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## **Assemblies of the Member States of WIPO**

### **Fiftieth Series of Meetings Geneva, October 1 to 9, 2012**

#### **IAOD VALIDATION REPORT ON THE PROGRAM PERFORMANCE REPORT FOR 2010–2011**

*prepared by the Secretariat*

1. The present document contains the Internal Audit and Oversight Division (IAOD) report on the validation of the Program Performance Report (document WO/PBC/19/3), which was submitted to the WIPO Program and Budget Committee (PBC) at its nineteenth session (September 10 to 14, 2012).

2. The recommendation of the PBC in respect of this document will be included in the “Summary of Recommendations made by the Program and Budget Committee at its Nineteenth Session held from September 10 to 14, 2012” (document A/50/14).

3. *The Assemblies of the Member States of WIPO and of the Unions administered by it, each as far as it is concerned, are invited to approve the recommendation made by the Program and Budget Committee in respect of document WO/PBC/19/3, as recorded in document A/50/14.*

[Document WO/PBC/19/3 follows]



## **Program and Budget Committee**

**Nineteenth Session**  
**Geneva, September 10 to 14, 2012**

### **IAOD VALIDATION REPORT ON THE PROGRAM PERFORMANCE REPORT FOR 2010–2011**

*prepared by the Secretariat*

1. The Validation Report on the Program Performance Report (PPR) has been prepared by the Internal Audit and Oversight Division (IAOD) to provide support to ensuring the reliability and authenticity of the WIPO PPR for 2010/2011 (document WO/PBC/19/2). The Validation Report provides IAOD's main findings, conclusions and recommendations arising from the validation exercise.

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

[IAOD Validation Report follows]





**Internal Audit and Oversight Division**

Reference: IAOD-VALID-2012-01

**IAOD Report**

**Validation of the Program and Performance Report 2010-2011**

July 4, 2012



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## ACRONYMS

<b>ERs</b>	Expected Results
<b>IAOD</b>	Internal Audit and Oversight Division
<b>KPIs</b>	Key Performance Indicators
<b>MTSP</b>	Medium Term Strategic Plan
<b>P&amp;B</b>	Program and Budget
<b>PD</b>	Performance Data
<b>PIs</b>	Performance Indicators
<b>PID</b>	Performance Indicator Data
<b>PMPS</b>	Program Management and Performance Section
<b>PMSDS</b>	Performance Management and Staff Development System
<b>PPR</b>	Program Performance Report
<b>RBF</b>	Results Based Framework
<b>RBM</b>	Results-Based Management
<b>RF</b>	Results Framework
<b>SMART</b>	Specific, Measurable, Achievable, Relevant, Time-bound
<b>SMT</b>	Senior Management Team
<b>SRP</b>	Strategic Realignment Program
<b>TISC</b>	Technology and Innovation Support Center
<b>TLS</b>	Traffic Light System
<b>ToRs</b>	Terms of Reference
<b>WIPO</b>	World Intellectual Property Organization

**LIST OF WIPO PROGRAMS, AS DEFINED IN 2010/2011 PPR**

Program1 - Patents
Program2 - Trademarks, Industrial Designs and Geographical Indications
Program 3 - Copyright and Related Rights
Program4 - Traditional Knowledge, Traditional Cultural Expressions and Genetic Resources
Program5 - The PCT System
Program6 - Madrid, Hague and Lisbon Systems
Program7 - Arbitration, Mediation and Domain Names
Program8 - Development Agenda Coordination
Program9 - Africa, Arab, Asia and the Pacific, Latin America and the Caribbean Countries, Least Developed Countries
Program10 - Cooperation with Certain Countries in Europe and Asia
Program11 - The WIPO Academy
Program12 - International Classifications and WIPO IP Standards
Program14 - Global IP Information Services
Program15 - IP Office Modernization
Program16 - Economic Studies, Statistics and Analysis
Program17 - Building Respect for IP
Program18 - IP and Global Challenges
Program19 - Communications
Program20 - External Offices and Relations
Program21 - Executive Management
Program22 - Finance, Budget and Program Management
Program23 - Human Resources Management and Development
Program24.4 - Administrative Support Services
Program25 - Information and Communication Technology
Program26 - Internal Audit and Oversight
Program27 - Conference and Language Services
Program28 - Security
Program29 - New Construction
Program30 - Small and Medium-Sized Enterprises

## EXECUTIVE SUMMARY

1. The Internal Audit and Oversight Division (IAOD) conducted an independent validation of the Program Performance Report (PPR) for the 2010/2011 biennium which was the third validation exercise undertaken since 2008. The objectives of this validation (see also section 2) were to:

- (a) Provide an independent verification of the reliability and authenticity of information contained in the 2010/2011 PPR;
- (b) Follow up on the implementation status of recommendations of the previous PPR Validation Report<sup>1</sup> through documentary and other corroborative evidence; and
- (c) Assess, as requested by the Program Management and Performance Section (PMPS), the level of ownership of the results framework (RF) including the performance measures and the use of performance data (PD) for internal monitoring purposes. The scope of the validation (see also section 3) was to undertake an in-depth analysis of one randomly selected performance indicator (PI) for each program as defined in the 2010/2011 PPR.

2. Main findings (see also section 4) of this validation exercise, within the inherent limits of the sample selection done, are as follows:

- (a) Some significant strengths identified were:
  - (i) Timeliness of reporting on the individual PPRs; and
  - (ii) Efficiently collected and easily accessible PD.
- (b) Some significant limitations observed were:
  - (i) Partial relevance of PD;
  - (ii) Lack of sufficiency and comprehensiveness of PD; and
  - (iii) The RF was primarily used for reporting on performance rather than for management and learning.

3. Conclusions (see also section 5) of this validation exercise are:

- (a) The changes in the 2010/2011 PPR with regard to the previous biennium have led to improved expected results (ERs), PIs and sensible baselines and targets;
- (b) Reporting on PIs is still perceived by some WIPO managers as a mandatory administrative exercise without clear linkages to the high-level strategic and operational objectives of the Organization;
- (c) Although, ownership levels for PIs have improved, information used for reporting during the 2010/2011 biennium was not being produced on a regular basis, such as quarterly, to track progress;

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<sup>1</sup> Document A/48/21 – Validation of PPR for 2008/2009

- (d) The use of the RF is somehow confined to the function of reporting on performance limiting its potential to enhance management and learning;
  - (e) Program performance framework and monitoring tools need to be strengthened to add the expected value; and
  - (f) Even more customized training and coaching of staff responsible for designing, planning, monitoring and reporting on the performance framework are needed.
4. Action has been taken on all 11 recommendations made in the validation of the 2008/2009 PPR (document A/48/21), three recommendations were fully implemented and eight are partially implemented (see also section 7).
5. Based on the documentary evidence provided by the various WIPO programs, IAOD recommends (see sections 5 and 6) the following:

**Recommendation 1:** Quality assurance of PD as well as their use for the purpose of program management needs to be further strengthened (for Program Management Performance Section (PMPS) and the Department of Finance and Budget);

**Recommendation 2:** Strike the right balance between the RF as a reporting and a management tool (for PMPS and Program Managers (PMs)) by better defining PIs, in future Program & Budget (P&B) documents (starting with the 2014/2015 document);

**Recommendation 3:** Further increase Results-Based Management (RBM) and monitoring support to staff through more facilitated participative workshops (PMPS and Performance Management Training and Development Section); and

**Recommendation 4:** Deadlines for submission of individual and consolidated PPR should be set well in advance enabling for timely validation of a final PPR for the 2012/2013 biennium (for PMPS and IAOD).

6. IAOD takes note that the 2012/2013 P&B document is of much better quality compared to the 2010/2011 biennium and further refinements are expected to take place in the 2014/2015 biennium as part of planned improvements of the RBM framework so that performance management culture takes root at WIPO.

## 1. INTRODUCTION

1. The approved P&B document provides the framework for measuring program performance on an annual basis within the Organization. For this purpose, a PPR is prepared and submitted to the WIPO Program and Budget Committee (PBC) on a yearly basis. Its preparation involves the collection by all programs of relevant PD for the self-evaluation and monitoring of the achievement of their program objectives. These are then consolidated by the PMPS, to produce the PPR.
2. This is the third independent validation of the PPR exercise conducted by IAOD. This validation has been conducted against the individual PPRs prepared by WIPO programs as defined in the P&B document 2010/2011.
3. Complete, accurate and good quality information is crucial if PIs are intended to be used effectively to improve program delivery and accountability.

### A. ORGANIZATIONAL CONTEXT

4. The third validation exercise is one of several initiatives aimed at further enhancing accountability for results within the Organization. Overall the Organization as part of its Strategic Realignment Program (SRP) is working on the implementation of 19 initiatives which are aimed at changing the way WIPO works. As part of the SRP, some key achievements related to program performance management and RBM Framework during the 2010/2011 biennium were:
  - (a) A six year Medium Term Strategic Plan (MTSP), completed in 2010, has been essential in guiding the Organization towards the achievement of its goals. The MTSP channelled the development of organizational ERs in line with the nine Strategic Goals of the Organization,
  - (b) The RBM Framework has significantly improved the biennial planning with a set of PIs linked to Strategic Goals and an enhanced performance measurement framework,
  - (c) Additionally, as part of the 2012/2013 biennium, there have been continuous efforts to further strengthen RBM framework at WIPO through:
    - (i) Improvement of PIs;
    - (ii) Identification of realistic targets and baselines, as well as risks that could have an impact on program implementation. In this regard, WIPO staff was provided training on RBM.

## 2. PPR VALIDATION OBJECTIVES

5. The objectives of this validation exercise were to:
  - (a) Provide an independent verification of the reliability and authenticity of information contained in the 2010/2011 PPR;
  - (b) Follow up on the implementation status of recommendations of the previous PPR Validation Report (document A/48/21) through documentary and other corroborative evidence; and

(c) Assess, as requested by the PMPS, the level of ownership of the RF including the performance measures and the use of PD for internal monitoring purposes.

6. This assessment was done to the extent this information could be supported by the factual evidence coupled with interviews with key staff responsible for reporting against the PIs.

### **3. PPR VALIDATION SCOPE AND METHODOLOGY**

7. The scope of the validation covered an in-depth analysis of one randomly selected PI for each program as defined in the 2010/2011 PPR. The criteria used to validate the individual PPRs are: relevant and valuable; sufficient and comprehensive; efficiently collected and easily accessible; consistent and comparable; accurate and verifiable; timely; clear and transparent; efficiency and accessibility; accuracy of the Traffic Light System (TLS) and comprehensiveness. These criteria were complemented with two additional ones that were deemed to be valuable in support of the development and improvement of RBM. These were:

- (a) Sense of ownership of RF and
- (b) The use of RF and PD for internal management and reporting.

8. The validation criteria are presented in Annex I of this report.

#### **A. INFORMATION PRESENTED IN ADVANCE**

9. The following information was presented or circulated in advance prior to the start of the validation exercise:

- (a) A PPR and validation exercise briefing was provided on February 24, 2012;
- (b) A memorandum, dated February 17, 2012, was sent to all Senior Managers by the Assistant Director General (ADG) Responsible for Administration and Management Sector; and
- (c) A memorandum, dated March 19, 2012, was sent by IAOD informing on the key steps and dates of the independent validation exercise.

#### **B. RANDOM SAMPLING**

10. For this validation exercise, the validation team took into consideration the recommendation made in the "Validation of the 2008/2009 PPR"<sup>2</sup> which stated that "a random selection of sample ERs will be less time consuming and more representative of the quality of data being reported than the application of screening process that out poor performance measures".

11. The random sampling was done, at the level of PI per each program, by the WIPO Senior Management Team (SMT) Members or their alternates in the presence of IAOD staff. A list with the respective names has been included in Annex II of this report. The randomly sampled PIs represent circa 10 per cent (29 out of 303 PIs) of the total number of

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<sup>2</sup> Document A/48/21

indicators defined in the 2010/2011 P&B document. The validation assessments including the list of randomly sampled indicators can be found in Annex IV.

12. WIPO SMT or their alternates were requested to facilitate the work of the Validation team by making sure that:

- (a) Adequate records were kept; and
- (b) Access to all available PD was provided to the validation team. The Validation team scheduled meetings to discuss the PD used for monitoring of reported progress against selected PIs.

13. Given the time required to discuss the strengths and weaknesses of the performance measures, data and volume of documents, cross-checking and verification of PD was carried out on a sample basis where needed.

#### C. NOTIFICATION OF SELECTED PIS

14. Program Managers, alternates and those responsible for reporting against the PIs as well as PMPS, were officially notified of the random selection of PIs between March 19 and 20, 2012 and were requested to prepare all the supporting documents relevant for the validation of the randomly selected PI previous to validation meetings.

#### D. CONDUCT OF VALIDATION MEETINGS AND INDIVIDUAL PROGRAM VALIDATION ASSESSMENTS

15. In order to gain insight on the use of PPR information and on the implementation of recommendations from past validations, staff members responsible for reporting against the PIs were requested to make themselves available for validation meetings. Overall, the validation team interviewed 42 professional staff members.

16. Validation meetings took place between April 5, 2012 and May 4, 2012. For the purpose of structured interviews, an interview protocol was developed following samples of past validations and taking into consideration requests of key stakeholders such as PMPS.

17. All interviews were recorded and typed up to provide complete evidence and justification for the conclusions contained in this report.

18. Recorded interviews and individual program validation assessments were used as the source of information for the findings and conclusions contained in this report.

19. Individual validation assessments and the draft report were sent to those responsible for reporting against the PIs and WIPO Senior Managers for feedback and comments. Where appropriate, factual corrections were made and the draft report was revised accordingly.

## E. LIMITATIONS

20. The main limitation for the validation exercise is linked to the methodology used. Validating randomly selected sample of PIs leads to findings, conclusions and recommendations which may not necessarily be a full reflection of the whole RBM framework. However, taking into account the time constraints and the Organization's needs, the random sampling was the most appropriate method to assess the quality of PD with sufficient depth and under a reasonable time frame in conformity with what was recommended in the past validation exercises and accepted by WIPO management.

## 4. PPR VALIDATION FINDINGS

21. The findings presented below are the results of the individual program validation assessments conducted on the randomly selected PIs and their respective PD, plus the views of 42 interviewed professional staff members across 29<sup>3</sup> programs who were in charge of reporting against the randomly selected PIs.

### A. OVERALL FINDINGS

22. After validating the PD and the information used to report against PIs the most significant strengths identified were:

- (a) The timeliness of reporting on the PPR in 100 per cent of the cases; and
- (b) The efficiently collected and easily accessible PD in 62 per cent of the cases.

23. Other areas presented a good proportion of strengths but some significant limitations were:

- (a) The partial relevance of PD in 70 per cent of the cases; and
- (b) PD was not sufficient/comprehensive in 52 per cent of the cases.

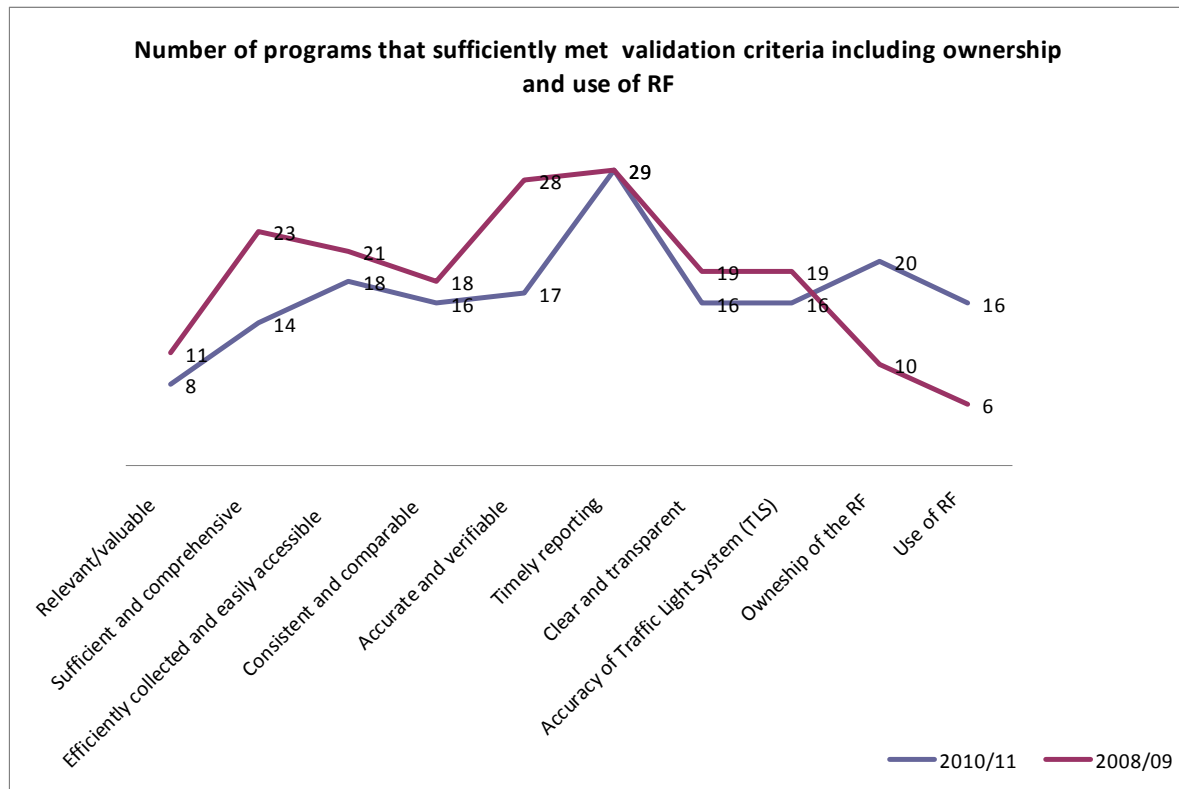
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<sup>3</sup> Programs 12 and 13 are merged, so there are not 30 programs even if there is a Program 30.



