



**Internal Oversight Division**

Reference: EVAL 2017-04

**Evaluation Report**

Evaluation of the Regional Bureau for Latin America and the Caribbean

March 7, 2018



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**LIST OF ACRONYMS**

<b>ASIPI</b>	Inter-American Association of Intellectual Property
<b>BI</b>	Business intelligence
<b>CATI</b>	Technology and Innovation Support Centers
<b>DNPI</b>	National Directorate for Industrial Property
<b>EPO</b>	European Patent Office
<b>ER</b>	Expected Result
<b>FIT</b>	Funds-In-Trust
<b>GR</b>	Genetic Resources
<b>IMPI</b>	Mexican Institute of Industrial Property
<b>INPI</b>	National Institute of Industrial Property
<b>IOD</b>	Internal Oversight Division
<b>IP</b>	Intellectual Property
<b>IPAS</b>	Industrial Property Automation System
<b>IPO</b>	Intellectual Property Office
<b>KIPO</b>	Korean Intellectual Property Office
<b>KPIs</b>	Key Performance Indicators
<b>LAC</b>	Latin America and the Caribbean
<b>LDC</b>	Least Developed Countries
<b>MTSP</b>	Medium-Term Strategic Plan
<b>MoU</b>	Memorandum of Understanding
<b>NIPS</b>	National Intellectual Property Strategies
<b>PAI</b>	Inventor Assistance Program
<b>OECD</b>	Organisation for Economic Co-operation and Development
<b>PPR</b>	Program Performance Report
<b>RBF</b>	Results Based Framework
<b>RBLAC</b>	Regional Bureau for Latin America and the Caribbean
<b>R&amp;D</b>	Research & Development
<b>SG</b>	Strategic Goals
<b>SMART</b>	Specific, Measurable, Achievable, Relevant and Time-bound
<b>TTIPO</b>	Trinidad & Tobago Intellectual Property Office
<b>UNEG</b>	United Nations Evaluation Group
<b>WIPO</b>	World Intellectual Property Organization
<b>WTO</b>	World Trade Organization

## EXECUTIVE SUMMARY

1. This report presents the results of the evaluation of World Intellectual Property Organization's (WIPO's) Regional Bureau for Latin American and the Caribbean (RBLAC). The evaluation was conducted between October 2017 and February 2018. Consultations included interviews with 27 staff members, 15 Geneva-based Permanent Missions, eight Intellectual Property Offices (IPOs), 33 national stakeholders in Colombia, 37 in Mexico and 63 in Trinidad and Tobago. Overall, 57 staff members and 33 national stakeholders from 20 countries responded to the survey. The evaluation reviewed existing documentation, monitoring data, work planning process, Funds-in-Trust (FITs), Memorandum of Understanding (MoUs), and strategic documents among other. Some of the key evaluation findings and conclusions include the following:

### 2. RELEVANCE<sup>1</sup>

(a) The RBLAC services and activities are considered relevant and bring added value to the countries it serves. The process of consultation between member states and WIPO has improved in quality (structure) and quantity, especially since 2016. Country interventions are clearly within WIPO's mandate and congruent with its Strategic Planning.

(b) The introduction of work plans with more inclusive planning processes has resulted in a positive perception among stakeholders about the services provided by WIPO. However, the absence of clearly defined criteria for prioritizing activities could create a negative effect on the existing positive perceptions among stakeholders.

(c) The evaluation has found that while there is a WIPO gender policy, there is no specific strategy to implement it at regional or country level. The absence of a defined Gender strategy and plan might limit participation.

(d) Overall, the responsiveness of the regional office is highly satisfactory but is based on management practices that are not codified and could, therefore, be lost if not institutionalized.

### 3. EFFECTIVENESS<sup>2</sup>

(a) The RBLAC's activities have delivered clear contributions to the achievement of WIPO Strategic Goals (SG) I, II, III, and IV as measured by Key Performance Indicators (KPIs).

(b) Overall, indicators are partly well aligned with Expected Results (ERs). However, the evaluation found that the RBLAC has to report against some indicators for which they are not directly responsible, and in others cases, they are underreporting results. Having indicators misaligned with ERs and indicators for which the RBLAC is not directly responsible for the delivery, risks in some cases misrepresenting results and underreporting on the effectiveness of the RBLAC activities.

(c) Currently, there is no systematic and coherent monitoring framework for measuring the effectiveness of capacity building activities, as well as follow-up and continuity plan. Furthermore, complete monitoring data disaggregated by country was not available within the Organization. The current lack of systematic monitoring and evaluation of RBLAC activities makes it difficult to evaluate their effectiveness and limits the extent to which evidence-based data can be used for program management and planning decisions

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<sup>1</sup> The extent to which the objectives of an intervention are consistent with beneficiaries' requirements, country needs global priorities and partners' and donors' policies.

<sup>2</sup> The extent to which development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance

- (d) Follow-up and progress reports are primarily conducted through e-mail, phone calls, and instant messenger channels. The RBLAC's existing communications channels with the Member States are insufficient not only for effective monitoring and evaluation but also to inform the Member States on progress in the implementation of the activities and results from achievements in the region and by country.
- (e) There is evidence that good IP practices have been replicated in the region, for example: regular ministerial meetings from Caribbean and Central America Countries, key meetings between the IP offices heads, policy makers and other key stakeholders. However, knowledge sharing is not happening systematically within the Regional Bureau. The absence of a systematic approach to knowledge sharing limits the exchange of information and good practices.
4. EFFICIENCY<sup>3</sup>
- (a) While the RBLAC resources are managed in synchronization with WIPO's strategic goals and results, resources allocation within the Development Sector are insufficiently linked to the results achievements of the Bureaus; and contexts, needs, and levels of development of the countries and regions;
- (b) While FITs resources do contribute to the achievement of SG III and SG IV, the existing levels of underutilization of resources limit the efficient implementation of activities.
5. Based on the above findings and conclusions, the evaluation recommends the following:
- (a) The RBLAC should ensure that gender component is a factor in activities where the gender component could have an impact and include gender sensitive indicators in RBLAC Results Based Framework (RBF) in coherence with WIPO corporate gender policy.
- (b) The RBLAC should institutionalize response capacity by establishing protocols and procedures for communication and response to demands/requests from the countries.
- (c) The RBLAC in collaboration, whenever possible, with the Program Performance and Budget Division and Member States should systematize existing work planning, results framework and monitoring system.
- (d) The RBLAC should establish a clear knowledge management strategy.
- (e) The Development Sector should establish basic criteria for budget and transfer good practices from other FITs when reviewing, in collaboration with the donors, existing contractual conditions for FITs to ensure efficient utilization of resources.

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<sup>3</sup> A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.

# 1. INTRODUCTION

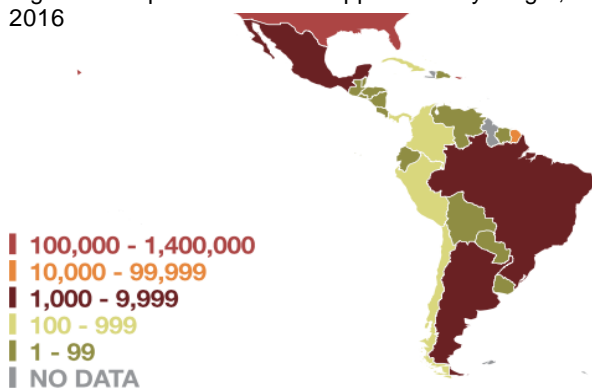
## (A) CONTEXT

6. The Latin America and the Caribbean (LAC) Region is going through its most prolonged period of democratic regimes. The LAC region is reaching unprecedented prosperity and increasing levels of human development. Nonetheless, there is persistent wealth and power inequality, growing citizen insecurity and erosion of the rule of law. While poverty rates have declined in most countries since 2002, poverty inequalities regarding income, education, and health have been persistent in many countries in the region, reflecting the social exclusion of particular groups (e.g. women, children and some ethnic and racial groups) and rural areas. Therefore, levels of poverty are more significant among women, indigenous people, and Afro-descendants, when compared to those of European descent. Also, low political participation and representation in various countries persist.<sup>4</sup>

7. Despite being the region of the world with greatest gaps in income and presenting some of the worst statistics in the world along with a troublesome social and human development, the levels of official development assistance reaching LAC countries are significantly lower as compared to those channeled to Africa or Asia. Although innovation is becoming more of a global force, divides remain. According to the Global Innovation Index 2017 report, more must be done to reach the region's full innovation potential in Latin America and the Caribbean. Chile, Mexico, and Brazil and some other countries in the region are undoubtedly essential innovation actors. Mexico is also an active contributor to global value chains, including in high-tech sectors.

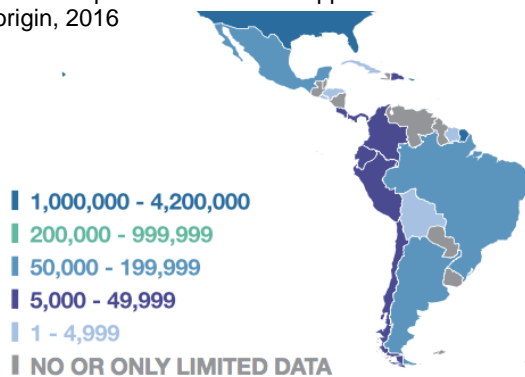
8. It is notable, however, that there is more potential for large regional improvement on innovation, both concerning overall innovation performance and regarding key innovation variables such as scientific publications, Research & Development (R&D) and patents. For example, in recent years and 2017, no economies from this region are identified as innovation achievers—none outperform in innovation relative to their level of development. Figures 1 to 4 provide an overview of the Intellectual Property Indicators for 2017 in the LAC region.

Figure 1: Equivalent Patent Application by Origin, 2016



Source: Standard map A17

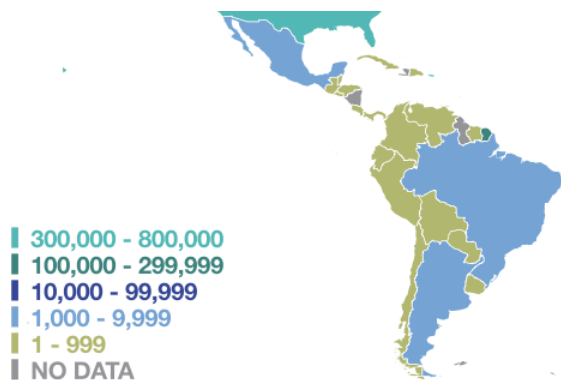
Figure 2: Equivalent trademark application class counts by origin, 2016



Source: Standard map B19

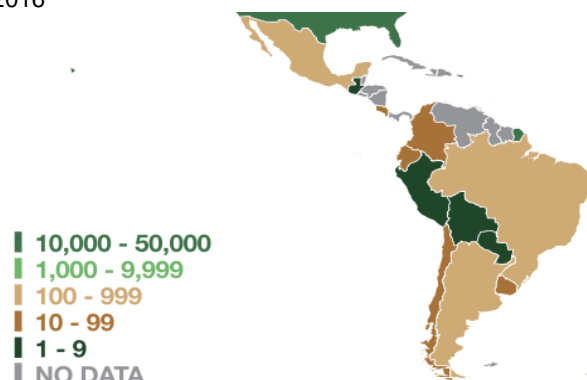
<sup>4</sup> Human Development Report. 2016. UNDP.

Figure 3: Equivalent design counts by origin, 2016



Source: Standard figure C16

Figure 4: Equivalent plant variety applications by origin, 2016



Source: Standard figure D9

9. Finally, the region as such has faced important economic challenges in the last year, with Brazil only slowly emerging from an economic recession according to current forecasts, although the country is still facing a high degree of uncertainty. To further support this economic upswing and help the region progress in terms of innovation, sustained efforts in improved innovation investments and more coordinated innovation systems are required. Also needed is broader regional R&D and innovation cooperation, which is still mostly absent when compared with other regions identified by the SG II as being successful in innovation.

10. The RBLAC is responsible for providing technical assistance and capacity building programs to the 33 WIPO member states from the LAC region. These activities are offered in close cooperation with relevant sectors within WIPO and are aimed at facilitating the use of Intellectual Property (IP) for social, cultural and economic development. Also, the RBLAC administers FITs of member states, which help to promote the effective use of IP in the region.

11. The RBLAC activities include:

- (a) Development of national IP strategies, policies, and country plans, taking into account the priorities and specific needs of the countries;
- (b) Supporting member states in strengthening their IP systems by providing development-oriented technical assistance and capacity building programs, as required;
- (c) Management of member states' FIT, which contribute to the use of IP for development in the region; and
- (d) Supporting horizontal cooperation initiatives among IP offices in the LAC region. By making the most of existing local capacities and resources, larger audiences can thus be reached.

(B) EVALUATION SCOPE

12. The RBLAC was included in the Internal Oversight Division (IOD) 2017 Work Plan for evaluations.

13. The purpose of this evaluation is to learn from experience and determine whether improvements are necessary to be carried out by the RBLAC. The evaluation will apply the United Nations Evaluation Group (UNEG) and Organisation for Economic Co-operation and



Development (OECD) evaluation standards and criteria of evaluating development assistance: relevance, effectiveness, and efficiency. More specifically, the evaluation will:

- (a) Assess the performance against the theory of change<sup>5</sup> of the RBLAC and internal capacities, as well as the internal and external environment in which they operate;
- (b) Analyze whether the current governance system, operational structure, internal processes, and coordination facilitates achievements of the Medium-Term Strategic Plan outcomes;
- (c) To identify lessons and good practices that can be replicated to other Regional Bureaus to increase their relevance, efficiency, and effectiveness –including in the field of gender equality; and
- (d) Define, if necessary, recommendations that can both improve the performance, as well as coordination with internal and external stakeholders.

### (C) EVALUATION APPROACH AND METHODOLOGY

14. The evaluation used mixed-methods of data collection analysis including the following.

(i) Data collection

15. The methodology adopted for this Evaluation was designed to meet the requirements and expectations set up by the Terms of Reference. It allows the identification of the results the RBLAC contributes to, given the range of information and time available. The evaluation follows the UNEG Evaluation Standards and WIPO Evaluation Manual Guidelines. It involves qualitative and quantitative methods to measure the achievement of outcomes. Overall, a total 273 internal and external stakeholders were consulted either via interviews, working sessions and surveys.

(a) **Desk reviews:** The evaluation team relied on existing documentation, including (i) regional reports and documents; (ii) country documents, evaluation reports, performance reports and audit reports; (iii) an extensive number of program, project, thematic area, regional evaluations undertaken by WIPO; (iv) knowledge products from the regional Bureau, e.g. published reports and training materials; (v) client surveys on support services provided to country offices; (vi) country office reports; (vii) WIPO's corporate strategies and reports; and (viii) relevant government, media, academic publications.

(b) **Field visits and case studies:** Selected field visits to countries were undertaken to observe first-hand progress and achievements made and to collect best practices/ lessons learnt. Mexico, Colombia and Trinidad & Tobago were chosen based on criteria that included the mapping of the intensity of interventions at the country level. Overall a total of 133 national stakeholders were consulted as part of these case studies. Detailed findings from these case studies can be found in Annex II. These criteria were combined with an analysis of the diverse levels of IP development in the region with the goal of obtaining a balanced exposure to a variety of such standards. In this case, the evaluation team took into account the recent IP index and a Country Portfolio Evaluation matrix that includes data on the level of WIPO activity, national relevance (IP filings), International applications via WIPO administered treaties, amongst other data. These analyses were also validated

<sup>5</sup> Theory of Change explains the process of change by outlining causal linkages in an initiative, i.e. its shorter-term, intermediate, and longer-term outcomes. H. Clark & D. Taplin (2012). *Theory of Change Basics: A Primer on Theory of Change (PDF)*. New -York: Acknowledge.

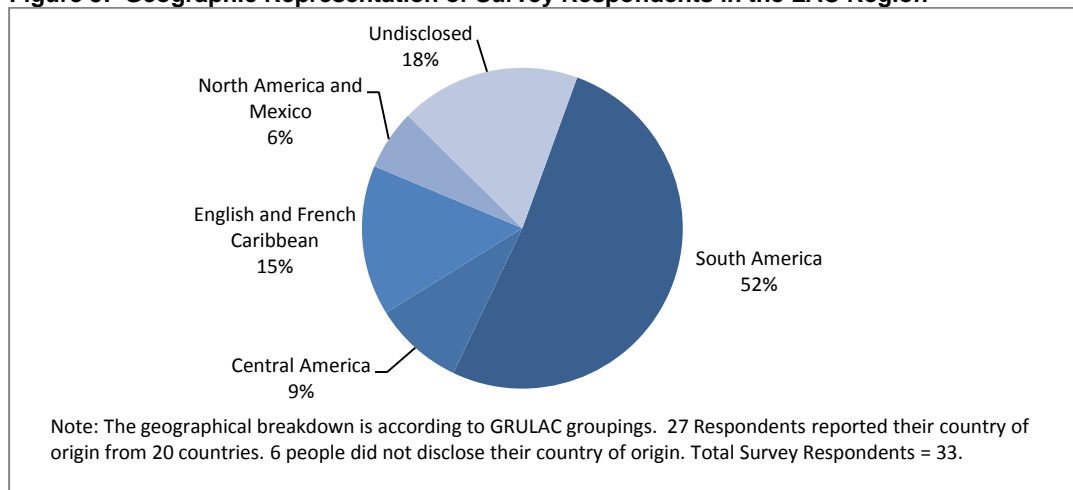
through consultations with the Bureau staff. Details on the field visits are included in the Annex II.

(c) **Stakeholder interviews:** Key informant interviews and consultations were also a principal source of information. They are used to complement and validate the information gathered through the desk review. The interviews provide in-depth information for the analysis related to relevance, effectiveness, and efficiency. The evaluation team conducted 50 face-to-face and telephone/skype interviews with relevant stakeholders and clients including: (i) WIPO staff at headquarters; (ii) IP offices staff; (iii) Member countries missions in Geneva. Focus groups were organized as appropriate; efforts were made to ensure that a range of voices is represented covering all categories of stakeholders.

(d) **Direct Observation:** was used during the field visits to three countries.

(e) **Surveys:** Two surveys were conducted in Spanish, French and English to collect feedback from WIPO staff, national IP counterparts including IP offices, copyrights offices<sup>6</sup>, ministries dealing with IP, Permanent Missions, users and beneficiaries of the IP system (universe and per cent of the survey). A total of 57 WIPO staff member and 33 national stakeholders participated in the survey.

**Figure 5: Geographic Representation of Survey Respondents in the LAC Region**



Source: IOD Evaluation Section Survey 2018

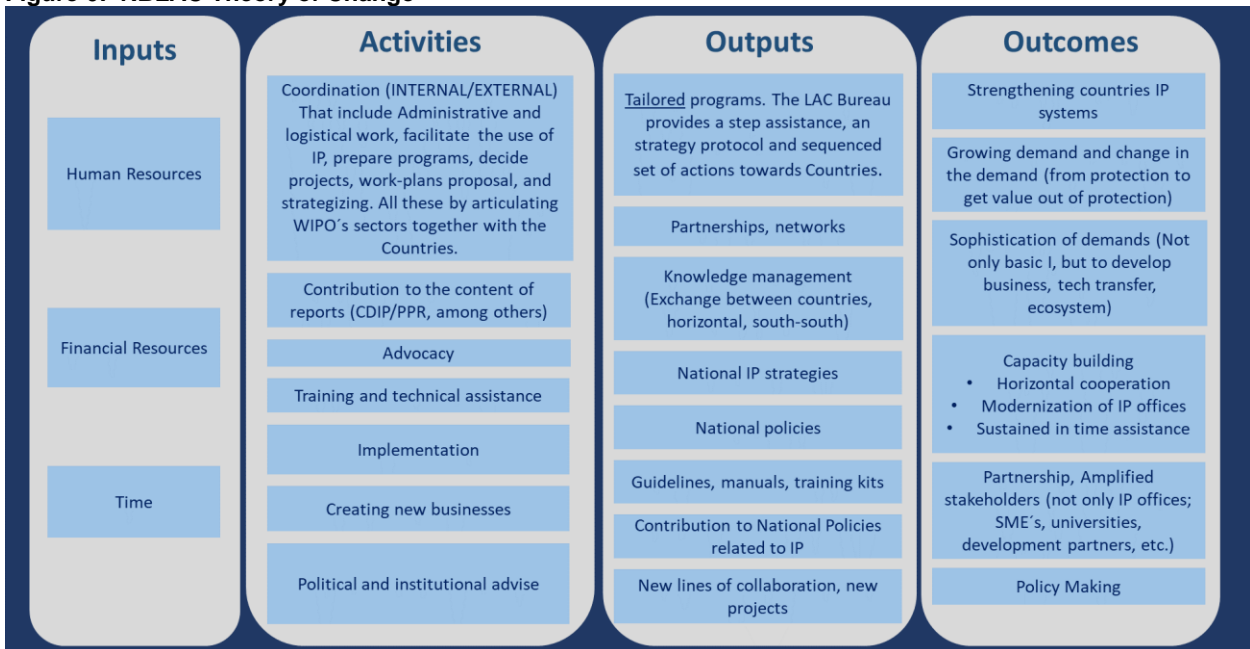
## (ii) Analysis

16. A mix of qualitative and quantitative approach was used to analyze data. This combination of a variety of sources of data and methods of data collection enabled triangulation and a strong evidence base to identify findings and state conclusions and recommendations. Such triangulation was based on verification of at least two sources of information: perception, validation, and documentation or the use of two methods of data collection or a combination of both types of triangulation.

<sup>6</sup> Four Copyright Offices responded to the survey. These offices do not coordinate their work with the RBLAC but rather with the Copyright and Creative Industries Sector. Therefore, they are not in the position to inform about the RBLAC work.

17. Although the evaluation will seek to ascertain the RBLAC contribution to the planned outcomes, it is presumed that outcome achievement is a result of multifaceted efforts from various sectors, partners, and stakeholders, and cannot be therefore attributed to one single intervention by one single organization. The evaluation theory of change developed along with the evaluation scope, purpose, and objectives – provided the basis for the evaluation framework, which in turn underpinned the evaluation’s methodological approach.

Figure 6: RBLAC Theory of Change



Source: IOD Evaluation Team Elaboration

(D) LIMITATIONS

18. The main issues identified were:

(a) **Timing:** December and January is the least conducive time of the year for program staff and key stakeholders’ availability. Therefore, the evaluation plan was done in collaboration with RBLAC and activities have been planned according to the staff members’ availability.

(b) **The complexity of the office evaluated:** RBLAC has to coordinate externally and internally the requests from member states. However, it might be at times challenging to measure the performance and more specifically the effectiveness of the RBLAC considering the highly political environment in which they operate. The evaluation team was mindful of the complex environment in which the Bureaus operate when elaborating the evaluation methodology and tools.

(c) **Size of the sample for in-depth consultations in the field:** given time and resource restraints, the evaluation only visited three countries for in-depth observation. Nevertheless, the triangulation process involving other data collection and analysis tools covering all member countries, assure a rigorous evaluation process.

(d) **Stakeholders might not always differentiate between the RBLAC assistance and assistance provided by other Programs.** This instance is shown in four responses from Copyright Offices at country level. These offices informed that they do not coordinate their work with the RBLAC but rather with the Copyright and Creative Industries Sector.

## 2. FINDINGS AND CONCLUSIONS

### (A) RELEVANCE

“The extent to which the objectives of an intervention are consistent with beneficiaries’ requirements, country needs global priorities and partners’ and donors’ policies”.

19. The section analyzes four dimensions of program’s relevance: participation level, alignment, responsiveness and adaptability.

#### EVALUATION QUESTION 1:

How relevant are the RBLAC results and activities to the context in the region, the mandate of the RBLAC and the needs of stakeholders?

**Finding 1:** The RBLAC services and activities are considered relevant and bring added value to the countries it serves. The process of consultation between Member States and WIPO has improved in quality (structure) and quantity, especially since 2016. Country interventions are clearly within WIPO’s mandate and congruent with its Strategic Planning. (Link to conclusion 1, recommendation 3)

**Finding 2:** The evaluation has found that while there is a WIPO gender policy, there is no specific strategy to implement it at regional or country level. (Link to conclusion 2, recommendation 1)

**Finding 3:** Overall, the responsiveness of the regional office is highly satisfactory but it is based on management practices that are not codified and therefore could be lost when managerial changes occur. (Link to conclusion 3, recommendation 2)

#### (i) Participation level

20. Sixty three per cent of respondents to the survey and the majority of interviewee’s express high satisfaction with the value added that WIPO’s activities bring to the region. This statement is also supported by archival documents that show how the process of identification and prioritization of activities, to be included in the work plans, is being developed collaboratively between the regional office and the countries of the region.

