



Internal Oversight Division

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Evaluation Report

Program 30:
Small and Medium-sized Enterprises and Innovation

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LIST OF ACRONYMS

CEIPI	Center for International Intellectual Property Studies
CERN	European Center for Nuclear Research
DA	Development Agenda
EC	European Commission
FIT	Funds in Trust
ICT	Information, Communication and Technology
IOC	Internal Oversight Charter
IOD	Internal Oversight Division
IP	Intellectual Property
IPR	Intellectual Property Rights
ISS	Innovation Structures Section
JRC	Joint Research Centre
KIPO	Korean Intellectual Property Office
KWIA	Korea Women Inventors Association
LDCs	Least-Developed Countries
MS	Member States
MTSP	Medium-Term Strategic Plan
OECD-DAC	Organization for Economic Co-operation and Development - Development Assistance Committee
PCT	Patent Cooperation Treaty
PPR	Program Performance Report
R&D	Research and Development
RBM	Result-based management
SESD	SME and Entrepreneurship Support Division
SG	Strategic Goal
SMEs	Small and Medium-sized Enterprises
STL	Successful Technology Licensing
TDC	Transition and Developed Countries
ToR	Terms of Reference
ToT	Training of Trainers
U-FE	Utilization-Focused Evaluation
UN	United Nations
UNEG	United Nations Evaluation Group
WB	World Bank
WIPO	World Intellectual Property Organization
WTO	World Trade Organisation

EXECUTIVE SUMMARY

Program 30 has the objective of enabling “the greater and more effective use of IP asset management strategies by SMEs for strengthening their competitiveness, especially in developing countries, LDCs and countries with economies in transition”¹. It aims to contribute to evidence based policy-making for strengthening innovation systems, building effective IP management and innovation strategies in Small and Medium Sized Enterprises (SMEs), universities and public research institutions.

PROCESS AND METHODOLOGY

The findings and conclusions of this evaluation were obtained following a thorough analysis of a large documentation proactively provided by Program 30 management and staff, through semi-structured interviews and meetings with 37 internal and external key stakeholders (39% of which women), along with two surveys delivered to direct beneficiaries of SME trainings and Program 30’s products and services (using the population of SME English newsletter subscribers). It is worth mentioning the cooperative and constructive spirit of WIPO’s senior management, Program 30 managers and staff, and beneficiaries which contributed significantly to the completion of this evaluation in an iterative and participatory approach.

MAIN CONCLUSIONS AND RECOMMENDATIONS

Contribution of Program 30 to the Strategic Goals (SG), in particular to SG III is substantial and was considered relevant. Expected results were achieved in line with what was reported in the Program Performance Reports (PPR) since 2010.

Generally, the Program has experienced some management challenges and shortcomings that affected its performance. Over the period under evaluation, SME support and Innovation has been hosted in various parts of the Organization and recent structural changes have been made and witnessed during the evaluation. It is recommended that the organizational structure of the Program is stabilized as soon as possible and that its performance is re-assessed on the basis of a revised and more accurate performance framework.

Program objectives were considered relevant to the target beneficiaries and stakeholders. It is recommended that the Program develops more extensive online platforms for better reach and cost-effectiveness.

Despite progress over the period evaluated, **there is still room for improvement in Program design and monitoring** within the Results-Based Management framework. It is recommended to develop a more complete logical framework with more specific indicators and better defined links between outputs and outcomes and their attributions to expected results. All the Program’s activities should be monitored and reported on in a more systematic way.

The Program has generally achieved its expected outputs. Substantive changes in the indicators and overlaps have been identified. There has been little overlap internally in serving SME needs, except in the area of training of trainers where there was substantive overlap with the trainings provided by the WIPO Academy. Better coordination and communication with other WIPO Departments is recommended, in particular regarding centralization of training requests and regular briefing notes and updates, as well as newsletters with country-specific information to be shared with Regional Bureaus and Member States’ (MS) capitals highlighting activities and progress.

¹ http://www.wipo.int/export/sites/www/sme/en/documents/pdf/program_30.pdf

The Program's outcomes have been difficult to assess due to shortcomings in the performance framework, for example too few outcome indicators which are not specific enough.

Outcomes that could be assessed were considered satisfactory. It is recommended to enhance performance monitoring by developing in-house databases and by using country-specific baseline data. In training of trainers, better targeting and customization to different audiences and business sectors is suggested.

Cooperation of Program 30 with internal and external stakeholders has been good in terms of service-orientation and responsiveness. More can be done on in-country coordination between IP actors and with other institutions and organizations. Where the work is done in partnership with others, it is recommended to formalize cooperation arrangements and joint projects.

The Program's results stand a good chance to have sustainable effects lasting beyond the duration of the activities. Consolidation of medium to longer-term objectives of the Program is still required to ensure stability. Some shortcomings in terms of reach and awareness on the support and materials available have been identified by beneficiaries. To keep SME, entrepreneurship and innovation support in a Department that can provide service to all MS is key to ensure that these can be offered on an equal opportunity basis. Sustainability could be further enhanced through better exploiting of synergies within the Department and with the requesting countries.

1. INTRODUCTION

1. This evaluation is guided by the Terms of Reference (ToR) dated April, 2014 (Annex VI). It presents key findings from extensive data and information-gathering between March and April 2015 and makes conclusions on effectiveness, coordination and sustainability.
2. This evaluation assesses the performance of Program 30 (Small and Medium-sized Enterprises and Innovation), within WIPO's SG III²: Facilitating the Use of IP for Development, SG IV: Coordination and Development of Global IP Infrastructure and SG VII: Addressing IP in relation to Global Policy Issues.
3. Most SMEs depend on informal means of IP protection, not relying as much on formal IP systems. There are several reasons for this ineffective use of more formal IP forms of protection, namely inadequate awareness, high cost (including litigation costs) and the complexity of the IP system. Within this context, Program 30 has the objective of enabling "the greater and more effective use of IP asset management strategies by SMEs for strengthening their competitiveness, especially in developing countries, Least-Developed Countries (LDCs) and countries with economies in transition"³. It aims to contribute to evidence based policy-making for strengthening innovation systems, building effective IP management and innovation strategies, infrastructures and human capital in SMEs, universities and public research institutions.
4. Work under Program 30 is guided by Development Agenda (DA) Recommendations 1, 4, 10 and 11⁴. As the main Program responsible for delivering on SME and Innovation Support, namely for innovation stakeholders including universities and Research and Development (R&D) institutions, Program 30 was supported by close in-house cooperation from other WIPO Programs, mainly Programs 9, 10 and 11⁵.

² WIPO's nine SG were adopted by the Member States in 2009. It aims at supporting WIPO in achieving its mandate within an evolving external environment.

³ http://www.wipo.int/export/sites/www/sme/en/documents/pdf/program_30.pdf

⁴ Made explicit in the Program's documentation relative to Biennium 2012-2013.

⁵ Program 9: Africa, Arab, Asia and the Pacific, Latin America and the Caribbean Countries, Least-Developed Countries; Program 10: Cooperation with Certain Countries in Europe and Asia; Program 11: WIPO Academy.

(A) BRIEF DESCRIPTION OF WIPO'S WORK

5. During the first biennium of the intervention, Program 30 contributed to SG III. During the following two biennia, contributions to two other SG, IV and VII were included.

6. Strategic Goal III on Facilitating the Use of IP for Development is defined under the Medium-Term Strategic Plan (MTSP) as depicted in Table 1. It provides the main framework and the performance metrics for measuring results achieved and the individual contributions of collaborating Programs. Within the different biennial Results Frameworks, Program 30 is due to contribute to various objectives of SG III⁶, namely to the expected results:

(a) III.1: "National innovation and IP strategies and plans consistent with national development objectives"⁷,

(b) 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".

(c) During biennium 2012/2013, Program 30 was also due to contribute to objective III.10: "Increased understanding/ capacity of SMEs and SMEs support institutions to successfully use IP to support innovation and commercialization" and

(d) During biennium 2014/2015, Program 30 was also due to contribute to objective III.6: "Increased capacity of SMEs to successfully use IP to support innovation".

7. Within the different biennia's Results Frameworks and considering SG IV on Coordination and Development of Global IP (Table 1), Program 30 was also due to contribute specifically to the objective IV.2: "Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity" (as formulated in the Work Program 2014/2015).

8. Concerning SG VII on Addressing IP in Relation to Global Policy Issues (Table 1) and within the different biennia's Results Framework, Program 30 is due to contribute specifically to two objectives, VII.2 on "IP-based platforms and tools are used for knowledge transfer, technology adoption and diffusion from developed to developing countries, particularly least developed countries to address global challenges" and VII.3 on "IP-based tools are used for technology transfer from developed to developing countries, particularly least developed countries, to address global challenges" (as formulated in the Work Program 2014/2015).

(B) OBJECTIVES OF THE EVALUATION

9. According to the ToRs, the key purpose of this evaluation was to provide an analysis of the relevance, efficiency and effectiveness of confirmed outputs and outcomes of Program 30. Following the ToRs, the evaluation looks at the degree to which work by Program 30 fulfilled its targets, and its contribution to WIPO's SG in each Biennium, but will consider additionally how it was supported by other WIPO Programs and to what degree other Programs also benefited from Program 30, taking into account the risks and challenges recognized in programmatic documents. It makes use of WIPO's Results Based Management (RBM) Framework as per the Program and Budget Documents for the three biennia.

⁶ The WIPO Development Agenda also plays a central role in ensuring that all areas of WIPO's activities contribute to this SG. For more information, please see Annex 6.

⁷ According to the definition provided during biennium 2010/2011. Under the Biennium 2012/2013, it was defined differently "Clearly defined and coherent national innovation and IP policies, strategies and development plans consistent with national development goals and objectives".

10. The evaluation combines the primary purpose of accountability with the secondary purpose of organizational learning, by:

- (a) Informing Program Managers and WIPO Senior Management Team (SMT), as well as MS on the main outcomes and challenges of WIPO's Program 30 under SG III, IV and VII, and in particular the main outcomes generated and the challenges encountered (accountability purpose);
- (b) Identifying good practices that could be replicated throughout the Organization and lessons learned from the evaluation process in order to improve further similar evaluations (organizational learning); and
- (c) Providing specific, targeted and feasible recommendations to enhance Program performance.

Table 1 – SG III (Facilitating the Use of IP for Development), SG IV (Coordination and Development of Global IP Infrastructure), SG VII (Addressing IP in Relation to Global Policy Issues)

Strategic Outcome	Outcome Indicators
<p style="text-align: center;">III</p> <p>Greater use of IP for development</p>	<ol style="list-style-type: none"> 1. A strong focus on development throughout the Organization, with effective mainstreaming of the Development Agenda principles and recommendations in the work of all relevant Programs. 2. Increased number of developing countries, LDCs and transition economies with balanced policy/legislative frameworks. 3. Increased number of developing countries, LDCs and transition economies with strong and responsive IP and IP-related institutions. Greater use of IP for development. 4. A critical mass of human resources with relevant skills in an increased number of developing countries, LDCs and transition economies.
<p style="text-align: center;">IV</p> <p>A more efficient IP system characterized by effective access to and better use of IP information and knowledge</p>	<ol style="list-style-type: none"> 1. Increased efficiency of IP Office operations as indicated in reduced pendency times and reduced backlogs 2. Increase in the number and diversity of users of information and knowledge generated by the IP system 3. Additional platforms are created between IP Offices for enhanced voluntary, technical international cooperation
<p style="text-align: center;">VII</p> <p>International discussions on global public policy issues are fully informed about the role of IP as a policy tool for promoting innovation and technology transfer</p>	<ol style="list-style-type: none"> 1. WIPO recognized as the leading UN forum for addressing the interface between IP and global public policy issues 2. WIPO's input is increasingly reflected in international discussions on global public policy 3. IP-based mechanisms are established to address global public policy issues

Source: Medium Term Strategic Plan for WIPO, 2010 – 2015, Assemblies of the MS of WIPO, Forty-Eighth Series of Meetings Geneva, September 20 to 29, 2010.

(C) EVALUATION SCOPE AND METHODOLOGY

11. The evaluation makes use of a deductive reasoning and draws on data gathered in the context of the PPR documents, semi-structured interviews, surveys and additional reports and documents (see Annex III), and framed by the scope and methodology described below. It incorporates gender and equity considerations in its guiding principles and methodologies. It intends to uncover the main outcomes and achievements of Program 30, along with its challenges and possible gaps.

(i) Scope

12. The evaluation scope covers a five year period, 2010 to 2014, and takes into account the modifications made with the formulation of the Program and Budget 2010-2011 and 2012-2013 so as to incorporate the innovation domain into the Program (introduced during the 2012-2013 biennium). Changes made to the Program for the Biennium 2014-2015 (under implementation) and others which occurred before have been taken into account to the degree needed, namely for assessing ongoing relevance and formulating specific recommendations for future enhancements.

(ii) Methodology

13. The evaluation uses mixed methods (qualitative and quantitative) with the utilization of participatory processes, which promote the assessment of the experiences of all the participants, including groups in situations of discrimination or disadvantage, with the use of techniques that are inclusive and respectful of the socio-cultural contexts in which the evaluation is carried out.

14. It makes use of a Utilization-Focused Evaluation (U-FE), built on the premise that interventions should be judged by their utility, actual use, and deductive reasoning, where conclusions and recommendations are based on evaluation findings.

15. Further, this evaluation has put particular emphasis on triangulation (cross-validation) of information and data sources, and an assessment of plausibility of the results obtained.

16. Data was collected through desk-review of documents (Annex III), semi-structured in-depth interviews (meetings and conference calls) and surveys. Two surveys were developed and delivered to key beneficiaries of training activities (322 beneficiaries contacted relative to 14 training programs which occurred from 2010 to 2014⁸) and to those subscribing the English version of the WIPO's SME newsletter (25.174 subscribers contacted⁹), allowing for a greater reach to ultimate beneficiaries of SME assistance and a greater grasp of the Program's outcomes and impacts (an account of the final sample of respondents is available in Annexes IV and V).

