# *Ex-ante* Evaluation of the Regional Bureau for Asia and the Pacific Framework for Technical Cooperation
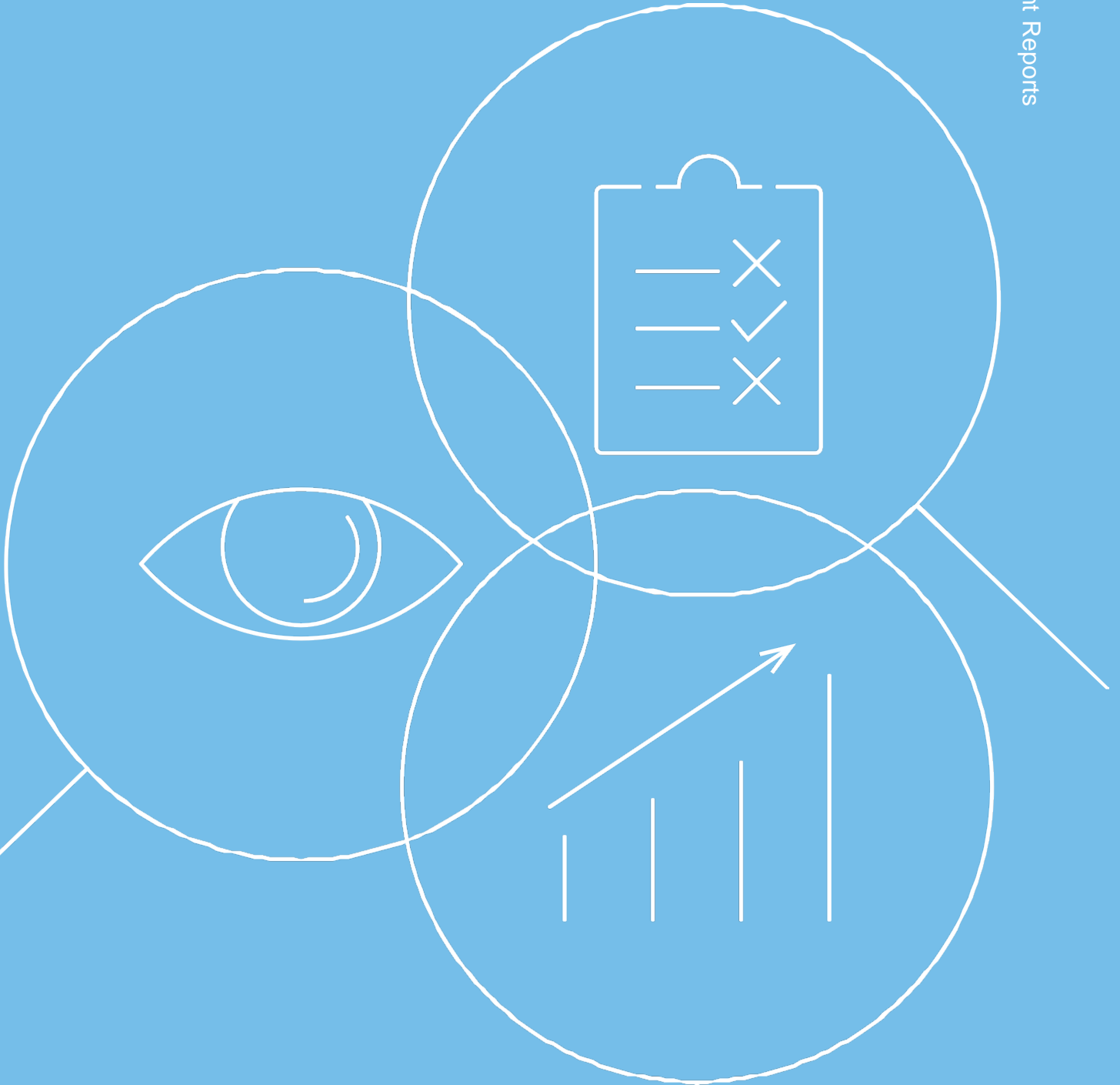
**WIPO**
WORLD
INTELLECTUAL PROPERTY
ORGANIZATION

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## LIST OF ACRONYMS

| | |
|---|---|
| **ASPAC Bureau** | Regional Bureau for Asia and the Pacific |
| **BI** | Business Intelligence |
| **FIT** | Funds in Trust |
| **HIPOC** | Heads of National IP Offices of Countries |
| **ICT** | Information and Communication Technology |
| **IOD** | Internal Oversight Division |
| **IP** | Intellectual Property |
| **LDCs** | Least Developed Countries |
| **M&E** | Monitoring and Evaluation |
| **MSMEs** | Micro Small and Medium Enterprises |
| **PCT** | Patent and Cooperation Treaty |
| **RBM** | Results-Based Management |
| **SMART** | Specific, Measurable, Achievable, Relevant, Time-bound |
| **SME** | Small and Medium Enterprises |
| **TA** | Travel Authorization |
| **TISCs** | Technology Innovation and Support Centers |
| **TOC** | Theory of Change |
| **WIPO** | World Intellectual Property Organization |

## EXECUTIVE SUMMARY

1.      The Internal Oversight Division (IOD) included in its 2020 Oversight Plan the *ex-ante* evaluation of the Regional Bureau for Asia and the Pacific (ASPAC Bureau) Framework for Technical Cooperation, which the ASPAC Bureau requested through management discussions.

2.      The methodology adopted to conduct the *ex-ante* evaluation of the ASPAC Bureau Framework included reviewing each project's Theory of Change (TOC).  Moreover, the evaluation applied ten project documents based on five criteria:  (i) Statement definition;  (ii) Causality;  (iii) Coherence;  (iv) Simplification;  and (v) Use of the smart criteria.  The documentary review was supplemented with interviews with managers and information users to complete an evaluability assessment.

3.      At the strategic level, the World Intellectual Property Organization's (WIPO) Performance Report provides a partial representation of the ASPAC Bureau's contributions.  At times, there was no direct linkage between outputs and the expected results and impacts within projects.  The measuring criteria focus excessively on effectiveness and efficiency, leaving other essential measurement criteria such as sustainability, coherence, and relevance.

4.      Furthermore, the evaluation found that the ASPAC Bureau existing technical frameworks had some elements in need of improvement, including:  (i) the use of Specific, Measurable, Achievable, Relevant, Time-bound (SMART) principles and criteria with results statements and indicators not actionable enough;  (ii) disconnected linkages on the causality and cascading between activities, outputs, outcomes, and impact with imprecise theories of change.  Moreover, it found a lack of clarity on the differentiation between indicators, targets, and baselines.  The roles and functions to be performed at the team level, especially for monitoring progress at WIPO and the country level, were also unclear.  Finally, there was ambiguity on how the progress and expected results would be measured and which tools would be used for data gathering and analysis.

5.      Based on these findings, the *ex-ante* evaluation recommends the following:

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**Recommendations**

1. Future revisions should avoid, whenever possible, measure fixation[1], and keep the framework as simple as possible, implementing first the key performance indicators (attached in annex 3) and eventually using the balanced scorecards.

2. Automate wherever possible, the data gathering process and analysis for reporting in a Business Intelligence (BI) dashboard in collaboration with the Enterprise Architecture and Information and Communication Technology (ICT) Program Management Division.

3. Gather baseline data and fix baselines with inputs from national stakeholders before setting up targets.

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[1]  As defined by the OECD, measure fixation happens when some measures are emphasized at the expense of others, such as quantitative aspects at the expense of qualitative aspects in performance measurement scheme; and short term targets at the expense of long-term objectives (outcome, impact). Learning from Results-Based Management Evaluations and Reviews, Working Paper OECD, 2019

4. The project management capacity within the ASPAC Bureau should be augmented through practice-oriented monitoring training focusing on the theory of change, stakeholders' analysis, survey design, indicators design, case studies, storytelling, and self-evaluation.

5. Pilot the process of unfolding the ten project frameworks with the buy-in of countries and relevant WIPO departments, systematically engaging in a continuous iterative refinement, simplification, and automation of the framework.

## 1. BACKGROUND

6. The ASPAC Bureau was evaluated in the second semester of 2018, covering operations from 2014 and 2017. The first recommendation of the report stated: "The *ASPAC Bureau should build on existing project monitoring framework by factoring in results-based budgeting, gender elements, and reporting against results-based indicators."*

7. IOD included in its 2020 Oversight Plan the *ex-ante* evaluation of the ASPAC Bureau Framework, which the ASPAC Bureau requested through management discussions.

8. An *ex-ante* evaluation[2] is the assessment of a program performed before its implementation. This *ex-ante* evaluation has two objectives:

   (a)    To make the program readily evaluable either internally or externally in the future; and

   (b)    To make the technical cooperation monitoring framework integrated with best practices and relevant to its needs and operations.

9. This *ex-ante* evaluation improves the projects' relevance. It provides information to serve as a basis for Monitoring and Evaluation (M&E) for management throughout the project cycle. The *ex-ante* evaluation output consists of ten project documents, covering the technical monitoring framework and a series of suggestions and recommendations to collect, use, and present M&E data.

### (A)    ORGANIZATION BACKGROUND

10. WIPO's mission is to promote innovation and creativity for all countries' economic, social, and cultural development through a balanced and effective international intellectual property system.

11. The Regional Bureau for Asia and the Pacific is responsible for providing legal and technical assistance to 38 countries, comprising 25 developing countries and 12 least developed countries (LDCs) in the Asia Pacific region. The objective is to make intellectual property (IP) work for sustainable development. The assistance is provided through project-based programs in cooperation with relevant sectors in WIPO.

12. The Bureau also administers several Funds-in-Trust (FITs) arrangements, namely FIT/IP-Japan, FIT/IP-ROK, and a part of FIT/IP-Australia.

13. The ASPAC Bureau activities include:

   (a)    Development of national IP strategies, policies, and country plans, taking into account the priorities and specific needs of each country;

   (b)    Supporting member states in strengthening their IP systems by providing development-oriented technical assistance and capacity building programs, as required;

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2  OECD/DAC Glossary of Key Terms in Evaluation and Results Based Management

(c)      Management of member states' Funds-in-Trust, which contribute to the use of IP for development in the region;

(d)      Promoting regional/sub-regional IP development programs and supporting horizontal cooperation among IP offices through Heads of National IP Offices of Countries (HIPOC) and other initiatives;

(e)      IP institutional capacity building and human resource development (IP office diagnostics, on-the-job training study visits, and other activities);

(f)      Strengthening IP infrastructure;  and

(g)      Developing IP outreach and public awareness programs.[3]

14.      Within the ASPAC region, seven countries, namely Malaysia, Viet Nam, Singapore, Republic of Korea, China, India, Nepal, and Iran, have ranked high according to the Global Innovation Index among 130 economies.

**Figure 1:  Some of the countries served by the ASPAC Bureau**



Source: https://www.un.org/geospatial/content/map-world

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[3]  https://www.wipo.int/about-wipo/en/activities_by_unit/index.jsp?id=1008

## 2.    ASSESSMENT OBJECTIVES

15.    The objectives of the *ex-ante* evaluation of the ASPAC Bureau Framework are:

(a)    To streamline and review existing project indicators/framework to enhance its effectiveness in terms of acceptability, increased utilization for decision making, reporting of results, setting realistic expectations, and avoiding distorting activities;

(b)    To enhance the data gathering process's efficiency, the utilization of tools and technologies that facilitate the monitoring process with the available resources;

(c)    Determine to what extent the framework can be sustained over time with the available resources;  and

(d)    If necessary, define SMART recommendations that can help the ASPAC Bureau develop a useful framework and make suggestions whenever necessary on alternative framework/indicators options.

16.    The ASPAC Bureau is the primary user of the framework.  The evaluation team collected data in collaboration with the various WIPO programs and national stakeholders and shared monitoring data and reports with WIPO management and the WIPO Members States for decision-making purposes.

## 3.    SCOPE AND METHODOLOGY

17.    The ex-ante evaluation scope covers the following topics:

(a)    Analysis of the ASPAC Bureau Framework and WIPO's results-based framework 2020/2021;

(b)    Assessment of the staff, decision-makers, and partner's information needs to assess progress and contributions made via the ASPAC Bureau's initiatives;

(c)    Assessment of ASPAC Bureau roles and responsibilities for the use and implementation of the framework;

(d)    Assessment of current opportunities and challenges for assuring the sustainability of the framework;

(e)    Assessment of existing data collection tools and technologies;

(f)    Assessment of current demands for information and processes;

(g)    Assessment of planning, implementation process, and its linkages with the framework;

(h)    Assessment of the ASPAC Bureau staff and managers' expectations on the framework;

(i)    Identification of the factors that will contribute to an efficient and effective implementation of the framework;  and

(j)    Provide options for improving the existing framework.

18.    The methodology adopted to conduct the *ex-ante* evaluation of the ASPAC Bureau Framework included reviewing the Theory of Change (TOC).  TOC is a comprehensive description and illustration of how and why the desired change is expected to happen in a particular context.

19.    It is focused on mapping out or "filling in" what has been described as the "missing middle" between what a program or change initiative does (its activities or interventions) and how these lead to desired goals being achieved.  It identifies the desired long-term goals and then the conditions (outcomes) that must be in place (and how these are related to one another causally) for the goals to occur.[4]

20.    The evaluation team held several online sessions with the ASPAC Bureau team members to refine and jointly revise each project framework.

**Figure 2:  Example of how the TOC was applied to ASPAC Bureau activities**



# Theory of change example

**5. Impact**
Long term changes that result from an accumulation of outcomes

**Indicators**
% of IP right owners who reported an increase in revenues or who are satisfied with the IP office services

**Capacity-building activities for potential IP right owners**

**4. Outcome**
Why we do it: outcomes are behavioral changes

**Indicators**
% of potential IP right owners who have prepared an application

**3. Outputs**
What we produce: is the result of the activities. Increased IP awareness among potential IP right owners

**Indicators**
% of potential IP right owners that are familiar with the registration process

**2. Activities**
What we do: Events, meetings, consultations, training, missions

**Indicators**
# of participants that found the training useful/relevant/appropriate

**1. Input**
Financial and human resources

**Indicators**
Costs, hours of involvement

**Key assumptions:**
The training does address a need.
The right participants have been invited.
The national context is conducive for IP
Governments support innovation and creativity.

