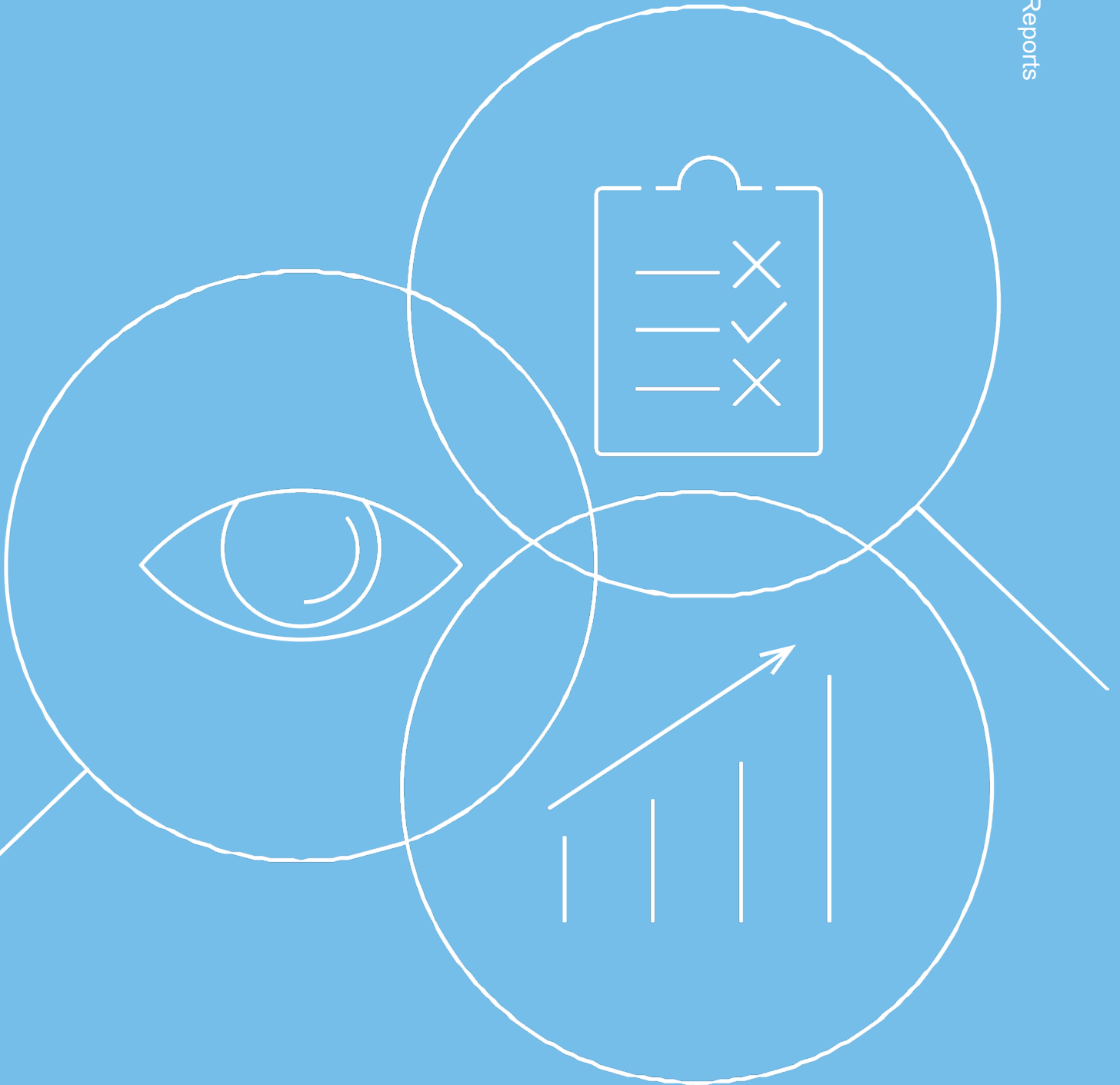


# Review of WIPO Crisis Management during the Pandemic

Internal Oversight Reports



IOD Ref: IA 2020-05  
November 1, 2021  
IOD Consulting Engagement



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## LIST OF ACRONYMS

<b>AIMS</b>	Administrative Integrated Management System
<b>AWS</b>	Amazon Web Services
<b>BCC</b>	Business Continuity Coordinator
<b>BCP</b>	Business Continuity Plan
<b>CMP</b>	Crisis Management Plan
<b>CMT</b>	Crisis Management Team
<b>COVID-19</b>	Coronavirus Disease 2019
<b>CRT</b>	Crisis Response Team
<b>DRP</b>	Disaster Recovery Plan
<b>EPM</b>	Enterprise Performance Management
<b>ERM</b>	Enterprise Risk Management
<b>HR</b>	Human Resource
<b>HRMD</b>	Human Resources Management Department
<b>ICS</b>	Individual Contractor Services
<b>ICT</b>	Information and Communication Technology
<b>ICTD</b>	Information and Communication Technology Department
<b>IOD</b>	Internal Oversight Division
<b>IP</b>	Intellectual Property
<b>IT</b>	Information Technology
<b>KIC</b>	Knowledge and Information Central
<b>LDC</b>	Least-Developed Country
<b>MU</b>	Medical Unit
<b>OI</b>	Office Instruction
<b>ORMS</b>	Organizational Resilience Management System
<b>PID</b>	Premises Infrastructure Division
<b>PTD</b>	Procurement and Travel Division
<b>SIAD</b>	Security and Information Assurance Division
<b>T&amp;E</b>	Trainings and Exercises
<b>UN</b>	United Nations
<b>WHO</b>	World Health Organization
<b>WPR</b>	WIPO Performance Report
<b>WIPO</b>	World Intellectual Property Organization

## EXECUTIVE SUMMARY

1. The Coronavirus Disease 2019 (COVID-19) which was declared a pandemic by the World Health Organization (WHO) on March 11, 2020, presents a significant threat to people, businesses and organizations around the globe. Because of the possibility of similar crises occurring in the future, and the extent and duration of the associated operational disruptions, it is essential that the World Intellectual Property Organization's (WIPO) response be effective and sustainable to ensure that it continues to deliver on its strategic focus.
2. The review finds that WIPO has established a well-functioning Governance Structure for crisis management. The responsible teams covered operational, tactical and strategic decision-making and were well integrated in day-to-day activities of the Organization. Furthermore, IOD found that the existing policies and procedures were adequate in managing the crisis, and the management made necessary updates and changes as required. The Organization was successfully applied the WIPO Organizational Resilience Framework through WIPO Crisis Management Plans and other relevant actions. Going forward, WIPO needs to identify Business Continuity Focal Points at the Sector levels, to further enhance the operationalization of the Organizational Resilience Framework.
3. The Internal Oversight Division finds that generally, WIPO has executed its crisis management policies and procedures in effective and compliant manner. All WIPO critical functions re-calibrated and fine-tuned their operations to the "new normal" mode. The Organization can make further enhancements by assessing external stakeholders' needs in the area of additional communication and collaboration platforms. Furthermore, the Organization has adjusted its systems of Risk Management and Internal Controls to the pandemic condition, and kept them duly functioning.
4. Given the pervasive impact of the pandemic on the Organization and its stakeholders, IOD supplemented its substantive work with three surveys, aimed at WIPO staff, supervisors and Member States<sup>1</sup>, to capture valuable insights and perception on the Organization's management of the crisis, and related lessons learned. The survey results highlighted Flexibility and Work life Balance as a predominant theme from WIPO staff members, while a majority of supervisors mentioned that the crisis helped re-think the operational processes and make them more efficient, economic and effective without compromising the quality of outputs. Member States focused on the importance of virtual meetings (hybrid meetings, webinars, online training, among others), and the need to continue with these meetings format as they have proven to be one of the most valuable changes resulting from the pandemic.
5. The Internal Oversight Division makes four recommendations and has identified 22 lessons learned, covering areas such as crisis governance and communication, execution of policies and procedures, and internal controls. These recommendations and lessons learned would help further enhance existing framework and processes, and support preparation for any future crisis conditions.
6. Like other Organizations, WIPO was not fully prepared to face the COVID-19 pandemic. However, the review indicates that WIPO and its employees have moved to adjust and have demonstrated great resilience; kept delivering; integrated and managed related emerging risks; accelerated its digital transformation to better align with the demands of the "new normal"; and proved to be caring and responsible.

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<sup>1</sup> Survey to 1047 WIPO staff members with 31 per cent response rate; Survey to 224 WIPO supervisors with 42 per cent response rate; and Survey to WIPO Member States, distributed to 193 persons with 43 per cent response rate.

## 1. BACKGROUND

7. The Coronavirus Disease 2019, which was declared a pandemic by the World Health Organization (WHO) on March 11, 2020, presents a significant threat to people, businesses and organizations around the globe. Because of the possibility of similar crises occurring in the future, and the extent and duration of the associated operational disruptions, it is essential that WIPO's response be effective and sustainable to ensure that it continues to deliver on its strategic focus. For this purpose, WIPO's response strategy needs to be robust and cater for current and future challenges and needs.

### (i) WIPO's Organizational Resilience Framework

8. In 2015, WIPO adopted the United Nations (UN) Policy on the Organizational Management System (ORMS)<sup>2</sup>. The policy, most recently reviewed in January 2021, encourages each organization of the UN System to strengthen its Organizational Resilience by using a coordinated approach to implementing seven "core elements". These are:

- (a) Crisis management;
- (b) Safety and security of personnel (including visiting individuals), premises and assets;
- (c) Crisis communications;
- (d) Emergency medical support;
- (e) Information and Communications Technology (ICT) resilience;
- (f) Business Continuity; and
- (g) Support to WIPO personnel and eligible family members.

9. Crises are managed through the WIPO Crisis Management Team (CMT) in Geneva Headquarters, and may require close coordination with other UN system Organizations (in Geneva and elsewhere), and local crisis management authorities. The manner in which crises are managed in the UN is described in the UN Crisis Management Policy. The World Intellectual Property Organization has issued various Office Instructions (OIs) and guidelines:

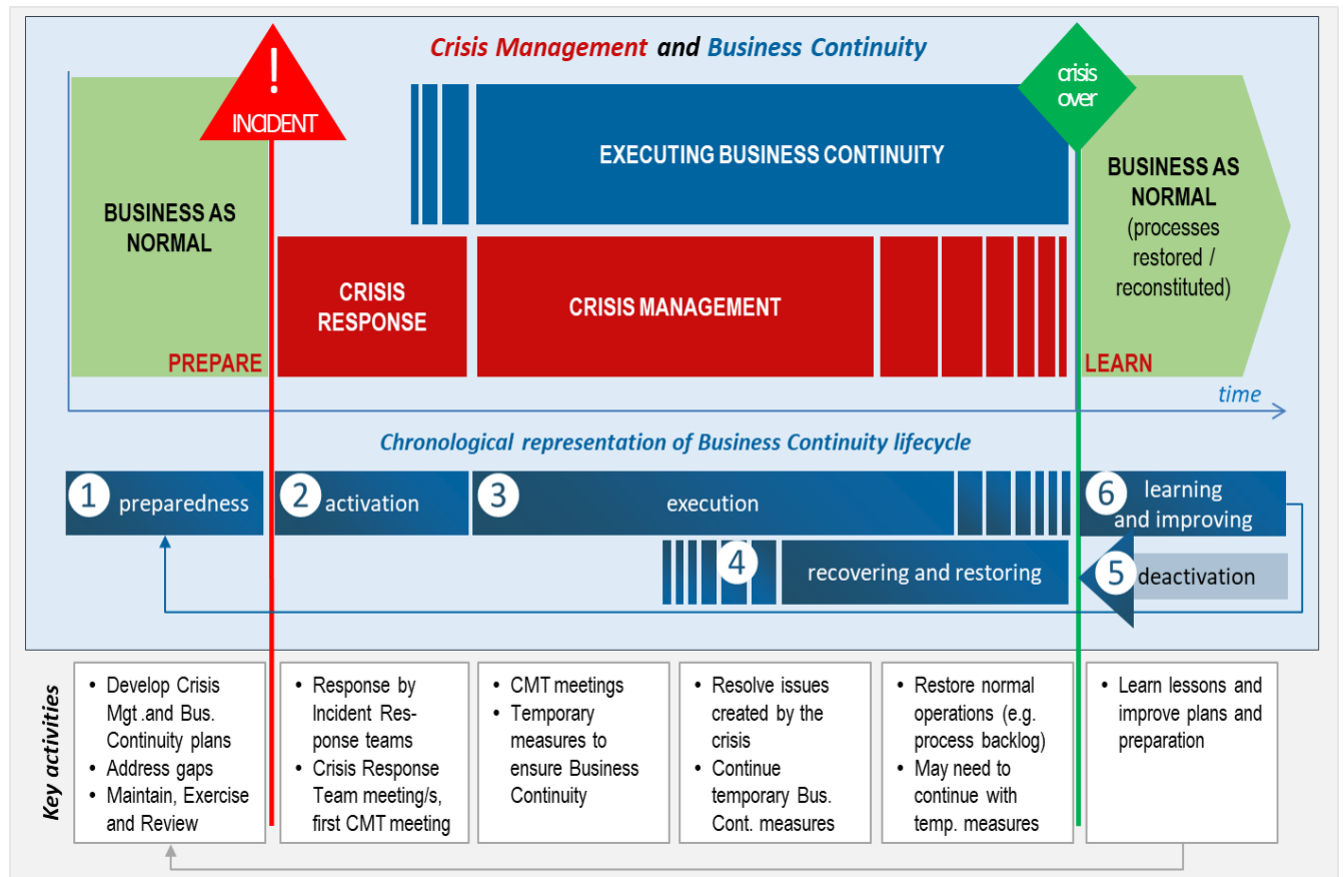
- (a) OI No 29/2019 WIPO's Organizational Resilience Framework;
- (b) OI No 21/2020 Return to Workplace;
- (c) The World Intellectual Property Organization Pandemic Plan Version 1.0 January 5, 2016;
- (d) Service Continuity Plan (Information and Communication Technology Department);
- (e) Disaster Recovery Plans (different functions);
- (f) Business Continuity Plans (different functions); and
- (g) Crisis Management Plan.

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<sup>2</sup> CEB/2014/HLCM/17/Rev.1

10. The Figure below illustrates the different phases of, and relationship between crisis and business continuity management. The full process is described in the WIPO Crisis Management Plan, Organizational Resilience.

**Figure 1: WIPO Crisis and Business Continuity Management over Time**



Source: Organizational Resilience Homepage, WIPO Intranet

11. The figure shows that, following an incident, the first priority is responding to it with the goal of assessing the situation, and taking decisions to ensure the safety and security of people, premises and assets. As rapidly as possible, but only after safety and security are assured, then business continuity procedures are activated.

12. The business continuity activities cease only once the situation returns to normal. Ideally, this means when all things return back to how they were before the crisis. However, it is important to accept, and to be prepared for finding oneself in a "new normal". In other words, a crisis may result in some permanent changes. As an example, COVID-19 pandemic caused WIPO employees to switch to a "hybrid" working environment. Nevertheless, the goal should remain to return to comparable levels of productivity that existed before the crisis and even exceed these levels, if possible.

13. Finally, every crisis should be examined with the goal of improving WIPO's ability to respond to a potential subsequent crisis; hence, capturing and integrating lessons learned is crucial to ensure a dynamic and up-to-date crisis management plan and related procedures and practices.

(ii) Brief Chronology of Events

14. The COVID-19 outbreak led to a crisis that required the immediate launch of crisis management and business continuity procedures and re-prioritization of tasks.

15. The Table below depicts main events and WIPO actions taken during the “first wave”, which took place between February and August 2020.

**Table 1: Main Pandemic-Related Events and Actions during the First Wave of COVID-19**

Date		Event			Confirmed Cases, Switzerland
December 2019	31	China reported a cluster of cases of pneumonia in Wuhan, Hubei Province. A novel coronavirus was eventually identified.			
January 2020	17	Information Email to all WIPO staff	23	WIPO monitoring travellers from China	Nil
	27	China office starts working remotely	29	CRPT meeting	
February 2020	3	First Crisis Meeting chaired by DG	5	First Covid-related CRPT meeting	45
	14	First Covid kits for testing from UNILAB	20	First Covid case among WIPO personnel (discovered in May 2020)	
	27	First Covid case in Geneva	28	Fine-tuning of Remote Access Portal	
March 2020	2	Cleaning and Desinfection protocols	3	First CMT meeting	19071
	4	WIPO stops MS Events, discourage travel, no public access to cafeteria	5	Activation of CCT	
	9	Programs asked to review their BCPs	11	Teleworking allowed for at-risk staff	
	12	First probable case of Covid at WIPO detected; start of contact tracing	13	>50 participant events banned; closed schools; border control in Switzerland	
	16	1st day of WFH for all UN staff in Geneva, except for Essential Pers.	17	Campus closed, except for Essential Pers.; NB Cafeteria closed from 18	
April 2020	7	First Covid-related fatality at WIPO	15	WIPO CM Dashboard launched	10749
	23	Entry into Switzerland refused to all foreigners with limited exceptions	27	First phase of "easing" in Switzerland (limited services open)	
May 2020	8	Mr Daren Tang appointed as a new Director General	8	Second phase of "easing" in Switzerland (open schools, shops, restaurants)	1064
	18	WMU starts serology testing on site	21	OI 21/2020 "Return to Workplace" issued	
June 2020	8	WMU starts inviting personnel to health and safety information sessions	19	Physical Distancing Guidelines developed	1065
	30	Risk Assessment of different offices, rooms and areas			
July 2020	7	Internal meeting guidelines are published	21	Reopening of NB Cafeteria (following strict safety protocols)	3546
August 2020	4	Preparation of the occupational principles for halls and meeting rooms			7164

Source: Information from the Business Continuity Coordinator (BCC), WIPO Intranet, Swiss Federal Information

16. As the above Table indicates, WIPO paid close attention to the evolution of the threat caused by the COVID-19 and established the necessary Crisis Management structure.

17. The World Intellectual Property’s reaction was found to be slower during the “first wave” regarding full and timely lock down, compared to the actions taken during the “second wave”, which started around September/October 2020.

18. The Table below depicts different actions and events up to March 2021, when Switzerland started to ease restrictions.

**Table 2: Main Pandemic-Related Events and Actions during the Second Wave**

Date	Event			Confirmed Cases, Switzerland			
September 2020	11	Switzerland strenghtens quarantine rules (COVID-19 2nd wave concern)	18	External meeting guidelines are published	21	WIPO Assemblies begin with a reduced agenda and following strict safety protocols	11463
October 2020	1	Mr Daren Tang begins mandate as WIPO Director General	8	Slow-down of the speed of Return to Office (COVID-19 2nd wave concern)	20	Staff using public transport / vulnerable / having concers can return to WFH	122688
	27	Analzysis of lockdown alternatives; planning for "flexible lockdown"	28	Implementation of "flexible lockdown"; targeting occupancy rate 10%	29	Informaiton to all staff - to significantly reduce the presence of people on-site.	
November 2020	1	New COVID-19 measures in Switzerland (if possible - WFH)	2	Important meetings to proceed in hybrid mode, 5 or less attendees per	19	COVID-19 Update Newsletter launched	156724
December 2020	15	Staff council survey on staff					122879
January 2021	13	Additional COVID-19 measures in Switzerland (requirement of WFH where feasible)	27	Results of Staff Council survey on staff experience			69055
February 2021	2	Distribution of P2/N95 masks to personnel in limited spaces					32188
March 2021	1	Easing measures implemented in Switzerland					46232

Source: BCC information, WIPO Intranet, Swiss Federal Information

19. At the time of this report, the majority of WIPO employees continue to work remotely and a new plan for returning to work based on nine return dates spread between July and November 2021 is currently being implemented subject to a continued improvement of the epidemiological situation.

## 2. ENGAGEMENT OBJECTIVES

20. The objectives of this consulting engagement included assessing whether:

- (a) The World Intellectual Property Organization has established a fit-for-purpose Governance Structure for crisis management;
- (b) Policies and Procedures exist to support crisis management including during a pandemic;
- (c) Related Risk Management and Internal Controls are appropriate; and
- (d) The Execution of crisis management Policies and Procedures is effective and compliant.

21. Further, the engagement sought to identify lessons learned that can be integrated in the crisis management plan to optimize WIPO's organizational response to any future crisis.



### 3. SCOPE AND METHODOLOGY

22. The engagement scope covered March 2020 to around May 2021, and the methodology included document reviews, interviews, tests, and surveys. Specifically, engagement activities included, among others:

- (a) Review of WIPO Organizational Resilience Framework – related Rules, Policies and Procedures and other relevant supporting documentation;
- (b) Interviews with relevant stakeholders including the Crisis Management Group, to obtain an understanding of the procedures, processes and systems, as well as coordination with Business Continuity;
- (c) Verifying completeness of the WIPO Corporate Risk Register in terms of crisis and pandemic related risks and controls;
- (d) Engaging with Management to understand and assess the impact of the COVID-19 on WIPO's revenue generating activities, and revenue forecasts;
- (e) Analyzing procurement activities to check the effective controls over procurements made during the pandemic, including measures to address potential fraud;
- (f) Assessing measures, including medical support put in place to protect employees, equipment, and infrastructure, including the Information Technology (IT) infrastructure;
- (g) Evaluating the effectiveness of management of human resources during the pandemic, including temporary personnel and agency workers;
- (h) Verifying the effective management of events and travel, as well as measures established to comply with related restrictions put in place by the UN and the host countries, including in External Offices locations; and
- (i) Engaging with Programs to identify good practices put in place to effectively adjust to the conditions created by the pandemic;

23. Further, IOD developed a staff survey to:

- (a) Collect staff and management insight of the impact of COVID-19 on their program work-plan, and achievement of expected results and performance targets.
- (b) Capture staff perception of the effective management of crisis at WIPO; and
- (c) Identify lessons learned from the management of the COVID-19 pandemic, which can be integrated into the crisis management policies and procedures;

24. The Consulting Engagement was performed in accordance with the International Standards for the Professional Practice of Internal Auditing (the Standards) issued by the Institute of Internal Auditors.

#### 4. ENGAGEMENT RESULTS – OUTCOME(S)

25. The objectives and outcomes of the Consulting Engagement are summarized below.

S/n	Objective(s)	Outcome(s)
(a)	To assess, whether WIPO has established a fit-for-purpose Governance Structure for crisis management.	IOD found that WIPO established a well-functioning Governance Structure for crisis management. This was supported by the review of relevant documentation and results of IOD Surveys. Lessons learned were developed mainly in the area of the decision-making processes and capacity assessment of the Business Continuity function.
(b)	To assess, whether Policies and Procedures exist to support crisis management including during a pandemic.	Existing policies and procedures were adequate in managing the crisis, and necessary updates and changes have been made as required. IOD has assessed the components of WIPO Organizational Resilience Framework and checked its practical application in the WIPO Crisis Management Plans, including the performance of Trainings and Exercises and work on Gaps identified. Going forward, WIPO needs to identify Business Continuity Focal Points at the Sector levels, to among others, develop and measure performance indicators linked to business continuity and disaster recovery processes.
(c)	To assess, whether Related Risk Management and Internal Controls are appropriate.	Risk Management and the system of Internal Controls were properly adjusted to pandemic situation and kept duly functioning. A number of recommendations were made to further strengthen controls surrounding procurements and remote working.
(d)	To assess, whether the execution of crisis management Policies and Procedures is effective and compliant.	IOD finds that overall, the execution of crisis management policies and procedures was effective and compliant. Further engagements can be made by assessing stakeholders' needs in the area of additional communication and collaboration platforms.
(e)	To identify lessons learned that can be integrated in the crisis management plan to optimize WIPO's organizational response to any future crisis.	IOD has identified 22 lessons learned during the engagement, covering areas such as: crisis governance and communication; execution of, and compliance with policies and procedures; and risk and internal controls. These lessons learned are disseminated in different sections of the report. The full list of lessons can be found under Annex IX.

## 5. ENGAGEMENT RESULTS - POSITIVE DEVELOPMENTS

26. The Internal Oversight Division notes some positive developments identified during the engagement.

Area	Positive Development
Crisis Governance	<ul style="list-style-type: none"> <li>▪ WIPO has a well-articulated and documented crisis coordination structure (i.e. Crisis Management Team, Crisis Response Team, Incident Response Teams, etc.). Dedicated functions were well integrated and covered operational, tactical and strategic decision making.</li> </ul>
Policies and Procedures supporting the crisis management during pandemic	<ul style="list-style-type: none"> <li>▪ WIPO has developed a comprehensive and up-to-date Crisis Management Plan;</li> <li>▪ Human Resources (HR) and other relevant functions timely reacted to various non-standard HR-related situations and demonstrated adequate flexibility towards WIPO personnel;</li> <li>▪ WIPO Medical Unit (MU) in collaboration with the Business Continuity Coordinator (BCC) swiftly defined necessary sanitary measures and in cooperation with Premises and Infrastructure Division (PID) and Safety and Security Coordination Service implemented a constant crisis follow-up system in line with the host country and WIPO requirements.</li> </ul>
Effective and compliant execution of crisis management Policies and Procedures	<ul style="list-style-type: none"> <li>▪ Overall, WIPO personnel rapidly and effectively adapted to new working environment;</li> <li>▪ Staff received good trainings to deal with mental health, loneliness and other challenges of remote working;</li> <li>▪ Management regularly analyzed the performance of the Organization</li> <li>▪ Good controls were in place to monitor and contain costs;</li> <li>▪ The Information and Communication Technology Department (ICTD) including the ICT Service Desk and in close cooperation with BCC put significant efforts in managing the extensive volume of requirements, assets/service requests, and related risks generated by the pandemic.</li> </ul>
Risk management and internal controls during the pandemic	<ul style="list-style-type: none"> <li>▪ Active mobilization of WIPO Risk function and reaction to the changing risk landscape;</li> <li>▪ Implementation of effective information security, including cybersecurity controls;</li> <li>▪ Continuous engagement of WIPO Secretariat with the Independent Advisory Oversight Committee to keep them informed of new risks arising out of the pandemic and the mitigation measures in place.</li> </ul>

## 6. ENGAGEMENT RESULTS - OBSERVATIONS AND RECOMMENDATIONS

27. The following observations, lessons learned, and recommendations present opportunities to further reinforce organizational resilience against potential future crises.

