Integrated Management System Manual:

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

Version 6.0 – 14/03/2022
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1. Introduction

The European Union Intellectual Property Office (EUIPO) Integrated Management System (IMS) manual presents an overview of the certified management systems at the Office:

- ISO 9001 – Quality Management
- 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 in achieving the concrete goals outlined in both its strategy and its annual work programmes, building upon the principles of modern and transparent management, compliance and accountability, customer satisfaction, knowledge sharing, the accessibility of information and sustainability of operations. The IMS offers structural support and serves as an accelerant of the move towards implementing an interconnected and efficient IP system to serve a customer-driven, dynamic, and innovative organisation.

The certified management systems are considering using and building upon the various performance, governance, internal control, sustainability and other relevant systems operating at the Office. An illustrative representation of this interaction is presented below.
2. **Context of the Organisation**

The EUIPO works with ideas, reputations and 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 (EU) to offer Intellectual Property (IP) rights protection to businesses and innovators across the EU and beyond. In addition, the Office’s responsibilities have grown since the original scope of the European Union Trade Mark and Designs Network was defined. 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.

The EUIPO focuses on Strategic Plans that span five years, which state the Office’s goals, following set strategic drivers and identify key initiatives to achieve the strategic goals. The Office strives to meet stakeholders’ needs and expectations and to make best use of resources.

To provide excellent services to our users, 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. Therefore, we commit to recognising international management standards in quality, complaints, environment, energy, occupational health and safety, information security and universal accessibility.

We want to be proactive in our activities management, by assessing and responding to risks according to our Enterprise Risk Management Framework, and by pursuing opportunities that create additional value for our stakeholders, while ensuring 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 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 organisational 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 – EMAS (¹)
• Occupational Health and Safety Management System – ISO 45001
• Universal Accessibility Management System – UNE 170001 (²)
• Complaints Handling – ISO 10002.

The certifications’ scope includes all the activities, infrastructures and staff of the Office’s headquarters (located at Avenida de Europa, No 4, 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 areas:

• **Strategic Processes**: define the Office’s strategy, governance, including key activities such as institutional relations and communication.

• **Business Processes**: constitute the Office’s core business and transform customers’ & stakeholders’ requirements into services.

• **Supporting Processes**: support the whole Office.

• **Evaluation & Continual Improvement Processes**: to boost the improvement of services or processes.

(¹) The Office voluntarily follows the guidelines set out in the ISO 50001 standard. However, the implemented energy management system 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 Annex I.
These processes are described on 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 unites 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. Moreover, 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-exists in a harmonised way contributing to the good performance of the Office.

Top management is found in the executive director and deputy executive director who, together with the president of the Boards of Appeal, the head of the cabinet, the directors, the heads of internal audit services, communication, corporate governance, the chief economist, and the data protection officer, comprise 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 areas.

The corporate governance service ensures IMS coordination, and the coordination of each management system is led by the responsible areas dealing with quality, occupational health and safety, environment & energy, universal accessibility, information security and complaints. Specific interdepartmental 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 activities management and coordination of all the certified management systems. In this way they optimise and deliver the common requirements as well as sharing valuable information to generate synergies between them.

In each department and service at the operational level, the process owners assist the
executive director in defining the organisation’s priorities for achieving the Office’s goals and supervise the management systems’ functioning to ensure that their performance meets the Office’s objectives. Each process owner may delegate process support responsibilities to others by appointing an 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 support quality, performance and risk issues in their respective areas, liaising with the corporate governance service (CGS).

ICCs and representatives of the CGS form the ICC network. The network meets regularly to review 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

Working closely with stakeholders has been central to the way in which the Office conducts its business. The Office’s efforts to increase stakeholder engagement has intensified considerably over the years.

Considering the excellent results achieved to date, and the increasing number of interested parties, there is a need to facilitate and coordinate interdepartmental and Office-wide sharing of information on customers’ and stakeholders’ requirements, needs and feedback.

The EUIPO uses its unique position in the IP network 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.

