

PATENT COOPERATION TREATY

Common Quality Framework for
International Search and Preliminary Examination

Report Under Paragraph 21.17 of the PCT International Search and Preliminary Examination Guidelines

by: *Australian Patent Office within IP Australia*

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Documents referred to in this report: None

INTRODUCTION (PARAGRAPHS 21.01–21.02)

In accordance with the Circular C. PCT 1126, dated 14 December 2007 and the reporting guidelines specified in Chapter 21 of the PCT International Search and Preliminary Examination Guidelines, the following report details our Authorities current Quality Management System.

QUALITY MANAGEMENT SYSTEM (PARAGRAPHS 21.03–21.09)

Establishment and maintenance of QMS (Paragraph 21.03)

The Australian Patent Office (APO) at IP Australia has an established and maintained quality management system, the scope of which includes international search and examination.

Our framework is based on the business principles contained in the ISO 9001:2000 standard. This includes resourcing, procedures, feedback and communication which are all specified in chapter 21 of the PCT International Search and Preliminary Examination Guidelines (the guidelines).

It should be noted that the quality management system applies to all facets of the Office for example the quality standards relate to all types of search and examination. The QMS also specifically addresses our role as an international searching and preliminary examining authority.

We are committed to improving the quality management system and we have received certification under ISO 9001:2000 for search and examination of national innovation and standard patent applications and international patent applications under the Patent Cooperation Treaty. We have also received ISO 9001:2000 certification for our supporting administrative processes: pre and post examination services; international services; receipt of correspondence; provision of information including call centre functions.

As part of our continuing alignment of business processes with ISO 9001:2000, we are looking towards the certification of our Opposition Hearings and Legislation processes this year.

We have been recognised by a number of national organisations for our excellent achievements in relation to quality. These include both gold and silver awards by the Australian Organisation for Quality (AOQ).

Resources - infrastructure (Paragraph 21.05)

A defined framework has been established for the APO to assure that the appropriate resources are allocated for administration and international search and examination.

The framework includes the following elements:

- A cyclic recruitment process that is based on work flow requirements across the technology areas. APO has targeted recruitment campaigns that provide the resources in the technologies where they are required. The cycle is currently based on at least two campaigns per year. Currently we have in excess of 250 patent examiners.
- APO has aligned the practice and procedure under national law with that of PCT where possible and Examiners are familiar with the different requirements between PCT and national law and are expected to do search and examination under both.
- The APO has introduced a competency based system to develop the skills of patent examiners. The introductory training program called the Patent Examiner Competency Program (PEQC) combines both formal and on the job training components with units of competency developed for all key patent product lines. Once examiners have completed the PEQC program they are enrolled in the Patent Examiner Proficiency Advancement (PEPA) competency based program. This program leads to examiners becoming competent in exercising the search and examination responsibilities with minimal supervision. The PEQC units integrate with the PEPA Program and the normal expectation is that new patent examiners will have attained the competencies within 2 years and depending on the individuals skills, knowledge and application they are more likely to have achieved them in a shorter period of time.
- A competency based program has recently been introduced for experienced examiners to undertake structured development to become hearing officers.
- There is a continuous development program called the Technical Examiner Learning Program (TELP) which has been developed to maintain currency in technological developments for all examination staff. The TELP operates across all technology areas and includes in-house technical trainings sessions by experts in the field, attendance at conferences or visits to various companies in the relevant industries. The examiners needs are constantly monitored and strategies to address the needs are formulated through this program.
- Apart from English, APO has a policy of maintaining competencies in other languages. This currently includes translators in French, German, Japanese, Chinese, Russian and Spanish.
- A comprehensive Manual of Practice and Procedure has been in place for many years and is published as an on-line resource. The Manual comprises 6 volumes which provides comprehensive guidance to examiners.
- Additional support tools for examiners include ready access to internal and external databases, technical books, journals and legal resources. Our Business Manual provides access to key documentation relating to our QMS.

- Formalized workflows to ensure the distribution of work is managed in each of the 12 examination sections.