<b>Criteria</b>	<b>Sufficiently</b>	<b>Partially</b>	<b>Did not meet the criteria</b>
Relevant/valuable	8 programs (27 %)	20 programs (70 %)	1 program (3%)
Sufficient/comprehensive	14 programs (48 %)	12 programs (42%)	3 programs (10 %)
Efficiently collected/easily accessible	18 programs (62%)	9 programs (31%)	2 programs (7%)
Consistent/comparable	16 programs (55 %)	13 programs (45 %)	0 program (3%)
Accurate/verifiable	17 programs (59 %)	10 programs (34 %)	2 programs (7%)
Timely reporting	29 programs (100 %)	0 programs (0 %)	0 program (0%)
Clear/transparent	16 programs (55%)	12 programs (42%)	1 program (3%)
Accuracy of TLS	16 programs (55 %)	10 programs (35 %)	3 programs (10%)
<b>Other (views of interviewees)</b>		<b>Yes</b>	<b>No</b>
Sense of ownership of the results based framework		20 programs (69%)	9 programs (31%)
Routine internal monitoring using RF and PD		16 programs (55%)	13 programs (45%)

24. As suggested during exchanges with PMPS, a comparison between the two biennia 2008/2009 and 2010/2011 has been established (see graphic below) to show the validation results. However, it is important to note that the methodology for sampling PIs was modified for the validation of the 2010/2011 PPR. For this validation a random sampling exercise of PIs was undertaken which enabled a better representation of the quality of PD, PIs and monitoring tools within the Organization instead of selecting only the PIs and PD that fulfill specific, measurable, achievable, relevant, time-bound (SMART) criteria as done during the validations of the previous PPR. As a result, the 2010/2011 PPR validation presents a slightly higher number of programs not sufficiently meeting the validation criteria while positive improvements have been recorded in terms of ownership of the RF and use of the RF and PD for internal monitoring compared to the 2008/2009 biennium.



## B. VALIDATION FINDINGS BY CRITERIA

### (i) Relevant/valuable (8 sufficiently met/20 partially met/1 did not meet the criteria)

25. This criterion aimed to identify how relevant and valuable the information used for reporting on PIs and ER and overall program delivery was, in particular for the purpose of measuring meaningful progress and intended success. It also assessed whether the quantification and reporting of PD included information that covers all significant aspects of performance expressed in the ERs and PIs.

26. For the PIs sampled, 27 per cent of all programs provided PD sufficiently meeting this criterion while those provided by 70 per cent programs partially met this criterion. There was only one program that did not meet the criterion (3 per cent).

27. **Examples of good practices found:** Programs 7, 18, 24.4 and 29 could be cited as programs that provided accurate, complete and valuable PD and information used for effectively reporting; enabling a sound assessment of the data quality with clear linkages between PI and ER.

28. Examples of limitations found among other Programs were that:

- (a) Randomly selected PIs were defined in a vague manner rendering it difficult to measure and report progress;
- (b) PD gathered against PI was not valuable to measure performance;
- (c) Measurable baselines and targets were not clearly defined;

- (d) In some cases, PIs were modified by PMPS without consultation with the programs concerned;
- (e) Although relevant, information provided for the purpose of this validation were not used for reporting against the PI; and
- (f) Outputs were measured rather than outcomes and impact.

(ii) Sufficient/comprehensive (14 sufficiently met/12 partially met/3 did not meet the criteria)

29. This criterion assessed whether there was sufficient and comprehensive information in the PD to reveal the extent of progress made against the performance measure, and whether the PD included all the information that was available to make that assessment.

30. Overall, 45 per cent of programs<sup>4</sup> provided PD that was sufficient and comprehensive enough for enabling an effective measurement of the selected PIs against the ER. Nevertheless, PD provided by 45 per cent of programs was insufficient, since it was not straightforward to assess progress made against the ER. In addition, there were 10 per cent of programs that could not provide any documentation for intended progress to be measured or PD provided for this purpose was very limited making it almost impossible to make an assessment of the progress against the PI.

31. **Examples of good practices found:** Programs 7, 12, 17 and 29 could be cited as good examples when assessing this criterion. Their records of activities were comprehensive and sufficient for measuring progress against the PIs based on factual evidence. PD was also made available on WIPO Internet and internal web site in a comprehensive manner.

32. Examples of limitations found where:

- (a) PD that would support the PI was not fully documented and used for assessing all aspects of the PI against ER;
- (b) Programs focus on gathering and reporting on quantitative PD while PI requires both qualitative and quantitative PD components to be reported;
- (c) PD was available to support the PI but it was not included in the individual PPR;
- (d) PD was not available to support the PI due to delays in the undertaking of planned activities; and
- (e) Information in the PD was too vague and/or unspecific to support the PI.

(iii) Efficiently collected/easily accessible (18 sufficiently met/9 partially met/2 did not meet the criteria)

33. This criterion assessed whether PD was efficiently collected and easily accessible and whether appropriate systems exist to record, access, report and analyze the PD.

34. While 62 per cent of programs have sufficiently met this criterion by putting in place systems to collect, analyze and report data in an effective and efficient manner, PD

<sup>4</sup> Again within the inherent limitations of the sample reviewed.

submitted by 31 per cent of programs partially met the criterion as PD was not easily accessible and/or efficiently collected. In the case of 7 per cent of programs, neither was a system put in place for efficient and effective PD collection and analysis, nor was PD easily accessible.

**35. Examples of good practices found:** Programs 6, 7, 12, 20, 24.4, 27 and 29 have put in place systems to effectively and efficiently record, gather and analyze the PD which was also made easily accessible on WIPO Intranet and external web site.

36. Examples of limitations found where:

- (a) Systems were not in place to collect, analyze and report PD routinely;
- (b) PD was stored in different files and/or separate databases, which required time-consuming process to collect or integrate them efficiently; and
- (c) Programs rely on other programs to be notified of events/activities. Due to lack of effective system of information flow, there was a significant likelihood of under-reporting.

(iv) Consistent/comparable (16 sufficiently met/13 partially met/0 did not meet the criteria)

37. The purpose of this criterion is to assess that reported data should be consistent enough to enable performance to be measured and compared over longer periods of time. The principle of consistency shall not prevent the use of more accurate procedures or methods as they become available. However, any change in procedures and methods shall be transparently documented and justified.

38. PD provided by 55 per cent of programs was comparable over biennia and consistent in the way it was presented. On the other hand, PD provided by 42 per cent of the programs was substantially modified, or discontinued due to substantial change and/ or discontinuation of the PI from one biennium to the next. In these cases, the changes were not documented or justified in a transparent manner.

39. Examples of limitations:

- (a) As pointed out in the previous validation report of the 2008/2009 PPR, changes in ERs and PIs from one biennium to the next continued. This may be interpreted as a positive process of refinement and improvement of the RBM framework. Consequently, lack of comparability over time can be seen as an improvement rather than a limitation. In most cases, the changes have led to improved ERs, PIs and realistic and measurable baselines and targets. RBM at WIPO is still in its development phase and hence further refinements of ERs, PIs and other performance measures will be undertaken until the RBM framework and performance management culture is well established across the Organization.

**40. Examples of good practices found:** Programs 27 and 29 consistently reported on the PI throughout the biennia as part of annual GA reporting which facilitated an effective comparison of the progress made against the selected PIs.

(v) Accurate/verifiable (17 sufficiently met/10 partially met/2 did not meet the criteria)

41. The criterion was employed to assess whether PD had clear documentation supporting it so that processes which produce the performance measures can be accurately validated.

42. PD and related information provided by 59 per cent of programs were accurate and verifiable through documentation, which were also made available on WIPO's internal and external web sites. On the other hand, 34 per cent of programs provided PD that were not easily verifiable or accurate. In seven per cent of the programs, PD was neither verifiable nor accurate to report against the PI and ER.

43. Examples of limitations found where:

(a) Verification of PD was not straightforward because information was not stored in an organized and consistent manner; and

(b) An accurate verification of PD was not possible due to the lack of relevant documentation.

44. **Examples of good practices found where:** PD was accurate, verifiable and used for reporting. It was also made available on WIPO Intranet and external web site. Programs that could be cited as good examples are programs 3, 7, 26, 27 and 29.

(vi) Timely reporting (29 sufficiently/0 partially/0 did not meet the criteria)

45. This criterion allowed to verify if data was produced regularly enough to track progress and quickly enough to be still useful.

46. All programs have sufficiently met this criterion. As already reported in the Validation of the 2008/2009 PPR (document A/48/21), in the absence of requirements (for 58 per cent of the programs) to report progress against the PIs on a routine or regular basis, there is only few evidence of reporting being carried out in an untimely manner. Only 28 per cent of the programs were required to report to Committees like the Committee for Development on Intellectual Property (CDIP), the Independent Advisory Oversight Committee (IAOC) or the SMT but only few of those were required to report progress achievements on the RF of the P&B document.

47. It is to note that the Organization introduced quarterly reports to the SMT in 2009 as a routine requirement following the recommendation of the Validation of the 2008/2009 PPR (document A/48/21). However, as stated by interviewed WIPO staff, these were neither used by program managers for decision-making purposes nor for internal monitoring. Consequently their production was discontinued some time after their introduction.

48. **Examples of good practices found:** PD was produced regularly enough to track progress since it was requested and used for internal monitoring, management and decision-making purposes within the department producing the data. Programs 7, 15, 23, 24.4 and 29 provided excellent examples of how timely reporting of PD can become useful if used for management and decision making purposes. In the case of Programs 7 and 15, both programs have put in place excellent monitoring systems which are updated on a regular basis facilitating reporting of highly relevant information in the most timely and efficient manner and at the same time using the data for management and decision making purposes.

(vii) Clear/transparent (16 sufficiently/12 partially/1 not meet criteria)

49. This criterion assesses whether disclosed information allows intended users to understand and make decisions with reasonable confidence. Transparency relates to the degree to which information is seen as being reported in an open, clear, factual, neutral and coherent manner based on documentary evidence. Information shall be recorded, compiled and analyzed in a way that will enable internal reviewers and external intended users to attest its credibility.

50. While in 55 per cent of cases, PD was clear and transparent, for the remaining 45 per cent PD was not always reported in a clear, factual and coherent manner. In several cases vast amount of records were compiled but not analyzed in a clear and coherent manner.

**51. Examples of good practices found where:** PD was reported on the PPR in a clear and transparent manner and information was publicly available on the Internet. The programs developed the necessary monitoring tools and systems that allowed recording, compilation and analysis of information in a clear, neutral and factual manner.

Very good examples of clear and transparent reporting were found in Program 7, 15, 24.4, 25, 29 and 30.

52. Examples of limitations found where information:

- (a) Had to be gathered in collaboration with WIPO's external stakeholders which was not always very straightforward and hence transparency and clarity were weakened;
- (b) Was clear and transparent but incomplete as PD reported in the PPR was incomplete;
- (c) Was publicly available but was not coherent; and
- (d) Was not required for any other purpose than reporting for the PPR and nobody was checking the clarity of records and whether PD was clear and gathered in a transparent manner for the purpose of reporting against the PI and ER.

(viii) Accuracy of the TLS (16 accurate/10 not accurate/ 3 did not meet the criteria)

53. The TLS has a separate function and is not strictly part of the PD. For the sampled PIs, an assessment of accuracy was made on the basis of whether the self assessment ratings could be justified on the basis of information presented in the PD reported as part of the 2010/2011 PPR.

54. The validation found that in 55 per cent of the cases the TLS was accurate. On the contrary, about 45 per cent of the programs overrated their performance against the selected indicators. It proves to be difficult to measure performance in cases where targets and baselines were not defined or in cases where PIs did not fulfill the SMART criteria. Some examples of vague PIs were counting the number of decisions, increased number of debates or number of processes. In such cases even a minor increase would have been an achievement, though the quality of improvements was not captured.

55. Examples of limitations found:

- (a) For those PIs requiring an outcome/impact analysis the necessary monitoring tools were not developed when designing the RF;
- (b) When baselines and targets were not defined;
- (c) PI referred to an increased number of countries, decisions, parties and so on, but no baseline or target was provided;
- (d) Attribution to the efforts of the program was in doubt;
- (e) Monitoring systems; and tools were not developed; and
- (f) Monitoring data was not gathered to provide meaningful reporting against the PI and ER.

(ix) Use of the results framework for internal management and performance reporting (16 Yes/13 No)

56. In order to assess the use of the RF, the validation drew on internationally recognized RBM definitions. As defined by the World Bank, the objective of RBM is to provide a coherent framework for strategic planning and management based on learning and accountability in order to improve management effectiveness. RF are first used as management systems and second, as performance reporting systems.<sup>5</sup>

57. As in the case of past validation exercises, this validation asked staff responsible for reporting against the randomly selected PIs to assess the level of usage of their RF. Based on interview results, about 55 per cent of the programs were of the perception that the information reported is used for decision-making purposes by various stakeholders including the SMT. This is an important improvement on the level of use of the RF compared to 21 per cent of the programs in the 2008/2009 biennium.

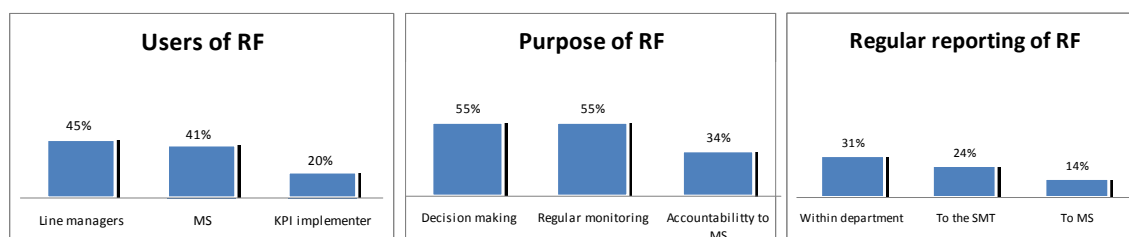
58. However, when the same respondents were asked the question on whether they themselves did use the information for program specific decision making, only 20 per cent of the respondents provided an affirmative response. This indicated that increased ownership does not necessarily result in an increased use of the information for internal management and decision-making purposes. This lack of correlation may be due to the fact that RF by programs:

- (a) Are in most cases the result of a process which by its nature requires a compromise among various stakeholders; and
- (b) May be modified by others in a non participative manner and without previous notification after initially being developed by the implementers.

59. The graphic below provides an overview of PD users, purposes and reporting:

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<sup>5</sup> Note on RBM, Operations Evaluation Department, World Bank 1997.



60. **Examples of good practices found where:** The RF and monitoring systems were developed in close cooperation with responsible staff and were essential for management and decision making purposes within the program. This was the case of programs 7, 11, 15, 24.4 and 29. These programs were engaged in the development of their monitoring tools and reports and use this information regularly as part of their day-to-day business.

