

## **Internal Oversight Division**

### **Report Publication Policy**

2017 EDITION

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## LIST OF ACRONYMS

IAOC	Independent Advisory Oversight Committee
IOD	Internal Oversight Division
MIR	Management Implication Report
PER	Preliminary Evaluation Report
SRRs	Staff Regulations and Rules
WIPO	World Intellectual Property Organization

## 1. INTRODUCTION AND PURPOSE

1. The Internal Oversight Division (IOD) Report Publication Policy (hereinafter the Policy) provides the framework and establishes governing principles for the publication of IOD reports: Internal Audit and Evaluation Reports, as well as Management Implication Reports (MIR) resulting from investigative activities. It does not apply to Preliminary Evaluation Reports (PER) and final Investigation Reports. Rules and procedures on the issuance and disclosure of such reports are set out in the Internal Oversight Charter<sup>1</sup>.

2. Publication of Internal Oversight Reports is an opportunity to show accountability for results and transparency in sharing lessons and experiences from internal oversight work with interested stakeholders inside and outside WIPO. Such publication also provides an opportunity for all stakeholders to make better use of findings from IOD analysis for the purpose of institutional learning and hence to increase the relevance and impact of internal oversight.

3. The Policy is established in consultation with Member States, pursuant to the WIPO Internal Oversight Charter<sup>2</sup>. The Policy is consistent with the WIPO Staff Regulations and Rules (SRRs), and related administrative issuances. It also takes into account the International Standards for the Professional Practice of Internal Auditing and the Code of Ethics promulgated by the Institute of Internal Auditors and adopted by the Representatives of Internal Audit Services of the United Nations Organizations, Multilateral Financial Institutions and Associated Intergovernmental Organizations, the standards developed and adopted by the United Nations Evaluation Group and the Uniform Principles and Guidelines for Investigations adopted by the Conference of International Investigators.

## 2. GOVERNING PRINCIPLES

4. Paragraph 32 of the Internal Oversight Charter stipulates: “The Director, IOD shall submit final Internal Audit and Evaluation Reports to the Director General with a copy to the IAOC and the External Auditor. Upon request, the External Auditor shall be provided with any supporting documentation of Internal Audit and Evaluation Reports.”

5. Paragraph 33 of the Internal Oversight Charter requires: “The Director, IOD shall publish Internal Audit and Evaluation Reports, as well as Management Implication Reports resulting from investigations, on the WIPO website within one month of their issuance. If required to protect security, safety or privacy, the Director, IOD may, at his/her discretion, withhold a report in its entirety or redact parts of it. However, Member States may request access to reports withheld or to the original version of the redacted reports; such access shall be granted under condition of confidentiality at the offices of IOD.” Member States shall send a written request to IOD, designating a representative, who shall then be required to sign a confidentiality agreement for such access.

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<sup>1</sup> Paragraphs 34 to 39.

<sup>2</sup> See Internal Oversight Charter, paragraph 26 (b): “To effectively implement WIPO’s internal oversight functions, the Director, IOD shall in consultation with Member States, establish policies for all oversight functions, i.e., internal audit, evaluation, and investigation. The policies shall provide rules and procedures on the access to reports while ensuring rights to due process and the preservation of confidentiality.”

### 3. PROCEDURES

6. Dissemination of Internal Oversight Reports through publication on the WIPO public website will allow all stakeholders to receive timely information on oversight products and to make use of these insights in their work. To maximize the value of published reports and prevent breaches of confidentiality and potential harmful effects of such publications, the following measures shall be taken:

#### QUALITY

7. To ensure accuracy and quality both in substance and in form, all Oversight Reports are subject to an internal quality assurance process as organized in the relevant Internal Audit, Evaluation or Investigation IOD manuals.

8. In accordance with the Internal Oversight Charter, reasonable time, as specified in the draft report, will continue to be allocated for: the review of draft reports within the Organization to allow for factual corrections; revision of findings, as appropriate, to take into account their operational and organizational context; clarification of outstanding issues; reporting of dissenting views; and involvement of Senior Management in discussing any areas of contention.

#### TIMEFRAME

9. Final Internal Audit, Evaluation and Management Implication Reports must be published on the WIPO public website no later than one month after their issuance.

10. The thirty (30) day time limit for publication may provide Senior Management with the opportunity to initiate any management action, and to prepare for any queries, as necessary, that might be addressed to the Organization once the report is in the public domain.

#### CONFIDENTIALITY

11. Until they are published on the WIPO public website, the draft reports and any information gathered or received in the course of an Internal Audit, Evaluation or Investigation shall be categorized and shall be handled as “confidential” in accordance with paragraph 16 of the Internal Oversight Charter<sup>3</sup>. Any indication of the confidential nature of the final reports shall be removed before their publication.

#### REDACTING / WITHHOLDING REPORTS

12. In accordance with paragraph 33 of the Internal Oversight Charter: “If required to protect security, safety or privacy, the Director, IOD may, at his/her discretion, withhold a report in its entirety or redact parts of it”. Such decision will be taken by the Director IOD in close consultation with management. Reasons for withholding or redacting a report will be recorded in writing; such records will be made available to the Independent Advisory Oversight Committee (IAOC), the External Auditor and Member States upon request.

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<sup>3</sup> See Internal Oversight Charter, paragraph 16: “The Director, IOD shall respect the confidential nature of, and protect from unauthorized disclosure, any information gathered or received in the course of an Internal Audit, Evaluation, or Investigation, and shall use such information only in so far as it is necessary for the performance of his/her duties.”

13. Circumstances warranting redacting or withholding a report may include, but are not limited to, situations which could:

- (a) Disclose the identity of a confidential source or expose witnesses, whistle-blowers or other individuals to possible retaliation or other adverse consequences;
- (b) Reveal trade secrets and/or political, commercial or financial information that are privileged and/or confidential;
- (c) Divulge personal information of WIPO staff members;
- (d) Disclose information that is otherwise restricted from disclosure by WIPO Information Classification and Handling Policy;
- (e) Disclose technical or operational safety/security information that may compromise staff safety, negatively impact WIPO's security systems and potentially expose the Organization and its clients to otherwise manageable risk;
- (f) Disclose information that could result in significant legal risk for individuals;
- (g) Needlessly expose WIPO to commercial, legal, or any other risk which may have adverse impact on the reputation or operations of the Organization; or
- (h) Aid the perpetration or contemplation of unlawful activities against WIPO.

#### FOLLOW-UP

14. Together with each report, IOD will publish and periodically update, after due validation, the status of implementation of the recommendations of the Internal Audit, Evaluation and Management Implication Reports. The publication of such information will allow the interested reader to monitor progress made in addressing issues identified in relevant Internal Audit, Evaluation and Management Implication Reports. Such information will also represent a publicly available indicator of the responsiveness of the Organization to oversight findings and recommendations.

#### MEDIA

15. The publication of Oversight Reports might elicit queries and questions from the media. Questions from the media should be directed to WIPO's Communications Division, Media and News Section. To ensure that oversight findings and their underlying context are properly expressed and understood, the relevant units responsible for the subject areas in question should be consulted in formulating these responses, providing pertinent background information, explanations and clarifications where appropriate with due regard to any restrictions that may be stipulated under separate policies that are in force.

#### REVIEW OF THE POLICY

16. The Policy will be reviewed on a regular basis, preferably at least every three years from the date of its issuance.

[Annex I follows]

## REFERENCE DOCUMENTS

1. [WIPO Internal Oversight Charter](#) (Annex I to the Financial Regulations and Rules)
2. [WIPO Information Classification and Handling Policy](#)

[End of Annex I and of document]