

Program and Budget Committee

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INTERNAL AUDIT AND OVERSIGHT DIVISION (IAOD) VALIDATION REPORT ON THE PROGRAM PERFORMANCE REPORT (PPR) FOR 2012/13

prepared by the Secretariat

1. The Validation Report on the Program Performance Report (PPR) has been prepared by the Internal Audit and Oversight Division (IAOD) to provide support to ensuring the reliability and authenticity of the WIPO PPR for 2012/13 (document WO/PBC/22/8). The Validation Report provides IAOD's main findings, conclusions and recommendations arising from the validation exercise.

2. The following decision paragraph is proposed.

3. *The Program and Budget Committee took note of the IAOD Validation Report on the Program Performance Report for 2012/13 (document WO/PBC/22/9).*

[IAOD Validation Report follows]



Internal Audit and Oversight Division

Reference: VALID 2014-01

IAOD Report

Validation of the Program Performance Report for 2012/13

June 30, 2014

TABLE OF CONTENT

LIST OF ACRONYMS	7
LIST OF WIPO PROGRAMS, AS DEFINED IN 2012/13 PPR	8
EXECUTIVE SUMMARY	9
1. INTRODUCTION	11
2. PPR VALIDATION OBJECTIVES	12
3. PPR VALIDATION SCOPE AND METHODOLOGY	12
4. PPR VALIDATION FINDINGS	14
5. OVERVIEW OF THE PERFORMANCE FRAMEWORK	20
6. TRANSFERS	23
7. PPR VALIDATION CONCLUSIONS	24
8. PPR VALIDATION RECOMMENDATIONS	27
9. SUMMARY REPORT – PPR VALIDATION SURVEY	28
10. ANALYSIS OF COMMENTS	30
11. FOLLOW UP ON STATUS OF IMPLEMENTATION OF RECOMMENDATIONS OF THE PAST VALIDATION REPORTS	31
TABLE OF RECOMMENDATIONS	34

ANNEXES

- ANNEX I – Definition of validation criteria
- ANNEX II – Random sampling meetings
- ANNEX III – Validation assessments including rating
- ANNEX IV – Validation framework

LIST OF ACRONYMS

ccTLD	country code Top Level Domain
EPM	Enterprise Performance Management
ERP	Enterprise Resource Planning
ERs	Expected Results
FRR	Financial Regulations and Rules
IAOD	Internal Audit and Oversight Division
KPIs	Key Performance Indicators
MTSP	Medium Term Strategic Plan
P&B	Program and Budget
PBC	Program and Budget Committee
PD	Performance Data
PIs	Performance Indicators
PPBD	Program Performance and Budget Division
PMSDS	Performance Management and Staff Development System
PPR	Program Performance Report
RBF	Results-Based Framework
RBM	Results-Based Management
SMART	Specific, Measurable, Achievable, Relevant and Time-bound
SMT	Senior Management Team
SRP	Strategic Realignment Program
TLS	Traffic Light System
ToRs	Terms of Reference
UDRP	Uniform Domain Name Dispute Resolution Policy
WIPO	World Intellectual Property Organization

LIST OF WIPO PROGRAMS, AS DEFINED IN 2012/13 PPR

Program 1 – Patent Law
Program 2 – Trademarks, Industrial Designs and Geographical Indications
Program 3 – Copyright and Related Rights
Program 4 – Traditional Knowledge, Traditional Cultural Expressions and Genetic Resources
Program 5 – The PCT system
Program 6 – Madrid and Lisbon Systems
Program 7 – Arbitration, Mediation and Domain Names
Program 8 – Development Agenda Coordination
Program 9 – Africa, Arab, Asia and the Pacific, Latin America and the Caribbean Countries, Least Developed Countries
Program 10 – Cooperation with Certain Countries in Europe and Asia
Program 11 – The WIPO Academy
Program 12 – International Classifications and Standards
Program 13 – Global Databases
Program 14 – Services for Access to Information and Knowledge
Program 15 – Business Solutions for IP Offices
Program 16 – Economics and Statistics
Program 17 – Building Respect for IP
Program 18 – IP and Global Challenges
Program 19 – Communications
Program 20 – External Relations, Partnerships and External Offices
Program 21 – Executive Management
Program 22 – Program and Resource Management
Program 23 – Human Resources Management and Development
Program 24 – General Support Services
Program 25 – Information and Communication Technology
Program 26 – Internal Oversight
Program 27 – Conference and Language Services
Program 28 – Safety and Security
Program 29 – Construction Projects
Program 30 – Small and Medium-Sized Enterprises (SMEs) and Innovation
Program 31 – The Hague System

EXECUTIVE SUMMARY

1. The Internal Audit and Oversight Division (IAOD) conducted an independent validation of the Program Performance Report (PPR) for the 2012/13 biennium, in line with its 2014 Oversight Plan. This is the fourth PPR validation exercise undertaken by IAOD since 2008. The objectives of this validation were to:
 - (a) Provide an independent verification of the reliability and authenticity of information contained in the 2012/13 PPR;
 - (b) Follow-up on the implementation status of open recommendations of the previous PPR Validation Report through documentary and other corroborative evidence; and
 - (c) Assess through a sample review that budget transfers among WIPO programs were made in compliance with WIPO Financial Regulations and Rules (FRR).
2. The scope included the validation of Performance Data (PD) for one randomly selected performance indicator from each Program as defined in the 2012/13 Program and Budget and reported in the 2012/13 PPR. The validation also included general conclusions on the progress made towards improving the performance framework during the biennium under review. Finally, budget transfers among WIPO programs were assessed for compliance with WIPO FRR.
3. The main findings of this validation exercise are as follows:
4. Some strengths identified were:
 - (a) A total of 25 Programs (81%) collected and submitted relevant and valuable PD for 2012/13 which is a better rate than in 2010/11 in which 7 programs (24%) had submitted relevant and useful information.
 - (b) The PD submitted by 22 Programs (71%) for 2012/13 was sufficient and comprehensive in comparison with 13 Programs (45%) in 2010/11, an increase of 26 per cent.
 - (c) Number of Programs that submitted clear and transparent PD increased from 16 Programs (55%) in 2010/11 to 24 Programs (77%) in 2012/13, an increase of 22 per cent.
5. Some limitations observed were:
 - (a) Twenty-nine per cent of WIPO Programs (9) still face challenges in gathering, analyzing and reporting sufficient and comprehensive data in support of performance indicators.
 - (b) The accuracy of the Traffic Light System (TLS) could not be assessed in eight cases (26%) because the data provided was not relevant and could not enable an assessment.
6. The overview of the performance framework, showed that:
 - (a) Approximately 32 per cent of the selected performance indicators (10) need to be more refined to provide relevant outcome/impact based results.
 - (b) In cases where information to report on performance indicators were provided by different Programs, more could be done to improve coordination and communication between Programs to improve access to, and timely reporting of performance data.

7. The current organizational design process and streamlining of expected results and performance indicators all aim to improve the quality of RBM at WIPO. To fully benefit from these changes, WIPO needs to: (1) undertake a quality review of the current performance framework to outline achievements and opportunities; and (2) take measures to ensure effective and efficient transfer of ownership of indicators, if and when staff members responsible for indicators are moved as a result of these changes.

8. While various WIPO Programs established performance indicators that measured the satisfaction of Member States with regard to various services, there is no standard survey used to capture Member States' feedback, since each Program has developed its own survey. Consequently, there is a risk that Member States receive similar surveys from different WIPO Programs, which is inefficient and would negatively impact the quality of survey results.

9. Although the review of transfers did not identify any exceptions, IAOD proposes that information on transfers be presented in a more transparent manner in the WIPO Program and Budget document.

10. Finally, action has been taken on all four recommendations made in the validation of the 2010/11 PPR (A/50/5) and on the eight open recommendations from the validations of the 2008 and 2008/09 PPRs. In all, 12 previously open recommendations have been fully implemented.

11. Based on the documentary evidence provided by WIPO Programs, IAOD recommends the following:

Recommendation 1: Implement a quality assurance process of the program performance framework during the 2014/15 biennium. This process will enable to take stock of progress made thus far and identify areas for further action with a view to improving the whole RBM process with outcome/impact oriented performance indicators that provide meaningful information to WIPO managers and to Member States.

Recommendation 2: Develop a procedure to ensure that the staff handover process amongst Programs includes adequate briefing and status update on all the program performance measures to be owned or managed by the incumbents.

Recommendation 3: Enhance monitoring systems/ tools to ensure that PD are effectively and efficiently collected, analyzed and reported for program performance measurement. In this regard, well targeted coaching sessions with programs can be organized throughout the biennium as part of regular guidance activities.

Recommendation 4: Develop a standard survey to capture Member States' feedback, to measure cross-cutting performance indicators. This will avoid duplicates, improve quality and relevance, and increase participation.

Recommendation 5: Enhance the presentation of the approved budget and transfers by Program in the P&B, in order to improve transparency by providing information on funds transferred into and out of Programs during the biennium (*for PPBD*).

1. INTRODUCTION

12. The approved Program and Budget (P&B) document provides the framework for measuring program performance on an annual basis within the Organization. For this purpose, a Program Performance Report (PPR) is prepared and submitted to the WIPO Program and Budget Committee (PBC) on a yearly basis. Its preparation involves the collection by all programs of relevant PD for the self-evaluation and monitoring of the achievement of their program objectives. These are then consolidated by the Program Performance and Budget Division (PPBD), to produce the PPR.

13. This is the fourth independent validation of the PPR exercise conducted by IAOD. This validation has been conducted against the individual PPRs prepared by WIPO programs as defined in the P&B Document 2012/13.

14. Complete, accurate and good quality information is crucial if performance indicators (PIs) are intended to be used effectively to improve program delivery and accountability.

15. WIPO implemented its Strategic Realignment Program (SRP) comprised of 19 initiatives, throughout the 2012/13 biennium, with regular reporting to Member States on the status of work. The SRP was concluded for the most part in 2012, with some initiatives completed in 2013. The SRP was aimed at strengthening WIPO's four Core Values¹ and enhance WIPO's responsiveness, efficiency, capacity and focus to achieve the nine Strategic Goals.

16. This fourth validation exercise aimed at providing assurance to the Member States and WIPO Management on the robustness of self-assessments of programs with a view to further enhancing accountability for results within the Organization. Some key achievements related to program performance management and Results-Based Management (RBM) framework during the 2012/13 biennium can be summarized as follows:

- (a) The Medium Term Strategic Plan (MTSP) continues to drive the development of organizational Expected Results in line with the nine Strategic Goals of the Organization, and guided the development of the 2014/15 Program and Budget.
- (b) Considerable progress has been made to further institutionalize RBM at WIPO that enables better alignment of resource allocation with organizational expected results and priorities.
- (c) Expected results have been further streamlined from 135 in 2010/11 to 60 in the 2012/13, and to 38 in the 2014/15 biennium. The development of tools as part of the ERP project brought about further improvements in the quality of information for sound decision-making.
- (d) To better support RBM, the biennial plan, annual work planning and financial and human resource management systems have been integrated in early 2014. The 2014/15 Program and Budget was prepared across the Organization using the new Enterprise Performance Management (EPM) module of the ERP (Enterprise Resource Planning) system. This technology has enabled WIPO to update its work planning processes.

¹ Core Values: Service orientation; Working as one; Accountability for results; and Environmental, social and governance responsibility.

(e) Progress has also been made to establish an organization wide system of Internal Controls as part of an ongoing Enterprise Risk Management process. Training programs have been organized for staff to identify and assess risks in a more systematic and proactive way, in consideration of the Organizational Expected Results from the Results Framework. At the time of the writing of this report, a WIPO Policy on Risk and Internal Controls Management is being prepared to enable better management of key risks across the Organization.

(f) The Performance Management and Staff Development System (PMSDS) is used to link individual work/development plans to Organizational Expected Results that in turn contribute to the Strategic Goals. This has increased staff awareness of their roles and responsibilities towards achieving expected results of their Program.

(g) Finally, organizational restructuring took place with a view to better integrating and centralizing WIPO units responsible for program planning, budgeting, monitoring and RBM support to programs.

2. PPR VALIDATION OBJECTIVES

17. The objectives of this validation exercise were to:

(a) Provide an independent verification of the reliability and authenticity of information contained in the 2012/13 Program Performance Report (PPR);

(b) Follow-up on the implementation status of recommendations of the previous PPR Validation Report (A/50/5) through documentary and other corroborative evidence; and

(c) Assess through a sample review that transfers were made in compliance with WIPO FRR.

3. PPR VALIDATION SCOPE AND METHODOLOGY

18. The scope of the validation covered an in-depth analysis of one randomly selected performance indicator for each program as defined in the 2012/13 PPR. The criteria used to validate the individual PPRs are: relevant and valuable; sufficient and comprehensive; efficiently collected and easily accessible; accurate and verifiable; timely; clear and transparent; efficient and accessible; and an accurate TLS. Detailed explanation of the validation criteria is presented in Annex I of this report.

19. The validation was done to the extent that information could be supported by the factual evidence coupled with interviews with key staff responsible for reporting against the randomly selected performance indicators.

(A) INFORMATION PRESENTED IN ADVANCE

20. As part of the preparatory work for the PPR validation exercise, the following information was presented or circulated prior to the start of the exercise:

(a) A memorandum, dated February 18, 2014, to all Program Managers by the Director, Program Planning and Finance (Controller) requesting them to submit their PPR inputs;

- (b) A memorandum, dated March 27, 2014, to all Program Managers from IAOD informing on the key steps and dates of the independent validation exercise; and
- (c) A PPR validation exercise briefing to all WIPO programs on May 2, 2014, to explain the PPR validation approach.

(B) RANDOM SAMPLING

21. The random sampling was done, at the level of performance indicator per each program, by the WIPO Senior Management Team (SMT) Members or their alternates in the presence of IAOD staff. Annex II of this report gives the list of respective names for the selection. The randomly sampled performance indicators represent circa 11 per cent (31 out of 286 PIs) of the total number of indicators defined in the 2012/13 P&B document. The validation assessments for each randomly selected indicator can be found in Annex III of this report.
22. WIPO SMT or their alternates were requested to facilitate the work of the Validation team by making sure that:
- (a) Adequate records were kept; and
 - (b) Access to all available PD was provided to the validation team in a timely manner.
23. The Validation team scheduled meetings to discuss the PD used for monitoring of reported progress against the selected PIs.
24. Given the time required to discuss the strengths and weaknesses of the performance measures, data and volume of documents, cross-checking and verification of PD was carried out on a sample basis where needed.

(C) NOTIFICATION OF SELECTED PERFORMANCE INDICATORS

25. Program Managers, alternates and those responsible for reporting against the PIs as well as PPBD, were officially notified of the random selection of PIs on April 11, 2014, and were requested to prepare all the supporting documents relevant for the validation of the randomly selected PIs before validation meetings.

(D) CONDUCT OF VALIDATION MEETINGS AND INDIVIDUAL PROGRAM VALIDATION ASSESSMENTS

26. In order to gain insight on the use of PPR information and on the implementation of recommendations from past validations, staff members responsible for reporting against the PIs were requested to make themselves available for validation meetings.
27. Validation meetings took place between May 1 and May 30, 2014. For the purpose of structured interviews, an interview protocol was developed following samples of past validations and taking into consideration requests of key stakeholders such as the PPBD.
28. Interviews, individual program validation assessments and supporting evidence provided by programs were used as the source of information for the findings and conclusions contained in this report.
29. Individual validation assessments and the draft report were sent to those responsible for reporting against the PIs and WIPO Senior Managers for feedback and comments. Where appropriate, factual corrections were made and the draft report was revised accordingly.

(E) LIMITATIONS

30. The main limitation for the validation exercise is linked to the methodology used. Validating randomly selected sample of PIs leads to findings, conclusions and recommendations which may not necessarily be a full reflection of the whole RBM framework at WIPO. However, considering the time constraints and the Organization's needs, random sampling was the most appropriate method to assess the quality of PD with sufficient depth and under a reasonable time frame.

4. PPR VALIDATION FINDINGS

31. The findings presented below are the results of the individual program validation assessments conducted on the randomly selected PIs and their respective PD across 31 programs that were in-charge of reporting against the randomly selected PIs.

(A) OVERALL FINDINGS

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

- (a) The relevance and valuableness of PD in 81% of cases;
- (b) The clarity and transparency of PD in 77% of cases; and
- (c) The sufficiency and comprehensiveness of PD in 71% of cases.

33. The following criteria were sufficiently met in 68% of cases

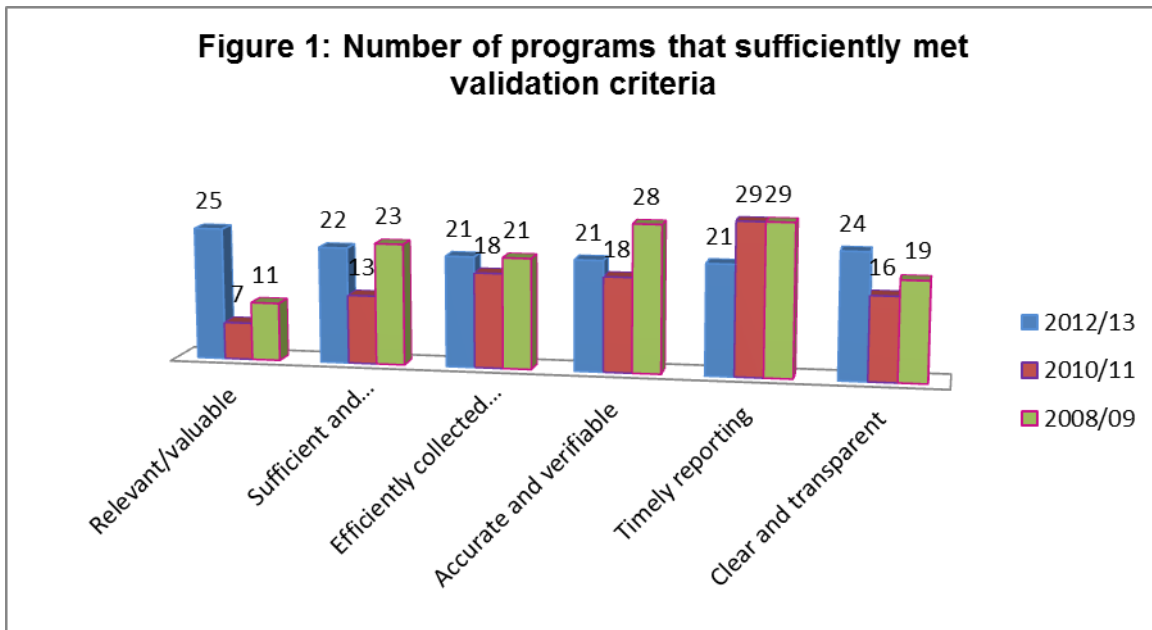
- (a) The efficiency in collecting and accessing PD;
- (b) The accuracy and verifiability of the PD; and
- (c) The timely reporting on the PD and related indicator.

34. The overall quality of PD has improved as shown in the table below. Efforts should be made to further improve on the gains made and build on the quality of PD.

