

Committee on Development and Intellectual Property (CDIP)

Thirty-First Session

Geneva, November 27 to December 1, 2023

PROJECT ON IP AND INNOVATION COLLABORATION AS A FOUNDATION FOR TECHNOLOGY TRANSFER AND BRINGING RESEARCH OUTPUT TO MARKET – PROJECT PROPOSAL SUBMITTED BY THE PHILIPPINES

prepared by the Secretariat

1. By means of a communication dated April 13, 2023, the Delegation of the Philippines submitted a proposal for a pilot project on “IP and Innovation Collaboration as a Foundation for Technology Transfer and Bringing Research Output to Market”, for consideration of the thirty-first session of the CDIP.

2. The Annexes to this document contain the said proposal, developed with the support of the WIPO Secretariat.

3. *The Committee is invited to consider the Annexes hereto.*

[Annexes follow]

1. Introduction of the Project
1.1. Project Code
DA_10_23_31_36_01
1.2. Project Title
IP and Innovation Collaboration as a Foundation for Technology Transfer and Bringing Research Output to Market
1.3. DA Recommendations
<p><i>Recommendation 10:</i> To assist Member States to develop and improve national intellectual property institutional capacity through further development of infrastructure and other facilities with a view to making national intellectual property institutions more efficient and promote fair balance between intellectual property protection and the public interest. This technical assistance should also be extended to sub-regional and regional organizations dealing with intellectual property.</p> <p><i>Recommendation 23:</i> To consider how to better promote pro-competitive intellectual property licensing practices, particularly with a view to fostering creativity, innovation and the transfer and dissemination of technology to interested countries, in particular developing countries and LDCs.</p> <p><i>Recommendation 31:</i> To undertake initiatives agreed by Member States, which contribute to transfer of technology to developing countries, such as requesting WIPO to facilitate better access to publicly available patent information.</p> <p><i>Recommendation 36:</i> To exchange experiences on open collaborative projects such as the Human Genome Project as well as on intellectual property models.</p>
1.4. Project Duration
36 months
1.5. Project Budget
The total Project budget is of 607,750 Swiss Francs, all related to non-personnel expenditures.
2. Description of the Project
<p>Collaborative innovation, supported by mechanisms, such as research collaboration and technology transfer, plays a critical role in fostering technological and economic development. Research collaborations, such as the Human Genome Project, have led to revolutionary advances in scientific knowledge and laid the foundation for advances in medicine and other technological applications. It is also estimated that academic licensing in the United States of America alone contributed as much as 1.9 trillion US dollars (2012) to industry gross output and as much as 1 trillion US dollars (2012) to gross domestic product. Moreover, it supported as many as 6.499 million person-years of employment through licensed product sales during the period from 1996 to 2020 (Pressman et al. 2022).</p> <p>Collaboration between universities, research institutes and industry is an important driver of innovation. Improving such collaboration is necessary for the development and transfer of knowledge and technology worldwide, and in developing countries and LDCs in particular. Innovation collaboration occurs where two or more parties wish to cooperate on a joint program of research, with the objective to develop and possibly commercialize IP. The parties invest their human, physical and financial resources, assets (including background IP rights) and skills. They jointly define the objectives and legal framework of the collaboration, including IP rights ownership, access rights, and are both exposed to risks and rewards</p>

dependent on the commercial success of the activity.

Innovation collaboration may not primarily be driven by commercial reasons, but also be motivated by research-related benefits. It can nonetheless serve as a major generator of revenue. For example, in 2020, Australian universities generated 1.6 billion US dollars in income from consultancy and research contracts, representing 4.6 percent of total income. In some universities, this proportion exceeded 8 percent. It is also well above the 100 million US dollars in revenue from royalties, trademarks, and licenses (Howard, 2021).

2.1. Project Concept

The project will enhance the capacity of technology creators and technology intermediaries to engage in and support innovation collaboration by: i) identifying and disseminating good practices and effective institutional policy frameworks; and ii) developing and refining guidance and training in this area.

2.2. Project Objective, Outcome and Outputs

The project is expected to address technology creators (e.g., academic and research institutions, enterprises) and technology intermediaries, including Technology Transfer Offices (TTO), and Technology and Innovation Support Centers (TISCs), in particular, in developing countries and LDCs, and build their capacity to engage in, and support innovation collaboration.

