Internal Audit of the Hague Registry

Internal Oversight Division
Internal Audit Engagement

IOD Ref: IA 2025-03
Date: January 28, 2026



WIPO
WORLD INTELLECTUAL PROPERTY ORGANIZATION

This report has been redacted in line with Internal Oversight Division's Report Publication Policy.

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1.1

Executive Summary

Expected Results that the Hague Registry contributes to:

3.1 - Wider and more effective use of WIPO's global IP systems, services, knowledge, and data.

3.2 - Improved productivity and service quality of WIPO's global IP systems, services, knowledge and data

The Internal Oversight Division (IOD) conducted an audit of **the Hague Registry** to assess the adequacy and effectiveness of Governance, Risk Management, and Controls around the key processes. The review covered activities in 2025 up to the performance of audit procedures in November 2025. The review was conducted in conformance with the Global Internal Audit Standards issued by the Institute of Internal Auditors.

Engagement Conclusion

In IOD's opinion: • The assessed governance arrangements, risk management practices, and controls were generally established and functioning, but need some improvement. • Issues identified by the audit do not significantly affect the achievement of the objectives of the audited entity/area.	Satisfactory, some improvement needed

Audit ratings by key audit area

Governance: Alignment with the Expected Results	Satisfactory	Go to slide
Governance: Budget Allocatuon and Execution	Satisfactory	Go to slide
Internal Control: Revenue Generation	Satisfactory	Go to slide
Governance: Monitoring Performance	Satisfactory	Go to slide
Internal Control: Unit Cost	Satisfactory	Go to slide
Internal Control: Timeliness to Process International Applications	Satisfactory	Go to slide
Internal Control: Quality Management	Satisfactory, some improvement needed	Go to slide
Internal Control: Major Business Processes – Applications	Satisfactory	Go to slide
Internal Control: Major Business Processes – Renewal and Changes	Satisfactory	Go to slide
Internal Control: Major Business Processes – Functional and Business Support	Satisfactory	Go to slide
Internal Control: Major Business Processes – Legal Affairs	Satisfactory, some improvement needed	Go to slide
Internal Control: Major Business Processes – Outreach and Promotion	Satisfactory	Go to slide
Internal Control: Major Business Processes – Customer Service	Satisfactory, some improvement needed	Go to slide
Risk Management: Key Risks and Controls	Satisfactory	Go to slide
Risk Management: Business Continuity Management	Satisfactory	Go to slide
Internal Control: Key Tools and Systems	Satisfactory	Go to slide

IOD developed three recommendations. Refer to the next slide.

1.2 Executive Summary - Table of Findings

ID	Finding	Signifi-cance	Recommendations	Person(s) Responsible	Comments and Action Plan	Deadline
1	Although the Quality Management Framework, including the sampling methodology, has been finalized and formally launched in April 2025, it has not yet been operationalized. To date, no quality reviews have been conducted. This is due to the sampling methodology not yet being implemented in practice, as it requires further collaboration with the Data Management and Governance Section of Information and Communication Technology Department (ICTD), Administration, Finance and Management Sector (AFMS) to enable the necessary data and system functionality. As a result, management currently lacks assurance that Hague Registry processes are being systematically reviewed for quality and consistency. Go to Slide	Medium	The Hague Registry should prioritize the operational implementation of the Quality Management Framework by working with the Data Management and Governance Section to enable the data and system functionality required to apply the finalized sampling methodology. Clear timelines, responsibilities, and interdepartmental accountabilities should be established to ensure that quality sampling and reviews commence without undue delay. Once implemented, periodic monitoring and reporting should be introduced to assess the effectiveness of the framework and support continuous improvement.	Head, the Hague Registry Operations Service Associate Quality Control and Training Officer, the Hague Registry Operations Service	Initial sampling prototype developed; however, meetings continue with AFMS, ICTD and Hague Registry to refine the data specifics to support sampling of correct transactions. Steps to map data between the HBO and Tableau are being undertaken.	June 30, 2026
2	As of December 2025, three Hague Union Assembly decisions with entry-into-force dates delegated to the International Bureau remain unimplemented, including items dating back to October 2016. Go to Slide	High	It is recommended that the Hague Registry and Solutions Design and Delivery Section (SDDS) of Business Applications Division, Information and Communication Technology Department (ICTD), Administration, Finance and Management Sector (AFMS) within the framework of the existing Hague Operating Model, introduce enhanced governance measures for Assembly decisions that remain unimplemented for prolonged periods.	Director, the Hague Registry	Whilst the delegated entry into force nature of those changes was a recognition of their secondary status and explains why more impactful changes received priority for implementation, it appears beneficial to revisit the Hague IT Operating Model, with a view to include enhanced governance measures at the appropriate level.	March 31, 2026
3	WIPO has no specific customer service training for the Hague Registry. Go to Slide	Medium	The Hague Registry, in cooperation with the WIPO Academy, should develop a dedicated customer-service training program tailored to the needs of Hague Registry staff. This program should include, among other elements, a module on establishing and maintaining an effective customer-feedback loop.	Head, the Hague Registry Operations Service	Request was made to Internal Training on 27 August 2025. Follow up enquiry has been made in January 2026.	December 31, 2026 (dependent on WIPO Academy capacity)

2.1 Background – The Hague System and the Hague Registry

Photos From: https://www.wipo.int

Overview

The Hague Agreement Concerning the International Registration of Industrial Designs, first adopted in 1925, forms the legal basis for the Hague System. This system simplifies the registration process by creating a single international procedure for the protection of a design in multiple jurisdictions.

Currently, the Hague System has 82 members covering 99 countries*. The **WIPO Hague Registry** administers the Hague System for the International Registration of Industrial Designs, which allows applicants to obtain design protection in multiple contracting parties through a single international application filed with WIPO.

Who can use the Hague System:

- Nationals of…
- Anyone with domicile or habitual residence in…
- Anyone with a real and effective industrial or commercial establishment in…

…any of the Hague System's 82 members (referred to as "contracting parties") can use the Hague System.

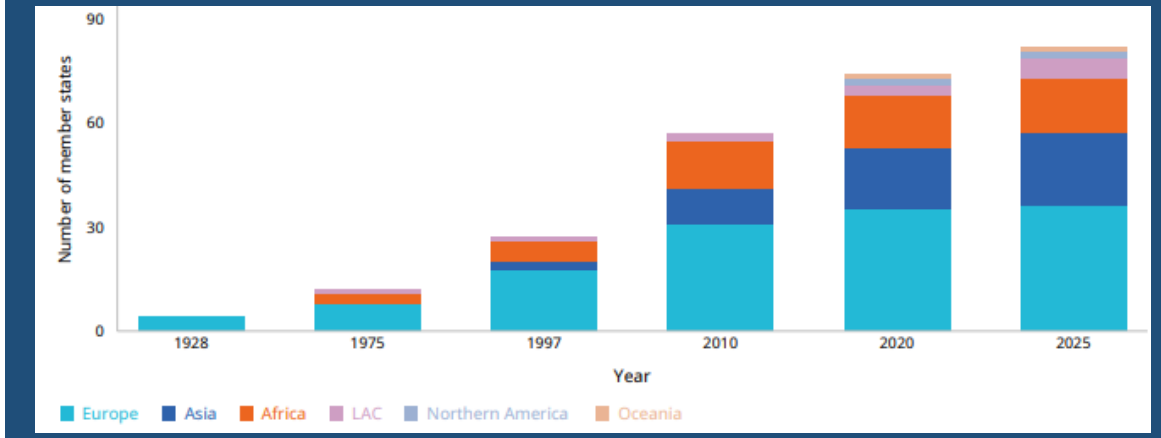
Source **:** WIPO - Hague System

Hague System in a 100-year perspective

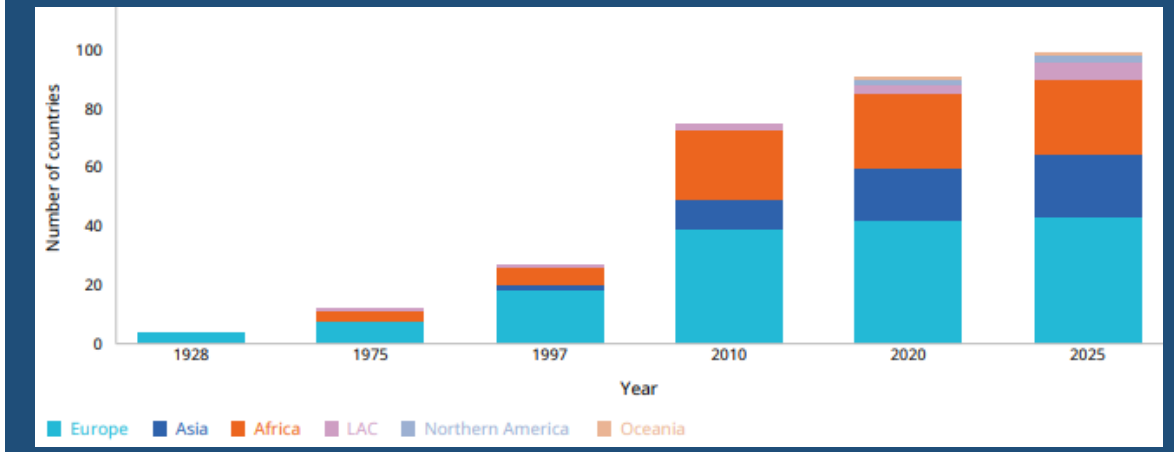
Established in November 1925, the Hague System commemorated its centennial in November 2025.

The Hague Agreement – signed in 1925 and entered into force in 1928 – initially comprised four members: Germany, the Kingdom of the Netherlands, Spain and Switzerland. As of December 2025, the Hague System can boast 82 members covering 99 countries*.

Hague members by region, 1928–2025



Countries covered by Hague membership by region, 1928–2025



* The membership of African Intellectual Property Organization (OAPI) and the European Union (EU) is taken into account, effectively giving application of and access to the Hague System across all their respective members.

