Road to Become an ISA through QMS at the VPI

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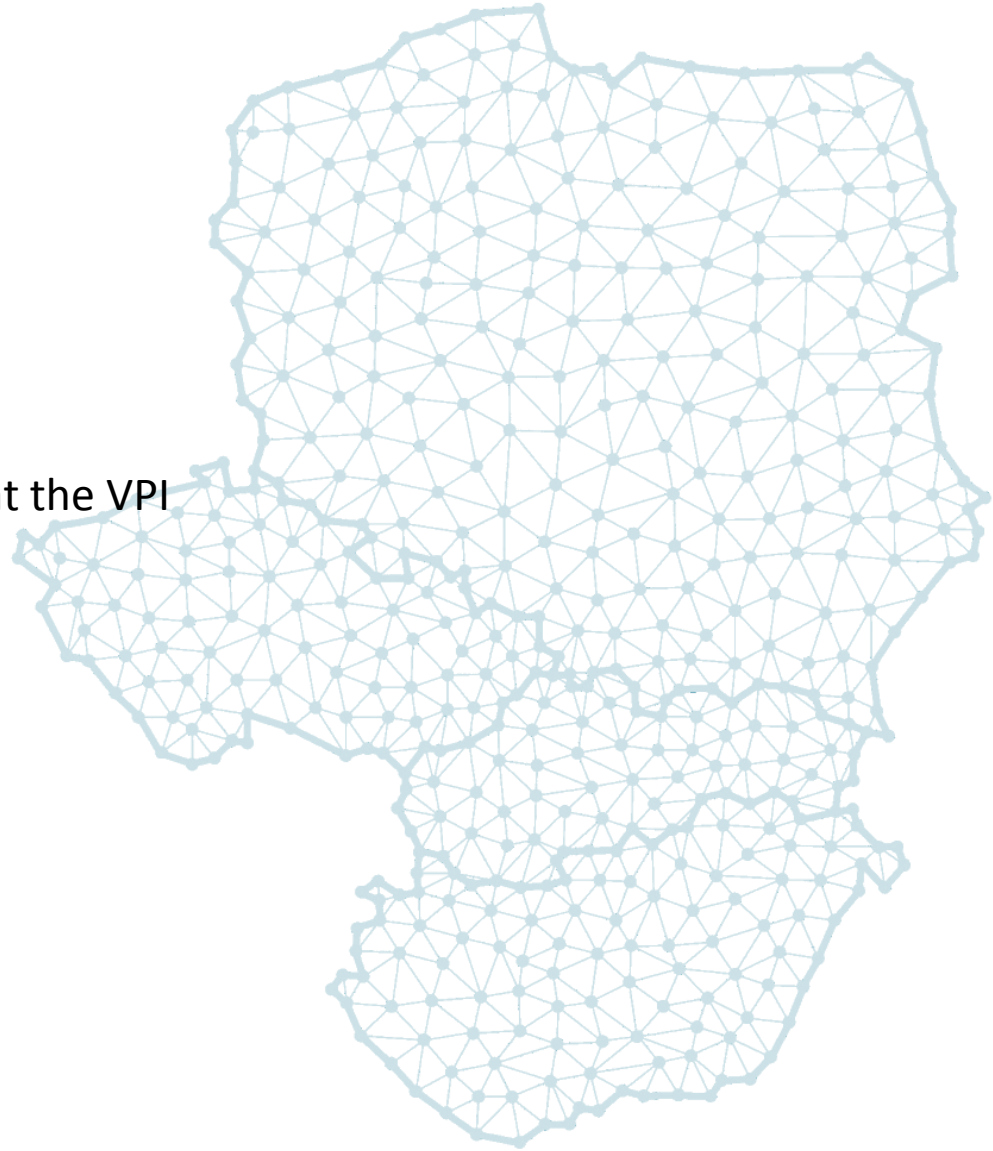
Hungarian Intellectual Property Office

