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EVALUATION REPORT ON THE PROJECT ON DEVELOPING TOOLS FOR ACCESS TO PATENT INFORMATION - PHASE II

prepared by Ms. Catherine Monagle, Consultant, Geneva

1.   The Annex to this document contains an external independent Evaluation Report on the Project on Developing Tools for Access to Patent Information - Phase II, undertaken by Ms. Catherine Monagle, Consultant, Geneva.

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

[Annex follows]

EXECUTIVE SUMMARY

The Project

This report sets out the results of the independent, external evaluation of the WIPO Development Agenda Project on Developing Tools for Access to Patent Information – Phase II, a project formed in response to Development Agenda recommendations[1] 19, 30 and 31. These recommendations are as follows:

Recommendation 19: To initiate discussions on how, within WIPO's mandate, to further facilitate access to knowledge and technology for developing countries and LDCs to foster creativity and innovation and to strengthen such existing activities within WIPO.

Recommendation 30: WIPO should cooperate with other intergovernmental organizations to provide developing countries, including LDC's upon request, advice on how to gain access to and make use of IP-related information on technology, particularly in areas of special interest to the requesting parties.

Recommendation 31: To undertake initiatives agreed by Member States, which contribute to the transfer of technology to developing countries, such as requesting WIPO to facilitate better access to publicly available patent information.

The evaluation process was agreed between the external evaluator and the Development Agenda Coordination Division of the WIPO Secretariat, and is set out in the approved evaluation inception report. The evaluation took place between mid-July to mid-September 2014.

The project proposal was published in document CDIP/10/13 and approved during the Tenth Session of the Committee on Development and Intellectual Property (CDIP) in November 2012. The project was implemented between November 2012 and December 2013 (14 months). The budget for the project was 292,000 Swiss francs (non-personnel resources).

The project followed from the Phase I Project on Developing Tools for Access to Patent Information (CDIP/4/6, CDIP/6/2). During the Phase I project, 9 Patent Landscape Reports (PLRs) were prepared in the areas of public health, food and agriculture, and energy and the environment. As of September 2012 when the project was evaluated, three further PLRs were either at the TOR development or procurement stage. The project also included development of an e-tutorial, and participation in 5 regional conferences promoting the Technology Information and Support Centres (TISCs). An evaluation of Phase I was undertaken by WIPO's Internal Audit and Oversight Division (CDIP/10/6).

The Phase II project was carried out by the Patent Information Section of the Access to Information and Knowledge Division within the Global Infrastructure Sector of WIPO. Phase II of the project focused on the development of further PLRs and other tools and capacity development activities towards supporting access to patent information, namely the development of PLR best practice guidelines and a regional and inter-regional workshop.

PLRs provide insight into patterns and trends in innovation activity for given technological areas. More specifically, they include a state-of-the-art search in patent databases, with those results further analyzed and distilled to describe patenting activity and innovation

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[1]As adopted by the 18th Ordinary Session of the WIPO General Assembly.

trends. They can be used to support policy discussions, strategic development choices and technology transfer, and can form the basis of freedom to operate analyses.[2]

Preparing patent landscape reports requires specialized expertise in patent searching and analytics, supported by access to relevant patent databases and search and analysis tools. There are a number of tasks involved in preparing a PLR. These include: patent searching and collection of information; cleaning, ordering and analysis of the collection; visualization of the results for assisting comprehension of trends; developing a narrative and explanation, and, somewhat separately, deriving conclusions and recommendations specific to the context in and for which the PLR was produced.[3]

Developing and Least Developed Countries (LDCs) often face challenges in developing patent landscape reports relevant to their national priorities. This is due to a number of factors that may include: limited awareness of the utility of PLRs in both patent offices and other government departments; limited availability of national patent data; and, limited access to commercial search databases and analytics tools.[4]

PLRs in both Phase I and II of the project were prepared by consultants, in collaboration with external partners (IGOs and NGOs). The PLRs developed were primarily focused on important areas of public policy globally, including in the areas of health and the environment, as described under the key findings section of this report. The purpose of developing PLRs within the project was not solely for their content, but their illustrative value in raising awareness among Developing Countries, LDCs and the international community of the relevance and utility of PLRs and patent analytics more generally.

In line with the decision to mainstream the Development Agenda within the work of WIPO, the WIPO Program and Budget for the 2014/15 biennium proposed that several projects implemented in the previous biennium, including the project for Developing Tools for Access to Patent Information, be mainstreamed into relevant programs, subject to project evaluations.[5] In the post Phase II period, external collaborations for the development of PLRs are ongoing, with further PLRs being developed with public institutions in developing countries on technological areas of national and regional priority.[6] In addition, work continues toward assisting Developing Countries and LDCs access open source databases and tools for performing patent analytics, among other capacity building activities.

The Evaluation

Consistent with the Terms of Reference (TOR) provided, the evaluation sought not to assess individual activities but rather to evaluate the project as a whole and its contribution to the outcome and objective of the project. The evaluation considers overall project performance, project design, project management, coordination, coherence, implementation and results achieved.

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[2] See, for example, http://www.wipo.int/patentscope/en/programs/patent_landscapes/index.html
[3] WIPO Inter-Regional Workshop on Patent Analytics, December 4 – 6 2013 Manila, WIPO/IP/MNL/13, Documents: Topics 1 Presentation available at http://www.wipo.int/meetings/en/details.jsp?meeting_id=31543
[4] As communicated to the author of this report during evaluation interviews.
[5] WIPO Program and Budget for the 2014/15 Biennium. Approved by the Assemblies of the Member States of WIPO on December 12, 2013. Page 27, Para. 56.
[6] For example, a report being prepared on Palm Oil with the Government of Malaysia, as communicated to the author of this report during interviews.

The overall objective of the evaluation was to:

(a)   Learn from experiences during project implementation: what worked well and what did not work well for the benefit of continuing activities in this field. This included assessing, where possible: the project design framework; project management including monitoring and reporting tools as well as measuring and reporting on the results achieved to date; and, assessing the likelihood of sustainability of results achieved; and

(b)   To provide evidence-based evaluative information to support the CDIP's decision-making process.

In particular the evaluation was to assess, where possible, the extent to which the project had been instrumental in:

(a)   Improving access to information and technologies disclosed in patent publications and better knowledge of patenting trends in specific technological areas where patent landscape reports have been prepared;

(b)   Facilitating better informed policy discussions and decisions related to R&D, investment and technology transfer through the provision of PLRs in relevant areas; and

(c)   Raising awareness about the importance of IP issues in the decision making process related to R&D investment, technology transfer and local manufacturing, amongst others.

The project time frame considered for this evaluation was 14 months (November 2012 – December 2013), however as some relevant activities continued past that date, activities up to mid-August 2014 were considered. The evaluation itself took place between July and September 2014.

The evaluation was an independent external evaluation. The evaluation methodology was aimed at balancing the needs for learning and accountability. To this end the evaluation was to be participatory, with involvement in the evaluation process of those with a stake in the project.

The evaluation methodology consisted of the following:

(a)   Desk review of relevant project related documentation including the project framework, progress reports, the evaluation of the Phase I project, monitoring information, budget expenditure reports, project deliverables, and other relevant documents including reports of previous sessions of the CDIP at which the project was discussed. The list of documents reviewed is included as Appendix V.

(b)   Informal discussions with the project team members and managers; and

(c)   Semi-structured interviews with stakeholders having had an involvement with the project, including external partners and internal collaborating divisions of WIPO. The list of those interviews is included as Appendix VI. Interviews took place either in person or by telephone. Further Information on the interview process and the guide questions used is set out in Appendix VII to the report.

The evaluation assessed questions in each of the following areas: project design and management; relevance, effectiveness; sustainability, and implementation of Development Agenda Recommendations.

Taking into account both the defined scope and purpose of the evaluation, and the objectives of the project, performance indicators were developed for each of the key evaluation questions. Given the purpose and scope of the evaluation, and the need to reflect on how and why the project unfolded as it did, these indicators focus on a mix of indicators focused on process, outputs and impact. Both the evaluation questions and performance criteria are set out in the evaluation matrix forming Appendix IV to the report.

Key Findings

The key findings in each of the evaluation categories were as follows:

On Project Design and Management

- The project was over ambitious given the 14 month timeframe, evidenced by the continuation of Phase II activities in 2014, the post Phase II period. However, the project timeframe was originally expected to be longer, with the tight time frame was due to approval of the project in November 2012, later than anticipated.

- Reducing the number of PLRs to be developed, while helpful, does not negate the lengthy period of of time required to develop a single PLR, from identification of an issue, through developing collaboration partners, to procurement review, publication and dissemination.

- The initial project document contained a brief description of the project, identified objectives, and main outputs, as well as a delivery strategy, a risk and mitigation strategy, a project review strategy, project schedule and budget.

- As recommended during the Phase I evaluation (and noting the project team did not have access to the evaluation report at the time of developing the project proposal), the project design may have benefited from the inclusion of impact level indicators, a results based budget, and risks rated according to the degree of the their potential negative impact and the likelihood they may materialize.

- The project monitoring, self-evaluation and reporting tools were appropriate to the length and complexity of the project.

- A basic budget was included in the project proposal, supplemented by a results based budget by the conclusion of the project.

- The project objective and outcome indicators integrated in the monitoring and evaluation strategy were logical and appropriate, however were not always directly reflected in the evaluation surveys and interim reporting.

- Impact level indicators may have enhanced the project design however are difficult to administer in the context of a project of limited duration.

- While the project team administered surveys of participants at the regional conferences, and were able to collect website hits and download statistics for PLRs, it was not possible to collect any more detailed user information relating to use of the PLRs owing to WIPOs information collection practice not supporting in depth survey of users.

- The extent to which the project has responded to the recommendations made during the Phase I evaluation are described in detail in Appendix I to the report.

- In summary, note:
  - o Although the project proposal did not reflect several of the sub-elements of Recommendations 1 and 2 concerning the structure and content of the project proposal and self evaluation reports, this can be partly attributed to the timing of the evaluation report against the design and submission of the Phase II project proposal – both the evaluation report and the Phase II project proposal were considered at the same session of the CDIP. In addition, at the time the proposal was drafted WIPO had not systematically instituted a requirement that all such project proposals require features such as log frame, weighted risk reporting and Gantt chart based reporting.

  - o Recommendation 3 concerning follow up activities has been taken into account in the carrying out of Phase II and the design of post Phase II activities.

  - o Recommendation 4 encouraging a system that allows WIPO to systematically track users of online services has only been partly implemented. The ability to understand audience, and user needs and experience is very beneficial to project design and evaluation. Although this recommendation was considered by the WIPO Secretariat, issues including perceived privacy concerns of users have been nominated as one of the reasons why implementing this recommendation has not been pursued. However, other methods of tracking, such as optional surveys of participants, have been used, and these and other options could and should be explored as ways of assisting in the tracking of the use and perceived utility of the tools developed. Equally, assumptions about the concerns of users should be tested through survey or other means to better establish what information web users are comfortable sharing.

  - o Recommendation 5 encouraging WIPO Senior Managers to strongly promote e-learning tools in order to complement on-site training has influenced the development of Phase II and post Phase II activities, however note that e-learning tools do not always subsume the need for in person training activities, as illustrated by the role of the regional and inter-regional workshops in the Phase II project. These workshops were used towards sharing best practices and testing the guidelines that will be available ultimately as an on-line resource. In person workshops also had the advantage of encouraging the development of informal networks. E-learning tools have the capacity to reach a broader and more geographically widespread range of actors, and to reach all important groups of users of patent analytics outputs, including those outside of national intellectual property offices, and extending to other government departments, NGOs and the private sector. With the development o the methodology guidelines, Phase II and post Phase II activities have built on the e-learning tutorials of Phase I.

- On Recommendation 6 encouraging the formalisation of collaboration with other Divisions, note that during Phase II collaboration was both formal and informal. Reference was made to other divisions explicitly in the project proposal, and in certain cases noted in individual's work plans. Note however, that even in the absence of formalising collaboration, the WIPO Secretariat needs still to encourage a culture of collaboration, such that it is more likely that informal collaborations are brokered and pursued enthusiastically, so adding to the potential efficiency, relevance and effectiveness of WIPO activities. For further details of collaboration during the Phase II project, see below.

- Other divisions of WIPO were identified in the project document as divisions who would contribute to project implementation. These included the Global Challenges Division, Traditional Knowledge Division and Department of External Relations.

- The collaboration was both formal and informal, and focused on utilising the complementary skills and expertise of other divisions, as well as towards supporting access to the policy discussions occurring under their remit.

- Collaboration with the Department of External Relations included developing and funding the PLR Infographics, as well as assisting in the identification of external partners. Collaboration with the Global Challenges Division involved consultation on PLR Terms of Reference (TORs) and substantive input, while collaboration with the Traditional Knowledge Division occurred in the context of sharing PLRs on plant and animal genetic resources, as relevant to that Division's mandate.

- During interviews, collaboration was viewed as largely successful and appropriate. This was based on the understanding and view that collaboration should aim towards building complementarity and make best use of the various areas of expertise and networks of the respective divisions to strengthen content and the dissemination of outputs.

- Further involvement of other divisions at the project design phase was encouraged.

- Importantly, in an area such as patent information and analytics that provides specialist services and expertise relevant to specific technologies, the role of other divisions in identifying policy challenges that would benefit from patent analytics, and in facilitating access to networks for dissemination and discussion, is critical. This can be pursued through formal collaboration agreements, but it also reliant on individual generosity and enthusiasm, supported by a general culture of collaboration.

- The risks identified in the project document were:

    - Lack of expression of interest for future landscape reports by Member States or institutions in developing countries.

    - Insufficient utilization of the reports.

    - Appropriateness of the scope of each report.

- The risks identified in the project document were based on experience in Phase I. The first did materialise to an extent, however the mitigation strategies were appropriate and applied, and largely reflected those in the project document.

- Additional mitigation strategies were also applied by the project team in relation to the first risk, through being very proactive in working with external partners to identify technological areas or issues for which patent landscape reports would be useful.

On Relevance

- In the first and second phases of the project, the ideas for PLRs largely came from the project team, in discussion with internal and external partners.