(A) FEEDBACK FROM WIPO INTERNAL AND EXTERNAL STAKEHOLDERS

(i) IOD Surveys

28. Within the scope of the engagement IOD organized three surveys as follows:

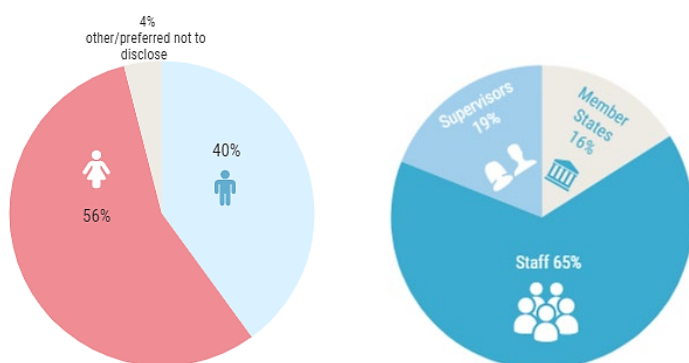
(a) **Staff Survey**, open from April 12 to May 3, 2021- distributed to 1047 WIPO staff with 31 per cent response rate;

(b) **Survey for Supervisors**<sup>3</sup>, open from April 12 to May 3, 2021 - distributed to 224 WIPO supervisors with 42 per cent response rate; and

(c) **Survey for WIPO Member States**, open from May 17 to June 21, 2021 - distributed to 193 persons with 43 per cent response rate.

29. Overall, 97 supervisors, 325 staff members and 82 Member States responded to the respective surveys, with 56 per cent of respondents being male and 40 per cent female.

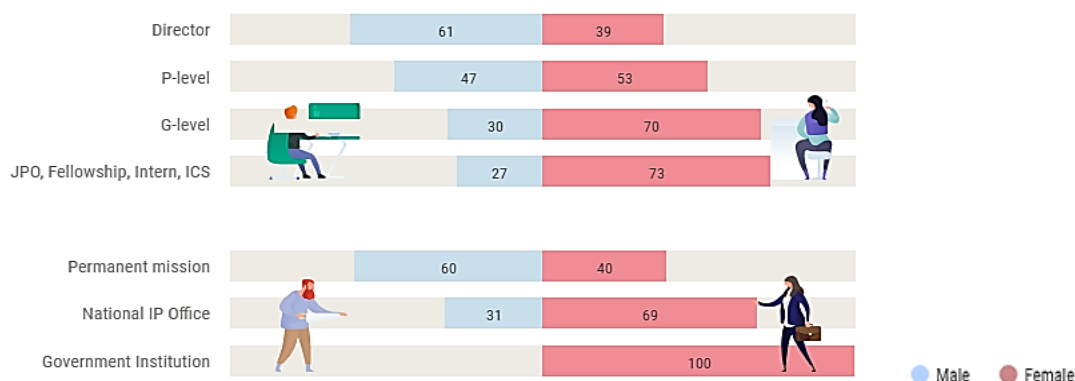
**Figure 2: Total Survey Respondents by Gender and by Survey Type**



Source: IOD surveys.

30. The figure below summarizes respondent gender and affiliation in percentages.

**Figure 3: Affiliation of Survey Respondents**

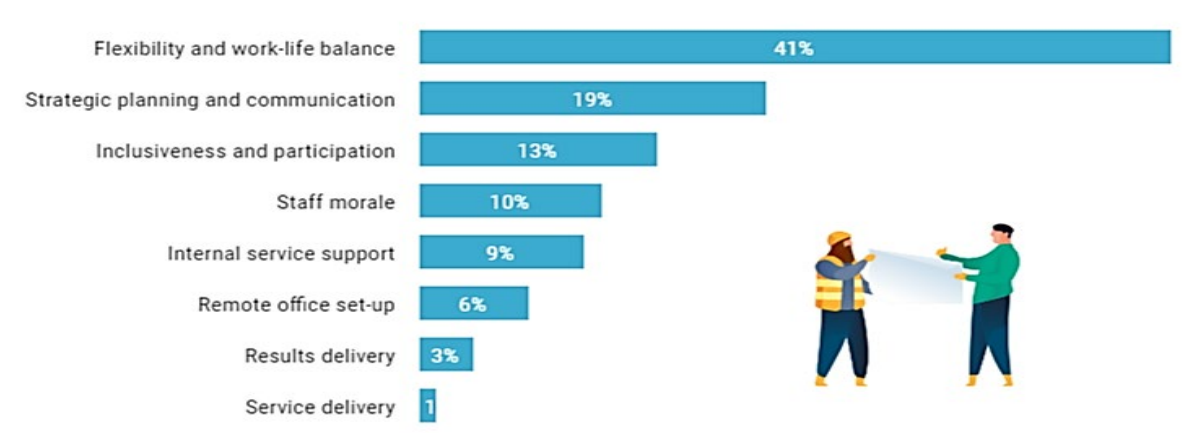


Source: IOD surveys.

<sup>3</sup> Supervisors include Deputy Director Generals, Assistant Director General, Directors, Heads, and Managers.

31. Respondents to the Staff Survey provided over 680 comments, of which the main eight themes have been depicted below. The foremost priority theme for WIPO staff was "Flexibility and Work-life balance".

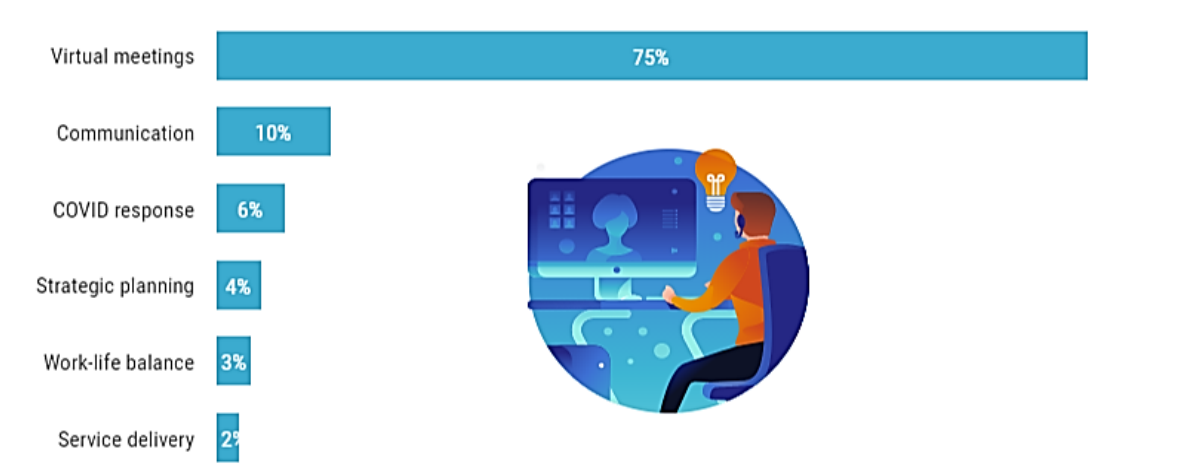
**Figure 4: Staff Survey - Qualitative Comments Clustered by Themes**



Source: IOD, statistics from surveys.

32. Representatives of Member States participating in the survey provided around 100 iterations which were classified into six themes as depicted in the figure below.

**Figure 5: Member States Survey - Clustered by Themes**



Source: IOD surveys.

33. Comments made focused on the importance of virtual meetings (hybrid meetings, webinars, online training, among others), and the need to continue with these meetings formats as they have proven to be one of the most valuable changes resulting from the pandemic.

34. Below are some highlights of the survey results. Further results from the surveys have been used for triangulation purposes and embedded in various sections of this report. Detailed survey responses can be found under Annexes II, III, and IV.

(ii) Survey Highlights

35. The survey results highlighted the following:

36. Remote working - Staff perceived certain insufficiencies in staff management at the beginning of the pandemic compared to some other UN system Organizations and Swiss and large international companies operating in Geneva. These included delays in sending employees home, delayed and unclear communication, and perceived inconsistencies in measures across the Organization. Participants also perceived that the Organization would have been better prepared if it had evolved from its conservative approach towards remote working, by adopting a policy in that regard well before the pandemic; as a number of UN agencies had already done so. Early integration of WIPO's "Ability to Work in a Remote Environment" in the Business Continuity and Disaster Recovery planning could have significantly facilitated a rapid adjustment of operations in March 2020.

37. Nevertheless, the remote working option has been greatly appreciated by WIPO staff, and a large number of comments are in favor of wider implementation of the remote working option as a new flexible working arrangement.

38. Employee wellbeing – Survey participants perceived that WIPO paid particular attention to the employees' well-being during the pandemic and in particular after the first lockdown. The Organization has, and continues to offer several activities aimed at addressing the needs of staff during these difficult times, notably, communicating internally during times of uncertainty, monthly well-being webinars, "Happy Hour" virtual discuss sessions, coaching services, and training opportunities. In addition, other staff services such as the Medical Unit, the Staff Counselor, and Ombudsperson have been providing services addressing the needs of WIPO staff during these difficult times. As a result, the participants were optimistic about the work of the Organization, with 70 per cent feeling supported by the Organization, and 86 per cent indicating that they have adapted very well to the new situation. This is also mirrored in the Survey for Supervisors, where 97 per cent of supervisors perceived that units under their supervision have adapted well to the new conditions and work environment. However, the Staff Survey participants also highlighted the need to further enhance services and solutions around homeschooling and parenting resources.

39. Employee morale – The Staff Survey participants (64 per cent) felt that the Organization supported a sense of belonging and connectivity among staff during the pandemic. In addition, 64 per cent felt that performance reviews have been fair and objective, and 73 per cent indicated that their manager supported them during the pandemic. The Supervisor Survey shows that the staff morale has been good during the phases of the pandemic - 75 per cent. However, during interviews, most managers indicated that the staff morale has fluctuated throughout the different waves of the pandemic, with the second wave found to be particularly heavy on morale.

40. Flexibility and Work-life Balance – The survey identified flexibility and work-life balance as the most relevant measure implemented by the organizations during the pandemic. Out of 195 comments related to good practices, 77 per cent of remarks called for permanent remote working arrangements, including allowing staff to telework outside the duty station.

41. Flexible working arrangements and remote work have been repeatedly suggested to be continued in the future with staff having benefited enormously from remote work and the ensuing time management efficiencies. In addition, over the past year, the current teleworking arrangements have demonstrated that the Organization's performance was negatively affected, and that they enabled a better work-life balance for employees, while shifting the focus to a results oriented culture, which is better aligned with the Organization's Results Based Management framework and principles. Sixty-two per cent of the Staff Survey participants believed that remote working has contributed to a more efficient and results-oriented culture.

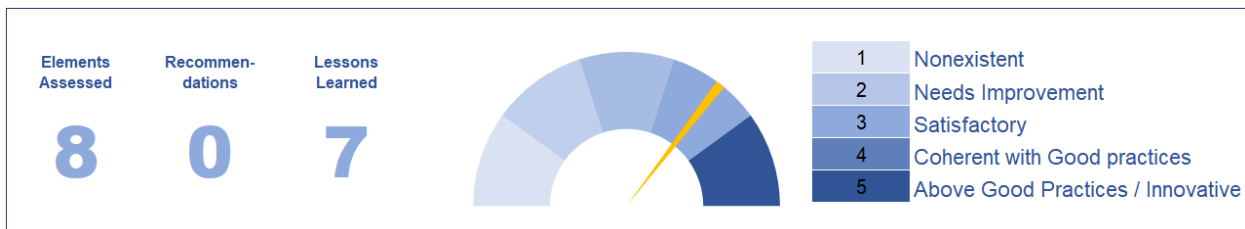
Finally, survey participants highlighted enhancements in self-management practices, decreased formality, and increased agility and reactivity as a result of the flexibility.

42. While the flexibility offered by the Organization, its effects on a work-life balance (62 per cent), and increased efficiency (58 per cent) were appreciated, however, the combination of remote working and full confinement challenged the effective management of work load and children homeschooling, in particular during the first lockdown. Thirty-two per cent of the Staff Survey participants were unable to assess whether they received support from WIPO in managing homeschooling, and 34 per cent were neutral (neither agreeing nor disagreeing). Some staff also found that work targets and deadlines were not adequately adjusted in certain areas and cases to consider the constraints of managing children while delivering, leading to increased pressure on staff members.

## (B) CRISIS GOVERNANCE STRUCTURE

43. The Figure below summarizes the results of the assessment of the WIPO Crisis Management Structure.

**Figure 6: Crisis Governance Structure – Assessment Summary**



Source: Gap Analysis Details (Annex IX)

### (i) Crisis Management Coordination Structure

44. An effective crisis management coordination structure brings the organization’s employees and stakeholders together under one umbrella to organize a relief and recovery of operations.

45. The WIPO Crisis Management Plan<sup>4</sup> is a principal document that provides a practical guidance and supporting information on actions required to rapidly and effectively respond to a crisis that impacts WIPO. The plan outlines roles and responsibilities of actors involved in the crisis management (and outlines the WIPO Incident / Crisis Workflow (Annex VI) including the logic for activating different crisis management roles and interrelations among them (Annex V).

46. The analysis of Crisis Management Team (CMT meetings and activity logs of main events suggests that WIPO managed to set-up the crisis management coordination structures timely and effectively. This conclusion is also supported by the IOD surveys:

*IOD Survey for Supervisors: “The Crisis Management Group took timely and effective decisions to protect the health of staff and the integrity of WIPO assets during the pandemic” - 81 per cent “agree to strongly agree”.*

*IOD Staff Survey: “Senior Leaders effectively led WIPO through the pandemic” - 71 per cent “agree to strongly agree”.*

47. While the majority of surveyed WIPO staff positively rated the decisions of CMT, IOD’s review and interviews highlight the following:

<sup>4</sup> WIPO Crisis Management Plan Organizational Resilience Version: V2.01



(a) A Coordination Committee event took place on March 4, 2020. While the justification provided was the importance of the event, the result of a risk assessment, and rigorous safety measures taken, IOD noted that COVID-19 cases in WIPO increased two weeks following the event. Safety should be paramount, regardless of the importance of an event;

(b) The “Return to the Office Rules<sup>5</sup>” were rather “mechanical” and not necessarily the result of operational needs or functional analyses. Each week there was a fixed number of returning staff set. The staff from each Sector was allocated based on their relative size, and this approach came across as arbitrary. Going forward, and to the extent possible, the return to office should be based on operational needs and must be done in a manner that ensures enough time for adequate preparation and the availability of resources to provide necessary support to returning staff, while maintaining a focus on health-safety;

(c) The Business Continuity Coordinator function (one staff member) has been heavily involved in all pandemic-related activities at WIPO since January 2020. Resources in that area only increased by one agency worker in June 2020. A more proactive approach to ensuring that the BCC function is sufficiently and timely manned would support effective management of the crisis;

(d) The Head of Physical Security is the alternate of the BCC in their crisis coordination role, and the Risk Assurance and Internal Controls Specialist is the alternate of the BCC in their business continuity coordination role. However, because each role requires an intimate knowledge of the other (crisis coordination support and business continuity planning and processes), in order to be effective in time of crisis, the use of two separate alternates may not be effective. Furthermore, in case of a crisis, and depending on the nature of the crisis, it may be rightful to assume that the Head of Physical Security may already be involved as part of their role, and hence may not be effective if called to play both the role of Head of Physical Security and crisis coordinator in the absence of the BCC; and

(e) Interviews with different stakeholders highlighted the need to better inform alternates on the content of meetings, in order for them to be better prepared in their role as alternates. Currently, it is the responsibility of the principal members to brief alternates.

### **Lesson (s) Learned**

1. Employees could have been sent home earlier during the “first wave”.
2. The organization of events must be strictly limited despite their importance when the health security is at stake.
3. The Return to the Office Rules should be based on operational needs while ensuring a safe return process and environment.
4. The Crisis Management Team Alternates should be more extensively briefed about the content of past meetings by their Principals (or vice versa, if the former attended). The participation of Alternates in CMT meetings together with CMT members is beneficial.
5. The Business Continuity function needs to be reinforced in time during Crisis situations.

<sup>5</sup> OI N° 21/2020 (VOID) and related lower-level documents



6. The current approach which consists of naming two alternates for the BCC may need to be reassessed or means found for rendering it more resilient.

(ii) Communicating Information

48. Effective communications and stakeholders' engagement are important aspects during the crisis, and the communication tools that the organization uses and the way it engages with its stakeholders play a key role.

49. The Internal Oversight Division notes that WIPO made good efforts to inform its external stakeholders about operations during the pandemic. Some of the examples are:

(a) Publishing relevant information on WIPO public web-site, which contains a separate dedicated category "WIPO's COVID-19 Response"<sup>6</sup>, explaining how WIPO adapted its work processes to ensure continued delivery of IP services. Among other valuable information, there are regular online dashboards published to monitor WIPO operations;

(b) The WIPO Intellectual Property (IP) Portal<sup>7</sup> provided valuable COVID-19 updates regarding WIPO's main IP services. In addition, subscribers were receiving regular newsletters on latest developments and news;

(c) WIPO Intranet<sup>8</sup> to certain extent became a "one stop shop" for many information inquiries during the pandemic; and

(d) All WIPO staff received regular newsletters and information emails from the Director General, WIPO MU, HR and other WIPO functions.

50. Aside from formal communications, there were numerous informal and semi-formal mechanisms that came into play through the initiative of WIPO Managers at various levels. Managers were conscious and aware of staff personal and health circumstances and paid special attention to these issues in planning and managing their teams.

51. The Organization actively analyzed various sources of pandemic-related information including information from: Swiss authorities, authorities from other countries with WIPO Offices, and UN bodies. Further, the composition of the CMT facilitated swift sharing of information with WIPO Sectors and critical Programs. However, while acknowledging the above, there is a perception that the Management did not always disseminate information to the employees in a clear and timely manner. For instance, the Staff Survey participants highlighted variations in clarity of communication before and after the lockdown.

*"The Organization provided clear guidance and communication before the lock down" – 55 per cent "agree to strongly agree".*

*"The Organization provided clear guidance and communication during the pandemic – 87 per cent "agree to strongly agree".*

52. Staff felt that communication was poorly managed at the beginning of the pandemic. In fact, on March 14, 2020, the first email informed WIPO employees that only essential staff members were to be at the office starting from March 16, 2020. However, several business areas did not have sufficient information to determine their status as essential or non-essential.

<sup>6</sup> <https://www.wipo.int/covid-19/en/>

<sup>7</sup> <https://ipportal.wipo.int>

<sup>8</sup> <https://intranet.wipo.int/portal/en/index.html>

53. Finally, several staff comments compiled from the survey advised that WIPO Management should find ways for improving its communication to the staff. Likewise several comments from Member States advocated for better organizational leadership support and communication to stakeholders during the pandemic. In particular, there was a perception that WIPO communicated less with Member States during the early days of the pandemic.

#### **Lesson (s) Learned**

7. Communication to all stakeholders – both internal and external – needs to be given a high priority during a crisis.

#### (iii) WIPO Medical Unit – Advice and Coordination

54. The COVID-19 is primarily a health crisis and the WIPO Medical Unit (MU) played an important role in its management and coordination. The WIPO MU served as a main source of health related information and advices, crucial for decision making. Important management decisions have been made while considering scientifically based guidance from the WIPO MU. These advisories have been provided since the start of the pandemic, and even during the absence of the Senior Medical Adviser in February 2021, who continued to regularly and remotely support WIPO Management. During the absence period, a temporary Doctor was contracted, and subsequently, the capacity of the WIPO MU increased by an additional nurse in March 2021.

55. Furthermore, the WIPO MU also regularly briefs WIPO staff regarding the safety measures, physical and mental health, vaccination campaigns and other relevant topics.

56. Finally, WIPO Senior Medical Adviser has also been providing valuable inputs to, and collaborated with the UN Office at Geneva, other UN bodies and relevant public organizations throughout pandemic.

#### (iv) Interaction and Cooperation between WIPO Functions

57. The Internal Oversight Division notes the good cooperation between WIPO functions during the crisis as a key factor of the current positive outcome. This cooperation included among others, the temporary reallocation of staff between Programs to support and reduce any increased workload and help-out in case of reduced human resources. During the first two waves of the pandemic, WIPO functions demonstrated effective interoperability and mutual support, as well as the ability to adjust to the crisis and to contribute to the recovery of operations. Below are some of examples:

(a) The staff of the Security and Information Safety Division provided support to the ICT Helpdesk during the peaks of service requests. In addition, the Information Security Section made significant contributions across their delivery line, including fast tracked security clearances;

(b) The Procurement and Travel Division (PTD) in cooperation with Premises and Infrastructure Division (PID) and other WIPO Divisions performed an extensive analysis of contracts with vendors, potentially impacted by the crisis. This helped to timely identify most vulnerable contracts and ensure that critical services such as catering, cleaning, maintenance of premises, physical security, are provided with no interruption and are adjusted to the new requirements caused by pandemic. Further, the PTD executed crisis management policies and procedures for critical procurement needs. These collective efforts allowed among others, the continued implementation of the WIPO Capital Master

Plan. Moreover, the PID made significant efforts to ensure the safety of its staff, who mainly had to work on premises, hence being exposed to the underlying risks;

(c) The WIPO Risk Management Group, supported by the Office of the Controller, and in cooperation with the WIPO MU, served as a risk information exchange and decision making platform for the management of all WIPO functions. This facilitated the identification and mitigation of critical risks that emerged as a result of pandemic;

(d) The Department of Program Planning and Finance in collaboration with the BCC and IT support ensured the seamless working of finance-related systems in the remote mode. This was done through different drill exercises performed before the crisis;

(e) The News and Media Division and Information and Digital Outreach Division made their best efforts to cooperate with WIPO functions, to collect essential information, to communicate to internal and external stakeholder;

(f) The WIPO Conference services, together with ICTD, Interpretation Unit (and external interpreters) and the Administrative Integrated Management System (AIMS) Service Desk ensured that virtual and hybrid meetings continue to run for the benefit of all WIPO Member States as soon as meetings could resume; and

(g) The Human Resources Management Department (HRMD) received and effectively addressed staff requests for support on various difficulties encountered as a result of the pandemic conditions.

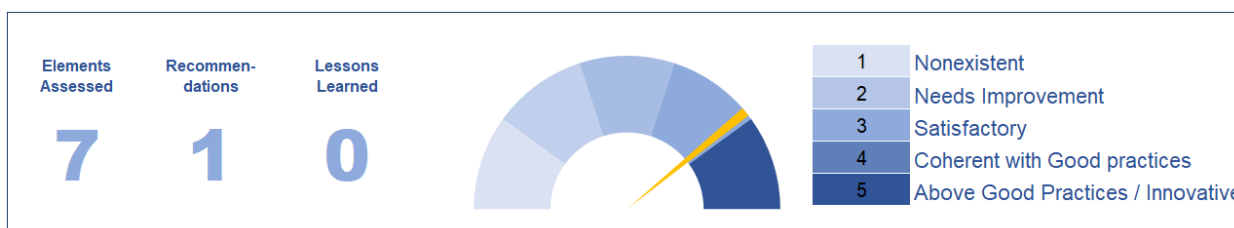
58. As a result of joint efforts of different WIPO functions, all WIPO main revenue generating programs have been successfully adjusted to the remote working mode without notable losses in productivity.

59. While some departments became more “visible” during the pandemic, it did not diminish the importance of all other WIPO functions who continued contributing towards WIPO goals and objectives. The Internal Oversight Division recognizes considerable efforts of each WIPO function, which led to the positive current outcomes.

(C) POLICIES AND PROCEDURES SUPPORTING THE CRISIS MANAGEMENT DURING PANDEMIC

60. The Figure below summarizes the results of the assessment of the Policies and Procedures supporting the Crisis Management during the pandemic.

**Figure 7: Policies and Procedures Supporting the Crisis Management during Pandemic – Assessment Summary**



Source: Gap Analysis Details (Annex IX)

(i) UN Policy on ORMS and WIPO's Organizational Resilience Framework

61. The UN Policy on the Organizational Resilience Management System (ORMS) requires that the UN system entities approach Crisis Management in a manner that is coordinated with other core elements, such as Business Continuity Management, Security, ICT resilience and emergency management support. The policy aims to help UN entities build resilience, by aligning efforts to enhance their ability to continuously deliver their mandates.

62. Likewise, WIPO's Organizational Resilience Framework, adopted in 2015, outlines the approach to organizational resilience in WIPO, which includes through organization-wide plans, and other specific focus areas. The Framework was amended in 2019<sup>9</sup>.

(ii) WIPO Crisis Management Plans

63. The Internal Oversight Division found the WIPO Crisis Management Plan (CMP) to be practical, and the information therein balanced. The CMP covers the following areas:

- (a) Main definitions and Crisis Management related methodology;
- (b) Roles and Responsibilities;
- (c) Crisis response activities;
- (d) Crisis Management activities;
- (e) Declaring a state of Crisis and integration with UN Crisis Management;
- (f) Crisis Communications; and
- (g) Learning from the Crisis, Trainings, Exercises and Maintenance

64. In addition, the CMP annexes contain the necessary information on locations of WIPO offices, main contacts, members and alternate members of CMT and Crisis Response Team (CRT), examples of alert communications and other templates.

65. The Business Continuity Plans (BCP) outline how WIPO will continue to operate during an unplanned disruption in service. BCPs are prepared and need to be maintained by all WIPO critical functions<sup>10</sup>, facilitated by BCC. In addition, WIPO has a consolidated BCP, which combines the Action Plans of all functional areas and other offices which have prepared BCPs. Actions Plans comprise the list of actions for each impact scenario as well as the related Devolution, Gaps, and Training and Exercise tables.

66. The Disaster Recovery Plans (DRP) contain detailed instructions on how to restart, reconfigure and recover ICT systems and networks following their disruption, with the goal of minimizing negative effects on business operations. DRPs are prepared and need to be maintained by all WIPO functions responsible for ICT assets and solutions. The Disaster Recovery Plans should be integrated where necessary with those functions' BCPs. This integration can be facilitated by BCC.

