material **Documents** Fees 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: 20

Number of claims you intend to pay for (including first 15 claims): 20

The set of claims on entry into the European phase comprises the following parts: Pages from...to... Number of pages

Part	Pages from...to...	Number of pages
<input type="checkbox"/> International application as published		
<input type="checkbox"/> Art. 19 PCT amendments		
<input type="checkbox"/> Art. 34 PCT amendments		
<input checked="" type="checkbox"/> Amendments on entry into the European phase	11-14	4
Total number of pages - claims:		4

0 1 3

Figure 237: 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**.

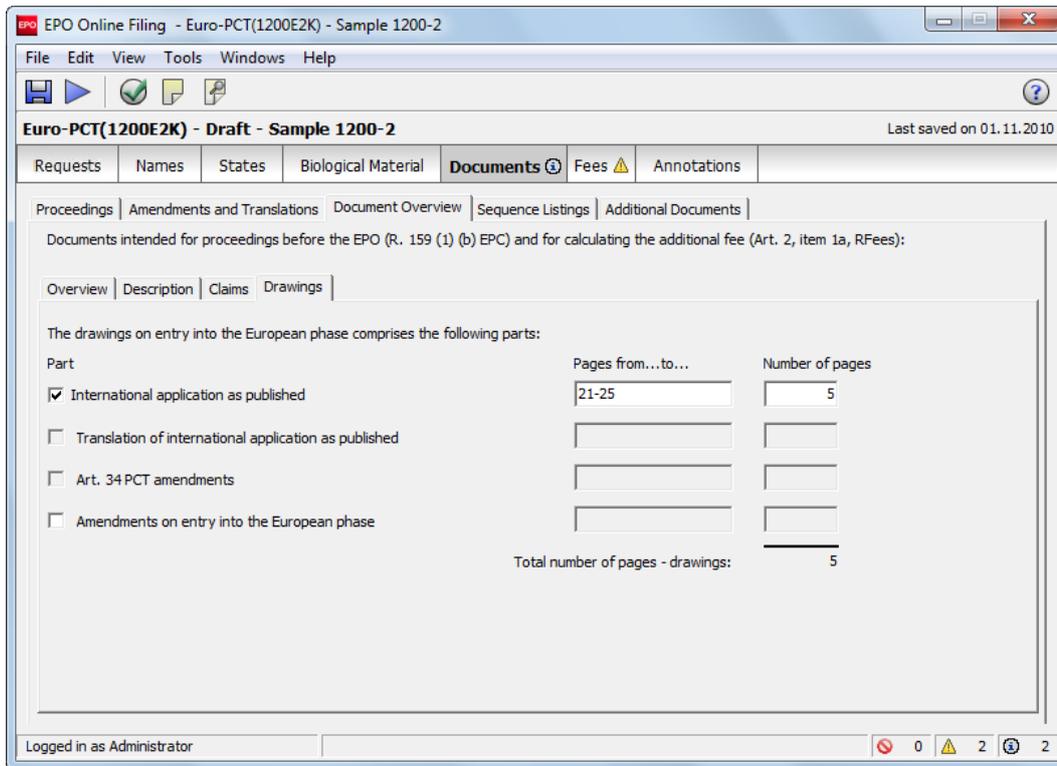


Figure 238: Information on drawings in the international application

### 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**.

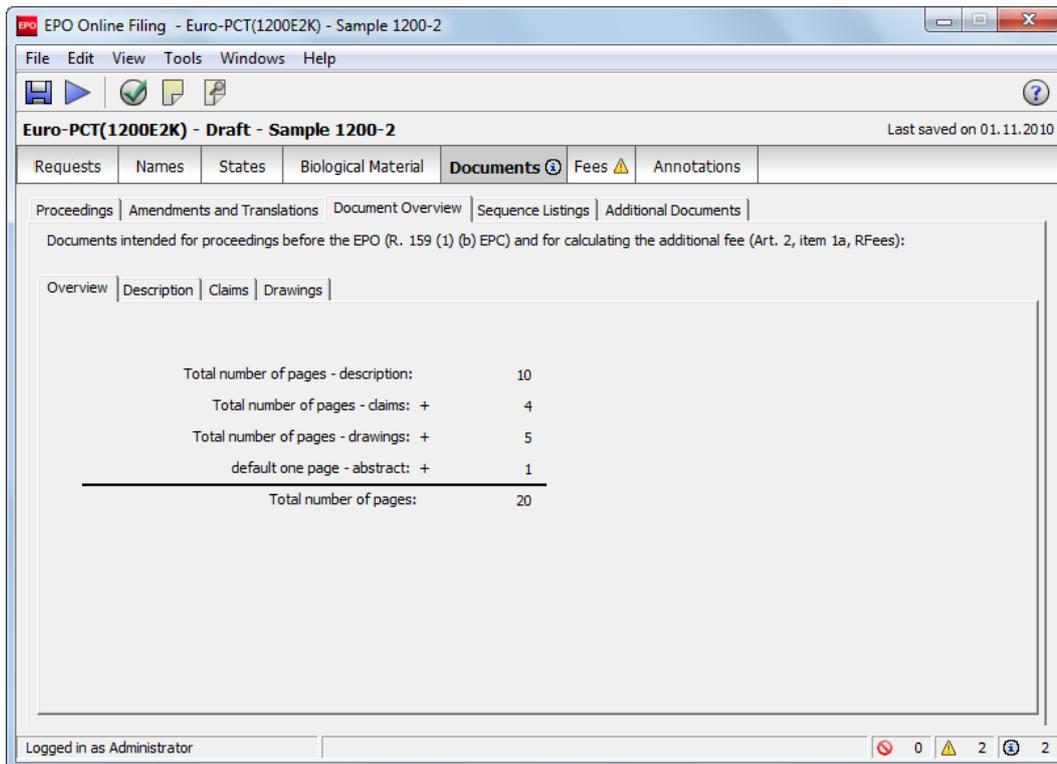


Figure 239: Calculation of the total number of pages in the Document Overview tab

### 7.6.3 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 or ST.26. On 1 July 2022, WIPO Standard ST.26 will enter into force. For applications with a filing date on or after 1 July 2022, sequence listings should be filed in ST.26.

Computer-readable sequence listings can be attached as the following text-only file types:

- Nucleotide and Amino Acid Sequence Listing (file type **.app** or **.seq**) for ST.25
- ASCII Text (file type **.txt**) for ST.25
- Archive File Format (file type **.zip**) for ST.25 and ST.26
- XML File Format (file type **.xml**) for ST.26

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.1a) PCT, or it is otherwise available to the EPO, in computer-readable format complying with the WIPO Standard applicable at the international date of filing**.

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.

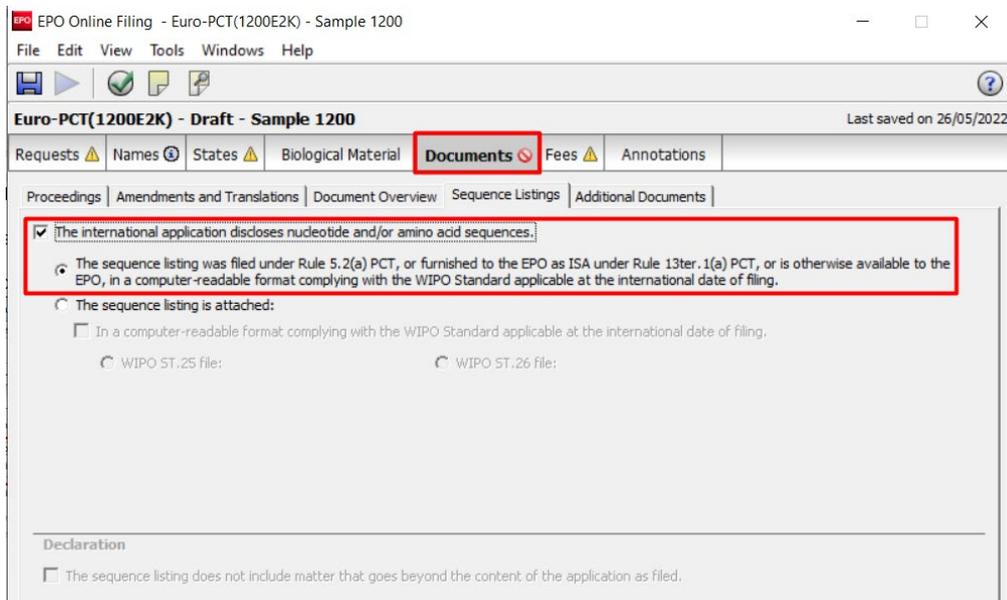


Figure 240: Reference to the sequence listing already submitted in computer-readable format

### 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.

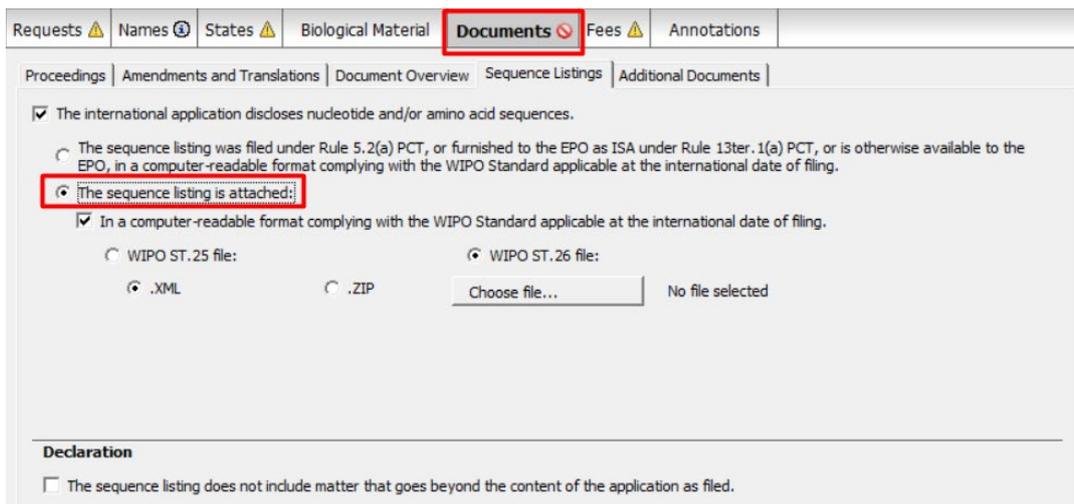


Figure 241: Option for attaching a sequence listing selected

### Sequence listings in computer-readable format in ST.25

Select the check box **In a computer-readable format in accordance with WIPO Standard ST.25.**

Click **Choose file ...**

Select the appropriate file type.

Navigate to the required file and attach it.

Depending on the file type selected, the file is renamed **SEQLTXT.app**, **SEQLTXT.seq**, **SEQLTXT.txt** or **SEQLTXT.zip**.

The caption on the button changes to **Detach file**.

The screenshot shows the 'Documents' tab in the EPO Online Filing system. Under the 'Sequence Listings' section, there are three radio button options for how the sequence listing is attached. The first option, 'In a computer-readable format complying with the WIPO Standard applicable at the international date of filing.', is selected. Under this option, there are two sub-options: 'WIPO ST.25 file:' (selected) and 'WIPO ST.26 file:'. The 'WIPO ST.25 file:' option has radio buttons for '.TXT, .APP, .SEQ' and '.ZIP'. A 'Detach file' button is visible, and the file name 'SEQLTXT.app' is displayed in a red box.

Figure 242: Sequence listings in computer-readable ST.25 format attached

### Sequence listings in computer-readable format in ST.26

Select the check box **In a computer-readable format in accordance with WIPO Standard ST.26**.

Click **Choose file ...**

Select the appropriate file type.

Navigate to the required file and attach it.

Depending on the file type selected, the file is renamed **SEQLXML26.xml** or **SEQLZIP26.zip**.

The caption on the button changes to **Detach file**.

The screenshot shows the 'Documents' tab in the EPO Online Filing system. Under the 'Sequence Listings' section, there are three radio button options for how the sequence listing is attached. The second option, 'In a computer-readable format in accordance with WIPO Standard ST.26', is selected. Under this option, there are two sub-options: 'WIPO ST.25 file:' and 'WIPO ST.26 file:' (selected). The 'WIPO ST.26 file:' option has radio buttons for '.XML' and '.ZIP'. A 'Detach file' button is visible, and the file name 'SEQLXML26.xml' is displayed in a red box.

Figure 243: Sequence listings in computer-readable ST.26 format attached



Note that, when selecting to submit a ST.26 sequence listing as ZIP, the provided ZIP file must contain a single ST.26-compliant XML file. If the attached ZIP package contains none or multiple XML files, it will be rejected and a validation error message will be displayed

## 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.**

### 7.6.4 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
- Amendments with annotations

#### 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 244: 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**.

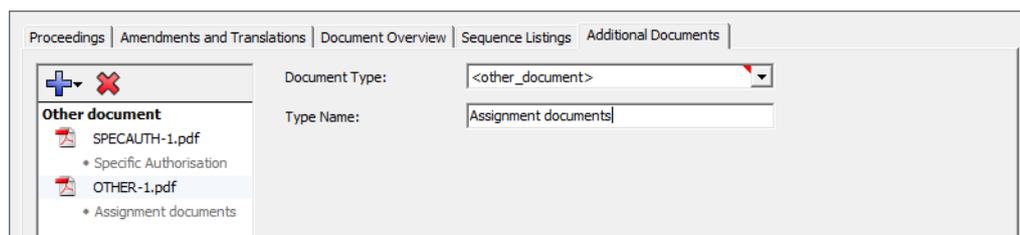


Figure 245: Attaching a document for the change of representative as <other\_document>

## 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**.

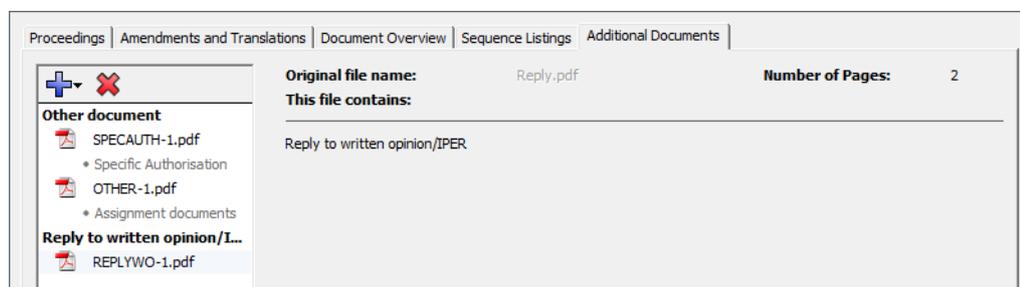


Figure 246: The reply to the written opinion on the international preliminary examination report (IPER) is attached

## Search results

Under Rule 141(1) EPC 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 247: Adding search results from the office of first filing

### Amendments with annotations

Use this document category to file documents with subsequent annotations or highlighted annotations/amendments to amended technical documents:

- Amended claims with annotations
- Amended description with annotations
- Amended drawings with annotations



Documents with handwritten amendments are no longer accepted (for exceptions to this rule see the EPO Official Journal 2013, 603-604) ([http://archive.epo.org/epo/pubs/oj013/12\\_13/12\\_6033.pdf](http://archive.epo.org/epo/pubs/oj013/12_13/12_6033.pdf)).

Click the **Add** button.



Select **Amendments with annotations**.

Navigate to the required file and select it, e.g. the amended drawings with annotations.

Click **Open** to attach the file.

Select the document type **Amended drawings with annotations** from the list.

The file is renamed **DRAW-HWA.pdf**.

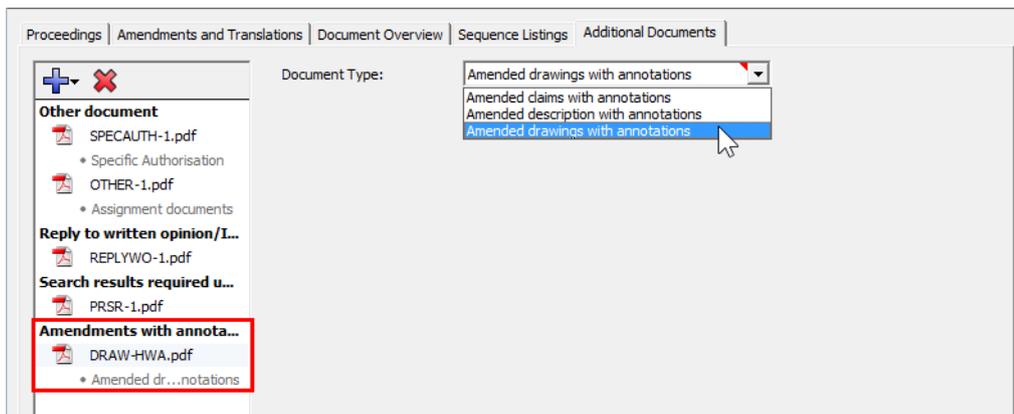


Figure 248: Amended document with annotations attached

### 7.6.5 Pre-conversion archive

The **pre-conversion archive** option allows you to add your original documents, before converting them into PDF files, as a compressed ZIP archive file. This may be helpful if you wish to provide the EPO with your original documents in colour. The documents contained in the ZIP file 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 event of quality issues.

**i** The EPO does not recognise documents as legally binding if they are exclusively filed as part of a ZIP archive. To be accepted as legally binding filings, the official patent documents must always be attached as PDF, ST.25 or ST.26 files under the correct document type.

## 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.

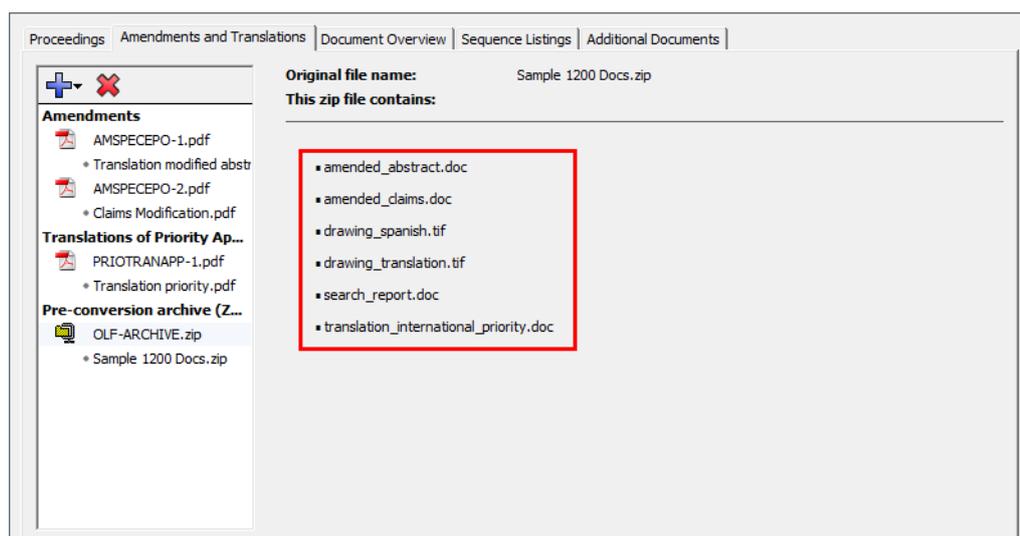


Figure 249: Pre-conversion archive containing original documents attached

## 7.6.6 Previewing attached documents

You can view the list of all attached documents in the form preview.

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 the name of a document in the list to the left to display it in the PDF Viewer.

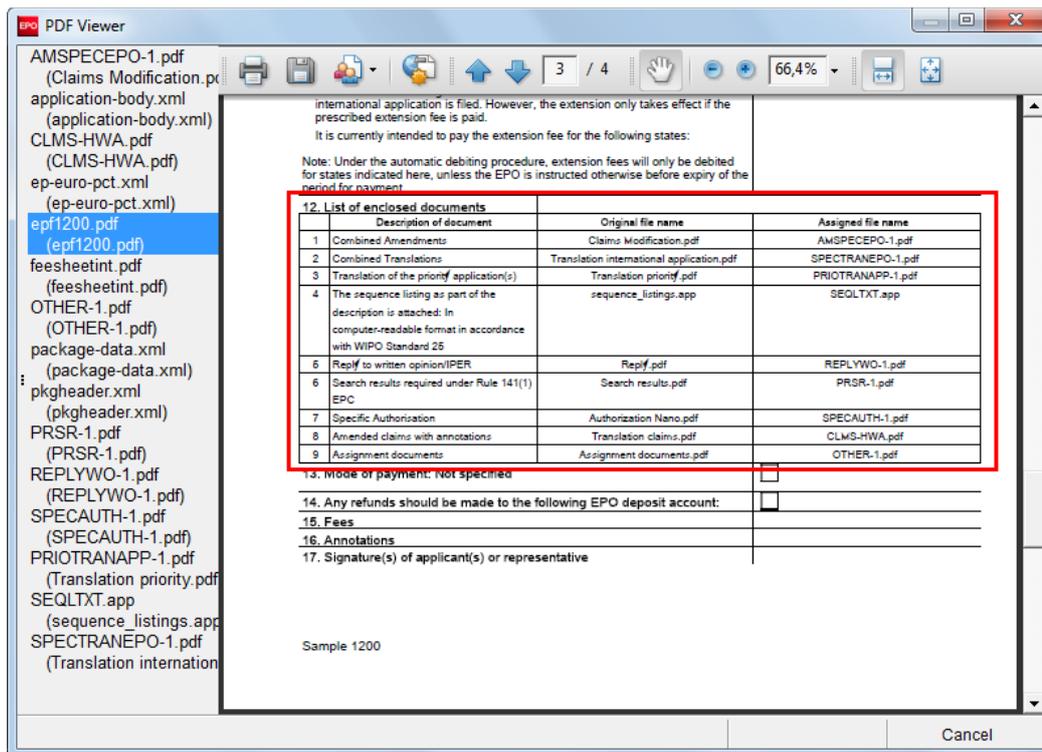


Figure 250: Attachments in the PDF viewer

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.

The screenshot shows a PDF form titled "Number of additional sets of copies". The form is divided into two main sections: "6. Documents intended for proceedings before the EPO" and "7. Translations".

**Section 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, further details 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, further details 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:

**Section 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):
  - 7.1 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:
  - 7.2 Translation of the priority application(s) (to be filed only at the EPO's request, Rule 53(3) EPC):
  - 7.3 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):
  - 7.4 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):
  - 7.5 Translation of any annexes to the international preliminary examination report:

**Section 8: Biological material**

210 x 297 mm

Cancel

Figure 251: Number of claims and information on the use of documents in the PDF preview of Form Euro-PCT(1200E)

## 7.7 Euro-PCT(1200E2K) – Fee Payment

In the **Fees** tab you can select the fees associated with your application and indicate how you wish to pay them. All fees must be paid in euros.

The fees displayed in the **Fees** 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>).

For more information on EPO deposit accounts and the automatic debiting procedure, please refer to the Official Journal:

- Arrangements for deposit accounts (ADA) Supplementary publication 3/2015, p. 8-16 (<http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p8.html>)
- Notice from the European Patent Office dated 12 February 2015 concerning revision of the Arrangements for deposit accounts (ADA) and their annexes Supplementary publication 3/2015, p. 2-7 (<http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p2.html>)
- Decision of the President of the European Patent Office dated 29 September 2016 revising points 5.3 and 7 of the Arrangements for deposit accounts (ADA) OJ EPO 2016, A83 (<http://www.epo.org/law-practice/legal-texts/official-journal/2016/10/a83.html>)

## 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>).

### 7.7.1 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 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 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**

All payments in EUR must be transferred to the EPO's bank account with the **Commerzbank AG in Munich, Germany**. The IBAN and BIC codes of the EPO's bank account are supplied automatically when you select the Commerzbank from the drop-down list.

- **Credit card**

All payments by credit card must be made via the dedicated EPO fee payment service on the EPO website at **Applying for a patent > Online services > Paying fees online > Pay by credit card** (<https://epo.org/fee-payment-service/en/login>).

Choosing this mode of payment in the Payment details sub-tab is considered merely an indication of how you intend to pay.

- **Not specified**

Choose this option if you do not intend to pay fees with this form or if you are not sure how you will be paying your fees.

The grey validation icon in the **Fees** 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**.

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 **Fees** tab. The corresponding validation message tells you to verify the deposit account number. The same rule applies to the deposit account number for reimbursement.

Enter the name of the **account holder**.

If you wish to have the fees debited from your account later than the submission date of your entry into the European phase, enter the date in the **Deferred execution date** field.

Hover your mouse pointer over the symbol  to the right of the **Deferred execution date** field to see the **Important information**:

This functionality allows you to indicate explicitly that your payment order is to be executed at a later date than the submission date.

In this case, the payment date will be deemed to be the deferred execution date, provided that you have sufficient funds on your deposit account on that date.

Please choose the deferred execution date option only if the fees are to be debited on a future date, as otherwise the default execution date is the date of receipt.

The deferred execution date can be a maximum of 40 days in the future.

Please ensure that the deferred execution date lies within the time limit set for paying the selected fees.

Please note that any debit orders (standard or deferred execution) can only be revoked until 00.00 hrs CET on the date of submission (Arrangements for deposit accounts, 7).

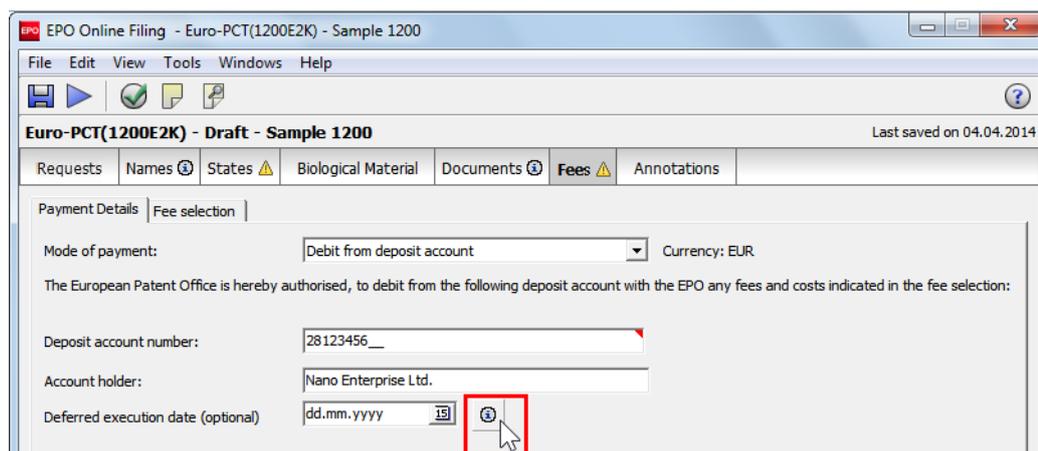


Figure 252: Payment details entered

## Further options

The **Payment details** sub-tab offers some additional options at the bottom of the screen.

If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, select the corresponding check box.

This information applies to all selected modes of payment. 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 and supply the account holder's name.

If you need **additional copies of the documents cited in the European search report**, select the corresponding check box and enter the number of copies required.

This check box is only available if the EPO **was not selected** as the International Searching Authority (ISA) in the **Requests** tab.

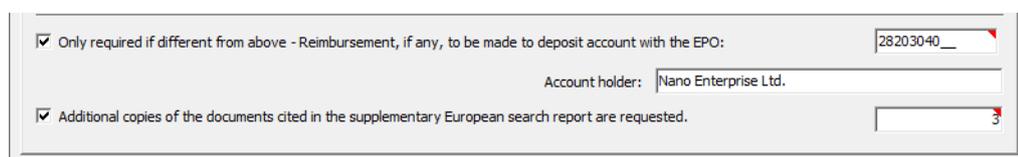


Figure 253: Other options for fee payment in Form Euro-PCT(1200E2K)

The validation message (yellow icon) informs you that the corresponding fee 055 should also be selected. You should therefore select the check box for fee 055 in the **Fee selection** sub-tab (it is not selected by default).

## 7.7.2 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 of pages 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. 184) 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.

The validation messages indicate which fees are to be paid.

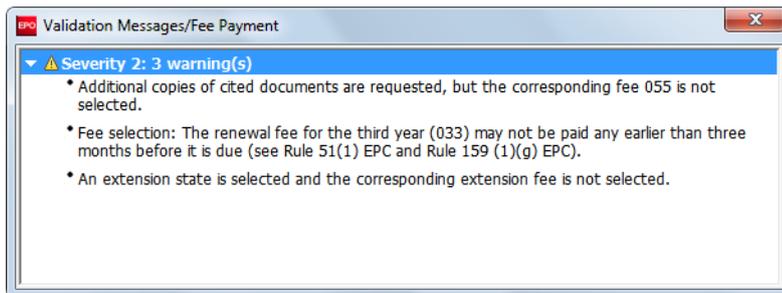


Figure 254: Validation messages with information on the fees to be paid

Select the check boxes of the fees to be paid.

The relevant quantity is already entered.

The amount to pay is automatically calculated.

The check boxes for fees not applicable in this application are locked.

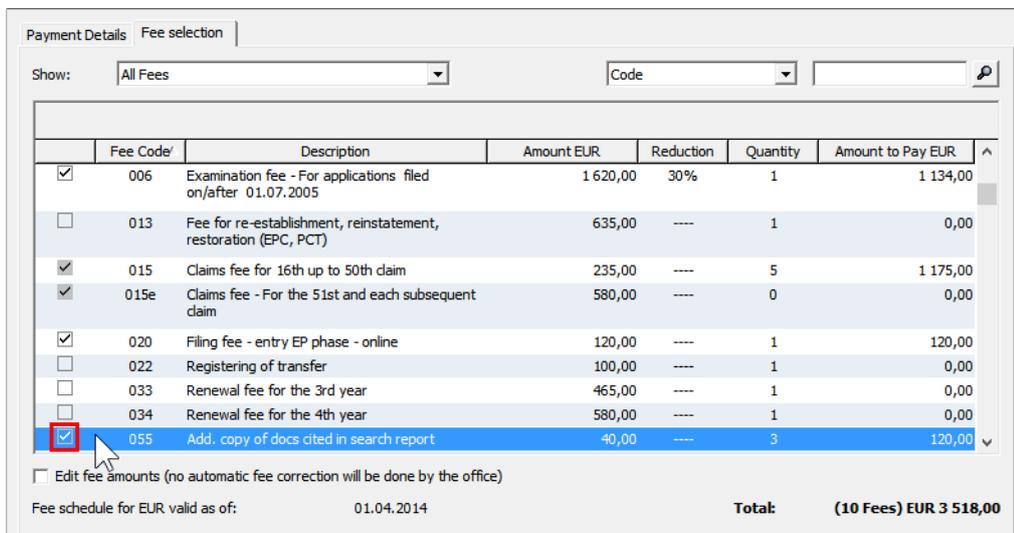


Figure 255: Selecting fees for payment

## 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:** all fees selected for the current application.

The claims fees, **015** and **015e**, are selected by default and always locked. The quantity for both fees is determined by the **Number of claims you intend to pay for (including first 15 claims)** field in the **Documents** tab and cannot be edited in the Fee selection sub-tab.

## 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% of the relevant fee)
- 400 – Surcharge for extension fees
- 520 – Additional filing fee for the 36th and each subsequent page – entry into EP phase

## Editing fee amounts

If you wish to edit a fee amount or apply a specific reduction, you have to select the **Edit fee amounts** check box. If you do so, please note that there will be no automatic fee correction for this application. Depending on your selected mode of payment, the total amount shown will be debited from your deposit account or is payable by bank transfer.

Select 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: Selected fees only Code

	Fee Code	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input checked="" type="checkbox"/>	002	Fee for a European search - Applications filed on/after 01.07.2005	1 285,00	1 100 €	1	185,00
<input checked="" type="checkbox"/>	005e	Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	580,00	50	1	580,00
<input checked="" type="checkbox"/>	006	Examination fee - For applications filed on/after 01.07.2005	1 620,00	30%	1	1 134,00
<input checked="" type="checkbox"/>	015	Claims fee for 16th up to 50th claim	235,00	none	5	1 175,00
<input checked="" type="checkbox"/>	015e	Claims fee - For the 51st and each subsequent claim	580,00	none	0	0,00
<input checked="" type="checkbox"/>	020	Filing fee - entry EP phase - online	120,00	none	1	120,00
<input checked="" type="checkbox"/>	055	Add. copy of docs cited in search report	40,00	none	3	120,00

Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2014

**Total: (10 Fees) EUR 3 518,00**

Figure 256: Editing 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: Selected fees only Code

	Fee Code	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input checked="" type="checkbox"/>	002	Fee for a European search - Applications filed on/after 01.07.2005	1 285,00	1 100 €	1	185,00
<input checked="" type="checkbox"/>	005e	Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	580,00	50%	1	290,00
<input checked="" type="checkbox"/>	006	Examination fee - For applications filed on/after 01.07.2005	1 620,00	30%	1	1 134,00
<input checked="" type="checkbox"/>	015	Claims fee for 16th up to 50th claim	235,00	none	5	1 175,00
<input checked="" type="checkbox"/>	015e	Claims fee - For the 51st and each subsequent claim	580,00	none	0	0,00
<input checked="" type="checkbox"/>	020	Filing fee - entry EP phase - online	120,00	none	1	120,00
<input checked="" type="checkbox"/>	055	Add. copy of docs cited in search report	40,00	none	3	120,00

Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2014

**Total: (10 Fees) EUR 3 228,00**

Figure 257: 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.

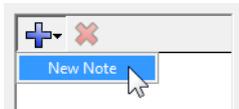
The original values for all fees are restored in the form.

## 7.8 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.

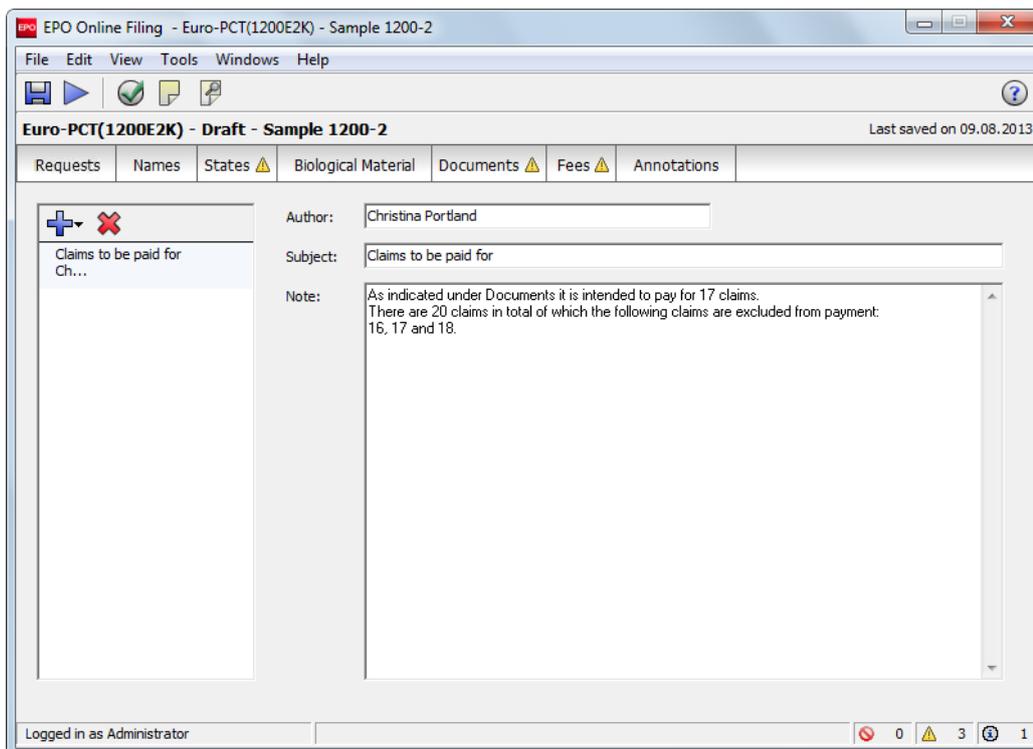


Figure 258: Adding a new note for the EPO

To add notes that are not intended for the EPO, use the **Internal notes** (p. 42) function on the form's toolbar.



## 7.9 Reusing previous data for 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**.

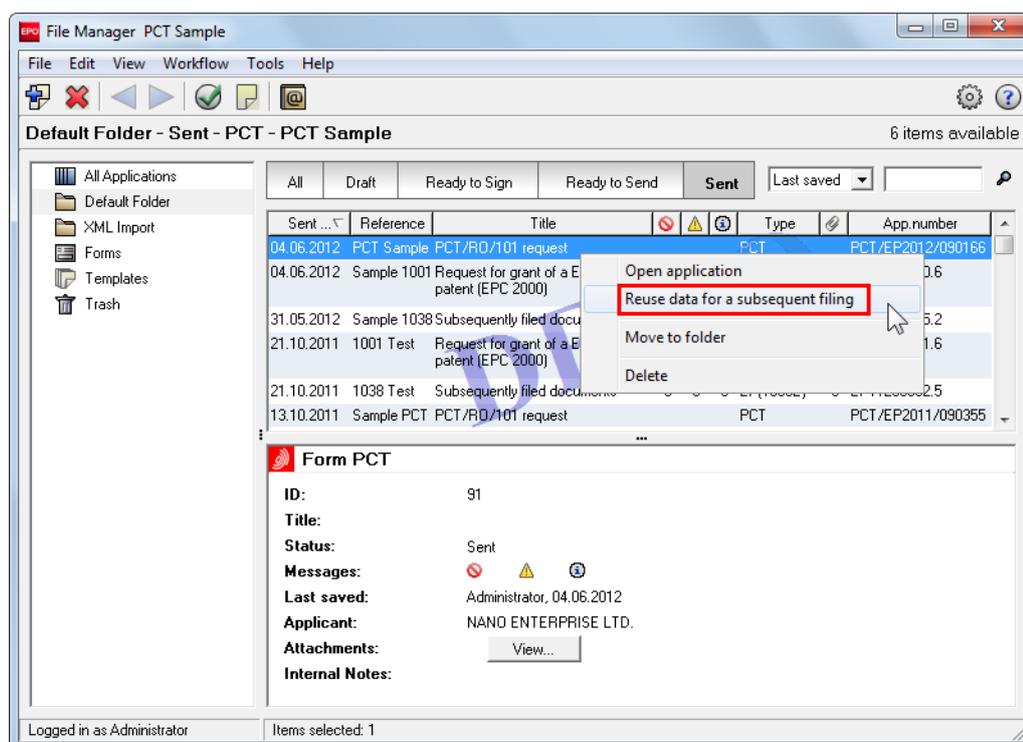


Figure 259: Creating a new application for entry into the European phase (Euro-PCT(1200E2K) form) using a PCT application already sent

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
- Language of filing of the international application

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)** is used for submitting documents filed subsequently in the European patent procedure, namely:

- all subsequently filed documents (except within the opposition procedure, when you should use Form EP(Oppo) (p. 237))
- appeals and/or subsequently filed documents in appeal proceedings; see Filing appeal documents (p. 222)
- US certified priority documents (other priority documents cannot be filed online)
- non-public documents; see Filing non-public documents (p. 221).

You can also use Form EP(1038E) to:

- create a subsequent submission based on an EP(1001E2K) application sent via Online Filing; see Reusing previous data for filing with EP(1038E) (p. 235)
- pay a fee and submit payment information
- file a request for accelerated search or accelerated examination under the PACE programme (non-public submission)
- submit an enquiry as to the processing of the file (public submission)
- supply further information to the EPO in the form of an annotation.

### **Minimum requirements for subsequent filing with Form EP(1038E)**

When filing with Form EP(1038E), at least one of the following actions must be performed:

- attach a document
- create a request or enquiry
- indicate a payment
- write an annotation.

### **Data input in Form EP(1038E)**

Form EP(1038E) is organised into five tabs. 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.



When filing a non-public submission with Form EP(1038E), you may only select non-public fees, i.e. fee code 029.

Tab	What you can do
<b>Application No</b>	Enter the EP application number to which this subsequently filed data belongs.
<b>Names</b>	Enter details on applicant or representative.
<b>Requests</b>	Create a request for accelerated search or accelerated examination, or create an enquiry as to the processing of the file.
<b>Documents</b>	Attach the subsequently filed documents.
<b>Fees</b>	Enter the mode of payment, select a fee schedule and select fees.
<b>Annotations</b>	Supply additional information for the EPO.

## Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. You must either manually fill out this field or 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 260: The Deposit account number is a mandatory field in the Fees tab and is marked with a red triangle

## Elements in Form EP(1038E)

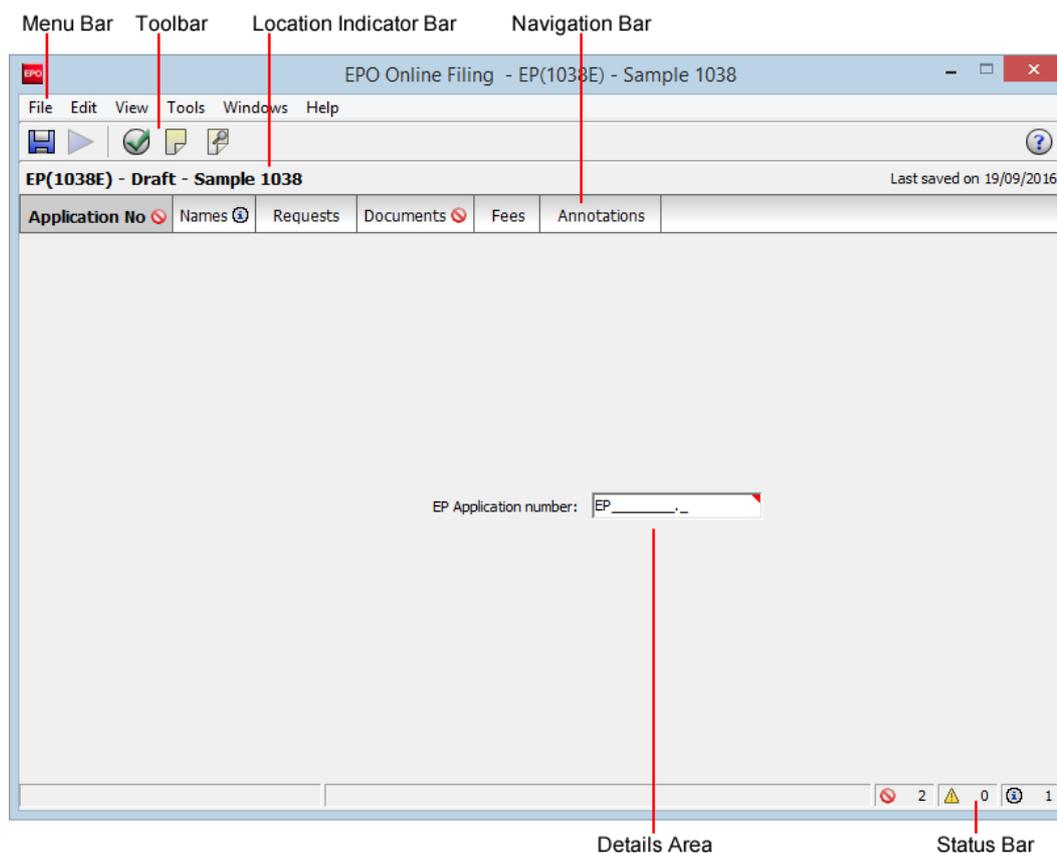


Figure 261: Form EP(1038E) – Overview

Element	Description
<b>Menu Bar</b>	Provides all options needed to edit, save, import and export drafts, set the display and change the status, as well as other tools.
<b>Toolbar</b>	Provides shortcuts to the most frequently used tasks and tools.
<b>Location Indicator Bar</b>	Shows the selected procedure, the current status and the user reference for the open draft.
<b>Navigation Bar</b>	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.
<b>Details Area</b>	Displays data entry fields appropriate to the selected tab.
<b>Status Bar</b>	Displays information about the current activity. Shows the total number of validation messages for the open draft.

## 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 262: 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. You can add exactly one name to the form.

### Adding a name

In the **Names** tab, click the **Add** button.

Select a role, e.g. **Applicant, Legal**.

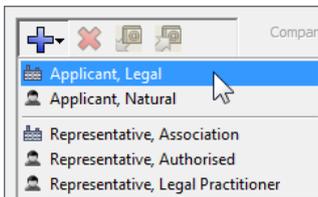


Figure 263: Adding a name

Enter name and address or copy an entry from the Address Book.

Once a role has been selected, the **Add** button becomes unavailable

### Applicant is represented by an employee

If the applicant is a company (legal person) with principal place of business in an EPC contracting state, it can be represented by an employee.

Where applicable, select the check box **[Company] is represented by the following employee acting pursuant to Art. 133(3) EPC.**

Enter **Last Name** (mandatory field), **First Name** (mandatory field) and **Title**.

The name of this employee will be automatically filled into the **Sign Application** dialog and cannot be modified. Only an employee who is authorised by the applicant under Article 133 EPC is entitled to sign.

Enter the **General Authorisation** number (where applicable).

EPO Online Filing - EP(1038E) - 1038-01

File Edit View Tools Windows Help

EP(1038E) - Draft - 1038-01 Last saved on 19/09/2016

Application No	Names	Requests	Documents	Fees	Annotations
	Nano Enterprise Ltd.				

Company: Nano Enterprise Ltd.

Department: Nanotechnology

Country: GB United Kingdom

Address: 123 City Street

P.O. Box: 5623

Postal code: W1A 2BC

City: London

GB County: Greater London

Telephone: +44 20 7123 4567

Fax: +44 20 7123 4568

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

Principal place of business: GB United Kingdom

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

Last name: Baker

First name: Jeremy

Title: Mr

General Authorisation: 14-4567

Figure 264: Applicant's details filled in

## Removing names from the form

Select the name to be removed on the left-hand side of the form.

Click the **Delete** button.



## 8.3 EP(1038E) – Requests

The **Requests** tab of Form EP(1038E) allows you to either create a specific request under the programme for accelerated prosecution of European patent applications (**PACE**) or submit an **enquiry as to the processing to the file** as a request.

The PACE request (**Form 1005**) is a non-public submission, whereas the enquiry as to the processing of the file (**Form 1012**) is a public submission. Public and non-public submissions must be filed separately; see Filing non-public documents (p. 221). Creating a public or non-public request is not allowed in the appeal procedure; see Filing appeal documents (p. 222).

You can file a submission either by creating a PACE request or an enquiry as to processing of the file – not both – in the **Requests** tab, or, alternatively, by attaching one of the two forms as a PDF file in the **Documents** tab; see Document types for EP(1038E) by category (p. 213).

You can choose one of these four options as appropriate:

<b>PACE request (Form 1005)</b>	<b>Enquiry as to the processing of the file (Form 1012)</b>
1. In the <b>Requests</b> tab, select either <b>Accelerated search</b> or <b>Accelerated examination</b> (only one PACE request can be made per submission with Form EP(1038E)). Online Filing creates the electronic form <b>epf1005.pdf</b> as part of the package that will be sent to the EPO.	2. In the <b>Requests</b> tab, select <b>Enquiry as to the processing of the file</b> . Online Filing creates the electronic form <b>epf1012.pdf</b> as part of the package that will be sent to the EPO.
3. In the <b>Documents</b> tab, attach the non-public document type <b>Request for accelerated search/examination</b> . Online Filing renames your file <b>1005.pdf</b> .	4. In the <b>Documents</b> tab, attach the document type <b>Enquiry as to the processing of the file</b> . Online Filing renames your file <b>1012.pdf</b> .

More information is available online:

- Notice from the European Patent Office dated 30 November 2015 concerning the programme for accelerated prosecution of European patent applications ("PACE") OJ EPO 2015, A93 (<http://www.epo.org/law-practice/legal-texts/official-journal/2015/11/a93.html>)
- Notice from the European Patent Office dated 2 August 2016 concerning the handling of enquiries as to the processing of files OJ EPO 2016, A66 (<http://www.epo.org/law-practice/legal-texts/official-journal/2016/08/a66.html>)

### Request for accelerated search/examination (Form 1005)

To file a request for accelerated search or accelerated examination under the PACE programme, you can either create the request electronically or attach a PDF file in the **Documents** tab. No fees are due for this request.

 A request for accelerated search or accelerated examination is a non-public submission.

To create the request electronically, go to the **Requests** tab.

Under PACE request, select the check box **Under the programme for accelerated prosecution of European patent applications, I/we hereby request that the European patent application specified in the Application No tab undergo:**

This enables the two associated check boxes and disables the check box under **Enquiry as to the processing of the file**.

Select the appropriate request: **Accelerated search** or **Accelerated examination**.

The two check boxes are mutually exclusive.

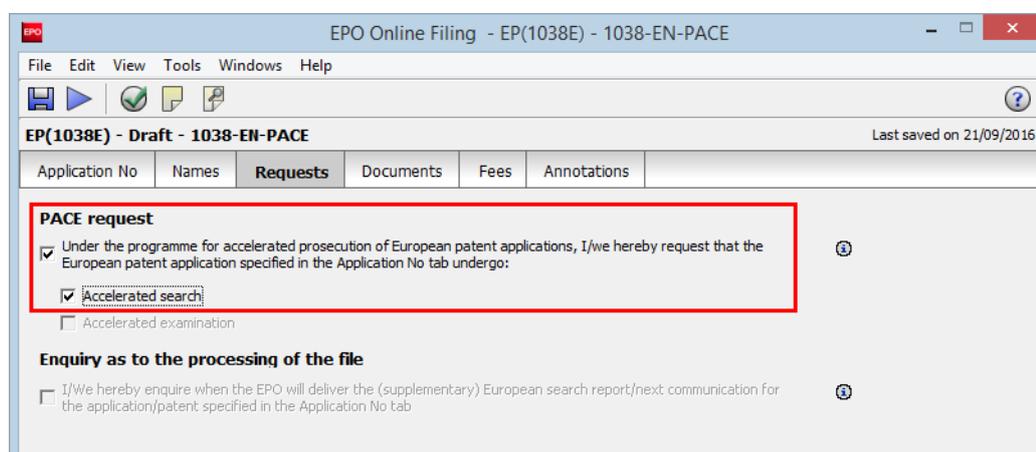


Figure 265: Requesting accelerated search under the PACE programme

Online Filing generates a PDF document with the information you indicated. When you sign the Form EP(1038E), the same signature will also be applied to the PACE request.

To view the request, click the **Preview** button in the toolbar.



The Form EP(1038E) opens in the PDF Viewer.

Click **epf1005.pdf** in the list on the left of the screen.

In the electronic PDF form, the box for the selected request is selected.

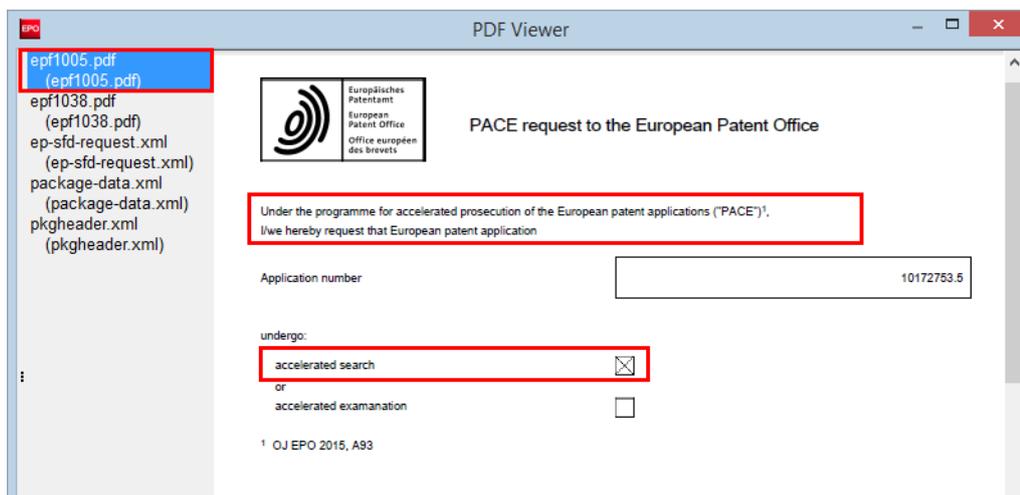


Figure 266: Previewing the PACE request in the PDF Viewer

If you have selected the PACE request in the **Request** tab, you are not allowed to attach the document **Request for accelerated search/examination** in the **Documents** tab. You will see a severity 1 validation message to that effect.



Figure 267: Validation message if the document "Request for accelerated search/examination" is attached and the PACE request is selected

### 8.3.1 Enquiry as to the processing of the file (Form 1012)

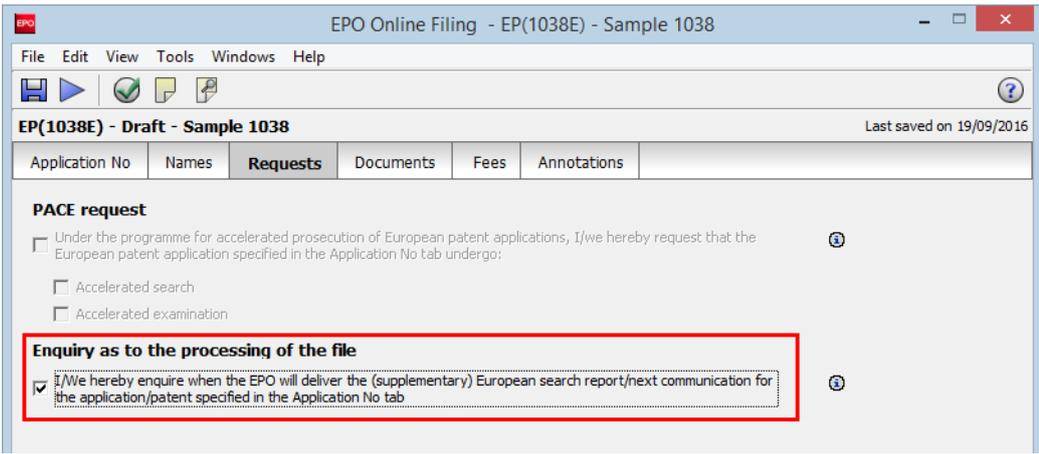
To submit an enquiry as to the processing of the file, you can either create the request electronically or attach a PDF file in the **Documents** tab. No fees are due for this request.

 An enquiry as to the processing of the file is a public submission.

To create the request electronically, go to the **Requests** tab.

Under **Enquiry as to the processing of the file**, select the check box **I/We hereby enquire when the EPO will deliver the (supplementary) European search report / next communication** for the application/patent specified in the Application No. tab.

This disables the check box under **PACE request**.



The screenshot shows the EPO Online Filing interface for EP(1038E) - Draft - Sample 1038. The 'Requests' tab is active, and the 'Enquiry as to the processing of the file' section is highlighted with a red box. The checked option is: 'I/We hereby enquire when the EPO will deliver the (supplementary) European search report/next communication for the application/patent specified in the Application No tab'. The 'PACE request' section is also visible, with the 'Accelerated search' and 'Accelerated examination' options unchecked.

Figure 268: Creating an enquiry as to the processing of the file

Online Filing generates a PDF document with the information you indicated. When you sign the Form EP(1038E), the same signature will also be applied to the enquiry.

To view the enquiry, click the **Preview** button in the toolbar.



The Form EP(1038E) opens in the PDF Viewer.

Click **epf1012.pdf** in the list on the left of the screen.

The electronic PDF form displays the text of the enquiry and the application/patent number.

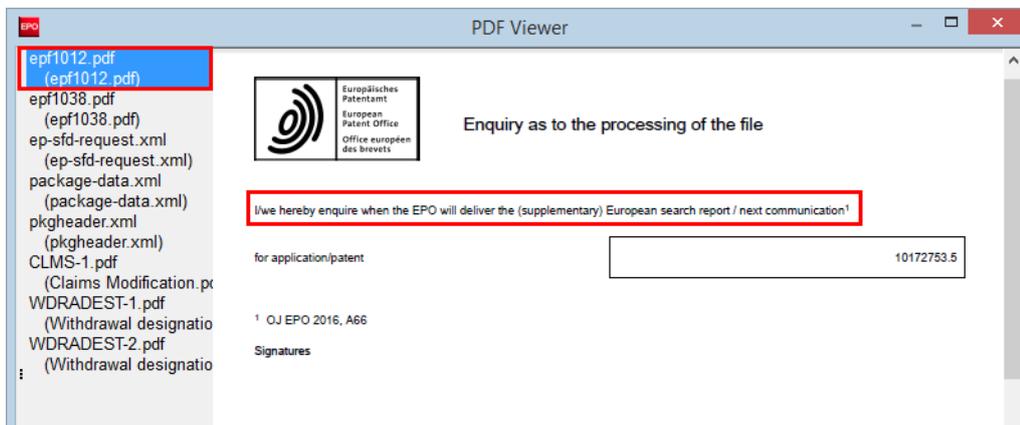


Figure 269: Previewing the enquiry as to the processing of the file in the PDF Viewer

If you have selected the enquiry in the **Request** tab, attaching the document **Enquiry as to the processing of the file** in the **Documents** tab is allowed. You will see a severity 3 message to that effect.

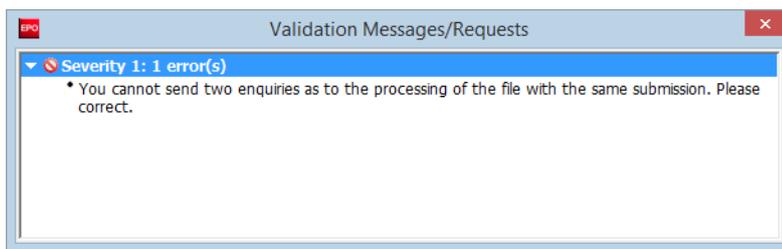


Figure 270: Validation if the document "Enquiry as to the processing of the file" is attached and the enquiry request is selected

## 8.4 EP(1038E)– Priority

In the **Priority** tab of EP(1038E) you can give details of the priorities you wish to claim. You can declare more than one priority. Translations of priority documents can be attached in the **Documents** tab.

The document type "Request for retrieval of priority document via DAS" shall be added as type of document that can be subsequently filed.

The document type will be included in the following categories:

- "All Documents"
- "Filing and Search"
- "Search and Examination"
- "Examination"
- "Priorities"

The following should be observed:

- Documents of this type are classified as public.
- Multiple document types can be attached to the same application.
- The file type shall be named 'F1013.pdf'

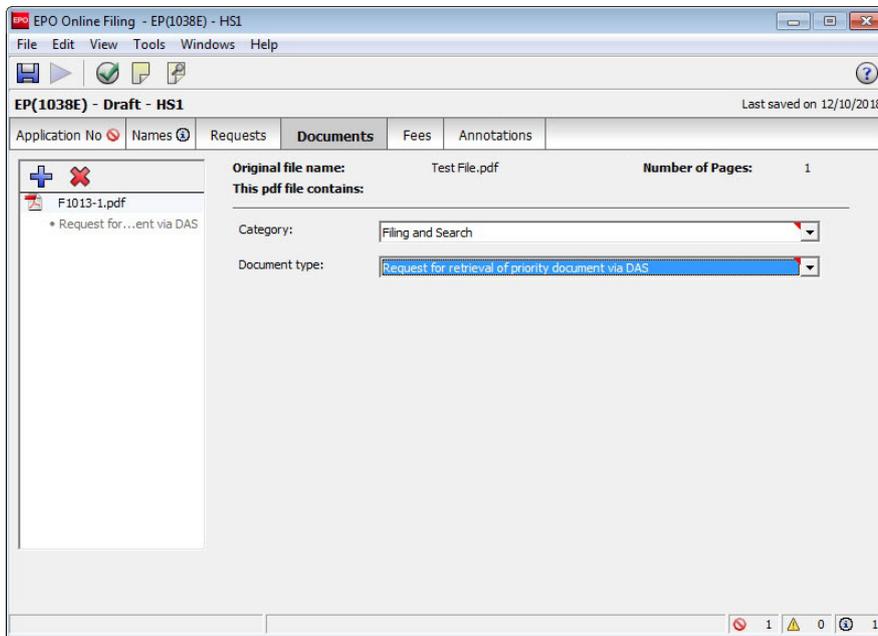


Figure 271: Document type in Filing and Search category

## 8.5 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. 213).

Initially there is a red validation icon on the **Documents** tab. However, if you perform one of the other possible actions (create a request, indicate a payment or write an annotation), the validation icon for the **Documents** tab disappears, since in this case no document is necessary. When providing reimbursement details (in the **Fees** tab) and the required information is present, you can submit the form without attaching any documents.



Form EP(1038E) may not be used for the PCT patent grant procedure. Please use Form PCT-SFD for filing documents subsequent to a PCT application.

### 8.5.1 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 by the EPO. If you are unable to find an appropriate document type in Form EP(1038E), 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.



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
- Enquiry as to the processing of the file
- Inventor waiver – Rule 20(1) EPC (non-public)
- 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
- Claims
- Document concerning fees and payments
- Document concerning microorganisms and medical inventions
- Document concerning representation
- Document concerning sequence listing in ST.25 format (APP, SEQ, TXT)
- Document concerning sequence listing in ST.26 format (XML, ZIP)
- Document concerning the designation and extension of states
- Document concerning the inventorship
- English translation of the claims
- Enquiry as to the processing of the file
- 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

- Miscellaneous requests concerning client data
- Request for automatic debiting
- 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 139 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 text in drawings
- Translation of priority document
- Translation of the abstract
- Waiver in respect of communication under Rule 161/162 EPC
- Withdrawal of an application
- Withdrawal of automatic debit order
- Withdrawal of designated or extension states

### **Examination**

- Document filed during examination procedure
- Enquiry as to the processing of the file
- 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)
- Inventor waiver – Rule 20(1) EPC (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

### **Appeal**

- Amended claims with annotations (appeal procedure)
- Amended description with annotations (appeal procedure)
- Amended drawings with annotations (appeal procedure)
- amicus curiae (statement by third parties in the proceedings before the Enlarged Board of Appeal in accordance with Art. 10 RPEBA)
- Annexes (other than cited documents) regarding appeal procedure
- Annexes (other than cited documents) regarding review procedure
- Cited documents during appeal procedure
- Claims (appeal procedure)
- Description (appeal procedure)
- Drawings (appeal procedure)
- Evidence in support of the appeal

- Grounds for re-establishment of rights (appeal procedure)
- Incoming letter in referral procedure
- Intervention of the assumed infringer
- Letter dealing with oral proceedings during the appeal procedure
- Letter relating to appeal procedure
- Letter relating to the review procedure
- Non-patent literature cited during the appeal procedure
- Non-patent literature filed by a third party during the appeal procedure
- Notice of appeal
- Observations by third parties (Art. 115 EPC) during the appeal procedure
- Oral proceedings: request for postponement (appeal procedure)
- Patent document cited during the appeal procedure
- Patent document filed by a third party during the appeal procedure
- Reply to appeal
- Request for extension of time limit during appeal procedure
- Request for further processing (appeal procedure)
- Request for interpreters during oral proceedings (appeal procedure)
- Request for oral proceedings (appeal procedure)
- Request for re-establishment of rights (appeal procedure)
- Statement of grounds of appeal
- Translation of statement of grounds of appeal
- Translation of notice of appeal
- Withdrawal of a request for oral proceedings (appeal procedure)
- Withdrawal of an 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**

The "with annotations" document type is to be used for amended documents with annotations or highlighted annotations/amendments. Documents with handwritten amendments are no longer accepted (for exceptions to this rule see the EPO Official Journal 2013, 603-604) ([http://archive.epo.org/epo/pubs/oj013/12\\_13/12\\_6033.pdf](http://archive.epo.org/epo/pubs/oj013/12_13/12_6033.pdf)).

- 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
- Documents concerning the inventorship
- Inventor waiver – Rule 20(1) EPC (non-public)
- Miscellaneous requests concerning client data

## **Biology**

- Document concerning micro-organisms and medical inventions
- Document concerning sequence listing, PDF
- Document concerning sequence listing, TXT



Use this document type for the file types .txt, .app or .seq.

## **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
- Document concerning the designation and extension of states
- 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**

- Enquiry as to the processing of the file
- General enquiry
- Maintenance of the application
- Request for assignment
- Request for automatic debiting
- Request for certified copies of the application
- 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 previously filed application
- Translation of priority document
- Translation of text in drawings
- Translation of the abstract
- Translation of the international preliminary examination report

### Withdrawals

- Withdrawal of an application
- Withdrawal of automatic debit order
- Withdrawal of designated or extension states

## 8.5.2 Attaching documents

In the **Documents** tab of EP(1038E), click the **Add** button.



Navigate to the storage location of your file.



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 **Sequence Listing in ST.25** (file type **.app**, **.seq** or **.txt**), or **Sequence Listing in ST.26** (file type **.xml** or **.zip**).

Select the file and click **Open**.