Source **:** Hague Yearly Review 2025

2.2 Background – Hague international registrations

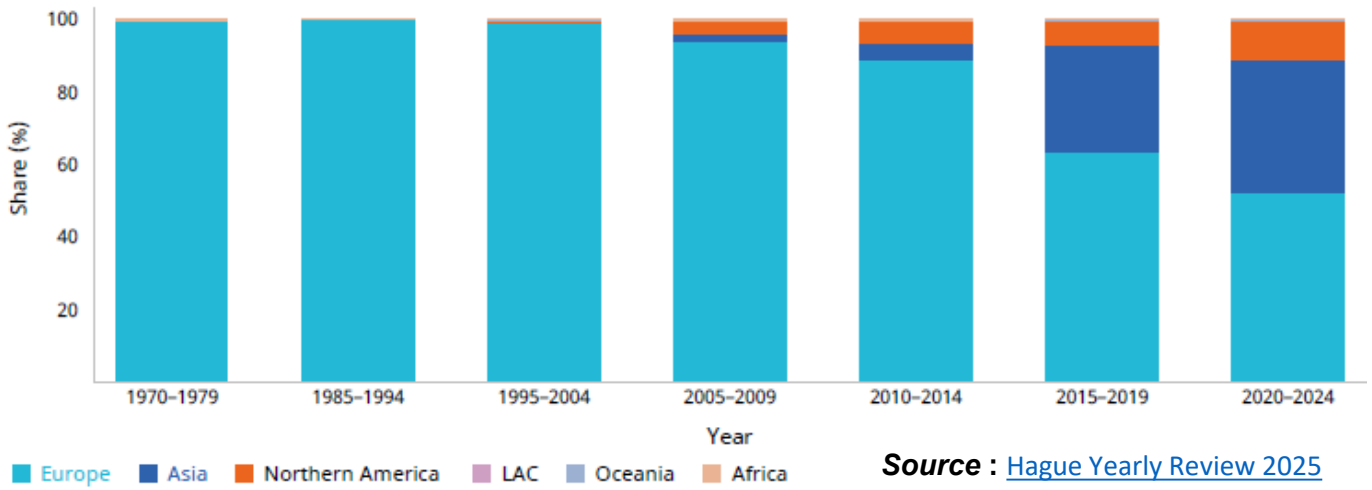
The cumulative total of Hague international registrations over the past century has reached nearly a quarter of a million.

- **1930s** – ~800 registrations annually
- **1940–1947** – Sharp decline due to World War II
- **Early 1970s** – Peak average of 2,600 registrations per year
- **Mid-1970s–1980s** – Stagnation (oil crisis impact)
- **Mid-1980s onward** – Growth resumes with expanded membership
- **2003** – Drop after EU introduced Registered Community Design (RCD)
- **2008** – Rebound as EU joins Hague System
- **2014–2015** – Surge with Japan, Korea, US accessions
- **2022** – China joins, boosting momentum
- **2008–2024** – Annual registrations grew 6 times (1,524 → 8,847)

Source : *Hague Yearly Review 2025*

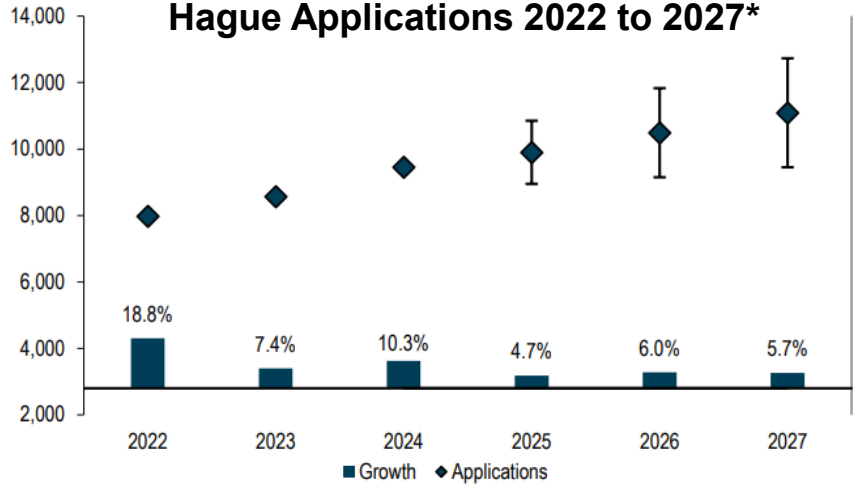
The Hague System usage is broadening.

Trends in Hague registrations by region, 1970–2024



Source **:** Hague Yearly Review 2025

Hague Applications 2022 to 2027*



* 2025 to 2027 reflect applications forecast.

Source **:** WO/PBC/38/4

- Until 2004, international design registrations via the Hague System were almost entirely European (99.5%), reflecting membership at the time.
- From 2005 onward, Asia and North America gained significant share: Asia rose from 2.4% (2005–2009) to 36.8% (2020–2024), and North America from 3.4% to 10.3%. Europe's share fell from 93.8% to 52.4% over the same period.
- In 2024, both Africa and Latin America and the Caribbean (LAC) remained underrepresented in Hague international applications at 0.1% and 0.5% respectively, despite Africa comprising about one-quarter of Hague System member countries.

Source **:** Hague Yearly Review 2025

3

Objectives, Scope, Methodology

Objectives

(a) Assess the governance, risk management, compliance, and internal controls in the Hague Registry;

(b) Assess the adequacy and effectiveness of tools and systems, including translation systems, used to support the Hague Registry.

Scope

Operations in 2025 up to the date of Audit Fieldwork. Earlier periods may be covered for additional insights.

Methodology

- Interviews with relevant stakeholders.
- Review and analysis of documents and records.
- Walkthroughs and test of controls.
- Data Analytics.



International Professional Practices Framework® (IPPF)

WIPO

4.1

Governance - Alignment with the Expected Results

- WIPO Strategy House – A conceptual framework developed by the World Intellectual Property Organization (WIPO) to outline its strategic vision and operational approach. This model is detailed in WIPO's Medium-Term Strategic Plan (MTSP) for 2022–2026 Link.

- The Hague Registry allocates resources to its programs and budget in alignment with WIPO's MTSP, ensuring that its activities directly contribute to Expected Results 3.1 and 3.2. This strategic linkage supports enhanced access to and use of global IP systems, as well as improved productivity and service quality in the delivery of international IP protection services.

Where the Hague Registry contributes to within the WIPO Strategy House

A world where Innovation and Creativity from Anywhere is supported by Intellectual Property, for the good of Everyone

WIPO Leads the development of a balanced and effective global intellectual property ecosystem to promote innovation and creativity for a better and more sustainable future

Strategic Pillar 1: Reach out worldwide to explain the potential for intellectual property to improve the lives of everyone, everywhere	**Strategic Pillar 2**: Bring people together and partner with stakeholders to shape the future of the global intellectual property ecosystem	**Strategic Pillar 3:** Provide high quality intellectual property services, knowledge and data that deliver value to users around the world	**Strategic Pillar 4**: Support governments, enterprises, communities and individuals to use intellectual property as a tool for growth and sustainable development
1.1 More effective communication and engagement world-wide to raise awareness of and increase knowledge about the potential of IP to improve the lives of everyone, everywhere	**2.1** Development of balanced and effective international normative frameworks for IP	**3.1** Wider and more effective use of WIPO's global IP systems, services, knowledge and data	**4.1** More effective use of a balanced IP system to support growth and development of all Member States and their relevant regions and sub-regions, including through the mainstreaming of the Development Agenda recommendations
	2.2 WIPO brings the international community together to proactively address emerging issues and policy challenges at the global level relating to IP, innovation and creativity	**3.2** Improved productivity and service quality of WIPO's global IP systems, services, knowledge and data	**4.2** Development of balanced and effective IP, innovation and creative ecosystems in Member States
	2.3 International dialogue and cooperation on Building Respect for IP		**4.3** Increased IP knowledge and skills in all Member States
	2.4 Effective interaction and partnerships with the UN, IGOs and NGOs in support of global goals to which IP can contribute	**3.3** Knowledge transfer and technology adaptation is facilitated through WIPO's IP-based platforms and tools to address global challenges	**4.4** More innovators, creators, SMEs, universities, research institutions and communities leverage IP successfully
			4.5 Enhanced IP infrastructure for IP Offices

Foundation: Empower our people work effectively, collaboratively and innovatively by providing them with the right resources, training and environment

5.1 A Secretariat that is empowered through a dynamic corporate culture and is provided with the right resources and training to work effectively, collaboratively and innovatively	**5.2** Digitally enabled, secure and sustainable operating environment and services	**5.3** Sound and prudent financial management and effective corporate governance and oversight

4.2

Governance: Budget Allocation and Execution

- MTSP – WIPO Medium-term Strategic Plan. Link.
- PW&B – WIPO Program of Work and Budget 2024/25. Link.
- PMSDS – Performance management and staff development system. Sets the roles and responsibilities, quality standard, and individual performance targets of staff.

* The Hague Registry includes 3 budget units:
  - Hague Legal Affairs Section
  - Hague Information and Promotion Section
  - Hague Operation Service

Governance: Workplan Activities and Budget Allocation

WIPO MTSP and PW&B: Strategic Decision-Making

Expected Results allocated to the Hague Registry: 3.1, 3.2

The Hague Registry Workplan Activities

2024/25 Budget of Hague Registry: 14.02 million CHF*, 1.6% of the total WIPO budget (857 million CHF for 2024/25), which includes:

Activity	Y2024/25, T.CHF
Processing Hague applications	4,457
Processing Hague changes, decisions, renewals etc.	1,341
Functional and business support	1,269
Working group meetings	1,045
Legal suport within Hague Registry	956
Outreach and promotion	759
Information dissemination	738
Customer service	677

Activity	Y2024/25, T.CHF
Accession-related initiatives	534
Legal search and consultations	440
Advice on legislation and declarations	422
Business development & marketing	608
Review and analysis of local office practices	336
Customer-facing tools & materials	318
Fostering and supporting new accession	124

DIRECTOR GENERAL

↓

Deputy Director General, Brands and Designs Sector

↓

Director [Operational Decision-Making]

Hague Legal Affairs Section	Hague Information and Promotion Section	Hague Operation Service

WIPO Staff and Financial Rules and Regulations; Code of Ethics

Internal Procedures and Guidelines

Job Descriptions

PMSDS Individual Objectives

Mentoring / Instructing by Senior Peers

WIPO Accountability Framework

The Hague Registry organizational structure and allocated budget are designed to support the delivery of planned Program Activities (PAs) for 2024/25. All PAs are aligned with and contribute to the achievement of allocated Expected Results.

