

Program and Budget Committee

Twenty-Eighth Session
Geneva, September 10 to 14, 2018

WIPO PERFORMANCE REPORT (WPR) 2016/17

presented by the Director General

1. The WIPO Performance Report (WPR) for 2016/17, consolidates the former Financial Management Report (FMR) and Program Performance Report (PPR) and provides a comprehensive and transparent assessment of programmatic and financial performance in the biennium 2016/17. The report eliminates the duplication of information produced in the FMR, the PPR, and the Annual Financial Report and Financial Statements. Efforts will continue to further streamline the report for the 2018/19 biennium.
2. The WPR has been prepared in accordance with Regulations 2.14 and 2.14bis of the Financial Regulations and Rules approved by the Assemblies in October 2017 and reports performance against criteria established in the Program and Budget for the 2016/17 biennium. The performance data in the WPR 2016/17 have been validated by the Internal Oversight Division (IOD) (document WO/PBC/28/8).
3. The following reports previously reported in the FMR, can be found in the links that follow:
 - (a) Distribution of the Madrid Income is found in the Madrid Yearly Review 2017 http://www.wipo.int/edocs/pubdocs/en/wipo_pub_940_2017.pdf
 - (b) Distribution Hague Income is found in the Hague Yearly Review 2017 http://www.wipo.int/edocs/pubdocs/en/wipo_pub_930_2017.pdf; and

(c) Contributions and Working Capital funds is found in the Status of the Payment of Contributions and Working Capital Funds as at June 30, 2018
http://www.wipo.int/meetings/en/details.jsp?meeting_id=46433

4. The following decision paragraph is proposed.

5. The Program and Budget Committee (PBC), having reviewed the “WIPO Performance Report (WPR) 2016/17” (document WO/PBC/28/7), recommended that the Assemblies of WIPO note the positive financial and programmatic performance of the Organization in the Biennium 2016/17.

[WIPO Performance Report 2016/17 follows]

World Intellectual Property Organization

WIPO Performance Report 2016/17

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INTRODUCTION

The WIPO Performance Report (WPR) for 2016/17 is a new streamlined report, consolidating the former Financial Management Report (FMR) and Program Performance Report (PPR), which provides a comprehensive and transparent assessment of financial and programmatic performance in the biennium 2016/17. The report eliminates the duplication of information produced in the FMR, the PPR, and the Annual Financial Report and Financial Statements, while ensuring no loss of information, thus resulting in improved efficiencies and productivity benefits within the Secretariat. For ease of comparability, the layout of the report has been aligned with that of the Program and Budget.

The look and feel of the WPR has been enhanced to improve readability and presentation through the use of more graphic visualizations of results, comprehensive financial and programmatic performance dashboards for each Strategic Goal and Program, and a high-level, aggregated view of the results of cost efficiency measures implemented in the biennium. The Results and Resources section highlights more visibly the key accomplishments in 2016/17 by Strategic Goal, incorporating an overview of budget and actual expenditure by Program.

For the first time, the report includes an overview of WIPO's Results Framework with actual expenditure including the development expenditure by Result. Other enhancements include strengthened reporting on the implementation of the Funds-in-Trust (FIT) and reporting on Capital Master Plan projects.

I. FINANCIAL AND RESULTS OVERVIEW

The Organization's Program and Budget (P&B) IPSAS result (P&B operating result) for the biennium 2016/17 amounted to 63.5 million Swiss francs, with total income of 782.3 million Swiss francs and total expenditure of 718.8 million Swiss francs (IPSAS basis). The operating result represented an increase of 42.7 million Swiss francs, as compared to the Program and Budget 2016/17, which was mainly due to higher-than-budgeted fee income of 34.1 million Swiss francs and lower than budgeted expenditure of 8.6 million Swiss francs. The surplus for the biennium amounted to 55.9 million Swiss francs.

In 2016/17, WIPO generated 92.9 per cent of its income from fees paid by users of its international intellectual property (IP) systems for patents, trademarks and industrial designs, the PCT, Madrid and the Hague Systems. The main contributors to income were the PCT System representing 75 per cent of the total income, followed by the Madrid System representing 17 per cent of the total revenue.

WIPO's net assets, consisting of its Reserves and Working Capital Funds, totaled 202.7 million Swiss francs at the end of 2017. Following the implementation of IPSAS 39, WIPO's net assets include actuarial gains/losses recorded through Net Assets totaling 138.7 million Swiss francs.

Table 1. Key Financials 2016/17
(in millions of Swiss francs)

| Key Financials | 2016/17 Program & Budget | 2016/17 Actuals & IPSAS adjustments | Difference 2016/17 Program & Budget vs. 2016/17 Actuals | |
|---|--------------------------------|--|--|--------------|
| | | | Amount | % |
| Income | 756.3 | 807.5 | 51.3 | 6.8% |
| IPSAS adjustment to Income | (8.1) | (25.3) | (17.2) | |
| Total Income after IPSAS adjustments | 748.2 | 782.3 | 34.1 | 4.6% |
| Expenditure | 707.0 | 688.7 | (18.3) | -2.6% |
| <i>Personnel expenditure</i> | 456.6 | 431.6 | (25.0) | -5.5% |
| <i>Non-personnel expenditure</i> | 250.5 | 257.1 | 6.7 | 2.7% |
| IPSAS adjustment to expenditure ¹ | 20.4 | 30.1 | 9.7 | |
| Total Expenditure after IPSAS adjustments | 727.4 | 718.8 | (8.6) | -1.2% |
| P&B IPSAS Result (operating result) | 20.8 | 63.5 | 42.7 | 205% |
| Miscellaneous Income projects financed from reserves² | - | 0.0 | 0.0 | |
| Expenditure on projects financed from reserves | 23.7 | 9.7 | (14.1) | -59.2% |
| IPSAS adjustments to projects financed from reserves | (18.1) | (2.1) | 16.0 | -88.5% |
| Total Expenditure (excl. special accounts) | 733.1 | 726.4 | (6.7) | -0.9% |
| Surplus / (Deficit) (excl. special accounts) | 15.1 | 55.9 | 40.8 | 269% |
| Special accounts contributions | 14.0 | 20.7 | 6.6 | 47.4% |
| IPSAS adjustment to Special accounts contributions | - | (1.8) | (1.8) | |
| Special accounts expenditures | 14.0 | 21.0 | 7.0 | 50.0% |
| IPSAS adjustment to Special accounts expenditures | - | (2.1) | (2.1) | |
| Surplus / (Deficit) | 15.1 | 55.9 | 40.8 | 269% |

Net assets

| | |
|--|--------------|
| Restated Net Assets as at December 31, 2015 - Actuarial Gains/(losses) excluded | 285.2 |
| Surplus / (Deficit) ¹ | 55.9 |
| Return of Working Capital Funds | (2.0) |
| Revaluation of land | 2.2 |
| Net Assets as at December 31, 2017 - Actuarial Gains/(losses) excluded | 341.3 |
| Actuarial Gains/(Losses) through Net Assets as at December 31, 2017 | (138.7) |
| Net Assets as at December 31, 2017 | 202.7 |

¹ Includes adjustment of 5.3 million Swiss francs for 2016 personnel expenditure, as a result of the adoption of IPSAS 39² Miscellaneous income from projects financed from reserves amounted to 4,000 Swiss francs
Note: Total might not add up due to rounding

Table 2. Income in 2016/17
(in millions of Swiss francs)

| Income | 2016/17 Program & Budget (budgetary basis) | 2016/17 Program & Budget (accrual basis) ² | 2016/17 Actuals ³ | Difference 2016/17 Program & Budget (accrual basis) vs. 2016/17 Actuals | |
|---------------------------------|--|---|------------------------------|---|-------------|
| | | | | Amount | % |
| Contributions | | | | | |
| Contributions (unitary) | 34.7 | 34.7 | 35.2 | 0.4 | 1.3% |
| Subventions (Lisbon) | - | - | 1.3 | 1.3 | n/a |
| <i>Sub-total, Contributions</i> | 34.7 | 34.7 | 36.5 | 1.8 | 5.1% |
| Fees | | | | | |
| PCT System | 575.9 | 568.4 | 587.1 | 18.7 | 3.3% |
| Madrid System | 128.8 | 128.3 | 129.5 | 1.2 | 0.9% |
| Hague System | 10.3 | 10.2 | 10.0 | (0.1) | -1.3% |
| Lisbon System ¹ | 0.0 | 0.0 | 0.1 | 0.0 | 113.3% |
| <i>Sub-total, Fees</i> | 715.0 | 706.9 | 726.7 | 19.8 | 2.8% |
| Arbitration | 2.5 | 2.5 | 3.3 | 0.8 | 33.2% |
| Publications | 0.3 | 0.3 | 0.7 | 0.4 | 115.5% |
| Other | | | | | |
| Investment revenue | - | - | 4.4 | 4.4 | n/a |
| Miscellaneous | 3.8 | 3.8 | 10.7 | 6.9 | 182.3% |
| <i>Sub-total, Other</i> | 3.8 | 3.8 | 15.1 | 11.3 | 296.9% |
| TOTAL | 756.3 | 748.2 | 782.3 | 34.1 | 4.6% |

¹ Details of Lisbon fee income
(thousands of Swiss francs)

² The 2016/17 Program and Budget has been restated on an accrual basis as per Table 2 in the Program and Budget 2018/19

³ After IPSAS adjustments

PCT fee income amounted to 587.1 million Swiss francs in 2016/17, an increase of 18.7 million Swiss francs, or 3.3 per cent, as compared to the budgeted estimate (accrual basis). The number of international applications (IAs) filed under the PCT in 2016/17 was 476,413¹, i.e. a 5.5 per cent increase, as compared to the budgeted estimate for the biennium. Three telecom giants from China and the United States of America led this increase.

Madrid fee income amounted to 129.5 million Swiss francs in 2016/17, an increase of 1.2 million Swiss francs, or 0.9 per cent, as compared to the budgeted estimate (accrual basis). The number of registrations and renewals amounted to 159,573 in 2016/17, representing a 1.9 per cent increase, as compared to the budgeted estimate. The increase in registrations was facilitated by the Madrid Special Program which helped reduce the backlog in applications.

The Hague fee income amounted to 10 million Swiss francs in 2016/17, approximately at the same level as the budgeted estimate (accrual basis). The number of registrations and renewals amounted to 16,721 in 2016/17, representing a 4.6 per cent increase, as compared to the budgeted estimate. This was mainly driven by a higher-than-budgeted number of renewals.

¹ Please refer to Table 3 for the evolution of demand under the PCT, Madrid and the Hague Systems.

Table 3. Estimates vs. Actuals Demand for Services under the PCT, Madrid and the Hague Systems in 2016/17

| Registration Systems | 2016/17 Program & Budget | 2016/17 Actuals | Program & Budget vs. Actuals | |
|-------------------------|-----------------------------|--------------------|---------------------------------|-------|
| | | | Amount | % |
| 1. PCT System | | | | |
| IAs Filed | 451,600 | 476,413 | 24,813 | 5.5% |
| 2. Madrid System | | | | |
| Applications | 101,581 | 109,733 | 8,152 | 8.0% |
| Registrations | 96,039 | 100,993 | 4,954 | 5.2% |
| Renewals | 60,600 | 58,580 | (2,020) | -3.3% |
| 3. Hague System | | | | |
| Applications | 10,650 | 10,775 | 125 | 1.2% |
| Registrations | 10,210 | 10,274 | 64 | 0.6% |
| Renewals | 5,770 | 6,447 | 677 | 11.7% |

Assessed contributions amounted to 35.2 million Swiss francs in 2016/17, an increase of 0.4 million Swiss francs, or 1.3 per cent, as compared to the budgeted estimate (accrual basis).

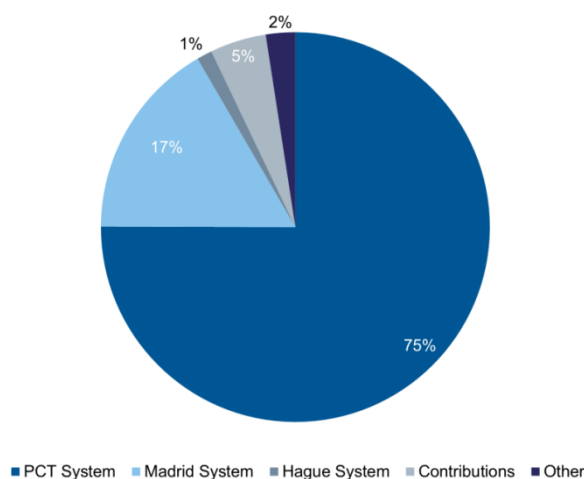
Income from the WIPO Arbitration and Mediation Center amounted to 3.3 million Swiss francs in 2016/17, an increase of 0.8 million Swiss francs, or 33.2 per cent, as compared to the budgeted estimate (accrual basis). The prime reason was a higher number of domain name cases filed in the biennium, i.e. 6,110 cases, representing an increase of 37.3 per cent, compared to the biennial target.

Subventions received from the Member States of the Lisbon Union amounted to 1.323 million Swiss francs. It is recalled that these subventions "constitute measures to eliminate the projected biennial deficit of the Lisbon Union", in line with the decision of the WIPO Assemblies adopted in October 2016.

Investment revenue reflected a gain in investments of 4.4 million Swiss francs, following the implementation of the new investment policy.

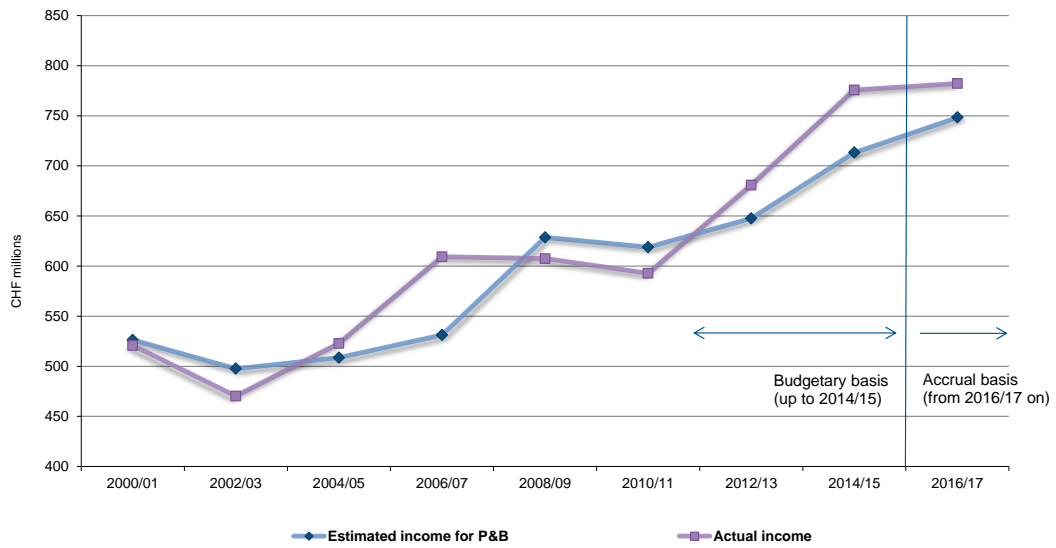
Miscellaneous income amounted to 10.7 million Swiss francs in 2016/17, an increase of 6.9 million Swiss francs, as compared to the budgeted estimate. This was primarily due to a downward adjustment of a litigation provision amounting to 4.5 million Swiss francs.

The share of income by source is illustrated in Chart I below. Fee income from the PCT, Madrid and the Hague Systems represented 92.9 per cent of total income. PCT fee income alone represented 75 per cent of total income.

Chart I. Income Share by Source in 2016/17

The overall evolution of income from 2000/01 to 2016/17 is presented in Chart II below.

Chart II. Evolution of Income from 2000/01 to 2016/17



ACTUAL EXPENDITURE INCLUDING DEVELOPMENT EXPENDITURE BY RESULT IN 2016/17

(in thousands of Swiss francs)

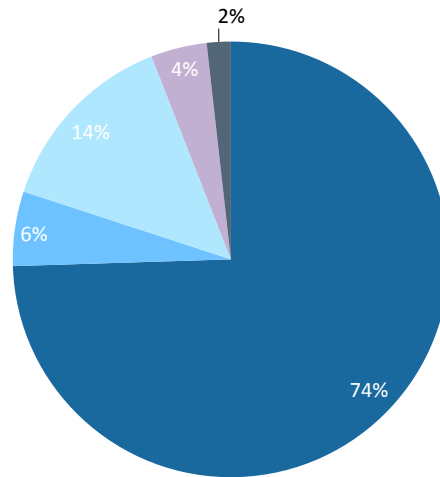
| | | | | | | | | | | | | | | | |
|--|--|---|--|---|---|--|---|--|---|--|--|-----------------------------------|--|------------------------------------|--|
| CROSS-CUTTING ISSUES | DEVELOPMENT | GENDER | SUSTAINABLE DEVELOPMENT GOALS (SDGS) | Strategic Goal VIII: A responsive communications interface between WIPO, its member states and all stakeholders | | | | | | | | | | | |
| | | | | VIII.1 More effective communication to a broad public about intellectual property and WIPO's role 12,291 (4,057) | VIII.2 Improved service orientation and responsiveness to inquiries 5,883 (2,798) | VIII.3 Effective engagement with Member States 7,441 (-) | VIII.4 Open, transparent and responsive interaction with non-governmental stakeholders 700 (-) | VIII.5 WIPO effectively interacts and partners with UN and other IGO processes and negotiations 5,787 (3,338) | Total SG VIII: 32,102 (10,193) | | | | | | |
| | | | | Strategic Goal I: Balanced Evolution of the International Normative Framework for IP | Strategic Goal II: Provision of Premier Global IP Services | Strategic Goal III: Facilitating the Use of IP for Development | Strategic Goal IV: Coordination and Development of Global IP Infrastructure | Strategic Goal V: World Reference Source for IP Information and Analysis | Strategic Goal VI: International Cooperation on Building Respect for IP | Strategic Goal VII: Addressing IP in Relation to Global Policy Issues | | | | | |
| | | | | I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP 14,407 (9,006) | II.1 Wider and more effective use of the PCT system for filing international patent applications 26,500 (6,702) | III.1 National innovation and IP strategies and plans consistent with national development objectives 10,798 (10,798) | IV.1 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 6,794 (856) | V.1 Wider and better use of WIPO IP statistical information 2,442 (-) | VI.1 Progress in the international policy dialogue among WIPO Member States on building respect for IP, guided by Recommendation 45 of the WIPO Development Agenda 1,197 (802) | VII.2 IP-based platforms and tools for knowledge transfer, technology adaptation and diffusion from developed to developing countries, particularly least developed countries, to address global challenges 5,058 (3,895) | | | | | |
| | | | | I.2 Tailored and balanced IP legislative, regulatory and policy frameworks 7,493 (5,994) | II.3 Improved productivity and service quality of PCT operations 168,299 (-) | III.2 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 38,527 (37,621) | IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity 21,488 (15,160) | V.2 Wider and better use of WIPO economic analysis in policy formulation 3,958 (1,451) | VI.2 Systematic, effective and transparent cooperation and coordination between the work of WIPO and other international organizations in the field of building respect for IP 1,513 (1,135) | | | | | | |
| | | | | I.3 Increased protection of State emblems and names and emblems of International Intergovernmental Organizations 576 (-) | II.4 Wider and more effective use of the Hague System, including by developing countries and LDCs 6,459 (668) | III.3 Mainstreaming of the DA recommendations in the work of WIPO 2,311 (2,311) | IV.3 Broad geographical coverage of the content and use of WIPO Global IP Databases 1,860 (484) | | | | | | | | |
| | | | | I.4 Growing interest in WIPO as a forum for analysis of issues in relation to the international protection of patents, utility models, layout designs (topographies) of integrated circuits and confidential information 353 (-) | II.5 Improved productivity and service quality of the Hague operations 5,346 (-) | III.4 Strengthened cooperation mechanisms and programs tailored to the needs of developing countries, LDCs and countries with economies in transition 7,453 (7,021) | IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP administration 14,478 (11,423) | | | | | | | | |
| | | | | | II.6 Wider and more effective use of the Madrid System, including by developing countries and LDCs 16,719 (9,851) | III.5 Enhanced understanding of the DA by Member States, IGOs, civil society and other stakeholders 1,058 (1,058) | | | | | | | | | |
| | | | | | II.7 Improved productivity and service quality of Madrid operations 40,676 (541) | III.6 Increased capacity of SMEs to successfully use IP to support innovation 3,014 (3,014) | | | | | | | | | |
| | | | | | II.8 International and domestic intellectual property disputes are increasingly prevented or resolved through WIPO mediation, arbitration and other alternative dispute resolution methods 4,112 (557) | | | | | | | | | | |
| | II.9 Effective intellectual property protection in the gTLDs and the ccTLDs 6,579 (100) | | | | | | | | | | | | | | |
| | II.10 Wider and more effective use of the Lisbon System, including by developing countries and LDCs 957 (581) | | | | | | | | | | | | | | |
| | II.11 Improved productivity and service quality of Lisbon operations 475 (-) | | | | | | | | | | | | | | |
| Total SG I: 22,829 (14,999) | | | | Total SG II: 276,121 (18,998) | | Total SG III: 63,161 (61,823) | | Total SG IV: 44,620 (27,923) | | Total SG V: 6,399 (1,451) | | Total SG VI: 2,710 (1,937) | | Total SG VII: 5,058 (3,895) | |
| Contributing to: | | | | | | | | | | | | | | | |
| Strategic Goal IX: Efficient administrative and financial support structure to enable WIPO to deliver its programs | | | | | | | | | | | | | | | |
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders 165,852 (-) | IX.2 An agile and smooth functioning Secretariat with a well-managed and appropriately skilled workforce which is effectively delivering results 42,891 (-) | IX.3 An enabling working environment supported by an effective regulatory framework and appropriate channels to address staff concerns 3,067 (-) | IX.4 An environmentally and socially responsible Organization in which WIPO staff, delegates, visitors and information and physical assets are safe and secure 17,686 (-) | IX.8 Improved accountability, organizational learning, value for money, stewardship, internal control and corporate governance through assistance from effective and independent oversight 6,202 (673) | Total SG IX: 235,698 (673) | | | | | | | | | | |

- Development expenditure: Expenditure is qualified as "development expenditure" only where the beneficiary is a developing country and the equivalent expenditure is not available for developed countries (consistent with past practice, countries with economies in transition are included). Refer to paragraph 60 in the Program and Budget 2016/17.
 - The development expenditure figures include expenditure incurred on Development Agenda projects.
 - Totals might not add up due to rounding.

2016/17 Expenditure: **688,698**
 (Total development expenditure: **141,893**)

Results and Resources

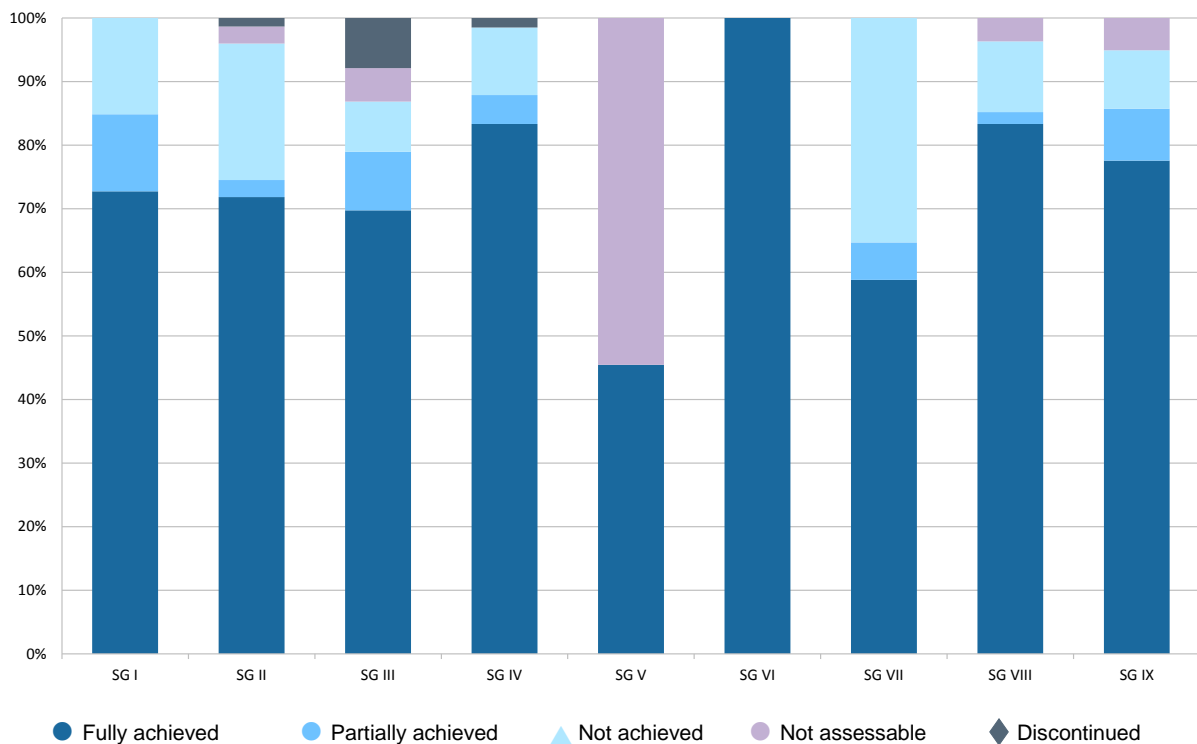
Overall View of Achievements of the Expected Results in 2016/17



● Fully achieved ● Partially achieved ▲ Not achieved ● Not assessable ◆ Discontinued

In the WPR 2016/17, out of a total of 506 Performance Indicator Evaluations (PIEs)², 377 were assessed as Fully achieved ●; 28 were assessed as Partially achieved ●; 71 were assessed as Not achieved ▲; 21 were assessed as Not assessable ●; and 9 were assessed as Discontinued ◆. The detailed performance evaluations are reported under each Program.

Consolidated View of Achievements of the Expected Results in 2016/17 by Strategic Goal



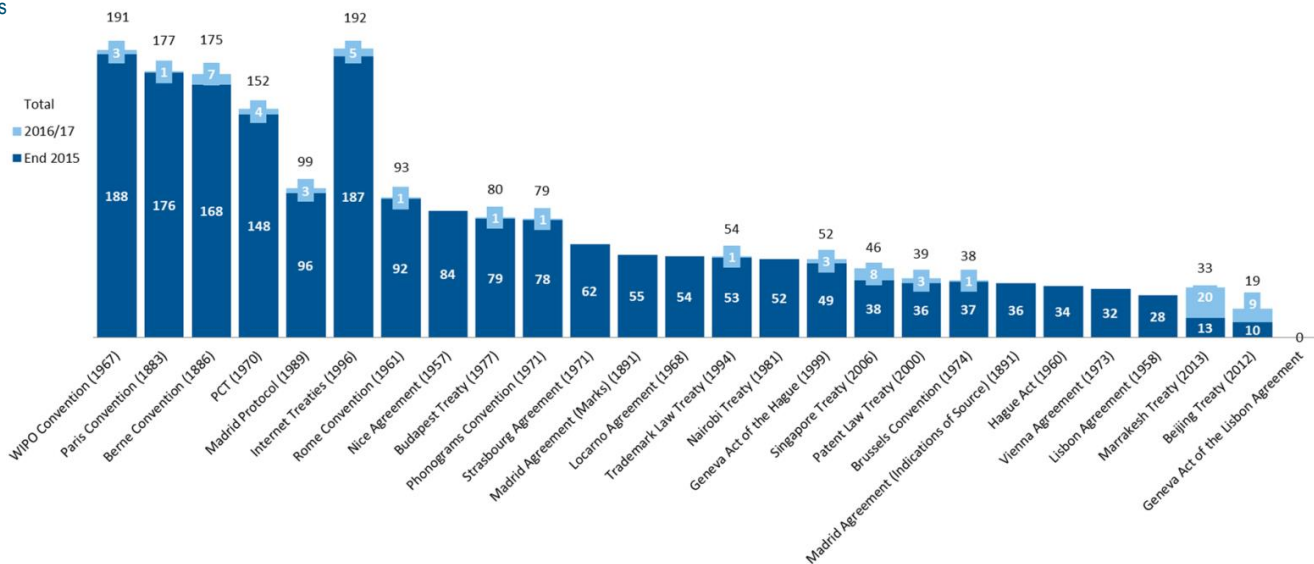
² The number of performance indicators in 2016/17 amounts to 287.



71 ratifications/
accessions to
WIPO-
administered
treaties

Development of a Balanced International Normative Framework for IP

- A major accomplishment for the biennium was the entering into force of the Marrakesh Treaty on September 30, 2016, with 25 Contracting Parties. By the end of the biennium, there were a total of 33 Contracting Parties to the Treaty.
- Overall, WIPO's 26 administered treaties saw a total of 71³ accessions or ratifications during the biennium.



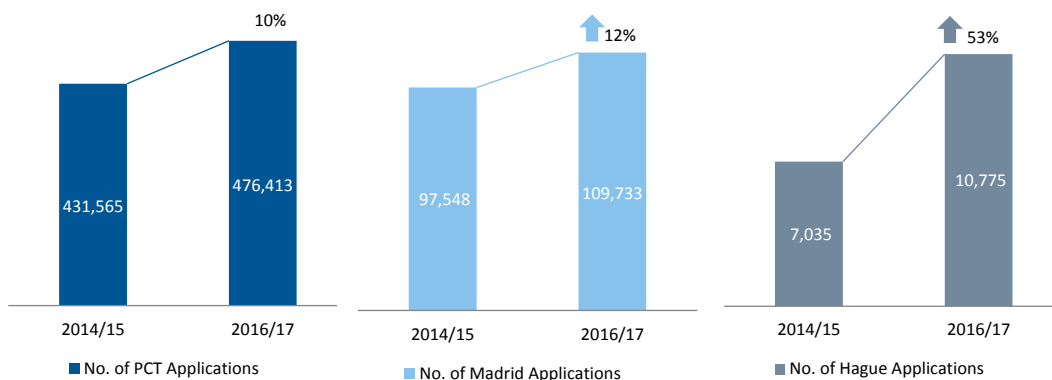
Note: The total number of ratifications to the Internet treaties amounted to 192 at the end of the biennium, of which 96 to the WCT and 96 to the WPPT.



Record years in
the use of
WIPO's IP
services

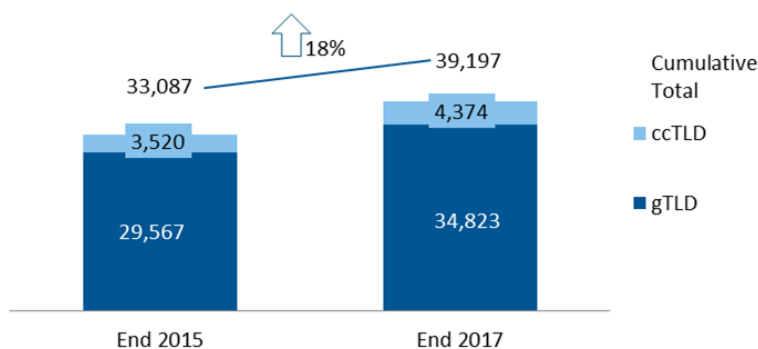
Global IP Services

- The biennium represented record years for WIPO's international registration systems, demonstrating considerable growth for the seventh and eighth consecutive years. As compared to 2014/15, the PCT and the Madrid Systems saw 10 per cent and 12 per cent growth rates in applications, respectively. The Hague System saw a 53 per cent increase in applications in 2016/17, as compared to 2014/15.
- The PCT saw the 150th Contracting State (Djibouti) deposit its instrument of accession in 2016/17, finishing the biennium with a total of 152 Contracting States.
- Representing a landmark moment for the Madrid System, the 100th instrument of accession (Indonesia) was deposited in October 2017 and will enter into force in 2018.



³ The data for the Singapore Treaty, the Madrid Protocol and the Geneva Act of the Hague Agreement reflect the date of entry into force as opposed to the date of deposit of instrument.

- The WIPO Arbitration and Mediation Center (WIPO Center) recorded a record number of filings in both 2016 and 2017 (3,036 and 3,074, respectively). WIPO UDRP-based cases involved parties from 125 countries and were administered in 17 different languages. Since the WIPO Center administered its first UDRP case in 1999, total WIPO case filings passed the 39,000 mark in 2017, encompassing over 73,000 domain names.



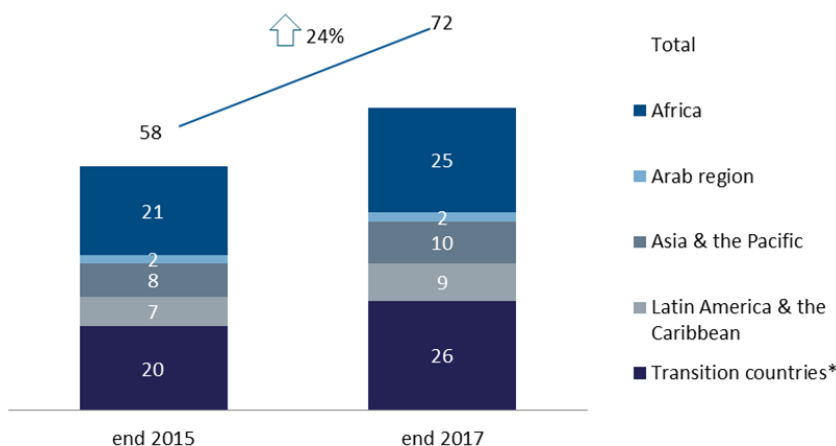
- In addition to domain name cases, the WIPO center in 2016/2017 received a total of 112 mediation and arbitration cases, covering a wide range of IP disputes.



14 additional national IP strategies adopted

Facilitating the Use of IP for Development

- An additional 14 national IP strategies/development plans were adopted in 2016/17, for a cumulative total of 72 countries overall, of which 20 are LDCs. This represented a 24 per cent increase as compared to the end of 2015. The adoption of national IP strategies provides the basis for a comprehensive approach to empowering developing and transition countries and LDCs to harness IP for enhancing national innovation potential.

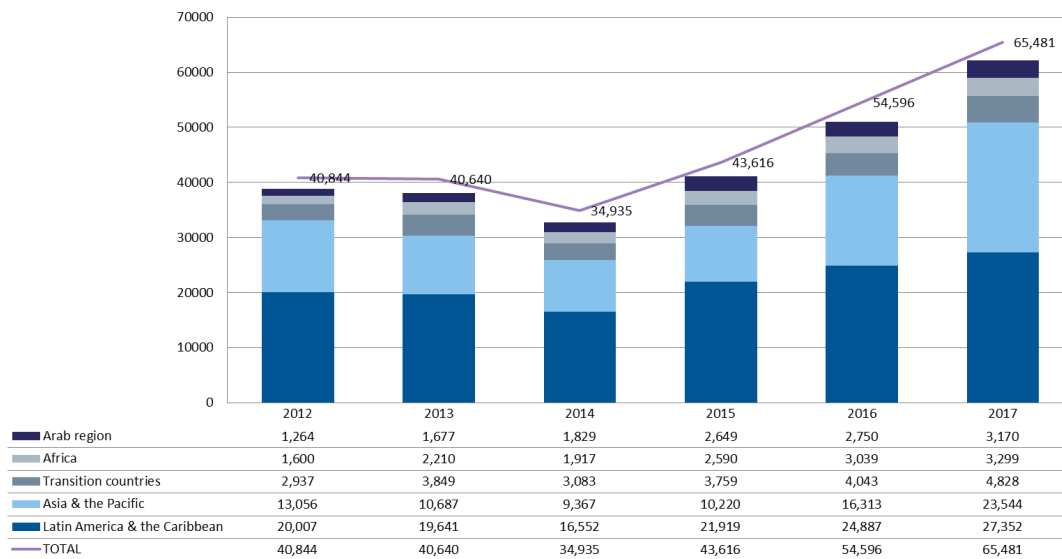


* The data for Transition countries reflects national IP strategies and national strategies for socio-economic and scientific research development.

- The project on Appropriate Technology⁴ was completed and evaluated in 2016/17, resulting in the identification of six appropriate technologies (ATs), providing solutions to the identified development needs of three beneficiary countries (Ethiopia, Rwanda and the Republic of Tanzania). In beneficiary countries from Phase I of the Project, by the end of 2017, three ATs had been commercialized in LDCs (one in Nepal and two in Zambia), and six ATs were under consideration for commercialization at the government level.
- The Inventor Assistance Program (IAP), a joint initiative with the World Economic Forum, which became operational in 2017, was implemented in Colombia, Ecuador, the Philippines, Morocco and South Africa. The network pro bono patent attorneys reached over 90 members with more that 30 inventors having benefited from the program by the end of 2017.
- The Distance Learning (DL) Program saw a 53 per cent growth rate in 2016/17 over 2014/15, with all WIPO regions showing an increase in the number of participants. The total number of participants exceeded 120,000 in 2016/17, as compared to 78,551 in 2014/15.

⁴ Capacity-Building in the Use of Appropriate Technology Specific Technical and Scientific Information as a Solution for Identified Development Challenges–Phase II

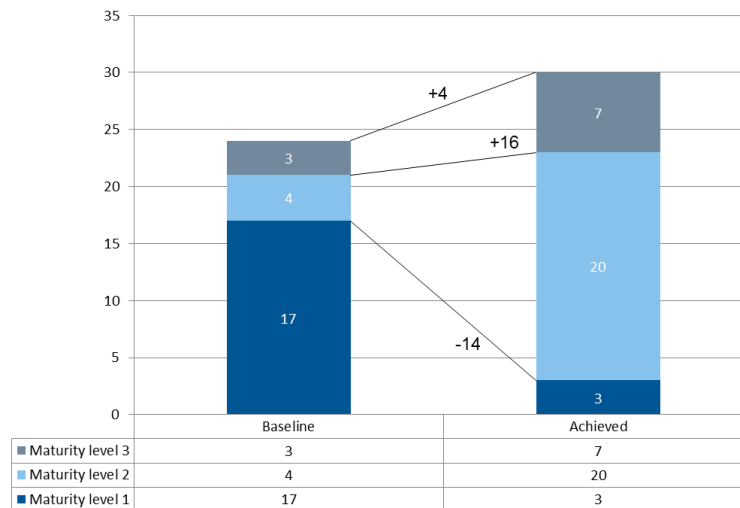
Geographical Distribution of Participants in DL Courses 2012-2017



Cutting-edge Artificial Intelligence (AI) neural machine translation tool for 9 language pairs

Global IP Infrastructure

- A new, cutting-edge Artificial Intelligence (AI)-based neural machine translation tool for translating patent documents was launched in 2016 for three language pairs, with six additional pairs added in 2017. The tool out-performs other web-based products and provided innovators worldwide with high-quality translation services and more easily accessible information on patents and new technologies.
- The number of national Technology and Innovation Support Center (TISC) networks increased by 42 per cent during the biennium, from 50 at the end of 2015 to 71 at the end of 2017. By the end of the biennium, a total of 30 national networks had met the criteria to reach one of the three maturity levels of sustainability, a 25 per cent increase over 2014/15.

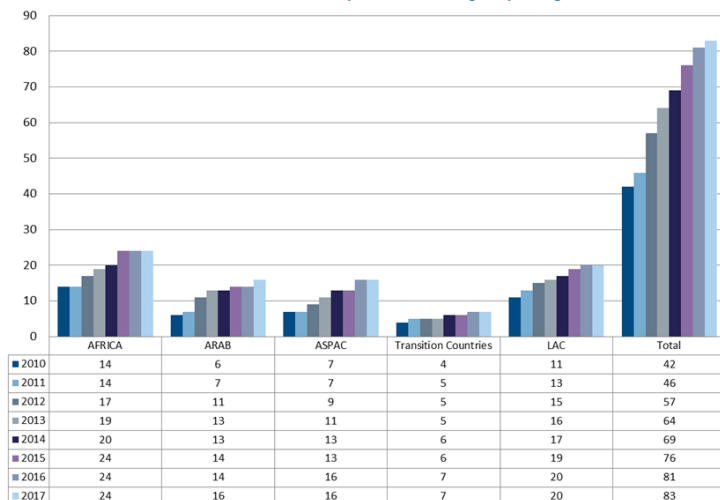


- Usage of WIPO IP Office Business Systems⁵ rose steadily in the biennium, with 83 IP Offices participating by the end of 2017, a 9 per cent increase as compared to 2015. A 98 per cent increase was observed in the number of participating IP Offices from 2010 to 2017. The Average Service Level (ASL) of IP Offices, a

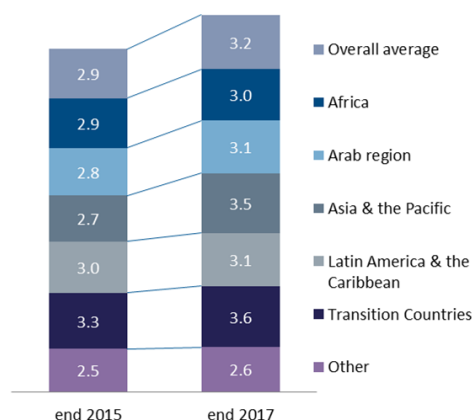
⁵ IP Office Business Systems include: IPAS (IP Administration System), AIPMS (Arab language version), WIPO Scan (digitization), EDMS (document management), WIPO File (online filing), WIPO Publish (online search database)

composite index for assessing an Office’s maturity level (from basic to most advanced) in delivering services, increased for all regions in 2016/17, with an overall ASL of 3.2, as compared to 2.9 at the end of 2015.

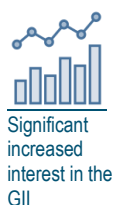
WIPO IP Office Business Systems- Usage by Region⁶



Average Service Level⁷ of IP Offices assisted

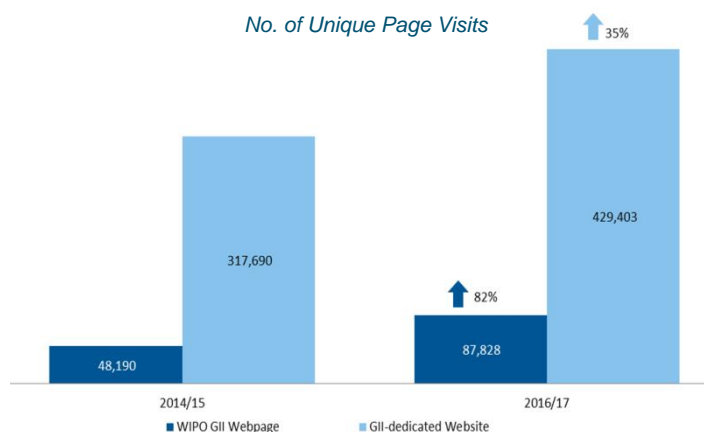


- The Accessible Books Consortium showed strong results, with the number of accessible books loaned through the ABC Global Book Service via participating libraries to their patrons increasing from 58,000 loans at the end of 2015 to 165,000 loans in 2016/17, a 184 per cent increase.



World Reference Source for IP Information and Analysis

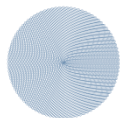
- The biennial *World Intellectual Property Report* was released in 2017, breaking new ground in providing the first ever estimates of the value of intangible capital in global manufacturing value chains.
- A significant increase in interest in the *Global Innovation Index (GII)*, co-published with Insead and the Cornell SC Johnson College of Business, was seen in 2016/17. The GII saw 11,400 media mentions in 2016 and 14,100 in 2017, and the Twitter campaigns delivered 8,500 impressions/tweets in 2016 and 10,000 impressions/tweets in 2017. This multi-channel campaign solidly positioned the GII among the leading annual studies undertaken by WIPO and the UN system as a whole. In addition, the number of unique visits to the GII websites saw significant increases that far exceeded the biennial targets.



⁶ Corrigendum: In 2015, there were six Offices in transition countries (76 Offices in total) using WIPO IP Office Business Systems and not seven Offices (77 in total) as reported in the PPR 2014/15.

⁷ For a definition of the Service Level Indicators, please refer to page 3 of the Questions and Answers (Q&A) document submitted at the 27th session of the Program and Budget committee ([WO/PBC/27/Q&A](#)).

- Coverage of WIPO’s IP statistics database increased by 4 per cent in 2016/17 to 132 Offices, as compared to 127 Offices in 2014/15. In addition, WIPO’s statistics collection widened to include information on geographical indications and on certain operational features of IP Offices.



The ACE – rich and productive international policy dialogue among Member States

Building Respect for IP

- With a view to achieving progress in the international policy dialogue among WIPO Member States on building respect for IP, the eleventh and twelfth sessions of the Advisory Committee on Enforcement (ACE) served as a forum for Member States to exchange information on national experiences and practices with regard to awareness-building activities and strategic campaigns; institutional arrangements concerning IP enforcement; legislative assistance; and capacity-building activities. The expert presentations and panel discussions resulted in rich and productive dialogue.

Addressing IP in Relation to Global Policy Issues



The first 2 deals catalyzed under WIPO’s Sustainable Technology Marketplace

- A major accomplishment in 2016/17 was the culmination of the first two deals catalyzed under WIPO GREEN-The Sustainable Technology Marketplace.
 - Kwale Water and Sewerage Company (KWAWASCO) (technology seeker from Kenya) and Swiss Quest Water Supplies Limited (technology provider): Following an initial Letter of Intent in 2016, a pilot project to implement the AquaCAPTURE Smart Meters System for KWAWASCO’s 20,000 customers was initiated. Based on the success of the project, KWAWASCO requested funds from the Water Sector Trust Fund, for the full transfer and adoption of the technology.
 - Cubo Environmental Technologies (technology seeker) and Susteq (technology provider): In 2017, a joint venture between the two companies was agreed, whereby Cubo deployed its safe water drinking water system to supply safe drinking water to 1,000 people in the village of Murang in Kenya.
- WIPO Re:Search expanded its membership and collaborations. It launched its 2017-2021 Strategic Plan, outlining its vision under four strategic goals: (i) use IP assets to advance R&D for Neglected Tropical Diseases (NTDs), malaria, and Tuberculosis (TB) through collaborations; (ii) accelerate the advancement of promising compounds or leads; (iii) enhance global capacity for IP management and biomedical R&D; and (iv) communicate the beneficial role of IP in innovation for NTDs, malaria, and TB.

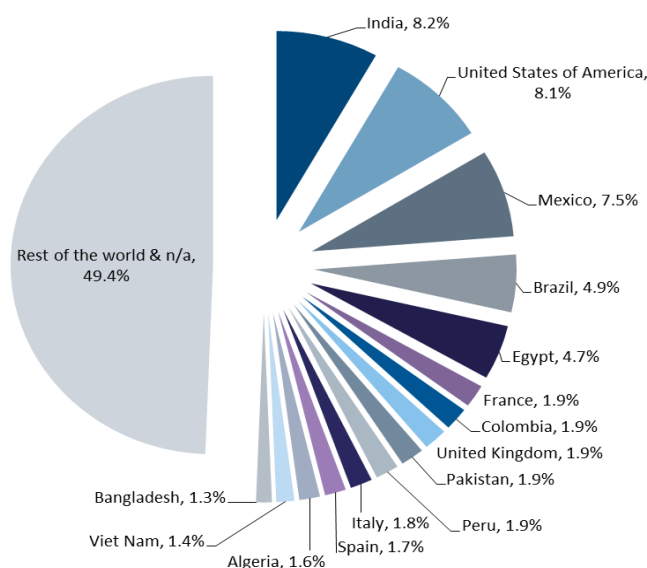
Responsive Communications Interface



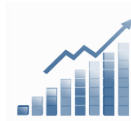
The best results in the history of the World IP Day campaign

- Multi-platform, multi-format content delivered significant increases in engagement for key WIPO events such as the Global Digital Content Market Conference (67,200 views of the most popular #GDCM tweet) and the Marrakesh Treaty entry into force (more than 103,100 views of the top tweet). The World IP Day campaign delivered the best results in its 17 year history with more than 500 events reported in 124 countries in 2017 and an organic reach of 363,800 Facebook fans. On Twitter, the rate of positive interactions with WIPO content (more than 40,400 retweets over the biennium) in relation to number of followers (more than 49,000) demonstrated strong community engagement. Views on the photos sharing platform Flickr reached an all-time high of 2.86 million in the 2016/17 biennium.

WIPO’s Global Facebook Fan Base



- WIPO’s network of External Offices (EOs) continued to function as an integral part of the Organization, bringing WIPO’s services and cooperation closer to Member States, stakeholders and partners thus enhancing efficiency and effectiveness of program delivery, as well as responding to the specific needs and priorities of the countries and/or regions they serve. In 2016/17, the Offices focused efforts on promotion of WIPO’s international registration systems, platforms and IP Office systems, as well as strengthening relationships with a variety of stakeholders.
- Following the Member States’ agreement at the WIPO Assemblies in 2016 to establish two new EOs in Algeria and Nigeria, negotiations on privileges, immunities and facilities for WIPO and its staff to be deployed to Algeria and Nigeria were concluded and the WIPO Coordination Committee approved the respective host country agreements at its session in October 2017.

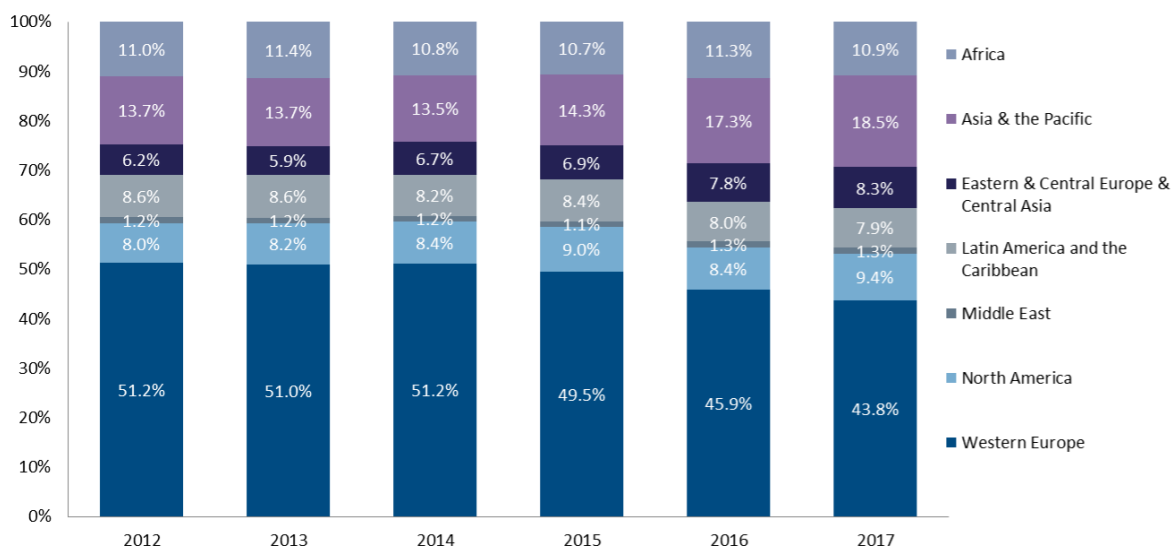


Implementation of the new investment policy approved by Member States, shielding WIPO from the impact of negative interest rates

Efficient Administrative and Financial Support Structure

- Implementation of the investment policy approved by Member States in October 2017 was largely completed by the end of 2017, including the withdrawal of all of the Organization’s cash held with the *Administration Fédérale des Finances (AFF)* by December 14, 2017. The timely implementation of the policy coupled with the successful execution of the Organization’s investment strategies and the guidance of the Advisory Committee on Investments (ACI) shielded WIPO from the impact of negative interest charges.
- WIPO’s geographical diversity among staff in 2016/17 saw the number of Member States represented reach an all-time high of 120. The proportion of staff members from certain regions, in particular Asia and the Pacific, Eastern and Central Europe and Central Asia, as well as North America, increased, balanced by a 5.7 per cent decrease from 2015 in the percentage of staff members from Western Europe, who no longer make up over half of the Professional and higher categories.

Geographical Diversity of WIPO Staff (Professional and Higher Categories) by Region



- Responding to the continuously evolving cyber threat environment, WIPO pursued the implementation of a number of Information Assurance (IA) strategies to strengthen its IA capabilities allowing the Organization to provide high quality and secure IP solutions to its Member States and customers. These strategies focused on developing a security-focused culture, adopting a business-focused risk management approach, limiting exposure and ensuring continuous compliance and enhancing situational awareness and response capability.

Budget vs. Expenditure by Program and Cost Category

Table 4. Budget vs. Expenditure by Program in 2016/17
(in thousands of Swiss francs)

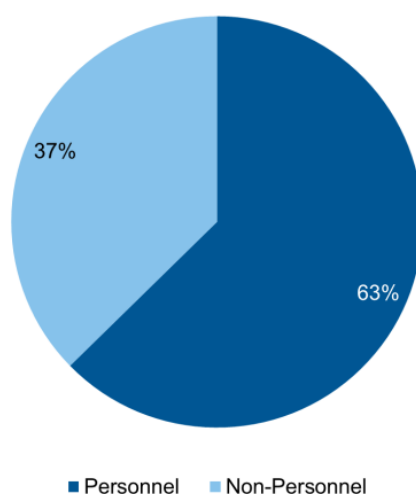
| | Programs | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Final Budget after Transfers vs. Expenditure | |
|----|--|-------------------------------|--|------------------------|---|--------------|
| | | | | | Amount | % |
| 1 | Patent Law | 5,291 | 5,044 | 5,019 | (25) | -0.5% |
| 2 | Trademarks, Industrial Designs and Geographical Indications | 4,854 | 4,883 | 4,826 | (57) | -1.2% |
| 3 | Copyright and Related Rights | 16,733 | 17,240 | 16,923 | (317) | -1.8% |
| 4 | Traditional Knowledge, Traditional Cultural Expressions and Genetic Resources | 6,115 | 6,760 | 6,338 | (422) | -6.2% |
| 5 | The PCT System | 208,209 | 204,097 | 192,770 | (11,327) | -5.5% |
| 6 | Madrid System | 58,106 | 57,102 | 56,429 | (673) | -1.2% |
| 7 | WIPO Arbitration and Mediation Center | 11,358 | 10,916 | 10,369 | (547) | -5.0% |
| 8 | Development Agenda Coordination | 3,671 | 3,421 | 3,179 | (242) | -7.1% |
| 9 | Africa, Arab, Asia and the Pacific, Latin America and the Caribbean Countries, Least Developed Countries | 31,907 | 30,282 | 29,718 | (564) | -1.9% |
| 10 | Transition and Developed Countries | 7,919 | 8,073 | 7,703 | (370) | -4.6% |
| 11 | The WIPO Academy | 13,083 | 13,220 | 12,437 | (783) | -5.9% |
| 12 | International Classifications and Standards | 7,070 | 7,048 | 6,794 | (254) | -3.6% |
| 13 | Global Databases | 5,758 | 8,000 | 7,173 | (828) | -10.3% |
| 14 | Services for Access to Information and Knowledge | 6,990 | 7,449 | 7,353 | (96) | -1.3% |
| 15 | Business Solutions for IP Offices | 13,806 | 14,117 | 13,926 | (191) | -1.4% |
| 16 | Economics and Statistics | 6,072 | 6,453 | 6,399 | (54) | -0.8% |
| 17 | Building Respect for IP | 3,752 | 3,910 | 3,990 | 80 | 2.1% |
| 18 | IP and Global Challenges | 6,323 | 6,059 | 6,169 | 109 | 1.8% |
| 19 | Communications | 16,483 | 16,584 | 16,233 | (351) | -2.1% |
| 20 | External Relations, Partnerships and External Offices | 12,395 | 12,269 | 11,409 | (859) | -7.0% |
| 21 | Executive Management | 20,675 | 19,680 | 20,006 | 326 | 1.7% |
| 22 | Program and Resource Management | 33,276 | 32,387 | 30,852 | (1,535) | -4.7% |
| 23 | Human Resources Management and Development | 24,617 | 28,854 | 33,427 | 4,573 | 15.8% |
| 24 | General Support Services | 47,216 | 53,966 | 54,139 | 172 | 0.3% |
| 25 | Information and Communication Technology | 52,032 | 49,255 | 48,199 | (1,055) | -2.1% |
| 26 | Internal Oversight | 5,358 | 5,163 | 4,781 | (382) | -7.4% |
| 27 | Conference and Language Services | 38,925 | 36,577 | 35,307 | (1,269) | -3.5% |
| 28 | Information Assurance, Safety and Security | 17,733 | 19,062 | 18,599 | (463) | -2.4% |
| 30 | SMEs and Entrepreneurship Support | 6,083 | 6,206 | 6,047 | (159) | -2.6% |
| 31 | The Hague System | 7,572 | 11,466 | 10,872 | (594) | -5.2% |
| 32 | Lisbon System | 1,335 | 1,331 | 1,311 | (20) | -1.5% |
| | Unallocated | 6,319 | 164 | - | (164) | |
| | TOTAL | 707,036 | 707,036 | 688,698 | (18,338) | -2.6% |

Note 1: 2016/17 expenditure refers to actual expenditure pre-IPSAS adjustments.

Note 2: Detailed analysis on budget variances and budget utilization is incorporated in the resource utilization section under each Program.

Overall personnel and non-personnel expenditure amounted to 688.7 million Swiss francs in 2016/17 on a budgetary basis, i.e. 18.3 million Swiss francs, or 2.6 per cent, below the Approved Budget for the biennium 2016/17. This was mainly due to savings in personnel costs (25 million Swiss francs) resulting primarily from a higher-than-budgeted vacancy rate and lower travel expenses (4.6 million Swiss francs), partially offset by higher finance costs following the early repayment of a commercial loan (7 million Swiss francs) and higher-than-budgeted expenditure related to the refurbishment of the WIPO campus (6.8 million Swiss francs).

Chart III. Share of Personnel and Non-Personnel Expenditure 2016/17



Personnel Resources

Overall personnel expenditure amounted to 431.6 million Swiss francs on a budgetary basis, i.e. 25 million Swiss francs, or 5.5 per cent, below the Approved Budget for the biennium 2016/17. This was the net result of savings in salaries partially offset by higher-than-budgeted expenditure in other personnel cost categories.

Salaries amounted to 279.8 million Swiss francs, i.e. 32.5 million Swiss francs, or 10.4 per cent, below the Approved Budget. The savings were mainly driven by a higher-than-budgeted vacancy rate (6 per cent on average during the period under review versus a budgeted vacancy rate of 3 per cent) amounting to savings of 29.6 million Swiss francs, and part-time working arrangements.

UNJSPF contributions amounted to 53.1 million Swiss francs, i.e. 5.6 million Swiss francs, or 9.5 per cent, below the Approved Budget. The savings were due to lower expenditure on salaries (vacancies) and lower-than-budgeted exchange rates.

Table 5. Budget vs. Expenditure by Cost Category in 2016/17
(in thousands of Swiss francs)

| Cost Categories | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Final Budget after Transfers vs. Expenditure | |
|---|-------------------------------|--|------------------------|---|---------------|
| | | | | Amount | % |
| A. Personnel Resources | | | | | |
| Posts | 420,411 | 402,923 | 399,942 | (2,981) | -0.7% |
| Temporary staff | 29,719 | 27,272 | 24,233 | (3,039) | -11.1% |
| Other Staff Costs | 2,120 | 5,120 | 7,397 | 2,277 | 44.5% |
| Sub-total, A. w/out Unallocated | 452,250 | 435,315 | 431,573 | (3,742) | -0.9% |
| Unallocated (Personnel) | 4,319 | 164 | - | (164) | - |
| Total, A | 456,569 | 435,479 | 431,573 | (3,906) | -0.9% |
| B. Non-personnel Resources | | | | | |
| Interns and WIPO Fellowships | | | | | |
| Internships | 765 | 1,204 | 967 | (237) | -19.7% |
| WIPO Fellowships | 5,533 | 6,680 | 6,141 | (539) | -8.1% |
| <i>Sub-total</i> | <i>6,297</i> | <i>7,884</i> | <i>7,108</i> | <i>(776)</i> | <i>-9.8%</i> |
| Travel, Training and Grants | | | | | |
| Staff Missions | 12,956 | 12,080 | 10,066 | (2,014) | -16.7% |
| Third-party Travel | 15,260 | 15,781 | 14,188 | (1,593) | -10.1% |
| Training and Related Travel Grants | 3,129 | 2,704 | 2,519 | (185) | -6.8% |
| <i>Sub-total</i> | <i>31,346</i> | <i>30,565</i> | <i>26,773</i> | <i>(3,792)</i> | <i>-12.4%</i> |
| Contractual Services | | | | | |
| Conferences | 6,878 | 7,795 | 7,366 | (430) | -5.5% |
| Publishing | 323 | 404 | 81 | (323) | -80.0% |
| Individual Contractual Services | 26,391 | 26,399 | 23,872 | (2,527) | -9.6% |
| Other Contractual Services | 120,468 | 131,517 | 121,328 | (10,189) | -7.7% |
| <i>Sub-total</i> | <i>154,060</i> | <i>166,115</i> | <i>152,646</i> | <i>(13,469)</i> | <i>-8.1%</i> |
| Finance Costs | | | | | |
| <i>Sub-total</i> | <i>7,342</i> | <i>14,189</i> | <i>14,315</i> | <i>126</i> | <i>0.9%</i> |
| Operating Expenses | | | | | |
| Premises & Maintenance | 34,278 | 38,460 | 41,092 | 2,632 | 6.8% |
| Communication | 5,379 | 4,803 | 4,290 | (513) | -10.7% |
| Representation & Other Operating Expenses | 1,073 | 1,975 | 1,772 | (204) | -10.3% |
| UN Joint Services | 1,874 | 1,903 | 1,440 | (463) | -24.3% |
| <i>Sub-total</i> | <i>42,603</i> | <i>47,141</i> | <i>48,594</i> | <i>1,453</i> | <i>3.1%</i> |
| Equipment and Supplies | | | | | |
| Furniture & Equipment | 1,635 | 1,706 | 2,302 | 596 | 35.0% |
| Supplies & Materials | 5,183 | 3,957 | 5,387 | 1,430 | 36.1% |
| <i>Sub-total</i> | <i>6,818</i> | <i>5,663</i> | <i>7,689</i> | <i>2,026</i> | <i>35.8%</i> |
| Sub-total, B. w/out Unallocated | 248,467 | 271,557 | 257,125 | (14,432) | -5.3% |
| Unallocated (Non-Personnel) | 2,000 | - | - | - | - |
| Total, B | 250,467 | 271,557 | 257,125 | 14,432) | -5.3% |
| TOTAL | 707,036 | 707,036 | 688,698 | (18,338) | -2.6% |

Note: 2016/17 expenditure refers to actual expenditure pre-IPSAS adjustments

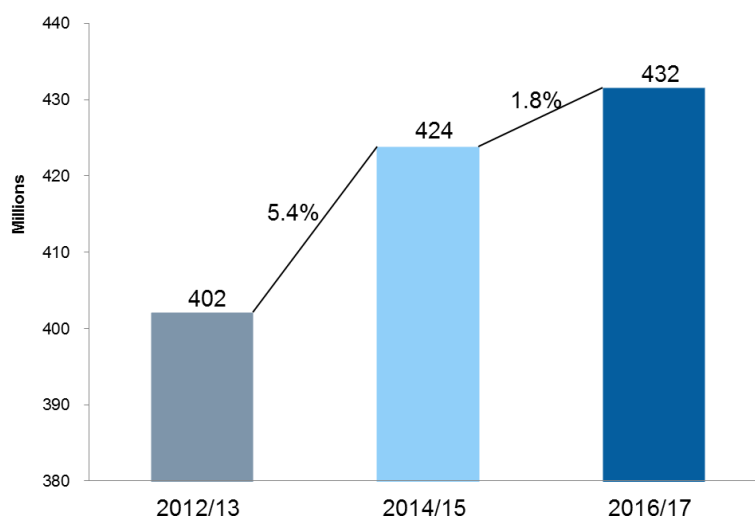
Expenditure on Benefits and Entitlements amounted to 62.2 million Swiss francs, i.e. 6.9 million Swiss francs, or 12.5 per cent, above the budgeted estimate, primarily due to: (i) the implementation of the unified salary scale which shifted the dependency allowance to the benefits and entitlement category; (ii) an 8.8 per cent increase in collective medical and accident insurance premiums; (iii) the implementation of the GS dependency allowance; and (iv) a provision for the Rewards and Recognition program.

ASHI expenditure amounted to 29 million Swiss francs, i.e. 5.2 million Swiss francs above the budgeted estimate, due to the charge of an additional 2 per cent ASHI provision at the end of the biennium.

Other Staff costs amounted to 7.4 million Swiss francs, i.e. 5.3 million Swiss francs above the budgeted estimate, primarily driven by a litigation provision of 6.2 million Swiss francs partially offset by lower-than-budgeted expenditure on the Professional Accident Insurance.

The evolution of personnel expenditure from 2014/15 to 2016/17 was contained with a marginal increase of 1.8 per cent, less than the statutory salary increases. The containment of personnel cost resulted from continuous ongoing efforts to contain such costs, including a move towards a more flexible and agile workforce.

Evolution of Personnel Expenditure (in millions of Swiss francs)



Interns and WIPO Fellowships

Overall expenditure on Interns and WIPO Fellowships amounted to 7.1 million Swiss francs in the 2016/17 biennium, i.e. 0.8 million Swiss francs, or 12.9 per cent, above the Approved Budget. The increase reflected the creation of new fellowship programs notably under Programs 13, 15 and 16.

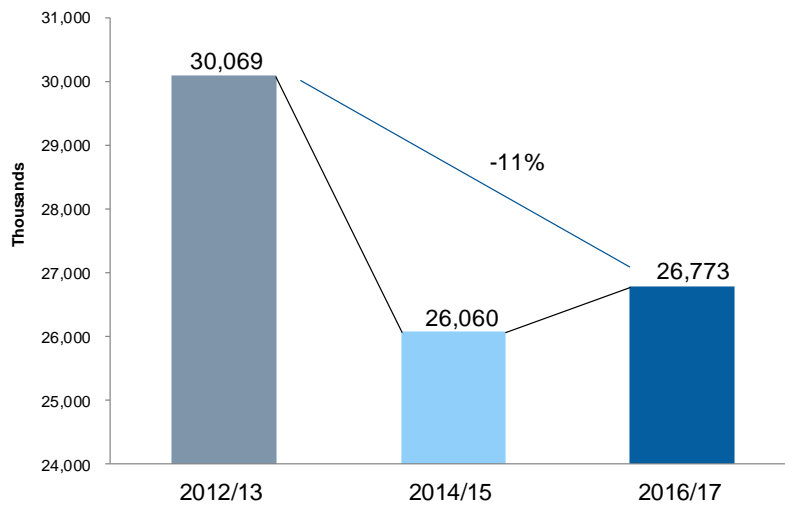
Travel, Training and Grants

Overall expenditure on Travel, Training and Grants amounted to 26.8 million Swiss francs in the 2016/17 biennium, i.e. 3.8 million Swiss francs, or 12.4 per cent, below the Final Budget after Transfers (and 4.6 million Swiss francs below the Approved Budget).

The lower expenditure was due to several factors, including: (i) increased usage of the Online Booking Tool (OBT) resulting in lower global average ticket fares; (ii) the continuation of the implementation of the new home leave policy introduced in 2014 (transitional period ended in 2017); and (iii) the postponement, cancellation and/or reduced number of participants in certain activities in Program 9 mainly in the African and Arab regions.

The expenditure on Travel, Training and Grants from 2012/13 to 2016/17 decreased by 11 per cent.

Evolution of Travel, Training and Grants (in thousands of Swiss francs)



Contractual Services

Overall expenditure on Contractual Services amounted to 152.6 million Swiss francs in the 2016/17 biennium, i.e. 1.4 million Swiss francs, or 0.9 per cent, below the Approved Budget.

The decrease was primarily under: (i) Program 25, related to savings on the United Nations International Computing Center (UNICC) services resulting from lower server hosting and storage backup costs; and (ii) Program 5, due to lower negotiated translation rates for abstracts, written opinions of the International Searching Authority and International Preliminary Reports on Patentability (IPRP) and the adoption of post-editing in the translation of abstracts from English to French. The lower expenditure was partly offset by increased costs in: (i) Program 31, to support the initial phases of the new Hague IT Platform; and (ii) Program 6, for the examination and translation of the higher-than-budgeted level of applications and the stabilization of the MIRIS platform.

Finance Costs

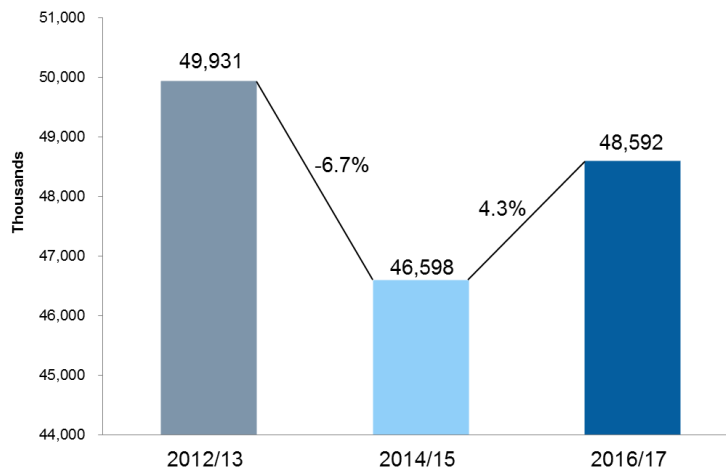
Overall Finance Costs amounted to 14.3 million Swiss francs in the 2016/17 biennium, i.e. 7.0 million Swiss francs above the Approved Budget. The expenditure was primarily comprised of interest charges incurred relating to the repayment of the commercial loan for the new building up to the date of repayment (11.6 million Swiss francs) and the interest payments for the same loans (2.3 million Swiss francs).

Operating expenses

Overall Operating Expenses amounted to 48.6 million Swiss francs in the 2016/17 biennium, i.e. 1.4 million Swiss francs or 3.1 per cent above the Final Budget after Transfers. The increase was primarily under Premises and Maintenance in Program 24 linked to several renovations in 2016/17 such as: (i) the upgrade of the medical unit to a hospital-type environment; and (ii) the completion of a single main print shop.

Operating Expenses decreased by 6.7 per cent from 2012/13 to 2014/15 due to lower expenditure on office space rental following the completion of the construction of the New Conference Hall and the New Building. The increase of 4.3 per cent from 2014/15 to 2016/17 biennium reflects expenditure linked to continuous improvements of the WIPO Campus.

Evolution of Operating Expenses (in thousands of Swiss francs)



Equipment and Supplies

Overall expenditure on Equipment and Supplies amounted to 7.7 million Swiss francs in the 2016/17 biennium, i.e. 2.0 million Swiss francs, or 35.8 per cent, above the Final Budget after Transfers. The increase was mainly observed in Program 25 due to: (i) the migration of databases to virtual platforms including Windows 10/Office 2016; (ii) desktop hardware refresh planned for deployment in 2018; (iii) new secure fax server platform deployed in the PCT improving reliability and cost efficiency in processing faxes; and (iv) deployment of a new Identity and Access Management platform and new Disaster Recovery (DR) platform for the corporate email system.

Development Expenditure

Overall development expenditure amounted to 141.9 million Swiss francs, i.e. 9.6 million Swiss francs, or 6.3 per cent, below the Approved Budget. The decrease was mainly due to the use of lower than budgeted expenditure across all Programs for the achievements of the biennial targets.

Table 6. Development Expenditure in 2016/17
(in thousands of Swiss francs)

| Programs | 2016/17 Approved Budget | | | 2016/17 Final Budget after Transfers | | | 2016/17 Expenditure | | | Final Budget after Transfers vs. Expenditure | |
|--|-------------------------|--------------|---------------------|--------------------------------------|--------------|---------------------|---------------------|--------------|---------------------|--|--------------|
| | Total | DA Projects | Total w/DA Projects | Total | DA Projects | Total w/DA Projects | Actual | DA Projects | Total w/DA Projects | Amount | % |
| 1 Patent Law | 3,546 | - | 3,546 | 3,485 | - | 3,485 | 3,386 | - | 3,386 | (99) | -2.8% |
| 2 Trademarks, Industrial Designs and Geographical Indications | 2,319 | - | 2,319 | 2,210 | 109 | 2,318 | 2,166 | 97 | 2,263 | (56) | -2.4% |
| 3 Copyright and Related Rights | 13,003 | 440 | 13,443 | 13,165 | 554 | 13,719 | 13,051 | 393 | 13,444 | (275) | -2.0% |
| 4 Traditional Knowledge, Traditional Cultural Expressions and Genetic Resources | 4,891 | - | 4,891 | 5,416 | - | 5,416 | 5,046 | - | 5,046 | (370) | -6.8% |
| 5 The PCT System | 5,845 | - | 5,845 | 6,029 | - | 6,029 | 5,835 | - | 5,835 | (194) | -3.2% |
| 6 Madrid System | 11,117 | - | 11,117 | 10,203 | - | 10,203 | 9,693 | - | 9,693 | (510) | -5.0% |
| 7 WIPO Arbitration and Mediation Center | 594 | - | 594 | 565 | - | 565 | 533 | - | 533 | (32) | -5.7% |
| 8 Development Agenda Coordination | 3,671 | - | 3,671 | 3,421 | - | 3,421 | 3,179 | - | 3,179 | (242) | -7.1% |
| 9 Africa, Arab, Asia and the Pacific, Latin America and the Caribbean Countries, Least Developed Countries | 31,348 | 559 | 31,907 | 29,723 | 559 | 30,282 | 29,300 | 418 | 29,718 | (564) | -1.9% |
| 10 Transition and Developed Countries | 6,368 | - | 6,368 | 6,134 | - | 6,134 | 5,854 | - | 5,854 | (280) | -4.6% |
| 11 The WIPO Academy | 12,583 | 500 | 13,083 | 12,720 | 500 | 13,220 | 12,358 | 78 | 12,437 | (783) | -5.9% |
| 12 International Classifications and Standards | 1,078 | - | 1,078 | 894 | - | 894 | 856 | - | 856 | (38) | -4.3% |
| 13 Global Databases | 1,440 | - | 1,440 | 3,002 | - | 3,002 | 2,741 | - | 2,741 | (261) | -8.7% |
| 14 Services for Access to Information and Knowledge | 4,995 | 450 | 5,445 | 4,663 | 450 | 5,113 | 4,624 | 371 | 4,995 | (118) | -2.3% |
| 15 Business Solutions for IP Offices | 11,896 | - | 11,896 | 11,100 | - | 11,100 | 10,872 | - | 10,872 | (229) | -2.1% |
| 16 Economics and Statistics | 950 | 575 | 1,525 | 892 | 638 | 1,530 | 919 | 532 | 1,451 | (79) | -5.2% |
| 17 Building Respect for IP | 3,207 | - | 3,207 | 3,272 | - | 3,272 | 3,341 | - | 3,341 | 68 | 2.1% |
| 18 IP and Global Challenges | 4,981 | - | 4,981 | 4,489 | - | 4,489 | 4,567 | - | 4,567 | 79 | 1.8% |
| 19 Communications | 5,566 | - | 5,566 | 5,635 | - | 5,635 | 5,494 | - | 5,494 | (142) | -2.5% |
| 20 External Relations, Partnerships and External Offices | 8,920 | - | 8,920 | 8,572 | - | 8,572 | 7,904 | - | 7,904 | (668) | -7.8% |
| 21 Executive Management | 2,346 | - | 2,346 | 279 | - | 279 | 285 | - | 285 | 6 | 2.1% |
| 22 Program and Resource Management | - | - | - | - | - | - | - | - | - | - | - |
| 23 Human Resources Management and Development | - | - | - | - | - | - | - | - | - | - | - |
| 24 General Support Services | 730 | - | 730 | 760 | - | 760 | 755 | - | 755 | (5) | -0.6% |
| 25 Information and Communication Technology | - | - | - | - | - | - | - | - | - | - | - |
| 26 Internal Oversight | 963 | - | 963 | 730 | - | 730 | 673 | - | 673 | (57) | -7.9% |
| 27 Conference and Language Services | - | - | - | - | - | - | - | - | - | - | - |
| 28 Information Assurance, Safety and Security | - | - | - | - | - | - | - | - | - | - | - |
| 30 SMEs and Entrepreneurship Support | 6,083 | - | 6,083 | 6,206 | - | 6,206 | 6,047 | - | 6,047 | (159) | -2.6% |
| 31 The Hague System | - | - | - | - | - | - | - | - | - | - | - |
| 32 Lisbon System | 534 | - | 534 | 544 | - | 544 | 526 | - | 526 | (19) | -3.4% |
| TOTAL | 148,976 | 2,524 | 151,500 | 144,110 | 2,810 | 146,920 | 140,004 | 1,889 | 141,893 | (5,027) | -3.4% |
| Development Expenditure as % of total budget | 21.1% | | | 20.4% | | | 20.3% | | | | |

Note¹: Actual development expenditure for 2016/17 is calculated in line with the definition of development expenditure in the Program and Budget 2016/17 paragraph 60.

Note²: 2016/17 expenditure refers to actual expenditure pre-IPSAS adjustments.

Table 7. Development Agenda Projects in 2016/17
(in thousands of Swiss francs)

| Projects | Programs | 2016/17 biennium | | Project | |
|---|------------|--------------------------------------|------------------------|-------------------------|--|
| | | 2016/17 Budget after Transfers | 2016/17 Expenditure | Total Project Budget | Total Project Expenditure until end 2017 |
| IP and Design Management for Business Development in Developing and LDCs | Program 2 | 109 | 97 | 487 | 448 |
| Strengthening and Development of the Audiovisual Sector in Burkina Faso and Certain African Countries-Phase II | Program 3 | 440 | 323 | 540 | 323 |
| New WIPO Activities related to using copyright to promote access to information and creative content | Program 3 | 114 | 70 | 144 | 100 |
| Capacity-Building in the Use of Appropriate Technology Specific Technical and Scientific Information as a Solution for Identified Development Challenges – Phase II | Program 9 | 239 | 216 | 468 | 350 |
| Intellectual Property and Tourism: Supporting Development Objectives and Protecting Cultural Heritage in Egypt and Other Developing Countries | Program 9 | 320 | 201 | 320 | 201 |
| Cooperation on Intellectual Property Rights Education and Professional Training with Judicial Training Institutes in Developing and Least Developed Countries | Program 11 | 500 | 78 | 500 | 78 |
| The Use of Information in the Public Domain for Economic Development | Program 14 | 450 | 371 | 800 | 371 |
| Project on Socio-Economic Development-Phase II | Program 16 | 638 | 532 | 801 | 638 |
| TOTAL | | 2,810 | 1,889 | 4,060 | 2,510 |

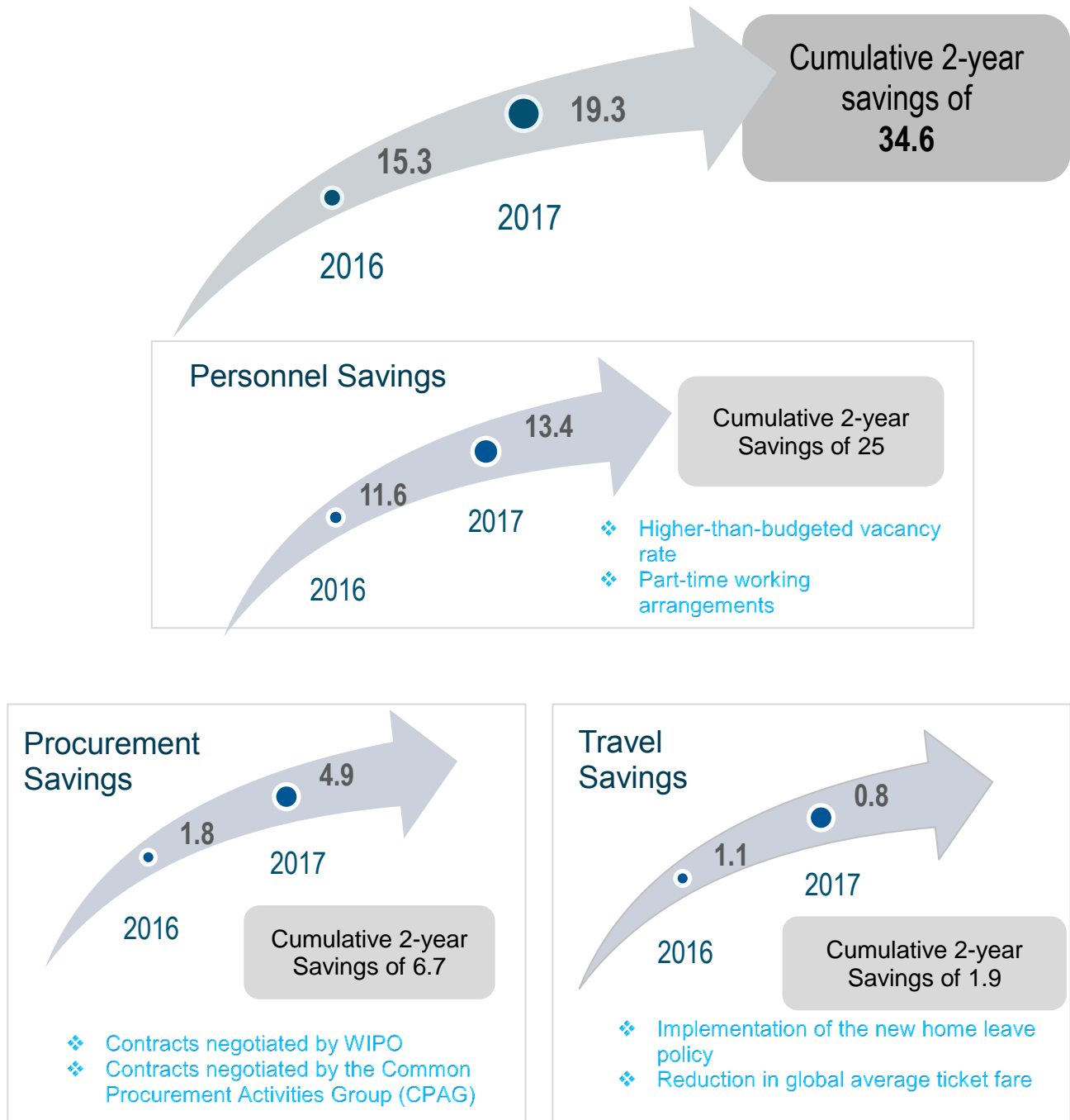
Note: 2016/17 Expenditure refers to actual expenditure pre-IPSAS adjustments.

Cost Efficiency Savings in 2016/17

Overall cost efficiencies for the biennium 2016/17 amounted to 34.6 million Swiss francs. The main contributors are illustrated in Chart IV below. A comprehensive overview of cost efficiencies in the biennium is included in Annex V.

Chart IV. Cost Efficiency Savings in 2016/17

(in millions of Swiss francs)

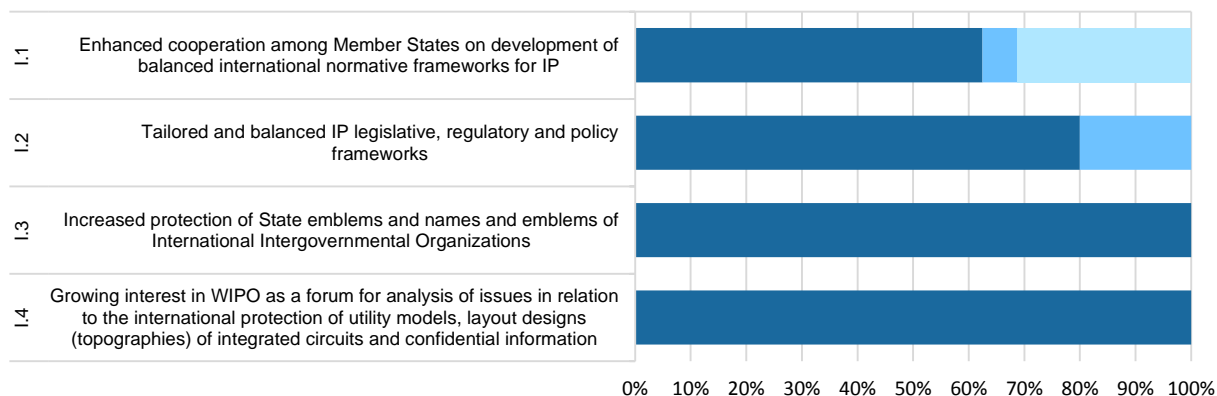
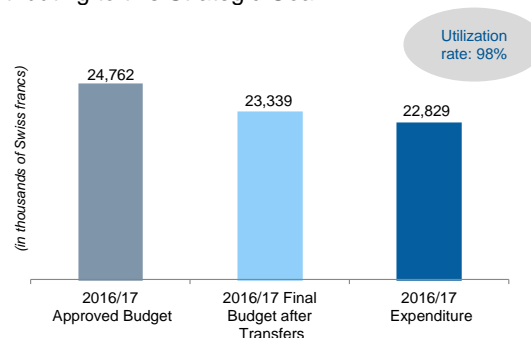
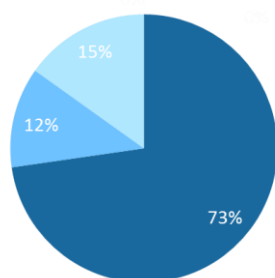


II. PERFORMANCE DASHBOARDS BY STRATEGIC GOAL IN 2016/17

Strategic Goal I BALANCED EVOLUTION OF THE INTERNATIONAL NORMATIVE FRAMEWORK FOR IP

Biennial Performance Dashboard

The dashboard below provides a summary of the progress towards the achievement of the Results in the biennium 2016/17 as measured by the indicators under the Programs contributing to this Strategic Goal.



● Fully achieved ● Partially achieved ▲ Not achieved ● Not assessable ◆ Discontinued

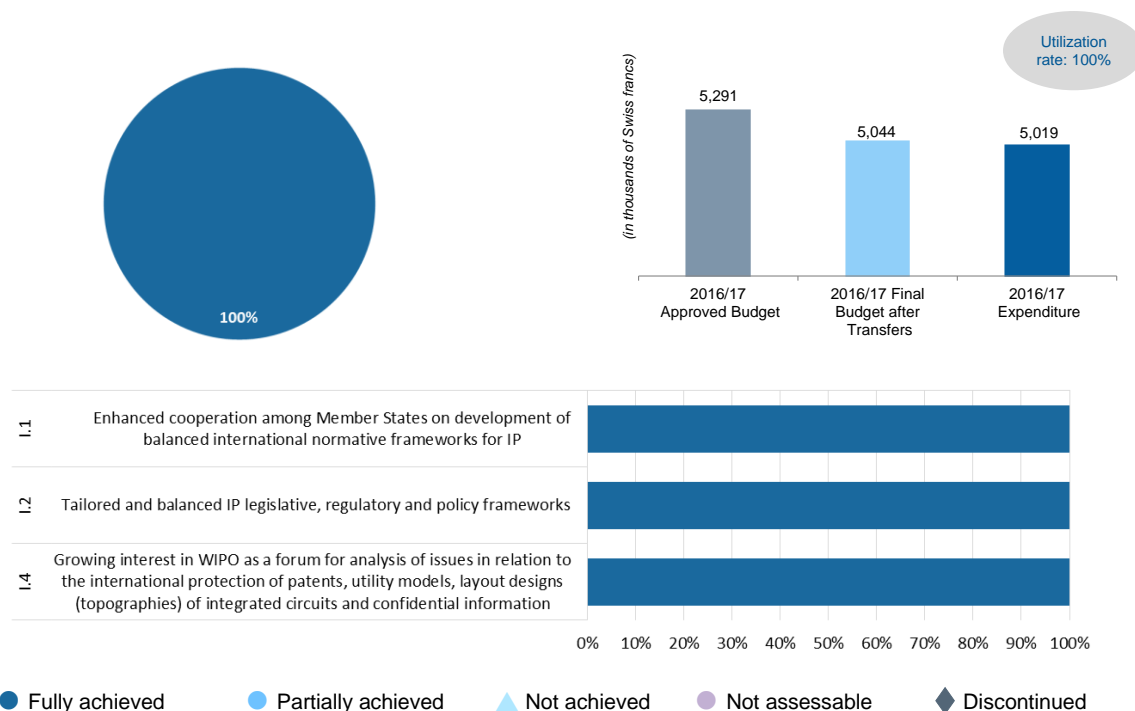
| Expected Results | Performance Indicators | Responsible Program(s) | PIE |
|---|--|------------------------|-----|
| I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | Level of satisfaction of participants in targeted workshops/ seminars held on specific patent related topics | Program 1 | ● |
| | Level of satisfaction of participants in the Inventor Assistant Program (IAP) | Program 1 | ● |
| | Progress on the implementation of agreed work according to SCP Agenda | Program 1 | ● |
| | No. of ratifications/accessions to the Singapore Treaty | Program 2 | ● |
| | Progress towards agreement on current issues on the SCT Agenda | Program 2 | ● ▲ |
| | Progress in the implementation of agreed work according to the SCCR agenda | Program 3 | ● |

| | | | |
|--|--|------------|---------|
| | Progress towards implementation of normative activities on IP and GRs, TK and TCEs as agreed by Member States | Program 4 | ● |
| | No. of ratifications and/or accessions to the Beijing Treaty | Program 20 | ▲ |
| | No. of ratifications and/or accessions to the Internet Treaties | Program 20 | ● ● |
| | No. of ratifications and/or accessions to the Marrakesh Treaty | Program 20 | ▲ ▲ ● ▲ |
| I.2 Tailored and balanced IP legislative, regulatory and policy frameworks | % of recipients which found information concerning legal principles and practices of the patent, utility model and integrated circuit systems, including the flexibilities, useful | Program 1 | ● |
| | No. and % of Member States satisfied with the legislative and policy advice provided | Program 1 | ● |
| | No. and % of Member States/regional organizations providing positive feedback on the legislative advice offered in the area of trademarks, industrial designs and geographical indications | Program 2 | ● |
| | % of countries that have provided positive feedback about WIPO's legislative advice | Program 3 | ● |
| | No. of countries that have ratified or acceded to the Beijing Treaty | Program 3 | ● |
| | No. of countries that have ratified or acceded to the Marrakesh Treaty | Program 3 | ● |
| | No. of ratifications or accessions to the copyright treaties in force including the Berne Convention, Rome Convention, and Internet Treaties | Program 3 | ● |
| | No. and/or % of countries providing positive feedback on WIPO's legislative and policy advice | Program 9 | ● |
| | No. of ratifications to WIPO administered treaties | Program 10 | ● |
| | No. of transition countries with updated national laws and regulations | Program 10 | ● |
| | No. of countries that have adopted and/or implemented a national strategy on Building Respect for IP, or are in the process of doing so, with WIPO assistance | Program 17 | ● |
| | No. of countries/regional organizations having adopted or amended relevant frameworks towards effective IP enforcement in the light of Part III of the TRIPS Agreement and DA Recommendation 45, or being in the process of doing so, further to WIPO assistance | Program 17 | ● |
| | No. and diversity of stakeholders (IP Offices, competition and authorities, relevant IGOs and NGOs) engaged in dialogue with WIPO | Program 18 | ● ● |
| | No. of countries requesting WIPO's specific contribution on IP in relation to competition policy-related issues | Program 18 | ● |
| I.3 Increased protection of State emblems and names and emblems of International Intergovernmental Organizations | No. of signs contained in the Article 6ter database | Program 2 | ● |
| I.4 Growing interest in WIPO as a forum for analysis of issues in relation to the international protection of utility models, layout designs (topographies) of integrated circuits and confidential information | % of recipients which found information concerning legal principles and practices on the protection of utility models, layout designs (topographies) of integrated circuits and confidential information, useful | Program 1 | ● |

PROGRAM 1 Patent Law

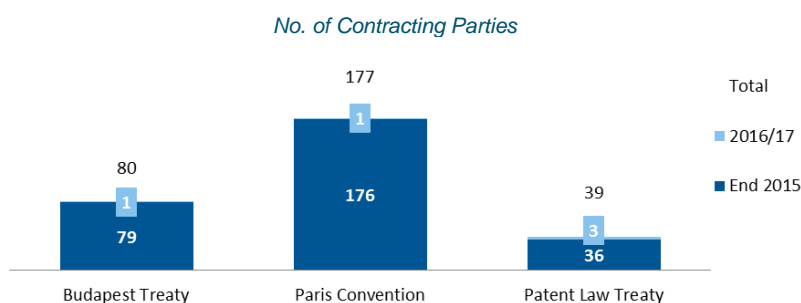
Program Manager Mr. J. Sandage

Program Dashboard



Key Accomplishments

- During its four sessions in 2016/17, the Standing Committee on the Law of Patents (SCP) reviewed the current international patent system in a holistic manner that took into account different needs and interests of Member States and stakeholders. A step-by-step approach broadened the common base from which the Committee could develop its discussions. Further, various methodologies employed by the Committee, including the preparation of background studies, seminars and sharing sessions on national implementation of patent law, and the exchange of national experiences and challenges, contributed to advancing discussions on issues of common interest at the SCP. A number of proposals were put forward by Member States on the above topics, showing commitment by Member States to the SCP process.
- With respect to WIPO administered treaties in the field of patents, one State (Afghanistan) joined the Paris Convention, one State (Colombia) joined the Budapest Treaty, and three States (Belarus, Japan and Liberia) joined the Patent Law Treaty in the biennium.



- The Inventor Assistance Program (IAP), a joint initiative with the World Economic Forum, was launched in Geneva in 2016, opening the door for its progressive expansion to other countries beyond the three initial pilot countries

(Colombia, Morocco and the Philippines)⁸. In 2017, the IAP was further expanded to include Ecuador and South Africa and increased its network of pro bono patent attorneys, further broadening the IAP's capacity to offer services to those inventors selected within the framework of the program to prepare and prosecute the International PCT national phase in the European Union and the United States of America.

- Innovative approaches for the delivery of patent-related capacity building was piloted, resulting in considerable unit cost savings and a significant increase in the outreach of the Program, as measured by the number of participants who demonstrated enhanced patent drafting skills. The promotion of a greater awareness of the legal principles and practices of the patent and trade secret systems among Member States, IGOs, UN bodies, NGOs and other parties also continued in 2016/17.
- Legislative and policy assistance continued to be highly appreciated, with 12 Member States indicating that the advice provided was exhaustive, of good quality, and helpful in understanding the implications of issues at stake.

DA Highlights

Implementation of Ongoing DA Projects and CDIP-approved Activities:

- The information contained in the Database on Flexibilities was disseminated in international and national fora. The Database was migrated to a new platform and enhanced with information on its updating mechanism and new search facilities, resulting in a considerable increase in usage in 2017 (Rec. 14).
- A number of information sessions aimed at increasing Member States' understanding of: (i) assessment of inventive step; (ii) cooperation between patent Offices on search and examination; (iii) patents and other issues related to access to medicines; (iv) publicly accessible databases on patent information status, medicines and vaccines; (v) confidentiality of communication between clients and their patent advisors; and (vi) patent law provisions that contributed to effective transfer of technology (Rec. 14).


Mainstreaming of DA Projects: The studies and guidelines developed under the Project on IP and the Public Domain and the Project on Patents and the Public Domain continued to be used by Member States.

Guiding Principles: Discussions on the progressive development of the international patent system within the SCP continued to be guided by Recs.15, 17, 21, 22, 25 and 42.

Risks






| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|---|--|---|---|
| Reduced relevance of the Standing Committee on the Law of Patents as a multilateral normative forum | The risk exposure was considered static throughout the biennium. | The risk was effectively mitigated through provision of an inclusive and neutral environment for dialogue among Member States and through the provision of timely, accurate and substantive information to Member States. | This effective mitigation facilitated the progress made in the SCP. |

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|---------------------|---|-----|
| I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | | | | |
|  Progress on the implementation of agreed work according to SCP Agenda | Current state of work in the Committee as documented by SCP/23/5 ⁹ Summary by the Chair (<i>same</i>) | SCP agreed outcomes | The SCP held 4 sessions in 2016/17. The outcomes agreed by the SCP were documented in the relevant Summaries by the Chair (SCP/24/5 ¹⁰ , SCP/25/5 ¹¹ , SCP/26/7 ¹² and SCP/27/9 ¹³). | ● |

⁸ The program counts among its sponsors corporations, such as Novartis, Qualcomm, 3M, Medtronic and Pfizer; global institutions such as International Chamber of Commerce (ICC) and the International Federation of Inventors Associations (IFIA); and associations such as the Federal Circuit Bar Association (FCBA), the European Patent Institute (EPI) and the Inter-American Association of Intellectual Property (ASIFI).

⁹ Summary by the Chair: [SCP/23/5](#)

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|--|---------|---|-----|
|  Level of satisfaction of participants in targeted workshops/seminars held on specific patent related topics | 96.85% (92.75%) | 90% | 89% based on 753 responses from participants in 31 seminars (Africa- 5, Arab region-4, Asia and the Pacific- 6, Latin America and the Caribbean- 12, Transition countries- 3, other- 1) | ● |
|  Level of satisfaction of participants in the Inventor Assistant Program (IAP) | 90% (n/a) | 90% | 77% based on 11 responses received from inventors and 7 from other participants | ● |
| I.2 Tailored and balanced IP legislative, regulatory and policy frameworks | | | | |
|  % of recipients which found information concerning legal principles and practices of the patent, utility model and integrated circuit systems, including the flexibilities, useful | 95.24% (85.7%) based on 24 (7) responses | 90% | 99% based on 26 responses in 4 training activities (Asia and the Pacific-2; Latin America and the Caribbean-1; Transition countries-1) | ● |
|  No. and % of Member States satisfied with the legislative and policy advice provided | 94% (90%) based on 9 (8) responses | 90% | 92% based on 12 responses (Africa- 2, Arab region- 1, Asia and the Pacific- 2, Latin America and the Caribbean- 5, Transition countries 2) | ● |
| I.4 Growing interest in WIPO as a forum for analysis of issues in relation to the international protection of patents, utility models, layout designs (topographies) of integrated circuits and confidential information | | | | |
|  % of recipients which found information concerning legal principles and practices on the protection of utility models, layout designs (topographies) of integrated circuits and confidential information, useful | n/a | 90% | 84% based on 29 responses | ● |

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------|--------------------------------------|---------------------|
| I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | 2,239 | 2,734 | 2,688 |
| I.2 Tailored and balanced IP legislative, regulatory and policy frameworks | 2,559 | 1,978 | 1,979 |
| I.4 Growing interest in WIPO as a forum for analysis of issues in relation to the international protection of confidential information | 494 | 332 | 353 |
| Total | 5,291 | 5,044 | 5,019 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 3,953 | 3,575 | 3,651 | 102% |
| Non-personnel Resources | 1,339 | 1,469 | 1,367 | 93% |
| Total | 5,291 | 5,044 | 5,019 | 100% |

[Footnote continued from previous page]

¹⁰ Summary by the Chair: [SCP/24/5](#)

¹¹ Summary by the Chair: [SCP/25/5](#)

¹² Summary by the Chair: [SCP/26/7](#)

¹³ Summary by the Chair: [SCP/27/9](#)

Final Budget after Transfers:

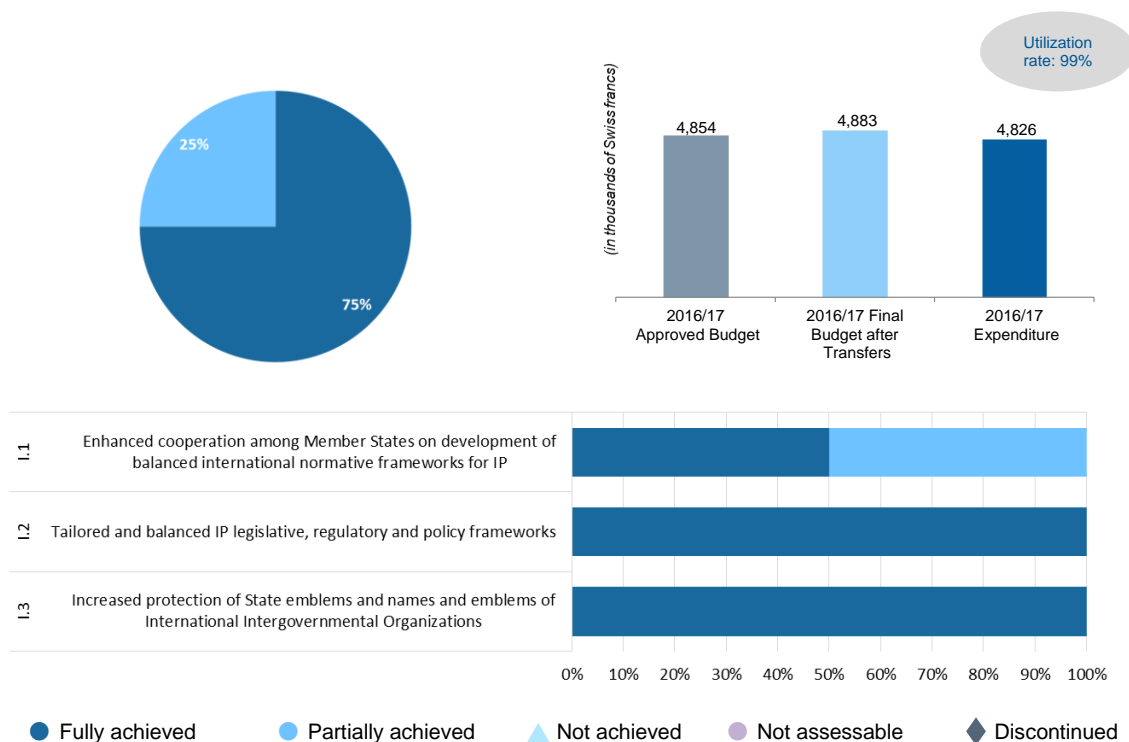
- The decrease in personnel resources was the net result of: (i) the transfer of a position to Program 3 to strengthen legislative advice on copyright and related rights, reflected under ER I.2; (ii) regularization of a continuing associate legal officer function; and (iii) redeployment of accrued personnel savings to other organizational priorities.
- The slight net increase in non-personnel resources was the result of: (i) the transfer of additional resources from Program 5 and Program 7 for the twenty-seventh session of the SCP, reflected under ER I.1; and (ii) the transfer of resources for internships to Program 23.

Budget Utilization was in line with the Final Budget after Transfers.

PROGRAM 2 Trademarks, Industrial Designs and Geographical Indications

Program Manager Ms. B. Wang

Program Dashboard



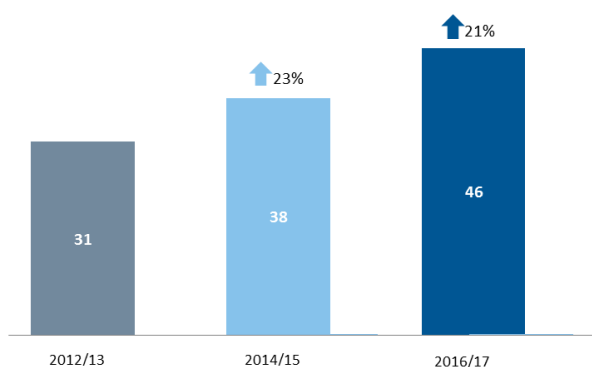
Key Accomplishments

- It is recalled that the WIPO General Assembly in October 2015 had decided “to convene a diplomatic conference for the adoption of a Design Law Treaty at the end of the first half of 2017, only if the discussions on technical assistance and disclosure have been completed during the thirty-fourth and thirty-fifth sessions of the Standing Committee on the Law of Trademarks, Industrial Designs and Geographical Indications (SCT).” As the discussions on the two outstanding issues could not be completed at those SCT sessions, the matter reverted to the WIPO General Assembly, which, decided, in October 2016, that “at its next session in October 2017, it will continue considering the convening of a diplomatic conference on the Design Law Treaty, to take place at the end of the first half of 2018.” At the thirty-sixth session of the SCT in October 2016, the Chair of the SCT concluded that “while the [Design Law Treaty] would remain on its Agenda, the SCT should abide by the decision of the General Assembly.” At the thirty-seventh session of the SCT, in March 2017, the SCT Chair recalled this conclusion and “encouraged delegations to make use of the time available until the next session of the General Assembly in October 2017 to bridge remaining gaps.” The WIPO General Assembly took up the matter again at its forty-ninth (23rd ordinary) session in October 2017. During the General Assembly, Member States made a key effort to narrow the remaining gaps among positions preventing the convening of a diplomatic conference for the adoption of a Design Law Treaty and decided that “at its next session in 2018, it will continue considering the convening of a diplomatic conference on the Design Law Treaty, to take place at the end of the first half of 2019.”
- Four sessions of the SCT were held during the biennium. Regarding the protection of country names against registration and use as trademarks, the SCT considered possible areas of convergence and requested the Secretariat to organize a half-day information session in the form of a moderated roundtable at its thirty-ninth session, addressing the examination by Offices of Trademarks consisting of, or containing, country names and taking into account the perspectives of users. The SCT continued its consideration of graphical user interface (GUI), Icon and Typeface/Type Font Designs and, after an information session on the topic held at its thirty-eighth session,

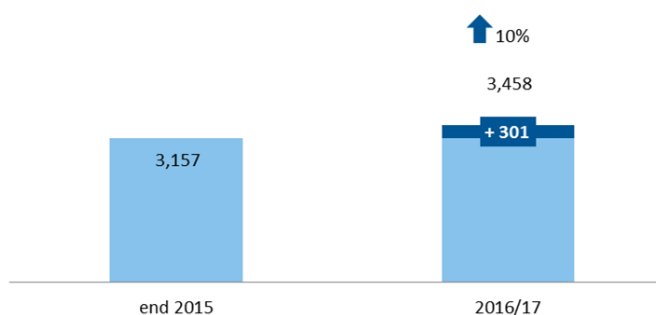
requested the Secretariat, *inter alia*, to invite Member States and accredited NGOs to propose aspects on which further work would be desirable. Following an information session on the topic held at its thirty-seventh session, the SCT, at its thirty-eighth session, adopted its work plan on geographical indications.

- The Singapore Treaty on the Law of Trademarks saw a 21 per cent increase in membership in the biennium with eight new Contracting Parties (Afghanistan, Benin, Democratic People’s Republic of Korea, Ireland, Japan, Mali, Republic of Korea and the African Intellectual Property Organization (OAPI)), bringing the total number of Contracting Parties to 46 at the end of 2017.
- As regards protection of State emblems and names and emblems of international intergovernmental organizations under Article 6*ter* of the Paris Convention, 301 new signs were published, more than double the biennial target, bringing the total number of signs contained in the Article 6*ter* Express Database to 3,458 at the end of 2017, a 10 per cent increase.

No. of Contracting Parties to the Singapore Treaty



No. of Signs Contained in the Article 6*ter* Database



DA Highlights

Implementation of Ongoing DA projects and CDIP-approved Activities: At its twentieth session in December 2017, the CDIP approved the follow-up to the Project on IP and Design Management for Business Development in Developing and Least Developed Countries¹⁴ following its review of the project evaluation at the nineteenth session of the CDIP. One component of the follow-up would consist of mainstreaming project activities into the regular awareness and capacity building work of the Secretariat.

Guiding Principles: The Program’s norm-setting activities within the SCT continued to be guided by Recs.15, 21 and 42. In addition, the Program’s technical assistance, capacity-building and legislative assistance activities (63 sets of comments on legislation provided to 30 Member States) continued to be guided by Recs. 1, 6, 13 and 14.

Risks





| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|---|---|---|--|
| Agreements at the multilateral level remain challenging and the successful conclusion of normative activities under Program 2 will depend to a large degree on Member States’ commitment to reach mutually agreed outcomes. | The risk concerned multilateral agreements, which inherently carried with it uncertainty like all norm developing activities. The risk exposure increased slightly throughout the biennium, in line with a global risk to the effectiveness of multilateralism. | The Secretariat contributed to the mitigation of this risk by conducting its work in a neutral, balanced and transparent manner and through provision of timely, accurate and substantive information to Member States. | The materialization of this risk in the current reporting period resulted in Member States not reaching consensus on the convening of a diplomatic conference for the adoption of the Design Law Treaty. Progress was made, however, on country names and a workplan for geographical indications. |

¹⁴ Document [CDIP/20/4](#)

Looking Forward

- In regard to progress in the SCT, the 2018 session of the WIPO General Assembly will present a further opportunity for Member States to overcome the last remaining gaps among positions preventing the convening of a diplomatic conference for the adoption of a Design Law Treaty.
- Moreover, a positive evolution of the work plan on geographical indications receiving broad support among Member States, coupled with a focus on achieving a tangible and practical result in respect of country names and continuing to explore the emerging technological issues concerning industrial designs constitute important success factors for the SCT's work in the 2018/19 biennium.

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|---|--|---|-----|
| I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | | | | |
|  Progress towards agreement on current issues on the SCT Agenda | State of advancement of SCT work at the end of 2015 as per document SCT/34/7 (same) | SCT agreed outcomes | The WIPO General Assembly decided that "at its next session in 2018, it will continue considering the convening of a diplomatic conference on the Design Law Treaty, to take place at the end of the first half of 2019" (Document A/57/11 ADD.5 ¹⁵). At its last session of the biennium (thirty-eighth session from October 30 to November 2, 2017), the SCT: - requested the Secretariat to invite Member States and accredited NGOs to propose aspects of Graphical User Interface (GUI), icon and typeface/type font designs on which further work would be desirable (Document SCT/38/5 ¹⁶ , paragraph 8); - decided that an information session on country names will take place at its thirty-ninth session (Document SCT/38/5 ¹⁷ , paragraph 12); and - adopted a workplan on geographical indications (Document SCT/38/5 ¹⁸ , paragraph 16). | ● |
|  No. of ratifications / accessions to the Singapore Treaty | 38 Contracting Parties (same) | 8 new ratifications/ accessions | 8 new Contracting Parties: Afghanistan, Benin, Democratic People's Republic of Korea, Ireland, Japan, Mali, Republic of Korea and the African Intellectual Property Organization (OAPI) (46 Contracting Parties in total) | ● |
| I.2 Tailored and balanced IP legislative, regulatory and policy frameworks | | | | |
|  No. and % of Member States/regional organizations providing positive feedback on the legislative advice offered in the area of trademarks, industrial designs and geographical indications | 10 respondents, 100% satisfaction (7 respondents, 100% satisfaction) | 90% of respondents satisfied with the advice offered | Advice was provided to 30 Member States: Africa (6) Arab region (5); Asia and the Pacific (12); Latin America and the Caribbean (5); Transition countries (2) Feedback was received from 13 respondents, who (100%) reported satisfaction with the advice offered. | ● |
| I.3 Increased protection of State emblems and names and emblems of International Intergovernmental Organizations | | | | |
|  No. of signs contained in the Article 6ter database | 3,157 (3,103) | 120 new signs published during the biennium | 301 new signs published A total of 3,458 signs were contained in the Article 6ter Express Database at the end of the biennium. | ● |

¹⁵ Summary Report: Item 16 of the Consolidated Agenda: [A/57/11 ADD.5](#)

¹⁶ Summary by the Chair : [SCT/38/5](#)

¹⁷ Ibid

¹⁸ Ibid

Resource Utilization

Budget and Expenditure (by result) (in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|--|-------------------------------|--|------------------------|
| I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | 3,210 | 3,352 | 3,269 |
| I.2 Tailored and balanced IP legislative, regulatory and policy frameworks | 1,100 | 862 | 885 |
| I.3 Increased protection of State emblems and names and emblems of International Intergovernmental Organizations | 544 | 560 | 576 |
| III.4 Strengthened cooperation mechanisms and programs tailored to the needs of developing countries and LDCs and countries with economies in transition | - | 109 | 97 |
| Total | 4,854 | 4,883 | 4,826 |

Budget and Expenditure (personnel and non-personnel) (in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------------|--|------------------------|-------------------------|
| Personnel Resources | 4,089 | 3,588 | 3,692 | 103% |
| Non-personnel Resources | 765 | 1,295 | 1,134 | 88% |
| Total | 4,854 | 4,883 | 4,826 | 99% |

Final Budget after Transfers:

- The decrease in personnel resources was primarily due to the redeployment of accrued personnel savings to other organizational priorities.
- The increase in non-personnel resources was primarily due to the transfer of additional resources: (i) for the holding of the second session of the SCT in 2017, reflected under ER I.1; (ii) to cover additional costs for the Worldwide Symposium on GIs held in China; and (iii) to more efficiently support the increased demand for legislative advice.
- The net decrease in resources under ER I.2 was primarily due to the redistribution of personnel resources to ER I.1 to support the second session of the SCT in 2017.
- The resources allocated to ER III.4 were related to the DA project IP and Design Management .

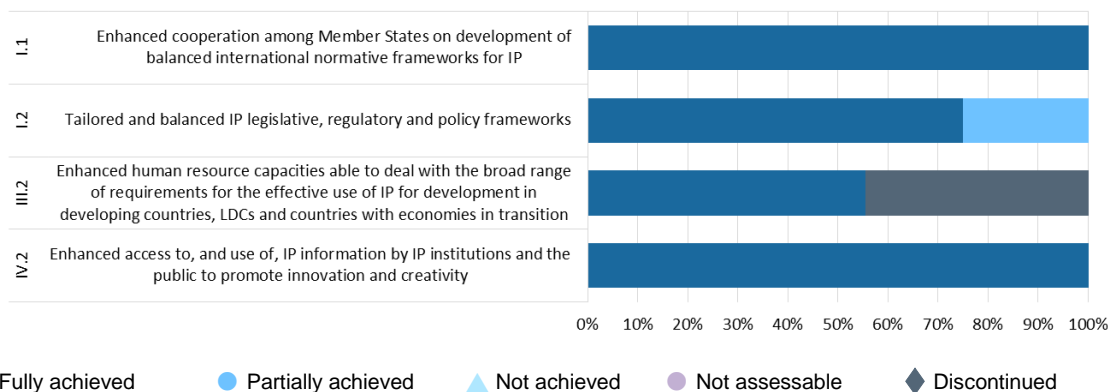
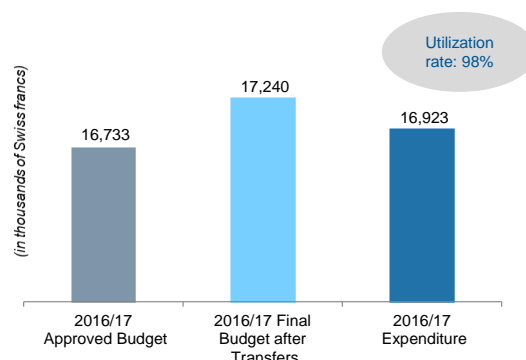
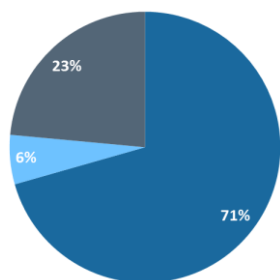
Budget Utilization:

- Overall budget utilization was in line with the Final Budget after Transfers.
- The lower utilization of non-personnel resources was due primarily to a reduction in staff missions under ER I.2 and costs savings on travel related to the Worldwide Symposium on GIs held in China.

PROGRAM 3 Copyright and Related Rights

Program Manager Ms. S. Forbin

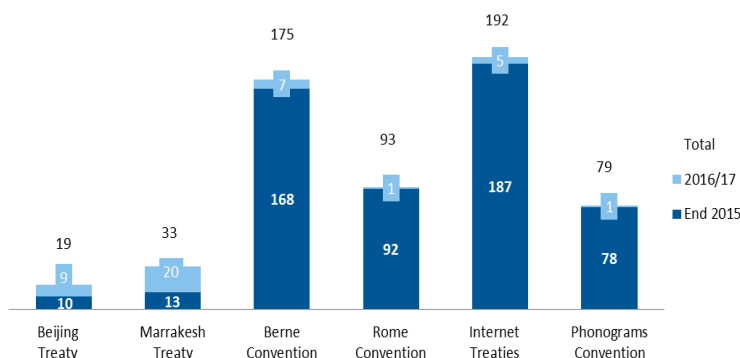
Program Dashboard



Key Accomplishments

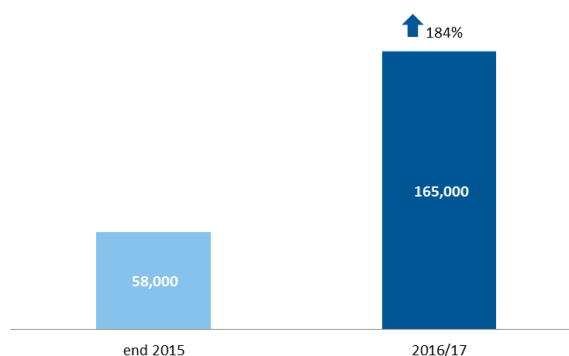
- The SCCR held productive discussions on a single text for the protection of broadcasting organizations and received the results of comprehensive studies covering limitations and exceptions for libraries, archives, and educational and research institutions, as well as a scoping study on limitations and exceptions for persons with other disabilities. The Committee also worked on two other matters regarding copyright in the digital environment and the resale royalty right, including hearing reports on the results of studies on both topics.
- A major accomplishment in the 2016/17 biennium was the entering into force of the Marrakesh Treaty on September 30, 2016, with 25 members. Overall, WIPO copyright treaties gained 43 new members in the biennium, including 20 additional ratifications to the Marrakesh Treaty and nine additional ratifications to the Beijing Treaty.

No. of Contracting Parties to WIPO Copyright Treaties



- The Accessible Books Consortium showed strong results, with the number of accessible books loaned through the ABC Global Book Service via participating libraries to their patrons, increasing from 58,000 loans at the end of 2015 to 165,000 loans in 2016/17, a 184 per cent increase.
- Tools and publications on creative industries continued to be in high demand. Four new publications on: (i) book publishing and the digital revolution; (ii) the law and practice of private copying¹⁹; (iii) text and image levies²⁰, and (iv) making a living in the creative industries²¹ were completed and three published.

