

## Program and Budget Committee

**Twenty-Second Session**  
**Geneva, September 1 to 5, 2014**

### ANNUAL REPORT ON HUMAN RESOURCES

*prepared by the Director General*

1. At its September 2012 session, the Program and Budget Committee (PBC) “requested that the Human Resources annual report to the WIPO Coordination Committee be also presented in the future to the autumn session of the PBC for its consideration.” Pursuant to this decision, the present document contains the Annual Report on Human Resources (document WO/CC/70/1), which is being submitted to the WIPO Coordination Committee at its September 2014 session.

2. The following decision paragraph is proposed.

3. *The Program and Budget Committee considered the contents of the Annual Report on Human Resources.*

[Document WO/CC/70/1 follows]

## **WIPO Coordination Committee**

**Seventieth (45<sup>th</sup> Ordinary) Session  
Geneva, September 22 to September 30, 2014**

ANNUAL REPORT ON HUMAN RESOURCES

*prepared by the Director General*

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## I. INTRODUCTION

1. The three-year Human Resources (HR) Strategy issued in July 2013 and presented at the September 2013 annual meeting of Member States established the road map according to which the HR policy is being implemented. The overall HR Strategy is aimed at enabling globally integrated services. It has four main objectives:

- (i) Improve WIPO's responsiveness to evolving global IP needs through an agile and geographically diverse workforce, skills realignment, improved workforce reporting and faster HR processes.
- (ii) Position WIPO as a premier provider of global IP services. This requires leaner core structures and flexible demand capacity as well as state-of-the-art IT service delivery, combined with the highest levels of IT security and related systems.
- (iii) Confirm WIPO as an employer of choice for international IP experts and other professionals and support staff, offering competitive conditions of employment, a conducive work environment, opportunities for professional development, work-life balance and a family-friendly living environment.
- (iv) Further improve organizational efficiency through effective harnessing of resources by doing more with less, careful workforce management and integration of best practices and systems.

2. This annual report provides an update on HR activities and initiatives which are the vehicles for reaching these objectives. The reporting period generally covers the calendar year from January to December 2013; where no dates are mentioned in the narrative, it should be understood that reference is made to the calendar year 2013. In certain instances where the reporting period is different, the dates are specified. Mindful of providing the latest update possible, every effort has been made to generate key data covering the 12-month span since the last reporting date, i.e., from July 2013 to June 2014, the month preceding the issuance of the present report.

3. Part II of this report shows key data on WIPO staff and the entire workforce. Data on the geographical distribution of staff are also provided. They are presented upfront as their graphics format helps readers to grasp the narrative that follows. Part III discusses the specific activities which support and animate the HR Strategy; these activities are subsumed under its four main objectives. Additionally, since HR comments and recommendations form part of the Joint Inspection Unit (JIU) Report "Review of Management and Administration in the World Intellectual Property Organization (WIPO)"<sup>1</sup> (the JIU Report), which was issued in early 2014, reference is made, to the extent possible, to the JIU observations, consistent with WIPO's commitment to incorporate best practice. Part IV discusses other HR matters and Part V outlines the challenges and outlook for the remaining period of the HR Strategy. Finally, Part VI contains items for reporting to the WIPO Coordination Committee, for information or in compliance with WIPO's statutory obligation under the Staff Regulations and Rules (SRR).

4. There are three annexes to this report. Annex I contains HR statistics which provide more detailed data concerning the WIPO workforce. This annex complements the snapshot data provided

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<sup>1</sup> JIU/REP/2014/2.

at the beginning of Part II. Annex II contains graphs simulating the effect per region of the principle of geographical distribution agreed upon by Member States in 1975. Annex III is the Annual Report 2013 of the WIPO Ethics Office.

5. A change in terminology is implemented in this report. Since the amendments of the SRR in 2012, the term “WIPO staff” now includes staff with temporary appointments, collectively called temporary staff. They are included in data on WIPO staff. By virtue of the statutory limit of such appointments, which cannot exceed a cumulative period of two years, temporary staff form part of the flexible component of WIPO’s workforce. The non-staff category includes interns, fellows, short-term translators/revisers, individual contractual services (ICS) and temporary agency personnel.

6. The term “WIPO workforce” is a broader term which includes both staff and non-staff personnel of WIPO.

## **II. WIPO WORKFORCE – SNAPSHOT DATA**

7. At the heart of the HR Strategy is the need for a more agile workforce structure to meet changing business needs in order to ensure sustainable organizational performance. A core staff component will remain essential to ensure continuity of key functions for which technical and specialized knowledge are required; however, the appropriate use of flexible resources in line with operational needs will be a significant part of the Organization’s workforce planning. Flexible resources will be: temporary appointments, fellowships, internships, ICS contracts, temporary agency personnel and Junior Professional Officers (JPOs).

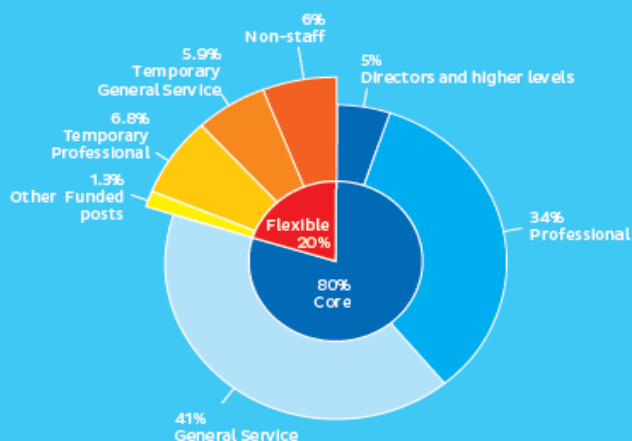
8. Over the past year, the number of core staff has increased slightly to 80 per cent from 79.1 per cent in order to absorb the long-serving short-term employees (LSTE). Over time, a greater use of flexible contracts will enable the Organization to meet the needs of changing strategic directions and surges in work demand, while preventing the re-occurrence of the LSTE population and its attendant financial consequences. WIPO aims to gradually increase the flexible component of its workforce, also with a view to achieving cost containment and limiting long-term financial liabilities.

9. What follows are snapshot data of the WIPO workforce.



# WIPO WORKFORCE

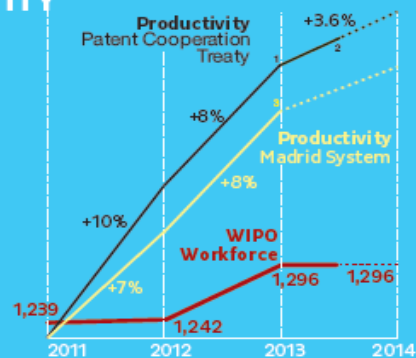
## WORKFORCE AT A GLANCE



Staff in regular-funded posts	1,037
Staff in other funded posts	17
Temporary staff	164
Non-staff	78
<b>Total</b>	<b>1,296</b>

## WIPO WORKFORCE PRODUCTIVITY

We do more with the same workforce



1 As of December 2013, Source: PCT  
2 As of June 30, 2014, Source: PCT  
3 As of December 2013, Source: Madrid System

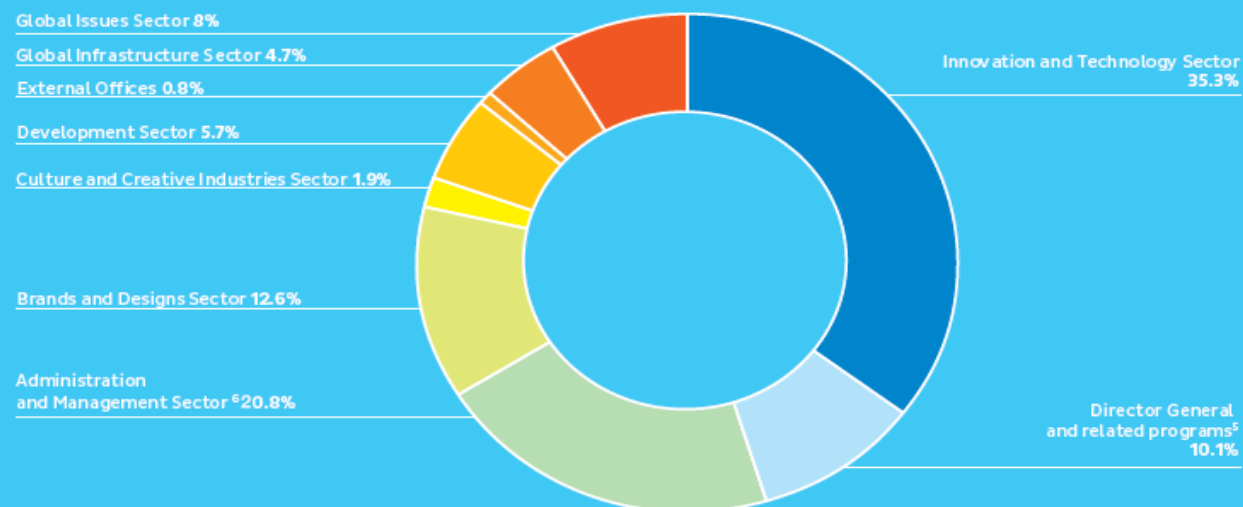
## STABLE STAFF COSTS

Percentage of staff costs in WIPO's budget<sup>4</sup>



4 Source: Program and Budget

## STAFF BY SECTOR



<sup>5</sup> DG Front Office, Office of DG, Office of Legal Counsel, Human Resources Management Department, Economics and Statistics Division, Internal Audit and Oversight Division, Office of the Ombudsman and Department for Transition and Developed Countries

<sup>6</sup> Office of the Assistant Director General, Information and Communication Technology Department, Conference and Language Department, Procurement and Travel Division, Department of Program Planning and Finance, Safety and Security Coordination Service and Premises Infrastructure Division

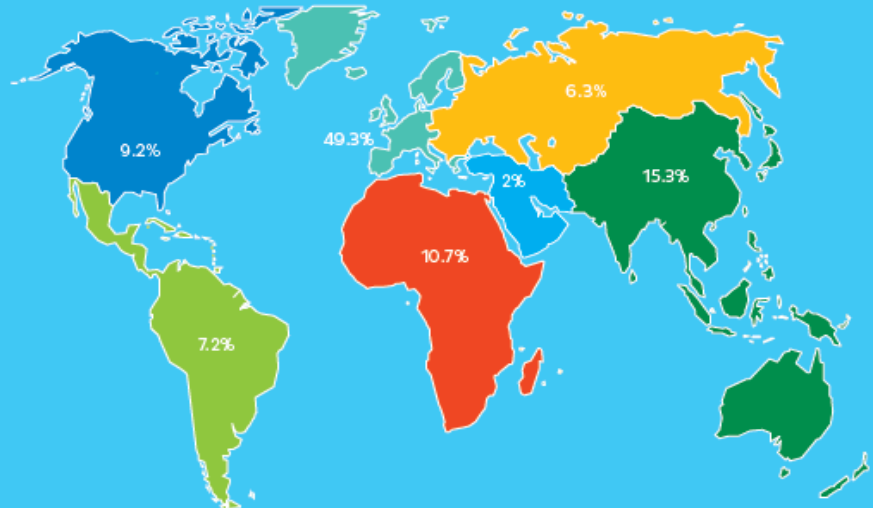
# GEOGRAPHICAL DIVERSITY AND GENDER BALANCE

## STAFF BY REGION

Our staff come from 118 countries<sup>1</sup>

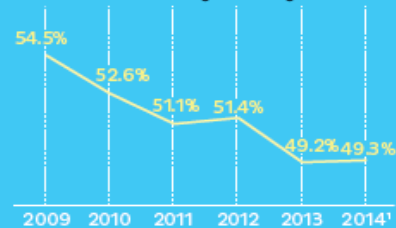
### Professional and higher categories by region (regular + temporary)

Asia and the Pacific	93
Eastern and Central Europe and Central Asia	38
Middle East	12
Latin America and the Caribbean	44
North America	56
Western Europe	300
Africa	65
<b>Total</b>	<b>608</b>

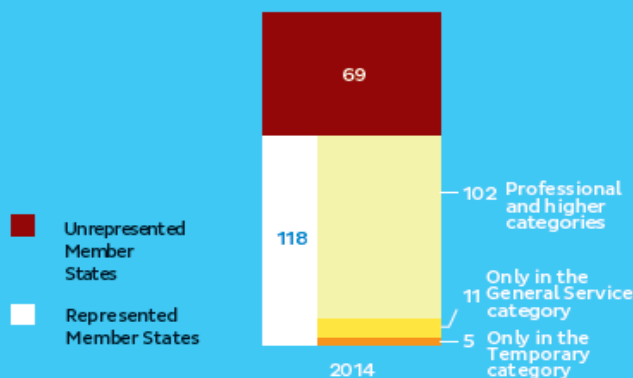


<sup>1</sup> As of June 2014

Percentage of staff from Western Europe in Professional and higher categories



## GEOGRAPHICAL DIVERSITY



### List of unrepresented Member States (69)

Albania, Andorra, Angola, Antigua and Barbuda, Armenia, Bahamas, Bahrain, Belize, Bhutan, Bosnia and Herzegovina, Botswana, Brunei Darussalam, Burundi, Cabo Verde, Central African Republic, Chad, Comoros, Congo, Cyprus, Djibouti, Dominica, Dominican Republic, Equatorial Guinea, Eritrea, Estonia, Fiji, Gambia, Georgia, Guinea, Guyana, Holy See, Kiribati, Kuwait, Liechtenstein, Lithuania, Luxembourg, Maldives, Malta, Monaco, Montenegro, Mozambique, Namibia, Oman, Panama, Papua New Guinea, Paraguay, Qatar, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Samoa, San Marino, Sao Tome and Principe, Saudi Arabia, Sierra Leone, Somalia, Suriname, Swaziland, Tajikistan, Togo, Tonga, Turkmenistan, Tuvalu, United Arab Emirates, Uzbekistan, Vanuatu, Viet Nam, Yemen, Zambia

## GENDER BALANCE

Gender balance has improved; senior levels require further attention

### Women representation



<sup>2</sup> As of June 2014

### III. UPDATE ON THE HUMAN RESOURCES (HR) STRATEGY 2013-2015

#### A. Highlights of the annual report

10. The HR Strategy 2013-2015 contributes to the achievement of Strategic Goal IX on efficient administrative support, in which WIPO's HR component plays a central role – defining strategies, driving programs and implementing activities.

11. Since the last reporting period, positive results and further improvements continue to be posted on the principal indicators for achieving efficient and effective HR management and development. These are the highlights of the present report.

##### *Enhanced communications*

- A number of all-staff briefings were held, and regular messages were sent to staff on HR initiatives, to enhance staff understanding of the rationale and main changes introduced by the initiatives.

##### *Organizational design to meet business needs*

- Workforce planning was mainstreamed through its integration in the biennial and annual organizational planning.
- An increased focus was placed on redeployment and realignment of skills to meet business needs.

##### *Clear contractual framework*

- A policy on ICS was published to provide the framework and clear conditions for contracting non-staff resources and to establish the appropriate procurement procedures for services performed under these contracts, completing the review of WIPO's contractual framework.

##### *Embracing new technology*

- The implementation of the Enterprise Resource Planning (ERP) system took place in February 2014 to support an optimized delivery of HR services.
- Electronic voting was introduced in WIPO on a pilot basis in a staff election which took place in June 2014.

##### *Increasingly professionalized recruitment process*

- Recruitment time was cut by more than half for fixed-term posts to an average of 16.03 weeks from 37.7 weeks in 2011. Tests were undertaken in 93 per cent of P-level competitions and assessment centers were increasingly used to fill strategic roles.

##### *Focus on staff development and recognition*

- Performance evaluation which measures performance against individual staff objectives and competencies is institutionalized.
- A new Learning and Development Policy was implemented to facilitate relevant learning and development for staff and to reduce skills gaps.
- A pilot Rewards and Recognition Program of individual and team performance was launched through a combination of monetary and non-monetary incentives, with clear links with WIPO's core values and strategic goals, as well as the Performance Management and Staff Development System (PMSDS).



*Greater geographical and gender diversity*

- WIPO committed to achieving gender balance at all levels by 2020 and to ensuring that gender considerations are part of its programs and projects. A Gender and Diversity Specialist was recruited and the WIPO Policy on Gender Equality and Action Plan will be issued in 2014.
- Outreach campaigns and increased interaction with Member States were initiated to increase the Organization's geographical diversity.

*New Internal Justice system*

- The revised SRR on disciplinary measures and conflict resolution entered into force on January 1, 2014, and Office Instructions were issued to provide the policy framework for the new Internal Justice system.
- The new Joint Advisory Group (JAG) was established with effect from June 23, 2014, to advise the Director General on personnel or administrative matters. Staff may directly petition the JAG, providing an additional channel of communication to enhance staff-Management relations.

**B. Improve WIPO's responsiveness to evolving global intellectual property (IP) needs**

*Adequate structures and workforce size*

12. WIPO continues the application of organizational design principles to enable the Organization's strategic objectives to be met through effective HR planning and utilization. A key component is the "mainstreaming" of workforce planning through its integration in the biennial and annual organizational planning.

13. As a first step, the process of allocating personnel to program activities has been refined to allow for improved reporting on the use of the Organization's human resources.

14. Briefings on workforce planning per sector were delivered to managers who, with effect from the current biennium, are required to develop detailed work plans for their respective areas. The benefits of workforce planning are more predictability and greater efficiency in the use of resources. Managers are supported in the development of their workforce plans by the Human Resources Management Department (HRMD) and through the provision of relevant data showing key information on their workforce. Managers will shortly have access to this information through a new business intelligence system.<sup>2</sup>

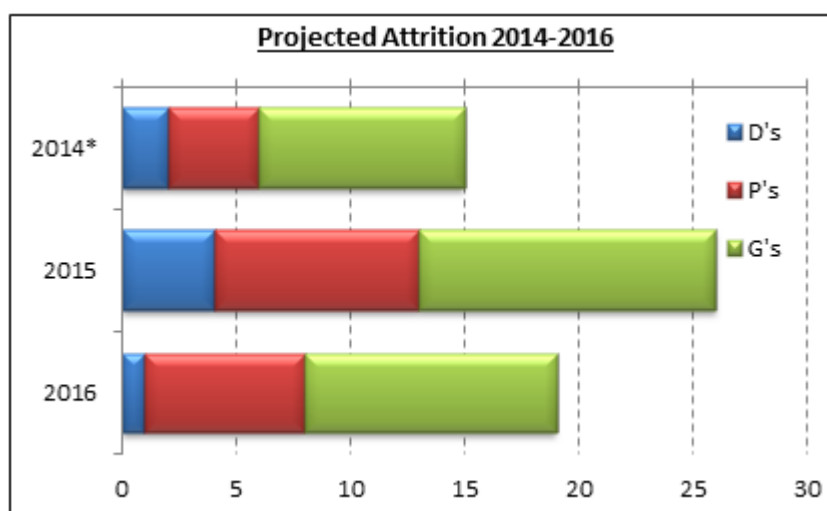
15. In some critical areas where business needs are evolving rapidly, specific HR strategies need to be developed in collaboration with management to better anticipate changing needs and required adaptations in structure and workforce size. In the first half of 2014, HRMD engaged in specific support to operational areas like the Patent Cooperation Treaty (PCT) and Madrid Registry.

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<sup>2</sup> Please see paragraphs 64 and 65, below, concerning business intelligence.

