

Committee on Development and Intellectual Property (CDIP)

Twenty-Seventh Session
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COMPLETION REPORT OF THE PROJECT ON INTELLECTUAL PROPERTY
MANAGEMENT AND TRANSFER OF TECHNOLOGY: PROMOTING THE EFFECTIVE USE
OF INTELLECTUAL PROPERTY IN DEVELOPING COUNTRIES, LEAST DEVELOPED
COUNTRIES AND COUNTRIES WITH ECONOMIES IN TRANSITION

prepared by the Secretariat

1. The Annex to this document contains the completion report of the Project on Intellectual Property (IP) Management and Transfer of Technology: Promoting the Effective Use of IP in Developing Countries, Least Developed Countries and Countries with Economies in Transition. The report covers the entire period of the project implementation, i.e., from January 2018 to October 2020.

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

[Annex follows]

PROJECT SUMMARY	
<u>Project Code</u>	DA_1_10_12_23_25_31_40_01
<u>Title</u>	Intellectual Property Management and Transfer of Technology: Promoting the Effective Use of Intellectual Property in Developing Countries, Least Developed Countries and Countries with Economies in Transition
<u>Development Agenda Recommendations</u>	<p><i>Recommendation 1:</i> WIPO technical assistance shall be, inter alia, development-oriented, demand-driven and transparent, taking into account the priorities and the special needs of developing countries, especially LDCs, as well as the different levels of development of Member States and activities should include time frames for completion. In this regard, design, delivery mechanisms and evaluation processes of technical assistance programs should be country specific.</p> <p><i>Recommendation 10:</i> To assist Member States to develop and improve national intellectual property institutional capacity through further development of infrastructure and other facilities with a view to making national intellectual property institutions more efficient and promote fair balance between intellectual property protection and the public interest. This technical assistance should also be extended to sub-regional and regional organizations dealing with intellectual property.</p> <p><i>Recommendation 12:</i> To further mainstream development considerations into WIPO's substantive and technical assistance activities and debates, in accordance with its mandate.</p> <p><i>Recommendation 23:</i> To consider how to better promote pro-competitive intellectual property licensing practices, particularly with a view to fostering creativity, innovation and the transfer and dissemination of technology to interested countries, in particular developing countries and LDCs.</p> <p><i>Recommendation 25:</i> To explore intellectual property -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><i>Recommendation 31:</i> To undertake initiatives agreed by Member States, which contribute to transfer of technology to developing countries, such as requesting WIPO to facilitate better access to publicly available patent information.</p> <p><i>Recommendation 40:</i> To request WIPO to intensify its cooperation on IP related issues with United Nations agencies, according to Member States' orientation, in particular United Nations Conference on Trade and Development (UNCTAD), United Nations Environment Programme (UNEP), World Health Organization (WHO), United</p>

	Nations Industrial Development Organization (UNIDO), United Nations Educational, Scientific and Cultural Organization (UNESCO) and other relevant international organizations, in order to strengthen the coordination for maximum efficiency in undertaking development programs.
<u>Project Budget</u>	584,000 Swiss francs total budget costs of which: Non-personnel costs: 314,000 Swiss francs and Personnel costs: 270,000 Swiss francs
<u>Project Duration</u>	31 months
<u>Key WIPO Sectors Involved and Links to WIPO Programs</u>	Links to Program 14, 9 and 30.
<u>Brief Description of Project</u>	<p>Many countries around the world have enacted legislation to ensure greater socio-economic returns from public investment in research and/or development. This top-down approach mandates a bottom up response in terms of awareness, training and skills development in the field of IP management and transfer of technology for funders, developers, managers and users of IP.</p> <p>There are many factors that stifle innovation (in all forms be it incremental, social, open, radical, etc.), one of which is the shortage in the required skills in IP management and transfer of technologies for funders, developers, managers and users in the innovation value chain.</p> <p>The project aimed to enhance the innovation capabilities of Developing Countries, Least Developed Countries and Countries with Economies in Transition by deploying training/capacity building opportunities, cooperation opportunities, and learning materials such as guides and best practices documents (both academic and practical in nature) for a range of players along the innovation value in a more targeted manner.</p> <p>The project was implemented in four (4) selected countries: Chile, Indonesia, Rwanda and South Africa, where it aimed at building capacities of key stakeholders (ranging from funders, developers, to managers and ultimately users) and increasing cooperation between Member States to facilitate knowledge transfer.</p> <p>The project was particularly relevant in the context of the WIPO Development Agenda (DA), where it sought to demonstrate how developing, emerging and least developed countries can benefit from capacity development in IP management and transfer of technologies, with the overall end goal of enhanced innovation. Focusing on experiences in the selected pilot countries, the project showcased how the strategic use of IP tools can create opportunities for socio-economic development.</p>