Administration - procedures (Paragraphs 21.06(a) and (b))

The APO has identified and documented practices and associated control mechanisms that ensure the ongoing efficient and effective handling of international search and examination related activities. These include:

- Product Quality Standards that specify both qualitative and quantitative parameters to be adhered to. The application of the quality standards is managed at the section level. We have a separate Product Quality Review Group which monitors compliance with quality standards across all examination sections with random sampling of work, giving feedback to the examination sections and to management on a quarterly basis, with quality performance being linked to performance appraisal.
- Searching and examination functions under the PCT have set targets for completing each of an ISR/ISO, an IPEO, and an IPER II. Compliance with these targets is managed by each examination section. Management reporting of compliance with these targets across all examination sections occurs on a regular basis.
- APO has had a Customer Service Charter in place for a number of years. This Charter sets out what customers can expect from APO in relation to quality and timeliness of its services including its international services. The Charter identifies the specific timeframes within which APO will produce International Search and Preliminary Examination Reports. APO's performance against these timeframes is measured monthly and APO's performance against its Customer Service Charter is reported to the Australian Government annually.

Quality Assurance Procedures (Paragraph 21.07)

The APO has in place a Quality Policy to state our commitment to deliver quality products and services that are valued by our customers and to establish our quality objectives.

The APO has in place Product Quality Standards which incorporate the requirements of the PCT Search and Examination Guidelines. All our search and examination work is undertaken in relation to these Quality Standards.

In recognition of the inherent difficulties of conducting cost-effective quality audit of searches, the APO employs a strategy which seeks to assure quality at the front end of the search process. To this end a 3-person team is used to develop the search strategy. The team comprises the primary examiner, an online search expert, and a third person. The third person may augment the technical expertise of the team, provide an alternative perspective or expand their own search skills through participation on the team. The team reviews the patent application and in consultation formulates the search strategy. The primary examiner conducts the search. The results are reviewed by the team and if necessary the search strategy and search may be further refined before being deemed completed.

The quality of searching is also supported by a team called the 'Search Technical Team'. The Team manages the ongoing excellence of searching tools and techniques available to examiners, and examiners knowledge of those tools. This includes investigating new sources,

updating software, eliminating obsolete sources etc. The team is made up of about 12 examiners selected across the technologies, and is led by a head of an examining section.

In addition to the specific approach used for original searches, the APO employs a three tiered approach to quality assurance of all examination work. The first tier deals with close supervision of less experienced examiners who are not yet competent to exercise the acceptance delegation. The second tier is comprised of in-section quality checks by senior and supervising examiners of high-risk cases such as those with more than two office actions. The third tier is an independent periodic audit of a random sample of cases across all technology sections by the Product Quality Review Group.

The Product Quality Review Group audits the work across all the examination sections on a random sampling basis. The group is at any one time made up 12 senior examining staff. The members of the group are selected from each of the examination sections and membership is rotated so that all senior examination staff are involved in the group over a given period of time. The Group refers any non-compliance to a supervising examiner who provides guidance and assists in determining whether a particular issue identified during the audit is a non-compliance that needs to be referred immediately to the relevant section and examiner. The results of the audits are reported to management, the examination sections and through the relevant supervisor to the examiner.

The APO has a feedback loop whereby PCT searches undertaken by APO are compared after national phase entry in Australia with search reports issued by other offices. This process is used to identify instances where more relevant documents were found by the other office. When such an instance occurs, the application is reviewed to identify the reason and appraise whether improvements can/should be made to existing processes, practice or enhance training of staff.

Internal quality audits are conducted within the APO. Audits are based upon the results of a risk analysis undertaken in accordance with the Australian risk management standard. The risk analysis is periodically reviewed for its relevance and accuracy.

The APO pre-grant opposition process also serves as a feedback process to quality management. Issues arising that identify potential areas for improvement are reviewed and used to adjust processes, reaffirm existing practices or identify further training needs. Similarly, issues identified from any court proceedings involving office decisions are reviewed and used to identify appropriate process, practice or training changes.

Biannual external surveillance audits are conducted by independent assessors to ensure continuing compliance with ISO 9001:2000.

