

WIPO Coordination Committee

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PERFORMANCE MANAGEMENT AND STAFF DEVELOPMENT SYSTEM (PMSDS)

Memorandum by the Director General

1. The new Performance Management and Staff Development System (PMSDS) was officially launched across WIPO (and UPOV) in April 2009. The PMSDS is a key initiative of the Strategic Realignment Program where it supports the core value of “Accountability for Results” and “Working as One”.
2. The PMSDS functionality is being deployed in three phases, each phase being supported by a comprehensive communication process, featuring formal and informal training through a mix of formal workshops, coaching sessions, and staff briefings.
3. The first phase (Phase I) of the PMSDS introduced a new five-point rating scale for performance evaluation with a mandatory meeting to discuss performance between all supervisors and their supervisees. Phase I was successful in its aims: a compliance rate of 98% was achieved regarding the establishment and finalization of the PMSDS reports; there was a good measure of distribution across the three new ratings for effective performance; and, while there were a small number of contested cases, only one ultimately had recourse to the system of administration of justice. The introduction of a mandatory dialogue between the supervisors and supervisees on performance objectives and development needs also contributed to a substantive improvement in informal communication.
4. The second phase introduced detailed planning functionality for staff work and development, with explicit linkage to the expected results detailed in the 2010 workplans for functional units under the Results-based Management framework. A competency model was introduced for the PMSDS covering core and managerial competencies. Provision was made for both the formal identification of training needs in support of staff development and the closing of organizational skill gaps, and for recording expressions of interest in internal staff mobility. The phase was deployed in June 2010, after the approval of the 2010 workplans.

5. An extensive training program for all staff, developed with an external partner was undertaken in support of the new functionality of Phase II, with mandatory workshops on SMART objective setting, the competency model, and performance evaluation-related communication skills. In all, some 1,100 of WIPO's staff and employees underwent training. In the case of those staff with supervisory roles this amounted to several days of workshops, and is an important element of the organization's commitment to management capacity-building. Further support for colleagues undertaking the PMSDS planning exercise has been provided by way of individual and group coaching sessions.
6. There is provision for further PMSDS-orientated training during the autumn of 2010, leading up to the deployment of the detailed evaluation functionality in Phase III of the PMSDS in the first quarter of 2011. Staff will then be evaluated on their performance in 2010 against their previously agreed objectives, and the new planning cycle for 2011 will begin. At this point the PMSDS will be considered fully implemented, and from then onwards, the PMSDS evaluation and planning exercise will take place in the first quarter of each calendar year.
7. A key objective of the PMSDS is to provide management with HR-related information, to identify development needs and subsequent resulting training needs, which would, *inter alia*, feed into the Program and Budget preparation exercise for 2012-2013 and beyond. In support of this objective, an IT system has been developed specifically for the PMSDS with sophisticated reporting possibilities.
8. Further information regarding the PMSDS is provided in the Annex to this document in the form of the official guidelines for the use of the system and explanations of the concepts involved, and a description of the core and managerial competencies employed by the system.

9. *The WIPO Coordination Committee is invited to note the information as contained in paragraphs 1 to 8, above.*

[Annex follows]

Performance Management and Staff Development System



Guidelines

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1 INTRODUCTION

The main purpose of the PMSDS is to improve WIPO's performance to the mutual benefit of the Organization and the people working in it.

Alignment, capability and motivation are the key human factors of high-performing organizations today. The PMSDS is therefore expected to facilitate:

- Closer alignment of people with the strategic goals of WIPO;
- Systematic and proactive staff development ;
- Continuous dialog between supervisors and employees to generate common understanding and engagement.

The focus of the system is on the **future** as the past cannot be changed. Nevertheless, it is important to discuss and evaluate the past to:

- Acknowledge good performance;
- Identify areas for further development;
- Learn from experience for continuous improvement;
- Proactively address under performance.

2 FAMILIARIZING YOURSELF WITH PMSDS

Read through this document to familiarize yourself with the concepts and components of PMSDS. In addition, visit the [PMSDS intranet page](#) for more information, which may be updated and/or amended from time to time:

- PMSDS Frequently Asked Questions
- Additional Information: <ul style="list-style-type: none"> ➤ Understanding the PMSDS Rating Scale ➤ Examples of Performance Indicators ➤ WIPO's Core and Managerial Competencies ➤ Identifying Training Needs ➤ Addressing Under Performance
- Sample of a PMSDS cycle report
- PMSDS Related Office Instructions and Information Circulars
- PMSDS Focal Points in WIPO
- ePMSDS User Manual

3 FOLLOWING THE PMSDS CYCLE

Performance management and staff development in the PMSDS is a **process** throughout the year, not a one-time event, **shared** by the direct supervisor and the employee.

The PMSDS cycle is aligned to the **calendar** year. This facilitates the identification of individual objectives in line with the biennial Program and Budget and the related annual workplans of organizational units.