Stakeholders follow a decentralised approach under the executive director’s purview. Specific Office departments perform the stakeholder managers’ role, manage the assigned stakeholders and define the operational procedures to meet both the Office’s 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) in which the departments concerned contact national public authorities directly.
The Office has identified the following stakeholders’ groups, which are maintained according to the Office’s needs.

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<td>3. Enforcement authorities</td>
<td>OBSERVATORY</td>
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<td>4. Academic community</td>
<td>ACADEMY</td>
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<td>5. Suppliers and service providers</td>
<td>FINANCE</td>
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<td>7. Local community</td>
<td>COMMUNICATION SERVICE</td>
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<td>8. Media</td>
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<td>9. General public</td>
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<td>10. Staff and staff committee</td>
<td>HUMAN RESOURCES</td>
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4. Planning and Objectives

4.1 Strategic planning

The EUIPO strategic plan sets the long term planning for the Office. The SP2025 vision focuses on delivering 'IP value for businesses 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 an increasingly digital global environment by building and promoting sustainable networks, thereby supporting competitiveness, innovation and creativity in the EU.

4.2 Management systems planning and objectives

When defining and reviewing the management systems’ objectives, the EUIPO takes into account applicable legal and other requirements to which it subscribes, including financial, operational and business requirements, results of related risks and opportunities assessments, and the analysis of the Office’s context and of its relevant interested parties. The process of setting the management systems' objectives also considers how these objectives influence and impact the objectives of other
management systems, in order to detect potential synergies and/or points of interaction that could optimise the results expected for each system.

4.3 Risk management system

Risk management identifies and assesses potential threats that could affect the execution of the organisation’s activities and the achievement of its strategic and business objectives. It also identifies opportunities for the Office. The risks are then prioritised, and when appropriate, actions are taken to reduce them to an acceptable level(3). 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.

The EUIPO’s risk management activities follow the Enterprise Risk Management Framework, based on the widely accepted Committee of Sponsoring Organisations (COSO) framework for enterprise risk management, adapted to the Office’s environment, as well as on the European Commission Risk Management Implementation guide.

The most significant risks for the Office are managed through the Office’s corporate layer and documented in the Office’s corporate risk register. Other risks which are significant for specific areas are managed through operational layers or specific risks methodologies (e.g. 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 throughout the year to all staff. These include workshops, coaching sessions and e-learning modules in the 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 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 various 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.

(3) Except those related to the safety of staff, for which the risk level is zero.
5.2 Communication

At a corporate level, the Office’s main communication tool, with its external interested parties, is the website where all information concerning laws and practices are collated and all e-services are available. Additional information concerning the Office’s management systems performance is also provided through this channel.

The Office manages its communication activities related to the IMS following the Office’s approved processes, aligned with the transparency strategy pursued. IMS information (e.g. the IMS manual, environmental statement) is published and made accessible to the Office stakeholders.

The Office has implemented several communication channels to facilitate the collection of information from staff, such as suggestion mailboxes, horizontal interdepartmental groups, awareness meetings, management and reporting tools. The Office conducts surveys related to the services provided internally to Office staff (e.g. catering, IT services). The results of these surveys are analysed, and action plans 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, serve as a tool for communication, give evidence of conformity and enhance knowledge sharing.

The documentation hierarchy is structured in different layers – from strategic to operational documents. Strategic documents are the IMS policy, IMS manual and framework documents. The operational documents are process cards, which describe the overall processes and are cascaded 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:

- initiatives/projects to be carried out for each driver and goal;
- 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 many systems to control the quality, operational effectiveness and efficiency of its processes. Some examples are the performance and risks management systems, the product quality checks performed before and after decisions are issued, the internal audits across the whole organisation, and the surveys of stakeholders.

The Office has implemented a comprehensive external resources management system that 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. Therefore, it has implemented a knowledge repository, where all documentation and knowledge related to Office projects and activities are captured, managed and shared in line with defined permission rights. Therefore, the knowledge repository is an important element to mitigate the risk of dependence on 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 IP, environmental, energy, health and safety, accessibility, information security laws and regulations, as well as with other requirements, including the DALCO (4) criteria for accessibility.

