WIPO

2010-2015 EVALUATION STRATEGY

IAOD

"The damage does not come from findings from evaluations but from people trying to hide it."
(Michael Quinn Patton, organizational development and evaluation consultant and former President of the American Evaluation Association (AEA))

World Intellectual Property Organization
Internal Memorandum

Organisation Mondiale de la Propriété Intellectuelle
Mémorandum Interne

INTERNAL AUDIT AND OVERSIGHT DIVISION

EVALUATION SECTION

2010-2015 EVALUATION STRATEGY

This 2010 – 2015 Evaluation Strategy is the first prepared by the new Evaluation Section. Consultation with key stakeholders on evaluation priorities within the organization has been undertaken in 2008-2009, and is reflected in this plan.

December 17, 2009

WIPO 2010 – 2015 Evaluation Strategy

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EXCUTIVE SUMMARY

1.   This document presents the proposed Evaluation Strategy for the Evaluation Section for the years 2010 to 2015, as required in paragraph 22 (c) of the WIPO Evaluation Policy. It builds on WIPO's draft Medium Term Strategy and delineates the way forward for the operationalization of the WIPO Evaluation Policy. It also outlines the human and financial resources required to make the Evaluation Strategy a reality. The Strategy is presented to the Director General for his consideration.

2.   Evaluations are a vital tool for WIPO's accountability and lessons learning. They form part of WIPO's wider work on "Oversight" which includes audit, investigation, inspection and evaluation. The main responsibility of the Section is to design, manage and conduct independent evaluations[1] of WIPO's work. It also provides support for improving the quality information through its validation exercises as well as to develop a common understanding of the evaluation function.

3.   The present strategy sets the direction for the ongoing quality improvement of WIPO's evaluation system with the aim of operationzalizing the Evaluation Policy, developing and maintaining an evaluative culture within the Organization to enhance the Organization effectiveness and meet accountability requirements. If the Strategy is successful it will place WIPO as a leader in the use of an evaluation system to effectively support policy development, program management and performance reporting. For the years to come the Evaluation Section's key outcomes for this evaluation strategy will be:

   (a) The delivery of independent, credible and high quality evaluations that: (i) Assess whether the Organization is doing the right things and whether they are doing them right; (ii) Supports accountability and transparency to stakeholders and specially Member States; (iii) Contributes to learning and knowledge sharing; (iv) Enhance the generation and use of value-added evaluative information; and (v) Identifies what works to developing a balanced and accessible international IP system and that can be replicated and scaled up.
   (b) The strengthened independence of the evaluation function based on international independence criteria (see Annex 2).
   (c) The increased awareness of the independent evaluation function among WIPO staff and its stakeholders.
   (d) An enhanced evaluation culture that contributes to learning and accountability.

4.   The objectives and outcomes presented above have been specially defined to reflect the requests made by WIPO stakeholders and after analyzing the Organization's needs and priorities. The Director General indicated clearly that a WIPO priority is to evaluate technical assistance and development activities. This is also supported by WIPO's stakeholders including Member States officials. The IAOD Evaluation Section has ensured through a consultation process that WIPO's needs and priorities are reflected as part of this Strategy.

5.   The Strategy outlines as well the existing challenges for the creation of an evaluation culture and delineates the way forward to make the operationalization of the Policy a reality. However, the Strategy will only be successful if there is a firm commitment at all levels of the Organization to ensure that evaluations are effectively planned, conducted and used. In addition to the above, the Evaluation Section will need to be provided with adequate human resources to enable it to perform its mandate in accordance with the WIPO Evaluation Policy. Sufficient non-staff resources will need to be allocated to ensure that adequate funds are available for the planning, conduct, reporting, and dissemination and follow-up of evaluations in accordance with the Strategy and biennial Evaluation Plans.

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[1] Independent Evaluations are those designed, managed and conducted by IAOD's Evaluation Section. In order for an evaluation to be considered independent, there must be compliance with the independence criteria of the evaluation function. These are: Organizational Independence and Behavioral Independence, as well as be protected from outside interference and avoiding conflict of interest. Annex 2 provides detailed explanation of each of the criteria.

1. BACKGROUND

1.   Currently within WIPO there is an increasing demand from Member States and other stakeholders requesting evidence of the effects of WIPO development oriented activities[2]. More and more developing countries and the international community are also requesting information on results[3] being produced by Organizations and increased accountability of Organizations for assessing the effects of development oriented results; this has been reflected by the signatory countries and institutions of the Paris Declaration as a way of achieving the Millennium Development Goals. WIPO is also focusing more and more on development oriented activities, as reflected by the Development Agenda Recommendations and the constitution of the Committee on Development and Intellectual Property (CDIP).

2.   In addition, the highest level in the United Nations (UN) system has underscored the importance of greater accountability and oversight in the operational activities of the UN. As indicated in the Reform of the UN, the UN Secretary-General believes that the purpose of management reform goes to the core of the charter and mission of the UN, namely, to better apply the Organization's resources and staff towards producing results that will improve the lives of people around the world. He has also stated that in order "t*o improve accountability, it is not enough just to talk about it but rather to take a deep and detailed look at internal systems, and examine what practical steps need to be taken to improve them."*

3.   The United Nations Evaluation Group (UNEG) is contributing towards the UN Reform by strengthening the objectivity, effectiveness and visibility of the independent evaluation function across the UN system and to advocate the importance of independent evaluation for learning, decision making and accountability. UNEG provides a forum for members to share experiences and information, discuss the latest evaluation issues and promote simplification and harmonization of reporting practices. The UNEG Norms and Standards, published in April 2005, are the first concrete products produced by UNEG towards harmonization and this has been the basis for the development of the WIPO's Evaluation Policy which is applied to all independent evaluations undertaken by the Evaluation Section.

4.   The Internal Audit and Oversight Division (IAOD) is committed to strengthen and sharpen the focus of its Evaluation Policy and to provide methodological guidance on WIPO's independent evaluation activities. It also commits WIPO to establish systems and processes that are consistent with those of UNEG and that will facilitate a) independent, high quality independent evaluations; b) management responses to independent evaluations recommendations; and c) effective learning from independent evaluations.

5.   Evaluation has been theoretically a part of WIPO's processes since 1998 and formally became part of the Internal Audit and Oversight Division (IAOD) in 2000, when IAOD was established, to unify the three important functions of Internal Audit, Investigations and Evaluation, which in the past had been undertaken separately. However, independent evaluations have not been a recent priority, until the "Independent Review of the Program Performance Report Process" issued in late 2008. Before this, the last evaluation undertaken by IAOD concerned the WIPONET project which was undertaking in 2004. In 2007, the Director General approved an Evaluation Policy for WIPO. However, this policy has not yet been published as Office Instruction or as part of the Financial Regulations and Rules. Nevertheless, the independent evaluation function has now evolved from a programmatic function in 2000 to a more focus oriented one ensuring the independence and quality of

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[2] The Evaluation Section defines as "Development Oriented Activities", all activities/interventions undertaken in a specific country which are meant to contribute to WIPO's vision of developing a balanced and accessible international IP system, which rewards creativity, stimulates innovation and contributes to economic development while safeguarding the public interest. Among the development oriented activities it could be mentioned all activities dedicated to capacity building, infrastructure building, norm setting activities, including all technical assistance activities and other activities for which the Organizations and extra-budgetary resources have been used.

[3] According to OECD/DAC, Results comprise all outputs, outcomes or impact (intended or unintended, positive and/or negative) of a development intervention.

evaluations. Responsibilities for program management previously undertaken by the evaluation staff officer were more correctly handover to the Program Management and Performance Section (PMPS). The Evaluation Section reports directly to the Director of IAOD who in turn reports directly to the Director General. All evaluation reports are also copied to the WIPO independent Audit Committee. A small evaluation team consisting of two P staff has been budgeted for the Evaluation section since 2008. The Evaluation Section budget is allocated within the IAOD on a biennial basis and will be used for the undertaking of independent strategic, thematic, country and program evaluations. Depending on the resources made available to the Evaluation Section and on request of Member States, the Evaluation Section may assist the Organization with the design, management and conduction of Organizational Assessments as well as building the capacities of Member States to undertake evaluation exercises including impact evaluations. During the first two years of implementation of the Evaluation Strategy, the Evaluation Section will develop basic principles and methodologies to conduct the various evaluations, taking into account experiences of other International Organizations. The Evaluation Section will continue with the undertaking of biennial validation exercises of the Program Performance Report (PPR), as requested by WIPO's Member States. In addition to the above and as specified in paragraph 32 of the WIPO Evaluation Policy, the Evaluation Policy will be reviewed in 2010 taking into account lessons learned from its implementation and international developments in the evaluation profession.

6.   Currently, WIPO is in the process of formulating its 2010-2015 Medium-Term Strategic Plan (MTSP) which will include its organizational priorities as well as indicators that will serve as benchmarks for the assessment of organizational effectiveness and impact. By the end of 2012, after the third year of implementation of the MTSP, the Evaluation Section will undertake a mid-term independent evaluation of the implementation of the MTSP and will assess progress made towards the organizational priorities. Lessons learned from the evaluation could be used for improvement of the MTSP.

7.   The Evaluation Strategy for the duration of the MTSP will cover key themes, countries and topics of strategic relevance. The organizational priorities of the MTSP will guide the selection of country, thematic and program evaluations. Such evaluations will be conducted with an emphasis on programs, strategies and policies. Topical evaluations will address a variety of cross-cutting themes as well as WIPO's organizational effectiveness. Findings will be stored in an on-line electronic database, and learning workshops will be part of the dissemination of evaluation results.

8.   In order to contribute towards the UN Reform by strengthening the objectivity, effectiveness and visibility of the independent evaluation function across the UN system and to advocate the importance of independent evaluation for learning, decision making and accountability, the WIPO Evaluation Section has elaborated the following strategy, directed towards the enhancement of WIPO's evaluation capacity and use of evaluation results in the six-year period of its Strategy.

