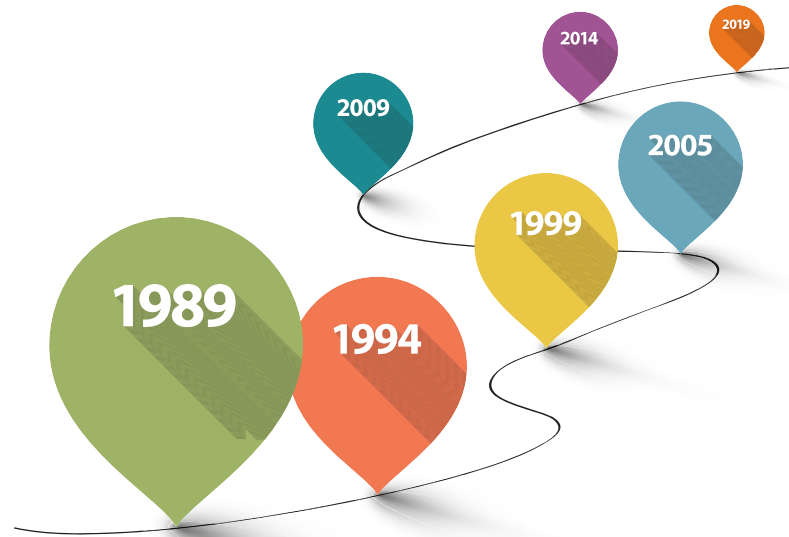# The Road to Become an ISA through the QMS

Rongguo Xie
Patent Examiner
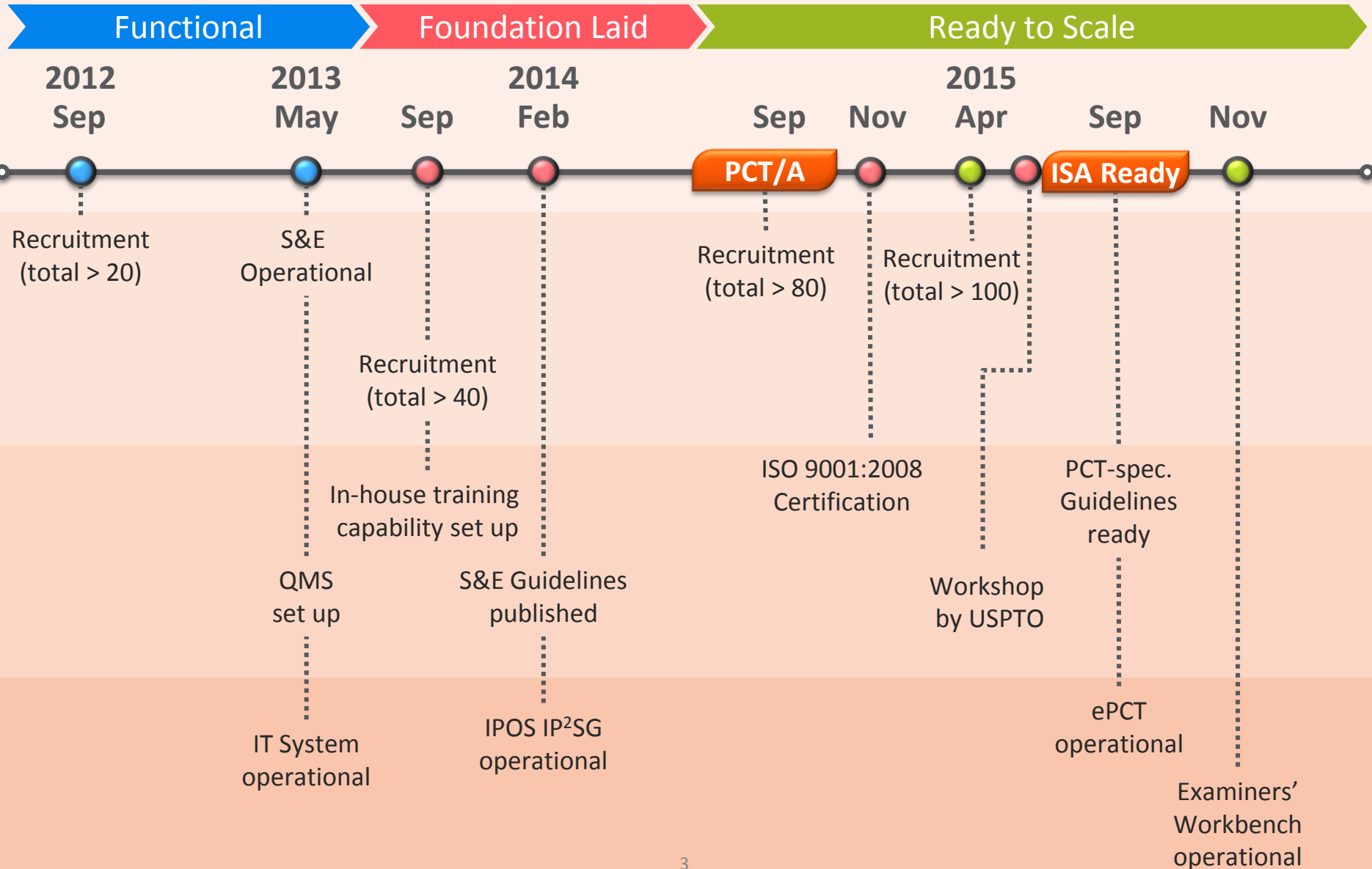
Patent Search & Examination Unit
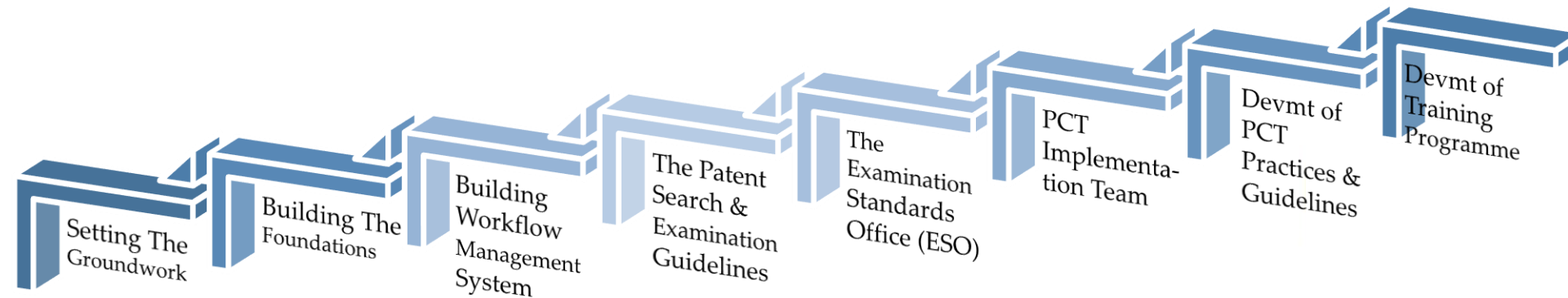**IPOS-International, IPOS**

