

Integrated Management System Manual:

ISO 9001 – Quality
ISO 27001 – Information Security
EMAS – Environment
ISO 45001 – Health & Safety
UNE 170001 – Universal Accessibility
ISO 10002- Complaints

Version 5.0 – 01/03/2021

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1. Introduction

The EUIPO Integrated Management System (IMS) Manual allows having a complete overview of the certified management systems at the Office:

- ISO 9001 – Quality
- ISO 27001 – Information Security
- EMAS – Environmental management
- ISO 45001 – Occupational Health & Safety
- UNE 170001 – Universal Accessibility
- ISO 10002 – Complaints Handling

These management systems support the Office to achieve the concrete goals outlined in its [strategy](#), building upon the principles of modern and transparent management, compliance and accountability, customer satisfaction, knowledge sharing, accessibility of information and sustainability of operations. The IMS serves as a catalyser of the change towards a user-driven, engaged and adaptable organisation.

2. Context of the Organisation

At the European Union Intellectual Property Office (EUIPO) we work with ideas, with reputations, with the shape of things to come. That is the essence of trade marks and designs: they come to life through the brands and products we love. The EUIPO was created as a decentralised agency of the European Union to offer IP rights protection to businesses and innovators across the EU and beyond. In addition, the responsibilities of the Office have grown since the original scope of the [European Union Trade Mark and Designs Network](#) was determined. While the Office's main focus remains on delivering high-quality products and services to trade mark and design users, it also includes activities such as cooperation projects, enforcement support activities and studies related to IP and IP infringement.

The EUIPO is a public establishment that enjoys legal, administrative and financial autonomy. The Office was created under European Union law and is a European Union body with its own legal personality. The General Court and the Court of Justice of the European Union are responsible for overseeing the legality of the Office's decisions.

In order to fulfil our role, EUIPO's efforts are focused through [Strategic Plans](#) span for five years which state the goals of the Office, set Strategic Drivers and identify Key Initiatives to be followed in order to achieve the strategic goals. The Office strives to meet the stakeholders' needs and expectations and to make effective and efficient use of resources.

In order to provide excellent services to our users, at the Office we need to combine operational efficiency with a modern and consistent staff policy, respecting diversity and equal opportunity, and continue to invest in technology, while also maintaining a high quality and sustainable physical environment. This is why we commit to recognise international management standards in Quality, Complaints, Environment, Energy, Occupational Health and Safety, Information Security as well as Universal Accessibility.

In order to meet our objectives, we want to be pro-active in the management of our activities, by assessing and responding to risks according to our [Enterprise Risk Management](#)

[Framework](#), and by pursuing opportunities that can create additional value for our stakeholders, all this while making sure our activities remain sustainable.

With the aim of ensuring the achievement of the objectives of its management systems as well as guaranteeing the fulfilment of the expectations of its internal and external interested parties, the Office has identified its main stakeholders based on the analysis of the context covering internal and external issues such as financial, legal, environmental, economic, technological or organizational aspects.

2.1 Scope of the Integrated Management System (IMS)

The EUIPO has implemented several management systems that have achieved the relevant certification for the fields:

- Quality Management System (QMS) - ISO 9001
- Information Security Management System - ISO 27001
- Environmental Management System - EMAS¹
- Occupational Health and Safety Management System - ISO 45001
- Universal Accessibility Management System - UNE 170001²
- Complaints Management System - ISO 10002

The scope of these certifications includes all the activities, infrastructures and staff of the Office's headquarters (located at Avenida de Europa, nº4 in Alicante), namely:

“The processing and management of the European Union (EU) Trade Mark and Registered Community Design registration systems, appeal procedures, European and international cooperation, knowledge sharing on enforcement of intellectual property rights, support and management activities.”

