



DOCX filing at the EPO

A guide for pilot participants

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1. INTRODUCTION

The EPO aims to make its patent process a fully digital one. One step towards this goal is to enable the online filing of documents in DOCX format, the character coded format used by most applicants in their daily work.

The application documents in DOCX format constitute the content of the application as filed.

The DOCX pilot gives you an opportunity to test this new functionality and give us feedback.

This guide aims to provide you with all the information you will need for testing.

2. HARDWARE AND SOFTWARE REQUIREMENTS

The hardware and software requirements for the DOCX pilot are the same as those for the use of EPO online filing tools (see <http://www.epo.org/applying/online-services.html>).

3. PREPARING TECHNICAL DOCUMENTS FOR DOCX FILING

Technical documents are:

- the description, claims, abstract and drawings
- where required, any translation of the description, claims, abstract and drawings

They can be filed as a complete set, in a single DOCX file: description, claims and abstract with or without drawings

You will have to follow the formatting instructions below to indicate the type of technical document(s) you are filing.

3.1. FORMATTING INSTRUCTIONS

3.1.1. Description

The description must start with the title "Description" in one line without any other text or image. Write it with an initial capital "D"; the rest of the letters must be in lower case. Apply a heading or title style to the whole word "Description". The same typographic rules apply to the German title "Beschreibung" and the French title "Description".

The actual title of the invention must appear under the title "Description".

Tables

Tables can be in one of two formats:

- created using the MS Word functionality
- an image

Mathematical equations

Mathematical equations can be in one of two formats:

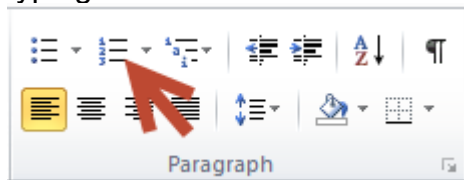
- created using the MS Word functionality
- an image

3.1.2. Claims

The claims must start with the title "Claims" in one line without any other text or image. Write it with an initial capital "C"; the rest of the letters must be in lower case. Apply a heading or title style to the whole word "Claims". The same typographic rules apply to the German title "Patentansprüche" and the French title "Revendications".

Claim numbering

Use the list numbering functionality to number claims. Do not number claims by just typing a number.



3.1.3. Abstract

The abstract must start with the title "Abstract" in one line without any other text or image. Write it with an initial capital "A"; the rest of the letters must be in lower case. Apply a heading or title style to the whole word "Abstract". The same typographic rules apply to the German title "Zusammenfassung" and the French title "Abrégé".

3.1.4. Drawings

The drawings must start with the title "Drawings" in one line without any other text or image. Write it with an initial capital "D"; the rest of the letters must be in lower case. Apply a heading or title style to the whole word "Drawings". The same typographic rules apply to the German title "Zeichnungen" and the French title "Dessins".

Each image of the drawings must be numbered as follows: [Fig.1], [Fig. 2], etc.

Image formats

The following image formats within the DOCX file (regardless of section) are currently supported:

- JPEG (.jpg file)
- PNG (.png file)
- TIFF (.tif file)

3.1.5. Excluded DOCX features

You cannot attach a DOCX file that contains any of the following features:

- encrypted text
- encrypted signatures
- hidden text
- annotations (e.g. comments, ink annotations, etc.)
- tracked changes
- embedded OLE objects
- bookmarks
- watermarks
- content controllers
- images in formats other than TIFF, PNG or JPEG
- unsupported unicode fonts; the currently supported fonts are:
 - Arial
 - Arial Black
 - Arial Narrow
 - Arial Rounded
MT Bold
 - Batang
 - Calibri
 - Cambria
 - Cambria Math
 - Courier New
 - Georgia
 - MS Mincho
 - MS-Gothic
 - MS-Simsun
 - PMingLiU
 - SimSun
 - Symbol
 - Tahoma
 - Times New
Roman
 - Trebuchet MS
 - Unicode Arial
MS
 - Verdana