TOC

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

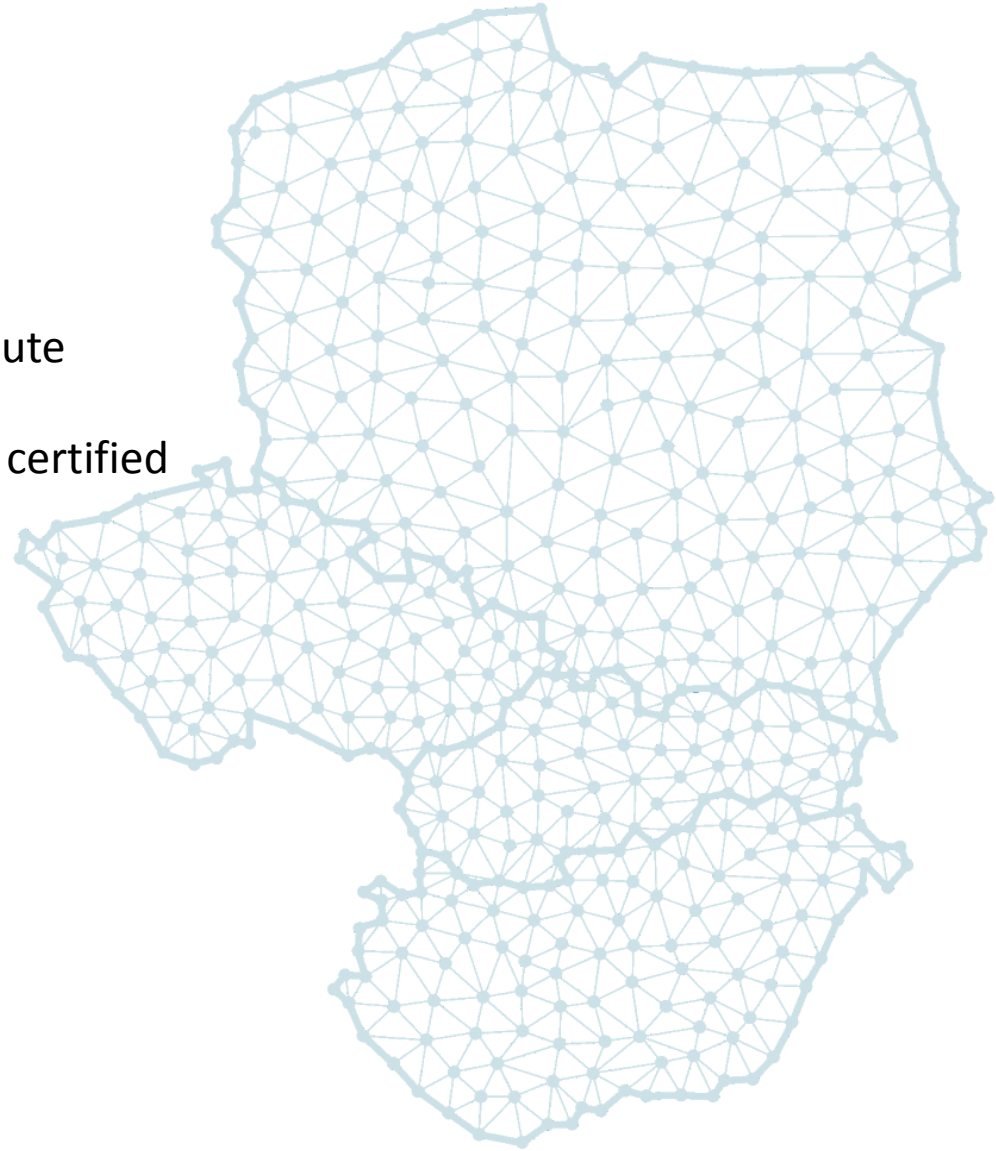


Personal Introduction

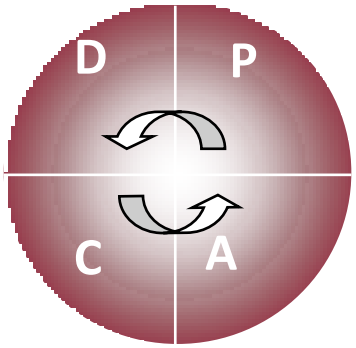
- Who am I?

