



WO/PBC/31/5
ORIGINAL: ENGLISH
DATE: JULY 24, 2020

Program and Budget Committee

**Thirty-First Session
Geneva, September 7 to 11, 2020**

PROGRESS REPORT ON THE IMPLEMENTATION OF THE JOINT INSPECTION UNIT'S (JIU) RECOMMENDATIONS

prepared by the Secretariat

1. This document provides an overview of the status of implementation of outstanding recommendations addressed to the World Intellectual Property Organization's (WIPO) Legislative Bodies, resulting from the reviews of the Joint Inspection Unit (JIU) during the period 2010 to end of May 2020.
2. Annex I to the present document contains recommendations addressed to the Legislative Bodies of United Nations system organizations, where these recommendations are marked for action by WIPO. The current status of acceptance/implementation of recommendations reflects the Secretariat's proposals and assessments for consideration by Member States.
3. Since the last report submitted to Member States (WO/PBC/30/6) on the same subject, the JIU issued nine Reviews, of which seven were relevant to WIPO. New Reviews containing recommendations addressed to Legislative Bodies have been signaled as such, and the status updates from Reviews issued in prior years highlight the change from the previous reporting period.
4. It is highlighted that in addition to the follow up of outstanding JIU recommendations, the Secretariat continues its work to facilitate and coordinate responses to the JIU's questionnaires,

surveys and interviews in relation to ongoing and new Reviews. In line with the JIU's Program of Work (PoW), five Reviews relevant to WIPO are scheduled for launch in 2020, with five to be completed from those launched in 2019.

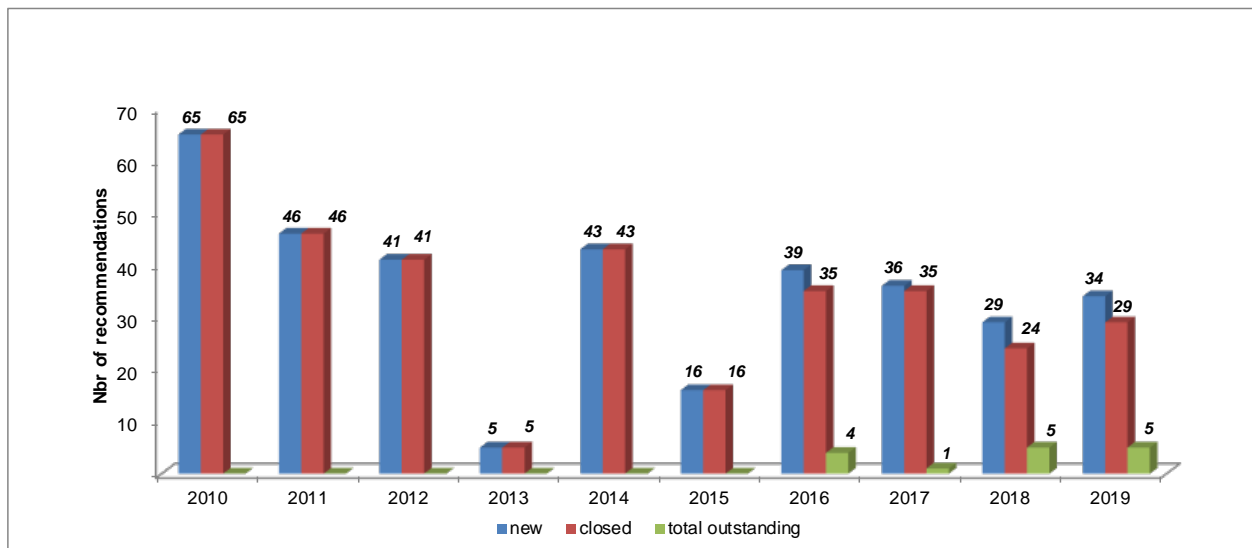
5. The following Reviews are ongoing at the time of finalizing the present document:

Table 1. JIU Reviews relevant to WIPO ongoing in 2020

Cybersecurity in the United Nations system organizations: a review of policies and practices	2020 PoW
Sustainable and environmentally friendly policies, practices and facilities across the United Nations system organizations	2020 PoW
The use of blockchain applications in the United Nations system: a critical S.W.O.T. analysis	2020 PoW
Comprehensive review of United Nations system support for the Landlocked Developing Countries (LLDC)	2020 PoW
Current state of the ethics function in the United Nations system	2020 PoW
Review of the state of the investigation function: progress made in the UN system organizations in strengthening the investigation function	Review initiated on December 5, 2018 – to be completed in 2020
Multilingualism in the United Nations system	Review initiated on June 27, 2019 – to be completed in 2020
Policies, programmes and platforms to support learning in the United Nations system	Review initiated on May 17, 2019 – to be completed in 2020
Review of the status of implementation of enterprise risk management in the United Nations system organizations	Review initiated on September 24, 2019 – to be completed in 2020
United Nations common premises: current practices and future requirements	Review initiated on May 29, 2019 – to be completed in 2020

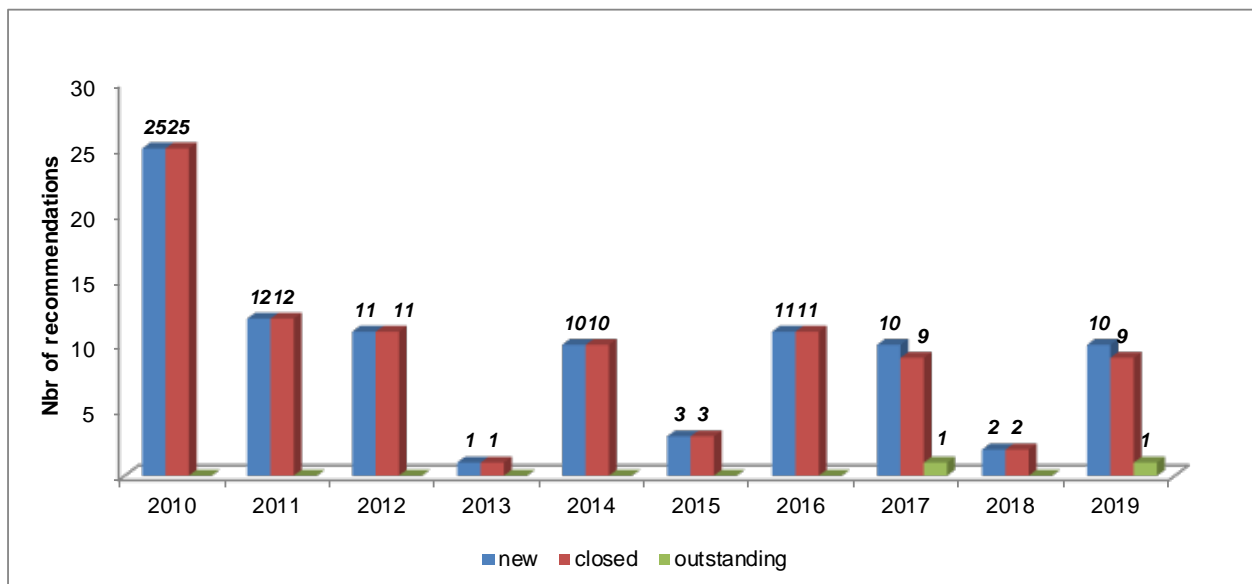
6. The JIU issued a total of 34 new recommendations relevant for WIPO under six Reviews, with ten recommendations addressed to the Legislative Bodies and the remaining 24 to the Executive Head. The oldest recommendation from previous years is from a Review issued in 2012, on the subject of the management of sick leave, addressed to the Executive Head; the recommendation has been implemented in 2019, and it is now reflected as closed in this report. All other recommendations currently outstanding and under implementation by WIPO are from Reviews issued in 2016 to 2019.

**Chart 1. All JIU Recommendations Relevant to WIPO 2010-2019
Status as at end of May 2020¹**



7. As at end of May 2020, subject to the endorsement of Member States in respect of recommendations contained in the present report, there will be two recommendations addressed to WIPO's Legislative Bodies which will remain outstanding, all other recommendations having been closed (implemented, considered not relevant to WIPO, or not accepted).

**Chart 2. JIU Recommendations Addressed to Legislative Bodies 2010-2019
Status as at end of May 2020²**

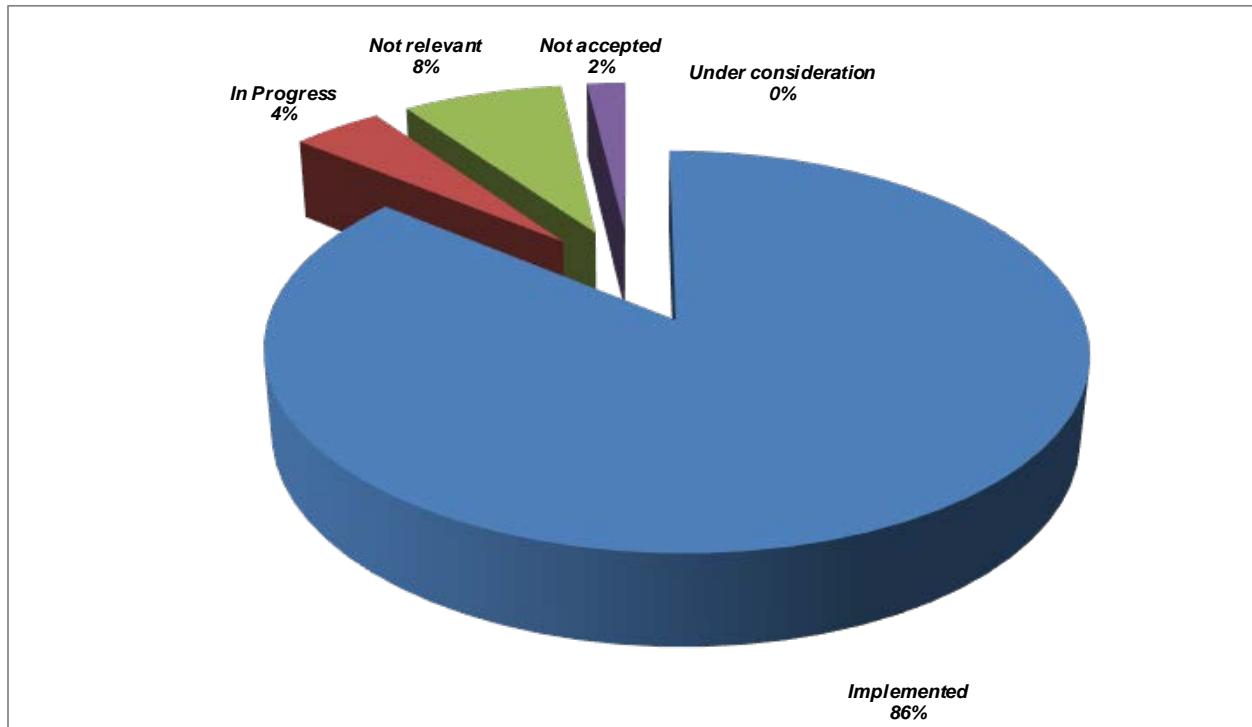


¹ New and closed recommendations are shown in the year in which the relevant Report of the JIU was issued.

² Subject to the endorsement of Member States in respect of recommendations addressed to WIPO's Legislative Bodies (LB).

8. As a result, overall 86 per cent of all the 354 JIU recommendations made since 2010, and relevant to WIPO, will have been implemented, with a further eight per cent closed (not relevant or not accepted), and four per cent accepted and in the process of being implemented.

**Chart 3. All JIU Recommendations Relevant to WIPO from Reports 2010-2019
Status as at end of May 2020**



9. The following decision paragraph is proposed.

10. *The Program and Budget Committee (PBC):*

(i) *took note of the present report (document WO/PBC/31/5);*

(ii) *welcomed and endorsed the Secretariat's assessment of the status of the implementation of recommendations under:*

- *JIU/REP/2019/9 (Recommendation 2);*
- *JIU/REP/2019/6 (Recommendations 2, 3, 5, 6 and 7);*
- *JIU/REP/2019/5 (Recommendation 2);*
- *JIU/REP/2019/4 (Recommendation 1);*
- *JIU/REP/2019/2 (Recommendation 4); as set out in the present report; and*

(iii) called on the Secretariat to propose assessments for the open recommendations made by the Joint Inspection Unit (JIU) for Member States' consideration.


[Annexes follow]

JIU RECOMMENDATIONS ADDRESSED TO THE LEGISLATIVE BODIES OF JIU PARTICIPATING ORGANIZATIONS – STATUS AS AT END OF MAY 2020

I. RECOMMENDATIONS FROM JIU REVIEWS HELD IN 2019


JIU/REP/2019/9 “Review of contemporary practices in the external outsourcing of services to commercial service providers by United Nations system organizations” [LINK](#)

This report was issued by the JIU on March 30, 2020. All recommendations are therefore new within the context of this report to Member States.


 Recommendation 2	The legislative bodies of the United Nations system organizations should request their executive heads to ensure that, by the end of 2022, annual reports on procurement include a subsection on expenditures on services sourced from commercial service providers.
Management/Focal Point Assessment	"Expenditure on services sourced from commercial service providers" is already published in our annual report and in the ASR. (Outsourcing would be a subset of the above).
Acceptance	Accepted
Implementation	Implemented
Responsible Officer	Director/Procurement and Travel Division


JIU/REP/2019/6 “Review of audit and oversight committees in the United Nations system” [LINK](#)


This report was issued by the JIU on November 5, 2019. All recommendations are therefore new within the context of this report to Member States.

 Recommendation 2	The legislative and/or governing bodies of the United Nations system organizations that have not already done so should ensure that the terms of reference or charter of the audit and oversight committees of their respective organizations are revised to reflect all the internal oversight functions that are part of the responsibilities and activities of the committee, where applicable, by the end of 2021.
Management/Focal Point Assessment	As part of its Terms of Reference (ToRs), the IAOC reviews and advises the WIPO Secretariat (Director, Internal Oversight Division) (i) on proposed internal oversight policies and manuals; (ii) in the implementation of internal oversight recommendations; and (ii) reviews periodically, in consultation with the Director, IOD, the WIPO Internal Oversight Charter and recommends amendments, if any, for consideration by the Program and Budget Committee (PBC). The last time such an exercise was carried out occurred in October 2018.
Acceptance	Accepted
Implementation	Implemented
Responsible Officer	Director, Program Planning and Finance (Controller)


JIU/REP/2019/6 “Review of audit and oversight committees in the United Nations system”
(continued)


 <p>Recommendation 3</p>	<p>The legislative and/or governing bodies of the United Nations system organizations that have not already done so should ensure that provisions regarding the internal control framework and risk management are included in the terms of reference or charter of their respective audit and oversight committees by the end of 2021 in order to ensure that due attention is paid to addressing internal control weaknesses and emerging risks.</p>
<p>Management/Focal Point Assessment</p>	<p>As part of its ToRs, the IAOC reviews and advises the WIPO Secretariat on the quality and effectiveness of Risk Management procedures, and reviews and provides advice on the adequacy and effectiveness of the Internal Control Framework.</p>
<p>Acceptance</p>	<p>Accepted</p>
<p>Implementation</p>	<p>Implemented</p>
<p>Responsible Officer</p>	<p>D/DPPF (Controller)</p>

 <p>Recommendation 4</p>	<p>The legislative and/or governing bodies of the United Nations system organizations that have not already done so should give due consideration to including the oversight of ethics and antifraud activities in the revised terms of reference or charter of their audit and oversight committees in order to strengthen the accountability frameworks of their respective organizations by the end of 2021, provided that these audit and oversight committees meet the independence criteria.</p>
<p>Management/Focal Point Assessment</p>	<p>As part of its ToRs, the IAOC reviews the implementation of the workplan of the Ethics Office and advises the WIPO Secretariat on the quality, effectiveness and efficiency of the ethics function; (ii) reviews and advises on proposed ethics policies.</p>
<p>Acceptance</p>	<p>Accepted</p>
<p>Implementation</p>	<p>In progress</p>
<p>Responsible Officer</p>	<p>D/DPPF (Controller) and Chief Ethics Officer (CEO)</p>

 <p>Recommendation 5</p>	<p>In order to meet the needs of the organizations, the legislative and/or governing bodies of the United Nations system organizations that have not already done so should consider revising and updating the terms of reference or charter of their audit and oversight committees to contain provisions related to the relevant skills and professional expertise of members, including a balanced mix of public and private sector experience at the senior level. In addition, a strong understanding of the structure and functioning of the United Nations system and/or intergovernmental and international organizations is desirable.</p>
<p>Management/Focal Point Assessment</p>	<p>Already reflected in the IAOC's ToRs. Last Selection Process carried out by the Selection Panel in 2019 (submitted to PBC 30th session, July 2019); the incumbent IAOC membership was (i) consulted to ensure that the Vacancy Announcement reflected this criteria, and (ii) assessed the redacted short list of qualified candidates being considered for the position(s) before the Rotation exercise was carried out; next revision of the ToRs due in 2021.</p>
<p>Acceptance</p>	<p>Accepted</p>
<p>Implementation</p>	<p>Implemented</p>
<p>Responsible Officer</p>	<p>D/DPPF (Controller)</p>


JIU/REP/2019/6 “Review of audit and oversight committees in the United Nations system”
(continued)

 Recommendation 6	The legislative and/or governing bodies of the United Nations system organizations that have not already done so should request their audit and oversight committees to undertake a self-assessment every year and an independent performance evaluation every three years and report to them on the results.
Management/Focal Point Assessment	The current ToRs (Oct. 2018) calls for a self-assessment exercise to be performed every two years. This was last done in December 2019.
Acceptance	Accepted
Implementation	Implemented
Responsible Officer	D/DPPF (Controller)

 Recommendation 7	The legislative and/or governing bodies of the United Nations system organizations that have not already done so should ensure that the terms of reference or charter of their audit and oversight committees are periodically revised and updated with a view to including emerging priorities of, and new challenges to, their respective organizations.
Management/Focal Point Assessment	Already reflected in the IAOC's ToRs. Last revision dates October 2018; next revision due either 2020 or 2021.
Acceptance	Accepted
Implementation	Implemented
Responsible Officer	D/DPPF (Controller)


JIU/REP/2019/5 “Managing cloud computing services in the United Nations system” [LINK](#)

This report was issued by the JIU on December 10, 2019. All recommendations are therefore new within the context of this report to Member States.

 Recommendation 2	The governing bodies of the United Nations organizations should request the heads of their respective organizations to include provisions in their financial strategies that facilitate the adaptation, responsiveness and efficient use of operational expenditures and capital investments related to new technologies.
Management/Focal Point Assessment	At WIPO, the program planning and budgeting processes are already adapted to a balanced use of capital investments and operational expenditures and there are no impediments at this level to effective use of cloud service providers. It is at the operational level that the organization's financial management processes need to become more flexible to adapt to the varying nature of cloud expenditures. With traditional service providers, an IT operational expense can be predicted relatively accurately and committed in the financial system in advance. With a cloud service provider, expenditure can depend on actual usage, which is not totally predictable and so actual expenditure may vary continuously from budgets.
Acceptance	Accepted
Implementation	Implemented
Responsible Officer	Chief Information Officer (CIO)


JIU/REP/2019/4 “Review of change management in United Nations system organizations” [LINK](#)

This report was issued by the JIU on September 3, 2019. All recommendations are therefore new within the context of this report to Member States.

 Recommendation 1	Governing/legislative bodies are encouraged to ensure that executive heads embed change management approaches and methods in their organizational reforms and report on the results.
Management/Focal Point Assessment	WIPO Director General undertook a comprehensive organization reform in the form of the Strategic Realignment Program (SRP) starting in 2008/09 and completed in 2013. The approach undertaken was comprehensive, value-driven and cross functional and results were systematically reported internally and to the Governing Bodies. Staff survey were undertaken to measure change throughout the program. The Program laid the foundation for ongoing and continuous improvement. WIPO has since undertaken and continues to undertake well structured comprehensive change projects across the Organization that are targeted at delivering value and improving services to beneficiaries and stakeholders. All projects embed change management in their approach in a manner that suits their specific contents and scope. A strong governance process ensures that change management issues and challenges are escalated and addressed in a timely manner. WIPO's experience has repeatedly proven that change management is not separate from the business and must be an integral part of the Business Managers' responsibility if it is to succeed. Human Resources Department (HRMD) are key to implementation of change and fully involved at various stages. WIPO is also standardizing its approach and quality of surveys to stakeholders.
Acceptance	Accepted
Implementation	Implemented
Responsible Officer	Assistant Director General (ADG)/Administration and Management Sector (AMS) and D/DPPF (Controller)

JIU/REP/2019/2 “Review of the United Nations system-wide action plan on gender equality and the empowerment of women” [LINK](#)

This report was issued by the JIU on June 14, 2019. All recommendations are therefore new within the context of this report to Member States.

 Recommendation 4	The legislative and governing bodies of the United Nations system organizations should review the UN-Women annual letter addressed to the executive management, accompanied by indications of strategies and measures envisioned by the executive heads to be undertaken to improve compliance with the indicators included in the System-wide Action Plan and their expected contribution to gender equality and the empowerment of women.
Management/Focal Point Assessment	UN-SWAP 2.0 performance as well as the strategies and measures to improve compliance with the indicators are reported to WIPO Member States on an annual basis via the HR Annual Report. They are also available on WIPO's intranet. WIPO's UN-SWAP performance is also discussed by WIPO's Joint Advisory Group. WIPO supports the framework as proposed by the CEB.
Acceptance	Accepted
Implementation	Implemented
Responsible Officer	D/HRMD

II. RECOMMENDATIONS FROM JIU REVIEWS HELD IN 2017


JIU/REP/2017/3 “Review of air travel policies in the United Nations system: achieving efficiency gains and cost savings and enhancing harmonization” [LINK](#)

Recommendation 2	The legislative bodies of all United Nations system organizations, if they have not already done so, should abolish first class travel for all categories of staff and non-staff by January 2019 and permit its use only when business class is not available.	
Management/Focal Point Assessment	In accordance with WIPO's policy on official travel, staff members do not travel first class. The Director General is the only high-level official entitled to travel first class in the interest of the Organization.	
Acceptance	Accepted	<i>No change from previous status</i>
Implementation	In progress	
Responsible Officer	D/PTD	

[Annex II follows]

LIST OF ACTIVE³ JIU REPORTS RELEVANT TO WIPO AS AT END OF MAY 2020

This annex serves to provide links to active JIU reports relevant to WIPO. All JIU reports, notes and management letters may be accessed/are available through the JIU's website. [LINK](#)

REFERENCE	LINK TO JIU REPORT	OUTSTANDING RECOMMEN-DATIONS (LB ⁴ and EH ⁵)	COMMENTS	OTHER DOCUMENTS
 JIU/REP/2019/9	Review of contemporary practices in the external outsourcing of services to commercial service providers by United Nations system organizations	1 EH	Not yet available	Review Highlights
 JIU/REP/2019/8	Review of staff exchange and similar inter-agency mobility measures in United Nations system organizations	1 EH	CEB Comments	Review Highlights
 JIU/REP/2019/6	Review of Audit and Oversight Committees in the United Nations System	1 LB	CEB Comments	Review Highlights
 JIU/REP/2019/5	Managing cloud computing services in the United Nations system	2 EH	CEB Comments	Review Highlights
JIU/REP/2018/6	Enhancing accessibility for persons with disabilities to conferences and meetings of the United Nations system	4 EH	CEB Comments	Review Highlights
JIU/REP/2018/4	Review of whistle-blower policies and practices in the United Nations system organizations	1 EH	CEB Comments	JIU Response to CEB Comments
JIU/REP/2017/3	Review of air travel policies in the United Nations system: achieving efficiency gains and cost savings and enhancing harmonization	1 LB	CEB Comments	Full RBM Report
JIU/REP/2016/9	Safety and security in the United Nations system	3 EH	CEB Comments	
JIU/REP/2016/4	Fraud prevention, detection and response in United Nations system organizations	1 EH	CEB Comments	

[End of Annex II and of document]

³ JIU reports containing outstanding recommendations, including all those included in the present report.

⁴ Subject to the endorsement of Member States in respect of recommendations addressed to WIPO's Legislative Bodies (LB).

⁵ The report on outstanding recommendations addressed to Executive Heads (EH) is presented to the Director General of WIPO, as well as to the Independent Advisory Oversight Committee.