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Patent Cooperation Treaty (PCT)

Common Quality Framework for International Search and Preliminary Examination

INITIAL REPORT ON QUALITY MANAGEMENT SYSTEMS

*prepared by the **UKRAINIAN NATIONAL OFFICE FOR INTELLECTUAL PROPERTY AND INNOVATIONS***

The Authority should provide general background information relevant to the quality management system (QMS) as set forth in this template.

The descriptions below each main heading of this template should be considered examples of the type and arrangement of information that should be included under each heading. Each Authority may provide additional information beyond that set forth in this template as desired.

INTRODUCTION (PARAGRAPHS 21.01 - 21.03)

In this introduction, each Authority should include a summary of all changes to their quality management system that have taken place since the previous report on their Quality Management System, and any other matters considered to be interest in relation to quality management.

If applicable, the Authority may at this point indicate any recognized normative reference or basis for their quality management system besides Chapter 21, such as ISO 9001, under the heading "Normative Reference for QMS"

For example: "Normative reference for QMS: ISO 9001, EQS (European Quality System)"

Each Authority should then provide at least the information indicated in the descriptive boxes, under the following headings. Authorities may include process charts if this would facilitate the understanding of an aspect of the report.

According to the Resolution of the Cabinet of Ministers of Ukraine No. 943, dated 28 October 2022, "Some Issues of National Intellectual Property Authority" the State Organization "Ukrainian National Office for Intellectual Property and Innovations" (UANIPIO) is performing the functions of the National Intellectual Property Authority. This Resolution entered into force on November 8, 2022.

At its forty-ninth session, held in Geneva from October 2 to 11, 2017, the Assembly of the International Patent Cooperation Union (PCT Union) extended the appointment of the State Enterprise “Ukrainian Intellectual Property Institute” (Ukrpatent) as an International Searching Authority and International Preliminary Examining Authority under the PCT, and approved the text of a draft agreement between the Ministry of Economic Development and Trade of Ukraine and the International Bureau (see documents PCT/A/49/2, Annex XIX and PCT/A/49/5, paragraphs 41 to 43). The agreement came into force on January 1, 2018.

Following the Resolution of the Cabinet of Ministers of Ukraine No. 943 with effect from November 8, 2022, the State Organization “Ukrainian National Office for Intellectual Property and Innovations” (UANIPIO) took over responsibility for, inter alia, patent processing, including the roles of receiving Office, International Searching Authority and International Preliminary Examining Authority under the PCT.

UANIPIO is the successor body to Ukrpatent for the purpose of patent processing. It retains all the examiners, search facilities, IT systems and other facilities and expertise of Ukrpatent and is substantively the body appointed by the Assembly of the PCT Union. The amendments to the agreement between the Ministry of Economic Development and Trade of Ukraine and the International Bureau, to reflect the names of the Ministry and of the Office (as set out in the Annex to document PCT/A/55/3), were approved by the Assembly of the PCT Union (see document PCT/A/55/4, paragraphs 33 to 38).

UANIPIO has established and maintains a Quality Management System (QMS) covering all of the services regarding patent granting procedures. The QMS covers the processing of PCT applications both in the international phase and international searches.

The UANIPIO’s Strategic Development Plan for 2024-2028 set out as the mission - modern, professional, technological and transparent system of intellectual property; Ukraine's future lies in creativity, innovations, technologies and investments facilitated by a high-quality state system of IP legal protection which functioning for sustainable innovative development and support of creativity.

In line with this mission, UANIPIO has explicitly embedded a systematic focus on quality of services, examination excellence and continuous improvement. The Plan identifies the implementation of the QMS in accordance with ISO 9001:2015 as a strategic aim (Chapter 5 (2.1). “Management of UANIPIO as a single system”)

Moreover, within the direction “Reliable protection of applicants’ intellectual-property rights” the Plan underscores the objective of raising the standards of examination of applications (Strategic Aim 2.1) and – significantly for the ISA/IPEA context – ensuring adherence to the standards of the International Searching Authority (ISA) and International Preliminary Examining Authority (IPEA) (Strategic Aim 2.3).

These elements directly interface with the QMS: they call for documented procedures, monitoring of performance, risk-based thinking, resource management, process-interaction, measurement of outcomes, and feedback loops – core features of ISO 9001:2015 and of the QMS requirements under Chapter 21 of the PCT Guidelines.

In 2023, the UANIPIO’s patent process QMS successfully passed its certification audit under ISO 9001:2015 standard. In 2024 the UANIPIO has also acquired ISO 37001:2016 certification (“Anti-bribery management systems – Requirements with guidance for use”).

In June 2025, the UANIPIO’s QMS successfully passed the surveillance audits under the ISO 9001:2015 standard.

1. LEADERSHIP AND POLICY

21.04 Confirm that the following are clearly documented, and that this documentation is available internally:

(a) The quality policy established by top management.

(b) The roles and names of those bodies and individuals responsible for the QMS, as specified by top management.

(c) An organizational chart showing all those bodies and individuals responsible for the QMS.

UANIPIO has established and maintains a Quality Management System (QMS) fully aligned with the requirements of ISO 9001:2015. The QMS is documented, implemented, and accessible to staff through internal communication channels.

In June 2023, a certification audit was conducted by the international certification body DEKRA, confirming conformity of UANIPIO's QMS with ISO 9001:2015 (Audit Report No. Z-A 677423/GC/9001; Certificate No. 32072300505, valid until July 2026).

In June 2025, the second surveillance audit was completed, confirming continued compliance with ISO 9001:2015.

(a) A formal Quality Policy has been established and approved by UANIPIO Order No. 96 of 17 May 2023. UANIPIO ensures compliance with ISO 9001:2015 through documented QMS procedures, appointment of a **Chief Quality Representative**, designation of QMS representatives within each structural unit, and operation of a **permanent Quality Coordination Council** responsible for overseeing and improving the QMS.

(***b)*** The QMS consists of 16 documented processes with defined sequence, interactions, performance indicators and monitoring mechanisms. The sequence and interaction of these processes have been defined, together with performance criteria and control methods for these processes, as well as monitoring of QMS processes and service quality at all relevant stages.

To ensure internal communication on quality matters and coordination of activities affecting quality, UANIPIO has established the Quality Coordination Council for the development, implementation and functioning of the UANIPIO QMS. QMS representatives in the structural units have been designated, and the necessary documented procedures have been defined and developed.

The main tasks of the Coordination Council are: defining the Quality Policy and developing quality objectives; defining the principles, processes and the overall QMS model that comply with ISO 9001:2015 and Chapter 21 of the PCT International Search and Preliminary Examination Guidelines, and that meet user requirements; ensuring control, management, analysis and improvement of the QMS.

The Coordination Council is a permanent advisory collegiate body under UANIPIO management.

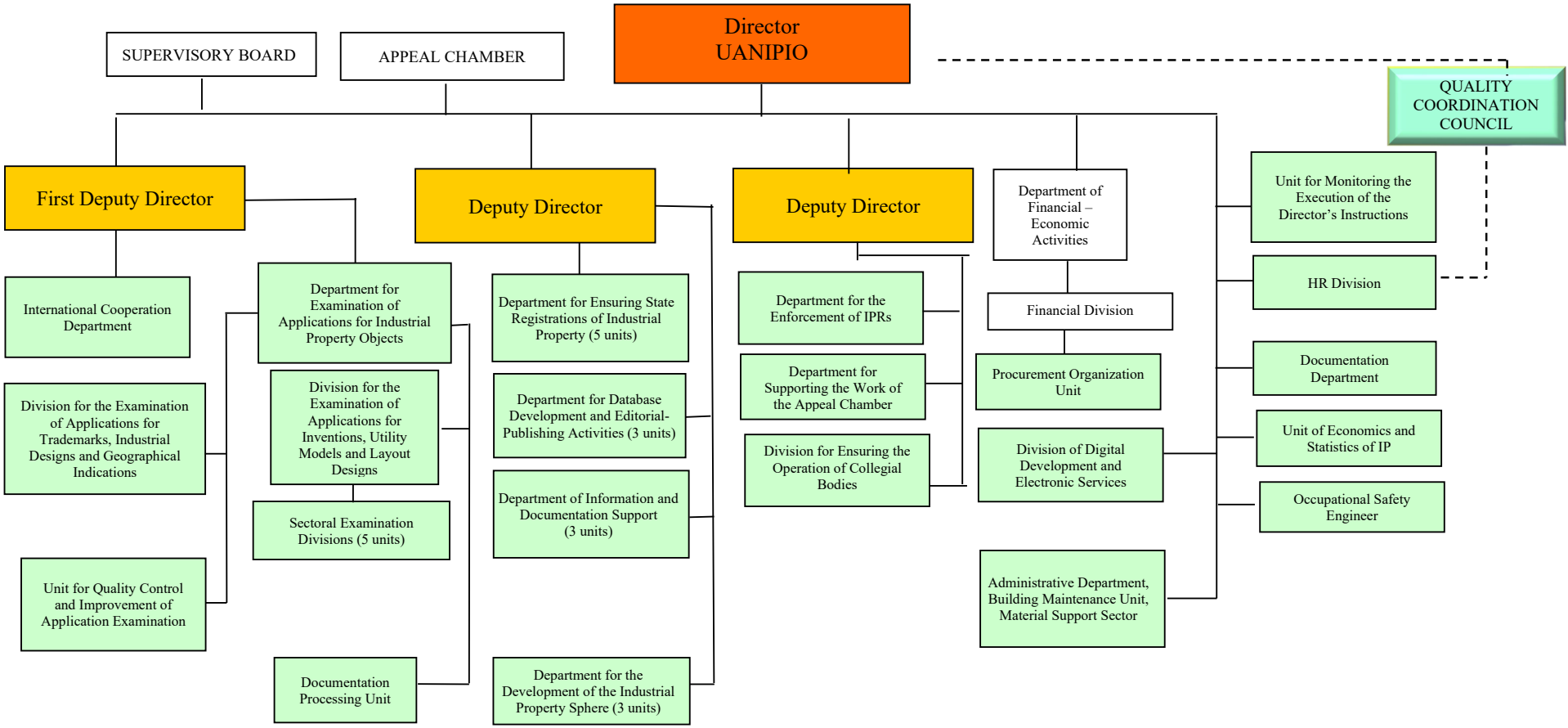
By Orders No. 66 of 04.04.2023 and No. 30 of 23.02.2024, UANIPIO appointed the Chief Representative for the implementation and functioning of the QMS, as well as the Chair and composition of the Coordination Council.

