



GOBIERNO  
DE ESPAÑA

MINISTERIO  
DE INDUSTRIA, COMERCIO  
Y TURISMO



Oficina Española  
de Patentes y Marcas

# GESTIÓN DE CALIDAD EN LA OEPM/QUALITY MANAGEMENT AT THE OEPM

Junio 2019

# Sistema de Gestión de Calidad/ Quality Management System ISO 9001:2015

# Sistema de Vigilancia e Inteligencia/ Surveillance and Intelligence Management System UNE 166006:2011

Certificado ES15/18131

El sistema de gestión de

**OFICINA ESPAÑOLA DE PATENTES Y MARCAS**

ha sido evaluado y

Tramitación de solicitudes internacionales, búsqueda internacional y la opinión de internacional dentro del ámbito del PC patentes, Validación de patentes europeas, patentes, búsquedas retrospectivas, boletines de vigilancia tecnológica a medida, Tramitación de marcas nacionales y nombres comerciales, diseños industriales y tramitación y registro en la OEPM, Tramitación de solicitudes y registro e inscripción de licencias y transferencias (patentes y modelos de utilidad), Tramitación de derechos (patentes y modelos de utilidad).

**Certificate ES15/18131**  
The management system of  
**SPANISH PATENT AND TRADEMARK OFFICE**  
Paseo de la Castellana, nº 75  
28046 Madrid  
has been assessed and certified as meeting the requirements of  
**ISO 9001:2015**  
For the following activities:  
Processing of international patent applications, issue of international search reports and written opinion and international preliminary examination in the framework of the Patent Cooperation Treaty, Processing of European patent validation in Spain, Elaboration of patent technological reports, retrospective searches, technology watch bulletins and customised technology watch reports, Processing and registration of national trademarks and trade names and renewal of them, Processing and registration of industrial designs and processing of oppositions to designs filed at the SPTO, Processing and registration of utility models, Processing and registration of national patents, Processing and inscription of licensing and transfer agreements over industrial property rights (patents and utility models), Processing of restoration of rights (patents and utility models), Processing of appeals.

is/ from the following sites  
Paseo de la Castellana, nº 75 - 28046 Madrid  
This certificate is valid from  
7 March 2018 until 10 September 2019.  
Issue 3, Company certified since 10/09/2007.  
Certified with SGS since 17 June 2015.  
Last certification cycle expiry: 10/09/2018.  
Recertification audit: 27/06/2016.

Authorized by

Certification Management  
SGS ICS Ibérica, S.A. (Unipersonal)  
C/Traspaderno, 29, 28042 Madrid, España.  
T 34 91 313 8115 F 34 91 313 8102 www.sgs.com

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Certificado ES15/18310

Certificate ES18/22947

The management system of





**SPANISH PATENT AND TRADEMARK OFFICE**  
Paseo de la Castellana, nº 75  
28046 Madrid  
has been assessed and certified as meeting the requirements of  
**UNE 166006:2011**  
For the following activities:  
Elaboration of patent technological reports, retrospective searches, technology watch bulletins and customised technology watch reports.

is/ from the following sites  
Paseo de la Castellana, nº 75 - 28046 Madrid  
This certificate is valid from  
7 March 2018 until 10 September 2019.  
Issue 1.

Authorized by

Certification Management  
SGS ICS Ibérica, S.A. (Unipersonal)  
C/Traspaderno, 29, 28042 Madrid, España.  
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# Control de Calidad del Producto en el Departamento de Patentes/Product Quality Control at the Patent Department

CONTROLES ANTES  
DE  
EMISIÓN/CONTROLS  
PRIOR TO ISSUE

Los Jefes de Servicio de los Departamentos revisan el 100% de los informes antes de su emisión y pueden modificarlos o devolverlos al examinador para su modificación/*Heads of Technical Sections receive 100% of the reports before being issued and have the possibility of modifying or return them to the examiner for reprocessing.*