*Competencies and skills to meet business needs without additional headcount*

16. WIPO must add resources to new priority areas. In a no-growth context, this can only happen through prudent reallocation of resources. Whenever possible, the reallocation of posts will be achieved through retirements and turnover. However, WIPO's ability to align competencies and skills to meet new business needs is hampered due to a low attrition rate (only 2.7 per cent of departures in 2013 due to retirement), limited turnover (1.2 per cent in 2013) and a stable headcount (see Figure 1).



\* From July to December 2014

**Figure 1:** Projected attrition rate (i.e., retirement) over the next three years

17. Skills re-alignment fills the gap through recruitment of new expertise and know-how. In the course of 2013, some 15 posts were redeployed to new priority areas identified during the organizational design review process in 2012. Half of these posts were General Service posts, mainly with administrative/secretarial functions, and most of them were converted to Professional posts. This trend will continue with further professionalization of WIPO's workforce. The majority of these redeployed posts came from the Administration and Management Sector and the Innovation and Technology Sector (in PCT), primarily as a result of increased automation and the introduction of new technologies. This permitted the strengthening of technical roles in the Global Infrastructure Sector, ICT upgrading, staffing of External Offices and recruitment for new roles in Business Continuity and Global Health.

18. WIPO is putting in place organization-wide approaches for the re-alignment of staff skills with business priorities. Job descriptions are being reviewed and updated with new technical skills requirements. This started in 2013 and to date, around 400 job descriptions have been reviewed. Completion of the exercise is expected in early 2015.

19. Through the workforce action plans currently being developed as part of the workforce planning mainstreaming initiative, capacity gaps are being assessed at the divisional level, which will help to develop training initiatives.

20. Internal capacity to support a more thorough assessment of skills and competencies during recruitment is being strengthened.

- 25 staff members were trained in competency-based interviewing in 2013; and
- external Assessment Centers were used in 50 per cent of D-level competitions.

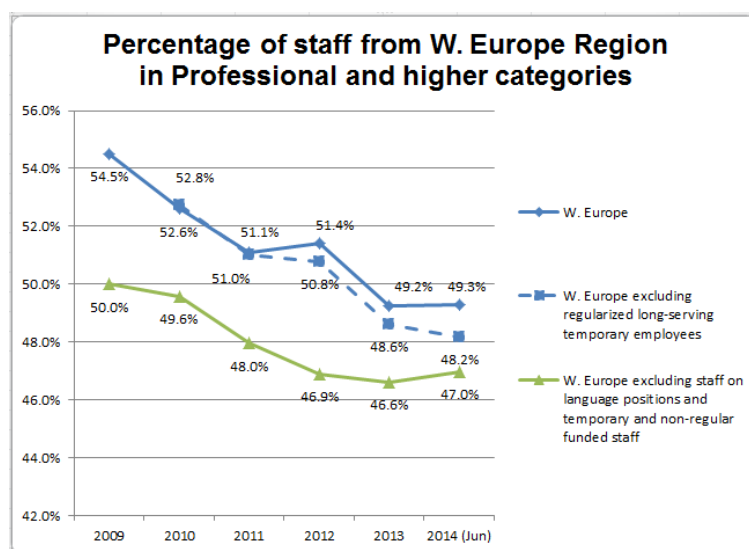
*Timely succession planning*

21. Through the mainstreaming of workforce planning, WIPO will transition to a formal succession planning mechanism whereby, on an ongoing basis, managers will identify, develop and assess talent to ensure continuity for all posts and take the necessary measures for transferring critical knowledge ahead of retirements and securing business continuity. In May 2013, succession planning guidelines were issued to ensure that rigorous reviews are completed ahead of retirements in order to determine the best use of posts.

*Geographical diversity*

22. WIPO staff come from 118 countries as of June 2014, including Members States represented by the General Service staff (11 Member States) and temporary staff (five Member States). Taking the Professional and higher categories alone, the number of represented Member States has increased to 102 from 97 five years ago.

23. While WIPO's policy on geographical distribution still requires consideration by Member States, the Organization is making efforts to address imbalances, notably the large proportion of staff from Western Europe in the Professional and higher categories as compared to other regions. Gradual improvement has been achieved in addressing over-representation. The percentage of staff from Western Europe in the Professional and higher categories, including language posts, has decreased from 54.5 per cent to 49.3 per cent in the last five years (see Figure 2).



**Figure 2:** Percentage of staff from Western Europe region in the Professional and higher categories, June 2014

24. The integration of LSTEs since 2010, however, has had a negative impact on WIPO's geographical diversity. Out of 29 integrated LSTEs in the Professional and higher categories to date, 21 (72 per cent) were from Western Europe.

25. Upcoming retirements nevertheless present an opportunity for the Organization to improve geographical diversity. Out of the 80 staff members in the Professional and higher categories who are due to retire between July 2014 to December 2019, 35 staff members (43.8 per cent) are from Western Europe (see Figure 2bis).

**Retirements by region (Professional and higher) 2014\* - 2019**

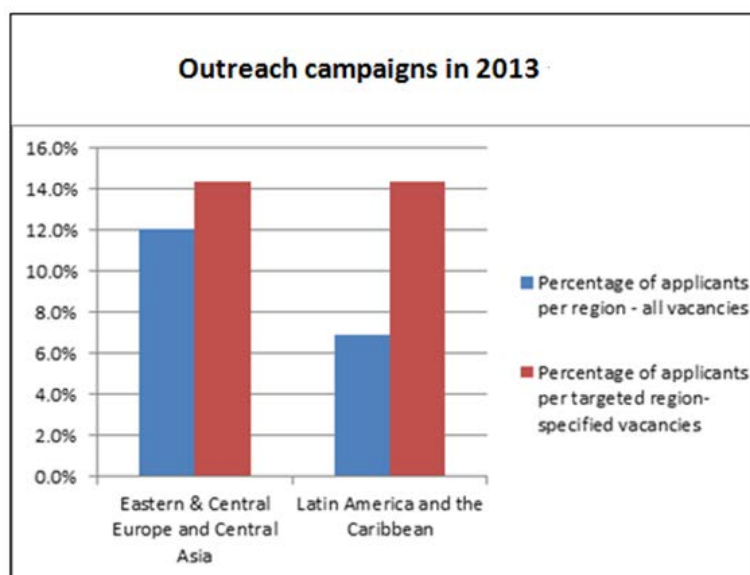
	2014	2015	2016	2017	2018	2019	Total	Per cent
Africa	2	1	1	2	2	2	10	12.5%
Asia and the Pacific	1	1	1	2	2	5	12	15.0%
Eastern and Central Europe and Central Asia	1	1	1	1	1		5	6.3%
Latin America and the Caribbean		2	1	1	2	1	7	8.8%
Middle East		1					1	1.3%
North America	1	1		2	4	2	10	12.5%
Western Europe	3	7	5	3	10	7	35	43.8%
<b>Total</b>	<b>8</b>	<b>14</b>	<b>9</b>	<b>11</b>	<b>21</b>	<b>17</b>	<b>80</b>	

\* From July 2014

Figure 2bis: Expected retirements for the Professional and higher categories by region, 2014-2019

26. Intensifying efforts to increase geographical diversity through better representation of other regions, two pilot outreach campaigns were conducted in 2013 and 2014, each for three posts. The campaigns included targeted advertising of WIPO vacancies in unrepresented Member States and poorly-represented regions. Vacancy notices were also circulated in national IP Offices. HRMD engaged directly with some Member States and regional groups to help bring about an increase in the number of high quality applications.

27. The campaigns successfully increased the proportion of job applicants from targeted regions. Applicants from Eastern and Central Europe and Central Asia increased to 14.1 per cent as compared to the 2013 average of 12.1 per cent. The rise is even more significant with the campaign in the Latin America and the Caribbean Region. Applications more than doubled at 14.4 per cent as compared to the 2013 average of 6.9 per cent for (see Figure 3).



**Figure 3:** Comparison of percentage of applicants between regular vacancies and vacancies with targeted regional outreach, 2013

28. Of the three posts included in geographical diversity outreach campaigns in 2013, one was filled by a candidate from a targeted region. This is an encouraging initial result. Further analysis will take place following the first 2014 campaign to sustain the increased applications of competent candidates from targeted regions. In addition, WIPO will increase its use of flexible contractual modalities for the sourcing of personnel such as fellowships, JPOs, temporary contracts. This will create more opportunities for candidates from unrepresented and underrepresented regions and bring about an overall improvement in geographic diversity more rapidly.

### C. Position WIPO as a premier provider of global IP services

#### *Reformed contractual framework*

29. In December 2013, a new policy on ICS was published to provide the framework for contracting non-staff resources, where such contracts are appropriate for the needs of the Organization. Clear conditions and appropriate procurement procedures for contracting non-staff resources for skill-based and delivery-based services were established. More recently, HRMD published a compendium of contracts which provides an overview of all contracts for staff and non-staff human resources within WIPO. This too supports implementation of the contractual reform and guides managers in the use of the different contracts.

30. In developing workforce action plans, special attention will be paid to ensuring that all programs/units have the right balance in terms of contractual arrangements to secure continuing functions while also providing the flexibility to meet one-off and/or fluctuating demands.

31. The regularization process for LSTEs, which was approved by Member States in 2010, is almost complete. Some 67 LSTEs performing continuing functions and having five or more years of continuous and satisfactory service on January 1, 2012, have been regularized over the biennium, mainly through the advertising of 60 posts for the purpose of regularization, as approved by the

Member States for the biennium. An additional 29 long-serving employees were regularized in the first half of 2014. The regularization process is expected to be completed by the end of 2014.

32. As approved by Member States for the 2014-2015 biennium, 66 posts have been allocated for functions assessed to be continuing. This is part of the overall strategy to fully address the misalignment between current organizational needs and personnel resources allocated. Through the new contractual framework, which includes strict time limits for all temporary and non-staff contracts, the long-serving issue will no longer occur. The review of continuing functions is ongoing and provides an opportunity to reassess needs and the optimal use of resources including considerations of cost-efficiency noting that Member States have been clear about containing the proportion of staff cost to overall expenditure. This can only be achieved through prudent management.

#### *Effective recruitment*

33. The implementation of the revised SRR on recruitment, the new Appointment Board composition introduced in 2012 and streamlined recruitment processes cut by more than half the recruitment time for regular posts to an average of 16.03 weeks from 37.7 weeks in 2011 and 17 weeks in 2012. The average recruitment time for temporary recruitment is 10.5 weeks. Recruitment activity was stable in 2013 compared to 2012, with 65 competitions for regular posts and 41 for temporary positions, reflecting a 16 per cent decrease in regular recruitment and a 71 per cent increase in temporary recruitment. Of the 65 regular posts advertised, 44 were in the Professional and higher category and 21 in the General Service category, corresponding to a decrease of about 50 per cent in General Service posts advertised. This is consistent with increased professionalization of the workforce. The competitions for regular posts resulted in the promotion of 14 staff over the period June 2013-June 2014.

34. As noted in the recent JIU report, the composition of the Appointment Boards, which now includes not only the hiring manager but also a representative of HRMD and a representative nominated by the Staff Council, is a positive development. In 2013, out of 41 selections handled by the Boards, there was only one case of a dissenting opinion from the staff representative. Overall the Boards took unanimous positions in 92.7 per cent of recruitment processes, which indicates that the Board members assess them to be fair and in line with established policies and procedures.

35. WIPO has increasingly professionalized the recruitment process for all vacant posts. Panel interviews are now supplemented with written testing and more focus on the evaluation of competencies. Tests were undertaken in 93 per cent of competitions for P-level vacancies. For managerial posts at higher levels, Appointment Boards increasingly made use of external Assessment Centers to evaluate candidates' skills in management areas. External Assessment Center exercises were held in 50 per cent of competitions for D-level positions (see Figure 4).

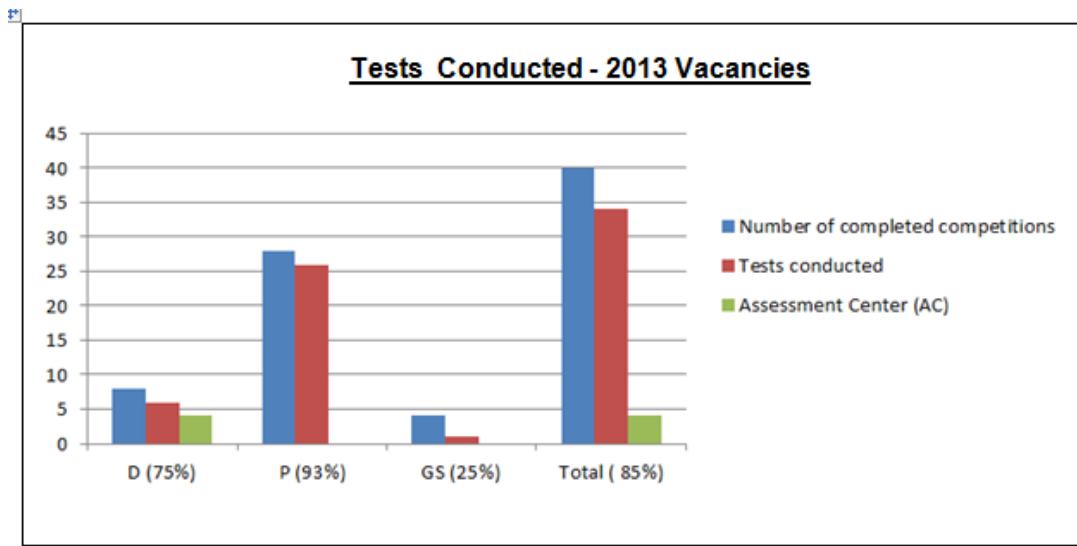


Figure 4: Recruitment processes for all categories (D, P and GS) with percentage of test conducted for each category, 2013

#### D. Confirm WIPO as an employer of choice

##### *Internal and external mobility*

36. HRMD launched a new policy, Internal Transfer Opportunities (ITOs), which provides staff with opportunities for lateral movement within the Organization using an abbreviated selection process. Lateral movement will serve to broaden the professional horizons and skills sets of staff in addition to providing career development opportunities, while improving flexibility of the WIPO workforce. Three ITOs have been advertised, which resulted in one post being successfully filled under this policy. This is an encouraging initial result and other vacancies will be identified which could be filled through ITOs.

37. As WIPO strengthens its presence in geographical regions through the establishment of additional external offices, there will be more opportunities for staff mobility.

38. As regards external mobility within the wider United Nations (UN) System, there have been 27 movements of staff since 2007, either under a transfer, secondment or exchange agreement. WIPO was the receiving organization in 19 of these arrangements, while for eight movements, it was the releasing organization, indicating a general preference for staff coming into or remaining in WIPO.

##### *Occupational health and safety*

39. An external consultant was engaged in April 2013 to review the medical and occupational health services and safety at WIPO. One of the recommendations from this review was the establishment of an Occupational Safety and Health Committee. The committee was created and started its work in January 2014. It is composed of nine members, including representatives of the staff, HRMD, Security, Buildings Management, Medical Services and Social Welfare. The committee held a series of meetings after it defined its terms of reference and rules of procedure. Its role is to monitor the implementation of programs and activities promoting a healthy and safe working environment.

40. The committee has focused on an on-going study on electrosmog pollution in order to verify the risks to staff of exposure to electromagnetic fields, which has been raised as a concern by some.

Independent measurements taken in WIPO premises found that levels are within local norms. An external expert provided relevant information to the committee. The conclusion was that there is limited scientific evidence for any health impact of electrosmog pollution.

41. The committee has also partnered with Webster University on their study concerning psychological health in international organizations. A staff survey will provide WIPO with useful data with a view to designing a strategy around mitigation measures.

42. Following a decision by the committee, refurbishment of the offices housing the WIPO Medical Unit has started. This will improve space dedicated to staff services such as a nursing/breast-feeding room as well as waiting and consultation rooms. Adequate offices for a strengthened medical staff are also included.

43. Recruitment is ongoing for the role of a Staff Welfare Officer, whose mandate will be to put appropriate policies and systems in place and provide advice on a confidential basis to existing staff and newcomers and their families settling in Geneva, and to address any welfare issues.

#### *Staff insurance*

44. The current collective staff insurance contracts (i.e., medical, professional and non-professional accidents, loss of earnings and life) will come to an end in 2014. A tender process is ongoing to select the appropriate service provider/s. The objective is to get the best insurance coverage for staff while keeping costs down for both WIPO and the staff.

#### *Work/life balance*

45. WIPO is committed to providing a flexible work environment to staff allowing staff to align professional and personal life. Paternity leave, family leave in case of unforeseen emergency situations and the additional 90 per cent part-time work arrangement have been introduced to complement the more traditional modalities of maternity leave and part-time work. Figure 5 shows that nearly a quarter of female staff and over 12 per cent of all staff, make use of part-time arrangements.



**Staff on part-time arrangements as at June 2014**

Staff in post*	Women	Men	Total
Total staff in post	552	485	1,037
Part-time	132	4	136
<b>Per cent</b>	<b>23.9%</b>	<b>0.8%</b>	<b>13.1%</b>
Temporary	78	62	140
Part-time	13	1	14
<b>Per cent</b>	<b>16.7%</b>	<b>1.6%</b>	<b>10.0%</b>
Total staff	630	547	1,177
Part-time	145	5	150
<b>Per cent</b>	<b>23.0%</b>	<b>0.9%</b>	<b>12.7%</b>

**Part-time arrangements as at June 2014**

Staff in post *	Women	Men	Total
<b>Full-time staff</b>	485	542	1,027
<b>Part-time staff</b>			
90%	13	0	13
80%	108	4	112
50%	24	1	25
<b>Subtotal part-time</b>	<b>145</b>	<b>5</b>	<b>150</b>
<b>Per cent</b>	<b>23.0%</b>	<b>0.9%</b>	<b>12.7%</b>

**630      547      1,177**

\* Other funded posts not included

**Figure 5:** Number of staff on part-time work arrangements

*Reduced absenteeism*

46. Absenteeism is in a downward trend. A year-on-year comparison shows that absences (sick leave and family-related emergencies) in 2014 are lower than in 2013 (see Figure 6) and significantly down compared to 2012 (see Figure 7).

<b>Absences (days)</b>				
	2013 (Jan-Jun)	Ind(*)	2014 (Jan-Jun)	Average per staff
Sick leave with certificate	5,127	↔	4,992	3.9
Illness more than 60 days in 2014	1,303	↘	883	80.3
Sick leave without certificate	1,001	↘	901	0.7
Family-related emergency	758	↘	686	0.5
	<b>8,188</b>	↘	<b>7,461</b>	<b>5.8</b>

(\*) Unless +/- 5% not considered as indicated difference

**Figure 6:** Year-on-year (2013 vs. 2014) comparative data on absences

Absences (days)				
	2012 (Jan-Dec)	Ind(*)	2013 (Jan-Dec)	Average per staff
Sick leave with certificate	8,464	↗	8,741	6.8
Illness more than 60 days in 2013: 26	2,240	↗	2,756	106.0
Sick leave without certificate	1,640	↗	1,952	1.5
Family-related emergency	2,159	↘	1,463	1.1
	<b>14,503</b>	↗	<b>14,912</b>	11.6

(\*) Unless +/- 5% not considered as indicated difference

Figure 7: Comparative data on absences, 2012 and 2013

### *Investment in staff development*

47. In December 2013, a new Learning and Development Policy was issued in accordance with the HR Strategy to facilitate relevant learning and development for staff and to reduce skills gaps. In 2013, WIPO continued to organize a large number of cross-sectorial group trainings. Collaboration with UNOG on training matters was increased and language training continued in partnership with other organizations (International Telecommunication Union (ITU), International Labour Organization (ILO), World Health Organization (WHO)). These arrangements not only help keep costs down, but they also ensure that WIPO maintains the same training standards as other UN organizations.