The creation and follow-up of a PMSDS cycle is supported by ePMSDS, an IT Tool developed internally by the IT Division to support the PMSDS processes. It is a fully electronic system including electronic signatures which brings to an end the processing of paper-based PMSDS reports. In this context, electronic signature means the execution of a “Sign-off” action in ePMSDS by which the current user id and date/time of the execution is stored electronically in the system. Once the direct supervisor and the employee sign-off the Planning, Interim Review or Evaluation in ePMSDS, it will not be possible to further modify the information in the same stage in ePMSDS. All references to “signatures” and “Sign-off” in these guidelines, as well as related Office Instructions and documents, refer to such electronic signatures.

3.1 Determining the Expected Team Performance for the Upcoming Year

- *Towards the end of the year*

Towards the end of a year, a unit meeting should be conducted in which the team is introduced to the overall strategy of the related program and the activities planned there under for the upcoming year (see biennial Program and Budget and annual Workplans). Discuss with the employees the team objectives and expected results in relation to these activities and develop together a plan on how to implement them. Identify possible individual assignments for the various initiatives. All team members should have a clear understanding of what is expected from the unit overall and what is their individual role and responsibility for the success of the unit and of the Organization.

3.2 Preparing and Conducting PMSDS Meeting(s)

- *At the end of the year/beginning of the next year*

Allocate sufficient time to prepare and conduct the PMSDS meeting(s). Before the meetings, reflect about the performance during the past period and develop ideas for the next PMSDS cycle. During the first meeting exchange your views and ideas about the evaluation and the planning.

For more information see the chapters of this document:

-	Evaluating Performance of the Past PMSDS Cycle
-	Planning Performance for the Upcoming PMSDS Cycle
-	Understanding the Role of the Employee , the Direct Supervisor and the Reviewing Officer

After the first meeting, the information should be entered into ePMSDS and both, the direct supervisor and the employee, should take a few days to reflect on the evaluation and the planning before meeting a second time to finalize it. In case of persisting disagreement on the evaluation, the reviewing officer should be involved as mediator. The evaluation should only be signed by the direct supervisor, the employee and the reviewing officer once the mediation process has been completed.

For any clarifications or other performance management and staff development-related questions, contact your PMSDS focal point and/or HRMD.

Please note, the recorded information must be provided in either **English** or **French**, whatever is the usual language of communication between the employee and direct supervisor. If this is not obvious, confirm the language **beforehand**. However, the employee's comments (made in any of the three sign-off sections of ePMSDS) and the reviewing officer's comments may be provided in either of the two languages.

3.3 Evaluating Performance of the Past PMSDS Cycle and Planning Performance for the Upcoming PMSDS Cycle

➤ *Until March 31 of the year*

Once the evaluation has been completed including the information recorded by the employee, it should be first signed off by the direct supervisor and then by the employee in the Overall Evaluation and Sign-off Section.

Next, the reviewing officer should provide his/her feedback and sign off the evaluation. In case of disagreement and/or comments of the reviewing officer, the evaluation would need to be signed off again by the employee.

Simultaneously along with the evaluation, the next PMSDS cycle should be initiated by the direct supervisor to register the planning. The detailed planning information can be recorded in ePMSDS by the direct supervisor and the employee.

Once the planning has been completed including the comments by the employee, it should first be signed off by the direct supervisor and then by the employee in the Planning Sign-off Section.

All concerned parties should have signed off the evaluation and the planning at the latest by March 31 of the year.

3.4 Providing Continuous Feedback during the Year

- *Throughout the year*

On an ongoing basis, the direct supervisor and the employee would need to discuss and follow-up on the work and development-related objectives, key competencies and identified training needs.

3.5 Conducting an Interim Review

- *When requested during the year*

In general, the interim review is not obligatory, but can be requested by either the direct supervisor or the employee (in which case, the interim review should be held).

It is recommended, however, to conduct an interim review when:

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| - There is a marked change in the objectives , for example, when new responsibilities are allocated or priorities have changed; |
| - There is a major concern related to the performance of the employee to avoid surprises at the year-end; |
| - The last overall rating of performance was of concern (“meets partly” and “does not meet” expectations). |

The changes in objectives should be reflected in the Revised Planning Section of the interim review. Comments concerning the changes and/or concerns should be provided in the Interim Review Sign-off Section. The direct supervisor does not provide a rating of the employee’s performance in the interim review. The employee can add his/her comments, if any. The interim review should be dated and signed by the direct supervisor and the employee in the Interim Review Sign-off Section.

3.6 Closing the Cycle (Evaluation) and Creating a New Cycle (Planning)

- *At the end of the year/ beginning of the next year*

Prepare and conduct PMSDS meetings and record the information in ePMSDS as described above by March 31 of the next year.

4 EVALUATING PERFORMANCE OF THE PAST PMSDS CYCLE

In PMSDS, it is the direct supervisor who gives the ratings and makes related comments on the employee’s performance. Nevertheless it is very important that the direct supervisor listens to and takes into account the employee’s view on his/her own performance before making final decisions.

4.1 Detailed Performance Evaluation

A detailed performance evaluation under the Evaluation Section can only be conducted if the planning information was recorded at the beginning of the PMSDS cycle.

