



Internal Oversight Division

Reference: IOD-INV-2019-03

Management Implication Report

June 27, 2019

TABLE OF CONTENTS

LIST OF ACRONYMS..... 3

1. FACTS..... 4

2. ISSUES..... 4

 (A) LACK OF CENTRALIZED RECEIPT, MONITORING AND OVERSIGHT IN
 CUSTOMER SERVICE..... 4

 (B) NEED FOR UNIFORM POLICIES AND CLOSER COORDINATION ON CUSTOMER
 SERVICE..... 5

 (C) PENDING RECOMMENDATIONS FROM PAST OVERSIGHT WORK..... 6

3. RECOMMENDATIONS..... 7

LIST OF ACRONYMS

AMC	Arbitration and Mediation Centre
CSS	Customer Service Section
IOD	Internal Oversight Division
OPS	Operations Division
PCT	Patent Cooperation Treaty
UX	User Experience
WINS	WIPO Inquiry Notification System
WIPO	World Intellectual Property Organization

1. FACTS

1. During investigative activities earlier this year, the Internal Oversight Division (IOD) found that:

(a) On at least two occasions, a client of the Madrid Registry submitted a query to the Income Section of the Finance Division, following a payment recorded by WIPO under the wrong registration number. However, despite an automated acknowledgement of receipt message, the client received no further response or follow-up for over 80 days;

(b) The WIPO Inquiry Notification System (WINS) ticketing system – utilized by several WIPO customer service teams to manage queries – indicated that the relevant query had been received by the Madrid Infoline but had not been subsequently transferred to the Finance Division for action. The query had remained in a WINS queue called “Finance incidents”;

(c) As at February 25, 2019, there were 46 unattended tickets in the “Finance incidents” queue plus an additional 32 unattended tickets in the “For finance” queue and 20 unattended tickets in the “for OPS” queue;

(d) It further appeared that the Madrid sector had sole access rights to the abovementioned queues. As such, the tickets were not accessible or known to the Finance Division;

(e) According to the Finance Infoline, the correct queue to transfer tickets to the Finance Division was “Finance: Infoline” (instead of the “Finance incidents” queue);

(f) The Madrid Infoline explained that the problems were associated with queues in Madrid’s WINS system that were created at some point for specific projects. These queues, which were not meant to be permanent, had been named in a confusing manner (e.g. “for Finance” and “for OPS”) and at the time, were not being monitored or managed by either Madrid Infoline Unit or Madrid Operations Division; and

(g) The Customer Service Section (CSS), Communications Division¹, mentioned that it was possible that some Madrid agents had moved tickets into those queues, mistakenly believing that Finance would monitor them.

2. ISSUES

(A) LACK OF CENTRALIZED RECEIPT, MONITORING AND OVERSIGHT IN CUSTOMER SERVICE

2. The customer service structure in WIPO involves relevant teams in the following business areas (hereinafter “sectors”): Madrid, Hague, Finance, Patent Cooperation Treaty (PCT), Arbitration and Mediation Centre (AMC), Lisbon and CSS.

3. Since its development in 2009, the WINS system has been progressively utilized to manage external queries. Each sector has separate and distinct *ad hoc* “contact us” forms on the WIPO website, and most of them also maintain unique customer service phone numbers. Upon submission of queries through a contact form, customers are automatically redirected to

¹ Subsequent to the investigative activities, the Communications Division was restructured, with CSS falling under the newly created Marketing and Customer Service Division.

an acknowledgement of receipt page summarizing the submitted query and are sent an automated receipt e-mail that includes a ticket number that can be tracked.

4. Under the WINS system, queries received are automatically processed and transmitted to the appropriate sector or team within each sector. Some sectors have a single point of receipt/contact (e.g. Hague, Finance) while others have multiple teams that are directly able to receive and manage tickets falling under their area of responsibility. Each sector maintains its own queue(s) in the WINS system for receiving/tracking tickets. The system allows for multiple queues, which can be created by authorized personnel and are managed by different teams within each sector;

5. Overall, there are currently 371 WINS queues maintained in WIPO. A breakdown by sector is as follows:

Sector	No. of WINS queues
Buildings	24
CASE Support	3
Copyright Institutions Support Section	1
Customer Service section	14
DAS Support	3
External office Singapore	1
Finance	98
IPAS	30
Lisbon Registry	22
Madrid Registry	158
The Hague Registry	16
WIPO	1
Total	371

6. The PCT, however, does not use WINS but rather relies on e-mail systems.

7. Due to the various “contact us” forms and IT platforms, multiple points of ticket/query receipt, large number of queues, and diverse sectors and teams responsible for managing the queues and addressing those tickets, there is an inherent risk of queries and customer service requests being lost or not being addressed in a timely manner.