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



PDCA cycle



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

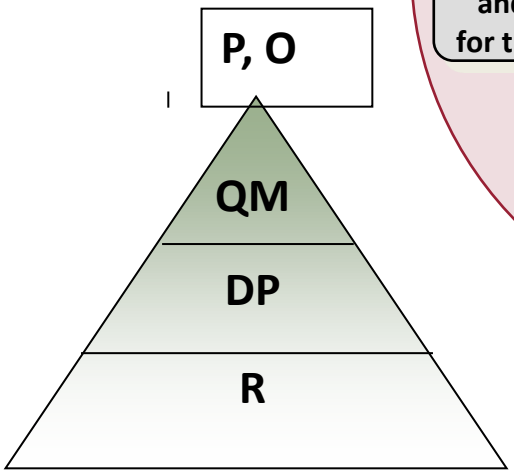
Take actions to continually improve process performance

Documentation system

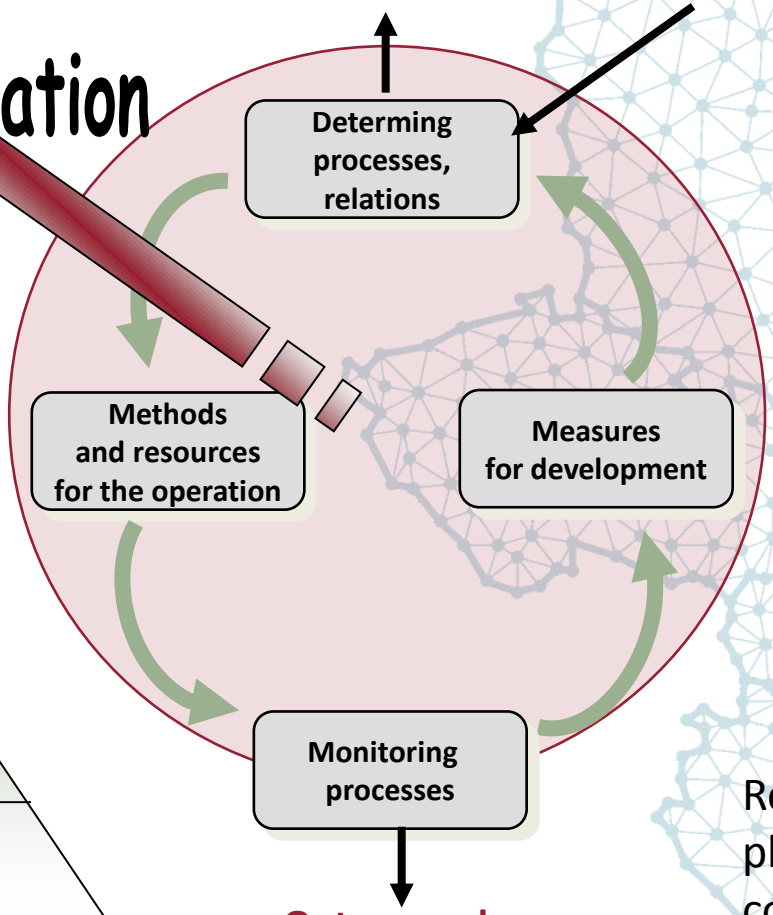
Documentation

Quality policy (P)

Quality objectives (O)



Outsourced processes

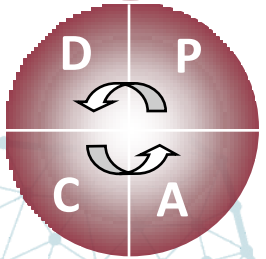


Outsourced processes

Quality manual (QM)

Documented procedures and records required by ISO 9001 (DP)

Records to ensure effective planning, operation and contol (R)



Determination of Customer Requirements

P

Quality policy

Planning the system

Determination of Quality Objectives

Human resources (responsibilities, representative)