67. Trainings and Exercises (T&E) is a vital element of the Business Continuity planning. Trainings and Exercises enable the Organization to practice different emergency procedures in a simulated situation. Critical functions are required to organize regular exercises to learn and analyze the effectiveness of procedures, and to identify and remediate gaps. Lessons learned

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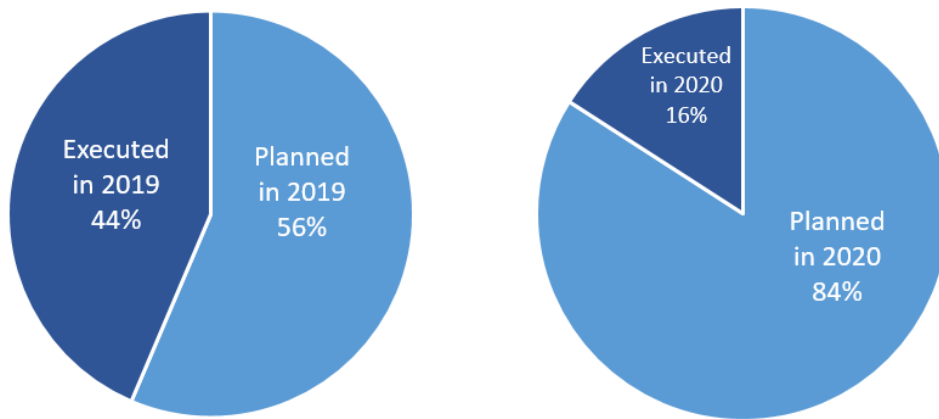
<sup>9</sup> Office Instruction N° 29/2019.

<sup>10</sup> Critical Functions are groups of processes that have been identified as critical to WIPO's ability to meet its treaty obligations

and insufficiencies identified are recorded in “Gap Tables”, which are subsequently allocated to responsible Managers for remediation.

68. The Figure below shows data on performed T&E by different WIPO functions in 2019 and 2020.

**Figure 8: Planned and Executed T&E by Year and by Topic**

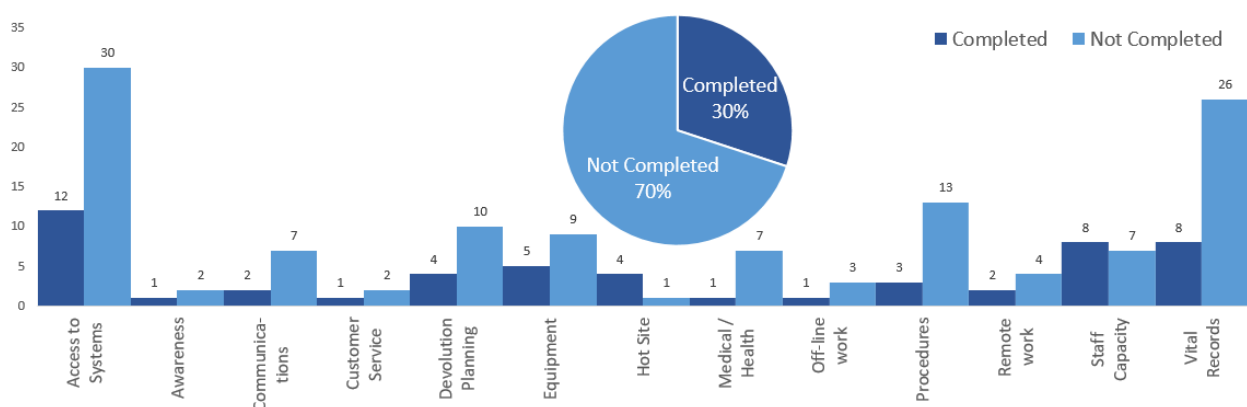


Source: WIPO Consolidated Business Continuity Plan

69. While the figures above show that the pandemic conditions affected the number of T&E performed in 2020, it however also highlights insufficiencies in T&E executions in 2019, showing that more efforts need to be made in performing planned T&E. Furthermore, a more detailed view of T&E shows that areas such as disaster recovery and backup resources were subject to little or no T&E both in 2019 and 2020. Finally, all planned 2019 T&E for “Hot-sites” were executed, compared to 2020 where only three out of 21 planned T&E took place.

70. The Figure below shows the number of gaps identified during T&E that have been addressed and still to be addressed as of April 2021.

**Figure 9: Status of Gaps at the End of April 2021**



Source: WIPO Consolidated Business Continuity Plan

71. Overall, IOD notes that the updates of plans (including gaps and T&E tables) took place in March 2020 due to the onset of the COVID-19 pandemic. While acknowledging the need to reprioritize tasks during the pandemic, there were however, opportunities to address the above

issues identified during T&Es and take corrective actions even prior to the pandemic. The pending status of T&E and remediation measures are also reflected in the survey responses.

*IOD Survey for Supervisors: "In early 2020, WIPO was prepared to face an emergency/crisis of the characteristics of the pandemic." – 35 per cent "agree to strongly agree"*

*IOD Staff Survey: "In my view, in early 2020, WIPO was prepared to face an emergency/crisis of the characteristics of the COVID -19 Pandemic." – 40 per cent "agree to strongly agree".*

72. Going forward, it would be beneficial for WIPO to identify and designate Business Continuity Focal Points for each Sector, who will be responsible for liaising with the BCC with a view to developing, measuring and reporting on performance indicators related to: updates of plans, execution of T&Es, and implementing remediation to address gaps identified during T&Es.

(iii) Adaptation of WIPO Operational Frameworks to Pandemic Crisis

73. The analysis of IOD surveys highlighted opportunities to adapt current policies and practices to better reflect emerging needs. Some of the challenges identified include:

- (a) Work overload of the IT services;
- (b) Pressure to ensure the quick transitioning to work remotely with the uncertainty of effectiveness;
- (c) Some inconsistencies in the equipment and distribution policies and practices;
- (d) Limited flexibility in working hours (for example - core working hours); and
- (e) Lack of clarity regarding work from remote location policies;

74. However, there is consensus that WIPO is subsequently adapting to remote working. The pandemic and its potential impact on employees' presence on premises requires a number of support functions to implement measures, restrictions and guidance for all employees regardless of type of contracts and status: HRMD in the area of flexible working arrangements and recruitment processes for the staff; PID and ICTD for office spaces on site; ICTD and Security and Information Division (SIAD) for home office; PTD (with all internal contract managers) for external contractors, agency workers and travel; BCC for the overall view of and advice on those matters. The feedback from IOD Surveys suggests that WIPO managed to adapt relevant policies and rules to make them effectively fit during the crisis, and WIPO staff effectively adjusted.

*IOD Survey for Supervisors: "My staff responded positively to the organizational rules and regulations put in place in relation to the pandemic." – 89 per cent "agree to strongly agree".*

*IOD Staff Survey: "The Organization has adapted the relevant policies, rules, and instructions that have a key function to play during the pandemic (e.g., sick leave, teleworking, etc.)." – 82 per cent "agree to strongly agree".*

75. The Internal Oversight Charter highlights the flexibility and adaptability shown by various support functions in addressing varied challenges faced by employees during this pandemic. For instance, WIPO intranet was updated with relevant arrangements, which covered topics such as Office presence, Teleworking, Time management, Leave and Absences, Travel, and Working and Learning Remotely.



76. Furthermore, the Staff Survey highlighted several comments on working arrangements, which proved to be a very popular topic with suggestions to:

- (a) Implement the remote working option as a new flexible working arrangement;
- (b) Abolish the core hours concept; and
- (c) Provide a possibility to temporarily telework from a location that is not within reasonable commuting distance from the duty station.

77. Going forward, the amended Policy on Working Hours and Flexible Working Arrangements has been finalized, and includes measures to address most of the above mentioned challenges and suggestions. The Policy will enter into force on January 1, 2022.

**Recommendation (s)**

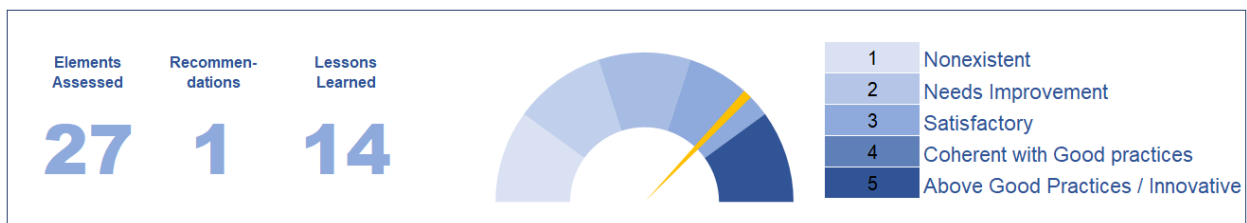
1. The Administration, Finance and Management Sector should develop terms of reference, and work with other WIPO Sectors to identify Business Continuity Focal Points at the Sector level, who will be assisted by the Business Continuity Coordinator in developing and measuring performance indicators linked to among others, timely:
  - (a) Updating Business Continuity and Disaster Recovery Plans, including practical guidance;
  - (b) Completing planned Trainings and Exercises; and
  - (c) Addressing identified Gaps.

(Priority: High)

(D) EXECUTION OF CRISIS MANAGEMENT POLICIES AND PROCEDURES

78. The Figure below summarizes the results of the assessment of the effective and compliant execution of Crisis Management policies and procedures.

**Figure 10: Effective and Compliant Execution of Crisis Management Policies and Procedures – Assessment Summary**



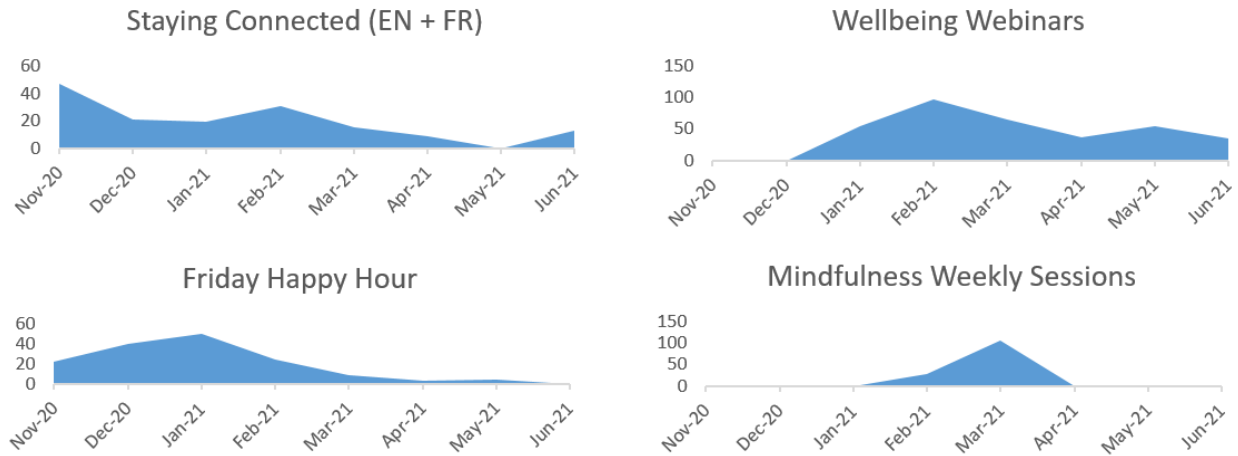
Source: Gap Analysis Details (Annex IX)

(i) Staff Trainings and Guidance

79. The Pandemic has had a significant impact on staff training and development, with several in-person trainings cancelled, and/or moved to a virtual format. Nevertheless, the provision of trainings started to resume by mid-2020, with focus on virtual and online training. For instance, WIPO increased its user licenses for LinkedIn® Learning, giving access to a wide range of technical and non-technical training, some of which were adapted to the prevailing conditions (i.e. Embracing Unexpected Change, Time Management - Working from Home, Building Resilience, and Tips for Working Remotely).

80. Furthermore, and to address the COVID-19 impact on mental health and wellbeing of employees, WIPO developed specialized training programs such as “Mindfulness Weekly Sessions”, “Wellbeing Webinars”, “Staying Connected” and “Friday Happy Hour”. The Figure below shows the monthly employee attendance between November 2020 and April 2021. Decrease in attendance in spring 2021 potentially suggests increased improvement of staff wellbeing and adaptation to the prevailing conditions.

**Figure 11: Staff Monthly Attendance (November 2020 – June 2021)**



Source: data from Performance and Development Section

81. Survey participants also positively rated WIPO’s efforts in the area of training and maintaining high morale:

*IOD Staff Survey: “The Organization has been very effective in providing training to work effectively in a remote environment.” – 64 per cent “agree to strongly agree”.*

*“The Organization has provided counseling to keep staff morale high during the pandemic (including personal well-being and enrichment programs)” – 72 per cent “agree to strongly agree”.*

82. Through its meetings with staff, IOD learned that while some topics were effectively covered through online and virtual training, some trainings, in particular soft skills, lacked in human interaction.

83. Since the beginning of the pandemic, WIPO MU regularly disseminated health and safety related information to WIPO employees. In addition, WIPO Intranet was updated with relevant medical related information and useful resources to enhance knowledge on COVID-19 and related restrictions and behaviors. More than a half of surveyed staff indicated that they received a support and guidance during the pandemic:

*IOD Staff Survey: “The Human Resources Management Department provided staff with support and guidance during the pandemic” – 59 per cent “agree to strongly agree”.*



**Lesson (s) Learned**

8. While soft skills training were found to be less effective when administered remotely, technical trainings conducted online/virtually were as effective as in-person sessions.
9. Going forward, WIPO should consider the benefits of remote trainings where relevant.

(ii) Cybersecurity Management

84. Because of the need to shift to remote working, the COVID-19 pandemic has accelerated the digital transformation of the Organization, leading to increased information and in particular, cybersecurity concerns. The online infrastructure has become the core hub for communication, working and learning.

85. With increased remote working, the number of cyber fraud and cyberattacks has increased dramatically. Due to information being exchanged almost exclusively online, there is a greater risk of breaches and social engineering. Also, the likelihood of willful and/or fraudulent leaks of confidential information has heightened due to: (i) vulnerabilities of unauthorized access inherent in virtual platforms; (ii) the use of personal devices and/or other unsecured internet connections; and (iii) physical access to workspaces and devices by others present in the household.

86. Accordingly, WIPO initiated a number of measures with the onset of the pandemic, including:

- (a) Expanded utilization of ZScaler®<sup>11</sup> and eSignature;
- (b) Conversion of PCT operations to virtual environment format;
- (c) Review/development of new IT working practices and implementation of stricter controls;
- (d) Acquisition of additional security tools to protect against potential distributed denial-of-service attacks;
- (e) Delivery of fraud awareness training to finance/procurement personnel and of cybersecurity awareness course to general staff; and
- (f) Social engineering attacks (e.g. Phishing, Baiting) simulations to test WIPO staff<sup>12</sup>

87. Although significant action was taken to minimize the risk of cyberattacks/cyber-fraud and breach of confidentiality threats, continued efforts and vigilance is needed, particularly in regard to user awareness and education<sup>13</sup>. In addition, some managers mentioned their concern or questions over: (i) staff access and downloading of confidential work documents on their personal devices<sup>14</sup>; (ii) physical access to WIPO devices and documents by cohabitants (or

<sup>11</sup> ZScaler is a security tool that scales access protection to all offices or users, regardless of location, while minimizing network and appliance infrastructures.

<sup>12</sup> There was a seven per cent fail rate, which was an improvement from the 30 per cent rate in 2014. ISS also indicated that there has been more active reporting by staff of phishing or other online scams.

<sup>13</sup> Studies have shown that Phishing is the most popular method of breach.

<sup>14</sup> This was partly due to the lack of availability of WIPO equipment and the unfamiliarity with security tools such as ZScaler towards the early stages of the pandemic. SIAD has indicated that this risk decreased due to the implementation of ZScaler, which only allows for remote desktop access to WIPO workstations from non-WIPO personal devices and prevents data transfer out of the WIPO network to these devices.

visitors) during remote working; and (iii) use and reliability of e-mail classification and applications such as Whatsapp® and Signal® in work-related correspondence<sup>15</sup>.

88. Finally, to properly assess the Organization's cybersecurity posture, IOD performed an audit of Cybersecurity Management (IA 2020-04) at WIPO between January and April 2021, including a Black-box penetration test<sup>16</sup>.

89. The audit found among others that overall:

- (a) Governance over cybersecurity is effective and fit-for-purpose;
- (b) Cyber security related policies, standards and procedures are effective and efficient;
- (c) WIPO has a matured and effective threat, vulnerability and risk management program; and
- (d) The SIAD has implemented practices and targeted exercises to challenge WIPO security plans, policies, systems and assumptions.

#### **Lesson (s) Learned**

10. Access to confidential information through personal devices and the standard use of e-mail classification/encryption and applications such as Whatsapp® and Signal may require further guidance.

#### (iii) Pandemic and HR Capacity Planning

90. The Coronavirus Disease 2019 impacted WIPO's departments differently. While some functions continued to operate effectively in the remote environment, some experienced a decrease in activities, because their operations were heavily dependent on elements such as physical presence in premises, and ability to travel and meet in-person. More than half (60 per cent) of surveyed supervisors noted the impact on the demand of services of their units, and 43 per cent noted that their service delivery was impacted:

*IOD Survey for Supervisors: "Demand of services for the units under my supervision has been affected during the COVID-19 Emergency." – 60 per cent "agree to strongly agree".*

*IOD Survey for Supervisors: "Service delivery by units under my supervision has been affected by COVID-19 Emergency." – 43 per cent "agree to strongly agree".*

91. The reduction in activities for some personnel was tackled in different ways:

- (a) Several impacted functions temporarily redeployed their personnel to the areas that needed assistance;
- (b) Tasks such as updates of Standard Operating Procedures, Policies and Manuals took place; and

<sup>15</sup> In January 2021, SIAD published an Information Security Bulletin on WhatsApp data privacy concerns, advising staff to shift to using Signal instead.

<sup>16</sup> The goal of a black-box penetration test is to simulate an external hacking.

(c) The HR Planning Section reviewed the capacity planning in order to align with needs. Annex VII shows the impact of COVID-19 on the number of staff and non-staff personnel.

92. The Organization made considerable efforts to find a good balance between the pragmatic requirements of financial regulations and being a trustful employer who cares about its personnel. At the same time, IOD notes some feedback gathered during the engagement:

- (a) Not all personnel were proactively reporting on their “idle” status. Not all managers had a good visibility on the personnel workload; and
- (b) Visibility on personnel skills was limited, hence affecting effective redeployment. The visibility of personnel skills need to be improved.

93. From an organizational view, employee movement between March 2020 and March 2021 was rather stable with a net decrease of 10. The Table below provides a more granular view of staff and non-staff movement. A monthly breakdown of staff movement can be found under Annex VII.

**Table 3: WIPO staff and non-staff movement between March 2020 and March 2021**

Headings	Regular staff	Temporary staff	Non-staff
March - 2020	1106	47	102
Net increase (decrease)	(4)	7	(13)
March - 2021	1102	54	89

Source: Business Intelligence (BI) Dashboards

94. The Organization made efforts were made to support departing employees, in particular with dealing with disruptions in international flights, which in certain cases resulted in departing personnel having to spend additional days and sometimes weeks in Geneva because of flight uncertainties.

#### **Lesson (s) Learned**

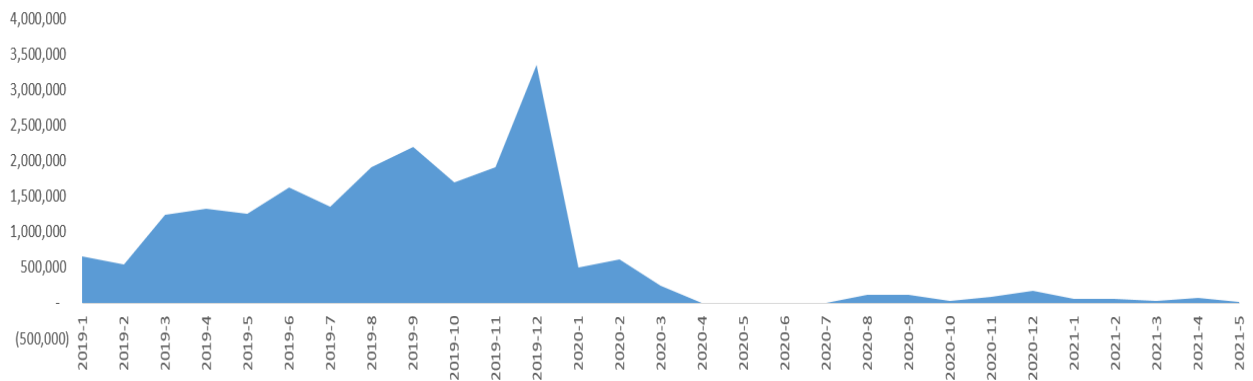
- 11. Proactive monitoring of personnel whose workload is reduced as a result of the prevailing conditions is important. The Human Resources Management Department’s support and coordination of these efforts is essential.
- 12. The visibility on personnel skills need to be improved. This would be useful when there is a need of temporary redeployment of staff.

#### (iv) Monitoring Vendors and Costs

95. The pandemic’s effect on the world economy directly affects IP protection filing, which has a direct impact on the major revenue generating activities of the Organization. Consequently, costs also needed to be monitored and contained while ensuring that the Organization adapted to the new conditions of work, the requirements and related risks.

96. Overall, WIPO personnel and non-personnel costs decreased by 11 per cent compared to 2019, with travel and organization of events being the most affected areas (refer to details under Annex XIII). The Figure below shows the sharp decrease in these expenses since the start of the COVID-19 crisis.

**Figure 12: WIPO Travel and Events Expenses in Swiss Francs (January 2019-May 2021)**

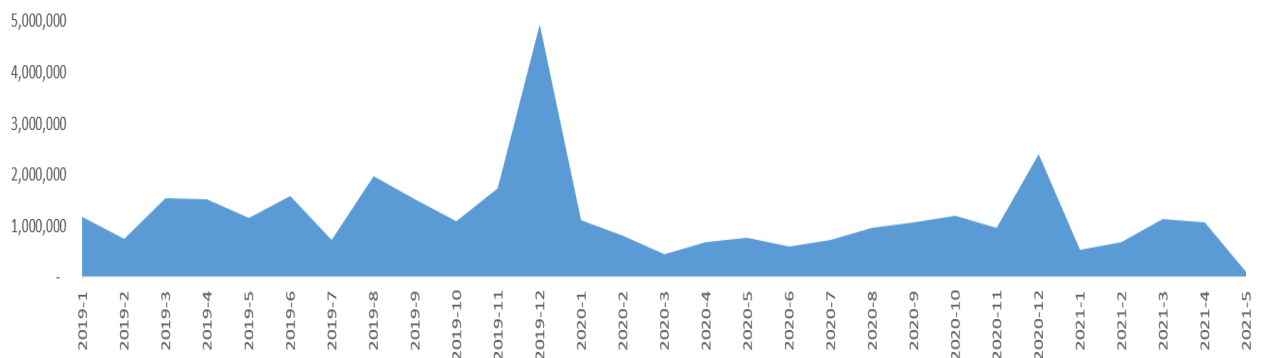


Source: Administrative Integrated Management System (AIMS), Finance

97. While the abovementioned expenses have decreased due to the pandemic, organizational performance remained rather resilient, through implantation of efficient processes and practices. In light of these enhanced efficiencies, WIPO Programs would benefit from reassessing how activities are delivered in the future, while considering the criticality of travel and in-person events.

98. As expected, expenses on premises maintenance, internal removals, security services, cleaning, and utilities have also decreased in the same period. The Figure below shows the evolution of these expenses.

**Figure 13: WIPO Cleaning, Guards, Maintenance, and Utilities Expenses in Swiss Francs (January 2019 - May 2021)**



Source: AIMS, Finance<sup>17</sup>

99. The Internal Oversight Division analyzed contracts, expenses and communication with significant WIPO service providers with the aim to verify how WIPO assessed the good standing of vendors. Furthermore, IOD assessed whether WIPO reasonably decreased its payments to vendors where the need or delivery of services was reduced.

100. The results show that the PTD, along with the relevant Divisions, conducted regular risk assessments of the key critical suppliers. Particular attention was paid to those suppliers whose services to WIPO were reduced as a result of the pandemic. Furthermore, WIPO verified whether these suppliers were supported by the Government through a compensation mechanism for any loss of revenue. Finally, WIPO conducted contract negotiations with a view to among others, ensuring to the extent possible, that the Organization only paid for required

<sup>17</sup> Transactions in expense accounts (before IFRS adjustments): 74130, 74131, 74132, 74134, 74135, 74136, 74137, 74138, 74140, 74145, 74160, 74174

services and goods during the lockdown period and enforced remote working. The Internal Oversight Division notes the following:

101. In order to reopen one of the two WIPO cafeterias for the staff required to be present on-site, the methodology for payment to the catering service provider was changed for the duration of the enforced remote-working period. Previously and under the standard terms of the contract, payment for cafeteria services was made by the staff and third parties who used the cafeterias. To avoid penalizing staff required to be present on-site (who numbered significantly fewer than previously), the Organization originally provided a meal allowance; but, recognizing the advantages of providing cafeteria services on site, then subsidized their meals by paying the service provider directly for the overall temporary increase of the price (approximately 150 thousand Swiss francs in 2020). At the same time, it is to be noted that without this change of payment structure, the cafeteria would not have reopened as it was too costly for the supplier to maintain the services without a significant price increase for those staff using the services. While acknowledging the necessity of these measures due to the prevailing conditions, IOD highlights related vendor risks (e.g. contract renegotiations) that may emerge from this measure. Going forward, both PTD and PID will reassess this temporary situation during the return to office deployment with the aim to find a sustainable contractual methodology that better suits “the new normal”.

102. Likewise, the physical security capacity was reduced by decreasing the required number of guards because of the temporary reduction in service demand. However, IOD notes the potential impact on among others, the ability to retain institutional knowledge because guards, on whom WIPO has invested in security trainings, have left.

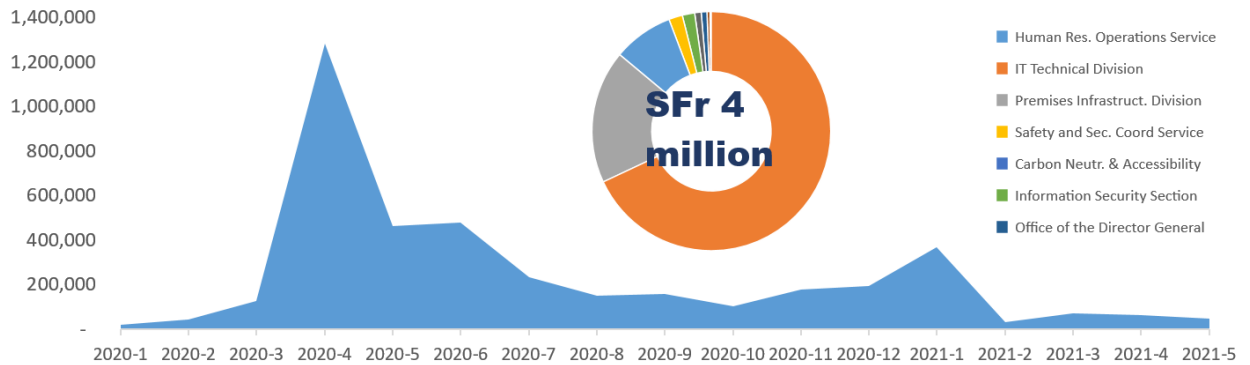
103. The pandemic may have highlighted the potential need to review major strategic contracts and particularly relating to interruption and termination clauses, to ensure that risks brought about by the pandemic can be effectively mitigated at a reasonable cost to the Organization.