- These initial PLRs concerned areas of important public policy internationally, and served to inform global debates in the areas of health and the environment, among other issues. The forums in which these PLRs were useful reached WIPO Member States, through their membership of these other bodies, and through addressing issues that in many cases were of particular relevance to Developing and LDCs.

- As the value of patent analytics is not widely understood by a non IP audience, it has naturally taken the project some time to find its constituency – the development of PLRs, workshops and the e-tutorial, as well as development of the methodology guidelines should be viewed not only as valuable in themselves, but as catalysts for a broader understanding of the value of PLRs for public policy, strategic development and technology transfer.

- Interviews and experience suggests that, as further reports are developed and utilised, Member States and potential external partners are likely to become more aware of their

value and utility, and, accordingly, to become more active in identifying and suggesting topics for patent landscape reports. This trend was evident in Phase II, with some ideas for PLRs initially generated through external partners who had been exposed to a PLR in a different area of technology. They were able to recognise the value that development of a PLR would have in their own field.

- Further, the Secretariat has received several requests for updates to existing reports, suggesting their relevance to users.

- The Secretariat has also received requests for the sharing of best practices by other countries that have used patent analytics effectively, and further hands on training, as well for help accessing and using open source patent search and analytics tools and databases. Several interviewees also reiterated these requests during interviews for this evaluation.

- Note that in the post Phase II period the Secretariat has started to work on other PLRs with specific countries, namely a PLR on Palm Oil being developed with the Government of Malaysia.

On Effectiveness

- Project delivery is fully described in Appendix II to the report.

- Although project delivery was not completed by December 2013, this was largely due to an unrealistic timetable brought on by the late approval of the Project Proposal.

- Phase II project activities continued past December 2013. As at the time of evaluation, all outputs had either been delivered, or were very close to being finalised.

- The overall standard of deliverables was generally regarded as high. On several indicators, expectations were significantly exceeded, such as in the case of PLR download statistics, contribution to international negotiating fora, number and quality of workshops, and involvement of the project team in external promotions activities.

- User experience, based on the results of the PLR surveys, download statistics, and workshop participant surveys, is fully described in Appendix II to the report.

- Website traffic and download of PLRs significantly increased during Phase II, with website hits close to 13,000, doubling as against 2012 figures. There were more than and 26,000 downloads of PLRs developed by WIPO over 2012 and 2013.

- PLRs and workshops were consistently highly rated in terms of their relevance and quality.

- In general, the Phase II activities were viewed as contributing to a broader understanding of the value of Patent Landscape Reports, and have built the beginnings of a foundation for Member States and others to identify areas of technology where PLRs would benefit national policy making.

- Phase II activities are further perceived to have assisted Member States develop the beginnings of a skills base in patent analytics that is being further strengthened by post Phase II activities.

- Through the Phase II activities, the project has made a direct contribution to discussions in international fora and among Member States concerned with such as e-waste, animal genetic resources and access to essential medicines.

- The Phase II project activities, while also perceived as having been valuable in and of themselves, are perceived to have contributed to increased awareness of the role and value of access to patent information, a trend enhanced by the participation of the project team in more than 20 external activities for the purpose of promoting of the project objectives over 2013 and 2014.

- The regional and interregional workshops were viewed as having facilitated connections and the development of informal networks between national patent offices. Participants have indicated the value of these networks to them, and expressed the hope that these could be strengthened over time through further WIPO activities.

- Participants have suggested further follow up activities to strengthen these networks. In particular they seek opportunities to exchange information about best practices by those countries with skills and experience in PLRs and patent analytics, with those considering their own work in this area. For example, participants have suggested it would be helpful for the governments of Singapore, the UK, Malaysia and the Philippines to share their experiences. Such requests are being considered by the project team in the post Phase II period.

- As described in Appendix II to the report participants in project activities widely perceived that project activities had enhanced their understanding of the relevance and value of patent information, and had strengthened their capacity to identify areas of technology in which patent information could enhance policy making, strategy development and technology transfer.

- In Phase II, further PLRs were developed, alongside best practice methodology guidelines.

- Workshops served as in depth consultations that refined the methodology guidelines to ensure they were well targeted to an audience of Developing and Least Developed Countries.

- Despite the limitations of the WIPO website in assisting in the tracking of the utility and impact of the tools developed, some tracking was undertaken. This tracking extended to website hits, PLR downloads, a survey of PLR user experience, and surveys of workshop participants.

On Sustainability

- The Project integrated several features that support the sustainability of the project. These included:
    - o The promotions activities of the project team.
    - o The illustrative value of PLRs developed.
    - o Demonstrated contribution to policy development.
    - o Contribution of the workshops to supporting the development of informal networks.
    - o Value of the best practice methodology guidelines in assisting Developing and Least Developed countries and others towards developing their own PLRs in areas of interest.

- Sustainability should be continue to be strengthened in the post Phase II period. This could be achieved through further capacity building activities and enhancing access to tools, including:
    - o Increasing the range of e-tools available.
    - o Promoting tools such that they reach a broader stakeholder base including a wider range of government departments.
    - o Development of advanced modules for delivery through the WIPO Academy/TISCs.
    - o Continuing work towards facilitating access to open source patent search and analysis tools.

- o Facilitating exchange of experience and best practice among countries.

On Implementation of Development Agenda Recommendations

- The project is widely perceived as having positively contributed to the goals set out in DA recommendations 19, 30, and 31.

- Given the emphasis thus far on PLRs covering issues of international concern, through collaborations with other international organisations, the contribution towards recommendation 30 has been particularly strong.

- Questions can always be, and have been raised concerning the extent to which the project has responded towards those areas of greatest need, with the argument put that the project benefits most those who have the most capacity to undertake this kind of work for themselves. While this argument has some veracity, it may not adequately acknowledge the contribution of the project to international policy relevant to LDCs, such as e-waste, genetic resources, access to essential medicines and HIV drugs. It also may underplay the demonstrative value of those countries with skills and interest in patent information further developing their own skills, and being assisted by WIPO to share those skills and experiences with other Member States, as could be the focus of further work in this area.

- More properly, the project should be understood as a project that has and will continue to develop incrementally. It achieves this through increasing awareness of the value of patent information, facilitating access to tools for access to patent information, contributing to a skills base among a broad stakeholder base, and supporting exchange of experience and information among and between countries. Fully realising this potential will require long-term commitment to the project by the Member States and Secretariat, and an appreciation of the project as requiring a specialised skills set as a service delivery project. It will also require recognition of it as a project that requires full and effective collaboration with partners internally and externally to link skills with areas of technology and public policy.

Conclusions

Drawing from the findings described above, and from Appendixes I and II, the following key conclusions are observed:

On Project Design and Management

- The project was overly ambitious for the time allowed, however, ultimately the project was delivered to a high quality, and in some respects exceeded expectations.

- The overlapping timing of the Phase I evaluation and the Phase II project proposal meant that not all actionable recommendations could be taken into account in Phase II. However some of those project design and management recommendations have since been integrated in the project.

- The project proposal and project management tools were of a nature largely suited to the length and complexity of the project, however would have been enhanced, as noted in the Phase I recommendations, by elements such as impact level indicators, weighted risk analysis and the identification of external assumptions, among other features.

- Care should be taken to ensure monitoring and evaluation strategy is designed at the outset, and implemented throughout the project with coherence and consistency. In

particular, monitoring and evaluation process should enable indicators identified in the project design should be able to be accurately assessed in the final evaluation.

- The project suffered from inadequate budgets for translation and for dissemination of project outputs, including through participation by staff in external activities. Many such activities were supported by other divisions and organisations. Note that such activities are also important for the identification of topics for PLRs of relevance to Member States and IGOS.

On Relevance

- As the value of patent analytics is not widely understood by a non IP audience, it has naturally taken the project some time to find its constituency – the development of PLRs, workshops and the e-tutorial, as well as development of the methodology guidelines should be viewed not only as valuable in themselves, but as catalysts for a broader understanding of the relevance and value of PLRs for public policy, strategic development and technology transfer. The natural and appropriate audience for this project is broader than national IP offices. As further reports are developed and utilised, Member States and potential external partners are likely to become more aware of their value and utility, and, accordingly, to become more active in identifying and suggesting topics for PLRs.

- The importance of translation in ensuring relevance to users, and supporting project relevance, efficiency and effectiveness should not be underestimated.

On Effectiveness

- The project was largely effective in achieving its own objectives. Future work should build upon and strengthen the foundation that has been built in Phase I, Phase II and the post Phase II period.

- In general, and in addition to contributing to international discussions in important technological areas in the fields of health and the environment, Phase II activities have contributed to broadening understanding of the value of PLRs and patent information and analytics more generally. They have built the beginnings of a foundation for Member States and others to identify areas of technology where PLRs would benefit national and international policy making. Phase II and post Phase II activities have further assisted Member States to develop the beginnings of a skills base in patent analytics such that they may ultimately become more self-sufficient in this area.

On Sustainability

- The Project integrated several features that support the sustainability of the project. Such features should be continue to be strengthened in the post Phase II period.

- Future activities should further emphasise capacity building, and further strengthen remote learning and access to tools. This would enable the project to reach a broader range of Member States, a broader range of government departments, a larger number of staff within relevant departments, and a broader range of stakeholders including IGOs, NGOs, the private sector and research institutions.

On Implementation of Development Agenda Recommendations

- The project is widely perceived as having positively contributed to the goals set out in DA recommendations 19, 30, and 31.

- Access to patent information supports the Development Agenda best when all those involved in patent examination, R&D, policy development, patent opposition, and commercialisation of innovations have access to patent information and search and analysis databases.

- The project should be understood as a project that has been naturally of a slow burning nature in its early phases, but one that has and will continue to develop incrementally, with the capacity for ever growing impact as the gains of the earlier phases are consolidated. It is and will continue to achieve this through increasing awareness of the value of patent information, facilitating access to tools for access to patent information, contributing to a skills base among a broad stakeholder base, and supporting exchange of experience and practice among and between countries. Fully realising this potential will require a longer commitment to the project by the Member States and Secretariat, and an appreciation of the project as requiring a specialised skill set as a service delivery project. It should also be recognised as a project that requires full and effective collaboration with partners internally and externally such that the expertise and services offered are brought together with areas of technology and public policy that would benefit from them.

Recommendations

Recommendation 1: To the WIPO Secretariat: that the timing of project evaluations be staged in a way that ensures implementing divisions have access to evaluation recommendations relevant to the design of subsequent project phases in the project proposal drafting stage, and before they are required to submit project proposals to the CDIP for approval.

Recommendation 2: To the WIPO Secretariat and Member States: While not all materials and activities may need translation into all official languages, the degree to which translation would support project objectives and project efficiency and effectiveness should be considered on an output-by-output basis. Sufficient budget lines for translation should be integrated in project proposals.

Recommendation 3: To the WIPO Secretariat and Member States: That dissemination of project outputs is essential to the relevance and effectiveness of the project, and should be budgeted for accordingly.

Recommendation 4: To the WIPO Secretariat: That all options for tracking user experience be further considered and evaluated, and that activities to strengthen communication of project achievements to those directly involved in the project be considered. That may involve, for example, development of a project e-newsletter and/or more frequent website or social media updates.

Recommendation 5: To the WIPO Secretariat: That, in mainstreaming, the project continue to be viewed as a service delivery project requiring specialised skills, experience and expertise, and that it be organised and staffed accordingly.

Recommendation 6: Without prejudice to the deliberation of Member States, that WIPO and its Member States consider future activities in this area that:

1.   Build upon the foundation provided by Phase I and II, including through continuing to support international policy deliberations through development of PLRs, as well as to work with Member states to identify specific areas of technology for the development of PLRs.

2.   Emphasise capacity building including through the further development of e-tools. This may include development of an advanced training module that could be delivered by the WIPO Academy, and integrated as a regular module of the TISCs.

3.   Facilitate hands on learning towards developing skills in patent search and analysis, noting that this may require a modest investment by WIPO by subscribing to specialised commercial tools and databases.

4.   Facilitate access to and training in use of open source patent search and analysis tools.

5.   Ensure activities are targeted such that they reach a broader stakeholder audience incorporating mainstream government departments, the private sector in Developing and Least Developed Countries, NGOs and research institutions.

6.   Support the exchange of experience and best practice among countries.

INTRODUCTION

This report sets out the results of the independent, external evaluation of the WIPO Development Agenda Project on Developing Tools for Access to Patent Information – Phase II, a project formed in response to Development Agenda recommendations[7] 19, 30 and 31. These recommendations are as follows:

Recommendation 19: To initiate discussions on how, within WIPO's mandate, to further facilitate access to knowledge and technology for developing countries and LDCs to foster creativity and innovation and to strengthen such existing activities within WIPO.

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The evaluation process was agreed between the external evaluator and the Development Agenda Coordination Division of the WIPO Secretariat, and is set out in the approved evaluation inception report. The evaluation took place between mid-July to mid-September 2014.

This Report includes an executive summary, and is set out in the following parts:

- Introduction to the purpose and scope of the project.
- Introduction to the purpose and scope of the evaluation.
- Key findings.
- Conclusions
- Recommendations.

Appendixes to this report provide additional information regarding the evaluation process, and include:

- Phase I Project Evaluation – incorporating conclusions, recommendations and Secretariat response. (Appendix I)
- Details of Phase II Project Delivery. (Appendix II)
- Phase II Project Expenditure. (Appendix III)
- Evaluation Matrix. (Appendix IV)
- Key Documents Consulted. (Appendix V)
- Interviewees. (Appendix VI)
- Interview Process. (Appendix VII)

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[7] As adopted by the 18th Ordinary Session of the WIPO General Assembly.

ABOUT THE PROJECT

PROJECT BACKGROUND

The project proposal was published in document CDIP/10/13 and approved during the tenth session of the Committee on Development and Intellectual Property (CDIP) in November 2012. The project was implemented between November 2012 and December 2013 (14 months). The budget for the project was 292,000 Swiss francs (non-personnel resources).

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An evaluation of Phase I was undertaken by WIPO's Internal Audit and Oversight Division (CDIP/10/6). The results of the Phase I evaluation were presented at the same CDIP meeting in November 2012 at which the Phase II project was approved. The conclusions and recommendations of that evaluation, as well as WIPOs demonstrated responses are described in Appendix I to this report.