Feedback arrangements (Paragraph 21.08)

The APO employs a number of feedback avenues to continuous improvement of quality and better customer alignment of products/services. These include:

- Periodic customer surveys. IP Australia conducts a longitudinal survey of customers which is intended to be deployed on a biennial basis. The survey addresses quality and other customer satisfaction parameters for all the IP rights administered by IP Australia (i.e. patents, designs and trademarks).

- The APO has had a corporate customer feedback database that records complaints, compliments and suggestions.. The system has processes to refer specific complaints to relevant areas for appropriate action – both on the individual case, and from a systems perspective such that recurrences of the situation are avoided. We promptly and fully respond to all of our customers' complaints and suggestions.
- The Improvement Log is a specific database that draws on issues raised through the corporate customer feedback database, corporate performance audits, internal quality audits, feedback from the Product Quality Review Group audits, issues identified from pre-grant opposition hearings and court proceedings and staff suggestions for improvement. The issues are recorded, monitored and reported in the log for corrective and preventative action. Feedback is provided to persons that report the issues.
- IP Australia also has a structured customer relationship management strategy which is deployed through periodic visits and meetings with individual customers and their representative associations.
- Communication of quality issues is provided to staff by varied means, for example, intranet quality page, staff newsletters and emails, Quality Committee meetings, section, team and management meetings and individual performance agreements.

Communication, Guidance and Responses to Users (Paragraphs 21.06(c), 21.09)

APO has a number of mechanisms for providing feedback to applicants on how to improve the quality of PCT applications being filed:

- APO has a PCT Receiving Office which is highly regarded both nationally and internationally. It is very supportive of applicants including unrepresented applicants who need to deal with the complexities of filing their PCT applications. Ensuring that the PCT application is in a fit state at filing improves the subsequent quality of the searching and examination processes.
- APO has also established communication processes that allow for enquiries to be dealt with efficiently and effectively with examiners. Examiner details are provided on all correspondence to allow for direct communication with applicants/attorneys.
- The APO provides guidance to applicants through a number of various sources including the IP Australia website. Specifically a detailed description of the international patent application process is provided, along with the International Patent Application Kit - these are both also available in paper copy. There is also a forum for IP Professionals to lodge questions with the organization. IP Australia also runs a number of customer education and awareness programs each year.
- APO has structured customer relationship management strategies and 'account management' roles. Periodically feedback is provided by APO to these representatives on how the quality of the PCT applications can be improved thus improving the quality of the search and examination processes later in the process.

INTERNAL REVIEW (PARAGRAPHS 21.10–21.15)

Required Arrangements for Internal Review (Paragraph 21.10)

In September 2005 IP Australia established a section within the organisation to assist all areas with the QMS. The Corporate Quality Office (CQO) is responsible for:

- developing, implementing and managing of the corporate Quality Management System including key quality management infrastructure such as an IP Australia Quality Policy, Quality Objectives and relevant quality guidance, procedures and protocols
- developing and managing IP Australia's agenda for implementation of ISO 9001:2000 certification of core processes in collaboration with relevant Groups within IP Australia
- promoting quality management and understanding of ISO 9001:2000 requirements internally through staff training and awareness and integration of quality management principles into IP Australia's people management framework and cultural behaviour
- promoting quality management externally through communication and marketing of the IP Australia quality agenda with customers, foreign IP Offices and the general public
- assisting with the establishment of internationally agreed quality standards
- providing high level advice to the Director General and senior management on quality management and ISO 9001:2000 issues within IP Australia.

The CQO is accountable, and reports directly, to the Director General of IP Australia. Consultation and progress of the corporate Quality Management System is accomplished through the IP Australia Corporate Quality Committee (IPACQC) that consists of key staff from all areas of the organisation.

A formal management review is undertaken every twelve months by the IPACQC. The review assesses how well the system is performing, what can be improved and whether it is meeting the policy and objectives set for it. Results of the review are provided to the Director General and IP Australia's Executive members.

The QMS is continuously monitored corporately by the IPACQC and through the operational quality units within each core business groups including Patents and Trade Marks.

[End of report]