The Chair of the Coordination Council is the First Deputy Director, Bogdan Paduchak. The Chief Representative is the Quality Management Specialist of the Human Resources Department – Ihor Hryhoriev.

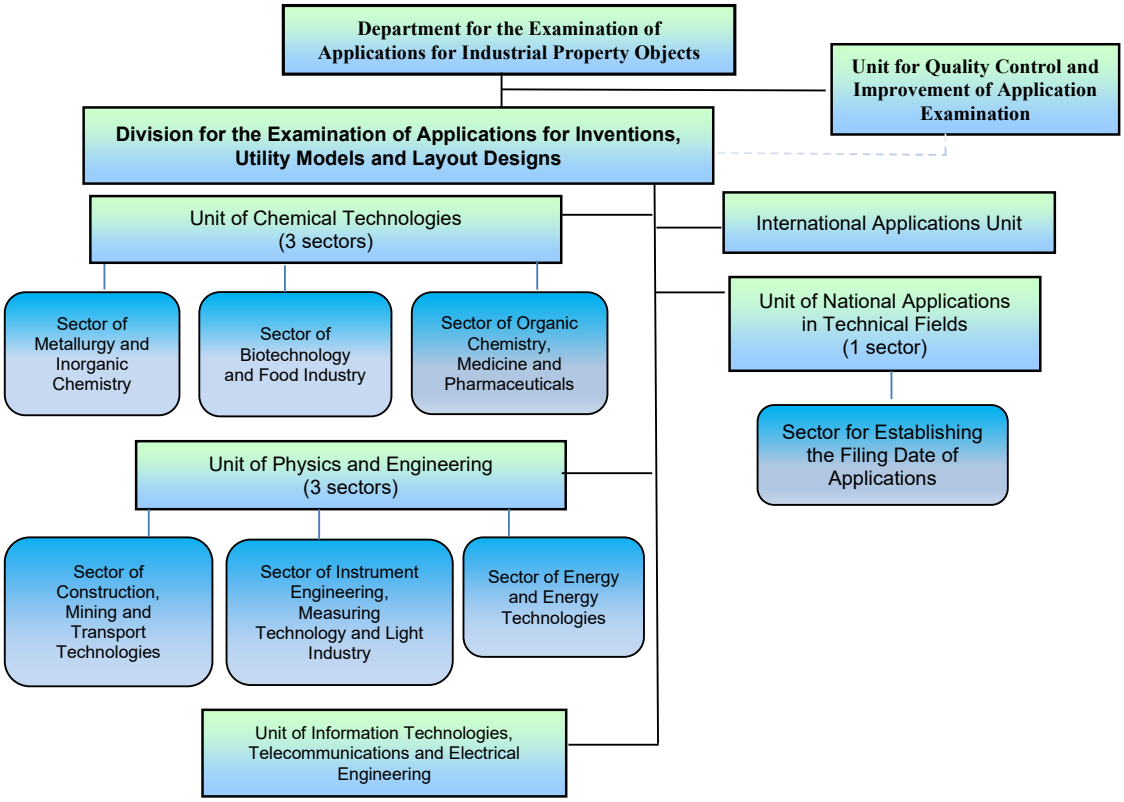
Meetings of the Coordination Council are held at least once every six months. In 2025, four meetings of the Coordination Council were held.

(c) The organizational structure of the QMS is presented below and reflects the distribution of responsibilities within the QMS.

(c) The organizational structure showing the departments and individuals responsible for the Quality Management System



Structure of the Department for the Examination of Applications for Industrial Property Objects



21.05 Indicate (e.g. by means of a table) the extent of compatibility between the Authority's QMS and the requirements of Chapter 21 of these International Search and Preliminary Examination Guidelines. Alternatively, indicate where the Authority is not yet compliant with these requirements).

[Sample table, to be amended as necessary]

Chapter 21 requirement				Extent of compliance		
				full	part	no
21.04		(a)	Quality policy available	✓		
		(b)	Identified roles and names for QMS responsibility	✓		
		(c)	Organizational chart available	✓		
21.05			Established compatibility of QMS with Chapter 21	✓		
21.06		(a)	Mechanisms to ensure effectiveness of the QMS	✓		
		(b)	Control of the continual improvement process	✓		
21.07		(a)	Communication of management about this standard to staff	✓		
		(b)	The PCT Guidelines are in line with the Authority's QMS	✓		
21.08		(a)	Management reviews take place	✓		

Chapter 21 requirement				Extent of compliance		
				full	part	no
		(b)	Quality objectives are reviewed	✓		
		(c)	Communication of quality objectives to the relevant staff at the Authority	✓		
21.09		(a)	Performance of a yearly internal review of the QMS in/to	✓		
		(b)	determine the extent to which the QMS is aligned with Chapter 21	✓		
			determine the extent to which search and examination (S&E) complies with PCT Guidelines	✓		
		(c)	an objective and transparent way	✓		
		(d)	using input incl. information according to paragraph 21.29	✓		
		(e)	recording the results	✓		
21.10			Risk and opportunities are addressed that can affect the QMS and the conformity of search and examination	✓		
21.13			Arrangements for establishing risk-based practices to	✓		
	(i)	(a)	understand issues that affect its ability to achieve intended results of the QMS	✓		
		(b)	understand the needs and expectations of interested parties	✓		
	(ii)		identify risks and opportunities related to the performance of the QMS as a basis for planning	✓		
	(iii)		plan and implement actions to address risks and opportunities	✓		
	(iv)		check the effectiveness of the actions taken	✓		
	(v)		continuously update risks and opportunities.	✓		
21.15			Assurance to monitor and adapt to actual workload	✓		
	(i)		Infrastructure in place to ensure that a quantity of staff	✓		
		(a)	sufficient to deal with the inflow of work	✓		
		(b)	which maintains technical qualifications to search and examine in all technical fields	✓		
	(ii)		Infrastructure to provide a quantity of skilled administrative staff	✓		
		(a)	at a level to support the technically qualified staff	✓		
		(b)	for the documentation of records	✓		
	(iii)		Ensuring appropriate equipment to carry out S&E	✓		
	(iv)		Ensuring documentation according to Rule 34	✓		

Chapter 21 requirement				Extent of compliance		
				full	part	no
	(v)	(a)	Instructions to help staff understand and act according to the quality criteria and standards	✓		
		(b)	Instructions to follow work procedures accurately and they are kept up-to-date.	✓		
	(vi)	(a)	Training and development program to ensure and maintain necessary skills in search and examination	✓		
		(b)	Training and development program to ensure awareness of staff to comply with the quality criteria and standards.	✓		
	(vii)	(a)	System in place for monitoring resources required to deal with demand	✓		
		(b)	System in place for monitoring resources required to comply with the quality standards in S&E	✓		
21.16	(i)		Control mechanisms to ensure timely issue of S&E reports	✓		
	(ii)		Control mechanisms regarding fluctuations in demand and backlog	✓		
21.17	(i)		Internal quality assurance system for self-assessment	✓		
		(a)	for compliance with S&E Guidelines	✓		
		(b)	for channeling feedback to staff	✓		
	(ii)		System for measurement of data and reporting for continuous improvement	✓		
	(iii)		System for verifying the effectiveness of actions taken to correct deficient S&E work, eliminate the causes and prevent issues from recurring	✓		
21.19		(a)	Contact person helping identify best practice between Authorities	✓		
		(b)	Contact person fostering continual improvement	✓		
		(c)	Contact person providing for effective communication with other Authorities for feedback and evaluation	✓		
21.20	(i)	(a)	Appropriate system for handling complaints	✓		
		(b)	Appropriate system for taking preventive/corrective actions	✓		
		(c)	Appropriate system for offering feedback to users	✓		
	(ii)	(a)	A procedure for monitoring user satisfaction & perception	✓		
		(b)	A procedure for ensuring their legitimate needs and expectations are met	✓		
	(iii)		Clear and concise guidance and information on the search and examination process for the user	✓		

Chapter 21 requirement				Extent of compliance		
				full	part	no
			Indication where and how the Authority makes its quality objectives publicly available		✓	
21.21		(a)	Established communication with the International Bureau	✓		
		(b)	Established communication with designated and elected Offices	✓		
21.22			QMS of Authority clearly described and documented	✓		
21.23		(a)	Material making up the reference of quality procedures and processes for staff and management has been prepared and distributed	✓		
		(b)	Media available to support the reference material	✓		
		(c)	Document control measures are taken	✓		
21.24			Items which should be documented in the reference of quality procedures and processes			
	(i)		Quality policy of the Authority and commitment to QMS	✓		
	(ii)		Scope of QMS	✓		
	(iii)		Organizational structure and responsibilities	✓		
	(iv)		Documented processes carried out in the Authority	✓		
	(v)		Resources available to carry out processes and implementing the procedures	✓	✓	
	(vi)		Description of the interaction between the processes and the procedures of the QMS.	✓		
21.25	(i)		Records of which documents are kept and where they are kept	✓		
	(ii)		Records of results of management review	✓		
	(iii)		Records about training, skills and experience of staff	✓		
	(iv)		Records of evidence of conformity of processes, resulting products and services in terms of quality standards	✓		
	(v)		Records of results of reviews of requirements relating to products	✓		
	(vi)		Records of the S&E process carried out on each application	✓		
	(vii)		Records of data allowing individual work to be tracked	✓		
	(viii)		Records of QMS audits	✓		
	(ix)		Records on actions taken re. non-conforming products	✓		
	(x)		Records on actions taken re. corrective actions	✓		
	(xi)		Records on actions taken re. preventive actions	✓		

Chapter 21 requirement				Extent of compliance		
				full	part	no
	(xii)		Records referring to search process documentation	✓		
21.26	(i)		Recording of the databases consulted during search	✓		
	(ii)		Recording of keywords, combination of words and truncations during search	✓		
	(iii)		Recording of the languages used during search	✓		
	(iv)		Recording of classes and combinations thereof consulted during search	✓		
	(v)		Recording of a listing of all search statements used in databases consulted	✓		
	(vi)		Records about limitation of search and its justification	✓		
	(vii)		Records about lack of clarity of the claims	✓		
	(viii)		Records about lack of unity	✓		
21.27			Report on its own internal review processes	✓		
21.28-21.30			Additional information on further inputs to its internal reviews	✓		
21.31			Initial report called for by paragraph 21.31	✓		

21.06 Indicate with reference to the organizational chart those bodies and mechanisms management uses to ensure:

(a) the effectiveness of the QMS; and

(b) that the process of continual improvement progresses.