The Phase II project was carried out by the Patent Information Section of the Access to Information and Knowledge Division within the Global Infrastructure Sector of WIPO.

Phase II of the project focused on the development of further PLRs and other tools and capacity development activities towards supporting access to patent information, namely the development of PLR best practice guidelines and a regional and inter-regional workshop.

PLRs provide insight into patterns and trends in innovation activity for given technological areas. More specifically, they include a state-of-the-art search in patent databases, with those results further analyzed and distilled to describe patenting activity and innovation trends. They can be used to support policy discussions, strategic development choices and technology transfer, and can form the basis of freedom to operate analyses.[8]

Preparing patent landscape reports requires specialized expertise in patent searching and analytics, supported by access to relevant patent databases and search and analysis tools. There are a number of tasks involved in preparing a PLR. These include: patent searching and collection of information; cleaning, ordering and analysis of the collection; visualization of the results for assisting comprehension of trends; developing a narrative and explanation, and, somewhat separately, deriving conclusions and recommendations specific to the context in and for which the PLR was produced.[9]

Developing and Least Developed Countries (LDCs) often face challenges in developing patent landscape reports relevant to their national priorities. This is due to a number of factors that may include: limited awareness of the utility of PLRs in both patent offices and

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[8] See, for example, http://www.wipo.int/patentscope/en/programs/patent_landscapes/index.html
[9] WIPO Inter-Regional Workshop on Patent Analytics, December 4 – 6 2013 Manila, WIPO/IP/MNL/13, Documents: Topics 1 Presentation available at http://www.wipo.int/meetings/en/details.jsp?meeting_id=31543

other government departments; limited availability of national patent data; and, limited access to commercial search databases and analytics tools.[10]

PLRs in both Phase I and II of the project were prepared by consultants, in collaboration with external partners (IGOs and NGOs). The PLRs developed were primarily focused on important areas of public policy globally, including in the areas of health and the environment, as described under the key findings section of this report. The purpose of developing PLRs within the project was not solely for their content, but their illustrative value in raising awareness among Developing Countries, LDCs and the international community of the relevance and utility of PLRs and patent analytics more generally.

In line with the decision to mainstream the Development Agenda within the work of WIPO, the WIPO Program and Budget for the 2014/15 biennium proposed that several projects implemented in the previous biennium, including the project for Developing Tools for Access to Patent Information, be mainstreamed into relevant programs, subject to project evaluations.[11] In the post Phase II period, external collaborations for the development of PLRs are ongoing, with further PLRs being developed with public institutions in developing countries on technological areas of national and regional priority.[12] In addition, work continues toward assisting Developing Countries and LDCs access open source databases and tools for performing patent analytics, among other capacity building activities.

PROJECT DESIGN

In the Phase II project design document, project objectives and outputs were identified. Indicators of success were developed for project objectives and indicators of successful completion developed for project outputs.

The objectives of the Phase II project and accompanying indicators of success were:
  1. Improved access to technologies and better knowledge of patenting trends and innovation patterns in specific areas of technology.
     - 75% of the immediate collaboration partners of each PLR are satisfied with the quality of the respective report;
     - 75% of the immediate collaboration partners consider the report useful for their own activities;
     - At least 60% of other users of readers of the PLRs express satisfaction with the quality of the content of each report;
     - 30% of other users find the reports useful for their own activities;
     - At least 20% more page views of the dedicated WIPO PLR website in comparison to Phase I;
     - 20% higher frequency of downloads in comparison to Phase I.
  2. Enhanced capacities in developing country institutions for utilizing and preparing PLRs.
     - 75% of participants of the regional conference/workshop find that their understanding of patent analytics has improved considerably;
     - 75% of the users/readers of the PLR preparation guidelines consider the guidelines useful for their own activities;
     - 30% of the users/readers of the PLR preparation guidelines consider the guidelines useful for their own activities.

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[10] As communicated to the author of this report during evaluation interviews.
[11] WIPO Program and Budget for the 2014/15 Biennium. Approved by the Assemblies of the Member States of WIPO on December 12, 2013. Page 27, Para. 56.
[12] For example, a report being prepared on Palm Oil with the Government of Malaysia, as communicated to the author of this report during interviews.

Expected outputs and accompanying indicators of successful completion were:
1. Six new PLRs on specific topics of particular interest and priority for LDC's and developing countries in the areas defined during Phase I to support policy discussions and decisions related to development, innovation, R&D investment and technology transfer in specialized intergovernmental organizations (IGOs), non-governmental organizations (NGOs), governments, institutions, R&D centres, academia and other private sector representatives.
   - 6 new PLRs completed during Phase II of the project in collaboration with at lease 2 new cooperation partnerships.
2. WIPO's existing website on patent landscaping to be enhanced to further facilitate the access to published PLRs, those prepared by WIPO and other institutions.
   - 20 additional WIPO and external PLRs added on the website during Phase II.
3. Organization of a regional conference to facilitate collaboration among IP offices and institutions working in the field of patent analytics and exchange of best practices.
   - Organization of a regional conference/workshop on patent analytics and participation in other e.g. TISC, training events.
4. Drafting of methodological guidelines for the preparation of PLRs.
   - Completed within 12 months after the launch of Phase II of the project.

The project document also stated that Phase II of the project would seek to further fine tune and improve the standardized instruments developed during Phase I, i.e. the visualization of the findings of each report, and that Phase II would seek to better track the utility and impact of the reports developed in Phase I and II among the targeted beneficiaries.

The following risk and accompanying mitigation strategies were also identified:

1. Risk: Lack of expression of interest for specific topics for future landscape reports by Member States or institutions in developing countries.
   - Mitigation strategy: Offering assistance to Member States for identification of needs and specific, relevant topics to be addressed in PLRs. Possibly, consultation of national policy and development documents, such as National IP or Development Strategies/Plans. Utilization of the network established during Phase I with IGOs and NGOs working in the relevant fields in order to identify potential users of PLRs in member countries.
2. Risk: Insufficient utilization of the reports.
   - Mitigation strategy: Improved dissemination of the reports through WIPO Publications, TISC's or TTOs as information material, inclusion in the WIPO Academy distance learning courses, and participation in awareness raising and other events related to the topic of each report. Monitoring the dissemination and use of the completed reports by the partner institution with which the report was prepared. Improving the quality and appropriateness of future reports by soliciting and evaluating feedback from other users of published reports, e.g. after each download.
3. Risk: Appropriateness of the scope of each report.
   - Mitigation strategy: Each report will be developed in collaboration with a partner institution and the terms of reference of each report will be tailored to the specific needs of the partner. The scope of each report will also be coordinated with the WIPO units working in the respective thematic areas.

Monitoring and evaluation was to involve: periodic monitoring reports; a self-evaluation report developed at the conclusion of the project by the project manager; and, an independent project evaluation. A project schedule was provided in the project proposal.

The extent to which the project delivered on the objectives and outputs identified in the project proposal is described in the key findings section of this report.

Note that the project was expected to have links to the following expected results in the 2012/2013 Program and Budget:

- Expected Result II.2: Enhanced human resource capacities to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition.

- Expected result IV.2: Enhanced access to, and use of IP information and knowledge by IP institutions and the public to promote innovation and increased access to protected creative works and works in the public domain.

- Expected Result VII-3: IP-based tools are used for technology transfer from developed to developing countries, particularly LDCs, to address global challenges. Program 18; Distinctive and practically useful information resources combining policy analysis with enhanced use of patent information for policy-makers and practical tools for open

ABOUT THE EVALUATION

PURPOSE & SCOPE OF THE EVALUATION

Consistent with the Terms of Reference (TOR) provided, the evaluation sought not to assess individual activities but rather to evaluate the project as a whole and its contribution to the outcome and objective of the project. The evaluation considers overall project performance, project design, project management, coordination, coherence, implementation and results achieved.

The overall objective of the evaluation was to:

(a) Learn from experiences during project implementation: what worked well and what did not work well for the benefit of continuing activities in this field. This included assessing, where possible: the project design framework; project management including monitoring and reporting tools as well as measuring and reporting on the results achieved to date; and, assessing the likelihood of sustainability of results achieved.

(b) To provide evidence-based evaluative information to support the CDIP's decision-making process.

In particular the evaluation was to assess, where possible, the extent to which the project had been instrumental in:

(a) Improving access to information and technologies disclosed in patent publications and better knowledge of patenting trends in specific technological areas where patent landscape reports have been prepared;

(b) Facilitating better informed policy discussions and decisions related to R&D, investment and technology transfer through the provision of PLRs in relevant areas; and

(c) Raising awareness about the importance of IP issues in the decision making process related to R&D investment, technology transfer and local manufacturing, amongst others.

The project time frame considered for this evaluation was 14 months (November 2012 – December 2013), however as some relevant activities continued past that date, activities up to mid-August 2014 were considered.

The evaluation itself took place between July and September 2014.

EVALUATION METHODOLOGY

The evaluation was an independent external evaluation. The evaluation methodology was aimed at balancing the needs for learning and accountability. To this end the evaluation was to be participatory, with involvement in the evaluation process of those with a stake in the project.

The evaluation methodology consisted of the following:

(a) Desk review of relevant project related documentation including the project framework, progress reports, the evaluation of the Phase II project, monitoring information, budget expenditure reports, project deliverables, and other relevant documents including reports of previous sessions of the CDIP at which the project was discussed. The list of documents reviewed is included as Appendix V.

(b) Informal discussions with the project team members and managers; and

(c) Semi-structured interviews with stakeholders having had an involvement with the project, including external partners and internal collaborating divisions of WIPO. The list of those interviews is included as Appendix VI. Interviews took place either in person or by telephone. Further Information on the interview process and the guide questions used is set out in Appendix VII.

EVALUATION QUESTIONS & PERFORMANCE CRITERIA

The evaluation assessed questions in each of the following areas: project design and management; relevance, effectiveness; sustainability, and implementation of Development Agenda Recommendations. Specific questions the evaluation sought to assess are set out below.

Taking into account both the defined scope and purpose of the evaluation, and the objectives of the project, performance indicators were developed for each of the key evaluation questions. Given the purpose and scope of the evaluation, and the need to reflect on how and why the project unfolded as it did, these indicators focus on a mix of indicators focused on process, outputs and impact.

Both the evaluation questions and performance criteria are set out in the evaluation matrix (Appendix IV).

KEY FINDINGS

SUMMARY OF KEY FINDINGS		
Evaluation Questions	**Performance Indicators**	**Findings**
Project Design and Management		
1. The appropriateness of the initial project document as a guide for project implementation and assessment of results achieved.	• Degree to which project document outlined a realistic and achievable project plan. • Degree to which proposed process and outputs closely related to project objectives. • Degree to which project document incorporated a meaningful monitoring and evaluation strategy.	• The project was over ambitious given the 14 month timeframe, evidenced by the continuation of Phase II activities in 2014, the post Phase II period. However, the project timeframe was originally expected to be longer, with the tight time frame was due to approval of the project in November 2012, later than anticipated. • Note that reducing the number of PLRs to be developed, while helpful, does not negate the lengthy period of of time required to develop a single PLR, from identification of an issue, through developing collaboration partners, to procurement review, publication and dissemination. • The initial project document contained a brief description of the project, identified objectives, and main outputs, as well as a delivery strategy, a risk and mitigation strategy, a project review strategy, project schedule and budget. • As recommended during the Phase I evaluation (and noting the project team did not have access to the evaluation report at the time of developing the project proposal), the project design may have benefited from the inclusion of impact level indicators, a results based budget, and risks rated according to the degree of the their potential negative impact and the likelihood they may materialize.

2. The project monitoring, self-evaluation and reporting tools and analysis of whether they were useful and adequate to provide the project team and key stakeholders with relevant information for decision-making purposes.	• Degree to which project monitoring, self evaluation and reporting tools were:
	   • timely
	   • accurate
	   • useful and used by stakeholders
	   • were of appropriate length and depth, given relative size, focus and complexity of project.
	   • facilitated an accurate and up to date understanding of project progress, any emerging risks and how those risks were being managed.
		• The project monitoring, self-evaluation and reporting tools were appropriate to the length and complexity of the project.
		• A basic budget was included in the project proposal, supplemented by a results based budget by the conclusion of the project.
		• The project objective and outcome indicators integrated in the monitoring and evaluation strategy were logical and appropriate, however were not always directly reflected in the evaluation surveys and interim reporting.
		• Impact level indicators may have enhanced the project design however are difficult to administer in the context of a project of limited duration.
		• While the project team administered surveys of participants at the regional conferences, and were able to collect website hits and download statistics for PLRs, it was not possible to collect any more detailed user information relating to use of the PLRs owing to WIPOs information collection practice not supporting in depth survey of users.