9.   The WIPO Evaluation Strategy is divided in six sections. Section one and two elaborate on the background, justification and rationale for its development in the current internal and external context of WIPO. The third section establishes the mission, objectives and expected results of the Strategy. The fourth chapter fully develops the Strategy, setting the specific actions that WIPO will be promoting in order to achieve expected results. Section five deals with the monitoring framework for the Strategy. Finally, section six provides an overview of the estimated resources required to make the present Strategy operational. Also, the annexes provide relevant information, such as the criteria and indicators for the independence of the evaluation function, the logical framework for the Evaluation Section, the Evaluation Section approach to independent evaluations as well as a rapid benchmark analysis among UN Organizations. The present strategy should be read as a live document that will be systematically reviewed and updated in its lifecycle of six years in order for it to be a useful route map for the establishment of a credible, effective, useful, relevant and independent evaluation function for WIPO.

2. JUSTIFICATION AND RATIONALE

10.   Among various reasons which are highlighted in this section and as indicated in the WIPO' Evaluation Policy, the development of a Strategy is one of the key tasks of the Evaluation Section. The Strategy will guide the newly established Evaluation Section and will assist the Evaluation Team with the full operationalization of WIPO's Evaluation Policy. Moreover, the present strategy has been fully aligned to the implementation period of WIPO's draft 2010-2015 Medium-Term Strategy Plan which will allow the Organization to cumulate lessons learned that could serve for future planning, policy and strategy improvement.

11.   Since 2007, a demand for enhancing evidence-based evaluations, a learning culture and an increased emphasis on accountability for results has been highlighted by Member States and WIPO. This was set out in the Program and Budget Report for the 2008-09 Biennium (document A/44/2).   This, and Member States' recent focus on the WIPO Development Agenda through the CDIP, has contributed to establish evaluation activities much higher on the organization's agenda. The Evaluation Section, after having gone through a period with no staff[4] has been reestablished for the third time within two years. WIPO's Evaluation Section retook its activities in October 2009 and started work with one Senior Evaluator in place. It is planned that a Chief Evaluator will join efforts soon in order to have a viable Evaluation Section to implement the Evaluation Policy and carry out independent evaluations at WIPO. However, staff recruitment itself has been slow and the vacant Chief Evaluator position has not yet been advertised, although a request was sent to Human Resources in May 2009.

6.   With an increasing demand for services and decreasing resources due to the global financial crises, the Organization and its stakeholders are more then ever interested in demonstrating results, effects and benefits to countries. The Director General has indicated clearly to IAOD that a WIPO priority is to evaluate technical assistance and development activities. This has been reinforced by, WIPO's stakeholders, including Member States officials. They believe that in an organization with such diverse membership and specially when addressing development issues, there must be independent critical evaluations in order to provide stakeholder with credible information; and stimulates meaningful discussions. This has been highlighted in the comments that came at 28 April 2009 event of WIPO Committee on Development and Intellectual Property (CDIP) and other fora. This and other factors are contributing to a greater demand for development results and knowledge generation on Intellectual Property (IP) and create an opportunity and enabling environment to fulfill WIPO's commitment to development results and to produce evidence of what works and what doesn't. Therefore, strengthening the independent evaluation function is seen by Member States and other stakeholders as an essential element to further improve WIPO's learning, accountability, transparency, management for results and knowledge generation based on evidence and this is supported by WIPO Senior Management.

12.   Through a strengthened, independent evaluation function, the Evaluation Section will contribute to WIPO's mandate of "developing a balanced and accessible international IP system, which rewards creativity, stimulates innovation and contributes to economic development while safeguarding the public interest".

13.   Strengthening the independent evaluation function requires an increasing understanding of the independent evaluation function within the Organization and among its stakeholders, as well as the necessary investment for the undertaking of evaluation exercises and use of evaluation as a highly relevant management tool for the improvement of the quality of actions to support IP for development. This means: a) improving the use of evaluation findings; b) effectively linking monitoring with evaluation; and, c) ultimately, feeding into improved policy and programming for greater effectiveness of WIPO's work. WIPO's strengthened independent evaluation function will enable it to improve its promotion of and support to countries in relation to IP.

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[4] Senior Evaluator was transferred in March 2009 to the Program Management and Performance Section for a period of seven months and the newly appointed Chief Evaluator resigned in May 2009.

14.   The Strategy is linked to four main areas of focus which are of key relevance for the Evaluation Section and the Organization:

a)   Deliver high quality evaluations based on evidence that is objective, trustworthy and credible providing a solid basis for independent evaluations throughout WIPO. This is further reinforced by the role of the Audit Committee who reports directly to the Program and Budget committee and the Assembly of the Member States on the independence, quality and use of evaluations in WIPO, and its recommendations have considerable weight. This will assist WIPO's independent evaluation function to deliver "**Towards a UN system better serving the peoples of the world; overcoming weaknesses and building on strengths from a strong evidence base"**

b)   Strengthening WIPO's role as a "**contributor to developing a balanced and accessible international IP system, which rewards creativity, stimulates innovation and contributes to economic development while safeguarding the public interest."** The Evaluation Section will focus on undertaken independent evaluations that are aimed at measuring the effects of WIPO's work and achievement of their overarching goal.

c)   Sharing lessons and bringing the right messages to the Organization to contribute to higher accountability, transparency, performance enhancement in WIPO and better delivery to its Member States and target groups.

d)   To independently assess whether the Organization is responding to the commitments made to its stakeholders and balance its needs in its decision-making processes and activities, and delivers against this commitments.

3. MISSION, OBJECTIVES AND EXPECTED RESULTS OF THE EVALUATION SECTION

15.   **The mission of the Evaluation Section is to develop and maintain an evaluative culture** that seeks out information on the relevance, effectiveness, efficiency, sustainability, coverage, coherence, coordination and impact of the Organization in order to use that information to learn how to better manage and deliver WIPO programs and services, and thereby improve its performance. This is key to building more effective results management and evaluation approaches. The Evaluation Section through its work is also committed to enhance a climate in the Organization where evidence resulting from independent evaluations is valued, sought out and seen as essential to good management; and key WIPO stakeholders (national and regional governmental, non-governmental and inter-governmental partners; UN organizations; bilateral donors; IP networks; WIPO programs and staff) use learning and knowledge generated from WIPO-supported independent evaluation findings to improve and upscale their work on IP.

The final outcome should be a strong evaluative culture which:

Engages in self-reflection and self-examination
- Deliberately seeks evidence on what it is achieving such as through independent evaluation;
- Uses results information to challenge and support what it is doing, and
- Values candour, challenge and genuine dialogue.

Engages in evidence-based learning
- Makes time to learn in a structure fashion;
- Learns from mistakes and weak performance; and
- Encourages knowledge sharing.

Encourages experimentation and change
- Supports deliberate risk taking; and
- Seeks out new ways of doing business.

16.   The objectives and expected results of the Strategy in its 6 year period of implementation are aligned with WIPO's strategic vision of contributing towards an **"IP system, which rewards creativity, stimulates innovation and contributes to economic development while safeguarding the public interest".** Based the Evaluation Section mission, the key **objectives** of this strategy can be defined as follows:

(a) **To deliver independent, credible and high quality evaluations** that: (i) Assess whether the Organization is doing the right things and whether they are doing them right; (ii) Supports accountability and transparency to stakeholders and specially Member States; (iii) Contributes to learning and knowledge sharing; (iv) Enhance the generation and use of value-added evaluative information; and (v) Identifies what works to developing a balanced and accessible international IP system and that can be replicated and scaled up.

(b) **To strengthen the independence** of the evaluation function based on international independence criteria (see Annex 2)

(c) **To raise awareness** of the independent evaluation function among WIPO staff and its stakeholders

(d) **To promote an evaluation culture** that contributes to learning and accountability

17.   In particular the Strategy will contribute to the expected result of ""making available evidence-based evaluative information to senior management, program managers and Member States for decision making", approved as part of the Program and Budget document. This will provide the Organization with evidence-based information to:

(a) Support program improvements: did the WIPO support work or not, and why? How could it be done differently for better results?

(b) Build knowledge for generalizability and wider-application: what can we learn from the evaluation? How can we apply this knowledge to other contexts?

(c) Support accountability: is WIPO doing the right things? Is WIPO doing things right? Did WIPO do what it said it would do?

4. COMPONENTS OF THE EVALUATION STRATEGY

18.   In order to achieve the stated objectives set in section three, the Strategy could implement, depending on the resources made available to the Evaluation Section and the recruitment of the Chief Evaluator, the following actions throughout the 6 year period of the Strategy.

4.1. UNDERTAKING OF INDEPENDENT EVALUATIONS

To deliver independent, credible and high quality evaluations that identify what works to **developing a balanced and accessible international IP system** and what can be replicated and scaled up.

19.   The undertaking of independent evaluations is guided by WIPO' Evaluation Policy and the criteria for the independence of the evaluation function. As stated in the Policy, the Evaluation Section, as part of Internal Oversight, will perform its function independently from other WIPO management functions to ensure impartial reporting. It will also perform separately from other Internal Oversight functions. Moreover, Evaluation Section staff and externally contracted evaluation consultants will be protected against undue influence to enable them to express their opinions in an objective and impartial manner.

20.   To ensure that WIPO generates knowledge and learning based on evaluative evidence that is used for better delivery to our target groups. The Evaluation Section will support the conduction of different types of evaluations: country, thematic, strategic and/or program evaluations; and will apply an utilization-focused evaluation approach to all its independent evaluations (see Annex 4). The different evaluations will be strengthened through quality assurance mechanisms, and their results will be carefully followed up for extracting knowledge and obtaining a management response with agreed actions for improvement and learning.

21.   The Evaluation Section will seek to achieve best practice in all its evaluation work by setting and following principles and quality standards set by the OECD/DAC, the United Nations Evaluation Group (UNEG) and other international evaluation bodies and networks. The internationally-agreed evaluation criteria listed below will be applied to all WIPO independent evaluations. However, it will not be appropriate to investigate every criterion in depth in every evaluation. Therefore, the WIPO Evaluation Section will provide an explanation of the criteria they have chosen (or not) to cover.

a) **Relevance** – The extent to which the Organization's development oriented activities including technical assistance are suited to the priorities and policies of the country/target group

b) **Effectiveness** – a measure of the extent to which the Organization's development oriented activities including technical assistance attain their objectives.

c) **Efficiency** – a measure of the outputs and outcomes, qualitative and quantitative, in relation to the inputs. It is an economic term which signifies that the Organization uses the least costly resources possible in order to achieve the desired results.

d) **Impact** – the positive and negative changes produce by the Organization's development oriented activities, directly or indirectly, intended or unintended.

e) **Sustainability** – concerned with measuring whether the Organization's benefits are likely to continue after its funding has been withdraw. Interventions need to be environmentally and institutionally as well as financially sustainable.