(a) The responsibility for formulating and implementing the Quality Policy lies with the management of UANIPIO and the Chief Quality Representative (see 21.04 (b) and 21.04 (c)).

To determine the effectiveness of the QMS, UANIPIO's management annually develops and sets measurable quality objectives, indicating the departments and/or managers responsible for their achievement, and approves the internal audit program of the QMS.

The results of internal audits are discussed and analysed at meetings of the Quality Coordination Council, and the consolidated conclusions are submitted to the Director of UANIPIO for consideration and for appropriate decisions aimed at improving the quality-related activities and examination of the Office.

(b) The Chief Quality Representative provides overall guidance and coordination of the activities of QMS representatives in the structural units in order to ensure the effective development, implementation and improvement of the QMS.

The most significant issues and prepared proposals are discussed at meetings of the Quality Coordination Council and at management meetings of UANIPIO, and the decisions adopted at these meetings are formalized in the form of minutes, orders and instructions.

21.07 Indicate how management of the Authority communicates to its staff the importance of meeting treaty and regulatory requirements including:

(a) those of this standard; and

(b) complying with the Authority's QMS.

(a)-(b)

UANIPIO ensures that staff are informed about the importance of complying with the requirements of the QMS, including the requirements under the PCT related to the quality of international search and international preliminary examination. This is achieved through orders and instructions issued by management, weekly operational meetings held by the Director of UANIPIO, training seminars, reports and minutes of the Quality Coordination Council, and annual activity reports of UANIPIO. This information is promptly disseminated via email and through the internal information network.

In addition, top management communicates to examiners the requirements of quality management standards and regulatory documents through a specially created reference and information section in the automated system “Inventions”, which is accessible to all examiners directly from their workstations.

21.08 Indicate how and when top management of the Authority or delegated officers:

(a) conducts management reviews and ensures the availability of appropriate resources;

(b) reviews quality objectives; and

(c) ensures that the quality objectives are communicated and understood by the relevant staff at the respective Authority.

(a) Based on the Quality Policy, UANIPIO’s top management develops and formulates measurable objectives aimed at improving activities in the field of quality. The annual financial plan is adopted and approved each year.

Top management reviews are carried out by the Chief Quality Representative, the QMS Specialist and the audit team on the basis of orders issued by the Director of UANIPIO and in accordance with the QMS audit program.

If necessary, unscheduled audits on specific issues may also be conducted. In 2025, one internal QMS audit was carried out across the structural units. The results of internal audits were analysed at the meeting of the Quality Coordination Council in May (Minutes No. 2). QMS tasks are reviewed during UANIPIO’s annual activity planning for the following year.

In June 2025, an external audit of the QMS was conducted. According to the results of this audit, the UANIPIO QMS was confirmed to comply with the ISO 9001:2015 standard. The certificate of conformity is valid until July 2026.

The final document of UANIPIO’s management review is the report on the functioning of the QMS, on the basis of which UANIPIO’s management develops QMS development plans, adopts decisions on changes and/or improvements to the QMS, and allocates the necessary resources for its functioning.

The review of the QMS status was carried out at two meetings of the Quality Coordination Council on 27 May 2025 and 24 September 2025.

(b) Quality objectives and tasks were defined at the meeting of the Quality Coordination Council on 27 February 2025 and approved by UANIPIO Order No. 54 of 05.03.2025. Quality objectives and tasks are reviewed annually.

(c) Staff have the opportunity to promptly familiarise themselves with the necessary documents and with the results of QMS functioning through orders or instructions sent to the structural units and published on UANIPIO's internal network (ISO 9001 folder), as well as during regular working meetings within the units.

Information on the results of quality inspections of examination work, information on new working procedures, and other information related to UANIPIO's activities is also sent to the heads of examination units for further dissemination among staff and for use in their work.

21.09 Indicate whether top management or delegated officers of the Authority perform an internal review of the QMS in accordance with paragraphs 21.27-21.30:

(a) at least once per year (cf. paragraph 21.27);

(b) in accordance with the minimum scope of such reviews as set out in Section 9, namely:

to determine the extent to which the QMS is based on Chapter 21 (cf. paragraphs 21.27, 21.29(i));

to determine the extent to which Search and Examination work complies with PCT Guidelines (cf. paragraphs 21.27, 21.29(i));

(c) in an objective and transparent way (cf. paragraph 21.27);

(d) using input including information according to paragraphs 21.29 (ii)-(vi);

(e) recording the results (cf. paragraph 21.30).

See 21.05, 21.08.

(a) See 21.08(b).

(b) Monthly meetings are held with the Head of the Department for the Examination of Applications for Industrial Property Objects (hereinafter – the Examination Department), the Head of the Division for the Examination of Applications for Inventions, Utility Models and Layout Designs (hereinafter – the Examination Division), and the Head of the Unit for Quality Control and Improvement of Application Examination (hereinafter – the Quality Control Unit).

At these meetings, current issues of quality management, the availability of necessary resources, and measures that need to be taken to address urgent needs are discussed.

The results of these meetings are communicated to the relevant examination units or individual examiners for consideration in their work.

(c) UANIPIO ensures an internal automated system of ongoing and randomized (selective) quality control of examination.

Ongoing quality control is performed at the level of senior experts-curators and heads of sectoral examination units.

Randomized (selective) control is carried out by the Head of the Examination Division, his Deputy Head, and by the Quality Control Unit.

All conclusions regarding non-compliance of an invention with patentability criteria, as well as conclusions regarding compliance with patentability criteria of a patented utility model, are subject to 100% verification at the level of heads of sectoral units, by the Quality Control Unit (selectively), and by the Head/Deputy Head of the Examination Division.

The Error Classifier is used for the classification and coding (indexing) of identified violations by the officials performing internal quality control of examination.

Coding (indexing) of identified violations according to the Error Classifier is aimed at ensuring the accumulation of statistical data in the automated system "Inventions", which can be used for

automated statistical analysis of internal quality control results, and subsequently used for planning and implementing measures for training and professional development of staff of the Examination Department, aimed at improving the quality indicators of the work of employees and units of the Examination Department / Examination Division.

The Quality Classifier is used for assessing the quality level of the reviewed work and for coding (indexing) the assessment results by the officials performing internal quality control of individual tasks within the Examination Department. The quality level of a specific application is determined using an expert-based method.

Coding (indexing) of the quality assessment results is aimed at ensuring automated statistical analysis of internal quality control outcomes, and further use of these results when planning and implementing training and professional development measures for staff of the Examination Department, as well as when making decisions on recruitment, assignment, and material and moral incentives for staff of the Examination Department.

(d) See 21.05, 21.08.

(e) See 21.08 (c).

21.10 Indicate whether top management of the Authority promote practices to ensure that risks and opportunities that can affect its QMS and the conformity of international search and examination are addressed.

Top management promotes such practices. See Sections 21.11–21.13.

2. RISK-BASED PRACTICES

21.11 Explanatory note: Each Authority should establish its own risk-based practices to enable the Authority to determine factors that could cause operational processes and its quality management system to deviate from requirements or planned results, to put in pace preventive controls to minimize negative effects, and to make use of opportunities as they arise.

21.12 Explanatory note: It is open to each Authority to set up its own arrangements to determine the effect of uncertainty on objectives. Paragraph 21.13 provides a guide to the basic components of risk-based practices as an element of QMS. There is no requirement for formal methods of risk management or a documented risk management process.

(Note: These points are informative. No response is required by the template to paragraphs 21.11 and 21.12).

21.13 Arrangements for establishing risk-based practices

Provide information on the arrangements that your Authority has made to:

(i) (a) understand issues that affect its ability to achieve intended results of the QMS, and

(b) understand the needs and expectations of interested parties;

(ii) identify risks and opportunities related to the performance of the QMS as a basis for planning;

(iii) plan and implement actions to address risks and opportunities;

(iv) check the effectiveness of the actions taken; and

(v) continuously update risks and opportunities.

21.14 Explanatory note: All processes of the QMS present differing levels of risk in terms of the Authority's ability to meet its objectives, and the effects of uncertainty are not the same for all Authorities. Each Authority is responsible for the actions it decides to take to address risks and opportunities.

(Note: This point is informative. No response is required by the template to paragraph 21.14).

21.11-21.13 Measures for Establishing Risk-Based Practices

UANIPIO has developed and the Ministry of Economy of Ukraine has approved the UANIPIO's Strategic Development Plan for 2024-2028, which includes an analysis of the external and internal environment, a SWOT analysis, that is, the context of UANIPIO. A separate section of the Strategic Plan identifies potential risks and risk management measures. The main principles of risk management include:

- ✓ systematic approach:

  risks must be assessed systematically and regularly. The development of mechanisms for identifying, assessing and monitoring risks is an important stage of risk management;

- ✓ setting priorities:

  the critically high share of external risks necessitates their prioritisation in order to focus resources on the most significant aspects of risk management;

- ✓ implementation of preventive measures:

  the unpredictable and difficult-to-forecast nature of external risks (missile attacks, destruction of infrastructure, loss of communications, etc.) requires the adoption of preventive measures to avoid the occurrence of risks or to reduce their consequences;

- ✓ understanding and involvement of personnel:

  risk management must be understood and accessible to all staff of the Office. Employees must be involved in the process of identifying and assessing risks, which helps reduce the

potential consequences of risks and better organise their management. At the same time, conditions of full-scale war require systematic informing and discussion with staff about events that may pose a risk to their life and health;

- ✓ monitoring and updating:

  the nature and types of risks under martial-law conditions may change and accumulate quickly; therefore, mechanisms must be established for identifying new risks and updating risk-management measures.

