



Australian Government
IP Australia



Patents



Trade Marks



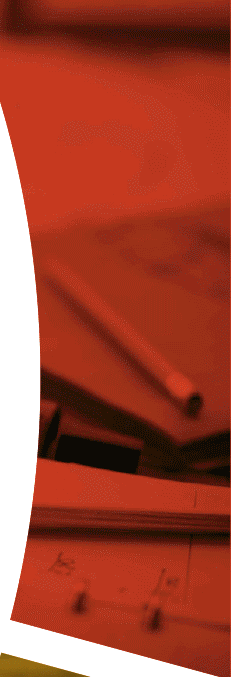
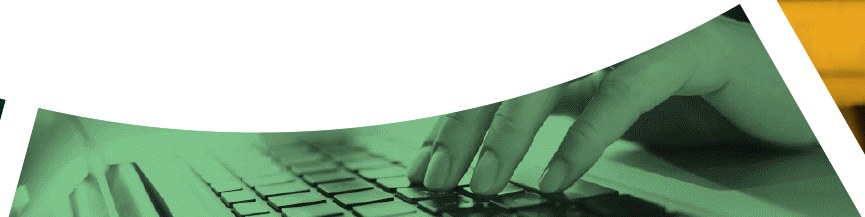
Designs



Plant Breeder's
Rights

IP Australia Quality Management System

Risk Management Approach





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IP Australia's Risk Management Framework

- **Based on AS/NZS ISO 31000:2009 Risk Management Standard**
- **Accountable Authority Instructions 1.1**
- **IP Australia Risk Management Policy**
- **IP Australia Risk Management Plan**
- **Risk Management Guide.**
- **Corporate Risk Register Template**
- **Generic Risk Register Template**



Operational planning risk management

- The Operational Planning cycle is a cornerstone of IP Australia's planning framework. Each business group prepares a Group Operational Plan for each financial year. These plans set out the Group's:
 - contribution to the [Corporate Plan](#);
 - objectives and the activities and strategies for achieving those objectives;
 - workforce plan, including staffing profile and learning priorities;
- Quarterly reporting



Process level risk management

- **Service Request Transactional Risk Assessment**
 - Transactional Risk Assessments (TRA)
 - The TRA sets out the level of residual risk associated with each of our products and services that we provide to our customers and is used to determine the level of quality checking that is applied to that transaction.



Service Request Transactional Risk Assessment

| IP Right | Service Request/Process | Service Request/Process | Likelihood | Consequence | Risk | Population per year | Population per month | General Inspection Level | Sample Size Code | Override Sample Code? | Monthly Sample Size | Yearly samples |
|----------|---------------------------------|---|------------|-------------|------|---------------------|----------------------|--------------------------|------------------|-----------------------|---------------------|----------------|
| PCT | New AU PCT Application - (ePCT) | Receiving Office (RO) - New Au Applications (structured - ePCT) | A | 3 | LOW | 1356 | 113 | I | D | No | 8 | 96 |



Patent Examination Risk Management

- Similar to the assessment of administrative elements of IP rights applications, the risk management approach filters down to the transactional level of patents examination, with an individual assessment of risk made against the following types of processes:
 - Indexing
 - Examination
 - Re-examination
 - Consider Existing Search(es)
 - Conduct Original Search
 - Issue Search Reports / Opinions / Exam Reports
 - Amendments



Patent Examination Risk Management

| Transaction | No. | Transaction Threat | Potential Outcome | Likelihood | Consequence | Mitigation | | | | | Comment |
|-------------|-----|---|---|------------|-------------|------------|--|--|----------|--------------------------------------|---------|
| | | | | | | Risk | System / Workflow supported processes | System/ Workflow Process Documented | Training | Checking Processes | |
| Examination | 2 | Lack of Unity Procedure (inviting fees) not followed | Financial implications. Extra examination effort searching required in IPE stage. Examination reports not comprehensive at IPE stage. | C | 3 | Medium | Y | Y | Y | Section QA, Quality Review System | |



Quality Review System Risk Management

- IP Australia's QRS is a robust system, with a well defined approach to sampling.
- IP Australia's Quality Review System has been setup to meet the requirements of the inspection regime required by ISO 9001:2015.
- Statistical sampling methodology
- Outcomes of our Quality Reviews are recorded against our defined Acceptable Quality Level (AQL).



Quality Review System Risk Management

- Accurate recording of QR results in our QRS Database (Q-BRAVO) is important for identifying, investigating, validating and reporting on the quality of work and for identifying areas in need of improvement (preventative action)
- Risk based approach provides for 100% checking while Examiners are training followed by a subset of products once Acceptance Delegation is attained.



Quality Review Sampling methodology - Patents

- In-line with the risk based approach to sampling that forms the basis of ISO 2859:1999, IP Australia has implemented a process whereby Examiners can move between different sampling modes based on the outcomes of the quality review of their work.
- There are 3 modes of sampling:
 - normal (13 pieces of work sampled in any 12 month period)
 - reduced (5 pieces of work sampled in any 12 month period)
 - validation (13 pieces of work are randomly selected from a previous 2 month period for assessment)



Preventative Action

- The risk based thinking approach set out in the ISO standard encourages a positive engagement with risk and encourages organisations to consider the positive effect that preventative action can have on future operations and outputs.
- Assessing risks, including preventative actions, in a planning process provides the ability to consistently deal with any adverse outcomes or non-conformities and can also lead to efficiencies in the process.



Final word

- IP Australia's approach to risk management strongly supports, among other requirements, the quality assurance requirements of the PCT International Search and Preliminary Examination Guidelines and those of ISO 9001:2015.
- Our framework continues to provide IP Australia with the structure and processes to conduct effective risk management practices that allow for the production of high quality standard search and examination reports.



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Contact us

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