In that case, discuss the results achieved under the work and development-related objectives and how well the key competencies have been demonstrated at work. If the

outcome does not meet the expectations, analyse the reasons, identify lessons learnt and use the findings for the planning of the next PMSDS cycle.

If an objective is “not applicable” anymore, no rating is required. The direct supervisor needs to provide comments if the rating is “exceeds”, “partly meets” or “does not meet” expectations or the objective is “not applicable” anymore. The same applies to core and managerial competencies if the rating is “exceptionally”, “partly” or “not” demonstrated.

In addition, the direct supervisor should list in the Evaluation Section any achievements beyond the ones documented under the objectives and/or other contributions of the employee, for example, the participation in functional working groups or official WIPO Boards.

Both of you might want to discuss the overall rating and comments after the detailed evaluation to **close the past** before moving the discussion **forward to the future**.

4.2 Overall Performance Evaluation

The overall rating cannot be calculated from the detailed ratings, as the detailed ratings are not weighted. For example, for determining the overall rating of an employee’s performance, a high rating for the successful implementation of a major project in WIPO would be much more relevant than a low rating for the failing of a language exam. Nevertheless, detailed ratings and comments, and overall rating and comments should be consistent.

As a general guideline, **5 to 15 per cent** of WIPO’s employees may be rated as “Exceeds expectations”.

Exceeds expectations	➤ Outstanding performance
Fully meets expectations	➤ Effective performance
Largely meets expectations	
Partly meets expectations	➤ Under performance
Does not meet expectations	

Employees with a rating “Fully meets expectations” and “Largely meets expectations” are effective performers whose output falls within the normal range, and they generally constitute the largest group in an organization. If an employee does not yet fully meet the expectations further improvement may be encouraged. Employees with a rating of “Partly meets expectations” and “Does not meet expectations” need to improve their performance significantly. For more information see [Understanding the PMSDS Rating Scale](#) and [Examples of Performance Indicators](#).

The new rating scale does not have any direct correspondence to the rating scale of the old system of Periodical Reports.

In addition to the rating, the direct supervisor can add overall comments. If the rating is “exceeds”, “partly meets” or “does not meet” expectations, comments are obligatory.

The overall comments might contain:

- A summary of past performance including competencies and development;
- Related ideas for future directions;
- Any other issues related to the PMSDS.

In WIPO's Staff Regulations and Staff Rules and Office Instructions there are established administrative consequences linked to the performance of employees. For the purpose of linked administrative consequences to performance, the ratings "Exceeds expectations", "Fully meets expectations" and "Largely meets expectations" are considered as satisfactory service and the rating "Does not meet expectations" as unsatisfactory service.

The rating "Partly meets expectations" is neither considered as satisfactory service nor as unsatisfactory service. As this rating is not considered as satisfactory service, no step increment will be granted if it persists for two consecutive cycles. No step increment will be granted in case of the rating "Does not meet expectations".

Therefore, the PMSDS is an important element in determining administrative consequences.

For the purpose of administrative consequences linked to PMSDS, the latest overall rating will be taken into account till a new one is received by HRMD, on or before March 31 of the next year (which is the deadline for closing a PMSDS cycle).

There might be exceptional cases however, where the performance of an employee has markedly changed for several months and the overall rating given at the beginning of the year may no longer be accurate for the determination of administrative consequences later in the year. In such cases, the direct supervisor should conduct an evaluation and close the current cycle, taking into account the shortened period of the cycle. This evaluation would supersede the previous one for the purpose of administrative consequences. A new cycle should be initiated for the remaining period. If the start date of the new cycle is in the fourth quarter of the year, the cycle should be established from the **start date** until the **end of the next year** (maximum 15 months).

5 PLANNING PERFORMANCE FOR THE NEXT PMSDS CYCLE

5.1 Identification of Work-Related Objectives

All employees in WIPO need to know how they can best contribute to the strategic goals of WIPO and which competencies they should further develop. The biennial Program and Budget, annual Workplans, related implementation plans and the job description of the employee should be used to determine three to six work-related objectives.

Apply the following principles when defining objectives:

<ul style="list-style-type: none"> - Objectives should be S.M.A.R.T. <ul style="list-style-type: none"> ➤ S = Specific ➤ M = Measurable ➤ A = Achievable ➤ R = Relevant ➤ T = Time-bound
<ul style="list-style-type: none"> - Objectives must be in the first place relevant (alignment with WIPO’s strategic goals) and achievable (success -> inner motivation); don’t avoid key objectives just because they are hard to measure, rather ensure good communication to develop common understanding;
<ul style="list-style-type: none"> - Specific and measurable objectives are less likely to be misinterpreted and therefore cause fewer misunderstandings and simplify the evaluation;
<ul style="list-style-type: none"> - All objectives should be time-bound, indicating at least by when the result is expected;
<ul style="list-style-type: none"> - If people perform identical routine tasks, the use of performance standards might be more practical than individual work-related objectives;
<ul style="list-style-type: none"> - The process of setting objectives and the related commitment is more important than the phrasing of objectives;
<ul style="list-style-type: none"> - Make sure that the performance expectations, priorities and development needs are understood by both of you. Clear and agreed objectives empower people to plan and conduct the work and increase job satisfaction;
<ul style="list-style-type: none"> - Achievement of the objectives must be monitored during the year. Provide continuous feedback. Changes to organizational goals and related priorities must be immediately communicated, explanations should be provided and objectives adjusted. (see 🔗 Conducting an Interim Review in this document).