UANIPIO applies a risk-management methodology within the QMS, in accordance with ISO 9001:2015. The current version of the standard requires “risk-based thinking” during the identification and management of risks and provides for the determination of potential risks and preventive actions across individual structural units.

Diversification of actions for identifying and managing specific types of risks makes it possible to better apply the principle of “understanding and involvement of personnel” and reduces the response time of management when an event or identified risk occurs.

The planning of UANIPIO’s activities is based on the consideration of strengths and weaknesses, as well as threats and opportunities. The QMS internal documented procedure QMS 6.1 “Actions on Risks: Identification, Determination and Assessment” has been developed and implemented.

Process owners have conducted a risk assessment of processes. Measures for preventing risks are recorded in the relevant logs. A risk register has been created based on information provided by the units.

Risks and opportunities are reviewed and analysed when forming the Quality Objectives; achieved results and threats to achieving the established objectives are taken into account.

The status of QMS processes and proposed measures for minimising and preventing risks are analysed in reports of the units and at the meetings of the Quality Coordination Council.

Decisions of the Appeal Chamber are reviewed by the Head of the Examination Division, and a summary is submitted to the patent process management group. If necessary, changes to processes, training programmes, etc. are agreed.

Particular attention is paid to understanding the needs and expectations of users, and various methods are applied to gather such information.

In addition to the above, UANIPIO’s risk-based practices are reinforced by the crisis-management and continuity mechanisms applied under the national crisis-management framework.

UANIPIO continuously identifies and evaluates risks associated with cyber threats, infrastructural instability, and emergency situations, as these directly affect the continuity of international search and examination operations. Under wartime conditions caused by Russia’s war of aggression against Ukraine, UANIPIO applies structured procedures for crisis preparedness, emergency response, real-time monitoring, and post-crisis review, including the functioning of the internal Civil Protection Commission, regular emergency briefings, activation protocols, and coordination with national USSCP authorities (institutional and legal framework - Unified State System of Civil Protection).

These measures support risk identification, mitigation and operational resilience, and complement the ISO 9001:2015 risk-oriented requirements integrated into UANIPIO’s QMS as documented procedures. UANIPIO’s practical experience in crisis response, continuity assurance, and adaptive resource allocation is systematically used as input data for the improvement of QMS processes, helping to better understand risks, evaluate their potential impact on international search and examination, and adopt preventive or corrective measures where necessary.

3. RESOURCES

21.15 Explanatory note: The granting of ISA/IPEA status means that the Authority has demonstrated it has the infrastructure and resources to support the search and examination process. Chapter 21 calls for assurance that the Authority can continually support this process while accommodating changes in workload and meeting QMS requirements. The responses below, should provide this assurance.

Human resources:

(i) Provide information about the infrastructure in place to ensure that a quantity of staff:

sufficient to deal with the inflow of work; and

which maintains the technical qualifications to search and examine in the required technical fields;

is maintained and adapted to changes in workload.

(ii) Describe the infrastructure in place to ensure that a quantity of appropriately trained/skilled administrative staff is maintained and adapted to changes in workload:

at a level to support the technically qualified staff and facilitate the search and examination process, and

for the documentation of records.

(i) The number of UANIPIO staff performing all work related to patent search and examination consists of *more than one hundred experts (102 experts in 2025*), all working full-time.

All experts hold higher education degrees (Bachelor/Master) in the relevant technical field and a second higher education degree in the field of intellectual property (Specialist/Master level). A number of experts in sectoral units hold a Candidate of Sciences degree. All patent experts possess sufficient knowledge of English to conduct searches, examination and prepare relevant documents, and some experts additionally speak other languages, including German, French, Spanish, and Polish.

The average length of service of patent experts is 18 years, with approximately 23% having 1–5 years of experience, and about 73% having more than 15 years of experience.

The experience and knowledge of UANIPIO experts enable them to conduct high-quality searches and examinations across multiple technical fields, including nanotechnology, pharmaceuticals, chemistry, biotechnology, agriculture, metallurgy, electronics, telecommunications, and others.

Assessment of required human resources, taking into account the current workload (application inflow), is carried out on a continuous basis during regular management meetings involving Deputy Directors, Heads of Departments and Divisions, and persons responsible for quality control.

At these meetings, qualification requirements for experts are determined in accordance with existing needs for high-quality examination, and plans are approved for recruitment, training, and professional development of experts.

UANIPIO’s system for maintaining and developing a high professional level includes regular participation of experts in internal training programs and in distance-learning courses of WIPO and the EPO, as well as participation in other activities held in Ukraine and within the framework of international cooperation.

Ongoing internal training is conducted in the form of workshops on search techniques, examination practices, preparation of examination documents, and review of case studies. Experts are provided opportunities to maintain and improve foreign-language skills through dedicated training courses. New experts are assigned mentors from among experienced experts

for a period of up to one year, ensuring an individual approach and increased effectiveness of acquiring and developing professional skills.

(ii) Describe the infrastructure in place to ensure the support of an adequate number of properly trained/qualified administrative staff and adaptation to workload changes:

– at the level of support for technically qualified staff and facilitating the search and examination process; and

– for maintaining records.

Each expert works in a virtual working environment with access to a variety of software tools, and has an automated workstation (Expert AWS) in the specialised automated system “Inventions” (AS “Inventions”).

To ensure examination quality, each expert has access from their own workstation to record-keeping guidelines, expert-methodological materials, orders, directives, clarifications issued both by the legal division and by management following relevant training. These materials are available in the reference-information section of AS “Inventions” and other digital repositories by topic.

Similarly, access is provided to the legislation of Ukraine, WIPO standards, the Paris Convention for the Protection of Industrial Property, the PCT, the PCT Regulations, the PCT Administrative Instructions, the PLT, the PLT Regulations, the International Search and Preliminary Examination Guidelines, and others. Access to PCT Minimum Documentation is also provided by the Department of Information and Documentation Support.

Additional support to technically qualified staff is provided by the Division of Digital Development and Electronic Services, which ensures the availability of necessary software products and equipment.

The virtual working environment of each technically qualified staff member includes the digital tools required for documenting processes, preparing various types of documents and reports, and interacting with management and different structural units. These tools include systems for internal and external electronic document management.

Material resources:

(iii) Describe the infrastructure in place to ensure that appropriate equipment and facilities such as IT hardware and software to support the search and examination process are provided and maintained;

(iv) Describe the infrastructure in place to ensure that at least the minimum documentation referred to in Rule 34 is available, accessible, properly arranged and maintained for search and examination purposes. State whether it is on paper, in microform or stored on electronic media, and where.

(v) Describe how instructions:

to help staff understand and adhere to the quality criteria and standards; and;

to follow work procedures accurately and consistently

are documented, provided to staff, kept up-to-date and adapted where necessary.

(iii) UANIPIO maintains all necessary IT infrastructure – hardware, software, secure networks, automated systems and digital tools – required to support patent search and examination activities. The Division of Digital Development and Electronic Services ensures the provision, maintenance and updating of software products, equipment, communication systems and workstation tools used by experts and administrative staff.

The Office's information system consists of multiple automated systems, databases and information-retrieval platforms, integrated through service-oriented architecture and SQL-based interaction between component systems. Key systems include:

- AS "Inventions" for processing applications for inventions and utility models;
- Electronic Filing Systems (EAFS-1, EAFS-2);
- Electronic Interaction System of the Examining Authority and System of Electronic Interaction of Executive Authorities (EIS EAP / SEI EA);
- Incoming and Outgoing Documents automated systems;
- Central Electronic Document Archive (CEDA);
- Integrated Search Portal (ISP);
- Special Information System (SIS);
- Global Counterparty Catalogue;
- Accounting of Payments AS, and standard office tools.

Electronic communication is ensured through EAFS, EIS EAP, email, fax server, and inter-agency communication channels.

The hardware infrastructure is based on HPE x86 servers, virtualised through Microsoft Hyper-V and VMware ESXi clusters, supported by HPE and Dell enterprise storage, SAN networks, and secured with Fortinet firewall/VPN clusters, FortiMail protection and a managed internal network of HPE Aruba and Fortinet switches divided into VLANs.

Database management uses MS SQL Server, PostgreSQL and MySQL. Centralised administration is supported through Active Directory, WSUS, ESET Antivirus Server, Veeam Backup & Replication, and Microsoft System Center tools (SCVMM, SCCM).

Overall, UANIPIO operates 24 physical and 122 virtual servers, 6 data storages and various switching equipment, providing a resilient, secure and high-availability environment for patent examination and search.

Internal systems ensure efficient work with incoming/outgoing documents, state registers, application files and the PCT minimum documentation.

The ISP (Integrated Search Portal) provides access to automated patent information search tools used by examiners for assessing novelty, inventive step and industrial applicability.

A detailed description of UANIPIO's patent-information systems, IT infrastructure and search tools is provided in the "UANIPIO Annual Technical Report on Patent Information Activities in 2024".

(iv) For information support, all modern methods, forms and means are used:

the Internet (IP Office website; UANIPIO's reference and information fund; foreign commercial information resources; national and foreign free information resources; UANIPIO's electronic information resources, which contain a full-text database of non-patent literature, including the integrated Search Portal; electronic resources and traditional funds of leading libraries in Ukraine, access to which is possible through interlibrary loan subject to submission of guarantee letters (guarantee obligations); international library loan, access to which is provided through the largest libraries in Kyiv; other libraries and organizations in the regions of Ukraine, sources of information from which are provided via electronic document delivery), official and specialized publications, print and electronic mass media, international cooperation in the field of patent information and documentation.