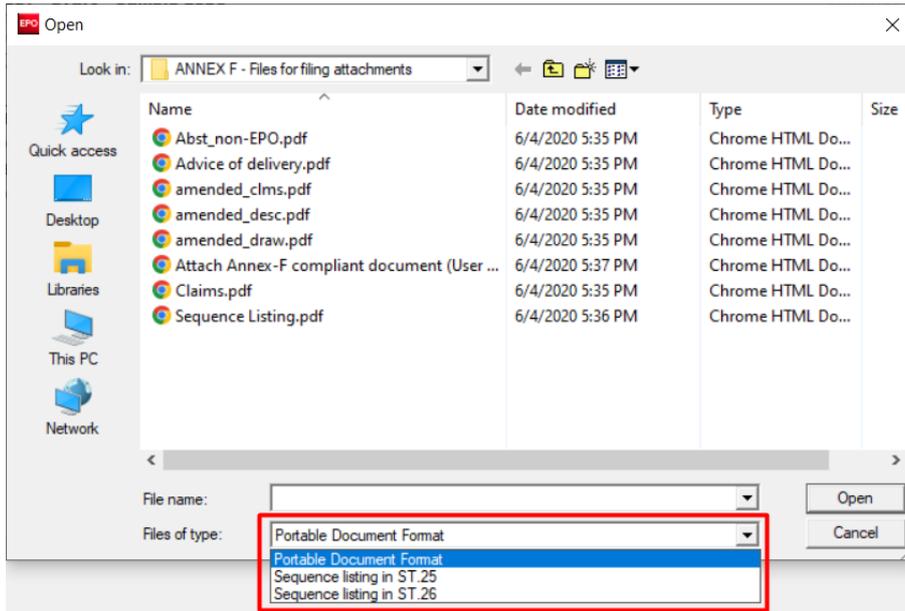


Figure 272: Selecting document for attachment

The file is attached to the application under its original file name.

Select the appropriate document category from the **Category** drop-down list.

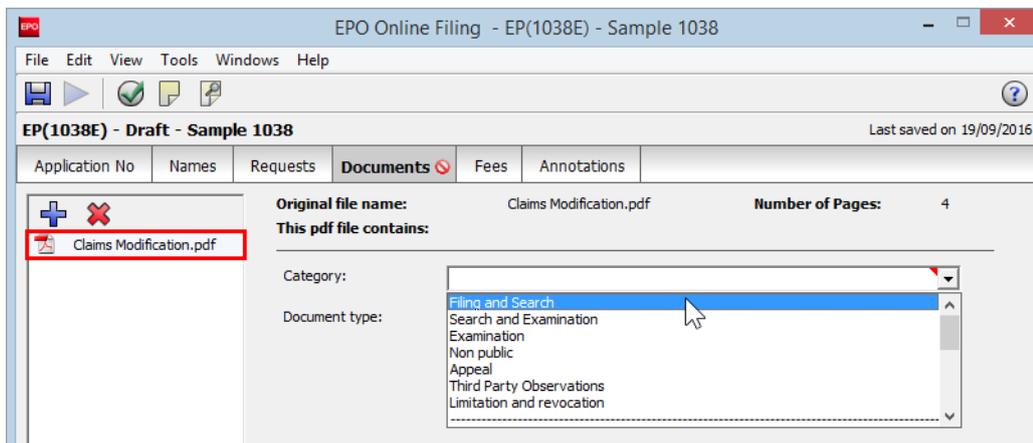


Figure 273: Selecting category for attached document

Select the appropriate document from the **Document type** drop-down list.

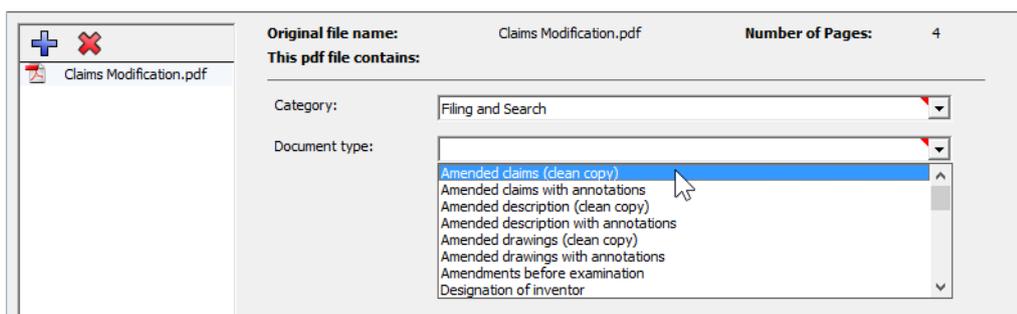


Figure 274: Selecting document type from the selected category

The file is renamed to the Online Filing default file name.



Figure 275: The attached document is renamed to the default OLF file name

**i** For sequence listings, please note that only up to a single ST.26 file (either XML or ZIP) may be attached per submission. Additionally, when selecting to submit a ST.26 sequence listing as ZIP, the provided ZIP file must contain a single ST.26-compliant XML file.

**Example: 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**.

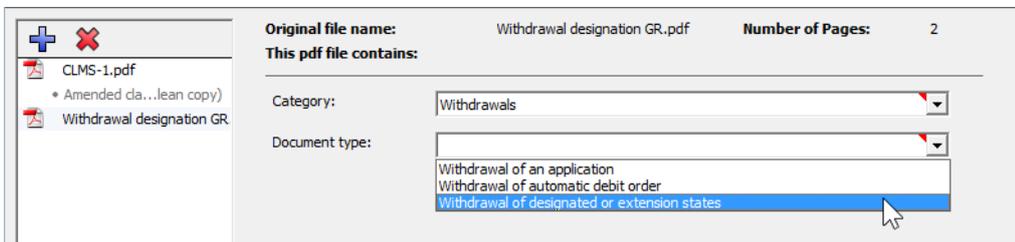


Figure 276: Request for withdrawal of designated or extension states

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.



Figure 277: Withdrawal documents attached

### 8.5.3 Filing non-public documents

The Online Filing software lets you submit documents in non-public proceedings to the EPO.

**i** You can attach public and non-public documents to Form EP(1038E), but not at the same time. If you attach a non-public document, you cannot select a fee which is only applicable for public submissions or create a public request. Please use separate forms for public and non-public submissions 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 the appropriate document type, e.g. **Request for accelerated search/examination**.

The file is renamed **1005.pdf**.

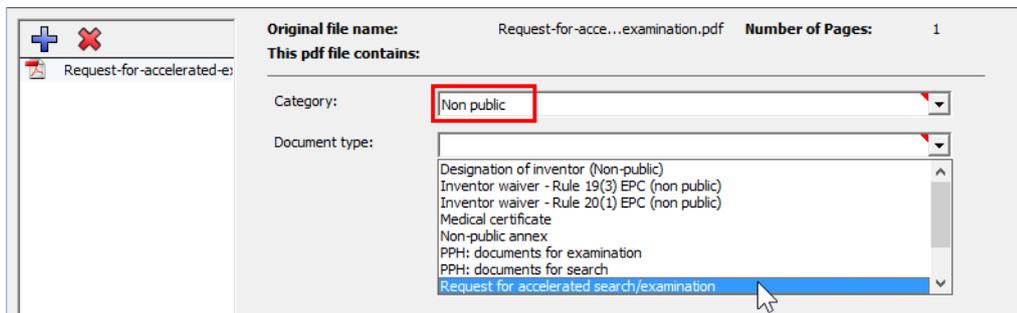


Figure 278: Request for accelerated search/examination attached as non-public document

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.

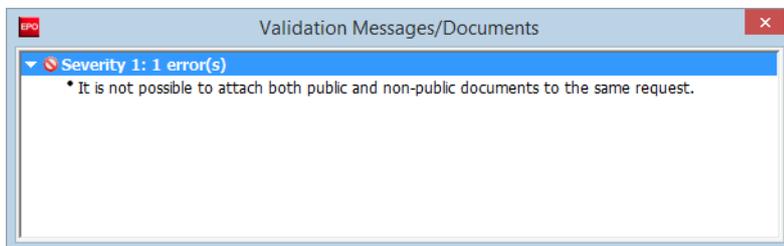


Figure 279: Validation message after attaching public and non-public documents

If you select the **PACE request** check box in the **Request** tab and then attach the document type **Request for accelerated search/examination**, you will see a severity 1 validation message because only one PACE request can be submitted with the same form.

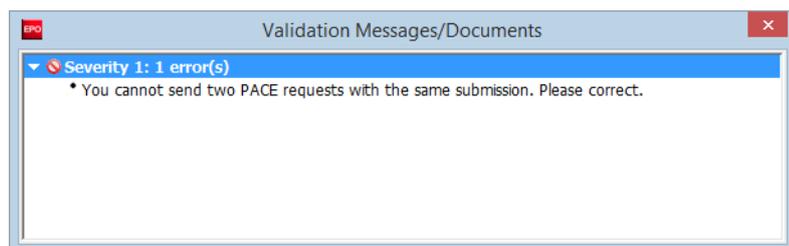


Figure 280: Validation message if the PACE request is selected and the document "Request for accelerated search/examination" is attached

### 8.5.4 Filing appeal documents

You can use the Online Filing software to file a notice of appeal and submit documents in appeal proceedings to the EPO.

**i** You can attach appeal documents and non-appeal documents to Form EP(1038E), but not at the same time. If you attach an appeal document, you cannot create a public or non-public request. Please use separate forms for filing appeal documents and all other submissions to the EPO.

Click the **Add** button.

Navigate to your file and attach it.

Select the **Appeal** category.

In the **Document type** list, select the appropriate document type, e.g. **Statement of grounds of appeal**.

The file is renamed **APPEAL-GRDS-1.pdf**.

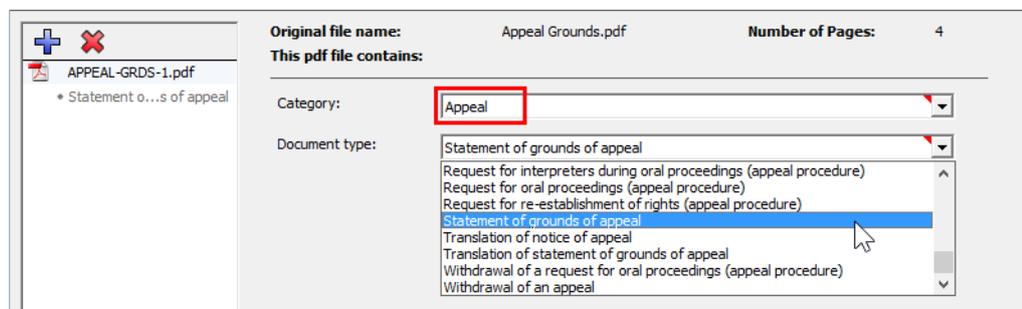


Figure 281: Statement of grounds of appeal attached under the appeal document category

If, after having attached your appeal document, you then attach one of the other document types, a red validation icon appears on the **Documents** button. The validation message explains the error.

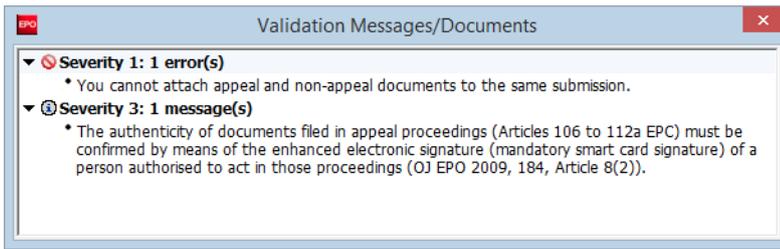


Figure 282: Validation message after attaching appeal and non-appeal documents

If you select the **PACE request** or the **Enquiry** check box in the **Request** tab and then attach a document from the **Appeal** category, you will see a severity 1 validation message, because requests (public or non-public) and appeal documents cannot be submitted with the same form.

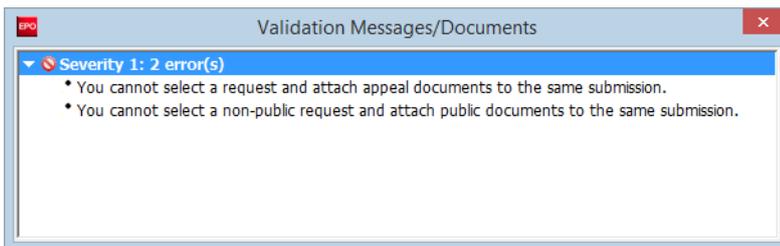


Figure 283: Validation messages if an appeal document is attached but a request has already been selected in the "Requests" tab

### 8.5.5 Viewing attached documents

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 document.

The example below shows two subsequently filed non-public documents.

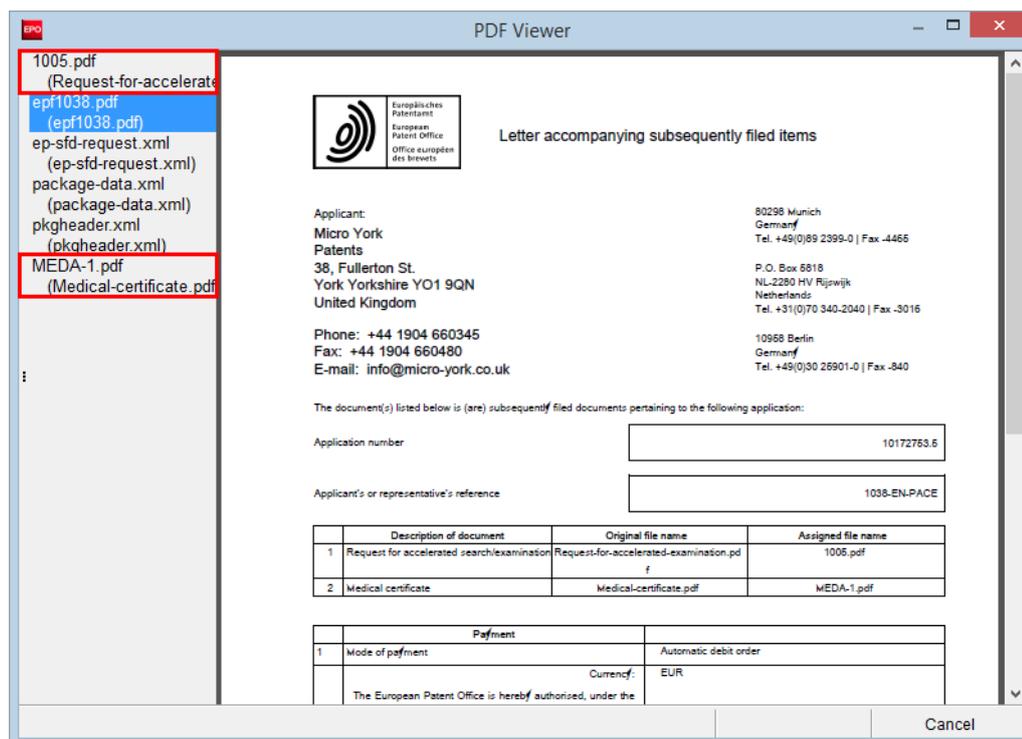


Figure 284: Attached files in the PDF Viewer

## 8.6 EP(1038E) – Fee Payment

Select the fees that you want to subsequently pay for the application on the EP(1038E) form's **Fees** tab and specify the mode of payment. The currency for all fees is EUR.

**i** 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. 225).

The fees displayed in the **Fees** 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>).

For more information on EPO deposit accounts and the automatic debiting procedure, please refer to the Official Journal:

- Arrangements for deposit accounts (ADA)  
Supplementary publication 3/2015, p. 8-16  
(<http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p8.html>)

- Notice from the European Patent Office dated 12 February 2015 concerning revision of the Arrangements for deposit accounts (ADA) and their annexes  
Supplementary publication 3/2015, p. 2-7  
(<http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p2.html>)
- Decision of the President of the European Patent Office dated 29 September 2016 revising points 5.3 and 7 of the Arrangements for deposit accounts (ADA)  
OJ EPO 2016, A83  
(<http://www.epo.org/law-practice/legal-texts/official-journal/2016/10/a83.html>)

## 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>).

### 8.6.1 Payment details

In the **Payment details** sub-tab you can select a mode of payment and the schedule of fees applicable to your application.

#### Mode of payment

You have to select a mode of payment before you can pay any fees when you have selected one or more fees in the **Fee selection** tab. By default the method of payment is set to **Not specified**. If no payment method is selected a red validation icon appears on the Fees button. The validation message explains the error.

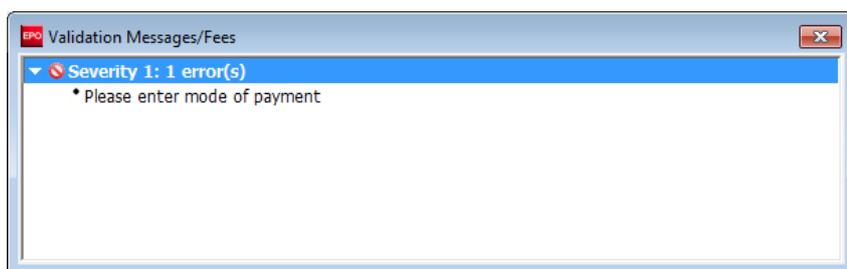


Figure 285: Please enter a mode of payment

Select the appropriate 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 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**

All payments in EUR must be transferred to the EPO's bank account with the Commerzbank AG in Munich, Germany. The IBAN and BIC codes of the EPO's bank account are supplied automatically when you select the Commerzbank from the drop-down list.

- **Credit card**

All payments by credit card must be made via the dedicated EPO fee payment service on the EPO website at **Applying for a patent > Online services > Paying fees online > Pay by credit card** (<https://epo.org/fee-payment-service/en/login>).

Choosing this mode of payment in the Payment details sub-tab is considered merely an indication of how you intend to pay.

- **Not specified**

This option is selected by default. It is required to select another option before the form can be sent to EPO.

### **Debit from deposit account**

An EPO deposit account is required to use the options **Automatic debit order** or **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**.

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 **Fees** tab. The corresponding validation message tells you to verify the deposit account number. The same rule applies to the deposit account number for reimbursement.

If you wish to have the fees debited from your account later than the submission date, enter the date in the **Deferred execution date** field.

Hover your mouse pointer over the symbol  to the right of the **Deferred execution date** field to see the **Important information**:

This functionality allows you to indicate explicitly that your payment order is to be executed at a later date than the submission date.

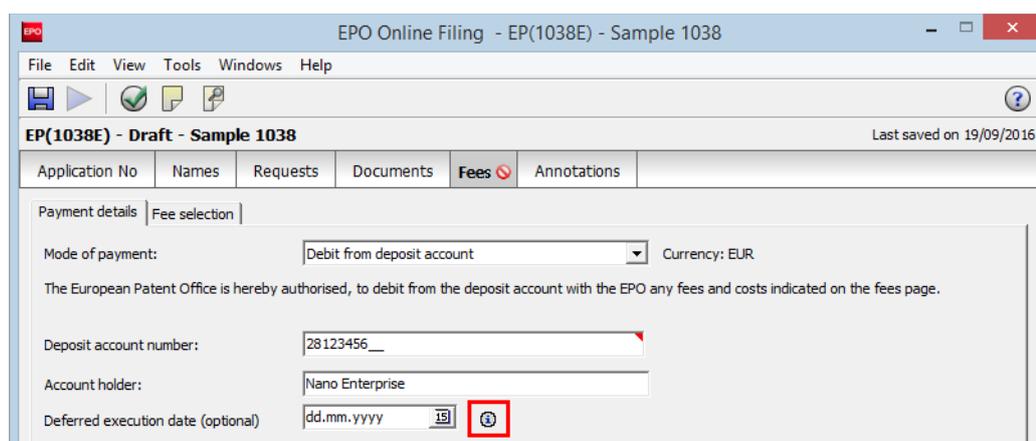
In this case, the payment date will be deemed to be the deferred execution date, provided that you have sufficient funds on your deposit account on that date.

Please choose the deferred execution date option only if the fees are to be debited on a future date, as otherwise the default execution date is the date of receipt.

The deferred execution date can be a maximum of 40 days in the future.

Please ensure that the deferred execution date lies within the time limit set for paying the selected fees.

Please note that any debit orders (standard or deferred execution) can only be revoked until 00.00 hrs CET on the date of submission (Arrangements for deposit accounts, 7).



The screenshot shows the 'EPO Online Filing - EP(1038E) - Sample 1038' window. The 'Fees' tab is active. In the 'Payment details' section, the 'Mode of payment' dropdown is set to 'Debit from deposit account' and the currency is 'EUR'. Below this, there is a text box stating: 'The European Patent Office is hereby authorised, to debit from the deposit account with the EPO any fees and costs indicated on the fees page.' The 'Deposit account number' field contains '28123456\_\_'. The 'Account holder' field contains 'Nano Enterprise'. The 'Deferred execution date (optional)' field is set to 'dd.mm.yyyy' and has a red box around the Euro symbol icon.

Figure 286: Selecting mode of payment

### Selecting the correct fee schedule

The fee schedule shown in Form EP(1038) depends on the date of filing or entry into the regional phase of the patent application to which this subsequently filed application belongs.

Select the appropriate fee schedule option.

- (a) Date of filing or entry into regional phase on or after 01.04.2014. This is the default option.
- (b) Date of filing or entry into the regional phase from 01.04.2009 to 31.03.2014 inclusive.
- (c) Date of filing or entry into the regional phase before 01.04.2009 or Euro-PCT application with date of filing or earliest priority before 01.09.2006.

### Declaration under Rule 6(4) EPC

The check box for the declaration under Rule 6(4) EPC is available if the option **Date of filing or entry into the regional phase on or after 01.04.2014** is selected.

Applicants who are nationals of an EPC contracting state **or** who have their residence or principal place of business in an EPC contracting state can request examination or file their application in an official language of that state, if this language is an admissible non-official EPO language, i.e. if it is not English, French or German (Article 14(4) EPC). They can also file their request subsequently using Form EP(1038E).

Under Rule 6(3) EPC, the EPO grants a reduction in the examination fee and filing fees if applicants referred to in Article 14(4) EPC belong to one of the following groups specified in Rule 6(4) EPC:

- a. small and medium-sized enterprises (SMEs);
- b. natural persons; or
- c. non-profit organisations, universities or public research organisations.

To declare that the applicant(s) fulfil the conditions of Rule 6(4), select the check box **The/Each applicant hereby declares that he is an entity or a natural person under Rule 6(4) EPC.**

To select the reduced fees applicable to your application, go to the **Fee selection** sub-tab.

The **Fee selection** (p. 229) sub-tab displays the standard fees and the optional extra fee options with reductions.



Figure 287: Options for selecting the correct fee schedule

## Further options

The **Payment details** sub-tab offers some additional options at the bottom of the screen.

If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, select the corresponding check box.

This information applies to all selected modes of payment. 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 and supply the account holder's name.

## 8.6.2 Fee selection

There is no fee selected by default in Form EP(1038E).

Select the check boxes of the 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 'Payment details' sub-tab is active, and the 'Fee selection' sub-tab is selected. The 'Show' dropdown is set to 'All Fees'. The table below shows the list of fees:

Fee Code	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input type="checkbox"/>	049 Renewal fee for the 19th year	1 575.00	----	1	0.00
<input type="checkbox"/>	050 Renewal fee for the 20th year	1 575.00	----	1	0.00
<input checked="" type="checkbox"/>	055 Add. copy of docs cited in search report	40.00	----	1	40.00
<input type="checkbox"/>	056 Surcharge fee for printing (R.82(3), R.95(3))	120.00	----	1	0.00
<input type="checkbox"/>	060 Fee for a technical opinion	3 900.00	----	1	0.00
<input type="checkbox"/>	061 Max. surcharge under Art. 7(3) RFees	0.00	----	1	0.00
<input type="checkbox"/>	062 Protest fee	875.00	----	1	0.00
<input checked="" type="checkbox"/>	067 Fee for late furnishing of sequence listing (R. 30(3) EPC)	230.00	----	1	230.00
<input type="checkbox"/>	080 Certification of other documents	50.00	----	1	0.00
<input type="checkbox"/>	093 Surcharge for renewal fee for 3rd year	235.00	----	1	0.00
<input type="checkbox"/>	094 Surcharge for renewal fee for 4th year	292.50	----	1	0.00

At the bottom right, the total is displayed as **Total: (2 Fees) EUR 270.00**.

Figure 288: Selecting fees

### Applying fee reductions

If the **declaration under Rule 6(4)** check box in the **Payment details** sub-tab is selected, the extra fees reductions are displayed in the fee selection table.

- The 30% reduction applies to:
  - 001r – Filing fee – EP direct – online
  - 001er – Filing fee – EP direct – not online
  - 006r1 – Examination fee – For applications filed on/after 01.07.2005
  - 006er1 – Examination fee – For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without supplementary European search report

- 501r – Additional filing fee for the 36th and each subsequent page
  - 552r – Additional fee for divisional 2<sup>nd</sup> generation
  - 553r – Additional fee for divisional 3<sup>rd</sup> generation
  - 554r – Additional fee for divisional 4th generation
  - 555r – Additional fee for divisional 5th or subsequent generation
- The 75% reduction applies to:
    - 006r2 – Examination fee – For applications filed on/after 1.07.2005
    - 006er2 – Examination fee – For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without supplementary European search report

You can combine both standard fees and reduced fees in one application, provided that you, the applicant(s), fulfil the conditions for fee reduction under Article 14(4) and Rule 6(4) EPC. However, if you select a specific reduced fee, all other fee options for this fee, e.g. the examination fee, are locked.

Select the reduced fees individually as appropriate.

Fee Code	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input type="checkbox"/> 006e	Examination fee - For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without supplementary European search report	1 825.00	none	1	0.00
<input type="checkbox"/> 006er1	Examination fee - For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without supplementary European search report	1 825.00	30%	1	0.00
<input type="checkbox"/> 006er2	Examination fee - For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without supplementary European search report	1 825.00	65%	1	0.00
<input type="checkbox"/> 006r1	Examination fee - For applications filed on/after 01.07.2005	1 635.00	30%	1	0.00
<input checked="" type="checkbox"/> 006r2	Examination fee - For applications filed on/after 01.07.2005	1 635.00	65%	1	572.25

Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR, valid as of: 01.04.2016

**Total: (4 Fees) EUR 962.25**

Figure 289: Selecting reduced fees for applicants under Rule 6(4)

### Selecting fees when filing non-public submissions

When attaching non-public documents to your application or making a non-public request (PACE request), only certain fees can be selected at the same time. These are:

029 – Certified copy (application, priority document, patent certificate, 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
- 029 – Certified copy (application, priority document, patent certificate, other documents)
- 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% of the relevant fee)
- 400 – Surcharge for extension fees
- 501 – Additional filing fee for the 36th and each subsequent page
- 501r – Additional filing fee for the 36th and each subsequent page (30% reduction)
- 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
<input checked="" type="checkbox"/>	006	Examination fee - For applications filed on/after 01.07.2005	1 635.00	none	1	1 635.00
<input checked="" type="checkbox"/>	029	Certified copy (application, priority document, patent certificate, other documents)	50.00	----	1	50.00
<input checked="" type="checkbox"/>	055	Add. copy of docs cited in search report	40.00	----	4	40.00
<input checked="" type="checkbox"/>	067	Fee for late furnishing of sequence listing (R. 30(3) EPC)	230.00	----	1	230.00

Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2019

**Total: (4 Fees) EUR 1 955.00**

Figure 290: 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
<input checked="" type="checkbox"/>	006	Examination fee - For applications filed on/after 01.07.2005	1 635.00	none	1	1 635.00
<input checked="" type="checkbox"/>	029	Certified copy (application, priority document, patent certificate, other documents)	50.00	----	1	50.00
<input checked="" type="checkbox"/>	055	Add. copy of docs cited in search report	40.00	----	4	160.00
<input checked="" type="checkbox"/>	067	Fee for late furnishing of sequence listing (R. 30(3) EPC)	230.00	----	1	230.00

Edit fee amounts (no automatic fee correction will be done by the office)

Fee schedule for EUR valid as of: 01.04.2019

**Total: (4 Fees) EUR 2 075.00**

Figure 291: Recalculated total of the fees selected

### Editing fee amounts and reductions

If you wish to edit a fee amount or apply a specific reduction, you have to select the **Edit fee amounts** check box. If you do so, please note that there will be no automatic fee correction for this application. Depending on your selected mode of payment, the total amount shown will be debited from your deposit account or is payable by bank transfer.

Select the **Edit fee amounts** check box below the fee selection table.

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
<input checked="" type="checkbox"/>	006	Examination fee - For applications filed on/after 01.07.2005	1 635.00	50.00%	1	817.50
<input checked="" type="checkbox"/>	029	Certified copy (application, priority document, patent certificate, other documents)	50.00	none	1	50.00
<input checked="" type="checkbox"/>	055	Add. copy of docs cited in search report	40.00	none	4	160.00
<input checked="" type="checkbox"/>	067	Fee for late furnishing of sequence listing (R. 30(3) EPC)	230.00	none	1	230.00
<input checked="" type="checkbox"/> Edit fee amounts (no automatic fee correction will be done by the office)						
Fee schedule for EUR valid as of:			01.04.2019	<b>Total:</b>		<b>(4 Fees) EUR 1 257.50</b>

Figure 292: 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.

The value in the **Quantity** column will not be reset, however.

### 8.6.3 Designation of states

The options for the designation fees depend on the fee schedule selected in the **Payment details** sub-tab.

If **Date of filing or entry into regional phase on or after 01.04.2014** or **Date of filing or entry into the regional phase from 01.04.2009 to 31.03.2014** inclusive is selected:

Select fee **005e – Designation fee – For all Contracting States designated** in the **Fee selection** sub-tab.

Fee Code	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input type="checkbox"/> 001	Filing fee - EP direct - online	120.00	none	1	0.00
<input type="checkbox"/> 001e	Filing fee - EP direct - not online	210.00	none	1	0.00
<input type="checkbox"/> 001er	Filing fee - EP direct - not online	210.00	30%	1	0.00
<input type="checkbox"/> 001r	Filing fee - EP direct - online	120.00	30%	1	0.00
<input type="checkbox"/> 002	Fee for a European search - Applications filed on/after 01.07.2005	1 300.00	0 €	1	0.00
<input type="checkbox"/> 002e	Fee for a European search - Supplementary search for applications filed before 01.07.2005	885.00	----	1	0.00
<input checked="" type="checkbox"/> 005e	Designation fee - For all contracting States designated for applications filed on/after 01.04.2009	585.00	----	1	585.00
<input type="checkbox"/> 006	Examination fee - For applications filed on/after 01.07.2005	1 635.00	none	1	0.00

Fee schedule for EUR valid as of: 01.04.2016 **Total: (1 Fees) EUR 585.00**

Figure 293: All contracting states designated

If **Date of filing or entry into the regional phase before 01.04.2009** or **Euro-PCT application with date of filing or earliest priority before 01.09.2006** is selected:

Select fee **005 – Designation fee for each state designated (max. 7x)**.

The **Designation states** sub-tab becomes visible.

Fee Code	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input type="checkbox"/> 001	Filing fee - EP direct - online	120.00	none	1	0.00
<input type="checkbox"/> 001e	Filing fee - EP direct - not online	210.00	none	1	0.00
<input type="checkbox"/> 002	Fee for a European search - Applications filed on/after 01.07.2005	1 300.00	0 €	1	0.00
<input type="checkbox"/> 002e	Fee for a European search - Supplementary search for applications filed before 01.07.2005	885.00	----	1	0.00
<input checked="" type="checkbox"/> 005	Designation fee for each state designated (max. 7x)	100.00	----	7	700.00
<input type="checkbox"/> 006	Examination fee - For applications filed on/after 01.07.2005	1 635.00	none	1	0.00
<input type="checkbox"/> 006e	Examination fee - For applications filed before 01.07.2005 and for international applications filed on/after 01.07.2005 without	1 825.00	none	1	0.00

Fee schedule for EUR valid as of: 01.04.2016 **Total: (1 Fees) EUR 700.00**

Figure 294: Selecting fee 005 makes the "Designation states" sub-tab 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.

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):

<input type="checkbox"/> AT Austria	<input type="checkbox"/> ES Spain	<input type="checkbox"/> IS Iceland	<input type="checkbox"/> NO Norway
<input type="checkbox"/> BE Belgium	<input type="checkbox"/> FI Finland	<input type="checkbox"/> IT Italy	<input type="checkbox"/> PL Poland
<input type="checkbox"/> BG Bulgaria	<input type="checkbox"/> FR France	<input type="checkbox"/> LT Lithuania	<input type="checkbox"/> PT Portugal
<input type="checkbox"/> CH/LI Switzerland/Liechtenstein	<input type="checkbox"/> GB United Kingdom	<input type="checkbox"/> LU Luxembourg	<input type="checkbox"/> RO Romania
<input type="checkbox"/> CY Cyprus	<input type="checkbox"/> GR Greece	<input type="checkbox"/> LV Latvia	<input type="checkbox"/> SE Sweden
<input checked="" type="checkbox"/> CZ Czech Republic	<input checked="" type="checkbox"/> HR Croatia	<input type="checkbox"/> MC Monaco	<input checked="" type="checkbox"/> SI Slovenia
<input type="checkbox"/> DE Germany	<input type="checkbox"/> HU Hungary	<input type="checkbox"/> MT Malta	<input checked="" type="checkbox"/> SK Slovakia
<input type="checkbox"/> DK Denmark	<input type="checkbox"/> IE Ireland	<input type="checkbox"/> NL Netherlands	<input type="checkbox"/> TR Turkey
<input type="checkbox"/> EE Estonia			

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.

Figure 295: Selecting states for designation fees

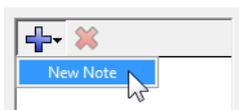
## 8.7 EP(1038E) – Annotations

You can use Form EP(1038E) to send an annotation to the EPO without supplying any other data or attaching a 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.

EPO Online Filing - EP(1038E) - Sample 1038

File Edit View Tools Windows Help

EP(1038E) - Draft - Sample 1038 Last saved on 19/09/2016

Application No	Names	Requests	Documents	Fees	Annotations
Annotations for the EPO:					
<input checked="" type="checkbox"/> <input type="checkbox"/> More non public documents...		Author:	David Kilburn		
		Subject:	More non public documents		
		Note:	Please note that a further form containing the non public documents referring to the same EP application number will also be filed subsequently.		

Figure 296: Adding a new note as an annotation for the EPO

To add notes that are not intended for the EPO, use the **Internal notes** (p. 42) function on the form's toolbar.



## 8.8 Reusing previous data for filing with EP(1038E)

Instead of creating a new application with the EP(1038E) form, you can simply re-use 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**.

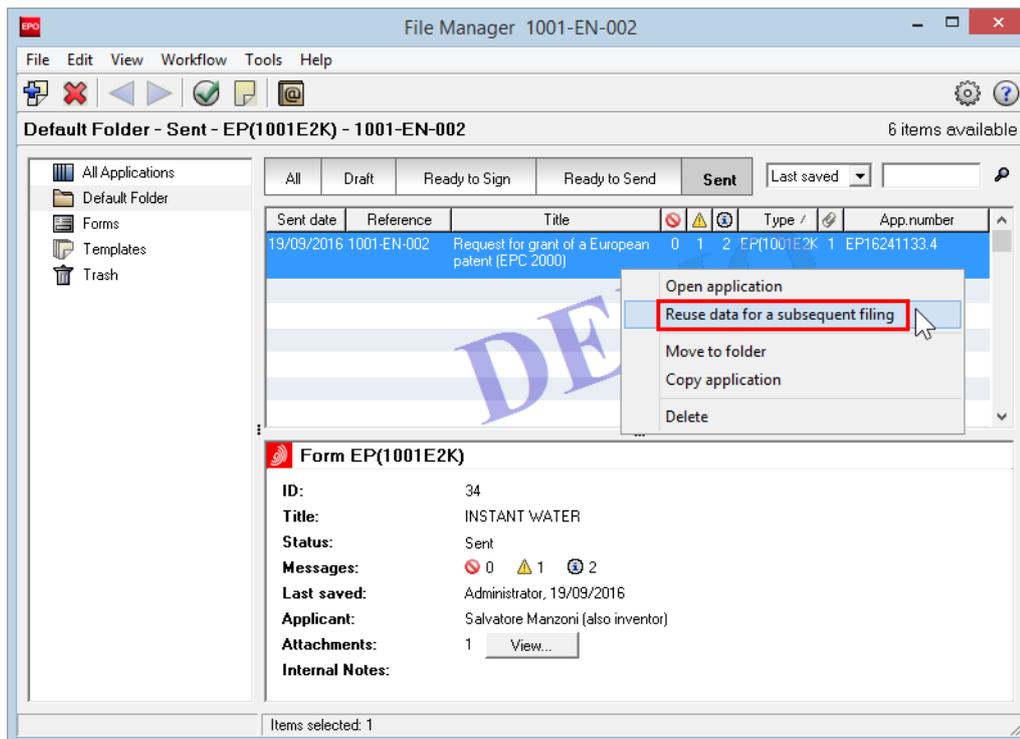


Figure 297: Creating a new application for subsequently filed documents (form 1038E) using an application already sent

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://www.epo.org/applying/forms-fees/forms.html>).

### Second communication – other actions

**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).

When filing with Form EP(Oppo), at least one of the following actions must be performed by the party who selected the **Other action** option:

- attach a document
- submit a request
- attach a piece of evidence
- indicate a payment
- write an annotation.

### Data input in Form EP(Oppo)

Form EP(Oppo) is organised into six tabs. 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
<b>Opposition</b>	Select the kind of communication, enter reference to the patent opposed, specify grounds for opposition
<b>Names</b>	Enter details of the persons involved: opponent(s), intervener(s), representative(s), proprietor(s), witness(es) or third parties.
<b>Requests</b>	Select options for additional request: refer to withdrawal/revocation, to oral proceedings, to extension of time limit, etc.
<b>Documents</b>	Attach facts and arguments, publications for evidence, other evidence and other documents.
<b>Fees</b>	Enter the mode of payment, select fees according to the appropriate fee schedule.
<b>Annotations</b>	Supply additional information for the EPO.

### Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. You must either manually fill out this field or 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.

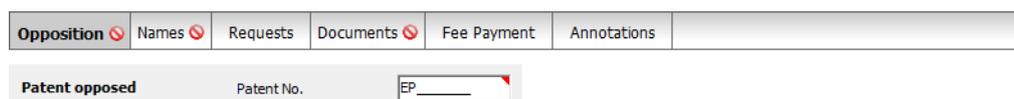


Figure 298: The Patent No. of the patent opposed is a mandatory field in the Opposition tab and is marked with a red triangle

## Elements in Form EP(Oppo)

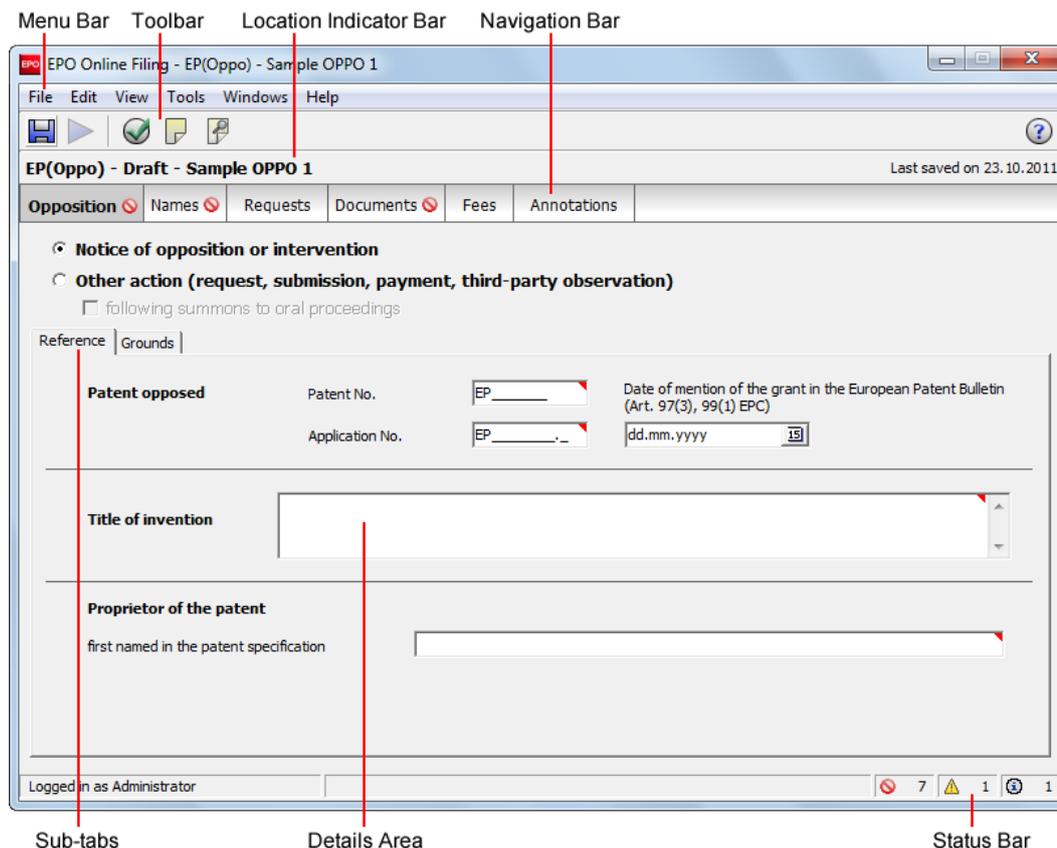


Figure 299: Form EP(Oppo) – Overview

Element	Description
<b>Menu Bar</b>	Provides all options needed to edit, save, import and export drafts, set the display and change the status, as well as other tools.
<b>Toolbar</b>	Provides shortcuts to the most frequently used tasks and tools.
<b>Location Indicator Bar</b>	Shows the selected procedure, the current status and the user reference for the open draft.
<b>Navigation Bar</b>	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.
<b>Details Area</b>	Displays data entry fields appropriate to the selected tab.
<b>Status Bar</b>	Displays information about the current activity. Shows the total number of validation messages for the open draft.

## 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).



Figure 300: 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.

 This option guarantees that your filing is assigned the highest priority for internal processing at the EPO.



Figure 301: 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.

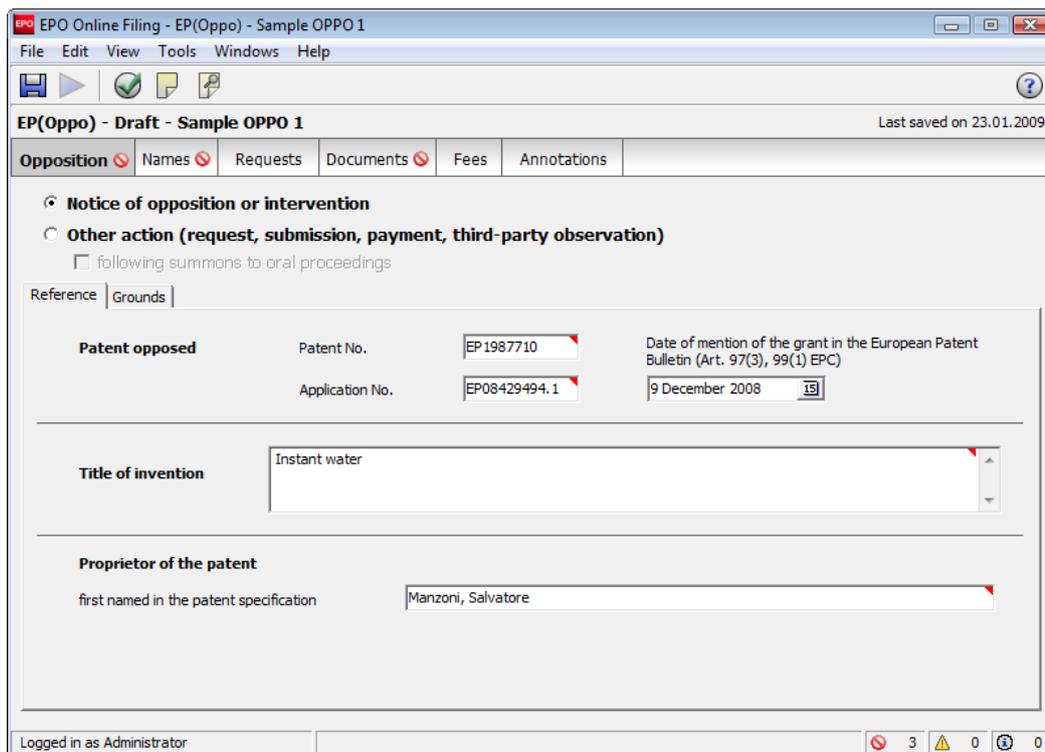
Enter the relevant date in the field under **Date of mention of the grant in the European Patent Bulletin.** This helps the EPO to determine the possible time left for filing notice of opposition.

 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.

 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 'Opposition' sub-tab is active, and the 'Reference' section is selected. The form contains the following data:

Field	Value
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

Figure 302: 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.

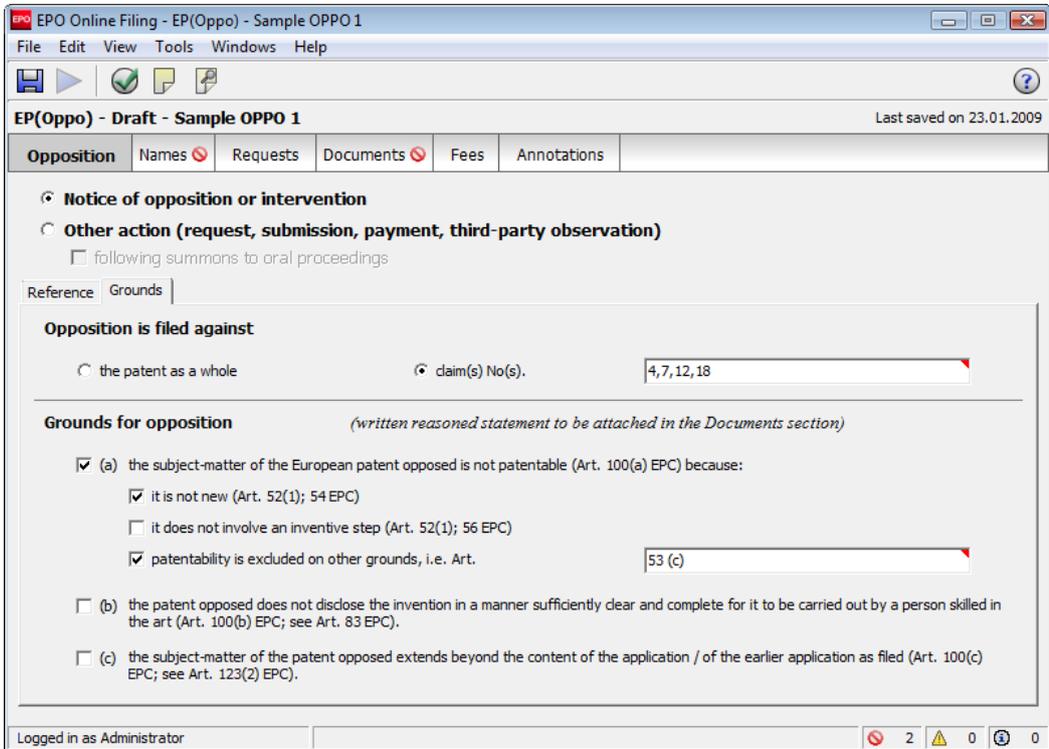
Select at least one of the check boxes **(a)** to **(c)** under **Grounds for opposition**.

 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.



The screenshot shows the EPO Online Filing interface for an opposition. The window title is "EPO Online Filing - EP(Oppo) - Sample OPPO 1". The main menu includes File, Edit, View, Tools, Windows, and Help. The interface is titled "EP(Oppo) - Draft - Sample OPPO 1" and shows it was last saved on 23.01.2009. The "Opposition" tab is active, with sub-tabs for Names, Requests, Documents, Fees, and Annotations. The "Notice of opposition or intervention" is selected. Under "Opposition is filed against", "claim(s) No(s)" is selected with the value "4,7,12,18". Under "Grounds for opposition", option (a) is checked, and "patentability is excluded on other grounds, i.e. Art." is selected with the value "53 (c)". The interface also shows a "Reference" tab and a "Documents" tab. The status bar at the bottom indicates "Logged in as Administrator" and shows 2 errors, 0 warnings, and 0 information messages.

Figure 303: Stating the grounds for opposition

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).

## 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.

 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.



Figure 304: Options for adding persons when "Notice of opposition" is selected

Enter the details for the person or use the **Copy from Address Book** button.



Repeat this procedure to add additional persons.

Removing names from the form

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.

Enter **Last Name** (mandatory field), **First Name** (mandatory field) and **Title**.

The name of this employee will be automatically filled into the **Sign Application** dialog and cannot be modified. Only an employee who is authorised by the applicant under Article 133 EPC is entitled to sign.

Enter the **General Authorisation** number (where applicable).

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Sample OPPO 1' window. The 'Names' tab is active, showing a list of opponents on the left and a form for the selected opponent, 'Micro York'. The form fields are as follows:

Company:	Micro York
Department:	Patents
Country:	GB United Kingdom
Address:	38, Fullerton St.
Telephone:	+44 1904 660345
Telefax:	+44 1904 660480
E-mail:	info@micro-york.co.uk
P.O. Box:	
Postal code:	YO1 9QN
City:	York
GB County:	Yorkshire
Principal place of business:	GB United Kingdom
<input type="checkbox"/> Address for correspondence	
<input checked="" type="checkbox"/> Micro York is represented by the following employee acting pursuant to Art. 133(3) EPC:	
Last Name:	Scott
First Name:	Jessica
Title:	Ms
General Authorisation:	13-5678

Figure 305: 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 if you have not added a representative to the form. The country in the address for correspondence must be an EPC contracting state.

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.

Select the first-named opponent.

Select the **Address for correspondence** check box.

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

Entering the address for correspondence is now mandatory. The red validation icon in the **Names** tab notifies you of a validation message to that effect.

Click the **Add** button and select **Address**.

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.

- The opponent's name cannot be edited in the address for correspondence. The **Company** field (legal opponent) and the **Last Name** and **First Name** field (natural opponent) are locked.
- If you subsequently modify the first-named opponent's name, 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 interface for 'EP(Oppo) - Draft - Sample OPPO 1'. The 'Names' tab is selected, and the 'Address for correspondence' section is active. The 'Company' field is highlighted with a red box, containing the text 'Micro York'. The 'Department' field contains 'Legal Affairs'. The 'Country' field is set to 'GB' with a dropdown menu showing 'United Kingdom'. The 'Address' field is empty. The 'P.O. Box' field contains '3400', the 'Postal code' field contains 'W1A 2BC', the 'City' field contains 'London', and the 'GB County' field is set to 'Greater London'. The left sidebar shows a list of opponents, with 'Micro York' selected under the 'Address for correspondence' section, also highlighted with a red box. The status bar at the bottom indicates 1 error, 0 warnings, and 1 information message.

Figure 306: Address for correspondence entered for the first-named opponent

## 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.

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 a representative on the right. The form includes fields for Last Name (Kilburn), First Name (David), Title (Mr.), Company (IP Partners), Department (European Patents), Country (GB), Address (Cambridge Science Park, 100 Red Lion Square), Telephone (+44 1223 351689), and E-mail (kilburn@ip-partners.co.uk). The 'Authorisation(s)' section has two options: 'is/are enclosed' and 'has/have been registered under No.' with an adjacent text input field. The status bar at the bottom indicates 'Logged in as Administrator' and shows 1 error, 0 warnings, and 0 messages.

Figure 307: 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.

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.**

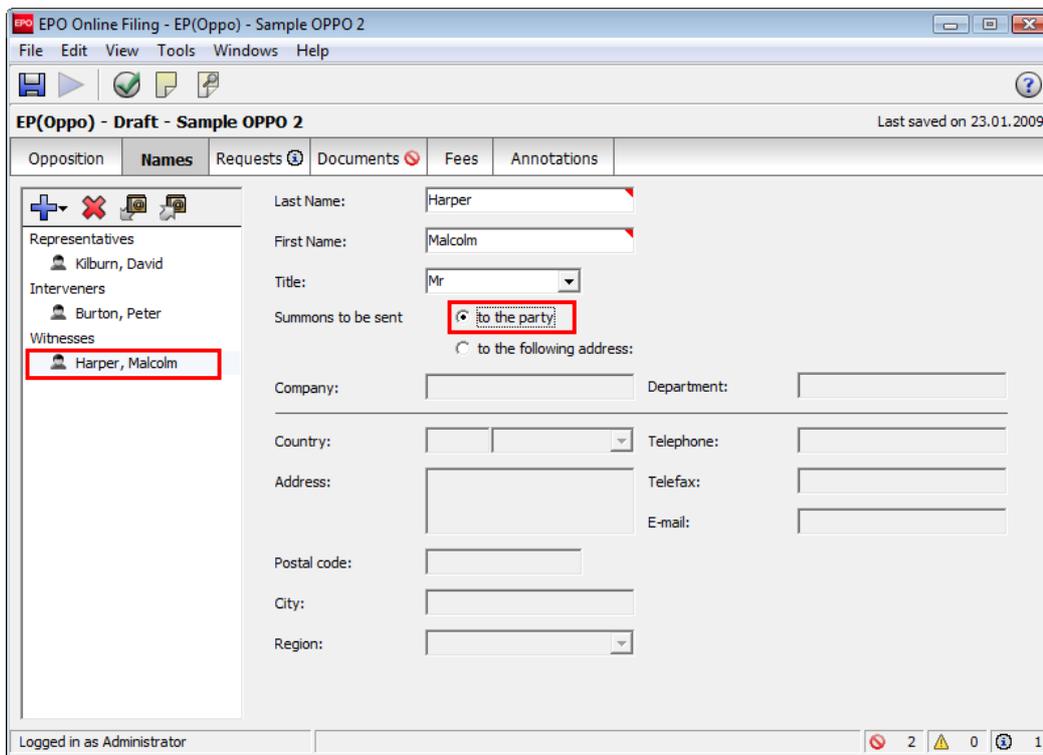


Figure 308: Designation of the intervener's witness, summons via the party

## 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.



Figure 309: 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).

Add the proprietor of the patent.

Because the proprietor's data is registered with the EPO, only the name is mandatory (company name for legal proprietor, last name and first name for natural proprietor).

Add the representative.

You can add exactly one representative.

Enter information on the representative's authorisation; see example 2.

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Sample Oppo 3' window. The 'Names' tab is active, showing a list of names on the left and a form for 'Nano Enterprise Ltd.' on the right. The form includes fields for Company, Department, Country (GB), Telephone (+44 20 7123 4567), Address (123 City Street), Telefax (+44 20 7123 4568), E-mail (info@nano-enterprise.co.uk), P.O. Box (5623), Postal code (W1A 2BC), City (London), GB County (Greater London), and Principal place of business (GB, United Kingdom). There are also checkboxes for 'Address for correspondence' and 'Nano Enterprise Ltd. is represented by the following employee acting pursuant to Art. 133(3) EPC:'. Below these are fields for Last Name, First Name, Title, and General Authorisation.

Figure 310: 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.

 A witness cannot be added in this instance.

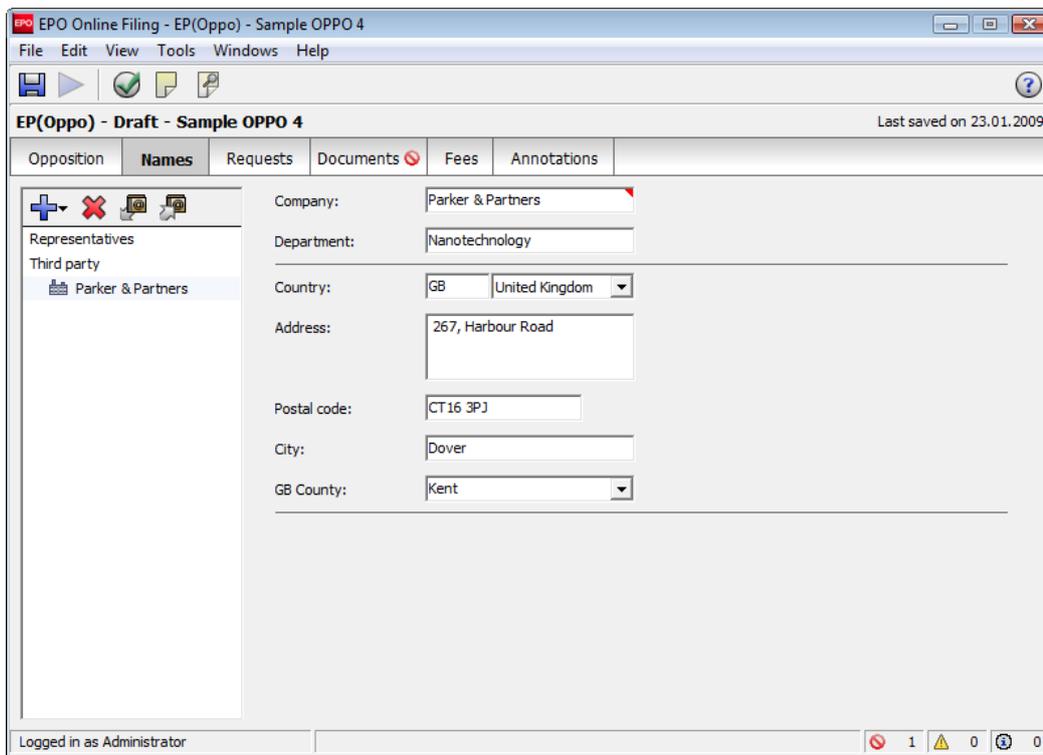


Figure 311: Designation of third party

### 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

Select the check box **Request for oral proceedings**.

This automatically activates and selects 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.

Select 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.

Select the check box **Request for accelerated processing** as applicable.

Type the **reason** for this request into the text box.

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Sample OPPO 1' window. The 'Requests' tab is active. Under 'Oral proceedings', the 'Request for oral proceedings' checkbox is checked, and the 'auxiliary' checkbox is also checked. Under 'Request for interpreting', the 'Request for interpreting' checkbox is checked, and both 'listening in' and 'speaking in' dropdown menus are set to 'English'. Under 'Other', the 'Request for accelerated processing' checkbox is checked, and the reason 'Pending infringement proceedings in national court' is entered in the text box. The 'Request for the taking of evidence by the hearing of a witness' checkbox is unchecked. The status bar at the bottom shows 0 errors, 1 warning, and 0 information messages.

Figure 312: 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** check box is selected and the check box **auxiliary** has been cleared.

The check box **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 shows the EPO Online Filing interface for EP(Oppo) - Draft - Sample OPPO 2. The 'Requests' tab is selected. The 'Oral proceedings' section has 'Request for oral proceedings' checked and highlighted with a red box. Below it, 'auxiliary' is unchecked. The 'Other' section has 'Request for the taking of evidence by the hearing of a witness' checked and highlighted with a red box. The 'Extension of time limit' section has 'Request for extension of the time limit' unchecked, with a 'Choose file...' button and 'No file selected' text. The status bar at the bottom shows 0 errors, 1 warning, and 1 information icon.

Figure 313: Request for oral proceedings irrespective of the EPO decision and request for the taking of witness evidence

### Example 3: The opponent submits a request for extension of the time limit

As from 1 July 2016, any request for extension of the time limit will be granted only in exceptional cases and if duly substantiated. If you wish to request extension of the time limit, you must explain your grounds in written detail and attach this letter to the EP(Oppo) form.

For more information, see the **Notice from the EPO concerning the opposition procedure as from 1 July 2016**, OJ EPO 2016, A42(4) (<http://www.epo.org/law-practice/legal-texts/official-journal/2016/05/a42.html>).

Select the check box Request for extension of the time limit.

To attach the request document, click **Choose file**.

The file is renamed **TIMEEXTREQ.pdf**.

The caption on the button changes to **Detach file**.

The screenshot shows the 'EPO Online Filing - EP(Oppo) - Sample OPPO 3' window. The 'Requests' tab is active, and the 'Request for extension of the time limit' checkbox is checked and highlighted with a red box. Below this checkbox, the text 'Substantiation of the request, according to OJ 5/2016, A.42(4)' is displayed. To the right of this text is a 'Detach file' button and the filename 'TIMEEXTREQ.pdf'. Other sections in the form include 'Withdrawal/Revocation', 'Oral proceedings', and 'Other'.

Figure 314: Request by the opponent for extension of the time limit

#### 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 selected, all other options with the exception of **Request for accelerated processing** and **Other requests** are deactivated.

Select the check box **Other requests** as applicable.

Describe your request in greater detail in the text field provided.

Figure 315: 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.



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**, **Fees** or **Annotations** tabs. Otherwise, a red validation icon also appears here.

You can only attach PDF files. All electronic documents attached must be compliant with Annex F; see Preparing documents for attachment (p. 86).

#### 9.4.1 Document types for EP(OPPO) as defined by functional role

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:

##### **Notice of opposition or intervention – role: opponent or intervener**

- Facts and Arguments
- Other documents:
  - General authorisation
  - Specific authorisation
  - Document containing information about further representatives
  - Request for change of address
  - Request for change of name
  - Request for change of representative
  - Request for transfer of rights
  - <other document>

##### **Other action – role: proprietor**

- Reply to notice(s) of opposition
- Reply to an examination report in opposition proceedings
- Main request document
- Separate auxiliary request document
- Acknowledgement
- Non-public documents:
  - Medical certificate
  - Non-public annex
  - Request for certified copies of the application
  - Request for inspection of the file

- Other documents:
  - General authorisation
  - Specific authorisation
  - Document containing information about further representatives
  - German translation of claims
  - English translation of claims
  - French translation of claims
  - Request for change of address
  - Request for change of name
  - Request for change of representative
  - Request for transfer of rights
  - Translation of priority document
  - Please provide the application number, for which the translation of the priority document is filed, as a note to the EPO under EP(Oppo) – Annotations (p. 264).
  - Request for re-establishment of rights
  - Grounds for re-establishment of rights
  - Request for a decision
  - Letter concerning the priority
  - <other document>
- Amendments
  - Clean copy of amended description
  - Clean copy of amended claim(s)
  - Clean copy of amended drawing(s)

**Other action – role: 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)
- Reply to an examination report in opposition proceedings

- Acknowledgement
- Non-public documents:
  - Medical certificate
  - Non-public annex
  - Request for certified copies of the application
  - Request for inspection of the file
- Other documents:
  - General authorisation
  - Specific authorisation
  - Document containing information about further representatives
  - Request for change of address
  - Request for change of name
  - Request for change of representative
  - Request for transfer of rights
  - Request for a decision
  - <other document>

**Other action – role: third party**

- Observations/Citations filed by a third party

## 9.4.2 Attaching documents

### 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 **Facts and Arguments**.

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.

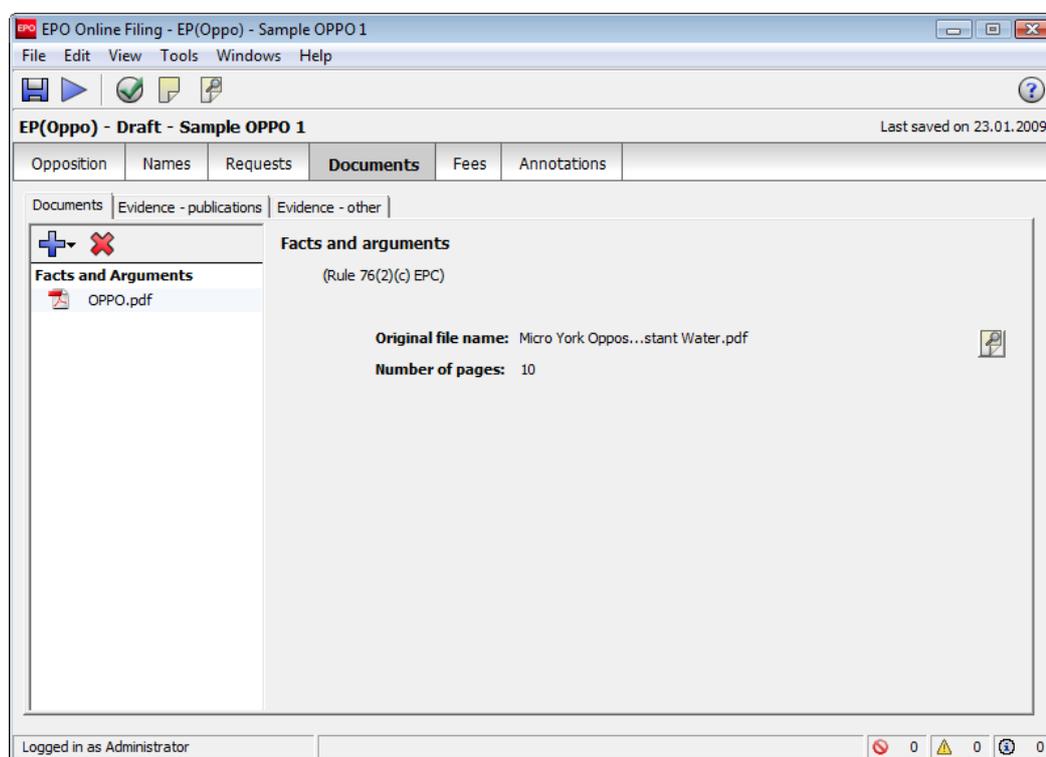


Figure 316: Facts and arguments document attached

Click the **Add** button again to attach the authorisation.