104. For example, WIPO may consider whether there would be a cost benefit of integrating additional measures to enhance existing clauses to better cater for exceptional conditions or circumstances that lead to extreme volume changes in goods or services. This could include among others, enhanced “*force majeure*” clauses and/or contingency pricing models.

105. To better monitor COVID-19 related expenses, WIPO introduced additional activity codes. Programs were requested to identify crisis-related expenses and charge them to specific codes for further analysis, and better monitoring and control.

106. According to WIPO audited Annual financial report and financial statements 2020, the WIPO COVID-19 expenditure during 2020 totaled approximately 3.6 million Swiss francs. The Internal Oversight Division’s review of COVID-19 related expenses covered the period of 2020 and January to May 2021, which amounted to approximately 4 million Swiss francs. The Figure below depicts these COVID-19 related non-personnel expenses by area. The peak of expenses occurred in April 2020 where ICTD purchased additional equipment (mainly laptops) to support remote working.

**Figure 14 WIPO COVID-19 Related Non-Personnel Expenses (in Swiss francs) between January 2019 and May 2021**



Source: AIMS, Finance<sup>18</sup>

### Lesson (s) Learned

13. Sectors should reassess, optimize, and align future needs and contributions to certain travel arrangements and events to the achievement of WIPO objectives.
14. The Organization would benefit from reviewing strategic contracts to determine whether related risk appetites remain the same, and take appropriate actions as needed.

### (v) Program Performance during the Pandemic

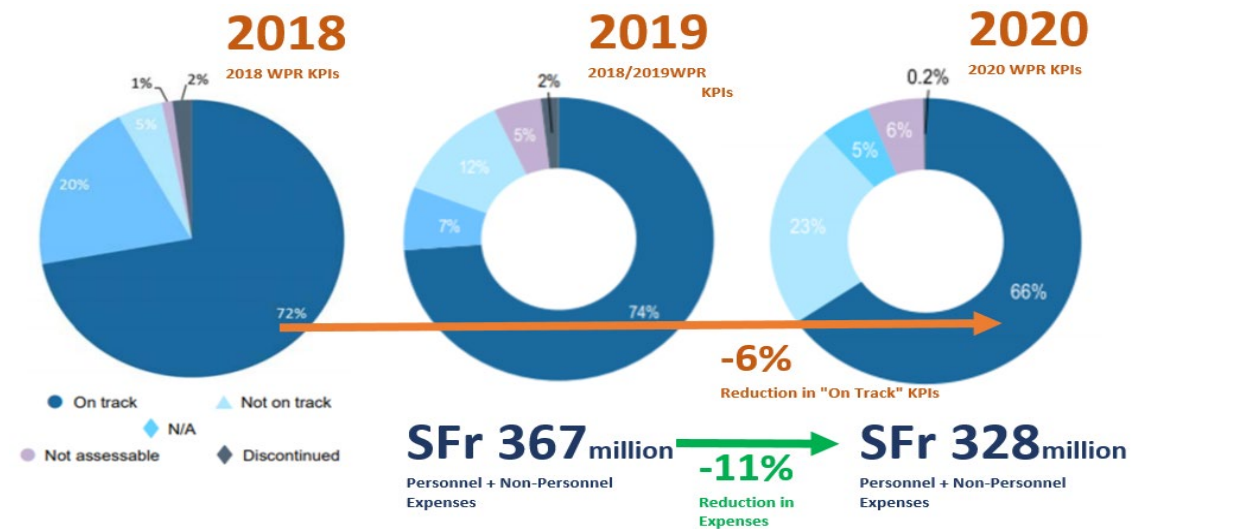
107. Monitoring and assessment of performance is critical during the pandemic, and requires an effective monitoring and evaluation systems that provide for tracking, feedback, course correction and learning among others. The WIPO Performance Report (WPR) is the principal accountability tool for reporting WIPO performance to Member States and an integral part of WIPO's Results Based Management framework. The Report also serves as an important learning tool ensuring that lessons learned from past performance are duly incorporated into the future implementation of WIPO's activities.

108. The Internal Oversight Division assessed reported performance and expenses with a view to identifying any correlations. The resulting summary is depicted below, and a detailed analysis is presented under Annex VIII.

<sup>18</sup> AIMS activity codes 10357, 10388, 14748, 14749, 14751, 14752, 14753, 14767, 14768, 14779, 14794, 14811, 14812, 14824, 14846, 14877, 14947, 14949, 14983, 14987, 15030, 15066, 15270, 15526. Payroll related expenses not included in the report. IT Technical Division's actual COVID-19 related expenses may be lower than disclosed due to some "manual" identification of COVID-19 related expenses by IT Technical Division, not automatically captured by AIMS. The difference is immaterial for analysis purposes.



**Figure 15: Evolution of WIPO Performance Indicators and Expenses (2018; 2019; 2020)**



Source: WIPO Performance Reports 2018; 2018/2019; 2020. Data from Program Performance and Budget Division

109. The pandemic did have an impact on performance of certain Programs, resulting in a slight cumulative decrease in “On track” performance indicators<sup>19</sup> as compared to the previous reporting period. At the same time IOD notes a significant decrease in personnel and non-personnel expenses - by 11 per cent as compared to 2019. Such decrease resulted from “natural” decrease of certain expenses (for example, travel and events), but also - from WIPO effective work on cost containment. This leads to the conclusion that WIPO gained in efficiencies in some areas. This also supports earlier conclusions on the need to identify and maintain certain efficient practices in the way the Organization works, and delivers.

110. The Enterprise Performance Management (EPM) system was implemented in 2013 to support and facilitate the implementation of Results-Based Management, as well as the biennial and annual planning and budgeting, implementation, monitoring, assessment and forecasting. The Internal Oversight Division notes that due to certain technical limitations, the EPM is not actively used for capturing the performance data for the WPR. Moreover, IOD notes that EPM was not regularly updated by WIPO Programs during the course of 2020 – only 17 per cent of activities for 2020 were marked as “complete” in EPM as of the date of publication of the 2020 WPR, in June 2021. This condition was justified by the reprioritization of tasks during the pandemic combined with staff perception that the system needs to be more user friendly.

111. The development of the new EPM system is foreseen in the WIPO Capital Master Plan. Going forward, it would be beneficial to collect staff feedback on the existing system, to build a more enhanced, integrated and fit-for-purpose tool. The perspective EPM software should be designed to the extent possible as a “one stop shop” for capturing, analyzing, monitoring and reporting on performance data including supporting the timely preparation of the WIPO Performance Report.

<sup>19</sup> On track indicator is applied when progress towards achievement of the target is greater than or equal to 40 per cent. As year 2020 is a first year of biennium 2020/2021, it is more relevant to compare indicators with year 2018, which is the first year of previous biennium.

**Lesson (s) Learned**

15. Operations during the pandemic helped to identify and implement several efficient practices. Going forward, it would be beneficial to capture and apply efficient cost/budgeting practices.

(vi) Service Delivery

112. During the pandemic, business units have been under pressure to swiftly adapt their services. The adaptation of services required the introduction of new technologies, as in the cases of hybrid meetings and a fast learning process that has not been factored in the usual plans.

113. Nevertheless the Organization has succeeded in implementing tools and practices to build service resilience, and 73 per cent of the Supervisor Survey respondents perceived that WIPO had the physical assets and resources to cope with any future waves of the pandemic. Interviewed Directors and staff from external offices were of the view that the overall effect of the crisis evolved over time with a first phase of slow demand to a second phase with increased recuperation of demand and supply of services supported by enhanced digitalization.

114. Staff Survey respondents acknowledged that WIPO has provided the necessary IT tools and equipment (86 per cent), as well as the right technology to connect with colleagues when working remotely (94 per cent). Further, staff work has undoubtedly contributed to the positive perceptions of WIPO as a professional Organization delivering a high level of services even during the pandemic. About 81 per cent of staff respondents indicated that they were able to implement about 80 per cent of their planned 2020 work/activities despite the pandemic. This correlates with 76 per cent who felt they were committed to working beyond the core hours in order to deliver to stakeholders.

115. Further, while 46 per cent of the Supervisor Survey respondents considered that delivery and managerial areas had not been affected; however, 43 per cent were not of the same view. Further, 44 per cent indicated that meetings with Member States had been negatively affected. However, interviews indicated an overall positive view of delivering services in terms of technical assistance, capacity development, and services to clients. Likewise, 61 per cent of the Member States Survey respondents were satisfied with WIPO's service delivery during the pandemic.

116. Overall, the sum of efforts resulting from the changes in response to the pandemic has demonstrated the Organization's strong capacity to adapt. This is reflected in the Member States' Survey that considered that WIPO's existing technical capacity has coped very well with current challenges. Positive comments also include recognition of the suitable measures adopted to ensure the timely delivery of work results and related positive results.

117. Eighty-one per cent of the Member States Survey respondents welcomed virtual meetings and online events, in particular in expanding outreach and increasing the participation of national stakeholders, and believed that virtual platforms should be considered as valuable tools for enhancing capacities and facilitating participation. Likewise, 70 per cent of Member States' comments related to online and hybrid meetings were positive and urged to continue integrating hybrid meetings even post-crisis. From a WIPO perspective, this approach would serve to lower expenditures compared to in-person visits.

118. While there is a consensus among the Member States (77 per cent) that normative work and negotiations have been challenged under the current conditions, there was less of a



consensus among the Staff Survey respondents with only 39 per cent indicating that normative work was challenged. Further, some of the downsides identified during the pandemic that provide a learning opportunity include the survey respondents' perception that WIPO was unwilling to enter into normative deliberations via online platforms.

119. Compiled suggestions for going forward include looking into possible means for regional group consultations to be facilitated through virtual meetings. Similar challenges have also been presented to continue multilateral work, particularly by ensuring better communication and coordination between stakeholders, to ensure the smooth functioning of normative work (committees, working groups). Comments from Member States point towards the adoption of certain observed practices, such as the hybrid methods used by the WHO and the Human Rights Council to manage meetings, including voting processes.

120. Finally, while 81 per cent of the Member States Survey respondents were of the view that WIPO was committed to delivering its services and reaching out to its stakeholders, 36 per cent of Member States Survey respondents felt that they managed to implement at least 80 per cent of 2020 planned activities agreed with WIPO (29 per cent neither agreed nor disagreed, and 23 per cent did not know).

121. Furthermore, 29 per cent of participating Member States felt that WIPO adapted its strategies to reach vulnerable groups (such as the visually impaired) and those from developing countries and Least-Developed Countries (LDCs) during the pandemic. This figure is even lower in the Staff Survey, where only 17 per cent agreed with this statement. It is however relevant to note that 60 per cent of staff respondents (and 34 per cent of Member States Survey participants) did not know the answer, and a further 21 per cent of staff respondents (and 34 per cent of Member States Survey participants) neither agreed nor disagreed. This may suggest lack of visibility on dedicated activities being done by certain areas, as well as insufficient information being shared across WIPO and with stakeholders.

122. Below are a number of Member States' comments/proposals to further enhance technologies, normative work, WIPO meetings, activities and deliverables among others.

<p>Continued support to develop the necessary technical infrastructure to support stakeholders using WIPO's global intellectual property services and participating in WIPO's intellectual property policy discussions.</p> <p>WIPO's leadership should also consider being more proactive when IP is being discussed in other fora.</p>	<p>Engage in discussions on responding to the COVID-19 global pandemic through a balanced and effective intellectual property system; and working with relevant international organizations such as the World Trade Organization and World Health Organization to promote global epidemic relief work.</p>
<p>Establish a medium- and long-term strategy for the crisis response of each service system, especially to learn from the Organization's standard service system through working at home during this crisis. The necessary operation experience can be considered for decentralized setting and management of related review services in the future.</p> <p>Greater investment in technology to improve negotiations' interaction. For example, perhaps WIPO could benefit from its Field Offices or the Technology and Innovation Support Centers for greater participation of national experts in the meetings.</p>	<p>Share necessary communication on meetings and information more rapidly so that Member States can share updates domestically.</p> <p>Improve the platforms to meet the needs of all Member States, including quicker electronic registration processes of delegates' participation in sessions and meetings.</p> <p>Providing platforms for debate and discussion on the impact of the pandemic.</p>

	More strategic determination of the Organization's meetings, those to be held and those that can be postponed, well in advance.
Looking into possible alternative ways how regional groups' consultations might be facilitated within the virtual regime.  The continuation and integration of hybrid meetings with the "normal" environment with subsequent training provided to stakeholders for smoother interaction.	Find the right balance between the need for and the increased number of online meetings.  Address issues related to stakeholders' technical infrastructure affecting their connectivity and participation.  Assure confidentiality during online meetings where required. Inclusion of multi-lingual webinars.
Providing better support and engagement with smaller delegations.  Providing technical support by increasing training and periodic follow-up would also lead to smoother functioning and lesser technical impairments for the Member States.	Address the issues regarding the availability of the translation platforms used by WIPO with meetings not being effectively translated into other languages at the organizational meeting level.  Reducing highly lengthy periods of meetings.

### Lesson (s) Learned

16. It is important to consider more flexible forms to adapt WIPO's formal planning and strategic reporting documents in view of future crises to fully reflect in real time adaptation to new activities, outputs and outcomes unfolded in response to the crisis.
17. More communication is needed on WIPO outreach to vulnerable groups (such as the visually impaired) and those from developing countries and LDCs during the pandemic.

#### (vii) ICT Service Desk

123. The ICT Service Desk is a single point of contact for all IT related incidents and support requests. The service was on high demand throughout the pandemic, especially in the beginning of the crisis in February – March 2020.

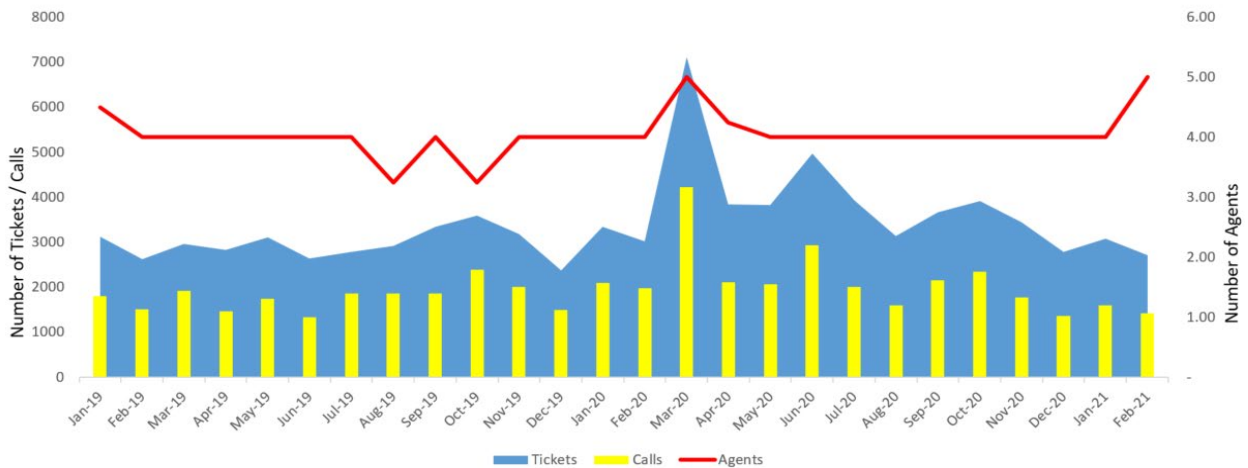
124. The Internal Oversight Division notes the positive assessment of the ICT Service Desk both in the ICTD Customer Satisfaction Survey and IOD surveys conducted during this engagement.

*IOD Staff Survey: "The ICT Department's support was efficient during the pandemic" – 86 per cent "agree to strongly agree".*

*Member States Survey: "I had the materials and equipment to enable my participation in the different WIPO activities" – 75 per cent "agree to strongly agree".*

125. The majority of the Service Desk staff is outsourced, which allows for adjusting the capacity as required. The Figure below depicts how the ICT Service Desk adjusted its capacity to satisfy the changing demands for services between January 2019 and February 2021.

**Figure 16: Number of Agents, Tickets and Calls by Month**



Source: ICT Service Desk Performance Indicators Dashboard

126. The way ICT Service Desk responds to all contacts from users is defined by the Incident Management process. The Unit uses a Cherwell® software, an ITIL®<sup>20</sup> certified Service Management tool, to support service management, and monitor incidents and performance indicators daily.

127. A review of service requests response rate and timeliness shows that while the majority of service requests such as installation of the software, hardware issues and other similar problems were well managed and resolved in a short time; however, requests of higher complexity and involving at times multiple stakeholders such as, requests for installation of Virtual Machines, took more time to resolve. Going forward, it would be beneficial to, setup a workflow including improved knowledge sharing and training that would facilitate the timely provision of these complex services, and allocate more experienced staff to issues with higher complexity.

### Lesson (s) Learned

18. The Information and Communication Technology Department would benefit from assessing the need to enhance the skills of existing Service Desk agents, and ensure that technical skills within the ICT Service Desk is fit for purpose, especially when dealing with significant volume increase in demand.

### (viii) Interactions and Collaborations

128. The reduction in face-to-face interaction caused by the pandemic has highlighted the need to invest in a fit-for-purpose communication tools to effectively engage internally and externally.

129. Teleconferencing platforms - The main communication channels during the pandemic were through telephone, email and skype for business; the CISCO Unified Contact Center Express made it possible for WIPO staff and especially those in Service Desk related roles to perform phone communication via their WIPO laptops and mobile phones via the WIPO switchboard. Interviews with Management, and comments from staff and Member States surveys highlighted the need to further enhance digital tools and platforms to improve collaboration across WIPO and with its stakeholders. The Organization has acquired Zoom®

<sup>20</sup> ITIL, formerly known as the 'Information Technology Infrastructure Library', is a set of best practices for creating and improving IT service management processes

licenses, which is a video conferencing platform with more comprehensive features, while exploring additional and other varied relevant solutions.

130. Knowledge and information sharing – Sharing knowledge and information is a critical ingredient for innovation and creativity, and the current conditions have highlighted the need to effectively share knowledge to enable WIPO to continue to innovate, create and deliver. Thirty-nine per cent of participants to the Staff Survey indicated that knowledge and information exchange was effective during the pandemic, highlighting the need for further enhancements for better adaptation to current contexts. Further, staff found that while immediate managers did their best to keep teams functioning, too little information and communication came down from the Sector Leads. Possible causes include the transition to a new leadership and Sector Leads.

131. Innovation – The pandemic has pushed for rapid innovation and creativity to address related challenges. For instance, there is a consensus among interviewed staff and survey participants that innovative solutions were the result of the need to mitigate the challenges brought by the pandemic. Further, 75 per cent of Member States Survey respondents considered that the pandemic has contributed to designing more innovative solutions to deliver WIPO services. In addition, 68 per cent of staff survey respondents found that innovative solutions arising from the pandemic resulted in a more efficient use of resources.

132. However, IOD notes that these innovations are a reaction to the current condition, and not the result of a process in place to effectively share knowledge and information with a view to supporting innovation and creativity. Going forward, there is an opportunity for the Organization to build on the current momentum to put in place measures to enhance information and knowledge sharing across the stakeholders, to further contribute to among others, fostering innovation and creativity.

133. Inclusiveness and participation - More opportunities exist to enhance staff participation in the decision-making process.

*Staff Survey: “WIPO provided open forums to enhance participation and interaction with Senior Leaders” – 27 per cent “agree to strongly agree”; 29 per cent “neither agree nor disagree”.*

*Staff Survey: “WIPO has put in place participatory and consultative processes as part of the decision making process during the pandemic” – 31 per cent “agree to strongly agree”; 34 per cent “neither agree nor disagree”.*

*Survey for Supervisors: “I was able to contribute to the organizational decision making process during WIPO’s response to the pandemic” – 41 per cent “agree to strongly agree”; 38 per cent “disagree to strongly disagree”.*

134. While 41 per cent of supervisors may have been involved the organizational decision making process, concerns were raised on information not trickling down to staff members. Further, comments included criticism on the non-inclusive approach utilized to develop the policy on remote working arrangements. Going forward, when circumstances permit, enhanced participation and inclusiveness through mediums such as open forums, brainstorming sessions, and consultations, would build more trust, reduce micromanagement, and increase buy-in, ownership and accountability.

#### **Lesson (s) Learned**

19. The information flow and the delivery of consistent messages across the Organization should be enhanced, and formal and informal consultations should be enhanced, in particular decisions affecting personnel.

20. Communication should not be limited to sharing office instructions via email. Managers should share and clarify memos, instructions, and other official information with all their staff members. The space for discussion and clarifications needs to be provided.

(ix) Management of Critical Equipment, Infrastructure and Data

135. Secured and effective equipment, infrastructure and data are imperative for continued operations during the pandemic, and in particular for remote working. The Internal Oversight Division recognizes the good efforts that WIPO made to protect its logical and physical assets, including communication networks that became critical during the remote working.

136. The majority of WIPO IT services is outsourced to the UN International Computing Centre, a technology shared service provider for the UN system. The World Intellectual Property Organization utilizes four data centers – one on-premises and three in remote locations. In addition, WIPO uses Amazon Web Services (AWS). This combination is meant to ensure sufficient data availability for WIPO's critical functions.

137. IT business production environments are hosted by primary and secondary data centers in Geneva. This includes firewalls, ESX<sup>21</sup> for hosting Virtual servers, physical servers, storage area network & storage infrastructures, backup infrastructure. Further, the contract in place includes the possibility to have a redundant connectivity to another location outside Switzerland. In order to ensure the non-interrupted internet access, both data centers in Geneva are equipped with redundant infrastructure.

138. Both data centers in Geneva provide Disaster Recovery and Business Continuity services for all WIPO business services running in Fault Tolerance mode between both sites. The Email service continuity runs between Geneva data centers (primary and secondary) and the data center in New-York through a Multiprotocol Label Switching<sup>22</sup> to reduce latency and speed up traffic. The disaster recovery for AWS connectivity is done over a Virtual Private Network.

(x) Financial Reporting and Investment Management

139. The Internal Oversight Division reviewed the actions taken by Finance Division to fairly reflect the financial standing of WIPO during the crisis. While the audited WIPO Financial Statements 2020 were yet to be published during the preparation of the current report, IOD found that the Finance Division has timely assessed the pandemic impact on main areas of the Financial Statements. This included inspecting available guidance from trusted sources and consultations with WIPO External Auditors. In addition, there are a series of processes in place to ensure the completeness and accuracy of reported information; notably, a system of "program focal points", which ensures timely and complete information on such areas as contingent liabilities, provisions, litigations and claims, impairment of assets, and subsequent events among others.

140. Investments are managed in accordance with the WIPO Policy on Investments, which states that the primary objectives of the Organization's investment management shall: aim to preserve capital and liquidity; and be within the constraints of the rate of return. The aim is thus to achieve a market rate of return whenever appropriate and possible for both operating and core cash. Strategic cash is to be invested over the long-term in order to achieve capital growth and thus an overall positive return over time.

<sup>21</sup> A Server Virtualization Product

<sup>22</sup> Multiprotocol Label Switching is a routing technique in telecommunications networks that directs data from one node to the next based on short path labels rather than long network addresses, thus avoiding complex lookups in a routing table and speeding traffic flows

141. Despite the pandemic, the total investment gains in 2020 amounted to 33 million Swiss francs<sup>23</sup> (compared to 42 million Swiss francs in 2019). To a large extent, the positive outcome was achieved owing to WIPO investment management mechanisms and controls.

142. More detailed review of WIPO financial and investment operations during the pandemic has been conducted by the External Auditors, and will be part of their report on audited financial statements of WIPO for the year ended 31 December 2020, presented to Member States.

(xi) Forecasting Demand and Income

143. The Department for Economics and Data Analytics is responsible for among other duties, providing accurate, comprehensive and timely data on demand and income forecasts for WIPO's international IP filing systems. This information is important for the budgeting process, the capacity planning and also for the financial decision-making.

144. The quarterly forecasts from the Statistics and Data Analytics Division were put "on hold" for the three quarters of 2020. The forecasting for the fourth quarter of 2020 was resumed as some "normal" trends were observed towards the year-end, allowing to make more accurate predictions.

145. The Internal Oversight Division notes that the current forecasting methods heavily rely on historical data. Given the fact that the pandemic will most likely be impacting the world economy in the long run, it could be beneficial for Statistics and Data Analytics Division to assess the suitability of other forecasting models with lesser reliance on the past data.

**Lesson (s) Learned**

21. Given the long-term impact of pandemic it would be beneficial for Statistics and Data Analytics Division to assess the suitability of other forecasting models, with less reliance on the past data.

**Recommendation (s)**

2. The Administration, Finance and Management Sector should work with other Sectors to identify and implement feasible improvements to the current communication and collaborative work platforms with a view to enhancing service delivery and stakeholders' experience.

(Priority: High)

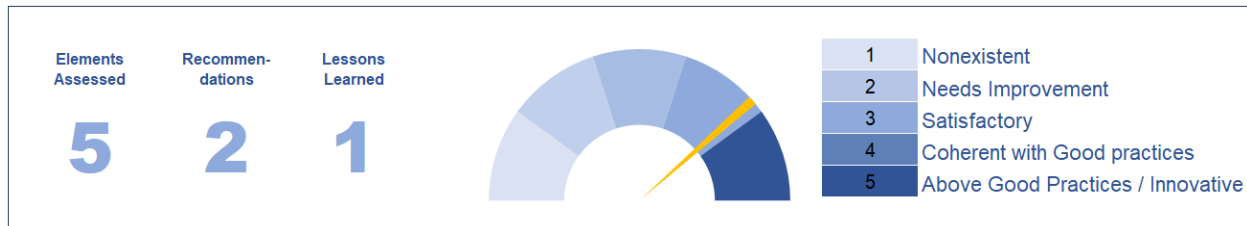
(E) RISK MANAGEMENT AND INTERNAL CONTROLS DURING THE PANDEMIC

146. The Figure below summarizes the results of the assessment of the Risk Management and Internal Controls during the Pandemic.

<sup>23</sup> Information provided by WIPO Treasurer, Finance Division.