Table A: Summary of Validation Results

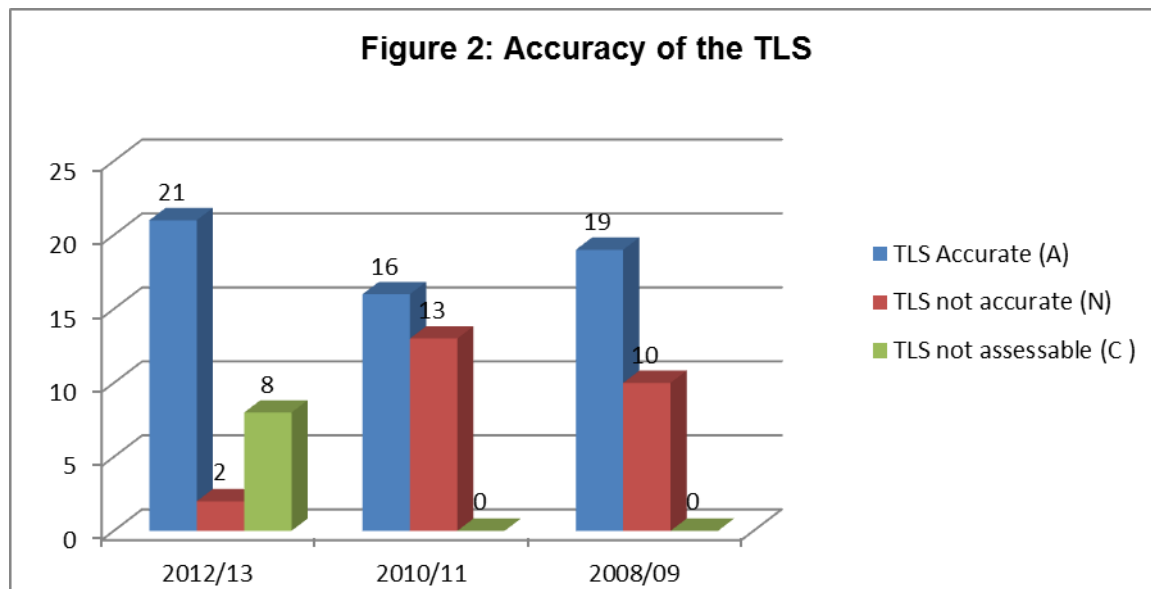
Criteria²	Sufficiently	Partially	Did not meet the criteria
1. Relevant/valuable	25 Programs (81%)	4 Programs (13%)	2 Programs (6%)
2. Sufficient/ comprehensive	22 Programs (71%)	6 Programs (19%)	3 Programs (10%)
3. Efficiently collected/ easily accessible	21 Programs (68%)	7 Programs (22%)	3 Programs (10%)
4. Accurate/verifiable	21 Programs (68%)	6 Programs (19%)	4 Programs (13%)
5. Timely reporting	21 Programs (68%)	7 Programs (22%)	3 Programs (10%)
6. Clear/transparent	24 Programs (77%)	4 Programs (13%)	3 Programs (10%)
	Accurate	Not Accurate	Not Assessable
Accuracy of TLS	21 Programs (68%)	2 Programs (6%)	8 Programs (26%)

35. A comparison between the three last biennia was performed (see graphic below) to show the validation results.



² The consistency and comparability criterion used to assess that reported data is consistently comparable over longer periods of time has not been assessed during this PPR validation exercise because of the changes made in 2012/13, to further refine and streamline performance indicators, in view of developing more outcome based indicators.

36. The table below shows the evolution of the accuracy of the TLS used by Programs to self-assess their achievement of PIs against set targets. The TLS provides four options, which include: fully achieved, partially achieved, not achieved and discontinued. The validation assessed the accuracy of the reported status of the performance indicator based on PD provided. The results show an improvement against the previous biennium, with the number of inaccurately reported TLS decreasing from 13 in 2010/11 to two in 2012/13. In the Biennium under review, there were eight cases where the TLS reported status could not be assessed because the PD was either not relevant, or not made available, or no targets were set to measure the data against.



(B) VALIDATION FINDINGS BY CRITERIA³

(i) Relevant/valuable (25 Programs sufficiently met/ 4 Programs partially met/ 2 Programs did not meet the criterion)

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

38. For the PIs sampled, 81 per cent of all programs provided PD sufficiently meeting this criterion and another 13 per cent provided PD that partially met the criterion. There were only two programs that did not meet the criterion (6 per cent).

39. **Examples of good practices found:** Programs 7, 10, 14, 17 and 29 could be cited as programs that provided relevant and valuable PD and information used for effectively reporting; enabling a sound assessment of the data quality with clear linkages between PI and ER.

³ The consistency and comparability criterion used to assess that reported data is consistently comparable over longer periods of time has not been assessed during this PPR validation exercise because of the changes made in 2012/13, to further refine and streamline performance indicators, in view of developing more outcome based indicators.

40. **Examples of limitations found among other Programs were that:**

- (a) PD was not valuable to measure the performance indicator in 13 per cent of cases; and
- (b) There was one case where the PD provided did not support the TLS, and one case of PI discontinued during the course of the biennium.

(ii) Sufficient/comprehensive (22 Programs sufficiently met/ 6 Programs partially met/ 3 Programs did not meet the criterion)

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

42. Overall, 71 per cent of programs provided PD that was sufficient and comprehensive enough for enabling an effective measurement of the selected PIs against the ERs. PD provided by 19 per cent of programs was partial, and 10 per cent did not meet the criterion.

43. **Examples of good practices found:** Programs 2, 4, 7, 10, 14, 15 and 17 could be cited as good examples when assessing this criterion. Their records of activities were comprehensive and sufficient for measuring progress against the PIs based on factual evidence. PD was also made available on WIPO internet and internal website in a comprehensive manner.

44. **Examples of limitations found:**

- (a) PD that would support the PI was not fully documented and used for assessing all aspects of the PI against ER (19 per cent);
- (b) No PD was provided to measure the PI in one case; and
- (c) Two Programs need to improve the mechanism used to collect sufficient and comprehensive PD to report on the PI.

(iii) Efficiently collected/easily accessible (21 Programs sufficiently met/ 7 Programs partially met/ 3 Programs did not meet the criterion)

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

46. While 68 per cent of programs have sufficiently met this criterion by putting in place systems to collect, analyze and report data in an effective and efficient manner, PD submitted by 22 per cent of programs partially met the criterion as PD was not easily accessible and/or efficiently collected. In the case of 10 per cent of programs, neither was a system put in place for efficient and effective PD collection and analysis, nor was PD easily accessible.

47. **Examples of good practices found:** Programs 4, 6, 7, 9, and 14 have put in place systems to effectively and efficiently record, gather and analyze the PD which was also made easily accessible on WIPO intranet and external website.

48. **Examples of limitations found:**

- (a) Systems were not in place to collect, analyze and report PD routinely (16 per cent); and
- (b) The data collection process was tedious and manual in one case.
- (iv) Accurate/verifiable (21 sufficiently met/ 6 partially met/ 4 did not meet the criterion)

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

50. PD and related information provided by 68 per cent of programs were accurate and verifiable through documentation, which were also made available on WIPO's internal and external web sites. On the other hand, 19 per cent of programs provided PD that were not easily verifiable or accurate. In a further 13 per cent of the programs, PD was neither verifiable nor accurate to report against the PI and ER.

51. **Examples of limitations found:**

- (a) An accurate verification of PD was not possible due to the lack of relevant documentation (16 per cent);
- (b) PD was not accurately reported based on supporting data (10 per cent); and
- (c) The PD reported was not linked to the performance indicator in two cases.

52. **Examples of good practices found:** PD was accurate, verifiable and used for reporting. It was also made available on WIPO intranet and external website. Programs that could be cited as good examples are program 4, 6, 7, 12, 18 and 31.

- (v) Timely reporting (21 sufficiently met/ 7 partially met/ 3 did not meet the criterion)

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

54. Timely reporting of PD and related information was noted in 68 per cent of programs, which provided a basis to track their performance regularly against PIs. In 22 per cent of programs, timely reporting of PD and related information was not fully adequate to help track progress made against performance indicators. In 10 per cent of programs, there was no timely reporting of PD.

55. **Examples of limitations found:**

- (a) No established process to generate timely reporting of PD outside of the PPR evaluation (13 per cent);
- (b) Timely reporting of PD was not verifiable due to the lack of relevant documentation (10 per cent); and
- (c) Time taken to report PD for PPR purposes was long in one case.

56. Examples of good practices found: PD was produced regularly enough to track progress since it was requested and used for internal monitoring, management and decision-making purposes within the department producing the data. Programs 4, 7, 12, 17, and 31 were good examples of how timely reporting of PD can become useful if used for management and decision making purposes.

(vi) Clear/transparent (24 sufficiently met/ 4 partially met/ 3 did not meet the criterion)

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

58. While in 77 per cent of cases, PD was clear and transparent, in 13 per cent the PD was not fully clear and transparent and in 10 per cent the PD was not reported in a clear, factual and coherent manner.

59. Examples of limitations found:

(a) The PD was not assessable as the information was not clear and transparent (16 per cent); and

(b) In two cases, no processes in place to consistently gather process and report information leading to lack of clarity and transparency.

60. Examples of good practices found: PD was reported on the PPR in a clear and transparent manner and information was publicly available on the Internet. The programs developed the necessary monitoring tools and systems that allowed recording, compilation and analysis of information in a clear, neutral and factual manner. Good examples of clear and transparent reporting were found in Programs 1, 2, 4, 6, 7, 18 and 31.

(vii) Accuracy of the Traffic Light System (21 accurate / 2 not accurate/ 8 Not Assessable)

61. The TLS has a separate function and is not part of the PD. For the sampled PIs, an assessment of accuracy was made on the basis of whether the self-assessment ratings could be justified on the basis of supporting information presented in the PD reported as part of the PPR 2012/13.

62. The validation found that in 68 per cent of the cases, the self-reporting of the TLS was accurate. In 6 per cent of the cases, the TLS was found to be inaccurately reported. In a further 26 per cent of the cases, it was not possible to make an assessment of accuracy of the self-reporting of the TLS mainly due to the lack of relevant data to support such an assessment.

63. Examples of limitations found:

(a) Lack of data or wrong data was collected and hence not relevant for making an assessment on the achievement of the defined targets (16 per cent);

(b) Programs' understanding of the performance indicator was not accurate leading to inaccurate reporting (13 per cent);

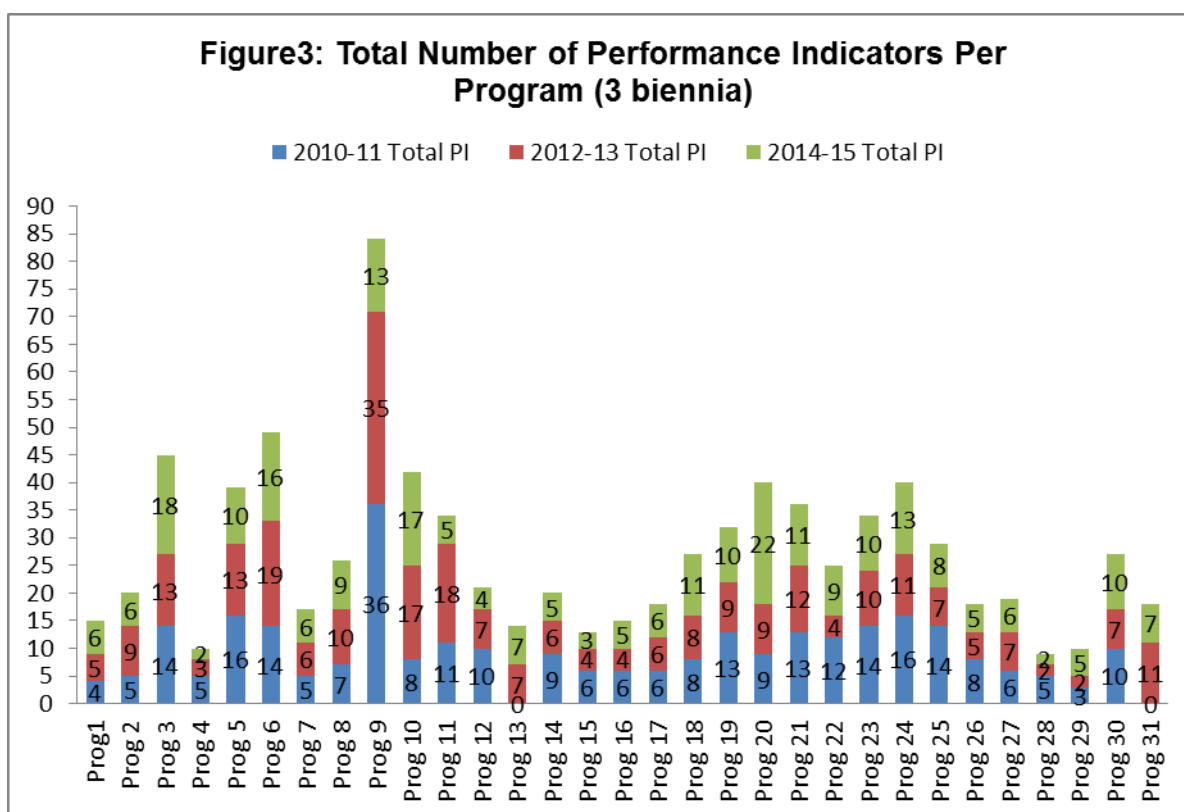
(c) Performance indicators were not clearly defined and hence not making it possible to make an assessment of the accuracy of reporting (7 per cent); and

(d) In one case, the target was not defined.

5. OVERVIEW OF THE PERFORMANCE FRAMEWORK

64. The quality of the PI, baseline and target is correlated to the quality and relevance of the PD provided, and the primary reason why the PD may not address the performance indicator is because the performance indicator was not SMART⁴. The performance indicators are the main drivers by which Programs measure their achievement of expected results.

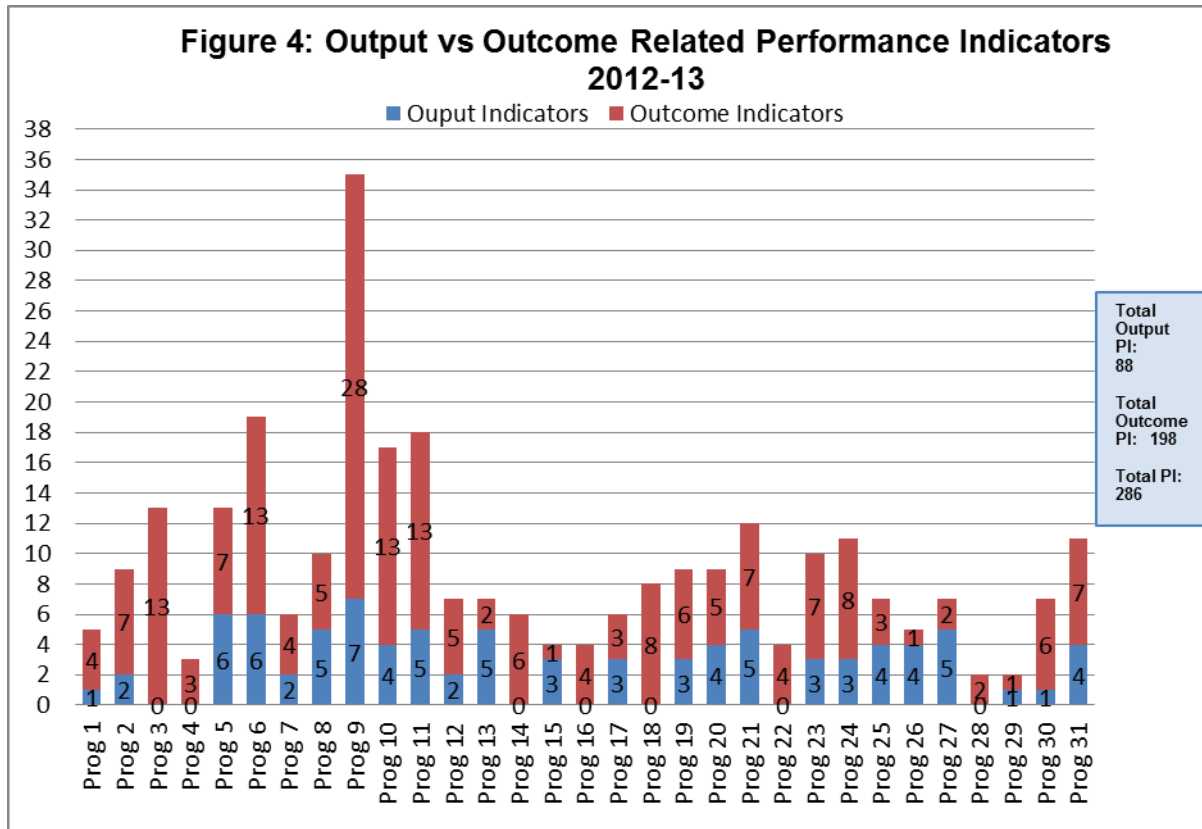
65. An overview of performance indicators for 2010/11, 2012/13 and 2014/15 shows that indicators have been streamlined and refined, with the number of indicators decreasing from 293 in 2010/11 to 286 in 2012/13 biennium. There are currently 267 performance indicators in the 2014/15 P&B.



66. The above table shows the number of PIs per program for 2010/11, 2012/13 and 2014/15. Eight Programs increased their number of indicators and 18 Programs reduced their number of indicators between 2010/11 and 2012/13.

67. Moving forward, 11 programs have reduced their number of indicator, and 10 Programs have increased their number of indicators between 2012/13 and 2014/15.

⁴ SMART – Specific, Measurable, Achievable, Relevant and Time-bound



68. The above table shows the number of output and outcome based indicators per Program for the 2012/13 biennium. The data presented in the table shows that a large proportion of Programs have developed more outcome based indicators.

69. Also, the validation of the PD provided for the sampled PIs identified the following opportunities for improvements:

- (a) Approximately 32 per cent of the selected PIs need to be more refined to provide relevant outcome based results.
- (b) Twenty-six per cent of Programs need to develop tools used to capture, monitor and report PD for the selected PIs, including improving the quality of the data.
- (c) In two cases where information to report on PIs were provided by different Programs, IAOD found that more could be done to improve coordination and communication between Programs to improve access to, and timely reporting of, PD.

70. As part of the PPR validation exercise, IAOD conducted a survey with all Programs to obtain their views on the existing program performance framework. Twenty six out of 31 programs (84 per cent) participated in the survey⁵. Some of the positive feedback received through the survey were:

- (a) Twenty-four respondents (96 per cent) indicated that they had been directly involved in the development of the program's objectives/ expected results/ performance indicators/ targets and baselines;

⁵ The survey report is found in Section 9 of this report

- (b) Twenty-two respondents (88 per cent) felt that they had been provided with useful technical support and coaching in developing the expected results and indicators;
- (c) Twenty-one respondents (84 per cent) agreed that the existing guidance on development of SMART⁶ performance indicators and their linkage with expected results were adequate and useful;
- (d) Twenty respondents (83 per cent) were of the opinion that their objectives, ERs and PIs were appropriate and relevant to the Organization's objectives;
- (e) Twenty-three respondents (87 per cent) reported that the work plans or PSMDS of the individuals responsible for achieving results were linked to the program objectives;
- (f) Twenty-one respondents (88 per cent) were of the opinion that the PD was useful as a means of accountability to member states, while 19 respondents (79 per cent) also agreed that PD was useful in regular monitoring of program implementation and 21 respondents (88 per cent) considered that monitoring information and PD were available in a timely manner when required;
- (g) Twenty-one respondents (100 per cent) reported that the assumption of risks captured in their risk registers had been recorded as part of their planning process for the 2014-15 biennium; and
- (h) Eighteen respondents (86 per cent) felt that the selection of measures and data quality had improved since the previous validation process.

