



Internal Oversight Division

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Evaluation Report

Evaluation of the Regional Bureau for Asia and the Pacific

December 12, 2018

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LIST OF ACRONYMS

APEC	Asia and Pacific Economic Cooperation
ASEAN	Association of Southeast Asian Nations
ASPAC	Asia and the Pacific
AWGIPC	Association of Southeast Asian Nations Working Group on IP Cooperation
CTAIP	Country Technical Assistance Implementation Plan
FIT	Funds-In-Trust
HIPOC	Heads of IP Offices Conference
IOD	Internal Oversight Division
IP	Intellectual Property
IPAT	Intellectual Property Association of Thailand
IPO	Intellectual Property Office
IPOPHL	The Philippines national IP Office
ITSO	Innovation and Technology Support Office
JPO	Japan Patent Office
KIPO	Korean Intellectual Property Office
LDC	Least Developed Countries
MoUs	Memorandums of Understanding
NIPO	National Intellectual Property Office
NIPS	National Intellectual Property Strategy
PCT	The Patent Cooperation Treaty
P&B	Program and Budget
SG	Strategic Goal
TISC	Technology and Innovation Support Center
TRF	Thailand Research Fund
UNEG	United Nations Evaluation Group
WIPO	World Intellectual Property Organization

EXECUTIVE SUMMARY

1. This report represents the results of the evaluation of the World Intellectual Property Organization's (WIPO's) Regional Bureau for Asia and the Pacific. The evaluation was conducted between May and October of 2018. A total of 139 stakeholders were interviewed, including 82 national IP office representatives, 41 other national IP stakeholders, nine representatives of Permanent Missions and seven ASPAC Bureau representatives. The interviewees comprised 53% men and 47% women. As well as these key informant interviews, the evaluation analyzed available and relevant WIPO and ASPAC Bureau documentation. Key evaluation findings/conclusions include the following.

2. Relevance

(a) The approach and work of the Regional Bureau for Asia and the Pacific (hereinafter "ASPAC Bureau")¹ have been developed from a careful analysis of WIPO's strategic and mid-term goals. The close correlation between the activities of the ASPAC Bureau and its mandate, as well as the close correlation between its work and the defined and stated needs of Member States is indicative of the strategic relevance of the work of the ASPAC Bureau. Further, the strong indications from stakeholders of the importance of the ASPAC Bureau's work to their Intellectual Property (IP) development encourage confidence in the relevance of the ASPAC Bureau's approach.

(b) The approach and work of the ASPAC Bureau have been developed within a structured framework of delivery. This structured approach is critical to the ASPAC Bureau's approach and contributes strongly to the effectiveness of the ASPAC Bureau's work. Strong indications from stakeholders of the importance of the various projects encourage confidence that the structured approach is of value to Member States in the development of IP frameworks and systems.

3. Effectiveness

(a) It is likely that the impact of the ASPAC Bureau's contribution to WIPO's strategic goals (SG) will continue to grow, and be more visible, as more Member States move along a development path and have more time for the implementation of their National Intellectual Property Strategy (NIPS). It will be critical in the coming years for the project-focused approach to be carefully monitored and revised according to: (i) the needs of Member States; and (ii) reflections on the effectiveness of the content and structure of the projects.

(b) The structured analysis of results against plans has the potential to assist WIPO in a better analysis of the effectiveness of its inputs and achievement of results and should be a specific focus of the ASPAC Bureau's project management processes going forward. Reporting in particular can benefit from a more consistent use of the defined results framework.

(c) There are gains to be made from ensuring a close correlation of approach and collaboration between substantive sectors and the ASPAC Bureau, given the ASPAC Bureau's knowledge of national IP office strategies, details of their diagnostics and understanding of their priorities. This knowledge can add significantly to the planning and delivery of the work of the substantive sectors.

(d) The high levels of strong support for the project-based approach and work of the ASPAC Bureau indicates that consideration of this approach by other Bureaus, and WIPO generally, is needed. This development is directly in line with the *Program and Budget 2016/17* document. While there is no basis in the work of the evaluation for concluding an

¹ http://www.wipo.int/about-wipo/en/activities_by_unit/index.jsp?id=1008

uptake of the 10 projects across the organization, it is apparent that a detailed consideration of the structured nature of the approach, and its strategic underpinning, is warranted, to ensure WIPO is not missing an opportunity to strengthen effectiveness and efficiency of program delivery.

4. Efficiency

(a) Some strengthening of the governance of coordination and collaboration processes between the ASPAC Bureau and substantive sectors is indicated. These systems are critical for ensuring an efficient use of WIPO resources and effective results against strategic plans. Operating within defined priority areas of focus is incumbent on the other WIPO sectors, and to do so with the assistance of and in coordination with the ASPAC Bureau.

(b) Improvements are needed in reporting on the ASPAC Bureau's projects, with a specific focus on project-focused/project-specific reporting and the provision of statistics on specific activities within a project context. Reports should also describe contribution to planned activities and outputs and should analyze contribution to WIPO's strategic priorities.

(c) Some discussion across WIPO, involving ASPAC Bureau leadership and leadership of relevant substantive sectors is encouraged to develop a longer-term approach to the strategic engagement of Pacific Island states in international IP structures and conventions.

5. Impact

(a) The ASPAC Bureau has set down a number of markers of impact that can be followed in determining impact on Member States in terms of the development of IP frameworks and systems, and impact in terms of WIPO strategic goals. The markers are: (i) specific types of capacity in individuals, notable with examiners but not restricted to this group; (ii) how things are done in NIPS and Diagnostics being the notable contributors; and (iii) regional networking incorporating both technical assistance and financing but also the sharing of knowledge and practice.

6. Based on the above findings and conclusions, the evaluation makes the following recommendations:

- (1) ASPAC Bureau should build on existing project monitoring framework strengths by factoring in results based budgeting, gender elements and reporting against results based indicators.

Closing criteria: (i) A pilot monitoring report document against the result based framework including the identification of a sustainable approach for long term monitoring and evaluation reporting of the projects. (ii) Project framework includes gender indicators linked to specific activities, whenever possible. Engage WIPO's Gender and Diversity Specialist to facilitate the design and implementation of a specific gender-equality plan for the ASPAC Bureau, encompassing capacity-building for staff, focused approaches for work with National IP Offices and other national stakeholders.

- (2) The ASPAC Bureau should not increase the number of projects beyond the already existing 10 projects. Focus should continue to be on quality rather than on quantity.

Closing criteria: Number of projects have not increased in the next biennium.

1. INTRODUCTION

(A) ASPAC BUREAU CONTEXT

7. The WIPO context for the Regional Bureau for Asian and the Pacific can be found in the Program and Budget for the 2016/17 Biennium. WIPO’s mission is to lead the development of a balanced and effective international IP system that enables innovation and creativity for the benefit of all. Facilitation of the use of IP to promote economic, social and cultural development in developing countries and LDCs thereby contributing to the achievement of the Post 2015 Development Agenda.² The role of the ASPAC Bureau is to make IP work for sustainable development, and the assistance is provided through project-based programs in cooperation with relevant sectors in WIPO including the Development Agenda Program.³

‘The programs dedicated exclusively to development, notably the regional bureaus, the Academy and Development Agenda Coordination, face increasing challenges in meeting the rise in demand for services that is a natural consequence of the increased prominence of intellectual property in the economy. Part of the response to this challenge that we continue to work on is the achievement of greater coherence in the allocation of responsibilities for capacity-building, which now permeates the whole program of the Organization.’

Francis Gurry, WIPO Director General

8. Within this overall WIPO context, the ASPAC Bureau operates within a defined result (and change) logic. The results-based framework for the period comprising 2016 to 2019 is presented below⁴.

Table 1: WIPO – ASPACT RESULTS BASED FRAMEWORK 2016-2019

ASPAC PROJECTS	WIPO’S EXPECTED RESULTS	WIPO’S STRATEGIC GOALS
1. Formulation of National IP Strategies 2. Creating country technical assistance implementation plans	III.1 National innovation and IP strategies and plans consistent with national development objectives	SG III: Facilitating the Use of IP for Development
3. Intensifying the conversation with countries through the heads of IPO conference	III.4 Strengthened cooperation mechanisms and programs tailored to the needs of developing countries, LDCs and countries with economies in transition	
4. IP Office diagnostics and assistance 5. Competency based and individualized trademark examiner training and learning management system 6. Competency based and individualized patent examiner training and learning management system	IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP Administration	SG IV: Coordination and Development of Global IP Infrastructure IV.4
7. WIPO treaty accession (for more countries to join the IP global systems)	II.5 Wider and more effective use of the Madrid System, including by developing countries and LDCs II.3 Wider and more effective use of the Hague System, including by developing countries and LDCs	SG II: Provision of Premier Global IP Services
8. An enabling IP environment to increase the capacity for innovation support	III.6 Increased capacity of SMEs, universities and research institutions to successfully use IP to support innovation	SG III: Facilitating the Use of IP for Development
9. An enabling IP environment to strengthen business competitiveness through brands and designs	IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity	SG I V: Coordination and Development of Global IP Infrastructure

² <http://www.wipo.int/ip-development/en/agenda/recommendations.html>

³ Cluster A: Technical Assistance and Capacity Building; Cluster B: Norm-setting, flexibilities, public policy and public domain; Cluster C: Technology Transfer, Information and Communication Technologies (ICT) and Access to Knowledge; Cluster D: Assessment, Evaluation and Impact Studies; Cluster E: Institutional Matters including Mandate and Governance; Cluster F: Other Issues.

⁴ It is noted here that the evaluation assessment pertains to the 2016/2017 biennium.

ASPAC PROJECTS	WIPO'S EXPECTED RESULTS	WIPO'S STRATEGIC GOALS
	II.4 Improved productivity and service quality of the Hague operations	
10. IP roving seminars to increase usage of global systems	II.1 Wider and more effective use of the PCT System for filing international patent applications, including by developing countries and LDCs II.5 Wider and more effective use of the Madrid System, including by developing countries and LDCs	SG II: Provision of Premier Global IP Services

Source: ASPAC Bureau workplan 2018. Table prepared by IOD.

9. The ASPAC Bureau is located within Program 9 of Strategic Goal III – Facilitating the Use of IP for Development in the Program and Budget for the 2016/17 Biennium⁵, which contributes to the achievement of Strategic Goal I, II, III, and IV. The Program's contributions in other result areas are also clearly defined. The Program and Budget for the 2016/17 Biennium also describes a number of key challenges which need to be overcome in order to achieve defined objectives. These include: limited resources; diversity in terms of social, economic, cultural, political and legal systems; different stages of development; a broad range and multiplicity of stakeholders with varying skills, competencies and knowledge requirements; an ever-increasing need and demand for development-related, as well as other WIPO services; and translating the notion of IP for development into concrete sustainable results with tangible benefits.⁶

10. The ASPAC Bureau is responsible for providing legal and technical assistance to 38 countries, comprised of 25 developing countries and 13 LDCs in the Asia Pacific region, with the objective of making IP work for sustainable development. The ASPAC region is particularly diverse, culturally, linguistically and economically, as well as in the context of needs and priorities related to IP. In order to address this diversity ASPAC Bureau staff have geographic (country) responsibilities, as well as a programmatic focus. The ASPAC Bureau has 13 staff members (one director, eight professional, three general service staff, and one intern).



Figure 1: Map of the countries of the ASPAC Bureau.

11. The ASPAC Bureau provides assistance through project-based programs in cooperation with relevant sectors in WIPO. The ASPAC Bureau has undergone significant change in approach during the period being evaluated, particularly in how it approached its strategic settings and related initiatives with member countries. The key change has been to move away from an *ad hoc* approach to work with countries in a more structured, project-based approach. While this process of change is ongoing, even into the 2018/2019 biennium, the change initiated during the period under evaluation has already been significant. The change has focused the work of the ASPAC Bureau into three main clusters: Frameworks: legislation, policy and technical cooperation; IP Office: competencies, financials and the business model; IP stakeholders: innovation, branding and designs. Within these clusters, the ASPAC Bureau focuses its work in 10 projects of engagement with countries, referred to as development initiatives or projects. The projects are discussed in further detail below, in the Relevance and Effectiveness sections.

⁵ 2015 Program and Budget for the 2016/17 Biennium. WIPO. (Program 9 is described from page 72.)

⁶ 2015 Program and Budget for the 2016/17 Biennium. WIPO.

2. THE EVALUATION

12. Within its 2018 Oversight Plan the Internal Oversight Division (IOD) included an evaluation of the “ASPAC Bureau”. The following details the framework of the evaluation, its scope, intent and the methodology and approach of the evaluation team.

(A) EVALUATION PURPOSE AND OBJECTIVE

13. The main focus of the evaluation was:

- (a) Assessing the relevance of the ASPAC Bureau Program to targeted counterparts, its added value to the region and the support provided by its counterparts;
- (b) Assessing ASPAC Bureau contributions to make IP work for sustainable development and the strategic contribution of the regional program to the broader goals of regional integration according to the Global Innovation Index Conceptual Framework;
- (c) Analysis of the tools, mechanisms, and methodologies⁷ that the ASPAC Bureau implements. Moreover, identify lessons learned and good practices that have contributed to the performance of the RBASPAC;
- (d) Identification of factors that can be replicated by other Regional Bureaus in order to increase their relevance, efficiency and effectiveness –including in the field of gender equality; and
- (e) Defining recommendations that can improve performance and improve coordination with internal and external stakeholders.

14. The evaluation also assessed the degree to which gender equality has been mainstreamed in initiatives and its potential contribution to impact in gender equality in the region.

15. Detailed questions addressed as part of this evaluation can be found in Annex VIII.

(B) EVALUATION APPROACH AND METHODOLOGY

16. The methodology adopted for this Evaluation was designed to meet the requirements and expectations set up by the Terms of Reference. The evaluation applied the Development Assistant Committee⁸ and the United Nations Evaluation Group (UNEG) evaluation criteria⁹ of relevance, effectiveness, efficiency impact and sustainability, as well as the assessment of gender equality, and followed the UNEG Evaluation Standards and WIPO Evaluation Manual Guidelines.

17. The evaluators applied deductive reasoning, i.e. founding their conclusions and recommendations on evaluation findings. The evaluation used a mixed-methods approach involving qualitative and quantitative methods in its analysis. The evaluation had three phases: inception, including a desk review of available documentation; field research; analysis and reporting. More details on each of these phases can be found in Annex IX.

⁷ Conferences, meetings, trainings, missions, etc.

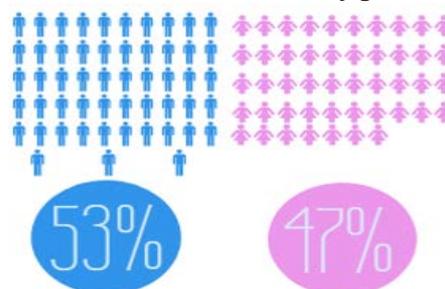
⁸ <http://www.oecd.org/development/developmentassistancecommitteeedac.htm>.

⁹ <http://www.unevaluation.org/document/detail/1914>.

18. Key informant interviews and survey were the principal source of information. Interviews included WIPO staff and Member States in Geneva, stakeholders in three countries nominated for visits and Case Studies (Sri Lanka, Thailand and the Philippines) and interviews with key stakeholders in the balance of ASPAC Member States. Key informant interviews were used to complement and validate the information gathered through the desk review and also provided greater reflection and detail to the surveys. The interviews provided in-depth information for the analysis related to relevance, effectiveness, and efficiency. A total of 139 stakeholders were interviewed, comprising the following demographic breakdown:

- (a) Eighty two national IP office representatives.
- (b) Forty one other national IP stakeholders.
- (c) Nine Permanent Mission representatives.
- (d) Seven ASPAC Bureau representatives.

Figure 2 - Consulted stakeholders by gender



Source: IOD, Evaluation Section data

19. Four online surveys were prepared and distributed to ASPAC Bureau stakeholders. This included: WIPO staff, external experts, Geneva-based permanent mission and relevant Member States (users, beneficiaries and partners) in all 38 countries.

20. The mix of qualitative and quantitative approaches assisted in analyzing evaluation data. This combination of a variety of sources and methods of data collection enabled triangulation and a strong evidence base to identify findings and state conclusions and recommendations, to prepare the evaluation report.

(C) LIMITATIONS

21. The complexity of the region: the ASPAC Bureau covers a very wide area geographically, an area with significant cultural and economic differences. While this complexity affects the actual work of the ASPAC Bureau, it has also affected the work of the evaluation, as accessing feedback from all Member States was not possible despite significant work to arrange Skype or phone conversations and/or feedback to the online surveys.

22. Sample size for in-depth consultations in the field: due to constraints in time and resourcing, the evaluation was only able to visit three countries for in-depth analysis. The three countries have been used as Case Studies, offering specific and detailed insights into evaluation enquiry. Together with the interviews done with the wider set of stakeholders, and the surveys, an effective triangulation of data was achieved.

23. Low survey response rates: online surveys tend to produce lower response rates, and this has been the case with the evaluation. The evaluation kept the questionnaire as short as possible, and in total a significant number of responses were received, but the feedback from WIPO staff and Permanent Missions was limited.

3. FINDINGS AND CONCLUSIONS

24. These findings and conclusions provide the basis for the recommendations of the evaluation.

(A) RELEVANCE

EVALUATION QUESTION 1

How relevant is the mandate of the ASPAC Bureau to the region?

- Does it address the needs and priorities of Member States?
- Specific emphasis in the case study countries will be given to the relevance of the mandate and focus areas to the specific country.

