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EVALUATION REPORT ON THE PROJECT ON INTELLECTUAL PROPERTY (IP) AND THE INFORMAL ECONOMY

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1. The Annex to this document contains an external independent Evaluation Report on the Project on Intellectual Property (IP) and the Informal Economy, undertaken by Ms. Lois Austin, Consultant, London, United Kingdom.

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

[Annex follows]

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EXECUTIVE SUMMARY

This document sets out the Final Evaluation Report for the project evaluation of the Project on Intellectual Property (IP) and Informal Economy (IE).

The project was approved during the Fifth Session of the Committee on Development and Intellectual Property (CDIP) in May 2010. The project aimed to provide a better understanding of how innovation occurs in the informal economy and included the following elements:

A conceptual study setting out what characterizes informal economic activity in countries at different levels of development. The study draws on existing research regarding the IE, innovation and IP.	Three country level case studies documenting examples of innovation in the informal economy and providing an assessment of how innovation outcomes have been influenced by IP, and the potential lack of access to it.
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The project was implemented under the supervision of a Project Manager (the Senior Economist from the WIPO Economics and Statistics Division).

The evaluation has been undertaken by an independent consultant applying the following methodology:

- Interviews with key stakeholders from the project team, the WIPO Secretariat and Member States.
- Key document review of relevant internal and external documentation.
- Incorporation of feedback from the WIPO Secretariat into the final evaluation report

The evaluation's objectives are to understand what worked well within the project and what did not by assessing the project design framework; project management; measuring results achieved to date; and assessing the likelihood of sustainability of results achieved.

Key Findings

Findings are presented within each of the three focus areas of the evaluation:

- Project design and management
- Project effectiveness
- Sustainability of the project

Project design and management

Project design was well thought-through in advance of implementation. The project management team ensured Member State support for the direction of the project through

presenting different options for the course of the project before drafting the project proposal. In addition, an expert advisory group was engaged in order to guide project implementation from beginning to end and a conceptual study (one of the project outputs) was drafted by the management team to underlie the three country case studies and provide a framework for further research.

Although the project was managed on a predominantly virtual, as opposed to face-to-face, basis, this has not impacted upon the efficient management of the project in spite of the challenges of coordinating three simultaneous country case studies involving inputs from the globally-spread advisory panel.

The project is deemed to address a need in this sector as there is little or no existing research focusing on the project's topic of linkages between IP and the informal economy. The nature of the research undertaken with the project is novel and is considered to have pushed existing boundaries and helped to fill a current gap in knowledge and understanding of intellectual property and innovation in the informal economy.

Both the Member States and different units of the WIPO Secretariat have engaged significantly in the project through providing inputs over time (from April 2010 to May 2011 and beyond) prior to approval of the project proposal and during its implementation. These contributions in the build up to and during project implementation have been extremely important in ensuring appropriateness and coherence of project approach.

The project timeframe needed to be extended by two quarters (original implementation timeframe was January 2012 – June 2013) in order to ensure that the country case studies, which required significant micro-level fieldwork, were presentable. This extension had no impact on the project's budget.

Effectiveness

The project aimed to contribute to greater awareness of IP and informal economy linkages as well as to contribute to the development of an informed research agenda on IP and the informal economy.

The project started from a near vacuum in both these areas and through efficient project management approaches it has been effective in achieving its objectives. In order to increase awareness of the project subject matter the project has been disseminated and presented at different high level fora including at the 2013 ECOSOC Annual Ministerial Review for Africa and at a globally attended conference on innovation and IP in South Africa in the same year. An article highlighting the project was also published in www.ip-watch.org in June 2013¹ and, although outside the project's framework, the project and its outputs will

¹ "WIPO Study: Informal Economy Important To Developing Country Growth, But No IP", by Catherine Saez, June 7, 2013, available at: <http://www.ip-watch.org/2013/06/07/wipo-study-informal-economy-important-to-developing-country-growth-but-no-ip/>

also feature in a book to be published by a notable publisher such as possibly Cambridge University Press.

The conceptual study was able to provide an important conceptual framework to both feed into the country case studies and receive input from them. The collaboration between WIPO and relevant experts in drafting the conceptual study and undertaking the country case studies has without doubt allowed for the highlighting of the project and its outputs within a diverse but interested group of experts in the field. The project has itself generated credible evidence for these experts and others to use and it forms the basis for a clear research agenda on IP and the informal economy.

Sustainability

The involvement of an array of experts in the project is likely to contribute to ensuring the sustainability of the work carried out. However, there are currently no concrete plans for ensuring such sustainability beyond the successful completion of project outputs and it remains in the hands of the Member States and the WIPO Secretariat to decide if and how the foundational work achieved through the project will be carried forwards.

Overview of recommendations

Linked to the evaluation's ten key findings, a total of six recommendations are made in relation to the project. Three recommendations focus on the project itself and the remainder are broader and directed towards future projects implementing WIPO's Development Agenda.

Recommendations for the IP-IE Project

Recommendation 1

The work undertaken within the project, firstly through the conceptual paper, secondly through the common methodological approach applied to the country case studies and finally through the outputs of the case studies themselves is considered by experts in the field to be avant-garde and progressive. It is recommended that the WIPO Secretariat hold discussions internally and with the Member States to elucidate potential further involvement in **promoting the project outputs and supporting further similar work** within other Member State countries.

Recommendation 2

In order to better understand the impact of the project, monitoring should be undertaken both within the three case study countries and more broadly to establish whether the project has resulted in any change (acknowledging that impact may not be visible for some months-years). The WIPO Secretariat should engage with relevant institutions and bodies to seek ways of ensuring that this **impact monitoring and measurement** is carried out and fed back to the Member States.

Recommendation 3

The engagement of external stakeholders in the form of an advisory group and country level experts and institutions is one element which will promote sustainability of the project outcomes. In order to further ensure sustainability, it is recommended that those Member States that hosted the country case studies should **disseminate** the studies as widely as possible within their own countries and **advocate** for further work to be continued in this arena. Other interested Member States should also assess the country case studies to

gauge their relevance to their own context and **promote** the undertaking of similar studies using the same methodologies within their own countries.

Recommendations for future projects

Recommendation 4

When implementing projects in light of Development Agenda Recommendations consideration should be given to **mimicking the project framework** utilized within this project in order to ensure expert external engagement and close coordination with the Member States. Whilst this may not be necessary for all future projects, the robust methodological approach applied in this project, with initial credible groundwork presented in the conceptual study prior to implementation, and confirmation from the Member States as to the preferred approach has proved to be helpful in ensuring the success of the project.

Recommendation 5

Future projects which are considered to be potentially trailblazing and which involve cross-country working, as is the case for the current project, should ensure that the **budget** is sufficient to successfully tie up all project outputs in, for example, a final project workshop.