71. The survey results also highlighted perception of respondents on areas for improvements as follows:

- (a) While 17 respondents (71 per cent) indicated that they had the appropriate tools to record, monitor, analyze and report PD, 12 respondents (50 per cent) were of the opinion that they did not have useful regular technical assistance on computerized monitoring and data collection tools and 10 respondents (48 per cent) also reported that no monitoring tools had been developed to track progress made against indicators and targets;
- (b) Eight respondents (33 per cent) felt that the time required to access information was not proportionate to its use and 10 respondents (42 per cent) felt that there were no useful tools available to gather baseline information;
- (c) Fifteen respondents (63 per cent) reported that there was no central coordination of surveys for collection of user feedback on the quality of services provided;
- (d) Nine respondents (39 per cent) reported that no review had been carried out as part of the planning for the 2014/15 biennium to assess the need for further integration of current monitoring systems in their day-to-day monitoring. On the other hand, where such a review had been carried out, 11 out of 13 respondents (84 per cent) felt that there had been improvements as a result of the review; and
- (e) Eight respondents (36 per cent) indicated that there was a need to further reduce the number of objectives, ERs, PIs and targets and to make them more meaningful.

⁶ SMART – Specific, Measurable, Achievable, Realistic and Time-bound

6. TRANSFERS

72. The validation exercise also reviewed budget transfers among WIPO programs to verify compliance with Regulation 5.5⁷ of the WIPO FRR. Transfers are predominantly related to personnel and non-personnel costs and occur in two forms:

- (a) Transfers which correspond to funds being moved between Programs, and result in a change in the initial budget of Programs concerned; and
- (b) Adjustments, which are transfers of funds between units of the same Program and results in no effect on the balance of the Program's budget.

73. The total amount of transfers and adjustments must remain within the approved biennial budget of the Organization, except when additional appropriations are made through existing mechanisms such as the Flexibility clause. For example, the table of approved budget and transfers for the 2012/13 biennium presents an overall net balance of transfers of 981 thousands Swiss francs.

74. This balance represents additional appropriations to increase human resources in Program 5, to cater for unbudgeted variations in the total volume of registration activities, in line with FRR 5.6⁸ on the use of the flexibility clause. As a result, WIPO's overall budgetary envelop for the 2012/13 biennium was increased from 647,430 to 648,411 thousand Swiss francs.

75. A table of approved budget and transfers by Program is presented in the annex to the Program and Budget (P&B).

76. The approved P&B include a small portion which is not allocated to Programs, and recorded temporarily in the "Unallocated Funds" account until certainty about the revenue streams has been ascertained. At the start of the biennium, and in order to ensure prudent financial management, a program allocation strategy is approved. These unallocated funds include provisions for regularizations, reclassifications and non-personnel resources for unforeseen events/situations.

77. Furthermore, during the approval of the 2012/13 biennial P&B as an exceptional measure, the allocation strategy included withholding of funds from Programs for cost efficiency measures following Member States' request.⁹ The Unallocated funds account presents a closing balance of 14.4 million Swiss francs for the 2012/13 biennium.

78. IAOD reviewed a sample of 25 transfers including adjustments, to verify against supporting documentation, and assessed the compliance with FRR 5.5 of amounts transferred to Programs. While the review did not identify any exceptions, the following observation is made:

⁷ Regulation 5.5 on Transfers state that: "*The Director General may make transfers from one program of the program and budget to another for any given financial period, up to the limit of five per cent of the amount corresponding to the biennial appropriation of the receiving program, or to one per cent of the total budget, whichever is higher, when such transfers are necessary to ensure the proper functioning of the services. All transfers arising in the first year of the financial period shall be reflected in the revised budget proposals. Those arising in the second year shall be reported to the next sessions of the Program and Budget Committee and the General Assembly*".

⁸ Regulation 5.6: (a) *In the implementation of the program and budget, the Director General shall have the flexibility to make upward or downward adjustments to the resources appropriated for the operations of the PCT, Madrid and Hague systems, and for WIPO programs providing administrative support to these operations.*
(b) *These adjustments shall be made in accordance with the methodology and formula(e) approved by the respective assemblies of the PCT, Madrid and Hague Unions, and presented in the proposed program and budget for the relevant financial period.*

⁹ Member States approved the 2012/2013 budget subject to cost efficiency measures of 10.2 million Swiss Francs

(i) Presentation and Disclosure of Transfers in the P&B

79. The table of approved budget and transfers by Program in the annex of the P&B presents the net balance of transfers for each Program. While it is one possible approach to providing information on transfers, it can be improved because the net balance does not provide information on the amount of funds transferred in and out of a Program during the biennium. For example, while the table in the annex of the P&B shows a net transfers balance of 261 thousands Swiss francs for Program 23, this balance actually consists of approximately 1.6 million Swiss francs of transfers and adjustments made to the Program against 1.34 million Swiss francs of transfers and adjustments out of the Program. Furthermore, the net balance of transfers is used as the basis to verify compliance with FRR 5.5 that requires that transfers do not exceed five per cent of Programs' appropriations or one per cent of the total budget.

Table B: Modified Table of Approved Budget and Transfers by Program

	Program	2012/13 Approved Budget	Transfers In	Transfers Out	Net Transfers ¹	2012/13 Final Budget after Transfers
1	Patent Law	4,843	829	(245)	584	5,427
2	Trademarks, Industrial Designs and Geographical Indications	6,053	870	(1,530)	(660)	5,394
3	Copyright and Related Rights	18,593	6,029	(4,923)	1,106	19,699
4	Traditional Knowledge, Traditional Cultural Expressions and Genetic Resources	7,980	105	(1,408)	(1,303)	6,677
5	The PCT System	178,600	6,440	(5,825)	615	179,215
6	Madrid, and Lisbon Systems	52,094	2,559	(3,498)	(939)	51,154
7	Arbitration, Mediation and Domain Names	10,585	528	(948)	(420)	10,164
8	Development Agenda Coordination	4,788	-	(853)	(853)	3,934
9	Africa, Arab, Asia and the Pacific, Latin America and the Caribbean Countries, Least Developed Countries	35,102	3,515	(4,055)	(540)	34,562
10	Cooperation with Certain Countries in Europe and Asia	6,439	311	(217)	94	6,532
11	The WIPO Academy	10,332	3,357	(1,778)	1,580	11,912
12	International Classifications and Standards	6,932	677	(318)	359	7,291
13	Global Databases	4,503	63	(251)	(188)	4,316
14	Services for Access to Knowledge	7,038	1,330	(513)	817	7,855
15	Business Solutions for IP Offices	7,813	703	(246)	457	8,269
16	Economics and Statistics	4,585	597	-	597	5,182
17	Building Respect for IP	2,992	42	(201)	(159)	2,833
18	IP and Global Challenges	6,768	500	(130)	370	7,138
19	Communications	16,599	1,060	(1,083)	(23)	16,576
20	External Relations, Partnerships and External Offices	10,912	482	(884)	(402)	10,510
21	Executive Management	18,948	1,937	(2,048)	(111)	18,838
22	Program and Resource Management	18,901	1,123	(230)	893	19,794
23	Human Resources Management and Development	21,493	1,625	(1,364)	261	21,754
24	General Support Services	46,271	1,464	(7,046)	(5,583)	40,688
25	Information and Communication Technology	50,408	1,409	(1,195)	215	50,622
26	Internal Oversight	5,050	5	(262)	(257)	4,792
27	Conference and Language Services	37,240	2,287	(1,821)	466	37,706
28	Safety and Security	12,159	-	(774)	(774)	11,385
29	Construction Projects	7,675	23	(461)	(438)	7,237
30	SMEs and Innovation	11,261	1,581	(3,500)	(1,918)	9,342
31	The Hague System	6,970	454	(174)	281	7,251
	TOTAL	639,927	41,907	(47,780)	(5,873)	634,054
	Unallocated	7,503	12,198	(5,344)	6,855	14,357
	Grand Total	647,430	54,106	(53,124)	982	648,411

80. The table above shows the amount of transfers and adjustments made to and from Programs in the 2012/13 biennium.

81. Presenting information on adjustments and transfers in and out of a Program would enhance transparency of these operations.

7. PPR VALIDATION CONCLUSIONS

(A) PROGRAM PERFORMANCE MEASURES NEED IMPROVEMENT

82. The result of the validation indicates that 32 per cent of the performance indicators (11) need further refinement to measure outcome or impact rather than output. Also, 29 per cent of WIPO programs still face challenges in gathering, analyzing and reporting sufficient and comprehensive data in support of performance indicators. This is in line with the survey results

which indicated that 50 per cent of respondents were of the opinion that they did not have useful regular technical assistance on computerized monitoring and data collection tools and 48 per cent of respondents who reported that no monitoring tools had been developed to track progress made against their indicators and targets.

83. Although the above result is an improvement from the 2010/11 biennium (when the figure was 45 per cent), the main reasons for these challenges are still the lack of: a) assigning due importance to program performance management; b) measuring progress and making constant improvements in program delivery; and c) proper tools and methods to enable effective collection, monitoring and reporting of PD.

84. Inefficiently designed performance indicators and the absence of tools for monitoring and reporting need to be addressed to ensure that the progress made in RBM so far is sustainable in the medium to long term.

(B) MONITORING TOOLS NEED TO BE DEVELOPED

85. The validation exercise and the survey conducted with Programs, indicated that further work needs to be done to develop and use monitoring tools, which will help programs better capture, analyze and report on their PD. Lack of monitoring tools has an impact on the efficiency of collecting and accessing PD. Indicatively, 21 out of 31 programs (68 per cent) sufficiently meet this criterion, and similarly, 68 per cent of Programs also sufficiently met the criterion for timely reporting of PD.

86. Furthermore, the survey conducted during the validation indicate that 48 per cent of respondents were of the opinion that no monitoring tools had been developed to track progress made against indicators and related targets, and 42 per cent felt that there were no useful tools available to gather baseline information.

87. Also, 11 out of 13 Programs (84 per cent) that indicated to have undergone a review to assess the need for further integration of current monitoring systems in their day-to-day monitoring process felt that there had been improvements. However, 39 percent of respondents indicated that no review had been carried for their Program. The establishment and evolution of the RBM system in WIPO is a continuous process which requires cooperation, communication and coordination to ensure that Programs receive the support they need to improve their program performance management.

(C) A QUALITY ASSURANCE SYSTEM FOR THE PROGRAM PERFORMANCE FRAMEWORK

88. The audit report (IA 2013-05) on the review of Results Based Management (RBM) at WIPO, recognizes the progress made to establish and develop the RBM system such as: developing, refining and streamlining performance indicators; setting reasonable targets; and identifying relevant expected results. For example, organization wide expected results were introduced during the 2012/13 biennium. WIPO is also undergoing organizational design changes to optimize human resources, roles and functions.

89. While these are positive actions towards improving the RBM framework, measuring consistency and comparability of indicators over biennia becomes difficult. In that regard, and recognizing that this is an evolving process, IAOD did not measure the PD against the consistency and comparability criterion during this validation exercise.

90. Furthermore, changing some performance indicators from one biennium to another may also create the need for new monitoring tools and additional resources, which could potentially impact users' buy-in and sense of ownership of performance indicators.

91. While recognizing that: (1) improved key performance indicators (KPIs), and (2) optimized organizational design, are changes that contribute towards improving the RBM System, establishing a quality assurance system will further help ensure: (1) the quality of performance measures; (2) the effective transfer of ownership during organizational changes; and (3) stability with constant improvements in the RBM framework.

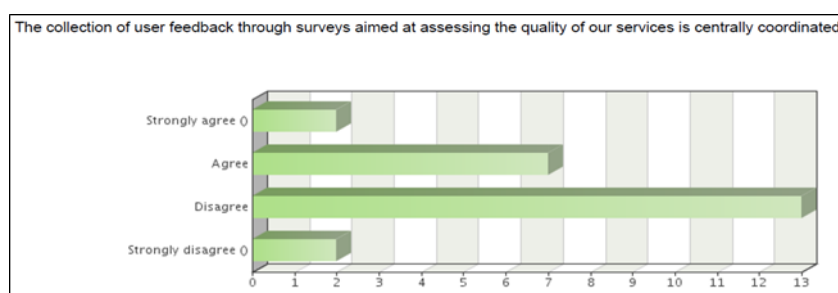
92. At the current stage of the evolution of RBM at WIPO, a quality review of the performance framework would provide the Organization with a clear indication of what has been achieved, and outline opportunities for further improvements. Furthermore, as WIPO continues to undergo organizational design changes, measures should be taken to ensure effective and efficient transfer of ownership of indicators if and when staff members responsible for indicators are moved as a result of these changes.

(D) IMPROVE MECHANISM TO ADMINISTER AND MANAGE FEEDBACK

93. Programs still raise the need to be further assisted in developing tools to efficiently collect PD. Feedback tools such as surveys can only be effective if efficiently designed. More Programs use surveys as a tool to collect PD during seminars, trainings, workshops and meetings. In addition, many WIPO programs established PIs that measure the satisfaction of Member States with regard to various services.

94. However, there is no standard survey used to capture Member States' feedback as each Program has developed its own survey. There is a risk that Member States receive similar surveys from different WIPO Programs which leads to confusion and could impact WIPO's image.

95. In line with the above, the survey conducted during this validation exercise indicates that 62 per cent of respondents do not believe that the collection of user feedback through surveys aimed at assessing the quality of WIPO services is centrally coordinated.



96. Centrally coordinating feedback that aim at capturing perception of Member States representatives during the various WIPO committees would streamline feedback, reduce the risk of "feedback fatigue" and improve the overall quality of responses.

8. PPR VALIDATION RECOMMENDATIONS

97. The following recommendations have been made based on:

- (a) The documentary evidence provided by the various WIPO programs;
- (b) Results of the survey conducted;
- (c) Result of the overview of the performance framework;
- (d) Consultation of previous IAOD reports; and
- (e) Consultations undertaken with staff in charge of implementing the randomly selected PIs.

Recommendation 1: Implement a quality assurance process of the program performance framework during the 2014/15 biennium. This process will enable to take stock of progress made thus far and identify areas for further action with a view to improving the whole RBM process with outcome/impact oriented performance indicators that provide meaningful information to WIPO managers and to Member States (*for PPBD*).

Recommendation 2: Develop a procedure to ensure that the staff handover process amongst Programs includes adequate briefing and status update on all the program performance measures to be owned or managed by the incumbents (*for PPBD and HRMD*).

Recommendation 3: Enhance Monitoring systems/ tools to ensure that PD are effectively and efficiently collected, analyzed and reported for program performance measurement. In this regard, well targeted coaching sessions with programs can be organized throughout the biennium as part of regular guidance activities (*for PPBD and HRMD*).

Recommendation 4: Develop a standard survey to capture Member States' feedback, to measure cross-cutting PIs. This will avoid duplicates, improve quality and relevance, and increase participation (*for PPBD*).

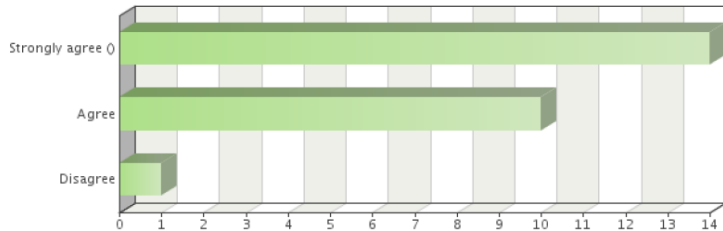
RECOMMENDATION ON TRANSFERS

Recommendation 5: Enhance the presentation of the approved budget and transfers by Program in the P&B, in order to improve transparency by providing information on funds transferred into and out of Programs during the biennium (*for PPBD*).

9. SUMMARY REPORT – PPR VALIDATION SURVEY

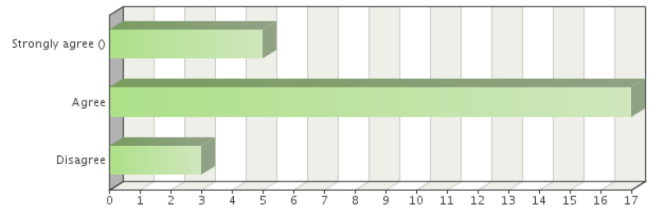
Question 1

I have directly been involved in the development of our Program's objectives/ expected results (ERs) /performance indicators (PIs)/targets and baselines.



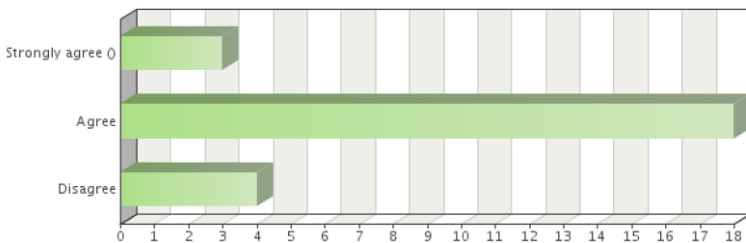
Question 2

I have been provided useful technical support and coaching in the development of our Program objectives, expected results, and indicators.



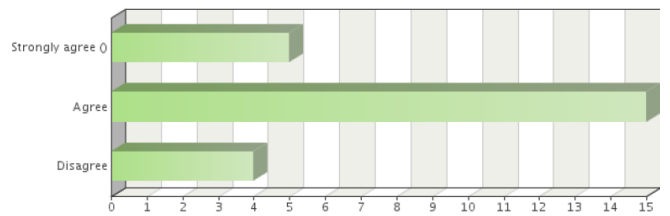
Question 3

Existing guidance on how to develop SMART performance indicators, and their linkages with expected results are adequate and useful.



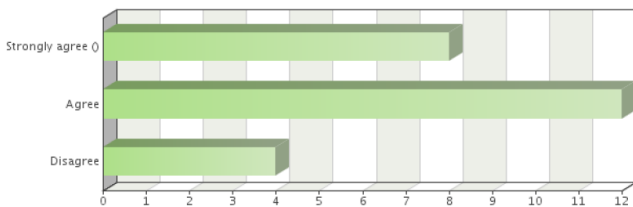
Question 4

I have received adequate training and support during the identification and framing of objectives, results, indicators, targets, baselines, etc.



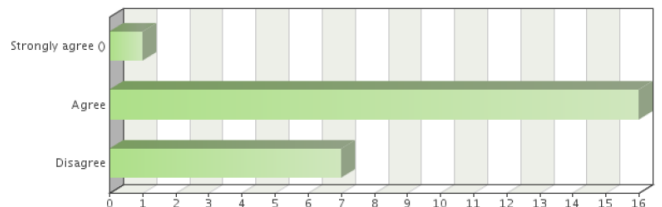
Question 5

Our program objective/ expected results/performance indicators are still appropriate and relevant to what the Organization is aiming to achieve.



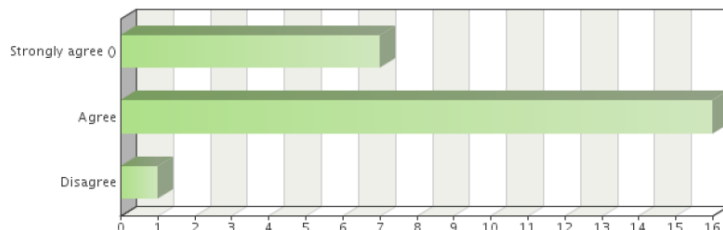
Question 6

Our performance indicators, baselines, and targets are valuable for the purposes of measuring meaningful progress and intended success.



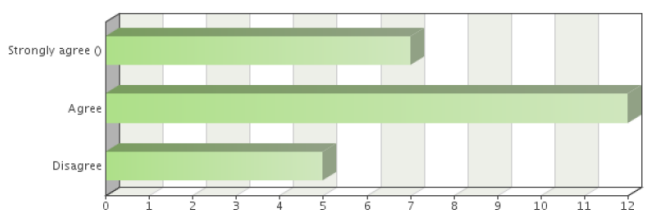
Question 7

My individual work plan/ PMSDS is directly linked to our Program objectives.