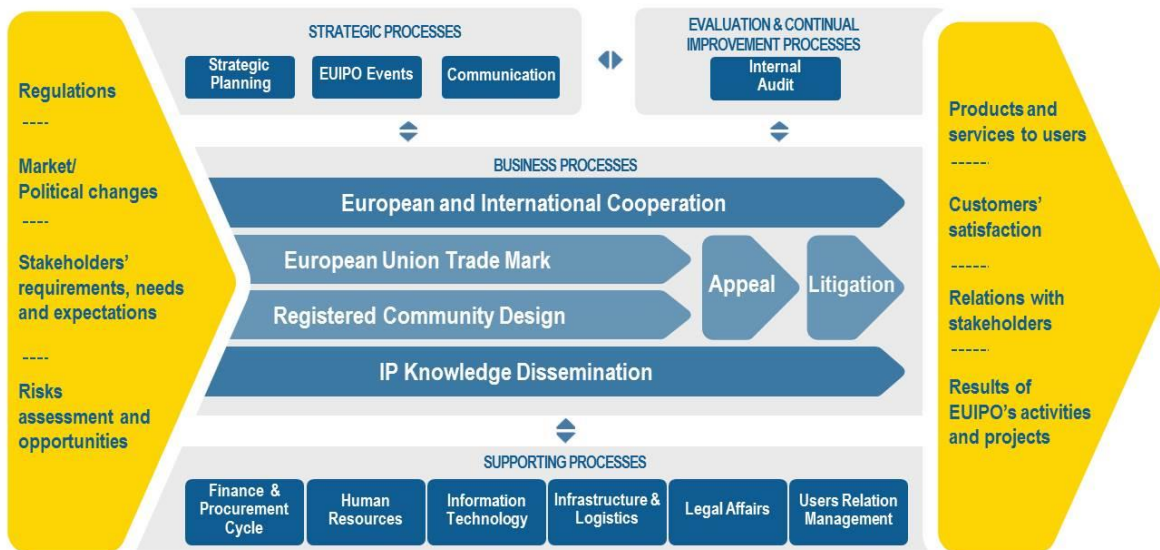
2.2 EUIPO process overview

The EUIPO's processes are organised into four main process areas:

- **Strategic Processes:** processes that define the Office strategy and governance, including key activities such as Institutional Relations and Communication.
- **Business Processes:** processes that constitute the core business of the Office and transform Customers' & Stakeholders' requirements into services.
- **Supporting Processes:** processes that support the whole Office.
- **Evaluation & Continual Improvement Processes:** horizontal processes that boost the improvement of services or processes.

¹ The Office is voluntarily following the guidelines set out in the ISO 50001 standard; however the energy management system implemented is not certified by any certification body in accordance with this standard.

² The scope and exclusions of the Universal Accessibility Management are included in the Annex I.



These processes are described in process cards which are used for defining and documenting activities. The operational activities are described in work instructions and other relevant supporting documentation.

3. Leadership and commitment

3.1 Integrated Management System Policy

The EUIPO's commitment to service excellence is communicated and shared with stakeholders in the [EUIPO Integrated Management System Policy](#) which brings together the drivers behind the implementation of recognised international management standards.

The IMS Policy aims to ensure the integration of the different management systems requirements into the whole organisation processes, and also it was the first step towards the integration of the EUIPO management systems, giving the framework on which each standard defines its specific objectives.

3.2 Organisational roles, responsibilities and authorities

The EUIPO IMS co-exist in a harmonised way contributing to the good performance of the Office.

The top management lies in the Executive Director and in the Deputy Executive Director who, together with the President of the Boards of Appeal, the Head of Cabinet, the Directors, the Heads of Services of Internal Audit, Communication, Corporate Governance, the Chief Economist, and the Data Protection Officer, compose the Management and Advisory Committee (MAC).

The Executive Director oversees all the certified management systems. The MAC members are responsible for the effectiveness of the processes implemented in their respective area.

The coordination of the Integrated Management System is led by the responsible areas

dealing with Quality, Occupational Health & Safety, Environment & Energy, Universal Accessibility, Information Security and Complaints. Specific cross-departmental forums oversee the activities related to different standards.

The Process Owners, the Internal Control Correspondents (ICCs), the Management Systems coordinators and other staff facilitate the management and coordination of the activities of all the certified management systems, to optimise and deliver the common requirements as well as to share valuable information to generate synergies between those.

At operational level, in each department and service, the Process Owners assist the Executive Director in defining the organisation's priorities for the achievement of the Office goals and supervise the functioning of the management systems to ensure that their performance is aligned with the Office's objectives. Each Process Owner may delegate process support responsibilities to others by appointing one Internal Control Correspondent (ICC) as well as process experts. ICCs work closely with process experts, who are individuals with expertise in relation to specific processes. In addition, ICCs provide their support on quality, performance and risk issues in their respective areas, liaising with the Corporate Governance Service (CGS).

ICCs and representatives of the CGS form the Internal Control Correspondents Network. The network meets regularly to review the plans, activities, communications and training products. It contributes to the development, implementation and maintenance of the management systems including the management of performance and risks. The network also participates in benchmarking initiatives with other European and international organisations.

The management systems roles are detailed in [Annex II IMS roles description](#).

3.3 Stakeholder management

Stakeholders drive EUIPO's success. Working closely with stakeholders has been central to the way in which the Office conducts its business and engagement has intensified considerably over the years.

Taking into account all the results achieved and the increasing number of interested parties, there is a need of facilitating cross-departmental and Office-wide sharing of information on requirements, needs and feedback.

The EUIPO will use its unique position in the IP community to sustain international cooperation by providing easy and inclusive access to all its services. As a consequence of an effective stakeholder engagement approach, the EUIPO will be perceived as a true partner among stakeholders that anticipates needs, advocates collaboration and implements initiatives with the right and comprehensive approach in the best interest of users in the global market.

Under the overview of the Executive Director, stakeholders are managed following a decentralised approach. Specific departments of the Office perform the role of Stakeholder Managers, and therefore are responsible for managing the assigned stakeholders and defining the operational procedure in alignment with both Office and stakeholders needs. The stakeholder managers also facilitate the interactions between a particular group of

stakeholders and other Office departments, which are not stakeholder managers. In addition, there are specific cases (e.g. administrative procedures regarding the Seat Agreement, relations with the public administration concerning facilities management, or contacts with the police, etc.) in which the concerned departments contact the National public authorities directly.

The Office has identified the following stakeholders groups, which are revised and updated according to the Office needs.

