

Committee on Development and Intellectual Property (CDIP)

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DEVELOPING TOOLS FOR ACCESS TO PATENT INFORMATION – PHASE II

prepared by the Secretariat

1. The Annex to this document, containing a project proposal on “Developing Tools for Access to Patent Information - Phase II” addresses Development Agenda Recommendations 19, 30, and 31. The estimated cost for the project amounts to 292,000 Swiss francs.

2. *The CDIP is invited to consider and approve the Annex to this document.*

[Annex follows]

PROJECT DOCUMENT

1. SUMMARY	
<u>Project Code</u>	DA_19_30_31_02
<u>Title</u>	Developing Tools For Access to Patent Information – Phase II
<u>Development Agenda Recommendations</u>	<p><i>Recommendation 19:</i> To initiate discussions on how, within WIPO's mandate, to further facilitate access to knowledge and technology for developing countries and LDCs, to foster creativity and innovation and to strengthen such existing activities within WIPO.</p> <p><i>Recommendation 30:</i> WIPO should cooperate with other intergovernmental organizations to provide developing countries, including LDCs, upon request, advice on how to gain access to and make use of IP-related information on technology, particularly in areas of special interest to the requesting parties.</p> <p><i>Recommendation 31:</i> To undertake initiatives agreed by Member States, which contribute to the transfer of technology to developing countries, such as requesting WIPO to facilitate better access to publicly available patent information.</p>
<u>Brief Description of Project</u>	<p>The Patent Landscape Report (PLR) project phase II will be aimed at completing the work already done in the framework of phase I, namely refining standardized instruments developed during phase I, promoting and facilitating collaboration amongst IP offices working in the field of patent analytics, and tracking the utility and impact of the reports.</p> <p>The development objective of the project “Developing tools for Access to Patent Information” is to promote innovation and economic growth in developing and least developed countries by facilitating better informed policy discussions and decisions related to R&D, investment and technology transfer through the provision of PLRs in relevant areas.</p> <p>The expected outcome of the project is improved access to technologies disclosed in patent publications and better knowledge of patenting trends and innovation patterns in specific areas of technology where PLRs will be prepared, as well capacity building of best practices and patent search methodologies in those areas.</p> <p>Phase II of the project aims to contribute to this outcome and objective by continuing with the preparation of new PLRs in the areas identified in Phase I, i.e., public health, food and agriculture, energy and climate change, and disabilities; and by strengthening dissemination and capacity building activities, in particular by organizing a regional conference on patent analytics with a view to</p>

	drafting methodological guidelines for preparing PLRs and dissemination and exchange of best practices amongst IP offices and institutions working in this field.
<u>Implementing Program(s)</u>	Program 14
<u>Links to other related Program(s)</u>	Global Infrastructure Sector in cooperation with the Department for Traditional Knowledge and Global Challenges, Innovation Division, and Global IP Issues Division, Economics and Statistics Division. Links to WIPO Programs 1, 5, 9, 16 and 18.
<u>Links to Expected Results in the Program and Budget 2012/2013</u>	<i>Expected Result II.2:</i> Enhanced human resource capacities to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition. <i>Expected Result IV. 2:</i> Enhanced access to, and use of, IP information and knowledge by IP institutions and the public to promote innovation and increased access to protected creative works and creative works in the public domain. <i>Expected Result VII.3:</i> IP-based tools are used for technology transfer from developed to developing countries, particularly LDCs, to address global challenges. <i>Program 18;</i> Distinctive and practically useful information resources combining policy analysis with enhanced use of patent information for policy-makers and practical tools for open innovation.
<u>Project Duration</u>	November 2012 to December 2013: 14 months
<u>Project Budget</u>	Non-personnel resources: 292,000 Swiss francs

2. PROJECT DESCRIPTION

2.1. Results of Phase I

During Phase I of the project 9 patent landscape reports have been prepared in the areas of Public Health, Food and Agriculture, and Energy and Environment. Further information about the results achieved during Phase I of the project is provided in the project evaluation report (see document CDIP/10/6).

