Road to Become an ISA through QMS at the VPI

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TOC

- PDCA cycle at the HIPO
- HIPO activities, VPI history
- Basic principles for QM framework at the VPI
- Current Status
- QM Road Map
Personal Introduction

Who am I?
Outline of the QMS at VPI

- PDCA cycles at HIPO
- Basic facts on Visegrad Patent Institute
- All contracting Offices are ISO 9001 certified
- Quality Roadmap of VPI
**Plan**
Establish the objectives and processes necessary to deliver results in accordance with customer requirements and the organization’s policies.

**Do**
Implement the processes.

**Check**
Monitor and measure processes and product against policies, objectives and requirements for the product and report the results.

**Act**
Take actions to continually improve process performance.
Documentation system

Quality policy (P)
Quality objectives (O)

Outsourced processes

Determining processes, relations

Methods and resources for the operation

Measures for development

Monitoring processes

Outsourced processes

Quality manual (QM)

Documented procedures and records required by ISO 9001 (DP)

Records to ensure effective planning, operation and control (R)
Management responsibility

Determination of Customer Requirements

Quality policy

Planning the system

Determination of Quality Objectives

Communications

Audit, development (management review)

Providing resources

Human resources (responsibilities, representative)
Planning and development

Planning the service provision

Customer requirements, relationships

Measurement

Regulation
Approval
Identification
Customer property preservation

Provision of services

Acquisition
Measurement, analysis and improvement

Plan of measurement and monitoring

Requirements

Overall satisfaction
System
Process
Product

Implementation of measurement and monitoring

Analysis and evaluation

Nonconformity handling

Improvement
HIPO activities

- Substantial examination and novelty search from the beginnings

1st of January 2003: Hungary joined the EPC. From this point the number of PCT national phase entries to HU was dropped.

- Our goal was to keep our high quality patent examining capacity and further develop their knowledge

- ISA/IPEA authority
- other domestic technical/legal tasks
- international cooperations
HIPO activities

- High Quality and fast substantial examination and novelty search in national patent granting procedures

- Further domestic tasks: SPC, plant variety rights, R&D estimation etc.

International cooperations:
- APO and ServIP: PCT related search and examination (2006)
- IPOS: Search and Examination (2009)
- Slovenian Intellectual Property Office: Search and Examination
- Macedonia: Search and Examination
- Brunei Darussalam: Search and Examination
- others in progress
- Global PPH project and bilateral PPH with CIPO
Establishment of VPI

The Idea of the establishment of a Central European ISA/IPEA goes back to 2009

The Hungarian and the Austrian PTOs have been considered the possibility of establishing a patent institute in Central Europe on the basis of their cooperation in preparing S&E services and process of the PCT backlog of The APO as ISA/IPEA.

In April 2011 APO and HPO signed the Joint Declaration of Intent, and shortly thereafter the Romanian PTO also joined the initiative.

In 2013 HIPO sought new partners for the ISA/IPEA establishment project. Our Visegrad partners were open to join the project.

In 2014 the Visegrad countries finalised the text of the Agreement on the Visegrad Patent Institute, as well as the business plan of the institute.
Establishment of VPI

The Agreement was signed in the premises of the Ministry of Foreign and European Affairs of the Slovak Republic in Bratislava on February 26, 2015.

1 April 2015 Memorandum of Cooperation between Visegrad Group and JPO.

JPO and the NPI assessed the readiness of V4 national offices. In May at the meeting of the Committee for Technical Cooperation (CTC) the VPI was supported by many delegations, thereby the CTC unanimously agreed to recommend to the Assembly of the PCT Union to appoint the VPI as the ISA/IPEA.
Establishement of VPI

In the frameworks of the 55th series of the meetings (October 2015) of the Assemblies of the World Intellectual Property Organization, the Visegrad Patent Institute (VPI) has been appointed as an international authority under the PCT, upon the decision of the Assembly of the Patent Cooperation Treaty (PCT) Union.

The Administrative Board (AB) of the Visegrad Patent Institute (VPI) held its first meeting on Monday, 14 December, 2015 at the Permanent Mission of Hungary in Geneva, Switzerland.

The Chairpersons of the AB were elected for the next four years, as follows:
- Mr Josef Kratochvíl, Representative of the Czech Republic from 14 December 2015 to 31 December 2016;
- Mr Štefan Lipták, Representative of the Slovak Republic from 1 January 2017 to 31 December 2017;
- Ms Alicja Adamczak, Representative of the Republic of Poland from 1 January 2018 to 31 December 2018;
- Mr Miklós Bendzsel, Representative of Hungary from 1 January 2019 to 31 December 2019.