4. ATTACHING DOCX FILES USING ONLINE FILING 2.0

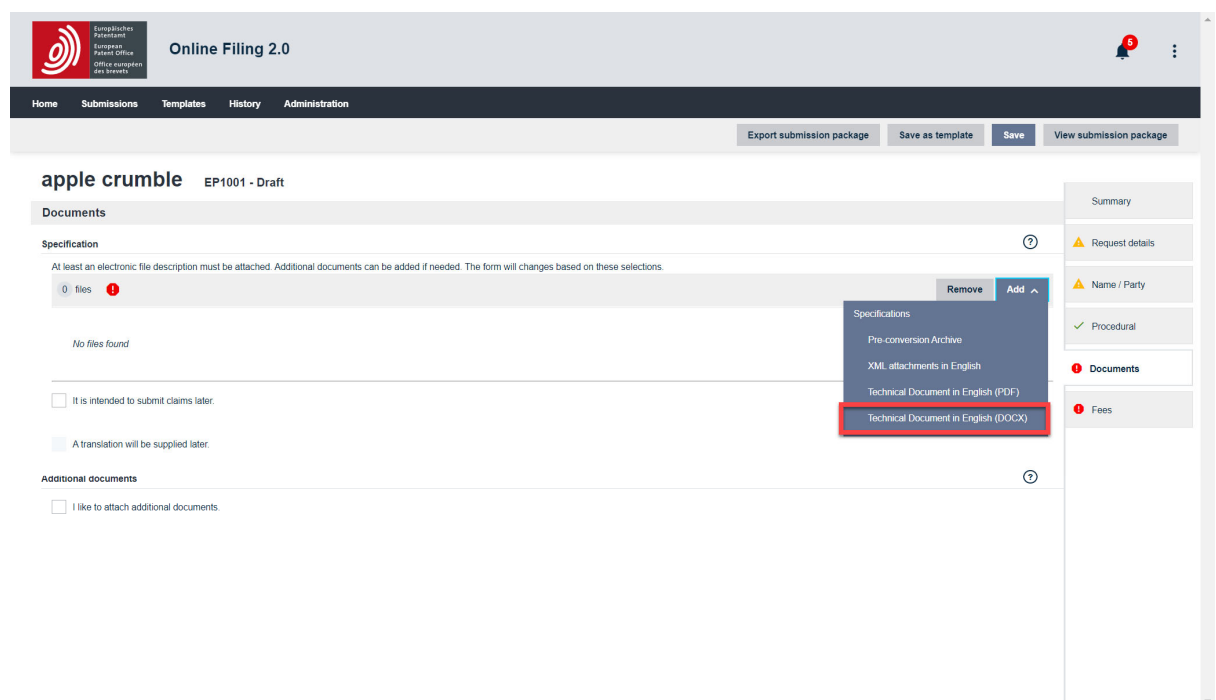
4.1. ATTACHING TECHNICAL DOCUMENTS TO FORM EP(1001E2K)

You can attach one or more technical documents to your application as DOCX files. You can combine all your technical documents in a single file or create a separate file for each one.

Example 1 - All technical documents are attached as a single DOCX file

- ① Every element in the attached document must start on a new page (see section 4.1 for an example of how to do this).

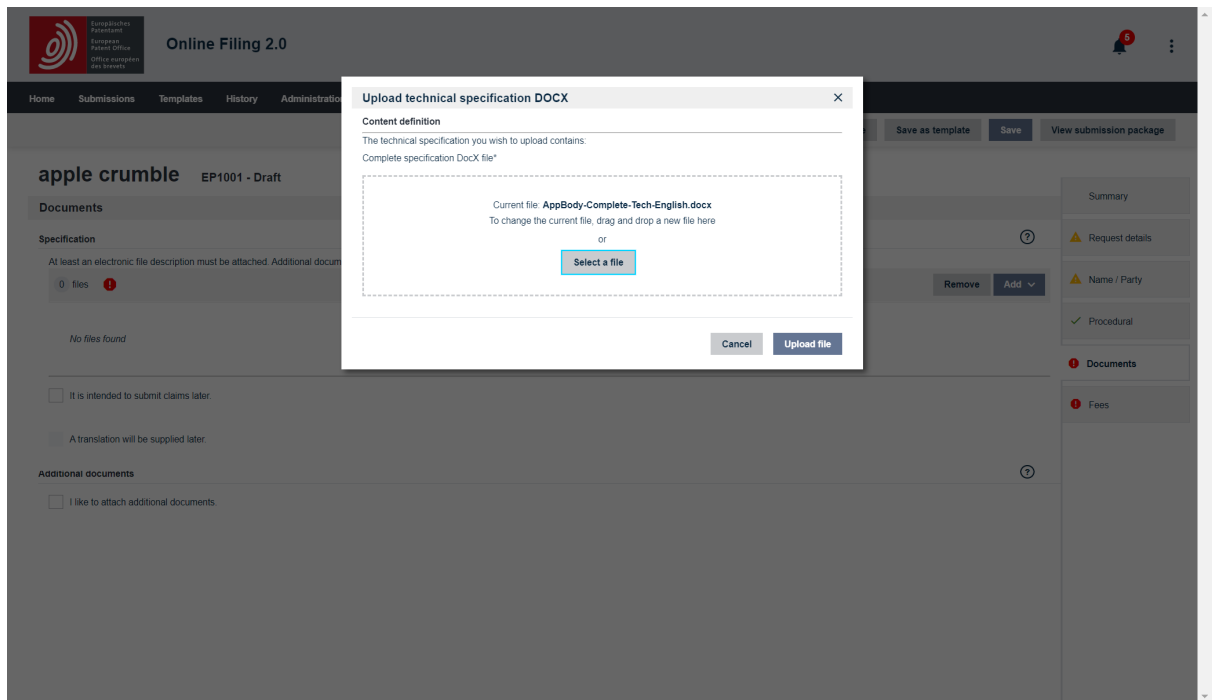
- In the **Documents** tab, select **Add**
- Select **Technical document(s) in English (DOCX)**.