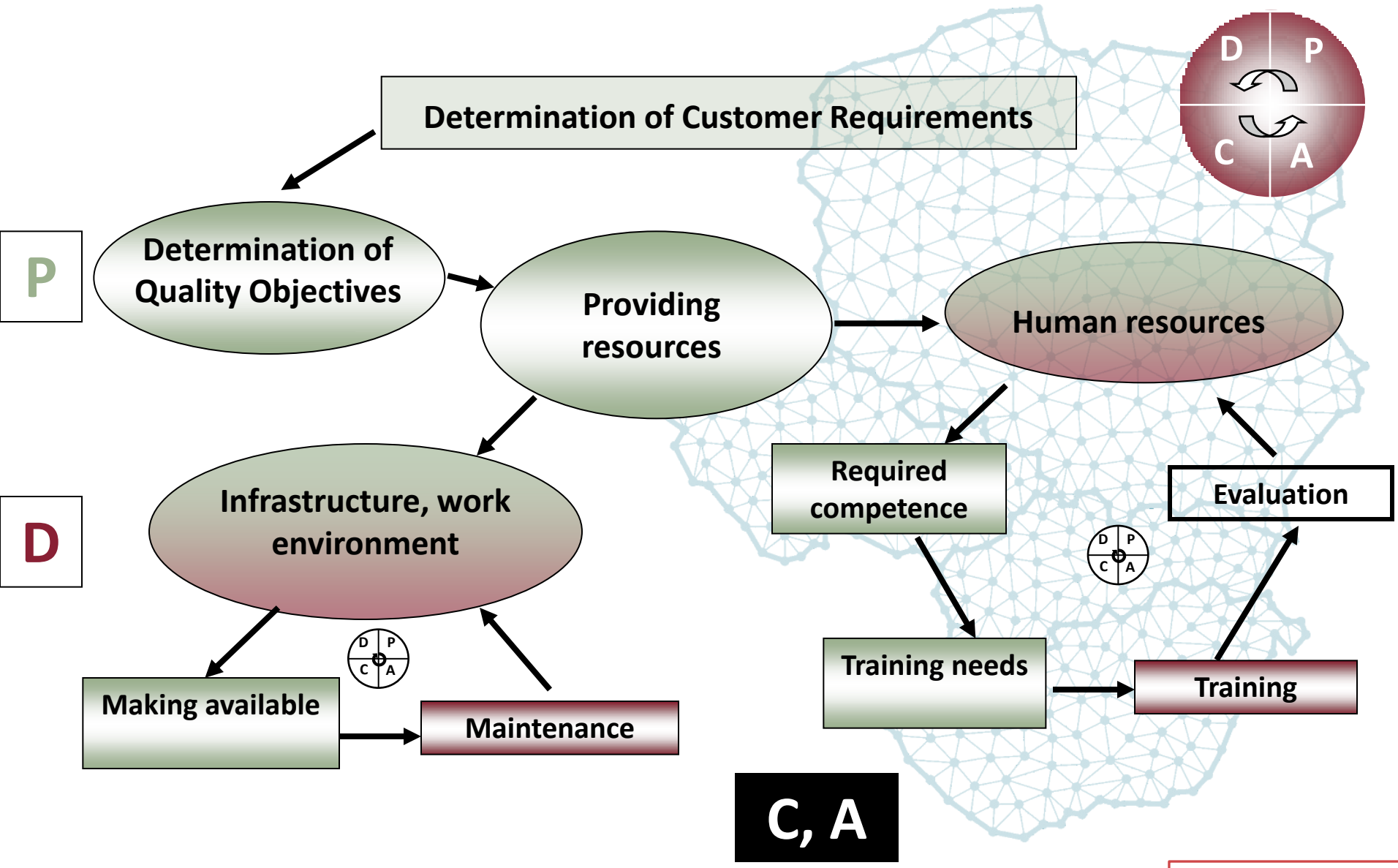
Providing resources

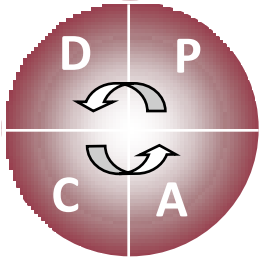
D

Communications

C, A

Audit, development (management review)


Determination of Customer Requirements
D
P
C
A
P
Determination of Quality Objectives
Providing resources
Human resources
D
Infrastructure, work environment
Required competence
Evaluation
Making available
Maintenance
Training needs
Training
C, A



P

D

Planning the service provision

C, A

Customer requirements, relationships

Measurement

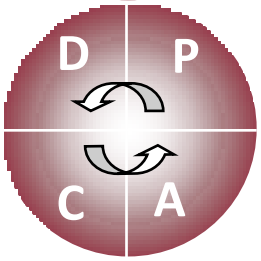
Regulation
Approval
Identification
Customer property preservation