The Office ensures that these applicable legal requirements and other requirements to which the organisation subscribes are considered when establishing, implementing and maintaining its certified management systems.

### 6.3 Control of non-conforming outputs

Processes and supporting documentation include the description of corrective actions that the staff should take when they detect an error or deficiency 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, they should inform their ICC. The ICC will ensure that such reports are logged in the action log and progressed.

(4) The DALCO criteria are Ambulation, Apprehension, Location and Communication. These four parameters 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, etc.
The EUIPO action log is a tool that is used for recording nonconformities, improvements, suggestions, corrective 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 and safety and the environment.

In addition, the Office has a comprehensive business continuity plan in place that aims to reduce the risk of disasters, anticipates critical impacts and provides direction to support an effective recovery and a return to normal operations. In the case of a contingency, 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 performance management.

- The EUIPO’s performance management system is a platform where all consolidated information about indicators and performance measurement of the Office are published.

- The balanced scorecard indicators are used to monitor the implementation of the strategic plan.

- The EUIPO’s quality service charter defines what users can expect in relation to timeliness, accessibility and the quality of the Office’s products (proceedings and decisions). Performance against the Quality Service Charter is reported on a quarterly basis on the 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 to monitor and report on the quality of its products and services. The aim is to increase the quality of products and services to ensure the EUIPO’s stakeholders’ full satisfaction.
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 dealing with complaints.

Specific programmes have been established (e.g. the 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

A customer 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 the overall satisfaction. In summary, the aim is to create a cycle 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 an ad hoc satisfaction survey in relation to specific services from time to time. The main objective is to seek users’ feedback regarding several areas to improve the quality of the EUIPO’s services. Users are contacted over a specific period and asked to complete an online questionnaire to measure their satisfaction level when interacting with the Office. This provides the EUIPO with rapid feedback of customer perception, which facilitates a more rapid analysis and reaction by the EUIPO.

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 the EUIPO and/or the EUIPO’s processes. However, the customer department does not have the competence to answer complaints about the legal reasoning of the decisions granted by the EUIPO. In the case of disagreement with EUIPO decisions, an appeal should be filed.

The operation of the EUIPO’s administrative procedures can also give rise to complaints.
The EUIPO ensures effective complaints handling, managing and closing complaints to the satisfaction of the user in a timely manner. The reporting and analysis of complaints provide a key feedback to the EUIPO for improvement.

As a result of this analysis, the customer department follows-up on decided actions for amending and/or correcting causes, preventing future complaints based on the same facts.

### 7.3 Audits

Internal audits verify whether working practices comply with the planned arrangements including the processes that govern the activity. Audits identify necessary improvements and 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 considers:

- top management priorities;
- business risks;
- the results of previous audits;
- significant changes to the Office’s organisation, 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 or, in some specific cases, outsourced. These audits determine whether the certified management system is effectively implemented and maintained, and whether the requirements of applicable standards are satisfied.

In addition, as presented in the EUIPO Integral Quality Framework, IP products audits run on the Office’s IP products in accordance with specific methodology formalised in the work instruction guide on product audits and controls. Examples of such audits are: ex ante quality checks; the Internal Quality Check (IQC), or the Stakeholders Quality Assurance Panels (SQAP), where users audit trade mark examination, opposition, cancellation and designs invalidity decisions.

Every year an external audit is performed by an accredited body on all the management systems to which the Office is certified, in order to follow up on implementation and compliance, as well as to recertify them, depending on the renewal cycle of the certificates. This integrated audit is carried out through fieldwork 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 reviews the effectiveness of the IMS. On a yearly basis, the corporate governance service requests all 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 implemented, risk management and internal control issues tackled and the analysis of the relevant performance indicators. The results of the analysis on the context of the organisation as well as of its interested parties should also be part of the information transmitted by the areas involved in the exercise.

