

# WIPO



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**WORLD INTELLECTUAL PROPERTY ORGANIZATION**  
GENEVA

## **COMMITTEE ON DEVELOPMENT AND INTELLECTUAL PROPERTY (CDIP)**

**Third Session**  
**Geneva, April 27 to May 1, 2009**

**PROJECT DOCUMENTS FOR IMPLEMENTATION  
OF RECOMMENDATIONS 2, 5, 8, 9 AND 10**

*prepared by the Secretariat*

1. At the second session of the CDIP, held from July 7 to 11, 2008, Member States approved activities for the implementation of Recommendations 2, 5, 8, 9 and 10, as contained in Annex II of document CDIP/2/4 Prov. 2.
2. In order to implement these recommendations in an effective and coherent manner, the Secretariat has applied a project-based methodology, with clearly defined objectives, delivery strategies, time-frames and modalities for monitoring and evaluation. Annexes I to IX to this document contain the following project documents developed on the basis of the approved activities:
  - (a) Annex I – Conference on Mobilizing Resources for Development: Development Agenda Recommendation No. 2;
  - (b) Annex II – Intellectual Property Technical Assistance Database (IP-TAD): Development Agenda Recommendation No. 5;

(c) Annex III - Specialized Databases' Access and Support: Development Agenda Recommendation No. 8;

(d) Annex IV - IP Development Matchmaking Database (IP-DMD): Development Agenda Recommendation No. 9;

(e) Annex V - A Pilot Project for the Establishment of "Start-Up" National IP Academies: Development Agenda Recommendation No. 10;

(f) Annex VI - Smart IP Institutions Project: The Deployment of Components and Business Solutions Customized for Modernizing IP Infrastructure of National and Regional IP Institutions - Development Agenda Recommendation No. 10;

(g) Annex VII - Innovation and Technology Transfer Support Structure for National Institutions: Development Agenda Recommendation No. 10;

(h) Annex VIII - Strengthening the Capacity of National IP Governmental and Stakeholder Institutions to Manage, Monitor and Promote Creative Industries, and to Enhance the Performance and Network of Copyright Collective Management Organizations: Development Agenda Recommendation No. 10; and

(i) Annex IX - Improvement of National, Sub-Regional and Regional IP Institutional and User Capacity: Development Agenda Recommendation No. 10.

3. The estimated budget for the nine projects is Sfr.10,300,000, of which Sfr.7,902,000 relate to non-personnel costs, and Sfr.2,398,000 to the additional personnel costs. The additional personnel would be made available through internal redeployment.

*4. The Committee is invited to take note of the information contained in this document.*

[Annex I follows]

## ANNEX I

## DEVELOPMENT AGENDA RECOMMENDATION NO. 2

## PROJECT DOCUMENT

<b>1. SUMMARY</b>	
<b>Project Code:</b>	DA_02_01
<b>Title:</b>	Conference on “Mobilizing Resources for Development”
<b>Development Agenda Recommendation:</b>	<p>Recommendation No. 2: Provide additional assistance to WIPO through donor funding, and establish Trust-Funds or other voluntary funds within WIPO specifically for least developed countries (LDCs), while continuing to accord high priority to finance activities in Africa through budgetary and extra-budgetary resources, to promote, <i>inter alia</i>, the legal, commercial, cultural, and economic exploitation of intellectual property (IP) in these countries.</p> <p>(This is the main recommendation to be addressed. However, a successful outcome to the Conference would also support WIPO’s technical assistance and capacity building work and Development Agenda Recommendations under Cluster A as well as addressing issues related to Recommendations 9 and 43.)</p>
<b>Project Budget:</b>	Non-personnel costs: Sfr.240,000
<b>Project Duration:</b>	<p>10 months:</p> <p>Project start date: January 2009 Project end date: November 2009</p>
<b>Key WIPO Sectors Involved and Links to WIPO Programs:</b>	<p>Coordination Sector for External Relations, Industry, Communications and Public Outreach; Technical Assistance and Capacity Building Sector.</p> <p>Links to WIPO Programs 9, 10, 11 and 20.</p> <p>As the objective is to mobilize resources for development, a number of other WIPO Programs which undertake activities to support developing countries may also be beneficiaries: Programs 1, 2, 3, 4, 14, 15, 16 and 17.</p>
<b>Brief Description of Project:</b>	<p>The purpose of the project is to convene a conference aimed at providing additional extra-budgetary resources to WIPO for its work to help developing countries benefit from the IP system and to seek to establish Trust-Funds or other voluntary funds specifically for LDCs, while continuing to accord high priority to finance activities in Africa. The project will comprise three main phases: (i) consultation meetings to develop the conference concept and agenda (as well as to consider the feasibility of establishing a WIPO Fund-in-Trust for LDCs); (ii) promotion of the Conference to key constituents; and (iii) organizational and logistical arrangements and convening of the Conference.</p>

## **2. PROJECT DESCRIPTION**

### **2.1. Introduction to the Issue/Concern**

This project responds to the need for additional resources through donor funding to meet the increased demand for WIPO's technical assistance and capacity building work from developing countries and, in particular, in relation to the needs of LDCs, while continuing to accord high priority to finance activities in Africa (Development Agenda Recommendation 2).

WIPO currently has a total of nine donors (Finland, France, Italy, Japan, Republic of Korea, Portugal, Spain, United States of America and the European Union (EU)) providing extra-budgetary resources in the form of Funds-in-Trust (FIT) for program activities and one donor (Germany) providing funds exclusively for costs associated with the Junior Professional Officer (JPO) scheme. In 2008, the total income contributed to these funds was 7.4 million Swiss francs. In addition, the WIPO Voluntary Fund for Accredited Indigenous and Local Communities is supported by France, Norway, South Africa, Switzerland, SwedBio/CBM (the Swedish International Biodiversity Program) and the Christensen Fund. WIPO also benefits from a number of cost-sharing and in-kind support arrangements. WIPO's traditional donor base is primarily the IP offices of its Member States. However, there are important exceptions to this such as a long-running cooperation program for LDCs with the Swedish International Development Agency (SIDA).

This existing support provides an important source of financing to supplement the activities funded by the WIPO regular budget. These activities are primarily in support of IP offices in developing countries and are harmonized with the priorities mandated by the Member States through the Program and Budget. WIPO will continue to promote the use of such funding mechanisms and seek additional FITs to address these specific needs, including the establishment of a FIT, or other voluntary contributions, for LDCs. The Conference will also seek to go beyond this traditional WIPO resource mobilization focus and explore more broadly ways in which WIPO's technical assistance and capacity building work can benefit from the support of the development agencies and the wider donor community (e.g. access to existing funding modalities such as UN multi-donor trust funds and the Enhanced Integrated Framework, donor foundations etc.).

### **2.2. Objectives**

Objective 1: To convene a conference aimed at mobilizing extra-budgetary resources to provide additional assistance to WIPO for its work to help developing countries benefit from the IP system and to identify and enable WIPO to access existing funding modalities to support its technical assistance and capacity building work.

Objective 2: To establish FITs or other voluntary funds within WIPO specifically for LDC.

### **2.3. Delivery Strategy**

The success of the Conference depends upon the support of WIPO's existing donor base, engagement from the wider donor community and ownership from developing countries. The strategy, therefore, focuses on an inclusive consultative process which permits a balance between the interests and needs of all stakeholders. This will be guided by a draft concept paper which sets out the overall aims of the Conference, including the short and longer terms objectives, as well as the means of measuring the extent to which the Conference achieves these aims.

During the period from March 2009 until the CDIP in April 2009, the Secretariat will engage in a series of consultations to obtain feedback on the concept paper and on the revised Conference agenda, as well as to approach a wide range of donor institutions to seek their support. This consultation process will also seek views on the proposal to establish a WIPO FIT for LDCs, which stems directly

from Development Agenda Recommendation 2. While the practical arrangements for establishing such a FIT are straightforward, it is necessary to identify and obtain commitments from donors for this to be put in place. The delivery strategy with respect to this objective will be to identify potential donors to such a fund.

Details of the Conference and related documents will be posted on a dedicated webpage on the WIPO Internet site which will be set up by start April 2009. The Secretariat will also report to the CDIP on the consultation process. Subsequent to that, the date of the Conference will be decided and the concept paper and agenda finalized by May/June 2009. The logistical arrangements, confirmation of speakers, promotion of the event, etc., will be the main activity in the period leading up to the Conference, currently scheduled tentatively for November 2009. Consultations will be on-going throughout the project's duration.

### Scope

The scope of the project is limited to the convening of the donor event. However, its success will be measured by the contribution it makes to providing additional resources through donor funding for WIPO's work. Although some resources may be mobilized in the time-frame of the Conference, this is likely to be a longer term process and might be better viewed over the 2010/11 biennium. The Conference itself will be the starting point to address Development Agenda Recommendation 2, but will require follow-up action by the Secretariat and the donor community to build upon the Conference outcomes.

### Risks

- (i) Lack of participation in the Conference in particular from the donor community. The consultation process is intended to mitigate against this risk by designing the Conference concept and agenda in line with the expectations of all key constituents.
- (ii) Sufficient participation in the Conference, but no new resources available. Additional assistance to WIPO through donor funding will depend on many factors outside the control of this project and WIPO. All the project can seek to achieve is to maximize the prospects for such additional resources.
- (iii) No financial support to establish a WIPO FIT for LDCs. While WIPO can announce the establishment of a WIPO FIT for LDCs, it will require financial support from donors. If this is not forthcoming or if donors suggest using existing funding mechanisms, this specific objective will not be achieved. The consultation process will seek to identify donors for a FIT for LDC and establish the feasibility of achieving this objective as well as exploring existing funding mechanisms.

## **3. REVIEW AND EVALUATION**

### **3.1. Project Review Schedule**

1. First review point:	Report to CDIP in April 2009 on feedback from consultations.
2. Second review point:	Stock-take in Summer 2009 on expected participation in Conference etc.
3. Third review point:	Report to CDIP in November 2009 on outcome of Conference and follow-up steps/recommendations.

4. Fourth review point:	Financial Management Report 2010/11. Identification in the accounts for the 2010/11 biennium of additional voluntary contributions to WIPO and the establishment of a Fund-in-Trust for LDC and fund availability.
<b>3.2. Project Self-Evaluation</b> <i>In addition to the project self-evaluation, an independent evaluation may also be undertaken for the project</i>	
<b>Project Outputs</b>	<b>Indicators of Successful Completion (Output Indicators)</b>
Conference prepared and organized	<p>Concept paper completed by time of CDIP meeting in April 2009, which reflects the consultation process, meets the needs and reflects the views of Member States and contributes to a successful Conference.</p> <p>Progress report to CDIP on the consultation process indicating that level of support for the Conference and likelihood of successful outcome.</p>
	Conference Agenda developed through broad consultative process which reflects the view and interests of all Member States and contributes to a successful conference.
	Conference convened according to schedule (before end 2009) and within budget.
	Post Conference report to CDIP in November 2009 indicates positive prospects for additional donor resources as a result of the Conference.
	<b>Project Objective(s)</b>
An increase in resources available to WIPO, either through direct contributions, or through access to existing funding modalities to support its technical assistance and capacity building work in developing countries.	<p>(i) An increase in funds available through FIT arrangements.</p> <p>Baseline: The baseline will be the amount of income administered as FITs as reported in the Financial Management Report 2008/09.</p> <p>Target: 20% increase by end 2010/11.</p> <p>(ii) WIPO projects funded through existing external funding modalities.</p> <p>Baseline: To be developed during consultations.</p> <p>Target: To be developed during consultations.</p> <p>(iii) Increase in the number of donors to WIPO from all sources.</p> <p>Baseline: Currently 9 donors.</p>

	Target: 15 by end 2010/11.
The establishment of FIT or other voluntary funds within WIPO specifically for LDCs, while continuing to accord high priority to finance activities in Africa.	<p>(i) Establishment of WIPO Multi-Donor FIT LDC.</p> <p>Baseline: Does not exist at present.</p> <p>Target: FIT LDC with resources in excess of Swiss francs 1 million by end 2010/2011.</p> <p>(ii) WIPO projects in LDCs and Africa funded through existing external funding modalities, such as the Enhanced Integrated Framework and UN Multi-Donor Trust Funds.</p> <p>Baseline: To be developed during consultations.</p> <p>Target: To be developed during consultations.</p>

**4. IMPLEMENTATION TIMELINE**

ACTIVITY	2009										
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov
Consultations and Promotion of Event	x	x	x	x	x	x	x	x	x	x	x
Preparation and revision of Concept Paper		x	x	x							
Development of Conference Agenda	x	x	x	x	x						
Identification of Speakers, Roundtable Moderators etc.		x	x	x	x	x	x	x	x		
Conference Page on WIPO website and Other Promotional and Communication Activities			x	x	x	x	x	x	x	x	x
Conference Logistics (invitations, side events, etc.)						x	x	x	x	x	x
Finalizing and Translating Conference Documents							x	x	x	x	x



**5. BUDGET**

**5.1. Project Budget for 2009 (non-personnel costs)**

	<i>Program 20</i>			
<i>Travel and Fellowships</i>				
Staff Missions	50,000			
Third-party Travel	156,000			
Fellowships				
<i>Contractual Services</i>				
Conferences	24,000			
Experts' Honoraria	10,000			
Publishing				
Others				
<i>Equipment and Supplies</i>				
Equipment				
Supplies and Materials				
<b>TOTAL</b>	240,000			240,000

[Annex II follows]

## ANNEX II

## DEVELOPMENT AGENDA RECOMMENDATION NO. 5

## PROJECT DOCUMENT

<b>1. SUMMARY</b>	
<b>Project Code:</b>	DA_05_01
<b>Title:</b>	IP Technical Assistance Database (IP-TAD)
<b>Development Agenda Recommendation:</b>	<p>Recommendation No. 5: WIPO shall display general information on all technical assistance activities on its website, and shall provide, on request from Member States, details of specific activities, with the consent of the Member State(s) and other recipients concerned, for which the activity was implemented.</p> <p>This project is linked to Recommendation 9.</p>
<b>Project Budget:</b>	<p>Non-personnel costs: Sfr.300,000          Additional personnel costs: Sfr.490,000</p>
<b>Project Duration:</b>	12 months.
<b>Key WIPO Sectors Involved and Links to WIPO Programs:</b>	<p>WIPO Executive Management; Technical Assistance and Capacity Building; Certain countries in Europe and Asia; WIPO Academy; PATENTSCOPE®; IP Office Modernization; Coordination Sector for External Relations; Information and Communications Technologies; Patents, Innovation Promotion and Technology Transfer; Trademarks, Industrial Designs and Geographical Indications; Copyright and Related Rights; and Traditional Knowledge, Traditional Cultural Expressions and Genetic Resources.</p> <p>Links to WIPO Programs 1, 2, 3, 4, 9, 10, 11, 14, 15, 20 and 25.</p>
<b>Brief Description of Project:</b>	<p>It is proposed to design and develop a consolidated database, with supporting software, for all technical assistance activities and to update the same regularly. General information will be available on the WIPO website, while more detailed information will be made available on specific activities, based on appropriate authorizations. The new database will build on the existing information already provided by WIPO (<a href="http://www.wipo.int/export/sites/www/ip-development/en/pdf/wipo_eds_inf_1_rev.pdf">http://www.wipo.int/export/sites/www/ip-development/en/pdf/wipo_eds_inf_1_rev.pdf</a>) on its technical assistance activities. Information will be available on names of donors, consultants and project costs (with the appropriate authorizations). The project will be guided by the principle of transparency and donors and recipients will be encouraged to authorize WIPO to provide as much information as possible on technical assistance activities. The database will be linked to other relevant databases within WIPO.</p> <p>The system will be built using Internet-based technologies and open source software or software already licensed to WIPO, thus incurring no additional costs in this respect.</p>

## **2. PROJECT DESCRIPTION**

### **2.1. Introduction to the Issue/Concern**

WIPO undertakes extensive work in technical assistance and this translates into the consumption of considerable financial and human resources. The Member States of WIPO have requested that more information be made readily available on these activities in an open and transparent manner. It comes at a time when there is a call for more openness and transparency within the UN system as whole and the need to deliver programs that are efficient and effective and meet specific needs of Member States.