**ASPAC ToC Example**

Source:  Morra, L., and Rist, R., 2009. *The Road to Results*. Washington DC: Published by the World Bank / Phillips P and Phillips J. 2007. *The Value of Learning*. San Francisco: Published by Pfeiffer.  Figure and examples prepared by WIPO IOD in collaboration with ASPAC Bureau, WIPO. 2020.

21.    While the TOC is a useful project management tool to track interventions' progress, it needs to complement other management tools to provide managers with sufficient information.

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[4]  https://www.theoryofchange.org/what-is-theory-of-change/

22.    During the *ex-ante* evaluation, the evaluation team reviewed ten project documents, including log frames and result-based management tools.  The evaluators applied a first analysis of the documentation based on five criteria:

      (a)    Definition:  Are the impacts, outcomes, outputs of the projects relevant to the stakeholders' needs?

      (b)    Causality:  Are the causal linkages among impacts, outcomes, and outputs correct and appropriate?

      (c)    Coherence:  Are the impacts, outcomes, outputs, and respective indicators coherent and aligned to Program 9 and other applicable WIPO strategic objectives?

      (d)    Simplification:  Is it possible to reduce the number of impacts, outcomes, outputs, and their respective indicators without having undesirable effects on the overall scheme of the projects?

      (e)    Use of the smart criteria:  Did the managers use the SMART criteria in defining impacts, outcomes, outputs, and their respective indicators?

23.    The evaluation team provided comments and suggestions on the log frames to each one of the ten managers.  Each manager was contacted and interviewed for an in-depth discussion of their projects' evaluability and the improvement and definition of impact, outcomes, outputs, and corresponding indicators.

24.    The evaluation team made suggestions for each of the ten project documents to reflect the log frames' discussions and improvements.  There were five additional iterations and rounds of exchanges and meetings between the evaluation team and the ten project managers to refine and coordinate a final version of the ten project frameworks.

## 4.    FINDINGS AND ADDED VALUE OF ADVISORY ENGAGEMENT

25.    This section covers the significant observations and findings that the evaluation team found while analyzing the ASPAC Bureau Framework.  It describes how the advisory engagement added value to the ASPAC Bureau and highlights any potential gaps and revisions made jointly with the Bureau.

26.    At the strategic level, the initial analysis of the ten projects documents (impacts, outcomes, outputs, and its respective indicators) revealed that:

      (a)    Some essential contributions of the ASPAC Bureau were only partially reported in the WIPO Performance Report;

      (b)    At times, there was no direct linkage between outputs and the expected results and impacts within projects;  and

      (c)    The measuring criteria focus excessively on effectiveness and efficiency, leaving other essential measurement criteria such as sustainability, coherence, or relevance only marginally considered.

27.    The *ex-ante* evaluation of the ASPAC Bureau identified a list of projects for which monitoring practices could be improved:

(a)     Country and regional plans for technical cooperation monitoring (six-year plans);

(b)     Resources and management diagnostic for national IP offices;

(c)     Enabling innovation environment to strengthen business competitiveness through brands and designs;

(d)     Enabling innovation environment to increase the capacity for technology innovation support;

(e)     Enabling innovation environment to increase usage of global IP systems (IP roving seminars on Madrid).

(f)     Enabling innovation environment to increase usage of global IP systems (IP roving seminars on Patent and Cooperation Treaty (PCT).

(g)     Intensifying conversation with countries in the region HIPOC+.

28.     The evaluators found that the ASPAC Bureau existing technical framework could be further improved, and some of these improvements included:

(a)     Results statements and indicators were not actionable enough, and there was limited use of SMART principles and criteria;

(b)     Imprecise linkages and cascading between activities, outputs, outcomes, and impact results levels with an unclear TOC;

(c)     Not enough differentiation between indicators, targets, and baselines;

(d)     Unclearness about the roles and functions to be performed at the team level, especially for monitoring progress at WIPO and the country level;  and

(e)     Misperception on how the progress and expected results would be measured and the tools used for data gathering.

29.     Following the ASPAC Bureau Framework's revision, the evaluation team identified five main impact areas common to the ten projects that ASPAC Bureau implements. These impact areas consolidate a more straightforward framework depicted in figure 3.  For each of the five impact areas, the ASPAC Bureau managers and the evaluators have developed a TOC.  Each impact area includes one or more of the ten projects through which the ASPAC Bureau operates.

30.     Each project is briefly described and presented under each TOC for the impact areas. Its reviewed and revised specific results-based framework is an integral part of this advisory consultancy and report (see Annex III).

**Figure 3:  Five impact statements and results**



**NATIONAL LEVEL**

**01** **% of countries reporting positive changes from concerned IP stakeholders as a result of improvements in the national and institutional frameworks**

Contribute to improve the national and institutional IP framework for better governance through a more coherent, systematic/better integration of IP with relevant WIPO and national development priorities, economic objectives and critical linkages with relevant public policy areas and development priorities in the ASPAC region.

**INSTITUTIONAL LEVEL**

**02** **% of national offices reporting improvements in efficiency/ effectiveness levels as a result of the diagnostics exercise**

Modernization of IP offices has contributed to the efficiency and effectiveness improvements of IP offices in delivery of services to user community.

**03** **% of offices reporting improvements in IP services as a results of competency-based training**

Competency-based training has an impact on better quality of IP services, increased productivity of examiners and increased staff development through better personnel and training management within the National IP Offices.

**COMMUNITY LEVEL**

**04** **% of beneficiaries reporting positive medium to long-term changes/ effects as a result of the capacity building activities**

Enhanced access to, and use of IP information, and increased capacity of IP institutions and the public to promote innovation and creativity

**05** **% projects that contributed to reducing the gender gap and mainstreaming gender across its results frameworks**

Women empowerment consistently promoted and mainstreamed across all projects to contribute to reducing the gender gap in the region

Source:  Figure prepare by IOD in collaboration with the ASPAC Bureau, WIPO 2020

(A)     SPECIFIC ADDED VALUE OF THE ADVISORY ENGAGEMENT

31.     In addition to the above, the evaluation team, in collaboration with the ASPAC Bureau, worked on the revision of its monitoring framework and covered different aspects, improving and adding value in the following:

**Figure 4:  Aspects considered for the revision of the monitoring framework**



Source:  IOD Evaluation Section, October 2020

(i)     Avoid measure fixation

32.     The evaluation also notes that, at times, project implementers are requested to deliver quick results.  This can lead to the development of monitoring frameworks with an unproportioned number of outputs.  This tendency was also found in the ASPAC project metrics.  Consequently, it is difficult to report how the ASPAC Bureau contributed to more long-term results, especially those at the country level.  The pressure for quick results comes at the cost of qualitative evidence.  This revised version has focused on providing evidence on the ASPAC contribution to Facilitating the Use of IP for Development (WIPO Strategic Goal III).  As part of this process, the evaluation team focused on the following:

(a)     Ensuring that the ten projects' metrics remain relevant to line managers, the ASPAC Bureau Director, and IP stakeholders at the national level;

(b)     Ensuring causal linkages among different technical framework levels work (causal linkages output, outcome, and impact level);

(c)     Ensuring the TOC for the project frameworks is solid;

(d)     Streamlining of the indicators among projects to reduce their number and consolidate synergies;

(e)     Ensuring that the technical framework for projects defined SMART impact, outcome, and outputs and its indicators for each activity level;  and

(f)     Ensuring coherence and alignment of indicators with WIPO strategic goals.

(ii)     Improve the balance between learning and accountability

33.     While the ASPAC Bureau monitoring framework can be used as a tool for reporting purposes to external stakeholders, it is far more essential to assist project implementers in tracking progress and signalize any deviation due to challenges in the implementation context. The framework should be useful for rapid action and improvement measures in a timely manner. The framework should be a management tool and not only an annual reporting tool. Therefore, during the review, the ASPAC Bureau and the evaluation team identified indicators that could contribute to a reflection process between national stakeholders and WIPO project implementers.

34.     Besides, during the revision, the ASPAC Bureau and the evaluation team agreed to further work on a scoring card proposal that could complement the usual results-based framework.  The scoring card aims to provide evidence on whether the resources were efficiently used to deliver the expected results. It assesses whether the existing human resources have been supplied with sufficient resources for developing staff capacities and learning space.

35.     During the revision process, project implementers took ownership of their indicators' development and reflected on their respective projects' contribution.  This reflection time was essential to:

(a)     identify indicators to reinforce project implementers' mutual accountability towards achieving results and

(b)     move as much as possible from a responsive management style to a responsible management one.

(iii)     Strengthening guidance and monitoring culture

36.     During the process, the evaluation team's priority was to provide guidance whenever needed.  This guidance included clarification of different aspects of a TOC and results-based management.  WIPO has a results-based framework and comprehensive guidance for project managers.  However, this guidance is insufficient when developing monitoring frameworks in complex national and regional contexts.  The current framework aims to reinforce the ASPAC Bureau monitoring culture as follows:

(a)     Making project managers accountable for the delivery of their defined results. Project managers are responsible for tracking progress against the output and outcome level indicators and identifying strategies for overcoming any challenges during implementation;

(b)     Giving the project managers the responsibility to report quarterly on a dashboard, whether they are on track, their challenges, and the strategies they are applying to address challenges.  In addition, during meetings, the main questions will be whether anything can be learned or replicated;

(c)     The ASPAC Bureau Director will sensitize project managers on the importance of reinforcing a learning culture.  Project managers will be requested to report in addition to their progress dashboards not only success but also limitations and strategies identified for mitigating any challenges.  Discussions of lessons to be learned should form part of the monitoring discussion, which should take place in an informal setting.  It is strongly recommended to provide non-financial incentives such as appreciation, recognition, and responsibility delegation to enhance learning.  For learning to happen, staff will need to

trust their managers and peers to report success and failures. Punishment and shaming culture for reporting failures should be avoided at all costs;

(d)     Automate processes whenever possible – currently, the ASPAC Bureau team does not have a system for collecting data from surveys and analyzing survey results. During the evaluation, the evaluation team agreed with the ASPAC Bureau to use a survey tool such a Survey Monkey. The aim is to automatize the process to reduce the time spent on gathering and analyzing data;  and

(e)     Instead of focusing on what should be reported, the framework's revision should concentrate on the project 'implementers' contributions.

37.     During the interaction with the evaluation team, the project implementers reflected on indicators and monitoring tools. This was an essential outcome for the enhancement of a monitoring culture of the process. The development of indicators should not become an automated ticking box exercise but rather a process that helps managers reflect on what they would like to achieve. It should provide an opportunity to self-assess their strengths and apply what they have learned.

> (iv)    Make the monitoring framework more flexible and adaptable to the complex context

38.     The ASPAC Bureau monitoring framework, like many other frameworks, is, at times, developed in a vacuum. After defining the indicators, it is unclear how data will be gathered and even less clear how implementers will contribute to national or even regional results. During the revision of the framework, the ASPAC Bureau and the evaluation team applied an adaptable management approach and sensitized project implementers on the following:

(a)     The importance of baselines. Even though baselines still need to be agreed upon as part of this exercise, baselines would need to be set with national stakeholders' inputs. Project implementers need to be defined for every indicator in collaboration with national stakeholders;

(b)     The revised monitoring framework is flexible enough to allow some adjustments at the output level, especially when working in a very complex context, in which planning strategies might not always be implemented. Under such particular circumstances, project implementers could re-adapt their outputs to reflect changes during the implementation;

(c)     The evaluation team kept metrics as simple as possible – many metrics could be used to measure impact and outcomes. However, in collaboration with the ASPAC Bureau, the evaluation team defined five impact results and indicators that should provide stakeholders with the most important contributions;  and

(d)     Staff was able to be more innovative and creative when defined as its indicators. This was not always simple, as WIPO has a risk-averse culture. Still, a start has been done motivating staff to take some risk during the monitoring framework development.

> (v)    Assure the identification of measurement methods and tools.

39.     Most of the time, monitoring frameworks do not work because support was not provided to gather and analyze data. At times, data gathering processes are too sophisticated that projects would need particular expertise to collect and analyze them. Tools and methods for gathering data were discussed with the responsible project implementers. During the process, the evaluation team ensured that for every indicator, project implementers defined the following:

(a)     Why do they need specific data?

(b)     Is the data readily available or easy to obtain?

(c)     Who will gather the data?

40.     The evaluation team worked with the ASPAC Bureau team in reducing the amount of data gathered through surveys.  Instead, the team agreed to use already existing data whenever possible from the national counterparts.  In cases where data had to be collected, the evaluation team ensured that the methods were easy to implement.  Besides, it was agreed that survey results would be reported only on an annual basis.  Output results would mainly be used for the project implementer's internal use.  In addition, the evaluation team assured the following:

(a)     Ensuring the feasibility of the data collection tools and analysis for the ten-project framework and its indicators;

(b)     Identifying potential needs gaps to operate the projects, technical framework, and recommending improvements in staff capacity on Results-Based Management (RBM);

(c)     Roles and responsibilities – who is going to provide which data? Who will collect data?

(d)     Sensitization on the importance of baselines – various projects had defined targets, but these were set in the absence of baselines.  During the discussions with the ASPAC Bureau team, it became clear that realistic targets were essential.  However, targets can be agreed upon between project managers and partners once baselines have been identified. Results cannot be delivered in isolation but are achieved as a joint effort with various partners.  Consequently, targets and baselines should be defined jointly with inputs from national counterparts.

(vi)     Improve ownership

41.     The evaluation team guided project implementers in defining the indicators.  This process is time-consuming, but the evaluation team clarified that the indicators should be useful for the project implementers and should not be designed to satisfy assessors' demands.  Rather indicators should be a reflection of the services they provide and the results they contribute.

42.     Project implementers revised its monitoring frameworks until they felt satisfied with the results.  Fine-tuning of revised indicators and identification of monitoring tools needs to be done in collaboration with national counterparts.  This process enhanced the probability of use and utility of indicators in the short and medium-term.

43.     In addition, the evaluation team identified the potential needs gaps to operate the projects, technical framework, and recommending improvements in staff capacity on RBM.  Empowering staff with the necessary knowledge to build its indicators is an essential step towards increased ownership.

(vii)     Clarification of users information needs

44.     Information users have different information needs, while a project implementer might regularly track their actions and initiatives.  A program manager would be overwhelmed by this level of detail coming from each project.

45.    The higher one moves up on the management hierarchy, the more we need to report on concrete outcomes and combine them with real beneficiary stories.  Top-level strategic stakeholders might not always be interested in knowing how many workshops one holds or how many MoUs one signed.  However, they might be somewhat interested in learning who has benefited from all those workshops and what improvements the evaluation team has observed due to such workshops/activities. More importantly, they might want to know the direct contribution through concrete examples.