61. Examples of limitations found where:

- (a) Regular reports were requested but no feedback was provided on the reports and they were not used for any decision-making purposes. As a result reports are seen as a burden;
- (b) Monitoring tools and reports were only prepared for the purpose of reporting on the PPR; and
- (c) In house developed monitoring systems/databases do mostly compile information but they do not necessarily facilitate the analysis of data. This is the case of the WIKI IT tool, used by staff for compiling PD and records but the tool has not been designed to be a monitoring tool. There are other monitoring tools that were identified during the validation but most of those have limitations when trying to analyze PD for decision-making purposes.

(x) Sense of ownership of the results based framework (20 Yes/9 No)

62. As with past validation exercises, this one asked those responsible for reporting against the randomly selected PIs, to determine:

- (a) The extent to which they had devised their RF;
- (b) Whether they felt ownership on the RF;
- (c) If they felt that the Organization has supported them in this process; and
- (d) Whether ownership resulted in using the RF for decision making.

63. Based on the interview results, the levels of ownership have significantly increased from 34 per cent in the 2008/2009 biennium to 69 per cent in 2010/2011. About 66 per cent of respondents indicated that the Organization provided them with some guidance in the selection/design of their RF and of linking these to the higher medium terms strategic goals. Based on interview notes, about 24 per cent of the respondents indicated that one-to-one training and/or coaching was provided during the development of their RF<sup>6</sup>.

<sup>6</sup> In a memo sent by the Resource Planning, Program Management and Performance Division, it was stated that 10 customized RBM workshops were organized for a total of 110 participants in 2010. A general satisfaction was recorded in the survey organized by PMPS.



64. The key factors that had some negative impact on the sense of ownership of PIs were:

- (a) Frequent organizational changes leading to staff inheriting PIs and ERs which they did not design; and
- (b) Some staff felt that PIs which were agreed in the design phase were modified thereafter without their consent during the finalization phase of the performance framework.

65. **Examples of good practices identified by interviewed managers** where RF and monitoring systems were developed in close cooperation with responsible staff, where they were essential for management and decision making purposes within the program and where the guidance provided by the Organization was rated as helpful and useful. This was clearly the case e.g. for program 7.

66. Examples of limitations highlighted by interviewed managers where:

- (a) RBM training provided by the Organization was considered being too general<sup>7</sup>;
- (b) RF was developed with responsible staff and support was provided but monitoring guidance (tools for collecting data, monitoring systems, etc.) was not provided;
- (c) PIs were inherited and those who developed the RF were no longer within the Organization or the program;
- (d) PIs, which were prepared by staff responsible for implementing the activities, were modified without consultation with the program concerned;
- (e) Programs dealing with complex issues were required to fit their work into a linear RF;
- (f) RF was the result of a compromise since it has to satisfy not only internal but external needs for information;
- (g) RF was seen as an administrative exercise; and
- (h) Development of the RF was not done in a participatory manner mainly due to time constraints such as tight deadlines.

## 5. PPR VALIDATION CONCLUSIONS

67. PD provided by 20 out of 29 programs (70 per cent) were partially relevant and valuable while only eight programs (27 per cent) provided PD sufficiently meeting this criterion. Additionally, the use of PD gathered for reporting on the PIs is confined to the function of reporting on performance and not used for management and learning purposes. More precisely the validation exercise concludes that:

- (a) There is a perception by 20 per cent of program managers that the reporting on PIs is a mandatory administrative process leading to low ownership and limited use of the framework for management purposes;

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<sup>7</sup> Survey conducted by PMPS yielded different results. See the footnote above.

(b) PIs and monitoring tools are often weakly designed and therefore of little value to measure progress against program objectives; and

(c) There is need for facilitated workshops and coaching of staff responsible for designing, planning, monitoring and reporting on PIs of the performance framework.

#### A. PPR PERCEIVED AS AN ADMINISTRATIVE PROCESS

68. Lack of adequate level of engagement of program staff in designing their RF has a direct impact on the performance measures which are neither relevant/valuable nor have the causal link between the lower level indicators and higher level strategic ones clearly defined. This was specifically seen in the case of PIs related to rather complex norm-setting activities in which case Member States have an active role in driving the process including development of performance measures.

69. The actual use of the programs' RF and PD by those in charge of reporting is still low within WIPO since RF are neither seen nor developed as a planning and management tool but rather as an administrative reporting tool. Additionally, PD and information used to report is not being produced regularly enough to track progress and performance measures agreed on the P&B document are not necessarily meaningful and valuable for management, decision making and learning purposes. This was reflected through the failed attempts to enhance the use of performance measures for management purposes by including those as part of quarterly reporting to the SMT.

#### B. WEAKLY DESIGNED PROGRAM PERFORMANCE MEASURES AND MONITORING TOOLS

70. Through the sample reviewed, 45 per cent of WIPO programs face challenges in gathering, analyzing and presenting sufficient and comprehensive data in support of performance measures. In the view of the majority of those interviewed stakeholders, this is mainly due to the lack of:

(a) Assigning due importance to program performance management;

(b) Measuring progress and making constant improvements in program delivery;  
and

(c) Proper management tools to facilitate better collection, monitoring and analysis of PD.

71. Weak performance measures and the absence of guidance for monitoring and reporting against overly complex PIs has negative implications on the clarity and transparency of information used to report.

72. During the validation of the 2010/2011 PPR, key factors that weakened the sense of ownership of PIs identified were:

(a) Frequent organizational changes leading to staff inheriting PIs and ERs which they did not design; and

(b) Some staff felt that PIs which were agreed in the design phase were modified thereafter without their consent during the finalization phase of the performance framework.

### C. PERFORMANCE MANAGEMENT CULTURE IS STILL EVOLVING

73. As pointed out in the previous validation report of the 2008/2009 PPR (document A/48/21), changes in ERs and PIs from one biennium to the next continued. This may be interpreted as a positive process of constant refinements and improvements of the RBM framework rather than a limitation. In most cases, the changes have led to improved ER, PIs and realistic baselines and targets. RBM at WIPO is still in its development phase and hence further refinements of ER, PI and baselines will be undertaken until a sound performance management culture is well established within the Organization. IAOD takes note that the 2012/2013 P&B document is of much better quality compared to the 2010/2011 biennium and further refinements are expected to take place in the 2014/2015 biennium as part of planned improvements of the RBM framework so that performance management culture takes root at WIPO.

### D. LACK OF FACILITATED WORKSHOPS DURING THE DESIGN PHASE OF THE PERFORMANCE FRAMEWORK AND MONITORING TOOLS

74. RBM training was provided to staff but in a standardized manner which limited the enabling environment for participation and ownership of RF.

## 6. PPR VALIDATION RECOMMENDATIONS

75. The following recommendations are made based on the documentary evidence provided by the various WIPO programs coupled with consultations undertaken with staff in charge of implementing the randomly selected PIs:

**76. Recommendation 1: Quality assurance of PD needs to be further strengthened during the 2012/2013 biennium (for PMPS and the Department of Finance and Budget) by improving the quality and relevance of the RF.**

77. As outlined in its mandate, PMPS, in close cooperation with the Office of the Chief Financial Officer, should take the lead in developing robust monitoring systems for enabling an effective quality assurance of the RF and PPRs with a view to a more effective implementation of program delivery across the Organization.

78. Regular management reporting can only become useful for management, if the RF and required information are meaningful and used for decision-making purposes. Therefore, in order to strengthen the quality of the RF and PD the following should be considered:

- (a) Programs should have clear objectives from the start and a causal link should be established between higher and lower level indicators;
- (b) Performance measures should include SMART expected results, PIs as well as realistic baselines and targets;
- (c) Monitoring systems should be adequate, useful, relevant and efficient for data gathering, analysis and reporting; and
- (d) Performance reporting should be done in an accurate and transparent manner as mentioned in the validation criteria. This includes accuracy of TLS.

**79. Recommendation 2: Strike the right balance between the RF as a reporting tool and a management tool (for PMPS and PMs) by identifying SMART performance measures;**

80. In order to strike the right balance between:

- (a) Performance reporting for the purpose of management and
- (b) For the purpose of decision-making and learning.

81. Performance measures defined in future P&B documents (starting with the 2014/2015 biennium), should be the same as those:

- (a) Used for internal management and monitoring purposes by PMs; and
- (b) Considered relevant for decision making purposes by the PMs.

82. A more balanced use of the RF will contribute to the enhancement of ownership and better use of the RF and PD.

**83. Recommendation 3: Enhance monitoring support and guidance to program managers and staff, through facilitated workshops, with a view to designing, improving and implementing SMART performance measures and strengthening RBM within the Organization (for PMPS and Performance Management Training and Development Section).**

84. A more participatory approach needs to be adopted by Senior Management to increase buy-in by program managers and staff in designing, revising and implementing performance measures and monitoring systems/tools which will further enhance the sense of ownership and effective use of RF.

85. Interactive training programs including facilitated workshops should be part of regular implementation plan of the RF with a view to:

- (a) Defining SMART PIs that have clear and logical causal linkages between lower level output indicators and higher level outcome/impact indicators;
- (b) Identifying realistic baselines and targets, to measure progress against performance measures;
- (c) Providing guidance on how best to implement and improve program delivery throughout the biennium; and
- (d) Designing monitoring systems and tools that enable programs to gather, analyze and report against performance measures.

**86. Recommendation 4: Deadlines for submission of individual and consolidated PPR should be set well in advance enabling for validation of a final PPR for the 2012/2013 biennium (for PMPS and IAOD).**

87. In order to provide assurance to the Member States on the accuracy and completeness of PPR, timelines should be set in a way to enable independent validation to be conducted on a final PPR report<sup>8</sup>.

## 7. FOLLOW UP ON STATUS OF IMPLEMENTATION OF RECOMMENDATIONS OF THE PAST VALIDATION REPORTS

Fully implemented	
Partially implemented	
Not implemented	

Recommendations Contained in the Validation Reports of the 2008 PPR and 2008/09 PPR	Status	Comments on status of implementation of recommendations
<p><b>Recommendation 1:</b></p> <p>A review should be carried out to determine the extent to which PI Data (PID) can be more utilized. Depending on the extent to which this is considered to be a priority for senior management, stronger monitoring systems should be expected and encouraged for the practical integration of the results-based approach into day-to-day management, to complement the existing emphasis of RBM on financial planning and reporting to Member States.</p>		<p>About 55 per cent out of 29 respondents were of the perception that a review recommended in previous PPRs has been carried out. Based on the recommendation workshops were conducted in 2010. Overall, the respondents were of the perception that the RF has been better aligned towards the strategic objectives and PIs are more measurable for 2012/2013. In general there is a perception (55 per cent) from those reporting against the PIs that information reported is used for decision-making purposes by various stakeholders including the SMT. However, it is not necessarily being used by those (20 per cent) reporting against the PIs. Quarterly reporting against these measures was discontinued.</p> <p>This recommendation will be considered implemented when a review on the regular utilization of PD is carried out and stronger monitoring systems which are being developed will be fully in place.</p>
<p><b>Recommendation 2:</b></p> <p>If and when PID becomes increasingly used for internal monitoring purposes, supervising managers should have a more visible role in supporting the development and maintenance of robust monitoring systems. They will also be influential in establishing strong and clear links between program level objectives and overarching organizational strategic goals and objectives.</p>		<p>As stated above in recommendation 1, about 45 per cent of the programs do not use PID for internal monitoring purposes. Consequently, supervising managers do not have a more visible role supporting the development and maintenance of robust monitoring systems during the 2010/2011 biennium. For the P&amp;B document for 2012/2013 stronger and clear linkages between ER and PI and organizational strategic objectives have been established. This recommendation will be considered fully addressed if program managers use PD for internal monitoring purposes as well as robust monitoring systems are put in place.</p>

<sup>8</sup> At the time of the writing of this validation report, final draft of the PPR for the 2010/2011 biennium, sent to IAOD on June 22, 2012, contained some modifications which were taken into account in the finalization of this report.

Recommendations Contained in the Validation Reports of the 2008 PPR and 2008/09 PPR	Status	Comments on status of implementation of recommendations
<p><b>Recommendation 3:</b></p> <p>Specific assistance to supervising and implementing managers and teams should include: Increased technical support for the development of appropriate, computerized data collection, analysis and reporting tools;</p>		<p>The results of the validation review coupled with interviews indicated that only 38 per cent of the respondents have been provided with technical support for the development of appropriate computerized data collection, analysis and reporting tools. However, the validation exercise found that in the absence of centralized efficient and effective monitoring tools that facilitate data analysis and reporting, programs have started to create their own systems. It is to note that 5 out of 29 programs indicated that their PIs are straightforward and therefore there was no need for having such a monitoring system. Nevertheless, this recommendation still needs to be addressed until such time that all programs are provided with sufficient support for fit-for purpose computerized data collection, analysis and reporting tools.</p>
<p><b>Recommendation 4:</b></p> <p>Specific assistance to supervising and implementing managers and teams should include:</p> <p>Customer/user feedback as a useful qualitative measure of performance should be agreed only when adequate systems for supporting the collection of data are available, preferably a more coordinated collation and analysis across the programs, building, possibly, on the proposed Customer Service initiative.</p> <p><i>(for the PMPS and SMT Champions for Customer Service Orientation)</i></p>		<p>About 45 per cent of the respondents indicated that this recommendation has been implemented. However written records were not found within the Organization during the validation process. Overall, the validation identified that feedback has to be gathered for 2012/2013 in about 20 PIs cases. However, so far neither the programs nor a central unit have initiated the coordination of data collection. Staff was not yet clear on how to approach this task nor has a central department contacted them to agree a way forward. Recommendation will be considered implemented when adequate systems for collection of data are available to all programs.</p>
<p><b>Recommendation 5:</b></p> <p>Specific assistance to supervising and implementing managers and teams should include:</p> <p>Continued one-to-one training and advice in the understanding and application of good practice standards in performance planning and monitoring systems;</p>		<p>Although RBM training was provided, only 24 per cent of the respondents indicated that they have participated in the one-to-one training. PMPS stated that one-to-one coaching continues as part of the daily work. However, as this might not be the most cost-efficient way to address training needs, further workshops will be provided in the future.</p> <p>Overall, staff was very satisfied with the support provided by PMPS in this regards. PMPS provided training for 110 staff. This recommendation will be considered fully implemented when further facilitated workshops and coaching for programs will be provided.</p>

Recommendations Contained in the Validation Reports of the 2008 PPR and 2008/09 PPR	Status	Comments on status of implementation of recommendations
<p><b>Recommendation 6:</b></p> <p>Specific assistance to supervising and implementing managers and teams should include:</p> <p>The development of a monitoring tool that is capable of identifying overall progress against key objectives and indicators on a routine basis, e.g. quarterly, for the SMT.</p> <p>The clear and explicit reporting of progress, using the performance measures in the P&amp;B, should be incorporated in routine quarterly reporting to the SMT. However, this may be difficult at the present time given the complexity of the current performance framework.</p>		<p>Only 20 per cent of respondents expressed their opinion that this recommendation has been addressed. The Organization introduced quarterly reports. However, they were discontinued some time after their introduction.</p> <p>It is to note that this recommendation can only be effective if RF are developed not only for reporting but also management purposes. (See recommendations above).</p> <p>Recommendation is still to be addressed. The recommendation will be considered implemented when quarterly reporting on progress using the performance measures to SMT is incorporated</p>
<p><b>Recommendation 7:</b></p> <p>A priority should be given in the 2010/2011 Biennium to evaluating closely the quality and appropriateness of these (<i>performance</i>) measures with a view to identifying fewer and more meaningful objectives, indicators and targets for the following biennium. For the MTSP a "balanced scorecard" approach may be very beneficial; (<i>for the SMT</i>)</p>		<p>About 65 per cent of the respondents are of the perception that this recommendation has been implemented. Evidence of improvements can be found in the P&amp;B document 2012/2013 where fewer indicators and targets have been identified. This validation could not assess the quality of the RF for 2012/2013.</p> <p>About 97 per cent of the respondents were not aware of whether monitoring of the progress or an approach for measuring progress against the MTSP has been developed. Written evidence was not found during the validation period.</p> <p>IAOD will consider this recommendation implemented once a monitoring system for tracking progress against MTSP is in place.</p>
<p><b>Recommendation 8:</b></p> <p>In order to encourage more dynamic and challenging performance measures, the explicit identification of assumptions and risks that will affect the achievement of results should be recorded alongside the specific objectives, indicators and targets; (<i>for the PMPS</i>)</p>		<p>Assumptions and risk have been defined as part of the P&amp;B document 2012/2013.</p> <p>Recommendation has been fully implemented.</p>
<p><b>Recommendation 9:</b></p> <p>Given the greater experience of the validation process now acquired by managers, and the improvements seen in the practical possibilities of validating the ERs, sample ERs should be selected on a random, rather than a screened, basis to be able to have a truer representation of the quality of reporting; (<i>for IAOD</i>)</p>		<p>Under the supervision of IAOD program managers and delegates selected randomly one PI per program for the validation of the 2010/2011 PPR.</p> <p>The validation exercise did randomly select one PI per program instead of one ER per program.</p> <p>Recommendation has been fully implemented.</p>
<p><b>Recommendation 10:</b></p> <p>The detailed timetable for finalizing individual PPRs and the overall PPR should be set out; (<i>for PMPS</i>).</p> <p>A clear and agreed timetable for the finalization and validation of PPRs will help ensure that sufficient time is given for both processes to be carried out consecutively rather than concurrently.</p>		<p>Currently individual PPRs and overall PPR are done concurrently. This does not allow IAOD to undertake a validation on a final PPR. IAOD will consider this recommendation implemented when a clear and agreed timetable for the finalization and validation of PPRs is set to give sufficient time for both exercises to be carried out consecutively rather concurrently.</p>