<p><u>Project Managers</u></p>	<p>Mr. Alejandro Roca Campaña, Senior Director, IP for Innovators Department and Mr. Andrew Czajkowski, Director, Technology and Innovation Support Division</p>
<p><u>Links to Expected Results in the Program and Budget</u></p>	<p>Expected Result III.2: Enhanced human resource capacities able to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition.</p>
<p><u>Summary overview of Project implementation</u></p>	<p>The Project implementation commenced in January 2018 with the selection of the four (4) pilot countries, namely, Chile, Indonesia, Rwanda and South Africa.</p> <p>The Project's main objective was to promote the effective use of intellectual property and any associated intellectual property rights as a tool for socio-economic development in developing, emerging and least developed countries, in particular, the use of intellectual property developed following public investment in research and/or development.</p> <p>Its specific objectives were as follows:</p> <ul style="list-style-type: none"> (i) To establish a framework for more effectively targeting capacity building activities in the field of technology transfer; and (ii) To create capacity in IP management and transfer of technologies amongst the key role players in the categories of funders, developers, managers and users of IP. <p>1. Production of the manual and toolkit:</p> <p>A manual and toolkit for assessing training needs in areas related to technology transfer were completed by a training needs assessment expert in the second quarter of 2018. Detailed mapping of innovation value chains, including their elements (funders, developers, managers, and users of IP and associated support institutions such as TISCs) and the relationships between them, for the pilot countries were similarly also completed by country experts in the second quarter of 2018.</p> <p>A training needs assessment was additionally carried out by the country experts in each pilot country based on the manual and toolkit, and a report on the findings of the training needs assessment in each pilot country was completed by the country experts in the fourth quarter of 2018. The reports provide an overview of data for each targeted institution (representing different elements of the pilot country's innovation value chain) and trends across the targeted institutions for each pilot country. Feedback was further collected from the country experts on their experience in using the manual and toolkit, which was used as a basis for the revision of the manual and toolkit, completed in the fourth quarter of 2018.</p>

Training plans were developed by the country experts for each pilot country based on the training needs assessment reports in the first quarter of 2019. The plans outline the type and subject matter for training activities targeting specific elements of the innovation value chain and vary for each of the pilot countries according to their specific national, institutional, and individual needs. Consultations were held with national focal points (intellectual property offices or ministries responsible for intellectual property matters) during the second quarter of 2019 to obtain feedback on and finalize the training plans.

Training seminars based on the training plans were carried out for Indonesia in Jakarta in December 2019 and online in October 2020, for Rwanda in Kigali in January 2020 and online in August 2020, and for South Africa in Pretoria in October 2019 and February 2020. The training seminars included participants representing various players along the innovation value chain, such as: funders of research, developers of IP, managers of IP, users of IP.

Data was collected from participants in the training seminars and their institutions to determine the relative effectiveness of targeted capacity building activities in the field of technology transfer with respect to reaction, learning, behavior and results.

A second training needs assessment and revision of the training plan were done for Chile due to significant changes in the innovation value chain in the country signaled by the national project focal point. The second training needs assessment, in particular, reviewed the country mapping and impact of changes on training needs of various players along the innovation value chain. The revised training plan was used as a basis for launching a new national technology transfer certification process for Chile at the request of the national project focal point. A consultation meeting was held in June 2020 to initiate the development of this process, in which the revised training plan was presented to stakeholders and experiences and good practices were outlined by an international subject matter expert.

A final revision of the manual and toolkit for assessing training needs in areas related to technology transfer was done based on data collected from participants in the training seminars and the experience gathered from the second training needs assessment and revision of the training plan for Chile, which was completed in December 2020.