The follow-up on the ongoing objectives as well as the definition of those to be achieved during the upcoming exercise (based on the aforementioned input information) is also performed at this stage.

All this information is gathered in a report and communicated to the process owners before getting the executive director’s approval.

8. Continual Improvement

Process owners, ICCs and EUIPO staff are committed to continually search 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 the Office’s operations, the EUIPO introduced the ‘Knowledge Circles’ to break down the barriers between services and departments. These interdepartmental forums bring together colleagues from different areas to discuss improvements and implement action plans.

In addition, benchmarking activities are performed 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. Integrated Management System – Roles Description
ANNEX I to the Integrated Management System Manual  
(Scope and exclusions of the Universal Accessibility Management System)

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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 to the Integrated Management System Manual
(Integrated Management System - Roles Description)

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1. **Purpose**

This document aims to establish the main roles involved in the Integrated Management System (IMS).

2. **Roles**

2.1 **Top Management**

The EUIPO top management (the Executive Director), with support from the Management Advisory Committee (MAC), demonstrates leadership and commitment with respect to the IMS, and in particular:

- the effectiveness of the IMS and the establishment of integrated policy, with regular management reviews and the definition of objectives aligned with the Office’s strategy within the context of the organisation;
- the integration of the management system’s requirements into the organisation’s business processes;
- the availability of the resources needed for the IMS;
- the achievement of the intended outcomes of the IMS;
- the effective contribution of the Office’s interested parties by communicating the importance of fulfilling the requirements established in the IMS;
- continual improvement implementation;
- the establishment of suitable communication channels with stakeholders;
- the performance of an annual review of the overall results of the Office’s product audits, within the context of the management system’s annual review, as part of the Office’s continuous improvement cycle;
- discussing and deciding on strategic matters related to product and services quality (Knowledge Circle on Quality (KCQ) and Knowledge Circle on Customers (KCC)).

The roles described in this document have been defined to support top management in the achievement of the abovementioned mission.

2.2 **Knowledge Circles**

2.2.1 *The Knowledge Circle on Quality*

The KCQ is an interdepartmental forum composed of representatives from all areas of
the Office that are responsible for delivering IP products or whose activities produce an effect on their quality. The KCQ is responsible for the governance, implementation and development of the Integral Quality Framework.

The detailed description of the tasks and responsibilities of the KCQ is available in the KCQ terms of reference.

2.2.2 **The Knowledge Circle on Customers**

In line with the second Strategic Driver of SP 2025, ‘Advanced customer-centric services’ (SD2), the mandate of the KCC is to enable all relevant departments to contribute to holistic and coordinated actions intended to improve the customers’ experience and promote a culture of customer service excellence. It also helps the Office to embrace and implement a customer-centric approach, with the goal of improving the staff’s perception of the Office being customer focused.

The KCC is a platform that facilitates information exchange and ensures an interdepartmental alignment of the Office’s key customer-centric activities, including strategic projects.

2.2.3 **IP Knowledge Circles**

The IP-related Knowledge Circles (KCs) are teams composed of members of various departments that develop the EUIPO’s practice on trade marks and designs as reflected in the Guidelines. The IP-related KCs are:

- KC Absolute Grounds for Refusal and *ex parte* proceedings;
- KC Classification and goods and services issues;
- KC designs;
- KC geographical indications and collective rights;
- KC register and general issues;
- KC Relative Grounds for Refusal and *inter partes* proceedings.

2.3 **Quality Manager**

The head of the Corporate Governance Service (CGS):

- coordinates the implementation of the IMS throughout the EUIPO;
- is the Quality Management System (QMS) coordinator;
- is the Internal Control coordinator, responsible for risk management;
- coordinates the EUIPO certified management system audits;
- reports to the Executive Director on IMS performance and informs the Management Advisory Committee (MAC and the EMAC /Extended MAC/).
2.4 Process Owners

The process owners assist the Executive Director in defining the organisation’s priorities to achieve the Office’s goals and supervise IMS to ensure that performance aligns with goals. The Executive Director and the process owners run an annual review of the IMS as part of the Strategic Planning Cycle (SPC) to ensure effective operation.