4.3 Governance: Budget Allocation and Execution

The Hague Registry Budget for 2024/25

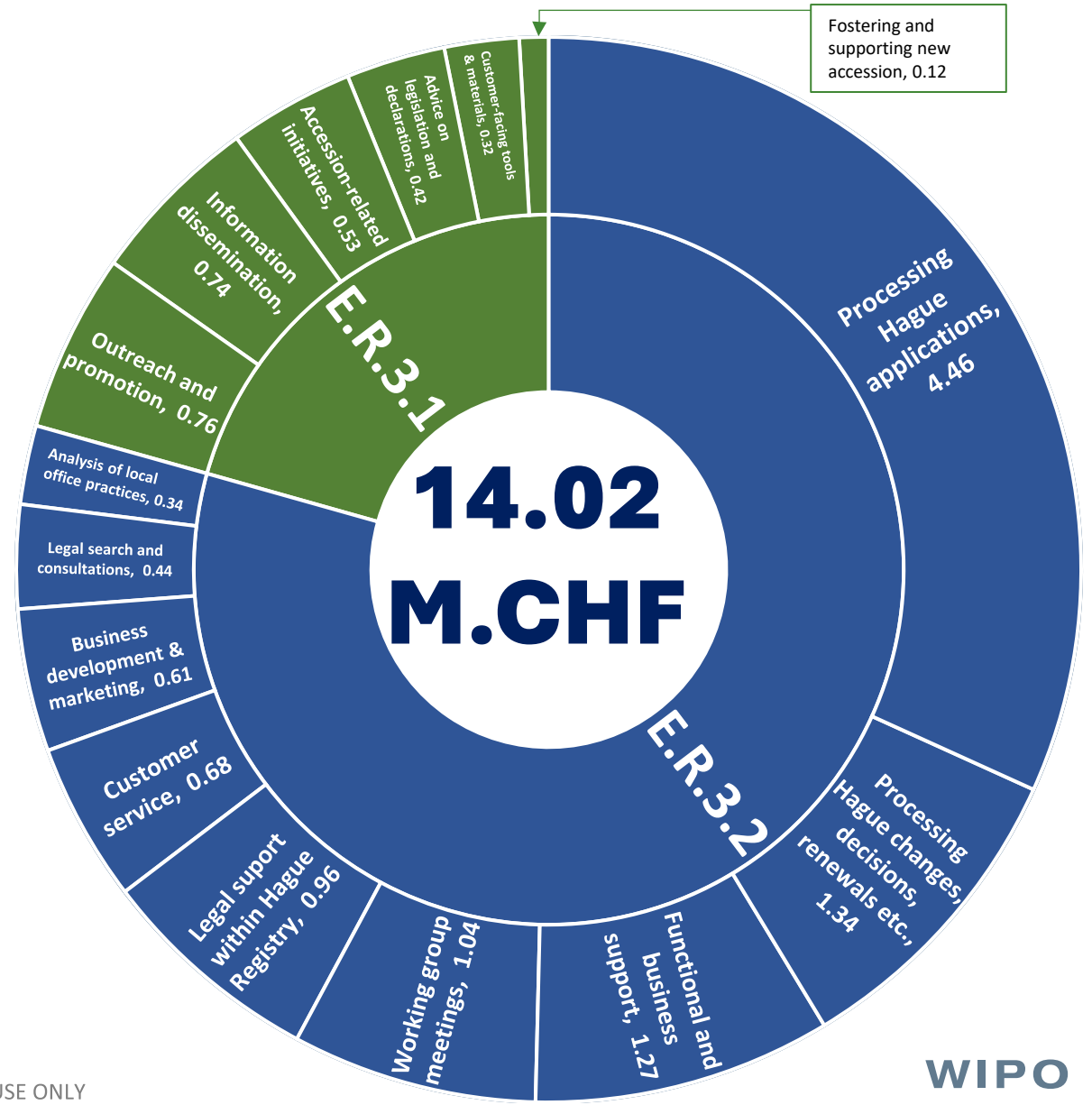
Analysis of the major budget allocations:

79.4% or CHF 11.13 million was allocated to Workplan Activities under **E.R.3.2**, among which:

- Processing Hague Applications: 31.8% or CHF 4.46 million. The Hague Registry administers the Hague System for the international registration of Industrial Designs. It oversees the examination, registration, and publication of designs, and promotes the system's legal and geographical development.
- Other major Workplan Activities include:
  - Processing Hague changes, decisions, renewals etc.: 9.6% or CHF 1.34 million.
  - Functional and business support: 9.1% or CHF 1.27 million.
  - Working group meetings: 7.4% or CHF 1 million.

20.6% or CHF 2.90 million was allocated to Workplan Activities under **E.R.3.1**, among which:

- Outreach and promotion: 5.4% or CHF 759 thousand.
- Information dissemination: 5.3% or CHF 738 thousand.
- Advice on legislation and declarations: 3.0% or CHF 422 thousand



Source **:** Extract from WePerform on December 16, 2025

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4.4 Governance: Budget Allocation and Execution

Biennial Budget 2024/25 Execution as of December 31, 2025 in Swiss Francs

		Budget 2024/25			Actuals 2024/25			
E.R.	Workplan Activities	Personnel	Non-Personnel	Total	Personnel	Non-Personnel	Total	Execution YTD
E.R 3.1	WA: Advice on legislation and declarations provided to cour	403,035	19,139	422,174	310,716	-	310,716	74%
E.R 3.1	WA: Accession-related initiatives	534,349	-	534,349	397,180	-	397,180	74%
E.R 3.2	WA: Working Group Meetings	950,044	94,572	1,044,616	746,889	94,311	841,200	81%
E.R 3.2	WA: Review and analysis of local legislations and Office pra	336,295	-	336,295	263,800	-	263,800	78%
E.R 3.2	WA: Legal research and consultations aimed at developing t	422,366	17,870	440,236	327,248	17,803	345,051	78%
E.R 3.2	WA: Legal support within the Hague Registry and coordinati	575,759	380,047	955,806	450,104	316,041	766,145	80%
E.R 3.1	WA: Fostering and Supporting New Accession Initiatives	123,650	200	123,850	118,287	-	118,287	96%
E.R 3.1	WA: Outreach and Promotion	518,930	240,052	758,982	502,133	223,820	725,953	96%
E.R 3.1	WA: Information Dissemination	496,210	241,367	737,577	471,213	224,894	696,107	94%
E.R 3.1	WA: Management of Customer-facing Tools & Materials	288,880	29,000	317,880	275,862	1,245	277,107	87%
E.R 3.2	WA: Customer Service	457,350	219,480	676,830	437,837	210,315	648,152	96%
E.R 3.2	WA: Business Development/Marketing	354,880	253,300	608,180	323,121	211,495	534,616	88%
E.R 3.2	WA: Processing and examination of Hague applications	3,350,962	1,105,553	4,456,515	2,648,715	900,659	3,549,374	80%
E.R 3.2	WA: Processing and examination of Hague changes, decisi	963,641	377,683	1,341,324	765,358	356,849	1,122,207	84%
E.R 3.2	WA: Functional and business support	1,034,663	234,764	1,269,427	822,288	188,419	1,010,707	80%
		10,811,014	3,213,027	14,024,041	8,860,751	2,745,851	11,606,602	
					82%	85%	83%	
					(B)		(A)	

Hague Registry Staffing Levels of December 31, 2025

Grade	Occupied	Vacant	Total	Total %
D1	2		2	6%
P5	3	1	4	13%
P4	1	1	2	6%
P3	4	1	5	16%
P2	3		3	9%
G7	1		1	3%
G6	9	4	13	41%
G5	1	1	2	6%
Grand Total	24	8	32	

(A), (B): As of December 31, 2025, the overall budget execution rate was 83%. The actual rate is slightly lower than anticipated. Further analysis indicates that this variance is primarily attributable to lower personnel costs due to unfilled positions. Actual personnel expenses were at 82%.

Overall, no significant over- or under-expenditures were identified.

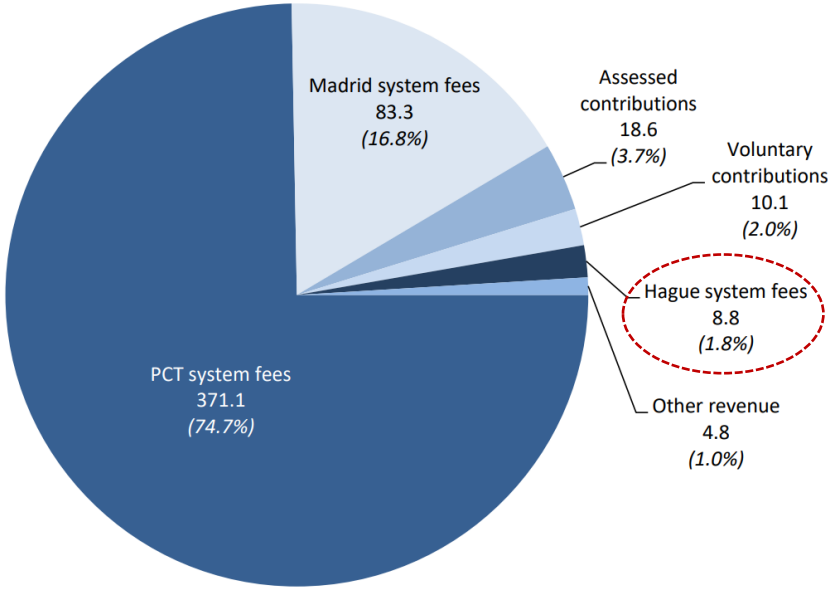
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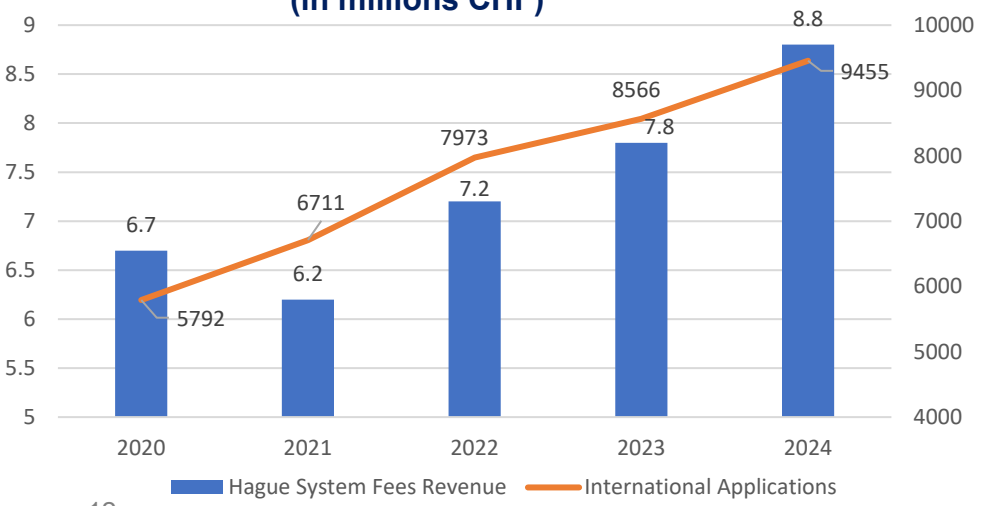
4.5 Revenue Generation

IDB - International Designs Bulletin
IPSAS – International Public Sector Accounting Standards

Composition of WIPO 2024 revenue (in millions CHF)



Hague System Application and Revenue by Year (in millions CHF)



Source **:** WO/PBC/39/6 Annual Financial Report and Financial Statements 2024

The Hague System shows overall growth trend in both applications and revenue over the past five years.