21. For the consulted sources, RBLAC added value lies on: (i) the technical capacity of the experts; (ii) The potential that it has to identify and transfer good practices; (iii) Connect key stakeholders in the region and their knowledge of the region; (iv) Coordinate the work of the technical areas in the countries. All this with an explicit understanding of the region and its political, cultural, social and economic specificities.

22. RBLAC establishes a consultation process with the countries followed up by planning meetings with the technical areas of WIPO. The objective is to match the supply of WIPO services with the demand in the region. The process of identification and prioritization of activities, to be included in the draft work plans, is being developed collaboratively between the regional office and the countries. Improvements in this regard have been specially identified by stakeholders after 2016 and with the introduction of the Enterprise Resource Planning which requires a more strategic planning of activities linked to the Organizations overall strategic goals.

23. In terms of consultations and participation, 92 per cent of Geneva based Permanent Missions and 50 per cent of surveyed stakeholders are highly satisfied with the levels of participation. It can be concluded, that participation has evolved positively; this evolution has been more evident since 2016 with the introduction of annual work plans with the countries.

24. Although participation and consultation are satisfactory, the criteria for selecting the final activities are not entirely clear to countries. The final RBLAC Work Plan not only includes activities to which they contribute with their own financial resources, but also with the mix of all the activities implemented by other WIPO Divisions channeled by the RBLAC in the LAC Region

25. The evaluation has found that while there is a WIPO gender policy since 2014 and there are some examples of working towards raising awareness in regards to Gender Equality and IP (Sub-regional Meeting on IP, Innovation and Gender Equality held in Bogota, Colombia 10-2017). These activities are thinly spread and WIPO still needs to develop a detailed strategy to define and implement gender at regional or country level.

26. Country interventions are clearly within WIPO's mandate and congruent with its Strategic Planning. RBLAC activities contribute to the achievement of WIPO SG I, II, III, and IV.

27. WIPO's activities in the region aim at important development needs. Studies on the economic impact of IP show the significant contribution that creative industries such as tourism, music, technology, among others, bring to the Gross Domestic Product and employment in the countries. Moreover, nine countries in the region have an approved national IP strategy document and are implementing activities and projects of the strategy (Barbados, Chile, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Paraguay and Saint Kitts and Nevis).

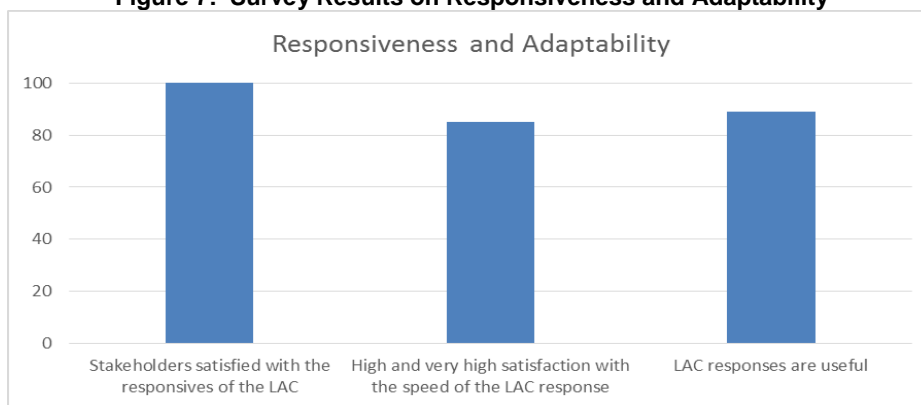
**Conclusion 1:** The introduction of work plans with more inclusive planning processes has resulted in a positive perception among stakeholders about the services provided by WIPO. However, the absence of clearly defined criteria for prioritizing activities could create a negative effect on the existing positive perceptions among stakeholders. (Link to finding 1, recommendation 3)

**Conclusion 2:** While WIPO is already working towards raising awareness in regards to Gender Equality and IP, the absence of a clearly defined Gender Strategy and plan might limit participation. (Link to finding 2, recommendation 1)

(ii) Responsiveness/adaptability

28. All sources consulted have expressed their satisfaction with the responsiveness of the regional office. Furthermore, 85 per cent of survey respondents expressed satisfaction and high satisfaction with the speed of the response and 89 per cent consider that the answers from WIPO are useful. According to triangulated sources of information, this issue has improved in recent years, when new management practices have been introduced.

29. Moreover, the work plans do not act as "strait jackets", to the cooperation between WIPO and countries but allow for flexibility. It is important to note that there are two reviews of the work plan per year.

**Figure 7: Survey Results on Responsiveness and Adaptability**

Source: National stakeholder survey results, prepared by IOD, Evaluation Section

**Conclusion 3:** According to the triangulated sources of information, responsiveness has improved in recent years, due to the evolution of the office and new management practices. The RBLAC managerial practices have evolved over the years but good practices seem to be linked to individual's management styles. Some of these good practices might be lost if not institutionalized. (Link to Finding 3, recommendation 2)

## (B) EFFECTIVENESS

*“The extent to which development intervention’s objectives were achieved, or are expected to be achieved, taking into account their relative importance”*

30. This section analyzes the evidence on the RBLAC’s effectiveness in four domains: the extent to which indicators are aligned with ERs, the degree to which outcomes associated with the strategic goals and ERs were achieved, monitoring and evaluation, and knowledge transfer.

### EVALUATION QUESTION 2:

To what extent have the RBLAC’s Strategic Goals and Expected Results been achieved?

**Finding 4:** The RBLAC’s activities have delivered clear contributions to the achievement of WIPO SG I, II, III, and IV as measured by KPIs. Overall, indicators are partly well aligned with ERs. However, the evaluation found that the RBLAC has to report against some indicators for which they are not directly responsible and in other cases they are underreporting results. (Linked to Conclusion 4, Recommendation 3)

**Finding 5:** The evaluation found that currently there is no systematic and coherent monitoring framework for measuring the effectiveness of capacity building activities, as well as follow-up and continuity plan. Furthermore, complete monitoring data disaggregated by country was not available within the Organization. (Linked to Conclusion 5, Recommendation 3)

**Finding 6:** Follow-up and progress reports are primarily conducted through e-mail, phone calls and instant messenger channels. (Linked to Conclusion 6, Recommendation 3)

**Finding 7:** There is evidence that good IP practices have been replicated in the region, for example: regular ministerial meetings from Caribbean and Central America Countries, key

meetings between the IP offices heads, policy makers and other key stakeholders. However, existing recording/registry evidence is scarce and knowledge sharing is discretionary within the Regional Bureau. (Linked to Conclusion 7, Recommendation 4)

**Finding 8:** There was only one gender activity implemented during the period of the evaluation. So far, no formal follow-up has been done on this activity and gender sensitive indicators are absent in existing RBLAC RBF. (Linked Conclusion 8, Recommendation 1)

31. The RBLAC strategic goals, expected results, indicators and activities are delineated in the MTSP, the Program and Budget and the RBLAC's annual Work Plan (Annex II).

(i) Alignment of indicators with expected results

32. An analysis of the RBLAC's indicators showed that overall indicators are partly well aligned with ERs. However, the evaluation found that the three indicators associated with SG III and ER III.1 could be better aligned with achieving the result of developing "National innovation and IP strategies and plans consistent with national development objectives". Although the 2016 Program Performance Report (PPR) reported all activities as "on track" for these indicators, this misalignment risks overestimating the progress made towards SG II.

33. Despite this misalignment, the RBLAC is still effective in terms of taking into account national development objectives in their work: over 90 per cent of both interviewed and surveyed external stakeholders reported that they were satisfied or strongly satisfied with the RBLAC's contribution to the development of country needs-driven policies (Figure 6). Therefore, in order to improve relevance and attainability of these indicators, there could be improved alignment between indicators and their ERs.

34. The evaluation found that the RBLAC has to report against some indicators for which they are not directly responsible, but rather are achieved with the contribution of other WIPO programs and Member State efforts. For example:

(a) Indicators under SG II are highly focused on promoting wider and more effective use of IP treaties and systems, which is primarily done by WIPO programs outside of the RBLAC;

(b) The 2017 RBLAC Work Plan does not list any activities for ER II.1, II.4, II.6, and ER II.10 that fall under SG II, which are all outcome based indicators;

(c) With the exception of ER II.4 where the LAC countries are not included in the baselines or targets, the effectiveness of the RBLAC is measured against the achievement of these results as reported in the PPR; and

(d) According to the PPR 2016, the RBLAC was "not on track" for two (ER II.6 and ER II.10) out of the three ERs. This shows that such indicators do not meet the attainability criteria as they risk measuring the RBLAC's performance against activities and outcomes in which they have limited control. The reporting of these indicators pertains to the Divisions dealing exclusively with those subjects.

35. A further analysis of indicators included in the Program and Budget 2016/2017 showed that 40 per cent (six) of RBLAC indicators are output focused whereas 60 per cent (nine) of indicators are outcome focused (Table 2).

36. Regarding the types of effects measured by these indicators the following were found:

(a) Forty per cent (six) are focused on promoting access to and use of IP;

(b) Twenty seven per cent (four) on policy change and strategy;

- (c) Twenty per cent (three) on increasing human resources capacity; and
- (d) Two indicators are focused on enhancing cooperation mechanisms and technical and knowledge transfer, respectively.

37. Overall, the RBLAC indicators were found to meet the requirements of the SMART<sup>7</sup> criteria. While indicators were found to be adequately specific, measurable and time-bound, they could be strengthened in terms of how they meet the attainable and relevant standards.

**Conclusion 4:** Having indicators misaligned with ERs and indicators for which the RBLAC is not directly responsible for the delivery, risks in some cases misrepresenting results and underreporting on the effectiveness of RBLAC activities. (Linked to Finding 4, Recommendation 3)

**Table 1: Categorization of RBLAC Strategic Goals (SG) by level and effect type**

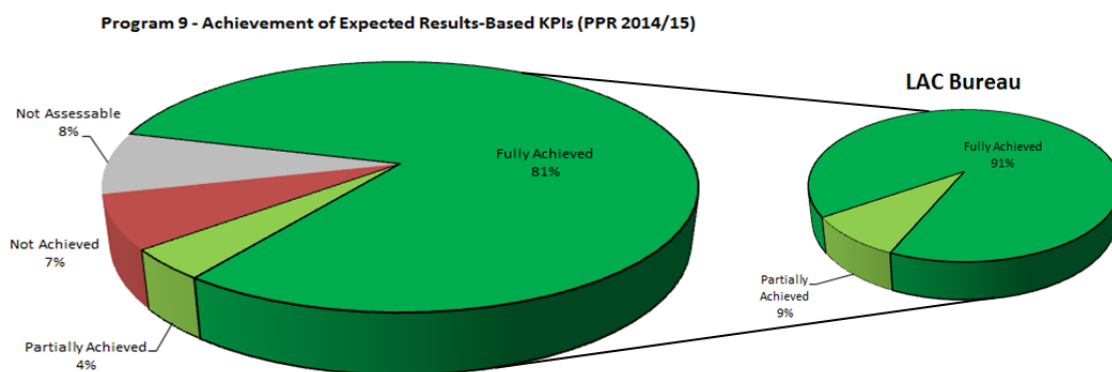
SG I		SG II		SG III		SG IV		Totals	
Effect Level	Effect Type	Effect Level	Effect Type	Effect Level	Effect Type	Effect Level	Effect Type	Effect Level	Effect Type
Output (1)	Policy change and strategy (1)	Outcome (4)	Access and use of IP (4)	Output (3) Outcome (4)	Policy change and strategy (3) Human resources capacity (3) Cooperation mechanisms (1)	Output (2) Outcome (1)	Access and use of IP (2) Technical & knowledge transfer (1)	Output (6) Outcome (9)	Policy change and strategy (4) Human resources capacity (3) Access to and use of IP (6) Technical & knowledge transfer (1) Cooperation mechanisms (1)

Source: WIPO Program and Budget 2016/2017

(ii) Degree of achievement of strategic goals and expected results

38. According to the 2015/2016 PPR, the RBLAC fully achieved 91 per cent of its ERs based KPIs, leaving only 9 per cent of the KPIs as partially achieved (Figure 8). This achievement of KPIs is significant since the RBLAC performed 10 per cent above the Program 9 average during the period. At the time of evaluation, the 2016/2017 PPR was not available to conduct an analysis of those years.

**Figure 8: Assessment of the RBLAC’s Achievement of Expected Results-Based KPIs as a Proportion of Program 9 (PPR 2014/2015)**



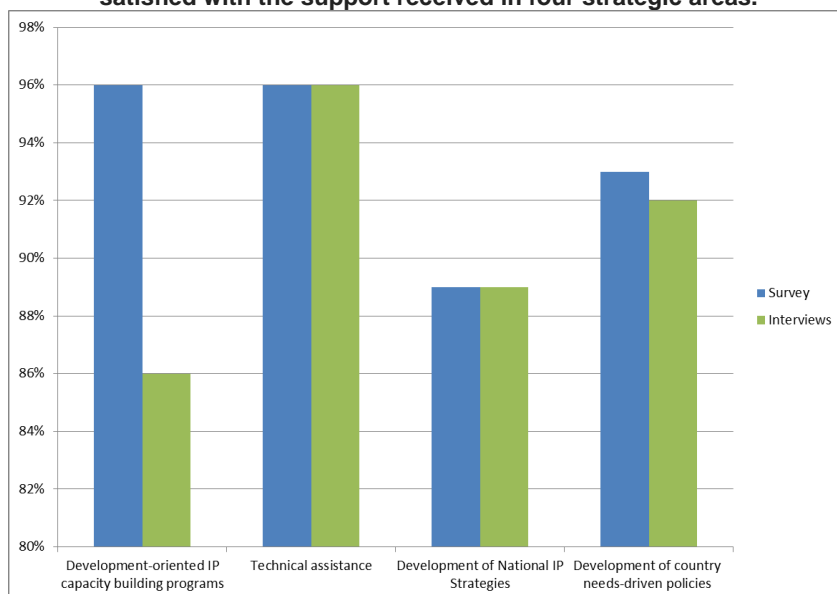
Source: WIPO PPR 2014/2015

<sup>7</sup> SMART indicators meet the criteria of being Specific, Measurable, Attainable, Relevant and Time-bound.



39. The LAC's ERs were clearly reflected in the responses of both interviewed and surveyed external stakeholders. For example, in interviews many stakeholders indicated that the primary results of the LAC's activities were in capacity building, technical assistance, development of IP strategies, and policy change and strategy. These results were achieved through direct work with WIPO technical areas or with the support received from the RBLAC. This interview finding correlates with the results of the survey distributed to key external stakeholders; between 86 per cent and 96 per cent of both interview and survey respondents were satisfied or highly satisfied with the LAC's activities and results in these key strategic areas (Figure 9).

**Figure 9: Member State Representatives, IPOs and other external stakeholders who are satisfied or strongly satisfied with the support received in four strategic areas.**



Source: WIPO IOD External Stakeholders Survey and Country Mission Interviews (2018)

40. Figure 10 below presents the status of National Intellectual Property Strategies (NIPS) in the LAC Region. The RBLAC has provided support with the formulation of NIPS in 20 countries. The following progress has been reported by the RBLAC:

- (a) Nine countries in the region have an approved NIPS document, and are implementing strategic activities and projects: Barbados, Chile, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Paraguay and Saint Kitts and Nevis;
- (b) Grenada has an approved NIPS document, but has not implemented it yet;
- (c) Eight countries, namely Belize, Dominica, Ecuador, Jamaica, Nicaragua, Panama, Peru, and Trinidad and Tobago have a draft NIPS that must be approved by their national authorities;
- (d) Saint Vincent and the Grenadines is currently in the process of drafting a strategy; and
- (e) Uruguay is considering the development of a plan through discussions, and elaborations at the country level.

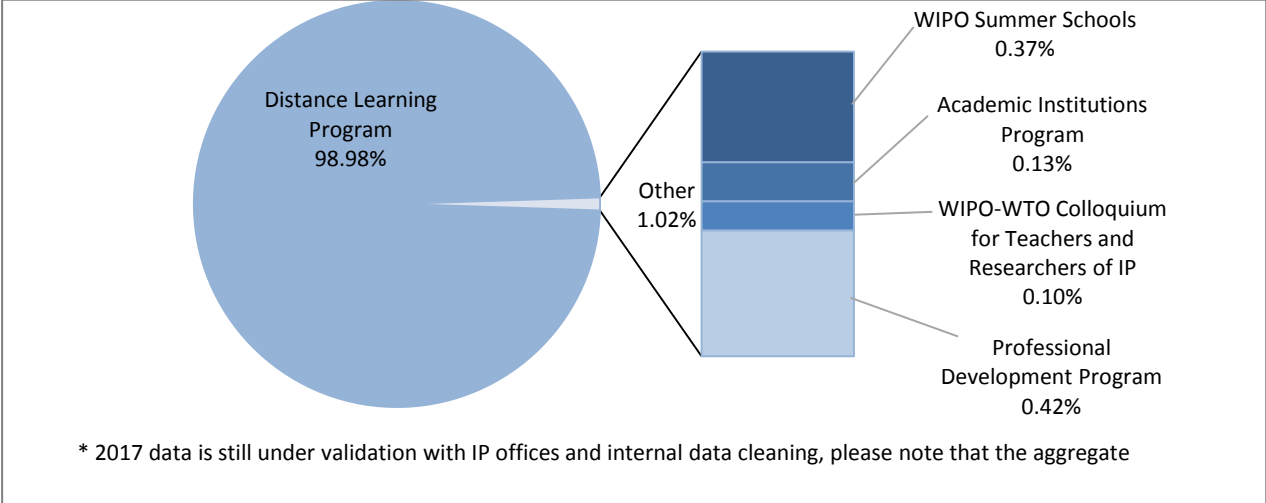
Figure 10: The status of NIPS in the LAC Region



Source: RBLAC reporting on NIPS as of Dec 2017, figure prepared by IOD, Evaluation Section

41. With regard to capacity development, stakeholders consulted during interviews reported a high level of satisfaction with the online and face-to-face courses, including the Academy courses, seminars and workshops given with support of WIPO. In particular, interviewees valued the quality of the experts and the speakers, the relevance of the topics and the methodology used. Figure 11 below provides an overview of the Academy activities in the region. However, some countries highlighted that they would benefit from having more in-depth information about IP themes tailored to the development level of the country. In 2014 the Academy served via the distance learning course a total number of 16,064 participants in the LAC Region. By 2017, the number of participants increased by 71 per cent (27,621 participants).

Figure 11: WIPO Academy Activities in the LAC Region 2014-2017\*



Source: WIPO Academy information, figure prepared by IOD Evaluation Section

(iii) Monitoring and Evaluation

42. The evaluation found that currently there is no systematic and coherent monitoring framework for measuring the effectiveness of capacity building activities, such as participant knowledge retention and application, and that most activities neither have a follow-up, monitoring and continuity plan agreed with Member States nor are Member States consistently involved in the monitoring of activities delivered in their countries. Although satisfaction surveys are distributed following activities, and in some cases knowledge tests are done, neither there is a baseline of information from which to measure the strengthening of capacities, nor there is information on the levels of progress in the courses or the student dropout rate.

43. According to interviewees, the degree of monitoring and evaluation is highly contingent on the initiative of individual countries. For example, there are good practices of benchmarking

and information sharing that can be found in the appropriation of Technology and Innovation Support Centers (CATI) and the Inventor Assistance Program (PAI) in Colombia, and training programs in Trinidad and Tobago and Mexico.

44. The evaluation also found that the increasing internal and external demand for monitoring information and reporting from the Bureaus combined with monitoring system that provide limited relevant information and in some cases unreliable information has resulted in an increased workload for the RBLAC by the same amount of human resources.

45. While the PPR is the main results monitoring tool used in WIPO, this is very broad and intended primarily as a reporting tool to Member States. An efficiently collected and easily accessible monitoring and evaluation system that measures progress and results to satisfied existing internal and external stakeholders' needs for information and for managerial decision making was not in place at the time of this evaluation. Further, the evaluation found that complete monitoring data disaggregated by country was not available within the Organization. External stakeholders confirmed these views and emphasized the importance of detailed country-level monitoring and reporting to inform their decision-making process. The evaluation notes that for a monitoring system to work, the RBLAC would require to work jointly with Member States in the regular gathering of monitoring data of activities taking place in their countries.

46. A desk review and interviews with RBLAC Staff found that follow-up and progress reports are primarily conducted through e-mail, phone calls and instant messenger channels. While this may contribute to the RBLAC's high rating of their communications, the evaluation found these existing communications channels to be insufficient to measure results for monitoring and evaluation.

47. Key stakeholders consulted during the evaluation reported that they did not have information on results achieved at the country level. This is further complicated by the fact that planning differs by country; some countries have annual or biannual agreements. Currently no dashboard exists to identify bottlenecks or outstanding results in the implementation of activities. Neither there is a record of the achievements made qualitatively, for example for intangible results that are the result of cooperation with WIPO. As such, it was not possible to clearly establish how monitoring and evaluation in the RBLAC currently contributes to strategic decision-making in the prioritization of countries, activities, budgeting and operations planning.

**Conclusion 5:** The current lack of systematic and easily accessible monitoring and evaluation of RBLAC activities couple with the absence of follow up, monitoring and continuity plans agreed with Member States makes it difficult to react to increasing stakeholders' demands for information and evaluate their effectiveness. Moreover it limits the extent to which evidence-based data can be used for program management and planning decisions. (Linked to Finding 5, Recommendation 3)

**Conclusion 6:** The RBLAC's existing communications channels with Member States are insufficient to measure results for effective monitoring and evaluation. (Linked to Finding 6, Recommendation 3)

(iv) Knowledge transfer

48. There was consensus among interviewed Member States that one of the greatest benefits of the regional office knowledge of WIPO's operations coupled with the knowledge of management among the countries in the region. The regional office has been very effective in identifying good regional practices, local experts who have been very useful for the development of activities, but also for the definition of national strategies and plans. About 93 per cent of the people surveyed expressed their satisfaction with the knowledge that the

regional office had about the countries and the national counterparts, likewise, the vast majority was highly satisfied with the exchange experiences facilitated by WIPO in the region.

49. The evaluation observed evidence of the replication of successful experiences in the region from one country to another, which allows resource maximization and promotes south-south exchange. However, a systematic approach to this knowledge sharing is needed, in order to formalize and systematize the strategy for the transfer of good-practices. Currently, when countries want to learn good-practices from neighbors, they contact the regional office. However, the sources consulted reported that advice was given on an *ad-hoc* basis as there is currently no good practice map or local expert directory.

50. The experiences exchanged in the region have been particularly useful for countries in more preliminary stages of IP system development. However, for the more advanced countries, it would be highly beneficial to exchange ideas and practices not only within the LAC Region, but with similar countries from other regions, such as countries in Asia and the Pacific region. Although countries are different in terms of culture and language, there are often useful parallels in IP system development that can be informative across jurisdictions.

**Conclusion 7:** The absence of a systematic approach to knowledge sharing limits the exchange of information and good-practices. (Linked to Finding 7, Recommendation 4)

(v) Sharing good practices in gender equality

51. WIPO introduced its policy on gender equality in 2014, establishing a network of 25 gender focal points across the Organization and running various programs to empower women in innovation. Since the policy's release, the RBLAC conducted one two-day event in Colombia to promote and raise awareness about gender equality in IP. The event titled "Regional Meeting on Intellectual Property, Innovation and Gender Equality" was attended by notable IP leaders and the WIPO Director General. Although panelists urged attendees to act by organizing follow-up activities such as hackathons or conducting surveys to gauge the currently level of gender equality in national IP organization, there was no formal follow-up by the RBLAC. In addition, gender sensitive indicators are absent from the existing RBLAC RBF.

**Conclusion 8:** Even though gender perspectives are cross cutting and should be reflected in all activities implemented by the RBLAC, in order to increase women participation and contribute to reducing existing gender gap on IP, currently these are underrepresented in existing work plans and RBF. (Linked to Finding 8, Recommendation 1)

(C) EFFICIENCY

*"A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results."*<sup>8</sup>

52. This section analyses efficiency based on four components namely:

- (a) Financial and Human Resources;
- (b) Resource allocation coherent with WIPO's strategic priorities;

<sup>8</sup> OECD/ DAC: Glossary of Key Terms in Evaluation and Results Based Management

- (c) Funds-in-Trust managed by the RBLAC;
- (d) Coordination and collaboration within and outside WIPO; and
- (e) Levels of satisfaction with services provided.

#### EVALUATION QUESTION 3 AND 4

Are there better ways to allocate and use available resources to achieve the RBLAC's goals and ERs?

Are the services provided by the RBLAC on a demand driven basis consistent with organizational priorities and with available resources?

