



# Performance Management and Staff Development System

## Guidelines



### Table of Contents

- 1 INTRODUCTION .....2**
- 2 FAMILIARIZING YOURSELF WITH PMSDS .....2**
- 3 FOLLOWING THE PMSDS CYCLE.....2**
  - 3.1 DEVELOPMENT OF A UNIT WORKPLAN .....3
  - 3.2 PREPARING AND CONDUCTING PMSDS MEETING(S) .....3
  - 3.3 FINALIZING THE PMSDS REPORT .....3
  - 3.4 CONTINUOUS FEEDBACK AND FOLLOW-UP DURING THE YEAR.....4
  - 3.5 CONDUCTING AN INTERIM REVIEW.....4
  - 3.6 CLOSING THE CURRENT PMSDS CYCLE AND OPENING A NEW PMSDS CYCLE .....5
- 4 EVALUATING PERFORMANCE OF THE PAST PERIOD .....5**
  - 4.1 DETAILED PERFORMANCE EVALUATION (AS OF PHASE III).....5
  - 4.2 OVERALL PERFORMANCE EVALUATION .....5
- 5 PLANNING PERFORMANCE FOR THE NEXT PERIOD (AS OF PHASE II) .....7**
  - 5.1 IDENTIFICATION OF WORK-RELATED OBJECTIVES .....7
  - 5.2 SPECIFYING KEY QUALIFICATIONS.....8
  - 5.3 IDENTIFICATION OF DEVELOPMENT-RELATED OBJECTIVES .....8
  - 5.4 IDENTIFICATION OF TRAINING NEEDS.....9
  - 5.5 INTERDEPENDENCIES BETWEEN OBJECTIVES, KEY QUALIFICATIONS AND TRAINING NEEDS ....9
- 6 UNDERSTANDING THE ROLE OF THE EMPLOYEE.....10**
  - 6.1 UNDERSTANDING AND ASSESSING YOURSELF.....10
  - 6.2 ATTENDING THE PMSDS MEETING(S) AND PROVIDING INPUT FOR THE PMSDS REPORT .....11
  - 6.3 FOLLOW-UP DURING THE YEAR .....11
- 7 UNDERSTANDING THE ROLE OF THE SUPERVISOR .....12**
  - 7.1 LEADING THE EMPLOYEE THROUGH THE PMSDS CYCLE.....12
  - 7.2 SHOWING RECOGNITION .....13
  - 7.3 ADDRESSING UNDER PERFORMANCE .....13
- 8 UNDERSTANDING THE ROLE OF THE REVIEWING OFFICER .....14**
  - 8.1 ADVISING .....14
  - 8.2 MEDIATING.....15
  - 8.3 MANAGING QUALITY .....15
  - 8.4 AGREEING OR INTERVENING.....15
- 9 DEALING WITH DISAGREEMENTS ON THE PMSDS REPORT - A SUMMARY .....16**

**APPENDIX: SAMPLES OF ANNUAL AND INTERIM PMSDS REPORTS IN THE VARIOUS PHASES**

## 1 INTRODUCTION

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

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

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

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

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

## 2 FAMILIARIZING YOURSELF WITH PMSDS

Read through this document to familiarize yourself with the concepts and components of PMSDS. In addition, visit the [PMSDS intranet page](#) for more information:

- |   |
|---|
| - PMSDS Frequently Asked Questions                            |
| - PMSDS related Office Instructions and Information Circulars |
| - Example of a PMSDS Report                                   |
| - ePMSDS User Manual  |

## 3 FOLLOWING THE PMSDS CYCLE

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

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



### 3.1 Development of a Unit Workplan

- *Towards the end of the previous year*

Towards the end of the previous year, a unit meeting should be conducted in which the employees are introduced to the overall strategy of the related program. Develop together with the employees a workplan that indicates the unit objectives, priorities, expected unit results and key performance indicators. Identify possible individual assignments to the various initiatives. All employees of the unit should have a clear understanding of the workplan and of their role and responsibilities for the success of the unit and of the Organization.