The proposed project **objective** is to enhance success in innovation collaboration, in particular, for social and economic development, by: i) identifying and disseminating good practices and effective institutional policy frameworks; and ii) developing and refining guidance and training in this area.

The project's intended **outcome** is to enhance capacity for engaging in and supporting innovation collaboration projects, in particular, at the community level and build on the results of the past relevant Development Agenda (DA) projects.

The project will deliver the following **outputs**:

- i. Case studies on innovation collaboration;
- ii. Compilation of provisions in institutional IP policies related to innovation collaboration;
- iii. Guides for institutions on managing innovation collaboration;
- iv. Training materials on managing innovation collaboration;
- v. Training seminars on managing innovation collaboration; and
- vi. Refined guides and training materials on managing innovation collaboration.

The project assembles several time-limited activities designed to develop specific products and tools that will subsequently be incorporated into the continuing support offered by WIPO to its Member States, in particular, to TTO and TISCs. The project will be implemented in four pilot countries, including the Philippines.

2.3. Project Implementation Strategy

The proposed project will achieve its objectives through the following outputs:

Output 1: Case studies on innovation collaboration.

Case studies will be prepared on successful practices, in collaboration between academic institutions and industry partners, highlighting success factors and offering

recommendations on how to apply them in specific contexts.

Activities:

- a. Conduct a survey on successful case studies on practices in academia-industry collaboration;
- b. Conduct desk research on successful case studies on practices in academia-industry collaboration; and
- c. Identify success factors and recommendations based on the prepared successful case studies.

Output 2: Compilation of provisions in institutional IP policies related to innovation collaboration.

A compilation of provisions in institutional IP policies relating to research collaboration, out-licensing, in-licensing, and cross-licensing will be prepared and will provide a platform for this project. Data collection will be based on a desk review and a global call for inputs from Member States. The outcomes from this exercise will be integrated into the Database of IP Policies for Universities and Research Institutions.

Activities:

- a. Conduct a survey on the provisions of institutional IP policies of Member States, relating to collaboration for innovation;
- b. Collate institutional IP policies of Member States relating to collaboration for innovation;
- c. Identify relevant provisions from the collated institutional IP policies relating to collaboration for innovations; and
- d. Integrate the identified provisions from the survey and institutional IP policies in the Database of IP Policies for Universities and Research Institutions.

Output 3: Guides for institutions on managing innovation collaboration.

Activities:

- a. Guides: Based on the fact-finding stage detailed above, an examination of the salient features of successful policies and practices will be undertaken to identify characteristics, which facilitate collaborative innovation. That, in turn, would enable the preparation of a set of guides for technology creators (e.g., researchers) and technology intermediaries (e.g., Technology Transfer Office Staff, TISCs Staff). The guides will be focusing on the following main areas:
 - assessing technology needs at the community level to be targeted through collaboration for innovation;
 - defining joint objectives for innovation collaboration projects;
 - identifying potential partners (e.g., through patent analytics and market studies, a prerequisite of IP valuation and commercialization or utilization);
 - creating frameworks for sharing and exchanging data, information, and knowledge, including negotiating collaboration agreements;
 - creating frameworks for facilitating access to data, information, and knowledge;
 - integrating externally generated data, information, and knowledge into internal research and development processes; and

- taking advantage of opportunities and mitigating risks from collaboration for innovation.

- b. Peer review: The guides will be subjected to peer review to ensure that they meet the highest standards of technical accuracy and quality, and are fully aligned with the current state of knowledge in the field.

Output 4: Training materials on managing innovation collaboration.

Activity: A set of training materials relating to technology transfer for technology creators and technology intermediaries will be prepared on the basis of the abovementioned guides. The training materials will disseminate findings from this project through tutorials in presentation format, background data and exercises with instructions for seminar facilitators and participants.

Output 5: Training seminars on managing innovation collaboration.

Activity: Training seminars will be held back-to-back for technology creators and technology intermediaries in the Philippines and the three pilot countries based on the abovementioned training materials. The training seminars will aim to develop the participants' capabilities, obtain their feedback, and establish lessons learned. The Philippines and the three pilot countries in which the training seminars will be carried out will be selected with due consideration to geographical and socio-economic diversity to ensure the applicability of the guidelines and training materials to a wide range of situations and needs. These seminars may include IP assessment, IP valuation, freedom to operate, technology pitching, and technology transfer agreements.

Output 6: Refined guides and training materials on managing innovation collaboration.