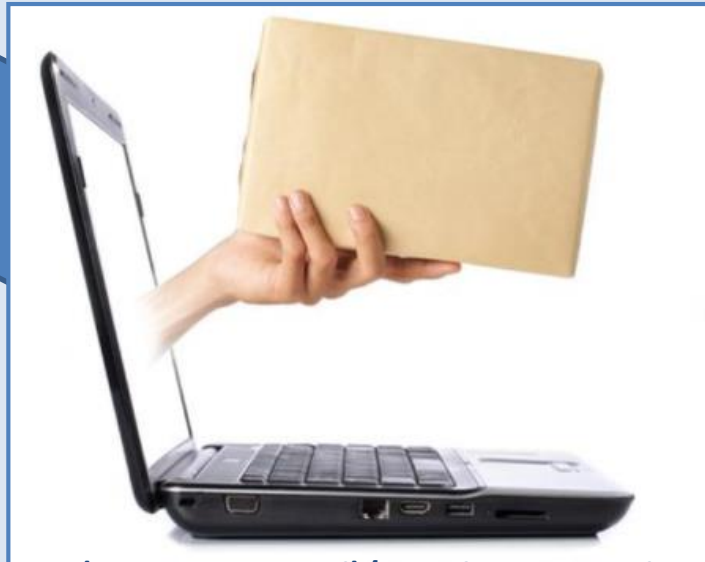
CONTROLES  
DESPUES DE  
EMISIÓN/POST-  
ISSUE CONTROLS

Revisión de una muestra representativa de informes mediante listas de verificación/*Review of a representative sample of reports through Checklists.*

## CRITERIOS DE CONTROL/CONTROL CRITERIA

- ❑ Aspectos formales/Formality aspects (Formality and Documentation sections)
- ❑ Aspectos Sustantivos/Substantive aspects (Head of Technical section)

**CONTROLES ANTES DE EMISION/CONTROLS PRIOR TO ISSUE**



## PRODUCTOS/PRODUCTS

- ❖ Informe de Búsqueda y Opinión Escrita (Patente nacional)/Search report and Written Opinion (National patents)
- ❖ Informe de Examen Sustantivo (Patente nacional)/ Substantive examination report (National patents)
- ❖ Informe de Búsqueda Internacional y Opinión Escrita (PCT)/International Search report and Written Opinion (PCT)
- ❖ Informe Preliminar Internacional (PCT)/Substantive examination report ( PCT)
- ❖ Informe Tecnológico de Patentes/Patent Technological Report
- ❖ Modelo de Utilidad/Utility Model

CONTROLES ANTES  
DE  
EMISION/CONTROLS  
PRIOR TO ISSUE



TIPOS DE CONTROLES/TYPES OF CONTROLS

- **REVISIONES DE CALIDAD** con **ALFA**: 100% de los informes son revisados por los Jefes de Servicio de los Departamentos antes de su emisión/ **QUALITY REVIEWS** with **ALFA** : 100% of reports are checked by Heads of Technical Sections prior to issue.
- **SISTEMAS DE ALERTA** en **ALFA** para detectar a tiempo problemas en los informes/ **ALERT SYSTEMS** in **ALFA** to control timely issue of the reports
- **INFORMES DATAWARE** ayudan a los Jefes de Departamento a controlar los retrasos/ **DATAWARE REPORTS** to help Heads of Technical Units control the backlog

**Examinador/Examiner**

**Jefe de Servicio/Head of Technical Section**

**Administracion/Administrative Section**

**Documentacion/Documentation Section**

Elaboración del Informe de Búsqueda (IBI) y la Opinión Escrita (OE)/  
 Elaboration of the Search Report (SR) and Written opinion (WO)  
 Corrección IBI/Reelaboracion/SR Correction/Reelaboration

**IBI/OE Control de CALIDAD/SR/ WO QUALITY Check**

YES  
 NO  
 Is the SR/WO correct?

**Formality check**

YES  
 NO  
 Is the SR/WO correct?