EVALUATION QUESTION 2

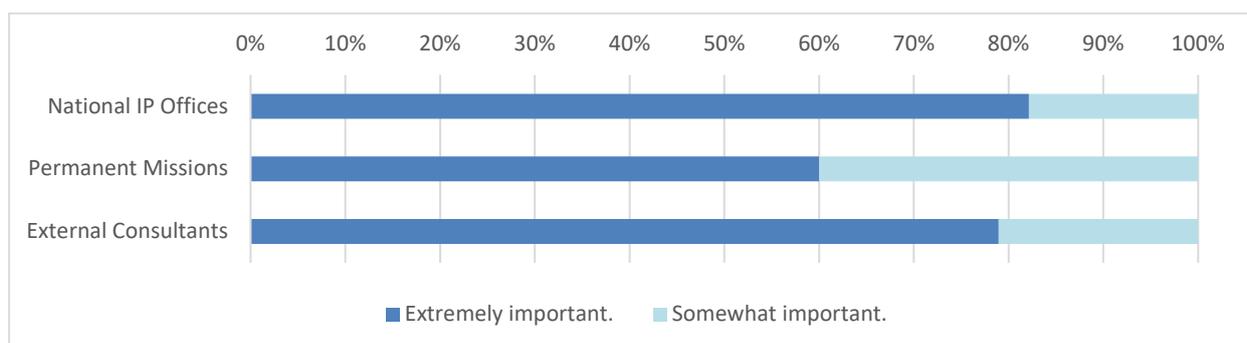
Are the activities of the ASPAC Bureau relevant to its mandate?

(i) The needs of Member States

25. The ASPAC Bureau provides advice and services to a group of countries that have only limited similarities in needs and priorities. The 38 Member States encompass both developed Asian economies and less-developed Pacific states, and everything in between. IP Stakeholders in Member States, Geneva-based Permanent Missions and external experts were surveyed on a number of issues related to the work of the ASPAC Bureau.

26. All national stakeholder survey respondents found the ASPAC Bureau's activities important to the development of their IP legislation and policy. This is also true of respondents from Permanent Missions, all of whom found described ASPAC Bureau activities as either extremely or somewhat important, and is similar to the view of the Bureau's external experts.

Figure 3: Survey of national IP stakeholders, Permanent Missions and external consultants – importance of ASPAC Bureau activities in the development of international IP legislation and policy in their country.



Source: Evaluation Section, data from survey results

27. IP is not homogenous for each, or even any, country. The great variety in the type and geography of Member States, and in their needs, presents the ASPAC Bureau with great challenges in working to ensure both the relevance and the effectiveness of their work. As is visible throughout this report, the relevance of the ASPAC Bureau and its approach is particularly linked to the way it addresses the full range of needs and priorities of Member States - relevance that is apparent across all areas of activity and focus. These areas include:

'These are for me essential activities – I look up to other societies and we tend here to mimic other places, and to see if we can use the tips or tricks from other countries to help us improve. We've had good insights from these activities.'

(Example of stakeholders' views)

- (a) Awareness of the importance of IP, and IP frameworks/systems within national policies and legislation;
- (b) Awareness of the importance to individuals, companies, universities, etc. of protections for IP;
- (c) Knowledge about international IP frameworks; assistance in the development of national IP frameworks and systems;
- (d) Skills in compliance with international IP frameworks; and
- (e) Skills in how to provide assistance to users of national and international IP frameworks and systems.

28. The presented challenges are being addressed with an open mind, and the foundation has been laid for an approach to the development of IP frameworks and systems in Member States that is different to previous approaches. This new approach has been a number of years in the making, incorporating a shift from an *ad hoc* approach in response to expressed wishes of Member States to a more structured approach. The fundamental changes in approach began in 2014, with the loose structuring of ASPAC Bureau activities and approaches and then incorporation of a results-based monitoring framework from 2016 onwards.

29. In order to ensure the range of priorities are addressed, but to do this in a structured, rational way, the ASPAC Bureau has developed a *project-focused approach*. This approach ensures the development framework for Member States is clear, and that activities with Member States are undertaken in a logical sequence to ensure the most effective addressing of needs. The 10 projects are discussed in detail in the Effectiveness section. The 2016/17 Program and Budget specifically mentions the project-based approach, together with the focus on growth of impact in capacity, inside of national IP offices but also in other national stakeholder institutions.

30. The evaluation can attest to extensive confirmation of the relevance of the work of the ASPAC Bureau to the needs and priorities of Member States in relation to IP frameworks and systems. The evaluation specifically addressed the relevance of the project-focused approach with Member States, with the intention of understanding Member State perspectives on the content and effectiveness of the approach. A number of findings in relation to the approach are important to the analysis of the ASPAC Bureau:

- (a) There is general approval from Member States for the project-focused approach;
- (b) While there is not a general understanding across all Member States that there is a “project-focused approach”, all interviewed Member States have awareness of projects, and of the projects they have participated in. This is particularly true of the NIPS and Diagnostics projects;
- (c) The NIPS and Diagnostics projects are well-recognized and acknowledged as fundamental components of the development of national IP frameworks and systems. The NIPS integrates IP to broader national goals, expands IP expertise to relevant government offices and drafts a roadmap based on needs and priority areas of IP development. The Diagnostics project highlights knowledge gaps, based on a detailed audit of the organizational, human and financial structures and resources of the national IP offices;
- (d) The patent and trademark training projects are well-recognized, and supported, if not specifically as “projects”. Indeed, training activities in general and the capacity that is

‘Two months ago the Cabinet approved our submission for our plans to accede to patent and trademark treaties. This is related to our National Strategy and action plan.’

(Example of stakeholders’ views)

built through these activities are consistently mentioned when discussing both the relevance and the effectiveness of the work of the ASPAC Bureau;

(e) Treaty accession is a noted priority of Member States, with the specific focus subject to their unique situations. (Island states also particularly note the relevance of the work of WIPO on Copyright, although this is not a specific area of responsibility of the ASPAC Bureau.); and

(f) In many Member States, raising the awareness of IP is seen as a critical priority for national development and protection of IP. There is a significant lack of understanding among the public of many of the ASPAC Bureau's Member States. There is a consistent noting of the lack of knowledge among researchers and the developers of technology of what comprises IP, and how their can protect their own IP. In interviews, Member States note that awareness of IP, and engagement in IP systems, has increased as a result of the ASPAC Bureau's projects, notably Enabling IP Environment projects. This is particularly mentioned in relation to universities and technological institutes, as these projects aim to build awareness among researchers/innovators, establish the local innovation ecosystem, develop expertise in technology management and commercialization in institutes of higher learning, industry and government, and strengthen linkages, creating a networked community of innovation actors.

'For me, the question was how to come up with ways to protect the IP generated by our university. I have made use of the WIPO training in IP commercialisation.'

(Example of stakeholders' views)

(ii) The mandate of the ASPAC Bureau

31. The mandate of the ASPAC Bureau is "to make IP work for sustainable development".¹⁰ According to the WIPO website, this "assistance is provided through project-based programs in cooperation with relevant sectors in WIPO".¹¹

32. The basis of the project-focused approach is the "journey" of a country from the development of a national IP strategy through analysis and development of national IP structures, to building of directly relevant knowledge and skills (patent and trademark examiners) to assistance in accession to international conventions/ treaties relevant to the country to the development of a related components of an enabling environment for IP development. Clearly, the ASPAC Bureau approach and activities are directly relevant to its mandate, and the responses of stakeholders to questions on this matter demonstrate strong indications of this relevance.

(iii) Key relevance findings

33. Finding 1 – The ASPAC Bureau approach addresses the full range of needs and priorities of Member States: awareness of IP, IP frameworks and systems; awareness of protections for IP; skills in compliance with international IP frameworks; skills in how to provide assistance to users of national and international IP frameworks and systems.

34. Finding 2 – The project-focused approach of the ASPAC Bureau – is well-understood and well-supported by stakeholders, who indicate that it contributes to an objective understanding of directions of development for national IP systems and frameworks.

¹⁰ http://www.wipo.int/about-wipo/en/activities_by_unit/index.jsp?id=1008

¹¹ Ibid.

(iv) Relevance conclusions

35. Conclusion 1 – The approach and work of the ASPAC Bureau have been developed from a careful analysis of WIPO's strategic and mid-term goals. The close correlation between the activities of the ASPAC Bureau and its mandate, as well as the close correlation between its work and the defined and stated needs of Member States is indicative of the strategic relevance of the work of the ASPAC Bureau.

36. Conclusion 2 – The structured approach contributes strongly to the effectiveness of the ASPAC Bureau's work, the high levels of feedback in support of the predictable nature of the project approach, the familiarity of stakeholders with the structure and intent of the ASPAC Bureau's approach. Further, the strong indications from stakeholders of the importance of the ASPAC Bureau's work to their IP development encourage confidence in the relevance of the ASPAC Bureau's approach.

(B) EFFECTIVENESS

EVALUATION QUESTION 3

To what extent does the ASPAC Bureau contribute to the achievement of WIPO strategic goals and expected results?

- To what extent are the tools, mechanisms, and methodologies (conferences, meetings, training programs, missions) of the ASPAC Bureau contributing to achievement of WIPO goals and expected results?
- To what extent does the ASPAC Bureau contribute to the better delivery of WIPO's mandate?
- In which focus areas of the work of the Bureau is there greatest potential for development impact?

EVALUATION QUESTION 4

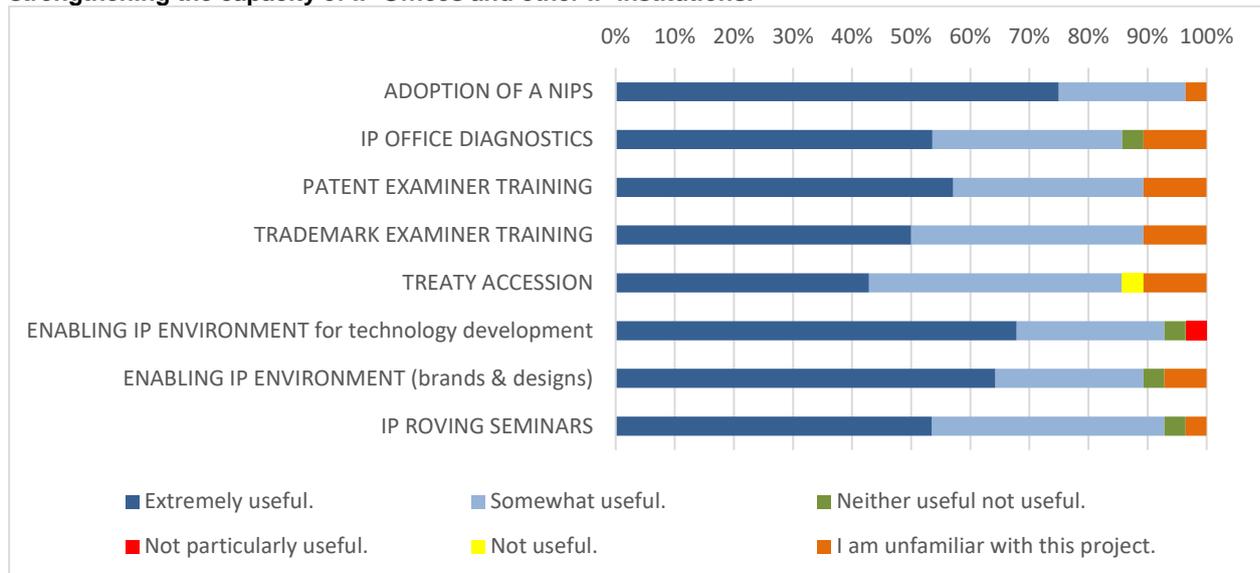
What factors are contributing to (or detracting from) delivery of results? What strengths or weaknesses are there in the work of the ASPAC Bureau?

(i) The project-based approach – a significant contribution to the achievement of WIPO goals and results

37. The strategic framework and structured approach to delivery (the projects) are clear contributors to WIPO goals and results. This is visible in documentation, in observation by the evaluation, noted in survey results and commented on across interviews in/with all Member States. A summary of the contribution of each project to different strategic goals is found below. Also detailed below are the views of stakeholders on the developmental construct of the 10 projects, as expressed in the online surveys that were undertaken. Stakeholders are well aware of the projects and have clear understanding of when results are being achieved. Survey respondents were asked to comment on each of the ten ASPAC Bureau projects, with a focus on their usefulness in strengthening the capacity of IP offices and other IP institutions.

38. The following table shows the overall level of support of national IP stakeholders for the defined ASPAC Bureau projects.

Figure 4: National IP stakeholder perspective on the usefulness of each of the 10 projects for the strengthening the capacity of IP Offices and other IP institutions.

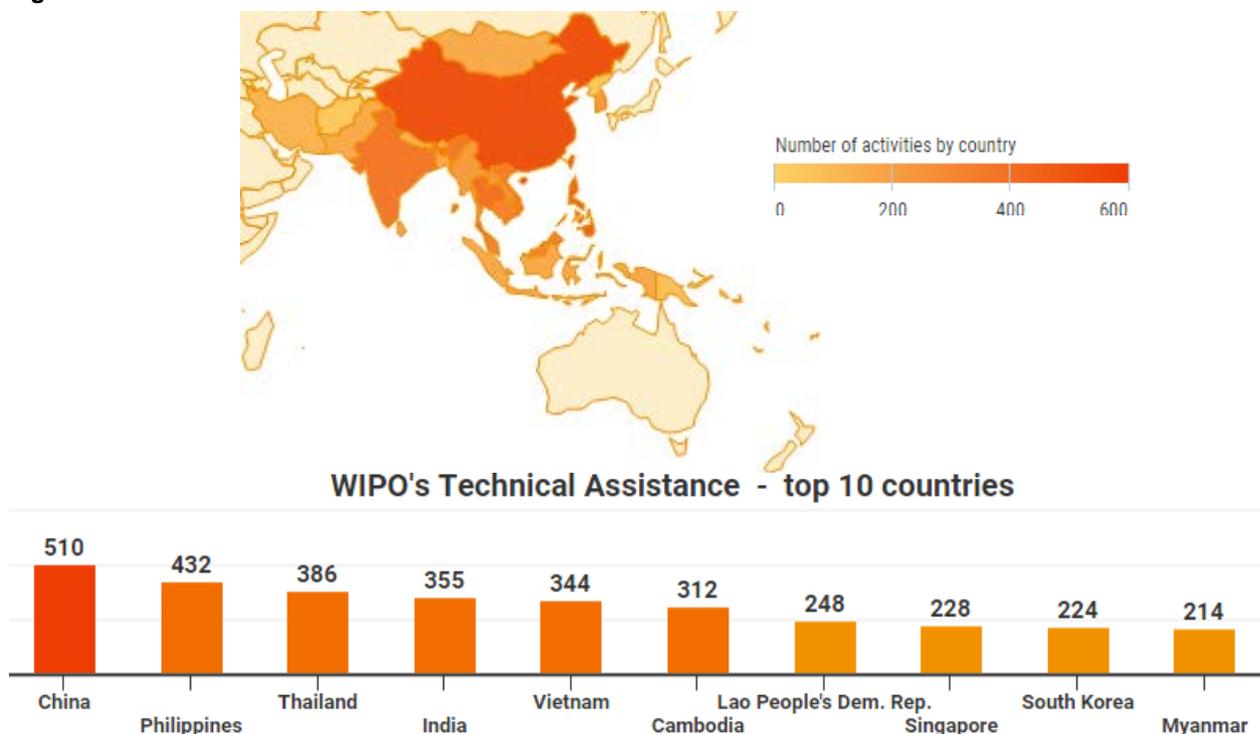


Source: Survey results, IOD Evaluation Section

39. The intent of each project and the view of stakeholders as to each project’s usefulness is discussed in the following paragraphs.

40. In addition, the evaluation found that the ASPAC Bureau has maximize the achievement of results with very scarce resources but at the same time it provided support to all 38 countries. The intensity of support was certainly dependent of the needs of the countries. The map below provides an overview of WIPO’s technical assistance by country.

Figure 5: WIPO technical assistance between 2015-2017



Source: WIPO’s Technical Assistance Database. Map prepared by IOD.

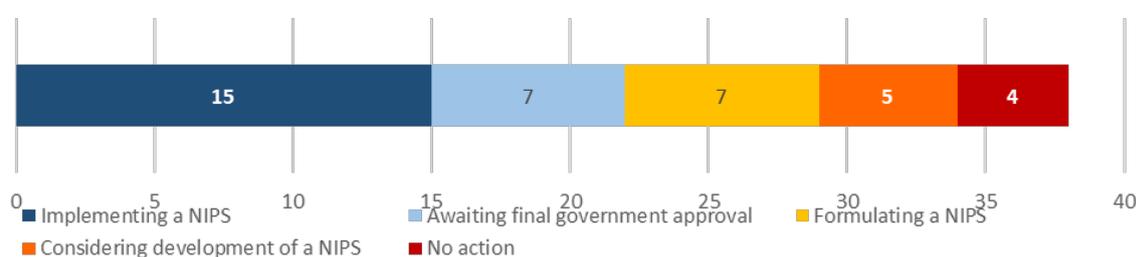
(ii) Formulation of National Intellectual Property Strategies (NIPS)

41. The ASPAC Bureau in collaboration with Member States is contributing to SG III - Facilitating the Use of IP for Development, and expected result 1 “National innovation and IP strategies and plans consistent with national development objectives” through the NIPS project.

42. The NIPS project assists countries to achieve a whole-of-government IP perspective. While the output is a tangible strategy document, it is the process of arriving at this document that brings together various agencies to learn, to discuss and ultimately to decide on actions to be undertaken in the development of national IP frameworks.