**Finding 9:** The RBLAC resource utilization is synchronized with WIPO's strategic priorities. However, there is a lack of clarity about criteria for budgetary allocation among the Bureaus. (Linked to Conclusion 9, Recommendation 5)

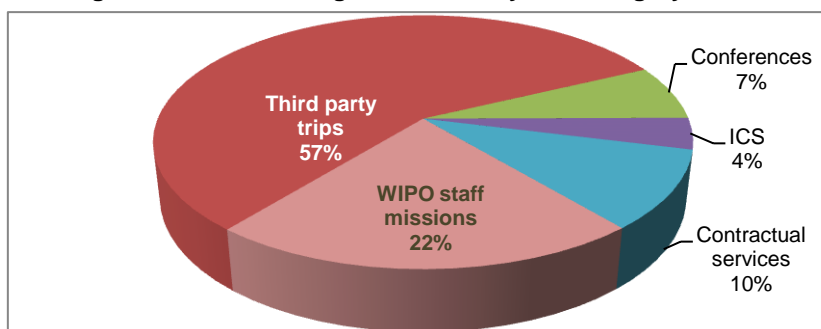
**Finding 10:** FITs account to approx. 21 per cent of the total RBLAC budget. Utilization of the FITs is at the discretion of the donors limiting the decision making power of the FITs resources, which has resulted in a continuous underutilization of resources. About 50 per cent of a P4 post are utilized to managed the FITs (Linked to Conclusion 10, Recommendation 5)

**Finding 11:** Fifty-six per cent of staff are satisfied with the RBLAC internal coordination and between 85 and 92 per cent of national stakeholders are satisfied with the RBLAC management of resources, use of local capacity/expertise, timeliness and usefulness of responses. Furthermore, and more than 80 per cent satisfaction with the services provided by the RBLAC (Linked to Conclusion 11, Recommendation 3)

#### (i) Financial and Human Resources

53. The RBLAC had for the biennium of 2016/17 a budget of 5,713,000 Swiss francs<sup>9</sup> from which 99 per cent was utilized. The RBLAC personnel expenses constitute 70 per cent of the total and non-personnel expenses 30 per cent. From the 30 per cent dedicated to non-personnel expenditure, about 79 per cent was utilized to finance travel (third-party travel and staff missions), as presented in Figure 12 below.

**Figure 12: RBLAC budget utilization by cost category 2016/17**



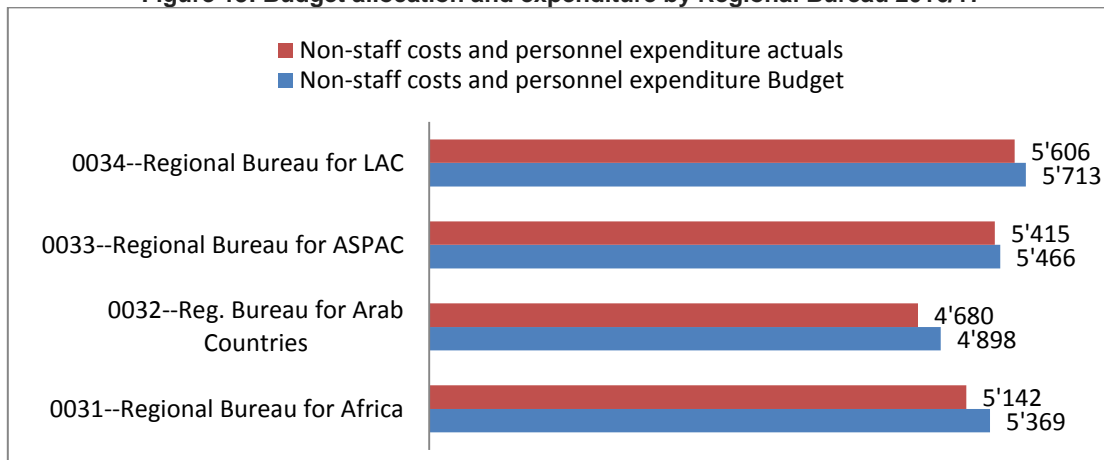
Source: Business Intelligence (BI) System Information. Graph prepared by IOD, Evaluation Section

54. In some cases, the execution exceeded the initially allocated budget between 110 per cent and 120 per cent for some activities but total expenditure remained within the allocated budget.

<sup>9</sup> Data obtained from WIPO's BI System, Budget Utilization report dated 14 February 2018

55. The RBLAC budget accounts for 17 per cent of the total Development Sector budget. The budget and expenditure of the RBLAC are comparable to the budget and expenditure from other Bureaus, as presented in the figure 13 below.

**Figure 13: Budget allocation and expenditure by Regional Bureau 2016/17**



Source: Staff and national stakeholders survey results, IOD Evaluation Section

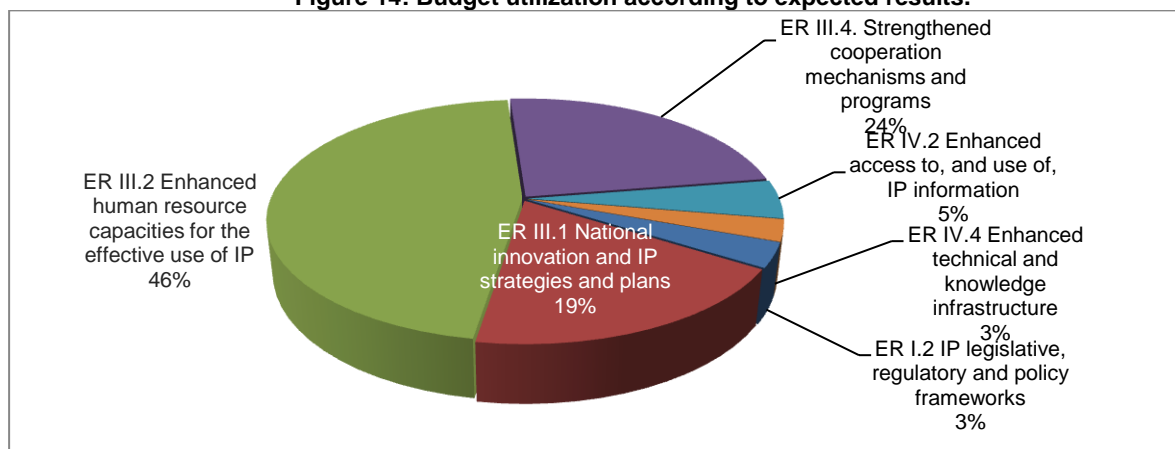
56. The evaluation found that the budget assigned to the Africa Bureau is very similar to the ASPAC Bureau and RBLAC. It is unclear how regions with different contexts, needs, and levels of development receive similar budgets. Existing monitoring and evaluation results are only to a limited extend to use for decision-making purposes and budgetary allocation.

(ii) Resource allocation coherent with WIPO's strategic priorities

57. The RBLAC priorities are in line with WIPO's strategic priorities, as presented in a more detailed table in Annex VII and VIII.

58. The RBLAC invest almost half of its budget (46 per cent) in the enhancement of human resource capacities able to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition, as presented in Figure 14. The second major expenditure is dedicated to strengthening the cooperation mechanisms and programs tailored to the needs of developing countries, LDCs and countries with economies in transition.

**Figure 14: Budget utilization according to expected results.**



Source: BI System information and RBLAC work plan. Graphic prepared by IOD Evaluation Section

59. In general, the regional office has developed a large number of activities and a large number of products with a limited amount of resources. In 2017, approximately 150 activities

were developed, with a budget per activity of about 21,000 Swiss francs on average (Non-personnel).

60. WIPO's budget is allocated to ERs. Country allocations are difficult to establish as several activities have a regional or sub-regional (multi-country) scope. Consequently, it is not possible to analyze the investment in each country. However, approximations could be made to have this information that is of vital importance when setting up the country and regional priorities.

61. The RBLAC resource utilization is synchronized with WIPO's strategic priorities.

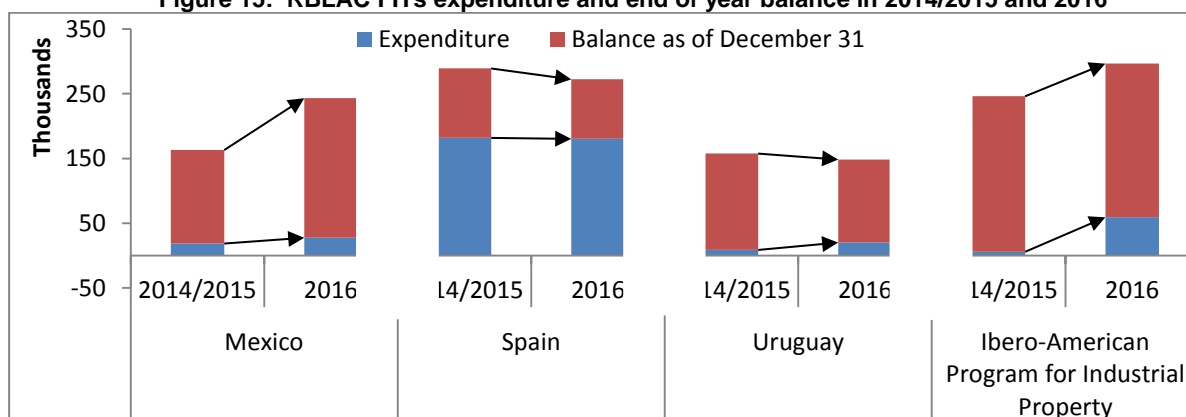
**Conclusion 9:** While the RBLAC resources are managed in synchronization with WIPO's strategic goals and results, resources allocation within the Development Sector are insufficiently linked to the results achievements of the Bureaus; and contexts, needs, and levels of development of the countries and regions. (Linked to Finding 9, Recommendation 5)

(iii) Funds-in-Trust managed by the RBLAC

62. The RBLAC manages the resources of five FITs. The evaluation assessed four out of five FITs namely Mexico, Spain, Uruguay, and the Ibero-American Program for IP managed and followed up on the recommendations made by the 2013 Audit of FITs. The FIT from Costa Rica was excluded from the sample of analysis, as the evaluation team used data officially reported in the PPRs and the Costa Rica was not included in the PPRs for 2014/15 and 2016.

63. Between 2014 and 2016, the FITs amount to 724,000<sup>10</sup> Swiss francs and the total RBLAC non-personnel budget accounted for 2,650,312<sup>11</sup> Swiss francs. The FITs accounted for 21 per cent of the total non-personnel budget 3,382,312<sup>12</sup> Swiss francs RBLAC expenditure, as agreed in the FITs MoUs. Between 2014 to 2016, FITs resources financed a total of 41 activities which were aimed to contribute to the achievement of WIPO's SGIII – Facilitating the Use of IP for Development, and SG IV - Coordination and Development of Global IP Infrastructure, as presented in Annex VI.

**Figure 15: RBLAC FITs expenditure and end of year balance in 2014/2015 and 2016**



Source: Annex II, PPR 2015/2014 and 2016

64. A detailed FITs report can be found in Annex VI.

<sup>10</sup> The total FITs budget figure was reported in the PPR for the biennium 2014/15 and the PPR for 2016.

<sup>11</sup> Total RBLAC non-personnel budget figure was reported as part of the RBLAC workplans for 2014, 2015 and the information for 2016 from the BI System

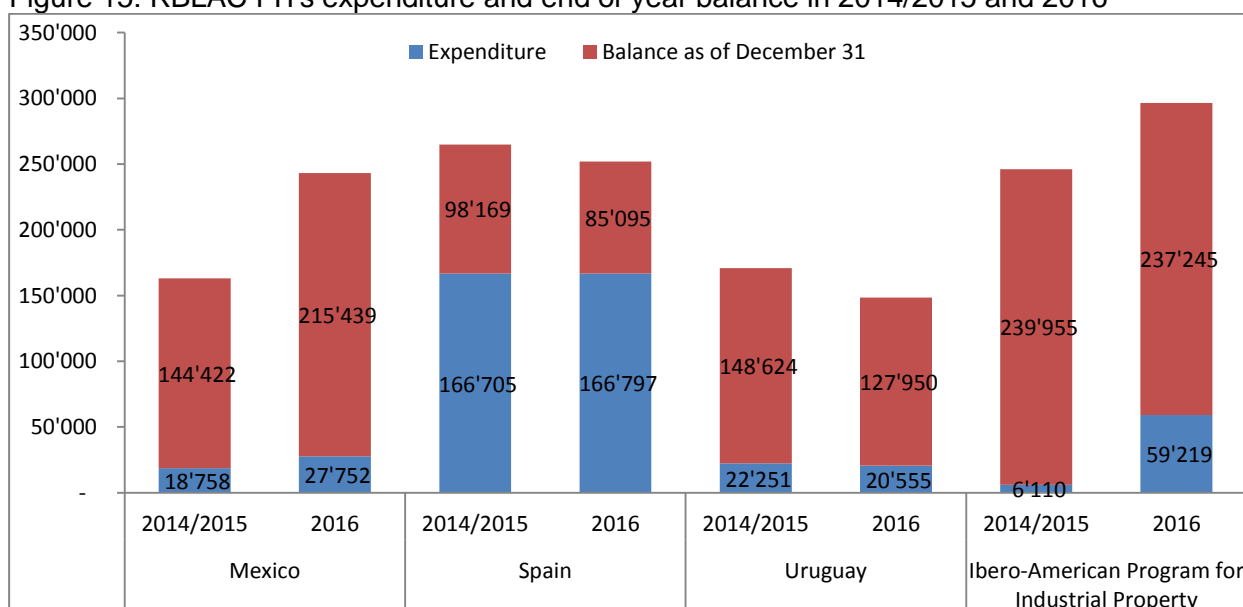
<sup>12</sup> The total figure results from the total RBLAC budget from 2014-2016 and the Total FITs budget for 2014-2016.

65. As a result of the four FITs documentation, the following was found:

- (a) Overall FITs budgets are continuously underutilized.
- (b) FITs resources from Mexico and Uruguay are used to financed activities in the same donor country.
- (c) The provisions for the recovery of administrative expenses vary from seven per cent to 13 per cent. The 2013 Audit of FITs indicated that the inconsistency in the recovery of indirect administrative costs due to varying amounts of charges varies result in under-recovery of these expenses from different trust funds.

66. Program & Budget Document and PPR do provide a clear reporting on FITs regarding budget utilization and implementation of activities and make clear linkages to WIPO’s overarching SGs, ERs, and KPIs.

Figure 15: RBLAC FITs expenditure and end of year balance in 2014/2015 and 2016



Source: Annex II, Program Performance Report 2015/2014 and 2016 and RBLAC data

67. A detailed FITs report can be found in Annex 6.

68. The evaluation also found limitations in the efficient management of FITs: .

- (a) The 2013 Audit of FITs managed by WIPO indicated that the administration fee of 5 per cent to 13 per cent incurred by WIPO is used to cover for to the time allocated to the administration of those FITs and overheads including accounting and procurement related costs. The evaluation found that the administration fee does not cover the time allocated by the RBLAC in planning, implementation, monitoring and reporting of the FITs. Currently the RBLAC dedicates 50 per cent of a P4 post to the management of the FITs.
- (b) Donor countries do decided on the themes, dates, and venues for each of the activities financed by the FITs. Consequently, the RBLAC has limited decision power over FITs resources; as a result, FITs budgets are continuously underutilized and implementation is not timely.



(c) Donors' conditionality and earmark funding leads to uneven investment across LAC Member States. This is the case of the Spanish FIT which is earmark for certain countries only or the FITs resources from Mexico and Uruguay are used to financed activities in the same donor country. Consequently, at times countries question the criteria applied for investment.

(d) MoUs agreement clauses do greatly vary and guidelines with a minimum set of uniform clauses to be applied in the MoUs is not being consistently applied. The 2013 audit of FITs, recommended the organization prepare guidelines for the inclusion of a minimum set of uniform clauses in Funds-in-Trust MoU to help protect the Organization against third party risks and enhance the consistency of MoUs documentation. Some donors such as Spain have included a more detailed plans of activities as part of their MoU this allows better utilization of resources. These practice needs to be replicated in other funds.

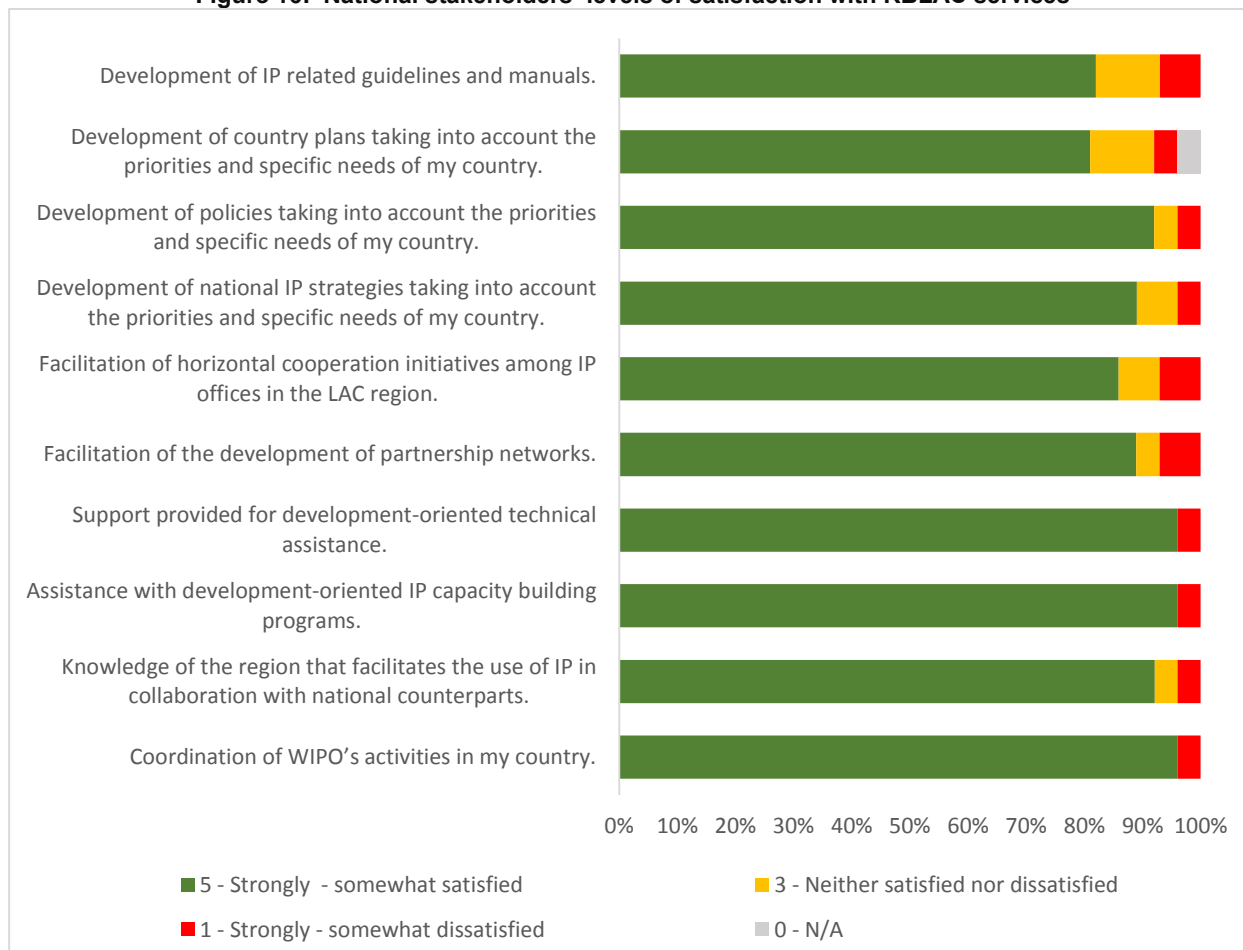
69. While the FITs resources do contribute to the implementation of the LAC work plan and consequently to the achievement of WIPO's SGs, it is crucial that the management of FITs do not create an unnecessary administrative burden to an office that has to manage major priorities with limited resources. Current donor's requirements might be reducing the administrative efficiency of the RBLAC.

**Conclusion 10:** While the FITs resources are essential for the development work undertaken by the RBLAC, donors' conditionality and earmarking of funds have limited the efficient used of these resources. (Linked to Finding 10, Recommendation 5)

(iv) Coordination and collaboration within and outside WIPO

70. As indicated in the RBLAC mandate, the RBLAC is responsible for providing technical assistance and capacity building programs to the 33 WIPO Member States from the LAC Region. These activities are provided in close cooperation with relevant sectors within WIPO and national stakeholders. Survey results indicated that between 80 and 96 per cent of consulted stakeholders are strongly to somewhat satisfied with the services provided by the RBLAC, as presented in Figure 16 below.

**Figure 16: National stakeholders' levels of satisfaction with RBLAC services**



Source: National stakeholders survey results, IOD Evaluation Section

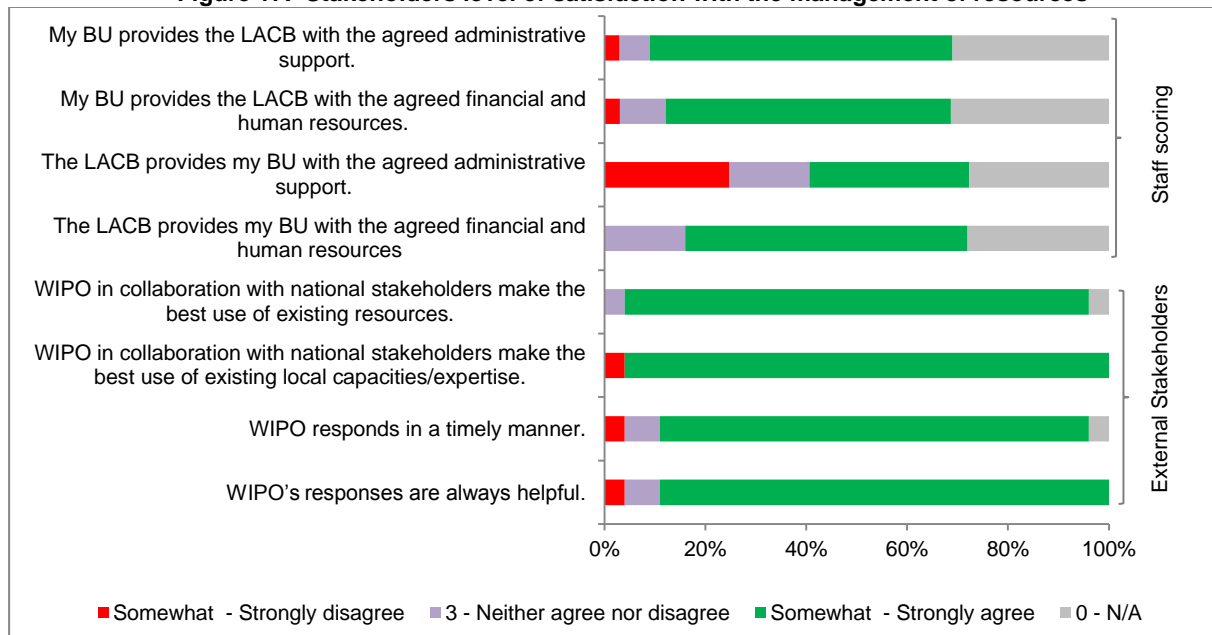
71. The formal coordination mechanism is the RBLAC work plan, which is prepared in collaboration with the relevant Business Units within WIPO and the national stakeholders. While external stakeholders appreciate existing informal channels of communication, they were of the consensus that there is a need for introducing some formal communication reporting mechanism. This could be two meetings a year, one for planning, and another one for reporting on results by country and region. Also, the evaluation found the following:

- (a) More than 56 per cent of consulted staff are satisfied with the internal coordination regarding agreed financial and human resources;
- (b) About 34 of internal survey respondents are familiar with the RBLAC annual work plan process and 31 per cent indicated that the process has improved in the last two years;
- (c) More than 92 per cent of consulted external stakeholders are satisfied with the RBLAC management of resources, use of local capacity/expertise; and

(d) More than 85 per cent find WIPO’s responses to their queries timely and useful.

72. Detailed survey results can be found in Annex III and IV.

**Figure 17: Stakeholders level of satisfaction with the management of resources**



Source: National stakeholders survey results, IOD Evaluation Section

**Conclusion 11:** While majority of national stakeholders are satisfied with the RBLAC services, WIPO’s internal collaboration and coordination levels could be further improved in order to make better use of existing limited resources and improve internal collaboration. (Linked to Finding 11, Recommendation 3)

### 3. RECOMMENDATIONS

#### Recommendations

1. The RBLAC should ensure that gender component is a factor in activities where the gender component could have an impact and include gender sensitive indicators in RBLAC RBF in coherence with WIPO corporate gender policy.
2. The RBLAC should institutionalize response capacity by establishing protocols and procedures for communication and response to demands/requests from the countries.
3. The RBLAC in collaboration, whenever possible, with the Program Performance and Budget Division and Member States should systematize existing work planning, results framework and monitoring system.
4. The RBLAC should establish a clear knowledge management strategy.
5. The Development Sector should establish basic criteria for budget and transfer good practices from other FITs when reviewing, in collaboration with the donors, existing contractual conditions for FITs to ensure efficient utilization of resources.

