

QMS of the Finnish Patent and Registration Office

PCT/MIA, Quality Sub-Group Meeting, 3.-7.2.2020 Gatineau, Canada

> Jani Päiväsaari, Finnish Patent and Registration Office



Our vision

- best authority services in collaboration



Strategic goals guide our operations and communications



Our customers succeed



our data and information services are open to all and easy to use



our operations are influential and effective



we are an example of thriving cooperation

REKISTERIHALLITUS Inistu.

Different functions of PRH



WE REGISTER

- businesses
- housing companies
- foundations
- associations
- LEI codes
- enterprise mortgages



WE EXAMINE AND GRANT

- patents & utility models
- trademarks
- designs



WE SUPERVISE

- foundations
- auditors
- copyright organizations



WE TRAIN AND GIVE ADVICE

- customer support
- information and advisory services
- training services and courses
- fairs and events



Staff and finances

Staff



Income and expenditure in 2018

Number of personnel: approx. 410 persons (115 examiners)



Income EUR 58,2 million



Work satisfaction:

3.9 (scale 1-5)



Expenditure EUR 52,1 million







QMS at PRH

- QMS applied to the key processes in the Patents and Trademarks area
 - handling of patent applications (national, PCT applications, utility models)
 - handling of trademark applications
 - Key support processes, e.g. management, training, ICT
- QMS established according to ISO 9001 (2015) standard
- Expanded to cover all functions 2020 of Patents and Trademarks



Development of our QMS

2004 Project for building a Quality Management System according to the international ISO 9001:2000 standard

2005 International Searching (ISA) and Preliminary Examining (IPEA) Authority since 1.4.2005

2006 Certificate that the handling of the PCT applications complies with the requirements of the standard ISO 9001:2000

2007 Extension of certificate for the handling of national patent and utility model applications

2016 Compliance with version ISO 9001:2015

2018 Extension to trademark applications

2020 Extended to cover all functions



THE INTERNATIONAL CERTIFICATION NETWORK

CERTIFICATE

Inspecta Sertificinti Oy as an IQNet Partner hereby states that the organization:

Finnish Patent and Registration Office Helsinki

for the following scope:

Processing of national patent applications and international applications under the Patent Cooperation Treaty (PCT).

has implemented and maintains a

Quality Management System

which fulfils the requirements of the following standard:

ISO 9001:2015

Issued on: 2016-11-15

for the validity date, please refer to the original certificate* issued by Inspecta Sertificanti Oy

Registration Number: FI 4725-06

- IQNet -

To feeedwal

Michael Drechsel President of IQNet

Town hum

Tomi Kasurinen Managing Director Inspecta Sertificinti Oy

IQNet Partners"

AENOR Spain AFNOR Certification France Vimpotte Belgium APCER Portugal CCC Cignus
CISQ Raity CQC China CQM China CQS Caech Regulable: Cro Cert Croatia DQS Halding GmbM Germany
FCAV Brasil FONDONORMA Venezuela ICONTEC Colombia IMNC Mexico Inspecta Certification Finland INTECO Costa Rico
IRAM Argentina JQA Japan NFQ Korea MIRTEC Greece MIST Hungary Nembo AS Norway NSAM Felond PCBC Poland
Quality Austria Austria RR Russia SISC Mexico SII Enred SQC Sinvernia SIRIM QAS International Malaysia
SQS Suttaerland SRAC Romania TEST St Petersburg Russia TSE Turkey YUQS Serbia
IQSes is represented in the USA by AFNOR Certification, CISQ, DQS Holding Greet and Nac Norway NSAM Inc.