The audited 2025 data on Hague System Fees Revenues and International Applications will be available in April 2026.

The revenues growth for 2025 was estimated at 5.9% in the WIPO Program of Work and Budget for 2026/27.

Hague System Revenue Generation - Key Internal Controls

System embedded process

WIPO Pay: Supports clients in fee calculation and payment processing, ensuring completeness and accuracy of transactions.

Hague Back Office System: Includes an embedded payment verification step during the examination process to confirm that required fees have been paid before proceeding.

Policy and guidance

Hague Registry Standard Operating Procedures guide examiners on payment-related reviews, specifically:

- 001: Second Part of the Fee / Cancellation.
- 003: Investigation for Refunds.
- 066: Manual Payment Interventions.

Financial Reporting Guidance:
FRS1.1.3 Detailed Policy Guidance: Hague System Fees Revenue Recognition (issued by WIPO Financial Reporting Section).

Revenue Recognition Rules

- WIPO Follows **IPSAS 9 – Revenue from Exchange Transactions**
- Revenue recognized based on the estimated stage of service completion.
- Revenue from Hague application fees is recognized only after the application has been published in the International Designs Bulletin (IDB).

Source and more details: *Hague Operations SOPs* *WIPO Pay Guide (PDF)* *Hague Process Walkthrough*

Revenues: Walk Through the Process

- IOD reviewed the process for handling Hague applications, changes, and renewals by examining individual transactions.
- The Hague Back Office System was used to process and examine these transactions.
- A payment verification step is embedded as a mandatory part of the system's examination workflow.
- Once all examination steps are completed and the results are published in the International Designs Bulletin (IDB), the transaction fees received are recognized and recorded as revenues by WIPO's Finance Division.

Refer to: Applications Changes and Renewals

4.6

Governance: Monitoring Performance

Analysis of Key Performance Indicators (KPI)

Hague Registry's KPIs are reported annually to the PPBD and independently validated before inclusion in the WIPO Performance Report, which is presented to Member States. The last available WIPO Performance Report (WPR) with key performance indicators is WPR for 2024, presented on the 38th Session of the WIPO Program and Budget Committee (PBC), Geneva, May 19 to 23, 2025.

Key Performance Monitoring Mechanisms

Weekly Management Meetings
Monitoring the progress and discussing operational challenges.

Dashboards and Reports
Hague Operations Service prepares dashboards for daily monitoring on the Hague Information.

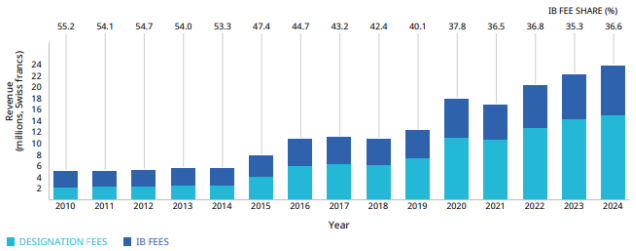
Annual Review
Hague Registry publishes annual review for statistics on application volumes, revenue, cost as well as other key metrics. Hague yearly review 2025

Key Performance Indicators Monitored by the Hague Registry

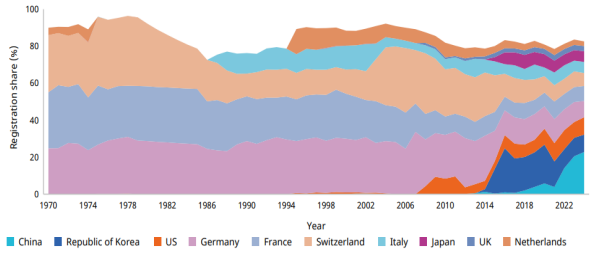
International applications filed in the Hague System



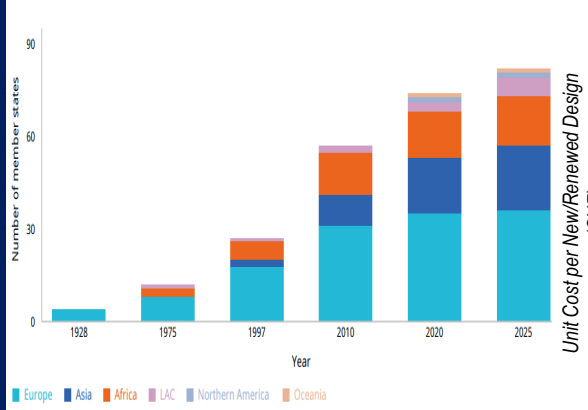
Fees collected and distributed between the International Bureau and designation offices



Top origins of Hague Registration

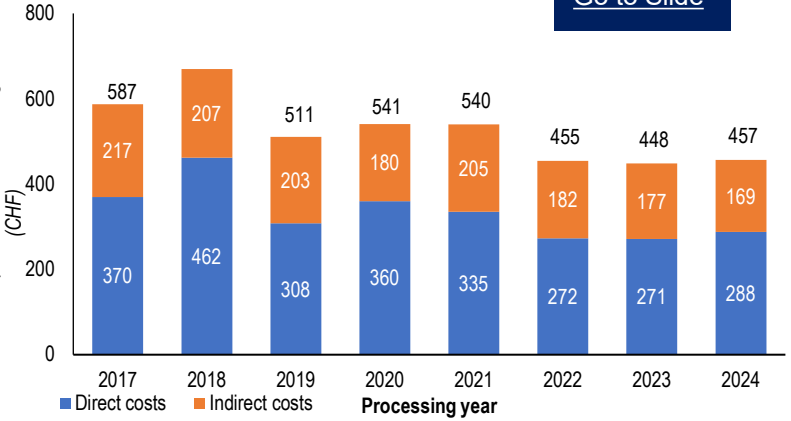


Hague members and Number of countries covered by Hague membership



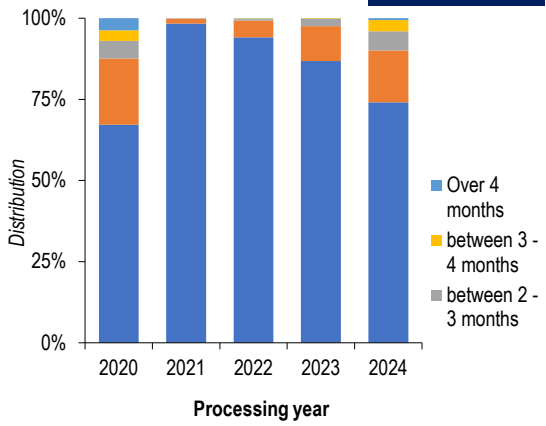
Unit cost per new/renewed design in Hague System

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Timeliness to Process Regular International Applications

Go to Slide



Source and more details on: Hague Yearly Review WIPO Performance Report

WIPO

4.7

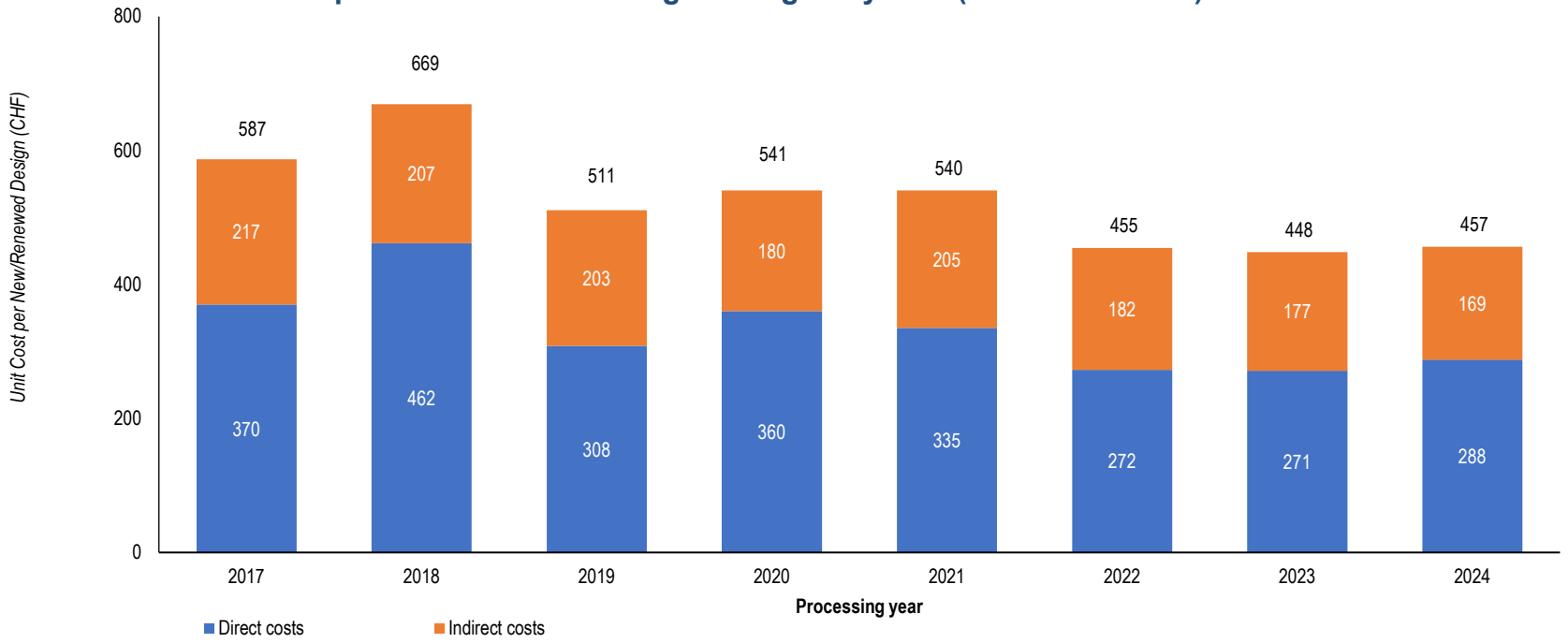
Unit Cost

Unit Cost – A key performance indicator (KPI) used by WIPO to assess the operational efficiency of its global IP systems, including the Hague System. It reflects the average cost incurred by the Organization to process a single new or renewed international design registration.

To account for the varying complexity and effort required across transaction types (application, change, renewal, decision), the Hague Registry applies an internal workload ratio to normalize different transactions.

- The internal workload ratio affects the unit cost and typically evolves over time due to factors such as process automation, staff learning curves, and changes in personnel costs. However, the audit review showed that the internal workload ratio used in the Hague unit cost calculations has remained unchanged for the past three years.
- The Hague Registry explained that the ratio had been reviewed but was ultimately maintained without change.
- While no formal recommendation is issued, IOD suggests that the Hague Registry, in collaboration with the Statistics and Data Analytics Division and the Program Performance and Budget Service, recalculates the internal workload ratio to reflect changes in key influencing factors over the past three years.