<b>Recommendations Contained in the Validation Reports of the 2008 PPR and 2008/09 PPR</b>	<b>Status</b>	<b>Comments on status of implementation of recommendations</b>
<p><b>Recommendation 11:</b></p> <p>It is not proposed to carry out a validation exercise for the interim 2010 PPR of the 2010/2011 P&amp;B. The performance framework is currently designed for a biennial view of performance and a validation of the interim results is not likely to be fully useful. Should detailed budgeting and the performance framework become annual, this policy will be revised. (for IAOD)</p>		<p>Validations are carried out on a biennial basis as recommended.</p>

[Annexes follow]



## DEFINITION OF VALIDATION CRITERIA

In order to facilitate the validation process the validation team applied an adapted version of the “Good practice criteria for data systems” defined by the UK National Audit Office<sup>9</sup>. The PD and information used for reporting on program delivery should be:

1. **Relevant and valuable** to what the Organization is aiming to achieve according to performance measures. The quantification and reporting shall include information that covers all significant aspects of performance expressed in the ERs and PIs. Data collection methods, criteria and assumptions shall not be misleading. Data and assumptions that do not have an impact on the validation opinion shall not be included.
2. **Sufficient/comprehensive** to reveal the extent of progress made against the performance measure. PD shall include all the information that was available to make a comprehensive assessment to report against the performance measures.
3. **Efficiently collected/easily accessible**. Appropriate systems shall be in place to record, access, report and analyze the data required to report against the performance measures.
4. **Consistent and comparable**. Information shall address comparable key PIs that enable meaningful comparisons. The principle of consistency shall not prevent the use of more accurate procedures or methods as they become available. However, any change in procedures and methods shall be transparently documented and justified. Consistency is satisfied by:
  - (a) Application of the requirements of the methodology over different periods;
  - (b) Similarity of application of available guidance and knowledge among Projects and programs with similar characteristics such as application of methodology, use of technology, time period and regional similarities;
  - (c) Applying tests and assumptions equally across potential baseline scenario; and
  - (d) Ensuring equivalent application of principles used for expert judgment, internally and externally, over time and among projects and programs.

Comparability is only possible if there is continuity of information with either past periods or similar programs elsewhere. There are a number of reasons why comparability and continuity of measurement is important. Firstly, achieving program performance improvement may involve serious and structural change of the kind that is unlikely to be delivered over the short-term. Such changes will usually take a while to “bed-in” and start affecting results. Secondly, changing how program performance is measured can lead to confusion and lack of focus amongst staff and uncertainty over what they are working towards. Thirdly, in order to make judgments about how the Organization is doing, it is useful to have a good run of comparable information. If programs change what is being measured, it will be difficult to make year on year comparisons.

5. **Accurate and verifiable** enough for its intended use, and responsive to change with clear documentation behind it, so that the processes which produce the measure can be validated. The principle of accuracy requires reduction in bias and uncertainty as far as is practical. Accuracy and verifiability with reference to the validation is required at two levels.

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<sup>9</sup> Choosing the right fabric. A framework for performance information, Cabinet Office & HM Treasury, March 2001

- (a) The first relates to the accuracy and written/documented i.e. physical evidence of quantitative data and information; and
  - (b) The second relates to accuracy and written/documented i.e. physical evidence of non-quantitative information.
6. **Timely**, producing information regularly enough to track progress, and quickly enough for the information to still be useful.
7. **Clear and Transparent** is to disclose information to allow intended users to understand and to make decisions with reasonable confidence. Transparency relates to the degree to which information is seen to as being reported in an open, clear, factual, neutral and coherent manner based on documentary evidence. Information shall be recorded, compiled and analyzed in a way that will enable internal reviewers and external intended users to attest its credibility. Transparency requires, *inter alia*:
- (a) Clearly and explicitly stating and documenting all assumptions;
  - (b) Clearly referencing background material;
  - (c) Stating all calculations, methodologies and all information used;
  - (d) Clearly identifying all changes in documentation;
  - (e) Compiling and documenting information in a manner that enables independent validation;
  - (f) Documenting the explanation and/or justification (e.g. choice of procedures, methodologies, parameters, information sources, key factors, sampling criteria);
  - (g) Documenting the justification of selected criteria;
  - (h) Documenting assumptions, references and methods such that another party can reproduce reported information; and
  - (i) Documenting any external factors to the project that may affect the decisions of intended users.
8. A further criterion to assess reporting of performance measures includes:
- (a) **Accuracy of the TLS.** The TLS has a separate function and is not strictly part of the PD. An assessment of accuracy was made on the basis of whether the ratings could be justified on the basis of information presented in the PD reported as part of the 2010/2011 PPR.

[Annex II follows]

### RANDOM SAMPLING MEETINGS

A random sampling of a PI per program was conducted by the WIPO SMT Members or their alternates in the presence of IAOD staff.

Date	Program Participant	Title	Program Name
20.03.12	Mr. Clarke	Assistant Director General, Culture and Creative Industries Sector	Program 3-Copyright and Related Rights
21.03.12	Mr. Onyeama	Deputy Director General, Development Sector	Program 8-Development Agenda Coordination Program 9- Africa, Arab, Asia and the Pacific, Latin America and the Caribbean Countries, Least Developed Countries Program 10- Cooperation with Certain Countries in Europe and Asia
21.03.12	Mr. Takagi	Assistant Director General, Global Infrastructure Sector	Program 12- International Classification and WIPO IP standards Program14-Global IP Information Services Program15-IP Office Modernization
22.03.12	Mr. Wichard	Deputy Director General, Global Issues Sector	Program4- Traditional Knowledge, Traditional Cultural Expressions and Genetic Resources Program7- Arbitration, Mediation and Domain Names Program10- Cooperation with Certain Countries in Europe and Asia Program17- Building Respect for IP Program18- IP and Global Challenges Program19- Communications Program20- External Offices and Relations
22.03.12	Ms. Kadri	Secretary, IAOD	Program26-Internal Audit and Oversight
23.03.12	Mr. Ignasse	Senior Administrative Officer, Global Infrastructure Sector	Program2- Trademarks, Industrial Designs and Geographical Indications Program6- Madrid, Hague and Lisbon Systems
26.03.12	Ms. Bachner	Head, PMPS	Program22- Finance, Budget and Program Management
28.03.12	Ms. Dayer	Acting Director, Human Resources Management Department	Program23- Human Resources Management and Development
28.03.12	Mr. Rainey	Director, Innovation Division	Program5- The PCT system Program30- Small and Medium Enterprises
29.03.12	Mr. Fink	Chief Economist, Economics and Statistics Division	Program16-Economic Studies, Statistics and Analysis
29.03.12	Mr. Prasad	Executive Director and Chief of Staff, Office of the Director General	Program21-Executive management
30.03.12	Mr. Rai	Director, Conference and Language Department	Program27-Conference and Languages Services
30.03.12	Mr. Lei	Chief Information Officer	Program25-Information and Communication Technology
02.04.12	Mr. Baechtold	Director, Patent Law Division	Program1- Patents
02.04.12	Mr. Donovan	Acting Head, Safety and Security Coordination Service	Program28-Security
02.04.12	Ms. Boutillon	Director, Premises Infrastructure Division	Program29- New Construction
18.04.12	Ms. Gamble	Administrative Assistant, Office of the Assistant Director General	Program24-Administrative Support Services

[Annex III follows]



**LIST OF MEETING FOR VALIDATION EXERCISE**

Interviews were conducted by IAOD staff following a standardized interview protocol.

<b>Date</b>	<b>Program Participants</b>	<b>Title</b>	<b>Program Name</b>
05.04.12	Ms. Lung	Senior Counselor, Copyright Law Division	Program 3-Copyright and Related Rights
13.04.12	Mr. Hopperger	Director, Law and Legislative Advice Division	Program2-Trademarks, Industrial Designs and Geographical Indications
	Ms. Friedli	Head of Trademark Law Section	
16.04.12	Mr. Bisson	Head, The Hague Registry	Program6-Madrid,Hague and Lisbon systems
17.04.12	Mr. Lei	Chief Information Officer	Program25-Information and Communication Technology
17.04.12	Mr. Ghandour	Senior Program Officer, Development Agenda Coordination Division	Program8-Development Agenda Coordination
17.04.12	Mr. Di Pietro	Director, WIPO Academy	Program11-The WIPO Academy
	Mr. Kongolo	Acting Deputy Director and Head of the Professional Development Program	
18.04.12	Mr. Donovan	Acting Head, Safety and Security Coordination Service	Program28- Security
18.04.12	Mr. Farassopoulos	Head, International Classifications and WIPO Standards Service	Program12-International Classifications and WIPO IP Standards
19.04.12	Mr. Roache-Turner,	Head and Legal Officer Domain Name Dispute Resolution Section	Program7- Arbitration, Mediation and Domain Names
	Mr. Rios,	Legal Officer of the Domain Name Dispute Resolution Section	
	Mr. Rattray	Head, Information and External Relations Section	
20.04.12	Ms. Adam	Administrative Assistant,	Program21-Executive management
	Mr. Thom	Senior Advisor , Office of the Director General	
23.04.12	Ms. McLeod	Head, WIPO Library	Program19-Communications
25.04.12	Mr. Guiramand	Head, Performance Management, Training & Development Section	Program23-Human Resources Management and Development
25.04.12	Mr. Saadallah	Executive Director, Department of External Relations and	Program20-External Offices and Relations
	Mr. Bradley	Head of Intergovernmental Organizations and Partnerships Section	
26.04.12	Mr. Roca Campaña	Senior Director-Advisor, Office of the Assistant Director General	Program14- Global IP Information Services
27.04.12	Mr. Rai	Director, Conference and Language Department	Program27-Conference and Language Services
	Ms. Chadarevian	Head, Language Division	
27.04.12	Ms. Cook Robbins	Head, Finance Services, Head Budget Section	Program22-Finance, Budget and Program Management
	Ms. Bona		
27.04.12	Mr. Krattiger	Director, Global Challenges Division	Program18-IP and Global Challenges
	Mr. Bartels	Senior Program Officer of the Global Challenges Division	

<b>Date</b>	<b>Program Participants</b>	<b>Title</b>	<b>Program Name</b>
27.04.12	Ms. Van Greunen Ms. Min	Director, Building Respect for IP Division Head of the Development Section	Program17-Building Respect for IP
30.04.12	Mr. Fink	Chief Economist, Economics and Statistics Division	Program16-Economic Studies, Statistics and Analysis
30.04.12	Mr. Rainey	Director, Innovation Division	Program30- Small and Medium Enterprises
01.05.12	Ms. Boutillon	Director, Premises Infrastructure Division	Program24-Administrative Support Services Program29-New Construction
01.05.12	Mr. Svantner Mr. Gribkov	Director and Program Officer, Division for Certain Countries in Europe and Asia	Program10- Cooperation with Certain Countries in Europe and Asia
01.05.12	Mr. Ntchatcho Ms. Wege Ms. Nyerere Mr. Ngoubeyou	Senior Director, Deputy Director, Senior Program Officers, Regional Bureau for Africa	Program9- Africa, Arab, Asia and the Pacific, Latin America and the Caribbean Countries, Least Developed Countries
02.05.12	Mr. Wendland	Director, Traditional Knowledge Division	Program4- Traditional Knowledge, Traditional Cultural Expressions and Genetic Resources
02.05.12	Mr. Baechtold	Director, Patent Law Division	Program1- Patents
03.05.12	Mr. Meredith Ms. Neyroud	Director and Senior Administrative Assistant, Infrastructure and Modernization Division	Program15- IP Office Modernization
04.05.12	Mr. Matthes	Director, PCT Business and Development Division	Program5- The PCT system
04.05.12	Mr. Efendioglu	Head, Internal Audit Section	Program26- Internal Audit and Oversight

[Annex IV follows]

## VALIDATION ASSESSMENTS INCLUDING RATINGS

Sufficiently meets criteria	
Partially meets criteria	
Did not meet the criteria	

**Program 1 - Performance Indicator:** Increased number of debate on, and use of, the legal principles of the patent system

<i>Criteria for PD</i>		<i>Comments/data limitations</i>
Relevant/valuable		PD provided for assessment was partly relevant and valuable for a sound assessment as it lacks information on use of the legal principles of the patent system.
Sufficient/comprehensive		PD was extensive, sufficient and detailed about the activities undertaken in 2010/11.
Efficiently collected/ easily accessible		PD is partially available on-line as it relates to Member States Reporting and a major portion of it is maintained in the program 1 for internal reporting purposes to the line management and the DG
Consistent/comparable		PD gathered, analyzed and reported on for ERs in 2010 and 2011 has been modified in 2012/13 with a view to making more effective ERs and SMART Key PIs (KPIs) to measure them more effectively. KPI was developed in 2010.
Accurate/verifiable		Performance information provided can be verified through records available on WIPO Intranet and through reporting based on factual evidence maintained in the program. But as it stands, the KPI is not very tangible to measure.
Timely reporting		In terms of regular external and internal reporting, the PD has been reported to the DG, DGG responsible for program 1 and Member States.
Clear/transparent		PD has been disclosed in clear transparent way to allow for a partial review and analysis of the requirements of the PI.
Accuracy of TLS		Due to lack of impact analysis of activities undertaken by program 1 to assess whether the ER was achieved through the specific PI, PD have met partially the criteria to assess performance.

**Program 2 - Performance Indicator:** Issues limiting implementation of the Singapore Treaty and the benefits resulting from such implementation have been identified.

<i>Criteria for PD</i>		<i>Comments/data limitations</i>
Relevant/valuable		PI is output focused and not defined in an SMART manner. Additionally, PD does not fully address the information needs of the PI and ER. The provided documentation although valuable for monitoring purposes is only partially relevant to report against the selected PI. The issues limiting the implementation of the Singapore Treaty and the benefits resulting from such implementation have been identified only to a marginal extent.
Sufficient/comprehensive		The provided documentation used for monitoring purposes is not sufficient and comprehensive to report against the PI and ER. The data used to report against the PI needed to be further elaborated in order to fully address the specific requirements of the PI.

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Efficiently collected/ easily accessible		Mission and seminar reports, as well as reports provided to the Singapore Treaty on the Law of Trademarks (STLT) Assembly are used as part of the monitoring data and are easily accessible. From the 17 reports provided only three mentioned a few limitations and benefits. The other reports do not refer to the benefits and limitations at all. The few limitations and benefits mentioned in the various reports have not been systematically listed, i.e. the information has not been efficiently collected and the few key messages provided in this regard are not easy identifiable.
Consistent/comparable		The PI and ER result were included in the P&B document for 2010/2011. However, they have been discontinued in 2012/2013 making comparison not possible. Reasons for dropping the PI have not been officially recorded in any of the provided documentation.
Accurate/verifiable		Since the provided documentation is not fully relevant to report against the PI and ER, it can be concluded that the verification based on the existing documentation is not feasible.
Timely reporting		The monitoring reports used to report against the PI are only gathered for the purposes of the PPR and it is provided in a timely manner on an annually basis. Regular reporting on this information has not been required. However, the mission reports are considered most useful for management purposes.
Clear/transparent		Although the monitoring data in the form of reports was provided, this data does not fulfill the information requirements of the PI. A list of the benefits and limitations was not provided but instead the information had to be identified in 17 reports from which only three highlighted to a marginal extend a few benefits and limitations. Overall the presented information was not sufficiently clear and transparent to be used to report against the PI.
Accuracy of TLS		Taking into consideration that the "Issues limiting implementation of the Singapore Treaty and the benefits resulting from such implementation" have been identified only to a marginal extent. The vast majority of the reports were not relevant for the purpose of reporting against the PD, it can be concluded that the target has only been partially achieved.

