WIPO Regional Training Workshop on IPAS Business Process Governance

IP Business Case for IPAS and WIPO’s Technical Assistance

Gregory Sadyalunda
Project Manager
WIPO, IP Office Business Solutions Division (IPOBSD)
Evolving Role of an IP Office

General Public

Applicants

Agents

Foreign IP Right Holders

Local Industry (SMEs)

“Outreach”

“IP Utilization” advice & guidance

Online Access to IP Databases & Patent Maps

IP Office

IP Databases
(TM, Patents, Designs, ...)

“Efficient Registry”
(faster & quality IPRs)

“IPR Administration”
(National IP databases)

Ministries:
(Commerce, Industry, Education, ...)

Other IPOs

Int’l Bodies
(WIPO, WTO)

e-Communication & Int’l Treaties

Enforcement Support

Customs/Judiciary
WIPO Support Framework

WIPSO Bureau (IPOBSD)
- Policy & Standards
- Coordination & planning
- Assessment & guidance
- Review & follow-up

Software Development

User Support

IP Office
- Projects funding, training & technical support
- Cooperation Agreements with other IPOs e.g. JPO

Regional Experts

Project Management
- Execution & deployment, Technical advise, training & support

Local Software Contractors & Vendors
- ICT Infrastructure & support
- Systems Integration & interface development

Commitment & readiness
- Staff involvement
- Data capture & validation resources
- Ownership
WIPO Support Framework

**Enablers**
- People & Other Resources
- Strategy & Partnerships
- Automation Systems & Training

**Processes**

**Results**
- Better Statistics i.e. backlog registrations
- Efficiency, Process Transparency
- Accountability, Integration

**Feedback**
- IPOBSD's support
The Purpose of an IPO as a Natural Process
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Conceptual Overview of the IPAS and its Main Modules

Gregory Sadyalunda
Project Manager
IPOBSD
What is IPAS?

IPAS (Industrial Property Automation System) is a software developed and owned by WIPO for the complete administration of IP rights in an IP Office.

It covers the management of trademarks, patents, industrial designs, utility models. IPAS is designed as an IP case management system so extensions to other IP cases (such as music work) is possible and simple to implement.

**Functionalities**
- Case Data Management (Key-in, Change, Business rules, Log, Persist in Database)
- Workflow (Case lifecycle aka Status Transition)
- Letter-Template (Word)
- Examination (Status)
- Publication
- Issue of Certificate
- Query (Bibliographic Data and Codes: Nice, Vienna, Locarno, IPC)
- Trademark Search Report (Including Phonetic)
- Fee – Payment Recording
- Document Tracking
- Import International Trademark (Madrid-MECA)
- Statistics
- User-Authorization Management

Patents / Trademarks etc.
- International Trademark & PCT
- Opposition
- Registration-Record-Renewal
- Patent
- Industrial Design
- Utility Model
Global IPAS Overview

External Web Services & API
WIPO Madrid, PCT, ARIPO Member States Module, etc.

IPAS Java 3.1.1 Framework

WIPOFILE WIPO Publish

IPAS Core

API Existing Internal System Integration
Companies & Business Registration System, Financial Management System, Fee Calculation System, etc.

1A: Client to FO
1B: FO to Client
2: Front Office
3A: FO to BO
3B: BO to FO
4: Back Office
5A: Internal to IPAS
5B: IPAS to Internal
6A: External to IPAS
6B: IPAS to External

B2C, B2B

 Applicant
Representative
Partner
Public

1A
1B
2
3A
3B
5A
5B
6A
6B
Global IPAS Overview - Current

External Web Services & API
WIPO Madrid, PCT, ARIPO Member States Module, etc.

IPAS Java 3.1.1 Framework

Front Office

Back Office

API Existing Internal System Integration
Companies & Business Registration System, Financial Management System, Fee Calculation System, etc.