Unit Cost per New/Renewed Design in Hague System (in Swiss Francs)



Source **:** WO/PBC/38/3 WIPO Performance Report (WPR) 2024

How Internal Workload Ratio is Calculated

- Each transaction type (e.g., new application, renewal, change of ownership, refusal handling) is analyzed for **average processing time and complexity**.
- A **baseline transaction** (usually a standard new application) is given a ratio of **1.0**.
- Other transactions are assigned ratios relative to that baseline:
  - If a task takes twice as long as the baseline, its ratio might be **2.0**.
  - If it takes half the time, its ratio could be **0.5**.

Factors considered:
- **Number of steps involved** (e.g., examination, notifications, fee checks)
- **Volume of data handled** (design reproductions, designated parties)
- **System interactions** (manual vs automated)
- **Staff involvement** (specialized review vs routine processing).

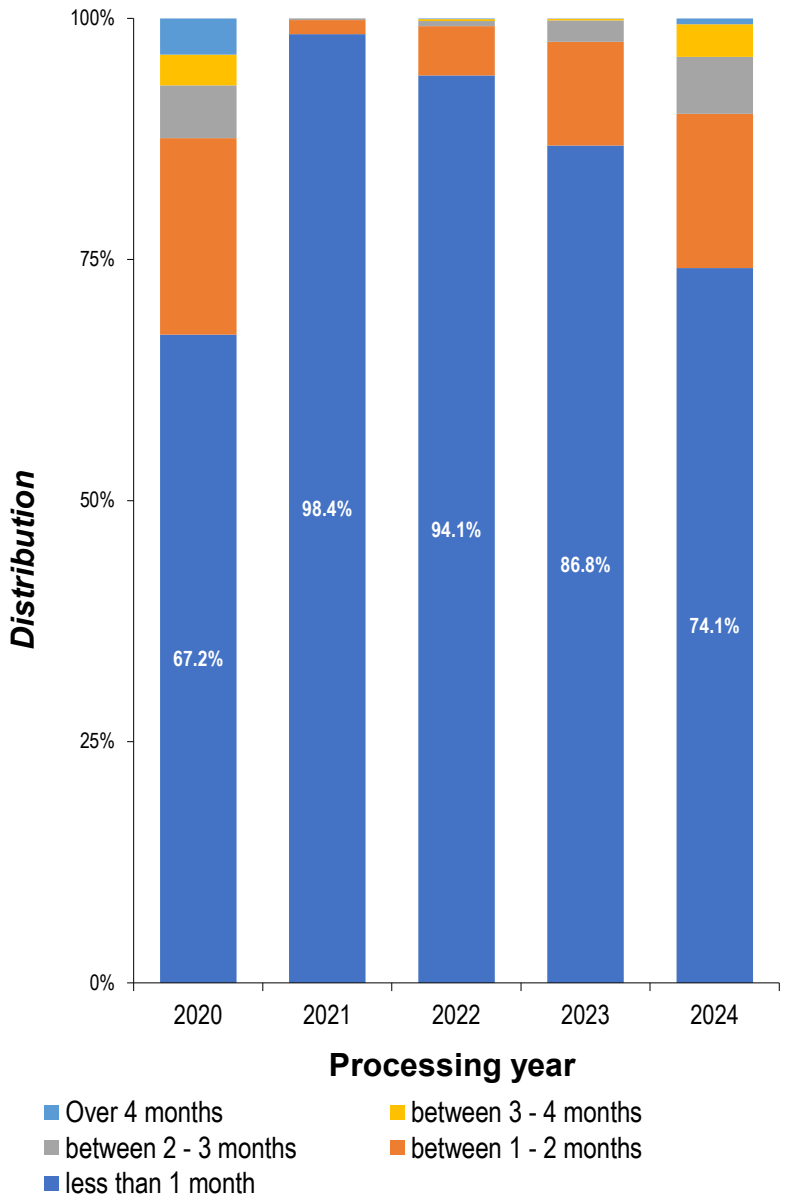
- In 2024, the unit cost for processing Hague designs rose by 1.8% to CHF 457.
- The number of new and renewed designs increased by 6.3%.
  - In 2024, applicants filed 9,454 international applications, up 10.3 per cent from 2023.
  - In 2024, a total of 5,949 renewals were recorded, an increase of 6.4 per cent as compared to 2023. (see the slide).

4.8

Timeliness to Process Regular International Applications

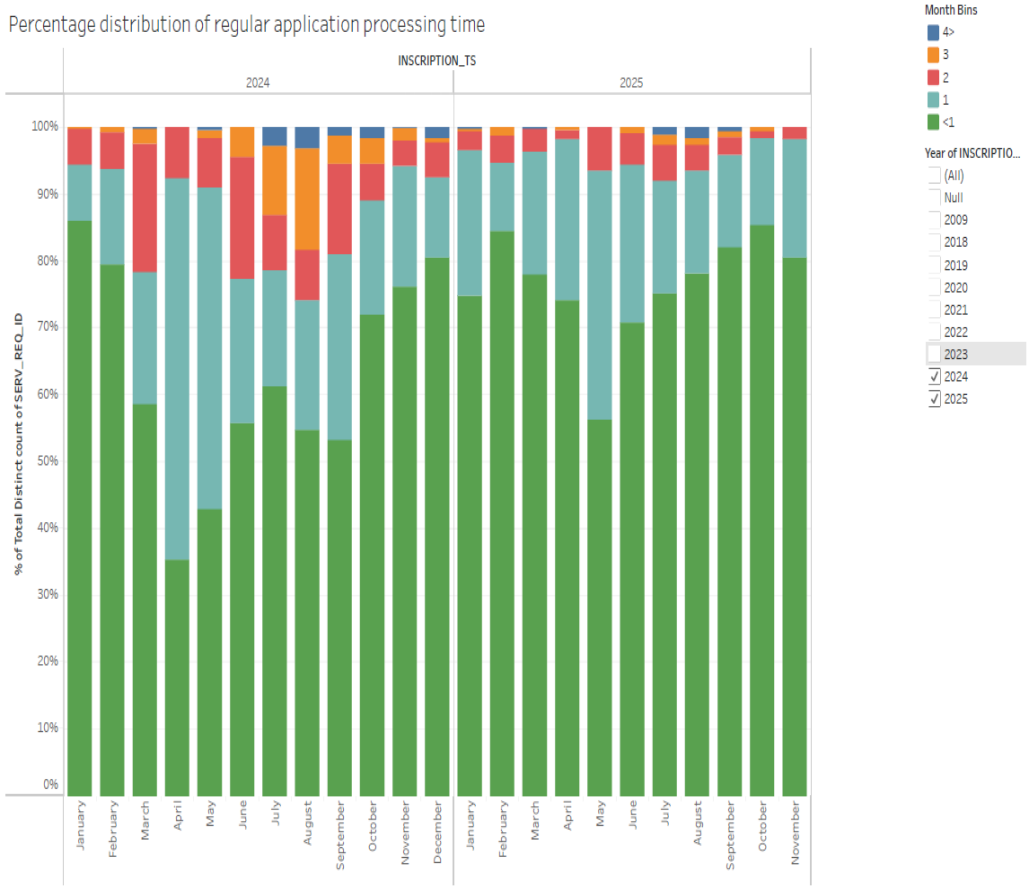
IOD encourages the Hague Registry to continue monitoring pendency closely and sustain efforts to further improve processing performance.

Timeliness to Process Regular International Applications in Hague System



Source **:** WO/PBC/38/3 WIPO Performance Report (WPR) 2024

Percentage distribution of regular application processing time



According to the WIPO Performance Report 2024, the percentage of Regular International Applications processed within one month has been gradually declining since 2021. The Hague Registry attributed this deterioration to a combination of rising application volumes and the onboarding and training of new staff to meet increasing demand.

However, based on the most recent 2025 data provided to IOD, the Hague Registry has succeeded in improving application pendency in 2025. The chart "Percentage distribution of regular application processing time" shows a steady increase in the proportion of Regular International Applications processed within one month (less than one month and 1 month), reaching nearly 98% in November 2025. This improvement was explained primarily by the staff learning curve and the introduction of process efficiencies, including the automation of certain procedures.

4.9

Quality Management

Finding 1	Medium

- Although the Quality Management Framework, including the sampling methodology, has been finalized and formally launched in April 2025, it has not yet been operationalized.
- To date, no quality reviews have been conducted. This is due to the sampling methodology not yet being implemented in practice, as it requires further collaboration with the Data Management and Governance Section to enable the necessary data and system functionality.
- As a result, management currently lacks assurance that Hague Registry processes are being systematically reviewed for quality and consistency.

Recommendation 1

- The Hague Registry should prioritize the operational implementation of the Quality Management Framework by working with the Data Management and Governance Section to enable the data and system functionality required to apply the finalized sampling methodology.
- Clear timelines, responsibilities, and interdepartmental accountabilities should be established to ensure that quality sampling and reviews commence without undue delay. Once implemented, periodic monitoring and reporting should be introduced to assess the effectiveness of the framework and support continuous improvement.

Overview of Quality Governance in the Hague Registry

Quality Management (QM) "As Designed"	"As Is"
GOVERNANCE • Quality Management Framework - launched in April 2025. • Principles referred: ISO 9001:2015. • Goal: Ensure consistent, accurate, and timely processing of international design applications under the Hague Agreement. • Governance: QM is Led by the Head of Hague Operations; Supported by the Associate Quality Control and Training Officer.	**Framework Design**: Hague Operation Service's Quality Management Framework is comprehensive, ISO 9001 based, and emphasizes Commitment to high standards, Customer focus, Continuous improvement, Clear roles, and Quality Control / Quality Assurance processes.
EXECUTION • Quality Control: General approach - Random sampling (≈5%), trend analysis, corrective actions. • Quality Assurance: Process reviews, prevention of issues, feedback from complaints and irregularities. • Continuous Improvement: Staff-driven suggestions, systematic tracking, and prioritized enhancements.	As of December 2025, no quality reviews were conducted in the Hague Registry. Although high-level sampling parameters were embedded in the Quality Management Framework, further collaboration with the Data Management and Governance Section was required to implement the data and system functionality necessary for sampling.
REPORTING AND MONITORING • Weekly: Quality Officer performs QC sampling and reports findings promptly to the Head of Hague Operations. • Quarterly: Consolidated quality management reports are produced for management review. • Yearly: High-level quality performance reports are submitted to management for strategic review.	No reporting, as the periodically quality review was not effectively operationalized due to delays in implementing operational sampling arrangements, particularly the system functionality to execute the sampling process.