3. The extent to which the project document has responded to	• Degree to which recommendations have been interviewed as evidenced by steps	• The extent to which the project has responded to the recommendations made during the Phase I evaluation are described in detail in Appendix I.

recommendations made during the evaluation of its Phase I.	taken.
	• In absence of implementation of recommendations, rationale provided.
		• In summary, note:
		   o Although the project proposal did not reflect several of the sub-elements of Recommendations 1 and 2 concerning the structure and content of the project proposal and self evaluation reports, this can be partly attributed to the timing of the evaluation report against the design and submission of the Phase II project proposal – both the evaluation report and the Phase II project proposal were considered at the same session of the CDIP. In addition, at the time the proposal was drafted WIPO had not systematically instituted a requirement that all such project proposals require features such as log frame, weighted risk reporting and Gantt chart based reporting.
		   o Recommendation 3 concerning follow up activities has been taken into account in the carrying out of Phase II and the design of post Phase II activities.
		   o Recommendation 4 encouraging a system that allows WIPO to systematically track users of online services has only been partly implemented. The ability to understand audience, and user needs and experience is very beneficial to project design and evaluation. Although this recommendation was considered by the WIPO Secretariat, issues including perceived privacy concerns of users have been nominated as one of the reasons why implementing this recommendation has not been pursued. However, other methods of tracking, such as optional surveys of participants, have been used, and these and other options could and should be explored as ways of assisting in the tracking of the use and perceived utility of the tools developed. Equally, assumptions about the concerns of users should be tested through survey or other means to better establish what information web users are comfortable sharing.
		   o Recommendation 5 encouraging WIPO Senior Managers to strongly promote e-learning tools in order to complement on-site training has influenced the development of Phase II and post Phase II activities, however note that e-learning tools do not always subsume the need for in person training activities, as illustrated by the role of the regional and inter-regional workshops in the Phase II project. These workshops were used towards sharing best practices and testing the guidelines that will be available ultimately as an on-line resource. In person workshops also

		had the advantage of encouraging the development of informal networks. E-learning tools have the capacity to reach a broader and more geographically widespread range of actors, and to reach all important groups of users of patent analytics outputs, including those outside of national intellectual property offices, and extending to other government departments, NGOs and the private sector. With the development o the methodology guidelines, Phase II and post Phase II activities have built on the e-learning tutorials of Phase I. • On Recommendation 6 encouraging the formalisation of collaboration with other Divisions, note that during Phase II collaboration was both formal and informal. Reference was made to other divisions explicitly in the project proposal, and in certain cases noted in individual's work plans. Note however, that even in the absence of formalising collaboration, the WIPO Secretariat needs still to encourage a culture of collaboration, such that it is more likely that informal collaborations are brokered and pursued enthusiastically, so adding to the potential efficiency, relevance and effectiveness of WIPO activities. For further details of collaboration during the Phase II project, see below.

4. The extent to which other entities within the Secretariat have contributed and enabled an effective and efficient project implementation.	• In relation to other entities within Secretariat
	    • number of Divisions contributing;
	    • level of staff contributing;
	    • nature of contribution;
	    • timeliness of Contribution;
	    • impact of contribution on project implementation, outputs and impact.
		• Other divisions of WIPO were identified in the project document as divisions who would contribute to project implementation. These included the Global Challenges Division, Traditional Knowledge Division and Department of External Relations.
		• The collaboration was both formal and informal, and focused on utilising the complementary skills and expertise of other divisions, as well as towards supporting access to the policy discussions occurring under their remit.
		• Collaboration with the Department of External Relations included developing and funding the PLR Infographics, as well as assisting in the identification of external partners. Collaboration with the Global Challenges Division involved consultation on PLR Terms of Reference (TORs) and substantive input, while collaboration with the Traditional Knowledge Division occurred in the context of sharing PLRs on plant and animal genetic resources, as relevant to that Division's mandate.
		• During interviews, collaboration was viewed as largely successful and appropriate. This was based on the understanding and view that collaboration should aim towards building complementarity and make best use of the various areas of expertise and networks of the respective divisions to strengthen content and the dissemination of outputs.
		• Further involvement of other divisions at the project design phase was encouraged.
		• Importantly, in an area such as patent information and analytics that provides

		specialist services and expertise relevant to specific technologies, the role of other divisions in identifying policy challenges that would benefit from patent analytics, and in facilitating access to networks for dissemination and discussion, is critical. This can be pursued through formal collaboration agreements, but it also reliant on individual generosity and enthusiasm, supported by a general culture of collaboration.
5. The extent to which the risks identified in the initial project document have materialized or been mitigated.	• Extent to which risks identified in the project document materialised. • Extent to which any risks that actually materialised had not been identified in the project document. • Extent to which any risks that emerged were mitigated. • Extent to which any mitigation actions taken reflected the mitigation strategies in project document, and if not, why not.	• The risks identified in the project document were: ▪ Lack of expression of interest for future landscape reports by Member States or institutions in developing countries. ▪ Insufficient utilization of the reports. ▪ Appropriateness of the scope of each report. • The risks identified in the project document were based on experience in Phase I. The first did materialise to an extent, however the mitigation strategies were appropriate and applied, and largely reflected those in the project document. • Additional mitigation strategies were also applied by the project team in relation to the first risk, through being very proactive in working with external partners to identify technological areas or issues for which patent landscape reports would be useful.
Relevance		
6. The extent to which the project design reflected the priorities of Members and supported Development Agenda Recommendations.	• Degree to which selection of the project among other options was participatory and took into account Member State interests and priorities.	• In the first and second phases of the project, the ideas for PLRs largely came from the project team, in discussion with internal and external partners. • These initial PLRs concerned areas of important public policy internationally, and served to inform global debates in the areas of health and the environment, among other issues. The forums in which these PLRs were useful reached WIPO Member States, through their membership of these other bodies, and through addressing issues that in many cases were of particular relevance to Developing and LDCs. • As the value of patent analytics is not widely understood by a non IP audience, it has naturally taken the project some time to find its constituency – the development of PLRs, workshops and the e-tutorial, as well as development of the methodology guidelines should be viewed not only as valuable in themselves, but as catalysts for a broader understanding of the value of PLRs for public policy, strategic development and technology transfer. • Interviews and experience suggests that, as further reports are developed and utilised, Member States and potential external partners are likely to become more aware of their value and utility, and, accordingly, to become more active in identifying and suggesting topics for patent landscape reports. This trend was evident in Phase II, with some ideas for PLRs initially generated through external partners who had been exposed to a PLR in a different

		area of technology. They were able to recognise the value that development of a PLR would have in their own field.
		• Further, the Secretariat has received several requests for updates to existing reports, suggesting their relevance to users.
		• The Secretariat has also received requests for the sharing of best practices by other countries that have used patent analytics effectively, and further hands on training, as well for help accessing and using open source patent search and analytics tools and databases. Several interviewees also reiterated these requests during interviews for this evaluation.
		• Note that in the post Phase II period the Secretariat has started to work on other PLRs with specific countries, namely a PLR on Palm Oil being developed with the Government of Malaysia.
Effectiveness		
7. The effectiveness of the project in delivering proposed projects outputs and effectiveness in delivering outputs supportive of project objectives.	• Degree to which proposed project outputs were delivered. • Degree to which actual project outputs supported project objectives.	• Project delivery is fully described in Appendix II to this report. • Although project delivery was not completed by December 2013, this was largely due to an unrealistic timetable brought on by the late approval of the Project Proposal. • Phase II project activities continued past December 2013. As at the time of evaluation, all outputs had either been delivered, or were very close to being finalised. • The overall standard of deliverables was generally regarded as high. On several indicators, expectations were significantly exceeded, such as in the case of PLR download statistics, contribution to international negotiating fora, number and quality of workshops, and involvement of the project team in external promotions activities (see Appendix II).
8. The effectiveness of the project in contributing to an improved access to technologies and better knowledge of patenting trends and innovation patterns in the specific areas of technology.	• Demonstrated extent and type of use of project tools by Member States. • Extent to which Member States perceived improved access to patent information.	• User experience, based on the results of the PLR surveys, download statistics, and workshop participant surveys, is fully described in Appendix II to this report. • Website traffic and download of PLRs significantly increased during Phase II, with website hits close to 13,000, doubling as against 2012 figures. There were more than and 26,000 downloads of PLRs developed by WIPO over 2012 and 2013. • PLRs and workshops were consistently highly rated in terms of their relevance and quality. • In general, the Phase II activities were viewed as contributing to a broader understanding of the value of Patent Landscape Reports, and have built the beginnings of a foundation for Member States and others to identify areas of technology where PLRs would benefit national policy making. • Phase II activities are further perceived to have assisted Member States develop the beginnings of a skills base in patent analytics that is being further strengthened by post Phase II activities.

9.	The effectiveness of the project in facilitating better informed policy discussions and decisions related to R&D, investment and technology transfer through the provision of PLRs in relevant areas.	• Evidence for and extent to which Member States and others perceived the project informed policy discussions and decisions related to R&D, investment and technology transfer through the provision of PLRs in relevant areas.	• Through the Phase II activities, the project has made a direct contribution to discussions in international fora and among Member States concerned with such as e-waste, animal genetic resources and access to essential medicines.
10.	The effectiveness of the project in raising awareness about the importance of IP issues in the decision making process related to R&D investment, technology transfer and local manufacturing, amongst others.	• Evidence for and extent to which Member States and others perceived the project raised awareness about the importance of IP issues in the decision making process related to R&D investment, technology transfer and local manufacturing, amongst others.	• The Phase II project activities, while also perceived as having been valuable in and of themselves, are also perceived to have contributed to increased awareness of the role and value of access to patent information, a trend enhanced by the participation of the project team in more than 20 external activities for the purpose of promoting of the project objectives over 2013 and 2014. (See Appendix II).
11.	The effectiveness of the project in facilitating collaboration among IP officers and institutions working in the field of patent analytics and exchange of best practices.	7. Evidence as to any enhanced collaboration.	8. The regional and interregional workshops were viewed as having facilitated connections and the development of informal networks between national patent offices. Participants have indicated the value of these networks to them, and expressed the hope that these could be strengthened over time through further WIPO activities. 9. Participants have suggested further follow up activities to strengthen these networks. In particular they seek opportunities to exchange information about best practices by those countries with skills and experience in PLRs and patent analytics, with those considering their own work in this area. For example, participants have suggested it would be helpful for the governments of Singapore, the UK, Malaysia and the Philippines to share their experiences. Such requests are being considered by the project team in the post Phase II period.
12.	The effectiveness of the project in enhancing capacities in developing country institutions for utilizing and preparing PLRs.	• Extent to which Stakeholders perceived the project had improved capacities. • Extent to which examples could be cited by stakeholders of direct or indirect impact of enhanced capacities.	• As described in Appendix II participants in project activities widely perceived that project activities had enhanced their understanding of the relevance and value of patent information, and had strengthened their capacity to identify areas of technology in which patent information could enhance policy making, strategy development and technology transfer.
13.	The effectiveness of the project in further fine-tuning and improving the standardised instruments developed during Phase I and in	• Extent to which materials have been improved or developed. • Availability and content of any statistics indicating actual use and utility of PLRs developed in both	• In Phase II, further PLRs were developed, alongside best practice methodology guidelines. • Workshops served as in depth consultations that refined the methodology guidelines to ensure they were well targeted to an audience of Developing and Least Developed Countries. • Despite the limitations of the WIPO website in

better tracking the utility and impact of the reports developed in Phase I and II among the targeted beneficiaries.	Phase I and II.	assisting in the tracking of the utility and impact of the tools developed, some tracking was undertaken, as fully described in Appendix II. This tracking extended to website hits, PLR downloads, a survey of PLR user experience, and surveys of workshop participants.
Sustainability		

14. The extent to which the project has embodied a model of sustainable capacity development, that supports on-going use of tools developed and the development of additional tools.
 	
15. The likelihood of continued work on developing tools for access to patent information in WIPO and its Member States.
	• Extent to which sustainability is built into project design.
	• Extent of work being currently continued by Member States and WIPO.
	• Extent of work in planning phase by Member States and WIPO.
	• Perceptions of likely future work in Member States and WIPO.
	• Perceptions as to contribution of project to actual, planned and likely future work by Member States and WIPO.
		• The Project integrated several features that support the sustainability of the project. These included:
		  o The promotions activities of the project team.
		  o The illustrative value of PLRs developed.
		  o Demonstrated contribution to policy development.
		  o Contribution of the workshops to supporting the development of informal networks.
		  o Value of the best practice methodology guidelines in assisting Developing and Least Developed countries and others towards developing their own PLRs in areas of interest.
		• Sustainability should be continue to be strengthened in the post Phase II period. This could be achieved through further capacity building activities and enhancing access to tools, including:
		  o Increasing the range of e-tools available.
		  o Promoting tools such that they reach a broader stakeholder base including a wider range of government departments.
		  o Development of advanced modules for delivery through the WIPO Academy/TISCs.
		  o Continuing work towards facilitating access to open source patent search and analysis tools.
		  o Facilitating exchange of experience and best practice among countries.

Implementation of Development Agenda Recommendations		
16. The extent to which DA Recommendations 19, 30, 31 have been implemented through this project.	• Perceptions as to relationship of project to DA Recommendations 19, 30, 31. • Perceptions as to remaining gaps in implementation of DA. Recommendations 19, 30, 31. • Perceptions as to future actions needed to implement DA Recommendations 19, 30, 31.	• Recalling the relevant DA recommendations, namely: *Recommendation 19:* To initiate discussions on how, within WIPO's mandate, to further facilitate access to knowledge and technology for developing countries and LDCs to foster creativity and innovation and to strengthen such existing activities within WIPO. *Recommendation 30:* WIPO should cooperate with other intergovernmental organizations to provide developing countries, including LDC's upon request, advice on how to gain access to and make use of IP-related information on technology, particularly in areas of special interest to the requesting parties.

		Recommendation 31: To undertake initiatives agreed by Member States, which contribute to the transfer of technology to developing countries, such as requesting WIPO to facilitate better access to publicly available patent information.
		• The project is widely perceived as having positively contributed to the goals set out in DA recommendations 19, 30, and 31. • Given the emphasis thus far on PLRs covering issues of international concern, through collaborations with other international organisations, the contribution towards recommendation 30 has been particularly strong. • Questions can always be, and have been raised concerning the extent to which the project has responded towards those areas of greatest need, with the argument put that the project benefits most those who have the most capacity to undertake this kind of work for themselves. While this argument has some veracity, it does not adequately acknowledge the contribution of the project to international policy relevant to LDCs, such as e-waste, genetic resources, access to essential medicines and HIV drugs. It also may underplay the demonstrative value of those countries with skills and interest in patent information further developing their own skills, and being assisted by WIPO to share those skills and experiences with other Member States, as could be the focus of further work in this area. • More properly, the project should be understood as a project that has and will continue to develop incrementally. It achieves this through increasing awareness of the value of patent information, facilitating access to tools for access to patent information, contributing to a skills base among a broad stakeholder base, and supporting exchange of experience and information among and between countries. Fully realising this potential will require long term commitment to the project by the Member States and Secretariat, and an appreciation of the project as requiring a specialised skills set as a service delivery project. It will also require recognition of it as a project that requires full and effective collaboration with partners internally and externally to link skills with areas of technology and public policy.

CONCLUSIONS

Drawing from the findings described above, and from Appendixes I and II, the following key conclusions are observed:

On Project Design and Management

- The project was overly ambitious for the time allowed, however, ultimately the project was delivered to a high quality, and in some respects exceeded expectations.