### 3.2 Preparing and Conducting PMSDS Meeting(s)

- *At the end of the previous year/beginning of current year*

Allocate sufficient time to prepare and conduct the PMSDS meeting(s). Before the meetings, reflect about the performance during the past period and develop ideas for the next period. During the first meeting exchange your views and ideas and agree on the content of the new PMSDS report.

For more information see the chapters of this document:

- |  |
|--|
| - <a href="#">➤ Evaluating Performance of the Past Period</a>  |
| - <a href="#">➤ Planning Performance of the Next Period</a>  |
| - Understanding the Role of the <a href="#">➤ Employee</a> , the <a href="#">➤ Direct Supervisor</a> and the <a href="#">➤ Reviewing Officer</a> |

After the first meeting, the information should be entered into the PMSDS report and both the supervisor and the employee should take a few days to reconsider the report before meeting a second time to finalize it. In case of persisting disagreements, the reviewing officer should be involved as mediator.

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

Please note, the report must be provided in either **English** or **French**, whatever is the usual language of communication between the employee and direct supervisor. If this is not obvious, confirm the language **beforehand**.

### 3.3 Finalizing the PMSDS Report

- *Until March 31 of the current year*

Once the PMSDS report has been completed including the information recorded under the Employee's Section, the report should be frozen and one



copy should be printed to be signed, first by the direct supervisor and then by the employee.

The direct supervisor should forward the signed report (paper version) to the reviewing officer who should provide his/her feedback in the Reviewing Officer Section, sign the report and send it back to the direct supervisor. In case of disagreement and/or comments of the reviewing officer, the report would need to be presented again to the employee for signature.

Once all parties have signed the report, the direct supervisor should finalize the electronic version and submit the original paper version with signatures to the HR Administrative Section in HRMD, not later than March 31 of the current cycle.

### 3.4 Continuous Feedback and Follow-up during the Year

➤ *Throughout the current year*

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

### 3.5 Conducting an Interim Review

➤ *When requested/required during the current year*

In general, the interim review is not obligatory, but can be requested by either the direct supervisor or the employee. An interim review should, however, be conducted when:

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

The changes in objectives should be reflected in the Performance Planning Section of the Interim report. Comments concerning the changes and/or concerns should be provided in the Interim Review Section. There is no rating of the employee’s performance in the interim report as such. The employee can add his/her comments, if any. The interim report should be dated and signed by the direct supervisor and the employee in the Interim Section. The electronic version should be finalized and the original paper version submitted to the HR Administrative Section in HRMD.

### 3.6 Closing the current PMSDS Cycle and Opening a new PMSDS Cycle

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

Prepare and conduct PMSDS meetings as described above to prepare the next PMSDS report.

## 4 EVALUATING PERFORMANCE OF THE PAST PERIOD

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

### 4.1 Detailed Performance Evaluation (as of phase III)

The detailed evaluation under the Performance Evaluation Section can only be conducted if the "Performance Planning Section" was completed in the previous PMSDS report.

In that case, discuss the results achieved under the work and development-related objectives and how well the key qualifications have been demonstrated at work. If the outcome does not meet with the expectations, analyse the reasons, identify lessons learnt and use the findings for the planning of the next period.

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

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

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

### 4.2 Overall Performance Evaluation

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

As a general guideline, **5 to 15 per cent** of WIPO's employees may be rated as "Exceeds expectations". Employees with a rating of (2) and (3) are regular performers whose output falls within the normal range, and they generally constitute the largest group in an organization. If an employee does not yet fully meet the expectations further improvement may be encouraged. Employees with a rating of (4) and (5) need to improve their performance significantly.

|                                       |                           |
|---------------------------------------|---------------------------|
| (1) <b>Exceeds</b> expectations       | ➤ Outstanding performance |
| (2) <b>Fully</b> meets expectations   | ➤ Regular performance     |
| (3) <b>Mostly</b> meets expectations  |                           |
| (4) <b>Partly</b> meets expectations  | ➤ Under performance       |
| (5) <b>Does not</b> meet expectations |                           |

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

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

The overall comments might contain:

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

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

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

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

For the purpose of administrative consequences linked to the PMSDS report, the latest report is valid till a new one is received by HRMD, on or before March 31 of the next year (which is the deadline for submitting the next PMSDS report).