48. There has been a substantive increase in external training<sup>3</sup> activities (20 per cent more days) compared to the previous year. WIPO's ethics and integrity training and training linked to the MS Office upgrade have contributed to this increase. On average, WIPO staff benefited from five days of training per staff (internal as well as external), which is consistent with the UN practice of an annual minimum average of five training days per staff as reported by the JIU. For the same period, the sum of 1.56 million Swiss francs, which amounts to 0.78 per cent of staff costs, has been invested in training.

### *Effective performance management*

49. The PMSDS, originally introduced in 2009 and refined in 2011 and 2012, has further matured in scope, acceptance and application. In 2013, specific training on PMSDS was provided to 162 participants. In the second semester of 2013, the JIU conducted a survey which showed that a large majority of WIPO staff (about 80 per cent) believe that their performance evaluation is conducted in a timely, transparent and fair manner. Together with the high compliance rate (over 90 per cent) for the past two years (as compared to 2010, which was 62 per cent) the JIU concluded that PMSDS is now well integrated.

50. As part of continued efforts to strengthen organization and individual performance management, as from the biennium 2014-2015, managers must link individual staff members to program activities and share this information through built-in reporting tools. This facilitates the setting of work-related objectives in PMSDS as it provides supervisors and staff with a clear view of the staff's expected contribution to program activities.

<sup>3</sup> External training: training delivered by external trainers, internal training: training delivered by WIPO staff.

51. Managers used for the first time the updated handbook “Addressing Underperformance” which provides guidance on establishing Performance Improvement Plans when facing underperformance. In such cases, HRMD met with managers concerned to ensure underperformance is promptly and consistently addressed. The vast majority of cases (87 per cent, 26 out of 30 cases) were resolved in the course of 2013-2014, either by an improvement in performance or the departure of underperforming staff from the Organization.

#### *Rewards and recognition*

52. WIPO is committed to promoting excellence in the workplace. To this end, it launched a pilot Rewards and Recognition Program of individual and team performance with a combination of monetary and non-monetary incentives. In designing this program, care was taken to establish clear links with WIPO’s core values and strategic goals, as well as the PMSDS. All staff who demonstrated outstanding performance in 2012 received a letter of appreciation from the Director General. Monetary rewards were given for “Results and Service Orientation” (individual reward per sector), “Working as One” (to three teams across sectors) and “Innovation and Efficiency” (individual reward per staff category).

53. Four staff received the Innovation and Efficiency reward for exceptional effort, creativity and competence which resulted in increased efficiency and/or cost savings for the Organization. The projects undertaken by the award winners include:

- The design and launching of an Enterprise Performance Management (EPM) system;
- The development of a unique statistical machine translation technology for enhancing efficiency and quality of translation work;
- The design, development and implementation of the WIPO Development Agenda Platform (databases) to facilitate access to technical assistance activities and exchange information between least developed countries (LDCs) and developing countries on one hand and donor countries and institutions on the other hand; and
- The design of an economical bypass system guaranteeing the cooling capacity for the office floors in the New Building resulting in substantial savings to the Organization.

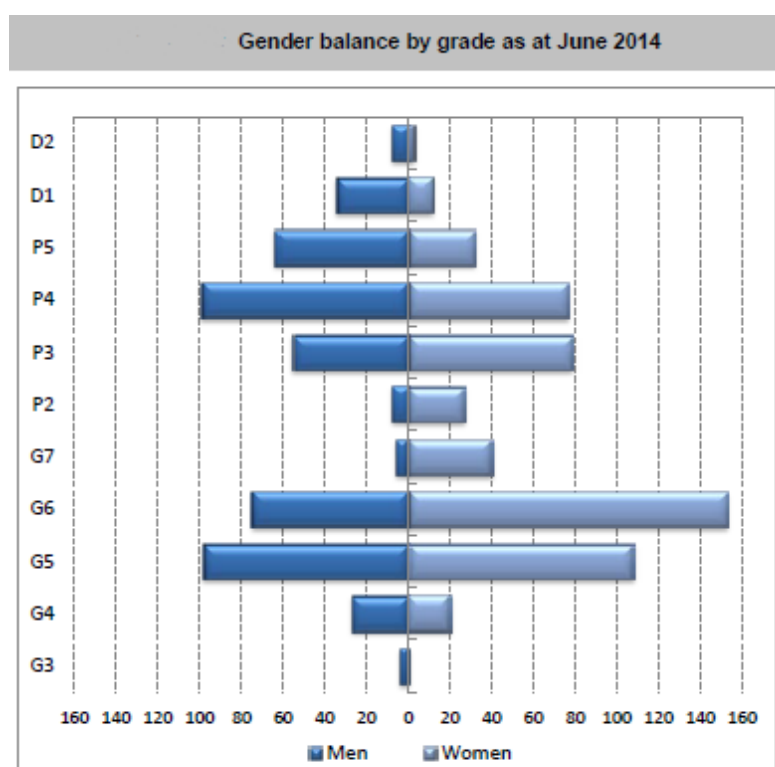
54. An all-staff ceremony was held to announce the award-winners in March 2014. It was a full-house attendance.

55. As the first step of an evaluation, the Internal Audit and Oversight Division (IAOD), in collaboration with HRMD, conducted a lessons-learned review workshop with selected individual and team beneficiaries of the program to discuss experience gained and identify areas for improvement. The assessment showed that the pilot has the right mix of informal acknowledgement, formal acknowledgement and rewards, and that there should be more tools for informal acknowledgement. The ceremony was appreciated by all staff. The positive effects could have been maximized by better, clearer and timelier communication to the nominated staff. Based on the outcome of the initial evaluation, a second pilot phase is being launched. A comprehensive evaluation will be conducted in the latter part of 2014. A formal policy will be issued thereafter.

## Gender equality and balance

56. WIPO committed in 2013 to achieving gender balance at all levels by 2020 and to ensuring that gender considerations are part of its programs and projects. Following the recruitment of a Gender and Diversity Specialist in July 2013, progress has been made towards reaching these goals. The WIPO Policy on Gender Equality and Action Plan were the subject of extensive consultations within the Organization and are to be issued in 2014. The policy aims to mainstream gender perspectives in WIPO's programs and activities and to promote gender equality in the workplace. Gender focal points were appointed in each sector to facilitate gender mainstreaming in program areas. The process of collecting good practices has started. With the support of the gender focal points, these good practices will be shared across sectors.

57. The percentage of women among regular staff remained stable at 53.5 per cent. Imbalances still exist (see Figure 8) particularly at senior levels but there have been improvements. At the Director level, 26.3 per cent are women, as compared to 25 per cent in 2013. In the Professional category, the ratio of women remained stable at 48.8 per cent, as compared to 48.9 per cent in 2013. In the General Service, the percentage of women decreased slightly to 60.5 from 61.4 in 2013. Further efforts are being made to improve gender balance within the Organization in order to meet its target by 2020.



Executive Category (DG, DDG and ADG = 8 posts) is not included

	2010	2011	2012	2013	2014
Director	11.4%	18.4%	26.8%	25.0%	26.3%
Professional	45.8%	47.5%	49.2%	48.9%	48.8%
General Service	62.2%	62.9%	61.6%	61.4%	60.5%
<b>Total</b>	<b>52.9%</b>	<b>53.6%</b>	<b>54.1%</b>	<b>53.9%</b>	<b>53.5%</b>

Figure 8: Gender balance by grade: June 2014

58. WIPO is committed to supporting initiatives empowering women with a particular focus on the IP context. For the last seven years WIPO has co-sponsored the International Conference on Innovation and Creativity of Women, as well as the International Women's Invention Exposition and Forum. This year, these events were held in Warsaw, Poland, on March 21 and 22, and in Seoul, Korea, on May 16 to 18.

59. With a view to facilitating searches for inspiration, role models and insights into profiting fully from life and career opportunities, a new initiative, *Women at Work – Lunchtime Talks*, started in November 2013. Speakers from different walks of life share their professional and personal stories, thoughts and insights. Feedback from participants has been overwhelmingly positive.

60. WIPO reported for the second year on the UN System-wide Action Plan (UN-SWAP) for the implementation of the Chief Executive Board for Coordination (CEB) Policy on Gender Equality and the Empowerment of Women, which also underpins the implementation of the WIPO Policy on Gender Equality. In 2013, WIPO met requirements for one performance indicator and approached requirements in another nine (60 per cent), improving from 2012, where WIPO only met requirements for one and approached requirements in five (33 per cent) indicators.

## **E. Further improve organizational efficiency**

### *Improved systems and processes*

- *ERP portfolio of projects*

61. The implementation of core HR capabilities and payroll processing has been completed and the system capabilities supporting HR's day-to-day activities have been in place since February 2014. As a result of a comprehensive data migration process in January 2014, payroll results were produced from the new system from January onwards, ensuring a full biennium of data in the new system. This is later than the original target date of October 2013. The delay is attributed to a rigorous testing process involving business users which required that the move to production only take place once user acceptance was confirmed and a smooth transition guaranteed. These pre-requisites were achieved. Comprehensive training activities for users, at all levels, have continued.

62. This first phase of the ERP portfolio was aimed at strengthening the integration of data and processes, both within HRMD and in relation to other WIPO administration and management functions. It lays the foundations for enabling access to improved and more comprehensive management of information for increased client orientation.

- *WIPO Inquiry Notification System in HR Operations (WINS)*

63. Automation of support processes ensures efficient and effective customer service. HR Operations receive a large number of phone calls and e-mails that need to be answered. WINS put in place a ticketing system to keep track of all these queries and ensure timely follow-up.

- *Business intelligence (BI)*

64. For WIPO, BI is the collections of technologies, methodologies and analytical tools that will be used to transform administrative raw data from various sources into meaningful and useful information for business purposes. In the longer term, it will enable better decision-making. Data from the recently implemented ERP system will start feeding management dashboards. HRMD is developing data analysis skills to support the BI implementation and will work with the other business areas to ensure HR data is reported accurately.

65. The BI project aims to provide cross-functional analytical capabilities to a variety of key stakeholders, to enable them to better understand the drivers and performance characteristics of their programs. The rollout of BI capability will progress in a controlled and phased manner until the end of 2015 to ensure that best practice principles are observed and that information is based on agreed data sources, while meeting data quality standards.

#### *Electronic voting in WIPO*

66. Electronic voting was introduced in WIPO on a pilot basis in a staff election which took place in June 2014. Elections are regularly held in WIPO through which staff elect representatives in the various administrative bodies or committees. Previously, voting took place in a pre-defined geographical parameter, i.e., the polling station, manned by fellow staff who served as polling officers, where staff came to cast their paper ballot into a ballot box. With electronic voting, the secrecy of the ballot and voter anonymity are safeguarded, the physical limitations of time and space have been overcome and the staff's freedom of choice reinforced in terms of where to vote (in or outside WIPO premises), using their preferred electronic device with Internet connectivity (computers, smartphones or other portable devices), and at any time within a given period. Feedback received from some staff indicated specific appreciation for the ease of the process and the resulting time savings. An evaluation of this pilot exercise will be conducted.

#### **IV. OTHER HR MATTERS**

##### (a) Internal Justice

#### *Disciplinary measures and formal conflict resolution*

67. Following approval by the WIPO Coordination Committee in October 2013, the revised SRR on disciplinary measures and conflict resolution entered into force on January 1, 2014. One of the objectives of the reform was to strengthen and streamline grievance and dispute resolution mechanisms, in line with the HR Strategy. Two advisory bodies, the Joint Grievance Panel (workplace-related grievances) and Joint Advisory Committee (JAC) (disciplinary cases) were thus abolished, while a new WIPO Appeal Board (WAB) with increased capacity was established.

68. In consultation with a number of internal stakeholders, including the Staff Council, six Office Instructions were issued between December 2013 and February 2014 to provide the policy framework for the new Internal Justice system. These include Office Instructions setting out clear and transparent procedures for the rebuttal of performance appraisals, the resolution of workplace-related conflicts and grievances, the submission of requests for review of administrative decisions and the

application of disciplinary measures, thus contributing further to ensure effective grievance and dispute resolution.

69. Several information sessions were held to enable staff questions to be addressed, and regular written communications (through e-mail and Information Circular) were issued to keep staff updated on the implementation of the new system (e.g., approval by the WIPO Coordination Committee of the new SRR, objectives of the new system and call for candidates for the new advisory bodies).

#### *Informal conflict resolution*

70. In parallel, as part of the ongoing efforts to promote and strengthen the informal conflict resolution mechanisms, the mandate of the Office of the Ombudsperson has been revised and a staff-led working group has developed a draft policy on a respectful and harmonious workplace, which is now the subject of consultations with internal stakeholders.

#### *Internal Justice data*

71. From July 2013 to June 2014, awards rendered by the Administrative Tribunal of the International Labour Organisation (ILOAT) in complaints against WIPO amounted to approximately 259,000 Swiss francs and a total of 22,000 Swiss francs was paid to staff further to WAB recommendations.

72. The total administrative fixed cost for cases examined by the ILOAT and the WAB was approximately 294,000 Swiss francs, i.e., 179,000 Swiss francs for the ILOAT and 115,000 Swiss francs for the WAB. The fixed cost for each complaint examined by the ILOAT is approximately 16,000 Swiss francs, and 5,000 Swiss francs for each appeal examined by the WAB.

73. An internal database is being developed to facilitate the efficient management of cases and to provide easily-accessible data and statistics.

#### (b) Staff-Management relations

74. The new Joint Advisory Group (JAG) has been established with effect from June 23, 2014. Like the former JAC, its role is to advise the Director General on personnel or administrative matters. However, the right of staff, under certain conditions, to directly petition the JAG to consider and give advice or recommendations to the Director General on any matter concerning personnel administration or staff welfare will provide an additional channel of communication to enhance staff-Management relations. Unlike the former JAC, the JAG will not be called on to advise the Director General on disciplinary cases, thus allowing it to focus on personnel and administrative matters.

#### (c) Policy development

75. A revised policy on home leave was implemented effective May 1, 2014, to, *inter alia*, change the class of travel from business to economy, thus aligning WIPO with the other organizations of the UN Common System and allowing it to achieve cost savings as requested by Member States. A transition period has been agreed following consultations with staff to ensure equal treatment and fairness.

76. New or revised policies were also issued on the declaration of dependents, outside activities, retirement age, termination for reasons of health, assignment grant and private legal obligations.

Altogether, some 15 HR policy-related Office Instructions have been issued, following consultations with the Staff Council, either to update existing policies or to establish completely new policies.

77. The issuance of new policies and related amendments to the SRR have been increasingly supported by communications to all staff, highlighting the rationale for the changes and the key developments, to facilitate staff acceptance and mainstreaming of the new policies. Frequently Asked Questions (FAQs) have been also developed and published on the WIPO Intranet to address issues raised by staff. In addition, individual meetings were held – upon staff request – to clarify main changes in some policies (such as those on home leave, part-time arrangement and mandatory age of retirement).

#### *Mainstreaming modalities*

78. Efforts to mainstream new policies and enhance HR client servicing include:

- Individual correspondence to staff to bring to their immediate attention changes in procedures (e.g., on part-time work arrangements and the requirement of such arrangement being reviewed by the supervisor on an annual basis) or direct contact with staff to provide further clarification on explanation to supplement e-mail responses to queries (e.g., on salary advance);
- Communications to Program Managers to clarify their roles (e.g., in reviewing the working arrangements of their staff to meet work exigencies, to manage overtime in their respective teams);
- Amendments of HR forms to be more user-friendly (e.g., declaration of dependents and education grant) and updating of the Flexitime system to include additional part-time arrangements and the new paternity leave;
- A HR e-mail account provides a ready and direct channel of communication by staff on any personnel matter or issues of concern; and
- A new HR Intranet page with comprehensive information and more user-friendly access to HR services for managers and all staff.

#### (d) Risk management

79. In the past 24 months, a careful risk analysis has been conducted by HRMD and a number of high-impact risks have been identified and mitigation measures put in place. WIPO's main strategic risk in the area of HR is the limited capacity to respond to a rapidly-evolving global IP environment. Increasing WIPO's capacity in this regard and ensuring the necessary agility is the central focus of the new HR Strategy.

80. Closing skills gaps and reducing overcapacity are also necessary to mitigate risks. Rightsizing requires accurately capturing and specifying job requirements, training and retraining, internal reassignment and external hiring. All these measures are being gradually put in place.



81. Another risk to WIPO is the potential loss of institutional knowledge in specialized technical areas due to retirements and staff departures. Measures to mitigate such risks include workforce planning, succession planning and training.

(e) Redundancy management

82. WIPO must update its pool of expertise and know-how to remain responsive and successfully deliver services in a rapidly changing, highly dynamic external context. Recent organizational needs assessment identified overcapacity in a few areas mainly due to changes in WIPO's processes as a result of technological improvements. While the impact on staff was very limited, the situation required careful management and the staff concerned were provided all possible support. Their profiles were systematically considered for needs in other areas of the Organization. They underwent testing and skills assessment and received outplacement counselling and personalized coaching to help in job applications and interviews. In this way, those with suitable and relevant skills corresponding to vacant roles were placed successfully elsewhere in the Organization.

(f) Audit recommendations

83. Of the 69 audit recommendations on HR, 46 have been closed. A recent audit has resulted in eight new recommendations. The pending 23 recommendations are at an advanced stage of implementation and concern mainly the implementation of the ERP system. It is anticipated that all audit recommendations will have been implemented by the end of 2015.

## **V. OUTLOOK 2014-2015**

84. A new Senior Management Team (SMT) will join the Director General by the end of 2014 and will establish its program of work for the coming period. HRMD will support the new SMT towards the achievement of strategic objectives in an optimal manner.

85. WIPO staff are at the core of taking WIPO to the future and are the Organization's most important asset. Improving further its geographic diversity will be a key focus for the period 2014-2015. A program of action will be established in consultation with Member States with a view to broadening the geographic diversity within the professional workforce.

86. WIPO has made a commitment to achieving gender balance at all levels by 2020. A WIPO Policy on Gender Equality will be issued in 2014 towards this goal and also to achieve improved mainstreaming of gender issues in program areas.

87. Improving WIPO's agility and responsiveness to evolving global IP needs will remain an area of focus for the coming period. Specific support will be provided towards strengthening the Madrid and Hague operations. The program of realignment and professionalization will be extended. The flexible component of the workforce will be gradually increased also with a view to achieving cost containment and limiting long-term financial liabilities.

88. WIPO will also continue to reward outstanding performance. Following the success of the 2013 Pilot Rewards and Recognition Program, as shown by a recent evaluation, a second pilot will be implemented in 2014, taking on board lessons learned. A new Rewards and Recognition Policy will be issued at the end of 2014.

89. Operational efficiency and effectiveness remain important topics of discussion between HRMD and managers across the Organization. Effective performance management, support in addressing underperformance, adequate workloads, workforce size and structures, up-to-date job descriptions and classification levels form part of the new workforce planning and will receive ongoing attention and support.