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4.10

Key Business Processes

Key Business Processes are the core operational activities that enable the Department to deliver on its mandate and achieve its Expected Results. These processes are essential for fulfilling strategic objectives and typically receive the largest share of the budget, reflecting their critical role in driving performance and impact.

IOD has reviewed the governance, risk management and controls around these key processes.

Formal Examination - "formalities check" that precedes registration and publication, forming part of the WIPO's role under the Hague System.

Key Business Process

Processing Hague Applications (A)

- Receiving international design applications via eHague, direct filing, or through the national office (indirect filing).
- Conducting formal examinations, registering, and publishing in the International Designs Bulletin.
- National offices handle substantive examination and post-registration actions.

Refer to: Applications

Processing Hague Changes and Renewals (B)

Changes:
- Include ownership, name/address, representative, renunciation, limitation, corrections.
- Can be requested anytime during the life of the registration.

Renewals:
- Only possible at the end of each 5-year term (with a 6-month grace period).

Refer to: Changes and Renewals

Functional and Business Support (C)

- Business reporting and analytics.
- Business process improvement.
- Accession support for new members.

Refer to: Functional and Business Support

Legal Support (D)

- Research on legal framework of the Hague System.
- Consultation for the legal inquiries.
- Support to the Hague Working Groups and Assembly of the Hague Union.

Refer to: Legal Support

Outreach and Promotion (E)

- Outreach and promotion activities with members and stakeholders.
- Cross-sectoral initiatives.
- Data analytics on outreach and promotion planning.

Refer to: Outreach and Promotion

Customer Service (F)

- Customer service ticketing system.
- Customer service tickets distribution.
- Customer service efficiency initiatives.
- Actions to enhance customer satisfactions.

Refer to: Customer Service

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4.11

Key Business Processes: Applications

*** Formal examination by the International Bureau.** The International Bureau checks that the international application complies with the prescribed formal requirements. The International Bureau does not appraise or concern itself in any way with the novelty of the design ……or any other substantive ground.
Rule 14 – Regulations Under the Geneva Act (1999) of the Hague Agreement Concerning

****Substantive examination by the Office of each designated Contracting Party.** Upon publication of the international registration in the International Designs Bulletin, the Office of each designated Contracting Party may proceed with the substantive examination, if any, provided for by its own domestic legislation. As a result of that examination, the Office may notify to the International Bureau a refusal of protection for its territory.
Article 12(1) – TRT/HAGUE/006 Geneva Act (1999)

eHague – WIPO's electronic filing platform for the Hague System
DM/1 - Official WIPO paper form for filing an international design application under the Hague System
International Bureau of WIPO - administrative arm of WIPO that manages the Hague System and other IP systems.

A Processing Hague Applications

1. Application Submission

Actors: Applicant or Representative

Channels:
- eHague (preferred)
- Form DM/1
- via National IP Office, if allowed (Indirect Filing)

Key actions:
- Complete application (designs, reproductions, designated Contracting Parties)
- Pay basic, publication, and designation fees

2. Formal Examination*

Actors: Hague Registry

Key actions:
- Formal requirements only (*not novelty*)
- Language, completeness, fee payment

Outcome:
- If compliant → proceed to registration
- If irregular → applicant notified to correct

3. International Registration

Actors: Hague Registry

Key actions:
- Record in International Register
- Assign registration number and date
- Issuance of certificate to the holder
- Issuance of confidential copy to selected Offices

4. Publication

Channel: International Designs Bulletin (I.D.B.)
Timing options:
- Standard (12 months)
- Immediate
- Deferred (up to 30 months, depending on designated Parties)

Content:
- Design reproductions
- Registration data

Revenues are recognized after Publication.

5. Substantive Examination**

Actors: National/Regional IP Offices

Outcome:
- *If no refusal* → automatic protection or decision of grant (optional) notified to WIPO who forwards to holder
- *If refusal* → notified to WIPO who publishes and forwards to holder
  - Holder may appeal or amend
  - Office may later issue grant of protection

6. Post-Registration

Possible actions:
- Changes (ownership, holder info, representative)
- Renewals (every 5 years, up to max duration per country)
- Limitations or renunciations
- Invalidation (by national authority)

Scenarios of end of lifecycle:
- *Non-renewal* → lapse
- *Full renunciation* → cancellation
- *Invalidation* → removal from Register of the designation concerned

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4.12

Key Business Processes: Changes and Renewals

Scope of Changes
Ownership transfer, holder / representative details, renunciation, limitation, corrections, etc.

Notice of Renewals
Hague Registry (International Bureau of WIPO) sends an unofficial notice to both the holder and the representative 6 months before expiry.

B-1 Changes

1. Request

Actors: Holder/new owner/representative.

Channels: request via eHague or official form (DM/2, DM/3, DM/5, DM/6, DM/8).

Key actions:
- Complete application (include registration number, details of change, signatures, and supporting documents).
- Pay fees (except changes concerning the representative, other changes need to pay prescribed fees).

2. Examination

Actors: Hague Registry

Key actions:
- Check compliance and irregularities.
- Fee payment.

Outcome:
- If compliant → proceed to publication
- If irregular → applicant notified to correct within 3 months.

3. Publication

Actors: Hague Registry

Key actions:
- Change recorded in International Register.
- Notification sent to holder and relevant IP Offices.
- Change published in International Designs Bulletin.

Effect on contracting parties:
- Subject to national law; some IP Offices can refuse changes.

Revenues are recognized after Publication.

B-2 Renewals

1. Request

Actors: Holder/representative

Request: Holder/representative will send a renewal request through eHague Renewal or DM/4 form or written request.

Fees: Payment of the basic fee plus designation fees (standard or individual) is required.

2. Examination

Actors: Hague Registry

Fee verification: If fees are insufficient, Hague Registry notifies the holder to either
- Pay the missing amount, or
- Reduce the scope (e.g., remove some designs or designations).

Formal compliance: Hague Registry check of the renewal request includes
- Correct international registration number(s).
- Holder or representative details.

3. Publication

Actors: Hague Registry

Key actions:
- Renewal is recorded in the International Register.
- Certificate is issued to the holder.
- Renewal is published in the International Designs Bulletin.

Non-renewal:
- If unpaid after 6-months grace period → registration lapses; published as lapsed.

Revenues are recognized after Publication.

WIPO

4.13

Key Business Process: Functional and Business Support

Functional and Business Support within the Hague Operations Service covers the set of activities that enable the end-to-end processing and stewardship of Hague international design applications, without being part of the formal examination itself.

C Functional and Business Support in Hague Registry



- Maintain and improve business intelligence reporting
- Prepare weekly, monthly, statistical, and other ad hoc reports
- Digitize paper records and contribute to archiving policy

- Uploading and issuance of certified copies and extracts
- Capture, analyze, and communicate business requirements
- Test, monitor, and validate IT features, improvements, and fixes

- Implement new Hague accessions and declarations by Contracting Parties
- Support on legal amendments to Hague System common regulations and instructions
- Legal support for the operation and evolution of the Hague System

4.14

Key Business Process: Legal Support

The Hague Legal Affairs Section supports countries joining the Hague System, provides legal advice to both current and prospective members and design right holders, advises on the system's implementation and functioning, and supports the annual Working Group Meetings of the Hague Union.

Sources:
Becoming a Member of the Hague System
Accession Kit: The Hague System
Guide to the Hague System
Working Group of the Hague Union

D Hague Legal Support

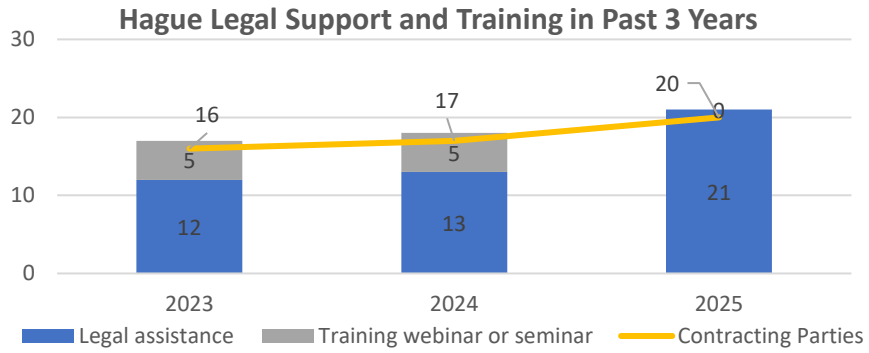
Legal Support in the WIPO Hague Registry – Key Activities

1. Supporting Countries in Their Accession to the Hague System
The Hague Legal Affairs Section (HLAS) provides legal guidance to countries considering joining the Hague System. This includes helping align national laws with Hague requirements, supporting IP offices in completing accession questionnaires, and ensuring legal compatibility for international design registration. The Registry also offers post-accession support for implementation and compliance, and coordinates with WIPO's regional divisions to tailor outreach and technical support. Countries are categorized by target accession timelines, and a country-specific matrix is maintained to track progress and actions.

2. Providing Legal Advice to Existing and Prospective Contracting Parties and Design Right Holders
HLAS responds to legal inquiries from both current and prospective Contracting Parties, as well as design right holders. This includes expert responses to legal questions, guidance on draft laws and declarations, and participation in webinars and seminars to provide legal training. The Registry also assists with IT integration and regional coordination to support legal and procedural adaptation.

3. Providing Legal Advice on the Implementation and Functioning of the Hague System
The Registry offers ongoing legal advice to ensure the effective implementation and functioning of the Hague System. This includes reviewing and recommending declarations under the Geneva Act, supporting the harmonization of national legislation, and advising on procedural and policy-related improvements. The Registry also monitors the implementation of decisions adopted by the Hague Union Assembly.

4. Supporting the Annual Working Group Meetings in the Hague Union
The Hague Registry organizes and actively participates in the annual Working Group Meetings, which serve as a platform for Contracting Parties and stakeholders to discuss legal, procedural, and policy improvements. The Working Group makes recommendations to the Hague Union Assembly, with final decisions made by the Assembly. Topics discussed include fee structures, document formats, translation costs, and proposals from member states.



- From 2023 to December 2025, the Hague Registry delivered 56 legal support activities or trainings to Contracting Parties.
- The number of legal support activities and the number of Contracting Parties reached increased each year.
- In 2025, 21 legal assistance activities were delivered; no trainings were organized.

Working Groups of the Hague Union and Hague Union Assembly

- The Hague Registry contributes actively to the Working Group, which serves as a platform for Contracting Parties and stakeholders to discuss legal, procedural, and policy-related improvements to the Hague system.
- Working group meetings are held annually, typically in Geneva (hybrid mode).
- All Hague System Contracting Parties are invited.
- The Working Group makes non-binding recommendations to the Hague Union Assembly.