43. The ASPAC Bureau has invested about 33 per cent of its non-staff budget to this project. As result, ASPAC Bureau has provided support to 22 countries out of 38 and contributed to the development of 22 NIPS some of which are currently awaiting approval from their respective government institutions.

Figure 6: Current status of NIPS development in the region



Source: ASPAC Bureau information, figure prepared by IOD.

44. This evaluation found that the NIPS project contributed in the countries in which it has been develop to:

- (a) Bringing IP issues higher in the government agendas as in the case of Vietnam, Philippines, Sri Lanka and other countries national IP strategies are approved at the ministerial level;
- (b) Assisting in the identification of synergies among various ministries and sectors, this was indicated by interviewed stakeholders. It was confirmed by interviewed stakeholders that the process of developing a national IP strategy helped them to bring several ministries together such as education, or even indigenous people into the discussion;
- (c) Sensitizing agencies on IP; and
- (d) Connecting business sector with universities, research institutions and government.

45. The survey responses support this view:

- (e) Ninety-six per cent of national stakeholder respondents found the NIPS project either extremely useful or somewhat useful.
- (f) Expert providers supported this view, with 79 per cent finding this project either extremely or somewhat useful – 21 per cent are not aware of this project.

(iii) Development of country technical assistance implementation plans

46. The Country Technical Assistance Implementation Plan (CTAIP) framework is an ASPAC Bureau initiative that provides a *coherent, long-term structure* to development assistance to Member States, together with a framework for *tracking progress against* plans. This project

contributes to SG III - Facilitating the Use of IP for Development and expected result 1 “National innovation and IP strategies and plans consistent with national development objectives”

47. The CTAIP framework is coordinated across different WIPO sectors for cumulative and sustainable outcomes, incorporating WIPO’s Strategic Goals, the Medium-Term Strategic Plan 2016-2021, Development Agenda principles, Program and Budget guidelines and recommendations from internal and external technical assistance evaluation reports. More importantly, these are also linked with the national development goals and IP priorities of the relevant Member State.

48. With an investment of about two per cent of total ASPAC Bureau budget, Thailand is the first pilot country for which an individual CTAIP framework¹² was developed, which is being implemented over a period of six years starting from the 2016-2017 biennium. Early feedback from Thailand indicates the improved coordination that has evolved with the approach, both within Thailand and in focusing how Thailand’s national IP office coordinates and communicates with other International Organizations as well. Furthermore, it was highlighted that the plan helped the IPO with longer planning of their own resources, as it gives them more predictability, especially when undertaking joint activities. Six additional Member States of the ASPAC Bureau’ are currently developing their CTAIPs.

(iv) Heads of IPO conference

49. The Heads of IP Offices Conference (HIPOC) is a venue for extending and intensifying conversations with heads of offices. With an investment of about 17 per cent of the total budget two conferences have been undertaken between 2015 and 2017, this project focus on sustainability of the IP offices. From an ASPAC Bureau perspective, and from the perspective of participants the experienced benefits are in terms of exchange, of information, up-to-date inputs on recent IP developments worldwide and engagement in a process of learning from and with peers.

50. This project contributes to SG III - Facilitating the Use of IP for Development and expected result 4 “Strengthened cooperation mechanisms and programs tailored to the needs of developing countries, LDCs and countries with economies in transition”.

51. The heads of offices who have participated in HIPOCs, and who were interviewed, all spoke of the value of learning from their counterparts in similar circumstances and of the networking as a contribution to tailoring the needs of developing countries and Least Developed Countries (LDCs) (SG III, expected result 4). This is an area in which further results deriving from this activity will need to be measure to see the effects of this project in a large scale.

(v) IP Office diagnostics and assistance

52. The diagnostics focus on identifying needs and resource gaps, and business models that will enable national IP offices to fulfill their mandates and deliver quality services. A key focus is on channeling the revenue of IP registrations and other services to contribute to long-term sustainability of the IP office.

¹² May 2018. Technical Cooperation Framework - Country Development Plan for THAILAND - (Preliminary Discussion Paper).

53. This project contributes to Strategic Goal IV – Coordination and Development of Global IP Infrastructure and expected result 4 – Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions.

54. Even though only one per cent of the total ASPAC Bureau budget between 2015-2017 has been invested in this project, some major achievements have already been identified. During evaluation interviews, stakeholders noted contribution of the diagnostics project to:

'We used the recommendations from the Diagnostics project report to increase the number of examiners. Since the arguments provided through the diagnostic were of high credibility we were able to approach the government and cabinet gave approval for an additional 120 positions (examiners and IT positions).'

(Example of stakeholders' views)

- (a) Clarifying their strengths and weaknesses, with a particular focus on efficiencies of systems and processes, as well as contribution to addressing human resources structures. Examples were provided in interviews of government increasing IP office human resource levels based on the detailed analysis of the diagnostics project;
- (b) Providing an independent external technical assessment of an IP Office was one of the major added values of the diagnostics, as decision makers felt that they could rely on the assessments because they were done by an external expert; and
- (c) In one office the diagnostic was used to increase the number of examiners who were required to assure efficient service provision resulting in better client services.

55. While the diagnostics project contributes to understanding of need and necessary directions, actual development of these components requires ongoing work and investment from the IP offices.

56. Survey responses also indicate stakeholder support for the diagnostic project's contribution to development:

- (a) Seventy -six per cent of national stakeholder respondents found the IP Office Diagnostics project either extremely useful or somewhat useful. Eleven per cent of respondents are as yet unaware of this project; and
- (b) Expert providers supported this view – 68 per cent found this project either extremely or somewhat useful – 31 per cent are not aware of the project.

(vi) Competency-Based and Individualized Examiners Training and Learning Management System

57. This project focus on establishing a framework in which the training needs of examiners in Member States can be matched with the training offered by training entities and donor countries worldwide. These projects contribute to Strategic Goal IV: Coordination and Development of Global IP Infrastructure, particularly in relation to expected result 4 - Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP Administration.

'We were able to improve our own systems and processes through the training. We were able to choose the practices we can use and adapt in our own system and at the same time share our own practices with other IP Offices. So, it is a training process and a sharing process at the same time.'

(Example of stakeholders' views)

58. During the period under evaluation, about five per cent of the allocated budget two trainings have taken place.

59. The evaluation found that the contribution of this project is specifically visible in the following:

- (a) Uniformity of skills, consistency of interpretations and uniformity of practice;
- (b) In the improved numbers of examiners and in the improved knowledge and skills of current and new examiners; and
- (c) Improved skills and uniformity of practices directly contribute to Strategic Goal II: Provision of Premier Global IP Services, given their strong focus on and contribution to “wider and effective use” of the various treaty systems.

60. Survey responses provide confirmation of the importance of these projects:

- (a) Ninety per cent of national stakeholder respondents found the competency-based patent and trademark examiner training either extremely useful or somewhat useful.
- (b) Expert providers supported this view, with 58 per cent finding this project either extremely or somewhat useful – the balance of 42 per cent are not aware of this project.

(vii) WIPO treaty accession assistance for Madrid and Hague

61. With an investment of one per cent, this project assist member states in navigating the process through events that focus on processes, procedures, prerequisites, among other. The project contributes to Strategic Goal II: Provision of Global IP Services and more specifically to WIPO expected results three and five - Wider and more effective use of the PCT, Madrid, Hague and Lisbon System, including by developing countries and LDCs. Annex VI provides the current treaty status of each of the 38 ASPAC Bureau Member States. :

62. During the period under evaluation, 17 agreements were signed in the Asia and Pacific Region:

Table 2: Countries signatories of WIPO`s treaties and agreements between 2015-2017

Agreements signed with Member States	Number of countries	Countries
WIPO Convention	5	Cook Islands, Marshall Islands, Niue, Timor Leste, Tuvalu
Article 6ter of the Paris Convention (In force)	1	Afghanistan
PCT (In force)	1	Cambodia
Patent Law Treaty	1	DPRK
Madrid Protocol (In force)	5	Brunei, Cambodia, Indonesia, Laos PDR, Thailand
Hague Agreement (In force)	2	Korea and Cambodia
Locarno Agreement	1	Iran
Nice Agreement (In force)	1	Iran
Total agreements between 2014-2018	17	

63. Survey responses confirm the importance of the project:

- (a) Eighty-six per cent of national stakeholder respondents found the Treaty Accession project either extremely useful or somewhat useful.
- (b) Expert providers supported this view, with 68 per cent finding this project either extremely or somewhat useful – the balance of respondents were not aware of the project.

(viii) The Enabling IP Environment

64. With an investment of 39 per cent of the ASPAC Bureaus allocated budget, the enabling IP environment project focus on increasing the capacity for innovation support and strengthening business competitiveness through brands and designs. These projects contribute directly to Strategic Goal III: Facilitating the Use of IP for Development and SG IV: Coordination and Development of Global IP Infrastructure and address one of the major constraints” countries face nowadays such as reducing the existing innovation gap. This project includes two components namely: the TISCs and the Hub and Spoke approach.

(a) *Technology and Innovation Support Centers*¹³ and *Innovation and Technology Support Offices (TISCs/ ITSOs)* promote the network of universities to produce more IP technologies, and provide links to innovation and a driven economy. The Enabling Environment projects and the TISC program are very similar, and some merging of program or activity was raised during the evaluation. The TISCs are a significant focus of innovation development in the ASPAC region. During field research the evaluation team received confirmation on the significance of the approach for all three countries visited, each of whom has developing TISCs:

- (i) Sri Lanka has six TISCs;
- (ii) The Philippines 85 TISCs, with a further 15 having applied for accreditation;
- (iii) Thailand, Vietnam one TISCs, Malaysia have one TISCs per country; and
- (iv) Bangladesh, India, Pakistan, China, Cambodia, Lao People's Democratic Republic and Myanmar are currently developing a TISCs.

(b) Hub and Spoke approach, designed around the concept of a multiplier, also has similarities and synergies with TISCs and the Enabling Environment projects. The ASPAC Bureau scouts a country and identifies a “hub”, who will be trained as a training organization, and who will then be a training provider, training the “spokes”, who do the actual work. The key benefits of the hubs and spoke approach identified during the evaluation process are as follows:

- (i) The closer relationship between the hubs and the spokes: whereas in the past the ASPAC Bureau could train people in countries and not know who they were and could not follow their progress or skills, the hub is much more closely aware of who has been trained, who needs more training and who has specific and relevant skills/knowledge for a particular initiative;
- (ii) The hub is also able to ensure that no-one is trained in “Session B” without first being through “Session A”, something the ASPAC Bureau cannot control;
- (iii) General support for the concept, interviews with representatives of national IP stakeholders gave detailed comment on the implementation of the hub and spoke approach; and
- (iv) The knowledge among relevant stakeholders of their role as a hub, in provision of training and in the development of cooperation in innovation and entrepreneurship.

¹³ The WIPO Technology and Innovation Support Centre (TISC) program (<http://www.wipo.int/tisc/en/>) provides innovators in developing countries with access to locally based, high quality technology information and related services, helping them to exploit their innovative potential and to create, protect, and manage their (IP) rights.

65. The institutes of higher learning noted their greater awareness of the value of IP and of the need to protect their IP assets. Of most significance though was the extensive commentary on commercialization of IP assets, which was in line with the feedback from field research.

66. Survey respondents note that significantly more work is required in this area, as there is little historical focus within universities and technology institutes in Asia and the Pacific on commercialization – the traditional focus has been research and on teaching. Inputs from the three countries visited in field research, which had a significant component of feedback from higher education institutions, emphasized the importance of this shift, and the role being played by the ASPAC Bureau program in this change.

67. Stakeholder feedback confirms the contribution of these projects (including the TISCs and the hub and spoke approach) to SG III - Facilitating the Use of IP for Development, particularly noted in stakeholder references to national innovation strategies, effective use of IP for development and strengthened cooperation mechanisms and programs.

68. There was significant support for the enabling environment projects in the survey.

(a) Over 92 per cent of national stakeholder respondents found the Enabling Environment projects either extremely useful or somewhat useful;

(b) Expert providers were also very supportive of the usefulness of these projects (95 per cent found the Commercialization project and 84 per cent found the Brands and Design project useful).

(ix) IP Roving Seminars

69. With less than 0,1 per cent of the ASPAC Bureau's budget allocation, this project focus on increasing the use of the IP global system by national stakeholders and is a specific strategy/project addressing SG II: Provision of Premier Global IP Services. Currently, only more advanced countries make full use of the IP system and this project aims to understand the reasons and factors for this and address them.

(a) Over 93 per cent of national stakeholder respondents found the IP Roving Seminar project either extremely useful or somewhat useful.

(b) Expert providers were not as knowledgeable about this project, but 42 per cent found it useful.

70. The projects have uniform project documents which define all important aspects of project relevance, alignment with WIPO strategic and programmatic and results frameworks. The evaluation observed specific feedback in interviews about the need for a formal monitoring and revisions process, to ensure ongoing relevance and effectiveness to Member States.

(x) Key effectiveness findings

71. Finding 3 – The content and results of the 10 projects directly relate, and contribute, to WIPO's strategic goals, the ASPAC Bureau's mandate and the Program and Budget 2016/17 document is most visible in the development of NIPS and the related diagnostics, but is also becoming more visible in the growth of impact in capacity, inside of national IP offices but also in other national stakeholder institutions.

72. Finding 4 – The defined structure of the projects, with design frameworks that relate up to WIPO's strategic goals and down to stated outcomes and outputs, contributes to possibilities for a better monitoring of and reporting on the results of the ASPAC Bureau's activities and approaches. The structured approach contributes to an objective analysis of results, as each project has a defined results framework and established indicators, enabling the results of each project to be analyzed objectively.

(xi) Effectiveness conclusions

73. Conclusion 3 – It is likely that the impact of the ASPAC Bureau's contribution to WIPO's strategic goals will continue to grow, and be more visible, as more Member States move along a development path and have more time for the implementation of their NIPS. It will be critical in the coming years for the project-focused approach to be carefully monitored and revised according to: (i) the needs of Member States; and (ii) reflections on the effectiveness of the content and structure of the projects.

74. Conclusion 4 – There are gains to be made from ensuring a close correlation of approach and collaboration between substantive sectors and the ASPAC Bureau, given the ASPAC Bureau's knowledge of national IP office strategies, details of their diagnostics and understanding of their priorities. This knowledge can add significantly to the planning and delivery of the work of the substantive sectors.

75. Conclusion 5 – Results-based management. The structured analysis of results against plans has the potential to assist WIPO in a better analysis of the effectiveness of its inputs and achievement of results and should be a specific focus of the ASPAC Bureau's project management processes going forward. Reporting in particular can benefit from a more consistent use of the defined results framework.

76. Conclusion 6 – The high levels of strong support for the project-based approach and work of the ASPAC Bureau indicates that consideration of this approach by other Bureaus, and WIPO generally, is needed. While there is no basis in the work of the evaluation for concluding an uptake of the 10 projects across the organization, it is apparent that a detailed consideration of the structured nature of the approach, and its strategic underpinning, is warranted, to ensure WIPO is not missing an opportunity to strengthen effectiveness and efficiency of program delivery. The strongest demonstrated impact from the ASPAC Bureau's approach is the defined structure of engagement, which gives objectivity to longer term directions, clarifies the more immediate priorities and provides a framework for definition of indicators of success and the measurement of results. Reporting in particular can benefit from a more consistent use of the defined results framework. Moreover, given the visible results within the strategic framework, and the close knowledge of national stakeholders, it would be worth WIPO giving consideration to a stronger role to the ASPAC Bureau in overall processes of activity and budget planning, and ensuring coherence in the countries of the ASPAC Region.

(C) EFFICIENCY

EVALUATION QUESTION 5

Are there better ways to allocate and use available resources to achieve the ASPAC Bureau's goals and expected results?

- Conduct an efficiency analysis according to WIPO's strategic priorities for the biennia 2014/15 and 2016/17.

EVALUATION QUESTION 6

Does the ASPAC Bureau have the right resources and competencies to deliver according to its mandate?

- Analysis of the internal and external effects of existing governance and portfolio management practices.

(i) ASPAC Bureau planning, prioritization and coordination

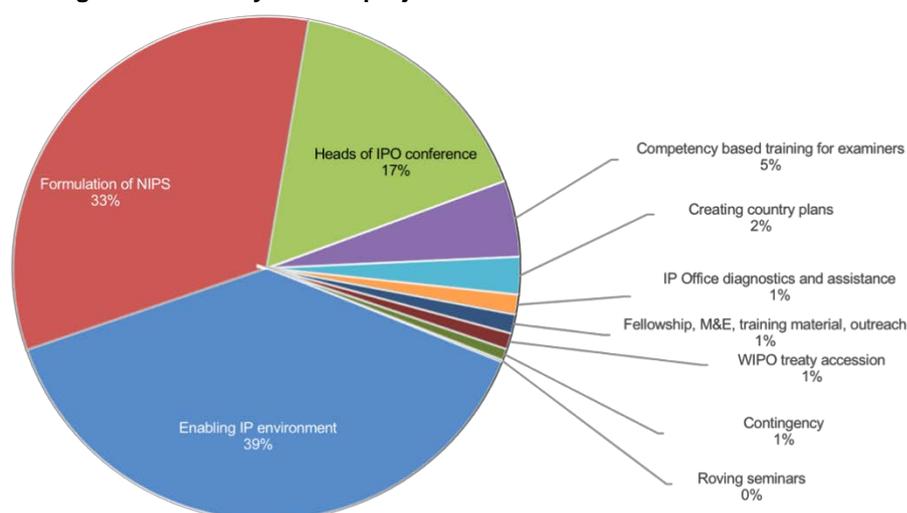
77. With a total non-staff budget allocation of 15.7 million Swiss francs (8.5 million Swiss francs and a personnel budget allocation of 7.2 million Swiss francs), the ASPAC Bureau has

invested between 2015-2017 around 89 per cent of its non-staff resources in the following priorities areas:

- (a) Enabling the IP environment to increase the capacity for innovation support and to strengthen business competitiveness through brands and designs;
- (b) Formulation of NIPS; and
- (c) Intensifying the conversation with countries through the HIPOCs.

