

Assemblies of the Member States of WIPO

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IAOD VALIDATION REPORT FOR THE PROGRAM PERFORMANCE REPORT 2008/09

prepared by the Secretariat

1. The present document contains the information on IAOD Validation Report for the Program Performance Report 2008/09 (document WO/PBC/15/5), which is being submitted to the WIPO Program and Budget Committee (PBC) at its fifteenth session (September 1 to 3, 2010).
2. The recommendation of the PBC in respect of this document will be included in the "Summary of Recommendations Made by the Program and Budget Committee at its Fifteenth Session Held from September 1 to 3, 2010" (document A/48/24).

3. *The Assemblies of the Member States of WIPO and of the Unions administered by it, each as far as it is concerned, are invited to approve the recommendation of the Program and Budget Committee made in respect of document WO/PBC/15/5, as recorded in document A/48/24.*

[Annex follows]



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Program and Budget Committee

Fifteenth Session

Geneva, September 1 to 3, 2010

IAOD VALIDATION REPORT ON THE PROGRAM PERFORMANCE REPORT FOR 2008/09

prepared by the Secretariat

1. The Validation Report on the Program Performance Report has been prepared by the Internal Audit and Oversight Division (IAOD) to provide support to ensuring the reliability and authenticity of the WIPO Program Performance Report for 2008/09 (document WO/PBC/15/4). The Validation Report provides IAOD's main findings, conclusions and recommendations arising from the validation exercise.

2. *The Program and Budget Committee is invited to recommend to the Assemblies of the Member States of WIPO to take note of the contents of the present document.*

[Appendix follows]



INTERNAL AUDIT AND OVERSIGHT DIVISION

EVALUATION REPORT

VALIDATION OF THE 2008/2009 PPR

IAOD/EVAL/2010/1

JUNE 4, 2010

TABLE OF CONTENTS

	<i>Page</i>
INTRODUCTION	3
I. BACKGROUND	7
II. METHODOLOGY	9
III. FINDINGS	12
OVERALL FINDINGS	12
COMMENTARY ON THE SPECIFIC FINDINGS BY CRITERIA	14
VALIDATION PROCESS	18
IV. CONCLUSIONS	18
V. RECOMMENDATIONS	22
APPENDICES	24
I. VALIDATION APPROACH PAPER	
II. TERMS OF REFERENCE FOR VALIDATION EXERCISE	
III. LIST OF MEETINGS AND PARTICIPANTS	
IV. SUMMARY OF FINDINGS TABULAR FORM	
V. PPR VALIDATION APPROACH - FAQ PAPER	

LIST OF ACCRONYMS USED

ERS	EXPECTED RESULTS
IAOD	INTERNAL AUDIT AND OVERSIGHT DIVISION
MTSP	MEDIUM TERM STRATEGIC PLAN
P&B	PROGRAM AND BUDGET
PD	PERFORMANCE DATA
PIS	PERFORMANCE INDICATORS
PMPS	PROGRAM MANAGEMENT AND PERFORMANCE SECTION
PMSDS	PERFORMANCE MANAGEMENT AND STAFF DEVELOPMENT SYSTEM
PPR	PROGRAM PERFORMANCE REPORT
RBM	RESULTS-BASED MANAGEMENT
SMT	SENIOR MANAGEMENT TEAM
SRP	STRATEGIC REALIGNMENT PROGRAM
TLS	TRAFFIC LIGHT SYSTEM
TORS	TERMS OF REFERENCE
WIPO	WORLD INTELLECTUAL PROPERTY ORGANIZATION

INTRODUCTION

1. This is the second validation exercise conducted against the 2008/09 Program Performance Report (PPR). The aims of the exercise are to provide an independent verification of the reliability and authenticity of information reported to Member States, and to help raise the quality of reported performance data within the context of WIPO's Results-Based Management (RBM) approach.
2. Last year a 'trial' exercise took place, midway through the Biennium, with the emphasis on lesson-learning and with the involvement of half the number of programs. This year a sample Expected Result was selected from all 29 programs and, in contrast with the first exercise, findings were attributed to each of the programs. In line with the agreed Validation Approach and Terms of Reference for this exercise the performance measures and quality of reported data were assessed against eight criteria: relevance and value; sufficiency; accessibility of data; consistency; accuracy and verifiability; timeliness of reporting; clarity; and accuracy of the Traffic Light System. Two additional questions were asked to elicit key information relating to ownership of the performance measures and the extent to which performance data were used for internal monitoring purposes.
3. Some of the findings in this exercise, which relate to performance measures, mostly developed in 2007, have been overtaken by events. The 2010/11 Program and Budget (P&B), which was approved before the start of this exercise, contains significant improvements in the selection and framing of results and indicators, and in the emphasis it places on the identification of appropriate targets and baselines. Additionally, the many organizational changes that have taken place since the first validation exercise are having a beneficial impact on the maturing of the RBM approach and on the raising of planning, monitoring and reporting standards. The findings and conclusions in this report should be seen to be complementing and reinforcing the decisions and direction already being taken in relation to performance management and measurement. They are intended to provide practical assistance to the planning of the P&B for 2012-2013, the further improvement of an effective performance measurement and, possibly, to the development of the Medium Term Strategic Plan (MTSP).
4. All PPRs were validated fully and on schedule, thanks to the efforts of managers responsible for completing the individual reports and the Program Management and Performance Section (PMPS) in helping to review them before finalization. It was not possible to review the whole of the consolidated PPR as it had not been prepared before validation field work was completed.

MAIN FINDINGS

5. The most consistent strengths reflected in the findings of the exercise are the accuracy and verifiability of the performance data. Other areas which revealed a large proportion of strengths, but some significant limitations were: the sufficiency and comprehensive of reported data; the accessibility of data and the efficiency of its collection; the accuracy of the self-assessment of achievement under the Traffic Light System; and the clarity of reporting.
6. More extensive data limitations, revealed in nearly two-thirds of the results validated, related to the relevance and value of the indicators and the accompanying data. Closely connected with this finding are the responses that revealed that just less than two-thirds of the managers interviewed felt that they did not significantly 'own' the performance

measures, which had mostly been inherited from predecessors or agreed at a higher level. These findings of lack of ownership and of relevance and value largely inform the main conclusions and recommendations for future action.

7. The findings in relation to the two remaining criteria are not regarded as significantly affecting the conclusions and recommendations in this report. Firstly, any lack of consistency and comparability of indicators and data over the longer term can be seen in a positive light, since they are a result of weaker indicators being discontinued, replaced and improved. Secondly, although it came out 'highest' in compliance with the criterion, the timeliness of reporting is almost entirely a reflection of the shortfall in demand for routine internal reporting of performance, except for those programs and results which have significant financial implications or otherwise have a high profile. Reporting of performance was mainly carried out externally and, necessarily in a timely manner, to conform to the reporting requirements of the Performance and Budget Committee and other committees.
8. The finding that the performance measures contained in the P&B are primarily utilized for purposes of accountability to Member States through the PPR is underlined by the final finding that only just over a fifth of respondents reported that performance indicators (PIs) and data were used for internal business management and monitoring purposes.

CONCLUSIONS

9. The main conclusion that follows from the above findings is that data quality will improve most when the objectives, results and indicators contained in the Biennium P&Bs are used more routinely for internal business management and monitoring purposes by senior and other managers.
10. As stated, the quality of performance measures has been raised considerably since 2007, when the 2008/09 P&B was planned. They will also undoubtedly improve with the continuing implementation of the organization's current planning and performance initiatives: the nine Strategic Goals; the second phase of the Strategic Realignment Program (SRP); the forthcoming MTSP and the future possibility of improved medium term financial planning; the Performance Management and Staff Development System; quarterly reporting and work planning requirements, both linked to results and indicators in the P&B; and the one-to-one coaching and support already provided through the PPR process and identified as a priority in the development of the next P&B.
11. Other more specific conclusions focus on five areas: planning; monitoring; reporting; organizational support and the validation exercise itself. These are:

Planning:

- The development of stronger objectives, results and indicators will benefit from the inclusion of specific expectations of Member States, customers and stakeholders about what progress and success they would like to see over the two year period. The performance framework needs to become less complex and extensive. A "balanced scorecard" approach may be appropriate at the corporate level;
- A closer involvement of program teams in the development of performance measures on a collaborative basis will ensure a more sustainable level of

'ownership', even when changes are subsequently made at the management level;

- More challenging and ambitious objectives, results and targets can be considered when assumptions and predictions of risk are incorporated into the planning process. This is especially important for the major risks identified which may prevent achievement of the nine strategic objectives. Later these may justifiably be referred back to if planned outcomes are not achieved;
- (PIs) are often severely limited by the absence of recording and reporting mechanisms which would enable relevant data to be more easily accessed and more efficiently collected, preferably in 'real time'.

Monitoring:

- The reporting of progress against Expected Results (ERs) and PIs on a quarterly basis will help to improve and refine performance measures, as it becomes increasingly evident which ones are meaningful and valuable for routine, internal monitoring purposes. This may pose practical problems given the complexity of the current performance framework;
- Similarly, as results and indicators are utilized more regularly, it will become clearer how they can be better differentiated so that they are relevant for monitoring at different levels: by strategic objective for the Director General and Senior Management Team (SMT), by Member States through the PPRs, and also, again, in relation to the higher, strategic goals;
- At some point, the shifting emphasis being placed on the reporting of progress against outcomes and results, rather than inputs and activities, might usefully be supported by the incorporation of a simple, analytical monitoring tool in the quarterly reports that provides a 'snapshot' of progress being made against specific targets, possibly on an exceptional basis.

Reporting:

- Care needs to be taken that the Traffic Light System (introduced by IAOD for the 2006-2007 PPR) does not influence planning and reporting in a "perverse" and "unforeseen" way, by putting too much emphasis on "greening" the PPRs, with the result that lower levels of full achievement against "soft" targets are prized above partial, yet more valuable achievements, measured against more demanding objectives and targets.

Organizational support:

- The RBM framework and the reporting of quality data will improve as the organization settles into a more stable period with greater continuity of programs and staffing, and with those managers responsible for selecting program objectives and predicting achievable results and targets more frequently remaining in post to be accountable for results at the close of the Biennium;
- In line with the commitments to customer service contained in the SRP, programs which want to use customer feedback as a measure of the quality of service provided will be better supported by the cross-program coordination and

commissioning of surveys and other mechanisms. Measures relating to feedback are too frequently undermined by the absence of systems and resources to collect data at an individual program level.

Future validation exercises:

- For the validation of the next Biennium's PPR, a random selection of sample ERs will be less-time consuming and more representative of the quality of data being reported than the application of screening processes that filter out poorer performance measures which currently can not be validated;
- A clear and agreed timetable for the finalization of the PPR will help ensure that sufficient time is given for both processes to be carried out consecutively rather than concurrently and will in the future include review of the full final PPR.

RECOMMENDATIONS

12. In the light of the major initiatives that are currently being implemented in WIPO, recommendations have been kept to a minimum in the expectation that the quality of performance measures, data and reporting will be heavily influenced and significantly enhanced by the structures and systems already being introduced or considered (e.g. the MTSP).
 - a. The clear and explicit reporting of progress, using the performance measures in the P&B, should be incorporated in routine quarterly reporting to the SMT. However, this may be difficult at the present time given the complexity of the current performance framework. A priority should be given in this Biennium to evaluating closely the quality and appropriateness of these measures with a view to identifying fewer and more meaningful objectives, indicators and targets for the following Biennium. For the MTSP a "balanced scorecard" approach may be very beneficial; *(for the SMT)*
 - b. During the process of planning for the 2012/13 P&B:
 - (i) In order to encourage more dynamic and challenging performance measures, the explicit identification of assumptions and risks that will affect the achievement of results should be recorded alongside the specific objectives, indicators and targets; *(for the PMPS)*
 - (ii) Customer feedback as a useful qualitative measure of performance should be agreed only when adequate systems for supporting the collection of data are available, preferably coordinated by a central unit. *(for the PMPS and SMT Champions for Customer Service Orientation)*
 - c. For future validation exercises:
 - (i) Given the greater experience of the validation process now acquired by managers, and the improvements seen in the practical possibilities of validating the ERs, sample ERs should be selected on a random, rather than a screened, basis to be able to have a truer representation of the quality of reporting; *(for IAOD)*
 - (ii) The detailed timetable for finalizing individual PPRs and the overall PPR, should be set out; *(for PMPS)*

- (iii) It is not proposed to carry out a validation exercise for the interim 2010 PPR of the 2010-2011 P&B. The performance framework is currently designed for a biennial view of performance and a validation of the interim results is not likely to be fully useful. Should detailed budgeting and the performance framework become annual, this policy will be revised.
(for IAOD)

I. BACKGROUND

13. The Terms of Reference (ToRs), attached in *Annex 2*, provide details of the rationale, purpose and scope of the validation exercises in the context of WIPO's RBM approach. In essence, these exercises are designed to provide an independent assessment of the authenticity and reliability of performance data that are reported to Member States through the PPRs.

First Validation Exercise – 2009

14. The first, 'trial' exercise took place between March and April 2009 to validate the 2008 PPR at a half-way stage in the Biennium cycle. The emphasis was placed on lesson-learning, rather than accountability, with a view to maximizing the development of key skills required for an effective RBM approach. A total of only 15 programs were involved in this exercise because of unexpected staff shortages in the Evaluation Section.
15. The principal recommendations of this first exercise, based on the findings and conclusions, were:
 - a. As part of the planning cycle for the next Biennium and the Medium Term Strategic Plan (MTSP), consideration should be given by senior management to carrying out a review of the extent to which current monitoring systems need to be strengthened in order to integrate the RBM approach more fully as a routine, day-to-day management function.
 - b. The quality of reporting data will be immeasurably increased with a more highly visible participation of supervising managers providing monitoring support to implementing managers. Particular attention should be paid to the offering of guidance in the selection of results and indicators and their direct linkages with higher strategic goals, and also in the active monitoring of progress on a regular basis.
 - c. The organization will do well to maintain its support for implementing managers in the practical benefits of understanding and valuing the RBM approach, not only for their increased ability to recognize and communicate progress and achievements to various stakeholders, but also in their role of increasing their day-to-day management skills.
 - d. Additional practical support should also be considered in the following areas:
 - (i) Making more technical assistance available for the development of computerized data collection, analysis and reporting tools;
 - (ii) Coordinating the collation of user feedback of relevance to multiple programs;
 - (iii) Maintaining the availability of one-to-one training and support in relation to good practice in the identification and framing of appropriate objectives, results, indicators and targets, baselines, benchmarks, milestones, risks and assumptions, etc.;
 - (iv) Producing a monitoring tool for capturing data relating to progress against selected indicators, that can be used for reporting to senior management and stakeholders on a regular basis.

Second Validation Exercise – 2010

16. The timing of this second exercise was arranged so that final versions of PPRs for the 2008-2009 Biennium could be assessed for their authenticity and reliability. The main differences from the first exercise can be summarized as:
 - a. All 29 programs have been included in the exercise.
 - b. The selection of ERs has been carried out against objective criteria whereas they were jointly selected with implementing managers in the first exercise, to identify those which would serve to maximize lesson-learning.
 - c. Preliminary meetings have been arranged with members of the SMT to provide a briefing on the exercise and to solicit their views on what outcomes would likely be most useful to them.
 - d. An emphasis has been placed more on accountability than lesson-learning, with findings being attributed to each individual program. (*See Annex 4*).

Organizational context

17. This validation exercise is one of several initiatives aimed at strengthening the RBM approach in WIPO. Since the first exercise there have been clear signs of an impressive improvement in the quality both of reporting and of the selection of performance measures. Significant influences, starting from the program level, have included:
 - a. The efforts being made to link workplans at all levels with the specific objectives, results and performance measures in the P&B.
 - b. The recently instituted requirement of quarterly reporting, which provides an opportunity for routine monitoring and evaluation of progress and a closer involvement of the Senior Management Team in program performance management.
 - c. The current format for the P&B that underlines the need for baselines and targets, and the efforts that are being made to encourage managers to apply more specific measures designed to reflect progress against outcomes in preference to outputs and activities.
 - d. The development of the Performance Management and Staff Development System, with a RBM module as a key component, and the intention of aligning individual performance assessment with programmatic and institutional objectives.
 - e. The development of Self-Evaluation and Independent Evaluation Guidelines which support and complement the developments of RBM and WIPO's performance management initiatives.
 - f. The planned introduction of a Medium Term Strategic Plan structured around the nine Strategic Goals and related Strategic Outcomes which will enable shorter-term Biennial planning to be done within a longer-term, more strategic context-offering greater opportunities for monitoring and evaluating the impact of WIPO's services.
 - g. The recent publication of the roadmap for the second phase of the SRP, with 'Accountability for Results' as one of its four core values.

- h. At the highest level, the identification of 9 Strategic Goals and the work being done to identify accompanying, relevant corporate indicators that will enable corporate progress to be measured and success to be communicated at the most strategic level.

II. METHODOLOGY

18. Full details of the objective, scope and processes incorporated into the design of this validation exercise can be found in the Validation Approach paper dated 26th January 2010 (see *Annex 1*) and the Terms of Reference (see *Annex 2*).