Any assessment of sustainability should cover the concept of ownership.

f) **Coverage** – which groups are included or excluded from the Organization's development oriented interventions, and the differential impact on those included and excluded. Related concepts include equity (including gender equity and disability) and social exclusion.

g) **Coherence** – the need to assess other policies and programs which affect the intervention being evaluated.

h) **Co-ordination** – the intervention of a single institution cannot be evaluated in isolation from what others are doing, particularly as what may seem appropriate from the point of view of a single actor, may not be appropriate from the point of view of the system as a whole. Evaluating coordination includes assessing both harmonization with other aid agencies and alignment with country priorities and systems.

Source: Drawn from OECD-DAC evaluation criteria, including for humanitarian evaluations

22. For all its independent evaluations, the Evaluation Section will uphold the UN System obligations and commitments to gender equality and human rights, making sure that these are increasingly mainstreamed into all of its independent evaluation work.

23. Furthermore, the IAOD Evaluation Section will ensure that staff conducting evaluations have relevant educational background, qualification and training in evaluation, as well as professional work experience.

4.1.1. INDEPENDENT STRATEGIC EVALUATIONS

24. WIPO draft 2010-2015 MTSP, with the goals, thematic priorities, outcomes, outputs and key performance indicators established in its results-based frameworks, constitutes the overall strategic and programmatic framework of the Organization at its different levels. As such, an evaluation process needs to be put in place in order to learn from its implementation, and to be accountable for the progress towards its expected results.

> **Target**
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> At least two strategic evaluations could be undertaken in a period of six of years. Achievement of this target is very much linked to the resources made available by WIPO to the Evaluation Section for the undertaken of evaluation exercises and recruitment of the Chief Evaluator.

The information generated systematically by the strategic results tracking system will be the first source of information for this evaluation process, as well as other primary and secondary information sources.

25. The process envisioned for the evaluation of the MTSP is described below:

Conduction of an evaluability assessment – The MTSP will be analyzed in terms of certain parameters to assure its evaluability and prepare for the independent evaluation. The assessment will provide recommendations for improving the plan for its evaluation, and for the definition of the scope of independent mid-term and final evaluation. This assessment will be conducted by the Evaluation Section with external support, and will be completed by the end of 2011.

Independent Mid Term Evaluation – an independent mid term evaluation will be conducted following the recommendations of the evaluability assessment, including the definition of the scope of the evaluation. The evaluation will pay particular attention at the progress to strategic results and will include the evaluation of a sample of regions to review progress at the regional level, as well as to identify lessons learned. This evaluation will be coordinated by the Evaluation Section with external support, and will be completed by the end of 2012.

> **Independent Final Evaluation –** towards the end of the MTSP, a final independent evaluation will be undertaken. This evaluation will build its TOR and scope on the lessons learned from the evaluability assessment and the independent mid-term evaluation. It will also strongly rely on the findings of the evaluations conducted throughout the MTSP period. It will follow a formative and participatory approach, but will have a summative component to express clear recommendations for WIPO's future MTSP.

26.   Strategic evaluations are independent assessments that will analyze WIPO's contribution to critical areas for greater effectiveness and impact on developing a balanced and accessible international IP system. These evaluations may also assess WIPO's attribution in the achievement of the strategic results to which WIPO is accountable. Strategic evaluations in WIPO will be considered of strategic nature as they will provide knowledge on policy issues, programmatic approaches, cooperation modalities etc.

27.   The results from independent strategic evaluations will be used for decision making at the strategic level, and also for influencing broader UN processes. These will focus on the achievement of the strategic results in their contribution to the 9 strategic goals defined in the 2010-2015 MTSP.

> **Goal 1**: Balanced Evolution of the International Normative Framework for IP
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> **Goal 2**: Provision of Premier Global IP Services
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> **Goal 3**: Facilitating the Use of IP for Development
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> **Goal 4**: Coordination and Development of Global IP Infrastructure
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> **Goal 5**: World Reference Source for IP Information and Analysis
>
> **Goal 6**: International Cooperation on Building Respect for IP
>
> **Goal 7**: Addressing IP in Relation to Global Policy Issues
>
> **Goal 8:** A Responsive Communications Interface between WIPO, its Member States and All Stakeholders
>
> **Goal 9**: An Efficient Administrative and Financial Support Structure to Enable WIPO to deliver its Programs

28.   Independent strategic evaluations will be managed by the Evaluation Section, in close consultation with the involved divisions and key stakeholders. Taking into account the limited resources available for evaluation exercises, strategic evaluations can only take place every three years i.e. the Evaluation Section will undertake two strategic evaluations in a period of six years. There will be one mid-term evaluation of the 2010-2015 MTSP and one final evaluation of the 2010-2015 MTSP. The first evaluation of this kind will take place in 2012 and the second and final evaluation exercise will be undertaken in 2015.

29.   As indicated in the WIPO Evaluation Policy, the Evaluation Section is responsible for developing a biennial Evaluation Plan, which will establish the themes, countries or programs to be evaluated each year, the reasons for the decision, the main partners in the evaluation and the intended use of the evaluation results. The development of the plan will follow a consultative process, and will ultimately be approved by the Director General and the Audit Committee.

30.   The Evaluation Section will ensure that the evaluations provide strategic and representative coverage of WIPO's development oriented interventions and results, thematically and geographically. If sufficient resources are made available to the Evaluation Section, by the end of the 2010-2015 MTSP, WIPO should have covered the evaluation of its main areas of work.

31.   The key criteria for the selection of strategic evaluations are as follows:

a) **Relevance** to the 2010-2015 MTSP, in respect to:

   o Results-based framework: The evaluation deals with any of the nine WIPO strategic goals

   o Results-based framework: The evaluation will fulfill evaluation commitments made under this framework

b) **Strategic importance** of strategies for the organization: cross-thematic, global/ cross-regional

c) **Size of investment and coverage** in the programmatic area: share of budget allocated to the interventions to be evaluated

d) Demonstrated **demand from key WIPO stakeholders** (e.g., PBC, General Assembly, Committees, Member States, UN)

e) **Potential for generation of knowledge**, broad learning and accountability on IP

f) **Evaluability** – extent to which the selected area is prepared to be meaningfully evaluated

4.1.2. INDEPENDENT COUNTRY LEVEL EVALUATIONS (CLEs)

32. Independent country level evaluations will focus on the entire WIPO assistance to one country. They will provide an assessment of past and current interventions to WIPO and partner countries to improve cooperation strategies, country programs and IP interventions. They also will generate knowledge to improve future assistance to the country and other national country programs.

> **Target**
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> Up to 10 CLEs could be undertaken in a period of six of years. Achievement of this target is very much linked to the resources made available by the WIPO to the Evaluation Section for the undertaken of evaluation exercises and recruitment of the Chief Evaluator.

33. Independent country level evaluations in WIPO will look at the relevance of WIPO assistance against WIPO's overall policy and strategic goals, as well as the development policy of the partner country. It will also review the instruments used in the UN cooperation, the modalities, and the relative weight given to assistance for economic and social development.

34. Independent country level evaluations are important for policy planning at the highest level and provide a basis for multilateral negotiations. They represent an opportunity to focus on specific relevant issues such as the country's dependency on development assistance, institutional capabilities, policy context, and environment in a wide context.

35. Because of the importance of these evaluations, involvement of the partner country in the evaluation process and its ensuing acceptance, ownership and use of the evaluative information is paramount.

36. Independent country level evaluations are cross-cutting, i.e. they cover all sectors and forms of cooperation. The evaluation team is usually interdisciplinary, with expertise reflecting the key issues the evaluation will focus on. To focus the country level evaluations within the resources available, the scope is limited typically to the development issues and the strategic choices made at the national and overall levels; the economic, political and social context of the country; the UN support coordinated by the UN Country Team to strengthen national development and WIPO's strategy.

37.   The evaluation will take its departure from available primary and secondary data available within the Organization or other sources. The fieldwork will cover observations and interviews with government officials, program staff, target groups and interested parties as appropriate.

38.   Countries will be selected using a stepped approach. About ten country evaluations will be undertaken as part of this Strategy. Given the large number of countries that are eligible, a stratified random selection will be adopted to produce a list of 10 countries. On this selection a set of criteria will be applied. These criteria are both quantitative (i.e. using an index system) and qualitative (i.e., providing room for expert judgment). The final step to fine-tune the selection of the final 10 countries will consider the evaluability and synergy with on-going evaluations in the country to be evaluated as well as with WIPO strategic activities.

39.   Following good practices, the following steps of the selection of countries have been applied by other Organizations including the Global Environment Facility. These criteria will be applied for the selection of countries, whenever possible. In cases where some of the criteria can not be applied then the Evaluation Section will provide explanation for exclusion of criteria:

a)   Regional distribution

The first step in the process will be to group countries according to geographic regions (as defined by the World Bank). The proposal is to conduct one Country Level Evaluation per year in a particular region

b)   Ranking according to contribution to WIPO mandate

The second step will be to group countries within each region according to their potential contribution to the WIPO mandate: generation of IP benefits using various IP indexes as a proxy.

c)   Stratified random selection

Random numbers were generated by Excel for each of the regional groups and 6 countries will be selected achieving regional representation.

d)   Application of programmatic criteria

The WIPO Evaluation Section will use six criteria for selecting is strategic evaluations that is also relevant for selecting countries for CLEs:

- relevance,
- strategic importance,
- size of investment and coverage,
- Demonstrate demand from key WIPO stakeholders,
- Potential for generation of knowledge, broad learning and accountability on IP,
- Evaluability.