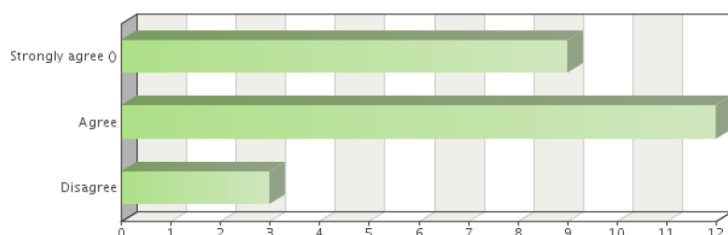


Question 8

My Managers and I utilize the information used to report against the results and indicators on regular basis for:
8a. Regular monitoring of our program implementation.

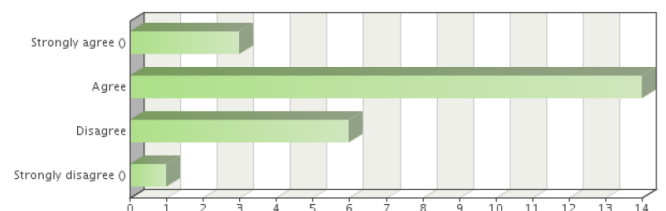


8b. Accountability to Member States.



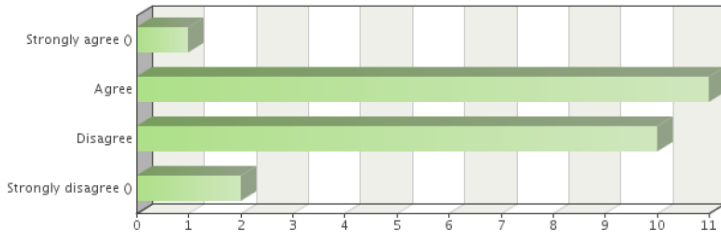
Question 9

We have appropriate and useful systems and tools to record, monitor, analyze, and report data.



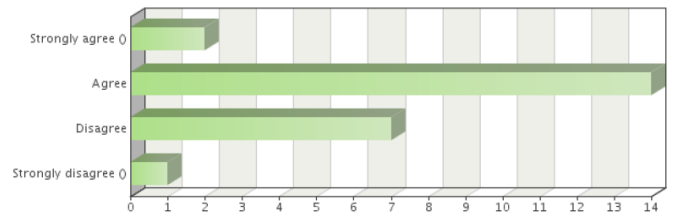
Question 10

I have been provided useful technical assistance on computerized monitoring and data collection tools and systems to track progress on our results framework, on a regular basis.



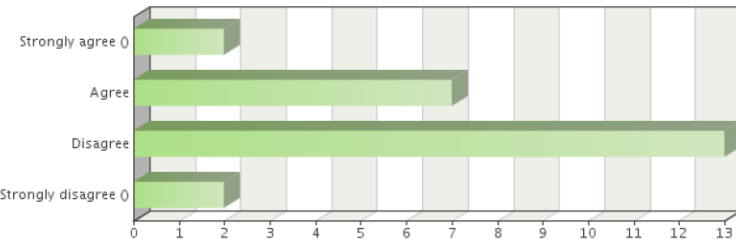
Question 11

The time required to access information is proportional to its use.



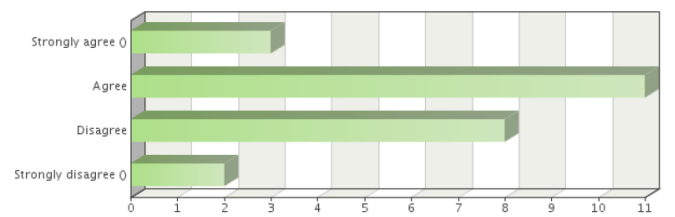
Question 12

The collection of user feedback through surveys aimed at assessing the quality of our services is centrally coordinated.



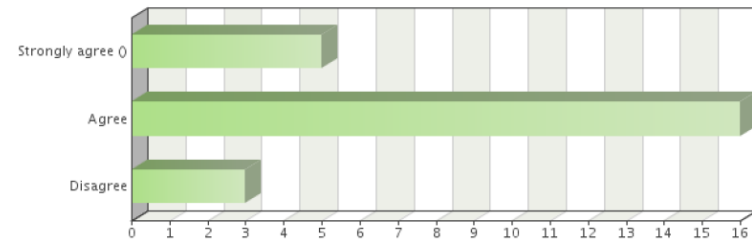
Question 13

Useful tools exist to gather baseline information.



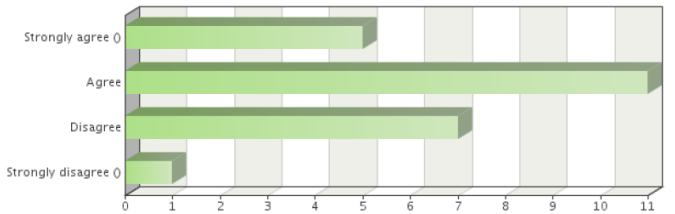
Question 14

The monitoring information and performance data are available in a timely manner when required.



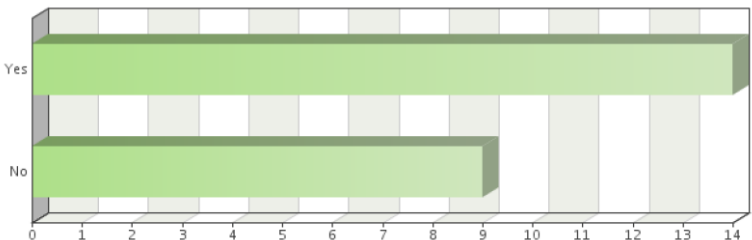
Question 15

We are required to report on progress against the performance indicators and targets on a regular basis in Divisions/Program/Sector meetings.



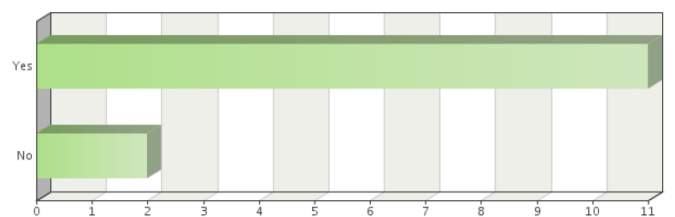
Question 16

Has a review been carried out, as part of the planning cycle for the 2014/2015 Biennium, to assess the extent to which current monitoring systems need to be strengthened in order to integrate the RBM approach more fully as a routine day-to-day management function?



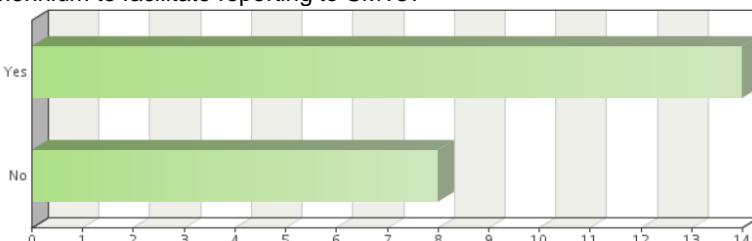
Question 17

Has this produced some improvements?



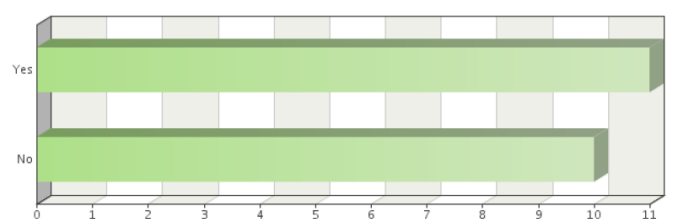
Question 18

Have fewer and more meaningful and realistic objectives, expected results, indicators, targets and baselines been identified during this biennium to facilitate reporting to SMTs?



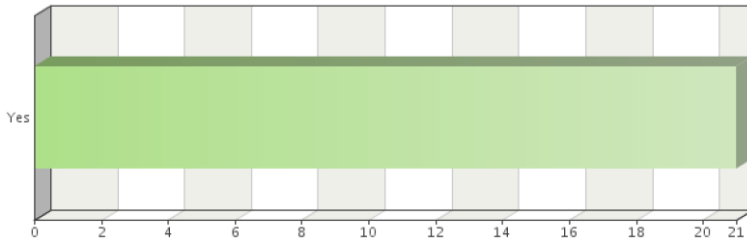
Question 19

Has a monitoring tool for capturing data on progress made against selected indicators and targets been developed?



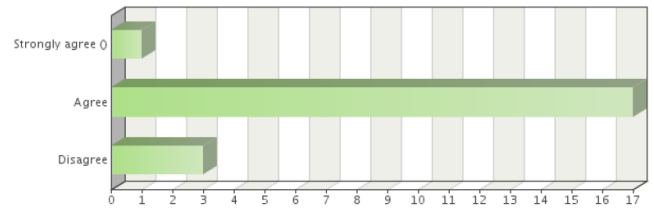
Question 20

Have the assumptions and risks captured in the risk registers which could affect the achievement of results been recorded as part of the planning process for the 2014-2015 P&B document?



Question 21

The selection of measures and data quality have improved since the last validation exercise.

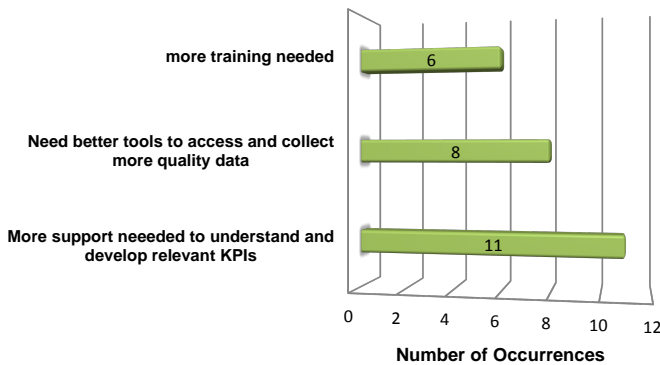


10. ANALYSIS OF COMMENTS

98. Comments made in the survey have been grouped into common themes and number of occurrences, and presented below:

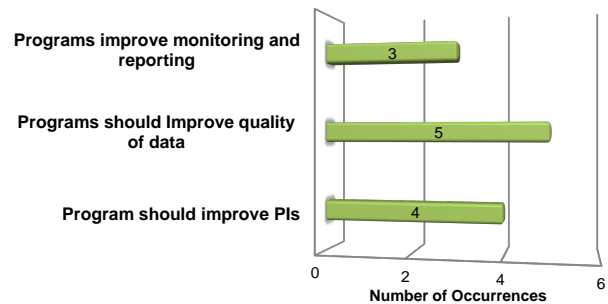
Comment 1

Other approaches/support, that should be considered in order to increase ownership over the results framework, and ideas to enhance the efficiency of existing information gathering and monitoring tools, and systems.



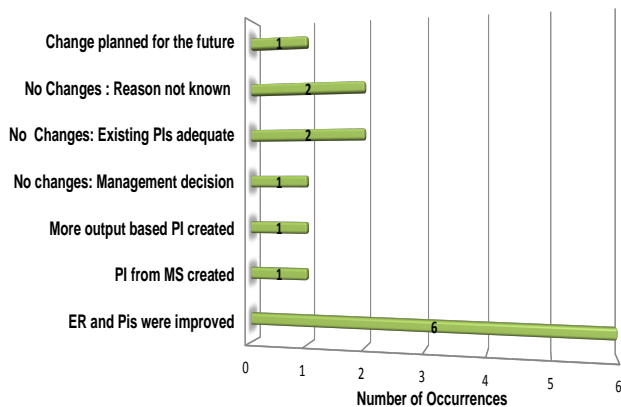
Comment 2

Participants' comments on the results of reviews carried out as part of the planning cycle for the 2014/2015 to integrate RBM as a management function.



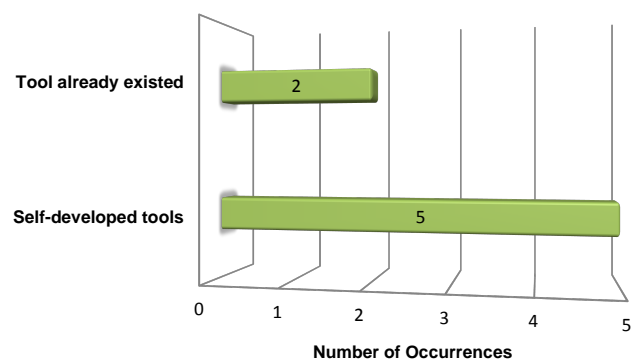
Comment 3

Participants' comments on the type of changes made to objectives, expected results, indicators, targets and baselines during the biennium.



Comment 4

Participants' comments on the development of monitoring tool for capturing data on progress made against selected indicators and targets.



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

Fully implemented	
Partially implemented	
Not implemented	

Recommendations Contained in the Previous Validation Reports	Status as of PPR 2010/11	Status	Comments on status of implementation of recommendations
[PPR 2010/11] Recommendation 1: Quality assurance of PD needs to be further strengthened during the 2012/13 biennium by improving the quality and relevance of the RF.	N/A		The recommendation was considered implemented as of March 2014.
[PPR 2010/11] Recommendation 2: Strike the right balance between the RF as a reporting tool and a management tool (for PMPS and PMs) by identifying SMART performance measures;	N/A		The recommendation was considered implemented as of March 2014.
[PPR 2010/11] Recommendation 3: Enhance monitoring support and guidance to program managers and staff, through facilitated workshops, with a view to designing, improving and implementing SMART performance measures and strengthening RBM within the Organization (for PMPS and Performance Management Training and Development Section).	N/A		The recommendation was considered implemented as of April 2014.
[PPR 2010/11] Recommendation 4: Deadlines for submission of individual and consolidated PPR should be set well in advance enabling for validation of a final PPR for the 2012/13 biennium (for PMPS and IAOD).	N/A		The recommendation was considered implemented as of March 2014.
[PPR 2008/09] Recommendation 1: A review should be carried out to determine the extent to which Performance Indicator Data (PID) can be more utilized. Depending on the extent to which this is considered to be a priority for senior management, stronger monitoring systems should be expected and encouraged for the practical integration of the results-based approach into day-to-day management, to complement the existing emphasis of RBM on financial planning and reporting to Member States.			The recommendation was implemented during the biennium 2012/13.

Recommendations Contained in the Previous Validation Reports	Status as of PPR 2010/11	Status	Comments on status of implementation of recommendations
<p>[PPR 2008/09] Recommendation 2: If and when PID becomes increasingly used for internal monitoring purposes, supervising managers should have a more visible role in supporting the development and maintenance of robust monitoring systems. They will also be influential in establishing strong and clear links between program level objectives and overarching organizational strategic goals and objectives.</p>			<p>The recommendation was implemented during the biennium 2012/13.</p>
<p>[PPR 2008/09] Recommendation 3: Specific assistance to supervising and implementing managers and teams should include: Increased technical support for the development of appropriate, computerized data collection, analysis and reporting tools;</p>			<p>The recommendation was implemented during the biennium 2012/13.</p>
<p>[PPR 2008/09] Recommendation 4: Specific assistance to supervising and implementing managers and teams should include: Customer/user feedback as a useful qualitative measure of performance should be agreed only when adequate systems for supporting the collection of data are available, preferably a more coordinated collation and analysis across the programs, building, possibly, on the proposed Customer Service initiative.</p>			<p>The recommendation was implemented during the biennium 2012/13.</p>
<p>[PPR 2008/09] Recommendation 5: Specific assistance to supervising and implementing managers and teams should include: Continued one-to-one training and advice in the understanding and application of good practice standards in performance planning and monitoring systems;</p>			<p>The recommendation was implemented during the biennium 2012/13.</p>

<p>[PPR 2008/09] Recommendation 6: Specific assistance to supervising and implementing managers and teams should include: The development of a monitoring tool that is capable of identifying overall progress against key objectives and indicators on a routine basis, e.g. quarterly, for the senior management team. The clear and explicit reporting of progress, using the performance measures in the P&B, should be incorporated in routine quarterly reporting to the SMT. However, this may be difficult at the present time given the complexity of the current performance framework.</p>			<p>The recommendation was implemented during the biennium 2012/13.</p>
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ACKNOWLEDGMENT

IAOD wishes to thank all relevant members of staff for their assistance, cooperation and interest during this assignment.

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Approved by: Thierry Rajaobelina

TABLE OF RECOMMENDATIONS

Recommendation #	Priority	Responsible unit/manager	Deadline for implementation	Management comment and action plan
<p>Recommendation 1: Implement a quality assurance process of the program performance framework during the 2014/15 biennium. This process will enable to take stock of progress made thus far and identify areas for further action with a view to improving the whole RBM process with outcome/impact oriented performance indicators that provide meaningful information to WIPO managers and to Member States <i>(for PPBD)</i>.</p>	High			
<p>Recommendation 2: Develop a procedure to ensure that the staff handover process amongst Programs includes adequate briefing and status update on all the program performance measures to be owned by the incumbents <i>(for PPBD and HRMD)</i>.</p>	Medium			
<p>Recommendation 3: Enhance Monitoring systems/ tools to ensure that PD are effectively and efficiently collected, analyzed and reported for program performance measurement. In this regard, well targeted coaching sessions with programs can be organized throughout the biennium as part of regular guidance activities <i>(for PPBD and HRMD)</i>.</p>	High			

<p>Recommendation 4: Develop a standard survey to capture Member States' feedback, to measure cross-cutting performance indicators. This will avoid duplicates, improve quality and relevance, and increase participation (<i>for PPBD</i>).</p>	<p>Medium</p>			
<p>Recommendation 5: Enhance the presentation of the approved budget and transfers by Program in the P&B, in order to improve transparency by providing information on funds transferred into and out of Programs during the biennium (<i>for PPBD</i>).</p>	<p>Medium</p>			

ANNEXES

Annex I.	DEFINITION OF VALIDATION CRITERIA
Annex II.	RANDOM SAMPLING MEETINGS
Annex III.	VALIDATION ASSESSMENTS INCLUDING RATING
Annex IV.	VALIDATION FRAMEWORK

[Annexes follow]

DEFINITION OF VALIDATION CRITERIA

In order to facilitate the validation process the validation team applied an adapted version of the “Good practice criteria for data systems” defined by the UK National Audit Office³. The PD and information used for reporting on program delivery should be:

1. **Relevant and valuable** to what the organization is aiming to achieve according to performance measures. The quantification and reporting shall include information that covers all significant aspects of performance expressed in the expected results and performance indicators. Data collection methods, criteria and assumptions shall not be misleading. Data and assumptions that do not have an impact on the validation opinion shall not be included.
2. **Sufficient/comprehensive** to reveal the extent of progress made against the performance measure. PD shall include all the information that was available to make a comprehensive assessment to report against the performance measures.
3. **Efficiently collected/easily accessible**. Appropriate systems shall be in place to record, access, report and analyze the data required to report against the performance measures.
4. **Consistent and comparable (Not used in 2012/13 validation)**. Information shall address comparable key PIs that enable meaningful comparisons. The principle of consistency shall not prevent the use of more accurate procedures or methods as they become available. However, any change in procedures and methods shall be transparently documented and justified. Consistency is satisfied by:
 - Application of the requirements of the methodology over different periods;
 - Similarity of application of available guidance and knowledge among Projects and programs with similar characteristics such as application of methodology, use of technology, time period and regional similarities;
 - Applying tests and assumptions equally across potential baseline scenario;
 - Ensuring equivalent application of principles used for expert judgment, internally and externally, over time and among projects and programs.