Recommendation 6

The CDIP should ensure that **unclearly worded Development Agenda Recommendations** should be **interpreted by the Committee in a way that gives the Secretariat an appropriate direction to allow for effective project design and implementation.**

ACRONYMS AND ABBREVIATIONS

CDIP	Committee on Development and Intellectual Property
DA 34	Development Agenda Recommendation 34
ECOSOC	UN Economic and Social Council
IE	Informal Economy
IP	Intellectual Property
Open A.I.R	Open African Innovation Research and Training Project
ToR	Terms of reference
WIPO	World Intellectual Property Organization

PROJECT EVALUATION PROJECT ON INTELLECTUAL PROPERTY AND THE INFORMAL ECONOMY (DA RECOMMENDATION 34)

1 INTRODUCTION

This document is the Final Report for the evaluation of the Development Agenda Project related to WIPO Development Agenda Recommendation 34: Project on Intellectual Property (IP) and the Informal Economy.

Development Agenda Recommendation 34 proposes the following:

“With a view to assisting Member States in creating substantial national programs, to request WIPO to conduct a study on constraints to intellectual property protection in the informal economy, including the tangible costs and benefits of the intellectual property protection in particular in relation to the generation of employment.”

2 PROJECT BACKGROUND

The Project on Intellectual Property (IP) and the informal economy (IE) was approved during the fifth session of the Committee on Development and Intellectual Property (CDIP) held in Geneva in April 2010. Project implementation started in January 2012 and was primarily completed by June 2013 with a non-budgetary extension to December 2013 in order to ensure that the case studies undertaken as part of the project were appropriately formatted and presentable. The project included the following elements:

- (a) A conceptual study that sets out what characterizes informal economic activity in countries at different levels of development. The study sets out the type of intangible assets individuals and firms operating in the IE generate and through what mechanisms, including IP rights, those individuals and firms do and do not appropriate innovative efforts. The study draws on existing research regarding the IE, innovation and IP and builds an analytical framework for further empirical research; and
- (b) Three country case studies that document examples of innovation in the informal economy and provide an assessment of how innovation outcomes have been influenced by IP, and the potential lack of access to it.²

The project was implemented under the supervision of a Project Manager (the Senior Economist from the WIPO Economics and Statistics Division).

The project aims to provide a better understanding of how innovation occurs in the informal economy. An initial understanding of the nexus between IP and the informal economy was necessary to offer policy guidance – both in assessing how existing IP policy instruments

²Case studies were undertaken in Ghana, Kenya and South Africa.

influence innovation in the informal economy and what IP-related policy measures could help them expand output and employment.

The **case studies** aim to provide evidence on how innovation occurs in the informal economy and what role IP rights play in this process with a focus on three different sectors in three different countries.

Outputs of the project are four studies (one conceptual and three case studies) and one international workshop on innovation, intellectual property and the informal economy.³

3 EVALUATION PURPOSE AND OBJECTIVES

The evaluation focuses on assessing the project as a whole rather than on individual activities. The evaluation concentrates on the project's contribution to assessing the needs of Member States and identifying the resources or the means to address those needs, its evolution over time, its performance including project design, project management, coordination, coherence, implementation and results achieved.

The evaluation's objectives are twofold:

- **Learning from experiences** during project implementation: what worked well and what did not work for the benefit of continuing activities in this field. This includes:
 - Assessing the project design framework;
 - Appraising project management including monitoring and reporting tools;
 - Measuring and reporting on the results achieved to date; and
 - Assessing the likelihood of sustainability of results achieved.
- **Providing evidence-based evaluation information** to support the CDIP's decision-making process.

³The workshop was held in Pretoria, South Africa in November 2012. More information available at: http://www.wipo.int/meetings/en/details.jsp?meeting_id=28084. The Conceptual Study on Innovation, Intellectual Property and the Informal Economy contained in document CDIP/11/INF/5 was presented to the Eleventh Session of the CDIP and is available at http://www.wipo.int/meetings/en/doc_details.jsp?doc_id=232525. The three case studies will be presented to the Thirteenth Session of the CDIP.

4 EVALUATION METHODOLOGY

The evaluation was undertaken by an independent consultant and was participatory in nature. Information was gathered from the following sources:

- **Stakeholder interviews:** interviews were held with the project team, senior WIPO managers and representatives of a number of Member States.⁴
- **Documentary review:** key internal and external project documentation was reviewed and examined to identify data relating to performance, project design, project management, results and implementation.⁵

Data collected was analyzed and a draft evaluation report written which was submitted to WIPO on 28 February 2014. Comments and any factual corrections provided by the WIPO Secretariat were included in order to produce the Final Evaluation Report.

As part of the evaluation the consultant is required to present the Final Evaluation Report during the Thirteenth session of the CDIP to be held in May 2014.

5 KEY FINDINGS

This section, in which the key findings are presented, is organized on the basis of the three evaluation areas as set out in the evaluation Terms of Reference (ToR) – project design and management, effectiveness and sustainability. Each evaluation question is answered directly under the relevant heading of each area.

5.1 PROJECT DESIGN AND MANAGEMENT

Key Finding 1: *The creation of an informal expert group, based on the expertise required to help guide the case studies as well as the project as a whole, was important and allowed for the sharing of ideas on topics and project design. This group now has a stake in the project.*

Key Finding 2: *The overall project approach, involving regular referral to the Member States to ensure appropriate interpretation of the Recommendation; the development of a conceptual study to help guide the country case studies; the holding of an initial workshop to ensure the application of coherent methodological approaches through project implementation; and the constant guidance of an informal expert group have been extremely valuable in ensuring strong and coherent project design and management processes.*

Key Finding 3: *The wording of CDIP Recommendation 34 is not necessarily helpful in providing guidance to the project management team on how to implement a project that would respond to the Recommendation. The focus and substantive direction that the*

⁴ See Annex 3

⁵ See Annex 4

project was expected to take were not clear from the Recommendation alone and as a result it was necessary for the project team to draft a non-paper to ensure that there was agreement on the project's direction.

Key Finding 4: *Creating an expert working group consisting of representatives from a wide-range of organizations to provide input throughout the life of the project has been a key part of the project's success through ensuring that the requirements of Recommendation 34 were addressed.*

Key Finding 5: *The project was implemented within budget with minor implementation delays in order to finalize the country case studies.*

Key Finding 6: *The budget for a project as innovative and cutting-edge as this one was limited. This limitation may have stood in the way of smoothly ensuring agreed next steps at country level and within wider academic, policy and political circles.*

Project design framework

Recommendation 34 is in itself broad and does not contain guidance as to how it could be interpreted into a useful project. The Project Manager and project team therefore assessed the most appropriate way to respond to the Recommendation and decided that initial research, presented in a guiding conceptual study, followed by three country case studies would be the optimal approach. With the allocated project budget, the allocated timeframe but also considering the special characteristics of the informal sector it would not have been possible to undertake a representative statistical analysis of the informal economy, so the project is framed in a more exploratory way through the country case studies.

