

## **Committee on Development and Intellectual Property (CDIP)**

### **Sixth Session**

**Geneva, November 22 to 26, 2010**

### **PROJECT ON INTELLECTUAL PROPERTY AND TECHNOLOGY TRANSFER: COMMON CHALLENGES - BUILDING SOLUTIONS (RECOMMENDATIONS 19, 25, 26 AND 28)**

*Document prepared by the Secretariat*

1. The Committee on Development and Intellectual Property (CDIP) at its Fifth Session held from April 26 to 30, 2010, while considering the project document on Intellectual Property and Technology Transfer: Common Challenges – Building Solutions contained in CDIP/4/7, agreed to task the Secretariat with the preparation of a revised project proposal, taking into consideration the discussions held on that matter as well as the agreed elements from the Non-Paper contained in Paper No. 1 dated March 12, 2010.
2. The annex to this document contains the above-mentioned revised project proposal.
3. *The CDIP is invited to consider and approve the Annex to this document.*

[Annex follows]

**DEVELOPMENT AGENDA RECOMMENDATION(S) 19, 25, 26 and 28**

|   |   |
|---|---|
| <b>1. SUMMARY</b>                                   |   |
| <b><u>Project Code:</u></b>                         | DA_19_25_26_28_01   |
| <b><u>Title:</u></b>                                | Intellectual Property and Technology Transfer: Common Challenges - Building Solutions   |
| <b><u>Development Agenda Recommendation(s):</u></b> | <p>Recommendation 19: 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>Recommendation 25: To explore IP-related policies and initiatives necessary to promote the transfer and dissemination of technology, to the benefit of developing countries and to take appropriate measures to enable developing countries to fully understand and benefit from different provisions, pertaining to flexibilities provided for in international agreements, as appropriate.</p> <p>Recommendation 26: To encourage Member States, especially developed countries, to urge their research and scientific institutions to enhance cooperation and exchange with research and development (R&amp;D) institutions in developing countries, especially LDCs.</p> <p>Recommendation 28: To explore supportive IP-related policies and measures Member States, especially developed countries, could adopt for promoting transfer and dissemination of technology to developing countries.</p>   |
| <b><u>Brief Description of Project:</u></b>         | <p>The project will include a range of activities that will explore possible initiatives and IP-related policies for promoting technology transfer, the dissemination and facilitation of access to technology for development, particularly for the benefit of developing countries, including LDCs.</p> <p>The project will consist of five progressive phases with the objective of adopting a list of suggestions, recommendations and possible measures for promoting technology transfer.</p> <p>The project includes the following activities: (i) the organization of five Regional Technology Transfer Consultation Meetings, the composition criteria and TOR of which will be decided by Member States; (ii) the elaboration of a number of peer-reviewed analytic studies, including economic studies and case studies on international technology transfer, that will provide inputs for the High-Level Expert Forum; (iii) the organization of a High Level International Expert Forum on "Technology Transfer and IP: Common Challenges - Building Solutions" to analyze the needs in the area of technology transfer and make proposals for the above-mentioned list of suggestions, recommendations and possible measures for promoting technology transfer. The composition criteria and terms of reference (TORs) of the High Level Forum would be decided upon by Member States; (iv) the creation of a Web Forum on "Technology Transfer and IP: Common Challenges - Building Solutions"; and (v) the incorporation of any outcome resulting from the above activities into the WIPO programs, after consideration by the CDIP and any possible recommendation by the Committee to the General Assembly.</p> |