EXTERNAL STAKEHOLDER	LEADING DEPARTMENT
1. Institutional Stakeholders <i>(National and international IPOs, Users Associations, EU Institutions and bodies, International organisations)</i>	ICLAD
2. Users	CD
3. Enforcement authorities	OBSERVATORY
4. Academic Community	ACADEMY
5. Suppliers and service providers	FINANCE
6. National public authorities not included in point 1	COMMUNICATION SERVICE
7. Local community	COMMUNICATION SERVICE
8. Media	COMMUNICATION SERVICE
9. General public	COMMUNICATION SERVICE
INTERNAL STAKEHOLDER	LEADING DEPARTMENT
10. Staff and staff committee	HRD

4. Planning and Objectives

4.1 Strategic planning

The [EUIPO strategic plan](#) sets the long-term planning for the Office. The vision of the Office is the “IP value for business and citizens in Europe”.

As an IP hub of excellence, the EUIPO provides customer-centric services and contributes to a stronger IP system, efficient enforcement and better understanding of IP rights in a global and increasingly digital environment by building and promoting sustainable networks, thereby supporting competitiveness, innovation and creativity in the EU.

4.2 Management Systems planning and objectives

When establishing and reviewing its objectives, the EUIPO takes into account the legal requirements and other requirements to which the organization subscribes, including financial, operational and business requirements, significant aspects and related risks assessments, opportunities and the analysis of the context of the Office and of its relevant

internal and external interested parties.

4.3 Risk Management System

At the EUIPO, Risk Management is about identifying and assessing potential problems that could affect the execution of the organisation's activities and the achievement of its strategic and business objectives. It also includes the identification of opportunities for the Office. The risks are then prioritised, and when considered appropriate, actions are taken to reduce them to a level judged acceptable by management³. Hence, the aim is not to avoid risks at all costs. It is also about pursuing opportunities that can create value for the Office Stakeholders.

EUIPO's risk management activities follow the [Enterprise Risk Management Framework](#) based on the widely accepted COSO framework for Enterprise Risk Management, adapted to the Office environment, as well as on the European Commission Risk Management Implementation guide.

The most significant risks to the Office are managed through the Office corporate layer and documented in the Office Corporate Risk Register. Other risks which are significant for specific areas are managed through Operational layers or specific risks methodologies (for example on information security and occupational risk prevention) which ensure, if applicable, that they are properly escalated to the corporate level. Moreover, they should be documented in operational risk registers or in the IMS process documentation following the [corporate layer](#) and [operational layer](#) approved.

5. Support

5.1 Training and awareness

To support the establishment of the continual improvement culture within the Office, training and awareness sessions are available during the year to all staff, including workshops, coaching sessions and e-learning modules in [EUIPO Academy Learning Portal](#).

The Academy encompasses all the learning and educational activities for our staff, staff of the intellectual property (IP) offices of the European Union (EU), EUIPO's users, academia and the public at large. There is a full training catalogue that covers everything from trade mark to enforcement, as well as non-IP-related matters like language training or soft skills, including management systems modules.

Benchmarking activities are carried out in different areas of the Office to identify and implement best-in-class practices from other organisations. Likewise, many organisations come to the Office to learn from our business practices.

5.2 Communication

At corporate level, the main communication tool of the Office with its external interested

³ With the exception of those related to the safety of staff for which the risk appetite is zero

parties is the website where all information concerning laws and practices are collected and all e-services are available. Additional information concerning the performance of the Office's management systems is also provided through this channel.

The Office manages its communication activities related to the IMS following the processes approved within the Office, aligned with the transparency strategy pursued. IMS information, e.g. IMS Manual, Environmental Statement, is published and made accessible to the Office stakeholders.

The Office has implemented several communication channels in order to facilitate the collection of information from the staff, such as suggestions mailboxes, horizontal cross-departmental groups, awareness meetings, management and reporting tools. The Office conducts surveys related to the services provided internally to the Office staff (e.g. catering, IT services). The results of such surveys are analysed and action plans are defined to improve the services.

5.3 Documented information

All documents that constitute the IMS are accessible to everyone in the organisation. The IMS documentation comprises the documents that define and support the Office's, serve as a tool for communication, give evidence of conformity and enhance knowledge sharing.

The documentation hierarchy is structured in different layers; from the strategic documents to the operational ones. Strategic documents are the IMS Policy, the IMS Manual and the Framework documents. Operational documents are the process cards, which describe the overall picture of the processes and are cascaded down in work instructions and other supporting documentation.

6. Operations

6.1 Operational planning and control

The Office plans, implements and controls the processes needed to meet the requirements for the provision of its products and services.

Apart from the long-term vision set out in the Strategic Plans, each year the Office prepares a [Work Programme](#) describing the activities and deliverables defined for the year. The results and achievements are then reported in the EUIPO annual report.

The Work Programme is the document that transforms organisational goals into operational terms. It defines:

- the initiatives/projects to be carried out for each line of activity;
- the measurable objectives;
- the service standards to which the Office wants to commit vis-à-vis users;
- the performance targets that "core processes" must meet to enable compliance with service standards.