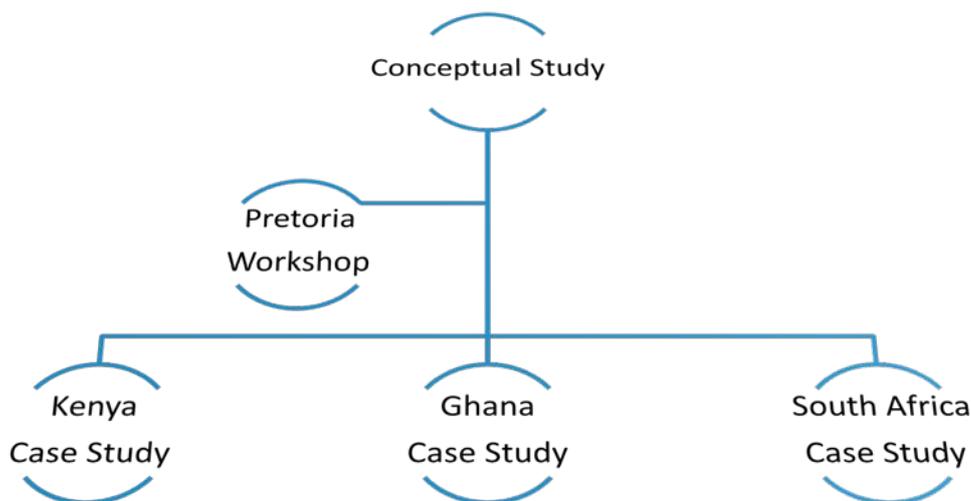
The sequencing of the different stages of the project was carefully considered by the Project Manager. Following on from the project's non-paper and proposal, an initial conceptual study was drafted and discussions were then held within the Secretariat and with the external advisory group, that was created specifically to guide the project, as well as with the CDIP with regard to the best approach for the three country case studies. The conceptual study benefitted from extensive comments from a range of experts and draws upon existing secondary documentation.

Decisions over how to select which continents, countries and industries would be represented in the three case studies proved difficult due to the number of options available. However, the choice was made to focus upon Sub-Saharan Africa, partly because this is where the share of the IE is greatest (the IE accounts for over 40% of the gross national product of many sub-Saharan countries). The countries chosen display different levels of development. The choice of industries (metalworking in Kenya, herbal medicine in Ghana, and cosmetics in South Africa) was made as these are considered to be extremely important industrial sectors within the informal economy having a wide extension across Africa.

An initial workshop, organized by WIPO and hosted by the Institute for Economic Research on Innovation (IERI) in Pretoria, South Africa in November 2012 brought together the expert advisory group, the research teams, WIPO and other stakeholders to discuss and refine strategies for successfully carrying out the project and the country case studies. This

workshop allowed for and promoted important cross-fertilization between the studies as well as the development of a common methodology for the case studies.

The project as a whole involved a team of experts in economics, business, law and information science (the expert advisory group) to advise on the framework and the case studies, and researchers to conduct empirical fieldwork in the projects' study countries. The informal expert group was also involved in guiding the development of and reviewing the three case studies. The group represented different organizations and are well-respected in their fields.



This multi-country project required a mix of both face-to-face and remote contact in terms of management. The initial workshop in Pretoria enabled the entire team, and each country case study leader, to participate and this introductory meeting allowed for opening the door to more eased email and video conferencing throughout implementation between WIPO and the case study teams – essential due to the budgetary limitations of the project.

In addition, in order to ensure collaboration with other ongoing research, throughout implementation the project was also coordinated with the work of the Open Africa Innovation Research and Training (Open A.I.R) network. The network is running a project to investigate how IP regimes can be harnessed in Africa to facilitate innovation through collaboration, so the two are complimentary in nature.

Appropriateness of project documentation

There are a number of different documents which support the project implemented in response to DA Recommendation 34 as follows:

- The wording of Recommendation 34 itself

- A “non-paper” submitted to Member States to assist in defining the nature and approach of the project⁶
- The project proposal⁷
- The project conceptual study (which is also one of the key outputs of the project)

Development Agenda Recommendation 34 proposes the following:

“With a view to assisting Member States in creating substantial national programs, to request WIPO to conduct a study on constraints to intellectual property protection in the informal economy, including the tangible costs and benefits of the intellectual property protection in particular in relation to the generation of employment.”

Given the challenging and complex nature of the task required within the Recommendation, further guidance on approaches to implementation and fulfillment of this Recommendation was necessary. Taking into consideration the fact that there is no similar work of this nature existing and the novel nature of the research and data collection required in order to effectively respond to the Recommendation, the Recommendation alone could not be used as a reference point to steer the project from inception through to completion. As a result, the Project Manager drew up an essential “non-paper” setting out in more detail the direction of the project as approved by the Member States. This “non-paper”, or discussion paper, was presented to the Sixth CDIP session in November 2010 seeking guidance as to which approach and direction the project should take (on the basis of two different options presented in the paper). It was on the basis of this paper and the direction approved by the Member States that the project’s implementation approach and methodology was built. The direction of the project was then formally agreed at the Seventh CDIP session in May 2011. The subsequent project proposal is relatively detailed in outlining the objective of the project and the approach to be adopted as well as naming the advisory panel and naming the case study countries thereby alerting relevant Member States. The additional and underlying non-paper was however also essential to ensure sufficient guidance for the project.

Reporting on the project has been carried out in accordance with WIPO standard progress reporting which is activity-oriented. The progress reports do not however include critical questions such as what will happen with the case studies and this therefore stifles any stimulation of thinking within the project reporting.

Needs identification (Coherence)

The discussion paper presented to the Sixth CDIP Session (November 2010) states that although there a number of studies that document different forms of innovation in the informal economy, there is little/no systematic evidence to show the effects of inadequate IP protection. An assessment of the importance of the copying of informal intangible assets

⁶ “Discussion Paper on Intellectual Property and the Informal Economy” submitted to the Member States at the Sixth Session of the CDIP in November 2010 (Document CDIP/6/9) and available at http://www.wipo.int/meetings/en/doc_details.jsp?doc_id=142472

⁷ “Project Proposal – Intellectual Property and Informal Economy (Recommendation 34)” submitted at the Eighth Session of the CDIP in November 2011 (document CDIP/8/3 Rev) and available at http://www.wipo.int/meetings/en/doc_details.jsp?doc_id=190547

that might qualify for IP protection did not exist prior to this project. The project is therefore contributing to filling a current IP/IE research gap.

The choice of case study countries and sectors was the subject of extensive discussion over a period of months with relevant experts and potential study authors as well as with the WIPO Department for Africa and Special Projects and the Development Agenda Coordination Division. Selection was not without challenges as the IE spans a large set of heterogeneous sectors in middle and low income countries. The process was iterative in nature between countries, sectors and experts. Significant time was spent reviewing literature and holding discussions before finalizing the selected countries and sectors for the case studies in order to ensure coherence of approach.

Initial identified risks (Coherence)

A number of challenges in studying the links between IP and the informal economy were identified at the outset of the project. These were contained within the conceptual study but not within the project proposal document itself and included:

- The lack of existing empirical insights into the links between the IP and the informal economy.
- The need to rely on resource-intensive micro-level original survey work which may encounter legal barriers due to the lack of existing data (beyond data estimating the size of the informal economy).
- The need to precisely identify the role of IP in the informal economy linking it to potential economic outcomes e.g. the types of informal intangible assets which might qualify for IP protection and how IP protection would affect copying of those assets.