Select **Other documents**.

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 317: 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 **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.

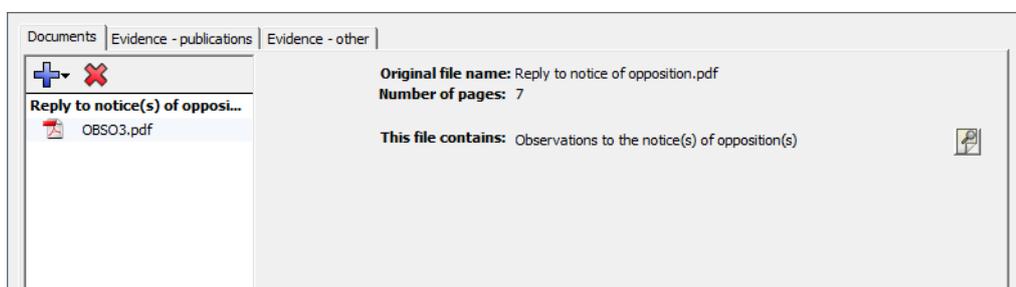


Figure 318: Reply to notice of opposition attached

Click the **Add** button again to attach the translation.

Select **Other documents**.

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**.

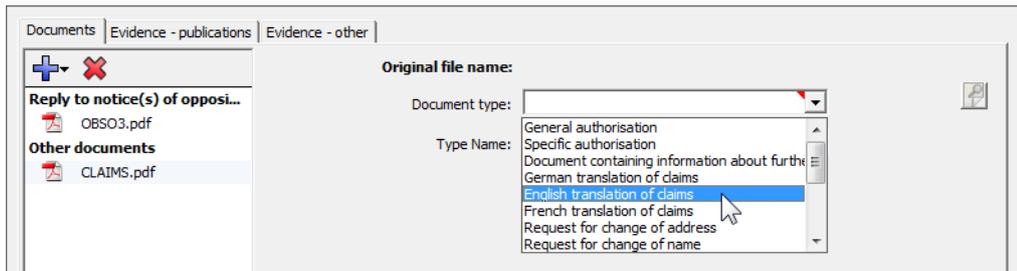


Figure 319: Translation of claims attached

Click the **Add** button again to attach the acknowledgement.

Select **Acknowledgement**.

Navigate to where your file is saved.

Select the file and click **Open** to attach it.

The file is renamed **ADVOFDELIVRY.pdf**.

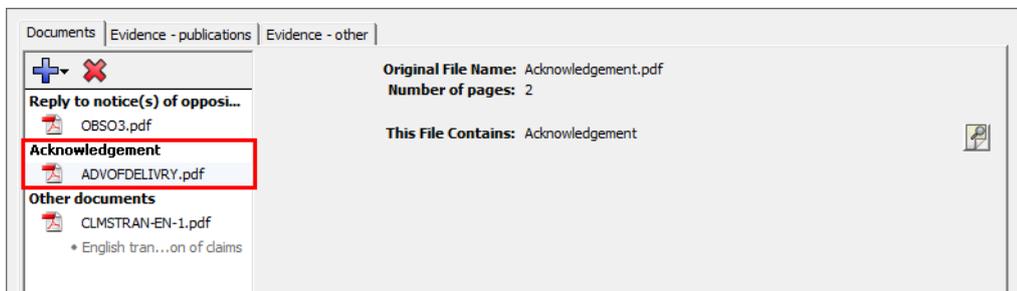


Figure 320: Advice of delivery attached by the proprietor

### 9.4.3 Filing non-public documents

The filing of non-public documents is available for the opponent, intervener and proprietor role if you selected **Other action** in the **Opposition** tab,



You cannot attach a combination of both public and non-public documents to Form EP(Oppo). If you attach non-public documents in the same form, you cannot submit a request by selecting one of the options in the **Request** tab or select a fee. Please use separate forms for public and non-public submissions to the EPO.

Click the **Add** button and select **Non-public documents**.

Navigate to your file and attach it.

In the **Document type** list, select the appropriate document type, e.g. **Medical certificate**.

The file is renamed **MEDA-1.pdf**.

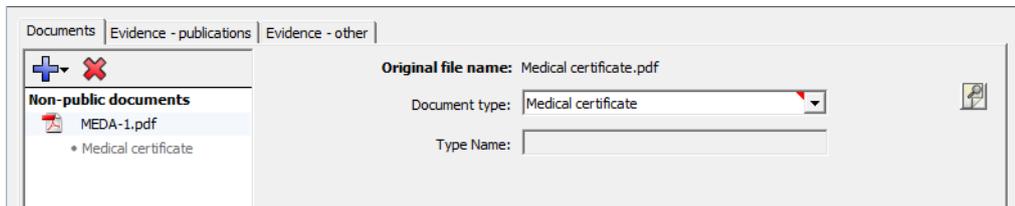


Figure 321: Non-public document attached

If, after having attached your non-public document, you then 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.

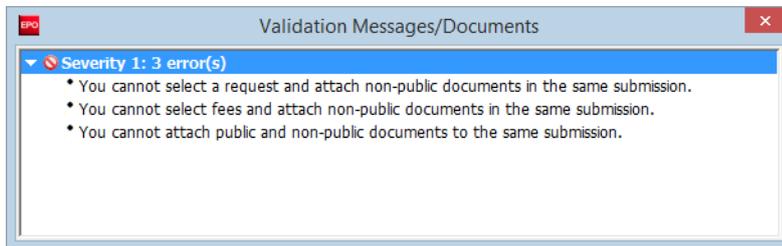


Figure 322: Validation message after attaching public and non-public documents

#### 9.4.4 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.

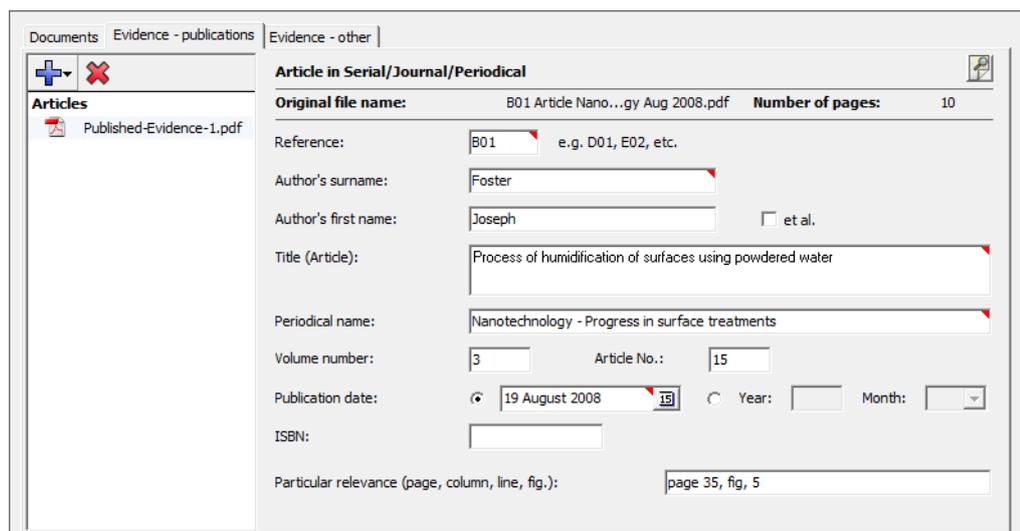
Click the **Evidence – publications** sub-tab.

Click the **Add** button.

Select **Articles** 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.
- The maximum length of the reference is 8 characters.
- **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 a software interface for managing evidence. The main window is titled 'Evidence - publications' and contains a form for adding an article. The form is titled 'Article in Serial/Journal/Periodical' and includes the following fields:

- Original file name:** B01 Article Nano...gy Aug 2008.pdf
- Number of pages:** 10
- Reference:** B01 (with a dropdown arrow) and a hint '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 calendar icon and a '19' input field)
- Year:** (empty input field)
- Month:** (dropdown menu)
- ISBN:** (empty input field)
- Particular relevance (page, column, line, fig.):** page 35, fig, 5

Figure 323: Example of an article attached as evidence

Click the **Add** button again to attach the internet publication.

Select **Internet publications** 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.

The screenshot shows a software interface with three tabs: 'Documents', 'Evidence - publications', and 'Evidence - other'. The 'Evidence - other' tab is selected. On the left, there is a sidebar with 'Articles' and 'Internet publications' sections. The 'Internet' section is active, displaying a form with the following fields:

- Original file name:** B02 Internet Nanotechnology.pdf
- Number of pages:** 2
- Reference:** B02 (with a dropdown arrow) 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 (with a calendar icon)
- Retrieval date:** 15 October 2008 (with a calendar icon)
- Author:**
  - Company:
  - Surname: Foster
  - First name: Joseph  et al.
- Particular relevance (page, column, line, fig.):** lines 24-36

Figure 324: Example of an internet publication as evidence

#### 9.4.5 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 **Affidavit** and attach the relevant PDF file.

The file is renamed **Affidavit-1.pdf**.

Enter your internal reference in the **Reference field**.

The maximum length of the reference is 8 characters.

Select **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.

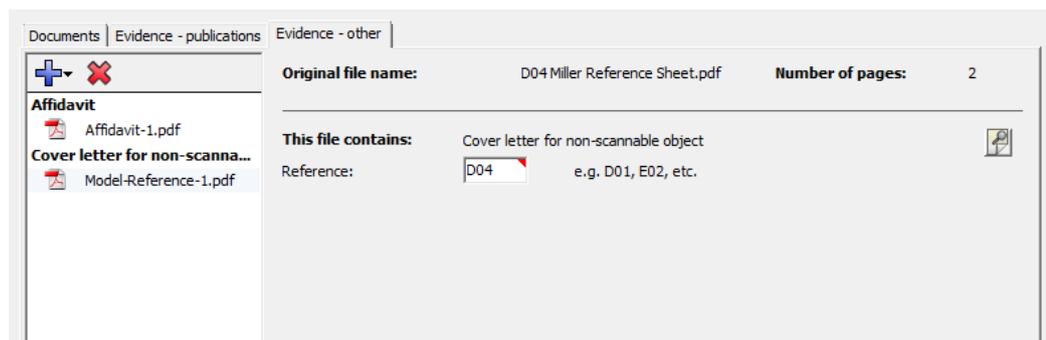


Figure 325: Further documents attached as evidence

## 9.5 EP(Oppo) – Fee Payment

Select the fees that you want to pay on Form EP(Oppo)'s **Fees** tab and specify the mode of payment. The currency for all fees is **EUR**.

For more information on EPO deposit accounts and the automatic debiting procedure, please refer to the Official Journal:

- Arrangements for deposit accounts (ADA) Supplementary publication 3/2015, p. 8-16 (<http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p8.html>)
- Notice from the European Patent Office dated 12 February 2015 concerning revision of the Arrangements for deposit accounts (ADA) and their annexes Supplementary publication 3/2015, p. 2-7 (<http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p2.html>)
- Decision of the President of the European Patent Office dated 29 September 2016 revising points 5.3 and 7 of the Arrangements for deposit accounts (ADA) OJ EPO 2016, A83 (<http://www.epo.org/law-practice/legal-texts/official-journal/2016/10/a83.html>)

### 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>).

### Payment details

Click the **Payment details** sub-tab.

You have to select a mode of payment before you can pay any fees when you have selected one or more fees in the **Fee selection** tab. By default the method of payment is set to **Not specified**. If no payment method is selected a grey validation icon appears on the Fees button.

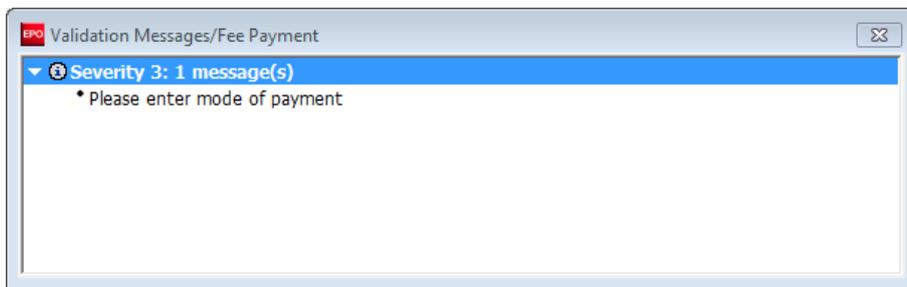


Figure 326: Please enter a mode of payment

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.

- **Bank transfer**

All payments in EUR must be transferred to the EPO's bank account with the Commerzbank AG in Munich, Germany. The IBAN and BIC codes of the EPO's bank account are supplied automatically when you select the Commerzbank from the drop-down list.

- **Credit card**

- All payments by credit card must be made via the dedicated EPO fee payment service on the EPO website at **Applying for a patent > Online services > Paying fees online > Pay by credit card** (<https://epo.org/fee-payment-service/en/login>).

Choosing this mode of payment in the Payment details sub-tab is considered merely an indication of how you intend to pay.

Select **Not specified** if you are not sure how you will be settling the fees.

If you wish to have the fees debited from your account later than the submission date, enter the date in the **Deferred execution date** field.

Hover your mouse pointer over the symbol  to the right of the **Deferred execution date** field to see the **Important information**:

This functionality allows you to indicate explicitly that your payment order is to be executed at a later date than the submission date.

In this case, the payment date will be deemed to be the deferred execution date, provided that you have sufficient funds on your deposit account on that date.

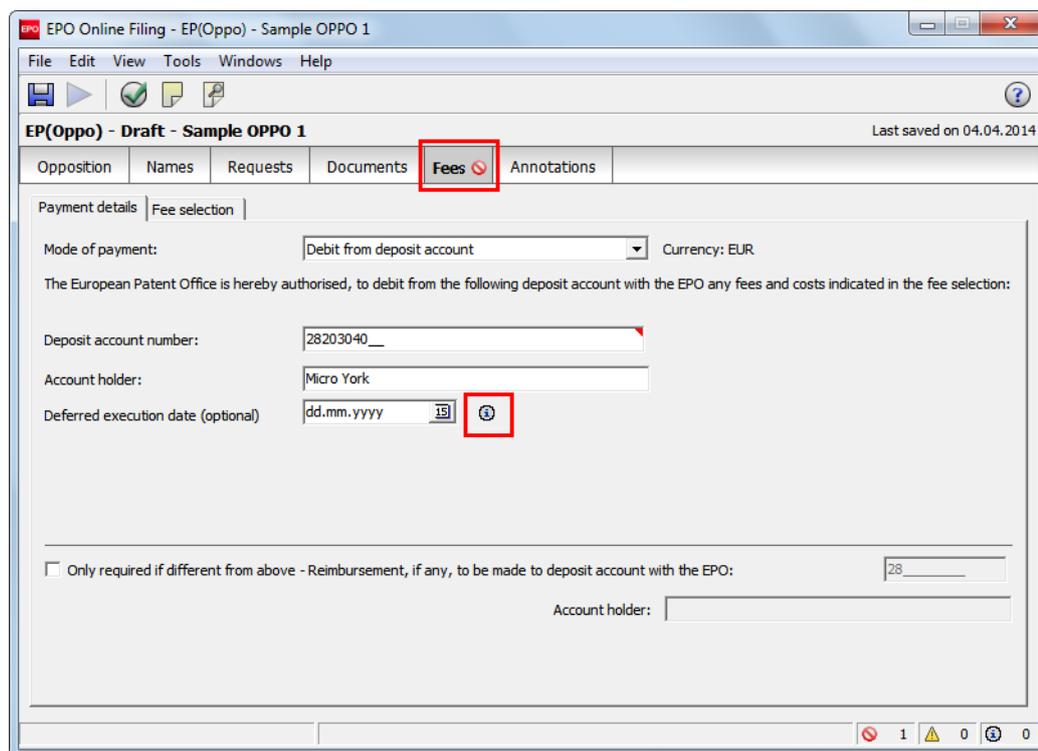
Please choose the deferred execution date option only if the fees are to be debited on a future date, as otherwise the default execution date is the date of receipt.

The deferred execution date can be a maximum of 40 days in the future.

Please ensure that the deferred execution date lies within the time limit set for paying the selected fees.

Please note that any debit orders (standard or deferred execution) can only be revoked until 00.00 hrs CET on the date of submission (Arrangements for deposit accounts, 7).

Once you select a mode of payment, a red validation icon appears on the **Fees** tab. The associated message indicates that the total fee amount is zero.



The screenshot shows the 'EPO Online Filing - EP(Oppo) - Sample OPPO 1' window. The 'Fees' tab is selected and highlighted with a red box. Below it, the 'Payment details' sub-tab is active. The 'Mode of payment' is set to 'Debit from deposit account' and the currency is 'EUR'. The 'Deposit account number' is '28203040', and the 'Account holder' is 'Micro York'. The 'Deferred execution date (optional)' is set to 'dd.mm.yyyy' with a red box around the date field and a red validation icon. 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 text field containing '28'.

Figure 327: Details on fees

## Further options

The **Payment details** sub-tab offers some additional options at the bottom of the screen.

If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, select the corresponding check box.

This information applies to all selected modes of payment. 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 and supply the account holder's name.

## Fees for observations filed by third parties

No fees are due for observations filed by third parties under Art. 115 EPC; see Decision of the President of the European Patent Office dated 10 May 2011 (Official Journal 7/2011, p. 418) ([http://archive.epo.org/epo/pubs/oj011/07\\_11/07\\_4181.pdf](http://archive.epo.org/epo/pubs/oj011/07_11/07_4181.pdf)).

If you enter any data in the **Payment details** sub-tab when filing as a third party, a red validation icon will appear in the **Fees** tab. Please reset all data entries, i.e. set the **Mode of payment** to **Not specified** and clear the **Reimbursement** check box.

## Fee selection

Click the **Fee selection** sub-tab.

Select the check boxes for the fees to be paid.

- The fee amount is automatically calculated.
- The check boxes for fees not applicable in this application are locked.

Fee Code	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input type="checkbox"/> 009	Fee for publishing a new specification of the European patent	75,00	none	1	0,00
<input checked="" type="checkbox"/> 010	Opposition fee	775,00	none	1	775,00
<input type="checkbox"/> 013	Fee for re-establishment of rights (Article 122 EPC).	635,00	----	1	0,00
<input type="checkbox"/> 017	Fee for the awarding of costs	75,00	----	1	0,00
<input type="checkbox"/> 018	Fee for the conservation of evidence	75,00	----	1	0,00
<input type="checkbox"/> 056	Surcharge fee for printing (R.82(3), R.95(3))	120,00	none	1	0,00

Fee schedule for EUR valid as of: 01.04.2014

**Total: (1 Fees) EUR 775,00**

Figure 328: Selecting the fees payable

## 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.

If you selected **Other action** in the **Opposition** tab, you can use Form EP(Oppo) for the sole purpose of transmitting an annotation to the EPO. The red validation icon in the **Documents** tab will disappear after you enter your text in the **Note** field. The application is ready for filing and can be signed in the next workflow step.

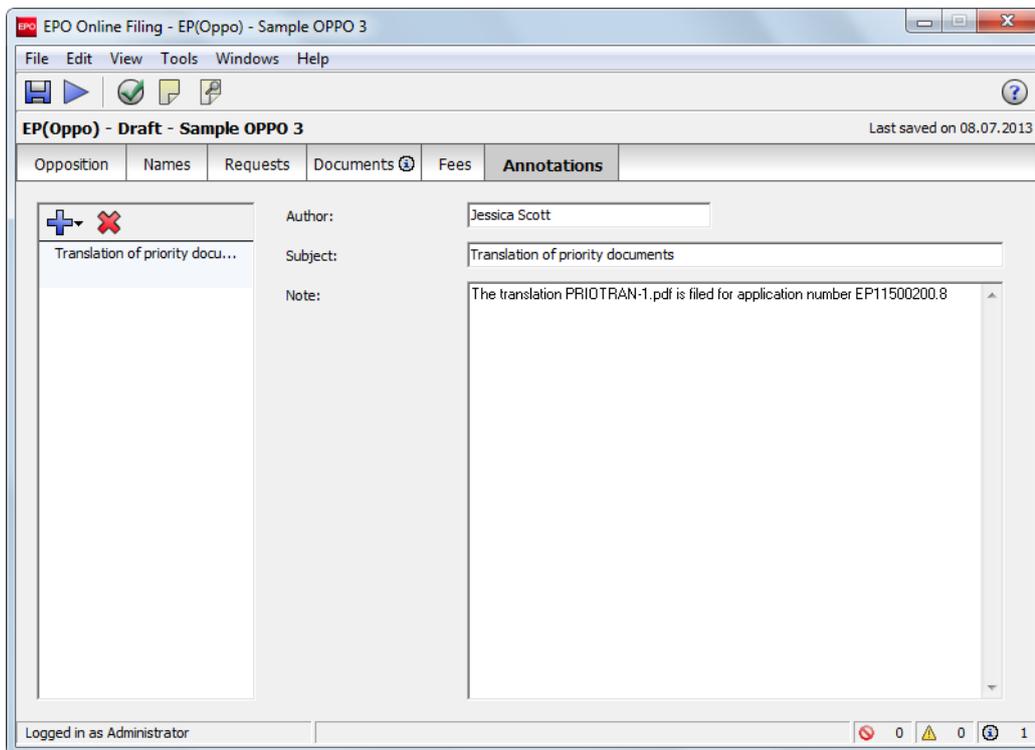


Figure 329: Opponent annotation for the EPO

To add notes that are not intended for the EPO, use the **Internal notes** (p. 42) function on the form's toolbar.



## 9.7 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.

The screenshot shows a PDF viewer window titled 'EPO PDF Viewer' displaying the 'Notice of opposition to a European patent' form (EPO Form 2300E). The form is filled out with sample data. The left sidebar shows a list of files, including 'ep-oppo.pdf' and various XML files. The main content area shows the form with the following fields and values:

I. Patent opposed	
Patent No.	EPI234567
Application No.	EPI1012345.2
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	Micro York Legal Affairs P.O. Box 3400 London Greater London W1A 2BC United Kingdom

Additional representative(s) on additional sheet/sec authentication

IV. Authorisation

EPO Form 2300E - Sample OPPO 1      Page 1 of 4

Cancel

Figure 330: 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.

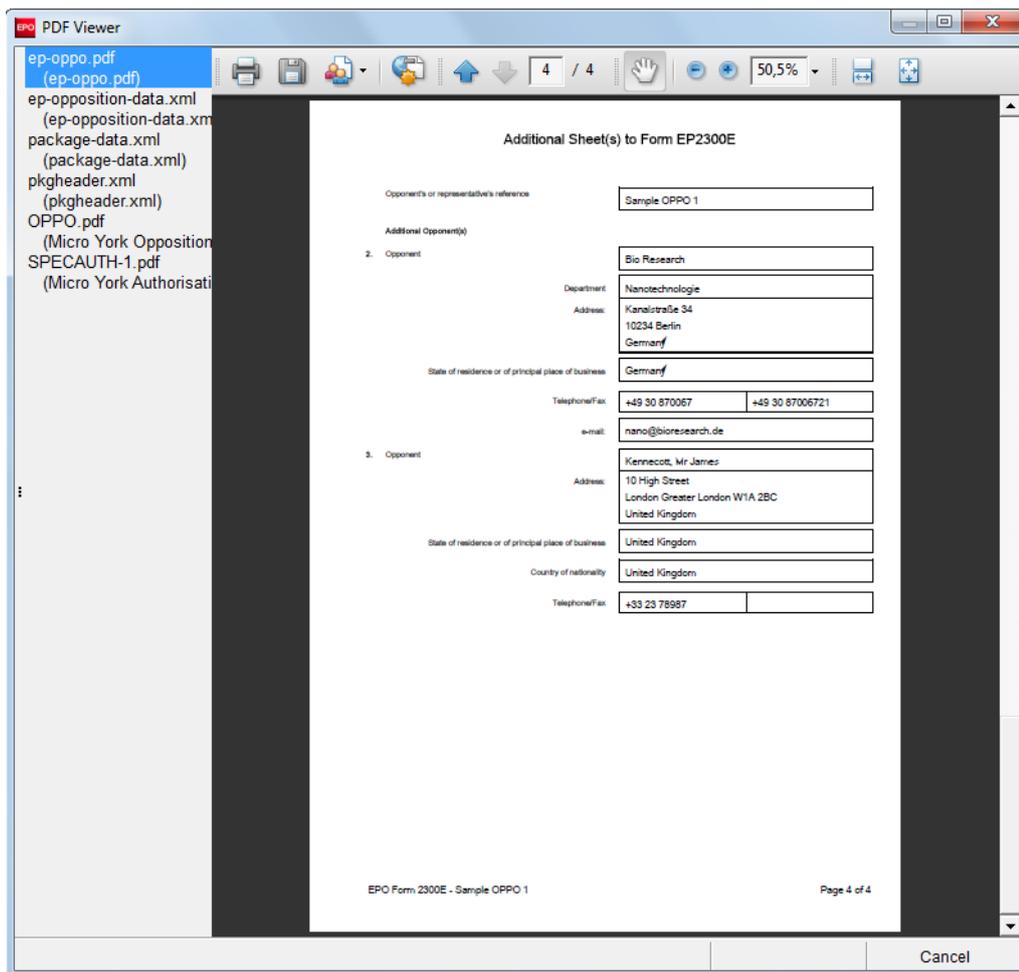


Figure 331: PDF view of the additional sheet to the opposition, listing additional opponents

### 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.

The screenshot shows a PDF viewer window titled "PDF Viewer" with a file list on the left. The main content is a form titled "Submission in opposition proceedings" with the EPO logo. The form contains the following sections:

- Opponent:** Micro York Patents, 38, Fullerton St., York Yorkshire YO1 9QN, United Kingdom. Contact: Phone: +44 1904 660345, Fax: +44 1904 660480, E-mail: info@micro-york.co.uk.
- 80298 Munich, Germany:** Tel. +49(0)89 2399-0 | Fax -4466
- P.O. Box 6818, NL-2280 HV Rijswijk, Netherlands:** Tel. +31(0)70 340-2040 | Fax -3016
- 10958 Berlin, Germany:** Tel. +49(0)30 28901-0 | Fax -840
- Opponent/representative's reference:** Sample OPPO 3
- The information given below is pertaining to the following patent in opposition proceedings:**
  - Patent No.:** EP1234568
  - Application No.:** EP10800500.0
  - Date of mention of the grant in the European Patent Bulletin (Art. 97(3), Art. 99(1) EPC):** 06 September 2016
- Requests:** An extension of time limit is hereby requested
- Documents attached:**

	Description of document	Original file name	Assigned file name
1	Substantiation of the request for time extension	OPPO-request-extension-time-limit.pdf	TIMEEXTREQ.pdf
- Signatures:** (empty field)

A "Cancel" button is located at the bottom right of the form.

Figure 332: 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.

The screenshot shows a PDF viewer window titled 'PDF Viewer' displaying a document titled 'Observations by third parties (Art. 115 EPC)'. The document is from the German Patent Office (Deutsches Patentamt) and is addressed to the European Patent Office (EPO). The form contains the following information:

**Third Party:** Parker & Partners, Nanotechnologie, 257, Harbour Road, Dover Kent CT16 3PJ, United Kingdom.

**82585 Munich, Germany:** Tel. +49(0)89 25961-0 | Fax -4485

**P.O. Box 5818, NL-2280 HV Rijswijk, Netherlands:** Tel. +31(0)70 340-2040 | Fax -3016

**10559 Berlin, Germany:** Tel. +49(0)30 25901-0 | Fax -840

**Third party/representative's reference:** Sample OPPO 4

**The information given below is pertaining to the following patent in opposition proceedings:**

Patent No.	EP8908908
Application No.	EP11500400.4
Date of mention of the grant in the European Patent Bulletin (Art. 97(2), Act. 98(1) EPC)	16 August 2011
Title of the invention	Instant Water
Proprietor of the patent	Manzoni, Salvatore

**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 333: 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.

 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>).

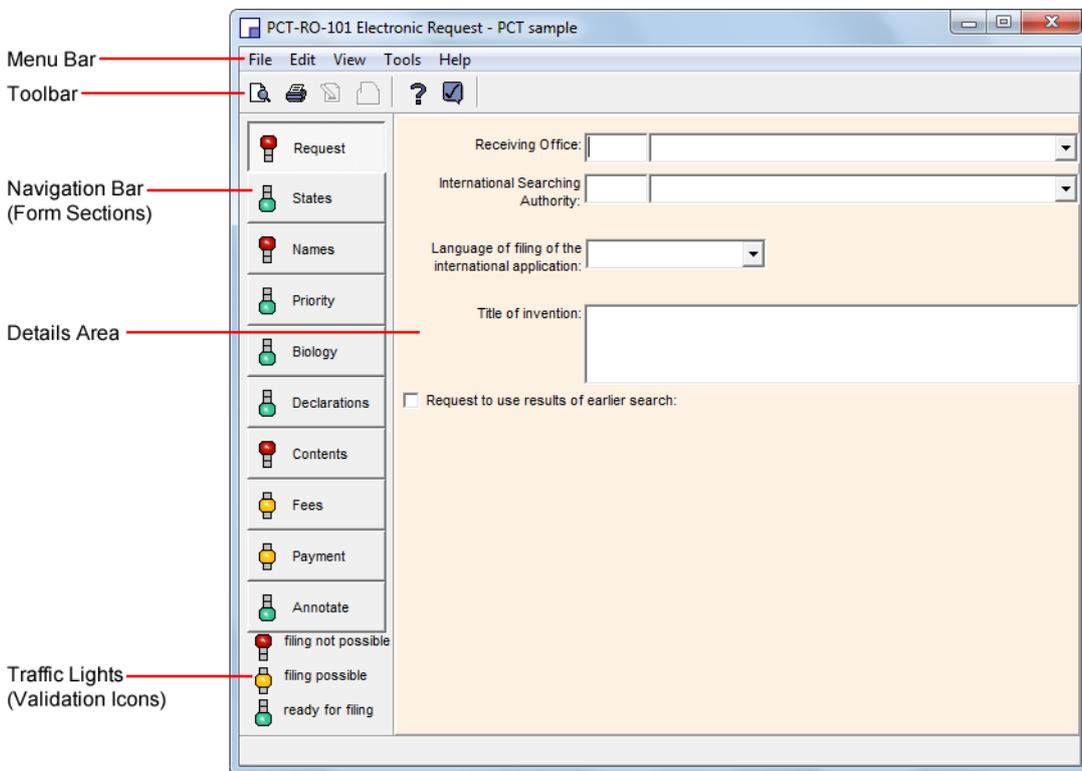


Figure 334: PCT/RO/101 form overview

Element	Description
<b>Menu bar</b>	Provides commands to edit, save, preview, print, import and export applications, switch to another section, view validation messages and access help.
<b>Toolbar</b>	Provides shortcuts to the most frequently used tasks and tools.
<b>Navigation bar</b>	Displays tabs corresponding to the sections of the form.
<b>Details area</b>	Displays data entry fields appropriate to the selected tab.
<b>Traffic lights</b>	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	Description
	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 <b>Ready to sign</b> status in File Manager. If the option <b>Start signing immediately when moving application forwards from draft status</b> is selected in the user preferences in File Manager, the application immediately opens in the PDF Viewer to be signed; see Signing the form (p. 340).
	Save as Ready for Signing	Prepares the application for submission and moves it to <b>Ready to sign</b> status in File Manager. Signing can then be done from File Manager; see Signing the form (p. 340).
	Help	Opens the online help in your default browser.
	Validation	Opens the <b>Validation Messages</b> 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
<b>Request</b>	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
<b>States</b>	Exclude certain designated states Indicate reference to a parent application or grant
<b>Names</b>	Enter details of applicant, agent (representative) and inventor
<b>Priority</b>	Claim a national, regional or international priority
<b>Biology</b>	Enter details related to deposited microorganisms and the depository institution Indicate that the description contains a sequence listing
<b>Declarations</b>	Make applicant or inventor declarations
<b>Contents</b>	Attach specification documents and other electronic files
<b>Fees</b>	Calculate fees according to the selected fee schedule
<b>Payment</b>	Select a payment option and enter related data.
<b>Annotate</b>	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 <b>Contents</b> 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 <b>Contents</b> tab this may also reflect compliance 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.

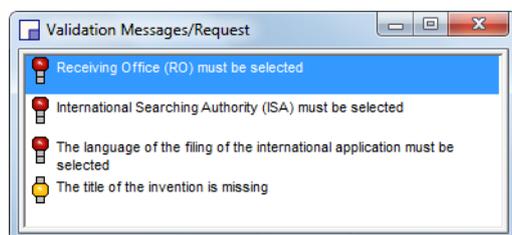


Figure 335: Validation messages relating to the Request tab

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. 334).

## 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 File Manager.

For detailed information on working with folders, applications and templates in File Manager, see the corresponding section in the Online Filing user guide or in the online help for File Manager.

Launch the **Online Filing Client 5.0**.

By default, File Manager opens with the **Forms** folder displayed.

Double-click the **PCT/RO/101** form.

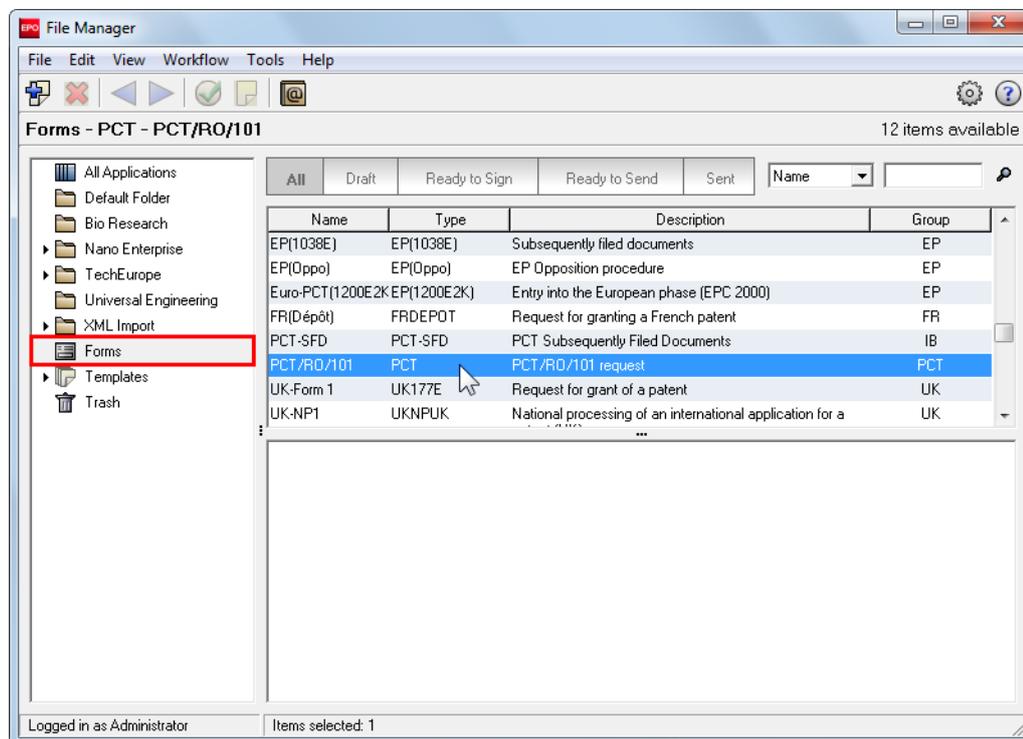


Figure 336: Selecting the PCT/RO/101 form in the Forms folder of File Manager

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**.

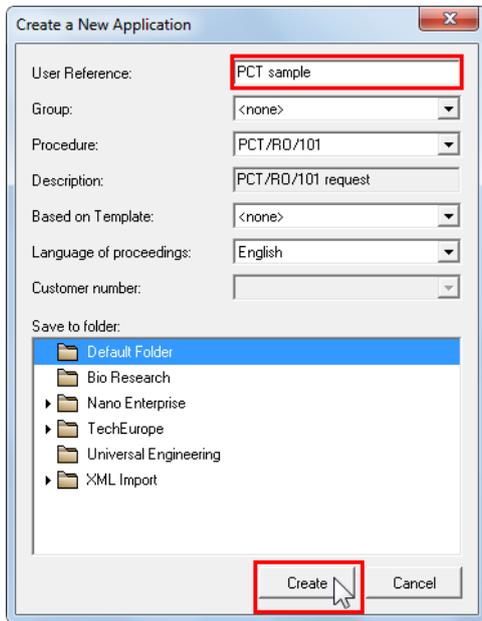


Figure 337: Entering data to create a new application

A warning message appears if the user reference you entered has already been assigned to another PCT/RO/101 application.

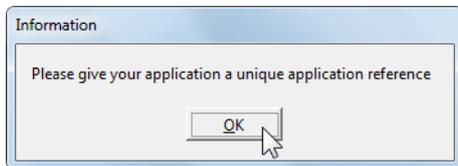


Figure 338: Warning message if the user reference is already in use

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.

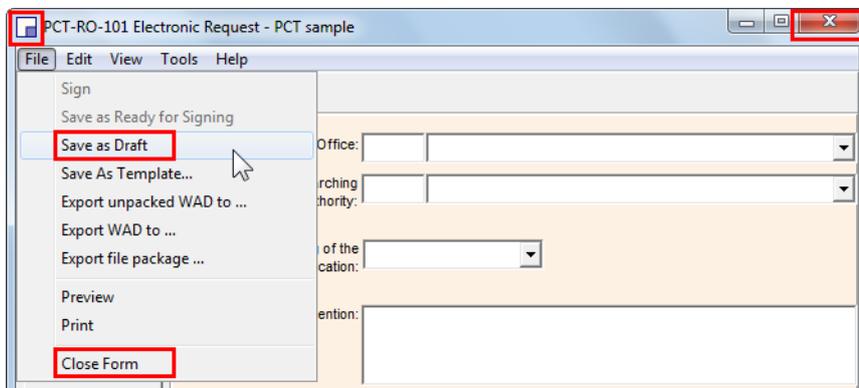


Figure 339: Options for saving and closing an application

In the following dialog, select **Save as Draft**.

Click **OK**.

The application is saved and closed, returning you to File Manager.

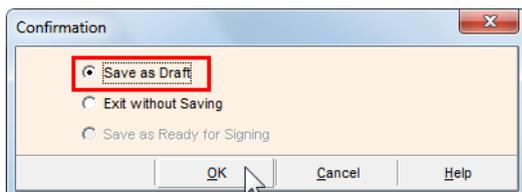


Figure 340: Options in the closing dialog

## 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 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 dialog, enter a unique user reference for the template.

Click **OK**.

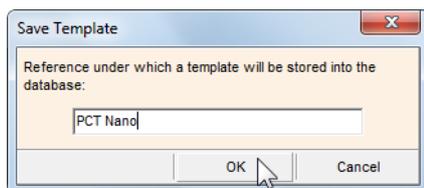


Figure 341: Entering user reference for a new template

### Entering a description for the template

All templates based on form PCT/RO/101 are automatically saved in the **Templates** folder in File Manager.

To assign a description to a template, right-click it and select **Properties** from the shortcut menu.

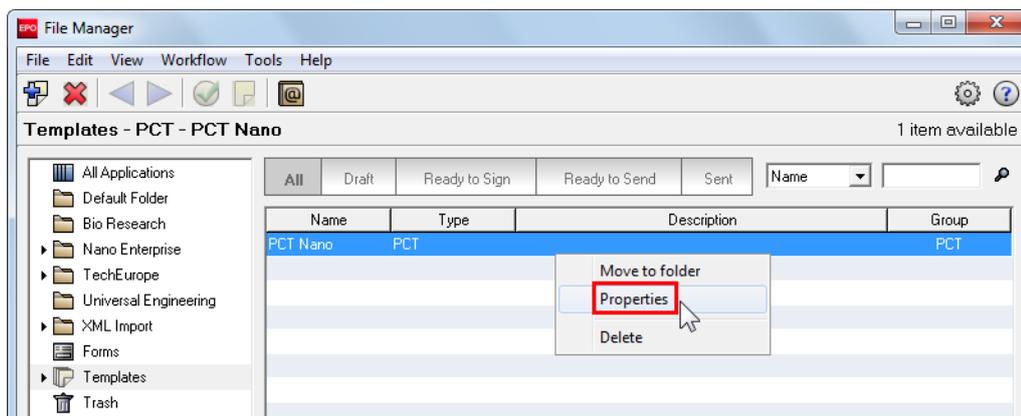


Figure 342: Editing the properties of a template

In the following dialog, enter the **Template description**.

Click **Save**.

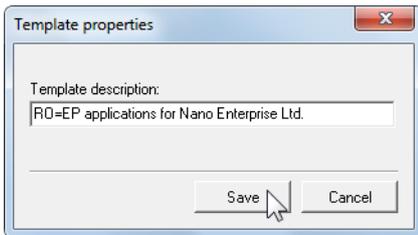


Figure 343: Entering a description after a template has been created

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. 272).

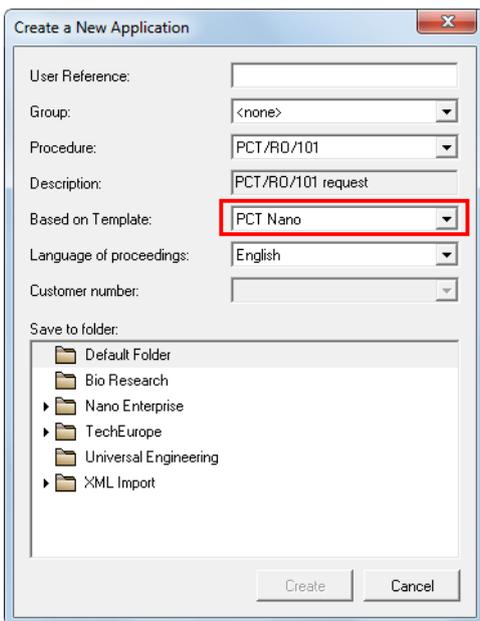


Figure 344: Creating a new application from a PCT/RO/101 template

## 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.

 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**.

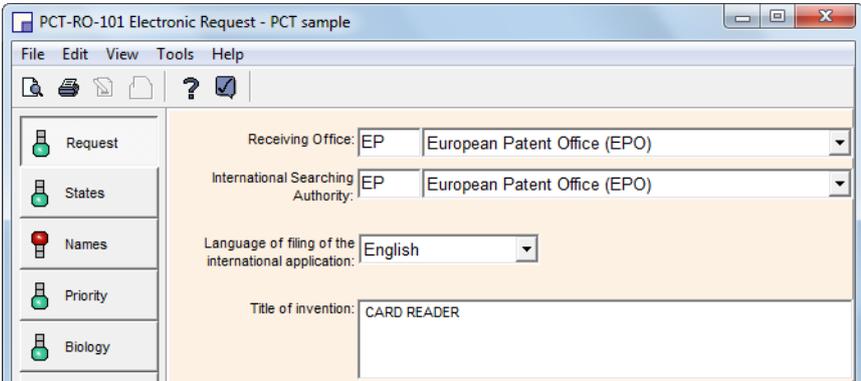
Select **EP** as the **International Searching Authority**.

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 a software window titled "PCT-RO-101 Electronic Request - PCT sample". The window has a menu bar with "File", "Edit", "View", "Tools", and "Help". Below the menu bar is a toolbar with icons for search, print, save, and help. The main area is divided into a left sidebar and a main content area. The sidebar has five tabs: "Request" (selected), "States", "Names", "Priority", and "Biology". The main content area has four rows of data entry fields:

Receiving Office:	EP	European Patent Office (EPO)
International Searching Authority:	EP	European Patent Office (EPO)
Language of filing of the international application:	English	
Title of invention:	CARD READER	

Figure 345: Entering basic data for the application

## Request to use results of earlier search

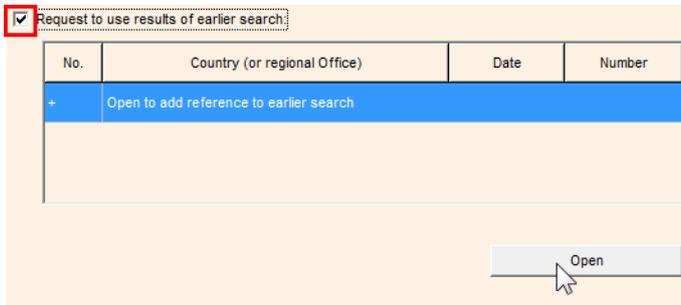
If appropriate, select the check box **Request to use results of earlier search**.

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.



Request to use results of earlier search

No.	Country (or regional Office)	Date	Number
+	Open to add reference to earlier search		

Open

Figure 346: 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, select 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 check boxes.

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.

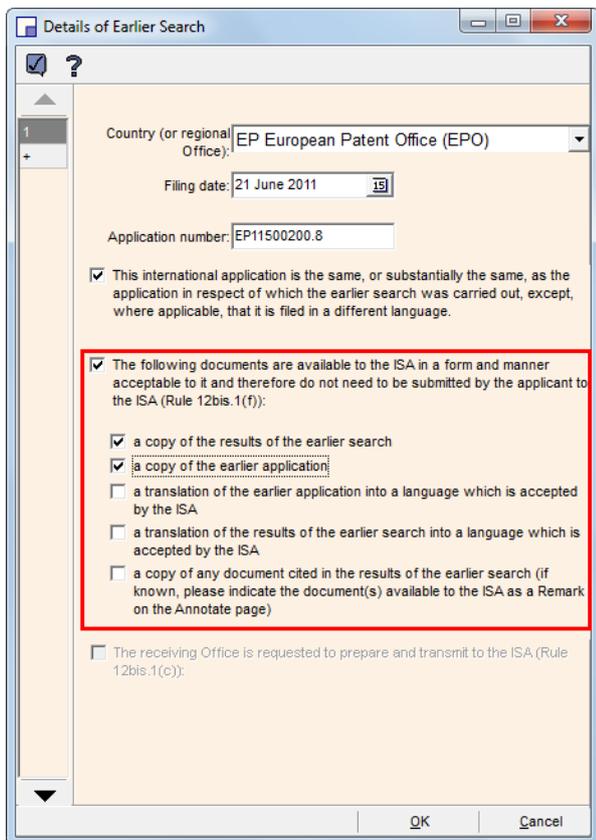


Figure 347: Details of earlier search, documents available to the ISA

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.

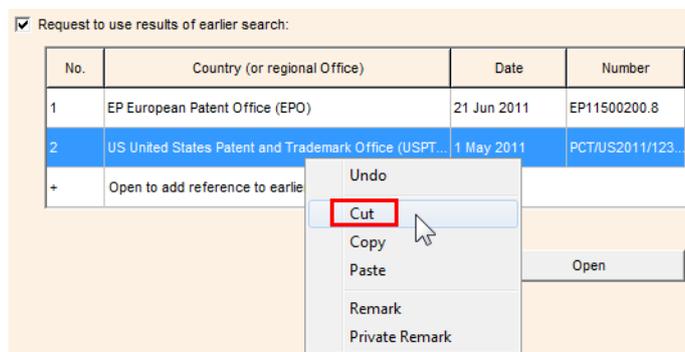


Figure 348: Deleting reference to earlier search results

### 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. The most recent list of **PCT contracting states** ([http://www.wipo.int/pct/guide/en/gdvol1/annexes/annexa/ax\\_a.pdf](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, select the corresponding check box.

#### Reference to parent application or grant

To add a reference, click **Reference to parent application or grant**.

 The check box to the left of the button cannot be edited manually.

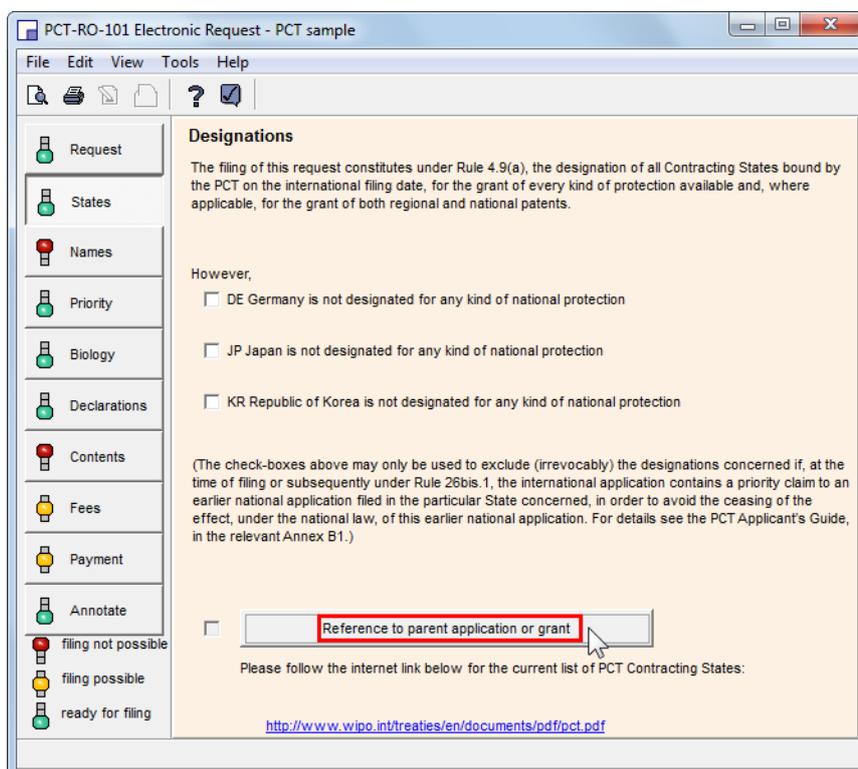


Figure 349: Designation of states, adding reference to parent application or grant

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. 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.

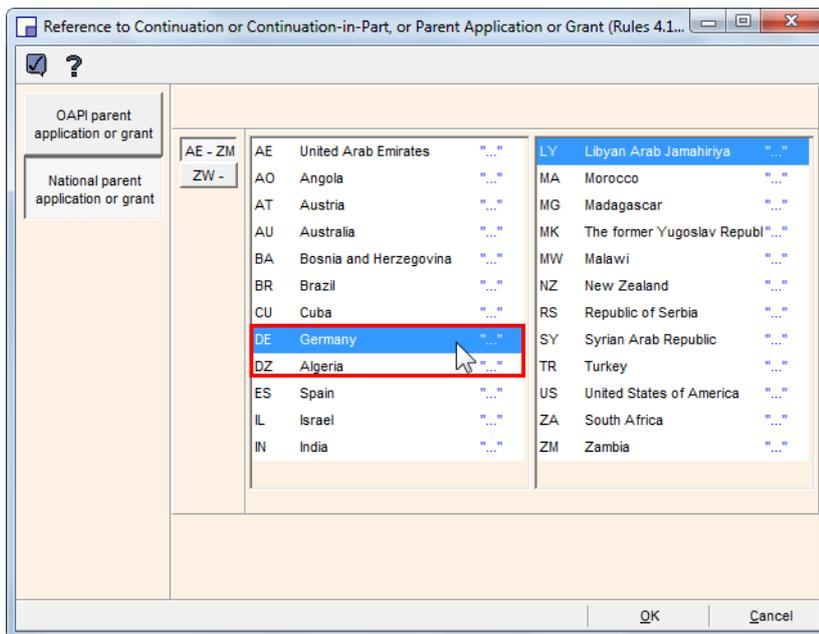


Figure 350: Adding reference to national parent application or grant

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 number**.
- To add or edit another reference, click the corresponding country code on the left-hand side and enter the relevant details.
- Click **OK**.

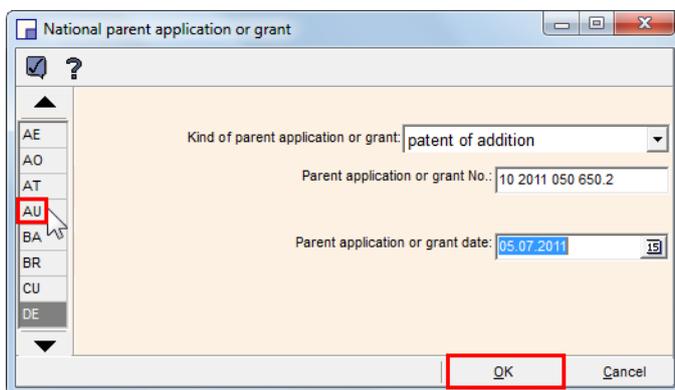


Figure 351: Entering details for national parent application or grant

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 **OAPI parent application or grant** (OAPI = Organisation Africaine de la Propriété Intellectuelle).

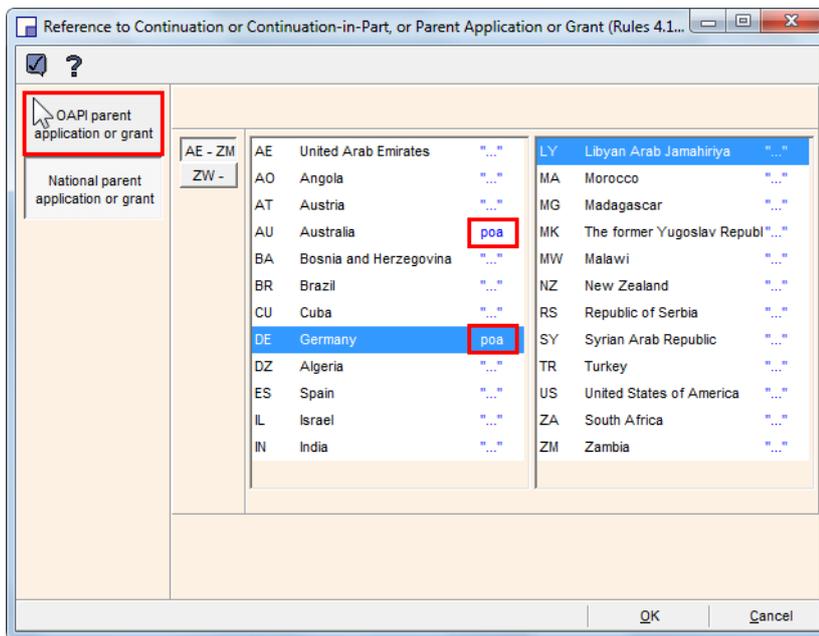


Figure 352: National parent applications entered, switching to OAPI parent application

Enter the details.

Click **OK**.

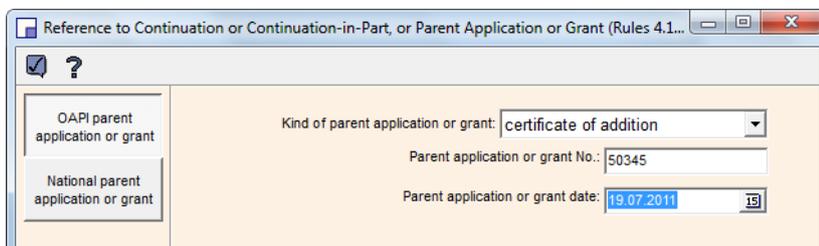


Figure 353: Entering details for OAPI parent application

Back in the **States** tab, the check box for **Reference to parent application or grant** is now selected.

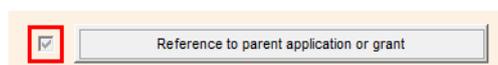


Figure 354: Check box is selected and indicates references to parent applications

## 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 **Address Book**.

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. 296).

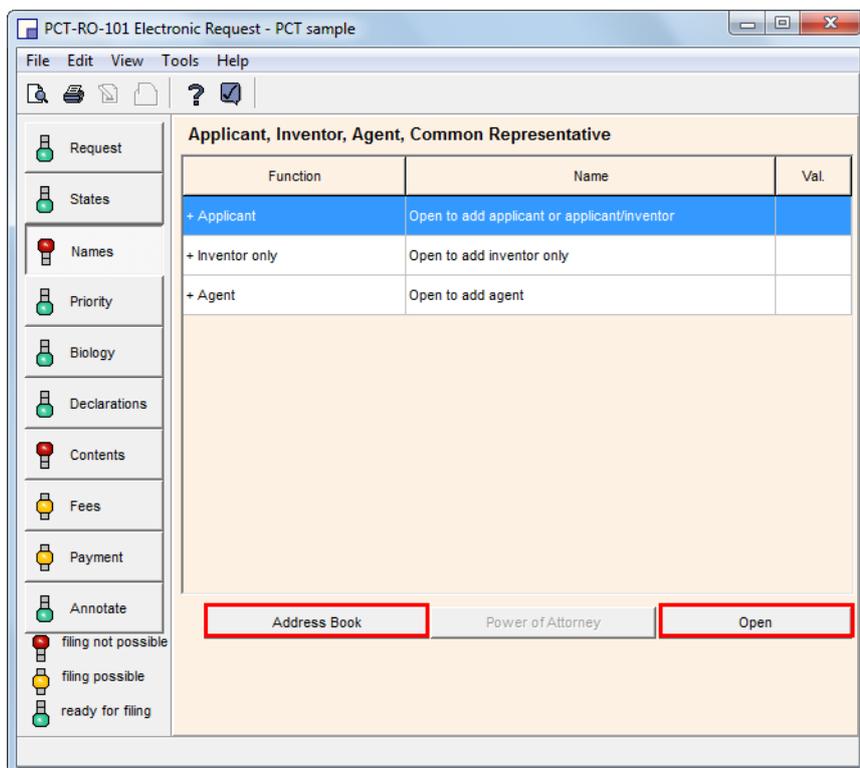


Figure 355: Options for adding persons in the Names tab

## 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 **Open**.

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.

 This action cannot be undone.

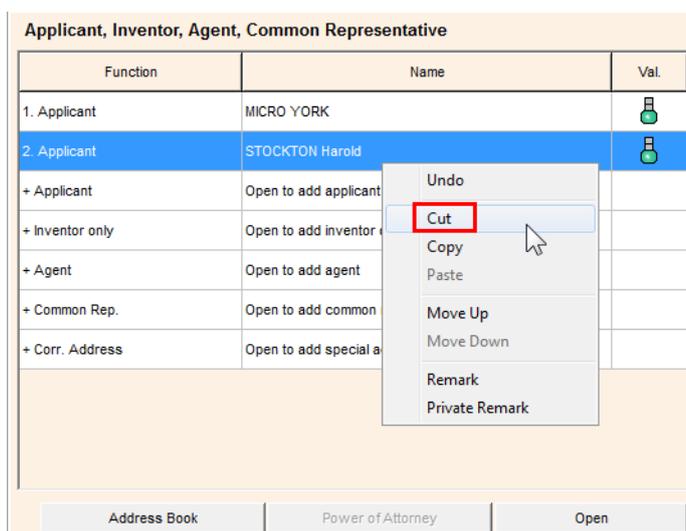


Figure 356: Removing person from the Names tab

### 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.

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.



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 357: Details concerning applicant, legal entity

## Applicant or applicant/inventor is a natural person

Select **Natural person**.

This also unlocks the check box **This person is also inventor** to the right.

Where appropriate, select 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 358: 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 **select/modify**.

Figure 359: Option for designating certain states only

Select the desired countries by selecting the check boxes individually.

Click **Select All** to select the complete list.

Click **Clear All** 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

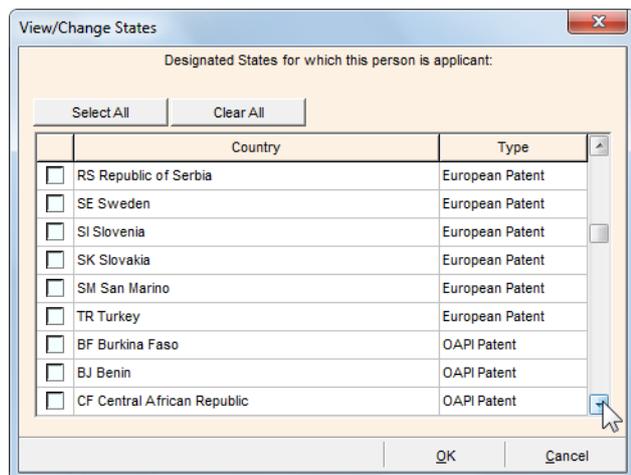


Figure 360: Designated states grouped by type

## 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 (**Agt.**), 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 **Rep.** 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 361: 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 **Corr.** 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 362: 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.

 Remember to enter the inventor's last name in **BLOCK CAPITALS**.

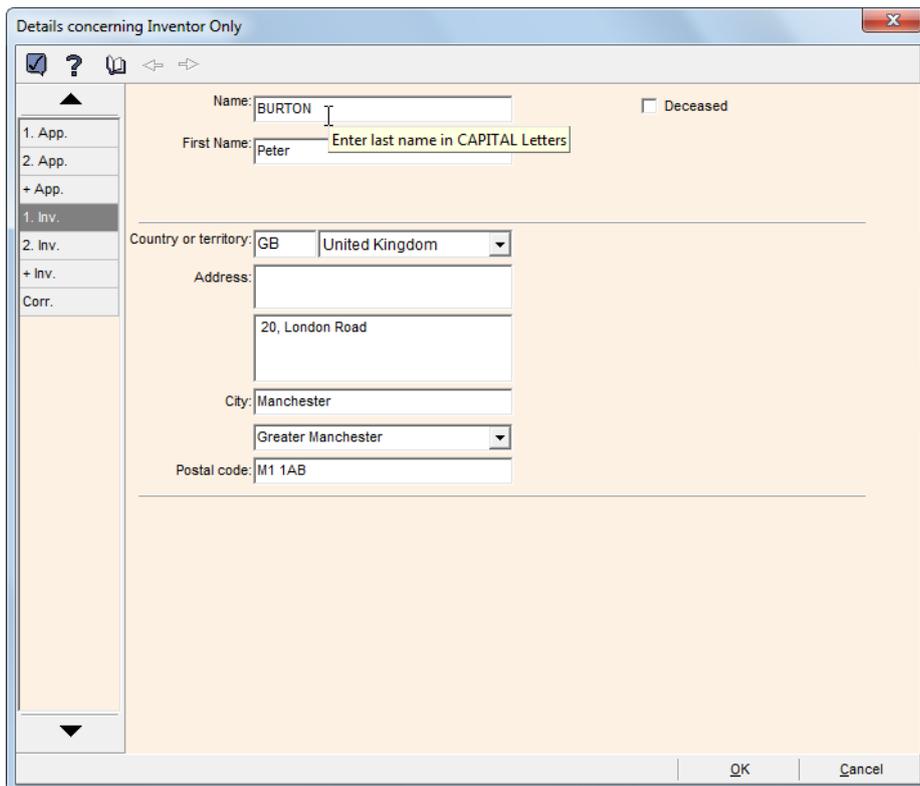


Figure 363: Details concerning Inventor Only

### 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.

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.

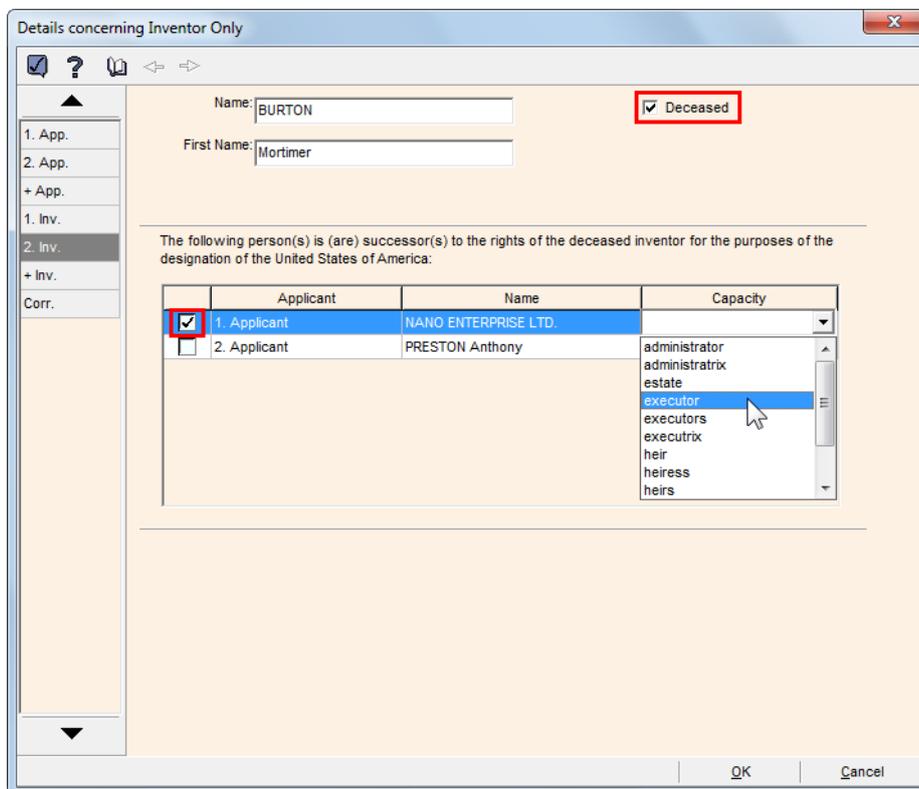


Figure 364: Selecting capacity for the successor to the rights of the deceased inventor

### 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.**



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).