5.2 Specifying Key Competencies

Ask the question:

“Which competencies would be important to achieve the work-related objectives of this cycle?”

Selecting Core and Managerial Competencies

🔗 [Core Competencies](#), for example “Managing Yourself” and “Communicating Effectively” are expected from all WIPO employees, whereas 🔗 [Managerial Competencies](#), for example “Planning and Managing Resources”, are only for employees with managerial responsibilities.

Select together between one and three core competencies. In case of employees with managerial responsibilities select at least one core and one managerial competency.

Discuss the desired positive behavioural indicators to develop a common understanding of how the effectiveness should be demonstrated.

Specifying other Key Qualifications

In addition to the core and managerial competencies specify together up to six other qualifications important to deliver the expected results under the work-related objectives. They may cover functional competencies (e.g. project management, drafting skills, analytical thinking), technical expertise/knowledge (e.g. IP Law, IT, Business Administration), languages, office automation skills (e.g. MS Word, MS Excel), etc.

5.3 Identification of Development-related Objectives

In general, the same principles as for the work-related objectives are valid for the development-related objectives.

When setting development-related objectives, keep in mind the employee's work-related objectives, current competencies (e.g. skills, knowledge), career progression and personal interests as well as the future needs of the Organization.

Where possible, be specific about the expected development. For example, instead of writing "Improve English" it would be better to phrase the objective as "Pass level 3 in English at the Bell School".

5.4 Identification of Training Needs

Determine together with the employee one to three training needs in relation to the objectives and key competencies.

The term "training" refers to all **learning activities** which would help the employee to further develop his/her skill set and therefore also includes training modalities like "on the job" and "self-study". The purpose of learning activities in WIPO should be seen in the context of the performance level of the employee:

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| - Outstanding performers: to stay at the peak of expertise and/or in preparation for future career prospects in line with talent management and succession planning in WIPO; |
| - Effective performers: to keep competencies in line with the evolving needs of the Organization and to ensure that the employee remains attractive in the labour market; learning activities for employees whose performance does not yet fully meet the expectations should support the further enhancement of performance; |
| - Under performers: to bring up performance to the organizational standard. |

Specify together for all training needs the training category (e.g. competencies), the subject (always in English), the level (e.g. Advanced), the training modalities (e.g. In-class course, On-the-job), the justification (e.g. Current job requirement). For more information on training needs and learning styles see [Identifying Training Needs](#)

5.5 Interdependencies between Objectives, Key Competencies and Training Needs

The setting of objectives, the specification of key competencies and the identification of training needs should be built on each other.

The following example illustrates how objectives, key competencies and training needs could relate to each other:

Work-related objective	A Section Head has the work-related objective to facilitate the deployment of a major change in his/her team which will heavily affect the way the team is working currently.
Key competencies	In that case, “Communicating Effectively” , and “Promoting Innovation and Learning” might be important competencies to lead people through the change process. At the same time, good project management skills might be important as well.
Development-related objectives	To fulfil the work-related objectives and to fully demonstrate the key competencies there might be a need to further develop the communication and project management skills of the Section Head for which two development-related objectives could be defined.
Training needs	Therefore, a training course on effective communication and a self-study of good practices in project management might be appropriate training activities listed under the training needs.

6 UNDERSTANDING THE ROLE OF THE EMPLOYEE

The PMSDS is built on a fruitful and ongoing dialog between supervisors and employees about work, development and future directions.

As an employee, it is your responsibility to **familiarize** yourself with the PMSDS and to **contribute** to the system to the best of your knowledge and ability.

6.1 Understanding and Assessing Yourself

Think ahead about your past performance, competencies, strengths and weaknesses, training needs and interests. Try to see yourself from someone else’s point of view. How would you rate yourself? Be aware that your direct supervisor can only evaluate in particular your competencies in the way you have demonstrated them at work.

When you compare yourself with others, take your **peers** and not your supervisors or supervisees. Read the planning for the past period and think about your achievements and the progress that you have made.

Prepare your ideas for the next period. What type of work really suits you and how could you contribute even more to your unit/team and the Organization? What would you like to plan for the future? Try to identify new work and development-related objectives, required key competencies and training needs.

6.2 Attending the PMSDS Meeting(s) and Providing Feedback

Come open-minded and well prepared to the PMSDS meetings and provide your direct supervisor with an honest and constructive feedback about yourself, your working environment, your ideas, and your aspirations for the future.

At the end of the evaluation process, state your agreement/disagreement with the evaluation, make comments if desired, and sign off in ePMSDS within 10 working days after the sign-off by the direct supervisor.

In case of disagreement, the evaluation should not be signed by any of the parties before the mediation process has been completed.