The project has managed to address the risks identified as a result of coherent team work and design approaches which meant that each case study was undertaken in a similar way with guidance from a broader team of additional experts.

Responsiveness to emerging trends (Coherence)

The discussion paper presented to the Sixth CDIP Session (November 2010) highlights two key ways in which IP can be related to informal economy activity:

- Firms in the informal economy generate intangible assets in the form of small-scale technical innovations and brand names. However, they often do not have access to credit markets, are not informally incorporated, and usually do not pay sales and income taxes thus preventing them from acquiring, maintaining, and defending IP rights which may prevent the growth and formalization of these firms.
- A second link between IP and the informal economy arises in the context of copyright piracy and trademark counterfeiting. Being illicit activities, the production and distribution of IP-infringing goods naturally take place in the informal sector. As such, they may be a non-trivial source of employment and income for poor people. Strengthened IP enforcement, may cause hardship for informal workers,

compounded by the fact that social safety nets often do not extend to the informal sector. Understanding the role of counterfeiting and piracy activity in the informal sector may help in designing effective IP enforcement policies which are created alongside the creation of legitimate employment opportunities.

Following agreement from the Member States, the project focuses on the first of these issues.

Those spoken to as part of this evaluation were keen to highlight the novel nature of the research undertaken within the project. The project is considered to have pushed existing boundaries by not only engaging with emerging concepts (currently predominantly confined to more legalistic ways of thinking around copyrights, patents and trademarks) but by also helping to create an entirely new way of thinking about IP and innovation in the informal economy by highlighting issues around trust and moral and social norms and when it is appropriate to share knowledge within a community and when not. The ability of the project to move beyond legal formalism is considered to be an important project outcome.

The project has allowed for the fusion of IP and the IE – something which has not been done before. It has thereby allowed for the opening of a window for further study on this matter.

Contribution of entities within the WIPO Secretariat (Coordination)

Within WIPO there were three units that worked particularly closely in the implementation of the project. One of the key areas that provides an example of positive cross-unit cooperation can be seen through the coming together of the project management team (within the Economics and Statistics Division) and the Department of External Relations, where the latter was responsible for organizing the Africa regional preparatory meeting in advance of the UN Economic and Social Council (ECOSOC) Annual Ministerial Review. With the main purpose of the ECOSOC meeting being to promote the Global Innovation Index, the preparatory meeting for Africa (held in Dar es Salaam) was considered to be an excellent opportunity to present the IP and IE project. The team leader of the Ghana case study was able to give such a presentation, facilitated by WIPO at this meeting which was well-attended by African Ministers of Science and Technology as well as UN leaders. The External Relations Department was able to use the substance of the project to position the outputs of the informal economy and innovation at the meeting.

The Department for Africa and Special Projects was also involved in order to contribute to the selection of which countries were witnessing levels of innovation that would be relevant to the study as well as by contributing knowledge of which authorities would be responsive to the case studies. In addition, the Senior Director of this Department represented WIPO and the project at a conference on IP and Innovation hosted by the University of Cape Town and coordinated by Open A.I.R.⁸ in Cape Town in December 2013.

Finally, the Traditional Knowledge Division within WIPO was involved in providing feedback on all drafts of the case study reports.

⁸ Open A.I.R. is led by one of the project's advisory panel members.

Involvement of Member States (Coordination)

At the Fifth Session of the CDIP (April 2010), the WIPO Secretariat was required by Member States to present a conceptual “non-paper” to the Sixth Session (November 2010) to lay out some of the key issues associated with DA 34, in order to seek input from Member States as to the nature and direction of a possible project. The paper presented the links between IP and the informal economy as well as the challenges in studying those links and posed two questions to the Member States in relation to the possible direction of the project as follows:

- What the substantive direction of future work under Recommendation 34 might be – would it be to focus on informal intangible assets and lack of access to the informal firms to the IP system? Would it look at the effects of counterfeiting and piracy on employment in the informal sector? Or would there be other linkages that should be addressed?
- What type of study work should be envisaged under Recommendation 34 in light of the challenges identified?

It is the first time that this approach, of interaction between the Secretariat and the Member States prior to developing the project and defining the project proposal, has taken place. This clarification and preliminary collaboration prior to project start is considered to be a factor in the project’s success as it has allowed for a clear understanding of how the Member States want Recommendation DA 34 to be interpreted.

Country delegations also provided significant input during project implementation through the provision of valuable feedback on the project’s conceptual study which was presented to the Member States at the Eleventh Session of the CDIP (May 2013).

Beyond the involvement of Member States at the various CDIP sessions where the project was discussed, the WIPO Project Manager had bilateral exchanges with the three country case study Member States both before and during implementation.

Project timeframe

Following the important background work (in the form of the “non-paper” and the conceptual study) undertaken by the project team in discussion with the Member states, actual project implementation started in January 2012 and was completed in December 2013 (original completion date was envisaged to be June 2013).

The initial discussions with the CDIP to ensure an appropriate focus for the conceptual study did not negatively affect implementation of the project and are not considered as a delaying factor as the project had not started at that point. Following discussions at the Sixth CDIP Session in November 2010 to agree on a direction for the project, the proposal was tabled at the following CDIP session in May 2011. This allowed for the project to commence in early 2012. There were some minor delays in the finalization of the three country case studies, as significant field work was required to ensure their validity, meaning that the project required a time extension until December 2013. The implementation delays did not however result in any need to extend the project’s budget.

5.2 EFFECTIVENESS

Key Finding 7: *Ensuring that the conceptual study served as a basis for the three country studies whilst simultaneously allowing for feedback from the country case studies into the conceptual study has allowed for an important cross-fertilization of information between the different studies thereby strengthening all four of them.*

Key Finding 8: *It is too early to measure the full extent of how instrumental the project has been in terms of contributing to greater awareness of IP and the IE amongst policy makers. Such an assessment may be more feasible once the findings from the case studies are published. The presentation of the case studies at various high level fora is however contributed to increased awareness.*

Key Finding 9: *There is a lack of clarity about what the next steps are for the project (if any), now that the project outputs have been delivered. The Recommendation has been fulfilled and foundational work carried out but whether and how this ground-breaking work will be continued remains unclear.*

Key Finding 10: *The selection of the expert advisory group, the country case study teams and the institutions involved in the country case studies is considered to have been successful in order to contribute to achieving the objectives of the Recommendation and ensuring the project and its results are injected into relevant academic and political fora.*

Project contribution to greater awareness of IP and informal economy linkages

Significant effort has been made in order to ensure wider awareness of the project and its content. As a result, the project (and its reports) have been presented in a variety of arenas. These include:

- Presentation at the following academic conferences: 6th Micro Evidence on Innovation and Development Conference, November 21 to 23, 2012, Cape Town, South Africa; the Academy of Innovation and Entrepreneurship Annual Conference in Oxford, August 29 to 30, 2013, and the 3rd Global Congress on IP and the Public Interest and the Open A.I.R. Conference on Innovation and IP in Africa, Cape Town, December 9 to 13, 2013.
- Presentation at the 2013 ECOSOC Annual Ministerial Review Africa preparatory meeting.⁹
- Inclusion of the project's outputs in a book to be published on innovation and the informal economy in developing countries.
- The publishing of an article on the project on www.ip-watch.org in June 2013.