There might be exceptional cases however, where the performance has markedly changed for several months and the overall rating given at the beginning of the year, may no longer be accurate for the determination of administrative consequences later in the year. In such cases, a new PMSDS report should be established which would supersede the previous report.

## 5 PLANNING PERFORMANCE FOR THE NEXT PERIOD (AS OF PHASE II)

### 5.1 Identification of Work-Related Objectives

All employees in WIPO need to know how they can best contribute to the strategic goals of WIPO and which competencies they should further develop. The annual work plan of the unit cascaded from the mid-term strategic goals and the Program and Budget of the respective program and the job description of the employee should be used to determine three to six work-related objectives.

Apply the following principles when defining objectives:

|  |
|--|
| - Objectives should be S.M.A.R.T.  |
| ➤ S = Specific   |
| ➤ M = Measurable   |
| ➤ <b>A = Achievable</b>  |
| ➤ <b>R = Relevant</b>  |
| ➤ T = Time-bound   |
| - Objectives must be in the first place <b>relevant</b> (alignment with WIPO's strategic goals) and <b>achievable</b> (success -> inner motivation); don't avoid key objectives just because they are hard to measure, rather ensure good communication to develop common understanding; |
| - Specific and measurable objectives are less likely to be misinterpreted and therefore cause fewer misunderstandings and simplify the evaluation;   |
| - All objectives should be <b>time-bound</b> , indicating at least by when the result is expected;   |
| - If people perform identical routine tasks, the use of performance standards might be more practical than individual work-related objectives;   |
| - The process of setting objectives and the related commitment is more important than the phrasing of objectives;  |

- Make sure that the performance expectations, priorities and development needs are understood by both of you. Clear and agreed objectives empower people to plan and conduct the work and increase job satisfaction;
- Achievement of the objectives must be monitored during the year. Provide continuous feedback. Changes to organizational goals and related priorities must be immediately communicated, explanations should be provided and objectives adjusted. (see [Conducting an Interim Review](#) in this document).

## 5.2 Specifying Key Qualifications

Ask the question:

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

### **Selecting Core and Managerial Competencies**

Core competencies, for example “Managing Yourself” and “Communicating Effectively” are expected from all WIPO employees, whereas managerial competencies, for example “Planning and Managing Resources”, are only for employees with managerial responsibilities.

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

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

### **Specifying other Key Qualifications**

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

## 5.3 Identification of Development-related Objectives

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

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

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

#### 5.4 Identification of Training Needs

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

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

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

To determine the right training modality, discuss the preferred learning style.

Specify together for all training needs the training category (e.g. competencies), the subject (always in English), the level (e.g. beginner) the training modalities (e.g. course, on the job) and the justification (e.g. current job requirement).

#### 5.5 Interdependencies between Objectives, Key Qualifications and Training Needs

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

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

##### Work-related objective

A Section Head has the work-related objective to facilitate the deployment of a **major change** in his/her team which will heavily affect the way the team is working currently.



|                                       |  |
|---------------------------------------|--|
| <b>Key qualifications</b>             | In that case, “ <b>Communicating Effectively</b> ”, and “ <b>Promoting Innovation and Learning</b> ” might be important competencies to lead people through the change process. At the same time, good project management skills might be important as well.             |
| <b>Development-related objectives</b> | To fulfil the work-related objectives and to fully demonstrate the key qualifications there might be a need to <b>further develop the communication and project management skills</b> of the Section Head for which two development-related objectives could be defined. |
| <b>Training needs</b>                 | Therefore, a <b>training course on effective communication</b> and a <b>self-study of good practices in project management</b> might be appropriate training activities listed under the training needs.   |

## 6 UNDERSTANDING THE ROLE OF THE EMPLOYEE

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

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

### 6.1 Understanding and Assessing Yourself

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

When you compare yourself with others, take your **peers** and not your supervisors or supervisees. If any previous PMSDS report is available, read it and think about your achievements and the progress that you have made since the last report.