46.    It would be counterproductive to share all detailed information with higher-level managers or external stakeholders who are already provided with vast amounts of data.  As part of the revision, the evaluation team strongly recommended project implementers to keep reporting simple.  The higher the reporting goes, the more it should focus on concrete outcomes and examples of critical stories and lessons learned.

47.    The evaluation team advised on a way forward to manage and use the information from indicators by utilizing dashboards for decision-making.

**Figure 5:  Needs for information by users and result levels**

| Impact | Outcome | Output |
|---|---|---|
| Reporting frequency;  Every 4 to 5 years | Reporting frequency;  Yearly | Reporting frequency;  Quarterly |
| Users of information:  Senior managers, program and project managers, Member States, national stakeholders | Users of information:  Senior managers, program and project managers, Member States, national stakeholders | Users of information:  Program and project manager |

Source:  IOD Evaluation Section, October 2020

(B)     IMPACT STATEMENT 1: BUILDING FRAMEWORKS

48.     The ASPAC Bureau, through the implementation of its activities, aims to contribute to improving the national and institutional IP framework for better governance through a more coherent, systematic/better integration of IP with relevant WIPO and national development priorities, economic objectives, and critical linkages with relevant public policy areas and development priorities in the ASPAC region.

49.     Figure 6 below provides an overview of the TOC, including the project's needs to achieve the desired results.

**Figure 6:  TOC for achieving impact 1**
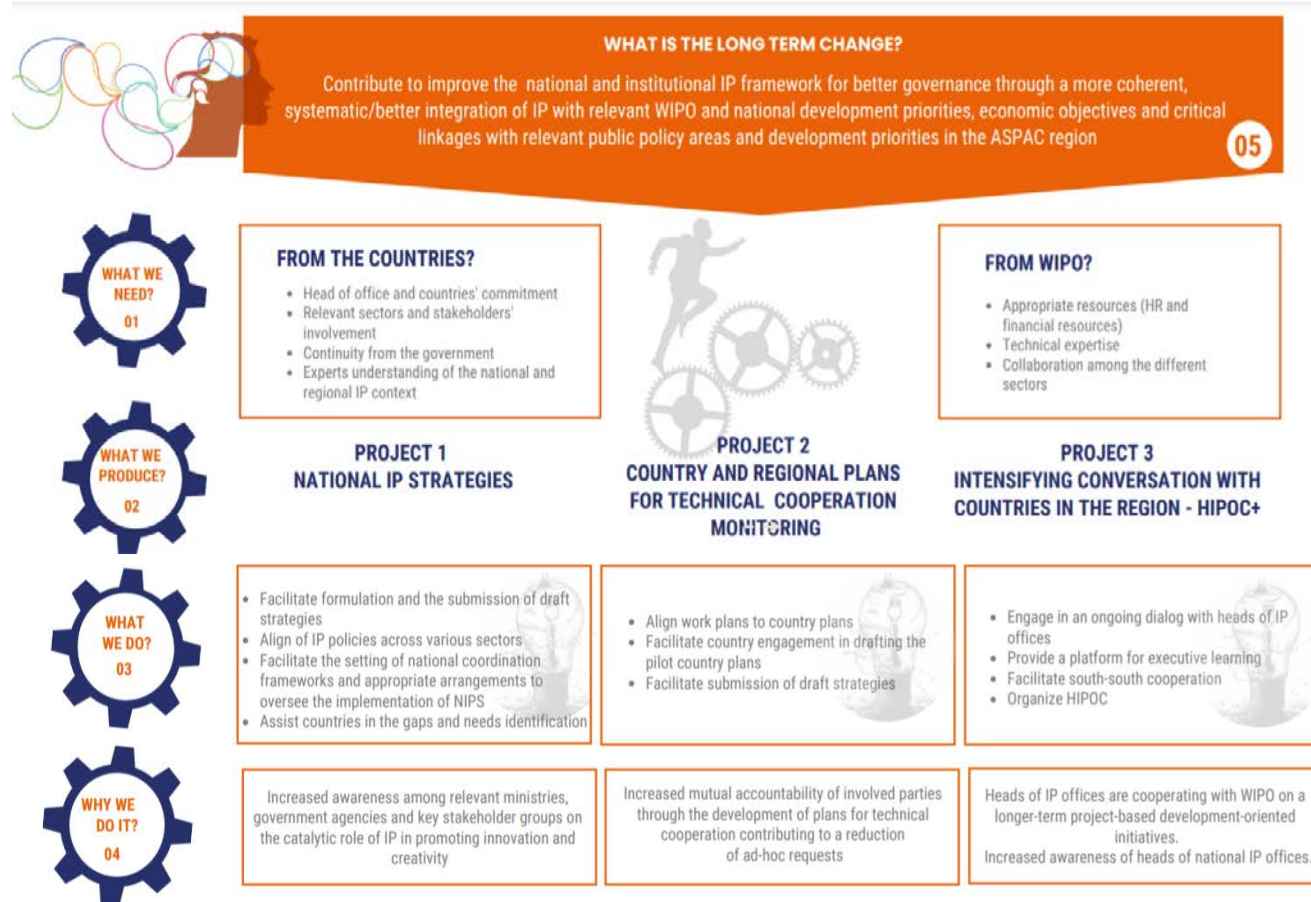


Source:  Figure prepare by IOD in collaboration with the ASPAC Bureau, WIPO. 2020

(i)     Project 1: National IP Strategies

50.     The project enables countries to achieve a more coherent and systematic integration of IP aligned to relevant WIPO's, national and regional priorities.  Although the output is a tangible strategy document, the consultative and consensus-building process brings together various government agencies to learn, discuss, and agree on collective actions to address multiple IP and development issues.

**Table 1:  Project 1 Fact Sheet**

| | |
|---|---|
| **Starting Date** | Depends on the readiness and commitment of the country concerned – for WIPO, the project could be initiated within three to four weeks if the budget is available or has been allocated under the work plan |
| **Duration** | It depends on the schedule, resource commitment, and preference of the country concerned.  From past experience, the project's duration (from the start of the formulation process to the submission of the draft strategy) could vary from six months to two years in most cases |
| **Partners** | The principal partners are often the national IP offices and their supervisory ministries |
| **Target Area/Countries** | For 2020 – Malaysia; For 2021 – Malaysia and Myanmar |
| **Beneficiaries** | Beneficiaries include relevant ministries responsible for sectoral areas related to IP, government agencies related to national planning and innovation, national IP offices, IP institutions (technology management offices, Technology Innovation and Support Centers (TISCs), etc.), and user community (individual inventors, creators, Small and Medium Enterprises (SMEs), industries, etc.) |
| **Cost** | Varies from country to country, but by and large, costs range between CHF 25,000 to CHF 60,000 |
| **Funding Source** | WIPO and FITs, as well as the national authorities concerned |

**Figure 7:  Project 1 Results and Requirements**



| Why was this Project considered by the country? What are the benefits for the country? | What does it take to achieve the expected goals? What are the resource requirements & obligations of the country? | What are the country readiness factors? What are the pre-conditions & requisites for this Project? | What technical assistance is offered by the Project? (Project duration is 6 years) |
|---|---|---|---|
| To integrate IP into broader national goals | Engagement of qualified local experts | Political commitment from top government (at least ministerial level) to formulate the IP Strategy | Pool of experts to work with government |
| To create better functional linkages between national economic objectives, development priorities and resources with the national IP system | Creation of an inter-ministerial team of focal points willing to coordinate with state and non-state actors | Existence of written government policies and/or economic studies to anchor IP upon | Capacity building on contemporary IP-related issues |
| To expand IP expertise to all relevant government sectors | Resources to organize the required consultation meetings | | Consultation meetings with stakeholders |
| To conduct a national consultation process on IP policies and issues | Translation and customization of NIPS tools | | Drafting of strategy statement and roadmap |
| To draft a roadmap based on policy needs and areas of development | | | Strategy implementation |
| | | | Revision & improvement of the existing methodology and tools including self-help tools |

Source:  ASPAC Bureau

> (i)     Project 2: Country and regional plans for technical cooperation monitoring (six-year plans)

51.    This project captures more comprehensively and monitors the technical cooperation with countries in the region from all WIPO Sectors.  It offers a framework to communicate, track, and report results of technical assistance at the country-level.  It embodies WIPO's Strategic Goals, the Development Agenda principles, the Program and Budget guidelines, and recommendations
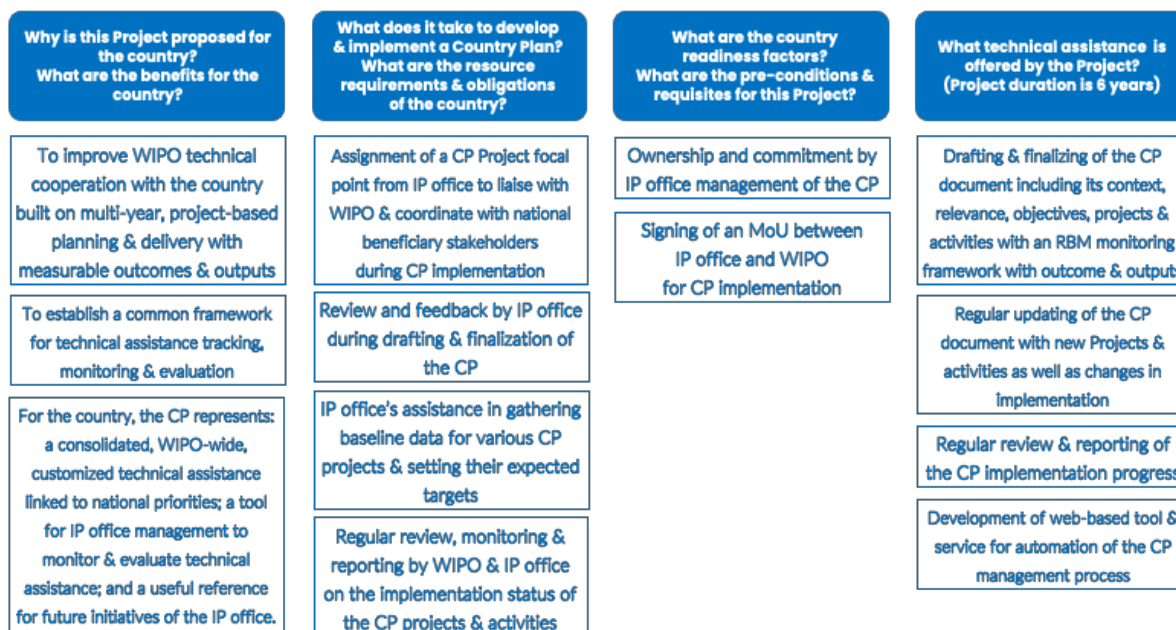
from the internal/external evaluation reports to consolidate technical assistance delivery to beneficiary countries to achieve a cumulative impact.

52.  Country and regional plans will be automated to provide a lighter system for ease of working.

**Table 2:  Project 2 Fact Sheet**

| | |
|---|---|
| **Starting Date** | WIPO initiates the process and submits a draft for consultation with countries.  However, countries may request it, especially when it needs to track and monitor the increase in cooperation activities |
| **Duration** | Since the methodology is evolving and automation is being explored, the initial draft takes six months, but the updating and implementation take two years |
| **Partners** | The principal partners are often the national IP offices and their supervisory ministries |
| **Target Area/countries** | For 2020, all of the Association of Southeast Asian Nations countries and Samoa will have the country plans completed in addition to updates for Iran and Pakistan |
| **Beneficiaries** | The beneficiaries include the IP office concerned and, to a certain extent, its supervisory ministries |
| **Cost** | Cost starts from CHF 25,000 per plan |
| **Funding Source** | WIPO and national authorities concerned |

**Figure 8:  Project 2 Results and Requirements**



| Why is this Project proposed for the country? What are the benefits for the country? | What does it take to develop & implement a Country Plan? What are the resource requirements & obligations of the country? | What are the country readiness factors? What are the pre-conditions & requisites for this Project? | What technical assistance is offered by the Project? (Project duration is 6 years) |
|---|---|---|---|
| To improve WIPO technical cooperation with the country built on multi-year, project-based planning & delivery with measurable outcomes & outputs | Assignment of a CP Project focal point from IP office to liaise with WIPO & coordinate with national beneficiary stakeholders during CP implementation | Ownership and commitment by IP office management of the CP | Drafting & finalizing of the CP document including its context, relevance, objectives, projects & activities with an RBM monitoring framework with outcome & outputs |
| To establish a common framework for technical assistance tracking, monitoring & evaluation | Review and feedback by IP office during drafting & finalization of the CP | Signing of an MoU between IP office and WIPO for CP implementation | Regular updating of the CP document with new Projects & activities as well as changes in implementation |
| For the country, the CP represents: a consolidated, WIPO-wide, customized technical assistance linked to national priorities; a tool for IP office management to monitor & evaluate technical assistance; and a useful reference for future initiatives of the IP office. | IP office's assistance in gathering baseline data for various CP projects & setting their expected targets | | Regular review & reporting of the CP implementation progress |
| | Regular review, monitoring & reporting by WIPO & IP office on the implementation status of the CP projects & activities | | Development of web-based tool & service for automation of the CP management process |

Source: ASPAC Bureau

(ii)    Project 3: Intensifying conversation with countries in the region HIPOC+

53.  Intensifying the conversation with heads of national IP offices of countries in the region is the way to develop closer relations with countries and strengthen their cooperation.  Various channels are used to interact with countries.  This includes periodic video and teleconferences, participation in various high-level WIPO fora, and a yearly gathering of HIPOC.

54.    HIPOC is an integral part of the Bureau's over-all strategy and change process that envisions a more structured framework to equip countries to better absorb and benefit from technical assistance.  Through the years, conversations with the HIPOCs have fostered a leadership thinking that focuses on mutual accountability and coherence of actions in technical cooperation activities.  It has also facilitated south-south cooperation, cross-fertilization of ideas, and best practices among IP offices in the region.