At present, WIPO Member States do not have access to detailed information related to such activities and this project is aimed at addressing this need for additional information.

The most effective way to capture and make this information available is to build a web-based system that is available to internal and external users. It is noted that at the request of Member States, certain sensitive information may be subject to access restrictions as deemed appropriate by WIPO, Member States or other interested parties.

The data recorded in the system will comprise all relevant data related to technical assistance activities. It will include details of the activities such as general information on the activity, who requested the activity, objectives, expected outcomes, budget, recipients, participants, donors, experts, consultants, speakers, evaluation reports and other relevant documentation.

### **2.2. Objectives**

This project is linked directly to Development Agenda Recommendation No. 5. It will serve as an important repository of information for WIPO Senior Management and WIPO Member States to assist in monitoring and assessing WIPO's technical assistance activities. All activities which are undertaken in the area of technical assistance should appear in the database. This project is also linked to Development Agenda Recommendation 9, which deals with the development of a database relating to technical assistance, albeit for a different purpose.

#### Expected Project Benefits:

- Institutional knowledge of all technical assistance activities will be available for use by WIPO and other interested parties for designing and implementing future technical assistance activities;
- Information on performance and results achieved will be made available and can be used when designing future technical assistance activities. Lessons learned will provide valuable insights in this respect and they will be readily available to all stakeholders in future activities; and
- Transparency of technical assistance activities will be in keeping with best practices of other technical assistance providers and has been requested by Member States.

### **2.3. Delivery Strategy**

This project will be implemented with full consideration of the key success factors for such implementations, bearing in mind budget and resource availability. The information technology (IT) skills needed for this project will be identified and recruited for the duration of this project and will also be utilized for the IT component of Recommendation No. 9 of the Development Agenda. At the same time the Business Analyst Skills needed for Recommendation No. 9 may also be utilized for this project if required. This approach will provide for a stronger team to deliver both projects as both projects are under the responsibility of the same Project Manager.

The approach will include the following key elements:

A. Design and Development

- The use of open source software or software already licensed to WIPO;
- The use of existing WIPO computer hardware platforms;
- The inclusion from the beginning of all WIPO internal stakeholders, including the nomination of a core team of users from all technical assistance providing sectors;
- The establishment of a Project Board to oversee the project;
- Early feedback from Member States and users on the design and functionality; and
- Compliance with WIPO Information Security Policies and compliance with additional security requirements already foreseen by Member States.

B. Implementation

- Senior management sponsorship and accountability in ensuring the availability of financial and human resources for the project in timely manner;
- Changes in procedures to ensure that the data is captured and validated in the database in a timely manner;
- Training of internal users and building awareness among external users, in particular Member States about the new database; and
- Risk Management – a risk register for the project will be created and kept up to date throughout the project life-cycle.

The project's key deliverables will be the following:

- In-house developed software for capturing, managing and accessing the data via the Intranet and Internet;
- Data on WIPO technical assistance activities available from 2000 onwards.

However, the historical data may not be as complete as data captured under the new system; and

- Availability of up-to-date data on a regular basis.

Risks/Assumptions

- If the project is going to realize its full potential benefit the procedures for capturing the data will need to ensure that the database is updated on a regular basis as a separate exercise (bulk update) or alternatively, as part of the normal work procedures when new activities are planned and approved (systematic).

Sustainability of the project will be assured through the redeployment of one Professional staff member to act as Data Administrator and System Operator whilst the technical support of the system will be provided by WIPO's internal ICT staff.

### **3. REVIEW AND EVALUATION**

#### **3.1. Project Review Schedule**

The Project Manager will report regularly to the Project Board, WIPO Senior Management and other key stakeholders and periodically to WIPO Member States through the CDIP and other bodies as appropriate.

The reviews will be carried out at 2-3 month intervals or when specific milestones are or should have been reached. Review mechanisms will include progress against overall schedule, walk through and sign-off of main system documents, prototyping and data quality checks.

<b>3.2. Project Self-Evaluation</b>	
<i>In addition to the project self-evaluation, an independent evaluation may also be undertaken for the project</i>	
<b>Project Outputs</b>	<b>Indicators of Successful Completion (Output Indicators)</b>
1. Software meets user functional specifications	<p>Software stable and free from errors and bugs.</p> <p>Software performs to acceptable levels in terms of response time when retrieving data.</p> <p>Target for retrievals: Sub-second for each query.</p>
2. Database functional	<p>Database able to store and retrieve data as specified and the data retrieved should be accurate and complete.</p> <p>Database performance acceptable in terms of availability and retrieval times.</p> <p>Target for availability: 99.9% 7 days per week. Target for retrievals: Sub-second for each query.</p>
3. Institutional knowledge of all technical assistance activities available for use by WIPO and other interested parties	<p>Data accessible as specified to both internal and external users.</p> <p>Data kept up to date at regular intervals [to be defined what regular means], relevant and complete.</p>
4. Security/Confidentiality ensured	<p>Access to Data meets WIPO security requirements as well as any additional security/confidentiality requirements as specified.</p>
<b>Project Objective(s)</b>	<b>Indicator(s) of Success in Achieving Project Objective (Outcome Indicators)</b>
<p>Institutional knowledge of all technical assistance activities will be available for use by WIPO and other interested parties for designing and implementing future technical assistance activities.</p> <p>Information on performance and results achieved will be made available and can be used when designing future technical assistance activities. Lessons learned will provide valuable insights in this respect and they will be readily available to all stakeholders in future activities.</p>	<p>New technical assistance (TA) activities systematically cross-refer to the experience made and lessons learnt in other WIPO TA activities, including good practice, and where possible, taken into account when planning and designing new activities.</p> <p>Database well used by WIPO internal users.</p>

<p>Transparency of technical assistance activities will be in keeping with best practices of other technical assistance providers and has been requested by Member States.</p>	<p>The data contains sufficient detail on technical assistance activities to satisfy the needs of all stakeholders, in particular Member States.</p> <p>Database well used by external users.</p>
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**4. IMPLEMENTATION TIMELINE**

ACTIVITY	QUARTERS							
	2009				2010			
	1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>	1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>
Recruitment or engagement of IT Consultants (2) Identification and redeployment of the Data Administrator Identification of all key stakeholders Nomination of WIPO internal and external focal points		X X	X X					
Design and prototype system Collect and load test data Train staff			X X X					
Fine tune software based on user feedback Consolidate and verify data				X X				
Deploy new system Post implementation review					X X			

**5. BUDGET**

**5.1. Project Budget for 2009 (non-personnel costs)**

	<i>Program 9</i>				
<i>Travel and Fellowships</i>					
Staff Missions					
Third-party Travel					
Fellowships					
<i>Contractual services</i>					
Conferences					
Experts' Honoraria					
Publishing					
Others	200'000				
<i>Equipment and Supplies</i>					
Equipment					
Supplies and Materials					
<b>TOTAL</b>	<b>200'000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>200'000</b>

**5.2. Project Budget for the 2010/2011 Biennium (non-personnel costs)**

	<i>Program 9</i>				
<i>Travel and Fellowships</i>					
Staff Missions					
Third-party Travel					
Fellowships					
<i>Contractual services</i>					
Conferences					
Experts' Honoraria					
Publishing					
Others	100'000				
<i>Equipment and Supplies</i>					
Equipment					
Supplies and Materials					
<b>TOTAL</b>	<b>100'000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>100'000</b>



## ANNEX III

## DEVELOPMENT AGENDA RECOMMENDATION NO. 8

## PROJECT DOCUMENT

<b>1. SUMMARY</b>	
<b>Project Code:</b>	DA_08_01
<b>Title:</b>	Specialized Databases Access and Support
<b>Development Agenda Recommendation:</b>	Recommendation No. 8: Request WIPO to develop agreements with research institutions and with private enterprises with a view to facilitating the national offices of developing countries, especially LDCs, as well as their regional and sub-regional IP organizations to access specialized databases for the purposes of patent searches.
<b>Project Budget:</b>	Non-personnel costs: Sfr.1,874,000
<b>Project Duration:</b>	36 months
<b>Key WIPO Sectors Involved and Links to WIPO Programs:</b>	Global IP Information Service in cooperation with the Technical Assistance and Capacity Building Sector.  Links to WIPO Programs 9, 14 and 15.
<b>Brief Description of Project:</b>	<p>The project aims to facilitate access to technological knowledge for users in developing countries, especially LDCs, and their regional and sub-regional IP organizations so as to effectively exploit it and, thereby, stimulate innovation and economic growth.</p> <p>The provision of specialized databases will enable institutional users, in particular patent offices, to carry out more effective patent searches so as to identify known prior art and limit the scope of granted patents where necessary.</p> <p>In order to achieve these aims, the project will implement the following:</p> <ul style="list-style-type: none"> <li>— Carry out and take into consideration the results of a needs analysis and database review study;</li> <li>— Provide access to specialized patent and non-patent databases for use by intellectual property offices and the public;</li> <li>— Enable and support effective use of these databases by assisting countries in establishing local support in the form of Technology and Innovation Support Centers together with a corresponding network; and</li> <li>— Provide training and awareness raising support for the staff of these centers and IPOs, as well as the general public.</li> </ul>

## **2. PROJECT DESCRIPTION**

### **2.1. Introduction to the Issue/Concern**

The patent system is based on the fundamental principle of granting an inventor a temporary exclusive right in return for the public disclosure of the invention's technology. Unlike the limited territorial protection offered by a granted patent, its disclosure is global and allows anyone, anywhere to learn from it. Patent information comprises technical, legal, business-relevant and public policy-relevant information which can be used to stimulate further creativity and innovation. Moreover, the patent system not only transforms knowledge into intangible assets which can be traded, but also allows the legal use of this knowledge in domains where the patent has not been granted or when the patent has expired or been abandoned.

Patent information is increasingly available *via* easily accessible services that are delivered over the Internet as either free-of-charge or as commercial fee-paying services. The former services are provided mostly by national and regional patent offices, by WIPO through its PATENTSCOPE<sup>®</sup> Search Service, and by other non-profit institutions. However, coverage and accessibility of data are available mostly for industrialized countries with much less content and much more difficult access in developing countries.

The accessibility and retrieval of non-patent scientific and technical literature is also rapidly developing on the Internet. However, access to such journals is often available only through subscription services, making access difficult or even impossible for some developing countries. Databases of traditional knowledge (TK), genetic resources (GR) and folklore should also be more accessible, primarily for patent offices, so as to prevent unentitled applicants from obtaining patents based on this knowledge.

### **2.2. Objectives**

The overall objectives and proposed outcomes aim to contribute to the reduction of the knowledge gap between developed and developing countries (especially LDCs) by providing specialized databases together with corresponding support in using and exploiting these databases so as to:

- Increase availability of technological knowledge in developing countries, especially LDCs;
- Increase the capacity of IP Offices, including regional and sub-regional organizations to carry out more effective patent searches by identifying known prior art and limiting the scope of granted patents where necessary;
  - Increase the capacity of IPOs to effectively disseminate this knowledge nationally/regionally and internationally; and
  - Increase awareness of the benefits of intellectual property rights, and patent information in particular.

Target beneficiaries include: individual inventors; small and medium-sized enterprises (SMEs); industry; researchers in technology centers and universities; academia (ranging from schools to universities); IP professionals; government policy-makers, etc.

### **2.3. Delivery Strategy**

1. A Study Paper (see document CDIP/2/2, Annex II, page 3, as well as the terms of reference contained in document CDIP/2/INF/3) will be drafted comprising:
  - (a) A needs analysis for each developing country Member State focusing on national patenting activity, as well as IPOs and user needs;

- (b) A review of specialized patent and non-patent databases; and
  - (c) Analysis comparing the added value of commercial databases with regard to free-of-charge databases.
2. A new WIPO Internet service allowing search and access to scientific and technical journals, called Access to Research for Development and Innovation (ARDI) will be established:
- (a) This new service corresponds to similar services currently offered by the World Health Organization (WHO) (through its HINARI program), Food and Agriculture Organization (FAO) (AGORE program) and the United Nations Environment Program (UNEP) (OARE program) in their respective fields of activity to eligible low and lower-middle income countries;
  - (b) Access to be given to eligible countries to the Patent Cooperation Treaty (PCT) Minimum Non Patent Literature (NPL) documentation and to gradually add further journals in due course.
3. Following the recommendations of the Study Paper, provision of specialized databases and services with:
- (a) Contacts and negotiations with commercial providers regarding, in particular, possible costs and model contracts;
  - (b) A global traditional knowledge and genetic resource database portal comprising databases which are already publicly available on various websites, but which will now be offered within a single and efficient search environment. Databases, which have been provided to WIPO with their owners' prior consent, can be used by IPOs in preventing the grant of patents using known traditional knowledge or genetic resources. An initial number of databases have already been added to the service, e.g. the Health Heritage (patent and non-patent literature on medicinal plants widely used in the Indian system of medicine of Ayurveda), HoneyBee Network (Indian grassroots innovation and contemporary/traditional innovation practices), the Austrian Register on Traditional Knowledge in Agricultural Products and Food, etc., with others due to follow in future. This also complements the development of a methodology for establishing new national traditional knowledge databases in the project on IP and the public domain for Recommendations 16 and 20;
  - (c) The WIPO Patent Information Services for Developing Countries (WPIS)<sup>1</sup> and its training programs redesigned, enhanced with specialized databases and adapted to TISCs initiatives (see below); and
  - (d) Contacts with other interested parties, such as popular Internet portals investigated.
4. Establishing a network of Technology and Innovation Support Centers (TISCs):
- (a) To provide personal assistance regarding patent information and innovation support services to local users in developing countries; and
  - (b) To provide a network to exchange experiences and best practices in this field.
- The Technology and Innovation Centers (TISC) will be established initially within four pilot projects during 2009, during which a framework will be developed comprising specific project planning and implementation and a standard service level agreement (SLA) for each TISC.
5. In close cooperation with IPOs and any newly established TISCs, a program of training and awareness raising events for IPO/TISC staff and all IP stakeholders will be organized.