(iii) Evaluation Norms

17. Evaluation is part of WIPO's regular oversight functions that are guided by the WIPO IOC. WIPO's Evaluation Policy, which is aligned to the Organization for Economic Co-operation and Development - Development Assistance Committee (OECD-DAC) evaluation criteria and quality standards and to the United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation in the UN System, provides the framework for conducting evaluations.

⁸ Yielding a sample size of 17% (54 respondents), with a confidence interval of about 12% for a 95% confidence level.

⁹ Yielding a sample of 2,1% (530 respondents) with a confidence interval of about 4% for a 95% of confidence level.

(iv) Criteria

18. The evaluation departs from the standard evaluation criteria of relevance, efficiency, effectiveness, sustainability, coordination and participation.

- (a) Relevance: Degree of pertinence of the program and its appropriateness and the extent to which objectives at all levels were consistent with beneficiaries' requirements, Member Countries' needs, relevant global priorities and policies.
- (b) Efficiency: Quality of program management, how economically resources/inputs were deployed and converted into results ("value for money"), an assessment of quality of service delivery and possible synergies achieved within WIPO and with other organizations.
- (c) Effectiveness: The extent to which objectives were achieved, or are expected to be achieved, taking into account their relative importance.
- (d) Sustainability: The probability of benefits continuing over the long term.
- (e) Coordination and participation: The degree to which the intervention has been able to promote and sustain an adequate level of coordination between different programs and stakeholders and participation of stakeholders, particularly women and vulnerable groups.

(v) Key Stakeholders

19. Key stakeholders consulted include the following main groups (further details are provided in Annex II): WIPO's management, management and staff of Program 30, representatives of other WIPO Programs; external experts; direct and indirect beneficiaries of the activities included in the evaluation.

(D) LIMITATIONS

20. Considering that Program 30 is being evaluated over a period of five years starting in 2010, coinciding with the date of establishment of a joint Innovation Division, the plausibility of a causal relationship (attribution, contribution) between WIPO's inputs and impacts (wider and longer term effects generated by outcomes) on economic benefits, employment and competitiveness have proved difficult to assess.

21. On the cost side, the efficiency could not be fully established for lack of a unified information monitoring and analysis system: lots of specific (i.e. activity related) information was provided by the Division. It was outside the reach and scope of this evaluation to provide a detailed efficiency analysis at this level of detail.

22. Changes in WIPO management have led the Division in charge of SMEs and Innovation to undergo several structural changes over the years, including in 2014 but also during 2015. Furthermore, some people who initiated and ran the Program are not part of the team anymore. However, this evaluation still features historical and institutional relevant information.

2. ORGANIZATIONAL BACKGROUND

23. Program 30 underwent a considerable amount of restructuring during the period of the evaluation. The SMEs Division created by decision of the WIPO Assemblies in September 2000 became part of the Innovation and Technology Sector in 2011. In January 2012, the Innovation Division was created, combining two different divisions, the former SMEs Division, later renamed Small and Medium-Sized Enterprises Section, and the New Technologies Division¹⁰ (2004 – 2008), which became in 2008 the Innovation and Technology Transfer Section. This restructuring also added a third focus to this Division, that of innovation policy, bringing closer together three communities of interest, policy-makers, SMEs and Universities. The new Innovation Division was organized in three Sections, the Innovation Policy Section, the Innovation Structures Section (ISS) and the Small and Medium-Sized Enterprises Section. The Innovation Policy Section kicked off a ground-breaking work in WIPO designed to bring two communities closer, the IP community and the innovation communities. It launched a series of country projects with the objective of reviewing their national innovation systems and to determine the extent to which IP had been or should be integrated into these systems. Another objective was to identify gaps and needs through direct interactions with innovation system stakeholders. This formed the basis for recommendations that were developed to assist countries in better integrating IP into their innovation policy making. Linking with the two other Section's work, the Innovation Policy Section provided useful recommendations to assess to what extent national stakeholders were aware of IP. It also provided guidance for both Governments and WIPO on supporting and integrating IP into innovation policies.

24. In November 2014, the Innovation Division was transferred from the Innovation and Technology Sector to the Department for Transition and Developed Countries (TDC) and renamed SMEs and Entrepreneurship Support Division. In May 2015, a departmental memorandum abolished the three Sections within the Division and thereby introducing a totally new organisational model in WIPO, based on focus groups. Four focus groups were created to replace the three former Sections: SMEs, IP Commercialization, IP Policies for Universities and IP Strategy Development in Countries in Transition.

25. This sudden restructuring, which occurred during the course of this evaluation, was accompanied by changes in the management of the Division's portfolio, which consequently influenced the mandate, staff allocation and job descriptions, in particular of those whose former responsibilities were transferred to other Sectors in other Divisions. The successful Patent Drafting portfolio within the Innovation Structures Section was transferred to Program 1 (Patent Law) in the Innovation and Technology Sector. This portfolio had been created specifically for universities and R&D institutions and developed in a strategic way to answer the needs of MS as a conceptual part of the IP Commercialization portfolio. As of November 2014, the Innovation Policy Section work was terminated.

¹⁰ The New Technologies Division, created in 2004, dealt with Intellectual Property Rights (IPR) management issues at the national and institutional level, focusing in particular on academic institutions.

3. FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

26. Evaluation findings are described below according to the five evaluation criteria. The corresponding conclusions are accompanied by a set of recommendations as applicable. All recommendations should, in the view of the evaluation team, be acted upon by the Department for Transition and Developed Countries and the priorities and time frame should be discussed during the feedback process after issuance of this report.

(A) RELEVANCE

27. Contribution of the Program to SG III (greater use of IP for development) is substantial. From the first biennium to the second, the SG to which the Program responds were enlarged to encompass, beyond SG III (the original), SG IV and VII (which also addressed the innovation part of the Program, integrated at a later stage).

28. A wide array of stakeholders interviewed (including staff from other WIPO's departments, Regional Bureaus, External Experts), the desk review and the two surveys conducted (which analysed a whole array of products and services produced by the Program along with capacity building activities and support to awareness raising) confirmed that most activities conducted under Program 30 were considered relevant. Close cooperation between the MS who requested assistance and Program 30 allowed tailoring activities in a way to cater to their specific needs.

29. Before the introduction of the focus group organisational model in March 2015, the Innovation Structures Section has integrated a Head of Section and one professional staff. Despite the reduced amount of human resources (previously there were five to six professional staff), this Section managed to develop new streams of work (e.g. IP Commercialisation, IP Marketing and Valuation). It also managed to upgrade existing programs (Patent Drafting, Successful Technology Licensing (STL), IPR Management for Universities, etc.) by revising materials (new edition of the STL Guide which included a complementary part on competition law and pro-competitive licensing practices), translating documents to new languages (Patent Drafting Manual in Vietnamese and Lithuanian), creating new programs for very specific research areas, and by constantly enlarging the scope of partners in order to be able to deliver in line with increasing and more sophisticated demands of MS. In that context ISS delivered an impressive amount of work. This Section's work got public recognition in 2014, culminating in the Head of Section receiving a WIPO award for exceptional results beyond expectations. Interviewed stakeholders have referred to this Section as being extremely active, participative and permanently receptive to new ideas. A noticeable challenging characteristic of this line of work is the level of customisation needed to approach IP and market issues within the specific context of the assistance provided.

30. The ground-breaking work of the Innovation Policy Section consolidated a new work stream for WIPO, which decided to continue pursuing and enlarging it by transferring it out of the SMEs and Innovation Division. However, no collaboration has yet been envisaged with the Section responsible for its creation.

31. There is evidence of a substantial demand for SME-related type of services in the field of IP. This evaluation noticed several calls from Regional Bureaus, MS' IP offices and survey respondents for more training, seminars, awareness raising activities (in particular for developing, least-developed and transition countries), more case studies, for facilitating good practice exchange and for a wider coverage of assistance to a larger range of countries.

32. However, a considerable reduction (50%) in staff available to deal with SMEs-related activities (from eight professionals at the end of 2011 to four from October 2012 onwards) has dented the ability of the SMEs Section to continue offering its services with the same quality standards. Following the reorganization of May 2015, the staff strength of the SMEs Section/Focus Group is further reduced to three professionals. Notwithstanding the aforementioned adverse developments, the SMEs Section continues to cater to MS' demands and started working based on a project-based approach in order to continue to address the substantial needs of MS in regard to IP and SMEs.

33. There is strong support for the continuation of WIPO's work in support of SMEs, universities and R&D institutions. Political support for these sorts of activities is broad and is very well distributed across regions. All Regional Bureaus, Regional Group Coordinators and national IP institutions contacted¹¹ did support and recognize the importance and relevance of this Program for WIPO. The Regional Group Coordinators representing mostly countries in transition and developed countries were less informed about Program 30 than those from the remaining regions.

34. At WIPO, SME support has existed for over ten years. But Program 30 underwent a considerable amount of restructuring, in particular during the last five years, corresponding the period of this evaluation. However, considering the respective PPRs, performance of Program 30 has been so far considered satisfactory.

35. Since 2011 a new debate has arisen as to its value added which in 2013 led the Secretariat to propose to decentralize the Program and to streamline its resources within the Development and other substantive sectors. At the request of certain MS, Program 30 has been kept under the responsibility of the SME and Entrepreneurship Support Division (or SES Division as of November 2014) for the current biennium. The detailed reasoning behind the recent structural changes mentioned above could not be clearly established by the evaluation.

36. Following these recent discussions and developments, the evaluation has tried to collect stakeholders' views as to whether there is a rationale for SME support in an institution such as WIPO. It has also assessed if demand exists for current WIPO's products (e.g. publications) and services (e.g. awareness and training activities) and what would be the most efficient and effective way to fulfil it. Questioning the rationale and need for this (as for any) Program is legitimate. As stated by one of our interlocutors, we may need to look beyond the repeated mantra of SME's constituting the bedrock of the economy. We need to put this into the organization's context and make suggestions on how SME support contributes to the fulfilment of WIPO's overall goals.

37. Interviewed stakeholders pointed to mixed evidence in the literature for IP related type of support to SMEs and the need for a more in-depth analysis into these issues. For instance, if more specific trainings rather than awareness raising activities might be better suited to create awareness for IP or whether IP tools are the best supporting tools¹² is still to be gauged.

¹¹ Some Regional Bureaus decided to contact their national capitals directly. These subsequently contacted national offices, including national IP offices to ask for further information.

¹² One of the respondents argued there might be better suited policy tools to support more effectively SMEs, considering market failures these suffer from, such as access to finance, which could do more for SMEs than IP policies.

38. The IP system continues to be grossly underused even in the large enterprise sector in the developed world. An estimated average of 90-95% of SMEs does not use the IP system. Market and system failures usually determine public domain intervention. These types of failures have to be more clearly identified for a combined range of relevant criteria (geographical, development, public/private sphere, firm-life cycle), to better establish the gap and the potential value-added of WIPO's interventions. In parallel, assessment exercises conducted in the past may need to be revived and fully taken into consideration during the future planning of the Program.

39. One of the niches for WIPO's work appears to be technical assistance and training. However, WIPO has not been able to fully establish how the linkages between the more micro level type of assistance to SMEs, provided through Program 30 are connected to more macro level streams of work, namely in what regards the linkages with national IP strategies, integration of IP with innovation policies, and how this trickles down back to the entrepreneurial fabric.

40. There is scarce evidence of gender disaggregated data for the organization. The gender policy was published in August 2014 and accompanied by a gender action plan, whereby program managers were asked to include gender considerations in their programs. Within Program 30 some attention was given to gender. If not deliberate, the survey to Training of Trainers (ToT) beneficiaries reveals that an average of 43% (during the 4 years of ToT activities) were women. The Program is conducting a gender issue survey (first conducted in 2014, and currently undergoing a follow-up). The annual WIPO-KIPO-KWIA International Workshop for Women Inventors and Entrepreneurs organized by the Division, which benefits a large number of women inventors and entrepreneurs from developing and least-developed countries has been very popular and widely appreciated. The evaluation also uncovered that some of the virtual characters in the 13 modules of the IP Panorama were specifically chosen to be women. ISS set up a questionnaire for innovation and gender for Asian countries beneficiaries of WIPO/ Funds in Trust (FIT) Australia program on Technology Transfer, where they looked at the percentage of women participating in innovation activities in the region, their professional level and access to management positions as well as potential challenges for their greater involvement in IP commercialization processes.

41. Furthermore, in collaboration with WIPO Human Resources, a video conference was organized for women entrepreneurs in Africa and a project was recently proposed to set up a task force to discuss how WIPO can support strong empowerment of women to use the IP system, which is at the moment still being considered for approval at that moment. An invitation was received by the UN program for Women (UN agency) to create a UN comprehensive platform for empowering women, which will include IP specific trainings.

42. Human rights and dignity were not explicitly part of the strategy of Program 30. Reported evidence points to an inclusive and non-discriminative and inclusive approach in the conduct of the Program. Moreover, the survey to ultimate beneficiaries of Training of Trainers activities reveals that all of those who responded felt they were treated with respect.

Conclusion 1: Overall, the Program is considered very relevant and delivered on its objectives. There were however some shortcomings and a number of management challenges which negatively affected the implementation of the Program.

43. Program 30 remained highly relevant to MS. It provided the right types of support, which combined over the time period policy dialogue in support of integrating IP into national innovation policies, a wide range of capacity building and awareness-raising activities and publications, amongst others. The majority of stakeholders appreciated the pertinent work done and attested specific benefits.

44. Political support for Program 30 is broad and well distributed. It is the general view of Regional Bureaus and MS that the continuation of Program 30 is of paramount importance.