Decisions adopted by the Hague Union Assembly must be implemented by the Hague Registry. "International registration and related duties, as well as all other administrative tasks concerning the Union, shall be performed by the International Bureau." (Article 22 (1) (a) of Hague Agreement Concerning the International Registration of Industrial Designs Geneva Act (1999)).

Go to Slide for more details.

4.14.1

Key Business Process: Legal Support - Working Groups of the Hague Union and Hague Union Assembly

Finding 2	High

As of December 2025, three Hague Union Assembly decisions with entry-into-force dates delegated to the International Bureau remain unimplemented, including items dating back to October 2016.

Recommendation 2

It is recommended that the Hague Registry and Solutions Design and Delivery Section (SDDS), within the framework of the existing Hague Operating Model, introduce enhanced governance measures for Assembly decisions that have remained unimplemented for prolonged periods.

Decisions adopted by the Hague Union Assembly must be implemented by the Hague Registry. IOD has identified the following Decisions adopted by the Hague Union Assembly, but not yet implemented:

Decisions adopted by the Hague Union Assembly	Implementation status as of December 2025	Additional clarifications from Hague Management
H/A/44/3 Prov., para. 17(iii) (August 2024): amendments to the Common Regulations with respect to Rule 14 and to the Schedule of Fees, as set out in Annexes I and II to document *H/A/44/2*, with a date of entry into force to be decided by the International Bureau.	The proposed amendments to the Common Regulations with respect to Rule 14 was not adopted.	Management notes that past delays were due to funding and competing priorities, but all rule changes (Creator Details, Rule 14, Rule 22bis) are now scheduled: Creator Details in early 2026, Rule 14 during 2026, and Rule 22bis in 2026–27.
H/A/41/2 Prov., para. 12(ii) (November 2021): amendments to Rule 15, Rule 22bis of the Common Regulations and the Schedule of Fees, as set out in Annexes II and IV of document *H/A/41/1*, with a date of entry into force to be decided by the International Bureau.	The proposed amendments to the Common Regulations with respect to Rule 22bis was not adopted.	Delays in implementing Rule 15, Rule 22bis and related fee changes were due to funding limits, hyper-care stabilization needs, and competing priorities. Planning and prioritization are now in place: Creator Details work is underway (completion expected 1st half 2026), Rule 14/15–related time-limit work is scheduled for 2026, and Rule 22bis (Late Priority) is planned for the 2026–27 biennium.
H/A/36/2 Prov., para. 9(ii) (December 2016): amendments to Rules 14, 21 and 26, and to the Schedule of Fees of the Common Regulations with a date of entry into force to be decided by the International Bureau. *H/A/36/2 Prov., para. 7* (December 2016): Discussions were based on document *H/A/36/1*.	The proposed amendments to the Common Regulations with respect to Rule 21 and 26 were not adopted.	Implementation of the 2016 amendments to Rules 14, 21, 26 and the Schedule of Fees was postponed due to insufficient project funding and post-launch hyper-care constraints. These rule changes—especially creator details—were deprioritized during the Hague Platform Project and later competed with urgent accessions and legal changes. They are now integrated into the Hague IT Steering Committee's planning cycle, with Creator Details scheduled for completion in early 2026, Rule 14 work planned for 2026, and Rule 22bis-related items for 2026–27.

4.15

Key Business Process: Outreach and Promotion

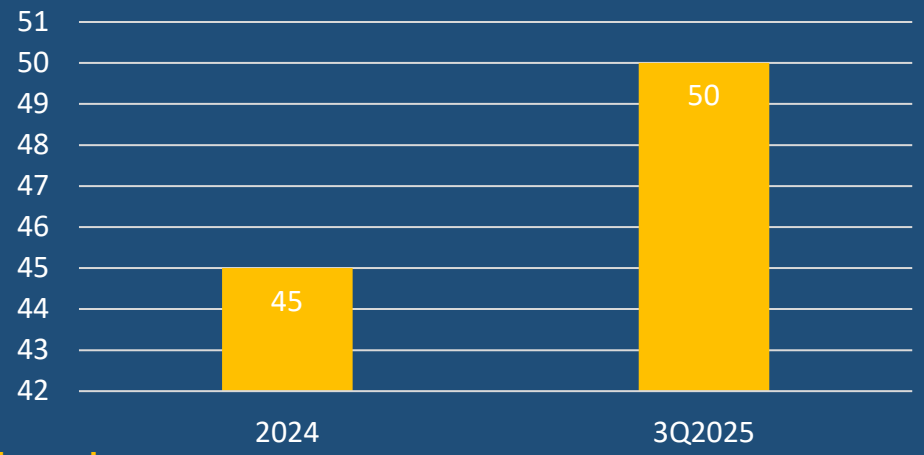
The Hague Information and Promotion Section (HIPS) is responsible for outreach and promotion activities to enhance accessibility and use of the Hague System for international design protection.

Key activities include:

- Targeted promotional campaigns and newsletters
- Development of promotional materials and case studies
- Collaboration with national IP offices and industry stakeholders
- Enhancements to online resources (e.g., Hague System webpage, eHague system, etc.)
- Market research, data analytics, and business development initiatives

E Outreach and Promotion in the Hague Registry

Outreach and Promotion Activities



Example:
100 Years of Design Protection
November 6, 2025
Location: The Hague, Kingdom of the Netherlands
Language: English
Format: Hybrid (in-person and online)



Cross-Sector Initiatives, reflecting a coordinated approach to enhancing user experience and operational efficiency across WIPO services

Hague promotion and outreach activities are cross-functional and cross-sectoral in nature.

Examples of collaboration:

Marketing and outreach for current members

- IP Portal Team and the Customer Experience Section: CRM Project, contributing to case management design, user training, and reporting frameworks.
- News and Media Division, Web Communications Section, and WIPO Brazil Office: implementation of a pilot digital marketing campaign targeting Brazil.
- Joint initiatives with Madrid, PCT, Finance, and SDDS on customer service frameworks, survey planning, and data governance.

Proactive analytics and outreach for potential members:

- Since 2022, collaborated with the Department for Economics and Data Analytics to build a data-driven framework (*Hague Diamonds Methodological Guidance*) for identifying and validating priority design filers, guiding targeted outreach and potential new-member engagement.
- In 2025, organized coordination meeting with ASIPI to explore collaboration opportunities for promoting Hague visibility in Latin America and encouraging new accessions.

CRM – Customer Relations Management
EUIPO - European Union Intellectual Property Office
PCT – Patent Cooperation Treaty
SDDS - Solutions Design and Delivery Section
ASIPI - Inter-American Association of Intellectual Property

4.16

Key Business Process: Customer Service

The Hague Registry is advised to closely monitor the progress of the CRM system development and ensure that the functionality for recording phone inquiries is fully integrated into the system.

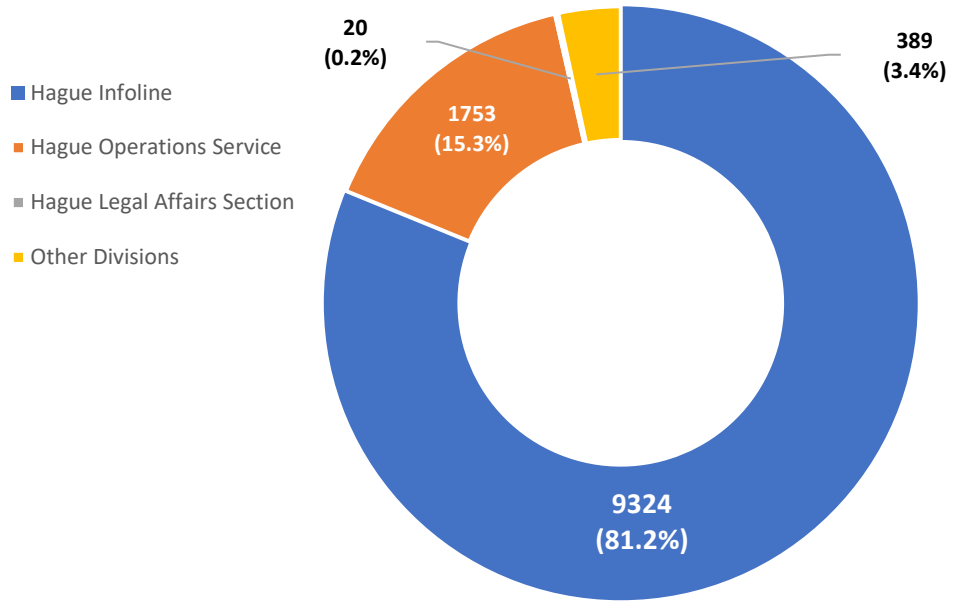
F Hague Customer Service

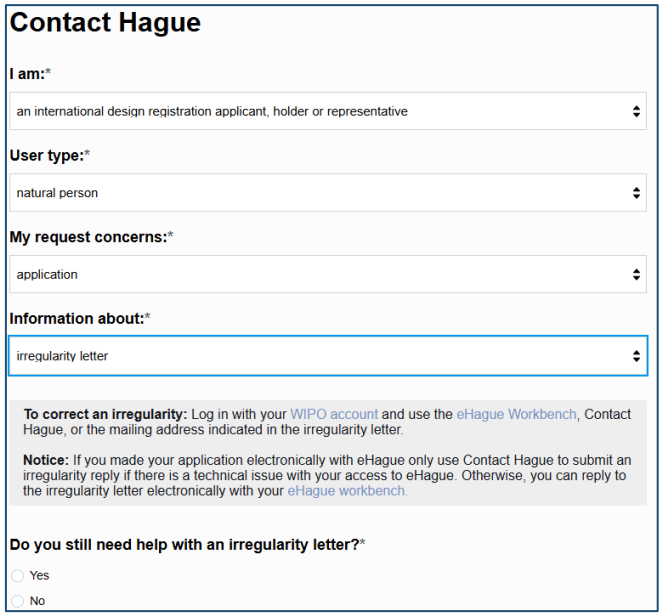
Overview of Hague Customer Service

The Hague Infoline Unit (HIU) manages the customer queries and provides functional support to users of the Hague System on the international registrations of designs and subsequent transactions. Customers can inquire about all Hague System services and transaction processes in English, French and Spanish by phone or through the contact form through website Contact Hague.

Distribution of WINS Tickets between Hague services and Other WIPO divisions

(January 2024 to October 2025)





Ticketing System

Hague Infoline Unit uses WIPO Inquiry Notification System (WINS) to record and distribute customer inquires. The Hague Contact form has an embedded logic structure that dynamically routes users to relevant resources or appropriate contacts. Currently, phone inquiries are only recorded when they are routed to other contacts for resolution. Phone inquiries that are resolved immediately are not recorded in WINS. The functionality of recording phone inquiries is foreseen in the new CRM system.