|  |   |
|--|---|
| <b><u>Implementing Program(s):</u></b>                             | 18  |
| <b><u>Links to other related Program(s) / DA Project(s):</u></b>   | <p>Innovation and Technology Transfer Section, Patents and Innovation Division, Innovation and Technology Sector; Economics and Statistics Division; Global Challenges Division.</p> <p>Project on Innovation and Technology Transfer Support Structure for National Institutions.</p> <p>Links to WIPO programs 1, 8, 9, 10 and 18.</p>  |
| <b><u>Links to Expected Results in the Program and Budget:</u></b> | <p>Greater awareness of the legal principles and practices, of the patent system, including the flexibilities existing in the system, and enhanced understanding and further clarification of current and emerging issues that arise in relation to patent-related matters (Program 1)</p> <p>Development Agenda (DA) principles further mainstreamed into the Organization's programs and activities, including its normative work (Program 8)</p> <p>Effective implementation of the DA through concrete projects and activities (Program 8)</p> <p>National IP policies/strategies and country action plans that are in line with national development plans and priorities (Program 9)</p> <p>Enhanced capacity of IP professionals and creation of a critical mass of IP specialists/experts (Program 9)</p> <p>Stronger, empirically well founded policy dialogue between governments, international organizations, civil society actors, and the private sector on current and emerging global issues touching on IP (Program 18).</p> <p>Member States' capacity and understanding of innovation and technology management and transfer has been enhanced (Program 18).</p> |
| <b><u>Project Duration:</u></b>                                    | 27 months   |
| <b><u>Project Budget:</u></b>                                      | <p>Non-personnel costs: Sfr. 1,193,000</p> <p>Personnel costs: Sfr. 598,000</p>   |

## 2. PROJECT DESCRIPTION

### 2.1. Introduction to the issue/concern

Concerns about the access to and transfer of knowledge and technology between different actors on the national (university - private sector - industry) and the regional/international levels are becoming increasingly important, not only because creativity and innovation are crucial for competitiveness and economic growth in the knowledge based economy, but also because they may be part of the solution in some of the issues raised by complex contemporary problems and needs, for example, in the fields of climate change, health, food security or in the attempts to reduce the knowledge and technology gap between countries.

Transfer of technology refers broadly to a series of processes enabling and facilitating flows of skills, knowledge, ideas, know-how and technology among different stakeholders such as university and research institutions, international organizations, IGOs, NGOs, private sector entities and individuals, as well as international technology transfer among countries. Transfer of technology, which is often considered to include the absorption of new technologies, is sometimes also considered to involve the transfer of concrete knowledge for the manufacture of products, the application of a process or for the rendering of a service granting the improvement of domestic as well as the international competitiveness in the economic market.

The fullest, freest access and the effective use of new and existing technologies enable developing countries and LDCs to improve their economic standards and living conditions. In fact, since technology transfer increases the stock of knowledge of the transferee, not only are the selection and acquisition of new technologies important, but also their effective use will be critical as a base for further development and exploitation of new products, processes or applications. The development and dissemination of appropriate, affordable and sustainable technology and the transfer of such technology on mutually agreed terms, are crucial for the achievement of the Millennium Development Goals.

The project consists of the following five components:

1. Organization of five regional consultation meetings in consultation with Member States;
2. Elaboration of a number of peer-reviewed analytic studies, including economic studies and case studies on international technology transfer, that will provide inputs for the High-Level Expert Forum;
3. Organization of a High-Level International Expert Forum on "Technology Transfer and IP: Common Challenges – Building Solutions" to further facilitate access to knowledge and technology for developing countries and LDCs and propose a list of suggestions, recommendations and possible measures for promoting technology transfer.
4. Creation of a Web Forum on "Technology Transfer and IP: Common Challenges Building Solutions"; and
5. Incorporation of any outcome resulting from the above activities into the WIPO programs, after consideration by the CDIP and any possible recommendation by the Committee to the General Assembly..

In addition, the project should be closely coordinated with other tasks from WIPO Divisions such as the Economics and Statistics Division which could integrate the outcomes of this project in the form of 'boxes' into WIPO's annual economic flagship publication. The Global Challenges Division could also assimilate it into their efforts in this area.

## 2.2. Objective(s)

The objectives of this project are framed by recommendations 19, 25, 26 and 28. In particular, the project will use a “step-by-step” approach involving accredited organizations and new partners involved in all aspects of technology transfer, and explore intellectual property-related policies and new initiatives necessary to promote the transfer and dissemination of technology, benefiting developing countries in particular, together with the establishment of international IP collaboration.

Target beneficiaries include: National Governments through Government officials in various areas and policy-makers, universities and research institutions, industry, IP experts and technology managers.