Your comments might relate to:

- Current job satisfaction;
- Desired changes regarding the working environment;
- Disagreement with any parts of the PMSDS evaluation (ratings and/or related comments);
- Any other issues related to the PMSDS.

By signing the evaluation, you acknowledge that you have received the evaluation. The signing does not prevent you from contesting the **ratings and/or related comments** under the existing appeal/rebuttal procedures, as the case may be.

In case you are interested in new **job opportunities** in your unit or beyond, please indicate in the “Mobility Comments” field what type of functional role would interest you and provide reasons for it.

In parallel to the evaluation process, assist your direct supervisor in recording the planning information for the upcoming PMSDS cycle, make comments if desired and sign off in ePMSDS.

All comments must be provided in either English or French. You may wish to discuss the comments with your direct supervisor before you finalize the text.

6.3 Follow-up during the Year

During the year, on an ongoing basis, review the planning and:

- Evaluate yourself against your objectives and key competencies;
- Provide feedback to your direct supervisor regarding progress;
- Take corrective measures where necessary;
- In case of problems, tackle them while they are still small; discuss them immediately with your direct supervisor and/or colleagues;
- Follow-up on your identified training needs;
- Write down your achievements;
- If your functional role and/or the objectives change during the year request an interim review from your direct supervisor.

7 UNDERSTANDING THE ROLE OF THE SUPERVISOR

Managing and developing people are core management functions of any modern organization today. The PMSDS has been designed to formalize and facilitate this **process**.

As a direct supervisor of an employee it is your responsibility to **familiarize** yourself with the PMSDS, to ensure that it is **consistently** and **correctly** applied to the best of your knowledge and ability, and to **lead the employee** through the PMSDS cycle.

If you become the new supervisor of employee(s) during a PMSDS cycle, you will be in charge of the correct and consistent application of the PMSDS for the employee(s). You should discuss with the former supervisors the most recent PMSDS cycle of the concerned employee(s) and the performance in relation to it. The former supervisor must provide you **in writing** with his/her view on the overall rating of the performance for the evaluation period up to handing-over/transfer for each employee individually, either by e-mail or by an internal memorandum, with a copy to the respective employee.

The assessment of the former supervisor should be taken into account and weighted in accordance with the proportion of the reporting period covered by the former supervisor.

Please note that your own supervisor will evaluate you on how well you have applied the PMSDS within your team.

7.1 Leading the Employee through the PMSDS Cycle

Prepare and conduct evaluation meetings with all employees under your direct supervision who fall within the scope of the PMSDS. Apply the following principles:

- Allocate sufficient time to conduct the meeting(s) and allow ample time for the discussion;
- Select a quiet, comfortable and appropriate location; avoid interruptions, if possible sit aside (not opposite to) the person, and put him/her at ease;
- Encourage the employees to self-review and give feedback; listen to their ideas and concerns; make no final decisions on the rating before taking into account the employees' views on their own performance, but always remain in control of the meeting;
- When providing feedback to the employee: <ul style="list-style-type: none"> ➤ start with the strengths rather than in a random manner or with weaknesses; ➤ be specific, soft on the person but hard on the subject; ➤ provide solutions rather than just criticism; ➤ place emphasis on positive reinforcement;
➤ do not refer to incidents outside the evaluation period, base your evaluation on the whole period and not only on recent events;
- Use the occasion to acknowledge good performance and thank the employee for it;
- Find agreement on the new objectives, key competencies and training needs, to ensure buy-in from the employee, where possible;
- Do not make any statements that are not job-related e.g. personal life, age, religion, gender, pregnancy, etc.;
- Stay calm and respectful under all circumstances.

Ensure that the past PMSDS cycle is completed and the upcoming PMSDS cycle is initiated in time.

During the year, initiate further occasions for dialog and allocate time for follow-up. In case of problems, tackle them while they are **still small**; discuss immediately and in private; **document the issues**; if problem persists you might consider an interim review.

7.2 Showing Recognition

Acknowledgement of good performance is important for staff motivation and therefore a vital component of modern performance management and staff development.

Apply the following principles:

- Celebrate team/unit achievements and acknowledge and communicate individual achievements when they happen during the year;
- Maintain a list of achievements to be referred to at the end of the year when the next PMSDS report will be established.

7.3 Addressing Under Performance

Dealing with under performance is one of the greatest managerial challenges. Being an under performer is a very frustrating situation for the employee and for the remaining unit/team which has to pick up the additional workload. Ignoring such a situation is not a solution.

At first, it is important to distinguish between under performance and misconduct unrelated to performance, because different measures are required to be undertaken.

Misconduct is defined generally as failure of an employee to comply with his/her obligations under the Standards of Conduct for the International Civil Service, the WIPO Staff Regulations and Staff Rules, the contract of employment or other administrative instructions. In some situations, unsatisfactory performance may amount to misconduct, for example, when an employee deliberately refuses to perform duties which fall within the scope of his/her functional role.

Dealing with serious misconduct that is unrelated to an employee's performance is outside the scope of PMSDS and, if a supervisor is confronted with such a misconduct situation, he/she must follow WIPO's procedures applicable to disciplinary cases.