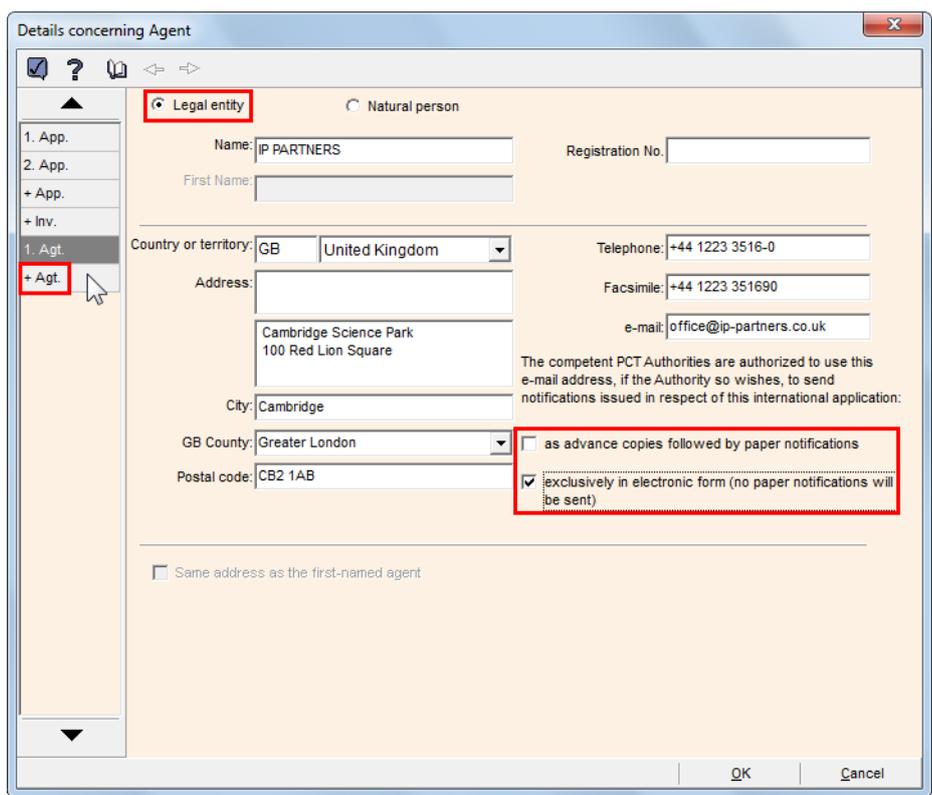
- For legal entities, enter the company name in **BLOCK CAPITALS**.
- For natural persons, enter the last name in **BLOCK CAPITALS**.

Complete the agent's data.

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.

 At present, however, the EPO does not send any official communications by e-mail.



The screenshot shows a web form titled "Details concerning Agent". At the top, there are two radio buttons: "Legal entity" (selected and highlighted with a red box) and "Natural person". Below this, the form is divided into several sections. The "Name" field contains "IP PARTNERS" and "Registration No." is empty. The "Country or territory" is set to "GB" (United Kingdom). The "Address" field contains "Cambridge Science Park, 100 Red Lion Square". The "City" is "Cambridge" and the "Postal code" is "CB2 1AB". The "Telephone" is "+44 1223 3516-0" and the "Facsimile" is "+44 1223 351690". The "e-mail" field contains "office@ip-partners.co.uk". A note states: "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:". Below this note are two checkboxes: "as advance copies followed by paper notifications" (unchecked) and "exclusively in electronic form (no paper notifications will be sent)" (checked and highlighted with a red box). At the bottom left, there is a checkbox "Same address as the first-named agent" which is unchecked. The form has "OK" and "Cancel" buttons at the bottom right.

Figure 365: 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.

Figure 366: 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 **Power of Attorney** to create the Power of attorney document (p. 293).

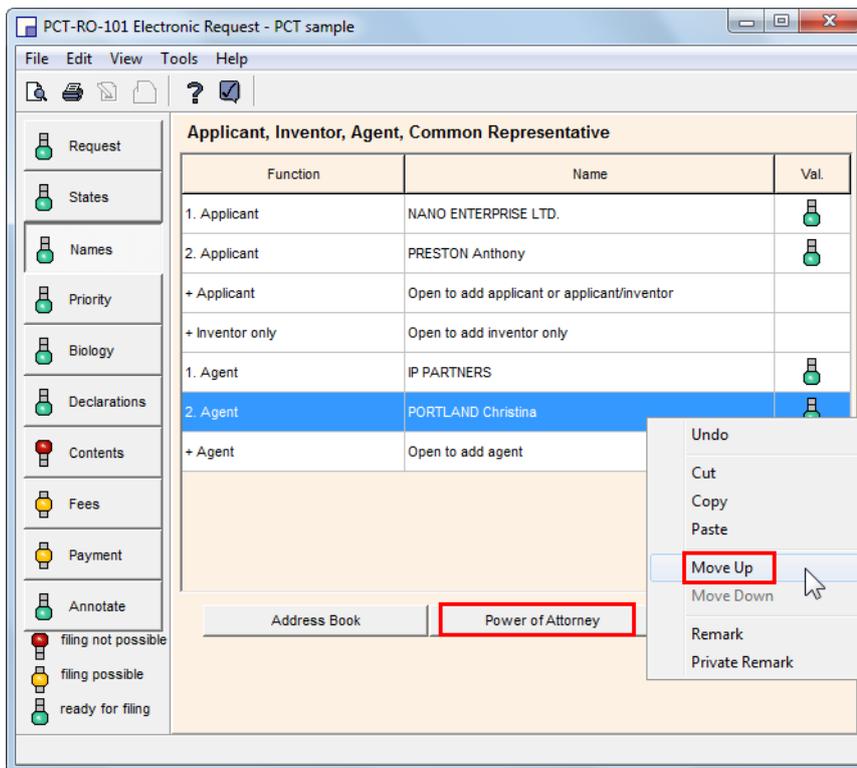


Figure 367: Options for 2. Agent in the Names tab

#### 10.4.4 Power of attorney document

You can create a power of attorney document as a PDF file 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 dialog, click **Sign**.

Power of Attorney

Select applicant(s) giving power of attorney

	Name	Name of Signatory	Capacity
<input checked="" type="checkbox"/>	NANO ENTERPRISE LTD.		
<input checked="" type="checkbox"/>	PRESTON, Anthony		

Select agent(s)/common representative to whom power of attorney is given

	Name
<input checked="" type="checkbox"/>	IP PARTNERS
<input checked="" type="checkbox"/>	PORTLAND, Christina

representing the applicant(s) before

all the competent International Authorities

Date: 07.10.2011

Sign OK Preview... Cancel

Figure 368: 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**.

PDF Viewer

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/POP 20020701/0.20.5.20
1	<b>The undersigned applicant(s)</b>	
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 369: 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**.

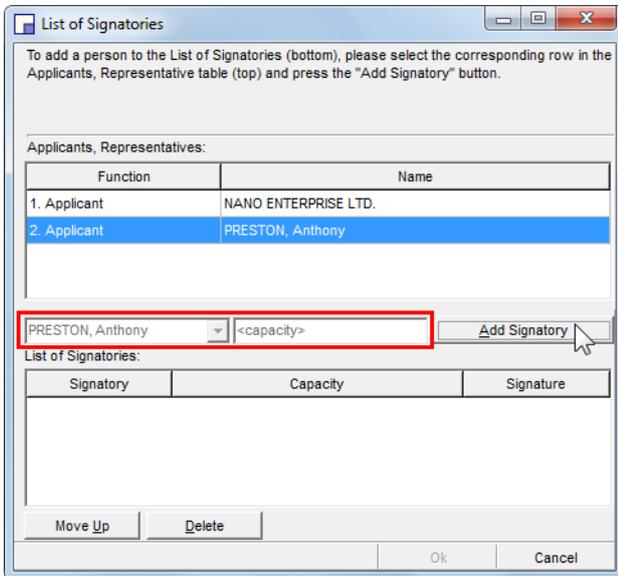


Figure 370: Adding signatory for 2. Applicant who is a natural person

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**.

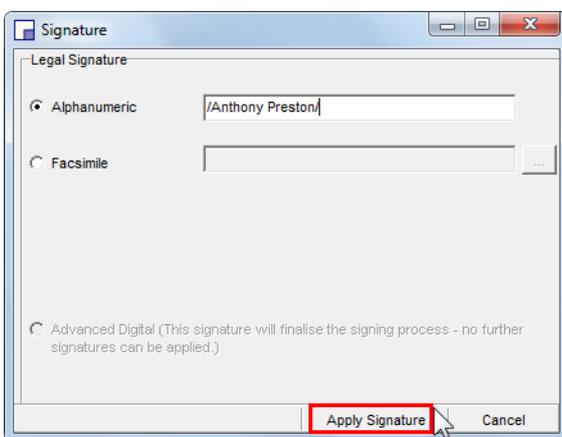


Figure 371: Applying alphanumeric signature for applicant

The **List of Signatories** window shows the new signature.

Repeat these steps to add more signatories if required.

Click **OK** when ready.

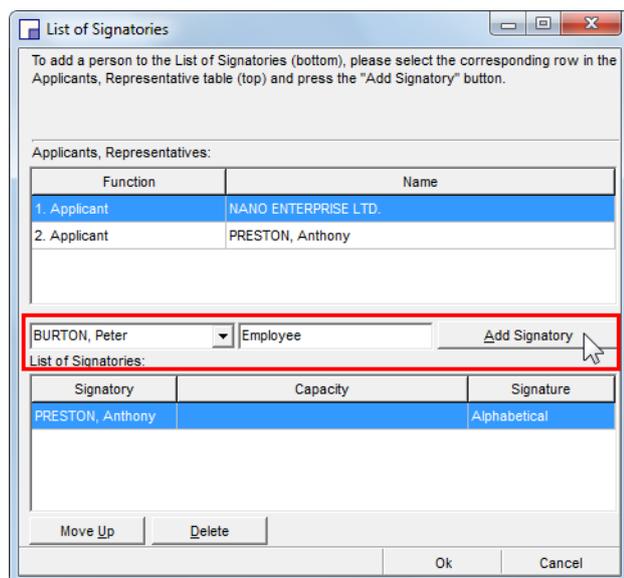


Figure 372: Adding signatories for the Power of Attorney document

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**.

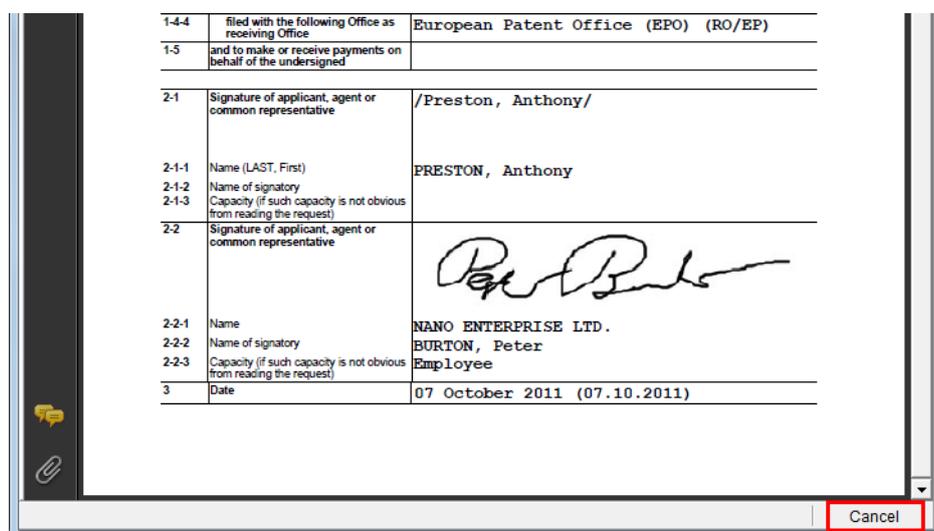


Figure 373: Signatures in the Power of Attorney document preview

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.

**i** 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 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.

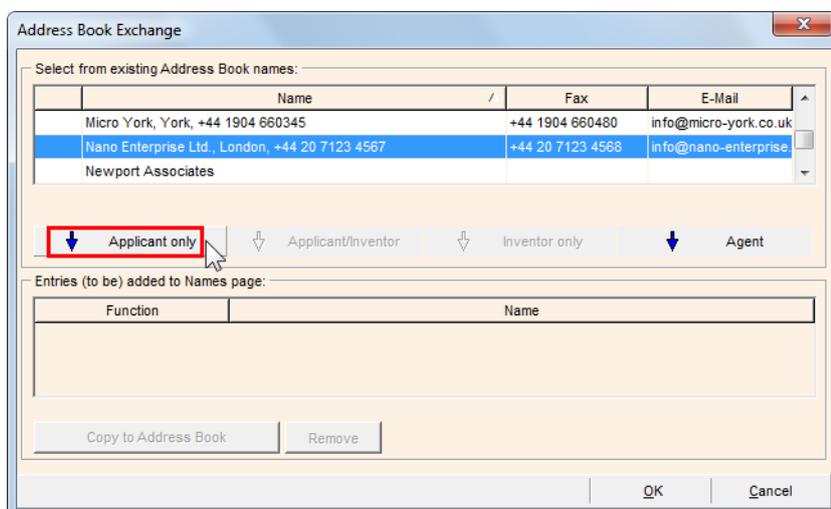


Figure 374: Selecting legal person as applicant only

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**.

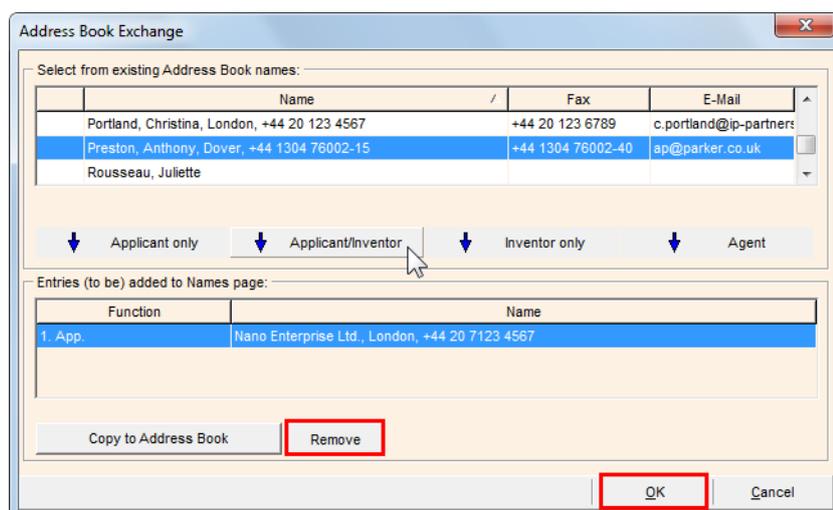


Figure 375: Selecting natural person as applicant/inventor

### 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**.

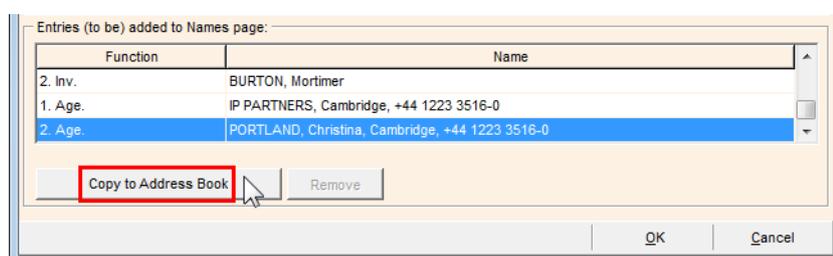


Figure 376: Copying names from the form to the Address Book

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.

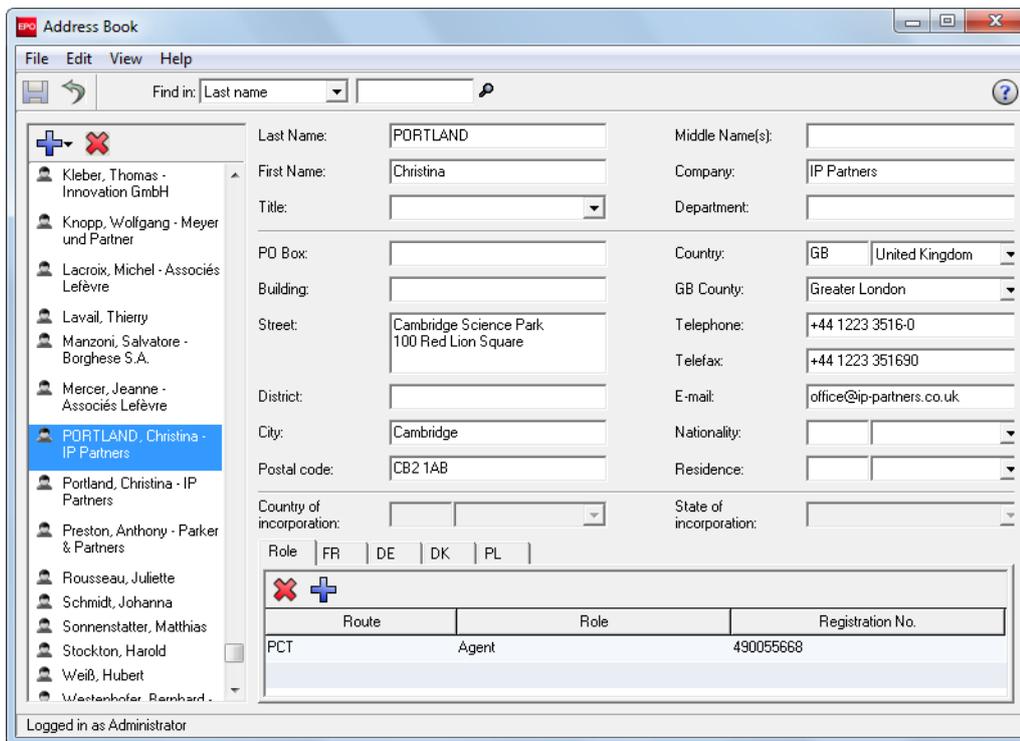


Figure 377: New entry in the Address Book with data copied from the form

## 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**.

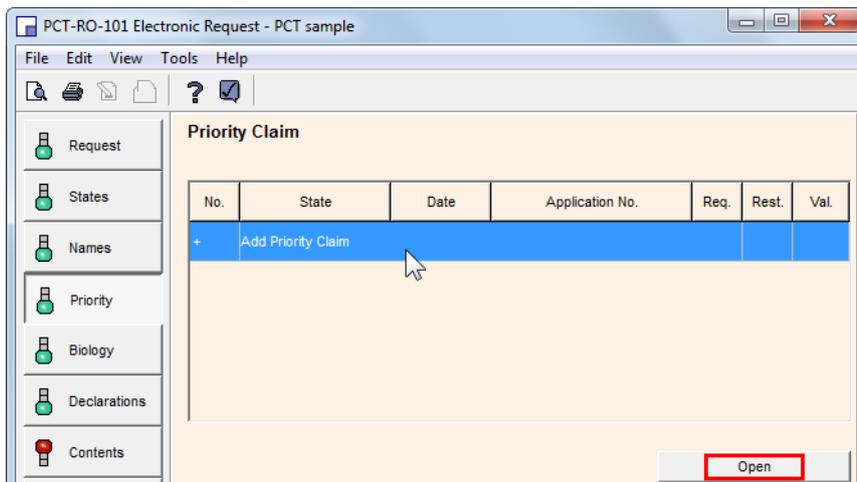


Figure 378: Adding a priority claim

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.

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 **+** icon on the left.

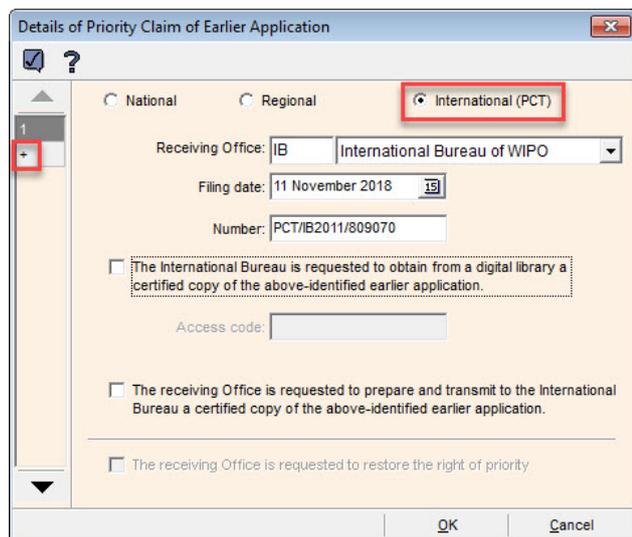


Figure 379: Entering details of priority claim of earlier application

### 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](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 selected.

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, select the check box **The receiving Office is requested to restore the right of priority.**

 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**.

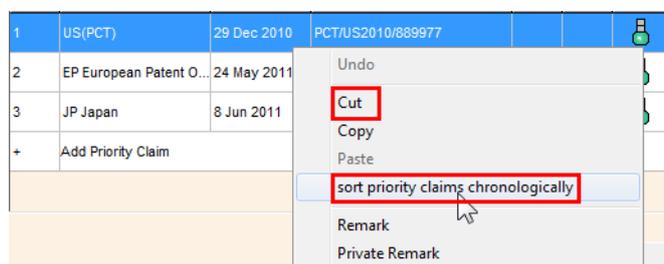


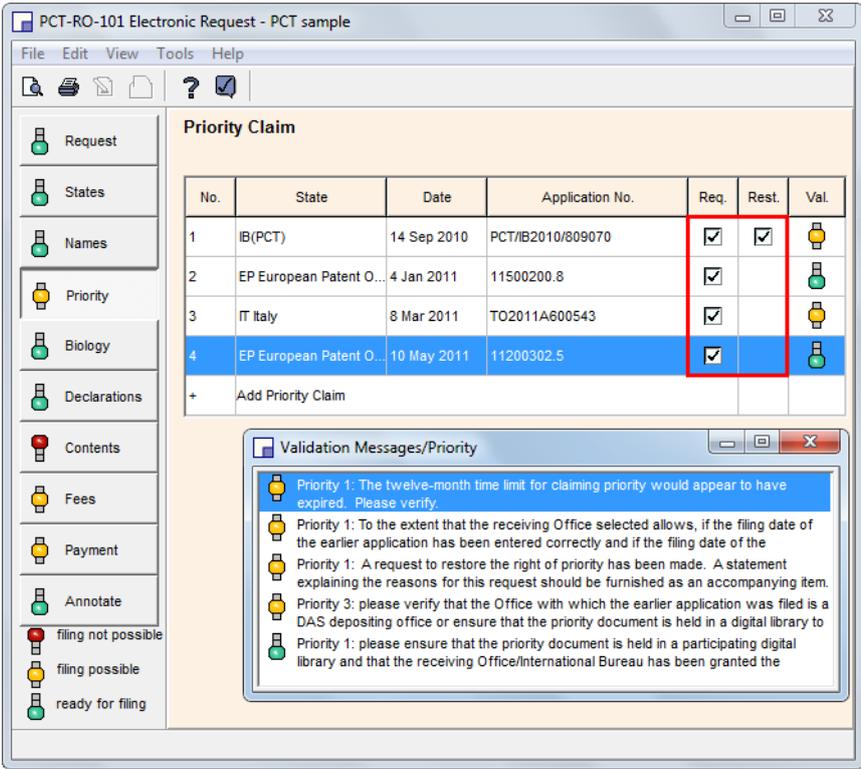
Figure 380: Shortcut menu options available in the priority claims list

## 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.

 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. 334).



The screenshot shows the 'PCT-RO-101 Electronic Request - PCT sample' application window. On the left is a navigation pane with icons for Request, States, Names, Priority, Biology, Declarations, Contents, Fees, Payment, Annotate, and filing status (not possible, possible, ready for filing). The main area displays a 'Priority Claim' table with columns: No., State, Date, Application No., Req., Rest., and Val. A red box highlights the 'Req.' and 'Rest.' columns for rows 1, 2, 3, and 4. Below the table, a 'Validation Messages/Priority' window is open, listing several messages with icons: Priority 1 (expired time limit), Priority 1 (filing date), Priority 1 (restore right of priority), Priority 3 (DAS office), and Priority 1 (digital library).

No.	State	Date	Application No.	Req.	Rest.	Val.
1	IB(PCT)	14 Sep 2010	PCT/IB2010/809070	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
2	EP European Patent O...	4 Jan 2011	11500200.8	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
3	IT Italy	8 Mar 2011	TO2011A600543	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
4	EP European Patent O...	10 May 2011	11200302.5	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
+	Add Priority Claim					

Figure 381: 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, select the check box **The description contains a sequence listing.**

Attach the required documents in the **Contents** tab; see Sequence listing (p. 325) for more details. The following options are automatically added to the form if the above is checked:

- In the **International Application** sub-tab:
  - sequence listing part of description

## Adding indications relating to biological material

Double-click the first row **Open to add a new item** or click **Open**.

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 382: 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.

 The corresponding documents can be attached in the Accompanying Items (p. 323) 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. 284).

Details concerning Indications Relating to a Deposited Microorganism

The indications made below relate to the deposited microorganism or other biological material referred to in the description:

on page  or  line  (please leave this field empty if you indicate paragraph number in the left field)  
 in paragraph number:

Depository institution:

Address:

Accession Number:

Date of deposit:

Additional Indications:

Separate Furnishing of Indications:

Designated States for Which Indications Are Made

All Designated States  
 Certain Designated States only

Figure 383: 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**.

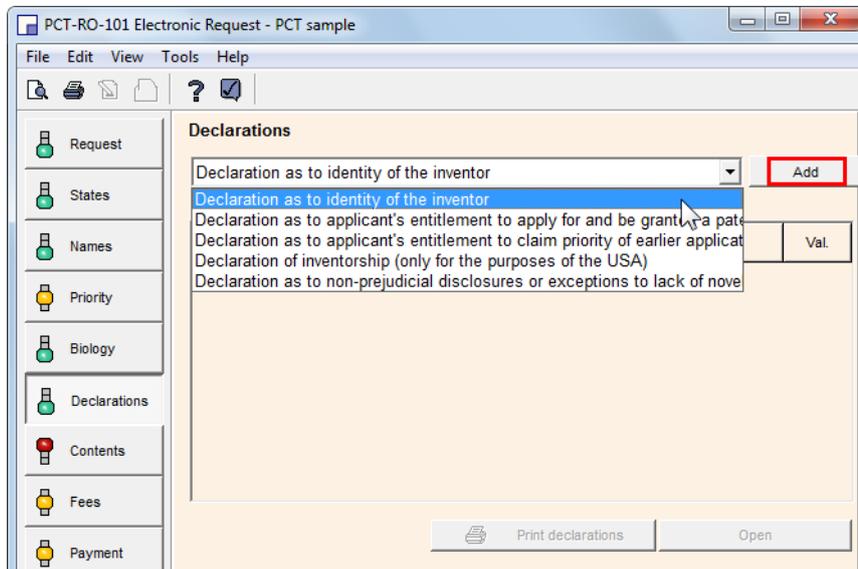


Figure 384: Declaration options

### 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.

The deceased inventors are not available in the list.

The address data is automatically completed.

To add another inventor, click the **+** icon 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.

Details concerning inventor

Name: PRESTON

First Name: BURTON

City: <other>

Country: GB United Kingdom

Address: 267, Harbour Road

Postal code: CT163PJ

GB County: Kent

OK Cancel

Figure 385: 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.

Declarations

Declaration as to the identity of the inventor

in relation to:

this international application  international application No. PCT/\_\_\_\_/\_\_\_\_

Inventor(s):

No.	Inventor
1	PRESTON, Anthony
+ Add Inventor	

Figure 386: 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.

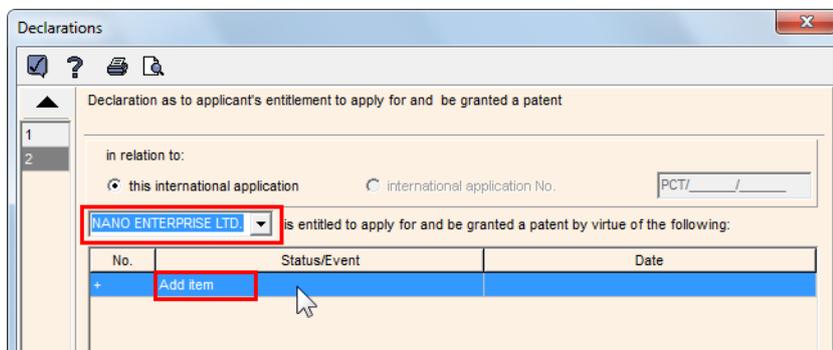


Figure 387: Adding declaration as to applicant's entitlement to apply for and be granted a patent

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.

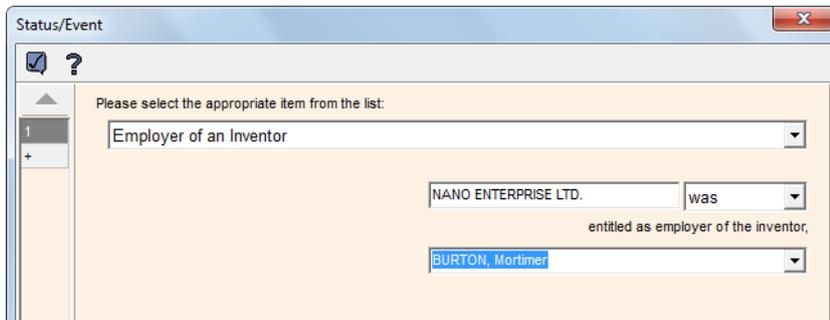


Figure 388: Selecting names for "employer of an inventor"

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.

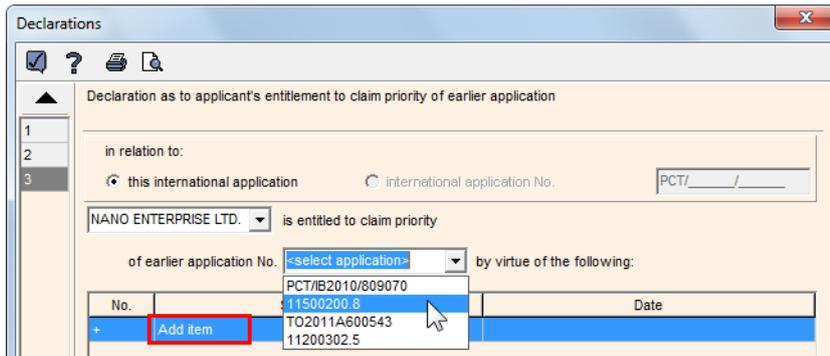


Figure 389: Selecting application for declaration as to applicant's entitlement to claim priority

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 image shows a software dialog box titled "Status/Event". At the top left, there are icons for a checkmark and a question mark. Below these, a message says "Please select the appropriate item from the list:". A dropdown menu is open, showing "Agreement" selected. Below the dropdown, the text "an agreement between" is followed by a dropdown menu containing "BURTON, Mortimer". Below that, the word "and" is followed by another dropdown menu containing "NANO ENTERPRISE LTD.". At the bottom, the word "dated" is followed by a date input field containing "8 July 2010" and a small calendar icon.

Figure 390: 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 shortcut menu.

To specify an inventor whose name has not been added to the form, double-click **Inventor**.

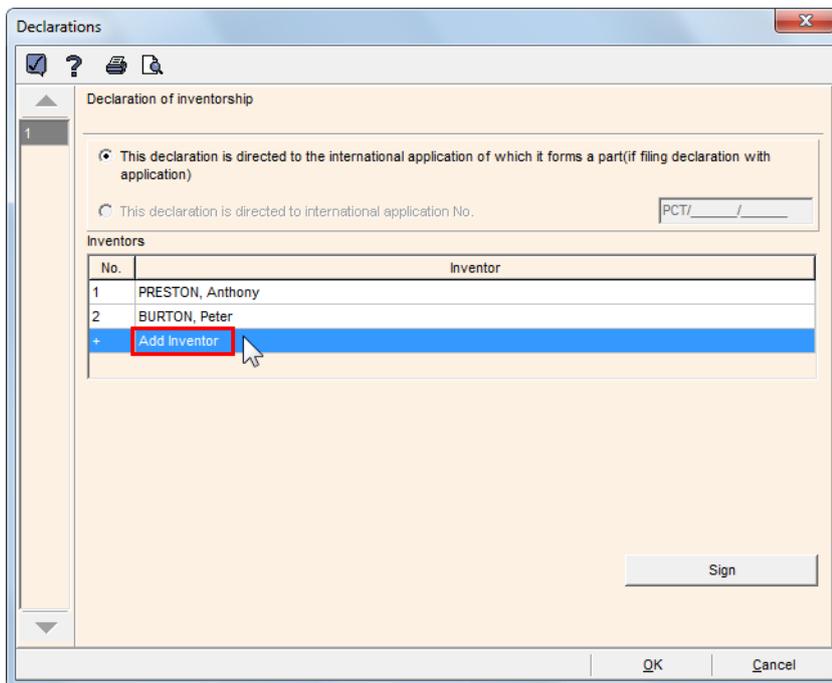


Figure 391: Adding inventor for declaration of inventorship

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.

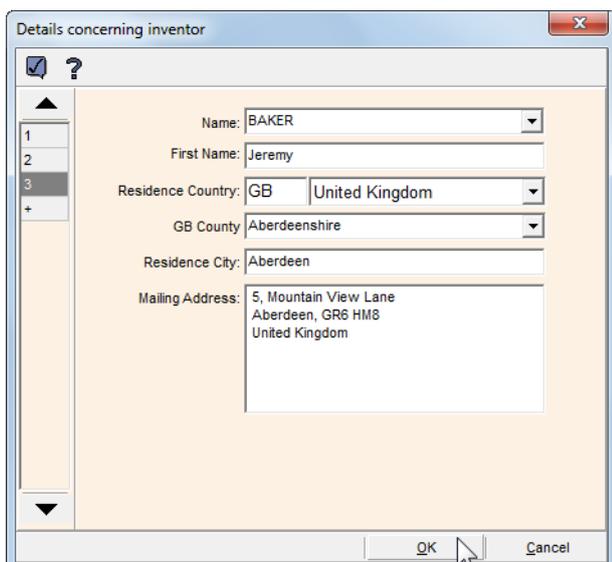
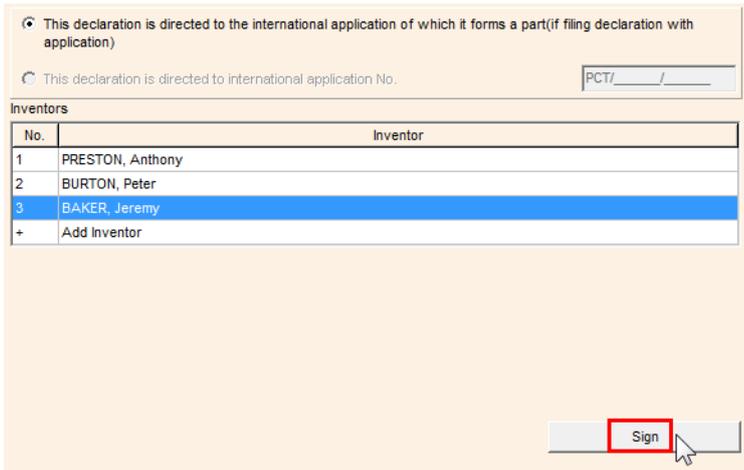


Figure 392: Entering details concerning inventor for declaration of inventorship

Back in the **Declarations** window, click **Sign**.



The screenshot shows a window with two radio buttons at the top. The first is selected and labeled "This declaration is directed to the international application of which it forms a part (if filing declaration with application)". The second is labeled "This declaration is directed to international application No." with a text field containing "PCT/ /". Below this is a table titled "Inventors":

No.	Inventor
1	PRESTON, Anthony
2	BURTON, Peter
3	BAKER, Jeremy
+	Add Inventor

At the bottom right, a "Sign" button is highlighted with a red box and a mouse cursor is pointing at it.

Figure 393: Starting the signature process for declaration of inventorship

The List of Signatories window opens.

Select an applicant/inventor and click **Add Signatory**.

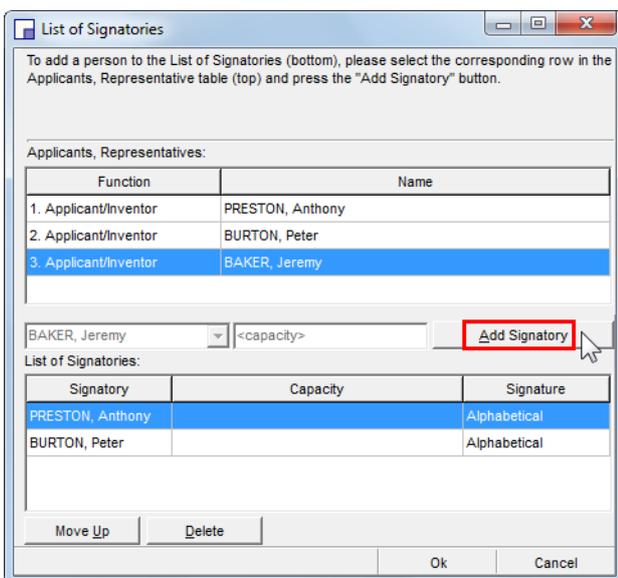
In the **Signature** window, enter an alphanumeric signature or attach a file with the facsimile signature.<sup>1</sup>

Click **Apply Signature**.

The signatory is added to the list.

Create a signature for each applicant/inventor.

Click **OK** to finish.



The screenshot shows a window titled "List of Signatories". It contains a table for "Applicants, Representatives":

Function	Name
1. Applicant/Inventor	PRESTON, Anthony
2. Applicant/Inventor	BURTON, Peter
3. Applicant/Inventor	BAKER, Jeremy

Below this table is a dropdown menu showing "BAKER, Jeremy" and a text field with "<capacity>". To the right is an "Add Signatory" button, which is highlighted with a red box and a mouse cursor is pointing at it.

Below the "Add Signatory" button is a table for "List of Signatories":

Signatory	Capacity	Signature
PRESTON, Anthony		Alphabetical
BURTON, Peter		Alphabetical

At the bottom are buttons for "Move Up", "Delete", "Ok", and "Cancel".

Figure 394: 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.

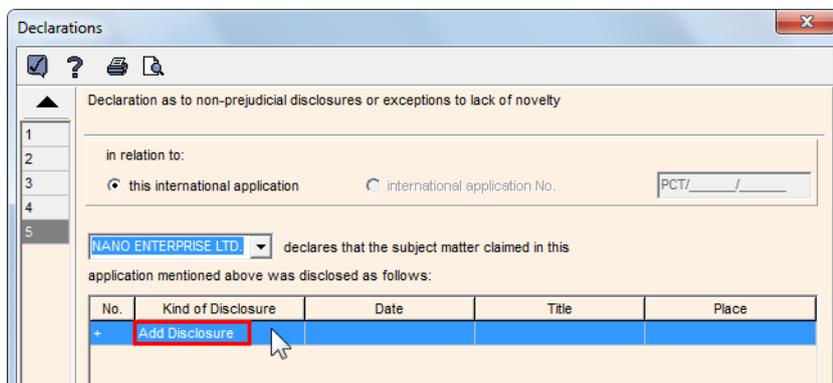


Figure 395: Adding declaration as to disclosures

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 **+** icon on the left to add another disclosure.

Click **OK** when ready.

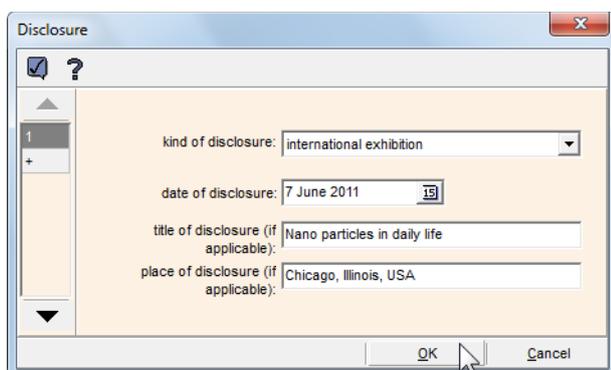


Figure 396: Entering data for disclosure

## 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.

The **Print declarations** button becomes available after the submission process, when you open the application from the **Sent** folder in File Manager.

In the **Declarations** main tab, double-click any of the declarations in the list.

or

Click **Open**.

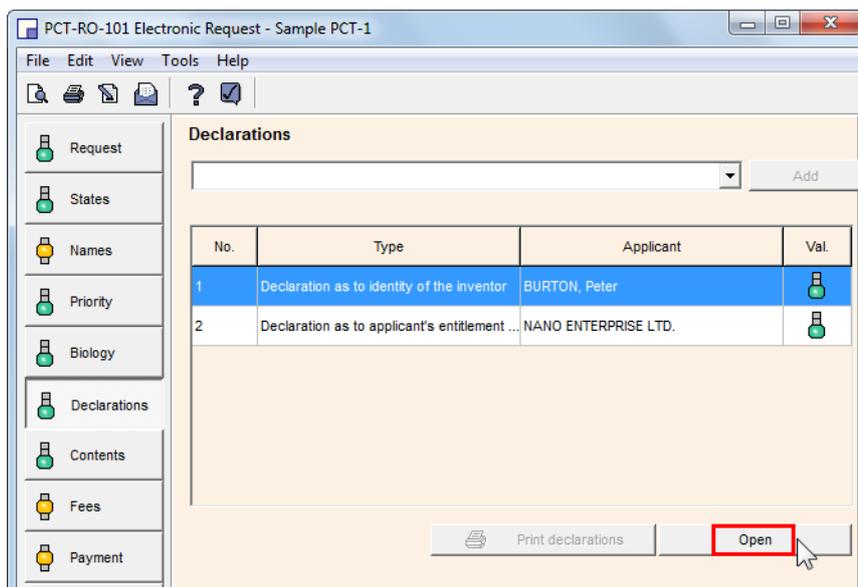


Figure 397: List of declarations

The **Declarations** window opens.

Click the **Preview** icon in the toolbar.

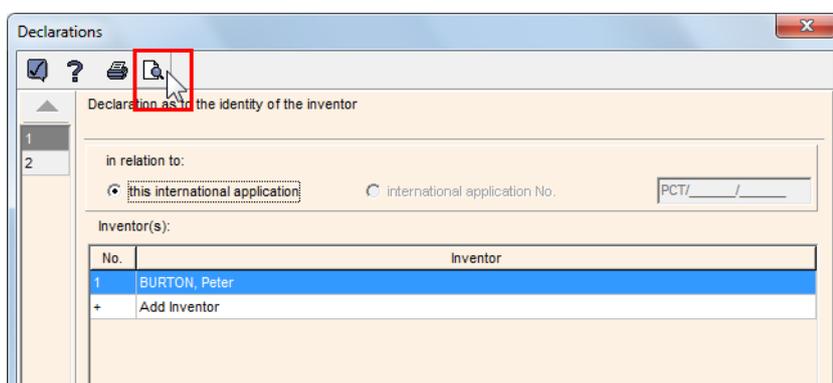


Figure 398: Opening the PDF Viewer from the Declarations window

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.

In the PDF Viewer, click the **Print file** icon to create a hard copy of the declarations.

Click **Cancel** when finished.

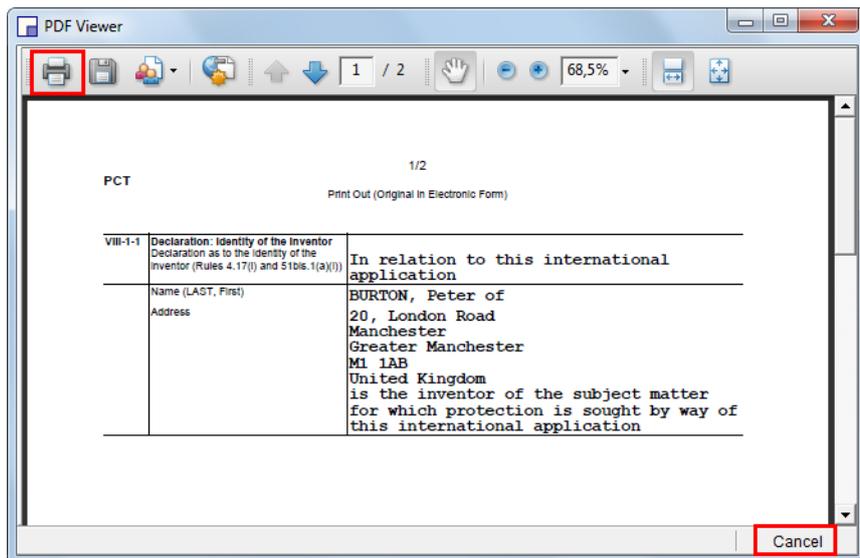


Figure 399: Previewing declaration sheets in the PDF viewer

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. 86) 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

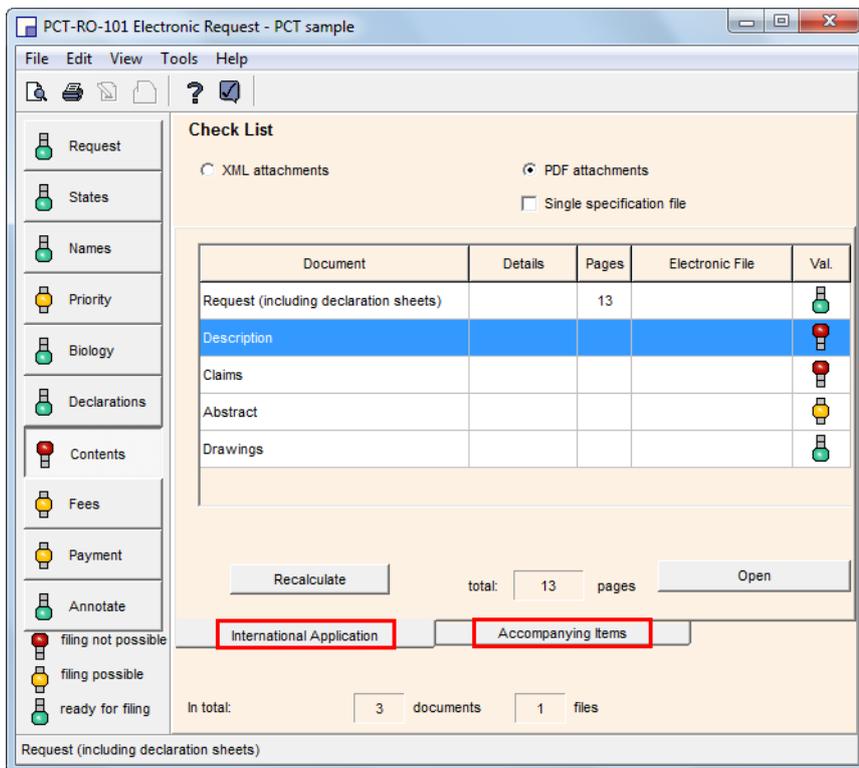


Figure 400: Contents tab with "International Application" and "Accompanying Items" sub-tabs

## 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. 321) 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.



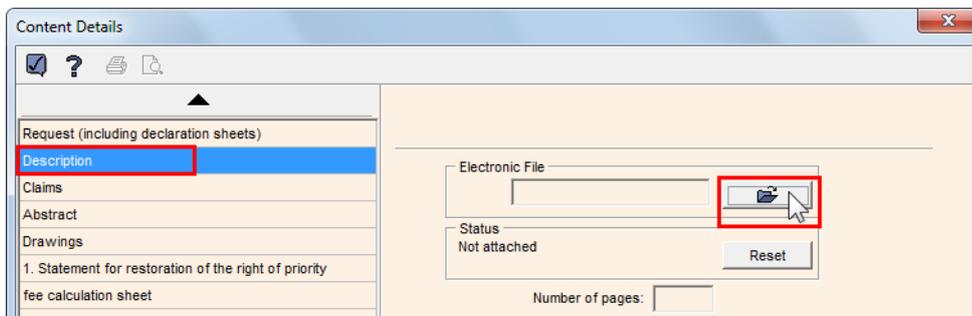


Figure 401: Attaching files in the Content Details window

In the **Open** window, navigate to the storage location of the corresponding file.

Select the appropriate option in the **files of type** list.

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. attaching images as TIFF files. When attaching sequence listing documents, the options **XML File (\*.xml)** and **ZIP file (\*.zip)** become available.

Select the required file.

Click **Open**.

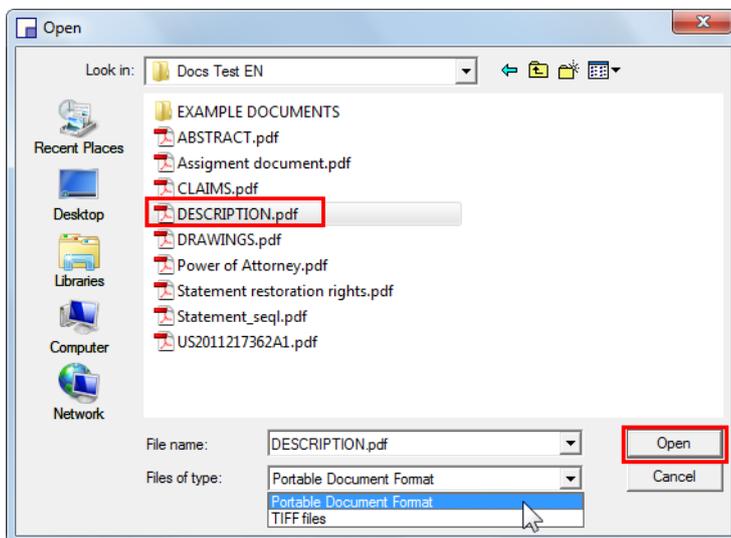


Figure 402: Selecting PDF file for attachment

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).



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. 316).

Click **OK** when ready.

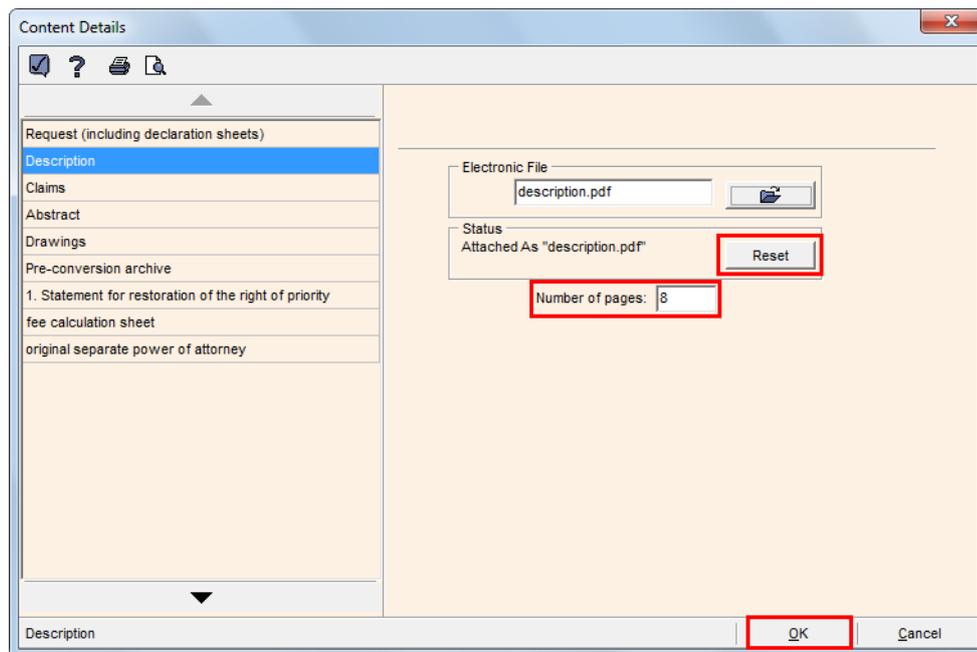


Figure 403: Electronic file is attached

## 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 as an XML file, 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 check box **The description contains a sequence listing** is selected in the **Biology** tab, the document check list is slightly different:

- Description (excluding sequence listing)
- Claims
- Abstract
- Drawings
- Sequence listing part of description (should be attached as an ST.26 standard file, i.e. as an XML (\*.xml) or a ZIP (\*.zip) 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**

- Request (including declaration sheets)
- Application body
- Pre-conversion archive (optional; becomes available after the XML specification file has been attached)

If the check box **The description contains a sequence listing** is selected in the **Biology** tab, the following item will also be present:

- Sequence listing part of description (should be attached as an ST.26 standard file, i.e. as an XML (\*.xml) or a ZIP (\*.zip) file)

## 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.

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.

Click the **Open** button, navigate to the appropriate file and attach it.

### Claims

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.

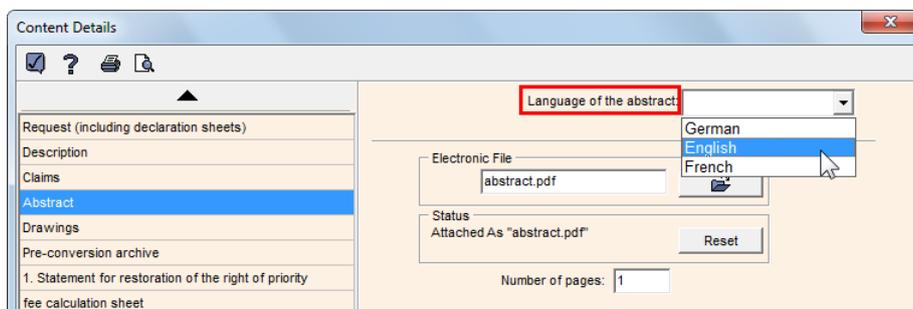


Figure 404: Abstract attached

## 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**.

If applicable, select Yes under **The figure of the drawings which should accompany the abstract contains text**.

Enter the text in the **Drawing Text** box.

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.

Electronic File  
drawings.pdf

Status  
Attached As "drawings.pdf" Reset

Number of pages: 4

The figure of the drawings which should accompany the abstract contains text:  
 No  
 Yes Please type the text in the Drawing Text box.

Drawing Text  
Transferring direction  
Support plate

Drawings OK Cancel

Figure 405: 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.

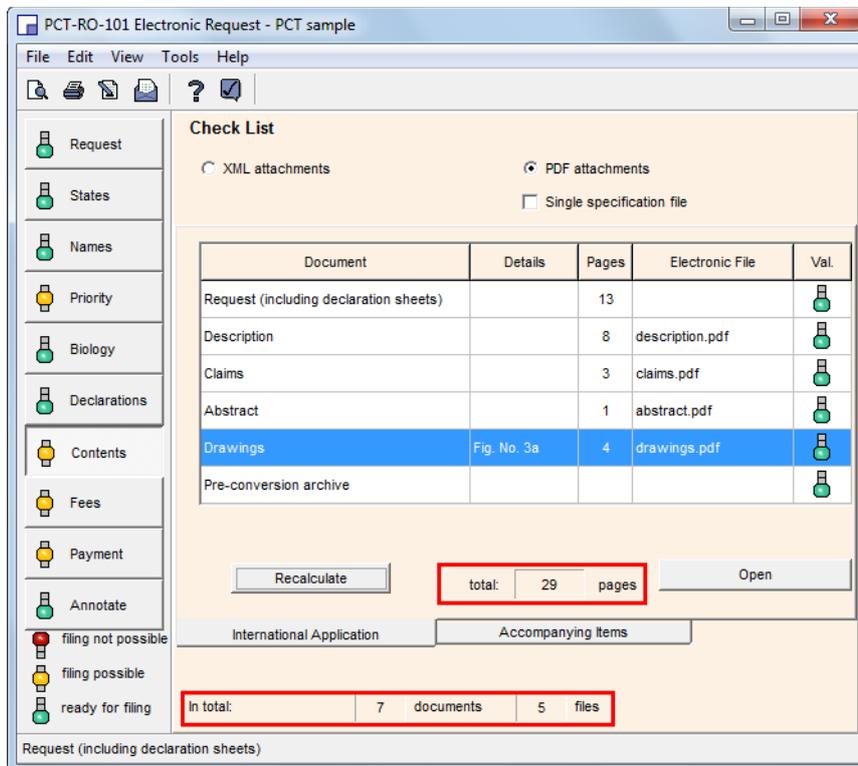


Figure 406: All required documents are properly attached

### 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, select the check box **Single specification file**.

Double-click **Specification**.

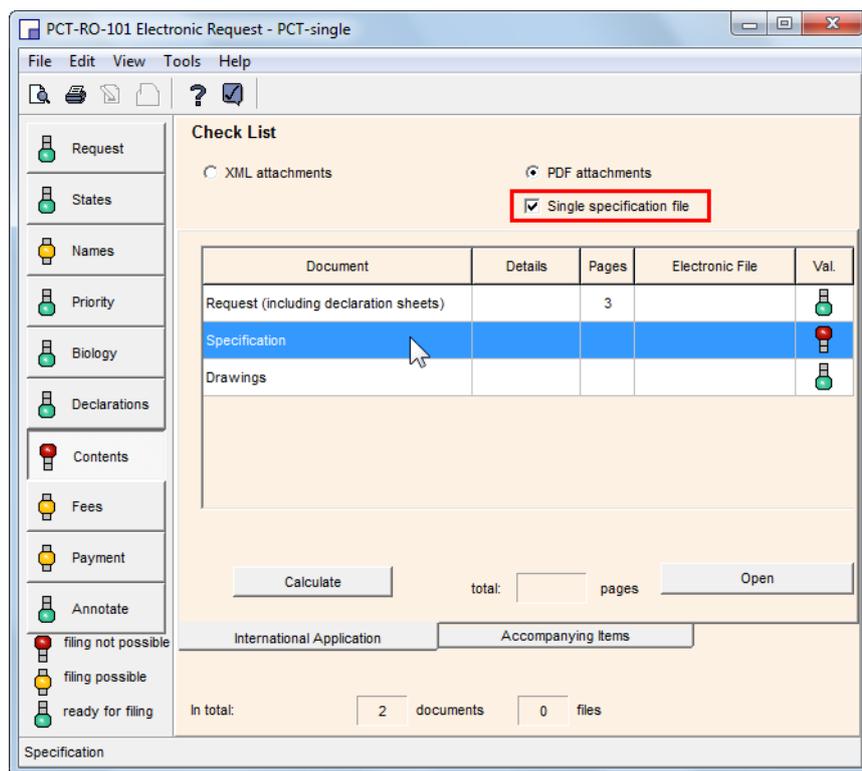


Figure 407: Attaching a single specification file in a PDF

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.



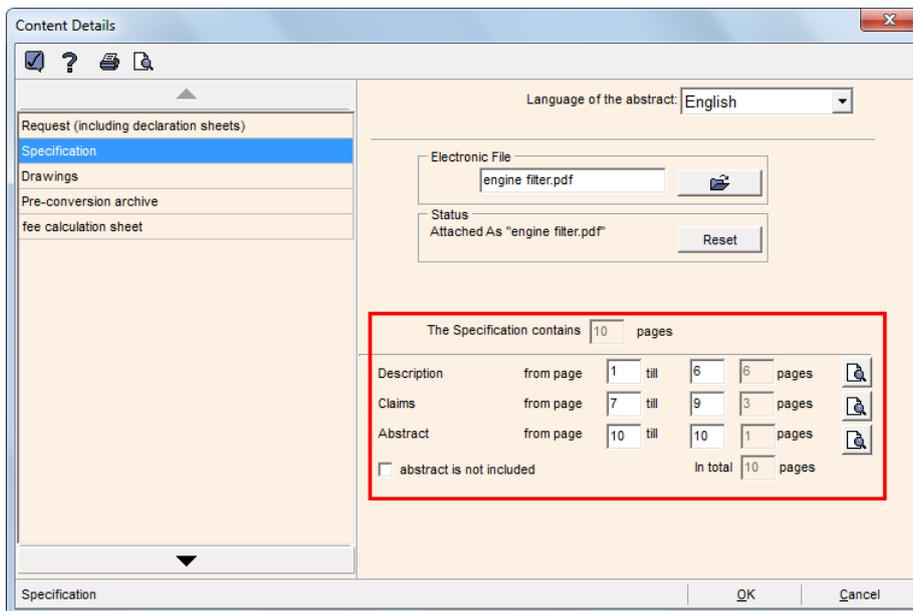


Figure 408: Specification file attached and page numbers of document sections entered

### Further options

If you intend not to submit the abstract at this time, select the check box **abstract is not included**.

This action deactivates the options referring to the abstract.

 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. 316).

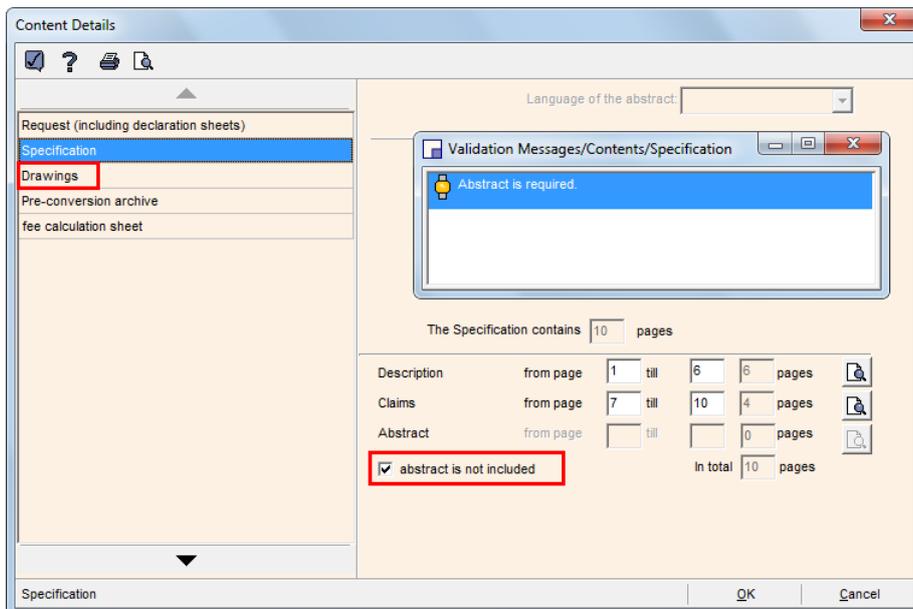


Figure 409: "Abstract is not included" option triggers a corresponding validation message

#### 10.8.4 XML attachments

If you produce the specification document as XML files, 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 file.

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**.

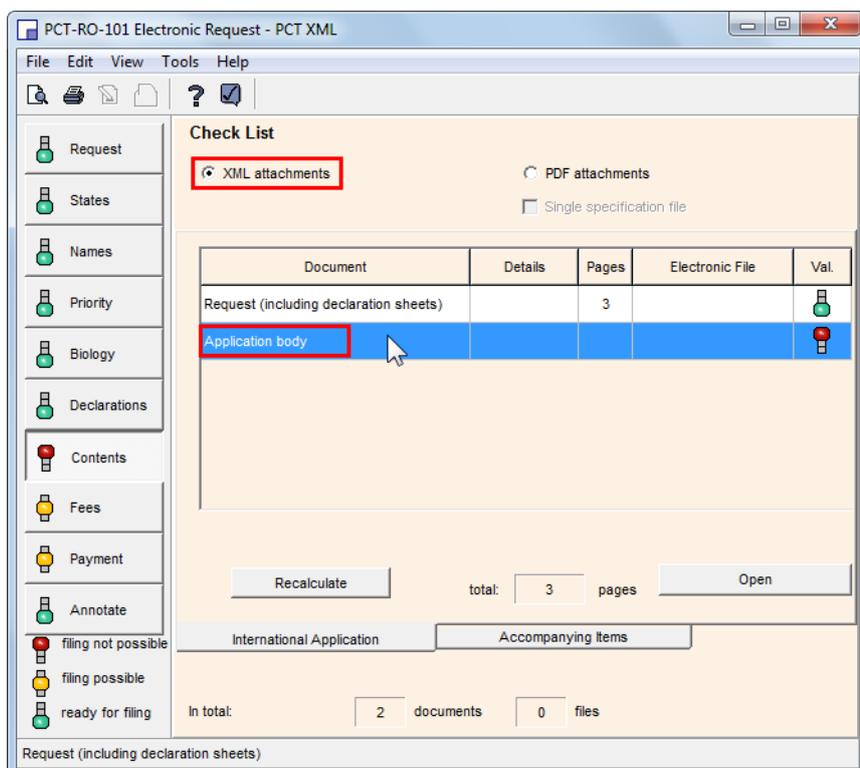


Figure 410: Attaching specification document as XML file

The **Content Details** window opens.