- The overlapping timing of the Phase I evaluation and the Phase II project proposal meant that not all actionable recommendations could be taken into account in Phase II. However some of those project design and management recommendations have since been integrated in the project.

- The project proposal and project management tools were of a nature largely suited to the length and complexity of the project, however would have been enhanced, as noted in the Phase I recommendations, by elements such as impact level indicators, weighted risk analysis and the identification of external assumptions, among other features.

- Care should be taken to ensure monitoring and evaluation strategy is designed at the outset, and implemented throughout the project with coherence and consistency. In particular, monitoring and evaluation process should enable indicators identified in the project design should be able to be accurately assessed in the final evaluation.

- The project suffered from inadequate budgets for dissemination of project outputs, including through participation by staff in external activities. Many such activities were supported by other divisions and organisations. Note that such activities are also important for the identification of topics for PLRs of relevance to Member States and IGOS.

On Relevance

- As the value of patent analytics is not widely understood by a non IP audience, it has naturally taken the project some time to find its constituency – the development of PLRs, workshops and the e-tutorial, as well as development of the methodology guidelines should be viewed not only as valuable in themselves, but as catalysts for a broader understanding of the relevance and value of PLRs for public policy, strategic development and technology transfer. The natural and appropriate audience for this project is broader than national IP offices. As further reports are developed and utilised, Member States and potential external partners are likely to become more aware of their value and utility, and, accordingly, to become more active in identifying and suggesting topics for PLRs.

- The importance of translation in ensuring relevance to users, and supporting project relevance, efficiency and effectiveness should not be underestimated.

On Effectiveness

- The project was largely effective in achieving its own objectives. Future work should build upon and strengthen the foundation that has been built in Phase I, Phase II and the post Phase II period.

- In general, and in addition to contributing to international discussions in important technological areas in the fields of health and the environment, Phase II activities have contributed to broadening understanding of the value of PLRs and patent information and analytics more generally. They have built the beginnings of a foundation for Member States and others to identify areas of technology where PLRs would benefit national and international policy making. Phase II and post Phase II activities have further assisted Member States to develop the beginnings of a skills base in patent analytics such that they may ultimately become more self-sufficient in this area.

On Sustainability

- The Project integrated several features that support the sustainability of the project. Such features should be continue to be strengthened in the post Phase II period.

- Future activities should further emphasise capacity building, and further strengthen remote learning and access to tools. This would enable the project to reach a broader range of Member States, a broader range of government departments, a larger number of staff within relevant departments, and a broader range of stakeholders including IGOs, NGOs, the private sector and research institutions.

On Implementation of Development Agenda Recommendations

- The project is widely perceived as having positively contributed to the goals set out in DA recommendations 19, 30, and 31.

- Access to patent information supports the Development Agenda best when all those involved in patent examination, R&D, policy development, patent opposition, and commercialisation of innovations have access to patent information and search and analysis databases.

- The project should be understood as a project that has been naturally of a slow burning nature in its early phases, but one that has and will continue to develop incrementally, with the capacity for ever growing impact as the gains of the earlier phases are consolidated. It is and will continue to achieve this through increasing awareness of the value of patent information, facilitating access to tools for access to patent information, contributing to a skills base among a broad stakeholder base, and supporting exchange of experience and practice among and between countries. Fully realising this potential will require a longer commitment to the project by the Member States and Secretariat, and an appreciation of the project as requiring a specialised skill set as a service delivery project. It should also be recognised as a project that requires full and effective collaboration with partners internally and externally such that the expertise and services offered are brought together with areas of technology and public policy that would benefit from them.

RECOMMENDATIONS

Recommendation 1: To the WIPO Secretariat: that the timing of project evaluations be staged in a way that ensures implementing divisions have access to evaluation recommendations relevant to the design of subsequent project phases in the project proposal drafting stage, and before they are required to submit project proposals to the CDIP for approval.

Recommendation 2: To the WIPO Secretariat and Member States: While not all materials and activities may need translation into all official languages, the degree to which translation would support project objectives and project efficiency and effectiveness should be considered on an output-by-output basis. Sufficient budget lines for translation should be integrated in project proposals.

Recommendation 3: That dissemination of project outputs is essential to the relevance and effectiveness of the project, and should be budgeted for accordingly.

Recommendation 4: To the WIPO Secretariat: That all options for tracking user experience be further considered and evaluated, and that activities to strengthen communication of project achievements to those directly involved in the project be considered. That may involve, for example, development of a project e-newsletter and/or more frequent website or social media updates.

Recommendation 5: To the WIPO Secretariat: That, in mainstreaming, the project continue to be viewed as a service delivery project requiring specialised skills, experience and expertise, and that it be organised and staffed accordingly.

Recommendation 6: Without prejudice to the deliberation of Member States, that WIPO and its Member States consider future activities in this area that:

1. Build upon the foundation provided by Phase I and II, including through continuing to support international policy deliberations through development of PLRs, as well as to work with Member states to identify specific areas of technology for the development of PLRs.
2. Emphasise capacity building including through the further development of e-tools. This may include development of an advanced training module that could be delivered by the WIPO Academy, and integrated as a regular module of the TISCs.
3. Facilitate hands on learning towards developing skills in patent search and analysis, noting that this may require a modest investment by WIPO by subscribing to specialised commercial tools and databases.
4. Facilitate access to and training in use of open source patent search and analysis tools.
5. Ensure activities are targeted such that they reach a broader stakeholder audience incorporating mainstream government departments, the private sector in Developing and Least Developed Countries, NGOs and research institutions.
6. Support the exchange of experience and best practice among countries.

[Appendixes follow]

APPENDIX I: PHASE I PROJECT EVALUATION

Evaluating the Phase II project required considering the extent to which the recommendations made during the Phase I evaluation were implemented. The conclusion and recommendations from the evaluation of the Phase I project, alongside notes as to WIPO's demonstrated response during Phase II and the post Phase II period, are as follows:

- **Conclusion 1:** The Project was generally well prepared and managed, but there is room for further enhancing existing tools for planning, monitoring and evaluating projects.

- **Conclusion 2:** The project design was overambitious, especially for achieving the objectives set for the PLRs.

- **Conclusion 3:** While the Project generally provided the right type of support in the right way, not all of its expected outputs (PLRs, e-tutorials, regional conferences) were delivered.

From these conclusions, the Phase I evaluation put forward the following recommendations.

- **Recommendation 1:** To Project Managers, the Development Agenda Coordination Division and Resource Planning, Programme Management and Performance Division on project planning (from Conclusions 1 and 2).

  (a) Wherever possible, project duration should be determined based on a reasonable estimate of the time required to achieve each expected result rather than based on the duration of funding cycles.

    Notes on WIPO response: In Phase II, the project time frame remained over-ambitious given the actual time required to implement the outputs. While all outputs were commenced in during the Phase II period, some were completed in the post Phase II period.

  (b) In addition to defining expected outputs and outcomes and linking them to objectively verifiable indicators (OVIs), as done, longer-term changes the Project is expected to contribute to (impact level) as well as related OVIs should be formalized.

    Notes on WIPO response: Impact level indicators had not been identified in the Phase II project proposal, however note that the Phase II project proposal had been designed prior to submission of the Phase I evaluation.

  (c) Where monitoring and/or self-assessment of results by projects require significant resources (e.g. comprehensive studies), they need to be included into the budget.

    Notes on WIPO response: Funds for an external evaluation of the Phase II project were included in the budget included within the Phase II project proposal.

  (d) As a basis for internal result-based financial monitoring, project documents should include a result-based budget that allocates expenditures according to budget lines (e.g. travel) to each of the expected outcomes and to project management cost (overhead).

    Notes on WIPO response: While a results based budget was not included in the initial Phase II Project Design, a results based budget was subsequently developed

and has been used for the purpose of project reporting. As stated, note that Phase II project proposal had been designed prior to submission of the Phase I evaluation.

(e) Besides identifying risks and the way of mitigating them, risks should be rated according to the degree of their potential negative impact on achieving results and the likelihood they materialize.

Notes on WIPO response: Risks were not rated according to the degree of their potential negative impact, only identified by description and mitigation action. As stated, note that Phase II project proposal had been designed prior to submission of the Phase I evaluation.

(f) Project documents should include assumptions (external conditions that need to be in place to achieve objectives).

Notes on WIPO Response: The project proposal did not include analysis of assumptions. As stated, note that Phase II project proposal had been designed prior to submission of the Phase I evaluation.

(g) Coordination within WIPO and other organizations should be clearly specified (explaining which specific joint actions will be taken and who is responsible).

Notes on WIPO Response: The project proposal identified a delivery strategy that identified cooperation with IGOs, NGOs, Member States and national/regional institutions, however the respective roles of these various actors was not specified in detail. Again, note that Phase II project proposal had been designed prior to submission of the Phase I evaluation.

- **Recommendation 2:** To Project Managers and Development Agenda Coordination Division, the Resource Planning, Programme Management and Performance Division on project monitoring (from Conclusion 1).

(h) In order to improve regular reporting as a tool to take well-informed management decisions, self-evaluation reports should not only assess results against objectives by using objectively-verifiable indicators, but also regularly self-assess on-going relevance, efficiency and likelihood of sustainability.

Notes on WIPO response: The Phase II progress report (CDIP/12/2) assessed results against objectives, although did not consider relevance, efficiency and likelihood of sustainability.

(i) For internal management purposes, financial reporting should link expenditures to budget lines and allocate them to different outcomes and project overhead cost. This would enhance transparency of financial reporting, provide managers with a sound basis for budgeting future projects, allow a bench marking of projects within the Development Agenda (DA) and provide the necessary information to assess efficiency of projects in detail.

Notes on WIPO Response: As stated, while a results based budget was not included in the initial Phase II Project Design, a results based budget was subsequently developed and has been used for the purpose of project reporting. As stated, note that Phase II project proposal had been designed prior to submission of the Phase I evaluation.

- **Recommendation 3:** To Committee on Development and Intellectual Property (CDIP) on a follow-up project covering PLRs (from Conclusion 3).

  The evaluation recommends to Member States to favourably consider a proposal for a possible follow-up phase, focusing exclusively on completing the PLRs under preparation and on the further development of the concept, with a view to establish a regular service provided by the Global Infrastructure Sector that assists and advises on patent analytics, and coordinates the development of PLRs in a systematic way.

  A possible follow-up (if approved by Member States) may in particular:

  (a) Promote the concept among a broad range of possible users through IP offices, TISCs, universities, business support service providers and other institutions, with a particular focus on those in developing countries and Least Developed Countries (LDCs);

  (b) Support capacity building through TISCs (where appropriate);

  (c) Refine the methodology through publicizing additional reports in other technical fields and using different formats; and

  (d) Enlarge the range of partners under particular consideration of cooperation with institutions in developing countries.

  Notes on WIPO response: The Phase II project was adopted and incorporated completion of the Phase I activities and further development of the concept, and in the mainstreaming post Phase II, has proceeded towards functioning as a regular service that assists and advises on access to patent information and analytics. The Phase II and post Phase II period has enlarged the range of partners to include further IGOs, and Member States, and has, in addition, developed tools and undertaken activities with a capacity building focus.

- **Recommendation 4:** To WIPO Senior Managers on establishing a system that allows WIPO to systematically track users of online service (from Conclusion 1).

  WIPO may consider establishing additional means to track users of its online services (e.g. through requiring users to register). This would provide information on who uses existing services as a basis to provide tailored information to specific target groups and to actively collect feedback from them for the purpose of continuous improvement of its services.

  Notes on WIPO Response: The ability to understand audience, and user needs and experience is very beneficial to project design and evaluation. Although this recommendation was considered by the WIPO Secretariat, issues including perceived privacy concerns of users have been nominated as one of the reasons why implementing this recommendation has not been pursued. However, other methods of tracking, such as optional surveys of participants, have been used, and these and other options could and should be explored as ways of assisting in the tracking of the use and perceived utility of the tools developed. Equally, assumptions about the concerns of users should be tested through survey or other means to better establish what information web users are comfortable sharing.

- **Recommendation 5:** To WIPO Senior Managers to strongly promote e-learning tools in order to complement on-site training, where possible (from Conclusion 3).

  With a view on increasing efficiency of different training activities, WIPO may consider to reinforce existing efforts to complement on-site training involving high travel cost through interactive online courses, such as for example providing them through webinars, taking into account the infrastructure capacities of potential beneficiaries of such services.

  Notes on WIPO response: Phase II of the project did include two in person workshops, however these were used towards sharing best practices and testing the guidelines that will be available ultimately as an on-line capacity building resource.

- **Recommendation 6:** To the WIPO Global Infrastructure Sector on formalizing coordination with other Sectors.

  The WIPO Global Infrastructure Sector may further formalize with other Sectors their roles and responsibilities in the implementation of a future follow-up covering PLRs through agreements. Defining specific responsibilities to be assumed by each Programme and requiring a formal sign-off by the Programmes involved would help to ensure that coordination is less dependent on informal co-operation.

  Notes on WIPO response: Collaboration with other Divisions during Phase II was both formal and informal. Reference was made to other divisions explicitly in the project proposal, and noted in individual's work plans. The extent of collaboration during Phase II is further explored in the Key Findings section of this report.