**Figure 17: Risk Management and Internal Controls during the Pandemic – Assessment Summary**



Source: Gap Analysis Details (Annex IX)

(i) Risk Management during the Pandemic

147. The crisis has pushed WIPO to broaden its risk landscape and identify mitigating measures to address related emerging risks, such as those associated with remote working.

148. The Internal Oversight Division notes the following positive actions taken by WIPO Risk function during the pandemic:

- (a) Facilitated the adjustment of controls to the virtual environment;
- (b) Helped programs spot the potential emerging risks (including fraud-related risks) and develop preventive/mitigating measures;
- (c) Carried-out a full organization-wide risk review with a specific focus on pandemic in May-June 2020; organizational risk review for 2021 work planning in October-November 2020; review of risks with Sector Leads in second quarter of 2021;
- (d) Active involvement in the WIPO Risk Management Group;
- (e) Prepared WIPO Annual Risk Management report 2020, which details many aspects of risk management during the pandemic;
- (f) Carried out the Review of WIPO's Enterprise Risk Management (ERM) implementation against Joint Inspection Unit Benchmarks; and
- (g) Regularly met with the WIPO Independent Advisory Oversight Committee to discuss the matters concerning risks and internal controls.

149. The WIPO ERM Risk Registers reflect Programs' risk planning and analysis as supported by the Risk management function. The risks landscape has been notably broadened to account for the pandemic following the effective work of WIPO Sectors. At the time of the review, IOD found a number of mitigating actions that were past their implementation/update dates. Post review, IOD notes that the Office of the Controller has been working with relevant stakeholders to update these overdue mitigating actions. The Internal Oversight Division is currently conducting an audit of WIPO's ERM, which will provide a more in-depth view of the evolution of ERM at WIPO and identify any opportunities for enhancements.

(ii) Fraud Risks during the Pandemic

150. The Internal Oversight Division assessed areas of potentially elevated fraud risk posed by the pandemic, which included the following:

151. Remote working arrangements - Remote working during the pandemic brought forth a different dynamic in terms of how working hours were calculated and monitored. Despite a few

instances of alleged abuse of work time<sup>24</sup>, there were no particular issues raised in regard to meeting deliverables and producing results. Some staff were of the view that they were working longer hours remotely than on premises before the pandemic.

152. The ease and likelihood of manipulating or falsifying working hours, and the inherent difficulty to detect such behavior, remains a risk nonetheless. Attendance data shows that personnel have taken significantly fewer days of annual and sick leave during the pandemic. The reasons for this trend may have been related to such things as the travel restrictions and decreased physical interaction, which has lessened the opportunity for contracting other types of contagious illnesses. In addition, there were certain periods during which flexibility was encouraged in respect to childcare and other family duties. Nonetheless, the possibility of staff failing to register their absences properly cannot be ignored either.

153. In addition, there were reports of staff members working from outside their duty station, including in locations with lower post adjustment, sometimes without due authorization. Not only does this type of behavior has cost implications for the Organization, but it also constitutes possible wrongdoing.

154. While acknowledging the Organization's desire to shift towards a "trust-based/result-based" organizational culture, there is nevertheless a need for certain control and mitigation measures in regard to possible abuse in remote working arrangements<sup>25</sup>. Finally, remote working and the shift to virtual platforms may contribute to decrease some risks related to the use of paper files and hardcopy documents.

155. Procurement Process - WIPO had implemented capabilities to electronically manage procurement processes and data prior to the pandemic. For instance, it utilized programs/tools such as e-Sourcing solutions and UN Global Marketplace, as well as AIMS and the Knowledge and Information Central platform (KIC), WIPO's enterprise content management system. The pandemic, however, has accelerated the broader use of KIC as a single source procurement management platform, which has enabled greater coordination and information security. Procurement rules also were temporarily modified for specific issues during the pandemic, but such modified provisions were very rarely utilized in practice.

156. While the Organization's early adoption of electronic tools and platforms contributed to minimizing disruption in procurement processes during the pandemic, there remain a few areas for potential improvement. For instance, during a sample review of procurements made during the pandemic, IOD identified instances of missing documentation in KIC files (e.g. actual bids, bid receipts, contracts review committee reports). It was also noted that the Procurement Manual does not require conflict of interest declarations in Informal Processes (Requests for Quotations and Direct Purchases) and Alternative Procedures.

157. Further, IOD found some procurement planning files in which the total envisioned contract amounts and periods were left unclear. These procurements were conducted through more informal processes, with less stringent competition requirements, based on the yearly contract amount falling under the designated threshold; however, due to the eventual contract being recurring or multi-year, the total amount ended up exceeding the threshold.

158. Accordingly, it will be prudent to strengthen controls to ensure the completeness of KIC procurement documentation, to support transparency and accountability, provide an audit trail in the use of WIPO resources, and support the procurement planning including in preparation of future crises, wherein audit trails and proactive resource management become ever so vital in ensuring operational accountability and continuity.

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<sup>24</sup> Which have been addressed separately by IOD in line with the Investigation Policy and Manual.

<sup>25</sup> IOD has been informed that, currently, such measures are largely absent due to a lack of resources/tools and a general desire to shift toward a "trust-based/result-based" organizational culture.



159. Finally, higher levels of assurance over the integrity and traceability of procurement processes could be achieved if:

- (a) Signed conflict of interest declarations are obtained from all requisitioners, procurement personnel and evaluation committee members for any type of procurement exercise. The risk and potential impact of tailoring specifications and/or unfairly contracting previously known or related-persons or vendors remain high in informal solicitations, which have little or no competition; and
- (b) Clearer and more formal determination is made at the start of the procurement process as to whether the goods/services planned for procurement will be "recurring" or "one-off."

160. The review of Individual Contractor Services (ICS) procurements made during the pandemic, identified some opportunities for improvement, notably in the area of candidates assessments. The organization would benefit from more transparency by implementing a formal candidates evaluation matrix as a mandatory tool, in particular when evaluating a high number of candidates (e.g. more than three candidates). This will among others, contribute to further enhance transparency, controls, and provide an audit trail that will contribute to further protect the reputation of WIPO.

#### **Lessons Learned**

- 22. Completeness of documentation in procurement files is relevant for control and transparency, in particular through ensuring an audit-trail.

#### **Recommendation (s)**

- 3. The Human Resources Management Department, in consultation with other relevant departments, should discuss processes and measures to mitigate the risk of abuse in remote working arrangements.  
(Priority: High)
- 4. The Procurement and Travel Division should:
  - a) Strengthen controls to mitigate the risk of conflict of interest for requisitioners and procurement officers involved in the procurement process (requisitioning, solicitation, bidding and selection, evaluation and contracting process), regardless of the procurement method used.
  - b) Provide clear guidance to Requestors as to whether the goods/services being procured will be "recurring" or "one-off."
  - c) Implement appropriate measures to further strengthen transparency, accountability and provide a clear audit trail of controls and justifications in contracting ICS.  
(Priority: Medium)

**ACKNOWLEDGMENT**

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

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**Approved by:** Rajesh Singh, Director IOD.

**TABLE OF RECOMMENDATIONS**

No.	Recommendations	Priority	Person(s) Responsible	Other Stakeholder	Management Comments and Action Plan	Deadline
1.	<p>The Administration, Finance and Management Sector should develop terms of reference, and work with other WIPO Sectors to identify Business Continuity Focal Points at the Sector level, who will be assisted by the Business Continuity Coordinator in developing and measuring performance indicators linked to among others, timely:</p> <ul style="list-style-type: none"> <li>a) Updating Business Continuity and Disaster Recovery Plans, including the practical guidance;</li> <li>b) Completing planned Trainings and Exercises; and</li> <li>c) Addressing of identified Gaps.</li> </ul>	High	<p>Assistant Director General;</p> <p>Business Continuity Coordinator</p>	<p>Director General;</p> <p>Sector Leads</p>	<p>Terms of Reference will be drafted for approval before the end of 2021. Implementation (identification of the Focal Points, and related preparedness actions such as training) will be completed within three months of approval. Timeframes assume that the Covid-19 pandemic's impact on WIPO will continue to abate through 2021 and early 2022, and there are no other crises.</p>	May 2022
2.	<p>The Administration, Finance and Management Sector should work with other Sectors to identify and implement feasible improvements to the current communication and collaborative work platforms with</p>	High	<p>Assistant Director General;</p>	<p>ICT Board Diplomatic Engagement and Assemblies</p>	<p>Since the initial drafting of the recommendation, WIPO has deployed Zoom for all staff. Additionally Microsoft Teams deployment is foreseen in 2022.</p>	January 2023

No.	Recommendations	Priority	Person(s) Responsible	Other Stakeholder	Management Comments and Action Plan	Deadline
	a view to enhancing service delivery and stakeholders' experience.		Chief Information Officer;  Director, IT Technical Division	Affairs Division	Some platforms such as Skype for Business are likely to be decommissioned. Additional collaborative tools have been - and are likely to continue to be - reviewed using existing processes.	
3.	The Human Resources Management Department, in consultation with other relevant departments, should discuss processes and measures to mitigate the risk of abuse in remote working arrangements.	High	Acting Director, HRMD;  Human Resources Operations Manager, HR Service Desk, Pension and Insurance Unit		HRMD will review AIMS to reinforce awareness on compliance and accountability.  HRMD will lead internal discussions to help managers in their supervisory responsibility with flexible working arrangements (attendance, telework, work away from duty station, etc.).	April 2022
4.	The Procurement and Travel Division should:  a) Strengthen controls to mitigate the risk of conflict of interest for requisitioners and procurement officers involved in the procurement process (requisitioning, solicitation, bidding and selection, evaluation and contracting process), regardless of the procurement method used.	Medium	Head, Procurement Section	Director, PTD;  Senior Legal Officer, PTD	Procurement Section will incorporate into future amendments of the Procurement Manual processes for:  (a) Procurement officials to confirm their understanding of their responsibilities under the OI02/2016. This confirmation would be kept by PTD.  (b) Requisitioners, where risk of conflict of interest is heightened, to confirm formally that they have not, and	June 2022

No.	Recommendations	Priority	Person(s) Responsible	Other Stakeholder	Management Comments and Action Plan	Deadline
	<p>b) Provide clear guidance to Requestors as to whether the goods/services being procured will be "recurring" or "one-off."</p> <p>c) Implement appropriate measures to further strengthen transparency, accountability and provide a clear audit trail of controls and justifications in contracting ICS.</p>		<p>Head, Procurement Section</p> <p>Head, Procurement Section</p>	<p>Director, PTD; Senior Legal Officer, PTD</p> <p>Associate Procurement Officer, IAS Team; Senior Legal Officer, PTD</p>	<p>have not anticipated, a conflict of interest.</p> <p>Closure criteria: amendment of Procurement Manual.</p> <p>Procurement Section will incorporate into future amendments of the Procurement Manual a definition of "one-off payment" and "recurring/continued" requirements. Based upon these definitions, Procurement Section will inform Requestors about the nature of the proposed procurement action and the consequent impact.</p> <p>Closure criteria: amendment to Procurement Manual.</p> <p>The Office Instruction currently requires the following to establish an audit trail as to the selection of an ICS:</p> <p>(i) Where the contract value is estimated to be greater than 50,000 CHF, the Program Manager it to provide a reasoned statement explaining his/her actions in identifying a preferred candidate</p>	<p>June 2022</p> <p>June 2022</p>

No.	Recommendations	Priority	Person(s) Responsible	Other Stakeholder	Management Comments and Action Plan	Deadline
					<p>(ii) Where the contract value is estimated to exceed 100,000 CHF, the Program Manager is to provide a report to support the selection.</p> <p>The IAS Team in PTD shall provide guidance to the Program Manager or selection panel (as the case may be) as to how best to reflect the considerations that go into the selection. This could be through the use of a written comparison of candidates or a matrix. Where a panel has been involved in the selection, the panel shall accept the report as a reflection of their consideration</p>	



## ANNEXES

<b>Annex I.</b>	Risk Rating and Priority of Recommendations
<b>Annex IIa.</b>	Staff Survey Results
<b>Annex IIb.</b>	Staff Survey Results (Gender disaggregated)
<b>Annex IIIa.</b>	Member States Survey Results
<b>Annex IIIb.</b>	Member States Survey Results (Gender disaggregated)
<b>Annex IVa.</b>	Supervisors' Survey Results
<b>Annex IVb.</b>	Supervisors' Survey Results (Gender disaggregated)
<b>Annex V.</b>	Roles and Responsibilities in WIPO Crisis Management
<b>Annex VI.</b>	WIPO Incident / Crisis Workflow
<b>Annex VII.</b>	Changes in Staff and Non-Staff Personnel During Pandemic (December 2019 – March 2021)
<b>Annex VIII.</b>	Analysis of Achievement of Key Performance Indicators (KPIs) in Combination With Changes in Expenses (2018; 2019; 2020) by Program
<b>Annex IX.</b>	Gap Analysis Details

**ANNEX I: RISK RATING AND PRIORITY OF RECOMMENDATIONS**

The risk ratings in the tables below are driven by the combination of likelihood of occurrence of events and the financial impact or harm to the Organization’s reputation, which may result if the risks materialize. The ratings for recommendations are based on the control environment assessed during the engagement.

**Table I.1: Effectiveness of Risks/ Controls and Residual Risk Rating**

		Compound Risk Rating (Likelihood x Impact)		
		Low	Medium	High
Control Effectiveness	Low	Low	Medium	High
	Medium	Low	Medium	High
	High	Low	Low	Medium

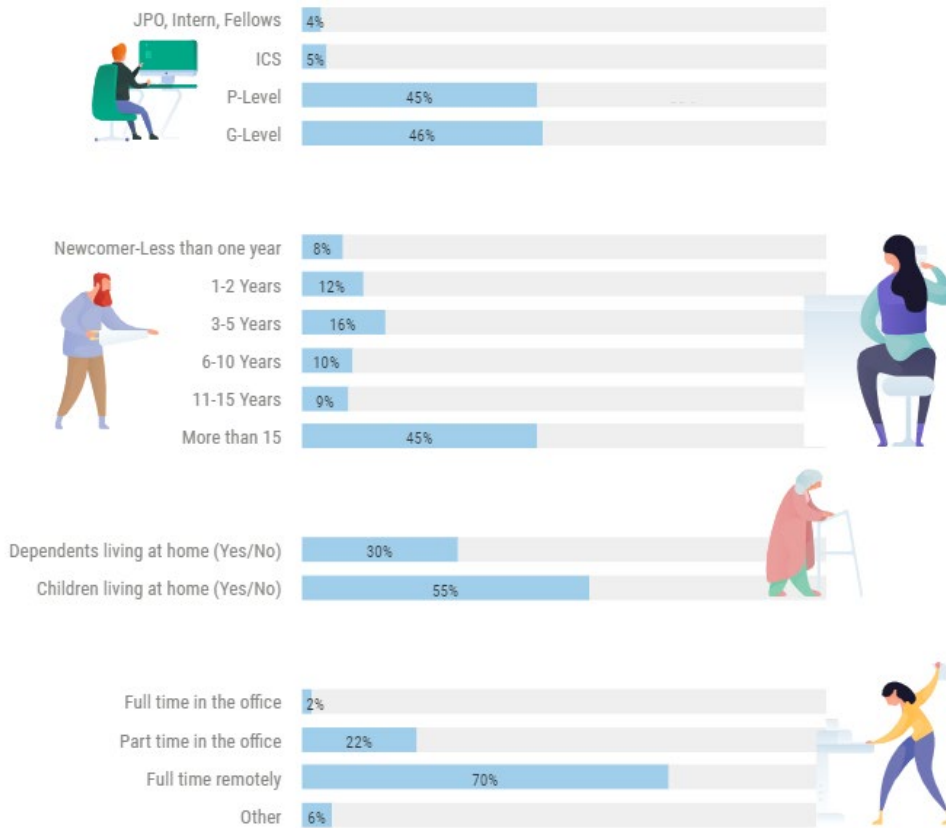
**Table I.2: Priority of Recommendations**

Priority of Recommendations	Residual Risk Rating
Requires Urgent Management Attention	High
Requires Management Attention	Medium
Routine in Nature	Low

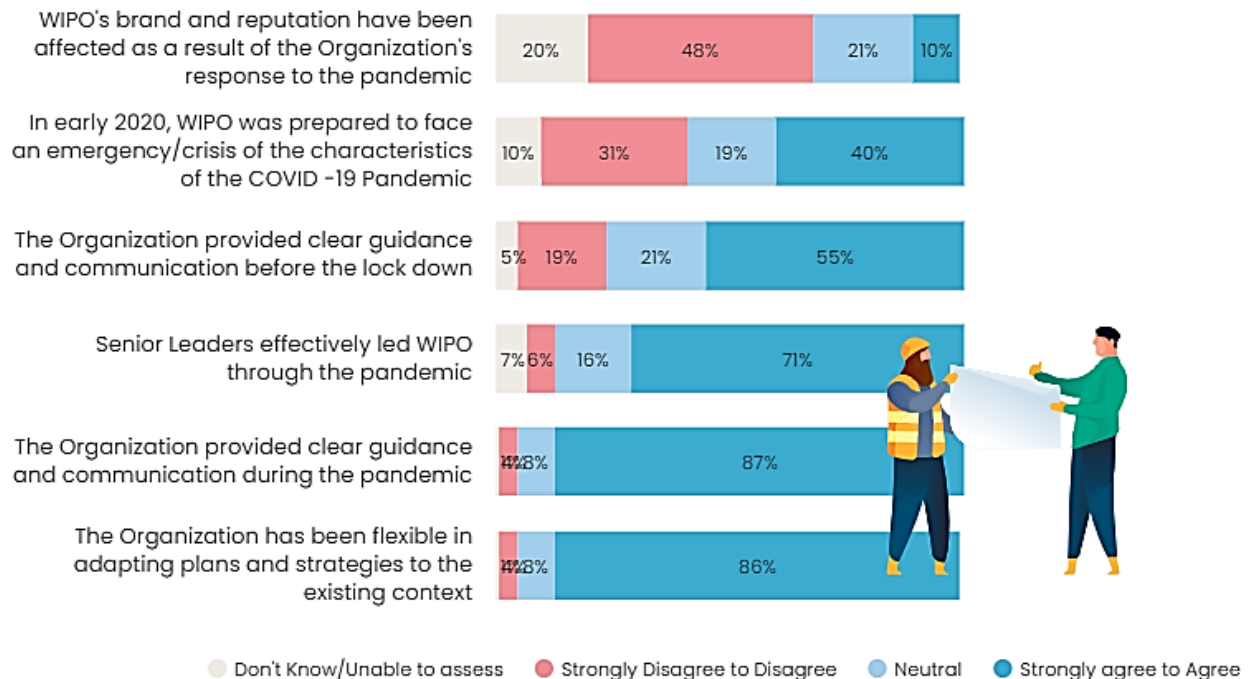
[Annex IIa follows]

## ANNEX IIa: STAFF SURVEY RESULTS

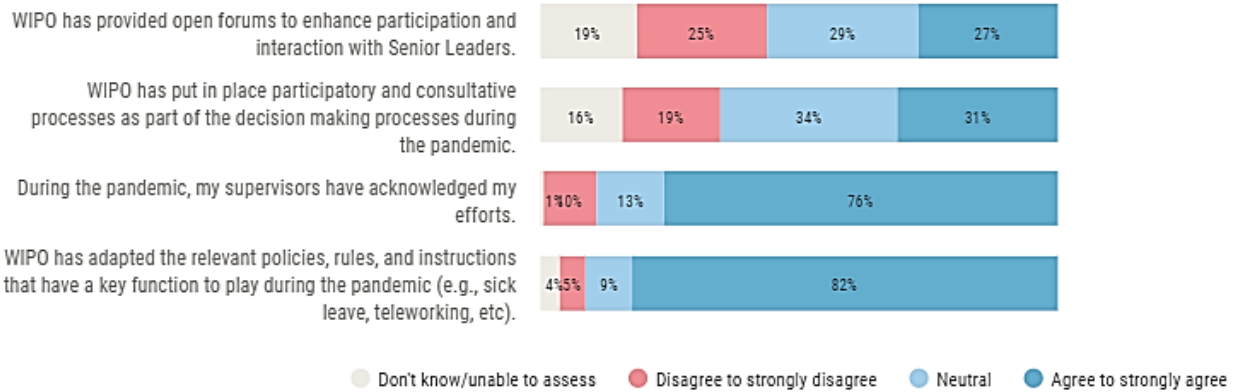
### Staff Distribution by Survey Respondents' Profile



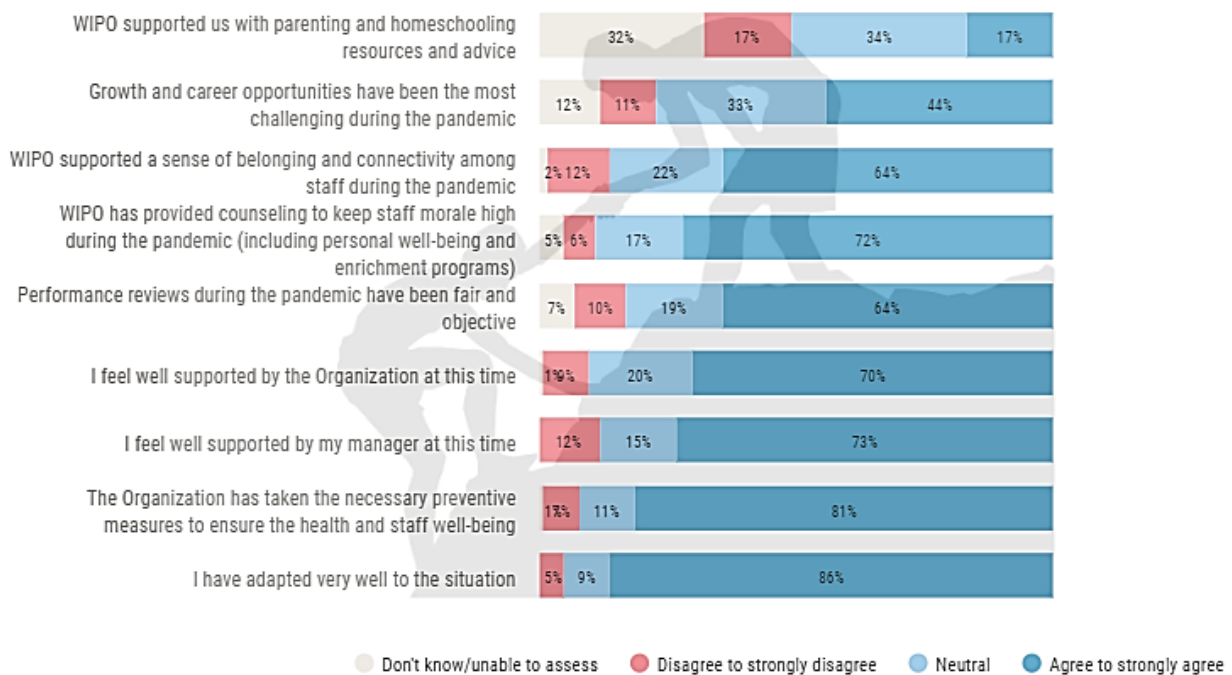
### STRATEGIC PLANNING AND COMMUNICATION