Patent Search &
Examination Unit

Our Journey So Far...

Roadmap to ISA/IPEA

Functional	Foundation Laid	Ready to Scale

2012 Sep — Recruitment (total > 20)

2013 May — S&E Operational / QMS set up / IT System operational

2013 Sep — Recruitment (total > 40) / In-house training capability set up

2014 Feb — S&E Guidelines published / IPOS IP²SG operational

2014 Sep — PCT/A — Recruitment (total > 80)

2014 Nov — ISO 9001:2008 Certification

2015 Apr — Recruitment (total > 100) / Workshop by USPTO / ePCT operational

2015 Sep — ISA Ready — PCT-spec. Guidelines ready

2015 Nov — Examiners' Workbench operational

Preparation Process

Setting The Groundwork

Building The Foundations

Building Workflow Management System

The Patent Search & Examination Guidelines

The Examination Standards Office (ESO)

PCT Implementation Team

Devmt of PCT Practices & Guidelines

Devmt of Training Programme

PCT Implementation Team

- Formed in 2014 Oct

  o Responsible for managing the development of systems, practices and training programs aimed at achieving ISA and IPEA capability

- Consists of 10 members

  o 4 staff from Registry

    • SOPs for dealing with Request, Demand and payment

  o 6 Examiners from Patent S&E Unit

    • Procedural guidelines

    • Search and examination guidelines

    • Templates of PCT forms

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Building The Processes

- With reference to

    o PCT & Regulations under the PCT

    o PCT Administrative Instructions

    o PCT RO Guidelines

    o PCT ISPE Guidelines

    o PCT-specific guidelines from other patent offices

- Zoom into various phases in the International Phase

    o Chapter I

    o Chapter II

    o Supplementary International Search

Detailed Guidelines & Flowcharts

- Guidelines supplemented with flowcharts

  - Flowcharts (~40)

    - Quick glance on various processes

    - Help the Officer/Examiner to <u>make decision</u> under different scenarios

  - Guidelines (Administrative, S&E and forms)

    - Include more detailed <u>explanation</u>

    - Provide specific <u>instructions</u>

    - Highlight the <u>differences</u> between PCT practice and SG practice
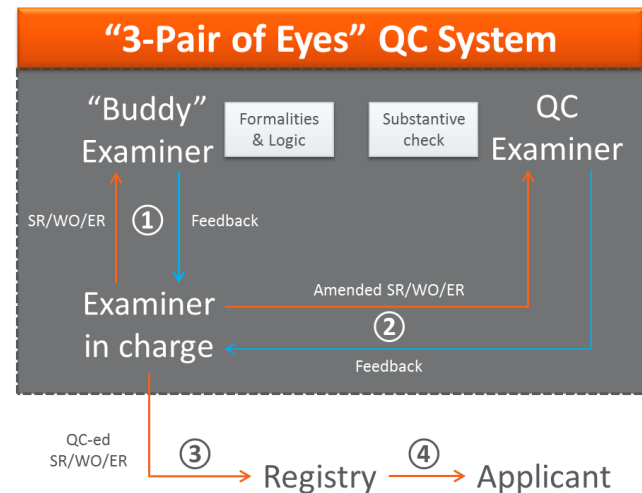
Training Programme for Examiner

- 5-day programme

  o Conducted in small group (~15 Examiners per batch)

  o 3 days on the processes for handling international application

  o 1 day on the search and examination

  o 1 day on case study

    • Pre-filled forms

    • Search exercise

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Quality Control of Our Reports

- A unique "3-Pair of Eyes" system

  o Ensure high quality

  o 100% QC for all PCT cases

    - Including final formalities check

- Use of doc-gen software

  o Clear and direct questions to guide the Examiner to fill in the forms

  o Logical expressions as safety net

  o Automated layout and formatting with reusable info

"3-Pair of Eyes" QC System

| "Buddy" Examiner | Formalities & Logic | Substantive check | QC Examiner |

SR/WO/ER ① Feedback

Examiner in charge — Amended SR/WO/ER ②

Feedback

QC-ed SR/WO/ER ③ → Registry ④ → Applicant

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Thank You!

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