Proactive solving of under performance requires first a clear identification of the source for the under performance, for example, insufficient communication, missing competencies and lack of motivation. Discuss the performance issues with the employee and detect together the cause for it. Identify solutions and related actions to be taken for the remaining time of the PMSDS cycle to solve the performance issues and document both. Provide the employee with a copy the findings. For more information see [Addressing Under Performance](#)

8 UNDERSTANDING THE ROLE OF THE REVIEWING OFFICER

The PMSDS is a totally new approach to performance management and staff development in WIPO and therefore a major cultural change. Especially in the initial years of its implementation close monitoring through the concept of the "reviewing officers" (top-down approach) is important.

As the reviewing officer, it is your responsibility to **assess** how well supervisors reporting directly to you apply the PMSDS, to **advise** them in the application, to **mediate** between them and employees in case of disagreements about the PMSDS report, and to **intervene**, if required.

The reviewing officer is usually the supervisor of the employee's direct supervisor. In case of employees reporting directly to the Director General there will be no reviewing officer.

8.1 Advising

In your role as reviewing officer you have a broader view of the application of the system in your respective Sector compared to the supervisors reporting to you. For that reason, they might seek your advice before discussing and/or finalizing the report with the employee.

8.2 Mediating

In the event of a disagreement, both the employee and the direct supervisor must make every reasonable effort to resolve this through dialog. Where disagreement persists after discussion, they should seek your help to work towards a solution in the PMSDS process.

If no agreement can be reached and the employee indicates his/her disagreement with the evaluation, you should document in the “Reviewing Officer’s Comments” field of the same section the mediation efforts, including the date(s), participants and outcome of the exchange(s). If the employee rejects to sign off the evaluation within 10 working days after the sign-off by the direct supervisor, you should note this in the same field.

8.3 Managing Quality

A **consistent** and **correct** application of PMSDS throughout WIPO is key for the acceptance of the system by the key stakeholders, namely supervisors and employees, and therefore for the overall success of the system.

You would need to review the application of the PMSDS by the supervisors reporting directly to you. This includes in particular:

- In-depth and continuous dialog;
- Setting of S.M.A.R.T. objectives;
- Identification of key competencies;
- Identification of training needs;
- Objective and consistent ratings and related comments;
- Timely compliance.

Verify also that the objectives provided by the different supervisors reporting to you do not overlap and/or conflict and if so, inform supervisors.

In addition, you will evaluate the supervisors reporting directly to you how well they have applied the PMSDS within their team.

8.4 Agreeing or Intervening

If you do not agree with the evaluation given by the direct supervisor, even though the employee may be in agreement with it, you **cannot change** the rating itself but you can state your disagreement in the “Reviewing Officer’s Comments” field.

This could be the case for example, if a supervisor has complained several times to you about the performance of an employee during the PMSDS cycle but the overall evaluation shows high ratings and/or positive comments related to the employee’s performance.

You must list the areas of disagreement, give reasons and determine the overall rating according to your view. If your overall rating is different from the one given by the direct supervisor, **your rating would prevail**.

9 DEALING WITH DISAGREEMENTS ON THE EVALUATION - A SUMMARY

In the event of a disagreement concerning the evaluation (ratings and/or related comments), both, the employee and the direct supervisor, must make every reasonable effort to resolve this through dialog. In case of persisting disagreement, the reviewing officer should be involved as mediator who, together with the employee and the direct supervisor, will work towards a solution in the evaluation process. If an agreement between the direct supervisor and the employee cannot be reached, ***the evaluation of the direct supervisor will prevail.***

The employee has the possibility to indicate his/her disagreement with the evaluation and comment on it in the Overall Evaluation and Sign-off Section. In such cases, the reviewing officer must document in the ““Reviewing Officer’s Comments” field the mediation efforts, the date(s), participants and outcome of the exchange(s) described above.

The evaluation should only be signed off by the direct supervisor, the employee and the reviewing officer once the mediation process has been completed.

If the reviewing officer does not agree with the evaluation given by the direct supervisor, even though the employee may be in agreement, he/she cannot change the original evaluation but can state the disagreement in the “Reviewing Officer’s Comments” field. The reviewing officer must list the areas of disagreement, give reasons and determine the overall rating according to his/her view. If the overall rating is different from the one given by the direct supervisor, ***the rating of the reviewing officer will prevail.***

In case of disagreement and/or comments by the reviewing officer, the evaluation needs to be signed off by the employee a second time. The employee has the possibility to indicate, in the “Comments” field provided, any disagreement with the reviewing officer’s comments and modified rating, if any.

The employee should sign off the evaluation even if he or she does not agree with the evaluation of the direct supervisor or the comments/modified rating of the reviewing officer. The signature acknowledges that the employee has received the evaluation and does not prevent the employee from ***contesting the ratings and/or related comments*** under the existing appeal/rebuttal procedures, as the case may be.

If an employee refuses to sign-off the evaluation within 10 working days after the sign-off by the direct supervisor, the reviewing officer should mention this in the “Reviewing Officer’s Comments” field of the Overall Evaluation and Sign-off Section.