Specific responsibilities for the components of information support are assigned to the relevant structural units of UANIPIO, in particular the Division of Digital Development and Electronic Services and the Department of Information and Documentation Support.

PCT Minimum Documentation is provided electronically via UANIPIO's internal systems, licensed databases and the resources maintained by the Department of Information and Documentation Support.

Examiners have access to an expanded set of information products and patent-document collections, including external commercial databases essential for ensuring complete and high-quality searches. These include:

- EPO ANSERA (SEARCH) patent-search engine;
- Orbit Intelligence (Questel) and PatBase (Minesoft) under WIPO's ASPI programme;
- Elsevier's commercial scientific-technical databases Reaxys and Reaxys Target & Bioactivity;
- CAS STNext – providing access to high-value chemical, pharmaceutical and technical information for search and analysis;
- scientific and technical resources available via the Research4Life platform (provided free of charge under wartime assistance) etc.

Access to these resources is ensured through agreements concluded with the service providers or granted free of charge as part of international support to Ukraine during martial law.

UANIPIO continuously updates and expands its non-patent literature search collection, including:

– the Office's reference and information collection (encyclopedias, dictionaries, regulatory and methodological literature, periodicals in electronic form);
– UANIPIO's own electronic information resources containing the full-text non-patent literature database (the Integrated Search Portal);
– national and foreign freely accessible databases;
– collections of major Ukrainian libraries (via interlibrary subscription);
– international interlibrary loan (via Ukraine's largest libraries);
– regional libraries supplying documents through electronic delivery services; and
– commercial scientific databases provided under international programmes or humanitarian support.

These combined collections ensure that examiners have continuous access to comprehensive patent and non-patent literature necessary to perform international searches and comply with the PCT Minimum Documentation requirements.

(v) Management of QMS documentation, as part of the process "Management of Quality Management System Documentation", is regulated by the documented procedure QMS 7.5 "Management of Documented Information" and by the Record-Keeping Instruction, and is supported by an automated document-management system. The documented procedure and the Record-Keeping Instruction define:

- the procedure for approving QMS documents;
- the procedure for reviewing, updating and re-approving QMS documents;
- the method and means for identifying changes and the current revision status of QMS documents;
- the procedure for distributing QMS documents;
- requirements for document clarity and identification;
- the procedure for identifying and controlling the distribution of documents of external origin;
- actions to prevent the unintended use of obsolete documents and the procedure for identifying them if stored for any purpose;
- retention requirements for QMS documents.

QMS documentation may be stored and distributed electronically via the computer network, the automated document-management system or electronic media, provided that control copies of the corresponding documents exist on paper and/or in graphic or PDF format.

The Chief Quality Representative is responsible for the management of QMS documentation. Control over document flow and compliance with documentation-management requirements is carried out by the Documentation Division, the Archive Division, heads of units and staff responsible for QMS development.

Through the reference-information section of the AS “Inventions”, all experts have access from their workstations to the relevant standards, guidelines, instructions, clarifications, regulatory documents, notices, presentations, guidance materials and information circulated by WIPO. This ensures expert awareness, enables rapid response to changes and improvements to the quality-management system, and guarantees the quality of examination and searches.

Training resources:

(vi) Describe the training and development infrastructure and program which ensures that all staff involved in the search and examination process:

acquire and maintain the necessary experience and skills; and

are fully aware of the importance of complying with the quality criteria and standards.

(vi) The need for staff training is determined by the heads of units based on an assessment of staff preparedness and taking into account training requests submitted by employees wishing to improve their qualifications. Meeting minutes and internal consultations are also used to identify training needs. Funding for training and professional development is allocated annually in accordance with the Financial Plan. The HR Division is responsible for implementing and monitoring the training and development plan.

Training is carried out in the following forms:

- seminars for examiners;
- specialised workshops and trainings on intellectual property, patent information search, and examination of invention applications;
- distance learning through WIPO Academy and EPO e-learning programmes;
- discussion forums with applicants, patent attorneys, and professional organisations in the field of intellectual property;
- qualification-enhancement courses for IT specialists;
- obtaining a second higher education degree in “Intellectual Property”.

To disseminate information on the experience and best practices of leading foreign Offices (ISA/IPEA), including patent search using various search systems, preparation of search reports, new databases, application of IPC and other classification systems, and developments in industrial property legislation, UANIPIO organises relevant activities aimed at studying and integrating this experience into national practice.

A system for recording training activities has been introduced, with monthly reports submitted to the HR Division for review, consolidation and preparation of further proposals.

New examiners are assigned mentors from among experienced senior examiners with signing authority. Mentorship lasts up to one year and includes training, supervision and assessment of work.

Following a thorough review of competencies and skills, an examiner is granted signing authority, enabling independent conclusions on patentability and independent performance of prior-art searches.

All decisions remain subject to internal quality control (selective control by the Quality Control Unit), and 100% of refusals to grant an invention patent are additionally reviewed at the level of the head of department/division.

Regular training is carried out for all examiners in the form of workshops on conducting and documenting patent searches, and case-study sessions on examination practice.

Through the reference-information section of AS “Inventions”, all examiners have continuous access to:

- presentations, training materials, instructions and methodologies on search and examination;
- specialised comments on searches in chemistry, pharmaceuticals, molecular biology, electronics, etc.;
- decisions and recommendations of the Examination Council on specific examination issues;
- internal training programmes and guidance on search-system use (materials provided by search-system vendors);
- training materials on IPC matters, including reclassification;
- information and training materials on CPC.

Through the Intranet portal, examiners have access to training materials and seminars conducted both within UANIPIO and by external organisations, including search-system providers (STN, Reaxys, Patentscope, Ansera, InnovationQ+, PatBase, Orbit Intelligence), and meetings with industry representatives.

Via email, examiners receive continuous updates on:

- free WIPO PCT-related webinars and trainings;
- virtual seminars of the EPO presenting new developments in patent-information services;
- new patent-information systems and services.

Through these mechanisms and resources, examiners are consistently aware of the importance of complying with quality criteria and standards when conducting examination and patent information searches.

List of some training activities completed in 2025

Webinar	PATENTSCOPE Overview
	CEBSMC Patent Examiners Training
The Ansera-based search tool for beginners	The Ansera-based search tool for beginners
	InnovationQ+ testing session
	Search and Examination Matters 2025 Forum – EPO Academy Conference on Search and Examination
	WIPO Information and Communications Technology (ICT) Leadership Dialogue
KL09-2025	Espacenet (Searching in Espacenet)
PV03-2025	Training for EPAC candidates
	Best Practices for Smart Patent Research
NV06-2025	Patenting innovation

	Discover the Power of Orbit Intelligence for Smarter Prior Art Searches
	Reaxys Webinar - How to use Structure Editor
BS01-2025	EPO search tools to improve business decisions
BS12-2025	Growth financing with IP - HTB forum
BS13-2025	IP strategy evolution: High-growth technology business forum
	Reaxys Webinar – Using Query Builder for advanced queries
OS01-2025	Novelty in the fields of chemistry, pharmacy and biotechnology
PV03-2025	Training for EPAC candidates
KL02-2025	Unitary Patent protection legal events in INPADOC: detailed event code descriptions, statistics and latest additions
PL71-2025	Tackling the Future lecture series: Cross-field inventions in additive manufacturing
PL72-2025	Tackling the Future lecture series: Cross-field inventions in quantum computing
	Introductory session on CAS STNext for UANIPIO
	Advanced session on CAS STNext for UANIPIO
	Tackling the Future lecture series: Cross-field inventions in the medical field
	Substantive Patent Examination from a Public Health Perspective
KL07-2025	Show, don't tell: what can the visualization of INPADOC legal event codes and categories teach us?
PL86-2025	PCT for paralegals and patent agents
DL-301	Patents (self-study)
DL-318	Patent information search (self-study)
DL-101	General Course on Intellectual Property (version 2)
KL20-2025	Making the most of Espacenet technology platforms
BS03-2025	How to make best use of the Unitary Patent system
OS03-2025	Clarity and sufficiency of disclosure
OV33-2025	Mastering the ANSERA-based SEARCH tool in specific technical fields
PL98-2025	Registers at the EPO

Oversight over resources:

(vii) Describe the system in place for continuously monitoring and identifying the resources required:

to deal with demand; and

comply with the quality standards for search and examination.

(vii) See Sections 21.08, 21.09, and 21.17.

UANIPIO has at its disposal all necessary resources, the most important of which are:

– qualified personnel with the required level of competence;
– an optimal infrastructure that ensures compliance with service requirements;
– a maintained and managed working environment providing appropriate physical and social conditions for staff work, motivation, and performance.

UANIPIO management continuously analyses whether the level and sufficiency of these resources meet current needs for high-quality search and examination, taking into account workload fluctuations. This analysis is based on monthly reports from the heads of relevant structural units, after which management adopts decisions and implements necessary corrective actions.

The Head of the Department for Examination of Applications for Industrial Property Objects is designated as the officer responsible for ensuring compliance with standards in patent search and examination.

Procedures for quality control of search and examination are set out in Section 21.17.

To ensure proper control over resources used for patent search, and to improve and maintain quality and uniform methodological approaches, UANIPIO has established an official List of electronic information resources required for information search during substantive examination of invention applications. This list includes:

– UANIPIO's internal electronic information resources;
– free alternative Internet sources; and
– foreign commercial databases that ensure access to the PCT Minimum Documentation (both patent documentation and non-patent literature), used under agreements with WIPO, the EPO and international providers.

Use of these resources is mandatory for all examiners.

Regular work is carried out to continuously update UANIPIO's electronic information resources and ensure uninterrupted access to foreign commercial Internet resources under agreements concluded with WIPO, the EPO and international providers. Information relating to publicly available free Internet resources (patent databases, scientific and technical databases, reference resources) is also systematically reviewed, updated and published on UANIPIO web resources.

To enhance the quality of examination, regulate quality control, and determine the performance level of staff and units of the Department for Examination of Applications for Industrial Property Objects, UANIPIO has approved the following internal documents:

1. Regulation on Quality Control of Work of Employees of the Examination Department of Industrial Property Objects;
2. Classifier of Violations (Non-Conformities) in the Examination and Record-Keeping of Applications for Inventions, Utility Models and Semiconductor Topographies.