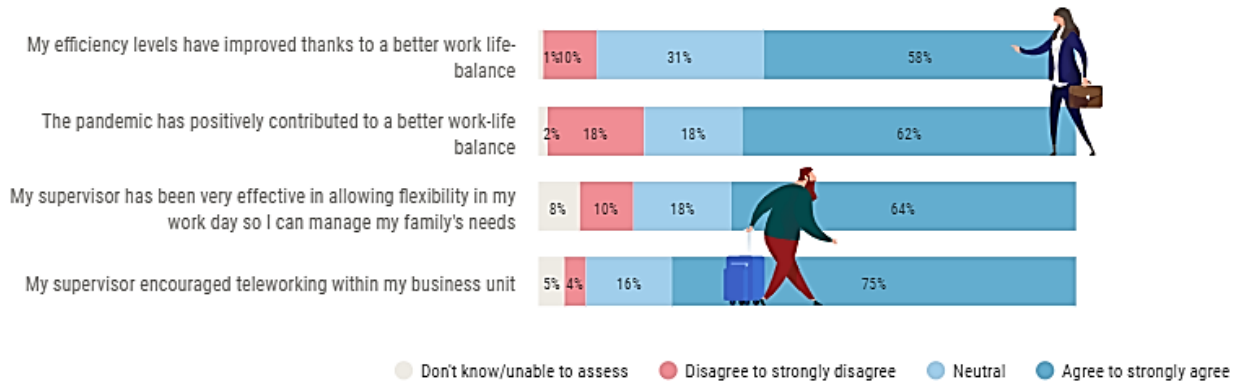
### INCLUSIVENESS AND PARTICIPATION



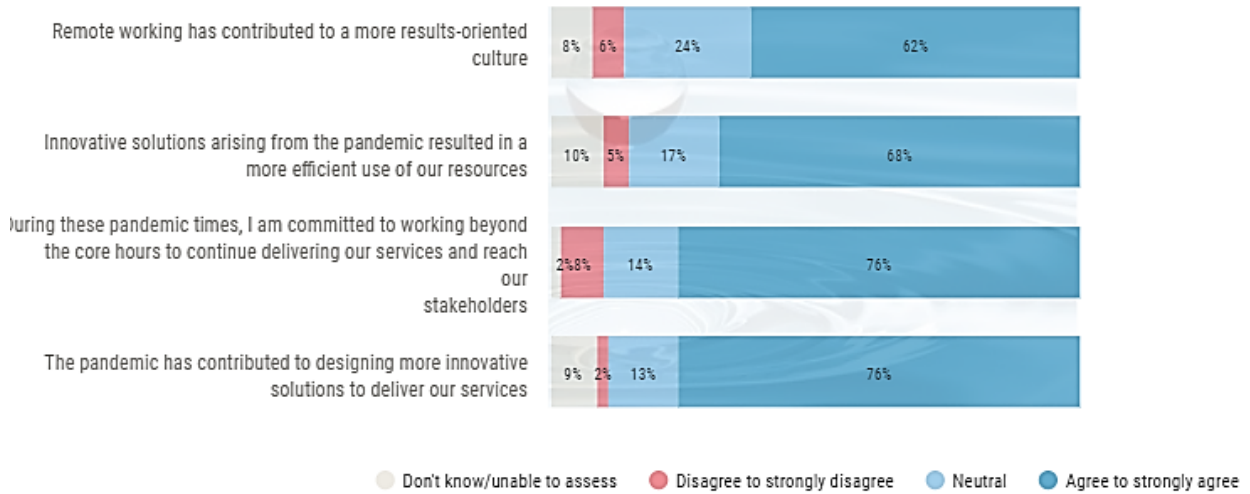
### STAFF MORALE



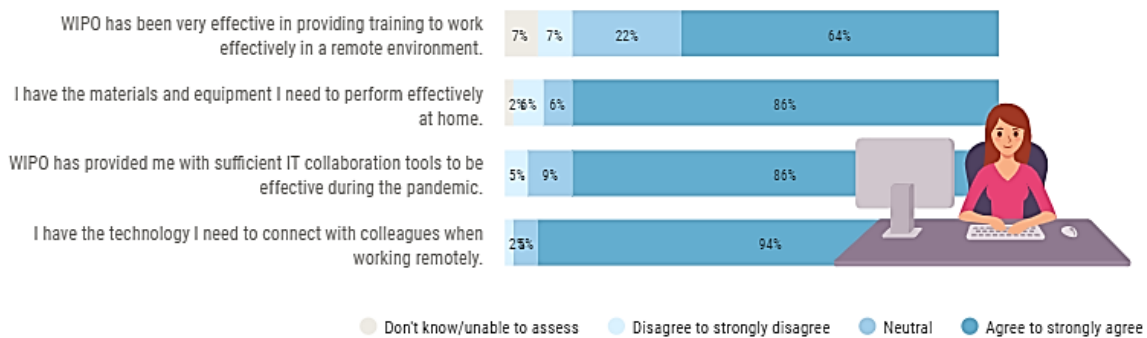
### FLEXIBILITY AND WORKLIFE BALANCE



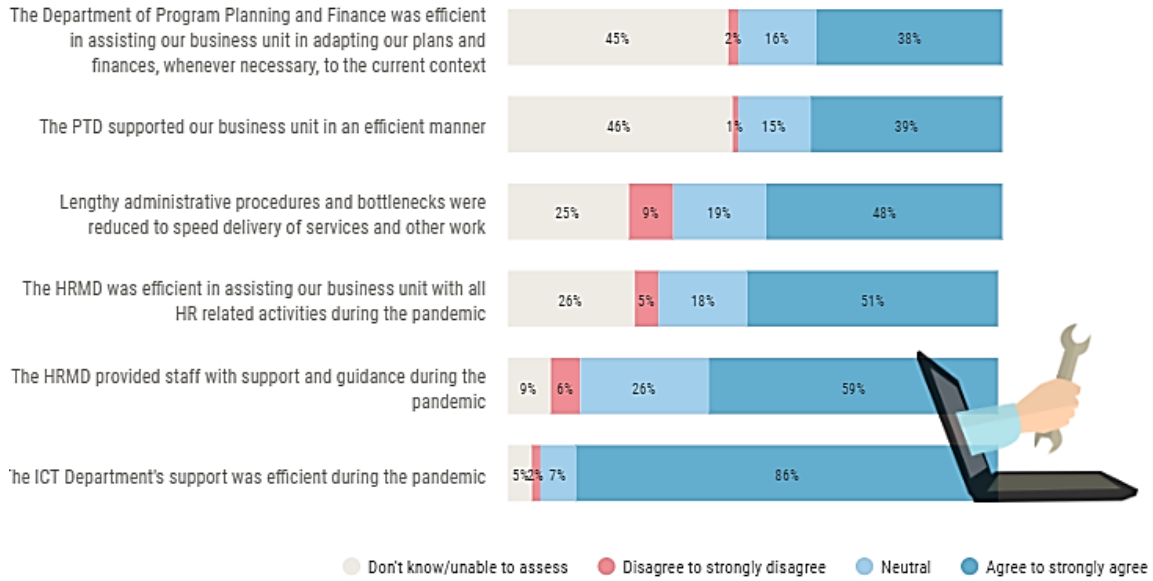
### EFFECTS



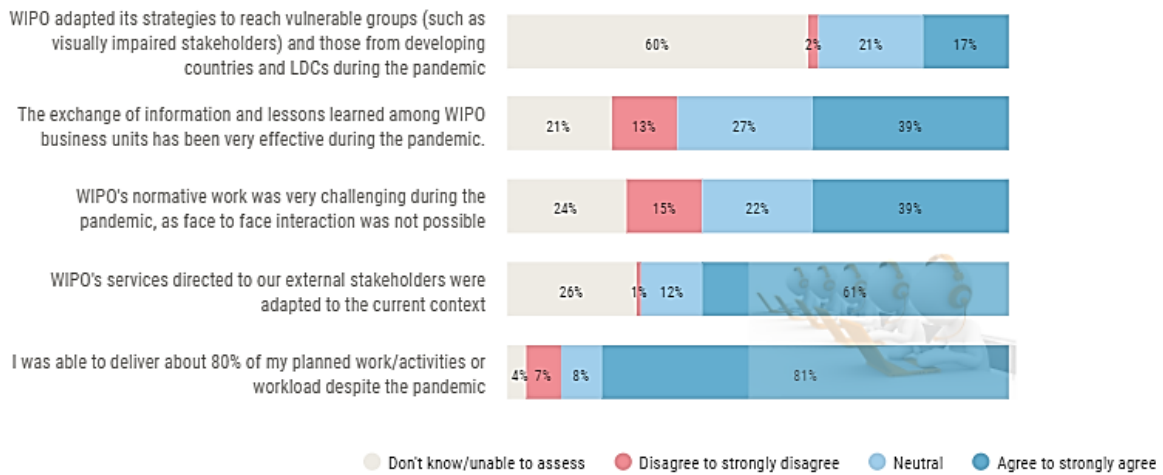
### OFFICE SETUP



### INTERNAL SERVICE SUPPORT



### SERVICE DELIVERY

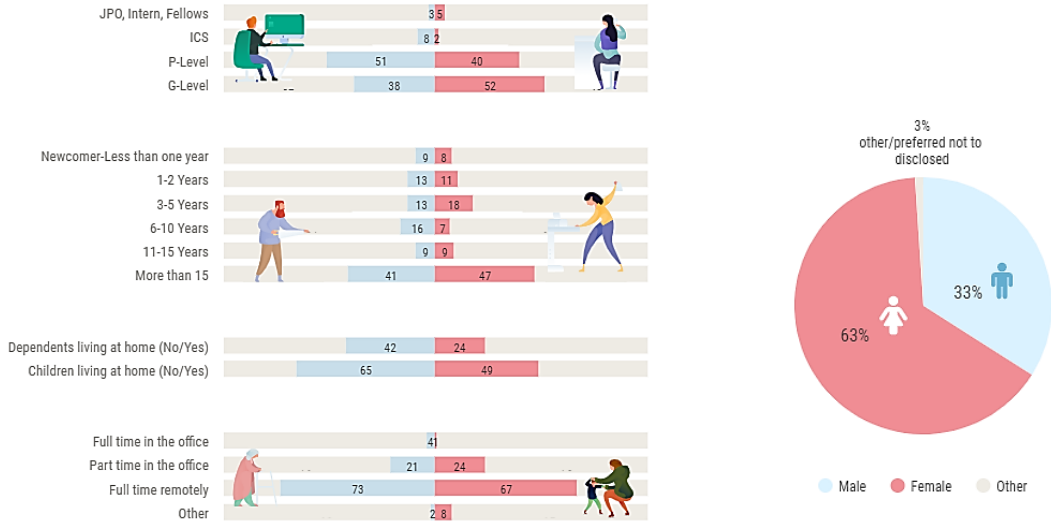


[Annex IIb follows]

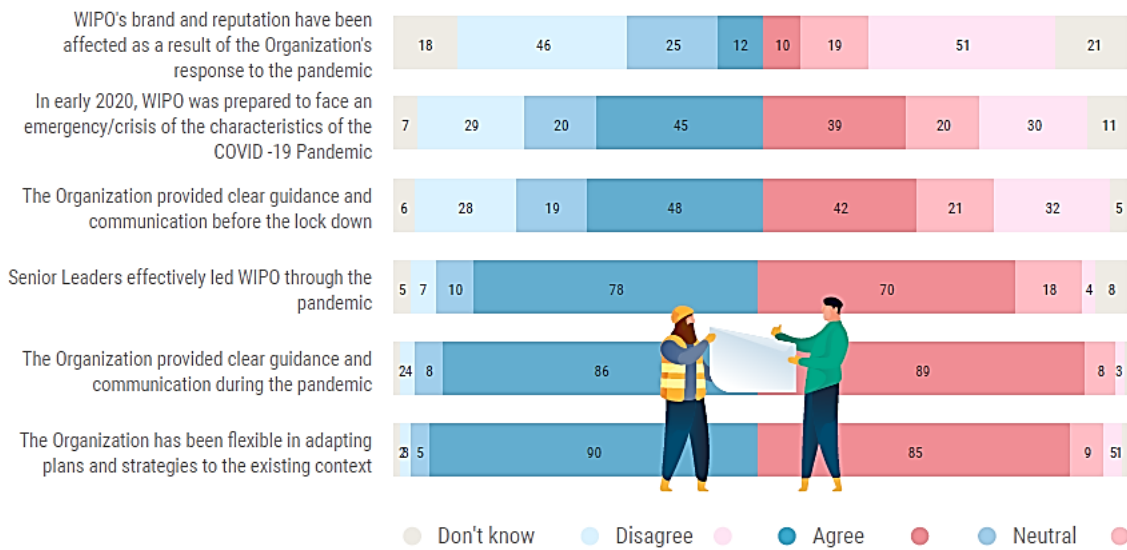


**ANNEX IIB: STAFF SURVEY RESULTS (GENDER DISAGGREGATED)<sup>26</sup>**

**Staff Distribution by Gender and Survey Respondents' Profile**

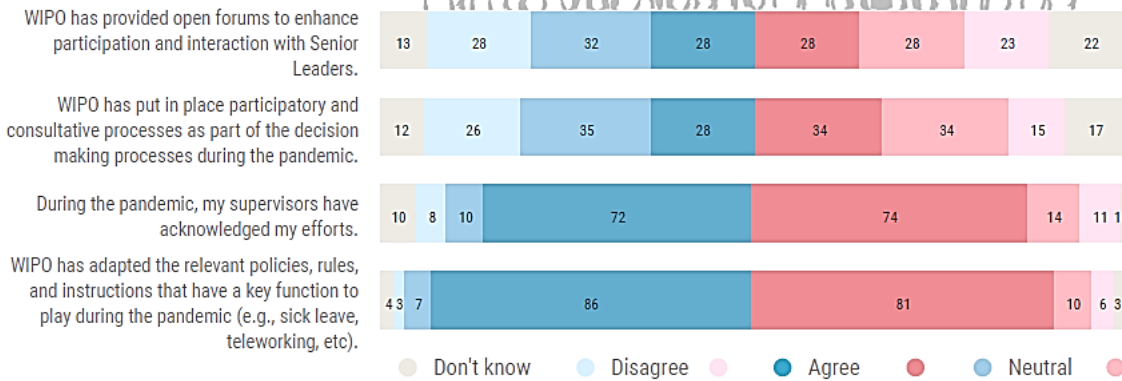


**STRATEGIC PLANNING AND COMMUNICATION**

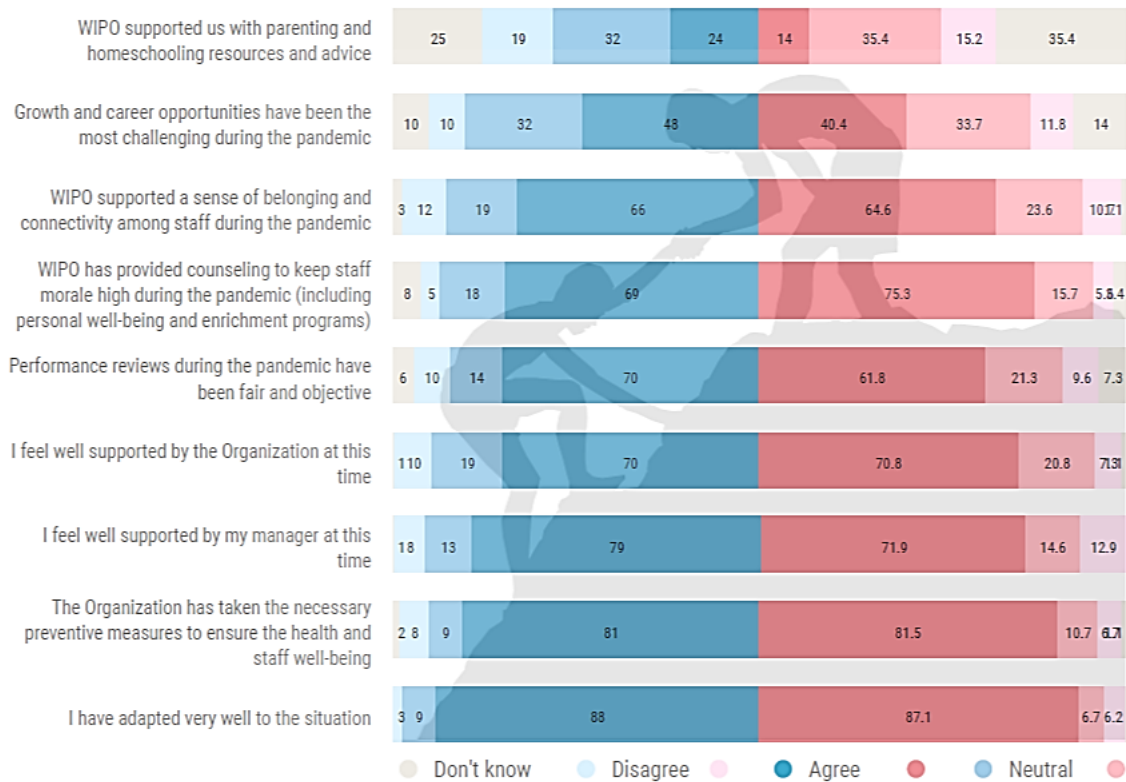


<sup>26</sup> Please note that survey questions contain answers from representatives who identified themselves as “female” (red tones) and representatives who identified themselves as “male” (blue tones). Those survey participants who preferred not to disclose their gender, were not included in the analysis, however, their responses have been taken into account in all remaining analyses that did not have a gender perspective. Each answer (for example, “Agree”, “Disagree”, etc.) has its own color intensity. For example, “Dark tone” means “agree”; therefore, “dark red” means females who agree and “dark blue” – males. All red tones represent 100% of responses on specific question from representatives who identified themselves as “female” and all blue tones – 100% of responses from representatives who identified themselves as “male”.

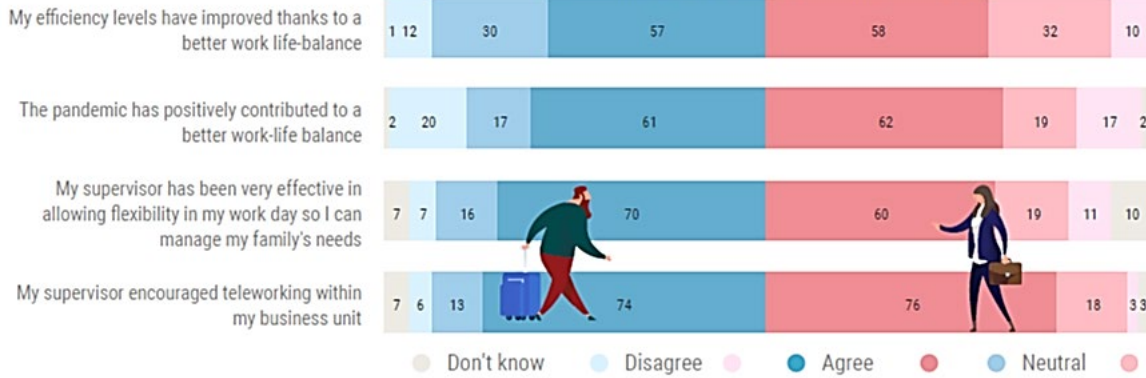
### INCLUSIVENESS AND PARTICIPATION



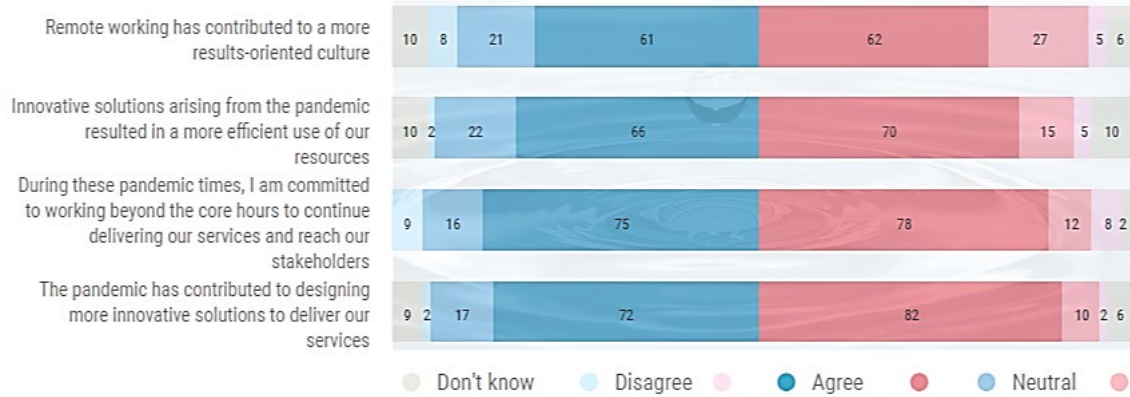
### STAFF MORALE



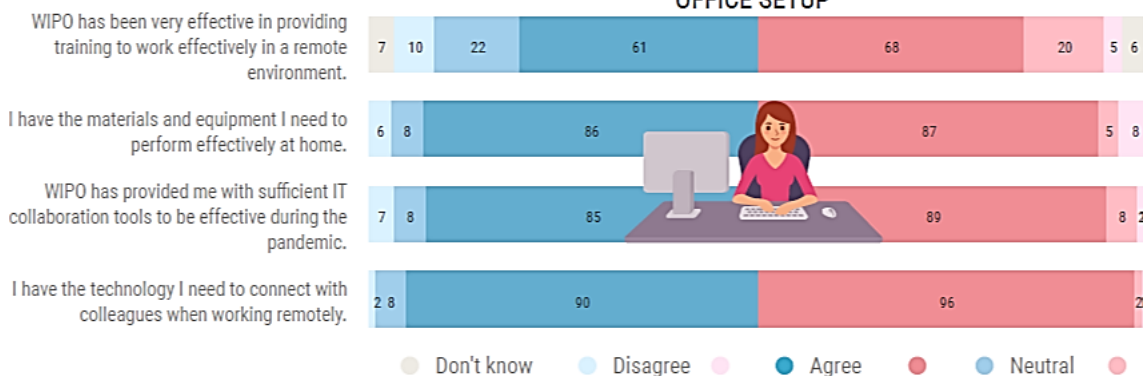
### FLEXIBILITY AND WORKLIFE BALANCE



### EFFECTS

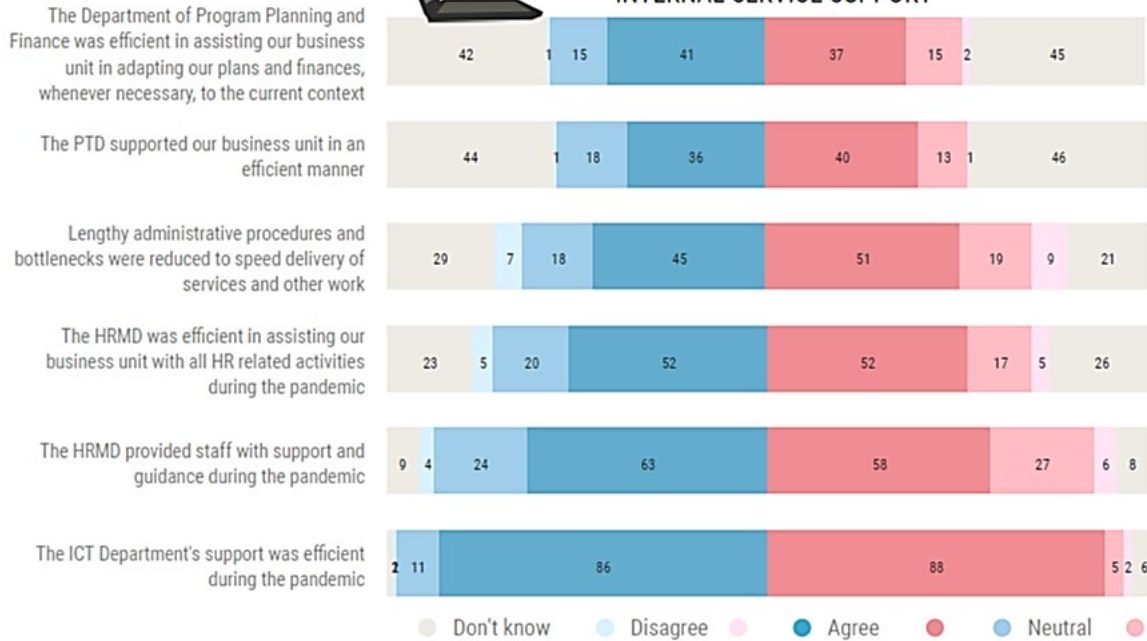


### OFFICE SETUP

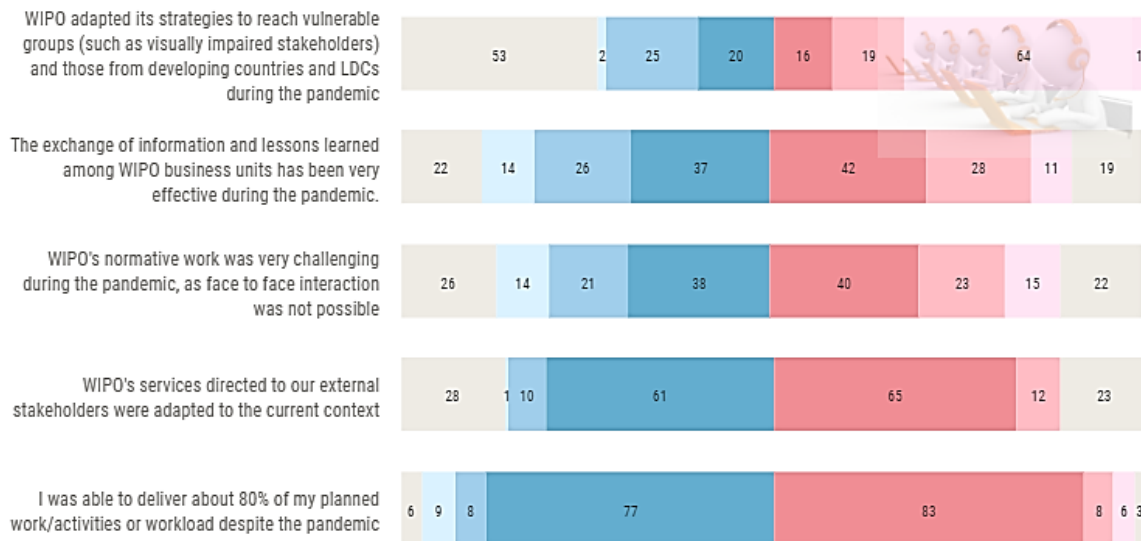




### INTERNAL SERVICE SUPPORT



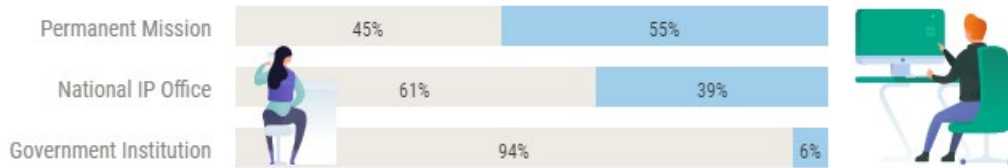
### SERVICE DELIVERY



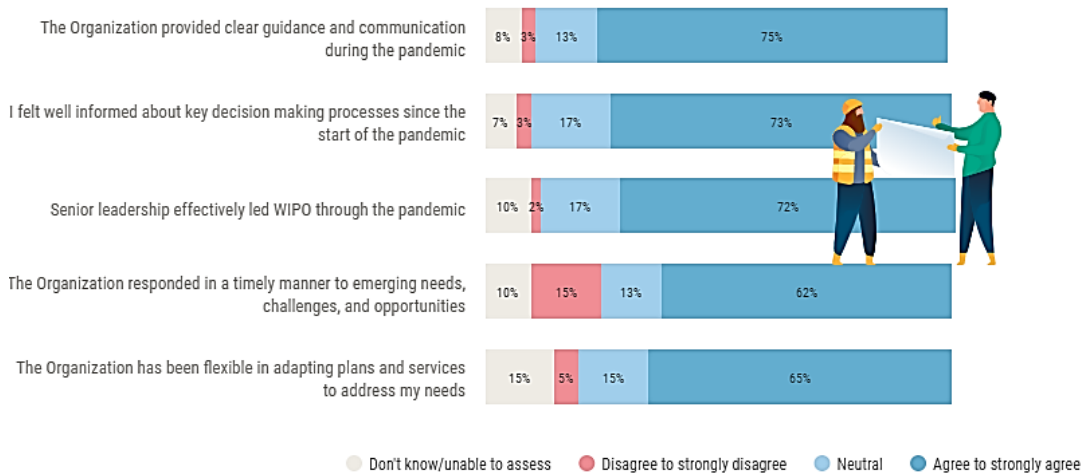
[Annex IIIa follows]