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

- managing the process to meet user requirements and deliver business value;
- ensuring proper communications and training are provided to the people who deliver the process;
- ensuring suitable induction training for new staff so they become familiar with the process and the IMS;
- establishing and using suitable performance measures, and taking corrective actions when performance falls short of objectives or targets;
- ensuring process and supporting documentation updates and supporting IT systems remain aligned;
- ensuring the process aligns with, and remains aligned with, EUIPO policies and all governing regulations;
- ensuring resource levels are appropriate for an efficient and effective process performance;
- ensuring Internal Control Correspondents (ICCs) and process experts have objectives related to their role and are appraised accordingly.

2.5 Internal Control Correspondents (ICCs)

Each process owner may delegate their process support responsibilities to one Internal Control Correspondent (ICC), as well as to various process experts.

The ICCs support the implementation, maintenance and continual improvement of the IMS. 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 (CGS), 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 Internal Control Correspondents Network (ICCN) is formed by the ICCs, the Internal Control coordinator (Head of CGS) and representatives of the CGS. The network meets regularly to review IMS 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 IMS including the management of performance, risk, and internal controls.

The tasks of the ICCN are described in the ICCN competencies and tasks document.
2.6 Process Experts

- Provide expertise in developing and maintaining up-to-date processes and supporting documentation. This includes mapping new processes or defining new instructions as required.

- Serve as a point of contact for process-oriented technical questions and provide answers to those questions.

- Maintain an awareness of how people use the process, to identify and satisfy communication and training needs.

- Liaise with the respective ICCs on process questions, issues, and improvement ideas.

- Participate as auditor (if certified) and auditee in the IMS internal audits.

2.7 Environmental Coordinator

The environmental coordinator role is assumed by the director of infrastructures and buildings.

The environmental coordinator coordinates any initiative related to environmental matters. The responsibilities are:

- to maintain the Environmental Management System (EMS) 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;

- to identify and evaluate environmental aspects arising from the EUIPO’s activities and services with the purpose of centralising control of those aspects;

- to identify legal and other requirements applicable to the EUIPO in terms of the environment, and legal compliance verification;

- to identify potential accidents and emergency situations that could lead to environmental consequences and establish procedures;

- to detect training needs in terms of the environment;

- to provide continual support to the other roles involved in environmental management such as occupational health & safety coordinator in the management of potential accidents and emergency situations that could have environmental consequences;

- to manage complaints related to the environmental aspects of the EUIPO’s activities and services, as well as manage communications related to environmental content;
• to provide input for the integrated management review in terms of environmental management.

2.8  Occupational Health and Safety Coordinator

The occupational health and safety coordinator is responsible for coordinating any initiative related to occupational health and safety matters. The responsibilities are:

• to prepare the documentation related to risk prevention;
• to monitor EUIPO activities in order to implement immediate corrective actions;
• to coordinate the interdepartmental activities to avoid adverse effects to the staff;
• to prepare an emergency plan;
• to perform follow-up of the improvement actions related to preventive activities;
• to ensure staff follow procedures and instructions in terms of risk prevention, and keep them informed concerning preventative and protective measures;
• to analyse activities performed in the EUIPO, detect risks and deficiencies, and mitigate or eliminate them;
• to investigate accidents and incidents at the EUIPO, in accordance with the approved procedures;
• to detect training needs for occupational health and safety;
• to regularly review the work environment according to approved procedures;
• to attend health and safety and environmental committee meetings as a consultant;
• to liaise with external collaborators for risk prevention (i.e. external risk prevention service);
• to collaborate with the environmental coordinator for potential accidents and emergency situations that could have environmental consequences;
• to perform the follow-up of preventive actions established for each emergency situation through drills with the environmental coordinator;
• to take over in the event of accidents or emergency situations, and communicate the emergency to the appropriate official bodies.
2.9  Occupational Risks Prevention Service

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

The EUIPO has an external risks prevention service for the specialities of industrial hygiene and health surveillance.