IOD checked the ticket resolution speed (January 2024 to October 2025):

- 10 965 (95.5%) tickets were solved within 1 day.
- 274 (2.4%) tickets were solved between 1 to 2 days.
- Only 55 (0.5%) tickets were closed over 5 days.

4.16.1

Key Business Process: Customer Service – User Satisfaction Survey

Finding 3	Medium

WIPO has no specific customer service training for the Hague Registry.

Recommendation 3

The Hague Registry, in cooperation with the WIPO Academy, should develop a dedicated customer-service training program tailored to the needs of Hague Registry staff. This program should include, among other elements, a module on establishing and maintaining an effective customer-feedback loop.

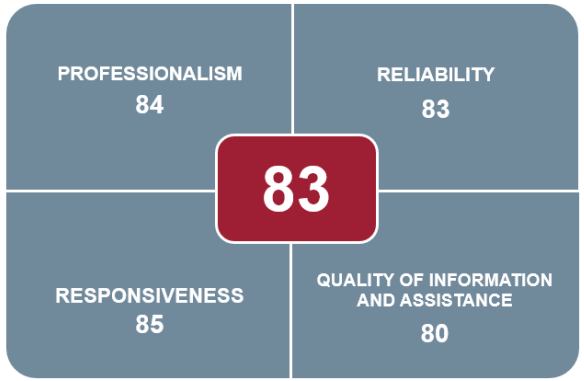
WePerform – WIPO Performance Management System.v

Hague Customer Satisfaction Survey

The Hague System Customer Satisfaction Survey is a survey conducted by WIPO's Customer Experience Section (CXS) to assess the satisfaction of users of the Hague international design registration system. It is one of several client-facing surveys carried out across WIPO (PCT, Madrid, Hague, Patent scope, etc.) and specifically targets users of Hague System services. The survey is based on structured CSAT (customer satisfaction index) metrics. Multiple question baskets are tied to the full user journey: filing, communications, information services, and online tools. The latest available survey covers years 2023-2024; however, preliminary 2025 results are already available, and the final report is expected to be delivered in Q1/2026.

Hague Customer Satisfaction Index*

CSI 2025



CSI 2023 - 2024



Taking the statistical uncertainty into consideration, the statistical variance is +/- 5,1. The true value of the CSI - 82 is between 76,5 and 86,7.

CSI 2021 - 2022



Taking the statistical uncertainty into consideration, the statistical variance is +/- 4,9. The true value of the CSI - 83 is between 78,4 and 88,1.

Feedback Loop

The Hague Registry is generally addressing some of the gaps identified in the survey through the workplan activities reflected in WePerform. However, no more detailed or stand-alone action plans were provided to IOD.

Customer Service Training

As corroborated with the Hague Registry and the WIPO Academy, WIPO has no specific customer service training for the Hague Registry.

Every year, the customer service training for Madrid Registry would open several seats for the Hague Registry, mainly for Hague Infoline Unit, the examiners from Hague Operation.

Hague Customer Satisfaction Survey 2023-2024 summary:

Top Positive Trends

- Core processing remains strong: High satisfaction with timeliness and clarity (around 91%), with a significant improvement in change-request processing (+10 points).
- User guidance improved: The Hague System Guide shows marked gains in consistency, clarity, and relevance (all around 90%).
- Staff interactions remain a strength: Consistently high satisfaction with politeness, expertise, and responsiveness.

Key Areas of Concern

- Information resources declined: Overall satisfaction dropped significantly (86% → 79%), especially among high-volume filers.
- Usability issues in online tools: Clear drops in instructional clarity, My Workbench UI consistency, and Hague Express search clarity.
- Formality-support weaker: Satisfaction with support for meeting formality requirements fell significantly (93% → 83%).

4.17

Risk Management Process

- WIPO RM Framework: For the explanation and review of components of the framework, refer to WIPO Risk Handbook
- WIPO Risk Appetite Statement – The document explains the amount and type of risk WIPO is willing to take to meet its strategic goals and expected results. Link.
- ERM - A central repository to log, track, and manage risks.
- Sector Risk Coordinators (SRC) coordinate with Sector Leads, Managers, and the central risk team in the Office of the Controller to keep risks and response actions up-to-date in the ERM system. Here is a listing of SRCs.

Analysis of Risk Management Steps

WIPO RM Framework

Managing Risk: Steps

RM Steps	The Hague Registry "As is"	Done?	Documented?
1. Identification	Risks have been identified in coordination with the Sector Lead and Governance, Risk and Compliance (GRC) section, taking into account the Expected Results and performance indicators.	Yes	Yes
2. Analysis	The likelihood and impact of risks have been analyzed with the help of the WIPO risk heat map, in consultation with the Governance, Risk and Compliance Section.	Yes	
3. Response	The review of processes showed the Hague Registry's ability to respond to key risks adequately. Steps to mitigate or avoid identified risks are detailed in the Enterprise Risk Management (ERM) system. Some risks are also avoided or accepted in line with the WIPO Risk Appetite Statement.	Yes	
4. Reporting	As per WIPO Risk Handbook, Risk Owners and Response Action Owners, with the support of their Sector Risk Coordinators, the key risks of the Hague Registry are recorded and registered in the ERM system.	Yes	
5. Monitor & Review	Key risks and response actions are regularly discussed and reviewed during meetings with WIPO senior management and GRC, which helped the Hague Registry be up-to-date on existing and emerging risks.	Yes	

Overall, management knows the WIPO RM Framework and its application. Risks are identified and analyzed, and adequate risk responses are developed to reduce risks to an acceptable level. Key Hague Registry risks and controls are presented on the next slide.

4.17.1 Key Risks and Controls

Redacted

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4.18 Business Continuity Management

Business Continuity Plan (BCP)

The Business Continuity Coordinator (BCC) develops the Business Continuity Plan (BCP) in close collaboration with the Hague Registry's management and other relevant stakeholders.

The Hague Registry is responsible for maintaining the plan and may request support from the BCC as needed.

The BCC conducts an annual follow-up with the Head of the Hague Registry to review the implementation status, obtain an updated version of the plan, or provide assistance upon request.

The plan is updated regularly throughout the year to address preparedness gaps identified by managers and to incorporate changes resulting from new developments. In addition, a formal, structured review of the plan is carried out annually.

Last BCP update:
September 30, 2025.

Redacted

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4.19

Tools and Systems

Key System Controls

How is access to systems protected?
Controls: WIPO strong authentication across Hague online services.

How is premature public disclosure of designs protected?
Controls: Deferred publication options in Hague (immediate, 12-month standard, or up to 30 months subject to domestic laws).
Source: Guide to the Hague System *rule 16(1)*

How is the Hague System protected from service outage impacting filing / publication lifecycles?
Controls: WIPO ICTD continuity & resilience responsibilities at enterprise level.

How is the Hague System protected from Cybersecurity Threats?
Controls: mitigated by SIAD driven security controls and ICTD implementation.

ICTD – Information and Communication Technology Department

SIAD - Security and Information Assurance Division

Tools and systems to support Hague Registry operations

Hague System – Core Business Operations Tools

Tools directly supporting examination, processing, publication, customer service, and other operation needs of the Hague System.

eHague - Online platform for filing international design applications and managing subsequent transactions.

Hague Document Upload Tool – Secure interface allowing applicants and holders to submit supporting documents electronically

Hague Back Office – Internal processing system used by Hague Registry for formalities examination, workflow management, notifications, and publication preparation.

International Designs Bulletin - Electronic publication platform where international design registrations, renewals, and amendments are published.

Global Design Database - Public search tool providing access to design data from WIPO, participating national/regional offices, and Hague registrations.

WIPO Inquiry Notification System - Ticketing and case-tracking system for managing customer queries, complaints, and support interactions.

WIPO Pay – Payment platform used to process fees for Hague applications, renewals, and related transactions .

WIPO IP Portal Account – Authentication and user-account management for applicants, representatives, and stakeholders accessing Hague services.

Organization-wide Daily Management & Support Tools

Hague Registry has access to all main Tools and Systems utilized at WIPO to support daily management.

AIMS - Administrative Integrated Management System

TRESORIT – Cloud storage platform with end-to-end encryption

WePerform – budgeting and performance management software.

Office365 - product family of productivity software, collaboration and cloud-based services owned by Microsoft.

Acknowledgement

IOD wishes to thank all relevant colleagues for their assistance, cooperation, and interest during this assignment.

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Annexes

ID	Description
Annex I	Rating of Engagement Conclusions, Significance of Findings, And Rating of Controls and Residual Risks

ANNEX I: RATING OF ENGAGEMENT CONCLUSIONS, SIGNIFICANCE OF FINDINGS, AND RATING OF CONTROLS AND RESIDUAL RISKS

Engagement Conclusion	Definition
Satisfactory	• The assessed governance arrangements, risk management, and controls were adequately established and functioning well. • Issues identified by the audit, If any, are unlikely to affect the achievement of the objectives of the audited entity/area.
Satisfactory, Some improvement needed	• The assessed governance arrangements, risk management practices, and controls were generally established and functioning, but need some improvement. • Issues identified by the audit do not significantly affect the achievement of the objectives of the audited entity/area.
Partially satisfactory, Major improvement needed	• The assessed governance arrangements, risk management practices, and controls were established and functioning but need major improvement. • Issues identified by the audit could significantly affect the achievement of the objectives of the audited entity/area.
Unsatisfactory	• The assessed governance arrangements, risk management practices and controls were not adequately established and not functioning well. • Issues identified by the audit could seriously compromise the achievement of the objectives of the audited entity/area.
N/A	• Not Applicable.

Engagement Finding Significance	Definition
Low Significance	Matters and/or findings considered to be of **minor importance** to the maintenance of internal control, compliance, good corporate governance, or good practice for processes. Findings raised may also relate to matters warranting consideration for improving the efficiency of existing processes subject to availability of specified resources or technology.
Medium Significance	Matters and / or findings considered to be of **importance** to maintenance of internal control, compliance, good corporate governance or good practice for processes. Findings raised may also relate to matters warranting consideration for improving the efficiency of existing processes subject to availability of specified resources or technology.
High Significance	Matters and / or findings considered to be **fundamental** to maintenance of internal control, compliance, good corporate governance, or good practice for processes. The matters and / or findings should be subject to agreed remedial action either immediately or within three (3) months from date of issue of final report to management.

Effectiveness of Controls and Residual Risk Rating: The Residual Risk Ratings in the table below are driven by the combination of Inherent Risk (the level of risk before the effect of mitigating controls) and the Effectiveness of Controls.

		Inherent Risk			
		Low	Medium	High	
Control Effectiveness	Not Effective	Low	Medium	High	Residual Risk
	Partially Effective	Low	Medium	High	
	Effective	Low	Low	Medium	

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