[Appendix II follows]

APPENDIX II: PHASE II PROJECT DELIVERY

Delivery against Project Proposal		
Objectives	**Indicators of Success under Project Self Evaluation (as stated in Project Proposal)**	**Actual**
1. Improved access to technologies and better knowledge of patenting trends and innovation patterns in specific areas of technology.	75% of the immediate collaboration partners of each PLR are satisfied with the quality of the respective report; 75% of the immediate collaboration partners consider the report useful for their own activities; - At least 60% of other users of readers of the PLRs express satisfaction with the quality of the content of each report; 30% of other users find the reports useful for their own activities; - At least 20% more page views of the dedicated WIPO PLR website in comparison to Phase I; 20% higher frequency of downloads in comparison to Phase I.	- In relation to the indicators for the first objective, and as further detailed in relation to project outputs, note that: - The majority of the users used Ritonavir (20,24%), Atazanavir (16,67%), Desalination (10,71%) and E-waste recycling (9,52%) reports. 69,57% found that these reports are very closely or closely related to their field of work. 65,22% found these reports very useful or useful for their work. 78,26% found the presentation of the technical issues excellent or very good. 73,91% found the description of the search methodology excellent or very good. 65,21% found the presentation of the results (analytical part) excellent or very good. 69,57% found the presentation of the results (graphical part) excellent or very good. 56,52% found the conclusions drawn excellent or very good and 39,13% good. 64,29% would rate the PLR website excellent or very good. - Note that is it not possible from the way the survey was structured to identify the views of immediate collaboration partners specifically. It is only possible to note that of the 39 survey responses, 3 were from immediate collaboration partners. - As further detailed in relation to project outputs, note that: - There were close to 12,865 hits on the WIPO Patent Landscape report main web page in 2013, as opposed to 6536 in 2012. This is an increase of 6329, or 97% from the 2012 baseline. - There were a total of 18910 downloads or PLRs created by WIPO with collaboration partners in 2013, as opposed to 7577 in 2012. This is an increase of 150% from the 2012 baseline.
2. Enhanced capacities in developing country institutions for utilizing and preparing PLRs.	75% of participants of the regional conference/workshop find that their understanding of patent analytics has improved considerably; 75% of the users/readers of the PLR preparation guidelines consider the guidelines useful for their own activities.	- In relation to the indicators for the second objective, and as further described in relation to project outputs, the questions used in the participant surveys for the workshops did not mirror the indicators set out in the project proposal. However, other useful information relevant to the second objective was collected. In particular, note that: - Of the participants who filled out the survey for the Manila workshop: 91% were totally or highly satisfied that the workshop met its objectives. 90% thought that the subjects dealt with in the workshop were relevant to the respondent's professional or business responsibilities. 56% thought they would what they learned in the workshop in their professional/business responsibilities in the future all or most of the time. Note that this figure is thought to relate to the fact that at the time of the workshop many of

	• 30% of the users/readers of the PLR preparation guidelines consider the guidelines useful for their own activities.		the offices of those participating were not preparing PLRs, however the workshop was aiming to increase awareness of the value of developing countries preparing their own PLRs. ▪ 82% stated that the contacts they established through the workshop would be extremely or very useful in facilitating networking and collaboration in their professional/business responsibilities. ▪ 91% rated the overall design and content of the workshop as excellent or very good. ▪ 95% rated the quality of the speakers as excellent or very good. ▪ 90% rated the quality of the WIPO documents made available to them as excellent or very good. ▪ 100% rated the organizational aspects of the workshop as excellent or very good. o Of the participants who filled out the survey for the Rio de Janeiro workshop: ▪ 93% agreed that the objectives of the seminar were clearly defined. ▪ 98% agreed that the seminar was successful in meeting its objectives. ▪ 86% agreed that the length of the presentations was appropriate. ▪ 98% agreed that the material was presented in a very clear or mostly clear manner. ▪ 80% agreed that the material was presented in a consistent manner with their level of expertise. ▪ 82% agreed that the material presented would be mostly or very useful for their daily work. o While no specific information was available on user perceptions of the utility of the guidelines per se, the focus of the workshop was on presenting and consulting upon the draft guidelines. Participant survey questions relating to the content of the workshop could to some degree be considered to reflect the relevance and utility of the content of the guidelines themselves.
Outputs	**Indicators of Successful Completion under Project Self Evaluation (as stated in Project Proposal)**	**Implementation Timeline**	**Actual Delivery**
1. Six new PLRs on specific topics of particular interest and priority for LDC's and developing countries in the areas defined during Phase I to support policy discussions and	• 6 new PLRs completed during Phase II of the project and in collaboration with at lease 2 new cooperation partnerships.	• November 2012 – December 2013.	• At the time of the evaluation of Phase I the status of PLRs was as follows: o Solar Cooking (Status: Published) o Solar Cooling (Status: Published) o Ritonavir (UNITAID/Medicines Patent Pool) (Status: Published) o Atazanavir (Status: Published) (External Partner: UNITAID/Medicines Patent Pool) o Desalination and the use of alternative energies (Status: Published) (External Partner: IRENA/GIWEH) o Membrane Filtration and UV water treatment (Status:

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<td>decisions related to development, innovation, R&D investment and technology transfer in specialized intergovernmental organizations (IGOs), non-governmental organizations (NGOs), governments, institutions, R&D centres, academia and other private sector representatives.</td>
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Published) (External Partner: GIWEH)
- o Vaccines for selected diseases (Status: Published) (External Partner: WHO)
- o Selected neglected diseases (Status: Under finalisation) (External Partner: DnDi)
- o Plant Salinity Tolerance (Status: Under preparation) (External Partner: FAO/AATF & ISF)
- o E-waste recycling (Status: Procurement stage) (External Partner: UNEP)
- o Animal Genetic Resources (Status: TOR drafted) (External Partner: FAO)
- o Particle accelerator technologies and their industrial and medical use (Status: TOR drafted)(External Partner: CERN)

- As of August 2014, 14 PLRs had been developed by WIPO with collaboration partners listed on the WIPO Website.
- Of those PLRs listed, those 7 listed below were either fully or partially developed during Phase II. Three were at the TOR drafting or procurement stage towards the end of Phase I (E-Waste, Animal Genetic Resources, Accelerator technologies). Work continued on several of the PLRs following the formal conclusion of the project in December 2013. As of August 2014, 3 of these Phase II PLRs were complete and 4 on-going, as follows:
  - o E Waste (Status: Completed) (External Partner: UNEP)
  - o Ritonavair update (Status: Completed) (External Partner: Medicines Patent Pool)
  - o Animal Genetic Resources (Status: Completed)(External Partner: FAO)
  - o Selected Neglected diseases (Status: Near Complete)(External Partner: DNDi)
  - o Particle accelerator technologies and their industrial and medical use (Status: On-going)(External Partner: CERN)
  - o Assistive devices and technologies for visually and hearing impaired persons (Status: On-going)(External Partner: WHO)
  - o Plant Salinity Tolerance (Status: On-going)(External Partner: FAO AATF & ISF)
- 2 new collaboration partnerships were developed during the Phase II project, being the Secretariat of the Basel, Rotterdam and Stockholm Conventions within UNEP and the European

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Organization for Nuclear Research (CERN).
- In addition, 8 of the PLRS have been complemented by an Infographics diagram available on the WIPO website, developed and funded through the External Relations Division.
- Note that a 15 question survey relating to PLRs was administered in April 2014. Thirty-nine responses were received. Key results included that:
    - The majority of the users used Ritonavir (20,24%), Atazanavir (16,67%), Desalination (10,71%) and E-waste recycling (9,52%) reports.
    - 69,57% find that these reports are very closely or closely related to their field of work.
    - 65,22% found these reports very useful or useful for their work.
    - 78,26% found the presentation of the technical issues excellent or very good.
    - 73,91% found the description of the search methodology excellent or very good.
    - 65,21% found the presentation of the results (analytical part) excellent or very good.
    - 69,57% found the presentation of the results (graphical part) excellent or very good.
    - 56,52% found the conclusions drawn excellent or very good and 39,13% good.
    - 64,29% would rate the PLR website excellent or very good.
- Suggestions made included:
    - Presentation of the reports in a way that can be easier digested and used by academia.
    - Availability of the datasets in Excel.
    - Translation of the reports.
    - Improving the user-friendliness of the website.
    - Provision of an online short summary.
    - Shorter reports.
    - More in depth analysis of the conclusions.
    - Linkage with other type of data allowing for a better use of the data – i.e. clinical data, analysis of the development cycle of technologies, comparative analysis of most relevant technologies to better understand the commercial potential of a technology, and more market oriented analysis and conclusions.
    - An interactive platform for discussion of patenting issues.

				o Exploration of the possibility of online upload.
				o Access to more methodological tips, articles related to methodology and improvement of WIPO´s existing public search tools, allowing for reproduction of the search and analysis methodologies.
				• In addition to the survey, website hits and PLR downloads were recorded. In summary:
				   o There were close to 12,865 hits on the WIPO Patent Landscape report main page in 2013, close to double the figure from 2012 (6536). There were 5228 hits on the published reports summary page in 2013, compared to 2698 in 2012. Hits on the individual report pages varied widely, from 373 (e-waste) to 2576(Vaccines). This may in part reflect the stage of development of the report, as well as other factors.
				   o Total report downloads over 2012 and 2013 were:
				     ▪ Membrane Filtration 6910
				     ▪ Atananvir 4672
				     ▪ Solar cooking 4460
				     ▪ Solar cooling 3825
				     ▪ Desalination 2961
				     ▪ Ritonavir 2550
				     ▪ E-waste 1109

2.	WIPO's existing website on patent landscaping to be enhanced to further facilitate the access to published PLRs, those prepared by WIPO and other institutions.	• 20 additional WIPO and external PLRs added on the website during Phase II.	• November 2012 – December 2013.	• As of August 2014, close to 130 patent landscape reports had been made available through the WIPO website. • These PLRs were published by a range of international organizations, national intellectual property offices, NGOs, and private sector entities. • PLRs available on the website are grouped under the following areas of technology: Public health/life science, climate change/energy, food and agriculture, ICT technologies and other (including PLRs in the area of cosmetics, auto parts, nanotextiles, and electronic paper, for example).
3.	Organization of a regional conference to facilitate collaboration among IP offices and institutions working of the field of patent	• Organization of a regional conference/workshop on patent analytics and participation in other e.g. TISC, training events.	• April 2013 – September 2013	Two regional meetings occurred in Phase II, being the: • WIPO Regional Meeting on Patent Analytics, Rio de Janeiro August 2013 • WIPO Inter-Regional Meeting on Patent Landscaping, Manila Philippines December 2013 • Participants in the regional and inter-regional workshops were selected by Member States and were largely from national patent offices, noting that although the project team viewed it is advisable to seek participants from other government

analytics and exchange of best practices.			• departments.
			• Both workshops were evaluated by participant survey.
			• For the Manila workshop on patent analytics, 55 surveys were completed, with the following results:
			o 91% were totally or highly satisfied that the workshop met its objectives.
			o 90% thought that the subjects dealt with in the workshop were relevant to the respondent's professional or business responsibilities.
			o 56% thought they would what they learned in the workshop in their professional/business responsibilities in the future all or most of the time.
			o 82% stated that the contacts they established through the workshop would be extremely or very useful in facilitating networking and collaboration in their professional/business responsibilities.
			o 91% rated the overall design and content of the workshop as excellent or very good.
			o 95% rated the quality of the speakers as excellent or very good.
			o 90% rated the quality of the WIPO documents made available to them as excellent or very good.
			o 100% rated the organizational aspects of the workshop as excellent or very good.
			• Other substantively focused feedback received via the survey included recommendations for:
			o more hands on practical exercises and intensive practical training, including how to use free databases to create PLRs.
			o follow up training for other stakeholders, and other staff from national IP offices and other agencies.
			o study visits to IP institutions using patent analytics.
			o greater emphasis on training content focused on PLRs in the context of policy strategy identification, research projects and the needs of universities and other research institutions.
			• For the Rio de Janeiro, the majority of participants indicated they had some, advanced or expert knowledge in: patents; search and analysis of patent documents; knowledge in patent databases; knowledge in search and analysis of technical and scientific documents; knowledge in scientific and technical databases; knowledge in patent analytics; visualisation and interpretation of results. Overall , the existing strength and

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knowledge of the group was, as self identified, strongest in knowledge of patents, search and analysis of patent documents and patent databases, and weakest in the areas of documents; knowledge in scientific and technical databases; knowledge in patent analytics; visualisation and interpretation of results.

- 44 evaluation surveys were completed:
  - 93% agreed that the objectives of the seminar were clearly defined.
  - 98% agreed that the seminar was successful in meeting its objectives.
  - 86% agreed that the length of the presentations was appropriated.
  - 98% agreed that the material was presented in a very clear or mostly clear manner.
  - 80% agreed that the material was presented in a consistent manner with their level of expertise.
  - 82% agreed that the material presented would be mostly or very useful for their daily work.
- Substantively focused feedback received via the survey included recommendations for:
  - more hands on practical exercises and intensive practical training.
  - detailed evaluation of both free and commercial tools.
  - translation to assist better understanding.
  - follow up activities focused on patent search strategies, analytics, best practices, comparison of different tools and pros and cons, and use of examples based on public interest and linkages with technology transfer and innovation.
- Participation by the Secretariat in other training and activities for raising awareness of the project during and post the formal conclusion of Phase II in 2013/14 has included
  - March 10-13, 2013, Sevilla, Spain, IPI-Confex Conference – promotion of WIPO patent landscaping activities and networking in one of the biggest patent information conferences.
  - March 23, 2013, The Hague, Netherlands, Groundwater Governance – UNECE regional consultation, presentation of relevance of patents and usefulness of PLR in the policy work of the International Hydrological Program.
  - March 22, 2013, The Hague, Netherlands, World Water Day – networking with water specialists and

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			promoting patent landscape reports.
			o April 16-17, Nice, France, SDVII conference with promotion of PLR activities in networking with patent information stakeholders.
			o April 2013, Geneva, International Conference on Water Resources and Energy -Presentation of the findings of 2 Patent Landscape Reports (PLR) on water technologies.
			o May 6, 2013, Geneva, Basel Convention Conference of the Parties 2013, Presentation of PLR Project
			o May 30 and 31, 2013, Harbin, China, Presentation of WIPO's PLR Project at the Ministry of Technology of China.
			o June 5, 2013, Geneva, Presentation of patent landscaping project .and reports to the Japanese Industry Association
			o August 22, 2013, Rio de Janeiro, Presentation of WIPO PLR to the Brazilian Patent Office (INPI).
			o October 25, 2013, Bologna, Presentation of the WIPO PLR in the Italian Patent Information User Group.
			o November 20, 2013, Geneva, Presentation at UNIGE University of Geneva at Entrepreneurship Week on patent search and analysis (including patent landscape reports) .
			o November 21, 2013, Bangkok, Thailand, WIPO-UN ESCAP UNEP Regional Workshop on the Environmentally Safe Disposal of IP Infringing Goods: Presentation of the key findings of the WIPO PLR on E-waste recycling technologies.
			o December 2013, Geneva, Promotion of the PLR at a booth during the launch of WIPO Green at WIPO premises.
			o December 12, 2013, Geneva, Launch Event of the Patent Landscape Report on E-Waste Recycling at the Geneva Environment House.
			o December 16-20, 2013, Riyadh, GCC IPO and Saudi IPO staff, general promotion and discussion of future regional patent analytics workshop, collateral, other program budget.
			o January 16, 2014, Geneva, Presentation to a delegate from the Egyptian mission of Patent Landscape Reports in the area of Food and Agriculture and Climate Change.