45. A few of the interviewees have exposed some reservations as to whether there is a justified niche for serving SMEs in WIPO, as support is already provided by national IP offices, who are closer to SMEs contexts and realities. Moreover, most MS have programs to address SME needs. This evaluation appraised in detail the views of the stakeholders concerning this specific issue. The existence of a valid niche for assisting SMEs at WIPO is acknowledged by the interviews conducted with top level management, most Program Directors, all Regional Bureaus, most MS, and the national IP offices that were contacted. Moreover, the responses obtained in the two surveys, the satisfaction levels and the suggestions for improvement provided demonstrate that there is a role for WIPO in this domain.

46. IP commercialization entails a considerably specific know-how, acquired by this Program's staff. Beyond demands from new countries, the Program is facing more sophisticated and customized demands from MS who know precisely what they want (for instance, there was a specific request for a regional project of IP commercialization in Asia).

47. Despite some shortcomings, this evaluation has identified that the Program team worked professionally, in a context of substantial structural changes, reallocation of staff to new functions and staff turnover, and despite the distress and anxiety caused by the whole process.

48. SMEs institutional level innovation and national innovation policies are all transversal topics across WIPO. A decentralized organizational structure brings the risk of diluting responsibilities within a vast organization such as WIPO. Similarly to other cross-cutting Programs in WIPO, Program 30 should work in a cross-cutting manner and should maintain the needed resources, know-how and expertise.

Conclusion 2: Project objectives and activities were relevant to the target beneficiaries and other stakeholders.

49. The Program scored high on relevance, which can be credited to the Program's formulation, implementation and team, who developed high quality and high valued publications, trainings and activities. Publications and training activities were well tailored to the specific needs of target beneficiaries. Despite the above mentioned challenges, the Program managed to deliver well on planned activities and respond on time and in good quality to MS' requests. Program delivery can still be improved through an even more on the ground approach in particular for ToTs, better segmenting of the audience and tailoring of contents.

50. There is a call for WIPO to broaden the geographical coverage of its assistance to let more countries, academic institutions and SMEs benefit from its activities. There is also a call for more publications, in particular on how LDCs and countries in transition can better benefit from IP.

51. Trainings are initiated by WIPO's MS that is they are not provided without a request from a MS. This evaluation had found no evidence that Program 30 has left any MS's requests for training and awareness raising activities unanswered.

52. Efforts of the Division should be geared at developing demand for SME's IP take up and absorption, so as to generate demand in developing countries.

53. The aim of the DA is reflected in the demand for a more holistic approach to the enforcement of IP utilization by SMEs, universities and research centres.

Recommendation 1:

Stabilization of the Organizational Structure and Improvement of performance framework and assessment:

- a) The organizational structure of Program 30 needs to be stabilized as soon as possible, to allow delivery of all expected results by the Program staff.

- b) Program 30 should be re- assessed after the end of the current biennium on the basis of a revised RBM framework that enables to centralize the wide range of products and services to SMEs, Universities and research centres in a unit such as a Division.

Failure to implement this recommendation can lead to substantial underperformance of the Program.

(Related to Conclusion 1)

Recommendation 2:

Program 30 needs to develop more extensive and customized online platforms. This should ensure greater cost-effectiveness and reach of activities, while on the other hand focusing on more customized types of support to certain MS and national IP offices in reaching out to SMEs needs.

(Related to Conclusion 2)

(B) EFFICIENCY

(i) Financial Efficiency

54. According to the PPRs for the biennia 2010/2011, 2012/2013 and 2014/2015, the total disbursement for Program 30 amounted to: 9,723,000 Swiss Francs for the biennium 2010/2011 (restated budget after transfers), 9,816,000 Swiss Francs for the biennium 2012/2013 (budget after transfers) and 6,697,000 Swiss Francs for the biennium 2014/2015. Program 30 spent on average 8,745,000 Swiss francs per year during the last three biennia. Program 30 also benefitted from contributions by other Programs, notably Program 9. Activities were also financed by different FITs, in particular FIT Australia during the period 2013/2015. As explained in section two, because of time and budget constraints, this evaluation could not provide an efficiency analysis at the level of specific projects, activities or events.

55. Mission budget per staff has increased during the first two biennia, given the requested focus on training activities, which became the predominant activity of Program 30 (from 44,000 Swiss Francs for the biennium 2010/2011, 74,000 Swiss Francs for the biennium 2012/2013 and decreasing 15,000 for the biennium 2014/2015). On average, mission budget per staff amounts to 22,200 Swiss Francs per year.

(ii) Efficiency of approach

56. Delivering key services aimed at building awareness and raising SME's capacities for IP and its commercialization has contributed to the achievement of the results reported in section 4 (A). A satisfactory level of customisation of the assistance provided has been noted, in particular in what concerns the work developed by the two Sections focusing on Innovation. Events were attended by a mixed audience. Regional and sub-regional events provided participants with the opportunity for experience sharing and networking among colleagues in different countries. In line with the strategy adopted in other Programs, Program 30 used a "Train-the-Trainer" approach for SME oriented type of trainings (which represents around 40% of total training activities of the Division), to broaden the reach and impact of its training activities.

57. However this evaluation could not fully establish if resources could be better used elsewhere in the organization.

(iii) Organizational Efficiency

58. The Program focused on activities and its delivery, therefore less effort was put on developing suitable mechanisms for the collection and real-time monitoring of internal data. At the time of the evaluation records of Program monitoring focused mostly on activities, and reporting formats were not harmonised across biennia and Divisions, making it difficult to assess outcomes and impacts. Practical application of the logical framework throughout could be one way to ensure that basic quality requirements serving the need of proper project cycle management are met.

59. Although, some data are available, there is no unified information management and monitoring system implemented.

Conclusion 3: Despite progress over the evaluation period, the proper application of RBM principles both in designing and monitoring Program 30's activities still leaves room for further improvement

60. The application of RBM principles in Program management, including the definition and use of performance indicators has improved over time during the three biennia, but still has to evolve so that indicators become objective, specific and more easily measurable. The results framework does not often clearly define baselines, targets and instruments for indicator measurement and does not accurately reflect the output/outcome character of the indicator in its formulation. Linkages between strategic objectives, expected results, specific output targets and activities need to be better formulated.

61. There is scope for considerable improvement for making output indicators more specific and measurable. Given the wide range of activities, output indicators are a good way of keeping track of the amount of services provided. However, some could also be translated or used in parallel with derived outcome indicators.

62. In line with similar suggestions made in other evaluations, disbursements made by the Program should be tagged in a way that they can be attributed to the corresponding SG and easily accounted for.

Recommendation 3:

Program 30 should develop a more complete logical framework, with more specific performance indicators. More precisely, the Program should:

- a) Better link activities with outputs, outcomes and impacts, along with timeframes to provide a clear picture of the work of the Division;
- b) Better link expected results to SMART objectively verifiable indicators. Where monitoring requires significant resources (e.g. surveys), these need to be included into the budget;
- c) Define a clearer logical link between the outputs and outcomes that better intertwine SMEs and innovation support, and include tools that allow monitoring in a consistent and harmonized manner across all streams of work including additional activities undertaken by the Program; and
- d) Include indicators that enable to provide disaggregated data by gender and other variables conducive to a suitable equity analysis.

(Related to Conclusion 3)

(C) EFFECTIVENESS

63. The effectiveness of the Program has been difficult to assess with the indicator frameworks used so far for lack of clarity on enough specific and adequate output and outcome indicators (see also Annex I).

64. From the assessments conducted by this evaluation, the desk review, the interviews and the two surveys to ultimate beneficiaries, there was overall positive feedback concerning capacity building, training and awareness raising events. An average of 65% of the two survey respondents consider themselves familiar with WIPO's work in favour of SMEs and rate it as satisfactory. This includes the development of materials tailored to SMEs specific needs (used in the training and capacity building initiatives), and the identification of good practices of using the IP system by SMEs (such as the IP Advantage database). Respondents of both surveys rate the IP Panorama toolkit, WIPO's distance learning programs and WIPO's Training for Trainers (SMEs) as very satisfactory.

65. External factors to the Program, such as the inability to hire and replace staff, related to administrative delays within the Organization to fill these positions, have hindered the capacity of Program 30 to better fulfil its objectives.

(i) Innovation Structures

66. In 2012 and 2013, over 40 events were organized by the Innovation Structures Section in coordination with other WIPO units, such as Regional Bureaus and TDC, from regional seminars and trainings on innovation management, patent drafting workshops, workshops on innovation and technology transfer to interactive workshops on specific industries (as for instance the Information, Communication and Technology - ICT). In 2014 only, the Section organised 32 events (from awareness raising in regional and sub-regional workshops, to more technical national workshops on patent drafting, technology management and IP commercialization), which originated a variety of deliverables from tailored thematic to specific county or regional projects, capacity building programs and trainings, covering the whole spectrum of IP commercialization from patent drafting to IPR management, IP marketing, IP valuation and STL, to customized programs for particular scientific audiences and sector clusters. Further, this Section has been working horizontally with several other WIPO Divisions and numerous external partners and has several other activities running in parallel, from curriculum development for academic courses to lecturing in Universities.

(ii) Innovation Policy

67. Since October 2012, the Innovation Policy Section (initially staffed by a Head of Section and another professional staff, as of mid-2013 only the Section Head remained), implemented six country projects, four¹³ of which have been finalized and sent to the respective countries. The two remaining¹⁴ are being currently finalized. In addition, a literature review of IP in innovation policy making is also in an advanced stage of completion.

(iii) SMEs Training of Trainers activities

68. The SMEs ToT programs (whose organization includes consolidating the final program, elaborating its contents and selecting international, regional and/or national experts) are worked out and finalized in close coordination with the Regional Bureaus, the concerned permanent missions and/or the IP office. The focus of the ToT program varies, that is, it is customized, depending on the expressed needs or demands of the concerned country.

¹³ Two in Africa, one in Asia and one in Europe

¹⁴ Two in Latin America and Caribbean Region

69. During the 2012/13 biennium 29 seminars, workshops and ToT programs for SMEs and SME support institutions were organized benefitting some 1.525 participants. There is a substantial amount of overlap between the ToT organized and conducted by the WIPO Academy and that of the SME and Entrepreneurship Support Division (SESD). From the two samples of ToT trainings analysed (one from the WIPO Academy and the other from the SES Division), a variety of modules is identical or quite similar. In the WIPO Academy ToT, with a focus on training skills for future trainers. However, from the documents analysed there were only two workshops focusing on the design of a curriculum for SMEs, and none on the needed competencies to be a trainer (either oral skills, presentation skills, organization of contents, etc.), with most of the sessions focusing on awareness raising about a series of nonetheless relevant IP topics for SMEs. On one hand, the title ToT for SMEs chosen by the WIPO Academy is misleading, when the overall goal is providing generic training skills for trainers to be able to later deliver effective trainings, such as those on SMEs related issues. On the other hand, the ToT organized by SES is also misleading as it does not focus on trainers' competencies for providing training, but has most sessions oriented towards delivering training on how best SMEs can apply and benefit from exploring IP within their business.

70. According to the survey of ToT participants, the trainings through experts responded to their expectations. These were very satisfied with all the following issues: the relevance of the course with respect to the audience, the quality of the presentation and communication skills of the speakers, the quality of the content and information presented and the training materials provided.

71. The survey administered by email to 322 SME ToT beneficiaries (which includes 14 ToT conducted by the SME/Innovation Division from 2010 to 2014) is well balanced gender-wise as 47% are of trainees are female trainees. In addition, 84% of total trainees originate from developing countries. Only a minority of the audience are SMEs (14%, with an average size of 1, 3 full-time employees). A quarter is University/Research staff, 22% are government officials, 20% are attorneys, 6% originate from public agencies, and 14% belong to other professional categories.

72. The relevance of the existence of this activity is substantial and is justified by the impacts it has had on trainees' capacities. On average, respondents reported being very satisfied with the training they received, and this is consistent to the level of satisfaction indicated for the following specific parameters included in the survey: relevance of the course with respect to their needs, audience, quality of the content and information presented, quality of the presentation and communication skills of the speakers, and professionalism. An overall 41% of respondents had participated in other WIPO trainings, indicating that they have a comparison benchmark. Moreover, 64% disclosed being familiar with WIPO's work for SMEs, however only half (47%) reported subscribing to the SME newsletter, which means there is room for better marketing and sensitization campaigns of WIPO's SME support instruments during ToT activities. Furthermore, 93% reported having their skills/knowledge increased as a result of the training, while 74% reported applying or putting into practise any of the knowledge and know-how they have acquired during the training. In terms of specific impacts, the highest percent of the marks went to trainees acquiring greater knowledge about the subject (86%), followed by better planning of IP and innovation activities (60%), enhanced awareness (52%), better knowledge about how to take advantage of opportunities (50%), better application of new concepts and ideas learned at the training (48%), greater preparedness to face the market (38%), higher efficiency and quality (36%), and better preparedness to take calculated risks (31%).

73. From those who responded to the question (72%), all agreed they would take another training run and would recommend this training to others. However, of those who responded to the question (69%), only a quarter (24%) mentioned that following WIPO's training they had conducted themselves as trainers, training for SMEs.

74. Request for follow-up from some countries reveal the interest in deepening practical trainings into more specific economic sectors.

(iv) SME Newsletter and SME website

75. A total of 56% of subscribers of the SME newsletter are SMEs with a fairly small average size (two full-time employees). Both surveys reveal that subscribers are satisfied with its content and consider the newsletter useful.

76. The SME site does not have an access link through the main webpage of any other related page. The site seems to be isolated and not communicate with other related online WIPO webpages.

(v) Publications

77. Although the core aim of this evaluation did not specifically include at the outset an assessment of Program 30's publications, it nonetheless approached the issue, by not only including questions in the SME newsletter subscriber survey, but also by approaching it during the interviews, which allowed a fair assessment of their individual relevance and usefulness. These uncovered that Program 30 authored and created new and well considered content¹⁵. The vast majority of subscribers who have downloaded WIPO's SME publications have used them (from the 40% of respondents who answered the question, 86% downloaded at least one publication and 68% has used them, with all but one publications having a downloaded versus used ratio above 70%), indicating that even though these have not been updated for some time, they are still used and kept relevant.