**Program 3 - Performance Indicator: Decisions and requests resulting from the SCCR**

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		The PD is relevant to report against the approved PI but not necessarily valuable as the PI is not necessarily meaningful and specific enough to report against the ER. Its formulation and purpose are not necessarily clear.
Sufficient/comprehensive		Since the approved PI has not been clearly formulated and the baseline is about counting the number of decisions, it can be concluded that the provided PD is sufficient. However, counting the number of decisions rather than reporting on the quality of decisions does not necessarily indicate that the program is achieving its ER.
Efficiently collected/ easily accessible		The information used to report against the PI is available on the Internet and can be found on the reports of the Standing Committee on Copyright and Related Rights (SCCR).
Consistent/comparable		It is not possible to compare the PD over the years. The PI was approved as part of the 2010/2011 P&B document and it has been discontinued in the 2012/13biennium.
Accurate/verifiable		The PD provided is accurate and verifiable. Cross checking of information was done as information was easy accessible.
Timely reporting		The information was produced in a timely manner.
Clear/transparent		The data used to report is transparent and can be found on official SCCR reports but it lacks clarity as to which decisions or request are counted to measure performance against the PI.
Accuracy of TLS		In the absence of well defined targets and taking into consideration the weaknesses of the PI, it can only be concluded that the TLS is accurate. However, PD has partially met the requirements in the absence of a SMART PI.



**Program 4 - Performance indicator: Number of processes of other international fora and agencies which explicitly recognize WIPO's distinct technical IP expertise and input.**

Target: Four

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		PD provided is relevant to the PI but not necessarily valuable to report against the ER since the PI is not specific enough and leaves too much space for interpretation especially when it comes to counting the number of processes. For 2012/2013, this PI has been discontinued.
Sufficient/comprehensive		The PD provided was sufficient and comprehensive taking into consideration the limitations of the PI.
Efficiently collected/easily accessible		The program has kept a very good record list of most of its activities facilitating the follow up. The program provided the required documentation (e.g. mission reports) to the validation team. However, these were not easily accessible due to lack of monitoring systems to enable effective data gathering.
Consistent/comparable		This PI was introduced as part of the P&B document 2010/2011 and has been discontinued in the P&B document 2012/2013. Consequently, the PD is not comparable from one biennium to another.
Accurate/verifiable		Since the data was not easy to compile, the validation just verified the accuracy of the missions outside Geneva for that mission reports were requested and information was accurate and verifiable. Overall, providing WIPO staff with access to a data base to all the mission reports gathered as part of the travel authorization process might facilitate data compilation.
Timely reporting		Since the PD is only required as part of the PPR, it can be concluded that the report has been provided in a timely manner.
Clear/transparent		PD has not been clearly formulated since PI was weakly defined. Nevertheless, the program has made all possible efforts to keep records and reports available.
Accuracy of TLS		Taking into consideration that the PI is not necessarily SMART <sup>10</sup> and that it is not clear to which specific processes it refers to, it can be concluded that the target has been achieved. It is recommended for the future P&B documents 2014/2015 to assure that the PIs are SMART and meaningful to measure achievement against ERs.

**Program 5 - Performance Indicator: Feedback from Member States on the quality of the proposals.**

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		The PD is partially relevant for the purpose of reporting against the PI and ER but not necessarily valuable. The current PI is not SMART and it does not provide a meaningful representation of the work of the division. In order to make the PD valuable and relevant for decision making purposes, it would be necessary to identify a SMART direct indicator which would enable a clear representation of the work the program is doing.
Sufficient/comprehensive		Taking into consideration the existing limitations the program had when measuring this PI and the lack of documented feedback, it can be concluded that the PD is not sufficient and comprehensive.
Efficiently collected/easily accessible		Does not apply since no data has been collected for reporting purposes.
Consistent/comparable		The PD is consistent over the years. However, there is not much that can be compared apart from having a general satisfaction statement. The wording of the PI was modified in the 2012/13 biennium PB document.
Accurate/verifiable		Without records, the validation cannot check accuracy of the information and the verification is not possible.
Timely reporting		Since the PD is required only for the purpose of the PPR, it can be concluded that the report has been done in a timely manner.
Clear/transparent		In the absence of records, it can be concluded that the PD is neither clear nor transparent.

<sup>10</sup>

SMART Indicators means: Specific, Measurable, Achievable, Relevant and Time-bound

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Accuracy of TLS		In the absence of SMART target and meaningful PI, it can be concluded that the result has not been achieved. However, to avoid this situation in the future, the Organization should provide support to the program: (a) in identifying a SMART PI and target which is linked directly to the day to day work of the program and ER; (b) to assist the program to design/identify the monitoring tools that will be necessary for the purposes of collecting data.

**Program 6 - Performance Indicator: Eight New Contracting Parties to the Geneva Act**

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		The PD is relevant to report against the PI and the ER. However, the PD is not necessarily valuable for decision-making purposes
Sufficient/comprehensive		The PD is sufficient to report against the PI and ER. However, more important than the quantity of data is the quality. An increase on the number of members does not necessarily mean an increase in the use of the system.
Efficiently collected/ easily accessible		The data required to report against the PI has been gathered efficiently and is easily accessible and can be found under the following link <a href="http://www.wipo.int/hague/en/notices/index.jsp?items=20">http://www.wipo.int/hague/en/notices/index.jsp?items=20</a>
Consistent/comparable		The PD is consistent over the years, even with slightly different wording.
Accurate/verifiable		The PD is accurate and verifiable.
Timely reporting		Since there is no requirement from the Organization to report against this PI on a regular basis but the PPR, it can be confirmed that the reporting has been done in a timely manner.
Clear/transparent		The program has used the "Hague Information Notices" (see link above) as the main source of information when reporting against the PI.
Accuracy of TLS		The approved target of eight new contracting parties was only partially achieved since seven new Contracting Parties. Consequently, the TLS reported on the PPR is not accurate.

**Program 7- Performance Indicator: 300ccTLD UDRP-based cases administered**

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		Data gathered for this PI is relevant and valuable to enable effective reporting.
Sufficient/comprehensive		The PD is comprehensive and sufficient to report against the PI.
Efficiently collected/ easily accessible		All cases and information related to them are saved in a database which is easily accessible. Data can be easily collected through their database system to which the whole Domain Name Dispute Resolution Section has access to. It is to note that information on cases is of confidential nature i.e. the external public does not have access to this database. Nevertheless, the non confidential information of the cases (e.g. name of complainant and respondent, date of the complaints are available on WIPO's web site and on the Intranet after the settlement of the cases). See link below: <a href="http://www.wipo.int/amc/en/domains/cctld/index.html">http://www.wipo.int/amc/en/domains/cctld/index.html</a>
Consistent/comparable		There is a sense of continuity with the PI used. The Section dedicated a lot of time to design their PIs. Indeed, they set a realistic baseline after doing some careful analysis of past years' level of activity, lessons learned and the external environment. PD is well linked to the ER, baseline and PI. Due to the nature of the PI, comparisons are very easy to draw in terms of number of administered cases.
Accurate/verifiable		The information about this PI was very easily verifiable based on the documents provided by the Domain Name Dispute Resolution Section. Their very effective database system made it easy to trace data to their objectives.
Timely reporting		Excellent reporting system, the information is reported on a very regular basis. Moreover, the PD was made available in a timely manner when required.

<i>Criteria for PD</i>		<i>Comments/data limitations</i>
Clear/transparent		The provided records were clear and transparent. There is only one small observation to be made, the PI contains three acronyms and so, it can be hard to identify what the PI refers to. Therefore, a recommendation would be to avoid the use of acronyms in PIs.
Accuracy of TLS		Based on the documentation provided, it can be concluded that the TLS is accurate.

**Program 8** Performance Indicator: Recommendations resulting from monitoring and evaluation are successfully being implemented

<i>Criteria for PD</i>		<i>Comments/data limitations</i>
Relevant/valuable		Data gathered for this PI is not relevant to enable effective reporting on the PI. The PD reported on the PPR relates to implementation of the Development Agenda (DA) Recommendations. Overall, it seems that there has been a misinterpretation of the reporting requirements and information needs, since the program has reported on the indicator "Monitoring systems are being used by all projects and used for decision making" that "External Evaluation of six completed projects was initiated" i.e. this was the kind of information that should have been reported as part of the validated PI.
Sufficient/comprehensive		The reports on implementation of the DA recommendations are sufficient and comprehensive. However, it is not relevant for reporting against the PI.
Efficiently collected/easily accessible		The records to report against the PD are collected in a very efficient manner and easily accessible. Nonetheless, they do not address the needs of the PI.
Consistent/comparable		This PI was not included in the 2008 PPR and was removed in the 2012/2013 P&B document. Consistency is missing and as a result performance cannot be measured over long periods of time.
Accurate/verifiable		The PD is accurate and verifiable but not relevant to the PI. All reports can be found under the following links: <a href="http://www.wipo.int/edocs/mdocs/mdocs/en/cdip_5/cdip_5_2.pdf">http://www.wipo.int/edocs/mdocs/mdocs/en/cdip_5/cdip_5_2.pdf</a> <a href="http://www.wipo.int/edocs/mdocs/mdocs/en/cdip_6/cdip_6_2.pdf">http://www.wipo.int/edocs/mdocs/mdocs/en/cdip_6/cdip_6_2.pdf</a> <a href="http://www.wipo.int/edocs/mdocs/mdocs/en/cdip_6/cdip_6_3.pdf">http://www.wipo.int/edocs/mdocs/mdocs/en/cdip_6/cdip_6_3.pdf</a> <a href="http://www.wipo.int/edocs/mdocs/mdocs/en/cdip_7/cdip_7_2.pdf">http://www.wipo.int/edocs/mdocs/mdocs/en/cdip_7/cdip_7_2.pdf</a> <a href="http://www.wipo.int/edocs/mdocs/mdocs/en/cdip_8/cdip_8_2.pdf">http://www.wipo.int/edocs/mdocs/mdocs/en/cdip_8/cdip_8_2.pdf</a>
Timely reporting		The PD was made available in a timely manner when required.
Clear/transparent		The PD is clear and transparent but not relevant at this level. The program has explained that the PI refers directly to the implementation of the DA recommendations; this is not obvious when reading the PI.
Accuracy of TLS		Taking into consideration that the PD does not respond to the PI requirements. It can be concluded that the TLS assessment on the specific KPI is not accurate.

**Program 9 - Performance indicator: Number of countries with modernized IP administration and extending value added IP services to the users.**

<i>Criteria for PD</i>		<i>Comments/data limitations</i>
Relevant/valuable		The PD is partially relevant and valuable to report against the PI and ER. The report refers to extension of value added services to users. The data to substantiate it was to be provided by relevant IP Offices and was only partially received by the bureau.
Sufficient/comprehensive		The records made available are partially sufficient and comprehensive to report against the PI and ER; the second part of the PI is a qualitative analysis for which reporting is constrained by lack of available PD within WIPO.
Efficiently collected/easily accessible		Overall, five working days are required to compile data for the PPR and make it accessible. So PD could not be obtained from a single source/repository and it was not easily accessible.
Consistent/comparable		The PD has been discontinued in the 2012/2013 P&B document.

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Accurate/verifiable		Based on the provided records, it can be verified that the number of countries with modernized IP administration reported on the PPR is accurate. From the records provided, it cannot be confirmed whether an analysis on the added value to the users was undertaken. Consequently, the criteria of accuracy and verification are only partially met.
Timely reporting		Reporting of the PPR was done in a timely manner.
Clear/transparent		The PD reported, as part of the PPR is clear and transparent as are the records used to report against the PI. However, reporting against the PI has been done only partially for lack of PD to report against the PI in its entirety.
Accuracy of TLS		Based on the above, it can be concluded that the PI and ER was not fully achieved as stated in program 9 PPR 2010/2011.

**Program 10 - Performance Indicator:** Some 15 new countries with developed national IP capacity-building programs and IP strategies, dovetailed with national development plans.

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		The PD is not necessarily relevant and valuable to measure against the selected PI since the national strategy documents do not make reference to WIPO's contributions.
Sufficient/comprehensive		Overall the information provided in the PD column is sufficient but it is not comprehensive since it gives the impression that WIPO was the one developing these strategies when in fact it is Member States driven.
Efficiently collected/ easily accessible		The national strategies were provided for the validation purposes. However, these were not easily accessible within the Organization as it requires some time from staff to provide it for validation purpose.
Consistent/comparable		The PD is consistent and can be compared over the years.
Accurate/verifiable		PD was not accurate and verifiable since national strategies do not provide clear linkages to WIPO roles in the development of the strategies.
Timely reporting		The program makes use of the information on a regular basis. However, there is no other Organizational requirement to provide this PD on a regular basis. Consequently, it can be concluded that the report has been done in a timely manner.
Clear/transparent		While WIPO has contributed to assist the countries in providing advisory services when developing/revising national strategies, this does not mean that WIPO has developed those strategies but it is just a contributor to a bigger process for which the countries have the whole ownership.
Accuracy of TLS		Since the PI is not a direct indicator that demonstrates the direct effects of WIPO's support, it can be concluded that the target has been achieved. However, it is recommended that one should analyze carefully these kinds of PD and PI since it can be misleading especially for the public.

**Program 11 - Performance Indicator:** Increased geographical representation of key cooperation partners at the Network

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		The PD is partially relevant to report against the PI. The current limitation of the PI and the PD is that it provides very limited information on achievement of the ER. Having quantitative information on the number of partners does only partly indicate that the program has more partners but it does not necessarily indicate whether the efficiency of international cooperation for IP training and education among Member States has been enhanced.
Sufficient/comprehensive		The PD reported on the PPR is partially sufficient since it provides only information on the number of partners but not on its geographical representation. However, the provided records are sufficient and comprehensive. They do demonstrate that the geographical representation has been increased as well and that new countries like Pakistan, Nigeria and Indonesia have become members of the Global Network on IP Academies. Unfortunately, this information has not been reported as part of the PPR.

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Efficiently collected/ easily accessible		The records have been efficiently collected in forms of applications for membership and easy accessible. A list of members is available on the Internet under the following link: <a href="http://www.wipo.int/academy/en/ipacademies/index.html">http://www.wipo.int/academy/en/ipacademies/index.html</a>
Consistent/comparable		Since the PIs have evolved and been modified every biennium, the PD is not consistent and consequently not comparable.
Accurate/verifiable		According to the presented records, the information reported on the PPR is accurate and easy to verify.
Timely reporting		The PD is used by the program manager for monitoring purposes. The information is only required for the PPR reporting and it has been provided on a timely manner.
Clear/transparent		Information on cooperation partners has only been partially reported. Although the documentation provided by the program is clear and complete, the PPR does not mention the geographical representation. It is also not clear whether criteria have been identified to classify levels of partnerships since the indicator refers to key partners.
Accuracy of TLS		Based on the records, the target of "increasing geographical representation of key cooperation partners" has been achieved and therefore the rating is accurate. For future PPRs it is recommended that the program makes proper use of its records when reporting against the PIs and ERs.

**Program 12 - Performance Indicator: Increase the number of contracting parties to corresponding Agreements**

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		The PD is relevant to report against the PI and ER. However, the information is only partially valuable, since the current PI has not been designed to provide meaningful information to report progress against the ER and program objective.
Sufficient/comprehensive		The program did report against the PI using the data which is available on the Internet. The information provided does comply with the data requirements of the PI. Based on the data available on the Internet the program has provided the names of the countries/contracting parties. However, the PI does only provide space for quantitative data rather than qualitative analysis.
Efficiently collected/ easily accessible		The data is available for public use on the Internet making reporting and verification straight forward.
Consistent/comparable		PI has been discontinued in the 2012/2013 P&B document.
Accurate/verifiable		The PD is mostly accurate and verifiable with the exception of the Nice Agreement in which case it was not verifiable the one new member as reported in the PPR.
Timely reporting		Since there is no Organizational requirement to report on a regular basis on this PI but the PPR, it can be concluded that reporting has been done in a timely manner.
Clear/transparent		The PD is clear and transparent.
Accuracy of TLS		In the absence of targets, it can be concluded that the TLS is accurate.