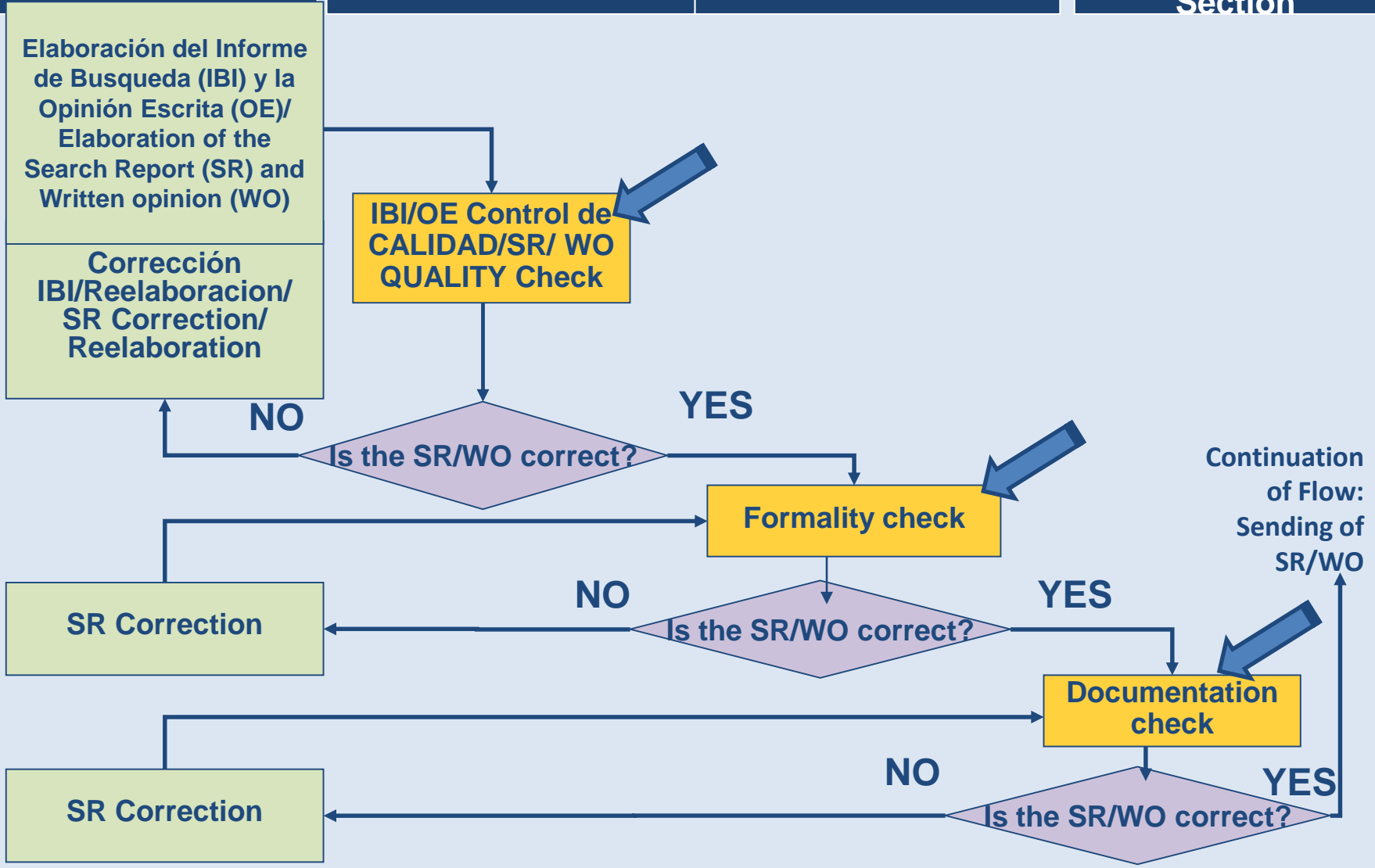
**SR Correction**

**Documentation check**

**SR Correction**

YES  
 NO  
 Is the SR/WO correct?