No. of Accessible Books Loaned through ABC



DA Highlights

Implementation of Ongoing DA Projects and CDIP-approved Activities:

- In the context of the project on Strengthening and Development of the Audiovisual Sector in Burkina Faso and Certain African Countries – Phase II: (i) Burkina Faso acceded to the Beijing Treaty on audiovisual performances in July 2017; (ii) cooperation with the authorities of Senegal and Kenya was strengthened to ensure that the policy framework for the audiovisual sector would be fit for digital-age requirements; (iii) legislative support was provided for the adoption of the Senegalese Audiovisual Communications Bill in 2017 in line with copyright international standards and the 2008 copyright law; and (iv) support was provided to two additional beneficiary countries (Côte d'Ivoire, Morocco) to accede to the Treaty (Recs. 1, 2, 4, 10 and 11).
- Regarding the New WIPO Activities Related to Using Copyright to Promote Access to Information and Creative Content, the Secretariat: (i) continued to facilitate the implementation process of IGOs looking to implement an open access policy and use the new CC BY IGO licenses; (ii) integrated the subject of open source licensing in WIPO copyright-related courses and training programs; and (iii) completed a training module on licensing and open source software development and model copyright policies and legal provisions for different copyright approaches to public sector information (PSI) (Recs. 1, 13, 14 and 17).

Guiding Principles:

- The Program's norm-setting activities in the SCCR continued to be guided by Recs. 15, 16, 17, 20, 21 and 42.
- Over 3,100 participants from 126 countries and three regional IGOs benefitted from WIPO's technical assistance and capacity-building activities in line with Recs. 1 and 13.
- WIPO provided 43 Member States or regional organizations with legislative assistance on matters related to updating copyright and collective management legislation for the digital era or incorporating new provisions in order to join WIPO copyright treaties, taking duly into account Recs. 13, 14 and 17.

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|--|--|--|
| The inability of the copyright system to adapt to rapid technological change threatens to undermine the relevance of the copyright system. | The pace of technological change continued to accelerate during the course of the biennium, however, the residual risk remained stable owing to the effectiveness of mitigation actions. | Awareness raising and capacity building activities emphasized the role of the copyright system in creating a level playing field to allow all Member States to compete equally in using copyright treaties and national implementation plans updated for the digital era to foster creative and cultural industries. | Mitigation efforts enabled the positive results achieved by the Program in respect of treaty ratifications and accessions as well as legislative assistance. |

¹⁹ <http://www.wipo.int/publications/en/details.jsp?id=4183&plang=EN>






²⁰ <http://www.wipo.int/publications/en/details.jsp?id=4192&plang=EN>

²¹ http://www.wipo.int/edocs/pubdocs/en/wipo_pub_cr_2017_1.pdf

Looking Forward

- Although the ratification/accession target requested for the 2016/17 biennium for the Beijing Treaty at the twentieth session of the Program and Budget Committee was quite ambitious, the Program partially achieved the target by making it a priority to provide assistance to Member States with regard to joining treaties. The Program will continue this approach in the 2018/19 biennium.

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|---|--|---|-----|
| I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | | | | |
|  Progress on the implementation of agreed work according to SCCR Agenda | Progress as captured by the Summary by the Chair ²² (same) | SCCR agreed outcomes | The SCCR made progress on various substantive agenda items as reflected in the Summaries by the Chair (SCCR/34 ²³ and SCCR/35 ²⁴), and the 2017 WIPO General Assembly directed the SCCR to continue its work. | ● |
| I.2 Tailored and balanced IP legislative, regulatory and policy frameworks | | | | |
|  No. of countries that have ratified or acceded to the Beijing Treaty | 10 (6) countries in total | 30 cumulative | 9 additional countries (Algeria, Burkina Faso, Democratic People's Republic of Korea, El Salvador, Gabon, Nigeria, Saint Vincent and the Grenadines, Samoa, Tunisia) (19 cumulative) | ● |
|  No. of countries that have ratified or acceded to the Marrakesh Treaty | 13 (5) countries in total | 20 cumulative | 20 additional in 2016/17 (Botswana, Burkina Faso, Canada, Chile, Costa Rica, Democratic People's Republic of Korea, Ecuador, Guatemala, Honduras, Israel, Kenya, Kyrgyzstan, Liberia, Malawi, Nigeria, Panama, Peru, Saint Vincent and the Grenadines, Sri Lanka, Tunisia) (33 cumulative) | ● |
|  No. of ratifications or accessions to the copyright treaties in force including the Berne Convention, Rome Convention, and Internet Treaties | 5 new ratifications: Berne Convention: 168 Rome Convention: 92 Internet Treaties: 187 ²⁵ (n/a - revised indicator) | 10 new for all treaties | 14 new ratifications: Berne Convention: 7 (175 cumulative) Rome Convention: 1 (93 cumulative) Internet Treaties: 5 (192 cumulative: WPPT 96 and WCT 96) Phonograms Convention: 1 (79 cumulative) | ● |
|  % of countries that have provided positive feedback about WIPO's legislative advice | 100% (n/a - biennial survey to be conducted in 2015) | 80% (70%) | 43 countries or regional groups received legislative advice in 2016/17 (Africa 10; Arab region 2; Asia and the Pacific 14; Latin America and the Caribbean 9; Transition Countries 7; Other 1) 90% based on 13 responses (Arab region 1; Asia and the Pacific 3; Latin America and the Caribbean 5; Transition countries 3; Other 1) provided positive feedback (5 or 6 on a scale of 1-6) about WIPO's copyright legislative advice | ● |
| III.2 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 | | | | |
| No. of national Copyright Offices actively engaged in the TAG consultative process | 0 (n/a) | 25 national Copyright Offices | More than 90 Copyright Offices throughout 2016 ²⁶ | ◆ |
| No. of CMOs applying for TAG accreditation | 0 (same) | 0 (2016) 2 (2017) | In June 2016, the TAG Consortium endorsed a decision to focus more efforts on the TAG Compendium and the TAG Educational Program only ²⁷ . | ◆ |
| % of participants that report positively on the collective management capacity building programs | 60% (0) | 70% of surveyed participants approve or strongly approve | 91% of surveyed participants approved or strongly approved - 2016: 84% - 2017: 97% | ● |

²² Summary by the Chair: [SCCR31/Ref/Summary by Chair](#)



²³ Summary by the Chair: [SCCR/34/Ref/Summary by The Chair](#)

²⁴ Summary by the Chair: [SCCR35/Ref/Summary by Chair](#)

²⁵ Corrigendum: At the end of 2015, there were 187 Contracting parties to the WIPO Internet Treaties.

²⁶ At the end of 2016, a decision was taken not to proceed with the TAG project in its current form.

²⁷ Ibid

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|---|---|-----|
| No. of visits to the Portal on Copyright Infrastructure. | 52,000 (0) | 57,000 (500) | Development of the Portal on Copyright Infrastructure was postponed in 2016. | ◆ |
| No. of publishers signing ABC Charter for Accessible Publishing ("Charter") | 12 publishers (9) | 15 publishers sign cumulative | A decision was taken at the beginning of 2016 by the ABC Board, including the International Publishers Association, not to promote the ABC Charter with commercial publishers | ◆ |
|  No. of books in accessible formats loaned to persons who are print-disabled | Over 58,000 (16,000) | 130,000 loans cumulative (20,000) | 165,000 loans of accessible books to persons with print disabilities (cumulative) ²⁸ 2016: 42,000 loans 2017: 65,000 loans | ● |
| % of participants' positive rating of the usefulness of copyright and related rights capacity building meetings and workshops | Over 80% of the participants agree or strongly agree (70%) | 80% of the participants agree or strongly agree (70%) | Over 80% of participants agreed or strongly agreed that copyright and related rights capacity building meetings and workshops were useful | ● |
| % of participants in copyright related capacity building workshops reporting practical use of knowledge nine months after the workshop | Over 80% of the participants agree or strongly agree (About 70%) | About 80% of the participants | Over 80% of the participants reported practical use of knowledge 9 months after the workshop | ● |
| % of participants with improved knowledge and skills in conducting training activities in their respective countries | n/a (new indicator) | 70% of participants that received training | 71.5% of participants in creative industries activities stated that they would use the information in their future professional activities. | ● |
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | | | | |
| No. of ABC constituent members | 15 (10) | 28 ABC constituent members | 15 additional ABC constituent members (30 cumulative) | ● |
| No. of donors | 2 | 4 donors contribute funding cumulative | 2 additional donors: - Skoll Foundation - United Nations Fund for International Partnerships (4 cumulative) | ● |
|  No. of legal instruments, guidelines, statements of principles other than binding instruments with the participation of the stakeholders concerned in areas such as new copyright treaties and Copyright in the Digital Environment | 2 ²⁹ (1 ³⁰) | 1 (additional) | 2 additional: - ABC Starter Kit for Accessible Publishing in Developing and Least Developed Countries - ABC Accessibility Guidelines for Self-Publishing Authors (4 cumulative) | ● |

Resource Utilization

Budget and Expenditure (by result) (in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|--|-------------------------|--------------------------------------|---------------------|
| I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | 3,339 | 3,541 | 3,433 |
| I.2 Tailored and balanced IP legislative, regulatory and policy frameworks | 2,325 | 2,603 | 2,581 |
| III.2 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 | 8,409 | 8,681 | 8,654 |
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | 2,640 | 2,415 | 2,255 |
| VIII.1 More effective communication to a broad public about intellectual property and WIPO's role | 20 | - | - |
| Total | 16,733 | 17,240 | 16,923 |

²⁸ Figures are based on the latest available data, as at September 1, 2017.

²⁹ (1) WIPO Review of Contractual Considerations in the Audiovisual Sector; (2) The WIPO Draft Guidelines on Assessing the Economic, Social and Cultural Impact of Copyright on the Economy (ESCIA Guidelines)

³⁰ The IP and Sports Guidelines were put on hold in 2017.

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------------|--|------------------------|-------------------------|
| Personnel Resources | 9,919 | 9,305 | 9,590 | 103% |
| Non-personnel Resources | 6,815 | 7,935 | 7,333 | 92% |
| Total | 16,733 | 17,240 | 16,923 | 98% |

Final Budget after Transfers:

- The net decrease in personnel resources was the result of the transfer of a position to Program 20 (the WIPO Office in the Russian Federation) and the redeployment of accrued personnel savings to other organizational priorities.
- The increase in non-personnel resources was due to additional resources for: (i) the Global Digital Content Market (GDCM) conference; (ii) an ICS to develop copyright management tools; and (iii) the promotion the Marrakesh and the Beijing Treaties.

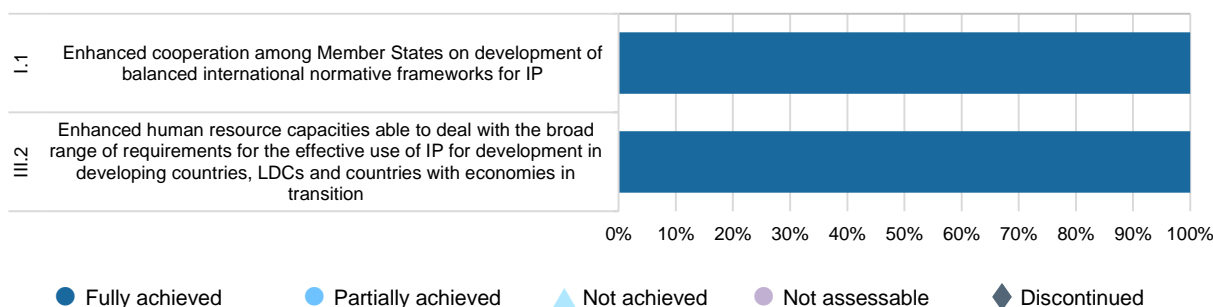
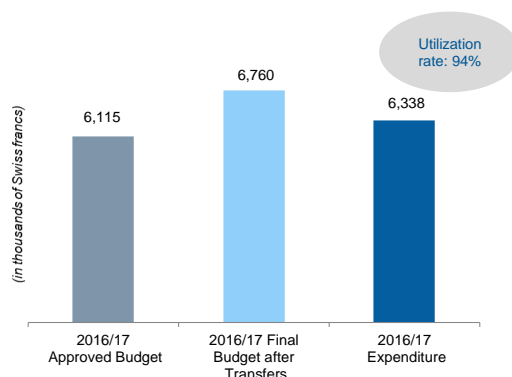
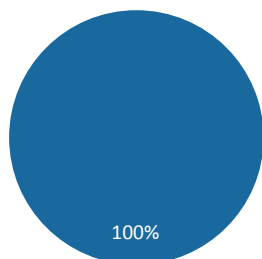
Budget Utilization:

- Personnel budget utilization was in line with the Final Budget after Transfer.
- The slightly lower utilization of non-personnel was primarily due to: (i) the postponement of the GDCM conference; (ii) the slower than expected implementation of the DA-related project on Strengthening and Development of the Audiovisual Sector in Burkina Faso and Certain African Countries; and (iii) the postponement of certain ABC-related activities.

PROGRAM 4 Traditional knowledge, Traditional Cultural Expressions and Genetic Resources

Program Manager Mr. M. A. Getahun

Program Dashboard



Key Accomplishments

- After not having met in 2015, the WIPO Intergovernmental Committee on Intellectual Property and Genetic Resources, Traditional Knowledge and Folklore (the IGC) resumed its normative activities in 2016 and met six times in 2016 and 2017 under its new mandate for the biennium as established by the WIPO General Assembly. The IGC made further progress in its text-based negotiations. Three revised texts on genetic resources (GRs), traditional knowledge (TK) and traditional cultural expressions (TCEs) were forwarded by the IGC for consideration by the WIPO General Assembly in October 2017. The General Assembly took stock of the progress made by the IGC during the biennium and adopted a new mandate for the biennium 2018/19. Three seminars organized by the Secretariat contributed to building regional and cross-regional knowledge and to the progress made in the IGC. The Voluntary Fund for Accredited Indigenous and Local Communities resumed funding of indigenous and local communities' participation in the IGC as a result of a fresh contribution made in 2017. Continued cooperation with, and outreach activities by the Secretariat towards, other intergovernmental organizations and fora contributed to drawing attention to the IGC's importance and relevance.
- Four new publications were made available adding to an existing streamlined and integrated suite of practical guides and other resources: (i) *Practical Guide to Intellectual Property for Indigenous Peoples and Local Communities*; (ii) *Documenting Traditional Knowledge: a Toolkit*; (iii) *Key Questions on Patent Disclosure Requirements for Genetic Resources and Traditional Knowledge*; and (iv) a Brief on *Intellectual Property and Genetic Resources*.

DA Highlights


Implementation of Ongoing DA projects and CDIP-approved Activities: Complementary practical and technical assistance intensified further in 2016/17, comprising in particular seven regional and eight national seminars, workshops, study visits and advisory missions. Multi-stakeholders' participation in regional and national seminars and workshops, involving both government officials and indigenous and local communities' representatives, was given special emphasis. These practically-oriented activities strengthened the ability of officials, indigenous and local communities and other stakeholders to better understand and manage, in practice, the relationship between IP systems and the protection of TK and TCEs and the IP aspects of access to and benefit-sharing in GRs (Recs. 1, 3 and 12). The assistance was also supportive of several of the UN's development goals (Rec 22), particularly those that aim at the development of groups that are identified as vulnerable, such as indigenous peoples.

Guiding Principles: The normative process of the IGC was guided by Recs. 12, 14, 15, 16, 17, 18, 20, 21 and 42. The Program's assistance activities related to legislative and/or policy information provided to 11 Member States were in line with Recs. 11, 13 and 14. In addition, continuation of cooperation with, and outreach activities towards, relevant UN organizations was conducted in line with Rec. 40.

Risks



| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|--|---|--|
| Member States unable to implement the mandate for normative activities as decided upon by the General Assembly. | This risk gradually receded over the biennium as the IGC, in line with its mandate, agreed on specific working modalities to implement its mandate and work program. | Close cooperation among Member States, sound working methods, effective stewardship of the process by the IGC Chair and the Vice-Chairs, and the continued provision by the Secretariat of clear and objective information and an efficient and neutral Secretariat service, all contributed to mitigating this risk. | Given the effective mitigation approach, Member States were able to implement the mandate as decided upon by the General Assembly for the biennium. |
| Loss of relevance of normative activities on these issues at WIPO if Member States deprioritize TK, TCEs and GRs as IP issues and/or believe other fora are more likely to deliver desirable outcomes. | This risk remained at a low/medium level over the biennium. | A complementary approach focusing on: (i) the successful implementation of the 2016/17 mandate of the IGC; (ii) provision by the Secretariat of complementary awareness-raising and capacity-building activities; and (iii) following the negotiations and processes of other fora and cooperating with other Secretariats all contributed to mitigate this risk. | This risk may have affected the extent of progress that Member States could reach in their normative activities during the biennium but did not prevent them from adopting a new mandate for the IGC with a view to continuing normative activities during the 2018/19 biennium. |

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|---|---|-----|
| 1.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | | | | |
|  Progress towards implementation of normative activities on IP and GRs, TK and TCEs as agreed by Member States | Renewed mandate and work program for IGC for 2016/17 agreed (State of negotiations as reflected in key documents ³¹) | Agreed outcomes of normative activities | Member States revised 3 key documents ³² for consideration by the General Assembly. The General Assembly took stock of the progress made and established a renewed mandate and work program for the IGC for 2018/19. | ● |

³¹ (i) Consolidated Document Relating to Intellectual Property and Genetic Resources: [WIPO/GRTKF/IC/28/4](#); (ii) The Protection of Traditional Knowledge: Draft Articles: [WIPO/GRTKF/IC/28/5](#); and (iii) The Protection of Traditional Cultural Expressions: Draft Articles: [WIPO/GRTKF/IC/28/6](#)

³² (i) Consolidated Document Relating to Intellectual Property and Genetic Resources: [WIPO/GRTKF/IC/34/4](#); (ii) The Protection of Traditional Knowledge: Draft Articles: [WIPO/GRTKF/IC/34/5](#); and (iii) The Protection of Traditional Cultural Expressions: Draft Articles: [WIPO/GRTKF/IC/34/8](#)

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|-----------|-----------|--|---|
| III.2 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  % of participants in WIPO activities who report enhanced capacity to understand and use IP principles, systems and tools for the protection of TK and TCEs and for addressing the interface between IP and GRs. | 92% (91%) | 90% (80%) | 95% (333 out of 348) participants reported positively (feedback questionnaire used in 15 activities organized by the TK Division in 2016/17) |  |

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------|--------------------------------------|---------------------|
| I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | 4,116 | 4,086 | 3,876 |
| III.2 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 | 1,999 | 2,674 | 2,462 |
| Total | 6,115 | 6,760 | 6,338 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 3,581 | 4,197 | 3,949 | 94% |
| Non-personnel Resources | 2,534 | 2,563 | 2,389 | 93% |
| Total | 6,115 | 6,760 | 6,338 | 94% |

Final Budget after Transfers:

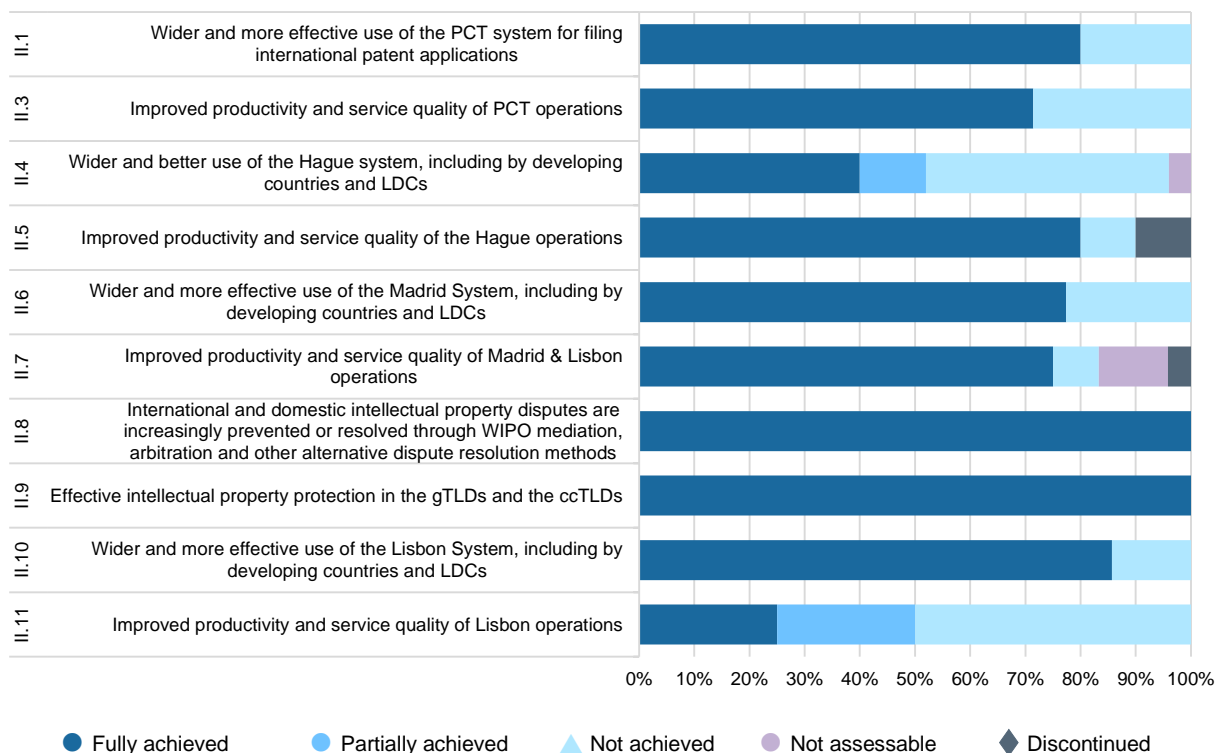
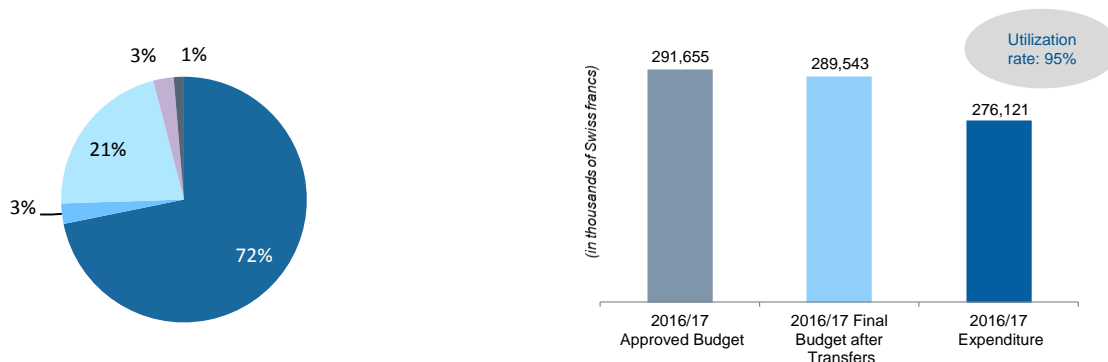
- The increase in personnel resources was due to the transfer of two positions from Programs 18 and 21 to the Department of Traditional Knowledge and Global Challenges, as reflected under ER III.2.
- The increase in non-personnel resources was due to the transfer of resources from Program 3 to fund shared administrative support for the IGC/SCCR.

Budget Utilization was in line with the Final Budget after Transfers.

Strategic Goal II PROVISION OF PREMIER GLOBAL IP SERVICES

Biennial Performance Dashboard

The dashboard below provides a summary of the progress towards the achievement of the Results in the biennium 2016/17 as measured by the indicators under the Programs contributing to this Strategic Goal.



| Expected Results | Performance Indicators | Responsible Program(s) | PIE |
|--|--|------------------------|---------|
| II.1 Wider and more effective use of the PCT system for filing international patent applications | Further development of the PCT system, notably implementation of the PCT roadmap recommendations endorsed by PCT Member States | Program 5 | ● |
| | Level of satisfaction of PCT users with PCT-specific legal advice, information, training and customer service | Program 5 | ● |
| | Satisfaction of Offices and International Authorities with PCT cooperative activities | Program 5 | ● |
| | Improved electronic services for applicants, third parties, Offices and Authorities | Program 5 | ● ● ● |
| | No. of PCT applications originating from developing | Program 9 | ▲ ● ● ● |

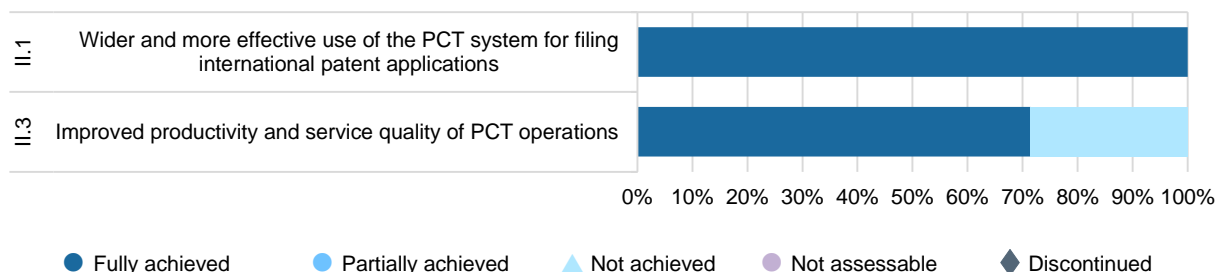
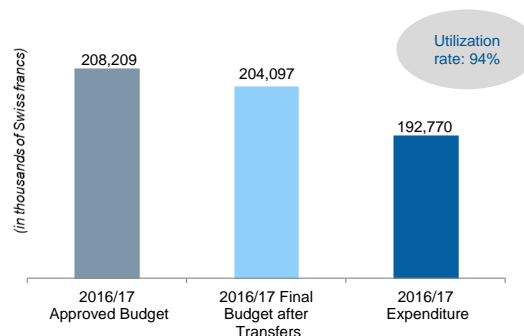
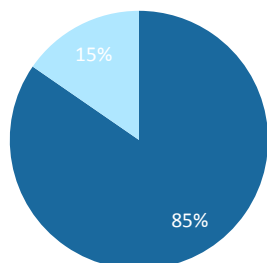
| | | | |
|--|---|------------|--|
| | countries, transition and developed countries | | |
| | | Program 10 | |
| | | Program 20 | |
| | % of survey respondents showing increased use of WIPO services within 6 months of attending Roving Seminars on WIPO Services and Initiatives | Program 10 | |
| | % of policy makers, government officials, and IP Practitioners and participants in targeted workshops with enhanced understanding of the PCT and related topics | Program 20 | |
| II.3 | Aggregate quality of formalities examination (including timeliness) | Program 5 | |
| Improved productivity and service quality of PCT operations | Application unit cost | Program 5 | |
| | Information systems service levels | Program 5 | |
| | Quality of software development (QSD) | Program 5 | |
| | Quality of Translation | Program 5 | |
| | Timeliness of Report Translation | Program 5 | |
| II.4 | No. of Hague applications originating from developing, transition and developed countries | Program 9 | |
| Wider and more effective use of the Hague system, including by developing countries and LDCs | | Program 10 | |
| | | Program 20 | |
| | | Program 20 | |
| | % of policy makers, government officials, and IP Practitioners and participants in targeted workshops with enhanced understanding of the Hague System | Program 20 | |
| | Membership of the Geneva (1999) Act | Program 20 | |
| | | Program 31 | |
| | Hague filings and renewals | Program 31 | |
| | Program 31 | | |
| | Share of Offices concerned providing information on the Hague System to their users | Program 31 | |
| II.5 | 3 deployed versions of DIRIS and 3 deployed versions of Hague e-Filing | Program 31 | |
| Improved productivity and service quality of the Hague operations | Flexibility of data recorded in the International Register | Program 31 | |
| | Improved operation of the Hague Registry, including electronic processes and procedures | Program 31 | |
| | Predominance of the Geneva (1999) Act in the Hague System | Program 31 | |
| | Processes and procedures adapted to geographical and legal evolution of the system | Program 31 | |
| | Progress towards the enhancement of the legal framework | Program 31 | |
| | Stable provision of evolving the Hague back office IT services | Program 31 | |
| | | Program 31 | |
| II.6 | Filing rate (Madrid) | Program 6 | |
| Wider and more effective use of the Madrid System, including by developing countries and LDCs | Functional improvements to the Madrid System | Program 6 | |
| | Irregularity rate (Article 12 and 13) (Madrid) | Program 6 | |
| | Market share (i.e., national route versus Madrid route) (Madrid) | Program 6 | |
| | Registrations (Madrid) | Program 6 | |
| | Renewals (Madrid) | Program 6 | |
| | Total Membership of the Madrid System | Program 6 | |
| | Total no. of designations (Madrid) | Program 6 | |
| | Total no. of registrations (Madrid) | Program 6 | |

| | | | |
|--|---|------------|--|
| | No. of Madrid System applications originating from developing, transition and developed countries | Program 9 | |
| | | Program 10 | |
| | | Program 20 | |
| | % of policy makers, government officials, IP practitioners and participants in targeted workshops with enhanced understanding of the Madrid System | Program 20 | |
| | Total Membership of the Madrid System | Program 20 | |
| II.7 Improved productivity and service quality of Madrid operations | 3 deployed versions of M-IRIS and 3 deployed versions of Madrid eFiling (IRPI) | Program 6 | |
| | Client satisfaction (Madrid) | Program 6 | |
| | Improved operation of the Madrid Registry, including electronic processes and procedures | Program 6 | |
| | | Program 6 | |
| | Quality (Madrid) | Program 6 | |
| | | Program 6 | |
| | Stable provision of evolving Madrid back office IT services | Program 6 | |
| | Timeliness of transactions (days) (Madrid) | Program 6 | |
| | Unit cost (Madrid) | Program 6 | |
| II.8 International and domestic intellectual property disputes are increasingly prevented or resolved through WIPO mediation, arbitration and other alternative dispute resolution methods | Increased use of alternative dispute resolution services and clauses in intellectual property transactions and registrations, including through WIPO procedures | Program 7 | |
| | Alternative dispute resolution policies to which the Center has contributed in respect of their development and implementation | Program 7 | |
| | No. of IP disputes originating from transition and developed countries prevented/resolved by WIPO mediation, arbitration and other alternative dispute resolution methods | Program 10 | |
| II.9 Effective intellectual property protection in the gTLDs and the ccTLDs | Dispute resolution policies in the Domain Name System to which the Center has contributed in respect of their development and implementation | Program 7 | |
| | No. of UDRP based gTLD and ccTLD cases administered by the Center | Program 7 | |
| II.10 Wider and more effective use of the Lisbon System, including by developing countries and LDCs | No. of international registrations from developing countries and LDCs in force under the Lisbon System (in relation to the total no.) | Program 9 | |
| | | Program 32 | |
| | No. of Lisbon System international registrations for transition and developed countries in force | Program 10 | |
| | % of participants in Lisbon System events satisfied and reporting enhanced awareness post an event | Program 10 | |
| | Expansion of the geographical coverage of the Lisbon System | Program 32 | |
| | No. of international applications and other transactions (Lisbon) | Program 32 | |
| II.11 Improved productivity and service quality of Lisbon operations | Adoption of provisions streamlining the Lisbon System legal framework | Program 32 | |
| | Improved electronic services for the Lisbon Registry | Program 32 | |
| | Increased use of electronic means for filing and processing international applications and other transactions (Lisbon) | Program 32 | |

PROGRAM 5 The PCT System

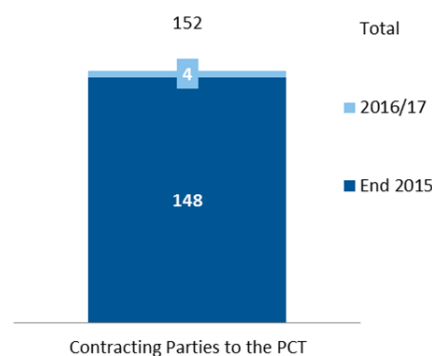
Program Manager Mr. J. Sandage

Program Dashboard



Key Accomplishments

- Growth in international patent filings under the Patent Cooperation Treaty (PCT) remained strong both in 2016 and 2017. In 2016, a total of 232,913 applications were filed, representing an increase of 7.2 per cent over 2015, the fastest increase since 2011 and the seventh consecutive year of growth. In 2017, an estimated total of 243,500 applications were filed, representing an increase of 4.5 per cent over 2016, marking a new annual record in patent application filings under the PCT. Three telecom giants from China and the United States of America led the international patent filing activity in both years of the biennium. The share of fully electronic filings continued to increase, representing 96 per cent of total filings in 2017. While English accounted for the largest proportion of filings in 2017, with 44 per cent, the share of Asian languages continued to increase. The combined share of the PCT applications filed in Chinese, Japanese and Korean rose from 29.5 per cent in 2010 to 43 per cent in 2017.
- The IB continued to streamline the structure of PCT Operations and to enhance the functionalities of its IT tools and processes. This improved the productivity and the quality of the formalities examination of PCT international applications in the biennium enabling the IB to continue to absorb the increase in workload with fewer staff, while maintaining a high quality of service. Productivity increased by 11.3 per cent in 2016/17 as compared to 2014/15. The overall quality, as measured by the aggregate index, also improved by an average 3.4 percentage points in 2016/17 as compared to 2014/15.
- Four more countries deposited their instruments of accession to the PCT during the biennium (Kuwait, Djibouti-becoming the 150th PCT Contracting State, Cambodia and Jordan), bringing the total number of PCT Contracting States to 152.
- Two new International Searching and Preliminary Examining Authorities were appointed by the PCT Assembly during the biennium: the Turkish Patent and Trademark Office in 2016 and the Intellectual Property Office of the



Philippines (IPOPIL) in 2017, bringing the number of PCT International Authorities to 23. In 2017, the PCT Assembly further extended the appointment of all existing PCT Authorities for a further 10-year period until December 31, 2027.

- At its ninth and tenth sessions, held in 2016 and 2017, the PCT Working Group continued its discussions aimed at furthering the aims of the Treaty, for the benefit of all stakeholders, in line with the PCT roadmap recommendations endorsed by Member States. In both 2016 and 2017, the Working Group considered, *inter alia*, issues such as IT-based services further facilitating collaboration between Offices, more efficient ways of working together and better sharing of information; a proposal for PCT fee reductions for universities and public research institutions; the coordination of technical assistance provided under the PCT; and improved coordination of patent examiner training between Offices.
- Use of the ePCT system increased significantly during the biennium. By the end of 2017, ePCT-Filing was being offered by 53 Receiving Offices (ROs) and subsequently filed documents can be uploaded through ePCT to 63 Offices in their role as either RO or International Searching and Preliminary Examining Authority (ISA and IPEA). 76 Offices now have access to ePCT Office services in their role as RO, ISA or designated or elected Office, with 59 of these Offices using the browser based ePCT Office services as their main tool for processing international applications as RO. The eSearchCopy service is now in use in 149 out of the 370 total possible pairs of RO and ISA where those roles are not played by the same Office. These routes represent almost 50 per cent of the total volume of transmissions of search copies between different Offices.
- Satisfaction of PCT users with PCT-specific legal advice (864 "special handling cases resolved), information, outreach and training (55 seminars, 25 presentations, 10 webinars and 40 user visits) and customer service (responding to an average of 37 inquiries per day) remained high, with a 90 per cent satisfaction rate.

DA Highlights

Guiding Principles:

- Program 5 continued to devote an important part of its work and resources to technical cooperation and assistance to developing countries and LDCs, covering a wide range of PCT aspects, including ePCT and examination after entry into the national phase, in accordance with applicable DA recommendations from Cluster A (Recs. 1, 5, 10, 11, 12 and 13). These activities contributed to strengthening the capacities of PCT Member States and States considering accession to the PCT by enhancing local knowledge of and skills in utilizing the PCT System.
- In 2016/17, the IB organized or participated in 90 PCT-related events for the benefit of developing and least developed countries, such as PCT seminars and workshops mainly for Office staff, potential users of the system and other stakeholders. The events were held in 63 countries and at WIPO headquarters, and were attended by more than 6,000 participants from 110 countries.
- At its ninth and tenth sessions, the PCT Working Group also continued its discussions on how the future development of the PCT can be matched with applicable DA recommendations, notably from Cluster A (Recs. 1, 4, 8, 9, 10, 11, 12 and 13), Cluster B (Recs. 16, 19 and 23), Cluster C (Recs. 25, 26, 28, 30 and 31), Cluster D (Recs. 33, 37 and 38) and Cluster E (Rec. 41). The focus of these improvements, to be carried out by the WIPO Secretariat, applicants, Contracting States and national Offices (acting in both their national and international capacities), is to make the PCT System more effective both for processing patent applications and for supporting technology transfer and technical assistance to developing countries. In 2016/17, the Working Group considered, *inter alia*, issues such as:
 - a proposal by Brazil on PCT fee reductions for universities from certain countries, notably developing and least developed countries;
 - the implementation of new eligibility criteria for reductions in certain fees payable to the IB, two years after entry into force of the criteria;
 - a proposal prepared by the IB for better coordination of patent examiner training between national Offices, taking into account questions of effective long term planning, sharing of experiences in delivering effective training, and matching needs for examiner training with Offices able to supply the respective training; and
 - technical assistance and capacity building activities that have a direct bearing on the use of the PCT by developing countries, and on technical assistance activities related to the PCT that are carried out under the supervision of other WIPO bodies (notably the CDIP, the CWS and the WIPO General Assembly).




Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|---|--|--|---|
| Decrease in PCT filings, in absolute terms or relative to Paris route filings | This risk remained stable throughout the biennium. | The mitigation plan to promote the PCT to current and potential users was considered to have contributed to the growth in international patent filings. | The effective mitigation contributed to the positive filing results. |
| Prolonged unavailability of PCT services | While the risk did not materialize, it continued to be a risk throughout the biennium. | One of the main factors associated with this risk would be a malfunction of PCT electronic data processes. Therefore, preparation and regular testing of the Business Continuity Management plan and application of resilience improvements in system architecture were critical to the effective mitigation of this risk. | The reliability of the IB's electronic systems, as ensured through the mitigation approach, contributed to a significant overall use of the System during the biennium. |
| Malicious or unintentional disclosure of confidential information | While the risk did not materialize, it continued to be a risk throughout the biennium. | This risk was effectively mitigated during the biennium through continued awareness programs for staff and an increase in cutting-edge controls in the physical and electronic environment. | Confidence in the System was maintained, which partly contributed to positive results such as an increase in filings and new accessions. |
| Regression in quality of international work products | While the risk did not materialize, it continued to be a risk throughout the biennium. | Effective mitigation was achieved through continued strengthening of quality control procedures by the IB and the encouragement of process improvements and quality assurance by national Offices, particularly those acting as International Authorities. | The Program fully achieved its quality-related performance indicators signalling a positive effect of the mitigation plan. |








Looking Forward

- The 2.5 per cent increase in the unit cost for 2017, as compared to 2016, was due to an 8.6 per cent increase in indirect costs. The direct costs decreased by 0.8 per cent.
- The increase of 3 percentage points in the number of patentability report translations arriving between 30 and 31 months was due to slight delays in the arrival of documents from national Offices within a timeframe meeting with their legal obligations but leaving less time for translation.

Performance Data³³

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|---|--|--|-----|
| II.1 Wider and more effective use of the PCT system for filing international patent applications | | | | |
|  Level of satisfaction of PCT users with PCT-specific legal advice, information, training and customer service | 89% (+11% since 2009) (Results of 2009 and 2015 surveys) | Increase, or at least maintain, the level of satisfaction of PCT users | 90% (+1% since 2015) | ● |
|  Satisfaction of Offices and International Authorities with PCT cooperative activities | 96%-PCT cooperative activities 95%-total survey respondents (2016 survey) (85% 2012 survey) | Maintain the 2015 level of satisfaction of Offices and International Authorities | 98% (42 out of 43 beneficiaries of PCT cooperative activities) 95% (42 out of 44 total respondents) (2018 survey) | ● |
|  Further development of the PCT system, notably implementation of the PCT roadmap recommendations endorsed by PCT Member States | Agreement by Member States as reflected by appropriate PCT bodies up to 2015 (Document PCT/A/47/9) (same) | Decisions by appropriate PCT bodies up to the end of 2017 | In 2016/17, the PCT Working Group continued its discussions aimed at furthering the aims of the Treaty for the benefit of all stakeholders, in line with the PCT roadmap recommendations endorsed by Member States. The Working Group considered issues, <i>inter alia</i> , such as <ul style="list-style-type: none"> - IT-based services further facilitating collaboration between Offices; - more efficient ways of working together and better sharing of information; - a proposal for PCT fee reductions for universities and public research institutions; - the coordination of technical assistance provided under the PCT; and - improved coordination of patent examiner training between Offices. | ● |

³³ Please refer to Annex VII for additional analysis on the indicators for the PCT System.

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|---|--|---|-----|
|  Improved electronic services for applicants, third parties, Offices and Authorities | 29 Offices accept e-filing from ePCT | Increased number of: Offices accepting e-filing from ePCT; | 63 Offices accept e-filing from ePCT (+117% as compared to 2015) | ● |
| | 34 Receiving Offices (ROs) and 8 International Authorities accept documents transmitted by applicants | Offices using ePCT or accepting documents transmitted by applicants using ePCT; | 57 Receiving Offices (+68% as compared to 2015) and 15 International Authorities (+88% as compared to 2015) use ePCT or accept documents transmitted by applicants using ePCT | ● |
| | 7,229 filings using ePCT in 2015 (n/a) | Applications filed using ePCT | Applications filed using ePCT: 11,713 ³⁴ in 2016; 16,901 in 2017 (+134% as compared to 2015) | ● |
| II.3 Improved productivity and service quality of PCT operations | | | | |
|  Application Unit Cost | 735 CHF (2015) (662 CHF (2014)) Average 698 CHF in 2014/15 | 10% biennial reduction in the unit cost (Maintain unit cost despite foreseen investments to enhance PCT resilience and security levels) | Average 694 CHF in 2016/17, -0.6% lower than the 2014/15 biennial average - 685 CHF (2016) (-6.8%) as compared to 2015 - 702 CHF (2017) (+2.5%) as compared to 2016 | ▲ |
|  Aggregate quality of formalities examination (including timeliness) | 92.7% (2015) (93.1% (2014)) | 95% (+/-2%) (Higher quality) | 95.1% (2016) 97.1% (2017) | ● |
|  Timeliness of Report Translation | 90.0% on time (82.5%) | 91% (+/-2%) (Improvement) | 89.1% (2016) 86% (2017) | ● |
|  Quality of Translation | 87.6% (86%) | 88% (+/-2%) (Higher quality) | 86% (2016) 86.2% (2017) | ● |
|  Quality of software development (QSD) | 91.9% (2015) 94.5% (2014) ³⁵ (94.3%) | 95% (+/-2%) (Higher QSD) | 93.3% (2016) 93.7% (2017) | ● |
|  Information systems service levels | 96.5% (2015) 95.1% (2014) ³⁶ (95.3%) | 97% (+/-2%) (Higher information systems service levels) | 97.1% (2016) 97.1% (2017) | ● |

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|--|-------------------------|--------------------------------------|---------------------|
| II.1 Wider and more effective use of the PCT system for filing international patent applications | 27,129 | 26,219 | 24,471 |
| II.3 Improved productivity and service quality of PCT operations | 181,080 | 177,878 | 168,299 |
| Total | 208,209 | 204,097 | 192,770 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 133,970 | 129,150 | 120,528 | 93% |
| Non-personnel Resources | 74,239 | 74,947 | 72,242 | 96% |
| Total | 208,209 | 204,097 | 192,770 | 94% |

³⁴ Corrigendum: There were 11,713 applications filed using ePCT in 2016, not 10,843 as reported in the PPR 2016.

³⁵ The updated figure, as compared to the Original Baseline P&B 2016/17, was calculated using the most up-to-date data.

³⁶ Ibid.

Final Budget after Transfers:

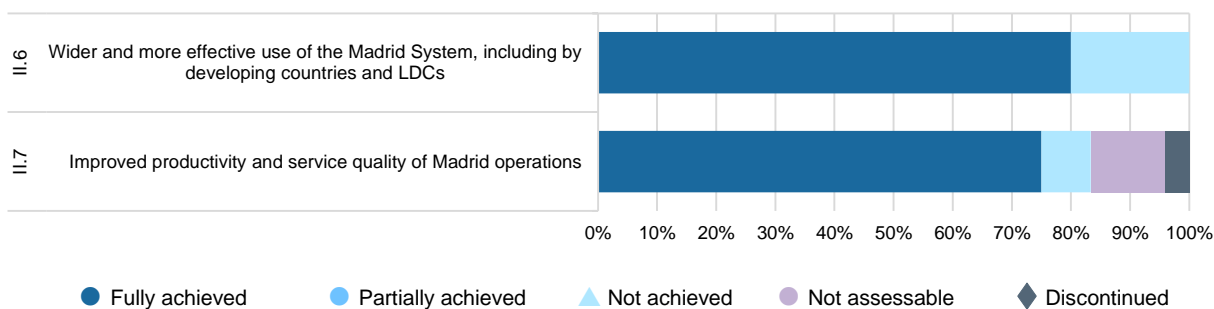
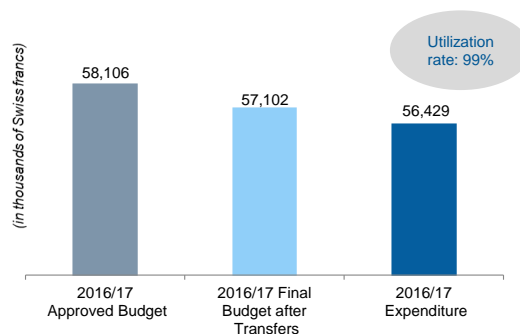
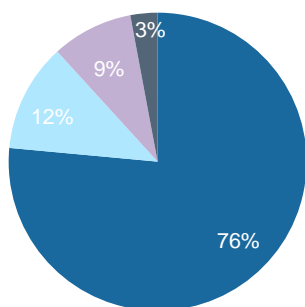
- The net decrease in personnel resources was the result of: (i) transfers, reclassifications and regularizations of continuing functions; and (ii) the redeployment of accrued personnel savings to other organizational priorities.
- The net increase in non-personnel resources was the result of: (i) the transfer of resources into the Program for translation-related needs; (ii) additional resources for an exceptional purchase of furniture and equipment; (iii) the transfer of resources to Program 1 for the twenty-seventh session of the SCP; and (iv) the transfer of resources for internships to Program 23.

Budget Utilization was in line with the Final Budget after Transfers.

PROGRAM 6 The Madrid System

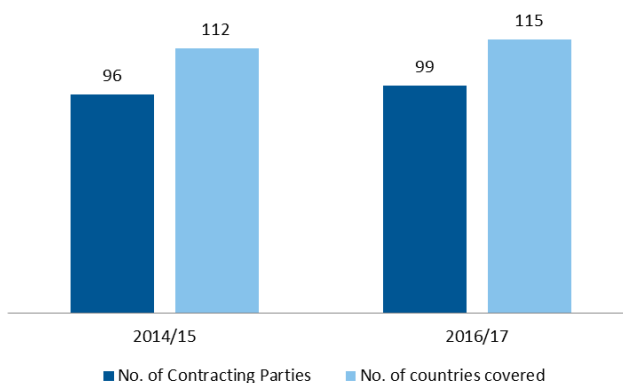
Program Manager Ms. B. Wang

Program Dashboard



Key Accomplishments

- In the biennium, Membership of the Madrid Union grew to 99 Contracting Parties, with new accessions by Brunei Darussalam, the Lao People's Democratic Republic and Thailand, covering 115 countries by the end of 2017.
- Representing a landmark moment for the Madrid System, the 100th instrument of accession (Indonesia) was deposited in October 2017 and will enter into force on January 2, 2018.
- International applications grew by 9.2 per cent in 2016 and 5 per cent in 2017 with 53,533 and 56,200 applications filed respectively, largely outperforming the forecasted targets. The same period saw the overall number of active international registrations grow to 667,881 (a 2.7 per cent increase over 2016), covering a total of 5.8 million designations (a 1 per cent increase over 2016).
- The Madrid Working Group made good progress in the biennium with the adoption of a number of Rule changes, which were approved by the Madrid Union Assembly. In 2016, the Madrid Working Group agreed on a Road Map³⁷



³⁷ [MM/LD/WG/14/4](#)

for work on specific topics targeting milestones in the short, medium and long term. The Road Map was further revised in 2017 to include new topics³⁸.

DA Highlights

Guiding Principles: The activities of Program 6 were guided by Recs. 1, 6, 13, 14 and 17.


Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|--|---|---|
| Madrid System is considered less attractive than the national route in respect of certain Designated Contracting Parties | This risk increased marginally through the biennium due to the potential for added complexity to the legal framework and the post international registration phase following the accessions of new Contracting Parties to the Madrid System. | Risk mitigation actions were effectively implemented and included the development and deployment of electronic tools to assist applicants in the filing of international applications, in particular the new Madrid Members Profile database, and the continued development of the Madrid Goods and Services Manager, including an improved customer experience and additional language availability. | Confidence in the Madrid System was maintained, contributing to the overall positive results. |
| Quality of the International Bureau's services does not meet customer expectations | The constant growth of the Madrid System, in terms of membership as well as actual operations, presented a dynamic challenge to improve the quality of services, particularly for timeliness and accuracy. | Mitigation actions included an enhanced customer service and support center, alignment of staff profiles, and an internal re-organization of the customer support and operational units. | Despite the positive impact of the mitigation actions and although customer service levels saw small gains as compared to 2015, they fell below the Acceptable Quality Level (AQL) in both years of the biennium. |
| Prolonged unavailability of operations at the International Bureau | While the risk did not materialize, it continued to be a risk throughout the biennium. | An Organization-wide Business Continuity Plan was in place, and a new Madrid back-end IT system was deployed in early 2016. | During the stabilization period, the Madrid back-end IT system incurred a temporary slowdown of operations. Following this initial phase, interruptions were contained within agreed service levels. |

Looking Forward

- Due in part to the nature of the accession process at the national level, which can be unpredictable in terms of timing and outcome, the number of new Contracting Parties to the Madrid System did not meet the biennial target. Promotion of the Madrid System and provision of assistance to Member States with a view to spurring new accessions and ratifications will continue towards expanding the geographical coverage of the System in 2018/19.
- The percentage of irregular applications is beyond the control of the IB, as the quality of the applications—and in particular the classification of goods and services—is determined by applicants and Offices of origin. Nevertheless, the Program will intensify its efforts to reduce the number of applications showing such irregularities by further developing and improving the Madrid Goods and Services Manager, the main electronic tool to control acceptable goods and services specifications.











Performance Data³⁹

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|-----------------------|---------|---|-----|
| II.6 Wider and more effective use of the Madrid System, including by developing countries and LDCs | | | | |
|  Total Membership of the Madrid System | 96 ⁴⁰ (95) | 103 | 99 Contracting Parties covering 115 countries | ▲ |

³⁸ [MM/LD/WG/15/4](#)

³⁹ Please refer to Annex VIII for additional analysis on the indicators for Madrid Operations.

⁴⁰ The baseline was updated to reflect the number of Contracting Parties at the end of 2015 based on the date of entry into force, as compared to the date of deposit of instrument reflected in the PPR 2014/15.

| | Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|---|--|---|-----|
| | Market share (i.e., national route versus Madrid route) (Madrid) | 62.6% end 2015 (63.4%-2012 ⁴¹) | Increase of market share | 63% end 2016 | ● |
|  | Filing rate (Madrid) ⁴² | 49,036 (47,885) | 2016: + 4.6% 2017: + 2.3% | 2016: 53,533 (+9.2%) 2017: 56,200 (+5%) (preliminary) | ● |
|  | Registrations (Madrid) ⁴³ | 51,938 (42,430) | 2016: > 47,500 (47,387) 2017: > 52,000 (48,652) | 2016: 44,726 2017: 56,267 (preliminary) | ● |
|  | Renewals (Madrid) ⁴⁴ | 28,502 (25,729) | 29,850 (2016) 31,020 (2017) | 2016: 29,218 2017: 29,362 (preliminary) | ● |
|  | Total no. of registrations ⁴⁵ (Madrid) | 626,556 (594,477) | 2016: 630,000 2017: 650,000 | 2016: 650,253 2017: 667,881 (preliminary) | ● |
|  | Total no. of designations ⁴⁶ (Madrid) | 5.66 million (5.61 million) | 2016: 5.68 million 2017: 5.7 million | 2016: 5.74 million 2017: 5.8 million (preliminary) | ● |
|  | Irregularity rate (Rules 12 and 13) (Madrid) | 2014: 34% 2015: 39% (36%) ⁴⁷ | Decrease | 2016: 40.9% 2017: 45.4% | ▲ |
|  | | Acceptable terms in MGS in English 76,300 (67,050) | 2016: 80,000 2017: 90,000 (80,000) | 2016: 86,400 2017: 94,000 | ● |
|  | Functional improvements to the Madrid System | Common Regulations and Administrative Instructions in force on December 31, 2015 ⁴⁸ (same) | Amendments to the Common Regulations and Administrative Instructions | Amendments adopted by the Madrid Union Assembly in October 2016 (Rules 3, 12, 18ter, 22, 23bis, 25 to 27, 27bis, 27ter, 32, 40 and Schedule of fees ⁴⁹) | ● |
| II.7 Improved productivity and service quality of Madrid operations | | | | | |
|  | Client satisfaction (Madrid) | No Survey in 2015 (Service Orientation Index in 2014-39) | Improvement in Index | No survey conducted in 2016/17 | ● |
|  | Unit cost (Madrid) | Registration/renewal Cost: 2014: 837 CHF (same) 2015: 743 CHF | Reduction in both unit cost categories | Registration/renewal Cost ⁵⁰ : 2016: 746 CHF 2017: 731 CHF | ● |
| | | Inscription Unit Cost: 2014: 322 CHF (320 CHF) 2015: 323 CHF | | Inscription Unit Cost ⁵¹ : 2016: 318 CHF 2017: 320 CHF | ● |

⁴¹ The updated baseline is based on a new methodology as compared to the Original Baseline P&B 2016/17. Based on the new methodology, at the end of 2012, the market share was 67 per cent.

⁴² Source: Data from the [IP Statistical Data Center](#) as of February/March 2018

⁴³ Ibid.

⁴⁴ Ibid.

⁴⁵ The total number of registrations refers to the total number of active registrations as at December 31, 2017.

⁴⁶ The total number of designations refers to the total number of designations in active registrations as at December 31, 2017.




⁴⁷ Updated baselines reflect classification irregularities related to Rules 12 and 13 rather than overall irregularities.


⁴⁸ Document [MM/LD/WG/13/2](#)

⁴⁹ Report of the Fiftieth Session of the Madrid Union Assembly: [MM/A/50/5](#)

⁵⁰ Due to a refinement in the calculation for the Total Cost of Production (See the Annex on the Indicators of the Madrid Operations, paragraph 7), the unit cost is not comparable to the baseline, resulting in a rating of Not assessable.

⁵¹ Ibid.

| Performance Indicators | Baselines | Targets | Performance Data | | PIE | |
|---|---|---|---|-------------|------|---|
| Timeliness of transactions (days) (Madrid) | | Improvement across all transactions | 2016 | 2017 | ▲ | |
| | Applications: 57 (70) | | Applications | 64 | 62 | |
| | Renewals: 56 (63) | | Renewals | 65 | 65 | |
| | Sub. Designations: 32 (56) | | Sub. Designations | 42 | 38 | |
| | Decisions: 11 (12) | | Decisions | 24 | 43 | |
| | Modifications: 56 (79) | | Modifications | 62 | 80 | |
| | Corrections: 123 (232) | | Corrections | 140 | 227 | |
|  Quality (Madrid) | | <u>AQL</u> | <u>2016</u> | <u>2017</u> | | |
| | Nice: 89% | 90% | Nice | 91% | 88% | ● |
| | Formalities Exam.: 95% | 95% | Formalities Examinations | 94% | 95% | ● |
| | Decisions: 99% | 97% | Decisions | 96% | 99% | ● |
| | Modifications: 95% | 95% | Modifications | 95% | 97% | ● |
| | Renewals: 92% | 95% | Renewals | 96% | 96% | ● |
| | Client Records: 100% | 99% | Client Records | 100% | 100% | ● |
| | Customer Service: 79% | 90% | Customer Service | 83% | 82% | ▲ |
| | Translation: | | Translation | | | |
| | EN: 100% | | EN | 99% | 98% | ● |
| FR: 98% | 95% | FR | 99% | 99% | | |
| ES: 96% (tbd) | (tbd) | ES | 97% | 98% | | |
|  Improved operation of the Madrid Registry, including electronic processes and procedures (Madrid) | Documents received electronically: 79% | > 79% (75%) | Documents received electronically: 2016: 81% 2017: 83% | | ● | |
| | email notifications: 325,000 | > 325,000 annual (250,000) | email notifications: 2016: 378,000 2017: 462,000 | | ● | |
| | MPM Clients: 2,752 | > 2,752 biennial (2,000) | MPM Clients: 2016: 3,912 2017: 4,291 | | ● | |
| | Offices sending XML: 27 | > 27 biennial (20) | Offices sending XML: 2016: 30 2017: 43 | | ● | |
| | Intelligent web form: 1 | 6 biennial (same) | Intelligent web form: 4 for the biennium | | ● | |
| | Documents: inbound: 690,000 | 750,000 annual (same) | Documents: inbound: 2016: 725,000 2017: 741,285 | | ● | |
| | outbound: 1,750,000 (same) | 2,000,000 annual (same) | outbound: 2016: 1,575,000 2017: 1,758,779 | | ● | |
|  Stable provision of evolving Madrid back office IT services | Prototype of Madrid Monitor presented. (No service interruption. Enhancements delivered and deployed on time) | No service interruption; no. of ICT incidents | (i) Madrid Monitor replaced ROMARIN and associated services completely, without service interruption; (ii) 4 minor (<1 hour) M-IRIS ICT incidents, 99.9% uptime | | ● | |
| | | Enhancements delivered and deployed on time | Specified enhancements delivered and deployed on time in accordance with requirements | | ● | |

| | Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|--|--------------------------------|--|-----|
|  | 3 deployed versions of M-IRIS and 3 deployed versions of Madrid eFiling (IRPI) | M-IRIS deployed Madrid eFiling deployed | 3 new versions of M-IRIS | Specified enhancements to M-IRIS delivered on time and in accordance with requirements | ● |
| | | | 3 new versions of D-IRIS | Work began at the end of 2016 on the Hague IT platform, replacing D-IRIS | ◆ |
| | | | New versions of Madrid eFiling | 2 major eFiling releases in the biennium | ● |

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|--|-------------------------|--------------------------------------|---------------------|
| II.6 Wider and more effective use of the Madrid system, including by developing countries and LDCs | 15,755 | 16,223 | 15,753 |
| II.7 Improved productivity and service quality of Madrid operations | 42,253 | 40,879 | 40,676 |
| II.11 Improved productivity and service quality of Lisbon operations | 99 | - | - |
| Total | 58,106 | 57,102 | 56,429 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|----------------------|---------------------|----------------------|
| Personnel Resources | 43,948 | 40,085 | 41,324 | 103% |
| Non-personnel Resources | 14,159 | 17,017 | 15,105 | 89% |
| Total | 58,106 | 57,102 | 56,429 | 99% |

Final budget after Transfers: The decrease in the Final Budget after Transfers was primarily due to a redistribution of resources from personnel to non-personnel to accommodate more flexible and agile resourcing of Madrid Operations as part of the Madrid Reform Initiative, including the expansion of the Madrid Fellowship Program, as reflected under ER II.7.

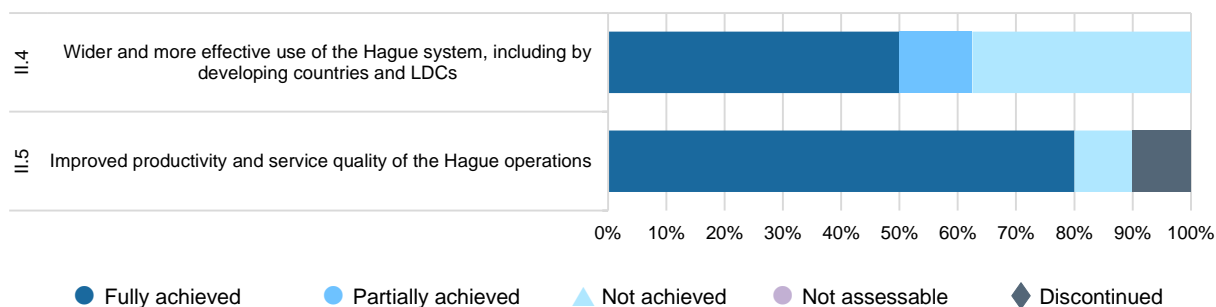
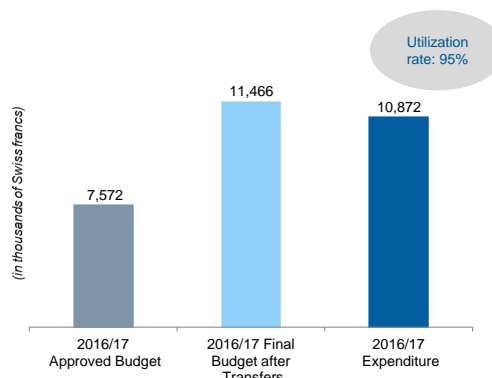
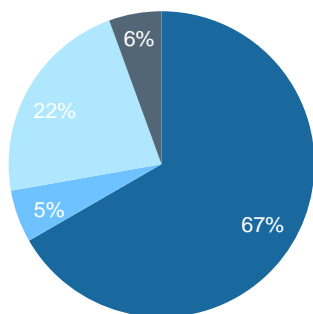
Budget Utilization:

- Overall Budget Utilization was in line with the Final Budget after Transfers.
- The lower utilization of non-personnel resources was due primarily to: (i) costs savings related to translation and document handling; and (ii) the postponement of enhancements to the existing Madrid IT system pending the approval of the proposal for the Madrid IT Platform Capital Master Plan project.

PROGRAM 31 The Hague System

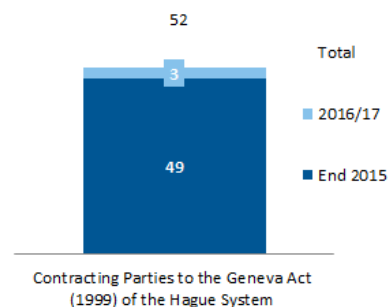
Program Manager Ms. B. Wang

Program Dashboard



Key Accomplishments

- The 1934 Act of the Hague Agreement was effectively terminated on October 18, 2016, following the receipt of the last missing consent to termination and as per the decision of the Extraordinary Meeting of its Contracting States in September 2009.
- Membership to the Geneva Act (1999) of the Hague Agreement increased to 52 countries following accessions by Cambodia, the Democratic People's Republic of Korea and Turkmenistan. The Democratic People's Republic of Korea's accession also meant that the number of countries bound exclusively by the 1960 Act (outside the EU and OAPI memberships) was reduced to three.
- A new record in the absolute growth figure for international applications filed was achieved in the first half of the biennium, with 5,562 applications, representing a 35 per cent growth rate over 2015.
- The number of designs contained in the applications filed under the Hague System grew by 3.8 per cent in 2017 as compared to 2016, reaching 19,429 designs, representing 11 years of uninterrupted growth for the Hague System. Two electronics giants from the Republic of Korea, Samsung Electronics (762 designs) and LG Electronics (668), ranked first and second respectively in the top applicants list.
- Work began at the end of 2016 on the Hague IT Platform, with current state assessment and planning. In 2017, the project was launched, with a focus on redesign of the core back-end system so as to deal with new business requirements, including data granularity and ST.96.



DA Highlights

- **Guiding Principles:** The activities of Program 6 were guided by Recs. 1 and 6.

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|---|--|--|--|
| Decline in the level of customer satisfaction due to difficulties in coping with growth in filings and information requests and to the growing complexity of the system as a result of the implementation of features supporting novelty examination in certain designated Offices. | Risk remained stable due to less than anticipated growth in the number of new Contracting Parties. | The mitigation plan to enhance efficiency and effectiveness in all aspects of system administration and the development of IT solutions was begun in 2016/17, although it was too early in the project to effectively contribute to reducing this risk. The promotion of best practices, including through the development of practice guides and notes on design examination, were successful and facilitated applicants in the processing of their applications. | There was no measurable negative impact on performance. Examination inventory and pendency were low, with 78 per cent and 86 per cent of applications processed within three weeks in 2016 and 2017, respectively. |

Looking Forward

- Although the ratification/accession target was ambitious, the Program partially achieved the target by actively supporting the local authorities in their accession initiatives, notably, through the holding of technical video-conferences and/or the provision of legislative advice. The Program will continue this approach in the 2018/19 biennium.
- The application and design filing figures were forecasted taking into account the ratifications or accessions foreseen to take place in the 2016/17 biennium.

Performance Data⁵²

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|---|--|--|-------------|
| II.4 Wider and more effective use of the Hague system, including by developing countries and LDCs | | | | |
|  Membership of the Geneva (1999) Act | 49 ⁵³ (49) Contracting Parties | 60 Contracting Parties | 3 additional Contracting Parties (Cambodia, Democratic People's Republic of Korea and Turkmenistan) for a total of 52 Contracting Parties on December 31, 2017 | ▲ |
|  Share of Offices concerned providing information on the Hague System to their users. | 47 (38) national or regional Offices were providing information on the Hague System. 10 Offices had no website (same) | Increased share of Offices providing information on the Hague System | At the end of 2017, 48 national or regional Offices were providing information on the Hague System; 6 Offices had no website. | ● |
|  Hague filings and renewals | Applications: 4,111 (2,924) Designs contained: 16,435 (14,441) Renewals: 3,194 (2,703) | 2016: Applications: 4,940 Designs contained: 22,730 Renewals: 2,830 (-1.0%) | 2016: Applications: 5,562 Designs contained: 18,716 Renewals: 3,150 | ● ▲ ● |
| | | 2017: Applications: 5,710 Designs contained: 26,140 Renewals: 2,940 (+3.9%) | 2017: Applications: 5,213 Designs contained: 19,429 Renewals: 3,297 | ● ▲ ● |

⁵² Please refer to Annex IX for additional analysis on the indicators for the Hague System Operations.

⁵³ The baseline has been updated to reflect the number of Contracting Parties at the end of 2015 based on the date of entry into force, as compared to the date of deposit of instrument reflected in the PPR 2014/15.

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|---|---|---|------------|
| II.5 Improved productivity and service quality of Hague operations | | | | |
|  Predominance of the Geneva (1999) Act in the Hague System | 11 (10) consents received with 2 more consents still required for the termination of the 1934 Act, and 4 Contracting Parties (CPs) outside the EU and OAPI still bound only by the 1960 Act. | All (13) consents to termination received. All CPs to be bound by the 1999 Act (or members of an intergovernmental organization party to the 1999 Act). | The 1934 Act was terminated on October 18, 2016. 3 Contracting Parties outside the EU and OAPI still bound only by the 1960 Act, following the accession to the 1999 Act by 1 Contracting Party. | ● ▲ |
|  Processes and procedures adapted to geographical and legal evolution of the system | Processes and procedures adapted | Processes and procedures adapted | A guide on how to prepare reproductions of designs in order to forestall possible refusals by Examining Offices on the ground of insufficient disclosure was published on August 10, 2016. | ● |
|  Progress towards the enhancement of the legal framework | Amendments to the Common Regulations, among others, introducing a "feedback mechanism", came into force on January 1, 2015. Amendments to the Administrative Instructions, among others, relaxing certain requirements concerning reproductions and representations, came into force on July 1, 2014. (same) | Updating the Hague legal framework to keep pace with the evolution in the design field worldwide. | Amendments to the Common Regulations, introducing a "safeguard" against failure to meet a time limit for an electronic communication, came into force on January 1, 2017. Amendments to the Common Regulations as approved by the Hague Union Assembly in 2016 ⁵⁴ will come into effect at a date to be decided by the IB once the IT environment is ready. | ● |
|  Improved operation of the Hague Registry, including electronic processes and procedures | 4 cumulative (2 electronic Hague interfaces) | 6 additional electronic Hague interfaces | 6 additional electronic Hague interfaces ⁵⁵ (10 cumulative) | ● |
|  Stable provision of evolving the Hague back office IT services | No service interruption Enhancements delivered and deployed on time | No service interruption Enhancements delivered and deployed on time | No service interruptions in 2016/17 Specified enhancements were delivered and deployed on time in accordance with the specified requirements. | ● ● |
|  Flexibility of data recorded in the International Register | Progress made on the design choices, yet the implementation was scheduled for after the conversion of the main IT system, an event that did not occur during the biennium: DIRIS. (Following amendments to the legal framework of the Hague System, more flexibility concerning optional contents of an international application may be indicated and recorded in the International Register. Inability to record granular design information) | Flexibility of data recorded in the International Register and possible specification of further optional contents to be recorded in the International Register. Ability to record granular design information | New data model was developed as part of the Hague Platform Project (HPP) (which will be the backbone of the future Hague IT platform) that enables the acceptance, storage and use of granular data. The data structure also complies with ST96, enabling offices to send/receive standardized data formats. The HPP architecture also included relational database technology that accepts UTF8 character sets. | ● |
|  3 deployed versions of DIRIS and 3 deployed versions of Hague E-Filing | DIRIS not deployed, E-Filing HPM in production, current database design does not reflect the newly required granularity, E-Filing does not enable the electronic reply to irregularity letters | 3 deployed new versions of DIRIS 3 deployed updated versions of Hague E-Filing, electronic irregularity response enabled and a revised logical database design | Work began at the end of 2016 on the Hague IT Platform. In 2016/17: - E-filing enhancements enabling electronic replies to irregularity letters - 8 updated versions of Hague E-filing were deployed. | ◆ ● |

⁵⁴ H/A/36/1

⁵⁵ (i) Statement of Grant of Protection; (ii) reception and handling of indirect filings by KIPO; (iii) automation of the handling of replies to irregularities sent through E-Filing; (iv) payment authorization; (v) certified copy processing; (vi) "Contact Us" E-form

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------------|--|------------------------|
| II.4 Wider and more effective use of the Hague system, including by developing countries and LDCs | 5,337 | 5,769 | 5,525 |
| II.5 Improved productivity and service quality of the Hague operations | 2,234 | 5,697 | 5,346 |
| Total | 7,572 | 11,466 | 10,872 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------------|--|------------------------|-------------------------|
| Personnel Resources | 6,226 | 7,402 | 7,179 | 97% |
| Non-personnel Resources | 1,346 | 4,065 | 3,692 | 91% |
| Total | 7,572 | 11,466 | 10,872 | 95% |

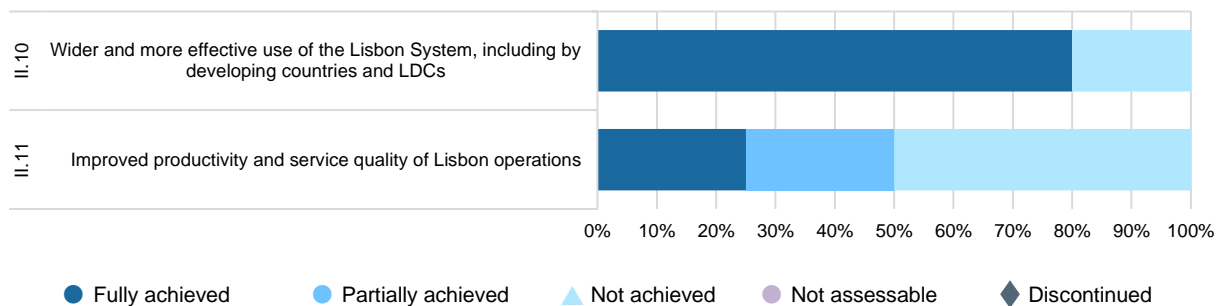
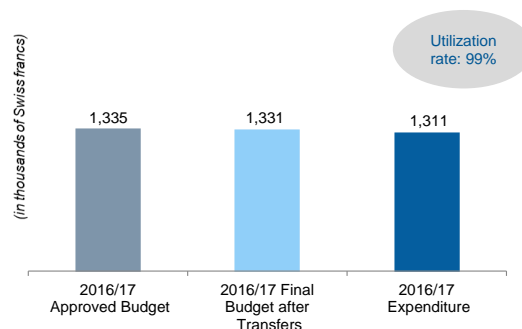
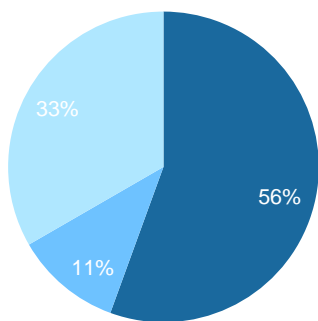
Final Budget after Transfers: The increase in resources was due to: (i) the transfer of additional non-personnel resources to implement the initial phases of the Hague IT Platform Project; (ii) the transfer of a position from Program 15 to support the implementation of the project, both reflected under ER II.5; and (iii) the transfer of three temporary positions and subsequent regularization of two of the positions to support the additional examination demands following the accessions of Japan and the United States of America and in anticipation of the accession of the Russian Federation, as reflected under ER II.4.

Budget Utilization was in line with the Final Budget after Transfers.

PROGRAM 32 Lisbon System

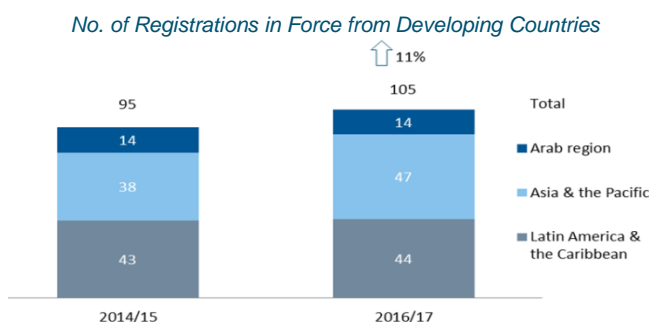
Program Manager Ms. B. Wang

Program Dashboard



Key Accomplishments

- In April 2017, the Lisbon Working Group finished its work on the draft Common Regulations under the Lisbon Agreement and the Geneva Act of the Lisbon Agreement. Following the Working Group's recommendation, the Assembly of the Lisbon Union adopted the Common Regulations in October 2017, and decided that their entry into force, including the relevant Schedule of Fees, would coincide with the entry into force of the Geneva Act⁵⁶. The Lisbon Union Assembly decided also to extend the mandate of the Working Group with a view to allowing further discussions on the development of the Lisbon System, including solutions for its financial sustainability.
- The International Bureau collected from Lisbon Union members an amount of 1.323 million Swiss francs in the form of subventions under Article 11(3) (iii) of the Lisbon Agreement, as part of the measures decided by the Assembly of the Lisbon Union, in 2016, to eliminate the projected biennial deficit of the Lisbon Union as reflected in Annex III of the Program and Budget 2016/17.
- The Lisbon Registry received, *inter alia*, 61 new applications for the registration of appellations of origin, 54 statements of grant of



⁵⁶ The Geneva Act of the Lisbon Agreement will enter into force three months after five eligible parties have deposited their instruments of ratification or accession.

protection and 88 refusal declarations, amounting to a total of 214 transactions. The total number of registrations in force increased by 13 per cent, from 931 in 2014/15 to 1,056 in 2016/17. Of these, 105 originate from developing countries or LDCs, surpassing the biennial target two-fold.

DA Highlights

Guiding Principles:

- The Program's technical assistance, capacity-building and legislative assistance activities continued to be guided by Recs. 1, 6, 13 and 14. In particular, the Program undertook 35 activities where new developments affecting the Lisbon System, including the Geneva Act, were presented, while pointing out the variety of means at the disposal of Member States to provide protection for geographical indications, as well as the flexibilities and exceptions to protection introduced in the Lisbon System by the Geneva Act.
- The Program cooperated more intensively with other UN agencies, in particular FAO and UNCTAD (Rec. 40).
- Norm setting activities of the Lisbon Working Group were guided by Recs. 15, 16, 17, 20, 21 and 42.


Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|--|---|---|
| The risks were identified after the preparation of the Program and Budget 2016/17. | <p>The Geneva Act of the Lisbon Agreement was adopted in 2015. The absence of ratifications of the Geneva Act could jeopardize its entry into force.</p> <p>The projected biennial deficit of the Lisbon Union presented a risk to the financial sustainability of the Lisbon Union.</p> | <p>While recognizing the option of providing protection for geographical indications through the trademark system, the mitigation for this risk was awareness-raising to highlight the advantages of the Lisbon System, including the focus on improved flexibilities and safeguards relating to third parties' interests, as introduced in the Geneva Act.</p> <p>Mitigation actions by Lisbon Union Member States included the decision to contribute subventions to the Lisbon Union in order to eliminate the projected biennial deficit for 2016/17. As a further mitigation action, the WIPO Assemblies in 2015 decided to approve a loan from the reserves of the Contribution-financed Unions to the Lisbon Union in order to fund the operations of the Lisbon System for 2016/17, in case such measures were not sufficient to cover its projected biennial deficit.</p> <p>The Secretariat contributed to these measures by providing information and meeting facilities for Lisbon Union members to facilitate their consultations.</p> | <p>Despite the increased focus on awareness-raising in 2016/17 to encourage ratifications of the Geneva Act, the Act was not ratified.</p> <p>The shift of resources within the Program to mitigate this risk led to the postponement of other activities, which had an adverse impact on the achievement of certain performance targets related to the enhanced automation of the Lisbon Registry.</p> |

Looking Forward

- Progress in the expansion of the geographical coverage of the Lisbon System did not meet the biennial target. In 2018/19, the Program will continue its awareness-raising and promotional activities, aimed at bringing the Geneva Act into force and emphasizing the variety of means at the disposal of Member States to provide protection for geographical indications.
- Progress on the enhancements to the IT tools and the integration of the Bulletin into the Lisbon Express database was limited or postponed in 2016/17 primarily due to the prioritization of bringing the Geneva Act into force, which will remain the focus in 2018/19. The prioritization of such IT enhancements to improve productivity and service levels will be reviewed in the context of the expansion of the geographical coverage of the Lisbon System.

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|---|---|---|-----|
| II.10 Wider and more effective use of the Lisbon System, including by developing countries and LDCs | | | | |
| Expansion of the geographical coverage of the Lisbon System | 0 (<i>tbd</i>) | Up to 5 Contracting parties to the Geneva Act by the end of 2017 | No new Contracting Parties | ▲ |
| % of participants in Lisbon System events satisfied and reporting enhanced awareness post an event | 84% of participants satisfied (<i>same</i>) 7 (5) information and promotion events with a specific focus on the Lisbon System, including its revision, in all regions | 85% of participants satisfied | 28 events with 95% of participants satisfied | ● |
| No. of international applications and other transactions (Lisbon) | 259 transactions in 2014/15: - 115 international applications (80 in 2014) - 105 statements of grant protection (26 in 2014) - 39 refusal declarations (15 in 2014) | 120 transactions in 2016/17 (100) - 20 new international applications (per annum) - 60 statements of grant of protection - 20 refusal declarations | 214 transactions in 2016/17: - 61 international applications Other transactions: - 54 statements of grant of protection - 88 refusal declarations - 8 withdrawals of refusal - 2 modifications/corrections - 1 cancellation | ● |
|  No. of international registrations from developing countries and LDCs in force under the Lisbon System (in relation to the total no.) | 95 (78) out of 931 (896): Arab region 14 Asia and the Pacific 38 Latin America and the Caribbean 43 | 100 (90) out of 971 (950) | 105 (out of 1,056): - Arab region 14 - Asia and the Pacific 47 - Latin America and the Caribbean 44 | ● |
| II.11 Improved productivity and service quality of Lisbon operations | | | | |
| Adoption of provisions streamlining the Lisbon System legal framework | Geneva Act of the Lisbon Agreement on Appellations of Origin and Geographical Indications adopted in May 2015 (<i>Current legal framework and legal framework of the Geneva Act of May 2015</i>) | Adoption of the Common Regulations under the Lisbon Agreement and the Geneva Act | The Lisbon Union Assembly adopted the Common Regulations under the Lisbon Agreement and the Geneva Act of the Lisbon Agreement in October 2017. | ● |
| Increased use of electronic means for filing and processing international applications and other transactions (Lisbon) | Streamlined procedure for notifications implemented via the WIPO Inquiry Notification System (WINS) (<i>Current data entry tool, current Bulletin and database</i>) | Improved data entry tool | At the end of 2017 enhancements to the existing IT tools to generate electronic notifications to Competent Authorities, including related certificates and official communications, were in the test phase, with deployment to the user community planned for 2018. | ● |
| | | Integration of the Bulletin into the Lisbon Express database | The integration of the Lisbon Bulletin into the Lisbon Express database was postponed. | ▲ |
| Improved electronic services for the Lisbon Registry | Electronic interface linking the International Register and Lisbon Express database on the WIPO website was completed and deployed in 2014 (<i>Simple implementation of an electronic register</i>) | Electronic filing web forms | At the end of 2017, the development of electronic filing forms remained in an exploratory phase. | ▲ |

Resource Utilization

Budget and Expenditure (by result) (in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------|--------------------------------------|---------------------|
| II.10 Wider and more effective use of the Lisbon system, including by developing countries and LDCs | 785 | 854 | 836 |
| II.11 Improved productivity and service quality of Lisbon operations | 550 | 477 | 475 |
| Total | 1,335 | 1,331 | 1,311 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------------|--|------------------------|-------------------------|
| Personnel Resources | 1,124 | 1,120 | 1,121 | 100% |
| Non-personnel Resources | 211 | 211 | 190 | 90% |
| Total | 1,335 | 1,331 | 1,311 | 99% |

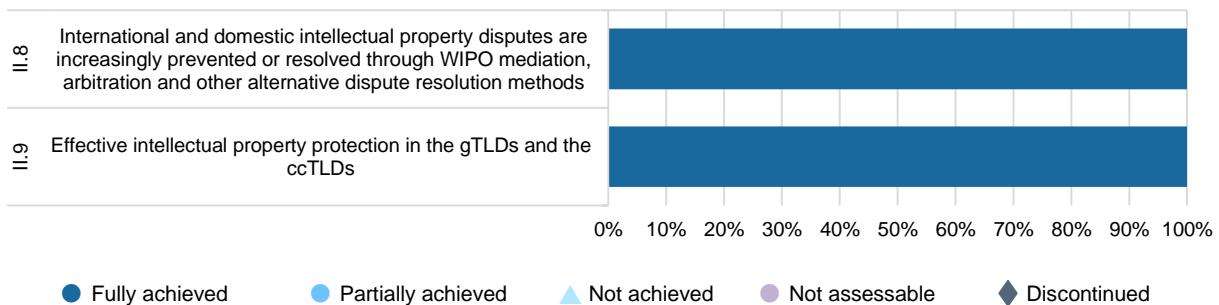
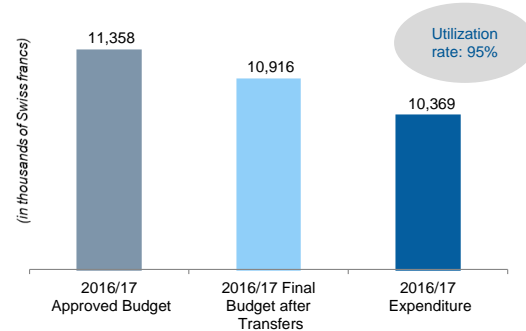
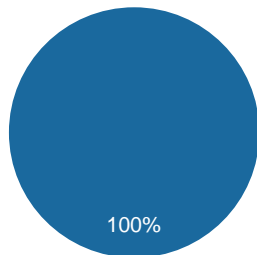
Final Budget after Transfers: The increase in resources allocated to ER II.10 was due to a shift in personnel resources to support the wider and more effective use of the Lisbon System, including by developing countries and LDCs.

Budget Utilization was in line with the Final Budget after Transfers.

PROGRAM 7 WIPO Arbitration and Mediation Center

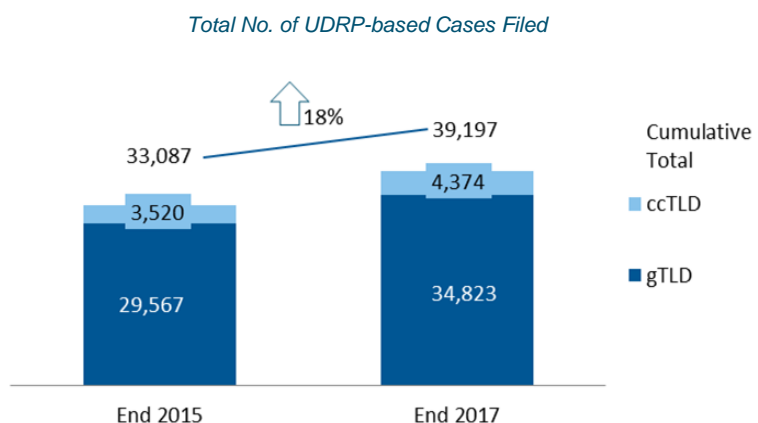
Program Manager Mr. J. Sandage

Program Dashboard



Key Accomplishments

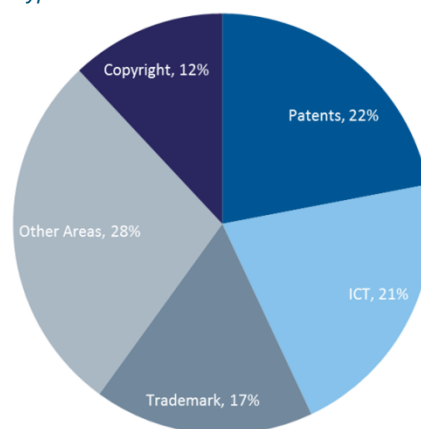
- In 2016/17, trademark owners filed a total of 6,110 cases under the Uniform Domain Name Dispute Resolution Policy (UDRP) with the WIPO Arbitration and Mediation Center (WIPO Center). This reflects record filing in both 2016 and 2017 (3,036 and 3,074, respectively). WIPO UDRP-based cases involved parties from 125 countries and were administered in 17 different languages. Since the WIPO Center administered the first UDRP case in 1999, total WIPO case filings passed the 39,000 mark in 2017, encompassing over 73,000 domain names. The WIPO Center launched a new edition of the WIPO Jurisprudential Overview. Covering over one hundred topics, this WIPO case filing tool captures developments in the Domain Name System (DNS) and WIPO UDRP jurisprudence.



- With the addition in 2017 of the .EU (European Union) and .SE (Sweden) domains, the total number of country-code Top-Level Domains (ccTLDs) for which the WIPO Center provides dispute resolution services rose to 76.

- One hundred and twelve mediation and arbitration cases were received by the WIPO Center. Patent-related disputes (22 per cent) were most common, followed by ICT (21 per cent), copyright (12 per cent), and trademark (17 per cent) disputes, as well as others in the areas of distribution and franchising, industrial design, and art and cultural heritage.
- Respondents with experience in IP disputes named the WIPO Center as their second-most used institution in a survey on the use of arbitration for Technology, Media and Telecom disputes by the School of International Arbitration, Queen Mary University of London. Where respondents expressed a preference for an institution in these dispute areas, the WIPO Center ranked first.⁵⁷
- In 2016/17, the WIPO Center entered into collaboration with IP authorities in 12 Member States concerning the promotion or development of alternative dispute resolution (ADR) options for parties to IP disputes in the concerned jurisdictions.

Types of Arbitration & Mediation Cases



DA Highlights

Guiding Principles: The design, planning and implementation of WIPO Center activities were informed and guided by the relevant DA Recommendations (Recs. 10, 23, and 27) and included: (i) provision of information and technical assistance to IP Offices and other Member State authorities in establishing optional ADR frameworks for disputes⁵⁸; (ii) collaboration with the TISC program concerning the use of ADR for licensing and other model agreements in the R&D and technology transfer sectors⁵⁹; and (iii) provision of technical assistance to ccTLD authorities in the voluntary establishment of best registry practices and domain name dispute resolution mechanisms.⁶⁰

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|--|--|---|
| Reduced market recognition of WIPO arbitration and mediation services. | While new ADR providers in the area of IP emerged internationally and nationally-supported existing providers increased their focus on IP, mitigation focused on preventing the risk severity from increasing substantially over the course of the biennium. | A series of action plans mitigated the increasing inherent risk, including: (i) legal and promotional initiatives; (ii) intensified cooperation with IP Offices and other IP authorities; (iii) leveraging WIPO's External Offices and the WIPO Center's presence in Singapore; and (iv) collaboration with other WIPO Programs (including TISCs). Further initiatives involved outreach events, expansion of information resources in multiple languages, increased promotional use of social media, and support of ADR market surveys. | Connecting the legal areas of IP and ADR continued to pose challenges, both in terms of stakeholders and of litigation practices. However, WIPO's initiatives and mitigation actions positively contributed to the Center's market recognition. |
| Decrease in UDRP filing, affecting WIPO DNS policy influence and Center status in DNS ADR. | This risk increased, with ICANN's continued accreditation of further UDRP providers and further DNS expansion, which impacted the centralized provision of ADR. Importantly, ICANN also launched a review of DNS Rights Protection Mechanisms, including the UDRP. | WIPO closely followed ICANN's processes from its DNS ADR position and actively pursued its mitigation strategy, notably through policy engagement in collaboration with IP stakeholders and by ensuring WIPO's added value remained relevant to the UDRP system, for example through the introduction of a significantly expanded version of the WIPO Jurisprudential Overview. | Despite the increase in the risk exposure during the biennium, the effective mitigation measures helped WIPO's UDRP-based caseload (including ccTLD domain names) to actually increase over the reporting period. |

⁵⁷ http://www.wipo.int/amc/en/new/2016_qmsurvey.html

⁵⁸ <http://www.wipo.int/amc/en/center/specific-sectors/ipoffices/>

⁵⁹ <http://www.wipo.int/amc/en/center/specific-sectors/rd/>

⁶⁰ <http://www.wipo.int/amc/en/domains/cctld/>

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|---|---|-----|
| II.8 International and domestic intellectual property disputes are increasingly prevented or resolved through WIPO mediation, arbitration and other alternative dispute resolution methods | | | | |
|  Increased use of alternative dispute resolution services and clauses in intellectual property transactions and registrations, including through WIPO procedures | 422 (393) disputes and 202 (148) bons offices cumulative | 150 (40) additional disputes and bons offices | 113 additional disputes and 137 bons offices 535 disputes and 339 bons offices | ● |
| | 7,500 additional queries in 2014/15 (4,000 - 2012/13) | 7,500 additional queries (4,000) | 6,570 additional queries | ● |
| | 3.1 million additional web visits in 2014/15 (1.55 million - 2014) | 3.1 million additional web visits (1.5 million) | 3.1 million additional web visits | ● |
| | 262 participants at Center events in 2014/15 (408 - 2012/13) | 400 participants at Center events (250) | 2,942 participants at Center events | ● |
|  Alternative dispute resolution policies to which the Center has contributed in respect of their development and implementation | 9,670 participants at events involving Center representation in 2014/15 (4,000 - 2012/13) | 9,670 participants at events involving Center representation (6,000) | 11,827 participants at events involving Center representation | ● |
| | 23 (15) schemes adopted cumulative | 4 to 6 additional schemes (1 to 3) | 17 additional schemes adopted ⁶¹ (40 cumulative) 6 schemes supported ⁶² | ● |
| II.9 Effective intellectual property protection in the gTLDs and the ccTLDs | | | | |
|  No. of UDRP based gTLD and ccTLD cases administered by the Center | 29,567 (27,189) gTLD cases cumulative | 4,000 (3,000) additional gTLD cases | 5,256 additional gTLD cases 34,823 cumulative end 2017 | ● |
| | 3,520 (3,144) ccTLD-only cases cumulative | 450 (350) additional ccTLD-only cases | 854 additional ccTLD-only cases 4,374 cumulative end 2017 | ● |
|  Dispute resolution policies in the Domain Name System to which the Center has contributed in respect of their development and implementation | UDRP, Updated UDRP Rules for new Registrar Lock provisions, ICANN Pre-Delegation Dispute Resolution Policy, ICANN Trademark Post-Delegation Dispute Resolution Procedure – cumulative (UDRP, Pre-Delegation Dispute Resolution Policy, Trademark Post-Delegation Dispute Resolution Procedure -cumulative) | Implementation in the Domain Name System of WIPO policy and process recommendations | UDRP, Updated UDRP Rules for new Registrar Lock provisions, ICANN Pre-Delegation Dispute Resolution Policy, ICANN Trademark Post-Delegation Dispute Resolution Procedure (cumulative end 2017). No additional policies or recommendations to be implemented | ● |
| | 71 (72) ccTLD administrators cumulative | 2 to 4 new ccTLD administrators | 6 additional ccTLD policies administered (.EU, .PM, .SE, .TF, .WF, .YT (76 cumulative end 2017, following 1 discontinuation) 4 ccTLD policies supported (.BH, .FR, .NI and .RE) | ● |

⁶¹ (i) Cuban Industrial Property Office (OCPI); (ii) Federal Service for Intellectual Property of the Russian Federation (ROSPATENT); (iii) Intellectual Property Office (Australia); (iv) Intellectual Property Office (Serbia); (v) International Federation of Inventor's Associations (IFIA); (vi) Israel Patent Office (ILPO); (vii) Ministry of Culture (Lithuania); (viii) National Center of Registries (CNR) (El Salvador); (ix) National Directorate of Intellectual Property (DINAPI) (Paraguay); (x) National Institute of Industrial Property (INPI) (Argentina); (xi) National Office of Copyrights and Related Rights (ONDA) (Dominican Republic); (xii) National Register (Costa Rica); (xiii) SingEx Trade Fairs (Singapore); (xiv) Small & Medium Business Administration (SMBA) (Korea); (xv) Spanish Patent and Trademark Office (OEPM) (R&D); (xvi) Supreme People's Court of the People's Republic of China (SPC); (xvii) Technology Innovation Support Centers (TISCs)

⁶² Fair, reasonable and non-discriminatory (FRAND) terms to WIPO Mediation; (ii) Intellectual Property Office of Singapore (IPOS); (iii) Mexican Institute of Industrial Property (IMPI); (iv) National Directorate of Intellectual Property (DINAPI) (Paraguay); (v) Spanish Patent and Trademark Office (OEPM) (R&D); (vi) United States Patent and Trademark Office (USPTO)

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------------|--|------------------------|
| II.8 International and domestic intellectual property disputes are increasingly prevented or resolved through WIPO mediation, arbitration and other alternative dispute resolution methods | 4,459 | 4,016 | 3,790 |
| II.9 Effective intellectual property protection in the gTLDs and the ccTLDs | 6,899 | 6,900 | 6,579 |
| Total | 11,358 | 10,916 | 10,369 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------------|--|------------------------|-------------------------|
| Personnel Resources | 8,357 | 8,051 | 7,860 | 98% |
| Non-personnel Resources | 3,002 | 2,865 | 2,509 | 88% |
| Total | 11,358 | 10,916 | 10,369 | 95% |

Budget after Transfers:

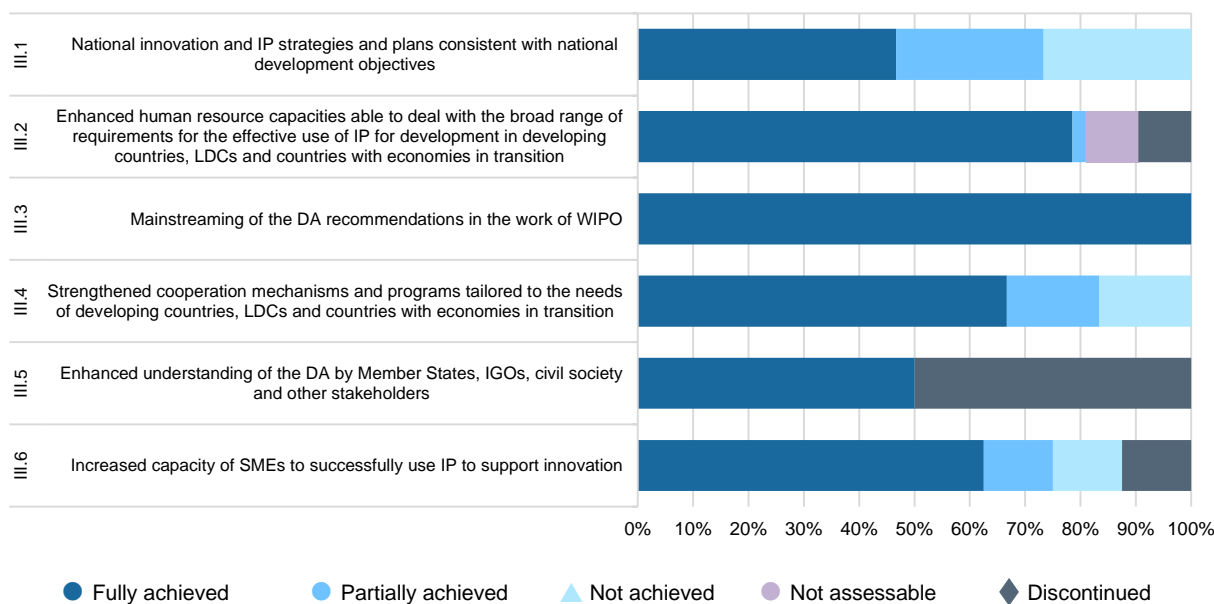
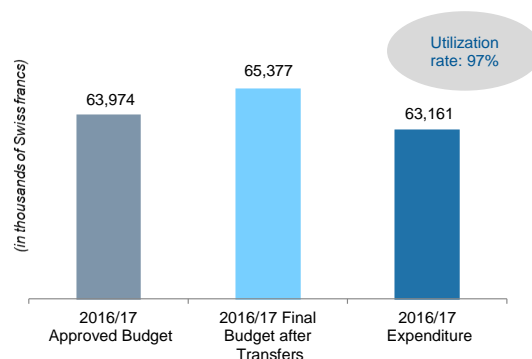
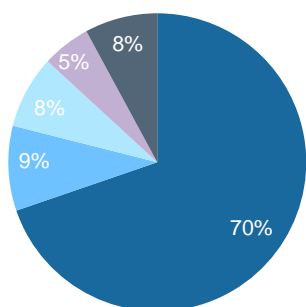
- The decrease in personnel resources was primarily due to: (i) the transfer of a position to Program 5 to strengthen the legal affairs section; and (ii) redeployment of accrued personnel savings to other organizational priorities, reflected under ER II.8.
- The decrease in non-personnel resources was mainly due to: (i) the transfer of resources to Program 1 for an additional SCP session; (ii) the transfer of resources for internships to Program 23; and (iii) additional resources provided to Program 5 for an exceptional purchase of furniture and equipment.

Budget Utilization: The lower utilization of non-personnel resources was primarily due to less than anticipated expenditure under outreach, administration and policy development activities, both in relation to domain names and ADR.

Strategic Goal III FACILITATING THE USE OF IP FOR DEVELOPMENT

Biennial Performance Dashboard

The dashboard below provides a summary of the progress towards the achievement of the Results in the biennium 2016/17 as measured by the indicators under the Programs contributing to this Strategic Goal.



| Expected Results | Performance Indicators | Responsible Program(s) | PIE |
|--|--|------------------------|------|
| III.1 National innovation and IP strategies and plans consistent with national development objectives | No. of countries which are in the process of formulating national IP strategies | Program 9 | ●●●● |
| | | Program 10 | ● |
| | No. of countries which are in the process of implementing national innovation and IP strategies and IP development plans | Program 9 | ●▲●● |
| | No. of countries which have adopted national innovation and IP strategies | Program 9 | ●▲▲● |
| | No. of countries having developed national IP strategies or IP plans, dovetailed with national development goals | Program 10 | ● |
| | No. of national IP strategies that address the promotion of creativity including innovation | Program 30 | ▲ |
| III.2 Enhanced human resource capacities able to deal with the broad range of | % of participants in copyright related capacity building workshops reporting practical use of knowledge nine months after the workshop | Program 3 | ● |
| | % of participants' positive rating of the usefulness of copyright and related rights capacity building meetings and workshops | Program 3 | ● |

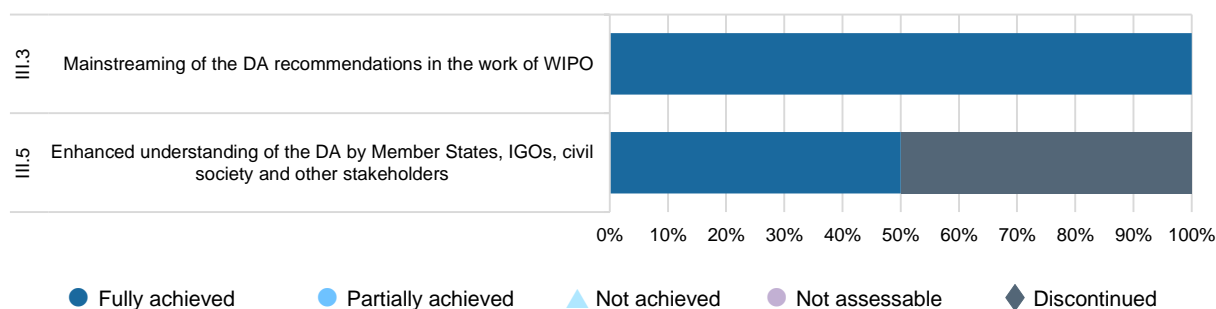
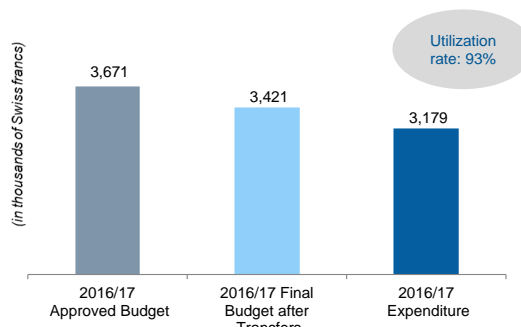
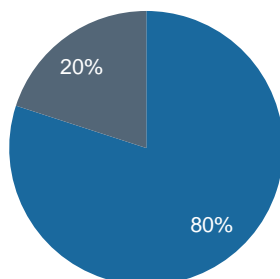
| | | | |
|--|---|---|-------------|
| requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition | % of participants that report positively on the collective management capacity building programs | Program 3 | ● |
| | % of participants with improved knowledge and skills in conducting training activities in their respective countries | Program 3 | ● |
| | No. of books in accessible formats loaned to persons who are print-disabled | Program 3 | ● |
| | No. of CMOs applying for TAG accreditation | Program 3 | ◆ |
| | No. of national Copyright Offices actively engaged in the TAG consultative process | Program 3 | ◆ |
| | No. of publishers signing ABC Charter for Accessible Publishing ("Charter") | Program 3 | ◆ |
| | No. of visits to the Portal on Copyright Infrastructure | Program 3 | ◆ |
| | % of participants in WIPO activities who report enhanced capacity to understand and use IP principles, systems and tools for the protection of TK and TCEs and for addressing the interface between IP and GRs | Program 4 | ● |
| | % of national and regional IP experts used as resource persons in WIPO events | Program 9 | ● ● ● ● ● ● |
| | % of participants in WIPO events who express satisfaction with the content and organization of these events | Program 9 | ● ● ● ● ● ● |
| | % of participants in WIPO workshops who apply the skills learned in their work/enterprise | Program 9 | ● ● ● ● ● ● |
| | % of trained IP professionals and IP Officials using upgraded skills in their work | Program 10 | ● |
| | | Program 30 | ● |
| | No. of countries in transition having established annual IP training programs and/or courses for IP Professionals | Program 10 | ● |
| | % of increase in the no. of participants following the Academy's distance learning (DL) courses | Program 11 | ● |
| | % of participants using enhanced knowledge and skills in various IP areas | Program 11 | ● |
| | % of trainees and supervisors who are satisfied with the training programs developed based on training needs assessment exercises | Program 11 | ● |
| | Enhanced balance in geographical distribution of summer schools | Program 11 | ● |
| | New and improved IP courses and curricula in teaching institutions | Program 11 | ● |
| | No. of cooperation agreements and partnerships established in line with the Academy's new vision | Program 11 | ● |
| | No. of DL courses that have been reviewed and updated | Program 11 | ● |
| | No. of national start-up academies created under the project which have become sustainable | Program 11 | ● |
| | % of trained participants reporting satisfaction with the usefulness and relevance of the training provided for the exercising of their professional duties | Program 17 | ● |
| | % of participants of the IP and Health DL module who affirm use of IP for development through transfer of knowledge and creation of skills | Program 18 | ● |
| | No. of hosting arrangements for developing country scientists | Program 18 | ● |
| | % of policy makers, governments officials, IP practitioners and other targeted groups, including universities, CMOs, journalists, with enhanced understanding of IP policies, and how to effectively use IP development | Program 20 | ● ● ● ● |
| | III.3 Mainstreaming of the DA recommendations in the work of WIPO | Development principles included in the DA recommendations effectively integrated in the work of WIPO programs | Program 8 |
| Effective follow up to the implementation of the recommendations of the Independent Review of the DA | | Program 8 | ● |
| Improved mechanism for the development, implementation, monitoring, evaluation of and reporting on, new DA projects and activities | | Program 8 | ● |
| III.4 Strengthened cooperation mechanisms and programs tailored to the needs of developing countries, LDCs and countries with economies in transition | No. of national, sub regional and regional/ interregional cooperation agreements, projects, programs, and partnerships to promote the effective use of the IP systems through sharing of best practices | Program 9 | ▲ ● ● ● ● ● |
| | No. of established partnerships | Program 10 | ● |

| | | | |
|--|--|------------|----|
| III.5 Enhanced understanding of the DA by Member States, IGOs, civil society and other stakeholders | % of satisfied participants in events on the WIPO Development Agenda targeting Member States, Civil Society, IGOs and stakeholders | Program 8 | ● |
| | Technical assistance activities undertaken by WIPO reflect the Development Agenda dimension and outcomes of DA projects | Program 8 | ◆ |
| III.6 Increased capacity of SMEs to successfully use IP to support innovation | % of participants in training programs targeting SME support institutions who express satisfaction with the content and organization of these events | Program 30 | ● |
| | % of participants in training programs targeting SME support institutions using enhanced knowledge and upgraded skills in their work | Program 30 | ● |
| | % of trained SMEs support institutions who provide information and advisory services on IP asset management | Program 30 | ● |
| | No. of countries having established or improved IP training programs for SMEs | Program 30 | ● |
| | No. of countries in which IP policies were developed or adopted for SMEs | Program 30 | ▲ |
| | No. of downloads of topical SME material and guidelines | Program 30 | ●● |
| | No. of subscriptions to the SME Newsletter | Program 30 | ◆ |

PROGRAM 8 Development Agenda Coordination

Program Manager Mr. M. Matus

Program Dashboard



Key Accomplishments

- In 2016/17, the Committee on Development and Intellectual Property (CDIP) held four sessions to consider and discuss various documents and studies, including: (i) mapping of South-South Cooperation Activities within WIPO; (ii) studies on IP and Socio-Economic Development and Technology Transfer; and (iii) WIPO Activities and Contributions Related to the Implementation of Sustainable Development Goals (SDGs). With regard to the latter, the Committee reached an agreement on the reporting by the Organization on its contribution to the SDGs and its associated targets.
- After a long standing discussion, an agreement on a WIPO General Assembly Decision on CDIP Related Matters was reached, including notably the inclusion of a CDIP standing agenda item on IP and development.
- The Committee also approved a six-point proposal submitted by the delegation of Spain on WIPO Technical Assistance in the Area of Cooperation for Development. In the context of the implementation of this proposal, a *Roundtable on Technical Assistance and Capacity Building: Sharing Experiences, Tools and Methodologies* was organized to discuss needs assessment, planning and design, implementation and monitoring and evaluation of technical assistance activities. A report on the Roundtable⁶³ comprising the summaries of the presentations and highlights of discussions was presented to the twentieth session of the Committee.
- A mechanism was agreed by the Committee for updating the Database on Flexibilities in the Intellectual Property System, which foresees the possibility for Member States to provide the Secretariat, through an official communication, with the update(s) of their national provisions related to the flexibilities included in the Database.



⁶³ Report on the Roundtable on Technical Assistance and Capacity Building: Sharing Experiences, Tools and Methodologies: [CDIP/20/3](#)

- The Committee approved the second phases of one completed and evaluated project and three new projects on: (i) the Use of Information in the Public Domain for Economic Development; (ii) Cooperation on Intellectual Property Rights Education and Professional Training with Judicial Training Institutes in Developing and Least Developed Countries; and (iii) Intellectual Property Management and Transfer of Technology: Promoting the Effective Use of IP in Developing Countries, LDC's and Countries with Economies in Transition.
- The Independent Review of the Implementation of the Development Agenda Recommendations⁶⁴ was finalized in 2016. A report containing, *inter alia*, 12 recommendations was presented to the eighteenth session of the Committee. By the end of 2017, the Committee had adopted 10 of the recommendations and engaged in discussions on the remaining two.

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|--|--|--|
| Divergent Member States' views regarding the mainstreaming of DA recommendations in the work of WIPO | This risk remained stable throughout the biennium. | The mitigation action to engage in regular consultations with Member States contributed to Member States' understanding of the mainstreaming modalities. | The Program fully achieved its mainstreaming-related performance indicators. |

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|---|---|--|-----|
| III.3 Mainstreaming of the DA recommendations in the work of WIPO | | | | |
|  Development principles included in the DA recommendations effectively integrated in the work of WIPO programs | 23 Programs (<i>n/a new PI</i>) | Enhanced mainstreaming of principles included in the 45 DA recommendations into WIPO's programs | - 12 Programs were involved in implementing CDIP approved activities. - 23 Programs reflected mainstreaming of DA in their work. | ● |
|  Effective follow up to the implementation of the recommendations of the Independent Review of the DA | At the end of 2015, the Independent Review of the DA was still ongoing. (<i>n/a new PI</i>) | WIPO has in place an effective system to monitor the implementation of the recommendations emanating from the review | The 18 th session of the CDIP discussed and noted the Independent Review of the DA ⁶⁵ and requested the Secretariat to prepare a response to the recommendations addressed to the Secretariat, including inputs provided by Member States. | ● |
| Improved mechanism for the development, implementation, monitoring, evaluation of and reporting on, new DA projects and activities | All relevant Programs (<i>n/a new PI</i>) | New mechanism that takes into account recommendations emanating from the evaluations of DA Projects discussed during the 12 th , 13 th , 14 th and 15 th sessions of the CDIP | All relevant Programs had in place a new planning, monitoring and evaluation system on the implementation of DA recommendations that take into account recommendations emanating from the evaluations of DA projects discussed until the 20 th session of the CDIP. | ● |
| III.5 Enhanced understanding of the DA by Member States, IGOs, civil society and other stakeholders | | | | |
| Technical assistance activities undertaken by WIPO reflect the Development Agenda dimension and outcomes of DA projects. | No system in place (<i>n/a new PI</i>) | System developed to ensure that all technical assistance activities undertaken are in compliance with the DA principles | Discontinued | ◆ |
| % of satisfied participants in events on the WIPO Development Agenda targeting Member States, Civil Society, IGOs and stakeholders | 78.57% (<i>n/a</i>) | 80% | 2016: 86.6% 2017: 82.6% | ● |

⁶⁴ Report on the Independent Review of the Implementation of the Development Agenda Recommendations: [CDIP/18/7](#)

⁶⁵ Report on the Independent Review of the Implementation of the Development Agenda Recommendations: [CDIP/18/7](#)

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------------|--|------------------------|
| III.3 Mainstreaming of the DA recommendations in the work of WIPO | 2,278 | 2,261 | 2,121 |
| III.5 Enhanced understanding of the DA by Member States, IGOs, civil society and other stakeholders | 1,393 | 1,160 | 1,058 |
| Total | 3,671 | 3,421 | 3,179 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------------|--|------------------------|-------------------------|
| Personnel Resources | 2,462 | 2,240 | 2,046 | 91% |
| Non-personnel Resources | 1,209 | 1,180 | 1,133 | 96% |
| Total | 3,671 | 3,421 | 3,179 | 93% |

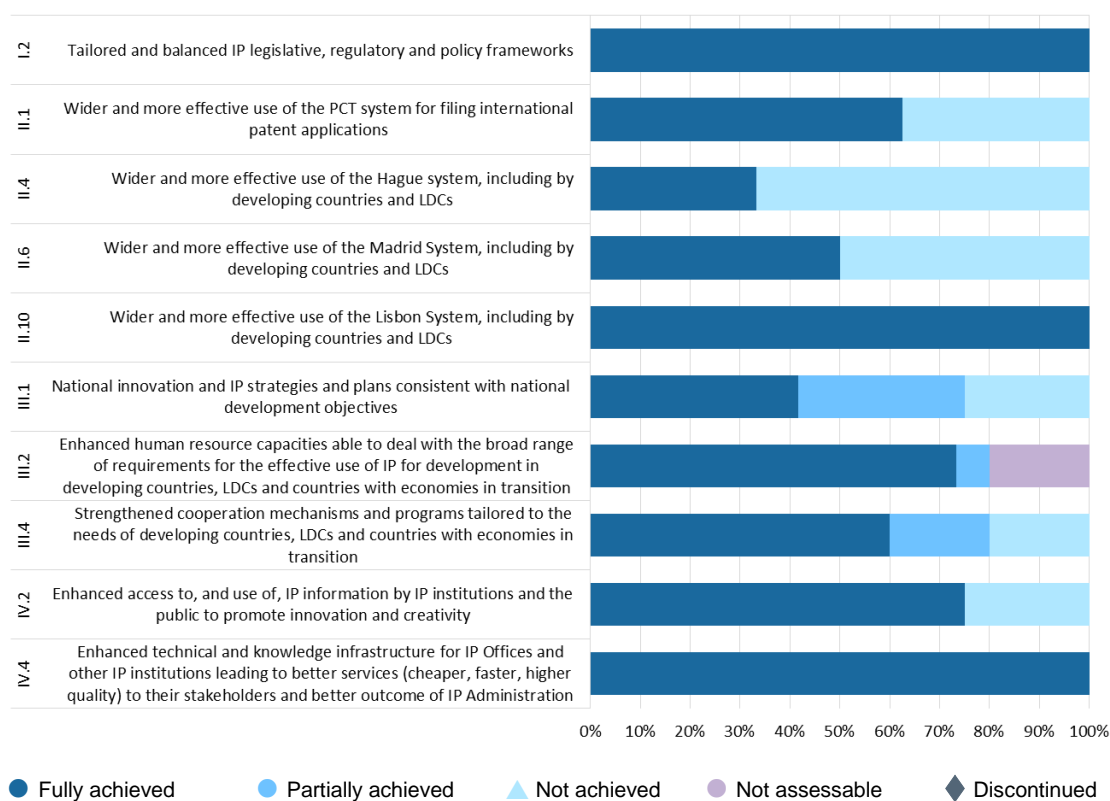
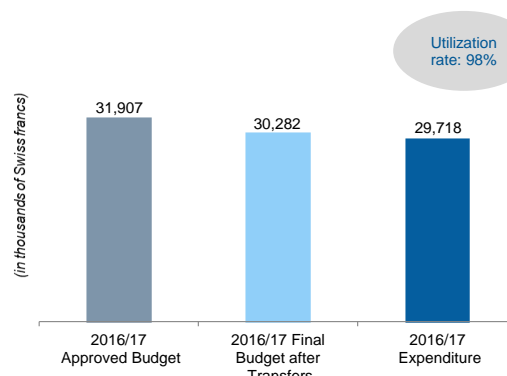
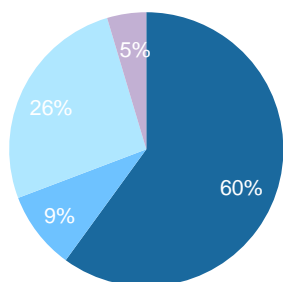
Final Budget after Transfers: The decrease in personnel resources was primarily due to the redeployment of accrued personnel savings, resulting from vacancies in the Program, to other organizational priorities, reflected under ER III.5.

Budget Utilization was in line with the Final Budget after Transfers.

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

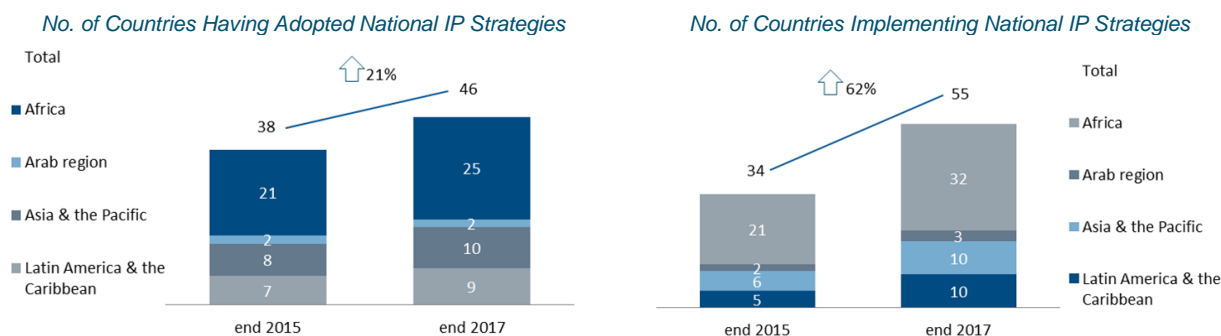
Program Manager Mr. M. Matus

Program Dashboard



Key Accomplishments

- By the end of 2017, national IP strategies/development plans had been adopted in 46 countries, of which 20 LDCs, a 21 per cent increase as compared to 2015. The number of countries implementing national IP strategies/development plans saw a 62 per cent increase (55 countries, of which 24 LDCs) as compared to 2015. Fourteen additional countries initiated the process of formulating plans during the biennium.



- The first phase of the WIPO-ARIPO Project on Elaboration of Guidelines for Elaboration of Intellectual Property Policy and Strategy for an effective use of the IP System by Universities, Research and Developments Institutions in Africa was initiated and completed in 2017, culminating in the adoption of the Guidelines by the ARIPO Member States at a Sub-regional Multi-stakeholders Validation Workshop in October, 2017, in Harare, Zimbabwe. The implementation of the Guidelines will commence in a selected number of pilot institutions in 2018/19.
- The “Advanced Training and Advisory Program on Intellectual Property Rights in the Global Economy for the Least Developed Countries”⁶⁶ was enhanced in 2016 to include a session entitled “Gender Equality”, integrating gender issues into the substantive content of the curriculum, with a view to fostering better understanding of inclusivity issues surrounding IP.