78. The ASPAC Bureau's investments are aimed in reducing the existing innovation gap in the region and supporting Member States especially in strengthening research, business, institutions and human capital. These priorities are not only in line with WIPO's strategic goals and expected results but also with the requirements of the region, as identified in the WIPO 2017 Global Innovation Index report.

Figure 7: Non-staff budget utilization by ASPAC project for 2015-2017



Source: Financial data provided by WIPO's Finance Division and ASPAC Bureau

79. As is visible throughout this report, the way the ASPAC Bureau approaches its work has changed in recent years, most notably to its shift to the project-based approach. The changes are relatively recent, and while they are now relatively embedded within the ASPAC Bureau, the longer-term aspects of the change are still to be clarified internally to the ASPAC Bureau as well as to the Member States. The change has been demanding on staff, who are required to change their approach. This is recognized both by management and the ASPAC Bureau's desk officers, who commented on the need to build their project management capabilities, and who will also need to have their capacity developed (tools and methodologies) in order to be effective project managers. There are internal monitoring, coordination and communication tools being developed that are intended to contribute to this development, but they are not yet entrenched in ASPAC Bureau processes.

80. It remains to be clarified how coordination between external offices and the ASPAC Bureau will be formalized in the future. Offices currently rely on a "gentlemen's agreement", which carries a risk as it does not provide a clear, overarching governance of coordination arrangements which can ultimately affect the effectiveness and efficiency of the ASPAC Bureau and external offices.

81. An area of concern to the evaluation are the systems and processes of coordination and coherence within WIPO, and how these systems and processes can be best used to ensure quality on input and quality of output/outcome. The concern is related to the parallel responsibilities within WIPO, and related parallel actions. An example of this is Copyright,

which is no longer the responsibility of the ASPAC Bureau, but is addressed by its specific sector. There are other examples found as well in the external offices.

82. How does WIPO ensure coherence, and coordination, where separate sectors of the organization work directly with the same stakeholders in a given country? Strategies and goals are set by management, and in this sense actions are coherent, but it is critical for the organization to ensure strategic alignment, as well as a detailed coordination. However, the ASPAC Bureau maintains close contacts with WIPO's substantive sectors, with a focus on good communication and assistance, which is of value to all parties.

83. In terms of planning, the CTAIP discussed above is the ASPAC Bureau's approach to coordination and coherence with substantive sectors. The CTAIP is still a developing concept/approach but is notable for being a proactive approach on the part of the ASPAC Bureau to ensure coherence of approach across WIPO sectors in dealing with Member States. It will be important going forward to closely follow the development of the CTAIP approach with a view to building on the approach if it demonstrates effectiveness in coherence and results.

84. The evaluation observed support for the ASPAC Bureau's communication with Permanent Missions, including a suggestion from one Mission that an annual or semi-annual forum of Missions and the ASPAC Bureau would ensure staff of each institution to know each other better and further improve communication lines.

Figure 8: National IP stakeholders and Permanent Missions - "Does the ASPAC Bureau proactively keep you informed on areas of interest to you?"

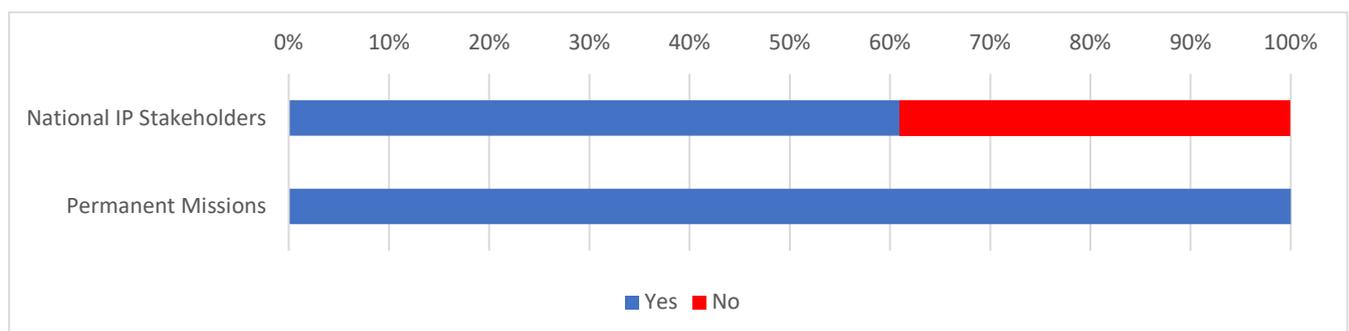
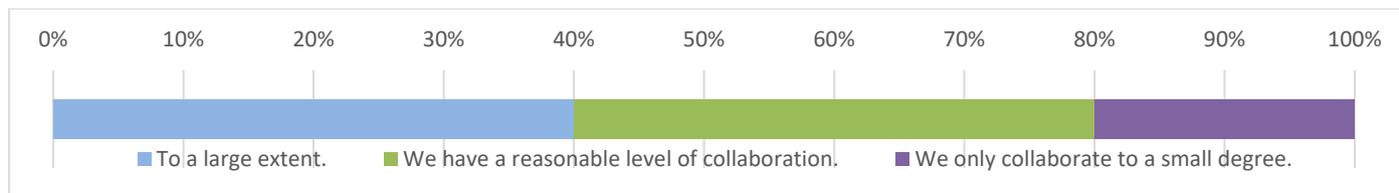


Figure 9: Extent of ASPAC Bureau collaboration with Permanent Missions.



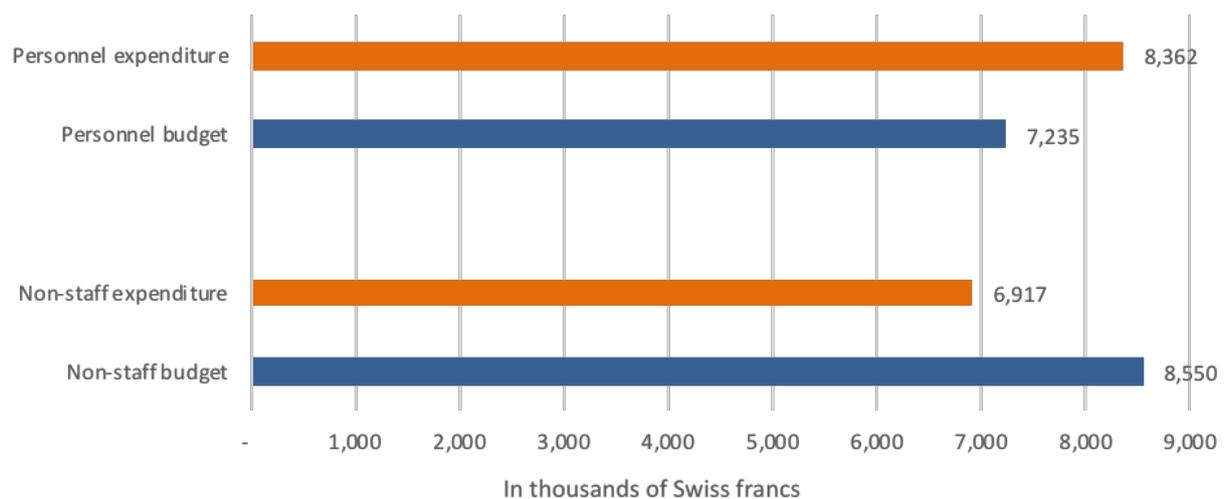
85. According to evaluation interviews, coordination of/with the Funds-In-Trust (FITs) is well-structured and in line with the project approach.

(ii) Efficiency analysis

86. Overall, the ASPAC Bureau had a budget allocation of 15.7 million Swiss francs for the period comprising 2015-2017. During the period under evaluation, the ASPAC Bureau managed to spend 81 per cent of its non-staff budget allocation. The under-expenditure of 19 per cent between 2015 and 2017 was mainly due to the fact that some FIT resources arrived later than initially planned for.

87. The ASPAC Bureau personnel expenditure exceeded the initial allocated budget for the same period. Details on this over-expenditure were not available to the evaluation.

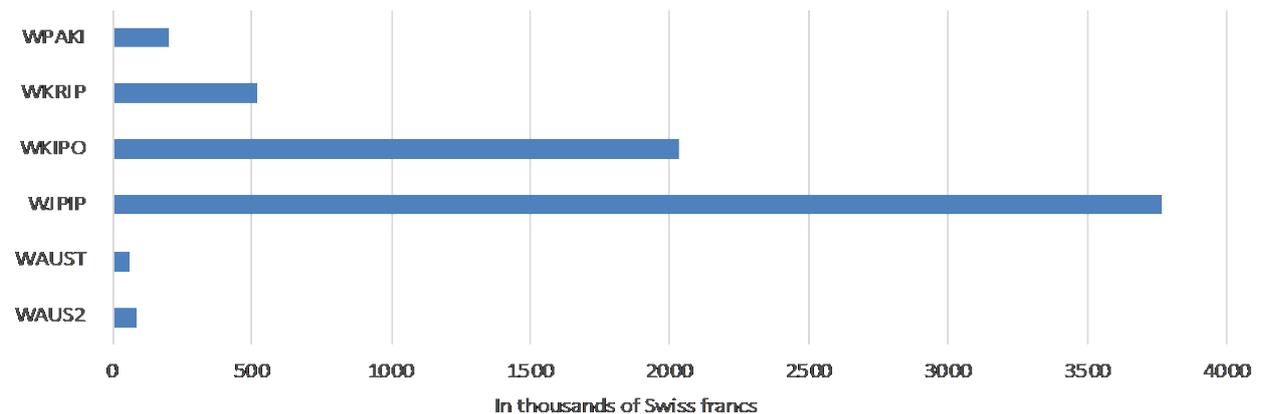
Figure 10: ASPAC Bureau budget and budget allocation vs. budget utilization for 2015-2017.



88. ASPAC Bureau results achievement would not be possible without the FITs. About 44 per cent (6.7 million Swiss francs) of its non-staff expenditure between 2015 and 2017 is financed by the FITs, in addition to the WIPO regular budget expenditure of 8.6 million Swiss francs.

89. While the FITs have their own agendas for their contributions, this approach is slowly changing. FITs are moving towards setting priorities from within the ASPAC approach/project framework, which is a significant positive change in linking budgets with strategic priorities. The two major FIT contributors are the Japanese and the Korean government.

Figure 11: FITs expenditure by donor for 2015 - 2017.

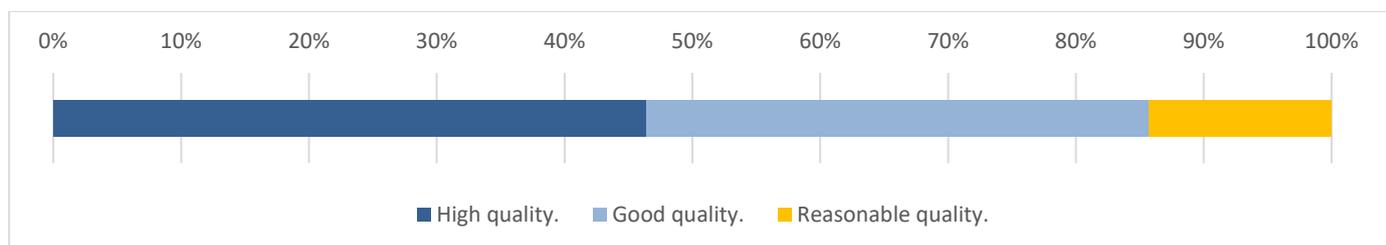


91. Basic statistics on ASPAC Bureau program implementation in line with the project-based approach are not readily available to interested parties. While WIPO (and the ASPAC Bureau) are transparent with expenditure against budget, and with budgets in the framework of the Program, what is not so clear is allocated budget and expenditure against the ASPAC Bureau’s projects, and the actual results of these projects. ASPAC Bureau reporting is activity-based, rather than project-based, so that reporting places together such activities as “capacity-building” and “cooperation agreements”, without any differentiation according to or clustering into the project framework. For example, the evaluation did not see statistics on the number of IP Office Diagnostics undertaken in any given year, nor the number of training programs disaggregated by project, nor number of training programs focused on a specific Member State, with disaggregated participation details. The unavailability of this level of statistics, and analysis, makes it more difficult to understand project-level inputs and results. It is noted that this level of analysis is available for the national IP strategy project, but only for this project.

(iii) Knowledge, skills and quality of external expertise and programs

92. The experts provided by the ASPAC Bureau to Member States were acknowledged across evaluation interviews as having a high level of relevant knowledge and skills. This was true of experts engaged directly by the ASPAC Bureau and those who were provided through FITs. Further, the quality of both national and international experts was noted across all interviews in the surveys as being of high quality.

Figure 12: National IP stakeholder perspectives on the quality of external experts.



93. Apart from the knowledge and skills of engaged external experts three issues were raised about the range of capacity-building/training events funded and organized by the ASPAC Bureau:

- (a) A greater emphasis on the correct selection of training participants is needed, to ensure the right people are selected and that participants are not, for example, able to participate in a follow-up session unless they have participated in all previous. The hub and spoke approach addresses this issue, it is noted here based on the number of comments from interviews and surveys.

(b) It is critical to ensure training is delivered within a programmatic context and participation needs to be: (i) based on need assessments; and (ii) staged, with advanced training being provided as a follow-up to basic training. The full range of this training needs to be seen as providing a direct contribution to the competences participants need in their day-to-day work.

(c) Assistance/capacity-building is also appropriate for expert providers, to ensure they are delivering sessions with the most up-to-date knowledge and practice.

Engagement in the Pacific

94. The Pacific Island states present a challenge to the ASPAC Bureau. One reason is the significant geography of the region coupled with the relatively small populations. A second key reason is that copyright is of particular importance to the Pacific Island IP priorities. However, the ASPAC Bureau is not responsible for copyright (this responsibility resides with the Copyright sector). These and other less critical issues contribute to difficulties in giving any financial/technical assistance priority to the region. During evaluation field work representatives of eight Pacific Island States were interviewed, all of whom sought greater inputs from WIPO in terms of IP systems and structures, knowledge and networking. Centralized systems and/or a Pacific-focused office were suggested, and/or linkages with Australia or New Zealand IP systems. The development and promotion of experts from the Islands was also discussed, and has been addressed to a certain extent through ASPAC Bureau initiatives.

(iv) Funds-In-Trust and its contributors to the achievement of WIPO goals and results

95. As well as the 10 projects, there are a number of other components of the work and approach of the ASPAC Bureau that are strong contributors to its effectiveness.

96. The Funds-In-Trust provides an opportunity for further advanced countries in the ASPAC region to collaborate in significant ways with the ASPAC Bureau with contributions of both funds and expertise to the ongoing IP development of neighboring countries. The ASPAC Bureau administers a number of FITs arrangements: FIT/IP-Japan, FIT/IP-ROK and a part of FIT/IP-Australia.

97. The FITs help developing countries and LDCs to improve their IP systems and enhance their capabilities to facilitate innovation, investment and technology transfer in the Asia-Pacific Region. This assistance is done via technical assistance (in-country and study visits), and through financial contributions that extend the finances available from the ASPAC Bureau for the region. An important feature of the FITs is that they provide assistance based on their own experience with development of IP systems and frameworks and contribute funding in these areas, demonstrating both a financial and technical commitment. The FITs enable the ASPAC Bureau to improve its reach – the technical and financial contributions of the FITs are indispensable to ASPAC Bureau impact, more so now these contributions are in line with the strategic frameworks of the ASPAC Bureau's project-focused approach.

(v) Key efficiency findings

98. Finding 5 – There are a number of areas where different structures within WIPO offer parallel initiatives to national IP stakeholders and where these activities and approaches lack overarching governance of coordination arrangements, detracting for overall WIPO program coherence.

99. Finding 6 – ASPAC Bureau/WIPO reporting available to the evaluation did not demonstrate a strong expression of specific results (outcomes and outputs) for the defined activities of the project-focused approach, and as such it was not possible to assess these actual results against plans and inputs. The results-based framework for such reporting exists

(defined outcomes, outputs and activities), but ASPAC Bureau reporting is not required within this framework.

100. Finding 7 – While the most appropriate approach to overall WIPO servicing of Member States in the Pacific islands is not clear, due to the size and complexity of the geography and its limited population, a real need was expressed to the evaluation, as was a wish for a considered approach from WIPO to ensuring the development of IP systems and frameworks.

(vi) Efficiency conclusions

101. Conclusion 7 – Strengthening of the governance of coordination and collaboration processes between the ASPAC Bureau and substantive sectors is indicated. This is particularly true given the significance of copyright for the Pacific Island states, and the significant logistical issues in working in this vast geography. It is not however only relevant in this area – these systems are critical for ensuring an efficient use of WIPO resources and effective results against strategic plans. Operating within defined priority areas of focus is incumbent on the other WIPO sectors, and to do so with the assistance of and in coordination with the ASPAC Bureau. Divisions can and should “lean on” the ASPAC Bureau for assistance with strategy, focus and implementation, and the ASPAC Bureau can and should continue to play a key role in ensuring the coordination.