78. Following this wave of innovative publications, WIPO's management decided to rationalize and stop publishing in this area in order to focus on training activities. Program 30 stopped updating, customizing, translating and authoring new publications, with the exception of a forthcoming study on Colombia, produced jointly with the Chief Economist. In 2013-2014, the Economics and Statistics Division and the SMEs section coordinated efforts to eliminate duplication in addressing two similar requests from the same institution in Egypt for conducting a study. Some voices aired that publications were not focusing on the specificities of SMEs, concentrating too much on patents and trademarks manuals, thus duplicating other work at WIPO. The main rationale behind the publications authored and coordinated by the SMEs Division is to provide a more straightforward approach to this field, that is to simplify and demystify IP concepts and processes for a wider and non-technical SME audience, by reducing as much as possible the legal jargon and including as much as possible the relevance of IP from the perspectives of business. The fact that these publications have been customized and translated by a large number of countries over the years renders testimony to its relevance. However, only a comparative analysis of publications by subject-matter experts could lead us to a more substantiated conclusion.

79. A few overlaps with other Divisions' publication work have recently become more evident. For example, the publications created by the Creative Industries Division (which now has become a Section), are also business oriented publications for SMEs in the copyright business. There is scope for better cross-Division coordination and synergising in this area.

80. Publications can be done more cost-effectively by moving away from paper, which is already a trend in WIPO. A WIPO digital publication can be equally widely disseminated to national IP offices, as well as customized and translated.

¹⁵ Namely with flagship publications (some published before 2010), such as "Creative Expression", "Exchanging Value", "In Good Company", "Inventing the future", "Looking Good", "Making a Mark", "Making Intellectual Property Work for Business", "Marketing Crafts & Visual Arts: The Role of IP: A Practical Guide", "Norwegian SMEs and the IPR system: Exploration and Analysis", "Secrets of Intellectual Property", "Stitch in Time".

81. WIPO can thus continue to assert and further heighten its role in new content development within the scope of its assistance to MS (with for instance guidebooks for training and awareness raising) and in disseminating and adapting particular publications to different countries' realities.

(vi) IP Panorama

82. One of WIPO's flagship products in this domain is the IP Panorama multimedia Toolkit, produced in cooperation with KIPO. The IP Panorama Toolkit has been translated, among others, into the five UN languages and customized by India. The IP Panorama is used as the main learning support instrument during SMEs ToT programs. A mobile version of the IP Panorama is expected to be launched in 2016.

(vii) Other activities

83. Beyond the above reported activities, this evaluation has uncovered additional work not totally accounted for in the work program (as it did not translate into any financial transaction), such as providing teaching activities for a joint WIPO - University of Torino Law Master (LLM) course at the University of Torino, teaching on IP commercialization at the University of Singapore (Faculty of Law), curriculum development for IP commercialization for Center for International Intellectual Property Studies (CEIPI, Strasburg) and within the diploma course "Advanced Training Course on Intellectual Property, Technology Transfer and Licensing".

84. Moreover, important activities under the FIT Australia (responsible for 30% of ISS total deliverables) were not featured in the Division's performance reports (even though ISS made available in-depth evaluation results regarding relevance and quality of programs delivered under WIPO/FIT Australia program for the period 2013–2015).

Conclusion 4: At the output level, the Program performed satisfactorily.

85. Planned results as defined in Program and Budget were in general achieved. Over the three biennia there was substantial change in indicators, and also some overlap. Thus, this evaluation used a selection of indicators that reflected unique measurements, subsequently rearranged in accordance to a combination of entity/activity concerned, for easiness of interpretation and more obvious linkages with the SG (Annex I). Six of the selected indicators (four output indicators and two outcome indicators) were considered hard to measure due to their broad character and noteworthy attribution issues. For six of the remaining seven indicators (three output indicators and four outcome indicators), proxies were used based on the desk review and the two surveys delivered, with a positive assessment. For the seventh, an outcome indicator, the assessment was tentatively unsatisfactory due to what was considered a low impact, but benchmarks are needed to define what reasonable targets might be.

86. While MS are aware of the activities of the Program and its importance, little is known by most MS and Regional Bureaus concerning its actual performance. A limited amount of information is available, which gives rise to unfounded arguments about the underperformance of the Program.

87. There is scarce evidence of duplication of the work specifically serving SMEs in the organization, except for that which concerns ToT. There is a substantial amount of overlap between the ToT organized and conducted by WIPO Academy and that of the SMEs Division. There is an inconsistency between the name of the training, its content and the targeted audience for both cases.

88. Producing publications can be justified, in particular for content development for trainings and for some specific audiences, such as those in more developed countries. For instance, various national IP offices in Europe are now focusing more on SMEs and in parallel have been producing more publications (e.g. Spanish case), as they have become closer to help desks for

SME's because they no longer deal with registrations and also have less resources. Despite the greater emphasis put on SME publications at the national level in European countries, it does not mean there is necessarily a lesser role for WIPO to devise and advance with its own publications, as national IP offices do not know as much of Hague and Madrid Protocols for instance and can benefit from a broader overview provided by the international experience of other countries.

Recommendation 4:

Program 30 should collaborate more closely with the relevant departments in WIPO. More precisely, the Program should:

- a) Centralize requests for SME trainings and harmonize its offer for trainings with that of other departments (in particular the WIPO Academy) while keeping them customised to specific audiences;
- b) Send regular briefing notes to Regional Bureaus and countries' capitals, accounting for its activities and achievements, and bringing awareness to the range of activities at their disposal;
- c) Make accessible the WIPO's SME site through WIPO's and other Program's homepages, and update it more regularly in coordination with the Communication Division. Past publications need to be updated or put under historical publications in the website; and
- d) Share more specific country information, in particular with developing countries, regarding the SME newsletter. More real life practical examples, case studies and better targeting in terms of sector, areas of expertise and specific audiences are deemed relevant. The language must be simplified to reach wider audiences.

(Related to Conclusion 4)

Conclusion 5: At the outcome level, the performance of the Program is positive, albeit harder to establish with the current RBM frameworks and monitoring mechanisms in place.

89. Activities are documented through detailed and meaningful reports, which also include an assessment of quality for training activities. However, the internal reporting systems are basic and seem to be more focused on outputs than on outcomes and impacts, making it harder to assess the former with clarity. That might be the reason why in some performance assessments (such as in 2012-2013), some outcome indicators were reported hard to be assessed, giving rise to remarks as to the relevance of the available documentation and data reported, and the easiness of accessibility, data collection and verification.

90. Furthermore, indicators were not sufficiently specific to measure the Program's outcomes. They were suffering from attribution issues, amongst other flaws, and in general, selected indicators were not SMART.

91. The surveys delivered revealed a number of positive outcomes, but effectiveness could still be enhanced. ToT had medium to long term impacts in the beneficiaries' career, 74% of respondents put into practise the knowledge and know-how they acquired in the training. All of the respondents would recommend the training to their friends or colleagues and would take another training if provided. However, only 24% of trainees went on doing training themselves after being trained by WIPO (33% for SMEs), which leaves a margin for delivering greater impact. The combined results of the two surveys rated WIPO's work for SMEs satisfactory and ToT were considered very satisfactory.

92. In the future, more mechanisms to enhance, establish and measure impact can be implemented, through baseline data originating from country's micro-data and by developing in-house databases to monitor progress of assisted SMEs.

Recommendation 5:

To improve the outcomes and the way they can be measured, please refer to Recommendation 3. Hereunder, IOD makes a few suggestions for further improvement of specific outcomes:

- a) In ToT, more SME participation ought to be assured, along with better targeting and hence tailoring of trainings to different types of audiences, along with the delivery of customised trainings for particular business sectors;
- b) Stronger collaboration with the Economics and Statistics Division could be developed, due to the complementarity of expertise, and the potential for synergies for SME data generation and also for the elaboration and release of technical publications. Demand from the MS must also be matched with the right kind of support for the sake of efficiency and scarce resource allocation; and
- c) Similarly, more than continuing to respond to requests originated in countries, the Program should also take a more pro-active stance, by reaching out, in concertation with Regional Bureaus, to those that have not yet benefited from the Program's services.

(Related to Conclusion 5)

(D) SUSTAINABILITY

93. Sustainability of results was explicitly part of SG III, IV and VIII. No sustainability strategy for the Program has been articulated so far.

94. Relevant efforts were undertaken to increase chances to maintain and further strengthen capacities built at the national level. Examples include supporting MS to implement their own strategies notably in the field of IP awareness raising to SMEs; the shift to more indirect types of training, thus strengthening training institutions and individuals interested in provided training in their country; assisting MS in preparing IP policies and integrating them with existing or new innovation frameworks; and the provision of continued support to the transfer of technology from Universities and research centres.

95. According to the survey to training beneficiaries, the relevance of the existence of the ToT is substantial and is justified by the impacts it has had on trainees' capacities over time.

Conclusion 6: The Program's results stand a good chance of having lasting effects and are overall considered sustainable.

96. The continued and more sophisticated requests faced by the Innovation Structures Section to assist LDCs and developing countries in their efforts to acquire technical scientific research skills, develop their skills for negotiating technology transfer and implement appropriate technologies, find the right commercial partners, and the reported satisfaction levels with these initiatives indicates demand for these types of services will most probably withstand in the near future. This also indicates a strong niche to be further exploited by WIPO.

97. There were a number of important indications pointing to the lasting effects in target countries for ultimate beneficiaries. The methodologies and tools developed by the Program, also for those developed in collaboration with other entities (such as the IP Panorama) still finds good acceptance among a wide variety of stakeholders. However, these tools and methodologies could be made available to an even wider audience, by for instance being more regularly promoted during the ToT sessions and through the SME newsletter. The SME site

could also do more to showcase the material developed and the range of activities, by featuring more regular updates and links to the homepage and other related IP sites.

98. By directing capacity building initiatives towards strengthening training institutions' capacities to deliver more training to SMEs in their own countries, sustainability was enhanced. This approach should be continued in the future, as it is not only more cost effective (as it is due to reach wider audiences), but is also more likely to contribute to sustained results. Furthermore, in what concerns ToT activities specifically, better targeting can still be exercised to make sure that in ToT, those selected are truly potential trainers, and that in IP related training directed at SMEs there is an audience composed by the intended demography of firms. The survey for ToT beneficiaries reported that only a quarter of those trained moved on to providing training. This might be related to the fact that not all of those who attended the ToT sessions are due to be or aspire to become a trainer on IP issues for SMEs (such as many SMEs and entrepreneurs, more concerned with running their daily businesses).

99. There is scope and demand for continuing to support MS to build their own strategies, notably in the field of awareness raising, preparation and implementation of their own programs for disseminating the value and role of IP asset management for SMEs, along with national and regional capacities support towards integrating IP systems into innovation policy and structures. In addition, the level of ownership at the country and regional level was good, and MS have demonstrated their interest in continuing to benefit from these activities.

100. There is some evidence that demand for these types of products and services might be increasing at a higher rate from developing countries than from developed countries.

101. To a few stakeholders, the SMEs and Entrepreneurship Support Division appeared to have worked in isolation, without a clear long-term strategic thinking. The restructuring of the SMEs and Innovation Division, still occurring during 2015, might have also contributed to that perception.

Recommendation 6:

Program 30 should work on including a sustainability component to interventions through developing a tailored approach to support MS, using a combination of countries' development stages, IP and innovation adoption levels, and SMEs life-cycle stages. In particular it should:

- a) Develop a methodology to guide the priorities for assistance. MS requests would then be answered according to an agreed "framework";
- b) Develop mechanisms to assure that in awareness and training activities, countries provide the intended type of participants to maximise impact; and
- c) Create more linkages and exploit synergies between the SME and the Innovation Structure streams of work to ensure greater impact to key beneficiaries and for effects to trickle down from Governments, their policies and research institutions to their smaller firms.

(Related to Conclusion 6)

(E) COORDINATION AND PARTICIPATION

102. Program 30 was able to achieve a positive level of coordination among Regional Bureaus and other Programs, which contributed as co-organizers and co-financers of Program 30's activities. Reported characteristics attributed to Program 30 are receptiveness, responsiveness, willingness to take an active part in any activity and service orientation. This is also evidenced by personal observation during the evaluation.

103. Good cooperation was reported namely regarding licensing projects, such as the European Commission's (EC) Joint Research Centre (JRC), the European Centre for Nuclear Research (CERN) and the National IP Strategies with Development Agenda Coordination.

104. Professional skills, human capital and experience in the area of IP commercialization are major challenges for most developing and emerging economies, their SMEs, universities and research centres. According to the Program's records, immediate feedback from participants of ToT activities was positive, leading the Program to receive a number of requests for follow-ups, in particular in what regards more customized training for specific economic sectors and specialised categories of potential entrepreneurs/job creators, such as University Professors or experts.

105. A number of UN organizations and other international institutions (for instance, the Organization for Economic Cooperation and Development (OECD) developed recommendations on IP for SMEs for the developed world) also work on these themes. Coordination across organizations, namely within the UN can also be enhanced.

106. Though the reported interaction of Program 30 across WIPO has been deemed very positive, there were occasions where overlap was observed, mostly due to absence of stronger communication and tighter coordination. The ToT for SMEs provided by both the Academy and the SMEs and Innovation Division suffer from several overlaps, both in content and target audience. There is also scope for stronger collaboration namely with the Economics and Statistics Division. Joint long-term strategies between these Divisions do not currently exist.

Conclusion 7: There was good coordination, although there is scope for improvement across the organisation

107. With very few exceptions, all internal and external stakeholders interviewed commended the excellent cooperation with management and staff of Program 30. Specifically mentioned were responsiveness, willingness to participate and service orientation.

108. While areas of cooperation within WIPO are clearly identified in the successive Program and Budget documents, neither specific coordination mechanisms nor joint activities or respective roles are determined. Where several Programs are involved into specific clear working coordination mechanisms should be defined.