DA Highlights

Implementation of Ongoing DA Projects and CDIP-approved Activities:

- The project on Capacity-Building in the Use of Appropriate Technology Specific Technical and Scientific Information as a Solution for Identified Development Challenges—Phase II was completed and evaluated, resulting in the identification of six appropriate technologies (ATs), providing solutions to the identified development needs of three beneficiary countries (Ethiopia, Rwanda and the Republic of Tanzania).
- The Project on IP, Tourism and Culture: Supporting Development Objectives and Promoting Cultural Heritage in Egypt and Other Developing Countries, made good progress in 2016/17, resulting in the elaboration of four national studies (Egypt, Ecuador, Namibia and Sri Lanka) on the use of IP and Tourism. In addition, eight national training workshops for policy makers and stakeholders were undertaken to enhance capacity.

Mainstreaming of DA Projects:

- WIPO continued to assist developing countries and LDCs in the design, development and implementation of national IP strategies that are both consistent with their overall development plans and that have the ability to foster innovation and creativity. The application of the standardized, yet flexible, methodology and set of practical tools for the formulation of national IP strategies and plans, developed as part of the DA project on Improvement of National, Sub-regional and Regional IP Institutional and User Capacity in 2012, continued to guide the process.
- In beneficiary countries from Phase I of the Capacity-Building in the Use of Appropriate Technology Specific Technical and Scientific Information as a Solution for Identified Development Challenges Project, by the end of 2017, three ATs had been commercialized in LDCs (one in Nepal and two in Zambia), and six ATs were under consideration for commercialization at the government level.
- Building on the experiences gained under the DA Project on IP and Product Branding for Business Development In Developing Countries and LDCs, a project was launched in the Pacific Islands, select ASEAN and SAARC countries, the Islamic Republic of Iran, and Mongolia to create an “Enabling IP Environment to Strengthen Business Competitiveness through Brands and Designs (2017-2021).
- In compliance with a recommendation of an independent evaluation of the DA Project on Enhancing South-South Cooperation on IP and Development among Developing Countries and LDCs (2012-2015), a mapping of existing

⁶⁶ Implemented in cooperation with the Government of Sweden, the Swedish Patent and Registration Office (PRV) and the Swedish International Development Cooperation Agency (Sida).

South-South activities supported by WIPO⁶⁷ was presented to the CDIP, highlighting a total of 147 activities covering a broad range of IP-related activities undertaken from 2014 to 2016.

- The IP Technical Assistance Database (IP-TAD) and IP Roster of Consultants (IP-ROC) were integrated with WIPO's Enterprise Resource Planning (ERP) system, automating the uploading of data and enabling enhanced reporting capabilities.
- The IP Matchmaking Database (IP-DMD) was rebranded as WIPO Match and overhauled to include a new interface for an enhanced user experience. The first two matches were catalyzed in 2016/17:
 - Within the framework of South-South cooperation, ARIPO (seeker) and the Directorate General of IP (DGIP) of Indonesia (provider) for the development of: (i) an ARIPO Traditional Knowledge Digital Library (TKDL) database; and (ii) ARIPO Copyright web-based database.
 - Financing provided by the Development Bank of Latin America (CAF) (provider) and the *Consejo Nacional de Ciencia y Tecnología* (CONACYT) of Paraguay (provider) for the participation of seven officials from the Institute of Technology (TECPAR) (Brazil) and the University of the Region of Joinville (UNIVILLE) (seekers) (Brazil) and 33 participants from Paraguay (seekers) in the third training of the CAF Method Accelerated Development of Technological Patents in Paraguay.

Guiding Principles: The implementation of technical assistance activities were guided by all relevant DA Recommendations.

Risks



















| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|---|--|--|
| Political change leading to changes to IP policy may cause revision to the work plans of the countries concerned and reduce the scope of and/or delay the delivery of WIPO services. | The risk exposure increased slightly during the biennium, as a result of political changes in countries. | The mitigation plan successfully responded to the risk by allowing an element of flexibility concerning adjustments in work plans to take due consideration of individual countries' situations. | Temporary slowdowns/delays in the implementation of work plans in a limited number of countries resulted in some targets not being fully achieved. |
| Political instability in Member States and the resulting change in UN security assessment may result in delays in technical assistance delivery. | The risk exposure increased slightly through the biennium, as a result of an increase in global security risks. | The program effectively monitored the situation with IP Offices and was able to react to changes in UN security assessments, which nevertheless caused some delays. In addition, the development of tailor-made solutions for the implementation of work plans in certain countries also mitigated the risk. | Despite the challenges, the Program achieved its technical assistance-related targets, signalling a positive effect of the mitigation plan. |

Looking Forward

- National IP strategies/plans have become a vehicle for countries to foster the IP system in support of national development in a holistic manner. Due to the nature of, in particular, the adoption process of such strategies/plans, not all targets were met for all regions. WIPO will continue to promote the development and implementation of national IP strategies/plans, working closely with Member States during all phases of the process.
- Although the momentum for developing cooperation frameworks between WIPO and the Regional Economic Communities (RECs) in Africa was high following the Dakar Ministerial Conference on Intellectual Property for Africa (2015), changes within the institutions affected the priorities of the targeted RECs for 2016/17. In 2018/19, the Program will intensify its efforts to conclude formal cooperation frameworks to streamline activities between WIPO and the RECs as well as the Regional IP Institutions, OAPI and ARIPO.

⁶⁷ Document CDIP/17/4 (http://www.wipo.int/edocs/mdocs/mdocs/en/cdip_17/cdip_17_4.pdf)

Performance Data

| | Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|---|---|--|---|---|
| I.2 | Tailored and balanced IP legislative, regulatory and policy frameworks | | | | |
|  | No. and/or % of countries providing positive feedback on WIPO's legislative and policy advice | In 2014/15: - Program 1: 94% (7 respondents ⁶⁸) - Program 2: 100% (10 respondents from 8 countries ⁶⁹) - Program 3: 100% (13 respondents ⁷⁰) <i>(Regional breakdowns to be determined in cooperation with Programs 1, 2, 3 and 4)</i> | 90% <i>(Africa (90%) Arab (90%) Asia and the Pacific (90%) Latin America and the Caribbean (90%))</i> | In 2016/17: - Program 1: 92% (10 respondents: Africa 2; Arab region 1; Asia and the Pacific 2; Latin America and the Caribbean 5) - Program 2: 100% (9 respondents: Africa 3; Arab region 1; Asia and the Pacific 2; Latin America and the Caribbean 3) - Program 3: 90% (10 respondents: Arab region 1; Asia and the Pacific 3; Latin America and the Caribbean 5; Other 1) |  |
| II.1 | Wider and more effective use of the PCT System for filing international patent applications | | | | |
|  | No. of PCT applications originating from developing countries and LDCs ⁷¹ | 49,388 (43,875-2014) - Africa: 646 (668) - Arab: 502 (632) - Asia and the Pacific: 46,881 (41,158) - Latin America and the Caribbean: 1,359 (1,417) | Africa (maintain) Arab (2% annual) Asia and the Pacific (2.5% annual) Latin America and the Caribbean (1.5% annual) | Africa 2016: 516 (-20%) 2017: 504 (-22% as compared to the 2016 target) Arab region 2016: 515 (+3%) 2017: 628 (+22%) Asia and the Pacific 2016: 61,177 (+30%) 2017: 67,237 (+10%) Latin America and the Caribbean 2016: 1,488 (+9%) 2017: 1,421 (-5%) |         |
| II.4 | Wider and more effective use of the Hague System, including by developing countries and LDCs | | | | |
|  | No. of Hague applications originating from developing countries and LDCs ⁷² | 724 (124 end 2014) - Africa: 4 (6) - Arab: 10 (7) - Asia and the Pacific: 710 (111) | Africa (maintain) Arab (maintain) Asia and the Pacific (10% annual) | Africa 2016: 6 (+50%) 2017: 0 Arab region 2016: 6 (-40%) 2017: 1 (-90% as compared to the 2016 target) Asia and the Pacific 2016: 1,693 (+138%) 2017: 1,406 (-17%) |       |





⁶⁸ Program 1: (Africa-3; Arab-1; Asia and the Pacific-2; Latin America and the Caribbean-1)

⁶⁹ Program 2: (Africa-1; Asia and the Pacific-7; Latin America and the Caribbean-2)

⁷⁰ Program 3: (Africa-3; Arab-3; Asia and the Pacific-4; Latin America and the Caribbean-3)

⁷¹ Source: WIPO IP Statistics Data Center, June, 2018. .




⁷² Ibid.

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|--|---|--------|
| II.6 Wider and more effective use of the Madrid System, including by developing countries and LDCs | | | | |
|  No. of Madrid System applications originating from developing countries and LDCs ⁷³ | 3,797 (4,125 end 2014) - Africa: 14 (24) - Arab: 144 (118) - Asia and the Pacific: 3,508 (3,828) - Latin America and the Caribbean: 131 (155) | Africa (maintain) | Africa 2016: 23 (+64%) 2017: 21 (-9% as compared to the 2016 target) | ● ▲ |
| | | Arab (maintain) | Arab region 2016: 167 (+16%) 2017: 163 (-2%) | ● ▲ |
| | | Asia and the Pacific (5% annual) | Asia and the Pacific 2016: 5,434 (+55%) 2017: 7,077 (+30%) | ● ● |
| | | Latin America and the Caribbean (10% annual) | Latin America and the Caribbean 2016: 125 (-5%) 2017: 148 (+3%) | ▲ ▲ |
| II.10 Wider and more effective use of the Lisbon System, including by developing countries and LDCs | | | | |
|  No. of international registrations from developing countries and LDCs in force under the Lisbon System (in relation to the total no.) | 95/931 (78/896 March 2015) Arab 14 (14) Asia and the Pacific 38 (22) Latin America and the Caribbean 43 (42) | 100 out of 971 (90 out of 950) | 105 (out of 1,056): - Arab region (14) - Asia and the Pacific (47) - Latin America and the Caribbean (44) | ● |
| III.1 National innovation and IP strategies and plans consistent with national development objectives | | | | |
|  No. of countries which are in the process of formulating national IP strategies | Africa: 8 (24 cumulative) Arab: 2 (4 in 2014) Asia and the Pacific: 10 (14 cumulative) Latin America and the Caribbean: 7 (12 cumulative) | Africa (additional 3) | Africa (2 additional) ⁷⁴ : Burkina Faso, Guinea-Bissau | ● |
| | | Arab (additional 4) | Arab region (2 additional): Djibouti, Jordan | ● |
| | | Asia and the Pacific (additional 4) | Asia and the Pacific (5 additional): Indonesia, Lao People's Democratic Republic, Malaysia, Pakistan, the Philippines | ● |
| | | Latin America and the Caribbean (additional 5) | Latin America and the Caribbean (5 additional): Belize, Dominica, Jamaica, Paraguay, and Saint Vincent and the Grenadines | ● |
|  No. of countries which have adopted national innovation and IP strategies | Africa: 21 cumulative (same) Arab: 2 cumulative (same) Asia and the Pacific: 8 ⁷⁵ cumulative (same) Latin America and the Caribbean: 7 cumulative (6 cumulative) | Africa (additional 8) | Africa (4 additional): the Gambia, Guinea, Namibia, Sierra Leone (25 cumulative) | ● |
| | | Arab (additional 2) | Arab region (No additional) (2 cumulative) | ▲ |
| | | Asia and the Pacific (additional 7) | Asia and the Pacific (2 additional): Fiji, Nepal (10 cumulative) | ▲ |
| | | Latin America and the Caribbean (additional 2) | Latin America and the Caribbean (2 additional): Chile, Grenada (9 cumulative) | ● |
| | | | 4 LDCs included in the above regional breakdown | |
| | | | 20 LDCs (cumulative) included in the above regional breakdown | |

⁷³ Ibid.


⁷⁴ Corrigendum: Guinea and Namibia had already adopted in 2016 and were no longer formulating, as reported in the PPR 2016.

⁷⁵ Corrigendum: The baseline was eight at the end of 2015 (not seven as reported in the PPR 2016), as Mongolia adopted in 2015.

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|--|---|-----|
| No. of countries which are in the process of implementing national innovation and IP strategies and IP development plans | Africa: 21 cumulative (<i>same</i>) | Africa (additional 8) | Africa (11 additional): Benin, Congo, Eswatini, the Gambia, Guinea, Madagascar, Malawi, Namibia, Sierra Leone, South Africa, Zimbabwe (32 cumulative) | ● |
| | Arab: 2 cumulative (<i>same</i>) | Arab (additional 2) | Arab region: no additional (2 cumulative) | ▲ |
| | Asia and Pacific: 6 ⁷⁶ cumulative (4 cumulative) | Asia and the Pacific (additional 7) | Asia and the Pacific (4 additional): Brunei Darussalam, Cambodia, Fiji, Nepal (10 cumulative) | ● |
| | Latin America and the Caribbean: 5 cumulative (6 cumulative) | Latin America and the Caribbean (additional 2) | Latin America and the Caribbean (5 additional): Chile, Grenada, Guatemala, Paraguay, Saint Kitts and Nevis (10 cumulative) | ● |
| 24 LDCs (cumulative) included in the above regional breakdown | | | | |
| III.2 | 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 | | | |
|  % of participants in WIPO events who express satisfaction with the content and organization of these events | Africa: 75% (70%) | Africa: 75% (70%) | Africa: 85% | ● |
| | Arab: 90% (<i>not available in 2014; system to be implemented in 2015</i>) | Arab: 90% (70%) | Arab region: 87.5% | ● |
| | Asia and the Pacific: 95% (92%) | Asia and the Pacific: 95% (70%) | Asia and the Pacific: 98% | ● |
| | Latin America and the Caribbean: 80% (<i>not available in 2014; system to be implemented in 2015</i>) | Latin America and the Caribbean: 85% (<i>same</i>) | Latin America and the Caribbean: 93% | ● |
|  % of participants in WIPO workshops who apply the skills learned in their work/enterprise | LDCs: 85% (90%) | LDCs: 85% (70%) | LDCs: 85% | ● |
| | Africa: 70% (70%) | Africa: 70% (<i>same</i>) | Africa: (data only partially available) | ● |
| | Arab: <i>Not available</i> ⁷⁷ (<i>not available in 2014; system to be implemented in 2015</i>) | Arab: 50% (<i>same</i>) | Arab region (data only partially available) | ● |
| | Asia and the Pacific: 91% (89%) | Asia and the Pacific: 91% (70%) | Asia and the Pacific: 84% | ● |
|  % of national and regional IP experts used as resource persons in WIPO events | Latin America and the Caribbean: 90% (<i>not available in 2014; system to be implemented in 2015</i>) | Latin America and the Caribbean: 90% (45%) | Latin America and the Caribbean: (data only partially available) | ● |
| | LDCs: 90% (95%) | LDCs: 90% (50%) | LDCs: 90% | ● |
| | Africa: 75% (80%) | Africa: 85% (<i>same</i>) | Africa: 85% | ● |
| | Arab: 55% (35%) | Arab: 55% (<i>same</i>) | Arab region: 69% | ● |
| | Asia and the Pacific: 66% (71%) | Asia and the Pacific: 66% (40%) | Asia and the Pacific: 48% | ● |
| | Latin America and the Caribbean: 80% (<i>same</i>) | Latin America and the Caribbean: 80% (<i>same</i>) | Latin America and the Caribbean: 81% | ● |
| | LDCs: 85% (95%) | LDCs: 85% (70%) | LDCs: 85% | ● |

⁷⁶ Corrigendum: The baseline was six as at end 2015 (not five as reported in the PPR 2016), as Mongolia began implementing in 2015.

⁷⁷ No available existing mechanism. An appropriate mechanism will be developed in the course of 2016/17.

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|---|---|---|-----|
| III.4 Strengthened cooperation arrangements with institutions in developing countries, LDCs and countries in transition tailored to their needs | | | | |
| No. of national, sub-regional and regional/interregional cooperation agreements, projects, programs, and partnerships to promote the effective use of the IP systems through sharing of best practices. | Africa: 2 (1 in 2014) | Africa (additional 2) | Africa: Progress made on 4 new MoUs ⁷⁸ (2 cumulative) | ▲ |
| | Arab region: 1 (1 in 2014) | Arab region (additional 2) | Arab region: 3 new MoUs ⁷⁹ (4 cumulative) | ● |
| | Asia and the Pacific: 1 (2 in 2014) | Asia and the Pacific (additional 1) | Asia and the Pacific: 8 additional ⁸⁰ (9 cumulative) | ● |
| | Latin America and the Caribbean: 9 ongoing projects (6 in 2014) | Latin America & the Caribbean (additional 4) | Latin America and the Caribbean: 3 additional ⁸¹ (12 projects cumulative, of which 6 ongoing in 2016/17) | ● |
| | LDCs: 1 regional/sub regional program, 4 national programs (2014) | LDCs: 3 regional/sub-regional programs 8 national programs | LDCs: 15 regional/sub-regional programs 3 national programs ⁸² | ● |
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | | | | |
|  No. of sustainable ⁸³ national TISC networks (numbers cumulative) | 23 sustainable national networks out of 50 formally established ⁸⁴ | Africa (11) | 29 sustainable national networks (cumulative as at end 2017) | ● |
| | Maturity Level 1: Africa (8 of which 6 LDCs) Arab (1) Asia and the Pacific (3) Latin America and the Caribbean (5) (17 Total) | Arab (4) Asia and Pacific (5) Latin America and the Caribbean (8) | Maturity Level 1: Africa (1) Congo Asia and the Pacific (1) Thailand Latin America and the Caribbean (1) Argentina (3 Total) | |
| | Maturity Level 2: Africa (2 of which 1 LDC) Arab (0) Asia and the Pacific (0) Latin America and the Caribbean (2) (4 Total) | | Maturity Level 2: Africa (9) of which 7 LDCs Arab (2) Asia and the Pacific (3) Latin America and the Caribbean (6) (20 Total) | |
| | Maturity Level 3, including the provision of value-added services ⁸⁵ : Africa (0) Arab (1) Asia and the Pacific (1) Latin America and the Caribbean (0) (2 Total) | | Maturity Level 3, including the provision of value-added services ⁸⁶ : Africa (2) Arab (1) Asia and the Pacific (1) Latin America and the Caribbean (2) (6 Total) | |

⁷⁸Africa: (i) New Partnership for Africa's Development (NEPAD); (ii) Economic Community of West African States (ECOWAS); (iii) African Intellectual Property Organization (OAPI); (iv) African Regional Intellectual Property Organization (ARIPO)

⁷⁹Arab region: (i) Central Organization for Standardization and Quality Control (COSQC), Iraq; (ii) Moroccan Office of Industrial and Commercial Property (OMPIC); (iii) Public Authorities for Craft Industries (PACI), Oman

⁸⁰Asia and the Pacific: (i) Initiation of a pilot project on the Development of Country Plans (Thailand); (ii, iii, iv) Initiation of 3 projects on IP Office Diagnostics (the Philippines, Sri Lanka, Thailand); (v, vi, vii, viii) Initiation of 4 projects on Enabling IP Environment (Technology Transfer) (Malaysia, the Philippines, Sri Lanka, Thailand)

⁸¹Latin America and the Caribbean: (i) Development of a global database (WIPO-JURIS) on leading judicial decisions on IP (pilot project in Latin American countries); (ii) Development of a manual on Trademark Procedures and Examination (Caribbean Community); (iii) Development of an IP App for Teenagers

⁸²LDCs: regional/sub-regional programs: (i-x) 10 joint WIPO-Sida (Swedish International Development Cooperation Agency) Training and Advisory Programs for LDCs; (xi) 1 joint WIPO-UNESCO program for LDCs; (xii-xiii) 2 joint WIPO-UN ESCAP program for LDCs; (xiv) 1 Joint WIPO- ECA program for LDCs; (xv) 1 Joint WIPO-UN-OHRLLS program for LDCs; national programs: (i) Technological Capacity Building for the Honey Sector (Zambia); (ii) National Consultation on Building IP Capacity in Institutions (Nepal); (iii) National Forum on IP and its Strategic Role in Public Policy and Economic, Technological, Social and Cultural Development for Haitian National Institutions (Haiti)

⁸³Sustainable TISCs are financially and technically self-supporting institutions to which WIPO provides advice on demand. Sustainability is measured through the following levels of maturity:

- **Maturity Level 1**-(a) Signing of a Service Level Agreement (SLA) between WIPO and the National Focal Point; (b) signing of Institutional Agreements between the National Focal Point and TISC Host Institutions; and (c) provision of at least an annual report on national TISC activities;
- **Maturity Level 2**-Level 1 standards having been met plus the provision of basic patent information searches, e.g. state of the art patent searches; and

[Footnote continued on next page]

| | Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|---|---|------------------------------------|---|-----|
|  | No. of organizations, communities, individuals that applied and used the Appropriate Technology as a solution to identified development challenges in LDCs | 6 Organizations in LDCs (Organizations in 6 LDCs 2014) | Organizations in 3 additional LDCs | 5 organizations working on AT in 3 LDCs: - Ethiopia (1): Ministry of Science and Technology - Rwanda (1): National Industrial Research and Development Agency (NIRDA) - United Republic of Tanzania (3): - Tanzania Commission for Science and Technology (COSTECH); - Nelson Mandela African Institution of Science and Technology (NM-AIST) - University of Zanzibar (11 organizations in 6 LDCs cumulative) | ● |
|  | Use of Appropriate Technology for development through patent searches and reports, technology landscapes, business plans (Number of experts, National Expert Groups (NEGs) in LDCs) | 6 in LDCs | Additional 3 in LDCs | 9 additional experts/NEGs: - 3 National Experts appointed (Ethiopia, Rwanda, United Republic of Tanzania); - 3 International Experts appointed (Ethiopia, Rwanda, United Republic of Tanzania) - 3 NEGs established (Ethiopia, Rwanda, United Republic of Tanzania) (6 experts and 6 NEGs in 6 LDCs, cumulative) | ● |
|  | Identified Appropriate Technology commercialized in LDCs | 6 ATs were being considered for commercialization at the government level (6 ATs) | At least 3 additional ATs | 3 ATs commercialized - Nepal (1) - Zambia (2) At the end of 2017, 6 additional ATs were under consideration for commercialization at the national level. | ● |
|  | Projects replicated in other areas in LDCs | n/a | 1 LDC | none Based on the end-project evaluation report ⁸⁷ , however, the Global Environmental Fund had indicated interest in promoting the replication of the project on rainwater harvesting in Zambia country-wide. | ▲ |
|  | Institutions established to continue working on Appropriate Technology in LDCs | 3 NEGS in 3 LDCs 3 Multi-stakeholder groups in 3 LDCS (3 institutions) | Additional 3 Institutions | 3 NEGs established (Ethiopia, Rwanda, United Republic of Tanzania) (6 NEGS in 6 LDCs cumulative) | ● |
|  | Continuation and expansion of national technological capacity building programs on Appropriate Technology in LDCs | 7 programs | Additional 6 programs | 9 national technological capacity building programs on AT were carried out in 3 LDCs: Ethiopia (2) Rwanda (2) Tanzania (5) (16 cumulative) | ● |
|  | Utilization of Appropriate Technology for economic development included in the national innovation and IP policies and strategies in LDCs | n/a | 1 LDC | None | ▲ |

[Footnote continued from previous page]

- **Maturity Level 3**-Level 2 standards having been met plus the provision of value added IP services, e.g. drafting of patent landscape reports.

⁸⁴Original Baseline P&B 2016/17: Africa (9), Arab region (2), Asia and the Pacific (3), Latin America and the Caribbean (5)

⁸⁵Support and advice on patent analytical services, on IP asset management and commercialization, Inventors Assistance Program (IAP), using and identifying inventions in the public domain, dispute resolution services, patent drafting.

⁸⁶Ibid.

⁸⁷CDIP/21/13 (http://www.wipo.int/edocs/mdocs/mdocs/en/cdip_21/cdip_21_13.pdf)

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|---|---------------------------------|--|-----|
| IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP Administration | | | | |
| Average Service Level ⁸⁸ of IP Offices assisted (ranging from 1 to 5) | Overall average: 2.9 (same) - Africa: 2.9 - Arab region: 2.8 - Asia and the Pacific: 2.7 - Latin America and the Caribbean: 3 | Average of 3.0 (by end of 2017) | Overall average: 3.1 - Africa: 3.0 - Arab region: 3.1 - Asia and the Pacific: 3.5 - Latin America and the Caribbean: 3.1 - Other: 2.6 | |

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------|--------------------------------------|---------------------|
| I.2 Tailored and balanced IP legislative, regulatory and policy frameworks | 792 | 567 | 538 |
| III.1 National innovation and IP strategies and plans consistent with national development objectives | 8,440 | 8,651 | 8,377 |
| III.2 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 | 11,174 | 9,739 | 9,388 |
| III.3 Mainstreaming of the DA recommendations in the work of WIPO | 214 | 194 | 190 |
| III.4 Strengthened cooperation mechanisms and programs tailored to the needs of developing countries and LDCs and countries with economies in transition | 5,383 | 6,386 | 6,540 |
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | 4,564 | 3,824 | 3,811 |
| IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP Administration | 1,339 | 921 | 872 |
| Total | 31,907 | 30,282 | 29,718 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 22,993 | 21,499 | 22,154 | 103% |
| Non-personnel Resources | 8,913 | 8,783 | 7,564 | 86% |
| Total | 31,907 | 30,282 | 29,718 | 98% |

Final Budget after Transfers: The decrease in personnel resources was the result of the net transfer of two positions to Programs 13 and 20 to support the increased workload for the upload of national collections into PATENTSCOPE and enhanced NGOs and industry relations, respectively, and the redeployment of accrued personnel savings to other organizational priorities, all reflected under ERs III.2 and IV.2.

Budget Utilization was in line with the Final Budget after Transfers.

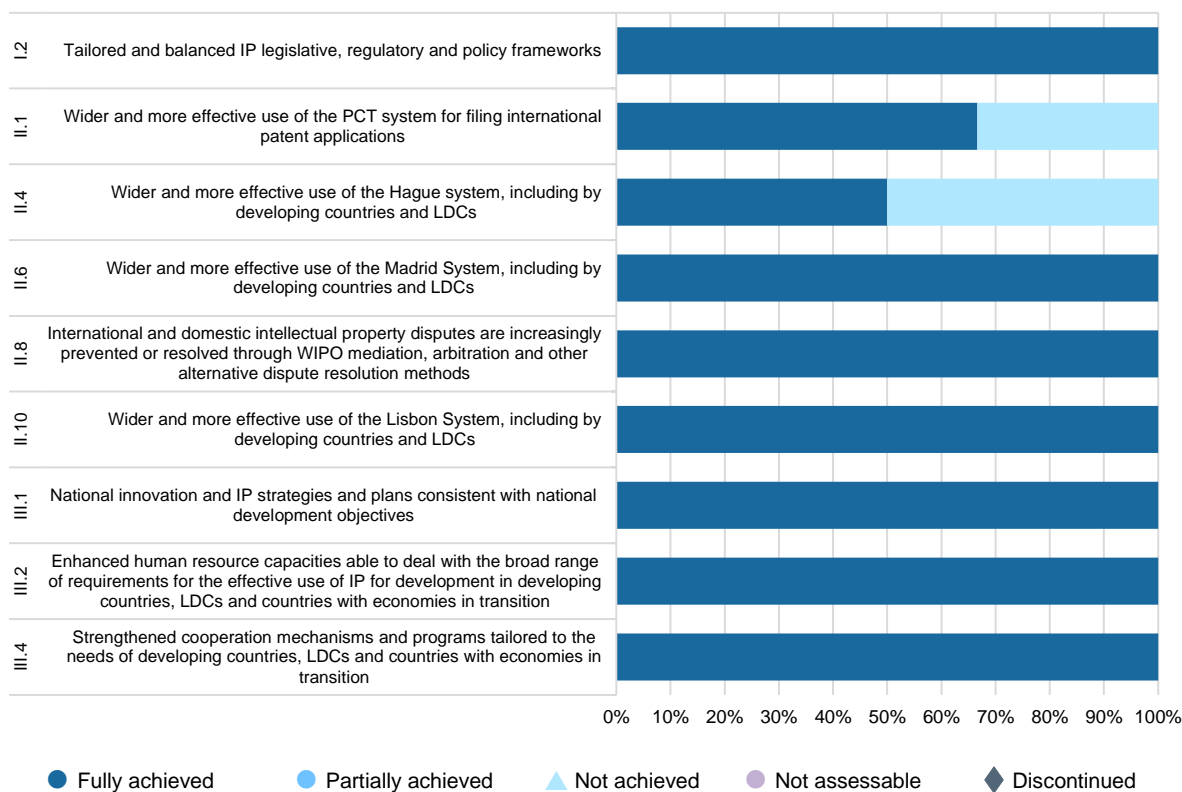
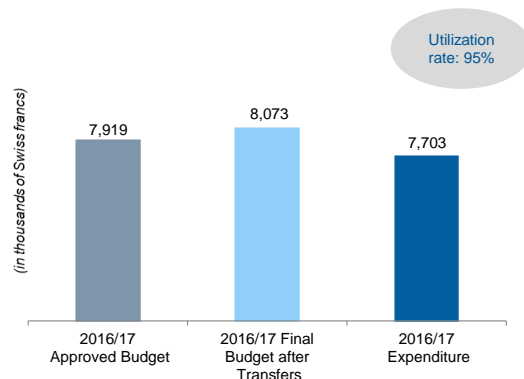
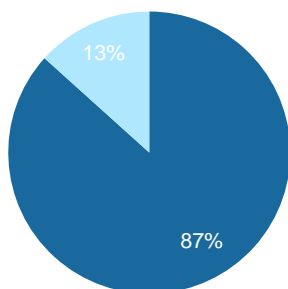
- The lower utilization of non-personnel was primarily due to: (i) the postponement, cancellation and/or reduced number of participants in certain activities in the African and Arab regions, including in LDCs; and (ii) the slower than expected implementation of the DA-related Project on IP and Tourism.

⁸⁸ For a definition of the Service Level Indicators, please refer to page 3 of the Q&A document submitted at the 27th session of the Program and Budget committee – document WO/PBC/27/Q&A (http://www.wipo.int/meetings/en/doc_details.jsp?doc_id=381741)

PROGRAM 10 Transition and Developed Countries

Program Manager Director General

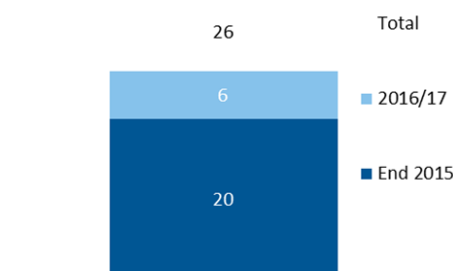
Program Dashboard



Key Accomplishments

- Promotion of the importance of, and assistance in, the development and implementation of long-term and comprehensive national IP strategies to meet the needs of Member States remained a priority in 2016/17. During this period, Albania, Kyrgyzstan, Latvia adopted new national IP Strategies, and Azerbaijan, Bulgaria, and Slovenia developed national Strategies for socio-economic and scientific research development. In addition, Hungary, Lithuania, Poland, Slovakia, Ukraine and Uzbekistan initiated the development of new

No. of countries having developed national IP strategies



strategies or reformulating existing strategies, while Georgia was in the process of finalizing its strategy.

- Based on country cooperation plans, national IP strategies and following WIPO assistance, a total of nine transition countries amended their national IP legislation, and five additional countries ratified WIPO-administered treaties.
- Program 10 prepared a textual companion to the Roving Seminars entitle *A Guide to the Main WIPO Services*⁸⁹, which was published in 2017 and garnered positive reviews by national IP offices as well as business and research communities. The Guide was made available in the six UN official languages, as well as German and Japanese, and licensed under Attribution 3.0 IGO of the open Creative Commons (CC BY) license, thereby facilitating its translation into additional languages.

DA Highlights

Guiding Principles: The work of the Program continued to be guided by the DA Recommendations on technical assistance and capacity building, in particular Recs. 1, 6, 12, 13 and 14. In line with the growing interest in the region, Program 10 increasingly focused on training activities for specialists and experts from national IP Offices, universities and public research institutions, SMEs, enforcement officials, the judiciary and CMOs. In particular, more than 15 targeted seminars and activities were organized in the framework of a project on IP Policies for Universities and Research Institutions, aiming at improving knowledge transfer from academia to industry. Participants in these events provided positive feedback, with more than 85 per cent of respondents recording their satisfaction and relevance of the trainings.

Risks










| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|---|--|--|--|
| Economic and political changes might hamper or slowdown the implementation of national IP strategies. | The risk remained constant during the biennium and materialized due to political and structural changes in certain transition countries. | Immediate follow-up and communication with countries when a relevant change occurred to their status was effective in mitigating the risk and facilitated adjustments to the planning on all levels, maintaining efficient stakeholder relations. | The mitigation actions minimized the impact of the risk, resulting in minor adjustments and achievement of the target nonetheless. |
| Decisions taken at the international or national levels result in the loss of stakeholder commitment to actively engage in the implementation of activities that affect long term plans for enhancing human resource capacities in countries in transition. | This risk remained stable throughout the biennium. | Successful mitigation through intensive and close interactions with beneficiaries, donors and Members States helped to adjust or improve planning and coordination of capacity building activities. Good coordination on IP-related matters was achieved with other international and national organizations and partners. | The risk was mitigated during the biennium, resulting in no negative impact on performance. |

Looking Forward

- WIPO will continue to promote the development and implementation of tailored, balanced, long-term and results-oriented national IP strategies and country cooperation plans. Nevertheless, it should be noted that the majority of transition countries have already adopted national IP strategies and plans and are implementing them. Consequently, in 2018/19, the focus will be rather on those countries still without such strategies or plans and on the reformulation, implementation, and evaluation of the implementation of existing strategies.

⁸⁹ <http://www.wipo.int/publications/en/details.jsp?id=4186>

Performance Data





| | Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|---|---|---|--------|
| I.2 | Tailored and balanced IP legislative, regulatory and policy frameworks | | | | |
|  | No. of transition countries with updated national laws and regulations | 9 (6 countries) | 6 additional countries | 5 additional countries: Albania, Belarus, Kazakhstan, Kyrgyzstan, Ukraine 4 baseline countries further updated national laws and regulations: Latvia, Montenegro, Republic of Moldova, the Russian Federation | ● |
|  | No. of ratifications to WIPO administered treaties | 10 (n/a) | 12 additional countries (4) | 11 additional countries: Australia, Belarus, Canada, Bosnia and Herzegovina, Finland, Ireland, Israel, Japan, Republic of Moldova, the Russian Federation and Turkmenistan | ● |
| II.1 | Wider and more effective use of the PCT System for filing international patent applications | | | | |
|  | No. of PCT applications originating from transition and developed countries | 168,207 (170,317) | 1.5% increase - annual | 2016: 168,850 ⁹⁰ (+0.4%) 2017: 173,080 (+1.4% as compared to the 2016 target) | ▲ ● |
|  | % of survey respondents showing increased use of WIPO services within 6 months of attending Roving Seminars on WIPO Services and Initiatives | 35% (18%) | 25% of survey respondents showing increased use of WIPO services (20%) | 46% of survey respondents reported increased use of WIPO services | ● |
| II.4 | Wider and more effective use of the Hague System, including by developing countries and LDCs | | | | |
|  | No. of Hague applications originating from transition and developed countries | 3,448 (2,776) | 10% annual increase (1.5%) | 2016: 4,134 ⁹¹ (+20%) 2017: 4,092 (-1%) | ● ▲ |
| II.6 | Wider and more effective use of the Madrid System, including by developing countries and LDCs | | | | |
|  | No. of Madrid System applications originating from transition and developed countries | 44,570 (43,748) | 2% increase - annual | 2016: 47,453 ⁹² (+6.5%) 2017: 48,455 (+2%) | ● |
| II.8 | International and domestic intellectual property disputes are increasingly prevented or resolved through WIPO mediation, arbitration and other alternative dispute resolution methods | | | | |
|  | No. of IP disputes originating from transition and developed countries prevented/resolved by WIPO mediation, arbitration and other alternative dispute resolution methods | 412 (377) disputes and 160 (76) bons offices involving parties from transition and developed countries - cumulative ⁹³ | 33 additional disputes and bons offices involving parties from transition and developed countries | 105 additional disputes and 108 additional bons offices involving parties from transition and developed countries in 2016/17 517 disputes and 268 bons offices involving parties from transition and developed countries (cumulative as at end 2017) | ● |
| II.10 | Wider and more effective use of the Lisbon System, including by developing countries and LDCs | | | | |
|  | No. of Lisbon system international registrations for transition and developed countries in force | 836 (818) of 931 (896); +11.6% over 2012/13 | 2% increase - biennial | 886 out of 991 registrations in force from transition and developed countries (+6% over 2015) | ● |
| III.1 | National innovation and IP strategies and plans consistent with national development objectives | | | | |
|  | No. of countries which are in the process of formulating national IP strategies | 4 (same, 21 cumulative) | 7 additional | 6 additional countries: Hungary, Lithuania, Poland, Slovakia, Ukraine and Uzbekistan were in the process of formulating or reformulating their IP strategies 1 country (Georgia) was in the process of finalization | ● |

⁹⁰ Corrigendum: Data reflect the most up-to-date figures.

⁹¹ Ibid.

⁹² Ibid.

⁹³ Corrigendum: At the end of 2015, there were actually 572 disputes and bons offices involving parties from transition and developed countries, as compared to 461 as reported in the PPR 2014/15.

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|---|-------------------------------|--|-----|
|  No. of countries having developed national IP strategies or IP plans, dovetailed with national development goals | 20 (17) cumulative | 7 additional | 6 additional countries: Albania, Azerbaijan, Bulgaria, Kyrgyzstan, Latvia, and Slovenia (26 cumulative) | ● |
| III.2 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 | | | | |
|  No. of countries in transition having established annual IP training programs and/or courses for IP Professionals | 9 (6) | 8 countries | 6 additional countries established annual IP training programs/courses: Azerbaijan, Latvia, Republic of Moldova, the Russian Federation, Ukraine and Uzbekistan 4 baseline countries established additional IP training programs/courses: Georgia, Poland, Romania and Turkey 19 programs/courses in 15 countries (cumulative) | ● |
|  % of trained IP professionals and IP Officials using upgraded skills in their work. | 82.7% (80%) | 80% (70%) | In 2016/17, 83.3% of trained IP professionals were using upgraded skills in their work. | ● |
| III.4 Strengthened cooperation mechanisms and programs tailored to the needs of developing countries, LDCs and countries with economies in transition | | | | |
|  No. of established partnerships | 5 (4) new MoUs. 1 collaboration on promotion of the IP Development Matchmaking Database | 6 IP partnerships established | 13 additional IP partnerships in 2016/17 ⁹⁴ | ● |

Resource Utilization

Budget and Expenditure (by result) (in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------|--------------------------------------|---------------------|
| I.2 Tailored and balanced IP legislative, regulatory and policy frameworks | 833 | 723 | 693 |
| II.1 Wider and more effective use of the PCT system for filing international patent applications | 1,170 | 1,287 | 1,235 |
| II.4 Wider and more effective use of the Hague system, including by developing countries and LDCs | 550 | 501 | 474 |
| II.6 Wider and more effective use of the Madrid system, including by developing countries and LDCs | 526 | 522 | 498 |
| II.8 International and domestic intellectual property disputes are increasingly prevented or resolved through WIPO mediation, arbitration and other alternative dispute resolution methods | 343 | 341 | 322 |
| II.10 Wider and more effective use of the Lisbon system, including by developing countries and LDCs | 111 | 122 | 120 |
| III.1 National innovation and IP strategies and plans consistent with national development objectives | 1,497 | 1,709 | 1,630 |
| III.2 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 | 1,999 | 2,007 | 1,915 |
| III.4 Strengthened cooperation mechanisms and programs tailored to the needs of developing countries and LDCs and countries with economies in transition | 890 | 861 | 816 |
| Total | 7,919 | 8,073 | 7,703 |

⁹⁴ (i and ii) 2 MoUs between l'Institut National de la Propriété Industrielle (INPI) (France) and WIPO ; (iii) 1 MoU between the National Institute of IP of Kazakhstan-United States Patent and Trademark Office (USPTO); (iv) Agreement between WIPO and the Hellenistic IP Organization (OBI) Concerning the Translation into Greek and Printing of a WIPO Publication (Patents); (v and vi) 10th and 11th WIPO Advanced Intellectual Property Research Forum with Hebrew University (Israel); (vii and viii) annual Ono Academic College (ONO) (Israel)/WIPO Seminar; (ix) Sapir College (Israel)/WIPO Forum; (x) Haifa University/WIPO Forum; (xi) MoU between Ukraine and the Republic of Korea; (xii) MoU between Ukraine and Turkey; (xiii) Agreement between the IP Office of Malta and WIPO to Further the Interaction on the Madrid System

Budget and Expenditure (personnel and non-personnel)
(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------------|--|------------------------|-------------------------|
| Personnel Resources | 6,021 | 6,220 | 5,903 | 95% |
| Non-personnel Resources | 1,898 | 1,853 | 1,800 | 97% |
| Total | 7,919 | 8,073 | 7,703 | 95% |

Final Budget after Transfers:

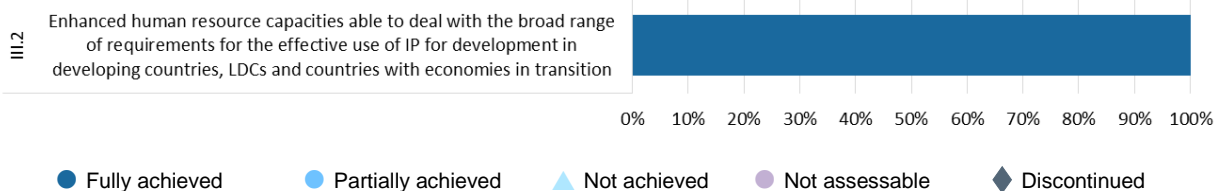
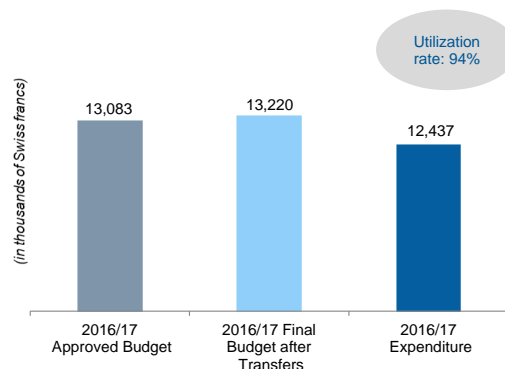
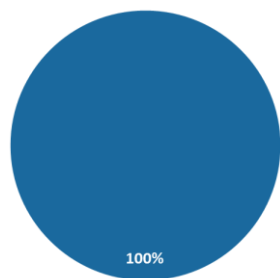
- The net increase in personnel resources was the result of: (i) the transfer of a position into the Program to strengthen the work in Caucasian, Central Asian and Eastern European countries; (ii) reclassifications of two positions; (iii) regularization of a continuing senior program officer function; (iv) the transfer of two positions from the Program to support NGOs and industry-related activities; and (v) redeployment of accrued personnel savings to other organizational priorities.
- The slight decrease in non-personnel resources was due to the transfer of resources for internships to Program 23.

Budget Utilization was in line with the Final Budget after Transfer.

PROGRAM 11 The WIPO Academy

Program Manager Mr. M. Matus

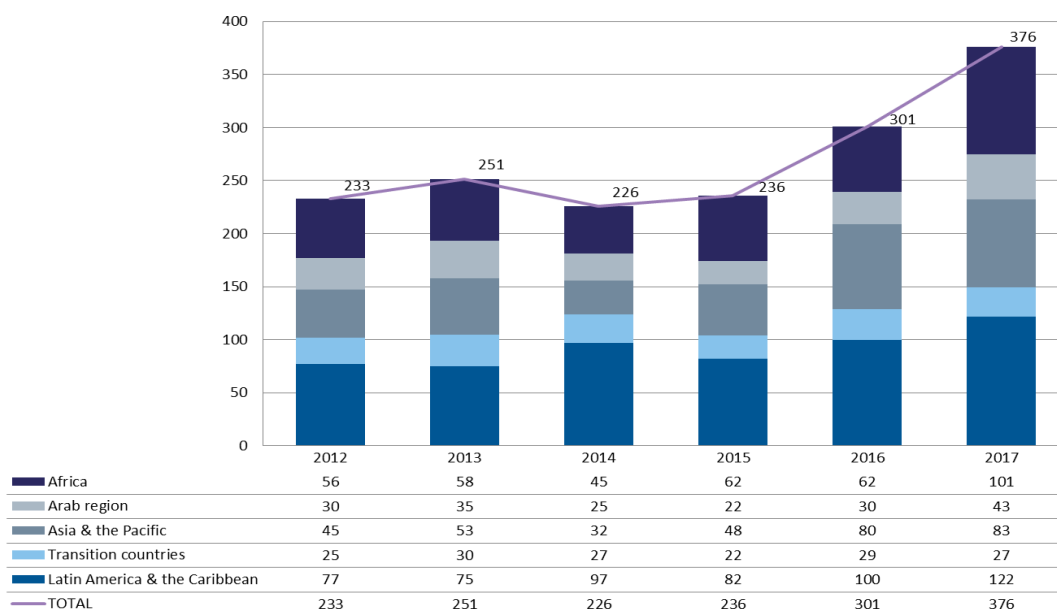
Program Dashboard



Key Accomplishments

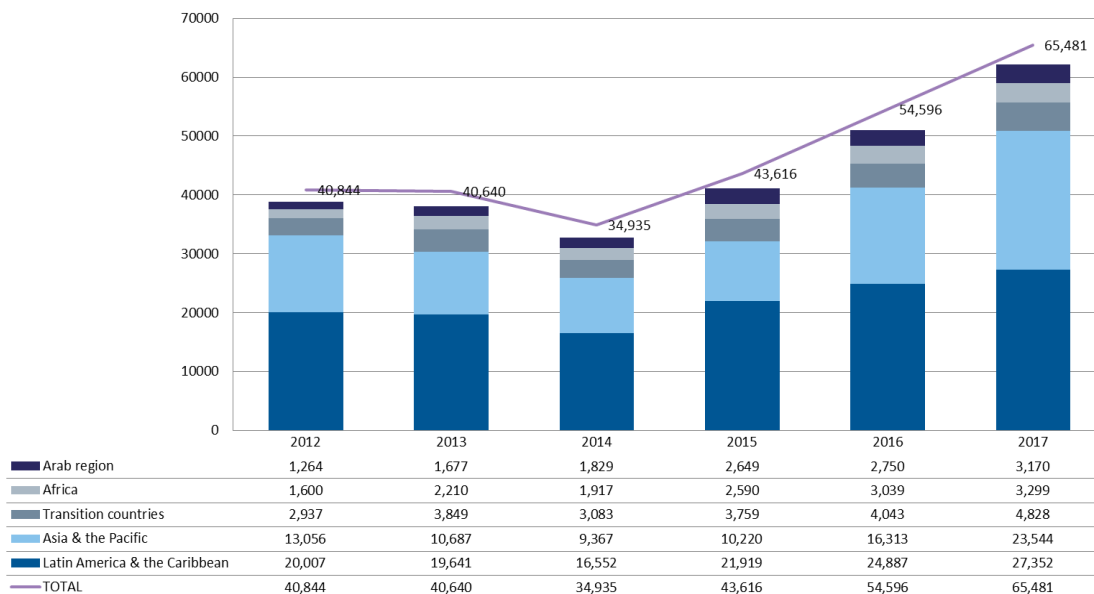
- Professional Development Program (PDP):** Some 42 training courses were offered jointly with 30 partner institutions, including an increased number of partnerships with developing countries that have the skills and knowledge in specific areas of IP of direct relevance for other developing countries and LDCs. Out of the 42 courses offered in the biennium, 24 were organized with such institutions. Of the 683 government officials who benefited from the courses, 52 per cent were female, and an increase in participation from across all regions was observed.

Geographic Distribution of PDP Participants (2012-2017)



- New specialized professional development training courses were implemented with strategic cooperating institutions from Brazil, Cuba, China, Egypt, India, Georgia, Grenada, Kenya, Republic of Korea, Mexico, Saint Lucia, South Africa and the United States of America.
- *The Distance Learning (DL) Program* saw strong growth in the biennium, with over 120,000 participants enrolled in 349 general and advanced sessions offered in all six UN languages, as well as Portuguese, German, Japanese and Korean, ensuring broad access to IP education. All WIPO regions showed an increase in the number of participants, with an overall 53 per cent increase in the number of participants as compared to 2014/15.

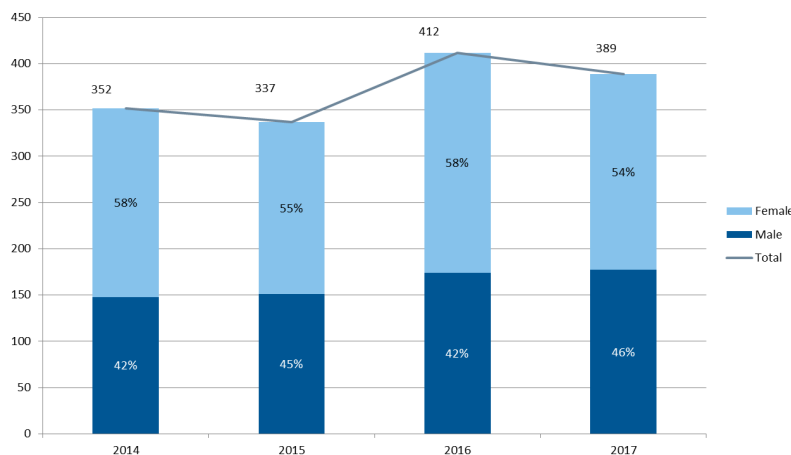
Regional Distribution of Participants in Distance Learning 2012-2017



- Of particular note, 2016 saw the launch of the DL General Course on IP (DL-101) in seven languages for persons who are visually impaired and print disabled, with over 500 participants participating during its pilot phase. Participation increased by 60 per cent in 2017, with over 800 participants from all WIPO regions.
- The decision to reduce fees for advanced DL courses by up to 50 per cent for participants from developing countries, least developed countries and countries with economies in transition, resulted in an over 80 per cent increase in participation from those countries.

- *Academic Institutions Program:* In addition to the six Joint Master's Programs offered annually, two new Joint Master's Degree in IP and Innovation were developed with the University of San Andres and INPI (Argentina) and a new Joint Master's Degree in IP and New Technologies with the Jagiellonian University (Poland) and the Polish Patent Office.

Gender Breakdown of WSS Participants



- Twenty WIPO Summer Schools (WSS) were organized in 2016/17 with over 800 participants from all regions. Gender representation remained stable as compared to 2014/15, with a 56 per cent to 44 per cent female to male ratio.
- Building on the success of the annual Geneva WIPO-WTO Colloquium, the first Regional WIPO-WTO Colloquium for IP Teachers and Researchers was organized in co-operation with Singapore Management University (SMU) in

Singapore (February 20-22, 2017), followed by the publication of the *WIPO-WTO Colloquium Papers: 2017 Asian Edition*⁹⁵.

- Adoption of the first National IP Education and Training Plan (Sultanate of Oman).

DA Highlights

Implementation of Ongoing DA Projects and CDIP-approved Activities: The implementation of the DA Project on Cooperation on Development and IPR Education and Professional Training with Judicial Training Institutions *in Developing and Least Developed Countries* was launched in July, 2016 in the four pilot countries (Costa Rica, Lebanon, Nepal and Nigeria). Progress included: (i) identification of national priorities and needs; (ii) signed Cooperation Agreements with all four countries; (iii) designation of national project consultants by the respective national authorities; and (iv) development of a Generic Course for the Judiciary. The course will provide a tailored overview of IP with practical considerations for judges by covering an extensive range of IP topics.



Mainstreaming of DA Projects: Following the mainstreaming of the DA Start-Up Academies Project in 2014, at the end of 2017: (i) five national IP Training Centers (start-up Academies) (Colombia, Dominican Republic, Egypt, Peru and Tunisia) had been established; (ii) two projects (Azerbaijan, Georgia) were close to completion; (iii) eight projects were under implementation; (iv) two new MoU's (Islamic Republic of Iran and the Philippines) were signed for new projects; and (v) 17 expressions of interest were received.

Guiding Principles: The Program's activities continued to be guided by Recs. 1, 3, 10 and 45.







Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|--|---|---|
| The decrease of contributions from partner institutions may impact the delivery of the training programs and the establishment of new training courses. | This risk remained stable throughout the biennium. | Regular engagement with current and potential partner institutions successfully mitigated against the materialization of the risk. | The risk was mitigated during the biennium, resulting in no negative impact on performance. |
| In a fast-changing technological and IP landscape, user expectations and preferences are evolving rapidly. The IT platform for distance learning courses and its graphics interface may become outdated. | This risk remained stable throughout the biennium. | Feedback from DL students and tutors was regularly assessed to effectively mitigate against materialization of the risk. Experts were also engaged to ensure that the Academy's platform incorporated user feedback to meet expectations, and IT updates were performed under an Organization-wide upgrade to eLearning technologies. | The risk was mitigated during the biennium, resulting in no negative impact on performance. |
| IP content of the training programs of the Academy could become misaligned with emerging global challenges and developments in the IP system. | This risk remained stable throughout the biennium. | Feedback from stakeholders, training partners, participants, tutors and experts was regularly assessed to effectively mitigate against the materialization of the risk. | The risk was mitigated during the biennium, resulting in no negative impact on performance. |

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|-----------------------------|--------------------|------------------|-----|
| III.2 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 | | | | |
|  % of trainees and supervisors who are satisfied with the training programs developed based on training needs assessment exercises | No data available (in 2015) | 70% of respondents | 95.5% | ● |
|  % of participants using enhanced knowledge and skills in various IP areas | No data available (in 2015) | 60% of respondents | 87% | ● |

⁹⁵ https://www.wto.org/english/tratop_e/trips_e/wipo_wto_colloquium_2017_e.pdf

| | | | | | |
|---|--|--|--------------------|---|---|
|  | No. of cooperation agreements and partnerships established in line with the Academy's new vision | 0 (Not available) | 5 | 16 cooperation agreements and/or partnerships: <ul style="list-style-type: none"> - 12 cooperation agreements/partnerships involving Argentina, Brazil, China (2), France, Iran, Italy, Malaysia, Morocco, Nicaragua, Oman, the Philippines and Turkey were established in line with the Academy's new vision - 4 additional cooperation agreements with Costa Rica, Lebanon, Nepal and Nigeria, as part of the DA Judicial Training Institutions Project | ● |
|  | % of increase in the no. of participants following the Academy's distance learning (DL) courses | 2014/15: 78,551 - 2015: 43,616 - 2014: 34,935 (35,000) | 10% | +53% (120,077) as compared to 2014/15 - 2016: (54,596) - 2017: (65,481) | ● |
|  | No. of DL courses that have been reviewed and updated | 2 (0) | 4 | 4 additional: <ul style="list-style-type: none"> - DL-318 Patent Information Search; - DL-320 Basics of Patent Drafting; - DL-501 Collective Management of Copyright and Related Rights for Legal Practitioners; - DL-511 Software Licensing Including Open Source | ● |
|  | No. of national start-up academies created under the project which have become sustainable ⁹⁶ | 0 | 4 | 4 of 5 start-up Academies indicated self-sufficiency. | ● |
|  | New and improved IP courses and curricula in teaching institutions | 3 new teaching programs 5 universities enhanced existing IP programs in 2014/15 (5) | 20% increase | 5 universities ⁹⁷ established new teaching programs <ul style="list-style-type: none"> - 2016 (3) - 2017 (2) 3 enhanced IP programs ⁹⁸ <ul style="list-style-type: none"> - 2016 (2) - 2017 (1) | ● |
|  | Enhanced balance in geographical distribution of summer schools | 7 regions (6) | Maintain 7 regions | 7 regions maintained | ● |

Resource Utilization

Budget and Expenditure (by result) (in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|--|-------------------------|--------------------------------------|---------------------|
| III.2 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 | 13,083 | 13,220 | 12,437 |
| Total | 13,083 | 13,220 | 12,437 |

Budget and Expenditure (personnel and non-personnel) (in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 7,779 | 7,745 | 7,550 | 97% |
| Non-personnel Resources | 5,304 | 5,475 | 4,887 | 89% |
| Total | 13,083 | 13,220 | 12,437 | 94% |

⁹⁶ Sustainable national start-up academies are financially and technically self-supporting institutions to which WIPO provides advice on demand.

⁹⁷ 2016: (i) Ankara University (Turkey); (ii) Tongji University (China); (iii) University of the West Indies, Mona Campus (Jamaica); 2017: (iv) University of San Andreas (Argentina); (v) Jagiellonian University (Poland)

⁹⁸ 2016: (i) Nicaraguan Council of Science and Technology (CONICYT) and Martin Luther University (Nicaragua); (ii) University of the West Indies, Cave Hill (Barbados); 2017: (iii) Malaysia IP Office (MyIPO)

Final Budget after Transfers: The slight increase in non-personnel resources was due to the transfer of the responsibility for the management of the Advanced International Certificate Course on IP from Program 30 and the Collective Management of Copyright and Related Rights Courses from Program 3 to the WIPO Academy.

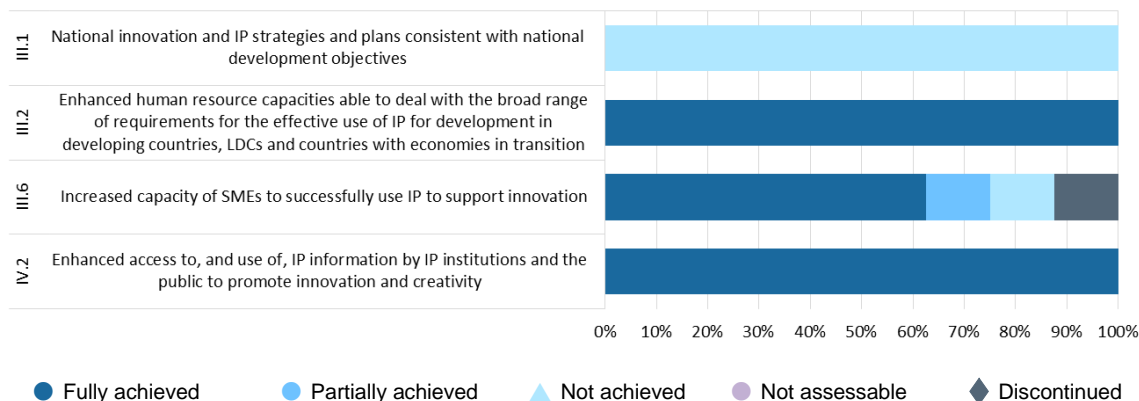
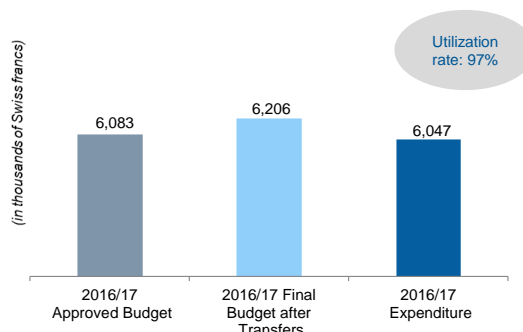
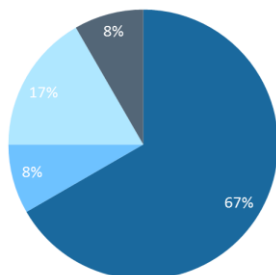
Budget Utilization:

- Personnel budget utilization was in line with the Final Budget after Transfers.
- The DA Judicial Institutions Training Project was launched later than expected in July 2016, which resulted in an under-spend in non-personnel resources.

PROGRAM 30 SMES and Entrepreneurship Support

Program Manager Director General

Program Dashboard



Key Accomplishments

- A draft *IP Toolkit for Academic Institutions—Connecting Academic Research with Economy and Society*⁹⁹, consisting of: (i) an IP Policy Template for Universities; (ii) Guidelines for Implementation of the IP Policy Template; (iii) a Policy Writers Checklist; (iv) a Roadmap for Commercialization; (v) Model Agreements; and (vi) Hypothetical Cases was developed during the biennium and was targeted for release in the first half of 2018. A presentation of a draft part of the Toolkit containing the “IP Commercialization Roadmap” took place during a side event to the Fifty-Seventh Series of Meetings of the Assemblies of the Member States of WIPO organized on October 3, 2017.
- The first in the series on IP for Business publications *Making a Mark*, a practical guide for small and medium-sized enterprises explaining how to use marks strategically to help build and protect a brand, was revised. The updated English version¹⁰⁰ was published in 2017.
- As part of the Baltic States Pilot Project on the Development of a Regional Pool of IP Commercialization Experts: Successful Technology Licensing (STL) and IP Valuation, which was initiated and completed during the biennium, a network of experts with an upgraded capacity to deal with IP commercialization of research results developed in academic institutions was established in the Baltic States.

⁹⁹ http://www.wipo.int/about-ip/en/universities_research/news/2017/news_0001.html

¹⁰⁰ <http://www.wipo.int/publications/en/details.jsp?id=4208&plang=EN>

- The project on the Establishment of Transfer of Technology Offices (TTOs) in the Arab Region was finalized at the beginning of 2017, and a Regional Workshop on the Outcome of the WIPO Pilot TTO Project in Tunisia was organized in Tunis in May 2017, with a view to being able to replicate the model nationally and regionally.
- The WIPO Website for IP Policies for Universities¹⁰¹ was launched in May 2016, offering key resources relevant for universities and policy makers to develop their institutional IP policies. By the end of 2017, the WIPO Database of IP Policies contained over 450 policies, manuals and agreements from 66 countries.

DA Highlights

Guiding Principles: Program 30 continued to implement its programs and activities to benefit SMEs and the research sector in a number of countries including developing countries and LDCs, in line with Recs. 1, 4, 10 and 11. In this context, national, regional and sub-regional capacity building conferences, seminars and workshops on the use of IP assets for business competitiveness were conducted in seven countries, and an event for exploring policy interventions for more effectively supporting SMEs was organized in one country.



Risk

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|--|--|---|
| Economic or political changes may lead to reprioritizing of focus on the development of national innovation and IP strategies. | This risk remained stable throughout the biennium. | Mitigation actions—working closely with beneficiaries and Members States and planning and coordination of all IP related matters with partners—were effective. | The risk was mitigated during the biennium, resulting in no negative impact on performance. |








Looking Forward

- In regard to developing IP strategies that address the promotion of creativity including innovation, in-depth consultations with stakeholders were conducted resulting in recommendations on how IP could be more strategically used for achieving the long term objectives of the country. In 2018/19, WIPO will facilitate the implementation of the recommendations for those countries requesting assistance and will continue to demonstrate the positive impact of using the IP system and relevant policy instruments by SMEs, universities and research organizations on business competitiveness, business startups, knowledge sharing and subsequently job creation and economic growth.
- The formulation and adoption of IP policies for SMEs can be a long and arduous process. The target set for this indicator for the biennium was overly ambitious. In 2016/17, Program 30 laid the groundwork for a more strategic approach to working with Member States on the development and implementation of tailored, balanced, long-term and results-oriented IP strategies and country cooperation plans for SMEs and will continue this work in 2018/19, with a view to achieving the target.

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|---|-------------|--|-----|
| III.1 National innovation and IP strategies and plans consistent with national development objectives | | | | |
|  No. of national IP strategies that address the promotion of creativity including innovation | Initiated in 6 (4) countries, cumulative: Cameroon, Jamaica, Rwanda, Serbia, Sri Lanka, Trinidad & Tobago | 5 countries | 1 national IP strategy developed addressing the promotion of creativity including innovation (Albania) National IP Strategies initiated in 3 additional countries (Georgia, Latvia, Slovakia) | ▲ |
| III.2 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 | | | | |
|  % of trained IP professionals using upgraded skills in their work | 77% (>60%) | 70% (50%) | 97% | ● |

¹⁰¹ http://www.wipo.int/about-ip/en/universities_research/ip_policies/

| III.6 Increased capacity of SMEs to successfully use IP to support innovation | | | | | |
|--|--|--|--|---|--------|
|  | No. of subscriptions to the SME Newsletter | 6,657 ¹⁰² (40,510) | 10% | The SME Newsletter was discontinued in June 2015, following the issuance of the e-newsletter platform | ◆ |
|  | No. of downloads of topical SME material and guidelines | Downloads: 71,867 (70,559) Page views SME web page: 960,196 (821,150) | 10% 10% | 2016 2017 Downloads: 58,733 79,773 Page views: 1,400,092 1,598,946 | ● ● |
|  | % of participants in training programs targeting SME support institutions who express satisfaction with the content and organization of these events | 100%: 46% very satisfied; 54% satisfied (same) | 90% | 95%: - very satisfied (60%); - good (35%) | ● |
|  | % of trained SMEs support institutions who provide information and advisory services on IP asset management | 100%: 48% very often; 32% often; 20% sometimes (same) | 80% | 100% | ● |
|  | % of participants in training programs targeting SME support institutions using enhanced knowledge and upgraded skills in their work | n/a | 50% | 95%: - very often (54%); - often (41%) | ● |
|  | No. of countries having established or improved IP training programs for SMEs | 18 (13) countries/regional organizations-cumulative | 10 additional | Institutions in 5 countries (Islamic Republic of Iran, Jamaica, the Russian Federation, Seychelles, South Africa) indicated having established and/or improved training programs and assistance to SMEs | ● |
|  | No. of countries in which IP policies were developed or adopted for SMEs | n/a | 5 countries | None | ▲ |
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | | | | | |
| | No. of Technology Transfer Offices (TTOs) that were established or strengthened in Universities or R&D institutions under the WIPO University Initiative Program | 10 in 2014/15: Tunisia 4; the Philippines 6 (tbd) | 6 additional TTOs-16 cumulative (6 TTOs) | 1 TTO established at the Ministry of Science of Montenegro | ● |
| | No. of universities and/or research institutions having developed and/or improved their IP policies | 436 universities: - Poland 434 - the Russian Federation 1 - Uzbekistan 1 (Original Baseline P&B 2016/17: 150 universities in transition countries) | 10 additional universities | 7 universities/research institutions in 4 countries (Botswana, Mozambique, Pakistan, Sudan) developed IP policies ¹⁰³ : 6 universities/research institutions in 6 countries (Botswana, Georgia, Guatemala, Montenegro, Poland, Slovakia) improved IP policies ¹⁰⁴ (449 universities and/or research institutions cumulative) | ● |

¹⁰²In 2015, in order to ensure a more targeted user base for the newsletter, the criteria to subscribe were modified, requiring existing SME Newsletter subscribers to re-subscribe.

¹⁰³(i) Okavango Research Institute/University of Botswana (Botswana); (ii) Botswana University of Agriculture and Natural Resources (BUAN) (Botswana); (iii) Department of Agricultural Research (Botswana); (iv) *Instituto Superior de Ciências e Tecnologia de Moçambique* (ISCTEM) (Mozambique); (v) *Universidade Eduardo Mondlane (UEM), Centro de Estudos sobre Direito de Integração Regional da SADC-CEDIR* (Mozambique); (vi) Former Christian College (FCC) (Pakistan); (vii) National Center for Research (Sudan)

¹⁰⁴(i) Botswana International University of Science and Technology (BIUST) (Botswana); (ii) Iliia State University, (Georgia); (iii) Galileo University (Guatemala); (iv) Ministry of Science of Montenegro (Montenegro); (v) Jagiellonian University (Poland); (vi) Pavol Jozef Šafárik University (Slovakia)

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------|--------------------------------------|---------------------|
| III.1 National innovation and IP strategies and plans consistent with national development objectives | 1,020 | 858 | 791 |
| III.2 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 | 962 | 731 | 714 |
| III.6 Increased capacity of SMEs to successfully use IP to support innovation | 3,125 | 3,120 | 3,014 |
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | 976 | 1,497 | 1,528 |
| Total | 6,083 | 6,206 | 6,047 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 4,522 | 4,861 | 4,783 | 98% |
| Non-personnel Resources | 1,561 | 1,345 | 1,265 | 94% |
| Total | 6,083 | 6,206 | 6,047 | 97% |

Final Budget after Transfers:

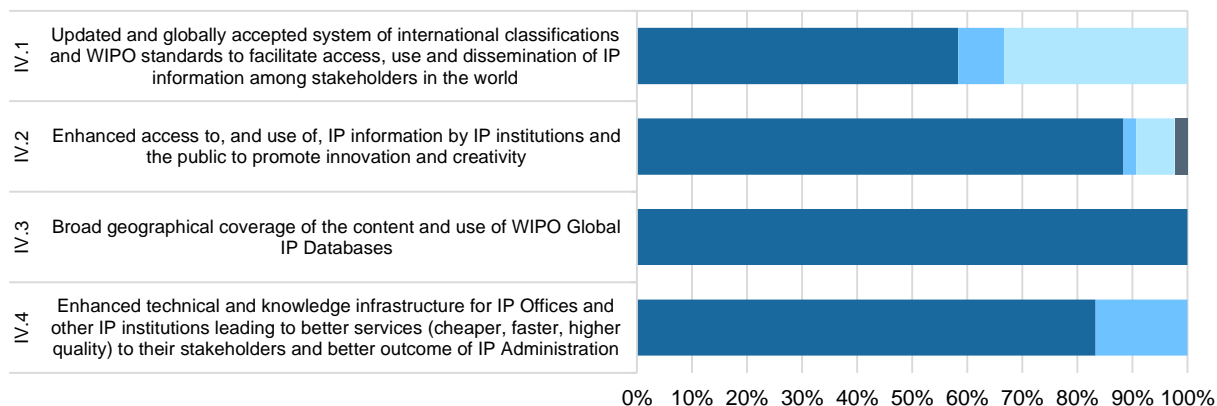
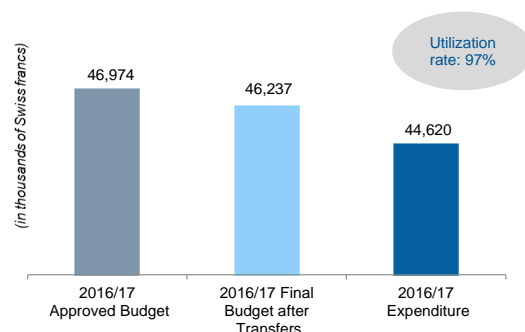
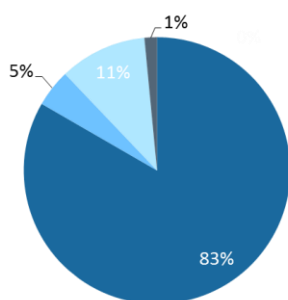
- The increase in personnel resources was the result of: (i) the transfer of three positions (two fixed-term and a temporary position) into the Program from Programs 3, 27 and 28 to strengthen the capacity of the SMEs Division; (ii) reclassifications; (iii) the transfer of a position to Program 11 to support management, strategic planning and coordination in the WIPO Academy; and (iv) redeployment of accrued personnel savings to other organizational priorities.
- The decrease in non-personnel resources was mainly due to the transfer of resources to: (i) Program 11 for the Advanced International Certificate Course (AICC); (ii) Program 18 for IP and competition policy related activities; (iii) Program 23 for internships; and (iv) other organizational priorities following the realization of cost-efficiencies within the Program.
- The slight decrease in resources under ER III.1 and III.2 was mainly due to the redistribution of personnel resources, which shifted to ER IV.2 to assist in the establishment of TTOs and to enhance access to, and the use of, IP information by IP institutions and the public to promote innovation and creativity.

Budget Utilization was in line with the Final Budget after Transfers.

Strategic Goal IV COORDINATION AND DEVELOPMENT OF GLOBAL IP INFRASTRUCTURE

Biennial Performance Dashboard

The dashboard below provides a summary of the progress towards the achievement of the Results in the biennium 2016/17 as measured by the indicators under the Programs contributing to this Strategic Goal.



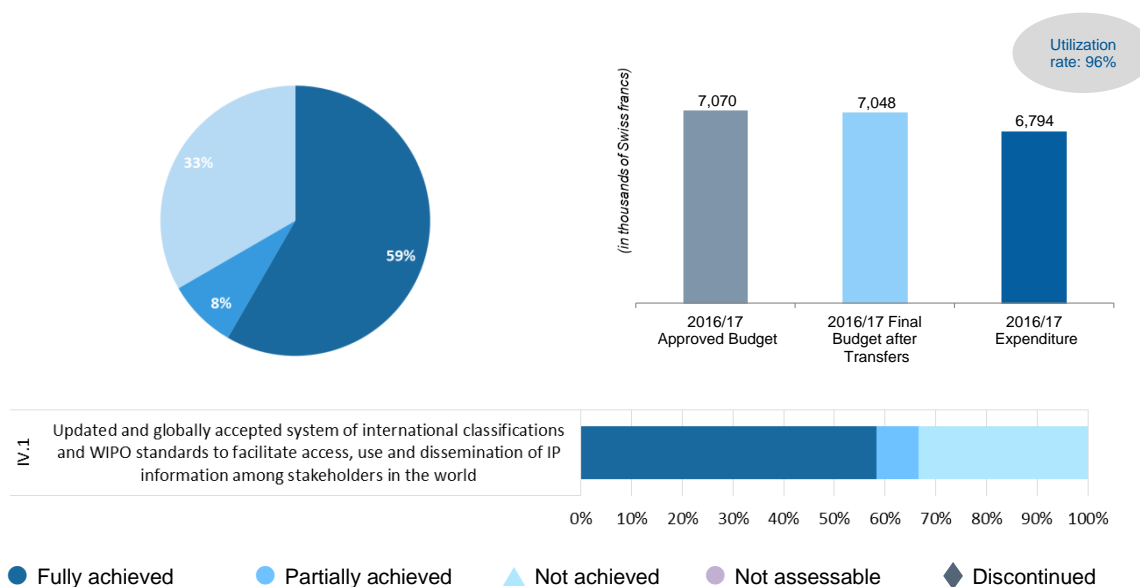
● Fully achieved ● Partially achieved ▲ Not achieved ● Not assessable ◆ Discontinued

| Expected Results | Performance Indicators | Responsible Program(s) | PIE |
|---|---|------------------------|------------------|
| IV.1 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 | No. of amended and new standards adopted | Program 12 | ● |
| | No. of amendments and information files introduced into the Nice Classification | Program 12 | ● ● ● |
| | No. of new subdivisions introduced into the IPC per year | Program 12 | ● |
| | No. of users accessing the Internet publications of international classifications and standards, in particular from developing countries | Program 12 | ▲ ▲ ● ● ▲ ● ▲ |
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | No. of ABC constituent members | Program 3 | ● |
| | No. of donors | Program 3 | ● |
| | No. of legal instruments, guidelines, statements of principles other than binding instruments with the participation of the stakeholders concerned in areas such as new copyright treaties and Copyright in the Digital Environment | Program 3 | ● |
| | Continuation and expansion of national technological capacity building programs on Appropriate Technology in LDCs | Program 9 | ● |
| | Identified Appropriate Technology commercialized in LDCs | Program 9 | ● |
| | Institutions established to continue working on Appropriate Technology in LDCs | Program 9 | ● |
| No. of organizations, communities, individuals that applied and used the Appropriate Technology as a solution to identified development | Program 9 | ● | |

PROGRAM 12 International Classifications and Standards

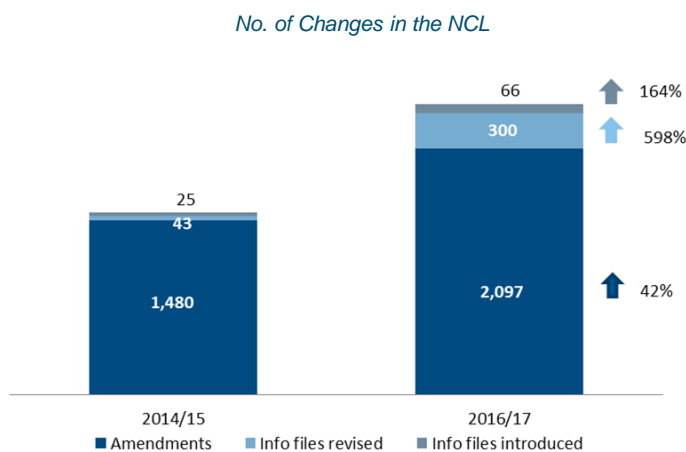
Program Manager Mr. Y. Takagi

Program Dashboard



Key Accomplishments

- The Committee on WIPO Standards (CWS) held two sessions in the biennium where four important new WIPO Standards essential for the exchange of IP data were adopted: (i) ST.26 (recommended standard for the presentation of nucleotide and amino acid sequence listings using extensible Markup Language (XML)); (ii) ST.68 (recommendations for the electronic management of sound marks); (iii) ST.27 (the exchange of patent legal status data); and (iv) ST.37 (the authority file of published patent documents). Five WIPO Standards, including ST.96 (XML for IP data and information), were also revised.
- Three new online publication platforms were implemented in 2016/17: (i) two new versions of the IPC were prepared through the new IPC Revision Management Solution (IPCRMS) platform and published on the IPCPUB; (ii) NCLPUB was introduced for the Nice Classification, which contributed to a 60 per cent increase in visits to the Internet publication; and (iii) the eleventh edition of Locarno Classification was published on LOCPUB.
- The biennium saw a 42 per cent increase in the number of amendments introduced in the alphabetical list of the Nice Classification (NCL) as compared to 2014/15. In order to provide clearer guidance to users, 25 of the 45 class headings and 37 explanatory notes were modified. The amendments and modifications, which reflect the evolution of the business market, were incorporated in the eleventh edition (11-2017) and updated version (11-2018) of the NCL.
- The total number of International Patent Classification (IPC) subdivisions increased by 1.8 per cent from 72,586 (IPC-2016.01) to 73,915 (IPC-2018.01) under the IPC Revision Roadmap, which was updated by the IPC Committee of Experts in 2017. Following the outcomes of the

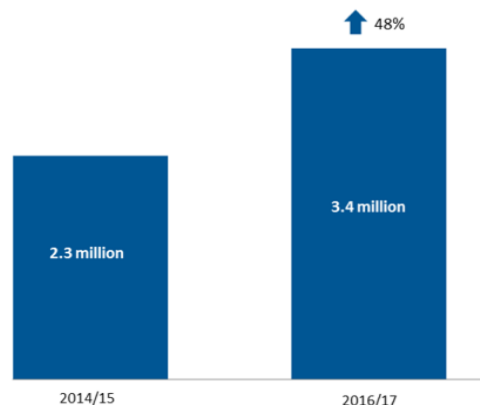


IPC Revision Working Group, the IPC scheme was further updated to reflect the development of new technologies, resulting in a 15 per cent increase in the total number of amendments, from 2,866 (IPC-2016.01) to 3,308 (IPC-2018.01).

- The Vienna Classification eighth edition incorporated 156 modifications, and 823 modifications were adopted for the twentieth edition of the Locarno Classification.

DA Highlights

Guiding Principles: The work of Program 12 continued to facilitate access for developing countries to publically available IP information (Recs. 30 and 31), which also contributed to efforts related to the transfer of technologies. In 2016/17, the number of users from developing countries accessing the Internet publications of international classifications and standards increased by 48 per cent.







Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|---|---|---|
| Divergent opinions between groups of countries result in limitation of technical development of standards and classifications. | This risk remained a constant prospect throughout the biennium. | The mitigation strategy to discuss and resolve political issues outside of the Committees proved successful following the suspension of the fourth session of the CWS in 2014. It contributed to the session being reconvened (CWS/4BIS) in 2016. | Despite the suspended session of the CWS, progress was made in the following session, resulting in the adoption of four new WIPO Standards. |

Looking Forward

- The decrease of user visits to IPC-related pages was due in part to the transition to the new version of IPCPUB, which included a change of format of the legacy data. To promote increased usage of the sites and improve user experience, new functionality, such as sub-group categorization in the IPCCAT categorization assistance tool, will be introduced, and an enhanced guide will be published on the IPC homepage.
- Although the number of users of Locarno Home only saw a 1 per cent increase in 2016/17, a larger increase is expected in 2018/19 following the implementation of the new online publication platform with enhanced functionality at the end of 2017.
- To address the lower-than-expected increase in the number of users of Vienna Home, a new online platform will be developed as part of a comprehensive IT portfolio streamlining strategy to enhance user experience and increase access.
- The decrease in the number of visits to the WIPO Standards (Handbook) was due to a decrease in visits from developed countries, most likely due to the fact that users from developed countries are generally more familiar with and/or have already implemented existing WIPO Standards in their systems. It should be noted, however, that the number of visits by developing countries recorded a significant 30 per cent increase in 2016/17, with 30,304 visits as compared to 23,280 in 2014/15. Increased efforts to raise awareness on the use of standards and their implementation will continue to be a priority in 2018/19.

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|---|--|---|-----------|
| IV.1 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 | | | | |
|  No. of amendments and information files introduced into the Nice Classification | 1,480 amendments: - 560 (2014) ¹⁰⁶ (same) - 920 (2015) 43 information files revised - 39 (2014) - 4 (2015) 25 information files introduced - 20 (2014) - 5 (2015) (50 new or amended information files) | Increase compared to baseline | 2,097 amendments ¹⁰⁷ : - 1,213 (2016) - 884 (2017) 300 information files revised: - 145 ¹⁰⁸ (2016) - 155 (2017) 66 information files introduced: - 33 ¹⁰⁹ (2016) - 33 (2017) | ● ● ● ● ● |
|  No. of new subdivisions introduced into the IPC per year | 2015: 1,031 in the 2016.01 version 2014: 337 in the 2015.01 version (same) | Increase compared to baseline | 2016: 684 in the 2017.01 version 2017: 1,057 in the 2018.01 version | ● |
|  No. of amended and new Standards adopted | 2014/15: 1 new Standard informally adopted and 3 Standards revised (2 new standards) | Increase compared to baseline Adoption of new standard(s) | 2016/17: 4 new Standards adopted and 5 Standards revised: - 2016: 2 new Standards adopted and 4 Standards revised ¹¹⁰ - 2017: 2 new Standards adopted and 1 Standard revised | ● |
|  No. of users accessing the Internet publications of international classifications and standards, in particular from developing countries | IPC home: 361,378: 48.1 % of visits from developing countries | 5% increase compared to baseline | IPC home: 352,928 (-2.3%): 49.2% of visits from developing countries | ▲ |
| | IPC Pub: 1,389,644: 36.3 % of visits from developing countries (1,170,000) | | IPC Pub: 1,130,465 (-18.7%): 44.7% of visits from developing countries | ▲ |
| | NICE home: 532,493: 47.8 % of visits from developing countries | | NICE home: 586,068 (+10%): 53.2% of visits from developing countries | ● |
| | NICE Pub: 2,721,537: 49.1 % of visits from developing countries (2,587,788) | | NICE Pub: 4,356,580 (+60%): 54.6% of visits from developing countries | ● |
| | LOCARNO home: 51,075: 33.5 % of visits from developing countries (44,557) | | LOCARNO home: 51,588 (+1.0%): 41.5% of visits from developing countries | ▲ |
| | VIENNA home: 34,830: 38.8 % of visits from developing countries (29,596) | | VIENNA home: 35,745 (+2.6%): 58.1% of visits from developing countries | ● |
| | WIPO Standards (Handbook): 69,288: 33.6 % of visits (23,280) from developing countries (66,399) | | WIPO Standards (Handbook): 67,643 (-2.4%): 44.8 % of visits (30,304) from developing countries (+30%) | ▲ |

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|--|-------------------------|--------------------------------------|---------------------|
| IV.1 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 | 7,070 | 7,048 | 6,794 |
| Total | 7,070 | 7,048 | 6,794 |

¹⁰⁶ Corrigendum: The total number of amendments in 2014 was 560, not 570 as reported in the PPR 2014.

¹⁰⁷ Of the 2,097 amendments, 1,071 correspond to new goods and services.

¹⁰⁸ Corrigendum: The total number of information files revised in 2016 was 145, not 148 as reported in the PPR 2016.

¹⁰⁹ Corrigendum: The total number of information files introduced in 2016 was 33, not 30 as reported in the PPR 2016.

¹¹⁰ Corrigendum: The total number of revisions in 2016 was four, not three, as reported in the PPR 2016.

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------------|--|------------------------|-------------------------|
| Personnel Resources | 5,675 | 5,548 | 5,306 | 96% |
| Non-personnel Resources | 1,395 | 1,500 | 1,488 | 99% |
| Total | 7,070 | 7,048 | 6,794 | 96% |

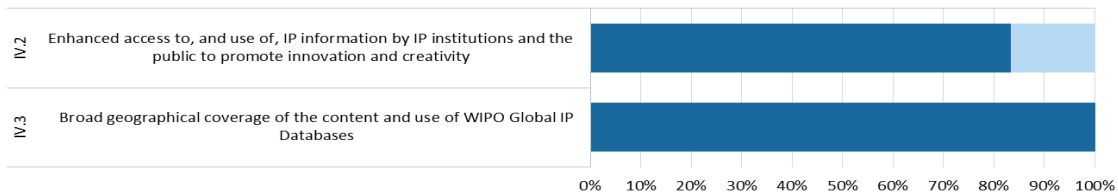
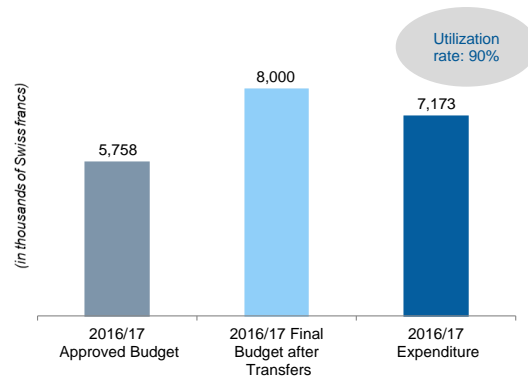
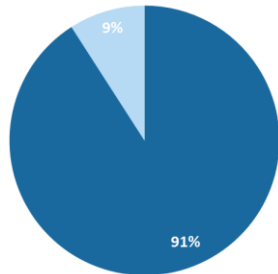
Final Budget after Transfers: The slight decrease in personnel resources reflects a shift to non-personnel resources to support the XML4IP Task Force under the CWS.

Budget Utilization was in line with the Final Budget after Transfers.

PROGRAM 13 Global Databases

Program Manager Mr. Y. Takagi

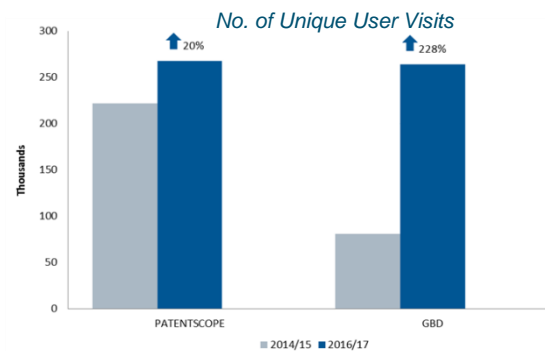
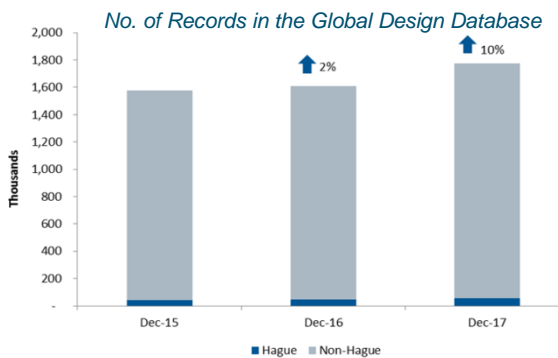
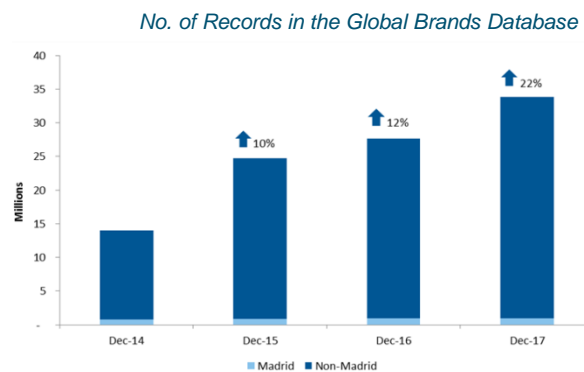
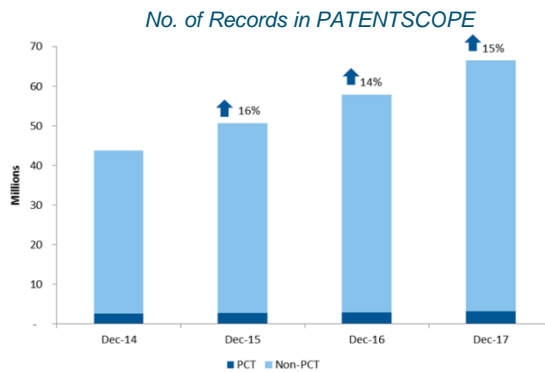
Program Dashboard



● Fully achieved ● Partially achieved ▲ Not achieved ● Not assessable ◆ Discontinued

Key Accomplishments

- The global database showed overall strong growth in 2016/17, both in terms of number of records contained and number of unique visitors.



- A new, cutting-edge Artificial Intelligence (AI)-based neural machine translation tool for translating patent documents was launched in 2016 for three language pairs, with six additional pairs added in 2017. The tool outperformed, other web-based products and provided innovators worldwide high-quality translation services and more easily accessible information on patents and new technologies.
- An initiative to establish a WIPO Advanced Technology Applications Center (ATAC) to provide research and development work in applying advanced technologies such as Robotic Process Automation (RPA), Cognitive Automation (CA) and Artificial Intelligence (AI) to the delivery of WIPO products and services started in 2017. The aim of ATAC is to implement new, creative and innovative solutions in order for WIPO to remain agile and adapt to the continuously changing external environment.
- The search capability in PATENTSCOPE was further enhanced to include a specialized search function (ChemSearch) for chemical compounds by both International Non-Proprietary Names (INNs) and chemical formula. The search function was made available for the United States of America national collection and PCT back and front file collection.
- Bespoke training of 12 Patent Offices in the use of individually customized PATENTSCOPE Optical Character Recognition (OCR) tools to produce machine-readable, full text of patent publications was successfully developed and delivered in 2016/17, facilitating the upload of the full-text front files by local offices to PATENTSCOPE.
- WIPO Lex, a database that provides free of charge access to legal IP information, was included in the Global Database family in 2016/17. In line with the recommendations of an internal audit, measures for improvement were implemented in WIPO's outreach activities to Member States, as well as in the workflow for the uploading and quality control of the data, which contributed to a sharp increase in the number of users in 2017, almost 83 per cent as compared to 2016¹¹¹.

DA Highlights

- **Guiding Principles:** Program 13 continued to facilitate access to publicly available IP information through the global databases (Recs. 8 and 31), in particular for the purposes of multilingual patent searches.

Risks





| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|--|---|---|
| Loss of access to Global Databases owing to localized internet service disruption or technical failure at Geneva HQ. | This risk remained stable throughout the biennium. | The approach to mitigate this risk consisted of reducing latency for users in Asia and the Pacific, as well as providing a back-up center for data and access, should the Geneva site become unavailable. After implementation, the demand on the mirror site's hardware was found to be considerable, and overtaxed the system. An upgrade to the hardware was subsequently initiated at the end of 2016/17. | The mirror site permitted faster access to PATENTSCOPE for users in Asia and the Pacific and ensured reliable backup access globally. This contributed to the achievement of the related targets for the Program. |

Looking Forward

- Number of unique visitors to the Global Design Database (GDD) saw a slight decrease in 2016/17 due in part to: (i) slower than anticipated growth in the number of collections contained in the database; (ii) limited user visibility as compared to the other global databases; and (iii) the redeployment of a staff member to other priorities in the Organization, resulting in a reduction in resources dedicated to the GDD. With regard to the latter, a new staff member was recruited at the end of 2017 to ensure that the Program is fully resourced. Furthermore, the priority for GDD in 2018/19 will be to increase the number of collections contained, with a view to spurring increased visibility and usage of the database.

¹¹¹ See Program 21

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE | |
|---|--|--|------------------------------------|--|---|
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | | | | | |
|  | No. of different users per quarter in all Global Database systems ¹¹² | PATENTSCOPE: 221,981 (592,000) | PATENTSCOPE: 250,000 (650,000) | PATENTSCOPE 267,432 (+20%) GBD: 264,067 (+228%) | ● |
| | | Global Brand Database: 80,490 (49,000) | GBD: 75,000 (70,000) | | ● |
| | | Global Design Database: 13,946 (n/a) | GDD: 15,000 (same) | GDD: 11,698 (-16%) (figures are for Q4 2017) | ▲ |
| | No. of languages in which cross-lingual search is available | 14 (12) | 14 | 14 | ● |
|  | No. of language pairs available for translation of descriptions and claims | 1 - English/Chinese (0) | 4 (cumulative) | 9 Neural pairs ¹¹³ 8 Non-neural pairs ¹¹⁴ (cumulative) | ● |
| | Timeliness of data uploading (the average delay in days between the publication date of the records in their official register and availability in Global Databases for a representative subset of national collections) | n/a - new PI | 45 days | 27 days | ● |
| IV.3 Broad geographical coverage of the content and use of WIPO Global IP Databases | | | | | |
|  | No. of records contained in PATENTSCOPE | 50,000,000 cumulative (43,000,000) | 55,000,000 cumulative (50,000,000) | 66,000,000 cumulative | ● |
| | No. of records contained in Global Brand Database | 24,500,000 cumulative (15,800,000) | 30,000,000 cumulative (25,000,000) | 33,670,755 cumulative | ● |
| | No. of records contained in Global Design Database | 1,530,000 cumulative (n/a) | 2,000,000 cumulative (1,000,000) | 1,773,151 cumulative | ● |
|  | No. of National Collections in PATENTSCOPE | 43 cumulative (40) | 50 | 53 | ● |
| | No. of National Collections in Global Brands Database | 26 cumulative (18) | 32 | 37 | ● |

¹¹² The number of users refers to unique 'users' rather than unique 'visitors', which avoids the risk of counting the number of unique visitors who only view the page and do not perform searches, thereby providing a more accurate representation of the database usage. The Original Baseline P&B 16/17 and the Original Target P&B 16/17 referred to unique 'visitors.'

¹¹³ English / Arabic, Chinese, French, German, Japanese, Korean, Portuguese, Russian, Spanish.

¹¹⁴ English/French, German, Japanese, Korean, Portuguese, Russian, Spanish. Due to the success of the neural machine translation, no additional non-neural language pairs will be developed.

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|--|-------------------------|--------------------------------------|---------------------|
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | 3,803 | 5,893 | 5,312 |
| IV.3 Broad geographical coverage of the content and use of WIPO Global IP Databases | 1,956 | 2,107 | 1,860 |
| Total | 5,758 | 8,000 | 7,173 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 4,551 | 5,533 | 5,209 | 94% |
| Non-personnel Resources | 1,208 | 2,467 | 1,964 | 80% |
| Total | 5,758 | 8,000 | 7,173 | 90% |

Final Budget after Transfers:

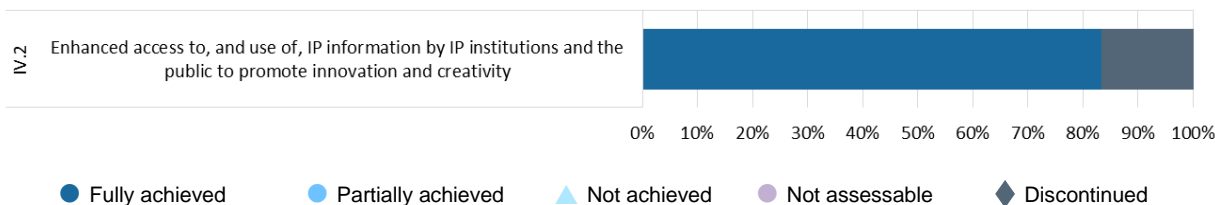
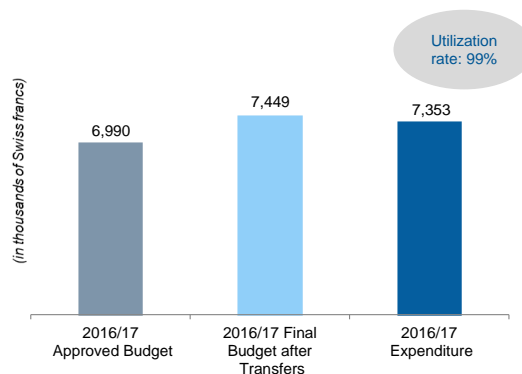
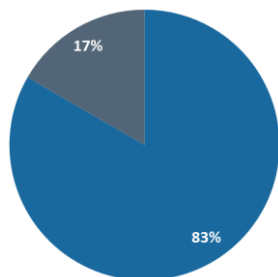
- The increase in personnel resources were due to: (i) the transfer of WIPO Lex from Program 21, reflected under ER IV.2; (ii) the transfer of two positions to support the increased workload related to the upload of national collections into PATENTSCOPE and the operation of WIPO Lex; and (iii) the reclassification of one position.
- The increase in non-personnel resources was primarily due to: (i) the transfer of WIPO Lex from Program 21; (ii) the transfer of LATIPAT and ARABPAT from Program 14; and (iii) resources for the upload of additional national collections to the Global Databases, development of advanced search functions (chemical compounds, image, non-patent literature, dossier information), development of the PatInfoMed database, and the modernization of the WIPO Lex database.

Budget Utilization: Budget utilization was lower than expected due to: (i) the deferred implementation of the non-patent literature activity and the OCR resulting from delays in recruitment and procurement processes; and (ii) the freezing of the mirror site project as the cloud services for PATENTSCOPE would be examined under the Global IP Platform Initiative (GIPPI) project.

PROGRAM 14 Services for Access to Information and Knowledge

Program Manager Mr. Y. Takagi

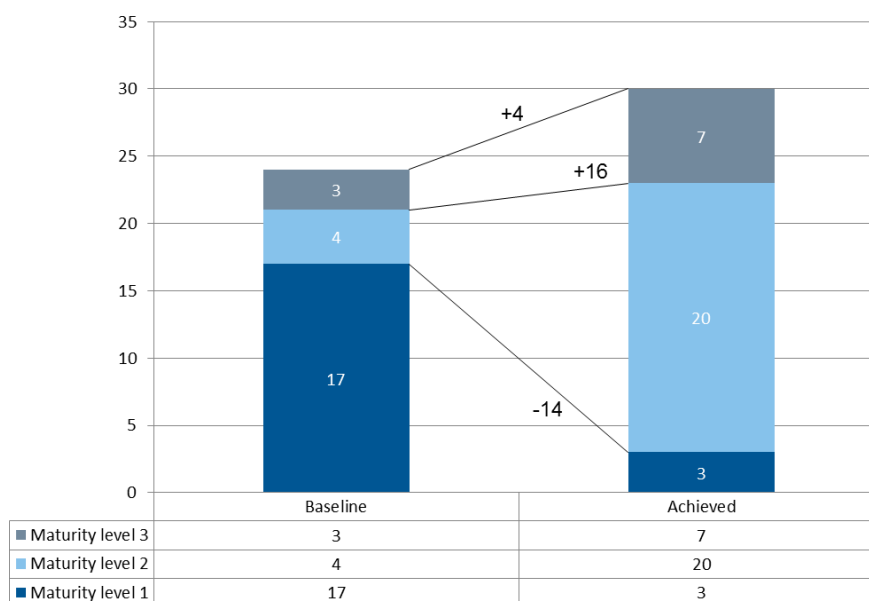
Program Dashboard



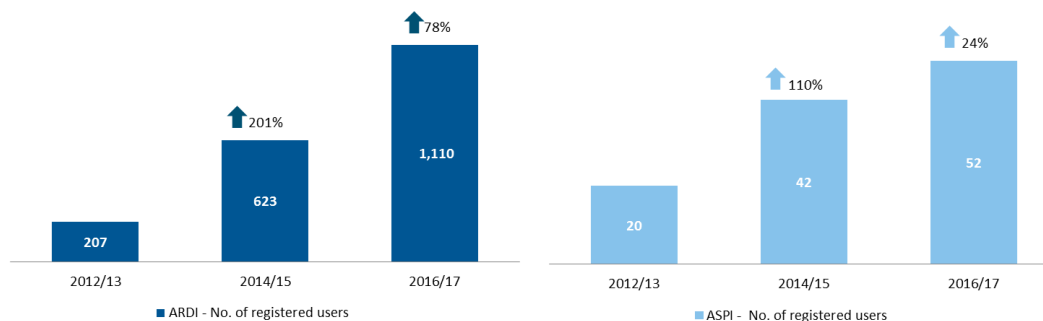
Key Accomplishments

- The number of national Technology and Innovation Support Center (TISC) networks increased by 42 per cent during the biennium, from 50 at the end of 2015 to 71 at the end of 2017. By the end of the biennium, a total of 30 national networks had met the criteria to reach one of the three maturity levels of sustainability, a 25 per cent increase over 2014/15.

The Breakdown of Sustainable TISC Networks by Maturity Level (end 2017)



- TISC Clinic services in conjunction with the Inventor Assistance Program (IAP) continued to be further developed in Colombia, Ecuador, Morocco, the Philippines and South Africa, with a total of 43 requests received in 2016/17, surpassing the biennial target. Moreover, the seven TISC networks at Maturity Level 3 began to offer new patent analytical services and reports addressing national technology and business trends.
- The eTISC knowledge management platform¹¹⁵ grew to 2,050 registered members from over 123 countries in 2016/17, an increase of 37 per cent compared to the previous biennium. The demand for the interactive e-Tutorial¹¹⁶ on “Using and Exploiting Patent Information” remained strong and was launched in two additional languages, Spanish and Russian, bringing the total number of available languages to four.
- Following the exceptionally strong growth in 2014/15, Access to Research for Development and Innovation (ARDI) program¹¹⁷ and the Access to Specialized Patent Information (ASPI) program¹¹⁸ which provide access to commercial patent databases, continued to see steady growth in 2016/17 in the number of registered users.



- The Global IP Platform program went through a program initiation process in the first half of 2017, which concluded with an assessment that the program was viable and achievable. The program definition phase to establish the program blueprint and business case started thereafter, with capital master plan funding for phase I beginning in 2018 approved by Member States in October 2017.

DA Highlights

Implementation of Ongoing DA projects and CDIP approved Activities:

- Under the Project on the Use of Information in the Public Domain for Economic Development, in 2016/17: (i) two draft practical user guides on the identification and use of inventions in the public domain, to be piloted in eight national TISC networks (Colombia, Cuba, Kenya, Malaysia, Morocco, the Philippines, the Russian Federation, and South Africa), were completed; and (ii) an improved legal status portal (Patent Register Portal) was developed to be used in conjunction with one of the guides (Recs. 16 and 20).
- Documents were drafted for discussion in the CDIP with regard to the Compilation of Member States’ Inputs on Activities Related to Technology Transfer.

Mainstreaming of DA Projects:

- Patent Landscape Reports (PLRs) developed under the Project on Developing Tools for Access to Patent Information-Phase II, as well as those developed since being mainstreamed in 2014, continued to see strong demand, with over 210,000 downloads. By the end of 2017, the searchable collection of patent landscape reports by other organizations, a feature added in March 2017, contained over 200 records (Recs. 19, 30 and 31).
- The studies and materials developed under the Intellectual Property and Technology Transfer: “Common Challenges-Building Solutions”¹¹⁹ continued to be used by Member States (Recs. 19, 25, 26 and 28).

¹¹⁵ <http://etisc.wipo.org>

¹¹⁶ <http://www.wipo.int/tisc/en/etutorial/main.html>

¹¹⁷ <http://www.wipo.int/ardi>




¹¹⁸ <http://www.wipo.int/aspi>

¹¹⁹ [Development Agenda Portal: Technology Transfer and Open Collaboration](#)

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|---|---|---|
| Inability of the host country to sustain and continue self-supporting operation of TISC network. This could lead to closure of certain TISC centers. | The risk remained constant throughout the biennium. | Effective mitigation through the provision of support to TISC networks in the formal planning, monitoring and evaluation of the national project according to the national TISC project document, as well as closer cooperation and support of national TISC focal points, facilitated the monitoring of the development of the networks. | The mitigation measures implemented contributed to the Program achieving its performance targets relating to TISCs. |

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|---|--|---|-----|
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | | | | |
|  Cumulative no. of sustainable ¹²⁰ national TISCs networks | 24 (20) out of 50 (45) formally established Maturity Level 1: 17 total Maturity Level 2: 4 total Maturity Level 3: 3 total, including the provision of value-added services ¹²¹ | 30 (same) national TISC networks - cumulative: Africa: 13 (11) of which 9 (8) LDC; Arab region: 2 (4); Asia and the Pacific: 5 of which 2 LDC (same); Latin America and the Caribbean: 9 (7) Transition countries: 1 (3) | 30 sustainable national networks as at end 2017 Maturity Level 1: Africa: 1 (LDC) Asia and the Pacific: 1 Latin America and the Caribbean: 1 (3 total) Maturity Level 2: Africa: 9 (of which 7 LDCs) Arab region: 2 Asia and the Pacific: 3 Latin America and the Caribbean: 6 (20 total) Maturity Level 3, including the provision of value-added services ¹²² : Africa: 2 Arab region: 1 Asia and the Pacific: 1 Latin America and the Caribbean: 2 Transition countries: 1 (7 total) | ● |
|  Average no. of users serviced by TISCs per annum | 874 min–2,631 max= 1,730 average (548 min to 1,625 max) | 3,500 (1,100) | 3,470 | ● |
| No. of Member States in the respective regions collaborating with Global Databases | PATENTSCOPE 19 (18) - ARABPAT 4 (3) - LATIPAT 15 (same) GBD 4 (2) (same) GDD 0 (same) | PATENTSCOPE (+2) GBD (+4) GDD (+2) overall | Data reported under Program 13 | ◆ |
|  No. of active registered users of ARDI and ASPI | ARDI: 623 (411) ASPI: 42 (35) | ARDI: 900 (600) ASPI: 55 (60) | ARDI: 1,110 (+78%) ASPI: 52 (+24%) | ● |
| No. of TISC Clinic requests submitted to TISCs | 0 (n/a - new) | 40 (10) | 43 | ● |
| No. of TISCs offering patent analytical services | 0 (n/a - new) | 7 (5) | 7 | ● |

¹²⁰ Sustainable TISCs are financially and technically self-supporting institutions to which WIPO provides advice on demand.

Sustainability is measured through the following levels of maturity:

- **Maturity Level 1:** (a) Signing of a Service Level Agreement (SLA) between WIPO and the National Focal Point; (b) signing of Institutional Agreements between the National Focal Point and TISC Host Institutions; and (c) provision of at least an annual report on national TISC activities; maturity Level 1 fully achieved when a + b + c.
- **Maturity Level 2:** Level 1 standards having been met plus the provision of basic patent information searches, e.g. state of the art patent searches; and
- **Maturity Level 3:** Level 2 standards having been met plus the provision of value added IP services, e.g. drafting of patent landscape reports.

¹²¹ Support and advice on patent analytical services, on IP asset management and commercialization, Inventors Assistance Program (IAP), using and identifying inventions in the public domain, dispute resolution services, patent drafting.

¹²² Ibid.

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|--|-------------------------|--------------------------------------|---------------------|
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | 6,990 | 7,449 | 7,353 |
| Total | 6,990 | 7,449 | 7,353 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 5,764 | 6,030 | 6,045 | 100% |
| Non-personnel Resources | 1,225 | 1,420 | 1,309 | 92% |
| Total | 6,990 | 7,449 | 7,353 | 99% |

Final Budget after Transfers:

- The increase in personnel resources was primarily due to the regularization of continuing functions.
- The increase in non-personnel resources resulted primarily from the transfer of resources for the first phase of the Global IP Platform Integration (GIPP) project and the creation of a promotional video for neural network machine translation (PATENTSCOPE) for Program 13.

Budget Utilization

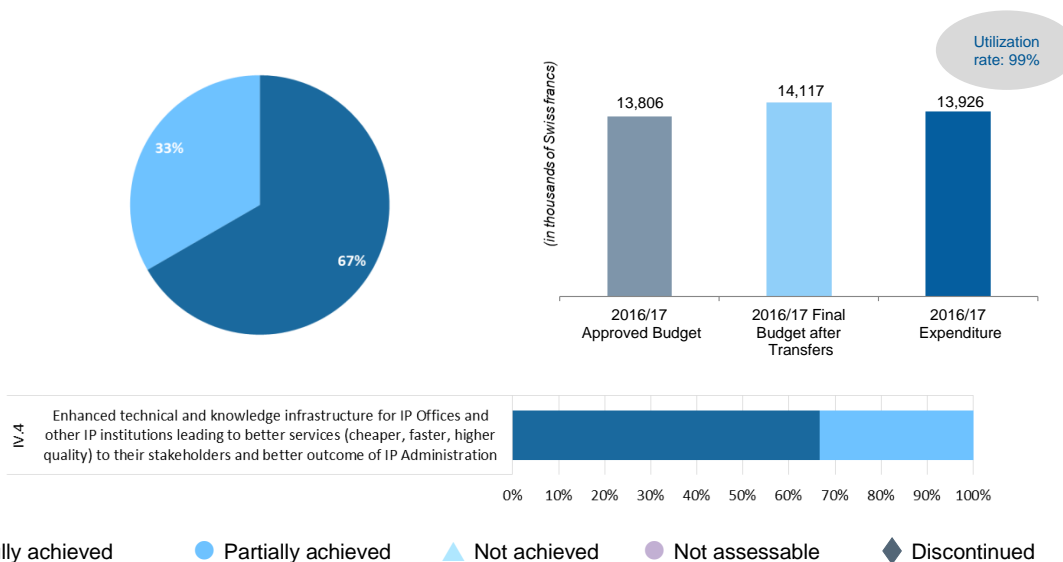
- Overall budget utilization was in line with the Final Budget after Transfers.
- The slightly lower utilization of non-personnel resources was primarily due to the postponement of the development of an improved legal status portal under the DA project Use of Information in the Public Domain for Economic Development.

PROGRAM 15 Business Solutions for IP Offices

Program Manager

Mr. Y. Takagi

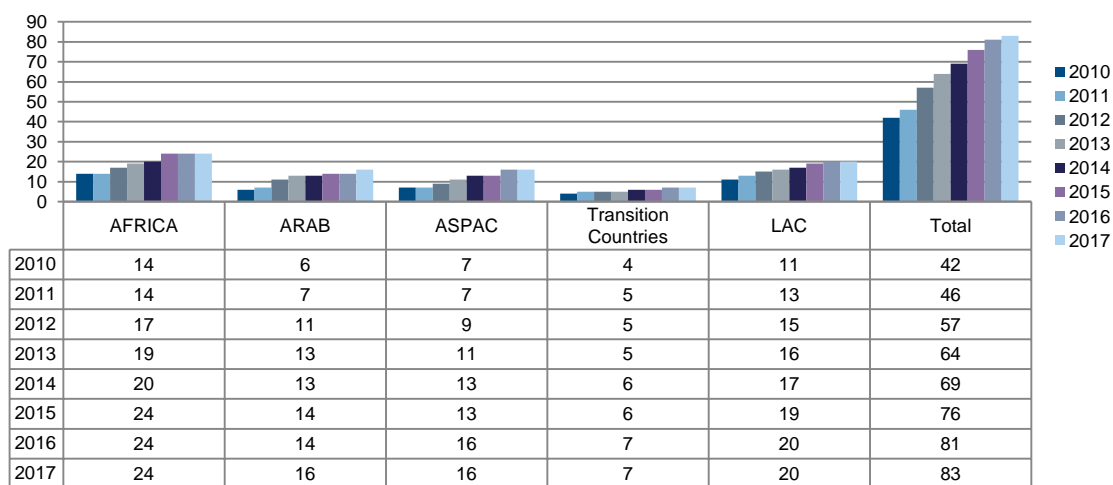
Program Dashboard



Key Accomplishments

- Use of WIPO Platforms - WIPO Centralized Access to Search and Examination (WIPO CASE) and Digital Access Service (DAS) - expanded to include 14 additional Offices in 2016/17, for a cumulative total of 39, surpassing the biennial target by 35 per cent. WIPO CASE was also fully linked in the biennium with the One Portal Dossier of the European Patent Office, Japan Patent Office, Korean Intellectual Property Office, State Intellectual Property Office of China and United States Patent and Trademark Office.
- The graph below provides an overview of the steady increase in usage of the WIPO IP Office Systems over the past eight years. At the end of 2017, 83 IP Offices were using the WIPO IP Office Systems.

WIPO IP Office Business Systems- Usage by Region¹²³



IP Office Business Systems include: IPAS (IP Administration System), AIPMS (Arab language version), WIPO Scan (digitization), EDMS (document management), WIPO File (online filing), WIPO Publish (online search database)

¹²³ Corrigendum: In 2015, there were six Offices in transition countries (76 Offices in total) using WIPO IP Office Business Systems and not seven Offices (77 in total) as reported in the PPR 2014/15.

- A fellowship program designed to build sustainable, local support capacity for WIPO's systems across the 83 IP Offices worldwide was successfully piloted in 2017. The fellowship program would allow one candidate per year from a local IP Office to join the Geneva-based support team in order to maximize exposure to the various technical and operational challenges faced by Offices, while providing hands-on, practical experience in troubleshooting and resolving the issues. In 2017, a candidate from the local IP Office of Botswana was selected. The pilot program proved to be very effective and will be fully integrated into WIPO's training program in the 2018/19 biennium.
- The number of IP Offices using WIPO Publish to support internal search and examination processes or providing online search for external users reached 35 by the end of 2017, a 40 per cent increase from 2016 and a 250 per cent increase since the culmination of the pilot phase at the end of 2015. In addition, WIPO Publish was enhanced with new features in the biennium, including: (i) a geographical map of filing information on the regional landing pages; (ii) a bar chart for patent filings by technology sector; (iii) machine translation integration; (iv) online accessibility to the WIPO Gazette of International Marks; (v) non-English title and abstract search capabilities; and (vi) export functionality of the national phase entries to the IB, as per PCT rule 95.1.
- Two new regional databases facilitating access to IP information were successfully launched in 2016/17: (i) ASEAN PATENTSCOPE¹²⁴, an ASEAN regional patent database providing timely access to the patent collections of nine ASEAN IP offices; and (ii) the ARIPO Regional Database¹²⁵, a regional database containing trademark data from 13 ARIPO Member States.

DA Highlights

Guiding Principles: Program 15 continued to assist Member States to develop and improve national IP institutional capacity through further development of infrastructure and other facilities with a view to making national IP institutions more efficient and promote a fair balance between IP protection and the public interest (Rec. 10). Technical assistance activities implemented were undertaken at the request of Member States, in a transparent manner and taking into consideration the priorities and the special needs of developing countries (Rec. 1).

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|---|--|--|
| Inability of IP Offices to sustain and continue self-supporting operation of WIPO software systems used for their core business. | Some IP Offices implemented additional applications without increasing the resources to support them. Despite this increase in inherent risk, the effective mitigation rendered the residual risk constant. | Service levels were constant or increased in IP offices using WIPO systems, which indicated that the risk mitigation strategy to ensure training for local IP Office staff and to establish formal procedures for software support and maintenance was effective. | The risk was mitigated during the biennium, and thus there was no negative impact on performance. |
| Lack of access to technical and proprietary information held by relevant stakeholders, which may be required for the implementation of the WCC project, leading to being unable to meet the core objectives. | The risk continued to be a threat since there was no formal agreement with industry bodies responsible for coordinating international copyright data exchange. | The mitigation strategy to invite relevant stakeholders to participate in the WCC project Business Expert Group meetings to share relevant information was effective. The strategy was enhanced to include the investigation of potential partnerships with major copyright industry bodies. | Despite the challenges, the Program partially achieved its WCC-related performance targets signaling the positive effect of the mitigation plan. |




Looking Forward

- Phase I of the WIPO Connect project focused on rights management for music copyright and was released to pilot Offices in Barbados, Botswana, Malawi and Pakistan for validation at the end of 2016. Phase II subsequently focused on: (i) enhancements to the features developed in Phase I; and (ii) expanding the coverage to neighboring rights operations which was successfully released in November 2017. The deployment of the system to CMOs is constrained, however, by the capacity of the CMOs to implement the new system. In this context, deployment of WIPO Connect to additional CMOs, including capacity building and support during implementation, will be a priority in 2018/19 to ensure CMOs' increased participation in regional and/or global networks.

¹²⁴ <http://ipsearch.aseanip.org>

¹²⁵ <http://regionalip.aripo.org>

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|--|------------------------|---|-----|
| IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP Administration | | | | |
|  No. of Offices using WIPO Infrastructure Platforms | 25 Offices cumulative (22) (Transition countries: 1 Developed countries: 9) | 29 Offices end 2017 | 14 additional Offices in 2016/17 - Arab region (2): Egypt, Morocco - Asia and the Pacific (2): Cambodia, Papua New Guinea - Latin America and the Caribbean (2): Brazil, Costa Rica - Other (5): European Patent Office, Eurasian Patent Office, New Zealand, Portugal, United States of America - Transition countries (3): Azerbaijan, Estonia, Georgia 39 Offices (cumulative) | ● |
|  Average Service Level ¹²⁶ of IP Offices assisted (ranging from 1 to 5) | Overall average: 2.9 (same) | 3 end 2017 | Overall average: 3.2 - Africa: 3.0 - Arab region: 3.1 - Asia and the Pacific: 3.5 - Latin America and the Caribbean: 3.1 - Other: 2.6 - Transition countries: 3.6 | ● |
|  No. of Collective Management Organizations (CMOs) in developing countries and LDCs participating in regional and global networks facilitated by WIPO | The WIPO Connect system was in the final development phase at the end of 2014/15. (0 CMOs end 2015) | 7 CMOs end 2017 | 4 CMOs (Barbados, Botswana, Malawi, Pakistan) | ● |

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------|--------------------------------------|---------------------|
| IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP Administration | 13,806 | 13,762 | 13,567 |
| VII.2 IP-based platforms and tools for knowledge transfer, technology adaptation and diffusion from developed to developing countries, particularly least developed countries, to address global challenges | - | 355 | 359 |
| Total | 13,806 | 14,117 | 13,926 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 7,756 | 7,707 | 7,671 | 100% |
| Non-personnel Resources | 6,050 | 6,410 | 6,255 | 98% |
| Total | 13,806 | 14,117 | 13,926 | 99% |

Final Budget after Transfers: The increase in non-personnel resources was primarily due to the transfer of resources for the cleaning and correction of patent family data from IPAS and CASE participating Offices and data provided by the EPO to PATENTSCOPE, reflected under ER VII.2, the completion of a user experience review on WIPO Publish and WIPO File and increased operational costs for WIPO Connect.

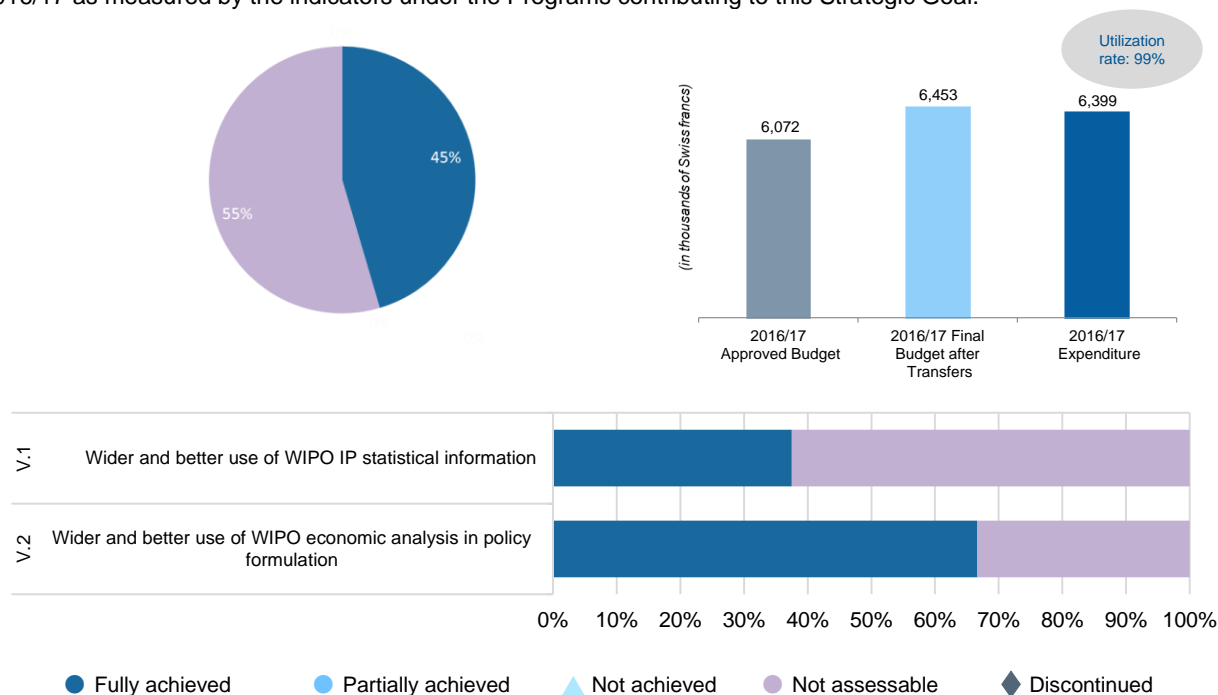
Budget Utilization was in line with the Final Budget after Transfers.

¹²⁶ For a definition of the Service Level Indicators, please refer to page 3 of the Questions and Answers (Q&A) document submitted at the 27th session of the Program and Budget committee ([WO/PBC/27/Q&A](#)).

Strategic Goal V WORLD REFERENCE SOURCE FOR IP INFORMATION AND ANALYSIS

Biennial Performance Dashboard

The dashboard below provides a summary of the progress towards the achievement of the Results in the biennium 2016/17 as measured by the indicators under the Programs contributing to this Strategic Goal.

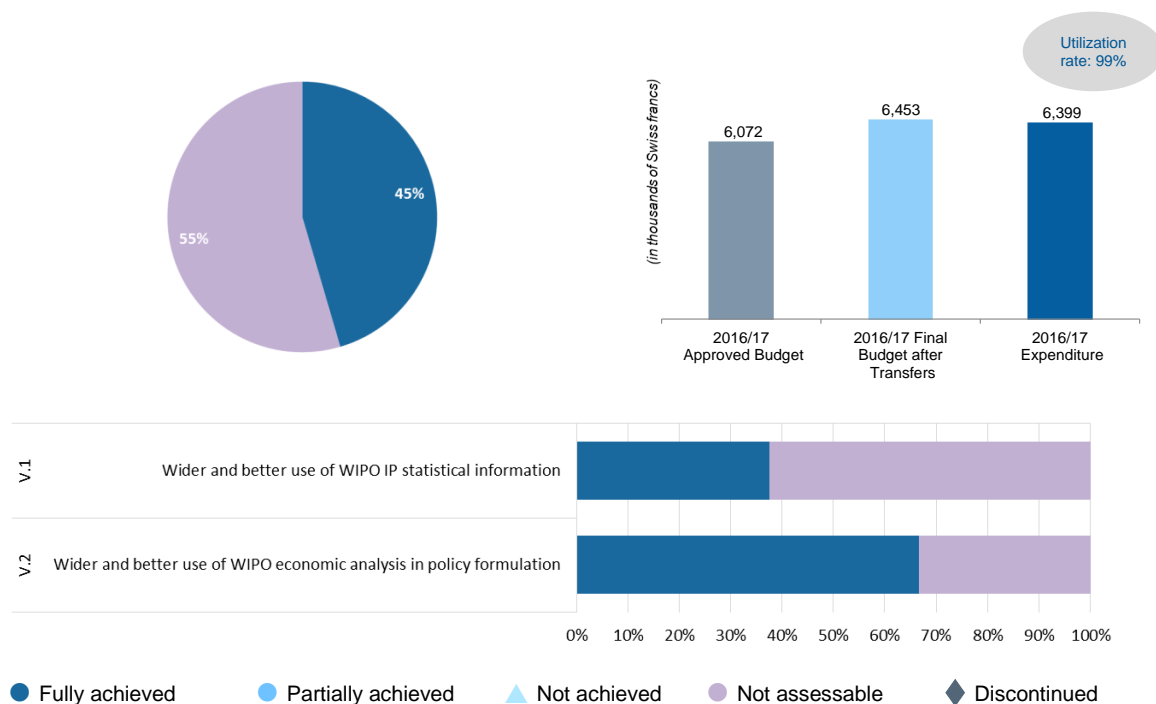


| Expected Results | Performance Indicators | Responsible Program(s) | PIE |
|--|---|------------------------|------|
| V.1 Wider and better use of WIPO IP statistical information | Difference between January forecasts and actual numbers of PCT, Madrid, and Hague filings are within threshold ranges | Program 16 | ●●● |
| | No. of downloads of annual statistics reports within 6 months of their publication | Program 16 | ●●●● |
| | No. of searches on IP Statistics Data Center | Program 16 | ● |
| V.2 Wider and better use of WIPO economic analysis in policy formulation | Annual number of visitors to Global Innovation Index websites | Program 16 | ●● |
| | No. of downloads of World IP Report within 6 months of publication | Program 16 | ● |

PROGRAM 16 Economics and Statistics

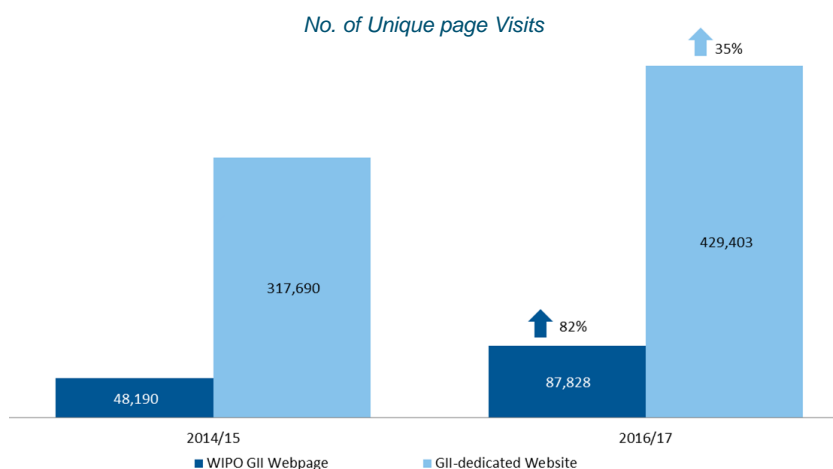
Program Manager Director General

Program Dashboard



Key Accomplishments

- The biennial *World Intellectual Property Report* was released in 2017, breaking new ground in providing the first ever estimates of the value of intangible capital in global manufacturing value chains.
- The launches of the 2016 and 2017 *Global Innovation Index (GII)*, co-published with Insead and the Cornell SC Johnson College of Business, received greater coverage in the news media compared to the previous biennium. An increasing number of countries – some of them with WIPO's input – used the *GII* as a tool to benchmark their innovation performance and guide the design of their innovation policies. The number of unique visits to the *GII* websites far exceeded the targets set for the biennium.



- New statistical indicators on women participation in patenting¹²⁷ were developed on the basis of PCT inventor data and a newly created Worldwide Gender-Name Dictionary, and regularly reported on in key WIPO statistical publications.
- Program 16 continued to collect data on IP activity worldwide. Coverage of WIPO's IP statistics database increased by 4 per cent in 2016/17 to 132 Offices, as compared to 127 in 2014/15. In addition, WIPO's statistics collection widened to include information on geographical indications and on certain operational features of IP Offices. Statistical collections were made available through a portfolio of reports and web-tools, tailored to the needs of different users.

DA Highlights

Implementation of Ongoing DA Projects and CDIP-approved Activities: The 2016/17 biennium saw the implementation of the CDIP project on Intellectual Property and Socioeconomic Development – Phase II, which consisted of seven studies, covering countries in five different regions and focusing on different aspects of the IP and development nexus. Along with the study outputs, the Project created new databases and research capacity with longer lasting benefits.



Mainstreaming of DA Projects: The studies¹²⁸ and guidelines developed under the projects IP and the Informal Economy and IP and Brain Drain continued to be used by Member States. Following on from these projects, two new edited book volumes were published in 2016/17: (i) *The Informal Economy in Developing Nations* (2016) and (ii) *The International Mobility of Talent and Innovation: New Evidence and Policy Implications* (2017).

Guiding Principles: The Program's activities continued to be guided by Recs. 1, 35 and 37.

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|--|--|---|
| Publication of incomplete statistical information (WIPI). | While the risk did not materialize, it continued to be a risk throughout the biennium. | The planned risk mitigation measures, in particular devoting sufficient resources to permit follow up with Member States on statistical survey responses, proved successful. | WIPO's statistics collection widened in 2016/17, and the number of survey responses increased as compared to previous biennia, ensuring completeness of statistical data and contributing to the positive performance of the Program. |
| WIPO publications misreport statistical data or reflect analytical shortcomings. | While the risk did not materialize, it continued to be a risk throughout the biennium. | The main risk mitigation measures, including devoting sufficient resources to research work and peer reviewing draft studies and reports, effectively pre-empted the misreporting of data and analytical shortcomings. | While there was no specific performance data relating to this risk, performance was not negatively impacted. |

Performance Data



| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|---|---|------------------|
| V.1 Wider and better use of WIPO IP statistical information | | | | |
|  No. of searches on IP Statistics Data Center | 68,692 ¹²⁹ (tbd) | 10% increase (tbd) | From April to December 2017: 50,577 | ● |
|  No. of downloads of annual statistics reports within 6 months of their publication ¹³⁰ | World IP Indicators: 26,710 ¹³¹ PCT Yearly Review: 11,949 ¹³² Madrid Yearly Review: 4,733 ¹³³ Hague Yearly Review: 3,662 ¹³⁴ (tbd) | World IP Indicators: 10% increase PCT Yearly Review: 5% increase Madrid Yearly Review: 5% increase Hague Yearly Review: 5% increase (tbd) | The enhanced web-analytics tool was implemented during the course of 2016, resulting in the inability to track data for 2016. World IP Indicators 2017: 22,564 ¹³⁵ PCT Yearly Review 2017: 8,276 ¹³⁶ Madrid Yearly Review 2017: 1,751 ¹³⁷ Hague Yearly Review 2017: 232 ¹³⁸ | ● ● ● ● |

¹²⁷ http://www.wipo.int/edocs/pubdocs/en/wipo_pub_941_2016-chapter1.pdf

¹²⁸ http://www.wipo.int/econ_stat/en/economics/studies/

¹²⁹ Data based on the old web-based statistical tools and methodologies

¹³⁰ Data for 2016/17 are not comparable to the 2015 baselines due to the use of a different tracking tool and methodology.

| Performance Indicators | Baselines | Targets | Performance Data | | | PIE | |
|---|--|---|---|-----------------------|------------|-----|---------|
| Difference between January forecasts and actual numbers of PCT, Madrid, and Hague filings are within threshold ranges | January 2015 filing forecasts; and 2015 actuals: - PCT 216,100; actual 217,230 | Forecasts within 80 % confidence interval | Forecast | Actual ¹³⁹ | difference | ● | |
| | | | | | | | |
| | | | PCT | 2016 | 225,400 | | 232,013 |
| | | 2017 | 239,900 | 243,500 | (+ 2%) | | |
| | Madrid | 2016 | 52,030 | 53,537 | (+ 2%) | | ● |
| | | 2017 | 54,090 | 56,267 | (+ 4%) | | |
| | Hague | 2016 | 5,560 | 5,562 | (+ 0%) | | ● |
| | | 2017 | 6,180 | 5,213 | (-16%) | | |
| | <i>(tbd)</i> | | | | | | |
| V.2 Wider and better use of WIPO economic analysis in policy formulation | | | | | | | |
|  Annual no. of visitors to Global Innovation Index websites | WIPO Global Innovation Index (GII) webpage ¹⁴⁰ : 48,190 ¹⁴¹ in 2014/15 | WIPO GI: 10% increase | WIPO GI: 87,828 (+82%) | | | ● | |
| | | | - 2016: 44,244 | - 2017: 43,584 | | | |
|  No. of downloads of World IP Report ¹⁴⁴ within 6 months of publication | GII-dedicated website ¹⁴² : 317,690 in 2014/15 ¹⁴³ <i>(tbd end 2015)</i> | GII-dedicated: 10% increase <i>(tbd)</i> | GII-dedicated: 429,403 (+35%) | | | ● | |
| | | | - 2016: 214,122 | - 2017: 215,281 | | | |
| | World IP Report 2015: 30,017 <i>(tbd)</i> | 10% increase <i>(tbd)</i> | World IP Report 2017: 8,971 ¹⁴⁵ downloads within 5 months of publication | | | ● | |

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|--|-------------------------|--------------------------------------|---------------------|
| V.1 Wider and better use of WIPO IP statistical information | 2,677 | 2,423 | 2,442 |
| V.2 Wider and better use of WIPO economic analysis in policy formulation | 3,395 | 4,030 | 3,958 |
| Total | 6,072 | 6,453 | 6,399 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 4,997 | 5,163 | 5,126 | 99% |
| Non-personnel Resources | 1,075 | 1,290 | 1,274 | 99% |
| Total | 6,072 | 6,453 | 6,399 | 99% |

[Footnote continued from previous page]

¹³¹ Data based on the old web-based statistical tools and methodologies

¹³² Ibid.

¹³³ Ibid.

¹³⁴ Ibid.

¹³⁵ December 6, 2017 to June 3, 2018.

¹³⁶ June 20, 2017 to December 20, 2017.

¹³⁷ May 16, 2017 to November 16, 2017.

¹³⁸ August 3, 2017 to February 3, 2018.

¹³⁹ The actual figures for 2017 are preliminary.

¹⁴⁰ http://www.wipo.int/econ_stat/en/economics/gii/

¹⁴¹ Corrigendum: In 2014/15, there were 48,190 unique visitors, not 50,368 as published in the PPR 2014/15.

¹⁴² <https://www.globalinnovationindex.org/>

¹⁴³ Corrigendum: In 2014/15, there were 317,690 unique visitors, not 300,283 as published in the PPR [2014/15](#).

¹⁴⁴ World IP Report 2017 http://www.wipo.int/edocs/pubdocs/en/wipo_pub_944_2017.pdf

¹⁴⁵ Only five months of data were available at the time of publication. Data are not comparable to 2015 baseline due to the use of a different tracking tool and methodology.

Final Budget after Transfers:

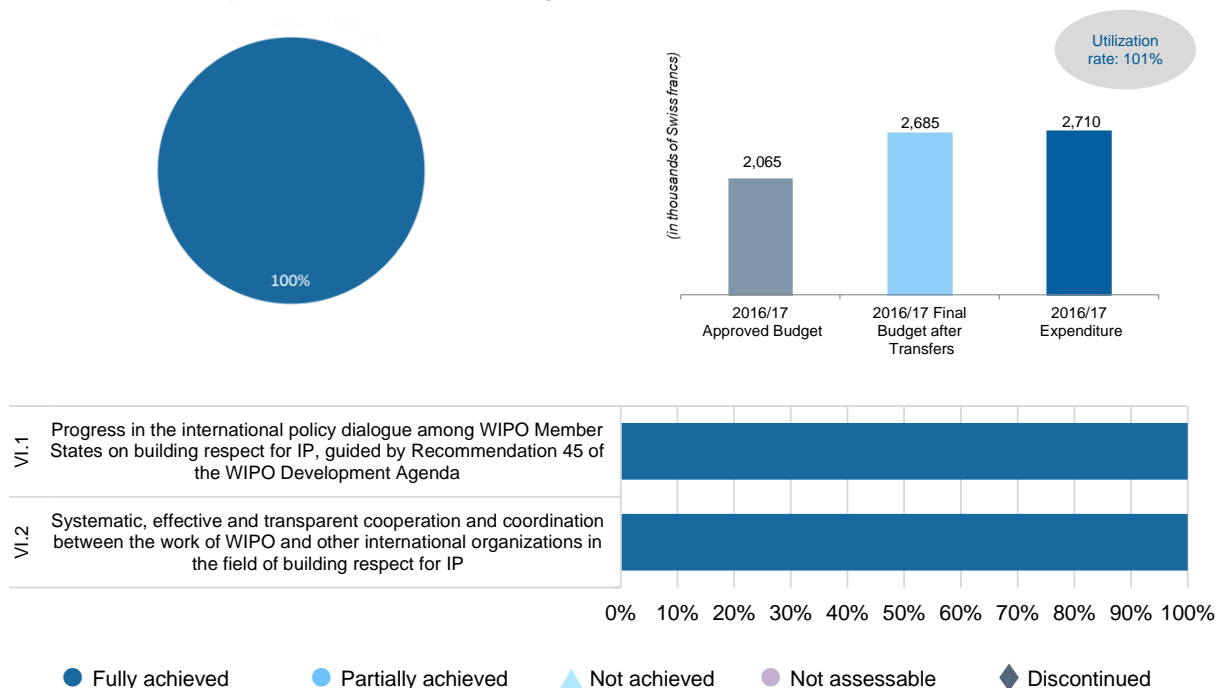
- The increase in personnel resources was primarily due to the reclassification of two positions.
- The increase in non-personnel resources, reflected under ER V.2, was due to the allocation of resources for: (i) the DA project on Intellectual Property and Socio-Economic Development - Phase II; (ii) the development of the Global Innovation Index; (iii) specific research projects in relation to the 2017 World IP Report; and (iv) research related to the creative economy.
- The shift in resources from ER V.1 to ER V.2 was due to the establishment of a new line of research on policy and performance in the creative economy.

Budget Utilization was in line with the Final Budget after Transfers.

Strategic Goal VI INTERNATIONAL COOPERATION ON BUILDING RESPECT FOR IP

Biennial Performance Dashboard

The dashboard below provides a summary of the progress towards the achievement of the Results in the biennium 2016/17 as measured by the indicators under the Programs contributing to this Strategic Goal.

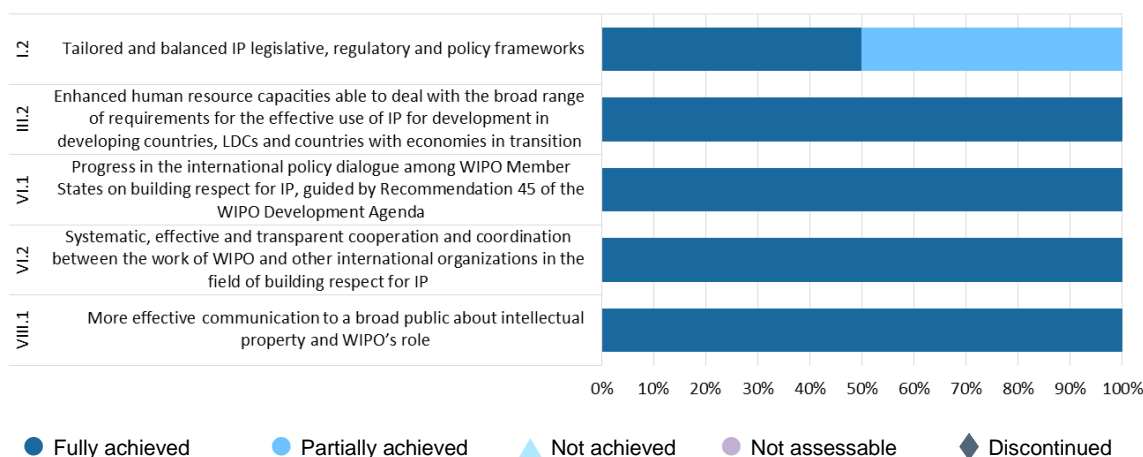
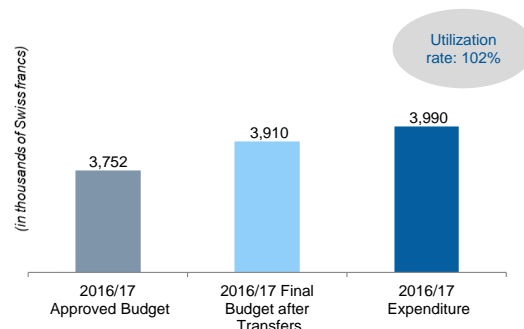
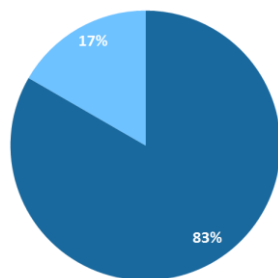


| Expected Results | Performance Indicators | Responsible Program(s) | PIE |
|--|---|------------------------|-----|
| VI.1 Progress in the international policy dialogue among WIPO Member States on building respect for IP, guided by Recommendation 45 of the WIPO Development Agenda | Continued agreement by Member States on the substantive work of the WIPO Advisory Committee on Enforcement (ACE), incorporating development-oriented concerns | Program 17 | ● |
| VI.2 Systematic, effective and transparent cooperation and coordination between the work of WIPO and other international organizations in the field of building respect for IP | No. of strategic collaborations or other joint activities with partner organizations on building respect for IP | Program 17 | ● |

PROGRAM 17 Building Respect for IP

Program Manager Mr. M.A. Getahun

Program Dashboard



Key Accomplishments

- The eleventh and twelfth sessions of the Advisory Committee on Enforcement (ACE) took place from September 5 to 7, 2016, and September 4 to 6, 2017 respectively. The ACE sessions served as a forum for Member States to exchange information on national experiences and practices through expert presentations and panel discussions. The ACE continued to offer Member States a global platform for international policy dialogue on: (i) awareness-building activities and strategic campaigns as a means for building respect for IP among the general public; (ii) institutional arrangements concerning IP enforcement policies and regimes; (iii) WIPO's legislative assistance with a focus on drafting national laws of enforcement that take into account the flexibilities, the level of development, the difference in legal tradition and possible abuse of enforcement procedures; and (iv) WIPO's capacity building and support for training activities in line with the Development Agenda Recommendations and the mandate of the ACE.
- The International Conference on Building Respect for Intellectual Property – Stimulating Innovation and Creativity took place in Shanghai, China, on November 17 and 18, 2016, jointly organized by WIPO and the Shanghai Municipal People's Government (SMPG) with the support of the State Intellectual Property Office of China (SIPO). The event brought together 300 senior representatives from governments and the private sector from around the world, offering an opportunity to share experiences on the role of IP in stimulating innovation and driving development and growth. The Conference affirmed a shared commitment to further the work of building respect for IP by sharing information on public awareness-raising strategies and emerging issues in IP adjudication and jurisprudence.

- WIPO developed two online awareness-raising resources: [RespectforCopyright.org](http://respectforcopyright.org)¹⁴⁶ (in English and Spanish) and [RespectforTrademarks.org](http://respectfortrademarks.org)¹⁴⁷ (in English). Both websites were designed in an engaging style for school-age students, with guidance notes for teachers, and aim to increase understanding of copyright and trademarks among young people.

DA Highlights

Guiding Principles:

- Program 17's activities aimed to achieve international policy cohesion and enhance strategic international cooperation on building respect for IP, integrating development-oriented concerns and international initiatives addressing counterfeiting and piracy. In this context, during the biennium, 38 capacity-building activities were organized, aimed at empowering national authorities to build respect for IP through a combination of balanced enforcement activities and preventive measures to reduce demand for infringing goods¹⁴⁸ (Rec. 45).
- Demand for legislative assistance on the compatibility of draft or current national enforcement-related provisions with Part III of the TRIPS Agreement, while taking into account the balances and flexibilities incorporated therein, continued throughout the biennium, with a record number of 17 Member States requesting and receiving legislative assistance relating to the enforcement of IP rights (Rec. 14, 17 and 22).
- WIPO continued to maintain close relationships with other IGOs and the private sector to emphasize WIPO's vision of a development-related approach to building respect for IP¹⁴⁹ (Rec. 40). In this context, WIPO hosted two annual Coordination Meetings with IGOs Working in the Area of Building Respect for IP, (April 2016 and March 2017) and served to foster collaboration, strategic partnerships and joint activities with other IGOs, with a view to promote international policy cohesion and effective use of resources.

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|---|--|--|--|
| Lack of agreement among Member States on the work of WIPO in the field of building respect for IP. WIPO's role in building respect for IP may be compromised. | While the exposure to this risk persisted throughout the biennium, it was curtailed through the strict and full implementation of the mitigation plan. | Effective mitigation was undertaken through regular consultations with Member States, aimed at facilitating the convergence of Member State views on the relevance, the work and the policy function of the ACE and related capacity building activities. Rigorous standards were applied in all activities, ensuring high quality, transparency, neutrality, and a balanced approach. | Strict adherence to the mitigation plan ensured support from Member States, thereby enabling the Program to largely achieve its targets. Member States expressed support for WIPO's work in building respect for IP, as evidenced through the progress made in the ACE and the continued requests for capacity building and legislative assistance from Member States. |
| Countries/stakeholders turning away from WIPO to look towards other international or regional organizations developing activities in the area of building respect for IP. | The risk exposure persisted throughout the biennium; however, it was contained through the strict and full implementation of the mitigation plan. | As a mitigation measure, stakeholders were encouraged to continue to turn to WIPO for activities in the area of building respect for IP. Action plans included collaborating on national IP policies with Programs 9 and 10 as well as through key partnerships with IGOs and NGOs. A focus on policy-oriented activities where WIPO could offer a distinctive role and leverage partnerships, identifying and building synergies with clear, delineated roles between the partners was also followed. | The strict adherence to the mitigation plan led to successful cooperation, fostering exchanges with partners and underscoring WIPO's relevance as the key global forum for building respect for IP. |

Looking Forward

- WIPO worked collaboratively with the Business and Intellectual Property Authority (BIPA) of Namibia in the formulation of a draft Building Respect for IP (BRIP) strategy over the course of the biennium. The strategy was submitted to the national IPO in February 2017 for review. Strong national support for the strategy was indicated at the 2017 WIPO Assemblies, where a set of implementation measures were agreed, including the preparation of a

¹⁴⁶ <http://respectforcopyright.org/>

¹⁴⁷ <http://respectfortrademarks.org>

¹⁴⁸ For further information, please see document WIPO/ACE/12/10 available at:



http://www.wipo.int/meetings/en/doc_details.jsp?doc_id=340916

¹⁴⁹ Information on all WIPO-led activities in relation to building respect for IP is published on the WIPO website:

<http://www.wipo.int/enforcement/en/activities/current.html>

booklet on IP crime for police recruits, which was largely completed by the end of 2017, as well as the undertaking of a series of awareness raising activities in 2018. The Program will continue its work with BIPA in 2018/19, with a view to ensuring the finalization and implementation of the BRIP strategy.

Performance Data

| | Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|--|--|---|---|-----|
| I.2 | Tailored and balanced IP legislative, regulatory and policy frameworks | | | | |
|  | No. of countries/regional organizations having adopted or amended relevant frameworks towards effective IP enforcement in the light of Part III of the TRIPS Agreement and DA Recommendation 45, or being in the process of doing so, further to WIPO assistance | 21 (13) cumulative | 1 country/ regional organization having adopted and/or amended relevant frameworks towards effective IP enforcement | 2 countries (Africa) adopted and/or amended relevant frameworks towards effective IP enforcement. 38 countries/organizations were in the process of amending and/or adopting relevant frameworks towards effective IP Enforcement: Africa (15), Arab region (4), Asia and the Pacific (12), Latin America and the Caribbean (5), transition countries (2) (cumulative) | ● |
| | No. of countries that have adopted and/or implemented a national strategy on Building Respect for IP, or are in the process of doing so, with WIPO assistance | 2 countries in the process of adopting such a strategy | 2 countries have adopted such strategy in the biennium | - 1 country (Latvia) adopted - 1 country (Namibia) agreed on a strategy and began implementation | ● |
| III.2 | 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 | | | | |
|  | % of trained participants reporting satisfaction with the usefulness and relevance of the training provided for the exercising of their professional duties | Average satisfaction rate: - Usefulness: 93% (90%) - Relevance: 92% (90%) | Usefulness: >85% Relevance: >85% | Average satisfaction rate: - Usefulness: 93% - Relevance: 93% | ● |
| VI.1 | Progress in the international policy dialogue among WIPO Member States on building respect for IP, guided by Recommendation 45 of the WIPO Development Agenda | | | | |
| | Continued agreement by Member States on the substantive work of the WIPO Advisory Committee on Enforcement (ACE), incorporating development-oriented concerns | Agreement on the work program was reached during the ninth and tenth sessions of the ACE WIPO/ACE/9/29 para 44 and WIPO/ACE/10/26 para 40 (Agreement on the work program for the tenth session of the ACE) | Agreement on the work program for the next ACE session | Agreement on the work program was achieved during the eleventh and twelfth sessions of the ACE (WIPO/ACE/12/15 para. 47 and WIPO/ACE/11/11 para. 39). | ● |
| VI.2 | Systematic, effective and transparent cooperation and coordination between the work of WIPO and other international organizations in the field of building respect for IP | | | | |
| | No. of strategic collaborations or other joint activities with partner organizations on building respect for IP | 7 (6) strategic collaborations ¹⁵⁰ cumulative 55 (24) joint activities | 7 strategic collaborations (6) 50 joint activities in the biennium (25) | 7 on-going strategic collaborations cumulative 47 activities jointly held with partner organizations and stakeholders and/or in which Program 17 participated | ● |
| VIII.1 | More effective communication to a broad public about intellectual property and WIPO's role | | | | |
| | No. of Member States participating in the WIPO Awards Program | 54 (38) | 54 (45) | In 2016/17, a total of 57 different countries participated in the WIPO Awards Program | ● |

¹⁵⁰ Strategic collaborations capture partnerships of systematic and long-term nature, including those established through cooperation agreements, and address elements of building respect for IP.

Resource Utilization

Budget and Expenditure (by result) (in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------------|--|------------------------|
| I.2 Tailored and balanced IP legislative, regulatory and policy frameworks | 639 | 636 | 665 |
| III.2 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 | 1,105 | 1,162 | 1,174 |
| VI.1 Progress in the international policy dialogue among WIPO Member States on building respect for IP, guided by Recommendation 45 of the WIPO Development Agenda | 569 | 820 | 834 |
| VI.2 Systematic, effective and transparent cooperation and coordination between the work of WIPO and other international organizations in the field of building respect for IP | 1,111 | 1,292 | 1,315 |
| VIII.1 More effective communication to a broad public about intellectual property and WIPO's role | 327 | - | 2 |
| Total | 3,752 | 3,910 | 3,990 |

Budget and Expenditure (personnel and non-personnel) (in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------------|--|------------------------|-------------------------|
| Personnel Resources | 3,073 | 3,127 | 3,272 | 105% |
| Non-personnel Resources | 679 | 783 | 718 | 92% |
| Total | 3,752 | 3,910 | 3,990 | 102% |

Final Budget after Transfers

- The increase in personnel resources was due to the transfer of a position to support the increased work on capacity building and technical assistance, as reflected under ER III.2, and the organization of the International Conference on Building Respect for Intellectual Property – Stimulating Innovation and Creativity, reflected under ER VI.2.
- The increase in non-personnel resources was due to the transfer of resources, as reflected under ER-VI.1, to fund: (i) the 12th session of the ACE; and (ii) the preparation of two studies and the future work agreed upon by the Member States during the 11th session of the ACE.

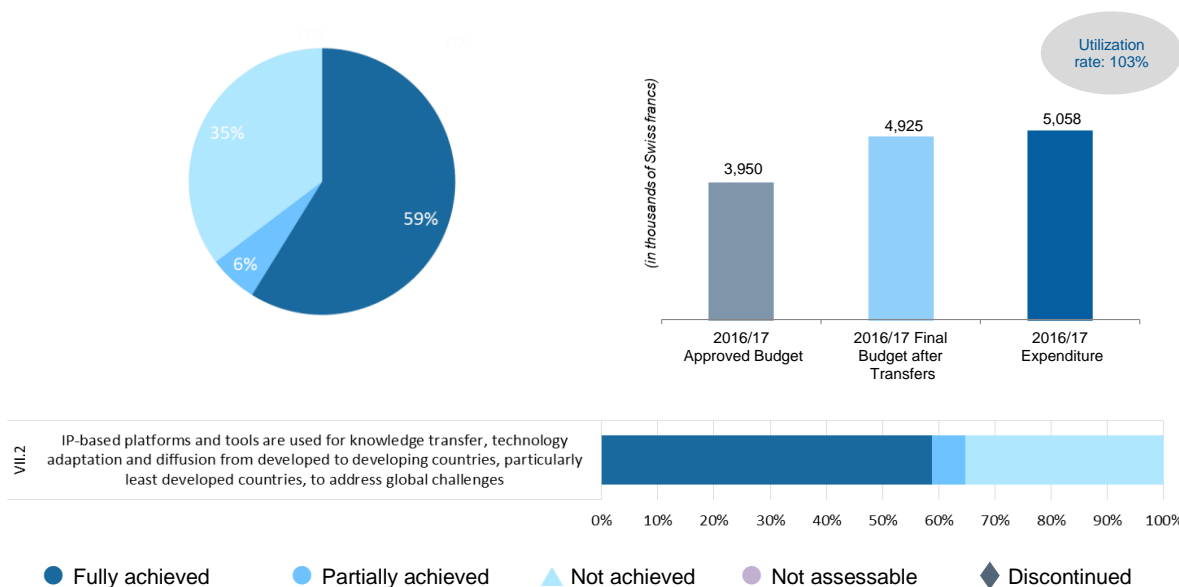
Budget Utilization

- Budget Utilization was in line with the Final Budget after Transfers.
- The expenditure under ER VIII.1 was related to the WIPO Awards Program, which was transferred to Program 21 in 2016.

Strategic Goal VII ADDRESSING IP IN RELATION TO GLOBAL POLICY ISSUES

Biennial Performance Dashboard

The dashboard below provides a summary of the progress towards the achievement of the Results in the biennium 2016/17 as measured by the indicators under the Programs contributing to this Strategic Goal.

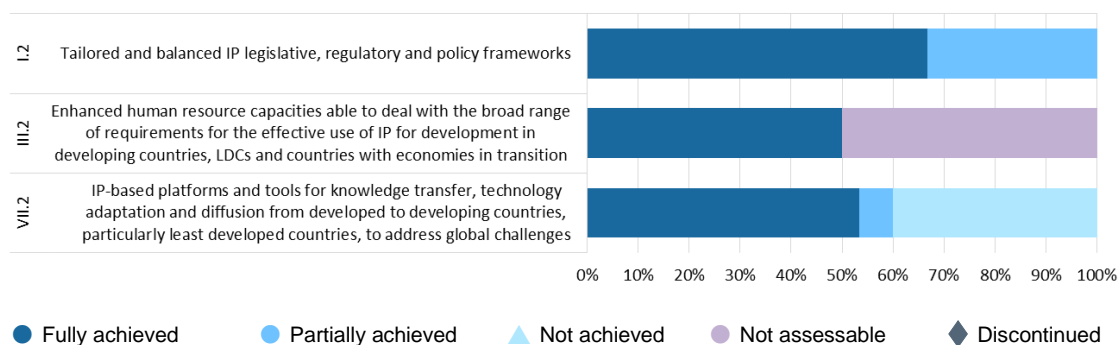
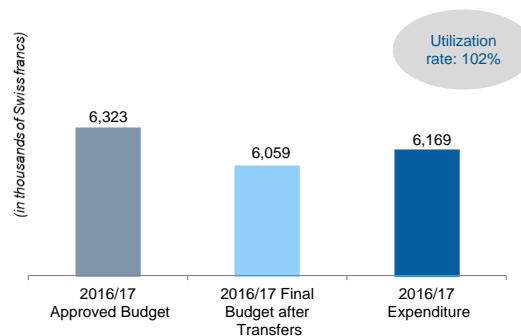
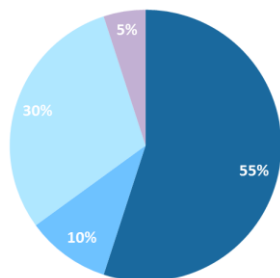


| Expected Results | Performance Indicators | Responsible Program(s) | PIE |
|---|--|------------------------|--------|
| VII.2 IP-based platforms and tools for knowledge transfer, technology adaptation and diffusion from developed to developing countries, particularly least developed countries, to address global challenges | Increased membership in WIPO Re:Search, including from developing countries and LDCs | Program 18 | ● |
| | Increased no. of agreements under WIPO Re:Search which lead to new or accelerated R&D in NTDs, Malaria and TB | Program 18 | ● ▲ |
| | No. of agreements catalyzed by WIPO GREEN facilitating knowledge transfer, technology adaptation, transfer and/or diffusion | Program 18 | ▲ |
| | No. of records in the WIPO GREEN database | Program 18 | ● |
| | No. of records in the WIPO Re:Search database | Program 18 | ▲ |
| | No. of visits to the Global Challenges website | Program 18 | ● ● ● |
| | | | ▲ ▲ ● |
| | No. of WIPO GREEN Members | Program 18 | ● ● |
| | Progress towards an international collaborative framework for effective contribution of IP to food security through consultative process | Program 18 | ▲ |
| | Participation of stakeholders in WIPO's platform such as WIPO GREEN and WIPO Re:Search | Program 20 | ● ● |

PROGRAM 18 IP and Global Challenges

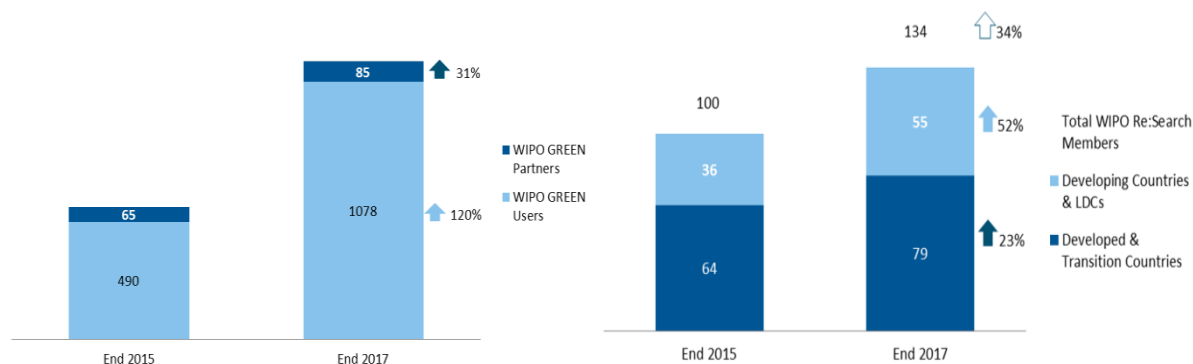
Program Manager Mr. M. A. Getahun

Program Dashboard



Key Accomplishments

- A major accomplishment in 2016/17 was the culmination of the first two deals catalyzed under WIPO GREEN-The Sustainable Technology Marketplace.
 - Kwale Water and Sewerage Company (KWAWASCO) (technology seeker from Kenya) and Swiss Quest Water Supplies Limited (technology provider): Following an initial Letter of Intent in 2016, a pilot project to implement the AquaCAPTURE Smart Meters System for KWAWASCO's 20,000 customers was initiated. Based on the success of the project, KWAWASCO requested funds from the Water Sector Trust Fund for the full transfer and adoption of the technology.
 - Cubo Environmental Technologies (technology seeker) and Susteq (technology provider): In 2017, a joint venture between the two companies was agreed, whereby Cubo deployed its safe water drinking water system to supply safe drinking water to 1,000 people in Murang's village in Kenya.
- Both WIPO GREEN and WIPO Re:Search saw strong growth in 2016/17 with regard to membership, as illustrated in the chart below.



- In 2017, WIPO GREEN organized the first-ever *INNOVATE 4 WATER: A matchmaking forum for sustainable development* that brought together various water and sanitation stakeholders with a view to: (i) creating visibility for entrepreneurs in the water sector to enable them to reach impact investors; (ii) promoting the transfer of innovative water technologies and innovative business models in emerging markets and developing countries; and (iii) facilitating connections to catalyze collaborations.
- WIPO Re: Search completed and launched its 2017-2021 Strategic Plan, outlining its vision and charting courses of action under four strategic goals: (i) use IP assets to advance R&D for NTDs, malaria, and TB through collaborations; (ii) accelerate the advancement of promising compounds or leads; (iii) enhance global capacity for IP management and biomedical R&D; and (iv) communicate the beneficial role of IP in innovation for NTDs, malaria, and TB. Twelve of the 14 collaboration agreements facilitated by the WIPO Re:Search consortium in 2016/17 satisfied at least one of five criteria set to advance the new Plan's strategic goals.

DA Highlights

Guiding Principles:

- As part of its efforts to support improved technology information, transfer and dissemination, in particular toward developing countries, an SME exhibition organized at the UNFCCC COP22 in Morocco in 2016 featured 42 innovators from developing countries (Recs. 25 and 30).
- WIPO Re:Search saw a 52 per cent increase in Members from developing countries and LDCs as compared to 2015. In addition, 35 per cent of WIPO GREEN Members were from developing countries (Recs. 25 and 30).
- WIPO continued to engage with its partner organizations in training activities, such as the regular WIPO-WTO Advanced course, the WIPO-WTO Colloquium for IP teachers, the WTO Workshop on Trade and Public Health, and the WHO Technical Workshop on Access to Medicines and IP for participants from Moldova and Ukraine in October 2017. WIPO GREEN conducted a series of joint activities with the UNEP, UNFCCC (CTCN) and the Asian Development Bank. Under the trilateral cooperation with WHO and WTO, WIPO co-organized and hosted the sixth Joint Technical Symposium on Anti-microbial Resistance in October, 2016 (Rec. 40).
- Program 18's multi-stakeholder format included relevant civil society organizations in its activities. Notably in 2017, WIPO GREEN added key NGO partners, including Kopernik and Engineers without Borders (Rec. 42).











Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|---|--|--|---|
| Lack of commitment of Members or Partners for WIPO Re:Search and WIPO GREEN could result in insufficient records and thus reduced credibility of the platforms. | While this risk should continue to be monitored over the longer term, the credibility of the platforms should no longer be based solely on the volume of records, given their established nature, but rather viewed from a more multi-dimensional perspective. | Mitigation actions that focused on enhancing resources and activities of the partnerships and on ensuring that services offered were aligned with customer needs, successfully contributed to diversifying the perception of both platforms as credible partnerships in their respective areas of expertise. | Increases were seen in membership for both platforms over the course of the biennium, with a particularly sharp increase (120%) in the numbers of WIPO GREEN users, reflecting strengthened interest in the work of the platforms. The contribution of new Members and Partners to the successful operation of the platforms beyond the provision of records should also be recognized. |




Looking Forward

- Due to the ongoing implementation in 2017 of the final development phase of the new WIPO Re:Search Resource Platform, slated for launch in September 2018, WIPO Re:Search reprioritized its work, which resulted in slower growth in the number of records in the WIPO Re:Search database. With improved website utility, the new platform is expected to lead to an increase in the number of visits. Moreover, the new platform will also enable members to upload information directly. Upon completion, WIPO Re:Search will implement targeted outreach to Members in order to increase the number of records and spur more visits to its homepage with a view to achieving the 2018/19 targets.
- The lower than anticipated growth in the number of records in the WIPO GREEN database resulted from complications with a new data processing interface during the course of 2017, which adversely affected third-party uploads and visits to the website. Completion of the new interface is targeted for 2018. WIPO GREEN will subsequently focus its efforts on improving the user-friendliness of the WIPO GREEN platform and implement targeted outreach to members in order to increase the number of records and spur more visits to its homepage with a view to achieving the 2018/19 targets.
- Since WIPO GREEN's launch in 2013, significant progress had been made with regard to fostering connections between those seeking green technology solutions from technology and service providers through its database and a series of targeted promotional campaigns and matchmaking events, with over 380 connections in 2016/17 alone. Catalyzing these connections into technology transfer agreements, however, took longer than anticipated, with the first two such agreements only finalized in 2016/17. WIPO GREEN will continue its targeted approach in 2018/19 to ensure that more agreements are catalyzed and the biennial targets met.
- Progress towards the development of a draft international collaborative framework for effective contribution of IP to food security was slower than anticipated in 2016/17. WIPO commissioned a report, completed in 2017, on IP and food security, which will help determine the feasibility of work in this area in 2018/19.

Performance Data

| | Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|---|--|---|--|
| I.2 | Tailored and balanced IP legislative, regulatory and policy frameworks | | | | |
|  | No. of countries requesting WIPO's specific contribution on IP in relation to competition policy-related issues | 16 countries in 2014/15 (12) | 12 countries in 2016/17 | 7 countries: Brazil, Canada, Italy, Mexico, Peru, the Philippines, South Africa |  |
|  | No. and diversity of stakeholders (IP offices, competition authorities, relevant IGOs and NGOs) engaged in dialogue with WIPO | 77 (64) national IP/Competition authorities and; 5 (same) IGOs / NGOs cumulative | 26 additional national IP/ Competition authorities and 5 IGO's / NGO's | 33 Additional authorities (110 cumulative) 5 IGOs/NGOs (CUTS, ICN, OECD, UNCTAD, WTO) |   |
| III.2 | 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 | | | | |
|  | No. of hosting arrangements for developing country scientists | 6 (5) hosting agreements cumulative | 2 additional hosting arrangements | 3 additional hosting arrangements |  |
| | % of participants of the IP and Health DL module who affirm use of IP for development through transfer of knowledge and creation of skills | n/a | At least 70% of respondents | Data not available |  |
| VII.2 | IP-based platforms and tools for knowledge transfer, technology adaptation and diffusion from developed to developing countries, particularly least developed countries, to address global challenges | | | | |
|  | Increased membership in WIPO Re:Search, including from developing countries and LDCs | 100 (96) total Members of which 36 ¹⁵¹ (27) from developing countries/LDCs | 8 new Members; 7 from developing countries | 34 new Members, 19 from developing countries (134 cumulative, 55 from developing countries) |  |

¹⁵¹ Corrigendum: The actual number of WIPO Re:Search Members from developing countries/LDCs at the end of 2015 was 36 and not 22, as reported in the PPR 2014/15.

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|--|---|----------------------------|
| No. of records in the WIPO Re:Search database | 193 (186) database records | 300 database records in total | 192 database records in total | ▲ |
|  Increased no. of agreements under WIPO Re:Search which lead to new or accelerated R&D in NTDs, Malaria and TB | 96 (90) total agreements | 30 new agreements of which 20 are follow-on agreements | 26 new agreements, of which 7 are follow-on agreements (115 agreements cumulative) | ● ▲ |
|  No. of WIPO GREEN Members | 65 (57) total Partners 490 (430) total users | 14 additional Partners; 200 additional users | 20 additional Partners (85 cumulative) 588 additional users (1,048 cumulative) | ● ● |
| No. of records in the WIPO GREEN database | 2,181 (2,050) total | 1,200 additional records | 781 additional records (2,962 records cumulative) | ● |
|  No. of agreements catalyzed by WIPO GREEN facilitating knowledge transfer, technology adaptation, transfer and/or diffusion | - Data sharing agreements: 7 cumulative (same) - Signed Letters of Intent: 16 cumulative | 10 agreements cumulative | - Agreements catalyzed: 2 new (2 cumulative) - Data sharing agreements: 2 additional (9 cumulative) - Formalized Connections: o Signed Letters of Intent- 9 additional (25 cumulative) o Memoranda of Understanding- 1 new (1 cumulative) | ▲ |
| Progress towards an international collaborative framework for effective contribution of IP to food security through consultative process | n/a - no draft framework | A comprehensive draft framework developed | A draft options report and a draft global challenges report were prepared for internal consultation. | ▲ |
| No. of visits to the Global Challenges website | No. of page views in 2014/15: - GCD: 2,693 (1,353) - Global Health and IP: 9,233 ¹⁵² (4,778) - Climate Change and IP: 4,952 (2,462) - WIPO Re: Search: 62,118 (38,852) - WIPO GREEN: 207,716 (77,752) - PDF Downloads: 45,253 | 10% increase | No. of page views in 2016/17: - GCD: 3,757 (+40%) - Global Health and IP: 14,268 (+55%) - Climate Change and IP: 8,642 (+74%) - WIPO Re: Search: 37,095 (- 40%) - WIPO GREEN: 213,473 (+3%) - PDF Downloads: 69,059 (+53%) | ● ● ● ▲ ▲ ● |

¹⁵² Corrigendum: Page views of the Global Health and IP webpage were 9,233 and not 31,800 as reported in the PPR 2014/15.

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------|--------------------------------------|---------------------|
| I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | 387 | 394 | 385 |
| I.2 Tailored and balanced IP legislative, regulatory and policy frameworks | 1,500 | 202 | 152 |
| III.2 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 | 145 | 369 | 396 |
| VI.1 Progress in the international policy dialogue among WIPO Member States on building respect for IP, guided by Recommendation 45 of the WIPO Development Agenda | 187 | 371 | 363 |
| VI.2 Systematic, effective and transparent cooperation and coordination between the work of WIPO and other international organizations in the field of building respect for IP | 197 | 202 | 198 |
| VII.2 IP-based platforms and tools for knowledge transfer, technology adaptation and diffusion from developed to developing countries, particularly least developed countries, to address global challenges | 3,497 | 4,127 | 4,288 |
| VIII.5 WIPO effectively interacts and partners with UN and other IGO processes and negotiations | 410 | 394 | 386 |
| Total | 6,323 | 6,059 | 6,169 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 5,545 | 4,970 | 5,187 | 104% |
| Non-personnel Resources | 778 | 1,090 | 982 | 90% |
| Total | 6,323 | 6,059 | 6,169 | 102% |

Final Budget after Transfers

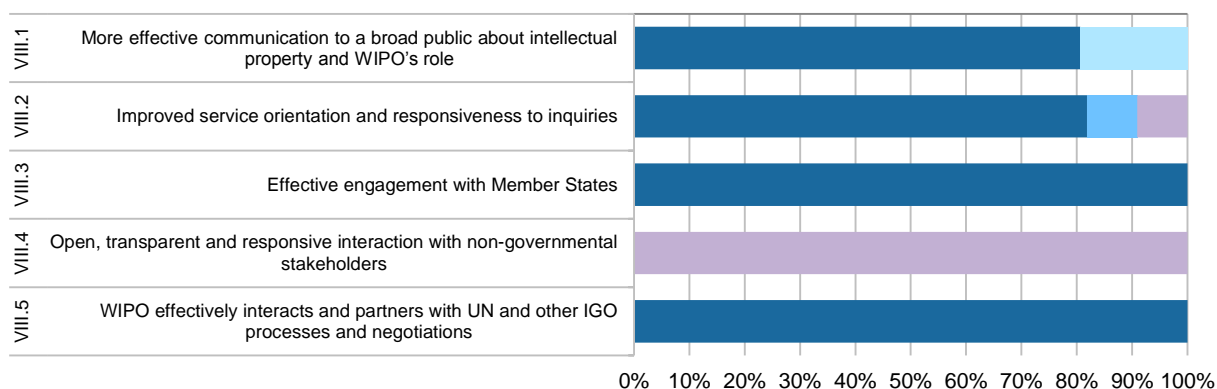
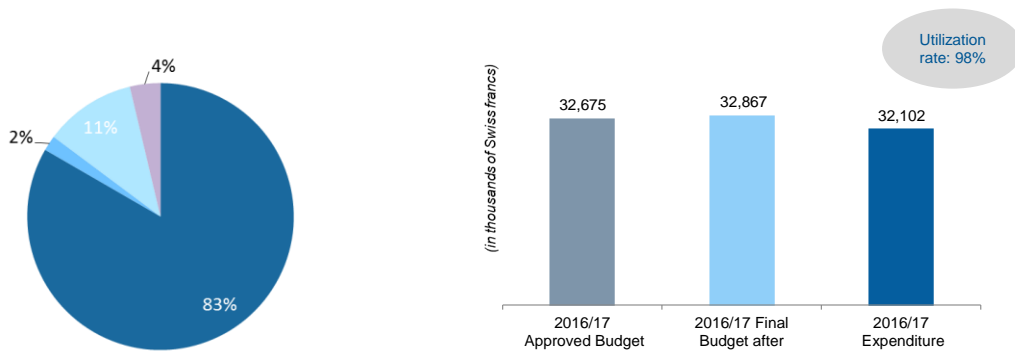
- The decrease in personnel resources under ER I.2 was due to: (i) the transfer of one position to the Department of Traditional Knowledge and Global Challenges (Program 4) to enhance the overall coordination and management of the two areas; and (ii) the transfer of a position to support priorities in Program 3.
- The increase in non-personnel resources was primarily due to the transfer of funds to support: (i) the enhancement of the WIPO Re:Search and WIPO GREEN platforms under ER VII.2; and (ii) the finalization of the second edition of the publication *Introduction to IP, Theory and Practice*, reflected under ER VIII.5.
- The increase of resources under ERs III.2 and VI.1 was primarily due to the redistribution of personnel resources in the Office of the Assistant Director General of the Global Issues Sector in line with the annual workplans.

Budget Utilization was in line with the Final Budget after Transfers.

Strategic Goal VIII A RESPONSIVE COMMUNICATIONS INTERFACE BETWEEN WIPO, ITS MEMBERS AND ALL STAKEHOLDERS

Biennial Performance Dashboard

The dashboard below provides a summary of the progress towards the achievement of the Results in the biennium 2016/17 as measured by the indicators under the Programs contributing to this Strategic Goal.



● Fully achieved ● Partially achieved ▲ Not achieved ● Not assessable ◆ Discontinued

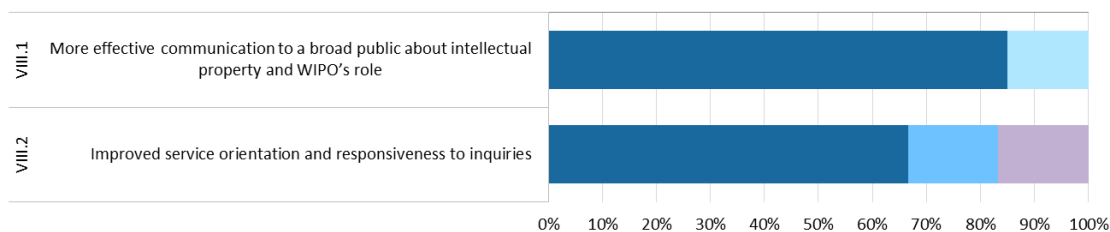
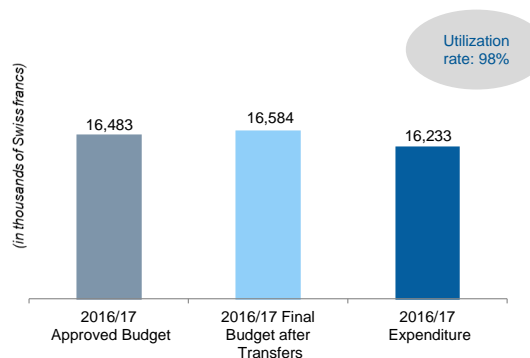
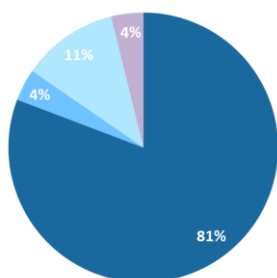
| Expected Results | Performance Indicators | Responsible Program(s) | PIE |
|---|---|------------------------|----------------|
| VIII.1 More effective communication to a broad public about intellectual property and WIPO's role | No. of Member States participating in the WIPO Awards Program | Program 17 | ● |
| | Fewer users who leave the WIPO website directly from the portal and key gateway pages | Program 19 | ●●●●● |
| | Global participation in World IP Day campaign | Program 19 | ▲▲ |
| | No. of people who view content about major WIPO events, achievements, activities | Program 19 | ● |
| | Online traffic to the WIPO Publications site and WIPO Magazine site | Program 19 | ●● |
| | Stakeholders with a positive perception of WIPO's reputation; and increased brand recognition of WIPO | Program 19 | ●● |
| | Views of WIPO press, video and photographic content | Program 19 | ●●●● |
| | WIPO influence and stakeholder engagement on social media | Program 19 | ●●●●▲ |
| | Increased traffic to the website of WIPO External Offices | Program 20 | ●●●●● ●●▲▲▲ |

| | | | |
|---|---|------------|--|
| VIII.2 Improved service orientation and responsiveness to inquiries | Customer/stakeholder satisfaction rate | Program 19 | |
| | Service Standards for the WIPO Customer Service Center | Program 19 | |
| | User satisfaction with Library services | Program 19 | |
| | Processing time of inquiries | Program 20 | |
| VIII.3 Effective engagement with Member States | % of adherence and other WIPO Treaty-related actions by Member States processed in a timely manner | Program 21 | |
| | % of Committee meetings for which pre-Committee information meetings for Member States are held | Program 21 | |
| | Delegates' satisfaction levels with the organization of the Assemblies | Program 21 | |
| | Satisfaction rate of Member States and stakeholders with the organization of events | Program 21 | |
| | Timeliness of publication of Assemblies documents | Program 21 | |
| VIII.4 Open, transparent and responsive interaction with non-governmental stakeholders | No. of permanent observer NGOs engaging in WIPO's work and vice versa | Program 21 | |
| VIII.5 WIPO effectively interacts and partners with UN and other IGO processes and negotiations | No. of joint activities with ASEAN Secretariat, ECAP/OHIM, Asia/Europe Foundation, AANZFTA | Program 20 | |
| | No. of WIPO-led initiatives in partnership with UN and other IGOs to implement the SDGs | Program 20 | |
| | WIPO's contributions reflected in UN and IGO reports, resolutions and documents from relevant, targeted processes | Program 20 | |
| | New joint initiatives with other UN agencies/IGOs | Program 21 | |
| | % of locally sourced goods and services compared to total amount procured for development activity | Program 24 | |
| | % of spend subject to UN leverage (either common tender or piggy-backing) | Program 24 | |

PROGRAM 19 Communications

Program Manager Ms. S. Forbin

Program Dashboard

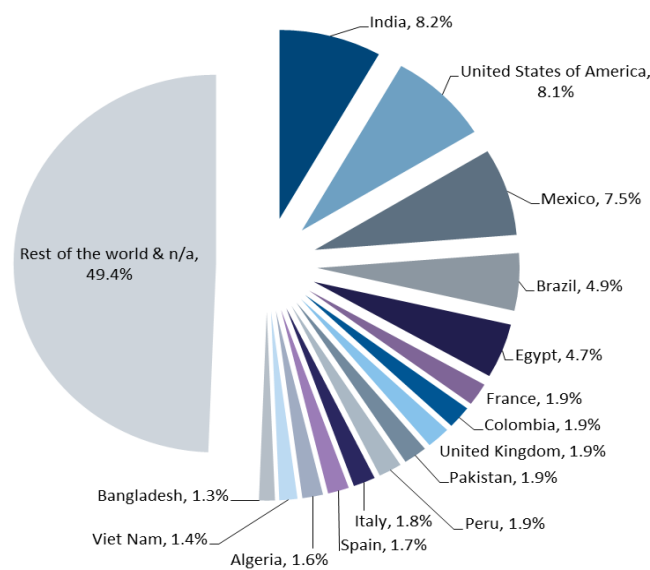


● Fully achieved ● Partially achieved ▲ Not achieved ● Not assessable ◆ Discontinued

Highlights

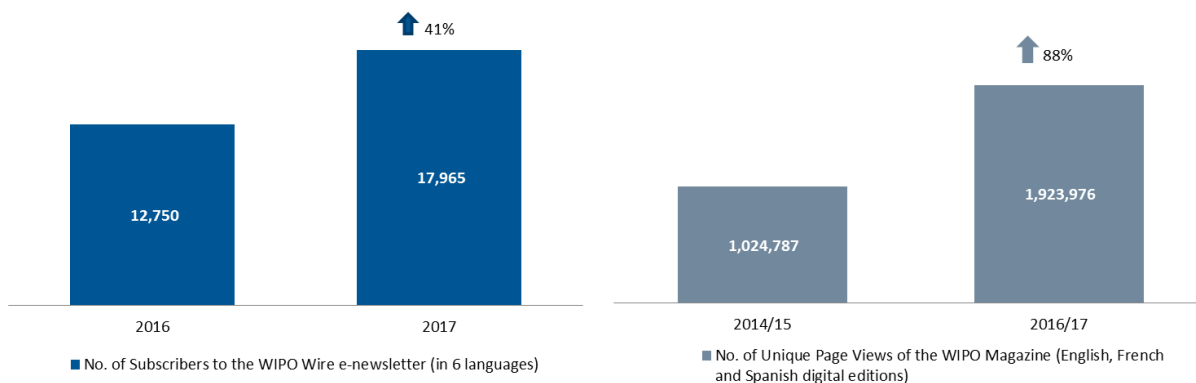
- Strong brand identity.** The biennial Stakeholders Perception Survey canvassed a cross-section of 7,680 stakeholders: 74 per cent of respondents recognized WIPO as the global forum for IP, and 84 per cent considered WIPO to have a good reputation. The three-minute “What is WIPO?” video, released in October 2016, drew resoundingly positive feedback, and proved an engaging tool to support brand communication at conferences, meetings, roving seminars and other WIPO-sponsored events.
- Reach and visibility.** Promotion of key WIPO publications and events resulted in greater reach and visibility of the Organization. The Global Innovation Index saw 11,400 media mentions in 2016 and 14,100 in 2017. Twitter campaigns delivered 8,500 impressions/tweets in 2016 and 10,000 impressions/tweet in 2017. The GII’s multi-channel campaign solidly positioned this report as among the WIPO’s and the UN system’s leading annual studies.
- Stakeholder engagement.** Multi-platform, multi-format content delivered significant increases in engagement for key WIPO events such as the Global Digital Content Market Conference (67,200 views of the most popular #GDCM tweet) and the Marrakesh Treaty entry-into-force (more than 103,100 views of the top tweet). The World IP Day campaign delivered the best results in its 17 year history with more than 500 events reported in 124 countries in 2017 and an organic reach of 363,800 Facebook

WIPO's Global Facebook Fan Base



fans. On Twitter, the rate of positive interactions with WIPO content (more than 40,400 retweets over the biennium) in relation to number of followers (more than 49,000) demonstrated strong community engagement. Views on the photos sharing platform Flickr reached an all-time high of 2.86 million in the 2016/17 biennium.

- In addition, a new mobile app ‘WIPO Delegate’ was released in November 2017, reaching over 400 delegates and stakeholders with real-time information updates regarding WIPO meetings and news. WIPO’s “owned” media channels were also critical in extending its reach to key stakeholders and saw marked increases in usage, as illustrated in the chart below.



- *Wider access to, and geographical availability of, publications.* The Open Access Policy was launched to facilitate free re-use and translations of WIPO’s publications, with all new publications and promotional materials in the biennium issued under the most open Creative Commons (CC BY) license. Twelve more Member States were supplied with WIPO Depository Libraries, for a total of 117. Following WIPO’s commitment to the Accessible Publishing Charter, the first 17 publications were published in accessible formats for visually impaired readers.
- *Service orientation.* The new Customer Service Board, chaired by the Director General, began standardizing customer inquiry-handling across the Global IP Systems and other services, including the External Offices. Enhancements to customer services systems support resulted in improved customer service response times.

DA Guidance

Mainstreaming of the Development Agenda: Program 19 continued to build and update the IP Advantage Database and provided editorial, design, video, web and other communications support to numerous DA-related products and outputs across the Organization. All publications and promotional materials were issued under the most open Creative Commons License (CC BY).

Guiding Principles: Program 19 contributed to the DA by providing technical assistance for promoting a development-oriented IP culture and focused on: (i) generating a greater public awareness on IP; (ii) introducing IP at different academic levels; and (iii) addressing the increasing demand from developing countries and LDCs for public information content (Rec. 3).

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|---|--|--|--|
| WIPO must adhere to the highest standards of transparency and accountability and is subject to continuous scrutiny from its customers, stakeholders, staff, as well as the general public. Reputational impact may result from the occurrence of any risk event and can cause significant harm to the credibility of the Organization's work. | This was an ongoing risk, which was addressed through a series of mitigation actions to ensure transparency and accountability. Customer services were continuously strengthened, with frequent surveys to measure external perceptions of WIPO and its services. The results of the surveys helped shape and refine mitigation actions and served as a benchmark to measure WIPO's reputation amongst its key stakeholders. | Effective mitigation actions included the proactive provision of information to all stakeholders, public disclosure and reinforced media relations in all regions, in particular where growth in WIPO's global IP services saw a surge. Continuous monitoring of press and social media coverage enabled timely reaction to questions, comments and criticism by key stakeholders. | Vigilance of this risk reinforced WIPO's communications capacity and contributed to maintaining the positive perception of WIPO. |
| WIPO's web and social media presences fail to keep pace with evolving trends in digital communications or with stakeholder preferences. | Given the frequent changes in these platforms and the fact that WIPO cannot control or influence these changes, this risk continued to be constant throughout the biennium. | Mitigation actions designed to allow WIPO to keep pace with external technological changes were effective. Staff were supported in building their digital content skills on the latest technology and web trends through ongoing online and off-site courses and on-the-job training. Furthermore, WIPO partially transferred the risk by making use of external resources and partnerships to extend in-house capacity. | The work done on WIPO social media presence contributed to the Program's ability to substantially meet its web and social media related targets. |

Looking Forward

- In regard to the exit rates from the *About IP* and *Inside WIPO* webpages, it should be noted that these two pages differ from the other "gateway" webpages in that they provide basic information (e.g. *What is copyright?* or *What is WIPO?*) that may immediately satisfy many users' needs. In this context, the higher exit rates for these two pages do not necessarily indicate a negative experience for the users.
- The percentage increase in the number of retweets in a given year is largely dependent on when more high profile events take place. The entry into force of the Marrakesh Treaty and the Global Digital Content Market Conference, both of which occurred in 2016, spurred a high number of retweets, which resulted in the comparative percentage increase on the number of yearly retweets in 2017 only partially meeting the target. The biennium on a whole saw a 51 per cent increase in retweets as compared to 2014/15.

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|---|--|--|------------|
| VIII.1 More effective communication to a broad public about intellectual property and WIPO's role | | | | |
| Stakeholders with a positive perception of WIPO's reputation; and increased brand recognition of WIPO | 85.3% of survey respondents agree/strongly agree that WIPO has a good overall reputation. 70.2% of respondents perceived WIPO as the global forum for IP (WIPO Stakeholders Perception Survey, June 2014) | 85% have a positive perception of WIPO's reputation 75% recognize WIPO as the global forum for IP | 84% have a positive perception of WIPO's reputation 74% recognize WIPO as the global forum for IP | ● ● |
| No. of people who view content about major WIPO events, achievements, activities | Average open rate in 2015: 33.1% (tbd) | ≥ 23% ¹⁵³ of recipients of the WIPO Wire newsletter open it to view content | 25.8% of recipients of the WIPO Wire newsletter opened it to view content | ● |
| Global participation in World IP Day campaign | Events in 105 countries were published on the 2015 World IP Day Events Map (110) | Events in ≥ 105 countries published on the World IP Day Events Map (≥ 100) | Events published in: 121 countries in 2016; and 124 countries in 2017 | ● |
| Online traffic to the WIPO Publications site and WIPO Magazine site | (i) 217,600 unique views of WIPO Publications site in 2014/15 (97,804) | (i) 20% increase in unique page views of the publications site; | (i) 407,908 unique views of WIPO Publications site in 2016/17 (+87% as compared to 2014/15) | ● |

¹⁵³ The 23 per cent target is based on the industry average as calculated by the MailChimp email marketing platform

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|--|--|---|-----|
| Views of WIPO press, video and photographic content | (ii) 1,024,790 unique views of the WIPO Magazine site over 2014/15 (432,342) | (ii) 10% increase in unique page views of the Magazine site | (ii) 1,923,976 unique views of the WIPO Magazine site over 2016/17 (+88% as compared to 2014/15) | ● |
| | (i) 503,120 unique page views of Media Center web content (all languages) in 2014/15 (250,000) | (i) 10% increase in unique page views of Media Center web content | (i) 781,255 unique page views (+55% as compared to 2014/15) | ● |
| | (ii) 2.54 million views on WIPO YouTube channel in 2014/15 (excluding pre-school) (467,180) | (ii) 10% increase in total videos views on the WIPO YouTube channel (excl. pre-school) | (ii) 232 videos produced during the biennium for a total of 520,296 views (+10% as compared to 2014/15) | ● |
| Fewer users who leave the WIPO website directly from the portal and key gateway pages. | (iii) 2.54 million photo views on Flickr in 2014/15; 3.44 lifetime views at end 2015 (1.44 million; 2.41 million lifetime at end 2014) | (iii) 2.5 million photo views on Flickr in 2016/17 (i.e. 5.94 million lifetime views by end 2017) | (iii) 2,864,732 views (+13% as compared to 2014/15) (6,226,878 lifetime views at end 2017) | ● |
| | (i) Portal bounce rate 29.8% (25.1%) | (i) stable bounce rate from the portal; | (i) Portal bounce rate 29.2% (EN) | ● |
| | (ii) Exit rates from "gateway" pages (EN): | (ii) stable exit rate from the "gateway" page for each of the 6 main areas of the website (IP Services, Policy, Cooperation, Reference, About IP, Inside WIPO) | (ii) Exit rates from "gateway" pages (EN): | ● |
| | - Services: 16.6% (13%) | | - Services: 16.6% | ● |
| | - Policy: 27.2% (16.9%) | | - Policy: 21.2% | ● |
| | - Cooperation: 20.1% (15.3%) | | - Cooperation: 21.9% | ● |
| | - Reference: 29.1% (19.1%) | | - Reference: 16.7% | ● |
| - About IP: 59.9% (55.1%) | | - About IP: 64.9% | ▲ | |
| - Inside WIPO: 26.1% (23.5%) | | - Inside WIPO: 33.6% | ▲ | |
| WIPO influence and stakeholder engagement on social media | (i) number of favorites in 2015: 6,420 (5,121) | (i) 25% increase in yearly number of "favorited" WIPO tweets | (i) number of "likes" ¹⁵⁴ - 2016: 13,289 (+107% as compared to 2015) - 2017: 20,928 (+57% as compared to 2016) | ● |
| | (ii) total retweets in 2015: 14,820 (11,920) | (ii) 15% increase in total yearly number of retweets | (ii) total retweets: - 2016: 19,715 (+33% as compared to 2015) - 2017: 20,710 (+5% as compared to 2016) | ● |

VIII.2 Improved service orientation and responsiveness to inquiries

| | | | | |
|---|---|---|---|---|
| User satisfaction with Library services | 70% of respondents to a feedback questionnaire of Library users were highly satisfied with the services. (100% satisfied or highly satisfied) (72.2%) | ≥ 70 % highly satisfied visitors and online customers | 2016: 70% 2017: 76.2% of clients were highly satisfied ("excellent" rating) with the services | ● |
| Customer/stakeholder satisfaction rate | Overall, 85% of PCT and Madrid customers were satisfied or highly satisfied: PCT= 89% Madrid= 81% | ≥ 90% satisfied or highly satisfied | 90% of PCT customers were satisfied or highly satisfied (PCT User Satisfaction Survey 2017) | ● |
| | Hague customers' satisfaction was not evaluated in 2014/15 (86% of Madrid and Hague customers satisfied or highly satisfied - 2013 survey) | | 69% of Madrid customers were satisfied or highly satisfied (Perception Survey 2016-17) | ● |
| | | | The Hague customers' satisfaction was not evaluated in 2016/17 | ● |

¹⁵⁴ Twitter replaced the "favorite" feature/button to "like" in late 2015.

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|--|--|---|-----|
| Service Standards for the WIPO Customer Service Center | (i) 92% of tickets processed within 1 day (<i>same</i>) | (i) 92% of tickets processed within 1 day (90%) | (i) 99.5% of tickets processed within 1 day | ● |
| | (ii) 100% of complaints processed within 8 working hours (<i>same</i>) | (ii) 100% of complaints processed within 8 working hours (90%) | (ii) 97.3% of complaints processed within 4 working hours | ● |

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------|--------------------------------------|---------------------|
| VIII.1 More effective communication to a broad public about intellectual property and WIPO's role | 10,808 | 11,053 | 10,869 |
| VIII.2 Improved service orientation and responsiveness to inquiries | 5,674 | 5,531 | 5,364 |
| Total | 16,483 | 16,584 | 16,233 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 13,996 | 13,374 | 13,288 | 99% |
| Non-personnel Resources | 2,487 | 3,211 | 2,945 | 92% |
| Total | 16,483 | 16,584 | 16,233 | 98% |

Final Budget after Transfers:

- The net decrease in personnel resources was the result of: (i) the redeployment of accrued personnel savings to other organizational priorities; and (ii) a shift of resources to non-personnel to strengthen switchboard operations.
- The slight increase in non-personnel resources was primarily due to: (i) additional resources for the development of a mobile application for WIPO delegates; and (ii) transfers from Programs 4, 11 and 13 for the production of motion graphics and videos.

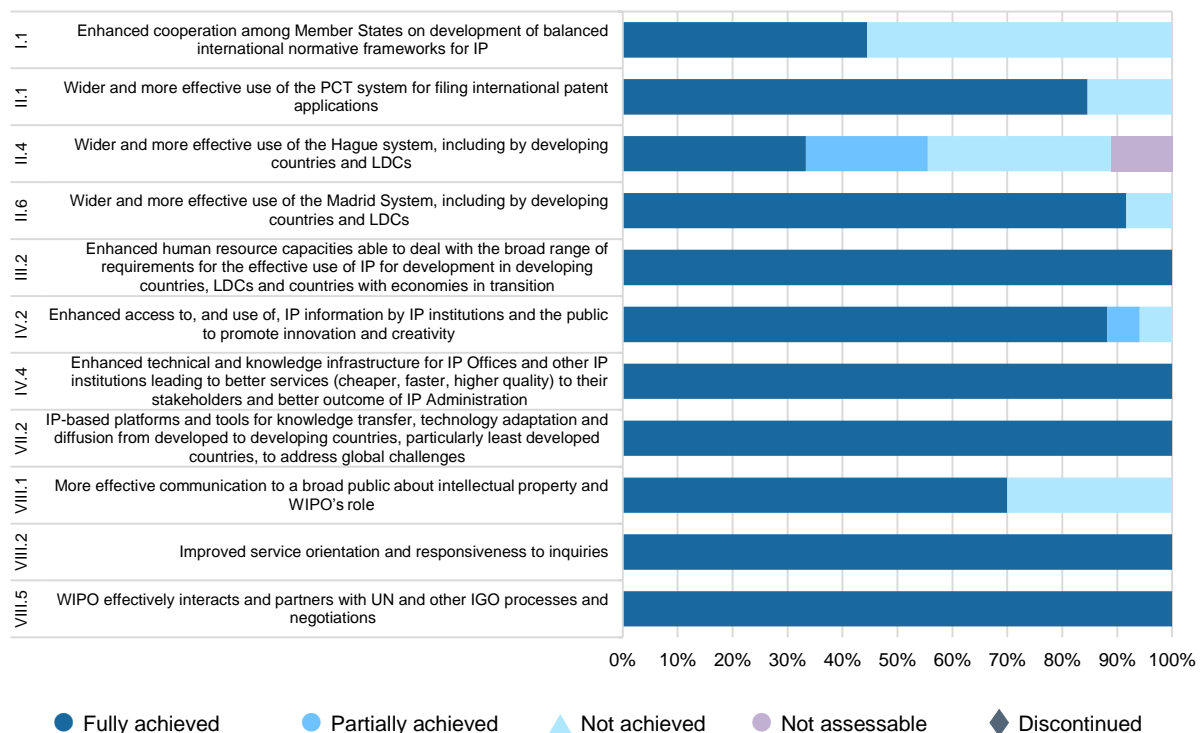
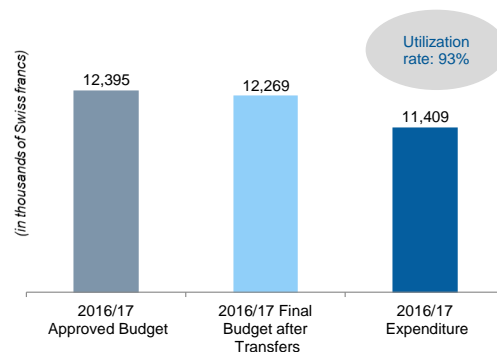
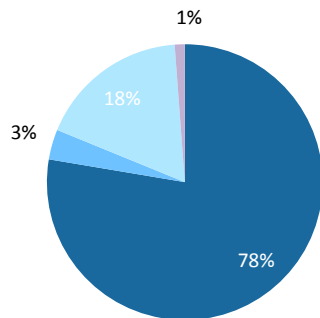
Budget Utilization:

- Personnel budget utilization was in line with the Final Budget after Transfers.
- The slightly lower utilization of non-personnel resources was primarily due to lower than expected costs for content management, information architecture, and usability of the WIPO website, as well as a delay in the development of the mobile app for delegates.

PROGRAM 20 External Relations, Partnerships and External Offices

Program Managers Director General
Mr. M.A. Getahun
Mr. Y. Takagi
Ms. B. Wang

Program Dashboard



Key Accomplishments

EXTERNAL RELATIONS AND PARTNERSHIPS (Mr. M.A. Getahun)

- The implementation of several intergovernmental and UN processes of relevance to WIPO's mandate commenced in 2016/17, including, *inter alia*: (i) the 2030 Agenda on Sustainable Development; (ii) the Third Conference on Financing for Development (FFD3); (iii) the Paris Agreement under the UN Framework Convention on Climate Change (UNFCCC); and (iv) the outcomes of the Fourteenth Session of the United Nations Conference on Trade

and Development (UNCTAD). WIPO continued to play a role in supporting these processes through the provision of balanced and evidence-based information.

- As a member of the UN Interagency Task Team on Science, Technology and Innovation for the SDGs (IATT), WIPO assisted in the organization of the first and second annual Multi-Stakeholder Fora on Science Technology and Innovation (STI) for the SDGs on the respective themes “Realizing the Potential of STI for all to Achieve SDGs” and “Technology and Innovation for a Changing World-focus on SDGs 1, 2, 3, 5, 9 and 14.” Also in the context of the IATT, WIPO contributed to the work of the UN system under the Technology Facilitation Mechanism, providing innovation-related input.
- In collaboration with UN Women and UNESCO, WIPO initiated a joint initiative on gender and STI for the SDGs and participated in the establishment of a sub-group of the IATT on Gender and STI to promote cohesiveness and collaboration among the UN system entities working in this field. As part of this initiative, WIPO's New York Coordination Office hosted an expert meeting and co-organized an official event at the High Level Political Forum on Gender and Science, Technology and Innovation for SDGs. WIPO also supported, as an observer, the work of the Inter-agency and Expert Group on Sustainable Development Goal Indicators (IAEG-SDGs) and the Statistical Commission, and made available its data sets and data methodologies upon request by Member States.
- To promote innovation, transfer and diffusion of climate change technologies, specifically renewable energy, WIPO established a MoU with the International Renewable Energy Agency (IRENA) for the development of joint activities and projects.
- The Program continued, in cooperation with Program 3, to provide contributions to the implementation of the outcomes of the World Summit on the Information Society (WSIS) for the UN Secretary General's reports. Cooperation with other IGOs and UN agencies was strengthened, *inter alia*, with: (i) UNCTAD by joining the UNCTAD-led “eTrade for All Initiative” and by renewing its active contribution to the Global Entrepreneurship Week Geneva (GEW 2016 and 2017) focusing on innovation promotion, youth entrepreneurship, patent information, SMEs and IP; and (ii) the International Standards Organization (ISO) Technical Committee (TC) 279 through the provision of input for a future series of standards on innovation management (ISO 50500 series).
- WIPO continued to ensure effective engagement in the WTO TRIPS Council and coordinated WIPO's participation in WTO national, regional and international workshops on topics including IP, public health and flexibilities; IP, trade and the environment; and IPR enforcement. WIPO also closely cooperated with the WTO for the Annual Workshop on Trade and Public Health.
- In addition to the work undertaken in cooperation with Programs 1, 14 and 18 in the context of the WIPO-WHO-WTO trilateral cooperation, the Program ensured WIPO's effective engagement in relevant WHO meetings and processes, including the UN Inter-Agency Task Force on non-communicable diseases (NCDs). The New York Office also supported Program 4 in the organization of events on marine genetic resources and indigenous issues, in the framework of UN processes.

NGO AND INDUSTRY RELATIONS (Director General)

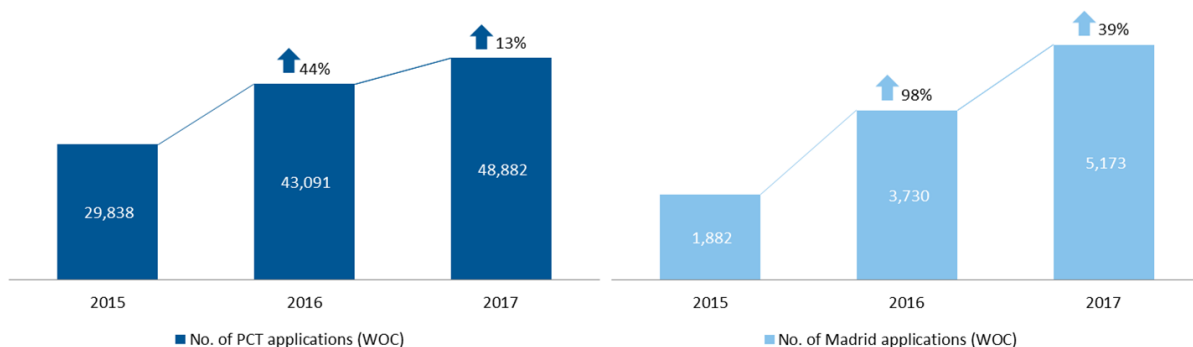
- Throughout the biennium, WIPO continued to identify and promote opportunities to enhance the engagement of non-governmental stakeholders in its activities. In 2016 and in 2017, WIPO facilitated a number of different events through which it sought the participation of and cooperation with civil society representatives. An average of 252 permanently accredited NGOs attended WIPO committee meetings each year, representing 71 per cent of the total number of NGOs attending such meetings in the 2016/17 biennium¹⁵⁵. The fifth meeting with the Director General organized exclusively for accredited NGOs was held in February 2017, providing a valuable forum for a direct exchange of views on the international IP system generally and the work of WIPO specifically.

EXTERNAL OFFICES

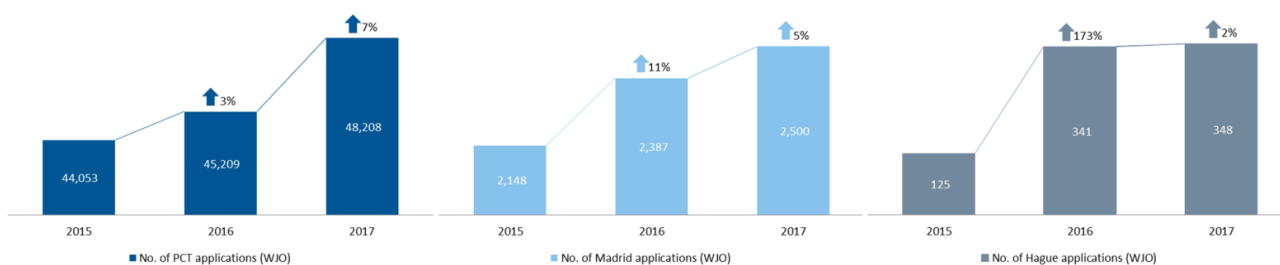
- **WIPO Brazil Office (WBO) (Director General):** The WBO devoted considerable attention to supporting Brazil in its intention to accede to the Madrid Protocol. In this regard, the WBO facilitated discussions in Brazil by engaging closely with the government ministries concerned, assisted the national IP Office in its preparations, and engaged with other stakeholders, such as national IP and industry associations, to explain the implications and benefits of accession. By the end of 2017, the Brazilian Congress had received the bill of accession to the Protocol, and the matter was under discussion in different commissions of the Congress.

¹⁵⁵ See Program 21.

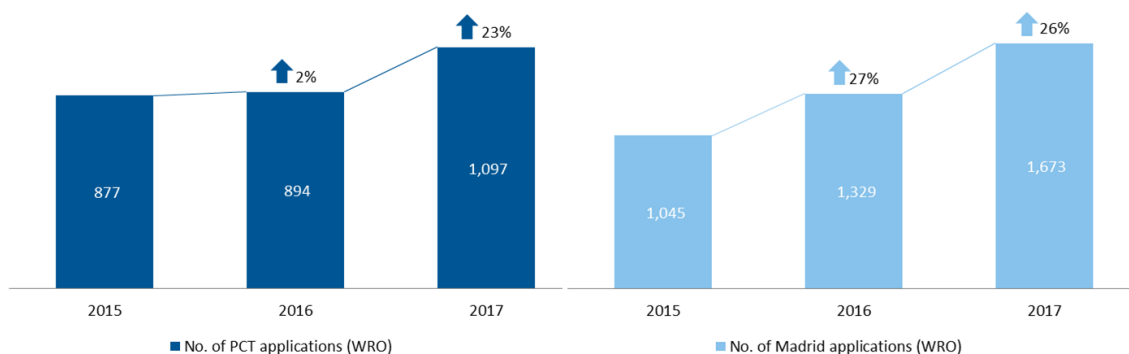
- WIPO Office in China (WOC) (Ms. B. Wang):** The WOC was focused throughout the biennium on the intensive promotion of WIPO's Global IP Services to users and potential users, resulting in strong growth rates in filings to the PCT and Madrid Systems from China.



- The WOC also focused on targeted outreach to ensure that WIPO and its services were better understood and increasingly used throughout the country. As a result, by the end of the biennium, cooperative relations had been established with one third of the provincial governments, over 10 ministries at the State level, and various industrial associations.
- WIPO Japan Office (WJO) (Mr. Y. Takagi):** The WJO was focused throughout the biennium on the intensive promotion of WIPO's Global IP Services to users and potential users, resulting in strong growth rates in filings to the PCT, Madrid and the Hague Systems from Japan.



- In addition, the WJO's targeted promotion of WIPO's multi-stakeholder platforms produced good results in 2016/17, with a 166 per cent increase in the number of registered technologies from Japanese companies in the WIPO GREEN database (38 in 2015 and 101 in 2017). Notably, Fujitsu also became a partner of WIPO GREEN during the biennium.
- WIPO Office in the Russian Federation (WRO) (Mr. M. Svantner):** The Russian Federation deposited the instruments of ratification to the Geneva Act of the Hague Agreement and the Marrakesh Treaty in 2017. Both accessions will enter into force in early 2018.
- The WRO was focused throughout the biennium on the intensive promotion of WIPO's Global IP Services to users and potential users, resulting in strong growth rates in filings under the PCT and Madrid Systems from the Russian Federation.



- The network of TISCs in the Russian Federation continued to expand in 2016/17, from 135 TISCs in 2015 to 170 in 2017, an increase of 26 per cent.

- A national project on IP Policies for Universities and Research Institutions was launched in 2016, in cooperation with the Ministry of Education and Science of the Russian Federation, Rospatent and the Bauman Moscow State Technical University in order to support the capacities of Russian academic and scientific institutions in managing IP.
- [WIPO Singapore Office \(WSO \(Director General\)\)](#): The WSO continued to support ASEAN Member States with the accession process to the Madrid Protocol in accordance with the ASEAN IPR Action Plan. This resulted in four additional accessions (Brunei Darussalam, Indonesia, Lao Democratic People's Republic, Thailand), bringing the total number of Contracting Parties from ASEAN to eight at the end of 2016/17. The WSO also contributed to the promotion of the Hague Agreement, resulting in one accession (Cambodia) in the biennium.
- The WSO focused throughout the biennium on strengthening WIPO's engagement with national IP associations, culminating with the establishment of an annual ASEAN roundtable for national and regional IP associations, designed to build stronger linkages with the ASEAN business community and to increase opportunities to promote WIPO's work. The first such roundtable was held in 2017.

DA Highlights

Guiding Principles: Program 20 continued to be actively involved in the work of the UN system and other IGOs by taking part in development-related processes and initiatives, in particular those related to the SDGs (DA Recs. 4, 11, 14, 24, 30, 31 and 40).

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|--|---|---|
| The geographical separation of External Offices from Headquarters can potentially result in fragmentation in coordination and communication. | This risk remained stable throughout the biennium. | The mitigation plan to undertake close, constant and structured engagement mitigated the risk and ensured that the work of the External Offices was fully integrated into the results framework and the day-to-day functioning of the Organization. | The risk was mitigated during the biennium, resulting in no negative impact on performance. |



Performance Data

EXTERNAL RELATIONS AND PARTNERSHIPS

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|---------|---|-----|
| VIII.5 WIPO effectively interacts and partners with UN and other IGO processes and negotiations | | | | |
| WIPO's contributions reflected in UN and IGO reports, resolutions and documents from relevant, targeted processes | 33 submissions in 2014/15, all of which were satisfactorily reflected. (2012/13 – 38 out of 38; 2014 12 out of 15, 3 on-going) | 80% | 79% of WIPO's contributions (30 of 38 submissions) were reflected in 2016/17. | ● |
| No. of WIPO-led initiatives in partnership with UN and other IGOs related to implementation of the SDGs | None | 5 | 5 new initiatives | ● |

EXTERNAL OFFICES

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|---|--|---|------------------|
| I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | | | | |
| No. of ratifications and/or accessions to Marrakesh Treaty | 1 WBO 0 WOC 0 WJO 0 WRO 1 WSO-Singapore (0 all EOs) | n/a 1 WOC 1 WJO 1 WRO 2 additional WSO (same, 1 WBO) | WOC: 0 WJO: 0 WRO: 1 (the Russian Federation) WSO: no additional | ▲ ▲ ● ▲ |

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|---|--------------------------------------|--|---|
| No. of ratifications and/or accessions to Beijing Treaty | 0 WSO (<i>same</i>) 1 WRO (0) | 2 WSO (2 WSO, 1 WRO) | WSO: 0 | ▲ |
| No. of ratifications and/or accessions to Singapore Treaty | 0 WJO (<i>same</i>) 1 WSO (<i>same</i>) | 1 WJO 1 additional WSO | WJO: 1 (Japan) WSO: no additional | ● ▲ |
| No. of ratifications and/or accessions to the Internet Treaties | WIPO Copyright Treaty: 4 WSO WIPO Performances and Phonograms Treaty: 4 WSO | 1 additional WSO 1 additional WSO | WSO: 1 (Brunei Darussalam) WSO: 1 (Brunei Darussalam) | ● ● |
| II.1 Wider and more effective use of the PCT system for filing international patent applications | | | | |
| No. of PCT applications ¹⁵⁶ | 2015: WBO: 548 (581) WOC: 29,838 (23,539) WJO: 44,053 (42,459) WRO: 877 (890) WSO: 1,362 (1,387) | Annual increase of 2% all Offices | WBO 2016: 567 (+3%) 2017: 593 (+5%) WOC 2016: 43,091 (+44%) 2017: 48,882 (+13%) WJO 2016: 45,209 (+3%) 2017: 48,208 (+7%) WRO 2016: 894 (+2%) 2017: 1,097 (+23%) WSO 2016: 1,254 (-8%) 2017: 1,208 (-13% as compared to the 2016 target) | ● ● ● ● ● ● ● ▲ ▲ |
|  % of policy makers, government officials, and IP practitioners and participants in targeted workshops with enhanced understanding of PCT and related topics | WBO: 75% (<i>same</i>) WJO: 91% (94%) WSO: 95% (93%) | 75% all Offices | WBO 2016: 93% 2017: 77% WJO 2016: 81% 2017: 88% WSO 2016: 94% 2017: 88% | ● ● ● ● |
| II.4 Wider and more effective use of the Hague system, including by developing countries and LDCs | | | | |
| Membership of the Geneva (1999) Act | WSO: 2 WRO: 0 | 3 additional WSO 1 WRO | WSO: 1 additional (Cambodia) WRO: 0 (The Russian Federation deposited its instrument of ratification on November 30, 2017, which will enter into force in February 28, 2018.) | ▲ ▲ |
| No. of Hague applications ¹⁵⁷ | 2015: WJO: 128 (0) WSO: 34 (50) | 2% annual growth | WJO 2016: 348 (+172%) 2017: 353 (+1%) WSO 2016: 50 (+47%) 2017: 39 (-22%) | ● ● ● ▲ |
|  % of policy makers, government officials, and IP practitioners and participants in targeted workshops with | WBO: 75% (<i>same</i>) | 85% (75%) | WBO 2016: no data 2017: no Hague workshops conducted | ● |

¹⁵⁶ Source: WIPO IP Statistics Data Center, June, 2018.

¹⁵⁷ Ibid.

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|------------------------------|--|------|
| enhanced understanding of the Hague System | WJO: 94% (same) | | WJO 2016: 62% 2017: 73% | |
| | WSO: 88% (85%) | | WSO 2016: 86% 2017: 85% | |
| II.6 Wider and more effective use of the Madrid System, including by developing countries and LDCs | | | | |
| Total Membership of the Madrid System | WSO-4 ¹⁵⁸ cumulative (same) | 5 additional (WSO) | Brunei Darussalam, Indonesia, Lao Democratic People's Republic, Thailand | |
| No. of Madrid applications ¹⁵⁹ | WBO 0 (same) | 2% annual growth all Offices | WBO 0 | |
| | WOC 1,882 (2,140) | | WOC 2016: 3,730 (+98%) 2017: 5,173 (+39%) | |
| | WJO 2,148 (2,033) | | WJO: 2016: 2,387 (+11%) 2017: 2,500 (+5%) | |
| | WRO 1,045 (1,543) | | WRO 2016: 1,329 (+27%) 2017: 1,673 (+26%) | |
| | WSO 496 (351) | | WSO 2016: 594 (+20%) 2017: 640 (+8%) | |
| % of policy makers, government officials, IP practitioners and participants in targeted workshops with enhanced understanding of the Madrid System | WSO: 90% (89%) | 85% (75%) | WJO 2016: 94% 2017: 93% | |
| | | | WSO 2016: 86% 2017: 85% | |
| III.2 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 | | | | |
| % of policy makers, governments officials, IP practitioners and other targeted groups, including universities, CMOs, journalists, with enhanced understanding of IP policies, and how to effectively use IP development | WBO: 75% (same) | 85% (75%) | WBO 2016: 88% 2017: 82% | |
| | WJO: 100% (n/a) | | WJO 2016: 100% 2017: 96% | |
| | WSO: 100% (same) | | WSO 2016: 87% 2017: 87% | |

¹⁵⁸ The baseline was updated to reflect the number of Contracting Parties at the end of 2015 based on the date of entry into force.

¹⁵⁹ Source: WIPO IP Statistics Data Center, June, 2018.

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|---|---------------------------------------|---|-----|
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | | | | |
| No. of users ¹⁶⁰ of WIPO's Global Databases: PATENTSCOPE, Global Brands Database, Global Designs Database | PATENTSCOPE ¹⁶¹ : | 5% increase (biennial) ¹⁶² | PATENTSCOPE | |
| | WBO 3,845 (4,688) | | WBO: 6,807 (+77%) | ● |
| | WOC 27,454 (56,355) | | WOC: 41,797 (+53%) | ● |
| | WJO 16,032 (14,711) | | WJO: 24,973 (+56%) | ● |
| | WRO 6,292 (6,257) | | WRO: 8,534 (+36%) | ● |
| | WSO 7,471 (8,054) | | WSO: 15,169 (+103%) | ● |
| | GBD ¹⁶³ : | 5% increase (biennial) ¹⁶⁴ | GBD | |
| | WBO 453 (527) | | WBO: 1,096 (+142%) | ● |
| | WOC 3,096 (1,909) | | WOC: 14,639 (+373%) | ● |
| | WJO 4,064 (2,703) | | WJO: 10,671 (+163%) | ● |
| | WRO 2,661 (2,077) | | WRO: 7,924 (+198%) | ● |
| | WSO 17,407 (8,819) | | WSO: 35,323 (+103%) | ● |
| | GDD ¹⁶⁵ : (n/a-2014) | 5% increase (biennial) ¹⁶⁶ | GDD | |
| | WBO 71 | | WBO: 169 (+138%) | ● |
| | WOC 411 | | WOC: 1,688 (+311%) | ● |
| WJO 1,948 | | WJO: 2,064 (+6%) | ● | |
| WRO 492 | | WRO: 714 (+45%) | ● | |
| WSO 481 | | WSO: 1,507 (+213%) | ● | |
| No. of sustainable ¹⁶⁷ national TISCs network(s) | WOC: 0 (same) | 1 (WOC) | WOC: 0 | ▲ |
| | WSO: 2 (same) | 2 additional (WSO) | WSO: 1 additional (3 cumulative) - 1 Maturity Level 1 (additional) - 1 Maturity Level 2 (progression from ML 1) - 1 Maturity Level 3 | ● |
| | - 1 Maturity Level 1 | | | |
| | - 1 Maturity Level 3 | | | |
| IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP Administration | | | | |
| No. of offices using WIPO Infrastructure Platforms | 0 WBO (7) | 1 WBO (same) | 1 WBO | ● |
| | 8 WSO (0): Brunei Darussalam, Indonesia, Lao People's Democratic Republic, Malaysia, the Philippines, Singapore, Thailand, Viet Nam | 1 additional WSO (tbd) | 1 additional (Cambodia) WSO (9 cumulative) | ● |

¹⁶⁰ The number of users is defined as the number of unique search visitors in Q4.

¹⁶¹ Corrigendum: The PATENTSCOPE baselines for WBO, WJO and WSO were updated to reflect Q4 2015 data.

¹⁶² Q4 2017 as compared with the Q4 2015 baseline.

¹⁶³ Due to a change in the methodology, the baseline was updated for comparative purposes

¹⁶⁴ Q4 2017 as compared with the Q4 2015 baseline.

¹⁶⁵ Due to a change in the methodology, the baseline was updated for comparative purposes

¹⁶⁶ Q4 2017 as compared with the Q4 2015 baseline.

¹⁶⁷ Sustainable TISCs are financially and technically self-supporting institutions to which WIPO provides advice on demand.

Sustainability is measured through the following levels of maturity:

- **Maturity Level 1**-(a) Signing of a Service Level Agreement (SLA) between WIPO and the National Focal Point; (b) signing of Institutional Agreements between the National Focal Point and TISC Host Institutions; and (c) provision of at least an annual report on national TISC activities;
- **Maturity Level 2**-Level 1 standards having been met plus the provision of basic patent information searches, e.g. state of the art patent searches; and
- **Maturity Level 3**-Level 2 standards having been met plus the provision of value added IP services, e.g. drafting of patent landscape reports.

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|-----------|--------------|---|-----|
| VIII.5 WIPO effectively interacts and partners with UN and other IGO processes and negotiations | | | | |
| No. of joint activities with ASEAN Secretariat, ECAP/OHIM, Asia/Europe Foundation, AANZFTA | 11 WSO | 8 additional | 9 additional joint activities in 2016/17 ¹⁶⁹ | |

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------|--------------------------------------|---------------------|
| I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | 685 | 769 | 758 |
| II.1 Wider and more effective use of the PCT system for filing international patent applications | 857 | 843 | 794 |
| II.4 Wider and more effective use of the Hague system, including by developing countries and LDCs | 729 | 523 | 459 |
| II.6 Wider and more effective use of the Madrid system, including by developing countries and LDCs | 789 | 492 | 468 |
| III.2 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 | 858 | 1,487 | 1,387 |
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | 1,209 | 1,015 | 956 |
| IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP Administration | 264 | 40 | 38 |
| VII.2 IP-based platforms and tools for knowledge transfer, technology adaptation and diffusion from developed to developing countries, particularly least developed countries, to address global challenges | 452 | 443 | 410 |
| VIII.1 More effective communication to a broad public about intellectual property and WIPO's role | 878 | 1,486 | 1,339 |
| VIII.2 Improved service orientation and responsiveness to inquiries | 544 | 556 | 519 |
| VIII.4 Open, transparent and responsive interaction with non-governmental stakeholders | 666 | 391 | 322 |
| VIII.5 WIPO effectively interacts and partners with UN and other IGO processes and negotiations | 4,152 | 4,036 | 3,777 |
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | 311 | 189 | 181 |
| Total | 12,395 | 12,269 | 11,409 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 9,525 | 9,015 | 8,524 | 95% |
| Non-personnel Resources | 2,869 | 3,253 | 2,886 | 89% |
| Total | 12,395 | 12,269 | 11,409 | 93% |

¹⁶⁹ 2016: (i) ASEAN-USPTO Workshop on Using IP to Protect and Promote Traditional Arts and Crafts, Bangkok, September 6-8, 2016; (ii) 1st Session of the UNESCAP Committee on Information and Communications Technology, Science, Technology and Innovation, Bangkok, October 5-7, 2016; (iii) Presented at the EuroCham unit for IP enforcement, October 20, 2016; (iv) Participated in a Regional Seminar on Geographical Indications, organized by ECAP III in Manila, Philippines, November 28 and 29, 2016; (v) Organized and participated in the 7th Informal Meeting of IP Technical Assistance Providers (IPTAP) to the ASEAN countries, Bangkok, Thailand, November 17, 2016. 2017: (vi) Hosted and presented at the Singapore-Australia Third Country Training Programme (TCTP), October 30, 2017, at WSO; (vii) Participated in the International Association for the Protection of Intellectual Property (AIPPI) ASEAN Regional Meeting and the ASEAN Intellectual Property Association Annual Conference (AIPAAC), Manila, April 20 - 23, 2017; (viii) Presented at the APEC Workshop on Promoting Innovation for Start-Ups, Hanoi, Vietnam, October 2-3, 2017; (ix) Organized and participated in the 8th Informal Meeting of IP Technical Assistance Providers (IPTAP) to the ASEAN countries, Singapore, August 31, 2017

Final Budget after Transfers:

- The net decrease in personnel resources was primarily due to the transfer of additional positions into the Program to strengthen the work of the External Offices, in particular in the Russian Federation and China and the transfer out of personnel resources, including: (i) the temporary transfer of one position to support priorities in Program 19, reflected under ER VIII.4; (ii) the transfer of a temporary position to Program 14 to support TISCs; (iii) the temporary transfer of one position to Program 6 to support the Madrid Reform Initiative; and (iv) the transfer of accrued savings to accommodate other organizational priorities, reflected across the Expected Results.
- The increase in non-personnel resources was primarily due to the transfer of resources: (i) to cover the operational needs of the WIPO Coordination Office in New York in 2017, reflected under ER VIII.5, and the costs related to the office move of the WIPO Japan Office (WJO), reflected under ER VIII.2; and (ii) for the International Conference on Building Respect for IP (Shanghai, November 2016) and promotional and awareness raising events supported by the WIPO Office in China (WOC).
- The increases in resources under ERs I.1, III.2 and VIII.1 was due to an increased focus among the External Offices on: (i) assisting Member States to accede to WIPO Treaties; (ii) capacity building and awareness raising; and (iii) promotion of WIPO, respectively.
- The decrease in resources under ER IV.4 was due to support for IPAS in the ASEAN region being funded directly from Program 15.

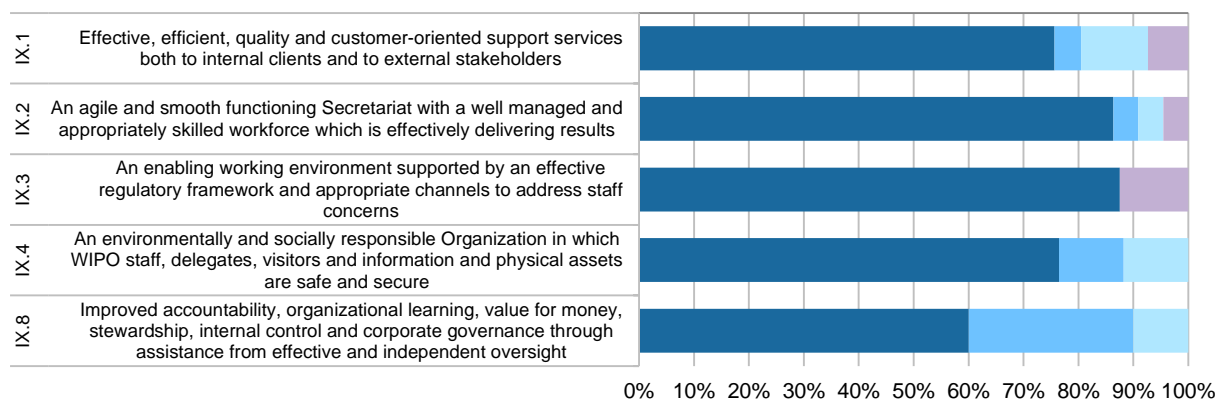
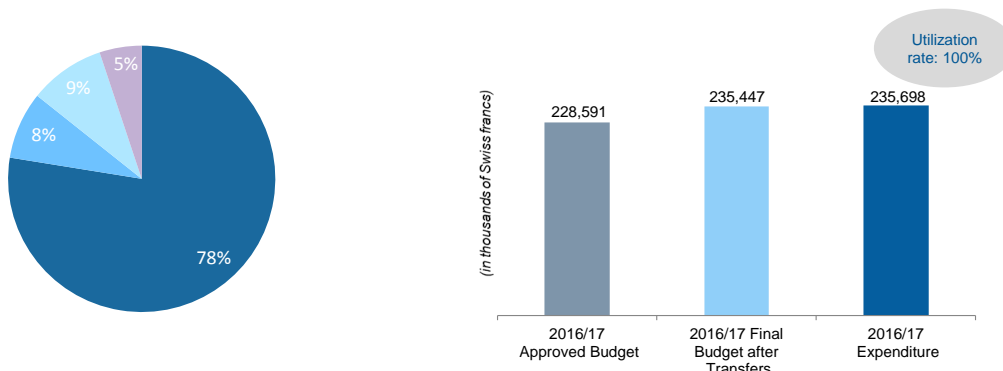
Budget Utilization:

- Overall budget utilization was in line with the Final Budget after Transfers.
- The lower utilization of non-personnel resources was due primarily to lower than planned expenditure on activities related to external relations.

Strategic Goal IX EFFICIENT ADMINISTRATIVE AND FINANCIAL SUPPORT

Biennial Performance Dashboard

The dashboard below provides a summary of the progress towards the achievement of the Results in the biennium 2016/17 as measured by the indicators under the Programs contributing to this Strategic Goal.



● Fully achieved ● Partially achieved ▲ Not achieved ● Not assessable ◆ Discontinued

| Expected Results | Performance Indicators | Responsible Program(s) | PIE |
|--|--|------------------------|-------|
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | % of queries for legal advice and services which receive prompt responses from OLC | Program 21 | ● |
| | ERP projects are delivered according to plan and within the budget of the portfolio | Program 22 | ▲ |
| | No. of PBC documents submitted on time to the Member States | Program 22 | ● |
| | Provision of financial and management reports and analysis required by senior management, Program Managers and Member States in accordance with agreed deadlines | Program 22 | ● |
| | WIPO's ERP system (AIMS) is operating efficiently according to business needs and in line with best practices | Program 22 | ● ● ▲ |
| | % of queries processed within 5 working days | Program 23 | ● |
| | % of staff satisfied with human resource services | Program 23 | ● |
| | Increase in automated versus currently manually-processed actions | Program 23 | ● |
| | Optimized insurance coverage | Program 23 | ● |
| | % of high value items (e.g >5,000 Swiss francs) inventoried | Program 24 | ● |
| % of value items 1,000-5,000 Swiss francs, works of arts and attractive items | Program 24 | ● ● ● | |
| Cost savings for goods and services procured by WIPO (derived from RFPs or direct negotiations) | Program 24 | ● | |

| | | | |
|---|---|------------|-------------|
| | Global average ticket fare | Program 24 | ● |
| | Optimum use and occupation of WIPO premises and all types of space | Program 24 | ● |
| | Processing time ER | Program 24 | ● |
| | Processing time eTA | Program 24 | ● |
| | Processing time Visa | Program 24 | ● |
| | TMC average ticket fare | Program 24 | ● |
| | Average service fee | Program 24 | ● |
| | WIPO premises and installations remain fit for purpose | Program 24 | ● |
| | % of customers that are satisfied with the Service Desk services | Program 25 | ● |
| | Application development activities adhere to the WIPO reference and master data standards | Program 25 | ● |
| | ICT Platforms are cost-effectively hosted and managed in line with business demands | Program 25 | ● ▲ ● ● ● ● |
| | ICT Projects in WIPO are managed in accordance with the WIPO project management and service transition guidelines | Program 25 | ● ● |
| | % of internal and external participants satisfied with WIPO Conference Services | Program 27 | ● |
| | Cost per word of translation | Program 27 | ● |
| | Effective implementation of WIPO Language Policy | Program 27 | ● ● |
| | Reduction in printing costs (per page) | Program 27 | ▲ |
| | Timely publication of documents for Committees and Working Groups | Program 27 | ● |
| | IA governance defined and enforced | Program 28 | ● |
| | No. of staff aware of their information security responsibilities, security policies and best practices | Program 28 | ▲ |
| IX.2 An agile and smooth functioning Secretariat with a well-managed and appropriately skilled workforce which is effectively delivering results | Establishment of a new Organizational Resilience and Business Continuity framework and associated documentation | Program 21 | ● |
| | Effective management of expenditure and reserves | Program 22 | ● |
| | Enhanced maturity of managing for results (RBM) | Program 22 | ● |
| | Payments (including Madrid and Hague fees) made on time | Program 22 | ● ● ● ● |
| | Return on invested funds in line with benchmarks established by the Investment Advisory Committee (IAC) | Program 22 | ● |
| | Satisfactory financial report from the External Auditors confirms the conformity of financial operations to the provisions of the applicable WIPO conventions and treaties, the WIPO Financial Regulations and Rules and IPSASS | Program 22 | ● |
| | % of staff whose performance is evaluated against their individual objectives and competencies | Program 23 | ● |
| | % of trainings needs fulfilled of which: (i) critical collective training needs and (ii) individual training needs | Program 23 | ● ● |
| | % of women in professional and higher positions | Program 23 | ● ● ● ● ▲ |
| | Enhanced maturity of HR Planning | Program 23 | ● |
| | Geographical diversity: % of Staff per region | Program 23 | ● |
| | No. of applications received from unrepresented Member States as a % of total | Program 23 | ● |
| | No. of days to: (i) notify staff of decisions on RfR/grievances, (ii) notify staff of decisions on rebuttals/disciplinary cases and (iii) provide responses to requests for advice | Program 23 | ● ● ● ● |
| | Recruitment lead time | Program 23 | ● |
| IX.3 An enabling working environment supported by an effective regulatory framework and appropriate channels to address staff concerns | % of WIPO staff aware of services available from Ombuds-Office and informal conflict resolution mechanism | Program 21 | ● |
| | % of WIPO staff being aware of WIPO ethics principles and policies | Program 21 | ● |
| | Financial Regulations and Rules and relevant Office Instructions (OIs) up to date | Program 22 | ● |
| | Increase in maturity of Risk Management and Internal controls, in accordance with the Roadmap | Program 22 | ● ● |
| | Effective follow-up of oversight recommendations | Program 22 | ● ● ● ● |

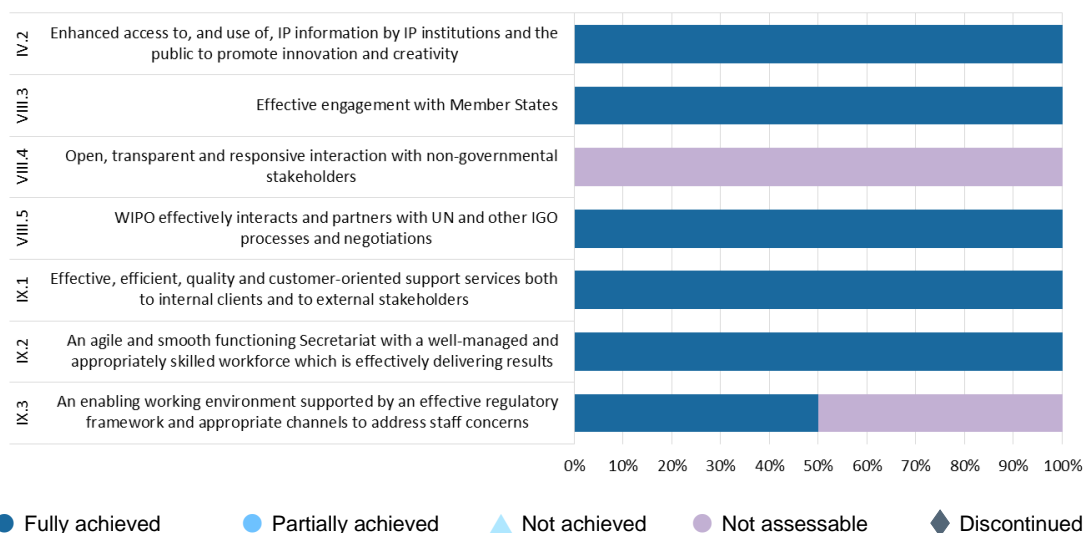
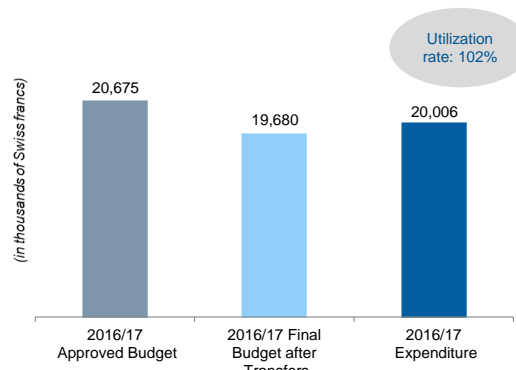
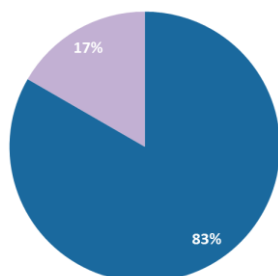
| | | | |
|--|--|------------|-------|
| IX.4 An environmentally and socially responsible Organization in which WIPO staff, delegates, visitors and information and physical assets are safe and secure | Improved physical access to the WIPO campus | Program 24 | ●● |
| | Reduced impact of WIPO activities on the environment | Program 24 | ●●●●● |
| | ICT service continuity of critical systems | Program 25 | ● |
| | % of information risks, including third party risks, reported and managed consistently within WIPO's risk tolerances | Program 28 | ●● |
| | % of Conference and Events supported by security inside and outside Geneva ¹⁷⁰ | Program 28 | ● |
| | % of WIPO staff, delegates and visitors reporting a work related injury or incident | Program 28 | ● |
| | Enhanced capability to detect and respond to information security threats much faster ensuring minimal business disruption | Program 28 | ▲ |
| | Increased compliance to IA policies and standards | Program 28 | ● |
| | Proactive identification and timely remediation of vulnerabilities within agreed service levels | Program 28 | ● |
| | Reduced duplication of information security technical capabilities through reusable security architecture patterns | Program 28 | ● |
| | Widely adopted information classification and handling policy to ensure confidentiality of information | Program 28 | ▲ |
| IX.8 Improved accountability, organizational learning, value for money, stewardship, internal control and corporate governance through assistance from effective and independent oversight | EFFECTIVENESS - % of work that covers high risk, relevant areas aligned with the Organization's Strategy | Program 26 | ● |
| | EFFICIENCY - IOD's reports are issued timely with SMART recommendations | Program 26 | ●▲●● |
| | INDEPENDENCE - No interference and perceived independence by key stakeholders | Program 26 | ● |
| | ORGANIZATIONAL LEARNING-Uptake of Lessons and Recommendations from Oversight Processes | Program 26 | ●● |
| | RELEVANCE, ADDED VALUE & STEWARDSHIP- Tangible cost savings or improvements made in business processes and systems | Program 26 | ●● |

¹⁷⁰ Exceptionally, the original performance indicator “% of timely requests for safety & security assistance at conferences or events held in or outside of Geneva” was modified to more accurately reflect the substance of what is being measured, i.e. the percentage of conferences and events being supported rather than the timeliness of the request.

PROGRAM 21 Executive Management

Program Manager Director General

Program Dashboard



Key Accomplishments

- Following the decision of the Member States in 2015 to expand WIPO's network of External Offices (EOs) by up to six by the end of 2018/19, Member States reached agreement at the WIPO Assemblies in 2016 to establish two new EOs in Algeria and Nigeria. This signaled an important expansion of the Organization's global presence by extending the EO network to Africa. Negotiations on privileges, immunities and facilities for WIPO and its staff to be deployed to Algeria and Nigeria were concluded and the WIPO Coordination Committee approved the respective host country agreements at its session in October 2017.
- Acknowledging the importance of the Sustainable Development Goals (SDGs) for the UN System, a Representative of the Director General on the SDGs was appointed in early 2017. The Representative coordinates WIPO's activities that contribute to the realization of the SDGs and actively follows developments in the 2030 Agenda, particularly through participation in UN High-Level Political Fora.
- The depositary functions of the Director General with respect to the many treaties administered by WIPO were efficiently discharged. These included three new accessions to the WIPO Convention, bringing the total number of WIPO Member States to 191, as well as 64 accessions or ratifications¹⁷¹ to the other WIPO-administered treaties in 2016 and 2017.

¹⁷¹ Based the date of the deposit of instrument.

- Approximately 1,000 delegates from more than 200 Member States and Observer Organizations attended the WIPO Assemblies each year of the biennium. Improvements/refinements to the organization of the Assemblies continued to be introduced to: (i) enhance the effectiveness of the meetings; (ii) promote more openness and accessibility of the proceedings; (iii) reduce costs and WIPO's carbon footprint; and (iv) ensure timely delivery of all documentation in all UN languages. The attention to improving delivery was reflected in the very high satisfaction levels, as reported by delegates in the framework of the annual survey.
- The policies for Protection against Retaliation and Financial Disclosure and Declaration were revised and promulgated during the biennium. To keep abreast of new developments and best practices in the area of ethics, the Ethics Office actively participated in relevant UN ethics fora. The Ethics office also cooperated with the Joint Inspection Unit.
- A highlight of the biennium was WIPO's hosting of the 2017 UN Chief Executives Board spring session with the newly appointed Secretary General. In addition, more than 200 Member State events, exhibitions and national days were hosted by WIPO in 2016/17, attracting 36,000 participants. The number of events and side-events organized during the WIPO Assemblies increased significantly, bringing the total number of events in the biennium to 29. Positive feedback was received from delegates attending events both at the Assemblies and more generally.
- The new Ombudsperson took up duties in May 2016 and began implementing a targeted program of training and outreach to approximately 450 WIPO staff, including, for the first time, a visit to an EO (WSO), with the understanding that one EO would be visited per year. As a result of these activities, the percentage of preventive counselling requests amounted to 34 per cent of all requests, surpassing the internal target of 30 per cent. Out of a total of 153 cases, 72 per cent resulted in the situation being either resolved or improved.

DA Highlights

DA Guidance: The Ethics Office undertook activities to enhance the understanding of WIPO staff of the ethical obligations arising from their status as international civil servants with a view to ensuring the inclusion of ethical considerations in strategies, policies, operations, and interactions among staff (Rec. 6).

Risk

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|---|--|--|---|
| WIPO's effective engagement with Member States is of paramount importance to achieve timely results. At risk is reduced progress in WIPO's inter-governmental processes, including in normative discussions and increased cost or extended schedules for implementing approved Programs. As the international rule-making body for IP, such a situation would negatively impact WIPO's credibility. | Multilateral negotiations and discussions remained difficult at the conclusion of the biennium. This risk remained a factor of which the Program was constantly mindful. | Risk mitigation measures were successful in that the space for consensus was maintained, and Member States were able to agree on several sensitive and contentious issues during the biennium. | The risk mitigation measures were effective, resulting in no adverse impact on performance. |

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|---------------------------------|---|-----|
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | | | | |
| Increase in the no. of WIPO Lex users | 2014/15: 3,350,643 (2,236,486) | 20% biennial increase (same) | 2016/17: 5,779,254 (+72.5%) - 2016: 2,044,648 (+10.9% as compared to 2015) - 2017: 3,734,606 (+82.7% as compared to 2016) | ● |
| VIII.3 Effective engagement with member states | | | | |
| % of Committee meetings for which pre-Committee information meetings for Member States are held | 97% (93%) from a survey of secretaries of committees | 90% | 100% (29 pre-Committee consultation meetings were held for 29 Committee meetings during the biennium) | ● |

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|---|--|--|-----|
| % of adherence and other WIPO Treaty-related actions by Member States processed in a timely manner | 90% (95%) of notifications of adherence and other treaty related actions processed within three days | 95% processed within three days | 80% (63 out of 79) of all treaty actions processed within 3 days | ● |
| Timeliness of publication of Assemblies documents | In 2014/15: 97% (96%) | 95% relevant documents published two months before the Assemblies | 94.4% relevant documents published two months before the Assemblies | ● |
| Satisfaction rate of Member States and stakeholders with the organization of events | 91% - 2015 WIPO Assemblies Survey (82%) | 90% satisfied with events (85%) | Satisfaction with the Assemblies receptions and side-events: - 92% (2016 WIPO Assemblies Survey) - 90% (2017 WIPO Assemblies Survey) | ● |
| Delegates' satisfaction levels with the organization of the Assemblies | 90%-2015 WIPO Assemblies Survey (87%) | 80% satisfied with arrangements | Overall satisfaction: - 92% (2016 WIPO Assemblies Survey) - 92% (2017 WIPO Assemblies Survey) | ● |
| VIII.4 Open, transparent and responsive interaction with non-governmental stakeholders | | | | |
| No. of permanent observer NGOs engaging in WIPO's work and vice versa | In 2014/15, 488 representatives of permanently accredited NGOs attended WIPO committee meetings (tbd) | Maintain or increase engagement | An average of 252 permanently accredited NGOs attended WIPO committee meetings each year, representing 71% of the total number of NGOs attending such meetings in the 2016/17 biennium. 2016: 262 (13 meetings) 2017: 241 (11 meetings) | ● |
| VIII.5 WIPO effectively interacts and partners with UN and other IGO processes and negotiations | | | | |
| New joint initiatives with other UN agencies/IGOs | 2 (1) new initiatives undertaken by the Director General | 2 | 2016: WIPO, WHO, WTO Joint Technical Symposium on Antimicrobial Resistance (AMR): How to Foster Innovation, Access and Appropriate Use of Antibiotics, hosted by WIPO, Geneva, October 26, 2016 (chaired by the Director General) 2017: High-Level Discussions on the Development System Review, initiated by the UNCEB in 2016 and aimed at ensuring that the UN system is well positioned to support the 2030 Agenda for Sustainable Development and Paris Agreement on climate change. | ● |
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | | | | |
| % of queries for legal advice and services which receive prompt responses from OLC | 95% in 2014/15 (same) | 95% | 95% of queries received prompt responses from OLC | ● |
| IX.2 An agile and smooth functioning Secretariat with a well-managed and appropriately skilled workforce which is effectively delivering results | | | | |
| Establishment of a new Organizational Resilience and Business Continuity framework and associated documentation | Current framework is not comprehensive and needs to be replaced | Organizational Resilience and Business Continuity strategies and plans drawn up for the core areas of the Organization | Draft emergency communications strategy was developed, and draft plans were drawn up for 100% of the core critical areas (PCT, Madrid, the Hague, the WIPO Arbitration and Mediation Center) of the Organization, covering 100% of the critical supporting functions. | ● |
| IX.3 An enabling working environment supported by an effective regulatory framework and appropriate channels to address staff concerns | | | | |
| % of WIPO staff aware of services available from Ombuds-Office and informal conflict resolution mechanism | The Staff feedback survey planned for 2015 was not conducted (63%) | 70% | No survey conducted in 2016/17 | ● |
| % of WIPO staff being aware of WIPO ethics principles and policies | The Staff survey planned for the biennium was not conducted (98% - SRP Core Values Survey 2013) | 95% of staff awareness | 86% (2016 Ethics Office Survey) | ● |

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|--|-------------------------|--------------------------------------|---------------------|
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | 2,357 | 265 | 271 |
| VIII.1 More effective communication to a broad public about intellectual property and WIPO's role | - | 79 | 80 |
| VIII.3 Effective engagement with Member States | 7,099 | 7,340 | 7,441 |
| VIII.4 Open, transparent and responsive interaction with non-governmental stakeholders | 462 | 358 | 377 |
| VIII.5 WIPO effectively interacts and partners with UN and other IGO processes and negotiations | 157 | 143 | 145 |
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | 3,694 | 4,025 | 4,102 |
| IX.2 An agile and smooth functioning Secretariat with a well-managed and appropriately skilled workforce which is effectively delivering results | 5,992 | 6,532 | 6,585 |
| IX.3 An enabling working environment supported by an effective regulatory framework and appropriate channels to address staff concerns | 914 | 930 | 999 |
| IX.4 An environmentally and socially responsible Organization in which WIPO staff, delegates, visitors and information and physical assets are safe and secure | - | 8 | 4 |
| Total | 20,675 | 19,680 | 20,006 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 18,130 | 16,143 | 16,744 | 104% |
| Non-personnel Resources | 2,545 | 3,537 | 3,263 | 92% |
| Total | 20,675 | 19,680 | 20,006 | 102% |

Final Budget after Transfers:

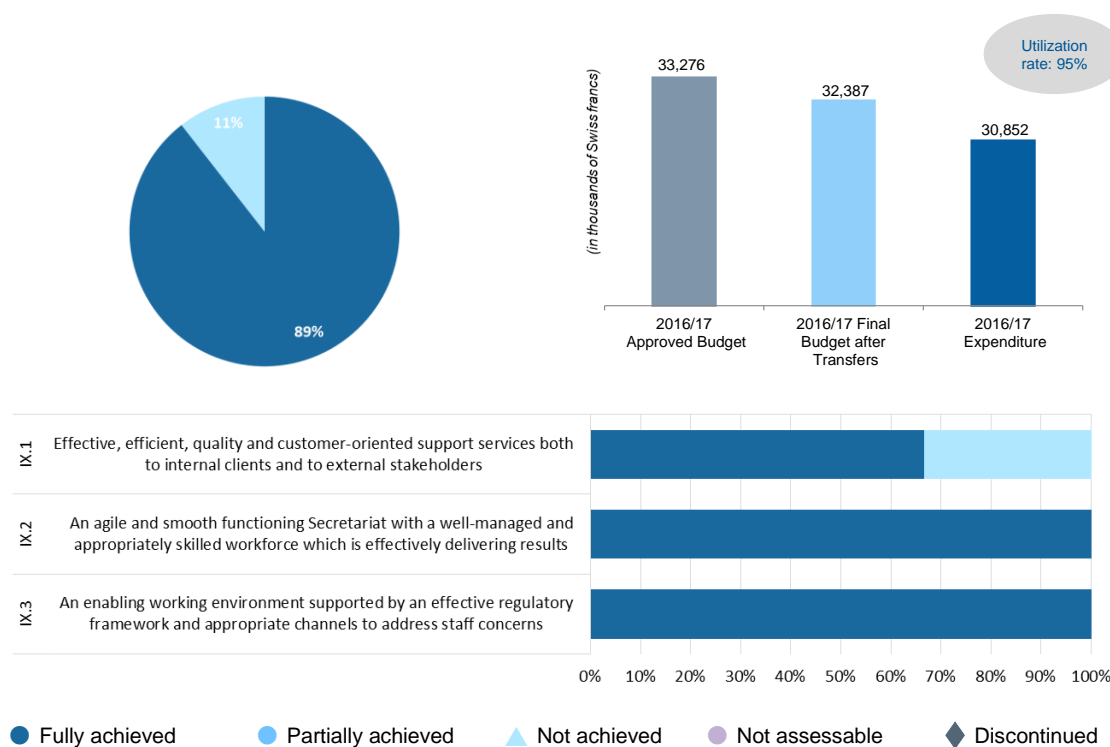
- The decrease in personnel resources was due primarily to the transfer of WIPO Lex to Program 13, as reflected under ER IV.2.
- The increase in non-personnel resources was due primarily to the transfer of additional resources for: (i) the organization of the WIPO International Conference on the Global Digital Content Market; (ii) the organization of various events on WIPO premises; and (iii) protocol-related activities, all reflected under ER VIII.3; and (iv) hospitality costs related to the WIPO Assemblies, reflected under ER IX.3.
- The increase in resources under ER VIII.1 was due to the transfer of the WIPO Awards Program from Program 17.
- The increase in resources under ERs IX.1 and IX.2 was due primarily to the redistribution of personnel resources in line with the annual workplans.

Budget Utilization was in line with the Final Budget after Transfers.

PROGRAM 22 Program and Resource Management

Program Manager Mr. A. Sundaram

Program Dashboard



Key Accomplishments

- Implementation of the investment policy approved by Member States in October 2017 was largely completed by the end of 2017, including the withdrawal of all of the Organization's cash held with the *Administration Fédérale des Finances* (AFF) by December 14, 2017. The timely implementation of the policy coupled with the successful execution of the Organization's investment strategies and the guidance of the Advisory Committee on Investments (ACI) shielded WIPO from the impact of negative interest charges.
- Other treasury-related initiatives included: (i) increased operational capacity and pricing efficiency to transact in forwards and swaps from Credit Suisse to include UBS, *Société Générale* and Bank of America; (ii) implementation of WIPO's daily cash positioning and 3-month rolling cash forecast to manage the Organization's liquidity position, negative interest rate charges and to ensure that, at all times, the Organization has access to sufficient cash resources to meet its financial obligations; and (iii) ensuring pricing efficiency and increasing the competition for foreign exchange (FX) spot transactions with the expansion of FX liquidity providers to include *Société Générale* and Bank of America.
- Safety and risk diversification for operational cash balances was increased by expanding the available investment counterparties by 33 per cent to include additional banks (Barclays Bank PLC, *Credit Mutuel* and Raiffeisen) that meet WIPO's credit rating criteria.
- To provide more flexibility and better serve clients: (i) a Dynamic Currency Converter (DCC) was implemented, reducing the credit card margin from 2.2 per cent down to 1.4 per cent, lowering charges and providing more choice for clients; (ii) the e-Pay platform was expanded to cover the WIPO Arbitration and Mediation Center; and (iii) the current account system was redesigned to provide clients with easier settlement and refund options and easier possibilities for opening and maintaining accounts.
- Significant progress was made in strengthening WIPO's internal controls, with a systematic self-assessment applied to 39 Entity Level Controls (ELCs) to assess control effectiveness and maturity. This served as the basis for

evidence-based sign-off by senior officials of Management Representation Letters (MLRs) as part of the annual financial closure and within the context of the audit of the financial statements. The scope of the ISO 27001 certification was expanded in 2017 to include two additional key processes in the area of resource management (Hire-to-Retire and Procure-to-Pay) in order to further strengthen the control system.

- Efforts made to strengthen WIPO's follow up of Joint Inspection Unit (JIU) recommendations resulted in WIPO being ranked number one, jointly with International Civil Aviation Organization (ICAO), for rates of acceptance and implementation of JIU recommendations, as compared to the previous rankings (as at February 2015) of 19th and 16th, respectively, among all participating organizations.
- Under the ERP the implementation of the new recruitment tool Taleo resulted in efficiency gains in recruitment lead time as compared with the previous biennium, with the average recruitment time down 11 percentage points to 17.6 weeks from 19.77 weeks in 2014/15. Progress was made on several other ERP projects including talent management, contacts management, time management and self-service¹⁷². A comprehensive review of the payment architecture was carried out as part of the Revenue Management project. The Revised ICSC Compensation package was successfully implemented, and PCT forecasting and budgeting for translation was improved through the use of WIPO's Enterprise Performance Management (EPM) planning tool.

DA Highlights

Mainstreaming of DA Projects: With respect to further embedding a results-based culture and strengthening WIPO's performance cycle, including for development activities¹⁷³, the biennial and annual planning and other RBM processes, continued to be enhanced, including, inter alia: (i) the introduction of position-level planning and integration of workforce planning in the EPM system to drive linkages between Programs' expected results, human resources needs and individual staff objectives closer together; (ii) more systematic monitoring of workplan implementation, including both mid-year and end-year organization-wide reviews, enabling better-informed decision making; and (iii) alignment of the organization results framework with the SDGs.

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|---|---|---|
| Income levels decrease significantly below planned. This combined with an inability to react promptly in order to reduce expenditure to an appropriate level would potentially create a deficit and have detrimental impact on Program delivery. | The risk did not materialize in the biennium. | The Secretariat closely monitored income and expenditure forecasts on a quarterly basis and maintained the appropriate level of reserves. | The performance target relating to expenditure and reserves was fully achieved. |
| In the context of a risk-averse Organization and a change in the Swiss National Bank's policy regarding the managing of accounts for international organizations, the risk of increased expenditure as well as a reduction in net assets (reserves) may occur owing to: (i) negative interest rates; (ii) additional charges for multiple placements; and (iii) lack of full capital guarantee to cover the liquid assets which will need to be placed with multiple lower rated commercial banks. | The risk of increased expenditure coupled with a reduction in assets did not materialize during the biennium. | The multi-layered mitigation plan was effective. The investment of core and strategic cash in accordance with the new Investment Policy began in autumn 2017, with all of the Organization's cash held with the <i>Administration Fédérale des Finances</i> (AFF) being withdrawn in December 2017. Core and strategic cash were invested in a range of asset classes with varying risk profiles (monies held with the AFF were "risk free"). Operating cash was managed during the period (across multiple banks) to minimize negative interest rates to the greatest extent possible. The credit status of those banks with which WIPO work were closely monitored during 2017. | Core and strategic cash investments made during 2017 performed well during the few months for which they were held, finishing the year with annualized gains of 1% and 8% respectively, and resulting in only a nominal amount of negative interest (2,230 CHF) being incurred on operating cash in 2017. |

Looking Forward

- The number of high priority incidents logged for the AIMS system remained open for an average of 31 days in 2016/17, exceeding the eight-day target. To more efficiently address such issues moving forward, the AIMS Service Desk was reorganized at the end of 2017. In addition, building on experience gained in other parts of the Organization, a new and streamlined, ITIL-compliant incident management system will be implemented in 2018/19 in order to ensure that services are restored as quickly as possible, while minimizing the impact to the business.

¹⁷² Please see Annex XI Reserve Funded Projects for more details.

¹⁷³ Following the closure of the project on Enhancement of WIPO's Results Based Management (RBM) Framework to Support the Monitoring and Evaluation of Development Activities.

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|--|--|--|-----|
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | | | | |
| Provision of financial and management reports and analysis required by senior management, Program Managers and Member States in accordance with agreed deadlines | Monthly closure on the 10 th working day or earlier for 10 months. Exceptions were January and October, as a result of the system upgrade (<i>same</i>) | Same as baseline | Monthly closure on the 10th working day or earlier for 10 months. Exceptions were January (as per baseline) and December (closed in accordance with the closure planning as per baseline). | ● |
| No. of PBC documents submitted on time to the Member States | 18% (12%) on the basis of 8 week deadline | 20% (15%) on the basis of 8 week deadline | 38% on the basis of 8 week deadline | ● |
| WIPO's ERP system (AIMS) is operating efficiently according to business needs and in line with best practices | Uptime of AIMS: 99.93% in 2015 (99.80%) | Uptime of AIMS is greater than 99.90% | In 2016/17: Average uptime of AIMS: 99.90% | ● |
| | Highest no. of high priority Incidents open at any one time: 31 (25) | No more than 20 high priority incidents are open at any one time | Maximum no. of high priority incidents open at any one time: 17 | ● |
| | | High priority Incidents are not open longer than 8 days | Average no. of days high priority incidents were open: 31 days | ▲ |
| ERP projects are delivered according to plan and within the budget of the portfolio | Updated Plan as communicated to Member States in 2015. Budget as approved by Member States in 2010 | In accordance with plan | ERP projects delivered to-date were within the budget of the portfolio. Not all projects were delivered according to the plan communicated to Member States in 2015. Following review by the portfolio board, some planned projects did not meet the criteria for inclusion in the portfolio and were removed from the scope, while other projects were re-scoped and new projects added ¹⁷⁴ . | ▲ |
| IX.2 An agile and smooth functioning Secretariat with a well-managed and appropriately skilled workforce which is effectively delivering results | | | | |
| Satisfactory financial report from the External Auditors confirms the conformity of financial operations to the provisions of the applicable WIPO conventions and treaties, the WIPO Financial Regulations and Rules and IPSAS | Clean audit reports received for 2014 and 2015. Answers provided to all audit recommendations received during 2014 and 2015. (<i>same</i>) | Clean audit report for both years of the biennium | Clean audit reports received for the 2015 and 2016 financial statements. The final audit of the 2017 financial statements will commence in April 2018. Answers provided to all audit recommendations received during 2016 and 2017. | ● |
| Enhanced maturity of managing for results (RBM) | Average maturity level ¹⁷⁵ : 3.6 (2) | Maturity level: 4 (3) | Average maturity level: 4 ¹⁷⁶ | ● |
| Return on invested funds in line with benchmarks established by the Investment Advisory Committee (IAC) | Investments continued to be with Swiss authorities, in line with the benchmark established in 2014/15. From mid-October, 2015, the benchmarks changed with the introduction of a new investment policy (<i>same</i>) | Return on invested funds in line with the benchmark established in the new investment policy ¹⁷⁷ (<i>benchmark established by the IAC in 2016/17</i>) | The investment return on operating cash exceeded the benchmark established in the new investment policy by approx. 73 basis points (bps) for CHF and 55 bps for Euros. 82% of the cash earmarked for strategic & core cash was invested by 31 December, 2017. Strategic cash and core cash returns were in line with the established benchmark, adjusted to reflect the implementation phase of the strategy. | ● |

¹⁷⁴ For additional information, please refer to the Progress Report on the Implementation of a Comprehensive Integrated Enterprise Resource Planning (ERP) System ([WO/PBC/25/14](#)) and the Final Progress Report on the Implementation of a Comprehensive Integrated Enterprise Resource Planning (ERP) System ([WO/PBC/27/10](#)).

¹⁷⁵ The scale (1-5) and ratings are based on the findings of the Joint Inspection Unit's System-wide Review of RBM in the UN System conducted in 2015. The rating scale: Stage 1-Not started; Stage 2-Exploration for mainstreaming; Stage 3-In the process of mainstreaming; Stage 4-Fully mainstreamed and continuous learning for refinement/adjustment; Stage 5-Evaluation and renewal

¹⁷⁶ Self-assessment using the JIU rating scale.

¹⁷⁷ Revised Policy on Investments: [WO/PBC/24/10](#)

| | | | | |
|---|---|---|--|---|
| Effective management of expenditure and reserves | Approved Budget 2016/17: 707,036 million CHF (<i>same</i>) | Expenditure managed within the overall budgetary envelope but expenditure not to exceed income (should income be exceptionally foreseen to drop below planned expenditure levels) | Actual expenditure regular budget 2016/17: 688.7 million CHF (before IPSAS adjustments) Net assets as at December 31, 2017: 202.7 million CHF | ● |
| Payments (including Madrid and Hague fees) made on time | All invoices were paid in accordance with baselines except for ex-post facto invoices or where there was no requisition in the system. | 90% of payments to be made in accordance with the terms of the suppliers (<i>90% of payments to be made within three days of receipt of invoice</i>) | 94% of invoices paid within 7 days of the payment terms or receipt date. 90.1% of invoice amounts paid in accordance with the payment terms of the supplier | ● |
| | Monthly distributions were paid/credited to a current account/applied against contributions in the following month as required by Regulations. | | Monthly distributions were paid/credited in accordance with standing instructions, credited to a current account or applied against contributions in the following month, as required by Regulations. | ● |
| | <i>(90% of payments made within seven days of payment terms or receipt date - in case of late receipting - for those without other workflow issues (e.g. PO not dispatched, etc.)</i> | | | |
| IX.3 An enabling working environment supported by an effective regulatory framework and appropriate channels to address staff concerns | | | | |
| Financial Regulations and Rules and relevant Office Instructions (OIs) up to date | OIs issued in 2014 and 2015. FRR amended in 2014 and 2015, as deemed necessary (<i>same</i>) | Review and revision of regulatory framework if/as appropriate | OIs issued in 2016 and 2017. FRR was amended in 2016 and in 2017, as deemed necessary. | ● |
| Increase in maturity of Risk Management and Internal controls, in accordance with the Roadmap | 80% (<i>75%</i>) progress on Roadmap for Risk Management | 100% progress on Roadmap for Risk Management; | 100% progress on Roadmap for Risk Management. | ● |
| | 30% (<i>25%</i>) progress on Roadmap for Internal Controls | 80% progress on Roadmap for Internal Controls | 75% progress for Internal Controls - Assessment of all ELCs to support evidence based sign-off for MLRs - Process Level Controls identified for FRR and SRR related to processes - Control assessment schemes in place - Control validation role formalized in WIPO's Risk Management Policy | ● |
| Effective follow-up of oversight recommendations | EA = 62% (<i>47%</i>) of rec's closed in 2015 of those outstanding end 2013 (whole organization) | EA = 65% (<i>55%</i>) of rec's closed in 2016/17 of those outstanding end 2015 | EA = 79% of rec's closed in 2016/17 of those outstanding end 2015 | ● |
| | IOD = 82% (<i>64%</i>) of rec's closed in 2015 of those outstanding end 2013 (Program 22) | IOD = 85% (<i>70%</i>) of rec's closed in 2016/17 of those outstanding end 2015 | IOD = 86% of rec's closed in 2016/17 of those outstanding end 2015 | ● |
| | JIU = 87% (<i>61%</i>) of rec's closed in 2015 of those outstanding end 2013 (starting with 2010) | JIU = 70% (<i>same</i>) of rec's closed in 2016/17 of those outstanding end 2015 (starting with 2010) | JIU = 77% of rec's closed in 2016/17 of those outstanding end 2015 (starting with 2010) | ● |

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------------|--|------------------------|
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | 13,229 | 13,114 | 12,675 |
| IX.2 An agile and smooth functioning Secretariat with a well-managed and appropriately skilled workforce which is effectively delivering results | 16,744 | 15,520 | 14,688 |
| IX.3 An enabling working environment supported by an effective regulatory framework and appropriate channels to address staff concerns | 1,626 | 2,197 | 2,067 |
| IX.8 Improved accountability, organizational learning, value for money, stewardship, internal control and corporate governance through assistance from effective and independent oversight | 1,677 | 1,555 | 1,421 |
| Total | 33,276 | 32,387 | 30,852 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------------|--|------------------------|-------------------------|
| Personnel Resources | 23,453 | 22,468 | 21,988 | 98% |
| Non-personnel Resources | 9,822 | 9,919 | 8,863 | 89% |
| Total | 33,276 | 32,387 | 30,852 | 95% |

Final Budget after Transfers:

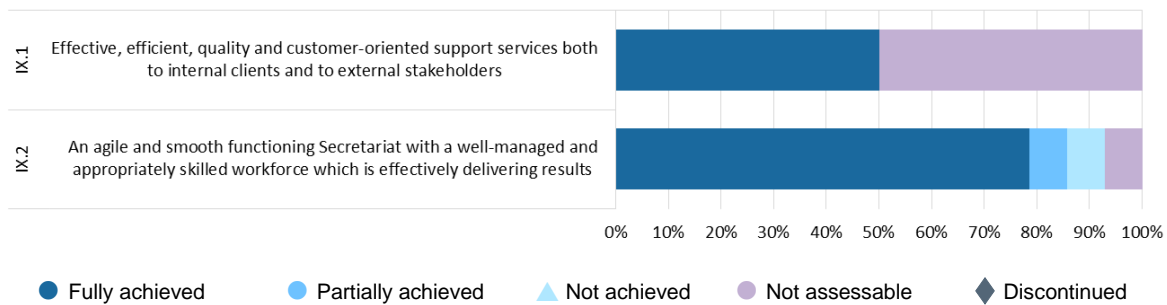
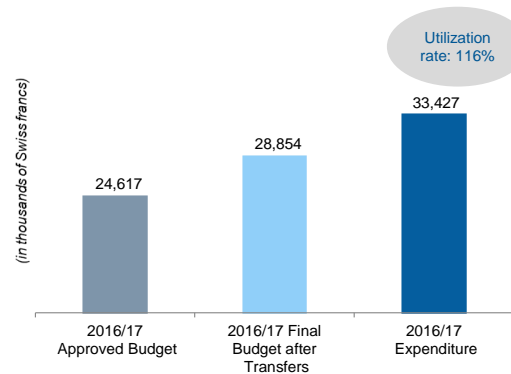
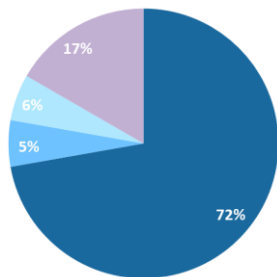
- The net decrease in personnel resources was the result of: (i) reclassifications and completed regularizations of continuing functions; (ii) the transfer of two positions (one temporary) into the Program to strengthen Risk Management, reflected under ER IX.3, and Financial Reporting; (iii) shift of resources to non-personnel to reinforce financial services, in particular, treasury management; and (iv) the redeployment of accrued savings to other organizational priorities, reflected under ER IX.2 and IX.8.
- The slight net increase in non-personnel resources resulted primarily from the shift of resources from personnel as referenced above and a downward adjustment of the budget due to the avoidance of negative interest rate payments, reflected under ER IX.2.
- The slight decrease in resources under ER IX.1 was primarily due to the redistribution of personnel resources to ER IX.3 in line with the annual workplans.

Budget Utilization: The slight under-utilization of non-personnel resources was primarily due to improved management of interpretation costs for the PBC, IAOC, and operation and enhancement of the Administrative Integrated Management System (AIMS).

PROGRAM 23 Human Resources Management and Development

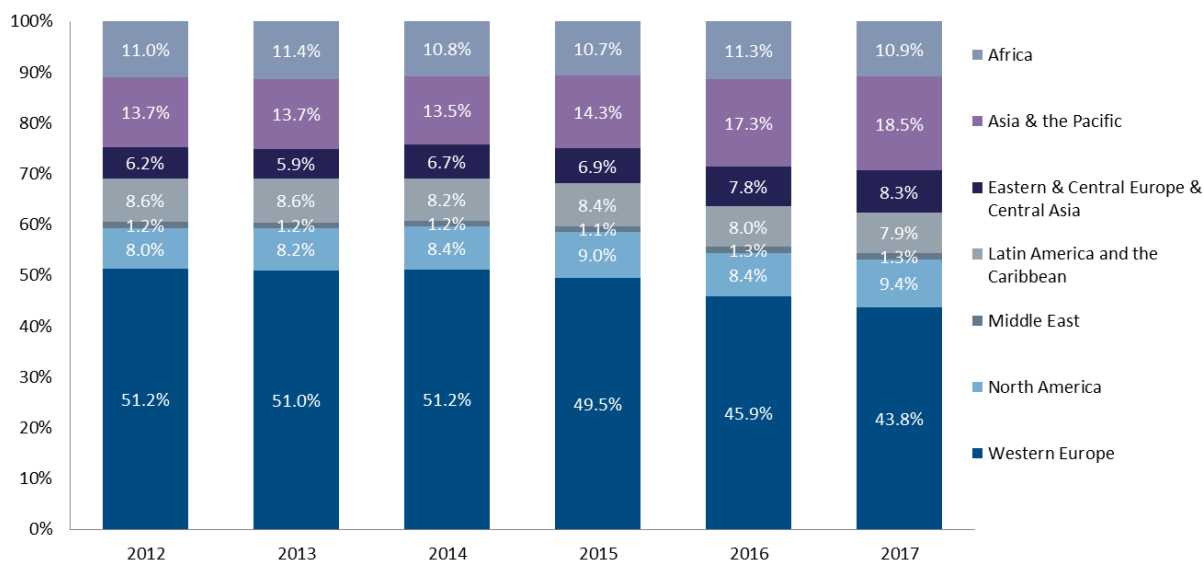
Program Manager Director General

Program Dashboard

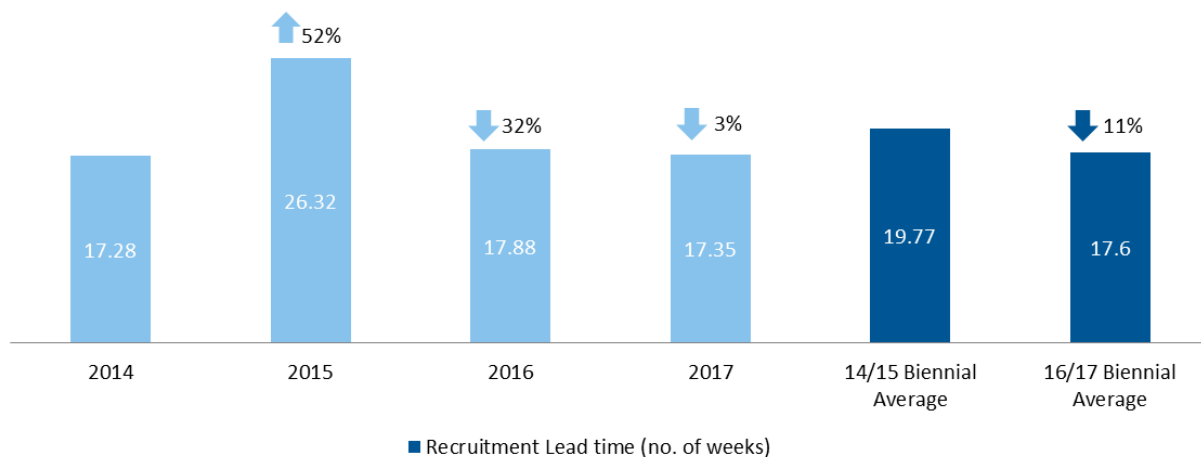


Key Accomplishments

- The Human Resource (HR) Strategy 2017-2021 was approved by Member States in 2017, which reinforced and updated the initial HR Strategy approved in 2013. During the biennium, the Program proactively engaged with staff and managers alike to ensure the efficient and effective delivery of results.
- With regard to geographical diversity among WIPO staff, 2016/17 saw an increase in the number of Member States represented reach an all-time high of 120. The proportion of staff members from certain regions, in particular Asia and the Pacific, Eastern and Central Europe and Central Asia, as well as North America, increased, balanced by a 5.7 per cent decrease from 2015 in the percentage of staff members from Western Europe, who no longer make up over half of the Professional and higher categories, as illustrated in the chart below.



- Efficiency gains were achieved in recruitment lead time as compared with the previous biennium, with the average recruitment time down 11 per cent to 17.6 weeks from 19.77 weeks in 2014/15.



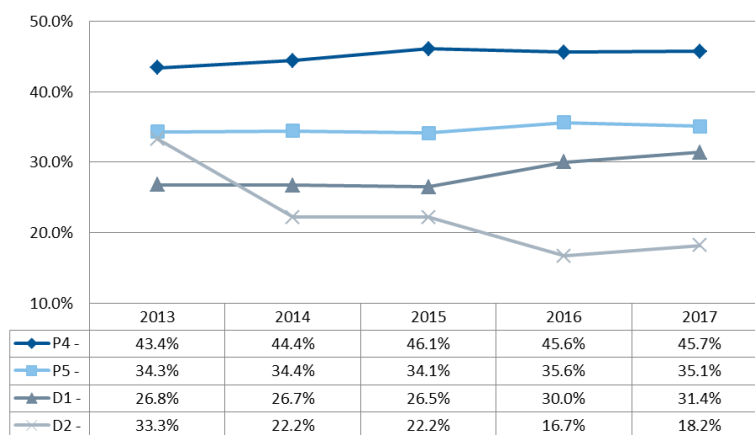
- A new electronic recruitment platform, TALEO, was introduced in April 2016. The publication and management of all vacancies in the new recruitment system allowed for improved reporting and tracking capabilities. Enhanced integration between the new recruitment system and the existing HR platform in 2017 further facilitated the transfer of information and a more consistent user experience for all HR and administrative transactions.
- With respect to performance management, a new system for the processing of performance cycles of regular staff members and a new learning management system were developed under the ERP project, both to be launched at the beginning of 2018. Various learning and development initiatives were carried out, in particular the second pilot “Talent” program, “EMERGE”— an inter-agency program for emerging women leaders, and career coaching.

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|---|--|--|--|
| Rapidly evolving external business environment requiring new processes, skills and IT solutions, may lead to misalignment of workforce in critical WIPO business areas. This could lead to high costs for additional short term staff, process inefficiencies, backlogs in critical business areas, and a diminished WIPO reputation. | The risk materialized in specific areas of WIPO’s operational activities; however the impact was minimized through effective mitigation. | The mainstreaming of the workforce planning process and integration with WIPO’s biennial planning, which required Program Managers to take a more holistic approach to determining the human resource needs for the biennium in the context of their biennial plan, contributed to effectively mitigating this risk. Policy changes also permitted more flexibility to attract new talent. | Significant negative impact on organizational performance was averted. |

Looking Forward

- WIPO's commitment to mainstreaming the gender perspective in WIPO activities and its time-specific goal for achieving gender balance at all staffing levels continued in 2016/17. To this end, defining gender markers was integrated into planning processes, facilitated by a dedicated area in the EPM planning system, and the pilot program for the career development of women in middle-management, which was launched in 2015 to promote gender equality in the workplace, was successfully implemented in 2016/17. However, meeting the gender balance targets remained challenging, in particular at the senior management levels. Appointments of women and retirements of men at the P5 and D1 levels succeeded in reducing the gender gap at these levels.



Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|--|-----------------------------------|---|-----|
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | | | | |
| % of staff satisfied with human resource services | No survey was conducted in 2014/15 (79.9%) | 85% highly satisfied or satisfied | No survey was conducted during the biennium. | ● |
| Increase in automated versus currently manually-processed actions | 17% (0%) automated; 3 of 18 | 67% | 13 additional processes automated in 2016/17 ¹⁷⁸ for a cumulative total of 89% (16 out of 18) | ● |
| % of queries processed within 5 working days | 94.7% ¹⁷⁹ of queries registered in the WINS ticketing system were responded to in five working days (tbd) | 95% (90%) | Statistics were unavailable for the biennium as the WINS ticketing tool was replaced by Outlook to improve services to users. | ● |
| Optimized insurance coverage | Collective medical insurance protection rate: 87.7% (tbd) | Maintain level (tbd) | 2016: 87.8% 2017: 87.7% | ● |

¹⁷⁸ (i) Self-service contract extension (phase I: temporary, fellows and interns); (ii) Self-service contract extension (phase II: fixed-term); (iii) Full automation of education grant self-service; (iv) Submission of dependency documents (phase I); (v) Interface of HR information for submission to the UNJSPF; (vi) Medical insurance – automation of letter to retirees; (vii) Voluntary accident insurance – automation of letter to retirees; (viii) Voluntary life insurance – automation of letter to retirees; (ix) Calculation of rental subsidy; (x) Self-service address input and change; (xi) GPAFI loss of earnings insurance premium deduction from salary; (xii) Leaves and absences (first limited go live); (xiii) ASHI deduction from pension

¹⁷⁹ Corrigendum: The percentage of queries processed within five working days was reported at 100% in the PPR 2014/15 under a different performance indicator.

| Performance Indicators | Baselines | Targets | Performance Data | | PIE | |
|--|---|---|--|----------------------------|-------------|---|
| IX.2 An agile and smooth functioning Secretariat with a well-managed and appropriately skilled workforce which is effectively delivering results | | | | | | |
| % of women in professional and higher positions ¹⁸⁰ | P4: 46.1% (44.4%) | P4: 47% (46%) | 2016 | 2017 | ● | |
| | P5: 34.1% (34.4%) | P5: 35% (35%) | P4: 45.6% | 45.7% | ● | |
| | D1: 26.5% (26.7%) | D1: 30% (30%) | P5: 35.6% | 35.1% | ● | |
| | D2: 22.2% (22.2%) | D2: 30% (30%) | D1: 30.0% | 31.4% | ▲ | |
| Recruitment lead time | Biennium average: 19.77 | 19 weeks | Biennium average: 17.6 weeks ¹⁸¹ | | ● | |
| % of staff whose performance is evaluated against their individual objectives and competencies | 2014: 93.1% (82.9%) 2015: 94.7% ¹⁸⁴ (as of April 30 in every following year) | 95% (90%) | 2016: 93.8% ¹⁸⁵ | 2017: 91.1% | ● | |
| No. of days to: (i) notify staff of decisions on RfR/grievances, (ii) notify staff of decisions on rebuttals/disciplinary cases and (iii) provide responses to requests for advice | (i) 60 days from receipt of RfR/response to grievance | (i) 60 days from receipt of RfR/response to grievance (same) | (i) 60 days from receipt of RfR / 60 days from receipt of response to grievance | | ● | |
| | (ii) 30 days from receipt of rebuttal; 35 days from response to charge letter and | (ii) 30 days from receipt of response to rebuttal/response to charge letter and (30 days from receipt of rebuttal/response to charge letter and) | (ii) 30 days from receipt of response to rebuttal/30 days from receipt of response to charge letter | | ● | |
| | (iii) 1 working day from receipt of request (n/a) | (iii) 5 working days from receipt of request (10) | (iii) Out of 788 requests for advice received in 2016 and 2017, a response was provided within 1 day in 88.3% of cases, within 2 to 5 days in 10.9% of cases, and within more than 5 working days in 0.8 % of cases. | | ● | |
| Geographical diversity: % of staff ¹⁸⁶ per region | | Agreement among Member States on WIPO's policy on geographical distribution | 2016 | 2017 | ● | |
| | Africa: 11.2% (10.8%) | | - Africa | 11.3% | 10.9% | |
| | Asia and Pacific: 16.3% (13.5%) | | - Asia & the Pacific | 17.3% | 18.5% | |
| | Eastern and Central Europe & Central Asia: 7.5% (6.7%) | (WIPO's policy on geographical distribution requires consideration by Member States) | - Eastern & Central Europe & Central Asia | 7.8% | 8.3% | |
| | Latin America and the Caribbean: 8.6% (8.2%) | | - Latin America & the Caribbean | 8.0% | 7.9% | |
| | Middle East: 1.2% (same) | | - Middle East | 1.3% | 1.3% | |
| | North America: 9.1% (8.4%) | | - North America | 8.4% | 9.4% | |
| | Western Europe: 46.2% (51.2%) | | - Western Europe | 45.9% | 43.8% | |
| No. of applications received from unrepresented Member States as a % of total | 7.1% (tbd) | 8% (tbd based on % increase between 2014-2015) | 2016/17: 9.38% ¹⁸⁷ | 2016: 7.23% ¹⁸⁸ | 2017: 10.7% | ● |
| Enhanced maturity of HR Planning | Stage 2 ¹⁸⁹ (tbd) | Stage 3 (tbd) | Stage 3 – in the process of mainstreaming | | ● | |

¹⁸⁰ Regular-funded staff on fixed-term, permanent and continuing appointments, based on post grade

¹⁸¹ The recruitment lead time calculation is approximate, given that on-going competitions were unaccounted for in the data and will be corrected in the following reporting year, when all relevant competitions are complete.

¹⁸² Corrigendum: Recruitment lead time for 2016 was 17.88 weeks, not 18.81 as was published in the PPR 2016.

¹⁸³ Based on available data as of February 16, 2018, at which time 25 competitions were still on-going; to be finalized by end June 2018.

¹⁸⁴ Corrigendum: The percentage was 94.7% in 2015, not 92.8% as reported in the PPR 2014/15.

¹⁸⁵ Corrigendum: The percentage was 93.8% in 2016, not 92.7% as reported in the PPR 2016.

¹⁸⁶ Only posts in the Professional and higher categories that are subject to geographical distribution.

¹⁸⁷ Based on applications to fixed-term posts in the Professional categories and above.

¹⁸⁸ Corrigendum: The percentage of applications received from unrepresented Member States in 2016 was 7.23 per cent and not 7.9 per cent, as reported in the PPR 2016.

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|---------------------------|---|--|-----|
| % of trainings needs fulfilled of which: (i) critical collective training needs and (ii) individual training needs | (i) 2014/15: 81% (81.04%) | (i) 80% of the needs in the biennium are addressed by a training program (60%) (ii) 65% of individual training needs are fulfilled (55%) | (i) 79.75% for 2016/17 2016: 40.4% 2017: 39.4% | ● |
| | (ii) 2015: 62% (60.94%) | | (ii) 2016: 60.4% 2017: 63.4% | ● |

Resource Utilization

Budget and Expenditure (by result) (in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------|--------------------------------------|---------------------|
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | 12,096 | 12,435 | 11,809 |
| IX.2 An agile and smooth functioning Secretariat with a well-managed and appropriately skilled workforce which is effectively delivering results | 12,521 | 16,419 | 21,618 |
| Total | 24,617 | 28,854 | 33,427 |

Budget and Expenditure (personnel and non-personnel) (in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 18,835 | 21,940 | 27,190 | 124% |
| Non-personnel Resources | 5,782 | 6,914 | 6,237 | 90% |
| Total | 24,617 | 28,854 | 33,427 | 116% |

Final Budget after Transfers:

- The increase in personnel resources as compared to the 2016/17 Approved Budget was primarily due to an increase in the provision for rewards and recognitions.
- The increase in non-personnel resources as compared to the 2016/17 Approved Budget was primarily due to the funding of: (i) the hosting of the 83rd session of the ICSC; (ii) the organization of gender workshops and lunch-time side-events at the Assemblies for WIPO Delegates; (iii) a survey on time management; (iv) the WIPO Appeal Board; (v) the processing of Education Grants, collection of receivables for ASHI premiums, implementation of the new ICSC compensation package and the provision of on-site medical services; (vi) occupational safety and health assessments; and (vii) increased costs of UN shared activities.

Budget Utilization: The personnel budget utilization rate *inter alia*, reflected the charging of a provision in 2016 for litigation costs totaling 6.2 million Swiss francs. In 2016, an initial provision of 6,198,342 Swiss francs was raised and charged to the budget. In 2017, this provision was adjusted downwards by 4,459,961 Swiss francs, bringing the total of the provision to 1,738,381 Swiss francs (the downwards adjustment of 4,459,961 Swiss francs was recognized as miscellaneous income in the financial accounts). Therefore, the actual budgetary need for litigation in the biennium amounted to 1,738,381 Swiss francs.

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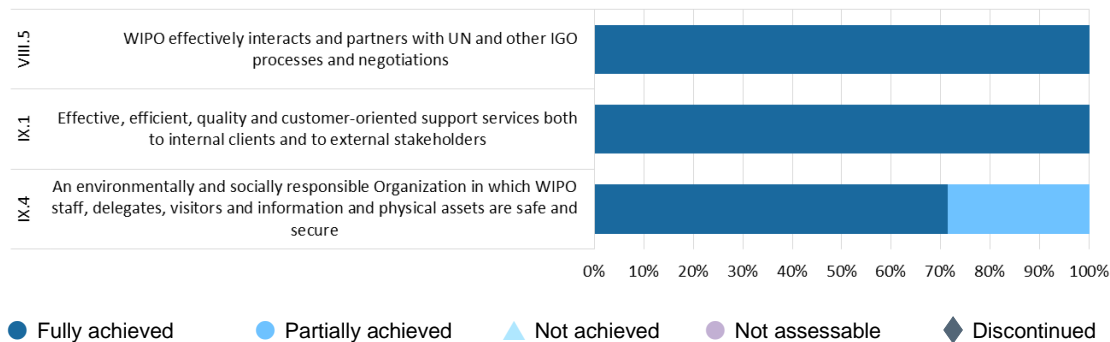
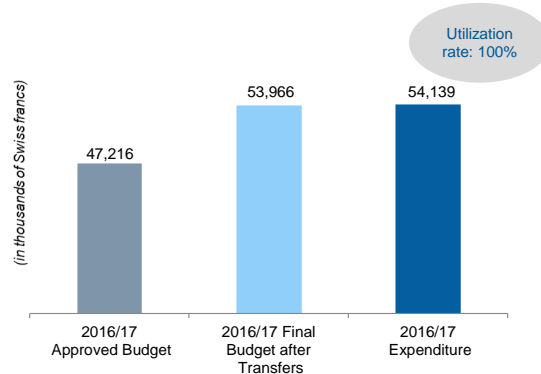
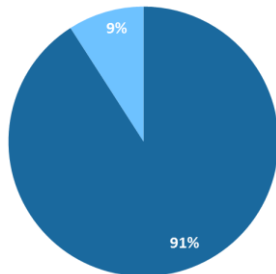
¹⁸⁹ The scale and ratings are based on the Joint Inspection Unit System-wide Review of RBM in the UN System. The issuance of the report is still pending. The rating scale: Stage 1-Not started; Stage 2- Exploration for mainstreaming; Stage 3- In the process of mainstreaming; Stage 4- Fully mainstreamed and continuous learning for refinement/adjustment; Stage 5- Evaluation and renewal

PROGRAM 24

General Support Services

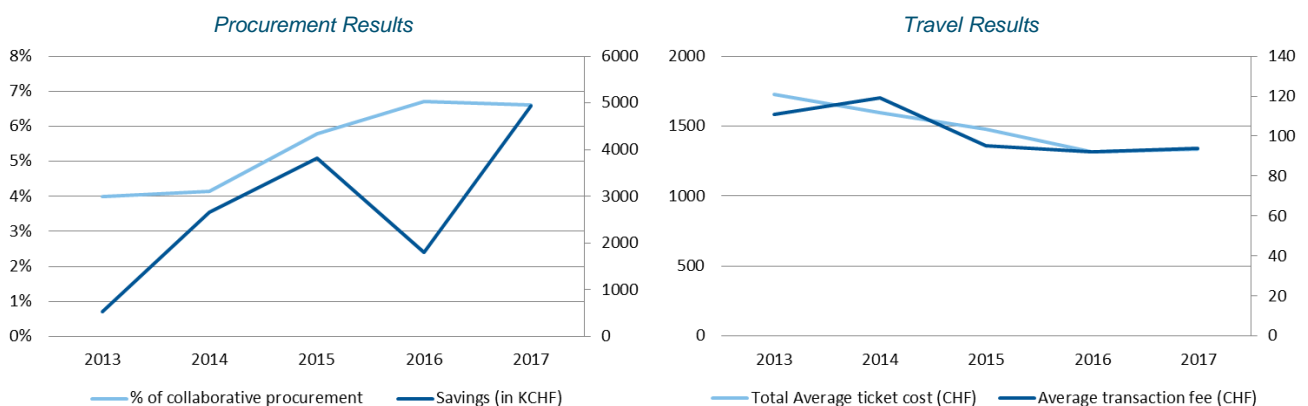
Program Manager Mr. A. Sundaram

Program Dashboard



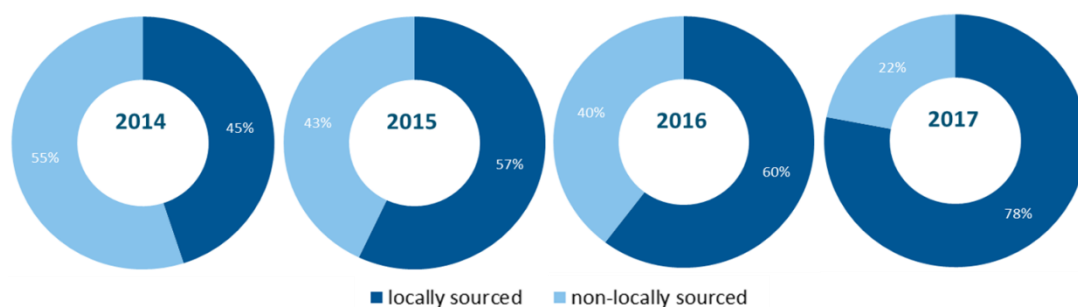
Key Accomplishments

- Procurement initiatives launched at the start of the biennium with a view to optimizing the cost of WIPO procured goods and services and streamlining its processes resulted in overall savings of 6.7 million Swiss francs for the biennium.
- Uptake in the usage of WIPO's Online Booking Tool (OBT) reached 73 per cent of non-UNDP tickets by the end of 2017, enabling a further 10 per cent decrease in the global average ticket fare compared to 2015. The average transaction fee remained stable.

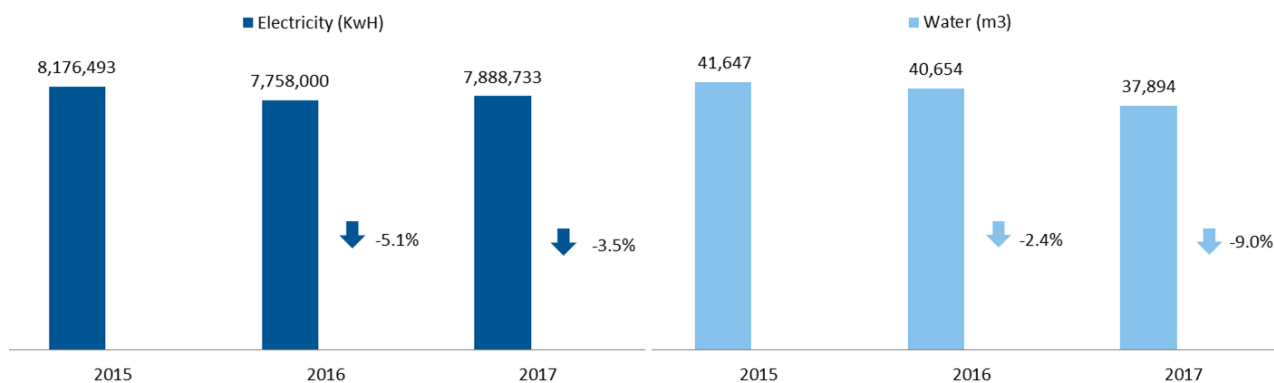


- The percentage of locally sourced goods and services for development activities increased to 78 per cent, an 18 percentage point increase over 2016 and a 21 percentage point increase over 2015.

% of Locally Sourced Goods & Services for Development Activities



- Following a comprehensive review in 2017, WIPO's procurement policies and procedures were further enhanced to ensure a more agile and efficient procurement process, in particular through the implementation of Long Term Agreements (LTAs), while promoting UN cooperation.
- With regard to WIPO's efforts to limit its impact on the environment, consumption of water and electricity saw decreases in both 2016 and 2017, as compared to the baseline set in 2015, the latter mainly due to the installation of presence detectors and energy efficient light fixtures.



The percentage changes for both 2016 and 2017 are as compared to the 2015 baseline.

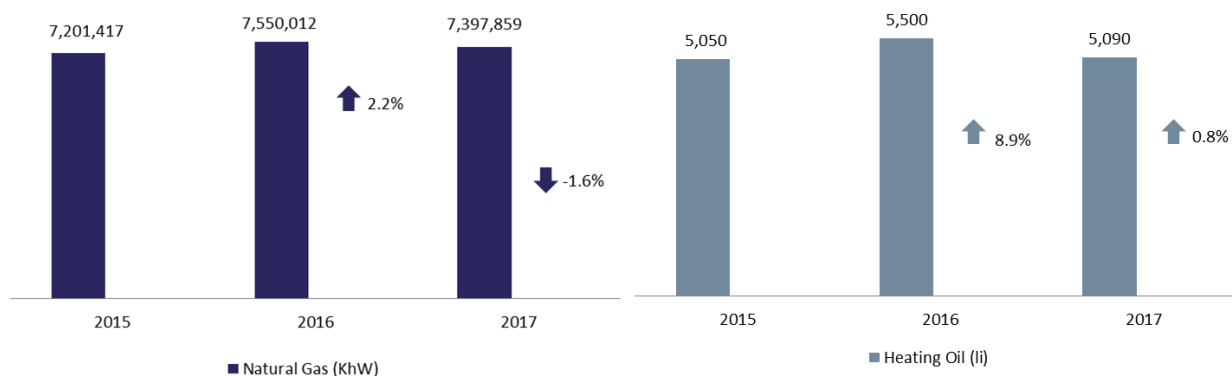
- WIPO received a Certificate from the Swiss Federal Office of Energy (SFOE) for the period 2017-2018, recognizing the contribution to protecting the environment (CO₂ and kWh reduction) under the framework of a *Convention d'objectifs* between WIPO and the Host Country, signed in 2015 for a ten-year period.
- WIPO met its climate neutral objective for the period 2014-2020, as set by the UN Secretary General in 2014 for UN agencies, and received, in 2017, UNFCCC Clean Development Mechanism Certificates recognizing the voluntary offsetting of unavoidable carbon emissions caused by building facilities and travel for the years 2015 and 2016.
- The WIPO campus underwent several major renovations during the biennium, including the upgrade of the medical unit to a hospital-type environment and the completion of a single main printshop (partly under Capital Master Plan 5). In addition, public or semi-public spaces utilized by internal and external clients and delegates were upgraded, bringing the areas concerned into full compliance with current Host Country and/or industry standards.
- WIPO organized and hosted the first roundtable on physical accessibility for Geneva-based UN agencies and other IGOs, with 15 agencies participating. The aim of the roundtable was to establish a framework for sharing experiences, lessons learned and creating synergies to improve the physical accessibility on premises for employees, delegates and visitors.

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|---|---|---|--|
| Failure of key suppliers to deliver services triggers a disruption to the service provided to our external customers. | Although an isolated incident of supplier service failure occurred, service provided to external customers was not significantly affected. | The Organization effectively managed its risks concerning contracts that were considered to be of high risk and vital for a continued operation. The contingency plan for the incident that occurred limited any negative impact. | No significant disruption to external service provision was recorded as a result of supplier delivery failure. |
| Loss of safe access to, or impossibility to occupy, one or more buildings for a given period of time. | The risk did not materialize due to the implementation of a continuous anticipatory strategic approach. The risk was also significantly reduced in the long term for the newly renovated areas, as the lifetimes for the installations and equipment were reset and new technologies introduced to manage them. | The mitigation plan, namely the renovation of certain premises and major preventative maintenance of certain key technical installations, was effectively implemented. Organizational resilience measures in place, including redundancy or back-up systems, proved to be appropriate and successful. | Performance was not affected since the effective mitigation ensured that the risk did not materialize. |
| Inability for WIPO, as a UN agency, to be effectively climate neutral by 2020. | This risk was avoided through adherence to the UNFCCC Clean Development Mechanism in Q4 2015. | The mitigation plan to offset carbon and other emissions resulted in the 2015 Agreement with UNFCCC, permitting the compensation for the unavoidable greenhouse gas emissions from the WIPO facility and travel operations for the biennium. | Performance was not affected since the effective mitigation ensured that the risk did not materialize. |

Looking Forward

- The increase in the consumption of natural gas as compared to the 2015 baselines was mainly due in both years to: (i) an increase in energy consumption from the Geneva Lake cooling system; and (ii) colder winter temperatures. The increase in the consumption of heating oil as compared to the 2015 baselines was mainly due to the decision to carry out longer-duration periodic tests of emergency generators during the course of 2016. In 2017, only a nominal increase was observed. Initiatives aimed at maintaining heating oil and natural gas consumption, *inter alia*, at levels commensurate with the evolving local weather conditions, will continue to be pursued in 2018/19.



The percentage changes for both 2016 and 2017 are as compared to 2015. The percentage changes for Natural Gas factor in the comparability of weather conditions. (see Performance Data table below)

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|--------------|---|----------------------------|-----|
| VIII.5 WIPO effectively interacts and partners with UN and other IGO processes and negotiations | | | | |
| % of locally sourced goods and services compared to total amount procured for development activity | 57% (45%) | At least 50% (Equal or higher than 2014 result) | 2016: 60.3% 2017: 78.0% | ● |
| % of spend subject to UN leverage (either common tender or piggy-backing) | 5.8% (4.15%) | Equal or higher than 2015 result (Equal or higher than 2014 result) | 2016: 6.7% 2017: 6.6% | ● |

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|---|---|--|-----|
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | | | | |
| Cost savings for goods and services procured by WIPO (derived from RFPs or direct negotiations) | 3,826,361 CHF (2.6 millions) | Equal or higher than 2014 result ¹⁹⁰ | 2016: 1,801,919,CHF 2017: 4,937,121CHF | ● |
| Processing time ER | ER = <1 hour (1/2 day) | Less than 1/2 day | Less than ½ day | ● |
| Processing time eTA | eTA = 1/2 day (same) | Less than 1/2 day | Less than ½ day | ● |
| Processing time Visa | Visas < 1 day (same) | Less than 1 day | Less than 1 day | ● |
| TMC average ticket fare | 1,606 CHF (1,850 CHF) | ≤ 1,606 CHF (≤ 1,850 CHF) | 2016: 1,374 CHF 2017: 1,414 CHF | ● |
| Global average ticket fare | 1,481 CHF (1,600 CHF) | ≤ 1,481 CHF (≤ 1,600 CHF) | 2016: 1,315 CHF 2017: 1,333 CHF | ● |
| Average service fee | 95 CHF (118 CHF) | < 100 CHF | 2016: 92 CHF 2017: 94 CHF | ● |
| WIPO premises and installations remain fit for purpose | Maximum of 1 working day per year with breakdown of a technical installation (electricity, water, heating, cooling, ventilation) affecting WIPO core activities. (same) | Maintain maximum of 1 working day per year with breakdown of a technical installation (electricity, water, heating, cooling, ventilation) affecting WIPO core activities. | Zero working days with a breakdown of a technical installation affecting WIPO core activities | ● |
| Optimum use and occupation of WIPO premises and all types of space | 80 rented workplaces, 5 offsite storage/archiving areas (same) | Maintain 80 rented workplaces, reduce to 4 off-site storage/archiving areas (Maintain 80 rented workplaces, 5 off-site storage/ archiving areas) | Maintained 80 rented workplaces; 2 off-site storage/archiving areas (3 less than 2015) | ● |
| % of high value items (e.g >5,000 Swiss francs) inventoried ¹⁹¹ | 95% (same) | Maintain 95% | 2016: 95% inventoried 2017: 98% inventoried | ● |
| % of value items 1,000 -5,000 Swiss francs, works of arts and attractive items | n/a | 90% | Value items 1,000-5,000 CHF (biennial verification): 2017: 93% inventoried | ● |
| | | | Works of art (annual verification): 2016: 99% inventoried 2017: 98.6% inventoried | ● |
| | | | Attractive items (biennial verification): 2017: 100% inventoried | ● |
| IX.4 An environmentally and socially responsible Organization in which WIPO staff, delegates, visitors and information and physical assets are safe and secure | | | | |
| Reduced impact of WIPO activities on the environment | Greenhouse gas emissions: 7,730 tons CO2 6,248 tons CO2 were offset through redeeming certificates (CERs). | A. Maintain carbon emissions and greenhouse gases at end-2015 levels ¹⁹² | Carbon emissions and greenhouse gases were below 2015 levels: 2016: 7,243 tons CO ₂ , of which 100% was offset ¹⁹³ . - 5,580 tons CO ₂ offset by certificates (CERs) - Remainder offset directly by provider | ● |

¹⁹⁰ 2015 brought about unusually high cost savings; the more indicative performance of 2014 data is used as the target.

¹⁹¹ Annual verification / inventory

¹⁹² WIPO receives the final validated count of annual emissions from the United Nations Environment Programme (UNEP) in October of the following year.

¹⁹³ The emissions declared and the offsetting done relate to emissions caused by WIPO facilities and financed travel (staff and third party).

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|---|--|---|-----|
| | 2015 energy consumption for all HQ buildings and rented buildings in Geneva | B. Implementation of measures by end-2017 to maintain energy consumption at end-2015 levels and at comparable weather conditions (for electricity, water, gas and heating oil) | Energy consumption for all HQ buildings and rented buildings in Geneva (as compared to 2015): | ● |
| | – electricity (8,176,493 kWh), | | Electricity 2016: 7,758,000 kWh (- 5.1%) 2017: 7,888,733 kWh (-3.5%) | ● |
| | – water (41,647 m3), | | Water 2016: 40,654 m3 (- 2.4%) 2017: 37,894 m3 (-9%) | ● |
| | – natural gas (7,201,417 kWh), | | Natural gas ¹⁹⁴ 2016: 7,550,012 kWh (+ 2.2%) 2017: 7,397,859 kWh (-1.6%) | ● |
| | – heating oil (5,050 li). (mainly for generators) (n/a) | | Heating oil 2016: 5,500 li (+ 9%) 2017: 5,090 li (+ 0.8%) | ● |
| Improved physical access to the WIPO campus | 34 badge readers remaining to be lowered ¹⁹⁵ | Implementation of following measures by end-2017: 1. badge readers at required level for persons with disabilities 2. guard rails where required | 32 out of 34 badge readers (94%) were lowered, in line with the 2012 audit. | ● |
| | 7 guard rails remaining to be installed ¹⁹⁶ (Recommendations contained in 2012 Physical Accessibility Audit) | | 7 of 7 required guard rails (or 100%) were installed, in line with the 2012 audit. | ● |

Resource Utilization

Budget and Expenditure (by result) (in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|--|-------------------------|--------------------------------------|---------------------|
| VIII.5 WIPO effectively interacts and partners with UN and other IGO processes and negotiations | 1,476 | 1,501 | 1,479 |
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | 44,433 | 51,408 | 51,644 |
| IX.4 An environmentally and socially responsible Organization in which WIPO staff, delegates, visitors and information and physical assets are safe and secure | 1,308 | 1,057 | 1,015 |
| Total | 47,216 | 53,966 | 54,139 |

Budget and Expenditure (personnel and non-personnel) (in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 19,287 | 16,644 | 16,831 | 101% |
| Non-personnel Resources | 27,930 | 37,322 | 37,308 | 100% |
| Total | 47,216 | 53,966 | 54,139 | 100% |

Final Budget after Transfers:

- The decrease in personnel resources was the net result of: (i) reclassifications and completed regularizations of continuing functions; (ii) the transfer of three positions into the Program to strengthen administrative and logistics support and IT procurement, reflected under ER IX.1; (iii) redeployment of the Messenger Driver Group to Program

¹⁹⁴ The percentage changes factor in the comparability of weather conditions between the years using the annual average *Degré jour unifié* (DJU) *chauffagiste*, defined as the difference between the exterior temperature on a given day and the reference temperature (18°C). SOURCE: <https://www.infoclimat.fr/climatologie/annee/2015/geneve-cointrin/valeurs/06700.html>

¹⁹⁵ Corrigendum: At the end of 2015, there were 34 publicly accessible badge readers remaining to be lowered as per the recommendations contained in the 2012 Physical Accessibility Audit, not 42 as reported in the PPR 2016.

¹⁹⁶ Corrigendum: At the end of 2015, there were 7 publicly accessible guard rails remaining to be installed as per the recommendations contained in the 2012 Physical Accessibility Audit, not 13 as reported in the PPR 2016.

27, reflected under ER IX.1; (iv) redeployment of accrued savings to accommodate other organizational priorities; and (v) a shift of resources to non-personnel in support of IT procurement activities and the preparation of the Assemblies.

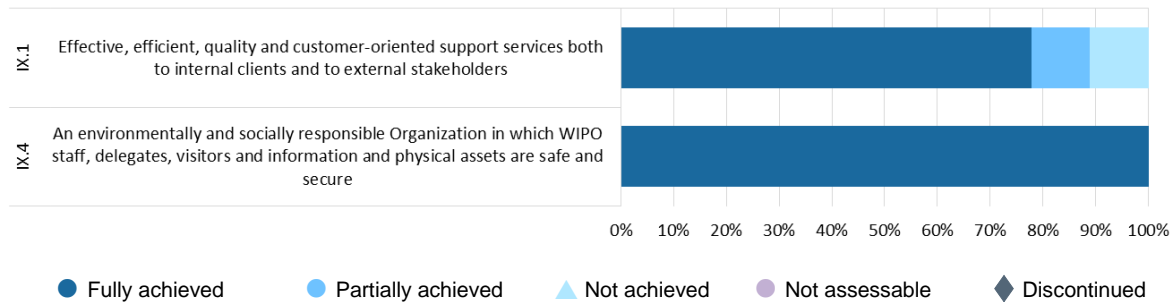
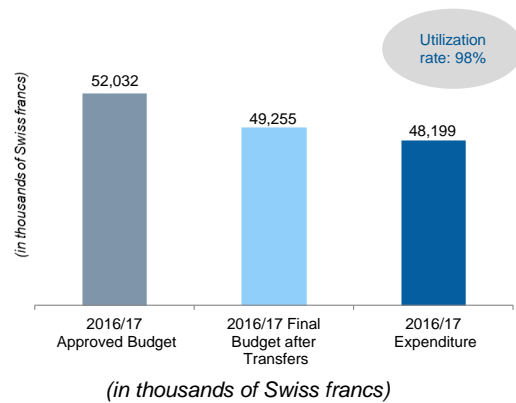
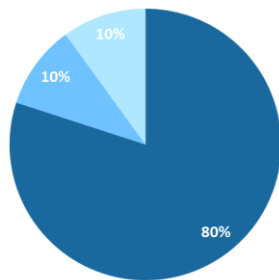
- The net increase in non-personnel resources was primarily due to: (i) the transfer of resources under ER IX.1 to cover the prepaid interest in connection with the repayment of the loan for the New Building; and (ii) the redeployment of the Messenger Driver Group to Program 27, reflected under ERs IX.1 and IX.4.

Budget Utilization was in line with the Final Budget after Transfers.

PROGRAM 25 Information and Communication Technology

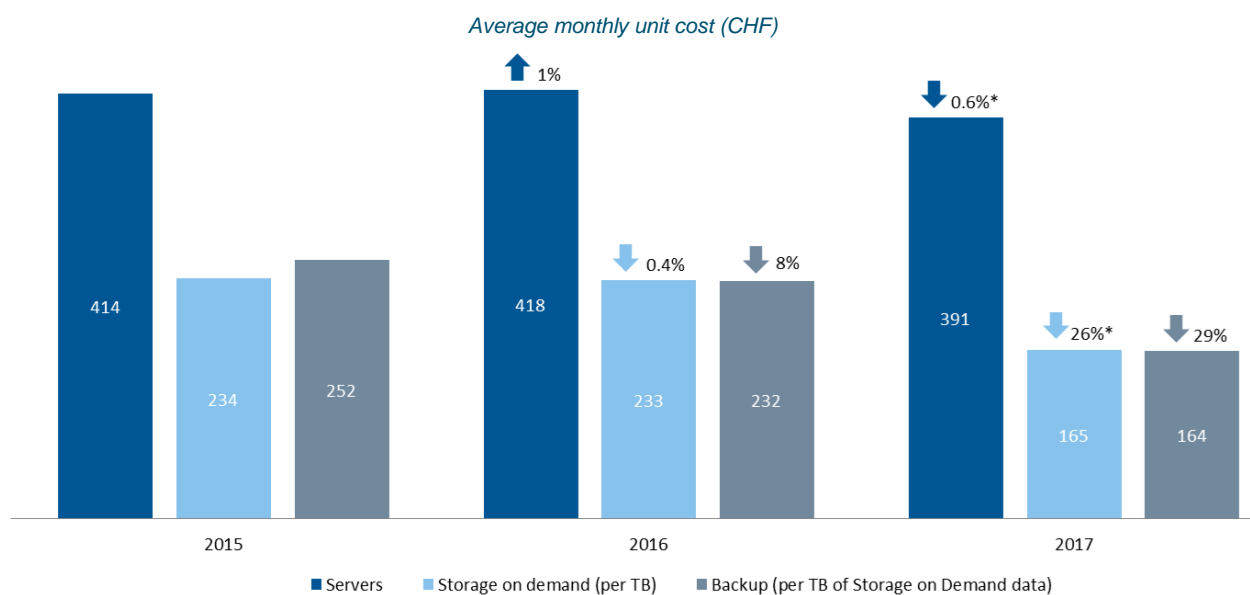
Program Manager Mr. A. Sundaram

Program Dashboard



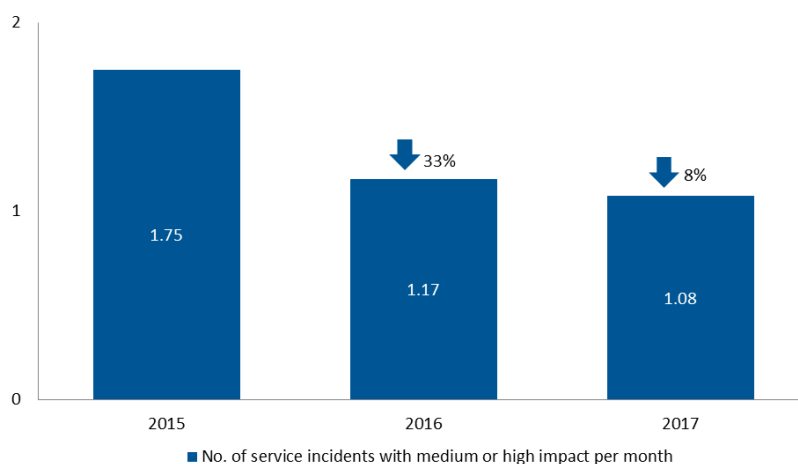
Key Accomplishments

- The average monthly unit costs for storage on demand and back up decreased, in particular from 2016 to 2017, surpassing the targets more than five-fold.



- Overall server hosting cost decreased from 3.6 million Swiss francs in 2016 to 3.4 million Swiss francs in 2017, driven by a shift from physical to virtual servers. Following the implementation of a new backup policy at the end of 2015, data backup cost decreased from 1.4 million Swiss francs in 2016 to 1.2 million Swiss francs in 2017, whereas storage data volume increased from 506 TB to 620 TB during the same period. Storage on demand cost decreased from 1.4 million Swiss francs in 2016 to 1.2 million Swiss francs in 2017.

- The number of ICT service incidents with medium or high impact saw a 33 per cent reduction from 2015 to 2016 and a further 8 per cent decrease from 2016 to 2017.



- The ICT infrastructure was further enhanced for resilience and service continuity in 2016/17 to include such key services as: (i) a new Identity and Access Management platform deployed for external-facing business systems; (ii) the deployment of a new Disaster Recovery (DR) platform for the corporate e-mail system; (iii) a new secure Fax Server platform deployed for the PCT Sector; (iv) the introduction of highly granular access controls to further strengthen network security; and (v) the roll out of the Global Office Architecture (GOA) solution for WIPO's External Offices to two additional Offices (WOC, WBO). In addition, the PCT platform and the Oracle Database were migrated to new, high availability (HA) virtual platforms to ensure greater reliability of the systems and significantly reduce down-time.

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|---|---|---|
| PCT and related Information Systems experience unacceptable level of interruptions, resulting in the inability to accept PCT filings and subsequently the effect on processing and publication of those applications. Reputation would be affected negatively. | The risk was reduced over the biennium as a result of the mitigation measure. | The mitigation measure to strengthen the overall ICT infrastructure by deploying further redundant ICT platforms for critical systems was effective. The performance of these systems was checked through validation testing. | The risk was mitigated during the biennium, and thus there was no negative impact on performance. |

Looking Forward

- Only a slight decrease in the monthly unit cost of servers was observed by the end of the biennium as compared to 2015. This was due to a progressive shift to a new costing model for the replacement of obsolete servers. Reducing costs will remain a priority in 2018/19.
- An initial WIPO reference and master data strategy, including the governance processes, was developed and in the process of being finalized at the end of 2017. The strategy is expected to be approved in 2018/19, with the master data repository ready for use by application development teams as standard operating procedure.

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|---------------|---|--|-----|
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | | | | |
| ICT Platforms are cost-effectively hosted and managed in line with business demands | 26 SDAs (n/a) | New SDAs are created and agreed with largest consumers of ICT Platform services | A total of 6 new SDAs (Information Security, WIPO DAS, WIPO CASE, WIPO WebMums (Madrid Union Members) Service, WIPO Connect, ECM) and 3 new Account Codes were established with the United Nations International Computing Center (UNICC). | ● |

| | | | | |
|---|---|--|--|------------------|
| | Average monthly unit cost ¹⁹⁷ (CHF): Servers: 414 (448) Storage (per TB): 234 (229) Backup (per TB of storage on demand): 252 (370) 1.75 per month (same) | Unit costs decrease by at least 5% per year; | Average monthly unit cost (CHF) : 2016 2017 Servers 418 (+1%) 391 (-0.6% ¹⁹⁸) Storage (per TB) 233 (-0.4%) 165 (-26% ¹⁹⁹) Backup (per TB of storage on demand) 232 (-8%) 164 (-29%) No increase in service incidents of medium or high impact | ▲ ● ● ● |
| Application development activities adhere to the WIPO reference and master data standards. | None (n/a) | The WIPO reference and master data strategy and repository used by at least one application development team | An initial WIPO reference and master data strategy, including the governance processes, was developed and in the process of being finalized at the end of 2017. | ● |
| % of customers that are satisfied with the Service Desk services | 97% satisfied with Service Desk services (same) | Maintain similar high-level of user satisfaction | 97.4% satisfied with Service Desk services in 2016: - 66.7% completely satisfied - 30.7% satisfied 96.8% satisfied with Service Desk services in 2017 - 64.8% completely satisfied - 32.0% satisfied | ● |
| ICT Projects in WIPO are managed in accordance with the WIPO Project Management Guidelines and the WIPO Service Transition Guidelines | n/a-new WIPO Service Transition Guidelines defined (Transition Guidelines not defined) | More than 70% of projects are managed in accordance with the WIPO Project Management Guidelines | 100% of ICTD projects were managed in accordance with the WIPO Project Management Guidelines (5 out of 5) | ● |
| | | 70% of delivered new projects comply with the WIPO Service Transition Guidelines | 100% of the delivered ICTD projects complied with the WIPO Service Transition Guidelines (3 out of 3) | ● |
| IX.4 An environmentally and socially responsible Organization in which WIPO staff, delegates, visitors and physical assets are safe and secure | | | | |
| ICT service continuity of critical systems | Server, Storage, Backup and Network Infrastructure extended for core ICT services. In 2014/15, 12 additional core ICT services were assessed and suitable measures implemented for service continuity. ICT Service Continuity capability validated in 2015 through successful 1-day Disaster Recovery (DR) test; PCT Failover exercise was completed in 30 minutes (Critical systems can be recovered in a timely manner without data loss in the event of localized major disruptions) | Progress made on an ICT platform to allow critical systems to continue operating in the event of a major regional disruption | 10 additional core ICT Services were enhanced for ensuring required levels of service continuity. ICT Service Continuity capability validated on an annual basis both in 2016 and in 2017 through successful 1-day Disaster Recovery (DR) tests. The service failover capabilities of the PCT Systems were also validated in 2017. Additionally, a separate test was organized in 2017 to validate the DR capability of the corporate email system. | ● |

¹⁹⁷ Unit costs in USD: servers (422 USD/month), storage (239 USD/month), backup (257 USD/month); Swiss francs amounts are based on the average UN Operational exchange rate USD/CHF of 0.98 for 2015 payments to the UNICC.

¹⁹⁸ As compared to the 2016 target of 393 Swiss francs; actual decrease as compared to 2016 was 6 per cent.

¹⁹⁹ As compared to the 2016 target of 222 Swiss francs; actual decrease as compared to 2016 was 29 per cent.

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------|--------------------------------------|---------------------|
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | 51,480 | 48,769 | 47,707 |
| IX.4 An environmentally and socially responsible Organization in which WIPO staff, delegates, visitors and information and physical assets are safe and secure | 552 | 486 | 493 |
| Total | 52,032 | 49,255 | 48,199 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 14,178 | 13,246 | 13,307 | 100% |
| Non-personnel Resources | 37,853 | 36,009 | 34,893 | 97% |
| Total | 52,032 | 49,255 | 48,199 | 98% |

Final Budget after Transfers:

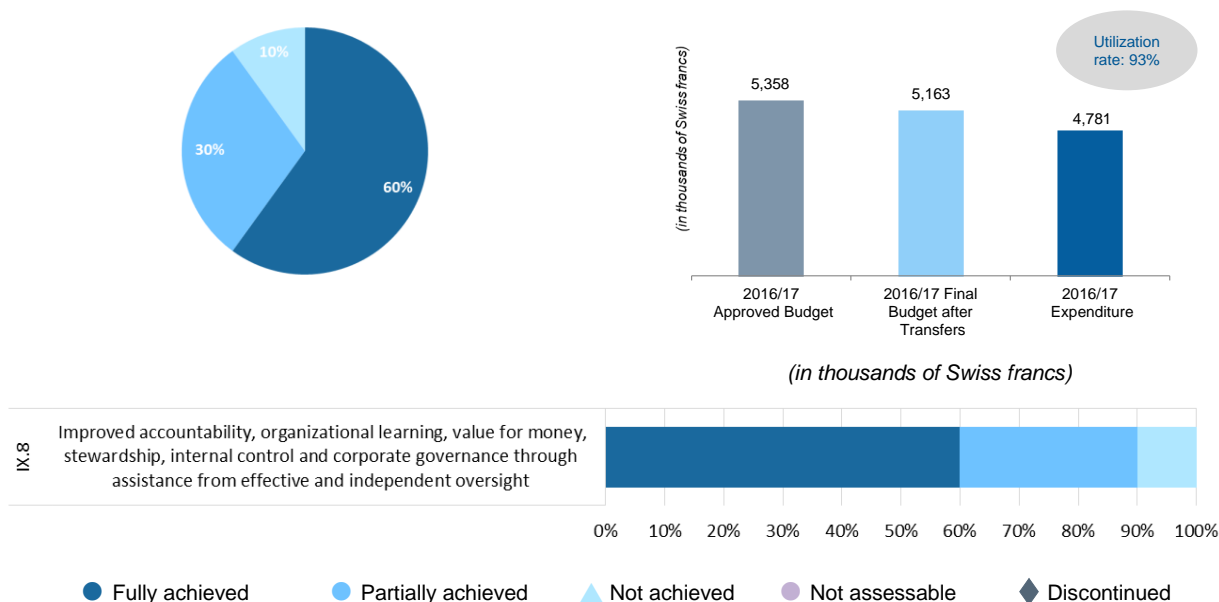
- The net decrease in personnel resources was driven by the: (i) redeployment of two positions (one temporary) to support business needs in Programs 21 and 28; (ii) the shift of resources to non-personnel for database administration (DBA) and Identity and Access Management (IAM) consulting services; and (iii) the reclassification upwards of four positions, all reflected under ER IX.1.
- The decrease in non-personnel resources was the net result of: (i) the redeployment of 2016 savings on the UNICC contract to other organizational priorities; and (ii) the additional allocation of resources for the purchase of laptops and related equipment in support of the Business Continuity initiative and for other business priorities, such as the migration to Windows 10 and the upgrade of the checkpoint firewall, all reflected under ER IX.1
- The slight decrease of resources under ER IX.4 was primarily due to the redistribution of personnel resources in line with the annual workplans.

Budget Utilization was in line with the Final Budget after Transfers.

PROGRAM 26 Internal Oversight

Program Manager Mr. R. Singh

Program Dashboard



Key Accomplishments

- The revised Internal Oversight Charter was approved by the General Assembly in October 2016. The main changes in this revision included: (i) detailed provisions concerning investigations into alleged misconduct by the Director General, Deputy and Assistant Directors General as well as the Director IOD; (ii) improving and clarifying the definition of IOD's independence at both operational and functional levels; (iii) enabling Member States to have access to full versions of redacted/withheld audit, evaluation and management implications reports. In the context of the latter, the IOD Report Publication Policy²⁰⁰ was published in June 2017, incorporating comments from Member States.
- In 2016/17, IOD issued 13 Audit Reports (including the validation of the end-biennial PPR 2014/15 (WO/PBC/25/8)), six Evaluation Reports, seven Management Implication Reports, and four Continuous Auditing Memoranda containing a total of 118 recommendations to management. Conversely, management implemented 88 recommendations during the same period.
- IOD registered 67 new cases for investigative activities and closed 67 cases during the same period. Allegations investigated mainly included abuse of working time, behavior or activities unbecoming the status of international civil servants, harassment, and misuse of assets.
- Following an External Quality Assessment (EQA) of the Investigation Function, the IOD Investigation Policy and Investigation Manual were revised, taking into consideration feedback provided by WIPO Management, IAOC and Member States, and final versions were issued in February 2017. By the end of 2017, 12 out of the 13 EQA recommendations related to the investigation function had been implemented. IOD also issued a revised Evaluation Policy and Manual following consultations with WIPO management, the Independent Advisory Oversight Committee (IAOC) and Member States.
- WIPO hosted the Annual meeting of the United Nations Evaluation Group (UNEG) in 2016. At the meeting, the norms and standards for evaluation were revised and approved. The meeting also provided opportunities to more

²⁰⁰ http://www.wipo.int/export/sites/www/about-wipo/en/oversight/iaod/pdf/report_publication_policy.pdf

than 30 participating UN organizations to exchange best practices on technical evaluation topics, including new evaluation methodologies and tools.

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|---|--|--|---|
| Internal oversight activity is not independent and IOD staff is not objective in performing its work. Impartiality and credibility of the work undertaken would be at stake. Trust in the oversight function would be diminished. | This risk remained stable throughout the biennium. | Effective mitigation actions included regularly reporting to the IAOC; providing annual reports to the WIPO General Assembly on IOD independence; and having external assessments of the independence of oversight functions undertaken. Additionally, IOD and its staff abided by the Internal Oversight Charter and professional codes of conduct as appropriate, and cases in which the IOD Director or staff perceived that there could be a conflict of interest were referred to the IAOC in accordance with paragraph 18 of the Charter for advice on how to proceed. | The risk was mitigated during the biennium, resulting in no negative impact on performance. |

Looking Forward

- During the 2016/17 biennium, both the Evaluation Section and the Investigation Section experienced resource constraints, which affected their workplans and related deliverables. In addition, the investigation workload was historically high, with 67 cases (including preliminary evaluations) processed throughout 2016/17. In 2017, IOD registered 37 cases, which was the highest number of cases ever opened in a year. Going forward, measures will be taken to stabilize human resources through, *inter alia*, use of temporary and contractual services. The performance indicators for 2018/19 and the related targets were updated and adapted to better reflect the actual workload and delivery capacity of the Evaluation Section.
- IOD continued to meet with and encourage Programs to implement their recommendations in 2016/17 and to report on the status of the recommendations on a quarterly basis to the Director General and the IAOC. Given that Programs were responsible for the implementation plan and timelines for their recommendations, despite the aforementioned efforts, implementation of the recommendations fell below the target. IOD will continue to support Programs through bi-annual meetings to discuss the status of recommendations in 2018/19, and BI dashboards will be developed to provide information and statistics on recommendations in real time to management.

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|--|---|--|-----|
| IX.8 Improved accountability, organizational learning, value for money, stewardship, internal control and corporate governance through assistance from effective and independent oversight | | | | |
| INDEPENDENCE - No interference and perceived independence by key stakeholders | No interference in IOD's work, as reflected in the annual reports WO/PBC/22/4 and WO/PBC/24/6 The Director of IOD met regularly with the Director General, IAOC and as and when required with Member State Representatives Cases of perceived impaired independence were referred to the IAOC in accordance with paragraph 18 of the Charter (No interference in IOD's work) | No interference in IOD's work | No interference in IOD's work, as reflected in the annual reports: - WO/PBC/25/5 ²⁰¹ - WO/PBC/27/4 ²⁰² The Director of IOD met regularly with the Director General, IAOC and as and when required with Member States Representatives. Cases of perceived impaired independence were referred to the IAOC in accordance with paragraph 18 of the Charter. | ● |
| EFFECTIVENESS - % of work that covers high risk, relevant areas aligned with the Organization's Strategy | All work (100%) covered risk/high relevance areas (same) | 100% work in high risk/relevance areas and in alignment with WIPO's Strategic Goals | All work (100%) covered high risk/relevant areas | ● |

²⁰¹ Annual Report by the Director of the Internal Oversight Division (IOD): [WO/PBC/25/5](#)

²⁰² Annual Report by the Director of the Internal Oversight Division (IOD): [WO/PBC/27/4](#)

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|--|--|---|--------|
| EFFICIENCY - IOD's reports are issued timely with SMART recommendations | 24% (75%) of audit and evaluation reports issued in less than 4 months | 85% of audit and evaluation reports issued in less than 4 months (same) | a) 9 out of 13 audit reports (69%) were issued within 4 months b) 2 out of 6 evaluation reports (33%) were issued within 4 months. | ● ▲ |
| | 58% of investigation reports issued by Investigation Policy deadline (All investigation activities reports issued in accordance with Investigation Policy) | All investigation reports issued by Investigation Policy deadline (same) | c) 14 out of 26 (54%) investigation reports were issued by the Investigation Policy deadline. | ● |
| | 88% (75%) of managers perceived that IOD recommendations were SMART | 100% of managers perceive that IOD recommendations are SMART (100% of recommendations SMART) | Managers that perceived that IOD recommendations were SMART: 2016: 81% 2017: 90% | ● |
| RELEVANCE, ADDED VALUE & STEWARDSHIP- Tangible cost savings or improvements made in business processes and systems | 69% of managers perceived that IOD recommendations had led to efficiency gains | 50% of managers perceive that IOD recommendations led to efficiency gains | An average of 68% of managers perceived that IOD recommendations led to efficiency gains in 2016/17: 2016: 71% 2017: 65% | ● |
| | 28% of annual cost savings could be linked to IOD recommendations | 50% of annual cost savings could be linked to IOD recommendations | 28% (7 out of 25 areas) of annual cost savings in 2016/17 could be linked to IOD recommendations | ● |
| ORGANIZATIONAL LEARNING-Uptake of Lessons and Recommendations from Oversight Processes | More than 95% (90%) of recommendations accepted | 90% of recommendations accepted | 98% of recommendations have been accepted | ● |
| | 40% (90%) of recommendations implemented within 2 years | 90% of recommendations implemented in 2 years' time | 48% of recommendations implemented within 2 years | ● |

Resource Utilization

Budget and Expenditure (by result)

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------|--------------------------------------|---------------------|
| IX.8 Improved accountability, organizational learning, value for money, stewardship, internal control and corporate governance through assistance from effective and independent oversight | 5,358 | 5,163 | 4,781 |
| Total | 5,358 | 5,163 | 4,781 |

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 4,658 | 4,429 | 4,239 | 96% |
| Non-personnel Resources | 700 | 734 | 543 | 74% |
| Total | 5,358 | 5,163 | 4,781 | 93% |

Final Budget after Transfers:

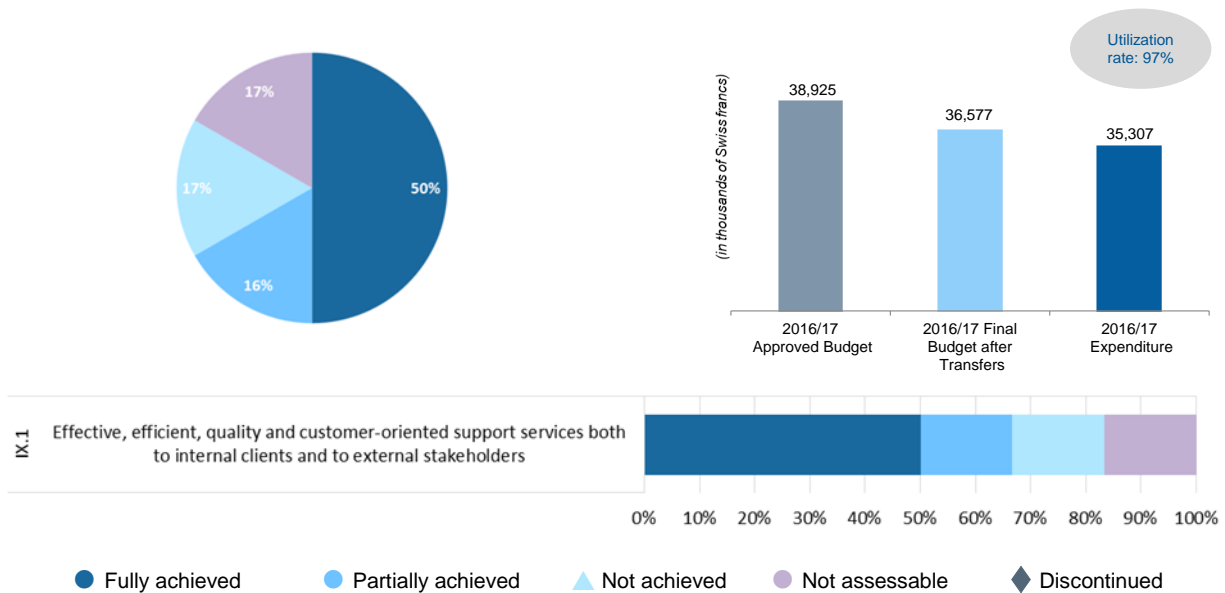
- The net decrease in personnel resources was the result of: (i) the regularization of continuing functions for an internal audit officer and a secretary; and (ii) redeployment of accrued personnel savings to other organizational priorities.
- The slight net increase in non-personnel resources was the result of: (i) the transfer of additional resources for investigations; and (ii) the transfer of resources for internships to Program 23.

Budget Utilization: The lower utilization of non-personnel resources was primarily due to lower than planned expenditures under evaluation and investigation related activities as well as training.

PROGRAM 27 Conference and Language Services

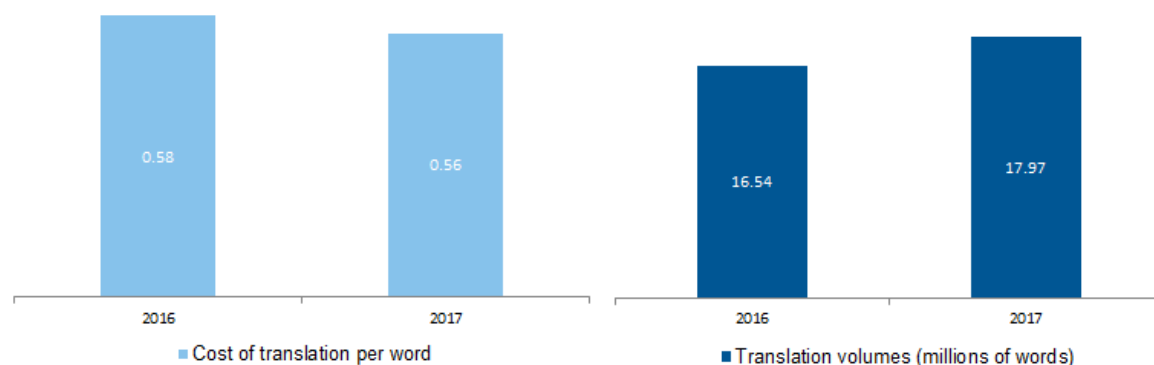
Program Manager Mr. A. Sundaram

Program Dashboard



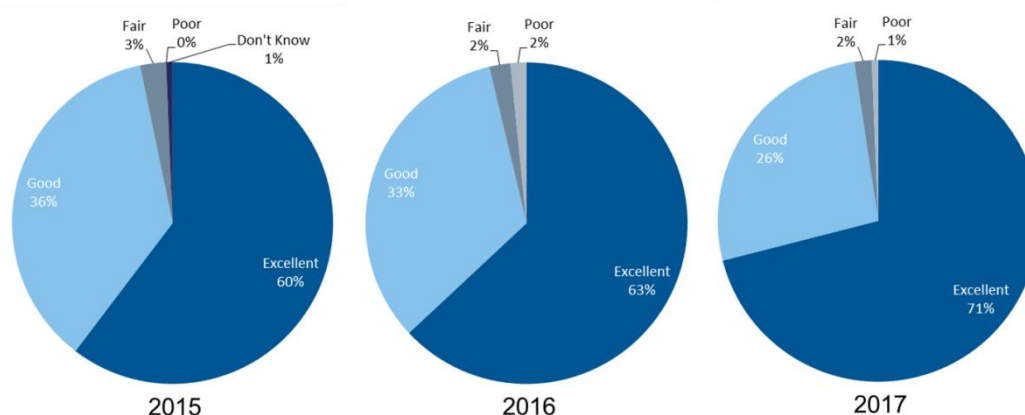
Key Accomplishments

- The year 2017 marked the end of a phased implementation of the Language Policy as adopted by Member States in 2011. By the end of the biennium, coverage of the six UN languages (Arabic, Chinese, English, French, Russian and Spanish) had been extended to all the main bodies, standing committees and working groups, as well as to core publications and the landing pages of websites, as specified in the Policy.
- Savings in translation costs were ensured through increased share of outsourced translation, including renegotiated contracts for Arabic, Chinese and Russian translations, and greater use of Computer-Assisted Translation and Terminological (CATT) tools. In 2016/17, the translation volume increased from 16.54 million words to 17.97 million words, or an increase of 8.6 per cent. Despite this rise in volume, the translation cost was brought down from 0.58 Swiss francs per word in 2016 to 0.56 Swiss francs at the end of 2017, or a decrease of 3.4 per cent.



- Despite a higher rate of outsourcing, the Secretariat did not lose sight of translation quality and took steps to maintain quality standards, including strengthening the quality control efforts of the internal core team of translators and revisers, and the “quality at source” measures by strictly screening and engaging external translation service

Satisfaction with Translation Services



providers. Delegations' overall satisfaction²⁰³ with translation services increased from 96 per cent in 2015 and 2016 to 98 per cent in 2017, with an 11 percentage point increase in delegations rating the quality as excellent from 2015 to 2017.

- Customer satisfaction levels with the quality of WIPO's conference services rose to 98 per cent, as compared to 96 per cent in 2016 and 97 per cent in 2015.
- Mailing costs overall for the biennium continued to be reduced through tariff negotiations with providers, as well as by promoting the use of cheaper mailing options for non-urgent mail, and by batching multiple items for dispatch to high-volume mail customers, which resulted in 117,686 Swiss francs in savings in the biennium.

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|---|--|--|--|
| Inadequate implementation of the Language Policy due to increasing requests for translation and non-adherence to prescribed limits, translation workloads mount significantly, leading to budgetary imbalances. | This risk remained stable throughout the biennium. | This risk was effectively mitigated by measures such as the phased approach to implementation, rationalization of document size, increased share of outsourcing, and more reliance on modern translation technologies. | The performance targets relating to the effective implementation of the Language Policy were achieved. |

Looking Forward

- Efficient, high-quality printing services continued to be delivered in the 2016/17. The very slight increase in the cost per unit for printing was due to purchase of new equipment, intended to lead to additional cost savings in the future. The investment cost offset any impact from the decrease in the number of copies (13,862,822 in 2017 as compared to 14,947,905 in 2016).
- Efforts will continue in collaboration with Committee secretariats to monitor the timely availability of meeting documents and to address underlying constraints where publication deadlines were missed. In 2016/17, some documents took longer to prepare due to the requirement for intersessional input and analysis (such as the dissemination of questionnaires and compilation of results). In other cases, unusually short intervals between sessions placed pressure on the document-preparation chain and impacted the publication timetable.

²⁰³ Overall satisfaction is based on ratings of either 'Good' or 'Excellent'.

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|--|--|--|-----|
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | | | | |
| % of internal and external participants satisfied with WIPO Conference Services | 97% of users in 2014/15 considered the overall quality of WIPO's conference services either excellent or good (<i>same</i>) | Maintain rate at end of 2015 (<i>same</i>) | 98% of users considered the overall quality of WIPO's conference services either excellent (65%) or good (33%). | ● |
| Effective implementation of WIPO Language Policy | All Committees/ Main Bodies and 4 Working Groups 87%. (<i>Language coverage extended to documents for all Committees/ Main Bodies and some Working Groups</i>) | Language coverage extended to documents for all Committees/ Main Bodies/ Working Groups with lengths maintained as per provisions of Language Policy | The 6-language coverage was extended to documents of all the Main Bodies, Committees, and Working Groups, marking a successful end of the phased implementation of the Language Policy. 81% (585 out of 725) of meeting documents received for translation were below the specified word limit (3,300 words). | ● |
| Reduction in printing costs (per page) | 0.15 CHF (<i>0.14 CHF</i>) average cost per page in both 2014 and 2015; 25% reduction | Maintain the rate of 0.15 CHF average cost per page | 2016: 0.16 CHF 2017: 0.16 CHF | ▲ |
| Timely publication of documents for Committees and Working Groups | In 2014/15, 52.6% (21%) of all documents for major committees were published in all languages 2 months before the relevant meetings: 2014: 41% 2015: 69% | 65% of documents published in all languages 2 months before the relevant meetings | 2016: 51% 2017: 49% of all documents published in all languages 2 months before the relevant meetings; - a further 4% (53% overall) published in all languages within 1 week after the due date; - a further 26% (79% overall) within 4 weeks after the due date | ● |
| Cost per word of translation | The translation cost per word: 0.57 CHF; -3.4% as compared to 2014 (0.59 CHF; -6.3% as compared to 2013) | Maintain cost | The cost per word: 2016: 0.58 CHF ²⁰⁴ 2017: 0.56 CHF (-3.4% as compared to 2016) The translation volume increased from 16.54 million words (50,128 UN standard pages) translated in 2016 to 17.97 million words (54,449 UN standard pages) translated in 2017 | ● |

Resource Utilization

Budget and Expenditure (by result) (in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------|--------------------------------------|---------------------|
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | 38,925 | 36,551 | 35,301 |
| IX.4 An environmentally and socially responsible Organization in which WIPO staff, delegates, visitors and information and physical assets are safe and secure | - | 26 | 6 |
| Total | 38,925 | 36,577 | 35,307 |

²⁰⁴ The 2016 unit cost of 0.58 Swiss francs was restated using the same methodology as for the 2017 unit cost, preventing comparability to the baseline.

Budget and Expenditure (personnel and non-personnel)

(in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------------|--|------------------------|-------------------------|
| Personnel Resources | 29,571 | 26,535 | 25,760 | 97% |
| Non-personnel Resources | 9,354 | 10,041 | 9,548 | 95% |
| Total | 38,925 | 36,577 | 35,307 | 97% |

Final Budget after Transfers:

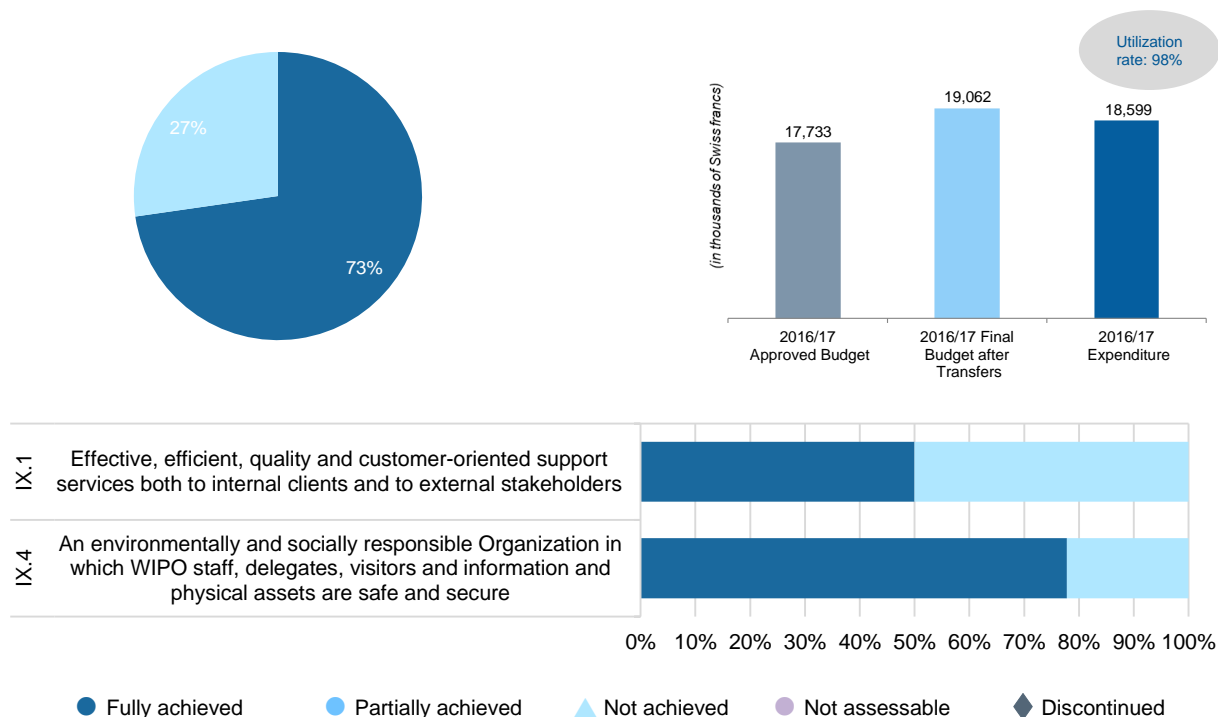
- The net decrease in personnel resources was primarily the result of: (i) the transfer of the Messenger Driver Group from Program 24; (ii) the transfer of resources to support other business needs in Programs 18, 20, 21, 22, 24, 28 and 30; (iii) the redistribution of resources to non-personnel, as referenced below; and (iv) redeployment of accrued personnel savings to other organizational priorities, all reflected under IX.1.
- The net increase in non-personnel resources resulted primarily from: (i) the transfer of the Messenger Driver Group from Program 24, reflected under ERs IX.1 and IX.4; and (ii) the redistribution of personnel resources to non-personnel for temporary assistance in the conference, mail, printing and translation services.

Budget Utilization was in line with the Final Budget after Transfers.

PROGRAM 28 Information Assurance, Safety and Security

Program Manager Mr. A. Sundaram

Program Dashboard



Key Accomplishments

- Responding to the continuously evolving cyber threat environment, WIPO pursued the implementation of a number of Information Assurance (IA) strategies to strengthen its IA capabilities allowing the Organization to provide high quality and secure IP solutions to its Member States and customers.
- Developing a security-focused culture:* A new Security and Information Assurance (SIA) governance structure was established to provide direction and oversight over both the Security and Information Assurance strategies. A new mandatory Computer Based Training (CBT) course was also launched in October 2016 covering basic information security hygiene, with a 97 per cent completion rate in 2017.
- Adopting a business-focused risk management approach:* A new Service Provider Security Policy was published and implemented to continually assess and manage information risks from external service providers that process or host classified WIPO information. The aim was to minimize the risk of unauthorized access, disclosure or loss of WIPO's Information Assets. Information risks of over 13 external service providers were managed during the biennium, with no high risks identified.
- Limiting exposure and ensuring continuous compliance:* As part of a continuous improvement process promoted by the ISO 27001 Standard, WIPO extended the scope of its ISO 27001 certification to include the AMC, all Global IP Systems (PCT, Madrid, the Hague) and the Hire-to-Retire and Procure-to-Pay processes. No major or minor non-conformities were noted. Of the 11 penetration tests (four internal, seven external) that were conducted on WIPO's network and systems in 2016/17, including on External Offices infrastructure, over 95% of identified high and critical vulnerabilities were remediated.
- Enhancing situational awareness and response capability:* Significant steps were taken to improve several technical information security capabilities, specifically the: (i) deployment of privileged access management for PCT applications, and other administrative accounts, preventing the misuse of privileged credentials; (ii) upgrade of the Security Event and Information Management (SEIM) solution to provide increased capacity and monitoring

of security events; and (iii) the improvement of endpoint security through the deployment of endpoint agents on workstations and servers. The deployment and integration of these technical solutions greatly reduced the time required to detect and respond to potential cyber-attacks or data compromises, resulting in a minimal number of incidents, with no major cyber incident.

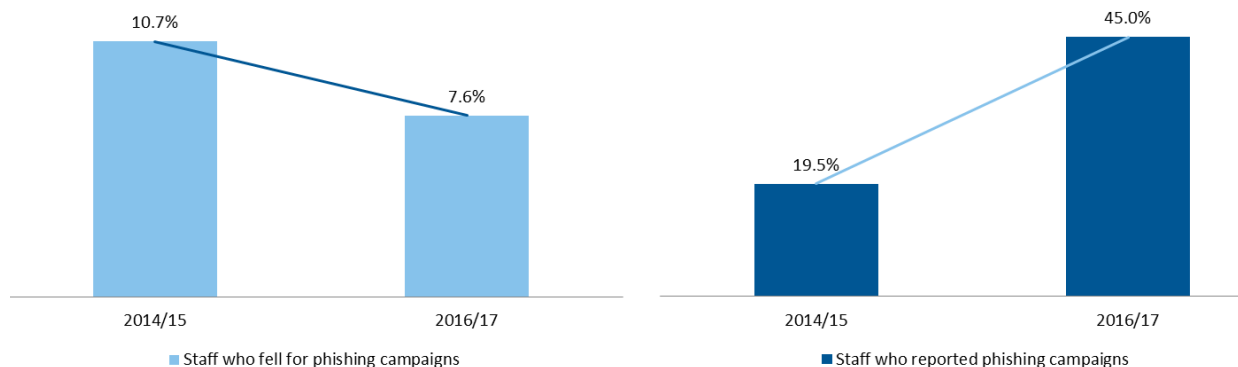
- The safety and security context within which WIPO operated in 2016/17 remained globally complex, but also broadly stable in the countries where WIPO had a presence. International travel safety of WIPO staff members remained a critical area of focus in 2016/17, as various regions visited by staff were impacted by instability and security-related events. The unfortunate terrorist events in Paris, France in November 2015 prompted WIPO to implement additional safety and security tactical measures including: (i) enhancing physical security at Headquarters ; (ii) development of a Threat and Risk capability to meet WIPO's needs for security risk analysis, travel risk management and risk reviews of events and conferences; (iii) implementation of a deterrent and protective armed capability; and (iv) development of a long-term Strategic Security Plan (SSP) to lead WIPO towards the goal of 'Enhanced Operational Security Risk Management to enable business operations under future complex global security and or crisis situations.' As a result of these measures, there were no major security incidences in 2016/17.

Risks

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|--|---|--|--|
| Like other organizations, WIPO is exposed to the risk of cyber-attacks and the risk of malicious or accidental breach of data leading to unauthorized disclosure or misuse of WIPO's confidential information, or disruption of business operations. Such an event can potentially impact WIPO's reputation as a trusted advisor and service provider to its membership and clients. | While the risk from cyber-attacks escalated globally with several major data breaches reported in government commercial entities and IOs, these risks did not materialize for WIPO. The risk remained broadly stable throughout the biennium. | WIPO continued to strengthen its current IA capabilities through the implementation of a number of IA strategies and tactical measures to combat the threats from internal and external threat actors. Actions taken to mitigate these threats were appropriate and effective in preventing, detecting and responding to security events in a timely manner to ensure containment. | The effective mitigation measures ensured that WIPO was able to defend against several wide-spread, non-targeted attacks from phishing, ransomware, and denial of service, resulting in no major disruption to WIPO's business operations. |
| Risks associated with manmade or natural disasters involving WIPO's staff, its visitors and infrastructure (fire, explosion, flood, collapse and technical systems failures). Failures in preparing, monitoring and responding to these events may cause personal injury, death and/or seriously impact WIPO's business operations. | WIPO's operations were predominantly unaffected by natural hazards in 2016/17, with the exception of an earthquake in Mexico in September 2017. The risk remained broadly stable throughout the biennium. | Risk mitigation measures were effective, including: (i) business continuity simulation exercises; (ii) evacuation drills; and (iii) enhanced risk monitoring, visibility and follow-up actions, in particular for staff traveling on mission. Standard operating procedures and building facilities were continuously assessed against UNDSS requirements, Swiss and other local laws, and commercial standards such as ISO 31000. | The mitigation measures were effective, resulting in no significant disruption to business operations or effect on the achievement of targets. |
| Criminal occurrences both internal and external impacting the Organization (theft, sabotage, terrorism); malicious acts disrupting the Organization's operations and/or acts that disrupt the Organization's work (demonstrations/civil unrest/anti-globalization/anarchist groups). | While the risk did not materialize, it continued to be relevant throughout the biennium. | The risk mitigation measures, including new perimeter controls on the WIPO campus, an armed guard capability, and an enhanced Threat and Risk Management service to improve monitoring and response to security incidents at both HQ and the External Offices, were appropriate and successful in containing the risk. | The risk was mitigated during the biennium, resulting in no negative impact on performance. |

Looking Forward

- To reflect the constantly evolving threat environment, the complexity of phishing campaigns increased in 2016 as compared to 2015, resulting in a spike of staff that fell for the campaigns in 2016. Although the biennial target was not met, a significant improvement for the biennium as a whole, with a 3.6 percentage point decrease as compared to 2014/15, and a nine percentage point decrease was seen in 2017 as compared to 2016, indicating a downward trend. Moreover, the number of users detecting and reporting phishing campaigns increased by 25.5 per cent as compared to 2014/15, reflecting the increased awareness of staff about security threats disguised as phishing emails. WIPO will remain vigilant in ensuring that these trends continue in 2018/19.



- The Information Security Operation Center (ISOC—formerly referred to as CSOC) was planned to be online in 2017, but due to delays in the recruitment of a skilled ISOC Manager, the Managed Security Services Provider (MSSP) contract was only awarded in November 2017. The 24/7 ISOC is expected to be operational in early 2018.

Performance Data

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|---|---|--|---|------------|
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | | | | |
| IA governance defined and enforced. | Limited governance of IA. Limited capacity to execute the IA strategy. | Approved IA governance framework enactment | Office Instruction (OI No. 4/2016) detailing the terms of reference for the new Security and Information Assurance (SIA) framework was issued in January 2016 and enacted. | ● |
| No. of staff aware of their information security responsibilities, security policies and best practices. | Biennial Average: 10.7% 2014: 17% 2015: 8.6% ²⁰⁵ (Average 12%) | Less than 5% staff falls for phishing campaigns | In 2016/17, on average 7.6% of staff fell for phishing campaigns: 2016: 13% 2017: 4% | ▲ |
| IX.4 An environmentally and socially responsible Organization in which WIPO staff, delegates, visitors and information and physical assets are safe and secure | | | | |
| % of information risks, including third party risks, reported and managed consistently within WIPO's risk tolerances. | Information risks reported on an ad-hoc basis. Third party information risks not consistently identified and managed. | Quarterly reporting of enterprise information risks to internal IA governance bodies Active management of third party information risks (<10% High) | Information risks were reported to the SIA Steering Committee at its 7 meetings ²⁰⁶ during the biennium. Risk management of 13 external service providers was exercised in line with the Service Provider Security Policy. No high information risks were identified. | ● ● |

²⁰⁵ Corrigendum: The percentage of staff who fell for phishing campaigns in 2015 was 8.6 per cent and not 7 per cent, as reported in the PPR.

²⁰⁶ The first SIA steering committee meeting was held in May 2016.

| Performance Indicators | Baselines | Targets | Performance Data | PIE |
|--|---|---|--|-----|
| Proactive identification and timely remediation of vulnerabilities within agreed service levels. | Limited information security vulnerabilities identified and remediated. | <i>Information security vulnerabilities identified and remediated on 90% of sensitive information assets</i> | In 2016/17: - 100% (17) of high and critical vulnerabilities identified in 7 external penetration tests on all information assets were remediated; and - 91% (10 out of 11) of high and critical vulnerabilities identified in 4 internal penetration tests on all information assets were remediated. | ● |
| Increased compliance to IA policies and standards | PCT Certification successfully transitioned to version ISO 27001:2013. Certification was renewed in October 2015, and the certification scope was extended to include Madrid and Hague October 2015. <i>(Compliance and certification to ISO 27001 standards limited to PCT applications)</i> | <i>Compliance and certification to ISO 27001 standards extended to the Hague, Madrid and HR applications</i> | PCT, the Hague, Madrid and the Arbitration and Mediation Center all passed the annual ISO 27001 certification audit. In addition, the "Hire to Retire" and the "Procure to Pay" processes were added to the ISO scope and successfully passed the certification with no non-conformities. | ● |
| Widely adopted information classification and handling policy to ensure confidentiality of information | Limited adoption of information classification and handling policy | <i>Adoption of information classification and handling increased by 40%</i> | The revised information classification and handling policy was drafted and reviewed with business stakeholders. A supporting solution was procured and is being piloted to enable users to classify and mark email and Microsoft Office documents with the security classification. By the end of 2017, the policy had not yet been published. | ▲ |
| Reduced duplication of information security technical capabilities through reusable security architecture patterns | Disparate and limited deployment of security capabilities reducing reusability and flexibility | <i>A security reference architecture adopted to increase reusability and flexibility of security capabilities by 30%</i> | Reference security architectures were developed, <i>inter alia</i> , for Identity and Access Management and Encryption (IAME), Global Office Architecture (GOA), ISOC, Information Security Governance and Risk Compliance (IS GRC), and Lynda. The overall reusability index at the end of 2017 was 32%. | ● |
| Enhanced capability to detect and respond to information security threats much faster ensuring minimal business disruption | A Security Event and Information Management system (SEIM) was installed to provide a means to correlate all security events from other systems and then generate alarms, giving increased visibility and enabling quicker response and more detailed forensic capabilities <i>(Basic security operations cyber threat intelligence and incident response capabilities exist)</i> | <i>Implementation of a Cyber Security Operations Center (CSOC) improving the capability to monitor, detect and respond to information security incidents by 30%</i> | The CSOC (now ISOC) strategy was approved by the SIA governance in 2017. A MSSP was selected to provide 24/7 monitoring, threat intelligence and incident response, with implementation expected to be completed in early 2018. | ▲ |
| % of WIPO staff, delegates and visitors reporting a work related injury or incident | The total percentage of safety related incidents with injuries in 2014/15 amounted to 1.1% (2% or less) | 2% or less | During the biennium, there were a total of 1,041 reports of safety and security related incidents. Of these, 11 safety related incidents resulted in an injury amounting to 1.1%. | ● |
| % of Conference and Events supported by security inside and outside Geneva ²⁰⁷ | 90% or more (same) | 90% or more | Support was provided to 201 events and 218 meetings and conferences in 2016/17, representing 100% of requests being supported. | ● |

²⁰⁷ Exceptionally, the original performance indicator "% of timely requests for safety & security assistance at conferences or events held in or outside of Geneva" was modified to more accurately reflect the substance of what is being measured, i.e. the percentage of conferences and events being supported rather than the timeliness of the request.

Resource Utilization

Budget and Expenditure (by result) (in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|---|-------------------------------|--|------------------------|
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | 1,189 | 2,504 | 2,432 |
| IX.4 An environmentally and socially responsible Organization in which WIPO staff, delegates, visitors and information and physical assets are safe and secure | 16,544 | 16,557 | 16,167 |
| Total | 17,733 | 19,062 | 18,599 |

Budget and Expenditure (personnel and non-personnel) (in thousands of Swiss francs)

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------------|--|------------------------|-------------------------|
| Personnel Resources | 4,311 | 4,407 | 4,559 | 103% |
| Non-personnel Resources | 13,422 | 14,655 | 14,040 | 96% |
| Total | 17,733 | 19,062 | 18,599 | 98% |

Budget after Transfers:

- The slight net increase in personnel resources was primarily due to: (i) the transfer in of two positions (one temporary) to support information security program management and physical security operations, reflected under ER IX.1 and ER IX.4, respectively; (ii) the shift of resources to non-personnel to strengthen the information security architect function and support the implementation of the Security Risk Management Project and Mainstreaming; and (iii) redeployment of accrued personnel savings to other organizational priorities.
- The increase in non-personnel resources was due to the transfer of funds to support: (i) the implementation of the Security Risk Management Project and Mainstreaming; (ii) installation of a surveillance CCTV and supervisor system in the CAM facility for Business Continuity purposes; (iii) installation of anti-blast film and external CCTV cameras; and (iv) increased operational needs for security guards in relation to the organization of events, all reflected under IX.4.
- The increase in resources under ER IX.1 was also due to the redistribution of non-personnel resources from ER IX.4 to focus on the implementation of the Information Assurance Strategy and to enhance information security education and awareness among staff.

Budget Utilization was in line with the Final Budget after Transfers.

III. ANNEXES

(in thousands of Swiss francs)

| Expected Result No. and Description | Program | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | TOTAL | | |
|-------------------------------------|---|---|-------|-------|--------|-------|---------|--------|--------|-------|--------|-------|--------|--------|-------|-------|--------|--------|-------|-------|--------|--------|--------|--------|--------|--------|--------|-------|--------|--------|---------|--------|--------|---------|-------|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 30 | 31 | 32 | | | | |
| IV.2 | Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | | 2,255 | | | | | | 3,811 | | | | 5,312 | 7,353 | | | | | | 956 | 271 | | | | | | | | 1,528 | | | | 21,488 | | |
| IV.3 | Broad geographical coverage of the content and use of WIPO Global IP Databases | | | | | | | | | | | | 1,860 | | | | | | | | | | | | | | | | | | | | | 1,860 | |
| IV.4 | Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP Administration | | | | | | | 872 | | | | | | 13,567 | | | | | | | 38 | | | | | | | | | | | | | 14,478 | |
| V.1 | Wider and better use of WIPO IP statistical information | | | | | | | | | | | | | | | 2,442 | | | | | | | | | | | | | | | | | | 2,442 | |
| V.2 | Wider and better use of WIPO economic analysis in policy formulation | | | | | | | | | | | | | | | 3,958 | | | | | | | | | | | | | | | | | | 3,958 | |
| VI.1 | Progress in the international policy dialogue among WIPO Member States on building respect for IP, guided by Recommendation 45 of the WIPO Development Agenda | | | | | | | | | | | | | | | | 834 | 363 | | | | | | | | | | | | | | | | 1,197 | |
| VI.2 | Systematic, effective and transparent cooperation and coordination between the work of WIPO and other international organizations in the field of building respect for IP | | | | | | | | | | | | | | | | 1,315 | 198 | | | | | | | | | | | | | | | | 1,513 | |
| VII.2 | IP-based platforms and tools for knowledge transfer, technology adaptation and diffusion from developed to developing countries, particularly least developed countries, to address global challenges | | | | | | | | | | | | 359 | | | | 4,288 | | | | 410 | | | | | | | | | | | | | 5,058 | |
| VIII.1 | More effective communication to a broad public about intellectual property and WIPO's role | | | | | | | | | | | | | | | | 2 | 10,869 | 1,339 | 80 | | | | | | | | | | | | | 12,291 | | |
| VIII.2 | Improved service orientation and responsiveness to inquiries | | | | | | | | | | | | | | | | | | 5,364 | 519 | | | | | | | | | | | | | 5,883 | | |
| VIII.3 | Effective engagement with Member States | | | | | | | | | | | | | | | | | | | | 7,441 | | | | | | | | | | | | 7,441 | | |
| VIII.4 | Open, transparent and responsive interaction with non-governmental stakeholders | | | | | | | | | | | | | | | | | | | | 322 | 377 | | | | | | | | | | | | 700 | |
| VIII.5 | WIPO effectively interacts and partners with UN and other IGO processes and negotiations | | | | | | | | | | | | | | | | 386 | 3,777 | 145 | | | 1,479 | | | | | | | | | | | | | 5,787 |
| IX.1 | Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | | | | | | | | | | | | | | | | | | | 181 | 4,102 | 12,675 | 11,809 | 51,644 | 47,707 | 35,301 | 2,432 | | | | 165,852 | | | | |
| IX.2 | An agile and smooth functioning Secretariat with a well managed and appropriately skilled workforce which is effectively delivering results | | | | | | | | | | | | | | | | | | | | 6,585 | 14,688 | 21,618 | | | | | | | | | | | 42,891 | |
| IX.3 | An enabling working environment supported by an effective regulatory framework and appropriate channels to address staff concerns | | | | | | | | | | | | | | | | | | | | 999 | 2,067 | | | | | | | | | | | | 3,067 | |
| IX.4 | An environmentally and socially responsible Organization in which WIPO staff, delegates, visitors and information and physical assets are safe and secure | | | | | | | | | | | | | | | | | | | | 4 | | 1,015 | 493 | 6 | 16,167 | | | | | | | 17,686 | | |
| IX.8 | Improved accountability, organizational learning, value for money, stewardship, internal control and corporate governance through assistance from effective and independent oversight | | | | | | | | | | | | | | | | | | | | | 1,421 | | | | 4,781 | | | | | | | 6,202 | | |
| | Unallocated | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | TOTAL BY PROGRAM | | 5,019 | 4,826 | 16,923 | 6,338 | 192,770 | 56,429 | 10,369 | 3,179 | 29,718 | 7,703 | 12,437 | 6,794 | 7,173 | 7,353 | 13,926 | 6,399 | 3,990 | 6,169 | 16,233 | 11,409 | 20,006 | 30,852 | 33,427 | 54,139 | 48,199 | 4,781 | 35,307 | 18,599 | 6,047 | 10,872 | 1,311 | 688,698 | |

Note: 2016/17 expenditure refers to actual expenditure pre-IPSAS adjustments

ANNEX II 2016/17 Budget after Transfers by Program

(in thousands of Swiss francs)

| | Programs | 2016/17 Approved Budget | Transfers ¹ | | | 2016/17 Final Budget after Transfers | Transfers as % of Approved Budget of a Program | Transfers as % of Total Approved Budget |
|----|--|-------------------------------|------------------------|------------------|------------------------|--|--|---|
| | | | Transfers In | Transfers Out | Total Net Transfers | | | |
| 1 | Patent Law | 5,291 | 608 | (856) | (248) | 5,044 | -4.7% | 0.0% |
| 2 | Trademarks, Industrial Designs and Geographical Indications | 4,854 | 761 | (732) | 28 | 4,883 | 0.6% | 0.0% |
| 3 | Copyright and Related Rights | 16,733 | 2,554 | (2,048) | 506 | 17,240 | 3.0% | 0.1% |
| 4 | Traditional Knowledge, Traditional Cultural Expressions and Genetic Resources | 6,115 | 974 | (329) | 645 | 6,760 | 10.5% | 0.1% |
| 5 | The PCT System | 208,209 | 5,054 | (9,166) | (4,112) | 204,097 | -2.0% | -0.6% |
| 6 | Madrid System | 58,106 | 3,265 | (4,269) | (1,004) | 57,102 | -1.7% | -0.1% |
| 7 | WIPO Arbitration and Mediation Center | 11,358 | 190 | (632) | (442) | 10,916 | -3.9% | -0.1% |
| 8 | Development Agenda Coordination | 3,671 | 27 | (278) | (251) | 3,421 | -6.8% | 0.0% |
| 9 | Africa, Arab, Asia and the Pacific, Latin America and the Caribbean Countries, Least Developed Countries | 31,907 | 955 | (2,580) | (1,625) | 30,282 | -5.1% | -0.2% |
| 10 | Transition and Developed Countries | 7,919 | 446 | (292) | 154 | 8,073 | 1.9% | 0.0% |
| 11 | The WIPO Academy | 13,083 | 1,252 | (1,115) | 137 | 13,220 | 1.0% | 0.0% |
| 12 | International Classifications and Standards | 7,070 | 333 | (356) | (23) | 7,048 | -0.3% | 0.0% |
| 13 | Global Databases | 5,758 | 3,578 | (1,336) | 2,242 | 8,000 | 38.9% | 0.3% |
| 14 | Services for Access to Information and Knowledge | 6,990 | 1,251 | (791) | 460 | 7,449 | 6.6% | 0.1% |
| 15 | Business Solutions for IP Offices | 13,806 | 959 | (648) | 311 | 14,117 | 2.3% | 0.0% |
| 16 | Economics and Statistics | 6,072 | 688 | (307) | 382 | 6,453 | 6.3% | 0.1% |
| 17 | Building Respect for IP | 3,752 | 260 | (102) | 158 | 3,910 | 4.2% | 0.0% |
| 18 | IP and Global Challenges | 6,323 | 802 | (1,066) | (264) | 6,059 | -4.2% | 0.0% |
| 19 | Communications | 16,483 | 966 | (864) | 102 | 16,584 | 0.6% | 0.0% |
| 20 | External Relations, Partnerships and External Offices | 12,395 | 2,373 | (2,500) | (126) | 12,269 | -1.0% | 0.0% |
| 21 | Executive Management | 20,675 | 3,097 | (4,092) | (995) | 19,680 | -4.8% | -0.1% |
| 22 | Program and Resource Management | 33,276 | 1,415 | (2,304) | (889) | 32,387 | -2.7% | -0.1% |
| 23 | Human Resources Management and Development | 24,617 | 4,601 | (364) | 4,237 | 28,854 | 17.2% | 0.6% |
| 24 | General Support Services | 47,216 | 12,773 | (6,023) | 6,750 | 53,966 | 14.3% | 1.0% |
| 25 | Information and Communication Technology | 52,032 | 718 | (3,495) | (2,777) | 49,255 | -5.3% | -0.4% |
| 26 | Internal Oversight | 5,358 | 468 | (663) | (195) | 5,163 | -3.6% | 0.0% |
| 27 | Conference and Language Services | 38,925 | 3,141 | (5,490) | (2,349) | 36,577 | -6.0% | -0.3% |
| 28 | Information Assurance, Safety and Security | 17,733 | 2,827 | (1,498) | 1,329 | 19,062 | 7.5% | 0.2% |
| 30 | SMEs and Entrepreneurship Support | 6,083 | 699 | (577) | 122 | 6,206 | 2.0% | 0.0% |
| 31 | The Hague System | 7,572 | 4,504 | (609) | 3,895 | 11,466 | 51.4% | 0.6% |
| 32 | Lisbon System | 1,335 | 467 | (471) | (4) | 1,331 | -0.3% | 0.0% |
| | Unallocated | 6,319 | 32,211 | (38,367) | (6,155) | 164 | -97.4% | -0.9% |
| | TOTAL | 707,036 | 94,217 | (94,217) | - | 707,036 | 0.0% | 0.0% |

¹ WIPO Financial Regulations and Rules provide for the possibility of transfer of resources under Regulation 5.5: "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."

ANNEX III Budget after Transfers and Resource Utilization by Expected Results in 2016/17

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | | | Final Budget after Transfers vs. Expenditure | Utilization Rate (%) |
|--|-------------------------------|---|---------------------|-------------------|---------|---|-------------------------|
| | | | Personnel | Non- Personnel | Total | | |
| I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | 13,976 | 14,876 | 7,819 | 6,589 | 14,407 | (469) | 97% |
| I.2 Tailored and balanced IP legislative, regulatory and policy frameworks | 9,748 | 7,571 | 6,271 | 1,223 | 7,493 | (77) | 99% |
| I.3 Increased protection of State emblems and names and emblems of International Intergovernmental Organizations | 544 | 560 | 564 | 12 | 576 | 16 | 103% |
| I.4 Growing interest in WIPO as a forum for analysis of issues in relation to the international protection of confidential information | 494 | 332 | 310 | 43 | 353 | 20 | 106% |
| II.1 Wider and more effective use of the PCT system for filing international patent applications | 29,156 | 28,350 | 22,363 | 4,138 | 26,500 | (1,849) | 93% |
| II.3 Improved productivity and service quality of PCT operations | 181,080 | 177,878 | 99,803 | 68,496 | 168,299 | (9,579) | 95% |
| II.4 Wider and more effective use of the Hague system, including by developing countries and LDCs | 6,617 | 6,793 | 5,906 | 552 | 6,459 | (335) | 95% |
| II.5 Improved productivity and service quality of the Hague operations | 2,234 | 5,697 | 2,157 | 3,190 | 5,346 | (350) | 94% |
| II.6 Wider and more effective use of the Madrid system, including by developing countries and LDCs | 17,069 | 17,237 | 11,189 | 5,529 | 16,719 | (518) | 97% |
| II.7 Improved productivity and service quality of Madrid operations | 42,253 | 40,879 | 31,043 | 9,632 | 40,676 | (203) | 100% |
| II.8 International and domestic intellectual property disputes are increasingly prevented or resolved through WIPO mediation, arbitration and other alternative dispute resolution methods | 4,802 | 4,357 | 3,702 | 410 | 4,112 | (245) | 94% |
| II.9 Effective intellectual property protection in the gTLDs and the ccTLDs | 6,899 | 6,900 | 4,458 | 2,121 | 6,579 | (322) | 95% |
| II.10 Wider and more effective use of the Lisbon system, including by developing countries and LDCs | 896 | 976 | 839 | 118 | 957 | (20) | 98% |
| II.11 Improved productivity and service quality of Lisbon operations | 648 | 477 | 385 | 90 | 475 | (2) | 100% |
| III.1 National innovation and IP strategies and plans consistent with national development objectives | 10,957 | 11,218 | 8,667 | 2,131 | 10,798 | (420) | 96% |
| III.2 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 | 39,734 | 0,069 | 25,610 | 12,917 | 38,527 | (1,542) | 96% |
| III.3 Mainstreaming of the DA recommendations in the work of WIPO | 2,492 | 2,454 | 1,366 | 945 | 2,311 | (144) | 94% |
| III.4 Strengthened cooperation mechanisms and programs tailored to the needs of developing countries and LDCs and countries with economies in transitions | 6,273 | 7,355 | 5,277 | 2,176 | 7,453 | 98 | 101% |
| III.5 Enhanced understanding of the DA by Member States, IGOs, civil society and other stakeholders | 1,393 | 1,160 | 868 | 190 | 1,058 | (102) | 91% |
| III.6 Increased capacity of SMEs to successfully use IP to support innovation | 3,125 | 3,120 | 2,550 | 464 | 3,014 | (106) | 97% |
| IV.1 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 | 7,070 | 7,048 | 5,306 | 1,488 | 6,794 | (254) | 96% |
| IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | 22,539 | 22,359 | 15,369 | 6,119 | 21,488 | (871) | 96% |
| IV.3 Broad geographical coverage of the content and use of WIPO Global IP Databases | 1,956 | 2,107 | 1,486 | 374 | 1,860 | (247) | 88% |

(in thousands of Swiss francs)

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | | | Final Budget after Transfers vs. Expenditure | Utilization Rate (%) |
|---|-------------------------------|---|---------------------|-------------------|----------------|---|-------------------------|
| | | | Personnel | Non- Personnel | Total | | |
| IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP Administration | 15,409 | 14,723 | 8,115 | 6,363 | 14,478 | (246) | 98% |
| V.1 Wider and better use of WIPO IP statistical information | 2,677 | 2,423 | 2,368 | 74 | 2,442 | 18 | 101% |
| V.2 Wider and better use of WIPO economic analysis in policy formulation | 3,395 | 4,030 | 2,758 | 1,200 | 3,958 | (72) | 98% |
| VI.1 Progress in the international policy dialogue among WIPO Member States on building respect for IP, guided by Recommendation 45 of the WIPO Development Agenda | 756 | 1,191 | 872 | 325 | 1,197 | 6 | 101% |
| VI.2 Systematic, effective and transparent cooperation and coordination between the work of WIPO and other international organizations in the field of building respect for IP | 1,308 | 1,494 | 1,305 | 208 | 1,513 | 19 | 101% |
| VII.2 IP-based platforms and tools for knowledge transfer, technology adaptation and diffusion from developed to developing countries, particularly least developed countries, to address global challenges | 3,950 | 4,925 | 4,156 | 901 | 5,058 | 133 | 103% |
| VIII.1 More effective communication to a broad public about intellectual property and WIPO's role | 12,033 | 12,617 | 10,324 | 1,967 | 12,291 | (327) | 97% |
| VIII.2 Improved service orientation and responsiveness to inquiries | 6,219 | 6,087 | 4,374 | 1,509 | 5,883 | (204) | 97% |
| VIII.3 Effective engagement with Member States | 7,099 | 7,340 | 5,518 | 1,923 | 7,441 | 101 | 101% |
| VIII.4 Open, transparent and responsive interaction with non-governmental stakeholders | 1,128 | 748 | 613 | 87 | 700 | (49) | 93% |
| VIII.5 WIPO effectively interacts and partners with UN and other IGO processes and negotiations | 6,196 | 6,074 | 4,690 | 1,097 | 5,787 | (287) | 95% |
| IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders | 165,356 | 168,996 | 75,198 | 90,654 | 165,852 | (3,143) | 98% |
| IX.2 An agile and smooth functioning Secretariat with a well managed and appropriately skilled workforce which is effectively delivering results | 35,257 | 38,472 | 35,019 | 7,872 | 42,891 | 4,419 | 111% |
| IX.3 An enabling working environment supported by an effective regulatory framework and appropriate channels to address staff concerns | 2,540 | 3,127 | 2,679 | 388 | 3,067 | (60) | 98% |
| IX.4 An environmentally and socially responsible Organization in which WIPO staff, delegates, visitors and information and physical assets are safe and secure | 18,403 | 18,134 | 5,320 | 12,366 | 17,686 | (448) | 98% |
| IX.8 Improved accountability, organizational learning, value for money, stewardship, internal control and corporate governance through assistance from effective and independent oversight | 7,035 | 6,719 | 4,958 | 1,245 | 6,202 | (516) | 92% |
| Unallocated | 6,319 | 164 | | | | (164) | n/a |
| TOTAL | 707,036 | 707,036 | 431,573 | 257,125 | 688,698 | (18,338) | 97.4% |

Note: 2016/17 expenditure refers to actual expenditure pre-IPSAS adjustments

ANNEX IV Summary of Results by Union

(in thousands of Swiss francs)

| Key Financials | CF Unions | | PCT Union | | Madrid Union | | Hague Union | | Lisbon Union | | Total | |
|--|---------------|----------------------|----------------|----------------------|----------------|----------------------|----------------|----------------------|----------------|----------------------|----------------|----------------------|
| | Budget | Actuals ¹ | Budget | Actuals ¹ | Budget | Actuals ¹ | Budget | Actuals ¹ | Budget | Actuals ¹ | Budget | Actuals ¹ |
| Income | 35,645 | 36,415 | 578,241 | 622,875 | 130,630 | 134,635 | 11,055 | 11,265 | 727 | 2,358 | 756,297 | 807,548 |
| IPSAS adjustment to Income | | 452 | (7,514) | (25,427) | (419) | (208) | (147) | (94) | | | (8,080) | (25,277) |
| Total Income after IPSAS adjustments | 35,645 | 36,867 | 570,727 | 597,448 | 130,211 | 134,427 | 10,908 | 11,171 | 727 | 2,358 | 748,217 | 782,271 |
| Expenditure | | | | | | | | | | | | |
| Direct Union | 21,858 | 22,261 | 235,553 | 219,771 | 66,577 | 63,849 | 8,802 | 13,942 | 1,372 | 1,411 | 334,162 | 321,233 |
| Direct Admin | 9,634 | 9,256 | 125,091 | 122,300 | 43,128 | 42,330 | 5,566 | 9,169 | 815 | 897 | 184,233 | 183,952 |
| <i>Sub-total, Direct</i> | <i>31,492</i> | <i>31,517</i> | <i>360,643</i> | <i>342,070</i> | <i>109,704</i> | <i>106,179</i> | <i>14,368</i> | <i>23,111</i> | <i>2,187</i> | <i>2,308</i> | <i>518,394</i> | <i>505,186</i> |
| Indirect Union | 2,242 | 2,215 | 113,412 | 107,858 | 11,070 | 12,080 | | | | | 126,724 | 122,153 |
| Indirect Admin | 1,095 | 1,085 | 55,414 | 54,163 | 5,409 | 6,111 | | | | | 61,918 | 61,359 |
| <i>Sub-total, Indirect</i> | <i>3,337</i> | <i>3,299</i> | <i>168,825</i> | <i>162,022</i> | <i>16,479</i> | <i>18,191</i> | | | | | <i>188,642</i> | <i>183,512</i> |
| Total Expenditure² | 34,829 | 34,817 | 529,469 | 504,092 | 126,184 | 124,370 | 14,368 | 23,111 | 2,187 | 2,308 | 707,036 | 688,698 |
| IPSAS adjustment to expenditure ³ | 1,005 | 1,490 | 15,285 | 21,598 | 3,643 | 5,937 | 415 | 978 | 63 | 99 | 20,411 | 30,102 |
| Total Expenditure after IPSAS adjustments² | 35,835 | 36,307 | 544,754 | 525,690 | 129,826 | 130,307 | 14,783 | 24,088 | 2,250 | 2,407 | 727,447 | 718,800 |
| P&B IPSAS Results (Operating Result)² | (190) | 560 | 25,973 | 71,758 | 385 | 4,120 | (3,875) | (12,917) | (1,523) | (49) | 20,770 | 63,471 |
| Miscellaneous Income projects financed from reserves | | 1 | | 1 | | 1 | | 1 | | | | 4 |
| Expenditure on projects financed from reserves | | 597 | | 6,965 | | 1,909 | | 195 | | 7 | | 9,673 |
| IPSAS adjustments to projects financed from reserves | | (144) | | (1,372) | | (566) | | (4) | | | | (2,086) |
| Total Expenditure (excl. special accounts)² | | 36,760 | | 531,283 | | 131,650 | | 24,279 | | 2,414 | | 726,387 |
| Surplus / (Deficit) (excl. special accounts)² | | 108 | | 66,166 | | 2,778 | | (13,107) | | (56) | | 55,888 |
| Special accounts contributions | | | | | | | | | | | | 20,666 |
| IPSAS adjustment to Special accounts contributions | | | | | | | | | | | | (1,752) |
| Special accounts expenditures | | | | | | | | | | | | 21,027 |
| IPSAS adjustment to Special accounts expenditures | | | | | | | | | | | | (2,113) |
| Surplus / (Deficit)² | | 108 | | 66,166 | | 2,778 | | (13,107) | | (56) | | 55,888 |
| Net assets | | | | | | | | | | | | |
| Restated Net Assets as at December 31, 2015 - Actuarial Gains/(losses) excluded | | 25,236 | | 217,276 | | 56,253 | | (12,530) | | (992) | | 285,243 |
| Surplus / (Deficit) ² | | 108 | | 66,166 | | 2,778 | | (13,107) | | (56) | | 55,888 |
| Return of Working Capital Funds | | | | (2,000) | | | | | | | | (2,000) |
| Revaluation of land | | 113 | | 1,645 | | 387 | | 67 | | 8 | | 2,220 |
| Net Assets as at December 31, 2017 - Actuarial Gains/(losses) excluded | | 25,457 | | 283,087 | | 59,418 | | (25,570) | | (1,040) | | 341,351 |
| Actuarial Gains/(Losses) through Net Assets as at December 31, 2017 | | (7,248) | | (103,461) | | (24,339) | | (3,102) | | (544) | | (138,694) |
| Net Assets as at December 31, 2017² | | 18,209 | | 179,626 | | 35,079 | | (28,672) | | (1,584) | | 202,657 |

¹ Actuals and IPSAS adjustments

² Includes adjustment of 5.3 million Swiss francs for 2016 personnel expenditure, as a result of the adoption of IPSAS 39

³ Differences of totals as compared to the Annual Financial Report and Financial Statements for 2016 and 2017 are due to rounding

Note 1: The Madrid Union has assumed the financing of the Hague Union's contribution of 3 million Swiss francs to the IT Modernization Program of the Madrid and Hague international registration systems. The amount will be reimbursed by the Hague Union to the Madrid Union as soon as the level of reserves of the Hague Union Reserve Fund so allows.

Note 2: In accordance with the decision of the Assemblies of the Member States of WIPO at their 55th Series of Meetings in 2015, the Contribution-financed Unions have assumed the financing of the deficit of the Lisbon Union in the biennium 2016/17 amounting to 75,550 Swiss francs. The amount will be reimbursed by the Lisbon Union to the Contribution-financed Unions as soon as the level of reserves of the Lisbon Union so allows.

ANNEX V Implementation of Cost Efficiency Measures in 2016/17

(amounts in Swiss francs)

| Area | Total savings 2016 ¹ | Total savings 2017 ² | Unit cost savings 2016 ³ | Unit cost savings 2017 ⁴ | Comments |
|--|------------------------------------|------------------------------------|--|--|---|
| Registrations systems | | | | | |
| Unit cost for processing applications under the PCT System | | | A decrease of 50 CHF (-6.8%) from 735 CHF in 2015 to 685 CHF in 2016 | | The unit cost for processing PCT applications increased by 2.5 % from 685 CHF in 2016 to 702 CHF in 2017. The average unit cost in 2016/17 amounted to 694 CHF i.e 0,6% lower than the 2014/15 biennial average. This was the result of an increase of 8.9% in the total cost of production, combined with an increase of 6.2% in the number of published applications compared to 2016. |
| Unit cost for processing applications and renewals under the Madrid System | | | A slight increase of 3 CHF (+0.4%) from 743 CHF in 2015 to 746 CHF in 2016 ⁵ | A decrease of 16 CHF (-2.0%) from 746 CHF in 2016 to 731 CHF in 2017 | The lower unit cost of processing applications and renewals under the Madrid System in 2017, resulted from an increase of 16.7% in the total cost of production, combined with an increase of 19.1% in the number of registrations and renewals compared to 2016. |
| Unit cost per document inscribed under the Madrid System | | | A slight decrease of 2 CHF (-0.6%) from 324 CHF in 2015 to 318 CHF in 2016 ⁵ | | The unit cost per document inscribed under the Madrid System increased from 318 CHF in 2016 to 320 CHF in 2017. This increase was driven by an increase of 16.7% in the total cost of production, combined with an increase of 15.9% in the number of inscribed documents compared to 2016. |
| Unit cost for processing new/renewed designs under the Hague System | | | An increase of 106 CHF (+31%) per new/renewed design from 337 CHF in 2015 to 443 CHF in 2016 ⁵ | | The unit cost for processing new/renewed designs under the Hague System increased from 443 CHF in 2016 to 587 CHF in 2017. This increase was driven by an increase of 37.7% in the total cost of production, combined with an increase of 3.8% in the number of new/renewed designs compared to 2016. |
| Unit cost for recording documents under the Hague System | | | An increase of 19 CHF (+2%) per recorded document from 1,153 CHF in 2015 to 1,172 CHF in 2016 ⁵ | | The average cost of recording a document in the Hague Register increased from 1,172 CHF in 2016 to 1,519 CHF in 2017. This increase was driven by an increase of 16.7% in the total cost of production, combined with an increase of 6.2% in the number of recorded documents compared to 2016. |
| Human Resources | | | | | |
| Language Training | 273,513 | | | | Cost savings in the biennium 2016/17 as compared to the previous biennium, resulted from the implementation of the revised WIPO Language Program. |
| Personnel Savings | 24,994,846 | | | | Personnel savings in 2016/17, as compared to the approved budget, amounted to 25 million CHF. This was the net result of savings in salaries partially offset by higher-than-budgeted expenditure in other personnel cost categories: <ul style="list-style-type: none"> - Savings on Salaries amounted to 32.5 million CHF, mainly driven by savings from a higher-than-budgeted vacancy rate (29.6 million CHF) and part-time working arrangements. - Expenditure related to Benefits and Entitlements amounted to 62.2 million CHF, i.e. 6.9 million CHF above the budgeted estimate, primarily due to: (i) the implementation of the unified salary scale (estimated shift of 2.7 million CHF from Salaries to Benefits and Entitlements); (ii) an increase in insurance premiums of 8.8%; (iii) the implementation of the GS dependency allowance; and (iv) a provision for the Rewards and Recognition program. - Other Staff costs amounted to 7.4 million CHF, i.e. 5.3 million CHF above the budgeted estimate, primarily driven by a litigation provision of 6.2 million CHF partially offset by lower-than-budgeted expenditure on the Professional Accident Insurance. |

(amounts in Swiss francs)

| Area | Total savings 2016 ¹ | Total savings 2017 ² | Unit cost savings 2016 ³ | Unit cost savings 2017 ⁴ | Comments |
|---|------------------------------------|------------------------------------|---|--|---|
| Administration and Management Services | | | | | |
| Procurement | | | | | |
| Procurement of goods and services | 1,801,919 | 4,937,121 | | | Additional savings in 2017 resulted from contracts negotiated by: (i) WIPO ⁶ , amounting to 4,158,610 CHF; and (ii) the Common Procurement Activities Group (CPAG) ⁷ , amounting to 778,511 CHF. |
| Travel | | | | | |
| Home leave travel cost | 1,091,811 | 841,319 | | | Cost savings resulted from the continuation of the implementation of the new home leave policy introduced in 2014 (transitional period ended in 2017). |
| Global average ticket fare | | | A reduction of 11.2% from 1,481 CHF in 2015 to 1,315 CHF in 2016 | | The average ticket fare increased from 1,315 CHF in 2016 to 1,333 CHF in 2017. The 1.4% increase was mainly due to late travel authorizations that led to late ticket purchase with higher fares. |
| Travel agent and UNDP fees | | | A reduction of 3.2% from 95 CHF in 2015 to 92 CHF in 2016 | | The travel agent and UNDP average fee increased from 92 CHF in 2016 to 94 CHF in 2017. The 2.1% increase was due to the higher proportion of tickets purchased through UNDP, which carried a higher service fee compared to the travel agent fees (UNDP average fee of 138 CHF compared to the travel agent average fee of 78 CHF). |
| Utilities | | | | | |
| Electricity cost ⁸ | 36,706 | | | | No additional savings in 2017 as compared to 2016. |
| Water cost ⁹ | 891 | 5,440 | | | Cost savings in 2017 resulted from the decrease of water cooling required for the AB Data Center due to its downsizing and the optimization of the watering scheduled timers for the outside gardens. |
| Storage and Parkings | | | | | |
| Storage areas cost (termination of leases) | | 52,872 | | | Cost savings in 2017 were due to the termination of two storage leases: (i) Meyrin I for 15,702 CHF; and (ii) Sablières I for 37,170 CHF. |
| Parking cost ("Parking des Nations") | 25,280 | 15,520 | | | Cost savings in 2017 resulted from the termination of 13 additional subscriptions in Parking des Nations. |
| Parking cost (CAM building) | 29,190 | | | | No additional savings in 2017 as compared to 2016. |
| ICT | | | | | |
| Mobile communication cost | 45,253 | | A reduction of the average monthly mobile subscription cost from 115 CHF in 2015 to 108 CHF in 2016 (6% decrease) | | No additional savings in 2017 as compared to 2016. |
| Email management cost | 38,675 | | | | No additional savings in 2017 as compared to 2016. |
| Data backup cost (for Storage on demand data) | | | | A decrease from 232 CHF/TB in 2016 to 164 CHF/TB in 2017 | Data backup cost decreased from 1.4 million CHF in 2016 to 1.2 million CHF in 2017, whereas storage data volume increased from 506 TB to 620 TB during the same period. Total data backup increased from 37,810 TB in 2016 to 39,108 TB in 2017. |

(amounts in Swiss francs)

| Area | Total savings 2016 ¹ | Total savings 2017 ² | Unit cost savings 2016 ³ | Unit cost savings 2017 ⁴ | Comments |
|--|---------------------------------|---------------------------------|--|---|--|
| Server hosting cost (virtual and physical) | | | | A decrease from 418 CHF/server in 2016 to 391 CHF/server in 2017 | Overall server hosting cost decreased from 3.6 million CHF in 2016 to 3.4 million CHF in 2017 (driven by a shift from physical to virtual servers, which leads to lower server support costs), whereas the average number of servers (virtual and physical combined) remained constant at 722 servers for 2016 and 2017. |
| Storage on demand cost | | | | A decrease from 233 CHF/TB in 2016 to 165 CHF/TB in 2017 | Storage on demand cost decreased from 1.4 million CHF in 2016 to 1.2 million CHF in 2017, whereas the average data storage volume increased from 506 TB to 620 TB during the same period. |
| Other | | | | | |
| Translation cost | 313,587 | | Cost per word decreased by 0.02 CHF from 0.57 CHF in 2015 to 0.55 CHF in 2016 ⁹ | Cost per word decreased by 0.02 CHF from 0.58 CHF in 2016 ¹⁰ to 0.56 CHF in 2017 | |
| Printing cost | 26,947 | | Increase in cost per page to 0.161 CHF in 2016 (+5% compared to 2015) | | The cost per page remained stable at 0.162 CHF in 2017 from 0.161 CHF in 2016. |
| Mailing cost ⁸ | 117,686 | | | | No additional savings in 2017 as compared to 2016. |
| Office supplies cost ⁸ | 25,657 | | | | No additional savings in 2017 as compared to 2016. |

¹2016 expenditure compared to 2015 expenditure.

²2017 expenditure compared to 2016 expenditure, unless otherwise indicated.

³Unit cost decreases in 2016 compared to 2015.

⁴Unit cost decreases in 2017 compared to 2016.

⁵The 2016 unit costs have been calculated based on a better repartitioning of the costs between the Madrid and Hague registry systems.

⁶Savings on WIPO negotiated contracts, are calculated by: (i) taking the negotiated discount over the original / list price for the volume/units in the contract; or (ii) taking the price difference against the previous contract and account for the one-off amount in 2017.

⁷Savings on CPAG contracts, are calculated by: (i) taking the negotiated discount over the original / list price and annualizing it to capture 12 months of savings; or (ii) taking the price difference against the previous contract and annualizing it.

⁸Total savings in 2016 for electricity, water, office supplies and mailing have been restated reflecting savings for the Organization as a whole. 2017 figures reflect the same approach. Total savings is based on 2017 expenditure compared to 2016 expenditure.

⁹The 2015 and 2016 unit costs have been calculated with the methodology used prior to the biennium 2016/17.

¹⁰The 2016 unit cost of 0.58 CHF has been restated using the same methodology as for the 2017 unit cost.

ANNEX VI Posts by Program in 2016/17

| Programs | 2016/17 Approved Budget | | | | | 2016/17 Final Budget after Transfers | | | | | Difference | | | | |
|--|-------------------------|-----------|------------|------------|-------------|--------------------------------------|-----------|------------|------------|-------------|-------------|----------|-----------|-------------|-------|
| | DG/DDG /ADG | D | P | G | Total | DG/DDG /ADG | D | P | G | Total | DG/DDG /ADG | D | P | G | Total |
| 1 Patent Law | | 1 | 5 | 3 | 9 | | 1 | 5 | 3 | 9 | | | | | |
| 2 Trademarks, Industrial Designs and Geographical Indications | | 1 | 7 | 1 | 9 | | 1 | 6 | 2 | 9 | | | (1) | 1 | |
| 3 Copyright and Related Rights | 1 | 3 | 12 | 5 | 21 | 1 | 4 | 12 | 5 | 22 | | 1 | | | 1 |
| 4 Traditional Knowledge, Traditional Cultural Expressions and Genetic Resources | | 1 | 3 | 1 | 5 | | 2 | 5 | 3 | 10 | | 1 | 2 | 2 | 5 |
| 5 The PCT System | 1 | 5 | 138 | 237 | 381 | 1 | 8 | 156 | 211 | 376 | | 3 | 18 | (26) | (5) |
| 6 Madrid System | 1 | 5 | 47 | 66 | 119 | 1 | 5 | 48 | 62 | 116 | | | 1 | (4) | (3) |
| 7 WIPO Arbitration and Mediation Center | | 1 | 12 | 6 | 19 | | 1 | 12 | 6 | 19 | | | | | |
| 8 Development Agenda Coordination | | 1 | 2 | 3 | 6 | | 1 | 2 | 3 | 6 | | | | | |
| 9 Africa, Arab, Asia and the Pacific, Latin America and the Caribbean Countries, Least Developed Countries | 1 | 6 | 27 | 16 | 50 | 1 | 6 | 27 | 17 | 51 | | | | 1 | 1 |
| 10 Transition and Developed Countries | | 1 | 9 | 5 | 15 | | 1 | 10 | 4 | 15 | | | 1 | (1) | |
| 11 The WIPO Academy | | 3 | 9 | 6 | 18 | | 3 | 10 | 6 | 19 | | | 1 | | 1 |
| 12 International Classifications and Standards | | 1 | 9 | 5 | 15 | | 1 | 10 | 4 | 15 | | | 1 | (1) | |
| 13 Global Databases | | 1 | 8 | 2 | 11 | | 1 | 12 | 5 | 18 | | | 4 | 3 | 7 |
| 14 Services for Access to Information and Knowledge | 1 | 1 | 7 | 4 | 13 | 1 | 1 | 8 | 4 | 14 | | | 1 | | 1 |
| 15 Business Solutions for IP Offices | | 1 | 13 | 3 | 17 | | 1 | 13 | 2 | 16 | | | | (1) | (1) |
| 16 Economics and Statistics | | 1 | 9 | 2 | 12 | | 1 | 12 | 2 | 15 | | | 3 | | 3 |
| 17 Building Respect for IP | | 1 | 5 | 2 | 8 | | 1 | 5 | 2 | 8 | | | | | |
| 18 IP and Global Challenges | 1 | 2 | 3 | 4 | 10 | 1 | 1 | 4 | 4 | 10 | | (1) | 1 | | |
| 19 Communications | | 1 | 19 | 16 | 36 | | 1 | 21 | 15 | 37 | | | 2 | (1) | 1 |
| 20 External Relations, Partnerships and External Offices | | 5 | 10 | 5 | 20 | | 6 | 15 | 5 | 26 | | 1 | 5 | | 6 |
| 21 Executive Management | 2 | 4 | 16 | 16 | 38 | 2 | 3 | 18 | 23 | 46 | | (1) | 2 | 7 | 8 |
| 22 Program and Resource Management | | 4 | 29 | 33 | 66 | | 4 | 33 | 32 | 69 | | | 4 | (1) | 3 |
| 23 Human Resources Management and Development | | 2 | 17 | 25 | 44 | | 2 | 18 | 24 | 44 | | | 1 | (1) | |
| 24 General Support Services | 1 | 2 | 15 | 38 | 56 | 1 | 2 | 18 | 32 | 53 | | | 3 | (6) | (3) |
| 25 Information and Communication Technology | | 3 | 16 | 17 | 36 | | 3 | 17 | 15 | 35 | | | 1 | (2) | (1) |
| 26 Internal Oversight | | 1 | 6 | 1 | 8 | | 1 | 7 | 2 | 10 | | | 1 | 1 | 2 |
| 27 Conference and Language Services | | 2 | 32 | 44 | 78 | | 2 | 32 | 38 | 72 | | | | (6) | (6) |
| 28 Information Assurance, Safety and Security | | 1 | 5 | 4 | 10 | | 1 | 6 | 4 | 11 | | | 1 | | 1 |
| 30 SMEs and Entrepreneurship Support | | 1 | 7 | 2 | 10 | | | 9 | 2 | 11 | | (1) | 2 | | 1 |
| 31 The Hague System | | 1 | 6 | 7 | 14 | | 2 | 9 | 11 | 22 | | 1 | 3 | 4 | 8 |
| 32 Lisbon System | | | 2 | | 2 | | 1 | 1 | 1 | 3 | | 1 | (1) | 1 | 1 |
| Unallocated ¹ | | | 3 | 46 | 49 | | | 7 | 11 | 18 | | | 4 | (35) | (31) |
| TOTAL | 9 | 63 | 508 | 625 | 1205 | 9 | 68 | 568 | 560 | 1205 | | 5 | 60 | (65) | |

¹ Includes eight unclassified positions, equally allocated to P and G (four each)

ANNEX VII Indicators of the PCT System

Performance Indicators for the Expected Result “Improved Productivity and Service Quality of PCT Operations”

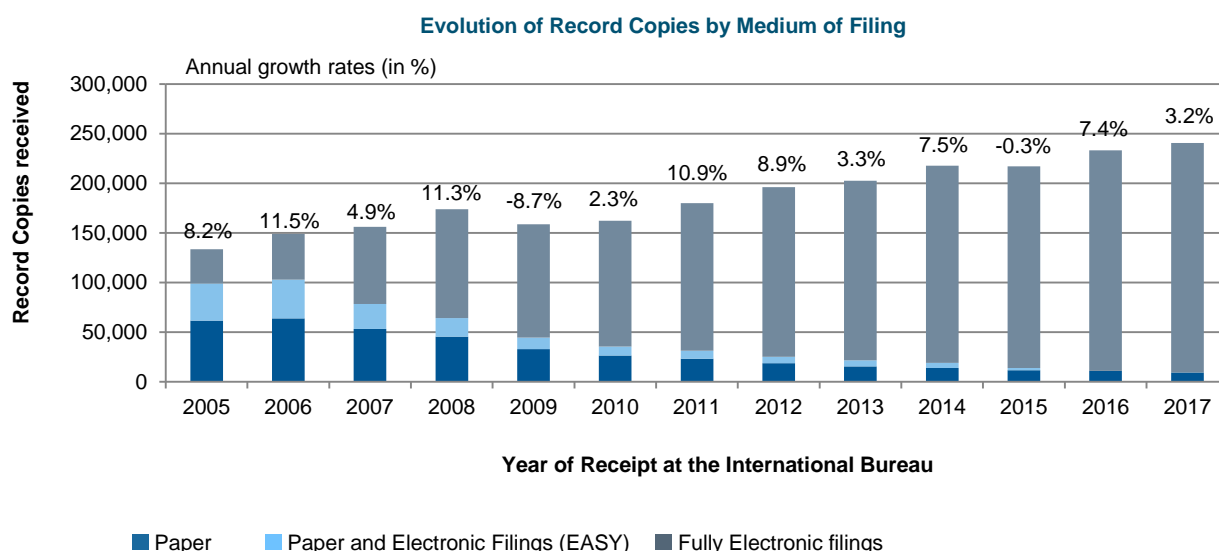
General

As background for the performance indicators for the expected result “improved productivity and service quality of PCT operations”, the evolution of the following factors need to be considered:

- The PCT workloads;
- The language distribution of those workloads;
- The number of staff assigned to process those workloads; and
- The level of automation.

Workloads

The workloads are tracked on the basis of the yearly number of record copies received by the International Bureau (IB).²⁰⁸



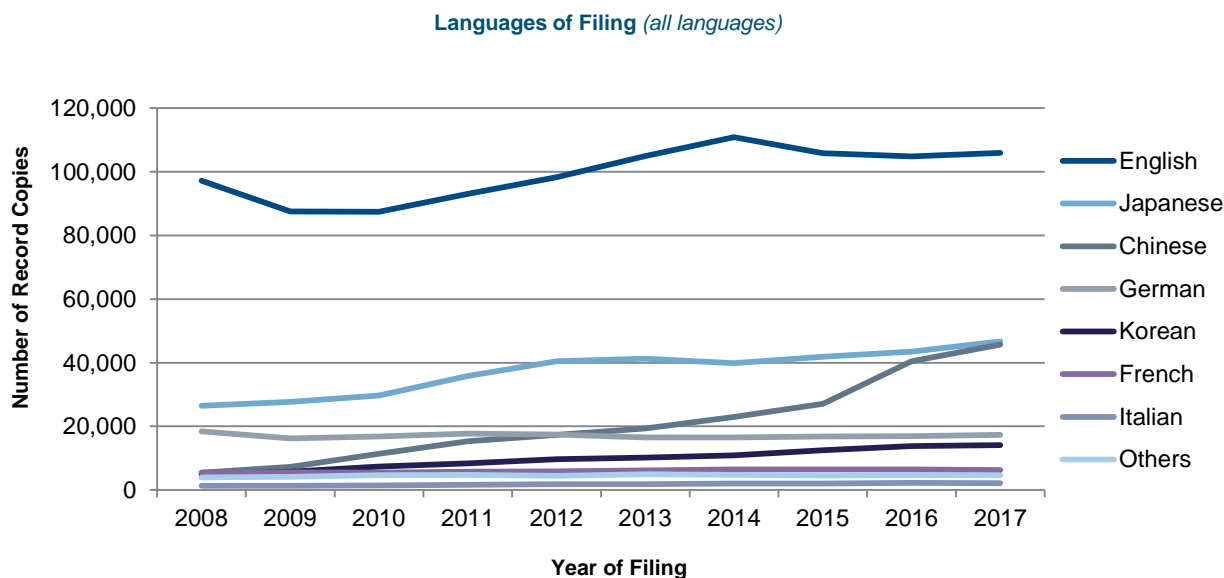
Source: WIPO Statistics Database, March 2018
Note: 2017 data may be incomplete.

- The IB received 240,566 record copies in 2017, representing an increase of 3.2 per cent compared to the previous year.
- In 2017, the share of fully electronic filing methods continued to increase and represented 96 per cent of total filings.

²⁰⁸ A record copy is a PCT application transmitted to the International Bureau (IB) by a receiving Office after its filing at, and its processing by, that Office. Because record copies are only received at the IB after processing at a receiving Office, the figures are strongly influenced by processing times at these Offices. For this reason, trends in the receipt of record copies, while valid indicators of IB workloads, do not exactly match trends in the filing of PCT applications.

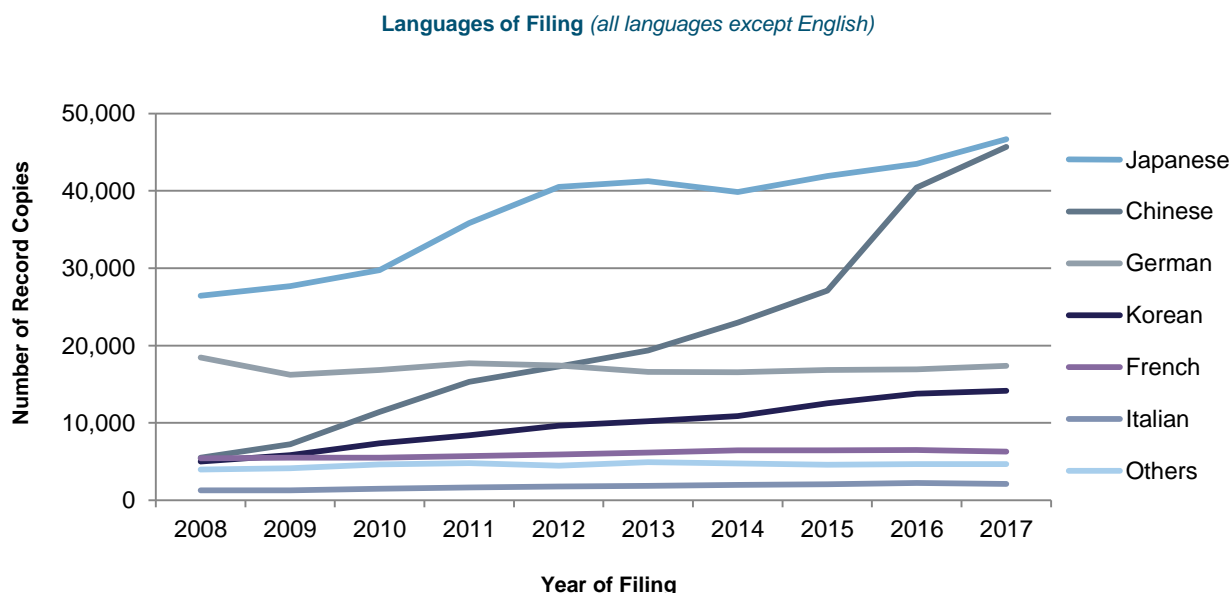
Language Distribution

One fundamental development driving change in the IB is the increasing language diversity of filings, resulting, in particular, from continued increased usage of the PCT System in East Asian countries.



Source: WIPO Statistics Database, March 2018
Note: 2017 data may be incomplete.

English accounts for the largest proportion of filings with 43.6 per cent of total filings in 2017. The shares of Asian languages have increased over the past decade. The combined share of the PCT applications filed in Japanese, Chinese and Korean increased from 29.5 per cent in 2010 to 43.9 per cent in 2017. Zooming in on languages other than English provides the following picture:

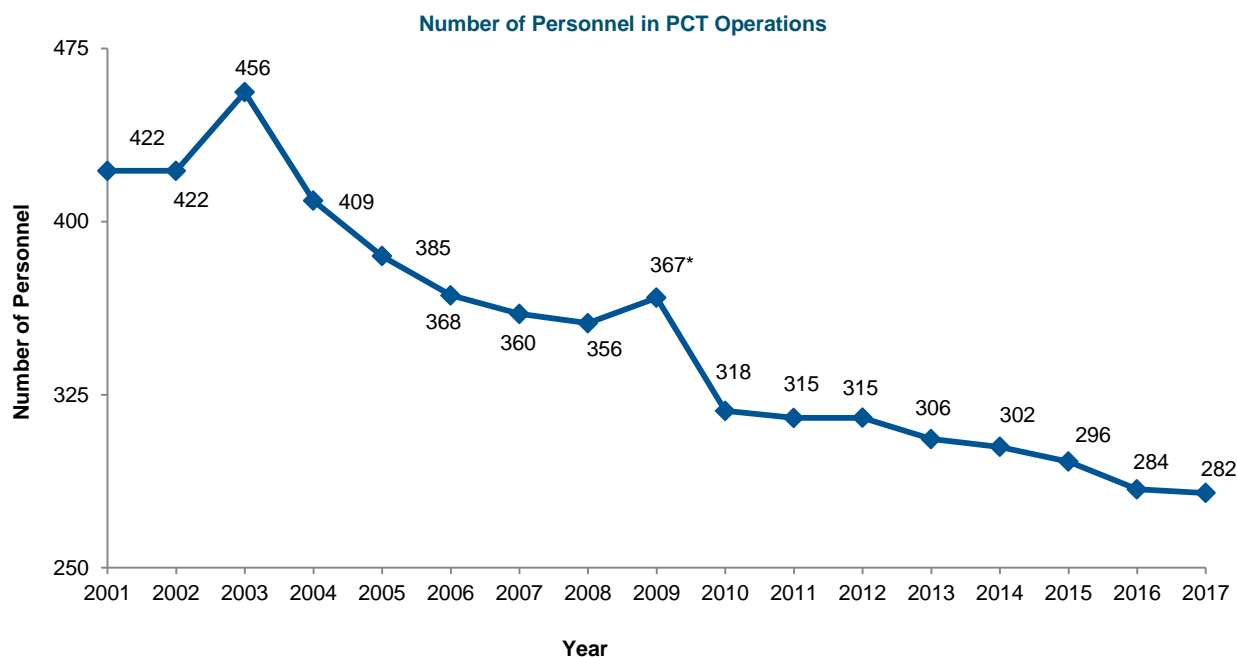


Source: WIPO Statistics Database, March 2018
Note: 2017 data may be incomplete.

The sharp increase of applications filed in Asian languages in the recent years put a considerable strain on the IB due to the limited number of staff resources able to work in these languages. Mitigation of this issue is automation of certain tasks and recruitment of staff able to work in these languages.

Staff

The chart below shows the number of PCT Operations staff since 2001, in Full Time Staff Equivalent (FTSE-total number of full-time staff plus the full-time equivalent of part-time staff). The number of personnel in PCT Operations further decreased in 2017.



Source: PCT Services, January 2018

Note: Personnel is counted in full time equivalent from December lists of staff.

* The increase in personnel in 2009 was due to the integration into the PCT Operations Divisions of two units which were not part of the Division prior to 2009 (and therefore were not counted as part of its personnel at that time). The units in question are the PCT Information Systems Service (30 persons) and the PCT fee handling team (2 persons). Without the integration of these two units, the number of personnel in the Division would have decreased from 356 in 2008 to 335 in 2009.

Unit Cost of Processing an Application

The IB's efficiency in processing PCT applications can be measured by the unit cost, defined as the average cost of producing one unit of output. The total cost of production comprises expenditure relating exclusively to the PCT System and expenditure of activities supporting the System. The expenditure relating exclusively to the PCT System includes those of Program 5 (the PCT System).

Expenditure of activities supporting the PCT System comprises the expenditure of the following services: conference and language services, construction, executive management, finance and budget, general support services, human resources management, internal oversight, IT and safety and security. A small proportion of these expenses (cost of server hosting at UNICC, estimated cost of the authentic publication source of PCT applications (PATENTSCOPE) and share of cost of the Income Section in Finance) are directly attributed to the PCT System whereas the remaining of such expenses attributable to the PCT System are calculated based on headcount (including fixed term staff, temporary staff and fellows).

The methodology to compute the unit cost was revised in 2013 in order to align it with other WIPO unit cost calculations and to better capture a fast changing environment. For example, the old method, which was designed in 2007, included a cost of storage (over 30 years) in warehouses, whereas paper filings (including PCT EASY filings) accounted for less than 10 per cent of filings in 2013. The 2012 PCT unit cost has been calculated using both methods. The 2012 unit cost amounted to 680 Swiss francs using the old method and to 712 Swiss francs using the new method. The 32 Swiss francs difference is due to the new method for allocating indirect costs.

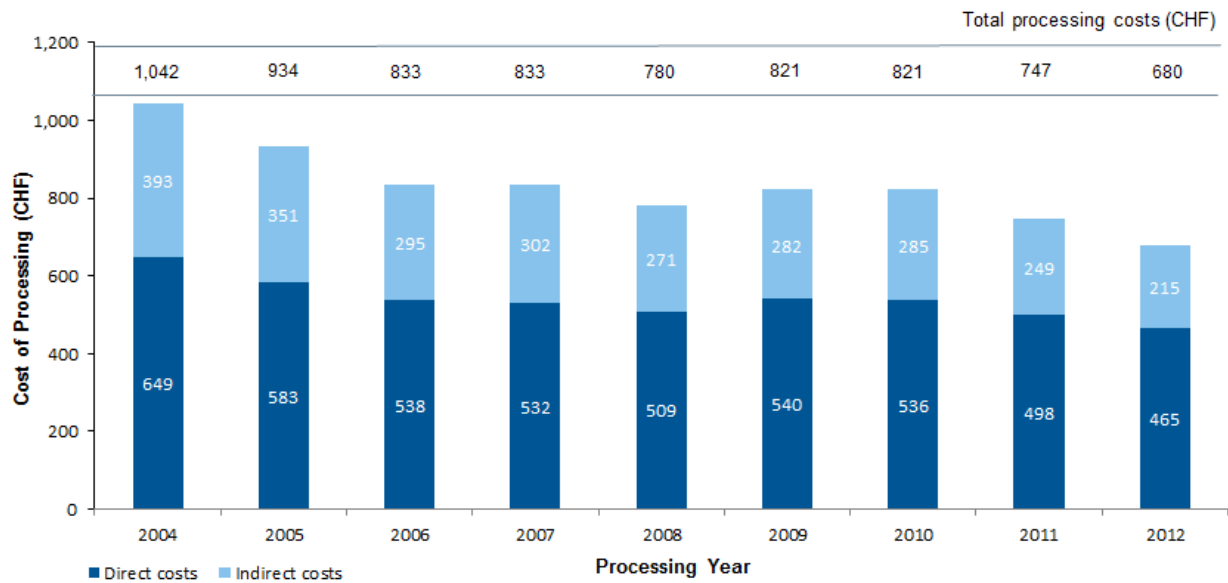
Formally, unit cost is defined as:

$$\text{Unit cost} = \frac{\text{Total cost of production}}{\text{Number of publications}}$$

The graphs below depict the evolution of the unit cost of processing from 2004 to 2012 using the old method and from 2012 to 2016 using the new method, including a breakdown of the contribution of direct and indirect costs.

Unit Cost of Processing a Published PCT Application

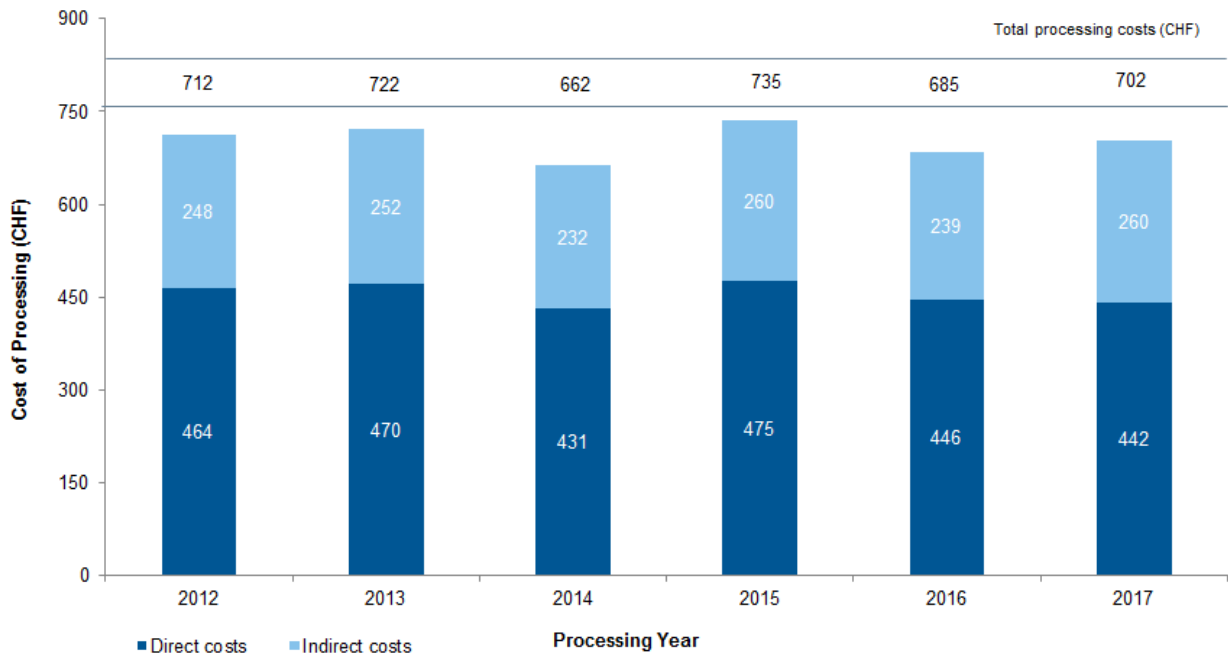
Old method



Source: WIPO Statistics Database, March 2013

Note: The average cost of published PCT application is an estimation which is calculated by dividing the total processing cost by the number of published PCT applications. Historical data have been revised and may differ from previous reported data.

New method



Source: WIPO Statistics Database, April 2018

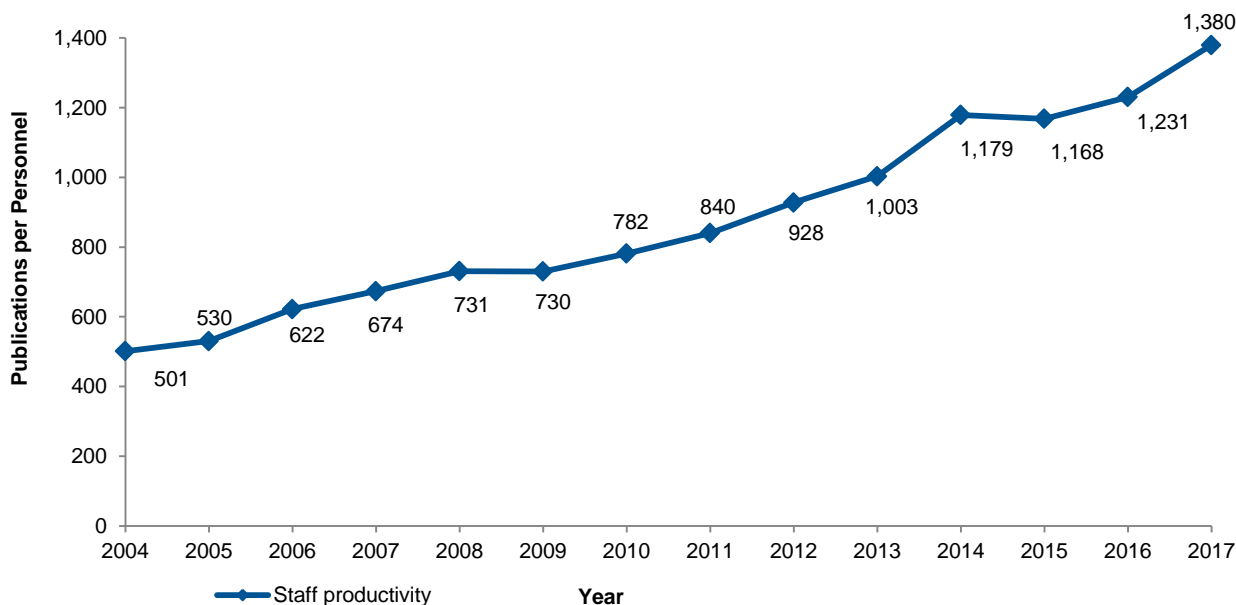
Note: The average cost of processing a published PCT application is an estimation which is calculated by dividing the total processing cost by the number of published PCT applications. Historical data have been revised.

- The average cost of processing a published PCT application was 702 Swiss francs in 2017, representing an increase of 2.5 per cent compared to 2016. This increase was due to an increase of the indirect costs per published application of 8.6 per cent. The direct costs per published application decreased by 0.8 per cent.

Productivity of Formalities Examination

The definition of staff productivity is output (i.e. the number of PCT publications) divided by the number of staff for formalities examination.

Productivity of Formality Examination



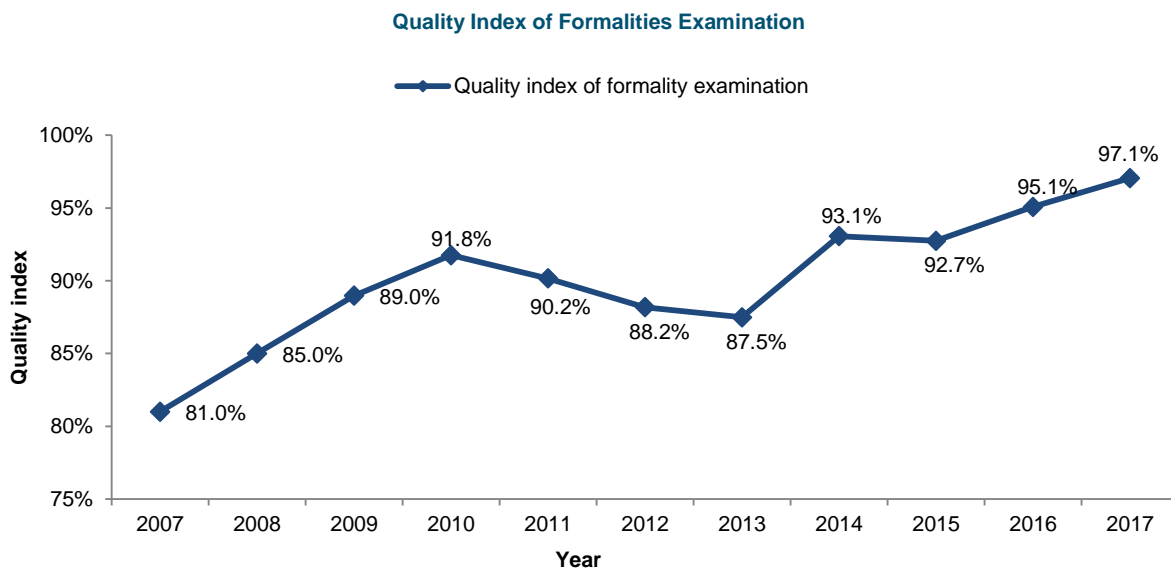
Source: WIPO Statistics Database, January 2018.

Note: Personnel is counted in full time equivalent from December lists of staff.

- Productivity of formalities examination increases over time, mainly due to automation, which permits the processing of much larger workloads with less or equal staff.
- In 2017, the productivity of formalities examination increased by 12.1 per cent compared to 2016.

Aggregate Quality of Formalities Examination

In order to measure the quality of the work performed by the IB in a simple and comprehensive manner, the IB has developed an aggregate quality index, calculated as the average of four lead quality indicators. Three of these indicators are based on the timeliness of key transactions: acknowledgement of receipt of the PCT application, publication and republication. The fourth indicator reflects errors made during the processing of PCT applications.

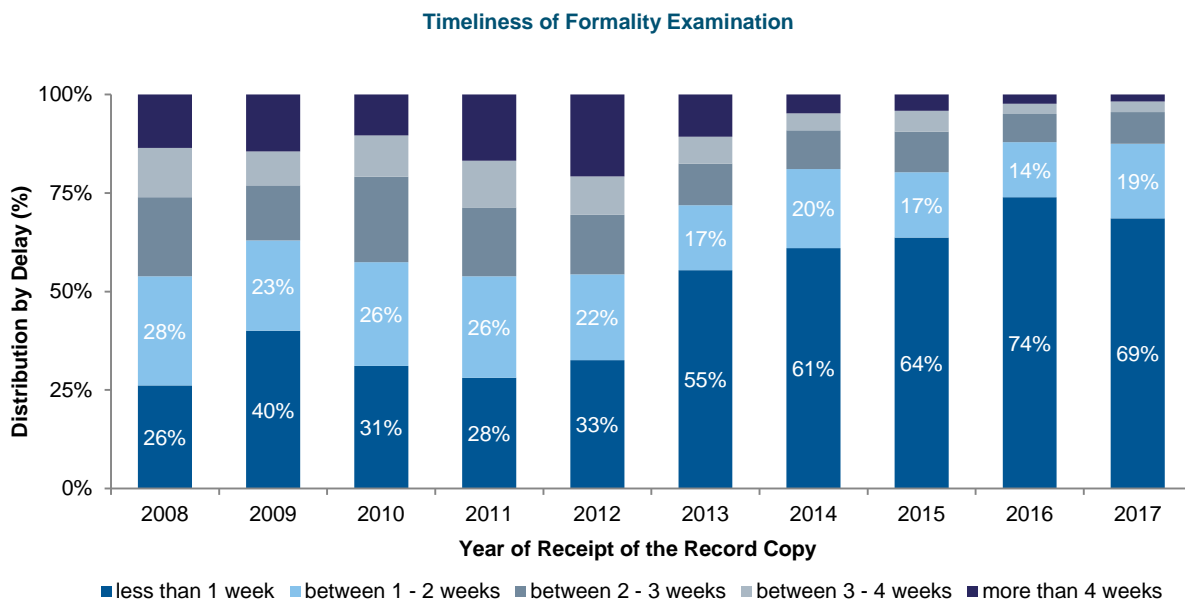


Source: WIPO Statistics Database, January 2018.

- The overall quality, as measured by the aggregate index, improved markedly from an average of 81 per cent in 2007 to 97.1 per cent in 2017.

Timeliness of Formalities Examination

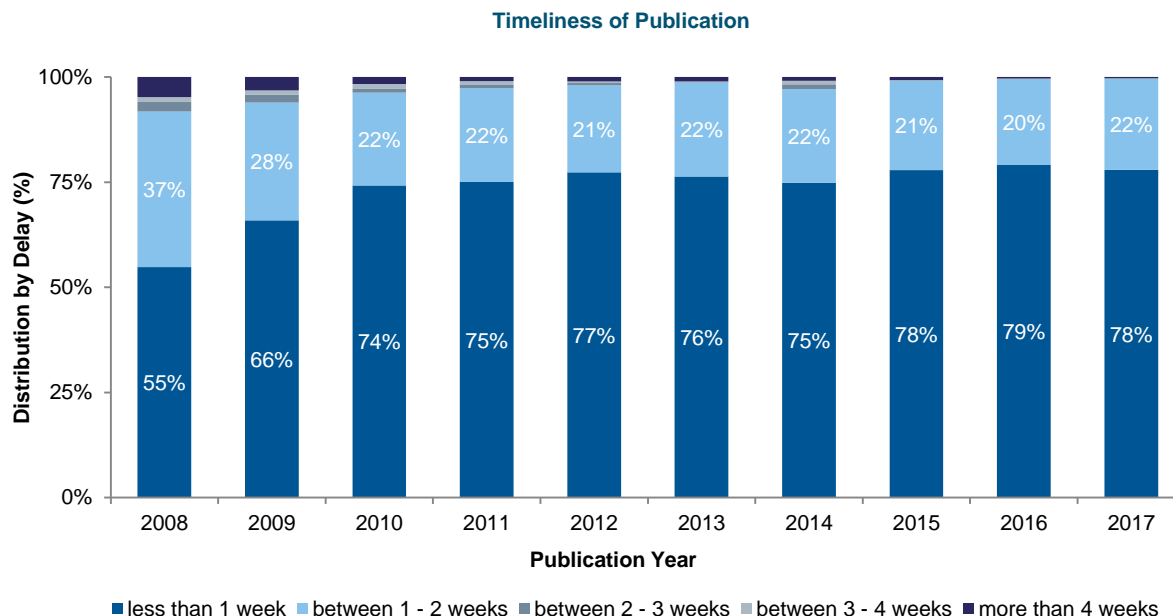
This indicator reflects in more detail one of the components of the aggregate quality indicator, namely the time required by the IB to issue Form 301. This form is issued after the formality examination of the application has been completed. Applicants appreciate receiving this form as soon as possible because it acknowledges receipt of the application at the IB and allow them to know whether their application has any formal defects.



Source: WIPO Statistics Database, January 2018.

Timeliness of Publication

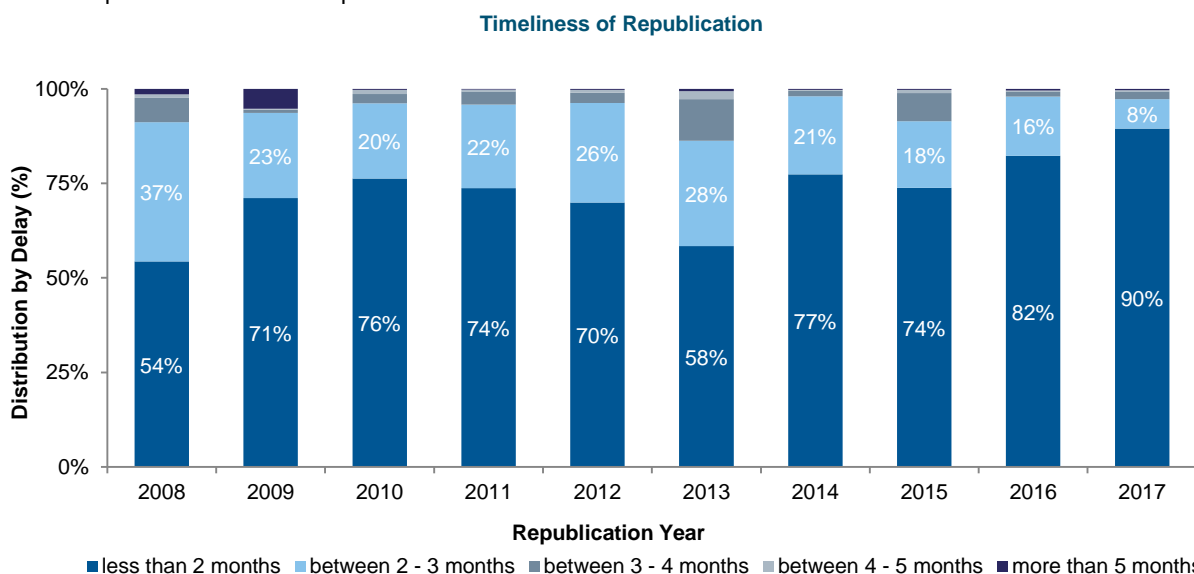
This indicator reflects in more detail one of the components of the aggregate quality indicator, namely, the time required by the IB to publish the application. Article 21 (2) (a) of the PCT states that the "... international publication of the international application shall be effected promptly after the expiration of 18 months from the priority date of that application."



Source: WIPO Statistics Database, January 2018

Timeliness of Republication

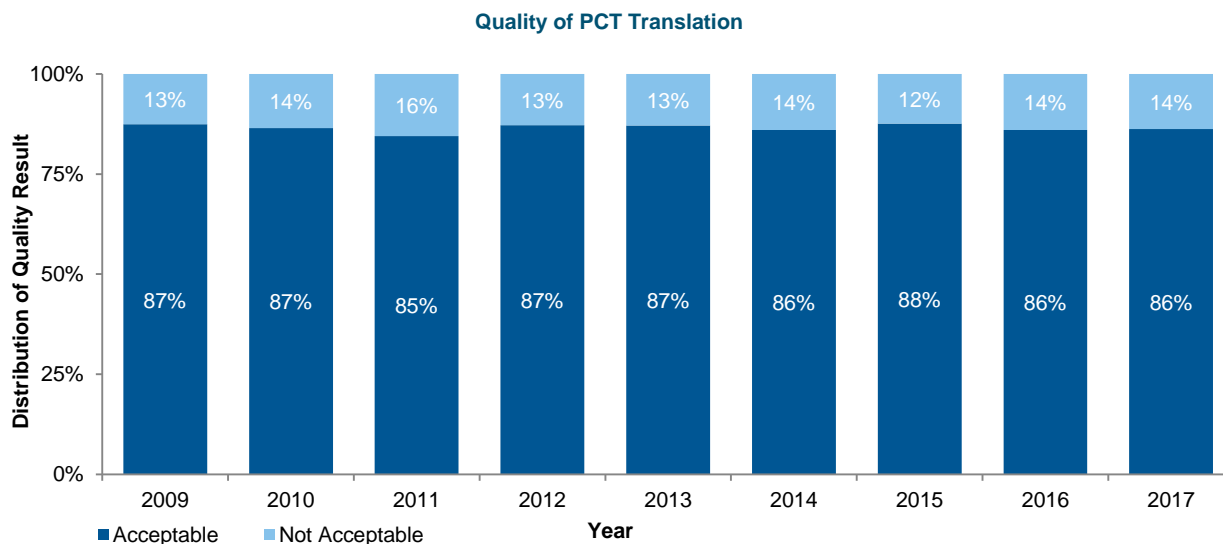
This indicator reflects in more detail one of the components of the aggregate quality indicator, namely the time required by the IB to republish the application with the international search report (ISR). Due to delays in the communication of ISRs by International Searching Authorities (ISAs), a number of international applications are published without the ISR. When the ISR becomes available, the international application needs to be republished with the ISR as soon as possible, so as to complete the international publication.



Source: WIPO Statistics Database, January 2018.

Quality of Translation

Statistically calculated numbers of documents are selected at random from translations of abstracts and patentability reports prepared under the responsibility of the IB for quality control. The evaluation determines whether a translation is “acceptable” or “not acceptable”. This indicator aggregates the results of such quality control performed by the IB across all language combinations and document types. Relationships with any agencies that consistently have less than 80 per cent of their translations deemed “acceptable” are discontinued. Quality increased slightly by 0.2 percentage point compared to 2016.

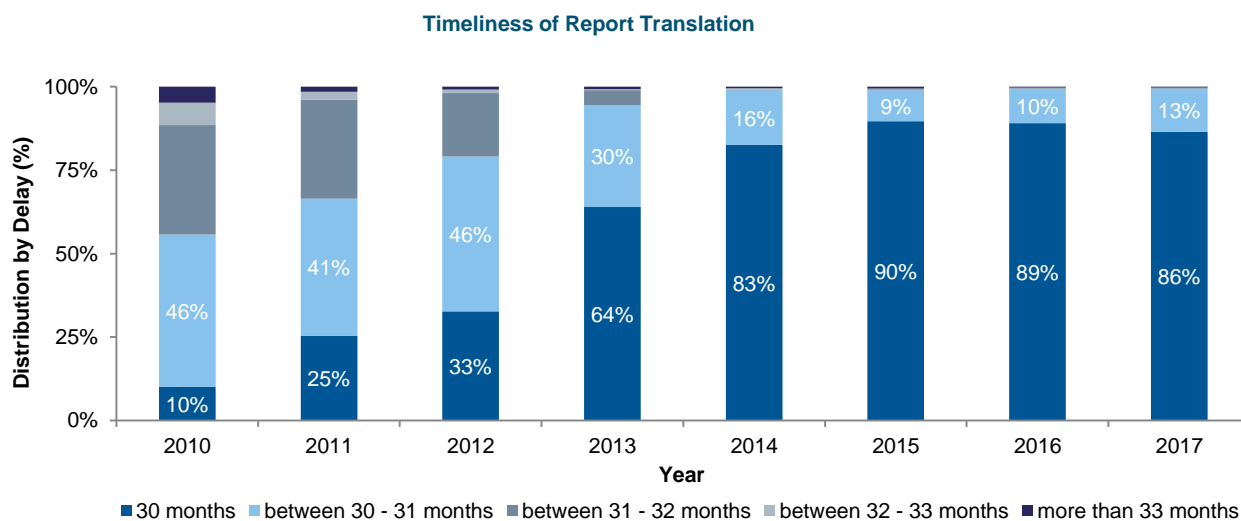


Source: PCT Services, February 2018

Timeliness of Report Translation

This indicator provides information on the timeliness with which patentability report translations are made available by the IB to applicants and Offices. The share of patentability report translations delivered at 30 months from the priority date of the international application has steadily increased between 2010 and 2015, and has stabilized since 2015. In 2017, 86 per cent of patentability report translations were delivered at 30 months, while 99 per cent were delivered by 31 months.

The increase of 3 per cent in the percentage of patentability reports arriving between 30 and 31 months was due to slight delays in the arrival of documents from national offices within a timeframe meeting with their legal obligations but leaving little time for translation.



Source: PCT Services, February 2018

Quality of Software Development

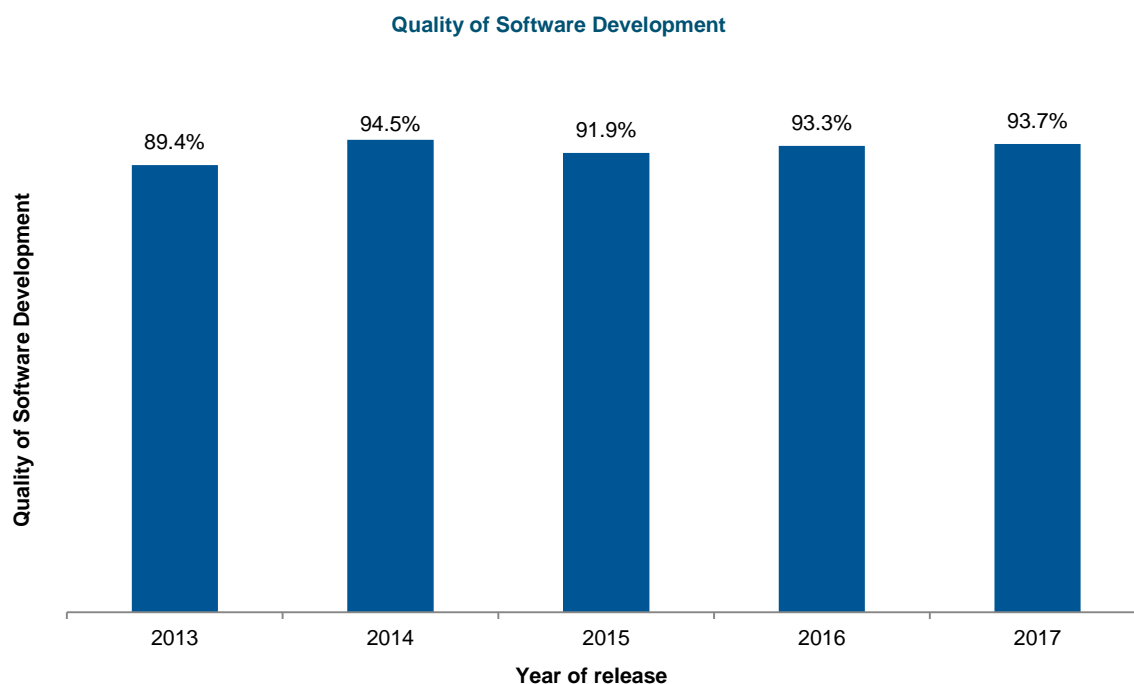
The quality of software development (QSD) indicator provides a measure of the quality of major software releases for eDossier and ePCT projects. The QSD reflects the share of the time spent delivering new functionality in the release (i.e. work) out of the total time spent (i.e. work + rework). Rework is the time spent correcting defective work that was detected in the production environment.

Under this approach, development outputs that contain low levels of rework are deemed high quality as it reflects the extent of value added to the product through the delivery of new features.

The QSD is defined as:

$$\text{Quality of software development} = \frac{\text{Work}}{\text{Work} + \text{Rework}} * 100$$

In 2016, the quality of major releases, as defined by the QSD, was 93.3 per cent. In 2017 there was a slight increase to 93.7 per cent.



Source: PCT Services, February 2018

Information Systems Service Levels

The “information systems service levels (ISSL)” performance indicator reflects the performance of the service provided by the PCT information systems service to users, based on its ability to meet agreed targets.

This composite indicator is calculated using the average of five target-based performance indicators²⁰⁹. Each indicator is expressed as the percentage of the target actually attained.

In 2016, the overall service level improved for the third consecutive year to reach the level of 97.1 per cent. The overall service level remained stable in 2017, with 97.1 per cent of services meeting the target performance levels.

²⁰⁹ Following an independent review of PCTIS performance metrics, its definition slightly changed from the one described in the Program and Budget 2014/15

Information Systems Service Levels

| Performance Indicator <i>Short description</i> | Target | Conditions | Results | | | | |
|--|--|--|--------------|--------------|--------------|--------------|--------------|
| | | | 2013 | 2014 | 2015 | 2016 | 2017 |
| Incident resolution time <i>Working time (7am-7pm on WIPO working days) between a ticket being created and resolved.</i> | Severity 1: 4 hours Severity 2: 2 days Severity 3: 5 days Severity 4: 10 days | Production and Support tickets resolved by the support team | 85.5% | 87.6% | 93.6% | 96.9% | 95.0% |
| Document load time <i>elapsed time between receipt of document at IB and its availability in eDossier</i> | 8 hours | Documents loaded by a semi or fully automated process | 80.0% | 88.2% | 89.5% | 88.9% | 90.8% |
| Batch job processing success rate | 100% | Batch jobs to be completed successfully by the close of business on the scheduled date | 99.6% | 99.5% | 99.6% | 99.6% | 99.5% |
| eDossier system availability | 99% | 7am-7pm on working days | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% |
| ePCT system availability | 99% | 24 hours | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% |
| Information systems service levels (ISSL) <i>Average of the above indicators</i> | | | 93.0% | 95.1% | 96.5% | 97.1% | 97.1% |

Source: PCT Services, February 2018

Receiving Office at the International Bureau (RO/IB)

Filings

This table presents PCT filings by the top 10 receiving Offices over the past five years to 2017. In principle, a PCT application is filed at the national patent office of the applicant's home country or at a regional patent office acting for the applicant's home jurisdiction. The IB is a competent receiving Office (RO/IB) for applicants from all PCT contracting States. The evolution of the filings at the RO/IB, its ranking in terms of the number of filings among other receiving Offices, as well as its market share can be observed in this table.

PCT applications received by the top 10 receiving Offices

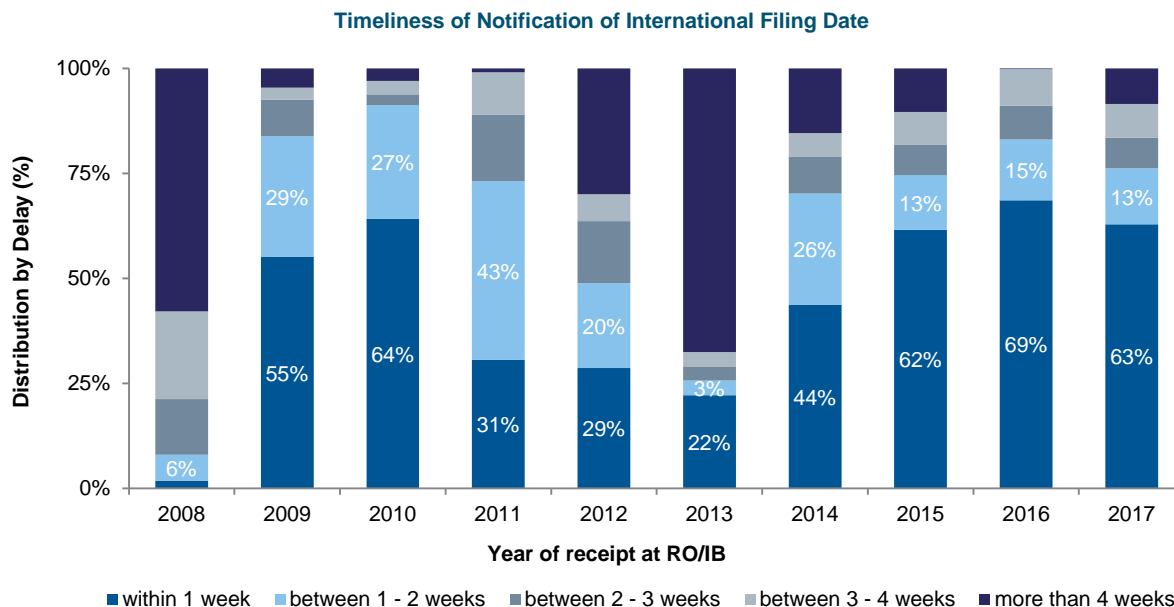
| Receiving Offices | International Filing Year | | | | | 2017 Share (%) | Changed compared to 2016 (%) |
|--------------------------|---------------------------|----------------|----------------|----------------|----------------|----------------|------------------------------|
| | 2013 | 2014 | 2015 | 2016 | 2017 | | |
| United States of America | 57,686 | 61,974 | 57,591 | 56,678 | 56,158 | 23.1 | -0.9 |
| China | 22,927 | 27,088 | 31,045 | 44,462 | 50,674 | 20.8 | 14.0 |
| Japan | 43,075 | 41,292 | 43,097 | 44,495 | 47,425 | 19.5 | 6.6 |
| European Patent Office | 32,043 | 32,906 | 34,158 | 35,288 | 36,714 | 15.1 | 4.0 |
| Republic of Korea | 12,439 | 13,137 | 14,592 | 15,595 | 15,830 | 6.5 | 1.5 |
| International Bureau | 10,403 | 10,539 | 10,329 | 10,022 | 10,212 | 4.2 | 1.9 |
| United Kingdom | 3,894 | 4,241 | 4,100 | 4,008 | 3,941 | 1.6 | -1.7 |
| France | 3,313 | 3,508 | 3,515 | 3,606 | 3,827 | 1.6 | 6.1 |
| Canada | 2,092 | 2,174 | 1,988 | 1,859 | 1,871 | 0.8 | 0.6 |
| Australia | 1,521 | 1,622 | 1,615 | 1,703 | 1,756 | 0.7 | 3.1 |
| All others | 15,913 | 15,851 | 15,203 | 15,197 | 15,092 | 6.2 | -0.7 |
| Total | 205,306 | 214,332 | 217,233 | 232,913 | 243,500 | 100.0 | 4.5 |

Source: WIPO Statistics Database, March 2018

Note: 2017 data are estimated

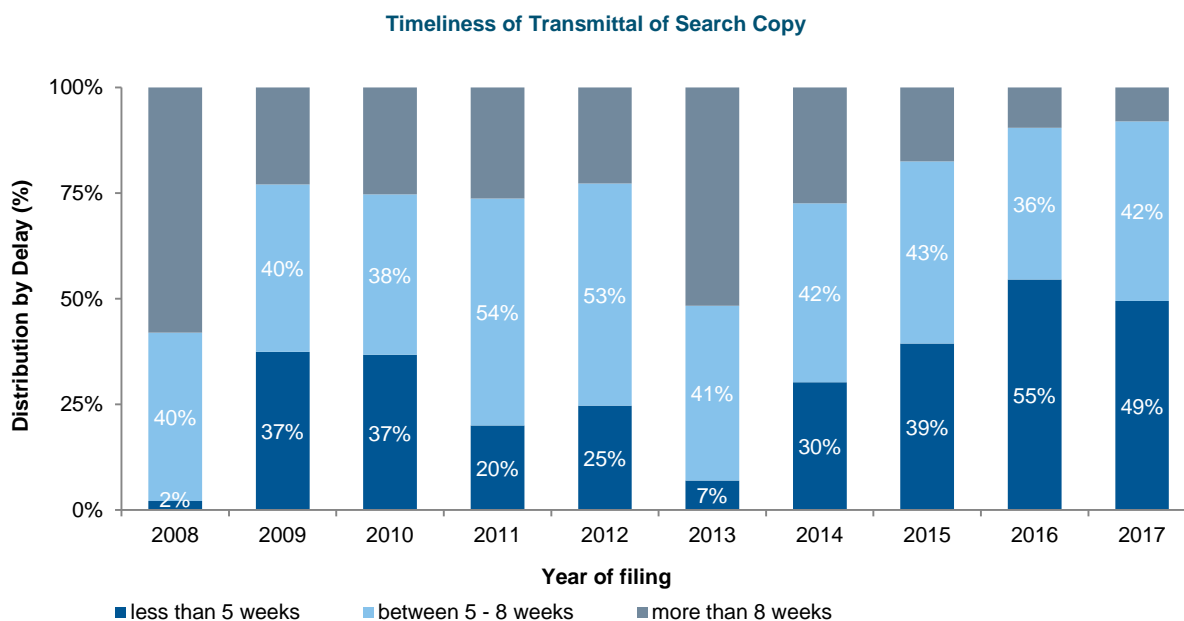
Timeliness of Notification of International Filing Date

This indicator reflects the time required by the RO/IB to issue Form 105. This form is issued after the international filing date has been accorded. Applicants appreciate receiving this form as soon as possible, because an international application has the effect of a regular national application in each designated State as of the international filing date, which date shall be considered to be the actual filing date in each designated State.



Timeliness of Transmittal of Search Copy

This indicator reflects the time required by the RO/IB to transmit the search copies to the ISAs. The search copy is to be transmitted promptly after payment of the search fee, so that the ISA can establish the ISR within the deadlines stipulated by the PCT regulatory framework. Delays in paying the fee will delay the transmission of the search copies to the ISAs and therefore negatively impact upon the ability of ISAs to meet these deadlines.



ANNEX VIII Indicators of Madrid Operations

Performance Indicators for the Expected Result “Improved Productivity and Service Quality of Madrid Operations”

General

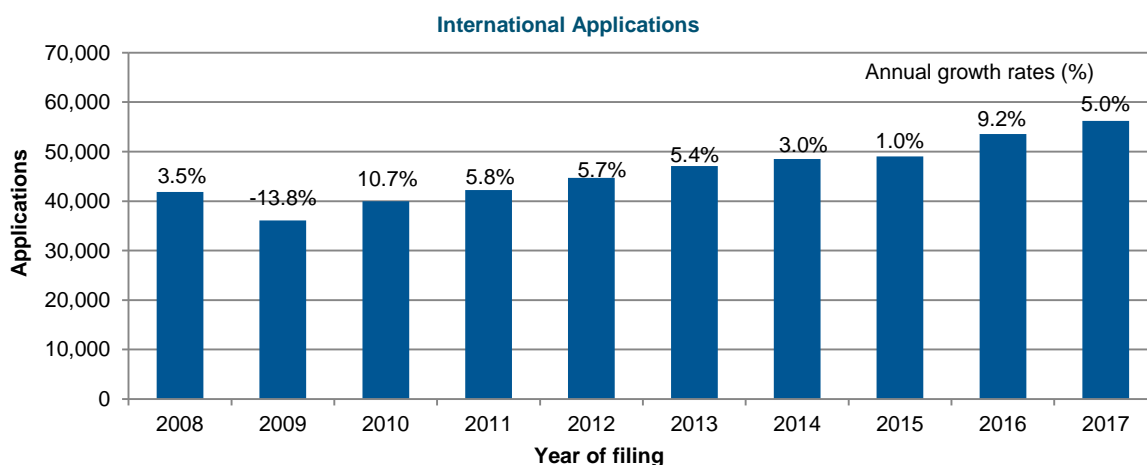
In March 2016, the IT legacy system (MAPS) used by Madrid Operations was replaced by a new IT System (MIRIS). Some of the following indicators, such as processed workload, pendency and some quality indicators were impacted by an initial system instability following the deployment of MIRIS. As of the fourth quarter of 2016, the system was stabilized and production was brought back to historical average levels throughout the course of 2017.

When assessing performance indicators to determine the expected result “improved productivity and service quality of Madrid operations”, the following factors should be considered:

- Madrid workload;
- Composition of the workload;
- Number of staff assigned to process the workload;
- Level of automation; and,
- Total cost of production.

Incoming Documents

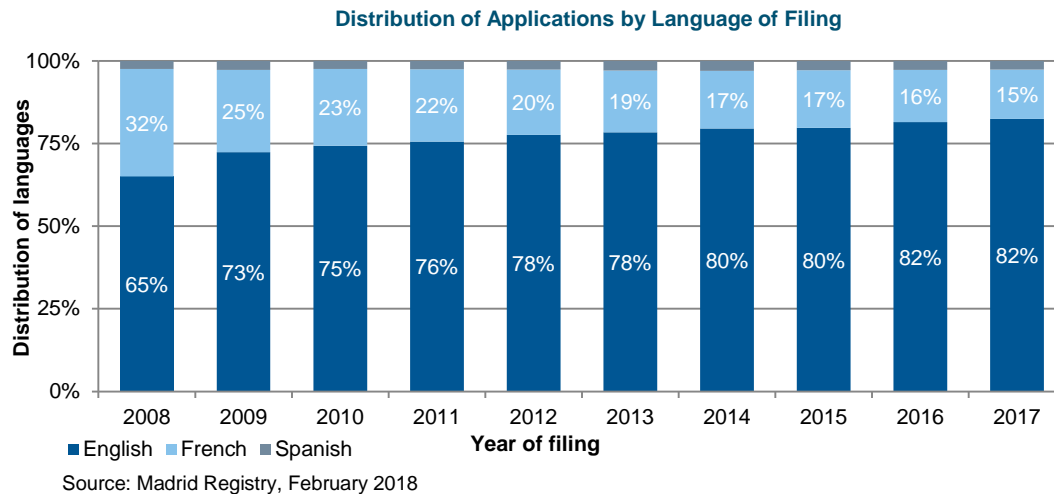
The International Bureau (IB) receives six different categories of documents, namely international applications, renewals, subsequent designations, modifications, decisions and corrections. The latest trend for the number of documents received by the IB in relation to each of these categories is presented below. With respect to international applications, additional information, such as the average number of classes and average length of the application, is also provided. For technical reasons, some indicators show data based on processed rather than incoming documents. Backlogs in processing may therefore affect some indicators. Moreover, in 2016, the IB changed its methodology for determining the date of receipt of international applications, by using the filing date of an international application at the Office of origin rather than the date of receipt of an international application by the IB.



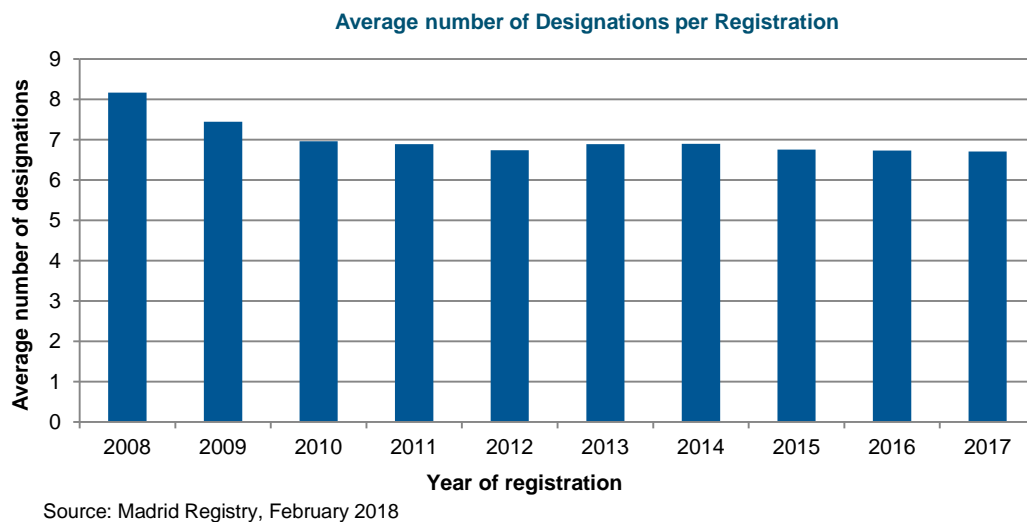
Source: WIPO IP Statistics Database, March 2018.

Note: 2017 data are WIPO estimates. Data are provided based on the date of filing at the Office of origin.

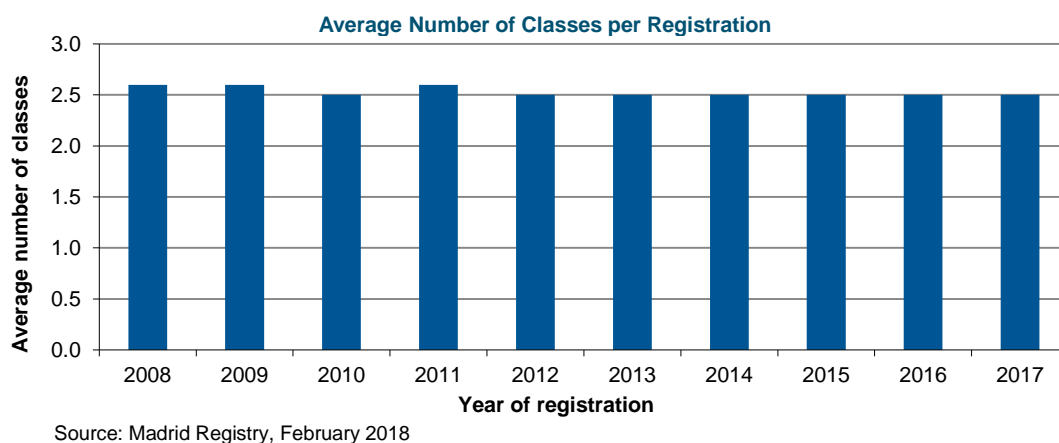
- In 2017, an estimated 56,200 applications were filed, representing an increase of 5 per cent compared to 2016.
- The numbers of applications filed have increased continuously since 2010.



- In 2017, 82 per cent of all applications were filed in English. This share has grown by 17 percentage points since 2008, when English applications comprised 65 per cent of all applications filed.



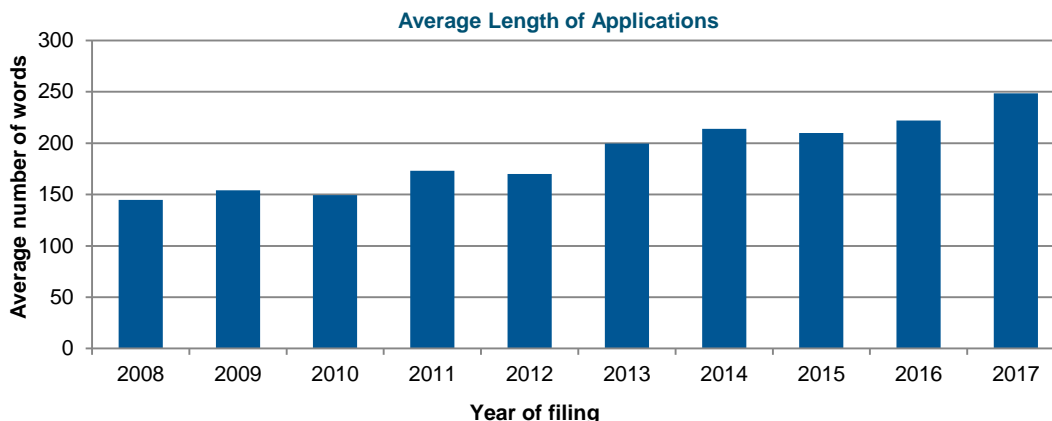
- An average 6.7 designations were made in applications registered in 2017. This average has remained stable since 2010.



- The average number of classes specified in registrations (2.5 classes) has remained stable since 2008.

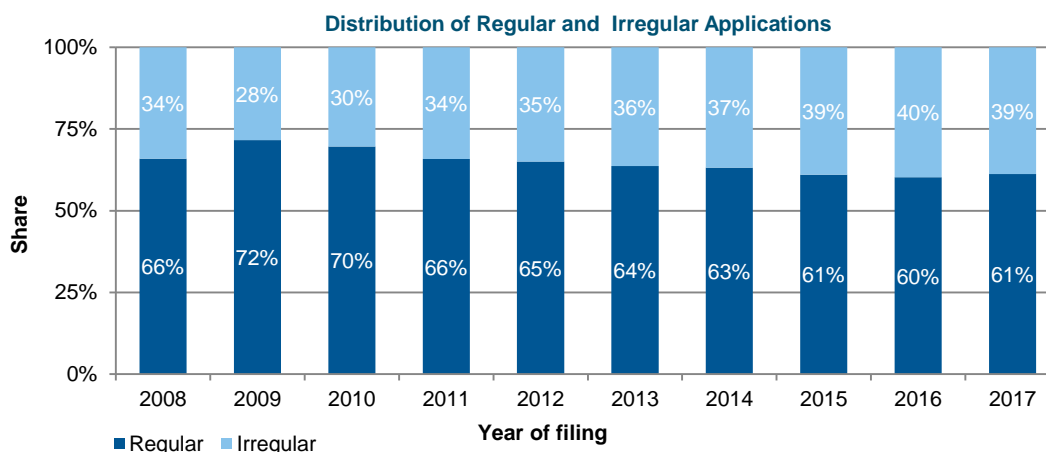
Average Length of Applications

The length of an application is determined by the total number of words used by applicants in (a) the description of the mark, (b) the list of goods and services and (c) any accompanying limitations. To make the application available in all three Madrid System languages, these three elements are translated by the IB into English, French or Spanish, depending on the original language of the application.



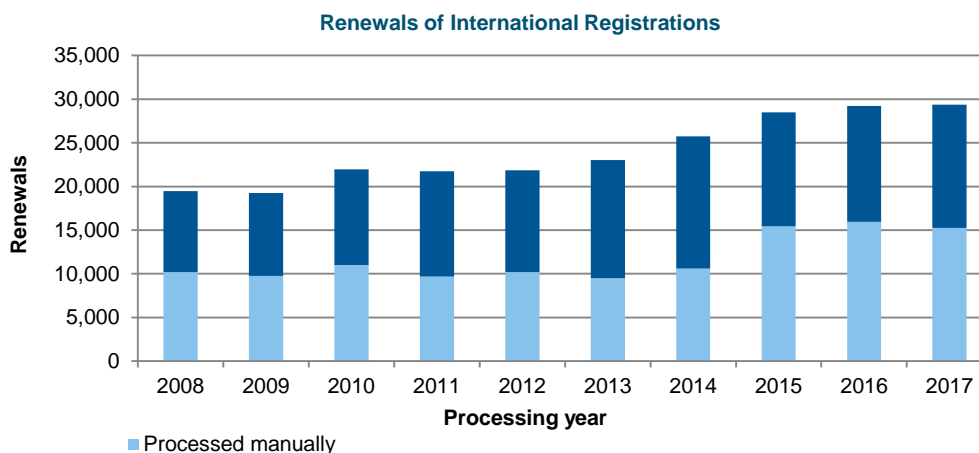
Source: Madrid Registry, February 2018

- The average length of applications increased from 222 words in 2016 to 248 in 2017, representing an increase of 12 per cent.



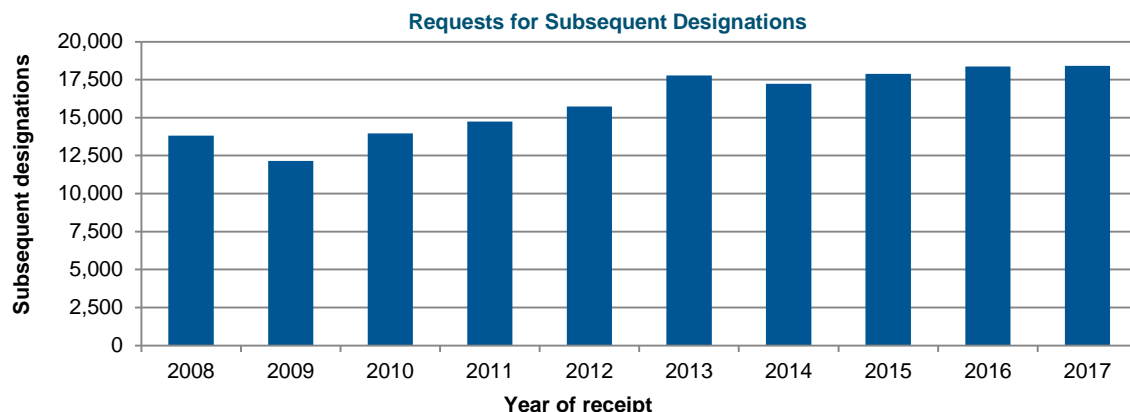
Source: Madrid Registry, February 2018

- The share of regular applications has remained relatively stable since 2015.



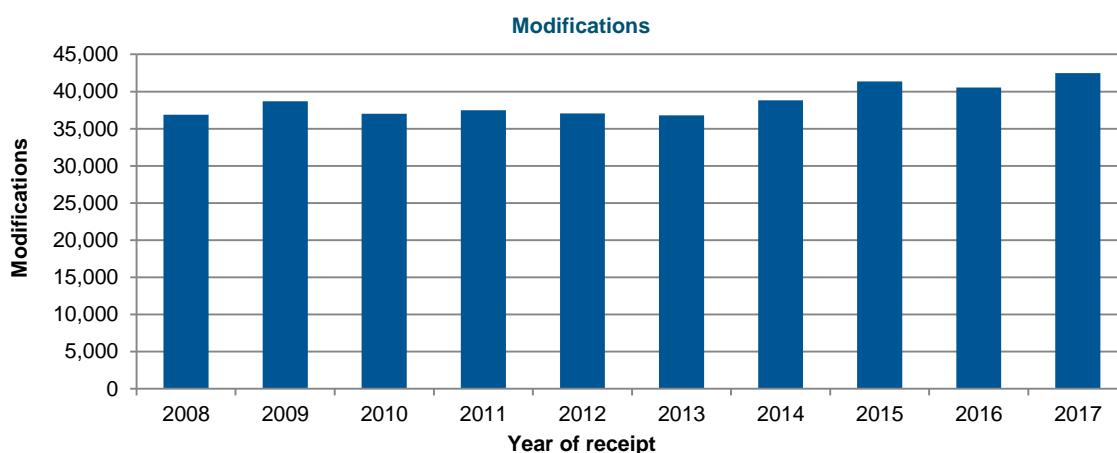
Source: Madrid Registry, February 2018

- In 2017, the IB received 29,362 renewals, up 0.5 per cent from 2016.



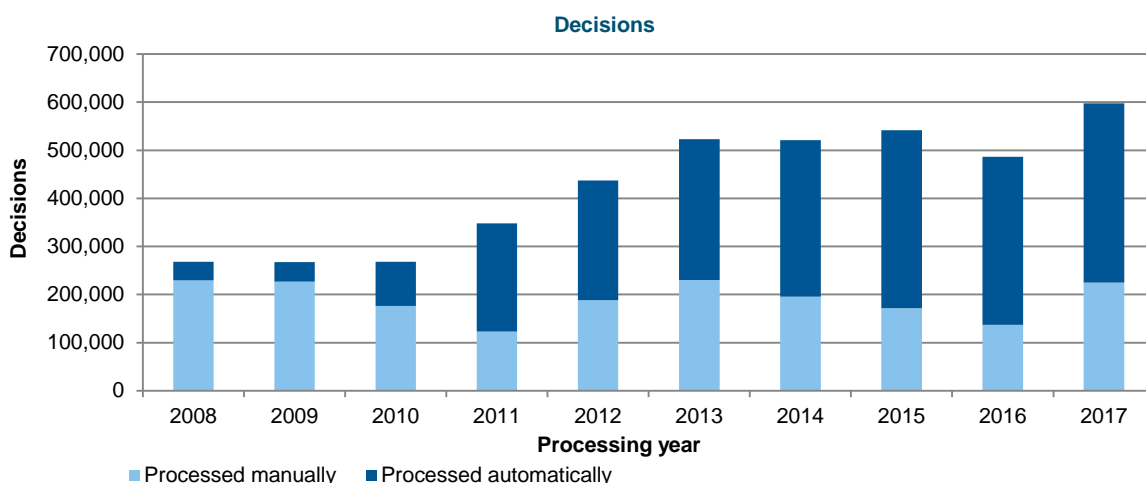
Source: WIPO IP Statistics Database, March 2018

- In 2017, the IB received 18,410 requests for subsequent designations, up 0.2 per cent from 2016.



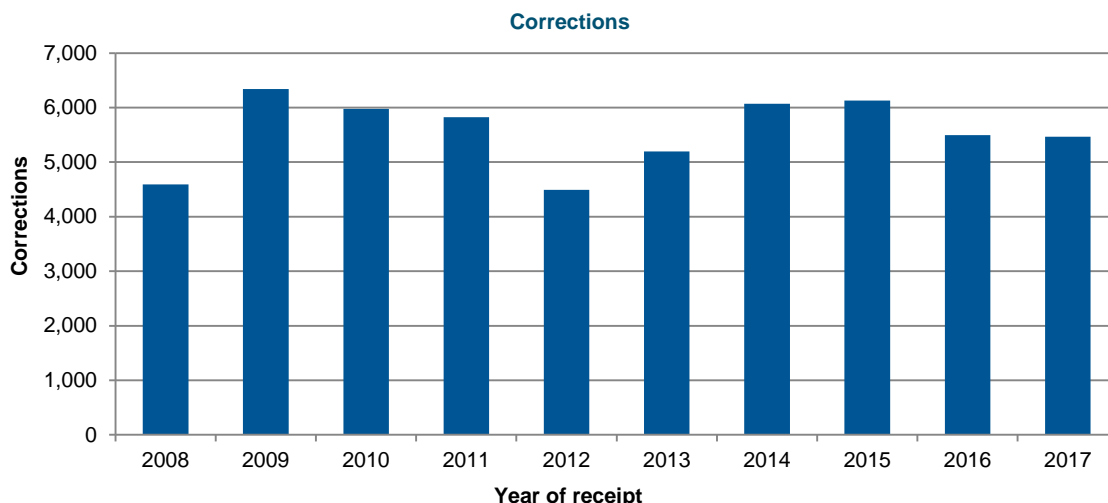
Source: Madrid Registry, February 2018

- In 2017, the IB received 42,467 requests for modification, up 4.7 per cent from 2016.



Source: Madrid Registry, February 2018

- In 2017, the number of decisions processed by the IB increased by 23 per cent compared to 2016, totaling 597,416. Between 2010 and 2015, the number of decisions processed sharply increased followed by a decrease of 10 per cent in 2016. This was due to a temporary slowdown in operations following the deployment, in 2016, of the MIRIS IT system.
- In 2017, the proportion of decisions processed automatically amounted to 62 per cent, a 10 percentage point decrease compared to 2016. Again, this development can be imputed to a temporary slowdown of operations in 2016, resulting in the accumulation of a backlog, which was cleared – in part manually – during 2017.

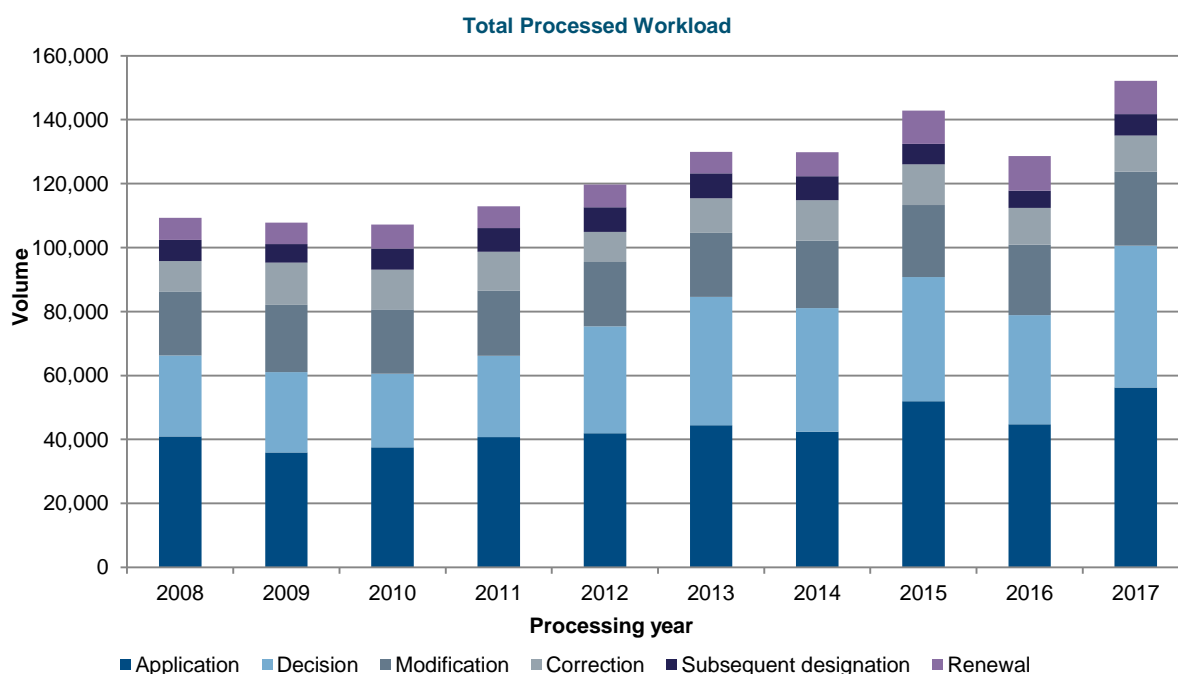


Source: Madrid Registry, February 2018

- In 2017, the IB received 5,463 requests for corrections, representing a slight decrease of 0.6 per cent compared to 2016.

Total Processed Workload

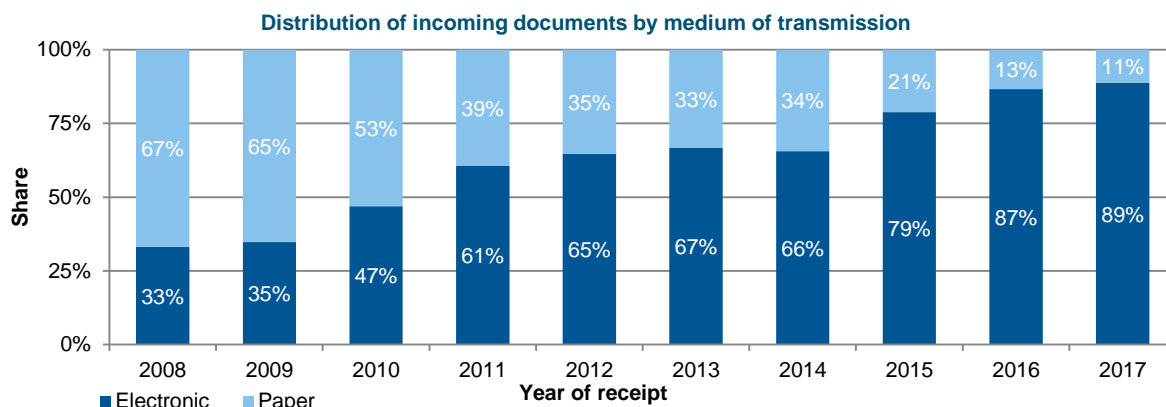
- The total processed workload represents the weighted total number of documents processed by the IB, including applications, renewals, subsequent designations, modifications, decisions and corrections.
- As the processing of each type of document do not require an equal amount of resources, they are each weighted differently. According to the current weighting, during the time required to process one international application, a full time equivalent (FTE) examiner can process 1.6 renewals, 1.8 subsequent designations, 1.8 modifications or 10 decisions. Similarly, for documents processed automatically, one IT systems support FTE is required to process 17 documents.



Source: Madrid Registry, February 2018

- In 2017, the total processed workload sharply increased by 18 per cent compared to 2016. Applications, decisions and modifications represented nearly 81 per cent of the total processed workload.
- The 10 per cent decrease observed in 2016 was primarily attributable to the initial instability of the new IT system (MIRIS), which resulted in a backlog of pending documents.

Medium of Transmission of Incoming Documents



Source: Madrid Registry, February 2018

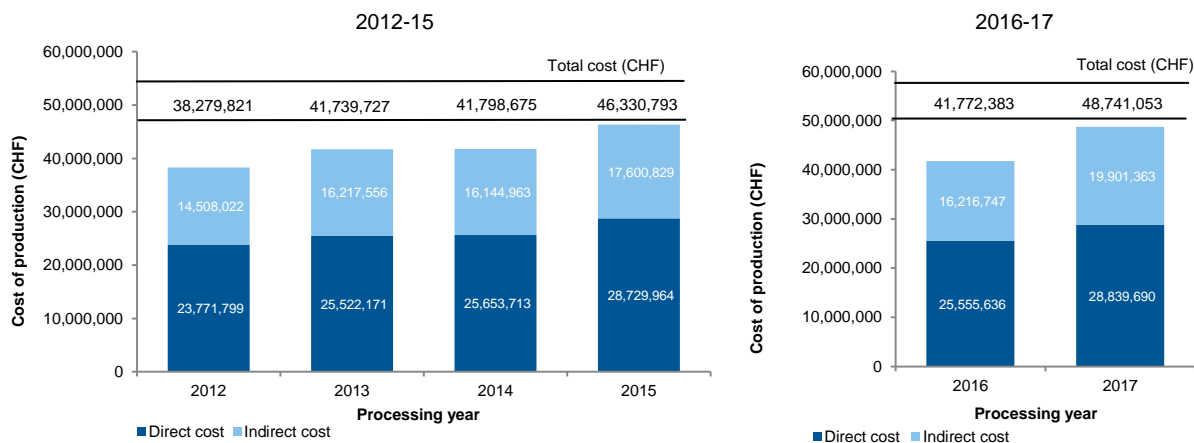
- In 2017, 89 per cent of all incoming documents were transmitted electronically to the IB, which represented an increase of 2 percentage points compared to 2016.
- The share of incoming documents transmitted electronically has consistently increased since 2008.

Processing

Total cost of Production:

- The total cost of production comprises expenditure relating exclusively to the Madrid System and expenditure of activities supporting the System.
- For data prior to 2016, the expenditure relating exclusively to the Madrid System represented about 96 per cent of the expenditures of Program 6. From 2016, expenditures of the Madrid System that relate to supporting the Hague and Lisbon Systems are excluded from the calculation. Before the 2016/17 biennium, the expenditure for translation and IT developments in relation to the Hague and Lisbon Systems could not be distinguished from the overall expenditure of Program 6. Because of this refinement in the calculation, 2016 and onwards data is not comparable with previous years and is therefore presented in a different graphical view.
- Expenditure of activities supporting the Madrid System comprises the expenditure of the following general services: conference and language services, construction, executive management, finance and budget, general support services, human resources management, internal oversight, IT and safety and security. A small proportion of these expenses (cost of server hosting at UNICC and share of cost of the Income Section in Finance) are directly attributed to the Madrid System whereas the remaining such expenses attributable to the Madrid System are calculated based on headcount (including fixed term staff, temporary staff and fellows).

Total Cost of Production



- The total cost of production was estimated at 48.7 million Swiss francs in 2017.

- In 2017, the direct costs accounted for 59 per cent of total costs.

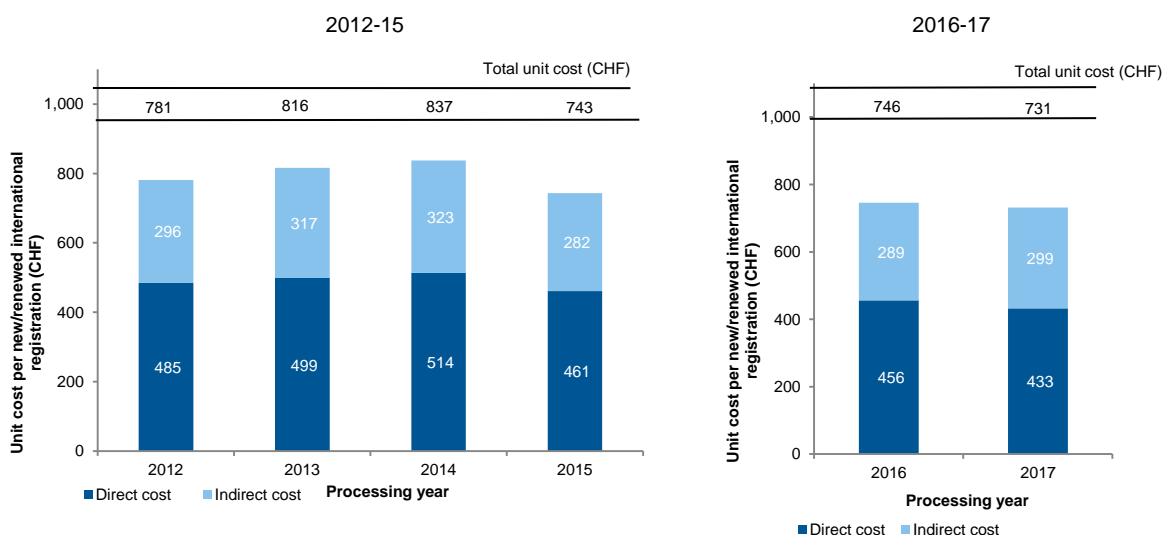
Unit cost:

- The IB's efficiency in processing transactions can be measured by the unit cost, defined as the average cost of producing one unit of output.
- As the IB registers new applications and maintains existing registrations, it is relevant to have a unit of output which includes a set of transactions. Two unit cost indicators are presented below using two different units of output.
- As part of the IB's efforts to continuously refine its approach to calculating unit costs, the methodology has been revised in 2016 to reflect more accurately the cost of processing Madrid workloads at the IB:
- The methodology for calculating direct and indirect Madrid costs has been aligned with the methodologies for calculating PCT and the Hague unit costs.
- The weighted system described in Section II, was introduced to better approximate the actual work required to process the six categories of documents, taking into account that some of these documents are more labor-intensive than others.²¹⁰
- The unit cost per new/renewed international registration was redefined to include only new international registrations and renewals. The rationale for removing subsequent designations as a component of this unit cost is a sharper focus on the core Madrid outputs, namely the international registration and its renewal. All other Madrid transactions (subsequent designations, modifications, decisions and corrections) can be considered secondary to these two core transactions. Furthermore, it is difficult to justify including one of these secondary transactions as a component of this unit cost, while excluding the others.
- The second unit cost is based strictly on the number of documents inscribed in the register, irrespective of the varying levels of resources required to process them.

Unit Cost per New/Renewed International Registration

- New international registrations consist of applications that are registered within a given year, and renewed international registrations consist of existing registrations that are renewed within a given year. Combined, these two types of transactions reflect the core business of the IB.
- As the processing of these two types of transactions do not require equal resources, they are each weighted differently.²¹¹ The unit cost is calculated by dividing the total cost of production by the number of new/renewed international registrations.

Unit Cost per New/Renewed International Registration



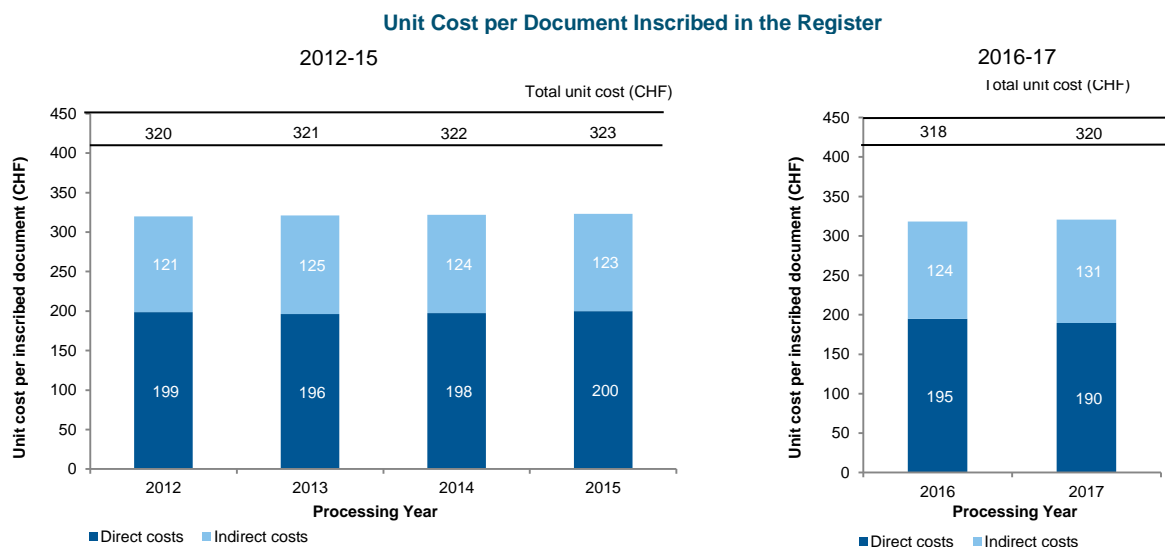
- The average cost of processing a new/renewed international registration was 731 Swiss francs in 2017.

²¹⁰ See "Total processed workload" above.

²¹¹ See "Total processed workload" above.

Unit Cost per Document Inscribed in the Register

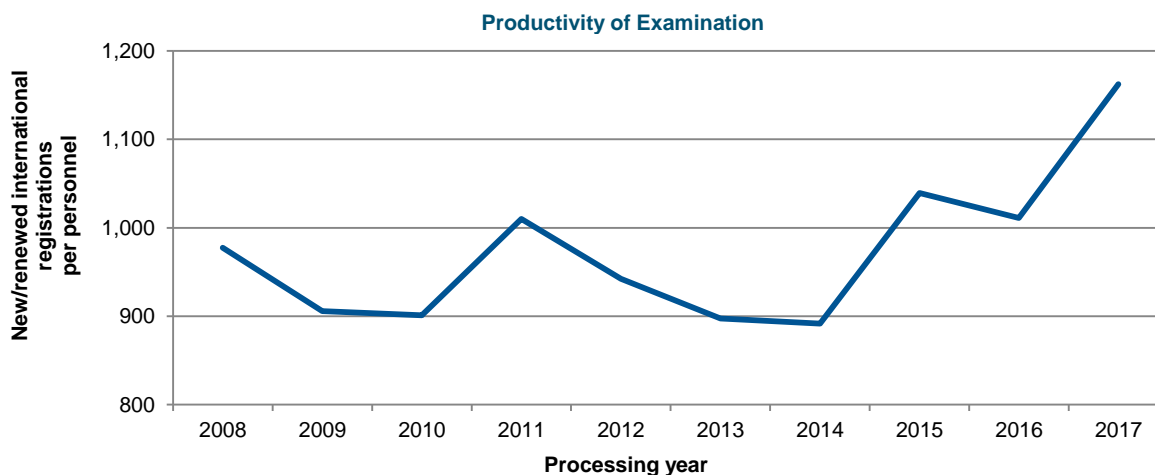
- The documents inscribed in the register correspond to the total volume of workload (see “Total volume of workload” above).



- The average cost of inscribing a document was 320 Swiss francs in 2017.

Productivity of Examination

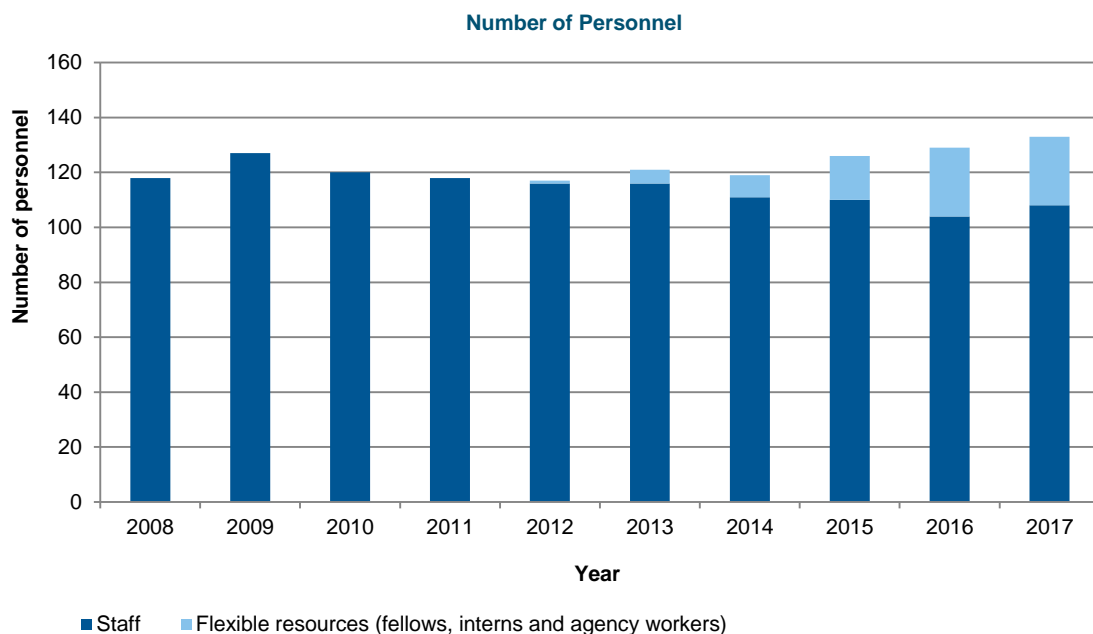
- The definition of examination productivity is the number of new/renewed international registrations processed by examiners, divided by the number of personnel involved in examination. The number of personnel includes fellows, interns and external contractors.



Source: Madrid Registry, April 2018

- In 2017, the productivity of examination increased by 15 per cent compared to 2016, reaching its highest level since 2008. This was due to the implementation, in 2017, of the Special Madrid Program, a temporary measure that was designed to reduce the backlog of pending transactions that had accumulated in 2016 following the deployment of the new IT system (MIRIS).

Personnel



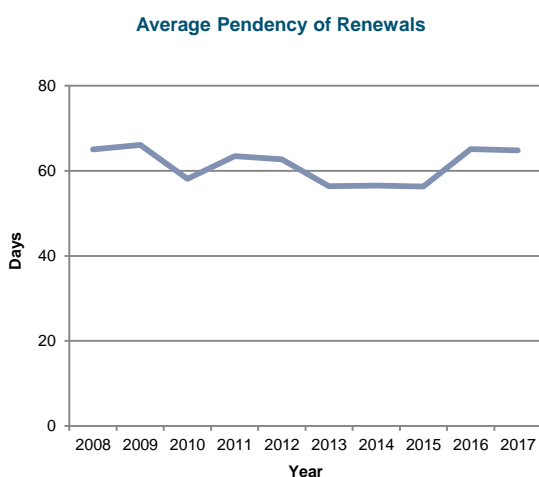
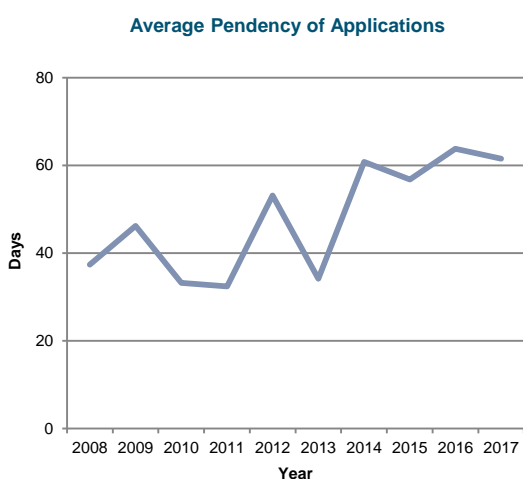
Source: WIPO, March 2018

Note: The ability to distinguish the personnel of the Lisbon Registry was only feasible beginning with the 2014/15 biennium. For the years prior to 2014, the personnel of the Lisbon System are included in the overall number of personnel of the Madrid System. Agency workers not working on WIPO premises are not included in this indicator. Agency workers in the Document Processing Unit are not covered by the current methodology.

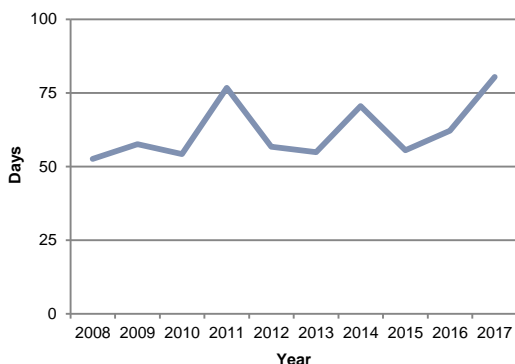
- The number of staff increased from 104 in 2016 to 108 in 2017, while the number of flexible resources remained stable.

Pendency

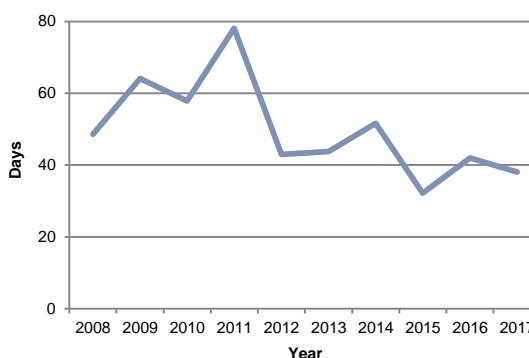
The average pendency for each of the six transactions performed by the IB is shown below. The pendency is calculated from the date a document is received to the date it is inscribed.



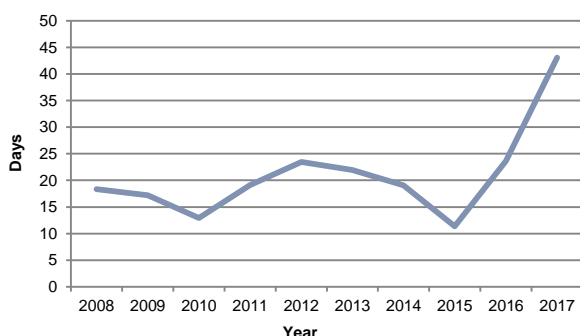
Average Pendency of Modifications



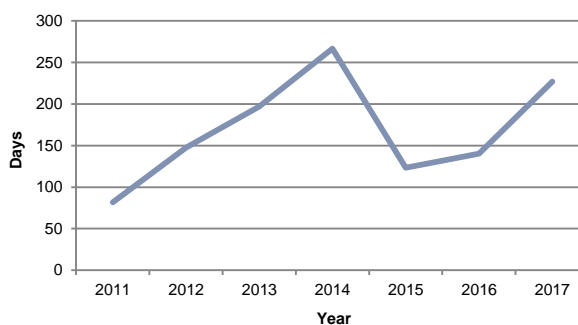
Average Pendency of Subsequent Designations



Average Pendency of Decisions



Average Pendency of Corrections



Source: Madrid Registry, February 2018

- Compared to 2016, the average pendency in 2017 increased for three of the six transactions performed by the IB. The most important increase was recorded for corrections.

Quality of Examination

The following key indicators on the overall quality of trademark examination are monitored on a regular basis following the implementation of the Madrid Registry Quality Management Framework (QMF) in 2015, in compliance with ISO 9001:2015 and ISO 2859 guidance.²¹²

Two sources of information on the quality of the examination work produced by the IB are presented:

- The results of the internal review of examination transaction samples; and
- Errors made by the IB following the receipt of correction requests under Rule 28 of the Common Regulations.

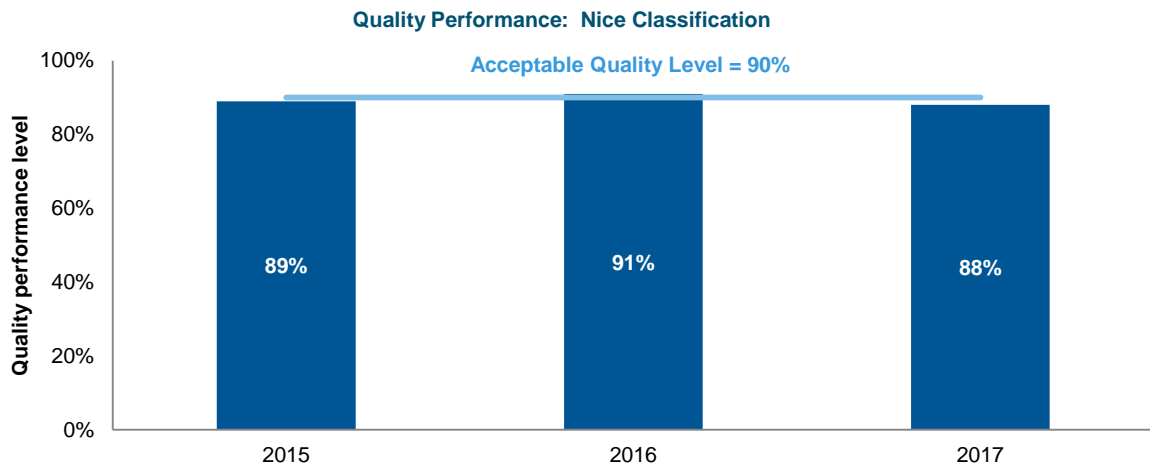
Review of Examination Transaction Samples

Quality control was carried out based on the following samples for the manually processed transactions in 2017. The qualitative performance results, therefore, do not take into account potential quality issues in the automated processing of Nice classifications (pre-validated terms), formalities examination, decisions, modifications and renewals.

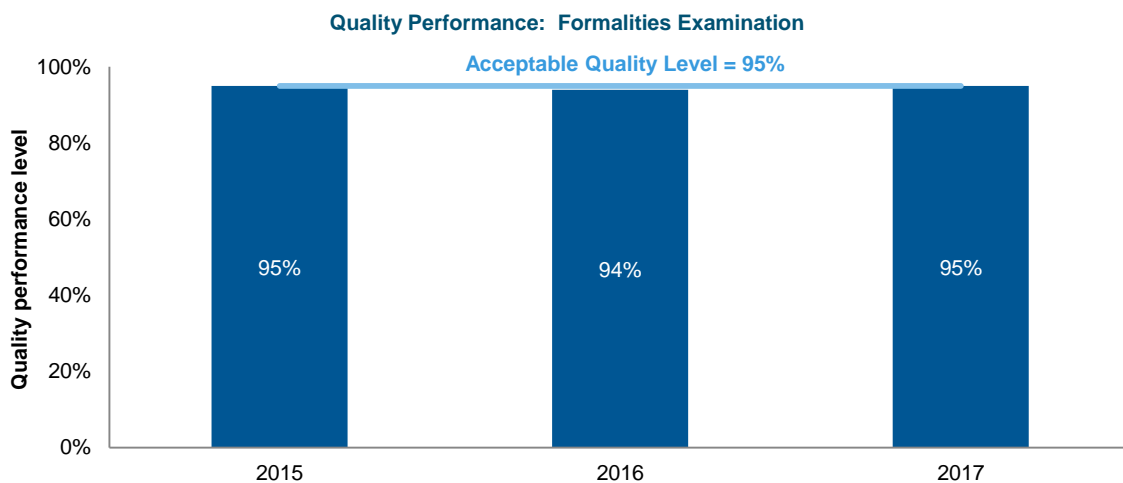
- 715 applications for Nice classification
- 700 applications for formalities examination (APEX)
- 765 decisions
- 614 requests for modification
- 309 requests for renewal

²¹² The Madrid Registry QMF is available on request at madrid.qp@wipo.int

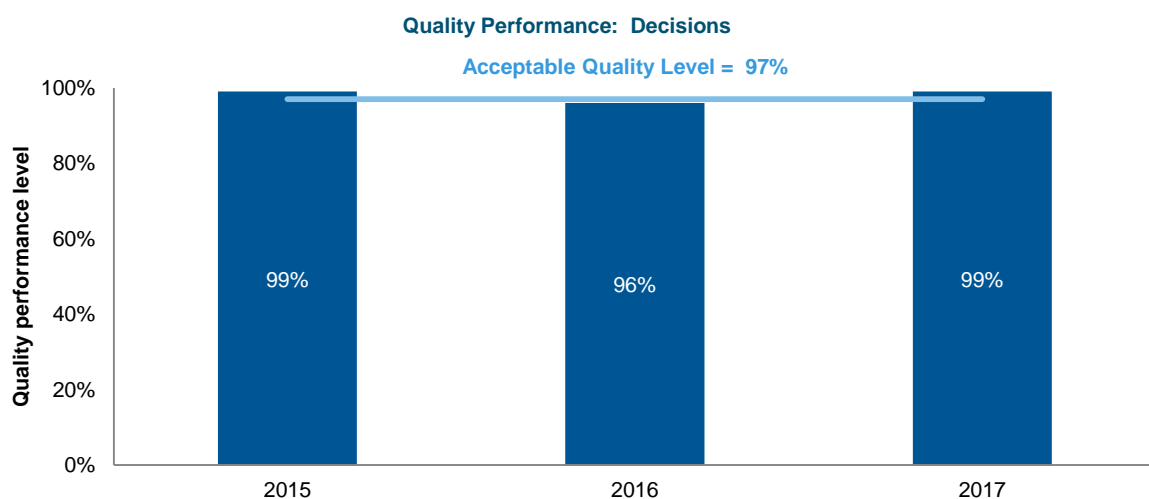
An Acceptable Quality Level (AQL) is set for each transaction and is the criteria against which the quality of trademark examination is measured.



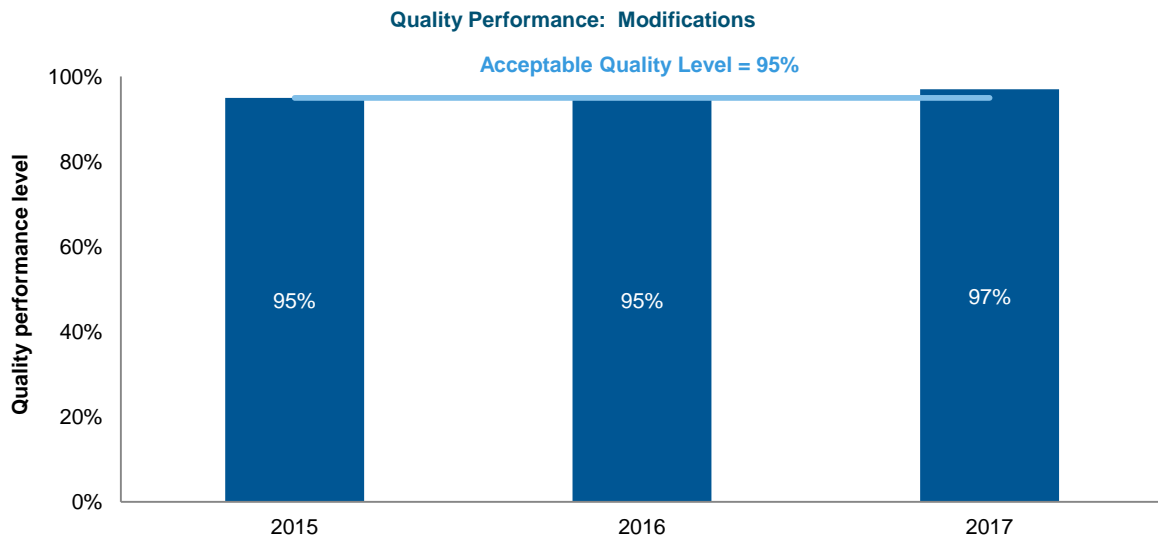
- The overall qualitative performance in 2017 was two percentage points below the acceptable quality level.



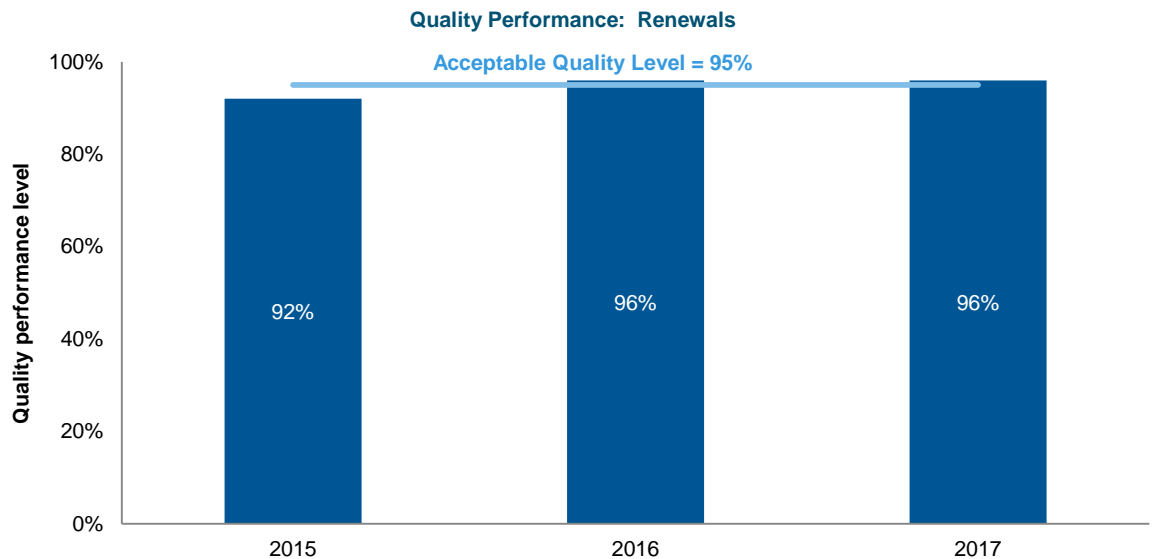
- The overall qualitative performance was at the acceptable quality level in 2017.



- The overall qualitative performance for the processing of decisions was two percentage points above the target for 2017.



- The overall qualitative performance for the processing of modifications was two percentage points above the target for 2017.



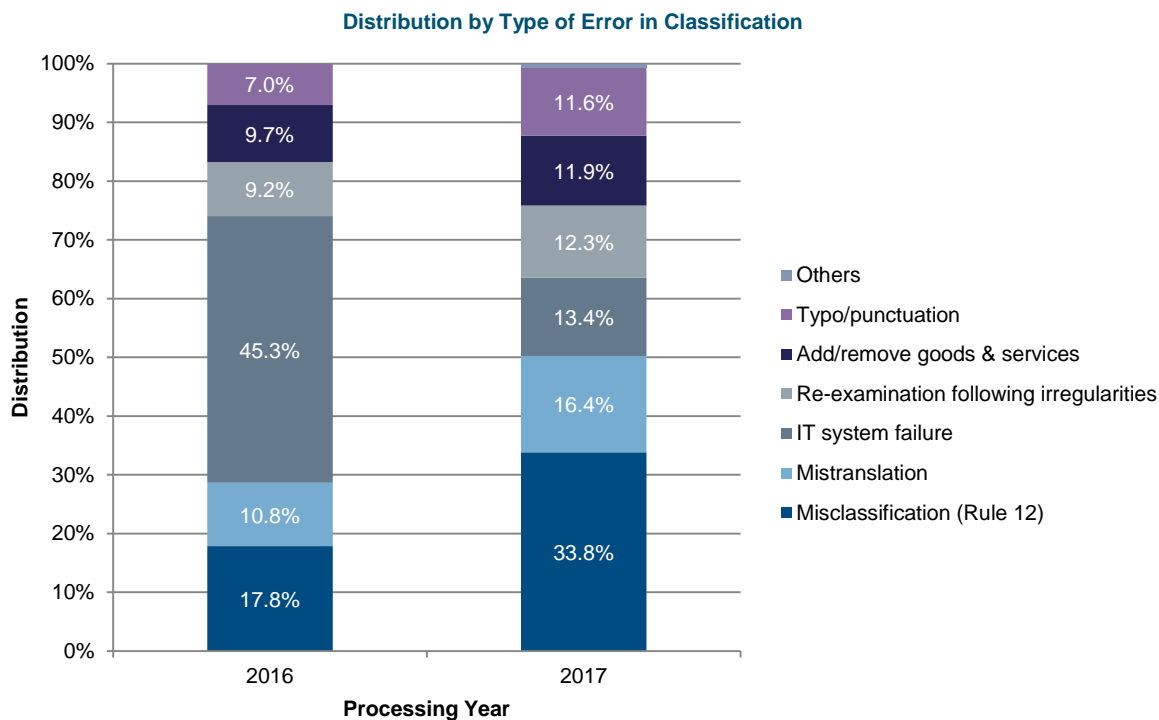
The overall qualitative performance for the processing of renewals remained one percentage point above the target for 2017.

Errors Made by the IB

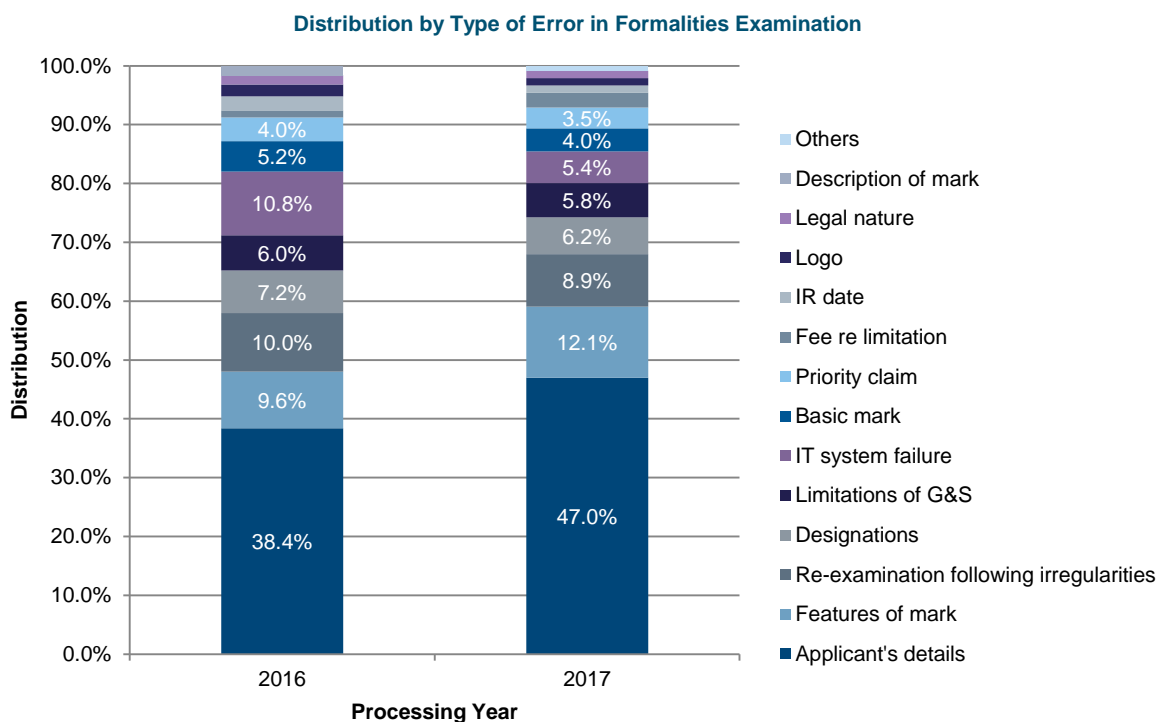
The distribution of errors presented in the charts below is based on analyses of the following samples of 2017 transactions.²¹³ The samples include transactions that were processed both manually and in an automated way.

- 464 classifications
- 481 formalities examinations (APEX)
- 102 renewals
- 447 modifications

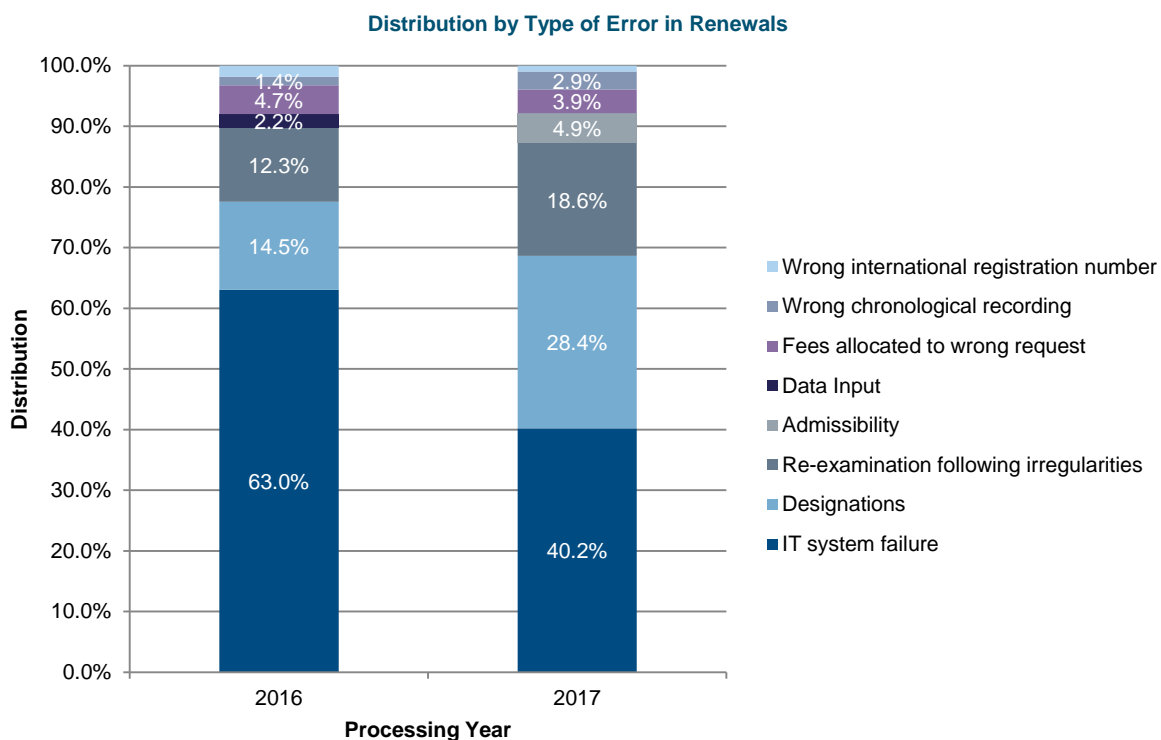
²¹³ Transactions which contain one or more errors.



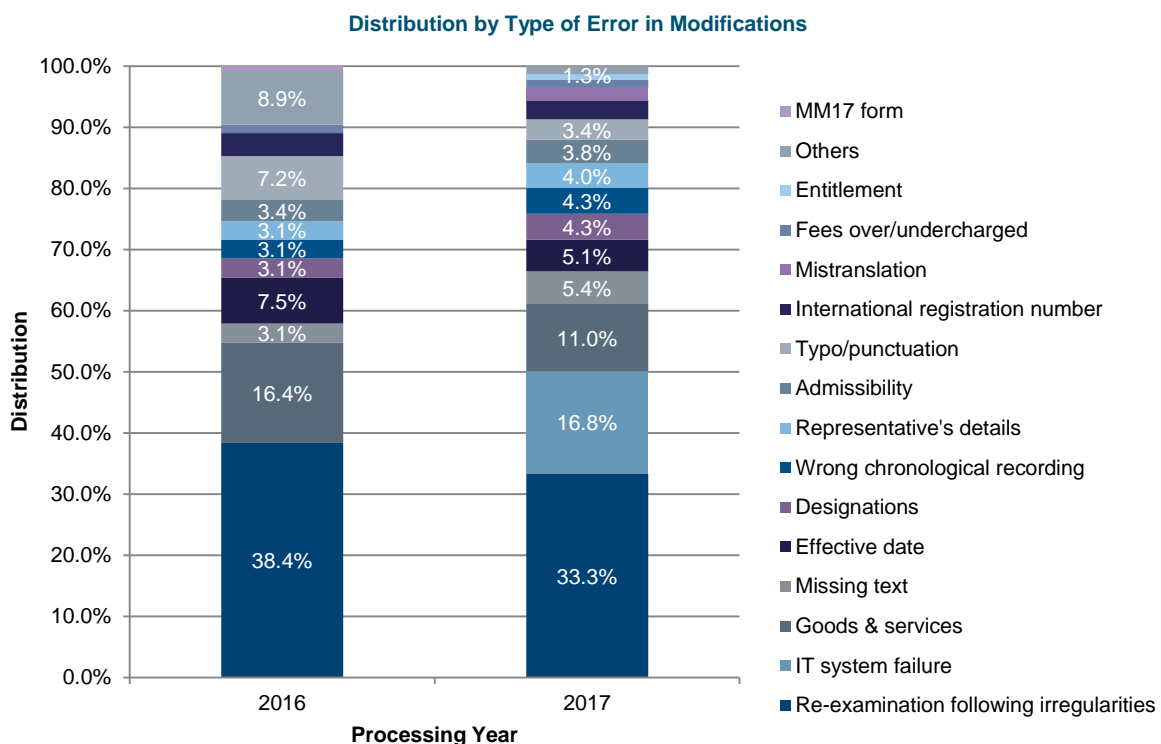
Misclassification (Rule 12) and mistranslation accounted for the largest proportion of total errors in 2017, with 33.8 per cent and 16.4 per cent of errors, respectively.



In 2017, the majority of the corrections in formalities examination were due to errors in entering the details of applicants' details (47 per cent) and Features of mark (12.1 per cent).



In 2017, most of the corrections in renewals were due to IT system failure (40.2 per cent) and designations (28.4 per cent).



Corrections due to errors in the Holder's details represented a third of total corrections made in modifications in 2017. IT system failure accounted for 16.8 per cent of total errors.

ANNEX IX Indicators of the Hague System Operations

Performance indicators for the expected result
“Improved productivity and service quality of the Hague
Operations”

General

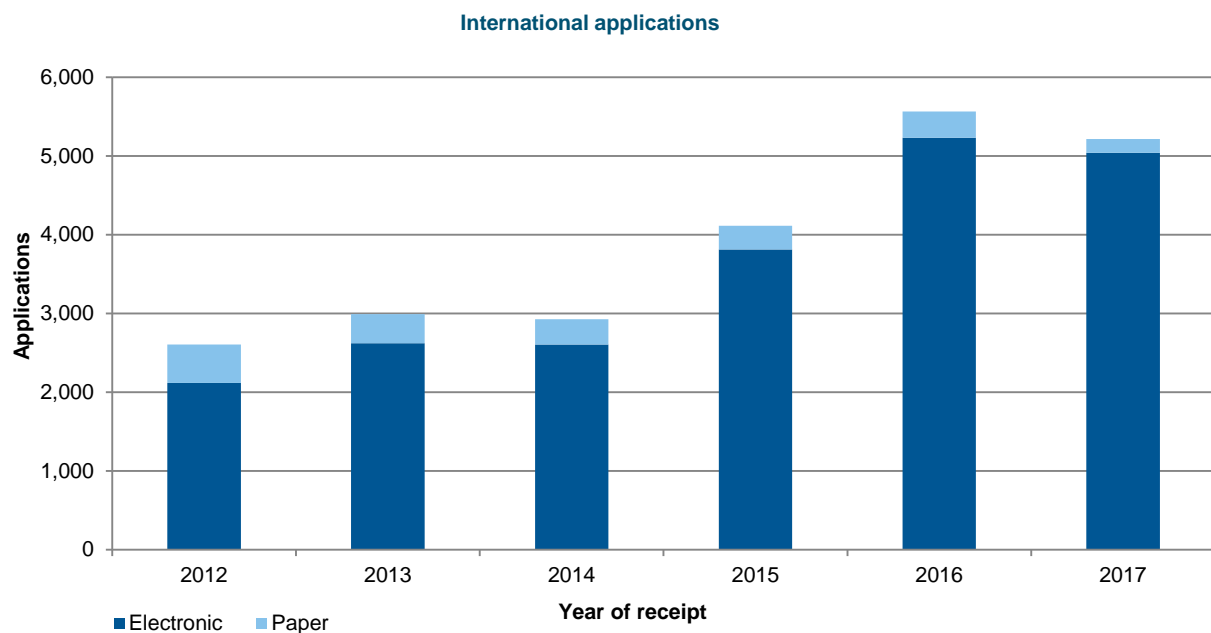
As background for the performance indicators for the expected result “improved productivity and service quality of the Hague System Operations”, the evolution of the following factors needs to be considered:

- The Hague System workloads;
- The composition of those workloads;
- The level of automation; and
- The resources assigned to cope with the workload.

The International Bureau (IB) receives four main types of documents, namely international applications, renewals, changes and decisions. The latest trend for each of these documents is presented below. Additional information on the applications received, such as their average number of designs, is also provided. For technical reasons, the indicator on irregularities shows data based on processed rather than incoming documents.

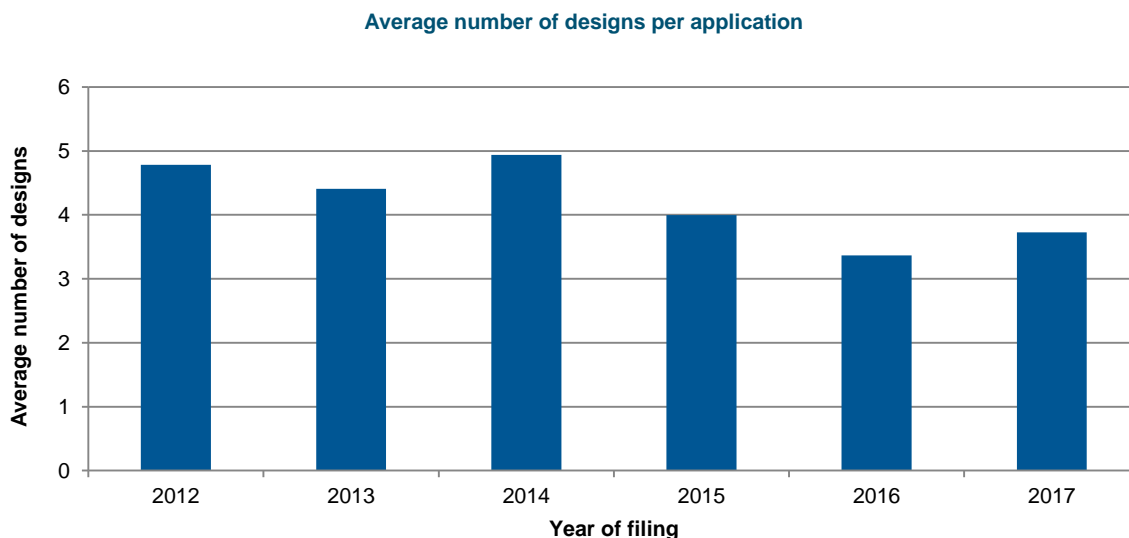
Incoming Documents

Applications received



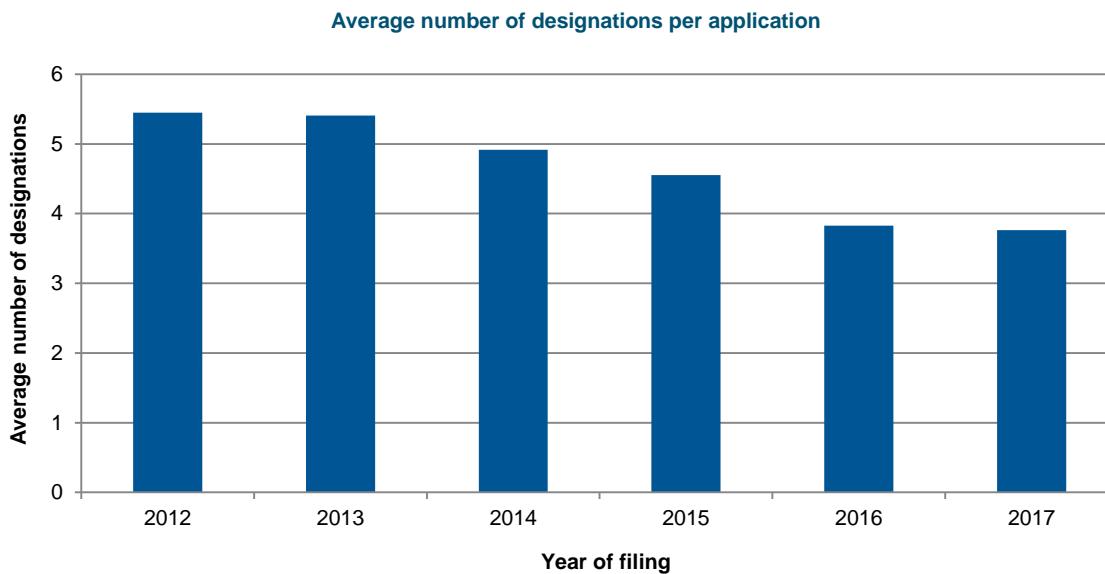
- In 2017, the IB received 5,213 international applications, down 6 per cent from 2016.
- In 2017, 97 per cent of applications were filed electronically, a fifteen percentage point increase over 2012. Filing international applications electronically became possible in 2008.

Average number of designs per application



- In 2017, an application contained, on average, 3.7 designs, up 0.4 design from 2016.

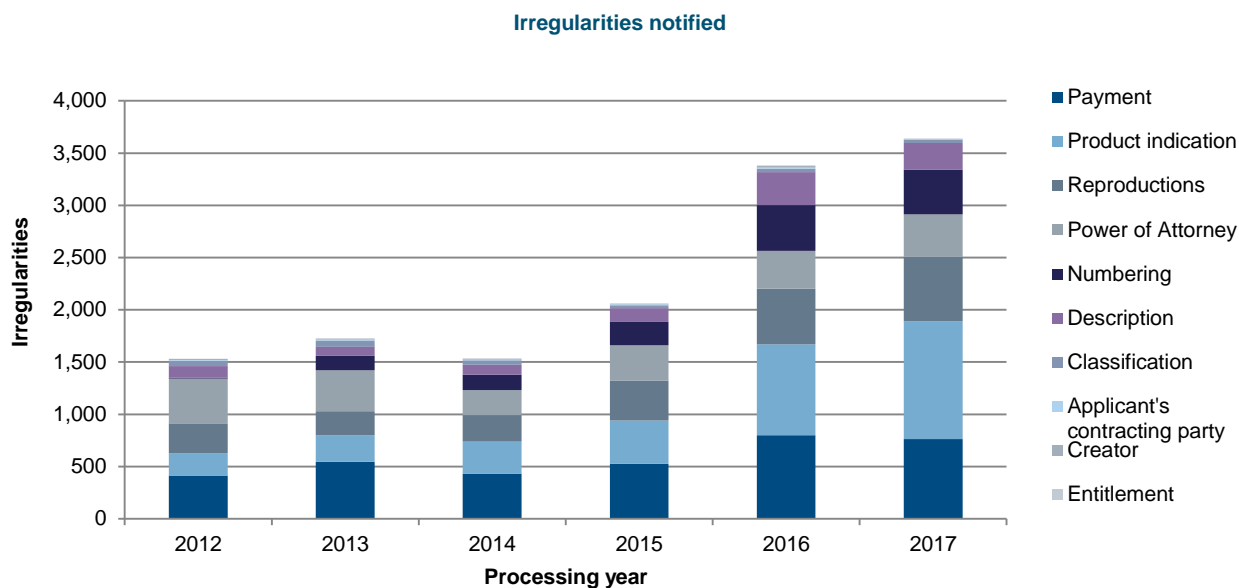
Average number of designations per application



- In 2017, an application contained on average 3.8 designations, same as in 2016. Since 2012, the average number of designations per application has decreased continuously.

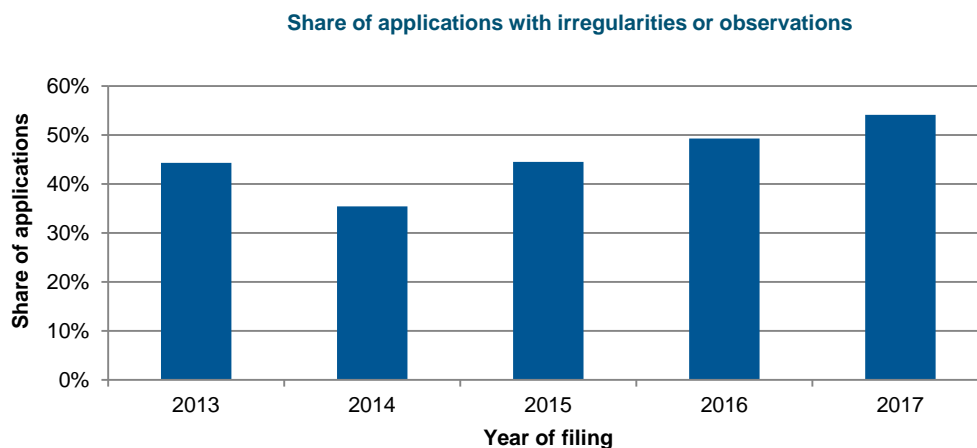
Trend of irregularities in applications

- Irregularities notified are grouped in 10 categories as shown below.



- In 2017, the IB notified 3,646 irregularities in respect of applications, up 8 per cent from 2016.
- Irregularities relating to product indications (+29 per cent) and the numbering of reproductions (+16 per cent) increased the most compared to 2016.

The evolution of the share of applications containing one or more irregularities and/or substantive observations is shown below.²¹⁴

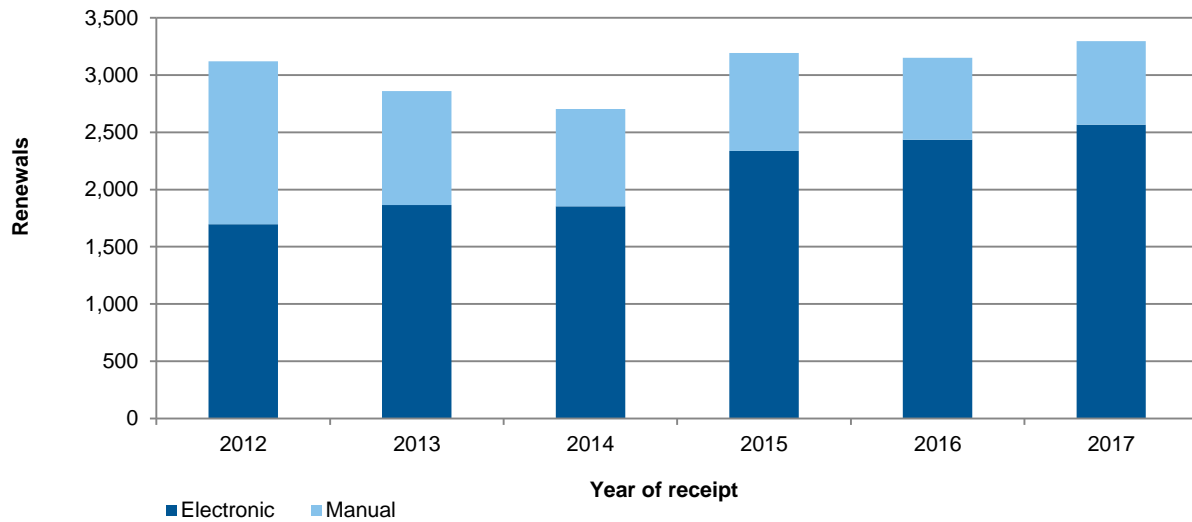


- In 2017, some 54 per cent of applications registered contained at least one irregularity or substantive observation. This represented an increase of 5 percentage points compared to 2016.

²¹⁴ Due to inconsistencies found in calculating the share of applications with irregularities or observations, the data previously reported in Program Performance Reports and in the Program and Budget for 2016/17, has now been corrected for the whole period 2012-2016.

Renewals

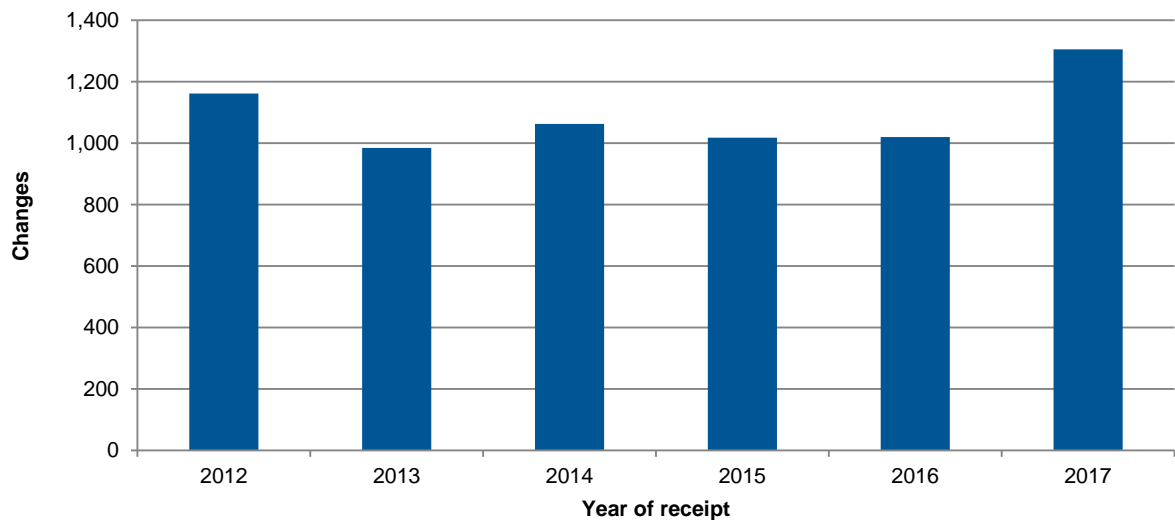
Renewals of international registrations



- In 2017, the number of renewals increased by 5 per cent compared to 2016, to a total of 3,297 renewals.
- Since 2012, the majority of renewals have been processed electronically, accounting for 78 per cent of total renewals in 2017.

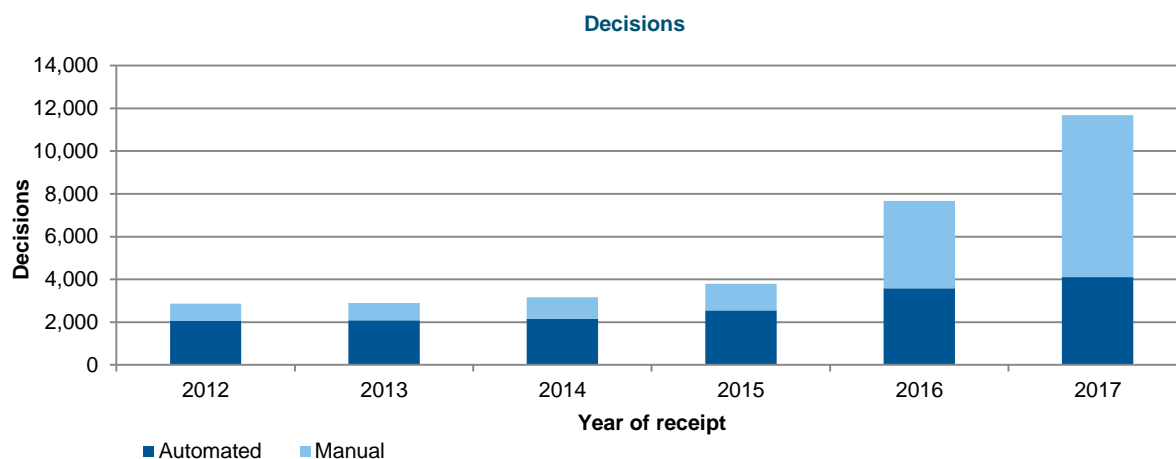
Changes

Requested changes in international registrations



- Applicants requested 1,305 changes in international registrations in 2017, up 28 per cent from 2016.

Decisions

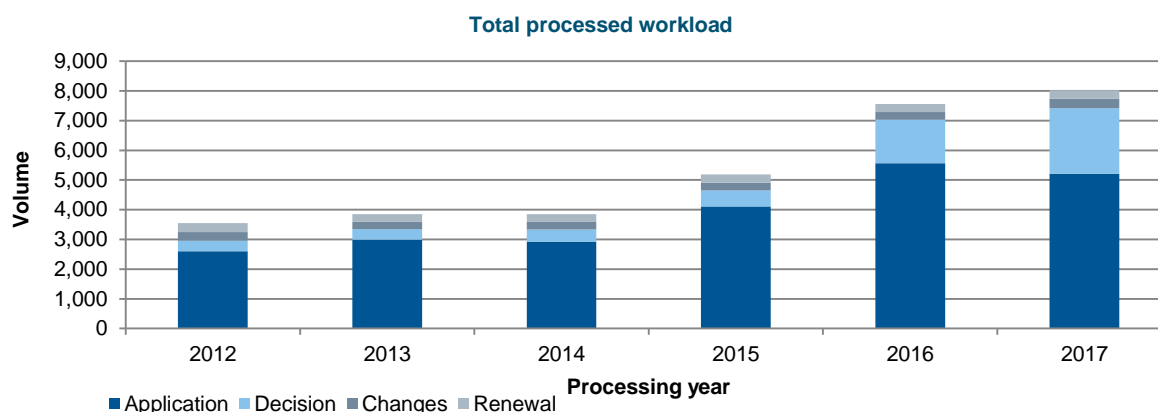


- The number of decisions received in 2017 increased by 52 per cent as compared to 2016, to 11,688 decisions, reflecting the impact on the Hague operations of the System's recent expansion to substantive examination jurisdictions.
- In 2017, 35 per cent of decisions were processed automatically. This represented the lowest share since 2012. Only decisions from the European Union Intellectual Property Office are processed electronically.

Workload

The total workload represents the weighted total number of documents received at the IB. All four categories of documents are included (applications, renewals, changes and decisions).

As the processing of these types of documents do not require the equal amount of resources, they are each weighted differently. According to the current weighting, during the time required to process one international application, an examiner can process 8 renewals, 4 changes or 4 decisions (a 1:8:4:4 workload ratio). Since 2014/15, due to an increasing level of complexity of other documents, in particular decisions by Offices, the overall examination of international applications has also become more complex. This, however, has not affected the workload ratio.



- In 2017, the total processed workload increased by 6 per cent compared to 2016.
- The increase in workload in 2017 was mainly due to the increase in the number of decisions.

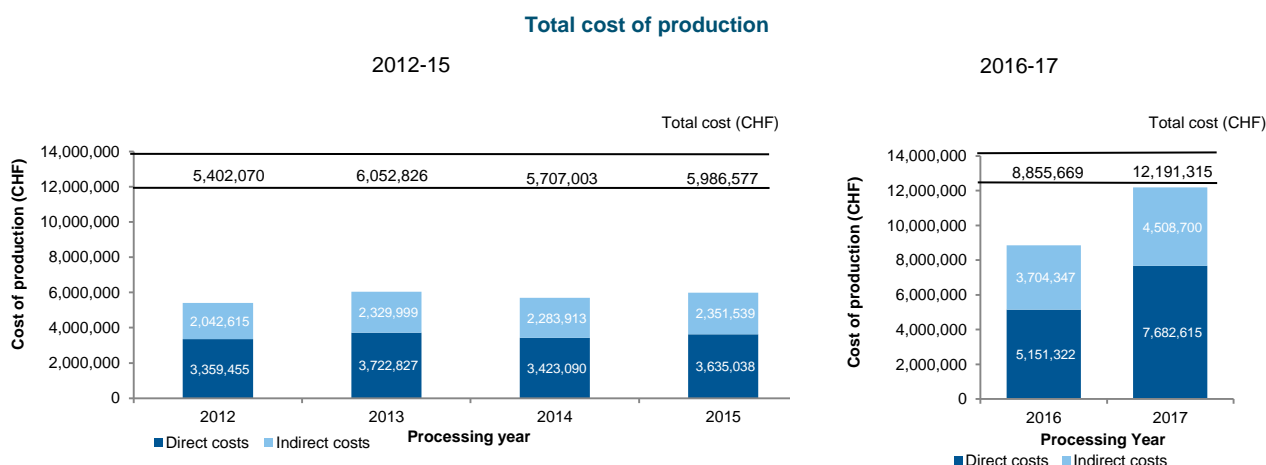
Cost of Processing

Total cost of production

The total cost of production comprises expenditure relating exclusively to the Hague System and expenditure of activities supporting the System.

For data prior to 2016, the expenditure relating exclusively to the Hague System includes those of Program 31 The Hague System and 7 per cent of the expenditure of the Office of the Deputy Director General of the Brands and Designs Sector (Program 6 Madrid System). The 2016 expenditures of the Madrid System that relate to supporting the Hague System – translation and IT expenditures – are included in the calculation. Before the 2016/17 biennium, the expenditure associated with these services could not be distinguished from the overall expenditure in Program 6, and were therefore not included in the calculation. Because of this refinement in the calculation, the 2016 and 2017 results are not comparable with previous year's results. For this reason, the data for the period 2012-15 and for 2016-17 are shown in two different graphical views.

Expenditure of activities supporting the Hague System comprises the expenditure of the following general services: conference and language services, construction, executive management, finance and budget, general support services, human resources management, internal oversight, IT and safety and security. A small proportion of these expenses (cost of server hosting at UNICC and share of cost of the Income Section in Finance) are directly attributed to the Hague System, whereas the remaining of such expenses attributable to the Hague System are calculated based on headcount (including fixed term staff, temporary staff and fellows).



- The total expenditure related to the processing of the Hague System is estimated at 12.19 million Swiss francs in 2017.
- In 2017, the direct costs accounted for 63 per cent of total expenditures.

Unit cost

The IB's efficiency in processing transactions can be measured by the unit cost, defined as the average cost of producing one unit of output.

As the IB registers new applications and maintains existing registrations, it is relevant to have a unit of output, which includes a set of transactions. Two unit cost indicators are presented below using two different units of output.

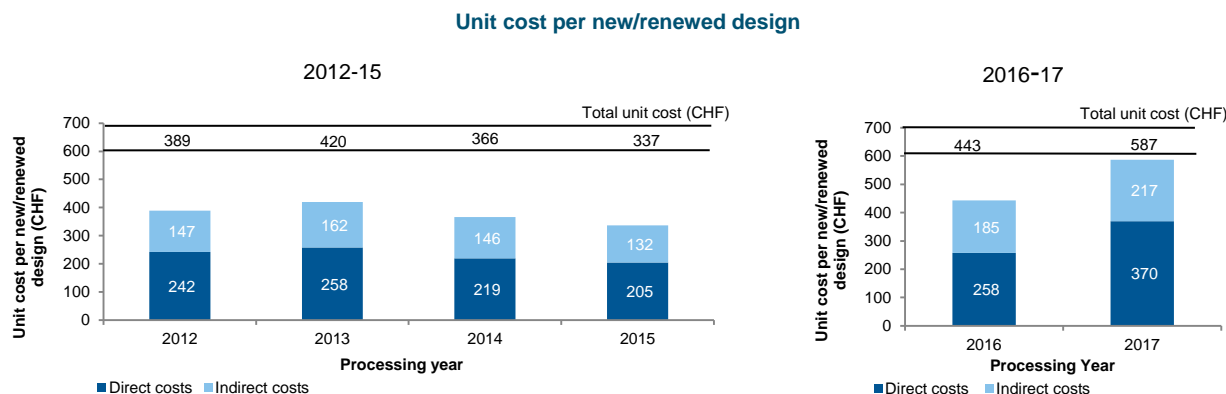
As part of the IB's efforts to continuously refine the methodology for calculating unit costs, the methodology has been revised in the Program and Budget 2016/17 to reflect more accurately the cost of processing the Hague workloads at the IB.²¹⁵

²¹⁵ The revisions in question were explained in detail in the PPR 2014 and included in particular aligning the methodology for calculating direct and indirect costs for the Hague with the methodologies for calculating PCT and Madrid unit costs.

Unit cost per new/renewed design:

New designs consist of designs in international applications that are registered within a given year. Renewed designs consist of existing designs in international registrations that are renewed within a given year. Combined, designs contained in these two types of transactions reflect the core business of the IB.

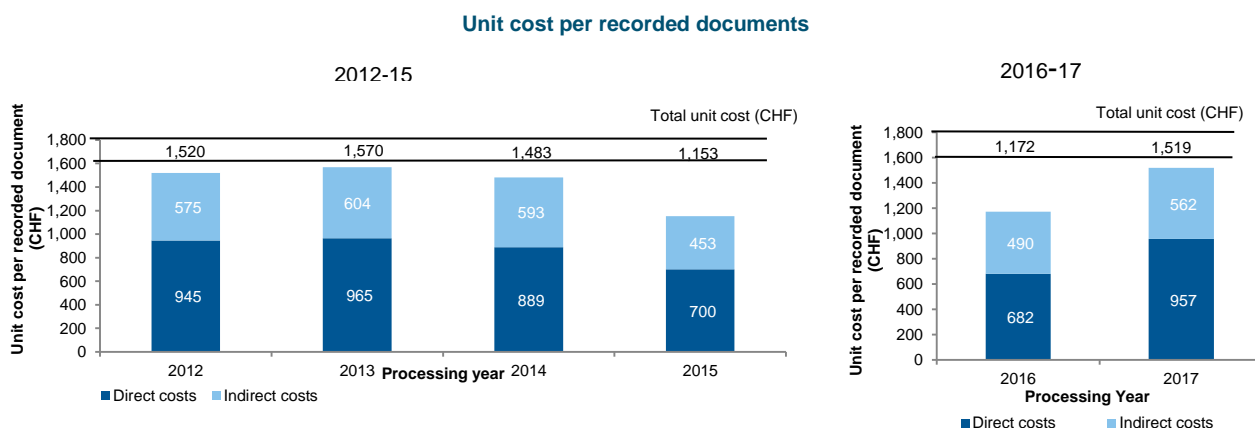
As processing designs contained in these two types of documents do not require equal resources, they are each weighted differently.²¹⁶ The unit cost is calculated by dividing the total cost of production by the number of new/renewed designs.



- The average cost of processing a new/renewed design is estimated at 587 Swiss francs in 2017, representing an increase of 33 per cent compared to 2016.

Unit cost per document recorded in the register

The documents recorded in the Register correspond to the total workload (see “Total Processed Workload” above).



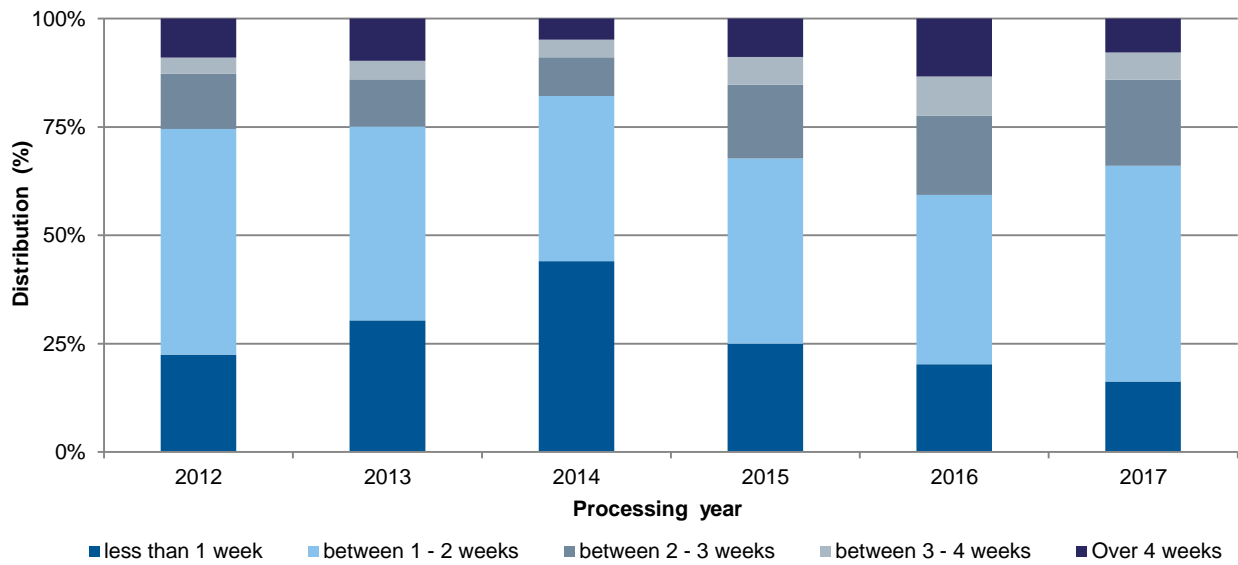
- The average cost of recording a document in the Register is estimated at 1,519 Swiss francs in 2017, representing an increase of 30 per cent compared to 2016.

Timeliness to Process International Applications

This indicator reflects the time required by the IB to process regular applications. The timeliness is calculated between the time elapsed between the date of receipt of an application and the date it was registered.

²¹⁶ See the ratios for applications and renewals in “Total Processed Workload”, above.

Timeliness to process regular international applications



- In 2017, the share of regular applications processed within less than one week decreased to 16 per cent, as compared to 44 per cent in 2014, reflecting the increase in complexity referred to in Section II above.
- In 2017, 86 per cent of applications were processed within three weeks from the date of receipt at the IB; an increase of 8 percentage points compared to 2016 (78 per cent).

ANNEX X Funds-in-Trust Progress Report 2017

In order to streamline reporting, the FIT report in Annex X is an integral part of the WIPO Performance Report. It provides an overview of activities implemented under the WIPO Funds-in-Trust (FITs) in 2017, including both programmatic and financial information. The Annex reports on all the FITs listed in the table below and excludes the FITs for Junior Professional Officers (JPOs) and those under which not activities were implemented in 2017.

| FUND-IN-TRUST | IMPLEMENTING SECTOR |
|--|--|
| Accredited Indigenous and Local Communities | Global Issues Sector |
| Australia | Office of the Director General |
| Brazil South | Office of the Director General |
| China | Brands and Designs Sector |
| Costa Rica | Development Sector |
| Finland (Copyright) | Culture and Creative Industries Sector |
| France (Industrial Property) | Development Sector |
| Ibero-American Program on Industrial Property | Development Sector |
| Italy | Development Sector |
| Japan (Copyright) | Culture and Creative Industries Sector |
| Japan (Industrial Property) | Development Sector, Global Infrastructure Sector |
| Japan (Industrial Property/Africa LDCs) | Development Sector |
| Mexico | Development Sector |
| Republic of Korea (Building Respect for Copyright and Related Rights) | Global Issues Sector |
| Republic of Korea (Copyright) | Culture and Creative Industries Sector |
| Republic of Korea (Industrial Property) | Development Sector |
| Republic of Korea (IP Education) | Development Sector |
| Spain | Development Sector |
| United Nations Fund for International Partnerships-Ending the Book Famine for People with Disabilities | Culture and Creative Industries Sector |
| United States of America (Creative Industries) | Culture and Creative Industries Sector |
| Uruguay | Development Sector |

Funds in Trust as at December 31, 2017

(in Swiss francs)

| Fund-in-Trust Donor | Fund code | Balance as of December 31, 2016 | Income 2017 | | | | Expenditure 2017 | | | | Foreign exchange | | Balance as of December 31, 2017 |
|---|-----------|---------------------------------|----------------------|----------|------------------|----------------------|---------------------|--------------------------|------------------------------|----------------------|--------------------------|----------------------------|---------------------------------|
| | | | Funds received | Interest | Exch. rate diff. | Total income | Staff expenditure | Other direct expenditure | Administrative support costs | Total expenditure | Reimbursements to donors | Gain/loss absorbed by WIPO | |
| Accredited Indigenous and Local Communities | W_IJC | 623.20 | 37,835.00 | | | 37,835.00 | | 15,561.90 | | 15,561.90 | | | 22,896.30 |
| Australia | WAUS2 | 1,163,701.38 | 696,089.03 | | (262.57) | 695,826.46 | | 479,549.65 | 62,375.60 | 541,925.25 | | | 1,317,602.59 |
| Brazil South | WBRST | 110,242.45 | | | | | | 32,371.02 | 4,208.20 | 36,579.22 | 73,663.24 | | (0.01) |
| China | WCNSP | 101,335.71 | 297,675.90 | | | 297,675.90 | | 80,770.39 | | 80,770.39 | | | 318,241.22 |
| China (HR) | WCNPR | | 306,640.00 | | | 306,640.00 | 38,820.74 | | 5,046.70 | 43,867.44 | | | 262,772.56 |
| Costa Rica | WCORI | 29,002.10 | | | | | | 18,406.33 | | 18,406.33 | | | 10,595.77 |
| El Salvador | WELSA | 53,970.66 | | | | | | | | | | | 53,970.66 |
| Finland (Copyright) | WFICH | 3,014.89 | | | | | | 939.83 | 122.20 | 1,062.03 | | | 1,952.86 |
| France (Industrial Property) | WFRIP | 704,634.12 | 300,000.00 | | (1,503.32) | 298,496.68 | | 544,718.33 | 71,008.80 | 615,727.13 | | | 387,403.67 |
| Germany (Junior Professional Officers) | WDEJP | 255,143.14 | 119,595.00 | | | 119,595.00 | 94,612.05 | 6,873.93 | 12,178.35 | 113,664.33 | 202,856.90 | | 58,216.91 |
| Ibero-American Program on Industrial Property | WIBER | 237,245.39 | 19,392.68 | | | 19,392.68 | | 63,779.93 | 4,464.60 | 68,244.53 | | | 188,393.54 |
| Italy | WITIP | 715,095.18 | | | | | | 331,437.64 | 43,086.90 | 374,524.54 | | | 340,570.64 |
| Italy (Junior Professional Officers) | WITJP | 6,113.61 | | | | | | | | | | | 6,113.61 |
| Japan (Copyright) | WJPCR | 283,190.28 | 468,646.00 | | (780.79) | 467,865.21 | 195,011.75 | 159,654.38 | 45,226.50 | 399,892.63 | | | 351,162.86 |
| Japan (Industrial Property) | WJPIP | 4,880,192.60 | 3,830,000.00 | | 1,314.43 | 3,831,314.43 | 762,237.46 | 3,225,123.48 | 511,560.70 | 4,498,921.64 | | | 4,212,585.39 |
| Japan (Industrial Property/Africa LDCs) | WJPAF | 1,562,668.63 | 1,600,000.00 | | 51.54 | 1,600,051.54 | 292,196.69 | 1,086,217.48 | 177,342.45 | 1,555,756.62 | | | 1,606,963.55 |
| Japan (Junior Professional Officers) | WJPOJ | 144,172.68 | 94,884.00 | | | 94,884.00 | 88,650.80 | | 10,638.15 | 99,288.95 | | | 139,767.73 |
| Mexico | WMEXI | 215,438.78 | | | | | | 34,000.00 | 2,380.00 | 36,380.00 | | | 179,058.78 |
| Portugal | WPTCH | 64,364.25 | | | | | | | | | | | 64,364.25 |
| Republic of Korea (Building Respect for Copyright and Related Rights) | WKRBR | 58,349.40 | 227,115.22 | | 0.01 | 227,115.23 | | 93,747.91 | 4,687.39 | 98,435.30 | | | 187,029.33 |
| Republic of Korea (Copyright) | WKRCR | 503,666.84 | 685,688.82 | | 19.35 | 685,708.17 | 65,412.80 | 361,904.66 | | 427,317.46 | | | 762,057.55 |
| Republic of Korea (Copyright/Professional Officers) | WKRPO | 320,724.01 | | | | | 139,678.35 | 2,651.39 | 17,079.55 | 159,409.29 | | | 161,314.72 |
| Republic of Korea (Industrial Property) | WKIPO | 1,200,453.76 | 633,385.52 | | 296.11 | 633,681.63 | 85,553.45 | 598,136.79 | | 683,690.24 | | | 1,150,445.15 |
| Republic of Korea (IP Education) | WKRED | 503,780.63 | 450,688.70 | | 54.73 | 450,743.43 | | 416,666.29 | 20,830.60 | 437,496.89 | | | 517,027.17 |
| Republic of Korea (Professional Officers) | WKRJP | 982,211.90 | 655,584.00 | | | 655,584.00 | 635,150.30 | | 76,218.00 | 711,368.30 | | | 926,427.60 |
| Spain | WESCH | 92,056.10 | 180,075.68 | | 0.01 | 180,075.69 | | 104,700.93 | 13,611.10 | 118,312.03 | | | 153,819.76 |
| Trusted Intermediary Global Accessible Resources Pilot Project | WTIGA | 660.67 | | | | | | | | | | | 660.67 |
| United Nations Fund for International Partnerships | WUIP1 | 45,184.18 | | | | | | 41,100.00 | 3,288.00 | 44,388.00 | | | 796.18 |
| United States of America (Creative Industries) | WUSC1 | 62,796.34 | | | 45.40 | 45.40 | | 35,326.63 | 4,586.50 | 39,913.13 | | | 22,928.61 |
| Uruguay | WUYCH | 127,950.15 | | | | | | 14,596.08 | | 14,596.08 | | | 113,354.07 |
| TOTAL | | 14,427,983.03 | 10,603,295.55 | | (765.10) | 10,602,530.45 | 2,397,324.39 | 7,748,234.97 | 1,089,940.29 | 11,235,499.65 | 276,520.14 | | 13,518,493.69 |

Accredited Indigenous and Local Communities

| RESULT: I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | | | |
|--|--|---|---|
| Activity | Date | Host Country/Recipients | Purpose(s)/Description |
| Funding for Accredited Indigenous and Local Communities | February 27 to March 3, 2017 June 12 to June 16, 2017 | Switzerland/Five Accredited Indigenous Peoples' and Local Communities' representatives at the IGC | To facilitate participation of accredited Indigenous Peoples and Local Communities representatives in the IGC in accordance with the rules of the IGC Fund as adopted by the WIPO General Assembly. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Accredited Indigenous and Local Communities | |
|--|-----------------|
| Balance beginning of 2017 | 623 |
| Income | |
| Funds received | 37,835 |
| Total Income: | 37,835 |
| Expenditure | |
| Third-party travel | 15,562 |
| Total Expenditure: | (15,562) |
| Funds available, end of 2017 | <u>22,896</u> |

Australia

| RESULT: I.1 Enhanced cooperation among Member States on development of balanced international normative frameworks for IP | | | |
|--|-------------------------|--------------------------------|---|
| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
| Patent Drafting Workshop | November 13 to 17, 2017 | South Africa/34 participants | To provide theoretical information and practical patent drafting exercises to staff from universities, R&D institutions and SMEs, as well as newly recruited patent examiners from the IP Office. |

| RESULT: II.1 Wider and more effective use of the PCT system for filing international patent applications | | | |
|---|--------------------------|---|---|
| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
| Analysis of training needs for substantive patent examination | January to November 2017 | Afghanistan, Bangladesh, Bhutan, Cambodia, Comoros, Fiji, Indonesia, Kenya, Kiribati, Lao People's Democratic Republic, Madagascar, Malaysia, Maldives, Mauritius, Mongolia, Mozambique, Myanmar, Nepal, Nauru, Niue, Pakistan, Papua New Guinea, the Philippines, Samoa, Seychelles, Solomon Islands, Somalia, South Africa, Sri Lanka, Thailand, the Cook Islands, Timor-Leste, Tonga, Tuvalu, United Republic of Tanzania, Vanuatu, Viet Nam | To prepare a report describing the training status and needs of potential beneficiary Offices with respect to substantive patent examination. The report provided the basis for selecting beneficiary Offices for respective follow-on training activities. |

| | | | |
|---|------------------------|-----------|---|
| Workshop concerning examination of PCT national phase entries (NPE) | October 16 to 20, 2017 | Indonesia | To: (i) provide introductory lectures on specific topics (patent family relations; examination status; examination work products (intermediary and final); retrieval of examination work products; issues with utilizing intermediary and final work products; work-sharing initiatives; and legal issues with work-sharing); (ii) emphasize the role of and interaction with ISAs; and (iii) conduct case studies on applications pending in the beneficiary Office to include the on-the-job component. |
|---|------------------------|-----------|---|

RESULT: II.6 Wider and more effective use of the Madrid System, including by developing countries and LDCs

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|---|------------------------------------|---|--|
| Development of an online training program on the Madrid System accession and implementation process | January to December 2017 (ongoing) | Countries seeking to accede to the Madrid System or those having just acceded | To include different modules mostly intended for managers in IP Offices that are considering joining the Madrid System and examiners and administration staff in IP Offices that have newly joined the System. The core content of Modules 1 and 2 was transferred to WIPO at the end of 2017. |

RESULT: III.1 National innovation and IP strategies and plans consistent with national development objectives

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|---|--|----------------------------------|--|
| National Consultations for the Development of a National IP Strategy (NIPS) for Niue | February 27 to March 2, 2017 | Niue | To meet with the different national stakeholders and assess the IP laws and related concerns, needs and priorities and to assess how an IP regime could support the developmental objectives of Niue. The proposed NIPS was finalized with input from across WIPO and submitted to the Government for its consideration and implementation as appropriate on August 10, 2017. |
| Development of a National IP Strategy for the Lao People's Democratic Republic: | | Lao People's Democratic Republic | |
| - Consultation meetings on the drafting and fine-tuning of the draft National IP Strategy | March 15 to 17, 2017 | | To further draft and fine-tune the draft National IP Strategy in Vientiane following the ground work done by national experts in gathering information, holding interviews/individual consultation meetings, research and drafting the texts of the Strategy. |
| - Consultation Meetings on the finalization of the draft National IP Strategy | August 7 to 11, 2017 | | To finalize the draft National IP Strategy. |
| - Translation of the draft National IP Strategy | October to November 2017 | | To translate the draft into the Laotian language, which was subsequently distributed to all relevant ministries, government agencies, and stakeholder groups from the private sector. |
| - National Roundtable Meeting ²¹⁷ | December 28, 2017 | | To validate and finalize the draft National IP Strategy with participation of all stakeholders concerned from both public and private sectors. |
| Development of a National IP Strategy for Viet Nam: | | | The MoU between WIPO and the National IP Office of Viet Nam was signed on March 22, 2017. |
| - Initial meetings on the formulation and implementation of a National IP Strategy for Viet Nam | June 20 to 22, 2017 | Viet Nam | To identify relevant aspects of the existing overall national development policies as well as sectoral plans, which could be related to IP, and explore functional linkages between IP and these aspects in the context of a National IP Strategy for Viet Nam. |
| - National Consultations Meeting for the Development of a National IP Strategy ²¹⁸ | October 23 to 25, 2017; October 27, 30 31 and November 1 and 2, 2017 | | To present and discuss the draft outline of the Strategy with different stakeholder groups. The comments provided in the October meetings were used as the basis for drafting the Strategy texts during the next Consultation Meetings in November. At the end of the Consultation Meetings, a new version of the draft Strategy was produced. The National team of Experts further fine-tuned the first version of the draft Strategy and submitted it for consideration and approval by the Prime Minister in December 2017. |

²¹⁷ The draft Strategy will be considered by the Government of Lao People's Democratic Republic for approval/adoption [in 2018]

²¹⁸ Activities will continue in 2018 to finalize and validate the draft Strategy based on the first version as approved by the Prime Minister of Viet Nam

| RESULT: | | III.2 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 | |
|---|------------------------|--|--|
| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
| Sub-regional Workshop on Copyright and Development for Decision Makers | January 23 to 25, 2017 | Cook Islands/Cook Islands, Fiji, Kiribati, Nauru, Papua New Guinea, Samoa, Tonga, Tuvalu, Vanuatu | To: (i) improve understanding of the relevance and importance of copyright for national development; (ii) increase interest in establishing/strengthening the copyright system and infrastructure in countries in the region; (iii) increase interest in participation in the international framework for copyright and related rights; (iv) enhance capacities of policy formulation in the area of copyright; (v) share the practice and experience of participating countries and the host country; (vi) assess the current situation and status of copyright in the participating countries and identify priority areas of improvement and future cooperation. |
| National Workshop on Copyright and Related Rights for Creators | January 26 to 27, 2017 | Cook Islands | To contribute to keeping up the momentum of the progress achieved after the first copyright seminar, held in early 2015, and pursue further development on the basis of the country's needs, in particular: (i) enhance capacities of governmental officials in the formulation of policies and strategies in copyright and related rights, including participation in the international system for the protection of copyright and related rights, particularly the Berne Convention for the Protection of Literary and Artistic Works; (ii) improve the creators' and other related stakeholders' understanding of the usefulness and functions of a copyright system, particularly for wealth creation and cultural and economic prosperity; (iii) evaluate implementation of the recommendations adopted at the end of the previous copyright seminar; and (iv) examine the functions and activities of the Music Association of the Cook Islands and assess its possible role in promotion and management of copyright and related rights in the country. |
| National Seminar on New Developments in Copyright and its Role in Sustainable Development | May 9 to 11, 2017 | Samoa | To: (i) provide information to the participants on new developments in copyright and related rights at the national and international levels, particularly on the newly adopted international treaties; (ii) raise awareness and understanding of the relevance and impact of new developments for policy makers and related stakeholders in the changing social and technological environment; (iii) increase the capacity of policy makers from various related ministries and key stakeholders in the establishment of a modern and balanced copyright system adapted to the needs of Samoa; and (iv) increase interest and participation in the newly adopted international treaties in the field of copyright and related rights. |

| RESULT: | | IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | |
|--|--------------------------------------|---|--|
| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
| Memorandum with an NGO in Bangladesh (Young Power in Social Action) concerning increased access to educational materials for the blind and visually impaired | January to July, 2017 ²¹⁹ | Bangladesh | In line with the MoU, training and technical assistance in the latest accessible book techniques was provided to government and commercial publishers. Funding was also provided for the production of 200 educational materials and the distribution of 52 Android devices to visually impaired students. Seven 1-day training sessions on the use of Android Devices were provided to a total of 112 students. Two 1-day awareness raising seminars were held with the government and NGOs (51 participants) on the importance of the Marrakesh Treaty. Two 3-day training workshops for government/commercial publishers on accessible book production were held for 42 participants. |

²¹⁹ Continued from 2016

| | | | |
|--|--------------------------------------|-----------|---|
| Memorandum with an NGO in Nepal (Action on Disability Rights and Development) concerning increased access to educational materials for the blind and visually impaired | January to July, 2017 ²²⁰ | Nepal | In line with the MoU, training and technical assistance in the latest accessible book techniques was provided to government and commercial publishers. Funding was also provided for the production of 140 educational materials and the distribution of 100 Android devices to visually impaired students. Action on Disability Rights and Development (ADRAD) received training in the use of the ABC Book Service. ADRAD organized training in DAISY e-book production for 50 representatives from organizations serving visually impaired persons. Training by the DAISY Consortium in accessible book production techniques for 17 representatives from NGOs, the central library of the university, government and commercial publishers was undertaken. A training workshop on the use of Android devices for 20 trainers was held (and these trainers will work with schools to provide training to students). ADRAD trained 150 students on the use of Android devices. |
| Memorandum with an NGO in Sri Lanka (Daisy Lanka Foundation) concerning increased access to educational materials for the blind and visually impaired | January to July, 2017 ²²¹ | Sri Lanka | In line with the MoU, training and technical assistance in the latest accessible book techniques was provided to NGOs. Funding was also provided for the production of 422 educational materials and the distribution of 50 DAISY readers to visually impaired teachers. An awareness raising workshop for the national library services and documentation board was conducted for 63 participants. Training for technical officers of the Sri Lanka Council of Visually Handicapped Graduates was held for 19 participants. Training for producers from the Sri Lanka Council for Visually Handicapped Graduates took place for 17 participants. Two training sessions were held concerning DAISY talking book players for 50 teachers. 5 training sessions focused on introducing up-to-date methods for accessing digital information, including reading text-only books on Android devices and navigating digital audio files with advanced features were held for 53 students. |
| The development of technological solutions to make it easier for organizations to produce books in accessible formats and for end users to read those books | January to July, 2017 ²²² | Sri Lanka | A Sri Lanka NGO, 'Access to Success', was contracted to develop two technological solutions to make it easier for organizations to produce books in accessible formats to: (i) allow end users to read those books, namely: accurate and accessible optical character recognition (OCR) open source software for both Sinhala and Tamil to be available as a desktop application compatible with the Windows operating system and offline; (ii) provide an open source braille support software (Liblouis) solution for Sinhala. |

RESULT:

V.2 Wider and better use of WIPO economic analysis in policy formulation

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|---|-----------------------|--------------------------------------|---|
| Study on the role of the IP System in the Asia-Pacific Region | July to December 2017 | Countries in the Asia-Pacific Region | To: (i) examine the role of IP for specific economic sectors in selected developing economies using a series of case studies; and (ii) examine the sector-specific context in which IP policies operated, explore how IP policies interacted with other innovation and economic policies, and offer more concrete guidance on growth-enhancing IP policy reforms. |

RESULT:

VII.2 IP-based platforms and tools for knowledge transfer, technology adaptation and diffusion from developed to developing countries, particularly least developed countries, to address global challenges

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|---|--------------------------|-------------------------|--|
| National Workshop on IP Marketing and Valuation | July 10 to 13, 2017 | Indonesia | To assist national technology managers from universities and R&D institutions to: (i) understand the full cycle of IP monetization; (ii) develop basic technical skills regarding valuation of IP and technologies in the academic knowledge transfer context; (iii) develop understanding of IP marketing procedures and, in that context, develop appreciation of the use of existing IP related tools such as patent landscapes; and (iv) apply the knowledge acquired through practical exercises. |
| National Workshop on Advanced Successful Technology Licensing | September 25 to 29, 2017 | Viet Nam | To: (i) upgrade the capacity of technology managers to negotiate and draft technology transfer agreements; and (ii) enhance understanding of IP valuation when licensing technology. |

²²⁰ Continued from 2016

²²¹ Continued from 2016

²²² Continued from 2016

| | | | |
|--|---|---|---|
| National Project on Bridging the Gap Between National Academic Institutions and Industry | February 22 to 23, 2017 (Phase one) | the Philippines | Phase one of the project involved a series of consultations with key stakeholders (IP Office, relevant Government departments and agencies, representatives of SMEs, academic institutions) to: (i) develop clear criteria for the selection of SMEs that would be the beneficiaries of the project; (ii) identify priority sectors for successful project implementation; (iii) define the basic outline of the concept paper for the project as well as identify potential partners; and (iv) meet with beneficiary institutions and assess their priority needs. |
| | September 20 to 21, 2017 (Phase two) | | |
| Patent Drafting Workshop | November 13 to 17, 2017 | South Africa/34 participants | To provide theoretical information and practical patent drafting exercises to staff from universities, R&D institutions and SMEs, as well as newly recruited patent examiners from the IP Office. |
| Translation of a Technology Transfer Tool Box | January to December 2017 (ongoing) | Indonesia, Viet Nam | To translate into Indonesian and Vietnamese a Technology Transfer Tool Box previously developed under the first Australian FIT. The Tool Box was used in the National Workshop on Advanced Successful Technology Licensing held in Viet Nam in September 2017. The translation into Indonesian is pending formalization of a MoU with Indonesia. |
| Development of a Tool Box Training Kit | September to December, 2017 (ongoing) | All | To enhance the efficacy of the Technology Transfer Tool Box, it was tested during the National Workshop on Advanced Successful Technology Licensing held in Viet Nam in September 2017. Subsequently, a series of standard presentations regarding IP policies and technology transfer agreements will be added to the training kit, incorporating the lessons learned from the workshop. |
| WIPO GREEN matchmaking project for green technology seekers and providers in Asia | January to December 2017 (ongoing) | the Philippines/Cambodia, Indonesia, the Philippines | To identify green technology needs in Cambodia, Indonesia and the Philippines and to match them with solutions in order to contribute to broader efforts to tackle environmental and climate change challenges. The focus areas were agriculture, air, energy and water. |
| Hosting arrangement for a scientist from Bangladesh | September to November, 2017 | Australia (University of Melbourne)/Bangladesh (International Center for Diarrheal Disease Research) | To promote: (i) the effective use of IP to address a global health challenge (neglected tropical diseases (NTDs), which affect many LDCs); (ii) knowledge transfer for scientists, particularly from LDCs. Customized research programs were developed to ensure that participants upgrade research skills and are able to make a significant contribution in their home countries on NTDs. |
| Hosting arrangement for a scientist from Papua New Guinea | August 2017 to December 2017 (ongoing) | Australia (Walter and Eliza Hall Institute)/Papua New Guinea (Papua New Guinea Institute of Medical Research) | To promote: (i) the effective use of IP to address a global health challenge (neglected tropical diseases (NTDs), which affect many LDCs); (ii) knowledge transfer for scientists, particularly from LDCs. Customized research programs were developed to ensure that participants upgrade research skills and are able to make a significant contribution in their home countries on NTDs. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Australia | |
|---------------------------------|-------------------------|
| Balance beginning of 2017 | 1,163,701 |
| Income | |
| Funds received | 696,089 |
| Exchange Rate adjustment | (263) |
| Total Income: | 695,826 |
| Expenditure | |
| Fellowships | 30,536 |
| Staff missions | 69,871 |
| Third-party travel | 112,105 |
| Conferences | 22,420 |
| Individual contractual services | 59,866 |
| Other contractual services | 59,636 |
| UN Joint Services | 107,632 |
| Furniture and equipment | 17,484 |
| Program support costs | 62,376 |
| Total Expenditure: | (541,925) |
| Funds available, end of 2017 | <u><u>1,317,603</u></u> |

Brazil South

RESULT:

III.2 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

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|---|-------------------------|--|--|
| WIPO Regional Training Course on Trademark for Examiners from Lusophone Countries in Africa | February 13 to 17, 2017 | Brazil/15 participants from Angola, Cabo Verde, Guinea-Bissau, Mozambique, Sao Tome and Principe | To: (i) enhance technical skills of trademark examiners from Lusophone countries in Africa in order to put in place a harmonized and integrated regional system for examination of trademarks; (ii) discuss new trademark issues faced by the IP Offices in the Lusophone countries and respond to new challenges. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Brazil South | |
|------------------------------|-----------------|
| Balance beginning of 2017 | 110,242 |
| Income | |
| Funds reimbursed | (73,663) |
| Total Income: | (73,663) |
| Expenditure | |
| Third-party travel | 32,371 |
| Program support costs | 4,208 |
| Total Expenditure: | (36,579) |
| Funds available, end of 2017 | <u><u>-</u></u> |

China

RESULT: I.1. Enhanced cooperation among Member States on development of balanced international normative frameworks for IP

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|---|--|--|---|
| High-Level Training Seminar on the Intellectual Property System and Policies for Senior Officials from African Countries | July 24 to 28, 2017 | China/Angola, ARIPO, Botswana, Egypt, Ethiopia, the Gambia, Ghana, Kenya, Lesotho Liberia, Malawi, Morocco, Mozambique, Namibia, Nigeria, Rwanda, Sao Tome and Principe, Sierra Leone, Somalia, South Africa, Sudan, United Republic of Tanzania, Uganda, Zambia, Zimbabwe | To: (i) promote the exchange of experiences related to the management of IP; (ii) provide a high-level dialogue forum for senior officials to discuss issues regarding the development of IP; (iii) enable participants to acquire a broader knowledge on IP matters; and (iv) demonstrate enhancement of their knowledge of technical and legal IP developments. |
| Master's Degree in Intellectual Property (IP) Law with Specialization in Design (MIP in Design) jointly offered by WIPO and Tongji University | September 2017 to December, 2018 (ongoing) | China/one fellow from Cambodia and one from Hungary | To enhance human resource capacities in IP, particularly in the area of designs. |

RESULT: II.4. Wider and more effective use of the Hague System, including by developing countries and LDCs

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|--|---------------------------------|-------------------------|---|
| Training Course to Promote Capacity Building for the Effective Use of IP | November 13 to December 8, 2017 | Ethiopia | To enhance the capacity of officials and examiners from the Ethiopian IP Office (EIPO) on administration and examination of patents and industrial designs. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| China | |
|---------------------------------|-----------------|
| Balance beginning of 2017 | 101,336 |
| Income | |
| Funds received | 297,676 |
| Total Income: | 297,676 |
| Expenditure | |
| Fellowships | 28,352 |
| Staff missions | 5,557 |
| Third-party travel | 24,804 |
| Conferences | 4,985 |
| Individual contractual services | 192 |
| Supplies and materials | 16,880 |
| Total Expenditure: | (80,770) |
| Funds available, end of 2017 | 318,241 |

Costa Rica

RESULT: **III.2. 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**

| Activity | Date | Country/Recipients | Purpose(s)/Description |
|---|-----------------------|--|---|
| Sub-regional Seminar on IP and Technology Transfer: Opportunities, Challenges and Strategic Partnerships between the Public, Academic and Private Sectors | August 22, 2017 | Costa Rica/Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, Panama | To: (i) provide a high level forum for the exchange of experiences at policy and sub-regional levels on IP and technology transfer; and (ii) highlight the importance of strategic partnerships between public, academic and private sectors to facilitate the process of technology transfer and its impact on the national innovation system. |
| Sub-regional Workshop on the Use of IP Tools Related to Technology Transfer | August 23 to 24, 2017 | Costa Rica/Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, Panama | To provide practical training to relevant local and sub-regional participants from public, academic, R&D and private institutions involved in IP and technology transfer management issues. |

Donor Contributions and Expenditure

Trust funds as at December 31, 2017
(in Swiss francs)

| Costa Rica | |
|------------------------------|----------|
| Balance beginning of 2017 | 29,002 |
| Income | |
| Total Income: | - |
| Expenditure | |
| Third-party travel | 18,406 |
| Total Expenditure: | (18,406) |
| Funds available, end of 2017 | 10,596 |

Finland (Copyright)

RESULT: **III.2 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**

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|---|------------|-------------------------|---|
| Support to translation of the WIPO Publication "Monetizing of Copyright Assets" | March 2017 | All | To provide a tool in UN official languages for valuation and management of copyright assets in the creative industries. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Finland (Copyright) | |
|------------------------------|---------|
| Balance beginning of 2017 | 3,015 |
| Income | |
| Total Income: | - |
| Expenditure | |
| Other contractual services | 940 |
| Program support costs | 122 |
| Total Expenditure: | (1,062) |
| Funds available, end of 2017 | 1,953 |

France (Industrial Property)

RESULT: **III.2. 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**

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|--|--|---|--|
| Training Program Certificat d'Animateur propriété industrielle (CAPI) session 2016- 2017 | January 1 to May 5, 2017 ²²³ | Morocco/10 participants from Algeria, Burkina Faso, Cabo Verde, Congo, Djibouti, Gabon, Mali, Mauritania, Togo and Tunisia | A certified training program for businesses and professionals to: (i) develop their skills in management of industrial property rights; (ii) improve efficiency in the management and valuation of intangible asset; (iii) understand the challenges of IP; and (iv) master the use of protection and search tools. |
| Training Program Certificat d'Animateur propriété industrielle (CAPI) session 2017- 2018 | October 16 to December 31, 2017 | Morocco/10 participants from Algeria, Burkina Faso, Côte d'Ivoire, Djibouti, Guinea, Madagascar, Mauritania, Rwanda, Togo and Tunisia | |
| Sub-regional Patent Examination Training Course for the Gulf Cooperation Council (GCC) countries | March 12 to 15, 2017 | Kuwait/18 participants from Gulf Cooperation Council (GCC) countries: Bahrain, Kuwait, Oman, Qatar, Saudi Arabia and the United Arab Emirates | To develop skill of patent examiners in patent management and design, with special focus on patent protection and design protection rules and procedures. |
| Innovation and Patents Conference | May 3, 2017 | United Arab Emirates/100 participants in total from Gulf Cooperation Council (GCC) countries and Algeria, Egypt, Lebanon, Jordan, Morocco and Palestine | To discuss patent protection of innovations and inventions. |
| Regional Patent Law Workshop for Magistrates of the Gulf Cooperation Council (GCC) countries and other invited countries | May 4 2017 | United Arab Emirates/18 judges from the United Arab Emirates, 15 judges from other GCC countries and 9 judges from Algeria, Egypt, Jordan, Lebanon, Morocco and Palestine | To: (i) understand the economic importance of IP and the economic and social impact of counterfeit; (ii) master the national and international rules and the concepts of patent protection; (iii) identify patentable innovation; (iv) analyze patent infringement cases, and work on concrete civil and criminal cases; (v) acquire knowledge on patent protection rules. |
| WIPO-Center for International Intellectual Property Studies (CEIPI) Advanced Training Course on IP, Technology Transfer and Licensing | June 12 to 23, 2017 | France/20 participants from Belarus, Botswana, Cameroon, Colombia, Costa Rica, Cuba, Ethiopia, Ghana, Guatemala, Kazakhstan, Kenya, India, OAPI, Pakistan, the Philippines, Russia, Serbia, Sri Lanka, South Africa and Viet Nam | To: (i) enhance skills and knowledge of managers and scientists from research and development institutions and universities from developing countries and countries with economies in transition to deal with technology transfer; and (ii) equip participants with skills in marketing IP, IP valuation and negotiating IP licensing agreements. |

²²³ Initiated in September, 2016

| | | | |
|---|-------------------------|--|--|
| WIPO-National Institute of Industrial Property (INPI)-Moroccan Office of Industrial and Commercial Property (OMPIC) Training Course on Trademarks | July 3 to 14, 2017 | Morocco /16 participants from Burkina Faso, Cameroon, Cuba, Djibouti, Gabon, Madagascar, Mauritius, OAPI, Senegal, Tunisia, Ukraine and Viet Nam | To enhance skills and knowledge of trademarks officials from IP offices and relevant ministries from developing countries. |
| Elaboration of an Intellectual Property Code of the African Intellectual Property Organization (OAPI) | August 1 to 2, 2017 | Cameroon/approximately 20 participants from Cameroon, Congo, Côte d'Ivoire, France, Gabon, Niger, OAPI and Togo | To create a book of commentaries and annotations on the Bangui Agreement, for promotional and educational purposes. |
| Training Workshop on Industrial Property for Gulf Cooperation Council (GCC) countries | October 16 to 20, 2017 | France/6 participants from the GCC countries | To: (i) develop skills of patent and trademark examiners on rules and procedures for patent, trademarks and design protection; (ii) develop knowledge of IP laws and regulations in Europe; and (iii) acquire information on geographical indications and copyright protection. |
| Innovation and Intellectual Property as Engines for Competitive Agribusiness: Empowering Women Researchers and Entrepreneurs in Africa | November 14 to 16, 2017 | Morocco/100 participants from the African region composed of women researchers and agribusiness entrepreneurs | To: (i) provide a platform for dialogue and learning for African researchers and entrepreneurs in Agri-business; (ii) teach the women researchers and entrepreneurs the relevance of IP in Agriculture and Agri-business and innovative ways to work and do business; (iii) empower the women researchers and entrepreneurs to effectively use the IP system (national, regional and international) for economic development and wealth creation and to apply what they have learnt in their respective areas of work; and (iv) create a network linking women researchers and entrepreneurs in the continent. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| France (Industrial Property) | |
|---------------------------------|-----------------------|
| Balance beginning of 2017 | 704,634 |
| Income | |
| Funds received | 300,000 |
| Exchange Rate adjustment | (1,503) |
| Total Income: | 298,497 |
| Expenditure | |
| Fellowships | 152,655 |
| Staff missions | 4,722 |
| Third-party travel | 347,639 |
| Conferences | 35,749 |
| Individual contractual services | 3,954 |
| Program support costs | 71,009 |
| Total Expenditure: | (615,727) |
| Funds available, end of 2017 | <u><u>387,404</u></u> |

Ibero-American Program on Industrial Property

RESULT: **III.2. 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**

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|--|------------------------------------|------------------------------|--|
| Creation of a platform in Spanish on IP services for the Ibero-American entrepreneurial sector with special focus on SMEs (CIBEPYME) | January to December 2017 (ongoing) | All Ibero-American countries | To strengthen generation and management of IP assets in the business sector in Ibero-American countries. |

RESULT: **III.4. Strengthened cooperation mechanisms and programs tailored to the needs of developing countries, LDCs and countries with economies in transition**

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|---|--------------------------|---|--|
| Inter-Governmental Committee meeting of the Ibero-American Program on Industrial Property and Development Promotion (IBEPI) | October 1 to 4, 2017 | Switzerland /All Ibero-American countries | To: (i) review the work plan; (ii) discuss the implementation and progress of ongoing projects; and (iii) review rules and regulations for the functioning of the IBEPI Program. |
| General Meeting on Ibero-American Program on Industrial Property and Development Promotion (IBEPI). | November 9 to 10, 2017 | Peru/All Ibero-American countries | Exchange of good practices between National IP Offices on the enforcement of IP rights (trademarks and industrial designs) and the creation of common policies. |
| Elaboration of the operating manual for the IBEPI Program | January to October, 2017 | All Ibero-American countries | To advance the institutionalization of the IBEPI program. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017
(in Swiss francs)

| Ibero-American Program on Industrial Property | |
|---|-----------------|
| Balance beginning of 2017 | 237,245 |
| Income | |
| Funds received | 19,393 |
| Total Income: | 19,393 |
| Expenditure | |
| Third-party travel | 47,064 |
| Conferences | 73 |
| Individual contractual services | 16,643 |
| Program support costs | 4,465 |
| Total Expenditure: | (68,245) |
| Funds available, end of 2017 | <u>188,394</u> |

Italy

RESULT: **III.2 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**

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|---|------------------------|---|--|
| Specialized Course in IP Management and Valuation for undergraduate/graduate students jointly offered by WIPO, the LUISS Business School and the Italian Patent and Trademark Office (UIBM) | May 2 to July 19, 2017 | Italy/Algeria, Brazil, China, Egypt, India, Indonesia, Islamic Republic of Iran, South Africa | Enhance the skills of participants to address challenges related to the protection, enhancement and strategic, economic and financial evaluation of corporate IP assets. |
| National Workshop on Geographical Indications (GIs) and Branding for producers associations and national authorities | March 27 to 29, 2017 | Bolivia | To: (i) raise awareness among producers of leading origin-linked products in Bolivia on the protection of GIs, Appellations of Origin, and collective and certification marks at the national, international and regional levels (in particular the European Union); (ii) share experiences on the development and implementation of GI schemes in Bolivia, as well as in other countries with a successful history of GI promotion, notably Honduras, Italy, Mexico and Peru. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Italy | |
|---------------------------------|-----------|
| Balance beginning of 2017 | 715,095 |
| Income | |
| Total Income: | - |
| Expenditure | |
| Third-party travel | 14,948 |
| Conferences | 2,014 |
| Individual contractual services | 1,793 |
| Other contractual services | 312,683 |
| Program support costs | 43,087 |
| Total Expenditure: | (374,525) |
| Funds available, end of 2017 | 340,571 |

Japan (Copyright)²²⁴

| RESULT: III.2. 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 | | | |
|--|-------------------------|--|---|
| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
| National Workshop on the Role of Copyright and Related Rights | February 13 to 15, 2017 | Maldives/60 local participants | To: (i) increase awareness of copyright and related rights; and (ii) promote better understanding of the role of copyright in enhancing cultural and economic development and encouraging creativity. |
| National Workshop on the Role of Copyright and Related Rights in Economic and Cultural Development | June 5 to 6, 2017 | Mongolia/over 50 local participants | To: (i) enhance understanding of the importance of a balanced copyright system for economic and cultural development in the country; and (ii) update stakeholders' knowledge on copyright. |
| Asia-Pacific Regional Meeting for Heads of Copyright Offices | October 23 to 26, 2017 | Japan/28 participants from Bangladesh, Bhutan, Cambodia, China, Cook Islands, Fiji, India, Indonesia, Kiribati, Lao People's Democratic Republic, Maldives, Malaysia, Marshall Islands, Mongolia, Myanmar, Nepal, Niue, Pakistan, Papua New Guinea, the Philippines, Samoa, Singapore, Thailand, Tonga, Tuvalu, Vanuatu and Viet Nam | To: (i) exchange views and information on issues and challenges relating to copyright and related rights; (ii) exchange views and experiences in strengthening the copyright systems and capacities for policy formulation, including those related to cultural and economic development; and (iii) explore possible new areas of cooperation in the region |

²²⁴ In addition to the activities listed, an evaluation and planning meeting was also conducted.

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Japan (Copyright) | | |
|---------------------------------|---------|------------------|
| Balance beginning of 2017 | | 283,190 |
| Income | | |
| Funds received | 468,646 | |
| Exchange Rate adjustment | (781) | |
| Total Income: | | 467,865 |
| Expenditure | | |
| Posts | 98,160 | |
| Temporary staff | 96,852 | |
| Staff missions | 14,466 | |
| Third-party travel | 133,443 | |
| Conferences | 5,180 | |
| Individual contractual services | 6,565 | |
| Program support costs | 45,227 | |
| Total Expenditure: | | (399,893) |
| Funds available, end of 2017 | | 351,163 |

Japan (Industrial Property)²²⁵

RESULT: II.6 Wider and more effective use of the Madrid System, including by developing countries and LDCs

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|--|------------------------|---|---|
| Regional Meeting of IP Officials Responsible for the Madrid System | October 23 to 24, 2017 | Japan/26 participants from Afghanistan, Bhutan, Brunei Darussalam, Cambodia, India, Indonesia, Lao People's Democratic Republic, Malaysia, Myanmar, Pakistan, Papua New Guinea, the Philippines, Samoa, Singapore, Sri Lanka, Thailand and Viet Nam | To: (i) improve operations within IP Offices and strengthen their capacity; (ii) improve the operations of the Madrid System among the contracting parties and review the workload and the tasks involved in the administration of the System; and (iii) promote understanding of the requirements and benefits of acceding to the System and provide non-contracting parties with an opportunity to learn about experiences of accession and related practical procedures. |

RESULT: III.2 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

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|--|---|---|--|
| Sub-regional Workshop on Patent Examination Quality Management | June 21 to 23, 2017 | Japan/16 participants from Brunei Darussalam, India, Indonesia, Malaysia, the Philippines, Singapore, Thailand and Viet Nam | To: (i) provide participants with an opportunity to learn and become more aware of initiatives taken by other IP Offices in terms of managing patent examination quality; (ii) provide the participants with an opportunity to present the current situation in their respective IP Offices, as well as any recent developments in managing patent examination quality; and (iii) provide an opportunity to discuss with officials from WIPO, the JPO, and other IP Offices. |
| Short-term Fellowship Training | February 6 to 17, 2017 September 4 to 15, 2017 | Japan/2 participants from Nepal and the Philippines | To improve IP support institutions through learning about IP registration and protection in Japan and gaining practical experience. |
| Long-term fellowship | May 8 to August 3, 2017 | Japan/Thailand | To enhance capacities in technology research, licensing and office management in a university environment. |

²²⁵ In addition to the activities listed, an evaluation and planning meeting was also conducted.