## 2.3. Delivery Strategy

- Preparation of a project paper including a detailed description of the above-mentioned components, to be provided to the CDIP for approval;
- Organization of five Regional Technology Transfer Consultation Meetings in different regions of the world, including in developed countries, in prior consultation with Member States in Geneva, and involving different stakeholders in the area of technology transfer, including other relevant UN organizations;
- Elaboration of a number of peer-reviewed analytic studies, in cooperation with relevant UN and other international organizations, including economic studies and case studies on international technology transfer, that will provide inputs for the High-Level Expert Forum, including, in particular:
  - (a) a series of economic studies on IP and International Technology Transfer. These studies would focus on areas that have received less attention in the available economic literature and on identifying possible obstacles and suggesting possible ways in which technology transfer could be enhanced. These studies should not be redundant with existing internal (in other WIPO committees such as SCP) or external (from other organizations) studies on technology transfer;
  - (b) a study that will provide information on existing intellectual property right (IPR) related policies and initiatives found in the public and private sector of developed countries to promote technology transfer and R&D capacity in developing countries, including international IP standards pertaining to technology transfer, such as the use of flexibilities in international IP agreements. This new study should avoid duplication of work and constitute an addition to work already undertaken in WIPO;
  - (c) a series of case studies of cooperation and exchange between R&D institutions in developed countries and R&D institutions in developing countries as well as a database of links to national institutions that already offer technology transfer opportunities or may offer such possibilities;
  - (d) a study on Favorable Incentive Policies for businesses to become partners in technology transfer processes at the national and international level;
  - (e) an analysis of transfer of technologies issues relating to existing and emerging issues of concern to DCs and LDCs in order to identify their needs in certain specific regions or sub-regions;
  - (f) a series of studies looking at alternatives for R&D efforts and support to innovation aside from the currently existing patent system; and
  - (g) a review of the patent landscaping reports being prepared under the Project on “Developing Tools for Access to Patent Information” (CDIP/4/6), with a view to identifying the possibilities of international transfer of technology in these areas. Similar analysis of patent landscaping, from the viewpoint of technology transfer, in the areas of food and agriculture should also be undertaken.

The analytic studies need to start with a literature review of existing work and efforts done in the field of technology transfer by other International Organizations, such as UNCTAD, UNEP, UNIDO, WHO, WTO among others. A list of issues which need to be addressed should be pre-defined as required by Development Agenda recommendations 30 and 40, and as explicitly raised at the Open Forum on the DA projects hosted by WIPO on 13 and 14 October 2009. These economic studies would also be coordinated with other DA studies such as the "Project on Intellectual Property and Socio-Economic Development" described in Recs.35 & 37 (CDIP/5/7).

- Elaboration of a concept paper on building solutions as the basis for discussion at the High Level International Expert Forum, to be submitted to the CDIP for approval;
- Preparation and provision of materials, modules, teaching tools and other instruments resulting from recommendations adopted at the Expert Meeting, and inclusion of such results into the global WIPO capacity building framework. This may include contents and concrete country projects related to the design and development of the necessary infrastructure for IP asset management in relation to technology transfer;
- Organization of a High Level Expert Forum in the form of an international conference to initiate discussions on how, within WIPO's mandate, to further facilitate access to knowledge and technology for developing countries and LDCs, including in emerging areas, as well as, other areas of special interest for developing countries, taking into account recommendations 19, 25, 26 and 28. The Forum would provide a framework for an open dialogue among independent experts from both developed and developing countries knowledgeable in public and private sector technology transfer. In addition to the specific areas indicated in recommendations 19, 25, 26 and 28, the experts may identify further issues related to improving technology transfer and to propose potential solutions. In particular, the experts should debate on technology transfer supportive IP-related policies by developed countries. The objective would be to obtain high-level expert recommendations as a basis for the creation of the above-mentioned list of suggestions, recommendations and possible measures for promoting technology transfer.

The High-Level Expert Forum should also benefit from consultations with Member States. Concerning the composition of the High-Level Experts Forum, the top experts worldwide on the different aspects of the subject would need to be selected by WIPO according to fair selection criteria approved by Member States to ensure the project's progress. Details will be furnished in the project paper to be provided to the CDIP, as stated above.