2.2. Objectives of Phase II and main Outputs

The first objective of phase II of the project is an improved access to technologies and better knowledge of patenting trends and innovation patterns in specific areas of technology. Accordingly, the main outputs of Phase II will be the preparation of six new PLRs on specific topics of particular interest and priority for LDCs and developing countries in the areas defined during Phase I to support policy discussions and decisions related to development, innovation, R&D investment and technology transfer in specialized intergovernmental (IGOs), non-governmental organizations (NGOs), governments, institutions, R&D centers, academia and other private sector representatives. Additionally, WIPO's existing website on patent landscaping will be enhanced to further facilitate the access to published PLRs, those prepared by WIPO and other institutions.

The second objective of phase II is enhanced capacities in developing country institutions for utilizing and preparing PLRs. One related activity will be the organization of a regional conference to facilitate collaboration among IP offices and institutions working in the field of patent analytics and exchange of best practices. As a further output, methodological guidelines for the preparation of PLRs will be drafted.

Targeted beneficiaries of these outputs comprise: individual inventors; researchers in technology centers and universities; small and medium-sized enterprises (SMEs); industry; academia; IP professionals; policy-makers in national governments, IGOs or NGOs, decision makers in the area of R&D and technology transfer etc.

Phase II of the project will seek to further fine tune and improve the standardized instruments developed during Phase I, e.g., the visualization of the findings of each report.

Phase II will also seek to better track the utility and impact of the reports developed in Phase I and II among the targeted beneficiaries.

2.3. Delivery Strategy for Phase II

The aforementioned objectives will be met by:

A. Cooperation with IGOs, NGOs, Member States and national/regional institutions:

The experience gained during the implementation of Phase I has shown that PLRs should be prepared in collaboration with partners that have interest and expertise in the relevant subject areas. This permits an efficient definition of the scope of each report and that certain

needs of the collaborating partners can be met. Phase II will continue and expand these successful collaborations and will particularly seek to identify local partnering institutions in developing countries in addition to more globally active partners like IGOs and NGOs.

In that context, the cooperation with Member States, and national and regional institutions in developing countries will be enhanced by using various approaches for needs assessment, and the definition of the topics of new PLRs of interest for them.

B. Capacity building:

Each individual PLR includes a comprehensive explanation of the search and analysis methodology which enables the user to apply, e.g., similar search strategies and repeat the investigation to some extent. It serves therefore as an example of patent search and analysis strategies in its respective field of technology.

Furthermore, the collaboration on such a report familiarizes the partner with the value and limitation of patent analytics, and with patent information in general. Phase I has shown that the collaboration on a PLR can be very beneficial for a partner organization in that respect. In the selection of topics for new PLRs particular attention will therefore be given to selecting partners that express a need for training in these matters.

C. Strengthening Promotion and Dissemination of Patent Landscaping

The dissemination and utilization of reports will be strengthened through participation in conferences related to specific subject areas, and by including patent analytics in various patent information related training seminars and workshops to be organized in the framework of Recommendation 8 in order to educate patent offices, Technology and Innovation Support Centers (TISCs), Technology Transfer Offices (TTOs) and other institutions.

A separate regional conference on patent analytics will be organized during Phase II in order to provide a forum for the exchange of best practices. The conference will also initiate the preparation of methodological guidelines and a compilation of best practices for the preparation and provision of PLRs.

The content of the existing WIPO patent landscape report website (http://www.wipo.int/patentscope/en/programs/patent_landscapes/index.html) will be further enhanced by adding further reports, including such that were prepared by other institutions. Depending on needs, executive summaries of the WIPO reports may be translated in other UN languages and included on the website.

2.4. Risks and Mitigation Strategies

Risk: Lack of expression of interest for specific topics for future landscape reports by Member States or institutions in developing countries.

Mitigation: Offering assistance to Member States for identification of needs and specific, relevant topics to be addressed in PLRs. Possibly, consultation of national policy and development documents, such as National IP or Development Strategies/Plans. Utilization of the network established during Phase I with IGOs and NGOs working in the relevant fields in order to identify potential users of PLRs in member countries.

Risk: Insufficient utilization of the reports.