The Office has put in place many systems to control the quality and the operational

effectiveness and efficiency of its processes. Some examples are the performance and risks management systems, the product quality checks performed before and after the decisions are issued, the internal audits across the whole organisation, the surveys to internal and external stakeholders, etc.

Regarding the external contractors, the Office has implemented a comprehensive External Resources Management Systems which supports and promotes an optimal use of external resources providing valuable input for the Office's sourcing decision-making processes.

In addition, the Office's biggest assets are information and knowledge and it has therefore implemented a knowledge repository, where all documentation and knowledge related to Office projects and activities are captured, managed and shared in line with the defined permission rights. The knowledge repository is therefore an important element to mitigate the risk of dependence of knowledge from specific individuals (either internal staff or services provided by external parties) to the smooth functioning of the Office activities.

6.2 Requirements of products and services

The Office is committed to complying with the applicable Intellectual Property, environmental, energy, health and safety, accessibility, information security laws and regulations and with other requirements, including the DALCO⁴ criteria for accessibility.

The Office ensures that these applicable legal requirements and other requirements to which the organization subscribes are taken into account in establishing, implementing and maintaining its certified management systems.

6.3 Control of nonconforming outputs

Processes and supporting documentation include description of corrective actions that the member of staff should take when an error or deficiency is detected at a specific point in the process. In other situations, if a member of staff detects an error or deficiency in a product or a service, the individual should inform his or her ICC. The ICC will ensure that such reports are logged in the Action Log and progressed.

The EUIPO Action Log is a tool that is used for recording nonconformities, improvements, suggestions, corrective actions and preventive actions. It complements other EUIPO tools that are used for managing IT incidents, requests for change, project issues, etc.

6.4 Emergency preparedness and response

The Office establishes, implements and maintains the processes needed to prepare for and respond to potential emergency situations concerning Health & Safety and environment.

In addition, the Office has a comprehensive Business Continuity Plan in place that aims to reduce the risk of disasters by anticipating critical impacts and by providing directions to support an effective recovery and the return to normal operations. In case of a contingency,

⁴ DALCO criteria: Ambulation, Apprehension, Location and Communication. Four parameters that sum up the tasks that people perform in their daily interaction with their environment. This, in practice, affects things like lifts, wide hallways, stairs, signage, information channels and more

the protection of employees and the business are considered Office priorities.

7. Performance evaluation

7.1 Monitoring, measurement, analysis and evaluation

The EUIPO uses a range of reports to support the management of performance:

- EUIPO's Performance Management System is the platform where all consolidated information about indicators and performance measurement of the Office are published in a graphical manner.
- The Balanced Scorecard indicators are used to monitor the implementation of the Strategic Plan.
- EUIPO's Quality Service Charter defines what users of our services can expect from us in relation to timeliness, accessibility and the quality of the Office products (proceedings and decisions). Performance against the [Quality Service Charter](#) is reported on a quarterly basis on EUIPO website.
- An [Annual Report](#) is prepared at the end of each year and published on the EUIPO website.

The EUIPO operates a variety of quality controls in order to monitor and report on the quality of its products and services. The aim is to increase quality of products and service to ensure the full satisfaction of EUIPO stakeholders.

7.2 Customer satisfaction

The Office aims to fulfil users' needs and expectations while meeting legal requirements and making efficient use of resources. The Office gathers users' opinions concerning the services it offers through different channels, for example, through immediate feedback surveys on e-business tools, panels, meetings with users' associations and liaison meetings.

Another important tool to get users' feedback for the Office is through its Information Centre where all information requests are processed. Through these channels, users also make comments and suggestions about the website tools and performance. Furthermore, to make sure that users' feedback is integrated in how the Office works, the Office has set up systematic processes for surveying users' needs and also for dealing with complaints.

Specific programmes have been established (e.g. Key User Programme), to encourage them to follow a full e-commerce approach with the Office, covering all e-business tools as well as e-communication.

7.2.1 Satisfaction Surveys

The User Satisfaction Survey is periodically conducted. The objective of the survey is to identify areas for improvement and to enable the Office to set appropriate priorities to enhance its services and measure overall satisfaction. In summary, the aim is to create a virtuous circle in which user's needs are used to set improvement goals. Achievement against goals is monitored through performance indicators and communicated to users. This then leads to a fresh user input, thus creating a cycle in which the Office continually improves in the direction that its users demand.

In addition, the EUIPO may implement a so-called ad-hoc satisfaction survey in relation to specific services from time to time. The main objective is to seek users' feedback regarding several areas in order to improve the quality of EUIPO's services. Users are contacted over a specific period and asked to complete an online questionnaire to measure their level of satisfaction when interacting with the Office. This provides EUIPO with rapid feedback of customer perception which facilitates a more rapid analysis and reaction by EUIPO as appropriate.

Both types of [surveys reports](#) are published on the EUIPO website.

7.2.2 Complaints

Users have the right to complain about any aspect of the activities of the Office. A complaint is a written expression of dissatisfaction with the services provided by EUIPO and/or EUIPO's processes. Customer Department, however, while dealing with the complaints, does not have the competence to answer complaints about the legal reasoning of the decisions granted by EUIPO. In case of disagreement with EUIPO decisions, an appeal should be filed.