- Creation of a Web Forum on "Technology Transfer and IP: Common Challenges - Building Solutions" within the framework of the portal on Innovation and Technology Transfer Support Structure for National Institutions to be established in the context of the project for Recommendation 10 in consultation with Member States and other stakeholders, while facilitating the participation of developing countries and LDCs in such Web Forum; and
- Incorporation of any outcome resulting from the above activities into the WIPO programs, after consideration by the CDIP and any possible recommendation by the Committee to the General Assembly.

Potential risks include ensuring that the project appropriately addresses the issue in different contexts; in particular, bearing in mind the different levels of development. In order to mitigate this risk, national and regional consultations with different stakeholders throughout project delivery will be essential.

Long-term sustainability presupposes and requires the resources, both substantive and IT-related, to regularly update the contents of the Web Forum.

|   |   |
|---|---|
| <b>3. REVIEW AND EVALUATION</b>   |   |
| <b>3.1. Project Review Schedule</b>   |   |
| <p>1. Monitoring reports, a first in six-months and a second in 18-months after the initial report, will indicate whether outputs and targets have been reached and what progress has been made towards the achievement of the project objectives; and</p> <p>2. A final self-evaluation report will be established at the end of the project, evaluating the degree of the achievement of the project and best ways of the inclusion of such results into the global WIPO capacity building framework.</p> |   |
| <b>3.2. Project Self-Evaluation</b>   |   |
| <b>Project Outputs</b>  | <b>Indicators of Successful Completion (Output Indicators)</b>  |
| 1. Project paper  | Draft document ready within three months from approval of the project, in consultation with Member States.  |
| 2. Organization of Regional Technology Transfer Consultation Meetings.  | Meetings organized within three months from the conclusion of the project paper; <ul style="list-style-type: none"> <li>— Feedback by participants; and</li> <li>— Comments from Member States consultations.</li> </ul>  |
| 3. Studies, case studies and analyses.  | Completion of the studies and analyses within the established timeframe and the standards required by the terms of reference (TORs).  |
| 4. Organization of High-Level Expert Forum.   | High-Level Expert Forum organized within six months from the completion of studies; <ul style="list-style-type: none"> <li>— High-level attendance to the Forum;</li> <li>— Positive feedback from participants on concept paper and studies; and</li> <li>— Forum results in adoption of a list of suggestions, recommendations and possible measures for promoting technology transfer after consultations with Member States.</li> </ul> |
| 5. Web Forum established and used.  | <ul style="list-style-type: none"> <li>— Web Forum operational at an early stage;</li> <li>— Number of web forum users and qualitative feedback from web forum users; and</li> <li>— Compilation and analysis of public opinion discussions posted on the Web Forum.</li> </ul>   |
| 6. Strengthened existing activities within WIPO, which foster access to knowledge and technology.   | Incorporation of any outcome resulting from the above activities into the WIPO programs, after consideration by the CDIP and any possible recommendation by the Committee to the General Assembly..   |

| <b>Project Objective(s)</b>  | <b>Indicator(s) of Success in Achieving Project Objective (Outcome Indicators)</b>   |
|--|--|
| <p>Exploration of new ways of establishing international IP collaboration, enhanced understanding and consensus on possible IP initiatives or policies to promote technology transfer.</p> | <ul style="list-style-type: none"> <li data-bbox="676 255 1410 344">— Feedback from the Committee on the extent to which understandings of the issues have been enhanced and project objectives have been met;</li> <li data-bbox="676 383 1410 472">— Adoption and concrete use of the suggestions, recommendations and possible measures for promoting technology transfer by Member States;</li> <li data-bbox="676 510 1410 568">— Feedback on the content by the users via the Web Forum and evaluation questionnaires;</li> <li data-bbox="676 607 1410 665">— Widespread use of the medium by developing countries and LDCs.</li> </ul> |