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

5. **Accurate and verifiable** enough for its intended use, and responsive to change with clear documentation behind it, so that the processes which produce the measure can be validated. The principle of accuracy requires reduction in bias and uncertainty as far as is practical. Accuracy and verifiability with reference to the validation is required at two levels.
 - The first relates to the accuracy and written/documented i.e. physical evidence of quantitative data and information;
 - The second relates to accuracy and written/documented i.e. physical evidence of non-quantitative information.
6. **Timely**, producing information regularly enough to track progress, and quickly enough for the information to still be useful.
7. **Clear and Transparent** is to disclose information to allow intended users to understand and to make decisions with reasonable confidence. Transparency relates to the degree to which information is seen to as being reported in an open, clear, factual, neutral and coherent manner based on documentary evidence. Information shall be recorded, compiled and analyzed in a way that will enable internal reviewers and external intended users to attest its credibility. Transparency requires, inter alia:
 - Clearly and explicitly stating and documenting all assumptions;
 - Clearly referencing background material;
 - Stating all calculations, methodologies and all information used;
 - Clearly identifying all changes in documentation;
 - Compiling and documenting information in a manner that enables independent validation;
 - Documenting the explanation and/or justification (e.g. choice of procedures, methodologies, parameters, information sources, key factors, sampling criteria);
 - Documenting the justification of selected criteria;
 - Documenting assumptions, references and methods such that another party can reproduce reported information; and
 - Documenting any external factors to the project that may affect the decisions of intended users.

A further criterion to assess reporting of performance measures includes:

8. **Accuracy of the Traffic Light System** The TLS has a separate function and is not strictly part of the PD. An assessment of accuracy was made on the basis of whether the ratings could be justified on the basis of information presented in the PD reported as part of the PPR 2012/13.

[Annex II follows]

RANDOM SAMPLING MEETINGS




Random sampling of one performance indicator per program was conducted by the WIPO Senior Management Team (SMT) Members or their alternates in the presence of IAOD staff.

Date	Program Participant	Title	Program(s)
April 8, 2014	Mr. Pooley	Deputy Director General, Innovation and Technology Sector	Program 1 – Patent Law and Innovation Program 5 – The PCT System Program 30 – SMEs and Innovation
April 8, 2014	Mr. Wichard	Deputy Director General, Global Issues Sector	Program 4 – Traditional Knowledge, Traditional Cultural Expressions and Genetic Resources Program 7 – Arbitration, Mediation and Domain Names Program 17 – Building Respect for IP Program 18 – IP and Global Challenges Program 19 – Communications Program 20 – External Relations, Partnerships and External Offices
April 8, 2014	Mr. Sundaram	Assistant Director General, Administration and Management Sector	Program 22 – Program and Resource Management Program 24 – General Support Services Program 25 – Information and Communication Technology Program 27 – Conference and Language Services Program 28 – Safety and Security Program 29 – Construction Projects
April 8, 2014	Mr. Prasad	Executive Director and Chief of Staff, Office of the Director General	Program 21 – Executive Management
April 8, 2014	Mr. Fink	Chief Economist, Economics and Statistics Division	Program 16 – Economics and Statistics
April 9, 2014	Mr. Clarke	Assistant Director General, Culture and Creative Industries Sector	Program 3 – Copyright and Related Rights
April 9, 2014	Mr. Frelek	Assistant Program Officer, Department for Transition and Developed Countries	Program 10 – Cooperation with Certain Countries in Europe and Asia
April 10, 2014	Mr. Onyeama	Deputy Director General, Development Sector	Program 8 – Development Agenda Coordination Program 9 – Africa, Arab, Asia and the Pacific, Latin America and the Caribbean Countries, Least Developed Countries Program 11 – The WIPO Academy

April 10, 2014	Ms. Wang	Deputy Director General, Brands and Designs Sector	Program 2 – Trademarks, Industrial Designs and Geographical Indications Program 6 – Madrid and Lisbon Systems Program 31 – The Hague System
April 10, 2014	Mr. Takagi	Assistant Director General, Global Infrastructure Sector	Program 12 – International Classifications and Standards Program 13 – Global Databases Program 14 – Services for Access to Information and Knowledge Program 15 – Business Solutions for IP Offices
April 11, 2014	Ms. Moussa	Director, Human Resources Management Department	Program 23 – Human Resources Management and Development















[Annex III follows]

VALIDATION ASSESSMENTS INCLUDING RATING

Sufficiently meets criteria	
Partially meets criteria	
Did not meet the criteria	















Program 1 – Patent Law

Performance Indicator: Percentage of Member States which found the provided information concerning the legal principles and practices of the patent system, including the flexibilities existing in the system and the challenges it faces, useful.

1. Assessment of PD(PD)			
Rating:			
	Sufficiently meets criteria		Partially meets criteria
			Does not meet the criteria
	Criteria for PD		Comments/data limitations
1.a.	Relevant/valuable		The PD is relevant and valuable because the survey conducted provides Program management with insights on Member States' perception of the quality and usefulness of information provided by the Program.
1.b.	Sufficient/comprehensive		The PD was sufficient and comprehensive because IAOD conducted a survey during the evaluation of the Program, to which fifty-four respondents from at least 41 countries participated in.
1.c.	Efficiently collected/easily accessible		The PD was collected through IAOD survey of Members States and the report is available on request.
1.d.	Accurate/verifiable		The PD has been presented in a manner which allows the effective verification of its accuracy.
1.e.	Timely reporting		The PD was accessible to Member States in a timely way through a one-off evaluation report.
1.f.	Clear/transparent		The PD allows intended users to have a good understanding of the performance and make decisions with reasonable confidence. The data has been reported in a clear, factual and coherent manner.
1.g.	Conclusion on PD		The assessment of information provided, leads to the conclusion that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)			
Rating:			
	TLS Accurate		TLS Not Accurate
			TLS Not Assessable
2.a.	Accuracy of TLS		Based on the PD provided for the selected PI, the self-assessment rating reported as "fully achieved" is accurate.
2.b.	Program Comments		















Program 2 – Trademarks, Industrial Designs and Geographical Indications

Performance Indicator: Number of Member States having received legislative advice in the area of trademarks, industrial designs and geographical indications

1. Assessment of PD(PD)		
Rating:		
	Sufficiently meets criteria	
		Partially meets criteria
		
		Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	 The PD is relevant because it provides information on the geographical distribution of advice and services given to Member States and helps determine the work-plan activities.
1.b.	Sufficient/comprehensive	 A spreadsheet is used to capture and track legislative advice requests, including date received, sent, persons responsible, and feedback received.
1.c.	Efficiently collected/easily accessible	 The PD information in the spreadsheet is supported by hardcopies stored in an easily accessible filing system.
1.d.	Accurate/verifiable	 The PD is partially accurate because the number of member states having received advice reported is 24 instead of 21. Since the same country can receive different types of advice, some countries were counted twice in the initially reported data.
1.e.	Timely reporting	 The PD is reported in the P&B, the PPR and is reported to management during Program meetings to monitor and support implementation of work-plan activities.
1.f.	Clear/transparent	 The PD is clear and transparent and can be tracked in the dedicated spreadsheet. Files are available with information to support data in the spreadsheet.
1.g.	Conclusion on PD	 Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
	TLS Accurate	
		TLS Not Accurate
		
		TLS Not Assessable
2.a.	Accuracy of TLS	 Based on the PD provided for the selected PI, the self-assessment rating reported as “fully achieved” is not accurate because the target of 40 was only partially met with 21 Member States receiving advice during the Biennium. The TLS should be modified to “Partially Achieved”
2.b.	Program Comments	The PD does not only mention the number of Member States having received legislative advice throughout the biennium, but also the number of individual pieces of draft legislation. This is of importance, because Program two provides legislative advice in up to three different areas of law, namely trademark law, industrial design law and geographical indications law. In some instances, requests by one Member State concerned all three areas of law, whereas in other cases, requests could be limited to fewer than three. In order to reflect more accurately the actual output by the program, the number of Member States having received legislative advice is supplemented by the number of individual pieces of draft legislation acted upon. The second number (i.e., advice on 18 pieces of draft legislation in 2012, and on 18 in 2013) describes more realistically the actual output of the Program and comes much closer to the baselines.














Program 3 – Copyright and Related Rights

Performance Indicator: Number of downloads, requests and distribution of WIPO tools for management of copyright in specific creative industries.

1. Assessment of PD(PD)		
Rating:		
	Sufficiently meets criteria	
		Partially meets criteria
		
		Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	 The PD is relevant and valuable to what the Organization is seeking to achieve as it shows in quantitative detail, the numbers of downloads, distribution and requests received. This covers all the significant aspects of the performance expected as per the performance indicator.
1.b.	Sufficient/comprehensive	 The PD reported is sufficient and comprehensive to show the progress made against the indicator.
1.c.	Efficiently collected/easily accessible	 The PD is efficiently collected and easily accessible through the information gathered from various sources including the web communications section, library and publication distribution section and CD/DVD reproduction unit.
1.d.	Accurate/verifiable	 The PD is accurate and verifiable based on the supporting documentation collected from the web communications section, library and publication distribution section and e-mail data.
1.e.	Timely reporting	 For the purpose of the validation assessment, the program took more than three weeks to prepare the PD. Hence, it only partially meets the criteria for timely reporting.
1.f.	Clear/transparent	 The PD is clear and transparent based on the reported data.
1.g.	Conclusion on PD	 Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
	TLS Accurate	
		TLS Not Accurate
		
		TLS Not Assessable
2.a.	Accuracy of TLS	 The TLS has been accurately reported as "Fully achieved".
2.b.	Program Comments	















Program 4 – Traditional Knowledge, Traditional Cultural Expressions and Genetic Resources

Performance Indicator: Progress in the IGC's negotiations towards development of an international legal instrument(s).

1. Assessment of PD(PD)		
Rating:		
	Sufficiently meets criteria	 Partially meets criteria
		 Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	 The PD provided for this performance indicator (PI) was found to be useful as it provides valuable information for the nature of the IGC negotiations and the progress made so far in the negotiations for having an international instrument(s).
1.b.	Sufficient/comprehensive	 The PD provided is sufficient and comprehensive as it includes all the relevant information to allow for a sound assessment of the progress made against the PI. Main PD included regular reports on IGC negotiations and related documentation which are found to be comprehensive.
1.c.	Efficiently collected/easily accessible	 All the PD are available on-line and such they are easily accessible to all public
1.d.	Accurate/verifiable	 All the PD have been clearly and in a consistent manner reported following each IGC meeting of the WIPO Member States. This can be easily verified on the documentation available on WIPO Website.
1.e.	Timely reporting	 The PD has been made available to all Member States in a prompt manner at each IGC meeting throughout the biennium. All the relevant documentation and the final reports are also made available to all member states in a timely manner. Validation team also has easily got access to all the documentation in a prompt manner.
1.f.	Clear/transparent	 The PD has been disclosed in a clear and transparent manner to enable users to have gained a very good understanding of the IGC negotiations and the way forward. Documentation include information such as background material, draft proposals, changes thereafter final progress reports which have been reported in a fair, open and transparent manner.
1.g.	Conclusion on PD	Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
	TLS Accurate	 TLS Not Accurate
		 TLS Not Assessable
2.a.	Accuracy of TLS	 Based on the PD provided for the selected PI, the self-assessment rating reported as "partially achieved" is accurate.
2.b.	Program Comments	

Program 5 – The PCT system

Performance Indicator: Increased feedback from PCT users on overall system performance

1. Assessment of PD(PD)		
Rating:		
	Sufficiently meets criteria	
		
		Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	 The PD addresses the number of feedback requested and not the number of feedback received as stated in the performance indicator. Further, the agreed target was expressed in terms of informal requests for feedback, rather than in terms of feedback received. According to the program the performance indicator and target were at the time they were created, relevant and valuable. The Program also recognizes that the target and the performance indicator are not directly correlated, although it could be said that there is an indirect correlation. Finally, the Program found the data relevant and valuable in relation to the target, even though it is expressed differently than the indicator.
1.b.	Sufficient/comprehensive	 The PD is not sufficient and comprehensive as it does not address the performance indicator, although it addresses the target.
1.c.	Efficiently collected/easily accessible	 The Program indicated that PD were derived from records of seminars, presentations and user visits at which the practice was said to include requests for feedback; but no separate records were kept of the requests as such. Consequently no supporting documentation was provided to IAOD to validate the figures reported against the PI in the PPR.
1.d.	Accurate/verifiable	 The accuracy of the PD cannot be verified because no separate records were kept on the number of requests made, and the PD rely on an assumption that the practice of requesting feedback was made at each reported event.
1.e.	Timely reporting	 As this was a first time initiative to systematically seek feedback from users, the need to request for feedback was discussed in internal meetings but no reporting was performed other than for the PPR.
1.f.	Clear/transparent	 The PD provided is not clear and transparent because there was no method to consistently gather and record information in documentary form in order to report on the performance indicator. Furthermore, because the PD were provided in relation to the target requests for feedback, no record is available of actual feedback received to report against the PI.
1.g.	Conclusion on PD	 Based on the assessment of information provided, it can be concluded that the PD does not meet the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
	TLS Accurate	
		
		TLS Not Assessable
2.a.	Accuracy of TLS	 Based on the PD provided for the selected PI, the self-assessment rating reported as "fully achieved" cannot be assessed due to lack of evidence to support the figure reported in the PPR.
2.b.	Program Comments	















Program 6 – Madrid and Lisbon Systems

Performance Indicator: Number of renewals (Madrid system)

1. Assessment of PD(PD)		
Rating:		
<input checked="" type="checkbox"/>	Sufficiently meets criteria	<input type="checkbox"/>
<input type="checkbox"/>		Partially meets criteria
<input type="checkbox"/>		Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	The PD provides operational information to users of the system and can be measured against forecasted figures.
1.b.	Sufficient/comprehensive	The PD is available in the Madrid Agreement and Protocol System (MAPS) database used for daily management of applications to the Madrid System.
1.c.	Efficiently collected/easily accessible	The PD is collected through a database and is accessible on the Madrid System webpage. http://www.wipo.int/madrid/en/statistics/monthly_stats.jsp?type=RE&name=1
1.d.	Accurate/verifiable	The PD is generated through MAPS and organized in a manner to verify its accuracy and measure the achievement of the performance indicator.
1.e.	Timely reporting	The PD s reported in monthly management reports, and used to support decisions.
1.f.	Clear/transparent	The PD is presented in a manner which allows users to have a clear understanding of its content. It is transparent and reflects information available on the Madrid System webpage.
1.g.	Conclusion on PD	Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
<input checked="" type="checkbox"/>	TLS Accurate	<input type="checkbox"/>
<input type="checkbox"/>		TLS Not Accurate
<input type="checkbox"/>		TLS Not Assessable
2.a.	Accuracy of TLS	Based on the PD provided for the selected PI, the self-assessment rating reported as "fully achieved" is accurate.
2.b.	Program Comments	















Program 7 – Arbitration, Mediation and Domain Names

Performance Indicator: Number of country code Top Level Domain (ccTLD) Uniform Domain Name Dispute Resolution Policy (UDRP)-based cases administered.

1. Assessment of PD(PD)		
Rating:		
 Sufficiently meets criteria	 Partially meets criteria	 Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	 The PD provides detailed information on the country code Top Level Domain (ccTLD) cases which were administered by the AMC during the biennium 2012/13. The PD is relevant to the performance indicator and the expected result of the Organization. ccTLD dispute resolution is a competitive space as ccTLD registrars in general can choose specific dispute resolution bodies to administer domain name disputes for a particular ccTLD. Complainants can also have a choice of multiple dispute resolution bodies to choose from. Therefore any increase in the number of cases administered by the AMC is a relevant indicator of its performance.
1.b.	Sufficient/comprehensive	 The AMC maintains its own case management system where detailed information on the status of a registered case can be found. The system allows for generating various kinds of reports to track the status of cases registered by the AMC related to ccTLDs.
1.c.	Efficiently collected/easily accessible	 As noted above, the reporting can be performed directly from the case management system used by the AMC and is therefore easily accessible to concerned personnel and no additional effort is required for reporting purposes.
1.d.	Accurate/verifiable	 The PD shows in detail the actions taken by the AMC with respect to the ccTLD cases registered. As there are no cases which have a “pending” status within the reported data, it shows the action taken by the AMC to administer the cases in the period under review.
1.e.	Timely reporting	 The PD is based on real-time information generated from the case management system. The information can be produced by running reports directly from the system and hence is generated on a timely basis.
1.f.	Clear/transparent	 The PD can be reviewed not only internally by AMC personnel but in core form is also made available publicly through WIPO’s external website (http://www.wipo.int/amc/en/domains/casesx/all-cctld.html). Through this, all external information pertaining to cases registered with the AMC is made available publicly and is clear.
1.g.	Conclusion on PD	 Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
 TLS Accurate	 TLS Not Accurate	 TLS Not Assessable
2.a.	Accuracy of TLS	 Based on the PD provided for the selected PI, the self-assessment rating reported as “Fully Achieved” is accurate.
2.b.	Program Comments	















Program 8 – Development Agenda Coordination

Performance Indicator: Number of countries requesting technical assistance through DA projects and expressing interest in DA related activities

1. Assessment of PD(PD)			
Rating:			
	Sufficiently meets criteria		Partially meets criteria
			Does not meet the criteria
	<i>Criteria for PD</i>		<i>Comments/data limitations</i>
1.a.	Relevant/valuable		The PD provided does not directly address the performance indicator. While the PI measures the number of countries that have requested technical assistance, PD provides the number of countries that have received technical assistance. The PD is therefore only partially relevant and valuable for reporting on this performance indicator.
1.b.	Sufficient/comprehensive		The PD is not fully sufficient and comprehensive because this data does not directly measure the performance indicator. Although the target of 50 countries requesting technical assistance was met, this was validated based on the underlying assumption that technical assistance is undertaken only if a request was previously made. However, the data does not inform on the total number of requests received in the biennium and only provides the number of requests addressed.
1.c.	Efficiently collected/easily accessible		The PD presented is not efficiently collected because the data collected does not match information needed to report on the number of technical assistance requests from Member States.
1.d.	Accurate/verifiable		The total number of technical assistance requests made during the biennium cannot be fully verified for accuracy with the current PD provided. However, this data can be used to verify that the target of 50 countries requesting technical assistance set in the P&B 2012-13, has been met, because there is verifiable evidence to accurately support the reported figure. Information on technical assistance activities can be found on the WIPO website. http://www.wipo.int/tad/en/ .
1.e.	Timely reporting		The PD on the number of technical assistance requests from countries is not regularly and timely reported because the PD reports on the number of requests addressed. Information on technical assistance activities undertaken is available for consultation on the WIPO website, and in the progress reports to the CDIP.
1.f.	Clear/transparent		Although PD provided to report on the achievement of the target set for this indicator in the P&B was clearly presented and supported, reporting was not done in a transparent manner because the number of total requests made in the biennium cannot be assessed from the current data provided.
1.g.	Conclusion on PD		Based on the assessment of information provided, it can be concluded that the PD partially meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)			
Rating:			
	TLS Accurate		TLS Not Accurate
			TLS Not Assessable
2.a.	Accuracy of TLS		Based on the PD provided for the selected PI, the self-assessment rating reported as “fully achieved” cannot be assessed because data provided cannot assess the coverage since no data is available, to provide the total number of requests received during the period, and to verify whether all undertaken activities were requested in the same biennium. However, the PD submitted can assess that 50 countries received technical assistance.
2.b.	Program Comments		