Continuation of Flow: Sending of SR/WO



## EJEMPLO/EXAMPLE

- **Controles de los Informes de Búsqueda y Opinión Escrita: 100% de archivos / *Controls for the Search Report and Written Opinion: 100% of files***
  - **Revisión por los Jefes de Servicio / *Revision by Heads of Technical Section***
  - **Controles de forma por Administración / *Formality checks by Administrative Section***
  - **Controles por Documentación / *Checks by Documentation section***





## Revision por el Jefe de Servicio/Revision by Head of Technical Section

### Quality check of the SR and WO (Head of Technical Section)

Revisión de calidad del IBI

- PCT/ISA/210: Informe de búsqueda internaci
- PCT/ISA/237: Opinión escrita de la Administr

NOTA: En esta tarea, si lo desea, puede corregir documentos citados.

¿Desea devolver el IBI al examinador para

- No, el IBI es correcto (PCT/ISA/210 y PCT/ISA/237)
- Si

Comentarios del Jefe de Servicio

Comentarios del Examinador

**Note: In this task, you can correct the previous documents, except mistakes in classification of the invention or in the cited documents. To correct those errors the task should be returned to the examiner to be entered again in the screen.**

**Do you wish to return the SR to the examiner to be corrected?**

No

Yes

**Comments from the Head of Technical Section**

**Comments from the Examiner**

## Revision por el Jefe de Servicio/Revision by Head of Technical Section

Revisión de calidad del EPI

Quality check of the IPRP (Head of Technical Section)

 PCT/IPEA/409: Examen preliminar

NOTA: En esta tarea, si lo desea, puede corre

Note: In this task, you can correct the previous documents, except the cited documents.

¿Desea devolver el EPI al examinador pa

Do you wish to return the to the examiner to be corrected?

- No, el EPI es correcto (PCT/IPEA/409).  
 Si

No

Yes

Comentarios del Jefe de Servicio

Comments from the Head of Technical Section

Comentarios del Examinador

Comments from the Examiner

## CRITERIOS DE CONTROL/ CONTROL CRITERIA

- ❑ Aspectos formales/  
*Formality aspects*
- ❑ Aspectos sustantivos/  
*Substantive aspects*

CONTROLES DESPUES  
DE EMISION/CONTROLS  
POST-ISSUE



## CHECKLISTS

- ❖ PCT/ISA/210
- ❖ PCT/ISA/237
- ❖ PCT/IPEA/409
- ❖ Search Report and Written Opinion (National Patent)
- ❖ Search Report for Technological Information
- ❖ Utility Models

During the first week of the current month,  
Reports and Decisions of the previous  
month are selected for checking

## Ejemplo MUESTRA DE CHECKLIST/Example CHECKLISTS SAMPLE

### PCT – ISR, WO

Muestra: 156 archivos por año (17% 898 en 2018), 5 revisores. En total, 13 archivos por mes. (Química 4 archivos, 2 cada una de las dos áreas técnicas, el resto de las áreas 3 cada una/*Sample – 156 files per year (17 % 898 in 2018), 5 reviewers. Overall, 13 files per month. (Chemistry 4 files, 2 each of the two technical areas, the rest of areas 3 each).*

### PCT – IPIP

Muestra - 100% de las aplicaciones / *Sample – 100% of applications.*

*Los revisores son los Jefes de Servicio/ Reviewers are Heads of Technical Sections*

### Claims cannot be searched (Box II)

1. Regarding the possibility of declaring that some claims cannot be searched. ¿ Has it been properly assessed?
  - 1.1 ¿ Has box II been filled in?
  - 1.2 ¿ Have the claims involved been indicated and has it been explained why SPTO is not supposed to do the search?
  - 1.3 Have the claims involved been indicated and the reasons explained in the case where the search is incomplete due to lack of clarity?

### Unity of Invention

2. Has lack of inventive step been correctly evaluated and reasoned?
3. Is it correct the distinction between groups of inventions?

### Title

4. Is the examination of the title correct?

### Summary

5. Is the examination done over the summary correct?

### Drawings

6. Is the opinión of the examiner over the chosen drawing correct?

### Clasification

7. Is the assigned clasification consistent?

### Relevant documents

8. Are all the documents correctly cited? Are specific points in the document cited?
9. Do those documents cover all the independent claims?
10. Formaly, Has the categories of the documents (X,Y,A) been correctly assigned?