In addition to the six criteria international collaboration (synergy) will also be considered for CLEs. The first five will be used to further narrow the number of possible countries for CLEs from those selected in Step 3 (the other are used for the final selection, see step 5 below). A system of indicators and scores to measure each of the five criteria will be developed with a possible highest score.

e)   integration with synthetic opportunities

The final step in the selection process will be done each year, to review the countries selected in step 4 according to two criteria: evaluability and synergies/international collaboration. Evaluability is measured by the quality of available information regarding the context in which the WIPO development oriented activities including technical assistance were prepared and implemented. The synergy criterion measures the relevance of the particular country to on- going or future evaluations proposed by other International Organizations in the area of IP which will not allow to have enough difference between WIPO's evaluation exercise and others Organization's exercise.

4.1.3.INDEPENDENT THEMATIC EVALUATIONS

40.   Depending on the resources made available to the Evaluation Section, about six independent thematic evaluations could be undertaken by the Evaluation Section.

41.   Independent thematic evaluations deal with selected aspects or themes in a number of development activities. There are several such themes that have been highlighted in WIPO development assistance over the years. These themes are often borne out of policy statements and often termed "crosscutting issues".

Target:

Up to six thematic evaluations will be undertaken by the Evaluation Section. Achievement of this target is very much linked to the resources made available by WIPO to the Evaluation Section for the undertaken of evaluation exercises and recruitment of the Chief Evaluator.

7.   For 2010 the IAOD Evaluation Section proposed the undertaking of the "Independent Evaluation/Review of WIPO's Technical Assistance Activities in the Area of Cooperation for Development" as per recommendation 41 of the Development Agenda (Recommendation 41: "To conduct a review of current WIPO technical assistance activities in the area of cooperation and development.") in order to support the efforts of the Development Agenda following the criteria applied for independent evaluations which are as follows:

(a) **Organizational Independence:** The Evaluation Section is part of IAOD and it performs its function independently from other WIPO Management functions to ensure impartial and independent reporting.

(b) **Behavioral Independence:** The evaluation reports are based on evidence and stakeholders are consulted at the various stages of the evaluation process. The budget for the evaluation is managed solely by IAOD.

(c) **Protection from outside interference:** IAOD Evaluation Section is responsible for designing and executing the evaluation and evaluators results will not be subject to overruling or influence by any external authority.

(d) **Avoidance of conflict of interest:** IAOD will assure that the evaluators undertaking the evaluation will in no manner have an official, professional, personal or financial relation with any WIPO program and that he/she does not have any current or previous involvement with the development oriented activities including technical assistance or the entity being evaluated at a decision making level, or in a financial management or accounting role; or seeking employment with the Organization.

8.   The proposal for the independent review/evaluation was presented for approval to the Development Agenda Coordination Division (DACD). Nevertheless the conditions set by the DACD were not in compliance with the independence criteria mentioned above. Consequently the Evaluation Section declined its participation since its independence would have been compromised by not fulfilling with the criteria set above.

42.   The proposed independent review/evaluation would have been the first thematic evaluation undertaking by the IAOD Evaluation Section. Overall, thematic evaluations extract aggregates of information on a specific theme. It may involve different assistance instruments sectors or countries.

43.   Thematic evaluations cut across countries, regions and sectors. The topic is analyzed in relation to Organization's development policy, but also in the context of international conventions and the partner's priorities and strategies.

44.   Thematic evaluations are usually based on relatively large samples of development oriented activities including technical assistance implemented over a relatively long period of time. Much of the study will be done using primary and secondary data available within the Organization and other available sources. Fieldwork will concentrate on the more recent

development activities will be used to verify information and acquire a developing an understanding that is meaningful in the current contexts.

45.   Independent thematic evaluations have proved to be useful instruments in generating specific knowledge and recommendations at the highest level of aggregation, i.e. the policy level.

46.   Independent thematic evaluations address the short-term, medium-term and long-term results of a cluster of related WIPO development oriented activities including technical assistance in a given strategic thematic area or outcome in a region or within a country. They include an assessment of the effectiveness, efficiency, sustainability and relevance of development oriented activities including technical assistance against their own objectives, their combined contribution, and the contribution of external factors and actors. Thematic evaluations also examine non intended effects of the development oriented activities. In case WIPO has in place a strategy for a country or a region, then an assessment of such a strategy will be considered in this type of evaluations. Their findings will be used for strategic policy and programmatic decisions at the regional level, as well as strategic decisions.

47.   When planning for thematic evaluations, a combination of the following parameters should be considered for the selection:

a) **Relevance** to the 2010-2015 MTSP: the cluster of development oriented activities including technical assistance relates directly to the strategic goal expected results.

b) **Size of investment** or financial coverage: the cluster of development oriented activities including technical assistance represents a significant share of total resources.

c) **Knowledge:** Potential for generation of knowledge, broad learning and accountability on IP of a particular programmatic area

d) **Need for evidence base for decision making**

e) **Potential for up-scaling and replication of innovative or catalytic approaches**

f) **Flagship program / strategy**

g) **Evaluability -** extent to which the selected cluster has all the elements to be meaningfully evaluated

4.1.4. INDEPENDENT PROGRAM EVALUATIONS

48.   An important precondition for the conduction and use of independent program level evaluations will be the review and improvement of parameters for WIPO programs in order to ensure the integration of evaluability factors that will enable programs to be fully evaluated in terms of their achievement of results. This implies developing better (SMART) key performance indicators, expected results and feasible baselines, analyzing the internal and external coherence of intended results, setting an adequate monitoring and evaluation

> **Target:**
>
> About 5 program evaluations will be undertaken by the Evaluation Section as part of this Strategy. Achievement of this target is very much linked to the resources made available by WIPO to the Evaluation Section for the undertaken of evaluation exercises and the quality of the program framework.

framework and putting in place useful information systems. To this aim, evaluability parameters should be developed jointly with program staff.

49.   In November 2009 a project was approved by the Member States as part of the Development Agenda which is meant to improve the existing program frameworks in the next 2 years. The expected improvements would imply the developing of better (SMART) key performance indicators, expected results and feasible baselines, analyzing the internal and external coherence of intended results and setting an adequate monitoring framework. However, the development of a monitoring information system is not part of the project and this has not been foreseen by the Organization yet. The project imposes already several limitations since the timeframe for implementation is extremely lengthy and not having a coherent monitoring system in place will mean that monitoring information will continue to be scattered across the Organization.

50.   Overall, independent program level evaluations assess the efficiency and effectiveness of an intervention or set of interventions in achieving the intended results. They also assess the relevance and sustainability of results as contributions to medium-term and longer-term results. An independent program evaluation can be invaluable for managing for results, and serves to reinforce the accountability and learning of program managers. Additionally, independent program evaluations provide a basis for the evaluation of outcomes and programs, and for distilling lessons from experience for learning and sharing knowledge. Ideally, independent program level evaluations should be planned at the design stage of the program.

51.   As already mentioned the Strategy is meant to provide strategic guidance and detailed biennial Evaluation Plans will be prepared to operationalise the Strategy. The biennial Evaluation Plans will include specific programs to be evaluated. Overall there is a clear interest expressed by Member States to evaluate the effectiveness of the Development Agenda. The Evaluation Section will include this request as part of the biennial Evaluation Plan. It is most likely the Evaluation of the Development Agenda takes place in 2013 since its framework will only be in place in 2012.

52.   When selecting what programs are to be evaluated, a combination of the following parameters should be considered:

a) **Relevance** to 2010-2015 MTSP: program relates directly to the strategic goal, outcomes and outputs in 2010-2015 MTSP.

b) **Size of investment** – the budget of the program is significant with regards to the portfolio of programs in the region (in the current policy being updated, above Sfr 1 million a final evaluation should be mandatory; above Sfr 3 million a mid term and a final evaluation should be mandatory)

c) **Existence of commitment to evaluate** – Commitment to evaluate in response to stakeholders demands.

d) **Knowledge:** Potential for generation of knowledge, broad learning and accountability on IP.

e) **Decision making:** Need for evidence base information for decision making on the strategy or program modification/ follow-up.

f) **Potential for up scaling/replication of innovative and/ or catalytic initiatives**

g) **Flagship program**

h) **Program duration** – for a mid-term, final or ex-post evaluation, a minimum of 2 years of implementation is needed

i) **Geographic scope** – the program has a broad coverage and is implemented in more than one country

j) **Evaluability -** extent to which the program has all the elements to be meaningfully evaluated

4.1.5. IMPLEMENTING QUALITY STANDARDS AND MECHANISMS TO ASSURE THE QUALITY OF EVALUATIONS

53.   Following UNEG evaluation norms and standards, systems for quality assurance the evaluations undertaken in WIPO will be available in the first year of this strategy. This will imply the development of evaluation guidelines and tools to be used for the preparation, conduction and follow up of evaluations, the development of WIPO specific standards and the enhancement of institutional structures to provide support. These standards and systems will abide to the following parameters:

> **Target**:
>
> By the end of the Strategy, evaluation quality assurance standards will have been developed and 80% of WIPO evaluations will have applied them.

a) Internationally recognized parameters of good quality evaluations (DAC/OECD, UNEG and other international recognized parameters)

b) Respect to the evaluation principles defined in WIPO's Evaluation policy

c) Adaptation and response to IP approach to evaluation

54.   The Evaluation Section will play a key role, as part of its mandate, in creating a common understanding of independent evaluations among WIPO staff and providing the Organization and stakeholders with clear and concise methodologies applied to independent evaluations.

4.1.6. UTILIZATION FOCUSED EVALUATIONS: FOLLOWING-UP THE IMPLEMENTATION OF EVALUATION RECCOMMENDATIONS

55.   The use of evaluation findings for shared learning and improvement of WIPO development oriented activities including technical assistance constitutes an Essential element of this Strategy. Using evaluation implies that evaluation processes are intentionally directed to be applied in the programs and used for decision making at all levels. Therefore, all WIPO evaluation processes will promote specific actions to promote learning, the generation of knowledge and the application of evaluation findings for improvement in the specific programmatic area concerned.

> **Target**:
>
> By the end of the Strategy, 80% of evaluations undertaken by WIPO will have been followed up, used and analyzed.

56.   In order to achieve this, WIPO Evaluation Section will put in place a system for management response of evaluation findings and for tracking the agreed actions over time. This system will be based on the Evaluation Resource Centre (ERC)[5] developed by UNDP's Evaluation Office in order to contribute to coherence and alignment with current practice.