102. Conclusion 8 – Improvements are needed in reporting on the ASPAC Bureau’s projects, with a specific focus on project-focused/project-specific reporting and the provision of statistics on specific activities within a project context. These statistics should include participation rates disaggregated by a number of demographic indicators including at least gender, organization and Member State. Reports should also describe contribution to planned activities and outputs and should analyze contribution to WIPO’s strategic priorities.

Engagement in the Pacific

103. Some discussion across WIPO, involving ASPAC Bureau leadership and leadership of relevant substantive sectors is encouraged to develop a longer-term approach to the strategic engagement of Pacific Island states in international IP structures and conventions. These discussions should focus on balancing and ensuring the greatest level of outputs from designated inputs. There is a link between this conclusion and Conclusion 7– Systems and processes of coordination and coherence.

(D) IMPACT

EVALUATION QUESTION 7

What effect has the ASPAC Bureau had on IP for development for beneficiary countries?

EVALUATION QUESTION 8

What effect has the ASPAC Bureau had on IP for development at the regional level?

104. The ASPAC Bureau has established a roadmap for IP office development and the development of capacity in IP. The roadmap is looked at in detail with each Member State within the framework of their National IP Strategy and its development. As a result, impact is most visible in exactly these areas: IP office development and the development of capacity in IP.

(i) IP for Development in Member States

105. The consistent thread in feedback from the evaluation's field research is that the building of capacity (growth in knowledge, skills and practice) is the clearest impact of the current work and approach of the ASPAC Bureau. There are a number of specific types of capacity that are mentioned – examples of this change/impact – including the development of patent and trademark examiners, which enable a better servicing of the public through provision of more knowledgeable advice. As importantly, the higher numbers of better prepared examiners assists in removing backlogs of applications – a number of interviewees provided specific data on improvements in turnaround time for applications. The evaluation heard extensive confirmation from Member States of improvements in the numbers of backlogged applications as a result of the capacity-building initiatives of the ASPAC Bureau. The Philippines national IP Office (IPOP HL) for example reports that in 2013, applications for inventions averaged 50.95 months, and in 2107 were down to 46.98 months. Utility models, in 2013, averaged 9 months, and in 2017, 6.5 months. Industrial design applications, in 2013, averaged 5 months, while in 2017, 25 per cent were completed in 5 days and the balance under 4 months. IPOP HL also reports a better quality of examination, as well as timing improvements. An additional impact of the ASPAC Bureau's focus on building of capacity is the networking among practitioners at training programs. Networking is a key aspect of the regional impact of the ASPAC Bureau's work and approach, but interviewees also note its impact within the context of training, as joint participation in training sessions opens possibilities for practitioners to engage in fruitful collaboration.

'We are a long-term impact of WIPO. We have been trained, we've been places, we've learned things and are implementing things. I'm drafting the Copyright Law – this is a longer-term change.'

(Example of stakeholders' views)

106. The second critical contributory component of the ASPAC Bureau's contribution to IP for development in Member States are the NIPS and the Diagnostic projects and their direct impact on *how things are done in national IP offices*. The NIPS provides a long-term focus built on current knowledge and practice in IP. Given the continuous development of the IP field, working with Member States to ensure their planning is keeping up with trends and directions in IP ensures that national IP offices can effectively bridge the gap between users and trends in IP. Assisting countries with their development planning enables them to be more effective in their thinking. During field research IPOP HL noted specific changes in organizational structure based on the diagnostic project, as well as definition of the specific, required competencies in IPOP HL's executive committee. In Thailand, IP infrastructure development proposed in the diagnostic project has begun to be implemented, as has the project's recommendations on workflow optimization. Thailand has also increased the number of patent examiners (and now follow a very detailed and focused patent examiner training protocol) and the number of examinations, based on the results of the diagnostic project. Following this with the diagnostic analysis of national systems and practices in the IP office further contributes to ensuring Member States approaches are up-to-date and effective. Member States note particularly the workflow analysis, the elimination of unnecessary processes, updating of classifications and updating of priorities. This later is specifically mentioned by Member States in the shift of priority from protection to commercialization.

107. Finally, Member States make many references to commercialization as an area where their work with the ASPAC Bureau continues to contribute to longer-term change. Member States note that establishing an IP system is not just a legislative framework and an office but also involves talking to the community about the importance of IP and how to use it. This is particularly true of, although not limited to, universities and technology institutions, who are slowly being

'The impact is that communities request involvement in IP. Last week, I went down south to prepare a coffee Geographical Indication (GI) application. After the workshop one old lady, a member of a community enterprise producing coffee, came and held my hand, kissed and hugged me and thanked me for "helping us with GI.'

brought from a focus on research for the sake of research to focusing on patents for profit, creating more value for institutes of higher learning. Universities recognize now that there is value in ideas, and focus on instilling this idea in their students, and this awareness, coupled with the establishment of TISCs/ITSOs has seen an increase in the filing of patent applications. This change in focus is particularly noted in the Philippines, where a key, and related development is the significant growth in numbers of TISCs/ ITSOs. As noted elsewhere, networking within and between institutes of higher learning also benefits all stakeholders and strengthens the use of IP for development in Member States.

(ii) IP for Development in the Region

108. The two key components of the ASPAC Bureau's contribution to IP for development in the region include the role and contribution of the FITs and the extensive role played by exchange processes.

109. As discussed above, the FITs make significant financial contributions to strengthening IP capacity across the ASPAC region. The contribution of the FITs is defined in consultation between FIT representatives and WIPO/ASPAC Bureau representatives. The consultations relate to focus areas of technical assistance and of geography. Consultations are not just between the FITs and the ASPAC Bureau, although the ASPAC Bureau's contribution in terms of geographical focus are critical, as the FITs also consult in detail with technical sections of WIPO.

110. The importance of regional exchanges, networking and bilateral technical assistance cannot be overstated, and was a point of particular significance to representatives of national IP offices across the ASPAC region during the evaluation. Principal among these is the HIPOC. The high-level networking of Directors General influence changes in IP practice, and provide opportunities for sharing of ideas and effective approaches to IP development. Other types of exchange include direct technical assistance provided through the NIPS and Diagnostics projects, where regional experts contribute directly to the development of IP strategies and IP office analysis within the strategic, programmatic framework of the ASPAC Bureau. The evaluation heard consistent feedback in interviews regarding the contribution to impact that comes from sharing of knowledge, approaches, policy discussions and assistance with the framing of legislation. While there is a growing role for the IP Offices of South Korea, China and Singapore in exchange processes, the sharing approach extends far beyond these larger, more developed offices. Finally, it is important to mention the role of WIPO's Singapore Office, together with the Association of Southeast Asian Nations (ASEAN), Asia and the Pacific Economic Cooperation (APEC) and the Association of Southeast Asian Nations Working Group on IP Cooperation (AWGIPC).¹⁴ The close working relationship and cooperation between the ASPAC Bureau and these organizations makes a strong contribution to IP for development in Asia and the Pacific.

'The idea of getting the Heads of Office together to discuss the more complex matters at a regional level is critical.'

(Example of stakeholders' views)

(iii) Key impact findings

111. Finding 8 – The building of capacity (growth in knowledge, skills), and the related change in organizational structure and practice is the clearest impact of the current work and approach of the ASPAC Bureau. The knowledge and skills are being built in a strategic context, and changes in practice then follow this strategic framework. Another way of saying this is that as a result of the NIPS project and the Diagnostics project, national IP offices are doing things differently, and the differences are having a positive impact on the users of IP systems.

¹⁴ <https://www.aseanip.org/About>

(iv) Impact conclusions

112. Conclusion 9 – The ASPAC Bureau has set down a number of markers of impact that can be followed in determining impact on Member States in terms of the development of IP frameworks and systems, and impact in terms of WIPO strategic goals. The markers are : (i) specific types of capacity in individuals, notable with examiners but not restricted to this group; (ii) how things are done in national IP offices (NIPS and diagnostics being the notable contributors); (iii) regional networking incorporating both technical assistance and financing (but also the sharing of knowledge and practice).

(E) SUSTAINABILITY

EVALUATION QUESTION 9

To what extent are ASPAC Bureau results sustainable?

113. Finding 9 – The ASPAC Bureau has well developed project framework and implementation of this framework will continue in the coming years across the region. This requires steady and continuous investment to maintain achieved results

114. There are specific indicators that ASPAC Bureau results are sustainable, visible particularly in the development that has taken place already with certain Member States – China, South Korea and Singapore to mention the three most obvious. While the development of IP frameworks (policies, legislation, accession to international conventions) in these countries is the clearest indicator of sustainability, so too is the contribution they are making as partners in development of IP for other ASPAC Member States. Their commitment to assisting other Member States demonstrates the strength of their own development, and their ability to provide detailed and relevant technical assistance demonstrates the level of capacity they have. Involvement with other Member States in the region is done through both financial assistance (notably but not exclusively the FITs) and through provision of technical assistance.

115. There are other indicators of sustainability across the region. These indicators are also most obvious in IP frameworks and systems, particularly in accession to international conventions/treaties and in the development and implementation of national legislative/policy frameworks. Normative arrangements are most indicative of sustainability. Accession to international treaties/agreements is an example of such an indicator – these are quantified above in Effectiveness section and detailed in Annex VI: Table of ASPAC Bureau Member State Treaty Status. As is also noted above, there is insufficient, readily available, statistics on these critical and easily quantifiable changes.

116. While it is possible to query relevant staff of the ASPAC Bureau, and in some instances to search the WIPO website for relevant figures, there is no ease of access to relevant material for measuring and understanding change. Additionally, the ASPAC Bureau reporting address these aspects in a readily accessible way.

117. Conclusion 10 – Considering existing budgetary limitation, the ASPAC Bureau will be required to focus on the 10 projects identified to sustain results over time.

(F) GENDER EQUALITY

EVALUATION QUESTION 10

To what extent is gender equality being mainstreamed in the planning, activities and reporting of the ASPAC Bureau?

118. Finding 10 – There is a lack of sophistication in understanding what might be involved in mainstreaming gender equality among stakeholders.

119. The evaluation question, and how it was addressed specifically with interviewees, focuses on the extent to which gender equality is being mainstreamed in the planning, activities and reporting of the ASPAC Bureau. Generally, interviewees did not specifically answer this question, focusing much more on their perceptions of gender balance in the ASPAC Bureau itself and its activities, or in their own organization/Member State. This in itself is an illuminating finding, as a significant majority of provided responses demonstrate a lack of sophistication in understanding what might be involved in mainstreaming gender equality. Responses largely focused on gender balance in participation in training events and perceptions of discrimination, which included many responses to the effect of “gender is not an issue in ...”. Indeed, these very responses are indicative of a greater emphasis being needed on the meaning of and the need for better application of a gender equality focus in the ASPAC Bureau’s work.

120. Where interviewees did respond to the intent of the question, responses were relatively evenly divided in their analysis of the focus of the ASPAC Bureau. Some specifically noted a focus on gender equality in the ASPAC program and some specifically noted an absence of a focus. It was noted that as a UN Agency, WIPO and its Divisions have obligations in relation to gender equality and that the ASPAC Bureau fulfils these obligations, although other interviewees stated that the ASPAC Bureau response is more on paper than truly proactive. The evaluation heard a large number of comments on the ASPAC Bureau’s focus on gender and it is simply not possible to characterize a general view. There are many and varied views across the full range of positive, ambivalent and negative responses. This wide set of perceptions likely indicates that the focus is not significant enough in planning, implementation or reporting, for the simple reason that if gender equality was being significantly mainstreamed responses from interviewees would more generally note this.

121. Interviewees were also asked about innovative gender-equality approaches in their own country that might be of value to other Member States. There are a number of initiatives that could be of value to the whole of the region if they were well-promoted. These include a promotion of women inventors; a project on women in innovation – one Member State has a Women’s Inventor’s Association; a project on women in creativity; and a program focused on women in entrepreneurship.

122. Conclusion 11 – The gender focus is not significant enough in planning, implementation or reporting.

(G) LESSONS LEARNED

123. The key lesson learned, as is visible throughout this report, is the value of the structured, project-based approach to program development and implementation. While this structured approach has been somewhat difficult to implement due to some resistance within Member States and WIPO itself as individuals and organizations came to terms with the change. The value of the approach to: (i) effective planning; (ii) effective implementation; and (iii) effective monitoring cannot be overstated. It is also worth noting that the earlier resistance is not visible now, as stakeholders themselves now recognize the value of the change. The project-based approach is also now a component of the Program and Budget document, although not in terms of narrative or financial reporting.

124. In the future, the Development Sector could consider the transference of key elements from ASPAC Bureau’s project approach to other regional Bureaus considering contextual situations and facilitating a systemic transition on good practice management across Bureaus.

125. A second lesson learned in ASPAC region approaches is the use of more/better developed countries in work with less developed countries. Of particular note are the FITs, but also the work China and Singapore are doing within the frameworks of the Memorandums of Understanding (MoUs) they have with the ASPAC Bureau. These MoUs define:

- (a) Common goal of IP for development;
- (b) Outline types of cooperation to be undertaken;
- (c) Scope of cooperation; and
- (d) How collaboration will take place in practical terms.

126. China has specifically indicated a desire for stronger support to the ASPAC Bureau, and Singapore is also recommending stronger participation through their IP Academy¹⁵ and the IP5 (the forum of the five largest IP offices in the world: the European Patent Office, Japan Patent Office, Korean Intellectual Property Office, the State Intellectual Property Office of the People's Republic of China and the United States Patent and Trademark Office), in terms of capacity-building¹⁶.

4. RECOMMENDATIONS

Recommendations

1. ASPAC Bureau should build on existing project monitoring framework by factoring in results based budgeting, gender elements and reporting against results based indicators. (Priority: High)

Closing criteria

- (a) A pilot monitoring report document against the result based framework including the identification of a sustainable approach for long term monitoring and evaluation reporting of the projects.
- (b) Project framework includes gender indicators linked to specific activities, whenever possible. Engage WIPO's Gender and Diversity Specialist to facilitate the design and implementation of a specific gender-equality plan for the ASPAC Bureau, encompassing capacity-building for staff, focused approaches for work with national IP Offices and other national stakeholders.
- (c) Project framework includes results based budgeting and the WIPO Program and Budget document includes indicators linked to the ASPAC projects.

2. ASPAC Bureau should not increase the number of projects beyond the already existing 10 projects. Focus should continue to be on quality rather than on quantity. (Priority: Medium)

Closing criteria

- (a) Number of projects have not increased in the next biennium.

¹⁵ <https://www.ipacademy.com.sg>

¹⁶ <https://www.fiveipoffices.org/about.html>

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TABLE OF RECOMMENDATIONS

No	Recommendations	Priority	Person(s) Responsible	Management Comments and Action Plan	Deadline
1.	<p>ASPAC Bureau should build on existing project monitoring framework by factoring in results based budgeting, gender elements and reporting against results based indicators.</p> <p><u>Closing criteria</u></p> <p>(a) A pilot monitoring report document against the result based framework including the identification of a sustainable approach for long term monitoring and evaluation reporting of the projects. 127.</p> <p>(b) Project framework includes gender indicators linked to specific activities, whenever possible. Engage WIPO's Gender and Diversity Specialist to facilitate the design and implementation of a specific gender-equality plan for the ASPAC Bureau, encompassing capacity-building for staff, focused approaches for work with National IP Offices and other national stakeholders.</p> <p>(c) Project framework includes results based budgeting and the WIPO Program and Budget document includes indicators linked to the ASPAC projects.</p>	High	Mr. Ong	Accepted.	February 2020
2.	<p>ASPAC Bureau should not increase the number of projects beyond the already existing 10 projects. Focus should continue to be on quality rather than on quantity.</p> <p><u>Closing criteria</u></p> <p>Number of project has not increased in for the next biennium.</p>	Medium	Mr. Ong	Accepted	February 2020

ANNEXES

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Annex IV.	RESULTS-BASED FRAMEWORK – ASPAC BUREAU 2014-2019
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[Annex I follows]

ANNEX I: OVERVIEW OF FINDING, CONCLUSIONS, AND RECOMMENDATIONS

FINDINGS BY CRITERIA/THEME	CONCLUSIONS	RECOMMENDATIONS
RELEVANCE		
<p>Finding 1 – The ASPAC Bureau approach addresses the full range of needs and priorities of Member States: awareness of IP, IP frameworks and systems; awareness of protections for IP; skills in compliance with international IP frameworks; skills in how to provide assistance to users of national and international IP frameworks and systems.</p>	<p>Conclusion 1 – The approach and work of the ASPAC Bureau have been developed from a careful analysis of WIPO's strategic and mid-term goals. The close correlation between the activities of the ASPAC Bureau and its mandate, as well as the close correlation between its work and the defined and stated needs of Member States is indicative of the strategic relevance of the work of the ASPAC Bureau.</p>	<p>Linked to Recommendation 1 and 2.</p>
<p>Finding 2 – The project-focused approach of the ASPAC Bureau – is well-understood and well supported by stakeholders, who indicate that it contributes to an objective understanding of directions of development for national IP systems and frameworks.</p>	<p>Conclusion 2 – The structured approach contributes strongly to the effectiveness of the ASPAC Bureau's work, the high levels of feedback in support of the predictable nature of the project approach, the familiarity of stakeholders with the structure and intent of the ASPAC Bureau's approach. Further, the strong indications from stakeholders of the importance of the ASPAC Bureau's work to their IP development encourage confidence in the relevance of the ASPAC Bureau's approach.</p>	<p>Linked to Recommendation 1 and 2.</p>