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<sup>1</sup> This is WIPO's assistance to developing countries and countries in transition for establishing the National Industrial Property Information System. WIPO provides them with expert assistance, training and copies of patent documents on demand.

(a) Training will involve WIPO Academy courses, the use of distance learning programs, as well as ten regional roving seminars (to be conducted in different regions, depending on demand) using a “train-the-trainer” approach;

(b) During the TISC pilot project phase in 2009, initial basic training will be provided prior to the awareness raising launch conference; and

(c) Thereafter, awareness raising events will include TISC launch conferences which may also be combined with follow-on training workshops, thereby, using the assembled speakers from the previous day’s event.

All stakeholders in the patent system of the developing country should be involved in the project, from the electronic publication of data (patent offices and publishers) through to dissemination of this data by WIPO and TISCs (located at national patent offices or universities, academia in general, industry associations, chambers of commerce, science and technology parks, etc.) through training sessions and awareness raising events.

All Member States of WIPO may request the establishment of a Technology and Innovation Support Center (TISC) and be part of the Technology and Innovation Support Network. For the purposes of calculating the required expenses for the current project, it is assumed that a limited number of developing countries including LDCs will have to be selected on the basis of the needs analysis, considering the availability of human and financial assistance made available during the period of the project implementation. Consideration will also have to be given to conditions already established for the existing cooperation framework for access to science journals on which the design of the ARDI Search Service is based (i.e., the ARDI service will be offered only to LDCs and low-income and lower-middle income countries).

6. Project risks or factors that could impede project delivery and ways in which these risks may be mitigated:

— Risk: The project will depend on a local IT infrastructure with reliable access to the Internet at each site at which a TISC is hosted;

— Approach to mitigation: Evaluation of Internet connectivity and local IT infrastructure will be part of the initial planning phase for each project; where practical, technical assistance may also be part of the establishment of a TISC, although this is not included in the proposed budget for this project.

— Risk: Withdrawal of publishers from the voluntary program to provide content at no cost on which the ARDI program is based;

— Approach for mitigation: Provision of exposure to publishers’ products offered through the ARDI program through the WIPO website and through mention at WIPO events, as appropriate.

— Risk: Lack of resources on the publishers’ side to implement technical arrangements to provide content for the ARDI program;

— Approach for mitigation: Request for support from other UN organizations providing similar services (WHO/HINARI, FAO/AGORA, UNEP/OARE).

— Risk: Insufficient capacity on the part of TISC staff to provide all services;

— Approach for mitigation: Multi-phase approach to establishment of TISCs: initial trial phase (offering patent information services only), followed by iterative cycle of evaluation and expansion of services, as appropriate.

— Risk: Insufficient capacity on the part of TISC staff in using specialized databases;

— Approach for mitigation: Request for support from selected database providers to

provide training in the use of their products; use of funds generated from payments by middle-income institutions through the ARDI program to provide training.

- Risk: Staff trained through roving seminars not allocated to positions in TISCs for which training was intended (e.g., due to internal relocation or staff turnover);

- Approach for mitigation: Broad-based training, e.g., through WIPO Academy distance learning.

- Risk: Lack of or reduction in political commitment to maintaining effective functioning of TISCs;

- Approach for mitigation: Fostering of local ownership of TISC programs through sharing of tasks between local organizations (IPOs, universities, etc.) and WIPO; involvement of TISCs in network activities (e.g., information-sharing activities and events between TISCs).

- Risk: Lack of financial resources to ensure viability of TISCs;

- Approach for mitigation: Use of existing human resources and infrastructure, as available; modification in pricing of services, as appropriate.

- Risk: Lacking awareness of TISCs and services provided by TISCs;

- Approach for mitigation: Launch events; incorporation of awareness raising activities for TISCs and services into regular events and campaigns (e.g., World IP Day).

### **3. REVIEW AND EVALUATION**

#### **3.1. Project Review Schedule**

1. Inception Report	Once the study paper has been completed, an initial inception report will be drafted launching the project according to a defined implementation timetable.
2. Monitoring Reports	Following the inception report, two reports for the successive six month periods will indicate whether specific objectives and milestones have been reached, in cases of them not being reached, why this happened and how this can to be resolved; the reports will make use of the regular survey results requested from IPOs and TISCs.
3. Self-Evaluation Report	A report will be drafted at the end of the project period of 36 months with a view to validating that the project objectives have been achieved, suggesting future actions and highlighting best practices to provide sustainability of the project.

The reports will be drafted by the Project Manager.

<b>3.2. Project Self-Evaluation</b>	
<i>In addition to the project self-evaluation, an independent evaluation may also be undertaken for the project</i>	
<b>Project Outputs</b>	<b>Indicators of Successful Completion (Output Indicators)</b>
1. Study Paper drafted	<p>Completed report delivered - 9 months after commencement of project;</p> <p>Recommendations delivered for providing databases and services for developing countries - 9 months after commencement of project.</p>
2. ARDI website established	<p>Website created and visible on Internet – 6 months after commencement of project;</p> <p>Website offers:</p> <ul style="list-style-type: none"> <li>- search functionality (for all users)</li> <li>- access functionality (only for eligible users of IPOs);</li> </ul> <p>Over 100 scientific and technical journals within the list of PCT NPL Minimum Documentation will be available initially – 6 months after commencement of project.</p>
3. Provision of specialized patent databases at IPOs	<p>To be proposed in Study Paper, e.g. by means of model contracts for all interested developing countries – 12 months after commencement of project;</p> <p>Publication of TK/GR databases on PATENTSCOPE® - 9 months after project launch.</p>
4. Provision of specialized patent and non-patent services at WIPO	<p>To be proposed in the Study Paper, e.g. redesigned WIPO Patent Information Services for Developing Countries (WPIS) available – 12 months after commencement of project.</p>
5. Establishment of Technology and Innovation Centers (TISCs) in the developing countries	<p>Completion of a needs analysis for each new TISC;</p> <p>Completion of basic training for each new TISC;</p> <p>Signing of mutually agreed Service Level Agreement (SLA) between each new TISC and WIPO;</p> <p>Official opening of TISCs' services within four initial pilot projects – 12 months after project start;</p> <p>Official opening of TISCs' services in at least 24 interested countries and institutions that meet minimum conditions as specified in the SLA – 36 months after project start ;</p> <p>Completion of ten roving seminars to train TISC and IPO staff in using and promoting specialized patent and non-patent databases – 36 months after project start.</p>

<b>Project Objective(s)</b>	<b>Indicator(s) of Success in Achieving Project Objective (Outcome Indicators)</b>
1. Increased accessibility of technological knowledge for developing countries	<p>Regular survey of IPOs and TISCs detailing specific databases used and frequency of use; and</p> <p>Number of visits/calls/web-site hits increases at a national level (comparison with statistics prior to implementation).</p>
<p>2. Increased IPO / TISC capacity to carry out effective patent searches</p> <p>Increased quality of IPO Search Reports (IPOs without search capacity requesting WIPO assistance in the WPIS)</p>	<p>Regular survey monitoring use by IPO examiners / TISC staff of specific databases used and frequency of use; and</p> <p>Increase in requests to WIPO from developing countries for WPIS.</p>
3. Increased capacity by IPOs / TISCs to disseminate technological knowledge	<p>Broader use of various databases by IPOs and TISCs monitored by regular surveys distributed to TISCs and users regarding specific databases and frequency of their use;</p> <p>An increase in the number of IPO/TISC website hits, visits and calls; and</p> <p>An increase in the number of ARDI website hits.</p>
4. Increase in awareness of IPRs	<p>Increase in the number of website hits/visits/calls to the IPO or TISC increases; and</p> <p>Increase in the number of filed IPRs.</p>







6. BUDGET

5.1. Project Budget for 2009 (non-personnel costs)

	<i>Program 14</i>			
<i>Travel and Fellowships</i>				
Staff Missions	96,000			
Third-party Travel	164,000			
Fellowships				
<i>Contractual Services</i>				
Conferences				
Experts' Honoraria	16,000			
Publishing				
Others	90,000			
<i>Equipment and Supplies</i>				
Equipment				
Supplies and Materials				
<b>TOTAL</b>	366,000			366,000

5.2. Project Budget for the 2010/2011 Biennium (non-personnel costs)

	<i>Program 14</i>			
<i>Travel and Fellowships</i>				
Staff Missions	240,000			
Third-party Travel	978,000			
Fellowships				
<i>Contractual Services</i>				
Conferences				
Experts' Honoraria	40,000			
Publishing				
Others	250,000			
<i>Equipment and Supplies</i>				
Equipment				
Supplies and Materials				
<b>TOTAL</b>	1,508,000			1,508,000

[Annex IV follows]

## ANNEX IV

## DEVELOPMENT AGENDA RECOMMENDATION NO. 9

## PROJECT DOCUMENT

<b>1. SUMMARY</b>	
<b>Project Code:</b>	DA_09_01
<b>Title:</b>	IP Development Matchmaking Database (IP-DMD)
<b>Development Agenda Recommendation:</b>	Recommendation No. 9: Request WIPO to create, in coordination with Member States, a database to match specific IP-related development needs with available resources or expertise, thereby expanding the scope of its technical assistance programs, aimed at bridging the digital divide.
<b>Project Budget:</b>	Non-personnel costs: Sfr.190,000 Additional personnel costs: Sfr.490,000
<b>Project Duration:</b>	12 months
<b>Key WIPO Sectors Involved and Links to WIPO Programs:</b>	WIPO Executive Management; Technical Assistance and Capacity Building; Certain Countries in Europe and Asia; WIPO Academy; PATENTSCOPE®; IP Office Modernization; Coordination Sector for External Relations; and Information and Communications Technologies.  Links to WIPO Programs 9, 10, 11, 14, 15, 20 and 25.
<b>Brief Description of Project:</b>	<p>Develop a database and software to support the CDIP proposal to establish an effective interactive process for assessing the IP-related development needs of countries, in conformity with the Development Agenda recommendations, and setting up match-making and clearing house mechanisms. It is also proposed to establish collaborative mechanisms for regular collection of information on potential donors and partners, as well as their available funds and expertise for WIPO to match with specific needs of Member States. The database will be linked to other relevant databases and to the TACB sites.</p> <p>The system will also be capable of monitoring and assessing progress.</p> <p>The system will be built using Internet based technologies and open source software or software already licensed to WIPO, thus incurring no additional cost in this respect.</p>

## **2. PROJECT DESCRIPTION**

### **2.1. Introduction to the Issue/Concern**

WIPO Member States have requested the International Bureau to develop a systematic method of assessing interactively the IP-related need of countries. It is also proposed to establish a computer system and database to collect information on potential donors and partners and to use the computer system as a match-making clearing house mechanism. This computer system and database will also be used for tracking activities and progress.

The most effective way to capture and make this information available is to build a web-based system that is available to internal and external users. It is noted that at the request of Member States, certain sensitive information may be subject to access restrictions as deemed appropriate by WIPO, Member States or other interested parties.

The data recorded in the system will comprise of all relevant data related to technical assistance needs, planned or proposed activities and information to monitor and assess progress. It will include details on donors and partners, funds and expertise available.

### **2.2. Objectives**

This project addresses Development Agenda Recommendation No. 9, and will serve as an important repository of information for WIPO senior management, WIPO Member States and potential donors to assist in assessing the needs of Member States and identify the resources or the means to address those needs.

#### Expected Project Benefits:

- Institutional documented knowledge of IP related needs of Member States;
- Information on potential donors or partners and the resources or expertise available; and
- Transparency of technical assistance needs and progress made in addressing those needs.

### **2.3. Delivery Strategy**

The development of the computer system and database will be implemented with full consideration of the key success factors for such implementations, bearing in mind budget and resource availability. The IT skills needed for this project will be the same as those for implementing Recommendation No. 5 of the Development Agenda. The business analyst skills needed for this recommendation may also be utilized for Recommendation No. 5 if required. This approach will provide for a stronger team to deliver both projects as both projects are under the responsibility of the same Project Manager.

The approach will include the following key elements:

#### **C. Design and Development:**

- The use of open source software or software already licensed to WIPO;
- The use of existing WIPO computer hardware platforms;
- The inclusion from the beginning of all WIPO internal stakeholders including the nomination of a core team of users from the Technical Assistance and Capacity Building Sector or other sectors as deemed necessary;
- The establishment of a Project Board to oversee the project;
- Early feedback from Member States and users on the design and functionality; and
- Compliance with WIPO Information Security Policies.

**D. Implementation:**

- Senior management sponsorship and accountability in ensuring the availability of financial and human resources for the project in a timely manner;
- Changes in procedures to ensure the data is captured and validated in the database in a timely manner;
- Training of internal users and building awareness among external users, in particular Member States about the new database; and
- Risk Management - a risk register for the project will be created and kept up to date throughout the projects life-cycle.

The project's key deliverables will be the following:

- In-house developed software for capturing, managing and accessing the data *via* the Intranet and Internet; and
- Matchmaking and clearing house mechanisms established.

Sustainability of the project will be assured through the redeployment of one Professional staff to act as Data Administrator and System Operator whilst the technical support of the system will be provided by WIPO's internal ICT staff. Mechanisms will need to be established for collecting the data to populate the system.

**Risks/Assumptions:**

The success of this system will depend on WIPO's ability to develop a systematic and efficient interactive means for identifying, documenting and tracking the IP related development needs of WIPO Member States. The system will only be successful if this issue is addressed and sufficient WIPO Member States participate in the system, and accurate and up-to-date data is available.

For this purpose, it is proposed to launch the system with pilot data from LDC's.