**Table 3:  Project 3 Fact Sheet**

| | |
|---|---|
| **Starting Date** | WIPO initiates the process and submits a draft for consultation with countries.  However, countries may request it or suggest topics for discussion in the meetings.  Countries also take turns hosting the meeting |
| **Duration** | Three days of meeting and online discussions of one hour each periodically |
| **Partners** | The principal partners are often the national IP offices, but some agenda items would have relevant ministries and other stakeholders |
| **Target Area/countries** | For 2020, virtual meetings were held more frequently instead of physical meetings.  Six virtual meetings were scheduled |
| **Beneficiaries** | The beneficiaries include the IP office concerned and, to a certain extent, its supervisory ministries |
| **Cost** | Physical meetings cost ranges from CHF 75,000 to CHF 120,000, but virtual meetings have minimal costs |
| **Funding Source** | WIPO and FITs, as well as the national authorities concerned |

**Figure 9:  Project 3 Results and Requirements**
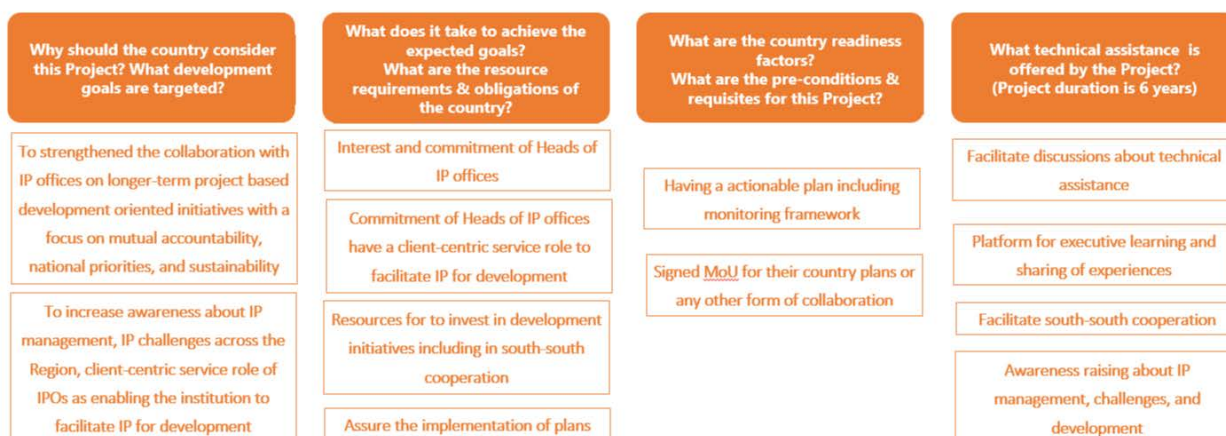


Source:  ASPAC Bureau

(C)    IMPACT STATEMENT 2: MODERNIZATION OF IP INSTITUTIONS

55.    The modernization of IP offices has contributed to IP offices' efficiency and effectiveness in delivering services to the user community.

**Figure 10:  TOC for achieving impact 2**



Source:  Figure prepare by IOD in collaboration with the ASPAC Bureau, WIPO. 2020
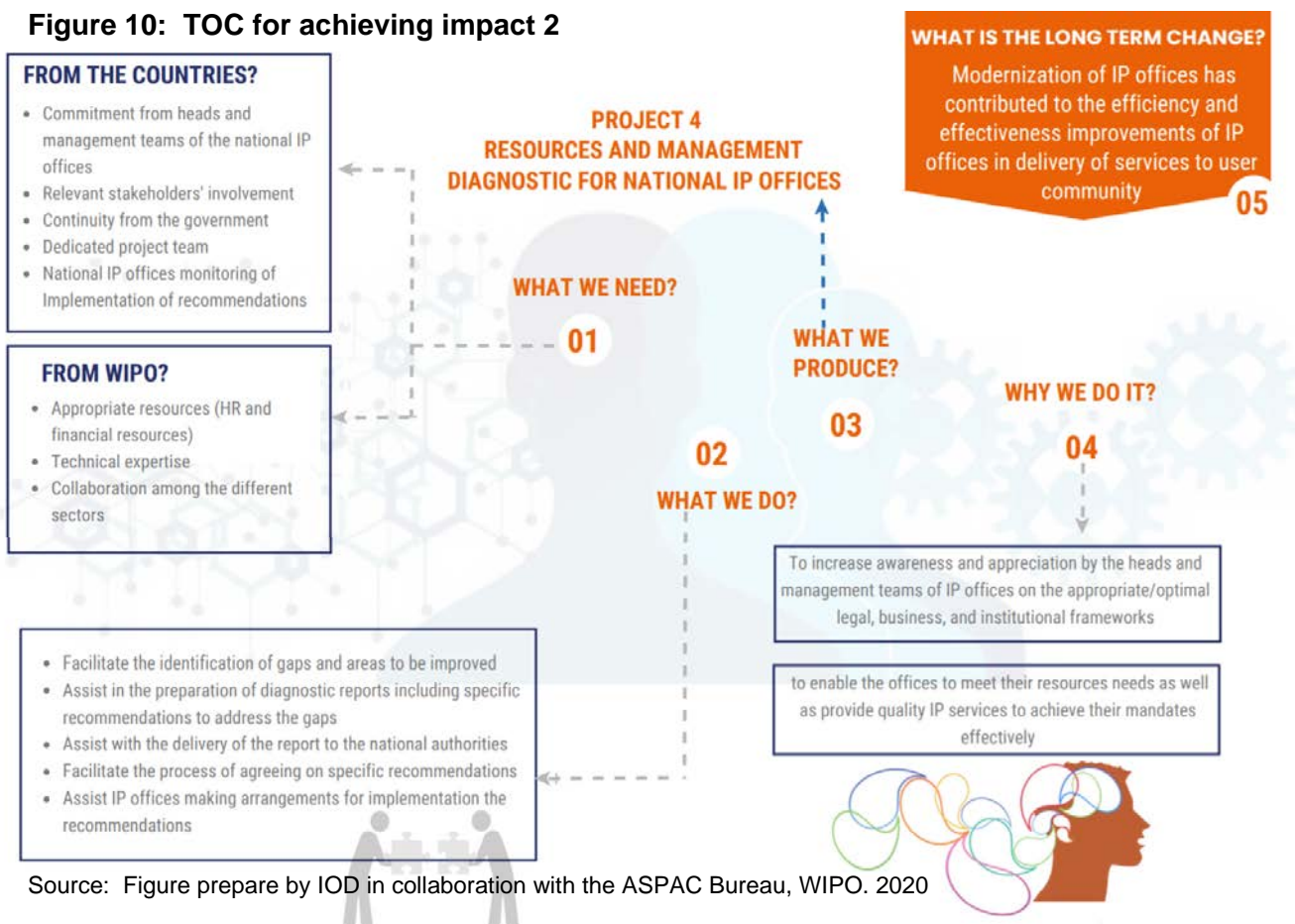
(i)    Project 4: Resources and Management Diagnostics

56.    This project allows countries to assess the legal charter, operational structure, resource, and management systems and their national IP offices' business model to improve IP administration and deliver better/efficient services.

57.    Far from being a typical regulator agency, IP offices are also transforming into enabling institutions with more value-adding services to promote and support innovation and creativity. There is a need to revisit the current make-up of offices and explore opportunities for change, transformation, and modernization to meet IP's growing demands and keep abreast of the related developments nationally, regional, and internationally.  The result of this project will be a confidential report submitted to the head of the national IP office, providing a "guide" to transform/modernize the office.  The report will also be used to discuss and prioritize technical assistance activities for the said office.  When the head of the office changes through time, an updated report will be submitted to the new head.

**Table 4:  Project 4 Fact Sheet**

| | |
|---|---|
| **Starting Date** | Depends on the readiness and commitment of the IP office concerned – for WIPO, the project could be initiated within three to four weeks if the budget is available or has been allocated under the work plan |
| **Duration** | Depends on the schedule, resource commitment, and preference of the IP office concerned  -  from past experience, the duration of the project from the start of the diagnostic/assessment process to the submission of the final report with recommendations) could vary from four months to one year in most cases |
| **Partners** | The principal partners are often the national IP offices and their supervisory ministries |
| **Target Area/countries** | For 2020 – Bhutan, Nepal, and Samoa;  for 2021 – Viet Nam |
| **Beneficiaries** | The beneficiaries include the IP office concerned and, to a certain extent, its supervisory ministries.  Ultimately, the users of services (e.g., inventors, creators, SMEs, IP agents/lawyers, industries, etc.) provided by IP offices are also beneficiaries as they stand to gain more efficient and effective delivery of services from the office concerned |
| **Cost** | Varies from country to country, but by and large, costs range between CHF 15,000 to CHF 50,000 |
| **Funding Source** | WIPO, as well as the national authorities concerned (IP offices and supervisory ministries) |

**Figure 11:  Project 4 Results and Requirements**
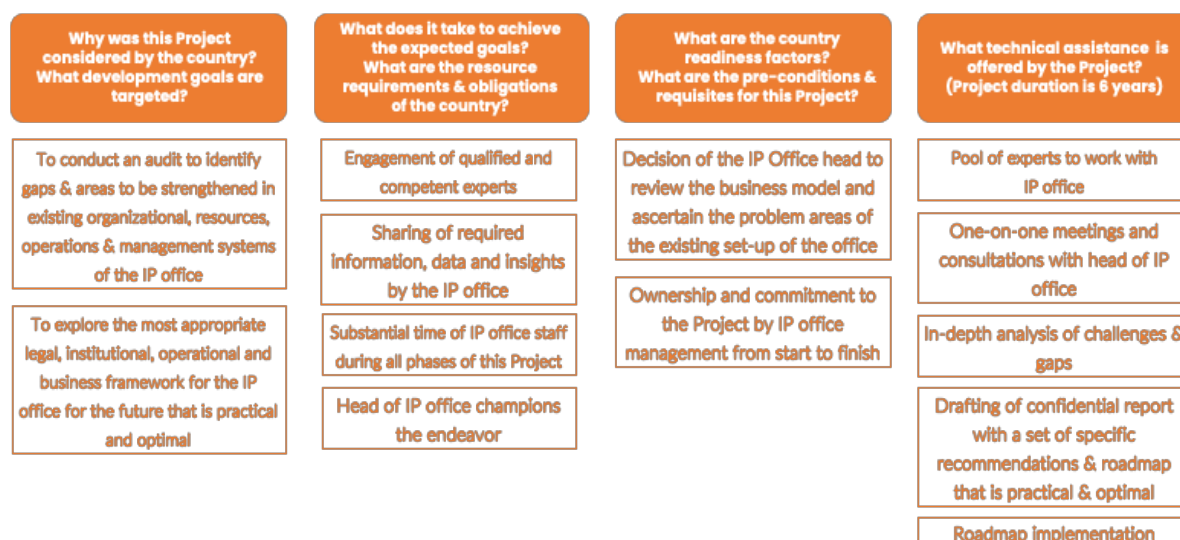


Source:  ASPAC Bureau

(D)    IMPACT STATEMENT 3: IMPROVED NATIONAL CAPACITIES THROUGH COMPETENCY-BASED INDIVIDUALIZED TRAINING

58.    Competency-based training impacts capacity building within national offices through better quality of trademark examination, increased trademark examiners' productivity, and increased staff development through better personnel and training management.

**Figure 12:  TOC for achieving impact 3**
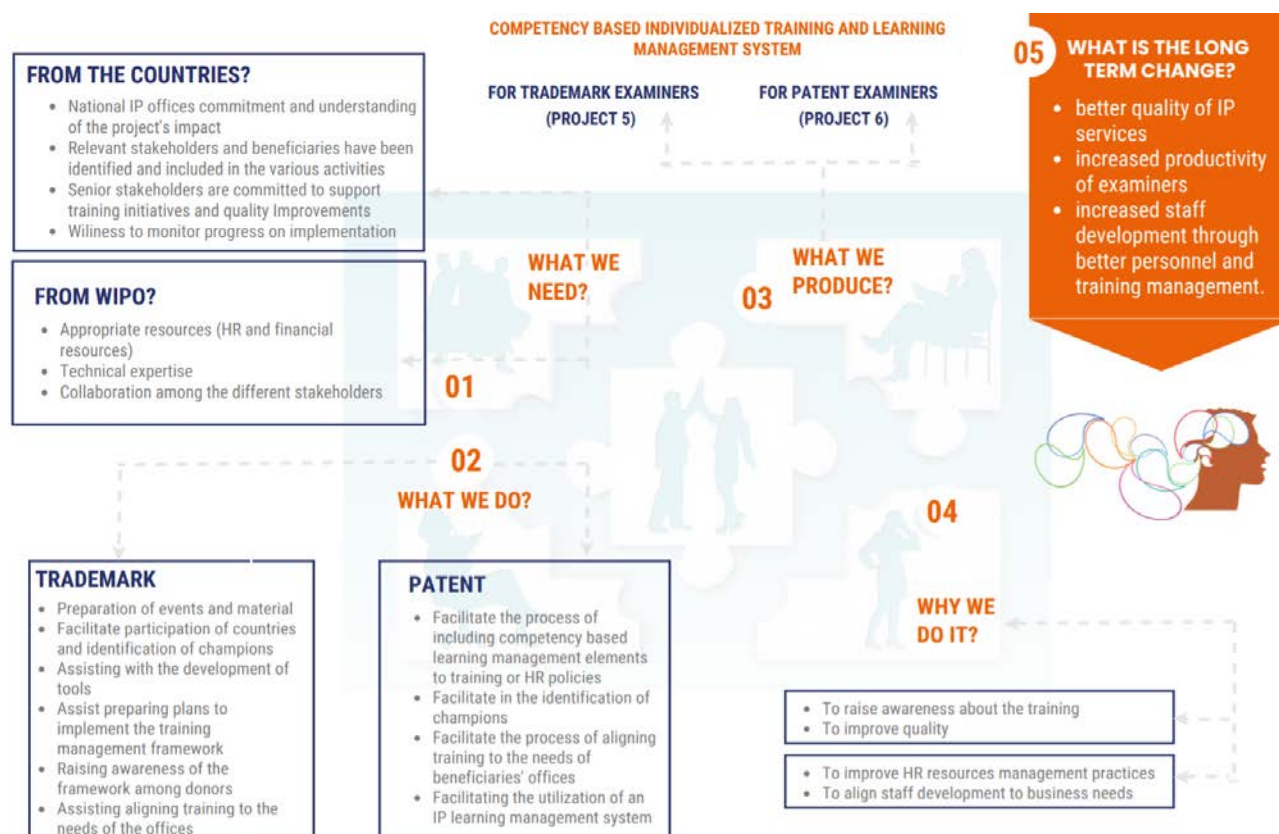


Source:  Figure prepare by IOD in collaboration with the ASPAC Bureau, WIPO. 2020

(i)    Project 5: Individualized Training and Learning Management System for Trademark Examiners

59.    The project seeks to establish a framework whereby training offerings from various entities and donor offices can match individual examiners' training needs from developing and LDCs in the region.