## IMPLEMENTATION TIMELINE<sup>1</sup>

| ACTIVITY  | QUARTERS |     |     |     |    |     |     |     |    |   |
|---|----------|-----|-----|-----|----|-----|-----|-----|----|---|
|   | 4th      | 1st | 2nd | 3rd | 4h | 1st | 2nd | 3rd | 4h |   |
| 1. Five Regional Consultation Meetings  |          |     | X   | X   |    |     |     |     |    |   |
| 2. Development of studies, case studies and papers in the area of IP and technology transfer information  |          |     |     | X   | X  | X   | X   |     |    |   |
| 3. Three day High Level International Expert Forum  |          |     |     |     |    |     |     | X   |    |   |
| 3.1. Drafting Project Paper   |          | X   |     |     |    |     |     |     |    |   |
| 3.2. Preparation of Concept Paper   |          |     |     |     |    |     | X   |     |    |   |
| 3.3. Submission of Draft Concept Paper for comments by international experts  |          |     |     |     |    |     | X   |     |    |   |
| 3.4. Presentation of the Concept Paper to Permanent Missions in Geneva  |          |     |     |     |    |     | X   |     |    |   |
| 3.5. One day meeting with inter-governmental and non-governmental organizations, professional associations and selected experts   |          |     |     |     |    |     |     | X   |    |   |
| 4. Creation of a Web Forum and updating   |          |     | X   | X   | X  | X   | X   | X   | X  | X |
| 5. Incorporation of any outcome resulting from the above activities into the WIPO programs, after consideration by the CDIP and any possible recommendation by the Committee to the General Assembly. |          |     |     |     |    |     |     |     |    | X |

<sup>1</sup> The inclusion, in the revised document, of several additional consultations of Member States may require further review and possible extension of these timelines

**BUDGET (non-personnel resources)**

**Table 1 – Project Budget by Cost Category and Year**

| Cost Category                 | Budget (Swiss Francs) |                |        |                  |
|-------------------------------|-----------------------|----------------|--------|------------------|
|                               | Year 1                | Year 2         | Year 3 | Total            |
| <i>Travel and Fellowships</i> |                       |                |        |                  |
| Staff Missions                | 40,000                | 80,000         |        | 120,000          |
| Reg. Consultations            | (40,000)              |                |        |                  |
| Meetings on Studies           |                       | (55,000)       |        |                  |
| Meetings for Paper            |                       | (25,000)       |        |                  |
| Third-party Travel            | 280,000               | 300,000        |        | 580,000          |
| Reg. Consultations            | (200,000)             |                |        |                  |
| Experts                       | (80,000)              | (260,000)      |        |                  |
| One Day Meeting               |                       | (40,000)       |        |                  |
| Fellowships                   |                       |                |        |                  |
| <i>Contractual Services</i>   |                       |                |        |                  |
| Conferences                   | 20,000                |                |        | 20,000           |
| Experts' Honoraria            | 90,000                | 90,000         |        | 180,000          |
| High Level Forum              |                       | (33,000)       |        |                  |
| Study Experts                 | (90,000)              | (57,000)       |        |                  |
| Publishing                    | 5,000                 | 5,000          |        | 10,000           |
| Others                        | 141,000               | 142,000        |        | 283,000          |
| IT Consultant                 | (84,000)              | (85,000)       |        |                  |
| Experts for Studies           | (57,000)              | (57,000)       |        |                  |
| <i>Equipment and Supplies</i> |                       |                |        |                  |
| Equipment                     |                       |                |        |                  |
| Supplies and Materials        |                       |                |        |                  |
| <b>TOTAL</b>                  | <b>576,000</b>        | <b>617,000</b> |        | <b>1,193,000</b> |

**BUDGET (personnel resources, where applicable)**

**Table 2 – Project Budget by Cost Category and Year**

| Cost Category | Budget (Swiss Francs) |                |        |                |
|---------------|-----------------------|----------------|--------|----------------|
|               | Year 1                | Year 2         | Year 3 | Total          |
| 1 P3 at 100%  | 126,000               | 126,000        |        | 252,000        |
| 1 G5 at 100%  | 110,000               | 111,000        |        | 221,000        |
| 1 G6 at 50%   | 62,000                | 63,000         |        | 125,000        |
| <b>TOTAL</b>  | <b>298,000</b>        | <b>300,000</b> |        | <b>598,000</b> |

[End of Annex and of document]