The success of the system also assumes a sufficient number of interested donors.

**Scope**

The scope of this project is limited to the development of a computer system and database and the associated matchmaking and clearing house mechanisms. It does not include the mechanism for the collection of data about the IP development needs of Member States, which will be undertaken as part of the normal program activities within WIPO.

**3. REVIEW AND EVALUATION**

**3.1. Project Review Schedule**

The Project Manager will report regularly to the Project Board, WIPO Senior Management and other key stakeholders and periodically to WIPO Member States through the CDIP and other bodies as appropriate.

The reviews will be carried out at 2-3 month intervals or when specific milestones are or should have been reached. Review mechanisms will include progress against overall schedule, walk through and sign-off of main system documents, prototyping and data quality checks.

<b>3.2. Project Self-Evaluation</b>	
<i>In addition to the project self-evaluation, an independent evaluation may also be undertaken for the project</i>	
<b>Project Outputs</b>	<b>Indicators of Successful Completion (Output Indicators)</b>
Software meets user functional specifications	Software stable and free from errors and bugs; and  Software performs to acceptable levels in terms of response time when retrieving data.  Target for retrievals: Sub-second for each query.
Database functional	Database able to store and retrieve data as specified and the data retrieved should be accurate and complete; and  Database performance acceptable in terms of availability and retrieval times.  Target for availability: 99.9% 7 days per week; Target for retrievals: Sub-second for each query.
Institutional knowledge of IP related needs of Member States available for use by WIPO and other interested parties	Data accessible as specified to both internal and external users;  Data kept up to date at regular intervals relevant and complete.
Security/Confidentiality ensured	Access to data meets WIPO security requirements as well as any additional security/confidentiality requirements as specified.
Match-making and clearing house mechanism established and operational	System can show clearly the links between donors and the activities they are sponsoring.
Information on potential donors or partners and the resources or skills available	Data will be collected and entered systematically concerning donors and partners and used to match available resources and expertise with the needs of Member States.
<b>Project Objective(s)</b>	<b>Indicator(s) of Success in Achieving Project Objective (Outcome Indicators)</b>
Institutional documented knowledge of IP related needs of Member States	Number of Member State profiles contained in the system.
Ability to match activities or projects with potential donors	Number of successful matches.
Information on potential donors or partners and the resources or expertise available	Number of potential donors held in the system.

Transparency of technical assistance needs and progress made in addressing those needs	Information on the status of activities or projects; and Database should be actively used by internal and external users.
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**5. BUDGET**

**5.1. Project Budget for 2009 (non-personnel costs)**

	Program 9				
<i>Travel and Fellowships</i>					
Staff Missions					
Third-party Travel					
Fellowships					
<i>Contractual services</i>					
Conferences					
Experts' Honoraria					
Publishing					
Others	126'000				
<i>Equipment and Supplies</i>					
Equipment					
Supplies and Materials					
<b>TOTAL</b>	<b>126'000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>126'000</b>

**5.2. Project Budget for the 2010/2011 Biennium (non-personnel costs)**

	Program 9				
<i>Travel and Fellowships</i>					
Staff Missions					
Third-party Travel					
Fellowships					
<i>Contractual services</i>					
Conferences					
Experts' Honoraria					
Publishing					
Others	64'000				
<i>Equipment and Supplies</i>					
Equipment					
Supplies and Materials					
<b>TOTAL</b>	<b>64'000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>64'000</b>

[Annex V follows]

## ANNEX V

## DEVELOPMENT AGENDA RECOMMENDATION NO. 10

## PROJECT DOCUMENT

<b>1. SUMMARY</b>	
<b>Project Code:</b>	DA_10_01
<b>Title:</b>	A Pilot Project for the Establishment of “Start-Up” National IP Academies
<b>Development Agenda Recommendation:</b>	Recommendation No. 10: To assist Member States to develop and improve national IP institutional capacity through further development of infrastructure and other facilities with a view to making national institutions more efficient and promote a fair balance between IP protection and the public interest. This technical assistance should also be extended to sub-regional and regional organizations dealing with IP.
<b>Project Budget:</b>	Non-personnel costs: Sfr.480,000 Additional personnel costs: Sfr.120,000
<b>Project Duration:</b>	36 months
<b>Key WIPO Sectors Involved and Links to WIPO Programs:</b>	WIPO Academy in consultation with Technical Assistance and Capacity Building Sector where necessary.  Links to WIPO Programs 9 and 11.
<b>Brief Description of Project:</b>	The pilot project of “Start-Up” National IP Academies is intended to test a new model to help developing countries and LDCs to establish an IP training institution with minimum resources to meet their increasing demand from IP specialists, professionals, government officials and other stakeholders.

## **2. PROJECT DESCRIPTION**

### **2.1. Introduction to the Issue/Concern**

Most developing countries and LDCs have adopted national legislation for the protection of IPRs and acceded to various international conventions. Public awareness of the IP system has also improved in recent years. Consequently, the demand for utilizing the IP system (in particular patents, trademarks, industrial designs, copyright and related rights) by creators, inventors, enterprises, universities and R&D institutions, has been on the increase. However, many developing countries and LDCs do not yet have sufficient professionals, both in the public and private sectors, to provide necessary advice and service to the users and potential users of the IP systems. Wherever they have trained professionals, there is a need for continued training to ensure that they are aware of the latest developments in the field.

In this respect, following the adoption of the Rio de Janeiro Declaration in 2007, the Global Network on IP Academies (GNIPA) was established by the WIPO Academy to facilitate the international collaboration in IP training and education. The Declaration was followed by the Beijing Action Plan of 2008. So far, nineteen IP Academies are members of the GNIPA from developed and developing countries.

In this connection, the WIPO Academy, through the “Start-Up” National IP Academy project, aims to assist developing countries and LDCs establish their own IP Academies, with the minimum resources in order to meet an increased demand for IP professionals. As soon as they are established, they will join the GNIPA with the WIPO Academy’s assistance. This strategy would provide more training opportunities and exchange of IP books, publications and papers, as well as seeking international cooperation from other IP Academies which are members of the GNIPA.

The WIPO Academy has used various training programs through face-to-face and distance learning methodologies, but a gap still exists between demand and supply owing to various constraints. It is envisaged that the “Start-Up” National IP Academies would alleviate some of these problems. Special attention would be devoted to assisting the “Start-Up” IP Academies to integrate the development and public interest dimension into their training courses. Training of IP professionals, both in the public and private sector, should not lose sight of the broader social needs and development goals of the countries concerned, and IP practitioners should be well aware of the importance of safeguarding the public interest while protecting IP.

In view of the human resources and financial constraints faced by developing countries and LDCs in setting up a fully-fledged specialized training institution in the field of IP and the time it would take to set up such an institution, it is proposed to test a new model of the IP Academy (the “Start-Up” National IP Academy”) which should be able to provide services with the minimum start-up investment and running costs with WIPO’s contribution of resources necessary for the initial investment (“seed resources”). The beneficiary Member State is expected to operate the “Start-Up” IP Academy at its own cost, after an initial period of one or two years. Should WIPO and more than nineteen IP Academies which have already participated in the GNIPA lend assistance and provide training material to developing countries and LDCs, such target beneficiaries could develop their own national IP Academies, taking advantage of the international collaboration that already exists.

WIPO will test this concept of the IP Academy in the next three years and initially implement a pilot project in four developing countries or LDCs (one in each of the following regions: Africa, Arab, Asia and Pacific, Latin America and the Caribbean) in consultation with Member States and on the basis of a preliminary needs assessment and proposals from candidate countries.

WIPO expects that, in implementing the pilot project, the selected partners should make firm commitment to the setting up of the IP Academy which should become self-supporting after an initial period of one or two years. If the concept of the IP Academy proves to be valid, WIPO will extend the coverage and scale of the project after the evaluation which will be prepared for discussion and approval by Member States towards the end of the next biennium 2011.

## **2.2. Objectives**

The overall objective of the proposed project aims to help developing countries, especially LDCs, to build national institutional capacity in human resource development in the field of IP.

The WIPO Academy will more specifically:

- Assist four developing countries and LDCs Member States to establish IP Academies and the national and institutional capacity by the end of 2011, thereby increasing the availability of training opportunities to more people from public and private sectors;
- Improve the capability to develop and offer more tailor-made training programs to the specific needs of the country; and
- Advise and provide them with training materials in particular, a curriculum which would be tailor made to suit each country, WIPO experts and IP literature.

The National IP Academy will:

- Contribute to sustainable development of human resources at a national level;
- Enhance IP knowledge and update government officials on new emerging issues of IP rights under debate in WIPO;
- Provide a forum for discussion on IP issues and illustrative the importance of IP for capacity building and national development; and
- Offer the opportunity to share relevant experience among officials from the public and private sectors, IP stakeholders and more importantly with IP experts.

Target beneficiaries include government officials, staff of IP Offices and collective management societies, policy makers, university professors; IP professionals, in particular IP officials/managers of R&D institutions and enterprises (including SMEs); IP practitioners; creators, inventors; IP enforcement agencies; and the general public.

## **2.3. Delivery Strategy**

In order to address the above-mentioned challenges and the priority needs of developing countries and LDCs, the following strategies have been proposed:

- Establishment of National IP Academies and the national and institutional capacity by the end of 2011, thereby increasing the availability of training opportunities to more people from public and private sectors;
- Development and provision of more tailor-made training programs to the specific needs of the country; and
- Advice and provision of training materials in particular, curriculum which will be tailor

made to suit each country, WIPO experts and IP literature.

The process for delivering the above-mentioned strategy has been designed in the following phases:

1. Preparatory phase: A situation paper will be prepared comprising:
  - (a) A needs assessment will be conducted and analyzed for each of the selected countries with regard to its current situation and needs; and
  - (b) A detailed project proposal will be developed based on the needs assessment and analysis of four countries.
2. Feasibility phase: Discussions will be carried out with the national intellectual property offices and possibly a university in the selected countries concerning implementation of the project and timeframe.
3. Project Development: Support for the development of curricula and detailed and tailor made programs according to the development goals for each country, taking into consideration the importance of ensuring a balance between IP protection and the public interest. This will be enhanced by the Academy training programs that train/trainers of universities and R&D institutions who would participate in these IP Academies. A model curriculum will be developed for the “Start-Up” National IP Academy; and an IP library will be established within the “Start-Up” National IP Academy.
4. Project Implementation: The Launch of a pilot project in one of the four selected countries to gain experience in this new exercise. The duration of the project would be 36 months.
5. Project Exit Strategy: The National IP Academies would be assisted for one or two years and after that period the National IP Academies would be able to run their projects in consultation with other IP Academies in order to share ideas on new developments.

A global seminar on the IP Academies will also be held in one of the countries where the “Start Up” National IP Academies would have been established by WIPO. The seminar would also assess the activities and development of the Academy with the view to sharing ideas and experience in order to improve the functioning of the Academy.

As regards the possible risks or factors that may impede project delivery, it could be anticipated that due to unforeseen circumstances, there might be a possible risk of lack of domestic funding for the National IP Academy beyond 2011, which could compromise its long-term sustainability. To mitigate this risk, during the launch of the program, possible donors could be identified by the IP stakeholders to sponsor the continuation of the project after 2011. In this connection, assistance may be requested from other established IP Academies, donors or the WIPO Academy.

Basic Conditions for the Establishment of “Start-Up” National IP Academies:

- Pressing needs for a small specialized training institution;
- Strong support from the national intellectual property office;
- One or two full-time or part-time staff to be in charge of the work of the National IP Academy;
- Ability to partner with other institutions, including the Global Network of IP Academies and to run training programs within one or two years following its establishment.

<b>3. REVIEW AND EVALUATION</b>	
<b>3.1. Project Review Schedule</b>	
<p>“Start-Up” IP Academy:</p> <ul style="list-style-type: none"> <li>— Situation Paper – once the situation paper has been completed, the project would be launched according to a defined implementation timetable in consultation with the national IP offices;</li> <li>— Monitoring Reports – following the situation paper, another report for the successive 12 month period would be prepared to examine whether the specific and overall objectives and milestones had been reached, and in the case of them not being reached, why this happened and how this can be resolved; and</li> <li>— Self-Evaluation Report – The WIPO Academy Self-Evaluation Report would be used at the end of each year after the launch of each “Start-Up” National IP Academy, with a view to validating that the overall objectives have been achieved, suggesting future actions and highlighting best practices to provide similar technical assistance to other developing countries and LDCs.</li> </ul>	
<b>3.2. Project Self-Evaluation</b>	
<i>In addition to the project self-evaluation, an independent evaluation may also be undertaken for the project</i>	
<b>Project Outputs</b>	<b>Indicators of Successful Completion (Output Indicators)</b>
1. Situation paper prepared	Needs assessment conducted within six months of the starting date for the project; and  Realistic recommendations made to allow for them being implemented.
2. Implementation plan developed	Detailed implementation plan available and agreed in consultation with the national IP offices and regional bureaus concerned by June 2010.
3. IP Academies established	It is hoped that the four National IP Academies would be functional by the end of 2011; and  At least two quality training programs with specific national IP goals to be organized each year by the IP Academies.
<b>Project Objectives (s)</b>	<b>Indicator(s) of Success in Achieving Project Objective (Outcome Indicators)</b>
Strengthened “Start-Up” institutional capacity to conduct training programs in the field of IP	% of effective behavioral change identified as a result of the project implementation.  Training participants will be asked to perform a self-evaluation of their behavioral changes resulting from the training – examples of questions included in the questionnaire could be “Have you applied anything from the training sessions to your professional life? If yes, please

	provide one (or more) concrete example(s). Please be as specific as possible.” By asking for concrete examples one avoids over value-based judgments.
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**5. BUDGET**

**5.1. Project Budget for 2009 (non-personnel costs)**

	<i>Program 11</i>					
<i>Travel and Fellowships</i>						
Staff Missions	25'000					
Third-party Travel	35'000					
Fellowships						
<i>Contractual services</i>						
Conferences						
Experts' Honoraria	5'000					
Publishing						
Others	50'000					
<i>Equipment and Supplies</i>						
Equipment						
Supplies and Materials	10'000					
<b>TOTAL</b>	<b>125'000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>125'000</b>

**5.2. Project Budget for the 2010/2011 Biennium (non-personnel costs)**

	<i>Program 11</i>					
<i>Travel and Fellowships</i>						
Staff Missions	60'000					
Third-party Travel	100'000					
Fellowships						
<i>Contractual services</i>						
Conferences						
Experts' Honoraria	10'000					
Publishing						
Others	155'000					
<i>Equipment and Supplies</i>						
Equipment						
Supplies and Materials	30'000					
<b>TOTAL</b>	<b>355'000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>355'000</b>