### Search Strategy

11. Is the search strategy correctly filled out according to the current instructions?

### Comments

## Checklist PCT/ISA/237

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### Box II

1. In case of citing P or E documents (having priority) ¿has Box II been correctly filled in

### Box III

2. In case of not declaring opinion over novelty, inventive step or industrial application of certain claims ¿have this issues been correctly reasoned?

### Box IV

3. In case of lack of unity of invention in PCT/ISA 210 ¿Has the appropriate reasoning been included in PCT/ISA 237?

### Box V

4. Is the written opinion consistent with the category of the documents assigned in PCT/ISA 210?

5. Has an opinion over novelty, inventive step and industrial application been raised?

6. Has the written opinión been expressed with clarity and has it been accompanied by appropriate explanations

7. Have the articles of the Treaty or Regulations, in which the reasonings are based on, been identified?

8. In case of lack of inventive step ¿has this been properly reasoned?

### Box VI

9. In case of citing P or E documents (having priority) ¿Has Box VI been correctly filled in?

### Box VII

10. In case of detecting important defects regarding formalities or the content of the application ¿has those defects been clearly explained

### Box VIII

11. In case of detecting defects over clarity ¿have those objections been clearly explained?

12. In case of detecting lack of support of the claims in the description ¿has this fact been correctly identified and explained by the examiner?

### Comments

## Checklist PCT/IPEA/409

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### Box I

1. In case there are amendments to the international application as it was initially submitted ¿have those amendments been reflected in the report?
2. In case of considering any international supplementary search for the elaboration of the report ¿has this fact been reflected in box VI?

### Box II

3. In case of citing P or E documents (having priority) ¿has Box II been correctly filled in?

### Box III

4. In case of not declaring opinion over novelty, inventive step or industrial application of certain claims ¿have these issues been correctly reasoned?

### Box IV

5. In case of lack of unity of invention ¿Has the reasoning been explained?

### Box V

6. Has an opinion over novelty, inventive step or industrial application been issued?
7. Has the opinion been written with clarity and has it been accompanied by appropriate explanations?
8. Have the articles of the Treaty or Regulations, in which the reasonings are based on, been identified?
9. In case of lack of inventive step ¿has this been properly reasoned?

### Box VII

10. In case of detecting important defects regarding formalities or the content of the application ¿has those defects been clearly explained?

### Box VIII

11. In case of detecting defects over clarity ¿have those objections been clearly explained?
12. In case of detecting lack of support of the claims in the description ¿has this fact been correctly identified and explained by the examiner?

### Comments

# Análisis de datos de “Listas de control” / Analysis of data from checklists

- En todos los aspectos de la lista de verificación, los jefes de servicio evalúan si son correctas o tienen errores menores, pero son aceptables o son incorrectas (*In every aspect of the checklist the heads of technical sections evaluate whether they are correct, or they have any minor mistakes but they are acceptable or they are incorrect*).
- Los datos registrados se analizan en el Grupo de Gestor de Calidad (GGC)/ *The recorded data are analyzed in the Quality Management Group (QMG)*.
- % de errores. Evolución de los errores / *% of mistakes. Evolution of mistakes.*
- Se toman acciones de mejora para abordar los aspectos problemáticos/ *Improvement actions are taken to tackle weak aspects.*



# RETROALIMENTACIÓN DE USURIOS/ USER FEEDBACK

**Satisfacción**  
**Satisfaction**

- Encuestas/Surveys,
- Focus Groups,
- Reuniones con usuarios/Meetings with clients
- Number of hits