On the basis of these documents, daily selection and review of examination documents is performed to verify compliance with search and examination quality standards.

4. MANAGEMENT OF ADMINISTRATIVE WORKLOAD

21.16 Indicate how the following practices and procedures for handling search and examination requests and performing related functions such as data-entry and classification are implemented:

(i) Effective control mechanisms regarding timely issue of search and examination reports to a quality standard as set by the respective Authority; and

(ii) Appropriate control mechanisms regarding fluctuations in demand and backlog management.

(i), (ii) To ensure timely and high-quality examination and search, an automated quality-control system has been implemented in the AS “Inventions” environment. This system allows real-time monitoring of:

- the timeliness of the examination of invention applications by examiners;
- the timeliness of conducting search procedures;
- the record-keeping status for all applications under examination.

Through this system, the management of the Examination Division has continuous online access to complete information regarding examiners’ compliance with established deadlines for first office actions, responses, preliminary opinions and requests, and the preparation of search reports. Where necessary, management can take timely corrective and preventive actions to avoid any deviations from established procedures.

In addition, a monthly statistical report based on monitoring of the workflow for applications is prepared by the responsible officer. This report is submitted to the Head of the Examination Division and analysed during a working meeting. The final analytical data and decisions are then communicated to the heads of sectoral examination units to implement appropriate measures for more effective monitoring of examiner workload and the distribution of applications.

All examiners also have access to these statistical data and can independently monitor the sequence of application processing and search preparation.

5. QUALITY ASSURANCE

21.17 In accordance with the Guidelines, the following are required quality assurance measures for timely issue of search and examination reports of a high quality. Indicate how the following are implemented, including the use of any checklists to verify reports before their issue or for monitoring the quality as part of a post-issue review process:

(i) An internal quality assurance system for self-assessment, involving verification, validation and monitoring of searches and examination work:

for compliance with these Search and Examination Guidelines;

for channeling feedback to staff.

(ii) A system of measurement and collection of data and reporting. Show how the Authority uses the system to ensure the continuous improvement of the established processes.

(iii) A system for verifying the effectiveness of actions taken to correct deficient S&E work, eliminate the causes, and to prevent issues from recurring.

(i) UANIPIO operates a multi-level, automated quality-control system integrated into the AS “Inventions”. This system provides automated routing of processes and documents for control and includes several levels of verification. All actions are recorded in automated systems, and internal control begins at the level of the examiner. Thereafter, documents selected for control are automatically and randomly routed for review through various channels:

- to the examiner’s curator or direct supervisor;
- to the Quality Control Unit; or
- to the heads of the relevant structural units.

The automated system continuously monitors correct procedural actions and deadlines. All comments or identified deficiencies are classified, recorded and stored in the automated system.

The control-record history preserves comments from both the controller and the examiner, ensuring traceability and transparency.

(ii) Automated independent submission of documents for review to responsible officers or managers at various levels allows for maximising the identification of problematic issues and developing unified approaches to their resolution through collaboration.

(iii) All procedures related to the acquisition of rights (from filing an application to granting or refusing a patent), including all quality control measures, are documented and maintained in the AS 'Inventions' system. This allows for monitoring the quality of the process as a whole, using the current status of application processing.

Each examination unit is responsible for the quality of examinations in a specific field. A structured system of cross-checking operates: leading examiners-curators, sector/department heads, the Quality Control Unit, and the Deputy Head of the Examination Department all participate in multi-level review.

To address complex or disputable issues, UANIPIO established an Expert Council by Order No. 74-H/2023 of 17 April 2023. The Regulation on the Expert Council and its composition were approved, and the Council supports search and examination quality in invention, utility-model and semiconductor-topography applications.

A unified internal quality-assurance system is continuously maintained. It ensures consistent approaches across all technical sectors, supported by ongoing control at the level of the Examination Department, the Examination Division and the Quality Control Unit, and, where required, by members of the Quality Coordination Council. These experienced experts have extensive knowledge of search techniques, search tools and relevant databases. Such quality control includes random and ongoing checks of search reports, assessment of the optimal use of search tools and databases, relevance assessment of cited prior art, and correctness of reasoning.

All search reports are first reviewed by leading expert curators, then selectively by heads of industry sectors/departments, the Quality Control Unit, and the Deputy Head of the Expertise Division.

Search reports are verified as follows:

- Self-check by the examiner using an internal checklist describing quality requirements;
- Ongoing automated check by the examiner's curator and/or sector/unit head;
- Randomised automated check by the Quality Control Unit or an Expert Council member.

All international search reports (ISR), written opinions (WO-ISA), international preliminary examination reports (IPER), and all final refusals must undergo 100% quality control by the Quality Control Unit.

Examiners must follow all applicable laws, regulations and normative acts.

The AS "Inventions" is used for all national and PCT search and examination work, as well as for examining patented utility models.

To ensure the timely consideration of invention applications, searches, and examination of patented utility models, automated control of the deadlines for performing required actions for applications and preparation of search reports is established, as well as control of deadlines for first examination actions, responses to requests, and preliminary conclusions of experts.

To ensure quality, monitoring functions for the performance of necessary actions are implemented in this automated system.

For higher-quality examination and searches, and to ensure the highest level of correspondence between application subject matter and sectoral divisions/units, automated distribution of applications among expert groups based on subject matter (combining IPC classification indexes and keywords) has been implemented.

Following review of search reports, requests and preliminary conclusions, the person performing control places their resolution and has the right, if necessary, to return the relevant document for revision. To improve quality control and training, an automated consultation module has been implemented in AS “Inventions”, through which consultation is provided by heads of sectoral units and specialists of the Quality Control Unit.

At the end of each month, all such resolutions are collected and processed to identify typical errors. After reviewing these issues, corresponding training is conducted at different levels – both for examiners and for heads of sectoral units. Methodological materials obtained as a result of such training are posted in the reference-information section of AS “Inventions”.

In 2025, internal quality control was carried out at a sufficiently intensive level. According to the analysis of data from the “Verified Documents” module of AS “Inventions”, as of end of September 2025, almost 3693 internal technological checks of examination documents had been carried out. The intensity of checks was set depending on the labour-intensity, importance and complexity of the documents.

In AS “Inventions”, there are modules providing additional possibilities for the quality-control system and implementing the following functions:

- transferring utility model applications to the Quality Control Unit for providing consultations to examiners;
- viewing the application received from an examiner requesting consultation;
- recording recommendations, comments and resolutions of the consultant in AS “Inventions”;
- returning the application together with recommendations, comments and the resolution to the requesting examiner;
- forming a report for a specified period showing examiner requests, application numbers, recommendations, comments, resolutions, and time spent on consultation;
- approval of reports and their storage in the database of AS “Inventions”.

The Quality Assessment Editor module, integrated into AS “Inventions” and into AS “Indicators”, ensures:

- conducting quality assessments of documents automatically selected for checking in AS “Inventions”, as well as any documents selected manually;
- performing checks and assessment of work quality at any level, from unit level to external level;
- identifying and classifying errors if present;
- automated formation of a work-quality code in AS “Inventions” and AS “Indicators”;
- preservation of the full history of verification with corresponding resolutions for each document subject to control;
- correction of resolutions at any verification stage if grounds change;
- display of verification results in AS “Inventions” in the electronic file for each application;
- formation of statistical reports according to different evaluation parameters and combinations of parameters.

After the initial analysis of quality issues, the most important ones requiring corrective actions to ensure compliance with quality standards are selected. Where necessary, such issues are submitted to the Expert Council or the Quality Coordination Council.

To ensure the quality of examination and searches, through the reference-information section of AS “Inventions” all examiners have online access to the PCT, the PCT Regulations, the PCT Administrative Instructions, relevant WIPO standards, and all necessary normative acts and instructions.

6. COMMUNICATION

Inter-Authority communication:

21.18 Explanatory note: Each Authority should provide for effective communication with other Authorities.

(Note: This point is informative. No response is required by the template to paragraph 21.18)

21.19 Provide the name, job title and contact details of the Authorities designated quality contact person who will take responsibility for:

(a) helping identify and disseminate best practice among Authorities;

(b) fostering continual improvement; and

(c) providing for effective communication with other Authorities to allow for prompt feedback from them so that potential systemic issues can be evaluated and addressed.

1. Name: Ms Antonina Krauze

Position: Leading Examiner, Unit for Quality Control and Improvement of Application Examination, UANIPIO

Email: antonina.krauze@nipo.gov.ua

2. Name: Ms Halyna Stetska

Position: Head, Sector of Biotechnology and Food Industry, UANIPIO

Email: halyna.stetska@nipo.gov.ua

3. Name: Ms Kateryna Kotyk

Position: Head, Unit of Chemical Technologies, UANIPIO

Email: kateryna.kotyk@nipo.gov.ua

4. Name: Ms Svitlana Zhaivoronok

Position: Leading IP Professional, Unit for Cooperation with WIPO and Other International Organizations, UANIPIO

Email: svitlana.zhaivoronok@nipo.gov.ua

5. Name: Mr Yevhen RIABUKHIN

Position: Leading Examiner, Unit for Quality Control and Improvement of Application Examination, UANIPIO

Email: yevhen.riabukhin@nipo.gov.ua

Communication and guidance to users:

21.20 Describe the system in place for monitoring and using customer feedback including at least the following elements:

(i) An appropriate system for

handling complaints and making corrections;

taking corrective and/or preventative action where appropriate; and

offering feedback to users.

(ii) A procedure for:

monitoring user satisfaction and perception; and

for ensuring their legitimate needs and expectations are met.

(iii) Clear, concise and comprehensive guidance and information to users (particularly unrepresented applicants) on the search and examination process, giving details of where it is to be found e.g. link to Authority's web site, guidance literature.

Indicate where and how the Authority makes its quality objectives publicly available for the users.