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



## 6.2 Attending the PMSDS Meeting(s) and Providing Input for the PMSDS Report

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

At the end of the PMSDS report state your agreement/disagreement with the report, make comments if desired, and date and sign the report. The comments must be provided in the language of the PMSDS report. You may wish to discuss the comments with your direct supervisor before you finalize the text.

Your comments might relate to:

|  |
|--|
| - Desired career progression;                        |
| - Current job satisfaction;                          |
| - Desired changes regarding the working environment; |
| - Disagreement with any parts of the PMSDS report;   |
| - Any other issues related to the PMSDS report.      |

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

## 6.3 Follow-up during the Year

During the year, on an ongoing basis, review your PMSDS report and:

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



## 7 UNDERSTANDING THE ROLE OF THE SUPERVISOR

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

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

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

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

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

### 7.1 Leading the Employee through the PMSDS Cycle

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

- Allocate sufficient time to conduct the meeting(s) and allow ample time for the discussion;
- Select a quiet, comfortable and appropriate location; avoid interruptions, if possible sit aside (not opposite to) the person, and put him/her at ease;
- Encourage the employees to self-review and give feedback; listen to their ideas and concerns; make no final decisions on the rating before taking into account the employees' views on their own performance, but always remain in control of the meeting;
- When providing feedback to the employee:
  - **start with the strengths** rather than in a random manner or with weaknesses;
  - be specific, soft on the person but hard on the subject;
  - provide **solutions** rather than just criticism;
  - place emphasis on positive reinforcement;

|   |
|---|
| ➤ do not refer to incidents <b>outside</b> the evaluation period, base your evaluation on the whole period and not only on recent events; |
| - Use the occasion to acknowledge good performance and thank the employee for it;   |
| - Find agreement on the new objectives, key qualifications and training needs, to ensure buy-in from the employee, where possible;        |
| - Do not make any statements that are not job-related e.g. personal life, age, religion, gender, pregnancy, etc.;                         |
| - Stay calm and respectful under all circumstances.   |

Ensure that the PMSDS report is completed in time.

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

## 7.2 Showing Recognition

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

Apply the following principles:

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

## 7.3 Addressing Under Performance

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

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

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

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

Proactive solving of under performance requires first a clear identification of the source for the under performance, for example, insufficient communication, missing qualifications and lack of motivation. Discuss the performance issues with the employee and detect together the cause for it. Identify solutions and related actions to be taken for the remaining time of the PMSDS cycle to solve the performance issues and document both. Provide the employee with a copy the findings.

## 8 UNDERSTANDING THE ROLE OF THE REVIEWING OFFICER

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

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

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

### 8.1 Advising

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

## 8.2 Mediating

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

If no agreement can be reached and the employee indicates his/her disagreement with the PMSDS report, you should document in the “Comments” field of the “Reviewing Officer’s Section” the mediation efforts, including the date(s), participants and outcome of the exchange(s).

## 8.3 Managing Quality

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

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

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

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

In addition, you will evaluate in the PMSDS reports of these supervisors how well they have applied the PMSDS within their team.

## 8.4 Agreeing or Intervening

After the employee has signed the PMSDS report, the report will be forwarded to you.

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

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



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

## 9 DEALING WITH DISAGREEMENTS ON THE PMSDS REPORT - A SUMMARY

In the event of a disagreement, both the employee and the direct supervisor must make every reasonable effort to resolve this through dialog. Where disagreement persists after discussion, the reviewing officer together with the employee and the direct supervisor will work towards a solution in the evaluation process. If an agreement between the direct supervisor and the employee cannot be reached, ***the report given by the direct supervisor will prevail***.

The employee has the possibility to indicate his/her disagreement with the PMSDS report and the reasons for it in the “Comments” field of the “Employee’s Section” of the report. In such cases, the reviewing officer must document in the “Comments” field of the “Reviewing Officer’s Section” the date(s), participants and outcome of the exchange(s) described above.

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

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

The employee should sign the PMSDS report even if he or she does not agree with the report itself or the comments/modified rating of the reviewing officer. The signature acknowledges the receipt of the report by the employee and does not prevent the employee from ***contesting the ratings and/or related comments*** under the existing appeal/rebuttal procedures, as the case may be.