#### ACKNOWLEDGMENT

*IOD wishes to thank all relevant WIPO staff and stakeholders for their assistance, cooperation and interest during this evaluation.*

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Approved by: Mr. Rajesh Singh, Director, Internal Oversight Division.

#### 4. TABLE OF RECOMMENDATIONS

No	Recommendations	Priority	Person(s) Responsible	Management Comments and Action Plan	Deadline
1.	<p>The RBLAC should ensure that the gender component is a factor in activities where could have an impact and include gender sensitive indicators in RBLAC RBF in coherence with WIPO corporate gender policy.</p> <p>Closing criteria:</p> <ul style="list-style-type: none"> <li>(i) RBLAC work plan integrates gender components</li> <li>(ii) RBLAC RBF document includes gender sensitive performance indicators</li> </ul>	<b>Medium</b>	<p><b>HR Gender Focal Point</b></p> <p><b>Amorim-Borher</b></p> <p><b>Gironés</b></p> <p><b>Simpson</b></p> <p><b>Chávez Prado</b></p> <p><b>Budget Division (as it regards to criteria (ii))</b></p>		<b>December 2019</b>
2.	<p>The RBLAC should institutionalize response capacity by establishing protocols and procedures for communication and response to demands/requests from the countries. (Priority Medium)</p> <p>Closing criteria:</p> <ul style="list-style-type: none"> <li>(i) Written protocols and procedures for communication and response to demands/ request from the countries</li> </ul>	<b>Medium</b>	<p><b>Amorim-Borher</b></p> <p><b>Gironés</b></p> <p><b>Vincenti</b></p> <p><b>Chávez Prado</b></p> <p><b>Vila</b></p>		<b>December 2019</b>

No	Recommendations	Priority	Person(s) Responsible	Management Comments and Action Plan	Deadline
3.	<p>The RBLAC in collaboration, whenever possible, with the Program Performance and Budget Division and Member States should systematize existing work planning, results framework and monitoring system.</p> <p>Closing criteria:</p> <ul style="list-style-type: none"> <li>(i) Develop monitoring data base with documented maps of key stakeholders validated with the countries, and baseline and regional data disaggregated by country and gender.</li> <li>(ii) Planned activities should include monitoring and continuity plans agreed with Member States. Responsibilities for monitoring should be specified in the plans.</li> <li>(iii) RBLAC refined indicators (fulfilling SMART criteria) are included in a monitoring data base and are better aligned with ERs and MTSP.</li> <li>(iv) Documented basic planning process principles have been shared with Member States and agreed standardized RBLAC work plans include specific dates, roles, responsibilities, expected results, as well as continuity strategy and plans.</li> <li>(v) Meeting notes from formalized meetings to present the work plan and progress monitoring reports and results by country with Member States.</li> </ul>	<b>High</b>	<p><b>Amorim-Borher</b></p> <p><b>Gironés</b></p> <p><b>Fernández Rivas</b></p> <p><b>Chávez Prado</b></p> <p><b>Budget Division</b></p>		<b>February 2019</b>

No	Recommendations	Priority	Person(s) Responsible	Management Comments and Action Plan	Deadline
4.	<p>The RBLAC should establish a clear knowledge management strategy.</p> <p>Closing criteria:</p> <ul style="list-style-type: none"> <li>(i) Strategy includes key stakeholders</li> <li>(ii) Systematized records of supply and demand of knowledge in the region, good practices, and network of experts available to countries.</li> </ul>	<b>Medium</b>	<p><b>Amorim-Borher</b></p> <p><b>Gironés</b></p> <p><b>Simpson</b></p> <p><b>Regis</b></p> <p><b>Chávez Prado</b></p>		<b>December 2019</b>
5.	<p>The Development Sector should establish basic criteria for budget and transfer good practices from other FITs when reviewing, in collaboration with the donors, existing contractual conditions for FITs to ensure efficient utilization of resources.</p> <p>Closing criteria:</p> <ul style="list-style-type: none"> <li>(i) Written documented criteria and documentation that Member States have been informed as part of the planning process of the criteria</li> <li>(ii) FITs contractual agreements should include annual/ biennial donors' action plans and reporting requirements for FITs, as well as indication of the percentage of resources allocated to the RBLAC for the management of FITs.</li> </ul>	<b>High</b>	<p><b>Amorim-Borher</b></p> <p><b>Gironés</b></p> <p><b>Fernández Rivas</b></p> <p><b>Guizar</b></p> <p><b>Chávez Prado</b></p> <p><b>Vila</b></p>		<b>February 2019</b>

**ANNEXES**

<b>Annex I.</b>	OVERVIEW OF FINDING, CONCLUSIONS, AND RECOMMENDATIONS
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<b>Annex III.</b>	LAC MEMBER STATE SURVEY DATA ANALYSIS
<b>Annex IV.</b>	LAC WIPO STAFF SURVEY DATA ANALYSIS
<b>Annex V.</b>	FUNDS IN TRUST REPORTS FROM THE PPR 2014/15 AND 2016
<b>Annex VI.</b>	FITS STRATEGIC FRAMEWORK
<b>Annex VII.</b>	RBLAC WORK PLAN 2017
<b>Annex VIII.</b>	RESULTS-BASED FRAMEWORK – RBLAC 2014-2019
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<b>Annex X.</b>	RISK, LIMITATIONS AND MITIGATION STRATEGIES
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[Annexes follow]



**ANNEX I: OVERVIEW OF FINDING, CONCLUSIONS, AND RECOMMENDATIONS**

FINDINGS	CONCLUSIONS	RECOMMENDATIONS
<b>RELEVANCE</b>		
<p>Finding 1: The RBLAC services and activities are considered relevant and bring added value to the countries it serves. The process of consultation between member states and WIPO has improved in quality (structure) and quantity, especially since 2016. Country interventions are clearly within WIPO’s mandate and congruent with its Strategic Planning.</p>	<p>Conclusion 1: The introduction of work plans with more inclusive planning processes, has resulted in a positive perception among stakeholders about the services provided by WIPO. However, the absence of clearly defined criteria for prioritizing activities could create a negative effect on the existing positive perceptions among stakeholders</p>	<p>Link to recommendation number 3.</p>
<p>Finding 2: The evaluation has found that while there is a WIPO gender policy, there is no specific strategy to implement it at regional or country level</p>	<p>Conclusion 2: While WIPO is already working towards raising awareness in regards to Gender Equality and IP, the absence of a clearly defined Gender strategy and plan might limit participation.</p>	<p>Recommendation 1: The RBLAC should ensure that gender component is a factor in activities where the gender component could have an impact and include gender sensitive indicators in RBLAC RBF in coherence with WIPO corporate gender policy.</p>
<p>Finding 3: Overall, the responsiveness of the regional office is highly satisfactory but is based on management practices that are not codified and could therefore be lost when managerial changes occur.</p>	<p>Conclusion 3: According to the triangulated sources of information, responsiveness has improved in recent years, due to the evolution of the office and new management practices The RBLAC managerial practices have evolved over the years but good practices seem to be linked to individual’s management styles. Some of these good practices might be lost if not institutionalized.</p>	<p>Recommendation 2: The RBLAC should institutionalize response capacity by establishing protocols and procedures for communication and response to demands/requests from the countries. (Priority Medium)</p>
<b>EFFECTIVENESS</b>		
<p>Finding 4: The RBLAC’s activities have delivered clear contributions to the achievement of WIPO Strategic Goals I, II, III, and IV as measured by Key Performance Indicators</p>	<p>Conclusion 4: Having indicators misaligned with ERs and indicators for which the RBLAC is not directly responsible for the delivery, risks in some cases misrepresenting results and</p>	<p>Recommendation 3: The RBLAC in collaboration, whenever possible, with the Program Performance and Budget Division and Member States should systematize existing work planning, results</p>

FINDINGS	CONCLUSIONS	RECOMMENTATIONS
(KPIs). Overall, indicators are well aligned with Expected Results. However, the evaluation found that the RBLAC has to report against some indicators for which they are not directly responsible and in others cases they are underreporting results.	underreporting on the effectiveness of the RBLAC activities.	framework and monitoring system.
Finding 5: The evaluation found that currently there is no systematic and coherent monitoring framework for measuring the effectiveness of capacity building activities, as well as follow-up and continuity plan. Furthermore, complete monitoring data disaggregated by country was not available within the Organization	Conclusion 5: The current lack of systematic and easily accessible monitoring and evaluation of RBLAC activities couple with the absence of follow up, monitoring and continuity plans agreed with Member States makes it difficult to react to increasing stakeholders' demands for information and evaluate their effectiveness. Moreover it limits the extent to which evidence-based data can be used for program management and planning decisions.	
Finding 6: follow-up and progress reports are primarily conducted through e-mail, phone calls and instant messenger channels.	Conclusion 6: The RBLAC's existing communications channels with Member States are insufficient to measure results for effective monitoring and evaluation.	
Finding 7: There is evidence that good IP practices have been replicated in the region, for example: regular ministerial meetings from Caribbean and Central America Countries, key meetings between the IP offices heads, policy makers and other key stakeholders. However, existing recording/registry evidence is scarce and knowledge sharing is discretionary within the Region.	Conclusion 7: The absence of a systematic approach to knowledge sharing limits the exchange of information and good-practices.	Recommendation 4: The RBLAC should establish a clear knowledge management strategy.
Finding 8: There was only one gender activity implemented during the	Conclusion 8: Even though gender perspectives are cross cutting and should be	Link to Recommendation 1

FINDINGS	CONCLUSIONS	RECOMMENTATIONS
<p>period of the evaluation. So far, no formal follow-up has been done on this activity and gender sensitive indicators are absent in existing RBLAC RBF. (Linked Conclusion 8, Recommendation</p>	<p>reflected in all activities implemented by the RBLAC in order to increase women participation and contribute to reducing existing gender gap on IP, currently these are underrepresented in existing work plans and RBF</p>	
<b>EFFICIENCY</b>		
<p>Finding 9: The RBLAC resource utilization is synchronized with WIPO's strategic priorities. However, there is a lack of clarity about criteria for budgetary allocation among the Bureaus.</p>	<p>Conclusion 9: While the RBLAC resources are managed in synchronization with WIPO's strategic goals and results, resources allocation within the Development Sector are insufficiently linked to the results achievements of the Bureaus; and contexts, needs, and levels of development of the countries and regions.</p>	<p>Recommendation 5: The Development Sector should establish basic criteria for budget and transfer good practices from other FITs when reviewing, in collaboration with the donors, existing contractual conditions for FITs to ensure efficient utilization of resources.</p>
<p>Finding 10: FITs account to approx. 21 per cent of the total RBLAC budget. Utilization of the FITs is at the discretion of the donors limiting the decision making power of the FITs resources, which has resulted in a continuous underutilization of resources. About 50 per cent of a P4 post are utilized to managed the FITs.</p>	<p>Conclusion 10: While the FITs resources are essential for the development work undertaken by the RBLAC, donors' conditionality and earmarking of funds have limited the efficient used of these resources. .</p>	
<p>Finding 11: 56 per cent of staff are satisfied with the RBLAC internal coordination and between 85 and 92 per cent of national stakeholders are satisfied with the RBLAC management of resources, use of local capacity/expertise, timeliness and usefulness of responses</p>	<p>Conclusion 11: While national stakeholders are in its majority satisfied with the RBLAC services, WIPO's internal collaboration and coordination levels could be further improved in order to make better use of existing limited resources.</p>	<p>Link to recommendation 3</p>

**ANNEX II: COUNTRY CASE STUDIES****MEXICO**

Mexico is a leading country in intellectual property issues. In the last ten years, it has gone from 1,173 patent applications in 2007 to 2,403 in 2016, and trademark applications have increased from 65,963 to 115,940. At the global level, it is ranked 11th, and at the regional level, it is in the first five places.

Mexico has agreements with different countries in the world, including Korea, the United States, Japan, China and the European patent office. In total, it has 43 memorandums of understanding.

The Mexican Institute of Industrial Property (IMPI) has more than 1,000 staff and is an ally of WIPO in the region because it receives and offers cooperation; It is a technical assistance beneficiary country, that also sends expert missions to support other countries in Latin America and the Caribbean

Mexico establishes a cooperation agreement with the regional office for Latin America and the Caribbean, renewed every three years, and an annual work plan is also defined where the main activities are coordinated during the year.

During the field visit, it was noticed that the levels of satisfaction with WIPO and its support are high. The sources of information highlight the openness that WIPO has to discuss the needs of the country and the corresponding work plan. The Country considered that WIPO's support, generated a culture of protection of intellectual property, although there is still a lot of work to be done; there is greater assistance to intellectual property events by the private and public sector, there is greater involvement of the entities and greater concern for compliance with the rules. The issue goes beyond IPOs and has become inter-sectoral by including topics such as exports, customs, entrepreneurship, development, and enforcement. Also, the quality and scope of the meetings at the national and regional level have improved because the meetings are no longer descriptive or informative, but include more analysis and transfer of good practices.

The training has a positive result in Mexico, where the number of people registered has been multiplied (e.g., The DL101 course was taken by 2.500 people in 2014 in 2017 the number of participants was 5.000), there are 36 Mexican tutors and 11 editions of the summer course that receives students from all over the world.

Among the country's challenges are the approach to the private sector, the dissemination and awareness of key actors in the judicial sector, and the commercialization of patent

The sources of information highlighted the rapid response to requests of WIPO regional office, good feedback, knowledge of the region and institutions in the countries. They also mentioned that the exchange with other countries of the region is promoted, but, the exchange with countries from other regions is essential due to the level of progress in Mexico. (Turkey, New Zealand, etc.)

Within the recommendations for WIPO, the sources consulted in Mexico consider that it would be useful to know the work program and the expected results in the country, to monitor progress and commitments, and to share good practices and ideas from other countries.

## COLOMBIA

Colombia is a leading country in intellectual property issues, with a very positive recent evolution. In the last ten years, it has gone from 203 patent applications in 2007 to 741 in 2016, and trademark applications have increased from 17,769 to 22,129. Globally, it is ranked 29th, and at the regional level, it is in the first five positions, managing to surpass Mexico in the number of patents per 100,000 inhabitants. Colombia has not only increased the number of trademarks and patents, but has led to decentralize IP management with computer systems, and through inter-institutional agreements (multidisciplinary work). Unlike other countries, it has an Inter-Sectoral Commission on Intellectual Property that allows the exchange of information and the coordination of the interests of the nation in Intellectual Property with the participation of the main Ministries, giving strength in the execution of the programs, decisions, consultations.

Colombia has agreements with different key players, among which stand out: Spanish Patent and Trademark Office (OEPM), United States Patent and Trademark Office, Japanese Patent Office, Korean Intellectual Property Office (KIPO), Swiss Federal Institute of Intellectual Property, IMPI, National Center of Registries of Salvador, Ecuadorian Institute of Intellectual Property, Intellectual Property Office of the European Union, EPO, International Trademark Association, WIPO.

Colombia has been a very dynamic country, with a high participation in all regional initiatives that have taken place in Latin America during the recent years: Colombia has been a member of PROSUR (<http://prosur.org/>) since 2009 where 12 other countries participate in the region and has allowed the countries of South America to think about the same lines of action. Specifically, it has been possible to develop the Classifier of Products and Services, Search Engine for brands, patents and industrial designs, Public Domain Search Engine, Accelerated Patent Procedure (PPH), which has been in force since September 2016. Colombia is also part of the Ibero-American Program of Industrial Property (IBEPI) <http://www.ibepi.org/> and the Intellectual Property Technical Group of Alianza del Pacifico. <https://alianzapacifico.net/grupos-tecnicos/>. From these initiatives, the development of Ibero-American societies has been achieved through the strategic use of industrial property in support of public policies, a harmonized list of regionalisms was agreed for the classification of products and services in trademark registration procedures and a signed Accelerated Patent Process PPH, which has been in force since December 2015.

Regarding the results with WIPO, the Superintendence of Industry and Commerce (SIC), has had the opportunity to implement several programs such as the Technology and Innovation Support Centers (CATI) and the Inventor Assistance Program (PAI) which have been made thanks to the direct cooperation with the technical areas of WIPO.

Thanks to the success of both programs in Colombia, the SIC has been invited to replicate its experience on the TISCs in several Latin American countries such as Chile, Peru, and Ecuador, and the SIC was invited in 2017 to Geneva to share the evolution of the PAI program. In Colombia to several countries that have just implemented the program such as the Philippines and Morocco.

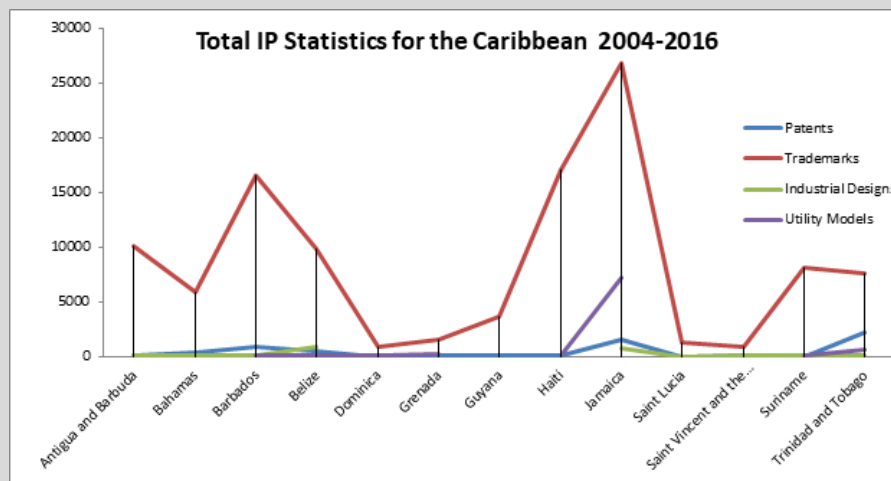
The work with WIPO is guided by a biannual cooperation document that is prepared jointly. There is no annual plan of activities, there is good communication with OMPI on key issues, but sometimes there have been communication difficulties at the operational level (logistical aspects, implementation of events, etc.). From 2014 to 2017, the SIC has developed activities with WIPO to strengthen regional cooperation among LAC countries, training and forums. In the four years (2014-2017), 11 of the 28 activities carried out with WIPO cooperation were carried out through the LAC Office; this is 40 per cent. As a result of these activities, the sources

consulted in Colombia stated that it was possible to strengthen regional cooperation among the LAC countries, trained personnel and contributed to increasing the National IP with economic studies.

One of the main results in the work with WIPO was the IP Directors meeting from of LAC in September 2016, held in Santa Marta-Colombia, in which regional lines of work and priorities were established, although it did lack follow-up by WIPO.

In Colombia, there is a great interest in learning from other experiences in the area of Technology Transfer, for this reason, a request has been made several times to approach the WIPO Asia Pacific Regional Office to access Asian experts and good practices, but the response has been that it is not possible because they are different regions. Likewise, for Colombia, it is essential to know the annual regional agenda to optimize resources and generate synergies.

## TRINIDAD AND TOBAGO



Trinidad and Tobago are one of the IP leading countries in the Caribbean taking into account the number of patents and trademarks. Also, it is important to highlight different achievements:

- ✓ Trinidad & Tobago Intellectual Property Office (TTIPO) national laws are TRIPS compliant,
- ✓ A Draft National IP policy and strategy has been developed and has been submitted to the Executive for approval.
- ✓ TTIPO programs and projects are integrated into the National Development Strategy
- ✓ TTIPO has obtained approval through Technical Assistance from WIPO to establish a National IP Training Centre in Trinidad
- ✓ TTIPO has successfully developed a partnership with the National Institute of Industrial Property (INPI) Chile and the IMPI, Mexico to secure services from these institutions. The RBLAC is facilitating these arrangements.

TTIPO developed a program to strengthen its capabilities to examine patent applications and promote inventiveness. In this context, it sought Technical Assistance/Support from WIPO, INPI, and IMPI. The results obtained to date have been considered successful by information sources.

WIPO's engagement in national capacity development is relevant and extremely positive. Many of TTIPO's staff members have obtained training provided by WIPO. The WIPO's IP administration computerized system (IPAS) has successfully being operationalized at the TTIPO. In-addition the universities has received training in the teaching and research in the subject of IP and Technology Transfer, creating curricula and training courses of their own.

Most institutions and Government Ministries including schools, Universities, Law Enforcement, Customs, Chambers of Commerce, etc. recognized the contributions from WIPO towards IP development at home. Most initiatives of WIPO had Ministerial approvals to the point that the line Minister is knowledgeable of WIPO's assistance and importance.

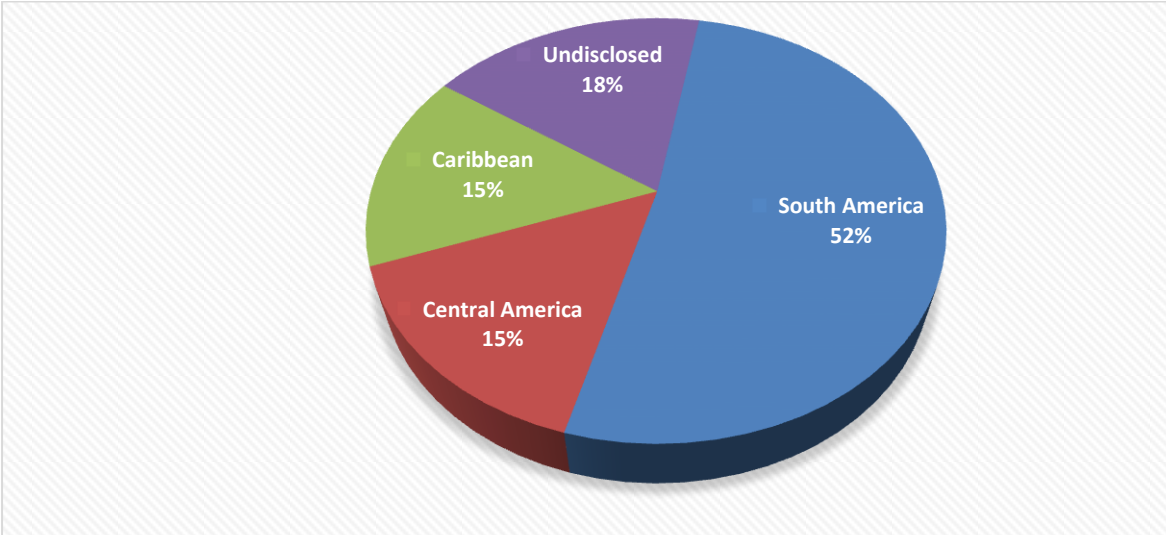
The TTIPO is a unit within the Ministry of the Attorney General and Legal Affairs. Like most public service entity, it has limited human resources and budget. The Public services bureaucracy affects its growth and development. Therefore, the TTIPO is eager of becoming an Executive Agency/Statutory Authority with powers to secure the human resources, strengthen its infrastructure and provide the services required for growth and development and to administer the financial resources from the revenue it generates.