Applicant
Representative
Partner
Public

B2C, B2B
IPAS Workflow Configuration Sample
ARIPPO POLITE+ & IPAS INTERFACE

POLITE+ & Member States Module
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New Developments in IPAS and Future Plans

Gregory Sadyalunda
Project Manager
IPOBSD
WORLD IPAS DEPLOYMENTS
SOURCE: WIPO
WORLD IPAS DEPLOYMENTS 2014

Source: World Intellectual property Organization
IPO AUTOMATION TREND IN AFRICA
From Manual Processes to IPAS
Source: WIPO Modernization Mission Reports
From Back Office Automation to Online Services Delivery

- Culture Change
- Change in Organization and Management of the Office
- ICT Function and Budget
- General ICT Environment in the Country e.g. online payment gateways
- Data verification and cleansing
WIPO's IPOBSD Activities in Africa

Past
WIPO’s IPOBSD ACTIVITIES IN AFRICA
CURRENT

- Needs Assessment
- Training
- Deployments
- Follow-ups
- Workshops
- Data Capture
- Digitization
- FoS Support
WIPO’s IPOBSD Activities in Africa

Future
Challenges for Future Automation Projects

Organizational Barriers
- Resistance to change
- Limited use of on services by IPOs
- Lack of data validation and verification
- Lack of Management Support
- Legacy working procedures

Political Barriers
- Change of government policies every 5 or 10 years
- Low-levels of e-readiness in government institutions
- Non-conducive legal environment

Social & Culture Barriers
- Linguistic barriers
- Lack of service orientation
- Lack of awareness
- Lack of external pressure
- Lack of popularity for e-commerce and online services in general

Legal Barriers
- Lack of e-commerce legislation / Regulations
- Lack of procedures and guidelines for e-commerce business models
- Lack of e-commerce standards

Economic Barriers
- Lack of financial infrastructure
- Lack of secure payment infrastructure
- Lack of budget
- Competitive pressure
- Unclear benefits from ecommerce

Technical Barriers
- Inadequate quality and speed of the internet
- Shortage of qualified personnel
- Lack of internet security
- Lack of ecommerce infrastructure e.g. payment gateways
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Introduction to IPAS and its Main Modules

Gregory Sadyalunda
Project Manager
IPOBSD
IPAS Modules Overview

- WIPO File
  - Electronic Document Reception

- Filing/Reception

- Archive & File Management
  - Dossier tracking in IPAS
  - WIPO Scan
  - WIPO EDMS

- Examination
  - Support for TM examination in IPAS
  - Statistics
  - Citations

- Administration

- IPAS Core System Enhancements

- Publication & Dissemination of info.
  - Patentscope, Brand DB, IPAS Public
  - WIPO Publish

- Integration with Global IP Systems
  - Madrid Module
  - PCT Integration
  - IPC Integration
Model Office IP Automation

Industrial Property Automation System (IPAS)
- Application Receiving
- Document Digitization
- Formality Checking
- Registration
- Publication
- Examination
- Decision Support
- Searching

IPAS Automation Platform
- IPAS Web
- IPAS EDMS
- IPAS Publish
- IPAS Work Flow Designer
- WIPOFILE
- IPAS+ (Reception, PCT, etc)
- Madrid Module

IPAS Database
- Document Archive
- Search Index
- System Configuration

Online Service (Internet)
- Applicant
- Agents
- Internet User

Worldwide
- WIPO
- Other Coop. Part

Model Office : IPO Front Office
- Applicant
- Office Staff
- Manager
- IT Personnel

IPO BackOffice
- Applicant/A Agency Mgmt.
- Application Tracking
- Information Search
- Notification
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Understanding IPAS’ Workflow Concepts with Regard to IP Legislation and Administrative Procedures

Gregory Sadyalunda
Project Manager
IPOBSD
“A business process is a collection of interrelated work tasks, initiated in response to an event, that achieves a specific result for the client of the process”
Business Process

• ....that achieves a specific result
• ....for the client of the process......
• ....initiated in response to a specific event...
• ....work tasks.....
• ....a collection of interrelated.....
• ....a business process is.....
Pillars of Business processes automation

- Institutional framework
- Legal framework
- ICT infrastructure
- Business level
Institutional Framework

• Effective departmental/functional-areas coordination

• Centralized, accountable modernization authorities

• Direct, regular access of modernization authorities to the leadership of the IPO
Legal Framework

- Development of an effective legal framework for the digital environment
- Enforcement of the laws and regulations
- Regulations addressing online transactions
- Security regulations and establishing an enabling framework
- Public dissemination policies
- WIPO Assistance on automation of IPOs
ICT Infrastructure

