

# THE ROAD TO BECOME ISA THROUGH QMS

**Prepared by the Indian Patent  
Office, April, 2016**

# Introduction

- The objective of the Patent Office is to provide products and services of quality standards to its users. The Patent Office has utilised its long experience of over 150 years, while formulating its quality policy and has set its quality standards so as to achieve the uniformity of practices amongst all its branches, to improve its functionality and enhance its output both qualitatively and quantitatively.

# QUALITY POLICY AND STANDARDS OF THE PATENT OFFICE

- *Our policy is to achieve and maintain the best standards of quality in all our products and services. (Vision)*
- *We, at the Indian Patent Office, identify the following yardsticks determining the quality of our products and services (Mission)*
- ***Reliability of our search reports,***
- ***Predictability of our examination reports,***
- ***Timeliness in delivering services,***
- ***Correctness of data while providing patent information***
- ***Real time dissemination of information***
- ***Stakeholder satisfaction encouraging feedbacks and being responsive and***
- ***Continual improvement***
- **For achieving the mission, quality objectives will be drawn, documented and communicated to all members of IPO for compliance.**

In order to achieve the policy objectives narrated above, the Indian Patent Office (IPO) has set the following measures:

- Setting up quality management team at all its offices.
- The scope of work of the team is to ensure that the QMS requirements are met and the time lines and legal certainty is reflected in the deliverables of the Patent Office. The QMS team shall formulate the quality standards for processing of both National and International applications.
- The Quality Management System shall have common quality frame work for International search and Preliminary Examination in accordance with the PCT search and Preliminary examination guidelines in addition to the National requirements based on the Indian Patent Law.
- The QMS shall incorporate the basic requirements with regard to its resources, administrative processes, quality assurance, feedback arrangements and internal review.
- All the four Patent Offices shall function with the same quality quotient so that the services and the product delivered make the unique uniform Indian Patent Standard. The time line prescribed under various provisions of law shall be uniformly maintained at all the four offices.
- The four offices shall have the common practices and they shall have complete uniformity both in formality examination as well as in substantive examination.
- The four offices shall have the common standard for International application while working as Receiving Office, International Searching Authority and International Preliminary Examining Authority under the PCT.

# Establishment of QMS

The quality management system (QMS) has been established in all the four offices under overall supervision of the Controller General of Patents, Designs & Trade Marks (CGPDTM).

## Scope of QMS:

The team is expected to perform a random check of the procedures involved in the patent granting process and suggest measures to ensure the improvement of the system.

The following shall be the assigned responsibilities of the QMS team:

- ✓ Generation of awareness within the organisation about the role of QMS.
- ✓ Generation of better understanding amongst the official about responsibility of the office in meeting statutory requirements, timelines and the quality standards.
- ✓ Motivation of the work force to discharge their responsibilities and official duties with quality component attached to their day- to- day activity.
- ✓ Conducting periodic quality assessment through random sampling method. The team shall undertake assessment of 1% files from every process involved in patent granting procedure.
- ✓ Conducting internal reviews and suggesting measures for improvement Estimating and projecting periodical resource requirements keeping in view the inflow of work for adequate resource availability at all the times, preferably on 5 years projection basis.

The Patent Office formulates the common quality standards for the Indian Patent Office incorporating the provisions of the PCT as well as the Indian Patent law.