109. The Program reports a number of joint activities with other international organizations. Few of them have however led to readily assessable and summarized results (e.g. FIT Australia). A way to provide evidence for more tangible outputs and outcomes in what concerns joint activities realized in partnership/coordination with others would be to list, describe and clearly formulate joint projects with partner institutions. By mapping specific areas for collaboration, and by listing and describing their scope, projects' aims and targets could be more clearly formulated.

110. There is a role for WIPO to play in providing a coordination interface between different countries and their national institutions, namely IP offices (international and national and between national levels) and Chambers of Commerce for good practice and information dissemination. There is also scope for better coordination within the UN system and with other

international organizations such as the World Trade Organization (WTO), the OECD and the World Bank (WB).

Recommendation 7:

Program 30 should improve coordination internally and externally through:

- a) Defining clearer working coordination mechanisms where several Programs are involved;
- b) Increasing partnerships with institutions closer to countries' market realities and who can better help SMEs with practical issues concerning IP commercialization; and
- c) Exploring a closer collaboration with other international organizations

(Related to Conclusion 7)

ACKNOWLEDGMENT

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Approved by: Tuncay Efendioglu, Acting Director IOD

TABLE OF RECOMMENDATIONS

Recommendation #	Accepted / Rejected (indicate reason for rejecting)	Responsible unit/manager	Deadline for implementation	Management comment and action plan
<p>Recommendation 1: <u>Stabilisation of the Organizational Structure and Improvement of performance framework and assessment:</u></p> <p>(a) The organizational structure of Program 30 needs to be stabilized as soon as possible, so that the Program team can be given a chance to achieve all its objectives.</p> <p>(b) Program 30 should be re- assessed after the end of the current biennium on the basis of a revised RBM framework that enables to centralize the wide range of products and services to SMEs, Universities and research centres in a unit such as a Division.</p> <p><i>Closing criteria:</i> <i>Organigram of the Division in charge of the support to SME, institutional innovation and innovation policy</i> <i>Revised results framework and performance assessment.</i></p>	<p>Accepted</p> <p>Accepted</p>	<p>Mr. Svantner, Director, Transition and Developed Countries</p>	<p>[March. 31, 2016]</p> <p>March 31, 2017</p>	<p>In order to address Recommendation 1, the Department for Transition and Developed Countries (TDC) will implement the following actions:</p> <p>Actions: (a) The organizational structure of Program 30 will be stabilized and adequate human resources deployed as per approved Program and Budget. A [revised] organigram of the SMEs and Entrepreneurship Division (SESD) will be prepared, at the latest by March 31, 2016; (b) As suggested, a revised results and framework assessment framework will be prepared in coordination with the relevant units/sectors.</p> <p>Responsible: Mr. Matthew Rainey, Director, SESD, Ms. Maya Bachner</p>

Recommendation #	Accepted / Rejected (indicate reason for rejecting)	Responsible unit/manager	Deadline for implementation	Management comment and action plan
<p>Recommendation 2: <u>Program 30 needs to develop more extensive and customized online platforms.</u> This should ensure greater cost-effectiveness and reach of activities, while on the other hand focusing on more customized types of support to certain MS and national IP offices in reaching out to SMEs needs. <i>Closing Criterion:</i> <i>At least one example of a platform</i></p>	<p>Accepted (already in progress)</p>	<p>Mr. Svantner</p>	<p>December 31, 2016</p>	<p>Work is already in progress Customized support has been a paramount consideration in extending support to MS. In depth discussion takes place with MS prior to organizing SMEs related events, for example, Training of Trainers (TOT) programs, in order to determine in advance the priority, the target audience, the sector and the follow up. The roundtable discussions, which form an integral part of all TOT programs, provide another opportunity to identify the gaps, determine appropriate actions and offer an even more customized service to the MS. This is being further reinforced through an increasingly multi-pronged project based approach, which aims at maximizing impact and ensuring sustainability.</p> <p>In this regard, it should be noted that (a) recent TOT programs have included a follow up online distance learning program in cooperation with the WIPO Academy; (b) the Annual WIPO-KIPO-KAIST-KIPA Advanced International Certificate Course on IP Asset Management for Business Success based on the IP PANORAMA Multimedia Toolkit (in English language) has been taking place for the 6th year in a row. The first part of this program consists of six week online training which is attended by some 800 participants.</p> <p>Furthermore, efforts are underway, in cooperation with the Regional Bureaus, the WIPO Academy and MS, to offer the Advanced International Certificate Course on IP Asset Management for Business Success based on the IP PANORAMA Multimedia Toolkit in four UN languages other than English. In addition, IP Panorama Mobile version is under advance stages of development in cooperation with KIPO and is expected to be available on smart phones in 2016.</p> <p>Internally, SESD and SMEs Section have proposed significant enhancement of online offerings.</p> <p>To address Recommendation 2, the TDC Department will accelerate the development of more extensive and customized online platforms.</p> <p>Responsible: Mr. Rainey, Mr. Anil Sinha, Ms. Olga Spasic</p>

Recommendation #	Accepted / Rejected (indicate reason for rejecting)	Responsible unit/manager	Deadline for implementation	Management comment and action plan
<p>Recommendation 3 <u>Program 30 should develop a more complete logical framework, with more specific performance indicators.</u> More precisely, the Program should:</p> <p>(a) Better link activities with outputs, outcomes and impacts, along with timeframes to provide a clear picture of the work of the Division</p> <p>(b) Better link expected results to SMART¹⁶ objectively verifiable indicators. Where monitoring requires significant resources (e.g. surveys), these need to be included into the budget.</p> <p>(c) Define a clearer logical link between the outputs and outcomes that better intertwine SMEs and innovation support, and include tools that allow monitoring in a consistent and harmonized manner across all streams of work including additional activities undertaken by the Program.</p> <p>(d) Include indicators that enable to provide disaggregated data by gender and other variables conducive to a suitable equity analysis.</p> <p><i>Closing criterion: logical framework for the Program containing the elements described</i></p>	<p>Accepted (already in progress)</p> <p>Accepted (already in progress)</p> <p>Accepted (already in progress)</p> <p>Accepted (already in progress)</p>	<p>Mr. Svantner</p>	<p>December 31, 2016</p>	<p>Work is in progress</p> <p>Most, if not all, Program 30 activities are linked to specific performance indicators and expected results. A comprehensive project based approach is being increasingly adopted in implementing Program 30 activities in the MS for better outcome and lasting impact with the active participation of competent authorities in the MS. The idea of an IP champion for SMEs and IP handholding projects for SMEs, being implemented in 2015, will be further reinforced during the 2016-17 biennium. In addition, surveys at 6 and 12 months intervals are being carried out to measure outcomes and impact. Program 30 has been gathering disaggregated data by gender and has been mindful of equitable distribution of programs and activities across regions.</p> <p>To address Recommendation 3, the TDC Department will further enhance and accelerate the development of a more complete logical framework, with more specific performance indicators.</p> <p>Responsible: Mr. Rainey, Ms. Bachner, Ms. Kaori Saito, Mr. Sinha, Ms. Spasic</p>

¹⁶ SMART: Specific; Measurable; Achievable; Relevant; Time-bound.

Recommendation #	Accepted / Rejected (indicate reason for rejecting)	Responsible unit/manager	Deadline for implementation	Management comment and action plan
<p>Recommendation 4 <u>Program 30 should increase the coordination with the relevant departments in WIPO.</u> More precisely, the Program should:</p> <ul style="list-style-type: none"> (a) Centralize requests for SME trainings and harmonize its offer for trainings with that of other departments (in particular the WIPO Academy) while keeping them customised to specific audiences. (b) Send regular briefing notes to Regional Bureaus and countries' capitals, accounting for its activities and achievements, and bringing awareness to the range of activities at their disposal. (c) Made accessible WIPO's SME site through WIPO's homepage and other Program's related pages, and be more regularly updated in coordination with the Communication Services, to serve the interests and needs of SMEs and interests stakeholders. Past publications need to be updated or put under historical publications in the website. (d) Share more specific country information, in particular with developing countries, regarding the SME newsletter. More real life practical examples, case studies and better targeting in terms of sector, areas of expertise and specific audiences are deemed relevant. The language must be simplified to reach wider audiences. <p><i>Closing Criteria: (a) Inter-Sector exchange of information and training programs; (b) Briefing notes sent to bureaus and MS; (c) updated SME homepage and links; (d) Newsletter with real-life examples from developing countries.</i></p>	<p>Accepted (already in progress)</p> <p>Accepted (already in progress)</p> <p>Accepted (already in progress)</p> <p>Accepted (already in progress)</p>	<p>Mr. Svantner</p>	<p>December 31, 2016</p>	<p>Work is already in progress</p> <p>All Program 30 activities are closely coordinated with the relevant WIPO departments, sectors and Member States. A formal WIPO SMEs Taskforce is expected to become operational during the first half of 2016. Frequent discussions take place between the SEDS and the regional bureaus on where, why and how Program 30 activities should take place and how the follow-up action should be. Regular updates are provided to the regional bureaus during the above-mentioned discussions and via mission reports.</p> <p>The <i>SME Newsletter</i> is promoted actively during interactions with stakeholders and more specifically during the TOT programs in transition and developing countries. The SME Newsletter is being redesigned in the light of the recent WIPO e-newsletter policy (OI 16/2015). The SME Newsletters have always ensured a balance in the coverage given to both developing and developed countries as well as to different sectors and industries and to different kinds of IP rights. Steps are already underway to further enhance the quality and reach of the <i>SME Newsletter</i> and to render it simpler. The updating of WIPO's SME site, which contains a wealth of information, is nearing completion.</p> <p>To address Recommendation 4, the TDC Department will implement the following actions:</p> <p>Actions: (a) further enhance coordination with the WIPO Academy; (b) send briefing notes to regional bureaus, regional group coordinators and members states every semester; (c) organize at least two briefing sessions for the regional group coordinators based in Geneva every year; (d) accelerate the updating of WIPO SMEs website, and (e) bring further enhancement to the content and promotion of the <i>SME Newsletter</i>.</p> <p>Responsible: Mr. Sherif Saadallah, Mr. Rainey, Mr. John Tarpey, Mr. Sinha, Ms. Spasic</p>

Recommendation #	Accepted / Rejected (indicate reason for rejecting)	Responsible unit/manager	Deadline for implementation	Management comment and action plan
<p>Recommendation 5 <u>To improve the outcomes and the way they can be measured, please refer to Recommendation 3. Hereunder we make a few suggestions for further improvement of specific outcomes:</u></p> <p>(a) In ToT, more SME participation ought to be assured, along with better targeting and hence tailoring of trainings to different types of audiences, along with the delivery of customised trainings for particular business sectors.</p> <p>(b) Stronger collaboration with the Economics and Statistics Division could be developed, due to the complementarity of expertise, and the potential for synergies for SME data generation and also for the elaboration and release of technical publications. Demand from the MS must also be matched with the right kind of support for the sake of efficiency and scarce resource allocation.</p> <p>(c) Similarly, more than continuing to respond to requests originated in countries, the Program should also take a more proactive stance, by reaching out, in concertation with Regional Bureaus, to those that have not yet benefited from the Program's services.</p> <p><i>Closing Criteria: none</i></p>	<p>No formal response required</p> <p>(already in place)</p> <p>(already in place)</p> <p>(already in place)</p>			<p>Direct participation by SMEs in the TOTs is generally not a goal of Program 30. It should be noted that the main objective of a TOT program is to train the trainers who will thereafter reach out to the SMEs and train them on IP asset Management. Consequently, most of the participants are from SME support institutions (SMEs development agencies, IP Offices, chambers of commerce, etc.).</p> <p>Program 30 does occasionally organize customized training programs targeting SMEs in a particular business sector (for example, digital industry, crafts sector, fashion industry, biotechnology).</p> <p>Customization and targeting is part of the planning phase and will be further enhanced during the next biennium.</p> <p>Program 30 has excellent collaboration with the ESD and this will be further reinforced going forward.</p>

Recommendation #	Accepted / Rejected (indicate reason for rejecting)	Responsible unit/manager	Deadline for implementation	Management comment and action plan
<p>Recommendation 6 <u>Program 30 should work on including a sustainability component to interventions through developing a tailored approach to support MS, using a combination of countries' development stages, IP and innovation adoption levels, and SMEs life-cycle stages.</u> In particular it should:</p> <p>(a) Develop a methodology to guide the priorities for assistance. MS requests would then be answered according to an agreed "framework".</p> <p>(b) Develop mechanisms to assure that in awareness and training activities, countries provide the intended type of participants to maximise impact.</p> <p>(c) Create more linkages and exploit synergies between the SME and the Innovation Structure streams of work to ensure greater impact to key beneficiaries and for effects to trickle down from Governments, their policies and research institutions to their smaller firms.</p> <p><i>Closing criterion: Show of at least 2 examples of sustainability components included in groups of activities or projects</i></p>	<p>Accepted (already in progress)</p> <p>Accepted (already in progress)</p> <p>Accepted (already in progress)</p>	Mr. Svantner	December 31, 2016	<p>Work is already in progress</p> <p>A project based methodology for responding to MS requests for SMEs related assistance with emphasis on return on investments in human capital development, firm commitments from member states, lasting impact and sustainability, is already being implemented. Further enhancement is foreseen during the 2016-17 biennium. Coordination between the SMEs Section and ISS is already taking place and further enhancement is foreseen.</p> <p>To address Recommendation 6, the TDC will implement the following actions:</p> <p>Actions: The TDC will further enhance its project and tailored based approach and develop an enhanced methodology to guide development assistance related to SMEs.</p> <p>Responsible: Mr. Rainey, Mr. Sinha, Ms. Spasic</p>