(i) To identify user requirements and levels of satisfaction of users and stakeholders regarding service quality, accessibility and completeness of information, and the procedure and timelines for resolving any issues, UANIPIO has established a reliable feedback system. The name and telephone number of the responsible examiner are indicated in outgoing examination documents, including ISR and IPER, which ensures direct communication between applicants and examiners for issues related to a specific application.

In addition, information from applicants is received by UANIPIO through various communication channels and is distributed to the relevant units.

Based on the results of reviewing inquiries and complaints, corrective or preventive actions are taken, and all examiners are informed to ensure awareness.

All applicant inquiries are recorded in the corresponding electronic register, and the deadlines for providing responses are monitored by the responsible division. All inquiries receive a response via the communication channel chosen by the applicant.

(ii) In 2025, UANIPIO did not conduct electronic surveys to assess applicant satisfaction. Instead, user satisfaction was monitored through oral feedback received during public events, professional meetings and outreach activities organised by UANIPIO, as well as through the ongoing review and analysis of user inquiries submitted via all available communication channels.

UANIPIO maintains an extensive system for receiving and processing user feedback, including:

- oral communication, including the possibility of arranging personal meetings with examiners and, where necessary, with senior management;
- written submissions through the official online feedback form available on UANIPIO's website;
- inquiries through official social communication channels, including UANIPIO's corporate Facebook page, LinkedIn page and other official platforms;
- telephone and email communication, as provided on the official website.

The official UANIPIO contact page (https://nipo.gov.ua/contact/) contains a detailed directory of contact points, including:

- general contact details for the Office;
- direct contacts for examination units (on different stages of examination procedure), legal and administrative divisions, and specialised departments;

– telephone numbers and email addresses for specific functions (applications, registers, appeals, customer service, international cooperation, IT support, etc.).

This comprehensive structure ensures that users can easily identify and contact the appropriate unit or specialist, facilitating effective communication, timely responses and accurate routing of inquiries.

(iii) For user convenience, full access is provided to all information on the regulatory framework, the International Patent Classification, relevant procedures (including PCT procedures), and the status of application record-keeping on UANIPIO's official website, available at: https://nipo.gov.ua/

UANIPIO provides applicants and users with extensive, well-structured and publicly available guidance materials covering all stages of the search and examination process. These materials are designed to ensure that users – including applicants without professional representatives – understand the applicable procedures, legal framework and requirements.

A wide range of information and guidance resources is made available through the official UANIPIO website at https://nipo.gov.ua/. These include:

1. Extended Guidance for Applicants – https://nipo.gov.ua/promyslova-vlasnist-page/

Contains comprehensive instructions on filing applications, procedural steps, required documents, timelines, fees, and examination stages for inventions, utility models and other industrial property objects.

2. Updates and Announcements – https://nipo.gov.ua/blog/

News on current developments, administrative updates, procedural clarifications, international cooperation and important notifications for applicants.

3. New Legislation – https://nipo.gov.ua/novi-pidzakonni-npa/

A regularly updated collection of newly adopted bylaws and subordinate regulations in the field of intellectual property.

4. Informational Materials – https://nipo.gov.ua/informatsijni-materialy/

Brochures, presentations and explanatory materials on IP procedures, legal changes, user guidelines and practical recommendations.

5. Methodical Guidelines – https://nipo.gov.ua/metodychni-rekomendatsii/

Detailed methodical recommendations for examination procedures, classification, search methodology, document preparation and procedural compliance.

6. List of Patent Attorneys – https://sis.nipo.gov.ua/en/services/patent_attorneys/

An official register of certified patent attorneys to assist applicants requiring professional representation.

7. Appeals Chamber – https://nipo.gov.ua/apeliatsijna-palata-noiv/

Information on appeals procedures, legal grounds, filing requirements and decisions of the Appeals Chamber.

Additional information resources available for applicants

Annual IP Reports - https://nipo.gov.ua/richni-ip-zvity/

Annual analytical reports containing statistical overviews, performance results, examination indicators and major policy developments.

National and WIPO Standards in the IP Field – https://nipo.gov.ua/standarty-u-ip-sferi/

A collection of applicable national IP standards and WIPO standards relevant to patent documentation, classification and examination.

Interactive Maps and Statistics – https://nipo.gov.ua/statystyka-zvity/

Interactive statistical tools and visual dashboards illustrating IP activity, application flows and examination outcomes.

IP Academy Website – https://ipacademy.nipo.gov.ua/

A platform providing training courses, webinars, educational materials and thematic modules for applicants, students and practitioners.

Green Tech Catalogue – https://nipo.gov.ua/ip-catalog-green-tech-ua/

A catalog of Ukrainian environmentally friendly technologies, enabling access to published green-innovation solutions and patent information.

Publication of quality objectives

UANIPIO ensures transparency by making its quality objectives publicly available:

Public Information webpage

https://nipo.gov.ua/en/public-information/

Contains published quality objectives approved by UANIPIO management.

Strategic Development Plan of the Ukrainian National Office for Intellectual Property and Innovations for 2024–2028 Also contains the Office's long-term mission, vision, quality commitments and institutional development goals.

21.21 Communication with WIPO and designated and elected Offices:

Describe how the Authority provides for effective communication with the International Bureau and designated and elected offices. In particular describe how the Authority ensures that feedback is promptly evaluated and addressed.

UANIPIO has established a comprehensive and structured communication system to ensure effective, timely and reliable interaction with the International Bureau (IB) of WIPO and with designated and elected Offices under the PCT.

This communication covers operational, procedural and strategic matters and ensures that all incoming feedback is promptly assessed, recorded and addressed.

For PCT operations, UANIPIO designates specific contact persons within the Examination Division, the Quality Control Unit, and the International Cooperation Department.

The primary operational contact person for PCT matters is the Head of the ISA/IPEA Unit (Head of the International Applications Unit), who is responsible for coordinating all communication with the International Bureau, designated Offices and elected Offices under the PCT.

This ensures direct, competent and timely handling of all substantive and procedural issues related to the relevant PCT phases.

UANIPIO maintains active and continuously updated accounts in all major WIPO electronic systems, in particular WIPO ePCT – used for the secure exchange of documents, receiving IB invitations, communicating corrections, transmitting search reports, written opinions and other PCT forms.

All documents received from WIPO IB are:

- Registered in the official electronic document-management system Megapolis, used institution-wide.
- Distributed to the responsible units (Examination Department, Quality Control Unit, Legal Division, IT, International Cooperation Department) depending on subject matter.
- Monitored until response and closure to ensure timely compliance.

Outgoing PCT documents (ISRs, WOs, IPERs, form communications) are likewise automatically registered, recorded, and stored, ensuring traceability, accountability and long-term retention.

For every system administered by WIPO in which Ukraine participates (PCT, Madrid, Hague), UANIPIO maintains:

- designated contact persons,
- system-specific communication channels,
- active participation in WIPO electronic portals,
- and procedures for maintaining, recording and responding to all communication.

Under each system, respective experts access the necessary WIPO official documentation, e.g. Circulars, available through restricted WIPO portals and accounts. UANIPIO staff, including examiners, quality specialists and international cooperation officers, have access to WIPO's documentation, technical materials, circulars, and official PCT/Madrid/Hague/WIPO Standard documentation.

UANIPIO's International Cooperation Department, which includes the Unit of Cooperation with WIPO and other International Organizations, plays a key role in coordinating all communication on institutional communication with WIPO, distributes incoming correspondence throughout the Office, consolidates information requests and replies, and ensures that feedback from WIPO IB and from designated/elected Offices is evaluated by the proper unit and addressed promptly.

Official communication from WIPO IB and WIPO bodies also received via office@nipo.gov.ua (the central official mailbox), and WIPO's accounts (where applicable). All official communications are entered into Megapolis for internal circulation.

The Ministry of Economy and UANIPIO provide WIPO with official contact points at the senior management level, the International Cooperation Department, and relevant technical departments (search, examination etc).

General communication on all projects, technical cooperation, and country-specific initiatives is conducted directly with WIPO's responsible Divisions, especially through the assigned WIPO Country Managers in the Division for Transition and Developed Countries.

Ukraine actively participates in all relevant WIPO bodies, both on-site and online, including PCT Working Group, Meeting of International Authorities (PCT/MIA), CWS, SCP, Union bodies, and others.

As a member of the Central European and Baltic States (CEBS) Group, Ukraine coordinates positions and exchanges information via CEBS coordinators.

UANIPIO contact points have access to WIPO's Wiki platforms, specialist forums, and online collaborative tools for Member States.

UANIPIO experts also participate in relevant Task Forces and Subgroups, including the PCT Quality Subgroup, which supports continuous improvement of global ISA/IPEA quality frameworks.

7. DOCUMENTATION

21.22 Explanatory note: The QMS of the Authority needs to be clearly described and implemented so that all processes in the Authority and the resulting products and services can be monitored, controlled, and checked for conformity. This is done by documenting the procedures and processes affecting the quality of work as a reference for staff and management at the Authority (see paragraph 21.23).

(Note: This point is informative. No response is required by the template to paragraph 21.22)

21.23 The material that makes up the reference for staff and management at the Authority serves to document the procedures and processes affecting the quality of work, such as classification, search, examination and related administrative work. In particular, the reference indicates where to find instructions on the procedures to be followed.

For the purposes of this report indicate:

(a) the documents making up the reference that have been prepared and distributed;

(b) the media on which they are supported (e.g. Internal Publication, Internet, Intranet); and

(c) document control measures taken e.g. version numbering, access to latest version.

UANIPIO's Quality Management System (QMS) has been developed and implemented in accordance with ISO 9001:2015 and all applicable legislative and regulatory requirements. The QMS applies to all structural units and responsible staff involved in the processes covered by the system.

The QMS covers:

- the receipt and examination of applications for industrial property rights (IPRs) to assess compliance with the conditions for legal protection, the performance of patent information searches, and the preparation of the respective reports, including work carried out under the PCT for international applications for inventions;
- the maintenance of State Registers and registration of IPRs;
- the preparation of data on applications, patents, certificates and international registrations for publication in official bulletins;
- the information support of the national system of IP protection, including the creation, maintenance and operation of a patent information base and reference-search tools necessary for examination;
- ensuring public access to information on IPRs;
- the consideration of oppositions, appeals, complaints and other submissions relating to the protection of IPRs.