Information presented in advance

19. The following information was circulated or presented prior to the start of the Exercise:
- A memorandum dated 21st December 2009 and sent to Program Managers and others from Mr. Sundaram, ADG Administration and Management.
 - A memorandum dated 27th January 2010 and sent to Program Managers and others from Mr. Treen, Director, IAOD.
 - 'The Independent Validation Approach for Program Performance Reports' dated 26th January 2010.
 - A Frequently Asked Questions Paper on the PPR Validation Approach dated January 2010
 - A further memorandum dated 10th March 2010 and sent to Program Managers and others announcing the start of the validation exercise
 - A presentation by the Evaluation Section on the Validation of the 2008/09 PPR on 18th March 2010.
20. The validation exercise was initiated with a series of meetings that were held between the Validation Team and members of the SMT. The purposes of these meetings were to brief the SMT on the validation exercise and to provide an opportunity to identify potential uses of the Exercise in their role on the SMT.
21. The opportunity was presented for those likely to be involved in the Validation Meetings to arrange for individual briefing meetings with the External Validator. This was aimed particularly at those who had not been involved in the first exercise and who were unable to attend the presentation. One manager took up this opportunity.

Selection of sample results

22. In contrast to the first validation exercise, all programs were involved in this second exercise. The sample nature of the exercise this time around consisted of the selection of a single Expected Result (ER) from each program.
23. Out of a total of 140 ERs, 29 or just over 20% were able to be selected for validation. Out of a total of 259 PIs, 66 or just over 25% were able to be selected.
24. The process for selecting results as laid down in the Validation Approach paper included the following stages:

- a. A review of all ERs in the 2008/09 PPR against seven criteria for 'Good Performance Measures': relevant, attributable, well-defined, timely, reliable, comparable and verifiable.
 - b. An assessment of all ERs against these criteria with each being classified as falling into one of the following three groups: those that fulfill the good performance criteria; those that partially fulfill the criteria; those that do not fulfill the criteria.
 - c. All ERs that fully or partially fulfilled the seven good performance criteria were then expected to qualify for the second screening round.
 - d. In the second screening round one ER was to be selected for which 'most significant changes' had been registered.
 - e. The selected ER, with its accompanying PIs, was to be notified to all program staff in advance.
25. In the event, these screening processes proved largely impractical, for the following reasons:
- a. The 'good performance measures' apply more particularly to PIs, rather than ERs, and the time required to apply them systematically to 259 PIs proved unfeasible.
 - b. It was difficult to apply some of the criteria, such as timeliness, reliability and verification, without embarking on the validation exercise itself.
 - c. There was no registration or objective standard provided to assess which ERs were likely to lead to most significant changes.
26. A more pragmatic approach was applied, which relied on the following assessments:
- a. Those ERs and PIs that relied on measures that appeared difficult or impossible to validate were screened out, where others in the program's PPR were available. Examples of these were:
 - (i) the use of feedback as a general measure, when, from the supporting data, there is an absence of any specific data or suggestion of any system for recording, collecting or analyzing this feedback
 - (ii) where PIs use measures such as 'clarification', 'understanding', 'awareness', 'more efficient', 'effectiveness of', 'significant progress', which require interpretation and are more appropriate to outcomes than specific indicators of those outcomes
 - (iii) where ERs and PIs rely on 'increased', 'decrease', 'strengthened', 'timeliness', 'degree of progress' in the absence of baselines or quantified evidence in the PD.
 - b. ERs and PIs were considered more favorably where they were substantively retained in the current Biennium's P&B.
 - c. ERs were not selected if they had been the subject of the first validation exercise, conducted only one year previously and within the same Biennium, provided other options presented themselves.
 - d. A final influence on the selection rested on the identification of those ERs that appeared to have the most significant impact, in comparison to others in the program. In the end, if there was little obvious evidence on which to base this assumption, those appearing higher in the order of the program hierarchy of ERs

were deemed to be more suited to the selection, coming closest to the criterion of 'most significant change'.

27. Possible implications of this more pragmatic approach are that:
 - a. Those PIs that were more quantitative were favored on the basis that they were more likely to lend themselves to being capable of meaningful validation. This poses some questions as to the usefulness of these PIs however.
 - b. In some instances, the validation exercise was more straightforward and the compliance levels higher, since more complex and unsubstantiated PIs were deemed to be unsuitable for the validation process.
 - c. In future, consideration should be given to the selection of ERs on an entirely random basis, without the time-consuming application of criteria; a random selection will lead to a more representative sample of the general quality of reporting, which will be more appropriate as the PPR processes mature and much better measures are used throughout to report against.

Notification of selected ERs

28. Program Managers and others who were included on the distribution list for memos and preliminary information, were notified of the selected ERs and provided with an indication of the kind of information that would be sought in the validation meetings. During the course of the exercise, advice was increasingly given to programs not to spend a lot of time preparing the collection of documents before the meeting. Frequently, the commitment to thoroughness, combined perhaps with some anxiety, led to too much time being spent on tracking documents that were not necessarily relevant to the objective of verification and cross-checking, which, in any event, was carried out only on a sample basis.
29. One departure from the intended sequence of preliminary activities was that Program Managers were notified of the selected ER before the majority of PPRs were finalized. Ideally, a validation exercise is timed to take place after the PPRs have completed all their planned stages, so that there can be no question of a distortion of reporting or findings based on pre-knowledge of which ERs will be subject to sampling. The possibility of advantage being taken of early notification was difficult to avoid given that there were some delays experienced in finalizing the PPRs and too little time would have been available for the validation exercise to take place, had it started only after all PPRs had been through their final quality assurance stage by PMPS. In future, a realistic, formal timescale should be clearly agreed between IAOD and PMPS to allow PPRs to complete their required processes and for the Validation Team to assess the authenticity and reliability of data being presented to Member States.
30. One advantage of the screening out of weaker measures and notification of ERs before PPRs have been completed, is that MS can be assured that the findings, conclusions and recommendations can less easily be dismissed or marginalized on the basis that they a disproportionately weaker set of PIs and PD were selected.

Conduct of validation meetings

31. An aide-memoir was used for recording key points and later typed up to provide fuller evidence and justification for the conclusions contained in the summary reports. A set of preliminary questions were asked before the specific criteria were applied. These

preliminary questions were designed to identify whether the interviewees had been responsible for developing the ERs and PIs, whether they were considered still to be appropriate and valuable, and how much use was made of the PD by implementing and supervising managers and program teams.

32. The aide-memoir provided the option of recording information against criteria that are not strictly required by the Validation Approach, but which were deemed to be valuable in supporting the development and improvement of the RBM. These are:
 - a. sufficiency and comprehensiveness: identifying whether the PD provide enough information for progress to be measured against the requirements of the PI
 - b. efficiency and accessibility: exploring the balance between the value of the information being collected and the resources, mostly in terms of cost and time, required to report it; in many cases this reveals the absence of suitable systems in place for recording information so that it can be readily accessed and easily reported on
 - c. accuracy of 'Traffic Light System': checking out whether the PD supports the assessment of 100%, >50% or <50% achievement.
33. The aide-memoir was used as a source of information for the findings which were recorded in an individual summary report for each program (*see Annex 4*). A draft summary report was sent to the senior participating manager with an invitation to record any factual errors, disagreements with findings or other 'contradictions'. All but six managers responded to the request for comments. Where some factual inaccuracies were pointed out, changes were made to the reports. Otherwise, there were no significant disagreements or 'contradictions' communicated on the contents of these reports.

Variations from Validation Approach

34. In summary, the main variations from the guidance contained in the Validation Approach paper (*see Appendix 1*) are:
 - a. The screening processes adopted for identifying one selected ER from each program were more pragmatic in light of the difficulties of applying the 7 criteria
 - b. Selected ERs were notified to Program Managers and others before most PPRs received their final revision and quality assurance check
 - c. Additional criteria were applied to the PD to draw out lessons for use in the development of RBM.

Timing of validation exercise

35. Preparation, preliminary meetings and the presentation took place in a two week period from the 8th March 2010. Validation meetings were conducted over a five week period between 29th March and 30th April 2010. The final draft report was submitted on May 12, 2010.
36. A full list of dates of meetings, with names of participants, is included in *Annex 3*.

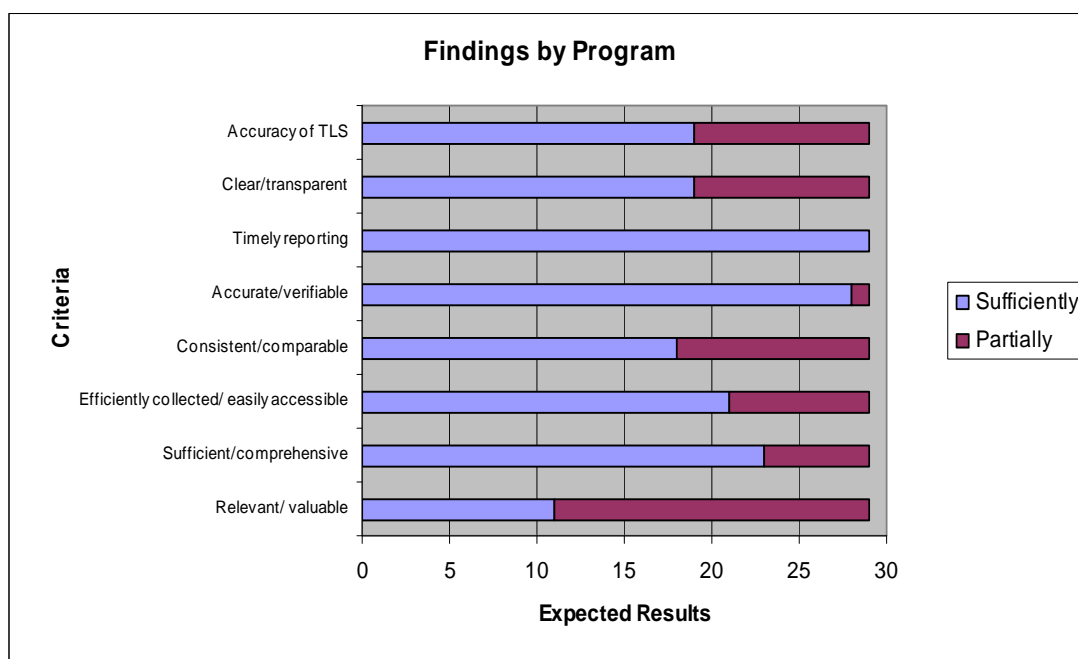
III. FINDINGS

OVERALL FINDINGS

37. For the purposes of providing a simple overview of findings of data limitation against the criteria, the summary report applies two standards: criteria sufficiently met and partially met. An explanation and justification for the assessments are provided in each summary report (see *Annex 4*). The summary reports were sent to all participants in the exercise with an invitation to provide comments and feedback, including in relation to factual inaccuracies.
38. It should be borne in mind that the results selected are a reflection of the higher end of the scale of conformity to good performance measures, firstly because of the screening process applied, and secondly, because the specific ERs selected for validation were communicated before the PPRs had all been finalized. It should also be remembered that this validation exercise was conducted in relation to performance measures that were agreed in 2007, and that, as a result of the initiatives and efforts that have been made since, the quality of these measures has noticeably improved in the current P&B.
39. The following table summarizes the findings by program, in relation to the nine criteria and two questions. Care should be taken in the interpretation and meaning derived from these statistics, which should take into account the specific points raised in the Commentary section below and in the detailed Program Summary Reports in *Annex 4*.

Table on data limitations – findings for each program

CRITERIA	SUFFICIENTLY	PARTIALLY
1 RELEVANT/VALUABLE	11	18
2 SUFFICIENT/COMPREHENSIVE	23	6
3 EFFICIENTLY COLLECTED/EASILY ACCESSIBLE	21	8
4 CONSISTENT/COMPARABLE	18	11
5 ACCURATE/VERIFIABLE	28	1
6 TIMELY REPORTING	29	0
7 CLEAR/TRANSPARENT	19	10
8 ACCURACY OF TLS	19	10
OTHER	YES	NO
9 PERFORMANCE MEASURES OWNED BY INTERVIEWEE	10	19
10 PERFORMANCE INDICATORS AND DATA USED FOR INTERNAL MONITORING	6	23



COMMENTARY ON THE SPECIFIC FINDINGS BY CRITERIA

Relevant/valuable (11 sufficiently met/18 partially met)

40. In practice, this criterion was looking to identify how relevant the Performance Indicator was to measuring the ER and how valuable for the purposes of measuring meaningful progress and intended success.

Examples of limitations found:

- where the volume of activities were being measured, rather than outcomes;
- where the ER required evidence of increase, improvement, enhancement, etc. but there were no baselines or targets to make comparisons;
- where the terms used for measurement were subject to interpretation (e.g. 'kept to a minimum', 'of a simple nature', 'effective policies') so that objective evidence of progress was to identify;
- where there was an absence of systems required to provide supporting evidence; this was particularly in evidence when feedback was sought or, e.g., the 'number of citations';
- where the measures were not capable of making a distinction between what is significant and what is trivial (e.g., 'number of discussions', or 'number of documents');
- where there was an absence of sufficient attribution; the criterion of attribution could have been a separate and valuable criterion on its own.

Sufficient/comprehensive (23 sufficiently, 6 partially)

41. Here the questions covered whether there was enough information in the performance data column to reveal the extent of progress made against the performance measure, and whether the PD included all the information that was available to make that assessment.

Examples of limitations found:

- where information available to support the PI was not included;
- where insufficient reasons were provided as to why a PI was discontinued;
- where statements were unsubstantiated by specific evidence (e.g. 'reduced backlog' stated in PD column, without any evidence adduced to support the claim);
- where the information in the PD column was too vague and unspecific to support the PI.

Efficiently collected/easily accessible (21 sufficiently, 8 partially)

42. If appropriate systems are not in place to record, access, report and analyze the data required, the information is unlikely to be utilized for the purposes intended. It is highly probable that the data limitations would have been much more numerous had routine reporting for internal monitoring purposes be more widely required. Here an assessment of 'partially achieved' was applied where reporting was required, even if only on an annual basis, but the time taken to access information was disproportionate to its use.

Examples of limitations found:

- most commonly this occurred where feedback was included as a quality measure, and systems were not in place to collect, collate and report on responses routinely; one program, which specialized in providing training services, stood out as having a very effective and well organized system for using feedback as a measure of the quality of service delivered;
- where the program relied on being notified of events and there was no effective system of finding out when these occurred or of requiring notification, so that there was a significant likelihood of under-reporting;
- where information was available and stored in files or separate databases, and it was too time-consuming to collect or integrate efficiently, and where a simple recording and tracking system could probably have been devised if the information were needed for internal monitoring purposes on a regular basis.

Consistent/comparable (18 sufficiently, 11 partially)

43. The criterion for this is that reported data should be consistent enough to enable performance to be measured and compared over longer periods of time. Additionally, where different programs have similar objectives, it may be possible to compare performance between different program teams.

44. In practice, at this stage in the development of the RBM framework, changes in ERs and PIs from one Biennium to the next probably reflect a process of refinement and improvement, so that inconsistency and lack of comparability over time can be seen to be strength rather than a limitation. In WIPO's case the changes have almost always led to improved measures, and it is a criterion of data limitation that can be misleading if taken at face value.

Examples of limitations found:

- in almost all cases this was noted when the PIs had substantively changed, been discontinued or excluded, from one Biennium to the next;
- comparisons are always going to difficult where reporting is descriptive and in narrative form, without any quantifiable measures reflected.

Accurate/verifiable (28 sufficiently, 1 partially)

45. In the Validation Approach paper these are listed as separate criteria. The view has been taken here that if performance data are not verifiable, it would be difficult to vouch for their accuracy, and, for practical purposes, these criteria have been combined. Only one limitation against these criteria was recorded and that was in relation to a significant event that happened just before the Biennium period.
46. Although it might have been expected that more inaccuracies would be revealed by this exercise, the fact that only one program had a data limitation recorded under this heading can be explained by:
- the absence of any pressure or incentive for programs to exaggerate, distort or mislead – to date there have been few conceivable consequences for programs to fall short of their objectives, although this may change where individual performance is linked more closely to program performance;
 - cross-checking and verification of evidence was carried out in almost all programs on a sample basis; given the time that was required to discuss the strengths and weaknesses of the performance measures and data, less time was available for a thorough cross-checking and verification of data, particularly where they were difficult and disproportionately time-consuming to access.

Timely reporting (29 sufficiently, 0 partially)

47. This criterion is aimed at the production of information regularly enough to track progress and quickly enough for the information to be useful. In the absence of requirements for most programs to report on progress against the PIs on a routine or regular basis, there was no occasion on which evidence could be found of reporting being carried out in an untimely manner. Several programs had requirements to report to committees or supervising managers, but few of these were required to report on the results and measures included in the PPRs. With the introduction of quarterly reporting as a routine requirement, the timeliness and speed of accessing relevant information may become a more significant issue.

Clear/transparent (19 sufficiently, 10 partially)

48. These criteria are aimed at ensuring that reporting is lucid and understandable to the reader. The information should be open, clear, factual, neutral and coherent.

Examples of limitations found:

- where PIs required some quantifiable evidence and insufficient was provided;
- where the language of the PD did not sufficiently match the terms used in the PIs;
- where language used in the PD was insufficiently precise or well-defined;
- where the conciseness and succinctness of the PD led to further information being required to make sense of the reported evidence;
- where PIs required distinctions to be made which were not supported by the PD

Accuracy of the Traffic Light System (TLS)

49. This was an additional criterion incorporated into the validation exercise. It could have been included under 'accuracy/verifiability' above, but the TLS has a separate function and is not strictly part of the PD. An assessment of accuracy was made on the basis of whether the ratings could be justified on the basis of information presented, either in the PD or, exceptionally, during the validation meeting.
50. There was little consistency in the programs to make the assessment of achievement against individual PIs. Some programs chose to make a blanket assessment against the ER, when two or more PIs were present. One program chose to make a point about resources which meant that a blanket assessment of achievement was made in relation to the program as a whole. A further program had an assessment applied against the overall objective, where full achievement in relation to the specific ER and PIs could have been more justified.