Should an employee refuse to sign the PMSDS report, the direct supervisor must mention this in the report and indicate the date on which the report was transmitted to the employee for signature (either by hand or registered mail) and proceed as usual with the report.



# Sample of an Annual PMSDS Report (Version 1)

## HEADER SECTION

|                                  |                                       |
|----------------------------------|---------------------------------------|
| Last Name, First Name:           | Matricule No.:                        |
| Cycle:                           | Report Type:                          |
| Evaluation Period: -             | Report Frozen:                        |
| Date(s) of the PMSDS Meeting(s): | Report Received by HRMD (electronic): |
| Direct Supervisor:               | Report Received by HRMD (paper):      |
| Reviewing Officer:               | Date of Entry in WIPO:                |
| Contract Type:                   | Contract Dates:                       |
| Organizational Unit:             | Job Title:                            |
| Post Number/Grade:               | Personal Grade/Step:                  |

## PERFORMANCE EVALUATION SECTION

| <b>WORK-RELATED OBJECTIVES</b><br><i>If the objective is "not applicable" any more, no rating is required.</i>  | Rating of achieved results versus expected results |                          |                          |                          |                          | <b>Supervisor's Comments</b><br><i>Obligatory if the rating is "exceeds expectations", "partly met" or "not met" or the objective is "not applicable".</i> |
|---|--|--------------------------|--------------------------|--------------------------|--------------------------|--|
|   | Exceeds exp.                                       | Fully met                | Mostly met               | Partly met               | Not met                  |  |
| 1.  | <input type="checkbox"/>                           | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 2.  | <input type="checkbox"/>                           | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 3.  | <input type="checkbox"/>                           | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 4.  | <input type="checkbox"/>                           | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 5.  | <input type="checkbox"/>                           | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  |
| 6.  | <input type="checkbox"/>                           | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  |
| <b>7. Supervisors only:</b><br>Apply the PMSDS to direct subordinates according to the PMSDS guidelines and related documents <i>(This includes in-depth and continuous dialog, setting of S.M.A.R.T. objectives, identification of training needs, objective ratings and comments, and timely compliance.)</i> | <input type="checkbox"/>                           | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  |

| <b>CORE AND MANAGERIAL COMPETENCIES</b> | Rating of effectiveness of competencies demonstrated at work |                          |                          |                          |                          | <b>Supervisor's Comments</b><br><i>Obligatory if the rating is "exceptionally", "partly" or "not" demonstrated.</i> |
|---|--|--------------------------|--------------------------|--------------------------|--------------------------|---|
|   | Except. dem.   | Well dem.                | Mostly dem.              | Partly dem.              | Not dem.                 |   |
| 1.                                      | <input type="checkbox"/>                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 2.                                      | <input type="checkbox"/>                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 3.                                      | <input type="checkbox"/>                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |   |

|                                 |   |
|---------------------------------|---|
| <b>OTHER KEY QUALIFICATIONS</b> | <b>Supervisor's Comments</b><br><i>Summary of effectiveness demonstrated at work, obligatory.</i> |
|                                 |   |

| DEVELOPMENT-RELATED OBJECTIVES<br><i>If the objective is "not applicable" any more, no rating is required.</i> | Rating of achieved development versus expected development |                          |                          |                          |                          | Supervisor's Comments<br><i>Obligatory if the rating is "exceeds expectations", "partly met" or "not met" or the objective is "not applicable".</i> |
|--|--|--------------------------|--------------------------|--------------------------|--------------------------|---|
|  | Exceeds exp.   | Fully met                | Mostly met               | Partly met               | Not met                  |   |
| 1.   | <input type="checkbox"/>                                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 2.   | <input type="checkbox"/>                                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |   |
| 3.   | <input type="checkbox"/>                                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |   |

**ADDITIONAL ACHIEVEMENTS AND CONTRIBUTIONS OF THE EMPLOYEE**  
*Additional achievements and/or contributions to the organization beyond the job profile of the employee (e.g. participation in functional working groups or official WIPO boards).*

**PERFORMANCE PLANNING SECTION**

**WORK-RELATED OBJECTIVES**  
*Identify together with the employee three to six work-related objectives based on the Program and Budget and the work plan. The identified objectives should be S.M.A.R.T. (specific, measurable, **achievable**, **relevant**, and time-bound). If due date is not year end, specify the date.*

1.