The operation of EUIPO's administrative procedures can also give rise to complaints, by staff and by external candidates.

In all cases, the EUIPO ensures the effective handling of complaints, so that they are treated and closed to the satisfaction of the user in a timely manner. The reporting and analysis of complaints provide a key feedback to EUIPO for improvement.

As a result of this analysis, Customer Department performs a follow-up on decided actions for amending and correcting causes, preventing new future complaints based on the same facts.

7.3 Audits

Internal audits are carried out to verify whether actual working practice complies with the planned arrangements including the processes that govern the activity. Audits also help to identify necessary improvements and to determine if processes are effective and efficient and if responsibilities have been correctly assigned.

The subject and frequency of the audits depends on the number, importance and complexity of the activities to be audited and takes into account:

- Top management priorities;
- Business risks;
- The results of previous audits;
- Significant changes to the organisation of the Office, departments or processes;
- Significant changes to statutory or customer requirements;
- The results of complaints or other customer feedback.

Specific management systems internal audits are conducted by a pool of staff trained as internal auditors and outsourced in some specific cases. These audits determine whether the

certified management system is being effectively implemented and maintained and whether the requirements of applicable standard are being satisfied.

In addition, every year an external audit is performed by an accredited body to all the Management Systems to which the Office is certified, in order to follow-up the implementation and compliance, as well as to re-certify them depending on the year in the three-year renewal cycle of the certificates. This integrated audit is carried out through the field-work by qualified auditors.

In addition, the Internal Audit Service assists management and provides independent, objective assurance and consulting services designed to add value and improve the organisation's operations. It helps the organisation accomplish its objectives by bringing a systematic, disciplined approach so it can evaluate and improve the effectiveness of risk management, control, and governance processes.

The Office is also subject to audits by the European Court of Auditors and the European Data Protection Supervisor (EDPS).

7.4 Management review

Top management shall review the effectiveness of the IMS. On a yearly basis, the Corporate Governance Service requests all the areas and coordinators of the management systems to send their highlights from the year. These highlights should provide information about the main updates regarding the IMS, main continual improvement actions carried out, risk management and internal control issues tackled and analysis of the relevant performance indicators. The results of the analysis on the context of the organisation as well as of its internal and external interested parties should also be part of the information transmitted by the areas involved in the exercise.

The follow-up on the on-going objectives as well as the definition of the ones proposed to be achieved during the upcoming exercise (based on the afore-mentioned input information) is also performed at this stage.

All this information is gathered in a report and communicated to the process owners before Executive Director's approval.

8. Continual Improvement

Process Owners, ICCs and EUIPO staff are committed to continually searching for ways to improve the processes they are responsible for in order to meet users' requirements in a more efficient and consistent manner.

The EUIPO Action Log is a tool that is used for recording nonconformities, improvements, suggestions, corrective actions and preventive actions. It complements other EUIPO tools that are used for managing IT incidents, requests for change, project issues, etc. The ICCs are responsible for the follow-up of these continual improvement activities to verify the effectiveness of their implementation.

To support the establishment of the continual improvement culture within the Office, training and awareness sessions are available during the year to all staff, including workshops, coaching sessions and e-learning modules in the EUIPO Academy Learning Portal.

As part of the effort to improve quality and consistency throughout all the Office's operations, the EUIPO introduced the "Knowledge Circles" to break down the silos between services and departments. These cross-departmental forums bring together colleagues from different areas to discuss improvements and implement action plans.

In addition, benchmarking activities are carried out in different areas of the Office to identify and implement best-in-class practices from other organisations. Likewise, many organisations come to the Office to learn from our business practices.

Annexes

- I. The scope and exclusions of the Universal Accessibility Management System
- II. Management Systems roles description

**ANNEX I. Integrated Management System Manual
(Scope and exclusions of the Universal Accessibility Management System)
Version 1.1 – 20/12/2018**

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1. Purpose

The purpose of this document is to describe the areas of the EUIPO premises included within the scope of the Universal Accessibility Management System in place in the organisation in accordance with the requirements of the standard UNE 170001.

This document also provides the list of those areas to be considered as out of the scope of the Universal Accessibility Management System, providing the suitable justification for such exclusion.

2. Scope of the Universal Accessibility Management System

The areas of EUIPO premises within the scope of the Universal Accessibility Management System in accordance with the requirements of the standard UNE 170001 are the following ones:

- Ground floor
 - ✓ Main entrance from the outside
 - ✓ Lobby Main entrance / reception / information desks
 - ✓ Jean Claude Combaldieu Room
 - ✓ Training area
 - ✓ Dining room OAMI Restaurant
 - ✓ Outdoor terrace facing the sea
 - ✓ Winter Garden restaurant/buffet (indoor and outdoor areas)
 - ✓ Cafeteria (indoor and outdoor areas)
 - ✓ Retail services area
 - ✓ Campus (Security control area, outdoor food stand, sport areas, food truck)
 - ✓ Wubbo de Boer Inte@active Centre

- Basements
 - ✓ Basement 1 / Office area, Medical Service, Leisure room area, Parking spaces, Simone Veil conference room, Locker rooms not included in technical areas, and Auditorium
 - ✓ Basement 2 / Office area and Parking spaces

- All
 - ✓ Restrooms except those located in technical room areas
 - ✓ Stairs
 - ✓ Lifts
 - ✓ AA3 building except technical areas
 - ✓ AA2 building except technical areas
 - ✓ AA1 floors 1 to 5
 - ✓ Main corridors

3. Exclusions of the Universal Accessibility Management System

All those areas not included within the list presented in section 2 of the present document are considered as excluded from the scope of the Universal Accessibility Management System.