90. Integrated IT systems in the area of HR management will be further developed. Self-service for staff, a new e-recruitment system and an improved performance management system are in the process of being implemented. For managers, the current BI project will provide significantly improved workforce intelligence and reporting capacity.

91. A new Welfare Officer will be appointed in early 2015 to put appropriate policies and systems in place and to provide advice to newcomers and existing staff. Improvements are planned in the management of medical services.

92. The newly established JAG will start its work in the second half of 2014 and will examine and advise the Director General on policy matters affecting staff. A number of important policies will be on the agenda of this advisory body for review. HRMD is committed to working closely with staff representatives and to conducting appropriate consultations on matters of concern to staff. A training program to support informal conflict resolution will be established.

93. Measures will be implemented to address fraud risks and raise awareness, taking on board the recommendations contained in WIPO's recent Fraud Risk Assessment Report.

94. HRMD is actively engaged with the UN-system HR community and will continue to contribute to the development of UN-system-wide HR policies and to the ongoing reform of the UN compensation system.

## **VI. STAFF MATTERS FOR THE ATTENTION OF THE WIPO COORDINATION COMMITTEE**

### **(a) Termination of appointments**

95. Pursuant to Staff Regulation 9.2(i), which requires the Director General to report to the WIPO Coordination Committee all cases of termination of appointments of staff, the following terminations between July 1, 2013, and June 30, 2014, are hereby reported:

- 10, in the interest of the good administration of the Organization and with the consent of the staff members themselves, in accordance with Staff Regulation 9.2(a)(6); indemnities were paid in accordance with the relevant SRR provisions;
- eight, for reasons of health in accordance with Staff Regulation 9.4 and indemnities were paid in accordance with the relevant SRR provisions; and

- three, for misconduct pursuant to Chapter X (“Disciplinary Measures”) of the SRR.

*96. The WIPO Coordination Committee is invited to note the information provided in paragraph 95.*

(b) WIPO Staff Pension Committee

97. The WIPO Coordination Committee decided, at its ordinary session in 1977, that the WIPO Staff Pension Committee would consist of three members and three alternate members, with one member and one alternate to be elected by the WIPO Coordination Committee. The member elected by the WIPO Coordination Committee serves a four-year term of office.

98. In July 2013, the Director General received from the Delegation of Bulgaria the proposal that Mr. Yossifov, elected as an alternate member of the WIPO Staff Pension Committee in 2008 and as a member since 2009, be re-elected by the WIPO Coordination Committee as member. In its Sixty-Seventh Session held in September 2013, the WIPO Coordination Committee elected Mr. Yossifov as member for the period until its ordinary session in 2017.

*99. The WIPO Coordination Committee is invited to note the information contained in paragraphs 97 and 98.*

(c) Report of the International Civil Service Commission (ICSC)

100. In accordance with Article 17 of the ICSC statute, the attention of Member States is drawn to the report of the ICSC, submitted to the 68<sup>th</sup> Session of the UN General Assembly in 2013 (UN document A/68/30). The document may be consulted on the ICSC Internet site at: <http://icsc.un.org/rootindex.asp>.

(d) United Nations Joint Staff Pension Board (UNJSPB)

101. Under Article 14(a) of its Regulations, the UNJSPB presents a report to the General Assembly of the UN and to member organizations, at least once every two years. The 2013 report was presented by the Board of the UNJSPF to the General Assembly of the UN at its Sixty-Eighth Session in 2013 (UN document (A/68/303)). Since the report was included in the documentation of the said session of the General Assembly of the UN, it is not reproduced by the International Bureau. The report may be consulted at: [http://www.un.org/ga/search/view\\_doc.asp?symbol=A/68/303](http://www.un.org/ga/search/view_doc.asp?symbol=A/68/303).

*102. The WIPO Coordination Committee is invited to note the information contained in paragraphs 100 and 101.*

[Annexes follow]

## HR STATISTICS

### The WIPO Workforce by Category

Table 1: The WIPO workforce by category as at June 2014

Table 2: Workforce trends by category 2010-2014

### Contracts

Table 3: Staff by contract/funding type as at June 2014

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Table 6: Staff costs 2010 – 2013

### Staff by Sector

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Table 8: Geographical representation by region as at June 2014

Professional and higher categories

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Table 9: Member States representation as at June 2014

Table 10: Countries represented - Professional and higher categories as at June 2014

Table 10(Bis): Countries represented – All staff as at June 2014

### Gender Balance

Table 11: Women representation by category - 2010 to 2014

Table 12: Gender balance by grade as at June 2014

Table 13: Staff (under regular budget) by gender and grade as at June 2014

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Table 14: Age profile as at June 2014

Table 15: Average age by category as at June 2014

Table 16: Retirements 2014 - 2019

Table 16(Bis): Retirements by region (Professional and higher) 2014 - 2019

### Recruitment

Table 17: Vacancy announcements by grade in 2013

Table 18: Applications received by category in 2013

### Training

Table 19: Participants by training provider and type of training 2013

### Performance Evaluation

Table 20: Cycle 2013 performance evaluation

### Separations

Table 21: Separations from 2011 to June 2014

### Internal Justice

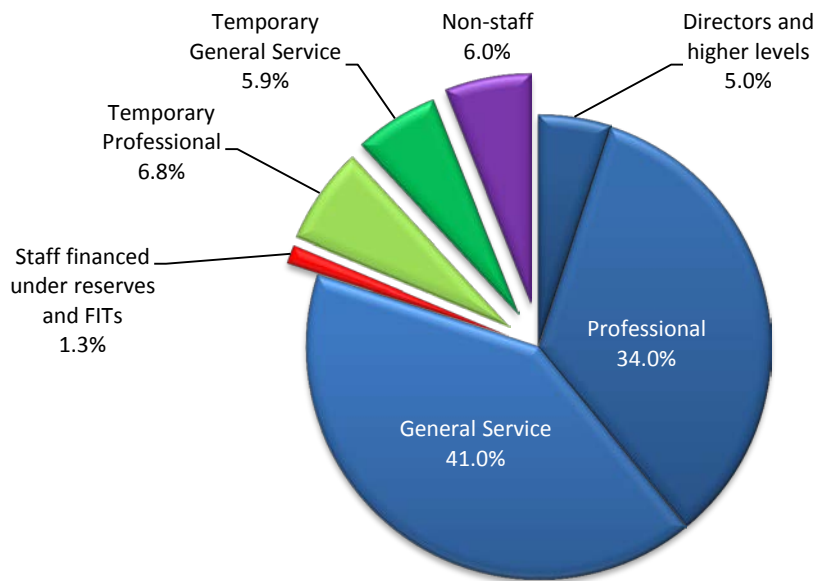
Table 22: Staff complaints / appeals filed between July 1, 2013 - June 30, 2014

Table 23: Number of cases per subject filed July 1, 2013 - June 30, 2014

### Audit Recommendations

Table 24: Status of HR-related pending audit recommendations

**Table 1: The WIPO Workforce by category as at June 2014**



Regular-funded posts	Number of staff	Core workforce
Directors and higher levels	65	
Professional	441	
General Service	531	
<b>Subtotal staff in regular-funded post</b>	<b>1,037</b>	<b>80.0%</b>
Staff financed under reserves and Funds-in-Trust (FITs)	17	<b>Flexible</b>
<b>Total staff in post</b>	<b>1,054</b>	
<b>Temporary staff</b>		
Temporary Professional	88	
Temporary General Service	76	
<b>Subtotal temporary staff</b>	<b>164</b>	
<b>Total staff</b>	<b>1,218</b>	
<b>Non-staff</b>		
Interns, Fellows, short-term Translators/Revisors	63	
ICS*, temporary agency personnel	15	
<b>Subtotal non-staff</b>	<b>78</b>	<b>20.0%</b>
<b>Grand Total WIPO workforce</b>	<b>1,296</b>	

\* Individual Contractual Services

Table 2: Workforce trends by category 2010-2014

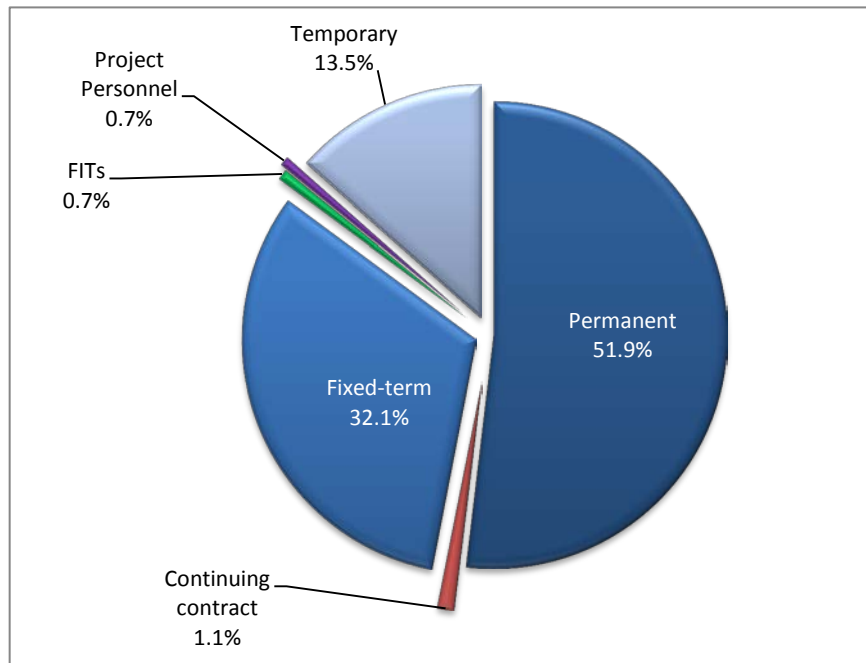
<b>Staff in post</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014*</b>
Directors and higher levels	45	57	63	61	65
Professional	414	422	434	429	441
General Service	447	473	497	520	531
<b>Subtotal staff in regular-funded post</b>	<b>906</b>	<b>952</b>	<b>994</b>	<b>1,010</b>	<b>1,037**</b>
Staff financed under reserves and FITs	17	26	18	15	17
<b>Total staff in post</b>	<b>923</b>	<b>978</b>	<b>1,012</b>	<b>1,025</b>	<b>1,054</b>
Temporary Staff					
Temporary Professional				94	88
Temporary General Service				100	76
<b>Subtotal temporary staff</b>				<b>194</b>	<b>164</b>
<b>Total staff</b>				<b>1,219</b>	<b>1,218</b>
Non-staff					
Interns, Fellows, short-term Translators/Revisors	314	261	230	66	63
ICS***, temporary agency personnel				11	15
<b>Subtotal</b>				<b>77</b>	<b>78</b>
<b>Grand Total WIPO workforce</b>	<b>1,237</b>	<b>1,239</b>	<b>1,242</b>	<b>1,296</b>	<b>1,296</b>

\* June 2014

\*\* Difference is mainly due to regularization

\*\*\* Individual Contractual Services

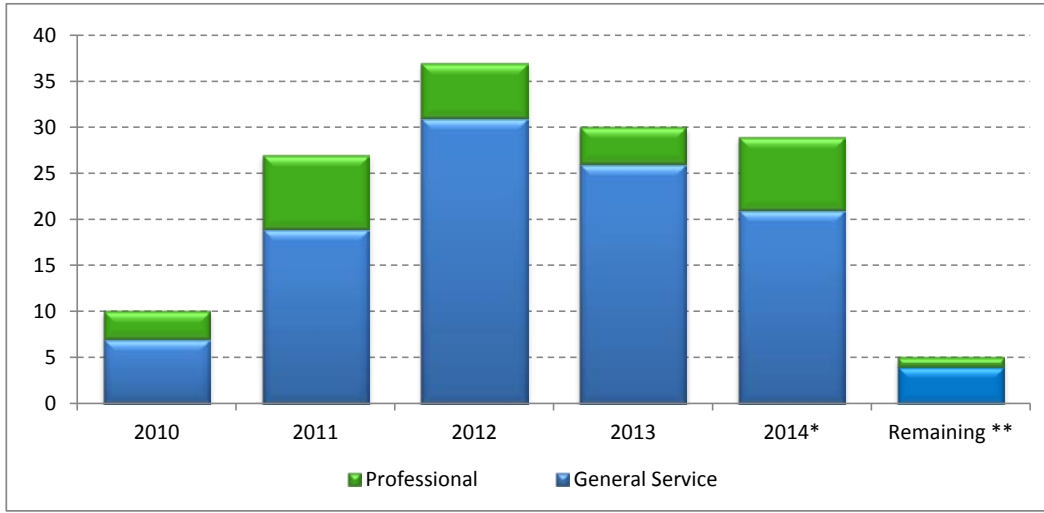
**Table 3: Staff by contract/funding type as at June 2014**



Type of contract	Staff	Per cent
Permanent	632	51.9%
Continuing	14	1.1%
Fixed-term (regular budget)	391	32.1%
<b>Subtotal staff in regular-funded post</b>	<b>1,037</b>	
Staff financed by FITs	9	0.7%
Staff on projects financed by the reserves	8	0.7%
<b>Subtotal in other funded post</b>	<b>17</b>	
Temporary	164	13.5%
<b>Total</b>	<b>1,218</b>	

**Table 4: Regularization of long-serving temporary employees (LSTEs) as at June 2014**

LSTEs*	2010	2011	2012	2013	2014	Total	Remaining
P and higher categories	3	8	6	4	8	29	1
GS category	7	19	31	26	21	104	4
<b>Total</b>	<b>10</b>	<b>27</b>	<b>37</b>	<b>30</b>	<b>29</b>	<b>133</b>	<b>5</b>



\* Five years of service as at January 1, 2012  
 \*\* Subject to continuing functions and good performance



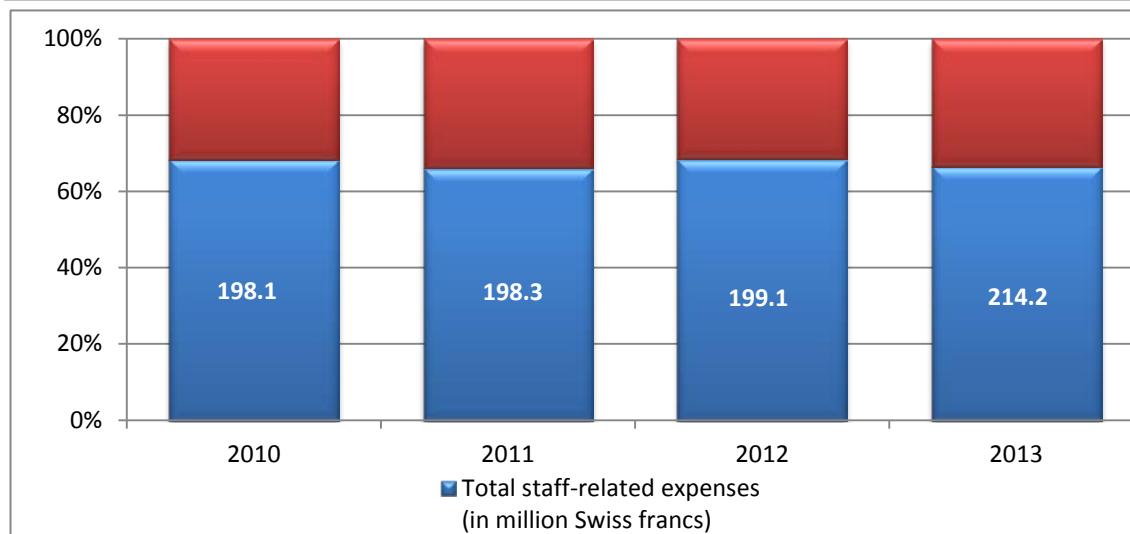
**Table 5: Staff on part-time arrangements as at June 2014**

<b>Staff in post</b>	<b>Women</b>	<b>Men</b>	<b>Total</b>
Total staff in post	552	485	1,037
Part-time	132	4	136
<b>Per cent</b>	<b>23.9%</b>	<b>0.8%</b>	<b>13.1%</b>
Temporary	78	62	140
Part-time	13	1	14
<b>Per cent</b>	<b>16.7%</b>	<b>1.6%</b>	<b>10.0%</b>
Total staff	630	547	1,177
Part-time	145	5	150
<b>Per cent</b>	<b>23.0%</b>	<b>0.9%</b>	<b>12.7%</b>

**Table 5(a): Part-time arrangements as at June 2014**

<b>Staff in post</b>	<b>Women</b>	<b>Men</b>	<b>Total</b>
<b>Full-time staff</b>	485	542	1,027
<b>Part-time staff</b>			
90%	13	0	13
80%	108	4	112
50%	24	1	25
<b>Subtotal part-time</b>	<b>145</b>	<b>5</b>	<b>150</b>
<b>Per cent</b>	<b>23.0%</b>	<b>0.9%</b>	<b>12.7%</b>

<b>630</b>	<b>547</b>	<b>1,177</b>
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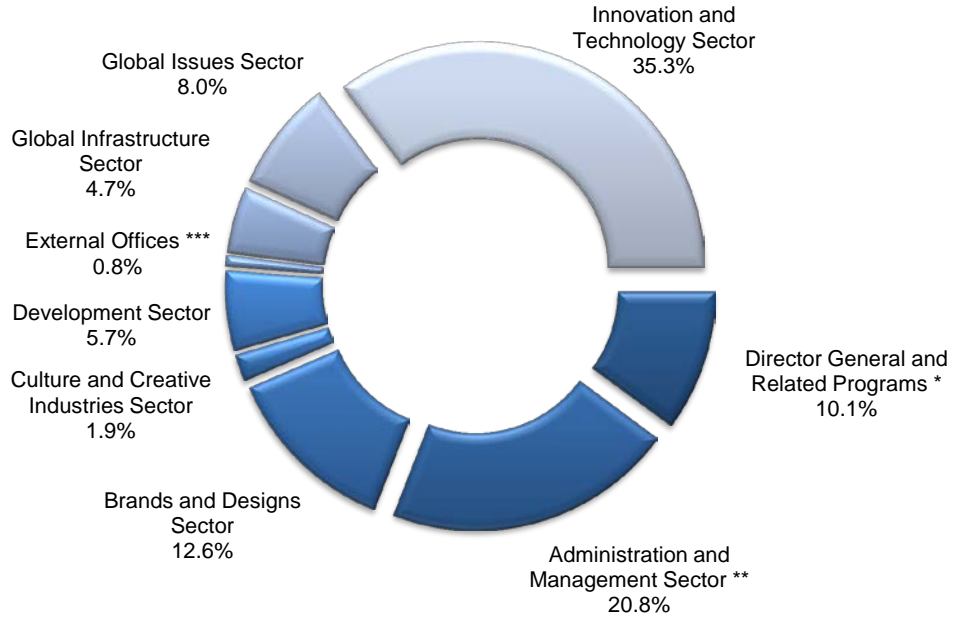
**Table 6: Staff costs 2010 – 2013\***

	2010	2011	2012	2013
Staff costs as a percentage of overall costs	68.5%	66.2%	68.7%	66.6%
Total staff-related expenses (in millions of Swiss francs)	198.1	198.3	199.1	214.2
Total program expenditure	289.4	299.5	290.0	321.7