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[5] The ERC is an on-line based Information Management System, which facilitates UNDP's effort to strategically plan and effectively use evaluations for accountability, management for results, and knowledge management. It is located on the UNDP website: http://erc.undp.org/index.aspx?module=Intra

57.   The Evaluation Section will also undertake meta-evaluations of evaluation processes and results and share knowledge for feedback to wider WIPO awareness processes and programs. This involves a systematic conduction of meta-evaluations on particular themes of performance issues – bringing in other organizations' evaluation findings as well – to stimulate debate and greater knowledge on specific thematic areas of concern to WIPO's work. It will make these available in a variety of formats.

4.2. INDEPENDENT VALIDATION EXERCISES

58.   Each year, WIPO assesses its annual performance based on an approved performance framework. For this purpose, the Organization utilizes performance information that is complete and actual (rather than projected) for almost all of its performance measures.

> **Target**:
>
> By the end of 2015, three independent validation exercises will have been undertaken by the Evaluation Section.

59.   Good quality information is crucial if performance measures are to be used effectively to improve service delivery and accountability. Such information should help the Organization to: a) manage delivery against priorities; b) report reliably on its achievements; and c) assess whether WIPO needs to revise policies and programs.

60.   Within the Results-Based Management approach adopted, one of the Organization's aims is to provide reliable, timely and accurate information so that it can track performance over time, identify the need for any remedial action to achieve expected results and report clearly to its stakeholders on performance. Therefore a validation approach to all program performance reports has been introduced within the Organization in order to ensure that the information in these reports meets certain quality standards. The Evaluation Section is in charge of designing, managing and undertaking an independent validation exercise of the PPR on a biennial basis.

61.   To facilitate the validation exercise, IAOD's Evaluation Section has prepared a validation approach paper which guides the validation team and informs program staff during the process.

4.3. CREATE COMMON UNDERSTANDING OF WIPO'S INDEPENDENT EVALUATION FUNCTION

To contribute to strengthen and enhance the independent evaluation function and evaluation capacities of WIPO and its stakeholders

62. Based on WIPO's need to enhance its independent evaluation function and capacities, the current strategy places a great focus on the implementation of specific actions to have established, by the end of the Strategy cycle, a credible, useful, relevant and independent evaluation function across the organization. In this regard, the Evaluation Section will implement a series of evaluation

Target:

By the end of 2010, awareness raising activities will have been designed and piloted with new comers to WIPO. By the end of the Strategy, awareness raising activities will have been rolled out within the whole Organization.

awareness raising and capacity development activities internally at WIPO to create a common understanding of the independent evaluation function. On request and depending on the funds made available to the Evaluation Section may in coordination with the Cooperation for Development Sector, assist IP institutions in Member States to enhance their evaluation capacities.

63. Some of the activities envisaged as part of this Strategy are:

a) Sharing relevant evaluative information with staff and key stakeholders through the development of appropriate and user friendly mechanisms for the collection, publication and dissemination of lessons learned

b) Development of evaluation products resulting from evaluation exercises

c) Development of evaluation guidance and tools

d) Presenting evaluation results to staff through workshops and events

e) Introducing WIPO new comers to the independent evaluation function

f) Development and maintenance of a public WIPO website dealing with evaluation

64. Awareness raising activities for staff will be rolled-out from the first year of implementation of the strategy. This program will promote the application of WIPO Evaluation policy and the understanding of the independent evaluation function, as well as the evaluation process.

65. Overall, the achievement of this result depends greatly on two conditions: on one hand, the investment in the independent evaluation function for the conduction and use of evaluation as a relevant input for improving the quality of interventions to support developing a balanced and accessible international IP system; on the other hand, the development of an evaluation culture that is integral to other functions in the organization where evaluation is seen as useful for learning and improving.

4.4. SETTING AN INSTITUTIONAL STRUCTURE FOR EVALUATION

66. The Evaluation Section has been created as an independent structure within WIPO. The Organization is responsible for facilitating the independence of the Evaluation Section and contributing the fulfillment of the international criteria recognize by the Evaluation Cooperation Group[6] (ECG) (See Annex 2 - Independence of the Evaluation Function: Criteria and Indicators), such as:

Target:

By the end of 2010, WIPO Evaluation Section with the support of the Audit Committee has fulfilled the requirements of an independent evaluation function.

    a) Organizational Independence;

    b) Behavioral independence;

    c) Avoidance of conflict of interest; and

    d) Protection from outside interference.

67. The Director General, the Audit Committee and the IAOD Director should safeguard the independence of the Evaluation Section and assist the Evaluation Section to overcome any barriers that might limit its independence. The Audit Committee could assess the independence of the Evaluation Section on a biennial basis based on the international criteria and indicators identified (see Annex 2).

4.4.1. UPDATING AND IMPLEMENTING THE WIPO EVALUATION POLICY

68. According to paragraph 32 of the WIPO Evaluation Policy approved by the Director General in August 2007, the Policy will be reviewed no later than three years after its adoption taking into account lessons learned from its implementation and international developments in the evaluation profession. The review of the WIPO Evaluation Policy will be undertaken before July 2010.

Target:

By mid 2010, the Evaluation Section will have reviewed the Evaluation Policy

4.5. ENGAGE AND CONTRIBUTE TO UN EVALUATION PROCESS FROM AN INTELLECTUAL PROPERTY PERSPECTIVE

4.5.1. CONTRIBUTION TO UNEG INITIATIVES

69. The Evaluation Section as the WIPO focal point for evaluation will exchange information and cooperate with other UN entities and other organizations. In this regard, the Evaluation Section will explore the possibility of actively participating in joint evaluations with UN sister organizations and other partners in the period of the Strategy. These evaluations will focus on joint initiatives at the country level – ONE UN pilots, Joint Programs – as well as different programs that could pay particular attention to issues related to IP.

Target:

Participation in at least two UNEG initiatives.

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[6] The Evaluation Cooperation Group[6] (ECG) is a network composed of heads of evaluation of multilateral development banks and such observers as the DAC Evaluation Network head and Director of Independence at the International Monetary Fund for evaluation independence.

70.   As a professional network of evaluation in the UN System, the UNEG constitutes a highly relevant space for the exchange and definition of evaluation practice in the UN, as well as for the identification of key processes of accountability. WIPO will continue participating in different Task Forces of the Group, and update its involvement every year according to the priorities of the organization and the added value that the processes can bring.

71.   WIPO will review its priorities for participation in areas of work every year at the UNEG Annual General Meeting. The Task Forces where WIPO could be actively involved in 2010-2011 are the following:

   a) **Evaluation of Delivering as One UN pilots.** As the main process to jointly assess the coherence of the UN system in Delivering as One, WIPO could actively explore the possibility of being involved in this evaluation process. Through its participation in UNEG, WIPO could influence the evaluation process to analyze the response of the UN system to IP.

   b) **Impact Evaluation.** As part of this Task Force, WIPO could jointly explore with other UN agencies the ways in which impact evaluations will be adapted and undertaken in the UN system and applied to the different programmatic areas of work.

5. STRATEGIC PLAN MONITORING AND EVALUATION

72.   Depending on the resources made available to the Evaluation Section and the recruitment of the Chief Evaluator, the Evaluation Section will manage the actions foreseen in this Strategy. Final decisions on evaluation plans, evaluation findings and reporting on results will be directed to WIPO's Director General and Audit Committee.

> **Target**:
>
> Annual monitoring reports on progress achieve will be provided to as part of IAOD's quarterly reports.

73.   The Evaluation Section will develop a biennial Evaluation Plan, in coherence with the indicators established in the Program and Budget Document (PBD) and this Strategy; it will specify the processes and results to achieve each year in relation with the objectives of this Strategy through its Annual Evaluation Report. This report will summarize all evaluation activities, lessons learned and the progress on the implementation of agreed evaluation recommendations, and will be accompanied by a brief review of the evaluations conducted each year. The Annual Evaluation Report will be submitted to the Audit Committee, the Director General and presented to Assembly of Member States.

74.   At the end of 2012, a mid-term rapid assessment review will be conducted based on the monitoring framework of this Strategy. This will analyze progress and effectiveness of the strategy, and the quality and use of evaluations, and will make recommendations for improvement. The assessment will analyze the Annual Evaluation Reports, independent evaluation reports and will gather information from different stakeholders, such as UNEG members. By mid 2015, an independent review will be conducted, to analyze the relevance, quality, credibility and usefulness of WIPO's independent evaluation function and evaluations in the framework of this Strategy. It will include a meta-evaluation of evaluation processes and results. The results of the evaluation will serve for planning any future Evaluation Strategy.


6. MAKING THE EVALUATION STRATEGY A REALITY

75.   Making the Evaluation Strategy a reality is not only a task for IAOD but is also an Organizational task as well. The creation of an evaluation culture is a very complex task and needs a substantial commitment and investment from the Organization to contribute towards an evaluative culture. When comparing the current existent resources with other UNs, it can be concluded that WIPO's Evaluation Section resources are still inadequate. This does limit the financial independence of the IAOD's Evaluation Section for undertaking independent

evaluations, capacity building on request of Member States and training activities. Consequently, this will limit the existence of a credible and viable Evaluation Section.

76.   Based on common practice in the DAC/OECD Evaluation Network members and UNEG, Figure 1 provides the following parameters for estimating evaluation budgets. This estimation may include the conduction of ex-ante, mid term or final evaluations; it does not include monitoring activities.

Figure 1: Size of Development Oriented Activities (DOA) vs. Suggested % for evaluation
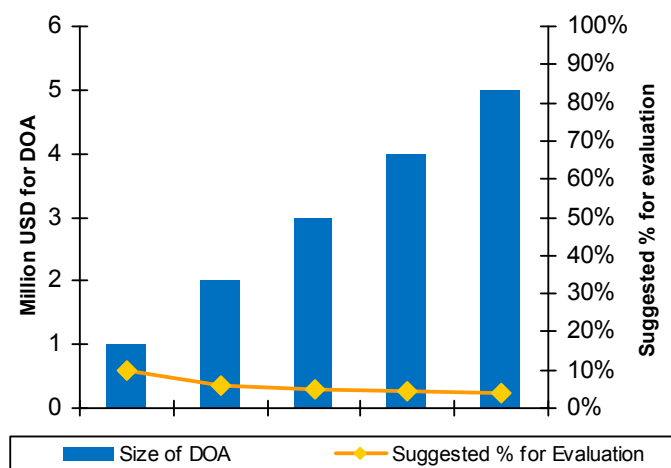
77.   For the years to come the Evaluation Section will required an increase on non-staff resources for hiring external evaluation experts. As part of this Strategy, the Evaluation Section has provided a roughly estimatesd budget for the undertaking of evaluation and validation exercises (See Figure 2). The budget estimates do not include other activities like meta-evaluations, participation in UNEG meetings, engagement in other networks, capacity building activities dedicated to the Evaluation Section staff and Member States or awareness raising activities.