This exclusion is justified by the fact that these areas of restricted use, admission being limited to the specific personnel of the said areas.

The areas out of the scope are the following ones:

- AA1
 - ✓ The basement 3 as a whole, where are located the main warehouses of the building, kitchens, etc.
 - ✓ The kitchens areas located on the ground floor for both the Winter Garden restaurant-buffet and the cafeteria
 - ✓ Access to the kitchen of the Winter Garden Restaurant-buffet from basements 1 and 2 for internal staff (staircases and elevator)
 - ✓ The warehouses, located in certain areas of basements 1 and 2.
 - ✓ Restrooms located in technical room areas
 - ✓ Floor 6

- AA2
 - ✓ Basement 3 as a whole
 - ✓ Technical areas
 - ✓ VIP Restaurant, kitchen and restrooms of OAMI Restaurant

- AA3
 - ✓ Technical areas.
 - ✓ The warehouses, located in certain areas of basements 1 and 2.

**ANNEX II. Integrated Management Systems Manual
(Integrated Management System Roles Description)**
Version 4.0 – 05/03/2020

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1. Purpose

The aim of this document is to set up the duties of the main roles involved in the Integrated Management System.

2. Roles

2.1 Top Management

Top Management demonstrates leadership and commitment with respect to the integrated management system.

The MAC is accountable for the effectiveness of the integrated management system and ensures:

- the establishment of the integrated policy, regular Management Review and the definition of objectives aligned with the strategy of the Office and with the context of the organisation
- the integration of the management system requirements into the organisation's business processes
- the availability of the resources needed for the integrated management system
- the achievement of the intended outcomes of the integrated management systems
- the effective contribution of the Office's interested parties by communicating the importance of fulfilling the requirements established in the integrated management system
- the implementation of the continual improvement
- the establishment of suitable communication channels with internal and external stakeholders

The roles described in the present document have been defined in order to support the Top Management in the achievement of the above mentioned mission.

2.2 The Quality Board

The administrative decision **ADM-14-51- Decision of the Executive Director on Product Quality Framework** provides the legal basis for the work of the Quality Board and the Knowledge Circle on Quality to define an all comprehensive quality assurance framework based on the concepts of product and service quality.

The Quality Board is composed by top management representatives from different departments and it is the reference forum to:

- Oversee the activities of the Knowledge Circle on Quality (KCQ).
- Discuss and decide on any other strategic matters related to quality.
- Provide feedback to the processes/department where product audits are ongoing, based on the quarterly reporting presented by the KCQ.
- Review on an annual basis the overall results of the Office's product audits within the context of the management systems annual review, as part of the continuous improvement cycle of the Office.

2.3 The Knowledge Circle on Quality

The Knowledge Circle on Quality is composed of representative from different departments with operational responsibility on quality matters. It is responsible for:

- Ensuring the correct application of the product audit process (audit, information gathering and reporting), the framework and harmonization of methodology. Follow-up and analysis of results and actions taken.
- Analysing results of surveys, complaints and any other customer feedback results.
- Ensuring follow-up of action plans issued after the analysis of customer/staff feedback results with Process Owners. Evaluate the effectiveness of improvement/corrective actions

implemented.

Reporting on a quarterly basis to the Quality Board on activities regarding to quality of product and services

2.4 Quality Manager

The Quality Manager (Head of the Corporate Governance Service) leads and coordinates the implementation of the IMS throughout the EUIPO, following the strategic direction defined by the Executive Director and the Quality Board.

The Quality Manager is responsible for:

- Ensuring alignment of the IMS with the EUIPO strategy
- Reporting to the Executive Director on the performance of the IMS and informing the MAC and EMAC
- Leading the Internal Control Correspondents Network
- Ensuring compliance with the ISO 9001 standard

2.5 Process Owners

The Process Owners assist the Executive Director in defining the organisation's priorities for the achievement of the goals of the Office and supervise the functioning of the Integrated Management System to ensure that performance is aligned with the goals. The Executive Director and the Process Owners run an annual review of the Integrated Management System as part of the Strategic Planning Cycle to ensure that it is operating effectively.

Process Owners are responsible for the processes in their area. They are responsible for:

- Managing the process so that it meets user requirements and delivers business value.
- Ensuring that the right mix of communications and training are provided to the people who carry out the process.
- Ensuring that suitable induction training is provided to new staff so that they become familiar with the process and the Integrated Management System.
- Establishing and using suitable performance measures, and taking corrective actions when performance falls short of objectives or targets.
- Ensuring that the process and any supporting documentation are updated and that supporting IT systems remain aligned.
- Ensuring that the process is aligned to and remains aligned to EUIPO policies and all governing regulations.
- Ensuring that resources are at the right level for efficient and effective process performance.
- Ensuring that the Internal Control Correspondents and Process Experts have objectives related to their role and are appraised accordingly.