**Program: 14 - Performance Indicator: Percentage of participants of the online tutorial on patent information and patent landscaping and regional conferences on patent landscaping using the new knowledge and skills on the job by office and by country**

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		PD was useful to the extent it was relevant as part of the PI was referring to the use of on-line tutorial tool which is still being developed and not yet ready to use. ERs were phrased in a way to make it difficult to measure the performance against.
Sufficient/comprehensive		PD provided for this PI was not sufficient and comprehensive to draw a conclusion as it lacks user feedback on the on-line tutorial on patent information which was being developed.

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Efficiently collected/ easily accessible		The process of collection, analysis, monitoring and reporting on the performance information to assess the achievements against this Key Performance Indicator (KPI) is not a straightforward process.
Consistent/comparable		The specific PI was developed in late 2009 for the 2010/11 biennium. PD gathered and reported on this PI has not been consistent and comparable throughout the biennia.
Accurate/verifiable		PD provided included mission reports, Technology and Innovation Support Center (TISC) progress and needs assessment questionnaire and documentation on regional conferences and internal communication on coordination of efforts with relation to the achievement of ERs and the specific KPI. However, no PD was available as regards the on-line tutorial as this is being developed.
Timely reporting		PD have been reported to CDIP at least once a year and throughout the year progress made against this KPI is mentioned in quarterly activity reports.
Clear/transparent		PD provided to IAOD for a review and analysis have been presented in a clear and transparent manner in that all relevant documentation was factual, neutral and coherent.
Accuracy of TLS		Based on PD gathered, TLS is accurate. Overall, analysis done and interview with responsables of program 14 led to the conclusion that PD partially met criteria.

**Program 15 - Performance Indicator:** Increased efficiency in 42 IP offices during the 2010/2011 biennium. This will be achieved by providing the automation assistance package and training. Efficiency will be measured based on agreed efficiency criteria.

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		While the PD is valuable for the program and the Organization overall as it provides very good records on the status of implementation of the program by country, it is not fully relevant for the purpose of reporting against the PI.
Sufficient/comprehensive		The PD is partially sufficient and comprehensive.
Efficiently collected/ easily accessible		The information used to report against the PI has been systematically gathered by the program and is easy accessible through the Intranet. The program sets a good example for sharing information within the Organization. Unfortunately, the current systems (like WIKI) available to the program have not been designed to facilitate data analysis.
Consistent/comparable		Since this PI was introduced just in 2010/2011 and has been discontinued for the 2012/2013 biennium, it can be concluded that the PD is not consistent and comparable over the biennia.
Accurate/verifiable		All information on the status of activities of the program is available on the Intranet. Facilitating verification of the PD. <a href="https://intranet.wipo.int/confluence/display/ipas/Home?ticket=ST-9472-yfXrqgnvrg23Qs7ejqc-cas">https://intranet.wipo.int/confluence/display/ipas/Home?ticket=ST-9472-yfXrqgnvrg23Qs7ejqc-cas</a>
Timely reporting		The program does make use of the information required to report against the PI regularly for decision making and management purposes. Overall, reporting has been done in a timely manner.
Clear/transparent		The provided documentation/information used to report against the PI has been presented in a transparent and clear manner. However, usage analysis does not relate to efficiency analysis. Furthermore, looking at the usage might not necessarily suggest increase of efficiency. Overall, it is advisable for this and any other program to agree during the design phase of PIs on how PIs are to be measured and relevant data to be gathered.
Accuracy of TLS		Since usage of systems does not necessarily mean increased efficiency and since efficiency analysis as such has not been undertaken, it can be concluded that the target has only been partially achieved i.e. the program rating is not fully accurate. There are many factors that would need to be considered when aiming to increase efficiency especially in cases where WIPO is contributing to the end result in collaboration with the Member States.

**Program 16** - Performance indicator: Number of users by agency and country of published studies commissioned in response to demand by member states in relation to the total number of publications

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		PD was relevant but not very valuable to assess the progress made against this PIs as studies are still ongoing. A full assessment of the ER is not yet possible
Sufficient/comprehensive		Information on number of users by agency and country of studies was not available due to belated start of the studies. PD provided included project briefs, mission reports where the studies are taking place, work plan for 2010/2011 and risks that may have an impact on the achievement of ERs.
Efficiently collected/easily accessible		Information have been gathered and analyzed as part of regular reporting to CDIP. There was a first report to CDIP last year (CDIP 5/7) and there will be another report this year. So information is available as part of CDIP reporting on WIPO Intranet.
Consistent/comparable		The specific ER and KPI was developed for 2010/2011 biennium but delays occurred in implementing the KPI. Consequently, studies will be completed in 2012/2013 which will then enable users to make use of the information contained in these studies.
Accurate/verifiable		PD will be reported but it is not yet verifiable through documentation as studies are still undergoing
Timely reporting		Performance information has been gathered, analyzed and reported on to CDIP at least once a year as this was a Member States request to undertake these studies. Available performance information was made available for validation exercise.
Clear/transparent		Available PD has been gathered, analyses linked and presented in a clear and transparent manner which enable a sound assessment of progress made against the ER and the use of specific indicator.
Accuracy of TLS		As regards the progress made against this indicator, there were delays due to lack of staffing in program 16 and timely process of consultations amongst the Member States which resulted in belated launch of three studies in Brazil, Chile and Uruguay in line with CDIP project 5/7. So TLS has not been accurate. Three studies which were launched in 2010/11 will be completed in 2012/13 and not in 2010 and 2011 as initially planned so users will then be able to make use of these studies. What has been presented by program 16 with regard to the specific ER and analysis of KPI and PD met partially the criteria.

**Program 17** - Performance Indicator: Number of activities related to IP issues in enforcement of inter- and non-governmental organizations with common goals organized by key leading partner organizations and the private sector<sup>11</sup>.

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		The PD used to report against the PI and ER is relevant but not necessarily valuable for the purpose of measuring meaningful progress on the achievement of the ER. Counting the number of activities does not provide stakeholders and managers with valuable insights on whether the program is performing well or not.
Sufficient/comprehensive		Very good records have been kept of the activities undertaken in form of memos, mission reports and e-mail correspondence. The records and information provided to the validation team are sufficient and comprehensive to comply with the requirements of the PI. However, the PI is not necessarily SMART and requires only the counting of activities limiting the amount of information that could be provided to the key stakeholders of the PPR.

<sup>11</sup> The title of the Performance Indicator in the final draft of the PPR for the 2010/2011 biennium has been modified as "Number of activities related to building respect for IP of inter- and non-governmental organizations with common goals organized by key leading partner organizations and the private sector"

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Efficiently collected/ easily accessible		Information has been compiled in form or written records which were easily accessible and efficiently collected. However and as mentioned already above, the PI does only require the counting of activities and no further analysis of the data.
Consistent/comparable		Since the PI has evolved over the years improving the quality of the performance framework over the years, the PD and PI are neither consistent nor comparable.
Accurate/verifiable		Based on the provided information, the validation can confirm that the PD was easy to verify.
Timely reporting		Since the PD is mainly used for the purpose of reporting to the PPR, it can be concluded that the reporting has been done in a timely manner.
Clear/transparent		The PD is being reported in a clear and transparent manner.
Accuracy of TLS		Since there are not targets identified, it can be concluded that the program has fully achieved the ER.

**Program 18 - Performance Indicator: Number and scope of new policy tools and studies, and patent information analyses and data tools**

Target: four in house and four externally commissioned policy studies; six patent landscapes; a functioning platform for open innovation and; 1, diffusion of green technology.<sup>12</sup>

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		The PD is relevant to report against the PI. This is one of the few programs that had identified measurable targets as part of the program framework.
Sufficient/comprehensive		Since the PI does only require the counting of outputs, it can be concluded that the PD is sufficient and comprehensive.
Efficiently collected/ easily accessible		All information used to report against the PI is available on-line. However, for an outsider it might not be easy to find the information used to report against the PI since it is not systematically presented on a system but rather one need to search the information on the web. Although the information was made available to the validation team, it would be advisable to keep all records of the information in one place/data base for easy reference.
Consistent/comparable		The program was introduced in 2010/2011. The person in charge of this PI could not participate in the preparation of the program framework. Consequently, changes on the PIs were proposed for the 2012/2013 and the present PI has been discontinued in 2012/2013.

<sup>12</sup> The title of the Performance Indicator in the final draft of the PPR for the 2010/2011 biennium has been modified as "Number and scope of new policy tools and studies, and patent information analyses and data tools, Target: four in house and four externally commissioned policy studies; six patent landscapes; a functioning platform for open innovation and; (1), diffusion of green technology, and (2), R&D for Neglected Tropical Diseases".



<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Accurate/verifiable		<p>The validation did cross check of the various outputs delivered by the program. Overall, the validation could verify the existence of six reports/policy studies which were either done in house or in joint collaboration with other institutions. During the validation the program raised the issue that the targets were not defined by those that are now responsible for delivery. In addition to this, it was difficult to set the boundaries between external and internal commissioned policy studies. Overall, the program was supposed to commission eight policy studies but only six were delivered. The information has not been reported as such in the PPR but rather the program has mentioned five reports in the PPR. Although six reports were provided for verification purposes.</p> <p>On the patent landscapes: since delivery of the outputs is now within the responsibility of another program, the program could only report whether the target had been achieved and provided a link on an Internet site. However the list on the Internet was incomplete and further information was provided via e-mail correspondence.</p> <p>A web platform has been created for the diffusion of green technology and for the R&amp;D for Neglected Tropical Diseases.</p>
Timely reporting		Since the PD is only required for the purpose of reporting on the PPR, it can be concluded that the reporting has been done in a timely manner.
Clear/Transparent		The information used to report against the PI is clear and transparent
Accuracy of TLS		Since not all outputs could be delivered, the program has correctly assessed its performance by selecting partially achieved.

**Program 19 - Performance Indicator:** number of visitors to the library premises and increased demand for the Service's information resources

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		PD gathered is useful for monitoring and improving services of the Library. But increased demand for library resources due to lack of feedback from visitors cannot be measured.
Sufficient/comprehensive		Data gathered for PI is not sufficient and comprehensive enough to measure the performance of this PI as demand for the service's information resources is not captured and monitored in a consistent, formal manner.
Efficiently collected/easily accessible		Data are easily accessible and collectible through visitors log created for external and internal visitors. Before it was recorded in a diary as the number of visitors used to be low when the library was located in the CAM building.
Consistent/comparable		Data is comparable and kept in a folder per month. Bar charts have been developed to illustrate the trend of visits over time. This PD is comparable over biennia and remain unchanged since 2008/2009 biennium.
Accurate/verifiable		The PD is accurate and verifiable.
Timely reporting		There is no reporting obligation except for the PPR. Although data have been gathered, monitored and followed up on, it is not reported anywhere within the Division where the Library resides nor is it linked to individual/section work plan objectives.
Clear/transparent		Information is gathered based on sheets that have been signed by external / internal visitors who sometimes are reluctant to put their names and the purpose of their visit on the list (especially internal WIPO colleagues) which jeopardizes the transparency of the information.
Accuracy of TLS		Based on information gathered above, this PI has been partially achieved since the second part of the PI referring to the demand for Service's information resources is not captured, monitored and analyzed in a consistent and formal manner.

**Program 20 - Performance Indicator: Additional public and private sector partnerships**

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		There were concerns expressed regarding ownership of the KPIs. While the Program was involved in the initial stages of the preparation of the P&B, in the process of finalizing the P&B document changes were introduced which the Program felt they were not fully consulted on. While the KPI being reviewed by the validation process is relevant, the Program felt that there was not a sufficient monitoring and reporting system in place to be able to capture data across the Organization related to such partnerships, thereby reducing the value of the KPI. The narrative for the Program indicates that a key aspect of this work involves the development and approval of guidelines for private sector partnerships. This could have been better reflected in the KPI.
Sufficient/comprehensive		The Information provided to support the Program's evaluation of its performance against this KPI were print outs of the three private sector partnerships. These are WIPO Re-Search, WIPO Green and aRDI. Program 20 has recognized that there may be other partnerships that might have been set up without their knowledge as they depend on other WIPO programs to inform them and contact them when they consider setting up a partnership with their party.
Efficiently collected/easily accessible		Performance information have been print outs of three projects that WIPO has partnerships with the private sector namely, aRDI, WIPO Green and WIPO Re-search. This information on partnerships is also available on WIPO Intranet.
Consistent/comparable		As there was no baseline in 2008/2009, performance information is not comparable with the previous biennium.
Accurate/verifiable		The information provided is both accurate and verifiable. However, this may be incomplete and there is a risk of double counting given the lack of organizational wide monitoring on this KPI. The P&B 2012/2013 has helped to rectify this by providing a RF, which shows the overall contribution of WIPO's programs to all of the Organization's ERs.
Timely reporting		Performance information was made available during the discussions and it is also available on WIPO Intranet.
Clear/transparent		All performance information which was provided for the three partnerships have been made available on WIPO Intranet.
Accuracy of TLS		Review of PD, interview notes and analysis of existing partnership information indicate that in the absence of sound baseline and target as well as lack of linkage to the guidelines being developed on setting up partnerships, PD and KPI have partially met the criteria.

**Program 21 - Performance Indicator: The Organization has an effective governance structure comprising clear ERs linked to strategic goals**

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		PD provided was relevant and valuable. It included the structure of SMT and MTSP in support of better governance structure at WIPO. Additionally WIPO's strategic objectives were already linked to individual work plan objectives as defined in the 2010/2011 P&B document.
Sufficient/comprehensive		Information provided was about the MTSP that was noted by the Member States and the structure of the SMT. MTSP clearly makes references to RBM so in this regard, information provided was sufficient as an intermediate link between the ERs and the Strategic Goals (i.e. the MTSP) was established. .
Efficiently collected/easily accessible		MTSP and SMT structure were easily accessible as both documents were also available on WIPO's Intranet. Additionally, information on RBM structure and P&B documents are also available on Intranet and Internet.
Consistent/comparable		This PI was discontinued in 2012/2013 so it is not comparable over biennia, the result was considered achieved in 2010/2011.
Accurate/verifiable		The information about the PI was verifiable based on documents provided for the PB which made it easy to trace the linkage of WIPO programs' ERs to strategic objectives.

<i>Criteria for PD</i>		<i>Comments/data limitations</i>
Timely reporting		The information gathered for this PI is presented to the Member States as part of GA documents and it is also demonstrated in the P&B document.
Clear/transparent		The way information was gathered and provided was clear and transparent. All data and documents were available on-line on WIPO Intranet.
Accuracy of TLS		Based on analysis of PD, coupled with interview notes PI has sufficiently met the criterion.

**Program 22 - Performance Indicator: Financial operations and budget management conform to the provisions of the applicable WIPO conventions and treaties, the WIPO FRR and appropriate applicable accounting standard.**

<i>Criteria for PD</i>		<i>Comments/data limitations</i>
Relevant/valuable		PD that has been provided was relevant and valuable to enable a sound assessment of the ERs with this indicator. Documents provided were composed of the list of Office Instructions (OIs) developed by the Office of the ADG concerning issued or to be issued OIs that enable a better monitoring of whether financial and budget management conform to the WIPO Convention and treaties, WIPO FRR and other applicable accounting standards. Information showing that indicator has been trickled down to each individual work plan that has also been submitted by both Finance and Budget Sections.
Sufficient/comprehensive		Performance information was sufficient and comprehensive to the extent to allow for an assessment. It should be noted that there are still OIs pending update and/or issuance, which will ensure further alignment of the ER with the specific KPI.
Efficiently collected/easily accessible		OIs issued as part of this PI are available on the Intranet such as OI on Hospitality, Official Travel and Related Expenses, Policy on Investments, etc. As regards the linkage of this KPI to individual work plans, the KPIs were part of the P&B document, and individual section plans were also kept up-to-date and communicated to staff in Budget and Finance Sections
Consistent/comparable		PD provided are comparable as the specific KPI was kept for 2012/2013 to monitor progress on the achievements of the ERs.
Accurate/verifiable		PD partially available on WIPO Intranet as it related to OIs and ERs in P&B documents. Other information provided by program 22 is verifiable with financial and non financial information gathered and analyzed in the preparation of the P&B process.
Timely reporting		Available performance Information was provided in a timely manner allowing IAOD to do the assessment of the documentation
Clear/transparent		PD was disclosed in a clear manner, the list of OIs, sectional work plans indicating the link to the PI were provided in a transparent manner.
Accuracy of TLS		Based on performance information provided, gathered, analyzed and interviews indicated that the PI has partially achieved the ERs as OIs are still pending update and/or issuance (e.g. on a policy for extra-budgetary resources; post management, etc).