2.

3.

4.

5.

6.

**7. Supervisors only:**  
**Apply the PMSDS to direct subordinates according to the PMSDS guidelines and related documents** *(This includes in-depth and continuous dialog, setting of S.M.A.R.T. objectives, identification of training needs, objective ratings and comments, and timely compliance.)*

**CORE AND MANAGERIAL COMPETENCIES**  
*Select together with the employee between one and three core competencies, which would be important to achieve the work-related objectives. In case of employees with managerial responsibilities, select at least one core and one managerial competency. Discuss with the employee the desired positive behavioural indicators to develop a common understanding of how the effectiveness could be demonstrated.*

1.

2.

3.

**OTHER KEY QUALIFICATIONS**  
*Identify together with the employee between three and six other qualifications important to deliver the expected results under the work-related objectives. They may cover functional competencies (e.g. project management, drafting skills, analytical thinking), technical expertise/knowledge (e.g. IP Law, IT, Business Administration), languages, office automation skills (e.g. MS Word, MS Excel), etc.*

**DEVELOPMENT-RELATED OBJECTIVES**  
*Identify together with the employee one to three development-related objectives, keeping in mind the current skill set (skills, knowledge, competencies), the future needs of the Organization, the new work-related objectives, the career progression and personal interests of the employee. The identified objectives should be S.M.A.R.T. If due date is not year end, specify the date.*

1.

2.

3.

**TRAINING NEEDS**

Agreed by supervisor and employee in relation to the agreed objectives. Training refers to all activities which would help the employees to further develop their skill sets (skills, knowledge, core competencies, etc.) and is not limited to training courses.

| Category                | Subject<br><i>always in English</i> | Level<br><i>if applicable<br/>(e.g. basic, advanced)</i> | Training<br>Modalities | Justification        |
|-------------------------|-------------------------------------|--|------------------------|----------------------|
| 1. <input type="text"/> |                                     |  | <input type="text"/>   | <input type="text"/> |
| 2. <input type="text"/> |                                     |  | <input type="text"/>   | <input type="text"/> |
| 3. <input type="text"/> |                                     |  | <input type="text"/>   | <input type="text"/> |

**OVERALL PERFORMANCE EVALUATION SECTION**

Rating should reflect the overall performance of the employee including his/her competencies, other key qualifications and development, and should be consistent with the other sections of the PMSDS report.

| Exceeds expectations     | Fully meets expectations | Mostly meets expectations | Partly meets expectations | Does not meet expectations |
|--------------------------|--------------------------|---------------------------|---------------------------|----------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>  | <input type="checkbox"/>  | <input type="checkbox"/>   |

**SUPERVISOR'S OVERALL EVALUATION COMMENTS AND SIGNATURE**

Obligatory if rating is "exceeds", "partly meets" or "does not meet" expectations.

|       |            |
|-------|------------|
| Date: | Signature: |
|-------|------------|

**EMPLOYEE'S SECTION**

|  |  |
|--|--|
| My supervisor and I have discussed the PMSDS report during the PMSDS meeting(s) as indicated on the first page of the report: <input type="checkbox"/> yes <input type="checkbox"/> no                 |  |
| I have read this PMSDS report and I: <input type="checkbox"/> agree <input type="checkbox"/> disagree  |  |
| <b>I have the following comments to add:</b><br><i>Comments are not obligatory. If you do not agree with your PMSDS report, please indicate with which parts you disagree and briefly explain why.</i> | <b>Comments:</b><br><br><br>   |
| Date:  | <b>Signature:</b><br><i>The signature is an acknowledgement that a copy of this report has been received by you. It is not an indication that you agree with its contents.</i> |