## Resource Management

Human Resource

Technical resource

## Patent Administration

Quality Standard for front office Division

Quality Standard for EDP Division

Quality Standard for Publication Division



Quality Standard for Search and Examination Division



For International Patent Applications

For Ordinary, Conventional and National Phase Applications

Quality Standard for Pre-grant and Post grant opposition Division

Quality Standard for Patent Granting Division

Quality Standard for Record Management and Documentation

Quality Assurance

Feedback Arrangements

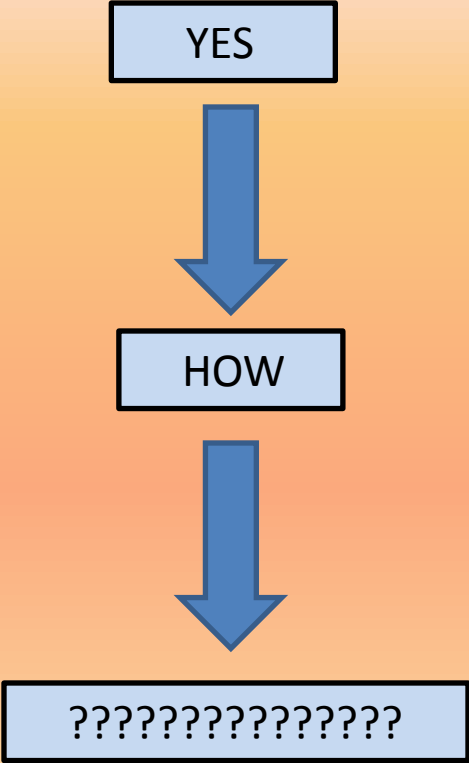
Communication with users

Inter-office and Intra-office communication

Internal Review



# WILL QMS TO BE A ROADMAP TO BECOME ISA?



# *Aim of the Indian Patent Office (IPO) To Become ISA*

- Statistical evidence shows a clear correlation between the innovative performance of a country and the quality of the local framework conditions for protection of innovation in that country. The recent modernisation activities undertaken by IPO aims at strengthening of the search capabilities, maintaining and improving search tools with overall objective for improving the efficiency and coherence of the Indian patent system.
- Another objective of IPO is to support the global development and usefulness of the PCT system by adding further competent resources to those presently available.

The Indian Patent Office(IPO) started functioning as an International Searching Authority (ISA) and International Preliminary Examining Authority (IPEA) under the PCT from 15th October, 2013. The Patent (Amendment) Rules 2013 also came into force on 15<sup>th</sup> October, 2013 facilitating the functioning of the Patent Office as ISA/IPEA. The international applications received by the ISA/IPEA are processed and all reports are generated fully electronically through specialized software developed by the office.

- On 8th September, 2014, IPO inaugurated a new building to deal with the operations of the Patent Office as an International Searching Authority (ISA) and International Preliminary Examining Authority (IPEA) under the Patent Cooperation Treaty (PCT). This introduction will not only accelerate the ISA and IPEA proceedings but it also helps in gaining IPO a step ahead among other IP countries viz. USPTO, EPO, JP etc.
- Further to this the IP Office also introduced a system called the 'Stack and Flow' which tracks the progress of the work happening in the Patent office and can be viewed on the website. The IPO has the distinction of being the first office in the world with such a system. This appears to be a huge boost for transparency in the working of the Patent Office as the process is now freely traceable. These are some extremely good initiatives that the IPO has put up.

Inauguration of ISA/IPEA Building by Shri Amitabh Kant, Secretary, Department of Industrial Policy and Promotion, Ministry of Commerce and Industry on 8th September 2014.





# *Organisation of IPO*

- IPO made available space and infrastructure necessary for efficient functioning of ISA and IPEA. It is appointed a Director for International Searching Authority in Delhi who will be supported by one Assistant Director, ISA and one Assistant Director, IPEA. These appointments are made from the existing Controllers in the Patent Offices. For search and substantive examination, the resources are the examiners of the patent office. The Director will be supervised by the Controller General of Patents, Designs and Trademarks (CGPDTM).
- Director, ISA and IPEA, will be responsible for distributing search and examination tasks between the examiners of the patent offices in such a way that work will be performed by an examiner having the necessary competencies.
- IPO have an International Secretariat under the Director, which will be the interface to all external parties, including the International Bureau of WIPO and the Receiving Offices of the patent offices. The tasks of the International Secretariat will be performed by the staff of the Receiving Offices acting under full instructions of Director.
- Use of IPO as a PCT authority will initially be open to applicants and residents of India who, however, will still have the option of choosing any other PCT authority and may be open to other States in due course as the Authority gains experience and capacity.

# EXAMINATION RESOURCES OF THE INDIAN PATENT OFFICE

## 1. INTRODUCTION

Search and Preliminary examination of PCT applications will be carried out by Examiners of the Indian patent offices on behalf of ISA and IPEA. Information contained in the present Annex concerning examiner resources will therefore generally refer to the examiner resources of the patent offices.

The Patent offices in India have for many years pursued a strategy of performing search and examination of a quality, which matches international standards. The Indian Patent Offices have a long-standing tradition of ensuring highly competent and motivated staff as well as the best possible search and examination tools, comprehensive search material and general quality assurance.