**Program 23 - Performance Indicator: Percentage of income invested in staff development**

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		PD gathered to calculate the percentage was composed of the calculation of salary mass and the list of staff trainings and amounts committed for 2010 and 2011. It enables the calculation of percentage of amount of money spent on training activities but the basis was not the income as suggested in the PI but the salary mass which has been used by WIPO and other United Nation (UN) organizations for many years now. This has been corrected in 2012/2013 and the salary mass has been used for calculating the percentage of amount spent on training activities. It was explained that although it was known that the basis was salary mass and not income along the way it was changed beyond the control of HRM Training Section.
Sufficient/comprehensive		PD provided for assessment were found to be sufficient and comprehensive enough to calculate the percentage of money spent on training activities. The same data has been gathered, analyzed and reported on since 1998. An external company was engaged to undertake a survey on the impact of WIPO training activities.
Efficiently collected/easily accessible		Excel spreadsheets and Ms Access are used to record the individual and corporate training activities financed by HRMD Training Section. This data is available to all staff within the Training Section and can be made available to HR Management and/or SMT in a timely manner.
Consistent/comparable		Although information gathered to measure performance has always taken as basis the salary mass and the amounts committed for training activities, KPI developed for 2010/2011 was taking income as basis which was confusing and not used by HRM Training Section so consistency of information gathered, analyzed and reported on was in discrepancy with the wording of KPI for 2010/2011. As mentioned above this was corrected in the 2012/2013 P&B document. Training Section has been consistently using the percentage of salary mass invested in staff development as basis for calculating the percentage.
Accurate/verifiable		Information is verifiable through figures available in P&B document in terms of salary mass and the list of trainings is kept in an Ms Access database on a yearly basis. Accuracy of PB figures have been regularly audited and verified by External Auditors and the accuracy of training figures has been audited and verified through audits by Internal and External Audits.
Timely reporting		Reporting on the PD has been done regularly. A memo requesting increase in the training budget was sent to the DG on April 27, 2012. Information is also discussed at annual UN system Organization meetings organized by the UN System Staff College in Turin on training issues.
Clear/transparent		Information gathered has been presented in a reasonably clear and transparent manner although changes on the staff development budget in 2010, which had an impact on training activities, could be better explained.
Accuracy of TLS		PI partially met criterion as it fell short of 1 per cent target although performance was better as 0.44 per cent in 2010 and 0.46 per cent in 2011 of salary mass were spent on staff development activities.

**Program 24 - Performance Indicator: allocation of offices spaces within existing (owned or rented) premises without any additional rental of premises**

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		PD provided for this ER was relevant and it gave useful and valuable insight for assessing as to whether ER was achieved through the specific KPI. Firstly, glossary used for office related issues such as office space, occupancy rate, workplace rate was defined to enable and enhance common understanding within the Premises Infrastructure Division. Then the exercise of calculating of occupancy rate and availability of office space which started in 2010 took quite considerable time and was completed in December 2011. This is mainly a manual process and needs time to gather relevant information.

<i>Criteria for PD</i>		<i>Comments/data limitations</i>
Sufficient/comprehensive		Information provided against the specific KPI was sufficient and comprehensive enough to provide necessary details to enable a sound assessment of the level of achievement of the ER.
Efficiently collected/easily accessible		Information is maintained within the Premises Infrastructure Division and it involves manual interventions to gather, analyze and report on the PD so it is not easily accessible and available
Consistent/comparable		A similar PI was developed for the 2012/2013 Biennium
Accurate/verifiable		Information provided can be verified through documents made available to the validation team and corroborated by OIs on stricter use of office space
Timely reporting		This information is gathered, analyzed and reported on for PPR on a yearly basis as well as monitoring of available office space and office occupation rate as part of normal day-to day activities of the Division.
Clear/transparent		PD have been presented in a clear and transparent manner to enable a sound assessment of achievement of the ER and accuracy of KPI.
Accuracy of TLS		Based on review and analysis of performance information provided to assess this ER, this KPI has achieved fully its objective and PD sufficiently meets criteria.

**Program 25 - Performance Indicator: Indicator Cost of the ICT services (spent on the ICT program including staff and associate overheads) as a percentage of the organizational running cost (expenditure)”**

<i>Criteria for PD</i>		<i>Comments/data limitations</i>
Relevant/valuable		Although useful for budget and cost control purposes, the specific PI is not considered linked to work plan objectives of ICTD and as such it does not help ICTD to measure its performance and achieve its objectives.
Sufficient/comprehensive		PD was found to be sufficient for PI measurement but it is not comprehensive enough as it lacks the linkage to the work-related program objectives.
Efficiently collected/easily accessible		PD can be easily collected through AIMS system to which Deputy Director, ICTD has direct access
Consistent/comparable		PD consistently gathered through the AIMS system and it is comparable. But as stated above, this rather useful information has been used for budget and cost control purposes and not as a PI for the ICTD
Accurate/verifiable		Data can be accurately verifiable through AIMS reporting on expenditures which display non personnel expenditure per program which facilitates the calculation of the proportion of ICT operational expenditure to the total.
Timely reporting		The report on expenditure can be generated at any time through AIMS system so timely reporting is enabled. However, this data has not been used for internal or external reporting purposes but only indicatively for budgetary and cost control purposes.
Clear/transparent		Data can be gathered through expenditure reports generated through AIMS in a transparent and clear manner
Accuracy of TLS		This PI was discontinued in 2012/2013 due to lack of relevance and benchmark against which the PI could be assessed and measured. There was a decrease in the percentage of cost of ICTD to total cost in 2010/2011 in comparison to 2008/2009 from 13.6 per cent to 11.5 per cent. Again it does not mean too much as it is not linked to work plan objectives and or lack benchmark.

**Program 26 - Performance Indicator: At least 10 audits completed during the biennium.**<sup>13</sup>

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		The PD reported as part of the PPR is relevant for reporting against the PI. However, it is not necessarily meaningful for reporting progress against the ER. Overall, the records/documentation provided is of very good value. However, the indicator is deficient and mainly output oriented it does not permit meaningful reporting.
Sufficient/comprehensive		The provided data is sufficient and comprehensive, 14 audits were provided for the verification purposes.
Efficiently collected/ easily accessible		All reports are saved on the WIPO drive and summaries of the audits are easily available on the Internet and Intranet.
Consistent/comparable		The indicator is consistent and comparable over the years. However, it is neither relevant nor valuable for management/reporting purposes.
Accurate/verifiable		The validation verified the existence of the reports and can confirm that the PD is accurate.
Timely reporting		The PD is used to report to (apart from the PPR): (1) the IAOC on a quarterly basis, (2) the Member States through the PBC and GA on an annual basis, (3) the DG in the past years on a quarterly basis. All reports have been delivered on a timely manner when required.
Clear/transparent		Taking into consideration the limitation of having an output indicator, it can be concluded that all information is clearly and transparently presented.
Accuracy of TLS		Overall, the target has been achieved and even exceeded expectations. Consequently, the validation confirms the accuracy of the TLS. However, the validation recommends a revision of the indicator if possible during the 2012/2013 biennium. Any future indicator should provide evidence for achievement of results; and be meaningful and useful for decision making purposes.

**Program 27 - Performance Indicator: Development of an effective and comprehensive language policy and definition of related resource allocation needs to cover meetings, publications and the WIPO web site**

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		PD provided for this KPI was relevant and useful as it indicates clearly that WIPO language Policy has been developed and relevant resource issues, taking into account the workload have been clearly estimated in line with meetings/conferences and other WIPO events
Sufficient/comprehensive		PD are sufficient and comprehensive enough to help conclude as to whether the indicator has achieved its ER.
Efficiently collected/ easily accessible		PD has been made available on WIPO Intranet as it related to GA documentation to Member States on WIPO Language Policy.
Consistent/comparable		PD relates to KPI which was developed upon Member States request to develop a WIPO language Policy in 2010. This information is comparable with 2012/2013 that KPI has been worded to reflect the change in that now the priority of WIPO is to implement the Language Policy with a broadened scope.
Accurate/verifiable		Information provided in the reports to the Member States include WIPO GA meetings, Assemblies and working groups as well as other regular standing committee meetings and their cost based on historical amounts. This data is verifiable through the AIMS system, and as regards the meetings they are verifiable and accurately mentioned in the report to the Member States.
Timely reporting		PD has been provided in a timely manner to the Member States on a yearly basis and it is readily available for reporting

<sup>13</sup>Randomly selected PI was on internal audit and it was validated from a staff outside Internal Audit activities within IAOD.

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Clear/transparent		PD has been provided in a clear and transparent manner including reports to the Member States.
Accuracy of TLS		Based on information provided, interview held with the responsible of program 27, PD, ERs and KPI have fully achieved the criteria

**Program 28 - Performance Indicator: Percentage of the total risk assessments and audits carried out for HQ and coordination premises, conferences, meetings and various functions that meet UN security management system standards**

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		Performance information provided for validation include sample audits/assessments and event risk assessments. Content of these documents are consistent and as informed have been developed based on experience. However, information as to how audits/risk assessments or event reports meet UN security management standards is not very clearly indicated.
Sufficient/comprehensive		The Performance Information provided for measuring this KPI was composed of security audits, events and risk assessments. The volume of information was sufficient to assess the consistency of documentation. As regards the percentage measurement of events/audits/assessments done in line with United Nations Headquarter Minimum Operating Security Standards (UN HMOSS) no documentation was available to enable an assessment of achievement of this aspect of the PI.
Efficiently collected/easily accessible		All events/audits/assessments are saved under specific folders which are accessible to the Deputy Head Safety Security Coordination Service (SSCS) who admitted that it would be better if there was a database listing all events/audits and assessments to facilitate the search of information as and when needed. SSCS faces the issue of not having the full picture of all events that are organized by WIPO programs as they do not inform SSCS. E-work system that requires a pre-approval of all staff and other missions is a good preventative control to help SSCS to have a full picture of all events.
Consistent/comparable		The same kind of information (events, audits and assessment reports) has been drafted, gathered and reported on are comparable throughout the biennia in a fairly consistent manner.
Accurate/verifiable		Templates used for security audits was developed by WIPO SSCS does not follow the UN template and it was agreed that it would be worth reviewing the WIPO template to make sure that the content of WIPO template would cover all the essential issues as in the UN template. On the other hand, SSCS uses template adopted based on UN HQ security events/audit checklists which strengthens verifiability and accuracy of information contained therein. Additionally all events audits and other reports are saved on the personal drive of the Acting Head and there is no database of events to be able to track effectively and efficiently all the reports in a consistent and timely manner. This would also help SSCS monitor and forward plan follow up activities as part of future work plan activities
Timely reporting		The information on this PI is not reported on regular basis but rather on an <i>ad hoc</i> basis. SSCS have started generating quarterly activity reports which information on this PI would be a good add-value as it is not the case now.
Clear/transparent		Performance Information data do not allow for a sound undertaking of how the percentage of audits/risk assessments was calculated which weakens the transparency of PD. What could also strengthen the clarity is how it is monitored to ensure that WIPO templates used for reporting are in line with UN HMOSS

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Accuracy of TLS		Review of PD, as supported by interview notes; indicate that the PD do not provide for sufficient and clear explanations for the percentage calculation on the overall conformity to UN HMOSS in terms of audits and security assessments for events, conferences, missions. UN HMOSS Templates have not been made available to allow us to conclude as to the compliance of WIPO templates. As stated by the incumbent, WIPO documents were developed based on experience which may be in line with UN HMOSS but due to lack of supporting documentation, it was not possible to validate that for part of the templates used for reporting.

**Program 29 - Performance Indicator: Monitor budgetary envelope for the new construction and as approved by the Member States**

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		PD provided was relevant and valuable to facilitate a sound assessment. Information included progress Report on the New Construction Project (NCP) to the PBC, IAOC and GA sessions. All budgetary information regarding the NCP was provided in a thorough manner helping Member States and IAOC to exercise their oversight role effectively on monitoring the budgetary aspect of the construction project.
Sufficient/comprehensive		PD was sufficient and comprehensive for all aspects to enable a precise assessment of ER.
Efficiently collected/ easily accessible		All PD have been reported on regularly to the Member States on a yearly basis at PBC and GA sessions.
Consistent/comparable		PD have been consistently gathered, analyzed and reported on to the Member States, and the IAOC (previously called as Audit Committee) in a consistent and easily comparable manner since the 2008/2009 biennium.
Accurate/verifiable		Information provided in the PPR is accurate and verifiable through regular reports to the Member States, IAOC (please see attached links) as well as internal and external audit reports on an annual basis.
Timely reporting		PD was made available in a timely manner for examination and regular reporting has been made to Member States on a yearly basis at PBC and A and GA sessions.
Clear/transparent		All PD have been presented in a transparent manner to clearly providing links to all aspects of the NCP. Also all calculations and assumptions have been clearly indicated and necessary explanations provided in detail
Accuracy of TLS		Based on the review of PD provided, analysis made and explanations given, this ER has been fully achieved as the NCP budget has been regularly monitored and the nearly completed project never surpassed the approved budget envelop.

**Program 30 - Performance Indicator: Number of SME support institutions, including universities, using WIPO material and material based on WIPO products in their awareness and capacity building services**

<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Relevant/valuable		PD was relevant and valuable for providing evidence on activities undertaken by program 30 with regard to the small and medium-sized enterprises (SMEs) support institutions and/ universities and other stakeholders. PD needs to be strengthened with feedback to be solicited from participants to WIPO events from universities and SMEs support institutions on the impact of activities undertaken to measure effectively and efficiently as to whether the ERs have truly been achieved and had the expected outcome in those countries.



<b>Criteria for PD</b>		<b>Comments/data limitations</b>
Sufficient/comprehensive		PD is not sufficient enough to enable a sound assessment of activities undertaken for achieving the ER and analysis of satisfaction levels of SMEs support institutions/universities for services rendered or material provide by WIPO.
Efficiently collected/ easily accessible		PD were made available on a share drive which facilitated timely review and analysis of PD
Consistent/comparable		KPI was developed in 2010 so it could not be compared with the previous biennium but PD will be comparable in the 2012/2013 biennium as the same KPI has been kept to measure performance against the ER.
Accurate/verifiable		PD, as inserted in PPR 2010/2011 have been verified through examination of documentary evidence that were provided to the validation team during the interview of key staff in program 30.
Timely reporting		PD are gathered, analyzed and reported for PPR on a yearly basis as well as for monitoring implementation of program objectives and decision making within the Division.
Clear/transparent		PD were authentic, verifiable through the mission reports, work plans and other corroborative evidence. All relevant PD that were available at the time of examination has been disclosed to the validation team
Accuracy of TLS		Based on information given, explanations provided during the interview, PD supports partially the assessment as it lacks impact analysis based on feedback from users of WIPO services and material on SMEs

[Annex V follows]



## VALIDATION FRAMEWORK

Expected Result	Performance Indicators and Targets	Baseline	Performance Data
<p>1. Greater awareness of the legal principles and practices of the patent system, including the flexibilities existing in the system, and enhanced understanding and further clarification of current and emerging issues that arise in relation to patent-related matters.</p>	<p>Increased number of debates on, and use of, the legal principles and practices of the patent system.</p>	<p>Decision by Member States to discuss a number of patent-related issues in the SCP (open-ended list) as well as patent-related flexibilities in the CDIP.</p>	<ul style="list-style-type: none"> <li>- Through neutral and balanced legal and policy advice, 23 Members States, one Regional Group and one Regional Office have been assisted to be able to better determine the patent/utility model/undisclosed information/integrated circuits legal framework that fits their needs.</li>   <li>- Two documents on patent-related flexibilities were discussed by the CDIP; the first one of a series of regional seminars aiming to promote the interchange of experiences in the implementation of patent-related flexibilities, was held in the Asian region</li>   <li>- Consultations on a number of patent laws and policies held in capitals (22 short terms missions) and Geneva based meetings (12 study visits to WIPO HQ) allowed for a better understanding of the patent system and patent law</li>   <li>- Guidance and input was provided through 12 written answers to queries or policy papers submitted for comments (IP Strategies and/or Plans)</li>   <li>- Discussions on a number of patent-related issues in the SCP by Member States which actively participated in the debates through the submission of inter-sectional comments and of proposals during the SCP sessions.</li> </ul>