60.    At present, training is an uncoordinated patchwork of seminars and workshops. Simultaneously, trainees have been sent to various training programs with little information or consideration.  Despite years of training, trained examiners under the present set-up cannot learn the full suite of competencies needed to advance examination work.

61.    With a competency-based approach to managing training and patent and trademark examiners, the project seeks to help countries receive training to effectively attain the highest level of competencies using donor offices' training resources.  It also allows countries to track the competency level of their examiners.

**Table 5:  Project 5 Fact Sheet**

| | |
|---|---|
| **Starting Date** | Depends on the readiness and commitment of the IP office concerned (particularly the trademark registry) – for WIPO, the project could be initiated within three to four weeks if the budget is available or has been allocated under the work plan |
| **Duration** | Depends on the schedule, resource commitment, and preference of the IP office concerned - from past experience, the project's duration could vary from two to five years |
| **Partners** | The principal partners are the national IP offices, particularly the heads, examiners, and staff of the trademark registry |
| **Target Area/countries** | For 2020 – Indonesia and Malaysia;  for 2021 – Cambodia and Pakistan |
| **Beneficiaries** | Beneficiaries include principally IP offices concerned (particularly trademark registries).  Ultimately, the user community (individual inventors, creators, SMEs, industries, etc.) stand to benefit from better quality and efficient work by trademark registries |
| **Cost** | Varies from country to country, but by and large, costs range between CHF 10,000 to CHF 30,000 |
| **Funding Source** | WIPO and FITs, as well as the national authorities concerned |

**Figure 13:  Project 5 Results and Requirements**



| Why should the country consider this Project? What development goals are targeted? | What does it take to achieve the expected goals? What are the resource requirements & obligations of the country? | What are the country readiness factors? What are the pre-conditions & requisites for this Project? | What technical assistance is offered by the Project? (Project duration is 6 years) |
|---|---|---|---|
| Improve capacity of trademark examiners progressively, through a learning management system (LMS) aligned to the quality of work and appropriate to the IP office | The development of a roadmap appropriate to current state and future expected state of learning in the IP office | Commitment by the head of IP office and senior trademark examiners | Capacity building activities, competency inventory and assessment |
| Engage trademark examiners through individual development opportunities and involvement in further building a quality culture | The implementation of key tools and initiatives aligned to the roadmap | Initial engagement with the project through a survey or organized event | Support to develop key tools and initiatives |
| Develop a competency framework and curriculum reflecting key tasks and standards | The management and monitoring of transactional and transformational activities and indicators | The nomination of a country champion as a sign of organizational commitment | Consultancy to develop and implement the roadmap |
| | On-going support by the senior/ functional management and senior examiners | The agreement of key indicators relevant to each country | Initial technical support and training on the Moodle LMS System |

Source:  ASPAC Bureau

> (ii)    Project 6: Competency-based and Individualized Training and Learning Management System for Patent Examiners

62.    The project aims to establish high-quality patent examination frameworks with competency-based training structures and learning modalities in relevant countries.  Through this framework, training offerings from various entities and donor organizations can be matched with individual patent examiners' training needs from developing countries and LDCs in the region.
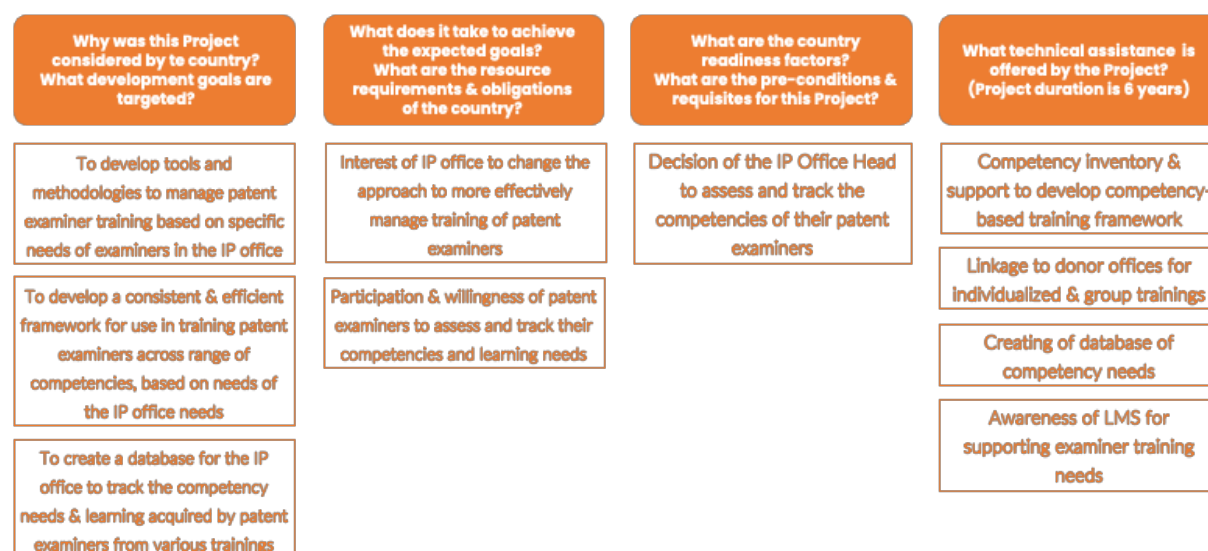
63.    With a competency-based approach to train patent examiners, the project seeks to help countries receive training to effectively attain the highest level of competencies using donors' training resources.  It also allows countries to track the competency level of their examiners.

**Table 6:  Project 6 Fact Sheet**

| | |
|---|---|
| **Starting Date** | 2018 |
| **Duration** | Six years |
| **Partners** | None to date (although desired partners will be IP Offices who act as donors of patent examination training to the Asia-Pacific region). |
| **Target Area/countries** | Asia-Pacific Region Countries |
| **Beneficiaries** | IP offices from the Asia-Pacific region focus on the offices from Malaysia, the Philippines, Thailand, Viet Nam, Bhutan, Pakistan, and Mongolia. |
| **Cost** | 2020 – 20,000 CHF |
| **Funding Source** | WIPO |

**Figure 14:  Project 6 Results and Requirements**

| Why was this Project considered by te country? What development goals are targeted? | What does it take to achieve the expected goals? What are the resource requirements & obligations of the country? | What are the country readiness factors? What are the pre–conditions & requisites for this Project? | What technical assistance is offered by the Project? (Project duration is 6 years) |
|---|---|---|---|
| To develop tools and methodologies to manage patent examiner training based on specific needs of examiners in the IP office | Interest of IP office to change the approach to more effectively manage training of patent examiners | Decision of the IP Office Head to assess and track the competencies of their patent examiners | Competency inventory & support to develop competency-based training framework |
| To develop a consistent & efficient framework for use in training patent examiners across range of competencies, based on needs of the IP office needs | Participation & willingness of patent examiners to assess and track their competencies and learning needs | | Linkage to donor offices for individualized & group trainings |
| To create a database for the IP office to track the competency needs & learning acquired by patent examiners from various trainings | | | Creating of database of competency needs |
| | | | Awareness of LMS for supporting examiner training needs |

Source:  ASPAC Bureau

(E)    IMPACT STATEMENT 4: ENABLING INNOVATION ENVIRONMENT

64.    Capacity building:  Enhanced access to, and use of IP information, and increased capacity of IP institutions and the public to promote innovation and creativity.

**Figure 15:  TOC for achieving impact 4**
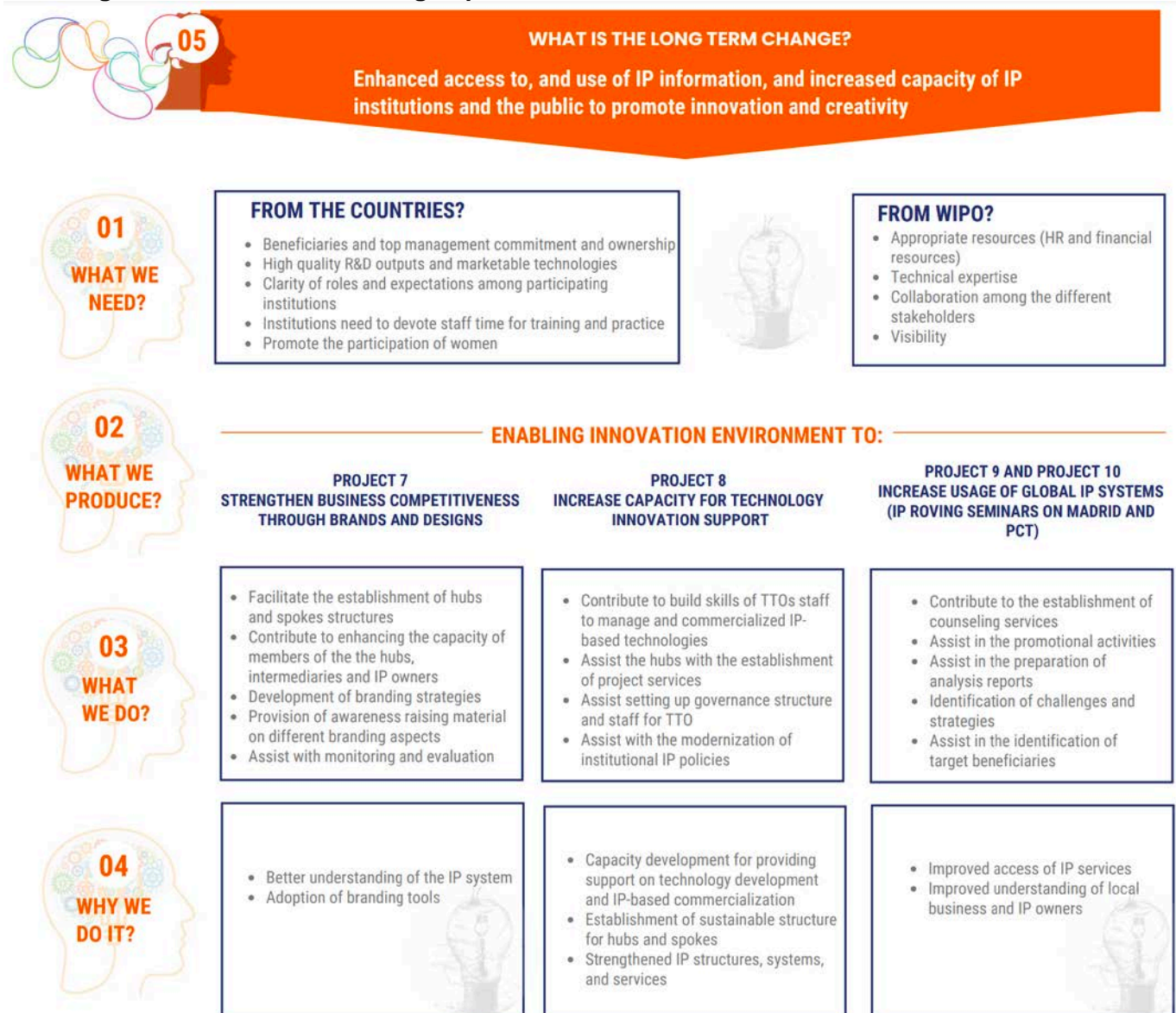


Source:  Figure prepare by IOD in collaboration with the ASPAC Bureau, WIPO. 2020

(i)    Project 7: Enabling Innovation Environment to strengthen business competitiveness through brands and design

65.    The project raises the country's ability to use brands and designs as a value-addition to local businesses and industries.  This requires the necessary knowledge, skills, and experience of professionals from various disciplines, including the business sector, academic institutions, and government entities, among others. These professionals would then be catalysts in developing, protecting, and using trademarks, geographical indications, and designs to benefit

industries and advise other non-IP branding related issues, such as packaging, advertisement, and marketing, including digital marketing.

66.    The project seeks to create/enhance local and affordable IP services by developing a community of practice to serve the Micro Small and Medium Enterprises (MSMEs) primarily to increase the access to use and benefit from the IP system.

**Table 7:  Project 7 Fact Sheet**

| | |
|---|---|
| **Starting** Date | 2018 |
| **Duration** | Five years |
| **Partners** | IP Offices of respective countries |
| **Target Area/countries** | Respective countries in the Asia Pacific region, according to the demand-driven approach |
| **Beneficiaries** | MSMEs, SME,s and IP stakeholders in respective countries |
| **Cost** | According to the allocated budget, every year |
| **Funding Source** | WIPO and FIT/RoK, as well as the national authorities concerned |

**Figure 16:  Project 7 Results and Requirements**
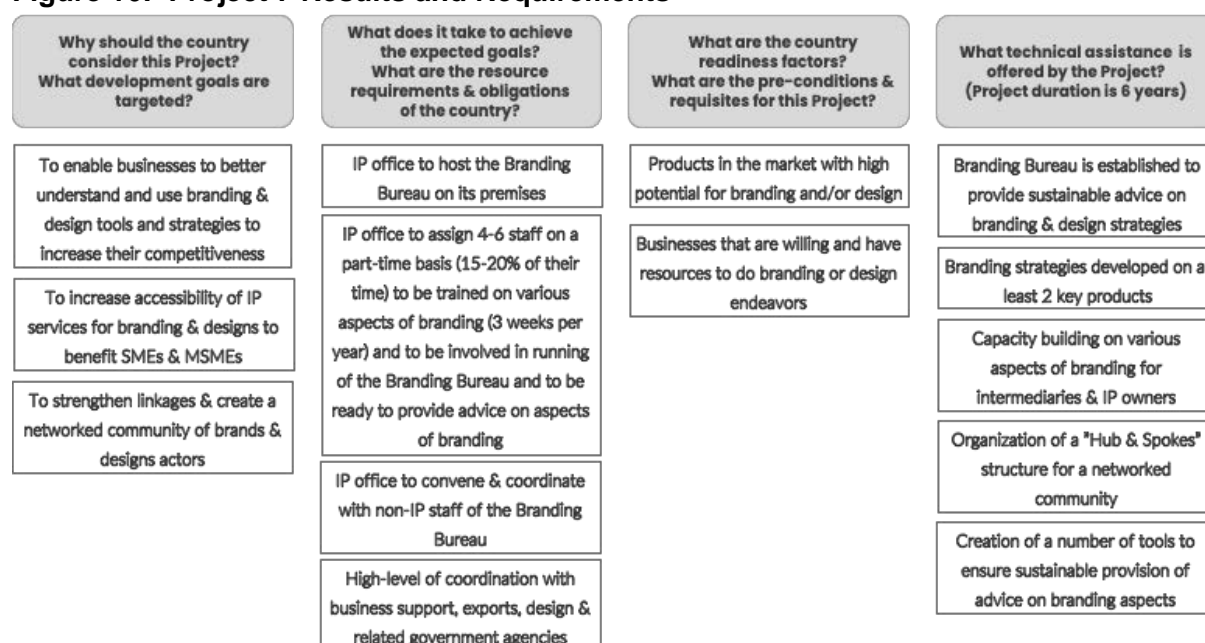


Source:  ASPAC Bureau

(ii)    Project 8: An Enabling Innovation Environment to increase capacity for technology innovation support

67.    The project facilitates technology transfer in developing countries by raising technology-generators and technology-users' capacity to use IP as a common language and protocol for collaborations, transactions, and creating agreements.