## ANNEX IIIa: MEMBER STATES SURVEY RESULTS

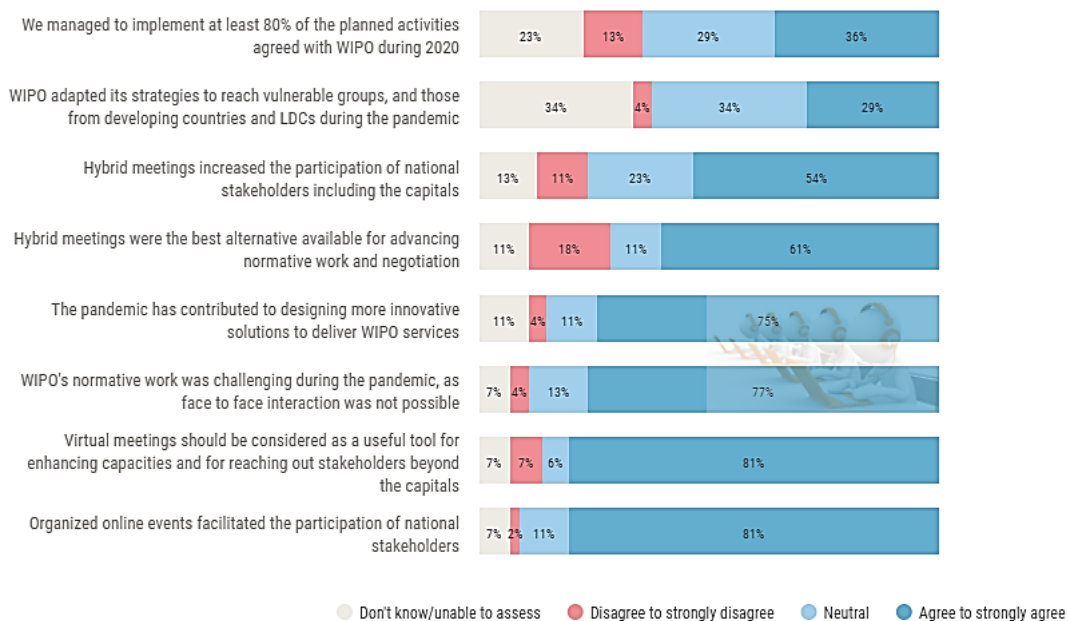
### Distribution by Survey Respondents' Profile



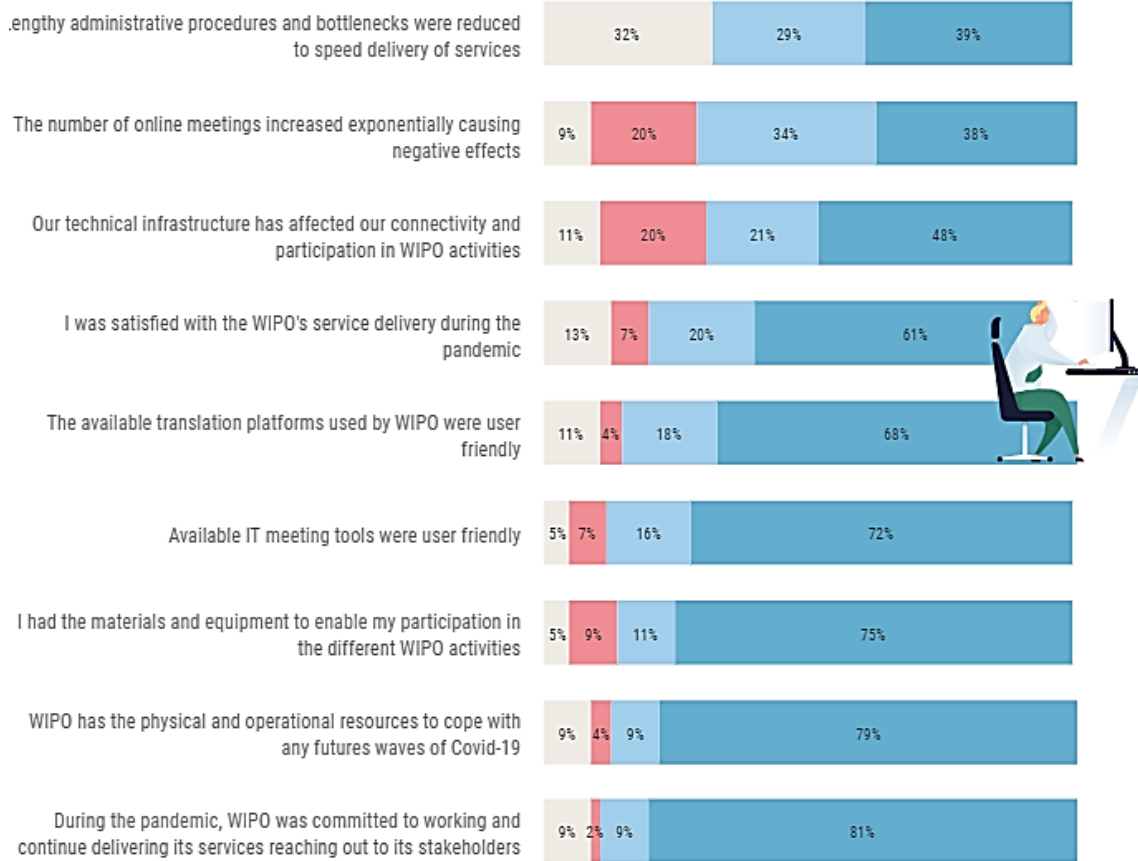
### Stakeholders' needs and priorities



### SERVICE DELIVERY



OFFICE SETUP



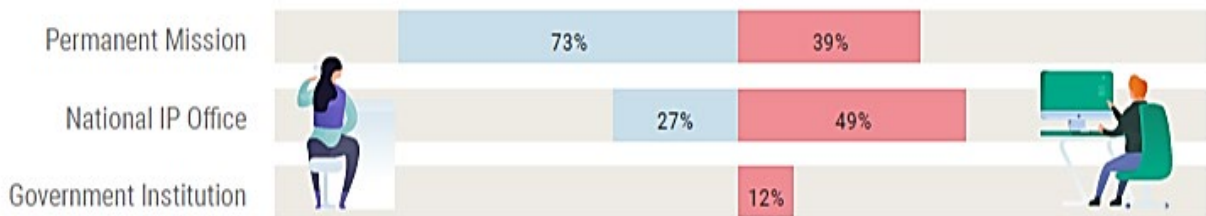
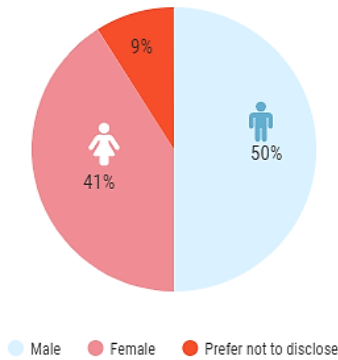
● Don't know/unable to assess ● Disagree to strongly disagree ● Neutral ● Agree to strongly agree

[Annex IIIb follows]

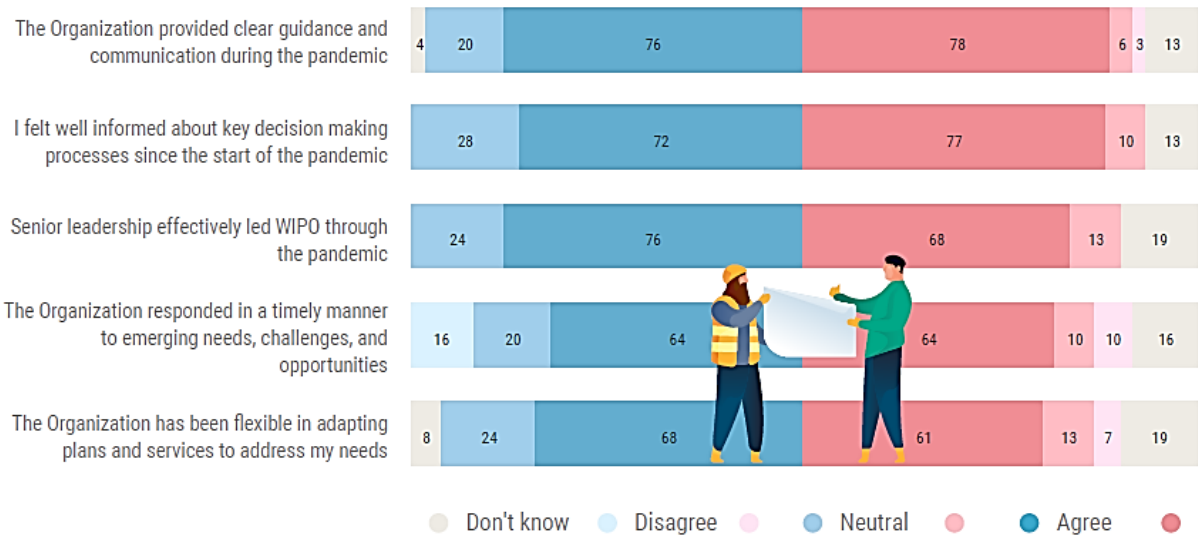


**ANNEX IIIb: MEMBER STATES SURVEY RESULTS (GENDER DISAGGREGATED)<sup>27</sup>**

**Distribution by Gender and Survey Respondents' Profile**



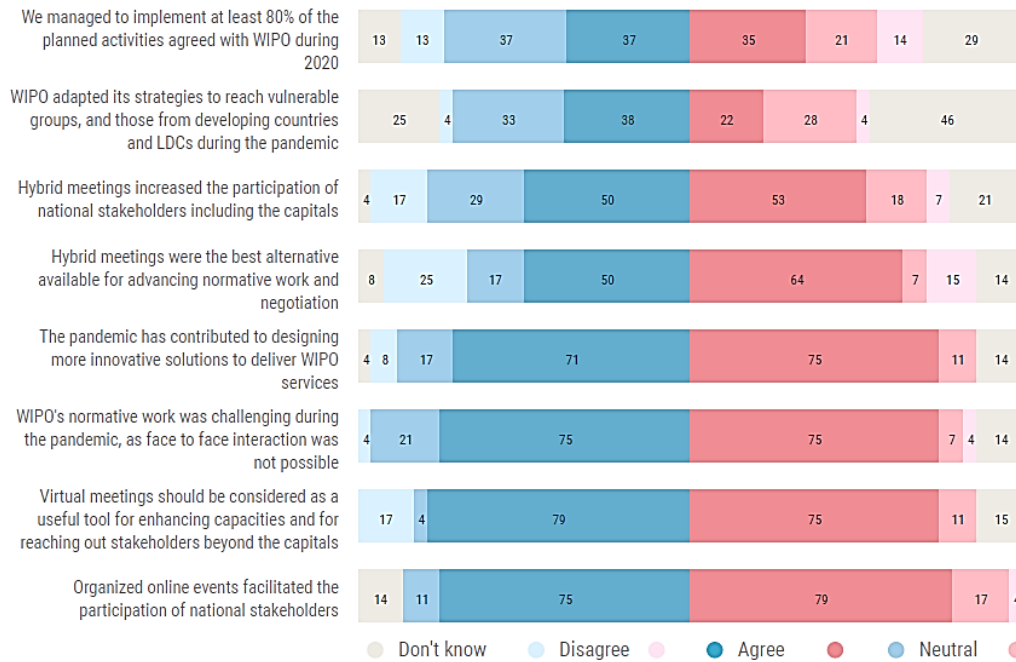
**Stakeholders' needs and priorities**



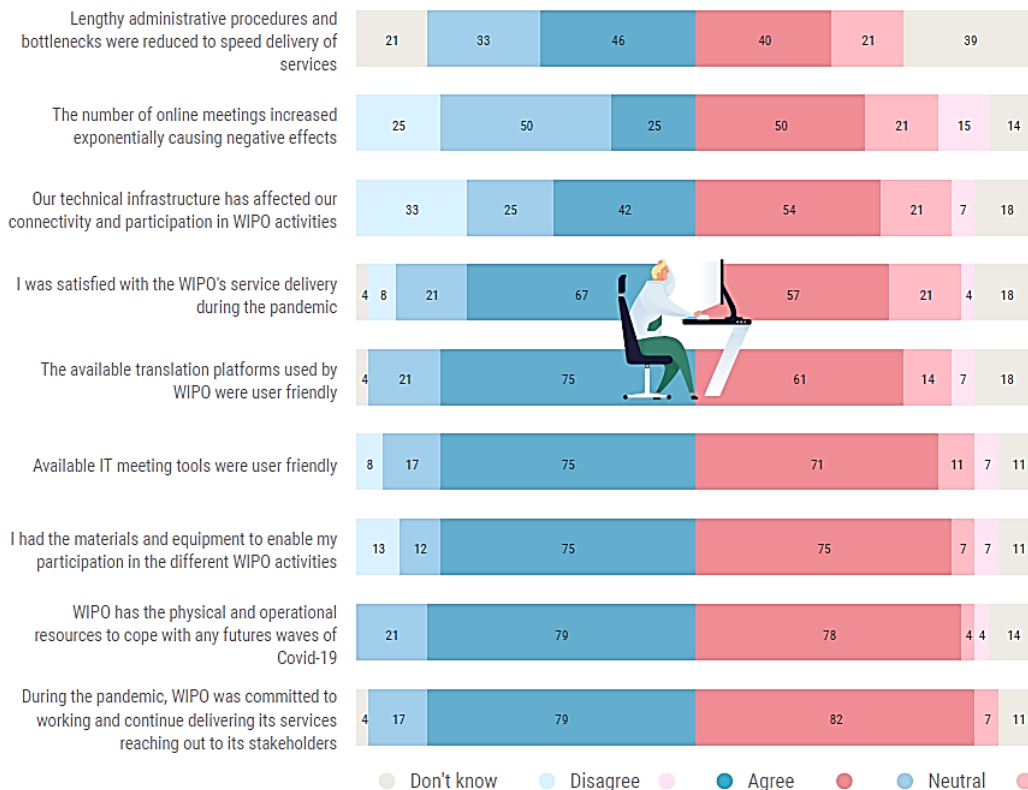
<sup>27</sup> Please note that survey questions contain answers from representatives who identified themselves as “female” (red tones) and representatives who identified themselves as “male” (blue tones). Those survey participants who preferred not to disclose their gender, were not included in the analysis, however, their responses have been taken into account in all remaining analyses that did not have a gender perspective. Each answer (for example, “Agree”, “Disagree”, etc.) has its own color intensity. For example, “Dark tone” means “agree”; therefore, “dark red” means females who agree and “dark blue” – males. All red tones represent 100% of responses on specific question from representatives who identified themselves as “female” and all blue tones – 100% of responses from representatives who identified themselves as “male”.



### SERVICE DELIVERY



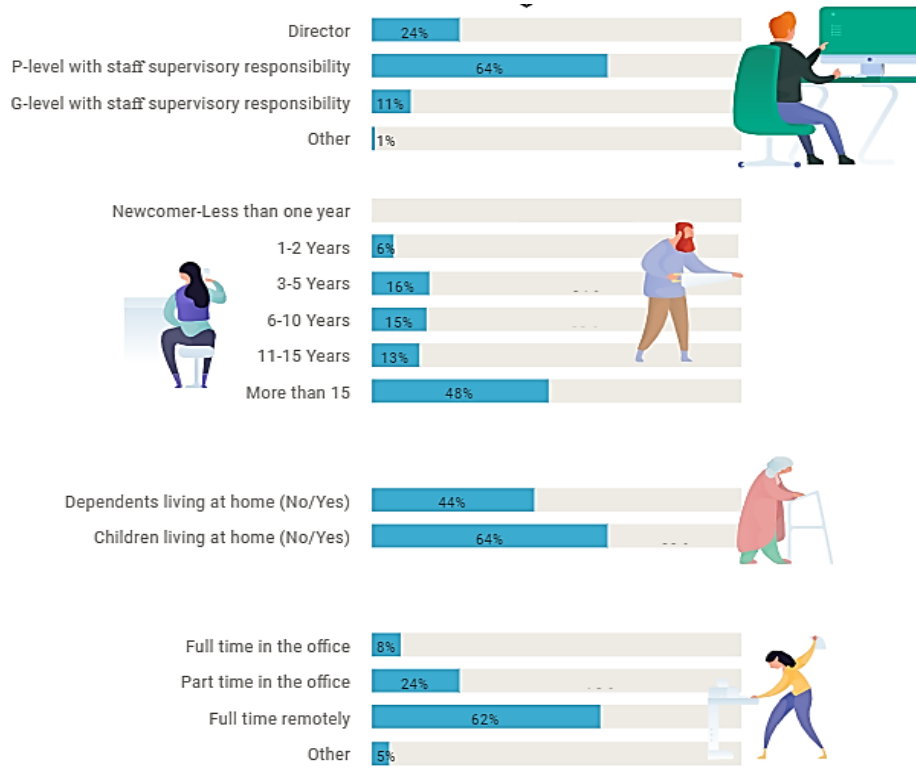
### OFFICE SETUP



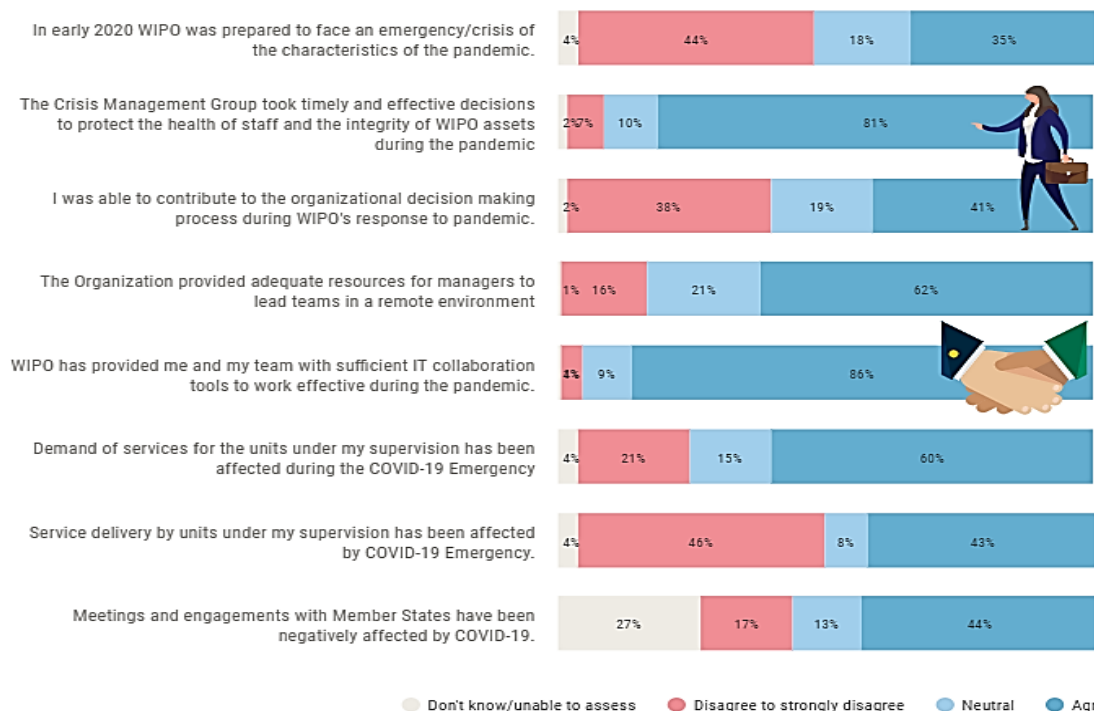
[Annex IVa follows]

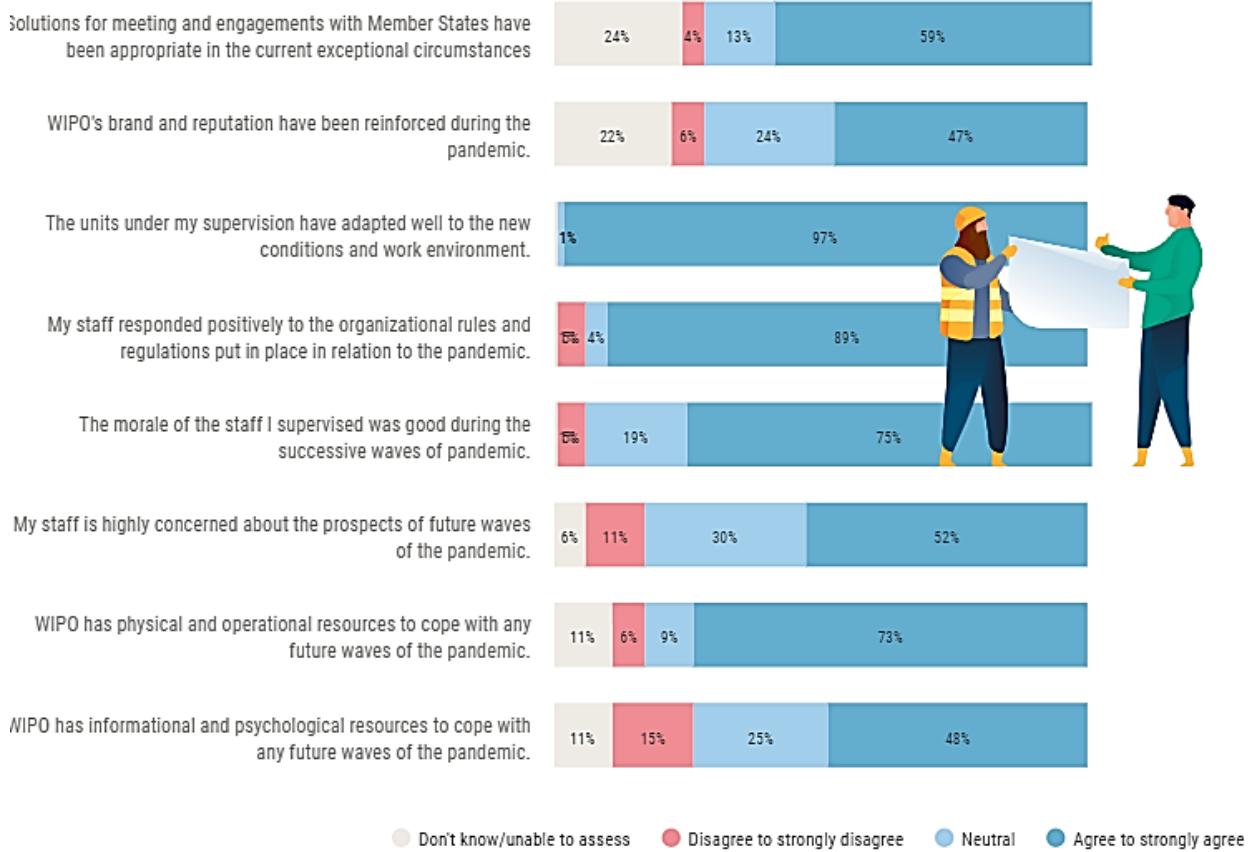
## ANNEX IVa: SUPERVISORS' SURVEY RESULTS

### Distribution by Survey Respondents' Profile

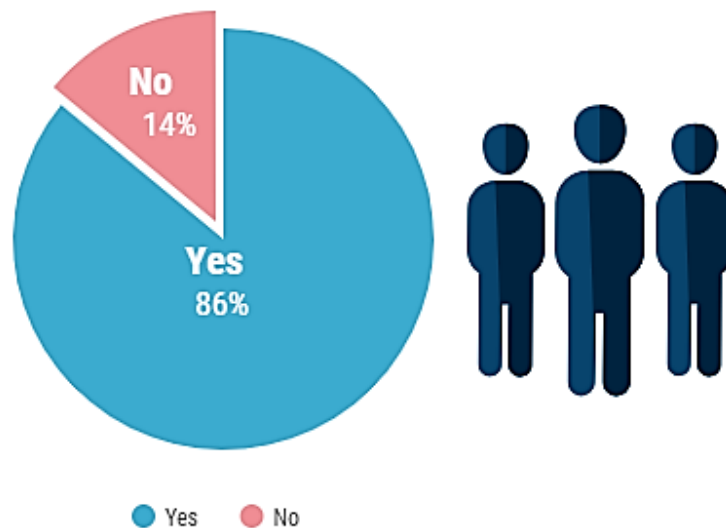


### Sector Leads, Directors and Staff with Supervisory Responsibility



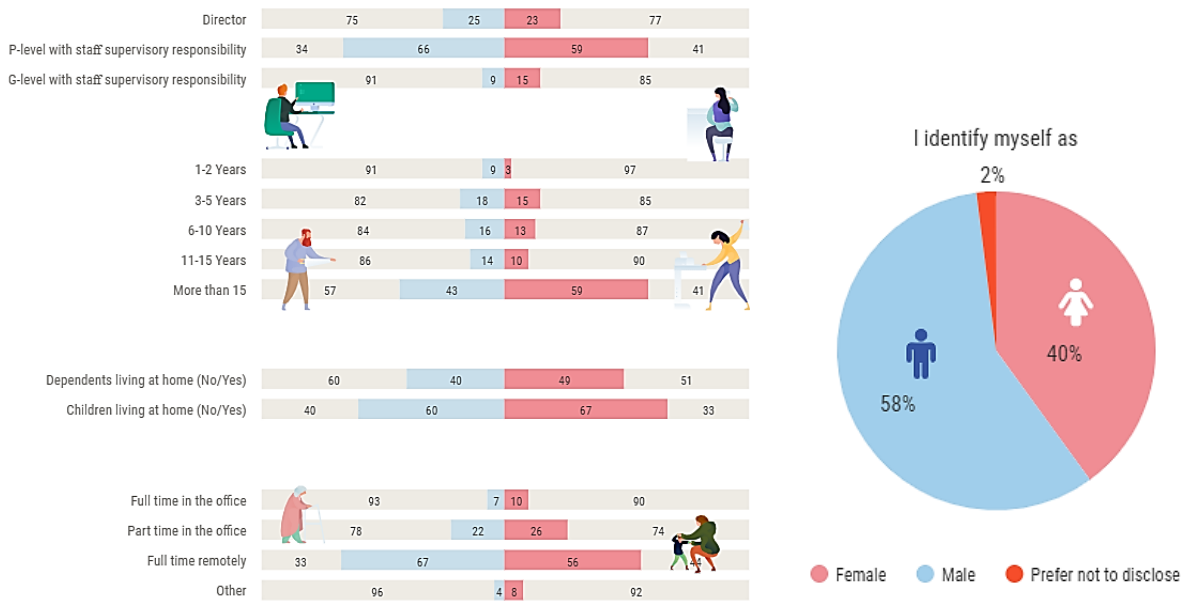


Has the crisis helped re-think the operational processes and make them more efficient/economic/effective without compromising the quality of outputs?