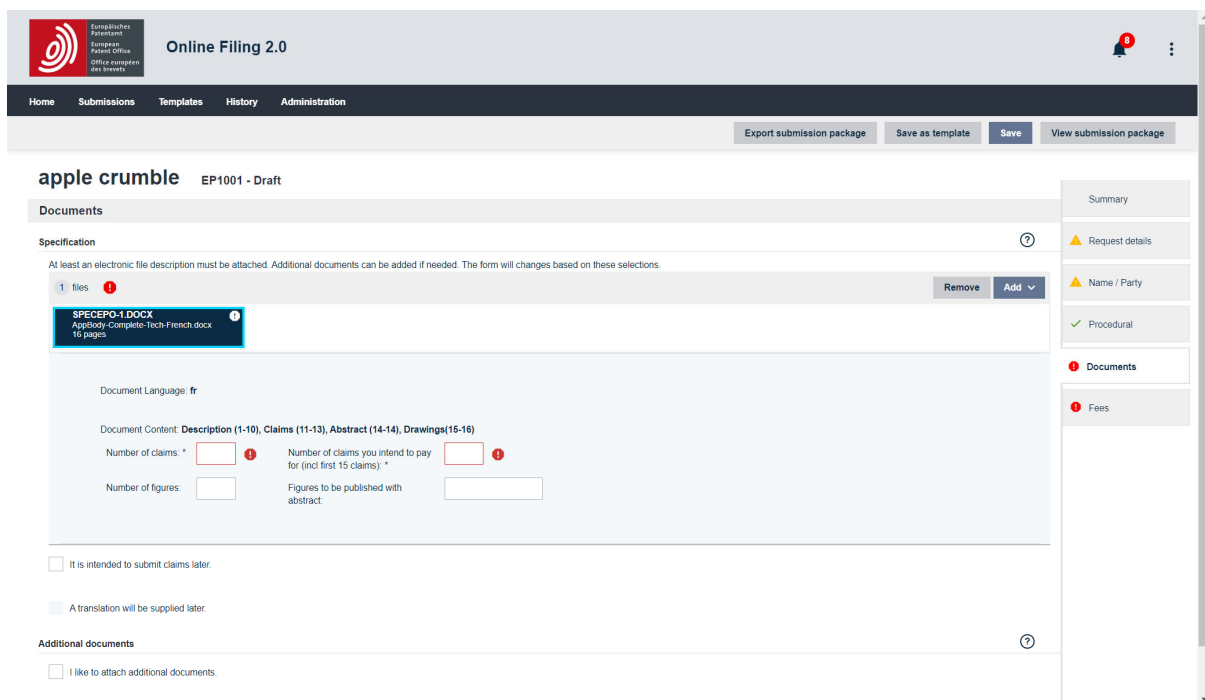
- Navigate to the file location.

- ① Online Filing 2.0 opens the working directory that was created under **Tools > User Preferences** in **File Manager**.

- Select the required file.
- Click **Open**.



The file is attached and renamed **SPECEPO-1.docx**.



- Enter data on the content of your file. Note that there are two mandatory fields (*).
 - **Number of claims***
 - **Number of claims you intend to pay for (including first 15 claims)***
This is exclusively for the purpose of fee calculation. If you do not intend to pay for any claims with this application, enter 0 (zero) in this field.
 - If the abstract also contains a drawing: **Figure to be published with abstract**

- If you attach drawings: **Number of Drawings**

apple crumble EP1001 - Draft

Documents

Specification

At least an electronic file description must be attached. Additional documents can be added if needed. The form will change based on these selections.