68.    This initiative involves a broader societal level of intervention.  WIPO can bring together various innovation value chain (from industry, academe, and government) to communicate and build stronger relations.  It aims for successful technology development until the networked

community of technology transfer actors is envisioned as a milestone towards achieving said goals.  The project will build on the TISC network.

**Table 8:  Project 8 Fact Sheet**

| Starting Date | 2018 |
|---|---|
| Duration | Six years |
| Partners | National IP Offices, Universities, and Innovation Agencies |
| Target Area/countries | Asia-Pacific Region Countries (Malaysia, Thailand, Philippines, Sri Lanka and, Viet Nam) |
| Beneficiaries | National IP Offices, Universities |
| Cost | 2020 – ~300,000 CHF |
| Funding Source | WIPO and FIT/Japan, as well as the national authorities concerned |

**Figure 17:  Project 8 Results and Requirements**
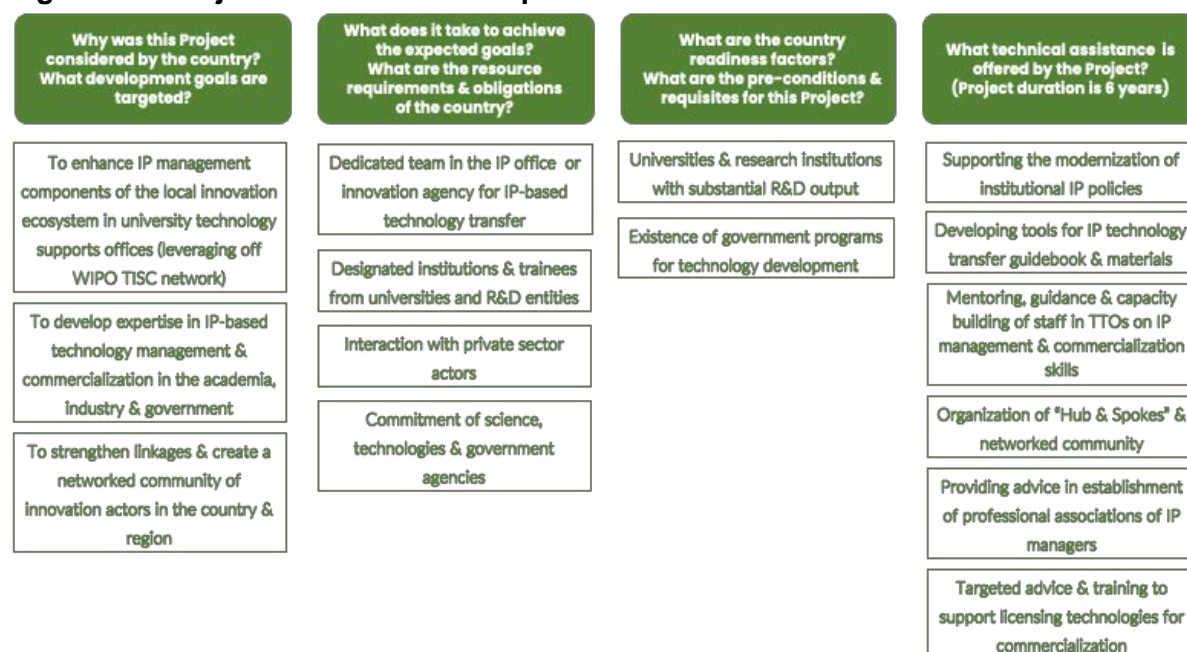


Source:  ASPAC Bureau

(iii)    Project 9: Enabling Innovation Environment to increase usage of the global IP system (IP roving seminars on Madrid)

69.    This project supports national IP offices to develop the local market for trademark, design, including registrations to Madrid and The Hague.  This initiative seeks to identify the causes or factors that lead to the non-filing of IP registrations by specific sectors (notwithstanding the need for IP protection) and explore ways to address it to increase resident filings from developing and developed countries ultimately.

70.    The project will initially pilot several ways to increase filings, evaluate the mechanisms, and conduct market studies to institutionalize a useful tool to promote resident filings in collaboration with the national IP offices.

**Table 9:  Project 9 Fact Sheet**

| | |
|---|---|
| **Starting Date** | 2018 |
| **Duration** | Every year |
| **Partners** | IP Offices of respective countries |
| **Target Area/countries** | Respective countries in the Asia Pacific region, according to the demand-driven approach |
| **Beneficiaries** | MSMEs, SMEs, and Stakeholders in the respective countries |
| **Cost** | An activity would cost by average CHF 10,000.  Total cost is according to the allocated budget, yearly |
| **Funding Source** | WIPO and FIT/Japan, as well as the national authorities concerned |

**Figure 18:  Project 9 Results and Requirements**

| Why should the country consider this Project? What development goals are targeted? | What does it take to achieve the expected goals? What are the resource requirements & obligations of the country? | What are the country readiness factors? What are the pre-conditions & requisites for this Project? | What technical assistance is offered by the Project? (Project duration is 6 years) |
|---|---|---|---|
| To improve access of IP services to local business and owners of IP rights expanding their market through the system for economic growth and competitiveness | Countries commitment to support R&D | Having an analysis report | Customized counseling services for local business and IP rights owners to overcome legal barriers |
| | Interest of local business and IP rights owners to participate in the initiative over long term | Identification of challenges and strategies to address the challenges | Forums, events for local business and IP rights owners |
| To improve marketing and communications on Trademark and Madrid registration systems | National institutional support and facilitating participation of stakeholders | Preliminary identification of potential beneficiaries | Assist in the preparation of country analysis reports |
| | Commitment to work with ASPAC in the preparation of analysis reports | | Awareness raising about the Trademark and Madrid registration systems |

Source:  ASPAC Bureau

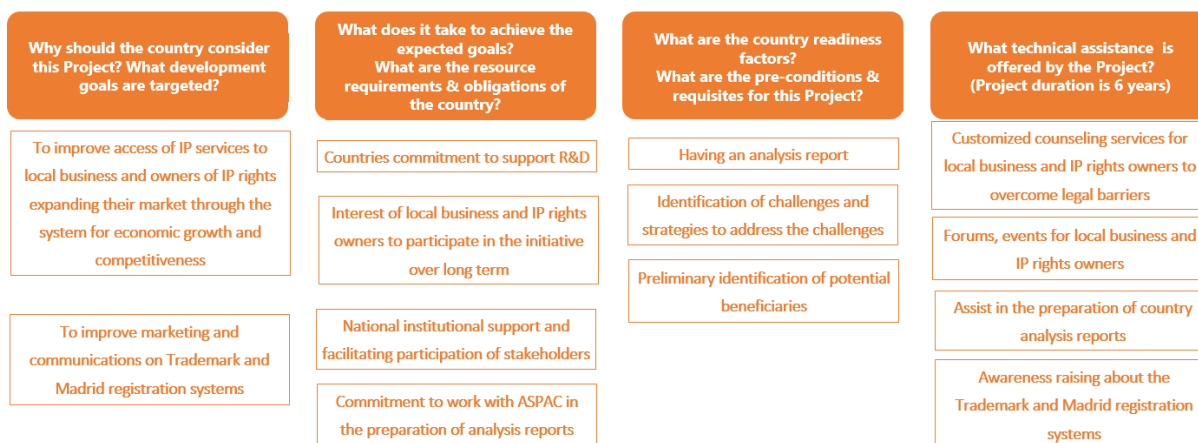> (iv)  Project 10: Enabling Innovation Environment to increase usage of the global IP system (IP roving seminars on PCT)
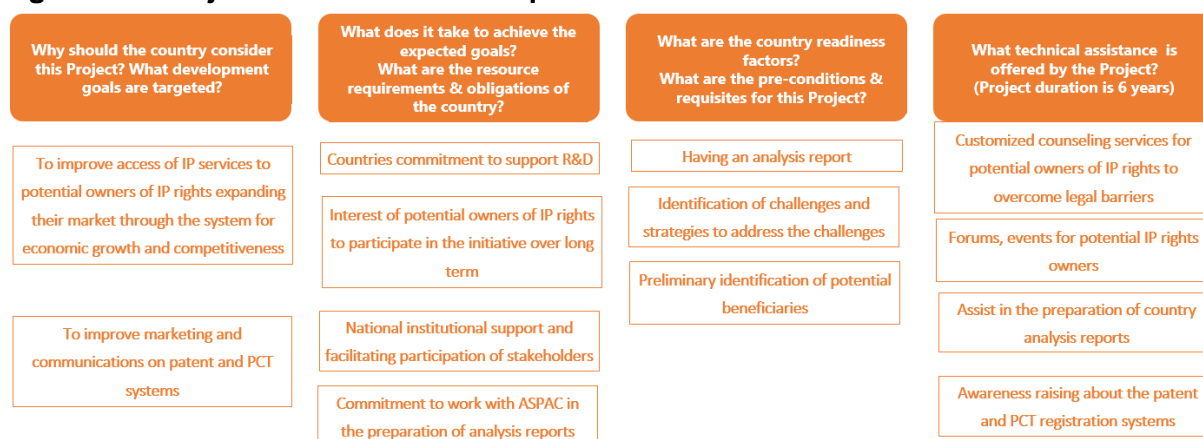
71.    This project supports national IP offices to develop the local market for patent registrations, including registrations to PCT.  This initiative seeks to identify the causes or factors that lead to the non-filing of IP registrations by specific sectors (notwithstanding the need for IP protection) and explore ways to address it to increase resident filings from developing ultimately, and least developed countries.

72.    In collaboration with national offices, the project will test several ways to increase filings, evaluate the mechanisms, and conduct market studies, given institutionalizing an effective mechanism to note resident filings.

**Table 10:  Project 10 Fact Sheet**

| | |
|---|---|
| **Starting Date** | 2018 |
| **Duration** | Every year |
| **Partners** | IP Offices of respective countries |
| **Target Area/countries** | Respective countries in the Asia Pacific region, according to the demand-driven approach |
| **Beneficiaries** | Mostly universities, research entities, their staff, and interlocutors |
| **Cost** | An activity would cost by average CHF 10,000.  Total cost is according to the allocated budget, yearly |
| **Funding Source** | WIPO and FIT/Japan, as well as the national authorities concerned |

**Figure 19:  Project 10 Results and Requirements**

| Why should the country consider this Project? What development goals are targeted? | What does it take to achieve the expected goals? What are the resource requirements & obligations of the country? | What are the country readiness factors? What are the pre-conditions & requisites for this Project? | What technical assistance is offered by the Project? (Project duration is 6 years) |
|---|---|---|---|
| To improve access of IP services to potential owners of IP rights expanding their market through the system for economic growth and competitiveness | Countries commitment to support R&D | Having an analysis report | Customized counseling services for potential owners of IP rights to overcome legal barriers |
| | Interest of potential owners of IP rights to participate in the initiative over long term | Identification of challenges and strategies to address the challenges | Forums, events for potential IP rights owners |
| To improve marketing and communications on patent and PCT systems | National institutional support and facilitating participation of stakeholders | Preliminary identification of potential beneficiaries | Assist in the preparation of country analysis reports |
| | Commitment to work with ASPAC in the preparation of analysis reports | | Awareness raising about the patent and PCT registration systems |

Source:  ASPAC Bureau

(F)    IMPACT STATEMENT 5: GENDER MAINSTREAMING

73.    The ASPAC Bureau, in collaboration with the assessment team, aimed during the review process to strengthen its existing monitoring and feedback mechanisms and make gender mainstreaming an integral part of every project design, implementation, monitoring, and evaluation.  Gender equality dimensions have been mainstreamed across all projects' indicators, tools, and data collection methods.

74.    Surveys and interviews will be designed to provide sex-disaggregated data whenever possible.  This small but essential addition in surveys or statistical data will provide project managers, monitoring, and evaluation staff with information on whether any gender equality dimensions need to be addressed in the different projects during the design and implementation and take any corrective actions.

75.    By integrating gender equality dimensions across the projects, ASPAC Bureau aims to identify challenges and strategies to reduce gender inequalities whenever possible.