<p><u>Results/impact of project and Key lessons</u></p>	<p><u>Results/impact:</u></p> <p>A new approach and tools for training needs assessment in areas related to technology transfer, integrating not only individual and institutional but also national perspectives into the assessment of training needs, were established. Thus they enabled more targeted activities to build capacity in these areas. This approach and these tools are adapted for use in a wide range of countries, taking into account in particular the special situation and needs of developing and least developed countries.</p> <p>Capacity in IP management and transfer of technologies was created among funders, developers, managers, and users of IP in the four participating countries. Data from participants in the training seminars organized within the framework of the project and the participants' institutions indicated high effectiveness of the new approach for training needs assessment and significant positive impact of the training seminars on the daily work of participants and their contribution to their institutions as players in the innovation value chain.</p> <p>Additionally, networks among funders, developers, managers, and users of IP were strengthened through joint activities, reinforcing the impact of capacity created among these players in the innovation value chain.</p> <p>New approaches and practices for implementing online training activities, including extended course formats in addition to the short webinar format, were developed in response to constraints on in-person training activities, increasing the flexibility of WIPO to deliver training and the effectiveness of its online training activities.</p> <p>Close involvement of the national project focal points in every step of the training needs assessment process, including the mapping of innovation value chains, training needs assessment, and establishment of training plans, was determined to be an important factor in the success of the process, in particular for obtaining comprehensive and accurate data and ensuring ownership of results by stakeholders.</p> <p>Multiple phases of testing and refining the approach and tools for training needs assessment, including obtaining feedback from country experts, national project focal points, participants in training seminars, and their institutions, were shown to be effective for ensuring the adaptation of the approach and resources to a wider range of countries and circumstances. Improvements incorporated into the approach and resources comprised: (i) integrating a formal response by the government to the training needs assessment and training plan into the approach, ensuring its accuracy and ownership by the government; (ii) creating a more flexible process for training needs assessment with required and optional elements, enabling the approach and tools to be adapted to available resources; and (iii) incorporating revisions into the approach and tools, minimizing the resources necessary to respond to changes in the innovation value chain (as experienced e.g. in Chile).</p>
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<u>Risks and Mitigation</u>	<p>As indicated in the Project Document:</p> <p>Risk: Human resource turnover among beneficiaries of training activities.</p> <p>Risk mitigation strategy: Focus on training of trainers and support institutions such as TISCs to enable local support and minimize impact of turnover.</p> <p>Risk: Inability to implement in-person training activities.</p> <p>Risk mitigation strategy: Implementation of online training activities.</p>
<u>Project Implementation Rate</u>	<p>The budget utilization rate as of the end of December 2020 is: 98%</p>
<u>Previous Reports/documents</u>	<p>This is the third report to the CDIP. Progress Reports are contained in documents CDIP/22/2, Annex I; and CDIP/24/2, Annex I.</p>
<u>Follow-up</u>	<p>The new approach and tools for training needs assessment in areas related to technology transfer will be integrated into the project planning cycle for TISC program activities, allowing for improved targeting of planned training activities for establishing and developing TISC networks. Training needs assessment could be carried out by WIPO or countries participating in TISC program activities themselves based on the approach and tools.</p> <p>Further training activities in the pilot countries in areas related to technology transfer are expected to be aligned with the results of the training needs assessment and training plans.</p>

PROJECT SELF-EVALUATION

Key to Traffic Light System (TLS)

****	***	**	NP	NA
Fully achieved	Strong progress	Some progress	No progress	Not yet assessed/discontinued

<u>Project Outputs</u> ¹ (Expected result)	<u>Indicators of Successful Completion</u> (Output Indicators)	<u>Performance Data</u>	<u>TLS</u>
1. Provision of assessment training needs methodology and toolkit	Delivery of first finalized draft of the methodology and toolkit by mid-2018.	The draft manual and toolkit were delivered June 2018. The final manual and toolkit delivered December 2018.	****
2. Mapping of technology value chains in four pilot countries	Delivery of mapping by mid-2018.	The mapping report for Rwanda was delivered June 2018. The mapping report for Chile was delivered July 2018. The mapping report for Indonesia was delivered June 2018. The mapping report for South Africa was delivered July 2018.	****
3. Establishment of a training plan according to assessed training needs	Delivery of training plan by end of 2018.	Training needs assessment reports were delivered December 2018. The training plans were delivered mid-2019.	****
4. Implementation of training activities according to training plan	Completion of onsite and online training by the end of 2020.	Training activities based on the training plans were completed by October 2020.	****
5. Evaluation and refining of methodology and toolkit*	Delivery of refined methodology and toolkit by end of first quarter of 2021.	Final submission was made in December 2020.	****
6. Publication of manual and toolkit	Completion of publication by end of March 2021.	The manual and toolkit are in the process of being edited and formatted for publication.	***

[End of Annex and of document]

¹ As per the original Project Document, Section 3.2.