Agreement in relation to the functioning of VPI as ISA/IPEA under the PCT was also signed between the VPI and WIPO IB.
Leadership and policy

**VPI**
(Headquarters: 1081 Budapest II. János Pál pápa tér 7)

Administrative Board:
Governance (e.g. regulations, budget, distribution of work)

President of the Administrative Board:
Luboš Knoth, 01.01.2017 - 30.12.2017
Alicja Adamczak, 01.01.2018 - 30.12.2018
Dr. Bendzsel Miklós, 01.01.2019 - 30.12.2019

Director – Secretariat:
(organization of the VPI’s work, representing the VPI, administrative support)
Dr. Gárdonyi Márk - Kis Anita

NOs: search and examination (CZ)
VPI branch office

NOs: search and examination (HU)
VPI branch office

NOs: search and examination (PL)
VPI branch office

NOs: search and examination (SK)
VPI branch office

Quality Manager: Andrej Legin
Leadership and policy

The leadership and policy was prepared by the QM/IT WG

It was accepted by the Administrative Board
185 full-time and 10 part-time examiners

 Capability of searching and examining all technical fields

High language skills in many languages

Balanced work distribution on the basis of following principles:
- Technical skills,
- Language skills
- Capacity measurements

Quarterly updated competence map of the four Offices:
Interchangeable capacities in most technical fields
Includes:
- Facility resources
- Secured IT resources (hardware and software)
- Access to Patent related databases
- Access to Non-Patent document databases
- Access to Patent Classification tools
- EPOQUE, STN and others
- Local training facilities and programs
- EP Academy, Global IP Academy, WIPO Academy
- International conferences
- Examiner exchange programs
- We plan to initiate VPI training project between VPI countries
Management of administrative workload

- The development of internal electronic handling and case management system is under discussion

- Internal time limits were set in the ISO process diagrams (T-points)

- Time limits and workload are controlled by
  - the management of patent fields locally (1st level)
  - the Secretariat (2nd level)
  on the basis of information collected from ePCT
Quality assurance

- Indicators, Quality metrics
- External audit
  - Independant external auditor
  - Yearly external audit reports
- Internal audit
  - Pool of Internal auditors of contracting Offices
  - Yearly internal audit reports
- Quality focused cross checking system
  - Different Head or expert
  - Reports on Non-conformities and deficiencies
- At least one level control system by supervisor
  - Direct feedback to examiners
  - Head, Vice head of section or expert
- Self assessment
  - Examiner
  - Checklists
  - Identifying Proposals, Harmonisation and training needs
  - Indicators, Quality metrics
Communication

- Inter-Authority communication
  - Quality Manager of VPI
  - Director of VPI
  - Quality managers of the VPI offices

- Communication and guidance to users
  - Handling user complaints: VPI Secretariat + POCs
  - User feedback and satisfaction measurements: Quality Manager of VPI + Secretariat
  - Publicly available information sharing: Via website
    - Guidelines, quality objectives

- Communication with WIPO and designated or elected Offices
  - VPI Secretariat + ePCT
  - VPI director participates in the relevant WIPO meetings
Documentation

- Framework regulations: Agreement, Implementing regulation, Financial regulation
- Quality Manual is under construction
  - Quality Policy (accepted by AB)
  - Scope of the QMS
  - Organisational chart of the VPI
  - Documented processes
  - Resources
  - Templates and basic principles
- Harmonized PCT Guidelines
- Internal audit report, external audit reports, managerial reports
- Memos of all bodies of VPI
- Proposals, action plans and decisions
Databases used for the search process are documented on SR and checklist

Search strategy is also documented, but on a separate document

There are national legislation which prescribe the confidentiality of these type of information

Correct IPCs are recorded, giving CPC symbols are under discussion

Other informations, such as the subject of search, synonyms, etc.

The relevant informations about some substantial requirements, such as lack of unity, lack of clarity, limitations, etc. are documented on the SR
Internal Review

- Pool of internal auditors in the contracting offices
- Yearly internal audits
- Internal audit plan
- Internal audit review
- Exit conference
- Management Response
- Final report issuance with management response
Current Status

- The responsible persons from all contracting offices have met and discussed about QM/IT and legal, practical issues 4 times in QM/IT WG and 4 times in TE WG.
- Discussion of the basic principles of our work have already finished.
- Discussion of the basic principles of our IT is in progress.
- Director and Secretariat has been approved.
- QM documentation is in progress.
- Initial Report on QMS was prepared and sent to WIPO in November 2015.

Mr. Márk Gárdonyi (PhD)
- Prepare a draft material on a framework for Internal audits (IPO SR) 28.02.2016
- Prepare a draft material on a framework for User Feedback (IPO SR) 15.03.2016
- Prepare a draft material on Compliant Handling (HIPO) 15.03.2016
- Prepare a draft material on Document Handling (HIPO) 31.03.2016
- Set up a framework for Internal audits, User Feedback, Compliant Handling and Document Handling 30.04.2016
- Set up a framework how to reach requirements of Chapter 21 (QM/IT WG) 30.04.2016
- Set up a Service Level agreement between NOs and VPI (VPI Secretariat) 30.06.2016
- Set up the processes for the ISA/IPEA functions (All WGs and Secretariat) 30.06.2016
- Start the operation of the VPI 01.07.2016
- Prepare a Report on the QMS required by IB (VPI Secretariat) 30.11.2016
- Execute an Internal audit of VPI (Internal auditors) 30.03.2017
- Execute a non official certification of VPI according to ISO 9001:2015 (Internal auditors) 30.06.2017
- Recertified NOs QMS to ISO 9001:2015 (All NOs) 30.10.2017
- Execute an official certification of VPI according to ISO 9001:2015 (VPI secretariat) 30.10.2017
- Prepare a Report on the QMS required by IB (VPI Secretariat) 30.11.2017
- Full certificate according to ISO 9001:2015 by VPI and NOs
Thank you for your attention!

www.vpi.int