Program 9 – Africa, Arab, Asia and the Pacific, Latin America and the Caribbean Countries, Least Developed Countries

Performance Indicator: Number of Offices with IP data online in WIPO databases

1. Assessment of PD(PD)		
Rating:		
	Sufficiently meets criteria	 Partially meets criteria  Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	 The PD is relevant to the defined performance indicator as it shows how many countries from the region have IP data online in WIPO databases.
1.b.	Sufficient/comprehensive	 The PD is sufficient and comprehensive as it shows how many offices have their IP data online in WIPO databases as against the stated targets.
1.c.	Efficiently collected/easily accessible	 The PD is based on information available publicly in the WIPO external website and can be easily accessed. http://patentscope.wipo.int/search/en/help/data_coverage.jsf http://www.wipo.int/branddb/en/
1.d.	Accurate/verifiable	 The PD is accurate and verifiable through information available publicly.
1.e.	Timely reporting	 The PD was reported timely
1.f.	Clear/transparent	 The PD can be considered clear and transparent as it is based on publicly available information.
1.g.	Conclusion on PD	 Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
	TLS Accurate	 TLS Not Accurate  TLS Not Assessable
2.a.	Accuracy of TLS	 Based on the PD provided for the selected PI, the self-assessment rating reported as “fully achieved” is accurate.
2.b.	Program Comments	











Program 10 – Cooperation with Certain Countries in Europe and Asia

Performance Indicator: Percentage of participants satisfied with the quality of workshops and seminars on innovation and its commercialization

1. Assessment of PD(PD)			
Rating:			
	Sufficiently meets criteria		Partially meets criteria
			Does not meet the criteria
	<i>Criteria for PD</i>		<i>Comments/data limitations</i>
1.a.	Relevant/valuable		The PD is relevant and valuable to measure performance against the expected result and the defined performance indicator. It consists of a combination of standard evaluation forms and post event evaluations for selected events. This was a good practice identified where the program uses different means of gathering feedback from participants in events organized.
1.b.	Sufficient/comprehensive		The PD is sufficient and comprehensive as the feedback forms for each event are gathered, scanned, processed and stored.
1.c.	Efficiently collected/easily accessible		While the process of obtaining feedback itself is quite robust, it is not easily collected and accessible as it involves a lot of manual work to process the feedback forms and then to use the data as input for future events.
1.d.	Accurate/verifiable		The PD is supported by feedback forms and is accurate and verifiable.
1.e.	Timely reporting		The PD is generated at two stages, one soon after the event and the other, if required, based on a post evaluation probe. Thus the PD is reported timely.
1.f.	Clear/transparent		A standard format questionnaire is used to generate the PD which is clear and transparent.
1.g.	Conclusion on PD		Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)			
Rating:			
	TLS Accurate		TLS Not Accurate
			TLS Not Assessable
2.a.	Accuracy of TLS		Based on the PD provided for the selected PI, the self-assessment rating reported as "Fully Achieved" is accurate.
2.b.	Program Comments		

Program 11 – The WIPO Academy

Performance Indicator: Number of new online courses / at different levels of specialization

1. Assessment of PD(PD)		
Rating:		
	Sufficiently meets criteria	 Partially meets criteria
		 Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	 The PD is relevant to the indicator being measured (number of new online courses) because it provides information the status of online courses
1.b.	Sufficient/comprehensive	 The PD is organized in a manner to assess its sufficiency and comprehensiveness. However, the data is not fully sufficient to confirm the status of achievement reported against the PI and in the PPR.
1.c.	Efficiently collected/easily accessible	 The PD is organized and collected in a database, and can be easily accessed. http://welc.wipo.int .
1.d.	Accurate/verifiable	 While the PD is organized in a manner that facilitates verification, the data is not fully accurate to support the PI's status of achievement reported in the PPR.
1.e.	Timely reporting	 The PD is effectively structured and presented in a manner to permit users to regularly track progress.
1.f.	Clear/transparent	 While the PD is organized in a clear and transparent manner and is available online.
1.g.	Conclusion on PD	 Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.

2. Assessment of Accuracy of the Traffic Light System (TLS)

Rating:

TLS Accurate
 X TLS Not Accurate
 TLS Not Assessable

2.a.	Accuracy of TLS		Based on the PD provided for the selected PI, the self-assessment rating reported as "partially achieved" is not accurate because the target of three online courses has not been met. Consequently, the TLS should be adjusted to "not achieved".
2.b.	Program Comments		<p>The Target of the Program was to develop three online courses. The PI 'no of new on line courses/at different levels of specialization' is interpreted by the Program to mean 'no of new <u>eLearning courses</u>/at different levels of specialization' to be developed first and then to be launched. The use of the term '<u>online courses</u>' was perhaps confusing but it was used as a description of the nature of the course to differentiate it from, e.g. face to face courses. It does not mean the courses are put on line.</p> <p>The Program further highlights that 'new/ at different levels of specialization' focus very much on the development stages of courses targeting the various specializations that we design in the modules of each course. In line with previous feedback given, the Program interprets this PI in the following manner based on its experience of 16 years of course development which takes, per course, 2.5 to 3.5 years as a normal processes:</p> <p>The PI for this performance is the following:</p> <p>Course Development Stages and normal effort levels needed for completion of development :</p> <p>Phase 1: Conceptualization (20% effort level) Phase 2: Identification of Experts (20% effort level) Phase 3: Framing of content (30% percent importance) Phase 4: Writing of content (10% effort level) Phase 5: Draft content (10 % effort level) Phase 6: Pilot content (10 % effort level) Phase 7: Launch of content as WIPO DL (Separate level of administrative work)</p> <p>The three courses under this subject are found at the following stages:</p> <p>Phase 5 (Collective Management Organizations, (over 500 pages are framed and written) Phase 3 (IP, Innov. & Econ) approximately 350 pages are framed and written. Phase 1-2 (IP, Innov. & Public Health). (After completion of this course, approximately 200 pages are expected).</p> <p>The Program maintains and suggests that the development of the three courses is 'partially achieved' based on its understanding of the PI, and agrees that the PI should have been better formulated (as it was the first time this PI was made part of PPR).</p>















Program 12 – International Classifications and Standards

Performance Indicator: Number of amended and new standards adopted















1. Assessment of PD(PD)			
Rating:			
<input checked="" type="checkbox"/>	Sufficiently meets criteria	<input type="checkbox"/>	Partially meets criteria
<input type="checkbox"/>		<input type="checkbox"/>	Does not meet the criteria
	<i>Criteria for PD</i>		<i>Comments/data limitations</i>
1.a.	Relevant/valuable	<input checked="" type="checkbox"/>	The PD provides an indication towards the achievement of the program objective which is to update and issue classifications and standards.
1.b.	Sufficient/comprehensive	<input checked="" type="checkbox"/>	The PD is sufficient and comprehensive and can be easily measured. Information is available through meeting notes to measure progress leading towards the deliverables.
1.c.	Efficiently collected/easily accessible	<input checked="" type="checkbox"/>	The PD is efficiently collected and accessible through reports of the Committee on WIPO Standards (CWS). http://www.wipo.int/meetings/en/topic.jsp?group_id=247
1.d.	Accurate/verifiable	<input checked="" type="checkbox"/>	The PD is accurate and verifiable and the deliverable is available to view on the WIPO website.
1.e.	Timely reporting	<input checked="" type="checkbox"/>	The PD is used to provide status updates and is closely monitored and discussed during meetings. Progress is also reported during the meetings of the Committee on WIPO Standards (CWS).
1.f.	Clear/transparent	<input checked="" type="checkbox"/>	The PD is clear and transparent and information is available to users http://www.wipo.int/standards/en/part_03_standards.html
1.g.	Conclusion on PD	<input checked="" type="checkbox"/>	Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)			
Rating:			
<input checked="" type="checkbox"/>	TLS Accurate	<input type="checkbox"/>	TLS Not Accurate
<input type="checkbox"/>		<input checked="" type="checkbox"/>	TLS Not Assessable
2.a.	Accuracy of TLS	<input checked="" type="checkbox"/>	Based on the PD provided for the selected PI, the self-assessment rating reported as “fully achieved” cannot be assessed because the Performance Indicator does not have a target to measure against.
2.b.	Program Comments		

Program 13 – Global Databases

Performance Indicator: Number of weeks per year where publication is not available at 20:00 Geneva time on publication day.















1. Assessment of PD(PD)		
Rating:		
	Sufficiently meets criteria	
		
		Does not meet the criteria
	Criteria for PD	Comments/data limitations
1.a.	Relevant/valuable	 The PD is relevant and valuable as it contains information on the timeliness of updates to the PATENTSCOPE system. Each week PCT applications are updated to PATENTSCOPE on the publication day (usually on Thursday unless it is a WIPO holiday on Thursday). The timeliness of the update is important because PATENTSCOPE is relied upon by professionals around the world and accessible through WIPO public website (http://patentscope.wipo.int/search/en/resultWeeklyBrowse.jsf).
1.b.	Sufficient/comprehensive	 The PD is in the form of an e-mail from PCTIS support which is sent as soon as the publication of PCT applications on PATENTSCOPE is complete.
1.c.	Efficiently collected/easily accessible	 The source of the PD is in the form of e-mails which are sent to announce the weekly publications of PCT applications to PATENTSCOPE. It is efficiently collected and easily accessible.
1.d.	Accurate/verifiable	 The PD is verifiable based on e-mail evidence. However, it is not accurate as the PD indicates that there were no weeks where the publication was not available at 20:00 Geneva time, while the supporting data indicates that there was a delay on one occasion during the period.
1.e.	Timely reporting	 As the PD is generated in e-mail form as soon as the publication on PATENTSCOPE is complete, it is sent timely to track progress against the performance indicator.
1.f.	Clear/transparent	 The PD is clear from the e-mail that is sent to announce the publication on PATENTSCOPE. Further, the data is transparent as the information is available publicly on WIPO Website (http://patentscope.wipo.int/search/en/resultWeeklyBrowse.jsf)
1.g.	Conclusion on PD	 Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
	TLS Accurate	
		
		TLS Not Assessable
2.a.	Accuracy of TLS	 The target was set at "0" and one week the objective was not met. Although the target was set at 0 weeks, definition of 'Fully Achieved' is not defined as 100 per cent achievement of the target. Rather, the TLS system is based on the following ratings: <ul style="list-style-type: none"> • Fully Achieved (when achievement of the performance indicator target is >80 per cent); • Partially Achieved (when achievement of the performance indicator target is between 30-80 per cent); • Not Achieved (when achievement of the performance indicator target is <30 per cent) • Discontinued (is applied when a performance indicator is no longer used to measure the performance of the Program) • Not Assessed (new) (when assessment of the performance is not possible, e.g. when a target has not been defined) Based on these criteria, the TLS for the PI in question remains as 'Fully Achieved', even if one week and not 0 weeks the objective was not met, since it falls with the 80 per cent range. To be clear, availability of the publication after 20:00 1 week out of 52 weeks would mean an on-time delivery rate of 98 per cent. To warrant a rating of 'Not Achieved', the publication would have had to have been late between 37-52 weeks; 'Partially Achieved' 10-36 weeks; 'Fully Achieved' nine weeks or less.
2.b.	Program Comments	

Program 14 – Services for Access to Information and Knowledge
Performance Indicator: Number of registered users of aRDI and ASPI.

1. Assessment of PD(PD)		
Rating:		
 Sufficiently meets criteria	 Partially meets criteria	 Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	 The PD can be considered as relevant and valuable to what the organization is seeking to achieve as increased number of users on the Access to Research for Development and Innovation (ARDI) and Access to Specialized Patent Information (ASPI) programs, helps promote access to intellectual property in the public domain.
1.b.	Sufficient/comprehensive	 The PD is sufficient and comprehensive as it provides detailed information on users with active access to ARDI and ASPI. In addition to the names of the institutions with active access, it also contains details on city, country and the ARDI login name or Service Name (ASPI). This enables keeping track on the number of users accessing these systems and thereby also on the progress made with respect to the performance indicator.
1.c.	Efficiently collected/easily accessible	 The PD for ARDI is easily accessible through the CRM system and efficiently collected as users are registered in the CRM system. Currently ASPI data is maintained in spreadsheet format
1.d.	Accurate/verifiable	 The PD can be verified directly from the CRM system (for ARDI) and from the spreadsheet for ASPI and have been accurately reported.
1.e.	Timely reporting	 The PD source (i.e. CRM and spreadsheet) provide for both real-time reporting and for historical reporting, ensuring that information can be produced regularly to track progress against the defined targets.
1.f.	Clear/transparent	 The PD provides detailed information based on which it is evident about the number of active users in each system (ARDI and ASPI). Also as these systems are publicly available, detailed information is available on the WIPO public website (http://www.wipo.int/ardi/en/ and http://www.wipo.int/aspi/en/)
1.g.	Conclusion on PD	 Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
 TLS Accurate	 TLS Not Accurate	 TLS Not Assessable
2.a.	Accuracy of TLS	 The TLS has been accurately reported as "Fully achieved".
2.b.	Program Comments	















Program 15 – Business Solutions for IP Offices

Performance Indicator: Number of Offices processing PCT and Madrid data with the support of WIPO supplied systems

1. Assessment of PD(PD)		
Rating:		
 Sufficiently meets criteria	 Partially meets criteria	 Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	 The PD provides the number of countries that use WIPO's system and support to process PCT and Madrid data. The related performance indicator is relevant and valuable because it measures the use and not the acquisition and installation of the system.
1.b.	Sufficient/comprehensive	 The PD is captured in an Excel spreadsheet and updated on a regular basis by project managers. Information is received from offices, and collected during missions. Mission reports are available on the dedicated WIKI space.
1.c.	Efficiently collected/easily accessible	 The PD gathered by project managers and regional experts are systematically recorded in the Excel spreadsheet. Information to support data on the spreadsheet is easily accessible through the WIKI space. https://intranet.wipo.int/confluence/display/ipas/Home
1.d.	Accurate/verifiable	 The PD is based on verifiable reports from regular visits to field, and regular communication between the project managers and regional experts on the field. Information is available on the WIKI space. The reported figure of 41 offices is accurate based on sampled verification against supporting documentation.
1.e.	Timely reporting	 The PD is regularly tracked, updated and used for discussion in Program meetings.
1.f.	Clear/transparent	 The PD is presented in manner which allows a clear and transparent interpretation of its content.
1.g.	Conclusion on PD	 Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
 TLS Accurate	 TLS Not Accurate	 TLS Not Assessable
2.a.	Accuracy of TLS	 Based on the PD provided for the selected PI, the self-assessment rating reported as "fully achieved" is accurate.
2.b.	Program Comments	
















Program 16 – Economics and Statistics

Performance Indicator: Number of citations in economic publications and government policy reports

1. Assessment of PD(PD)			
Rating:			
	Sufficiently meets criteria		Partially meets criteria
			Does not meet the criteria
	<i>Criteria for PD</i>		<i>Comments/data limitations</i>
1.a.	Relevant/valuable		The PD shows the number of downloads of WIPO publications - World Intellectual Property Reports 2011 and 2013. Although the information may be used to link with the expected result in an indirect manner, it is not relevant to the defined performance indicator. IAOD was given to understand that it was not possible to accurately verify/ substantiate the number of citations as defined in the performance indicator. This could imply that the indicator was set without adequate thought as to how actual performance would be measured against the indicator. As a result of the issues faced in reporting performance against this indicator, the indicator was modified for the current biennium as "number of downloads of main economic publications". The PD reported would have been relevant to this modified indicator.
1.b.	Sufficient/comprehensive		As noted above, the PD reported is not linked to the defined performance indicator and hence cannot be considered sufficient or comprehensive.
1.c.	Efficiently collected/easily accessible		As noted above, the PD reported is not linked to the defined performance indicator and hence cannot be considered efficiently collected or easily accessible.
1.d.	Accurate/verifiable		As noted above, the PD reported is not linked to the defined performance indicator and hence cannot be considered accurate/ verifiable.
1.e.	Timely reporting		As noted above, the PD reported is not linked to the defined performance indicator and hence cannot be considered as being reported timely.
1.f.	Clear/transparent		As noted above, the PD reported is not linked to the defined performance indicator and hence cannot be considered clear/ transparent.
1.g.	Conclusion on PD		Based on the assessment of information provided, it can be concluded that the PD does not meet the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)			
Rating:			
	TLS Accurate		TLS Not Accurate
			TLS Not Assessable
2.a.	Accuracy of TLS		As the PD reported is not relevant to the defined indicator, it is not possible to make an assessment of the accuracy of the TLS.
2.b.	Program Comments		















Program 17 – Building Respect for IP

Performance Indicator: Percentage of trained enforcement officials that report satisfaction with the training provided, including guidance on strategic cooperation, and its usefulness for their professional life

1. Assessment of PD(PD)		
Rating:		
 Sufficiently meets criteria	 Partially meets criteria	 Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	 The PD is relevant and valuable because it captures the outcomes of training activities, gauges the relevance and quality of these trainings, and plays a key role in developing future training activities.
1.b.	Sufficient/comprehensive	 The PD is compiled from surveys conducted during trainings. The survey questions have a clear structure and follow a coherent rating system that can be subsequently compiled for reporting on the performance indicator.
1.c.	Efficiently collected/easily accessible	 The PD is collected through surveys and can be easily accessed for verification. A spreadsheet has been developed to capture relevant survey results and comments. However, the information was not systematically recorded in the spreadsheet after each surveyed event; hence some delays were noted when providing the information on the PD. The Program has now adopted systematic recording to the main spreadsheet for 2014-15.
1.d.	Accurate/verifiable	 The PD from the surveys was accurately recorded in the spreadsheet and verified against supporting documentation.
1.e.	Timely reporting	 The PD is reported at the end of each training event through Mission Reports, and discussed during Program meetings.
1.f.	Clear/transparent	 The PD is clearly presented in the surveys and the transparency of the information in the spreadsheet can be verified against individual surveys.
1.g.	Conclusion on PD	 Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
 TLS Accurate	 TLS Not Accurate	 TLS Not Assessable
2.a.	Accuracy of TLS	 Based on the PD provided for the selected PI, the self-assessment rating reported as "fully achieved" is accurate.
2.b.	Program Comments	 When the Program and Budget 2012/13 was approved for Program 17, a data collection method consisting of evaluation questionnaires was not yet imposed. In the course of the biennium 2012/13, Program 17 realized the value such evaluation questionnaires could have and introduced them progressively, in a pro-active way (as rightly mentioned, Program 17 has now adopted systematic recording to the main spreadsheet for 2014/15). These evaluation questionnaires were efficiently collected and are easily accessible.