1 files

SPECPEPO-1.DOCX
AppBody-Complete-Tech-French.docx
16 pages

Document Language: fr

Document Content: **Description (1-10), Claims (11-13), Abstract (14-14), Drawings(15-16)**

Number of claims: *	15	✓	Number of claims you intend to pay for (incl first 15 claims): *	15	✓
Number of figures:	5	✓	Figures to be published with abstract:	1	✓

It is intended to submit claims later.

A translation will be supplied later.

Additional documents

I like to attach additional documents.

Summary

Request details

Name / Party

Procedural

Documents

Fees

5. TROUBLESHOOTING: ERROR AND WARNING MESSAGES

If you get an error message, you will not be able to attach the document until you rectify the error. Warning messages are for information only; you will still be able to attach the document.

No.	Error message	Meaning
1.	Document <filename.docx> is not a valid DOCX document.	Only attach DOCX files
2.	Document <filename.docx> is not a valid DOCX/PDF document.	Only attach DOCX or PDF files
3.	Document <filename.docx> contains OLE objects.	Remove OLE object. If this is a diagram, save it as TIFF or PNG file
4.	Document <filename.docx> contains content controls.	Remove any content controls
5.	Document <filename.docx> contains comments.	Delete all comments
6.	Document <filename.docx> contains revision marks from tracked changes.	Only clean copies without electronic tracked changes can be filed in DOCX format at present. File any marked up copies in PDF
7.	Document <filename.docx> contains ink annotations.	Remove any ink annotations
8.	Document <filename.docx> contains watermarks.	Remove any watermarks
9.	Document <filename.docx> contains hidden text.	Remove any hidden text

	Error message	Meaning
10.	Document <filename.docx> is not in an official language (DE/EN/FR).	Only technical documents in an official language can be attached here. Select the correct item to file non-official language texts
11.	Document <filename.docx> contains embedded images not in a valid format.	Only TIFF, JPG and PNG image files are supported under Annex F for DOCX filings
12.	Document <filename.docx> contains embedded drawings that are bigger than the maximum allowable size (1MB).	
13.	Document <filename.docx> contains fonts that are not supported.	Only fonts listed in section 3.1.5 are supported
14.	Document <filename.docx> contains no description.	No description detected. Check that a section title has been correctly added
15.	Document <filename.docx> contains no claims.	No claim detected. Check that a section title has been correctly added
16.	Document <filename.docx> contains no abstract	No abstract detected. Check that a section title has been correctly added

No.	Warning message	Meaning
1.	Document <filename.docx> contains no drawings	As drawings do not have to be present, this warning message will not prevent you from filing the document. However, if the document is supposed to contain a drawing, check that the section title has been correctly added.
2.	Document <filename.docx> contains headers. This content will be ignored.	Headers will still be visible in the EPO's image-based programs but will be removed from the XML file rendered from the DOCX file
3.	Document <filename.docx> contains footers. This content will be ignored.	Footers will still be visible in the EPO's image-based programs but will be removed from the XML file rendered from the DOCX file
4.	Document <filename.docx> contains text with different colours. All text will be rendered in black.	The colour of text within the document will not be maintained in the XML file rendered from the DOCX file
5.	Document <filename.docx> contains multiple fonts.	For PCT applications the page count is based on a PDF rendered from the ST.36 XML record copy. Using multiple fonts may result in a different page count in the DOCX file

6. FILING A BACK-UP COPY IN PDF

You can, if you wish, file a PDF back-up copy of any technical documents filed in DOCX format. The only condition is that you file your application documents in PDF and DOCX format in a single submission.

Documents filed in DOCX format constitute the originally filed documents. This is of particular importance when filing an application. The application documents filed in DOCX format constitute the content of the application as filed within the meaning of Article 123(2) EPC. A PDF back-up copy can serve as evidence of what you intended to file (e.g. in the case of a request for correction under Rule 139 EPC).

Once filed in DOCX format, the EPO will transform the application documents into ST.36 XML for further processing. If there are any errors, inconsistencies or omissions, the original disclosure in DOCX format will be consulted. If any doubts or inconsistencies remain despite having consulted the DOCX file, the PDF back-up copy, if filed, can be checked. It is important to note, however, that a PDF back-up copy can never be used to replace the DOCX version. Both the application documents in DOCX format and the PDF back-up copy will be made available for file inspection in accordance with Article 128 EPC.

During the DOCX pilot, you can file a PDF back-up copy when filing your application documents in DOCX format.