Figure 2: Roughly estimated budget in Sfr for the undertaking of evaluation activities

Activities	2010	2011	2012	2013	2014	2015
Resources Required for undertaken up to 21 High Level Evaluations over the next 6 years	200'000	500'000	500'000	500'000	500'000	500'000
Resources required for undertaken up to 3 biennial validations over the next 6 years	50'000		50'000		50'000	
Resources for creating a common understanding of WIPO's independent evaluation function	15'000	15'000	25'000	25'000	25'000	25'000
Resources required for setting up an institutional structure	20'000	10'000	10'000	10'000	10'000	10'000
Estimated annual Resources requirements	**285'000**	**525'000**	**585'000**	**535'000**	**585'000**	**535'000**

78.   In order to assess whether the resources allocated to the IAOD's Evaluation Section are adequate or not, the Evaluation Section undertook a rapid desk review and benchmarked 10 UN Organizations (see Figure 3 below). The data presented is from 2007. Organizations have been ranked in 10 categories (highest being 10 and the lowest being 1). The full benchmark analysis can be found in Annex 3 of this strategic paper.

79.   The findings of this exercise were that the resources allocated to IAOD's Evaluation Section are still well below of what other UN Organizations do provide to their Evaluation Offices. This benchmark analysis has been done in order to demonstrate the Organization the existing constraints of the Evaluation Section in terms of resources. It is also to note that the Evaluation Section has been recently reestablished and that such information might not have been available to WIPO when setting up the budget for the Evaluation Section. However, in order to have a viable Evaluation Section the existing resources will need to be increased. A more adequate budget for the Evaluation Section after 2010 should be of at least Sfr 525'000 annually for non personnel resources. This would allow the Section to start with the implementation of a meaningful and more credible Evaluation Section.

Figure 3: Benchmarking analysis among UN Organizations

Ranking	Organizations Annual Expenditure	Organization's staff numbers	Staff ratio[7] for the Evaluation Section	Number of Evaluation Office Staff	Non personnel resources allocated to Evaluation Office	Budget[8] ratio allocated to the Evaluation Section
1	FAO	UNDP	CTBTO	UNDP	UNDP	UNDP
2	IOM	IOM	UNV	FAO	FAO	CTBTO
3	UNESCO	FAO	UNIDO	CTBTO	CTBTO	FAO
4	IAEA[9]	IAEA	UNESCAP	UNESCO	UNIDO	UNIDO
5	UNDP	UNESCO	UNDP	UNIDO	UNESCO	UNESCAP
6	WIPO	WIPO	UNESCO	IAEA	IOM	UNESCO
7	UNV	UNIDO	FAO	UNV	UNESCAP	UNV
8	UNIDO	UNESCAP	IAEA	UNESCAP	UNV	WIPO
9	CTBTO	CTBTO	WIPO	WIPO	WIPO	IOM
10	UNESCAP	UNV	IOM	IOM		

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[7] Staff ratio has been calculated by taking the evaluation office staff divided by the total number of staff and multiplied by 100.
[8] Budget ration has been calculated by taking the non-personnel resources expenditure of Evaluation Offices divided by the Organization's overall expenditure and multiplied by 100.

[9] Note: Information for on non-personnel resources allocated to the Evaluation Office and Organizational Expenditure information were not available for IAEA by the time this benchmarking analysis was undertaken.

ANNEXES

1   LOGFRAME 2010 – 2015 FOR EVALUATION SECTION STRATEGIC PLAN

2   INDEPENDENCE OF THE EVALUATION FUNCTION: CRITERIA AND INDICATORS

3   UN ORGANIZATIONS' BENCHMARK ANALYSIS FOR 2007

4   EVALUATION SECTION APPROACH TO INDEPENDENT EVALUATIONS

ANNEX 1

STRATEGIC PLAN 2010-2015 LOGFRAME

ANNEX 1. STRATEGIC PLAN 2010-2015 LOGFRAME

Objectives	Indicators – evidence of change	Means of Verification	Assumption and Risks
Goal			
Evaluation function contributes to the WIPO's overall development effectiveness	% increase in the number of policies/strategies/ programs/divisions/units demonstrating evidence of application of lessons from evaluations in their design	Program and Budget Documents/ Strategies/ Program Performance Reports/ Other Program documents	A strong management commitment is required to ensure the implementation of management responses to evaluations.
Strengthen the independence of the independent evaluation function	% of independence criteria met by the Organization	Assessment undertaken on a biennial basis. Track progress achieve on the indicators of independence of the independent evaluation function (see Annex 2)	Independence of the evaluation function will depend on the resources and information made available to the Evaluation Section as well as the protection of evaluators' results from any outside influence.
	% resources in relation to the overall Organizational resources made available for independent evaluation function.	Program and Budget Documents, Biennial Evaluation Work Plans.	
Promoting a culture of evaluation and learning	% of increased number of independent evaluations.	Annual Evaluation Section Reports.	Highly dependent on the resources and information made available to the Evaluation Section.
	% of WIPO staff and stakeholders that have a common understanding of the independent evaluation function.	Staff and stakeholders surveys.	Low response rate.
Outcomes			
Improve the quality and use of WIPO independent evaluations and strengthen quality assurance processes	% of evaluations that comply with at least 80% of the UNEG evaluation standards.	Annual Evaluation Section Reports.	Highly dependent on the resources and information made available to the Evaluation Section.
	% of Member States and WIPO staff that find the Evaluation Section products satisfactory in terms of quality and utility.	Staff and stakeholders surveys.	Low response rate. Learning from evaluations needs to be promoted as part of the organization's culture and has to be addressed by WIPO's Evaluation Policy, knowledge management and capacity building strategies.
	% of evaluation and validation recommendations accepted and implemented.	Management response system.	Organization does not take action on the recommendations provided.
Key WIPO stakeholders use learning and knowledge generated from independent evaluation findings to improve and upscale their work on IP	% of key stakeholders using the knowledge and products from the Evaluation Section.	Annual Reports of Evaluation Section/ other reports/ Member States reports.	Learning from evaluations needs to be promoted as part of the organization's culture and has to be addressed by WIPO's Evaluation Policy, knowledge management and capacity building strategies.
	% of WIPO staff and stakeholders that find the learning events organized by the Evaluation Section as useful to draw lessons.	Survey to stakeholders and staff.	Low response rate.
Outputs			
Generation of a critical mass of high quality credible independent	Up to 2 strategic independent evaluations during the strategic planning (Strategy) period.	Independent evaluation reports.	Achievement of targets and quality of evaluations are highly dependent on the resources made available to

Objectives	Indicators – evidence of change	Means of Verification	Assumption and Risks
evaluations that provide useful evidence on successful approaches for replication and scaling up, and on less successful approaches for learning and improvement	Up to 10 independent country level evaluations conducted each year during the Strategy period.		the Evaluation Section.
	Up to 6 independent thematic evaluations conducted every two years during the Strategy period.		
	Up to 3 independent program evaluations conducted during the Strategy period.		Achievement of targets and quality of evaluations are highly dependent on the resources made available to the Evaluation Section and the quality of the program frameworks.
	System for management response to evaluation findings and tracking agreed actions.	Actual tracking system in place; management response to evaluations and validations.	Highly dependent on management commitment to improve delivery to their target groups.
Validate the quality of WIPO's information and frameworks	Up to 3 validation reports of the PPR.	3 independent validation reports.	Monitoring systems are not put in place by the various programs and concepts are not understood.
Creation of a common understanding of WIPO's independent evaluation function	Development and maintenance of an intranet and internet website.	Websites on intranet and internet.	Little support to make the website on internet and intranet user friendly and easy accessible.
	Number of workshops and events a year to present evaluation results.	Workshops and events presentations published on the intranet and internet.	Little interest from the Organization to make information available to the public.
	Number of requests from Member States and budget increase for capacity building activities	e-mails/ telephone request logs/ memoranda/ other documentation	There is demand for this kind of activities but no budget.
	Development and implementation of capacity building material to introduce newcomers to the independent evaluation function.	Capacity building materials.	No support from the Organization.
	WIPO Independent Evaluation Guidelines and Tools.	Approved guidelines and tools.	No risk is envisaged.
Setting the institutional structure for the independent evaluation function	Updated WIPO Evaluation Policy.	Approved Review.	Reviewed policy is not accepted by Senior Management. Risk of loosing independence or making the process to lengthy.
	Develop a biennial Evaluation Plan	Approved plan.	Biennial plan might not be approved.
	Conduction of meta-analysis of evaluation results and share knowledge for feedback.	Meta-evaluation report.	No risk is envisaged.
Contribution to Evaluation Networks	Participation in at least two task forces.	Papers prepared with Evaluation Section collaboration.	Time and limited number staff might be an issue.
	Joint meetings with the Geneva Evaluators Group	Increased number of meetings and organizations volunteering to hold such meetings	No risk envisaged

ANNEX 2

INDEPENDENCE OF THE EVALUATION FUNCTION: CRITERIA AND INDICATORS

ANNEX 2 - INDEPENDENCE OF THE EVALUATION FUNCTION: CRITERIA AND INDICATORS

Criteria and indicators recognize by the Evaluation Cooperation Group[10] (ECG)