⁹ The ECOSEC Annual Ministerial Review was held on 14 March 2013 in Dar es Salaam with a focus on "Innovation as Enabler for the Achievement of the Millennium Development Goals and Sustainable Development".

The project has been very successful in contributing to an increased awareness and improved understanding of linkages between IP and the informal economy amongst policy makers as can be seen through the new research that the project has been able to undertake.

With the project's subject matter being relatively new, the presentation of the project at fora such as the ECOSOC preparatory meeting has allowed for drawing attention of a high level and relevant audience to the project. The project discussion at the ECOSOC meeting also brought together a strong panel and provided a good opportunity to promote the broader discussion around innovation and technology.

The starting point was a vacuum in this area, so although a lot has been achieved, there does remain more that could be done to further increase awareness amongst policy makers. In addition, there remains strong potential for further contribution within the countries where the case studies were conducted but this is more likely to take place once WIPO has approved the country case study reports¹⁰.

The project has substantially contributed to greater awareness and enhanced understanding of IP and the IE linkages as it is a new topic in academic, policy and statistical circles. The Member State's fusion of these areas is original and ground-breaking. Since project implementation, the topic has also recently been on the agenda of some key academic conferences for example in Johannesburg and Oxford.

Development of an informed research agenda on IP and the informal economy

The conceptual study is assessed to have offered a framework to both feed into and benefit from the three country case studies conducted in Ghana (herbal medicines), Kenya (metal manufacturing) and South Africa (the chemical sector). The first stage of the project has been to improve understanding about how innovation occurs in the informal economy and how IP is, or could be, relevant to the informal economy with the next step being to offer policy guidance to delegations on this issue.

The project has been effective in this area primarily as a result of the partnerships that were formed in order to implement the project. WIPO recognized that it lacked the internal human resource capacity and expertise to conduct a project of this ground-breaking nature without external inputs. The project required expertise in an array of fields and the Project Manager was successful in formulating an advisory group consisting of the right people with the right expertise. This has in turn allowed for the generation of evidence that is rooted in the real world and because of this empirical grounding the project has the credibility to be taken seriously by policy makers.

The project has uncovered a new interface between IP and the IE and developed a new approach to try and respond to the questions formulated within Recommendation 34.

¹⁰ This finalisation had not been completed at the time of writing but was due to take place in February/March 2014.

Although there remains significant room to do further work, those spoken to as part of this evaluation consider that the agenda is now set.

Cost-effectiveness

Given the ambitious and innovative nature of the project, the budget of CHF 90,000 is small. The experts involved in the project were generous with their time and this assisted in being able to produce significant outputs within the project budget.

Monitoring and use of data

Regular project monitoring is undertaken to assess whether or not the project is on track or not and whether the delays confronted (with the finalization of the country case studies for example) will effect utilization of resources. The project has been reported upon in accordance with WIPO standard reporting allowing the Secretariat to monitor activity progress and budget usage.

The project document provides only one indicator of success in achieving the project objectives, “..Number of downloads and citations of published studies”. It is acknowledged within the research sector that beyond publishing research on websites and recording the number of downloads, it is difficult to monitor the impact of the research produced, making this indicator valid, although on its own it gives little indication of the success or impact of the project.

However, what remains unclear for all those spoken to as part of this evaluation, is what the next steps are and what will be done with the data gathered through the case studies and the conceptual study.

5.3 SUSTAINABILITY

There remains a lack of clarity as to whether or how WIPO will continue the work started through this project and it remains to an extent in the hands of the Member States to say whether this foundational work should be moved forwards.

Outside WIPO however, there are efforts to ensure sustainability. For example, through the Open A.I.R project where linked research has been carried out.

The project’s conceptual study which gave guidance to the country case studies and was then re-visited and further informed by the case studies also provides tentative policy and statistical suggestions which could allow for the work to be continued. This project has planted the seeds and allowed for gaining the attention of academics and policy makers. A number of those involved in the expert advisory group also plan to continue the work started in this project as they have already invested time in it.

In addition to the agreed project outputs, WIPO has been involved in a book focusing on innovation in the informal economy and developing countries using information gathered

through this project and bringing together the different project outputs which will contribute to sustainability.

As has been mentioned, measuring the impact of research, beyond monitoring number of downloads, is difficult, costly and takes time. Individual pieces of research are deemed unlikely to have significant impact and it is more a body of evidence to which any changes can be attributed. So alone, this project at this stage may not have any significantly measurable long-term impact but combined with other work being doing in the same arena (such as the Open A.I.R. books on innovation and IP in Africa) the scope for long term impact is definitely broadened. Measuring the impact of research can be complex and dedicated capacity for this is required if it is to be done in any depth. To really assess the impact of the project, consideration needs to be given some time after project end to fully assess reception within the academic and policy communities and further progression of the work. However, the project has been successful in creating new policy awareness and detailed policy suggestions on the topic, giving countries a starting point to take forwards.

5.4 WHAT WORKED WELL AND WHAT DID NOT

The Terms of Reference for the current evaluation ask for an assessment, based on learning from experiences during project implementation, of what worked well and what did not work well for the benefit of continuing activities in this field. This has been covered in the previous sections of this report but the table below highlights some of the main elements of the project that functioned well and those that functioned less well.

Table 1: *What worked well and what did not*

What worked well	
Management approach	The project was well managed by a dedicated and committed team who invested significant time in ensuring that the DA Recommendation was correctly interpreted and fulfilled.
Partnership creation	The selection of experts for the advisory panel and the institutions and individuals involved in the case studies, consisting of some of the most eminent experts in the field, has been a significant factor in contributing to the success of the project and the fulfillment of DA Recommendation 34.
Research approach	The conceptualization of how to go about the research was useful in facilitating the implementation of the country case studies. Narrowing the scope of the study. This took some time and required strong knowledge of the substance as well as interaction with the Member States to ensure their strategic and political guidance.
What did not work well	
Budget limitations	The project was extremely ambitious and during project implementation it became clear that the budget was not sufficient or commensurate with the project objectives. The limited budget prevented the holding of a final workshop which would have allowed for a meeting to discuss the findings of the country case studies and this may have been a more conclusive way to have finalized the project.
Geographical scope	Not including any Francophone countries within Africa is potentially a missed opportunity.

6 CONCLUSIONS

In order to address Recommendation 34 it was necessary for the project team to undertake some significant groundwork prior to project implementation starting. This included:

- obtaining confirmation from the Member States as to the direction of the project based on proposals contained in a discussion paper drafted by the project team;
- creating an expert advisory panel to review case studies and help steer project implementation.

Once the project proposal was approved the need remained for the project team to undertake further detailed groundwork including:

- Selection of which countries would be involved in the case studies.
- Selection of which sectors would be represented in the case studies.