2.6 Internal Control Correspondents (ICCs)

Each Process Owner may delegate process support responsibilities to others by confirming one Internal Control Correspondent (ICC) as well as Process Experts for processes they own.

The ICCs supports the implementation, maintenance and continual improvement of the Integrated Management System. They provide support and guidance on quality, performance and risk issues, as well as on the Internal Control Framework implementation in their respective department or horizontal service, and liaise with the Corporate Governance Service, including the Quality Manager who coordinates the activities Office wide. The ICCs work closely with Process Experts, who are individuals with expertise in relation to specific processes.

The ICCs, the Internal Control Coordinator (Head of CGS) and representatives of the Corporate Governance Service form the Internal Control Correspondents Network. The network meets regularly

to review Integrated Management System plans and related activities, communications and training products. It supports and participates in benchmarking initiatives. It contributes to the development, implementation and maintenance of the Integrated Management System including the management of performance, risk and internal controls.

The respective responsibilities, according to the **ICCN competencies and tasks**, can be summarised as follows:

- Support the Process Owners in relation to their processes in order to meet user requirements and deliver business value.
- Coordinate Integrated Management System activities and maintenance for their area, including monitoring processes (in terms of contents, KPIs and risks), developing new work instruction that is required while ensuring link between them.
- Ensure compliance with management systems in their area.
- Deliver suitable communications and training to the people who carry out the process in coordination with Process Experts.
- Set up and adjust performance and risk measures using the correct indicators and ensuring that current measures and indicators remain aligned.
- Report on process performance and risks to the Process Owner.
- Maintain accurate and useful referencing from the process card, to supporting documentation.
- Maintain regular contact with the Process Experts to ensure a two-way flow of information about the process and to ensure its maintenance/update.
- Act as a channel for feedback from the users of the process, including handling improvement ideas (in case of Business change, representing the department and bringing a horizontal perspective) and tracking the related action plans.
- Maintain the Action Log for their area.
- Liaise with the Integrated Management System corporate coordination to share plans, progress and issues.
- Participate as Auditor and Auditee in the integrated management system internal audits.

2.7 Process Experts

- Provide expertise in developing and maintaining up-to-date processes and supporting documentation. This includes mapping new processes or definition of new instructions as required.
- Serve as a point of contact for technical questions about the process and provide the answers to those who raise questions.
- Maintain an awareness of how people are using the process, so that communication and training needs can be identified and satisfied.
- Liaise with ICCs on process questions, issues and improvement ideas.
- Participate as Auditor (if Lead Auditor certified) and Auditee in the Integrated Management System internal audits.

2.8 Environmental Coordinator / Environmental Responsible

The Environmental Responsible role is assumed by the Director of the Infrastructures and Building Department.

The Environmental Coordinator is responsible for coordinating any initiative related to environmental matters. The responsibilities are:

- Maintain the Environmental Management System related documentation, propose objectives and follow up on their implementation, manage risks and corrective actions, control the environmental indicators as well as coordinate environmental audits
- Identify and evaluate the environmental aspects arising from the activities and services of the

EUIPO with the purpose of centralise the control of those significant.

- Identify legal requirements and other requirements applicable to EUIPO in terms of environment, as well as verify of legal compliance.
- Identify potential accidents and emergency situations that could lead to environmental consequences and set up actions.
- Detection of training needs in terms of environment
- Carry out continual supporting to the rest of roles involved in environmental management such as Occupational Health & Safety Coordinator in the management of potential accidents and emergency situations that could lead to environmental consequences.
- Manage complaints from interested parties related to environmental aspects of the EUIPO activities and services, as well as manage the internal and external communications related to environmental content.
- Provide input for integrated management review in terms of environmental management

2.9 Occupational Health & Safety Coordinator/ Responsible for Risk Prevention

He/she is responsible for coordinating any initiative related to Occupational Health & Safety matters.

The responsibilities are:

- Prepare the documentations related to risks prevention preventive
- Monitor EUIPO activities in order to implement immediate corrective actions
- Coordinate the cross-departmental activities in order to avoid adverse effects to the staff
- Prepare the Emergency Plan
- Carry out the follow-up of the improvement actions as a consequence of preventive activities.
- Ensure that staff follow the procedures and instructions in terms of risk prevention and inform concerning the preventive and protection measures
- Analyse the activities carried out in EUIPO in order to detect risks and deficiencies so that mitigate or eliminate them.
- Investigate accidents and incidents at EUIPO, in accordance with the approved procedure.
- Detection of training needs in terms of Occupational Health & Safety
- Review regularly the work environment according to the approved procedures.
- Attend the Health & Safety and Environmental Committee as consultant.
- Liaise with external collaborators in terms of risk prevention (i.e. external risk prevention service).
- Collaborate with the Environmental Coordinator in the potential accidents and emergency situations that situations that could lead to environmental consequences
- Carry out with the Environmental Coordinator, the follow-up of the preventive actions established for each of the emergency situation through drills.
- Takeover in case of accidents or emergency situations and communicate the emergency to the corresponding official bodies.