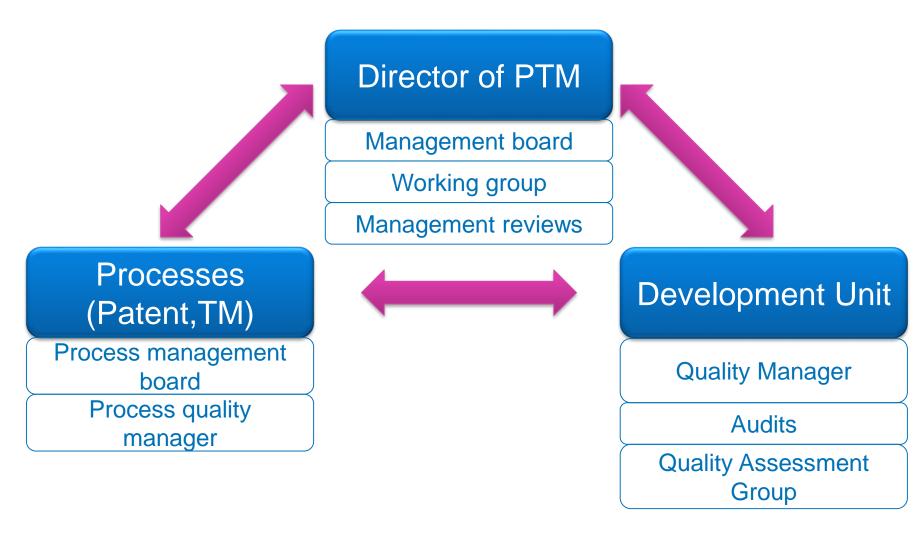
* This attestation is directly linked to the IQNet Partner's original certificate and shall not be used as a stand-alone document

** The list of IQNet partners is valid at the time of issue of this certificate. Updated information is available under www.iqnet-certification.com



Inspecta

Bodies responsible for QMS









Input for continuous development



Customers' (everchanging) needs and expectations

- Feedback (online form)
- Customer relations management
- Customer satisfaction surveys
- Discussion panels with patent attorneys etc.
- Complaints



Observations, information and feedback from other interest groups

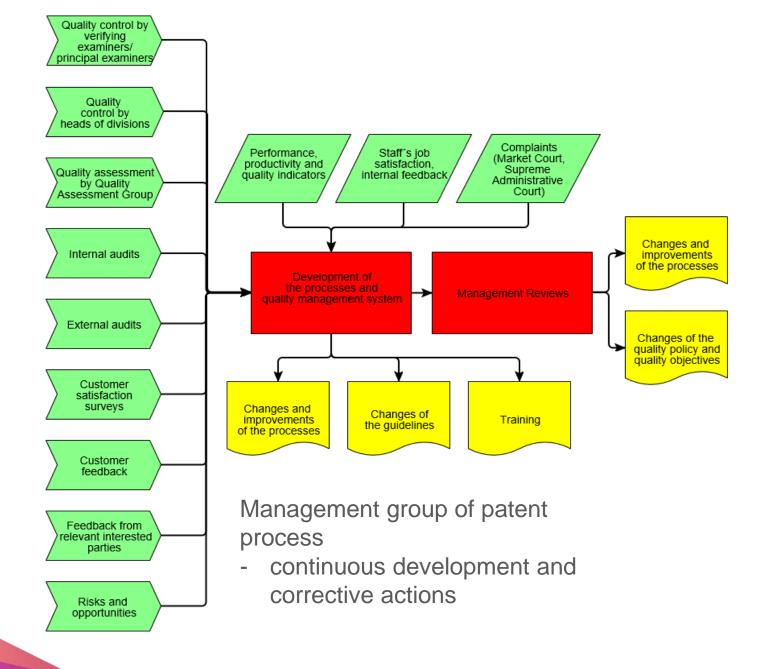
- External audits
- Appeal Court Decisions
- Patent Offices



Internal sources

- Quality control reports
- Internal audits
- Quality and performance indicators
- Quality Assessment Group
- Ideas and best practises





Management board of PTM

- Reports on feedback, court decisions, etc
- Checks actions taken and to be taken
- Further actions



Customer feedback

- Important for understanding customers' needs
- Responsibity of the process quality manager to see that all feedback is handled according to QMS
 - Initial answers within to working days
 - Decisions concerning potential changes to processes, needs for training etc are made in management group of patent process
 - Summary of feedback and measures taken presented in management reviews



Appeal court decisions

- Each decision reviewed by head of examination division
- Summary presented to management group
 - Decisions concerning potential changes to processes, needs for training etc
- Summary of all recent decisions discussed in management review