**Complaints, Suggestions  
and Compliments**

**Redes Sociales/Social Media**

**IP Sector Inputs**

**Analysis  
of Results**

REVIEW meetings of the Quality  
Management Groups and Quality  
Committee

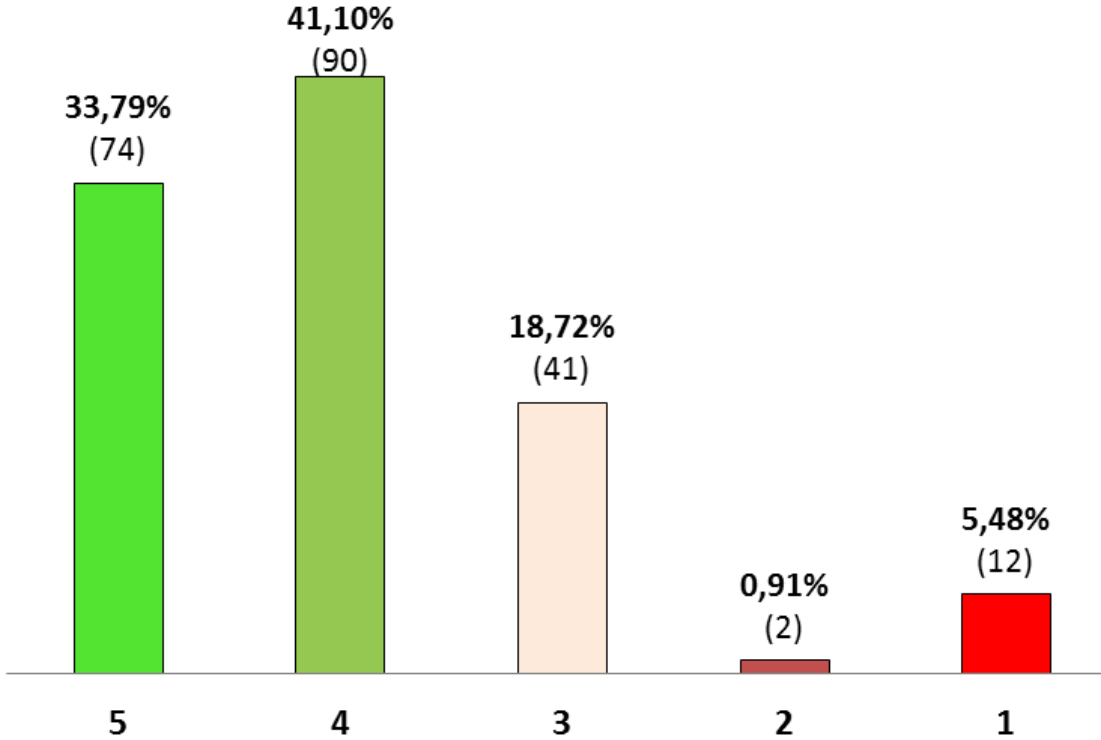


**Improvement  
Actions**

# GLOBAL SATISFACTION PCT

**En su caso, indique su nivel de satisfacción global con los servicios prestados por la OEPM en relación con el registro de solicitudes internacionales PCT.**

(Escala de puntuación del 5 al 1, siendo 5 la puntuación más favorable y 1 la más desfavorable)



**AVERAGE: 3,97 / 5**

Se información aportada por las quejas es analizada por el Grupo Gestor de Calidad de cada departamento y por el Comité de Calidad para decidir las acciones correctivas si fuera necesario. Asimismo se envía un informe anual al Ministerio de Industria/ *Feedback information extracted from complaints is analyzed by the Quality Management Group of each department, and Quality Committee in order to decide corrective actions if necessary. Also there is an annual report sent to the Ministry of Industry.*

Se dispone de una carta de servicio que recoge el compromiso de responder el 80% de las quejas en 15 días hábiles, y al resto, hasta el 100%, en 19 días / *There is a Service Charter with a commitment of responding 80% of complaints within 15 working days, and the rest, up to 100%, within 19 days.*

## CANALES DE ENTRADA/ INPUT CHANNELS

(Complaints, Suggestions and Compliments)

### CANALES OFICIALES / FORMAL CHANNELS:



- En persona/ In person
- Por teléfono/ By phone
- Por correo/ By post
- Por email, on-line/ By email, on-line