Expected Result	Performance Indicators and Targets	Baseline	Performance Data
			<p>- A questionnaire on Exceptions and Limitations to Patent Rights received responses by more than 70 Member States and regional Patent Offices.</p> <p>- A study on patents and the public domain was discussed by the CDIP and a Project on Patents and the Public Domain was adopted for its implementation.</p>
<p>2. Evaluation of the progress of the assistance related to efforts for the implementation of the Singapore Treaty and of the benefits resulting from such implementation has been finalized.</p>	<p>Issues limiting implementation of the Singapore Treaty and the benefits resulting from such implementation have been identified.</p>	<p>No previous evaluations.</p>	<p>Report on the assistance related to implementation efforts and the benefits resulting from such implementation (paragraph 8 of the Resolution Supplementary to the Singapore Treaty) presented to the third (second ordinary) session of the Singapore Treaty Assembly (document STLT/A/3/1) and noted by that Assembly.</p>
<p>3. Contribution to the development of the international copyright and related right policy and legal framework and of a global copyright infrastructure.</p>	<p>Decisions and requests resulting from the SCCR.</p>	<p>Thirty decisions and requests (2008/09).</p>	<p>20 decisions and requests resulted from the SCCR sessions.</p>
<p>4. Greater cooperation and coordination between the work of WIPO and that of other international processes concerning Traditional Knowledge (TK), Traditional Cultural Expressions (TCEs) and Genetic Resources (GRs).</p>	<p>Number of processes of other international fora and agencies which explicitly recognize WIPO's distinct technical IP expertise and input. Target: Four.</p>	<p>Fourteen processes in 2008/09.</p>	<p>WIPO was invited to participate in and provide IP-related information to meetings and activities of the Convention on Biological Diversity (CBD), World Trade Organization (WTO), Food and Agriculture Organization (FAO), Office of the High Commissioner for Human Rights (OHCHR), World Health Organization (WHO), the UN Permanent Forum on Indigenous Issues, the Expert Mechanism on the Rights of Indigenous Peoples, United Nations Educational Scientific and Cultural Organization (UNESCO) and the Interagency Support Group on Indigenous Issues.</p>

Expected Result	Performance Indicators and Targets	Baseline	Performance Data
5. Submission of proposals as to how the PCT system as a whole might be improved so that it delivers results which meet the needs of applicants and designated Offices of all types and which assist Offices in ensuring rapid resolution of rights in the national phase.	Feedback from Member States on the quality of the proposals.	n/a	Delegations of Member States represented at the 2010 and 2011 sessions of the PCT Working Group expressed their appreciation for the preparatory work for the sessions by the Secretariat, including the informal briefing sessions held in the run-up to the meetings, and for the quality of the working documents submitted for the consideration by the Working Group (see the reports of the sessions, documents PCT/WG/3/14 Rev. and PCT/WG/4/17).
6. Increased international coverage of the Madrid system.	Eight new Contracting Parties to the Geneva Act.	Thirty six contracting parties to the Geneva Act.	Azerbaijan, Finland, Germany, Monaco, Montenegro, Norway, Rwanda, Tajikistan.
7. Effective intellectual property protection in the gTLDs and the ccTLDs.	300 ccTLD UDRP cases administered.	16,770 gTLD UDRP and ccTLD cases received and administered by the Center (end 2009).	842 ccTLD UDRP-based were filed with the Center in 2010-2011. 739 of those cases were resolved during that period, with the remainder expected to be resolved in 2012.
8. Effective monitoring, evaluation and reporting on recommendations	Recommendations resulting from monitoring and evaluation are successfully being implemented	Report submitted on 19 recommendations in April 2009	Two Director General's Report on the implementation of the DA submitted respectively to the fifth and seventh sessions of the CDIP. Four progress reports on Recommendations for immediate implementation and on DA projects under implementation were submitted to the sixth and eighth sessions of the CDIP. Each successive report benefited from the Member States guidance as regard substance and presentation.
9. Modernized service-oriented IP administrations with strengthened infrastructure ( <b>Africa</b> ).	Number of countries with modernized IP administration and extending value added IP services to the users.	Limited capacity for reaching out to the user community by national or regional IP administrations.	Eight countries namely Botswana, Ethiopia, Kenya, Madagascar, Mozambique, United Republic of Tanzania, Uganda and Zambia with strengthened infrastructure through IPAS/WIPOscan.

Expected Result	Performance Indicators and Targets	Baseline	Performance Data
10. National IP strategies and legislations have been aligned to national development strategies and plans as well as to international IP treaties and agreements.	Some 15 new countries with developed national IP capacity-building programs and IP strategies, dovetailed with national development plans.	Limited capacity for reaching out to the user community by national or regional IP administrations.	(1) Adopted or revised IP strategies: Albania, Bulgaria, Croatia, Hungary, Romania, Kyrgyzstan, Moldova (total - seven)  (2) Initiated IP strategies: Armenia, Belarus, Bosnia and Herzegovina, Israel, Malta, Serbia, FYR of Macedonia, Ukraine and Turkey (total-nine).
11. Enhanced networks and efficiency of international cooperation for IP training and education among Member States.	Increased geographical representation of key cooperation partners at the Network.	Twenty one partners.	Twenty four partners.
12. Wider acceptance and more effective use of International Classifications and WIPO Standards.	Increased number of contracting parties to corresponding Agreements.	Information available on WIPO web site.	IPC: two new members Nice: one new member Vienna: three new members Locarno: one new member.
13. Improved use of patent information through the development of patent landscapes and related tools covering selected topics.	Percentage of participants of the online tutorial on patent information and patent landscaping and regional conferences on patent landscaping using the new knowledge and skills on the job by office and country.	None - end 2009, (on-line tutorial will be made available only in 1Q of 2011).	The online tutorial is to be completed in mid-2012; four regional conferences were organized during the biennium in Africa, (Addis Ababa), ASPAC (Singapore), CEAC (Moscow) and LAC (Buenos Aires); see also the TISC progress and needs assessment questionnaire – Dec. 2011.
14. Enhanced efficiency of IP institutions through automation of business processes.	Increased efficiency in 42 IP offices during the 2010/11 biennium. This will be achieved by providing the automation assistance package and training. Efficiency will be measured based on agreed efficiency criteria.		91 IP Offices were visited during the biennium, sometimes more than once.  Efficiency was increased in 58 IP Offices across regions through the delivery of WIPO's modernization products and services.

Expected Result	Performance Indicators and Targets	Baseline	Performance Data
15. Improved theoretical, empirical and practical understanding of the impact of IP systems on development.	Number of users by agency and country of published studies commissioned in response to demand by Member States in relation to the total number of publications.	A new activity.	Three country studies on IP and economic development themes were launched. As foreseen in project CDIP/5/7, these studies will only be completed in 2012/2013.
16. International cooperation and the integration of IP issues in building respect for IP related activities of partner Organizations.	Number of activities related to building respect for IP of inter-and non-governmental organizations with common goals organized by key leading partner organizations and the private sector.	Twenty activities - end 2009.	The Program participated in 34 activities of partner organizations relating to building respect for IP in the framework of Strategic Goal VI.
17. Distinctive and practically useful information resources combining policy analysis with enhanced use of patent information for policy-makers and practical tools for open innovation.	Number and scope of new policy tools and studies, and patent information analyses and data tools Target: four in-house and four externally commissioned policy studies; six patent landscapes; a functioning platform for open innovation and: 1, diffusion of green technology, and 2, R&D for Neglected Tropical Diseases.	Patent landscapes established concerning influenza virus, neglected diseases, the rice genome and policy studies concluded on avian flu, technology transfer under Multilateral Environmental Agreements (MEAs), public interest IP management, bioethics.	<ul style="list-style-type: none"> <li>• The new consortium WIPO Re: Search – Sharing Innovation in the Fight Against Neglected Tropical diseases was launched in October 2011.</li> <li>• Following the launch of WIPO Re: Search on October 26, 2011, a web site specific website was published (<a href="http://www.wiporesearch.org">www.wiporesearch.org</a>)</li> <li>• A pilot version of <i>wipo green</i> – The Sustainable Technology Marketplace is available online since the second half of 2011.</li> <li>• Upon a request from WHO in December 2010, a WIPO Patent Search Report on Pandemic Influenza Preparedness (PIP)-Related Patents and Patent Applications was prepared to be presented in the WHO Meeting of the Open-Ended Working Group of Member</li> </ul>

Expected Result	Performance Indicators and Targets	Baseline	Performance Data
			<p>States on Pandemic Influenza Preparedness: Sharing of Influenza Viruses and Access to Vaccines and other Benefits (OEWG) in April 2011</p> <ul style="list-style-type: none"> <li>• The summary reports of the two joint WHO/WTO/WIPO Symposia, commonly prepared by WHO, WIPO and WTO were published.</li> <li>• Two new publication series have been launched: <ul style="list-style-type: none"> <li>- First Global Challenges Brief: “When policy meets evidence: What’s next in the discussion on intellectual property, technology transfer &amp; the environment?”</li> <li>- First Global Challenges Report “The Role of IP Rights in the Transfer of Environmentally Sound Technologies”</li> </ul> </li> <li>• Proceedings of Seminar on How the Private and the Public Sectors Use Intellectual Property to Enhance Agricultural Productivity have been published.</li> </ul> <p>The six patent landscapes were executed and completed by Program 14.</p>
<p>18. Enhanced use of the WIPO Library’s information resources.</p>	<p>Increased number of visitors to the Library premises and increased demand for the Service’s information resources.</p>	<p>Eleven visitors per week to the Library in 2008/2009.</p>	<p>Twelve visitors per week in 2010; 25 per week since moving to the New Building in June 2011.</p>
<p>19. Greater understanding among industry groups and civil society of WIPO’s work and the developmental benefits of IP; and enhanced participation of civil society in WIPO activities in accordance with criteria regarding NGO acceptance and</p>	<p>Additional public and private sector partnerships.</p>	<p>No guidelines. No formal public and private sector partnership agreements.</p>	<p>Draft prepared</p> <p>Three partnerships.</p>



Expected Result	Performance Indicators and Targets	Baseline	Performance Data
accreditation (DA recommendation 42).			
20. The essential conditions – internal coherence, corporate regulation and alignment to strategic goals are in place for providing effective strategic direction, support to the Member States and delivery of results	The Organization has an effective governance structure comprising clear ERs linked to strategic goals.	No Senior Management tier in place. No intermediate level established between the nine Strategic Goals of the Organization and the ERs in biennial P&B.	- Fully functioning SMT in place. - MTSP 2012/2015 noted by Member States.
21. Coherent regulatory framework in place in respect of the use of financial resources and post management ensuring that all financial operations executed with probity.	Financial operations and budget management conform to the provisions of the applicable WIPO conventions and treaties, the WIPO FRR and appropriate applicable accounting standards.	Documentation of policies, rules and procedures ready and available for use.	This is ongoing work; however, a review of OIs was performed to identify those requiring an update. Office Instructions on Official Hospitality updated accordingly. Updates to FRR submitted to Assemblies to reflect changes (IAOD and IAOC). Policies approved and promulgated within the biennium, prepared by the Program included. Budgetary Process Applied to Projects Proposed by the CDIP for the implementation of the DA Recommendations; Policy on Reserves and Principles Applied in Respect of the Use of Reserves; Policy on Investments; WIPO's Capital Planning and Management Framework. The Program also contributed to the formulation of the Long-Serving Temporary employees: Regularization Strategy.
22. Improved recruitment and training processes supported by automation and adequate resources.	Percentage of income invested in staff development.	Percentage of income invested in staff development in 2009 was 0.37 per cent of mass salary.	An increase in budget allocation to improve percentage of income invested in staff development to one per cent was proposed, but it was not approved. Percentage achieved: 2010: 0.44 per cent 2011: 0.46 per cent

Expected Result	Performance Indicators and Targets	Baseline	Performance Data
23. Optimal use and occupation of premises (including new building).	Allocation of office spaces within existing (owned and rented) premises without any additional rental of premises.	<p>Occupancy rate of available office spaces was 94 per cent (end 2009) as follows:            -1,400 workplaces available in all owned buildings (AB, GBI, GBII, PCT) and rented buildings (P&amp;G, CAM);            -1,320 persons were allocated workplaces (including staff on post, G short-termers, T translators revisers, consultants and SLCs, interns, SSAs, and employees of external companies).</p> <p>The 6 per cent empty workplace rate is close to the lower bracket of the minimum business standard of 5-10 per cent.</p>	<p>Occupancy rate of available office spaces was 92 per cent (end 2010) and 87 per cent (end 2011) as follows:            - 1,457 workplaces were available in 2010 following the conversion of certain spaces and 1,579 in 2011 due to the opening of the New Building and the implementation of a stricter office space allocation policy, and despite a number of limitations or constraints;            - In 2010, 1,346 and in 2011, 1,374 persons were allocated workplaces (including staff on post, G short-termers, T translators revisers, consultants and SLCs, interns, SSAs, and employees of external companies)</p> <p>Empty workplace rate: 8 per cent in 2010 and 13 per cent in 2011, i.e. a further improvement securing the necessary flexibility for the medium-term.</p>
24. Enhanced service delivery and cost-effectiveness of high quality external IT service provisioning.	Cost of the ICT services (spend on the ICT program including staff and associate overheads) as a percentage of the organizational running cost (expenditure).	Total expenditure for Program 25 amounted to 45.2 million Swiss francs (2008/2009) i.e. 7.83 per cent of total expenditure for the Organization in 2008/2009	Total expenditure for Program 25 for the corresponded to 7.25 per cent of total expenditure for the Organization in 2010/2011.
25. An effective and professional internal audit is in place covering all high risk work areas.	At least 10 audits completed during the biennium.	Four audits were completed in 2008. Five audit reports were issued in 2009.	Fourteen audits (six audits in 2010 and eight audits in 2011) were finalized and reports were issued.

Expected Result	Performance Indicators and Targets	Baseline	Performance Data
26. Increased effectiveness of the conference, language, printing, records management/ archiving and mail expedition services for all requisitioners and users.	Development of an effective and comprehensive language policy and definition of related resource allocation needs to cover meetings, publications and the WIPO web site.	Current policy and resources do not meet needs expressed by Member States.	The WIPO Language Policy was considered in the 2010 and 2011 General Assemblies. Decision was taken in 2011 to extend six-language coverage to all Committees and Main Bodies of WIPO from 2012. Six-language coverage extended to SCCR and SCT in 2010-2011.
27. Quality assurance: Satisfactory and improved safety and security at high-level WIPO hosted conferences and meetings, in Geneva and elsewhere as well as in the WIPO Coordination Bureaus.	Percentage of the total risk assessments and audits carried out for HQ and coordination premises, conferences, meetings and various functions that meet UN security management system standards.	Approximately 80 per cent of the total risk assessments and audits carried out for HQ and coordination premises, conferences, meetings and various functions did meet UN security management system standards.	In 2010/2011 there were seven audits undertaken at our Coordination Bureaus and in addition there were two external events, which SSCS managed directly and another three external conferences/meetings where UN DSS in the country assisted WIPO by coordinating the safety and security of the event.
28. Construction work on time and within the budgetary limits.	Monitor budgetary envelope for the new construction and as approved by the Member States.	n/a.	Expenditure was well within the budgetary limits at the end of 2011, leaving a total uncommitted and unspent amount of 4.5 million Swiss francs.
29. Enhanced capacity of SMEs support institutions, including universities and SMEs training institutions, to provide IP information, support and advisory services to their constituencies.	Number of SMEs support institutions, including universities, using WIPO material or material based on WIPO products in their awareness and capacity building services.	Data not available.	<p>The annual WIPO- Korean Intellectual Property Office (KIPO)- Korean Advanced Institute of Science and Technology (KAIST)- Korean Invention Promotion Association (KIPA) advanced international certificate course based on the English IP PANORAMA was organized yearly during the biennium.</p> <p>Two National Conferences in India one sub regional conference in Bratislava and two forums for Organisation for Economic Co-operation and Development (OECD) countries on Sharing of Best Practices on IP for Micro, Small and Medium Entreprises</p>

Expected Result	Performance Indicators and Targets	Baseline	Performance Data
			<p>(MSMEs)</p> <p>Three Seminars held in Africa on Improving Competitiveness on Clusters-based MSMEs through the use of IP and Competitive Intelligence.</p> <p>Fact-finding Missions to Ethiopia, Uganda, and the United Republic of Tanzania on sectoral IP development strategy for small scale producers in the agricultural sector.</p> <p><u>Training of Trainers (TOT) Programs:</u> Eight TOT Programs on Effective IP Asset Management by SMEs were carried out in 2010, and 20 such TOT Programs in 2011.</p>

[End of Annex V and of document]