**ANNEX III: LAC MEMBER STATE SURVEY DATA ANALYSIS**

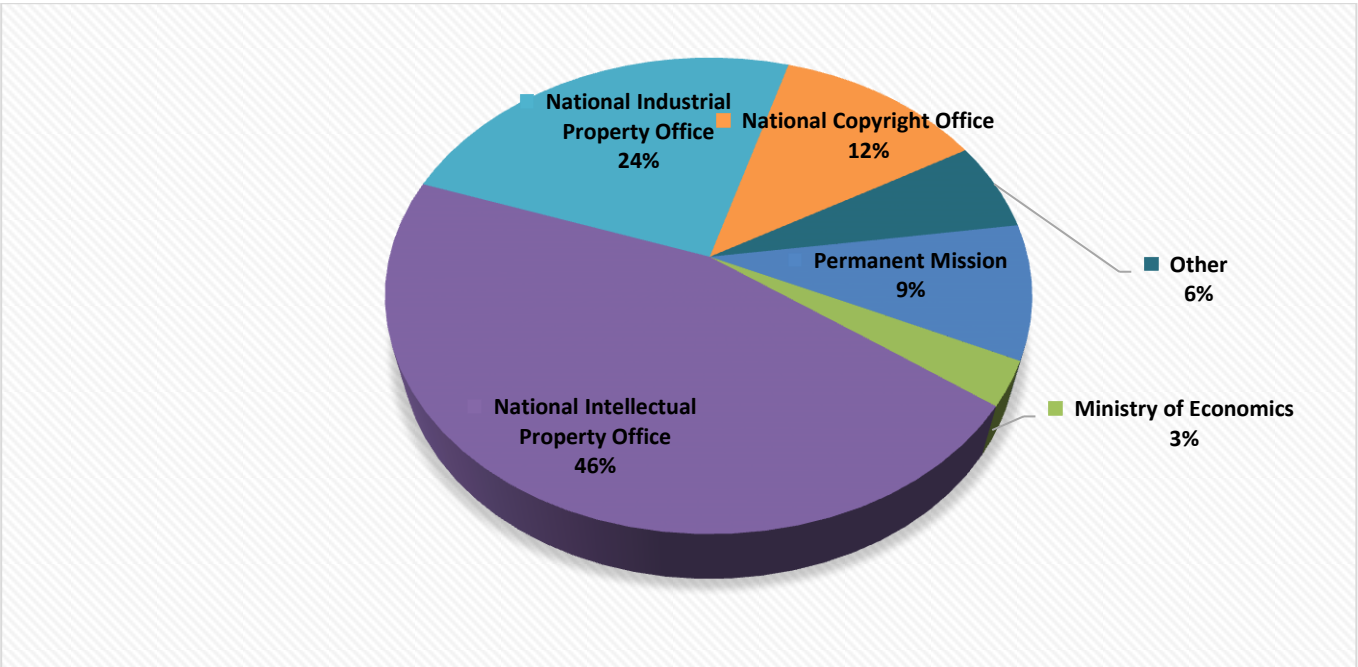
*February 02, 2018*

**REGIONAL BREAKDOWN**

- Total respondents = 33
- 27 respondents gave their country and they came from 20 countries
- 6 people did not disclose their countries

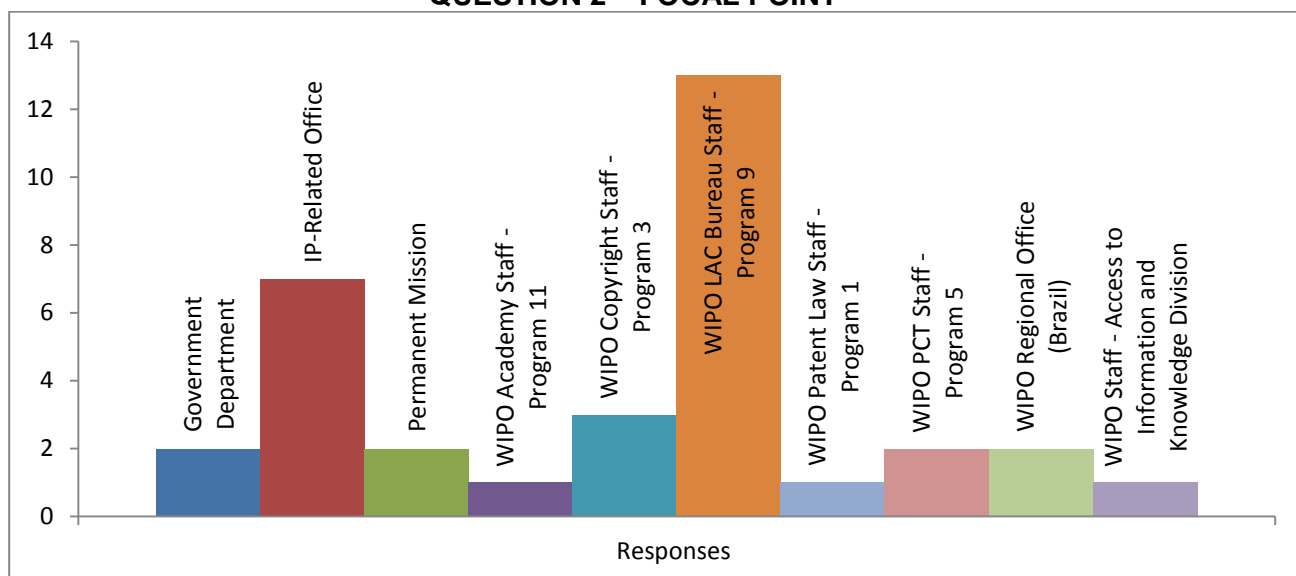


**QUESTION 1 - AFFILIATION**





**QUESTION 2 – FOCAL POINT**



Surveys have been analyzed using heat maps as follows:

HEATMAP		
0-10 %		
10-20 %		
20-30 %		
30-40 %		
40-50 %		
50-60 %		
60-70 %		
70-80 %		
80-90 %		
90-100 %		

**QUESTION 3 - KNOWLEDGE**

<i>On a scale from 1 (strongly disagree) to 5 (strongly agree), how would you rate the following statements: *</i>	0 - N/A	1 - Strongly disagree	2 - Somewhat disagree	3 - Neither agree nor disagree	4 - Somewhat agree	5 - Strongly Agree	Weighted Average Score*
WIPO's activities address my country's key needs and priorities.	0 %	3 %	3 %	0 %	40 %	53 %	4.37
WIPO adequately consults relevant stakeholders to define activities in my country.	3 %	3 %	3 %	13 %	27 %	50 %	4.07
WIPO's activities add value to my country.	0 %	3 %	0 %	0 %	33 %	63 %	4.53

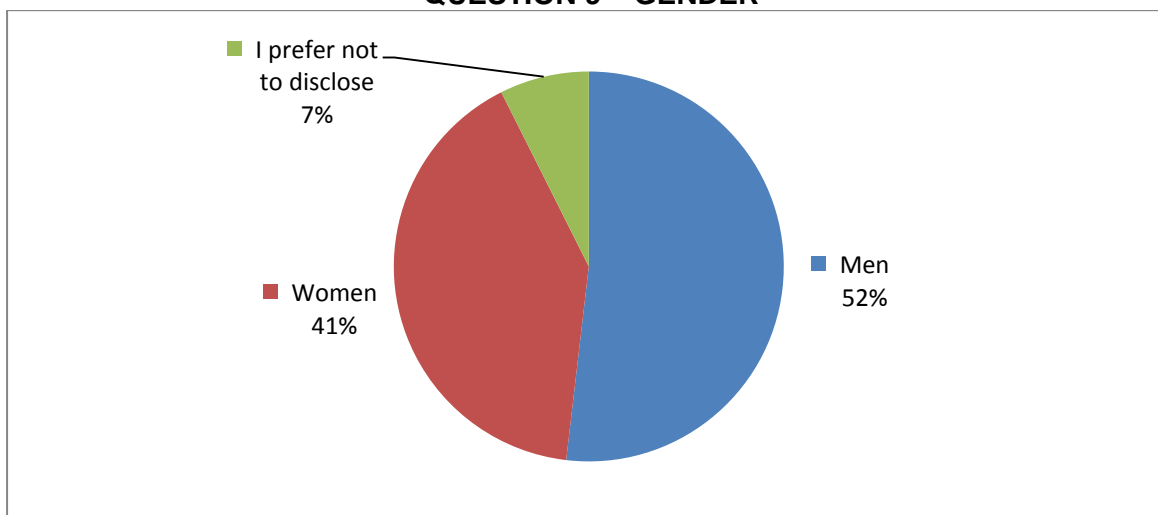
<b>QUESTION 3 - KNOWLEDGE</b>							
<i>On a scale from 1 (strongly disagree) to 5 (strongly agree), how would you rate the following statements: *</i>	0 - N/A	1 - Strongly disagree	2 - Somewhat disagree	3 - Neither agree nor disagree	4 - Somewhat agree	5 - Strongly Agree	Weighted Average Score*
WIPO is very much involved in the activities of my country.	0 %	3 %	0 %	3 %	33 %	60 %	4.47
I am very familiar with WIPO's activities in my country.	0 %	3 %	0 %	0 %	30 %	67 %	4.57
*Weighted Average Score is calculated by first assigning numeric values to response choices (N/A = 0, Strongly disagree = 1, Somewhat disagree = 2, Neutral = 3, Somewhat agree = 4, Strongly agree = 5), then calculating (weighting) the overall average according to the number/frequency of responses to each choice.							
*Total Respondents = 30, Total Respondents Skipped = 3							

<b>QUESTION 4 – SERVICES</b>							
<i>On a scale from 1 (strongly dissatisfied) to 5 (strongly satisfied), how would you rate the following services offered by WIPO: *</i>	0 - N/A	1 - Strongly dissatisfied	2 - Somewhat dissatisfied	3 - Neither satisfied nor dissatisfied	4 - Somewhat satisfied	5 - Strongly satisfied	Weighted Average Score*
Coordination of WIPO's activities in my country.	0 %	0 %	4 %	0 %	48 %	48 %	4.41
Knowledge of the region that facilitates the use of IP in collaboration with national counterparts.	0 %	0 %	4 %	4 %	56 %	37 %	4.26
Assistance with development-oriented IP capacity building programs.	0 %	0 %	4 %	0 %	37 %	59 %	4.52
Support provided for development-oriented technical assistance.	0 %	0 %	4 %	0 %	48 %	48 %	4.41
Facilitation of the development of partnership networks.	0 %	0 %	7 %	4 %	44 %	44 %	4.26
Facilitation of horizontal cooperation initiatives among IP offices in the LAC region.	0 %	0 %	7 %	7 %	41 %	44 %	4.22
Development of national IP strategies taking into account the priorities and specific needs of my country.	0 %	0 %	4 %	7 %	41 %	48 %	4.33
Development of policies taking into account the priorities and specific needs of my country.	0 %	0 %	4 %	4 %	48 %	44 %	4.33
Development of country plans taking into account the priorities and specific needs of my country.	4 %	0 %	4 %	11 %	33 %	48 %	4.15
Development of IP related guidelines and manuals.	0 %	0 %	7 %	11 %	41 %	41 %	4.15
*Weighted Average Score is calculated by first assigning numeric values to response choices (N/A = 0, Strongly disagree = 1, Somewhat disagree = 2, Neutral = 3, Somewhat agree = 4, Strongly agree = 5), then calculating (weighting) the overall average according to the number/frequency of responses to each choice.							
*Total Responses = 27, Total Skipped = 6							

**QUESTION 5 – SATISFACTION**

<i>On a scale from 1 (strongly disagree) to 5 (strongly agree), how would you rate the following statements: *</i>	0 - N/A	1 - Strongly disagree	2 - Somewhat disagree	3 - Neither agree nor disagree	4 - Somewhat agree	5 - Strongly Agree	Weighted Average Score*
WIPO's responses are always helpful.	0 %	0 %	4 %	7 %	37 %	52 %	4.13
WIPO responds in a timely manner.	4 %	0 %	4 %	7 %	44 %	41 %	4.57
WIPO in collaboration with national stakeholders make the best use of existing local capacities/expertise.	0 %	4 %	0 %	0 %	52 %	44 %	4.70
WIPO in collaboration with national stakeholders make the best use of existing resources.	4 %	0 %	0 %	4 %	44 %	48 %	4.37
WIPO in collaboration with national stakeholders make efforts to reach relevant stakeholders of the IP system.	0 %	0 %	4 %	4 %	30 %	63 %	3.5
*Weighted Average Score is calculated by first assigning numeric values to response choices (N/A = 0, Strongly disagree = 1, Somewhat disagree = 2, Neutral = 3, Somewhat agree = 4, Strongly agree = 5), then calculating (weighting) the overall average according to the number/frequency of responses to each choice.							
*Total Respondents = 27, Total Skipped = 6							

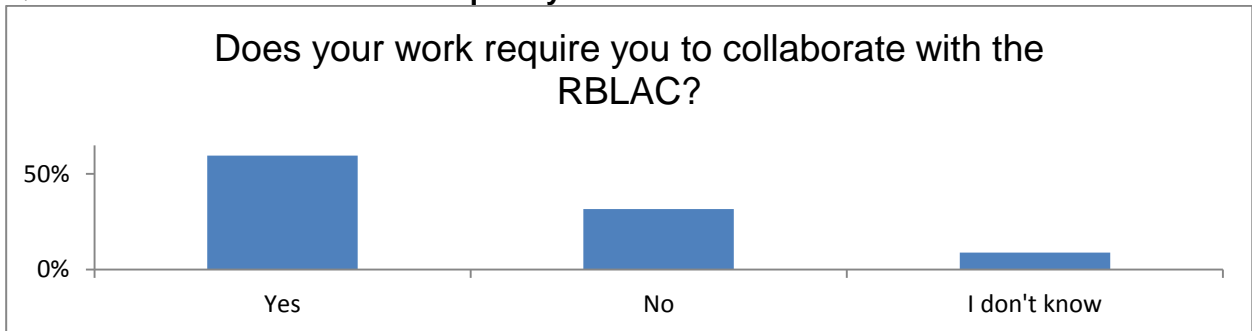
**QUESTION 9 – GENDER**



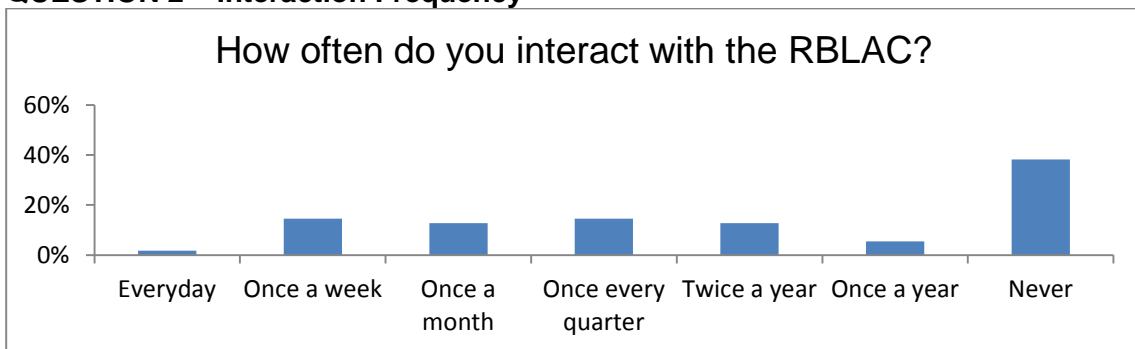
**ANNEX IV: LAC WIPO STAFF SURVEY DATA ANALYSIS**

*February 06, 2018*

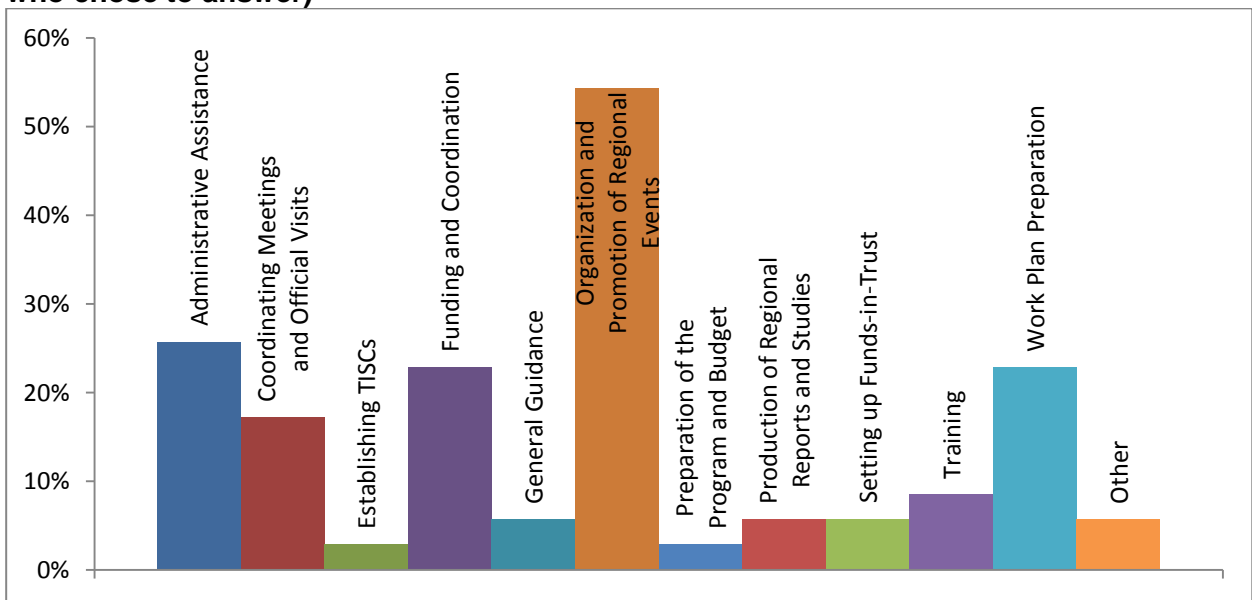
**QUESTION 1 – Collaboration Frequency**



**QUESTION 2 – Interaction Frequency**



**QUESTION 3 – Types of Collaboration (responses below are only from 35 respondents who chose to answer)**



**QUESTION 4: RBLAC knowledge of the region**

<i>On a scale from 1 (strongly disagree) to 5 (strongly agree), how would you rate the following statements: *</i>	0 - N/A	1 - Strongly disagree	2 - Somewhat disagree	3 - Neither agree nor disagree	4 - Somewhat agree	5 - Strongly Agree	Weighted Average Score*
I am familiar with the RBLAC's mandate.	5 %	3 %	3 %	3 %	39 %	47 %	4.33
I am very familiar with the RBLAC's activities in the region.	5 %	5 %	8 %	21 %	42 %	18 %	3.64
There is good alignment of activities between my Program/Sector and the RBLAC.	11 %	3 %	5 %	18 %	42 %	21 %	3.82
The RBLAC understands the needs of the countries in the LAC region.	8 %	3 %	0 %	16 %	16 %	58 %	4.37
The RBLAC has sufficient knowledge and expertise about the region.	5 %	3 %	3 %	8 %	21 %	61 %	4.42
*Weighted Average Score is calculated by first assigning numeric values to response choices (N/A = 0, Strongly disagree = 1, Somewhat disagree = 2, Neutral = 3, Somewhat agree = 4, Strongly agree = 5), then calculating (weighting) the overall average according to the number/frequency of responses to each choice.							
*Total Respondents = 38, Total Respondents Skipped = 19							

**QUESTION 5: RBLAC knowledge of the region**

<i>On a scale from 1 (strongly disagree) to 5 (strongly agree), how would you rate the following statements: *</i>	0 - N/A	1 - Strongly disagree	2 - Somewhat disagree	3 - Neither agree nor disagree	4 - Somewhat agree	5 - Strongly Agree	Weighted Average Score*
The RBLAC meets with my Program/Sector to jointly plan the activities for the LAC region.	17 %	6 %	3 %	9 %	17 %	49 %	4.21
In the last 2 years, I have seen continuous improvements in the way coordination meetings are done.	23 %	3 %	11 %	14 %	26 %	23 %	3.7
I am very familiar with the RBLAC's annual Work Plan process.	17 %	6 %	11 %	31 %	23 %	11 %	3.28
In the last 2 years, the process of establishing the annual Work Plan has improved.	31 %	0 %	0 %	23 %	23 %	23 %	4
In the last 2 years, communication during the annual Work Plan process has improved.	34 %	0 %	0 %	34 %	17 %	14 %	3.7
For requests from LAC countries made directly to my business unit, we inform and coordinate with the RBLAC in a timely manner.	17 %	6 %	0 %	11 %	26 %	40 %	4.14
Activities agreed between the RBLAC and my business unit are always embedded in my annual Work Plan.	23 %	3 %	0 %	14 %	31 %	29 %	4.07
*Weighted Average Score is calculated by first assigning numeric values to response choices (N/A = 0, Strongly disagree = 1, Somewhat disagree = 2, Neutral = 3, Somewhat agree = 4, Strongly agree = 5), then calculating (weighting) the overall average according to the number/frequency of responses to each choice.							
*Total Respondents = 35, Total Respondents Skipped = 22							

**QUESTION 6 – COLLABOARTION**

<i>On a scale from 1 (strongly disagree) to 5 (strongly agree), how would you rate the following statements: *</i>	0 - N/A	1 - Strongly disagree	2 - Somewhat disagree	3 - Neither agree nor disagree	4 - Somewhat agree	5 - Strongly Agree	Weighted Average Score *
In joint activities in the region (between the RBLAC and my Program/Sector), the RBLAC provides my business unit with the agreed financial and human resources.	28 %	0 %	0 %	16 %	22 %	34 %	4.26
In joint activities in the region (between the RBLAC and my Program/Sector), the RBLAC provides my business unit with the agreed administrative support.	28 %	3 %	22 %	16 %	16 %	16 %	3.26
In joint activities in the region (between the RBLAC and my Program/Sector), my business unit provides the RBLAC with the agreed financial and human resources.	31 %	3 %	0 %	9 %	9 %	47 %	4.41
In joint activities in the region (between the RBLAC and my Program/Sector), my business unit provides the RBLAC with the agreed administrative support.	31 %	3 %	0 %	6 %	13 %	47 %	4.45
During implementation, I keep the RBLAC updated on the progress of the activities.	31 %	0 %	0 %	6 %	19 %	44 %	4.55
I provide the RBLAC with an activity implementation report/mission report after implementation.	34 %	0 %	0 %	3 %	16 %	47 %	4.67
*Weighted Average Score is calculated by first assigning numeric values to response choices (N/A = 0, Strongly disagree = 1, Somewhat disagree = 2, Neutral = 3, Somewhat agree = 4, Strongly agree = 5), then calculating (weighting) the overall average according to the number/frequency of responses to each choice.							
*Total Respondents = 32, Total Respondents Skipped = 25							

**QUESTION 7 – TIMLINESS**

<i>On a scale from 1 (strongly disagree) to 5 (strongly agree), how would you rate the following statements: *</i>	0 - N/A	1 - Strongly disagree	2 - Somewhat disagree	3 - Neither agree nor disagree	4 - Somewhat agree	5 - Strongly Agree	Weighted Average Score*
The RBLAC is the primary interface between my Program/Sector and Member States in the region.	19 %	9 %	3 %	22 %	28 %	19 %	3.54
Requests from Member States almost always come through the RBLAC.	13 %	9 %	13 %	31 %	28 %	6 %	3.11
Relevant information about the LAC region is easily accessible at WIPO.	9 %	0 %	9 %	38 %	25 %	19 %	3.59
The RBLAC responds to our inquiries in a timely manner.	9 %	3 %	3 %	19 %	34 %	31 %	3.97
Information provided by the RBLAC is accurate.	6 %	3 %	0 %	16 %	34 %	41 %	4.17

<i>On a scale from 1 (strongly disagree) to 5 (strongly agree), how would you rate the following statements: *</i>	0 - N/A	1 - Strongly disagree	2 - Somewhat disagree	3 - Neither agree nor disagree	4 - Somewhat agree	5 - Strongly Agree	Weighted Average Score*
The RBLAC facilitates the communication between Member States and our Program.	13 %	3 %	3 %	13 %	31 %	38 %	4.11
The RBLAC is transparent in its communications.	9 %	3 %	0 %	28 %	25 %	34 %	3.97
*Weighted Average Score is calculated by first assigning numeric values to response choices (N/A = 0, Strongly disagree = 1, Somewhat disagree = 2, Neutral = 3, Somewhat agree = 4, Strongly agree = 5), then calculating (weighting) the overall average according to the number/frequency of responses to each choice.							
*Total Respondents = 32, Total Respondents Skipped = 25							

**QUESTION 8 – COORDINATION**

<i>On a scale from 1 (strongly disagree) to 5 (strongly agree), how would you rate the following statements: *</i>	0 - N/A	1 - Strongly disagree	2 - Somewhat disagree	3 - Neither agree nor disagree	4 - Somewhat agree	5 - Strongly Agree	Weighted Average Score *
I am satisfied with the level of coordination between my Program/Sector and the RBLAC.	10 %	3 %	3 %	20 %	30 %	33 %	3.96
I am informed by the RBLAC in a timely manner about areas of potential collaboration.	17 %	3 %	3 %	17 %	33 %	27 %	3.92
The RBLAC makes sufficient effort to get the views and ideas of our Program/Sector.	17 %	3 %	3 %	17 %	27 %	33 %	4
The RBLAC has an inclusive approach to all internal WIPO stakeholders.	30 %	0 %	3 %	13 %	30 %	23 %	4.05
The RBLAC eliminates organizational barriers to getting work done.	27 %	3 %	10 %	17 %	23 %	20 %	3.64
I saved a substantial amount of time by working with the RBLAC in my work with the LAC Region.	30 %	3 %	7 %	23 %	17 %	20 %	3.62
The RBLAC encourages teamwork and learning.	27 %	0 %	7 %	27 %	13 %	27 %	3.82
*Weighted Average Score is calculated by first assigning numeric values to response choices (N/A = 0, Strongly disagree = 1, Somewhat disagree = 2, Neutral = 3, Somewhat agree = 4, Strongly agree = 5), then calculating (weighting) the overall average according to the number/frequency of responses to each choice.							
*Total Respondents = 30, Total Respondents Skipped = 27							

**QUESTION 9 – TRUST**

<i>On a scale from 1 (strongly disagree) to 5 (strongly agree), how would you rate the following statements: *</i>	0 - N/A	1 - Strongly disagree	2 - Somewhat disagree	3 - Neither agree nor disagree	4 - Somewhat agree	5 - Strongly Agree	Weighted Average Score *
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I am very positive about the collaboration between my Program and the RBLAC.	7 %	0 %	7 %	17 %	20 %	50 %	4.21
The RBLAC is committed and responsible.	7 %	0 %	3 %	7 %	40 %	43 %	4.32
The RBLAC takes my inputs into account and treats them with respect.	7 %	0 %	7 %	13 %	27 %	47 %	4.21
Having the support of the RBLAC is essential to building and maintaining external stakeholder relationships.	17 %	0 %	3 %	10 %	17 %	53 %	4.44
Based on my experience working with the RBLAC, I would continue to work closely with them in the future.	7 %	0 %	0 %	13 %	20 %	60 %	4.5
*Weighted Average Score is calculated by first assigning numeric values to response choices (N/A = 0, Strongly disagree = 1, Somewhat disagree = 2, Neutral = 3, Somewhat agree = 4, Strongly agree = 5), then calculating (weighting) the overall average according to the number/frequency of responses to each choice.							
*Total Respondents = 30, Total Respondents Skipped = 27							

**QUESTION 10 – INFORMATION SHARING**

<i>On a scale from 1 (strongly disagree) to 5 (strongly agree), how would you rate the following statements: *</i>	0 - N/A	1 - Strongly disagree	2 - Somewhat disagree	3 - Neither agree nor disagree	4 - Somewhat agree	5 - Strongly Agree	Weighted Average Score *
The RBLAC offers constructive feedback.	17 %	3 %	0 %	23 %	33 %	23 %	3.88
The RBLAC informs us in a factual manner about the results of implemented activities in the region.	27 %	3 %	7 %	17 %	30 %	17 %	3.68
My business unit informs the RBLAC in a factual manner about the results of activities implemented by us in the region.	20 %	0 %	0 %	17 %	17 %	47 %	4.38
The RBLAC effectively shares with my business unit good practices resulting from our implemented activities in the region.	20 %	7 %	7 %	23 %	27 %	17 %	3.5
My business unit effectively shares with the RBLAC good practices resulting from our implemented activities in the region.	20 %	0 %	0 %	23 %	23 %	33 %	4.13
*Weighted Average Score is calculated by first assigning numeric values to response choices (N/A = 0, Strongly disagree = 1, Somewhat disagree = 2, Neutral = 3, Somewhat agree = 4, Strongly agree = 5), then calculating (weighting) the overall average according to the number/frequency of responses to each choice.							
*Total Respondents = 30, Total Respondents Skipped = 27							

**Note Q8-10 were lost when excel crashed so the tables are only pasted above and cannot be found in the excel sheet**  
**QUESTION 11 – 17 See excel sheet**



**ANNEX V: FUNDS IN TRUST REPORTS FROM THE PPR 2014/15 AND 2016****FITS PPR 2014/15: IMPLEMENTATION OF FUNDS-IN-TRUST 2014/15**

As part of the efforts to enhance the integration of all activities under the results-based management framework of the Organization, irrespective of the source of funds, this Appendix provides an overview of activities implemented under the WIPO Funds-in-Trust (FITs). At the same time, this report responds to a request by donors for a more comprehensive report on all FITs, including both programmatic and financial information. In order to streamline reporting, the FIT report is an integral part of the PPR, providing an annual view of activities implemented in 2015. The next annual FIT report will be included in the PPR for 2016. This Appendix reports on the FITs listed in the table below and excludes the FITs for Junior Professional

FUND-IN-TRUST	IMPLEMENTING SECTOR
Ibero-American Program for Industrial Property	Development Sector
Mexico	Development Sector
Spain	Development Sector
Uruguay	Development Sector

Officers.