[Annex VI follows]

## ANNEX VI

## DEVELOPMENT AGENDA RECOMMENDATION(S) NO. 10

## PROJECT DOCUMENT

<b>1. SUMMARY</b>	
<b>Project Code:</b>	DA_10_02
<b>Title:</b>	Smart IP Institutions Project: The deployment of components and business solutions customized for modernizing IP infrastructure of national and regional IP institutions.
<b>Development Agenda Recommendation(s):</b>	Recommendation No. 10: To assist Member States to develop and improve national IP institutional capacity through further development of infrastructure and other facilities with a view to making IP institutions more efficient and promote a fair balance between IP protection and the public interest. This technical assistance should also be extended to sub-regional and regional organizations dealing with IP.
<b>Project Budget:</b>	Non-personnel costs: Sfr.1,169,000 Additional Personnel costs: Sfr.150,000
<b>Project Duration:</b>	33 months
<b>Key WIPO Sectors Involved and Links to WIPO Programs:</b>	IP Office Modernization Division; Cooperation with Certain Countries in Europe and Asia; PATENTSCOPE <sup>®</sup> and Associated Patent Services; and Technical Assistance and Capacity Building.  Links to WIPO Programs 9, 10, 14 and 15.
<b>Brief Description of Project:</b>	<p>The project comprises of sub-projects for selected national or regional IP institutions across all regions. All sub-projects will follow standard project stages including needs assessment, business process re-engineering, deployment of customized automation solutions to adapt to specific national/regional requirements, extensive training and knowledge transfer, progress monitoring and post-deployment impact evaluation. The sub-projects are listed below.</p> <p>(a) A pilot project to deploy ICT infrastructure and customized e-communication systems for the “<i>l'Organisation Africaine de la Propriété Intellectuelle (OAPI)</i>” and two of its selected member countries to enable them to electronically manage, access and exchange IP information amongst themselves and internationally. The two countries will be selected in consultation with OAPI. The project will be developed in compliance with the elements of the global IP infrastructure such as WIPO standards, classifications, databases, automation solutions and services. The project’s experience and deliverables could then be later re-utilized, as appropriate, to benefit the other 14 member countries of OAPI.</p>

(b) A project, similar to project (a) above, will be undertaken for the African Regional Intellectual Property Organization (ARIPO), and two of its selected member countries, to enable them also to electronically manage, access and exchange IP information amongst themselves and internationally. The two countries will be selected in consultation with ARIPO.

(c) A project to deploy comprehensive customized automation solutions in three LDC IP institutions across regions. This project will include those components that are normally not covered by WIPO's regular programs, i.e. cover extra resources for conversion of large volumes of paper IP registrations and applications into electronic form for the establishment of IP databases, resources for more extensive training and knowledge transfer, resources for a full-set of ICT infrastructure components to support end-to-end automation.

(d) Automation workshops, one per region, to facilitate sharing and exchange of national experiences, issues, lessons learned, best practices and coping with challenges. Each regional workshop will include 10 to 12 countries that will be selected in consultation with the respective region. These targeted workshops will focus on transfer of knowledge amongst the countries, on building institutional capacity and in promoting South-South collaboration.

## **2. PROJECT DESCRIPTION**

### **2.1. Introduction to the Issue/Concern**

IP Institutions around the world face increasing demands for efficient management of their services in order to reduce the time and cost of granting rights and to improve the quality of search and examination of patents, trademarks and industrial designs, which is important for maintaining a fair balance between IP protection and the public interest. IP service delivery in many developing countries and LDCs is, however, still mostly manual and paper-based and as a consequence, many of these institutions are finding it difficult to cope with the growing backlog of IP applications and long pendency times. These countries have recognized the strategic role of modern information technologies in overcoming these challenges and in the development of skills and competence to efficiently manage the generation, protection and exploitation of IP for their country's socio-economic benefits.

In Africa, there are two regional IP institutions namely the OAPI and ARIPO. OAPI is a centralized model, where it is responsible for IP administration for all of its 16 member countries. The member countries in this case only receive IP applications. The project aims at deploying appropriate systems and building capacity in these member country IP institutions, to enable them to receive and exchange IP data electronically, and have access to the central IP databases at OAPI. ARIPO is a decentralized model where its 16 member country IP institutions perform their own national IP administration but for applications for regional IP protection, they transmit them to ARIPO for subsequent processing, search and examination, publication, etc. At present, in both the cases of OAPI and ARIPO, all such exchange of IP data is performed manually and on paper, resulting in long delays, growing backlogs and potential out-of-sync information.

These projects will deliver tested and proven e-communication systems, valuable experience and established data exchange procedures, which can be re-used and replicated later in the remaining member countries of these regional organizations thus saving significant cost and time. This future roll-out to other countries, however, is not included in this proposal.

Most LDCs also have difficulties in benefiting from ICT and good practices of modernized IP Office functions and services which have been established and delivered elsewhere.

WIPO's assistance in transforming weak and paper-based IP infrastructure into customized and modernized IP institutions should take advantage of lessons and experience accumulated in the course of deployment of WIPO's software and business solutions which are packaged in the WIPO Industrial Property Automation System (IPAS). Solutions and opportunities offered by IPAS and its associated services should allow IP institutions with modest resources to use products and services made available through international cooperation, containing capital investment and operational costs at a minimum level. Such a modernized IP institution (smart IP institution) will be used as a model to help developing countries and LDCs with scarce resources.

By selecting the projects mentioned earlier, this proposal aims at addressing the above-mentioned challenges of national and regional IP institutions through the appropriate use of the global IP infrastructure tools, standards, classifications, databases and automation solutions.

The components of this project are complementary to the regular work of Program 15, IP Office Modernization (as an example see description for project (c)).

## 2.2. Objectives

The main objectives of the project are:

- to strengthen the national and regional IP institutions to offer efficient, quality and timely IP services to their stakeholders; and
- to enable the national and regional IP institutions to undertake research and analysis, forecast and projections and support the scientific and business community of the country.

These objectives apply to the four sub-projects and are directly linked to the Development Agenda Recommendation No. 10.

The expected improvements resulting from the project for the target beneficiaries are described below by sub-project.

Project (a) OAPI and two of its member countries:

- Increased capacity for efficient reception of IP applications;
- Faster, efficient IP data communication with OAPI; and
- Availability of online access to central IP databases at OAPI.

Project (b) ARIPO and two of its member countries:

- Increased capacity for efficient processing of regional IP applications;
- Faster, efficient IP data communication with ARIPO; and
- Availability of online access to regional IP databases at ARIPO.

Project (c) three LDCs:

- Reduction of backlog;
- Faster throughput from application reception to registration;
- Timely, cost-effective generation of official publications like gazettes, etc.;
- Elimination or minimization of manual paper-intensive procedures; and
- Establishment of IP databases for internal processing and for access by stakeholders.

Project (d) Regional Automation Workshops:

- Broader sharing of knowledge, experience and lessons learned amongst the countries;
- Facilitate collaboration on automation projects between the countries; and
- Better understanding of the requirements for value added services for IP automation systems.

## 2.3. Delivery Strategy

The strategy is based on a holistic approach leveraging on WIPO's collective experience from across all regions and includes: the use of tested and proven tools and procedures to minimize implementation cost and time; development of flexible, modular systems that can be quickly and easily customized to adapt to individual national or regional specific requirements; emphasis on the commitment and readiness of the partner, follow-up training and knowledge transfer for sustainability; and post-project impact evaluation. These activities are included in this proposal.

This strategy has proven effective in implementing modernization projects in developing countries and LDCs with diverse levels of development, infrastructure, resources, skills, expertise and IP document volumes.

The project activities mainly include:

- a) missions by WIPO experts for: technical guidance; needs assessment; streamlining of workflow processes; customization and deployment of automation systems and databases; training of

staff and knowledge transfer to technical staff on the use, operation and support of the system; and post-project impact evaluation;

- b) provision of the minimum equipment of ICT infrastructure to support automation; and
- c) conversion of IP registers in paper to electronic form.

WIPO will manage and implement the overall project and provide the required expertise as listed above in (a) and procure local contractual services for activities (b) and (c) above.

The expected contribution from the selected project partners is: commitment and readiness for the project; availability of technical persons with an adequate level of skills that can acquire the necessary knowledge and expertise from WIPO to use, operate and support the automation system; transition from existing manual automated procedures; adequate Internet access; and resources to maintain and upgrade the automation infrastructure and its consumable accessories to sustain the benefits from the project. Some of these expected contributions are a pre-requisite to the project and will be used as criteria for selecting countries for these projects. Other non-critical factors will be addressed by the needs assessment missions.

There are also other potential risks that may arise during project implementation. For example, the loss of partner's trained staff through transfer, other job opportunities, etc.; a change in partner's priorities for the project; maintaining manual procedures in parallel with automated ones, thereby adding extra workload; undue delays in delivery of services from local contractors; interruptions in electricity due to blackouts, load-shedding, etc.; changing security conditions preventing WIPO from undertaking missions to partner's country. The project will plan to build adequate redundancy in its components and avoid single point of failures wherever possible.

Even though the risk of losing trained staff in the beneficiary IP institution can be reduced through proper hand-over procedures, and interruptions in electricity can be minimized by using appropriate generators, some of the other potential risks may be out of control of both the project partner and WIPO and pose a constant challenge to such modernization projects. Experience gained from prior modernization projects has shown that despite some of these risks, the net impact of the project can be positive if implemented as proposed.

The project includes measures to strengthen the long term sustainability of the project benefits through: ownership of the project deliverables by the beneficiary institution; focused and phased training by WIPO using "train the trainer" approach for multiplying the impact; WIPO's technical support; and enhancement and upgrade of the automation systems as and when needed. The automation systems proposed in these projects are based on the WIPO automation product IPAS, which is upgraded on an ongoing basis with enhancements and new functionality as part of regular activities of the IP Office Modernization Program. Therefore, provision of post-implementation technical support and system upgrades to project partners will fall under the regular activities of the Program.

### **3. REVIEW AND EVALUATION**

#### **3.1. Project Review Schedule**

The project review during its implementation will be done at critical milestones to check if the project is on track and whether any modifications are required before proceeding further. This will be done by WIPO together with the project partners, as part of project management.

The post-project impact evaluation will be carried out by WIPO together with the project partners after project completion and is part of it.

<b>3.2. Project Self-Evaluation</b>	
<i>In addition to the project self-evaluation, an independent evaluation may also be undertaken for the project</i>	
<b>Project Outputs</b>	<b>Indicators of Successful Completion (Output Indicators)</b>
<p>(a) OAPI/Member Countries Project:</p> <ul style="list-style-type: none"> <li>– Appropriate equipment and systems operational in partner institutions for reception of IP applications and for electronic data exchange;</li> <li>– Training on the use, operation, support and maintenance of the systems; and</li> <li>– Database interfaces established between OAPI and selected members.</li> </ul>	<p>Network and Internet infrastructure installed as per the required project specifications;</p> <p>Systems developed are tested, accepted and put into operation;</p> <p>80% of participants acquire knowledge on using the functionality provided by the project systems to carry out their day-to-day work;</p> <p>Quick resolution of system problems and high percentage of system uptime;</p> <p>The IP data is electronically exchanged as per the content and time schedule defined by the project.</p>
<p>(c) LDCs project:</p> <ul style="list-style-type: none"> <li>– Establishment of the automation infrastructure, databases and systems for IP administration;</li> <li>– Training on the use, operation, support and maintenance of the systems;</li> <li>– Database interfaces established between ARIPO and selected members.</li> </ul>	<p>Network and Internet infrastructure installed as per the required project specifications;</p> <p>Systems developed are tested, accepted and put into operation;</p> <p>Completion of data capture from paper IP records to database;</p> <p>80% of participants acquire knowledge on using the functionality provided by the project systems to carry out their day-to-day work;</p> <p>Quick resolution of system problems and high percentage of system uptime;</p> <p>The IP data is electronically exchanged as per the content and time schedule defined by the project.</p>
<p>(d) Regional Automation Workshops:</p> <ul style="list-style-type: none"> <li>– Focused sessions on priority topics, technical discussions, national experiences, country reports, evolving business and technology trends, and future directions and strategies</li> </ul>	<p>Number of priority topics covered;</p> <p>Number of countries participating in the workshops;</p> <p>Number of requirements identified in workshops for future</p>



successfully implemented.	improvements of IP automation systems.
<b>Project Objective(s)</b>	<b>Indicator(s) of Success in Achieving Project Objective (Outcome Indicators)</b>
<p>Project (a) for OAPI countries:</p> <ul style="list-style-type: none"> <li>– Increased capacity for efficient reception of IP applications;</li> <li>– Faster, efficient IP data communication with OAPI;</li> <li>– Availability of online access to central IP databases at OAPI.</li> </ul>	<p>80 % manual, paper based procedures for IP applications replaced by use of the automation system;</p> <p>Reduction in time and cost of exchanging IP data with OAPI;</p> <p>Frequency and type of online use of IP data from OAPI databases.</p>
<p>Project (b) for ARIPO countries:</p> <ul style="list-style-type: none"> <li>– Increased capacity for efficient processing of regional IP applications;</li> <li>– Faster, efficient IP data communication with ARIPO;</li> <li>– Availability of online access to regional IP databases at ARIPO.</li> </ul>	<p>80 % manual, paper based procedures for IP applications replaced by use of the automation system;</p> <p>Reduction in time and cost of exchanging IP data with ARIPO;</p> <p>Frequency and type of online use of IP data from ARIPO databases.</p>
<p>Project (c) Three LDCs modernization:</p> <ul style="list-style-type: none"> <li>– Reduction of backlog;</li> <li>– Faster throughput from application reception to registration;</li> <li>– Timely, cost-effective generation of official publications like gazettes, etc.;</li> <li>– Elimination or minimization of manual paper-intensive procedures;</li> <li>– Establishment of IP databases for internal processing and for access by stakeholders.</li> </ul>	<p>Number of backlog applications cleared through automation;</p> <p>25% to 35% reduction in time for completing the processing of IP applications;</p> <p>40% to 50% reduction in time and cost for generating official notifications and gazettes;</p> <p>Replacement of the majority of manual and paper-based procedures with automation;</p> <p>Data capture of most of paper records into the IP databases for day-to-day processing; and Number and frequency of access to IP databases by stakeholders.</p>
<p>Project (d) Automation Workshops:</p> <ul style="list-style-type: none"> <li>- Broader sharing of knowledge, experience and lessons learned amongst the countries;</li> <li>– Facilitate collaboration on automation projects between the</li> </ul>	<p>Number of national case studies presented in the workshops highlighting their automation experiences and lessons learned;</p> <p>Number of countries collaborating to improve their automation systems; and</p>