Planning and development

Acquisition

Provision of services

Measurement, analysis and improvement



P

D

C, A

Plan of measurement and monitoring

Requirements

Implementation of measurement and monitoring

Overall satisfaction
System
Process
Product

Improvement

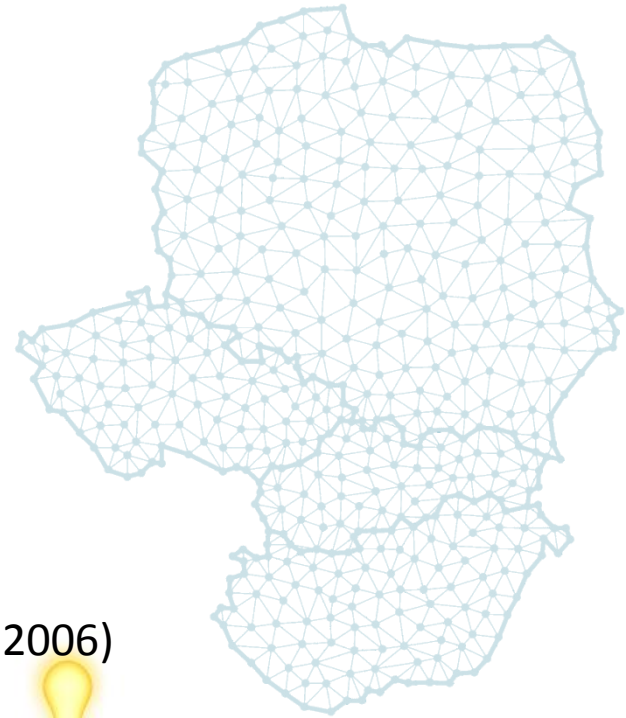
Nonconformity handeling

Analysis and evaluation

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 develope 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

Establishement 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 seeked 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

Establishement 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 Ľuboš Knoth, 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:
Josef Kratochvíl, 14.12.2015 -31.12.2016
Ľuboš 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:
(organisation of the VPI's work, representing the VPI, administrative support)
Dr. Gárdonyi Márk - Kis Anita

Quality Manager: Andrej Legin

NOs: search and examination (CZ)

NOs: search and examination (HU)

NOs: search and examination (PL)

NOs: search and examination (SK)

VPI branch office

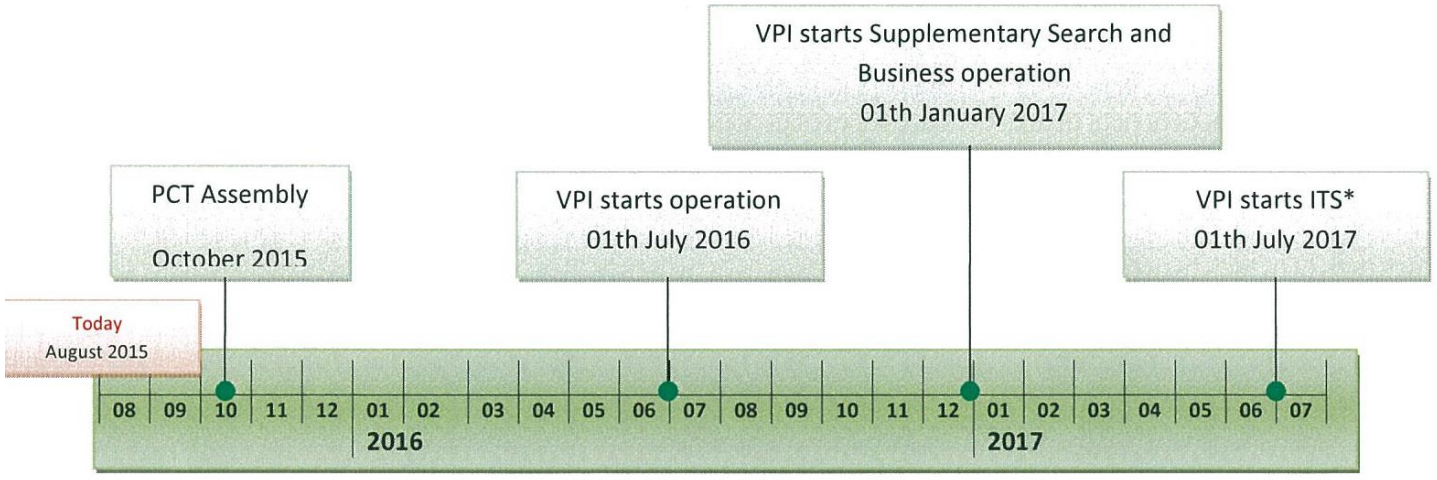
VPI branch office

VPI branch office

VPI branch office

Leadership and policy

- The leadership and policy was prepared by the QM/IT WG
- It was accepted by the Administrative Board