## 2. EXAMINER RESOURCES

Recently, the Indian Patent Office has recruited 400 more new examiners. These examiners are employed on a full-time basis and are predominantly occupied with search and examination. The examiners have a university degree in technology or natural science, law and in some cases further postgraduate degrees such, PhD or equivalent. The examining divisions of patent office comprise examiners in the fields of Electricity & Physics, Machinery, Biotechnology, and Organic Chemistry, Industrial Chemistry, and Construction and Foodstuff & Healthcare.



### 3. COMPETENCE OF EXAMINERS

The examiners are all experts in their own branch of technology and allocated to specific technical areas. A large number of the examiners also have many years of experience in the patent field. The density of examiner competencies within the various technical disciplines obviously reflects the structure of national industry. In general, patent offices have more than adequate coverage of all technical fields. All examiners have excellent knowledge of English language. In addition they are well versed in Hindi and other languages such as Tamil and Bengali.

### 4. PROCESSING OF PATENT APPLICATIONS AND OTHER WORK

The Patent Office receives about 25,000 first national filings per year. Close to thirty percent of the Indian applications, however, are filed in order to obtain a priority date and are not carried on to full examination.

The high number of first filings at the Patent Office despite the possibility of using the International Bureau (IB) route signifies a trust in the quality of services delivered by the IPO.

## 5. TRAINING AND JOB DESCRIPTION

The Examiners are given initial training of 3 months duration immediately after induction as Examiners. This is followed by on the job training for eight months under the supervision of a senior Examiner. Refresher training is given during the last one month of the first year. Training programs are conducted at the Rajiv Gandhi National Institute for Intellectual Property and Management located at Nagpur, India





- This training provides better understanding to the examiner on procedure and legal aspects of patent law. This training also enhances the capability of the examiner in performing novelty searches. The examiners are also subjected to specialised training provided by experts from European Patent Office and other offices in the specialised area such as biotechnology invention and computer related inventions. Examiners are also being sent for short term and long-term training under WIPO programmes and bilateral cooperation training programmes.
- Examiners are also nominated to participate in seminars and courses in their respective technological fields in order to maintain and update their competencies at a high level.

- The Controllers of Patents and Designs in the Patent Office work with the delegated power of the CGPDTM and discharge quasi-judicial functions.
- Judicial training programs for Controllers are conducted in collaboration with the National Law University, Delhi at regular intervals.
- The training was imparted by sitting and retired Judges of the District Courts and High Court of Delhi as well as by distinguished legal luminaries. The training program included, among other facets of law, the aspects of natural justice, administrative law, constitutional law and interpretation of statutes.

# **3. MANAGEMENT OF ADMINISTRATIVE WORKLOAD**

- The international applications received by the ISA/IPEA are processed and all reports are generated fully electronically through specialized software developed by the office.
- At IPO there are many examiners in different technological areas who are simultaneously carrying out both the national and international search and examination.

# Indian Patent Office

## ISA

(International Search Authority)

Username

Password

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Browser tabs: Inbox (9,538) - rameshm... x Delta Search x @gov.in x International Search Auth... x International Search Auth... x

Address bar: 10.199.2.49/ISA/Default.aspx

Search bar: ISA/IN/2015/000300 or PCT/IN2015/000300

Welcome: WELCOME RVANAPARTHI

INTELLECTUAL PROPERTY INDIA  
**Indian Patent Office**  
International Search Authority

Navigation: Examination Report Profile

Home

**Full Report on Allotted**

**Do things right the first time itself ..**

- > Checklist for 210 (Last Updated : 01 Oct 2015)
- > Checklist for 237 (Last Updated : 14 Oct 2015)
- > Figure to accompany abstract (12 Oct 2015)

Taskbar (top): Windows, Internet Explorer, File Explorer, Mail, Chrome, Firefox, Safari

System tray (top): ENG 10:41 AM INTL 4/15/2016

Taskbar (bottom): Windows, Internet Explorer, File Explorer, Mail, Chrome, Firefox, Safari

System tray (bottom): ENG 10:37 AM INTL 4/15/2016

**Application List for Examination**

low. Please generate Forms 210/203, 237 and 220 for the applications within the yellow light.