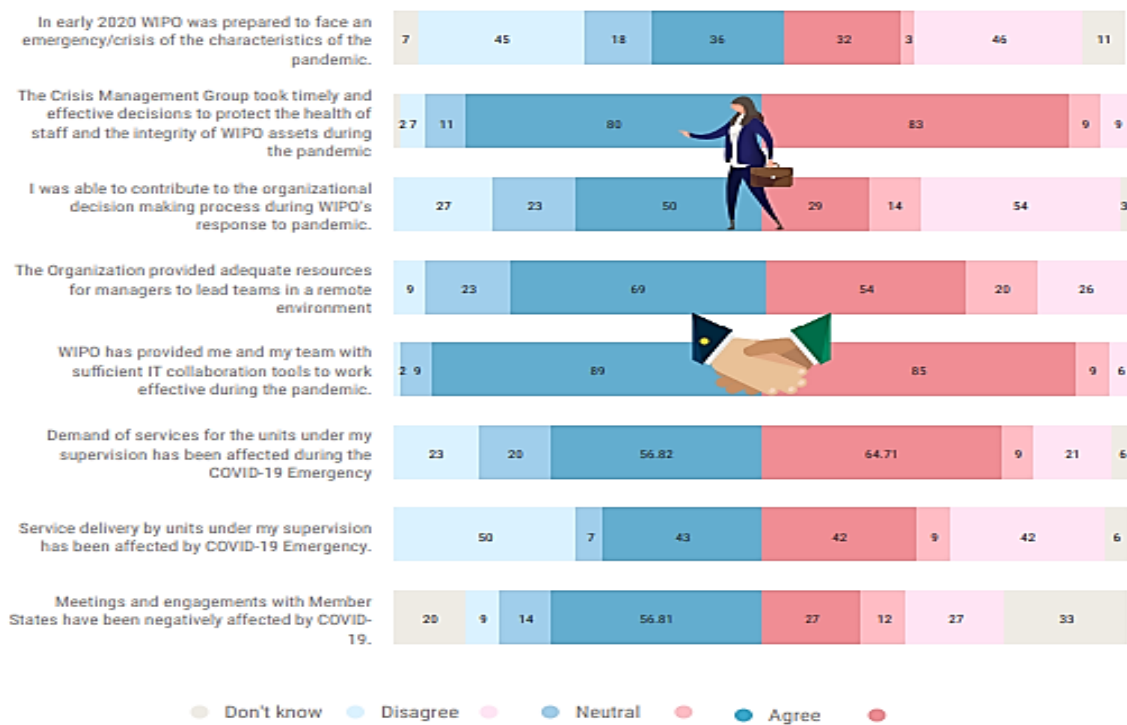


**ANNEX IVb: SUPERVISORS' SURVEY RESULTS (GENDER DISAGGREGATED) <sup>28</sup>**

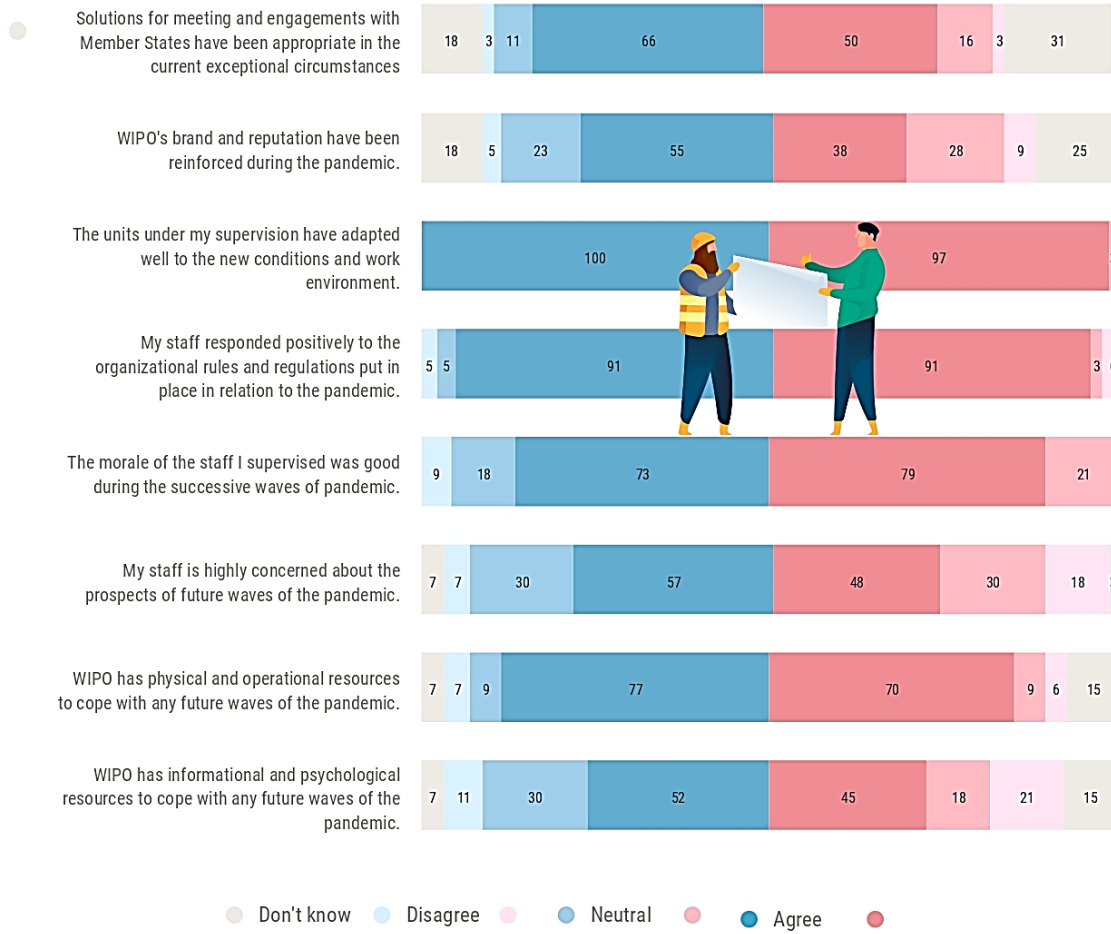
**Distribution by Gender and Survey Respondents' Profile**



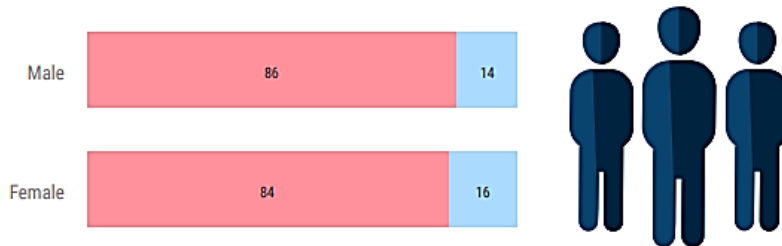
**Sector Leads, Directors and Staff with Supervisory Responsibility**



<sup>28</sup> Please note that survey questions contain answers from representatives who identified themselves as “female” (red tones) and representatives who identified themselves as “male” (blue tones). Those survey participants who preferred not to disclose their gender, were not included in the analysis, however, their responses have been taken into account in all remaining analyses that did not have a gender perspective. Each answer (for example, “Agree”, “Disagree”, etc.) has its own color intensity. For example, “Dark tone” means “agree”; therefore, “dark red” means females who agree and “dark blue” – males. All red tones represent 100% of responses on specific question from representatives who identified themselves as “female” and all blue tones – 100% of responses from representatives who identified themselves as “male”.



Has the crisis helped re-think the operational processes and make them more efficient/economic/effective without compromising the quality of outputs?



[Annex V follows]

**ANNEX V: ROLES AND RESPONSIBILITIES IN WIPO CRISIS MANAGEMENT**

<b>ROLE</b>	<b>Purpose</b>	<b>Composition</b>	<b>Availability</b>
<b>Crisis Management Team (CMT)</b>	*strategic direction of WIPO during a crisis, occasional tactical guidance; *identifies evolving gaps; *reviews response preparedness and provides guidance.	Managers with responsibilities in areas that have a role in responding to most types of crises	Short notice (possibly as little as a half-hour)
<b>Chair of the CMT</b>	*designates members of the CMT, invites additional meeting participants; * decides on preparedness, response, management and recovery; *activates the CRT.	Director General of WIPO or, if unavailable, a pre-defined alternate	Immediately available to invoke and lead the CMT in case of need
<b>Crisis Manager</b>	*provides tactical leadership; *supervises any dedicated bodies or teams, standing or ad hoc; *appoints one or more Crisis Coordinators.	By default - the Chair of the CMT. However, usually I will be the first alternate to the Chair of the CMT.	
<b>Crisis Response Team (CRT)</b>	*provides multi-disciplinary tactical guidance, oversight and management during the first-response phase of a critical incident or crisis; *reviews response preparedness for a specific risk; *Informs the Chair of CMT; *recommends to hold a CMT meeting.	Members of the CMT whose institutional responsibilities are likely to be required under most types of critical incidents or crises	*Within 15 minutes; *Mobile phones on 24 hours a day, 7 days a week
<b>Crisis Communication Team (CCT)</b>	*ensures a coordinated approach to all crisis related communications, whether internal or external.	Director of News and Media (Chair of the CCT), BCC, other personnel to ensure necessary technical and procedural expertise.	Depends on Criticality
<b>Incident Response Teams (IRT)</b>	*immediate-response capabilities to an incident or crisis; *take operational decisions.	Specifically trained professionals (Safety and Security, Medical, Building Maintenance, IT Service Helpdesk).	Immediate response
<b>The Crisis Response and Preparedness Team</b>	*improves coordination of operational response-preparedness; *during a crisis - coordinates operational response actions, and in escalates potential and new issues to the relevant managers and/or the CMT; *during a crisis, the Crisis Response and Preparedness Team reports to the Crisis Manager.	Senior Medical Advisor, Head of Safety and Security, and Head of Premises Infrastructure Maintenance + head of the HR Service Desk and the Director of the News and Media Division. Others may join if needed.	Depends on Criticality
<b>Managers</b>	*maintain to the extent possible, areas under their responsibility in a state of readiness to respond to an incident.	Managers	Depends on Criticality
<b>Personnel</b>	*familiarize themselves with any specific resilience plans and procedures related to their regular work; * keep their personal contact information up-to-date in WIPO's AIMS HR module; *keep mobile phones on, monitor WIPO email; *collaborate with, and contribute to, response and recovery efforts when requested to do so.	Personnel	Depends on Criticality

Source: WIPO Crisis Management Plan Organizational Resilience Version: V2.01

[Annex VI follows]





**ANNEX VII: CHANGES IN STAFF AND NON-STAFF PERSONNEL DURING PANDEMIC  
(DECEMBER 2019 – MARCH 2021)**

1st COVID-19 wave

2nd COVID-19 wave

Year-Month	Regular Employee	Temporary Employee	Non-Staff
19-12	1105	44	99
20-01	1109	45	103
20-02	1111	47	103
20-03	1106	47	102
20-04	1107	47	98
20-05	1106	47	98
20-06	1105	45	96
20-07	1108	43	96
20-08	1109	42	92
20-09	1112	47	91
20-10	1110	52	95
20-11	1109	53	95
20-12	1109	52	94
21-01	1105	52	93
21-02	1104	53	91
21-03	1102	54	89

Source: BI Dashboards, HR

[Annex XIII follows]

**ANNEX XIII: ANALYSIS OF ACHIEVEMENT OF KPIS IN COMBINATION WITH CHANGES IN EXPENSES (2018; 2019; 2020) BY PROGRAM**

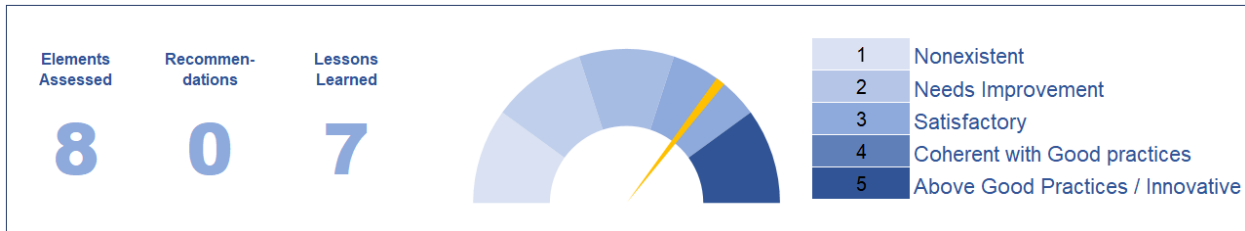
Program Name	% On Track KPis 2018	% Fully Achieved KPis 2019	% of On Track KPis 2020	% of "On track" KPis in 2020 minus % of "On track" KPis in 2018	% Change in personnel Expenses from 2019 to 2020	% Change in non-personnel Expenses from 2019 to 2020	% Change in total Expenses from 2019 to 2020
1 Patent Law	86%	86%	86%	0%	-16%	-70%	-29%
2 Trademarks, Industrial Designs and Geographical Indications	80%	100%	80%	0%	-4%	-88%	-22%
3 Copyright and Related Rights	61%	70%	86%	25%	3%	-49%	-13%
4 Traditional Knowledge, Traditional Cultural Expressions and Genetic Resources	60%	60%	25%	-35%	-1%	-52%	-21%
5 The PCT System	77%	85%	67%	-10%	-6%	-3%	-5%
6 Madrid System	75%	76%	77%	2%	-6%	-11%	-7%
7 WIPO Arbitration and Mediation Center	100%	100%	92%	-8%	-2%	-7%	-3%
8 Development Agenda Coordination	67%	67%	33%	-33%	2%	-92%	-23%
9 Africa, Arab, Asia and the Pacific, LACC, LDC	72%	69%	54%	-18%	-7%	-61%	-21%
10 Transition and Developed Countries	71%	69%	73%	2%	-2%	-93%	-16%
11 The WIPO Academy	71%	100%	100%	29%	-3%	-31%	-14%
12 International Classifications and Standards	71%	73%	42%	-30%	-6%	-150%	-28%
13 Global Databases	93%	80%	75%	-18%	9%	-122%	-20%
14 Services for Access to Information and Knowledge	75%	75%	38%	-38%	-24%	-73%	-29%
15 Business Solutions for IP Offices	100%	80%	80%	-20%	-22%	-54%	-30%
16 Economics and Statistics	91%	82%	38%	-52%	-2%	-23%	-5%
17 Building Respect for IP	100%	100%	75%	-25%	-4%	-118%	-21%
18 IP and Global Challenges	65%	61%	80%	15%	-2%	-10%	-3%
19 Communications	62%	64%	71%	10%	-16%	21%	-10%
20 External Relations, Partnerships and External Offices	77%	74%	65%	-12%	-5%	-49%	-15%
21 Executive Management	100%	92%	69%	-31%	3%	-59%	-9%
22 Program and Resource Management	60%	75%	65%	5%	-5%	-43%	-16%
23 Human Resources Management and Development	53%	77%	47%	-7%	-4%	-32%	-11%
24 General Support Services	72%	70%	83%	11%	-5%	-35%	-20%
25 Information and Communication Technology	83%	82%	100%	17%	0%	5%	4%
26 Internal Oversight	89%	89%	100%	11%	0%	-69%	-14%
27 Conference and Language Services	75%	75%	0%	-75%	-18%	-29%	-20%
28 Information Assurance, Safety and Security	80%	90%	100%	20%	13%	-25%	-13%
30 SMEs and Entrepreneurship Support	33%	50%	57%	24%	-2%	-68%	-16%
31 The Hague System	45%	54%	50%	5%	11%	-6%	2%
32 Lisbon System	67%	56%	20%	-47%	-3%	-53%	-10%
	<b>72%</b>	<b>74%</b>	<b>66%</b>	<b>-6%</b>	<b>-5%</b>	<b>-20%</b>	<b>-11%</b>

Source: WIPO Performance Reports 2018; 2018/2019; 2020. Data from PPBD.

[Annex IX follows]

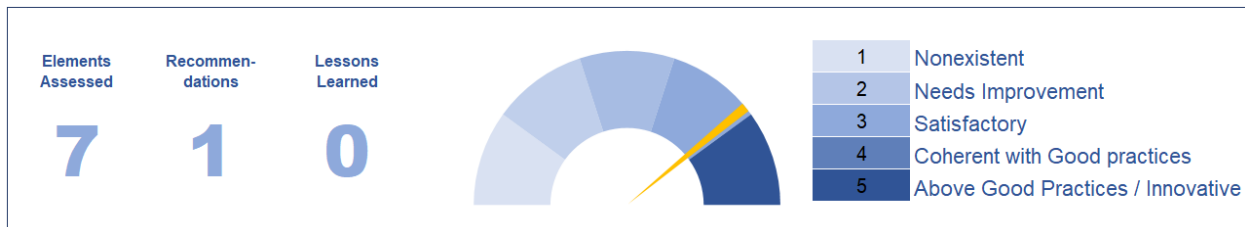
**ANNEX IX: GAP ANALYSIS DETAILS**

**1. CRISIS GOVERNANCE STRUCTURE – ELEMENTS ASSESSED**



ELEMENTS ASSESSED			LESSONS LEARNED / RECOMMENDATIONS
Establishing the Coordination Structure for Crisis Management	Allocation of Roles and Responsibilities	Designation of Alternate team members <b>L1.4</b>	<b>L1.1</b> Employees could have been sent home earlier during the "first wave". <b>L1.2</b> The organization of events must be strictly limited despite of their importance when the health security is at stake.
Collection of Information for Business Decisions during Pandemic	Communication of information to Internal / External Stakeholders <b>L1.7</b>	Capacity of the Business Continuity function <b>L1.5</b> <b>L1.6</b>	<b>L1.3</b> The Return to the Office Rules should be based on operational needs while ensuring a safe return process and environment. <b>L1.4</b> CMT Alternates should be more extensively briefed about the content of past meetings by their Principals (or vice versa, if the former attended). The participation of Alternates in CMT meetings together with CMT members is beneficial.
Organization of the "Return to the Office" (after 1st wave) <b>L1.3</b>	Proactivity in preventive measures (e.g. close-down; cancellation of events) <b>L1.1</b> <b>L1.2</b>		<b>L1.5</b> The Business Continuity function needs to be reinforced in Crisis situations. <b>L1.6</b> The current approach which consists of naming two alternates for the Business Continuity Coordinator may need to be reassessed or means found for rendering it more resilient. <b>L1.7</b> Communication to all stakeholders – both internal and external – needs to be given high priority during a crisis.

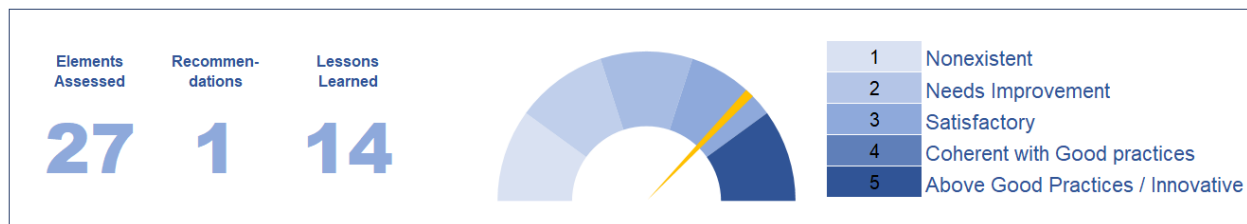
**2. POLICIES AND PROCEDURES SUPPORTING THE CRISIS MANAGEMENT DURING PANDEMIC – ELEMENTS ASSESSED**



ELEMENTS ASSESSED			LESSONS LEARNED / RECOMMENDATIONS
Adoption of UN Policy on ORMS	Adoption of WIPO's Organizational Resilience Framework	WIPO Crisis Management Plan	<b>R2.1</b> The Administration, Finance and Management Sector should develop terms of reference, and work with other WIPO Sectors to identify Business Continuity Focal Points at the Sector level, who will be assisted by the Business Continuity Coordinator in developing and measuring performance indicators linked to among others, timely: a) Updating Business Continuity and Disaster Recovery Plans, including the practical guidance; b) Completing planned Trainings and Exercises; and c) Addressing of identified Gaps.
Coverage of critical areas by the BCPs	Updates of Plans, Performance of Trainings and Exercises <b>R2.1</b>	Flexibility and temporary adoption of HR rules and regulations to Covid-19 situation	
Formal update of HR Framework to reflect Covid-19 related adjustments			

**L** – Lesson Learned  
**R** – Recommendation

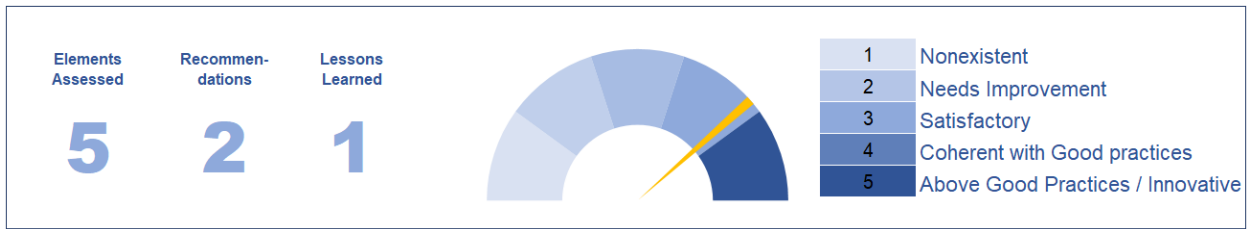
### 3. EFFECTIVE AND COMPLIANT EXECUTION OF CRISIS MANAGEMENT POLICIES AND PROCEDURES – ELEMENTS ASSESSED



ELEMENTS ASSESSED			LESSONS LEARNED / RECOMMENDATIONS
Cybersecurity and Information Security during the Remote Work <b>L3.3</b>	Remote working and staff wellbeing	Flexibility, work-life balance and adaptation of plans	<b>L3.1</b> While soft skills training were found to be less effective when administered remotely, technical trainings conducted online/virtually were as effective as in-person sessions. <b>L3.2</b> Going forward, WIPO should consider the benefits of remote trainings where relevant. <b>L3.3</b> Access to confidential information through personal devices and the standard use of e-mail classification/encryption and applications such as Whatsapp® and Signal may require further guidance.
Ability to adjust HR Planning based on changes in demands <b>L3.4, L3.5</b>	Ability to effectively Monitor and Control costs <b>L3.6, L3.7</b>	Protective clauses in contracts with suppliers	<b>L3.4</b> Proactive monitoring of personnel whose workload is reduced as a result of the prevailing conditions is important. HRMD support and coordination of these efforts is essential. <b>L3.5</b> The visibility on personnel skills need to be improved. This would be useful when there is a need of temporary redeployment of staff.
Ability of WIPO programs to maintain effective and efficient performance <b>L3.8</b>	Controlling, Monitoring and Reporting the performance of WIPO Programs during Pandemic	Automated tools for recording, monitoring and reporting the Performance of WIPO programs	<b>L3.6</b> WIPO programs should reassess, optimize, and align future needs and contributions to certain travel arrangements and events to the achievement of WIPO objectives. <b>L3.7</b> WIPO would benefit from reviewing strategic contracts to determine whether related risk appetites remain the same, and take appropriate actions as needed.
Stakeholders' feedback on Service Delivery <b>L3.9, L3.10</b>	Planning adaptation and its implications to monitoring	Ability to adjust the Capacity in line with the demand for services	<b>L3.8</b> Operations during pandemic helped to identify and implement several efficient practices. It would be beneficial to capture efficient cost/budgeting practices and apply them going forward.
Response time to Standard, low complexity service requests	Response time to high complexity but "routine" service requests <b>L3.11</b>	Ability to provide staff with necessary tools for Remote Work during Pandemic	<b>L3.9</b> It is important to consider more flexible forms to adapt WIPO's formal planning and strategic reporting documents in view of future crises to fully reflect in real time adaptation to new activities, outputs and outcomes unfolded in response to the crisis. <b>L3.10</b> More communication is needed on WIPO outreach to vulnerable groups (such as the visually impaired) and those from developing countries and LDCs during the pandemic.
Informing Internal and External stakeholders	Teleconferencing and online collaboration platforms <b>R3.1</b>	Staff perceptions regarding Communication during the pandemic	<b>L3.11</b> ICTD would benefit from assessing the need to enhance the skills of existing service desk agents, and ensure that technical skills within the ICT Service Desk is fit for purpose, especially when dealing with significant volume increase in demand.
Knowledge sharing and innovation <b>L3.13</b>	Inclusiveness and participation <b>L3.12</b>	Ability to manage the Critical IT Infrastructure remotely during Pandemic	<b>L3.12</b> The information flow and the delivery of consistent messages across the Organization should be enhanced, and formal and informal consultations should be enhanced, in particular decisions affecting personnel. <b>L3.13</b> Communication should not be limited to sharing office instructions via email. Managers should share and clarify memos, instructions, and other official information with all their staff members. The space for discussion and clarifications needs to be provided.
Ability to protect the equipment and the infrastructure, including IT infrastructure	Assessment and addressing the Pandemic impact on the main Financial Reporting areas	Assessment of the impact of Pandemic on the value of WIPO investments and taking appropriate measures	<b>R3.1</b> The Administration, Finance and Management Sector should work with other Sectors to identify and implement feasible improvements to the current communication and collaborative work platforms with a view to enhancing service delivery and stakeholders' experiences.
Ability to generate reliable forecasting for WIPO programs <b>L3.14</b>	Trainings on Remote working, tools and software <b>L3.2, L3.1</b>	Trainings on Pandemic Fundamentals, Personal protection, Response strategies	<b>L3.14</b> Given the long-term impact of pandemic it would be beneficial for Statistics and Data Analytics Division to assess the suitability of other forecasting models, with less reliance on the past data.

**L** – Lesson Learned  
**R** – Recommendation

4. RISK MANAGEMENT AND INTERNAL CONTROLS DURING THE PANDEMIC – ELEMENTS ASSESSED



ELEMENTS ASSESSED			LESSONS LEARNED / RECOMMENDATIONS
Adjusting RM, Transition to the hybrid/remote environment, keeping regular processes effective.	Adjusting to the new Risk Landscape, Capturing risks	Designing relevant risk responses	<p><b>L4.1</b> Completeness of documentation in procurement files is relevant for control and transparency, in particular through ensuring an audit-trail.</p> <p><b>R4.1</b> The Human Resources Management Department, in consultation with other relevant departments, should discuss processes and measures to mitigate the risk of abuse in remote working arrangements.</p> <p><b>R4.2</b> (a) Take measures to further strengthen transparency, accountability and a clear audit trail of controls in the procurement process by for instance establishing a conflict of interest declaration for requisitioners and procurement officers involved in the procurement process (requisitioning, solicitation, bidding and selection, evaluation and contracting process) to sign (regardless of type of procurement).                      b) Provide clear guidance to Requestors as to whether the goods/services being procured will be "recurring" or "one-off."                      c) Take measures to further strengthen transparency, accountability and a clear audit trail of controls in contracting ICS by for instance, establishing a candidate evaluation matrix to be used when evaluating more than three ICS candidates.</p>
Remote working arrangements	Procurement Process	<p><b>R4.1</b></p> <p><b>R4.2</b></p> <p><b>L4.1</b></p>	

**L** – Lesson Learned  
**R** – Recommendation

[End of Annexes and of Document]

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