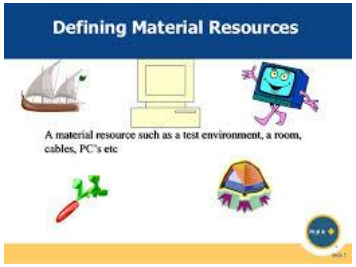
Resources

Human Resources

- 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
- Quaterly updated competence map of the four Offices
- Interchangeable capacities in most technical fields

patent examiners from HIPO	Electrical machinery and apparatus,	Audio-visual technology	Telecommunications	Digital communication	Basic communication	Computer technology	IT methods for management	Semiconductors	Optics	Measurement	Analysis of biological	Control	Medical technology	Organic fine chemistry	Biotechnology	Pharmaceuticals	Macromolecular chem	Food chemistry	Basic materials chem	Materials, metallurgy	Surface technology	Micro-structure and nano-	Chemical engineering	Environmental technol	Handling	Machine tools	Engines, pumps, turbines	Textile and paper machines	Other special machines	Thermal processes and apparatus	Mechanical elements	Transport	Furniture, games	Other consumer goods	Civil engineering	Foreign language
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	
Istvan Karpathy		X						X	X	X		X																							E
Arpad Kuthy	X																																		E,G
Jozsef Miklosi									X	X			X																							E,R
Zsolt Pora-simon	X									X		X																								E
Laszlo Sommer		X	X	X		X	X																													E,G
Tamas Takacs								X		X		X																								E
Celesztin Varhegyi			X	X	X																															E
Katalin Miklo														X		X	X		X				X													E,G
Ildiko Dr Prohaszkane Nemeth														X		X	X		X				X													E,G
Mariann Szulmanne Dr Binet														X		X	X		X				X													E
Tibor Benyi																X			X																	E

Resources



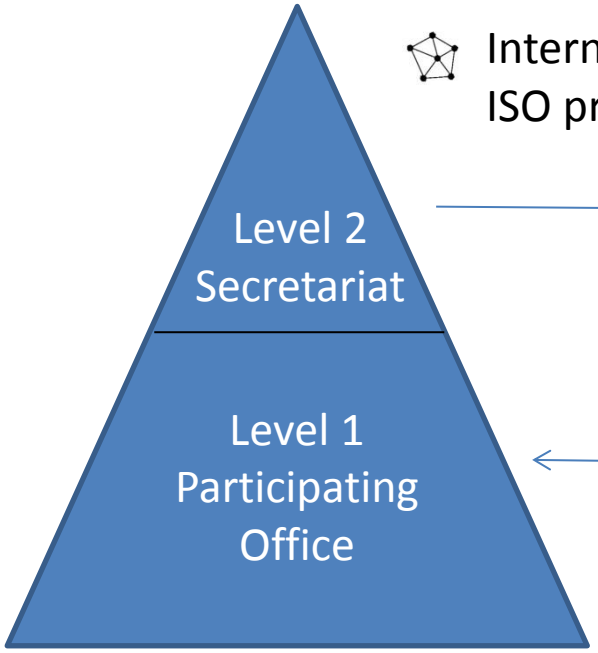
Includes:

- 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

Identifying Proposals,
Harmonisation and training needs

Independant external auditor

External audit

Yearly external audit reports

Pool of Internal auditors
of contracting Offices

Internal audit

Yearly internal audit reports

Different Head or expert

Quality focused cross checking system

Reports on Non-conformities
and deficiencies

Head, Vice head of
section or expert

At least one level control system by supervisor

Direct feedback
to examiners

Examiner

Self assesment

Checklists

Communication

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

- Communication and guidance to users

  Handling user compliants → VPI Secretariat + POCs

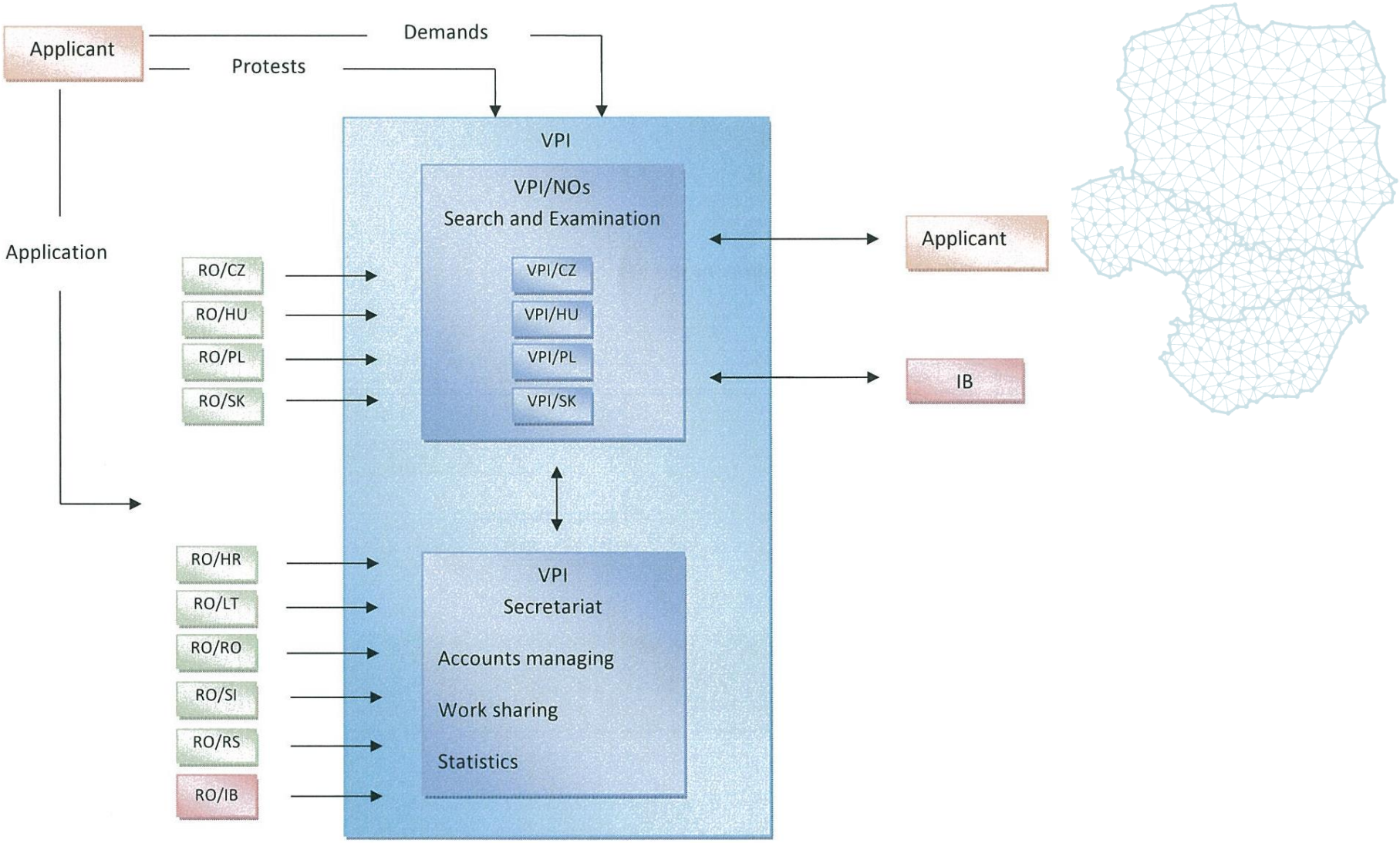
  User feedback and satisfaction measurements → Quality Manager of VPI + Secretariat

  Publicly available information sharing
  Guidelines, quality objectives → Via website