Application Number	Filing Date	Alloted Date	Title of Invention	Time Limit	
<a href="#">ISA/IN/2016/000094</a>	16-02-2016	26-02-2016	PROCESS FOR COMPLETE CONVERSION OF MULTIPLE INDUSTRIAL WASTES TO SUSTAINABLE ALTERNATIVES AND USABLE PRODUCTS	31 Days Left	<a href="#">Process</a>
<a href="#">ISA/IN/2016/000108</a>	17-02-2016	18-03-2016	A NOVEL PROCESS FOR THE SYNTHESIS OF BORON ENRICHED MAGNETIC NANOPARTICLES	32 Days Left	<a href="#">Process</a>
<a href="#">ISA/IN/2016/000152</a>	07-03-2016	28-03-2016	COMPOSITION AND METHOD FOR DISPERSING SCALES AND SOLID DEPOSITS	216 Days Left	<a href="#">Process</a>
<a href="#">ISA/IN/2016/000163</a>	09-03-2016	28-03-2016	IMPROVED METHOD FOR THE SYNTHESIS OF FERRIC ORGANIC COMPOUNDS	55 Days Left	<a href="#">Process</a>
<a href="#">ISA/IN/2016/000200</a>	04-04-2016	13-04-2016	A SULPHUR CONTAINING ADDITIVE FOR MAKING BITUMEN PAVING MIXTURES	80 Days Left	<a href="#">Process</a>

## Note: Number of pending cases in IPEA : 1

**Examination Sheet**

Examination Criteria for ISA/IN/2016/000094 (Time Limit , IPC )		Process
<p>Draft ISA 210   Draft ISA 220   Draft ISA 224   Draft ISA 237</p>		
<input checked="" type="checkbox"/>	<input type="checkbox"/> Failure of Description/Claims/Drawings to comply with prescribed requirements for meaningful search.	
<input checked="" type="checkbox"/>	<input type="checkbox"/> Subject matter not searchable.	
<input checked="" type="checkbox"/>	<input type="checkbox"/> Sequence Listing required.	
<input checked="" type="checkbox"/>	<input type="checkbox"/> Invitation Relating to Free Text	
<input checked="" type="checkbox"/>	<input type="checkbox"/> Earlier search document required.	
<input checked="" type="checkbox"/>	<input type="checkbox"/> Lack of Unity of Invention.	
<input checked="" type="checkbox"/>	<input type="checkbox"/> Obvious Mistakes.	
<input checked="" type="checkbox"/>	<input type="checkbox"/> Expression not to be used in IA.	

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- The ISR of examiners are scrutinised by supervisory controller. Subsequent to the formulation of the international search report, the examiner sent the report to the PCT unit in COG. The PCT unit would then dispatch the ISR and ISO to applicants and WIPO.

# Indian Patent Office

## IPEA

(International Preliminary Examination Authority)

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Password

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Search



WELCOME RVANAPARTHI



Examination ▶ Profile ▶

Home : Examination : Examination

✘ Documents not dispatched timely for more details use Undispatched Documents List

Application for Technical Examination

Application Number	Date of Filing	Alloted Date	Days Left	
 IPEA/IN/2015/000015	06-08-2015	03-09-2015	5	Submit

Show All   Paginate   Undispatch Document

## Note: Number of pending cases in ISA : 5

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10.199.2.57/patentnew/



# Office of the Controller General of Patents Design and Trade Marks

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Version 1.5

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Password :

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# 4. QUALITY ASSURANCE

As per the work flow decided for ISA/IPEA, the ISR/WO/IPER or the declaration that no ISR will be established is supervised for correctness and quality by a Supervisory Controller and again by the Group Leader before issue by Examiner, in respect of all PCT international applications.

Since September 2015, there has been a change in the quality assurance process in ISA/IPEA. The reports prepared by the Examiner are checked for correctness and quality by a supervisory Controller in each of the four Technical Examination Groups. The Examiners generate the reports after approval by the Supervisory Controller of the Group. A central Quality Cell has been constituted in September 2015 to conduct post generation quality checks on all the reports before issuing them to the applicants and the IB. In case of non-conforming products, the Quality Cell intimates the Examiner and Controller and the remedial actions are taken before issuing the reports. The Quality Cell also has the responsibility to sensitize the Examiners for corrective/preventive steps. The records relating to non-conforming products, corrective and preventive actions are maintained for future reference.