- Cualquier queja recibida a través de un canal informal o directamente por los departamentos también será considerada y registrada, con el fin de obtener información para mejorar el servicio/ *Any complaint communication received through an informal channel or directly in the departments will also be considered and registered, in order to get information to improve the service*

## Ejemplos/ Examples:

- Reuniones con Asociaciones de Usuarios/ *Meetings with User's Associations*
- Talleres con empresas y clientes/ *Workshops with Companies and clients*
- Sesiones formativas para usuarios/ *Training sessions for users*
- Reuniones y actividades conjuntas con Plataformas Tecnológicas/ *Meetings and joint activities with Technological Platforms.*
- Reuniones con la Asociación Española de Agentes de Propiedad Industrial/ *Meetings with the Spanish Association of Patent Attorneys*
- Oficinas de Transferencia Tecnológica/ *Offices of transfer of Technology*
- Universidades / *Universities*
- Reuniones internacionales y actividades de cooperación con oficinas de PI/ *International meetings and cooperation activities with IPOs*

## Planes anuales de formación/ Annual training plans

- Los Jefes de Área y/o Servicio remiten las **necesidades formativas** a los Responsables de los diferentes Departamentos, quienes, a su vez, las envían al Área de Recursos Humanos de la OEPM./ *Heads of Area and Service send their training needs identification to the Head of Department, afterwards those needs are forwarded to the Human Resources Area.*
- A partir de esta información, el Área de Recursos Humanos determina los recursos necesarios para llevar a cabo la formación y se realiza una **planificación de la formación que se va a desarrollar a lo largo del año** en curso./ *Based on prior information Human Resources Area plans the training that is going to be given throughout the course*
- El Plan de Formación es **aprobado por los Departamentos y las Organizaciones Sindicales.**/ *The Training plan is approved by the Departments and the Union.*

## Planes anuales de formación/ Annual training plans

- El Área de Recursos Humanos organiza y coordina la implantación del plan de formación. A lo largo del año pueden realizarse acciones puntuales de formación no planificadas./ *Human Resources Area organizes and coordinates the training plan implementation. During the year puntual training that is needed and was not included in the plan will be delivered when necessary.*
- La información general relativa a cada una de las actividades formativas planificadas (asistentes, lugar de impartición, duración del curso, resultados de los cuestionarios de valoración, etc.) es procesada y registrada por el personal del Área de Recursos Humanos quien elabora, a final de año, la **Memoria de Formación**./ *General information regarding each of the planned training activities (attendees, place of teaching, duration of the course, results of the assessment questionnaires, etc.) is processed and recorded by the staff of the Human Resources Area who, at the end of the year, draw up the **Training Report**.*

## Training efficiency evaluation

El proceso finaliza con la evaluación de la eficacia de la formación recibida durante el año por parte de los responsables directos de los asistentes a los cursos./ **The process ends with the evaluation of the efficiency of the training done by the heads of the attendees.**

Las valoraciones son analizadas en el seno de los Grupos Gestores de Calidad, durante la revisión anual del Sistema de Gestión de Calidad.

El resultado de dicho análisis es utilizado para mejorar futuras formaciones./ **The evaluation are analysed by the Quality Groups during the annual review of the Quality Management System. The result of this analysis is used to improve future trainings.**

### EVALUACIÓN DE LA EFICACIA DE LA FORMACIÓN

- **Acción Formativa:** Vistas orales en el procedimiento de concesión
- **Fecha Acción Formativa:** 16, 19 y 20 de abril 2018
- **Departamento:** Patentes e IT
- **Unidad/Área:** Eléctrica
- **Relación de Asistentes:** Todo el servicio
- **Aplicación de lo Aprendido para Puesto de Trabajo**  
Califique de 1 a 10 (siendo 1 la puntuación más baja y 10 la más alta):

1	2	3	4	5	6	7	8	9	10
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- **Utilización de lo Aprendido**  
Califique de 1 a 10 (siendo 1 la puntuación más baja y 10 la más alta):

1	2	3	4	5	6	7	8	9	10
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- **Posibles Mejoras:**





# GRACIAS POR SU ATENCIÓN

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