FINDINGS BY CRITERIA/THEME	CONCLUSIONS	RECOMMENTATIONS
EFFECTIVENESS		
<p>Finding 3 – The content and results of the 10 projects directly relate, and contribute, to WIPO’s strategic goals, the ASPAC Bureau’s mandate and the Program and Budget 2016/17 document is most visible in the development of NIPS and the related diagnostics, but is also becoming more visible in the growth of impact in capacity, inside of national IP offices but also in other national stakeholder institutions.</p>	<p>Conclusion 3 – It is likely that the impact of the ASPAC Bureau’s contribution to WIPO’s strategic goals will continue to grow, and be more visible, as more Member States move along a development path and have more time for the implementation of their NIPS. It will be critical in the coming years for the project-focused approach to be carefully monitored and revised according to: (i) the needs of Member States; and (ii) reflections on the effectiveness of the content and structure of the projects.</p> <p>Conclusion 4 – There are gains to be made from ensuring a close correlation of approach and collaboration between substantive sectors and the ASPAC Bureau, given the ASPAC Bureau’s knowledge of national IP office strategies, details of their diagnostics and understanding of their priorities. This knowledge can add significantly to the planning and delivery of the work of the substantive sectors.</p>	<p>Linked to Recommendation 1 and 2.</p>

FINDINGS BY CRITERIA/THEME	CONCLUSIONS	RECOMMENTATIONS
<p>128. Finding 4 – The defined structure of the projects, with design frameworks that relate up to WIPO’s strategic goals and down to stated outcomes and outputs, contributes to possibilities for a better monitoring of and reporting on the results of the ASPAC Bureau’s activities and approaches. The structured approach contributes to an objective analysis of results, as each project has a defined results framework and established indicators, enabling the results of each project to be analyzed objectively.</p> <p>129.</p>	<p>130. Conclusion 5 – Results-based management. The structured analysis of results against plans has the potential to assist WIPO in a better analysis of the effectiveness of its inputs and achievement of results and should be a specific focus of the ASPAC Bureau’s project management processes going forward. Reporting in particular can benefit from a more consistent use of the defined results framework.</p> <p>131.</p> <p>Conclusion 6 – The high levels of strong support for the project-based approach and work of the ASPAC Bureau indicates that consideration of this approach by other Bureaus, and WIPO generally, is needed. While there is no basis in the work of the evaluation for concluding an uptake of the 10 projects across the organization, it is apparent that a detailed consideration of the structured nature of the approach, and its strategic underpinning, is warranted, to ensure WIPO is not missing an opportunity to strengthen effectiveness and efficiency of program delivery. The strongest demonstrated impact from the ASPAC Bureau’s approach is the defined structure of engagement, which gives objectivity to longer term directions, clarifies the more immediate priorities and provides a framework for definition of indicators of success and the measurement of results. Reporting in particular can benefit from a more consistent use of the defined results framework. Moreover, given the visible results within the strategic framework, and the close knowledge of national stakeholders, it would be worth WIPO giving consideration to a stronger role to the ASPAC Bureau in overall processes of activity and budget planning, and ensuring coherence in the countries of the ASPAC Region.</p>	<p>Linked to Recommendation 2.</p>

FINDINGS BY CRITERIA/THEME	CONCLUSIONS	RECOMMENTATIONS
132. Finding 10. There is a lack of sophistication in understanding what might be involved in mainstreaming gender equality among stakeholders.	Conclusion 11 – The gender focus is not significant enough in planning, implementation or reporting.	Linked to recommendation 2
EFFICIENCY		
133. Finding 5. There are a number of areas where different structures within WIPO offer parallel initiatives to national IP stakeholders and where these activities and approaches lack overarching governance of coordination arrangements, detracting for overall WIPO program coherence.	Conclusion 7 – Strengthening of the governance of coordination and collaboration processes between the ASPAC Bureau and substantive sectors is indicated. This is particularly true given the significance of copyright for the Pacific Island states, and the significant logistical issues in working in this vast geography. It is not however only relevant in this area – These systems are critical for ensuring an efficient use of WIPO resources and effective results against strategic plans. Operating within defined priority areas of focus is incumbent on the other WIPO sectors, and to do so with the assistance of and in coordination with the ASPAC Bureau. Divisions can and should “lean on” the ASPAC Bureau for assistance with strategy, focus and implementation, and the ASPAC Bureau can and should continue to play a key role in ensuring the coordination.	Linked to recommendation 2
134. Finding 6 – ASPAC Bureau/WIPO reporting available to the evaluation did not demonstrate a strong expression of specific results (outcomes and outputs) for the defined activities of the project-focused approach, and as such it was not possible to assess these actual results against plans and inputs. The results-based framework for such reporting exists (defined outcomes, outputs and activities), but ASPAC Bureau reporting is not required within this framework. 135.	136. Conclusion 8 – Improvements are needed in reporting on the ASPAC Bureau’s projects, with a specific focus on project-focused/project-specific reporting and the provision of statistics on specific activities within a project context. These statistics should include participation rates disaggregated by a number of demographic indicators including at least gender, organization and Member State. Reports should also describe contribution to planned activities and outputs and should analyze contribution to WIPO’s strategic priorities.	Linked to recommendation 2

FINDINGS BY CRITERIA/THEME	CONCLUSIONS	RECOMMENTATIONS
<p>Finding 7 – While the most appropriate approach to overall WIPO servicing of Member States in the Pacific islands is not clear, due to the size and complexity of the geography and its limited population, the evaluation heard a real expressed need, and a wish for a considered approach from WIPO to ensuring the development of IP systems and frameworks.</p>	<p><i>Engagement in the Pacific.</i> Some discussion across WIPO, involving ASPAC Bureau leadership and leadership of relevant substantive sectors is encouraged to develop a longer-term approach to the strategic engagement of Pacific Island states in international IP structures and conventions. These discussions should focus on balancing and ensuring the greatest level of outputs from designated inputs. There is a link between this conclusion and Conclusion 7- Systems and processes of coordination and coherence.</p>	<p>No recommendation.</p>
IMPACT		
<p>Finding 8 – The building of capacity (growth in knowledge, skills), and the related change in organizational structure and practice is the clearest impact of the current work and approach of the ASPAC Bureau. The knowledge and skills are being built in a strategic context, and changes in practice then follow this strategic framework. Another way of saying this is that as a result of the NIPS project and the Diagnostics project, national IP offices are doing things differently, and the differences are having a positive impact on the users of IP systems.</p>	<p>Conclusion 9 – The ASPAC Bureau has set down a number of markers of impact that can be followed in determining impact on Member States in terms of the development of IP frameworks and systems, and impact in terms of WIPO strategic goals. The markers are : (i) specific types of capacity in individuals, notable with examiners but not restricted to this group; (ii) how things are done in national IP offices (NIPS and diagnostics being the notable contributors); (iii) regional networking incorporating both technical assistance and financing (but also the sharing of knowledge and practice)</p>	<p>Linked to Recommendation 2</p>
SUSTAINABILITY		
<p>Finding 9 – The ASPAC Bureau has well developed project framework and implementation of this framework will continue in the coming years across the region. This requires steady and continuous investment to maintain achieved results</p>	<p>Conclusion 10 – Considering existing budgetary limitation, the ASPAC Bureau will be required to focus on the 10 projects identified to sustain results over time.</p>	<p>Linked to Recommendation 2</p>

[Annex II follows]

ANNEX II: COUNTRY CASE STUDIES

(A) THAILAND

137. Thailand has been a member of ASEAN since 1967 and of WIPO since 1989. Thailand's IP and innovation strategies/ priorities are addressed within the 12th National Economic and Social Development Plan (2017-2021) (NESDP). Until recently, the governance of science, technology and innovation (STI) policies encompassed a multitude of overlapping administrative bodies and lacked a clear distinction of responsibilities. The government implemented an STI governance reform process in 2016 that consisted of revisions to the STI administration system, integration of STI into the NESDP and introduction of an agenda-based budgeting system. As a result, the National Research and Innovation Policy Council was established in October 2016 as a single body to set the policy direction for research and innovation, and its implementation.

138. Thailand has two WIPO depository libraries, one in the Bangkok University and the other in the International Institute for Trade and Development (ITD). Thailand has one TISC and has been the beneficiary of 476 WIPO Technical Assistance activities from 2009-2018. The country has a wealth of IP related laws and is party to several IP treaties, including the following WIPO-administered treaties:

- (a) Berne Convention
- (b) Madrid Protocol
- (c) Paris Convention
- (d) PCT
- (e) WIPO Convention

139. The evaluation spoke to 27 stakeholders in Thailand. Of these, 18 were national IP office representatives and nine were other IP stakeholders. The national stakeholders included IP consultants, patent attorneys and agents and representatives of government agencies engaged in or responsible for different aspects of IP.

140. Current priorities of the Department of Intellectual Property (DIP – the national IP office) include:

- (a) Improving efficiency and timelines.
- (b) Improving access to and the quality of services.
- (c) Promoting IP commercialization including GI.
- (d) Supporting innovation.

141. Stakeholders spoke about a number of key areas in which ASPAC Bureau initiatives are contributing to the development of Thailand's IP systems and frameworks. Particular mention was made of the Diagnostics project and its contribution understanding what works well, and not so well, and to understanding the broad picture of management of DIP. As well as understanding, the Diagnostics project enabled a reworking of examination procedures to make them more efficient and has increased cost efficiencies while reducing micro-management. Stakeholders recognize these improvements in efficiency, and there has been a notable decrease in the backlog of applications within the trademark administration.

142. The second key area mentioned with the Enabling Environment project. The focus here was on the development of the hub and spoke approach, based around the National Science and Technology Development Agency (NSTDA)¹⁷ and five key universities. A significant focus has been on improving skill levels (patent drafting, patent applications), referred to by interviewees as “training in the modern system”, together with a related emphasis on commercialization. Stakeholders note the similarities between TISCs and the Enabling Environment project and hubs and raised the prospects of a closer coordination between the two. Stakeholders also noted that there is a high level of professionalism, knowledge and skills visible in provided trainers/ experts, training programs themselves will benefit with development of advanced level sessions, particularly as trainees become more sophisticated; more skilled and knowledgeable.

143. The third key area noted for its contributions to development of IP systems and frameworks was the current work on the Thailand’s Country Development Plan (referred to in the main narrative of the evaluation report as the CTAIP). Thailand is piloting the CTAIP approach with the ASPAC Bureau. The CTAIP “framework is an initiative of the ASPAC Bureau aimed at providing coherent, long-term development assistance to countries, coordinated across different WIPO sectors for cumulative and sustainable outcomes, to enable effective use of IP for development. The CDP framework incorporates WIPO’s Strategic Goals, WIPO Medium-Term Strategic Plan 2016-2021, Development Agenda principles, Program and Budget guidelines and recommendations from internal and external technical assistance evaluation reports. CDP Framework is intended to be a comprehensive planning and implementation mechanism for delivering development assistance to countries based on project management methodology using the standard RBM and Logical Framework (Logframe) tools”.¹⁸ DIP representatives recognize in particular the value of the CTAIP in providing a longer-term planning framework that is a significant improvement on the prior *ad hoc* approach.

144. Stakeholders note a significant discussion on gender balance, within the DIP and in discussions with the ASPAC Bureau.

¹⁷ <http://www.nstda.or.th/en/>

¹⁸ May 2018. Technical Cooperation Framework - Country Development Plan for THAILAND (Preliminary Discussion Paper). ASPAC Bureau

(B) PHILIPPINES

145. The Philippines is the current chair of ASEAN.¹⁹ The Philippines joined WIPO in 1980 and finalized development of its national IP strategy in 2017. The Philippines has 62 TISCS and has been the beneficiary of 395 Technical Assistance workshops since 2009. The country has a wealth of IP related laws and is party to several IP treaties, including the following WIPO-administered treaties:

- (a) Berne Convention
- (b) Budapest Treaty
- (c) Madrid Protocol
- (d) Paris Convention
- (e) PCT
- (f) Phonograms Convention
- (g) Rome Convention
- (h) WIPO Convention
- (i) WIPO Copyright Treaty
- (j) WIPO Performances and Phonograms Treaty

146. The evaluation spoke with 26 stakeholders in the Philippines. Of these, 11 were from the national IP Office (IPOP HL), including the executive committee and 15 were other national IP stakeholders. The national IP stakeholders were ITSO representatives, lawyers (IP service providers such as Patent Agents), copyright specialists, and representatives of artists/ musicians/ composers.

147. IPOP HL noted engagement with the ASPAC Bureau on a number of key projects, which were referred to as initiatives on how the IPOP HL office could be moved forward. These included the NIPS, the Diagnostics project (including a resource audit and a programmed follow-up mission), the Enabling Environment project focus on ITSOs (including strong support for the hub and spoke approach) and engagement in a variety of training programs.

148. Stakeholders also acknowledge the importance of the training programs, in knowledge growth, skill development and in networking. For universities in particular, the capacity-building has opened significant areas of growth – areas of fundamental change. University representatives noted that historically in the Philippines research subsequent commercialization was non-existent, with a focus in universities on teaching, and on research for the sake of research. University research infrastructure was also limited. Through the work of the ASPAC Bureau, significant changes have taken place. The NIPS, the TISCs and the training have assisted in creating momentum for the use of IP in the commercialization of research. Of importance, universities note that they have been trained, but that they too are now training, and sharing, and the transfer of these development processes through networks is expanding. With a focus on access to information, IP audits, assessment of patentability and technology transfer, the TISCs and the hub and spoke approach are impacting in a significant way on institutes of higher learning and technology development.

149. One representative of a research center noted a study that was done on women in IP in the Philippines that was of concern and offers an area of potential focus for the ASPAC Bureau

¹⁹ http://www.wipo.int/wipo_magazine/en/2017/04/article_0006.html

in the future. The study showed that the engagement of women scientists in the IP system is quite low, notwithstanding that according to the interviewee, “the Philippines is at parity in gender-equality with the world and is first in Asia”, and women entrepreneurs generate IP but then do not protect that IP.

150. As well as this area of potential focus in the future, interviewees noted some other areas where the ASPAC Bureau should consider future emphasis:

- (a) Contributions to the sustainability of project implemented to date, including follow-on or follow-up processes and training.
- (b) Promotion of the Madrid protocol out-bound with Filipino corporations.
- (c) Assistance with development of the GI system.
- (d) Continuance of capacity-building of Trademark Examiners – substantive Trademark examinations, Traditional Knowledge and Quality of Trademark examinations

(C) SRI LANKA

151. Sri Lanka joined WIPO in 1978. Its draft IP Strategy is currently being discussed within the Ministry. Sri Lanka has six TISCs and has been the beneficiary of 272 WIPO technical assistance activities from 2009-2018. The country has a wealth of IP related laws and is party to several IP treaties, including:

- (a) Berne Convention
- (b) Madrid Agreement
- (c) Paris Convention
- (d) PCT
- (e) WIPO Convention
- (f) Nairobi Treaty
- (g) Trademark Law Treaty
- (h) Marrakesh Treaty

152. The evaluation spoke to 47 stakeholders in Sri Lanka. Of these, 33 were national IP office representatives and 14 were other IP stakeholders. The national IP stakeholders included patent and trademark attorneys, representatives of universities and technology centers and relevant government representatives.

153. The Coordinating Secretariat for Science, Technology and Innovation - COSTI (<https://www.costi.gov.lk/index.php/en/>), coordinates and monitors science, technology and innovation activities in the country. COSTI also promotes value addition and commercialization in line with the National Science Technology and Innovation Strategy of Sri Lanka. In this role there are significant synergies and relationships between COSTI and the work of the ASPAC Bureau. COSTI is a hub in the hub and spoke approach and coordinates critical inventors in the Enabling Environment project. In this role COSTI is identifying need, developing proposals and developing links between and with a variety of organizations.

154. As mentioned, a key focus here is the Enabling Environment Project, focused on “research to market” and development of key personnel within universities and research institutes, building capacity in IP development and in the management and commercialization of IP. Commercialization is recognized as the area most difficult to work in, and in which to make change, as it requires changing the mindset of key personnel – this has been a focus of specific inputs including processes of change undertaken with the National Research Council. The objectives of the project are:

- (a) Enhancing institutional capacities in IP and Technology management, infrastructure, system and process.
- (b) Developing HR (Technology Managers) competencies in the fields of IP and Technology management.
- (c) Building solid linkage among stakeholders.
- (d) Building strong university-industry collaborations.
- (e) Creating a sustainable innovation value chain.
- (f) Better coordination of Innovation support system.

155. The Diagnostics project is ongoing in Sri Lanka – outcomes of the analysis are not yet available. Stakeholders noted their desire and need for viewing the outcomes as it is anticipated there will be significant relevant outcomes from the project which will have a positive impact on future developments.

156. Stakeholders consistently mentioned the training/ capacity-building activities of the ASPAC Bureau when discussing inputs and contributions to development of IP frameworks and systems. Particular reference was made to the value of:

- (a) Patent information search.
- (b) Patent examination.
- (c) Patent drafting.
- (d) Public awareness of IP.
- (e) Trademark examinations.

157. Stakeholders were somewhat critical of two areas of the capacity-building work. Firstly, there is a view that selection of participants could be more strategic, to ensure greatest impact and the most likely contributions to sustainability of change. Secondly, stakeholders pushed for a programmatic/ staged approach to the training, with a process of basic and then moving towards more advanced knowledge and practice.