Quality Teams composed of Examiners are constituted for each of the Examination Groups at all locations of IPO. There are 4 Examination Groups namely, Chemical, Bio-technology, Mechanical and Electrical Groups at each of the locations. Thus there are QT-C, QT-B, QT-M and QT-E at IPOs at Delhi, Chennai, Mumbai and Kolkata.

These Quality Teams randomly select patent applications at the beginning of a month which are examined by the Examiners of the Group and conduct search and examination independently for quality audit. The feedback is given to the Examiner who examined the case.

# 5. COMMUNICATION

**Dr. K. S. Kardam,**

Senior Joint Controller of Patents & Designs.

**PATENT OFFICE DELHI and  
International Searching Authority and International  
Preliminary Examining Authority, (ISA/IPEA)**

Boudhik Sampada Bhawan, Plot No. 32, Sector 14, Dwarka,  
New Delhi-110075. Phone: 011-28034304-05-4317 Fax:011-  
8034315 [hodelhi.ipo@nic.in](mailto:hodelhi.ipo@nic.in)

A separate Public Facilitation Centre for ISA/IPEA operations is functioning in IPO for assisting the stakeholders. The stakeholders can lodge complaints/grievances to the officer in charge of the Public Facilitation Centre of ISA/IPEA.

# Communications with users:

The office have effective communication mechanism with its users. The officials authorized to make such communication made their telephone nos. and E-mail IDs available on the official web site of the office for convenience of the users.

There could be planned regular meetings with the user groups for better understanding of their satisfaction level and feed back for further improvement of the system.

The QMS team shall formulate the periodicity of such meetings which could be held on monthly frequency initially and after attaining better satisfaction level may be held on quarterly basis.

## **6. DOCUMENTATION**

All details regarding search and examination processes carried out on each application as well as data allowing individual work to be tracked and traced are stored automatically as per the electronic processing software for ISA/IPEA operations.



## Report List

[Export to Excel](#)

Sr No.	Examiner ID	Alloted	Done	Pending
1	aawankhede	15	13	2
2	anayak	3	0	3
3	anjali	14	14	0
4	areddi	39	35	4
5	arun	17	16	1
6	arupp	24	22	2
7	ashfaqueah	22	18	4
8	ashokpitta	13	13	0
9	asmeena	8	7	0
10	avinashp	9	7	2
11	avkamble	14	14	0
12	bhatnagarsd	3	3	0
13	chandesvar	18	12	6
14	ddandotiya	16	14	2
15	debasish	55	49	6
16	esrihari	11	8	3
17	gnagendra	23	20	3
18	harish	14	14	0
19	hitendra	18	15	3
20	janardana	26	23	3
21	jitender	12	7	5
22	kumariragini	35	32	3
23	kumarr	2	2	0
24	kumarraju	30	28	2
25	lipikapatnaik	14	14	0
26	lokesh	9	7	2
27	matiquillah	31	28	3
28	maya	17	13	4
29	meenakshi	8	7	1
30	monikaseth	4	4	0
31	mukesh	10	8	2
32	mvnama	7	4	3
33	neema	18	14	4
34	pankajp	1	0	0
35	parvathy	5	5	0
36	pcharad	30	21	9
37	pctungala	12	11	1
38	ptyush	17	17	0
39	pkrudani	36	28	8
40	pranavkumar	18	16	2
41	prashantkutare	21	21	0
42	rajvsingh	6	5	1
43	rakeshkk	16	15	1
44	rakeshsingh	45	39	6
45	raman	13	6	7
46	ranjeetkr	3	3	0
47	rbommineni	40	35	5
48	rishu	11	11	0
49	ribattini	22	19	3
50	rknishra	13	9	4
51	rohia	7	7	0
52	rohitrathore	25	25	0