- Communication with WIPO and designated or elected Offices

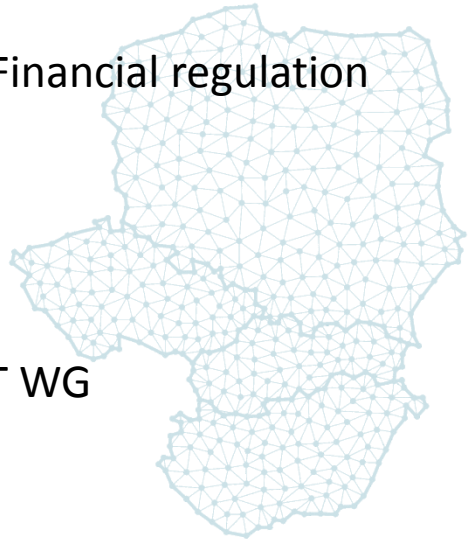
  VPI Secretariat + ePCT
  VPI director participates in the relevant WIPO meetings

Communication



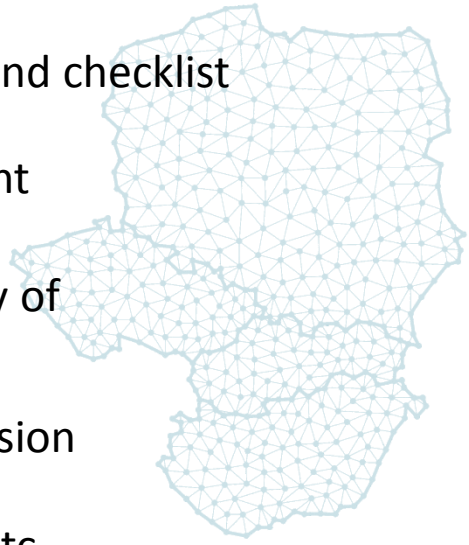
Documentation

- Framework regulations: Agreement, Implementing regulation, Financial regulation
- Quality Manual is under construction ← TE WG, QM/IT WG
  - Quality Policy (accepted by AB)
  - Scope of the QMS
  - Organisational chart of the VPI ← QM/IT WG
  - Documented processes
  - Resources ← TE WG
  - Templates and basic principles
- Harmonized PCT Guidelines ← TE WG
- Internal audit report, external audit reports, managerial reports
- Memos of all bodies of VPI
- Proposals, action plans and decisions



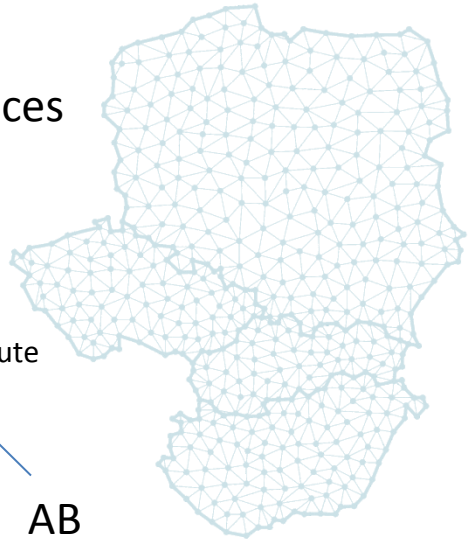
Search Process Documentation

- 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 confidentality 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

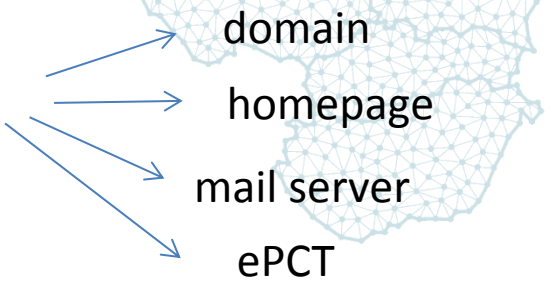
- Pool of internal auditors in the contracting offices
- Yearly internal audits
- Internal audit plan
- Internal audit review
- Exit conference
- Management Response
- Final report issuance with management response



Current Status

- The reponsible 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

Mr. Márk Gárdonyi (PhD)



- QM documentation is in progress
- Initial Report on QMS was prepared and sent to WIPO in November 2015

QMS Road Map

- Prepare a draft material on a framework for Internal audits (IPO SR) 28.02.2016
- Prepare a draft material on a framwork 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
- Set up all internal processes for ISO 9001:2015 certification of VPI (All WGs and Secretariat) 31.12.2016
- 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