				- March 2-5, 2014, Berlin, Presentation of PLR activities at the IPI-Confex 2014. - March 10-11, 2014, Manila, IPOPHL workshop, general promotion. - April 16, 2014, Geneva-Teleconference, Teleconference with IRENA on next cooperation activities in patent landscaping. - April 25 and 28, 2014, Geneva – Webinar, Webinar to Basel Convention Stakeholders – Ministries of Environment in Asia and Latin America on Patent Landscaping and the key findings of the E-waste PLR. - May 16 2014, Antalya, Turkey, International Conference on Water Resources and Energy – presentation on Patent Landscaping Project and relevance for water sciences. - May 19-23, 2014, Bangkok, DIP workshop, general promotion of PLR activities. - May 2014, Athens, Greece, Presentation of the WIPO PLR Project at the Symposium on Patent Valuation and Commercialization. - Towards raising awareness, note also creation of a Linkedin Group on Patent Landscape Reports with 240 members where news on WIPO PLR are being published and discussions are held on the topic of patent analytics and landscaping. - Note also, in coordination with the Communications Division, promotion of the PLRs on social media platforms such asTwitter and Facebook.
4.	Drafting of methodological guidelines for the preparation of PLRs.	• Completed within 12 months after the launch of Phase II of the project.	• April 2013 – December 2013	• Draft best practice methodology guidelines were prepared by Mr. Tony Trippe. These were consulted upon at the workshop in Rio de Janeiro and Manila. As of August 2014, and after further review, the guidelines are expected to be finalised in September 2014.
5.	A proposal for tracking the long term impact of the project	• Not Applicable	• July 2013 – December 2013	• A proposal for long term impact may be more possible in the context of Development Agenda mainstreaming .

Budget	Budget	Actual Expenditure	Notes

6. The overall project budget was 292,000 Swiss Francs	• The budget presented in the project proposal was arranged by cost category. These categories with the % of the budget that were allocated to them are as follows:
	  ○ Travel and Fellowships 24.7%
	  ○ Contractual Services 75.3%
	  ○ Equipment and Supplies 0%
		• The table of expenditures provided to the evaluator for the Phase II activities was arranged by both cost category and project outcomes, with 98% of the budget spent.
		• Expenditure against cost category was:
		  ○ Travel and Fellowships 20%
		  ○ Contractual Services 75%
		  ○ Equipment and Supplies 3%
		• Expenditure against outcome was:
		  ○ Patent Landscape Reports 69%
		  ○ Improved website on PLRs 0%
		  ○ Exchange of experiences and best practices among IP offices and other institutions dealing with IP 24%
		  ○ Draft Methodology Guidelines for preparation of PLRs 5%
			• Total expenditure was 98% of the project budget.
			• Actual expenditure closely reflected the budget, with slightly more spent on equipment and supplies owing to a subscription service (Questel), and slightly less spent on travel and fellowships.
			• Note that one of the recommendations of the Phase I evaluation was to ensure the budget is results based and includes information as to expenditure under cost categories. While the budget in the project proposal was not results based, by the conclusion of the project the expenditure information was being recorded and presenting consistently with the Phase I recommendation.
			• Note that no budget was allocated to translation. This was widely perceived as problematic, and undermining of the utility and use of the project outputs by restricting their audience.

[Appendix III follows]

APPENDIX III: PHASE II PROJECT EXPENDITURE

Project output number	Project Outputs and Overhead	Staff Missions	Third Party Travel	Conferences	Experts Honoraria	Publishing	SSA and contractual services	Supplies & Materials	Total	% of total
1.	**Preparation of PLRs**						**192261**	**8458**	**200719**	**69**
	Animal Genetic Resources						47120			
	Water Treatment						9599			
	E Waste Recycling						25000			
	Abiotic Stress Part I						9727			
	Neglected Diseases and update						27611			
	Ritonavir Update						18254			
	Accelerator Technologies						11450			
	Assistive Devices						43500			
	TOTAL OF PLRs									
	Questel subscription							8458		
2.	**Improved website on PLRs**									**0**
3.	**Exchange of experience and best practices among IP Offices and other institutions dealing with IP**	**18144**	**41228**	**9680**	**1831**				**70883**	**24**
	WIPO Regional Meeting on Patent Analytics, Rio de Janeiro - August 2013	4801	3370	4680	744					
	WIPO Regional Meeting on Patent Landscaping, Manila Philippines - December 2013	5470	37858	5000	1087					
	Participation in patent analytics training events	7873								
4.	**Draft Methodology Guidelines for preparation of PLRs**						**15000**		**15000**	**5**
	Guidelines - SSA TRIPPE						15000			
	Total	**18144**	**41228**	**9680**	**1831**	**0**	**207261**	**8458**	**286602**	**98**
	% of total expenditures	6	14	3	1	0	71	3	98	

APPENDIX IV: EVALUATION MATRIX

EVALUATION MATRIX			
Key Evaluation Questions	**Performance Indicators**	**Data Collection Tools**	**Sources of Information**
Project Design and Management			
1. The appropriateness of the initial project document as a guide for project implementation and assessment of results achieved.	• Degree to which project document outlined a realistic and achievable project plan. • Degree to which proposed process and outputs closely related to project objectives. • Degree to which project document incorporated a meaningful monitoring and evaluation strategy.	• Desk review of initial project document and other project documents including self-evaluation report.	• Project Team (Informal Discussions) • WIPO Senior Managers (Within semi-structured interviews)
2. The project monitoring, self-evaluation and reporting tools and analysis of whether they were useful and adequate to provide the project team and key stakeholders with relevant information for decision-making purposes.	• Degree to which project monitoring, self evaluation and reporting tools were: • timely • accurate • useful and used by stakeholders • were of appropriate length and depth , given relative size, focus and complexity of project. • facilitated an accurate and up to date understanding of project progress, any emerging risks and how those risks were being managed.	• Desk review of project documents • Semi-structured interviews	• Project Team (Informal Discussions) • Project consultant • WIPO Senior Managers (Within semi-structured interviews) • External Stakeholders • Project partners
3. The extent to which the project document has responded to recommendations made during the evaluation of its Phase I.	• Degree to which recommendations have been interviewed as evidenced by steps taken. • In absence of implementation of recommendations, rationale provided.	• Desk review of initial project document and other project documents including self evaluation report. • Semi-structured interviews	• Project Team (Informal Discussions) • WIPO Senior Managers (Within semi-structured interviews) • External Stakeholders • Project partners

4.	The extent to which other entities within the Secretariat have contributed and enabled an effective and efficient project implementation.	• In relation to other entities within Secretariat • number of Divisions contributing; • level of staff contributing; • nature of contribution; • timeliness of Contribution; • impact of contribution on project implementation, outputs and impact.	• Semi-structured interviews	• Project Team • WIPO Senior Managers and staff of: ▪ Development Agenda Coordination Division (DACD) ▪ Global Infrastructure Sector ▪ Department for Traditional Knowledge and Global Challenges ▪ Innovation Division ▪ Global IP Issues Division ▪ Economics and Statistics Division
5.	The extent to which the risks identified in the initial project document have materialized or been mitigated.	• Extent to which risks identified in the project document materialised. • Extent to which any risks that actually materialised had not been identified in the project document. • Extent to which any risks that emerged were mitigated, • Extent to which any mitigation actions taken reflected the mitigation strategies in project document, and if not, why not.	• Desk review of project documents • Informal discussions • Semi-structured interviews	• Project Team (Informal Discussions) • Project Consultant • WIPO Senior Managers (Within semi-structured interviews) • External Stakeholders • Project partners
Relevance				
6.	The extent to which the project design reflected the priorities of Members and supported Development Agenda Recommendations.	• Degree to which selection of the project among other options was participatory and took into account Member State interests and priorities.	• Desk review • Semi-structured interviews	• Project Team (Informal Discussions) • WIPO Senior Managers (Within semi-structured interviews) • External Stakeholders • Project partners • Direct project beneficiaries • Member States representatives
Effectiveness				
7.	The effectiveness of the project in delivering proposed projects outputs and effectiveness in delivering outputs supportive of project objectives.	• Degree to which proposed project outputs were delivered. • Degree to which actual project outputs supported project objectives.	• Desk review • Semi-structured interviews	• Project Team (Informal Discussions) • Project consultant • WIPO Senior Managers (Within semi-structured interviews) • External Stakeholders including • External project partners • participants in capacity building activities and target user groups of PLRs.

8. The effectiveness of the project in contributing to an improved access to technologies disclosed in patent publications and better knowledge of patenting trends and innovation patterns in the specific areas of technology.	• Demonstrated extent and type of use of project tools by Member States. • Extent to which Member States perceived improved access to patent information	• Desk review including any use statistics able to be provided by Project Team. • Semi-structured interviews	• Project Team (Informal Discussions) • WIPO Senior Managers (Within semi-structured interviews) • External Stakeholders • Direct project beneficiaries including participants in capacity building activities and target user groups of PLRs. • Member State representatives
9. The effectiveness of the project in facilitating better informed policy discussions and decisions related to R&D, investment and technology transfer through the provision of PLRs in relevant areas.	• Evidence for and extent to which Member States and others perceived the project informed policy discussions and decisions related to R&D, investment and technology transfer through the provision of PLRs in relevant areas.	• Desk review • Semi-structured interviews	• Project Team (Informal Discussions) • WIPO Senior Managers (Within semi-structured interviews) • External Stakeholders • Direct project beneficiaries including participants in capacity building activities and target user groups of PLRs. • Member State representatives
10. The effectiveness of the project in raising awareness about the importance of IP issues in the decision making process related to R&D investment, technology transfer and local manufacturing, amongst others.	• Evidence for and extent to which Member States and others perceived the project raised awareness about the importance of IP issues in the decision making process related to R&D investment, technology transfer and local manufacturing, amongst others.	• Desk review • Semi-structured interviews	• Project Team (Informal Discussions) • WIPO Senior Managers (Within semi-structured interviews) • External Stakeholders • Direct project beneficiaries including participants in capacity building activities and target user groups of PLRs. • Member State representatives
11. The effectiveness of the project in facilitating collaboration among IP officers and institutions working in the field of patent analytics and exchange of best practices.	10. Evidence as to any enhanced collaboration	11. Semi-structured interviews 12. Desk review	• Project Team (Informal Discussions) • WIPO Senior Managers (Within semi-structured interviews) • External Stakeholders • Direct project beneficiaries, including representatives of IP offices. • Member State representatives

12. The effectiveness of the project in enhancing capacities in developing country institutions for utilizing and preparing PLRs	• Extent to which Stakeholders perceived the project had improved capacities • Extent to which examples could be cited by stakeholders of direct or indirect impact of enhanced capacities	• Semi-structured interviews	• Project Team (Informal Discussions) • WIPO Senior Managers (Within semi-structured interviews) • External Stakeholders • Direct project beneficiaries • Member State representatives
13. The effectiveness of the project in further fine-tuning and improving the standardised instruments developed during Phase I and in better tracking the utility and impact of the reports developed in Phase I and II among the targeted beneficiaries	• Extent to which materials have been improved or developed • Availability and content of any statistics indicating actual use and utility of PLRs developed in both Phase I and II	• Desk review, including any statistics of use able to be provided by Secretariat. • Informal interviews • Semi-structured interviews.	• Project Team (Informal Discussions) • WIPO Senior Managers (Within semi-structured interviews) • External Stakeholders • Direct project beneficiaries • Member State representatives
Sustainability			
14. The extent to which the project has embodied a model of sustainable capacity development, that supports on-going use of tools developed and the development of additional tools. 15. The likelihood of continued work on developing tools for access to patent information in WIPO and its Member States.	• Extent to which sustainability is built into project design. • Extent of work being currently continued by Member States and WIPO. • Extent of work in planning phase by Member States and WIPO. • Perceptions of likely future work in Member States and WIPO. • Perceptions as to contribution of project to actual, planned and likely future work by Member States and WIPO.	• Desk review • Informal interviews • Semi-structured interviews.	• Project Team (Informal Discussions) • WIPO Senior Managers (Within semi-structured interviews) • External Stakeholders • Project beneficiaries • Member State representatives

Implementation of Development Agenda Recommendations			
16. The extent to which DA Recommendations 19, 30, 31 have been implemented through this project.	- Perceptions as to relationship of project to DA Recommendations 19, 30, 31 - Perceptions as to remaining gaps in implementation of DA Recommendations 19, 30, 31 - Perceptions as to future actions needed to implement DA Recommendations 19, 30, 31	- Desk review - Informal interviews - Semi-structured interviews.	- Project Team (Informal Discussions) - Project consultants - WIPO Senior Managers (Within semi-structured interviews) - External Stakeholders - Direct project beneficiaries (participants in capacity building activities and target users of PLRs) - Selected Member State representatives

[Appendix V follows]

APPENDIX V: KEY DOCUMENTS REVIEWED

1. Project on Developing Tools for Access to Patent Information (Recommendations 19, 30 and 31). CDIP/4/6, September 25 2009.

2. Progress Reports on Development Agenda Projects. CDIP/6/2, October 1 2010.

3. Progress Reports. CDIP/8/2, October 4 2011.

4. Developing Tools for Access to Patent Information – Phase II. CDIP/10/13, October 5 2012.

5. Evaluation Report of the Project on Developing Tools for Access to Patent Information. CDIP/10/6 September 28 2012.

6. Report of the Tenth Session of the Committee on Development and Intellectual Property Geneva, November 12 to 16, 2102. CDIP/10/18, May 13 2013.