Examples of limitations found:

- where the PI was inadequate for reporting meaningful success (e.g. where there were no baselines or targets included, and merely one activity could meet the general nature of the PI – e.g. 'number of activities');
- where the absence of recording and reporting systems meant that supporting evidence could not be generated to reflect achievement;
- where there was a lack of evidence in the PD to indicate achievement to the extent required;
- where the PI had been effectively discontinued;
- where attribution to the efforts of the program was in doubt;
- where the assessment was made against the overall objective rather than the ER or PI.

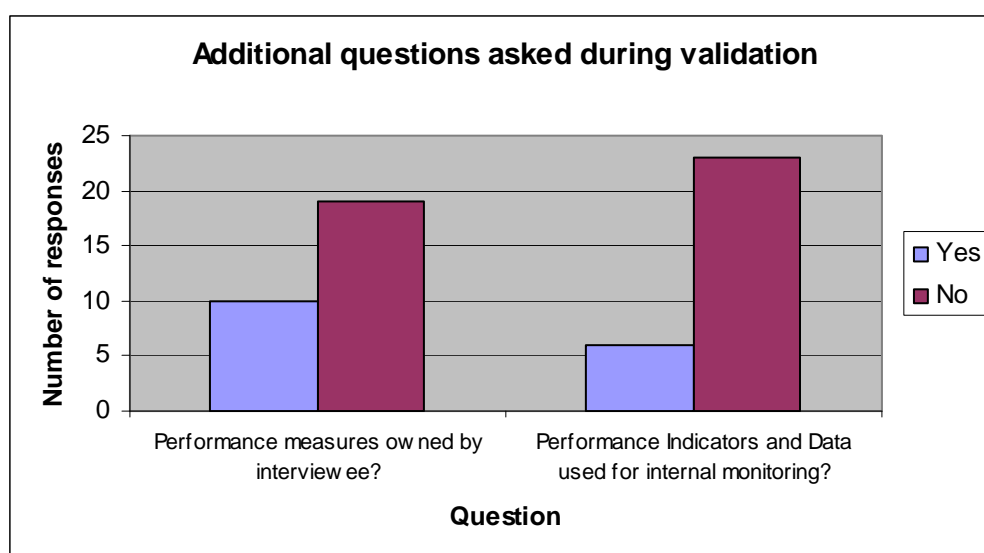
Sense of ownership of performance measures (involved 10, inherited 19)

51. This was an additional question asked of the senior manager being interviewed, to ascertain the extent to which s/he or the team had devised the performance measures

and felt they had a personal investment in delivering results against them. It was linked to the follow-up question of how appropriate the measures seem, which is reflected in the findings under 'relevance/value' above. Included in the 19 'inherited' were 3 that said they had made some contribution, but did not feel that they were significantly 'owned' by them.

Use of reports for internal monitoring

52. Further questions were asked about whether the PD included in the PPRs were used for internal monitoring purposes on a routine basis in connection with the selected ER. Only 6 interviewees (just over one-fifth), confirmed that routine reporting was being carried out against the PIs, with half suggesting that they would be regularly incorporated into the new quarterly reporting system. These ERs tended to be high profile or finance related and of particular interest to senior management.
53. Of the remaining 23, various reasons were offered for not including the data in regular reports:
- the information was not requested;
 - the PIs were at too high a level to require reporting more than once a year;
 - reports were provided only to committees;
 - other, more valuable information was routinely reported;
 - the PIs were not good measures.
54. The finding here is consistent with the response reported in the 'IAOD Independent Evaluation Guidelines Survey Results: Summary', which records that 'Although some improvements have been reflected in the reporting format, after 12 years of the implementation of the PPR, it is still not seen as a key reporting document: only 20% of the respondents use the PPR as a tool for tracking progress of their achievements.'



VALIDATION PROCESS

55. The Approach paper, ToRs, Frequently Asked Questions (FAQs) and the Presentation all reflected and communicated a clear framework for the conduct of this validation exercise. The particular strengths of the process can be seen to include the following:
- the effective collaboration with the Program Management and Performance Section to ensure that all final PPRs were validated in time for the draft report to be submitted on schedule;
 - the inter-dependency and complementary nature of this validation exercise with all the other performance management initiatives that are being introduced to strengthen accountability for results;
 - the increased interest and support of the Senior Management Team, the Audit Committee and the Program and Budget Committee;
 - the openness and willingness of managers and staff responsible for delivering the program objectives to receive feedback and think creatively about ways to improve data quality and the systems that are required to support it, despite the organizational pressures that many are working under.

IV. CONCLUSIONS

Use of data for routine internal monitoring

56. The main conclusion arrived at from this exercise is that data quality will significantly improve when the performance data used for reporting to MS through the PPRs are the same that are utilized for internal monitoring purposes on a routine basis. In the course of the 2008/09 Biennium, from the evidence of the sample ERs taken, few programs were using the PIs and the PD for monitoring progress against the ERs. Similarly, few programs were being requested to report on progress against their PIs.
57. Since the appointment of a new Senior Management Team and the introduction of quarterly reporting requirements at the start of this year, opportunities have been opened up for the results and indicators in the P&B to be monitored and evaluated on a regular basis. This builds on the efforts being made by PMPS to increase the number of performance measures that are reflecting outcomes rather than outputs and activities.
58. In time, the inclusion in quarterly reports of a routine and explicit assessment of progress against predicted results and targets will help to replace inappropriate results and indicators. Some PIs are not appropriate for quarterly reporting, either because they are primarily designed to monitor day to day progress at an intra-program level, or they are too high level and more relevant to a longer time period than a Biennium. Ideally, PIs in P&Bs should be reflecting predicted achievement over a two year period, during which time a regular reporting of progress against the objectives is necessary for a range of possible actions to ensure ultimate success: for example, for communicating success externally, for decision making where progress is problematic, for alternative resource allocation and for lesson learning.

Inclusion of a simple monitoring tool into quarterly reporting

59. An option that could be considered for highlighting the reporting of progress against intended outcomes, where quantifiable measures and targets are being used, is some

kind of simple, 'dashboard' monitoring tool that is integrated into quarterly reporting. This might include the following features, with the status being assessed as: achieved, on track, problematic and discontinued (perhaps through color coding to provide an easy 'snapshot' of progress). Two fictitious illustrations are:

<i>ER (short form)</i>	<i>PI (short form)</i>	<i>Ref.*</i>	<i>Target</i>	<i>Baseline</i>	<i>Last qtr</i>	<i>This qtr</i>	<i>Status</i>
SPEEDIER REVISION OF INTERNATIONAL CLASSIFICATIONS	REDUCE TIME BETWEEN REQUEST AND PUBLICATION	2/4/1	24 MONTHS	32 MONTHS	30	27	ON TRACK
INCREASED USAGE OF ON-LINE COURSES	TOTAL NUMBER OF REGISTRATIONS	9/3/1	55,000	45,000	52,000	56,000	ACHIEVED
	MAINTAIN COMPLETION RATE	9/3/2	67%	67%	64%	55%	PROBLEMA TIC

** program/ER/PI (requires an easy reference system to be included in P&B)*

60. As there are about 136 ERs and 291 PIs included in the current P&B, it might be useful, initially, to make use of such a monitoring tool only on an 'exceptional' basis, where progress is problematic or not on track. The ER and PI columns need only provide a brief summary, since the P&B could be consulted to provide more details. If such a tool is found helpful it could be further refined to support the monitoring of 'process' indicators, where outcomes are more difficult to predict than outputs, and where 'milestones' can be identified in place of quantifiable targets.
61. A further advantage of this tool is that the baseline figures, where appropriate, need to be captured. In the current P&B many baselines have not yet been identified, and, unless the gaps are actively followed-up, they may get forgotten or ignored. An analytical monitoring process, such as that illustrated above, can be very helpful in ensuring that all required monitoring information is available.
62. This suggested monitoring mechanism should only be considered when the time is right for introducing further refinements to quarterly reporting. It is still very early days for this initiative of quarterly reporting and too many changes introduced too quickly can be counter-productive. It is also noted, as was pointed out, that too many PIs are still not appropriate for this kind of detailed monitoring or are not sufficiently quantified, and that it would be better to wait until the RBM approach is at a more evolved stage.

Improvements in the selection of measures and data quality since the last validation exercise

63. Data quality can be certain to improve with the efforts that have been made over the past year to apply sound principles and practice of an effective RBM framework. Those that have been particularly noted in the course of this exercise are:
 - the introduction into the 2010/11 P&B of a requirement to identify baselines, where appropriate;
 - the emphasis in the current P&B on identifying targets where they are meaningful and based on realistic predictions;

- the replacement of inadequate PIs with more robust performance measures;
- the inclusion of an RBM module in PMSDS training courses;
- the increase in one-to-one support and coaching from PMPS and the Evaluation Section of IAOD;
- the continuing quality assurance processes applied by PMPS before the finalization of PPRs.

Contribution of current organizational planning and monitoring initiatives

64. Data quality will also undoubtedly improve with the bedding down of new initiatives already introduced or envisaged under WIPO's SRP. The identification of strategic goals, approval of a Medium Term Strategic Plan, implementation of the Performance Management and Staff Development System (PMSDS), introduction of quarterly reporting and the linking of work plans to the specific results and indicators will all help to strengthen the RBM framework. In the light of all the organizational changes experienced since the first validation exercise, the aim of the recommendations in this report is to align them as far as possible with existing initiatives, with only minor modifications envisaged to ideas and decisions that are already in place.

Factors in strengthening the PPR planning process

65. Data quality is significantly affected by the thoughtfulness and imagination that lies behind the predictions of ERs and appropriate indicators and targets. To optimize the relevance, meaning and value of performance measures in P&B planning, the following factors have been demonstrated as contributing to the quality and effectiveness of the RBM framework:
- a. The involvement of stakeholders, including Member States, in identifying their expectations of success over the Biennium.
 - b. The contribution to, and ownership by, program teams of the selected measures, particularly in periods of organizational volatility and change, when individual managers responsible for developing performance measures may not remain to be accountable at the time of reporting.
 - c. The acceptance of less than ideal indicators and the 'best that we can come up with' on the basis that measures generally get refined and improved over time, and that indicators are, by definition, intended to be 'indicative' rather than 'definitive'.
 - d. The selection of measures which can be supported by data that are easily accessible, efficiently collected, and, preferably available in 'real time'. If, this is not achievable then new systems for recording and reporting data need to be introduced or the indicator considered to be inappropriate due to the extent of time and resources required to collect the data on a regular basis.
 - e. The availability of one-to-one pragmatic support and coaching as provided by PMPS and proposed for extension for the planning of the 2012/13 P&B.
 - f. The opportunity to articulate risks and assumptions that lie behind the predicted results will support managers in striving for challenging and dynamic results and targets, with the accompanying opportunity to refer back to these identified risks

and assumptions in justifying why they may have fallen short of what was hoped for and predicted.

- g. Finally, the capacity of the planning team to envisage what anticipated changes look like at the end of the Biennium period and to 'see' what success looks like and what information comes to mind that marks or defines that result and indicates what milestones or targets will inform progress.

Factors in strengthening the PPR monitoring processes

66. In addition to the active and regular monitoring and evaluation of progress at the SMT level, which forms the main conclusion, other steps that will support good monitoring habits include:
 - a. Routine monitoring of progress within programs, say on a monthly basis, against those indicators that are useful for day to day management decision-making and operational efficiency.
 - b. The development of better data collection systems to support more regular reporting and monitoring, particularly where electronic processes can make collection and reporting easier and more accessible. Simple data recording systems such as Word tables or Excel spreadsheets can be easily introduced to capture data that is increasingly required for routine reporting.
 - c. Care needs to be taken in applying the TLS so that it does not encourage 'perverse' behavior, such as the selection of easy or 'soft' targets, or the preference for indicators which are not quantifiable or do not have targets attached. A mature RBM system will recognize that a 'partially achieved' result against a challenging indicator or target may reflect much more valuable and meaningful success than a too easily achieved result against a weak or inadequate indicator. An instance of an impressive reporting and assessment of achievement observed during this exercise was where a program chose to rank itself as 'partially achieved' (amber) on the basis that the results in the Biennium had fallen short of hopes and expectations, even if there was sufficient evidence to justify a 'fully achieved' ranking, given that the indicator did not identify any target figure. If the RBM system is to encourage a dynamic and proactive approach to performance measurement, then the willingness to take some risks and to accept challenges will make the P&Bs and PPRs more valuable to the organization and its stakeholders.

Coordinating feedback at an organizational level

67. As envisaged in WIPO's SRP, the importance of customer satisfaction in reflecting success and achievement is crucial. Many programs previously included feedback measures, and several continue to do so, without having the resources or systems in place to utilize it. Systems to invite, record, collate, analyze and report on perceptions of the quality of service rarely exist, except in programs, such as the WIPO Academy, where training is a major part of the services provided. If all programs which put value on customer feedback were to organize it on a program by program basis, Member States and regular customers would quickly tire of the demands made on them.

68. A major contribution to performance measurement and data quality will be brought about when more qualitative measures can rely on accessible feedback, and mechanisms are in place for it to be coordinated and implemented under the Customer Service Orientation Value identified in the SRP.

Validation Exercise

- a. For the validation of the next Biennium's PPR, a random selection of sample ERs will be less-time consuming and more representative of the quality of data being reported than the application of screening processes that filter out poor performance measures.
- b. A clear and agreed timetable for the finalization and validation of PPRs will help ensure that sufficient time is given for both processes to be carried out consecutively rather than concurrently.

V. RECOMMENDATIONS

69. In the light of the major initiatives that are currently being implemented in WIPO, recommendations have been kept to a minimum in the expectation that the quality of performance measures, data and reporting will be heavily influenced and significantly enhanced by the structures and systems already being introduced or considered (e.g. the MTSP).
- a. The clear and explicit reporting of progress, using the performance measures in the P&B, should be incorporated in routine quarterly reporting to the SMT. However, this may be difficult at the present time given the complexity of the current performance framework. A priority should be given in this Biennium to evaluating closely the quality and appropriateness of these measures with a view to identifying fewer and more meaningful objectives, indicators and targets for the following Biennium. For the MTSP a "balanced scorecard" approach may be very beneficial; (for the SMT)
 - b. During the process of planning for the 2012/13 P&B:
 - (i) In order to encourage more dynamic and challenging performance measures, the explicit identification of assumptions and risks that will affect the achievement of results should be recorded alongside the specific objectives, indicators and targets; (for the PMPS)
 - (ii) Customer feedback as a useful qualitative measure of performance should be agreed only when adequate systems for supporting the collection of data are available, preferably coordinated by a central unit. (for the PMPS and SMT Champions for Customer Services Orientation)
 - c. For future validation exercises:
 - (i) Given the greater experience of the validation process now acquired by managers, and the improvements seen in the practical possibilities of validating the ERs, sample ERs should be selected on a random, rather than a screened, basis to be able to have a truer representation of the quality of reporting; (for IAOD)

- (ii) The detailed timetable for finalizing individual PPRs and the overall PPR, should be set out; *(for PMPS)*
- (iii) It is not proposed to carry out a validation exercise for the interim 2010 PPR of the 2010-2011 P&B. The performance framework is currently designed for a biennial view of performance and a validation of the interim results is not likely to be fully useful. Should detailed budgeting and the performance framework become annual, this policy will be revised.
(for IAOD)

APPENDICES

- I VALIDATION APPROACH PAPER**
- II TERMS OF REFERENCE FOR VALIDATION EXERCISE**
- III LIST OF MEETINGS AND PARTICIPANTS**
- IV SUMMARY OF FINDINGS**

[Appendix I follows]

VALIDATION APPROACH PAPER

**WORLD INTELLECTUAL
PROPERTY ORGANIZATION**

INTERNAL MEMORANDUM



**ORGANISATION MONDIALE DE LA
PROPRIETE INTELLECTUELLE**

MÉ MORANDUM INTERNE

INTERNAL AUDIT AND OVERSIGHT DIVISION

EVALUATION REPORT

**INDEPENDENT VALIDATION APPROACH
FOR PROGRAM PERFORMANCE REPORTS**

JANUARY 26, 2010

TABLE OF CONTENT

INTRODUCTION.....	3
OBJECTIVE	3
SCOPE	3
IAOD'S ROLE	4
ADDITIONAL PRINCIPLES TO BE APPLIED BY THE VALIDATION TEAM	4
VALIDATION DEFINITION AND PROCESS.....	5
STEP ONE: SAMPLING OF EXPECTED RESULTS	6
<i>First screening process</i>	<i>6</i>
<i>Second screening process</i>	<i>7</i>
STEP 2: PUBLICATION OF SAMPLE AND INFORMATION REQUEST.....	7
STEP 3: VALIDATION OF SAMPLE.....	7
<i>Example of key questions for program staff.....</i>	<i>8</i>
STEP 4: REPORTING	8
STEP 5: VALIDATION REPORT DISSEMINATION AND LESSONS LEARNED.....	9
<i>ANNEX A: Definition of criteria for validating information on program delivery</i>	<i>10</i>
<i>ANNEX B: Criteria for individual performance measures.....</i>	<i>12</i>
B. OBJECTIVE OF THE VALIDATION	2
16. THE FOLLOWING DOCUMENTS WILL BE AVAILABLE TO THE CONSULTANT:.....	3
G. VALIDATION PROCESS.....	3
I. DELIVERABLES	4

INTRODUCTION

1. Each year, WIPO assesses its annual performance based on an approved performance framework. For this purpose, the Organization utilizes performance information that is complete and actual (rather than projected) for almost all of its performance measures.
2. Good quality information is crucial if performance measures are to be used effectively to improve service delivery and accountability. Such information should help the Organization to: a) manage delivery against priorities; b) report reliably on its achievements; and c) assess whether WIPO needs to revise policies and programs.
3. Within the Results-Based Management approach adopted, one of the Organization's aims is to provide reliable, timely and accurate information so that it can track performance over time, identify the need for any remedial action to achieve expected results and report clearly to its stakeholders on performance. Therefore a validation approach to all program performance reports has been introduced within the Organization in order to validate the authenticity and reliability of information on program deliveries.
4. To facilitate the independent validation exercise, IAOD's Evaluation Section has prepared the present approach paper which will guide the validation team and inform program staff during the process.