Total number of activities 21 for 2014/15

**IBERO-AMERICAN PROGRAM FOR INDUSTRIAL PROPERTY<sup>13</sup>****3 Activities**

<b>RESULT:</b>	III.2. Enhanced human resource capacities able to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition		
<b>Activity</b>	<b>Date</b>	<b>Host Country/ Recipients</b>	<b>Purpose(s)/Description(s)</b>
Platform in Spanish on IP services and contents to the Ibero-American entrepreneurial sector with special focus on SMEs (CIBEPYME).	January to December, 2015 (ongoing)	All Ibero-American countries	To strengthen the capacity and promote the use of IP as an important tool for business.
<b>RESULT:</b>	III.4. Strengthened cooperation mechanisms and programs tailored to the needs of developing countries and LDCs		
<b>Activity</b>	<b>Date</b>	<b>Host Country/ Recipients</b>	<b>Purpose(s)/Description(s)</b>
Preparation of a situation analysis and action plan proposal by an external expert consultant.	January to December, 2015 (ongoing)	All Ibero-American countries	To design a roadmap on strengthening and development of national information services and an implementation schedule, with a view to enhancing national capacities. Horizontal cooperation among IP offices to reduce asymmetries in relation to quality management in information technology. The tasks of the consultant are: (i) to detect asymmetries between OPIS on quality management and information technology; (ii) design a program of action aimed at eliminating asymmetries through training; and (iii) coordinate the implementation

<sup>13</sup> In October 2012, a Memorandum creating the FIT/IBERO was signed as a financial instrument of the Ibero American Program of Industrial Property. The MoU was renewed in October 2015.

Encouraging cooperation between Latin American IPOs, for the creation of a Platform for member countries to facilitate the exchange of experiences and good practices between offices.	January to December, 2015 (ongoing)	All Ibero-American countries	of this project.	To promote the virtual exchange of best practices among IPOs on issues such as: (i) quality management; (ii) organization of online registration services and information ; (iii) the provision of databases; (iv) examination of patents, designs and trademarks; (v) service organization of technological and commercial information; (vi) organization of training programs; and (vii) the provision of mediation or arbitration.
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**IBERO-AMERICAN PROGRAM FOR INDUSTRIAL PROPERTY Donor Contributions and Expenditure in 2015**

Balance as of December 31, 2014	Income 2015	Expenditure 2015	Reimbursements	Balance as of December 31, 2015
232,961	13,103	6,110	-	239,955

**MEXICO<sup>14</sup>**

**1 Activity**

<b>RESULT:</b> III.1. National innovation and IP strategies and plans consistent with national development			
Activity	Date	Host Country/ Recipients	Purpose(s)/Description(s)
Consultation meeting of the Pacific Alliance countries and other invited countries held in Geneva	October 6, 2015	Mexico/ Chile, Colombia, Cuba, Peru, the European Patent Office (EPO), and the Spanish Patent and Trademark Office (OEPM).	To promote dialogue on common issues in the field of industrial property among the Pacific Alliance countries as well as other invited countries.

**MEXICO Donor Contributions and Expenditure in 2015**

Balance as of December 31, 2014	Income 2015	Expenditure 2015	Reimbursements	Balance as of December 31, 2015
163,131	53	18,758	-	144,426

<sup>14</sup> The FIT Mexico also co-funded two activities in collaboration with FIT Spain (see below).

**SPAIN<sup>15</sup>**  
**12 Activities**

<b>RESULT:</b>		III.2. Enhanced human resource capacities able to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition	
<b>Activity</b>	<b>Date</b>	<b>Host Country/ Recipients</b>	<b>Purpose(s)/Description</b>
III WIPO/OEPM/AECID Regional Seminar on Trademarks and Industrial Designs as Innovation Factors and Enterprise Assets: Building a National Branding Strategy	October 26 to 29, 2015	Colombia / All Latin-American countries	To: (i) encourage the use of national branding Programs. (ii) provide a forum to discuss the legal nature of these Programs and promote a regional approach to this issue; (iii) promote the exchange of experience as well as the presentation of best practices
<b>RESULT:</b>		III.4. Strengthened cooperation mechanisms and programs tailored to the needs of developing countries and LDCs	
<b>Activity</b>	<b>Date</b>	<b>Host Country/ Recipients</b>	<b>Purpose(s)/Description(s)</b>
XIV WIPO/OEPM/AECID Regional Seminar on Intellectual Property (IP) for Judges and Prosecutors from Latin-American Countries	February 16 to 20, 2015	Guatemala/ All Latin-American countries and Tribunal of Andean Community	To: (i) provide judges and public prosecutors responsible for IP from Latin American countries with training on IP matters to improve the decision-making process on litigation cases; and (ii) provide participants with updated information and practical training in the field of patents, trademarks, copyright and enforcement cases.
Platform in Spanish on industrial property services and contents to the Ibero-American entrepreneurial sector with special focus on SMEs (CIBEPYME)	January to December, 2015 (Project ongoing since 2010)	All Ibero-American countries	To continue to design and create one Platform addressed to the private sector in order to: (i) provide assistance and services in their use of IP; (ii) to increase the value of their business; and (iii) provide a private sector forum for the exchange of ideas and experiences
Regional Automation Project for translation of the advanced level of the International Patent Classification (IPC) into Spanish	January to December, 2015 (Project ongoing since 2010)	All Ibero-American countries	To: (i) implement automation for Spanish translation of the advanced level of the IPC, as it was originally commissioned in English and French only; and (ii) make it available to the service of industrial property offices in Latin American countries.
PCT and Budapest Treaty Regional Seminar for Latin- American countries,	July 28 to 31, 2015	Ecuador/ All Latin American countries	To share experiences and keep national offices updated about the latest development in the PCT system
Regional Seminar on Enforcement of Industrial Property (IP) Rights <sup>16</sup>	July 27 to 28, 2015	Mexico/ Ecuador, Honduras, Paraguay, Peru, Mexico and Spain	To: (i) update public IP authorities in the enforcement of IP rights through different approaches; (ii) provide a forum where national IP offices from Latin American countries exchange experiences on the promotion and development of the respect of IP rights; (iii)strengthen ties for territorial and institutional collaboration in the field of enforcement.

<sup>15</sup> The year 2015 marked the 10th anniversary the Spanish Fund in Trust (FIT/ES). The FIT/ES is devoted to the design, planning and implementation of regional projects in Industrial Property (IP) for the Ibero-American region. IP is a tool that is progressively incorporated in the adoption of public policies to promote innovation and hence economic activity as a whole for the benefit of the society. In this context, the objectives of the FIT/ES cooperation are: (i) promotion Spanish as a technological language; (ii) support for institutional strengthening and training of human resources; (iii) dissemination of industrial property in SMEs and universities; and (iv) modernization as well as exchanges of experiences among industrial property Offices to promote quality services.

<sup>16</sup> This activity was co-funded in collaboration with FIT Mexico.

Anti-Counterfeiting Day for Chambers of Commerce and Entrepreneurs <sup>17</sup>	July 29, 2015	Mexico/ Ecuador, Honduras, Paraguay, Peru, Mexico and Spain	To: (i) bring together high-level Government officials and business leaders to pool their experience for enhanced international coordination and cooperation for more effective solutions in pursuit of combating counterfeiting; and(ii) offer an overview of services and public support available to enforce IP rights.
Sub-Regional Meeting on Patents from Central American Countries, Panama and the Dominican Republic for the Review and Approval of a Manual on the Examination of Patents Applications, and Strengthened cooperation mechanisms	June 30 to July 2, 2015	Panama/ Central American countries and Dominican Republic	To: (i) provide an opportunity for an update of the Manual on Patents Examination for Central American Countries, Panama and the Dominican Republic; (ii) propose measures conducive to future use of the Manual in examination processes; and (iii) establish measures to strengthen cooperation mechanisms with a view to achieving consensus in order to maintain the relevance of the Manual moving forward.
Ibero-American IP Program (IBEPI)	January to December, 2015	All Ibero- American countries	To promote the social and economic development in the region in the framework of the Summit of Heads of States and Governments from Ibero-American countries.
Meeting of the Intergovernmental Committee of the IBEPI Program	October 1 to 2, 2015	Spain/ All Ibero- American countries	To facilitate the organization of the meeting of the Intergovernmental Committee of the IBEPI Program, which was co-organized with the Secretariat of IBEPI.
<b>RESULT:</b> IV.4. Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders			
<b>Activity</b>	<b>Date</b>	<b>Host Country/ Recipients</b>	<b>Purpose(s)/Description(s)</b>
VI Regional Seminar on the Management of National Industrial Property Offices: the Role of Work-Sharing Programs	March 16 to 19, 2015	Colombia / All Latin- American countries	To: (i) provide participants with updated information, practical training and useful tools for the management of national Offices; (ii) provide a forum for the sharing of good practices; and (iii) to develop an important sense of service-oriented management among administrators in IP Offices from Latin American countries.
LATIPAT PROJECT XI Regional Meeting WIPO/OEPM/EPO of IT Specialist and Management of Patent Information of Industrial Property Offices in Latin America ,	November 4 to 6 2016	Mexico/All Latin American countries	The LATIPAT Project was created to develop and provide a database with patent information from all Latin American countries. Currently, the LATIPAT Project is an example, not only for the Latin American countries, but also for the different international fora related to patent information, commitment, perseverance and teamwork. Over a period of 15 years, the database has amassed more than 2 million documents and receives an average of 14,000 hits per month.

**SPAIN Donor Contributions and Expenditure in 2015**

Balance as of December 31, 2014	Income 2015	Expenditure 2015	Reimbursements	Balance as of December 31, 2015
120,153	169,146	182,078	-	107,221

<sup>17</sup> Idem.

**URUGUAY**  
**5 Activities**

<b>RESULT:</b>		III.2. Enhanced human resource capacities able to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition	
<b>Activity</b>	<b>Date</b>	<b>Host Country/ Recipients</b>	<b>Purpose(s)/Description</b>
Provision of funding for an IP professional for a Master Program in Strategic Management in Information Technology (MSMIT), within the framework of the Ibero-American University Foundation (FUNIBER)	January to December, 2015 (ongoing) <sup>18</sup>	Uruguay	To enhance the capacity of an IP professional with a focus on the role of information technology in the strategic management of business processes.
<b>RESULT:</b>		III.4. Strengthened cooperation mechanisms and programs tailored to the needs of developing countries and LDCs	
<b>Activity</b>	<b>Date</b>	<b>Host Country/ Recipients</b>	<b>Purpose(s)/Description(s)</b>
Participation of government officials in the WIPO Assemblies	January to December, 2015	Switzerland/ Uruguay	To represent the government in different fora where different issues and programs on IP are analyzed.
<b>RESULT:</b>		IV.4. Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders	
<b>Activity</b>	<b>Date</b>	<b>Host Country/ Recipients</b>	<b>Purpose(s)/Description(s)</b>
Renewal of the Thomson-Reuters IP database	January to October, 2015 (ongoing since 2013)	All Latin American countries	To increase the coverage range and quality of information contained in the databases of the National Directorate for Industrial Property (DNPI)
Study Visit on Industrial Property Automation System (IPAS)	February 16 to 20, 2015	Peru/ DNPI Official	To enhance efficiency in DNPI internal processes.
Renewal of the Global Patent Information (GPI) EPO's database	January to December, 2015  (ongoing)	All Latin American countries	To increase the coverage range and quality of information contained in the databases of the DNPI.

**URUGUAY Donor Contributions and Expenditure in 2015**

Balance as of December 31, 2014	Income 2015	Expenditure 2015	Reimbursements	Balance as of December 31, 2015
157,932	(144)	9,164	-	148,624

[Appendix III follows]

<sup>18</sup> Initiated in May 2014. Expected date of completion: May 2016.

## FITS PPR 2016: IMPLEMENTATION OF FUNDS-IN-TRUST 2016

## APPENDIX II IMPLEMENTATION OF FUNDS-IN-TRUST 2016

As part of the efforts to enhance the integration of all activities under the results-based management framework of the Organization, irrespective of the source of funds, this Appendix provides an overview of activities implemented under the WIPO Funds-in-Trust (FITs). At the same time, this report responds to a request by donors for a more comprehensive report on all FITs, including both programmatic and financial information. In order to streamline reporting,

FUND-IN-TRUST	IMPLEMENTING SECTOR
Ibero-American Program for Industrial Property	Development Sector
Mexico	Development Sector
Spain	Development Sector
Uruguay	Development Sector

the FIT report is an integral part of the PPR, providing an annual view of activities implemented in 2016. The next annual FIT report will be included in the PPR for 2016/17. This Appendix reports on the FITs listed in the table below and excludes the FITs for Junior Professional Officers.

**20 Total Activities 2016****IBERO AMERICAN PROGRAM FOR INDUSTRIAL PROPERTY****4 Activities**

**RESULT:** III.2. Enhanced human resource capacities able to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition

Activity	Date	Host Country/ Recipients	Purpose(s)/Description(s)
Platform on IP services and contents for the Ibero-American entrepreneurial sector with special focus on SMEs (CIBEPYME).	January to December, 16 (ongoing)	All Ibero-American countries	To strengthen the generation and management of IP assets by the business sector in Ibero-American countries

**RESULT:** III.4. Strengthened cooperation mechanisms and programs tailored to the needs of developing countries, LDCs and countries with economies in transition

Activity	Date	Host Country/ Recipients	Purpose(s)/Description(s)
Ibero-American Cooperation System for the provision of Information and Technological Services (INFOTEC Program)	January to December 2016 (ongoing)	All Ibero-American countries	In 2016, the Technological Information Committee of IBEPI, formed by Argentina, Brazil, Colombia, Costa Rica, Dominican Republic, Ecuador, Mexico Paraguay, Peru, Portugal, Spain and Uruguay, launched the INFOTEC Program to: (i) expand the capacity of Ibero-American countries to manage and use technological information; and (ii) promote horizontal cooperation among IP Offices to reduce asymmetries between Offices in relation to quality of management of information technology and on the design of training programs
Encouraging	January to	All Ibero-American	To promote the virtual exchange of best practices

cooperation through a Platform of Latin American IP Offices (IPOs) to promote the exchange of experiences and good practices between Offices.	December, 2016 (ongoing)	countries	among IPOs of Ibero-America on issues such as: (i) quality management; (ii) organization of online registration services and information; (iii) provision of IP databases; (iv) examination of patents, designs and trademarks; (v) offer of services based on the use of technological and commercial information; (vi) organization of capacity building programs; and (vii) the provision of mediation or arbitration services
Annual meeting of the Inter-Governmental Committee of the Ibero-American Program on Industrial Property and Development Promotion (IBEPI)	May 19 to 20, 2016	Portugal/ All Ibero-American countries	To review the on-going activities and projects as well as the planning of new initiatives for the following year

**IBERO-AMERICAN PROGRAM FOR INDUSTRIAL PROPERTY Donor Contributions and Expenditure in 2016**

Balance as of December 31,2015	Income 2016	Expenditure 2016	Reimbursements	Balance as of December 31,2016
239,955	56,510	59,219	-	237,245

**MEXICO**  
4 Activities

**RESULT:** III.1. National innovation and IP strategies and plans consistent with national development objectives

Activity	Date	Host Country/ Recipients	Purpose(s)/Description(s)
Financing of a lecturer for the WIPO Summer School on Intellectual Property (IP) organized by the WIPO Academy in cooperation with the Mexican Institute of Industrial Property (IMPI) and the <i>Instituto Tecnológico Autónomo de México</i> (ITAM)	May 30 to June 10, 2016	Mexico	Financed the participation of one speaker (Chief of the IP Crimes Unit, National Police of Madrid, Spain) to lecture at the WIPO Summer School
Regional Seminar to promote the use of industrial property by SMEs: Training future/potential entrepreneurs, organized by the Spanish Patent and Trademark Office (OEPM) and the Mexican Institute of Industrial Property (IMPI), with WIPO's support	October 19 to 20, 2016	Mexico/ All Latin American countries	To support IP Offices in their efforts to create services and programs to assist SMEs.

<i>Open Day to Sensitization</i> with the Chamber of Commerce of Spain in Mexico, co-organized by the Spanish Patent and Trademark Office (OEPM) and the Mexican Institute of Industrial Property (IMPI), with WIPO's support	October 21, 2016	Mexico/ All Latin American countries	To address the relevance of IP protection and IP management for industrial competitiveness in the private sector
IMPI Side Event in the context of WIPO General Assemblies	October,7, 2016	Geneva/ All Latin American countries	To present Mexico's initiative CADOPAT <sup>19</sup> horizontal cooperation initiative for patent examination

### MEXICO Donor Contributions and Expenditure in 2016

Balance as of December 31, 2015	Income 2016	Expenditure 2016	Reimbursements	Balance as of December 31, 2016
144,426	98,765	27,752	-	215,439

### SPAIN

#### 12 Activities

**RESULT:** III.2. Enhanced human resource capacities able to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition

Activity	Date	Host Country/ Recipients	Purpose(s)/Description
Participation of the Director of the Spanish Office of Patents and Trademarks (OEPM) in the XIX Work Sessions and Administrative Council of the Inter-American Association of Intellectual Property (ASIPI)	December 4 to 7, 2016	Argentina/ All Latin American countries	To present the PCT and its latest developments, including a round table on the use of PCT and on the Patent Prosecution Highway (PPH) project. The Spanish and Trademarks Offices (OEPM) participated in the round table in order to share experiences and contribute to technical discussions
WIPO/OEPM/AECID. IV Regional Seminar on Trademarks and Industrial Designs as Innovation Factors and Enterprise Assets: Design as a Strategic Business Tool and as a Differentiating Factor	March 7 to 10, 2016	Colombia/ All Latin-American countries	To: (i) encourage the strategic use of Industrial Designs (ID) as a driver for economic development; (ii) provide a forum for the exchange of ideas related to design protection and the practices and tendencies at the national and international levels

<sup>19</sup> Support service for the management of patent filings.



Regional Seminar on PCT and the Budapest Treaty	September 5 to 7, 2016	Cuba/ All Latin American countries	To facilitate the exchange of ideas and best practices on the use of the international IP system for applicants and national Offices
Regional Seminar to promote the use of industrial property by SMEs: (Training future/potential entrepreneurs)	October 19 and 20, 2016	Mexico/ All Latin American countries	To support IP Offices in their efforts to create services and programs to assist SMEs to use the IP system
<i>Open Day to Sensitization</i> with the Chamber of Commerce of Spain in Mexico, co-organized by the Spanish Patent and Trademark Office (OEPM) and the Mexican Institute of Industrial Property (IMPI), with WIPO's support	October 21, 2016	Mexico/ All Latin American countries	To address the relevance of IP protection and IP management for industrial competitiveness in the private sector
XV WIPO/AECID/OEPM Regional Seminar on IP for Judges and Prosecutors from Latin American countries	May 16 to 20, 2016	Brazil/ <i>Tribunal de Justicia de la Comunidad Andina</i> (TJCA)/ All Latin American countries	To: (i) strengthen the knowledge of Latin American judges and prosecutors of the IP system; (ii) facilitate the identification of common interests in order to allow the presentation of ideas and proposals; and (iii) improve the quality of judicial decisions and legal interpretations
Participation of a Spanish Expert in the Regional Seminar on the Singapore Treaty on the Law of Trademarks (STLT)	September 6 and 7, 2016	Chile/ All Latin American countries	To share experiences and ideas on the use and implementation of the STLT in Spain.
Awareness raising Project	March 2016 (ongoing)	All Ibero-American countries	Production of a video game educational program to raise awareness of IP among teenagers
WIPO/OEPM/OEPM/AECID Regional Workshop for Training of Trainers on Patent Drafting	April 11 to 15, 2016 (ongoing)	Colombia/ All Latin American countries	To establish competencies for the organization of future capacity building programs at a national level throughout the Region

**RESULT:** III.4. Strengthened cooperation mechanisms and programs tailored to the needs of developing countries, LDCs and countries with economies in transition

Activity	Date	Host Country/ Recipients	Purpose(s)/Description
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Participation of the Director of the OEPM in the WIPO Regional Meeting of Directors of Industrial Property Offices of Latin American Countries	September 15 and 16, 2016	Colombia/ All Latin American countries	To enable sharing of ideas and best practices with Latin American countries
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Participation of the Director of the OEPM in the WIPO Regional Meeting of Directors of Industrial Property Offices and Export Promotion Offices of Latin American Countries	September 14 and 15, 2016	Colombia/ All Latin American countries	To facilitate the sharing of information on strategies to support the use of the IP system by Exporters
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**RESULT:** IV.4. Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP administration

Activity	Date	Host Country/ Recipients	Purpose(s)/Description(s)
LATIPAT PROJECT XII Regional Meeting WIPO/OEPM/EPO of IT Specialist and Management of Patent Information of Industrial Property Offices in Latin America	November 29 to December 2, 2016	Cuba/ All Latin American countries	The LATIPAT Project was created to develop and provide a database with patent information from all Latin American countries. Currently, the LATIPAT Project is an example, not only for the Latin American countries, but also for the different international fora related to patent information, commitment, perseverance and teamwork. Over a period of more than 15 years, the database has amassed more than 2 million documents and receives an average of 14,000 hits per month. Member States from Latin America and Spain meet annually to discuss the management of the Project and the adoption of new features.