Recommendation #	Accepted / Rejected (indicate reason for rejecting)	Responsible unit/manager	Deadline for implementation	Management comment and action plan
<p>Recommendation 7 <u>Program 30 should improve coordination internally and externally through:</u></p> <ul style="list-style-type: none"> a) Defining clearer working coordination mechanisms where several Programs are involved b) Increasing partnerships with institutions closer to countries' market realities and who can better help SMEs with practical issues concerning IP commercialization. c) Exploring a closer collaboration with other international organizations <p><i>Closing criterion: at least 1 internal coordination agreement or protocol of internal meeting and 1 partnership agreement for each b) and c)</i></p>	<p>Accepted (already in progress)</p> <p>Accepted (already in progress)</p> <p>Accepted (already in progress)</p>	Mr. Svantner	December 31, 2016	<p>Work is already in progress</p> <p>Please see comments under Recommendation 4 as far as internal coordination is concerned. Program 30 has been collaborating with several partners including ITC, UNCTAD, UNECE, ICC, USPTO, IP Australia and chambers of commerce and association of SMEs in several member states. This will be further enhanced during the next biennium.</p> <p>In order to address Recommendation 7, the TDC will take the following actions:</p> <p>Actions: (a) implement a formal WIPO's SME Taskforce before the end of 2015; (b) enhance collaboration with international organizations and with regional and national SMEs development agencies and chambers of commerce.</p> <p>Responsible: Ms. Dalila Hamou, Mr. Rainey, Mr. Sinha, Ms. Spasic</p>

ANNEXES

Annex I.	Biennial Outcome Objectives and Indicators
Annex II.	List of people consulted
Annex III.	List of documents consulted
Annex IV.	Results from the Survey to SME newsletter subscribers
Annex V.	Results from the Survey to beneficiaries (2010-2014) of Program 30 trainings
Annex VI.	Terms of Reference

[Annex I follows]

ANNEX I - SELECTED BIENNIAL EXPECTED RESULTS, INDICATORS, BASELINES, TARGETS, COMMENTS, AND RESULTS THAT COULD BE ESTABLISHED DURING THE EVALUATION

S.G.	Expected Results	Performance Indicators	Baselines	Targets	Comments		Results that could be established through proxies
					outcome /output	SMART	
Budget 2012/2013	IV.2	Enhanced access to, and use of, IP information and knowledge by IP institutions and the public to promote innovation and increased access to protected creative works and creative works in the public domain	No. of Member States that have developed their IP framework and established TTOs	Framework pilot project adopted and funding committed	8 TTOs	output	Attribution issues, contribution has to be clearly established as to what was the influence of the Program, as there is potentially a myriad of other factors contributing to it.
Budget 2014/2015	IV.2	Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity	No. of countries having established IP training programs for SMEs		tdb	output	Attribution issues, contribution has to be clearly established as to what was the influence of the Program; the number of countries might not be what is relevant to count, but the number of new IP training programs for SMEs established as a consequence of the Program's work, the number of countries (geographical diversification) might be used to calibrate the result. Otherwise, a sub-indicator on reach can be developed
Budget 2010/2011	III	Strengthened capacity of policy makers to formulate policies, develop and implement projects on IP asset management	Number of projects developed and implemented by national governments to promote IP based entrepreneurship	Baseline will be established during the biennium		output	Attribution issues, contribution has to be clearly established as to what was the influence of the Program, as there is potentially a myriad of other factors contributing to it.
Budget 2014/2015	III.6	Increased capacity of SMEs to successfully use IP to support innovation	% of trained SMEs support institutions who provide information, support and advisory/consulting services on IP asset management	0	tdb	outcome	There is the need to clearly disaggregate SME support institutions from SMEs attending the trainings, as the first are more likely to provide trainings as follow ups. The link to the relevance of the trainings provided by WIPO has to be clearly established. Moreover, it would make sense to disaggregate this indicator by typology of services provided (information/ support/advisory & consulting services) as it can be done by very different entities using different platforms and country type (dev, develop, in trans). An indicator with a trendline (e.g. an increase) would better reflect the evolution of the impact of the trainings.
Budget 2010/2011	III	Enhanced capacity of SME support institutions, including universities and SME training institutions, to provide IP information, support and advisory services to their constituencies	Increase in the number of SMEs support institutions providing services and information on IP	Number of SMEs support institutions providing services and information on IP by the end of 2009		outcome	Similar comments to the former.
Budget 2010/2011	III	Enhanced capacity of SME support institutions, including universities and SME training institutions, to provide IP information, support and advisory services to their constituencies	Number of SME support institutions, including universities, using WIPO material or material based on WIPO products in their awareness and capacity building services	Baseline will be established during the biennium		outcome	This indicator is clearly not SMART, WIPO's material is vast and it may be that some e.g. publications are more successful than others. The level of usage has to be established (read partially, read totally, given to others to read, quoted, developed new material from it). This indicator needs to frame better what is being evaluated specifically and provide a way of effectively measuring its usage by different types of audiences. This indicator does not specify the range of countries to be accounted for. Moreover, it might make more sense to disaggregate it by a number of characteristics such as typology, material and country (dev, develop, in trans).
Budget 2010/2011	III	Enhanced capacity of SME support institutions, including universities and SME training institutions, to provide IP information, support and advisory services to their constituencies	Rate of satisfaction of SMEs with the advisory services provided by SME support institutions	Number of support institutions' undertaking activities using WIPO materials for creating IP awareness by the end of 2009		outcome	The contribution of WIPO to this objective is clearly far-fetched, WIPO cannot be accountable for advisory services provided by national SME support institutions, whose quality it cannot control. There are also serious measurement issues to get to the information, requiring extensive surveys at the national level. The indicator does not specify to which countries it should be applied.
Budget 2014/2015	III.6	Increased capacity of SMEs to successfully use IP to support innovation	No. of subscriptions to the SME Newsletter		tdb	output	Disaggregate by type of subscriber (LDCs, etc; male, female; SME or other)
Budget 2014/2015	III.6	Increased capacity of SMEs to successfully use IP to support innovation	No. of downloads of topical SME material and guidelines		tdb	output	This indicator is hard to interpret in general and its utility is limited, reflecting more the interest aroused by the material but also by the site and its accessibility to external users. It can be used to explore the popularity of new materials. The number of internal clicks are usually also accounted for, it usually provides an overestimation. It can however be used to rank the material against each other and to provide a trend of its downloads (interest) over time, but it needs to be reformulated.
Budget 2014/2015	III.6	Increased capacity of SMEs to successfully use IP to support innovation	No. of SME related case-studies accessed via the IpAdvantage and/or other relevant databases		tdb	output	Similar comments to the former. It would be relevant to know if SMEs are accessing the material and how relevant these are to them and their activity
Budget 2010/2011	III	Improved awareness of SMEs and SME support institutions on IP asset management and of policy makers on the importance of integrating IP into national strategies on enterprise competitiveness	Increased number of SMEs and SMEs support institutions that rate the program's website, new/previous publications, and the 12 modules of the IP PANORAMA™ multimedia toolkit as useful for their work	Baseline will be established during the biennium.		output	This is a composite indicator, it needs to be disaggregated (website/ new publications by publication / previous publications by publication/each of the modules of IP Panorama toolkit) and looked at independently or weights have to be given to these different components. The accessibility, attractiveness and the regularity of the update of the website might be determinant to the results of the other components of this indicator. These ought to be evaluated separately as they might be correlated with each other.
							Tentatively unsatisfactory, low impact (however, what is the relevant benchmark? How long do these effects need to materialise? They might not occur within one year, but might occur in 2, 3 or more) Proxy: Did you conduct any SME trainings yourself as a trainer, following WIPO's training? Overall 24,3% did (Survey to ToT beneficiaries), 33% for SMEs
							Could not measure increase. See comments above.
							% users who reported using: Panorama Toolkit
							Could not be assessed
							Total: English version: 29674 Spanish: Russian: Chinese: One of WIPO's newsletters with the greatest number of subscribers.
							Proxy: Level of satisfaction of users of the IP Advantage database: satisfied See comments of users requesting for more case studies & specific to their countries
							Could not measure increase nor website. But for the list of publications provided and IP Panorama the rate of satisfaction is positive: IP Panorama: Very satisfied (average two surveys) Average for all publications Overall rating for WIPO's work in support of SMEs: satisfied (average 2 surveys)

(Continued)

S.G.	Expected Results	Performance Indicators	Baselines	Targets	Comments		Results that could be established through proxies	
					outcome/output	SMART		
Budget 2014/2015	Training Increased capacity of SMEs to successfully use IP to support innovation	% of participants in training programs targeting SME support institutions who express satisfaction with the content and organization of these events		tbd	outcome		Content and organisation issues are two different aspects, they need to be assessed separately. SME support institutions must be separated from other types of institutions in some of the trainings. It should be disaggregated by type of training and country typology.	89% (all beneficiaries) Achieved (survey delivered to ToT beneficiaries)
Budget 2012/2013		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 satisfied with the quality of workshops and seminars on innovation and its commercialization	General feedback available, but no specific data	90%	outcome	"Quality" can be better specified in order to be better measured.	89% (all beneficiaries) Achieved (survey delivered to ToT beneficiaries)
Budget 2014/2015	Univ, PRIs Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity	No. of sustainable TTOs established and/or strengthened in Universities or R&D institutions		5 TTOs established in the Arab region	outcome		Sustainability of TTOs can only be assessed after some time has passed from its creation. TTO's were created as a pilot in 2012/2013. It merits a specific indicator accounting for TTOs established in previous years/biennia and a second (this one). The target are however new TTOs (Arab Region) which are new and not previously established TTOs. This indicator could also benefit from being disaggregated by type of country, institution (Univ / R&D centers). Attribution issues have to be removed from the measurement so that the contribution of the Program can be clearly established. The indicator is formulated in a very broad format, making its measurement more difficult.	
Budget 2014/2015		Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity	No. of universities and/or research institutions which have established IP policies		20 additional universities	outcome		Should be disaggregated by Univ and R&D centers and then by country typology (LDCs, etc.). Attribution issues have to be removed from the measurement so that the contribution of the Program can be clearly established.

[Annex II follows]

ANNEX II - LIST OF PEOPLE CONSULTED

Below is a list of key stakeholders consulted during the evaluation process.

#	STAKEHOLDER NAME	FUNCTION	DEPARTMENT/ ORGANIZATION
WIPO's Senior Management			
1	Mr. Francis Gurry	Director General	WIPO
WIPO STAFF MEMBERS			
Program 30			
2	Mr. Guriqbal Singh Jaiya	Former Director	Small and Medium-Sized Enterprises Division
3	Mr. Michal Svantner	Director	Department for Transition and Developed Countries (TDC)
4	Mr. Matthew Rainey	Director	SMEs and Entrepreneurship Support Division
5	Mr. Anil Sinha	Head, SMEs Section	SMEs and Entrepreneurship Support Division
6	Ms. Olga Spasic	Head, Innovation Structures Section	SMEs and Entrepreneurship Support Division
7	Ms. Tamara Nanayakkara	Head, Innovation Policy Section	SMEs and Entrepreneurship Support Division
8	Ms. Najmia Rahimi	Senior Program Officer, SMEs Section	SMEs and Entrepreneurship Support Division
9	Mr. Siyoung Park	Counsellor, SMEs Section	SMEs and Entrepreneurship Support Division
10	Ms. Lien Verbauwhede	Senior Program Officer, SMEs Section	SMEs and Entrepreneurship Support Division
11	Ms. Patricia De Paula Freitas Simao	Program Officer, Innovation Structures Section	SMEs and Entrepreneurship Support Division
12	Ms. Aimee Dunn	Administrative Assistant	SMEs and Entrepreneurship Support Division
13	Ms. Florence Mollet	Secretary	SMEs and Entrepreneurship Support Division
Program 9			
14	Mr. Paul Regis	Program Officer, Caribbean Section	Regional Bureau for Latin America and the Caribbean
15	Ms. Joyce Claire Banya	Senior Counsellor	Regional Bureau for Africa
16	Mr. Yves Ngoubeyou	Senior Program Officer	Regional Bureau for Africa
Program 10			
18	Mr. Victor Vazquez-Lopez	Head, Section for Coordination of Developed Countries	Department for Transition and Developed Countries (TDC)
19	Mr. Ryszard Frelek	Assistant Program Officer	Department for Transition and Developed Countries (TDC)
Program 16			
20	Mr. Carsten Fink	Chief Economist	Economics and Statistics Division
Program 18			
21	Mr. Anatole Krattiger	Director	Global Challenges Division

#	STAKEHOLDER NAME	FUNCTION	DEPARTMENT/ ORGANIZATION
Program 5			
22	Mr. Matthew Bryan	Director	PCT Legal Division
Program 1			
23	Mr. Marco Aleman	Director ad interim	Patent Law Division
Program 8			
24	Mr. Irfan Baloch	Director	Development Agenda Coordination Division
Program 7			
27	Mr. Ignacio De Castro Llamas	Deputy Director and Head, IP Disputes Management Section	WIPO Arbitration and Mediation Center
Program 11			
28	Ms. Isabella Pimentel	Program Officer, Academic Institutions and Executive Program	WIPO Academy
Program 23			
25	Ms. Cornelia Moussa	Director	Human Resources Management Department
Program 22			
26	Ms. Maya Catharina Bachner	Director	Program Performance and Budget Division
REGIONAL GROUP COORDINATORS			
29	Ms. Chichi Umesi	Regional Group Coordinator	African Group, WIPO
30	Ms. Fareha Bugti	Regional Group Coordinator	Asia Pacific Group, WIPO
31	Mr. Aleksandr Pytalev	Regional Group Coordinator	Group of Central Asian, Caucasus and Eastern European States, WIPO
32	Ms. Livia Puscaragui	Regional Group Coordinator	Group of Central European and Baltic States, WIPO
33	Mr. Yeufeng Shi	Regional Group Coordinator	China, WIPO
34	Mr. Kunihiro Fushili	Regional Group Coordinator	Group B
35	Ms. Maria Inés Rodríguez	Regional Group Coordinator	Group of Latin American and Caribbean countries, WIPO
EXTERNAL STAKEHOLDERS			
36	Mr. Jim Pooley	Former Director	Small and Medium-Sized Enterprises and Innovation Division
37	Mr. Ron Marchant	External Consultant	-

[Annex III follows]

ANNEX III - LIST OF DOCUMENTS CONSULTED

Below is a list of documents consulted during the desk review.