12/04/2016

International Search Authority- Indian Patent Office

53	rpandey	22	17	5
54	rvanaparthi	28	23	5
55	sagarbp	7	6	1
56	sandeep	33	28	5
57	sandhyak	5	3	2
58	santoshkgupta	23	21	2
59	satishkumar	22	16	6
60	seema	22	22	0
61	singhap	24	23	0
62	smukherjee	1	1	0
63	smutthi	16	14	2
64	snarvariya	14	14	0
65	sreekanthks	11	11	0
66	sreesu	7	4	3
67	ssbagde	15	11	4
68	sturkar	21	21	0
69	subhashkumar	44	41	3
70	sudhajaveria	12	11	1
71	sudipta	30	28	2
72	sunilg	5	5	0
73	sunita	32	32	0
74	swatipandey	33	29	4

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# 7. SEARCH PROCESS DOCUMENTATION

- The details like databases consulted and search strategy are to be provided for each application by the Examiner as per the workflow of the electronic processing software.
- Limitation of search and its justification; lack of clarity of the claims; and lack of unity are stored in the in-house electronic processing software for ISA/IPEA operations.

# 7.1 SEARCH DOCUMENTATION USED BY IPO

## 1. PCT MINIMUM DOCUMENTATION

PCT authorities must have access to the minimum documentation which comprises patent publications since 1920 on paper, microfilm, electronic carriers or databases as well as certain non-patent literature. Indian Patent Office (IPO) has documents from the year 1912 onwards till date, in paper and electronic form.



# 7.2 SEARCH FILES USED BY IPO

- *Periodicals*

- — Chemical Abstracts – 1952 –1991 (Bound Vols.): 2000 (approx)
- — Scientific & Technical Journals (Bound Vols): 18000 (approx)

- *Patent Specification & Abstracts (Paper)*

- — Indian Patent Specifications – 1-175399
- — Patent Documents (Indian & Foreign), 9500000 (approx)  
classified Search Files & Serial Vols.

- *Patent Specifications & Abstracts (CD-Roms)*

- — Patent Documents (Indian & Foreign) 15000 (approx)

- *Foreign Patent Abstracts Published by Derwent Publications Ltd., London.*

- — British Patent Abstracts weekly – 1962 – 1985
- — Central patents Index Sec. “A” Plasdoc – ER Weekly 1970 – 89
- — –do- “B” Formdoc “ – 1970 -1 989
- — German patent Abstracts Weekly 1961 – 1992 + 1995
- — –Do\_ Sec-PQ & BL Weekly 1985 – 1992 + 1995
- — Japanese Patent Abstracts Weekly 1985 – 1992
- — PCT Patent Abstracts Bi-Weekly 1985 - 1992 +1995
- — Soviet Invention Illustrated Weekly 1967 – 1991
- — – do – PQ – General/Mechanical Weekly 1967 - 1991 +
- — –do – EL – Electrical Weekly 1967 – 1991 +

- *Periodicals*
- 
- — Chemical Abstracts – 1952 –1991 (Bound Vols.): 2000 (approx)
- — Scientific & Technical Journals (Bound Vols): 18000 (approx)
- 
- *Patent Specification & Abstracts (Paper)*
- 
- — Indian Patent Specifications – 1-175399
- — Patent Documents (Indian & Foreign), 9500000 (approx)  
classified Search Files & Serial Vols.
- 
- *Patent Specifications & Abstracts (CD-Roms)*
- 
- — Patent Documents (Indian & Foreign) 15000 (approx)
- 
- *Foreign Patent Abstracts Published by Derwent Publications Ltd., London.*
- 
- — British Patent Abstracts weekly – 1962 – 1985
- — Central patents Index Sec. “A” Plasdoc – ER Weekly 1970 – 89
- — –do- “B” Formdoc “ – 1970 -1 989
- — German patent Abstracts Weekly 1961 – 1992 + 1995
- — –Do\_ Sec-PQ & BL Weekly 1985 – 1992 + 1995
- — Japanese Patent Abstracts Weekly 1985 – 1992
- — PCT Patent Abstracts Bi-Weekly 1985 - 1992 +1995
- — Soviet Invention Illustrated Weekly 1967 – 1991
- — – do – PQ – General/Mechanical Weekly 1967 - 1991 +
- — –do – EL – Electrical Weekly 1967 – 1991 +