**Figure 20:  TOC impact**
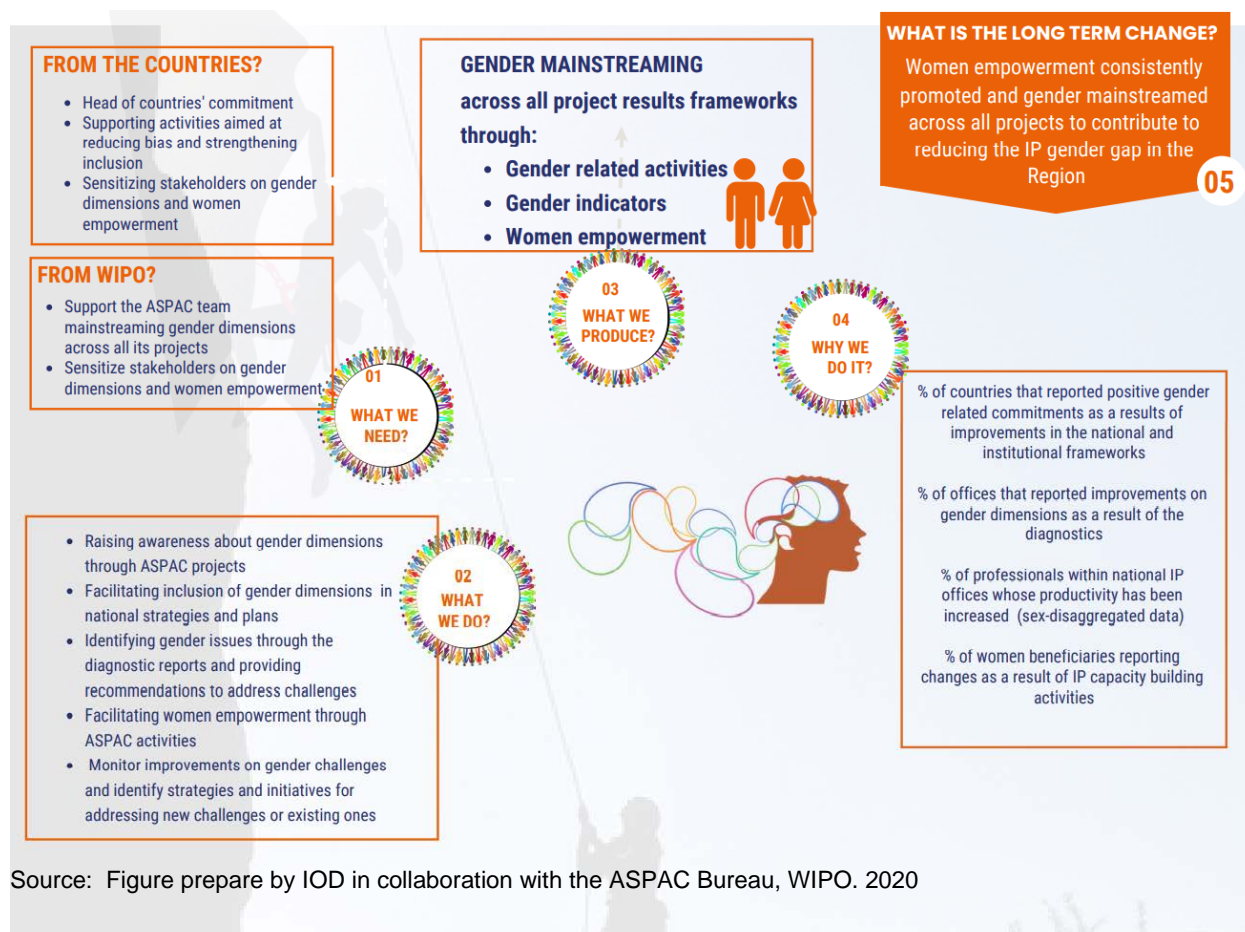


Source:  Figure prepare by IOD in collaboration with the ASPAC Bureau, WIPO. 2020

## 5. TARGETS, BASELINE AND, MILESTONES

76. The evaluation team assisted the ASPAC Bureau in creating a shared understanding between baselines, targets, and milestones. The evaluation team found that, at times, targets were defined without a baseline. This could lead to pervasive indicators, i.e., teams might set up unrealistic targets because no one wants to report results. In cases where targets are too high, the risk would be data manipulation.

**Figure 21: Definitions were applied during the TOC process.**



| Baseline 1 | Targets 2 | Milestones 3 |
| --- | --- | --- |
| • A baseline is a measure of the situation before the action starts (could be zero if a new action)<br>• It is used to measure change and monitor progress<br>• All indicators must have a baseline before the start of the action (or should state when it will become available)<br>• Use existing data where possible, but check reliability | • A target is the desired end point for each indicator. It is often planned to be achieved in the last year of a project<br>• Must be included where baseline data is available<br>• Disaggregated where relevant e.g. by sex/ geography/ income<br>• Should be time specific (i.e. clear when the target is expected to be met) | • are points along the desired trajectory from baseline to target;<br>• will help to track progress and make timely changes to address under-performing areas;<br>• should be annual at the output level (at the outcome level data may not be available annually). |

Source: Capacity4dev, ROM (Results Oriented Monitoring), Session 10 – Indicators, baselines, targets, and milestones. European Union, 2016. Figure prepared by WIPO Evaluation Section

77. While indicators might be designed with a determined target figure, this is not always possible in the absence of baseline data. As the framework needed to be revised and baseline data were not available, data gathering tools will start to be used in 2021.

78. The evaluation team advised the ASPAC Bureau team to establish baselines in collaboration with their national counterparts using the appropriate data gathering tools. Target and milestones can be established after the identification of baselines.

## 6. ASPAC DATA GATHERING TOOLS

79. The ASPAC Bureau, in collaboration with the evaluation team, identified several monitoring tools to track progress towards the results. Output and outcome level results will be measured directly by the ASPAC Bureau in collaboration with their respective national counterparts, and in some cases, national champions chosen by the federal authorities. The ASPAC Bureau will rely on internal or external evaluations to assess impact level results, as these will be more resource-intensive.

80. Overall, the ASPAC Bureau team will use mixed methods - qualitative and quantitative research methods for data collection, depending on the purpose of what needs to be measured. Surveys have become a handy tool, but it is not necessarily the only one. Surveys might sometimes prove unnecessary. Depending on the target groups' size, it might be better to use other qualitative tools. Overall, the following tools were identified:

**Figure 22: Qualitative and quantitative research methods**



Source: Figure prepared by the IOD Evaluation Section, WIPO. September 2020

81. Interviews: are to be used since not everything can be observed or counted. Project managers cannot always be near the project. It is also a challenge to monitor every change, such as feelings, thoughts, or behaviors, at some point in time. Therefore, interviews become an essential part of M&E. Through interviews, project managers will try to capture

(a) whether the project must reduce an existing gap

(b) what the changes perceived were because of the intervention - among other questions aimed at identifying the strengths and weaknesses of the project and potential opportunities.

82. Focus groups: In some instances, the project managers might need to make use of focus group interviews, mainly when the target group consists of a small group of people (six-ten stakeholders). A focus group interview is not a problem-solving session. It is not a discussion, and participants do need to neither agree nor disagree with each other. A focus group is an interview like any other interview to get high-quality data in a social context where people can consider their views in others' opinions.[5]

83. Storytelling: Personal stories provide qualitative information that is not easily classified, categorized, calculated, or analyzed. As Sole and Wilson (2002) explained, the tacit, experience-based knowledge that comes up more quickly in stories can be more critical in problem-solving than information coming through more legal options. Stories are used to provide insights into program processes, show impact, demonstrate innovation, and support numerical data. They have been used to identify issues, support project development, and facilitate reflection on experiences.[6]

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[5] Michael Quinn Patton (2002) *Qualitative Research & Evaluation Methods.* 3 Edition. California, Sage Publications.
[6] https://www.betterevaluation.org/en/evaluation-options/stories

84.     Case study research:  At times, the project managers will ask how and why something occurred.  These questions will not be responded through surveys, in which case, case studies might prove to be a useful tool.  A case study is an empirical inquiry investigating a contemporary phenomenon in depth and within its real-life context, especially when the boundaries between phenomenon and context are not evident.[7]

85.     Record keeping:  using already existing reliable documents or data, especially data coming from the national counterparts.  Some projects will have champions as focal points that will provide existing secondary data to the ASPAC Bureau project managers.

86.     Surveys:  The ASPAC Bureau will use surveys mostly to inquire about stakeholders' satisfaction after events.  Events include workshops, training, national or regional meetings, webinars, and conferences, among others.  The survey will be available online to participants using Survey Monkey to facilitate data gathering and analysis.

87.     Whenever using the tools above (and in particular, interviews, focus groups, storytelling, surveys), the Bureau will strive to target groups as diverse as possible. This includes making sure, for example, that both women and men are represented in focus groups and among interviewees and that stories tell of the successes of both men and women and of individuals belonging to other groups.

## 7.     DATA UTILIZATION

88.     The evaluation team advised the ASPAC Bureau to present the collected and analyzed data in a series of dashboards and respond to four key areas, based on the categories described in figure 23. These categories of indicators are potential suggestions for future reference. They do not preclude the use of other categories deem more relevant for the ASPAC Bureau.

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[7]  Robert K. Yin (2009) *Case Study Research – Design and Methods.* Fourth Edition, Applied Social Research Methods Series Volume 5, page 18. California, Sage Publications.

**Figure 23:  Balanced Scorecard Dashboard 2 - Efficiency measures [8]**



89.    The data needed to report against the indicators in figure 23 is available at a corporate level and should be harnessed for the benefit of the program managers to empower their managerial capacities.

**Figure 24:[9]  Balanced Scorecard Dashboard 3 – Efficiency data by country[10]**



**Event**
average cost per
event by country

**Participant**
average cost per
participant per country

**TA**
late TA per year
and country

**Client satisfaction**
% of satisfaction rate
from total number of
users/participants

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[8]  These categories of indicators used in Figure 23 are potential suggestions for future reference and do not preclude the use of other deem more relevant to the ASPAC Bureau.
[9]  The maps shown do not represent any real data values; these are depicted for illustrative purposes.
[10]   Client satisfaction should also be disaggregated by sex.
[11]  Source: https://www.un.org/geospatial/content/map-world

**Figure 25:  Balanced Scorecard Dashboard 4 [12] – Effectiveness - outputs data by country**

**Event**

# of events by type

% of total # of capacity building activities that contained gender

**Participant**

# of participants by gender

**Hubs**

# of hubs established

# of hubs operational

% of users satisfied with quality of advice by gender

**Strategies**

# of branding strategies established

[13]

**Figure 26:[14]  Balanced Scorecard Dashboard 5 – Effectiveness Outcomes**

**Users**

% of  beneficiaries who have initiated the branding process resulting out of the total target group per country to promote the products.

**Trademarks and Ind. Designs**

% increase considerations of obtaining IP filings/license arrangements/protection by relevant spokes

**Replication**

% of countries reporting positive behavioral changes as a result of NIPS

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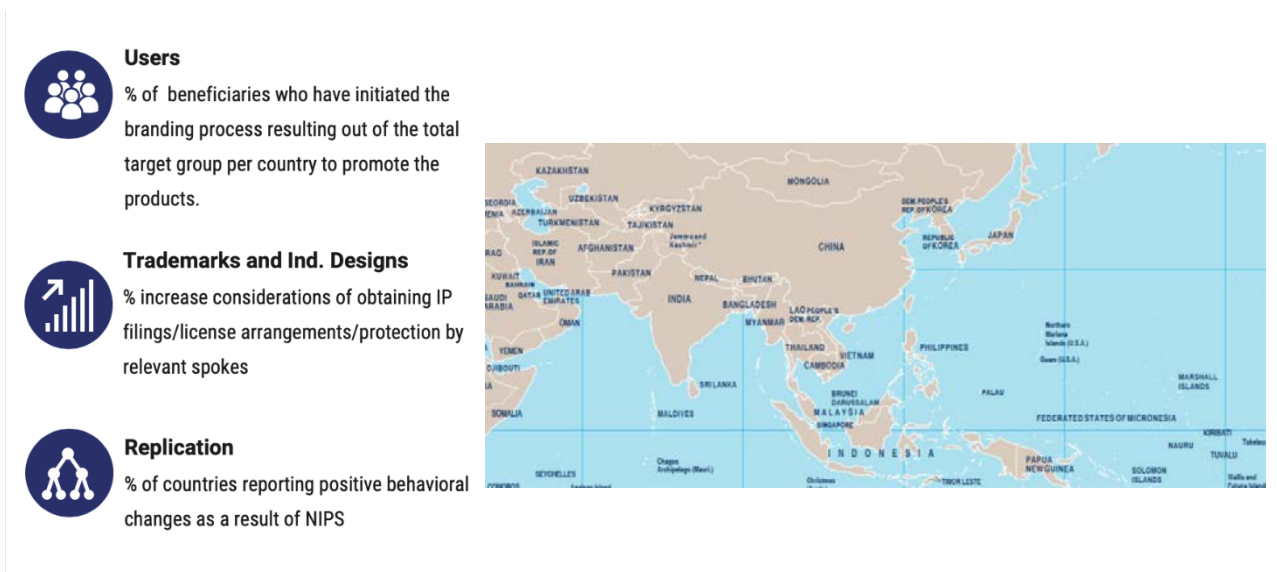
[12]  The maps shown do not represent any real data values; these are depicted for illustrative purposes.
[13]  Source: https://www.un.org/geospatial/content/map-world
[14]  The maps shown do not represent any real data values; these are depicted for illustrative purposes.

**Figure 27:  Balanced Scorecard Dashboard 6 – Impact** [15]



- % of countries that reported positive changes from concerned IP stakeholders as a resutls of improvements in the national and institutional frameworks
- % of offices that reported improvements in efficiency/ effectiveness levels
- % of office that reported less mistakes to volume of work by the examiner/s or number of opposition cases compared to previous records
- % of offices that reported improvements in IP services
- % of beneficiaries who reported a positive medium to long term changes/ effects as a result of the capacity building activities

[16]

90.    The ASPAC Bureau provide not only services to its national stakeholders but also WIPO's business units.  Nevertheless, little information exists as to whether internal WIPO clients are satisfied with the Bureau's services.  Dashboard 7 does give the ASPAC Bureau an overview of the level of internal stakeholders' satisfaction levels.

**Figure 28:  Balanced Scorecard Dashboard 7 – Internal Processes**



- % of internal and external stakeholder satisfied with the communication
- % of stakeholders satisfied with internal coordination
- % of stakeholders satisfied data sharing systems
- % of activities done in collaboration with other business units and external offices

91.    The ASPAC Bureau monitoring framework aims to measure progress made through the implementation of initiatives.  Still, it considers that its staff is an essential part of its success.  Therefore, the fourth component includes the monitoring of learning opportunities, budget, and internal staff satisfaction.  In this way, the ASPAC Bureau aims to promote a learning culture.

**Figure 29:  Dashboard 8 – Organizational learning**



- % of internal and external stakeholders satisfied with the sharing of good practices and lessons
- % of staff trained in project management including M&E
- % of budget invested in staff training
- % of staff are satisfied with the available tools to manage their activities

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[15]  The maps shown do not represent any real data values; these are depicted for illustrative purposes.
[16]  Source: https://www.un.org/geospatial/content/map-world

## 8.    DATA MANAGEMENT

92.    The data collected will need to be appropriately managed, stored, and made available for analysis and reporting.

### (A)    STORAGE

93.    As for now, data will be kept in an Excel spreadsheet.  However, the evaluation team strongly recommends that the ASPAC Bureau develop a better IT solution for monitoring practices.  Going forward, discussions between the ASPAC Bureau and the Enterprise Architecture and ICT Program Management Division will help find better ways to keep the data.