*\*It is recalled that the 2012/13 Approved Budget contained provisions for the after-service employee benefits, including ASHI (After Service Health Insurance) in the amount of 2% of posts costs, instead of 6% in the previous biennia. This was done "in order to retain overall posts costs at a level which is accommodated by the projected income envelope of the Organization". The Program and Budget document for 2012/13 also stated that "the Director General wishes to indicate that a pick-up in the projected income levels would first and foremost be proposed to be utilized to reinstate this provision at the appropriate time". In line with this policy, the 2012/13 actual expenditure for personnel includes an amount of 18.9 million Swiss francs against the line on the after-service employee benefits, of which 15.6 million Swiss francs was booked in 2013.*

Source: WIPO's financial systems

**Table 7: Regular-funded staff in post by sector as at June 2014**



\* DG Front Office, Office of DG, Office of Legal Counsel, Human Resources Management Department, Economics and Statistics Division, Internal Audit and Oversight Division, Office of the Ombudsperson and Department for Transition and Developed Countries

\*\* Office of the Assistant Director General, Information and Communication Technology Department, Conference and Language Department, Procurement and Travel Division, Department of Program Planning and Finance, Safety and Security Coordination Service and Premises Infrastructure Division

\*\*\* Not a stand-alone sector even if shown separately; these offices fall under either the Global Issues Sector or the Global Infrastructure Sector (there is no double-counting)

**Table 8: Geographical representation by region as at June 2014**  
(All staff\*)

<b>Professional and higher categories</b>		<b>Per cent</b>
Africa	65	10.7%
Asia and the Pacific	93	15.3%
Eastern and Central Europe and Central Asia	38	6.3%
Latin America and the Caribbean	44	7.2%
Middle East	12	2.0%
North America	56	9.2%
Western Europe	300	49.3%
<b>Subtotal</b>	<b>608</b>	<b>100.0%</b>

<b>General Service Category</b>		<b>Per cent</b>
Africa	55	9.0%
Asia and the Pacific	78	12.8%
Eastern and Central Europe and Central Asia	20	3.3%
Latin America and the Caribbean	50	8.2%
Middle East	5	0.8%
North America	14	2.3%
Western Europe	388	63.8%
<b>Subtotal</b>	<b>610</b>	<b>100.0%</b>

<b>Grand Total</b>	<b>1,218</b>
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\* Regular funded, temporary and other funded (reserves and FITs)

<b>Table 9: Member States representation as at June 2014</b> (Fixed-term, continuing, permanent and temporary staff)				
	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
WIPO Member States	185	185	186	187
Represented among WIPO staff	116	117	118	118
Unrepresented Member States	69	68	68	69

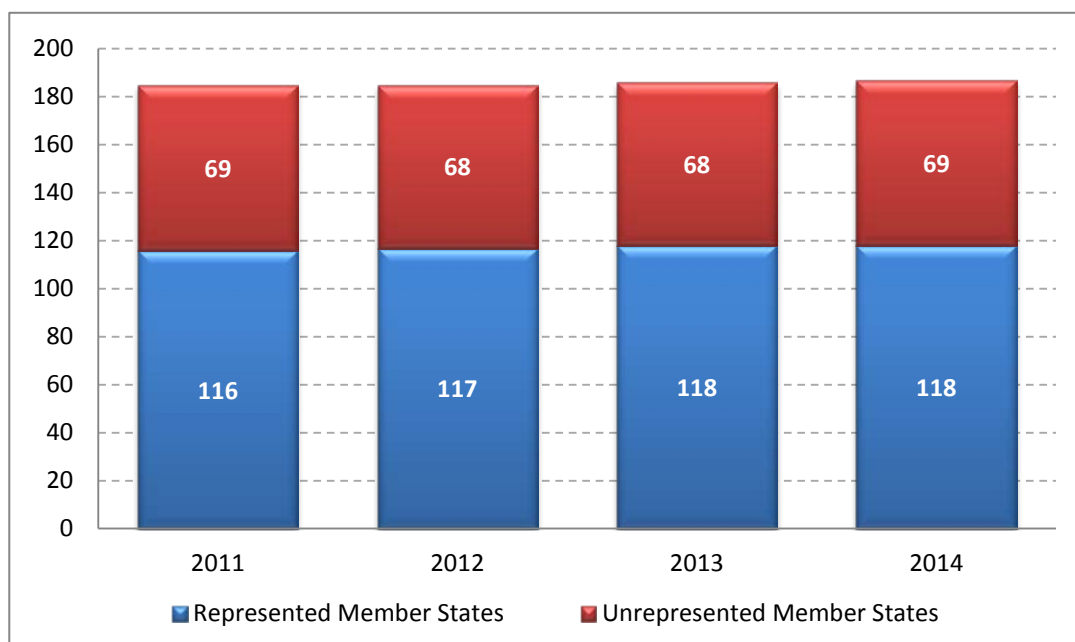




Table 10 (Bis): Countries represented – All staff as at June 2014











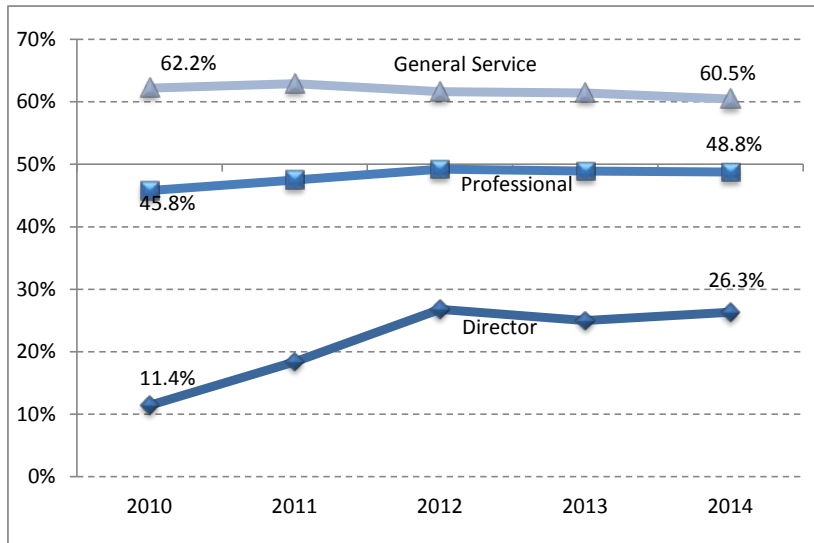
Country code	Country	Number of staff	Top 10 represented countries
1	FR France	371	
2	GB United Kingdom	74	
3	CH Switzerland	68	
4	US United States of America	43	
5	IT Italy	38	
6	DE Germany	37	
7	JP Japan	37	
8	ES Spain	31	
9	CN China	30	
10	CA Canada	27	

Table 10 (Bis) : Countries represented – All staff as at June 2014 (continued)

Country code	Country	Number of staff	Country code	Country	Number of staff
11	KR Republic of Korea	20	66	CD Democratic Republic of the Congo	2
12	IN India	18	67	SV El Salvador	2
13	PE Peru	16	68	GT Guatemala	2
14	AU Australia	15	69	HN Honduras	2
15	MA Morocco	15	70	ID Indonesia	2
16	PH Philippines	14	71	IR Iran (Islamic Republic of)	2
17	RU Russian Federation	14	72	IL Israel	2
18	AR Argentina	12	73	LY Libya	2
19	TN Tunisia	12	74	MM Myanmar	2
20	DZ Algeria	11	75	SC Seychelles	2
21	BR Brazil	11	76	SD Sudan	2
22	IE Ireland	11	77	TZ United Republic of Tanzania	2
23	BE Belgium	10	78	ZW Zimbabwe	2
24	PT Portugal	10	79	AF Afghanistan	1
25	CO Colombia	9	80	AZ Azerbaijan	1
26	GR Greece	9	81	BB Barbados	1
27	EG Egypt	8	82	BO Bolivia (Plurinational State of)	1
28	UY Uruguay	8	83	BF Burkina Faso	1
29	CM Cameroon	7	84	CL Chile	1
30	FI Finland	7	85	CR Costa Rica	1
31	GH Ghana	7	86	HR Croatia	1
32	PK Pakistan	7	87	CZ Czech Republic	1
33	LK Sri Lanka	7	88	GA Gabon	1
34	AT Austria	6	89	GD Grenada	1
35	EC Ecuador	6	90	GW Guinea-Bissau	1
36	KE Kenya	6	91	HT Haiti	1
37	LB Lebanon	6	92	IS Iceland	1
38	MX Mexico	6	93	IQ Iraq	1
39	PL Poland	6	94	JO Jordan	1
40	SE Sweden	6	95	KZ Kazakhstan	1
41	VE Venezuela (Bolivarian Republic of)	6	96	KP Korea (Democratic People's Rep. of)	1
42	MU Mauritius	5	97	KG Kyrgyzstan	1
43	RO Romania	5	98	LA Lao People's Democratic Republic	1
44	SN Senegal	5	99	LV Latvia	1
45	NL Netherlands	5	100	LS Lesotho	1
46	UA Ukraine	5	101	LR Liberia	1
47	BD Bangladesh	4	102	MW Malawi	1
48	BG Bulgaria	4	103	ML Mali	1
49	HU Hungary	4	104	MR Mauritania	1
50	MK Macedonia, the former Yug. Rep. of	4	105	MN Mongolia	1
51	MG Madagascar	4	106	NP Nepal	1
52	NG Nigeria	4	107	NZ New Zealand	1
53	RS Republic of Serbia	4	108	NI Nicaragua	1
54	TR Turkey	4	109	NE Niger	1
55	UG Uganda	4	110	NO Norway	1
56	BY Belarus	3	111	MD Republic of Moldova	1
57	BJ Benin	3	112	RW Rwanda	1
58	CI Côte d'Ivoire	3	113	SG Singapore	1
59	CU Cuba	3	114	SK Slovakia	1
60	DK Denmark	3	115	SI Slovenia	1
61	ET Ethiopia	3	116	SY Syrian (Arab Republic)	1
62	JM Jamaica	3	117	TH Thailand	1
63	MY Malaysia	3	118	TT Trinidad and Tobago	1
64	ZA South Africa	3			
65	KH Cambodia	2			
<b>Total</b>					<b>1,218</b>

**Table 11: Women representation by category - 2010 to 2014\***

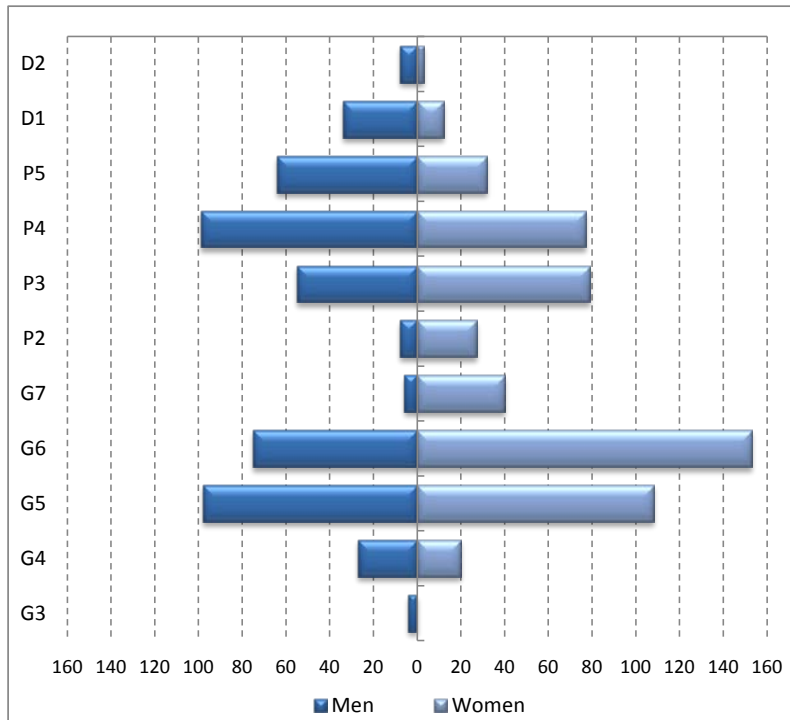


	2010	2011	2012	2013	2014
Director	11.4%	18.4%	26.8%	25.0%	26.3%
Professional	45.8%	47.5%	49.2%	48.9%	48.8%
General Service	62.2%	62.9%	61.6%	61.4%	60.5%
<b>Total</b>	<b>52.9%</b>	<b>53.6%</b>	<b>54.1%</b>	<b>53.9%</b>	<b>53.5%</b>

\* June 2014

In this report the Executive Category (DG, DDG and ADG = 8 posts) is not included

**Table 12: Gender balance by grade as at June 2014**

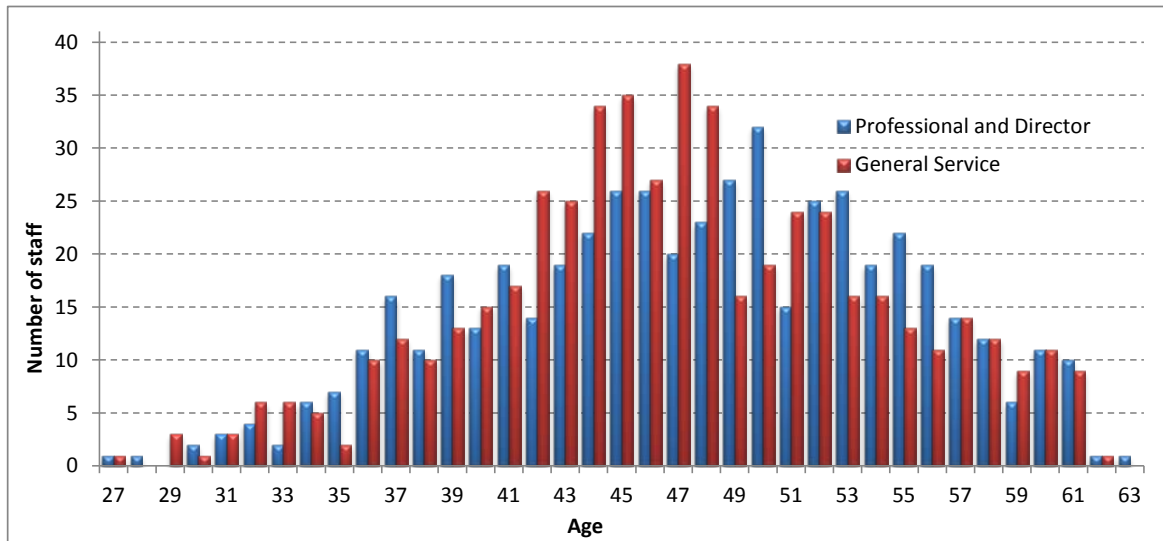




**Table 13: Staff by gender and grade as at June 2014\***

	Staff in post				Subtotal
	Men	%	Women	%	
<b>D2</b>	8	72.7%	3	27.3%	11
<b>D1</b>	34	73.9%	12	26.1%	46
<b>Subtotal</b>	<b>42</b>	<b>73.7%</b>	<b>15</b>	<b>26.3%</b>	<b>57</b>
<b>P5</b>	64	66.7%	32	33.3%	96
<b>P4</b>	99	56.3%	77	43.8%	176
<b>P3</b>	55	41.0%	79	59.0%	134
<b>P2</b>	8	22.9%	27	77.1%	35
<b>Subtotal</b>	<b>226</b>	<b>51.2%</b>	<b>215</b>	<b>48.8%</b>	<b>441</b>
<b>G7</b>	6	13.0%	40	87.0%	46
<b>G6</b>	75	32.9%	153	67.1%	228
<b>G5</b>	98	47.6%	108	52.4%	206
<b>G4</b>	27	57.4%	20	42.6%	47
<b>G3</b>	4		0		4
<b>Subtotal</b>	<b>210</b>	<b>39.5%</b>	<b>321</b>	<b>60.5%</b>	<b>531</b>
<b>Total</b>	<b>478</b>	<b>46.5%</b>	<b>551</b>	<b>53.5%</b>	<b>1,029</b>

\*The Executive Category (DG, DDG and ADG = 8 posts) is not included.

**Table 14: Age profile as at June 2014****Table 15: Average age by category as at June 2014**

Average age of Directors	54.0
Average age of Professionals	46.5
Average age of General Service	47.0

**Table 16: Retirements 2014\* - 2019**

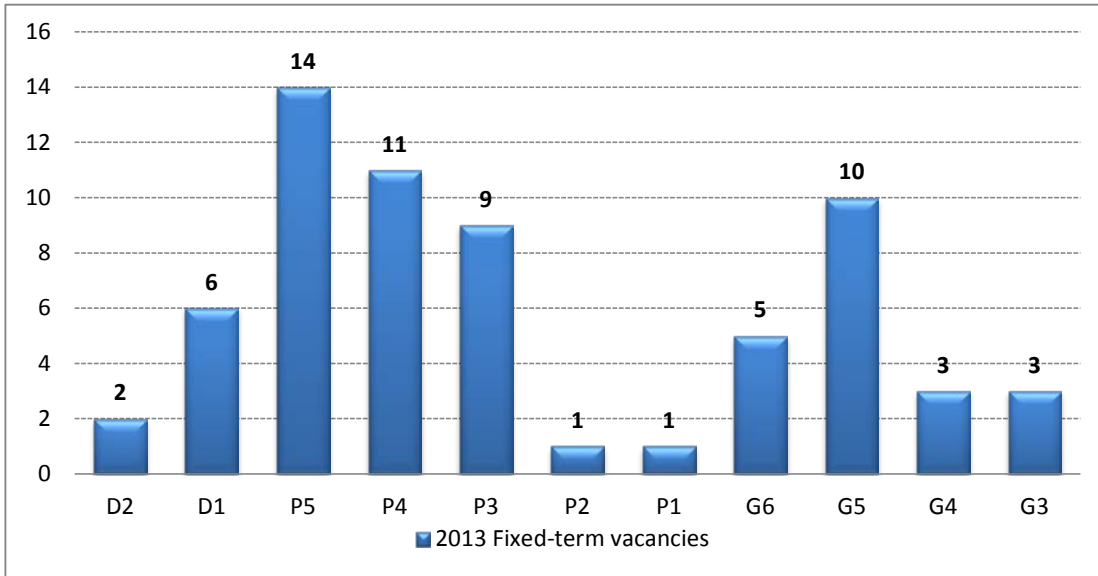
	2014	2015	2016	2017	2018	2019	
Number of staff due to retire	18	26	20	23	34	30	
D	2	5	2	2	4	4	
P	6	9	7	9	17	13	
<b>Subtotal</b>	<b>8</b>	<b>14</b>	<b>9</b>	<b>11</b>	<b>21</b>	<b>17</b>	<b>80</b>
G	10	12	11	12	13	13	

**Table 16 (Bis): Retirements by region (Professional and higher) 2014\* - 2019**

	2014	2015	2016	2017	2018	2019	Total	Per cent
Africa	2	1	1	2	2	2	10	12.5%
Asia and the Pacific	1	1	1	2	2	5	12	15.0%
Eastern and Central Europe and Central Asia	1	1	1	1	1		5	6.3%
Latin America and the Caribbean		2	1	1	2	1	7	8.8%
Middle East		1					1	1.3%
North America	1	1		2	4	2	10	12.5%
Western Europe	3	7	5	3	10	7	35	43.8%
<b>Total</b>	<b>8</b>	<b>14</b>	<b>9</b>	<b>11</b>	<b>21</b>	<b>17</b>	<b>80</b>	