- Initial underlying research in order to develop an understanding of what innovation is taking place in the IE and what the current appropriations are in order to feed into the country case studies (as well as receiving feedback from the country case studies).
- Organization and holding of a workshop involving all the experts concerned with the project prior to commencement of the case studies.

The sequencing of these different stages of the project process has been crucial in ensuring successful project outputs. The initial groundwork, both prior to project implementation starting and in the build up to the case study work starting was extremely important to ensure the application of common and coherent methodological approaches across the countries and to build up a rapport between the project management team, the case study researchers and the expert advisory group – a rapport and understanding which was essential for a cross-country project such as this one. Coordinating the work undertaken under the framework of the project was extremely complex with multiple country case studies being undertaken simultaneously and engagement with a broad range of external stakeholders (primarily in the form of the advisory group) being required throughout. This coordination work was however successfully undertaken and the project has benefitted as a result.

The project has allowed for a close collaboration between the WIPO Secretariat and the Member States as the project team held close discussions not only with those Member States hosting the case studies but with the broader CDIP in order to ensure that the direction of the project was appropriate. In addition, there has been cross-unit involvement and support from within the WIPO-Secretariat with other units providing inputs into country case study selection, reviewing draft reports and assisting in disseminating and promoting the work undertaken within the project at high level meetings.

Although the project budget was limited, those experts spoken to as part of this evaluation confirm that the approach adopted within the project and the project outputs are of significant relevance. The approach was credible and the research is trailblazing and enterprising.

Significant effort has been made to promote and disseminate the project in various for a both by WIPO itself (at the ECOSEC Africa preparatory meeting for example) and also by members of the advisory group and the case study researchers themselves. What remains unclear however is what the next steps are for this leading-edge project and what plans WIPO and the Member States are able to make to ensure that the foundational work undertaken through this project is continued and not lost.

7 RECOMMENDATIONS

Based on the project evaluation's key findings, recommendations are made firstly specifically for the future of this project and secondly for future Development Agenda projects in general.

Table 2: Evaluation Recommendations

Recommendation	Relevant Key Finding/s
Recommendations for the IP-IE Project	
<p>Recommendation 1 The work undertaken within the project, firstly through the conceptual paper, secondly through the common methodological approach applied to the country case studies and finally through the outputs of the case studies themselves is considered by experts in the field to be avant-garde and progressive. It is recommended that the WIPO Secretariat hold discussions internally and with the Member States to elucidate potential further involvement in promoting the project outputs and supporting further similar work within other Member State countries.</p>	Key Finding 9
<p>Recommendation 2 In order to better understand the impact of the project, monitoring should be undertaken both within the three case study countries and more broadly to establish whether the project has resulted in any change (acknowledging that impact may not be visible for some months-years). The WIPO Secretariat should engage with relevant institutions and bodies to seek ways of ensuring that this impact monitoring and measurement is carried out and fed back to the Member States</p>	Key Finding 8
<p>Recommendation 3 The engagement of external stakeholders in the form of an advisory group and country level experts and institutions is one element which will promote sustainability of the project outcomes. In order to further ensure sustainability, it is recommended that those Member States that hosted the country case studies should disseminate the studies as widely as possible within their own countries and advocate for further work to be continued in this arena. Other interested Member States should also assess the country case studies to gauge their relevance to their own context and promote the undertaking of similar studies using the same methodologies within their own countries.</p>	Key Findings 8 and 9

Recommendations for future projects	
<p>Recommendation 4 When implementing projects in light of Development Agenda Recommendations, consideration should be given to mimicking the project framework utilized within this project in order to ensure expert external engagement and close coordination with the Member States. Whilst this may not be necessary for all future projects, the robust methodological approach applied in this project, with initial credible groundwork presented in the conceptual study prior to implementation, and confirmation from the Member States as to the preferred approach has proved to be helpful in ensuring the success of the project.</p>	<p>Key Findings 1, 2, 4, 7 and 10</p>
<p>Recommendation 5 Future projects which are considered to be potentially trailblazing and which involve cross-country working, as is the case for the current project, should ensure that the budget is sufficient to successfully tie up all project outputs in, for example, a final project workshop.</p>	<p>Key Finding 6</p>
<p>Recommendation 6 The CDIP should ensure that unclearly worded Development Agenda Recommendations should be interpreted by the Committee in a way that gives the Secretariat an appropriate direction to allow for effective project design and implementation.</p>	<p>Key Finding 3</p>

[Appendix I follows]



APPENDIX 1 – EVALUATION TERMS OF REFERENCE

PROJECT EVALUATION: PROJECT ON INTELLECTUAL PROPERTY (IP) AND INFORMAL ECONOMY

From December 1, 2013 to May 15, 2014

Ms. Lois Austin
Consultant

TERMS OF REFERENCE

I. PROJECT BACKGROUND

The present document represents the Terms of Reference (TOR) for the evaluation of the *Development Agenda Project on Intellectual Property (IP) and Informal Economy*, approved during the eighth session of the Committee on Development and Intellectual Property (CDIP), held in Geneva, in November 2011. The project document for this project is contained in document CDIP/8/3 Rev. The project implementation started in January 2012 and was completed in June 2013. The project included the following two activities:

1. A conceptual study that sets out what characterizes informal economic activity in countries at different levels of development;
2. Three case studies, from different world regions, that document examples of innovation in the informal economy and provide an assessment of how innovation outcomes have been influenced by IP, and the potential lack of access to it.

All the above project components were implemented under the supervision of the Project Manager, Mr. Carsten Fink, Chief Economist, Economics and Statistics Division.

II. OBJECTIVES OF THE EVALUATION

This evaluation is intended to be a participative evaluation. It should provide for active involvement in the evaluation process of those with a stake in the projects: project team, partners, beneficiaries, and any other interested parties.

The main objective of this evaluation is two-fold:

1. Learning from experiences during project implementation: what worked well and what did not work well for the benefit of continuing activities in this field. This includes assessing the project design framework, project management, including monitoring and reporting tools, as well as measuring and reporting on the results achieved to date and assessing the likelihood of sustainability of results achieved; and
2. Providing evidence-based evaluative information to support the CDIP's decision-making process.

III. SCOPE AND FOCUS

The project time frame considered for this evaluation is 18 months (January 2012 - June 2013). The focus shall not be on assessing individual activities but rather to evaluate the project as a whole and its contribution in assessing the needs of Member States and identify the resources or the means to address those needs, its evolution over time, its performance including project design, project management, coordination, coherence, implementation and results achieved.

In particular, the evaluation will assess the extent to which the project has been instrumental in contributing to greater awareness and enhanced understanding of the IP and informal economy linkages among policymakers.

To this end, the evaluation, in particular, will focus on assessing the following key evaluation questions:

Project Design and Management

1. The appropriateness of the initial project document as a guide for project implementation and assessment of results achieved;
2. the project monitoring, self-evaluation and reporting tools and analysis of whether they were useful and adequate to provide the project team and key stakeholders with relevant information for decision-making purposes;
3. the extent to which other entities within the Secretariat have contributed and enabled an effective and efficient project implementation;
4. the extent to which the risks identified in the initial project document have materialized or been mitigated; and
5. the project's ability to respond to emerging trends, technologies and other external forces.