- *Chemical Abstract Issues with Indexes 1952 – 1991*
- *Collection of Industrial Reports*
- 
- — BIOS (British Intelligence Objectives Subcommittee final Reports No. 1 - 1742 = 1742
- — – do – Evaluation Reports No. ER/1 – ER/576 = 576
- — –do- Japanese Reports (U.K.) No. JAP/PR/8 – 1666 = 1659
- — –do- Miscellaneous Reports (U.K.) No. Misc/1 – 67 = 67
- — CIOS – (Combined Intelligence objectives sub-committee) Reports (UK) No. I/1 – XXXIII – 72 = 612
- — FIAT (Field Information Agency Technical) Reports (UK) No. 1 – 1208 = 1208
- — JIOA (Joint Intelligence Objective Agency) Reports (Washington) No. 1 – 80 = 80

- For searching of patent applications, IPO uses PATSEER together with certain full text databases. Additionally, CHEMICAL ABSTRACT and BIOSIS, accessed via STN, are used for searches in chemistry, pharmaceuticals and other special technologies. STN is also used for accessing other databases as appropriate. Various useful Internet sites, for instance, ESPACE, USPTO, SURFIP, PATENTSCOPE are used for conducting additional searches.
- IPO made an arrangement to get to subscribe the non-patent literature required under PCT minimum documentation, which are not accessible through PATSEER .

# Feed back systems:

- An ISA is supposed to have an efficient feedback system. IPO provides option to the users to provide suggestions, complaints and compliments through a web page. A suitable back end system is developed to store and route this for appropriate action.
- In order to effectively achieve the adherence of the prescribed timelines for different activities involved in patent granting procedure and in particular the issuance of the search and examination reports, the office shall have an effective Quality Assurance System for self assessment involving verification, validation and monitoring of its products such as search reports, examination reports and granted patents for their compliance with the QMS requirements and for facilitating feed back to the officials for further improvement.
- The QMS team shall undertake such assessment and also verify the effectiveness of action taken to redress the deficiency and to prevent recurrence of such issues again.
- The QMS shall also ensure the continuous improvement of the established processes. The team shall formulate check list of all the processes in its Manual.

# Feedback Arrangements through QMS:

In order to improve the performance and insure continuous improvement, the QMS shall

Communicate the results of internal quality assurance to the officials

- to effect corrective measure, if any,
- for dissemination and adoption of best practices in the office.

Provide for effective communication with WIPO, designated and elected offices

for prompt feedback from these offices to evaluate and address the potential systemic issues.

# Internal Review:

The Patent Office have an internal review arrangement for determining the effectiveness of the QMS system. The review should be done annually in an objective and transparent manner. The internal review shall have the following components:

- Conformity with the QMS requirements. Conformity with the patent laws
- Conformity with the relevant decisions of the Courts, tribunals and the Controllers Any corrective or preventive action taken to eliminate the cause of non-compliance Conformity with the PCT
- Effectiveness of the QMS itself
- Follow up action arising out of previous review, if any. Feedback from the users
- Feedback from other Offices
- Recommendation for improvement

In addition to internal review, the Patent Office may have an external review mechanism by some other outside agency such as other Patent Offices. To start with the Peer- to- Peer review, the four offices can initiate such quality reviews as pilot project amongst themselves.

# Analysis of the results and Improvements:

- The information collected on the parameters shall be analysed to ascertain as to what extent the QMS requirements have been followed. The result of the internal review shall guide the future course of action for further improvement of the office.
- The result of the internal review shall be presented to the senior management for suggesting changes in order to introduce improvements.
- The QMS shall identify and promptly take the corrective measures to eliminate the cause of non-compliance of QMS requirements.



# Reporting Arrangements

The reporting has to be done in two stages:

- Stage 1: The Patent Office should be required to submit an initial report to the meeting of International Authorities under the PCT (MIA) regarding establishment of the QMS based on the broad requirements under PCT/GL/ISPE/1.
- Stage 2: After submission of the initial report on the establishment of QMS, Annual report should be prepared identifying the experiences during implementation of QMS requirements, actions taken as corrective measures and should include recommendations for further improvements.

# CONCLUSION

WILL QMS TO BE A ROADMAP TO BECOME ISA?



YES



HOW



Ans: Maintaining the Quality Policy and Quality Standards through QMS is a road map to become ISA

THANK YOU