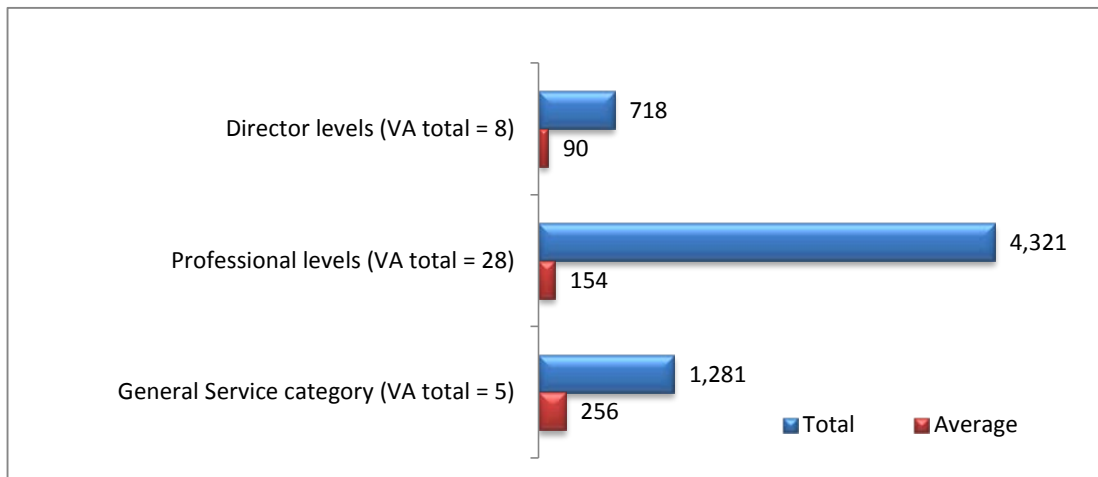
\* July 2014

**Table 17: Vacancy announcements by grade in 2013\***



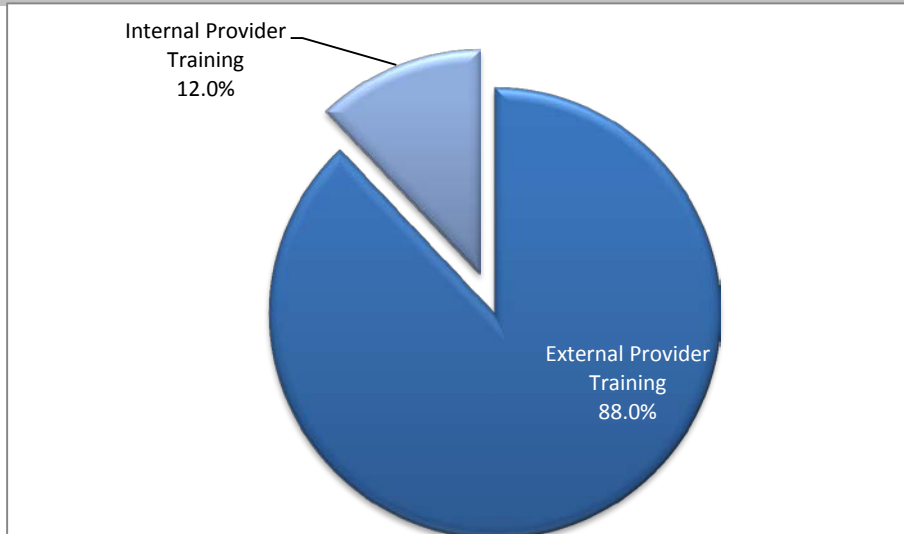
\* Fixed-term vacancy announcements (VA) Total = 65

**Table 18: Applications received by category in 2013\***



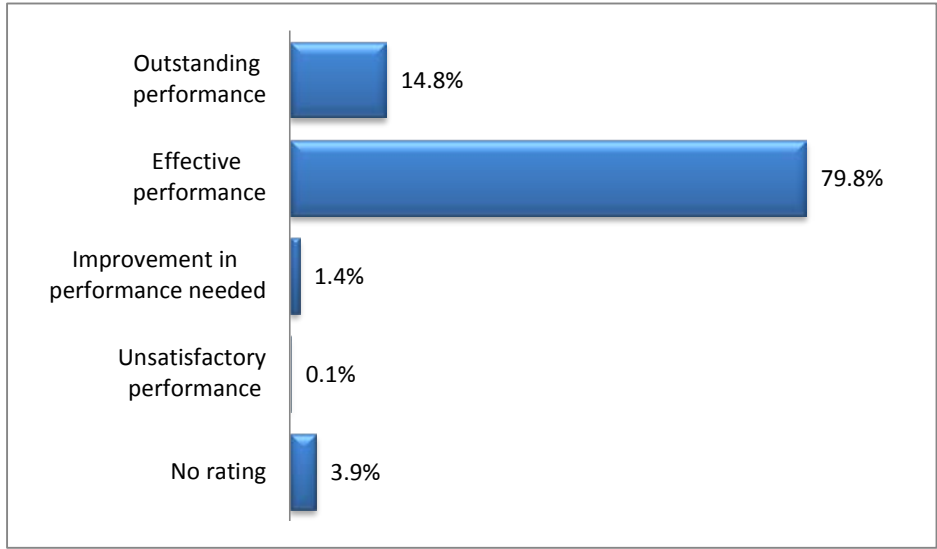
\* Externally advertised fixed-term VA Total: 48  
Total applicants: 6,320  
Average applications received per VA: 132

**Table 19: Participants by training provider and type of training 2013**

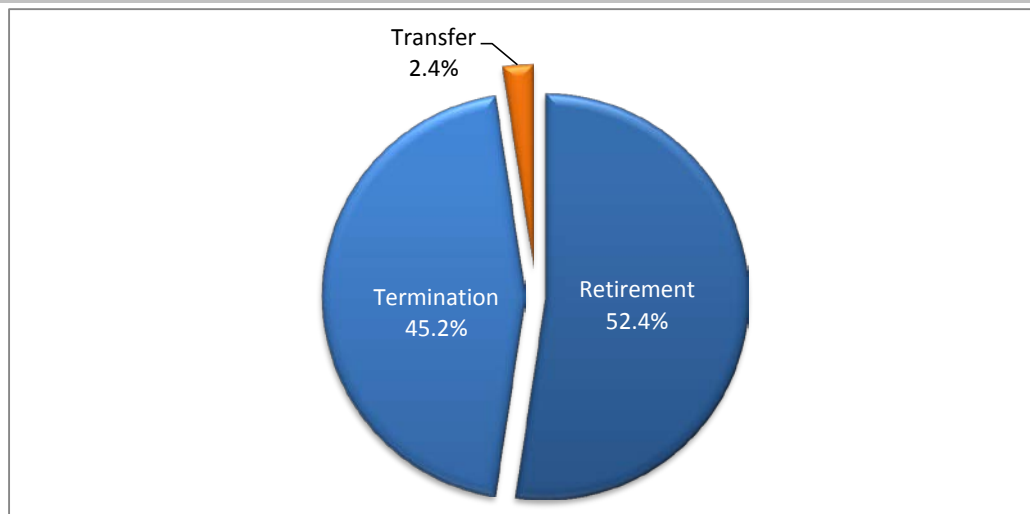


Category	Days	Per cent
<b>Externally provided</b>		
Management	457	7.3%
Communication	563	8.9%
Language	2,559	40.6%
IT	769	12.2%
Ethics & Integrity	491	7.8%
Other	702	11.1%
<b>Subtotal</b>	<b>5,541</b>	<b>88.0%</b>
<b>Internally provided</b>		
PMSDS	46	0.7%
ERP	82	1.3%
Academy	103	1.6%
Learning at WIPO	100	1.6%
Induction Program	78	1.2%
Health/Safety/Security	169	2.7%
Registration Systems	149	2.4%
Other	31	0.5%
<b>Subtotal</b>	<b>758</b>	<b>12.0%</b>
<b>Total</b>	<b>6,299</b>	<b>100.0%</b>
Total number of participants	<b>5,248</b>	

**Table 20: Cycle 2013 performance evaluation**



Ratings	Number	Per cent
Outstanding performance	169	14.8%
Effective performance	911	79.8%
Improvement in performance needed	16	1.4%
Unsatisfactory performance	1	0.1%
No rating	45	3.9%
<b>Subtotal</b>	<b>1,142</b>	
Not yet completed	35	
<b>Total</b>	<b>1,177</b>	

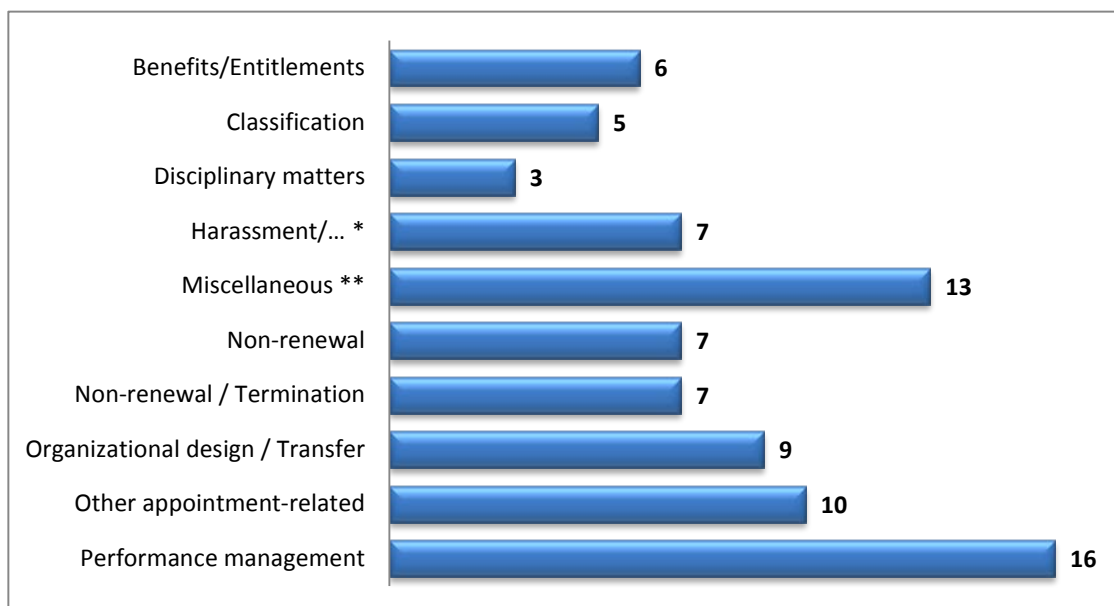
**Table 21: Separations from 2011 to June 2014**

Type of separation	2011	2012	2013	2014*	Total	Per cent
Retirement	12	23	28	3	66	52.4%
Termination	8	24	13	12	57	45.2%
Inter-agency transfer	0	0	2	1	3	2.4%
<b>Total</b>	<b>20</b>	<b>47</b>	<b>43</b>	<b>16</b>	<b>126</b>	

\* June 2014

**Table 22: Staff complaints / Appeals filed between  
July 1, 2013 - June 30, 2014**

	<b>Total</b>	<b>Per cent</b>
Request for Review of Administrative Decision	43	52%
Rebuttal (PMSDS)	2	2%
Grievances	1	1%
Joint Grievance Panel	4	5%
WIPO Appeal Board	22	27%
ILO Administrative Tribunal	11	13%
Disciplinary	0	0%
<b>Total</b>	<b>83</b>	<b>100%</b>

**Table 23: Number of cases filed per subject  
July 1, 2013 - June 30, 2014**

\* Harassment/Discrimination/Conflicts in the workplace

\*\* This category includes issues related to investigative matters, requests for compensation, and policy decisions

Table 24: Status of HR-related pending audit recommendations

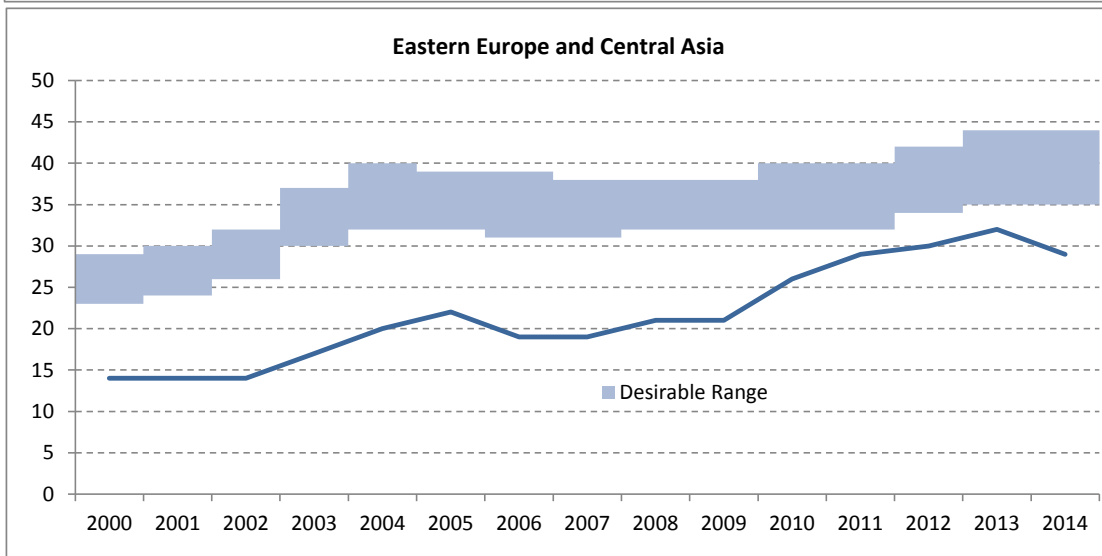
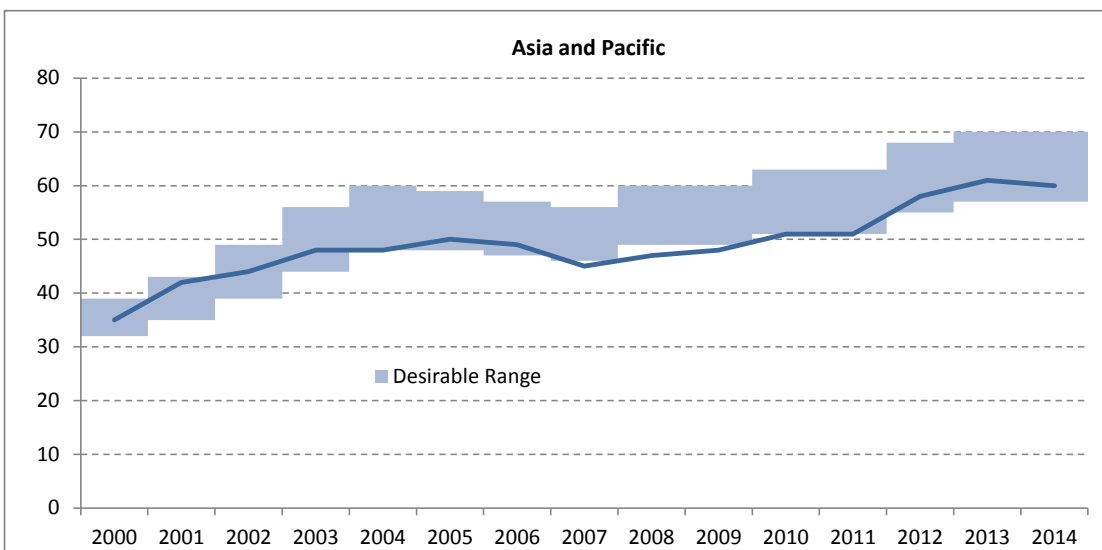
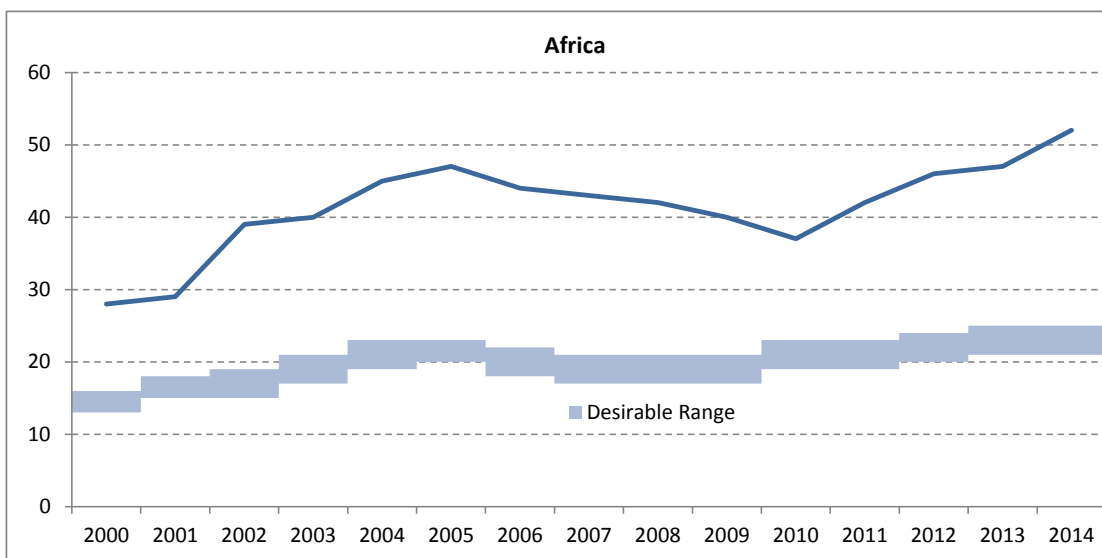
No.	Recommendation	Priority	Topic	Implementation progress	Expected completion date
1	372	High	Access control system	50%	October 2014
2	126	Medium	Education grant / ERP: Efficiency and effectiveness of the processes	10%	December 2014
3	410	High	Electronic storage of confidential and sensitive documents	25%	December 2014
4	420	High	Absenteeism comparative study	70%	September 2014
5	421	High	Internal Justice: cause-effect analysis	50%	December 2014
6	429	Medium	ERP: management information	50%	December 2016
7	Dependency determination	Medium	Prevention of duplication of dependency allowance when both spouses work for international organizations	80%	2014
8	Standard filing procedures	Medium	HRMD should establish standard filing procedures	90%	2014
9	Separation procedures Rec 1	High	A quality review mechanism to be put in place	10%	2014
10	Separation procedures Rec 5	High	Exit procedure should be systematic and automated	10%	2014
11	Separation procedures Rec 2	High	Inventory of staff skills and competencies should be developed	10%	December 2015
12	Geographical Distribution Policy	High	Adopt a new policy on geographical distribution	10%	2014
13	Result based Management practices Rec 5	Medium	Results-based Management training needs to be integrated into WIPO's corporate training program	20%	2015
14	PCT Performance Audit Rec 17	High	A well planned and synchronized training policy may be developed keeping in mind long term needs of the PCT.	50%	2015
15	IA 2014-01 Recommendation 3	High	Education Grant – Certificate of attendance to be obtained	0%	Aug. 2014
16	IA 2014-01 Recommendation 4	High	Education grant payment for teaching of the mother tongue	0%	Aug. 2014
17	IA 2014-01 Recommendation 5	High	Rental subsidy – systematic reapplication	0%	Aug. 2014
18	IA 2014-01 Recommendation 1	Medium	IT workflow-based solution for managing staff requests	0%	12/31/2014
19	IA 2014-01 Recommendation 7	Medium	Home leave travel – alternative IT tools for effective monitoring	0%	12/31/2014
20	IA 2014-01 Recommendation 8	Medium	Language allowance - review of staff members' eligibility	0%	3/31/2015
21	IA 2014-01 Recommendation 9	Medium	Guidelines or criteria to determine special leave with pay, without pay or with partial pay	0%	3/31/2015
22	IA 2014-01 Recommendation 2	Medium	Development of an HR Operations Manual	0%	12/31/2015
23	IA 2014-01 Recommendation 6	High	Determination of a dependent spouse based on the gross annual salary taking into account the spouse's place of work.	0%	12/31/2015