Aspects	Indicators
Criterion: Organizational Independence	
The structure and role of evaluation section	Whether the evaluation section has a mandate statement that makes clear its scope of responsibility extends to all operations of the organization, and that its reporting line, staff, budget and functions are organizationally independent from the organization's operational, policy, and strategy departments and related decision-making
The section is accountable to, and reports evaluation results to, the head or deputy head of the organization or its governing Board	Whether there is a direct reporting relationship between the section, and - the Management , and/or - Board or - relevant Board Committee, of the institution
The section is located organizationally outside the staff or line management function of the program, activity or entity being evaluated	The section's position in the organization relative to the program, activity or entity being evaluated
The section reports regularly to the larger organization's audit committee or other oversight body	Reporting relationship and frequency of reporting to the oversight body
The section is sufficiently removed from political pressures to be able to report findings without fear of repercussions	Extent to which the evaluation section and its staff are not accountable to political authorities, and are insulated from participation in political activities
Section staffers are protected by a personnel system in which compensation, training, tenure and advancement are based on merit	Extent to which a merit system covering compensation, training, tenure and advancement is in place and enforced
Section has access to all needed information and information sources	Extent to which the evaluation section has access to the organization's a). staff, records, and project sites; b). co-financiers and other partners, clients; and c). programs, activities, or entities it funds or sponsors
Criterion: Behavioral Independence	
Ability and willingness to issue strong, high quality, and uncompromising reports	Extent to which the evaluation section: a). has issued high quality reports that invite public scrutiny (within appropriate safeguards to protect confidential or proprietary information and to mitigate institutional risk) of the lessons from the organization's programs and activities; b). proposes standards for performance that are in advance of those in current use by the organization; and c). critiques the outcomes of the organization's programs, activities and entities
Ability to report candidly	Extent to which the organization's mandate provides that the evaluation section transmits its reports to the Management/Board after review and comment by relevant sections but without management-imposed restrictions on their scope and comments
Transparency in the reporting of evaluation findings	Extent to which the organization's disclosure rules permit the evaluation section to report significant findings to concerned stakeholders, both internal and external (within appropriate safeguards to protect confidential or proprietary information and to mitigate institutional risk). Who determines evaluation section's disclosure policy and procedures: Board, relevant committee, or management.

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[10] The Evaluation Cooperation Group[10] (ECG) is a network composed of heads of evaluation of multilateral development banks and such observers as the DAC Evaluation Network head and Director of Independence at the International Monetary Fund for evaluation independence.

Aspects	Indicators
Self-selection of items for work program	Procedures for selection of work program items are chosen, through systematic or purposive means, by the evaluation organization; consultation on work program with Management and Board
Protection of administrative budget, and other budget sources, for the independent evaluation function	Line item of administrative budget for evaluation determined in accordance with a clear policy parameter, and preserved at an indicated level or proportion; access to additional sources of funding with only formal review of content of submissions
Criterion: Protection from outside interference	
Proper design and execution of an evaluation	Extent to which the evaluation section is able to determine the design, scope, timing and conduct of evaluations without Management interference
Evaluation study funding	Extent to which the evaluation section is unimpeded by restrictions on funds or other resources that would adversely affect its ability to carry out its responsibilities
Judgments made by the evaluators	Extent to which the evaluator's judgment as to the appropriate content of a report is not subject to overruling or influence by an external authority
Evaluation section head hiring/firing, term of office, performance review and compensation	Mandate or equivalent document specifies procedures for the a). hiring, firing, b). term of office, c). performance review, and d). compensation of the evaluation section head that ensure independence from operational management
Staff hiring, promotion or firing	Extent to which the evaluation section has control over : a). staff hiring, b). promotion, pay increases, and c). firing, within a merit system
Continued staff employment	Extent to which the evaluator's continued employment is based only on reasons related to job performance, competency or the need for evaluator services
Criterion: Avoidance of conflicts of interest	
Official, professional, personal or financial relationships that might cause an evaluator to limit the extent of an inquiry, limit disclosure, or weaken or slant findings	Extent to which there are policies and procedures in place to identify evaluator relationships that might interfere with the independence of the evaluation; these policies and procedures are communicated to staff through training and other means; and they are enforced
Preconceived ideas, prejudices or social/political biases that could affect evaluation findings	Extent to which policies and procedures are in place and enforced that require evaluators: a). to assess and report personal prejudices or biases that could imperil their ability to bring objectivity to the evaluation; b). and to which stakeholders are consulted as part of the evaluation process to ensure against evaluator bias
Current or previous involvement with a program, activity or entity being evaluated at a decision-making level, or in a financial management or accounting role; or seeking employment with such a program, activity or entity while conducting the evaluation	Extent to which rules or staffing procedures that prevent staff from evaluating programs, activities or entities for which they have or had decision-making or financial management roles, or with which they are seeking employment, are present and enforced
Financial interest in the program, activity or entity being evaluated	Extent to which rules or staffing procedures are in place and enforced to prevent staff from evaluating programs, activities or entities in which they have a financial interest
Immediate or close family member is involved in or is in a position to exert direct and significant influence over the program, activity or entity being evaluated	Extent to which rules or staffing procedures are in place and enforced to prevent staff from evaluating programs, activities or entities in which family members have influence

ANNEX 3

UN ORGANIZATIONS' BENCHMARK ANALYSIS FOR 2007

ANNEX 3: UN ORGANIZATIONS' BENCHMARK ANALYSIS FOR 2007

In order to assess whether the resources allocated to the IAOD's Evaluation Section are adequate or not, the Evaluation Section undertook a rapid desk review and benchmarked 10 UN Organizations. The data presented is for 2007. Organizations have been ranked in 10 categories (highest being 10 and the lowest being 1).

Figure 1: Organizations' Annual Expenditure

In terms of annual expenditure WIPO ranked in the position 6 out of 10 Organizations.
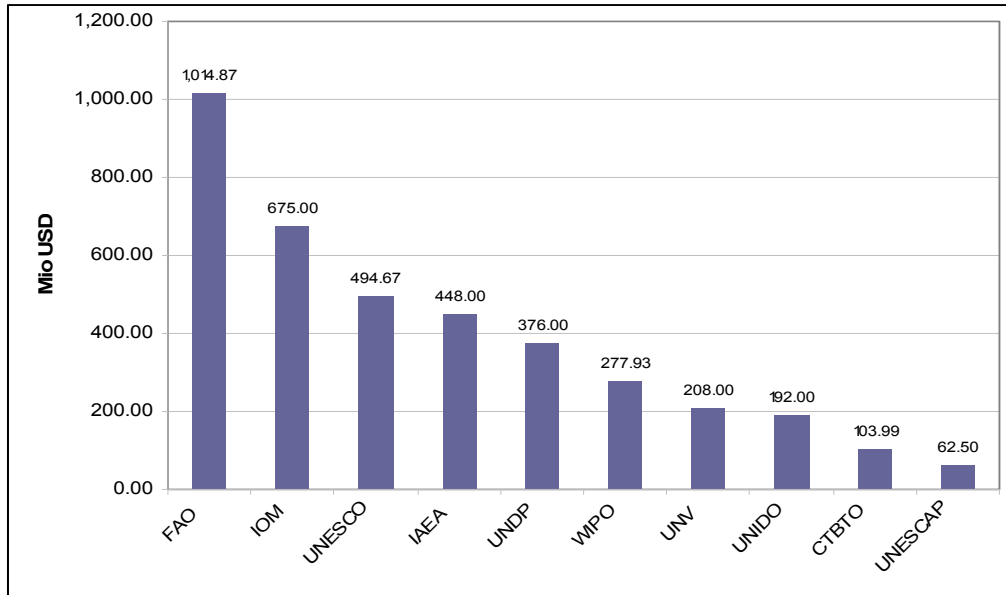
Figure 2: Organizations' Total Number of Staff

Also in terms of staff numbers for 2007 the WIPO ranked in the position 6 of the list.
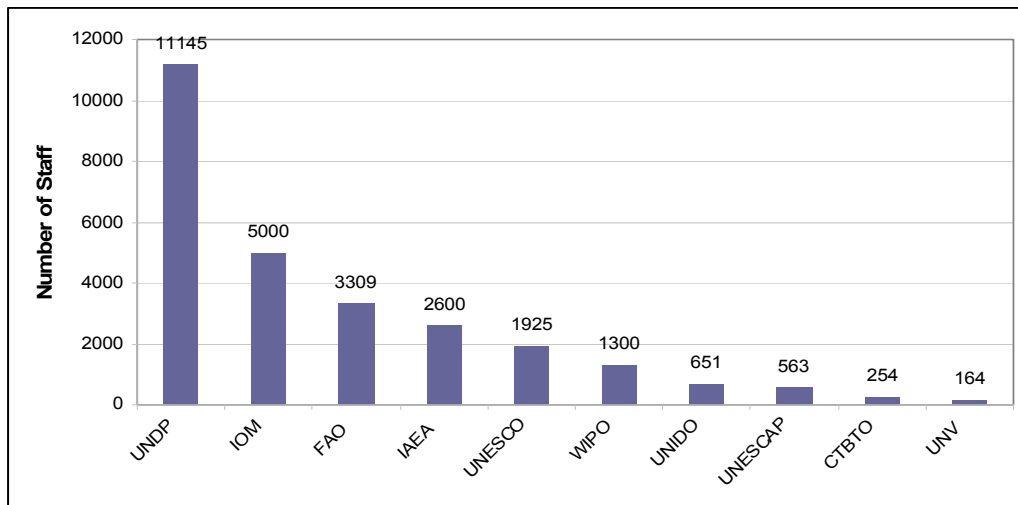
Figure 3: Staff ratio -Evaluation Office staff in relation to total Organization's staff