<p>countries;</p> <ul style="list-style-type: none"><li>- Better understanding of the requirements for value added services for IP automation systems.</li></ul>	<p>Better awareness of the functionality and future requirements of IP automation systems.</p>
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**4. IMPLEMENTATION TIMELINE**

ACTIVITY	QUARTERS											
	2009				2010				2011			
	1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>	1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>	1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>
Sub-projects (a), (b), (c): Needs assessment missions by WIPO (Total of 7: one to each of the 7 project countries for 1 week each).		X	X	X								
Sub-projects (a), (b), (c): Customization and deployment of standard solutions including procurement of required IT equipment and initial training by WIPO (Procurement of equipment for the project countries, data capture for the 3 LDCs, followed by a total of 7 missions: one to each of the 7 project countries for 2 weeks each).					X	X	X	X	X	X		
Sub-projects (a), (b), (c): Follow-up training and knowledge transfer, technical support and post-project impact evaluations (7 follow-up training missions followed by 7 evaluation missions: one for each of the 7 project countries).							X	X	X	X	X	X
Sub-project (d) IP Automation Workshops (includes staff missions and 3 <sup>rd</sup> party travel for 10 to 12 countries per region per workshop).			X	X		X		X				

**5. BUDGET**

**5.1. Project Budget for 2009 (non-personnel costs)**

	<i>Program 15</i>					
<i>Travel and Fellowships</i>						
Staff Missions	86'000					
Third-party Travel	80'000					
Fellowships						
<i>Contractual services</i>						
Conferences						
Experts' Honoraria						
Publishing						
Others	90'000					
<i>Equipment and Supplies</i>						
Equipment						
Supplies and Materials						
<b>TOTAL</b>	<b>256'000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>256'000</b>

**5.2. Project Budget for the 2010/2011 Biennium (non-personnel costs)**

	<i>Program 15</i>					
<i>Travel and Fellowships</i>						
Staff Missions	250'000					
Third-party Travel	80'000					
Fellowships						
<i>Contractual services</i>						
Conferences						
Experts' Honoraria	75'000					
Publishing						
Others	360'000					
<i>Equipment and Supplies</i>						
Equipment	148'000					
Supplies and Materials						
<b>TOTAL</b>	<b>913'000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>913'000</b>

[Annex VII follows]

## ANNEX VII

## DEVELOPMENT AGENDA RECOMMENDATION NO. 10

## PROJECT DOCUMENT

<b>1. SUMMARY</b>	
<b>Project Code:</b>	DA_10_03
<b>Title:</b>	Innovation and Technology Transfer Support Structure for National Institutions.
<b>Development Agenda Recommendation(s):</b>	Recommendation No. 10: To assist Member States to develop and improve national IP institutional capacity through further development of infrastructure and other facilities with a view to making national IP institutions more efficient and promote fair balance between IP protection and the public interest. This technical assistance should also be extended to sub-regional and regional organizations dealing with IP.
<b>Project Budget:</b>	Non-personnel costs: Sfr.600,000
<b>Project Duration:</b>	27 months
<b>Key WIPO Sectors Involved and Links to WIPO Programs:</b>	Patent Division, Innovation and Technology Transfer Section.  Links to WIPO Programs 9, 10, 11, 14 and 25.
<b>Brief Description of Project:</b>	<p>The Project will create and test or, where they exist, update and improve, a series of modules and materials relating to managing IP rights (particularly patents) by academic and research institutions, including on the setting up and running of technology transfer offices at public research organizations, exploring technology transfer mechanisms (in particular, licensing agreements) and enhancing the capacity to draft patents.</p> <p>The Project will also include the inclusion of the material in a portal which will be a digital repository of training modules, guides, tools, examples, models of national IP strategies, institutional IP policies, best practices and case studies accessible through one single portal on WIPO's website (one-stop-shop) for the promotion of local innovation and technology transfer activities through improving IP infrastructure and IP management in developing countries.</p>

## **2. PROJECT DESCRIPTION**

### **2.1. Introduction to the Issue/Concern**

Two of the main functions of the IP system, and of the patent system in particular, are encouraging innovation and facilitating the dissemination of technology through appropriate technology transfer mechanisms. Among those mechanisms, in many cases, patent and know-how (including trade secrets) licensing agreements play an important role for successful technology transfer and, in particular, the transfer of research results from research institutions to the industry capable of developing the research results to tangible products for the market. In order to enhance local innovation capacities and a better technology transfer through the means provided by the IP system, both IP infrastructure and IP management need to be adequately addressed. Very important in this respect is ensuring that IP management by universities and public research organizations duly takes into account the need to safeguard the public interest and achieve an appropriate balance between the incentives to develop technology into marketable products while promoting broad access to technologies that may be important for the countries' social and economic development.

Significant efforts in this respect have been made already at both the national and international levels. WIPO, on request, already offers assistance in developing national IP strategies and institutional IP policies and organizes seminars and trainings on various aspects of innovation and technology transfer from public research institutions to the market, as well as seminars on licensing and on patent drafting. However, there is scope for further strengthening WIPO's role in this respect by developing new tools and material for institutions in developing countries, enhancing and updating existing tools, and making the material more easily accessible, particularly for the benefit of developing countries, including through a digital portal with a modular structure.

This activity will complement the project for implementation of recommendation 8 of the Development Agenda, which includes the establishment of technology information centers.

### **2.2. Objectives**

The objective of the project is to stimulate local innovation in developing countries (especially LDCs) for economic growth and social development through support in establishing and improving the necessary infrastructure and professional skills for the effective use of the IP system in the area of innovation and technology transfer.

The implementation of the project will: (i) assist developing countries in setting up and improving the necessary mechanisms for technology transfer from the public sector, including technology transfer offices at public research institutions, and (ii) enhance the understanding of the potential uses of the IP system for development and growth; and (iii) greatly facilitate the availability of the tools, guides and models relating to IP infrastructure and management by creating a one-stop-shop on WIPO's website

Target beneficiaries include: universities and research institutions, industry; patent professionals and technology managers; government officials and policy-makers.

### **2.3. Delivery Strategy**

6. Preparation of a project paper including:

- (a) A description of existing instruments in WIPO's program;
- (b) An analysis of the needs for improving the existing program (addition, deletion or modification of elements within the present offer);

(c) A proposal with recommendations for the structure of the digital portal, a description of its advantages and proposals for follow-up activities.

7. Developing of the materials and tools, including:

(a) Contents related to the design and development of the necessary infrastructure for IP asset management in innovation and technology transfer;

(b) Contents for the development of IP management practical skills and expertise in the field of innovation and technology transfer;

(c) Development of a digital portal with a modular structure containing all the different tools and materials; and

(d) Web-Forum to allow WIPO to follow-up WIPO trainees in the above mentioned areas and for the trainees to continue capacity-building and networking among themselves.

8. In cooperation with governments and public research institutions, setting up of training programs in the above-mentioned categories that can be used in a modular way, depending on the demand of the respective countries, in order to test the different tools developed, including:

(a) *In situ* seminars and events run by both WIPO staff and external experts, depending on the nature of the demand;

(b) Distance-learning programs (in cooperation with the WIPO Academy) and follow-up on-line programs to the *in situ* seminars; and

(c) Train-the-Trainers programs.

9. Improving and consolidating a network of technology managers in universities and public research institutions in the target countries.

Potential risks include ensuring that the contents developed are suitable to the different contexts in which they may be used, (i.e. institutions with very different levels of current use and understanding of the IP system). In order to mitigate this risk, consultations with different stakeholders will be important during the development phase. In addition, once developed, the tools would be tested in different contexts to ensure that they are suitable, and if necessary, adapted.

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

### **3. REVIEW AND EVALUATION**

#### **3.1. Project Review Schedule**

4. An initial report based on the project paper - once finished - will be drafted initiating the project and refining conditions and timetable;

5. Monitoring reports, one 6 months and a second one 18 months after the initial report will indicate whether outputs and milestones have been reached; and what progress has been made towards the achievement of the project objectives; and

6. A final self-evaluation report to be established at the end of the project at 30 months, evaluating the degree of achievement of the project and future orientations and needs, and identifying solutions to ensure sustainability.

<b>3.2. Project Self-Evaluation</b>	
<i>In addition to the project self-evaluation, an independent evaluation may also be undertaken for the project</i>	
<b>Project Outputs</b>	<b>Indicators of Successful Completion (Output Indicators)</b>
1. Establishment of project paper	Finalization of document within six months from beginning of project, identifying needs and improvements, and providing feasible recommendations for the structure of the digital portal.
2. Design the training modules and other tools/services for the portal	Modules and other tools produced within 18 months from beginning of project reflecting the required quality as set out in the project paper for: training modules on infrastructure of IP asset management; training modules on capacity building for IP management; distance-learning training modules; and online follow-up modules on the above.
3. Establishment of the digital portal	Portal operational by [date], in the quality set out in [what?]; and use of the portal by governments and public research institutions of developing countries.
4. Establishment of the network	Web Forum of WIPO trainees is regularly used and considered useful by the users.
<b>Project Objective(s)</b>	<b>Indicator(s) of Success in Achieving Project Objective (Outcome Indicators)</b>
1. Assist developing countries in setting up and improving mechanisms for stimulating and enhancing local innovation and technology transfer from the public sector, including technology transfer offices at public research institutions.	<ul style="list-style-type: none"> <li>— Increased expertise in using the patent system for protecting inventions (e.g. patent drafting) and marketing inventions (e.g. licensing; creating spin-off companies; valuation);</li> <li>— Improved infrastructure for technology transfer in developing countries, including: <ul style="list-style-type: none"> <li>the setting up of TTOs; <ol style="list-style-type: none"> <li>1. strengthening networks of public research institutions;</li> <li>2. Increased number of joint projects through TTOs between public research institutions and the private sector;</li> </ol> </li> <li>and <ol style="list-style-type: none"> <li>3. the strengthening of the local patent profession.</li> </ol> </li> </ul> </li> </ul>
2. Enhance the understanding of the potential uses of the patent system for development and growth	<p>Better awareness of the uses of the patent system at different stages of innovation, including:</p> <ul style="list-style-type: none"> <li>— Development of institutional policies on IP by public research organizations and universities establishing clear rules in line with their respective mandate; and</li> <li>— Awareness at the government level to define innovation and IP policies relating to IP management by public research organization and universities.</li> </ul>



<p>3. Greatly facilitate the availability of the tools, guides and models relating to IP infrastructure and management by creating a one-stop-shop on WIPO's website</p>	<p>Widespread use of the support structure, including the new digital portal, particularly by developing countries;</p> <p>Increased demand for WIPO training based on the contents in the portal; and</p> <p>Feedback on the content <i>via</i> the Website and evaluation questionnaires of training events.</p>
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## 5. BUDGET

### 5.1. Project Budget for 2009 (non-personnel costs)

	<i>Program 1</i>				
<i>Travel and Fellowships</i>					
Staff Missions	26'000				
Third-party Travel	30'000				
Fellowships					
<i>Contractual services</i>					
Conferences	10'000				
Experts' Honoraria	40'000				
Publishing					
Others					
<i>Equipment and Supplies</i>					
Equipment	10'000				
Supplies and Materials					
<b>TOTAL</b>	116'000	-	-	-	116'000

### 5.2. Project Budget for the 2010/2011 Biennium (non-personnel costs)

	<i>Program 1</i>				
<i>Travel and Fellowships</i>					
Staff Missions	40'000				
Third-party Travel	150'000				
Fellowships					
<i>Contractual services</i>					
Conferences	20'000				
Experts' Honoraria	140'000				
Publishing	30'000				
Others (IT consultant)	84'000				
<i>Equipment and Supplies</i>					
Equipment	20'000				
Supplies and Materials					
<b>TOTAL</b>	484'000	-	-	-	484'000

[Annex VIII follows]

## ANNEX VIII

## DEVELOPMENT AGENDA RECOMMENDATION(S) NO. 10

## PROJECT DOCUMENT

<b>1. SUMMARY</b>	
<b>Project Code:</b>	DA_10_04
<b>Title:</b>	Strengthening the capacity of national IP governmental and stakeholder institutions to manage, monitor and promote creative industries, and to enhance the performance and network of Copyright Collective Management Organizations.
<b>Development Agenda Recommendation(s):</b>	Recommendation No.10: To assist Member States to develop and improve national IP institutional capacity through further development of infrastructure and other facilities with a view to making national IP institutions more efficient and promote a fair balance between IP protection and the public interest. This technical assistance should also be extended to sub-regional and regional organizations dealing with IP.
<b>Project Budget:</b>	Non-personnel costs: Sfr.840,000 Additional personnel costs: Sfr.268,000
<b>Project Duration:</b>	18 months
<b>Key WIPO Sectors Involved and Links to WIPO Programs:</b>	Technical Assistance and Capacity Building (TACB) Sector; Copyright and Related Rights Sector.  Links to WIPO Programs 3, 9, 10, 11, 15, 16 and 17.
<b>Brief Description of Project:</b>	<p>This project is designed to assist in the improvement and strengthening of national institutions and stakeholder organizations dealing with and representing creative industries in enhancing their understanding of the role of IP for the effective management and development of creative industries, and to facilitate the establishment of regional or sub-regional networks for the collective management of copyright and neighboring rights.</p> <p>Improving the understanding of the economic value of the creative sector, functioning on the basis of IP protection, and empowering the institutions with tools for analysis of the creative sector and the creators with tools for the practical management of IP, this project will contribute to enhancing the overall performance of the creative sector.</p> <p>As for copyright collective management organizations (CMOs), a pilot approach in the framework of this project is intended to provide selected CMOs with a series of tools enabling to establish a common digital collective management platform by standardizing and expediting the exchange of information among them and the rest of the world, for the identification of works and relevant interested parties, so that the distribution of royalties can be carried out in a fair, equitable and balanced way, as well as in a timely and efficient manner taking into account the economic interest of the countries</p>

concerned.

The model used in this pilot project as well as the tools that will be developed and deployed can subsequently be customized to replicate and establish similar pilot projects under WIPO programs and fit the needs of other groups of countries and/or CMOs.

## **2. PROJECT DESCRIPTION**

### **2.1. Introduction to the Issue/Concern**

The increase in demand for substantive information and practical tools on the economic contribution of the creative industries and management of IP in the creative industries, as well as on the enhancement and effectiveness of collective management organizations provides a clear indication of the recognition of IP as an economic, social and cultural development factor. IP institutions need better tools to assess the development potential of creative industries, while creators need better tools to manage their IP in such a way that a balanced IP benefits both stakeholders and users.