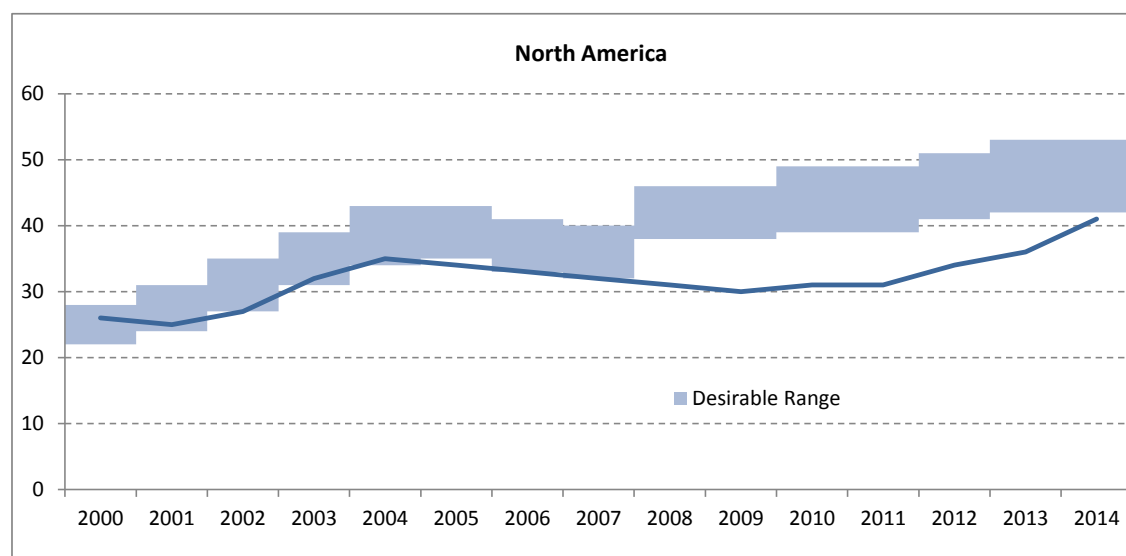
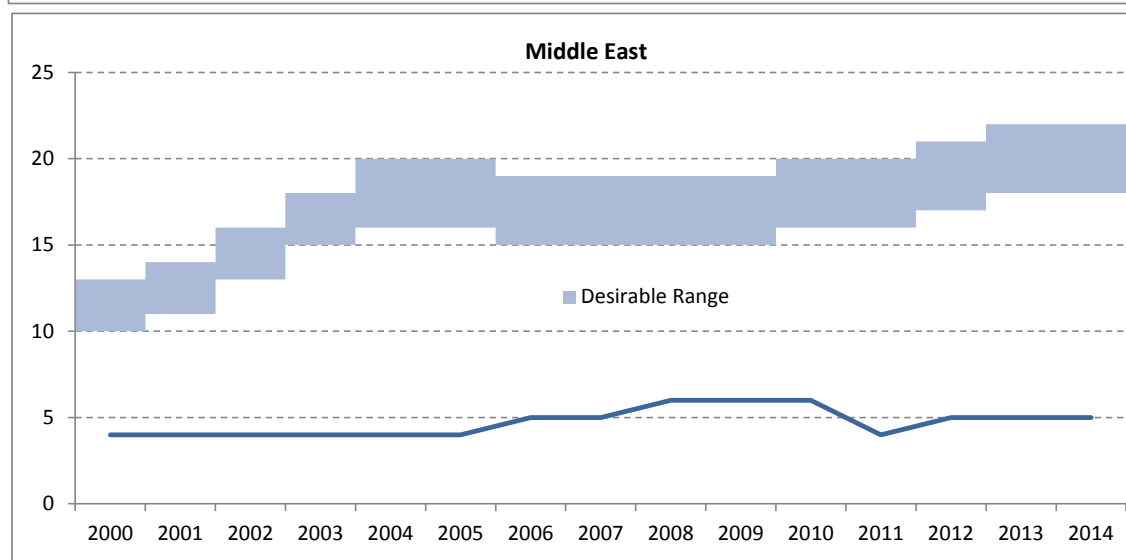
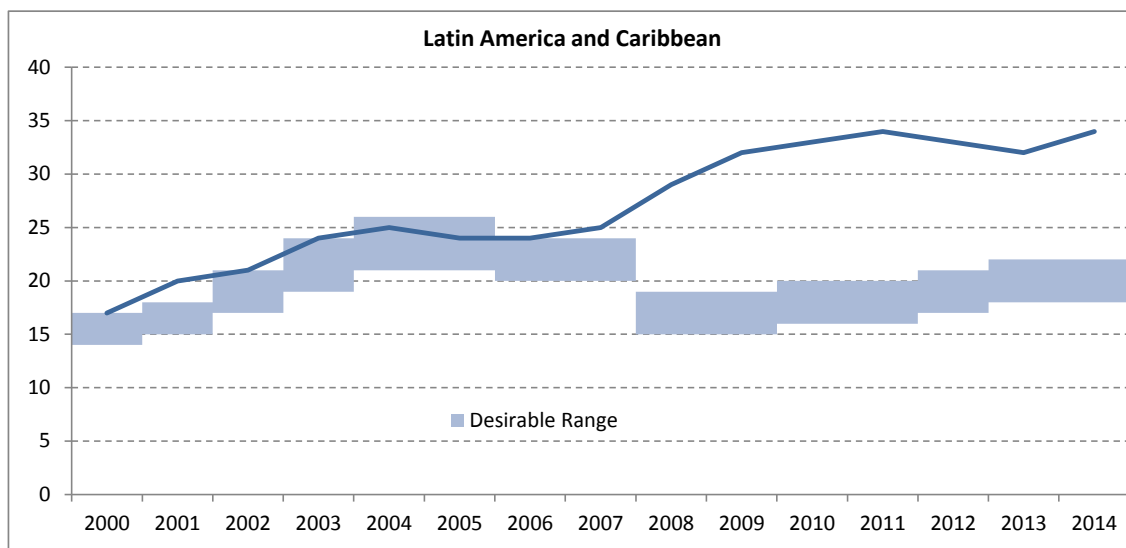
[Annex II follows]

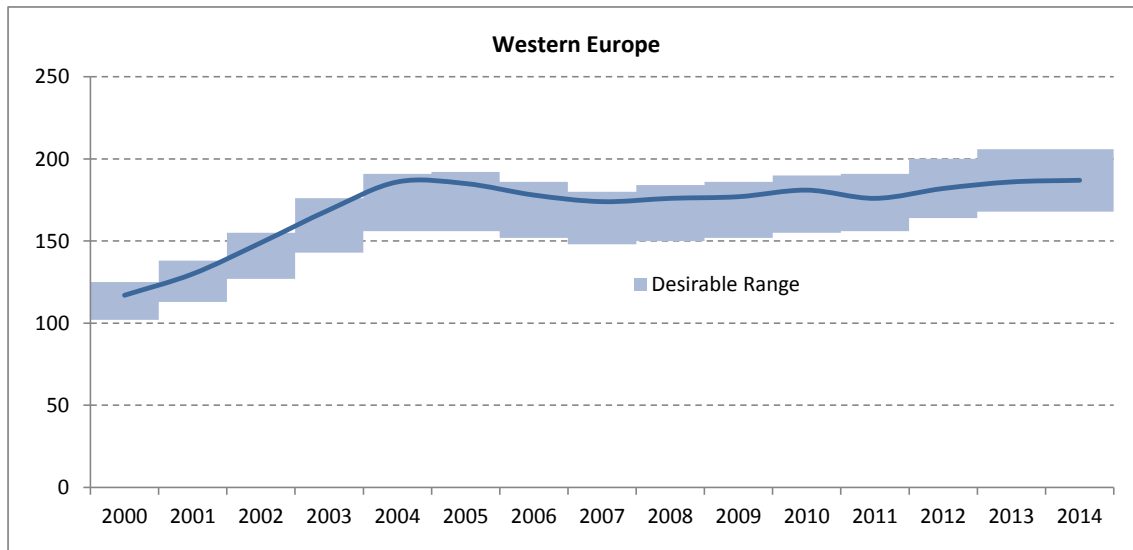


GEOGRAPHIC DISTRIBUTION (2000 - 2014)

The following graphs simulate the effect per region of the principle of geographical distribution agreed upon by Member States in 1975









## Geographical Distribution of Contributions<sup>1</sup>

June 2014

Region	A Percentage of contribution <sup>2</sup>	B Minimum quota (25 per cent)	C Number of posts (75 per cent)	D Total (number of posts) <sup>3</sup> B + C	E Desirable Range (- 10 / + 10 per cent)	F Actual (June 2014)
Africa	2.69	14.8	8.5	23.2	21 – 25	50
Asia & Pacific	16.43	14.8	51.0	65.7	57 – 70	60
Eastern Europe & Central Asia	8.44	14.8	26.1	40.9	35 – 44	29
Latin-America & Caribbean	1.84	14.8	5.7	20.4	18 – 22	34
Middle East	2.02	14.8	6.3	21.0	18 – 22	05
North America	11.01	14.8	34.1	48.9	42 – 52	41
Western Europe	57.60	14.8	178.1	192.9	168 – 206	194
	(100.00)	(103.3)	(309.6)	(399)		

<sup>1</sup>- See document WO/CC/IX/2, dated June 30, 1975.

<sup>2</sup>- Based on "Geographical Distribution of Contributions – Totals by Region 2014" (Finance Division).

<sup>3</sup>- Professional and higher categories (the Director General, language and editor posts are all excluded).

# **ETHICS OFFICE**

## **ANNUAL REPORT – 2013**

**GETTING IT RIGHT**

*building a strong culture of ethics at WIPO*

1. The following is a report on the activities of the WIPO Ethics Office in 2013.

## **I. BACKGROUND**

2. The Convention Establishing the World Intellectual Property Organization refers to the importance for the Organization of securing the highest standards of efficiency, competence and integrity. The establishment of a comprehensive ethics and integrity system at WIPO is one of the initiatives of the Strategic Realignment Program (SRP) which in 2013 began to be mainstreamed into WIPO activities, following the conclusion of the SRP in early 2013.

## **II. STRUCTURE**

3. The Ethics Office is structured along lines similar to those of the UN Ethics Office. It is headed by the Chief Ethics Officer, who reports to the Executive Director and Chief of Staff in the Office of the Director General. The four main areas of its activities are:

- (a) Promotional activities;
- (b) Confidential advice to senior management, managers and all staff members;
- (c) Norm-setting and policy development;
- (d) Implementation of policies assigned to the Ethics Office.

4. The Office is independent of the other services of WIPO.

## **III. PROMOTIONAL ACTIVITIES**

### **a. Ethics and integrity training**

5. Mandatory training for all staff at every level of the Organization was initiated in 2012 and concluded in 2013. The training program was managed overall by the Ethics Office working in close collaboration with the Human Resources Management Department and the Project Management Office of the Strategic Realignment Program and was delivered by external trainers.

### *Objectives*

6. The training was tailored to the Organization's values and policies on ethical conduct and in line with good training practices and commonly recognized ethical principles. Specifically, the objectives to be achieved through training were to:

- Enhance the culture of ethics;
- Raise awareness across the Organization about the principles, policies, tools and considerations relating to ethical behavior at WIPO;
- Increase trust among colleagues and managers and trust in the Organization;
- Promote accountability in decision-making;
- Strengthen ethical leadership – “tone at the top”.

### *Outcomes*

7. The desired outcomes were to:
- Ensure a common understanding of the meaning of ethics and integrity as applied in a professional setting, and the importance of ethical conduct for the reputation of the Organization;
  - Ensure that all staff receive training in core ethics principles;
  - Promote a consistent message on ethics and expected standards of conduct in WIPO;
  - Raise awareness of the mechanisms that are in place to support personnel.

### *Nature of training*

8. Training consisted of a review of ethics principles and values which apply at WIPO, a series of case studies in which staff participated in identifying ethical issues and working on a resolution by applying a decision-making model, an introduction to the ethics office and the services available to staff and its activities, and a discussion of common obstacles to acting ethically and how to address them. The training was comprised of half-day face-to-face sessions led by external trainers with experience in providing ethics training in the UN common system. The provider was chosen following a competitive process.

### *WIPO Code of Ethics as the learning reference*

9. The external provider and the Ethics Office developed a detailed Participant Guide which each staff member received in hardcopy at their training session. The first half was the “workbook” used during the training which reproduced key learning points as well as notes on the cases. The second half reproduced the entire WIPO Guide to Ethics, prepared by the Ethics Office, for use as a take-away reference. The WIPO Code of Ethics and WIPO Guide to Ethics were essentially debuted in this forum and the physical receipt of a personal copy reinforced the institutional messages.

### *Impact as demonstrated by post-training survey*

10. As of December 31, 2013, over 98 per cent of staff in active service had completed the training. The response rate to an online survey sent to all participants who attended the training was high. As of December 31, 2013, the total number of responses received from the survey was 806 (of 1,279 participants), a response rate of over 60 per cent. In the training and evaluation field, this reflects a high level of engagement.

11. The surveys confirmed that the training had been well received, with 90 per cent of respondents finding the course content appropriate (moderately to highly) for WIPO staff (Table 1), 82 per cent reporting that the course improved (considerably to somewhat) their awareness of ethical issues faced at WIPO (Table 2). If faced with an ethical dilemma, 84 per cent of respondents reported feeling better equipped (considerably to somewhat) to resolve it (Table 3).

Table 1 “How would you rate the content of the Ethics training course?”

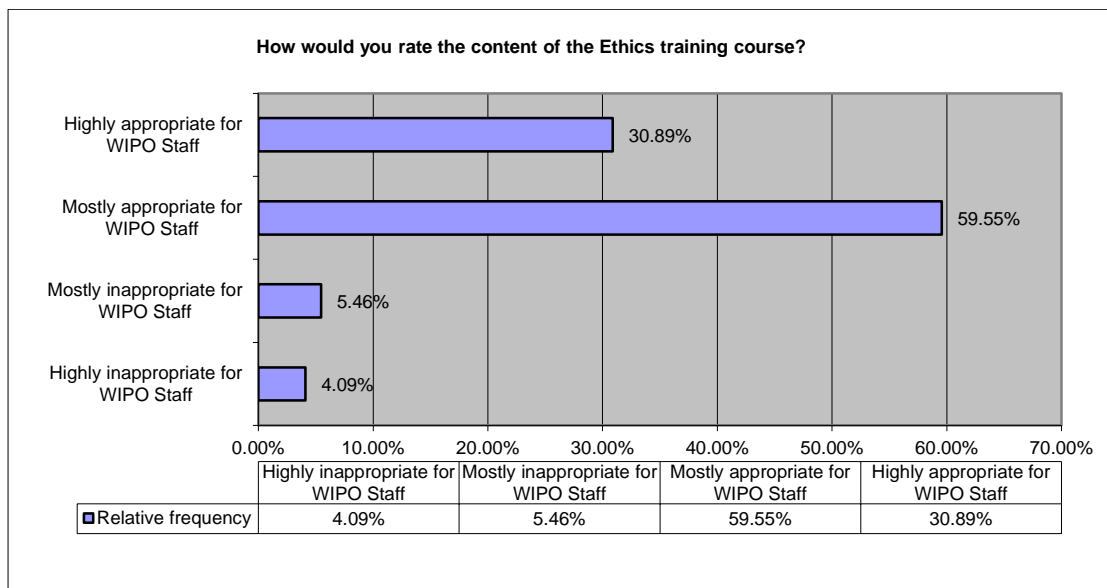


Table 2 - “The training improved my awareness of ethical issues we face at WIPO”

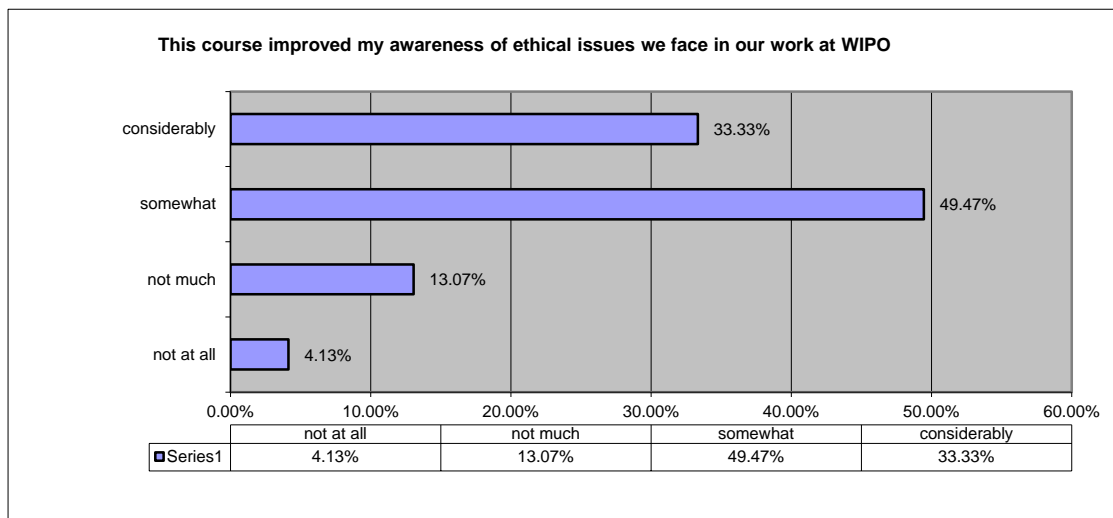
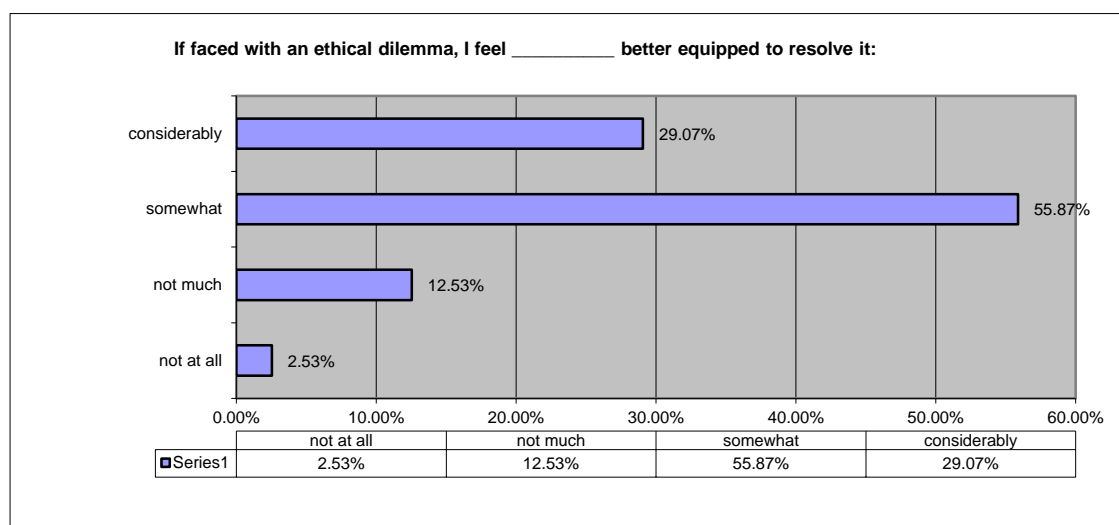




Table 3 - "If faced with an ethical dilemma, I feel \_\_\_\_\_ better equipped to resolve it"



### Key items taken away from training

12. Key ideas that participants reported in the survey that they took away from the course included:

- the importance of trust, integrity, honesty, objectivity, independence and impartiality, personal accountability, confidentiality, respect and tolerance for each other particularly in a multicultural environment, transparency and open communication and fairness and humanity in dealing with people both horizontally and vertically.
- a common understanding of how business ethics relates to every day conduct at WIPO; the need to be conscious of one's own behavior in daily activities; the importance of an ethical environment which brings with it confidence and as a consequence the improvement of the conditions and quality of work, relations with colleagues and the image of WIPO.
- increased awareness of ethical issues which may arise at work; how to handle situations in which the Organizations' values might be compromised; how to assess and deal with a potential ethical issue using the Ethical decision-making model.
- the importance of ethical behavior at all levels; a better appreciation of personal discretion, the obligation of managers to act as role models; the importance of setting the tone not only from the top down, but also from the bottom up; everyone has an ethical duty towards the Organization and the Organization has a duty to act ethically towards employees; being a role model.
- there is a genuine effort to change the mentality of WIPO staff towards embracing a more ethical behavior, based on respect towards colleagues; there seems to be a real intention on the part of the Organization to improve the work environment and conditions of work through increasing integrity, transparency and responsibility.