Click the **Open** button.



Navigate to the XML specification file.

Only PatXML files can be selected.

Select the PatXML file and click **Open**.

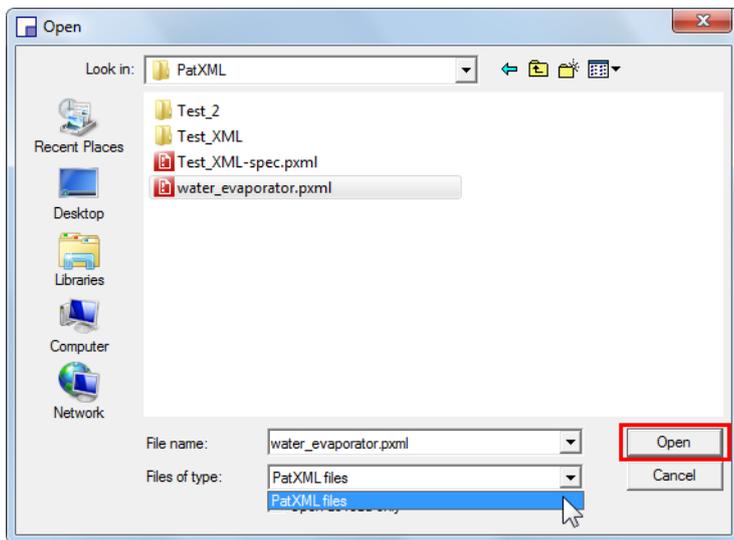


Figure 411: Selecting the specification document as PatXML file

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 warning message to this effect will be displayed.

Please make sure that you entered the correct language in both the PatXML file and the **Request** tab.



Figure 412: Warning message if language attribute mismatch occurs

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.

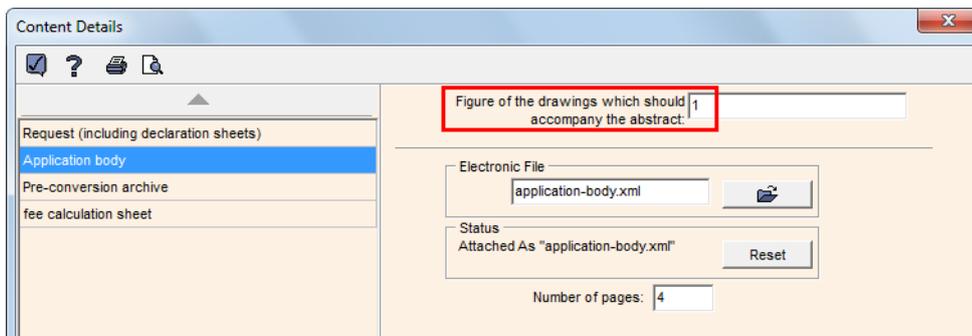


Figure 413: Application body XML file successfully attached

The green traffic lights in the **Contents** tab indicate that all the required documents have been properly attached.

The **Pre-conversion archive** option is now available.

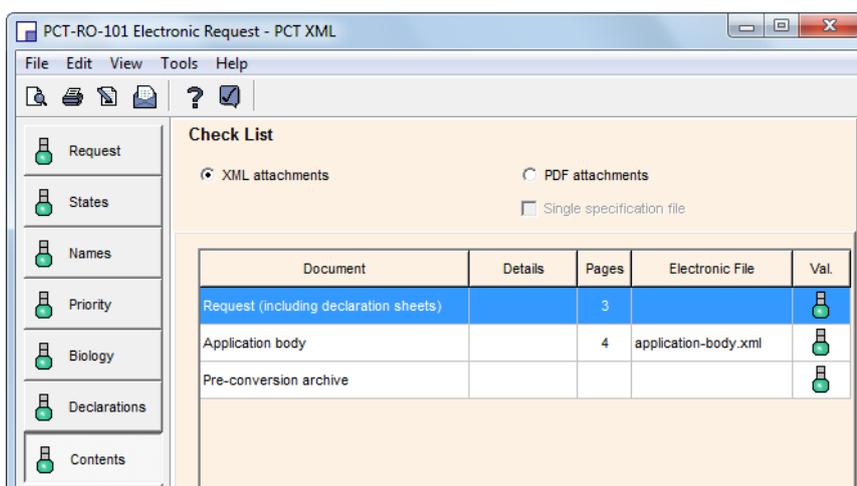


Figure 414: Green traffic light for the Contents tab

### 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
- applicant letter to ISA concerning earlier search ('PCT Direct')
- OTHER

System files, such as the fee calculation sheet and the original separate power of attorney document, are generated automatically as XML files 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**.

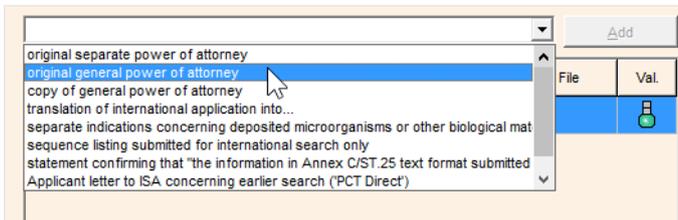


Figure 415: Selecting document type for attachment in the Accompanying items sub-tab

- Then click **Add**.



Figure 416: 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.

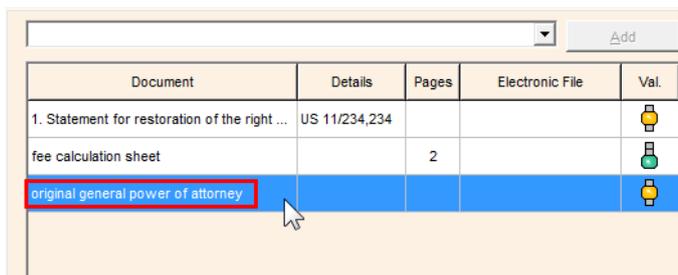


Figure 417: Opening the document for attachment

Click the **Open** button, navigate to the corresponding file and attach it.

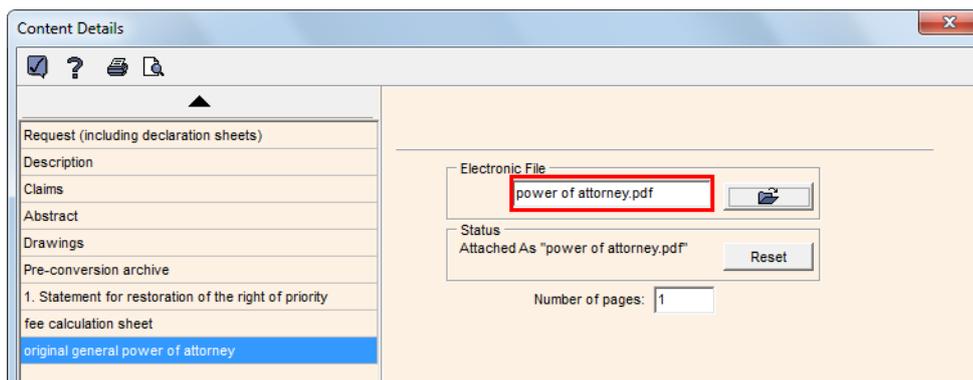


Figure 418: Original general power of attorney attached

## Attaching other user-defined document types

Select **OTHER** from the drop-down list.

The text becomes editable and reads **<specify>**.



The screenshot shows a form with a dropdown menu containing the text '<specify>'. To the right of the dropdown is an 'Add' button. Below the dropdown is a table with columns: Document, Details, Pages, Electronic File, and Val.

Figure 419: Other document to be specified

Enter a document description.

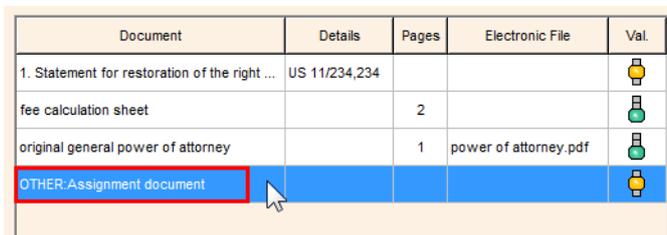
Click **Add**.



The screenshot shows the same form as Figure 419, but the dropdown menu now contains the text 'Assignment document'. The 'Add' button is highlighted with a red box, and a mouse cursor is pointing at it.

Figure 420: 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	
<b>OTHER: Assignment document</b>				

Figure 421: 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 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 422: All documents are appropriately attached

### 10.8.6 Sequence listing

Sequence listings should always be submitted in computer readable format, i.e. as **Annex C/ST.26 files (\*.xml or \*.zip)**.

Form PCT/RO/101 provides an option for attaching sequences listings when **The description contains a sequence listing** is selected in the **Biology** tab; see also PCT/RO/101 – Biology (p. 302). Note that, in this case, attaching a **sequence listing** in the **International Application** sub-tab is mandatory.

#### Attaching a sequence listing as part of the description

Go to the **International Application** tab.

Double-click **Sequence listing part of the description**.

Scroll down the list if you cannot see the item.

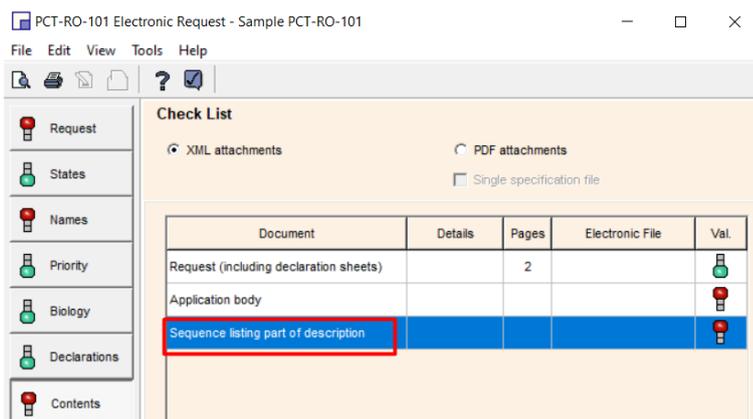


Figure 423: Selecting sequence listing for attachment

The **Contents Details** window opens.

Click the **Open** button and attach the file.



If you attached an ST.26 XML or ZIP file, the status of the file on the window will change accordingly.

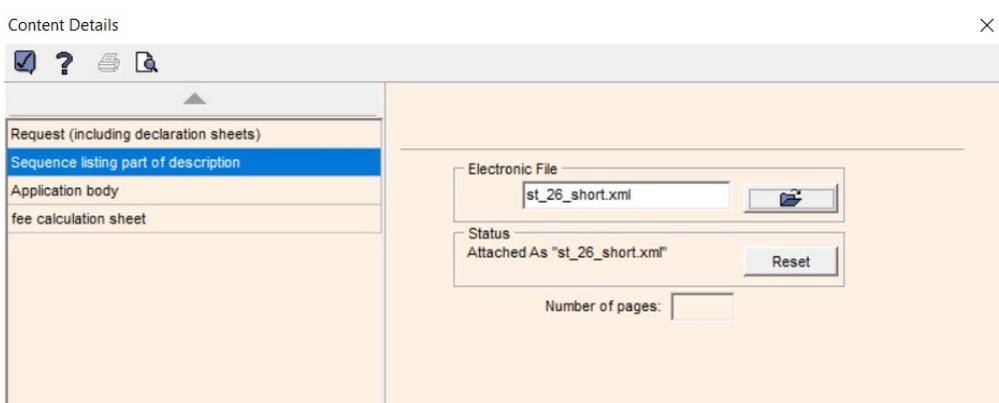


Figure 424: The sequence listing submitted as part of the description is attached as an XML or ZIP file

## 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 **pre-conversion archive** option allows you to add your original documents, before converting them into PDF or XML files, as a compressed ZIP archive file. This may be helpful if you wish to provide the EPO with your original documents in colour. The documents contained in the ZIP file 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 event of quality issues.

**i** The EPO does not recognise documents as legally binding if they are exclusively filed as part of a ZIP archive. To be accepted as legally binding filings, the official patent documents must always be attached as PDF or ST.26 files under the correct document type.

Double-click **Pre-conversion archive** in the **International Application** sub-tab.

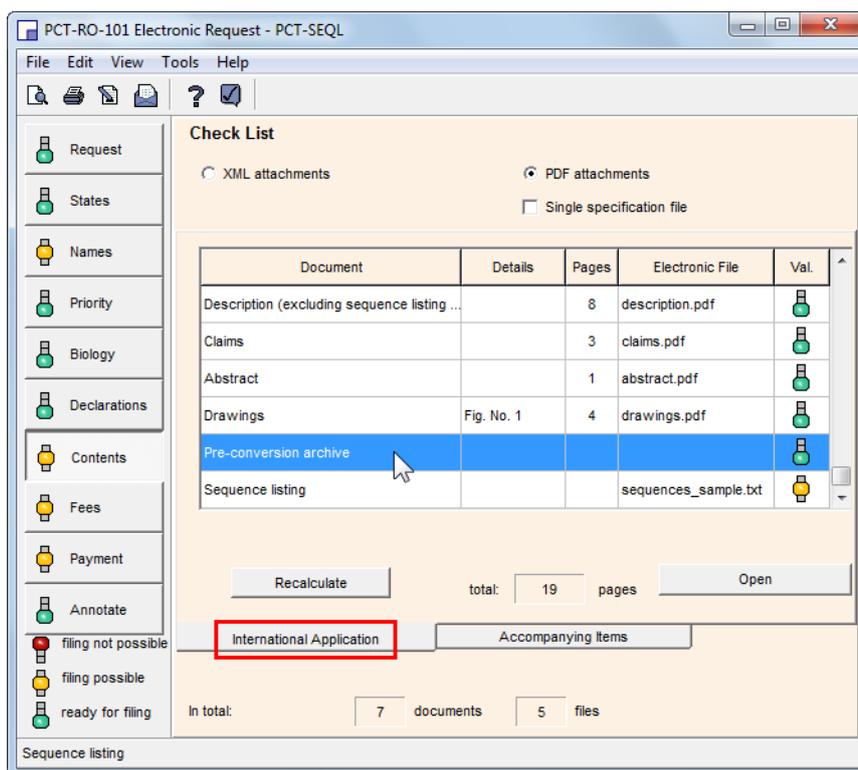


Figure 425: Opening the pre-conversion archive option to attach a ZIP file

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.

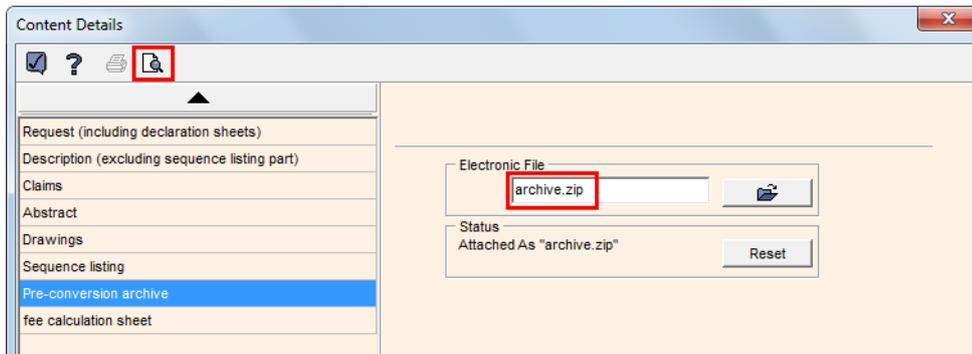


Figure 426: Pre-conversion archive attached

The attached ZIP archive is opened as a temporary folder in Windows Explorer.

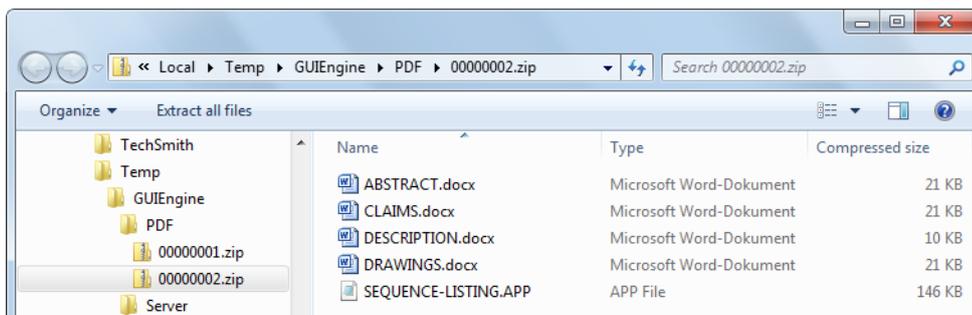


Figure 427: Previewing the contents of the pre-conversion archive

## 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.

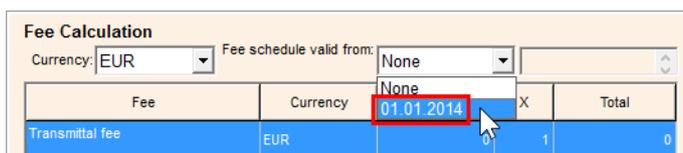


Figure 428: Selecting a fee schedule

The fee amount fields are populated and the **Total Fees Payable** is calculated.

Reductions are displayed as negative amounts in red.

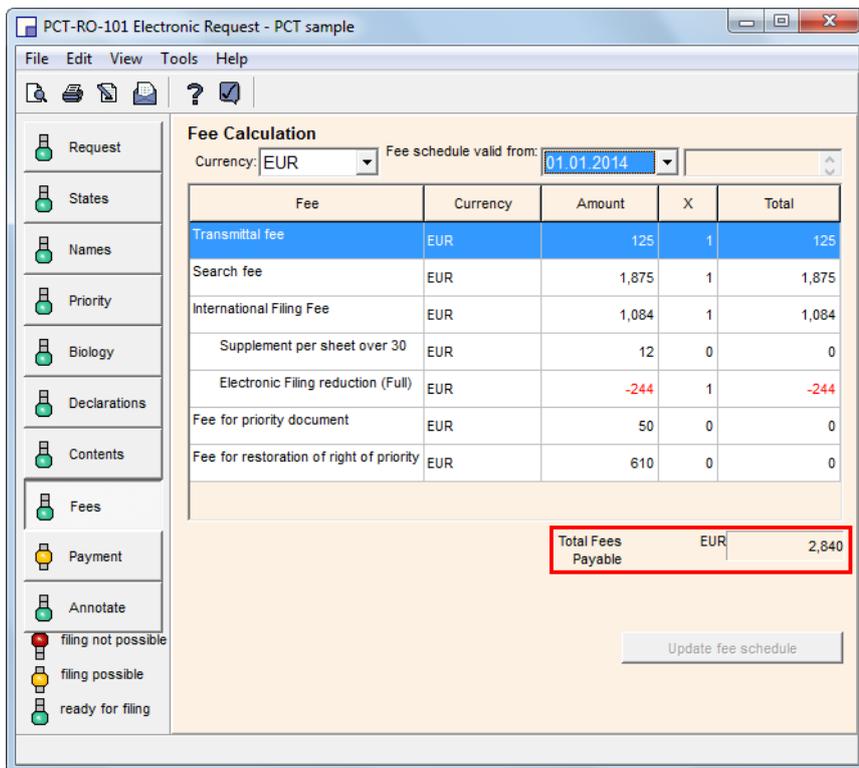


Figure 429: Fee calculation table filled in and total fees payable calculated

## 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	1100	1	1,875
International Filing Fee	EUR	1,084	1	1,084
Supplement per sheet over 30	EUR	12	0	0

Figure 430: 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	1,100	1	1,100
International Filing Fee	EUR	1,084	1	1,084
Supplement per sheet over 30	EUR	12	0	0
Electronic Filing reduction (Full)	EUR	-244	1	-244
Fee for priority document	EUR	50	0	0
Fee for restoration of right of priority	EUR	610	0	0
Total Fees Payable				EUR 2,065

Figure 431: Fee calculation updated after a fee amount has been edited

The **Update fee schedule** button is activated after a fee has been edited.



If you click **Update fee schedule**, 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 by clicking **Update fee schedule**.

### 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 provide details of the EPO deposit account to be debited.

The EPO as receiving office offers the following payment options:

- **No payment for the time being** – if you intend to pay at a later time.
- **Authorisation to charge current account** – the relevant fees will be debited from your EPO deposit account.
- **Automatic debit** – the EPO will calculate the fees payable using the information provided in your application and will debit this amount direct from your EPO deposit account.

- **Bank transfer** – you have to transfer the relevant amount to the EPO's bank account with Commerzbank AG in Munich, Germany.
- Other

Select the applicable **Mode of payment**.

Depending on your selection, the dialog window will display further fields and options.

### Authorisation to charge current account

Clear any account authorisations which are not applicable.

By default, all account authorisations are selected.

Enter your EPO deposit account number in the **Current account number** field.

EPO deposit account numbers are made up of eight digits, starting with **28**.

Provide the authorised user name and signature; see Signing the deposit account authorisation (p. 333).

Figure 432: Details for payment by authorisation to charge deposit account

### Automatic debit

Enter the EPO deposit account number in the **Current account number** field.

EPO deposit account numbers are made up of eight digits, starting with **28**.

Provide the authorised user name and signature; see Signing the deposit account authorisation (p. 333).

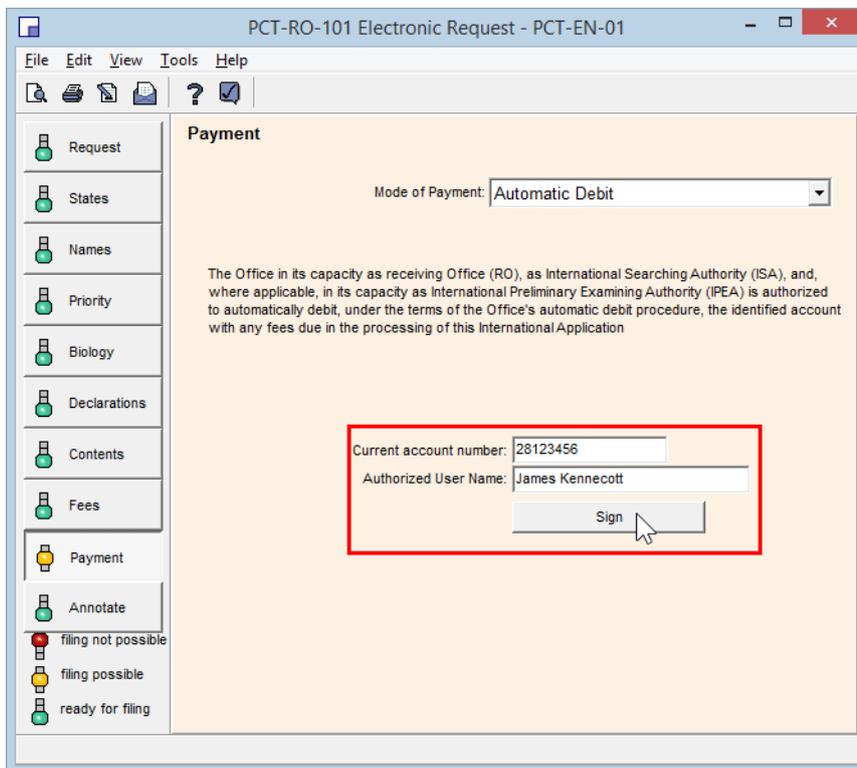


Figure 433: Payment by automatic debit

## Bank transfer

If applicable, select the check box **In addition, indicate current account authorisation.**

- Select the relevant authorisations for subsequent payments from your deposit account.
- Enter the EPO deposit account number in the **Current account number** field.
- Provide the authorised user name and signature; see Signing the deposit account authorisation (p. 333).

## Other

Enter information about your other payment method in the **Specify** field.

If applicable, select the check box **In addition, indicate current account authorisation.**

- Select the relevant authorisations for subsequent payments from your deposit account.
- Enter the EPO deposit account number in the **Current account number** field.
- Provide the authorised user name and signature; see Signing the deposit account authorisation (p. 333).

## No payment for the time being

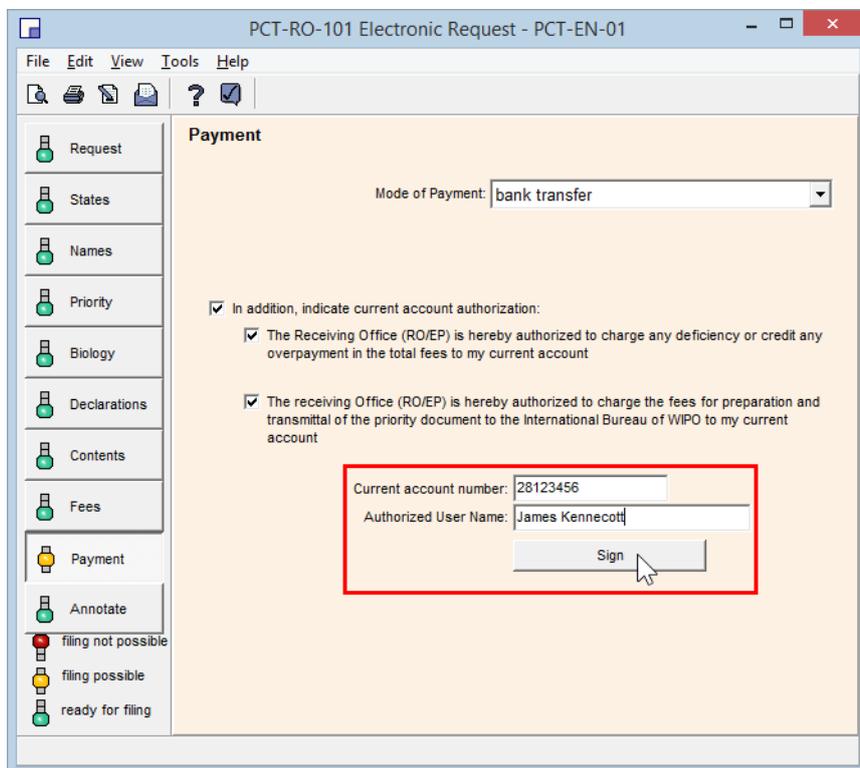
There are no further options.

### 10.10.1 Signing the deposit account authorisation

The signature of a person who is authorised to manage the deposit account is always required if you select one of the payment options using a specific EPO deposit account.

In the **Payment** tab, enter the **Authorized User Name**.

Click **Sign**.



The screenshot shows a software window titled "PCT-RO-101 Electronic Request - PCT-EN-01". The interface includes a menu bar (File, Edit, View, Tools, Help) and a toolbar. A left-hand navigation pane contains icons for Request, States, Names, Priority, Biology, Declarations, Contents, Fees, Payment (highlighted), Annotate, and a status section with "filing not possible", "filing possible", and "ready for filing". The main area is titled "Payment" and contains a "Mode of Payment" dropdown menu set to "bank transfer". Below this, there are three checked checkboxes for current account authorization: "In addition, indicate current account authorization:", "The Receiving Office (RO/EP) is hereby authorized to charge any deficiency or credit any overpayment in the total fees to my current account", and "The receiving Office (RO/EP) is hereby authorized to charge the fees for preparation and transmittal of the priority document to the International Bureau of WIPO to my current account". At the bottom, there are two text input fields: "Current account number: 28123456" and "Authorized User Name: James Kennecott". A "Sign" button is located below these fields and is highlighted with a red rectangular box.

Figure 434: Signing as the user authorised for the EPO deposit account

The **Signature** window opens; see Power of attorney document (p. 293).

Enter an alphanumeric signature or attach a file for a facsimile signature and click **Apply Signature**.

**i** 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.

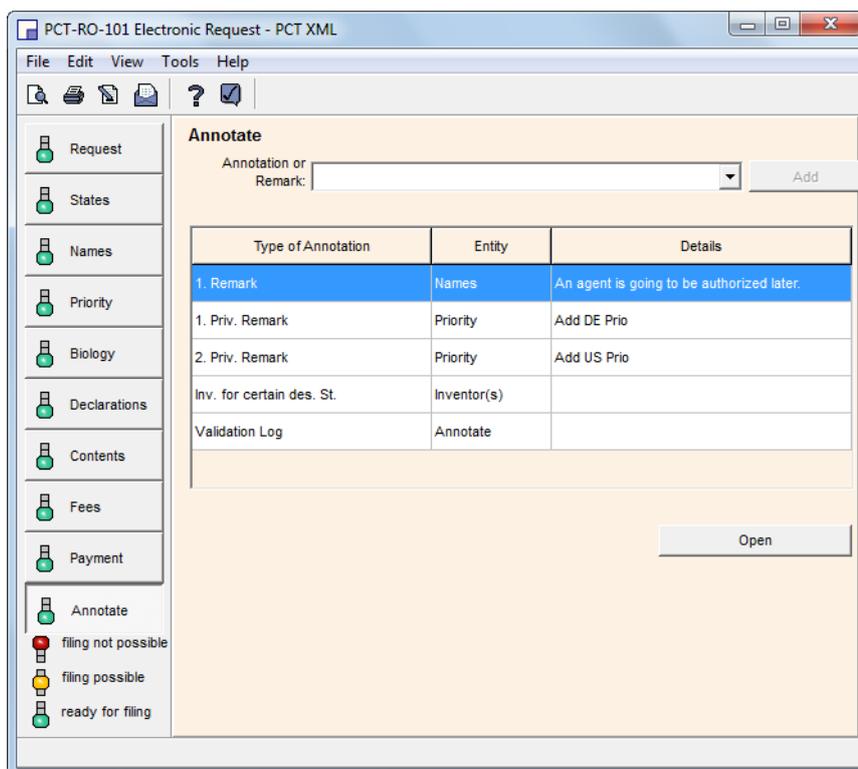


Figure 435: Remarks, private remarks, validation log and other annotations in the Annotate tab

### 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 436: 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.

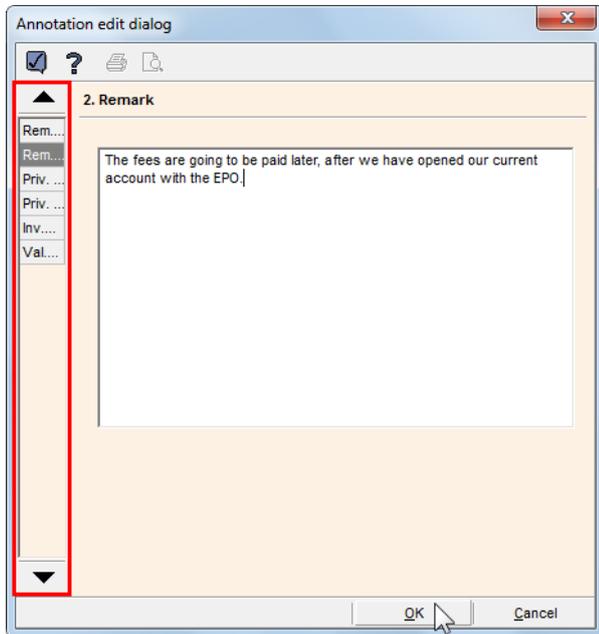


Figure 437: Creating a new remark

The remarks intended for the receiving office can be found in section 13 at the end of the PCT form.

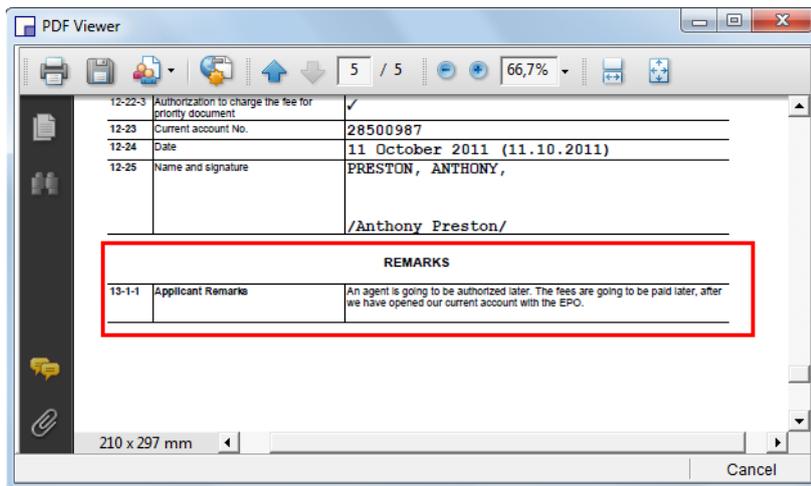


Figure 438: Applicant remarks in the form preview

## 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.

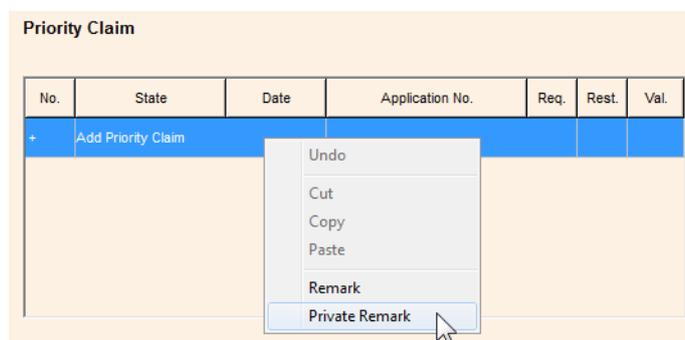


Figure 439: Adding a private remark referring to priority claims

## 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.

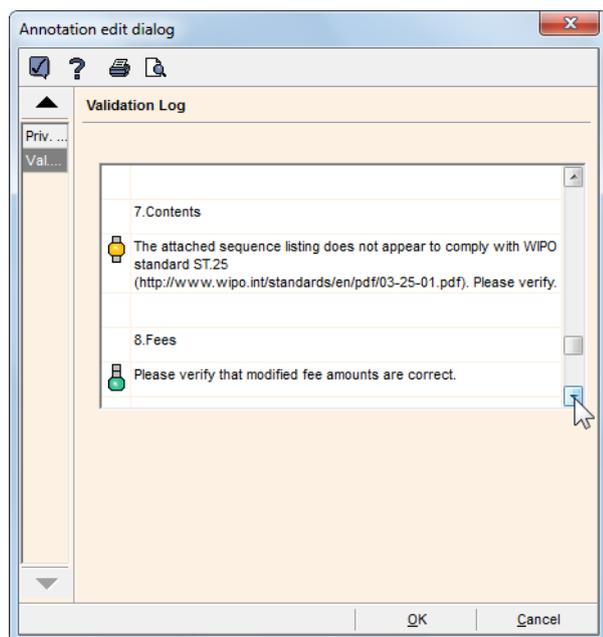


Figure 440: Viewing the Validation Log

If you cannot read the full text of the validation messages, click the **Preview** icon.



The Validation Log opens in the PDF Viewer.

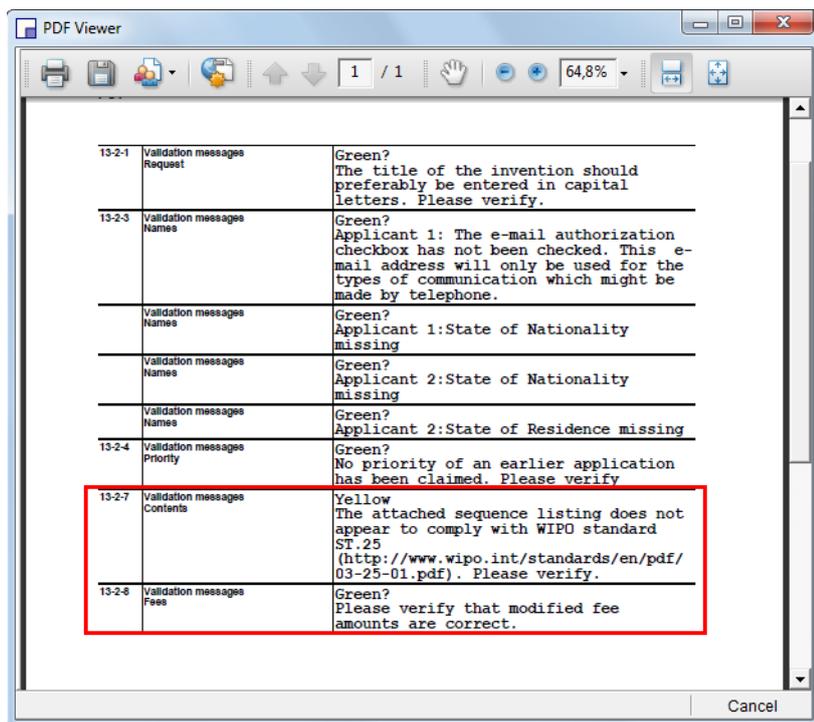


Figure 441: Validation Log showing messages

### 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.

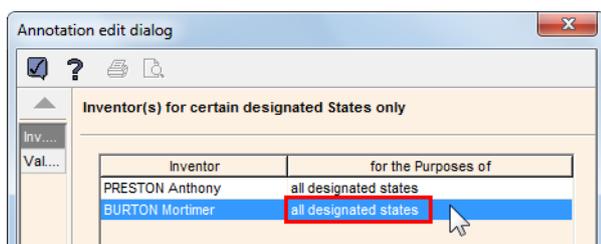


Figure 442: Editing designated states for an inventor

The **View/Change States** window opens.

Select the countries as appropriate; see the instructions under Applicant (p. 284).

The selected states are displayed in the list of inventors.

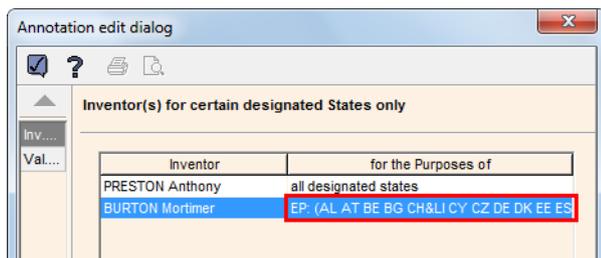


Figure 443: Designated states selected for one of the inventors

## 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.

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 and attached.

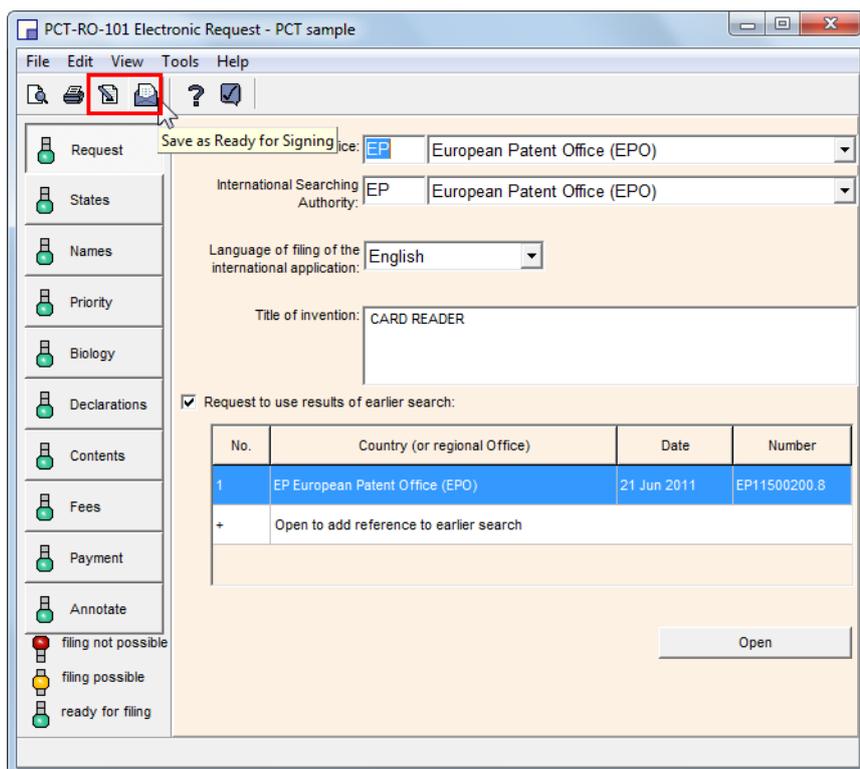


Figure 444: Application is ready for signing

### 10.12.1 Signing the form

Depending on the settings in the File Manager's User Preferences (see Confirmations (p. 56)), you can launch the signing process immediately from the PCT/RO/101 form or by using the workflow buttons in File Manager.

The option **Start signing immediately when moving application forward from draft status** triggers the following behaviour:

If that option **is not selected** (default), both the **Sign** button and the **Save as Ready for Signing** button will move the application to the **Ready to sign** status. You can then start the signing process from File Manager.

If that option **is selected**, the **Sign** button prepares the application for signature and opens the signing dialog immediately.

#### Preparing the form for signature (default setting)

Click the **Save as Ready for Signing** button in the form toolbar.

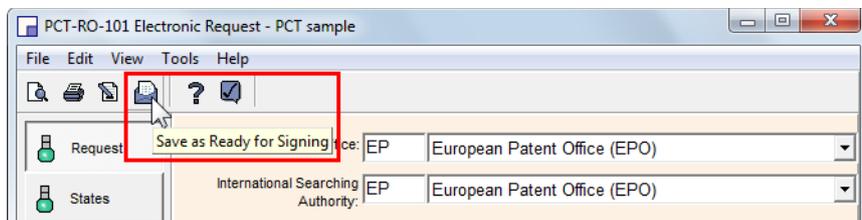


Figure 445: Starting the signing process from the form

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**.

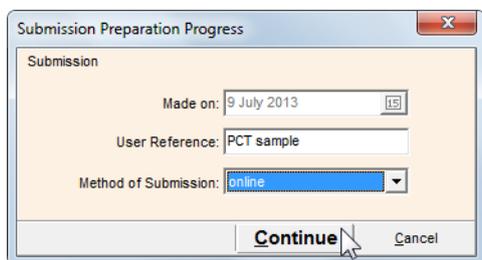


Figure 446: Preparing the application for submission

The data is saved, the form is rendered and the files are compressed and stored in the database.

Click **Continue**.

The form closes and you are returned to File Manager.

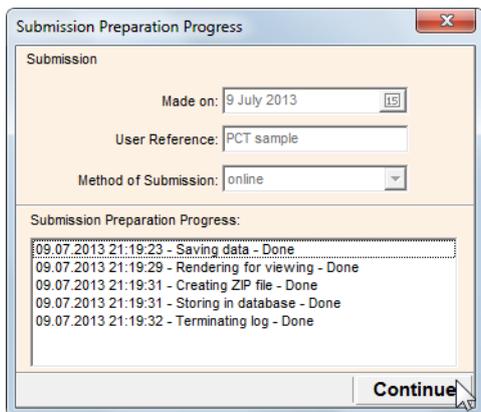


Figure 447: The application data has been prepared for submission

### Start signing from File Manager

The form is now in **Ready to sign** status.

Select the application and click the **Next** button (the tool-tip says "Sign").

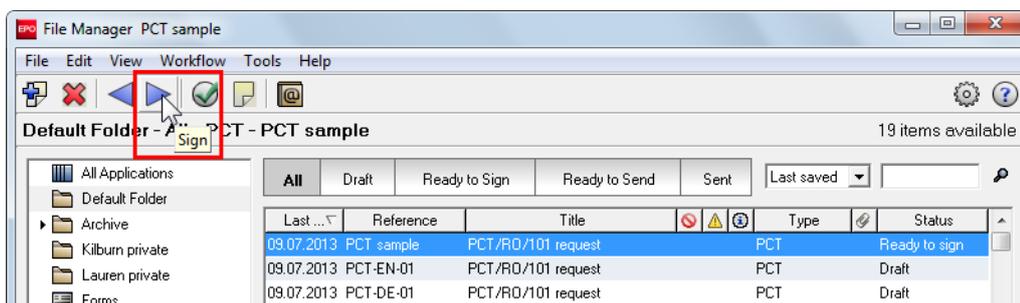


Figure 448: Launching the signing process from File Manager

The **PDF Viewer** opens.

Click **Sign Now** in the bottom right-hand corner.

Proceed as described in Signing applications (p. 88) in the Online Filing user guide or in the File Manager online help.

**i** 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** (<http://www.wipo.int/pct/en/>).

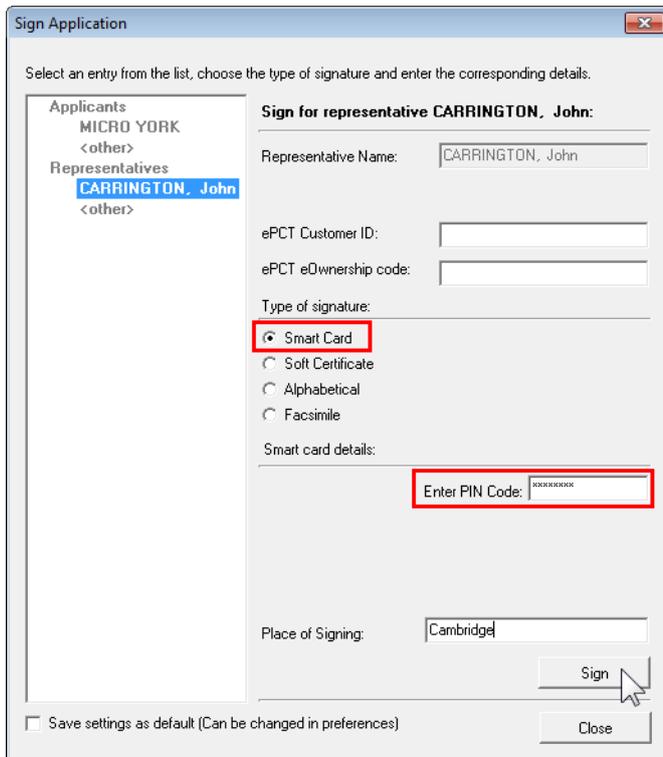


Figure 449: Representative signing the PCT/RO/101 application with his smart card

### 10.12.2 Sending the form

In File Manager, the application is in **Ready to send** status.

Select the application and click the **Next** workflow button (the tool-tip says "Send").

Proceed as described in Sending applications (p. 102) in the Online Filing user guide or in the File Manager online help.

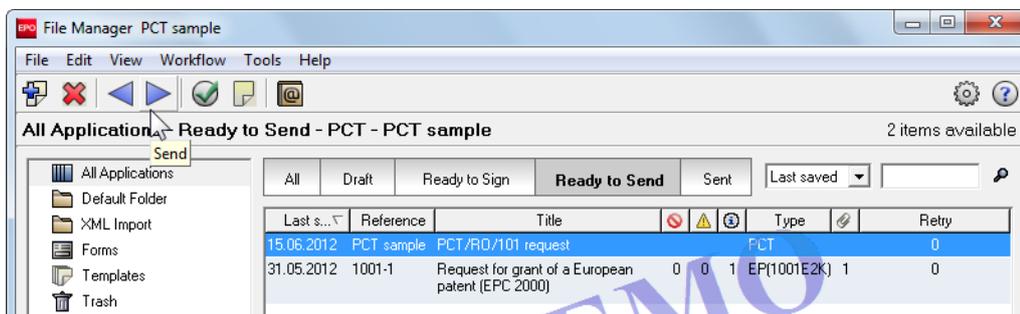


Figure 450: The application has moved from "Draft" to "Ready to send" status in File Manager

## Viewing submission information and the receipt

After the application has been sent, you can view it from File Manager. Both the submission information and the acknowledgement of receipt can be opened from the **Annotate** tab.

Type of Annotation	Entity	Details
Subm. Detail	Annotate	15 Jun 2012
Validation Log	Annotate	
Receipt information	Annotate	PCT/EP2012/090178; 15 Jun 2012

Figure 451: 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 File Manager and Server Manager, see Exporting data from Online Filing (p. 105) and Importing data into Online Filing (p. 110) 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:

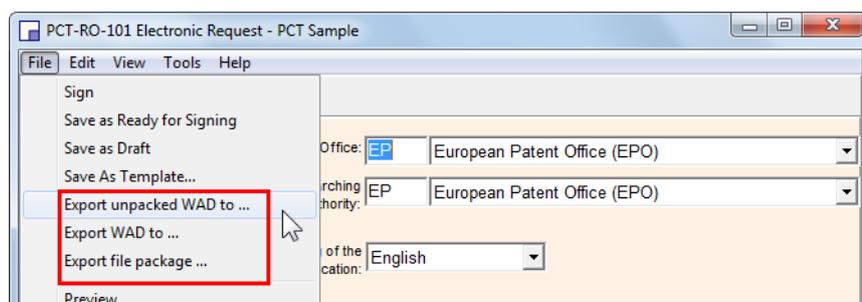


Figure 452: Export options in the File menu

#### Export unpacked WAD to ...

WAD stands for "wrapped application documents".

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.

## Export WAD to ...

The same data as above is packed into a ZIP archive file and stored in the selected location.

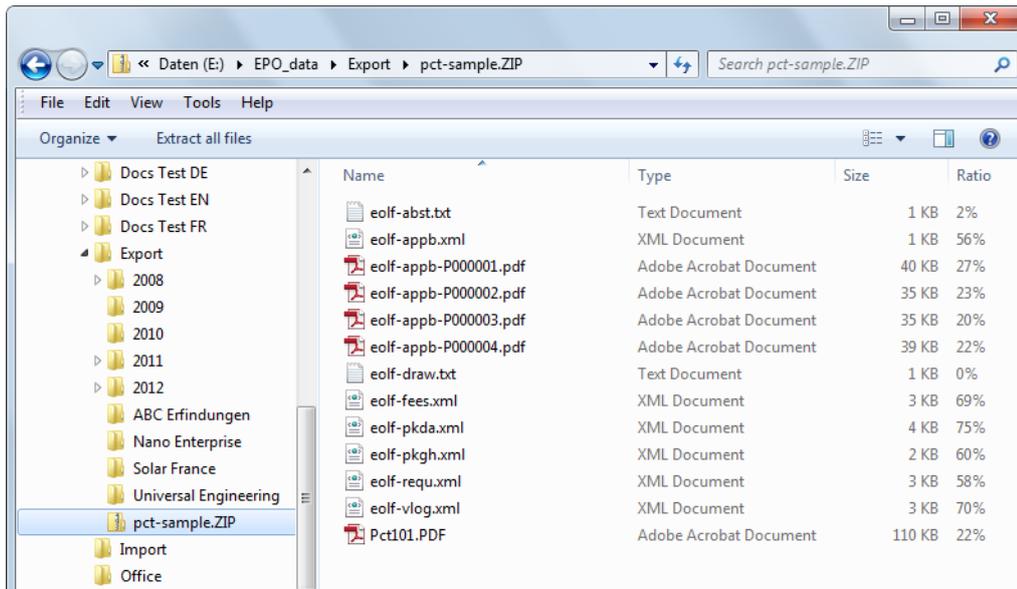


Figure 453: PCT/RO/101 application exported to WAD

## Export file package ...

This option corresponds to the **Export Forms** option in File Manager. It creates a ZIP archive containing the application form, the attached files and the accompanying items as XML and PDF files.

The text you entered for the figure accompanying the abstract is saved in a separate **draw.txt** file.

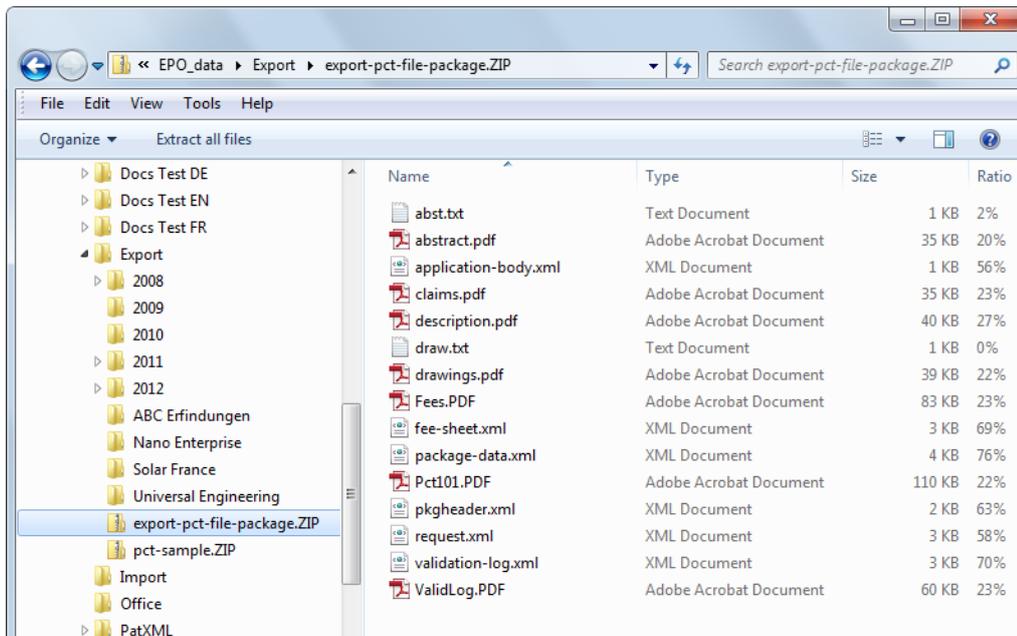


Figure 454: PCT/RO/101 application exported as file package

## 11. PCT-SFD

You can use Form PCT-SFD to file documents submitted after the filing of an international application under the Patent Cooperation Treaty (PCT). You can also use it to select the fees for the subsequently filed documents and the way you want to pay them. For more information about the PCT, see the WIPO website at **IP Services > PCT System > Treaty** (<http://www.wipo.int/pct/en/treaty/about.html>).



This document focuses on the EPO acting as Receiving Office (RO), International Searching Authority (ISA), International Preliminary Examining Authority (IPEA) or Supplementary International Searching Authority (SISA).

### Minimum requirements for subsequent filing with Form PCT-SFD

When filing with Form PCT-SFD, at least one of the following actions must be performed:

- attach a document
- select a fee payment and a mode of payment
- write an annotation.

### Completing Form PCT-SFD

Form PCT-SFD is organised into five tabs. The capacity in which the EPO is acting is selected in the **Application** tab and this governs the options in the **Documents** and **Fees** tabs. This is why you must start with the **Application** tab.

Tab	What you can do
<b>Application</b>	Select filing office and capacity in which it is acting, enter details of the PCT application to which the subsequently filed document(s) belong(s).
<b>Names</b>	Enter details on applicant and contact person. If the EPO is selected as the filing office in the <b>Application</b> tab, no data needs to be entered in the <b>Names</b> tab. The option for adding persons to the form will be disabled.
<b>Documents</b>	Attach the subsequently filed document(s).
<b>Fees</b>	Select fees and enter the mode of payment.
<b>Annotations</b>	Supply additional information for the EPO.

### Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. You must either manually fill out this field or 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 455: The "Filing Office" is a mandatory field in the "Application" tab and is marked with a red triangle

## Elements in Form PCT-SFD

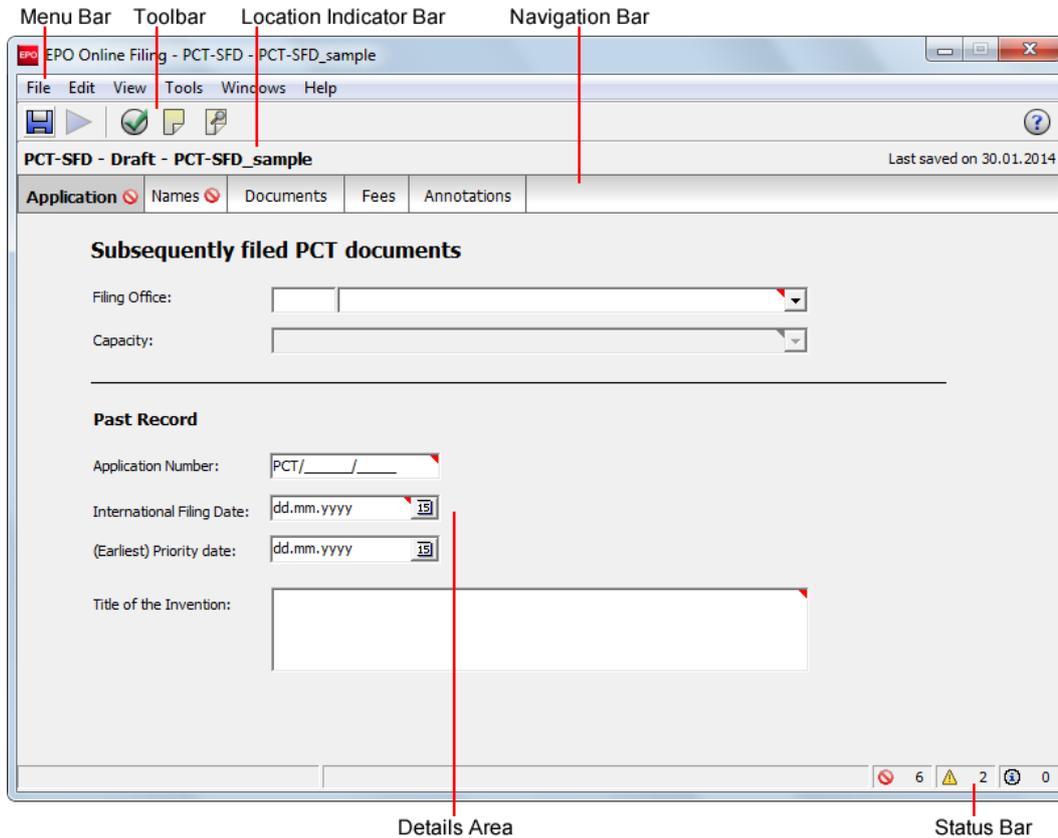


Figure 456: Form PCT-SFD – Overview

Element	Description
<b>Menu Bar</b>	Provides all options needed to edit, save, import and export drafts, set the display and change the status, as well as other tools.
<b>Toolbar</b>	Provides shortcuts to the most frequently used tasks and tools.
<b>Location Indicator Bar</b>	Shows the selected procedure, the current status and the user reference for the open draft.
<b>Navigation Bar</b>	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.
<b>Details Area</b>	Displays data entry fields appropriate to the selected tab.
<b>Status Bar</b>	Displays information about the current activity. Shows the total number of validation messages for the open draft.

## 11.1 PCT-SFD – Application

The **Application** tab is where you select the filing office and enter basic information about the international application for which the subsequently filed documents (SFD) are being filed.

The **Application** tab contains two sections:

- Filing office and capacity in which it is acting
- Past record

### 11.1.1 Filing office and capacity in which it is acting

This document outlines the use of Form PCT-SFD when the EPO is selected as the filing office. For information specific to one of the other filing offices, please refer to the national patent office concerned.

Select the EPO as filing office, either by entering the two-letter code **EP** into the first field or by selecting **European Patent Office** from the drop-down list.

Select the appropriate option from the **Capacity** drop-down list:

- Receiving Office (RO)
- International Searching Authority (ISA)
- International Preliminary Examining Authority (IPEA)
- Supplementary International Searching Authority (SISA)

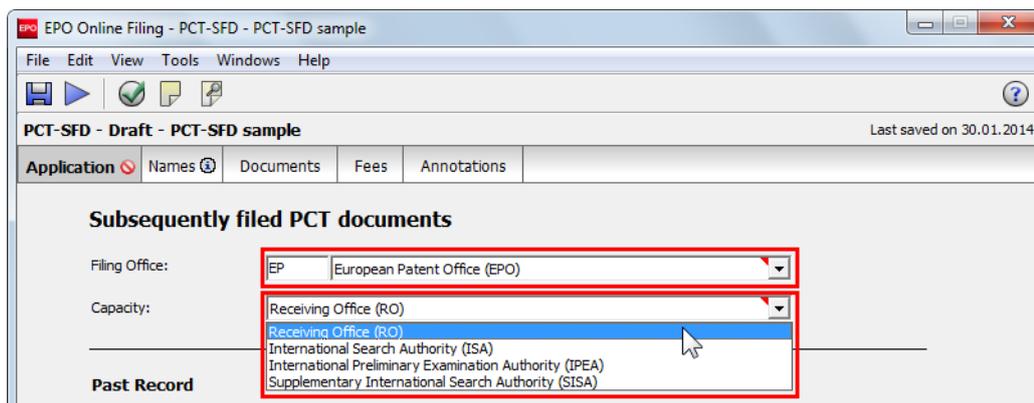


Figure 457: Selecting the EPO as filing office and selecting the capacity in which it is to act

**Note:**

- The types of documents that can be attached depend on the capacity in which the filing office is acting.
- You cannot attach documents before you have selected the filing office and the capacity in which it is to act.
- If you change the capacity in which the filing office is to act after you have attached documents, these will be detached.
- If you wish to file SFD to the EPO acting in a different capacity, please submit them as a separate filing.

**11.1.2 Past record**

The **Past Record** section provides entry fields for details of the international PCT application to which the SFD relate(s).

Enter the international **application number** of the PCT application.

This information is mandatory.

Enter the **international filing date** of the PCT application.

This information is mandatory.

- Clicking on the calendar icon on the right of the date boxes will open a calendar from which you can select the date.
- 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.

If a priority has been claimed for the PCT application, enter the **(earliest) priority date** (optional).

Enter the **title of the invention** exactly as specified in the PCT application (usually in block capitals).

This information is mandatory.

Once you have entered all the mandatory information, the red validation symbol will disappear from the **Application** tab in the navigation bar. However, a yellow validation icon is displayed if you do not supply the (earliest) priority date.

The screenshot shows the EPO Online Filing interface for a PCT-SFD draft. The 'Application' tab is selected and highlighted with a red box. The interface includes a menu bar (File, Edit, View, Tools, Windows, Help) and a toolbar. The main content area is divided into sections: 'Subsequently filed PCT documents' and 'Past Record'. In the 'Subsequently filed PCT documents' section, the 'Filing Office' is set to 'EP' (European Patent Office (EPO)) and the 'Capacity' is set to 'Receiving Office (RO)'. In the 'Past Record' section, the 'Application Number' is 'PCT/EP2013/123456', the 'International Filing Date' is '10 October 2013', the '(Earliest) Priority date' is '10 July 2013', and the 'Title of the Invention' is 'CARD READER'. The 'Application' tab is highlighted with a red box. The status bar at the bottom shows '0' for errors, '0' for warnings, and '1' for information.

Figure 458: Entering details on the PCT application to which the subsequently filed documents relate

## 11.2 PCT-SFD – Names

If the EPO has been selected as the filing office in the **Application** tab, no data needs to be entered in the **Names** tab. The **Add** button is disabled and a grey validation icon draws your attention to the relevant validation message.



If you want to specify details of any additions, changes or replacements to the parties to the application, please draft a letter to the EPO, have it signed and convert it into PDF. Then go to the **Documents** tab and attach the file under the appropriate category.

## 11.3 PCT-SFD – Priority

The document type "Request for retrieval of priority document via DAS" shall be added as type of document that can be subsequently filed, with an appropriate description.

The following should be observed:

- Documents of this type are classified as public.
- Multiple document types can be attached to the same application.
- The file type shall be named 'F1013P.pdf'

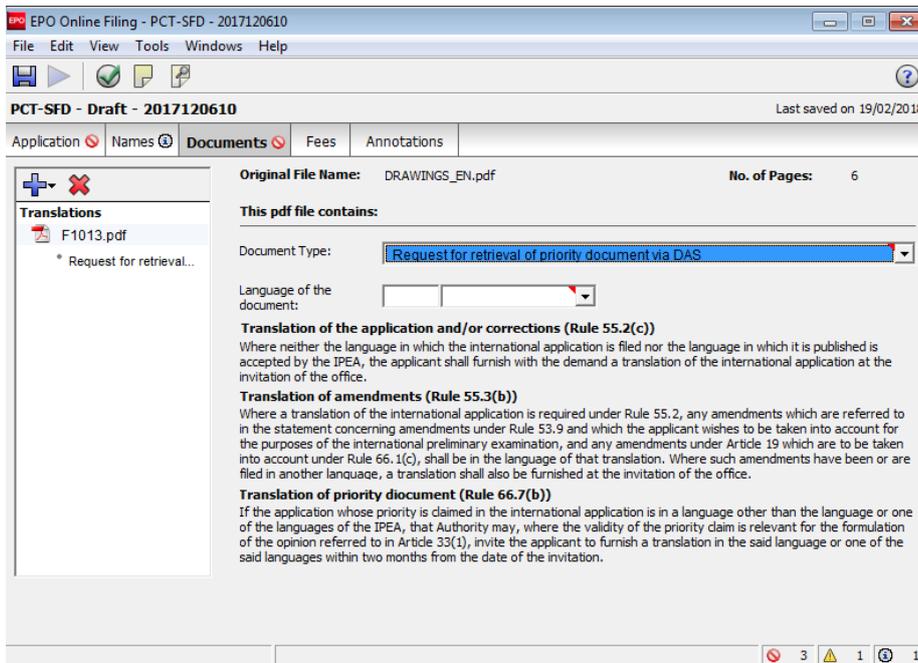


Figure 459: Document type Request for retrieval of priority document via DAS

## 11.4 PCT-SFD – Documents

The **Documents** tab of Form PCT-SFD is where you attach documents subsequent to your original filing. The attachment options are determined by the capacity in which the filing office is acting, as selected in the **Application** tab. As a result, specific document categories and document types become available in the **Documents** tab.