• ICT infrastructure is a prerequisite to IPO modernization

• Modernization best served by establishing a common technological direction that applies to all functional areas of the IPO

• Development of guiding principles: establishment of federated enterprise architecture

• Development of Standards

• Consideration of WIPO Standards on data structures, publications, & exchange

• Infrastructure & Information security
ICT Infrastructure - Infrastructure & Information security

- Access
- Authenticity
- Confidentiality
- Integrity
- Control
- Reliability
- Disaster recovery requirements
Business Level

• Transform the way an IPO conduct business by becoming more client-centric, more transparent and accountable

• Significant changes in the existing work practices of IPOs essential

• Capacity building

• Change management

• Project lifecycle management, communication and marketing
Sources of Office Procedures

- IP Legislation / Laws
- Administrative Procedures / Implementing Regulations
LAWS OF KENYA

Example

SOURCE OF WORKFLOW PROCEDURES

THE TRADE MARKS ACT

CHAPTER 506
Key IT areas in electronic IP information management

- Scanning/OCR
- Digitization
- Indexation
- Workflow
- e-Services
- Publication
- Search & retrieval
- Records Management
- Document Management
- Paper files
- Data in+
- Metadata+
- Quality Check
Key Reasons for Workflow Automation

- To introduce greater efficiency / Improve productivity
- To improve service
- To reduce operational costs
- To improve organizational agility
- To improve visibility of processes
- To meet regulatory requirements / legal compliance issues
- To deal with integration on issues around legal systems
Key factors in workflow automation

- Legislation / Administrative Procedures / Regulations
- Technology
- Resources
- Experience
- Performance Measures
- Needs Assessment
- Managed Processes
- Communication
- Commitment
- Scope
### Business Process / Workflow Enablers

#### BUSINESS PROCESS ENABLERS

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<tr>
<td>• Workflow defined and configured for the automation system</td>
<td>• Workflow automated on the IPAS Centura</td>
<td>• Based on WIPO Statistics</td>
<td>• Organizational Structure in terms of government or autonomous</td>
<td>• Patents/ Trademarks / Industrial Designs Acts</td>
<td>• Air Conditioned Server Room</td>
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<tr>
<td>• Workflow needs revisiting for improvements and streamlining</td>
<td>• Local Area Network (LAN) available for IPAS’s client/server architecture, data sharing, print sharing</td>
<td>• Number of applications filed in a period</td>
<td>• Internal Organizational structure of the IPO</td>
<td>• Vienna &amp; Nice classification</td>
<td>• Clean Power Supply, UPS, Generator</td>
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<td>• Office involvement in the definition of workflow required</td>
<td>• Microsoft Office / Document printing</td>
<td>• Applications Registered</td>
<td>• Organizational Structure – Core system users and ICT</td>
<td>• Office involvement in the definition of workflow required</td>
<td>• Patch panels and Rack Mounts for Servers</td>
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<tr>
<td>• Capacity building for future amendments to the workflow necessary</td>
<td>• Automated production of the Journal &amp; Office docs</td>
<td>• Applications rejected/abandoned</td>
<td>• Level of skills of ICT Staff to support and maintain the system</td>
<td>• Capacity building for future amendments to the workflow necessary</td>
<td>• Dust blowers for scanners, workstations and servers</td>
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<td>• Cycle time, work time</td>
<td></td>
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<td>• Secure access, physical security controls to server room</td>
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<td>• Productivity per employee</td>
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IPO Business Process and Workflow

Overview

IPO Business Process – Global Overview

Application Filing → Registration Certificate → Notification

IPO BUSINESS PROCESS

Formal Exam → Examination → Publication → Await Registration → Amend

Journal Publication → Data Exchange

Applicant

IP Office

Other Stakeholders
Process vs. Organizational Structure

This process passes through five departments before completion.
One large process vs. smaller processes

One large process

REGISTER NEW TRADE MARK APPLICATION

Multiple Smaller processes

Receive new application → Conduct formality examination → Perform substantive examination → Publish new application → Register new application

The process of registering new trademark application will probably be worse off if it is handled as five smaller processes instead of one large process.
End of Presentation