OBJECTIVE

5. The purpose of validation is to enhance the Organization's accountability and increase the trust of its stakeholders by having a thorough independent assessment by a Third Party (validation team) of authenticity and reliability of the information on progress on program deliveries. The validation team will assess whether the information used in individual program performance reports is: relevant, timely, accurate, consistent, verifiable and transparent; and if there has been a continuity of information. Further details on the definitions of the mentioned criteria are described in Annex 1 of this approach paper. The validation will finally result in a conclusion by the validation team whether the information used for reporting against defined results meets the above defined validation criteria.
6. This assessment by the validation team will, inter alia:
 - a. Assess the evidence which supports the contribution reported to specific key performance indicators, expected results and ultimately to the relevant strategic goal(s);
 - b. Ensure that the approved performance framework (document WO/PBC/13/4) is being applied;
 - c. Assess information on program delivery by applying the above mentioned criteria. Further details on validation criteria are presented in the Annex 1 of the approach paper.

SCOPE

7. For the validation exercise only one expected result by program will be selected for validation. Further details on the sampling process for expected results has been described on page 7, Step two of this approach paper. The validation team will validate the authenticity and reliability of the information on program deliveries. The information required by the validation team will vary from program to program and will depend on what has been reported. Some examples of information that might be required include: monitoring data, statistical data, workshop papers, mission reports, reviews, studies, MoUs, records, etc.
8. Program managers shall keep records of the information that is being used for reporting performance within their programs.

9. For validation purposes program managers, upon request, will need to make available all relevant information used for reporting purposes as part of the program performance report. The validation team may request clarifications, including validation of specific documents.
10. Subject to considerations of confidentiality, original documents shall be shown to the validation team to facilitate the validation process. If required, copies of original documents might be requested.
11. It is to note that the validation work will only assess the quality of information underpinning the performance framework used to report to Member States. The validation team will not validate the quality of expected results and indicators, nor will the team provide conclusions about the accuracy of all expected results but rather validation of a representative sample of all expected results.

IAOD'S ROLE

12. As indicated by the Audit Committee (document WO/AC/11/2, page 10, Agenda Item 4) and following the assignment of responsibility for preparation of the Program Performance Report to the Program Management and Performance Section, Department of Finance, Budget and Program Management (see paragraph 16(b) (i) there), the role of IAOD is to validate the authenticity and reliability of the information on program deliveries.
13. The validation exercise is undertaken prior to the publication of the Program Performance Report which, according to regulation 2.14 of WIPO's Financial Rules and Regulations, the Director General shall prepare. The Program Performance Report is a self-evaluation exercise of program performance, based on the program structure, results frameworks, benchmarks and performance indicators, expected results and targets contained in the program and budget, in accordance with the mechanism adopted by the Member States in respect of their involvement in the preparation and follow up of the program and budget of the Organization.
14. Overall, IAOD will:
 - a. Define a sample for the validation exercise (See further details on page 7 of this approach paper);
 - b. Validate a sample of all expected results defined in the Program and Budget Document;
 - c. Prepare a validation report which will include findings, conclusions and recommendations.

Additional principles to be applied by the validation team

15. The following principles shall be applied in performing validation and shall also be used as guidance when documents related to validation are prepared.
 - a. Impartiality and independence: the validation team shall remain independent of the activity being validated and free from bias and any real or potential conflict of interest. The validation team shall maintain objectivity throughout the validation process to ensure that the findings and conclusions are based on objective evidence generated during the validation and are not influenced by other interests or parties;
 - b. Ethical conduct: the validation team shall demonstrate ethical conduct through impartiality, independence, integrity, confidentiality and discretion throughout the validation process;
 - c. Fair presentation: the validation team shall reflect truthfully and accurately validation activities, findings and conclusions in the report;
 - d. Confidentiality: the validation team shall ensure that confidential information obtained or created during validation activities is safeguarded and not inappropriately disclosed.

VALIDATION DEFINITION AND PROCESS

VALIDATION DEFINITION

16. ACCORDING TO THE OECD GLOSSARY OF STATISTICAL TERMS¹, "VALIDATION" DESCRIBES METHODS AND PROCESSES FOR ROUTINELY ASSESSING SOURCE DATA – INCLUDING MONITORING DATA, SAMPLE SURVEYS, AND ADMINISTRATIVE RECORDS – AND HOW THE RESULTS OF THE ASSESSMENTS ARE MONITORED AND MADE AVAILABLE TO GUIDE PROCESSES.

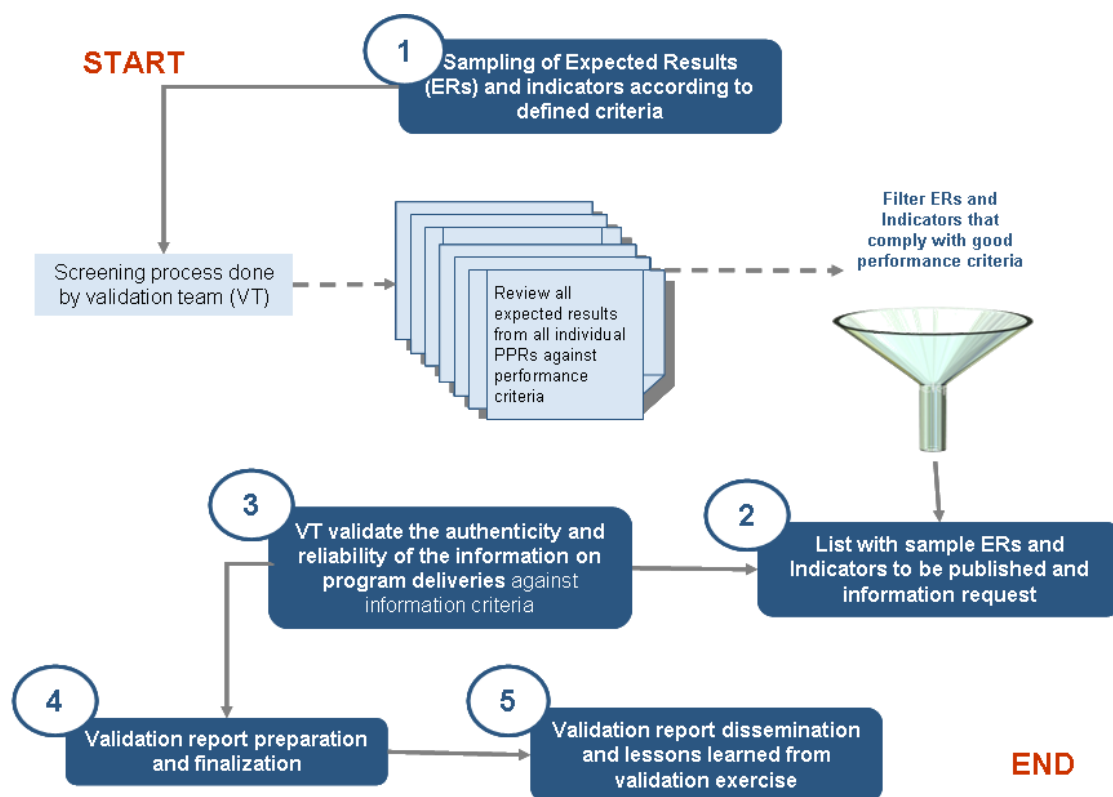
17. IT ALSO DESCRIBES HOW INTERMEDIATE RESULTS ARE VALIDATED AGAINST OTHER INFORMATION WHERE APPLICABLE, HOW DISCREPANCIES IN INTERMEDIATE DATA ARE ASSESSED AND INVESTIGATED AND HOW DISCREPANCIES AND OTHER POTENTIAL INDICATORS OR PROBLEMS IN OUTPUTS AND OUTCOMES ARE INVESTIGATED. ALL CONTROLS MADE IN TERMS OF QUALITY OF THE INFORMATION TO BE PUBLISHED OR ALREADY PUBLISHED ARE INCLUDED IN THE VALIDATION PROCESS.

18. VALIDATION ALSO INCLUDES THE RESULTS OF STUDIES AND HOW THEY ARE USED TO INFORM PROCESSES. IN THIS RESPECT, TWO DIMENSIONS CAN BE DISTINGUISHED:

- (I) VALIDATION BEFORE PUBLICATION OF INDIVIDUAL PROGRAM PERFORMANCE REPORTS, AND
- (II) VALIDATION AFTER PUBLICATION OF INDIVIDUAL PROGRAM PERFORMANCE REPORTS.

¹ <http://stats.oecd.org/glossary/>

16. Overall the proposed validation process will consist of the five steps that are illustrated in the figure below:



Step one: Sampling of expected results

17. The validation team will validate the authenticity and reliability of the information on program deliveries. However, taking into consideration the limited amount of time available to produce the validation report and the large amount of information used to report, a sample for this exercise is required. The sample will consist of a selected number of expected results and indicators from each program with the purpose to provide information on whether the information used for reporting is consistent and accurate.

18. For the sampling exercise all expected results will undergo a two-stage screening process:

First screening process

19. The validation team will review all expected results based on the UK National Audit Office's criteria for "Good Performance Measures"²: relevance, attribution, timeliness, reliability, comparison and verification. Further details on the criteria for "Good Performance Measures" can be found in Annex 2 of this approach paper.

20. For the sampling exercise the validation team will make use of stratified sampling, where all expected results will embrace a number of distinct categories. For instance: a) expected results that fully fulfill the good performance criteria; b) expected results that partially fulfill the "good performance criteria; and c) expected

² *Choosing the Right Fabric. A Framework for Performance Information*, Cabinet Office & HM Treasury, March 2001.

results that do not fulfill the “good performance criteria”. The frame can be organized by these categories into separate groups.

21. The two main reasons for using a stratified sampling design are a) to ensure that particular expected results within a program are adequately represented in the sample, and b) to improve efficiency by gaining greater control on the composition of the sample. By reducing the validation sample, IAOD would be able to reduce the cost of the validation exercise including the reporting time.

22. All expected results will be rated against the defined criteria and will be classified into three groups: a) expected results that fulfill the good performance criteria; b) expected results that partially fulfill the good performance criteria; and c) expected results that do not fulfill the good performance criteria.

23. All expected results defined in the Program and Budget Document will be considered during the first screening process but only expected results that partially or fully fulfill the criteria would be considered for the second screening round.

Second screening process

24. As part of the second screening process, a sample will be selected from the two first groups (a) expected results that fulfill the “good performance criteria” and (b) expected results that partially fulfill the “good performance criteria”.

25. The validation team will select within each program one expected result and indicator for which “**Most Significant Changes**” have been registered.

26. Through this exercise the validation team will identify the expected results that will undergo the validation process, i.e. there will be one expected result from each program that will be considered for validation.

Step 2: Publication of sample and information request

27. The final list of expected results for validation will be sent to all program staff in advance. The sample of the list of expected results and indicators will be accompanied by a list specifying the information required for validation. **All programs will need to make the requested information available to validation team in a timely manner.**

Step 3: Validation of sample

28. After the sampling exercise has been finalized, the validation team will validate the authenticity and reliability of information used to report against the selected expected results and their respective indicators by measuring the quality of information. For this purpose, the following criteria will be used: relevance, timeliness, accuracy, consistency, continuity, verification and transparency. A definition of each of the above mentioned criteria is provided in Annex 1.

29. The validation team will also apply standard validation techniques to confirm the correctness of the information including *inter alia*:

a) Document Review:

- (i) Review of data and information to confirm the correctness of presented information.
- (ii) Crosschecks between information provided in the program documentation and information from independent background.

b) Follow-up interviews (on site, via telephone and/or via email) using just some key questions (see below) for program staff:

- (i) Interviews shall include relevant stakeholders, staff responsible for program design and implementation, and other stakeholders as applicable.
 - (ii) Reasonable crosscheck of information provided by interviewed personnel, i.e. by source check or other interviews, to ensure that no material evidence likely to be available to relevant stakeholders has been omitted from the assessment.
- c) If necessary, comparison with programs that have similar or comparable characteristics;
 - d) Review of the correctness of critical formulas and calculations.

Example of key questions for program staff

30. The key questions that the validation team could pose to program staff in regard to their information systems are as follows:

- a. Has the quality of information (relevance, timeliness, consistency, etc.) required to track progress against the target been considered?
- b. Are performance measurement definitions clear and easy to understand?
- c. Have responsibilities for ensuring data quality been allocated?
- d. Are risks to data quality assessed?
- e. Are users of information made aware of any weaknesses in reported data?

Step 4: Reporting

31. The validation team will draw up a validation report which describes the purpose, the nature and extent of the validation exercise to provide an appropriate basis for the conclusions, and, where applicable, subsequent recommendations. This approach should allow the readers of the report to understand the work done and to follow the logical links between findings, conclusions and recommendations. In cases where original documents were not made available by program staff, the team will need to consider to what extent this would have an impact on the objective of the validation to report on the adequacy of the system of accountability.

32. The validation report shall give the final conclusions regarding the program conformance with relevant information quality requirements. The validation report may raise issues that need to be subsequently addressed.

33. The validation report shall give an overview of the validation activities carried out by the validation team in order to arrive at the final validation conclusions. Apart from this, the general discussion of details captured by the validation team and conclusions related to project requirements shall be included in the final report.

34. The validation report will provide information at least on:

- a. A summary of the validation process and its conclusions;
- b. The validation team;
- c. Internal quality control;
- d. A list of the interviewed person;

- e. A list of documentation reviewed
- f. All findings and conclusions in regards to quality of data.

Step 5: Validation report dissemination and lessons learned

35. The validation report will be made available to all the stakeholders of the Organization and lessons learned from this process will be summarized.

ANNEX A: Definition of criteria for validating information on program delivery

1. In order to facilitate the validation process the validation team will apply an adapted version of the “Good practice criteria for data systems” defined by the UK National Audit Office³. The information used for reporting on program delivery should be:

- a. **Relevant** to what the organization is aiming to achieve. The quantification and reporting shall include information that covers all significant aspects of performance expressed in the expected results and indicators. Data collection methods, criteria and assumptions shall not be misleading. Data and assumptions that do not have an impact on the validation opinion shall not be included;
- b. **Timely**, producing information regularly enough to track progress, and quickly enough for the information to still be useful;
- c. **Accuracy** - accurate enough for its intended use, and responsive to change. The principle of accuracy requires reduction in bias and uncertainty as far as is practical. Accuracy with reference to the validation is required at two levels.
 - The first relates to the accuracy of quantitative data and information;
 - The second relates to accuracy of non-quantitative information.
- d. **Consistency**, information shall address comparable key indicators that enable meaningful comparisons. The principle of consistency shall not prevent the use of more accurate procedures or methods as they become available. However, any change in procedures and methods shall be transparently documented and justified. Consistency is satisfied by:
 - Application of the requirements of the methodology over different periods;
 - Similarity of application of available guidance and knowledge among projects and programs with similar characteristics such as application of methodology, use of technology, time period and regional similarities;
 - Applying tests and assumptions equally across potential baseline scenario;
 - Ensuring equivalent application of principles used for expert judgment, internally and externally, over time and among projects and programs.
- e. **Continuity of information** with either past periods or similar programs elsewhere. There are a number of reasons why continuity of measurement is important. Firstly, achieving program performance improvement may involve serious and structural change of the kind that is unlikely to be delivered over the short-term. Such changes will usually take a while to “bed-in” and start affecting results. Secondly, changing how program performance is measured can lead to confusion and lack of focus amongst staff and uncertainty over what they are working towards. Thirdly, in order to make judgments about how the Organization is doing, it is useful to have a good run of comparable information. If programs change what is being measured, it will be difficult to make year on year comparisons; and
- f. **Transparency** is to disclose information to allow intended users to understand and to make decisions with reasonable confidence. Transparency relates to the degree to which

³ see footnote 2

information is seen to as being reported in an open, clear, factual, neutral and coherent manner based on documentary evidence. Information shall be recorded, compiled and analyzed in a way that will enable internal reviewers and external intended users to attest its credibility. Transparency requires, inter alia:

- Clearly and explicitly stating and documenting all assumptions;
- Clearly referencing background material;
- Stating all calculations, methodologies and all information used;
- Clearly identifying all changes in documentation;
- Compiling and documenting information in a manner that enables independent validation;
- Documenting the explanation and/or justification (e.g. choice of procedures, methodologies, parameters, information sources, key factors, sampling criteria);
- Documenting the justification of selected criteria (e.g. for the determination of additionally);
- Documenting assumptions, references and methods such that another party can reproduce reported information;
- Documenting any external factors to the project that may affect the decisions of intended users.

g. **Verifiable**, with clear documentation behind it, so that the processes which produce the measure can be validated.