Performance Management and Staff Development System

Core Competencies



Core competencies are expected from, and rated for, all WIPO employees. The effectiveness of a competency is measured through behavior demonstrated at work as described below.

COMMUNICATING EFFECTIVELY
Expresses information and ideas in a clear, concise and accurate manner; listens actively and ensures information is shared.
Effective Behavior
<ul style="list-style-type: none"> • Speaks and writes clearly, in a structured, logical and credible way. • Encourages others to share their views; takes time to understand and consider these views. • Ensures that the messages have been heard and understood; chooses appropriate style, language and communication channels. • Keeps others informed of key and relevant issues.
Ineffective Behavior
<ul style="list-style-type: none"> • Does not share useful information with others. • Interrupts and confronts others rather than trying to understand their views; does not listen actively. • Lacks coherence in structure and overlooks key points in oral or written communication. • Does not validate if the message was understood by the recipient; uses inappropriate unsuitable terminology or communication channels.

RESPECTING INDIVIDUAL AND CULTURAL DIFFERENCES
Demonstrates the ability to work constructively with people of all cultures gender and backgrounds.
Effective Behavior
<ul style="list-style-type: none"> • Understands and respects cultural and other human behavioral differences, applying these to daily work. • Works well with people of different cultures, gender or backgrounds. • Considers issues from the perspective of others.
Ineffective Behavior
<ul style="list-style-type: none"> • Makes judgments based on perceived stereotypes and finds it difficult to work with people of other culture, gender or background. • Does not make sufficient effort to relate to the cultural and human diversity within the workplace. • Is unwilling to view issues from the perspective of others.

SHOWING TEAM SPIRIT

Develops effective relationships with colleagues and team members within and across organizational units.

Effective Behavior

- Collaborates with colleagues to achieve results.
- Supports and acts in accordance with team decisions.
- Shares knowledge, information and expertise with the team.
- Willing to contribute to the team's development and success, and to accept joint responsibility for the team's shortcomings.
- Identifies conflicts early and facilitates their resolution.

Ineffective Behavior

- Does not accept team decisions and keeps on doing things differently.
- Seems more focused on achieving personal goals, without considering or contributing to the team objectives.
- Does not display solidarity with the team and is not prepared to accept responsibility for shared objectives.
- Avoids dealing with conflict in which one is involved.
- Holds back on sharing knowledge, information or experience with other team members.

MANAGING YOURSELF

Manages own behavior in a self-reflective manner and seeks opportunities for continuous learning and professional growth.

Effective Behavior

- Makes constant effort to improve skills and performance.
- Shows willingness to learn from previous experience and mistakes, and applies lessons to improve performance.
- Uses constructive criticism to improve performance.
- Remains productive even in stressful and difficult situations.

Ineffective Behavior

- Does not use opportunities to enhance skills or improve performance.
- Repeats mistakes and demonstrates same behavior despite being encouraged and provided with opportunities to improve performance.
- Reacts in an overly defensive way to criticism.
- Demonstrates a lack of emotional control during difficult situations; transfers own stress to others and compromises productivity.

PRODUCING RESULTS
Produces quality results in a service-oriented and timely manner and is committed to deliver agreed outcomes.
Effective Behavior
<ul style="list-style-type: none"> • Demonstrates initiative and takes necessary actions. • Demonstrates sound and objective judgment; takes responsibility for own decisions or actions. • Produces high-quality results in time that meet the client needs. • Has a systematic, effective and efficient approach to work. • Identifies and tackles problems early.
Ineffective Behavior
<ul style="list-style-type: none"> • Acts only on demand; lacks initiative. • Delivers incomplete, incorrect or inaccurate work; fails to respect deadlines or is very often late in the daily work. • Loses focus and acts inefficiently or ineffectively. • Hesitates to take decisions; fails to take responsibility for own actions and tries to pass the responsibility on to others. • Allows problems to drift and intervenes too late.

EMBRACING CHANGE
Is open to new approaches and ideas, responds positively to change and adapts quickly to new situations.
Effective Behavior
<ul style="list-style-type: none"> • Is receptive to new ideas and working methods. • Actively supports change initiative and provides related feedback. • Recognizes opportunities for improvement and proposes workable solutions. • Maintains a positive attitude even in difficult times of change.
Ineffective Behavior
<ul style="list-style-type: none"> • Is reluctant to change when faced with new demands or challenges. • Becomes negative in attitude when faced with change. • Does not display creativity; does not propose improvements. • Shows little flexibility in attitude when faced with new ideas.

RESPECTING ETHICS AND VALUES
Acts within WIPO's professional, ethical and legal boundaries.
Effective Behavior
<ul style="list-style-type: none"> • Understands and behaves in accordance with WIPO's professional, ethical and legal framework. • Demonstrates consistency between one's expressed principles and behavior. • Does not overlook when others behave in an unprofessional or unethical manner. • Maintains confidentiality and treats sensitive information with discretion.
Ineffective Behavior
<ul style="list-style-type: none"> • Breaches confidentiality and treats sensitive information without the necessary care or discretion. • Does not act according to one's expressed principles. • Compromises ethical standards or legal framework; demonstrates unprofessionalism. • Is not willing to defend colleagues or the Organization if and when necessary.