When analyzing the level of staff investment for Evaluation Offices done by other Organizations in relation to their overall staff investment, the findings were that WIPO was ranking nearly last on the list. Showing that the personnel resources invested within the Organization for the Evaluation Section are below the average investment.
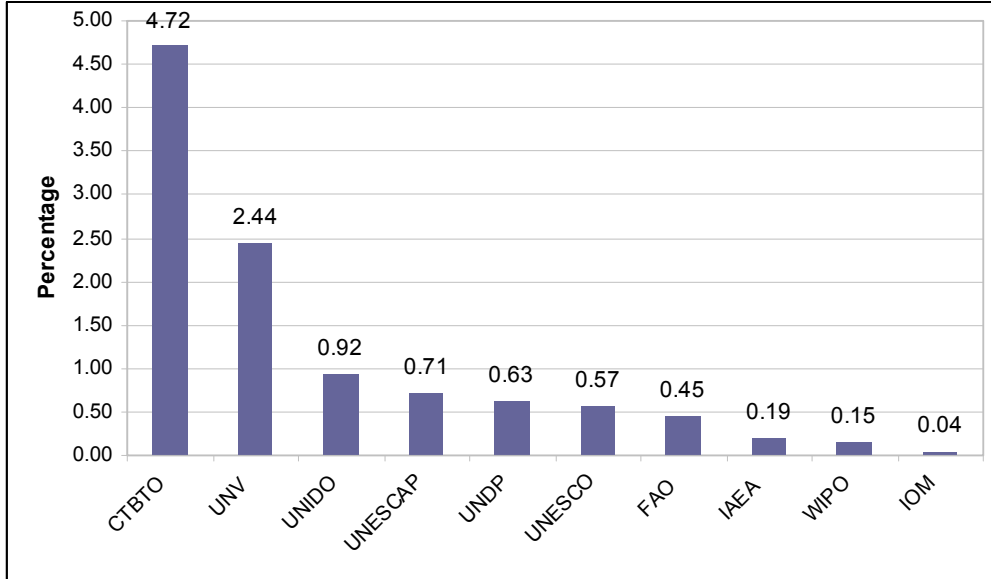

Figure 4: Number of Evaluation Office Staff by Organization

The above result is also confirmed by the existing number of WIPO staff within the Evaluation Section in relation to other Organizations.
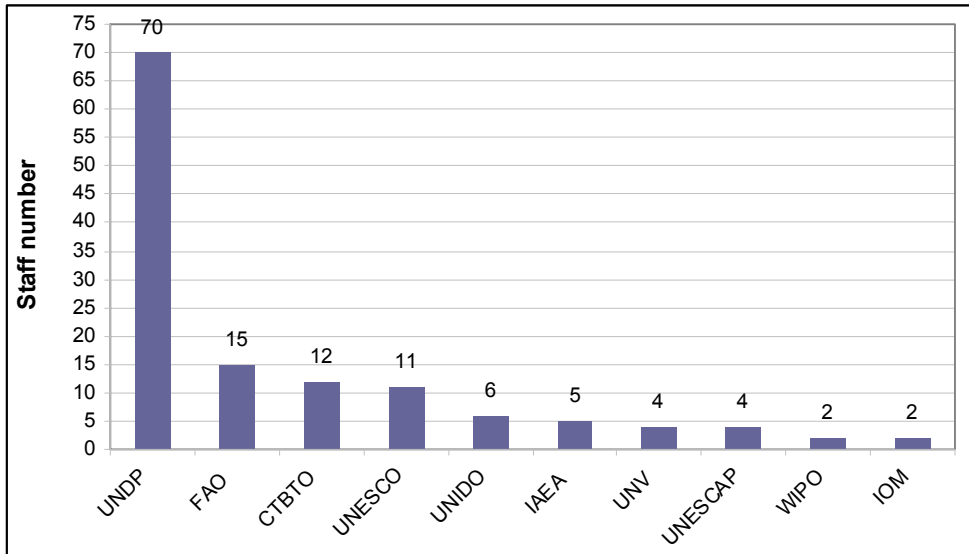
Figure 5: Non-personnel resources allocated to Evaluation Offices

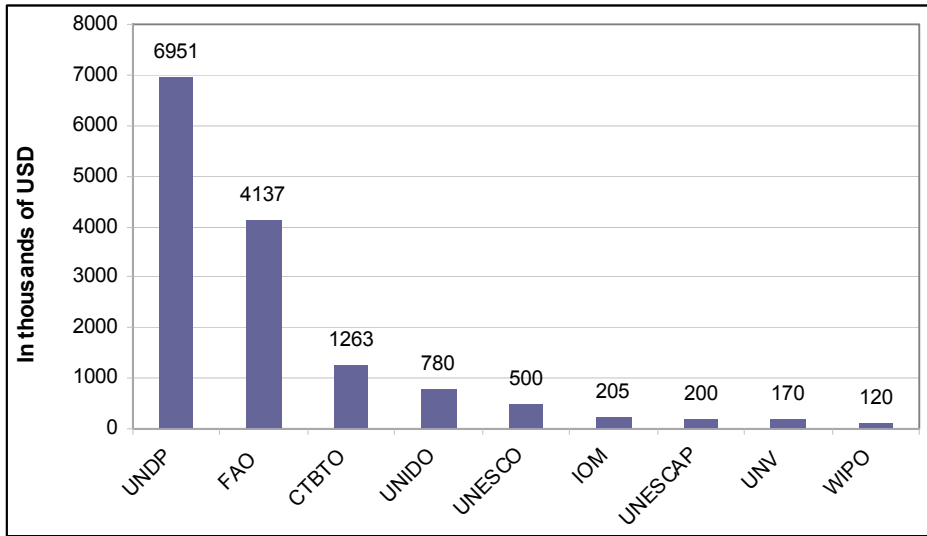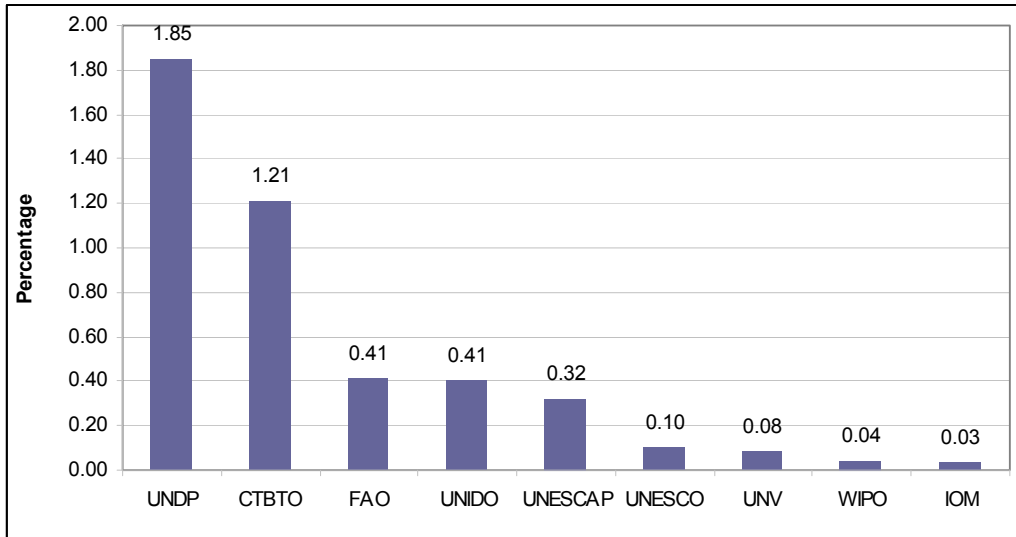WIPO ranked last on the list when comparing the budget allocated to the Evaluation Office.

Figure 6: Budget ratio: Percentage of annual evaluation expenditure in relation to overall organizational annual expenditure

When comparing the Organization's budget in relation to the non-personnel expenditure. WIPO ranked nearly last on the list as well.

ANNEX 4

EVALUATION SECTION APPROACH TO INDEPENDENT EVALUATIONS

ANNEX 4: EVALUATION SECTION APPROACH TO INDEPENDENT EVALUATIONS

The purpose of independence evaluations is to provide meaningful and useful information. However, this does not result only from writing a report but rather is the result of a process by which the Evaluation Section engages all key stakeholders in a consultative and where possible participatory manner allowing learning and knowledge sharing during the evaluation process.

The approach applied by the Evaluation Section in all its independent evaluations is a "Utilization-Focused Evaluation" approach. Independent utilization-focused evaluation helps the Organization to make independent evaluations become part of the planning cycle. It also helps that independent evaluations are seen as future oriented, to learn lesson, to improve overall organizational performance and not just perceived as an external audit like exercise for accountability reasons only. Below we have provided a brief description of this approach:

1.   Terms of reference (ToRs) drafting process

The Evaluation Section will include key partners and stakeholders with an interest in the topic to be independently evaluated during the ToRs drafting process. Furthermore, an evaluation resource group will be created under the designated leadership of an evaluation manager.

Chances:	Challenges:
• Different voices get heard as early as at the planning stage of the evaluation. • Other divisions or sections than the Evaluation Section can get ownership in order to broaden the awareness of the evaluation with in the organization.	Even though the TOR process will get prolonged and slightly more complex, the designation of an evaluation manager will ensure that TOR won't be watered down or getting over ambitious.

The Evaluation Section will form an interested evaluation management resource group with a designated person to follow the independent evaluation process at a more regular basis.

Chances:	Challenges:
• Ownership of the different partners and stakeholders maintained. • Independent evaluators are provided closely with institutional knowledge as and when necessary • Independent evaluators get guided even through difficult stages of the evaluation process when decisions need to be taken • Evaluators are more unlikely to drift away from the TORs and get along with their own agenda.	The provision of the resource person is time consuming and this person needs to be released from regular duties.

3. Draft findings/Draft report

Prior to the finalization of independent evaluation reports, the Evaluation Section validates the evaluation findings and discusses conclusions and recommendations with key stakeholders involved in the evaluation exercise to ensure fair, factual and useful reports. If the budget allows for, the Evaluation Section will organize a workshop in country at the end of the field visit so that the applied methodology and the initial findings can be enriched by more informed insights.

Chances:	Challenges:
• Give a chance for stakeholder feedback and to ensure their ownership of the evaluation findings • Get factual errors right • Give a chance for the evaluators to step back and reflect	The organization of a workshop might increase the costs of the overall independent evaluation and needs to be budgeted for!

4. Evaluation report

The Evaluation Section will design the report so that it is interesting and understandable to experts and the wider public.

> • Use an executive summary
> • Structure the report clearly and logically
> • Use graphics, maps, diagrams and tables
> • Include as much of the detail as possible in annexes
> • Reduce technical language and long complex sentences so that the report reads easily
> • Produce an additional 1-3 page version to inform policy makers in the relevant languages

5. Follow-up day

The Evaluation Section will provide program managers of the evaluated intervention or organization a chance to digest the evaluation, its findings, conclusions and recommendations. After 4 –6 weeks the independent evaluator (team leader) will get back to the intervention manager to offer a support session for the implementation phase of the recommendations.