The duties of the risk prevention service are:

• to provide support to the organisation depending on the types of risk, in relation to the prevention plan, risk assessment, planning of preventive activities, information and training, first aid, and health surveillance;

• to develop and perform any risk assessment that can affect staff safety;

• to prioritise and follow-up the effectiveness of preventive activities planning;

• to develop and perform staff training;

• to provide first aid;

• to prepare and execute self-protection plans;

• to develop and execute health surveillance in relation to occupational risks;

• to contribute to the prevention activities’ integration effectiveness.

The Spanish law ‘Ley 31/95 de Prevención de Riesgos Laborales’ empowers the prevention services to outsource the services of other professionals or entities when necessary to perform activities that require special skills or highly complex facilities.

2.10  Health, Safety and Environmental Committee (HSEC)

The responsibilities of the HSEC are defined as follows (See ADM 18-72):

• to 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 its members review health and safety objectives and risk evaluations;
• the HSEC meets 4-6 times per year;
• it issues decisions regarding the above-mentioned matters and proposes opportunities for improvement.

The HSEC is also considered part of the group of internal interested parties because of 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
the Office’s IMS when defining objectives.

2.11 **Accessibility Coordinator**

The accessibility coordinator is responsible for coordinating any initiative related to accessibility matters. His responsibilities are:

- to detect training needs in terms of accessibility. To provide training concerning accessibility to the staff involved in the system;
- to follow up contracts with suppliers involved with the accessibility of the AA1, AA2 and AA3 buildings of the EUIPO;
- to check the correct operation of accessibility management activities carried out by external professionals contracted through suppliers;
- to raise awareness of the safeguards concerning the ‘Chain of accessibility and evacuation plan’ procedure;
- to support the individuals in charge concerning the applicable accessibility procedures.

2.12 **Information Security Forum (ISF)**

A corporate committee known as the ISF ensures that there is a standard channel for security initiatives within the EUIPO.

- The ISF is 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 levels within the EUIPO to be part of the ISF. Other staff members cannot be part of the ISF. This is also applicable in case of function change.

- All departments involved with the following aspects should participate in the ISF meetings:
  - risk management;
  - legal and normative security requirements compliance;
  - corporate security (including physical and logical security).

- The basic responsibilities of the ISF are:
  - to approve EUIPO security policies;
  - the analysis of threats and risks that could compromise EUIPO security;
  - to discuss security plans and actions taken to carry out security initiatives and issues;
  - to follow up the improvement of security measures in the EUIPO;
  - to monitor the resolution of security incidents.

- Information systems and processes must comply with the requirements established in the security policies. However, the ISF can discuss any case in
which a particular system or process, for clearly justified reasons, may not comply with specified security policies.

- The ISF must meet at least four times a year. In general, the meetings must follow predefined schedules and standards.
- EUIPO staff is kept informed of the existence, role, and decisions of the ISF.

2.13 Information Security Officer

The information security officer leads all information security initiatives at the EUIPO. His responsibilities include:

- defining and maintaining EUIPO security policies;
- monitoring compliance with ISO 27001:2005;
- ensuring that a security assessment is made 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 the entire EUIPO infrastructure;
- coordinating the Business Continuity Plan (BCP) of the EUIPO;
- promoting information security awareness.

2.14 Complaints Coordinator

The complaints coordinator is responsible for:

- establishing the performance monitoring process, and the evaluation and reporting of complaints;
- reporting to top management on the complaints-handling process, with recommendations for improvement;
- maintaining the complaints-handling process’ effectiveness and efficiency, including resource needs assessment, training and technology requirements, documenting the process, setting and meeting target time limits and other requirements defined in the Office, together with process reviews;
- performing the follow-up of resulting actions to avoid the root-cause of any complaint and prevent new complaints based on the same facts;
- regular valuable feedback extraction for analysis.