Effectiveness

The usefulness of the project in contributing to greater awareness and enhanced understanding of the IP and informal economy linkages among policymakers; and

the effectiveness of the project in developing an informed research agenda on IP and Informal Economy.

Sustainability

The likelihood for continued work on IP and Informal Economy in WIPO and its Member States.

Implementation of Development Agenda (DA) Recommendations

The extent to which the DA Recommendation 34 has been implemented through this project.

IV. METHODOLOGY

The evaluation methodology is aimed at balancing the needs for learning and accountability. To this end, the evaluation should provide for active involvement in the evaluation process of those with a stake in the project: project team, senior managers, Member States and national intellectual property (IP) offices.

An external evaluation expert will be in charge of conducting the evaluation, in consultation and collaboration with the project team and the Development Agenda Coordination Division (DACD). The evaluation methodology will consist of the following:

1. Desk review of relevant project related documentation including the project framework (initial project document and study), progress reports, monitoring information, mission reports and other relevant documents.
2. interviews at the WIPO Secretariat (project team, other substantive entities contributing to the project, etc.); and
stakeholder interviews, including users and/or potential users of the database.

V. EVALUATION REPORT

The evaluation report shall include an executive summary and be structured as follows:

1. Description of the evaluation methodology used;
2. summary of key evidence-based findings centered on the key evaluation questions;
3. conclusions drawn based on the findings; and
4. recommendations emanating from the conclusions and lessons learned.

This project evaluation is expected to start on December 1, 2013, and be finalized on March 15, 2014. The reporting language will be English.

VI. ACCOUNTABILITY AND RESPONSIBILITIES

You shall:

1. Be responsible for delivering the evaluation report as described above in accordance with other details provided in this document.
2. work closely with the Development Agenda Coordination Division (DACD) and the Economics and Statistics Division. You shall also coordinate with the relevant Program Managers in WIPO as required.
3. ensure the quality of data (validity, consistency and accuracy) throughout the analytical reporting phases (inception report and final evaluation report).

VII. DELIVERABLES

You will deliver:

1. An inception report which contains a description of the evaluation methodology and methodological approach; data collection tools (including eventual surveys of beneficiaries and stakeholders); data analysis methods; key stakeholders to be interviewed; additional evaluation questions; performance assessment criteria; and evaluation work plan;
2. draft evaluation report with actionable recommendations deriving from the findings and conclusions;
3. final evaluation report; and
4. comprehensive executive summary of the final evaluation report.

VIII. TIMELINE

The inception report should be submitted to WIPO by January 15, 2014. WIPO's feedback shall be communicated to you by January 20, 2014. The draft evaluation report shall be submitted to WIPO by February 28, 2014. Factual corrections on the draft will be provided to you by March 5, 2014. The final evaluation report shall be submitted by March 20, 2014. The final version of the evaluation report containing a management response in an annex shall be considered by the thirteenth session of the CDIP, to be held in May 2014. You will be required to present the evaluation report during that CDIP session.

[Appendix II follows]

APPENDIX 2 – PROJECT EVALUATION INCEPTION REPORT

PROJECT EVALUATION – PROJECT ON INTELLECTUAL
PROPERTY (IP) AND INFORMAL ECONOMY

INCEPTION REPORT

JANUARY 2014

Evaluation consultant
Lois Austin: loisrabbit@aol.com

1. Introduction

This document is the inception report for the evaluation of the project on Intellectual Property (IP) and Informal Economy (DA Recommendation 34).

This document outlines the purpose, objectives, methodology implementation plan and timeframe of the evaluation. The final report will be based on this inception report, pending approval from the client. A proposed structure for the final report is detailed in Annex 1.

2. Purpose and Objectives

The evaluation will focus on assessing the project as a whole rather than on individual activities. The evaluation will concentrate on the project's contribution to assessing the needs of Member States and identifying the resources or the means to address those needs, its evolution over time, its performance including project design, project management, coordination, implementation and results achieved.

A specific focus of the evaluation will be to assess the extent to which the project has been instrumental in contributing to greater awareness and enhanced understanding of the IP and informal economy linkages among policy makers.

3. Evaluation Methodology

The evaluation will be participatory in nature and allow for the involvement of relevant stakeholders including the project team, senior managers, Member States, national IP offices and other parties as far as possible.

Information will be gathered from a range sources using different research methods (predominantly interviews with stakeholders and documentary review) allowing for triangulation and cross-referencing of the data gathered.

3.1 Key Evaluation Questions

The following table outlines the key evaluation questions and proposed methodology for evaluating against those questions. The methodology is organised on the basis of three key evaluation themes – Project Design and Management; Effectiveness; and Sustainability.

Theme	Key Questions	Proposed Indicators	Data Collection Tools	Information Sources
Project Design and Management	How appropriate was the initial project document as a guide for project implementation?	Extent of appropriateness of Project Document	Document review Interviews	Documentation WIPO Secretariat
	How appropriate was the initial project document for assessment of results achieved?	Extent of appropriateness of Project Document	Document review Interviews	Documentation WIPO Secretariat
	To what extent have other entities within the Secretariat contributed and enabled effective and efficient project implementation?	Level of contribution of different entities	Document review Interviews	WIPO Secretariat
	To what extent have the risks identified in the initial project document materialized and/or been mitigated?	Extent of risks arising and being mitigated	Document review Interviews	Documentation WIPO Secretariat
	How has the project responded to emerging trends, technologies and other external forces?	Levels of flexibility and ability to respond change	Document review Interviews	Documentation WIPO Secretariat Member States
	To what extent have Member States been involved in the project design?	Degree of involvement of Member States	Document review	Documentation WIPO

Theme	Key Questions	Proposed Indicators	Data Collection Tools	Information Sources
			Interviews	Secretariat Member States Other stakeholders
	Through what process were IP and IE research needs identified	Steps taken to identify needs	Document review Interviews	Documentation WIPO Secretariat Member States Other stakeholders
	What project monitoring has been undertaken? How is the monitoring data used? Was it useful for the project team and key stakeholders to enable decision-making?	Extent of monitoring and usage of monitoring data	Document review Interviews	Documentation WIPO Secretariat
	What project reporting has been in place? Was it useful for the project team and key stakeholders to enable decision-making?	Extent and usage of reporting	Document review Interviews	Documentation WIPO Secretariat
Effectiveness	To what extent has the project has been instrumental in contributing to greater awareness and enhanced understanding of the IP and informal economy linkages among policy makers? What evidence can you provide of this?	Degree of usefulness of database linked to original needs	Document review Interviews	Documentation WIPO Secretariat

Theme	Key Questions	Proposed Indicators	Data Collection Tools	Information Sources
				Member States Other stakeholders
	How effective has the project been in developing an informed research agenda on IP and informal economy?	Level of usefulness for research agendas	Document review Interviews	Documentation WIPO Secretariat Member States Other stakeholders
Sustainability	What is the likelihood of continued work being undertaken on IP and Informal Economy in WIPO and its member states? How is this connected to the project?	Planned levels of future usage Number and type of steps towards sustainability Constraints and limitations	Interviews	WIPO Secretariat Member States Other stakeholders
DA Recommendation Implementation	To what extent has DA Recommendation 34 been implemented through this project?	Extent of implementation of recommendation	Document review Interviews	Documentation WIPO Secretariat Member States

3.2 Research tools

The proposed research tools – document review and semi-structured interviews - will be used for each of the different themes and throughout all the relevant questions. The following table provides further information on these tools and how they will be deployed.