A limited number of countries have analyzed the contribution of their creative sectors so far and WIPO has provided some assistance in this regard. The challenge is to continue to provide high quality assistance to Member States, so as to enable them to integrate effectively the potential of creative industries in national development strategies and in building awareness for IP in the creative industries, as well as in improving the analysis of the broader non-economic impact of IP in the creative industries.

The ability of creators in managing their IP-based assets in particular copyright remains a major challenge in a large number of WIPO Member States and an issue which needs to be addressed on an institutional and on a practical level. Access to creative industry-specific information permits creators to better understand the relevance of IP in their businesses/enterprises. It also enables them to develop better management strategies to optimize the economic benefits that arise from effective use of IP arising from their creation.

The current global environment concerning copyright collective management is characterized by the creation of global networks in such a way that collective management rules, methods and procedures are defined, developed and implemented throughout the world in the areas of documentation (identification of authors and works), licensing and distribution of royalties. The digital technology revolution has brought about the creation of digital information systems among CMOs at a regional level to streamline those methods and procedures.

Collective management in developing countries has two characteristic features: on the one hand, there is a cultural dynamism in literary and artistic creativity and on the other, a weak collective management framework due to different levels of economic development, especially in Least Developed Countries (LDCs). The digital technology has impacted on the way traditional collective management business - a market of over US\$7 billion - has been carried out so far in terms of playing an intermediary function between the market, the copyright industry, the consumers, users and the creators, authors and all interested parties. CMOs of developing countries need to be integrated into the world system of rights information in collective management, by enhancing the use of ICT for filling the digital gap in the field of international electronic data exchange for the operation of these CMOs, fostering the capacity of the CMOs to cope with service-oriented business practices and access the international repertoire to increase the repatriation of revenues to creators.

To meet these challenges, service-oriented IT tools, such as the WIPO software for collective management of copyright and related rights (WIPOCOS), have been developed and deployed in several CMOs, including modern equipment, delivery of high quality services by regional IT consultants, implementation of technical tool-kits for creating and managing CMOs, contributing to the networking of CMOs and webbing long-standing and special relationships with international collective management NGOs such as CISAC, IFRRO, SCAPR and IFPI. Similar networking systems already exist in developing countries: Caribbean Copyright Link (CCL), MIS@Asia, LATINet. These achievements and the experience gained would be capitalized and used.

## 2.2. Objectives

### Component 1 – Creative Industries

- Assist Member States in developing and improving the capacity of national IP institutions in assessing the economic importance of the creative sector and the management of IP in the creative industries;
- Prepare the ground and build a foundation upon which national IP institutions, creators and stakeholders of creative industries would be able to further develop and improve their institutional capacity;
- Introduce the WIPO measurement tools on assessing the economic contribution of the creative industries and to raise awareness on IP as a factor for economic, social and cultural development;
- Promote an understanding of the broader impact of creative industries on social, economic and cultural development; and facilitate the introduction, by Member States, of indicators for measuring the performance of the creative industries; and
- Support, professionalize, and deepen the individual creators' understanding of IP so as to effectively manage IP-based assets in the formulation of business development policies/strategies.

### Component 2 – Collective Management Organizations

Enable CMOs of selected developing countries to:

- Fine-tune collective copyright management in the era of digital copyright management and electronic data exchange;
- Accomplish collective management business according to international state-of-the-art standards and delivery of timely, effective and efficient value-added services to national creators, copyright industries and consumers;
- Set up of a modern and sustainable data exchange system in networking the CMOs and linking them to international digital collective management systems;
- Achieve a common, cost-effective and easy-affordable registration system for the constitution of a sub-regional decentralized database for the identification of works and rights owners to process distribution of royalties;
- Construct national databases of works, authors, right holders and various interested parties according to international standards and facilitating access to these resources by other CMOs for effective and transparent distribution and repatriation of revenues to rights owners;
- Use the momentum generated to expedite the creation of CMOs and their networking in countries and region where they do not exist.

## 2.3. Delivery Strategy

### Component 1 – Creative Industries

The strategy will involve the identification of the institutions involved in creative industries policy making, the national specific circumstances and development priorities, the existing body of research, awareness programs, and training material available to creators and institutions in charge of creative industries.

Two sub sets of projects will be implemented in consultation with the interested Member States, based on the requests received and the state of readiness of the recipients: (i) Two sub-regional Seminars on the Economic Contribution and Performance of Creative Industries; and (ii) Two National Workshops on the Management of Intellectual Property Rights in specific Creative Industries (i.e. Film, Book Publishing or Music Industries). These activities will prepare the groundwork and will build a

foundation upon which national IP institutions, creators and stakeholders of creative industries would be able to further develop and improve their institutional capacity through follow-up activities.

On the basis of the analysis, a specific program for the seminars/workshops will be offered to the partner institutions for selecting appropriate participants. The programs will offer an introduction to the concepts of creative industries, to the tools developed by WIPO, and will focus specifically on how economic analysis and practical management can assist in ensuring a balance between the interests of creators and the public. After the completion of the seminars/workshops, an evaluation will be carried out to determine the relevant follow up activities – research projects, further specific training in areas of particular interest, setting-up of monitoring mechanisms for the performance of the creative sector, publications, manuals, etc. Specific recommendations and action plans will be an expected outcome of the activities. The follow up activities will be considered for implementation in 2010/2011, subject to availability of funds.

### Component 2 – Collective Management Organizations

Concerning collective management, the project will be implemented through a pilot phase approach, taking full account of WIPO's available tools and experience, the existing best practices in CMO networking, the support of Member States and international NGOs, and bearing in mind resource allocations, digital contingencies, as well as collective management specific requirements in the countries concerned. It will include the following key features, which shall be staged and sequenced throughout the project duration:

#### (a) Pilot CMOs Selection

CMOs of nine countries will be proposed as target for this pilot project, chosen on the basis of the existence of a regional association grouping their CMOs; their economic integration in regional or sub-regional organizations, usage of automation and operational system compatible with international collective management standards, such as WIPOCOS; convergence of regional cultural and artistic creativity.

#### (b) Delivery Strategy

- Fine tuning of business rules and operations of selected CMOs taken as a pilot project;
- Capacity building program for the modernization of CMOs business operations, including for CMOs IT managers, documentation and distribution officers of the networked CMOs, to comply with international standards, and, as required, to use the WIPOCOS;
- Experts missions and national and network CMOs meetings to define database scope, applications, security issues, with the participation of the CMOs general and IT managers;
- Gathering and harmonization of the network CMOs' existing databases;
- Development of a WIPO-sponsored Web-based IT platform;
- Creation of the Network Data Center in one of the networked CMOs;
- Development, or upgrading, of suitable database software; and
- Development of an integrated and decentralized regional database system of the CMOs' musical repertoires (works, rights owners) using IT solutions, such as the WIPOCOS system, and facilitating access by other CMOs worldwide.

The success of the project will depend on the level of involvement of the network CMOs in all stages of project implementation, and their will to own and manage the system at the end of the project. Therefore, the institutional framework of the CMOs association will be reinforced and the authorities of the concerned Members States will be fully involved.

It will also depend on the capacity of CMOs to establish an efficient direction to their relationship with some NGOs, CISAC in particular. The willingness of the latter to participate in the project will be



critical. Accordingly, CISAC endorsement of the project will be capitalized and the tools developed under its Common Information System (CIS); CISAC “Professional Rules” and “Binding Resolutions” will apply to the CMOs under this project.

After completion of the project, a “CMO Networking Took-Kit” will be elaborated, capitalizing on the project’s approach and methodology, delivery strategy, country selection criteria and customizing the tools and software for replication in other regions.

### 3.1. Project Review Schedule

The 2 workshops and 2 seminars will be reviewed and evaluated upon their completion and a Follow-up program will be established where appropriate. The partnering IP institution and other relevant government and stakeholders organizations involved in the activity, as well as the participants, will take part in the process. The follow up activities which requires WIPO’s assistance will be considered for implementation subject to availability of funds.

Review mechanisms for the pilot project on collective management will include regular reporting to WIPO Senior Management and periodical reporting to WIPO Member States, through appropriate bodies.

### 3.2. Project Self-Evaluation

*In addition to the project self-evaluation, an independent evaluation may also be undertaken for the project*

Project Outputs	Indicators of Successful Completion (Output Indicators)
<p><u>Seminars:</u></p> <p>Improved awareness of the economic importance of copyright.</p> <p>Discussions on appropriate tools to assess the national/regional performance and economic contribution of the creative industries and enabling governments to identify areas for policy intervention.</p> <p>Requests for launching of studies on the economic contribution of copyright-based industries.</p>	<p>Expression of interest in undertaking national research on the economic importance of copyright-based industries, translating and/or publishing existing research or preparing country specific awareness rising materials.</p> <p>Participants in the seminars represent a broad range of stakeholders (i.e. individual and corporate creative industries, government institutions represented, IGOs, NGOs, banking and financing institutions.</p> <p>Identification of the most appropriate indicators for measuring performance of the creative sector.</p> <p>Over 50 % of the participants in the seminars confirm, at the end of the seminar, that they have at least been satisfied with the seminar regarding the achievement of the objectives set.</p> <p>Number of requests, number of studies, publication or other WIPO materials.</p>
<p><u>Workshops:</u></p> <p>Raised awareness on the role of intellectual property for the operation of creative enterprises; and transfer of practical knowledge on the</p>	<p>Demand for WIPO publications and tools on management of IP in specific creative industries.</p> <p>Number of trained participants.</p> <p>Request for training based on WIPO tools.</p>

management of intellectual property by creative industries and support institutions.	
Specialized training modules on collective management.  Drafting of collective management business rules.	Customized Training modules developed in the first three months of project fitting the needs of each CMO.  Adoption and implementation of business rules (documentation, licensing and distribution) compatible with international standards.
Provision of IT equipment.	CMO IT infrastructure compatible with networking requirements for user-friendly access to databases.
Upgraded Software.	Software able to automate all the CMO's operations (documentation, licensing and distribution) and to allow access to international databases.  Software allows data exchange applications and allocation of standardized numbers for international works.
Database of CMOs' musical works repertoire accessible and secure.	Database uniform in each CMO and compatible with data exchange system.  Database accessible online and off-line by networked CMOs, worldwide, for any secured and compatible system (in the CISnet in particular).
Deployment package.	<ul style="list-style-type: none"> <li>– 9 training packages delivered;</li> <li>– 3 officials in each CMO using the network system on a daily basis; and</li> <li>– Number of data (on works and interested parties) captured and processed quarterly by each CMO using the system.</li> </ul>
<b>Project Objectives</b>	<b>Indicators of Success in Achieving Project Objective (Outcome Indicators)</b>
Identification of the potential of creative industries through economic analysis and practical management.	Development of specific research or business projects; setting up of monitoring mechanisms for the performance of the creative sector; specialized publications and manuals.
Accomplishment of collective management business in a networked environment according to international state-of-the-art standards.	Networked CMOs are using business rules compatible with international standards by November 2010.
Developing an IT Platform and creating a Data Center.	Databases in 9 CMOs are uniform, accessible as a whole (online or off-line) and from all networked CMOs by September 2011.
Achieving a common, cost-effective and easy-affordable registration system for the identification of works and rights owners.	Each networked CMO has access to international databases and can register works and interested parties accordingly, by October 2011.



## 5. BUDGET

### 5.1. Project Budget for 2009 (non-personnel costs)

	<i>Program 9</i>	<i>Program 3</i>			
<i>Travel and Fellowships</i>					
Staff Missions	30'000	40'000			
Third-party Travel	70'000	140'000			
Fellowships					
<i>Contractual services</i>					
Conferences		28'000			
Experts' Honoraria		16'000			
Publishing					
Others	100'000				
<i>Equipment and Supplies</i>					
Equipment	100'000	10'000			
Supplies and Materials	-	6'000			
<b>TOTAL</b>	<b>300'000</b>	<b>240'000</b>			<b>540'000</b>

### 5.2. Project Budget for the 2010/2011 Biennium

	<i>Program 9</i>	<i>Program 3</i>			
<i>Travel and Fellowships</i>					
Staff Missions	30'000				
Third-party Travel	70'000				
Fellowships					
<i>Contractual services</i>					
Conferences					
Experts' Honoraria					
Publishing					
Others	100'000				
<i>Equipment and Supplies</i>					
Equipment	100'000				
Supplies and Materials	-				
<b>TOTAL</b>	<b>300'000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>300'000</b>

[Annex IX follows]

## ANNEX IX

## DEVELOPMENT AGENDA RECOMMENDATION(S) NO. 10

## PROJECT DOCUMENT

<b>1. SUMMARY</b>	
<b>Project Code:</b>	DA_10_05
<b>Title:</b>	Improvement of National, Sub-Regional and Regional IP Institutional and User Capacity.
<b>Development Agenda Recommendation(s):</b>	Recommendation No.10: To assist Member States to develop and improve national IP institutional capacity through further development of infrastructure and other facilities with a view to making national IP institutions more efficient and promote fair balance between IP protection and the public interest. This technical assistance should also be extended to sub-regional and regional organizations dealing with IP.
<b>Project Budget:</b>	Non-Personnel Costs: Sfr.2,209,000 Additional Personnel Costs: Sfr.882,000
<b>Project Duration:</b>	24 months
<b>Key WIPO Sectors Involved and Links to WIPO Programs</b>	Technical Assistance and Capacity Building (TACB) Sector  Links to WIPO Programs 8, 9, 10, 11, 14, 15, 17, and 19.
<b>Brief Description of Project:</b>	In light of the recognition of IP as a powerful tool for promoting creativity and innovation, as well as for the competitiveness of enterprises and countries, this project will provide an integrated set of policies and strategies, institutional and enterprise level interventions, including tools and mechanisms, directed at IP administrations, at the national, sub-regional and regional levels, and to enterprise-support institutions, the aim being to enhance both the efficiency and utilization of the IP system in developing least developed countries, as well as countries in transition, by fulfilling their development objectives.

## 2. PROJECT DESCRIPTION

### 2.1. Introduction to the Issue/Concern

It is widely accepted that a well functioning and balanced IP system is key to realizing its catalytic role of promoting innovation and creativity, the main drivers of economic development in a knowledge-based economy. Such a system presupposes proper integration of IP into the national development framework, and clarity of the broad national IP policy and strategy and its interface with relevant national policy concerns such as those relating to innovation, science and technology policy, education, trade and investment, health, energy and environment. It also requires institutions which are efficient, service and user-oriented and accessible while at the same time, cost-effective.