2. The assessment of quality of information will enable the Organization to produce clear, transparent and comprehensive program performance reports.

ANNEX B: Criteria for individual performance measures

Criteria for individual performance measures:

A performance measure should be:

- a) **Relevant** to what the organization is aiming to achieve;
- b) **Attributable** - the activity measured must be capable of being influenced by actions which can be attributed to the organization, and it should be clear where accountability lies;
- c) **Well-defined** - with a clear, unambiguous definition so that data will be collected consistently, and the measure is easy to understand and use;
- d) **Timely**, producing data regularly enough to track progress and, quickly enough for the data to still be useful;
- e) **Reliable** - accurate enough for its intended use, and responsive to change;
- f) **Comparable** with either past periods or similar programs elsewhere; and
- g) **Verifiable**, with clear documentation behind it, so that the processes which produce the measure can be validated.

[Appendix II follows]

TERMS OF REFERENCE FOR VALIDATION EXERCISE

**WORLD INTELLECTUAL
PROPERTY ORGANIZATION**

INTERNAL MEMORANDUM



**ORGANISATION MONDIALE DE LA
PROPRIÉTÉ INTELLECTUELLE**

MÉ MORANDUM INTERNE

TERMS OF REFERENCE

VALIDATION OF THE 2008-2009 PROGRAM PERFORMANCE REPORT

TYPE OF EXERCISE:	VALIDATION
COUNTRIES:	N/A
VALIDATION PERIOD:	2008-2009
EVALUATION MANAGER:	MRS. JULIA FLORES MARFETAN
SECTION:	EVALUATION SECTION
DIVISION:	INTERNAL AUDIT AND OVERSIGHT DIVISION
VALIDATION TEAM:	MR. MARTIN PIERCE
VALIDATION START DATE:	8TH MARCH 2010
VALIDATION COMPLETION DATE:	15TH MAY 2010

A. Background

1. Each year, WIPO assesses its annual performance based on an approved performance framework. For this purpose, the Organization utilizes performance information that is complete and actual (rather than projected) for almost all of its performance measures.
2. Good quality information is crucial if performance measures are to be used effectively to improve service delivery and accountability. Such information should help the Organization to: a) manage delivery against priorities; b) report reliably on its achievements; and c) assess whether WIPO needs to revise policies and programs.
3. Within the Results-Based Management approach adopted, one of the Organization's aims is to provide reliable, timely and accurate information so that it can track performance over time, identify the need for any remedial action to achieve expected results and report clearly to its stakeholders on performance. Therefore, a validation approach to all program performance reports (PPRs) was introduced in 2008 within the Organization in order to ensure that the information in these reports meets certain quality standards in special to assess the authenticity and reliability of the information used in the Program Performance Report (PPR).
4. Since the validation approach was introduced in 2008 for the first time within the Organization, this exercise took only the form of a pilot and had a strong emphasis on learning rather than on accountability. The Evaluation Section took this approach in order to provide program staff with the opportunity to understand the approach behind the validation and to create a common understanding among staff.
5. To facilitate the validation exercise, IAOD's Evaluation Section prepared in 2008 a validation approach paper which will guide the external expert and inform program staff during the process.

B. Objective of the validation

6. The purpose of the validation of the 2008-2009 PPR is to have a thorough independent assessment, by an external expert, of authenticity and reliability of the information on progress on program deliveries in order to enhance the Organization's accountability and trust of its stakeholders.
7. The expert will help IAOD assess that the information used in individual program performance reports meet all the identified and applicable criteria. The validation will finally result in a conclusion by the external expert whether the quality of information used for reporting against defined results meets the defined criteria (see Annex 1). The expert will also provide the Organization with recommendations for improvement.
8. This assessment by the expert will, inter alia:
 - a. Assess the evidence which supports the contribution reported to specific key performance indicators, expected results and ultimately to the relevant strategic goal(s);
 - b. Ensure that the approved performance framework (document WO/PBC/13/4) is being applied;
 - c. Assess information on program delivery by applying the following criteria: relevance, timeliness, accuracy, consistency, continuity, transparency and verification. Further details on validation criteria are presented in annex 1.

C. Scope

9. For the validation exercise only one expected result by program will be selected for validation. Further details on the sampling process for expected results has been described on page 7, Step two of the approach paper. The sample size will represent 10 per cent of all expected results. The expert will validate the authenticity and reliability of the information on program deliveries. The information required by the external expert will vary from program to program and will depend on what has been reported. Some examples of information that might be required include: monitoring data, statistical data, workshop papers, mission reports, reviews, studies, MoUs, records, etc.

10. Program managers have been requested to keep records and evidence of the information that is being used for reporting performance within their programs.

11. For validation purposes program managers, upon request, will need to make available all relevant information used for reporting purposes as part of the program performance report. The external expert may request clarifications, including validation of specific documents.

12. Subject to considerations of confidentiality, original documents shall be shown to the external expert to facilitate the validation process. If required, copies of original documents might be requested.

13. It is to note that the validation work will only assess the authenticity and reliability of information/data underpinning the performance framework used to report to Member States. The external expert will not validate the quality of expected results and indicators, nor will the team provide conclusions about the accuracy of all expected results but rather validation of a representative sample of 10 per cent of all expected results.

D. Audience

14. The validation is intended mainly for the WIPO's senior managers and its Member States, but will also inform WIPO staff. The validation is the results of the requests made by Member States through the Program and Budget Committee and the General Assembly and is intended to enhance WIPO's accountability levels.

15. Final outcomes of the report will be available to all stakeholders of the Organization. The report will also be presented to the Audit Committee, the PBC and the Assembly of the Member States.

E. Background documentation

16. The following documents will be available to the consultant:

- Revised Program and Budget Document 2008/09;
- Individual Program Performance Reports for 2008-2009;
- Program Performance Report for 2008;
- Validation approach paper;
- Validation of the 2008 Program Performance Report;
- List of recommendations resulting from the last validation report.

17. In addition to the above, program managers shall make available all necessary information the consultant might require in order to undertake the validation exercise.

F. Accountability and responsibilities

18. The expert will liaise with and report to the Senior Evaluator who will guide him within the organization.

19. The Senior Evaluator is responsible for providing the external expert with all the necessary support and required documentation in order to undertake this assignment.

20. The external expert is required to undertake most part of his/her work from the WIPO Headquarter, in Geneva and is responsible to deliver in collaboration with the Senior Evaluator of WIPO the above mentioned objectives and tasks within the agreed period.

G. Validation process

21. Overall the proposed validation process will consist of the five following steps:

Step one: Sampling of expected results;

Step two: Publication of sample and information request;

Step three: Validation of sample;

Step four: Reporting;

Step five: Validation report dissemination and lessons learned

H. Task of external expert

22. The external expert will undertake the following tasks:

- a. Agree on sampling approach;
- b. Undertake validation of information, identify findings, conclusions and when necessary provide recommendations for improvement. The external expert will:
 - i. validate the reliability and authenticity of information used for reporting against expected results and indicators;
 - ii. have follow up interviews with program staff;
 - iii. compare information with programs that have similar or comparable characteristics;
 - iv. Validate the correctness of critical formulas and calculations.
- c. Facilitate a smooth undertaking of the validation exercise;
- d. Prepare validation report in collaboration with Senior Evaluator.

I. Deliverables

23. Draft and final validation Report to be done in collaboration with the Senior Evaluator. The report should provide a program by program analysis on the reliability and authenticity of information.

J. Timing

24. It is envisaged that the validation exercise will start on 8th March 2010 and will be finalized on 15th May 2010.

K. Management arrangements

25. Under the supervision of the Director of IAOD the exercise will be managed by Julia Flores (Senior Evaluator, IAOD).

26. IAOD will provide the expert contracted with temporary office space.

[Appendix III follows]

LIST OF MEETINGS FOR VALIDATION EXERCISE – 2010

Date	Participants	Program/section (program number)
Introductory meetings		
08.03	Julia Flores	Internal Audit and Oversight Division (IAOD)
09.03	Nicholas Treen	IAOD
10.03	Joe Bradley	Program Management and Performance Section
15.03	James Pooley	DDG, Patents
	Geoffrey Onyeama	DDG, Development
17.03	Yoshiyuki Takagi	ADG, Global Infrastructure
	Ambi Sundaram Chitra Narayanaswamy	ADG, Administration and Management
	Trevor Clarke	ADG, Copyright
18.03	Introductory presentation	
29.03	Carsten Fink	Introductory meeting (16)
Validation meetings		
30.03	Marcus Hopperger	Trademarks, Industrial Designs and Geographical Indications (2)
30.03	Carsten Fink Bruno Le Feuvre	Economic Studies, Statistics and Analysis (16)
31.03	Richard Owens	Copyright and Related Rights (3)
01.04	Janice Cook Robbins	Finance, Budget and Program Management (22)
09.04	Irfan Baloch Esteban Burrone Paul Regis	Development Agenda Coordination (8)
09.04	Christophe Mazenc	Patentscope AND Associated Patent Services (14)
12.04	Sarah Neyroud	IP Office Modernization (15)
12.04 (19.04)	Nick Treen Tuncay Efendioglu	IAOD (26)
13.04	Antonios Farassopoulos	International Classifications And IP Standards (12 and 13)
13.04	Matthew Bryan	The PCT System (5)
14.04	Hang Gao	WIPO Academy (11)
14.04	Martin Beattie	HRMD (23)
15.04	Isabelle Boutillon	New Construction (29)
20.04	Philippe Baechtold	Patents, Innovation Promotion and Technology Transfer (1)
20.04	Samar Shamoan Cathy Jewell	Communications (19)
21.04	Wei Lei Gabor Karetka Johann Maurissen	Information Technology (25)
22.04	Rowena Paguio	Africa, Arab, ASPAC, LAC, LDCS (9)
22.04	Jan Van Hecke	Security (28)

	Drew Donovan	
23.04	Wend Wendland	Traditional Knowledge, Traditional Cultural Expressions and Genetic Resources (4)
23.04	Erik Wilbers Brian Beckham Francisco Rios	Arbitration, Mediation and Domain Names (7)
26.04	Louise Van Greunan Vuagnat	Building Respect for IT (17)
27.04	Nuno Pires De Carvalho	IP and Global Challenges (18)
28.04	Carlos Mazal	External Offices and Relations (20)
28.04	Carlotta Graffigna Janice Driscoll Donayre Nikolay Khlestov	Conference And Language Services (27)
29.04	Colin Buffam Giorgio Fraternali	Administrative Support Services (24)
29.04	Juan Antonio Toledo	Madrid, The Hague, and Lisbon Systems (6)
30.04	Christine Hublin	Executive Management (21)
30.04	Ilya Gribkov	Cooperation with Certain Countries in Europe And Asia (10)
<i>Post-validation meetings</i>		
05.05	Maya Bachner	Program Management and Performance Section
	Ambi Sundaram Chitra Narayanaswamy	ADG, Administration and Management
07.05	Presentation on provisional findings	

[Appendix IV follows]

SUMMARY OF FINDINGS TABULAR FORM

Rating:



Sufficiently meets criteria



Partially meets criteria

Program 1

Expected result: 2

	Criteria for PD		Comments/data limitations
	Relevant/valuable		Whilst the PD identify a number of relevant statistics that have a bearing on the Expected Result, systems are yet to be devised to monitor and measure 'feedback', 'acceptance' and 'awareness', as required by the PIs. Efforts are being made to fill these gaps with tailored monitoring mechanisms, although they are unlikely to influence reporting against the current P&B which, in any event, has introduced new indicators.
	Sufficient/comprehensive		The information provided is as comprehensive as it can be, given the lack of support systems available for data collection.
	Efficiently collected/ easily accessible		For reasons given in a. above, the information required to support the PIs is not sufficiently accessible, in the absence of systematic feedback mechanisms. Various options to meet the challenges of monitoring progress in an area where attitudes and behavior are expected to be influenced were discussed and should inform the approach taken by the program in the next Biennium.
	Consistent/comparable		Some of the reported data can be used to make comparisons with progress in past and future Biennia. However, in the absence of baselines it is not possible to assess the extent of the increase in awareness of users of the services, and, with a new set of indicators having been introduced in the current P&B, consistency in reporting will be limited, at least for this Biennium.
	Accurate/verifiable		A priority was given over to discussions on the limits of the current measures and the range of options available, with a consequence that less time was allotted to cross-checking the accuracy of the reported data. However, the data presented is readily capable of verification, and, given that the PD are not directly relevant to the PIs and the self-assessment is mainly of partial achievement, there is no reason to question the accuracy of the figures reported.
	Timely reporting		Reports on activities are routinely provided to the DDG.
	Clear/transparent		The information provided meets these criteria, with the inclusion of details about several relevant activities.
	Accuracy of TLS		Given the elusive nature of the PIs, and the difficulty of making any realistic assessment against them, the overall assessment of partial achievement (i.e. 'orange') is an acceptable and pragmatic one.

Program 2

Expected result: 3

	Criteria for PD		Comments/data limitations
a.	Relevant/valuable		PD clearly relate to PIs and ER and are considered to represent real value in determining progress and success
b.	Sufficient/comprehensive		PD are relevant, succinct and can be easily verifiable
c.	Efficiently collected/ easily accessible		Information well-known, in public domain
d.	Consistent/comparable		PD not required on routine basis – ratifications are well known and reported on 'as and when needed' basis
e.	Accurate/verifiable		Consistent with selection of PIs for current Biennium
f.	Timely reporting		Cross-checked with information on WIPO website, and independently verified with separate website
g.	Clear/transparent		Monitoring and analysis is carried out at program level; reporting is carried out on a needs basis, rather than routinely
h.	Accuracy of TLS		Yes, data is simple, focused and clear
i.	Relevant/valuable		Target exceeded with 16 ratifications (target: at least 10)

Program 3

Expected result: 3

	Criteria for PD		Comments/data limitations
j.	Relevant/valuable		PD clearly relate to PIs and ER and are considered to represent real value in determining progress and success
k.	Sufficient/comprehensive		PD are relevant, succinct and can be easily verifiable
l.	Efficiently collected/ easily accessible		Information well-known, in public domain
m.	Consistent/comparable		PD not required on routine basis – ratifications are well known and reported on ‘as and when needed’ basis
n.	Accurate/verifiable		Consistent with selection of PIs for current Biennium
o.	Timely reporting		Cross-checked with information on WIPO website, and independently verified with separate website
p.	Clear/transparent		Monitoring and analysis is carried out at program level; reporting is carried out on a needs basis, rather than routinely
q.	Accuracy of TLS		Yes, data is simple, focused and clear
r.	Relevant/valuable		Target exceeded with 16 ratifications (target: at least 10)

Program 4

Expected result: 2

	Criteria for PD		Comments/data limitations
	Relevant/valuable		The reported PD provide evidence of direct relevance to the requirements of the PIs and are linked to the overall ER, particularly with the identification of new ‘processes’ being identified and, thereby, providing evidence of an increase in cooperation and coordination. The inclusion of the word ‘invited’ in the PD for the first PI strengthens the value of the measure, since ‘recognition’ is not as readily demonstrated by partner organizations. See also g. below.
	Sufficient/comprehensive		The information provided is ‘fit for purpose’ in that it directly and sufficiently supports the PIs. If this ER is to be retained in the future, then the inclusion of baselines, as required for the current P&B, should be helpful in showing the required increase in cooperation and coordination.
	Efficiently collected/ easily accessible		Information on activities undertaken by the program is recorded in an activities table, which provides a readily accessible means of monitoring progress against the results and indicators.
	Consistent/comparable		The PIs have been substantively carried forward to the current P&B, with revised targets, and, subject to the comments in ‘g’ below about the defining of ‘processes’, there is the potential for making comparisons across time.
	Accurate/verifiable		The information in the PD column can be readily cross-checked with the entries in the activities log, which includes details of personnel involved, budget codes, venue and dates, the relevant ER and whether LDCs are involved.
	Timely reporting		As with most other programs, reporting is done on an ‘as needs’ basis. Following the renewal of the mandate issued by MS in October 2009, the main reporting priority of this program relates to the first ER, rather than the subsequent two.
	Clear/transparent		The reporting of information in this ER could be strengthened with the identification of baselines, to evidence ‘greater cooperation and coordination’, particularly with the second PI which does not include a requirement of ‘new’ publications or activities. Additionally, since there are target figures included in the PIs, the PD could usefully be more specific about the actual number of processes in which ‘support and input’ were recognized or invited, to reveal the real extent of progress and success made in the Biennium. Finally, an explanation of the meaning and significance of the use of ‘processes’ as a measure of performance and achievement would help the reader to distinguish the value of support and inputs given to these events as opposed to many others listed in the activities log.
	Accuracy of TLS		Given the very specific target figures and requirements of the PIs and the evidence provided, the assessment of full achievement is justified.

Feedback from program:

In future the ERs and PIs could be more clearly framed to take into account the validator’s comments. The reporting in the PD is fully transparent, however. ‘Processes’ refers broadly to a wide variety of activities of other international and regional organizations aimed at policy development, norm-building and/or technical assistance and capacity-strengthening. These activities are reported on in the PD related to this ER. Perhaps a different word could be used in the future.