[Annex III follows]

ANNEX III: EVALUATION MATRIX

Evaluation Question	Indicator(s), data	Collection method(s) ²⁰	Data sources ²¹	Findings
Relevance				
1. How relevant is the mandate of the ASPAC Bureau to the region?	Expressions of support from partners, users and other stakeholders. Visibility of results of activities in the structures, frameworks and activities of beneficiaries, users, partners.	DR I S	PD PR OD PS OS	The ASPAC Bureau approach addresses the full range of needs and priorities of Member: awareness of IP, IP frameworks and systems; awareness of protections for IP; skills in compliance with international IP frameworks; skills in how to provide assistance to users of national and international IP frameworks and systems.
2. Are the activities of the ASPAC Bureau relevant to its mandate?	Clear descriptions in reporting of the contributions of activities/ results to the mandate. Statements from stakeholders of how what is being done is contributing to the mandate.	DR I S	PD PR PS	The structured approach of the ASPAC Bureau – the project-focused approach – is well-understood and well-supported by stakeholders, who indicate their view that it contributes to an objective understanding of directions of development for national IP systems and frameworks.
Effectiveness				
3. To what extent does the ASPAC Bureau contribute to the achievement of WIPO strategic goals and expected results?	Visible correlation in ASPAC activities and results to definitions/ strategic frameworks. In line with the Programme and Budget document, National IP Strategies, Country Plans and the project-based approach are the focus here. Clear discussion in programme reporting of the work of the ASPAC Bureau in relation to strategic goals/ frameworks. Familiarity and ease of discussion of stakeholders (particularly ASPAC Bureau staff) of their work and its relationship to strategic frameworks.	DR I S	PD PR PS OS	The content and results of the 10 projects directly relate, and contribute, to WIPO's strategic goals. The ASPAC Bureau is effectively delivering results according to its mandate. This development is directly in line with the <i>Program and Budget 2016/17</i> document and is most visible in the development of national IP strategies and the related diagnostics, but is also becoming more visible in the growth of impact in capacity, inside of national IP offices but also in other national stakeholder institutions.

²⁰ DR – Document Review; I – Interviews or Focus Groups; S - Survey

²¹ PD – Program Design Documentation (including the Program and Budget), PR – Project Report, OD – Other Documents, PS – Project Staff, OS – Other Stakeholders

Evaluation Question	Indicator(s), data	Collection method(s) ²⁰	Data sources ²¹	Findings
4. What factors are contributing to (or detracting from) delivery of results?		I	PS OS	The defined structure of the projects, with design frameworks that relate up to WIPO's strategic goals and down to stated outcomes and outputs, contributes to possibilities for a better monitoring of and reporting on the results of the ASPAC Bureau's activities and approaches. The structured approach contributes to an objective analysis of results, as each project has a defined results framework and established indicators, enabling the results of each project to be analyzed objectively. Defined results are in line with the established Results Framework for Program 9, in the <i>Program and Budget 2016/17</i> and each project is directly linked to recommendations in the Development Agenda.
Efficiency				
5. Are there better ways to allocate and use available resources to achieve the ASPAC Bureau's goals and expected results?	Feedback from staff and other stakeholders with reference to resource allocation. Expressions of support (or criticism) of resource allocation. Detailed reasoning in programme documentation regarding resource allocations.	DR I	PR OD PS OS	There are a number of areas within overall WIPO where different structures within WIPO offer parallel initiatives to national IP stakeholders and where these activities and approaches are lacking of coherence and/ or coordination. ASPAC Bureau/ WIPO reporting available to the evaluation did not demonstrate a strong expression of specific results (outcomes and outputs) for the defined activities of the project-focused approach, and as such it was not possible to assess these actual results against plans and inputs. The framework for such reporting exists.
6. Does the ASPAC Bureau have the right resources and competencies to delivery according to its mandate?	Clear planning documentation and clear correlation between planning directions, activities and results. Clear correlation between plans, activities and results. Clear indications in documentation and from stakeholders (particularly but not solely ASPAC Bureau staff) that give confidence in how resources are being allocated.	DR I S	PD PR PS OS	While the most appropriate approach to overall WIPO servicing of Member States in the Pacific islands is not clear, due to the size and complexity of the geography and its limited population, the evaluation heard a real expressed need, and a wish for a considered approach from WIPO to ensuring the development of IP systems and frameworks.

Evaluation Question	Indicator(s), data	Collection method(s) ²⁰	Data sources ²¹	Findings
Impact				
7. What effect has the ASPAC Bureau had on IP for development for beneficiary countries?	In line with the Programme and Budget, clear indications of the development of human and professional skills to facilitate the modernization of IP infrastructure and the development of appropriate IP legal and regulatory frameworks, in line with national development priorities of MS.	DR I S	PR PS OS	As a result of the NIPS project and the Diagnostics project, national IP offices are doing things differently, and the differences are having a positive impact on the users of IP systems. The building of capacity (growth in knowledge, skills and practice) is the clearest impact of the current work and approach of the ASPAC Bureau.
8. At the regional level?	In line with the Programme and Budget, clear indications of the development of human and professional skills to facilitate the modernization of IP infrastructure and the development of appropriate IP legal and regulatory frameworks.	DR I S	PR PS OS	The building of capacity (growth in knowledge, skills and practice) is the clearest impact of the current work and approach of the ASPAC Bureau.
9. To what extent are ASPAC Bureau results sustainable?	In line with impact indicators, clear indications of the development of human and professional skills to facilitate the modernization of IP infrastructure and the development of appropriate IP legal and regulatory frameworks, in line with national development priorities of MS.	DR I S	PR PS OS	There are specific indicators that ASPAC Bureau results are sustainable, visible particularly in the development that has taken place already with certain Member States – China, South Korea and Singapore to mention the three most obvious. There are other indicators of sustainability across the region. These indicators are also most obvious in IP frameworks and systems, particularly in accession to international conventions/ treaties and in the development and implementation of national legislative/ policy frameworks.
Gender Equality				
10. To what extent is gender equality being mainstreamed in the planning, activities and reporting of the ASPAC Bureau?	Visibility of gender equality and gender mainstreaming in the planning and reporting of the ASPAC Bureau. Visibility of gender equality and gender mainstreaming in the planning and reporting of MS (partners, beneficiaries, users). Expressions of knowledge by stakeholders of how gender is and can be mainstreamed. Visible strategies for ensuring a gender focus in planning and activities.	DR I	PD PR OD PS OS	Where interviewees did respond to the intent of the question, responses were relatively evenly divided in their analysis of the focus of the ASPAC Bureau. Some specifically noted a focus on gender equality in the ASPAC program and some specifically noted an absence of a focus. It was noted that as a UN Agency, WIPO and its Divisions have obligations in relation to gender equality and that the ASPAC Bureau fulfils these obligations, although other interviewees stated that the ASPAC Bureau response is more on paper than truly proactive. The evaluation heard a large number of comments

Evaluation Question	Indicator(s), data	Collection method(s) ²⁰	Data sources ²¹	Findings
				on the ASPAC Bureau's focus on gender and it is simply not possible to characterize a general view – there are many and varied views across the full range of positive, ambivalent and negative responses. This wide set of perceptions likely indicates that the focus is not significant enough in planning, implementation or reporting, for the simple reason that if gender equality was being significantly mainstreamed responses from interviewees would more generally note this.

[Annex IV follows]

ANNEX IV: RESULTS-BASED FRAMEWORK – ASPAC BUREAU 2014-2019

Strategic Goal	Expected Result	Performance indicators
SG I: Balanced Evolution of the International Normative Framework for IP	I.2 Tailored and balanced IP legislative, regulatory and policy frameworks	No. and/or % of countries providing positive feedback on WIPO's legislative and policy advice
SG II: Provision of Premier Global IP Services	II.1 Wider and more effective use of the PCT System for filing international patent applications	No. of PCT applications originating from developing countries and LDCs
	II.4 Wider and more effective use of the Hague System, including by developing countries and LDCs	No. of Hague System applications originating from developing countries and LDCs
	II.6 Wider and more effective use of the Madrid System, including by developing countries and LDCs	No. of Madrid System applications originating from developing countries and LDCs
	II.10 Wider and more effective use of the Lisbon System, including by developing countries and LDCs	No. of international registrations from developing countries and LDCs in force under the Lisbon System (in relation to the total no.)
SG III: Facilitating the Use of IP for Development	III.1 National innovation and IP strategies and plans consistent with national development objectives	No. of countries which are in the process of formulating national IP strategies No. of countries which have adopted national innovation and IP strategies No. of countries which have adopted national innovation and IP strategies and IP development plans
	III.2 Enhanced human resource capacities able to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition	% of participants in WIPO events who express satisfaction with the content and organization of these events % of participants in WIPO workshops who apply the skills learned in their work/enterprise % of national and regional IP experts used as resource persons in WIPO events
	III.4 Strengthened cooperation mechanisms and programs tailored to the needs of developing countries, LDCs and countries with economies in transition	No. of national, sub- regional and regional/ interregional cooperation agreements, projects, programs, and partnerships to promote the effective use of the IP systems through sharing of best practices.
SG IV: Cooperation and Development of Global IP Infrastructure	IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity	No. of sustainable national TISC networks (numbers cumulative)
	IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP Administration	Average Service Level of IP Offices assisted (ranging from 1 to 5)

[Annex V follows]

ANNEX V: SURVEY DATA AND ANALYSIS

158. The following material is the detailed survey responses to quantitative questions for all respondents. A total of 62 people responded to surveys. These comprised:

- (a) National IP Offices – 28.
- (b) External consultants – 19.
- (c) Permanent missions – 5.
- (d) WIPO staff – 10.

(A) MERGED SURVEY RESPONSES

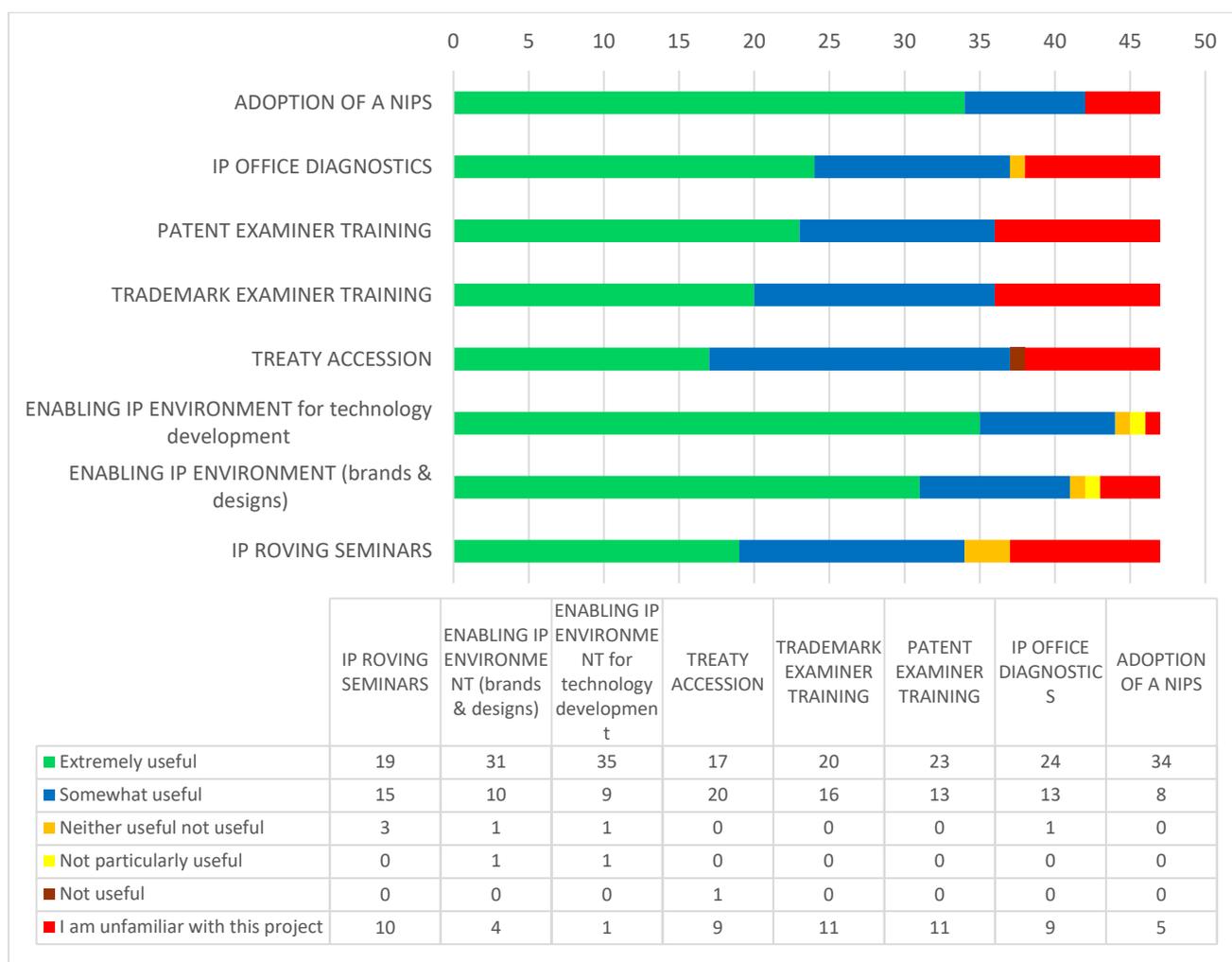
159. Where survey questions were the same for different stakeholder groups, responses have also been merged to provide an overall analysis of responses across stakeholder groups. This merged analysis is provided here, with the specific analysis of different groups following the merged analysis.

How important are the activities of the WIPO's Bureau for Asia and the Pacific / WIPO in the development of international IP legislation and policy in your country?

Answer Choices	IPO&NIPO	External Consultants	PM	In numbers
Extremely important.	82%	79%	60%	41
Somewhat important.	18%	21%	40%	11
Neither important nor unimportant.	0%	0%	0%	0
Somewhat unimportant.	0%	0%	0%	0
Completely unimportant.	0%	0%	0%	0

Usefulness of each of the 10 projects for the strengthening the capacity of your IP Office and other IP institutions

	Extremely useful	Somewhat useful	Neither useful not useful	Not particularly useful	Not useful	I am unfamiliar with this project
ADOPTION OF A NIPS	34	8	0	0	0	5
IP OFFICE DIAGNOSTICS	24	13	1	0	0	9
PATENT EXAMINER TRAINING	23	13	0	0	0	11
TRADEMARK EXAMINER TRAINING	20	16	0	0	0	11
TREATY ACCESSION	17	20	0	0	1	9
ENABLING IP ENVIRONMENT for technology development	35	9	1	1	0	1
ENABLING IP ENVIRONMENT (brands & designs)	31	10	1	1	0	4
IP ROVING SEMINARS	19	15	3	0	0	10



What is your country of residence?

	IPO	PM	External	Total
Bangladesh	1	0	1	2
Bhutan	2	1	0	3
Cambodia	1	0	0	1
India	1	0	0	1
Indonesia	0	1	0	1
Kiribati	1	0	0	1
Malaysia	2	0	1	3
Marshall Islands	1	0	0	1
Pakistan	1	0	0	1
Palau	1	0	0	1
Philippines	7	0	3	10
Singapore	0	1	1	2
Sri Lanka	4	0	0	4
Thailand	2	0	0	2
Vanuatu	1	0	0	1
Vietnam	2	1	0	3
Australia	0	0	2	2
U.S.	0	0	1	1
Spain	0	0	1	1
Germany	0	0	1	1
UK	0	0	1	1
France	0	0	1	1
Switzerland	0	0	2	2
Italy	0	0	1	1
Canada	0	0	1	1
Country of residence not specified	1	1	2	0
Total	28	5	19	52

What is your gender?²²

	Total
Female	17
Male	28
Total	45

²² Of the total of 62 survey respondents, three from NIPOs and External Consultants skipped this question. PMs and WIPO staff were not asked about their gender.

(B) NATIONAL IP OFFICES AND NATIONAL STAKEHOLDERS

160. A total of 200 survey invitations were sent out to national IP offices and national stakeholders, with 28 responses received.

How important are the activities of the WIPO's Bureau for Asia and the Pacific / WIPO in the development of international IP legislation and policy in your country?

Answer Choices	Responses	
Extremely important.	82%	23
Somewhat important.	18%	5
Neither important nor unimportant.	0%	0
Somewhat unimportant.	0%	0
Completely unimportant.	0%	0
	Answered	28

Please assess the usefulness of each of the 10 projects for the strengthening the capacity of your IP Office and other IP institutions?

	Extremely useful.		Somewhat useful.		Neither useful not useful.		Not particularly useful.		Not useful.		I am unfamiliar with this project.		Total
	%	Count	%	Count	%	Count	%	Count	%	Count	%	Count	
ADOPTION OF A NIPS	75%	21	21%	6	0%	0	0%	0	0%	0	4%	1	28
IP OFFICE DIAGNOSTICS	54%	15	32%	9	4%	1	0%	0	0%	0	11%	3	28
PATENT EXAMINER TRAINING	57%	16	32%	9	0%	0	0%	0	0%	0	11%	3	28
TRADEMARK EXAMINER TRAINING	50%	14	39%	11	0%	0	0%	0	0%	0	11%	3	28
TREATY ACCESSION	43%	12	43%	12	0%	0	0%	0	4%	1	11%	3	28
ENABLING IP ENVIRONMENT for technology development	68%	19	25%	7	4%	1	4%	1	0%	0	0%	0	28
ENABLING IP ENVIRONMENT (brands & designs)	64%	18	25%	7	4%	1	0%	0	0%	0	7%	2	28
IP ROVING SEMINARS	54%	15	39%	11	4%	1	0%	0	0%	0	4%	1	28
Answered													28
Skipped													0

Does the Bureau for Asia and the Pacific proactively keep you informed in areas of interest/relevance for your work?