Mitigation: Improved dissemination of the reports through WIPO Publications, TISCs or TTOs as information material, inclusion in the WIPO Academy distance learning courses, and participation in awareness raising and other events related to the topic of the each report. Monitoring the dissemination and use of the completed reports by the partner institution with which the report was prepared. Improving the quality and appropriateness of future reports by soliciting and evaluating feedback from other users of published reports, e.g., after each download.

Risk: Appropriateness of scope of each report.

Mitigation: Each report will be developed in collaboration with a partner institution and the terms of reference of each report will be tailored to the specific needs of the partner. The scope of each report will also be coordinated with the WIPO units working in the respective thematic areas.

3. REVIEW AND EVALUATION

3.1. Project Review Schedule

1. Monitoring Reports

Periodic reports will indicate whether specific objectives and milestones have been reached; in cases of them not being reached, why this happened and how this can be resolved; the reports will make use of results from surveys addressed to cooperation partners and other users of the reports and visitors of the PLRs website.

2. Self-Evaluation Report

A report will be drafted at the end of the project period with a view to validating whether the project objectives have been achieved, suggesting future actions and highlighting best practices to provide continued sustainability of the project. This report will provide for regular monitoring of the projects against evaluation criteria like relevance, efficiency and sustainability.

The reports will be drafted by the Project Manager.

<u>3.2. Project Self-Evaluation</u>	
<u>Project Outputs</u>	<u>Indicators of Successful Completion (Output Indicators)</u>
1. PLRs in defined areas of interest.	6 new PLRs completed during Phase II of the project and in collaboration with at least 2 new cooperation partnerships.
2. Improved website on PLRs with additional information facilitating dissemination.	20 additional WIPO and external PLRs added on the website during Phase II.
3. Exchange of experience and best practices among IP offices and other Institutions dealing with IP (TISCs, TTOs).	Organization of a regional conference/workshop on patent analytics, and participation in other, e.g. TISC, training events.
4. Draft methodology guidelines for preparation of PLRs .	Completed within 12 months after the launch of Phase II of the project.

<u>Project Objective(s)</u>	<u>Indicator(s) of Success in Achieving Project Objective (Outcome Indicators)</u>
Improved access to technologies and better knowledge of, patenting trends and innovation patterns in specific areas of technology.	<ul style="list-style-type: none"> - 75 % of the immediate collaboration partners of each PLR are satisfied with the quality of the respective report; - 75 % of the immediate collaboration partners consider the report useful for their own activities; - At least 60% of other users or readers of the PLRs express satisfaction with the quality of the content of each report (factual findings and search methodologies; only users responding to respective surveys); - 30 % of other users find the reports useful for their own activities (e.g. the search methodology); - At least 20% more page views of the dedicated WIPO PLR website in comparison to Phase I; - 20% higher frequency of downloads in comparison to Phase I.
Enhanced capacities in developing country institutions for utilizing and preparing PLRs.	<ul style="list-style-type: none"> - 75% of participants of the regional conference/workshop find that their understanding of patent analytics has improved considerably; - 75% of the users/readers of the PLR preparation guidelines are satisfied with the quality of the guidelines; - 30% of the users/readers of the PLR preparation guidelines consider the guidelines useful for their own activities.

4. IMPLEMENTATION TIMELINE

Activity	2012	2013			
	4 th	1 st	2 nd	3 rd	4 th
Preparation of 6 PLRs	x	x	x	x	x
Publication of new information on the WIPO website and its expansion	x	x	x	x	x
Regional Conference on Patent Landscaping			x	x	
Draft methodology guidelines for preparation of PLRs			x	x	x
A proposal for tracking the long term impact on the execution of the project				x	x

5. BUDGET

BUDGET (non-personnel resources)

Table 1 – Project Budget by Cost Category and Year

Cost Category	Budget (Swiss Francs)		
	2012	2013	Total
<i>Travel and Fellowships</i>			
Staff Missions	3	17	20
Third-party Travel		52	52
Fellowships			
<i>Contractual Services</i>			
Conferences		5	5
Experts' Honoraria		4	4
Publishing		1	1
SSA ¹	20	190	210
Commercial Services			
<i>Equipment and Supplies</i>			
Equipment			
Supplies and Materials			
TOTAL	23	269	292

[End of Annex and of document]

¹ 10,000 Swiss francs are earmarked for the independent evaluation at the end of the project.