Tool	Description	Information source
<i>Document review</i>	Review of key documentation	WIPO documentation
<i>Interviews</i>	Approximately 10-15 semi-structured telephone interviews	<ul style="list-style-type: none"> - WIPO Secretariat (project team and other entities) - Member states - National IP offices - Donor agencies

The focus will be upon gathering qualitative data using iterative and comparative processes where the design and findings of each step impact the structure and approach of subsequent review phases. Data gathered will be compared and analysed on the basis of the three main evaluation themes.

4. Implementation plan, deliverables and timeframe

Using the Terms of Reference as a basis, five different phases of the evaluation are envisaged:

Phase 1 - Inception phase

In designing the Inception Report, the evaluator aims to meet/discuss with key stakeholders including WIPO Secretariat staff. These interactions are considered as an informal clarification and discovery process to: identify key issues in the evaluation design; confirm the full group of stakeholders involved; agree upon outputs; and ensure a well-targeted methodology.

Phase 2 - Documentation review

The desk review provides an objective entry point for the evaluation, and serves as a broad survey of existing data and information related to the project.

Phase 3 - Stakeholder interviews

Based on the outcomes of the desk review, an interview guide will be created (using the key questions as a basis) and stakeholder interviews will be undertaken. The evaluator will undertake detailed interviews with an agreed set of key informants. The evaluator will work closely with WIPO to develop and refine this list of informants to ensure a nuanced understanding of the subject matter. Interviews will be conducted by telephone. Interviews will focus on qualitative data collection.

Phase 4 - Report Production

Data collected through the desk study and stakeholder interviews will be analysed and triangulated in order to produce the key findings and linked recommendations in the final evaluation report. An initial draft report will be provided and client comments incorporated where appropriate.

Phase 5 - Evaluation Presentation

The evaluation will be presented at the thirteenth session of the CDIP in May 2014.

	<i>Key steps and timeline</i>	January 2013	January 2014	January-February 2014	28 February 2014	5 March 2014	20 March 2014	May 2014
Phase 1	Creation and approval of inception report							
Phase 2	Research tool creation & desk review							
Phase 3	Data collection & analysis							
Phase 4	Delivery of draft report							
Phase 4	Client comments on report							
Phase 4	Delivery of final report							
Phase 5	Evaluation presentation							

Deliverables:

The following key deliverables are foreseen for this evaluation:

- Inception report
- Draft evaluation report
- Final evaluation report

In addition, the author will present the findings of the evaluation during the 13th session of the CDIP in May 2014.

Draft structure for final report

1. Executive summary
2. Introduction (with background to the project)
3. Description of the project objectives evaluated
4. Overview of evaluation objectives & methodology
5. Key findings:
 - Project design and management
 - Effectiveness
 - Sustainability
6. Conclusions & recommendations
7. Annexes:
 - Key informants
 - List of documents/publications consulted
 - Research instruments used (interview guidelines)
 - Inception report
 - Mini-bio on the author of the report

[Appendix III follows]

APPENDIX 3 – KEY STAKEHOLDERS INTERVIEWED

Name	Position	Interview date
WIPO Senior Management		
Mrs. Maya Katharina Bachner	Acting Director and Head, Program Management and Performance, Resource Planning, Program Management and Performance Division	10 February 2014
Mr. Irfan Baloch	Director, DACD	10 February 2014
Mr. Joe Bradley	Head, Intergovernmental Organizations and Partnerships Section, Department of External Relations	19 February 2014
Mr. Georges Ghandour	Senior Program Manager, DACD	10 February 2014
Mr. Herman Ntchacho	Senior Director, Department for Africa and Special Projects	10 February 2014
Mr. Sacha Wunsch-Vincent	Senior Economic Officer, Economics and Statistics Division	7 January 2014 and 10 February 2014
Member State Representatives		
Mr. Rodrigo Mendes Araujo	First Secretary, Permanent Mission of Brazil	11 February 2014
HE Mr. Mohamed Siad Doualeh	Ambassador, Permanent Mission of Djibouti	10 February 2014
Mme Ndèye Fatou Lo	Premier Conseiller, Mission Permanente de Sénégal	11 February 2014
Mr. Grega Kumer	Attaché, Permanent Mission of the United Kingdom	11 February 2014
Mrs. Kristine L Schlegelmilch	IP Attaché, Permanent Mission of the USA	11 February 2014
Project Team Members		
Mr. Jeremy de Beer	Associate Professor, Faculty of Law, University of Ottawa (Project expert advisory group member)	19 February 2014
Mr. Jacques Charmes	Director of Research, Emeritus, Institute of Research for Development (Project expert advisory group member)	17 February 2014
Mr. Georges Essegbey	Director, Science and Technology Policy Research Institute, Council for Scientific and Industrial Research Ghana (Leader of the Ghana country case study)	7 February 2014

[Appendix IV follows]

APPENDIX 4 – KEY DOCUMENTS REVIEWED

1. *Programme for the 2013 Annual Ministerial Review Regional ECOSOC Preparatory Meeting for Africa on Innovation as Enabler for the Achievement of the Millennium Development Goals and Sustainable Development*, (March 2013)
2. *Study of Informal Manufacturers of Home and Personal Care Products in South Africa* (Kraemer-Mbula, E., Tau, V) (2013)
3. *Study of the Informal Metalworking Sector in Nairobi* (Bull, C., Daniels, S., Kinyanjui, M., Hazeltine, B.) (2013)
4. *Study of the Traditional Herbal Medicine in Ghana* (Essegbey, G., Essegbey, I., Stephen, A., Micah, E., Akuffo-Bea, M) (2013)
5. *WIPO Economic Research Working Paper No.10 – The informal economy, innovation and intellectual property – Concepts, metrics and policy considerations* (de Beer, J., Fu, K., Wunsch-Vincent, S), (2013)
6. *WIPO Project Implementation Proposal – Intellectual Property and the Informal Economy (Recommendation 34)* (July 2012)
7. *WIPO Project Progress Reports*
8. *WIPO Sixth Session of the CDIP, Discussion Paper on Intellectual Property and the Informal Economy* (November 2010)
9. *WIPO Study: Informal Economy Important for Developing Growth, But No IP –* (Saez, C) (Intellectual Property Watch) (June 2013)
10. *WIPO/IERI Book Project Overview for Innovation and the Informal Economy in Developing Countries – New Economics Insights and Policies*
11. *WIPO/IERI Workshop Agenda: International Workshop on Innovation, Intellectual Property and the Informal Economy* (November 2012)

[End of Appendix IV and of document]