2.10 Occupational Risks Prevention Service

EUIPO has since 2014 its Occupational Risks Prevention Service (Servicio de Prevención Propio) in place which takes over the specialities of safety, ergonomics and applied psychology.

EUIPO has externalised with an external Risks Prevention service the specialities of Industrial Hygiene, and health surveillance.

The duties of the Risks Prevention Service are:

- Provide support to the organisation depending on the types of existing risk, in relation to the prevention plan, risk assessment, planning of preventive activities, information and training, first aid, and health surveillance.
- Develop and carry out the risks assessment that can affect to the staff' safety
- Prioritise and follow-up of effectiveness regarding the preventive activities planning
- Develop and carry out training to staff

- Provide first aid
- Preparation and execution of the self-protection plans
- Develop and execute health surveillance of the staff in relation to the occupational risks
- Contribute to the effectiveness of the integration of the prevention activities.

The Spanish law 'Ley 31/95 de Prevención de Riesgos Laborales' empowers the prevention services that they can outsource the services of other professionals or entities when necessary for carrying out activities that require special skills or highly complex facilities

2.11 Health, Safety and Environmental Committee (HSEC)

Their responsibilities are defined as follow (See **ADM-12-65** regarding the HSEC (art. 5) and **ADM-04-30** for more information):

- The HSEC review risks, findings (high rated), incidents reports and the reports concerning temporary works.
- The HSEC can issue opinions to the Executive Director of the Office.
- The HSEC is a consultancy body. Nevertheless, they review the Objectives and the Risk evaluation.
- The HSEC meets 4/6 times per year
- Issue decisions regarding the above mentioned matters and propose opportunities for improvement.

The Health, Safety and Environmental Committee is also to be considered as part of the internal interested parties thanks to its role in the analysis of the organisation's needs and expectations as well as in the identification of new legal requirements. The results of this analysis are used as input for Office's Integrated Management Systems when defining the objectives.

2.12 Accessibility Coordinator

He/she is responsible for coordinating any initiative related to accessibility matters. The responsibilities are

- Detection of training needs in terms of Accessibility. Provide training concerning accessibility to the staff involved in the system.
- Follow up of the contracts with suppliers involved with the accessibility of the AA1, AA2 and AA3 building of EUIPO
- Check the correct operation of Accessibility management activities carried out by external contracted through suppliers
- Raise awareness to the safeguards concerning the procedure "Chain of accessibility and evacuation plan".
- Provide support to the persons in charge concerning the accessibility applicable procedures.

2.13 Information Security Forum (ISF)

A corporative committee called the Information Security Forum (ISF) ensures that there is a standard channel for security initiatives within EUIPO.

- The Information Security Forum should be coordinated by the Information Security Officer who must always be present in the forum's meetings.
- The ISF members have to correspond to specific status, roles, responsibilities and power level within EUIPO to be part of the ISF. Other staff members cannot be part of the ISF and applicable in case of function change.
- All departments involved with the following aspects should participate in the Information Security Forum meetings:
 - Risk managements.

- Compliance of legal and normative security requirements.
- Corporate security (including physical and logical security).
- The basic responsibilities of the Information Security Forum are:
 - Approve EUIPO security policies.
 - Analysis of threats and risk that can compromise security in EUIPO.
 - Discuss security plans and actions taken to carry out security initiatives and issues.
 - Follow up the improvement of security measures in EUIPO.
 - Monitor security incidents resolution.
- All information systems and processes must comply with all the requirements established in the Security Policies. However the Information Security Forum can discuss any case in which a particular system or process, for clearly justified reasons, may not comply with specified security policies.
- Information security Forum must meet at least four times a year. In general the meetings must follow predefined schedules and standards.
- The EUIPO staff will be informed about the existence, role and decisions of the ISF.

2.14 Information Security Officer

The Information Security Officer is in charge of leading all Information Security initiatives at EUIPO. Responsibilities include:

- Defining and maintaining the EUIPO Security Policies
- Monitoring ISO 27001:2005 Compliance.
- Ensuring that there is a security assessment on all new projects or a security impact assessment on all changes that go through the change management process, and security requirements (if any) are defined.
- Ensuring the security of information in all of EUIPO Infrastructure.
- Coordinate the Business Continuity Plan (BCP) of the EUIPO.
- Promoting Information Security Awareness.

2.15 Complaints Coordinator

The complaints coordinator is responsible for:

- Establishing the process of performance monitoring, evaluation and reporting on complaints;
- Reporting to top management on the complaints-handling process, with recommendations for improvement;
- Maintaining the effective and efficient operation of the complaints-handling process, including the assessment of resources needs, their training, the technology requirements, documentation of the process, setting and meeting target time limits and other requirements defined in the Office, together with the process reviews.
- Perform the follow-up of resulting actions in order to avoid the root-cause of any complaint preventing new complaints based on the same facts.
- Extracting valuable feedback for analysis on a regular basis.