94.    The Excel spreadsheet is a temporary solution, but the ASPAC Bureau will need to develop a data storage solution and a platform to facilitate data accuracy and analysis.

95.    Survey results data will be stored as electronic records in the WIPO N drive.  Data should ideally be stored for five years, as this would prove useful for any future assessment.  Besides, five years is a reasonable time for impact results to be more visible.

96.    The ASPAC Bureau does organize events that ultimately benefit a vast number of national stakeholders.  Currently, records are inconsistently archived.  For instance, the list of event participants (beneficiaries) is kept at the national offices and other times at WIPO.  Sometimes data will be available in electronic format and other times in paper records.  Therefore, it would be advisable that the ASPAC Bureau works with the WIPO Enterprise Architecture and ICT Program Management Division to develop a monitoring platform and dashboards.  The platform should allow, among other functions, electronic registration of events' participants.  At the same time, it would create an automated record of beneficiaries by year, month, country, sex, the domain of work, the institution they represent, among other data to make the mapping of stakeholders more meaningful.

97.    WIPO needs to provide a monitoring platform for data gathering that can be accessed remotely.  Champions, spokes, heads of offices, among others, should regularly access the database to update progress against the indicators.

### (B)    ANALYSIS

98.    Data gathering in the ASPAC Bureau is not automated.  This makes the monitoring process difficult and increases the workload.  Therefore, the evaluation has recommended that the ASPAC Bureau acquires the following data collection and analysis tools:

(c)    For surveys, tools like Survey Monkey are easy to use and do not require any pre-knowledge.  Surveys could be used after events, training, workshops, and other capacity or awareness-raising activities.  The advantage of such a tool is that data analysis is done automatically, reducing the amount of work among the team members and making data gathering constant and reliable;

(d)    Analysis of other qualitative data gathered through interviews, focus groups, or records such as emails or letters would require the use of a qualitative analysis tool. To enhance data utilization and facilitate analysis, it is recommended to keep output indicators updated every quarter, outcome indicators every six months, and impact indicators yearly, whenever possible;  and

(e)     In collaboration with the WIPO Enterprise Architecture and ICT Program Management Division, the ASPAC Bureau will need to develop a monitoring platform. Data could be extracted and analyzed in the form of a BI Dashboard.

## 9. RECOMMENDATIONS

99. The evaluation team recommends:

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**Recommendations**

1. Future revisions should avoid, whenever possible, measure fixation[17], and keep the framework as simple as possible, implementing first the key performance indicators (attached in annex 3) and eventually using the balanced scorecards.

2. Automate wherever possible the data gathering process and analysis for reporting in a BI dashboard in collaboration with the Enterprise Architecture and ICT Program Management Division.

3. Gather baseline data and agree on baselines and targets with national stakeholders' inputs before setting up targets.

4. The project management capacity within the ASPAC Bureau should be augmented through practice-oriented monitoring training focusing on the theory of change, stakeholders' analysis, survey design, indicators design, case studies, storytelling, and self-evaluation.

5. Pilot the process of unfolding the ten project frameworks with the buy-in of countries and relevant WIPO departments, systematically engaging in a continuous iterative refinement, simplification, and automation of the framework.

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[17] As defined by the OECD, measure fixation happens when some measures are emphasized at the expense of others, such as quantitative aspects at the expense of qualitative aspects in performance measurement scheme; and short term targets at the expense of long-term objectives (outcome, impact). Learning from Results-Based Management Evaluations and Reviews, Working Paper OECD, 2019

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**ANNEXES**

| ANNEX I. | Table of Recommendations |
|---|---|
| ANNEX II. | Priority of Recommendations |
| ANNEX III. | Ten Project Documents and Frameworks |

[Annexes follow]

**ANNEX I: TABLE OF RECOMMENDATIONS**

| No | Recommendations | Priority | Person(s) Responsible | Management Comments and Action Plan | Deadline |
|---|---|---|---|---|---|
| 1. | Future revisions should avoid, whenever possible, measure fixation[18], and keep the framework as simple as possible, implementing first the key performance indicators (attached in annex 3) and eventually using the balanced scorecards. <br><br> Closing criteria: Technical frameworks document reduces the number of indicators from 19 impact indicators, to five and from 82 outcome indicators to 19, and from 182 output indicators to 87.  On average, each project will track the progress of its activities based on an average of 8 to 9 internal outputs. | Medium | TBD | TBD | TBD |
| 2. | Automate wherever possible the data gathering process and analysis for reporting in a BI dashboard in collaboration with the Enterprise Architecture and ICT Program Management Division. <br><br> Closing criteria:  Data application or platform up and running. | Medium | | | |
| 3. | Gather baseline data agree on baselines and targets with inputs from national stakeholders before setting up targets. <br><br> Closing criteria:  Mutually agreed baseline data and targets are reflected in Excel or any other storage data application. | Medium | | | |
| 4. | The project management capacity within the ASPAC Bureau should be augmented through practice-oriented monitoring training focusing on the theory of change, stakeholders' | Medium | | | |

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[18] As defined by the OECD, measure fixation happens when some measures are emphasized at the expense of others, such as quantitative aspects at the expense of qualitative aspects in performance measurement scheme; and short term targets at the expense of long-term objectives (outcome, impact). Learning from Results-Based Management Evaluations and Reviews, Working Paper OECD, 2019

| | | | | | |
|---|---|---|---|---|---|
| | analysis, survey design, indicators design, case studies, storytelling, and self-evaluation.<br><br>Closing criteria:  Annual planning includes training actions for staff on RBM | | | | |
| 5. | Pilot the process of unfolding the ten project frameworks with the buy-in of countries and relevant WIPO departments, systematically engaging in a continuous iterative refinement, simplification, and automation of the framework. | Medium | | | |

[Annex II follows]

**ANNEX II: PRIORITY OF RECOMMENDATIONS**

The recommendations are categorized according to priority as a further guide to WIPO management in addressing the issues. The following categories are used:

| Priority of Recommendations | Nature |
|---|---|
| **High** | Requires Urgent Management Attention. This is an internal control or risk management issue that could lead to: • Substantial financial losses. • Loss of controls within the organizational entity or process being reviewed. Serious violation of corporate strategies, policies, or values. • Reputation damage, such as negative publicity in national or international media. • Adverse regulatory impact, such as public sanctions or immaterial fines. |
| **Medium** | Requires Management Attention. This is an internal control or risk management issue, the solution to which may lead to an improvement in the quality and/or efficiency of the organizational entity or process being audited. Risks are limited. Improvements that will enhance the existing control framework and/or represent best practice |

[Annex III follows]

## ANNEX III: TEN PROJECT DOCUMENTS AND FRAMEWORKS

| Project # | Result level | Budget | Project description | Indicator | Gender-sensitive indicators |
|---|---|---|---|---|---|
| | Impact 1 | | Contribute to improving the national and institutional IP framework for better governance through a more coherent, systematic/better integration of IP with relevant national development priorities, economic objectives, and critical linkages with relevant public policy areas | % of countries that reported positive changes from concerned IP stakeholders as a result of improvements in the national and institutional frameworks | Impact 5: Women's empowerment consistently promoted and gender mainstreamed across all projects to contribute to reducing the gender gap in the region<br><br>Indicator:  % of Projects that contributed to reducing the gender gap and mainstreaming gender equality considerations across its results frameworks. |
| Project 1 | Project 1 | 12% | National IP Strategies | | |
| Project 1 | Outcome 1.1 | | Increased awareness among relevant ministries, government agencies, and key stakeholder groups on the catalytic role of IP in promoting innovation and creativity | % of countries reporting positive behavioral changes among relevant ministries, government agencies, and key stakeholder groups as a result of NIPS | Gender-related commitments |
| Project 2 | Project 2 | 6% | Country and regional plans for technical cooperation monitoring (six-year plans) | | |
| Project 2 | Outcome 2.1 | | Increased mutual accountability of involved parties through the development and implementation of plans for technical cooperation contributing to a reduction of ad-hoc requests | % of countries implementing the country plans | % of gender-related activities included in the plans |
| Project 2 | Outcome 2.1 | | | % on the reduction of ad-hoc request vs. planned activities | |
| Project 3 | Project 3 | | Intensifying conversation with countries in the region - HIPOC+ | | |
| Project 3 | Outcome 3.1 | | Heads of IP offices are cooperating with WIPO on longer-term project-based development-oriented initiatives to sustain the results of technical assistance better. | % of increased expenditure on the longer-term coherent  project-based approach between national partners and WIPO | % of activities that factored gender equality dimensions across all project |

| Project # | Result level | Budget | Project description | Indicator | Gender-sensitive indicators |
|---|---|---|---|---|---|
| Project 3 | Outcome 3.2. | | Through intensify conversations, increased awareness of heads of national IP offices about IP management, IP challenges across the region, client-centric service role of IPOs as enabling the institution to facilitate IP for development, and WIPO's longer-term project-based approach with a focus on mutual accountability, national priorities, and sustainability. | % of heads of office who have formally committed to sustaining the results of technical assistance | |
| | Impact 2 | | Modernization of IP offices has contributed to the efficiency, effectiveness, and other improvements of IP offices in the delivery of services to the user community | % of national offices that reported improvements in efficiency/ effectiveness levels | % of off-es that reported gender-related improvements as a result of the diagnostics |
| Project 4 | **Project 4** | **17%** | **Resources and management diagnostic for national IP offices** | | |
| Project 4 | Outcome 4.1 | | Increased awareness and appreciation by the heads and management teams of IP offices on the appropriate/optimal legal, business, and institutional frameworks to enable the offices to meet their resources needs as well as provide quality IP services to achieve their mandates effectively | % of countries reporting positive behavioral changes in the National IP Offices as a result of the diagnostics exercise | % of offices reporting implementation of recommendations identified in the reports |
| | Impact 3 | | Competency-based training impacts better quality of IP services, increased examiners' productivity, and increased staff development through better personnel and training management within the National IP Offices. | % of offices that reported improvements in IP services | % of professionals within national IP offices whose productivity has increased (sex-disaggregated data) |
| Project 5 | **Project 5** | **7%** | **Competency-based and individualized training and learning management system for trademark examiners** | | |
| Project 5 | Outcome 5.1 | | Consult and raise awareness among beneficiary Offices about competency-based training and learning management | # of countries that continue showing commitments to competency-based training and learning management | |
| Project 5 | Outcome 5.2 | | Training is driven by improving the quality of trademark registration | Number of opposition cases reversing examination findings compared to previous records | Sex disaggregated data |
| Project 6 | **Project 6** | **7%** | **Competency-based and individualized training and learning management system for patent examiners** | | |

| Project # | Result level | Budget | Project description | Indicator | Gender-sensitive indicators |
|---|---|---|---|---|---|
| Project 6 | Outcome 6.1 | | Improved HR resources management practices to align staff development to business needs | % of the increase in examination productivity and quality resulting from better personnel and training management using the learning management system. | when possible, sex-disaggregated data |
| | Impact 4 | | Capacity building: Enhanced access to, and use of IP information, and increased capacity of IP institutions and the public to promote innovation and creativity. | % of beneficiaries who reported a positive medium to long term changes/ effects as a result of the capacity building activities | % of women beneficiaries reporting positive medium to long term changes |
| Project 7 | **Project 7** | **13%** | **Enabling innovation environment to strengthen business competitiveness through brands and designs** | | |
| Project 7 | Outcome 7.1 | PBD 20/21 | Established Branding Bureaus (serving as institutional hubs) in countries capable of supporting the business community in IP-related branding and design endeavors | % of stakeholders/participants who have benefited from the training and advisory work of Branding Bureaus | Sex disaggregated data |
| Project 7 | Outcome 7.2 | | More domestic businesses adopt branding and design strategies and tools. | % of beneficiaries who have initiated the branding and design process from the target group/industry per country. | % of stakeholders by sex that has delivered a strategy |
| Project 8 | **Project 8** | **13%** | **Enabling innovation environment to increase capacity for technology innovation support** | | |
| Project 8 | Outcome 8.1 | | Capacity development of staff members of beneficiary universities and professionals from other research institutions on technology development and IP-based commercialization | % of users agree that the project has contributed to increased understanding, experience, and knowledge on technology development and commercialization. | Sex disaggregated data |
| Project 8 | Outcome 8.2 | | Established networked communities of technology management professionals with a sustainable structure in the region | % increase of members of organizations/associations of technology management professionals | Sex disaggregated data |
| Project 8 | Outcome 8.3 | | Beneficiary institutions have strengthened their IP structures, systems, and services for technology, development, management, and commercialization | % increased number of Technology Transfer Offices (TTO) or equivalent offices of spoke institutions applying M&E/metrics to improve its services | |
| Project 8 | Outcome 8.3 | | | % increase considerations of obtaining protection /licensing arrangements/commercialization by beneficiary institutions | Sex disaggregated data |
| Project 9 | **Project 9** | **5%** | **Enabling innovation environment to increase usage of global IP systems (IP roving seminars on Madrid)** | | |

| Project # | Result level | Budget | Project description | Indicator | Gender-sensitive indicators |
|---|---|---|---|---|---|
| Project 9 | Outcome 9.1 | | Improved access of IP services to local business and owners of IP rights expanding their market through the system for economic growth and competitiveness | % increase of trademarks and collective/certification marks, applied for registration locally and through Madrid by local business and IP right owners in selected countries | Sex disaggregated data |
| Project 9 | Outcome 9.2 | | Improved marketing and communications on trademark and Madrid registration systems in countries | % of target users agree that the project has contributed to a better understanding of the IP system(Sex-disaggregated data) | % of target users that feel empowered thanks to the project (sex-disaggregated data) |
| Project 10 | Project 10 | 5% | Enabling innovation environment to increase usage of global IP systems (IP roving seminars on PCT) | | |
| Project 10 | Outcome 10.1 | | Improved access of IP services to potential owners of IP rights expanding their market through the system for economic growth and competitiveness | % increase of patent and PCT registrations/applications by local business and IP right owners in countries | Sex disaggregated data |
| Project 10 | Outcome 10.2 | | Improved marketing and communications on patent and PCT systems in countries | % of target users agree that the project has contributed to increased skills and understanding to use the patent and PCT systems (Sex-disaggregated data) | % of target users that feel empowered thanks to the project (sex-disaggregated data) |

The detailed framework can be found here

All projects ASPAC
framework.xlsx

[End of annexes and of document]