 Signing a PCT-SFD application in Online Filing does not automatically apply a signature to the attached documents. Before attaching the PDF files, you should therefore make sure that each document has been duly signed by the relevant person.

The following sections provide an overview of the document categories and document types applicable when filing with the EPO as:

- Receiving Office (RO)
- International Searching Authority (ISA)
- International Preliminary Examining Authority (IPEA)
- Supplementary International Searching Authority (SISA)

Specific document types cannot be filed with the EPO although it is possible to attach them; see the sections below for details.

#### 11.4.1 Documents filed with the Receiving Office (RO)



This list contains document types printed in italics and marked with the symbol **[N]**. Although these document types are options presented in Form PCT-SFD of the Online Filing software, they cannot be filed with the EPO. If you select one of these document types when attaching files to your application, a red validation icon will appear in the **Documents** tab. The related validation message informs you which of the attached documents should be removed.

##### Correction of defects (Article 11)

[www.wipo.int/pct/en/texts/articles/a11.htm](http://www.wipo.int/pct/en/texts/articles/a11.htm)

- Letter accompanying the replacement sheet(s)
- Missing claims
- Missing description
- Missing drawings or part thereof
- Missing part of claims
- Missing part of description

##### Correction and missing parts (Article 14)

[www.wipo.int/pct/en/texts/articles/a14.htm](http://www.wipo.int/pct/en/texts/articles/a14.htm)

- Later filed abstract
- Letter accompanying the replacement sheet(s)
- Missing signature (Letter)
- Missing title (Letter)

##### Rectification of obvious mistakes (Rule 91)

[www.wipo.int/pct/en/texts/rules/r91.htm](http://www.wipo.int/pct/en/texts/rules/r91.htm)

- Letter accompanying the rectification of obvious mistakes
- Rectified request
- Undefined rectification

## **Translations**

PCT Rule 12, [www.wipo.int/pct/en/texts/rules/r12.htm](http://www.wipo.int/pct/en/texts/rules/r12.htm)

- Translation of priority document
- Translation of the abstract
- Translation of the international application
- Translation of the textual parts of the drawings

## **Changes to indications in the request (Rule 92bis)**

[www.wipo.int/pct/en/texts/rules/r92bis.htm](http://www.wipo.int/pct/en/texts/rules/r92bis.htm)

- Changes to person, name or address of the agent
- Changes to person, name or address of the common representative
- Changes to person, name or address of the inventor
- Changes to person, name, residence, nationality or address of the applicant

## **Expressions, etc., not to be used (Rule 9)**

[www.wipo.int/pct/en/texts/rules/r9.htm](http://www.wipo.int/pct/en/texts/rules/r9.htm)

- Amended abstract removing matter disallowed
- Amended claims removing matter disallowed
- Amended description removing matter disallowed
- Amended drawings removing matter disallowed
- Letter accompanying the replacement sheet(s)
- Undefined correction

## **Priorities (Rules 17 and 26bis)**

[www.wipo.int/pct/en/texts/rules/r17.htm](http://www.wipo.int/pct/en/texts/rules/r17.htm)

[www.wipo.int/pct/en/texts/rules/r26bis.htm](http://www.wipo.int/pct/en/texts/rules/r26bis.htm)

- Correction or addition of a priority claim
- Request for restoration of priority rights (including evidence and witness statement)
- [N] Request to make the priority document available in WIPO Digital Access Service (DAS)

## Later filed documents



Later filed sequence listings can only be filed with the EPO in computer-readable format. Please select either **ST25** or **ST26** (according to the WIPO Standard applicable at the date of filing) as the file type when attaching the file to the application.

- Agent's letter
- Declarations
- Microorganisms form BP/4: acknowledgement of receipt by the IDA
- Microorganisms form BP/9: viability statement  
[www.wipo.int/export/sites/www/treaties/en/registration/budapest/guide/pdf/app3\\_budapest\\_for\\_ms.pdf](http://www.wipo.int/export/sites/www/treaties/en/registration/budapest/guide/pdf/app3_budapest_for_ms.pdf)
- Microorganisms form RO/134  
[www.wipo.int/export/sites/www/pct/en/forms/ro/editable/ed\\_ro134.pdf](http://www.wipo.int/export/sites/www/pct/en/forms/ro/editable/ed_ro134.pdf)
- [N] Request for certification of international application registration data
- Request for certified copies of the international application
- Sequence listings

## Earlier search (Rule 12bis)

[www.wipo.int/pct/en/texts/rules/r12bis.htm](http://www.wipo.int/pct/en/texts/rules/r12bis.htm)

- Application for which earlier search was performed
- Cited documents in earlier search
- Results of earlier search
- Translation of application for which earlier search was performed
- Translation of result of earlier search

## Regarding payment of fees

PCT Rule 16bis, [www.wipo.int/pct/en/texts/rules/r16bis.htm](http://www.wipo.int/pct/en/texts/rules/r16bis.htm)

- [N] Fee payment receipt (RO/ES only)
- Letter regarding automatic debiting of fees (RO/EP only)
- [N] Letter regarding payment of fees
- Request for refund of undue fees

## **Assignment**

PCT Rule 92bis, [www.wipo.int/pct/en/texts/rules/r92bis.htm](http://www.wipo.int/pct/en/texts/rules/r92bis.htm)

- Assignment

## **Power of attorney**

PCT Rule 90, [www.wipo.int/pct/en/texts/rules/r90.htm](http://www.wipo.int/pct/en/texts/rules/r90.htm)

- Power of attorney

## **Request for extension of time limit**

PCT Rule 16bis, [www.wipo.int/pct/en/texts/rules/r16bis.htm](http://www.wipo.int/pct/en/texts/rules/r16bis.htm)

- Request for extension of time limit

## **Incorporation by reference**

PCT Rule 20, [www.wipo.int/pct/en/texts/rules/r20.htm](http://www.wipo.int/pct/en/texts/rules/r20.htm)

- Copy of earlier application/priority document (for incorporation by reference)
- Copy of translation of earlier application/priority document (for incorporation by reference)
- New claims for incorporation by reference (Rule 20.6)
- New description for incorporation by reference (Rule 20.6)
- New drawings for incorporation by reference (Rule 20.6)
- New sequence listings for incorporation by reference (Rule 20.6)
- Notice confirming incorporation by reference of missing elements and parts

## **Substitute sheets (Rule 26)**

[www.wipo.int/pct/en/texts/rules/r26.htm](http://www.wipo.int/pct/en/texts/rules/r26.htm)

- Letter accompanying the replacement sheet(s)
- Substitute sheet(s) abstract (Rule 26)
- Substitute sheet(s) claims (Rule 26)
- Substitute sheet(s) description (Rule 26)
- Substitute sheet(s) drawings (Rule 26)
- Substitute sheet(s) request (Rule 26)

## **Withdrawals (Rule 90bis)**

[www.wipo.int/pct/en/texts/rules/r90bis.htm](http://www.wipo.int/pct/en/texts/rules/r90bis.htm)

- Withdrawal of application
- Withdrawal of designation
- Withdrawal of priority claim

## **Other document**

Communication in cases for which no other form is applicable

- Reply to any other invitation or notification (Form PCT/RO/132)  
[www.wipo.int/export/sites/www/pct/en/forms/ro/editable/ed\\_ro132.pdf](http://www.wipo.int/export/sites/www/pct/en/forms/ro/editable/ed_ro132.pdf)

## 11.4.2 Documents filed with the International Searching Authority (ISA)



This list contains document types printed in italics and marked with the symbol **[N]**. Although these document types are options presented in Form PCT-SFD of the Online Filing software, they cannot be filed with the EPO. If you select one of these document types when attaching files to your application, a red validation icon will appear in the **Documents** tab. The related validation message informs you which of the attached documents should be removed.

### Rectification of obvious mistakes (Rule 91)

[www.wipo.int/pct/en/texts/rules/r91.htm](http://www.wipo.int/pct/en/texts/rules/r91.htm)

- Letter accompanying the replacement sheet(s)
- [N] Rectification to amended claims
- [N] Rectification to amended description
- [N] Rectification to amended drawings
- [N] Rectification to amended sequence listing part of the description
- Rectified claims
- Rectified description
- Rectified drawings
- Rectified sequence listing part of the description
- [N] Undefined rectification

### Earlier search (Rule 12bis)

[www.wipo.int/pct/en/texts/rules/r12bis.htm](http://www.wipo.int/pct/en/texts/rules/r12bis.htm)

- Application for which earlier search was performed
- Cited documents in earlier search
- Results of earlier search
- Translation of application for which earlier search was performed
- Translation of result of earlier search

### Later furnished sequence listing (Rule 13ter)

PCT Rule 13ter.2, [www.wipo.int/pct/en/texts/rules/r13ter.htm](http://www.wipo.int/pct/en/texts/rules/r13ter.htm)



Later filed sequence listings can only be filed with the EPO in computer-readable format. Please select either **ST25** or **ST26** (according to the WIPO Standard applicable at the date of filing) as the file type when attaching the file to the application.

- Late furnished nucleotide and/or amino acid sequence
- Letter regarding the sequence listing
- Statement concerning the sequence listing

#### **Lack of unity of invention (Rule 40)**

[www.wipo.int/pct/en/texts/rules/r40.htm](http://www.wipo.int/pct/en/texts/rules/r40.htm)

- Reply to invitation to pay additional fees due to lack of unity of invention
- Request to review the opinion regarding the lack of unity of the invention

#### **Regarding payment of fees**

PCT Rule 16bis, [www.wipo.int/pct/en/texts/rules/r16bis.htm](http://www.wipo.int/pct/en/texts/rules/r16bis.htm)

- [N] Fee payment receipt (ISA/ES only)
- Letter regarding automatic debiting of fees (ISA/EP only)
- [N] Letter regarding payment of fees
- [N] Request for refund of undue fees

#### **Power of attorney**

PCT Rule 90, [www.wipo.int/pct/en/texts/rules/r90.htm](http://www.wipo.int/pct/en/texts/rules/r90.htm)

- Power of attorney

#### **Assignment**

PCT Rule 92bis, [www.wipo.int/pct/en/texts/rules/r92bis.htm](http://www.wipo.int/pct/en/texts/rules/r92bis.htm)

- [N] Assignment

#### **Request for extension of time limit**

PCT Rule 16bis, [www.wipo.int/pct/en/texts/rules/r16bis.htm](http://www.wipo.int/pct/en/texts/rules/r16bis.htm)

- Request for extension of time limit

#### **Comments regarding abstract**

PCT Rule 38.3, [www.wipo.int/pct/en/texts/rules/r38.htm#\\_38\\_3](http://www.wipo.int/pct/en/texts/rules/r38.htm#_38_3)

- Comments regarding the abstract

## Sequence listing free text (Rule 5.2b)

[www.wipo.int/pct/en/texts/rules/r5.htm#\\_5\\_2\\_b](http://www.wipo.int/pct/en/texts/rules/r5.htm#_5_2_b)

- Amended description with sequence listing free text added
- Letter accompanying the replacement sheet(s)

## Other document

Communication in cases for which no other form is applicable

- Reply to any other invitation or notification (Form PCT/ISA/224)  
[www.wipo.int/export/sites/www/pct/en/forms/isa/isa224.pdf](http://www.wipo.int/export/sites/www/pct/en/forms/isa/isa224.pdf)

### 11.4.3 Documents filed with the International Preliminary Examining Authority (IPEA)



This list contains document types printed in italics and marked with the symbol **[N]**. Although these document types are options presented in Form PCT-SFD of the Online Filing software, they cannot be filed with the EPO. If you select one of these document types when attaching files to your application, a red validation icon will appear in the **Documents** tab. The related validation message informs you which of the attached documents should be removed.

## Rectification of obvious mistakes (Rule 91)

[www.wipo.int/pct/en/texts/rules/r91.htm](http://www.wipo.int/pct/en/texts/rules/r91.htm)

- Letter accompanying the rectification of obvious mistakes
- Rectification of indeterminate type
- Rectification to amended claims
- Rectification to amended description
- Rectification to amended drawings
- Rectification to amended sequence listing
- Rectified claims
- Rectified description
- Rectified drawings
- Rectified sequence listing

## Amendments (Article 34 and Rule 60.1(g))

[www.wipo.int/pct/en/texts/articles/a34.htm](http://www.wipo.int/pct/en/texts/articles/a34.htm)

[www.wipo.int/pct/en/texts/rules/r60.htm#\\_60\\_1\\_g](http://www.wipo.int/pct/en/texts/rules/r60.htm#_60_1_g)

- Amended claims
- Amended description
- Amended drawings
- Amended sequence listing
- Letter accompanying the replacement sheet(s)
- Statement concerning the sequence listing

## Translations

PCT Rule 12, [www.wipo.int/pct/en/texts/rules/r12.htm](http://www.wipo.int/pct/en/texts/rules/r12.htm)

- Translation of amendments
- Translation of priority document
- Translation of the application and/or corrections

## Earlier search

PCT Rule 12bis, [www.wipo.int/pct/en/texts/rules/r12bis.htm](http://www.wipo.int/pct/en/texts/rules/r12bis.htm)

- Application for which earlier search was performed
- Cited documents in earlier search
- Results of earlier search
- Translation of application for which earlier search was performed
- Translation of result of earlier search

## Later furnished sequence listing (Rule 13ter)

[www.wipo.int/pct/en/texts/rules/r13ter.htm](http://www.wipo.int/pct/en/texts/rules/r13ter.htm)



Later filed sequence listings can only be filed with the EPO in computer-readable format. Please select either **ST25** or **ST26** (according to the WIPO Standard applicable at the date of filing) as the file type when attaching the file to the application.

- Late furnished nucleotide and/or amino acid sequence
- Letter regarding the sequence listing
- Statement concerning the sequence listing

#### **Lack of unity of invention (Rule 68)**

[www.wipo.int/pct/en/texts/rules/r68.htm](http://www.wipo.int/pct/en/texts/rules/r68.htm)

- Reply to invitation to pay additional fees due to lack of unity of invention
- Request to review the opinion regarding the lack of unity of the invention

#### **Regarding payment of fees**

PCT Rule 16bis, [www.wipo.int/pct/en/texts/rules/r16bis.htm](http://www.wipo.int/pct/en/texts/rules/r16bis.htm)

- [N] Fee payment receipt (IPEA/ES only)
- Letter regarding automatic debiting of fees (IPEA/EP only)
- [N] Letter regarding payment of fees
- Request for refund of undue fees

#### **Withdrawals (Rule 90bis)**

[www.wipo.int/pct/en/texts/rules/r90bis.htm](http://www.wipo.int/pct/en/texts/rules/r90bis.htm)

- Withdrawal of application
- Withdrawal of Demand
- Withdrawal of designation
- Withdrawal of election
- Withdrawal of priority claim

#### **Assignment**

PCT Rule 92bis, [www.wipo.int/pct/en/texts/rules/r92bis.htm](http://www.wipo.int/pct/en/texts/rules/r92bis.htm)

- Assignment

#### **Power of attorney**

PCT Rule 90, [www.wipo.int/pct/en/texts/rules/r90.htm](http://www.wipo.int/pct/en/texts/rules/r90.htm)

- Power of attorney

### **Request for extension of time limit**

PCT Rule 16bis, [www.wipo.int/pct/en/texts/rules/r16bis.htm](http://www.wipo.int/pct/en/texts/rules/r16bis.htm)

- Request for extension of time limit

### **Corrected Demand (Form PCT/IPEA/401) – Rules 60.1 a) – f)**

[www.wipo.int/pct/en/texts/rules/r60.htm#\\_60\\_1](http://www.wipo.int/pct/en/texts/rules/r60.htm#_60_1)

- Corrected demand (Form PCT/IPEA/401)  
[www.wipo.int/export/sites/www/pct/en/forms/demand/ed\\_demand.pdf](http://www.wipo.int/export/sites/www/pct/en/forms/demand/ed_demand.pdf)
- Letter accompanying the replacement sheet(s)

### **Comments and observations**

PCT Rule 66.3, [www.wipo.int/pct/en/texts/rules/r66.htm#\\_66\\_3](http://www.wipo.int/pct/en/texts/rules/r66.htm#_66_3)

- Reply to written opinion of the IPEA (Form PCT/IPEA/408)  
[www.wipo.int/export/sites/www/pct/en/forms/ipea/ipea408.pdf](http://www.wipo.int/export/sites/www/pct/en/forms/ipea/ipea408.pdf)
- Other comments and observations

### **Sequence listing free text (Rule 5.2b)**

[www.wipo.int/pct/en/texts/rules/r5.htm#\\_5\\_2\\_b](http://www.wipo.int/pct/en/texts/rules/r5.htm#_5_2_b)

- Amended description with sequence listing free text added
- Letter accompanying the replacement sheet(s)

### **Other document**

Communication in cases for which no other form is applicable

- Reply to any other invitation or notification (Form PCT/IPEA/424)  
[www.wipo.int/export/sites/www/pct/en/forms/ipea/ipea424.pdf](http://www.wipo.int/export/sites/www/pct/en/forms/ipea/ipea424.pdf)
- [N] Reply to request to indicate the competent IPEA (Form PCT/IPEA/442)  
[www.wipo.int/export/sites/www/pct/en/forms/ipea/ipea442.pdf](http://www.wipo.int/export/sites/www/pct/en/forms/ipea/ipea442.pdf)

#### 11.4.4 Documents filed with the Supplementary International Searching Authority (SISA)



This list contains document types printed in italics and marked with the symbol **[N]**. Although these document types are options presented in Form PCT-SFD of the Online Filing software, they cannot be filed with the EPO. If you select one of these document types when attaching files to your application, a red validation icon will appear in the **Documents** tab. The related validation message informs you which of the attached documents should be removed.

##### **Assignment**

PCT Rule 92bis, [www.wipo.int/pct/en/texts/rules/r92bis.htm](http://www.wipo.int/pct/en/texts/rules/r92bis.htm)

- Assignment

##### **Earlier search**

PCT Rule 12bis, [www.wipo.int/pct/en/texts/rules/r12bis.htm](http://www.wipo.int/pct/en/texts/rules/r12bis.htm)

- Application for which earlier search was performed
- Cited documents in earlier search
- Results of earlier search
- Translation of application for which earlier search was performed
- Translation of result of earlier search

##### **Regarding payment of fees**

PCT Rule 16bis, [www.wipo.int/pct/en/texts/rules/r16bis.htm](http://www.wipo.int/pct/en/texts/rules/r16bis.htm)

- [N] Letter regarding payment of fees

##### **Power of attorney**

PCT Rule 90, [www.wipo.int/pct/en/texts/rules/r90.htm](http://www.wipo.int/pct/en/texts/rules/r90.htm)

- Power of attorney

##### **Request for extension of time limit**

PCT Rule 16bis, [www.wipo.int/pct/en/texts/rules/r16bis.htm](http://www.wipo.int/pct/en/texts/rules/r16bis.htm)

- Request for extension of time limit

## Late furnished sequence listing

PCT Rule 13ter.2, [www.wipo.int/pct/en/texts/rules/r13ter.htm#\\_13ter\\_2\\_\\_1](http://www.wipo.int/pct/en/texts/rules/r13ter.htm#_13ter_2__1)

 Later filed sequence listings can only be filed with the EPO in computer-readable format. Please select either **ST25** or **ST26** (according to the WIPO Standard applicable at the date of filing) as the file type when attaching the file to the application.

Late furnished nucleotide and/or amino acid sequence

## Lack of unity of invention (Rule 13)

[www.wipo.int/pct/en/texts/rules/r13.htm](http://www.wipo.int/pct/en/texts/rules/r13.htm)

- Reply to invitation to pay additional fees for lack of unity of invention
- Request to review the opinion regarding the lack of unity of the invention

## Withdrawals (Rule 90bis)

[www.wipo.int/pct/en/texts/rules/r90.htm](http://www.wipo.int/pct/en/texts/rules/r90.htm)

- Withdrawal of request for supplementary search

### 11.4.5 Attaching PDF documents

To attach a document, you need to select a category in the first step. After selecting the required file from your computer, you can select the document type.

 If you are not sure which the correct category for your document is, please refer to the relevant section above (RO, ISA, IPEA or SISA).

This example demonstrates how to attach the missing claims for filing with the EPO as receiving Office.

In the **Documents** tab of PCT-SFD, click the **Add** button.

Select the appropriate category, e.g. **Correction of defects (Article 11)**.

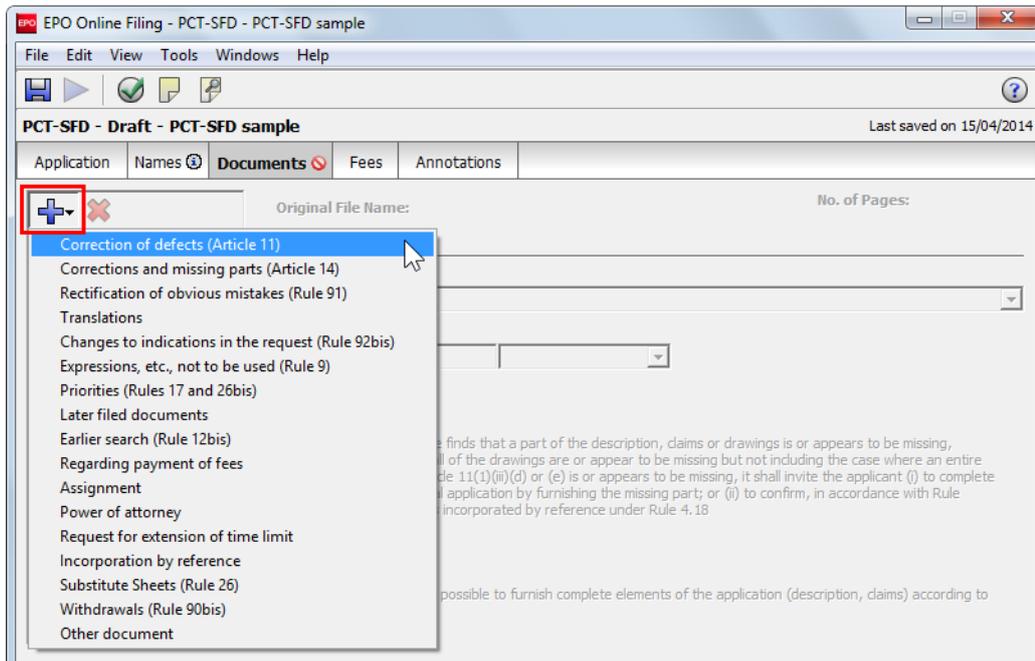


Figure 460: Selecting a document category

In the **Open** window, navigate to the storage location of your file.

Select the required file and click **Open**.

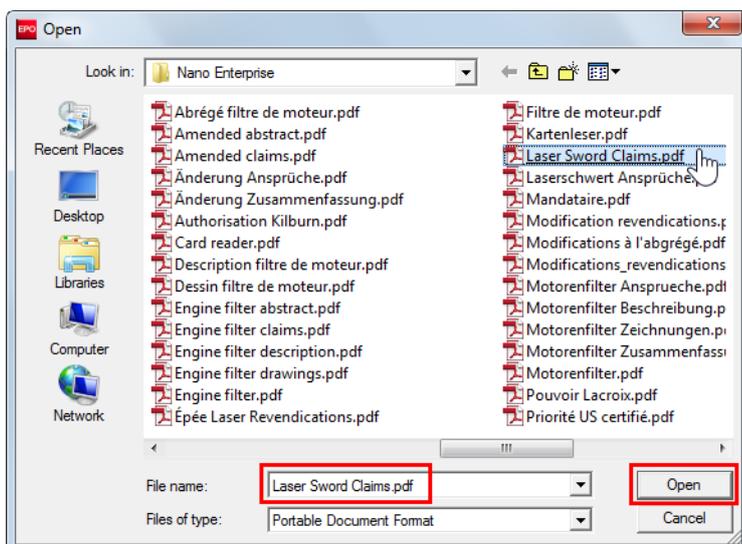


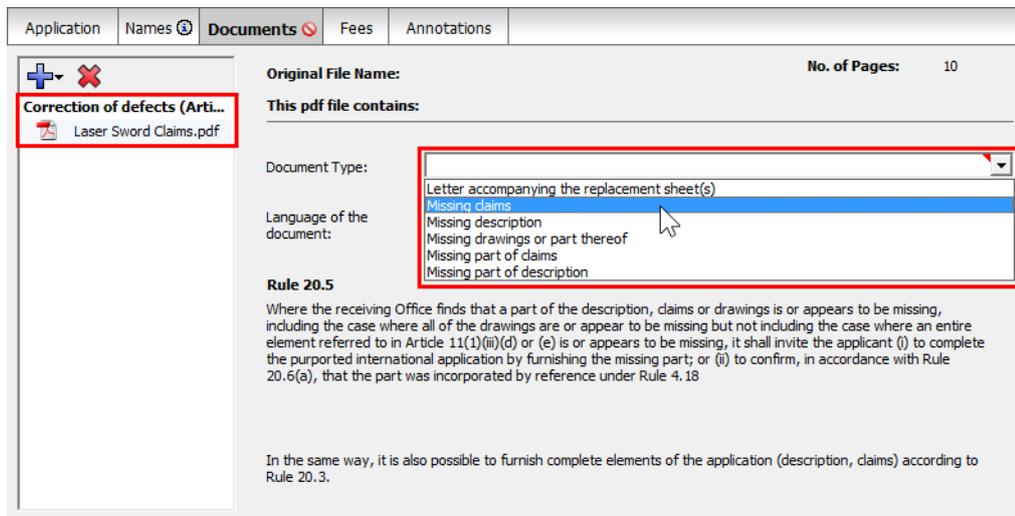
Figure 461: Selecting the PDF file to be attached

The file is attached to the application under its original file name.

The explanatory text on the lower right displays information on the PCT regulations relevant for the selected document category.

Select the appropriate document from the **Document type** drop-down list, e.g. **Missing claims**.

 Note that most document types can only be attached once.



Application Names Documents Fees Annotations

Original File Name: Laser Sword Claims.pdf No. of Pages: 10

This pdf file contains:

Document Type: Letter accompanying the replacement sheet(s)  
Missing claims  
Missing description  
Missing drawings or part thereof  
Missing part of claims  
Missing part of description

Language of the document:

**Rule 20.5**  
Where the receiving Office finds that a part of the description, claims or drawings is or appears to be missing, including the case where all of the drawings are or appear to be missing but not including the case where an entire element referred to in Article 11(1)(ii)(d) or (e) is or appears to be missing, it shall invite the applicant (i) to complete the purported international application by furnishing the missing part; or (ii) to confirm, in accordance with Rule 20.6(a), that the part was incorporated by reference under Rule 4.18

In the same way, it is also possible to furnish complete elements of the application (description, claims) according to Rule 20.3.

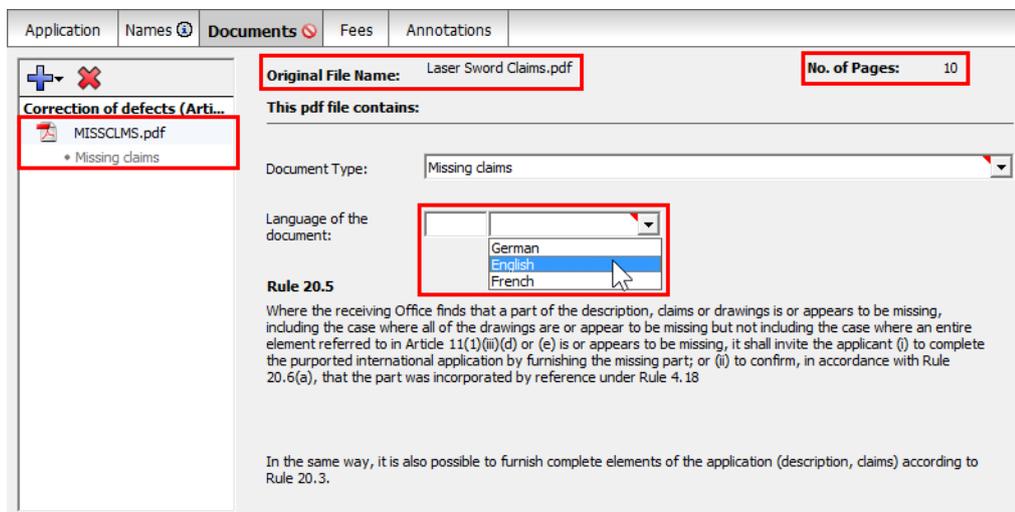
Figure 462: Selecting the document type for the attached PDF file

The file is renamed to the Online Filing default file name, e.g. **MISSCLMS.pdf**.

The original file name is also displayed at the top of the screen, along with the number of pages.

Select the **language of the document** (mandatory).

You can either type the two-letter language code (**EN**, **DE** or **FR**) into the field to the left or select the language from the drop-down list to the right.



Application Names Documents Fees Annotations

Original File Name: Laser Sword Claims.pdf No. of Pages: 10

This pdf file contains:

Document Type: Missing claims

Language of the document: German  
English  
French

**Rule 20.5**  
Where the receiving Office finds that a part of the description, claims or drawings is or appears to be missing, including the case where all of the drawings are or appear to be missing but not including the case where an entire element referred to in Article 11(1)(ii)(d) or (e) is or appears to be missing, it shall invite the applicant (i) to complete the purported international application by furnishing the missing part; or (ii) to confirm, in accordance with Rule 20.6(a), that the part was incorporated by reference under Rule 4.18

In the same way, it is also possible to furnish complete elements of the application (description, claims) according to Rule 20.3.

Figure 463: Selecting the language for the attached document

## Document types blocked by the EPO

If you attach a document type which is not accepted by the EPO acting as the selected capacity, a red validation icon appears in the **Documents** tab.

Open the validation messages to see which of the documents should be removed.

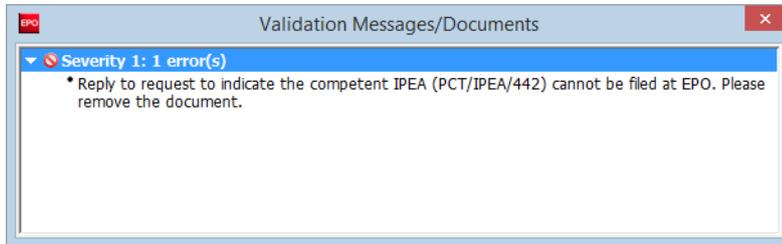


Figure 464: A document which is blocked by the EPO has been attached

### 11.4.6 Attaching sequence listings

**i** Sequence listings must always be submitted in computer-readable format in accordance with WIPO Standard ST.25 or ST.26 as applicable. If you attach a sequence listing in PDF when filing with the EPO as ISA, IPEA or SISA, a red validation icon is displayed in the **Documents** tab.

In the **Documents** tab of PCT-SFD, click the **Add** button.

Select the appropriate category:

- **Later filed documents** if the EPO is acting as RO
- **Later furnished sequence listing (Rule 13ter) in Annex C/ST25** if the EPO is acting as ISA, IPEA or SISA and the sequence listing to be submitted is in ST.25 format
- **Later furnished sequence listing (Rule 13ter) in Annex C/ST26** if the EPO is acting as ISA, IPEA or SISA and the sequence listing to be submitted is in ST.25 format

In the **Open** window, navigate to the storage location of your file.

Change the option in the **Files of type** drop-down list from **Portable Document Format** (default) to **Sequence listing in ST25** (file type .txt, .seq, .app or .zip) or **Sequence listing in ST26** (file type .xml or .zip).

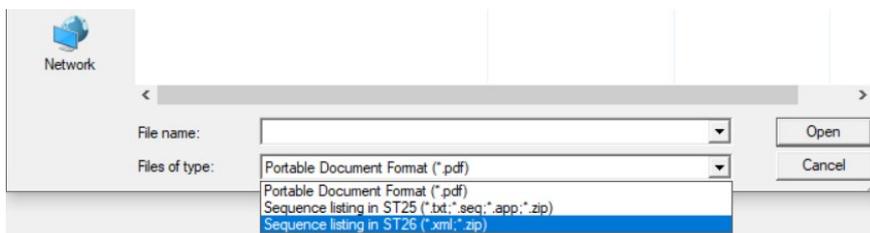


Figure 465: Selecting the correct file type when attaching a sequence listing file

Select the required file and click **Open**.

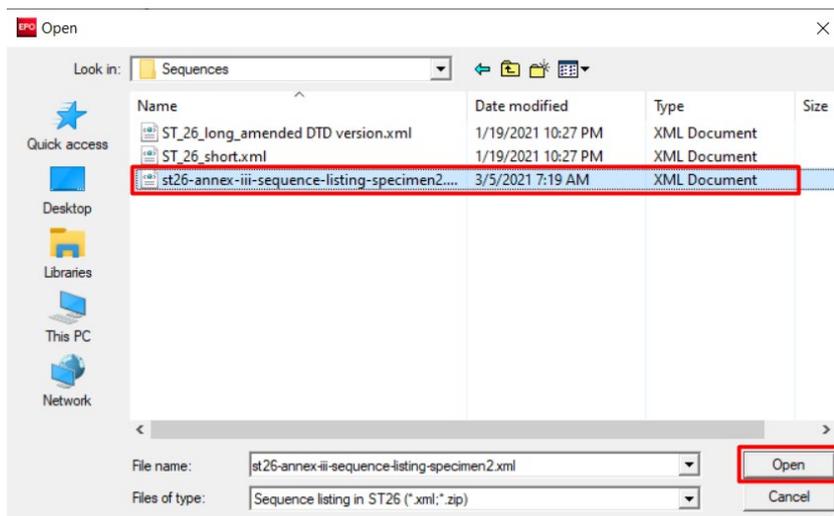


Figure 466: Attaching a sequence listing as an ST26 XML file

The file is attached to the application under its original file name.

Select the appropriate document from the **Document Type** drop-down list:

- **Sequence Listing in Annex C** if the EPO is acting as RO
- **Late furnished nucleotide and/or amino acid sequence** if the EPO is acting as ISA, IPEA or SISA

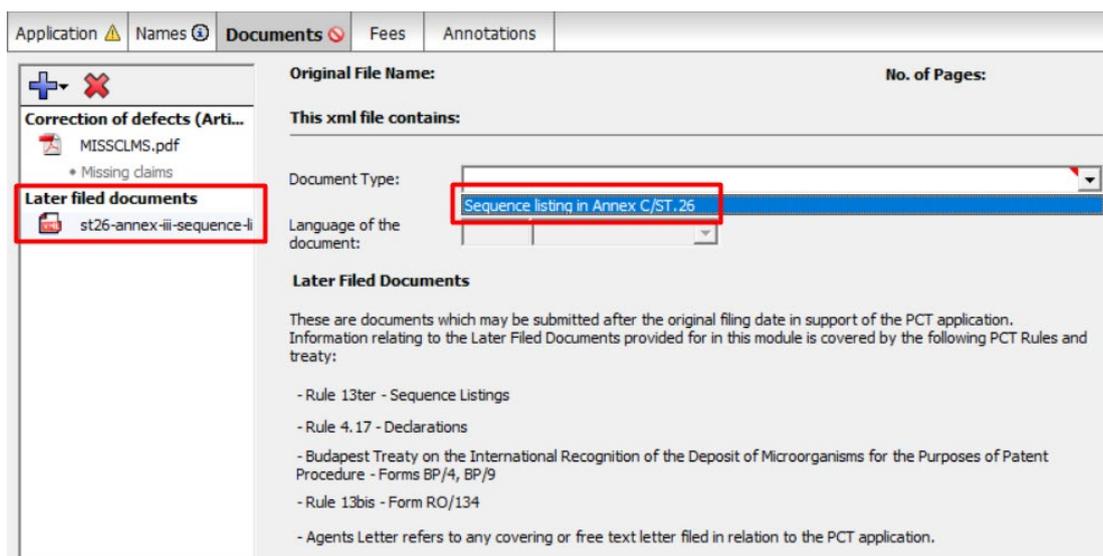
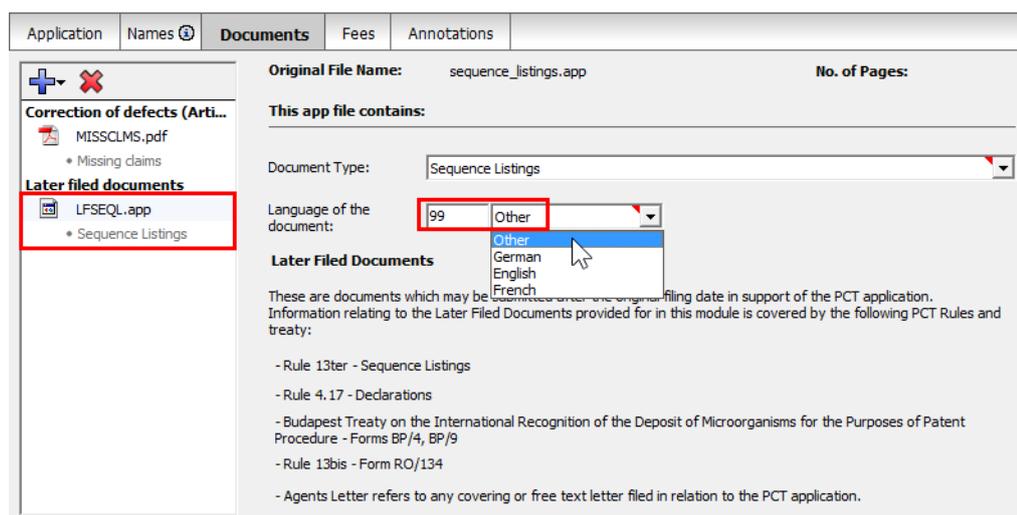


Figure 467: Selecting the document type for the attached sequence listing file

The file is renamed to the Online Filing default file name.

Select "Other" in **Language of the document**, if the option is available (otherwise, select any other language from the list).



The screenshot shows the 'Documents' tab in the EPO Online Filing interface. The 'Original File Name' is 'sequence\_listings.app' and the 'No. of Pages' is blank. The 'Document Type' is 'Sequence Listings'. The 'Language of the document' dropdown menu is open, showing options: '99', 'Other', 'German', 'English', and 'French'. The 'Other' option is selected. The 'Later Filed Documents' section is also visible, listing various rules and treaties.

Figure 468: Selecting "Other" as the language for the attached sequence listing file

 Note that, when selecting to submit a ST.26 sequence listing as ZIP, the provided ZIP file must contain a single ST.26-compliant XML file. If the attached ZIP package contains none or multiple XML files, it will be rejected and a validation error message will be displayed.

#### 11.4.7 Viewing attached documents

You can check your application and the attached documents in the print preview.

Click the **Preview** button in the toolbar.



The application (**pct-sfd.pdf**) is displayed in the **PDF Viewer**.

Section 3 of the form contains the attached documents with their original file names. The list is grouped by category.

The left pane in the PDF Viewer lists all the files with their system names.

Click a file name to the left to display the corresponding document in the PDF Viewer.

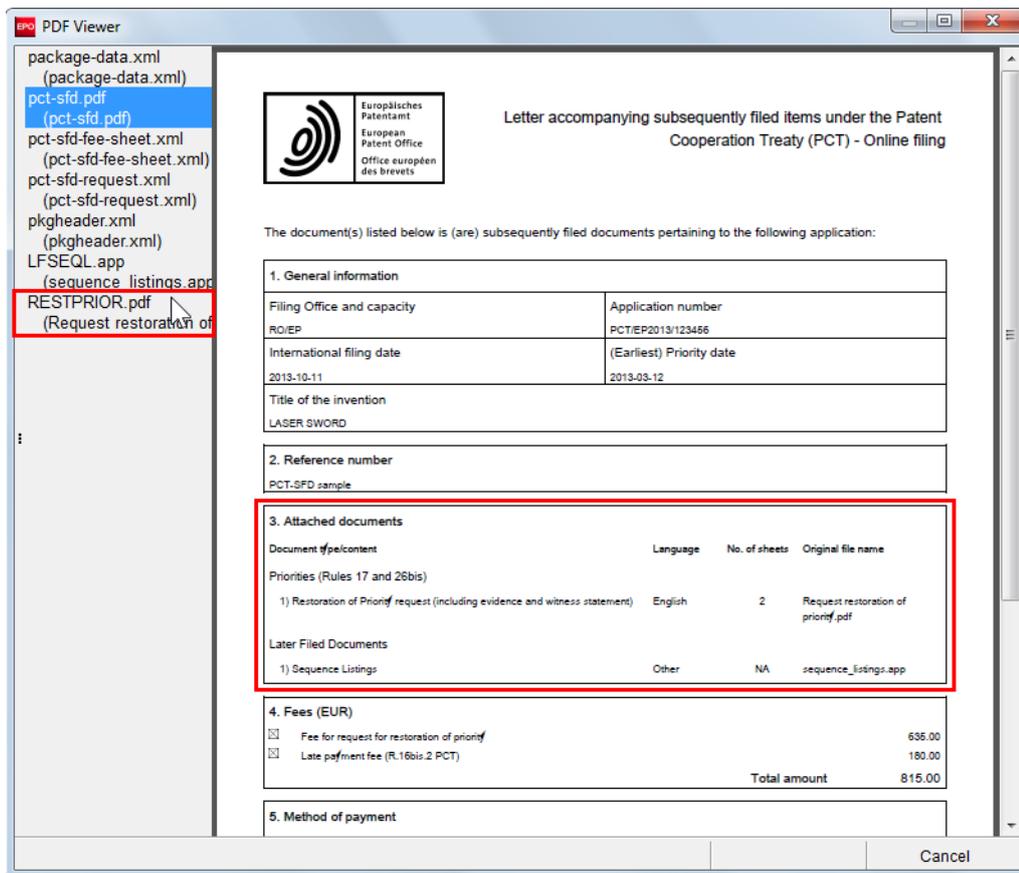


Figure 469: Previewing the form in the PDF Viewer

## 11.5 PCT-SFD – Fee Payment

In the **Fees** tab you can select the fees associated with your application and indicate how you wish to pay them. All fees must be paid in euros.

The fees displayed in the **Fees** 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>).

### 11.5.1 Payment details

In the **Payment details** sub-tab you can specify the mode of payment and provide further details required by the EPO.

#### Mode of payment

Select the appropriate option from the **Mode of payment** list.

- **Automatic debit**

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.

- **Bank transfer**

The EPO accepts EUR payments to its account with the Commerzbank AG in Munich, Germany. The IBAN and BIC codes of the EPO's bank account are supplied automatically when you select **DE, Commerzbank AG, München** from the drop-down list.

- **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.

- **Credit card**

All payments by credit card must be made via the dedicated EPO fee payment service on the EPO website at **Applying for a patent > Online services > Paying fees online > Pay by credit card** (<https://epo.org/fee-payment-service/en/login>).

Choosing this mode of payment in the Payment details sub-tab is considered merely an indication of how you intend to pay.

- **Not specified**

If you do not intend to pay fees with this submission, you can indicate **Not specified**.

For more information on EPO deposit accounts and the automatic debiting procedure, please refer to the Official Journal:

- Arrangements for deposit accounts (ADA) Supplementary publication 3/2015, p. 8-16 (<http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p8.html>)
- Notice from the European Patent Office dated 12 February 2015 concerning revision of the Arrangements for deposit accounts (ADA) and their annexes Supplementary publication 3/2015, p. 2-7 (<http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p2.html>)
- Decision of the President of the European Patent Office dated 29 September 2016 revising points 5.3 and 7 of the Arrangements for deposit accounts (ADA) OJ EPO 2016, A83 (<http://www.epo.org/law-practice/legal-texts/official-journal/2016/10/a83.html>)

### **Automatic debit**

If you are filing with the EPO acting as RO, ISA or IPEA, you can use the **automatic debit** procedure. **Automatic debiting** is not allowed if you are filing with the EPO acting as SISA.

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**.

### **Debit from deposit account**

An EPO deposit account is required to use the option **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**.

If applicable, select the check box **Authorisation to charge any deficiency or credit any overpayment in the total fees**.

EPO Online Filing - PCT-SFD - SFD-EN-fee-RO

File Edit View Tools Windows Help

PCT-SFD - Draft - SFD-EN-fee-RO Last saved on 25/02/2020

Application Names Documents **Fees** Annotations

Fee selection Payment details

Method of Payment: Debit from deposit account Currency: EUR

The European Patent Office is hereby authorised to debit from the deposit account with the EPO any fees and costs indicated:

Deposit account number: 28123456

Account holder: IP Partners

Authorisation to charge any deficiency or credit any overpayment in the total fees

Reimbursement, if any, to be made to deposit account with the EPO: 28

Account holder:

3 1 1

EPO Online Filing - PCT-SFD - SFD-EN-fee-RO

File Edit View Tools Windows Help

PCT-SFD - Draft - SFD-EN-fee-RO Last saved on 20/09/2016

Application Names Documents **Fees** Annotations

Fee selection Payment details

Mode of Payment: Debit from deposit account Currency: EUR

The European Patent Office is hereby authorised to debit from the deposit account with the EPO any fees and costs indicated:

Deposit account number: 28123456

Account holder: IP Partners

Authorisation to charge any deficiency or credit any overpayment in the total fees

0 0 1

Figure 470: Deposit account data entered

## Further options

The **Payment details** sub-tab offers some additional options at the bottom of the screen.

If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, select the corresponding check box.

This information applies to all selected modes of payment. 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 and supply the account holder's name.

### 11.5.2 Fee selection

The fees payable are determined by the capacity in which the EPO is acting, as selected in the **Application** tab.

In the **Fee selection** sub-tab, you can select all fees individually, including late payment fees, and apply the reduction for low-income countries for eligible applicants. For more information, see the following chapters.

#### Fees payable when submitting specific documents

There is no automatic fee selection when you attach a specific document in the **Documents** tab. The validation messages inform you which fee should be paid in relation to the attached document.

For example, if you attach a request for restoration of priority rights (**RESTPRIOR.pdf**), fee **013EP** is due when filing with the EPO acting as Receiving Office.

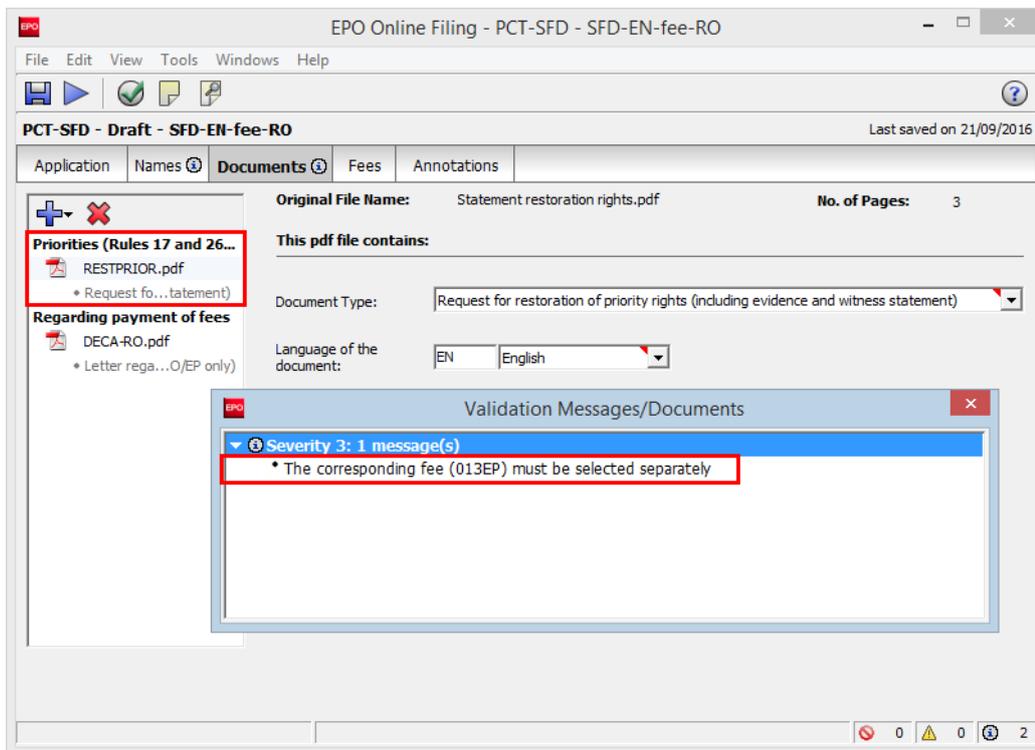


Figure 471: Fee 013EP is due when filing a request for restoration of priority rights

To select the corresponding fee, go to the **Fee selection** sub-tab.

The total of fees is automatically calculated.

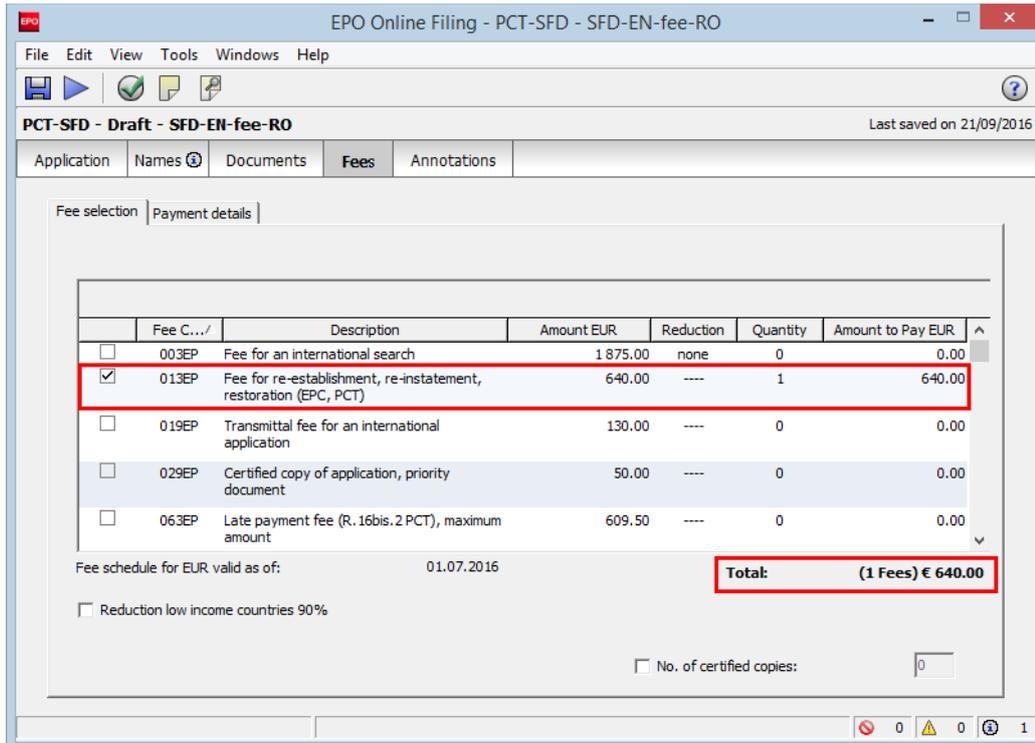


Figure 472: Selecting fees payable to the EPO acting as RO

### 11.5.3 Fees payable to the Receiving Office (RO)

In the **Fee selection** sub-tab, select the fees you wish to pay.

The quantity of each selected fee is set to **1** and the total amount payable is automatically calculated.

If you select the fee **029EP – Certified copy (application, priority document, patent certificate, other documents)**, the check box for **No. of certified copies** at the bottom right is automatically selected (and vice versa) and the corresponding entry field is activated.

Enter the number of certified copies you wish to pay for (mandatory).

The total amount payable is automatically calculated.

Fee C.../	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input type="checkbox"/> 003EP	Fee for an international search	1 875.00	none	0	0.00
<input type="checkbox"/> 013EP	Fee for re-establishment, re-instatement, restoration (EPC, PCT)	640.00	----	0	0.00
<input type="checkbox"/> 019EP	Transmittal fee for an international application	130.00	----	0	0.00
<input checked="" type="checkbox"/> 029EP	Certified copy of application, priority document	50.00	----	2	100.00
<input type="checkbox"/> 063EP	Late payment fee (R. 16bis.2 PCT), maximum amount	609.50	----	0	0.00

Fee schedule for EUR valid as of: 01.07.2016 **Total: (1 Fees) € 100.00**

Reduction low income countries 90%

No. of certified copies:

Figure 473: Entering the number of certified copies of the application when filing with the EPO acting as RO

### Applying reductions

A 90% reduction for applicants from low-income countries can be applied to fees 222EP, 225EP, 316EP, 318EP and 319EP. Furthermore, the EPO offers a fee reduction for filing an application online, depending on the method of submission.

If appropriate, select the check box **Reduction low income countries 90%**.

The reduction is applied to the fees you selected.

If you wish to get the reduction for online filing, select one of these fees:

- **316EP – PCT – Web form filing reduction**
- **318EP – PCT- PDF reduction**
- **319EP – PCT- XML reduction**

You can only select one of the fees.

The quantity of the selected fee is set to **-1**, i.e. the amount becomes negative and is subtracted from the total amount payable. If you only select one of the fees **316EP**, **318EP** or **319EP**, the total amount will be negative, which is correct.

Fee C.../	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input type="checkbox"/> 063EP	Late payment fee (R.16bis.2 PCT), maximum amount	609.50	---	0	0.00
<input checked="" type="checkbox"/> 222EP	PCT charge per sheet in excess of 30	14.00	90%	0	0.00
<input checked="" type="checkbox"/> 225EP	International filing fee	1 219.00	90%	1	121.90
<input checked="" type="checkbox"/> 316EP	PCT - Web-form filing reduction	92.00	90%	-1	-9.20
<input type="checkbox"/> 318EP	PCT - PDF reduction	183.00	90%	0	0.00
<input type="checkbox"/> 319EP	PCT - XML reduction	275.00	90%	0	0.00

Fee schedule for EUR valid as of: 01.07.2016 **Total: (3 Fees) € 112.70**

Reduction low income countries 90%

No. of certified copies:

Figure 474: Selecting fee reductions applicable when filing with the EPO acting as RO

#### 11.5.4 Fees payable to the International Searching Authority (ISA)

In the **Fee selection** tab, select the fees you wish to pay.

The quantity of each selected fee is set to **1** and the total amount payable is automatically calculated.

If you select the fee **003EP – Fee for an international search**, the check box for **Tick here if you wish to pay fees for lack of unity of invention** at the bottom left is automatically selected (and vice versa) and the field **No. of independent inventions** below is activated.

Enter the number of independent inventions (mandatory).

The total amount payable is automatically calculated.

	Fee C.../	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input checked="" type="checkbox"/>	003EP	Fee for an international search	1 875.00	none	3	5 625.00
<input type="checkbox"/>	062EP	Protest fee	875.00	----	0	0.00
<input type="checkbox"/>	066EP	Fee for late furnishing of sequence listings (R. 13ter. 1, 13ter. 2 PCT)	230.00	----	0	0.00

Fee schedule for EUR valid as of: 01.07.2016

Reduction low income countries 75%

Tick here if you wish to pay fees for lack of unity of invention

No. of independent inventions: 3

**Total: (1 Fees) € 5 625.00**

Figure 475: Entering the number of independent inventions to calculate the fee for an international search when filing with the EPO acting as ISA

## Applying reductions

A 75% reduction for applicants from low income countries can be applied to fee **003EP**.

If appropriate, select the check box **Reduction low income countries 75%**.

The reduction is applied to the fee and the total amount payable is automatically calculated.

	Fee C.../	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input checked="" type="checkbox"/>	003EP	Fee for an international search	1 875.00	75%	3	1 406.25
<input type="checkbox"/>	062EP	Protest fee	875.00	----	0	0.00
<input checked="" type="checkbox"/>	066EP	Fee for late furnishing of sequence listings (R. 13ter. 1, 13ter. 2 PCT)	230.00	----	1	230.00

Fee schedule for EUR valid as of: 01.07.2016

Reduction low income countries 75%

Tick here if you wish to pay fees for lack of unity of invention

No. of independent inventions: 3

**Total: (2 Fees) € 1 636.25**

Figure 476: Applying the reduction for low-income countries when filing with the EPO acting as ISA

### 11.5.5 Fees payable to the International Preliminary Examining Authority (IPEA)

In the **Fee selection** tab, select the fees you wish to pay.

The quantity of each selected fee is set to **1** and the total amount payable is automatically calculated.

The quantity for fee 021EP – Fee for preliminary examination of int. application cannot be edited.

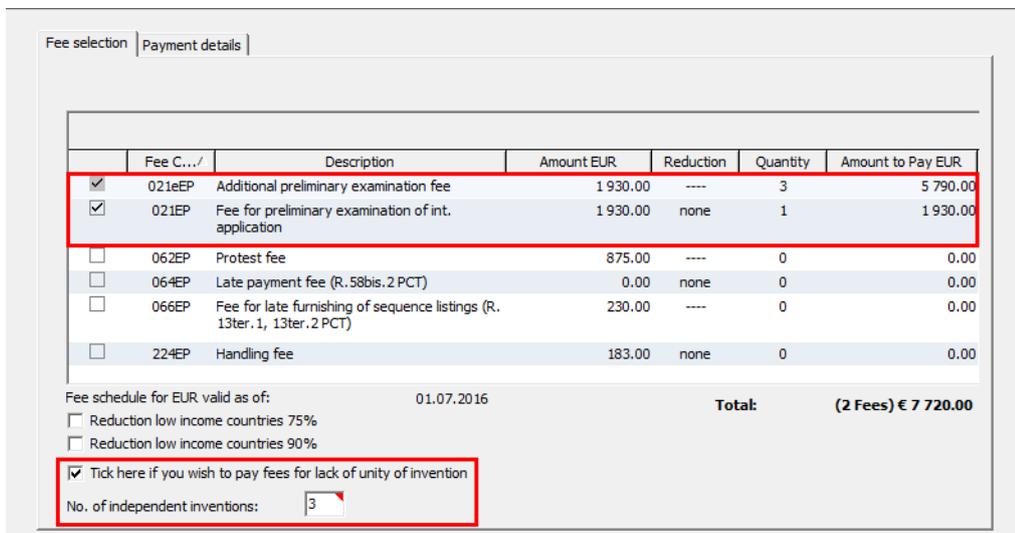
If you need to pay additional preliminary examination fees, select the check box for **Tick here if you wish to pay fees for lack of unity of invention** at the bottom left.

The fee **021eEP – Additional preliminary examination fee** is automatically selected and the field **No. of independent inventions** is activated.

 Fee **021eEP** cannot be selected manually.

Enter the number of independent inventions (mandatory).

The total amount payable is automatically calculated.



Fee C.../	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input checked="" type="checkbox"/> 021eEP	Additional preliminary examination fee	1 930.00	----	3	5 790.00
<input checked="" type="checkbox"/> 021EP	Fee for preliminary examination of int. application	1 930.00	none	1	1 930.00
<input type="checkbox"/> 062EP	Protest fee	875.00	----	0	0.00
<input type="checkbox"/> 064EP	Late payment fee (R.58bis.2 PCT)	0.00	none	0	0.00
<input type="checkbox"/> 066EP	Fee for late furnishing of sequence listings (R.13ter.1, 13ter.2 PCT)	230.00	----	0	0.00
<input type="checkbox"/> 224EP	Handling fee	183.00	none	0	0.00

Fee schedule for EUR valid as of: 01.07.2016

Reduction low income countries 75%

Reduction low income countries 90%

Tick here if you wish to pay fees for lack of unity of invention

No. of independent inventions:

**Total: (2 Fees) € 7 720.00**

Figure 477: Entering the quantity for additional preliminary examination when filing with the EPO acting as IPEA

### Applying reductions

The reduction for applicants from low-income countries can be applied to fee **021EP** (75% reduction) and fee **224EP** (90% reduction).

Select the check boxes as appropriate:

- **Reduction low income countries 75%**
- **Reduction low income countries 90%**

The reduction is applied to the selected fee(s) and the total amount payable is automatically calculated.

Fee selection | Payment details

	Fee C.../	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input type="checkbox"/>	021eEP	Additional preliminary examination fee	1 930.00	----	0	0.00
<input checked="" type="checkbox"/>	021EP	Fee for preliminary examination of int. application	1 930.00	75%	1	482.50
<input type="checkbox"/>	062EP	Protest fee	875.00	----	0	0.00
<input type="checkbox"/>	064EP	Late payment fee (R. 58bis. 2 PCT)	0.00	none	0	0.00
<input type="checkbox"/>	066EP	Fee for late furnishing of sequence listings (R. 13ter. 1, 13ter. 2 PCT)	230.00	----	0	0.00
<input checked="" type="checkbox"/>	224EP	Handling fee	183.00	90%	1	18.30

Fee schedule for EUR valid as of: 01.07.2016

Reduction low income countries 75%

Reduction low income countries 90%

Tick here if you wish to pay fees for lack of unity of invention

No. of independent inventions:

**Total: (2 Fees) € 500.80**

Figure 478: Applying reductions for low-income countries when filing with the EPO acting as IPEA

### 11.5.6 Fees payable to the Supplementary International Searching Authority (SISA)

If the EPO is acting as SISA, the only fee applicable is **069EP – Review fee for a supplementary international search**.

In the **Fee selection** tab, select fee **069EP** if appropriate.

The quantity of the fee is set to **1** and the total amount payable is automatically calculated.

There is no reduction for fees.

Fee selection | Payment details

	Fee C.../	Description	Amount EUR	Reduction	Quantity	Amount to Pay EUR
<input checked="" type="checkbox"/>	069EP	Review fee for a supplementary international search	875.00	----	1	875.00

Fee schedule for EUR valid as of: 01.07.2016

**Total: (1 Fees) € 875.00**

Figure 479: Fees applicable when filing with the EPO acting as SISA

## 11.6 PCT-SFD – 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 **Note** field.

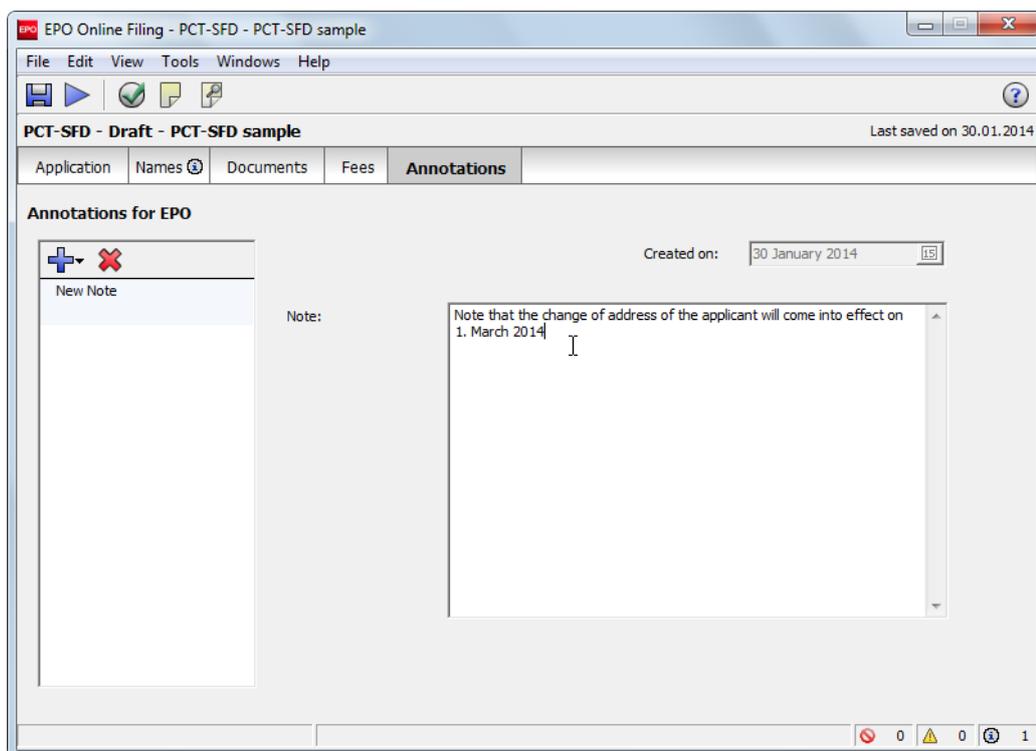


Figure 480: Adding a new note for the EPO

To add notes that are not intended for the EPO, use the **Internal notes** (p. 42) function on the form's toolbar.



## 11.7 Signing an application with Form PCT-SFD

Once you have entered all the mandatory information, you can prepare your applications for signature and proceed to sign it and send it to the EPO. For more information, see sections Signing applications (p. 88) and Sending applications (p. 102).