Program 5

Expected result: 7

	Criteria for PD		Comments/data limitations
	Relevant/valuable		ER and PIs were reported to be 'fit for purpose' although limited in their usefulness and value in reflecting meaningful progress and success on the part of the PCT Legal Division. In the absence of targets or baselines relating to the first PI, the PD are designed to communicate the volume of activities undertaken, rather than make the kind of comparisons that are included in the second set of PD.
	Sufficient/comprehensive		The information provided is sufficient to meet the requirements of the PIs. In relation to the ER, 'enhancement' is reflected simply by the quantity of activities and subscribers.
	Efficiently collected/ easily accessible		Comprehensive lists of activities and subscribers were produced to support the PD. The information is not generally required for internal monitoring purposes, and, in any event, is speedily accessed and reported on.
	Consistent/comparable		The current PD are not capable of being compared with previous years, nor, for the most part, with the measures incorporated into the current P&B which are focused on more specific activities.
	Accurate/verifiable		The figures can be readily verified from the supporting evidence produced.
	Timely reporting		As previously mentioned, the PD are collected and reported on an 'as needs' basis, primarily for the PPR. Other information, which is judged to be more useful for routine monitoring purposes, is reported on more regularly.
	Clear/transparent		The clarity and transparency of reporting is appropriate for the requirements of the straightforward PIs. More information is included than is strictly required to support these PIs, but these details are included on the basis that they are useful to Member States.
	Accuracy of TLS		Whilst it is easier to justify the recording of 'fully achieved' against the second PI, if only because of the extent of the reported increase in subscribers over the 2008/09 Biennium, an assessment of achievement against the first PI is more elusive given that the PI is inadequate for reporting meaningful progress or success.

Program 6

Expected result: 4

	Criteria for PD		Comments/data limitations
	Relevant/valuable		Although there is recognized to be some merit in the selected and inherited PIs, there are some limitations which have influenced improvements made in the current P&B: firstly, there is some imprecision in the selection of terms in the PIs which make them difficult to measure, such as 'kept to a minimum' and 'of a simple nature'; secondly, in relation to the fourth PI, although the intention is clear and persuasive, insufficient systems were introduced to measure performance closely enough to enable the PI to be fully utilized.
	Sufficient/comprehensive		The performance data has been expanded to provide a fuller explanation of the reasons why full achievement has not been reached, although significant progress has been made. The information required to support the third indicator is succinct and to the point.
	Efficiently collected/ easily accessible		The data to support the first two indicators are not yet available. The data required to support the fourth indicator is also not available due to the absence of supporting systems and classification of what is meant by 'simple'.
	Consistent/comparable		Although the indicators have changed for the current P&B, and are intended to be improved for the next Biennium, the underlying data required for two or three of the four PIs will continue to be relevant, consistently generated and comparable.
	Accurate/verifiable		Although verifiability is problematic for the fourth PI, for reasons given above, the PD are accurate and verifiability should not be a problem when the systems are up and running.
	Timely reporting		Reporting is not required on a routine basis or for internal monitoring purposes, although this is likely to improve, particularly in relation to the second and fourth PIs.
	Clear/transparent		No final PPR submitted with changes to two PDs
	Accuracy of TLS		The assessment of full achievement can easily be justified against the third PI, and, given the significance of developments despite the delays, partial achievement against the first and second PIs. The assessment of full achievement against the fourth PI is problematic in the absence of systems to provide evidence and the ambiguity in the term 'simple'.

Program 7

Expected result: 2

Criteria for PD		Comments/data limitations
Relevant/valuable		The two PIs chosen for the selected result are notable for their contrasting approaches to measuring 'effective IP protection': the first is a very specific, quantifiable measure which reflects impact through the numbers of cases dealt with; the second uses evidence of implementation of WIPO proposals as a measure of progress and performance, despite success or failure not wholly being attributable to the program. Monitoring of the first can be readily based on hard data recorded through its advanced database systems; assessment of progress against the second PI is subject to interpretation, which, if applied with objectivity, as here, is capable of communicating a very real and strong measure of achievement, even if '100% success' will almost always be elusive.
Sufficient/comprehensive		The information provided against the first PI is more than sufficient to meet the requirements of the PI. In the interests of greater clarity there might usefully be an explanation of the significance of the wording adopted (e.g. cases 'resolved' rather than 'disputes' resolved or cases 'administered', as in the current P&B). Constraints of space make it more difficult to report succinctly against the second PI, especially where the reporting includes an explanation of what lies behind the PI. The key information in terms of progress lies in the last sentence, with the identification of two policy recommendations (relating to pre-delegation and post-delegation) being implemented by ICANN, at least in part.
Efficiently collected/ easily accessible		PD for the first PI is easily and efficiently accessed through the database. Data for the second PI do not need systems for access.
Consistent/comparable		The PIs have been carried forward to the current P&B, with slight changes in wording, but they are essentially consistent and capable of being compared across time.
Accurate/verifiable		The PD relating to the first PI are supported by reports that contain extensive detail to support the headline figures. Evidence was provided of the implementation of the two major policy recommendations reported.
Timely reporting		Reports against the first PI are capable of being produced as and when needed.
Clear/transparent		Reporting is mostly clear and straightforward. The language of 'cases resolved' has been adjusted in the current P&B to 'cases administered', which appears to be a more unambiguous description. It was not clear initially that the two WIPO policy recommendations mentioned in the PD are the ones against which progress and success have chiefly been measured, although this was clarified at the meeting.
Accuracy of TLS		On the understanding that cases resolved is taken to be the number of cases administered or disposed of during the Biennium, the reported figures and supporting evidence justify the assessment of fully achieved in relation to the first PI's target. In the absence of a target or more precise wording in the second PI, a narrow interpretation could permit a 'fully achieved' assessment to be made if even only one policy recommendation is implemented. However, the program has opted to abide by the meaning and value of both the objective and the TLS, by choosing to assess a level of achievement against implementation that is carried out to the program's intention and satisfaction. In this respect, an assessment of partial success appears to be a realistic and credible acknowledgement of the extent to which WIPO can influence outcomes and to which hopes and expectations have not yet been reached.

Program 8

Expected result: 1

Criteria for PD		Comments/data limitations
Relevant/valuable		It was recognized that the PIs are limited in measuring value relating to 'concrete and effective projects and activities' (wording in the ER), in that they merely measure progress against the 'number of' discussions, approvals or launches of project. In the current Biennium the criterion of 'success' has been introduced which offers the opportunity for more relevant and valuable reporting, if specific criteria of success can be reported against.
Sufficient/comprehensive		Subject to the need for greater clarity in reporting against the second PI in particular (see below), the information provided is succinct and appropriate for describing progress against the PIs.
Efficiently collected/ easily accessible		The PD relates to high priority and highly 'visible' information that is immediately accessible and regularly reported on.

Criteria for PD		Comments/data limitations
Consistent/comparable		The PIs have been replaced by a potentially more valuable and relevant PI in the current P&B, with the addition of 'success' as a criteria – to this extent the current PD will not be directly comparable to the 2008/09 PD.
Accurate/verifiable		The PD reflect basic, well-known information that is the subject of prominent and regular reporting to the CPID.
Timely reporting		PD are the subject of routine reporting to CPID.
Clear/transparent		The reporting of progress within this program faces particular demands and challenges given the limited space available in the PD column of the PPR. On this occasion it took some time and effort to 'unpack' the significance of the reporting against the second PI, with additional explanations required to support the figures used in relation to recommendations, projects, activities, and principles.
Accuracy of TLS		Whilst there is no evidence in the PD to suggest that objectives have not been fully achieved, the PIs do not readily lend themselves to an assessment of what constitutes 100% success. In the absence of criteria of success, such as targets, benchmarks or timelines, which are not easy to arrive at with such a new project, the application of the TLS is, necessarily, subjective.

Program 9

Expected result: 3

Criteria for PD		Comments/data limitations
Relevant/valuable		The reported PD directly support the requirements of the PI, which identifies a target range of countries that have updated their IP laws and regulations. The 2008/09 PPR clearly represents an important stage in a process of refining objectives and indicators to ensure their relevance and value. The 2010/11 P&B takes the process further by 'regionalizing' the objectives and by the inclusion of more discriminating PIs, with reportedly more consultation and ownership by the Regional Bureaus. For 2008/09 the single PI raised questions about its value: the target figure was felt to be one that was inherited rather than fully 'owned' by the program team members; there are doubts about the extent of attribution to the program for the updating of legislation/regulations; and the indicator may have a 'perverse' effect by placing too much attention on to the numbers of updated laws/regulations, rather than their quality or extent. These considerations have influenced the development of ERs and PIs in the current P&B.
Sufficient/comprehensive		The information is comprehensive, with specific details being recorded alongside the naming of countries concerned. This makes for a lengthy PD column, and may be justified on the grounds of the importance of the information to MS.
Efficiently collected/ easily accessible		The information, in some instances, can be time-consuming to collect, in the absence of systematic reporting requirements to support the notification of relevant developments by individual country offices or by other programs. The situation is currently in flux, with the imminent discontinuance of the Legislative and Legal Advice Division, and the transfer of its responsibilities to the relevant sectors.
Consistent/comparable		This PI is not consistently or universally adopted by the different Regional Bureaus for the current P&B, although this particular measure (number of countries updating laws/regulations) is used in another program (10) and is capable of being compared with results in previous years and in the future.
Accurate/verifiable		The PD provide detailed evidence of outcomes that meet the requirement of the PI. Some of the evidence was verified on a sample basis, and, during the course of the reporting, a small inaccuracy was picked up by the relevant team in relation to the actual timing of legislation, which, if strictly applied, would reduce the total number of countries to 13. However, substantively, the accuracy and verifiability of the reported data sufficiently met requirements.
Timely reporting		There is little demand for routine reporting on progress against this PI. However, the information is accessed on an 'as needs' basis, e.g. for reports, presentations, etc.
Clear/transparent		The data provided are specific, clearly written and detailed, with a helpful summary at the end.
Accuracy of TLS		Although only just falling short of the minimum number of countries required by the PI, the program has accurately applied the tight parameters of the rating system.

Program 10

Expected result: 4

Criteria for PD		Comments/data limitations
Relevant/valuable		The indicator is considered to be an important and valuable measure of progress, although the value and meaning of including a target figure was felt to be more limited, given the difficulties in being able to predict accurately how many countries are likely to update legislation over a forthcoming two year period.
Sufficient/comprehensive		It was recognized that the data provided in the PD column was limited in that more countries had updated at least one law during the 2008/09 Biennium – Kirghizstan and Russia were two that were identified during the meeting.
Efficiently collected/ easily accessible		The collection of information can be time-consuming, since it involves asking for data from individual program staff or looking for it in files. However, this process is 'fit for purpose' since the data is not regularly asked for, and is mainly only accessed for the purposes of the PPR. It was agreed that, in future, if the information is to be needed on a more regular basis, e.g. for the purposes of internal, quarterly reporting, then a simple table could be developed with an instruction that any details about updated laws should be recorded in it when first identified.
Consistent/comparable		The same PI has been included in the current P&B, and this information can be easily compared over a longer period of time.
Accurate/verifiable		The actual information included in the PD can be verified with original records and notifications of new laws and regulations and the list, as it stands, would appear to be accurate, given the comments on sufficiency in b. above.
Timely reporting		There is little demand for regular reporting of this information, and the current reporting levels appear to be timely and sufficient.
Clear/transparent		The main issue relating to clarity is the lack of distinction in the PD column between those countries that have amended their national legislation and those that are planning to do so. The PI requires the identification of countries that have updated national laws and regulations, and, strictly, only those countries that have actually amended their legislation should be included. In the validation meeting assurances were given that 25 countries had, indeed, updated at least one law, but this is not clearly reflected. It would be helpful in the future if the reporting of data kept to the precise wording of the indicator (e.g. 'updated' and 'laws and regulations') for the avoidance of doubt. In the current P&B the indicator has been adjusted to make it clear that only 'new countries' are to be considered.
Accuracy of TLS		It is difficult to reconcile the assessment of '100%' achievement against the performance data presented. Oral assurances were given that, in fact, full achievement had been reached, hence the assessment, but the inconsistency in reporting remains.

Program 11

Expected result: 3

Criteria for PD		Comments/data limitations
Relevant/valuable		The PD provided fully address and relate to the requirements of the PIs. There is some information that is not strictly required by the indicators, but nonetheless is included because it is considered to be valuable (see g. below).
Sufficient/comprehensive		The PD are sufficient for the PIs that they support. The PD could be expanded usefully by providing comparisons with figures of the previous Biennia, since the ER asks for evidence of a 'wider use of distance learning'. However, the target figures in the PIs could reasonably be expected to demonstrate a wider use, if they are matched, or, in this case, exceeded.
Efficiently collected/ easily accessible		This program demonstrated a highly efficient and effective automated system for reporting a very broad range of data useful for internal monitoring purposes. A new system, designed to meet increasing volumes of registrations and languages, is currently being introduced. This program is one of the few that is capable of capturing meaningful user feedback and can, therefore, readily include more qualitative measures into the reporting of performance.
Consistent/comparable		The nature of the PIs and the systems for providing evidence to support them enable the program to compare performance across the program and with previous results. Not all the PIs have been incorporated into the current P&B, but this will not preclude comparisons continuing to be made in the future.
Accurate/verifiable		The figures can be readily verified, with support from the IT section. Some cross-checking was carried out to verify the figures reported with those that are entered into the OPINIO system.
Timely reporting		Reporting is carried out on an 'as needs' basis, and the information can be accessed easily when data is requested or needed.

	Clear/transparent		There are some limitations in the reporting of the PD, as indicated above. Where information is provided that is not strictly required by the PD (satisfaction levels, number of participants on the IP Specialization Program, the reference to the summer schools programs), an explanation could be offered as to why they are included. Also, it may have been helpful to identify comparisons with previous Biennia, to underscore achievement against the ER ('wider use').
	Accuracy of TLS		The rating in the TLS column is sufficiently accurate for the purposes of the PPR. Given that there has been such a pronounced increase in the number of registrations, the fact that the completion rate was 1% lower than the target figure should not disqualify an assessment of full achievement.
Feedback from program:			
Re. para g, concerning "information is provided that is not strictly required by the PD", my observation is that though the information is not included in the PD, they were programs important to Member States and used part of the program budget. Perhaps they should be reflected in future PD.			
Below is a comparison with previous Biennia illustrating Wider Use of the distance learning courses:			
Biennium Number of participants			
2008-2009 71,500; 2006-2007 47,500; 2004-2005 24,226; 2002-2003 13,431; 2000 -2001 5,571			

Program 12

Expected result: 2

	Criteria for PD		Comments/data limitations
a.	Relevant/valuable		Whilst information required by PIs is valuable in itself, it is not seen to be useful for measuring performance of the program, since results are generally not directly attributable to, or controlled by, the program team. The third PI has been discontinued.
b.	Sufficient/comprehensive		It would have been helpful had more explanation been recorded as to why the third PI could not be measured and has been discontinued. (see explanation below).
c.	Efficiently collected/ easily accessible		The information is readily available on the internet and elsewhere.
d.	Consistent/comparable		Although this program has been combined with the previous program 13 for the current P&B, the indicator has been substantively carried forward.
e.	Accurate/verifiable		The information can be readily verified. One inaccuracy discovered on checking the details of Contracting Parties to the Nice Agreement, was that only two, out of a target of three, were listed within the timescale of the 2008/09 Biennium.
f.	Timely reporting		Reporting is done on an 'as needs' basis, and mostly for the PPRs. Since the information is straightforward and available on the intranet, there is little call for more frequent reporting.
g.	Clear/transparent		Reporting of PD is very simple and straightforward.
h.	Accuracy of TLS		Although only two, rather than three, Contracting Parties were found to be listed for the Nice Agreement, the classification of 50% achieved was met for the first PI. Achievement was greater than anticipated for the second PI. The third PI is assessed as discontinued.
Feedback from program:			
'Concerning the third PI of program 12 I had talks with my colleague who currently works in this program and with another colleague who had worked in the past (before 2008). It seems that there was in the past a list of offices applying Nice Vienna or Locarno classifications, which had been updated in a more or less regular basis, by collecting information from several sources, like directly from offices when a training mission was undertaken to that office or using the annual technical reports submitted by offices. However the updating of this list had already been discontinued before 2008.'			

Program 13

Expected result: 1

	Criteria for PD		Comments/data limitations
	Relevant/valuable		The PIs have only limited value in reflecting 'efficient functioning of the new IPC revision procedure'. Other evidence, besides the number of amendments, was presented to show greater efficiency, and this is reflected in the changes to the relevant PIs in the current P&B.
	Sufficient/comprehensive		The information presented is detailed and succinct. A little more information would have been helpful to identify the timing requirements for new versions.
	Efficiently collected/ easily accessible		The information relating to the number of amendments can be easily accessed and is available on the intranet.
	Consistent/comparable		The number of amendments is compared in the PD to quantities in previous years. With

			the amalgamation of two programs into one, the current PIs have been replaced and will not be subject to comparison in the 2010/11 PPR.
	Accurate/verifiable		The various amendments are reflected in detail on, and can be verified by accessing, the intranet.
	Timely reporting		Reporting is carried out on an 'as needs' basis, and primarily for the PPR. However, the information relating to amendments can be readily accessed at any time.
	Clear/transparent		The PD are clearly and simply reported.
	Accuracy of TLS		The PD support the classification of full achievement against the selected PIs.