Answer Choices	Responses	
Yes	61%	17
No	39%	11
	Answered	28

How would you rate the quality of external experts providing services on behalf of the ASPAC Bureau / WIPO?

Answer Choices	Responses	
High quality.	47%	13
Good quality.	39%	11
Reasonable quality.	14%	4
Not of a particularly high quality.	0%	0

Poor quality.	0%	0
	Answered	28

Is the feedback you provide to the Bureau for Asia and the Pacific / WIPO being used to revise activities and approaches?

Answer Choices	Responses	
Yes, to a significant extent.	18%	5
Yes, to a large extent.	43%	12
There is a reasonable use of my feedback.	18%	5
Only to a small extent.	7%	2
Not at all.	4%	1
I have not been asked to provide feedback to the Bureau/ WIPO.	11%	3
	Answered	28

Where do you reside?

161. Responses to the survey were received from 14 countries in the ASPAC Region, as follows.

Answer Choices	Responses
Afghanistan	0
Bangladesh	1
Bhutan	2
Brunei	0
Cambodia	1
China	0
Cook Islands	0
Federated States of Micronesia	0
Fiji	0
India	1
Iran	0
Kiribati	1
Lao PDR	0
Malaysia	2
Maldives	0
Marshall Islands	1
Mongolia	0
Myanmar	0
Nauru	0
Nepal	0
Niue	0
North Korea (Democratic People's Republic of Korea)	0
Pakistan	1
Palau	1
Papua New Guinea	0
Philippines	7

Samoa	0
Singapore	0
Solomon Islands	0
South Korea (Republic of Korea)	0
Sri Lanka	4
Thailand	2
Timor Leste	0
Tonga	0
Tuvalu	0
Vanuatu	1
Vietnam	2

What is your gender?

Answer Choices	Responses	
Female	43%	12
Male	57%	16
	Answered	28

How are you affiliated with the work of the Bureau for Asia and the Pacific/ WIPO?

Answer Choices	Responses
National Intellectual Property Office	11
Technology Innovation Centre	4
University	7
Inventor	0
Researcher	0
Ministry representative	3
Solicitor	1
Business representative	0
Other	2
	Answered 28

(C) EXTERNAL CONSULTANTS

162. A total of 23 survey invitations were sent out to external consultants – 19 responded. It is noted that most questions for external consultants involved qualitative responses which have not been provided here.

How important are the activities of the ASPAC Bureau development of IP legislation and policy to the countries of Asia and the Pacific where you provide services?

Answer Choices	Responses	
Extremely important.	79%	15
Somewhat important.	21%	4

Neither important nor unimportant.	0%	0
Somewhat unimportant.	0%	0
Completely unimportant.	0%	0
	Answered	19

What is your country of residence?

	Responses
Philippines	3
Australia	2
U.S.	1
Spain	1
Germany	1
Singapore	1
UK	1
France	1
Switzerland	1
Italy	1
Malaysia	1
Canada	1
Switzerland	1
Bangladesh	1
Total	17
Skipped	2

What is your gender?

Answer Choices	Responses	
Female	29%	5
Male	71%	12
	Answered	17
	Skipped	2

(D) PERMANENT MISSIONS

How important are the activities of the ASPAC Bureau development of IP legislation and policy in your country?

Answer Choices	Responses	
Extremely important.	60%	3
Somewhat important.	40%	2
Neither important nor unimportant.	0%	0
Somewhat unimportant.	0%	0
Completely unimportant.	0%	0
	Answered	5

How important are the activities of the ASPAC Bureau to your country's processes of accession to treaties (Such as the PCT, the Hague system, the Madrid system or the Lisbon system)?

Answer Choices	Responses	
Extremely important.	40%	2
Somewhat important.	40%	2
Neither important nor unimportant.	0%	0
Somewhat unimportant.	20%	1
Completely unimportant.	0%	0
	Answered	5

Do ASPAC Bureau activities help strengthen capacity in the development of IP systems and structures in your country?

Answer Choices	Responses	
Yes, to a significant extent.	40%	2
Yes, to a large extent.	20%	1
Yes, they make a reasonable contribution.	40%	2
They only make a small contribution.	0%	0
No, they make no contribution.	0%	0
	Answered	5

How closely do you collaborate with the ASPAC Bureau in their work related to your country?

Answer Choices	Responses	
To a significant extent.	0%	0
To a large extent.	40%	2
We have a reasonable level of collaboration.	40%	2
We only collaborate to a small degree.	20%	1

We do not collaborate.	0%	0
	Answered	5

Overall, does the ASPAC bureau proactively keep you informed in areas of interest/relevance for your work?

Answer Choices	Responses	
Yes	100%	5
No	0%	0
	Answered	5

Five countries responded to the survey – four advised which country they represented.

Bhutan	1
Indonesia	1
Singapore	1
Vietnam	1

[Annex VI follows]

(B) NON-AFFILIATE COUNTRIES

	China	Iran	Korea	DPRK	Mongolia
WIPO Convention	Jun 3, 1980	Mar 14, 2002	1-Mar-79	Aug 17, 1974	Feb 28, 1979
Berne Convention for the Protection of Literary and Artistic Works (In force)	15-Oct-92		21-Aug-96	28-Apr-03	12-Mar-98
Article 6ter of the Paris Convention. (In force)	19-Mar-85	16-Dec-59	4-May-80	10-Jun-80	April 21, 1985
PCT (In force)	1-Jan-94	4-Oct-13	10-Aug-84	8-Jul-80	27-May-91
Patent Law Treaty				22-Aug-18	
Madrid Agreement (Marks) - The International Trademark System (In force)	1-Dec-95	25-Dec-03		10-Jun-80	21-Apr-85
Madrid Protocol (In force)	4-Oct-89	25-Dec-03	10-Apr-03	3-Oct-96	16-Jun-01
Trademark Law Treaty (In force)	Oct 28, 1994		25-Feb-03		
Hague Agreement Concerning the International Registration of Industrial Designs (In force)			1-Jul-14	27-May-92	12-Apr-97
Lisbon Agreement - The International System of Appellations of Origin (In force)		9-Mar-06		4-Jan-05	
Locarno Agreement Establishing an International Classification for Industrial Designs	19-Sep-96	12-Jul-18	17-Apr-11	6-Jun-97	16-Jun-01
Nice Agreement Concerning the International Classification of Goods and Services for the Purposes of the Registration of Marks (In force)	9-Aug-94	12-Jul-18	8-Jan-99	6-Jun-97	16-Jun-01
Budapest - The International Microorganism Deposit System (In force)	1-Jul-95		28-Mar-88	21-Feb-02	
Copyright Treaty (In force)	9-Jun-07		24-Jun-04		25-Oct-02
Marrakesh Treaty to Facilitate Access to Published Works for Persons Who Are Blind, Visually Impaired or Otherwise Print Disabled (In force)	June 28, 2013 not in force	June 27, 2014	30-Sep-16	30-Sep-16	30-Sep-16
Phonograms Convention (In force)	30-Apr-93	Oct 29, 1971	10-Oct-87		
WIPO Performances and Phonograms Treaty (In force)	9-Jun-07		18-Mar-09		25-Oct-02
Beijing Treaty on Audiovisual Performances (In force)				Feb 19, 2016	June 26, 2012
Nairobi Treaty on the Protection of the Olympic Symbol (In force)				June 28, 1983	25-Aug-02
Strasbourg Agreement Concerning the International Patent Classification	19-Jun-97	June 22, 1971	8-Oct-99	21-Nov-02	16-Mar-02
Singapore Treaty	January 29, 2007		1-Jul-16	13-Sep-16	3-Mar-11
Brussels Convention			19-Mar-12		
Washington Treaty	May 1, 1990				
Rome Convention			18-Mar-09		
Vienna Agreement			17-Apr-11		

(C) ASEAN COUNTRIES

Countries	Brunei	Cambodia	Indonesia	Laos PDR	Malaysia	Myanmar	Philippines	Singapore	Thailand	Viet Nam
WIPO Convention	April 21, 1994	July 25, 1995	Dec 18, 1979	Jan 17, 1995	Jan 1, 1989	May 15, 2001	July 14, 1980	Dec 10, 1990	25-Dec-89	July 2, 1976
Berne Convention for the Protection of Literary and Artistic Works (In force)			5-Sep-97	14-Mar-12	1-Oct-90		1-Aug-51	21-Dec-98	17-Jul-31	26-Oct-04
Article 6ter of the Paris Convention. (In force)	17-Feb-12	22-Sep-98	24-Dec-50	8-Oct-98	1-Jan-89		27-Sep-65	23-Feb-95	2-Aug-08	8-Mar-49
PCT (In force)	24-Jul-12	8-Dec-16	5-Sep-97	14-Jun-06	16-Aug-06		17-Aug-01	23-Feb-95	24-Dec-09	10-Mar-93
Patent Law Treaty										
Madrid Agreement (Marks) - The International Trademark System (In force)										25-Jun-39
Madrid Protocol (In force)	6-Jan-17	5-Jun-15	2-Jan-18	7-Mar-16			25-Jul-12	31-Oct-00	7-Nov-17	11-Jul-06
Trademark Law Treaty (In force)			5-Sep-97							
Hague Agreement Concerning the International Registration of Industrial Designs (In force)	24-Dec-13	25-Feb-17						17-Apr-05		
Lisbon Agreement - The International System of Appellations of Origin (In force)										
Locarno Agreement Establishing an International Classification for Industrial Designs										
Nice Agreement Concerning the International Classification of Goods and Services for the Purposes of the Registration of Marks (In force)					28-Sep-07			18-Mar-99		
Budapest - The International Microorganism Deposit System (In force)	24-Jul-12						21-Oct-81	23-Feb-95		
Copyright Treaty (In force)	2-May-17		6-Mar-02		27-Dec-12		4-Oct-02	17-Apr-05		
Marrakesh Treaty to Facilitate Access to Published Works for Persons Who Are Blind, Visually Impaired or Otherwise Print Disabled (In force)		June 28, 2013	September 24, 2013					30-Sep-16		
Phonograms Convention (In force)							29-Apr-72			6-Jul-05
WIPO Performances and Phonograms Treaty (In force)	2-May-17		15-Feb-05		27-Dec-12		4-Oct-02	17-Apr-05		
Beijing Treaty on Audiovisual Performances (In force)	30-Aug-06		December 18, 2012							
Nairobi Treaty on the Protection of the Olympic Symbol (In force)			October 24, 1981							
Strasbourg Agreement Concerning the International Patent Classification										
Singapore Treaty								16-Mar-09		
Brussels Convention								27-Apr-05		12-Jan-06
Washington Treaty										
Rome Convention		Oct 26, 1961					25-Sep-84			1-Mar-07
Vienna Agreement					28-Sep-07					

Singapore Treaty									Mar 28 2006						
Brussels Convention															
Washington Treaty															
Rome Convention			Apr-72												
Vienna Agreement															

[Annex VII follows]

ANNEX VII: THE EVALUATION REFERENCE GROUP**(A) EVALUATION REFERENCE GROUP AND EVALUATION QUESTIONS**

163. The evaluation Reference Group reviews and comments on the Inception Report, the Draft Evaluation report, including its findings, conclusions and recommendations and the priorities, deadlines and responsibilities for implementing recommendations, if any. Members of the Reference Group act as a focal point for their respective sectors and facilitate information flows between the evaluation team and the Sectors they represent. The Reference Group is comprised of the following members.

Members	Title	Sector/ Function
Mr. Mario Matus	Deputy Director General	Development Sector
Mr. Michael Andrew Ong	Director	Regional Bureau for Asia and the Pacific, Development Sector
Ms. Tomoko Miyamoto	Head	Patent Law Section, Patent and Technology Sector
Mr. Konrad Lutz Mailaender	Head	Cooperation on Examination and Training Section, Patent and Technology Sector
Ms. Marion Amy Dietterich	Director	Global Challenges Division, Global Issues Sector
Mr. Wend Wendland	Director	Traditional Knowledge Division, Global Issues Sector

[Annex VIII follows]

ANNEX VIII: AGREED EVALUATION QUESTIONS

Relevance	
1 - How relevant is the mandate of the ASPAC Bureau to the region?	<ul style="list-style-type: none"> Does it address the needs and priorities of Member States? Specific emphasis in the case study countries will be given to the relevance of the mandate and focus areas to the specific country.
2 - Are the activities of the ASPAC Bureau relevant to its mandate?	
Effectiveness	
3 - To what extent does the ASPAC Bureau contribute to the achievement of WIPO strategic goals and expected results?	<ul style="list-style-type: none"> To what extent are the tools, mechanisms, and methodologies (conferences, meetings, training programs, missions) of the ASPAC Bureau contributing to achievement of WIPO goals and expected results. To what extent does the ASPAC Bureau contribute to the better delivery of WIPO's mandate. In which focus areas of the work of the Bureau is there greatest potential for development impact?
4 - What factors are contributing to (or detracting from) delivery of results? What strengths or weaknesses are there in the work of the ASPAC Bureau?	
Efficiency	
5 - Are there better ways to allocate and use available resources to achieve the ASPAC Bureau's goals and expected results?	<ul style="list-style-type: none"> Conduct an efficiency analysis according to WIPO's strategic priorities for the biennia 2014/15 and 2016/17.
6 - Does the ASPAC Bureau have the right resources and competencies to delivery according to its mandate?	<ul style="list-style-type: none"> Analysis of the internal and external effects of existing governance and portfolio management practices.
Impact	
7 - What effect has the ASPAC Bureau had on IP for development for beneficiary countries?	
8 - What effect has the ASPAC Bureau had on IP for development at the regional level?	
Sustainability	
9 - To what extent are ASPAC Bureau results sustainable?	
Gender Equality	
10 - To what extent is gender equality being mainstreamed in the planning, activities and reporting of the ASPAC Bureau?	

[Annex IX follows]

ANNEX IX: EVALUATION PHASES

(A) INCEPTION/DESK REVIEW

164. The evaluation began with an inception phase – in many ways the most critical phase of an evaluation process and it ensures the intent and purpose of the evaluation is clear to the evaluation team, that the program being evaluated is understood by the evaluation team, that all field research approaches and methodologies are clear and well-defined and that the timing of activities and deliverables is agreed. The inception phase ended with an inception report which clearly described the evaluation's components.

165. The evaluation team relied on existing documentation, including regional reports and documents, country documents, evaluation reports, performance reports and audit reports, knowledge products from the ASPAC Bureau such as published reports and training materials, client surveys on support services provided to country offices, WIPO corporate strategies and reports and relevant government, media, academic publications. The evaluation drew on the findings and conclusions of the Independent Review of the Implementation of the DA Recommendations, the Audit on Funds-in-Trust and the External Review of WIPO Technical Assistance in the Area of Cooperation for Development.

(B) FIELD RESEARCH

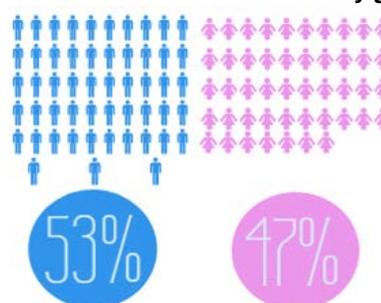
166. Three basic types of field research were undertaken for the evaluation: stakeholder interviews; online surveys and case studies. Each of the three types of field research is described below.

(i) Stakeholder interviews

167. Key informant interviews were the principal source of information. Interviews included WIPO staff and Member States in Geneva, stakeholders in three countries nominated for visits and Case Studies (Sri Lanka, Thailand and the Philippines) and interviews with key stakeholders in the balance of ASPAC Member States. This last group was approached to participate in Skype interviews. Key informant interviews were used to complement and validate the information gathered through the desk review and also provided greater reflection and detail to the surveys. The interviews provided in-depth information for the analysis related to relevance, effectiveness, and efficiency. A total of 139 stakeholders were interviewed, comprising the following demographic breakdown:

- (a) 82 national IP office representatives.
- (b) 41 other national IP stakeholders.
- (c) 9 Permanent Mission representatives.
- (d) 7 ASPAC Bureau representatives.

Figure 5 - Consulted stakeholders by gender



Source: IOD, Evaluation Section data

(ii) Online Surveys

168. Four online surveys were prepared:

- (a) One was distributed to WIPO staff collaborating with the ASPAC Bureau.
- (b) One was distributed to external experts working with the ASPAC Bureau.
- (c) One was directed to the Geneva-based permanent missions collaborating with the ASPAC Bureau. The questions in this survey are the same questions directed to relevant Member State agencies but analysis was done separately to ensure the perspectives are visible in the responses. This survey was complemented with qualitative interviews.
- (d) One was directed at relevant Member State agencies (users, beneficiaries, partners), including representatives of all 38 members in the ASPAC region.

169. The structure and specific content of each survey questions are detailed in Annex V.

(iii) Case studies

170. Visits were undertaken to three countries (Sri Lanka, Thailand and the Philippines). The three field visits have provided the cornerstone of gathered primary data from Member States. The field visits provided a deeper insight into the work of the ASPAC Bureau. The visits provided the detail necessary for the case study reports that are found at Annex III. The findings of the case studies have also been synthesized into the findings and conclusions of the overall evaluation report.

(C) ANALYSIS AND REPORTING

171. The mix of qualitative and quantitative approaches assisted in analyzing evaluation data. This combination of a variety of sources and methods of data collection enabled triangulation and a strong evidence base to identify findings and state conclusions and recommendations, to prepare the evaluation report.

[End of annexes and of document]