### Entering signatories

When signing a PCT-SFD application, you are required to provide the names of the signatories manually. Unlike in other EP forms, this information is not automatically copied from the **Names** tab because no data is entered in the PCT-SFD form when filing with the EPO.

The **Sign Application** window allows you to add all the required signatories.

To sign as or for the applicant, click **<other>** under the heading **Sender** to the left.

- Enter the **applicant name**.
- If you are signing as an employee, also enter your name into the **Employee name** field.

To sign as or for the representative, click **<other>** under the heading **Representatives** to the left.

- If applicable, enter the **Association**.
- Enter the representative's name.

Select the type of signature.

Complete the data as required.

To apply the signature, click **Sign**.

Add more signatories if necessary and finalise the signing process by applying an enhanced electronic signature with a smart card and PIN.

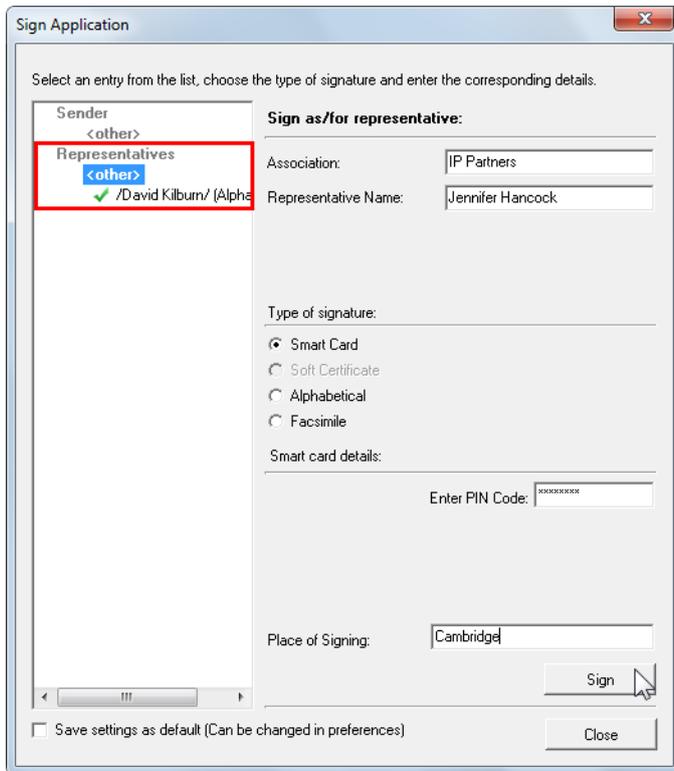


Figure 481: Adding signatories and signing the form

## 12. PCT-DEMAND (PCT/IPEA/401)

Form PCT/IPEA/401 is used for filing demands for international preliminary examination according to Chapter II of the Patent Cooperation Treaty (PCT). For more information, see the WIPO website at **IP Services > PCT System > Legal Texts > Treaty > Article 31** (<http://www.wipo.int/pct/en/texts/articles/a31.htm>).

 This document focuses on the EPO acting as the International Preliminary Examining Authority (IPEA).

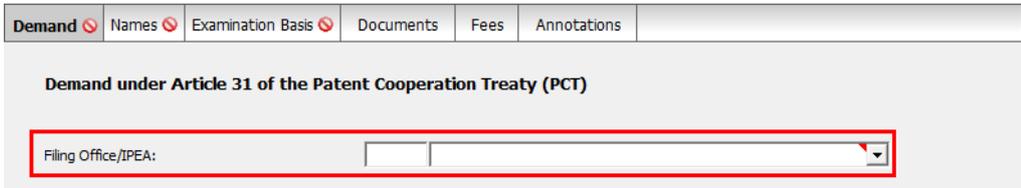
### Data input in Form PCT-DEMAND

Form PCT-DEMAND is organised into six tabs. It is recommended that you enter the data in the tab sequence given, i.e. you should start with the **Demand** tab. Certain options and conditions in the **Documents** tab, for instance, are determined by the selections you make in the **Examination Basis** tab.

Tab	What you can do
<b>Demand</b>	Select the IPEA, enter details of the PCT application to which this demand for international preliminary examination belongs.
<b>Names</b>	Enter details on applicant(s), enter details on agent(s) or supply an address for correspondence.
<b>Examination Basis</b>	Specify the basis for the international preliminary examination and select the language for the purposes of the examination.
<b>Documents</b>	Attach examination documents or other documents.
<b>Fees</b>	Review fees and enter the mode of payment.
<b>Annotations</b>	Supply additional information for the EPO.

### Mandatory fields

A red triangle in the upper right-hand corner of a field indicates mandatory information. You must either manually fill out this field or 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 'Demand' tab selected in the PCT-DEMAND form. The 'Filing Office/IPEA' field is highlighted with a red box and a red triangle in the upper right corner, indicating it is a mandatory field. The form title is 'Demand under Article 31 of the Patent Cooperation Treaty (PCT)'.

Figure 482: "Filing Office/IPEA" is a mandatory field in the "Demand" tab and is marked with a red triangle

## Elements in Form PCT-DEMAND

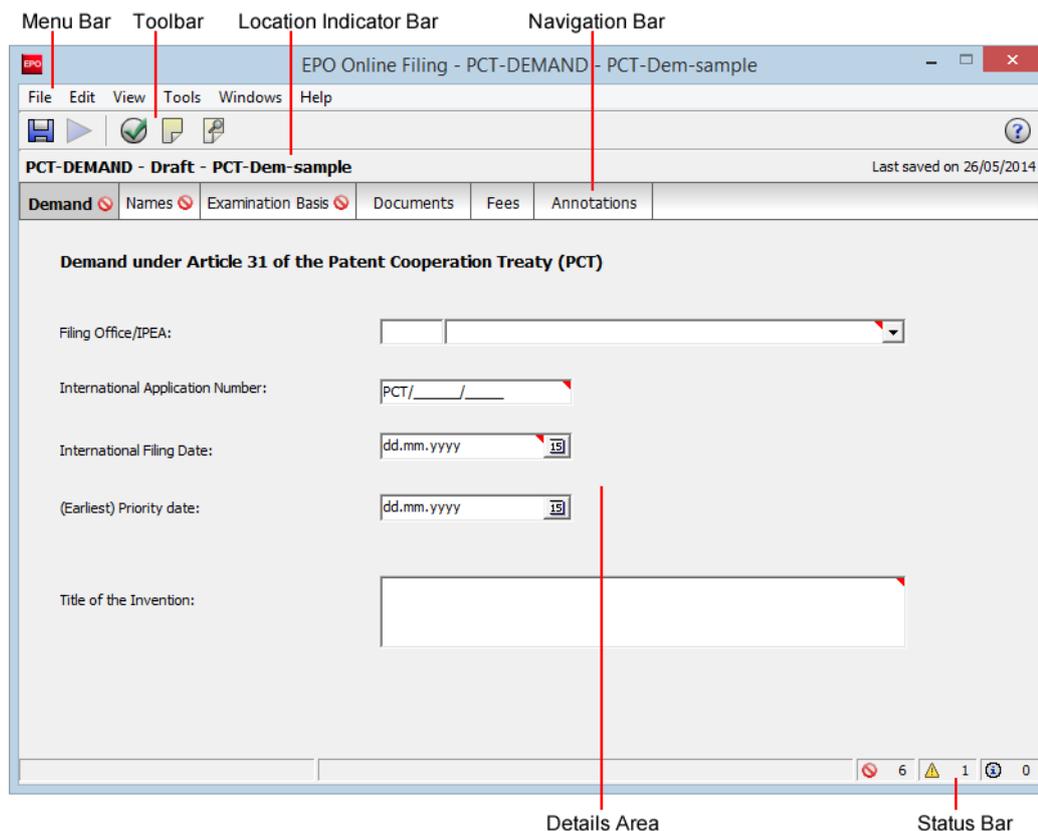


Figure 483: Form PCT-DEMAND – Overview

Element	Description
<b>Menu Bar</b>	Provides all options needed to edit, save, import and export drafts, set the display and change the status, as well as other tools.
<b>Toolbar</b>	Provides shortcuts to the most frequently used tasks and tools.
<b>Location Indicator Bar</b>	Shows the selected procedure, the current status and the user reference for the open draft.
<b>Navigation Bar</b>	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.
<b>Details Area</b>	Displays data entry fields appropriate to the selected tab.
<b>Status Bar</b>	Displays information about the current activity. Shows the total number of validation messages for the open draft.

## 12.1 PCT-DEMAND – Demand

The **Demand** tab is where you select the filing office and enter basic information about the international application for which international preliminary examination is requested.

Select the EPO as the IPEA, either by entering the two-letter code **EP** into the first field or by selecting **European Patent Office** from the drop-down list.

This information is mandatory.

Enter the **international application number** of the PCT application.

This information is mandatory.

Enter the **international filing date** of the PCT application.

This information is mandatory.

- Clicking on the calendar icon on the right of the date boxes will open a calendar from which you can select the date.
- 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.

If a priority has been claimed for the PCT application, enter the **earliest priority date** (optional).

Enter the **title of the invention** exactly as specified in the PCT application (usually in block capitals).

This information is mandatory.

Once you have entered all the mandatory information, the red validation symbol will disappear from the **Demand** tab in the navigation bar. However, a yellow validation icon is displayed if you do not supply the (earliest) priority date.

Figure 484: Entering details on the PCT application for which international preliminary examination is requested

## 12.2 PCT-DEMAND – Names

The **Names** tab is where you enter details of the applicant(s), an agent (representative) or an address for correspondence. Details of at least one applicant are required.

### Adding names

In the **Names** tab, click the **Add** button.

Select a role.

Figure 485: Options for adding names in Form PCT-DEMAND

Enter the appropriate information or copy a name from the Address Book.

## Removing names from the form

Select the name to be removed on the left-hand side of the form.

Click the **Delete** button.



### 12.2.1 Applicant

At least one applicant is required for filing. If you add two or more applicants, you can appoint one of them to act as the common representative. Any correspondence intended for the applicants will then be sent to the address of that applicant.

In the **Names** tab, click the **Add** button.



Select **Applicant, Natural** or **Applicant, Legal**.

Enter the name and address information for the applicant or copy the data from the Address Book.



If you provide an e-mail address, select the appropriate check box to authorise the IPEA to use that e-mail address.

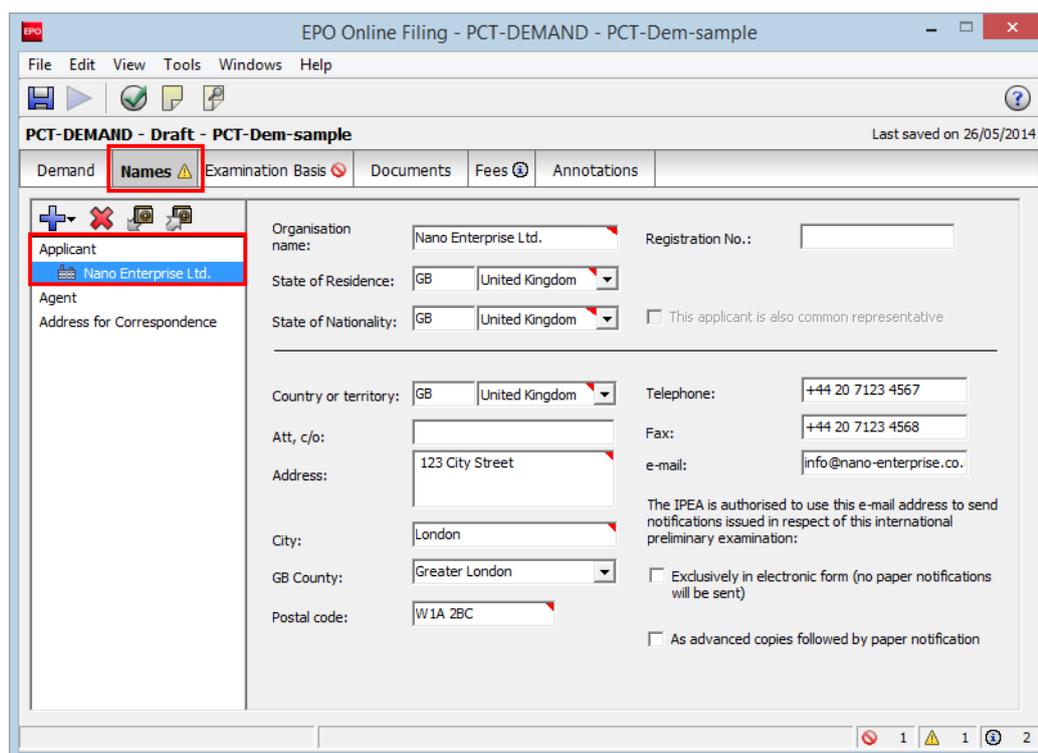
The two options are mutually exclusive.



At present, however, the EPO does not send any official communications by e-mail.

If required, add more applicants by the repeating the above procedure.

It is recommended that you name either a representative (agent) or a common representative. The yellow validation icon in the **Names** tab informs you about the corresponding validation message.



The screenshot shows the 'EPO Online Filing - PCT-DEMAND - PCT-Dem-sample' window. The 'Names' tab is active, indicated by a yellow warning icon. The left sidebar shows a list of applicants: 'Nano Enterprise Ltd.' (selected) and 'Kennecott, James'. The main form contains the following fields:

Organisation name:	Nano Enterprise Ltd.	Registration No.:	
State of Residence:	GB United Kingdom		
State of Nationality:	GB United Kingdom	<input type="checkbox"/>	This applicant is also common representative
Country or territory:	GB United Kingdom	Telephone:	+44 20 7123 4567
Att, c/o:		Fax:	+44 20 7123 4568
Address:	123 City Street	e-mail:	info@nano-enterprise.co.
City:	London	The IPEA is authorised to use this e-mail address to send notifications issued in respect of this international preliminary examination:	
GB County:	Greater London	<input type="checkbox"/>	Exclusively in electronic form (no paper notifications will be sent)
Postal code:	W1A 2BC	<input type="checkbox"/>	As advanced copies followed by paper notification

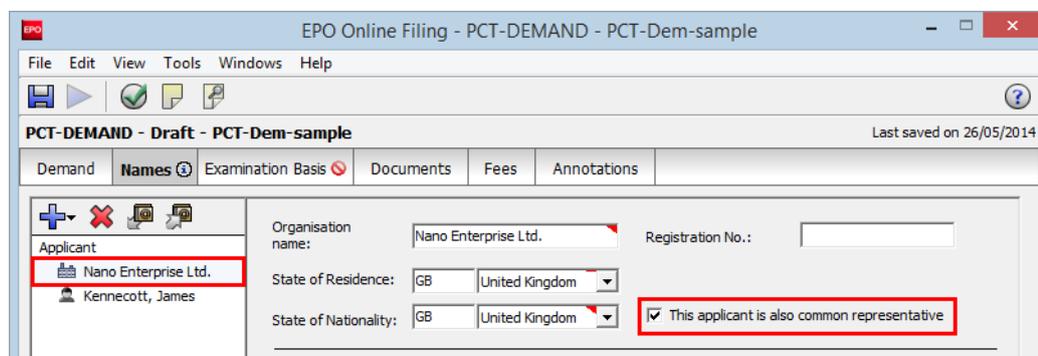
Figure 486: Details of legal applicant

### Appointing a common representative

Once you have added two or more applicants, the option to select a common representative is enabled.

Select the applicant to be appointed as the common representative.

Select the check box **This applicant is also common representative (applicant, legal)** or **This person is also common representative (applicant, natural)**.



The screenshot shows the same 'EPO Online Filing' window. In this view, the 'Names' tab is still active. The left sidebar shows 'Nano Enterprise Ltd.' (selected) and 'Kennecott, James'. The main form fields are the same as in Figure 486, but the checkbox 'This applicant is also common representative' is now checked and highlighted with a red box.

Figure 487: Selecting one of the applicants as the common representative

Once you select the check box for the selected applicant, it is disabled for the other applicants.

Note that the **Representative** and **Correspondence address** options have disappeared from the list. This means that you cannot add an agent or an address for correspondence if you have already appointed a common representative.

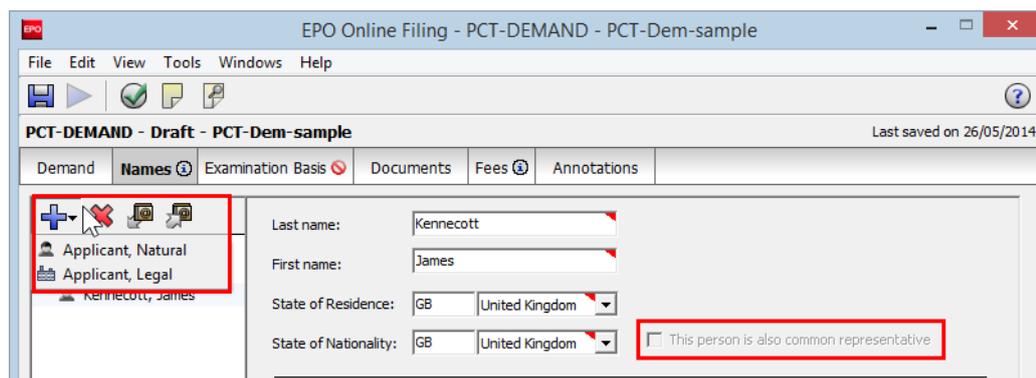


Figure 488: The common representative option is disabled for the second applicant

## 12.2.2 Agent

You can add only one agent. Where an agent is appointed, any correspondence intended for the applicant will be sent to the address indicated for that agent.

In the **Names** tab, click the **Add** button.

Select **Representative, Natural Person** or **Representative, Legal Entity**.

Enter the name and address information for the representative or copy the data from the Address Book.

Note that the **Representative** and **Correspondence address** options are not available in the list once you have added the first representative (agent).

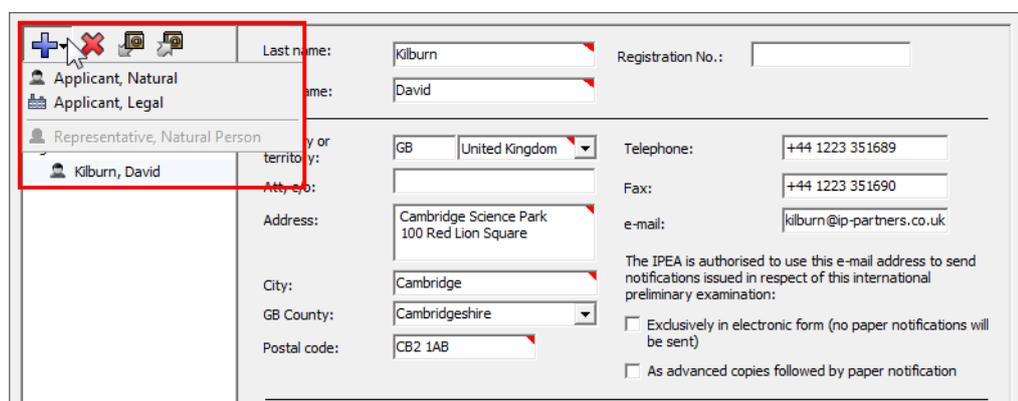


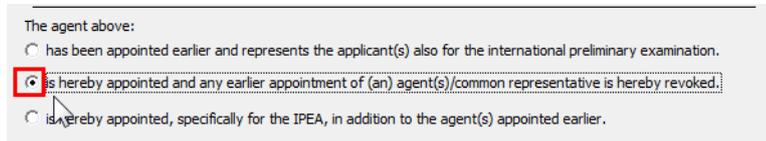
Figure 489: Details of representative (agent)

## Details relating to the agent's authorisation

The lower part of the screen allows you to specify the relationship between applicant and agent (representative) for the purpose of this application. The option **The agent above ... has been appointed earlier ...** is selected by default.

To specify a new appointment, select the appropriate option.

Related documents, e.g. a separate power of attorney, can be attached from the **Documents** tab.



The agent above:

- has been appointed earlier and represents the applicant(s) also for the international preliminary examination.
- is hereby appointed and any earlier appointment of (an) agent(s)/common representative is hereby revoked.
- is hereby appointed, specifically for the IPEA, in addition to the agent(s) appointed earlier.

Figure 490: Details relating to the authorisation of the agent

### 12.2.3 Address for correspondence

Where no agent or common representative is appointed, any correspondence will be sent to the address of the applicant (if only one person is named as applicant) or of the applicant who is considered to be common representative (if there are two or more persons named as applicants).

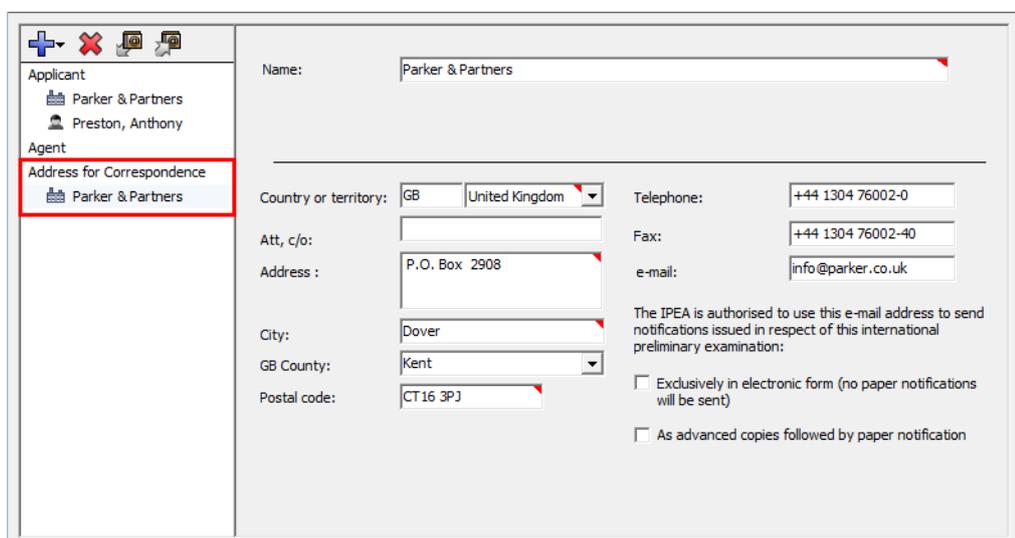
If the applicant wishes correspondence to be sent to a different address in such a case, that correspondence address may be indicated in the form.

In the **Names** tab, click the **Add** button.

Select **Correspondence address (natural person)** or **Correspondence address (legal entity)**.

Enter the details for that address or copy the data from the Address Book.

Once you indicate an address for correspondence, you cannot appoint one of the applicants as the common representative. However, if you add a representative (agent) after indicating an address for correspondence, the address for correspondence is removed from the form.



Applicant

- Parker & Partners
- Preston, Anthony

Agent

**Address for Correspondence**

- Parker & Partners

Name: Parker & Partners

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

Att, c/o: Fax: +44 1304 76002-40

Address : P.O. Box 2908 e-mail: info@parker.co.uk

City: Dover

GB County: Kent

Postal code: CT16 3PJ

The IPEA is authorised to use this e-mail address to send notifications issued in respect of this international preliminary examination:

- Exclusively in electronic form (no paper notifications will be sent)
- As advanced copies followed by paper notification

Figure 491: Address for correspondence specified for a legal entity

## 12.3 PCT-DEMAND – Examination Basis

The **Examination Basis** tab is where you enter details about the basis for the requested examination.

### Basis for the international preliminary examination

The examination can be carried out on the basis of the application as originally filed, or as amended under Article 19 and/or Article 34 PCT.

If you wish the examination to be based on the application as originally filed, do not change the options under **statement concerning amendments**.

The default options are **as originally filed** (the description, the claims, the drawings) and **not applicable** (the sequence listing).

**i** Where only **as originally filed** is indicated, international preliminary examination will start on the basis of the international application as originally filed or, where a copy of amendments to the claims under Article 19 and/or amendments of the international application under Article 34 are received by the International Preliminary Examining Authority before it has begun to draw up a written opinion or the international preliminary examination report, as so amended.

EPO Online Filing - PCT-DEMAND - PCT-Dem-sample

File Edit View Tools Windows Help

PCT-DEMAND - Draft - PCT-Dem-sample Last saved on 26/01/2015

Demand Names Examination Basis Documents Fees Annotations

**Basis for the international preliminary examination**

Statement concerning amendments:\*

The applicant wishes the international preliminary examination to start on the basis of:

the description: as originally filed

the sequence listing: not applicable

the claims: as originally filed

the drawings: as originally filed

\* Where only 'as originally filed' is indicated, international preliminary examination will start on the basis of the international application as originally filed or, where a copy of amendments to the claims under Article 19 and/or amendments of the international application under Article 34 are received by the International Preliminary Examining Authority before it has begun to draw up a written opinion or the international preliminary examination report, as so amended.

Any amendment to the claims under Article 19 should be considered as reversed.

Start the examination: Ordinary start

**Language for the purposes of the examination**

Language: [dropdown]

Which is the language...

in which the international application was filed.

of a translation furnished for the purposes of the international search.

of publication of the international application.

of the translation (to be) furnished for the purposes of the examination.

Logged in as Administrator

1 0 3

Figure 492: The international preliminary examination will be based on the international application as originally filed

If you wish the examination to be based on the application as amended, select the appropriate option from each of the drop-down lists:

**the description:**

- as originally filed (default)
- as amended under Article 34

**the sequence listing:**

- as originally filed
- as amended under Article 34 (in the form of an Annex C/ST.26 text file)
- as amended under Article 34 (in the form of an image file)
- not applicable (default)

If you select the image file option, a red validation icon will appear in the **Examination Basis** tab, because the EPO only accepts amendments to the sequence listing in Annex C/ST.26 text file format.

**the claims:**

as + Article 19 and Article 34

**the drawings:**

- as originally filed (default)
- as amended under Article 34
- not applicable

If you want any amendments to the claims made under Article 19 to be reversed, select **Any amendment to the claims under Article 19 should be considered as reversed**.

This check box is disabled if you selected the **as amended under Article 19** option for the claims.

Select when to **start the examination**:

- Ordinary start (default)
- Postpone the start, Rule 69.1(b), 69.1(d)
- Start earlier, before time limit under Rule 54bis1(a)

**PCT-DEMAND - Draft - Sample PCT-DEMAND** Last saved on 18/06/2019

Demand	Names	<b>Examination Basis</b>	Documents	Fees	Annotations
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**Basis for the international preliminary examination**

Statement concerning amendments:\*

The applicant wishes the international preliminary examination to start on the basis of:

the description: as amended under Article 34

the sequence listing: as amended under Article 34 (in the form of an Annex C/ST.25 text file)

the claims: as amended under Article 34

the drawings: as amended under Article 34

\* Where only 'as originally filed' is indicated, international preliminary examination will start on the basis of the international application as originally filed or, where a copy of amendments to the claims under Article 19 and/or amendments of the international application under Article 34 are received by the International Preliminary Examining Authority before it has begun to draw up a written opinion or the international preliminary examination report, as so amended.

Any amendment to the claims under Article 19 should be considered as reversed.

Start the examination: Start at the expiration of the time limit under Rule 54bis1(a)

Figure 493: The examination will be based on the international application as amended and amendments to the claims under Article 19 should be reversed

## Language for the purposes of the examination

Select the **language** (mandatory).

You can either type the two-letter language code (**EN**, **DE** or **FR**) into the field to the left or select the language from the drop-down list to the right.

Select the appropriate option for **which is the language...**

- in which the international application was filed (default)
- of a translation furnished for the purposes of the international search
- of publication of the international application
- of the translation (to be) furnished for the purposes of the examination.

**Language for the purposes of the examination**

Language: EN English

Which is the language...

in which the international application was filed.

of a translation furnished for the purposes of the international search.

of publication of the international application.

of the translation (to be) furnished for the purposes of the examination.

Logged in as Administrator 0 1 3

Figure 494: Selecting the language and indicating where this language is used

## 12.4 PCT-DEMAND – Documents

The **Documents** tab of Form PCT-DEMAND is where you attach documents to be used by the IPEA in the international preliminary examination. If you specify amended parts of the application in the **Examination Basis** tab, a yellow validation icon will appear in the **Documents** tab, indicating that you should also attach the relevant documents.

To attach a document, you first need to select the suitable document category. The following document categories are available:

- Examination documents (p. 386), e.g. amendments
- Accompanying items (p. 388) as PDF files, e.g. power of attorney document

A sequence listing (see "Attaching sequence listings" p. 390) is also attached under the **Accompanying items** category.

- Pre-conversion archive (p. 391), i.e. a ZIP file containing the original documents which are not converted into PDF

#### 12.4.1 Examination documents

The **examination documents** category offers the following document types:

- Translation of international application
- Amendments under Article 34
- Copy (or, where required, translation) of amendments under Article 19
- Copy (or, where applicable, translation) of any statement under Article 19 (Rule 62.1(ii))
- Copy of the letter accompanying the amendments under Article 19 (Rules 46.5(b) and 53.9)
- Letter accompanying the amendments under Article 34 (Rule 66.8)
- Other document

To attach a document, click the **Add** button in the **Documents** tab.

Select **Examination documents**.

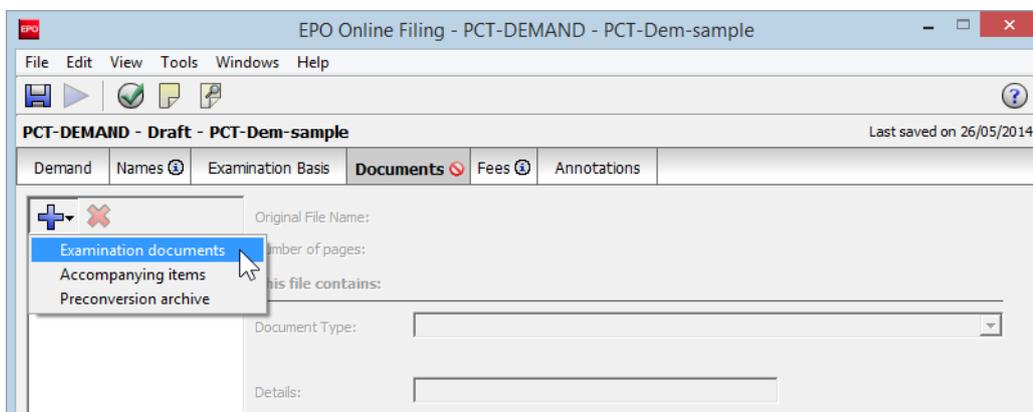


Figure 495: Adding examination documents

In the **Open** window, navigate to the storage location of your file.

Select the required file and click **Open**.

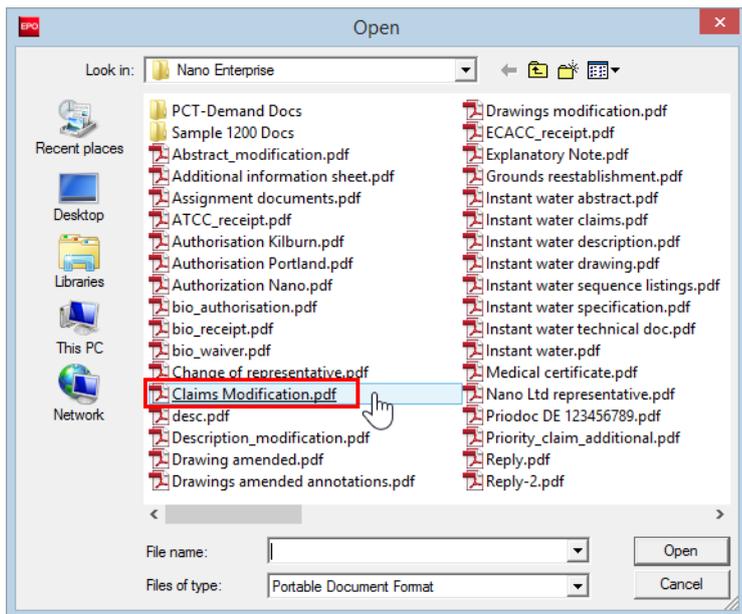


Figure 496: Selecting the file to be attached

The file is attached to the application under its original file name.

Select the appropriate document type, e.g. **Amendments under Article 34**.

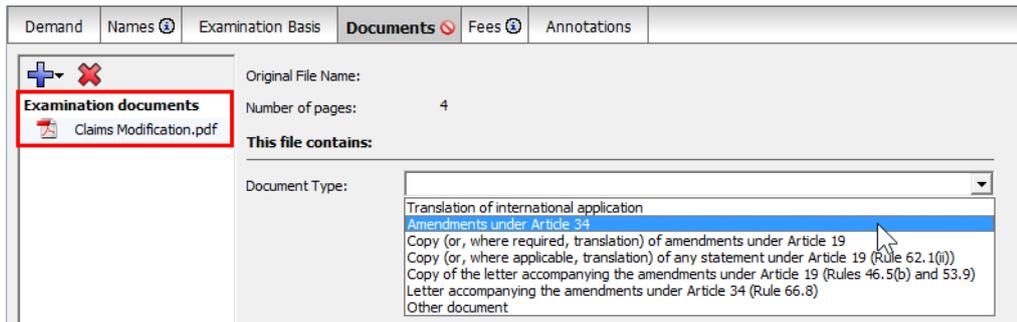


Figure 497: Selecting the document type for the attached file

The file is renamed to the Online Filing default file name, e.g. **AMDA34-1.pdf**.

The original file name is also displayed at the top of the screen, along with the number of pages.

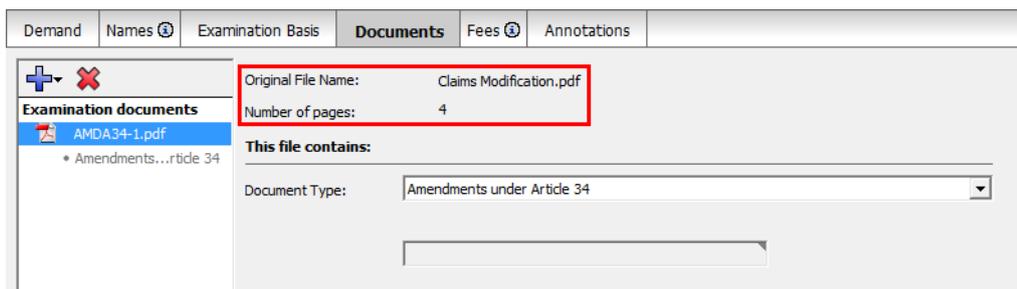


Figure 498: Amendments under Article 34 attached

## Attaching other documents

You can specify your own document type if there is no suitable attachment option.

Click the **Add** button and select **Examination documents**.

Navigate to the PDF file and attach it.

Select **Other document** from the **Document Type** list.

The file is renamed **OTHERDOC-1.pdf**.

To describe this document enter your text in the **Details** field, e.g. **Explanatory Note**.

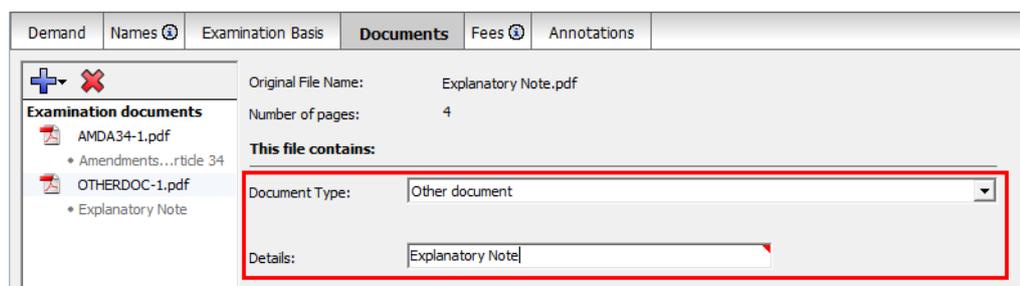


Figure 499: Other examination document attached

## 12.4.2 Accompanying items

The **accompanying items** category offers the following document types:

- General power of attorney
- Copy of general power of attorney
- Separate power of attorney
- Sequence listing (PDF) (see "Attaching sequence listings" p. 390)
- Fee payment receipt (OEPM only)
- Other document

To attach a document, click the **Add** button in the **Documents** tab.

Select **Accompanying items** from the list.

In the **Open** window, navigate to the storage location of your file.

Select the required file and click **Open**.

The file is attached to the application under its original file name.

Select the appropriate document type, e.g. **Separate power of attorney**.

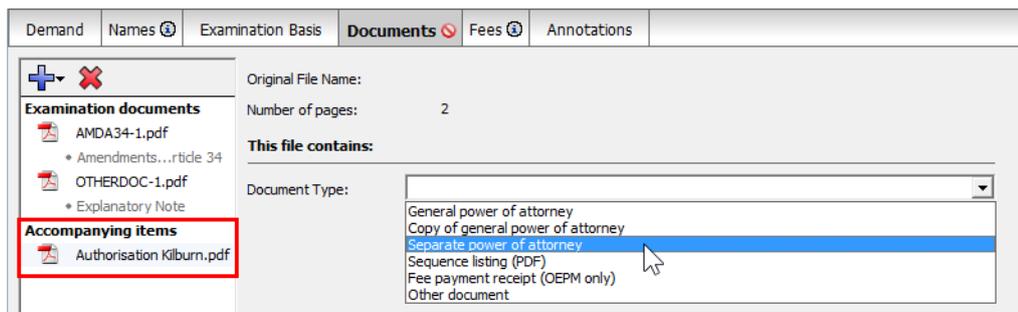


Figure 500: Selecting the document type for the accompanying item

The file is renamed to the Online Filing default file name, e.g. **SPOAT.pdf**.

The original file name is also displayed at the top of the screen, along with the number of pages.

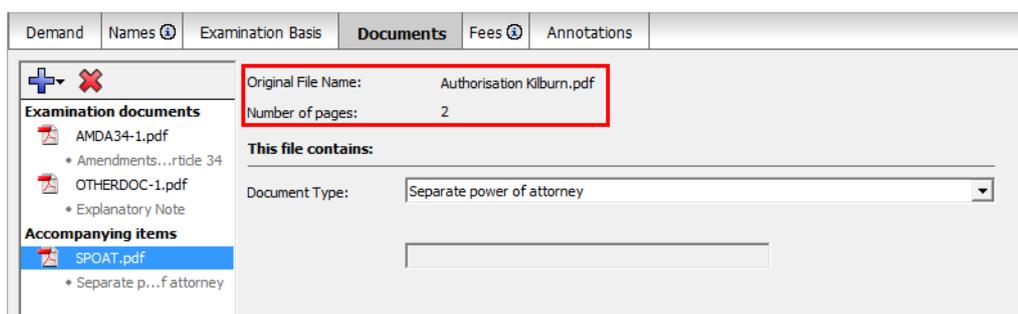


Figure 501: Separate power of attorney document attached under accompanying items

### Attaching other documents

You can specify your own document type if there is no suitable attachment option.

Click the **Add** button and then select **Accompanying items** from the list.

Navigate to the PDF file and attach it.

Select **Other document** from the **Document Type** list.

The file is renamed **OTHE-1.pdf**.

To describe this document enter your text in the **Details** field, e.g. **Assignment document**.

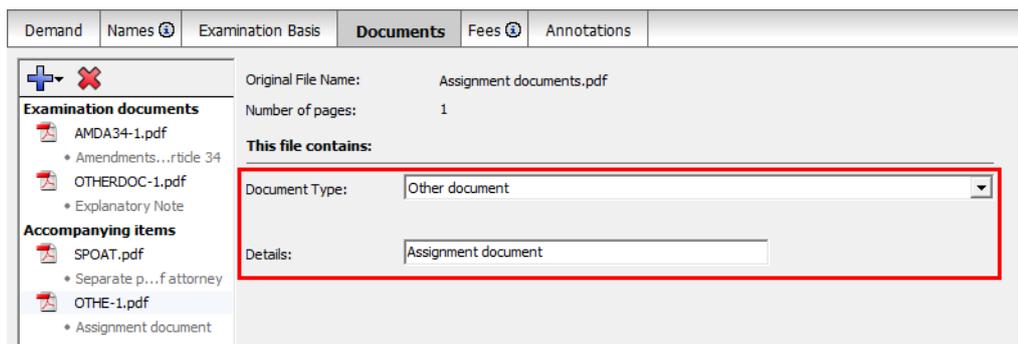


Figure 502: Other accompanying item attached and specified

### 12.4.3 Attaching sequence listings

**i** Sequence listings must always be submitted as computer-readable files in accordance with WIPO Standard ST.25 or ST.26 as applicable, with a maximum of one file per submission (either one ST.25 file or one ST.26 file). If you attach a sequence listing in a PDF when filing with the EPO acting as the IPEA, a red validation icon is displayed in the **Documents** tab.

#### Attaching a sequence listing in WIPO ST25 format

Click the **Add** button.

Select **Accompanying items**.

In the **Open** window, navigate to the storage location of your file.

Change the option in the **files of type** drop-down list from **Portable Document Format** (default) to **Sequence Listing in ST25** (file type .app, .seq, .txt or .zip).

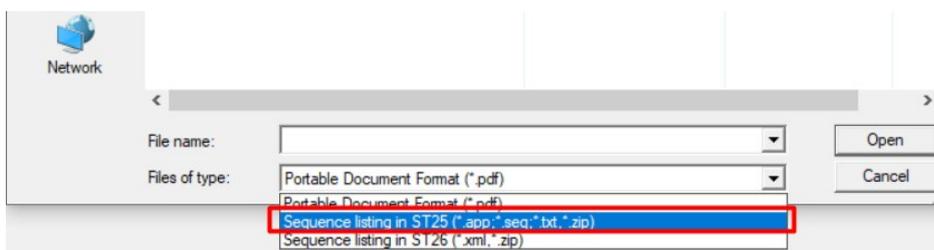


Figure 503: Selecting the file type for attaching a sequence listing file

Select the required file and click **Open**.

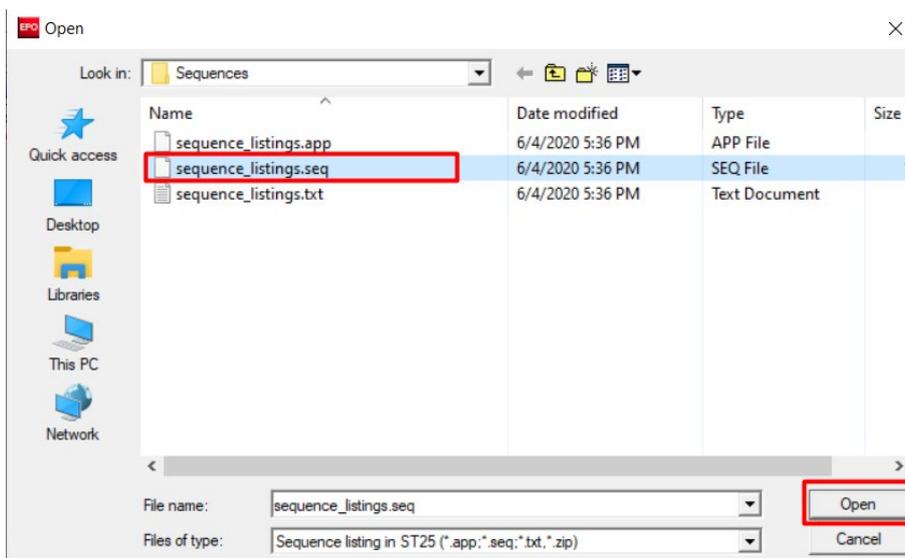


Figure 504: Attaching a sequence listing in WIPO ST25 text format

The file is attached to the application under its original file name.

From the **Document Type** list select **Document concerning sequence listing in ST.25 format**.

Depending on the original file type, the file will be renamed **SEQLTXT.app**, **SEQLTXT.seq** or **SEQLTXT.txt**.

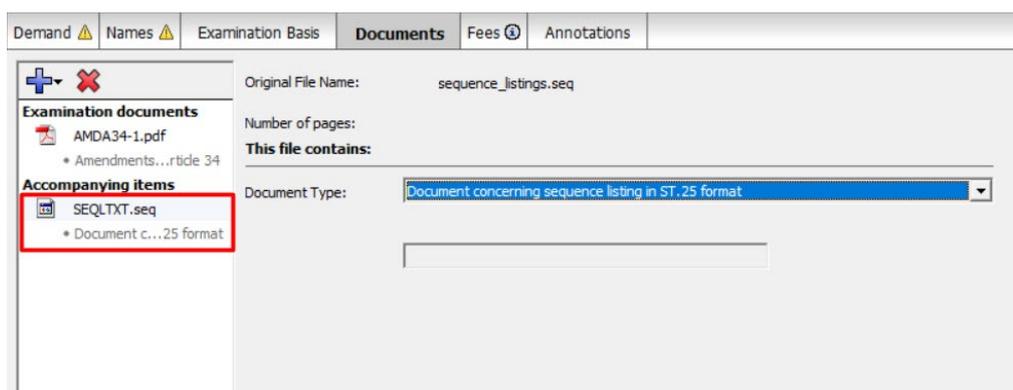


Figure 505: Sequence listing attached (file type .seq)

### Attaching a sequence listing in WIPO ST26 text format

Click the **Add** button.

Select **Accompanying items**.

In the **Open** window, navigate to the storage location of the file.

Change the option in the **files of type** drop down list from **Portable Document Format** (default) to **Sequence listing in ST26** (file type .xml or .zip).

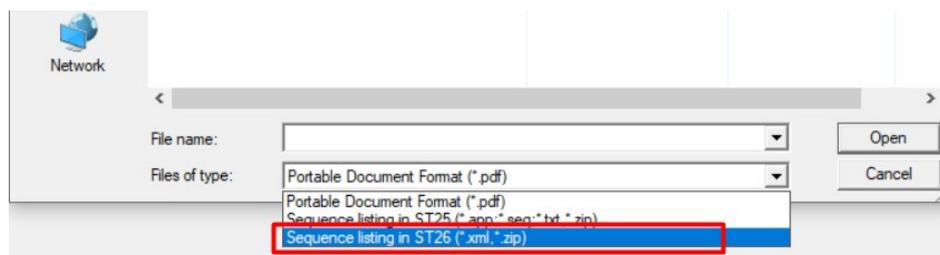


Figure 506: Selecting the file type for attaching a sequence listing file

Select the required file and click **Open**.

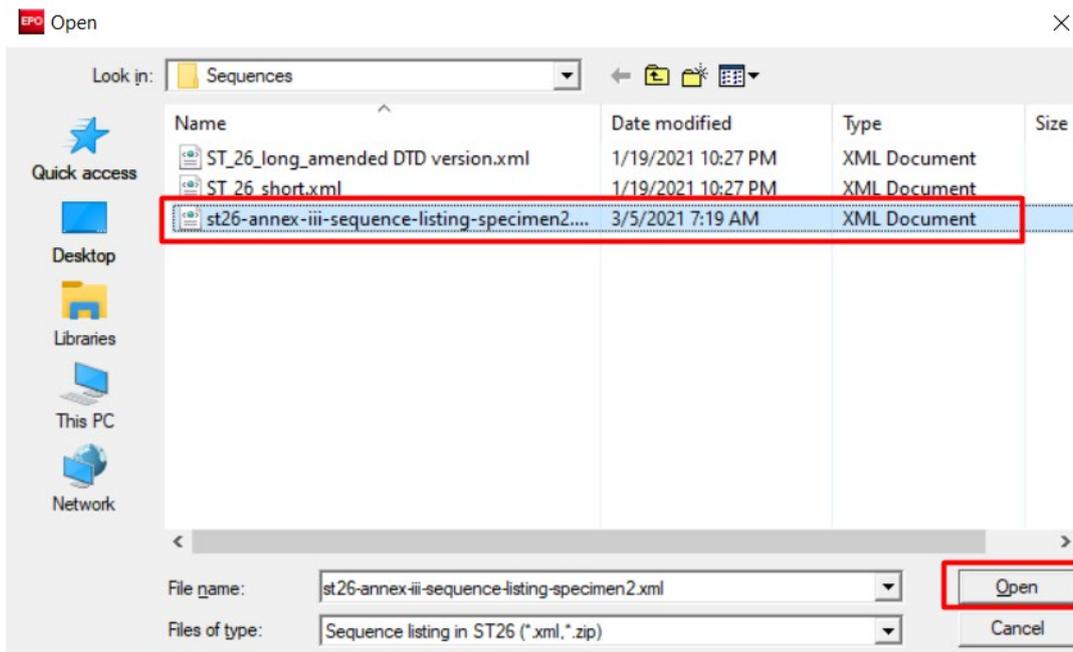


Figure 507: Attaching a sequence listing in WIPO ST26 text format

The file is attached to the application under its original file name.

From the **Document Type** list select **Document concerning sequence listing in ST.26 format**.

Depending on the original file type, the file will be renamed **SEQLXML26.xml** or **SEQLZIP26.zip**.

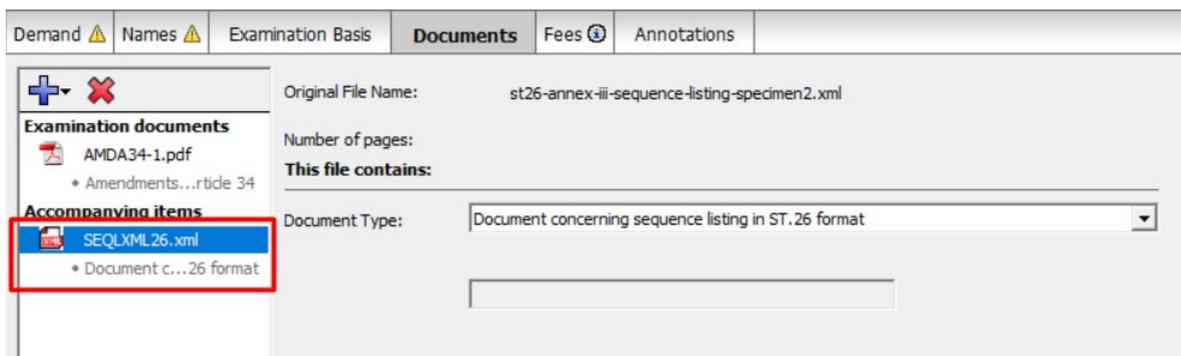


Figure 508: Sequence listing attached (file type .xml)

**Note** that, when selecting to submit a ST.26 sequence listing as ZIP, the provided ZIP file must contain a single ST.26-compliant XML file. If the attached ZIP package contains none or multiple XML files, it will be rejected and a validation error message will be displayed.

#### 12.4.4 Pre-conversion archive

The **pre-conversion archive** option allows you to add your original documents, before converting them into PDF files, as a compressed ZIP archive file. This may be helpful if you wish to provide the EPO with your original documents in colour. The documents contained in the ZIP file 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 event of quality issues.

To attach the ZIP archive, click the **Add** button.

Select **Preconversion 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.

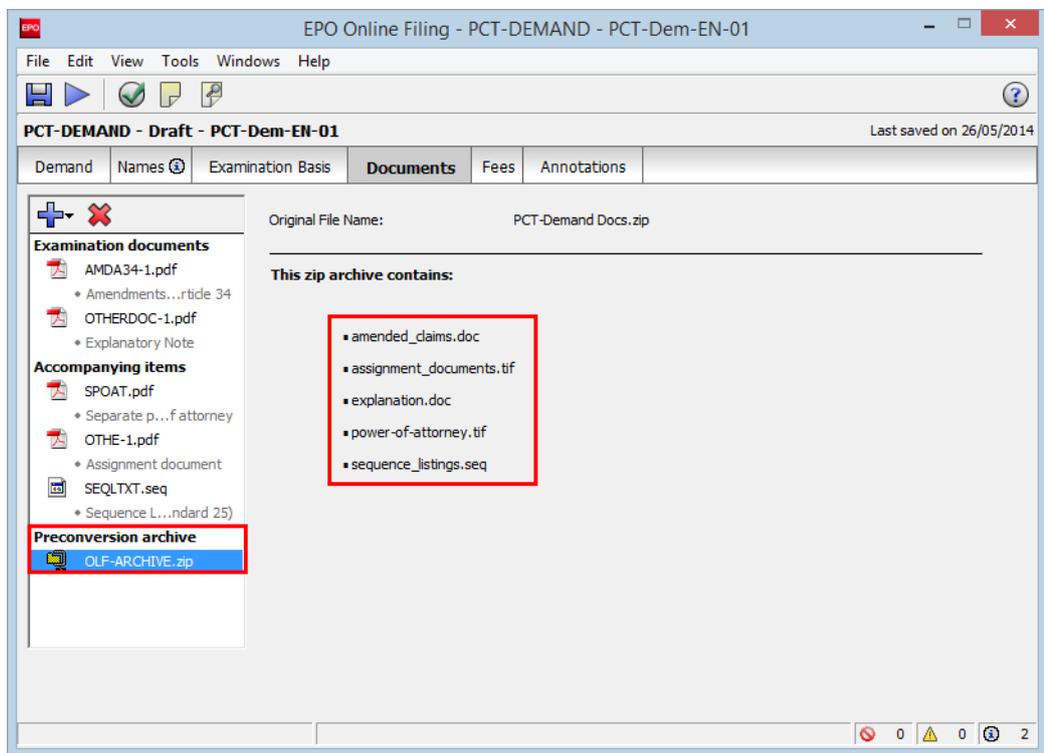


Figure 509: ZIP archive containing the unconverted documents is attached

#### 12.4.5 Viewing attached documents

You can check your application and the attached documents in the print preview.

Click the **Preview** button in the toolbar.



The application (**pct-demand.pdf**) is displayed in the **PDF Viewer**.

Section VI of the form contains the attached documents with their original file names.

The left pane in the PDF Viewer lists all the files with their system names.

Click a file name to the left to display the corresponding document in the PDF Viewer.

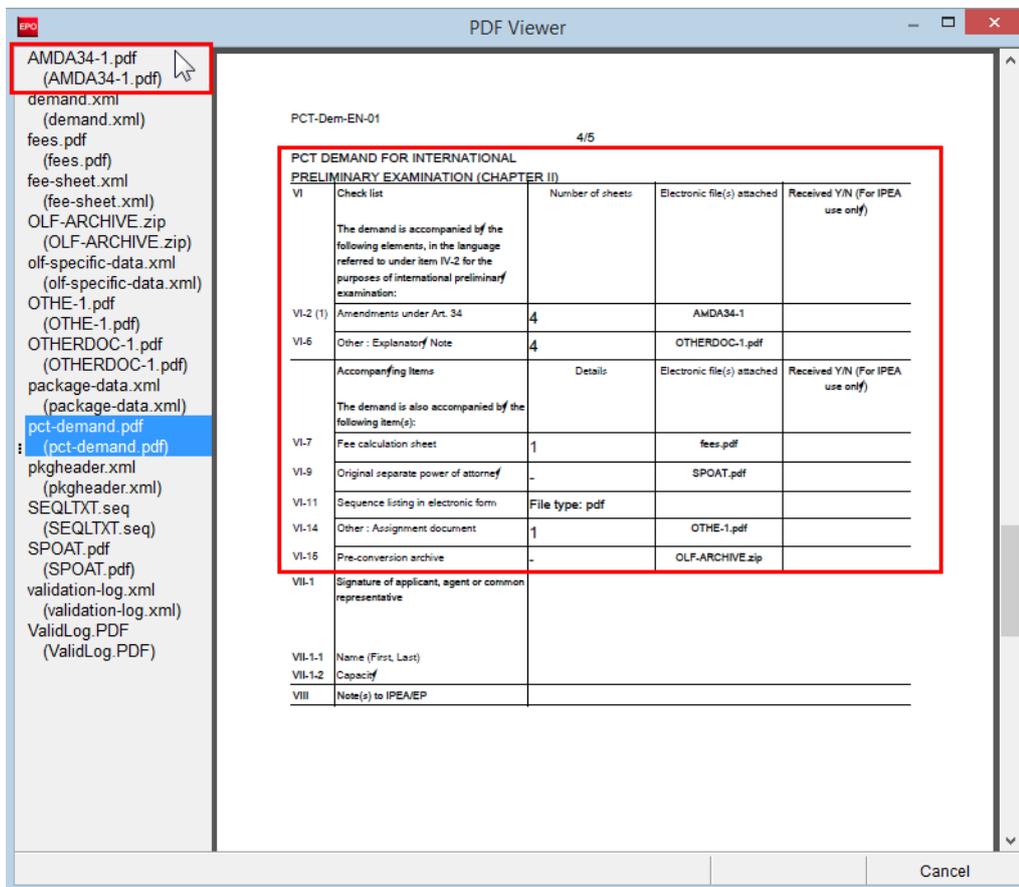


Figure 510: Previewing the PCT-DEMAND form in the PDF Viewer

## 12.5 PCT-DEMAND – Fee Payment

In the **Fees** tab you can review the fees associated with your demand and indicate how you wish to pay them. All fees must be paid in euros.

The fees displayed in the **Fees** 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>).

### 12.5.1 Fee selection

The **Fee selection** sub-tab displays the fees payable to the EPO for the preliminary examination of the international application.

The fees payable for filing a PCT-DEMAND form are the **examination fee** and the **handling fee**. The check boxes for these fees are automatically selected and cannot be cleared. No further action is necessary.

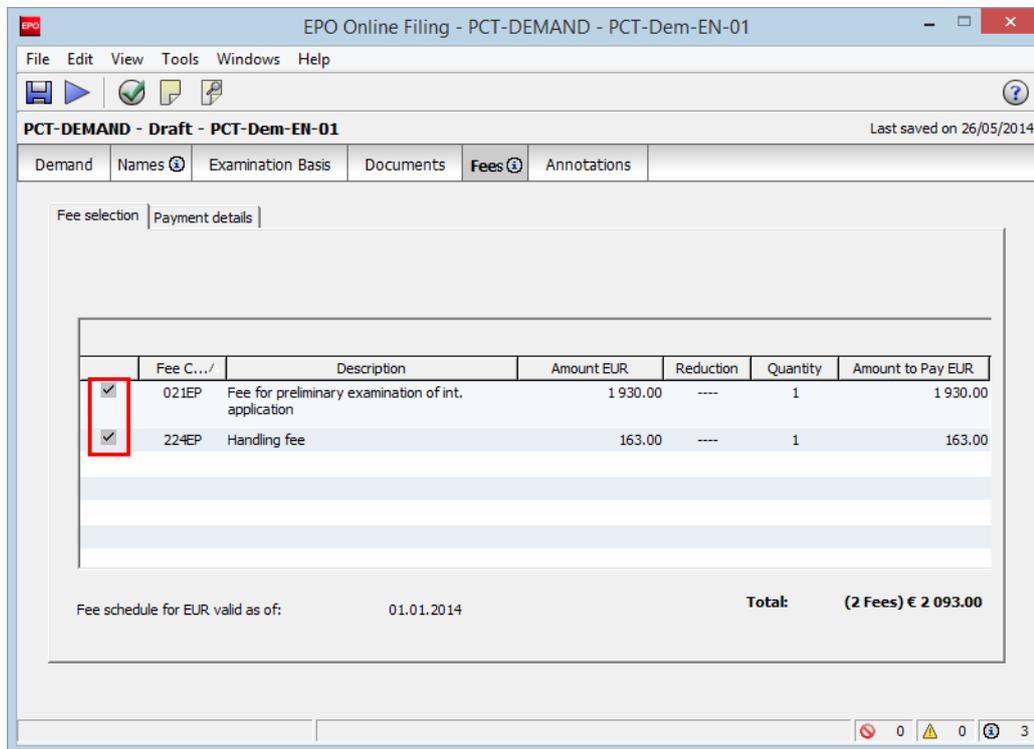


Figure 511: Fees payable for PCT-DEMAND are automatically selected

### 12.5.2 Payment details

In the **Payment details** sub-tab you can specify the mode of payment and provide any details required by the EPO acting as the IPEA.

#### Mode of payment

Select the appropriate option from the **Mode of Payment** list.

- **Automatic debit**

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.

- **Bank transfer**

The EPO accepts EUR payments to its account with the Commerzbank AG in Munich, Germany. The IBAN and BIC codes of the EPO's bank account are supplied automatically when you select **DE, Commerzbank AG, München** from the drop-down list.

- **Credit card**

All payments by credit card must be made via the dedicated EPO fee payment service on the EPO website at **Applying for a patent > Online services > Paying fees online > Pay by credit card** (<https://epo.org/fee-payment-service/en/login>).

Choosing this mode of payment in the **Payment details** sub-tab is considered merely an indication of how you intend to pay.

- **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.

- **Not specified**

If you do not intend to pay fees with this submission, you can indicate **Not specified**.

For more information on EPO deposit accounts and the automatic debiting procedure, please refer to the Official Journal:

- Arrangements for deposit accounts (ADA)  
Supplementary publication 3/2015, p. 8-16  
(<http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p8.html>)
- Notice from the European Patent Office dated 12 February 2015 concerning revision of the Arrangements for deposit accounts (ADA) and their annexes Supplementary publication 3/2015, p. 2-7  
(<http://www.epo.org/law-practice/legal-texts/official-journal/2015/etc/se3/p2.html>)
- Decision of the President of the European Patent Office dated 29 September 2016 revising points 5.3 and 7 of the Arrangements for deposit accounts (ADA) OJ EPO 2016, A83  
(<http://www.epo.org/law-practice/legal-texts/official-journal/2016/10/a83.html>)

### **Automatic debit**

If you are filing with the EPO, you can also use the **automatic debit** procedure. An EPO deposit account is required and orders for automatic debiting must be signed by an authorised person.

Enter the number of your deposit account.

EPO deposit account numbers are made up of eight digits, starting with **28**.

Enter the name of the account holder.

Enter the name of the person authorised for signature.

Enter the alphabetical signature of that person by writing the name between two slashes, e.g. **/Laura Huffington/**.

### Debit from deposit account

An EPO deposit account is required to use the option **Debit from deposit account**. Debit orders must be signed by an authorised person.

Enter the number of your deposit account.

EPO deposit account numbers are made up of eight digits, starting with **28**.

Enter the name of the deposit account holder.

If applicable, select the check box **Authorisation to charge any deficiency or credit any overpayment in the total fees**.

Enter the name of the person authorised for signature.

Enter the alphabetical signature of that person by writing the name between two slashes, e.g. **/Laura Huffington/**.

The screenshot shows the 'Fees' tab selected in the top navigation bar. Below it, the 'Payment details' sub-tab is active. The 'Mode of Payment' dropdown is set to 'Debit from deposit account' and the 'Currency' is 'EUR'. A message states: 'The European Patent Office is hereby authorised to debit from the deposit account with the EPO any fees and costs indicated.' Below this, the 'Deposit account number' field contains '28123456' and the 'Account holder' field contains 'Nano Enterprise'. A checkbox labeled 'Authorisation to charge any deficiency or credit any overpayment in the total fees' is checked. The 'Name' field contains 'Laura Huffington' and the 'Signature' field contains '/Laura Huffington/'.

Figure 512: Entering payment data for debit from deposit account

### Further options

The **Payment details** sub-tab offers some additional options at the bottom of the screen.

If you wish the EPO to make any **reimbursements** to a deposit account with the EPO, select the corresponding check box.

This information applies to all selected modes of payment. 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 and supply the account holder's name.

### 12.5.3 Viewing the fee sheet

The data relevant for fee payment and the fee amounts to be paid are summarised in a separate fee sheet. You can preview this document in the PDF Viewer.

Click the **Preview** button in the toolbar.



The application (**pct-demand.pdf**) is displayed in the PDF Viewer.

To display the fee sheet, click **fees.pdf** in the list to the left.

The screenshot shows a PDF Viewer window titled 'PDF Viewer'. On the left, a file list includes 'fees.pdf' which is highlighted with a red box. The main content area displays the 'PCT Demand - Fee Sheet' document. At the top left is the EPO logo and name in German, English, and French. To the right is contact information for Munich and Berlin offices. The main body of the document is a table with the following data:

PCT Demand - Fee Sheet			
1. Applicant's or agent's file reference	PCT-Dem-EN-01		
2. International application number	PCT/EP2014/500456		
3. Date	29-06-2014		
4. Method of payment	Deposit Account		
	Deposit account number:	28123456	
	Deposit account holder:	Nano Enterprise	
The European Patent Office is hereby authorised to debit from the above indicated deposit account the total fees:	Yes		
Authorisation to charge any deficiency or credit any overpayment in the total fees:	Yes		
	Name:	Laura Huffington	
	Signature:	/Laura Huffington/	
5. Fees			
Fee type	Currency	Fee	Total
Fee for preliminary examination of int. application	EUR	1930.00	1930.00
Handling fee	EUR	163.00	163.00
	Total	EUR	2093.00

At the bottom right of the viewer, there is a 'Cancel' button.