Program 18 – IP and Global Challenges

Performance Indicator: Number and diversity of specific requests from Member States and international organizations for WIPO contributions on IP in relation to global public policy issues

1. Assessment of PD(PD)			
Rating:			
	Sufficiently meets criteria		Partially meets criteria
			Does not meet the criteria
	<i>Criteria for PD</i>		<i>Comments/data limitations</i>
1.a.	Relevant/valuable		The PD provided for this PI is relevant and valuable and it allows a sound assessment of the performance measurement. PD contains information on activities undertaken by the program in addressing requests by Member States and international organizations on global public policy issues.
1.b.	Sufficient/comprehensive		The PD includes all the necessary information and covers all the aspects of public policy issues WIPO GREEN, WIPO Re: Search so PD is sufficient and comprehensive.
1.c.	Efficiently collected/easily accessible		The PD is a compilation of documentation covering various activities related to the PI. Although it did not take too long to provide the PD, The PD is not easily accessible and no tool was used to centrally record, analyze and monitor the PD in order to effectively keep track of the program performance with regard to the specific PI.
1.d.	Accurate/verifiable		The PD has clear documentation in support of the performance indicator which can be verified through physical evidence provided for measuring the performance indicator increases the accuracy and verifiability of qualitative and quantitative performance data.
1.e.	Timely reporting		As regards the regular monitoring of the PI, there is no evidence that PD were recorded in a consistent manner for effective monitoring which could then be easily analyzed, and reported for effective management decision making.
1.f.	Clear/transparent		The PD allows intended users to have a good understanding of the performance and make decisions with reasonable confidence. PD has been reported in a clear, factual and coherent manner.
1.g.	Conclusion on PD		Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)			
Rating:			
	TLS Accurate		TLS Not Accurate
			TLS Not Assessable
2.a.	Accuracy of TLS		Based on the PD provided for the selected PI, self-assessment rating reported as “fully achieved” is accurate.
2.b.	Program Comments		

Program 19 – Communications

Performance Indicator: Percentage of stakeholders with a positive recognition of WIPO's mission, activities and organizational image

1. Assessment of PD(PD)		
Rating:		
<input checked="" type="checkbox"/>	Sufficiently meets criteria	<input type="checkbox"/> Partially meets criteria <input type="checkbox"/> Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	The PD provides information on stakeholders' perception of the WIPO's mission, activities and image.
1.b.	Sufficient/comprehensive	The PD is partially sufficient and comprehensive because the survey to report on 2012 was conducted in January 2012. Consequently, the results may not sufficiently reflect the perception for that year. However, to better capture perceptions, the survey conducted in June 2013 has been considered in assessing perception in 2012 and part of 2013.
1.c.	Efficiently collected/easily accessible	The PD was collected through the responses of 1,140 participants to a WIPO service orientation survey, and the report is available and accessible.
1.d.	Accurate/verifiable	The PD is accurate and verifiable through the submitted survey report.
1.e.	Timely reporting	The PD is reported and made available to users for decision making in a timely fashion.
1.f.	Clear/transparent	The PD is provided through a clear survey report which discloses transparent and coherent information to users.
1.g.	Conclusion on PD	Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
<input checked="" type="checkbox"/>	TLS Accurate	<input type="checkbox"/> TLS Not Accurate <input type="checkbox"/> TLS Not Assessable
2.a.	Accuracy of TLS	Based on the PD provided for the selected PI, the self-assessment rating reported as "fully achieved" is accurate.
2.b.	Program Comments	















Program 20 – External Relations, Partnerships and External Offices

Performance Indicator: Number of joint activities/workplans implemented and reviewed in line with agreements with partner organizations (new and existing MoU's with IGOs)

1. Assessment of PD(PD)		
Rating:		
<input checked="" type="checkbox"/>	Sufficiently meets criteria	<input type="checkbox"/>
<input type="checkbox"/>		Partially meets criteria
<input type="checkbox"/>		Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	The PD is relevant and valuable to what the Organization seeks to achieve in terms of expected results as it shows the number and nature of the activities and work plans implemented with partner organizations.
1.b.	Sufficient/comprehensive	The PD is sufficient/ comprehensive as detailed information on the joint activities and work plans conducted with partner organizations.
1.c.	Efficiently collected/easily accessible	The information is easily accessible and efficiently collected as it is basically a compilation of the activities and work plans jointly conducted with partner organizations.
1.d.	Accurate/verifiable	The PD is accurate and verifiable from the supporting data.
1.e.	Timely reporting	The PD provides for easy and timely reporting and details of most activities are available on the internet.
1.f.	Clear/transparent	The PD is clear and transparent and details on most activities can be found on the internet.
1.g.	Conclusion on PD	Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
<input checked="" type="checkbox"/>	TLS Accurate	<input type="checkbox"/>
<input type="checkbox"/>		TLS Not Accurate
<input type="checkbox"/>		TLS Not Assessable
2.a.	Accuracy of TLS	Based on the PD received for the selected PI, the self-assessment rating of "Fully Achieved" is accurate.
2.b.	Program Comments	

Program 21 – Executive Management

Performance Indicator: Percentage of queries for legal advice which receive prompt, independent and reliable responses from the Office of the Legal Counsel

1. Assessment of PD(PD)			
Rating:			
	Sufficiently meets criteria		Partially meets criteria
			Does not meet the criteria
	<i>Criteria for PD</i>		<i>Comments/data limitations</i>
1.a.	Relevant/valuable		The PD submitted for the PI was found relevant and valuable because it provides data to help measure productivity and efficiency of the OLC.
1.b.	Sufficient/comprehensive		The PD included samples of cases for legal advice provided by the OLC for various categories during the biennium. Although information provided in the sample is satisfactory, due to lack of monitoring, the population of legal advice was calculated based on assumptions that are judgmental, sufficiency and comprehensiveness of PD and whether PD is representative of the population cannot be reasonably validated.
1.c.	Efficiently collected/easily accessible		The PD is not easily accessible as it is a compilation of emails gathered within the program and it was not very efficiently collected as the PD was not readily available.
1.d.	Accurate/verifiable		The PD includes a sample of cases of legal advice but it is not possible to accurately verify and conclude on the outcome of the self-assessment because the population based on which the sample was selected is an estimation since legal advice cases are not monitored in a way to allow the program to reasonably have an idea of the size and characteristics of the population. It is therefore not possible to verify the reported figure of 98%, based on the fact that there is no monitoring system.
1.e.	Timely reporting		Based on the PD provided for validation purposes, it becomes clear that data was not regularly recorded, analyzed and reported throughout the biennium in a timely manner.
1.f.	Clear/transparent		Due to lack of systematic and consistent way of recoding of cases of legal advice which would help program effectively monitor progress made with regard to PI, it is not very clear as to how the information provided was gathered and reported for management decision-making purposes. The way the documentary evidence was gathered and provided indicates that it has not been gathered, analyzed and reported in a coherent manner which also impacts its transparency.
1.g.	Conclusion on PD		Based on the assessment of information provided, it can be concluded that the PD partially meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)			
Rating:			
	TLS Accurate		TLS Not Accurate
			TLS Not Assessable
2.a.	Accuracy of TLS		Due to lack of monitoring system and reliable performance data, accuracy of TLS cannot be assessed.
2.b.	Program Comments		















Program 22 – Program and Resource Management

Performance Indicator: Satisfactory financial report from the External Auditors confirms the conformity of accounting operations with applicable regulations, rules and standards.







1. Assessment of PD(PD)			
Rating:			
<input checked="" type="checkbox"/>	Sufficiently meets criteria	<input type="checkbox"/>	Partially meets criteria
<input type="checkbox"/>		<input type="checkbox"/>	Does not meet the criteria
	<i>Criteria for PD</i>		<i>Comments/data limitations</i>
1.a.	Relevant/valuable	<input checked="" type="checkbox"/>	The PD which is in the form of the external auditor's report on WIPO's annual financial statements is relevant to the expected results of the Organization and the defined performance indicator. The PD demonstrates the conformity of accounting operations with WIPO FRR.
1.b.	Sufficient/comprehensive	<input checked="" type="checkbox"/>	The PD reported is sufficient and comprehensive as the external auditors report contains an opinion on the transactions tested by them as part of the audit with the conclusion that the transactions have been in accordance with WIPO FRR.
1.c.	Efficiently collected/easily accessible	<input checked="" type="checkbox"/>	The PD is efficiently collected as it is in the form of an audit report which is delivered to the Organization on the conclusion of the annual audit of financial statements. The PD is also a public document that is presented to the WIPO General Assembly and therefore easily accessible.
1.d.	Accurate/verifiable	<input checked="" type="checkbox"/>	The PD is easily verifiable and accurate as it is an independent opinion on the transactions tested by the external auditors for which a specific paragraph is included in the external auditors report on the annual financial statements.
1.e.	Timely reporting	<input type="checkbox"/>	The PD can be reported only after issuance of the external auditors report on the annual financial statements. The external auditors report is issued only after six months from the end of each financial year. Hence, the PD cannot be considered as being reported timely.
1.f.	Clear/transparent	<input checked="" type="checkbox"/>	The PD is clear in the form of an opinion statement contained in the external auditors report and is also transparent to end users of the audit report.
1.g.	Conclusion on PD	<input checked="" type="checkbox"/>	Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)			
Rating:			
<input checked="" type="checkbox"/>	TLS Accurate	<input type="checkbox"/>	TLS Not Accurate
<input type="checkbox"/>		<input type="checkbox"/>	TLS Not Assessable
2.a.	Accuracy of TLS	<input checked="" type="checkbox"/>	Based on the PD provided for the selected PI, the self-assessment rating reported as "partially achieved" is accurate.
2.b.	Program Comments		

Program 23 – Human Resources Management and Development

Performance Indicator: Ratio of employees (full time equivalent) to human resources staff

1. Assessment of PD(PD)			
Rating:			
	Sufficiently meets criteria		Partially meets criteria
	Does not meet the criteria		
	<i>Criteria for PD</i>		<i>Comments/data limitations</i>
1.h.	Relevant/valuable		The PD is relevant and valuable to the defined performance indicator (PI) as it shows the ratio of employees to human resources staff during the biennium.
1.i.	Sufficient/comprehensive		The PD can be described as being sufficient and comprehensive as it is a straightforward calculation based on the total staff of the organization and HR staff.
1.j.	Efficiently collected/easily accessible		The PD is easily collected and easily accessible through HR manning reports.
1.k.	Accurate/verifiable		The PD is derived from HR headcount data and is easily verifiable and accurate.
1.l.	Timely reporting		The PD is reported timely based on information available from HR manning reports.
1.m.	Clear/transparent		The PD is clear and transparent based on the data available in HR manning reports.
1.n.	Conclusion on PD		Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)			
Rating:			
	TLS Accurate		TLS Not Accurate
	TLS Not Assessable		
2.a.	Accuracy of TLS		The TLS has been accurately reported as "Not achieved".
2.b.	Program Comments		















Program 24 Performance Indicator: Processing time for third part visas

1. Assessment of PD(PD)		
Rating:		
 Sufficiently meets criteria	 Partially meets criteria	 Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.o.	Relevant/valuable	The PD is valuable because it provides relevant information on productivity and efficiency of the visa process. This data is used to inform and help decision making.
1.p.	Sufficient/comprehensive	The PD is systematically recorded in a spreadsheet used to manage visa requests on a daily basis. The spreadsheet holds comprehensive information on all visa requests and their status.
1.q.	Efficiently collected/easily accessible	The PD is efficiently collected through a spreadsheet which can be used to monitor visa requests. The spreadsheet is available to staff involved in travel management at WIPO.
1.r.	Accurate/verifiable	A sample of the PD was cross-checked against supporting documentation and found to be accurate and verifiable.
1.s.	Timely reporting	The PD is reported monthly to management, and used to support decision making.
1.t.	Clear/transparent	The PD is presented in a manner which allows the user to gain a clear understanding of its content. It is transparent because it is built on factual and available documentation.
1.u.	Conclusion on PD	Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
 TLS Accurate	 TLS Not Accurate	 TLS Not Assessable
2.a.	Accuracy of TLS	Based on the PD provided for the selected PI, the self-assessment rating reported as "fully achieved" is accurate.
2.b.	Program Comments	

Program 25 – Information and Communication Technology















Expected Result: WIPO staff, delegates, visitors and information and physical assets are safe and secure

Performance Indicator: Up-to-date information risk registry

1. Assessment of PD(PD)		
Rating:		
 Sufficiently meets criteria	 Partially meets criteria	 Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	 The PD is relevant to WIPO's objective of securing its information assets as it serves as one of the main inputs to putting in place mitigating measures as a response to the risks assessed.
1.b.	Sufficient/comprehensive	 The PD shows the assessment of information risks to WIPO in the form of a risk assessment matrix. As the documents are versioned, it shows the progress made in terms of implementing mitigating measures for identified risks as well as new risks that have been assessed as a result of changing circumstances.
1.c.	Efficiently collected/easily accessible	 In the absence of an organization-wide risk management tool, the information risk registers are presently maintained in spreadsheet format which serves the purpose. Therefore, the PD is easily accessible to persons responsible and also efficiently collected.
1.d.	Accurate/verifiable	 The PD is accurate and verifiable from the documentation maintained in the form of information risk registers.
1.e.	Timely reporting	 The information risk registers were updated twice annually during the biennium and hence provide for timely reporting of the PD.
1.f.	Clear/transparent	 The PD in the form of information risk registers are clear and transparent as they provide a clear assessment of the information risks faced by WIPO, their assessment from a CIA (confidentiality, integrity and availability) perspective, controls in place and the additional controls required.
1.g.	Conclusion on PD	 Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
 TLS Accurate	 TLS Not Accurate	 TLS Not Assessable
2.a.	Accuracy of TLS	 Based on the PD provided for the selected PI, the self-assessment rating reported as "fully achieved" is accurate.
2.b.	Program Comments	

Program 26 – Internal Oversight







Performance Indicator: Evaluations are produced in-line with the Evaluation Policy and Evaluation Section Procedures Manual¹⁰.

1. Assessment of PD(PD)			
Rating:			
	Sufficiently meets criteria		Partially meets criteria
			Does not meet the criteria
	<i>Criteria for PD</i>		<i>Comments/data limitations</i>
1.a.	Relevant/valuable		The PD gathered and presented for the purposes of performance indicator has been found relevant and useful as it provides valuable information on the evaluation reports that cover evaluations on projects, programs, a country portfolio and committees.
1.b.	Sufficient/comprehensive		The PD for measuring the specific performance indicator is sufficient and comprehensive. Evaluation reports have a clear structure and follow a consistent approach in presenting evaluation's scope, methodology, findings, conclusions and recommendations.
1.c.	Efficiently collected/easily accessible		The PD are available on a share drive with all the supporting documentation and executive summaries of all evaluation reports are also available on IAOD's intranet page at http://intranet.wipo.int/homepages/iaod/en/evaluation which is accessible by all staff.
1.d.	Accurate/verifiable		Both quantitative and qualitative PD are accurately presented and as physical evidence are easily verifiable in the evaluation reports that have been issued in the biennium.
1.e.	Timely reporting		Reporting on the PI has been done on a regular basis not only through annual program performance reports but also quarterly reporting to the Independent Advisory Oversight Committee to allow effective monitoring of quantity and quality of evaluation reports which have been used by WIPO management for improving organizational learning and better decision making and accountability.
1.f.	Clear/transparent		PD has been gathered and made available in an organized manner so that intended users can understand and make use of them with reasonable confidence. PD has been reported in a coherent and transparent manner so that external and internal user can test its credibility.
1.g.	Conclusion on PD		Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)			
Rating:			
	TLS Accurate		TLS Not Accurate
			TLS Not Assessable
2.a.	Accuracy of TLS		Based on the PD provided for the selected PI, self-assessment rating reported as "fully achieved" is accurate.
2.b.	Program Comments		

¹⁰ As the Internal Audit Section of IAOD conducted the validation exercise, random selection of a performance indicator was not performed. The performance indicator related to the Evaluation Section (only one defined in the P&B 2012/2013) was considered for the purpose of this validation exercise.















Program 27 – Conference and Language Services

Performance Indicator: Percentage of Madrid Romarin in electronic format on time

1. Assessment of PD(PD)		
Rating:		
 Sufficiently meets criteria	 Partially meets criteria	 Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	<p>This activity (Madrid Romarin in electronic format) was discontinued during the first quarter of 2012 due to a decrease in demand for digital products and their replacement by on-line services.</p> <p>The PD reported by the program indicates that 100% of Madrid Romarin was made available within the requested time during the active period in 2012. Subsequently, this activity was discontinued.</p> <p>The PD partially meets the criteria as only the statistical details on the deliveries are available without the supporting information on the request received.</p>
1.b.	Sufficient/comprehensive	As noted above, the activity was discontinued from early 2012. For the period in which it was active, only statistical information is available with the Program without detailed information on the requests received. Hence the PD partially meets this criteria.
1.c.	Efficiently collected/easily accessible	The PD can be considered as easily accessible and efficiently collected. However, as only statistical data is available without detailed information on requests received from users.
1.d.	Accurate/verifiable	The PD is partially verifiable based on the statistical information maintained by the program.
1.e.	Timely reporting	The PD shows that periodic analysis of the time taken to service requests is performed. However, it only partially meets the criteria as insufficient information is available on the requests received from user departments.
1.f.	Clear/transparent	The PD provides information on the statistics related to the deliveries made, but in the absence of detailed information on the requests, it partially meets the criteria.
1.g.	Conclusion on PD	Based on the assessment of information provided, it can be concluded that the PD partially meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
 TLS Accurate	 TLS Not Accurate	 TLS Not Assessable
2.a.	Accuracy of TLS	The accuracy of the TLS is not assessable as the PI was discontinued from early 2012 and insufficient information is available for the period in 2012 during which the activity was in operation.
2.b.	Program Comments	















Program 28 – Safety and Security

Performance Indicator: Percentage of timely requests for safety and security assistance at conferences or events held in or outside of Geneva

1. Assessment of PD(PD)			
Rating:			
 Sufficiently meets criteria  Partially meets criteria  Does not meet the criteria			
	<i>Criteria for PD</i>		<i>Comments/data limitations</i>
1.a.	Relevant/valuable		The PD reported provides information about the number of audits of external conferences/ meetings that were completed during the biennium. The performance indicator requires information on the percentage of timely requests for safety and security assistance at conferences or events. As the reported PD does not provide information that is relevant or valuable to the defined PI, the PD does not meet the criteria.
1.b.	Sufficient/comprehensive		As the reported PD does not provide information that is sufficient or comprehensive with respect to the defined PI, the PD does not meet the criteria.
1.c.	Efficiently collected/easily accessible		As the reported PD does not provide information that is related defined PI, the PD does not meet the criteria of being efficiently collected or easily accessible.
1.d.	Accurate/verifiable		As the reported PD does not provide information that is verifiable with respect to the defined PI, the PD does not meet the criteria.
1.e.	Timely reporting		As the reported PD does not provide information that is related to the defined PI, the PD does not meet the criteria for timely reporting.
1.f.	Clear/transparent		As the reported PD does not provide information that is clear and transparent with respect to the defined PI, the PD does not meet the criteria.
1.g.	Conclusion on PD		Based on the assessment of information provided, it can be concluded that the PD does not meet the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)			
Rating:			
 TLS Accurate  TLS Not Accurate  TLS Not Assessable			
2.a.	Accuracy of TLS		As the PD reported cannot be directly linked to the defined indicator, it is not possible to make an assessment of the accuracy of the TLS.
2.b.	Program Comments		















Program 29 – Construction Projects

Performance Indicator: Construction of new conference hall and related facilities in compliance with the approved quality, budget and time framework

1. Assessment of Performance Data			
Rating:			
	Sufficiently meets criteria		Partially meets criteria
			Does not meet the criteria
	<i>Criteria for PD</i>		<i>Comments/data limitations</i>
1.a.	Relevant/valuable		The PD submitted for this PI was found to be relevant and useful. Reporting on the all significant aspects of the PI was done in a consistent manner.
1.b.	Sufficient/comprehensive		The PD is sufficient and comprehensive enough to allow for a sound validation of the performance self-assessment
1.c.	Efficiently collected/easily accessible		The PD that has been made available for self-assessment has also been submitted in official reports to the Member States. All the reports are available on line on WIPO public website and WIPO intranet.
1.d.	Accurate/verifiable		Information can be verifiable as it is included in formal reports to the Member States and there is physical evidence to allow for a sound validation of the self-assessment.
1.e.	Timely reporting		There were regular reporting to the Member States, Independent Advisory Oversight Committee and external and internal auditors.
1.f.	Clear/transparent		Documentary evidence has been submitted in a clear, factual and coherent manner enabling intended user to gain good understanding of the progress in the construction of new conference hall.
1.g.	Conclusion on PD		Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)			
Rating:			
	TLS Accurate		TLS Not Accurate
			TLS Not Assessable
2.a.	Accuracy of TLS		Based on PD provided for the selected PI, self-assessment rating reported as “partially achieved:” is accurate.
2.b.	Program Comments		