(B) NEED FOR UNIFORM POLICIES AND CLOSER COORDINATION ON CUSTOMER SERVICE

8. CSS maintains Customer Service Routing Tables, which list the appropriate focal points in the different sectors of the customer service structure, as well as their contact details and opening hours. The Madrid Infoline maintains internal standard operating procedures and guidelines, which deal with mechanisms on how to handle a query, how to address a matter and whether it needs to be referred or escalated internally or externally.

9. Despite such efforts, there have been insufficient discussion and interaction among the different sectors and teams in monitoring those queries and in developing policies and training across the WIPO customer service structure. This has resulted in decentralized governance and lack of coherence in practices related to referrals tracking and their timely resolution, affecting customer service amongst the various sectors.

(C) PENDING RECOMMENDATIONS FROM PAST OVERSIGHT WORK

10. Some of the aforementioned issues had been identified and raised in IOD's audit report IA 2015-07 dated November 10, 2015, which contained a number of related recommendations. As of April 2, 2019, the following seven recommendations had yet to be implemented and remained open, namely that the Communication Division should:

- (a) Consult with the Office of the Director General and other relevant Programs to develop a customer service strategy that would serve as the overarching guide for WIPO customer service initiatives;
- (b) Work with other customer service units to develop a formal policy on managing customer service complaints, including uniform documentation and retention standards;
- (c) Consult with other customer service units, and the Information and Communication Technology Department, to assess and propose changes to the current customer services IT infrastructure with a view to aligning tools/applications and enhancing the IT configuration to improve customer service delivery across the board;²
- (d) Work with other customer service units to develop a customer service framework by integrating existing and new objectives and policy/procedures, such as common quality assurance and training/development standards;³
- (e) Consult with other customer service units to assess the benefits of/develop a plan to implement feedback mechanisms such as instant surveys, fora and focus groups, and develop a tool to monitor and report on the status of implementation of customer feedback received from surveys;
- (f) Cooperate with other customer service units to develop a plan and schedule for implementing activities to improve customer relationship management; and
- (g) Work with other customer service units to develop performance metrics to measure achievement of objectives/standards set in the WIPO Service Charter.

² The Marketing and Customer Service Division notified IOD on June 25, 2019, that the alignment of the main IT tools currently used in customer services, namely ticketing and phone call routing systems, are being addressed, respectively by the Customer Service Solution Working Group and the ICTD/Infrastructure Service Section in cooperation with the Marketing and Customer Service Division.

³ The Marketing and Customer Service Division notified IOD on June 25, 2019, that a new Customer Satisfaction Framework has been approved by the Customer Service Board and is being implemented by the Marketing and Customer Service Division, in close cooperation with the relevant sectors.

3. RECOMMENDATIONS

11. In view of the foregoing, IOD recommends the following, while reminding that seven recommendations made in audit report IA 2015-07 remain outstanding and should be implemented as soon as possible:

Recommendations

1. The Marketing and Customer Service Division should coordinate with customer service teams across the Organization, and in particular the global IP service ones, to develop and implement revised customer service procedures, to simplify and streamline the contact forms and routes available on the WIPO website.
2. The Marketing and Customer Service Division should coordinate with customer service teams across the Organization, and in particular the global IP service ones, to put in place a centralized monitoring system with a designated team to be responsible for:
 - (a) monitoring and addressing unattended queries while ensuring that unclear queries are escalated to CSS for proper advice;
 - (b) identifying and closing unused or unnecessary queues or folders; and
 - (c) ensuring quality assurance, including monitoring and updating the correct use of ticket/query handling processes and procedures, regularly tracking and reporting on the ageing of tickets, identifying any anomalies and engaging in cross-sector awareness and training activities.

(Importance: High)

Prepared by: Hyung Tae (Mike) Kim, Senior Investigator, Investigation Section/IOD

Reviewed by: Patrice Sam, Head, Investigation Section/IOD

Approved by: Mr. Rajesh Singh, Director, IOD