7. Progress Reports. Committee on Development and Intellectual Property (CDIP) Twelfth Session, Geneva November 18 to 21, 2013. CDIP/12/2.

8. Patent Landscape Report Site Statistics 2012-2013 (incorporating download and website hits), provided by the Secretariat.

9. Results PLR Evaluation Survey, provided by the Secretariat.

10. Participant Evaluation Questionnaire and results, Manila Patent Analytic Workshop, provided by the Secretariat.

11. Participant Evaluation Questionnaire and results, Manila Patent Analytic Workshop, provided by the Secretariat.

12. Budget expenditure 2014, provided by the Secretariat.

13. WIPO, 2012, *Taking the Initiative, WIPO Strategic Realignment Program*. Geneva.

14. WIPO Program and Budget for the 2014/15 Biennium. Approved by the Assemblies of the Member States of WIPO on December 12, 2013.

15. Patinformatics, LLC. Sharing Best Practices on Patent Analytics during WIPO Regional Workshop in Latin America. September 5 2013 available at: http://www.patinformatics.com/blog/sharing-best-practices-on-patent-analytics-during-wipo-regional-workshop-in-latin-america/

16. WIPO's work on E-waste An introduction to the *Patent Landscape Reports* Project and WIPO's Cooperation with UNEP, BRS Secretariat. Presentation of Irene Kitsara during COP 13 of the Basel, Rotterdam and Stockholm conventions.

17. WO/PBC/22/8 Program Performance Report for 2012/13/ Program and Budget Committee Twenty-Second Session, Geneva September 1 to 5 2014. July 11 2014.

18. WIPO Regional Workshop on Patent Analytics, August 26 to 28 2013 Rio de Janeiro, WIPO/IP/RIO/13, Documents: Topics 1 to 22, available at http://www.wipo.int/meetings/en/details.jsp?meeting_id=30167

19. WIPO Inter-Regional Workshop on Patent Analytics, December 4 – 6 2013 Manila, WIPO/IP/MNL/13, Documents: Program, and Topics 1 to 18, available at http://www.wipo.int/meetings/en/details.jsp?meeting_id=31543

[Appendix VI follows]

APPENDIX VI: INTERVIEWEES

Mr. Mohamed Amran Abas
Patent Division
Intellectual Property Corporation of Malaysia

Ms Virginia Aumentado
Patent Information Analytics and Technology Monitoring Division
Information and Technology Transfer Bureau
Intellectual Property Office of the Philippines

Mr Paul Boettcher
Animal Production Officer
Food and Agriculture Organization of the United Nations

Mr. Esteban Burrone
Head of Policy
Medicines Patent Pool

Mr Alejandro Roca Campañá
Senior Director
Access to Information and Knowledge Division
Global Infrastructure Sector WIPO

Ms Liliana Restropo Gómez
Industrial Property Division
Superintendency of Industry and Commerce Colombia

Mr Matthias Kern
Senior Programme Officer
Technical Assistance Branch
Secretariat of the Basel, Rotterdam and Stockholm Conventions
UNEP

Ms. Irene Kitsara
Project Officer
Patent Information Section
Global Infrastructure Sector
WIPO

Mr. Anatole Krattiger
Director
Global Challenges Division
Global Issues Sector
WIPO

Mr. Lutz Mailänder
Head
Patent Information Section
Access to Information and Knowledge Division
Global Infrastructure Sector
WIPO

Ms Sara Marzano Mérino
Mission of Mexico to the United Nations

Mr Luis Antonio Silva
Coordinator of the Patent Bank
Superintendency of Industry and Commerce Colombia
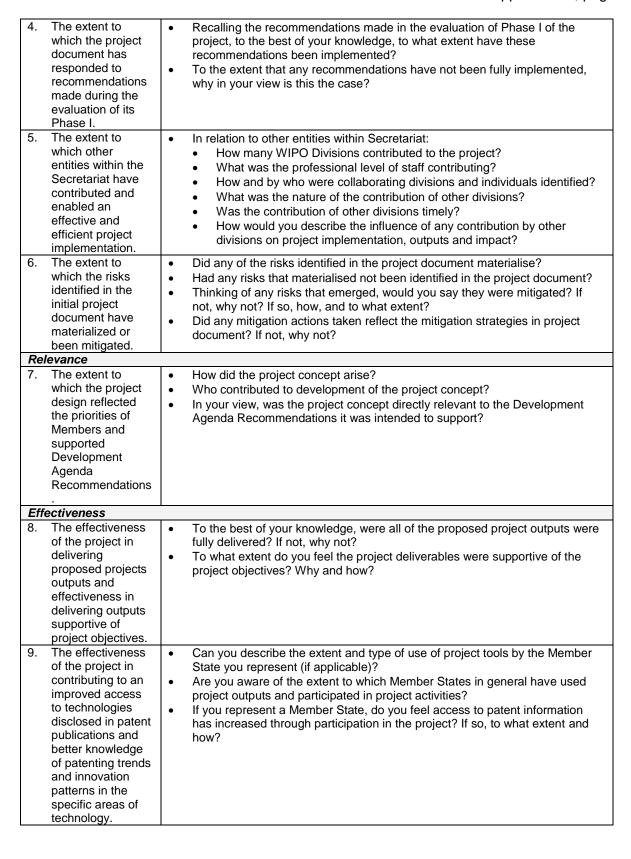

[Appendix VII follows]

APPENDIX VII: INTERVIEW PROCESS

A list of those identified for possible interview was provided to the consultant by WIPO. This list included representatives from participating member states, external partners and WIPO collaborating units. Each individual nominated had been involved in some capacity in the development and/or execution of the project. All individuals on the list provided were invited for interview. Interviews took place with those who had accepted the invitation and were available in the timeframe over which interviews were taking place.

Interviewees were informed of the purpose of the interview and thanked for agreeing to participate and in so doing sharing their time, expertise and insight. In particular, interviewees were informed that the evaluation was geared towards generating actionable recommendations that could be taken into account in the future work of WIPO, and that the evaluation would provide valuable feedback about the project to the WIPO Secretariat and WIPO's Committee on Development and Intellectual Property. Participants were notified that the findings of the evaluation would be presented by the consultant during the 14th Session of the CDIP to be held from November 10 to 14, 2014.

Interviews were semi-structured, and took approximately 30 – 40 minutes each. Although the guide questions below were developed and kept in mind by the evaluator, interviews were tailored to the role of the interviewee in the project, with interviewees invited and encouraged to impart any other views and information they felt would be relevant to the evaluation. Interviewees were informed that direct quotes would not be used in the final report. Rather the perspectives and views of interviewees would be represented in a consolidated form.

Evaluation Question	Guide Interview Questions
Involvement with Project	
1. General	• Where are you based, and what is your current position? • How were you involved in this project? • Do you have any on-going responsibilities relevant to this project?
Project Design and Management	
2. The appropriateness of the initial project document as a guide for project implementation and assessment of results achieved.	• If applicable to your role, to what extent did you feel the project document outlined a realistic and achievable project plan? • In your views, were the process and outputs logically linked to project objectives? • If applicable to your role, do you feel there was a meaningful monitoring and evaluation strategy set out in the project document or elsewhere?
3. The project monitoring, self-evaluation and reporting tools and analysis of whether they were useful and adequate to provide the project team and key stakeholders with relevant information for decision-making purposes.	• If applicable to your role, to what extent did you feel the project monitoring, self evaluation and reporting tools were: • timely? • accurate? • useful and used by stakeholders? • of appropriate length and depth, given the relative size, focus and complexity of project? • facilitated an accurate and up to date understanding of project progress, any emerging risks and how those risks were being managed?

4.	The extent to which the project document has responded to recommendations made during the evaluation of its Phase I.	• Recalling the recommendations made in the evaluation of Phase I of the project, to the best of your knowledge, to what extent have these recommendations been implemented? • To the extent that any recommendations have not been fully implemented, why in your view is this the case?

5.	The extent to which other entities within the Secretariat have contributed and enabled an effective and efficient project implementation.	• In relation to other entities within Secretariat:
		  • How many WIPO Divisions contributed to the project?
		  • What was the professional level of staff contributing?
		  • How and by who were collaborating divisions and individuals identified?
		  • What was the nature of the contribution of other divisions?
		  • Was the contribution of other divisions timely?
		  • How would you describe the influence of any contribution by other divisions on project implementation, outputs and impact?

6.	The extent to which the risks identified in the initial project document have materialized or been mitigated.	• Did any of the risks identified in the project document materialise? • Had any risks that materialised not been identified in the project document? • Thinking of any risks that emerged, would you say they were mitigated? If not, why not? If so, how, and to what extent? • Did any mitigation actions taken reflect the mitigation strategies in project document? If not, why not?
Relevance		
7.	The extent to which the project design reflected the priorities of Members and supported Development Agenda Recommendations.	• How did the project concept arise? • Who contributed to development of the project concept? • In your view, was the project concept directly relevant to the Development Agenda Recommendations it was intended to support?
Effectiveness		
8.	The effectiveness of the project in delivering proposed projects outputs and effectiveness in delivering outputs supportive of project objectives.	• To the best of your knowledge, were all of the proposed project outputs were fully delivered? If not, why not? • To what extent do you feel the project deliverables were supportive of the project objectives? Why and how?
9.	The effectiveness of the project in contributing to an improved access to technologies disclosed in patent publications and better knowledge of patenting trends and innovation patterns in the specific areas of technology.	• Can you describe the extent and type of use of project tools by the Member State you represent (if applicable)? • Are you aware of the extent to which Member States in general have used project outputs and participated in project activities? • If you represent a Member State, do you feel access to patent information has increased through participation in the project? If so, to what extent and how?

10. The effectiveness of the project in facilitating better informed policy discussions and decisions related to R&D, investment and technology transfer through the provision of PLRs in relevant areas	• In your view, has the project informed policy discussions and decisions related to R&D, investment and technology transfer through the provision of PLRs in relevant areas? How? Can you provide any examples for this?
11. The effectiveness of the project in raising awareness about the importance of IP issues in the decision making process related to R&D investment, technology transfer and local manufacturing, amongst others.	• In your view, has the project Evidence for and extent to which Member States and others perceived the project raised awareness about the importance of IP issues in the decision making process related to R&D investment, technology transfer and local manufacturing, amongst others.
12. The effectiveness of the project in facilitating collaboration among IP officers and institutions working in the field of patent analytics and exchange of best practices.	• Are you aware of any ways the project has facilitated collaboration among IP officers and institutions working in the field of patent analytics and exchange of best practices? • Can you provide any examples? • Would this collaboration have happened anyway?
13. The effectiveness of the project in enhancing capacities in developing country institutions for utilizing and preparing PLRs.	• In your view, do you feel the project has enhanced capacities in developing country institutions for utilizing and preparing PLR's? To what extent and how? • Can you describe any examples?
14. The effectiveness of the project in further fine-tuning and improving the standardised instruments developed during Phase I and in better tracking the utility and impact of the reports developed in Phase I and II among the targeted beneficiaries.	• To the best of your knowledge, has the Phase II project further fine-tuned and improved the standardised instruments developed during Phase I? • To the best of your knowledge, has the Phase II project enabled better tracking of the utility and impact of the reports developed in Phase I and II among the targeted beneficiaries? • Are there any statistics available indicating actual use of PLRs and or any other tools developed in both Phase I and II?
Sustainability	
15. The extent to which the project has embodied a model of sustainable capacity development, that	• Do you feel the project design supported sustainability, including through capacity development and on-going use of tools developed? • To the best of your knowledge, is there any follow up work currently being undertaken by Member States or within the WIPO Secretariat? • To the best of your knowledge, is there any related follow on work being planned by Member States or the WIPO Secretariat? • Regardless of whether any activities are currently being undertaken or

supports on-going use of tools developed and the development of additional tools. 16. The likelihood of continued work on developing tools for access to patent information in WIPO and its Member States.	planned, do you anticipate there will be any future work by WIPO and/or Member States in this area?
Implementation of Development Agenda Recommendations	
17. The extent to which DA Recommendations 19, 30, 31 have been implemented through this project.	Recall the relevant Development Agenda Recommendations: _Development Agenda Recommendation 19:_ To initiate discussions on how, within WIPO's mandate, to further facilitate access to knowledge and technology for developing countries and LDCs to foster creativity and innovation and to strengthen such existing activities within WIPO. • In your view, do you feel the project meaningfully supported implementation of Development Agenda Recommendation19? • Among other possible alternative activities to support implementation of Development Agenda 19, was the project a good use of available resources? Would other activities have been a better use of available resources? • In your view, what are the remaining gaps in implementation of DA Development Agenda Recommendation19? • In your view, what if any future actions would be needed to more fully support implementation of DA Recommendation 19? _Recommendation 30:_ WIPO should cooperate with other intergovernmental organizations to provide developing countries, including LDC's upon request, advice on how to gain access to and make use of IP-related information on technology, particularly in areas of special interest to the requesting parties. • In your view, do you feel the project meaningfully supported implementation of Development Agenda Recommendation30? • Among other possible alternative activities to support implementation of Development Agenda 30, was the project a good use of available resources? Would other activities have been a better use of available resources? • In your view, what are the remaining gaps in implementation of DA Development Agenda Recommendation30? • In your view, what if any future actions would be needed to more fully support implementation of DA Recommendation 30? _Recommendation 31:_ To undertake initiatives agreed by Member States, which contribute to the transfer of technology to developing countries, such as requesting WIPO to facilitate better access to publicly available patent information. • In your view, do you feel the project meaningfully supported implementation of Development Agenda Recommendation 31? • Among other possible alternative activities to support implementation of Development Agenda 31, was the project a good use of available resources? Would other activities have been a better use of available resources? • In your view, what are the remaining gaps in implementation of DA Development Agenda Recommendation 31? • In your view, what if any future actions would be needed to more fully support implementation of DA Recommendation 31?
Other	
18. Other insights, recommendations?	• If you were involved in delivering the project, what would you do differently next time round? • If you participated in the project, what would you prefer had been different? • Are there any recommendations you would like to make to the CDIP given your experience with this project? These could be directed, for example, to Member States, the WIPO Secretariat, external partners or other actors and stakeholders. • Is there anything else that you would like to add?

[End of Appendix VII and of document]