Program 30 – Small and Medium-Sized Enterprises (SMEs) and Innovation

Performance Indicator: Number of Member States that have developed their IP framework and established Technology Transfer Offices (TTOs)

1. Assessment of Performance Data			
Rating:			
	Sufficiently meets criteria		Partially meets criteria
			Does not meet the criteria
	<i>Criteria for PD</i>		<i>Comments/data limitations</i>
1.a.	Relevant/valuable		The PD provided for validation is partially relevant and valuable because it indicates the stage of progress made with regard to WIPO's activities to assist Member States with their IP framework and establishing of TTOs. It does not provide comprehensive information to determine the number of Member States that have developed IP frameworks and established TTOs
1.b.	Sufficient/comprehensive		The PD provided for the validation does not sufficiently and in a comprehensive manner explain how the performance indicator has been fully achieved while it provides useful information for the stage of progress. The word "established TTOs" in the PI is interpreted as "initiated or in progress" by the program 30 which does not depend on any objective criteria as none of the TTOs have been established by Member States in 2012 and 2013. In the case of Croatia, we understand that some TTOs already exist, but from the information submitted, it is not clear what the Program's contribution is to their setting-up.
1.c.	Efficiently collected/easily accessible		The PD is not easily accessible and efficiently collected since supporting documentation was made available by the program 30 after some time following the request and it consists of compilation of missions reports and needs assessments as part of initial work done for assisting MS in establishing TTOs. There is no overview, summary or log describing the status of developing IP frameworks and setting-up TTOs in the different target countries.
1.d.	Accurate/verifiable		Available documentation and PD are not fully accurate since PD does not indicate how the available quantitative and qualitative elements were used to reach the conclusion that the PI is achieved. For example, the number of MS that have established TTOs with the help of WIPO is not fully documented.
1.e.	Timely reporting		Since there is no log showing updated status of TTOs in the target countries, there are no means of having a timely reporting on this KPI.
1.f.	Clear/transparent		The available PD falls short in terms of factuality, openness and transparency for supporting the self-assessment conclusion as fully achieved since PD submitted for validation does not provide direct evidence to support the achievement of the PI.
1.g.	Conclusion on PD		Based on the assessment of information provided, it can be concluded that the information submitted overall partially meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)			
Rating:			
	TLS Accurate		TLS Not Accurate
			TLS Not Assessable
2.a.	Accuracy of TLS		The PI is worded in a way that the target cannot be achieved since WIPO cannot establish alone Technology Transfer Offices or develop IP frameworks in the countries but only assists MS to do so. Consequently, on the PD provided for the selected PI, the self-assessment rating reported as "fully achieved" cannot be assessed because the PD provided are not sufficient to confirm the achievement of the PI and its corresponding target. For this to be corrected, the KPI would need to be re-worded.
2.b.	Program Comments		

Program 31 – The Hague System

Performance Indicator: Percentage of irregular applications

1. Assessment of Performance Data		
Rating:		
 Sufficiently meets criteria	 Partially meets criteria	 Does not meet the criteria
	<i>Criteria for PD</i>	<i>Comments/data limitations</i>
1.a.	Relevant/valuable	 This indicator is relevant and valuable because it provides information to help measure efficiency.
1.b.	Sufficient/comprehensive	 The PD is captured in The Hague examination database (DMAPS) used to manage all applications made through The Hague System.
1.c.	Efficiently collected/easily accessible	 The PD is obtained in an automated system and is accessible in the dedicated database.
1.d.	Accurate/verifiable	 Information on the PD is available in the dedicated database. This data is presented in a manner which permits the user to verify its accuracy by crosschecking data with supporting documents such as irregularity letters sent to clients.
1.e.	Timely reporting	 The PD is part of a group of indicators captured and reported on a monthly basis. This indicator is also reported in the annexes of the Program & Budget.
1.f.	Clear/transparent	 The PD is presented in a manner which allows the reader to have a clear understanding of its content. Information is transparent and reconcilable against the database and monthly reports.
1.g.	Conclusion on PD	 Based on the assessment of information provided, it can be concluded that the PD sufficiently meets the criteria.
2. Assessment of Accuracy of the Traffic Light System (TLS)		
Rating:		
 TLS Accurate	 TLS Not Accurate	 TLS Not Assessable
2.a.	Accuracy of TLS	 Based on the PD provided for the selected PI, the self-assessment rating reported as “not achieved” is accurate.
2.b.	Program Comments	

[Annex IV follows]

VALIDATION FRAMEWORK

Program	Expected Result	Performance indicators and targets	Baseline	Target	Performance Data
1	Tailored and balanced IP legislative, regulatory and policy frameworks	Percentage of Member States which found the provided information concerning the legal principles and practices of the patent system, including the flexibilities existing in the system and the challenges it faces, useful	Updated: SCP and CDIP Reports provided feedback from Member States (no statistics available)	90%	All the feedback received indicated that the provided information was useful. According to a survey conducted in conjunction with the Evaluation of Program 1 by the IAOD, more than 90 % of respondents rated the quality of substantive documents prepared by the Secretariat “excellent” or “good”.
2	Tailored and balanced IP legislative, regulatory and policy frameworks	Number of countries providing positive feedback on the usefulness of the provided legislative advice in the area of trademarks, industrial designs and geographical indications	Data not available	70%	Positive feedback received from nine out of 13 countries. Four countries did not reply.
3	Evidence-based decision making on copyright issues	Number of downloads, requests and distribution of WIPO tools for management of copyright in specific creative industries	TBD	Increase in downloads, 10 requests, over 500 copies distributed (in 2012/13)	53,185 downloads of WIPO tools on creative industries. 13 requests for publications received. 1800 copies of WIPO tools for creators distributed

4	Enhanced cooperation/ greater consensus among Member States on further developing balanced policy and normative frameworks for the international patent system, trademarks, industrial designs, geographical indications, copyright and related rights, TK, TCEs and GRs	Progress in the IGC's negotiations towards development of an international legal instrument(s)	Negotiations Underway under IGC mandate for 2010/11 complemented by the mandate of the IGC for 2012/13 as established by the WIPO General Assembly in October 2011, and the 2013 work program of the IGC as determined by the WIPO General Assembly in September 2012	Adoption of an international legal instrument(s)	Continued progress in negotiations
5	Stronger relationships with PCT users and Offices	Increased feedback from PCT users on overall system performance	Updated : 116 requests for feedback	Informal requests for feedback in every user contact	237 requests for PCT user feedback
6	Better use of the Madrid and Lisbon systems, including by developing countries and LDCs	Number of renewals (Madrid system)	Updated: 21,754 (2011)	21,300 (2012); 22,000 (2013)	21,859 (2012) 23,014 (2013)
7	Effective intellectual property protection in the gTLDs and the ccTLDs	Number of ccTLD UDRP based cases administered	Updated: 2,135 ccTLD-only cases administered by the Center (end 2011)	350 additional cases	2,788 ccTLD-only cases (cumulative per end 2013) 663 additional ccTLD-only cases

8	Enhanced understanding of the Development Agenda by Member States, IGOs, civil society and other stakeholders	Number of countries requesting technical assistance through DA projects and expressing interest in DA related activities	Projects and DA related activities in 50 countries	Projects and DA related activities in 50 countries	Projects and DA related activities in 50 countries
9	Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders	Number of Offices with IP data online in WIPO databases	Total 20 (Regional breakdown tbd)	Total 40 (Regional breakdown tbd)	35 (28 in PATENTSCOPE and seven in Global Brand Database) Offices with IP data online in WIPO databases (cumulative) PATENTSCOPE: <input type="checkbox"/> Africa (3) <input type="checkbox"/> Arab (5) <input type="checkbox"/> Asia and Pacific (4) <input type="checkbox"/> Latin America and the Caribbean (16) Global Brand Database: <input type="checkbox"/> Arab (4) <input type="checkbox"/> Asia and Pacific (3)
10	Enhanced human resource capacities able to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition	Percentage of participants satisfied with the quality of workshops and seminars on innovation and its commercialization	General feedback available, but no specific data	90%	95% (data available from post-evaluation survey probe, standard evaluation surveys, as well as direct feedback from participants)
11	Easier access to IP education	Number of new online courses / at different levels of specialization	2 (2010/11)	3	In the biennium, work was deployed to launch three new courses (Collective Management of Copyright and Related Rights; IP and Public Health; Economics of IP). Content development and e-learning adaptation did however take longer than expected.

12	Updated and globally accepted system of international classifications and WIPO standards to facilitate access, use and dissemination of IP information among stakeholders in the world	Number of amended and new standards adopted	Updated: Two Standards amended. No new Standards	Tbd end 2011	One new Standard adopted and two amended in 2012 One Standard and the Glossary amended in 2013
13	Timeliness of PATENSCOPE updates regarding PCT applications	Number of weeks per year where publication is not available at 20:00 Geneva time on publication day	zero	zero	zero
14	Enhanced access to, and use of, IP information and knowledge by IP institutions and the public to promote innovation and increased access to protected creative works and creative works in the public domain	Number of registered users of ARDI and ASPI	ARDI(24), ASPI (6)	ARDI 50 before end 2013, ASPI 20 before end 2013	ARDI (207 active users) ASPI (20 active users)
15	Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders	Number of Offices processing PCT and Madrid data with the support of WIPO supplied systems	5	20 (cumulative)	2 Offices processing PCT and Madrid data with the support of WIPO supplied systems
16	Take-up of WIPO economic analysis as an input into the formulation of IP policy	Number of citations in economic publications and government policy reports	Updated: The first World IP Report was published in November 2011, so it is too early to count citations as of end 2011	Given novelty of program, not possible to establish meaningful targets	In 2013, the two editions (2011 and 2013 editions) of the World Intellectual Property Report (publication n°944) were downloaded, altogether, 17,536 times. The second World IP Report was published in November 2013.

17	Enhanced human resource capacities able to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition	Percentage of trained enforcement officials that report satisfaction with the training provided, including guidance on strategic cooperation, and its usefulness for their professional life	No current data available	75%	The average rate of satisfaction expressed by the participants to the capacity-building activities is over 85%.
18	WIPO established as a credible source of support, assistance, and reference for information on innovation and IP in relevant public policy processes	Number and diversity of specific requests from Member States and international organizations for WIPO contributions on IP in relation to global public policy issues	One formal request (WHO)	One-two requests per year	<p>A joint event was organized with the World Bank's <i>infoDev</i> initiative and the Kenya Climate Innovation Center (KCIC), at the request of KCIC. This included a WIPO training program on technology licensing.</p> <p>Two presentations were given in the China International Small and Medium Enterprise Fair (CISMEF), Guangzhou, China and the Global South-south Development Expo in Nairobi at the request of the South-South Global Assets and Technology Exchange (SS-GATE), an initiative of UNDP. A presentation was given in Belgrade at the request of the Regional Environmental Center for Central and Eastern Europe.</p> <p>National events were organized in Thailand and Brazil upon request from the respective countries.</p> <p>Upon continued requests from the WIPO Academy, WTO, Geneva University and the</p>

					<p>Graduate Institute of International and Development Studies, the Program participated in a number of training activities on IP and Climate Change.</p> <p>In cooperation with the African Network for Drug and Diagnostics Innovation (ANDI) and pursuant to the MoU, an IP training seminar was organized for ANDI members in Geneva in November 2012.</p> <p>In cooperation with WTO and WHO, a joint technical symposium was convened in July 2013 on the topic of the changing business models of medical innovation.</p> <p>In cooperation with WTO and WHO, a trilateral study titled <i>Promoting Access to Medical Technologies and Innovation – Intersections between public health, intellectual property and trade</i>¹¹ was published in January 2013.</p>
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¹¹ http://www.wipo.int/policy/en/global_health/trilateral_cooperation.html

19	More effective communication to a broad public about intellectual property and WIPO's role	Percentage of stakeholders with a positive recognition of WIPO's mission, activities and organizational image	Updated: 65% of survey respondents perceived WIPO as the global leader in the protection and promotion of IP (Stakeholders Perceptions Survey, Jan 2012)	≥ 70%	87% of survey respondents perceived WIPO's public image as good, very good or excellent. 81% of survey respondents perceived WIPO as the global forum for the promotion of IP. (WIPO Service Orientation Survey results, August 2013)
20	WIPO effectively interacts and partners with UN and other IGO processes and negotiations	Number of joint activities/workplans implemented and reviewed in line with agreements with partner organizations (new and existing MoU's with IGOs)	Data not available	Activities:8 Workplans:4	Workplans Implemented: 4 Joint Activities with IGOs: 17 (e.g. Global Entrepreneurship Week (GEW): 2012 (WIPO, UNCTAD, ILO, UNITAR) and 2013 (UNCTAD, UNITAR, ILO, ITC, UNIGE/UNITEC, the Geneva Department for Economic Development, FER); Workshop on World Water Day (WIPO, IRENA and IGF)
21	Enhanced coordination and coherence within the Secretariat	Percentage of queries for legal advice which receive prompt, independent and reliable responses from the Office of the Legal Counsel	100%	95%	Despite an increase in the number of requests for advice as well as the fields covered, 98% of the queries received prompt and reliable responses from the OLC.
22	Efficient and effective results based programmatic and financial planning, processing, implementation, assessment and reporting	Satisfactory financial report from the External Auditors confirms the conformity of accounting operations with applicable regulations, rules and standards	Unqualified report from the External Auditor	Unqualified report from the External Auditor	An unqualified report was received from the External Auditors for 2012. At the time of publication, the results of the 2013 audit have yet to be released.

23	Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders (human resources, IT, conference, language, procurement, travel, printing and publication, premises management)	Ratio of employees (full time equivalent) to human resources staff	Updated: 29.3	One HR employee for 50 Organization's employees	Biennium: 30.75 <input type="checkbox"/> 2012: 31 <input type="checkbox"/> 2013: 30.5
24	Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders (human resources, IT, conference, language, procurement, travel, printing and publication, premises management)	Processing time for 3rd party visas	4-5 days	2-3 days	< 2 days
25	WIPO staff, delegates, visitors and information and physical assets are safe and secure	Up-to-date information security risk registry	Risk registry has been created	Risk registry revised twice a year	The Information Security Risk Registry was updated twice per each year of the biennium and was reviewed in detail in the context of the ISO 27001 certification of the PCT operations.

26	Evidence-based evaluative information is available to senior management, program managers and Member States for decision making	Evaluations are produced in line with the Evaluation Policy and Evaluation Section Procedures Manual.	Updated: 1 country portfolio evaluation (Kenya) was almost completed (draft final report received)	At least six evaluations completed in the biennium	<p>2012/13: Eight evaluations completed in the biennium.</p> <p>In 2012: Country portfolio evaluation (Kenya) was finalized, and validation report of the PPR 2010/11 (in collaboration with Audit Section) as well as four Development Agenda project evaluations were produced / presented to CDIP who agreed with / acted on the main recommendations.</p> <p>In 2013: two other evaluation reports were completed.</p> <p>All evaluation work was done according to principles and procedures of the policy, strategy and manual.</p>
27	Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders (human resources, IT, conference, language, procurement, travel, printing and publication, premises management)	Percentage of Madrid Romarin in electronic format on time	Rates at end 2011	10% improvement over baseline	<p>Madrid Romarin available on time – 100% (2012)</p> <p>This service was discontinued in early 2012.</p>

28	WIPO staff, delegates, visitors and information and physical assets are safe and secure	Percentage of timely requests for safety and security assistance at conferences or events held in or outside of Geneva	65%	80%	<p>During the biennium, a total of seven audits of external conferences/meetings were completed with assistance from the respective country offices of UN DSS and complied with all UN safety/security management system standards:</p> <p><input type="checkbox"/> Three (2012)</p> <p><input type="checkbox"/> Four (2013)</p> <p>In addition, audits were completed for two external events managed directly by WIPO. (100% of all requests were responded to in a timely manner)</p> <p>In 2012, there were two audits undertaken of External Office premises (Singapore and Tokyo).</p> <p>In 2013, the audits of the External Office premises for Rio de Janeiro and New York were postponed due to the extensive preparations leading up to and the increased demands needed for the Diplomatic Conference in Marrakesh, as well as the Extraordinary General Assemblies held in December 2013.</p>
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29	New conference hall and related facilities available for meetings of Member States	Construction of new conference hall and related facilities in compliance with the approved quality, budget and time framework	n/a	n/a	<p>Completion of the construction phase of the New Conference Hall Project (new conference hall per se, modifications to remaining two floors of the AB Building and the new access center to the WIPO campus) deferred until June-July 2014 for expected first use in September 2014.</p> <p>Completion of modifications to the basement level of the AB Building as well as one new meeting room on the AB Building mezzanine in September and October 2013 respectively.</p> <p>Compliance with approved and required quality standards and budgetary limits continued to be closely monitored by the Pilot, Construction Management and Coordination Committee and the Construction Committee.</p>
30	Enhanced access to, and use of, IP information and knowledge by IP institutions and the public to promote innovation and increased access to protected creative works and creative works in the public domain	Number of Member States that have developed their IP framework and established TTOs	Framework pilot project adopted and funding committed	8 TTOs	<p>For this Performance Indicator, “established” includes initiated or in progress with participation by WIPO.</p> <p>The following Universities/Institutions were directly assisted in developing their knowledge transfer ecosystem, policy and infrastructure. 5 in Chile: National Institute of Agricultural Research (INA); Pontific Catholic University of Chile</p>

					<p>(Santiago); University of Concepción; Pontific Catholic University of Valparaiso and University of La Frontera and 2 in Georgia: Ivane Javakhishvili Tbilisi State University and Georgian Technology Transfer Center, followed by the Plan of Action;</p> <p>In addition Assessment of Needs was done for implementation of TTO project in Tunisia, addressing technology needs of following institutions: Institut Pasteur”, University of Monastir, Centre of Biotechnology of Sfax, National Center for Leather and Shoes and Techno-Park “El Ghazala.</p> <p>A regional meeting was held in Zagreb, advising the following 7 countries of establishment of TTOs: Bosnia and Herzegovina, Croatia, Hungary, Macedonia, Montenegro, Serbia and Slovenia.</p> <p>Accordingly, at least 10 countries, including at least 8 specific TTOs, developed their IP framework as described.</p>
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31	Wider and better use of the Hague system	Number of registrations, designs contained in registrations, renewals and other recordings	<p>Updated:</p> <p>New Registrations 2,363</p> <p>Designs contained 11,077</p> <p>Renewals 2,821</p> <p>Other recordings 4,326</p>	<p>New Registrations 5,000 (2012) 7,500 (2013)</p> <p>Designs contained 20,000 (2012) 25,000 (2013)</p> <p>Renewals 2,800 (2012) 2,500 (2013)</p> <p>Other recordings 8,000 (2012) 12,000 (2013)</p>	<p>New Registrations 2,440 (2012) 2,734 (2013)</p> <p>Designs contained 11,971 (2012) 12,806 (2013)</p> <p>Renewals 3,120 (2012) 2,859 (2013)</p> <p>Other recordings 3,643 (2012) 3,631 (2013)</p>
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