Implementation and effective functioning of the QMS ensures:

- documented confirmation that the quality requirements for UANIPIO services are met across all activities covered by the QMS;
- reduced probability of errors and deficiencies in planning and operational activities;
- systematic actions to address risks and opportunities;
- timely detection and elimination of non-conformities, with corrective measures to eliminate their causes and prevent recurrence;
- reliable performance control of structural units and the introduction of measures for continuous improvement.

A process-based approach has been applied to the development, implementation and continuous improvement of the QMS. UANIPIO's QMS comprises 16 processes, with defined sequences, interactions, performance criteria, control mechanisms and monitoring tools across all stages relevant to QMS operation and service quality. The processes are grouped as follows:

A – Management and documentation-related processes

A-1 “Planning, implementation and management review of the QMS”

A-2 “Quality management system documentation control”

A-3 “Risk-based actions”

A-4 “Monitoring, measurement, analysis and evaluation”

A-5 “Internal audit”

A-6 “Non-conformities and corrective actions”

B – Service life-cycle processes

B-1 “Identification and analysis of requirements of customers and other interested parties”

B-2 “Receipt of applications for IPRs”

B-3 “Examination of IPR applications”

B-4 “Information support of the national IP protection system, including creation, updating and operation of the patent information base and reference-search tools required for examination”

B-5 “Maintenance of State Registers and issuance of protection titles (patents)”

B-6 “Provision of information on IPRs to individuals and legal entities”

C – Resource-related processes

C-1 “Procurement”

C-2 “Provision of competent personnel”

C-3 “Management of infrastructure and working environment”

C-4 “Occupational health and fire safety”

The Quality Manual and documented procedures establish the requirements for UANIPIO’s QMS and describe its functioning.

QMS documentation is maintained both in paper and electronic form. Information on QMS documents, procedures and processes, as well as references to WIPO documentation, is also published on the UANIPIO web portal.

Experts working with the AS “Inventions” can at any time consult attached instructional and regulatory materials. A reference-information section is available within the AS “Inventions”, ensuring quick access to guidance, methods and normative documentation necessary for search and examination. When reference or normative documents are updated, the latest versions become simultaneously available to all AS “Inventions” users.

Control of documentation is ensured through established procedures covering version numbering, the process of approval and re-approval, identification of document status, distribution rules, measures preventing unintended use of outdated documents, and storage periods.

21.24 Indicate whether the material making up the reference of quality procedures and processes include the following:

(i) the quality policy of the Authority including a clear statement of commitment to the QMS from top management;

(ii) the scope of the QMS, including details of and justification for any exclusions;

(iii) the organizational structure of the Authority and the responsibilities of each of its departments;

(iv) the documented processes carried out in the Authority such as receipt of incoming applications, classification, distribution, search, examination, publication and support processes, and procedures established for the QMS, or references to them;

(v) the resources available for carrying out the processes and implementing the procedures; and

(vi) a description of the interaction between the processes and the procedures of the QMS.

(i) – (iv) The QMS documentation of UANIPIO contains the necessary information for the exercise of ISA/IPEA functions. The QMS documentation of UANIPIO includes the following documents:

- the Quality Policy;
- the Quality Objectives (adopted annually);
- the Quality Manual;
- the documented QMS procedures;
- regulations (on structural units, management bodies, performance of activities, etc.);
- instructions (job instructions, occupational safety instructions, safe work instructions, operational instructions, etc.);
- regulations;
- organizational charts;
- records (protocols);
- regulatory documents of external origin;
- other documents applied in QMS processes.

UANIPIO has developed and implemented the following documented QMS procedures:

- QMS Procedure 4.4 “Processes of the Quality Management System”;
- QMS Procedure 6.1 “Actions Regarding Risks. Definition, Identification and Assessment”;
- QMS Procedure 7.5 “Management of Documented Information”;
- QMS Procedure 9.1 “Monitoring of QMS Processes”;
- QMS Procedure 9.2 “Internal Audit of the Quality Management System”;
- QMS Procedure 10.2 “Non-Conformity and Corrective Actions”.

(v) – (vi) See Sections 21.04–21.09.

21.25 Indicate which types of records the Authority maintains, such as:

(i) a definition of which documents are kept and where they are kept;

(ii) results of management review;

(iii) training, skills and experience of personnel;

(iv) evidence of conformity of processes, resulting products and services in terms of quality standards;

(v) results of reviews of requirements relating to products;

(vi) the search and examination processes carried out on each application;

(vii) data allowing individual work to be tracked and traced;

(viii) records of QMS audits;

(ix) actions taken re. non-conforming products, e.g. examples of corrections;

(x) actions taken re. corrective action;

(xi) actions taken re. preventative action; and

(xii) search process documentation as set out in Section 8.

In accordance with the requirements of the UANIPIO Record-Keeping Instruction and the ISO 9001:2015 standard, UANIPIO ensures the storage and maintenance of the following documents and records:

- the Quality Manual;
- procedures and work instructions used to ensure quality;
- results of management reviews;
- records of personnel training;
- records of the qualification and experience of personnel;
- reports on the professional development of experts, including results of conferences and seminars;
- records confirming the conformity of processes with requirements;
- records of product-related requirements reviews;
- records of corrective actions and risk-prevention measures;
- records of actions taken with respect to non-conforming products/services;
- records of QMS audits;
- records of patent search and examination results for each patent application;
- consolidated reports on ongoing quality checks of search reports and examination opinions.

8. SEARCH PROCESS DOCUMENTATION

21.26 For internal purposes the Authority should document its search process.

The Authority should indicate

(a) which of the following are included in this record:

(i) the databases consulted (patent and non patent literature);

(ii) the keywords, combinations of words and truncations used;

(iii) the language(s) in which the search was carried out;

(iv) the classes and class combinations searched, at least according to the IPC or equivalent;

(v) a listing of all search statements used in the databases consulted.

(b) which other information relevant to the search itself is included in this record e.g. a statement of the subject of search; details of special relevance to internet searching; a record of documents viewed; on-line thesaurus, synonym or concept databases, etc.

(Explanatory note: The IA is requested to list other information it may collect to monitor and improve the search process)

(c) which special cases are documented and whether records are kept denoting any:

(vi) limitation of search and its justification

(vii) lack of clarity of the claims; and

(viii) lack of unity.

(a) When experts use the internal search system AS “Inventions”, the information covered by points (i)–(v) contained in the search query is automatically saved in the system. If the search is conducted using an external database, the search report includes at minimum the information under (i), (ii) and (iv), and in some cases (iii) and (v).

(b) Information on the documents consulted during the search is automatically recorded when the internal search system AS “Inventions” is used.

AS “Inventions” contains standard templates for all work documents, including search reports and examination documents.

For search reports, the following information is recorded:

- application number;
- filing date;
- priority data (number/date/country);
- name of the applicant;
- title of the invention;
- International Patent Classification (IPC);
- keywords used;
- databases consulted;
- categories of relevant documents, their bibliographic data, and identification of particular cited passages corresponding to the claims;
- name of the examiner and date of completion of the search;
- observations on unity;
- observations on the claims (which version of the claims was taken into account);
- other remarks essential for conducting the search.

(c) The standard search report template provides for the inclusion of information concerning (vi) search limitations and their justification; (vii) lack of clarity in the claims; (viii) lack of unity of

invention. If any of the elements under (vi)–(viii) apply, this is indicated in the corresponding sections of the search report.

9. INTERNAL REVIEW

21.27 Explanatory note: The Authority should report on its own internal review arrangements. These reviews determine the extent to which it has established a QMS based on the model of Chapter 21 and the extent to which it is complying with the QMS requirements and the Search and Examination Guidelines. The reviews should be objective and transparent to demonstrate whether or not those requirements and guidelines are being applied consistently and effectively and should be undertaken at least once a year. With reference to point 21.08 of this template, the Authority may provide additional information on its internal review arrangements under this section if it so wishes.

21.28-21.30 These arrangements are reported according to this template in Section 1, above, at points 21.04 - 21.09. The Authority may provide additional information on further inputs to its internal reviews under this section, if it so wishes.

Internal QMS reviews at UANIPIO are carried out twice a year. An external audit is conducted annually. The purpose of these reviews is to obtain confirmation that the UANIPIO Quality Management System complies with the ISO 9001:2015 standard and that QMS requirements and the PCT International Search and Examination Guidelines are consistently applied and followed.

UANIPIO may provide additional information on further contributions to its internal reviews under this section, if desired.

10. ARRANGEMENTS FOR AUTHORITIES TO REPORT TO THE MIA

21.31 There are two stages in the reporting arrangements outlined in Chapter 21: the initial report called for by paragraph 21.31(a), and annual reports in accordance with paragraph 21.31(b). Authorities should submit each report in the form of a full report, making the differences from the previous year's report clear, for example using "track changes" or other form of highlighting.

This report is submitted to WIPO in accordance with the reporting arrangements set out in Chapter 21 of the ISPE Guidelines.

It describes the measures implemented by the Ukrainian National Office for Intellectual Property and Innovations (UANIPIO) to establish and maintain a Quality Management System (QMS) based on the requirements of Chapter 21 of the ISPE Guidelines, and ISO 9001:2015.

As explained in the Introduction (Paragraphs 21.01–21.03), this submission constitutes UANIPIO's initial QMS report in its capacity as the ISA and IPEA.

This is due to the institutional transition whereby UANIPIO, as the legally designated National Intellectual Property Authority of Ukraine, assumed responsibility for all PCT-related functions previously carried out by Ukrpatent. While UANIPIO retained the personnel, search facilities, technical infrastructure and expertise of Ukrpatent, this is the first full QMS report submitted under the name and mandate of UANIPIO.

The report has been prepared in the format of a full report, as required under paragraph 21.31(a).

Starting from the next reporting cycle, UANIPIO will submit annual reports in accordance with paragraph 21.31(b), presenting all updates and changes clearly, including through the use of highlighting or other suitable means to identify modifications compared to previous years.

[End of document]