## REVIEWING OFFICER'S SECTION

|  |  |
|--|--|
| <b>Direct Supervisor's Overall Rating:</b> [display rating]  |  |
| <b>I have reviewed the PMSDS report and I:</b> <input type="checkbox"/> agree <input type="checkbox"/> disagree  |  |
| <b>I have the following comments to add:</b><br><i>Comments are mandatory in case of disagreement with the PMSDS report by the employee or the reviewing officer. In case of disagreement by the employee, document the mediation efforts, including the date(s), participants and outcome of the exchange(s). Additional pages may be attached.</i> | <b>Comments:</b><br><br><b>Modified Rating:</b><br><i>If applied, the modified overall rating of the reviewing officer will prevail.</i> |
| <b>Date:</b>   | <b>Signature:</b>  |
| <b>Employee's confirmation and signature in case of disagreement and/or comments by the reviewing officer:</b>   |  |
| <b>I have read the reviewing officer's comments and/or modified rating and I:</b> <input type="checkbox"/> agree <input type="checkbox"/> disagree   |  |
| <b>I have the following comments to add:</b><br><i>Comments are not obligatory. If you disagree with the comments and/or the modified rating of the reviewing officer indicate the reasons. Additional pages may be attached.</i>  | <b>Comments:</b>   |
| <b>Date:</b>   | <b>Signature:</b>  |



# Sample of an Interim PMSDS Report (Version 1)

## HEADER SECTION

|                                  |                                       |
|----------------------------------|---------------------------------------|
| Last Name, First Name:           | Matricule No.:                        |
| Cycle:                           | Report Type:                          |
| Evaluation Period: -             | Report Frozen:                        |
| Date(s) of the PMSDS Meeting(s): | Report Received by HRMD (electronic): |
| Direct Supervisor:               | Report Received by HRMD (paper):      |
| Reviewing Officer:               | Date of Entry in WIPO:                |
| Contract Type:                   | Contract Dates:                       |
| Organizational Unit:             | Job Title:                            |
| Post Number/Grade:               | Personal Grade/Step:                  |

## PERFORMANCE PLANNING SECTION

### WORK-RELATED OBJECTIVES

Identify together with the employee three to six work-related objectives based on the Program and Budget and the work plan. The identified objectives should be S.M.A.R.T. (specific, measurable, **achievable**, **relevant**, and time-bound). If due date is not year end, specify the date.

1.

2.

3.

4.

5.

6.

#### Supervisors only:

**Apply the PMSDS to direct subordinates according to the PMSDS guidelines and related documents** (This includes in-depth and continuous dialog, setting of S.M.A.R.T. objectives, identification of training needs, objective ratings and comments, and timely compliance.)

### CORE AND MANAGERIAL COMPETENCIES

Select together with the employee between one and three core competencies, which would be important to achieve the work-related objectives. In case of employees with managerial responsibilities, select at least one core and one managerial competency. Discuss with the employee the desired positive behavioural indicators to develop a common understanding of how the effectiveness could be demonstrated.

1.

2.

3.

### OTHER KEY QUALIFICATIONS

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

Phase I

Phase II

**DEVELOPMENT-RELATED OBJECTIVES**

Identify together with the employee one to three development-related objectives, keeping in mind the current skill set (skills, knowledge, competencies), the future needs of the Organization, the new work-related objectives, the career progression and personal interests of the employee. The identified objectives should be S.M.A.R.T. If due date is not year end, specify the date.

1.

2.

3.

**TRAINING NEEDS**

Agreed by supervisor and employee in relation to the agreed objectives. Training refers to all activities which would help the employees to further develop their skill sets (skills, knowledge, core competencies, etc.) and is not limited to training courses.

| Category                | Subject<br><i>always in English</i> | Level<br><i>if applicable<br/>(e.g. basic, advanced)</i> | Training<br>Modalities | Justification        |
|-------------------------|-------------------------------------|--|------------------------|----------------------|
| 1. <input type="text"/> |                                     |  | <input type="text"/>   | <input type="text"/> |
| 2. <input type="text"/> |                                     |  | <input type="text"/>   | <input type="text"/> |
| 3. <input type="text"/> |                                     |  | <input type="text"/>   | <input type="text"/> |

**INTERIM REVIEW SECTION**

Please indicate below the reason for the interim review.

**Direct Supervisor:**

Date:

Signature:

**EMPLOYEE'S COMMENTS** *Not obligatory.***Employee:**

Date:

Signature: