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INDEPENDENT EVALUATION REPORT OF THE PROJECT ON SPECIALIZED DATABASES' ACCESS AND SUPPORT

Document prepared by the Secretariat

1. The Annex to this document contains an External Independent Evaluation Report of the Development Agenda Project on Specialized Databases' Access and Support undertaken by the WIPO's Internal Audit and Oversight Division.

2. *The CDIP is invited to take note of the information contained in the Annex to this document.*

[Annex follows]

Short Summary of the Evaluation with main Conclusions and Recommendations

1. Background

The World Intellectual Property Organization (WIPO) managed a project to establish Technology Innovation and Support Centers (TISCs) during a period of 36 months from April 2009 to April 2012 under the auspices of the Development Agenda with the aim to contribute to reducing the knowledge gap between developed and developing countries by providing innovators in developing countries with access to locally based, high quality technology information and other related services. An independent evaluation has been undertaken to assess project design and management, effectiveness and if possible sustainability. This evaluation covers the period from April 2009 and to December 2011.

2. Conclusions

Based on the findings of the evaluation, the following conclusions have been drawn:

Conclusion 1 on project design and implementation:

Project management has administered the project effectively and efficiently achieving the expected results in some cases beyond expectations. It has made use of the existing in-house frameworks and management tools. There is still room for improvement to make project frameworks and tools more useful especially for real-time management and decision-making. The existing self-evaluation tools provide only a limited assessment of effectiveness leaving out issues of efficiency, relevance, sustainability and impact.

Conclusion 2 on project effectiveness:

The TISC project has been found to make significant and appreciated contributions to the achievement of the goals agreed with the countries in which it has been implemented. According to stakeholders consulted in five countries (Dominican Republic, Kyrgyzstan, Morocco, Mozambique and Philippines) the TISC project has been recognized as useful and responding to their need.

Conclusion 3 on project costs and outputs:

A significant amount of activities were achieved and outputs were produced within the planned time frame and budget.

Conclusion 4 on sustainability:

The longer term outcomes of project activities could not be sufficiently well evaluated to allow for an assessment on how sustainable the projects are and will be in the longer term.

3. Recommendations

To CDIP: Recommendation 1 (from Conclusions 2 and 3)

There is an identified need, a high demand and an overall positive experience expressed by a majority of stakeholders consulted which justify a continuation of the project. It is therefore recommended that Phase II of the project be approved.

To WIPO Senior Managers: Recommendation 2 (from Conclusion 4)

In terms of external coordination, WIPO may wish to make more use of the shared analysis, experience and the instruments employed by UN Country Teams such as the Common Country Assessments (CCA) and the UN Development Assistance Frameworks (UNDAF).

To WIPO Global Infrastructure Sector: Recommendation 3 (from Conclusion 2)

In terms of internal coordination, WIPO Global Infrastructure Sector may further formalize with other Sectors their roles and responsibilities in the implementation of the TISC project.

To Project Managers and Development Agenda Coordination Division (DACD): Recommendation 4 (from Conclusions 1 and 4)

Based on the project document developed on the basis of a standard template and guidance for the implementation of all DA projects, it is recommended that the project management and DACD take the following actions in the detailed planning and implementation of Phase II:

- (a) Ensure that monitoring and self-evaluation templates are useful for management and decision-making purposes;
- (b) Make use of specific, measurable, achievable, relevant and time-bound (SMART) performance and outcome indicators to measure the effects of the project including at the level of beneficiaries;
- (c) Develop and implement a comprehensive project management framework (e.g. using logical framework approach) to link project outcomes, outputs, activities and resources and to include risks and assumptions; and
- (d) Plan and put into place monitoring and (self-) evaluations to track impact and longer term sustainability in the countries.

The effort of systematic monitoring and evaluation may absorb up to 1-2% of the overall project costs if done according to standards.

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A c r o n y m s

ARDI	“Access to Research for Development and Innovation” program
ASPI	“Access to Specialized Patent Information” program
CCA	Common Country Assessment
CDIP	Committee on Development and Intellectual Property
DA	Development Agenda
DACD	Development Agenda Coordination Division
DG	Director General
LDC	Least Developed Countries
IAOD	Internal Audit and Oversight Division
IP	Intellectual property
IPO	Intellectual Property Office of the Philippines (IPO)
IPR	Intellectual Property Rights
NIPC	National IP Training Center of the Dominican Republic
NPI/MST	National Program for Innovation, Ministry of Science and Technology of Mozambique
OMPI	Office Marocain de la propriété industrielle et commerciale (Moroccan Industrial and Commercial Property Office)
ONAPI	Oficina Nacional de la Propiedad Industrial (National Intellectual Property Office of the Dominican Republic)
R&D	Research and Development
RC	Resident Co-ordinator (United Nations System)
SLA	Service Level Agreement (for the national implementation of the TISC project signed by WIPO and the respective Member State)
SIPS	State Intellectual Property Service of the Kyrgyz Republic
TISC	Technology Information and Support Center
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme

INDEPENDENT EVALUATION REPORT OF THE TECHNOLOGY AND INNOVATION SUPPORT CENTERS (TISCs)

This Evaluation Report contains all main findings, conclusions and recommendations based on the evidence gathered during the evaluation process (see appendices).

1. BACKGROUND

The World Intellectual Property Organization (WIPO), principally through its Global Information Service (formerly Global IP Information Service) in cooperation with the Development Sector (formerly Technical Assistance and Capacity Building Sector), has been implementing a project to establish Technology Innovation and Support Centers (TISCs) during a period of 36 months from April 2009 to April 2012 under the auspices of the Development Agenda with the aim to contribute to reducing the knowledge gap between developed and developing countries. This independent evaluation has been undertaken to assess its design and implementation, effectiveness, efficiency and sustainability. Consultations and data gathering external to WIPO were directed to five focus countries (Dominican Republic, Kyrgyzstan, Morocco, Philippines and Mozambique); within these countries the key stakeholders consulted were the national IP offices and the UN Resident Coordinators Offices. The conclusions and recommendations of the evaluation are given here below. This evaluation covers the period from April 2009 and to December 2011.

2. KEY FINDINGS

The Evaluation of the TISCs resulted in 13 findings which are briefly discussed below under the chosen evaluation criteria:

2.1 PROJECT DESIGN AND MANAGEMENT

On project design and management, the evaluation was requested to seek responses to the following issues:

- (a) The appropriateness of the initial project document as a guide for project implementation and assessment of results achieved;
- (b) The usefulness of project monitoring, self-evaluation and reporting tools to provide the project management and key stakeholders with relevant information for decision-making purposes;
- (c) The contribution of various WIPO entities towards the effectiveness and efficiency of the project implementation;
- (d) The extent to which the risks identified in the initial project document have materialized or been mitigated;
- (e) The project's ability to respond to emerging trends, technologies and other external forces.

Appropriateness of the project document as a guide for project implementation and assessment of results achieved:

In order to undertake an assessment of the appropriateness of the initial project document as a guide for project implementation and assessment of results achieved, IAOD's Evaluation Section

used as the unit of analysis the CDIP/3/INF/2 Annex III Development Agenda Recommendation No. 8 Project Document.

The project document provided the project managers with guidance on the expected results and reporting requirements for the period of implementation.

Looking at available data, it was found that the project document has been used as guidance for implementation and reporting. Evidence for this has been found on the progress reports (CDIP/6/2 and CDIP/8/2); the project has developed its main activities in a phased manner based on the agreed strategies defined as part of the project document as follows:

- (a) A Study Paper with reference CDIP/3/INF/2/STUDY/III/INF/1 was prepared and provided to the CDIP in November 2010. The paper focused on: a needs analysis¹; a review of specialized patent databases; a review of specialized non-patent literature (NPL) databases; a comparative analysis between the added value of commercial databases with respect to free-of-charge databases; and further possible issues and recommendations;
- (b) Access to Research for Development and Innovation (ARDI) was established as a new WIPO Internet service, facilitating access to scientific and technical journals;
- (c) Access to Specialized Patent Information (ASPI) program was established as follow-up to recommendations of the Study Paper, providing access to specialized databases and services;
- (d) Service Level Agreements (SLAs) were signed with 29 designated governmental agencies (often but not exclusively by the national Intellectual Property Office-IPO) on behalf of the respective Member State to establish the Technology and Innovation Support Centers (TISCs); and
- (e) Twenty initial and six second national training seminars were held. All these have been organized in close cooperation with designated focal points and any newly established TISCs.

The evaluation also looked at the appropriateness of the project document and found that the project document has been used as a generic guidance. Based on this project document a more detailed project management framework such as a logical framework approach could help to link project outcomes, outputs, activities and resources.

Finding 1:

The project document is the primary guide used for project implementation, assessment and delivery of results and has shown its usefulness. The use of comprehensive project management tools would add value when used for implementation and reporting purposes.

Usefulness of project monitoring, self-evaluation and reporting tools to provide the project management and key stakeholders with relevant information for decision-making purposes.

The project document was used for formulating project objectives, results and indicators. Overall the project document required the project manager to deliver a mid-term report to indicate whether the project is on track to achieve its specific objectives. Self-Evaluation Reports with a

¹ As stated in the CDIP document CDIP/3/INF/2/Study/III/INF/1 on Page 45 or the study paper: "*the countries' needs are assessed on the basis of statistics representing national patenting activity (patenting propensity)...*", in particular those indicating the fields of technology in which developing countries have most patenting activity, as well as the questionnaire sent with Circular C.N 3024 to Member States' intellectual property offices for a self-assessment of their needs."

view to validating whether the project objectives have been achieved, as well as to suggest future actions so as to provide for the sustainability of the projects have been produced: three monitoring reports were provided to the CDIP (document references CDIP/4/2, CDIP/6/2 and CDIP/8/2).

In order to gather further evidence on progress against the agreed indicators, the project management also designed and circulated a survey that was aimed at providing data regarding achievement of the project objectives. This survey was complemented with information gathered from statistics from the PATENTSCOPE search service on the frequency of use of databases and by mission reports. It is important to note that while reporting on the output level was a straightforward exercise, more time was required to gather monitoring data at the project outcome level.

This evaluation looked at the existing development agenda templates for monitoring and self-evaluation and found that while the project management is making use of the provided templates for monitoring and self-evaluation, the template presents some limitations especially in regards to self-evaluation. The current template for self-evaluation does only require information on achievement of results and does not provide space for self-assessing projects according to international evaluation criteria².

Finding 2:

The project monitoring, self-evaluation and reporting tools were to some extent useful to provide the project management and key stakeholders with the required information for decision making purposes. However some limitations have been identified specifically in the template used for self-evaluations which does not provide space for self-assessing the project according to international evaluation criteria.

Contribution of other WIPO sectors and entities towards the success of the TISCs:

As foreseen in the project document, the Development Sector (formerly the Technical Assistance and Capacity Building Sector) was regularly and systematically kept informed about developments in the project and involved in project implementation.

As indicated by project management, the WIPO Academy and Technology and Innovation Sector contributed to specific training activities, while the Outreach Section provided support in the provision of publications. A review of project documents does not indicate specific roles and responsibilities that other sectors have in the implementation of TISCs.

Finding 3:

Some WIPO Programs have been involved in the project implementation. The project document has not formally defined the role other Programs within WIPO are supposed to play to contribute towards an effective and efficient project implementation.

Management of Risks:

In order to assess the level of risk management, the evaluation made use of the risks identified in the project document³ as well as the progress reports (CDIP/6/2 and CDIP/8/2). Overall, the project management appears to have responded to risks identified in the project document. To address risks related to insufficient capacity on the part of TISC staff to provide all services and those related to staff trained through project activities not being allocated to positions in TISCs (internal relocation, staff turnover), a structured training program including distance learning

² Development Cooperation Directorate (DCD-DAC) Evaluation Criteria: Effectiveness, Efficiency, Impact, Relevance and Sustainability

³ CDIP/3/INF/2 ANNEX II Development Agenda Recommendation No. 8 Project Document

courses was established for all TISC staff. As appropriate, training on specialized databases was provided in cooperation with the providers of these databases.

Finding 4:

Project monitoring reports provide evidence that the project has responded with mitigation strategies to manage identified risks.

Project's ability to respond to emerging trends, technologies and other external forces:

Due to time limitations during the evaluation, the above task could not be performed and the data available on the above mentioned issues was not sufficient to generate conclusions on responsiveness to emerging trends, technologies and other external forces. In addition, the situation facing TISCs would have to be monitored over a greater period of time in order to conclusively determine their ability to respond to these trends, technologies and forces.

2.2. PROJECT EFFECTIVENESS

Effectiveness of the project in achieving its main objectives:

Several activities have been carried out aimed at increasing the capacity of the participating countries: 46 assessment missions have been carried out and documented. They were combined with training and awareness raising activities; Service Level Agreements have been signed with 29 Member States represented by designated governmental agencies (often but not exclusively by the national IPO), and TISCs were established at about 120 host institutions in 20 countries as of the end of 2011 (i.e. 32 months after the project start); 20 initial national training seminars have been held, six second round national training seminars have been held

Approximately 1,500 participants benefited from the TISCs training. In order to measure the effectiveness of the training provided, the project management assessed the quality of the training and the participants' satisfaction through questionnaires during the implementation of the project. In general, participants expressed a high level of satisfaction with the training provided to them. More data will still need to be gathered and analysed in order to measure the long-term effect of the project.

The initial target was the "official opening of TISCs' services in at least 24 interested countries and institutions that meet minimum conditions as specified in the SLA – 36 months after project start" (see document CDIP/3/INF/2).

Overall the data analyzed give an indication of progress towards the objectives and achievements with respect to specific indicators from the project document as summarized in the table below:

<u>Project Objective(s)</u>	<u>Indicators of Success in Achieving Project Objective(s)</u> (Outcome Indicators)	<u>Performance Data</u>
<p>1. Increased accessibility of technological knowledge for developing countries.</p>	<p>Regular survey of IPOs and TISCs detailing specific databases used and frequency of use; and</p> <p>Number of visits/calls/web-site hits increases at a national level (comparison with statistics prior to implementation).</p>	<p>A survey was circulated online to all Technology and Innovation Support Centers established within the framework of the Development Agenda project on Specialized Databases Access and Support. The survey was coordinated through the focal points of national TISC networks in all participating countries and was open from mid-November until the end of December 2011. It covered activities carried out under the aforementioned Development Agenda project from 2010 to 2011.</p> <p>During the survey period, 102 completed questionnaires from 20 countries were received and used in compiling this report.</p>
<p>1. Increased IPO / TISC capacity to carry out effective patent searches.</p>	<p>Regular survey monitoring use by IPO examiners / TISC staff of specific databases used and frequency of use;</p>	<p>Overall the survey results⁴ provided an indication that there is a positive tendency towards the achievement of the objectives. For more information the survey can be found under the following link:</p> <p>www.wipo.int/tisc/resources</p>
<p>2. Increased capacity by IPOs / TISCs to disseminate technological knowledge.</p>	<p>Broader use of various databases by IPOs and TISCs monitored by regular surveys distributed to TISCs and users regarding specific databases and frequency of their use;</p> <p>An increase in the number of IPO/TISC website hits, visits and calls; and</p> <p>An increase in the number of ARDI and ASPI website hits.</p>	<p>Statistics were gathered on the number of hits on the TISC, ARDI, and ASPI websites and the PATENTSCOPE search service. Overall, there was a significant increase in the number of unique pageviews on the TISC website (~290%) and ARDI website (~25%) as well as in the number of unique pageviews and search hits on the PATENTSCOPE website from 2010 to 2011.</p> <p>The number of institutions registered to ARDI was 101 (47 active) as of December 2011.</p> <p>The number of institutions registered to ASPI was 15 (10 active) as of December 2011.</p> <p>According to the World Intellectual Property Indicators 2011, the number of patent</p>

⁴ More than 90% of responding institutions had received at least one training on intellectual property rights in general and on patent information and over 90% of responding institutions indicated that their capacities in intellectual property rights and patent search had been improved (with over 65% and 50% indicating that their capacities in intellectual property rights and patent search had been strongly improved).

<u>Project Objective(s)</u>	<u>Indicators of Success in Achieving Project Objective(s)</u> (Outcome Indicators)	<u>Performance Data</u>
3. Increase in awareness of Intellectual Property Rights (IPRs).	Increase in the number of website hits/visits/calls to the IPO or TISC increases; and Increase in the number of filed IPRs.	applications filed at IPOs in three Member States that had a first on-site training prior to July 2010, namely Ecuador, Madagascar, and Morocco, grew by approximately 3%, -2%, and 4%, respectively between 2009 and 2010

Finding 5:

Based on the evidence provided by the project through various monitoring reports and survey results, there are positive indications of progress towards the achievement of the project outputs. The information used to measure the effectiveness of the project does focus mainly on short-term effects, taking into account the fact that the progress of the project will have to be monitored over a greater period of time to determine to which extent expected longer-term effects have been achieved.

The use of the needs analysis for the selection of beneficiary countries for establishment of the TISCs:

In order to assess the use of the needs analysis, the evaluation draws upon existing official documentation which included the Study Paper on Recommendation 8 with reference CDIP/3/INF/2/Study/III/INF/1.

As indicated in the above mentioned documentation, WIPO sent Circular C.N 3024 to the intellectual property offices (IPOs) of its Member States comprising a patent information needs analysis questionnaire. The results of the questionnaire, which were returned by 72 IPOs, contributed to establishing a picture of the state of patenting activity and the needs of developing countries and least developed countries (LDCs) to enhance their level of innovation and development.

Project management indicated that the analyses were used as the basis for designing project activities for the establishment of TISCs. Feedback from the responsible officials in the sample of five countries contacted did not suggest that a great deal of weight was always attached to these analyses.

The 46 assessment missions in the countries aimed at identifying relevant stakeholders, institutional priorities, and training and resource needs and at examining organizational issues and distribution of roles related to the establishment and development of TISCs. Since needs are not static and countries have different needs depending on various factors, it may be helpful to revisit these needs assessments and see how relevant they are in the light of experience.

Participation in the project was entirely on demand from Member States, considering the availability of human and financial assistance made available during the period of the project implementation. Eligibility for participation in the ARDI and ASPI programs was based on existing eligibility criteria applied by the Research4Life⁵ partnership, which provided the foundation on the basis of which the two programs could be launched.

Finding 6:

The project management has made use of specific assessment mission results as well as the initial (more general) needs analysis as the basis for designing project activities.

Effectiveness of training provided by TISCs:

In order to measure the effectiveness of the training provided, the project management assessed the quality of the training and the participants' satisfaction through questionnaires during the implementation of the project. More data will still need to be gathered and analysed in order to measure the long-term effects of the project.

Targeted staff were provided the requisite training via on-site seminars and distance learning courses and success in that training is evidenced by examinations on exit and not by a scrutiny over a long period of time of actual behavioural change both by individuals and the organizations to which they belong.

Finding 7

Short term effects of the training were measured through participants' surveys. However the outcome and impact data which is required to assess the long-term effects of the project has not been gathered by the time of the evaluation.

Effectiveness of technical and innovation support services (ARDI, ASPI)

The training provided by WIPO within the framework of the project has been considered by consulted stakeholders to be relevant and necessary for increasing the capacity of IPOs/TISCs to carry out effective patent searches and disseminate technological knowledge.

However, more monitoring data at the outcome and impact level need to be gathered in order to assess the long-term effects of the technical and innovation support and services provided by the project.

Finding 8:

The effectiveness of support provided by the project for the establishment of the TISCs (including through ARDI and ASPI⁶) was appreciated by stakeholders and proved to be a major asset of the project, contributing to an increased accessibility of technological knowledge in developing countries including LDCs.

⁵ Research4Life provides developing countries with free or low cost access to academic and professional peer-reviewed content online: <http://www.research4life.org/>

⁶ WIPO's "Access to Research for Development and Innovation" (ARDI) program was launched in July 2009, providing access to scientific and technical journals for LDCs for free and for certain developing countries in agreement with publishers at a very low cost. WIPO's "Access to Specialized Patent Information" (ASPI) program was launched in September 2010, providing access to commercial patent databases to LDCs for free and to certain developing countries at a sharply reduced cost (following the model of ARDI).

Usefulness of awareness raising events

There has been a major effort to raise awareness in all countries in which the TISC project has provided training. Information provided in the project progress reports indicates that there is an increased demand for TISCs services; this increased demand can be partly attributed to the awareness raising activities. This finding is supported by the survey⁷ undertaken by the project itself, which documents an increase in the number of enquiries per day received by institutions for TISC services after joining the TISC program⁸. In the same line, the project received positive feedback from 13 Member States in the Committee on Development and Intellectual Property, as indicated in documents CDIP/6/13 and CDIP/8/9. This feedback is reinforced by the survey sent to 33 countries as part of this evaluation: In two out of 33 of the analyzed countries, project activities in regards to awareness-raising were rated very highly.

On the level of the organization, this evaluation found that two UN Resident Coordinator Offices out of the five consulted would welcome WIPO playing a more active role at the country level and encouraged participation of WIPO as a non-resident specialized agency to take part in the development of Common Country Assessments (CCA) and UN Development Assistance Framework (UNDAF).

Finding 9:

Available project information and the results of the evaluation provided an indication of the usefulness of the broader awareness raising events organized within the framework of the project for a wider range of stakeholders (including IP offices, inventors, researchers, SMEs, industry, government officials among others).

The use of the TISCs services and the extent to which the services meet stakeholders' needs

According to a survey undertaken by the project management for which the results were available in December 2011, the users of the TISCs services were principally: researchers, inventors, SMEs, industry, government officials, IP professionals, and other. The results presented here are based on a survey undertaken by the evaluation (see details in appendix 5), which suggest that there has been a positive reception of the services⁹.

Finding 10:

There has been a positive reception on the level of use of the TISCs services (including access to specialized databases) in the countries where TISCs have been established. The consultations in the sample countries support that inference.

⁷ Technology and Innovation Support Centers (TISC) Progress and needs assessment questionnaire, December 2011 – Survey Summary Report www.wipo.int/tisc/resources.

⁸ Results of the survey were as follows: Before joining the project, 87 institutions received 0-5 enquiries per day, 7 institutions received between 6-10 enquiries per day and 4 institutions received more than 10 enquiries per day. After joining the project, 63 institutions received 0-5 enquiries per day, 16 institutions received 6-10 enquiries per day and 9 institutions received more than 10 enquiries per day.

⁹ Q: Has the project helped you to increase the availability of technical knowledge in your institution?
R: Yes 22 (58% / 92%) ; No 2 (5% / 8%); Not answered 14 (37% / -)
Q: Has the project helped you to increase the capacity of your institution to carry out effective patent searches?
R: Yes 13 (34% / 87%); No 2 (5% / 13%) Not answered: 23 (61% / -)
Q: Has the project helped you to increase the awareness of the benefits of patent information in your institution?
R: Yes 13 (34% / 93%) No 1 (3% / 7%) Not answered: 24 (63% / -)
Note: The percentages are calculated based on the total number of respondents including (first percentage figure) and excluding (second percentage figure) respondents that did not answer the given question (i.e. "not answered").

Effectiveness of national TISC networks:

There has been careful and systematic follow up of the training by way of end of session questionnaires and subsequent surveys to assess effectiveness. Outcome level assessments may need to be put into place to further assess their effects.

This is according to one of the earlier comment that the 46 needs assessments may need further examination and/or updating to see if and how needs are evolving and whether and how WIPO could respond to that evolution particularly in strengthening national capacity to manage IP matters.

Finding 11:

There is ample evidence from the survey undertaken as part of this evaluation and from earlier evidence that significant amounts of training and awareness raising on IP issues has taken place and has been well-received by many participants.

2.3. PROJECT COSTS AND OUTPUTS

The DA project on Specialized Databases' Access and Support (see document CDIP/3/INF/2, Annex III) was allocated a total budget of CHF 1.874 million, including personnel and non-personnel funds. Approximately 95 percent of this budget was expended.

The initial target was the "official opening of TISCs' services in at least 24 interested countries and institutions that meet minimum conditions as specified in the SLA – 36 months after project start" (see document CDIP/3/INF/2).

Finding 12:

The project largely met expectations with respect to the number of national TISC networks established as of December 2011 (20 out of 24 foreseen in the project document), though SLAs were signed with a greater number of Member States (29). Nevertheless, significant amount of outputs were produced within the planned time frame and budget (see also the section on project effectiveness).

2.4. PROJECT SUSTAINABILITY

Project sustainability is the ability of whatever effects the project has helped to create or to strengthen to continue and to evolve, after the operational support from WIPO winds down. This evaluation was requested to analyse the likelihood for continued functioning of the TISCs after the completion of the project, including commitment and engagement by key national stakeholders (such as, for example, national IP offices, universities or chambers of commerce) and transfer of responsibilities and knowledge from the project to project stakeholders.

Finding 13:

To make the capacity which the TISC project seeks to promote sustainable and dynamic it should be part of, and respond to, national policies and strategies for scientific and technical progress. The above mentioned national IP stakeholder groups should be

prepared to take over by the time the projects are scaled down. The evaluation has not been able to assess this with sufficient reliability.

3. KEY CONCLUSIONS AND RECOMMENDATIONS

3.1 CONCLUSIONS

Conclusion 1: From findings 1- 4 on project design and implementation, it becomes evident that major efforts have been made from the side of the project management to administer the project effectively and efficiently in order to achieve the agreed results in some cases beyond expectations. The project management has made use of the existing in-house frameworks and management tools and gathered monitoring data to provide key stakeholders with progress reports. There is still room for improvement to make project documents, frameworks and tools more useful especially for real-time management and decision-making purposes. The existing monitoring and reporting tools appear to have been designed to assess the output level rather than outcome and impact level and are still too basic to be seen as a useful management tool. The existing self-evaluation tools provide only a limited assessment of effectiveness leaving out issues of efficiency, relevance, sustainability and impact.

Conclusion 2: Findings 5-11 on effectiveness suggest that there has been good effectiveness of the TISC project which has been found to make significant and appreciated contributions to the achievement of the goals agreed with the countries in which it has been implemented. According to stakeholders consulted in five countries (Dominican Republic, Kyrgyzstan, Morocco, Mozambique and Philippines) the TISC project has been recognized as useful and responding to their need.

Conclusion 3: Finding 12 on project cost and outputs shows that a significant amount of activities have been achieved with the allocated budget and within the time frame as evidenced by progress reports and monitoring data.

Conclusion 4: Finding 13 on sustainability shows that the longer term outcomes of supporting activities, the strengthening of national IP offices and the liaising with other external stakeholders and with relevant UN organizations could not be sufficiently well evaluated to allow for an assessment on how sustainable the projects are and will be in the longer term.

3.2 RECOMMENDATIONS

To CDIP: Recommendation 1 (from Conclusions 2 and 3)

There is an identified need, a high demand and an overall positive experience expressed by a majority of stakeholders consulted which justify a continuation of the project. This continuation will be able to explore and build-up on the experiences of a promising start, which this evaluation is documenting. It is therefore recommended that Phase II of the project be approved.

To WIPO Senior Managers: Recommendation 2 (from Conclusion 4)

In terms of external coordination, WIPO may wish to make more use of the shared analysis, experience and the instruments employed by UN Country Teams such as the Common Country Assessments and the UN Development Assistance Frameworks.

To WIPO Global Infrastructure Sector: Recommendation 3 (from Conclusion 2)

In terms of internal coordination, WIPO Global Infrastructure Sector may further formalize with other Sectors their roles and responsibilities in the implementation of the TISC project.

To Project Managers and Development Agenda Coordination Division: Recommendation 4 (from Conclusions 1 and 4)

Based on the project document developed on the basis of a standard template and guidance for the implementation of all DA projects, it is recommended that the project management and DACD take the following actions in the detailed planning and implementation of Phase II:

- (a) Ensure that monitoring and self-evaluation templates are useful for management and decision-making purposes;
- (b) Make use of SMART performance and outcome indicators to measure the effects of the project including at the level of beneficiaries;
- (c) Develop and implement a comprehensive project management framework (e.g. using logical framework approach) to link project outcomes, outputs, activities and resources and to include risks and assumptions; and
- (d) Plan and put into place monitoring and (self-) evaluations to track impact and longer term sustainability in the countries.

The effort of systematic monitoring and evaluation may absorb up to 1-2% of the overall project costs if done according to standards.

[Appendices follow]

APPENDICES

APPENDIX 1: EVALUATION TOPICS AND QUESTIONS

A Project Design and Management

The appropriateness of the initial project document as a guide for project implementation and assessment of results achieved;

The project monitoring, self-evaluation and reporting tools and analyze whether they were useful and adequate to provide the project team and key stakeholders with relevant information for decision-making purposes;

The extent to which other entities within the Secretariat has contributed and enabled an effective and efficient project implementation;

The extent to which the risks identified in the initial project document have materialized or been mitigated;

The project's ability to respond to emerging trends, technologies and other external forces;

B Project Effectiveness

The effectiveness of the project in achieving its main objectives, namely:

Increase availability of technological knowledge in developing countries, especially LDCs;

Increase the capacity of IP Offices, including regional and sub-regional organizations to carry out more effective patent searches by identifying known prior art and limiting the scope of granted patents where necessary;

Increase the capacity of IPOs to effectively disseminate this knowledge nationally/regionally and internationally; and

Increase awareness on benefits of intellectual property rights, patent information in particular.

The use by the project of the needs analysis for the selection of beneficiary countries for establishment of TISCs;

The effectiveness of training provided by the project for the management of TISCs;

The effectiveness of technical and innovation support and services (aRD, ASPI) provided by the project for the establishment of the TISCs;

The usefulness of the broader awareness raising events organized for a wider range of stakeholders (including IP Offices);

The use of the TISCs services (including access to specialized databases) in the countries where TISCs have been established and the extent to which the services meet stakeholders' needs;

The effectiveness of national TISC networks, in countries where more than one TISC has been established, their participation in the network and the nature / extent of exchange of information.

C Project Costs and outputs

Were the objectives achieved according to the budget and at the least cost?

D The Project Synergy

To what extent did other entities within the Secretariat, in host countries as well as UN Agencies contribute and enable an effective and efficient project implementation?

E Project Sustainability

The likelihood for continued functioning of the TISCs after the completion of the project, including commitment and engagement by key national stakeholders (such as, for example, national IP offices, universities or chambers of commerce) and transfer of responsibilities and knowledge from the project to project stakeholders; stakeholders?

[Appendix 2 follows]

APPENDIX 2: BIBLIOGRAPHY

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21. Terms of Reference, Project Evaluation TISCs 2009-2011, WIPO IAOD, Evaluation Section, Geneva
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23. Technology and Innovation Support Centers (TISCs) Development 2009 – 2012, WIPO, Geneva

[Appendix 3 follows]

APPENDIX 3: LIST OF WIPO STAFF INTERVIEWED

NAME	TITLE	DEPARTMENT
Mr. Thierry Rajaobelina	Director	Internal Audit and Oversight Division
Mr. Claude Hilfiker	Head	Evaluation Section, Internal Audit and Oversight Division
Mrs Julia Engelhardt	Senior Evaluator	Evaluation Section, Internal Audit and Oversight Division
Mr. Tom Peter Migun Ogada	Consultant	Internal Audit and Oversight Division
Mr. Alejandro Roca Campaña	Senior Director-Advisor	Global Infrastructure Sector
Mr. Andrew Czajkowski	Head	Innovation and Technology Support Section, Global Infrastructure Sector
Mr. Alex Riechel	Consultant	Innovation and Technology Support Section, Global Infrastructure Sector
Mr Irfan Baloch	Director	Development Agenda Coordination Division, Development Sector
Mr. George Ghandour	Senior Program Officer	Development Agenda Coordination Division, Development Sector
Mr. Yoshiyuki Takagi	Assistant Director General	Global Infrastructure Sector
Mr. Geoffrey Onyeama	Deputy Director General	Development Sector
Mrs. Daboussi	Acting Director	Regional Bureau for Arab Countries, Development Sector
Mr. Mazal Casella	Director	Regional Bureau for Latin America and the Caribbean, Development Sector
Mr Hermann Ntchatcho	Director	Regional Bureau For Africa, Development Sector
Mr. Kiflé Shenkoru	Director	Division for Least-Developed Countries, Development Sector
Mr. Ali Jazairy	Head	Innovation and Technology Transfer Section, Innovation and Technology Sector
Mrs. Biserka Strel	Head	Section for Central European and Baltic States and Mediterranean Countries, Global Issues Sector
Mr. Lutz Mailänder	Head	Patent Information Section, Global Infrastructure Sector
Mr. Di Pietro Peralta	Director	WIPO Academy, Development Sector
Ms. Tedla Altayework	Head	WIPO Academy, Distance Learning Program, Development Sector
Ms. Kristen Livshin	SLC	Program Management and Performance Section (PMPS), Administration and Management Sector

[Appendix 4 follows]

APPENDIX 4: LIST OF PEOPLE INTERVIEWED OUTSIDE WIPO

Country	NAME	TITLE
UN HEADQUARTERS	Ms. Debbie Landey	Director, UNDOCO, New York
DOMINICAN REPUBLIC	Ms. Ayalivis Garcia Medano	Director, Oficina Nacional de la Propiedad Intelectual (ONAPI)
DOMINICAN REPUBLIC	Mr. Carlos Fernandez	Country UN Resident Coordinator and UNDP Resident Representative's Office (RC Ms. Valerie Julliard), Santo Domingo
KYRGYZSTAN	Ms. Zarina Omorova	State Intellectual Property Service (Former Staff)
KYRGYZSTAN	Ms. Elsa Sagynabeva	TISC focal point State Intellectual Property Service
KYRGYZSTAN	Mr. Alexander Avanesov	Country Resident Coordinator
KYRGYZSTAN	Mr. Leonid Komarover,	Policy Specialist UNDP office,
MOROCCO	Mr. Nour-Eddine Boukharouaa	Secrétariat du Réseau TISC Office marocain de la propriété industrielle et commerciale (OMPIC)
MOROCCO	Mr. Bruno Pouezat	Country UN Resident Coordinator
MOZAMBIQUE	Mr. Benjamim Enosse Langa	Coordinator, National Program for Innovation Ministry of Science and Technology
MOZAMBIQUE	Mr. Hans Risser,	Office of the UN RC Maputo
MOZAMBIQUE	Ms. Jennifer Topping	Finnish transfer of technology project in the Ministry of Science and Technology.
MOZAMBIQUE	Ms. Tracy Wyman	Finnish transfer of technology project in the Ministry of Science and Technology.
PHILIPPINES	Mr. Andrew Michael S. Ong	Deputy Director General, Intellectual Property Office of the Philippines (IPO)
PHILIPPINES	Ms. Eden Grace Lumilan,	Office of the UN Resident Coordinator and UNDP Resident Representative's Office (RC Ms. Jacqueline Badcock), Manila

[Appendix 5 follows]

APPENDIX 5: SURVEY QUESTIONS AND RESULTS

Note: this is an excerpt of the survey report made by the evaluation. It contains all the questions, but only the answers given to the specific “yes/no” questions. The narrative replies and comments have been removed to comply with the evaluation standard of non-disclosure of information that may be attributed to persons.

Report info

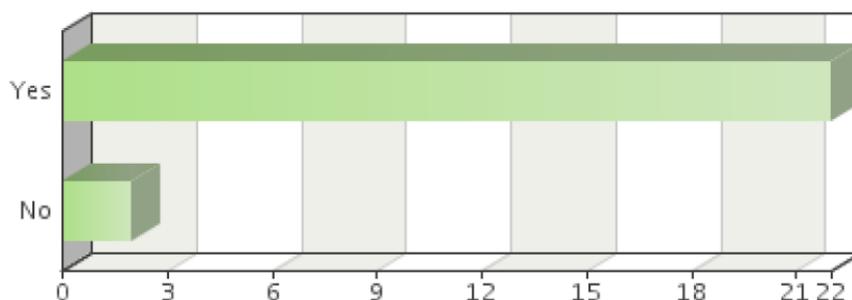
Report date:	Friday, March 2, 2012 10:03:16 AM CET
Stored responses:	38
Number of completed responses:	15

Question 1

How was your institution involved in the design of the TISC project in your country?

Question 2

Has the project helped you to increase the availability of technical knowledge in your institution and among the people it serves?

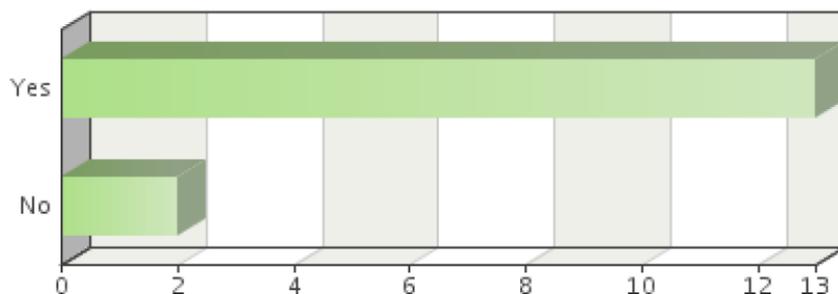


Frequency table

Choices	Absolute Frequency	Relative frequency	Adjusted relative frequency
Yes	22	57.89%	91.67%
No	2	5.26%	8.33%
Not answered:	14	36.84%	-
Sum:	38	100.00%	100.00%

Question 3

Has the project helped you to increase the capacity of your institution to carry out effective patent searches?



Frequency table

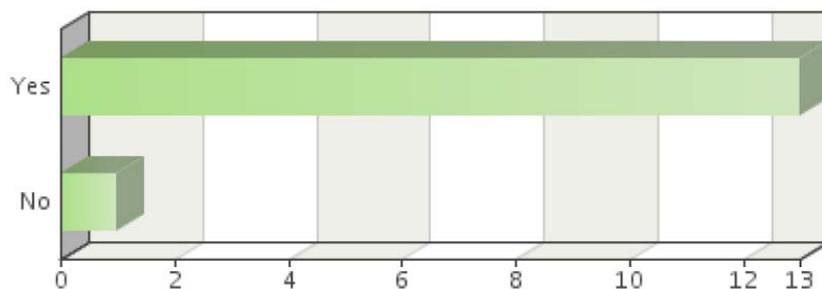
Choices	Absolute Frequency	Relative frequency	Adjusted relative frequency
Yes	13	34.21%	86.67%
No	2	5.26%	13.33%
Not answered:	23	60.53%	-
Sum:	38	100.00%	100.00%

Question 4

How is the capacity of your institution to carry out effective patent searches expected to develop over the next five years?

Question 5

Has the project helped you to increase the awareness of the benefits of patent information in your institution and among the people it serves?



Frequency table

Choices	Absolute Frequency	Relative frequency	Adjusted relative frequency
Yes	13	34.21%	92.86%
No	1	2.63%	7.14%
Not answered:	24	63.16%	-
Sum:	38	100.00%	100.00%

Question 6

How can WIPO best help ensure the continuity of services established under the TISC project?

Question 7

Are there any lessons to be learned by WIPO from your interaction with the TISCs project?

[End of Appendix 5 and of document]