Program 14*Expected result: 1*

	Criteria for PD		Comments/data limitations
	Relevant/valuable		Generally, PIs and supporting PD are relevant and valuable, even if some can only indirectly be attributable to the role and responsibilities of this program. The last PI, unlike the previous ones, is of less value in the absence of any target or benchmark.
	Sufficient/comprehensive		The PD, as reported, are succinct and appear appropriate for their purpose.
	Efficiently collected/ easily accessible		The ease of collection and access has been improved by the changes in the PATENTSCOPE system, and the introduction of a simple recording and monitoring tool for identifying the number of subscribers and subscriptions.
	Consistent/comparable		There are limitations on the extent to which progress reflected in the current Biennium can be compared with 2008/09 since the PATENTSCOPE system has changed and some of the PIs have either not been carried forward (e.g. subscriptions) or have been discontinued (user feedback).
	Accurate/verifiable		The PD appears to be easily accessed, particularly with the new PATENTSCOPE system and the introduction of the monitoring tool for subscriptions. The accuracy of the number of subscriptions and collections was cross-checked with supporting evidence. Feedback as an indicator was discontinued on the basis that systems were not in place to easily identify, collect and analyze user feedback. The requirement of user feedback may, likewise, present a challenge for providing PD in the current P&B (see the third PI) unless systems are introduced to produce the required information.
	Timely reporting		The program has capacity to collect PD and report on an 'as needed' basis. Quarterly reports will further support timely reporting, especially if progress against PIs is routinely included in these reports.
	Clear/transparent		The usefulness of the information reported against the first PI is limited by the adoption of the term 'up to', which is insufficiently precise when compared, say, to reporting on an 'average' figure. It would also be helpful to expand on why the information for the third PI is not available, and to state whether the PI has been discontinued.
	Accuracy of TLS		The TLS can be most effective where there are targets, benchmarks and/or baselines to report against. The first four PIs allow for an accurate assessment of achievement (a green box is missing from the fourth PI). The fifth PI does not lend itself to such an assessment because there is no way of telling whether agreements concluded with 11 countries represent full achievement.

Program 15*Expected result: 1*

	Criteria for PD		Comments/data limitations
	Relevant/valuable		In relation to the current PIs, which are both relatively simple and straightforward, the PD are appropriate, matching very closely the wording of the PIs themselves. In the current P&B the measure of 'efficiency' has been introduced, and, in future, as was suggested, PIs that measure outcomes and impact, rather than inputs and outputs, are likely to reflect more value.
	Sufficient/comprehensive		The quality of PD could be improved if, say, average figures are provided for reflecting the extent of the reduced backlog and increased efficiency in those offices that underwent evaluations.
	Efficiently collected/ easily accessible		Effective, easily accessible systems have been developed to record and report on the PD required.

Criteria for PD		Comments/data limitations
Consistent/comparable		There are limits to the extent to which the 2008/09 PD can be compared with the current P&B: the responsibility for CMOs has been transferred to another program, and a new measure of 'efficiency' has been introduced, which depends on explicit criteria being agreed.
Accurate/verifiable		The figures provided can be readily cross-checked with the entries in the database. These figures are also available on the intranet, and will be shortly accessible through the internet. The capacity to predict accurately the number of IP offices that can be supported has been reinforced by extensive experience over the past 10 years.
Timely reporting		The figures are used in annual and biennial reports, and are readily accessible when called for, including through the intranet.
Clear/transparent		Subject to the point made in b. above about the usefulness of quantifying the increased efficiency in IP offices that have been evaluated, the information provided is clear. Some greater transparency could be provided by explaining that a reduced backlog and greater transparency are proven consequences of the introduction of automated systems, so that specific PD need not be presented to substantiate the claims.
Accuracy of TLS		The target contained in the first PI has clearly been exceeded. The second target, relating to CMOs, has exceeded half the total figure projected, although the proportion of new offices being supported is well below 50%.
<p>Feedback from program:</p> <p>We understand the need to have quantifiable figures, and the suggestion to publish average figures (see "Sufficient/Comprehensive" in the table above).</p> <p>However, each office that we assist is a unique case. Therefore, average figures will not be indicative of the results that could be achieved in any given office. Rather, it would be more meaningful to publish the results in a sample of offices, without naming them, as indicative figures - perhaps showing a range of results from greatest to least effect.</p>		

Program 16

Expected result: 2

Criteria for PD		Comments/data limitations
Relevant/valuable		The PD, emphasizing number of hits and downloads, are broadly relevant to the selected ER, although less relevant to the selected PIs. The selected PIs have limitations in that the measures of 'feedback' and 'citations' are not sufficiently supported by accessible evidence, and no mention is made of these in the PD. The difficulties in estimating the number of publications using WIPO statistics are acknowledged in the PD column.
Sufficient/comprehensive		The PD are insufficient to support the selected PIs, although they are robust enough to provide evidence of progress against the selected ER.
Efficiently collected/easily accessible		Generally the PD are easily accessed through Urchin software and use of Google, although there are constraints on accuracy due to inconsistencies in relation to 'algorithms' and use of 'key words'. Urchin appears to provide an efficient and easily accessible means of producing valuable information in relation to use of statistical publications (the ER).
Consistent/comparable		The result and supporting indicators are partially included in the current P&B. It should be reasonably easy to compare number of hits and downloads, despite inconsistencies and fluctuations in the systems.
Accurate/verifiable		It is difficult to verify use of Google because of the lack of historical data. The figures arrived at through Urchin were cross-checked to establish their accuracy.
Timely reporting		On an 'as and when' basis, with no call for more consistent reporting. This is likely to change with requirements of quarterly reporting.
Clear/transparent		Succinct and clear reporting, with transparent acknowledgement of difficulties in accessing information.
Accuracy of TLS		Anecdotally, there is confidence that there has been an increased use of WIPO statistical publications. However, in the absence of baselines, and given the weakness of the selected indicators, an assessment of the extent of progress and success against this particular ER is difficult to support with hard evidence.

Program 17

Expected result: 1

	Criteria for PD		Comments/data limitations
	Relevant/valuable		The value and relevance of the PD are influenced by the quality of the selected PIs. In this case, the first PI is considered to be a useful measure of performance, especially given that there is felt to be a shared and consistent understanding of what constitutes a 'strategy'. Although the support services provided to support legislative frameworks are delivered in a manner consistent with the ER, the second PI, in the way it is worded, is considered to be inapplicable. This conclusion has been arrived at on the grounds that the program has little control over how its assistance is implemented, so that attribution is too remote, and of confidentiality. As a result the relevance and value of what can be reported to support the second PI is limited.
	Sufficient/comprehensive		The information provided is sufficient for the purposes required – i.e. to demonstrate success against the selected targets. However, the data provided against the first PI could have been extended to include all the strategies that have been formulated over the Biennium period, and not just the minimum number sufficient to comply with the target. In such a situation, real success and progress can be under-reported.
	Efficiently collected/ easily accessible		The information required to support both PIs is readily accessible and verifiable with documentation that has emerged from the relevant events
	Consistent/comparable		Due to the limitation of the PIs, the PD are not capable of being compared in future years, since the PIs have been adjusted and improved and these are no longer adopted as measures for the current P&B.
	Accurate/verifiable		The information provided against the first PI can be readily cross-checked and verified with accessible documentation.
	Timely reporting		Comprehensive information is provided annually to meetings of the ACE.
	Clear/transparent		The PD are written succinctly and clearly.
	Accuracy of TLS		The assessment of fully achieved against the first PI can be supported and justified by evidence produced. An assessment of full achievement is not appropriate against a weak, second PI, which is considered to be inapplicable for purposes of performance assessment. Although such an assessment can be justified in relation to the quality of advice and assistance provided, it was agreed that a more accurate assessment in the circumstances would be a clear/transparent box, provided that it is clearly understood that it is the indicator that is not applicable or appropriate rather than the work undertaken.

Program 18

Expected result: 1

	Criteria for PD		Comments/data limitations
a.	Relevant/valuable		The limitations of the PIs necessarily have an impact on the value of the reported performance data. The first and third PIs are considered to have the potential for assessing meaningful progress and achievement. However, they would be considerably strengthened if the PIs were capable of identifying processes and requests of real significance and of encouraging a focus on quality in addition to quantity. In relation to the first PI, three processes were singled out as capable of reflecting real achievement, with two having been identified as successful at the end of the previous Biennium. The second PI is undermined by the absence of systems to record and collate feedback on a consistent basis.
b.	Sufficient/comprehensive		The information reported is sufficient, in the absence of requirements for highlighting the more significant processes or requests, and in the absence of systems for capturing feedback and the total number of requests.
c.	Efficiently collected/ easily accessible		Again, the specific information needed to support the second and third PIs could not be easily accessed or efficiently collected. The data required to support the first PI is more readily available, and suitably accessible for the reporting purposes required, which are mainly related to the demands of the PPRs.
d.	Consistent/comparable		The improvements and changes made to the PIs for the current P&B mean that the PD included in the 2008/09 are no longer reference points, or relevant to ongoing performance measurement.
e.	Accurate/verifiable		The PD reported on are verifiable against a range of documents held by the program and, although extensive cross-checking was not carried out, the nature of the TLS assessment and the PD themselves do not give rise to any concerns about accuracy of reporting.
f.	Timely reporting		In the absence of requests for more frequent reporting than is required for the PPR, the existing reporting mechanisms are fit for purpose.
g.	Clear/transparent		Subject to the comments on data limitation given above, the actual reporting in the PD column, and subsequently in the validation meeting, is sufficiently clear and transparent

			for the purposes required.
h.	Accuracy of TLS		All the PIs have a 'partially achieved' rating in this program, primarily as a result of the reported shortfall of resources available to the program, particularly relating to leadership, supervision and experienced personnel. The accuracy of the assessment in relation to this selected ER can be supported by the acknowledgement that only two of the three significant processes could be judged to have been successful, and the absence of targets and systems for the second and third indicators does not lend itself to a higher assessment of achievement.

Program 19

Expected result: 3

	Criteria for PD		Comments/data limitations
a.	Relevant/valuable		The links between the PD, PIs and ER are clear and direct. The PIs have been selected on the basis of 'fit for purpose', particularly taking into account criteria of: measurability; consistency; accessibility of data; and value in relation to a significant aspect of the wide range of responsibilities of the section.
b.	Sufficient/comprehensive		The PD are succinct and directly related to the requirements of the PIs. Actual numbers could have been included, but only percentage figures are required, and the detailed figures were presented separately to support the percentage calculations.
c.	Efficiently collected/ easily accessible		PD are recorded on separate systems for each of the three PIs. The source data is readily accessed, with some additional time required to collate the information, e.g. to aggregate figures for the Biennium period and for calculating percentages. If the data were required more frequently, systems for collating the information more speedily might be considered, but, at present, the systems for reporting the PD are considered appropriate.
d.	Consistent/comparable		The PD are consistent with what has been produced in previous years and the PIs have been designed to generate consistent information, through the use of simple but reliable parameters for searching and recording data. Only one of the PIs has been included in the current P&B (number of world press articles).
e.	Accurate/verifiable		The percentage calculations were supported by actual figures provided. These actual figures are verifiable against the original data recorded. Lists are 'active', e.g. contact details are replaced and removed, not merely added to, and search parameters have been consistently applied over recent years.
f.	Timely reporting		Reporting of these PD is done on an 'as needs' basis and not routinely, save for purposes of the P&B. The PD are not explicitly included in the current quarterly reporting, nor are they used in other reports unless specifically requested. One point for possible further reflection is the question of how valuable the PD and PIs are regarded if they aren't required to be included in internal monitoring reports (e.g. through quarterly reporting) and whether, in the longer term, senior management would want to see other indicators used for this purpose.
g.	Clear/transparent		The PD are simple, clear and straightforward, in line with the clarity of the PIs and ER selected for this section. One aspect discussed was the challenge of being precise and consistent when applying the criterion of 'regularity' in the second PI.
h.	Accuracy of TLS		Since all the targets are clearly exceeded, with supporting evidence, the assessment of full achievement against the approved PIs can be wholly justified.

Program 20

Expected result: 1

	Criteria for PD		Comments/data limitations
a.	Relevant/valuable		While some merit can be derived from the PI, it is limited in one main aspect: it is not capable of discriminating what is of particular significance or value in the inputs that the program is making to international fora. During the meeting it was pointed out that, during the Biennium, two particular achievements stood out – the new positioning of WIPO in the mainstream of deliberations on climate change; and the recent successful engagement of WIPO in WHO access to health processes. It would be helpful, for the future, if a PI could be devised which would more readily reflect the value of inputs, rather than rely solely on the number of documents provided.
b.	Sufficient/comprehensive		Perhaps as a consequence of the weakness of the PI, the PD do not sufficiently reveal how far the PI has been achieved. It is not explicitly pointed out in the PD that the active participation in 30 meetings led to at least 8 documents submitted. In subsequent discussion it was pointed out that, inter alia, WIPO organized 4 side events, produced 8 documents for guidance, advised 45 delegations, and WIPO's name is mentioned in 8 documents or final reports of the negotiations, making WIPO a lead stakeholder on both

			processes.
c.	Efficiently collected/ easily accessible		Given the nature of the information required, there is unlikely to be any difficulty in accessing it and reporting on it when required.
d.	Consistent/comparable		The PI has not been obviously carried forward into the current P&B, and its value for the purposes of consistency and comparability is therefore limited.
e.	Accurate/verifiable		Despite the undemanding nature of the PI and the rather generalized approach to reporting the PD, the information provided is easily verifiable, although shortage of time prevented any actual cross-checking.
f.	Timely reporting		The information being reported for the PI is mainly utilized for the purposes of the PPR and it not required on a more routine or regular basis. It can, therefore, be said to be 'fit for purpose'.
g.	Clear/transparent		The PD column does not clearly reflect how many documents and international meeting reports reflected WIPO's inputs during the Biennium. It is also not clear, without the benefit of further explanation, whether the PI requires evidence of 8 documents in meeting reports, or whether 8 documents or meeting reports reflecting WIPO inputs would constitute compliance with the requirements. Subsequent information clarified the position.
h.	Accuracy of TLS		The program as a whole has been discriminating in its use of the rating system for achievement, and this lends greater credibility to the assessment of full achievement in this result area. In relation to this ER a 'fully achieved' rating has been applied, on the basis that at least 8 documents have been presented with inputs from WIPO. Whilst it is not clear from the submitted PD whether the target has been achieved, subsequent information confirmed the assessment.

Program 21

Expected result: 4

	Criteria for PD		Comments/data limitations
a.	Relevant/valuable		The single PI in this ER has some strengths and limitations: it is straightforward, clear, easily measurable, and has the capacity to capture some elements of quality, besides timeliness, in that poorer quality processing is likely to involve more time, if spotted internally. On the other hand, not all the responsibility for delay and failure to meet the target can be attributed to the OLC, and the PI is limited in its capacity to measure more meaningful and valuable attributes of quality of service. To this extent this PI could be complemented by a further measure that focuses on other aspects of quality (such as clarity and accuracy). Other options were discussed such as: recording expressions of dissatisfaction; seeking customer feedback as part of a wider, coordinated organizational initiative to record customer satisfaction; or a simple check-list of basic quality criteria that can be quickly completed at the time of finalizing the notification.
b.	Sufficient/comprehensive		More information than is strictly required to support the PI has been included in the PD column, on the basis that it is information that is seen to be valuable and relevant to the ER. A more precise reporting of the actual average time taken, rather than a confirmation that the target has been met, would be preferable and is considered in c. below. However, the information is sufficient for the purposes of the PI.
c.	Efficiently collected/ easily accessible		The basic data is recorded and accessible through the filing system.. At present the information about timeliness is not frequently requested, and the time taken to extract the information, on the occasions it is needed, is thought to be appropriate. However, given that the indicator has been included in the current P&B, and that the target figure has been tightened to 3 days, it is suggested that it would be useful to be able to access the average time being taken and track progress and success more easily. It would be important to keep this monitoring system simple but up-to-date, if the indicator continues to be regarded as valuable.
d.	Consistent/comparable		The information on timeliness is clearly capable of comparison over the years, and the indicator has substantively been retained for the current Biennium.
e.	Accurate/verifiable		As mentioned in c. above, the information is verifiable, mainly through extracting it from files. Also the nature of the information is such that exceptions to the standard time period are likely to be known without reference to statistics.
f.	Timely reporting		As previously mentioned, to date reporting of this performance data is not routinely or regularly required, aside from for annual reporting and PPRs.
g.	Clear/transparent		Subject to the limitations mentioned above, and the desirability of having a precise average figure in the PD column, the data are otherwise sufficient to meet these criteria.
h.	Accuracy of TLS		Despite the lack of a precise figure and easily accessible supporting information, there is no reason to doubt that the target figure has been observed fully. The fully achieved assessment would be much more obviously justified with more detailed supporting evidence.