Risks and opportunities

- Identifying risks and actions to address them
 - Management groups of core processes
 - Owners of sub-processes
 - Bottom-up analysis: staff members identify risks in their own work
 - Strategic planning of PTM and PRH
- Summary of all risks discussed in management review
 - Focus on risks above the acceptable level (≥12)
 - Propability (scale 1-5) × Impact (scale 1-5)
 - Efficiency of actions and further actions



Risk-based practices

Q1 Management review

- Checking actions taken againt risks above acceptable risk level
- Checking effectiveness of the above actions



Q1 Management group of patent process

- Checking actions taken against risks above acceptable risk level
- Analysing effectiveness of the above actions
- Reporting actions taken and their effectinvess to management review

Q3 Management group of patent process

- Identifying all risks and opportunities
- Analysing their probabilities, impacts and risk levels
- Reporting risk analysis to management review



Q4 Management review

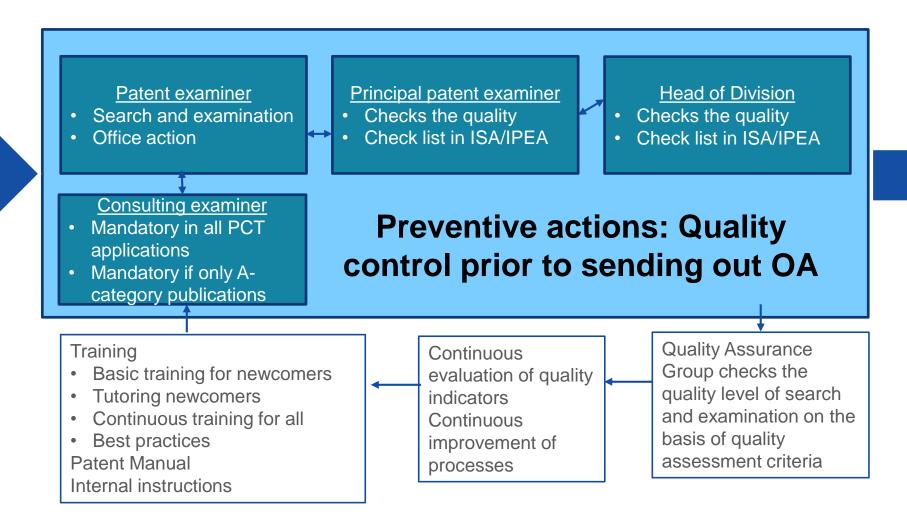
- Analysing all risks reported by core processes (patents, trademarks)
- Agreeing risks levels
- Deciding on new actions to be taken against risks above acceptable risk level





Quality Control Processes

PCT-appl's in



Corrective actions: Quality control after sending out OA



ISRs out

Quality Assessment Group

- Consists of 10-12 senior examiners
- Measures the quality level of searches and examinations on the basis of quality assessment criteria
- Analyses whether the examiner has followed the given quality criteria, quality standards, and guidelines
- Checks annually approximately one application by each patent examiner
- Random sampling
- Focus changes annually (according to internal audit program)
 - First and further Office actions
 - FOA for applications from the biggest applicants
 - PCT written opinions (ISA & IPEA)
 - ISAs where Box VIII has been filled
 - PCT harmonisation file programme with EPO



Reports from Quality Assessment Group

- Quality report is drawn on each file and a quality level is given
 - (A) Good. Minor observations.
 - (B) Fairly good. Does not follow all the guidelines but it does not create any harm to customer.
 - (C) Unsatisfactory. Does not follow all the guidelines and it does create harm to customer.
 - The report is sent to each person involved
 - The parties may comment the report before the final version
 - Used only for training and corrective purposes
- A summary report concluding the most important findings
 - presented to the management group of the patent process
 - the summary report is also presented to all patent examiners







Timeliness

- At least 85 % of the ISRs and IPRPs are drawn up within the PCT time limits (In 2019, 84 %; 98 % A1 publ's)
- National applications: FOA within seven months (in 2019 85 %) and fast-tracked applications within 4 months

Quality levels

- At least 85 % of searches and examinations are of category (A)
 Good
- Less than 5 % of searches and examinations are of category (C) Unsatisfactory

Customer satisfaction

- Overall 4,0 / 5
- Timeliness of ISRs 4,1 / 5



Thank you!

Any Questions?



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