IP institutions in many countries have recognized the need to undergo transformation, in order to meet the dual challenge of efficiency as a technical agency and of the demands of development orientation. Such a transformation would require reform in the areas of policy, strategic goals and mission, organizational structure, financial mandates and human resource strategies, functions and responsibilities, operational procedures and management. Development orientation implies policies and strategies, as well as institutional outlook that takes into account development goals and aspirations in general and specific public policy issues in particular. It also implies the need to introduce and deliver value-added services and products meant to address the needs of users, be it in the form of enhanced user capabilities to use the IP system, improved public awareness to instill respect for IP, easy access to and use of IP information resources, advice in various areas of commercialization, among others. To a certain extent, WIPO has been assisting developing countries and LDCs in developing national IP strategies and plans and has organized various *fora* to discuss the importance of this endeavor.

WIPO has also supported efforts by countries in formulating their IP strategies and plans with checklists and guides. It is noted that the experience has been varied so far, and the process is hampered by the lack of an accepted standard detailed methodology and tools to develop such plans and strategies on a national scale and in a comprehensive and integrated manner. On a national scale, it is important to take into account not only the specific situation, the needs and requirements of IP institutions but rather of the whole spectrum of institutions and stakeholders that are influenced or could be affected by the IP system. Across the various regions, the need for a standard, yet flexible, methodology and an integrated approach that will guide national undertakings for the preparation of national IP strategies and plans is widely felt.

Such a methodological approach will provide a framework for going through the process with the appropriate tools. (i) to determine the current state of the national IP system; (ii) to determine and assess needs at the levels of policy and strategy and at the level of institutional/organizational change; and (iii) for developing an IP strategy and plan in a systematic and integrated way. It will also present alternatives and options available, whether they be as regards policy related issues or organizational modernization.

This project aims to produce a standard methodology and integrated approach which will go through a development and validation process by experts, a piloting process in selected countries and eventually to be used as an important tool for WIPO's regular technical assistance program.

The role of regional and sub-regional cooperation in this process of transformation towards efficient IP systems cannot be overemphasized. Some regions/sub-regions have introduced regional systems while others have embarked or are embarking on cooperative schemes, such as harmonized procedures relating to IP applications with the view to creating greater efficiency and transparency. There is value in looking at the experiences of the various regions/sub-regions in this regard and learning from their

lessons through regional/sub-regional dialogues and programs that can elaborate on possible schemes of work-sharing, exchange of information, experience and expertise as well as establishing networking and partnership.

In parallel, enterprise-related interventions essentially through SME support institutions provide invaluable support to the facilitation of the practical use of IP in business. Raising awareness of SMEs on the potential of IP in enhancing business competitiveness and realizing its positive application in enterprises remains an important task which can be systematically achieved through SME support institutions. Already, WIPO under a project funded by the Korean Intellectual Property Office (KIPO) and implemented jointly with the Korean Invention Promotion Association (KIPA), has created a multimedia toolkit on IP Management for SMEs called IP PANORAMA, which consists of 12 modules. In addition, the ongoing Needs Assessment Survey concerning support services for SMEs by IP Offices (commenced in April 2008) of the Member States of WIPO which was initiated in 2008 through a detailed, structured questionnaire has already provided very useful insight on the ground realities of the responding 69 countries concerning the provision of IPR support services to national SMEs directly by the IP Office or through various types of SME support institutions. There remains, however, a lack of awareness of the IP system and how its tools may be used for business competitiveness particularly by start-ups, micro-enterprises and SMEs. Encouraging a strong SME sector is a priority for all economies, and IP can play a significant role in creating a more competitive SME sector.

## 2.2. Objectives

The project will aim to achieve the following objectives:

(i) Strengthen national IP institutional capacity towards greater efficiency and an enhanced ability to promote a fair balance between IP protection and public interest in their national policy, strategy, and organizational and management modernization processes, in line with the Development Agenda Recommendation No. 10. This will be made possible through a standard, methodological and integrated approach to IP policy, strategy and institutional reform and modernization that will be available in the form of tools for a three step process: (a) assessing the current state of the national IP system; (b) undertaking a needs assessment at the levels of policy, strategy and institutional/organizational change; and (c) providing a framework (s) for addressing the needs that are identified in a systematic and integrated way, particularly in designing national IP strategies and plans. This tool will also provide policy and organizational alternatives and options as well as technical assistance and capacity building possibilities.

(ii) Strengthen regional/sub-regional institutions dealing with IP, by providing the necessary assistance for the establishment of sub-regional cooperation mechanisms that can assist and facilitate the effective management of search and examination of IP applications, through work-sharing or pooling of resources. This is in line with the second part of the Development Agenda Recommendation No. 10, i.e. "This technical assistance should also be extended to sub-regional and regional organizations dealing with IP", and will be undertaken in coordination with the relevant activities under Development Agenda No. 8.

(iii) Enhance the capacities of IP and SME support institutions in addressing the needs and challenges of SMEs in effectively utilizing the IP system by providing them with an enhanced factual understanding of the problems/challenges and enabling appropriate policy responses and allocation of resources to respond to the problems/challenges, such as through nationally tailored material on print and digital media, including online content. Using these materials, *training of trainers* programs will be held for the benefit of teachers/trainers in reputed institutions including universities that undertake teaching/training activities on a regular basis.

The main beneficiaries will be IP institutions and IP-related institutions including SME support institutions in the last case, both national and regional/sub-regional whose capacities will be strengthened under the project. In their capacity as service institutions, the benefits of the project will eventually rebound to the users of the IP system, i.e. business entities, entrepreneurs, research institutions, universities, inventors, creators and users of IP in general.

### **2.3. Delivery Strategy**

The strategy will be based on deriving a methodological approach to the policy, strategy and institutional/organizational reform requirements of IP institutions that will address development orientation, service orientation and efficiency, and present possible models and options. Conceptual frameworks and tools will be prepared and validated with expert support and piloted in six countries. The tools will be applied in a customized way taking into account factors such as national economic and legal systems, levels of development, nature of the country's IP system, the comparative advantage through IPRs, arrangements for cooperation with other countries and resource availability, among other things. Pilot exercises will be undertaken in six countries, one country per region, plus a LDC. The project will also use, as inputs, existing materials available at WIPO, that support the preparation of national IP strategies and plans. WIPO will also work closely with regional and sub-regional institutions dealing with IP, in order to identify possibilities of cooperation that will address IP management challenges in the region/sub-region and will provide support to regional/sub-regional dialogues.

The project will provide a realistic and comprehensive picture of the IP situation in the country as well as an integrated and holistic way of addressing issues and gaps. The Regional Bureaus will manage the pilot projects in their respective regions, in close consultation and cooperation with the sectors concerned in WIPO and the relevant authorities in the countries concerned, who will be expected to mobilize local inputs for national roundtables and expert missions. External partners could be involved, as appropriate.

The following activities are foreseen:

- Consultancy services to design and prepare the methodology and tools;
- Validation exercise in an experts meeting;
- Pilot projects in six countries to apply the methodology and tools. This will require national consultants and HQ staff working with countries. Aside from desk research, national roundtables will be convened and missions undertaken in the six countries. Roundtables will be convened to bring stakeholders together in the process of discussing the draft outcomes;
  - Regional/sub-regional meetings of IP officials to discuss and exchange experiences on IP administration issues, to discuss possible regional/sub-regional approaches that will address common problems and difficulties such as work-sharing and pooling of resources; and
  - A pilot project on a sub-regional/regional approach to IP administration.

Specifically for the enterprise related interventions, the strategy will include:

- Convening an expert group for defining the scope and standardizing the methodology for conducting national survey/studies on IP and SMEs;
- Based on the agreed scope and standardized methodology, six pilot studies will be conducted;
  - Develop in parallel, national translated and/or adapted versions of WIPO's publications on IP for SMEs;
  - Creation of local language versions of IP PANORAMA multimedia tool kit in collaboration with KIPO and KIPA;
  - Training of teachers/trainers programs in a SME support institution/university will be



conducted to ensure the multiplier effect; and

- Review progress made thus far including scope, methodology and quality of the studies, their findings and recommendations, the local material and tool kits developed and the results of the training of trainers events to develop a coherent integrated package of assistance based on best practices to be applied to an increasing number of countries in the coming years. This review will be done in the framework of an International Conference.

The strategy is considered appropriate as it seeks to develop a standardized methodology and tools on IP for SMEs for mapping out the situation in Member States involved in the project. The strategy for content creation involves the active collaboration of local partners thus ensuring the local ownership of the project.

The activities will include the following:

- Convene an experts group to deliberate, standardize and finalize the scope and methodology to ensure consistency and comparability of results across countries and over time in the same country;
- Commission of six national pilot studies/surveys to be conducted as per the scope and methodology agreed to by WIPO on the basis of the recommendations of the experts group;
- Develop national translated and/or adapted versions of WIPO's publications on IP for SMEs;
- Creation of French and Spanish versions of IP PANORAMA;
- Training of trainer programs one each in each of the six pilot countries; and
- Organizing an International Forum to evaluate the results of the activities undertaken in the framework of the project and make recommendations for providing an integrated package of project based assistance to more countries in the coming years.

Member States will have the primary responsibility of finding suitable national institutions and individuals, to act as national counterparts and/or consultants for collaborative implementation of the various stages of the project.

WIPO will provide the international coordination and integration of the results/findings, dissemination of best practices and/or elements of good practices, cross-fertilization of ideas, and for developing synergies amongst the various SMEs stakeholders at various levels.

### **3. REVIEW AND EVALUATION**

#### **3.1. Project Review Schedule**

Review mechanisms will include regular reporting to WIPO Senior Management and periodical reporting to WIPO Member States through appropriate bodies.

Independent and/or self-assessment evaluations will also be undertaken, on an *ad-hoc* basis.

#### **3.2. Project Self-Evaluation**

*In addition to the project self-evaluation, an independent evaluation may also be undertaken for the project*

<b>Project Outputs</b>	<b>Indicators of Successful Completion (Output Indicators)</b>
Strengthen national IP institutional capacity through a standard, methodological and integrated	

approach to IP policy, strategy and institutional reform and modernization.	
A tool for assessing the status of the existing IP system in a developed country.	Tool successfully validated by expert groups (internal and external) within 2 months of preparation; tool applied in six pilot countries.
A tool for needs assessment exercise available.	Tool successfully validated by expert groups (internal and external) within 2 months of preparation; tool applied in six pilot countries.
A conceptual framework for the design of national IP strategies and plans containing policy/ institutional/ organizational reform of IP administrations conceived and tested.	Framework validated by expert groups (internal and external); actual use of the framework in the preparation of national IP strategies and plans in six pilot countries.  Final framework incorporating lessons from the tests made available to Member States.
Strengthen regional/sub-regional institutions dealing with IP.	
Sub-regional/regional approach to IP administration finalized.	Harmonized procedures/work-sharing for one sub-regional/regional group agreed upon.
<b><u>SMEs</u></b>	
A standardized methodology for undertaking survey/studies on IP for SMEs.	Validation of the methodology by the expert groups and field testing of the validated methodology through pilot testing in six countries.
Availability of national translated and/or adapted versions of WIPO publications on IP for SMEs.	Local partners identified, agreements signed, timely receipt and approval of drafts, authorization for publication granted.
Availability of IP PANORAMA in French and Spanish.	Partners identified, agreements signed, timely receipt and quality check of interim and final draft, authorization for publication granted.
Created or enhanced capacity of local teachers/trainers to create awareness on the role of IP in competitiveness of a business and to provide basic assistance on IP information and registration services.	Successful completion of training programs evaluated on the basis of a questionnaire by the participants.
<b>Project Objectives</b>	<b>Indicators of Success in Achieving Project Objective (Outcome Indicators)</b>
Strengthen national IP institutional capacity through a standard, methodological and integrated approach to IP policy, strategy and institutional reform and modernization.	Successful testing of methodology in six pilot countries, and general acceptability of the methodology which will allow for its application on a larger scale to all countries. WIPO will assist in institutional strengthening efforts.

Strengthen regional/sub-regional institutions dealing with IP.	At least one sub-regional/regional mechanism of cooperation in the field of IP in place.
New and/or improved IPR support services to SMEs.	Integration of IP into business strategy of SMEs ascertained by subsequent surveys.

**4. IMPLEMENTATION TIMELINE**

ACTIVITY	QUARTERS							
	2009				2010			
	1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>	1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>
Drafting Terms of Reference and hiring of three consultants to prepare three documents		X						
Experts Group meetings to validate three documents			X					
Expert missions (WIPO, international consultants) to selected pilot countries for review of status of IP system and needs assessment exercise			X	X				
Recruitment of national consultants to contribute to the preparation of national strategies				X				
Preparation of national IP strategies and plans based on the WIPO framework				X				
Convening of national roundtables in selected pilot countries to secure national endorsement of national IP strategy and plan					X			
Drafting Terms of Reference for a consultant on sub-regional/regional cooperative schemes, and recruitment		X						
Convening of a sub-regional/regional meeting on cooperative schemes in IP administration				X				
Follow-up support based on recommendations of meeting					X			
Experts Group to standardize and finalize the methodology to ensure consistency and comparability of results across countries and over time in the same country		X						
Six national pilot studies/surveys		X	X	X				
Develop national translated and/or adapted versions of WIPO's publications on IP for SMEs		X	X	X				
Creation of French and Spanish versions of IP PANORAMA					X	X	X	X
Training of trainer programs; one each in each of the six pilot countries			X	X				
International Forum				X				

## 5. BUDGET

### 5.1. Project Budget for 2009 (non-personnel costs)

	<i>Program 9</i>				
<i>Travel and Fellowships</i>					
Staff Missions	160'000				
Third-party Travel	830'000				
Fellowships					
<i>Contractual services</i>					
Conferences	12'000				
Experts' Honoraria	225'000				
Publishing	30'000				
Others	360'000				
<i>Equipment and Supplies</i>					
Equipment					
Supplies and Materials					
<b>TOTAL</b>	<b>1'617'000</b>		-	-	<b>1'617'000</b>

### 5.2. Project Budget for the 2010/2011 Biennium (non-personnel costs)

	<i>Program 9</i>				
<i>Travel and Fellowships</i>					
Staff Missions	110'000				
Third-party Travel	125'000				
Fellowships					
<i>Contractual services</i>					
Conferences	12'000				
Experts' Honoraria	55'000				
Publishing					
Others	200'000				
<i>Equipment and Supplies</i>					
Equipment	90'000				
Supplies and Materials					
<b>TOTAL</b>	<b>592'000</b>		-	-	<b>592'000</b>

[End of Annex IX and of document]