Program 22

Expected result: 1

	Criteria for PD		Comments/data limitations
a.	Relevant/valuable		In order to ensure that all the PD are useful there should be some tightening of the indicators relating to payments. It was agreed, that, in future, a more realistic assessment of the percentage of payments that can meet time criteria would help the program communicate real progress and success, by taking into account factors and obstacles that lie outside the program's control.
b.	Sufficient/comprehensive		The information provided is appropriate to support the PIs. The inclusion of the requirement of 'relevance' in the second indicator has been carried over to the current P&B, and may need further interrogating if supporting evidence is not easily identifiable for measuring progress in this respect.
c.	Efficiently collected/ easily accessible		It was agreed, during the course of the meeting, that the development of a 'log' or other, simple monitoring tool may save time in easily accessing supporting evidence, particularly in relation to establishing timeliness of reports and payments.
d.	Consistent/comparable		The ER and PIs have substantively been carried forward, and some comparisons will be possible over the course of the two Biennia. Comparisons will be improved with more realistic and precise targets for timely payments.
e.	Accurate/verifiable		Yes, although time constraints prevent more comprehensive verification of the PD for all PIs.
f.	Timely reporting		Much of the information is required to be reported on a routine and regular basis, and that information is routinely acquired. Other information, particularly in relation to payments, is not required on a routine basis and is accessed on an 'as needs' basis.
g.	Clear/transparent		PD almost entirely meets criteria for clarity and transparency. One minor improvement to transparency could be made in the provision of an explanation as to why only one benchmark is reported on for the last PI, when 'benchmarks' are identified.
h.	Accuracy of TLS		The program appears to be realistic in making its assessment about achievement. It was pointed out that the last PI, given the nature of the single benchmark used, could not fail to be fully achievable.

Program 23

Expected result: 2

	Criteria for PD		Comments/data limitations
a.	Relevant/valuable		For both the specific context of the 2008/09 Biennium and the general objective of an improved system for appraisal (the ER), the PIs, and supporting PD, are considered to be relevant, although they may not be replicated in the future.
b.	Sufficient/comprehensive		The PD supplied are sufficient and comprehensive enough for reporting against the PIs, subject to the comments in g. below.
c.	Efficiently collected/ easily accessible		The information required to support the PIs was demonstrably easy to access through the databases that have been developed.
d.	Consistent/comparable		Although these same PIs have not been reflected substantively in the current P&B, the figures that are included in the PD column, or else lie behind the PD (e.g. precise numbers of completed appraisals), can easily be compared with similar data in future time periods.
e.	Accurate/verifiable		The figures that lie behind the PD can be verified against the original entries on the databases, relating to actual appraisals completed and numbers of staff trained.
f.	Timely reporting		Routine reports have not been frequently requested, but reports on the status of appraisals and staff training are compiled and submitted by the Technical Coordination Section.
g.	Clear/transparent		A greater degree of clarity and transparency could have been reflected in the reporting by, for example: including actual figures against the first PI, even if, at over 99%, they do not differ significantly from the use of 'all'; the second PI could have been better defined to avoid the appearance of a mere statement of fact, rather than an indicator of progress or success; the third PI has little inherent value without being linked to a projected figure or some measure that is capable of reflecting achievement.
h.	Accuracy of TLS		In other PPRs the TLS ratings are more usually applied to individual PIs rather than to the ER as a whole. In this case the rating can be justified against the first and second PIs since the completion of all appraisals within the PMSDS framework and the inclusion of an RBM module in all training should be recognized as reflecting full achievement against the PIs. The assessment of full achievement against the third PI is hard to substantiate in the absence of any specific target or objective.

Program 24

Expected result: 1

	Criteria for PD		Comments/data limitations
	Relevant/valuable		The capacity of the program to communicate real and meaningful progress through the PD is constrained by the limitations of the PIs that have been inherited. These have been strengthened in the current P&B, and several options are being considered for making them more capable of measuring intentional and significant progress. Limitations in the 2008/09 PPR were found to be: the first PI could be considered to be more relevant to measuring workload than performance and could be refined if distorting variables and external factors were incorporated into the measures and calculations; the second PI could be improved by replacing the term 'consolidation' and applying criteria which identify the savings that are most relevant to performance measurement.
	Sufficient/comprehensive		The information provided in the PD column is sufficient, pertinent and clearly articulated. The reduction in numbers of tenders and purchase orders required by implication in the PIs could have been more clearly evidenced by a final percentage, or equivalent figure that more easily reveals and compares the extent of the reduction.
	Efficiently collected/ easily accessible		The basic data are captured on databases and are easily accessible. Some time is required in relation to the first PI to arrive at the final figures, and more time to identify savings with the second PI. With the new ERP system the access to, and collection of, data should be significantly improved.
	Consistent/comparable		Improvements to the PIs for the current P&B, and options being considered for the next Biennium mean that the 2008/09 PIs do not lend themselves directly to future comparisons, although the underlying data relating to tenders, POs, procurement values and savings will be capable of comparison with past and future years.
	Accurate/verifiable		The figures used to substantiate the final calculations can be readily verified, and are, besides, the subject of regular internal and external audits.
	Timely reporting		Information is offered annually to the CRC, and, where significant, will be included in the quarterly reporting requirements.
	Clear/transparent		The information provided is detailed and clear and appropriate for the demands of the PIs.
	Accuracy of TLS		In the absence of stronger PIs and specific targets there is limited value in trying to assess a percentage figure of achievement. However, the fully achieved assessment can be clearly justified by: in relation to the first PI, the enhanced cost-efficiency demonstrated by the reduction in numbers of tenders/POs in relation to total value, and, in relation to the second PI, by the demonstration that actual savings have far exceeded the required target.

Program 25

Expected result: 3

	Criteria for PD		Comments/data limitations
a.	Relevant/valuable		As measures of efficiency, cost-effectiveness and quality of external IT service provisioning, the two PIs are considered by the program team to have limited value in reflecting progress and success. The first PI, in particular, could have been usefully refined, possibly by reference to the size and scope of the SLA, or by identifying other and more specific measures rather than overall numbers of SLAs. The absence of predicted targets undermines the real value of these PIs, particularly, as in the second one, where the use of 'minimum' is so vague.
b.	Sufficient/comprehensive		The PD provided are succinct and to the point. Given the nature of the PIs, which have no targets attached, not much more could be expected.
c.	Efficiently collected/ easily accessible		The nature of the information required to be reported on is easily accessible, through the electronic system for recording and reporting on the number of relevant incidents.
d.	Consistent/comparable		The first PI is substantially incorporated into the current P&B (with a baseline of 2 SLAs mentioned), although the number of SLA incidents does not appear to be included.
e.	Accurate/verifiable		The number of incidents can be readily verified by reference to the UNICC data recording system, and in the 2008/09 Biennium there were no breaches of compliance with the relevant requirements of the SLA.
f.	Timely reporting		Incident reporting is routine as part of the SLA with UNICC. The PD are not otherwise included in routine reports internally to WIPO
g.	Clear/transparent		The clarity of reporting could be improved in two ways: firstly, a more explicit account of how the PD and PIs support a more efficient, cost-effective, and high quality provisioning (requirements of the ER); and, secondly, through a more accurate or definitive description of what is meant by an 'incident' (at this meeting, 'violation' or 'breach' of the terms of the SLA was taken as the intended meaning).
h.	Accuracy of TLS		Whilst the existence of a substantial, and, reportedly successful, SLA, can justifiably be assessed as full achievement of the ER, in the absence of any specific target for the

			number or size/scope of SLAs, it is difficult to make a meaningful assessment against what might have been expected over the two year period in relation to the first PI. The assessment in relation to the second PI is clearly justified, despite the lack of specificity with the PI.
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Program 26

Expected result: 1

	Criteria for PD		Comments/data limitations
a.	Relevant/valuable		The relevance and value of the PIs and PD are limited by two main factors: firstly, the absence of easily accessible baseline figures to substantiate the reporting of improved implementation; and, secondly, appropriateness of a PI which aims to assess performance against the measure of timeliness of implementation which substantially lies outside the control of this Section. The number of Internal Audit recommendations accepted by the Director General may be a measure which is more closely attributable to the performance of the Section.
b.	Sufficient/comprehensive		Subject to the limitation in a. and g., the level of detail and scope of response sufficiently meet the criteria.
c.	Efficiently collected/ easily accessible		The PD required to support the majority of PIs are readily accessible. In relation to the first PI, the development and functioning of the new database is offering significantly more efficiency and accessibility, particularly with the capacity to track the 'ageing' and timing of implementation of recommendations.
d.	Consistent/comparable		The ER and PIs have been substantively carried forward to the current P&B and are capable of comparison in the longer term. Comparison of the organization's performance against the first PI will be much easier to carry out with the new, automated database.
e.	Accurate/verifiable		Subject to the comments in a. above about the absence of hard data and, therefore, the difficulties of establishing 'improvement', supporting evidence was produced to establish the accuracy and verifiability of the other PIs
f.	Timely reporting		Reporting on the status of recommendations was carried out routinely every six months, and more frequently in response to demand for the information. Standard planning and reporting in the section is carried out annually.
g.	Clear/transparent		This is an area where there is some scope for improvement in the quality of PIs selected and PD provided: firstly, the reasons behind an 'orange' rating could have been more clearly articulated; the second PI appears ambiguous, since it is not clear whether it is intended that all high risk areas are audited, or that only high risk areas are audited – it is also not obvious what meaning or value is added by the addition of the word 'key'.
h.	Accuracy of TLS		Assessment of success against PIs appears justified, given the 'orange' rating for the first PI and allowing for the ambiguity in the second PI.

Program 27

Expected result: 2

	Criteria for PD		Comments/data limitations
	Relevant/valuable		The relevance and value of the PD are limited by the weakness of the PI which, although it has some merit as a measurement of progress, is ambitious and lacks refinement and value, particularly in not taking account of obvious variables, such as the volume of documents that need mailing. The same PI has substantively been replicated in the current P&B (with a less ambitious target), and an opportunity will not be presented until the next Biennium's P&B for the new management team to improve on the indicators and make them more meaningful and realistic for monitoring and measuring progress and success in bringing about significant results.
	Sufficient/comprehensive		Given the requirements of the PI the supporting information in the PD column is comprehensive, pertinent and succinct.
	Efficiently collected/ easily accessible		Mainly as a result of the partial value and usefulness of the information required to support this PI, the data are not requested routinely or reported on more frequently than for the PPRs. Although there are systems in place to record details of mailings, documents and events, it can be time-consuming to put the information together efficiently for the purposes of reporting against this PI. As the indicators are improved, it is recognized that corresponding systems will need to be developed to provide easy access to performance data.
	Consistent/comparable		As the PI has been carried over to the current P&B, there is a consistency and capacity for comparison with this ER over longer time periods.
	Accurate/verifiable		The figures used to support the percentage calculations can be readily verified against the entries in the relevant databases. Partly as a result of the transparency in reporting, there can be little cause for concern about the validity of the figures being used, although no

	Criteria for PD		Comments/data limitations
			check was carried out about the accuracy of recording in the databases or the baseline figures used.
	Timely reporting		Since reporting of this information has, to date, only been required for the purposes of the PPR, it has to be regarded as 'fit for purpose', although a more useful PI would lend itself to more regular and routine collating and reporting for internal monitoring purposes.
	Clear/transparent		The PD are a model of clarity and transparency, within the constraints of the PI.
	Accuracy of TLS		The assessment of partial achievement is fully justified by the performance data supplied. However, this is an example where a rating of partial achievement against a challenging, if problematic, PI can reflect a lot more progress and achievement than a 'fully achieved' rating against an imprecise indicator that has neither baseline nor target.

Program 28

Expected result: 3

	Criteria for PD		Comments/data limitations
a.	Relevant/valuable		The PD identify 3 areas where achievement can be evidenced in relation to the selected ER: reduction in injuries; the commissioning of a fire risk assessment report; and the recruitment of a safety officer. The reporting would have been strengthened by the inclusion of specific performance measures, in the PI column, to replace what is, essentially, another form of wording for the expected result. In the absence of specific performance measures an assessment of progress against what was planned or intended at the start of the Biennium is more difficult to carry out. More specific indicators have, however, been identified for the current P&B.
b.	Sufficient/comprehensive		The information provided is sufficient and comprehensive, in the absence of identified performance measures.
c.	Efficiently collected/ easily accessible		The evidence for the reporting of injuries is easily accessed through a database of reported incidents which is maintained as part of the UNSMS.
d.	Consistent/comparable		The program was newly set up for the 2008/09 Biennium. Comparisons and consistency with future years should be standard in relation to the number of workplace injuries, which are the subject of a PI in the current P&B.
e.	Accurate/verifiable		The only completed activity reported on relates to the reduction in the number of injuries/medical assistance, and the reported figures were cross-checked with the detailed entries made on the database.
f.	Timely reporting		Routine reporting is carried out in conformity with the requirements of the UNSMS. Data relevant to this ER are utilized internally, and are included in the new quarterly reporting requirement.
g.	Clear/transparent		The PD are written clearly, with specific details in the first paragraph demonstrating a reduction in injuries. Occasions on which medical assistance has been provided are also included in the PD, although they are less clearly attributable to a reduction in risk of injury, which is the objective identified in the ER. The second and third items (risk assessment and recruitment of safety officer) were not completed by the end of 2009, but have been achieved (i.e. report signed off, and selection made) in the first four months of 2010.
h.	Accuracy of TLS		The assessment of partial achievement is appropriate for the actual indicator selected. If there had been a separate indicator for a reduction in the number of workplace injuries, then a separate 'fully achieved' assessment would have been justified against that objective.

Program 29

Expected result: 1

	Criteria for PD		Comments/data limitations
a.	Relevant/valuable		The PD are reported directly against the PIs which are, in turn, closely linked to the ER. The date identified in the overall objective for this program was established before the Biennium and before a revised timeline and budget were contractually agreed and subsequently approved.
b.	Sufficient/comprehensive		The summary information provided in the PD column is more than sufficient to support the PIs. Further details can be found in the various reports submitted to the General Assembly, the Program and Budget Committee and to the Audit Committee and from external audit reports.
c.	Efficiently collected/ easily accessible		The program is of such high importance and visibility that the timing and financial information is readily available and accessible.
d.	Consistent/comparable		The PIs themselves are reproduced in the current P&B, although there is a limit to how much comparison can usefully be made, save the fact of compliance with the timelines and

	Criteria for PD		Comments/data limitations
			budgetary envelope.
e.	Accurate/verifiable		The information provided was cross-checked with reports submitted to the PBC for each of the two years. In all manner of ways, these PD are verified externally on a regular basis.
f.	Timely reporting		Reporting requirements are necessarily rigorous, and regular reports are sent to a number of bodies (see b. above)
g.	Clear/transparent		The PD are expressed simply and clearly and are consistent with what is reported elsewhere.
h.	Accuracy of TLS		The only significant limitation in relation to data quality is evidence of some inconsistency and uncertainty in the application of the TLS. If, as is assumed for the purposes of the validation exercise, the PD are primarily intended to provide evidence to support an assessment of progress and success against the PIs, then, in this case, it appears fair to accord a 'fully achieved' rating for both PIs. This would be justified on the grounds that the timelines and budgets agreed in the contracts, and subsequently approved by MS, have been fully 'observed'. However, if the PD are to be applied to previous and 'overriding' targets identified specifically in the overall objective, then it is arguable that a 'partially achieved' rating should be applied to both PIs, since both the original timing and the budgetary limits, identified well before the start of the Biennium, were not adhered to subsequently.

[Appendix V follows]

PPR Validation Approach

FAQ Paper

Good quality information is crucial if performance measures are to be used effectively to improve service delivery and accountability. Such information should help the Organization to:

- a) manage delivery against priorities; b) report reliably on its achievements; and c) assess whether WIPO needs to revise policies and programs.

Page 1

Q1: What is validation?

According to the OECD, "Validation" describes methods and processes for routinely assessing source data – including monitoring data, sample surveys, and administrative records – and how the results of the assessments are monitored and made available to guide processes.

It also describes how intermediate results are validated against other information where applicable, how discrepancies in intermediate data are assessed

Q2: Why do we need validation?

- To have a thorough independent assessment by a Third Party (validation team) of authenticity and reliability of the information on progress on program deliveries.
- To demonstrate WIPO Member States and other stakeholders our commitment to deliver good quality information that can be used effectively to improve service delivery and accountability.

Key questions

- Q 1 What is validation?
- Q 2 Why do we need validation?
- Q 3 How can I as a program manager contribute to the validation process?
- Q 4 What are criteria for validation?
- Q 5 How can IAOD assist in this process?
- Q 6 Which steps to take?

Continued on Page 2

Assess whether the information used in individual program performance reports is: relevant, timely, accurate, consistent, verifiable and transparent

Q 3: How can I contribute to the process?

Program managers shall:

- Send their individual Program Performance Reports to IAOD Evaluation Section in a timely manner.
- Keep records of the information that is being used for reporting performance within their programs.
- Upon request, make available all relevant information used for reporting purposes as part of the program performance report. The validation team may request clarifications, including validation of specific documents.

Q4: What are criteria for validation?

Relevance
Timeliness
Accuracy
Consistency
Continuity of Information
Transparency
Verification

Q5: How can IAOD assist during the process?

- Guide and inform WIPO during the validation process.
- Make the process as participative as possible.
- Provide as part of the validation report finding, conclusions and recommendations for improving current performance assessment systems.
- Provide a thorough and independent assessment of authenticity and reliability of information used in individual program performance reports.

Q6: Which steps to take?

1. IAOD to sample expected results
2. IAOD to share with program managers list of sampled expected results and request information for validation from PMs.
3. IAOD to validate the authenticity and reliability of information and PMs to make information available.
4. IAOD to prepare validation report.
5. IAOD to disseminate validation report and lessons learned from validation exercise.

[End of Appendix V and of document]