WIPO Programmatic documents
<ul style="list-style-type: none"> • Internal Audit and Oversight Division, Revised WIPO Evaluation Policy, May 2010
<ul style="list-style-type: none"> • The 45 Adopted Recommendations under the WIPO Development Agenda by the General Assembly of WIPO MS, 2007.
<ul style="list-style-type: none"> • Medium Term Strategic Plan 2010-15, Document A/48/3, September 16, 2010.
<ul style="list-style-type: none"> • Program and Budget for the 2014/2015 Biennium, Approved by the Assemblies of the MS of WIPO on December 12, 2013.
<ul style="list-style-type: none"> • Program and Budget for the 2013/2014 Biennium, Approved by the Assemblies of the MS of WIPO on September 29, 2011.
<ul style="list-style-type: none"> • Program and Budget for the 2012/2013 Biennium, approved by the Assemblies of the MS of WIPO on September 29, 2011.
<ul style="list-style-type: none"> • Program and Budget for the 2010/2011 Biennium, approved by the Assemblies of the MS of WIPO on October 1, 2009.
<ul style="list-style-type: none"> • The 2014/15 Revised Program and Budget Proposal, SMEs and Innovation.
WIPO documents relating to monitoring and evaluation
<ul style="list-style-type: none"> • Independent Evaluation Guidelines, April 2010
<ul style="list-style-type: none"> • Internal Audit and Oversight Division, Evaluation and Inspection Section, Self-Evaluation Guidelines, Version 1.1, April 2009
International evaluation guidelines
<ul style="list-style-type: none"> • OECD-DAC Guidelines and Reference Series, Quality Standards for Development Evaluation, OECD Development Assistance Committee (DAC), OECD 2010.
<ul style="list-style-type: none"> • UNEG, Standards for Evaluation in the UN System, 2005.
Reports
<ul style="list-style-type: none"> • PPR for 2012/13, Assemblies of the MS of WIPO Fifty-Fourth Series of Meetings Geneva, September 22 to 30, 2014.
<ul style="list-style-type: none"> • PPR for 2010/11, Assemblies of the MS of WIPO Fiftieth Series of Meetings Geneva, October 1 to 9, 2012.
<ul style="list-style-type: none"> • PPR for 2008/09, Assemblies of the MS of WIPO Forty-Eighth Series of Meetings Geneva, September 20 to 29, 2010.
<ul style="list-style-type: none"> • Chile Country Portfolio Evaluation, 2010-2014.
<ul style="list-style-type: none"> • Validation of the PPR for 2012/2013, IAOD Report, June 2014.
<ul style="list-style-type: none"> • Validation of the PPR for 2010-2011, IAOD Report, Program and Budget Committee, Nineteenth Session, Geneva, September 10 to 14, 2012.
<ul style="list-style-type: none"> • Innovating for Success, Promoting the use of Intellectual Property by Small and Medium Enterprises (internal document).

Administrative records
<ul style="list-style-type: none"> Assemblies of MS of WIPO, Fifty-Fourth Series of Meetings, Geneva, September 22 to 30, 2014 (DOC A/54/13).
<ul style="list-style-type: none"> Assemblies of MS of WIPO, Fifty-Third Series of Meetings, Geneva, May 8 and 9, 2014 (DOC A/53/3).
<ul style="list-style-type: none"> Assemblies of MS of WIPO, Twenty-Second Session, Geneva, September 1 to 5, 2014 (DOC (3): WO/PBC/22/30 Program and Budget Committee and DOC (3): WO/PBC/22/8 Program and Budget Committee).
<ul style="list-style-type: none"> Assemblies of MS of WIPO, Fifty-First Series of Meetings, Geneva, September 23 to October 2, 2013 (DOC (1): A/51/7, Doc (2): A/51/13 and Doc (3): A/51/20).
<ul style="list-style-type: none"> Assemblies of MS of WIPO, Twenty-First Session, Geneva, September 9 to 13, 2013 (DOC (4): Program and Budget Committee, Doc (5): WO/PBC/21/21 Program and Budget Committee).
<ul style="list-style-type: none"> Assemblies of MS of WIPO, Twenty-first session, September 9 to 13, 2013 (DOC (2): WO/PBC/19/28 Program and Budget Committee).
<ul style="list-style-type: none"> Assemblies of MS of WIPO, Fiftieth Series of Meetings, Geneva, October 1 to 9, 2012 (DOC (1): A/50/18).
<ul style="list-style-type: none"> Assemblies of MS of WIPO, Forty-ninth Series of Meetings, September 26 to October 5, 2011 (DOC (1): A/49/18 Assemblies of the MS of WIPO).
<ul style="list-style-type: none"> Program and Budget Committee, Twentieth Session Geneva, July 8 to 12, 2013 (08.07.2013), Q&A Proposed Program and Budget 2014/15, Results overview.
<ul style="list-style-type: none"> Minutes of Sessions.
<ul style="list-style-type: none"> Terms of Reference for Innovation for Success Report.
<ul style="list-style-type: none"> Mission Reports.
<ul style="list-style-type: none"> A variety of records, administrative information and Memos.

[Annex IV follows]

ANNEX IV - RESULTS FROM THE SURVEY TO SME NEWSLETTER SUBSCRIBERS

Are you considered in your country as a Small and Medium Enterprise (SME)?

Answer Options	Response Percent	Response Count
Yes	56,0%	297
No	44,0%	233
		answered question
		530
		skipped question
		0

How many full-time employees do you have?

Answer Options	0-20	21-50	51-100	101-250	251-500	More than 500	Rating Average	Response Count
Number of full-time employees	174	29	18	16	4	26	1,97	267
								answered question
								267
								skipped question
								263

How would you rate the content and usefulness of this newsletter?

Answer Options	Unsatisfied	Somewhat satisfied	Satisfied	Very Satisfied	Excellent	Rating Average	Response Count
Content and usefulness of this newsletter	16	57	135	92	49	3,29	349
							answered question
							181
							skipped question

What would you like to see improved in this newsletter?

Answer Options	Response Count
	349
answered question	
349	
skipped question	
181	

Are you familiar with WIPO's work for SMEs?

Answer Options	Response Percent	Response Count
Yes	64,9%	224
No	35,1%	121
		answered question
		345
		skipped question
		185

If you are familiar, how would you rate it?

Answer Options	Unsatisfied	Somewhat satisfied	Satisfied	Very satisfied	Excellent	Do not know	Rating Average	Response Count
Please rate WIPO's work for Small and Medium Enterprises (SMEs)	9	25	86	56	41	7	3,44	224
								answered question
								224
								skipped question
								306

Have you downloaded and used any of the following SME Guides and Manuals and if so, how do you rate each?

Answer Options	Creative Expression	Exchanging Value	In Good Company	Inventing the future	Looking Good	Making a Mark	Making Intellectual Property Work for	Secrets of Intellectual Property	Stitch in Time	Norwegian SMEs and the IPR system: Exploration and Analysis	Marketing Crafts & Visual Arts: The Role of IP : A Practical Guide	Response Count
Downloaded	61	39	34	77	57	61	101	67	24	31	45	185
Used	45	34	31	62	46	48	70	49	18	18	22	142
											answered question	
											209	
											skipped question	
											321	
Used/Downloaded	73,8	87,2	91,2	80,5	80,7	78,7	69,3	73,1	75,0	58,1	48,9	

Have you ever used the IP Panorama toolkit?

Answer Options	Response Percent	Response Count
Yes	39,6%	127
No	43,0%	138
Do not know	17,4%	56
		answered question
		321
		skipped question
		209

If you have used IP Panorama Toolkit, how would you rate it? (If you have not used it, skip this question)

Answer Options	Unsatisfied	Somewhat satisfied	Satisfied	Very satisfied	Excellent	Rating Average	Response Count
Rating of IP Panorama Toolkit	5	13	35	42	29	3,62	124
							answered question
							124
							skipped question
							406

Have you ever participated in a WIPO SME distance learning program?

Answer Options	Response Percent	Response Count
Yes	28,8%	90
No	67,1%	210
Do not know	4,2%	13
<i>answered question</i>		313
<i>skipped question</i>		217

Could you identify the WIPO SME distance learning program(s) you attended? Please provide details

Answer Options	Response Count
	82
<i>answered question</i>	82
<i>skipped question</i>	448

If you have participated in a WIPO SME distance learning program, how would you rate the it or them (on average)?

Answer Options	Unsatisfied	Somewhat satisfied	Very satisfied	Satisfied	Excellent	Do not know	Rating Average	Response Count
Rating of the WIPO SME distance	0	12	14	20	34	2	3,95	82
							<i>answered question</i>	82
							<i>skipped question</i>	448

Have you ever used the IP Advantage database?

Answer Options	Answer Options	Response Percent	Response Count
Yes	Yes	19,0%	58
No	No	68,9%	210
Do not know		12,1%	37
<i>answered question</i>			305
<i>skipped question</i>			225

If you have used the IP Advantage database, how would you rate it?

Answer Options	Unsatisfied	Somewhat satisfied	Satisfied	Very satisfied	Excellent	Rating Average	Response Count	
Rating of the IP Advantage database	0	9	28	13	8	3,34	58	
							<i>answered question</i>	58
							<i>skipped question</i>	472

If you have used the IP Advantage database, how many case studies have you accessed via the IP Advantage database?

Answer Options	Response Count
	58
<i>answered question</i>	58
<i>skipped question</i>	472

Have you ever participated in a WIPO Training of Trainers Program for SMEs?

Answer Options	Response Percent	Response Count
Yes	16,2%	49
No	79,2%	240
Do not know	4,6%	14
<i>answered question</i>		303
<i>skipped question</i>		227

If you have participated, how would you rate the WIPO Training of Trainers Program for SMEs?

Answer Options	Unsatisfied	Somewhat satisfied	Satisfied	Very satisfied	Excellent	Rating Average	Response Count	
Rating of WIPO Training of Trainers Program for SMEs	1	7	13	17	12	3,64	50	
							<i>answered question</i>	50
							<i>skipped question</i>	480

Have you ever participated in any other type of SME training made available by WIPO?

Answer Options	Response Percent	Response Count
Yes	15,3%	46
No	79,1%	238
Do not know	5,6%	17
	<i>answered question</i>	301
	<i>skipped question</i>	229

If you have participated in any other type of SME training made available by WIPO, please provide details such as the name of the training and the date/year.

Answer Options	Response Count
	34
<i>answered question</i>	34
<i>skipped question</i>	496

[Annex V follows]

ANNEX V - RESULTS FROM THE SURVEY TO BENEFICIARIES (2010-2014) OF PROGRAM 30 TRAININGS

You are:

Answer Options	Response Percent	Response Count
Male	57,4%	31
Female	42,6%	23
<i>answered question</i>		54
<i>skipped question</i>		0

You are from a:

Answer Options	Response Percent	Response Count
Developing country	84,3%	43
Developed country	11,8%	6
Do not know	3,9%	2
<i>answered question</i>		51
<i>skipped question</i>		3

You are:

Answer Options	Response Percent	Response Count
A Small and Medium Enterprise (SME)	13,7%	7
A public agency	5,9%	3
A Government official	21,6%	11
An academic/researcher/University	25,5%	13
An attorney	19,6%	10
Other (please specify)	13,7%	7
<i>answered question</i>		51
<i>skipped question</i>		3

If you are an SME, how many full-time employees does your company have?

Answer Options	0-20	21-50	51-100	101-250	251-500	More than 500	Rating Average	Response Count
Number of full-time employees	5	2	0	0	0	0	1,29	7
<i>answered question</i>								7
<i>skipped question</i>								47

What is the overall level of satisfaction with the training you received?

Answer Options	Unsatisfied	Somewhat satisfied	Satisfied	Very satisfied	Excellent	Rating Average	Response Count
Training satisfaction rating	1	4	12	15	14	3,80	46
<i>answered question</i>							46
<i>skipped question</i>							8

How would you rate the training you received according to:

Answer Options	Unsatisfied	Somewhat satisfied	Satisfied	Very satisfied	Excellent	Rating Average	Response Count
Relevance of the course with respect to your needs	2	1	8	18	14	3,95	43
Relevance of the course with	0	4	10	20	9	3,79	43
Quality of the content and	2	3	5	14	19	4,05	43
Quality of the presentation and	1	3	6	17	16	4,02	43
Professionalism	1	1	7	14	20	4,19	43
Training materials provided	3	4	12	12	12	3,60	43
Logistic and organisation	0	0	17	14	12	3,88	43
Your questions were answered to	0	3	5	21	14	4,07	43
You were treated with respect	0	0	5	13	25	4,47	43
<i>answered question</i>							43
<i>skipped question</i>							11

Have your skills/knowledge increased as a result of the training?

Answer Options	Response Percent	Response Count
Yes	93,0%	40
No	2,3%	1
Do not know	4,7%	2
answered question		43
skipped question		11

Did you apply or put into practise any of the knowledge and know-how you acquired in the training you attended?

Answer Options	Response Percent	Response Count
Yes	73,8%	31
No	23,8%	10
Other (please specify)	2,4%	1
answered question		42
skipped question		12

Other: we were already applied some knowledge .

What in your opinion were the medium to long term impacts that this training had in your career? Please tick the boxes that apply

Answer Options	Response Percent	Response Count
Greater knowledge about the	86%	36
Enhanced Awareness	52%	22
Greater preparedness to face the	38%	16
Better application of new concepts	48%	20
Better knowledge about how to take	50%	21
Better preparedness to take	31%	13
Exacting efficiency and quality	36%	15
Better planning of your IP and	60%	25
Other (please specify)	7%	3
answered question		42
skipped question		12

What did you like the most about the training you received?

Answer Options	Response
	42
answered question	42
skipped question	12

What did not work so well during the training?