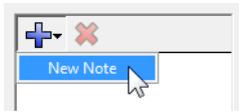
Figure 513: Checking the fee sheet in the PDF Viewer

## 12.6 PCT-DEMAND – 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 **Note** field.

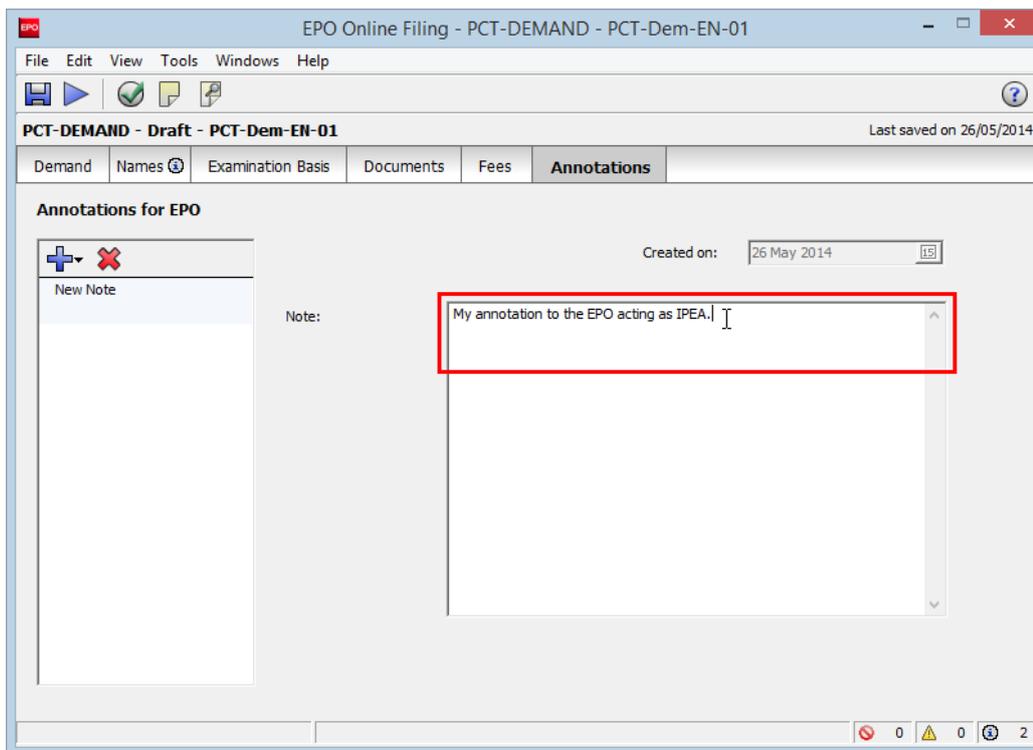


Figure 514: Writing a note to the EPO acting as IPEA

To add notes that are not intended for the EPO, use the **Internal notes** (p. 42) function on the form's toolbar.



## 13. Server Manager

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 when **Server installation** or **Stand alone installation** is selected during setup. Server Manager cannot be run on a machine with the thin client only.

### Starting Server Manager

You need Windows Administrator privileges to start Server Manager.

Right-click the **Online Filing 5.0 Server Manager** icon.

In Windows 7, select **Run as administrator** from the shortcut menu.

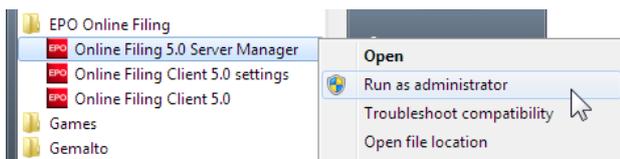


Figure 515: Starting Server Manager via the Start menu in Windows 7

In Windows 8/8.1, select **Run as administrator** from the shortcut menu.

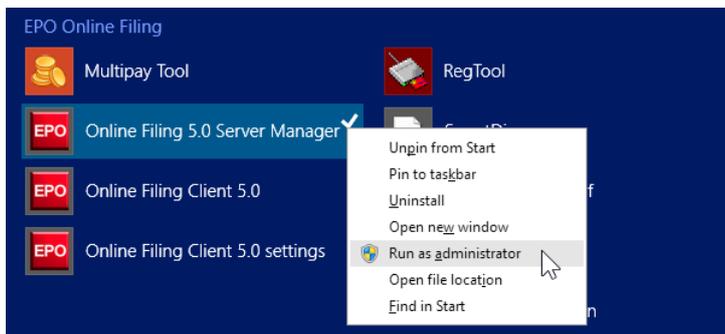


Figure 516: Starting Server Manager via the Apps screen in Windows 8.1

In Windows 10, select **More > Run as administrator** from the shortcut menu.

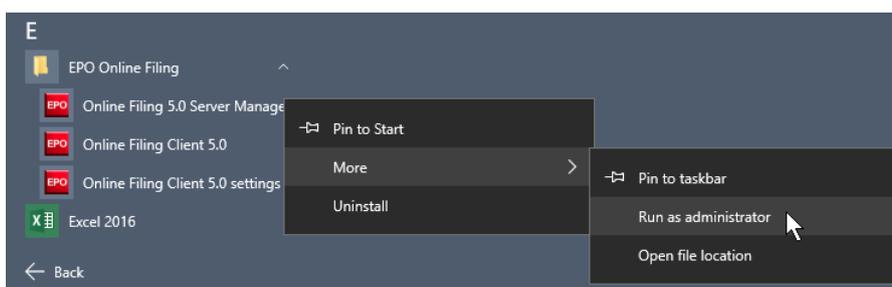


Figure 517: Starting Server Manager via the Start menu > All apps in Windows 10

If you are not the Windows Administrator, you must now enter his or her Windows account name and password.

Click **Yes** in the **User Account Control** window.

The Server Manager login window then appears.

### 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. 66) window.

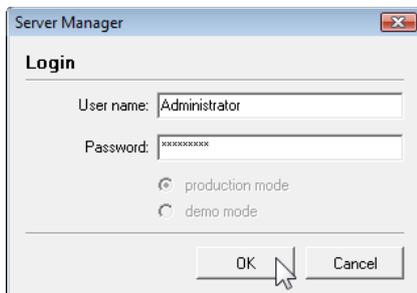


Figure 518: Login to Server Manager

## 13.1 Server Manager overview

By default, 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 use the functions currently available. You can also use the functions via the **Action** menu.

Tab	What you can do
<b>Services</b>	Control services: monitor, stop, start, activate and deactivate the Online Filing services.
<b>Backup</b>	Backup, restore and clear the complete database. Configure automatic backup.
<b>Export</b>	Export items from the database, e.g. applications or templates, and store them as ZIP files. Deleting items after export is optional.
<b>Import</b>	Import items into the database that have been previously exported, e.g. applications or templates, to use them in File Manager.
<b>Users</b>	Monitor and manage users logged in to Online Filing.
<b>Unlock</b>	Disconnect users from items in the database, so that the respective record (application) in the database becomes unlocked and, hence, editable for other users.
<b>History</b>	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.
<b>Live Update Countries</b>	Select the countries for which Live Update should search for new or updated national plug-ins.
<b>Settings</b>	Define default file locations for backup, import and export. Define settings for Live Update and perform a live update.
<b>Data Migration</b>	Transfer user administration settings from one server to another. Move the Online Filing database to another hard disk.

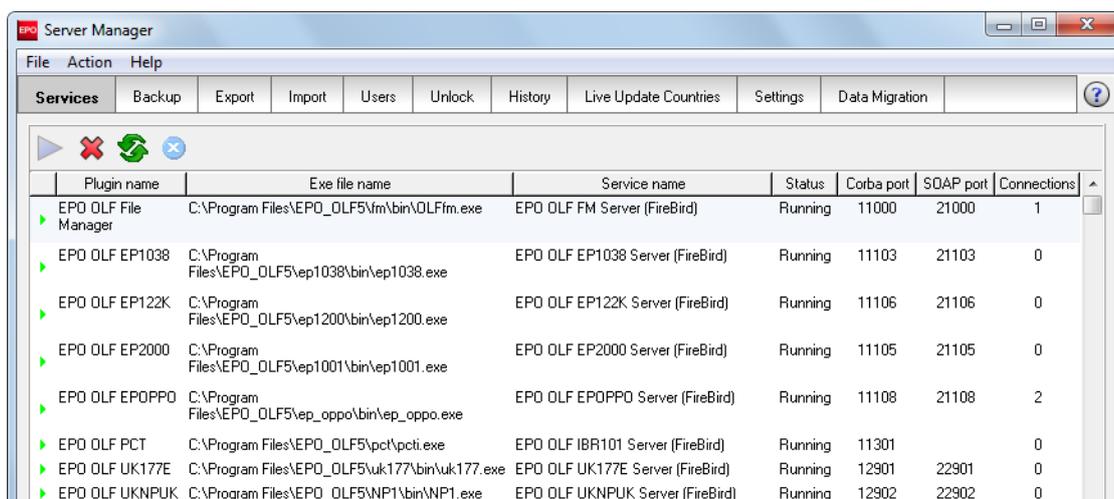


Figure 519: Server-Manager – Overview

## 13.2 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
- EPO OLF PCT-DEMAND – Form PCT-DEMAND
- EPO OLF PCT-SFD – Form PCT-SFD



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.

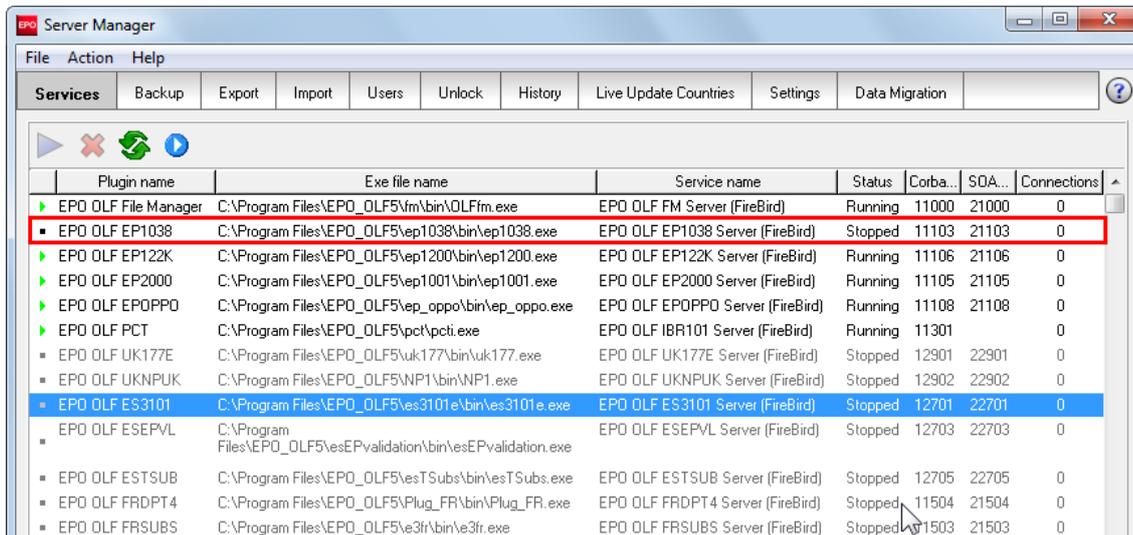


Figure 520: Services running and stopped

Button	Function	Description
	<b>Start as a service</b>	Start an online service that has been stopped.
	<b>Stop</b>	Stop an online service that is running.
	<b>Refresh</b>	Retrieve current status of online services from servers.
	<b>Activate service</b>	Activate service for a national plug-in (available for non-active services)
	<b>Deactivate service</b>	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.

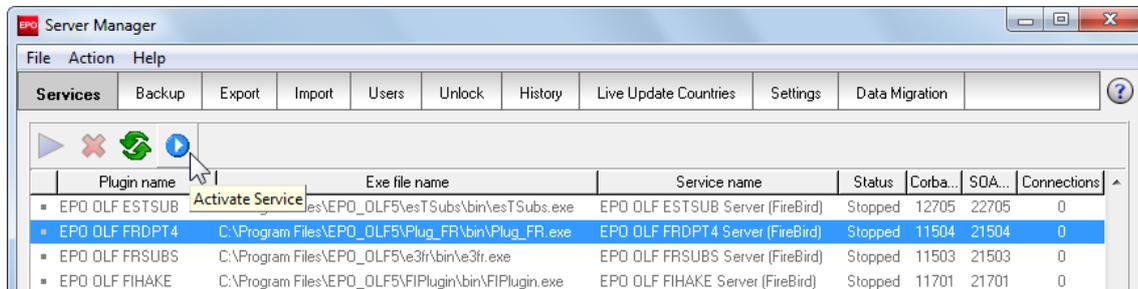


Figure 521: Activate service

The selected service is activated but not automatically started.

Click the **Start as service** button.

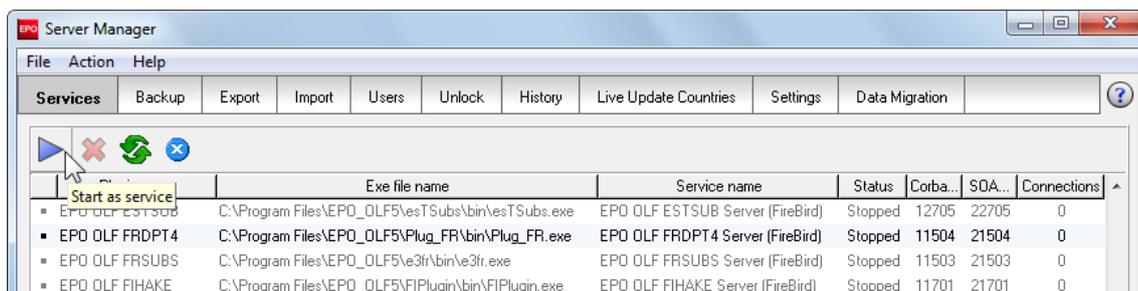


Figure 522: Service was activated and can be started

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



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.

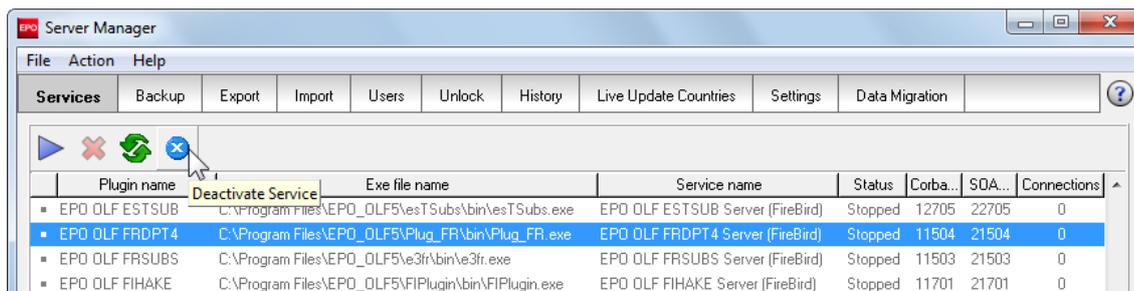


Figure 523: Deactivating a service that was stopped

You cannot deactivate the EPO OLF standard services, that is, the EPO OLF File Manager, the four EPO OLF plug-ins and the EPO PCT plug-in.

### 13.3 Database management (Backup)

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	Description
	<b>Backup</b>	Back up the complete Online Filing database to a compressed archive file.
	<b>Restore</b>	Restore the database from a selected backup file.
	<b>Delete file</b>	Delete a backup file.
	<b>Empty database</b>	Empty the Online Filing database. Specific data from the production database can be copied to the new database.
	<b>Refresh</b>	Display current list of all backup files from the default backup directory.

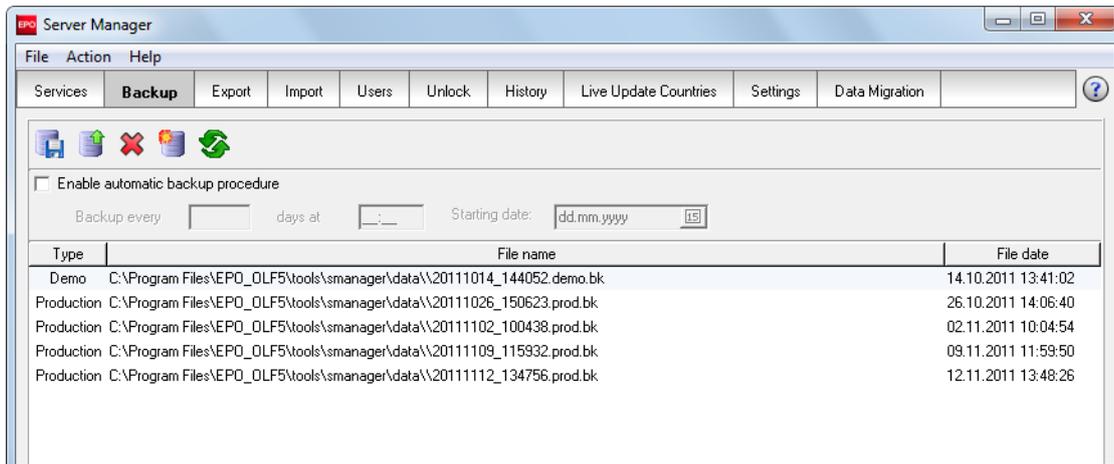


Figure 524: List of database backups in the backup directory

### 13.3.1 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.

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**.

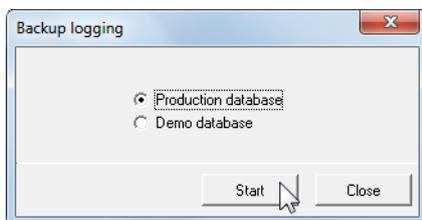


Figure 525: Selecting database for backup

The database will be backed up and stored in the default backup directory. The **Backup complete** message will inform you when the process is finished.

The backup file list is automatically refreshed.

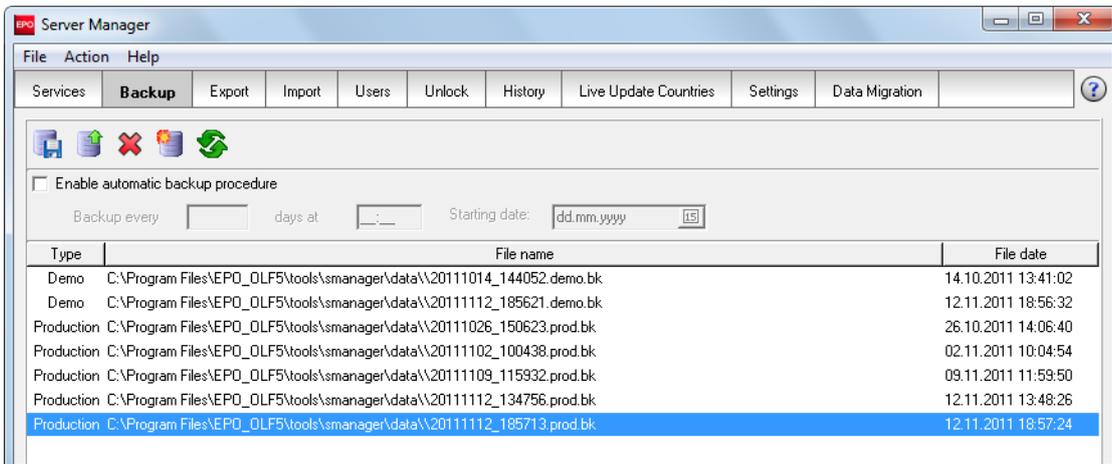


Figure 526: Backup complete, new file added to list

## 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 the last one to select all of them.

Click the **Delete** button.

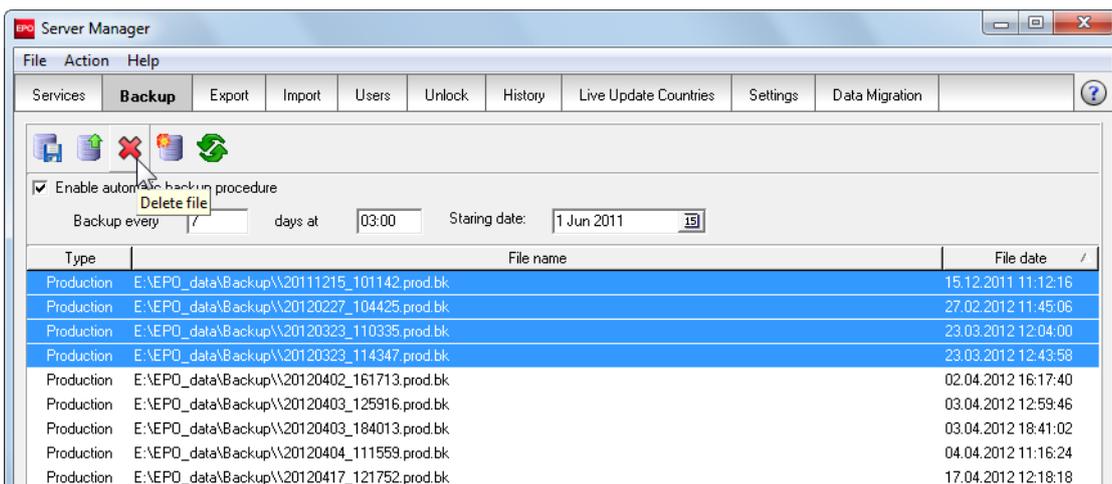


Figure 527: Deleting multiple backup files

You will be prompted for confirmation if you select multiple files to be deleted.

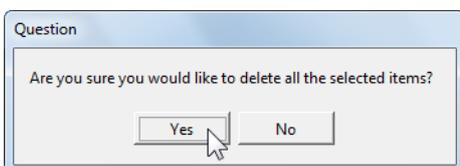
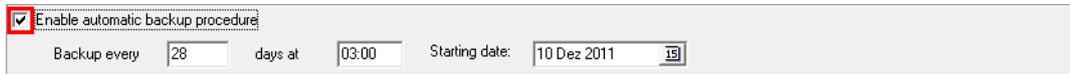


Figure 528: Confirming to delete multiple backup files

## 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.

Select the check box **Enable automatic backup procedure**.



Enable automatic backup procedure  
Backup every  days at  Starting date:

Figure 529: Default settings for automatic backup

Enter the number of days between the backups, e.g. **1** for daily backup or **7** for weekly backup.

**i** 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. 415).

Enter the time of day.

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**.



Enable automatic backup procedure  
Backup every  days at  Starting date:

Figure 530: 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 Server Manager, the following message is displayed as a reminder.

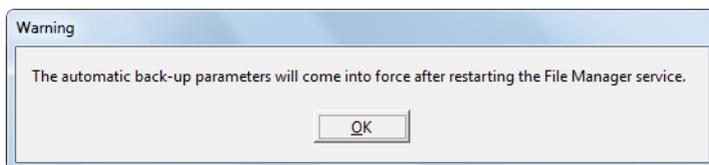


Figure 531: Reminder to restart the File Manager service, thereby activating the automatic backup

### 13.3.2 Restoring database

**Attention:** 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.

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.

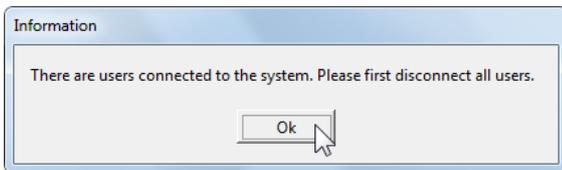


Figure 532: Warning message if there are active user connections

In the **Restore logging** window, click **Start**.

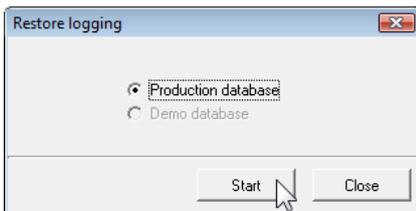


Figure 533: Restore logging window

The next window prompts you to confirm that the data in the database will be overwritten.

Click **Yes**.

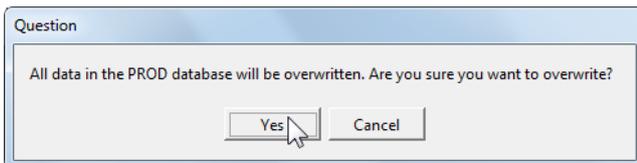


Figure 534: Warning before restore will overwrite data in the database

The database will be restored.

### 13.3.3 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. 411).

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.

Extended options are available for the production database only.

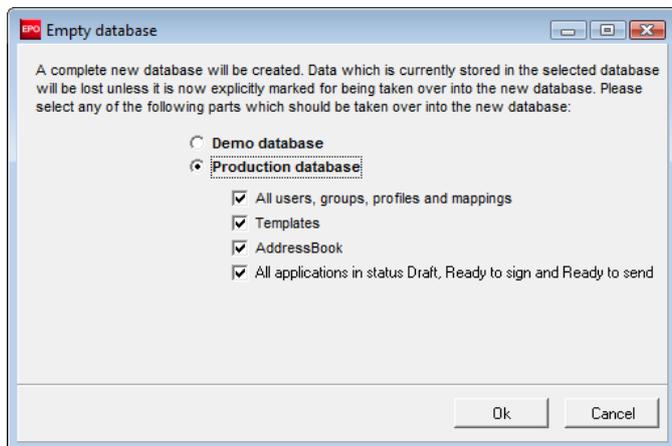


Figure 535: Empty database – selection of data to be transferred

Click **OK** to continue.

Click **Yes** in the **Question** window 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.

## 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.

The export functions in Server Manager apply to the production database only.

Button	Function	Description
	<b>Export</b>	Export selected items to the default export location. Applications will be saved as ZIP files containing XML and PDF documents.
	<b>Refresh</b>	Update current status of applications.

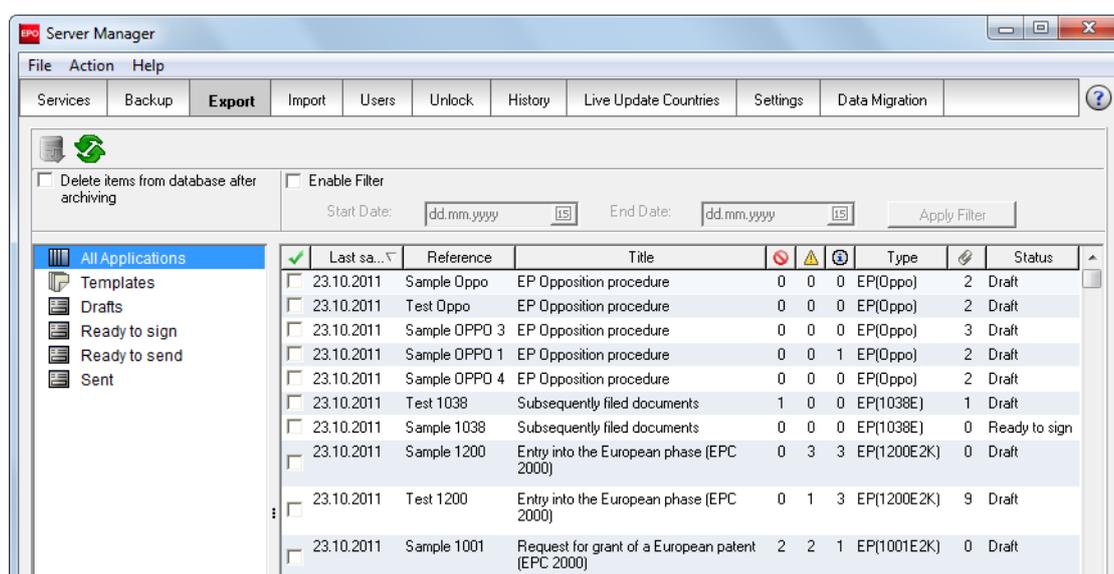


Figure 536: All applications in the Export tab

### Filtering by date

You can restrict the applications to be displayed by enabling the filter by last saved date.

Select 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 537: Enabling filter by start date and end date

To disable the filter, clear the **Enable Filter** check box.

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.

Click 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 cancel the selection of all items.

Click the **Export** button to start exporting files.

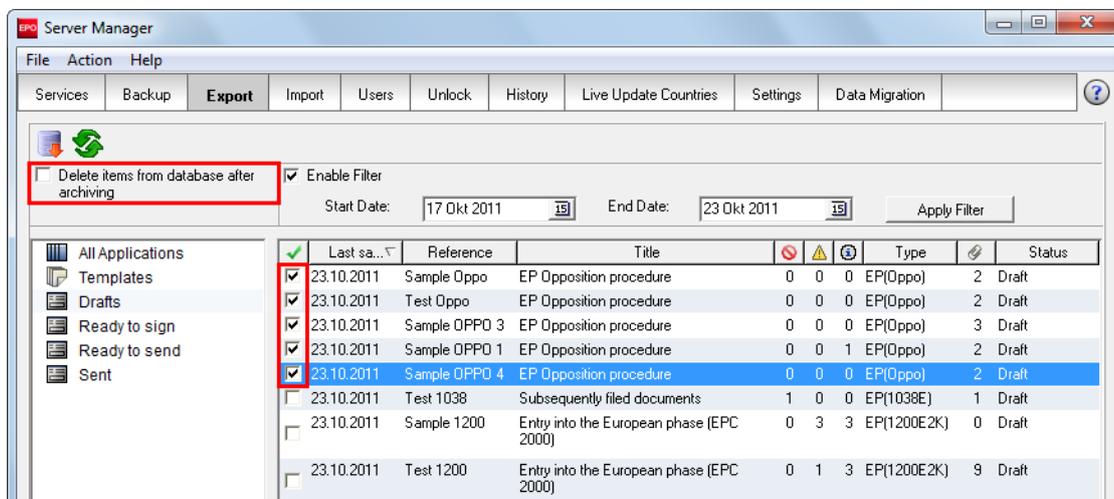


Figure 538: Selecting applications from the draft folder after a filter has been applied

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.





**Attention:** 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.

### 13.4 Importing items

The **Import** tab shows all the applications available in the default import folder; see Settings for file locations (p. 415). 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	Description
	<b>Import</b>	Import selected items from the default import location. ZIP files will be converted into database records including the original attachments.
	<b>Refresh</b>	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 items by clicking the  icon in the list header and selecting individual items.

Click the **Import** button to start importing items.



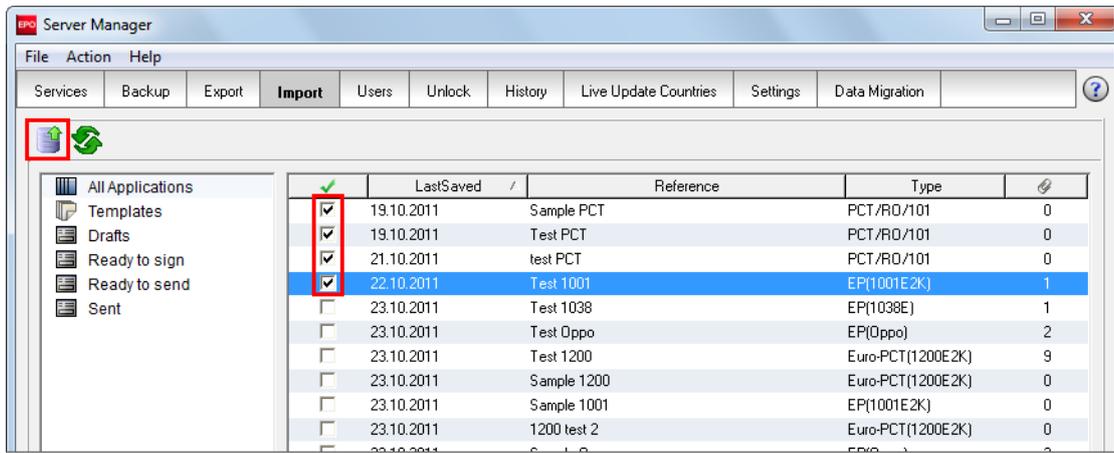


Figure 539: Import selected items

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.

### 13.5 User sessions

The **Users** tab displays all users currently connected to the Online Filing server. 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	Description
	<b>Get user log</b>	Display log information for selected user session in the right-hand pane.
	<b>Get full user log</b>	Display more detailed log information.
	<b>Terminate user</b>	Disconnect user from server.
	<b>Refresh</b>	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.

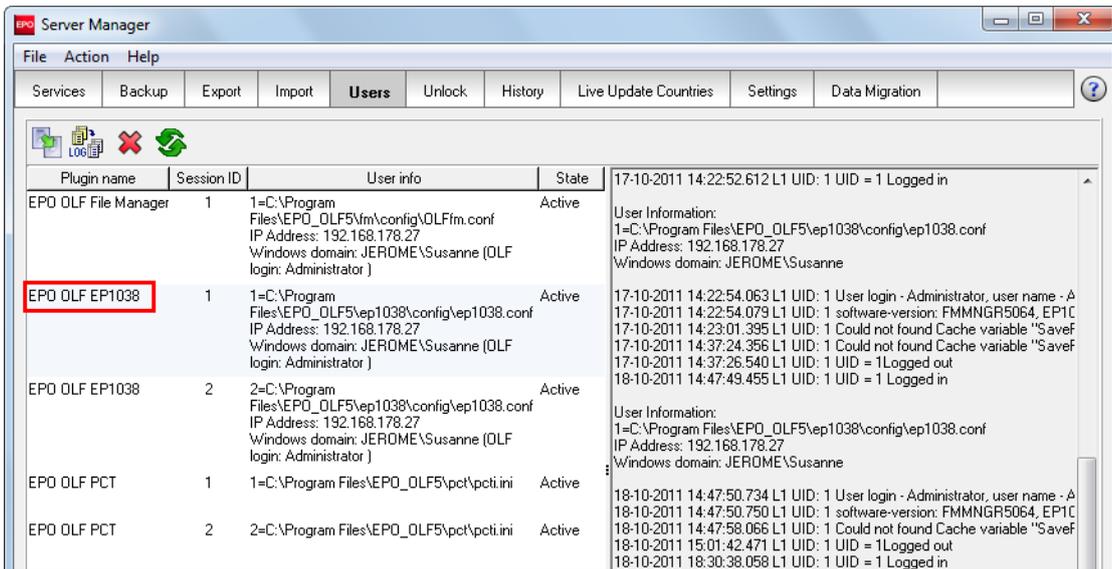


Figure 540: Users logged in to Online Filing services

### Terminating user sessions

Select the user session to be disconnected in the left-hand pane.

Click the **Terminate user** button.

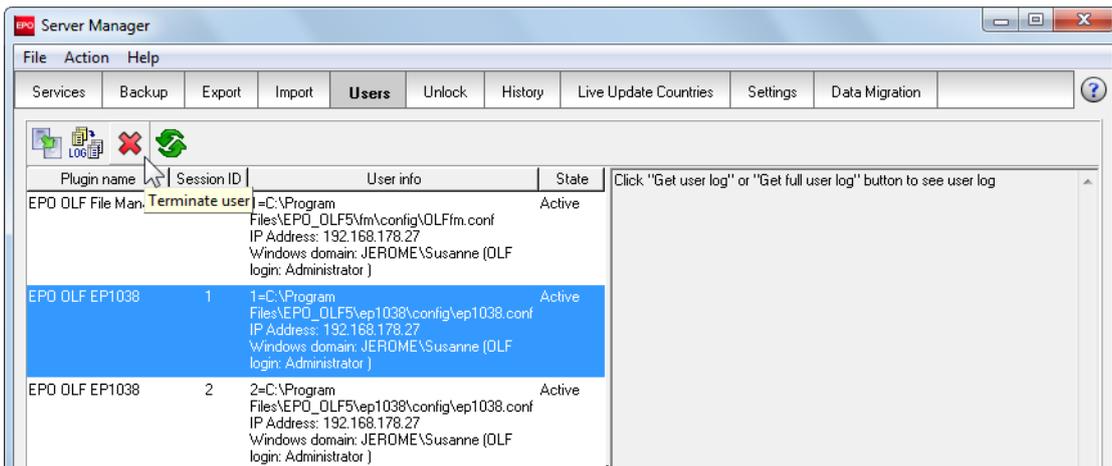


Figure 541: Terminate user

The connection will be terminated. In File Manager or in the form, the user will receive the following message:



Figure 542: User info – connection to server lost

## 13.6 Unlocking forms

The **Unlock** tab displays a list of all database records locked by users. In a stand-alone installation of Online Filing with a single user, the **Unlock** 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.

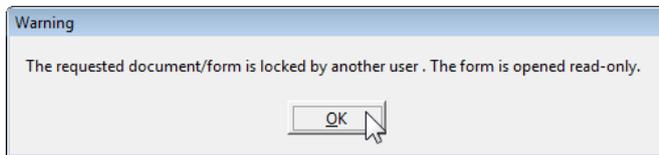


Figure 543: Warning about a locked application/document

In the **Unlock** tab, you can unlock locked records to enable other users to continue working on the relevant application. The **Unlock** function is not applicable for the PCT forms and works only for the production database.

Button	Function	Description
	<b>Unlock</b>	Unlock record and disconnect user from service.
	<b>Refresh</b>	Update current locked record list.

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.

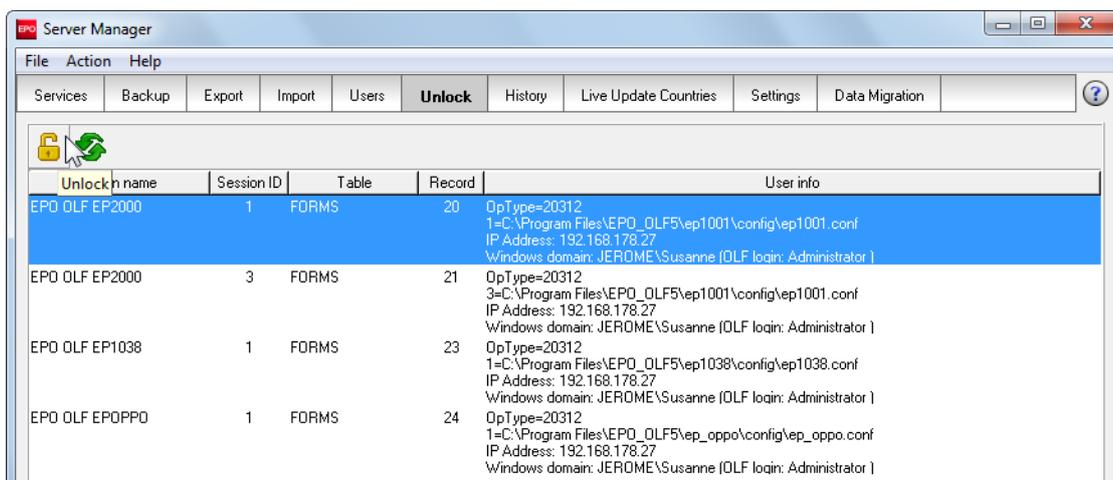


Figure 544: List of records currently locked

### 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.

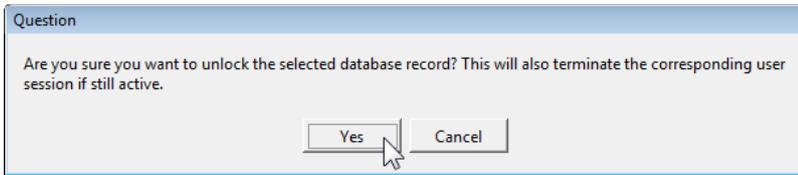


Figure 545: Unlocking a record also terminates the user session

### 13.7 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.

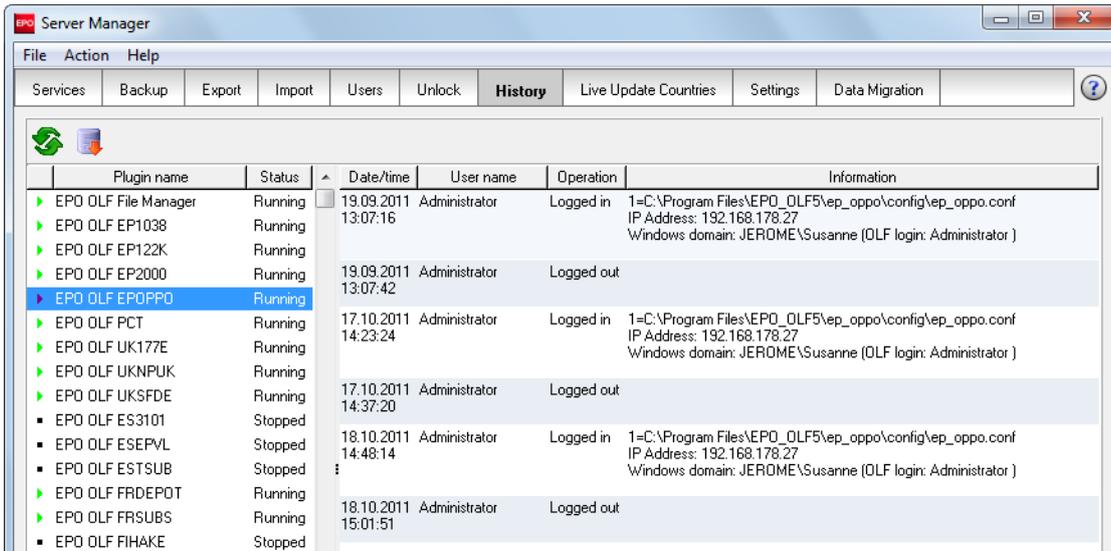


Figure 546: Log of user activities in the History tab

## 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.

## 13.8 Settings

The **Settings** tab comprises various options for configuring 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.

### 13.8.1 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 (**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	Description
<b>Backup and restore directory</b>	Location for storing database backup files.
<b>Export directory</b>	Location for exporting applications as ZIP files.
<b>Import directory – source</b>	Default location from which ZIP files are imported to new applications.
<b>Import directory – destination</b>	Default folder in File Manager where imported applications are created.

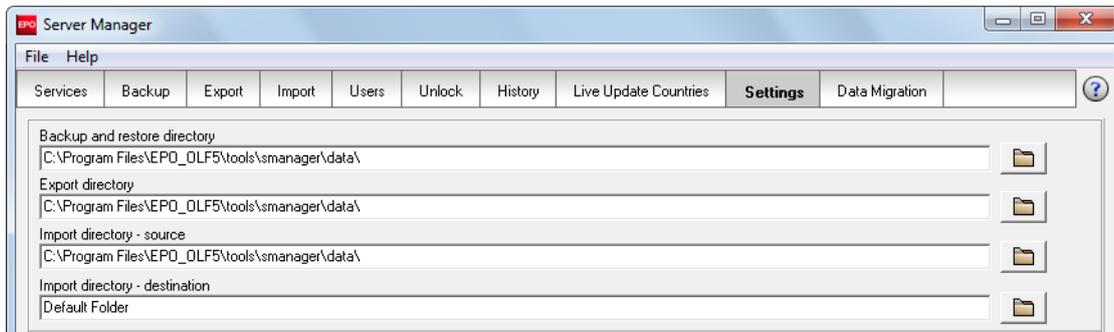


Figure 547: Default settings for file locations

### 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.

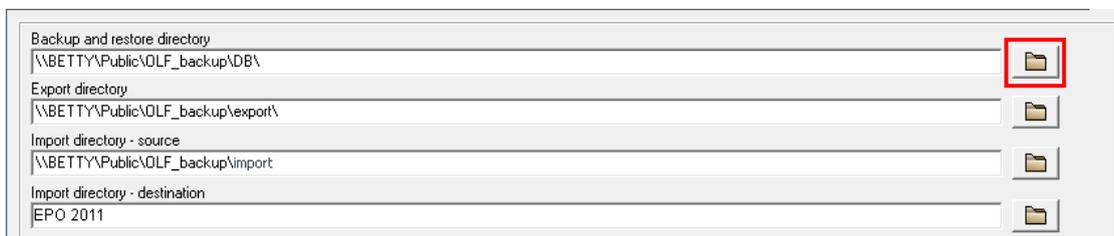


Figure 548: Example of individual settings for file locations

### 13.8.2 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.

Enter appropriate access data in the fields **Username** and **Password** if the proxy server requires authentication every time a connection is established.



**Attention:** 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.

The **SSL Version** is set to **TLSv1** by default and cannot be changed. To provide for enhanced security in terms of data encryption, Online Filing does not use previous SSL versions anymore.

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



Default Network Settings	
Proxy server:	192.168.178.33
	8080
SSL Version:	TLSv1
Username:	OLFUser
Password:	*****

Figure 549: Network settings

## 13.9 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>).

### 13.9.1 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.

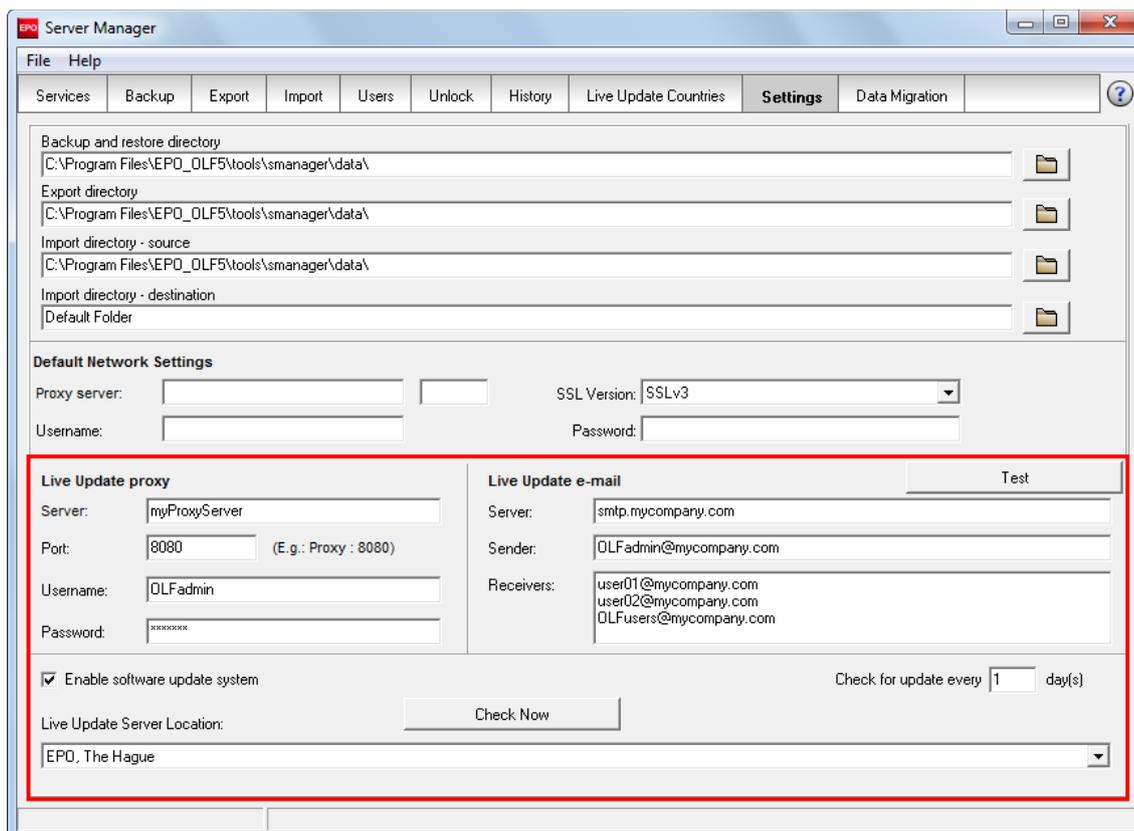


Figure 550: Live Update settings in Server Manager

## 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.

## Live Update check in File Manager

Online Filing automatically checks for updates every time File Manager starts and reports any updates found.

Only the administrator can perform live updates manually in Server Manager. The following message appears when a user opens File Manager for the first time on the day in question:

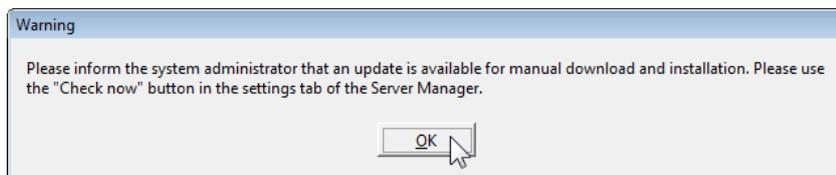


Figure 551: Message about an available update when File Manager starts

## 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**.

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 address(es) of the recipient(s) in the **Receiver** field.

If you enter multiple addresses, add a separator after each e-mail address. You can use commas, semicolons or line breaks.

The configuration of a special collective address which forwards mail internally to individual recipients is recommended.

To verify your settings, click **Test**.

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.

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.

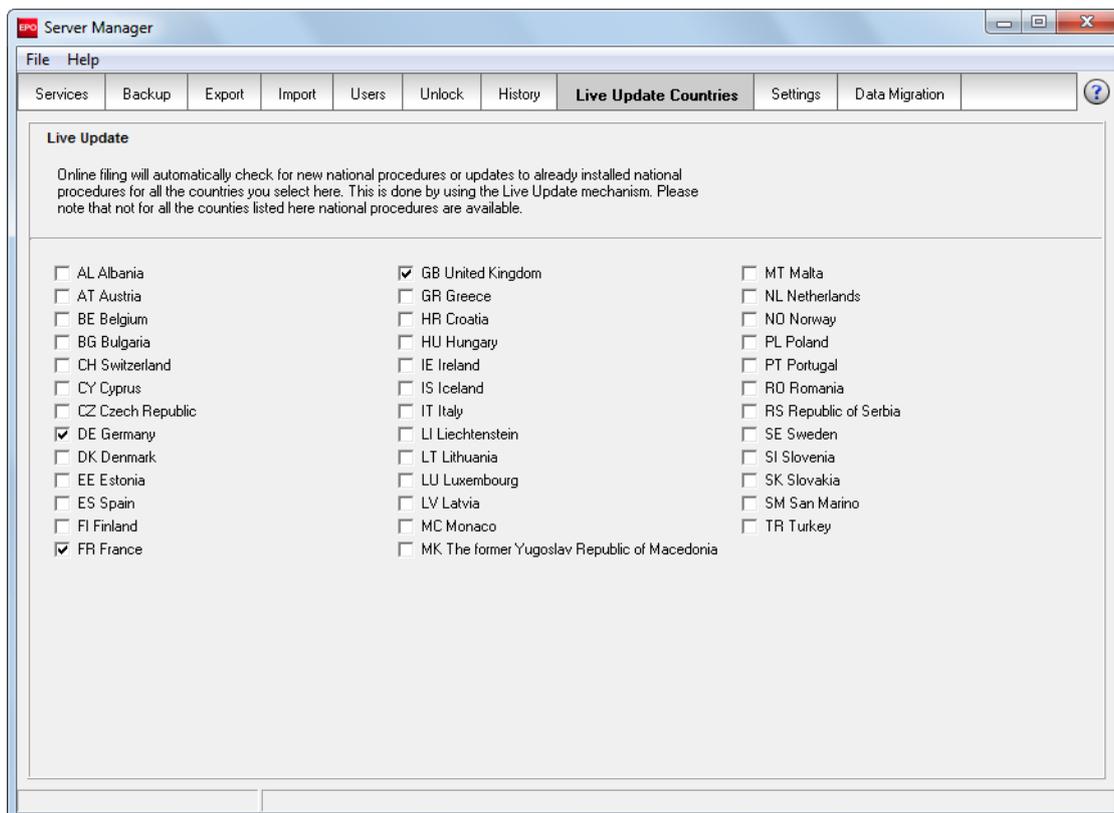


Figure 552: Selecting countries for Live Update

### 13.9.2 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.

Click **Yes** to download the updates.

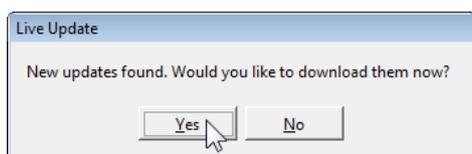


Figure 553: New updates found

The Live Update window opens with a list of the updates available.

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**.

Select the update in the list.

Click **Download**.

The **Install** button does not become active until after the update has been downloaded.

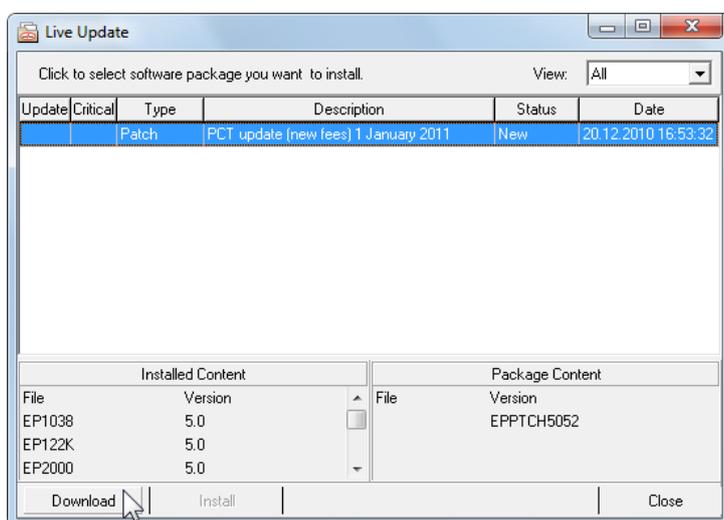


Figure 554: Updates available for download

## 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.

Select 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 555: Progress indicator during Live Update download

Before the files are saved on your hard disk, they are subjected to verification.

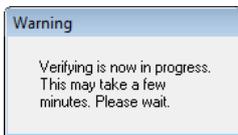


Figure 556: Verification of updates after download

Live Update always indicates when downloading and verification are successfully completed.

Click **OK**.



Figure 557: 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.

### 13.9.3 Installing updates

#### Installing maintenance updates

Maintenance updates are automatically loaded into the database after the files have been downloaded via Live Update.

Download the maintenance update.

Close both File Manager and Server Manager.

Start File Manager on the server machine.

If User Management is enabled, log on as **Administrator**.

The maintenance update will be loaded before the File Manager window opens.

#### Installing a patch via Live Update

In the **Live Update** window select the update you require.

Click **Install**.

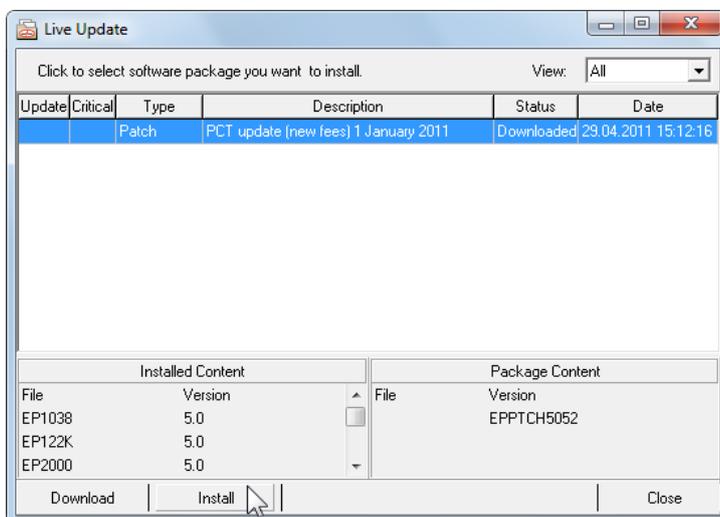


Figure 558: Installing a downloaded update

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 following window appears.

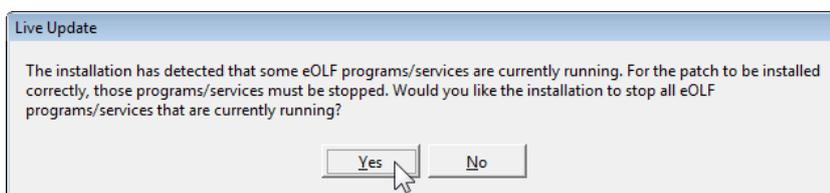


Figure 559: Pre-installation warning about the termination of Online Filing services

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.

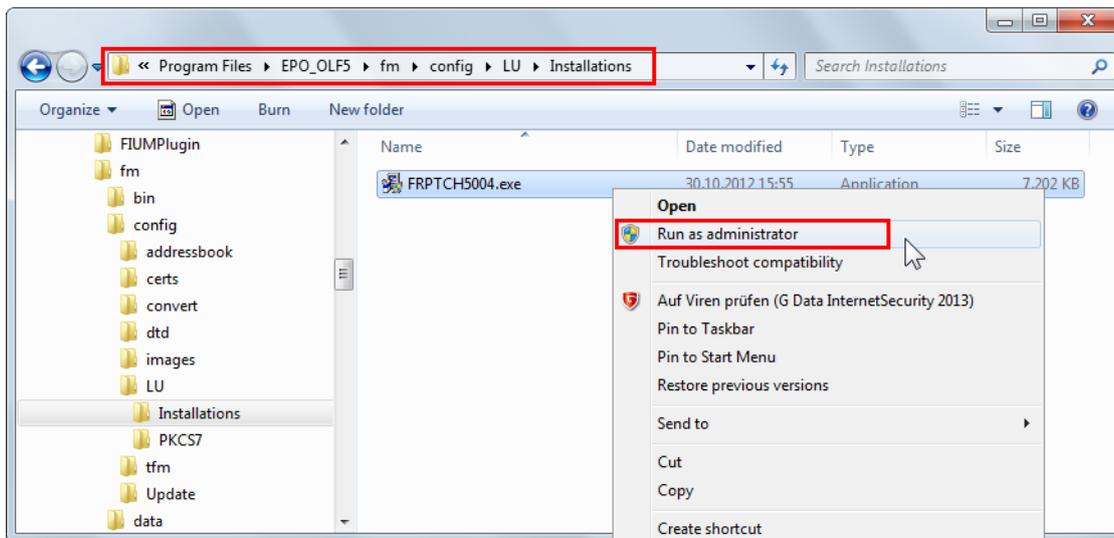


Figure 560: Downloaded update files in the EPO\_OLF5 program directory

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.

## 13.10 Data Migration

The **Data Migration** tab in 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.

#### 13.10.1 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**.

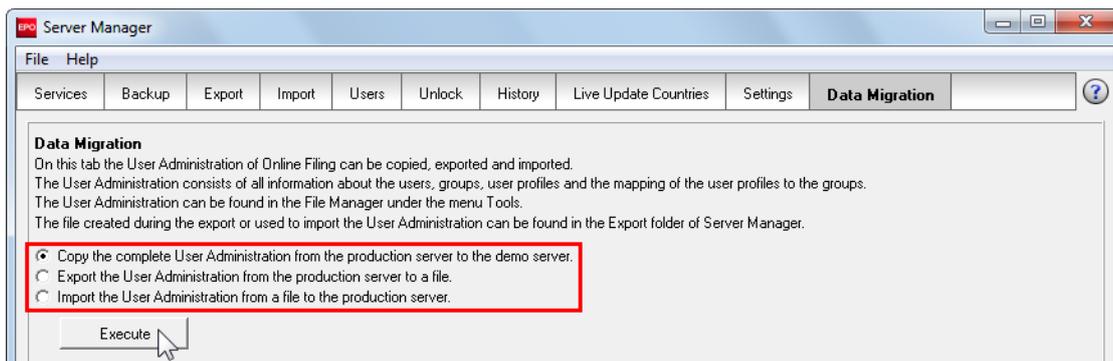


Figure 561: Options for migrating the User Administration

If users are connected, a message appears and the action is cancelled.

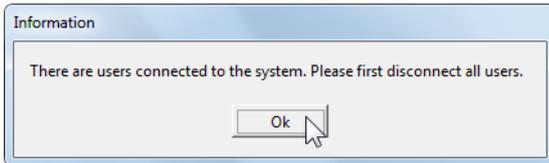


Figure 562: Warning to disconnect users before exporting or importing user management settings

## 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**.

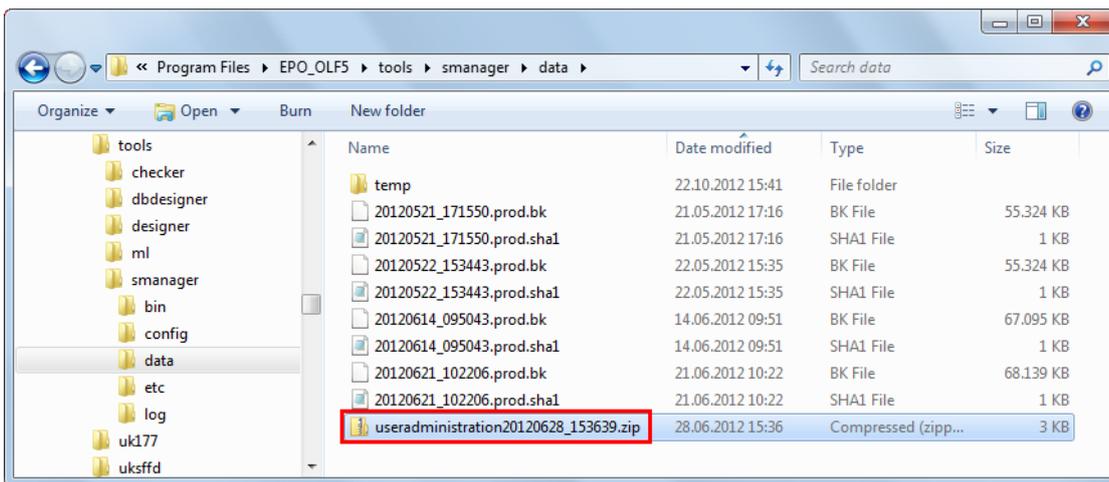


Figure 563: Locating the user administration file in the Server Manager's export folder

## 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**.

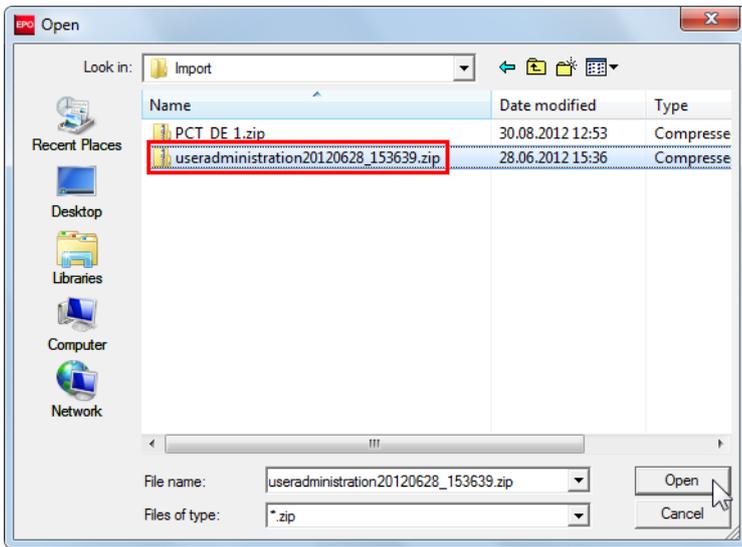


Figure 564: Selecting the user administration ZIP file for import to the production server

### 13.10.2 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.



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

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.

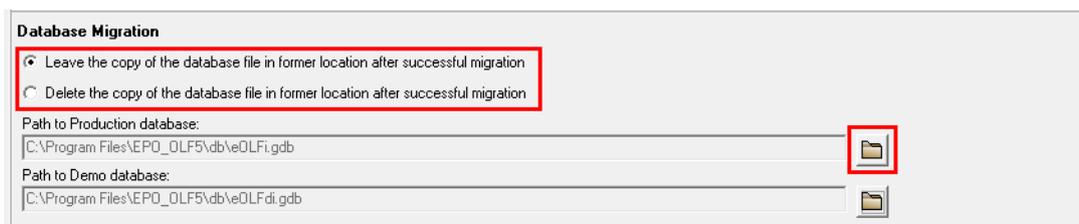


Figure 565: Options for migrating the OLF database

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**.

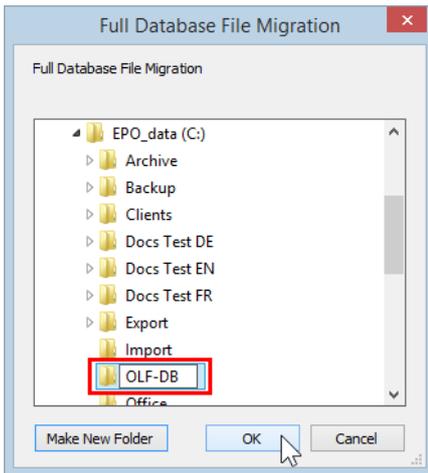


Figure 566: Selecting a new location for the OLF database

Wait until the **Information** window appears.

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.

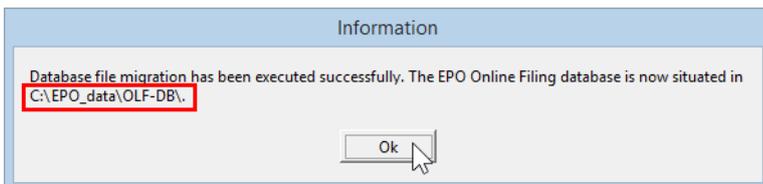


Figure 567: Confirmation of successful database migration

## 14. 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-ROMs (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.

**IIOB**

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 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.