RESULT: **III.6 Increased capacity of SMEs, universities and research institutions to successfully use IP to support innovation**

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|--------------------------|--------------------------|-------------------------|---|
| IP Advantage Initiatives | January to December 2017 | All | To promote better understanding of the use of the IP system for innovation. Three video clips (cases in Brunei Darussalam and Thailand) were created. |

RESULT: **IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity**

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|--|--|---|--|
| National Workshop on Technology Transfer Office and IP Management in the framework of the Enabling IP Environment Project | March to October, 2017 | the Philippines, Sri Lanka, Thailand, Viet Nam | To: (i) discuss the implementation strategy and capacity-building activities of the Enabling IP Environment Project on technology transfer office and IP management; (ii) level expectations on university technology transfer office mandates, functions, organization, operations and required competencies; and (iii) provide an overview of IP-based technology transfer and commercialization process, dynamics and nuances of licensing. |
| University visits in the context of creating an Enabling IP Environment to Increase the Capacity of Countries for Technology Development, Management and Commercialization | May to November, 2017 | Malaysia, the Philippines, Sri Lanka, Thailand, | To: (i) discuss the implementation strategy and capacity-building activities of the Enabling IP Environment Project on technology transfer office and IP management; (ii) level expectations on university technology transfer office mandates, functions, organization, operations and required competencies; and (iii) provide an overview of IP-based technology transfer and commercialization process, dynamics and nuances of licensing. |
| Conference for Presidents/Vice-Presidents and Technology Transfer Officers of Universities and Research Institutions on Creating an Enabling IP Environment for Technology Development, Management and Commercialization | December 13 to 15, 2017 | Japan/Indonesia, Malaysia, the Philippines, Sri Lanka, Thailand | To engage the top management of universities and research institutions in a discussion on how to create an enabling IP environment for technology development, management and commercialization. |
| National Patent Drafting Course and Mentoring Program | February 13 to 17, 2017 July 24 to 28, 2017 October 2 to 6, 2017 | Malaysia Sri Lanka Thailand | To increase patent drafting skills of staff of selected institutions in each country. |
| Regional Meeting on Establishing a Search Mentoring Framework for ASEAN Member Status | September 14 to 15, 2017 | Myanmar/14 participants from Cambodia, Indonesia, Lao People's Democratic Republic, Malaysia, Myanmar, the Philippines, Thailand and Viet Nam | To review progress and discuss next steps in the implementation of the action plan for establishing an ASEAN regional TISC network and to discuss the establishment of a practical search mentoring arrangement for ASEAN Member States. |

RESULT: **IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP administration**

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|--|---|---|---|
| Regional Training Course for Staff Members of IT Divisions at the IP Offices of Emerging Countries | January 16 to 20, 2017 November 29 to December 6, 2017 | Japan/13 participants from Cambodia, Chile, India, Indonesia, Lao People's Democratic Republic, Malaysia, Myanmar, Saudi Arabia, Singapore, Thailand and Viet Nam Japan/12 participants from Argentina, Brazil, Cambodia, Chile, India, Indonesia, Lao People's Democratic Republic, Malaysia, Myanmar, the Philippines, Thailand and Viet Nam | To: (i) develop human resources specializing in IT; (ii) improve business efficiency through the use of IT systems; and (iii) enhance knowledge about the operational use and management of IT systems in an IP framework through case studies at the JPO and its support institutions. |

| | | | |
|---|--|---|---|
| WIPO CASE Development and Support for ASEAN Member States | April to December 2017 | All | <p>Costa Rica, Egypt, and Georgia joined the WIPO CASE system, bringing the total number of IP offices participating in the system to 30 IP Offices end 2017, including 13 providing offices. Currently, 9 ASEAN countries participate as Accessing Offices (Brunei Darussalam, Cambodia, Indonesia, Lao People's Democratic Republic, Malaysia, the Philippines, Singapore, Thailand, and Viet Nam). Brunei Darussalam and Singapore also participate as Providing Offices. A lite version of WIPO CASE examiner portal was deployed in Egypt in order to facilitate access to WIPO CASE by using local user accounts. Singapore newly participated in the WIPO CASE system as Providing Office. India confirmed participation as a Providing Office, New Zealand as a Providing Office as of March 12, 2018, Peru as an Accessing Office and Ukraine as an Accessing office as of February 1, 2018. Dossier information of the United States of America became available through WIPO CASE in 2016 and publicly in WIPO Patentscope in October 2017.</p> <p>The usage of WIPO CASE rose in line with the increase in participating offices. The WIPO CASE service was substantially enhanced with regard to the features, data coverage and data quality.</p> |
| Office System Enhancements for ASEAN Member States | April to December 2017 | ASEAN Member States | <p>ASEAN PATENTSCOPE was successfully launched and access to ASEAN patent data was significantly enhanced through: (i) the creation of a regional version of WIPO Publish, with multiple language interfaces, improved search facilities, access to patent family information and with automated data feeds from participating national offices; (ii) installation and configuration of WIPO Publish in national Offices; and (iii) establishment of automated data feeds to regional and international databases. As a result, patent information (mainly bibliographic information) of 8 ASEAN Offices became publicly available on ASEAN PATENTSCOPE and WIPO PATENTSCOPE (Brunei Darussalam, Cambodia, Indonesia, Malaysia, the Philippines, Singapore, Thailand, and Viet Nam).</p> <p>The usability of ASEAN PATENTSCOPE and WIPO Publish was improved by adding search tools (full text search and technical field categorization) and providing access to legal status information and documents on WIPO Publish.</p> <p>WIPO File was deployed in Cambodia and further enhanced to support different online payment systems managed by local banks and different types of annuity fees.</p> <p>IPAS was enhanced by adding and improving features (exchange of Madrid notifications between the IB and Designated Offices, use of standardized legal statuses in application file/workflow, prototype for evaluation of solr-based phonetic search).</p> |
| Digitization, Data Validation and Workflow Optimization | April to December 2017 | Cambodia, Indonesia, Mongolia, Thailand | <p>The preparation for the digitization project in Thailand (patent and petty patent) was almost completed. The workflow optimization project in Mongolia and follow-up work in Cambodia were successfully completed. The quality of patent, trademark and industrial design data in Indonesia was partially improved with a data validation rate of 64%.</p> |
| ASEAN Plus CASE Utilization Workshop | March 6 to 10, 2017 | Singapore/Brunei Darussalam, Cambodia, Indonesia, Lao People's Democratic Republic, Malaysia, Mongolia, Myanmar, Papua New Guinea, the Philippines, Singapore, Thailand, Viet Nam | <p>To: (i) facilitate regional patent work-sharing initiatives in ASEAN through exploitation of the CASE System with easier access to foreign examination works; (ii) present possible ways to increase efficiency and quality of patents from the perspectives of patent granting, business workflows and office actions; (iii) discuss methods of leveraging the technical platform and electronic means for the improvement of quality and performance of IP Offices; (iv) exchange information on quality of patents and patent examination practices in different IP Offices to assist ASEAN to identify ways in which IP Offices can improve the efficiency and quality of patent prosecution; and (v) provide recommendations, including specific actions items, for enhancement and improved efficiencies of patent granting practices in ASEAN.</p> |
| National CASE Utilization Workshop for Patent Examiners | April 3 to 7, 2017 June 28 to 30, 2017 November 1 to 2, 2017 | Thailand Vietnam Malaysia | <p>To: (i) increase capacity and technical skills on the utilization of technical platforms, in particular the WIPO CASE system; (ii) increase knowledge on how to access foreign dossier information and utilize the outcome of the patent examination work; (iii) increase knowledge of the CASE system through hands-on training and knowledge transfer; and (iv) enhance understanding of patent documents and patent information as well as search techniques.</p> |
| Regional IT Training workshop for ASEAN and neighboring countries | September 18 to 22, 2017 | Indonesia/Bhutan, Brunei Darussalam, Cambodia, Indonesia, Lao People's Democratic Republic, Malaysia, Mongolia, Myanmar, Pakistan, the Philippines, Singapore, Thailand, Viet Nam | <p>To: (i) increase capacity and technical skills of the participants on the use of IPAS and related products through hands-on training and extensive knowledge transfer; (ii) enhance knowledge of WIPO's new products for the support of online services, in particular, WIPO Publish and WIPO File; (iii) develop national implementation plans to sustain the data exchange and future service features for the operation of the ASEAN PATENTSCOPE platform; and (iv) identify future technical specifications for enhancements.</p> |

| | | | |
|-----------------------|---------------------|----------|--|
| IP Office Diagnostics | July 18 to 21, 2017 | Thailand | To comprehensively assess the legal environment, resource infrastructure, business processes, organizational competencies and work efficiency of the patent, trademark and design registration systems administered by the IP Office for the purpose of identifying areas for improvement. |
|-----------------------|---------------------|----------|--|

RESULT: VI.1 Progress in the international policy dialogue among WIPO Member States on building respect for IP, guided by Recommendation 45 of the WIPO Development Agenda

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|--|------------------------|---|--|
| Training Course on the Enforcement of Intellectual Property Rights | April 12 to 20, 2017 | Japan/12 participants from Egypt, Indonesia, Saudi Arabia, Thailand and Viet Nam | To: (i) promote respect for IP through a review and discussion of the minimum standards and flexibilities in IP enforcement contained in Part III of the TRIPS Agreement; (ii) provide an opportunity to demonstrate skills in appreciating evidence and in deciding on IP cases; (iii) assess the recent developments in case law and issues discussed at WIPO's Advisory Committee on Enforcement; (iv) acquire a broader knowledge on matters relating to IP and litigation systems; and (v) deepen understanding of procedures in relation to IP litigation and trial methods, and enhance professional capacity in connection with infringement litigation processes. |
| Regional Colloquium for Judges in Higher Court on the Enforcement of Intellectual Property Rights. | October 17 to 18, 2017 | Japan/12 participants from Myanmar, Pakistan, Papua New Guinea, the Philippines, Singapore and Sri Lanka, | To: (i) raise awareness on the importance of IP lawsuits, which play an important role in the legal field; (ii) learn ways to conduct trial proceedings efficiently in IP lawsuits and acquire technical knowledge; and (iii) learn about the roles of courts specializing in IP and share their specific initiatives. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Japan (Industrial Property) | | |
|---------------------------------|-----------|--------------------|
| Balance beginning of 2017 | | 4,880,193 |
| Income | | |
| Funds received | 3,830,000 | |
| Exchange Rate adjustment | 1,314 | |
| Total Income: | | 3,831,314 |
| Expenditure | | |
| Posts | 662,167 | |
| Temporary staff | 100,070 | |
| Fellowships | 47,699 | |
| Staff missions | 190,965 | |
| Third-party travel | 796,585 | |
| Conferences | 138,990 | |
| Publishing | 22,955 | |
| Individual contractual services | 279,610 | |
| Other contractual services | 1,422,110 | |
| Finance costs | 19 | |
| Premises and maintenance | 311,530 | |
| Communication | 10,359 | |
| Supplies and materials | 4,302 | |
| Program support costs | 511,561 | |
| Total Expenditure: | | (4,498,922) |
| Funds available, end of 2017 | | 4,212,585 |

Japan (Industrial Property/Africa-LDCs)²²⁶

| RESULT: III.2 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 | | | |
|--|--|---|--|
| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
| Third Training Workshop and Concluding Meeting of the Branding Project using IP for "Taita Basket" | March 1 to 2, 2017 | Kenya/approximately 400 local participants | To: (i) harmonize the quality standard evaluation practices; (ii) strengthen efforts to ensure uniform basket quality; and (iii) promote the use of collective marks. |
| Multi-Stakeholders Validation Workshop: Guidelines on IP Policy and Strategy for Effective use of the IP System by Universities and R&D Institutions in Africa | October 30 to 31, 2017 | Zimbabwe/20 participants from Botswana, Eswatini, Ghana, Kenya, Malawi, Mozambique, Namibia, Sierra Leone, Sudan, Uganda, Zambia and Zimbabwe | To provide a platform to discuss the Draft IP Policy Guidelines, further improvements of the Guidelines and their potential validation. |
| Innovation and IP as Engines for Competitive Agribusiness: Empowering Women Researchers and Entrepreneurs in Africa | November 15 to 17, 2017 | Morocco/more than 200 participants from over 50 African countries | To: (i) provide a platform to promote IP in agriculture and agri-businesses for African women researchers and entrepreneurs; (ii) learn innovative ways to work and conduct business in order to effectively use the IP system for economic development and wealth creation; and (iii) share experiences. |
| Commentary and Annotations Project on the Bangui Agreement of OAPI | August 1 and 2, 2017 | Cameroon/approximately 20 participants from Cameroon, Congo, Côte d'Ivoire, Gabon, Niger, OAPI and Togo | To create a book of commentaries and annotations on the Bangui Agreement for promotional and educational purposes. |
| Master's Degree in Intellectual Property (MIP) offered jointly by WIPO, OAPI and University of Yaoundé II | January to June, October to December 2017 (ongoing) | Cameroon/10 scholarships to selected trainees from Burkina Faso, Burundi, Cameroon, Gabon, Guinea, Niger, Senegal and Togo | To: (i) provide general and specialized IP training for government officials and IP professionals; and (ii) provide opportunities for human resource development and capacity building through IP training, and teaching for persons engaged in teaching, and research on IP at universities and other institutions. |
| Master's Degree in Intellectual Property (MIP) offered jointly by WIPO, ARIPO and the Africa University | January to April, May to December 2017 (ongoing) | Zimbabwe/10 scholarships to selected trainees from Botswana, Cameroon, Eswatini, Ethiopia, Kenya, Lesotho, Malawi, Namibia, Nigeria, and United Republic of Tanzania | To: (i) provide general and specialized IP training for government officials and IP professionals; and (ii) provide opportunities for human resource development and capacity building through IP training, and teaching for persons engaged in teaching, and research on IP at universities and other institutions. |
| WIPO-South Africa Advanced Summer School on IP and Transfer of Technology (TOT) | November 27 to December 8, 2017 | South Africa/10 scholarships to selected trainees from Cameroon, Ghana, Kenya, Malawi, Nigeria and Zimbabwe | To provide an opportunity for senior students (graduates and post-graduates) and young professionals to: (i) acquire knowledge on the interface between IP and transfer of technology; and (ii) discuss IP issues relating to licensing negotiations through case studies and simulation exercises. |
| WIPO Patent Drafting Course for Patent Agents from ARIPO Member States and Observer States | September 4 to 8, 2017; October 9 to December 2017 (ongoing) | Zimbabwe/32 participants from 14 ARIPO Member States and Observer States (Botswana, Ethiopia, Ghana, Kenya, Lesotho, Malawi, Mozambique, Namibia, Nigeria, Sudan, Uganda, United Republic of Tanzania, Zambia and Zimbabwe) | To improve the patent drafting capacity of ARIPO Member States and Observer States. |
| Sub-regional PCT National Phase Examination Workshop for Examiners from ARIPO Member States and Observer States | September 18 to 22, 2017 | Zimbabwe/20 participants from ARIPO and its Member States and Observer States (Ethiopia, Ghana, Kenya, Mozambique, Nigeria and Uganda) | To: (i) enhance understanding and knowledge of patent examiners of the international patent system and the PCT; (ii) increase participants' skills in utilizing external examination results from the PCT international phase and national phases; and (iii) share experiences from each country and exchange views on patent examination, including PCT national phase examination. |

²²⁶ In addition to the activities listed, an evaluation and planning meeting was also conducted.

| | | | |
|---|---------------------------------|---|--|
| Short-term Internship in Japan for Master's Degree in Intellectual Property (MIP) Student | September 25 to October 6, 2017 | Japan/1 trainee from Ghana | To: (i) acquire additional knowledge and skills on IP; and (ii) get hands-on experience in working with national/international patent, trademark and design applications and registrations. |
| ARIPO Roving Seminar on Promotion of IP System for Fostering Innovation and Creativity | March 20, 21, 23 and 24, 2017 | Malawi/70 participants in Blantyre; 56 participants in Lilongwe | To: (i) encourage Member States to use and benefit from the IP system for their socio-economic, technological and cultural development and wealth creation; and; (ii) create awareness of the existence and benefits of using the regional IP system (ARIPO). |
| ARIPO Roving Seminar on Promotion of IP System for Fostering Innovation and Creativity | July 17, 18, 20 and 21, 2017 | United Republic of Tanzania/over 100 local participants in Zanzibar and Dar-es-Salaam, respectively | To: (i) encourage Member States to use and benefit from the IP system for their socio-economic, technological and cultural development and wealth creation; and; (iii) create awareness of the existence and benefits of using the regional IP system (ARIPO). |
| Mark and Design International Classifications Training for the Uganda Registration Services Bureau (URSB) Examiners | March 20 to 21, 2017 | Switzerland/6 trainees from URSB | To facilitate records management and improve service delivery of URSB by familiarizing its examiners with the international classifications for industrial designs and marks. |
| Making of film to showcase success story-WIPO Re:Search | January to December 2017 | Ghana | To document the elements of WIPO Re:Search and the stakeholders engaged in the project. |

RESULT: IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|---|-------------------------|--|---|
| Workshops on Establishing Technology and Innovation Support Centers (TISCs) in Ugandan Universities | January 23 to 25, 2017 | Uganda/over 80 local participants | To: (i) raise awareness of the TISC project at two pilot universities; and (ii) train the participants to access technical and scientific information. |
| TISC Workshops on Effective Use of Technical and Scientific Information | February 21 to 23, 2017 | Senegal/15 participants in Dakar; 10 participants in Bambeby; 20 participants in Thiès | To: (i) provide training to TISC staff and students at TISC host institutions on patent databases; and (ii) discuss the status of the establishment of a TISC network in Senegal. |

RESULT: IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP administration

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|---|------------------------------------|-----------------------------|---|
| Data capture project at the Nigerian Register of Trademarks, Patents and Designs | January to April 2017 | Nigeria | To assist the Office capture bibliographic data corresponding to registered/active trademark, patent and design files from paper into digital format. |
| Digitization of IP files at OAPI | January to December 2017 (ongoing) | OAPI | To: (i) optimize the data entry procedures of IP-related documentation, namely application forms, descriptions and cited documents; and (ii) efficiently and effectively deal with the backlog. |
| Digitization of IP documents for ARIPO | January to December 2017 (ongoing) | ARIPO | To: (i) ease procedures for examination and processing of applications/registrations; (ii) secure and preserve IP files by having them available in both physical and digital form; (iii) facilitate the exchange of IP data nationally and internationally; and (iv) improve IP process governance, transparency, and accountability. |
| Digitization of IP documents for the Kenya Industrial Property Institute (KIPI) | January to October 2017 | Kenya | To: (i) ease procedures for examination and processing of applications/registrations; (ii) secure and preserve IP files by having them available in both physical and digital formats; (iii) facilitate the exchange of IP data both nationally and internationally; and (iv) improve IP process governance, transparency, and accountability. |
| Data capture of trademark bibliographic data for Zanzibar | October to December 2017 (ongoing) | United Republic of Tanzania | To: (i) enhance the IP Office's capacity for delivering professional IP services; (ii) enhance system usage for back office activities; (iii) improve quality of service in a cost-effective manner; and (iv) improve IP process governance, transparency and accountability. |
| Data capture of patents and trademarks for companies and Intellectual Property Authority (CIPA) of Botswana | March to December 2017 | Botswana | To: (i) verify and validate all IP bibliographic data records in IPAS; (ii) accelerate the administrative/examination processes in the IP Office; (iii) improve accessibility to IP information; (iv) enhance the IP Office's capacity for delivering professional IP services; (v) enhance system usage for back office activities; (vi) improve quality of service in a cost-effective manner; and (vii) improve IP process governance, transparency, and accountability by making all files easily accessible and available in digital format. |

| | | | |
|---|---------------------|--|--|
| WIPO Regional Training Workshop on the Industrial Property Administration System (IPAS) for Trademark Examiners | July 10 to 14, 2017 | Botswana/33 participants from Angola, ARIPO, Botswana, Eswatini, the Gambia, Kenya, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Nigeria, OAPI, Seychelles, United Republic of Tanzania, Zanzibar, Uganda, Zambia and Zimbabwe | To: (i) build capacity of trademark examiners in the use of IPAS for search and examination; (ii) introduce examiners to WIPO tools and services available for trademark examination; (iii) enhance examiners' awareness of the role and responsibility of an IP Office in the Madrid System with regard to the processing of international applications, designations and various notifications to WIPO on the scope of protection (use of model forms); and (iv) highlight and reiterate examiners' role and contribution to IP process automation and optimization. |
|---|---------------------|--|--|

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Japan (Industrial Property/Africa-LDCs) | | |
|---|-----------|-------------|
| Balance beginning of 2017 | | 1,562,669 |
| Income | | |
| Funds received | 1,600,000 | |
| Exchange Rate adjustment | 52 | |
| Total Income: | | 1,600,052 |
| Expenditure | | |
| Posts | 235,261 | |
| Temporary staff | 56,935 | |
| Fellowships | 173,837 | |
| Staff missions | 53,920 | |
| Third-party travel | 380,161 | |
| Conferences | 26,857 | |
| Individual contractual services | 22,961 | |
| Other contractual services | 426,792 | |
| Supplies and materials | 1,691 | |
| Program support costs | 177,342 | |
| Total Expenditure: | | (1,555,757) |
| Funds available, end of 2017 | | 1,606,964 |

Mexico

RESULT: III.1 National innovation and IP strategies and plans consistent with national development objectives

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|--|-----------------|-------------------------|--|
| Promotional event in the framework of the 2017 GAs: "Contemporary Mexican design with a vision towards the future" | October 5, 2017 | Mexico/All | To showcase the use of IP in Mexican contemporary designs. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Mexico | |
|---|----------|
| Balance beginning of 2017 | 215,439 |
| Income | |
| Total Income: | - |
| Expenditure | |
| Representation and other operating expenses | 34,000 |
| Program support costs | 2,380 |
| Total Expenditure: | (36,380) |
| Funds available, end of 2017 | 179,059 |

Republic of Korea (Building Respect for Copyright and Related Rights)

RESULT: III.2 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

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|--|------------------------------|---|---|
| WIPO-Ministry of Culture Sports and Tourism (MCST)-Korea Copyright Protection Agency (KCOA) Inter-regional Workshop on Copyright Enforcement | September 18 to 21, 2017 | Republic of Korea/18 participants from China, Indonesia, Jordan, Mexico, Nepal, Panama, the Philippines, Thailand, and Viet Nam | To: (i) consider the value of copyright and related rights (CRR) protection and enforcement to the social, economic and cultural development of the participating countries; (ii) provide basic training on remedies and CRR enforcement measures, with a particular focus on the digital environment; (iii) discuss topical issues in the area of building respect for CRR; and (iv) envisage national and transnational strategies for effective cooperation on building respect for CRR. |
| International Copyright Conference at the Asia Song Festival | September 22 to 23, 2017 | Republic of Korea/18 participants from China, Indonesia, Jordan, Mexico, Nepal, Panama, the Philippines, Thailand and Viet Nam | The Conference was organized by the Korea Music Content Industry Association (KMCI) with the support of the Ministry of Culture, Sports and Tourism (MCST), WIPO and Busan City, with a view to discussing topical issues in the area of building respect for CRR and to facilitate government to business dialogue. |
| Adaptation and translation of the WIPO-MCST Teaching Materials on Respect for Copyright | January 1 to June 22, 2017 | All | Adaptation to Arabic, French and Spanish of existing English-language CRR educational materials, with a view to fostering respect for CRR in Arabic, French and Spanish-speaking countries through improved appreciation by the general public, in particular young people, of the CRR system and CRR enforcement. A leaflet has been produced to promote WIPO's awareness-raising tools on building respect for IP. |
| Development of the WIPO Consumer Survey Toolkit on Respect for IP | January 1 to August 30, 2017 | All | To help WIPO Member States measure consumer behavior and attitudes and evaluate communication campaigns designed to build respect for IP. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Republic of Korea (Building Respect for Copyright and Related Rights) | |
|---|-----------------|
| Balance beginning of 2017 | 58,349 |
| Income | |
| Funds received | 227,115 |
| Total Income: | 227,115 |
| Expenditure | |
| Staff missions | 13,391 |
| Third-party travel | 68,512 |
| Conferences | 1,266 |
| Individual contractual services | 9,514 |
| Representation and other operating expenses | 1,066 |
| Program support costs | 4,687 |
| Total Expenditure: | (98,435) |
| Funds available, end of 2017 | 187,029 |

Republic of Korea (Copyright)²²⁷

RESULT: III.2. 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

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|--|------------------------------------|--|---|
| Development of Copyright Awareness Raising Material: "The ABCs of Copyright in Class" | January 1 to November 30, 2017 | All | To raise awareness of copyright and enhance understanding of copyright and related rights among the youth through the provision of basic educational materials. |
| Accessible Books Consortium (ABC) Project | January 1 to July 30, 2017 | India | To: (i) end the book famine of high-school students with print disabilities in Uttar Pradesh, Punjab and Rajasthan, India ²²⁸ ; and (ii) build capacity among government publishers of textbooks so that future books could be born accessible. |
| Support for establishing Copyright Management Organizations (CMOs) in developing countries to promote creativity and cultural prosperity | July 1 to December, 2017 (ongoing) | Republic of Korea/Cambodia, Mongolia, Myanmar | To: (i) support the establishment and/or strengthening of CMOs as part of an effective framework for the management of copyright; and (ii) protect copyright and related rights, in order to promote cultural and economic development. |
| Sub-Regional Workshop on Copyright and Creative Industries | November 28 to 29, 2017 | The Philippines/4 participants from China, Indonesia, Malaysia, Viet Nam and 50 local participants | To: (i) share information and experience on the management of copyright in videogames among participating countries; and (ii) explore further income generation opportunities for game developers and publishers based on the exploitation of copyright and related rights. |

RESULT: IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP administration

| | | | |
|--|--------------------------------|-----|---|
| Development of WIPO Publication "From Paper to Platform: Publishing, Intellectual Property and the Digital Revolution" | January 1 to December 31, 2017 | All | To provide small and medium sized publishers in developing countries with a hands-on-tool for the management of copyright in the digital environment. |
|--|--------------------------------|-----|---|

²²⁷ In addition to the activities listed, an evaluation and planning meeting was also conducted.

²²⁸ 131 textbooks in English, Hindi and Punjabi for grades 9 to 12 in secondary school were produced in these three states

| | | | |
|---|--------------------------------|--|--|
| Inter-Regional Workshop on Emerging Issues in Copyright and Needs for Updating Knowledge and Institutional Capacity | April 10 to 12, 2017 | Republic of Korea/27 participants from Argentina, Cambodia, China, Colombia, Cook Islands, Costa Rica, Indonesia, Lebanon, Malaysia, Mongolia, Myanmar, Thailand, Tunisia and Zambia | To: (i) update knowledge and share experiences in copyright capacity building; (ii) exchange views on methodologies used in various copyright capacity building programs; and (iii) discuss how to enhance copyright related programs at national, regional and international levels. |
| Sub-Regional Workshop on Cooperation in Copyright and Related Rights | June 21 to 22, 2017 | China/12 participants from China, Mongolia, Republic of Korea and the Russian Federation | To: (i) share information and experience among participating countries in the development of the copyright system; and (ii) explore further opportunities to enhance cooperation among those countries in the area of copyright and related rights. |
| Study visit to copyright related organizations | October 30 to November 3, 2017 | Republic of Korea/19 participants from Bahrain, Bangladesh, Bhutan, Cambodia, Costa Rica, Ecuador, Ghana, Indonesia, Jamaica, Kenya, Lao People's Democratic Republic, Malawi, Malaysia, Mongolia, Namibia, Pakistan, Paraguay, Sao Tome and Principe and Thailand | To: (i) share the practice and experience in the administration of copyright and related rights in the Republic of Korea; (ii) strengthen capacity to formulate copyright policies, modernize legislative and administrative frameworks; and (iii) improve the functioning of the copyright organizations in their respective countries. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Republic of Korea (Copyright) | |
|---------------------------------|-----------------------|
| Balance beginning of 2017 | 503,667 |
| Income | |
| Funds received | 685,689 |
| Exchange Rate adjustment | 19 |
| Total Income: | 685,708 |
| Expenditure | |
| Temporary staff | 65,413 |
| Staff missions | 44,498 |
| Third-party travel | 234,014 |
| Conferences | 31,710 |
| Publishing | (31) |
| Individual contractual services | 13,426 |
| Other contractual services | 37,881 |
| Supplies and materials | 406 |
| Total Expenditure: | (427,317) |
| Funds available, end of 2017 | <u><u>762,058</u></u> |

Republic of Korea (Industrial Property)²²⁹

RESULT: I.2. Tailored and balanced IP legislative, regulatory and policy frameworks

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|---|--|--------------------------------------|---|
| Expert Mission on national IP Strategies to the Philippines and the Republic of Korea | May 30, 2017 October 24 to 26, 2017 | the Philippines Republic of Korea | To: (i) modernize management systems and streamline administrative procedures in IP Offices; (ii) build capacities for the effective administration and utilization of the IP system; (iii) enhance understanding and promotion of the use of global IP systems; and (iv) assist in development of appropriate IP policy and regulatory frameworks. |

²²⁹ In addition to the activities listed, an evaluation and planning meeting was also conducted.

RESULT **III.1 National innovation and intellectual property strategies, and plans consistent with national development objectives**

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|---|---------------------|---|--|
| Regional Conference for Universities and Research Institutes on Creating an Enabling IP Environment for Technology Development Management and Commercialization-Phase I | June 21 to 23, 2017 | Malaysia, the Philippines, Sri Lanka, Thailand, Republic of Korea | To engage the top management of the universities and research institutions in a discussion on enabling IP environment for technology development, management and commercialization |

RESULT: **III.2 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**

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|--|---|---|---|
| Production of New Subjects "Industrial Designs" and "IP Protection" of Pororo Animation Material | January to December 2017 (ongoing) ²³⁰ | Republic of Korea/All | To: (i) provide user-friendly IP materials to non-IP experts; (ii) enhance public awareness on IP issues; (iii) assist schools and other educational institutions in accessing curricula enhancing creativity; and (iv) provide IP users with enhanced accessibility to IP material in local languages. |
| Production of Game-based learning PC Toolkit "Invention City", CD and Workbook | January to June 2017 ²³¹ | Republic of Korea/All | To: (i) inspire the public, particularly young people, to be interested in IP related issues in an easier and more entertaining way; (ii) effectively promote IP awareness among WIPO member countries in the long term; and (iii) provide a proper method of learning IP for those who are familiar with digital devices (digital native). |
| Production of Dubbed Version of Pororo Animation DVD (CD) and Guide (Workbook) in Arabic language | January to April 2017 ²³² | Republic of Korea/All | To: (i) provide user-friendly IP materials to non-IP experts; (ii) enhance public awareness on IP issues; (iii) assist schools and other educational institutions in accessing curricula enhancing creativity; and (iv) provide IP users with enhanced accessibility to IP material in local languages. |
| Heads of IP Conference (HIPOC) Phase V | April 12 to 14, 2017 | Republic of Korea/Afghanistan, Bangladesh, Cambodia, India, Islamic Republic of Iran, Lao People's Democratic Republic, Malaysia, Maldives, Mongolia, Myanmar, Pakistan, the Philippines, Sri Lanka, Viet Nam | To: (i) build on the outcomes of the previous HIPOC meetings in 2015 and 2016; (ii) serve as the executive level learning platform emphasizing the client-centric IP services; and (iii) take duly into account the end users' and IP stakeholders' perspective for effective leadership of IP Offices. |
| Regional Conference for the Pacific Island Countries-Creating an Enabling Intellectual Property Environment to Add Value to Local Products through Brands and Designs ("Brands and Designs Cluster") | April 24 to 27, 2017 | Cook Islands/Fiji, Federated States of Micronesia, Kiribati, Marshall Islands, Nauru, Niue, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu | To: (i) sensitize the IP Offices in the region to the world of IP and provide executive learning to increase their understanding of IP and development; (ii) discuss the implementation strategy of WIPO technical assistance to focus on sustainability; (iii) provide a platform for exchange of views and learning for the IP Offices; and (iv) facilitate south-south cooperation among the IP Offices in the region. |
| The Seed Project: International Education Program on Ideas, Invention, Innovation and IP | May 22 to 26, 2017 | Republic of Korea/Dominican Republic, Islamic Republic of Iran, Lao People's Democratic Republic, Mongolia, Pakistan, the Philippines, Samoa | To: (i) increase participants' knowledge about the innovation process, protection of inventions and management of IPRs; and (ii) share a teaching method developed by the Republic of Korea. |

²³⁰ Continued from 2016

²³¹ Continued from 2016

²³² Continued from 2016

| RESULT: IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity | | | |
|---|--|---|--|
| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
| Project on Use of IP for Development and Utilization of Appropriate Technologies (AT) | | | To encourage and reward excellence in the invention of AT in the agricultural sector that could be easily and economically utilized by local communities to meet their needs, and that would contribute to creating sustainable development of local communities. The effective utilization of patent information for devising solutions was a key element of the Competition. |
| - Final Contest & Award Ceremony and Final Workshop | April 24 to 26, 2017 ²³³ | Mongolia | |
| - Consultation Meetings, Orientation Workshop | February 27 to March 7, 2017 | Costa Rica, Dominican Republic, El Salvador, Panama | |
| - Further Advanced Patent Search Workshop, | May 29 to June 27, 2017 | Costa Rica, Dominican Republic, El Salvador, Panama | |
| - Final Contest & Award Ceremony and Final Workshop | November 8 to December 6, 2017 | Costa Rica, Dominican Republic, El Salvador, Panama | |
| Study & Evaluation of AT Competitions | January to February, 2017 ²³⁴ | Republic of Korea | To: (i) create enabling structures and mechanisms for AT Competition; (ii) develop AT Competition into a sustainable long-term initiative; and (iii) explore new methodologies to maximize benefits and reduce the risk of not achieving the desired outcome. |

| RESULT: VI.2. Systematic, effective and transparent cooperation between the work of WIPO and other international organizations in the field of building respect for IP | | | |
|---|------------------------|--------------------------------|--|
| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
| Study on International Comparison of Approaches to Online Trademark Infringements | March to December 2017 | All | To: (i) review the different approaches currently being adopted around the world to enforce trademarks in the online environment; and (ii) enhance understanding of the legal and other frameworks established to address online IP infringements among Member States. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Republic of Korea (Industrial Property) | |
|--|------------------|
| Balance beginning of 2017 | 1,200,454 |
| Income | |
| Funds received | 633,386 |
| Exchange Rate adjustment | 296 |
| Total Income: | 633,682 |
| Expenditure | |
| Posts | 49,608 |
| Temporary staff | 35,946 |
| Staff missions | 84,726 |
| Third-party travel | 196,836 |
| Conferences | 14,006 |
| Individual contractual services | 49,569 |
| Other contractual services | 253,000 |
| Total Expenditure: | (683,690) |
| Funds available, end of 2017 | <u>1,150,445</u> |

²³³ Continued from 2016

²³⁴ Continued from 2016

Republic of Korea (IP Education)

RESULT:

III.2. 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

| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
|--|--------------------------------|---|--|
| Participation in the WIPO Queensland University of Technology (QUT) LL.M Program | February 2 to October 27, 2017 | Australia/3 participants from India, Indonesia, Thailand and 3 participants from the Republic of Korea | To provide higher education for IP experts, including government officials, to enhance their capacity for administering IP rights, as well as to increase their use of IP for innovation promotion, through the WIPO-QUT Master of Laws (LL.M) in IP Program. |
| Participation in the WIPO Korea Summer School Program | July 10 to 21, 2017 | Republic of Korea/12 participants from Bangladesh, Cambodia, Cameroon, India, Namibia, Poland, the Russian Federation, Viet Nam, Zambia, Zimbabwe | To provide senior students and young professionals with deeper knowledge in the fields of IP, and the role and function of the IP system through lectures, case studies, exercises and group discussions. |
| Advanced International Certificate Course (AICC) based on the IP Panorama and WIPO Academy's IP Management course (DL-450) | April to November, 2017 | Republic of Korea/824 participants in the distance learning program of IP Panorama and 17 participants from 15 countries in the face-to-face international training seminar | To provide an opportunity to participants, who have limited means to access IP education programs, to deepen their knowledge in IP Management in a specific language. |
| Certificate Course on General Knowledge of IP based on IP IGNITE and the General Course on IP (DL-101) | June to December, 2017 | United Arab Emirates, Republic of Korea/113 participants in the Distance Learning program of IP IGNITE and 40 participants from 27 countries in the face-to-face international training seminar | To provide general IP knowledge for target audiences requiring a broad overview of the fundamentals of IP in developing countries. |
| Conference on International Training Cooperation to Strengthen IP Capacities in Developing Countries and to Promote International Collaboration on Patent Examinations | April 11, 2017 | Republic of Korea/about 200 participants from countries of South and Southeast Asia as well as the Republic of Korea | To: (i) discuss international cooperation for the strengthening of IP capacities in developing countries; and (ii) support global IP experts to effectively deal with various IP issues in the face of the 4 th Industrial Revolution. |
| WIPO - KIPO Training Course on Patent Law and Examination | May 15 to 26, 2017 | Republic of Korea/17 participants from Algeria, Egypt, Gabon, India, Kenya, Mozambique, Oman, Peru, Romania, Serbia, Sri Lanka, Syrian Arab Republic, Trinidad and Tobago and Uganda | To: (i) enhance the knowledge of patent examiners of the principles of patent law and patent examination procedures; (ii) increase their skills in actual examination of patent applications; and (iii) provide an opportunity to exchange views on issues related to examination quality. |
| Workshop on Patent Cooperation Treaty | July 3 to 7, 2017 | Republic of Korea/16 participants from Bhutan, India, Malaysia, Oman, Pakistan, Papua New Guinea, the Philippines, Sri Lanka, Thailand Turkey and Viet Nam | To: (i) enhance the knowledge of international patents and PCT; (ii) increase skills in PCT searches and examinations; and (iii) share cases and experiences from each country in PCT-related areas. |
| WIPO - KIPO Training Course on Trademark Law and Examination | November 13 to 21, 2017 | Republic of Korea/19 participants from Bangladesh, Belarus, Bhutan, Georgia, Indonesia, Latvia, Lebanon, Nigeria, Moldova, Oman, Palestine, United Republic of Tanzania, Uzbekistan and Zambia | To: (i) enhance the knowledge of trademark examiners on the principles of trademark law and trademark examination procedures; (ii) increase their skills in actual examination of trademark applications; and (iii) provide an opportunity to exchange views on issues related to examination quality. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Republic of Korea (IP Education) | |
|----------------------------------|------------------|
| Balance beginning of 2017 | 503,781 |
| Income | |
| Funds received | 450,689 |
| Exchange Rate adjustment | 55 |
| Total Income: | 450,743 |
| Expenditure | |
| Fellowships | 315,786 |
| Staff missions | 24,884 |
| Third-party travel | 46,028 |
| Conferences | 29,969 |
| Program support costs | 20,831 |
| Total Expenditure: | (437,497) |
| Funds available, end of 2017 | <u>517,027</u> |

Spain

RESULT: **III.2 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**

| Activity | Date | Country/Recipients | Purpose(s)/Description |
|---|-------------------------|---|---|
| WIPO/Spanish Cooperation Agency for International Development (AECID) / Office of the Patents and Trademarks (OEPM) XVI Regional Seminar on Intellectual Property (IP) for Judges and Prosecutors from Latin American Countries | November 14 to 17, 2017 | Colombia/All Latin American countries and Tribunal Andean Community | To: (i) provide judges and public prosecutors in the field of IP with a forum for discussion; and (ii) facilitate practical training and information sharing in the fields of patents, trademarks, copyright and enforcement. |

RESULT: **III.4 Strengthened cooperation mechanisms and programs tailored to the needs of developing countries, LDCs and countries with economies in transition**

| Activity | Date | Country/Recipients | Purpose(s)/Description |
|---|---|--|---|
| WIPO/OEPM/AECID Regional Workshop for Training of Trainers on Industrial Property - Drafting of Patent Applications | May 8 to 12, 2017 May 15 to July 14, 2017 ²³⁵ | Uruguay/All Latin American countries | To improve capacities for the drafting of patent applications in the Latin American Region. |
| PCT Regional Seminar for Latin American countries | July 5 to 7, 2017 | El Salvador/All Latin American countries | To: (i) keep national offices updated about the latest developments in the PCT system; (ii) share experiences on the use of the PCT in different sectors with particular emphasis on the use of the PCT for SMEs. |
| WIPO/OEPM/AECID V Regional Seminar on Trademarks and Industrial Designs as Innovation Factor and Enterprise Asset: Innovating through the Handicrafts | March 20 to 24, 2017 | Guatemala/All Latin American countries | To: (i) facilitate and encourage the strategic use of IP among Latin American handicrafts sectors; and (ii) provide practical training and promote the exchange of experiences and best practices. |
| Teenagers IP awareness application Project | January to December, 2017(ongoing) | All Spanish-speaking countries | To provide information on the importance of IP among young people. |

²³⁵ Continued from 2016

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Spain | |
|---------------------------------|-----------|
| Balance beginning of 2017 | 92,056 |
| Income | |
| Funds received | 180,076 |
| Total Income: | 180,076 |
| Expenditure | |
| Third-party travel | 99,296 |
| Individual contractual services | 5,405 |
| Program support costs | 13,611 |
| Total Expenditure: | (118,312) |
| Funds available, end of 2017 | 153,820 |

United Nations Fund for International Partnerships-Ending the Book Famine for People with Disabilities

| RESULT: III.2 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 | | | |
|---|--|--|---|
| Activity | Date | Host Country/Recipients | Purpose(s)/Description(s) |
| Training for organizations of the blind, as well as private and governmental publishers on how to create digitally accessible e-books | March 11-12, 2017; April 20 to 22, 2017; April 29 to 30, 2017; May 15 to 17, 2017; June 22 to 24, 2017 | India (States of Gujarat, Karnataka, Haryana, Jharkhand and Maharashtra) | To: (i) make government and private publishers aware of how to make their publications more accessible to persons with visual impairment; (ii) allow publishers to produce "Born-accessible" text books that can be read by persons with visual impairments; and (iii) provide instructions for organizations serving the blind on how to produce books in the epub3 digitally accessible standard, as well as improvements to make their production work flows more efficient. |
| Training in the production of braille from online resources | June 8 to 10, 2017 | India | To instruct braille presses on how to save time in the production of braille materials by using digital files that are available in India, either from Sugamya Pustakalaya (a national Indian library for the blind) or from publishers. |
| Creation of a manual for braille production using online resources | June 30, 2017 | India | To provide information for the braille presses of India on the availability of online e-books that could be used to produce braille more quickly and efficiently. The manual included tools and detailed instructions for converting digital files to "Braille Ready" documents; i.e. documents that could be printed on a braille printer. |
| Technical support to the content-producing staff of partner organizations in the production of books in accessible formats | January to June 30, 2017 ²³⁶ | India | To assist braille presses and organizations of the blind in implementing the training they received while producing accessible format materials. |

²³⁶ Initiated in 2016

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| United Nations Fund for International Partnerships-Ending the Book Famine for People with Disabilities | | | |
|--|--------|----------|--------|
| Balance beginning of 2017 | | | 45,184 |
| Income | | | |
| Total Income: | | | - |
| Expenditure | | | |
| UN Joint Services | 41,100 | | |
| Program support costs | 3,288 | | |
| Total Expenditure: | | (44,388) | |
| Funds available, end of 2017 | | | 796 |

United States of America (Creative Industries)

RESULT: **III.2 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**

| Activity | Date | Country/Recipients | Purpose(s)/Description |
|--|-----------------------------|--------------------------|---|
| National Workshop on "How to Make a living from Music" | April 27 to 28, 2017 | the Philippines | To provide practical advice to music performers on managing copyright in music. |
| Contribution to the International Music Expo "NAMM (National Association of Music Merchants) 2017" | January 19 to 22, 2017 | United States of America | To present WIPO publications and services to music professionals and organize policy roundtables at the Expo. |
| International Survey on the law and practice of text and image levies | January 2017 ²³⁷ | All | To provide up-to-date information on global norms and practices regarding copyright remuneration for text and image levies. |
| International survey on the law and practice of private copying | January 2017 ²³⁸ | All | To provide up-to-date information on global norms and practices regarding copyright remuneration for private copying. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| United States of America (Creative Industries) | | | |
|--|--------|----------|--------|
| Balance beginning of 2017 | | | 62,796 |
| Income | | | |
| Exchange Rate adjustment | 45 | | |
| Total Income: | | | 45 |
| Expenditure | | | |
| Staff missions | 11,351 | | |
| Conferences | 2,980 | | |
| Individual contractual services | 996 | | |
| Other contractual services | 20,000 | | |
| Program support costs | 4,587 | | |
| Total Expenditure: | | (39,913) | |
| Funds available, end of 2017 | | | 22,929 |

²³⁷ Continued from 2016

²³⁸ Continued from 2016

Uruguay

RESULT: **IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP administration**

| Activity | Date | Host country/Recipients | Purpose(s)/Description |
|---|--|-------------------------|--|
| Modernization of the IT systems at the <i>Dirección Nacional de Propiedad Industrial</i> (DNPI) | January 1 to April 14, 2017 ²³⁹ | Uruguay/DNPI | To enhance DNPI's IT systems, including, <i>inter alia</i> : (i) a public website for access to patent and trademark databases; (ii) design of IT systems; (iii) development of an interface for publishing information; and (iv) development and implementation of on-line platforms for patent and trademark filing. |

Donor Contributions and Expenditure

Trust Fund as at December 31, 2017 (in Swiss francs)

| Uruguay | | |
|---------------------------------|--------|----------|
| Balance beginning of 2017 | | 127,950 |
| Income | | |
| Total Income: | | - |
| Expenditure | | |
| Individual contractual services | 14,596 | |
| Total Expenditure: | | (14,596) |
| Funds available, end of 2017 | | 113,354 |

²³⁹ Continued from 2016

ANNEX XI Reserve-Funded Projects Progress Report 2017

Introduction

As part of efforts to streamline reporting across the Organization and for the first time, progress reports on all Reserve-Funded Projects under implementation in 2017 are included as an annex to the WPR 2016/17, as compared to only reporting on the Capital Master Plan (CMP) projects.

This report provides Member States with an overview of progress made during the period January to December 2017, milestones reached and resource utilization rates under the following projects:

(a) ICT-Related Projects

- (i) Security Enhancement: Data Encryption and User Management (CMP 1)
- (ii) Enterprise Content Management (ECM) Implementation (CMP 2)

(b) Buildings-Related Projects

- (iii) Renovation of the facades and cooling/heating installation of the PCT building (CMP 3)
- (iv) Arpad Bogsch Building—phase 1 of basement renovation (resizing of data center and renovation of the printshop) (CMP 5)

(c) Safety/Security-Related Projects

- (v) Safety and Fire Protection Measures (CMP 7)

(d) Other Reserve-Funded Projects

- (vi) Implementation of a Comprehensive Integrated Enterprise Resource Planning (ERP) System
- (vii) The Madrid System Goods and Services Database (MGS)

Reserve-Funded Projects as at December 31, 2017

(in thousand of Swiss francs)

| | Project Budgets | | | | Expenditure | | | | | | Remaining Balance | | Project Utilization in % |
|--|-----------------|------------------------|------------------------------------|----------------|----------------------------|---|------------------|------------------|---------------------|-------------------|-------------------|------------|--------------------------|
| | Initial Budget | Revisions ¹ | Additional appropriation Oct. 2014 | Revised Budget | Expenditure up to end 2015 | Adjustments ² up to end 2015 | Expenditure 2016 | Expenditure 2017 | Expenditure 2016/17 | Total Expenditure | Amount | % | |
| Projects in progress | | | | | | | | | | | | | |
| Security enhancement: data encryption and user management (CMP 1) | 700 | - | - | 700 | - | - | 129 | 91 | 221 | 221 | 479 | 68% | 32% |
| Enterprise Content Management (ECM) Implementation (CMP 2) | 2,068 | - | - | 2,068 | 75 | - | 449 | 814 | 1,263 | 1,338 | 730 | 35% | 65% |
| Renovation of the facades and cooling/heating installation of the PCT building (CMP 3) | 6,000 | - | - | 6,000 | 84 | - | 353 | 627 | 980 | 1,064 | 4,936 | 82% | 18% |
| Arpad Bogsch Building – phase 1 of basement renovation (resizing of data center and renovation of the print shop) (CMP5) | 960 | - | - | 960 | 5 | - | 240 | 547 | 788 | 793 | 167 | 17% | 83% |
| Safety and Fire Protection Measures (CMP 7) | 400 | - | - | 400 | 123 | - | 67 | 142 | 210 | 332 | 68 | 17% | 83% |
| Implementation of a Comprehensive Integrated Enterprise Resource Planning (ERP) System | 25,341 | - | - | 25,341 | 16,257 | - | 1,852 | 2,768 | 4,620 | 20,876 | 4,465 | 18% | 82% |
| The Madrid System Goods and Services (MGS) Database | 1,200 | - | - | 1,200 | 1,093 | - | 24 | 7 | 30 | 1,124 | 76 | 6% | 94% |
| Sub-total | 36,669 | - | - | 36,669 | 17,636 | - | 3,115 | 4,996 | 8,111 | 25,747 | 10,922 | 30% | 70% |
| Closed Projects | | | | | | | | | | | | | |
| MAPS Modernization: | | | | | | | | | | | | | |
| Phase I | 3,569 | (292) | - | 3,277 | 3,277 | - | - | - | - | 3,277 | - | 0% | 100% |
| Phase II and III (merged) | 10,235 | 292 | - | 10,527 | 9,784 | - | 742 | - | 742 | 10,527 | - | 0% | 100% |
| <i>Total, MAPS Modernization</i> | <i>13,804</i> | <i>-</i> | <i>-</i> | <i>13,804</i> | <i>13,062</i> | <i>-</i> | <i>742</i> | <i>-</i> | <i>742</i> | <i>13,804</i> | <i>-</i> | <i>0%</i> | <i>100%</i> |
| ICT Capital Investment project | 5,180 | - | - | 5,180 | 4,619 | - | 386 | - | 386 | 5,005 | 175 | 3% | 97% |
| Deployment of Geneva Lake water ("GLN") cooling system to AB and PCT Buildings (CMP 4) | 750 | - | - | 750 | 263 | - | - | - | - | 263 | 487 | 65% | 35% |

(in thousand of Swiss francs)

| | Project Budgets | | | | Expenditure | | | | | | Remaining Balance | | Project Utilization in % |
|--|-----------------|------------------------|------------------------------------|----------------|----------------------------|---|------------------|------------------|---------------------|-------------------|-------------------|-----------|--------------------------|
| | Initial Budget | Revisions ¹ | Additional appropriation Oct. 2014 | Revised Budget | Expenditure up to end 2015 | Adjustments ² up to end 2015 | Expenditure 2016 | Expenditure 2017 | Expenditure 2016/17 | Total Expenditure | Amount | % | |
| Arpad Bogsch Building – replacement of certain windows (CMP 6) | 300 | - | - | 300 | 47 | - | 47 | - | 47 | 94 | 206 | 69% | 31% |
| New Construction ³⁻⁴ | 161,743 | (4,500) | 400 | 157,643 | 158,764 | (1,412) | 93 | - | 93 | 157,445 | - | 0% | 100% |
| New Conference Hall (including Architectural and Technical Project) ⁴⁻⁵ | 68,200 | 4,500 | 2,500 | 75,200 | 75,627 | (1,809) | 294 | - | 294 | 74,112 | - | 0% | 99% |
| Sub-total | 249,977 | - | 2,900 | 252,877 | 252,381 | (3,221) | 1,562 | - | 1,562 | 250,722 | 868 | 0% | 99% |
| GRAND TOTAL | 286,646 | - | 2,900 | 289,546 | 270,018 | (3,221) | 4,677 | 4,996 | 9,673 | 276,470 | 11,790 | 4% | 95% |

Note: 2016/17 Expenditure refers to actual expenditure pre-IPSAS adjustments.

¹Revisions reflect the authorization by Member States to a) use for the New Conference Hall Project an amount of 4.5 million Swiss francs, representing the budget balance on the New Construction Project, and b) adjust the budget of the MAPS Modernization project Phase II and III with the remaining budget balance from Phase I

²These adjustments relate to either the cancellation of ULOs which were subsequently booked to Miscellaneous income or shortfalls in final statements submitted by the suppliers also booked as Miscellaneous income.

³Project budget refers to the overall project envelope funded from different sources, i.e. reserves and bank loans.

⁴The remaining budget balances of these projects were previously returned to Accumulated Surpluses.

⁵An additional provision of up to 3.5 million Swiss francs under the 2014/15 Regular budget was exceptionally approved by the Assemblies of Member States of WIPO in October 2015 for the expenses related to the completion and closure of the New Conference Hall Project (document A/55/13). Expenditure on this additional provision has been reported in 2015 under the Regular Budget.

ICT-Related Projects

PROJECT 1 SECURITY ENHANCEMENT: DATA ENCRYPTION AND USER MANAGEMENT (CMP 1)

Project Manager Mr. R. Lane

Expected Result: *IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders*

Objectives, Scope and Approach–Background

This project serves three primary objectives—protecting the essential data, enabling more cost-effective sourcing options, and holistically managing user access rights.

WIPO has already taken multifaceted approaches in protecting confidential information. These approaches include traditional perimeter defense mechanisms, security information and event management systems, and intrusion detection and prevention, among others. However, in response to increasingly sophisticated security threats, information security best practices have now also put emphasis on protecting the source directly.

In addition, having cost-effective sourcing options available is a necessity in today's world of information technology management which expects diversified and rapidly changing competencies on the one hand, and the ability to quickly mobilize the workforce in response to changing business priorities on the other. However, the increase of sourcing options also brings the increase of information security exposures.

Enterprise data encryption technologies can provide effective solutions in response to these two challenges. Such solutions complement other information security measures by encrypting the data source. They also allow more flexibility in choosing cost-effective service providers by keeping the encryption under tight control while enabling the service providers to perform their support functions.

Effective access rights management further complements the investments in enterprise data encryption solutions. Traditionally, access rights management is focused on systems. That is, given a system, it should be clear who has access to what. This mechanism can be effective when the number of users and software applications is relatively small.

However, it is expected that, as WIPO continues to enhance its online services, the number of users will steadily increase in the coming years. Investments are needed for solutions that focus the access rights management on users. That is, given a user, it should be clear what access rights the user has across the entire spectrum of the systems.

In the future, technologies may become even more mature to manage access rights according to users' roles within and across complex systems, such as ERP. At present, it is difficult to forecast where and how such technologies will evolve. Therefore this has not been included as part of the scope of this project.

Overview of Progress in 2017 (Key Milestones)

In 2017, the following progress was made:

- Work progressed on the Identity and Access Management and Encryption (IAME) roadmap defined in 2016, with the elaboration of the IAME reference architectures to identify and standardize entitlement models within two key business areas:
 - i. e-PCT: user entitlement management and external users' roles within the e-filing environment; and
 - ii. PeopleSoft Finance: internal roles and segregation of access rights within the ERP environment.
- The expected delivery of the Access Governance solution was postponed due to the delayed recruitment of a Senior Information Security Architect and the in-house decision to gradually adopt the cloud required adaptation of the IAME roadmap and reference architectures for public cloud environments. The project timeline and delivery of expected benefits were amended accordingly.

Benefits Realization

| Benefits Delivered 2017 | Expected Benefits 2018 |
|---|--|
| The standardization of IAME reference security architectures was achieved for limited systems and applications that reused these architectures as a standard. | The standardization and reuse of IAME reference security architectures across critical WIPO systems and applications. The enhanced protection of sensitive information assets from unauthorized access and/or disclosure. |

Resource Utilization

Project Budget Utilization as at December 31, 2017 (in Swiss francs)

| Project Name | Project Budget | Expenditure to Date | Budget Utilization | Implementation Progress Rate of the Project |
|--|----------------|---------------------|--------------------|---|
| Security enhancement: data encryption and user access management | 700,000 | 220,800 | 31.5% | 30% |

Project Budget Utilization as at December 31, 2017 (by Milestone) (in Swiss francs)

| Key Milestone | Project Budget | Expenditure to Date | Budget Utilization | Implementation Progress Rate by Milestone |
|---|----------------|---------------------|--------------------|---|
| Current state assessment and development of IAME reference architectures, strategy and implementation roadmap | 130,000 | 129,400 | 99.5% | 100% |
| Map the authorization models of 2 key business applications in line with the IAME reference architectures | 95,000 | 91,400 | 96.2% | 100% |
| Purchase and integrate Access Governance solution | 375,000 | - | - | - |
| Internal Public Key Infrastructure (PKI) solution | 100,000 | - | - | - |
| Total | 700,000 | 220,800 | 31.5% | 30% |

Project Budget Utilization as at December 31, 2017 (by Cost Category) (in Swiss francs)

| Cost Category | Project Budget | Expenditure to Date | Budget Utilization |
|---|----------------|---------------------|--------------------|
| Individual Contractual Services | 225,000 | 220,800 | 98.1% |
| Access Management and Encryption solution, hardware and support | 325,000 | - | - |
| Contractual Services | 150,000 | - | - |
| Total | 700,000 | 220,800 | 31.5% |

Risk and Mitigation Strategies

| Risk | Mitigation | Comment |
|---|---|--|
| Lack of adequate budget needed to implement the IAM and Encryption roadmap. | Prioritization of high risk elements of the IA roadmap. | Costs associated with the original project scope did not factor cloud, GIPP, PCT RSP and other changes that have occurred since 2013/14. |

| Risk | Mitigation | Comment |
|---|--|---|
| The cloud first strategy will impact the type of encryption and authentication methods selected and may lead to several approaches being required. It may also result in delays owing to project interdependencies. | <p>Cross-cutting information security architectures & design patterns are being developed and security requirements are factored into all cloud implementation decisions.</p> <p>The SIA governance is used to map bi-directional dependencies and provide a decision framework.</p> | Potential impact on schedule, in particular to avoid duplicative activities and if several work streams are required. |

Project Timeline by Milestone

| Key Milestone | 2015 | | | | 2016 | | | | 2017 | | | | 2018 | | | |
|---|------|----|----|----|------|----|----|----|------|----|----|----|------|----|----|----|
| | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| Current state assessment and reference architecture and implementation roadmap | | | | X | X | X | X | | | | | | | | | |
| Map the authorization models of 2 key business applications in line with the IAME reference architectures | | | | | | | | X | X | X | X | | | | | |
| Purchase and integrate Access Governance solution | | | | | | | | | | | | | X | X | X | X |
| Internal PKI (Public Key Infrastructure) Solution | | | | | | | | | | | | | X | X | X | X |

ICT-Related Projects

PROJECT 2 ENTERPRISE CONTENT MANAGEMENT (ECM) IMPLEMENTATION (CMP 2)

Project manager Mr. G. Beaver

Expected Result: *IX.2 An agile and smooth functioning Secretariat with a well-managed and appropriately skilled workforce which is effectively delivering results*

Objectives, Scope and Approach-Background

The project is to introduce a central enterprise repository to store documents. This will enable users to work together (collaborate) on document creation, to search and access information more easily, and will allow documents to be linked to transactions in the ERP system as required.

During the planning phase of the implementation of the ECM project, changes to the approach and scope were proposed whilst maintaining the original objectives. These changes to approach and scope serve to further increase the probability of successful delivery of both the organizational changes and technical implementation elements of ECM. The revised approach is based upon a phased implementation with a number of 'early wins' (detailed below), where business benefits will be realized by specific business sectors, through the automation of a number of their document-centric processes, prior to the corporate level deployment of ECM.

The objectives of the ECM project are:

- The implementation of an organizational wide system for the storage, retrieval and management of WIPO documents, records and archives (the ECM application);
- The implementation of process-specific configurations of the ECM Processes within the ECM Application to support content rich business processes. These processes may be sector specific or organizational wide;
- Integration where required, with the sub components of the ERP, to allow the linkage of supporting content (held in ECM) to transactional records (held in ERP) where the business processes implemented in ERP require;
- The ECM application and supporting infrastructure will be hosted and managed in a manner to meet the service availability and security objectives of such a system based upon its business criticality;
- The implementation of the records and archives components of the ECM application and supporting processes will be compliant with the updated WIPO Records Management and Archiving Policy;
- End users will be trained in the use of the system, as well as the processes and procedures (ECM processes);
- The system will implement sufficient security controls to maintain compliance with the WIPO Information Security policies; and
- The ECM Application design, license procurement, implementation, base configuration, individual 'early win' project specific configurations, full organizational wide base ECM capability, user training and transition to live operation will be delivered within the budget allocated to the project under the Capital Master Plan (see WO/PBC/21/18, July 31,2013).

The project will be broken down into a number of phases/sub-projects, each delivering a set of business benefits to one or more business areas. Each sub-project will include:

- business analysis required to specify the business process and information management needs, which the ECM solution will support;
- the identification and documentation of the interfaces to existing systems, including the ERP system where required;
- the design of the ECM configuration based upon the business process and information management needs;
- the implementation of the ECM system configuration to support the business process and information management needs;
- the system testing and user acceptance testing of the ECM system configuration to support the business process; and
- the training for the end-users on the business process specific ECM configuration.

The sub-projects in order of implementation are²⁴⁰:

Corporate Records and Archives—a sub-project to increase the functionality of the records and archive service, including the enhancement/replacement of document scanning processes, as well as the implementation of an incoming and outgoing mail scanning and tracking process (scan and workflow), and the implementation of automated records management functions based upon the WIPO records management policy (records & archive management).

Translation request—the automation of a document based workflow with tracking and reporting, for the allocation of documents to be translated by the Languages Division.

Vendor and Contract Management System—an 'early win sub-project' to implement a solution/processes to manage contract information, allowing for creation of contract documents (document management), the storage of documents related to a contract (case management), the reporting and alerting of events during the contract lifecycle (workflow and case management), and the searching against the contracts (search).

Human Resources (Staff eFile)—the creation of secure HR folders (cases) for each employee, to contain the electronic documents and records for that employee, with the inclusion of electronic scans of the existing paper records (imaging & scanning). HRMD staff will have the ability to search across the eFiles to identify and retrieve any required files (search).

Mission Reports—the management of the creation of mission reports (document management), the processes of review and publication of the mission report (work flow), and the searching of previous mission reports (search) based upon categorization (locations, personnel, topic and organizations visited).

ODG Incoming Mail—the scanning and document workflow of Incoming Mail for the Office of the Director General, with the links to the resulting response, with monitoring of progress to ensure that the response is completed and sent within the appropriate time frames.

Organizational wide ECM Capability—the integration of ECM into the standard WIPO Corporate Desktop so allowing all WIPO users to perform Document Management (storage, categorization, search & retrieval, and version control) on user, unit and organizational created content. The content will include user desktop created content such as word processing files (e.g. Microsoft Word and PDF documents), Spreadsheets (e.g. Microsoft Excel), presentations (e.g. Microsoft PowerPoint), diagrams (e.g. Microsoft visio), project plans (e.g. Microsoft Project) emails.

Overview of Progress in 2017 (Key Milestones)

In 2017, the following progress was made:

- The ICT ECM infrastructure for the Training, Acceptance and Production environments were delivered and accepted;
- The design, implementation (including the Opentext upgrade) and acceptance of the base ECM Software was completed;
- The design, development, testing, deployment, acceptance and end-user training of the initial operating capability for the Corporate Records and Archives configuration was completed, enabling the initial go-live in July 2017;
- The design, development and testing of the Translation Request configuration and the Vendor and Contract Management System configuration was completed.

During the course of 2017 and following the go-live of the initial operating capability for the Corporate Records and Archives sub-project, a review of the approach, delivery timelines and order of implementation for the rest of the sub-projects was performed. Taking into account the detailed business analysis and refinement of the requirements, the benefits realization schedule and project timeline were updated accordingly.

²⁴⁰ The order of implementation has been modified taking into account the readiness of the concerned business areas.

Benefits Realization

| Benefits Delivered 2017 | Expected Benefits 2018 | Expected Benefits 2019 |
|--|---|---|
| <p>Following the operational deployment of the initial operating capability of the Corporate Records and Archives: The move from the management of paper-based bank statements (which were scanned) to full digitization (bank statements now being electronically searchable) reduced the time taken to respond to a query relating to an individual transaction from 4 minutes to 15 seconds.</p> | <p>Following the operational deployment of the final operating capability of the Corporate Records and Archives: An 'early win' benefit will be more efficient document scanning processes including for incoming mail scanning, resulting in a reduction in staff time required.</p> <p>The longer-term benefits will be realized following the operational deployment of the Organizational wide ECM configuration in 2018.</p> <p>Following the operational deployment of the Translation workflow and status ECM configuration: The creation of Document translation work flow and status tracking system for the Language Division will result in:</p> <ul style="list-style-type: none"> - a reduction in the staff effort required to report on the status of the translation requests, as the system will produce automated reporting; - the ability to ensure the translation service levels are achieved through active monitoring and reporting of the status of each translation request. <p>Following the operational deployment of the Contract & Vendor Management ECM system configuration: The Procurement Section will have a single searchable source of information relating to ongoing and concluded procurement tenders, this will result in:</p> <ul style="list-style-type: none"> - Reduction in the time taken to identify and retrieve current information; - Reduction in error and re-work by ensuring that the latest version of each document can be clearly identified. <p>The Procurement Section will have a single dashboard showing the progress of active tenders as well as information on when existing contracts will need to be re-tendered, this will result in:</p> <ul style="list-style-type: none"> - Greater staff utilization of productive task through better forward planning of procurement activities. <p>Following the operational deployment of the electronic HR staff record ECM system configuration The HR Management Department will have a single repository for the storage of documents relating to staff, covering both historical documents, which will be scanned, as well as the capture of newly created documents. This will result in:</p> | <p>Following the operational deployment of the Mission Reports ECM system configuration The contents of Mission reports, as well as information relating to planned missions, will be searchable across the Organization. This will result in;</p> <ul style="list-style-type: none"> - The number of missions being potentially reduced if overlapping trips and agenda items are identified, thereby reducing costs; - Missions will become more productive as WIPO staff will have access to greater amounts of information relating to previous missions to a particular country or organization. This will enable staff to better prepare for follow-up missions by being able to respond to outstanding questions, which may have been asked during a previous mission. <p>Following operational deployment of the eCourier ECM system configuration The ODG and the Senior Management Team will have a single system for the distribution and tracking of the creation of responses to external correspondence, this will result in:</p> <ul style="list-style-type: none"> - The time taken to complete responses to external correspondence being reduced as the correspondence and responses will not need to be physically distributed around the WIPO campus, thereby assisting in the achievement of the response time objectives; - The status and progress of each response to an external correspondence will be known via a management dashboard, thereby reducing the staff effort required in tracking the status of responses to ensure compliance with objectives. This will release administrative staff to focus on other activities. <p>Following the operational deployment of the Organizational wide ECM configuration: The implementation of Enterprise Content Management to the wider WIPO organization when in support of the knowledge sharing and information management culture changes within WIPO, in addition to the 'early win' sub-project will result in:</p> <ul style="list-style-type: none"> - The ability to search across the complete WIPO knowledge base, reducing the amount of duplicate knowledge creation and recording through information sharing; - The ability to expand the compliance with the WIPO Records Management and Archiving Policy to a wider number of business units; - An ability to reduce the ongoing cost for physical archiving of documents as these documents become electronic; - An ability to reduce the cost of electronic storage of documents, as the ability to search across the complete Organizational knowledge base should reduce the level of rework and duplication of the recording of knowledge. |

| Benefits Delivered 2017 | Expected Benefits 2018 | Expected Benefits 2019 |
|-------------------------|--|------------------------|
| | <ul style="list-style-type: none"> - The continued capture, management and preservation of key HR files and related documents. The single repository of information will reduce the time and HR staff effort required to identify and extract relevant documents in support of key organizational processes; - The latest version of each HR document relating to WIPO staff will be clearly identifiable thereby reducing the time and effort required in identifying the latest version of documents, and reducing the level of re-work. | |

Resource Utilization

Project Budget Utilization as at December 31, 2017 (in Swiss francs)

| Project Name | Project Budget | Expenditure to Date | Budget Utilization | Implementation Progress Rate of the Project |
|----------------------------|----------------|---------------------|--------------------|---|
| ECM Implementation Project | 2,068,000 | 1,338,318 | 64.7% | 60% |

Project Budget Utilization as at December 31, 2017 (by Milestone) (in Swiss francs)

| Key Milestone | Initial Project Budget | Adjusted Project Budget | Expenditure to Date | Budget Utilization | Implementation Progress Rate by Milestone |
|---|------------------------|-------------------------|---------------------|--------------------|---|
| Study & development of approach, including the selection of the ECM technology | 36,000 | 36,000 | 35,170 | 97.7% | 100% |
| Re-platforming and version upgrade of the existing Corporate Records and Archives | 42,000 | 40,000 | 40,000 | 100% | 100% |
| Award of contract for Client side Project Manager and ECM Specialist | 400,000 | 600,000 | 363,050 | 60.5% | 90% |
| ECM hosting and maintenance fees | 978,000 | 587,000 | 556,876 | 94.9% | 100% |
| Infrastructure Installation | | 96,000 | 95,906 | 99.9% | 100% |
| Corporate Records and Software Base Configuration | 205,000 | 161,000 | 102,941 | 63.9% | 75% |
| OpenText Upgrade | - | 61,000 | 60,612 | 99.4% | 100% |
| Project 1: Translation request management | 58,000 | 117,000 | 83,763 | 71.6% | 80% |
| Project 2: ODG Incoming Mail | 80,000 | 95,000 | - | - | - |
| Project 3: Vendor & Contract management | 46,000 | 60,000 | - | - | - |
| Project 4: Mission Reports | 37,000 | 65,000 | - | - | - |
| Project 5: HR Staff Case Files | 140,000 | 60,000 | - | - | - |
| Project 6: Organizational wide ECM Capability | 46,000 | 90,000 | - | - | - |
| Total | 2,068,000 | 2,068,000 | 1,338,318 | 64.7% | 60% |

Project Budget Utilization as at December 31, 2017 (by Cost Category)
(in Swiss francs)

| Cost Category | Initial Project Budget | Adjusted Project Budget | Expenditure to Date | Budget Utilization |
|--|------------------------|-------------------------|---------------------|--------------------|
| Individual Contractual Services | 400,000 | 600,00 | 363,050 | 60.5% |
| Contractual Services | 690,000 | 881,000 | 418,392 | 47.5% |
| OpenText Software Support (Maintenance Fees) | 514,000 | 514,000 | 513,766 | 100% |
| Hosting (UNICC) | 144,000 | 44,000 | 43,110 | 98% |
| Miscellaneous and unforeseen ²⁴¹ | 320,000 | 29,000 | - | - |
| Total | 2,068,000 | 2,068,000 | 1,338,318 | 64.7% |

Risk and Mitigation Strategies

| Risk | Mitigation | Comment |
|---|---|---|
| A degree of re-work could be required, due to a dependency on the deliverables from other organizational ongoing initiatives, including the development of Records and Archives management policies as well as Information Security Classification and Handling policies. | The progress in the development of the Records and Archives Policy as well as the Information Security Classification and Handling Policy is being monitored by the ECM Team. The ECM design and implementation will be based upon the agreed principles of the policies if full detailed implementation guidance is not available. | During the 2016/17 biennium, this risk did not occur, however, it remains a risk. |

Project Timeline by Milestone²⁴²

| Key Milestone | 2014 | | 2015 | | 2016 | | 2017 | | | | 2018 | | | | 2019 | |
|---|------|----|------|----|------|----|------|----|----------------|----|----------------|----------------|----|----|------|----|
| | Q3 | Q4 | Q3 | Q4 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 |
| Study and development of approach | | X | | | | | | | | | | | | | | |
| ECM Technology selected | | | X | | | | | | | | | | | | | |
| Re-platforming and version upgrade of the existing Corporate Records and Archives | | | | X | | | | | | | | | | | | |
| Implementation partner tender completed | | | | | X | | | | | | | | | | | |
| Base ECM Configuration accepted | | | | | | | X | | | | | | | | | |
| Enhanced Records & Archives configuration accepted | | | | | | | | | X ¹ | X | X | X ² | | | | |
| Translation workflow and status tracking ECM configuration operational | | | | | | | | | | | X ¹ | X ² | | | | |
| Vendor & Contract management ECM configuration operational | | | | | | | | | | | X ¹ | X ² | | | | |
| Mission Reports ECM configuration operational | | | | | | | | | | | | | | | X | |
| ODG Incoming Mail ECM configuration operational | | | | | | | | | | | | | | | | X |
| HR Staff eFile ECM configuration operational | | | | | | | | | | | | | X | | | |
| Organizational wide ECM Capability configuration operational | | | | | | | | | | | | | | | | X |

²⁴¹ Previously reported "Miscellaneous and unforeseen" costs are now more accurately reflected under ICS and Contractual Services

²⁴² Initial operating capability¹; Final operating capability²

Buildings-Related Projects

PROJECT 3 RENOVATION OF THE FACADES AND COOLING/HEATING INSTALLATION OF THE PCT BUILDING (CMP 3)

Project Manager Mr. A. Favero

Expected Result: *IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders*

Objectives, Scope and Approach-Background

The project objectives are twofold: (i) a complete replacement of the false ceiling installation for the cooling and heating system in the upper floors of the PCT Building; and (ii) a major renovation of structural elements of all the facades of that Building (in other words, the windows *per se* are generally not implicated). It has been determined in recent years that the minor low-scale reactive repairs—for such as breakdowns and uncontrollable excessively high or low temperature inside the offices—which have been ongoing for about 10 years, were no longer sustainable. Furthermore, a number of components of the current cooling/heating installation are no longer available on the market and spare parts can no longer be purchased, which would in the short-term put at risk the viability of the whole cooling and heating installation in the Building. The wasted energy consumption caused by the defective systems and installations and by the defective structural elements of the facades is significant and will only continue to increase year after year. A technical audit of the cooling and heating installation was carried out in 2011; a technical audit of the facades was carried out during the first semester of 2013.

The expected results of the renovation are fully operational and reliable cooling and heating installations and facades, and significant energy consumption reduction by eliminating current waste.

The objectives of the project are to: (i) reduce energy loss (facades); (ii) reduce energy consumption (thermal false ceilings and facades); (iii) improve technical facilities to reduce the need for maintenance (thermal false ceilings and facades); (iv) improve the comfort of occupants; (v) use new, more environmentally-friendly technology; and (vi) modernize for longer life-cycles (thermal false ceilings).

Overview of Progress in 2017 (Key Milestones)

In 2017, the following progress was made:

- All tender processes for works were completed, construction and supplier companies were selected and contracts awarded. This process took longer than expected, resulting in a slight delay in the project schedule. The project timeline was updated accordingly;
- The swing space for approximately 80 workplaces to deploy the successive implementation phases was created in Q3 2017. The swing space will be used for testing various false ceiling plate prototypes and other features as well as for validating the intervention methodology;
- Preparatory works commenced in Q3 and Q4 2017, including certain installations in the basement and scaffoldings on two of the building areas.

During the periodical review of the implementation of the CMP 3 scope, it was determined that during the renovation phase, other renovations to the PCT Building could be completed concurrently, thereby minimizing the disruption of the work of PCT staff, reducing the requirements for temporary movement of staff during the construction period, benefitting from worksite opportunities, cost efficiencies and cost avoidance, more efficient integration of new technology for various technical, electrical, security and safety appliances and systems and avoiding the need to re-open another major worksite throughout the whole building only a couple of years after having commissioned the initial renovation. This was submitted and approved as part of the WIPO Capital Master Plan for 2018-2027 by the WIPO Assemblies in October 2017. Consequently, the renovation of the PCT Building will be implemented and reported on under CMP 3 (approved in 2013) and CMP 13 (approved in 2017).

Benefits Realization

| Expected Benefits 2018 | Expected Benefits 2019 |
|--|--|
| Partial improvements in HVAC and technical facilities. | Full improvement in technical facilities. |
| Partial improvement in the comfort of occupants. | Full improvement in the comfort of occupants. |
| Partial reduction in energy loss due to improved facades. | Further reduction in energy loss due to improved facades. |
| Partial reduction in energy consumption due to new thermal false ceilings. | Further reduction in energy consumption due to new thermal false ceilings. |
| | Increased life-cycle of new thermal false ceilings. |
| | Reduced maintenance costs due to new thermal false ceilings. |

Resource Utilization

Project Budget Utilization as at December 31, 2017 (in Swiss francs)

| Project Name | Project Budget | Expenditure to Date | Budget Utilization | Implementation Progress Rate of the Project |
|--|----------------|---------------------|--------------------|---|
| Renovation of the facades and cooling/heating installation of the PCT Building | 6,000,000 | 1,063,620 | 17.7% | 25% |

Project Budget Utilization as at December 31, 2017 (by Milestone) (in Swiss francs)

| Key Milestone | Initial Project Budget | Adjusted Project Budget | Expenditure to Date | Budget Utilization | Implementation Progress Rate by Milestone |
|---|------------------------|-------------------------|---------------------|--------------------|---|
| Award of contract to the pilot/architect | 124,000 | 867,890 | 421,080 | 48.5% | 100% |
| Award of contracts to agents | 900,000 | 490,110 | 285,365 | 58.2% | 100% |
| Internal and external resource commitment | 867,000 | 734,000 | 344,073 | 46.9% | 60% |
| Work and commissioning | 4,109,000 | 3,908,000 | 13,102 | 0.3% | 10% |
| Total | 6,000,000 | 6,000,000 | 1,063,620 | 17.7% | 25% |

Project Budget Utilization as at December 31, 2017 (by Cost Category) (in Swiss francs)

| Cost Category | Initial Project Budget | Adjusted Project Budget | Expenditure to Date | Budget Utilization |
|------------------------------|------------------------|-------------------------|---------------------|--------------------|
| Construction-related costs | 3,569,000 | 3,598,000 | 955 | 0.03% |
| Honoraria | 1,024,000 | 1,358,000 | 706,445 | 52% |
| Internal/external resources | 867,000 | 734,000 | 344,073 | 46.9% |
| Fees | 120,000 | 27,000 | 12,147 | 45% |
| Miscellaneous and unforeseen | 420,000 | 283,000 | - | - |
| Total | 6,000,000 | 6,000,000 | 1,063,620 | 17.7% |

Risk and Mitigation Strategies

| Risk | Mitigation | Comment |
|--|------------|--|
| Delay in commissioning the renovation as a result of the selected technical solution and/or the internal logistics for office relocations. | | <i>This risk has been closed, as it is no longer applicable.</i> |

Financial risk due to unknown cost of the technical solution to be chosen. The cost of the project may also be higher than the approved budget as a result of the construction market situation during the call for tenders from firms in 2016.

Review of the choice of technical solution, and monitor construction market situation—include mitigating clauses in contracts as appropriate.

This risk has been closed, as it is no longer applicable.

Inability to start works before end of 2017 due to unavailability of firms within the project schedule.

Review the timetable, the contractual provisions;
Assess the extent of delay on the implementation milestones and potential additional cost.

This risk has been closed, as it is no longer applicable.

Unforeseen difficulties discovered when opening the construction site or when dismantling existing equipment, installations or ducting.

Assess the need for and extent of interruption to the work;
Assess the potential repairs/replacement works needed;
Carry out any relevant repairs/replacement;
Update the timetable where necessary.

This risk will remain until the end of the worksite and the commissioning of the works.

Project Timeline by Milestone

| Key Milestone | 2014 | | 2015 | | 2016 | | | | 2017 | | | | 2018 | | | | 2019 | | |
|---|------|----|------|----|------|----|----|----|------|----|----|----|------|----|----|----|------|----|----|
| | Q3 | Q4 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 |
| Call for expressions of interest pilot/architect | | X | | | | | | | | | | | | | | | | | |
| Call for tenders and selection of pilot/architect and engineers | | | X | X | X | X | X | | | | | | | | | | | | |
| Comprehensive study on implementation | | | | | | X | X | X | | | | | | | | | | | |
| Choice of technical solution | | | | | | | | X | | | | | | | | | | | |
| Call for tenders from firms | | | | | | | | | X | X | X | X | | | | | | | |
| Works | | | | | | | | | | | | X | X | X | X | X | X | X | X |
| Phased technical commissioning, including the relocating of staff | | | | | | | | | | | | | | X | X | X | X | X | X |
| Final overall commissioning | | | | | | | | | | | | | | | | | | | X |

Buildings–Related Projects

PROJECT 5 ARPAD BOGSCH BUILDING - PHASE 1 OF BASEMENT RENOVATION (RESIZING OF DATA CENTER AND RENOVATION OF THE PRINTSHOP) (CMP 5)

Project Manager: Mr. A. Favero

Expected Result: *IX.1 Effective, efficient, quality and customer-oriented support services both to internal clients and to external stakeholders*

Objectives, Scope and Approach–Background

The existing data center located in the basement of the AB Building needs to be resized in order to correspond to its updated and reduced purpose of a computer room for servicing the AB Building only. The resizing is expected to free a significant floor surface area, which will subsequently become available for enlarging the current printshop in need of renovation.

The objectives of the project are to: (i) establish the appropriate surface area needed for the printshop, documents and computer room by reducing the area of the data center to free up a relatively large space to allow for the expansion and renovation of the printshop; (ii) reduce energy consumption via the removal of specific technical equipment from the data center; and (iii) improve the working spaces of the printshop and documents staff.

Overview of Progress in 2017 (Key Milestones)

In 2017, the following progress was made:

- Tenders were launched and contracts awarded for all technical installations;
- Staff and machines in the AB printshop were temporarily relocated elsewhere;
- The new layout was fine-tuned for the regrouping of the previous two printshops (AB and PCT) into a single printshop;
- The dismantling, construction and fitting works were completed for the new printshop;
- The dismantling of parts of the old installations in the Documents Unit was carried out; and
- The new single printshop was completed at the end of 2017.

Benefits Realization

| Benefits Delivered 2016 | Benefits Delivered 2017 | Expected Benefits 2018 |
|--|--|---|
| IT computer room fit for purpose in terms of space, cooling and other technical installations. | Better allocation of space according to respective uses for printshop. | Better allocation of space according to respective uses for documents unit. |
| | Partial reduction in energy consumption in the area affected by the works in the AB Building. | Further reduction in energy consumption in the area affected by the works in the AB Building. |
| | Improvement of the working spaces of printshop staff. | Improvement of the working spaces of documents staff. |
| | Regrouping of the two old printshops (AB and PCT) into one single fully renovated printshop in AB, with commensurate economies of scale for infrastructure, equipment, energy consumption, maintenance, office space occupancy, etc. | |

Resource Utilization

Project Budget Utilization as at December 31, 2017 (in Swiss francs)

| Project Name | Project Budget | Expenditure to Date | Budget Utilization | Implementation Progress Rate of the Project |
|--|----------------|---------------------|--------------------|---|
| Arpad Bogsch Building — phase 1 of basement renovation (resizing of data center and renovation of printshop) | 960,000 | 792,686 | 82.6% | 85% |

Project Budget Utilization as at December 31, 2017 (by Milestone) (in Swiss francs)

| Key Milestone | Initial Project Budget | Adjusted Project budget | Expenditure to Date | Budget Utilization | Implementation Progress Rate by Milestone |
|---|------------------------|-------------------------|---------------------|--------------------|---|
| Award of contracts to the architect and engineers | 144,000 | 182,000 | 138,873 | 76.3% | 100% |
| Works and commissioning | 816,000 | 778,000 | 653,813 | 84.0% | 80% |
| Total | 960,000 | 960,000 | 792,686 | 82.6% | 85% |

Project Budget Utilization as at December 31, 2017 (by Cost Category) (in Swiss francs)

| Cost Category | Initial Project Budget | Adjusted Project Budget | Expenditure to Date | Budget Utilization |
|------------------------------|------------------------|-------------------------|---------------------|--------------------|
| Construction-related costs | 749,000 | 778,000 | 653,813 | 84.0% |
| Honoraria | 144,000 | 182,000 | 138,873 | 76.3% |
| Miscellaneous and unforeseen | 67,000 | - | - | - |
| Total | 960,000 | 960,000 | 792,686 | 82.6% |

Risk and Mitigation Strategies

| Risk | Mitigation | Comment |
|---|--|--|
| Financial risk as a result of the costs incurred for the partial temporary relocation of printshop and documents staff. | Use the "miscellaneous and unforeseen" provision in the approved budget. | In view of the marginal remaining works to be carried out for the Documents Unit, this risk is minimal but will remain open until full commissioning of the works for that remaining part. |
| Delay in finishing the works due to technical problem discovered during or caused by the dismantling of existing installations. | Carry out any repairs and update the works timetable as necessary. | This risk is closed, as it is no longer applicable |

Project Timeline by Milestone

| Key Milestone | 2014 | | | | 2015 | | | | 2016 | | | | 2017 | | | | 2018 | |
|--|------|----|----|----|------|----|----|----|------|----|----|----|------|----|----|----|------|----|
| | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 |
| In-house definition of project goals | | X | | | | | | | | | | | | | | | | |
| Award of contracts to the architect | | | X | X | X | X | | | | | | | | | | | | |
| Award of contracts to the engineers | | | | | | | | | X | X | | | | | | | | |
| Comprehensive works execution review | | | | | | | | X | X | X | | | | | | | | |
| Changed internal decision on principle of one future printshop v. two current printshops | | | | | | | | | | | | X | | | | | | |
| Update of the comprehensive works execution review | | | | | | | | | | | | X | X | | | | | |
| Call for tenders from firms and selection | | | | | | | | | | X | X | X | X | X | | | | |
| Works and commissioning for the Data Center part | | | | | | | | | | | | X | X | | | | | |
| Works (dismantling and construction) for the Printshop area | | | | | | | | | | | | | | X | X | X | | |
| Works (dismantling and construction) for the Documents area | | | | | | | | | | | | | | | | | X | X |
| Commissioning in phases of the renovated Printshop area | | | | | | | | | | | | | | | | | X | |
| Commissioning in phases of the renovated Documents area | | | | | | | | | | | | | | | | | | X |

CMP Safety/Security-Related Projects

PROJECT 7 SAFETY AND FIRE PROTECTION MEASURES (CMP 7)

Project Manager Mr. M. Gibb

Expected Result: *IX.4 An environmentally and socially responsible Organization in which WIPO staff, delegates, visitors and information and physical assets are safe and secure*

Objectives, Scope and Approach-Background

On the basis of a safety and security audit carried out by a specialized institute at the request of the Secretariat, a number of recommendations related to safety and fire protection measures need to be implemented in the older WIPO buildings in order to bring those buildings to the updated compliance level (note that the New Building and the new WIPO Conference Hall are excluded from this Project since the technical specifications already reflect the updated compliance level). The safety and fire protection measures to be implemented in the older WIPO buildings are: (i) the compartmentalization between buildings; and (ii) further compartmentalization between particular areas of a given building (building partitioning). The aim of this two layered compartmentalization is to better isolate a single building or area from another building or area in case a fire or smoke may have spread after an incident. The building partitioning will be done by means of building infrastructure elements or doors in addition to, or instead of, the existing doors and, in some cases, new doors will be installed in existing corridors or pathways.

Implementation of the project should result in:

- cost reductions in: (i) damage caused to premises or internal assets from the prevention and limitation of potential incidents; and (ii) repairs, replacement and cleaning;
- enhancement of protection of data relating to filing of applications according to various registration systems;
- creation of a safer working environment, i.e. in the event of an incident, strengthening of security and measures for the protection of staff and other people working in the buildings, and improvement of evacuation procedures;
- better protection and material separation of critical installations in buildings;
- compliance with Geneva Canton Fire Safety Standards; and
- alignment with UN Fire Safety Policy.

Overview of Progress in 2017 (Key Milestones)

In 2017, the following progress was made:

- Compartmentalization between AB underground parking and AB building (level -3, -4, -5) was completed;
- Compartmentalization between GBI and AB building (ground floor) was completed.

The project was completed and will be formally closed after the financial closure of 2017²⁴³. The remaining budgetary balance amounting to 67,884.71 Swiss francs will be subsequently returned to Accumulated Surpluses.

²⁴³ During the 1st quarter of 2018.

Benefits Realization

| Benefits Delivered 2014 | Benefits Delivered 2015 | Benefits Delivered 2016 | Benefits Delivered 2017 |
|--|--|--|--|
| Enhancement of security and safety measures for the protection of staff upon completion of PCT compartmentalization. | Maintained level of safety and security in PCT building. | Maintained level of safety and security in PCT building. | Maintained level of safety and security in PCT building. |
| | Enhancement of security linked to staff and delegates by creating an airlock on landing of lifts AB-2. | Maintained level of security and safety of access to landing AB-2. | Maintained level of security and safety of access to landing AB -2. |
| | | Improved level of security and safety between buildings GBI and AB level -1 and 1. | Improved level of security and safety between buildings GBI and AB ground floor. |
| | | | Improved level of security and safety between AB building and underground parking. |

Resource Utilization

Project Budget Utilization as at December 31, 2017 (in Swiss francs)

| Project Name | Initial Project Budget | Adjusted Project Budget | Expenditure to Date | Budget Utilization | Implementation Progress Rate of the Project |
|-------------------------------------|------------------------|-------------------------|---------------------|--------------------|---|
| Safety and Fire Protection Measures | 400,000 | 335,000 | 332,115 | 99.1% | 100% |

Project Budget Utilization as at December 31, 2017 (by Milestone) (in Swiss francs)

| Key Milestone | Initial Project Budget | Adjusted Project Budget | Expenditure to Date | Budget Utilization | Implementation Progress Rate by Milestone |
|---|------------------------|-------------------------|---------------------|--------------------|---|
| Compartmentalization of PCT Completion of work | 45,000 | 45,000 | 44,394 | 98.7% | 100% |
| Improved space planning in delegates' area AB -2/Creation of an airlock on the landing of lifts on AB -2 | 55,000 | 78,200 | 78,195 | 100% | 100% |
| Project related to compartmentalization between GBI and AB | 175,000 | 145,000 | 144,933 | 100% | 100% |
| Project related to compartmentalization between GBI and GBII (all levels except -1) ²⁴⁴ | 65,000 | - | - | - | - |
| Project related to compartmentalization between AB underground parking and AB building (except level -2). | 60,000 | 66,800 | 64,593 | 96.7% | 100% |
| Total | 400,000 | 335,000 | 332,115 | 99.1% | 100% |

²⁴⁴ The 2016 fire risk audit identified technical issues related to the feasibility of the compartmentalization between GBI and GBII, indicating that the extent of the technical work would fall outside the scope and budget of the project. As a result, a decision was taken to remove this project element from the scope of CMP 7 and reduce the project budget accordingly.

Project Budget Utilization as at December 31, 2017 (by Cost Category)
(in Swiss francs)

| Cost Category | Initial Project budget | Adjusted Project Budget | Expenditure to Date | Budget Utilization |
|------------------------------|------------------------|-------------------------|---------------------|--------------------|
| Construction-related costs | 312,000 | 247,000 | 246,250 | 99.7% |
| Honoraria | 60,000 | 60,000 | 58,500 | 97.5% |
| Miscellaneous and unforeseen | 28,000 | 28,000 | 27,365 | 97.7% |
| Total | 400,000 | 335,000 | 332,115 | 99.1% |

Risk and Mitigation Strategies

| Risk | Risk Mitigation | Comment |
|--|--|---|
| Delay or interruption of works due to site accident. | Revalidation and strengthening of the security measures and review of the works timetable. | This risk did not occur. |
| Inability to implement the project related to compartmentalization between GBI and GBII (all levels except -1) due to the identification of non-conformity points with Swiss regulations during the external fire risk audit, necessitating immediate remediation work that could result in a shortfall of time and resources. | Adjust the scope of the project based on the findings of the external fire risk audit | This risk event did occur in 2016, resulting in the compartmentalization between GBI and GBII (all levels except -1) being removed from the scope of CMP 7. |

Project Timeline by Milestone

| Key Milestone | 2014 | | | | 2015 | | | | 2016 | | | | 2017 | | | |
|---|------|----|----|----|------|----|----|----|------|----|----|----|------|----|----|----|
| | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| Compartmentalization of PCT Completion of work | X | | | | | | | | | | | | | | | |
| Improved space planning in delegates' area AB -2/Creation of an airlock on the landing of lifts on AB-2 | | | X | X | X | X | | | | | | | | | | |
| Project related to compartmentalization between GBI and AB | | | | | | | X | X | X | X | X | X | X | X | | |
| Project related to compartmentalization between AB underground parking and AB building (except level-2) | | | | | | | | | | | | X | X | X | X | X |

Other Reserve-Funded Projects

PROJECT IMPLEMENTATION OF A COMPREHENSIVE INTEGRATED ENTERPRISE RESOURCE PLANNING (ERP) SYSTEM

Project Manager Mr. R. Lawton

Expected Result *IX.2. An agile and smooth functioning Secretariat with a well-managed and appropriately skilled workforce which is effectively delivering results*

Objectives, Scope and Approach–Background

The ERP system is being implemented through a portfolio of inter-related projects, gradually evolving the Administrative Integrated Management System (AIMS Evolution).

The first stream of projects planned to establish a comprehensive set of tools to strengthen Human Resource Management (HR), comprising position management, benefits and entitlements, payroll, recruitment, staff performance, skills, learning and development.

The second stream of projects was aimed at embedding a set of tools to strengthen and support the implementation of Results-Based Management (RBM), namely Enterprise Performance Management (EPM), Enterprise Risk Management (ERM) and Business Intelligence (BI), comprising biennial planning, annual work-planning, implementation monitoring and performance assessment, reporting and analytics.

The third stream of projects targeted enhancements to the existing tools, used by the Finance, and Procurement and Travel Divisions, through configuration changes and upgrades to introduce new functionality and improvements to business processes.

The fourth stream of projects planned to deploy tools to enable WIPO to start gaining experience in the area of Customer Relationship Management (CRM), comprising mailing lists, contact database, access management and customer analytics.

WIPO's approach is based on the phased implementation of projects which help the ERP capabilities to evolve and embed progressively in a coherent and measured manner. The approach is also driven by business needs and priorities and takes into account the capacity of concerned organizational units to absorb and integrate changes.

Overview of Progress in 2017 (Key Milestones)²⁴⁵

In 2017, the following progress was made:

The Talent Management project, covering staff performance (ePerformance), Enterprise Learning Management (ELM) and a skills inventory pilot was successfully delivered. The ePerformance tool was introduced for temporary staff performance reviews and the ELM tool was introduced centrally within HRMD;

The Time Management project, to replace the legacy Flexi-time system and support the new flexible working arrangements, was initiated with an implementation partner in July 2017. However, due to quality issues identified early in the project and the difficulty in finding sufficiently experienced replacement resources, the go-live at the end of 2017 was no longer feasible. In addition, the time initially foreseen to introduce the new flexible ways of working was deemed insufficient considering the scale of the organizational change. Therefore, the project was re-planned with a go-live target of January 2019 to allow sufficient time for the appointment of a suitably experienced change manager and the development and testing of the technical solution.

The tool and implementation approach for the Travel and Meeting project was determined, following the recommendations of an independent external review;

The Revenue Management project delivered a number of improvements to both internal users and external customers, in line with the financial payment architecture review recommendations. The design and development of a real-time integration mechanism with all WIPO fee paying systems was completed;

²⁴⁵ Since the Final Progress report presented at the 2017 PBC (WO/PBC/27/10)

The Contact Database project successfully deployed the cloud-based solution to the remaining user groups who were part of the initial launch and the project was successfully closed;

The DSS Transition project completed the analysis of the solutions to replace the IP_TAD and IP_ROC databases, which concluded that the existing ERP source systems and reporting tools, such as BI, could provide the development activities related data. A subsequent delivery stage was initiated and the first release of a DSS Dashboard was successfully launched in December 2017, ahead of schedule. This removed the need to manually re-enter data into the IP_TAD and IP_ROC databases and ensured that data is aligned to a single source of truth. The project was successfully closed in December 2017 and ongoing enhancements to the DSS Dashboard are now being handled as part of regular operational enhancements outside of the ERP portfolio;

The requirements analysis for the Conference Service Transition project was successfully completed and the output from this was handed over to the Conference Service Section for delivery as part of the WIPO Capital Master Plan (CMP 11) in 2018/19, outside of the ERP portfolio;

A project to introduce a document repository of ERP project documentation within the Enterprise Content Management (ECM) system was initiated addressing an external audit recommendation made in 2016.

Benefits Realization²⁴⁶

| Benefits Delivered 2017 | Expected Benefits 2018 |
|--|---|
| Reduced PeopleSoft HCM upgrade time / effort as a result of applying selective adoption. | Reduction of data entry efforts due to the integration of all HRMD systems sharing a single source of data. |
| Single source of truth for contacts with clear data ownership, providing a more efficient process for important external correspondence. | Real-time payment information provided to customers and WIPO staff and improved efficiency of payment and reconciliation business processes. |
| Time to identify contacts for events significantly reduced. | Enhanced regulatory compliance for bank payment files (new ISO XML standard). |
| Reduced calls to the HR Service Desk following the implementation of automated approval workflows for HR Self-Service transactions. | Reduced cost / maintenance efforts in PeopleSoft Finance through the introduction of standardized processes. |
| Duplicate customer records eliminated (where possible). | Reduced cost / maintenance of WIPO travel system (proof of concept). |
| Credit card reconciliation process improved. | Enhanced payment options for customers (Paypal and UnionPay). |
| Improved customer experience following the update to WIPO standard look and feel for the WIPO Current Account portal. | Improved customer experience following the update to new WIPO Global IP Platform standard for the WIPO Current Account portal |
| Improved information to customers through automated notifications (bank details, top-up notices, dunning notices, payment confirmations). | Improved customer security following compliance with the new WIPO Global IP Platform standard for the WIPO Current Account portal. |
| Enhanced efficiencies in the income section due to the establishment of a work center and automated processes. | Improved customer payment experience through the new ePay payment platform based on the Global IP Platform standard. |
| Improved efficiency of temporary staff performance management through a new electronic performance system. | Consistent and efficient performance evaluations for both staff and managers. |
| Better quality HR data and reduced manual effort in maintaining training records as a result of the replacement of the legacy standalone database with an integrated learning management system. | Enhanced staff development through easily identifiable learning opportunities and easier enrollment and participation in learning activities. |
| Increased accuracy and reduction of manual efforts as a result of updating the Development Sector databases using ERP data. | |

²⁴⁶ Please refer to previous ERP progress reports submitted to each PBC between 2011 and 2017 for benefits delivered between 2010-2016

Resource Utilization

Project Budget Utilization as at December 31, 2017 (in Swiss francs)

| Project Name | Project Budget | Expenditure to Date | Budget Utilization | Implementation Progress Rate of the Project |
|---|----------------|---------------------|--------------------|---|
| Implementation of a comprehensive integrated ERP system project | 25,341,467 | 20,876,285 | 82.4% | 91% |

Project Budget Utilization as at December 31, 2017 (by Major Functional Area) (in Swiss francs)

| Major Functional Area | Initial Project Budget | Adjusted Project Budget | Expenditure to Date | Budget Utilization | Implementation Progress Rate |
|---|------------------------|-------------------------|---------------------|--------------------|------------------------------|
| Program and Change Management | 3,830,200 | 4,626,285 | 3,980,657 | 86% | 95% |
| Human Resource Management and Development | 8,945,755 | 7,830,000 | 6,518,545 | 83.3% | 85% |
| Enterprise Performance Management | 6,017,982 | 5,996,058 | 5,996,058 | 100% | 100% |
| Customer Relationship Management | 1,955,690 | 427,495 | 424,455 | 99.3% | 100% |
| AIMS Enhancements | 4,591,840 | 4,341,980 | 3,956,570 | 91.1% | 83% |
| Accrued Contingency | - | 2,119,649 | - | - | - |
| Total | 25,341,467 | 25,341,467 | 20,876,285 | 82.4% | 91% |

Project Budget Utilization as at December 31, 2017 (by Cost Category) (in Swiss francs)

| Cost Category | Initial Project Budget | Adjusted Project Budget | Expenditure to Date | Budget Utilization |
|---------------------------------|------------------------|-------------------------|---------------------|--------------------|
| Application Hosting | 1,383,360 | 203,883 | 203,883 | 100% |
| Software Acquisition | 3,989,738 | 2,532,596 | 2,411,487 | 95.2% |
| Project Personnel | 5,564,680 | 7,192,859 | 6,787,705 | 94.4% |
| User back-filling resources | 2,703,800 | 1,869,024 | 1,421,818 | 76.1% |
| External Implementation Partner | 9,896,109 | 9,800,457 | 8,692,896 | 88.7% |
| Training ²⁴⁷ | 1,253,780 | 1,149,032 | 887,569 | 77.2% |
| Communications and other | 550,000 | 473,967 | 470,927 | 99.4% |
| Accrued Contingency | - | 2,119,649 | - | - |
| Total | 25,341,467 | 25,341,467 | 20,876,285 | 82.4% |

Risk and Mitigation Strategies

| Risk | Mitigation | Impact on Performance |
|---|---|---|
| Completion of the portfolio scope within the closure time-frame | Portfolio timeline extended to early 2018. Projects that did not meet the criteria for inclusion in the portfolio dropped. Projects split into defined stages so that a project can be prematurely closed at the end of a stage, whilst delivering some benefits, to ensure portfolio timeline is not extended again | All projects / stages expected to be completed within the closure time-frame, with the exception of the Time Management project which will continue throughout 2018, managed by HRMD. |
| Inability to extract the maximum value and sustain the benefits from the ERP solutions introduced | Embed a continuous improvement process into the Organization, through the portfolio, to ensure the maximum value is extracted during the portfolio and in the future. Perform post-implementation reviews to identify lessons and to capture future opportunities. Introduce an enhanced governance structure to ensure ongoing delivery of benefits post-portfolio | Lessons learned continually updated for consideration by future projects. Governance of the ERP evolution and post-portfolio benefit realization will continue after the portfolio closes through the continuation of the AIMS Portfolio Board. |

²⁴⁷ Some "Training" related costs were previously reported in "Communications and other".

| Risk | Mitigation | Impact on Performance |
|--|---|--|
| Loss of resources before the portfolio completes | Utilize resources from partners who will then provide support services to MAAS to ensure continuity through the end of the portfolio and beyond | Resources gradually released as projects are completed. Specific resources will be retained to ensure portfolio closure and smooth transition to operations. |

Project Timeline by Milestone

| Major Functional Area | 2010-2015 | | | 2016 | | | | 2017 | | | | 2018 | | | | 2019 |
|---|-----------|---------|---------|------|----|----|----|------|----|----|----|------|----|----|----|------|
| | 2010/11 | 2012/13 | 2014/15 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 |
| Program and Change Management | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Human Resource Management and Development | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Enterprise Performance Management | X | X | X | X | X | X | X | X | | | | | | | | |
| Customer Relationship Management | X | | | X | X | X | X | X | X | X | X | | | | | |
| AIMS Enhancements | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |

PROJECT THE MADRID SYSTEM GOODS AND SERVICES (MGS) DATABASE

Project Manager Ms. I. Vicedo

Expected Result: *II.7 Improved productivity and service quality of Madrid operations*

OBJECTIVES, SCOPE AND APPROACH – BACKGROUND

In September 2009, the Assembly of the Madrid Union approved the Madrid System Goods and Services Database Project (hereinafter referred to as the “MGS Database”)²⁴⁸, with a budget of 1.2 million Swiss francs financed from the Reserves of the Madrid Union for implementation in the 2010/11 biennium.

The MGS Database aimed at: (i) accelerating the pace of the development and deployment (internal and external) of the MGS Database (of acceptable indications of goods and services for the purposes of the Madrid System procedures), in cooperation with interested Contracting Parties; and (ii) setting the ground for, and initiating, the implementation of Phase I of the pilot project proposed in document MM/A/42/1. Phase I involved the cooperation between the IB and each interested Office in: (i) the translation of the MGS database into the relevant language; and (ii) exploring the possibility of developing an interface for the purposes of the filing of international applications in the relevant language.

The enhanced MGS database would increase productivity, consistency and quality with respect to the processing of international applications by the IB. In addition, it would provide significant benefits to trademark owners interested in filing international applications.

The deliverables expected from the implementation of the MGS Database, as defined in the project document²⁴⁹, were completed in January 2012 as follows:

- the MGS Database contained 40,000 English indications of goods and services at the end of 2011, validated by the IB, and grouped in a number of concepts associated with their respective French and Spanish translations. The indications were made accessible through a new version of the MGS Manager;
- a new version of the MGS Manager was launched on January 1, 2012, on the WIPO public web site providing a number of web services giving access to the main functionalities of the MGS Database (Extract Nice class headings, Search, Check WIPO Acceptance and Translate) to Offices of Madrid Union members interested in incorporating such web services into their own electronic filing system. These web services also enabled further development of the electronic filing application developed within the IRPI (International Registration Process Integration) pilot project, which formed part of Phase I of the MAPS Modernization project;
- the MGS Database was made available through 18 language-specific interfaces of the MGS Manager, namely Arabic, Chinese, Dutch, English, French, German, Hebrew, Italian, Japanese, Korean, Mongolian²⁵⁰, Norwegian, Portuguese, Russian, Serbian, Spanish, Turkish and Ukrainian.

The remaining project funds were used to assist national Offices, originally selected in 2009 or with which a Memorandum of Understanding was signed before 2015, in the translation of the MGS Database into their national language. As at December 31, 2017, a total amount of 76,359 Swiss francs remained available for financing the above-mentioned translations of the MGS Database.

OVERVIEW OF PROGRESS IN 2017 (KEY MILESTONES)

Early January 2017, the MGS Database was published in a version aligned with the 2017 version of the 11th edition of the Nice Classification (NCL11-2017), including the Explanatory Notes, in the 18 languages then available online. At the end of 2017, the MGS Database contained indications in English (94,000) and Spanish and French (43,000) validated by the IB.

WIPO cooperated with a number of national and regional IP Offices that share information on their acceptance of descriptions of goods and services present in the MGS Database. Between June 2016 and May 2017, six new countries

²⁴⁸ Document MM/A/42/3

²⁴⁹ Document MM/A/42/3

²⁵⁰ The translation into Mongolian was funded from the regular budget.

joined the list of MGS-participating countries, thus bringing the number of Contracting Parties of the Madrid System displaying acceptance information in MGS to a total of 33.

Acceptance information provided by MGS-participating countries was used in the WIPO-exclusive function “Check acceptance by designated Contracting Party (dCP),” which enables a trademark applicant to know, not only that a term validated by the IB will be accepted in a designated Contracting Party (dCP) but, most importantly, that some terms can be rejected by certain Contracting Parties and, thus, may result in a provisional refusal from that Contracting Party.

Finally, with a view to disseminating the MGS classification data, facilities to download the MGS Database monthly updates were provided to IP Offices of a number of countries, namely Australia, Canada, China, Italy, Mexico, New Zealand, Switzerland, the United States of America, as well as to the European Union Intellectual Property Office (EUIPO). In addition, a group of countries from Central America, i.e. Costa Rica, the Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua and Panama, also requested access to the MGS monthly updates in Spanish, to be used as the core part of their common harmonized database.

The below figures are representative of the growing public interest in the MGS Database:

- From the launch of the MGS the number of visits has steadily increased;
- The number of visits doubled in January 2012 when seven national languages were made available in addition to the three Madrid filing languages;
- In 2017, the visits were over 20,000 per day;
- The most popular function is the Search function (close to 90% of page views);
- The languages used most frequently in the Search function were in this order until 2016: English, Spanish, French and Russian. As from 2016 Spanish is the most frequently used language;
- The top users by country (in descending order) were Colombia, Russia, France, Italy, Japan, Peru, China, Algeria, India and Germany. Since 2016 Argentina and Indonesia have replaced Germany and India on this list.

Benefits Realization

| Benefits Delivered 2009-2016 | Benefits Delivered 2017 | Expected Benefits 2018 |
|---|---|---|
| The MGS Database was made available in 18 languages, with all languages updated in line with the 10 th edition of the Nice Classification. | The MGS Database was published in a version aligned with the 2017 version of the 11 th edition of the Nice Classification in the 17 languages. | MGS Database to be made available in Arabic, Dutch and Serbian. |
| The Database provides information on acceptance of goods and services in 27 Member States of the Madrid System. | The number of Member States providing information on acceptance of goods and services increased from 27 to 35 Member states. | |
| The volume of acceptable terms increased. The Database contained around 90,000 acceptable terms in English by the end of 2016. | The volume of acceptable indications increased in English to 94,000 and in Spanish and French to 43,000. | |
| Since 2016 the Database replaced the former Operational Database in the Madrid Registry. | | |

Resource Utilization

Project Budget Utilization as at December 31, 2017 (in Swiss francs)

| Project Name | Project Budget | Actual Expenditure to Date | Actual Budget Utilization | Implementation Progress Rate of the Project |
|--|----------------|----------------------------|---------------------------|---|
| Madrid System Database of Acceptable Indications of Goods and Services | 1,200,000 | 1,123,641 | 94% | 95% |

Budget Utilization as at December 31, 2017 (by Milestone) (in Swiss francs)

| Key Milestone | Project Budget | Actual Expenditure to Date | Actual Budget Utilization | Implementation Progress Rate by Milestone |
|--|------------------|----------------------------|---------------------------|---|
| Increasing the MGS Database to 40,000 indications validated by the International Bureau in English, French and Spanish. | 588,000 | 588,038 | 100% | 100% |
| Development and deployment of the MGS Manager with new functionalities and interface with MGS database (17 languages). | 380,000 | 386,100 | 102% | 100% |
| Translation of the MGS database (40,000 acceptable indications) into Arabic, Chinese, Dutch, Italian, Korean, Russian and Serbian. | 232,000 | 149,503 | 64% | 74% |
| Total | 1,200,000 | 1,123,641 | 94% | 95% |

Risk and Mitigation Strategies

| Risk | Mitigation | Impact on performance |
|---|---|---|
| The MGS Database would fail to reach the objective of the enhanced MGS if not translated comprehensively into all stated 17 languages. Such a shortcoming could lead to a secondary risk of decreased perceived value in the database and increased possibility of countries seeking alternative systems. | Risk mitigation measures were initially effective. MoUs with Contracting Parties were planned to confirm the commitment of each partner to the translation requirement. However, in the 2016/17 biennium, there was an apparent lack of prioritization from Contracting Parties for 3 of the languages. | If the full language requirements are not implemented for the remaining 3 languages, the universality of the MGS may be partially compromised and the perceived value may decrease accordingly. |

Project Timeline by Milestone

| Key Milestone | 2009-2015 | | | | 2016 | | | | 2017 | | | | 2018 | | | |
|--|-----------|---------|---------|---------|------|----|----|----|------|----|----|----|------|----|----|----|
| | 2009 | 2010/11 | 2012/13 | 2014/15 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| Increasing the MGS Database to 40,000 indications validated by the IB in English, French and Spanish. | X | X | | | | | | | | | | | | | | |
| Development and deployment of the MGS Manager with new functionalities and interface with MGS database (17 languages). | X | X | X | X | X | | | | | | | | | | | |
| Translation of the MGS Database (40,000 acceptable indications) into Arabic, Chinese, Dutch, Italian, Korean, Russian and Serbian. | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |

IV. APPENDICES

APPENDIX A Methodology

The WIPO Performance Report (WPR) is the principal accountability tool for reporting on organizational performance to Member States and an integral part of WIPO's Results Based Management (RBM) framework. The Report also serves as an important learning tool ensuring that lessons learned from past performance are duly incorporated into the future implementation of WIPO's activities. The WPR is a self-assessment by Program Managers based on the results framework approved by Member States in the Program and Budget 2016/17. To strengthen the validity of the information in the PPR, the Internal Oversight Division (IOD) carries out a validation of the performance data on a biennial basis. The validation of the WPR 2016/17 can be found in document WO/PBC/28/8.

The WPR 2016/17 is an end-biennium report and assesses progress made and/or achievement of the Expected Results²⁵¹, as measured by the Performance Indicators and with the resources approved in the Program and Budget 2016/17. A performance indicator could be measured by more than one target. In such cases, the rating for each target is provided, resulting in multiple ratings. The following assessment criteria have been used for the WPR 2016/17:

Key to Performance Indicator Evaluation (PIE) rating scale:

- Fully achieved ● is applied when achievement of the target is greater than or equal to 80 per cent;
- Partially achieved ● is applied when achievement of the target is between 50 per cent and 79 per cent;
- Not achieved ▲ is applied when achievement of the target is less than 50 per cent;
- Not assessable²⁵² ● is applied when assessment of the performance is not feasible due to a target not having been adequately defined; when a baseline is not available; or when the performance data is insufficient to determine the PIE, and;
- Discontinued ◆ is applied when a performance indicator is no longer used to measure the performance of the Program.

The performance assessments for individual Programs in the WPR 2016/17 comprise:

Section I: Program Dashboard

This section provides a comprehensive, graphical summary of the Program's programmatic performance and resource utilization in the biennium.

Section II: Key Accomplishments

This section highlights the main achievements of the Program in the biennium 2016/17.

Section III: DA Highlights


This section reports on the Program's key highlights in 2016/17 in relation to the implementation of the Development Agenda, in particular with regard to: (i) implementation of ongoing DA projects and CDIP-approved activities; (ii) mainstreaming of DA projects; and (iii) implementation of the guiding principles.

²⁵¹ As opposed to the mid-biennium report which focuses on progress made towards achieving the Expected Results

²⁵² In line with Member States' requests, Programs were provided an opportunity to define targets that had not been defined in the Program and Budget 2016/17, i.e. "tbd" targets, during the baseline update exercise, using the year-end 2015 data as the basis. Targets that were not defined during this process remain undefined, and performance data are consequently rated as "not assessable." In order to strengthen reporting in 2016/17, the Baseline and Target Update/Definition exercise was further enhanced to allow Programs to update targets in cases where the target had already been met by the end of 2015, in line with the IOD Validation Report for the PPR for 2014/15.

Section IV: Risks


As part of WIPO's commitment to strengthening its risk management, the WPR 2016/17 includes a dedicated section on Risk. An example of the risk table detailing each section is provided below.

| Risk | Risk Evolution | Effectiveness of Mitigation | Impact on performance |
|---|---|---|--|
|  Risk as published in the P&B 2016/17 | Provides the evolution of the risk, including whether it materialized or changed over the course of the biennium | Addresses whether the mitigation actions envisaged in the P&B 2016/17 or added during the course of the biennium were appropriate/successful | Addresses the impact of the risk(s) and mitigation strategy(ies) on the performance of the Program |
| Agreements at the multilateral level remain challenging and the successful conclusion of normative activities under Program 2 will depend to a large degree on Member States' commitment to reach mutually agreed outcomes. | The risk concerned multilateral agreements, which inherently carried with it uncertainty like all norm developing activities. The risk exposure increased slightly throughout the biennium, in line with a global risk to the effectiveness of multilateralism. | The Secretariat contributed to the mitigation of this risk by conducting its work in a neutral, balanced and transparent manner and through provision of timely, accurate and substantive information to Member States. | The materialization of this risk in the current reporting period resulted in Member States not reaching consensus on the convening of a diplomatic conference for the adoption of the Design Law Treaty. Progress was made, however, on country names and a workplan for geographical indications. |

Section V: Looking Forward

In line with Member States' requests, this new section addresses those targets that were partially or not achieved. It analyzes the underlying reasons and identifies the lessons learned and corrective measures that were or will be taken moving forward.

Section VI: Performance Data

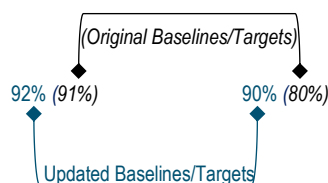
- The table in this section recapitulates the Expected Results to which the Program contributes and the Performance Indicators, which measure the Program's contributions to the Results as approved by Member States in the Program and Budget 2016/17.
-  For the first time, the table indicates Program linkages to the SDGs at the performance indicator level.
- Baselines were updated, as relevant, to reflect the status at the end of 2015. The performance data tables continue to reflect both the original baselines (as per the Program and Budget 2016/17), the updated baselines (as per the end of 2015), and targets (as per the Program and Budget 2016/17).

| Linkage to the SDGs | Performance Indicator as published in the P&B 2016/17 | Updated baselines, where relevant, reflecting the situation at the end of 2015 (<i>Original baselines as approved in the P&B 2016/17</i>) | Defined/Updated targets (<i>Original targets as defined in the P&B 2016/17</i>) | Performance data for 2016/17 in relation to each indicator ²⁵³ | Assessment of performance using the Performance Indicator Evaluation (PIE) rating scale described above |
|---------------------|--|---|---|---|--|
| | Performance Indicators | Baselines | Targets | Performance Data | PIE |
| III.2 | 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 | | | | |

²⁵³ As a general rule, where performance data are measured by percentage changes (increases or decreases), unless otherwise indicated, the percentage changes are in comparison to the previous year, i.e. the percentage change in 2015 as compared to 2016, and the percentage change in 2016 as compared to 2017.



% of participants in WIPO activities who report enhanced capacity to understand and use IP principles, systems and tools for the protection of TK and TCEs and for addressing the interface between IP and GRs.



95% (333 out of 348) participants reported positively (feedback questionnaire used in 15 activities organized by the TK Division in 2016/17)



An example of the performance data table detailing each section is provided below.

Section VII: Resource Utilization for 2016/17

The final section provides information on the 2016/17 Approved Budget, the 2016/17 Final Budget after Transfers, and actual expenditure and budget utilization in 2016/17. Explanations are provided for the differences between the Approved Budget and Final Budget after Transfers, as well as for budget utilization, taking into account both a Results view and a view by type of expenditure (personnel and non-personnel).

The reporting in this section includes two tables:

- The **Budget and Actual Expenditure (by result)**²⁵⁴ provides information indicated in the example below.

| Expected Result No. and Description | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure |
|--|-------------------------|--------------------------------------|---------------------|
| V.1 Wider and better use of WIPO IP statistical information | 2,677 | 2,423 | 2,442 |
| V.2 Wider and better use of WIPO economic analysis in policy formulation | 3,395 | 4,030 | 3,958 |
| Total | 6,072 | 6,453 | 6,399 |

- The **Budget and Actual Expenditure (personnel and non-personnel resources)** provides information indicated in the example below.

| | 2016/17 Approved Budget | 2016/17 Final Budget after Transfers | 2016/17 Expenditure | Utilization rate (%) |
|-------------------------|-------------------------|--------------------------------------|---------------------|----------------------|
| Personnel Resources | 4,997 | 5,163 | 5,126 | 99% |
| Non-personnel Resources | 1,075 | 1,290 | 1,274 | 99% |
| Total | 6,072 | 6,453 | 6,399 | 99% |

²⁵⁴ In 2014, the EPM planning system was enhanced to support the Organizational move to position level planning. The adjustments across Results in the Budget after Transfers 2016/17 in Programs reflect this new and more accurate methodology for allocation of personnel resources.

APPENDIX B Acronyms and Abbreviations used in the present document

| | |
|--------|--|
| ABC | Accessible Books Consortium |
| ACE | Advisory Committee on Enforcement |
| ADR | Alternative Dispute Resolution |
| AIMS | Administration Information Management System |
| ARDI | Access to Research for Development and Innovation |
| ASEAN | Association of South East Asian Nations |
| ASHI | After-Service Health Insurance |
| ASPI | Access to Specialized Patent Information |
| AUTM | Association of University Technology Managers |
| AWGIPC | ASEAN Working Group on Intellectual Property Cooperation |
| BOIP | Benelux Organization for Intellectual Property |
| CASE | Centralized Access to Search and Examination Results |
| ccTLDs | country code Top-Level Domain |
| CDIP | Conference on Development and Intellectual Property |
| CIS | Commonwealth of Independent States |
| CLIR | Cross Lingual Information Retrieval |
| CMG | Crisis Management Group |
| CMOs | Collective Management Organizations |
| DA | Development Agenda |
| DAS | Digital Access Service for Priority Documents |
| DNS | Domain Name System |
| ECM | Enterprise Content management |
| EDMS | Electronic Document Management System |
| EEC | Eurasian Economic Commission |
| EPM | Enterprise Performance Management |
| EPO | European Patent Office |
| ERP | Enterprise Resource Planning |
| EU | European Union |
| FAO | Food and Agricultural Organization |
| FIT | Fund-in-Trust |
| GR | Genetic Resources |
| gTLDs | generic Top-Level Domains |
| HR | Human Resources |
| HRMD | Human Resources Management Department |
| IAOC | Independent Advisory and Oversight Committee |
| IB | International Bureau |
| IOD | Internal Oversight Division |
| ICANN | Internet Corporation for Assigned Names and Numbers |
| ICE | International Cooperation on Examination |
| ICSEI | International Cooperation for the Search and Examination of Inventions |
| ICPIP | Inter-State Council on the Protection of Industrial Property |
| ICSC | International Civil Service Commission |
| ICS | Independent Contractor Services |
| ICT | Information and Communication Technology |
| IGC | Intergovernmental Committee on Intellectual Property and Genetic Resources, Traditional Knowledge and Folklore |
| IGOs | Inter-Governmental Organizations |
| IIA | Institute of Internal Auditors |
| IP | Intellectual Property |
| IPAG | Intellectual Property Agreement Guide |
| IPAS | IP Office Administration System |

| | |
|-----------|--|
| IPACIS | Assembly of the CIS Member States |
| IPC | International Patent Classification |
| IP-DMD | Intellectual Property Development Matchmaking Database |
| IPO | Intellectual Property Office |
| IPoA | Istanbul Programme for Action |
| IPRs | Intellectual Property Rights |
| IPSAS | International Public Sector Accounting Standards |
| ISA | International Searching Authority |
| IT | Information Technology |
| IP-TAD | Intellectual Property Technical Assistance Database |
| IP-ROC | Intellectual Property Roster of Consultants |
| ISO | International Organization for Standardization |
| ITIL | Information Technology Infrastructure Library |
| ITPGRFA | International Treaty on Plant Genetic Resources for Food and Agriculture |
| ITU | International Telecommunications Union |
| LDCs | Least Developed Countries |
| MTSP | Medium Term Strategic Plan |
| NGOs | Non-Governmental Organizations |
| OHIM | Office for Harmonization in the Internal Market (Community Trademarks) |
| OCR | Optical Character Recognition (OCR) |
| PCT | Patent Cooperation Treaty |
| PLR | Patent Landscape Reports |
| PLT | Patent Law Treaty |
| PMSDS | Performance Management and Staff Development System |
| PPR | Program Performance Report |
| RBM | Results-Based Management |
| R&D | Research and Development |
| RFPs | Requests for Proposals |
| RO | Receiving Office |
| SCCR | Standing Committee on Copyright and Related Rights |
| SCP | Standing Committee on the Law of Patents |
| SCT | Standing Committee on the Law of Trademarks, Industrial Designs and Geographical Indications |
| SDA | Service Delivery Agreements |
| SDG | Sustainable Development Goals |
| SMEs | Small and Medium Sized Enterprises |
| SSA | Special Service Agreements |
| SRR | Staff Regulations and Rules |
| TA | Travel Authorization |
| TAG | Transparency, Accountability and Governance |
| TCEs | Traditional Cultural Expressions/Folklore |
| TISCs | Technology Innovation Support Centers |
| TK | Traditional Knowledge |
| UDRP | Uniform Domain Name Dispute Resolution Policy |
| UN | United Nations |
| UNCTAD | United Nations Conference on Trade and Development |
| UN CEB | United Nations Chief Executives Board |
| UN-DESA | United Nations Department of Social and Economic Affairs |
| UNEP | United Nations Environmental Programme |
| UNESCO | United Nations Educational, Scientific and Cultural Organization |
| UNFCCC | Framework Convention on Climate Change |
| UN H-MOSS | UN Headquarters Minimum Operating Security Standards |
| UNICC | UN International Computing Centre |
| UNIDO | United Nations Industrial Development Organization |
| UNOSSC | United Nations Office for South-South Cooperation |

| | |
|-----------|---|
| UNSAS | United Nations System Accounting Standards |
| UPOV | International Union for the Protection of New Varieties of Plants |
| USPTO | United States Patent and Trademark Office |
| VIP | Visually Impaired Persons and other persons with print disabilities |
| WBO | WIPO Brazil Office |
| WCC | WIPO Copyright Connection |
| WCO | World Customs Organization |
| WCT | WIPO Copyright Treaty |
| WHO | World Health Organization |
| WIPO CASE | WIPO Centralized Access to Search and Examination results |
| WIPOCOS | WIPO Copyright Information System |
| WJO | WIPO Japan Office |
| WOC | WIPO Office in China |
| WPPT | WIPO Performances and Phonograms Treaty |
| WRO | WIPO Office in the Russian Federation |
| WSIS | World Summit on the Information Society |
| WSO | WIPO Singapore Office |
| WTO | World Trade Organization |