Answer Options	Response Count
	40
answered question	40
skipped question	14

If offered would you take another training run or supported by WIPO on SMEs or innovation?

Answer Options	Response Percent	Response Count
Yes	100,0%	39
No	0,0%	0
<i>answered question</i>		39
<i>skipped question</i>		15

Would you recommend this training to your friends or colleagues?

Answer Options	Response Percent	Response Count
Yes	100,0%	39
No	0,0%	0
<i>answered question</i>		39
<i>skipped question</i>		15

Did you conduct any SME trainings yourself as a trainer, following WIPO's training?

Answer Options	Response Percent	Response Count
Yes	24,3%	9
No	75,7%	28
<i>answered question</i>		37
<i>skipped question</i>		17

Do you have any suggestions about how WIPO could better support SMEs and innovation in your country?

Answer Options	Response Count
	39
<i>answered question</i>	39
<i>skipped question</i>	15

Have you ever participated in any other type of training made available by WIPO?

Answer Options	Response Percent	Response Count
Yes	41,0%	16
No	59,0%	23
Do not know	0,0%	0
<i>answered question</i>		39
<i>skipped question</i>		15

Are you familiar with WIPO's work for SMEs?

Answer Options	Response Percent	Response Count
Yes	64,1%	25
No	35,9%	14
<i>answered question</i>		39
<i>skipped question</i>		15

If you are familiar with WIPO's work for SMEs, how would you rate it?

Answer Options	Poor	Satisfactory	Good	Very good	Excellent	Rating Average	Response Count
Rating	1	1	8	13	2	3,56	25
<i>answered question</i>							25
<i>skipped question</i>							29

Do you subscribe to WIPO's SME newsletter?

Answer Options	Response Percent	Response Count
Yes	47,4%	18
No	52,6%	20
<i>answered question</i>		38
<i>skipped question</i>		16

How would you rate the content and usefulness of WIPO's SME newsletter?

Answer Options	Unsatisfied	Somewhat satisfied	Satisfied	Very Satisfied	Excellent	Rating Average	Response Count
Content and usefulness of this	0	0	8	6	5	3,84	19
<i>answered question</i>							19
<i>skipped question</i>							35

What would you like to see improved in WIPO's SME newsletter?

Answer Options	Response Count
<i>answered question</i>	16
<i>skipped question</i>	38

Have you ever used the IP Panorama toolkit?

Answer Options	Response Percent	Response Count
Yes	23,7%	9
No	65,8%	25
Do not know	10,5%	4
<i>answered question</i>		38
<i>skipped question</i>		16

If you have used IP Panorama Toolkit, how would you rate it?

Answer Options	Unsatisfied	Somewhat satisfied	Satisfied	Very satisfied	Excellent	Rating Average	Response Count
Rating of IP Panorama Toolkit	0	0	3	3	3	4,00	9
<i>answered question</i>							9
<i>skipped question</i>							45

Have you ever participated in a WIPO SME distance learning program?

Answer Options	Response Percent	Response Count
Yes	13,2%	5
No	81,6%	31
Do not know	5,3%	2
<i>answered question</i>		38
<i>skipped question</i>		16

If you have participated in a WIPO SME distance learning program, how would you rate the it or them (on average)?

Answer Options	Unsatisfied	Somewhat satisfied	Very satisfied	Satisfied	Excellent	Do not know	Rating Average	Response Count
Rating of the WIPO SME distance	0	0	0	0	5	0	5,00	5
<i>answered question</i>								5
<i>skipped question</i>								49

Have you ever used the IP Advantage database?

Answer Options	Response Percent	Response Count
Yes	13,2%	5
No	81,6%	31
Do not know	5,3%	2
<i>answered question</i>		38
<i>skipped question</i>		16

If you have used the IP Advantage database, how would you rate it?

Answer Options	Unsatisfied	Somewhat satisfied	Satisfied	Very satisfied	Excellent	Rating Average	Response Count
Rating of the IP Advantage	0	0	0	3	2	4,40	5
<i>answered question</i>							5
<i>skipped question</i>							49

[Annex VI follows]

Annex VI - Terms of Reference**Internal Audit and Oversight Division****Internal Oversight Division (IOD)****TERMS OF REFERENCE (ToRs) EVALUATION PROGRAM 30:****SMALL AND MEDIUM SIZED ENTERPRISES (SMES) AND INNOVATION****1. BACKGROUND**

1. The World Intellectual Property Organization (WIPO) is a specialized agency of the United Nations dedicated to developing a balanced and accessible international intellectual property system that enables innovation and creativity for the benefit of all.
2. Program 30 acts as the WIPO central point of reference in contributing to evidence based policy making for strengthening innovation systems, building effective IP management and innovation strategies in Small and Medium Sized Enterprises (SMEs), universities and public research institutions. In implementing its mandate, Program 30 collaborates with other WIPO Programs, such as the Cooperation with Certain Countries in Europe and Asia Program (Program 10), Regional Bureaus and Least Developed Countries (Program 9), and the WIPO Academy (Program 11). The program promotes the use of the Patent Cooperation Treaty (PCT), the WIPO Arbitration and Mediation Centre services and - for the SMEs section - the use of other treaties administered by WIPO, such as Madrid, The Hague and Copyright. Work under Program 30 is carried out by the Innovation Division and, with respect to SMEs' work for the relevant MS, also by the Department for Transition and Developed Countries (TDC).
3. IOD's work is governed by the Internal Oversight Charter (IOC) approved by the WIPO General Assembly. The evaluation of Program 30 is part of the IOD oversight plan for 2014 and is been conducted after the results obtained through the internal evaluability assessment of the referred Program.

2. OBJECTIVES AND SCOPE OF THE EVALUATION

(A) PURPOSE OF THE EVALUATION

4. The Terms of Reference is for an independent consultant (in the field of SMEs and in the field of innovation) to assist in the evaluation of Program 30: Small and Medium Sized Enterprises and Innovation.

5. The primary purpose for this assessment is to contribute to the accountability of the organization, to verify the relevance of the Program to the mandate of the Organization and its usefulness in responding to the needs of its stakeholders, to confirm its performance (outputs, outcomes and impact), and to analyze the factors that accounted for the achievements or lack thereof.

6. The secondary purpose shall be on learning lessons with a view to improve the delivery under this Program in the new biennium, and generate evidence on the relevance of the achieved results and outcomes, strategic partnerships and improving operations design and implementation whenever possible.

(B) OBJECTIVES AND USES

7. The evaluation will address the following aspects:

(a) Building on the project framework as summarized in the Program and Budget (P&B) documents and PPRs (PPRs) to provide an analysis of the efficiency, effectiveness and relevance of confirmed outputs and outcomes;

(b) Inform Program Managers and team as well as MS on the main outcomes and challenges; and provide, if necessary, recommendations for enhancing future program performance; and

(c) Identify good practices that could be replicated throughout the Organization as well as future improvements for the Program.

(C) SCOPE

8. The time period to be considered will be 2010-2014 taking into account the modifications made in the formulation of the Program and Budget 2012-2013 to incorporate the innovation domain into the Program.

3. EVALUATION QUESTIONS (BY EVALUATION CRITERIA)

9. The evaluation will be assessing the questions below sorted by each criterion:

(A) Questions on Efficiency (efficient use of resources deployed to achieve results):

o Were the activities adequately resourced (both human and financial) to deliver the expected results and achieve objectives in a timely manner and with the requested quality?

o To which extent were synergies and multiplying effects exploited within WIPO and its partners (MS, multilateral and bilateral cooperation)?

o What are the strengths, weaknesses, opportunities and threats of the existing processes?

o What are the key factors for making strategic choices and investing resources?

(B) Questions on Effectiveness (degree of achievement of expected results):

o To which extent has the program achieved each of its expected results?

o How adequate and relevant were key performance indicators and data monitored to assess progress towards achievement of expected results under Program 30? How

- appropriate and achievable were key performance indicators for implementation by WIPO? Were achievements monitored and reported?
- o Have there been unexpected results of the Program's activities? If so, what have been their key effects?
 - o What were the key strengths and weaknesses in managing the program effectively?
 - o To which extent are the MS satisfied with the outputs of the Program?
- Did they have specific requests and were these responded to?

(C) Questions on Outcome (achieving expected changes through the confirmed outputs and how they influenced the context):

- o How relevant was the substantive work achieved to the Expected Results, and how adequate was it to the needs of key stakeholders?
- o What are likely impacts in the longer term?
- o What is the overall level of satisfaction among WIPO stakeholders and MS regarding the perceived outcomes and their relevance?

(D) Questions on Relevance of the Program and Contribution to WIPO's SG III (degree of pertinence of the program and its appropriateness):

- o Is the Program relevant to achieving the objectives of the Organization?
- o To which extent have the main results of the Program contributed to SG III?
- o What is the main added value of the main achieved results?
- o To what extent has the program been relevant to the needs of its beneficiaries and to the Development Agenda?
- o To which extent is the intervention theory for Program 30 informed by analyses on the needs and interests of the diverse target groups, including by gender?

4. METHODOLOGICAL APPROACH

10. The evaluation will be deductive and will draw data gathered with a suitable mixed methodology and evaluation techniques including document reviews, consultation meetings, key stakeholders semi-structured interviews, as well as surveys, whenever necessary.

11. The methodological approach will engage both internal and external stakeholders through participatory processes throughout all main stages of the evaluation.

12. The evaluation process and report shall apply the United Nations Evaluation Group (UNEG) Norms and Standards for evaluation.

13. The evaluation methodology will be refined and discussed during the inception phase. A Learning Resource Group composed of key Program staff will be consulted on intermediary products during the various phases of this evaluation.

5. DELIVERABLES

14. Based on the above, following deliverables shall be produced with the assistance of the external expert:

- A draft inception report including the proposed methodology, timeframe and detailing the key questions, as well as initial findings.
- A draft evaluation report with credible evidence-based findings, conclusions, as well as recommendations for improvement.
- An identification of successful practices and value-added services.

15. All deliverables will be written in English.

6. TIME TABLE

16. The work of the evaluation will be carried out between December, 2014 and February, 2015:

- By December 12, 2014 WIPO IOD will provide the expert with relevant background documentation. These documents will be part of the evaluation methodology.
- A draft Inception report, detailing methodology based on the ToR, timeframe, sources of information will be finalized by early January, 2015.
- Fieldwork will be conducted during January 2015.
- The evaluation draft report will be completed by February 15, 2015 with the input of the expert and taking into account initial feedback from the Program Manager and Program Manager Alternates for Program 30.
- The evaluation final report will be delivered to the Director General by IOD by early March, 2015.

17. The evaluation final report will be published on the WIPO web site within 30 working days after delivery to the Director General.

7. MANAGEMENT ARRANGEMENTS AND CONDITIONS

18. The IOD Evaluation Section through the Task Manager will manage the evaluation and ensure coordination and liaison with the concerned sector in WIPO and with key stakeholders outside WIPO.

19. The IOD Evaluation Section is also responsible for conducting the first level quality assurance of evaluation products. Final review will be ensured by the Director, IOD.

20. The external experts will assist the IOD Task Manager throughout the whole evaluation process by assessing the technical and contextual aspects of the Program and formulating findings and recommendations.

21. The external experts are required to provide support to IOD when and as needed especially when preparing all expected products mentioned in Section 5 of these ToRs. They are also responsible for assisting in designing, preparing and applying all methodological tools such as surveys, evaluation question protocols and matrixes, etc. and for conducting interviews and participating in meetings with key stakeholders and drafting detailed notes of these meetings.

22. Dissemination of information and products will be done by the IOD Evaluation Section.

23. A lump sum fee will be paid to the external expert(s) in the following order:

- 50% of the sums approved shall be paid after delivery of Inception Report (foreseen early January, 2015).
- 50% of the sums approved shall be paid within 30 days after the delivery of the Final Report (foreseen March, 2015).

24. While payments are made upon satisfactory completion of above mentioned deliverables, for planning purposes the number of days of expert(s) work for this assignment is estimated to be about 30 effective working days over the evaluation period of approximately two and a half months.

25. The experts are expected to do the work home-based and at the WIPO Headquarter in Geneva as needed during the consultation phase. The reimbursement of incidental costs related to travel will be defined during the contracting process.

26. The selection of the experts will be based on a transparent and competitive process in accordance with the standard WIPO procurement procedures based on the criteria defined below in section 8.

8. PROFILE OF EXPERTISE REQUIRED

27. The expert(s)¹⁷ shall have the following profile(s):

- SME and Innovation Structures: Technical competence in SME and innovation support structures and knowledge of issues regarding challenges of SME in the use of the IP system for increasing competitiveness (IP asset management for SME; patent drafting and commercialization);
- Innovation Policy: A good understanding of innovation systems and how they function and of evidence based policy formulation;
- General Expertise in intellectual property, in particular good knowledge about building and increasing capacities in IP and related issues (IP training programs, technology transfer, IP information and awareness, etc.);
- Desirable experience in programming and / or evaluation in the domain of SME's and innovation including with respect to cross-cutting themes (such as gender and human rights where applicable);
- Ability to conceptualize and to understand the systemic implications of evaluation findings and to draw relevant conclusions and recommendations;
- Desirable knowledge of the role and practices of the UN and IP support institutions generally;
- Excellent communication, writing and report presentation skills; and
- Fully proficient in English writing and speaking.

9. SUBMISSION AND SELECTION

28. Interested consultants must submit their technical and financial proposals by Sunday November 23, 2014 (Central European Time). IOD will review each proposal and select the successful candidate based on a short interview.

29. The expression of interest should identify the evaluation experience, membership and credentials of the expert and the primary contacts information. In particular we are looking forward to receive:

- (a) A CV accompanied by a short cover letter;
- (b) If possible, examples of reports or publications in the domain of expertise;
- (c) Two references; and
- (d) Indication of daily rates as a basis for calculation of the estimated 30 days of effective work.

[End of annex VI and of document]

¹⁷ Depending on the profiles submitted, WIPO IOD may engage more than one expert for the fields underlined in the profile description.