Performance Management and Staff Development System

Managerial Competencies



Managerial competencies are expected from WIPO staff with supervisory functions. These will be rated keeping in view the seniority level of the manager concerned. The effectiveness of competencies is measured through relevant behaviors as described below.

CREATING A STIMULATING WORK ENVIRONMENT
Guides and supports staff towards meeting challenges and achieving objectives, and promotes ownership and responsibility at all levels.
Effective Behavior
<ul style="list-style-type: none"> • Provides clear directions; ensures that roles, responsibilities and reporting lines are clearly defined and understood. • Delegates work appropriately, shows confidence in staff and encourages initiatives. • Provides staff with guidance, support and regular feedback, recognizes good performance and addresses performance issues. • Identifies discord and conflict at an early stage and reacts appropriately to resolve it. • Creates a climate of trust and open dialog. • Holds regular and effective staff meetings and encourages active participation.
Ineffective Behavior
<ul style="list-style-type: none"> • Focuses only on own work and gives no, unclear or partial instructions; avoids managerial responsibilities. • Does not regularly share information or provide required feedback. • Shows little trust in others and does not delegate work. • Fails to recognize or acknowledge the contributions of others and does not take corrective actions when required. • Ignores disagreement or conflict and avoids discussing problems openly.

PLANNING AND MANAGING RESOURCES
Identifies priorities in line with WIPO's strategic goals, develops suitable implementation plans, assigns the resources and monitors outcome.
Effective Behavior
<ul style="list-style-type: none"> • Develops plans, identifies priorities and defines realistic objectives and timelines in close cooperation with staff. • Identifies and effectively manages the resources needed to achieve the planned results in a timely manner. • Quickly re-allocates resources and re-sets priorities in response to unexpected events. • Periodically monitors the use of resources and the progress of activities during implementation to achieve results in an efficient and effective manner.
Ineffective Behavior
<ul style="list-style-type: none"> • Fails to define clear and practical objectives and/or implementation plans; does not set priorities • Does not deliver expected results due to incorrect estimates of time, resources, complexity of tasks or due to mismanagement of otherwise adequate resources • Continues with the planned implementation although unexpected events require reallocation of resources or changes in priorities • Does not undertake any systematic review of the use of resources or of the progress of activities and consequently misses objectives

PROMOTING CHANGE, INNOVATION AND LEARNING
Establishes and fosters a culture that encourages change, innovation and continuous learning.
Effective Behavior
<ul style="list-style-type: none"> • Promotes change and innovation for continuous improvement. • Helps staff to get adapted to changes. • Encourages others to be innovative, proactive and to express constructive criticism. • Identifies individual development needs and creates opportunities for learning and professional development accordingly; encourages staff to learn from each other. • Encourages a sense of responsibility and seeks to empower subordinates.
Ineffective Behavior
<ul style="list-style-type: none"> • Is strongly resistant to change and prefers to maintain the status quo. • Ignores innovative or creative input from others; does not listen to feedback or criticism. • Does little to promote continuous learning and professional growth; does not allocate time to staff for learning and development. • Maintains a culture of bureaucracy and hierarchical power within the Organization.

BUILDING AND PROMOTING PARTNERSHIPS
Develops and strengthens internal and external partnerships to the mutual benefit of the participating parties.
Effective Behavior
<ul style="list-style-type: none"> • Builds and maintains mutually beneficial work relationships and cross-departmental alliances. • Puts interests of the Organization as a whole above sectoral or personal interests. • Encourages and assists others in building networks to achieve better results. • Creates opportunities and promotes synergies between WIPO and external partners for the benefit of both.
Ineffective Behavior
<ul style="list-style-type: none"> • Establishes networks for personal gain rather than for the benefit of the Organization. • Works in isolation and sees departments as separate entities with little impact on each other. • Is overprotective of own area of work. • Discourages or shows little interest in collaborating with internal stakeholders or reaching out to external stakeholders.

LEADING WIPO TO THE FUTURE (Directors and above)
Understands WIPO's mandate and the external IP environment in which the Organization operates
Effective Behavior
<ul style="list-style-type: none"> • Demonstrates a good overall understanding of the different stakeholders, sectors and their respective contribution to the mandate • Takes initiative in developing sustainable and beneficial stakeholder relationships • Develops strategic plans in line with WIPO's mission, sets priorities and develops plans to successfully implement them. • Communicates effectively the broader picture to WIPO staff and achieves buy-in.
Ineffective Behavior
<ul style="list-style-type: none"> • Is not familiar with the broader context of the international IP System; remains narrowly focused on own technical field. • Adopts a narrow approach in developing strategies and plans; sets no or conflicting priorities. • Makes little or no effort to establish relationship with stakeholders • Limited initiative and effort in communicating the broader picture to staff and cascading communications

[End of Annex and of document]