### SPAIN Donor Contributions and Expenditure in 2016

Balance as of December 31, 2015	Income 2016	Expenditure 2016	Reimbursements	Balance as of December 31, 2016
107,221	165,276	180,441	-	92,056

### URUGUAY 2 Activities

**RESULT:** IV.4. Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP administration

Activity	Date	Host Country/ Recipients	Purpose(s)/Description
Renewal of the Thomson-Reuters Database	Jan- to December, 2016 (ongoing since 2013)	All Latin-American countries	To increase the coverage range and quality of information contained in the databases of the National Directorate for Industrial Property (DNPI) to further support patent examination processes

<p>Hiring of an individual contractor (Consultant) to assist in the modernization of the IT systems of the IP Office</p>	<p>May 2016 to December 31, 2016 (Ongoing)</p>	<p>DNPI Official</p>	<p>To enhance DNPI's IT systems, including, <i>inter alia</i>: (i) a public access website to patent and trademark databases; (ii) the design and installation of information technology systems; (iii) the development of interfaces for publishing information; and (iv) the development and implementation of on-line platforms for patent and trademark filing</p>
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**URUGUAY Donor Contributions and Expenditure in 2016**

Balance as of December 31, 2015	Income 2016	Expenditure 2016	Reimbursements	Balance as of December 31, 2016
148,624	(119)	20,555	-	127,950

**ANNEX VI: FITS STRATEGIC FRAMEWORK**

MTSP 2016/17 Development Sector Strategies (summarized)	Link to P&B 2016/17	Budget priority 2016/17
<b>STRATEGIC GOAL III: FACILITATING THE USE OF IP FOR DEVELOPMENT</b>		
Continued focus on coordination of the horizontal inputs of the Secretariat for the achievement of coherent delivery of effective, demand-driven technical assistance and development cooperation.	Expected Result III.4. Strengthened cooperation mechanisms and programs tailored to the needs of developing countries, LDCs and countries with economies in transition	P1344 - Promote programs and activities in the framework of horizontal cooperation between countries of the region. P3163 - Organization of WIPO strategic events to reach policy makers levels and to establish cooperation action at the national and sub-regional levels (Heads of IP Offices and Ministerial-Level Meetings) Accounts for 15 per cent of the expenditure
(2) Consolidation and advancement of the progress achieved in the implementation of the Development Agenda, with particular attention to the findings of the review of the implementation of the Development Agenda that will be presented to the Committee on Development and Intellectual Property (CDIP) at the end of the current year.	Expected Result III.2 Enhanced human resource capacities able to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition	P3476 - Tailor-made training addressed to Govt. Officials in selected topics, according to priorities and requests received by Member States (patents, TMs, use of Int. Classifications) Accounts to 8 per cent of the expenditure
(3) Strengthening the quality of services delivered by the Secretariat by mapping the areas in the innovation process and the creative industries in which IP has a role and ensuring that those areas are covered systematically in the delivery of activities to countries.	Expected Result III.1 National innovation and IP strategies and plans consistent with national development objectives	P1337 - WIPO collaboration in the process of elaboration, design and developing programs and projects at the regional and sub-regional levels P1228 - WIPO contribution in the formulation of projects/programs aimed at the implementation of selected components in the national IP strategies or plans P3311 and P1215- Support to national authorities in the elaboration, design, establishment, formalization and adoption of IP strategies at governmental level (expert & WIPO missions, consultation workshops). Accounts to 26 per cent of the total expenditure
(4) Special focus on the specific needs of the LDCs and, in particular, projects for the utilization of appropriate technology in areas of social and economic importance identified by beneficiary countries.	Expected Result III.2 Enhanced human resource capacities able to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition	P1310 - Organization of WIPO Workshops/Seminars/Conferences on the field on IP as a strategic tool to increase competitiveness, building capacity in the management of IP assets - addressed to the private sector, chambers of commerce

MTSP 2016/17 Development Sector Strategies (summarized)	Link to P&B 2016/17	Budget priority 2016/17
(5) The further development of the Academy as a center of excellence for capacity building and continued focus on distance learning, cooperation with universities and national authorities in the joint conduct of masters' programs, summer schools and establishment of IP training academies in Member States.	Expected Result III.4. Strengthened cooperation mechanisms and programs tailored to the needs of developing countries, LDCs and countries with economies in transition	WIPO collaboration in the process of elaboration, design and developing programs and projects at the regional and sub-regional levels
(6) Support for the implementation of the SDGs and 2030 Agenda for Sustainable Development within the mandate of the Organization and, in particular, in relation to innovation in SDG 9.	SDGs have not been specifically mentioned.	No specific allocation towards this strategy. However, there are several activities directly linked to innovation.
<b>STRATEGIC GOAL IV: COORDINATION AND DEVELOPMENT OF GLOBAL IP INFRASTRUCTURE</b>		
TISCs will continue to be established, where requested by Member States, on the basis that they should become sustainable. The networking of TISCs will continue to be encouraged through electronic means and opportunities will be sought for the sharing of good practices and for leveraging the position of TISCs as service-providers to innovators so as to link with other IP services, such as dispute-resolution and licensing, which can be of service to innovators. Developing, transition and least developed countries will be encouraged to take advantage of ARDI and ASPI to improve access to technology and knowledge.	Expected Result IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity	P3411 - Support the establishment, development & maintenance of national TISC networks, by organizing consultation, sensitization & follow-up activities with government. agencies & relevant stakeholders Accounts to three per cent of the expenditure.

**ANNEX VII: RBLAC WORK PLAN 2017**

<b>Strategic Goal III</b>
<b>Expected Result I.2 Tailored and balanced IP legislative, regulatory and policy frameworks</b>
<b>Indicator:</b> No. and/or per cent of countries providing positive feedback on WIPO's Legislative policy advice
<b>Main Activity:</b> Support process of legislative assistance by consultations, coordination, sensitization & follow-up actions with Govt. agencies & relevant stakeholders. In close cooperation with WIPO relevant sectors
<b>Activity:</b> Legal Assistance in the field of Trademarks, Designs, GIs - including one Back-to-Back mission of a WIPO/BDS Official
<b>Activity:</b> WIPO Expert Missions on the Lisbon Treaty
<b>Activity:</b> WIPO Legal Assistance on Trademarks and/or GIs; ATG, HTI & GTM: Trademarks; PRY: TMs & GIs; SKN: GIs
<b>Activity:</b> WIPO Legal Assistance in the field of Patents
<b>Activity:</b> Hiring a regional expert under ICS for the preparation of Guidelines on Patent Examination
<b>Activity:</b> Preparatory mission addressed to DNPI of Regional Expert (from MX) to be hired under ICS for the preparation of Guidelines on Patent Examination
<b>Expected Result II.1 Wider and more effective use of the PCT system for filing international patent applications</b>
<b>Indicator:</b> No. of PCT applications originating from developing countries and LDCs.
<b>Expected Result II.4 Wider and more effective use of the Hague system, including by developing countries and LDCs</b>
<b>Indicator:</b> No. of Hague applications originating from developing countries and LDCs
<b>Expected Result II.6 Wider and more effective use of the Madrid System, including by developing countries and LDCs</b>
<b>Indicator:</b> No. of Madrid System applications originating from developing countries and LDCs
<b>Expected Result II.10 Wider and more effective use of the Lisbon system, including by developing countries and LDCs</b>
<b>Indicator:</b> No. of international registrations from developing countries and LDCs in force under the Lisbon System (in relation to the total no.)
<b>Expected Result III.1 National innovation and IP strategies and plans consistent with national development objectives</b>
<b>Indicator:</b> No. of countries which are in the process of formulating national innovation and IP strategies
<b>Main Activity:</b> WIPO support to national authorities in the process of the elaboration, design and establishment of IP strategies
<b>Activity:</b> Elaboration of a National IP Strategy
<b>Activity:</b> Formulation of Strategic Plans for the National IP Offices
<b>Activity:</b> ICS contract offered to national expert for the evaluation of the national IP system in Paraguay and further design of a national IP Strategy - <i>carried forward from 2016</i>
<b>Activity:</b> ICS contract offered to regional expert for the formulation of a national IP Strategy for Jamaica - <i>carried forward from 2016</i>
<b>Activity:</b> ICS contract offered to national expert for undertaking an IP audit and formulate a national IP Strategy for Belize - <i>carried forward from 2016</i>
<b>Main Activity:</b> Managing & coordinating the national IP Strat. development progress -from initiation to adoption- with WIPO relevant sectors and national relevant stakeholders
<b>Activity:</b> Consultations with Government Officials & Stakeholders on the development progress of the National IP Strategies
<b>Activity:</b> Consultations with authorities of the National IP Office and the Ministry of Foreign Affairs on Government Officials & Stakeholders on the development progress of the National IP Strategies
<b>Activity:</b> WIPO Workshop on IP and Innovation
<b>Indicator:</b> No. of countries which have adopted national innovation and IP strategies
<b>Main Activity:</b> Support to national authorities in the formalization and adoption of IP strategies at governmental level (expert & WIPO missions, consultation workshops)
<b>Activity:</b> WIPO contribution to national events to present and/or adopt finalized IP Strategies
<b>Activity:</b> WIPO Staff Mission to hold meetings with national authorities to coordinate future initiatives and joint cooperation in the context of the new national strategy
<b>Activity:</b> Expert mission on IP & the judicial sector
<b>Indicator:</b> No. of countries which are in the process of implementing national innovation and IP strategies and IP development plans

<p><b>Main Activity:</b> WIPO contribution in the formulation of projects/programs aimed at the implementation of selected components in the national IP strategies or plans</p>
<p><b>Activity:</b> Coordination meetings to discuss cooperation plans with Offices that had recent changes of authorities or countries that did not have lately an active collaboration with WIPO</p>
<p><b>Activity:</b> Programming mission on joint cooperation in the field of IP with the Government of Bolivia, participating inter alia in discussions with authorities of the National Service of Intellectual Property (SENAPI) and the Ministry for Economic Development, in particular on industrial property and the development and protection of distinctive signs of collective use, trademarks, geographical indications and appellations of origin</p>
<p><b>Activity:</b> Meetings with government authorities to discuss joint cooperation on a National IP Plan</p>
<p><b>Activity:</b> Study on what determines the Use of IP and the subsequent economic performance</p>
<p><b>Activity:</b> Study on the Economics of IP</p>
<p><b>Activity:</b> Production of a video presenting a successful case of the use of the IP System in Colombia</p>
<p><b>Activity:</b> Production of a video titled "Innovando Chile"</p>
<p><b>Main Activity:</b> Contributing to the execution &amp; follow-up process of projects &amp; programs linked to the implementation of IP strat. and/or national plans (incl. org. of activities as workshops, exp. missions, study visits &amp; WIPO part. in nat. official activities)</p>
<p><b>Activity:</b> Special initiatives for the implementation of National IP Strategies</p>
<p><b>Activity:</b> DS/LAC Official will take advantage of her presence while participating in Roving National Workshops on Enhancing the Competitiveness of SMEs by the Effective Management of Intellectual Property Assets</p>
<p><b>Activity:</b> Official mission by DS Director to represent WIPO at the 7th Brazilian Innovation Summit (in Sao Paulo)</p>
<p><b>Activity:</b> Official hospitality offered by DS/LAC Director - In Geneva</p>
<p><b>Expected Result III.2 Enhanced human resource capacities able to deal with the broad range of requirements for the effective use of IP for development in developing countries, LDCs and countries with economies in transition</b></p>
<p><b>Indicator:</b> per cent of participants in WIPO events who express satisfaction with the content and organization of these events</p>
<p><b>Main Activity:</b> Organization of WIPO strategic events to reach policy makers levels and to establish cooperation action at the national and sub-regional levels (Heads of IP Offices and Ministerial-Level Meetings)</p>
<p><b>Activity:</b> WIPO Central American Ministerial-Level Meeting on IP (1 day) - preceded by a Preparatory Meeting of High-Level Experts on IP (2 days) in Panama. Hiring under an ICS Contract a regional expert (from CO) for the conduction of the previous meeting on IP and Exports</p>
<p><b>Activity:</b> Funding of interpretation services provided at GRULAC Meetings in WIPO Headquarters</p>
<p><b>Activity:</b> Official hospitality offered by DS/DDG to Ambassadors &amp; PRs in Geneva of Central American Countries and the Dominican Republic, in preparation of Ministerial-Level Meeting (WPA02 above)</p>
<p><b>Activity:</b> Official hospitality offered by DS/Director. Working lunch with authorities of the Spanish Patent and Trademarks Office (OEPM) to discuss joint cooperation and the 2018 WP of the FIT/Spain</p>
<p><b>Main Activity:</b> WIPO support to national authorities for promoting and implementing WIPO-administered treaties</p>
<p><b>Activity:</b> Advisory expert mission on the Budapest Treaty</p>
<p><b>Activity:</b> Sub-Regional Seminar on the PCT for Caribbean Countries - In Mexico (2 days)</p>
<p><b>Activity:</b> Regional Seminar on the PCT for Latin American Countries (3 days)</p>
<p><b>Activity:</b> ASIPI Sub-Regional Seminars on the PCT and the e-PCT - venue tbd</p>
<p><b>Activity:</b> National Seminars to promote the PCT - targeting Gov. Officials/addressed to National IP Offices - 2 days each</p>
<p><b>Activity:</b> WIPO National Seminar on Patents and their Impact on Innovation</p>
<p><b>Activity:</b> National Seminars for the promotion of the PCT</p>
<p><b>Activity:</b> Study Visit to WIPO Headquarters on the PCT - following accession</p>
<p><b>Activity:</b> Assessment Mission &amp; National Seminar on the Madrid System (4 days) (1) Seminar on the Madrid Protocol (Mar. 21); (2) Meetings with Policy Makers and Officials at the National Registries Center (Mar. 22); and (3) Assessment of the National Registries Center (Mar. 23-24)</p>
<p><b>Activity:</b> National Seminar to Promote the Better Use of the Madrid System for the Int. Registration of Marks</p>
<p><b>Activity:</b> Assessment Mission by a BDS Official on the Madrid System</p>
<p><b>Activity:</b> Technical Assistance for the Implementation of The Hague Registry. DS/LAC contribution to National Back-to-Back Seminars on The Hague System and Training addressed to Government Officials and Staff of the National IP Offices</p>
<p><b>Activity:</b> DS/LAC contribution to the Working Group on the Legal Development of the Madrid System for the International Registration of Marks, 15th session followed by the Madrid Working Group Roundtable by financing two participants from COL &amp; MEX, respectively - in Geneva</p>
<p><b>Activity:</b> DS/LAC contribution to a Training activity on PCT Procedures addressed to Officials of the African Intellectual Property Organization (OAPI), based in Cameroon and of Haiti, to be held at WIPO Headquarters - by partially financing the participation of one Official from Haiti</p>
<p><b>Main Activity:</b> Support and follow-up of national initiatives related to Traditional Knowledge (TK), Traditional Cultural Expressions (TCEs) and Genetic Resources (GRs)</p>
<p><b>Activity:</b> Back-to-Back National Workshops on TK - 2 days each</p>
<p><b>Activity:</b> National Workshop on TK - 2 days</p>
<p><b>Activity:</b> Provision of legal assistance &amp; National Workshop - 2 days</p>
<p><b>Activity:</b> DS/LAC contribution to the organization of the National Train-the-Trainer Workshop on IP, TK, TCEs and GRs by financing an international speaker from the US</p>

<p><b>Main Activity:</b> Coordination with relevant sectors and consultations with Government representatives &amp; stakeholders on training programs for SMEs</p>
<p><b>Activity:</b> Sub-Regional Seminar/Workshop for Promoting the Use of Industrial Property as a Competitiveness Factor: The Effective Management of Industrial Property Assets in the Agrofood Business - in Guatemala, 3 days</p>
<p><b>Activity:</b> Roving National Seminars on the Use of IP by SMEs - 3-day duration (total)</p>
<p><b>Activity:</b> National Seminar for SMEs of the Agro Sector - 3 days in Guyana only</p>
<p><b>Activity:</b> Workshop on Intellectual Property Management by Small and Medium-Sized Enterprises in the Agro Business Sector</p>
<p><b>Activity:</b> National Seminar for SMEs of the Agro and Artcraft Sectors - 2 days</p>
<p><b>Activity:</b> Represent WIPO and participate in (1) the WIPO-KIPO- Korea Inventors Women Association (KWIA) International Women's Invention Forum ; (2) the Korea International Women's Invention Exposition (Jun.8 &amp; 9); and (3) hold meetings on joint cooperation with representatives of KWIA, the Korea Invention Promotion Association and the Korea Institute of Intellectual Property and LAC countries (Jun. 6 &amp; 7)</p>
<p><b>Indicator:</b> per cent of participants in WIPO workshops who apply the skills learned in their work/enterprise</p>
<p><b>Main Activity:</b> Tailor-made training addressed to Gvt. Officials in selected topics, according to priorities and requests received by Member States (patents, TMs, use of Int. Classifications)</p>
<p><b>Activity:</b> Regional Meeting on Challenges of Industrial Property Offices (IPOs) for the 21st Century: Policies, Management, Cooperation, Registration and Technology Transfer - In Chile, 3 days</p>
<p><b>Activity:</b> Sub-Regional Technical Meeting on the Study of the Economic Impact of IP in Central America - a CDIP Project: Assessment of the IP Use in the Regional Economic Integration of the Central American Countries and the Dominican Republic - In El Salvador, 1 day</p>
<p><b>Activity:</b> Sub-Regional Seminar on IP &amp; Innovation for Journalists - In Chile - 2 days</p>
<p><b>Activity:</b> Training on TMs, GIs and Designs addressed to national examiners (Mar. 20-24) - Provided by regional expert combined with her participation in a National Workshop on the Use of Collective Trademarks, Geographical Indications and Appellations of Origin for Local Development (Mar. 27-29) organized by DS/Special Projects and South-South Cooperation</p>
<p><b>Activity:</b> Sub-Regional Seminar on Patents Public Policies - In Panama, 2 days</p>
<p><b>Activity:</b> Hiring a Regional Expert for the Design of a Training Program for the Judicial Sector</p>
<p><b>Activity:</b> DS/LAC funding of one LAC participant from CRI in the Fifth Session of the Committee of WIPO Standards Meeting (CWS/5) - In WIPO Headquarters (CH)</p>
<p><b>Activity:</b> Implementation of Phase 1 of the CDIP Project on "Structuring of a Training Program for the Judicial Sector". In Costa Rica as one of the Pilot Countries</p>
<p><b>Activity:</b> DS/LAC contribution to the Annual Congress on IP and Innovation on the occasion of the World IP Day, exact title: <i>VI International Congress on Industrial Property</i> - in Havana, by financing a regional expert from Mexico</p>
<p><b>Activity:</b> Training of Trainers of the Start-Up Academy: WIPO assessment mission and implementation of one module - 5 days</p>
<p><b>Activity:</b> WIPO support by providing a lecture in the framework of the Specialization Course on IP (Patent Module) organized by the National IP Office (SAPI) and the University of Los Andes</p>
<p><b>Activity:</b> WIPO contribution to a Seminar on IP and Innovation in Agriculture and the Agro Food System organized by the Permanent Mission of Chile to WTO - in Geneva (WIPO Headquarters) - 1/2 day duration</p>
<p><b>Activity:</b> Training Workshop on the Nice and Vienna Classifications delivered by an Official of the INPI of Chile to staff of the National Directorate of Industrial Property (DNPI) of Uruguay</p>
<p><b>Activity:</b> Regional Training Course on Trademarks for Caribbean Countries - In Grenada, 5 days</p>
<p><b>Main Activity:</b> Organization of WIPO Workshops/Seminars/Conferences on the field on IP as a strategic tool to increase competitiveness, building capacity in the management of IP assets - addressed to the private sector, chambers of commerce</p>
<p><b>Activity:</b> Regional Meeting on Intellectual Property, Innovation and Gender Equality - In Colombia, 2 days</p>
<p><b>Activity:</b> Regional Training on Patent Drafting - In Uruguay, 5 days</p>
<p><b>Activity:</b> Sub-Regional Patent Drafting Course [for Caribbean Countries] - Venue: Jamaica (Jun. 12-16) - Face-to-Face Session (Jun. 12-16), followed by a Follow-Up Session via e-mail communication (Jun. 19-Aug. 11, 2017)</p>
<p><b>Activity:</b> Sub-Regional Event for Central American Countries on Appropriate Technology - Dominican Republic, 2 days</p>
<p><b>Activity:</b> National Seminars on Patent Drafting, one in each beneficiary country, 4 day-duration</p>
<p><b>Activity:</b> WIPO staff mission for the promotion of the PROBONO Program and consultations with Gov. authorities</p>
<p><b>Activity:</b> DS/LAC support to National Program "Verano Innovador" - 4 days</p>
<p><b>Activity:</b> National Seminar on IP and Exports: National Workshop on Industrial Property as a Strategic Tool to Support the Development of Programs for the Promotion of Exports - 2 days</p>
<p><b>Activity:</b> Coordination &amp; programming meetings with public authorities and participation in the opening of the Specialization Course on IP organized by the National IP Office (SAPI) and the University of Los Andes, by delivering a lecture</p>
<p><b>Activity:</b> Back-to-Back National Seminar on Mediation for IP Dispute Resolutions</p>
<p><b>Activity:</b> Back-to-Back National Seminar on Mediation for IP Dispute Resolutions</p>
<p><b>Activity:</b> WIPO contribution to National Awareness activities in the framework of the International IP Day, namely a Training Workshop on Trademarks addressed to staff of the National IP Registry and a National Workshop on the Effective use of Origin-Based Distinctive Signs - Including a one-day Field Advisory Mission by a Cuban Expert from OCPI on the Development of a Protection Strategy based on an Appellation of Origin for Tobacco Producers (in Esteli)</p>
<p><b>Activity:</b> Sub-Regional Seminar on IP, Innovation &amp; Exports - In TTO</p>
<p><b>Activity:</b> Inter-Regional Seminar on the Strategic Use of IP in Sports - in Jamaica</p>
<p><b>Activity:</b> WIPO Participation in the 4th Edition of the Commercialization and Transfer of Technology Hub for the Americas - in Mexico</p>
<p><b>Main Activity:</b> Provision of a tailor-made training program and workshop for enforcement officials targeting the concrete needs of the country</p>
<p><b>Activity:</b> Sub-Regional Training for Prosecutors &amp; Customs Officials of Central American Countries - in Dominican Republic, 2 days, followed by a National Seminar for Judges (1 day)</p>