- learning of the existence of the Ethics Office as a resource to obtain guidance and advice; understanding the Ethics Office's role in promoting integrity at WIPO; the distribution of tasks between the Ethics Office/Human Resources Management Department/Ombudsperson; differences between the formal and informal processes.
- staff members have a personal responsibility not to tarnish the reputation of the Organization (the "newspaper headlines test").
- the duty to report perceived wrongdoing; the importance of frankness and transparency and of not sitting by idly when confronted with an unethical situation and the need to speak directly to the person concerned without fearing reprisals.

b. Intranet site

13. A dedicated Intranet site for the Ethics Office was established in March 2012 and updated in 2013.

c. Guide to Ethics at WIPO

14. A compilation of existing WIPO policies and principles, providing a single source for such policies and principles in easy-to-read narrative format along with links to relevant resources was published on the WIPO intranet site in 2012 and updated in 2013.

#### **IV. CONFIDENTIAL ADVICE TO SENIOR MANAGEMENT, MANAGERS AND ALL STAFF MEMBERS**

15. A growing number of staff approached the Ethics Office for advice in 2012. The volume of requests for advice increased by 69 per cent over similar activity in 2012 and a five-fold increase since 2011. This shows that the recognition and appreciation of the Ethics Office as a source of impartial confidential advice on ethics have shown steady and significant growth. The number and types of request for advice in 2013 are shown in Tables 4A and 4B, below (alongside the information from 2010-12). Data for 2010 relates to a seven-month period only (June-December 2010).

Table 4A - Number of types of request for advice 2010-2013

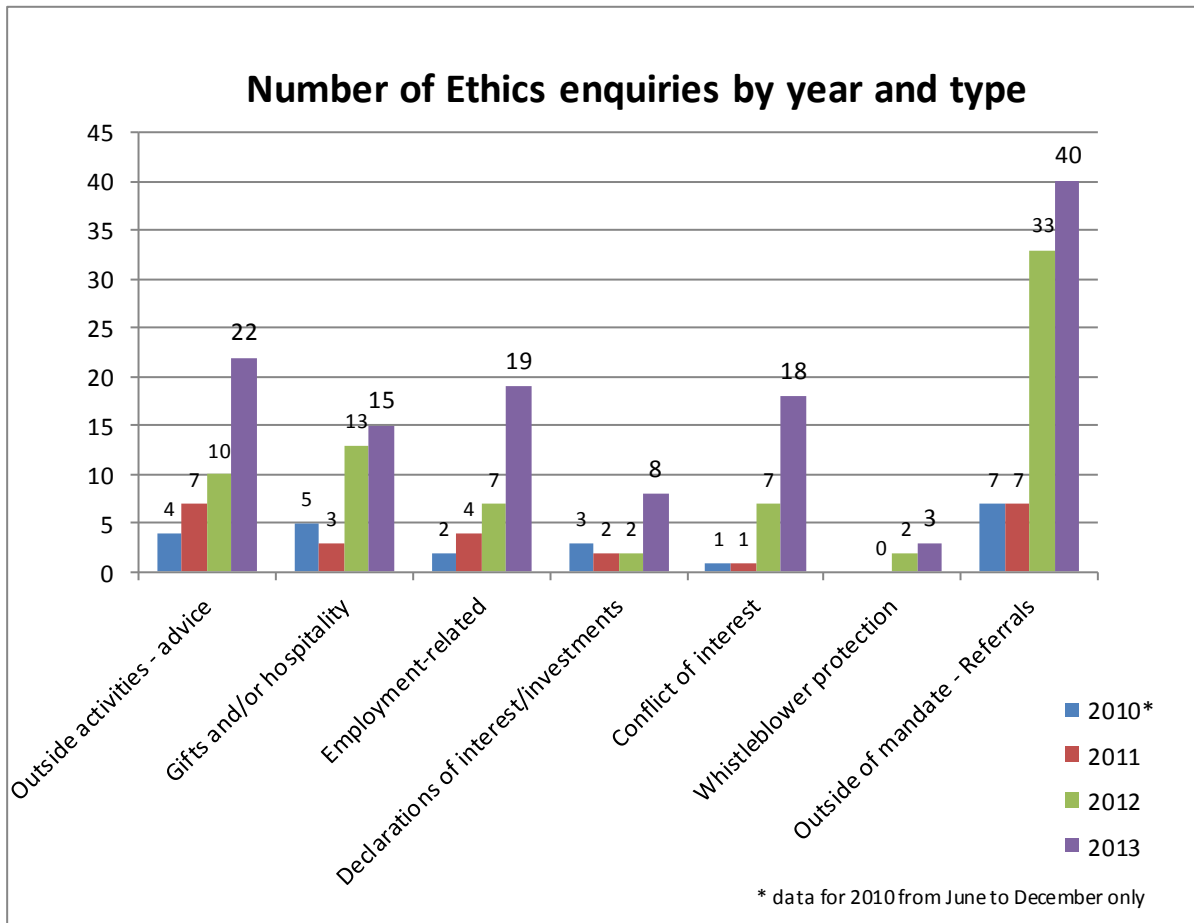


Table 4B - Number of types of request for advice 2010-2013 (absolute numbers)

Type	2010*	2011	2012	2013
Outside activities – advice	4	7	10	22
Gifts and/or hospitality	5	3	13	15
Employment-related	2	4	7	19
Declarations of interest/investments	3	2	2	8
Conflict of interest	1	1	7	18
Whistleblower protection		0	2	3
Outside of mandate - Referrals	7	7	33	40
<i>of which**:</i>				
<i>a) Personal legal issues</i>				
<i>b) Investigations</i>				
<i>c) Suspected misconduct</i>				32
<i>d) Other compliance issues</i>				8
Totals	22	24	74	125

\*Seven-month period

\*\*breakdown not available in this category for 2010-12

Some requests for advice occurred in a single visit to the Ethics Office, and other requests required several visits and sustained involvement of the Ethics Office.

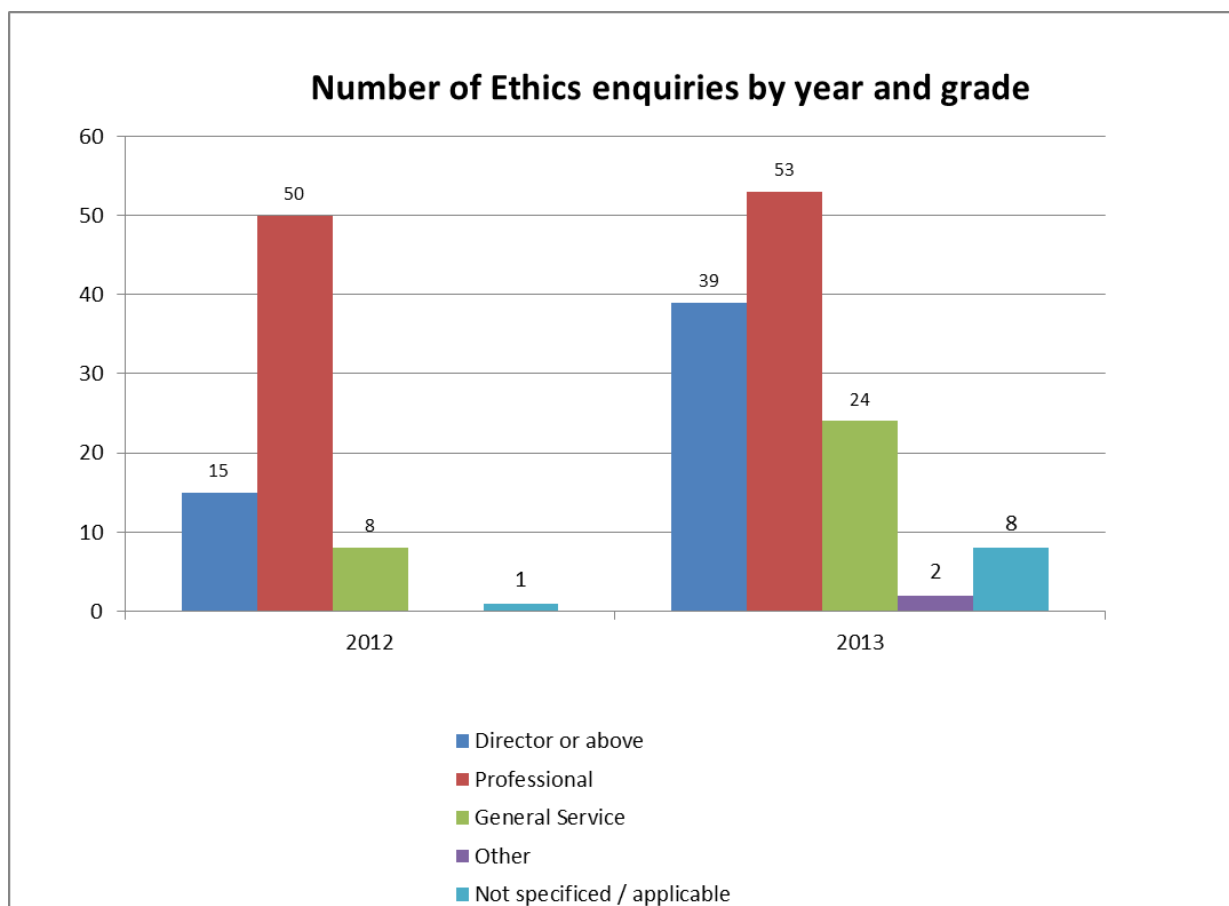
#### *Profile of requestors*

16. In 2013, as in 2010 and 2011, requests for advice came almost equally from male and female members of staff: 52 per cent from male members and 48 per cent from female members of staff in 2013. In 2012, the respective figures were 62 per cent from male staff and 38 per cent from female staff.

17. Requests in 2013 came from all levels of staff member, with significant increases at the levels of Director and above and General Service:

- 39 at D1 and above, rising from 15 in 2012 (increase of 160 per cent);
- 53 at the Professional level, rising from 50 in 2012 (increase of six per cent) ;
- 24 at the General Service level, rising from eight in 2012 (increase of 200 per cent);
- two others (non-staff).

Table 4C – Number of Ethics enquiries by year and grade (comparison between 2012 and 2013)



18. Of significance, the relative overall percentage of staff at the Director level seeking advice from the Ethics Office rose to 33 per cent of all staff in 2013, compared with 21 per cent in 2012, reflecting a comparative increase in recognition and acceptance at the management level of the advisory role of the Ethics Office and an increased recourse to its services. There was a similar increase in the overall percentage of staff in the general service category (to 20 per cent in 2013 from 11 per cent in 2012), and a corresponding decrease in the relative percentage of all staff at the professional level (to 45 per cent in 2013 from 68 per cent in 2012).

## V. NORM-SETTING AND POLICY DEVELOPMENT

19. In 2013, work in this area was undertaken principally through supporting the extensive work on the reform of the internal justice system and further work on the financial disclosure policy.

### *Internal justice system reform*

20. At the request of the Human Resources Management Department, the Ethics Office chaired a series of stakeholder consultations supporting a study commissioned from an external expert designed to assess the fitness for purpose of the WIPO internal justice system. In addition, the Ethics Office provided advice and support as necessary as the reform process moved through an internal consultative group and then drafting of revised Staff Regulations and Rules and supporting Office Instructions.

21. A series of amendments to the Staff Regulations and Rules relating to the internal justice system were proposed by the Director General and adopted by the WIPO Coordination Committee at its Sixty-seventh (44<sup>th</sup> Ordinary) Session held in Geneva, Switzerland from September 21 to October 2, 2013.

*Financial disclosure policy*

22. Further internal work was undertaken on the development of a new financial disclosure policy for senior staff and other designated members of staff. It is anticipated that the work will conclude in 2014. The Organization intends to obtain the appropriate balance between the need for information and the valid privacy interests of staff members, and to take account of the risk management framework and internal controls system being developed by the International Bureau.

## **VI. IMPLEMENTATION OF POLICIES ASSIGNED TO THE ETHICS OFFICE**

*Whistleblower Protection Policy*

23. The Whistleblower Protection Policy (WPP) has been in effect at WIPO since 2012.

24. The purpose of the WPP is two-fold. Firstly, it establishes a duty to report suspected wrongdoing in a responsible way and elaborates reporting mechanisms in parallel with provisions in the Staff Regulations and Rules. Secondly, it provides protection for staff members who have made such reports or who participate in other oversight activities which are enumerated in the policy.

25. Although a small number of enquiries were made, no claims under the Whistleblower Protection Policy for protection against retaliation for whistleblowing or participating in a protected activity were received in 2013. There was one such claim in 2012, which was dealt with by the Ethics Office and satisfactorily resolved. A low level of claims is consistent with the experience of other agencies such as the United Nations Secretariat.

*Declarations of Interest and IPSAS-mandated disclosures of related party transactions*

26. The implementation of the Declaration of Interest program for staff members of WIPO at the level of D1 and above, and a limited number of other high-risk categories, is assigned to the WIPO Ethics Office. Compliance with IPSAS has created additional disclosure requirements for staff members at the D2 level and above. A compliance rate of 100 per cent for IPSAS disclosure requirements concerning related party transactions was achieved with respect to the 2012 reporting period, the most recent completed period for which statistics are available.

## **VII. MEASURING PROGRESS IN ESTABLISHING A COMPREHENSIVE ETHICS AND INTEGRITY SYSTEM**

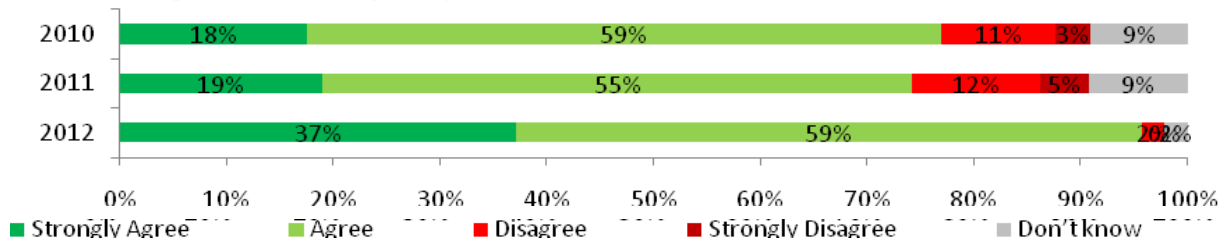
27. The most recently available Organization-wide surveys, other than those used for the training exercise, demonstrate a marked increase over a three year period (2010-2012) of knowledge of WIPO ethics principles and awareness for reporting suspected misconduct.

28. Respondents to the SRP Core Values Survey indicated that in 2010, 77 per cent reported being aware of ethics principles; in 2011, 74 per cent did so. After the ethics training had commenced, a significant increase occurred in 2012, when 96 per cent reported being aware of WIPO ethics principles. As to commitment to ethics principles, 63 per cent of

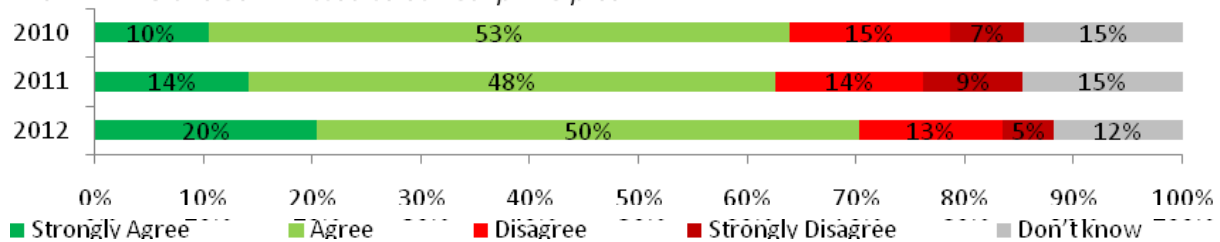
respondents reported their view that “we in WIPO” are committed to WIPO principles, and in 2012, 70 per cent did so. Table 5 compares the results of the Core Values Survey over the three years for which the most recent statistics are available.

Table 5 – Ethics at WIPO – What the Core Values Survey says (2010-2012)

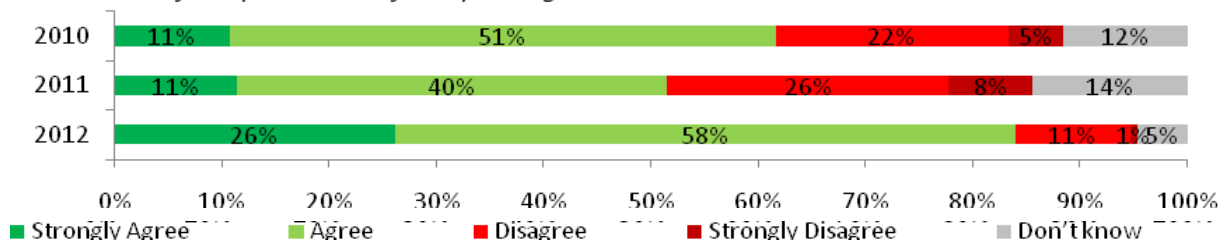
*I am aware of WIPO’s ethics principles*



*We in WIPO are committed to ethical principles*



*I am aware of the procedures for reporting misconduct*



**Evolution of dimensions from 2010 to 2012**

After a generalized decrease in 2011, there has been an increase in the percentage of respondents who agree with all three statements.

- 96% of respondents were aware of WIPO’s ethics principles, up from 74% in 2011, and 77% in 2010;

## VIII. HARMONIZATION WITH BEST PRACTICES OF THE UN COMMON SYSTEM

29. The WIPO Ethics Office has played an active role in the establishment and activities of the Ethics Network of Multilateral Organizations (ENMO) and participates regularly in its work.

[End of Annex III and of document]