<b>Activity:</b> National Workshops for Judges & Prosecutors - 2 days each. Exact title: Back-to-Back National Workshops on Enforcement of IP Rights (1) for Law Enforcement Officials; and (2) for Magistrates
<b>Activity:</b> National Seminar on Building Respect for IP - 2 days
<b>Activity:</b> DS/LAC contribution to the organization by IBEPI of an Ibero-American Workshop on Enforcement - in Lima (PER)
<b>Activity:</b> Purchase of webcam and headset
<b>Indicator:</b> per cent of national and regional IP experts used as resource persons in WIPO events
<b>Main Activity:</b> Training of Trainers program to develop expertise in facilitating commercialization of innovative products addressed to universities and research centers
<b>Activity:</b> Sub-Regional Seminar on the Development of IP Policies for Universities and Research Institutions - In Colombia, 2 days
<b>Activity:</b> WPA07 below was modified into a Regional Program on Negotiation of Development Agreements - including 4-day duration Workshop in Cuba (in Nov.) and hiring an international expert under ICS (Aug-Nov)
<b>Activity:</b> Sub-Regional Workshop on IP Institutional Policies and Valuation for the University of the West Indies (UWI) - Venue tbd, 3 days - Including a one-day Workshop on Licensing
<b>Activity:</b> Assessment mission by DS/LAC Director on a joint project WIPO/Tecnológico de Monterrey for the establishment of a Master Program on IP Management. Including programming mission to Mexico City at IMPI Headquarters and with <i>Universidad Autónoma de México (UNAM)</i> to discuss joint future cooperation programs
<b>Activity:</b> WIPO participation in the EXPOINGENIO Congress - two editions in Sep. and Nov.
<b>Activity:</b> National Workshop on Technology Agreements
<b>Activity:</b> WIPO contribution to a National Seminar on Intellectual Property and Innovation, by financing a regional speaker from Mexico
<b>Activity:</b> National Workshop on Patents Analytics
<b>Expected Result III.4. Strengthened cooperation mechanisms and programs tailored to the needs of developing countries, LDCs and countries with economies in transition</b>
<b>Indicator:</b> No. of national, sub-regional and regional/interregional cooperation agreements, projects, programs and partnerships to promote the effective use of the IP systems through sharing of best practices
<b>Main Activity:</b> WIPO collaboration in the process of elaboration, design and developing programs and projects at the regional and sub-regional levels
<b>Activity:</b> WIPO JURIS Database Project - Hiring of an expert (ICS) and Working Regional Meeting - In Peru, 2 days
<b>Activity:</b> WIPO/OEPM/AECID V Regional Seminar on Trademarks & Industrial Designs as Innovation Factors and Enterprise Assets: Handicraft and Industrial Property - Change of venue: In La Antigua (Guatemala)
<b>Activity:</b> XVI WIPO/OEPM/AECID Regional Seminar for Judges & Prosecutors - in Cartagena (COL)
<b>Activity:</b> VIII WIPO/OEPM/AECID Regional Seminar on the Modernization of the IP Offices Management and services to SMEs - in Santa Cruz (BOL)
<b>Activity:</b> WIPO participation in IBEPI Program (1 Regional IBEPI Meeting) - In Peru
<b>Activity:</b> Second Round Table on IP Teaching & Research - In Jamaica
<b>Activity:</b> WIPO/IDB-REACH Workshops on GIs & Origin-Linked Products (2, Intern. & Advanced Levels) - In JAM & TTO
<b>Activity:</b> WIPO/IDB-REACH Project on GIs & Origin-Linked Products - 2nd Training Workshop - St. Augustine Campus of the University of the West Indies (UWI), Trinidad and Tobago
<b>Activity:</b> WIPO/IDB-REACH Project on GIs & Origin-Linked Products - 3rd and final Workshop (Boot Camp and Pitch). Bridgetown (Barbados)
<b>Activity:</b> Procurement contract between WIPO and the Danish Technological Institute (DTI) for the design of a tailor made three-module training program on IP Commercialization and Technology Transfer for Universities in the Caribbean Community (CARICOM) Countries, under the Regional Entrepreneurial Asset Commercialization Hub Project of the Inter-American Development Bank (IDB) - <i>carried forward from 2016</i>
<b>Activity:</b> Procurement contract between WIPO and the Danish Technological Institute (DTI) for the design of Modules on a joint WIPO/IDB-REACH Project on "Optimizing the Competitiveness of Geographical Indications (GIs) and Origin-Link Products (OLPs) for CARICOM Countries - <i>carried forward from 2016</i>
<b>Activity:</b> Training Awareness Program for Teenagers
<b>Activity:</b> Joint WIPO Academy/OEPM/ Escuela de Organización Industrial (EOI) of Spain Summer School - In Madrid (ESP)
<b>Activity:</b> WIPO Academy Summer School
<b>Activity:</b> WIPO Support to the Implementation of the Caribbean Regional Patent Administration Office (CPAS)
<b>Activity:</b> Sub-Regional Seminar and Workshop on IP & Innovation Policies for Central American Countries, Cuba and the Dominican Republic and Launching of the Regional Global Innovation Index - In Costa Rica, 3 1/2 days
<b>Activity:</b> XIII WIPO/EPO/OEPM Meeting on the LATIPAT Project - in Guatemala
<b>Activity:</b> Annual Meeting of IP Academies - in Colombia
<b>Activity:</b> Official hospitality offered by DS/LAC Director
<b>Activity:</b> Farewell cocktail (retirement)
<b>Activity:</b> Costs related to unpaid expenditures in 2016 - Various UNDP cost-related exp.
<b>Activity:</b> ICS contract offered to a regional expert (MEX, G. CORRES BENIGNOS) for the development and implementation of a common platform and database of acceptable indications of goods and services for Central American countries and the Dominican Republic - <i>carried forward from 2016</i>
<b>Activity:</b> ICS contract offered to a regional expert (PER, Patricia GAMBOA VILELA) for reviewing and adjusting the harmonized Manual of criteria of registration of distinctive signs for Central American countries and the Dominican Republic - <i>carried forward from 2016</i>
<b>Activity:</b> ICS contract offered to a regional expert (TOT, Tene REECE) for drafting and producing a harmonized Trademark Manual for Caribbean Countries - <i>carried forward from 2016</i>
<b>Activity:</b> Participation of DS/LAC/Caribbean Section Official in Practical Training Seminar "EU Financial Accounting in International Cooperation and Development Projects" - Berlin (Germany)

<b>Activity:</b> Hiring of an Agency Worker
<b>Activity:</b> WIPO-IDB REACH/UWI Workshop on Lean Commercialization of Intellectual Property (IP) and Research: An Evidence Based Entrepreneurial Bootcamp - University of the West Indies (UWI) St. Augustine Campus (TT)
<b>Main Activity:</b> Support on the design & development of distinctive collective signs for emblematic products and services
<b>Activity:</b> Regional Seminar on the Strategic Protection of Origin-Linked Products in the Agro-Export Sectors - In Guanajuato, Mexico, 3 days
<b>Activity:</b> Roving Seminar for GIs Producers
<b>Activity:</b> Back-to-Back Workshops on Distinctive Signs for Origin-based Products
<b>Activity:</b> Workshop on Distinctive Signs for Origin-based Products
<b>Activity:</b> Workshop on Distinctive Signs for Origin-based Products
<b>Activity:</b> Project for Branding of Origin-based Products
<b>Activity:</b> Video-Conference session on the strategic use of GIs & Collective TMs for economic development, in the framework of a Specialization Course organized by the National IP Office (SAPI) and the University of the Andes
<b>Main Activity:</b> Promote programs and activities in the framework of horizontal cooperation between countries of the region
<b>Activity:</b> WIPO Regional Training Course for Patent Examiners of Latin American Countries - In Cuba, 5 days.
<b>Activity:</b> WIPO/OEPM Training Course on Trademark Procedures for Latin American Countries
<b>Activity:</b> Training for Examiners of National IP Offices on Patents/TMs/ Industrial Designs/ Classifications
<b>Activity:</b> Study Visit by Officials of the IP Offices of Saint Kitts and Nevis (2) and of Suriname (3), on the structure and daily operations of an experienced & efficient IP Office of the Caribbean Region
<b>Activity:</b> Participation as Expert/Speaker of Manager, Technical Examination, Intellectual Property of Trinidad and Tobago, Port of Spain, to provide technical assistance and training on the processing and substantive examination of patents to staff of the Intellectual Property of Saint Kitts and Nevis
<b>Activity:</b> Back-to-Back expert mission on the examination of trademarks (CRI) and the Nice and Vienna Classifications (NIC)
<b>Activity:</b> Training Workshop on Trademarks Examination addressed to Trademarks Examiners of the Industrial Property Registry of Costa Rica, delivered by an IMPI Official
<b>Activity:</b> Study Visit on Quality Control and Procedures of two Officials of the National IP Office to the Canadian IP Office
<b>Activity:</b> Study Visit on IP by one Official of the National IP Office to the United States Patent & Trademark Office
<b>Expected Result III.6 Increased capacity of SMEs to successfully use IP to support innovation</b>
<b>Expected Result IV.2 Enhanced access to, and use of, IP information by IP institutions and the public to promote innovation and creativity</b>
<b>Indicator:</b> No. of sustainable national TISC networks
<b>Main Activity:</b> Support the establishment, development & maintenance of national TISC networks, by organizing consultation, sensitization & follow-up activities with gov. agencies & relevant stakeholders
<b>Activity:</b> Sub-Regional Training on Patent Analytics & Commercialization - In Colombia, 3 days
<b>Activity:</b> Sub-Regional Meeting of TISCs Focal Points for Central American Countries - In Dominican Republic - followed by a National Seminar to Promote the TISCs Program - DS/LAC contribution to (1) WIPO Workshop on Patent Information Search Strategies and Value Added Specialized Services for TISC National Networks Staff; and (2) Third WIPO Central American Meeting of Experts on the Establishment of a TISC Sub-Regional Network for Central American Countries and the Dominican Republic (CATI-CARD)
<b>Activity:</b> Workshop on Access to Technology for Innovation and Establishing a Technology and Innovation Support Center (TISC) Network in Jamaica [Sub-Regional Meeting to Promote the TISCs Program in Caribbean Countries - In Jamaica
<b>Activity:</b> Assessment mission, back-to back with a National Seminar to Promote the TISCs Program
<b>Activity:</b> Development of Successful Stories of Colombian TISCs
<b>Activity:</b> National Back-to-Back Seminars to Promote the TISCs Program
<b>Activity:</b> Expert mission in Chemistry -as a strategic field (tbc)
<b>Activity:</b> National Training Workshop on Patent Search
<b>Activity:</b> National Workshop on the Strategic Use of Patent Information - back-to-back with coordination mission to discuss the TISC Program with national authorities
<b>Indicator:</b> No. of projects arising from transfer and utilization of technologies, based on better use of patent system in the public domain, in developing countries
<b>Main Activity:</b> Within the framework of the implementation of IP Strategies, to build capacity in entrepreneurship and IP asset management, as well as increase competitiveness of firms , research institutions, universities
<b>Expected Result IV.4 Enhanced technical and knowledge infrastructure for IP Offices and other IP institutions leading to better services (cheaper, faster, higher quality) to their stakeholders and better outcome of IP Administration</b>
<b>Indicator:</b> Average service level of IP Offices assisted (ranging from 1 to 5)
<b>Main Activity:</b> Provision of support in the IP Offices modernization process, by establishing the conditions for ensuring the development of adequate automation processes
<b>Activity:</b> Implementation and improvement of the IPAS in the LAC Region
<b>Activity:</b> Costs related to unpaid expenditures in 2016 - Visa fees

**ANNEX VIII: RESULTS-BASED FRAMEWORK – RBLAC 2014-2019**

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

## ANNEX IX: RECONSTRUCTED WIPO THEORY OF CHANGE IN THE LAC REGION



- During the inception week, the evaluation team was able to meet with the RBLAC staff and colleagues. During these consultations the team was able to build the Theory of Change, to visualize the chains of results.
- RBLAC **inputs** are mainly, human resources, financial resources and time. The added value from its human resources is the Knowledge of the countries and the region (Governments background and priorities, Development agenda, Normative, economic and social context).
- The main **activities** are:
  - Coordination (INTERNAL/EXTERNAL) that include Administrative and logistic work, facilitate the use of IP, Prepare programs, Decide projects, Work-plans proposals and Strategizing. All these, by articulating WIPO's sectors together with the countries.
  - Advocacy
  - Training and technical assistance
  - Implementation
  - Creating new businesses
- The **outputs** are:
  - Tailored programs. The RBLAC provides a step by step assistance, an strategy, protocol and sequenced set of actions towards countries.
  - Partnerships, networks
  - Knowledge management (Exchanges between countries, horizontal, south-south)
  - National IP strategies
  - National policies
  - Guidelines, manuals
  - New lines of collaboration, new projects
- The **outcomes** are:

- 
- Strengthening countries' IP systems
  - Growing demand and change in the demand (from protection to get value out of protection)
  - Sophistication of demands (not only basic IP, but to develop business, tech transfer, ecosystems)
  - Capacity building
  - Horizontal cooperation
  - Modernization of IP offices
  - Sustained in time assistance
  - IP software
  - Partnerships, Amplified stakeholders (not only IP offices, SMEs, Universities, development partners, etc.)
  - Policy making

**ANNEX X: RISK, LIMITATIONS AND MITIGATION STRATEGIES<sup>20</sup>**

Integrated interventions such as WIPO Regional Bureau in LAC encompass heterogeneous but complementary interventions with common objectives. The evaluation complexity is derived from different elements that the methodology will address:

- The ‘products’ and effects generated sometimes lack a monetary or quantitative basis of assessment, and therefore are often difficult to express quantifiably (e.g. *strengthening IP systems, raising awareness of the IP importance, mobilizing authorities, capacity building, etc.*)
- External factors affecting the management and outcomes (e.g. political will, capacity of the partners at the national level, economic aspects, culture, education, etc.)
- Implementation of the programme with a range of target groups
- Different topics and activities are implemented under the same intervention

The methodology applied was designed with the aforementioned complexities in mind. The basic purpose of the methodology is to establish a method that will allow the evaluation team to answer the questions stated in the ToR and come to overall assessment. The risks will be addressed by the appropriate mitigation measures:

Risk	Mitigation Measures
1. Availability of focal points, identified interviewees to meet during the allocated period	Extended advance notice will be provided to identify interviewees, and in the event that face to face appointments cannot be kept, these will be rescheduled and carried out by phone or Skype as necessary.
1. Internal WIPO procedures, especially circular notes required to inform Member States about the evaluation required at least two months of preparation. This could delay the evaluation process considerable.	The WIPO RBLAC will be solicited to use their influence to leverage the full support and participation of stakeholders in all aspects of the evaluation
2. Difficulties in accessing necessary data and/or delays in receiving necessary information from identified informants	
3. Inadequacies in the baselines developed at programme outset;	Data from pre-project situational reports, and anecdotal information will be solicited from key informants, and used to construct a proxy baseline condition as can be reasonably expected existed prior to the intervention start
4. Absence of sufficiently rigorous monitoring protocols and systematic reporting on the respective interventions	Where there are information gaps, there will be greater emphasis on the information derived from key informants,

<sup>20</sup> With each IAOD assignment there are inherent risks on independence, objectivity, resources which have been identified in the WIPO Risk Register and this includes as well the mitigation strategies. The Risk Register can be found under the following link: <https://intranet.wipo.int/confluence/display/budget/2.+Risk+Assessment-+Templates+and+Submissions-+Program+26>

	and the information will be validated by triangulation to the extent possible
5. Reticence on the part of informants regarding their perceived true status of the intervention outcomes due to fears of adverse repercussions/bias	Participants in the evaluation will be briefed on the purpose of the exercise, and be assured that the evaluation is not a personal performance assessment. Information gathered from informants will be kept confidential if necessary, and permission sought to cite evidence from data gathered from such informants. Good practice evaluation ethics will be followed, including the standards established by the Federation Evaluation Framework and the ICRC Pledge of Discretion as referenced in the ToR. Informants will be informed of these standards and processes at the start of interviews.
<u>Surveys need to be translated into the languages of the region. This requires considerable amount of time from the translators in WIPO, at least 1 month, which would delay the evaluation process.</u>	The evaluation team will make use of their language skills and translate the surveys internally to avoid any further delays.
6. Size of the sample for in depth consultations in the field. Given time and resources restraints, the evaluation can only visit three countries for in depth observation.	The triangulation process involving other consultations tools and covering all member countries will guarantee a rigorous evaluation process, based on evidence.

**ANNEX XI: EVALUATION QUESTIONS MATRIX**

The evaluation question matrix includes all questions for which the evaluation will seek responses. The evaluation will try to answer as many questions as possible making use of:

- existing secondary data such as organizational records, in house documentation; and
- primary data which will be collected during these evaluation through interviews, surveys, etc.

The matrix will be used as guidance when developing surveys and interview protocols for the various stakeholder groups.

CRITERIA/ SUB-CRITERIA	GUIDING QUESTIONS TO BE ADDRESSED BY EVALUATION	DATA SOURCES	DATA COLLECTION AND ANALYSIS METHODS
<b>1. RELEVANCE: How relevant are the RBLAC results and activities relevant to the situation in the region, the mandate of the RBLAC, and the needs of stakeholders?</b>			
<b>Participation level</b>	<ul style="list-style-type: none"> <li>• Did the Bureau have a consultation process with member countries? How was it?</li> <li>• Were there attempts to foster inclusiveness, promote dialogue and include all key stakeholders in Geneva and at national level? And what has been the approach to reach out all key IP stakeholders?</li> <li>• How has the programme contributed to institutions' empowerment?</li> <li>• How could the regional office and the national counterparts address gender issues? And what are the current limitations?</li> </ul>	Key documents Substantive reports	In-depth interviews Focus group discussions Feedback sessions Content analysis Online survey
<b>Alignment (at the global level, WIPO mandate, UN agencies)</b>	<ul style="list-style-type: none"> <li>• Are country interventions clearly within WIPO's mandate and congruent with its Strategic Planning?</li> <li>• Is it addressing pressing development challenges in the region?</li> <li>• Was the balance between the different types of activities in the countries appropriate in view of national needs?</li> <li>• How are national and regional stakeholders' needs identified?</li> <li>• How are national and regional priorities defined?</li> <li>• What could be the RBLAC's contribution to IP related gender issues?</li> </ul>	Reports WIPO Strategic documents Key documents	In-depth interviews Content analysis
<b>Responsiveness/ adaptability</b>	<ul style="list-style-type: none"> <li>• What is the Bureau added value for the LAC region?</li> <li>• How responsive has the Bureau been to new and important needs and opportunities that may have arisen in the region (at regional and country levels)?</li> </ul>	Contexts reports Key documents	In-depth interviews Focus group discussions Feedback sessions Content analysis



CRITERIA/ SUB-CRITERIA	GUIDING QUESTIONS TO BE ADDRESSED BY EVALUATION	DATA SOURCES	DATA COLLECTION AND ANALYSIS METHODS
<p><b>Conceptual clarity – Is there a common understanding of the Theory of Change across the programme and within WIPO? How are the concepts translated into programme design? Clarity, completeness and relevance of the theory of change?</b></p>	<ul style="list-style-type: none"> <li>• What is the strategy of the Bureau for achieving its goals? Is there a clear idea of the approach?</li> <li>• Are the outcomes/outputs properly defined and prioritized?</li> <li>• Assess extent to which interventions address problems (set out in the TOC)</li> <li>• Is the strategy aligned with WIPO's strengths?</li> </ul>	<p>Key documents Substantive reports</p>	<p>In-depth interviews Focus group discussions Feedback sessions Content analysis Online survey</p>
<p><b>2. EFFECTIVENESS: Has the RBLAC contributed to the achievement of WIPO's SGs, ERs, and better delivery of WIPO's mandate? And to what extent?</b></p>			
<p><b>Degree of achievement of the outcomes</b></p>	<ul style="list-style-type: none"> <li>• What are the most salient results achieved by the Bureau under each of the focus areas?</li> <li>• Were the outputs produced by the Bureau well received by stake holders? (satisfactory)</li> <li>• How do these achieved results compare with planned results?</li> <li>• What are the obstacles, risks or constraints the programme faced? And how are they mitigating these constraints?</li> <li>• What progress was made in the implementation of the management responses from previous evaluation</li> </ul>	<p>Context reports External tools WIPO Strategic docs Key documents Substantive reports Knowledge products</p>	<p>In-depth interviews Focus group discussions On-line survey Feedback sessions Content analysis</p>
<p><b>Partnerships being involved to achieve results</b></p>	<ul style="list-style-type: none"> <li>• What are the main examples of results achieved at the national level?</li> <li>• How has the RBLAC responded to needs expressed outside the RP?</li> </ul>	<p>Context reports External tools Key documents Substantive reports Knowledge products</p>	<p>In-depth interviews Focus group discussions On-line survey Feedback sessions Content analysis</p>
<p><b>M&amp;E</b></p>	<ul style="list-style-type: none"> <li>• Was monitoring information adequately shared with stakeholders?</li> <li>• Are the indicators of good quality (SMART)?</li> </ul>	<p>Key documents Substantive reports</p>	<p>In-depth interviews Focus group discussions On-line survey Feedback sessions Content analysis</p>
<p><b>External context</b></p>	<ul style="list-style-type: none"> <li>• What factors and externalities may reduce or strengthen sustainability (e.g. world financial crisis, middle income status, etc.)?</li> </ul>	<p>Context reports External tools Substantive reports</p>	<p>In-depth interviews Focus group discussions Feedback sessions Content analysis</p>
<p><b>Capacity</b></p>	<ul style="list-style-type: none"> <li>• Did WIPO engage adequately and successfully</li> </ul>	<p>Context</p>	<p>In-depth</p>

CRITERIA/ SUB-CRITERIA	GUIDING QUESTIONS TO BE ADDRESSED BY EVALUATION	DATA SOURCES	DATA COLLECTION AND ANALYSIS METHODS
<b>development/institutional strengthening</b>	<p>in national/regional capacity development? With what results?</p> <ul style="list-style-type: none"> <li>• Are the results achieved well known and “owned” regionally and nationally?</li> <li>• Did the regional programme adequately invest in, and focus on, national capacity development to ensure sustainability and promote efficiency?</li> </ul>	<p>reports External tools Key documents Substantive reports</p>	<p>interviews On-line survey Feedback sessions Content analysis</p>
<b>Knowledge transfer</b>	<ul style="list-style-type: none"> <li>• Are lessons learned from pilot projects and others disseminated? And how?</li> <li>• Are catalytic interventions/practices and pilot projects/activities capitalized upon?</li> <li>• Have interventions been scaled-up, replicated or transferred?</li> <li>• Are the knowledge products (reports, studies, etc.) delivered by the RBLAC adapted to country needs?</li> </ul>	<p>Context reports External tools Key documents Substantive reports</p>	<p>In-depth interviews On-line survey Feedback sessions Content analysis</p>
<b>Exit strategies</b>	<ul style="list-style-type: none"> <li>• Were appropriate exit strategies included in memorandums of understanding, the design and implemented, if appropriate?</li> </ul>	<p>Key documents Substantive reports Financial reports Knowledge products</p>	<p>In-depth interviews Feedback sessions Content analysis</p>
<b>3. EFFICIENCY: Are there better ways to allocate and use available resources to achieve the RBLAC’s goals and ERs? Are the services provided by the RBLAC on a demand driven basis consistent with organizational priorities and with available resources?</b>			
<b>Appropriate use of resources</b>	<ul style="list-style-type: none"> <li>• How was the mixture of inputs (human resources, budget and time) managed to produce the outputs and reach the outcomes? To what extent did these decisions contributed to efficiency?</li> <li>• Could the programme have achieved more with the same resources, or made the same contribution with fewer resources?</li> <li>• Has the Bureau been the most efficient vehicle to deliver the programme results, given the amount of resources available?</li> <li>• Execution rate?</li> <li>• Were there sufficient resources that were allocated for gender equality in the design?</li> <li>• Was the Bureau implementation timely?</li> </ul>	<p>Key documents Substantive reports Financial reports Management</p>	<p>In-depth interviews Feedback sessions Content analysis</p>
<b>Synergies/Non duplication</b>	<ul style="list-style-type: none"> <li>• What is the level of coordination with similar interventions in the region? (from regional institutions, governments)</li> <li>• How effective has the Bureau been in terms of supporting resource mobilization needs?</li> </ul>	<p>Key documents Substantive reports Financial reports Trackers</p>	<p>In-depth interviews Focus group discussions Feedback sessions Content analysis</p>

[Annex XII follows]

## ANNEX XII: PERFORMANCE ASSESSMENT RATING BASED ON EVALUATION SUB-CRITERIA

Criteria #	Criteria and sub-criteria	Rating	Evaluation Findings and conclusions	Infographic color code
	<b>RELEVANCE – Sub-criteria</b>	Total 100		
1	Alignment to WIPO's mandate	20	Activities are aligned with WIPO's mandate	
2	Gender inclusion	6	Only one activity has been undertaken in relation to gender	
3	Participation level	16	92% of PM are satisfied and 50% of external stakeholders	
4	Responsiveness and adaptability	20	85% of survey respondents satisfied and high satisfied with response	
5	Criteria for selecting initiatives	10	There are some criteria but this are not clear externally	
	Total score on relevance	72		
	Percentage rating result	72		
	<b>EFFECTIVENESS – Sub-criteria</b>	Total 140		
1	Alignment of indicators with expected results	18	Partly well aligned	
2	Satisfied with contribution	20	Over 90% of interviewed and surveyed stakeholders were satisfied	
3	Indicators meet SMART criteria	20	Indicators were found to meet criteria	
4	Degree of achievement of strategic goals and expected results	20	91% achievement of Ers	
5	Monitoring and evaluation	6	Weak M&E	
6	Knowledge management	10	The RBLAC shared knowledge but not systematically	
7	Gender effectiveness	6	Limited exchange and follow up	
	Total score on effectiveness	100		
	Percentage rating result	71		
	<b>EFFICIENCY – Sub-criteria</b>	Total 140		
1	Management of financial and human resources	20	Total expenditure remained within allocated budget. Over 92 % are satisfied with the management of resources and use of local expertise	
2	Resources allocation criteria	10	It is unclear how regions with different contexts, needs and levels of development receive similar budgets	
3	Resources allocation coherent with WIPO's strategic priorities	20	Resources utilization is synchronized with WIPO's strategic priorities	
4	Management of FITs	10	Donor conditionality and earmarking of funds have limited efficient use of these resources	
5	Coordination and collaboration	12	More than 56% are satisfied with internal coordination	
6	Service satisfaction	20	Between 80 and 96 % satisfaction	
7	Timeliness and usefulness	20	More than 85 % are satisfied	
	Total score on efficiency	112		
	Percentage rating result	76		

	Rating	Rating percentages	Score by sub-criteria1-20
	Sufficiently meets the criteria	80% or greater	16-20
	Partially meets the criteria	30-80%	6-15
	Did not meet the criteria	less than 30%	.1-5
	Not accessible		

[End of annexes XI and of document]