Activity: Improvements will be made to the set of abovementioned guides and training materials based on participants' feedback and lessons learned from the training seminars, with a particular view to making them more user-friendly and better adapted to the situation and needs of beneficiaries in developing countries.

2.4. Project Indicators

<u>Project Objectives:</u>	<u>Objective Indicators:</u>
<p>The overall objective of the project is to enhance success in innovation collaboration, in particular, for social and economic development, by identifying and disseminating good practices and effective institutional policy frameworks and developing and refining guidance and training in this area.</p>	<ul style="list-style-type: none"> - Increase in research objectives jointly defined with project beneficiary institutions over the pre-project average baseline (post-project impact assessment). - Increase in innovation projects launched, based on research objectives jointly defined with project beneficiary institutions over the pre-project average baseline (post-project impact assessment). - Increase in innovation projects completed, based on research objectives jointly defined with project beneficiary institutions over the pre-project average baseline (post-project impact assessment). - Lower number of disputes arising from outputs of completed innovation projects, based on research objectives jointly

	<p>defined with beneficiary institutions compared to benchmark (post-project impact assessment).</p> <ul style="list-style-type: none"> - Increase in research collaboration agreements and technology licenses concluded by project beneficiary institutions over the pre-project average baseline (post-project impact assessment).
<p><u>Project Outcomes:</u></p> <p>Enhanced capacity for engaging in and supporting innovation collaboration projects, in particular, at the community level.</p>	<p><u>Outcome Indicators:</u></p> <ul style="list-style-type: none"> - 70% of trainees demonstrating enhanced knowledge and skills on initiation and management of innovation collaboration. - 35% of trainees assessed to have successfully integrated knowledge and skills on initiation and management of innovation collaboration into organizational behaviors [post-project impact assessment].
<p><u>Project Outputs:</u></p> <p>Case studies on innovation collaboration.</p>	<p><u>Output Indicators:</u></p> <ul style="list-style-type: none"> - One case study on innovation collaboration per beneficiary country.
<p>Compilation of provisions in institutional IP policies related to innovation collaboration.</p>	<ul style="list-style-type: none"> - Ten provisions in institutional IP policies related to innovation collaboration published through the Database of IP Policies from Universities and Research Institutions.
<p>Guides for institutions on managing innovation collaboration.</p>	<ul style="list-style-type: none"> - Seven guides on innovation collaboration prepared.
<p>Training materials on managing innovation collaboration.</p>	<ul style="list-style-type: none"> - Seven presentations on innovation collaboration prepared.
<p>Training seminars on managing innovation collaboration.</p>	<ul style="list-style-type: none"> - One training seminar on innovation collaboration provided to each beneficiary country.
<p>Refined guides and training materials on managing innovation collaboration.</p>	<ul style="list-style-type: none"> - Seven guides on innovation collaboration prepared including revisions based on training seminar feedback. - 70% participants in training seminar expressed their satisfaction with the guides and training materials in terms of relevance and clarity.

2.5. Sustainability Strategy

A dedicated webpage will be established by WIPO, offering easy access to the case studies, institutional IP policies, guides, and training materials delivered under this project. The

training developed under this project will be integrated into WIPO's regular offering of training in the area of technology transfer and technology and innovation support.

The project will address, in particular, TTOs and TISCs: i) to ensure that the capabilities and capacities developed through the project are institutionalized and applied in the services provided by these technology intermediaries; and ii) to leverage their networks with technology creators to achieve multiplier effects.

To aid in keeping the momentum of the project outcomes, participants will be encouraged to create and maintain either a dedicated webpage or a micro-site within their official webpages as part of an advocacy communications plan.

2.6. Selection Criteria for Pilot/Beneficiary Countries

The project will be implemented in the Philippines and three other pilot countries. The following criteria may be considered:

1. Appointment of a national coordinator who will act as the country's institutional representative.
2. Actual need for innovation collaboration to enhance the capabilities of technology creators and intermediaries.
3. Existing policies on research and innovation.
4. Presence of institutions engaged in or supporting innovation collaboration.
5. Presence of an established network of technology intermediaries, including TTOs and TISCs, and similar technology transfer structures.
6. Expression of interest by the Member State's IP Offices and other relevant authorities in charge of technology transfer.

Member States interested in participating in the project should complete the template for submission of requests, contained in Annex II of this document, indicating the institution that would be the focal point.

2.7. Implementing Organizational Entity

IP for Innovators Department, IP and Innovation Ecosystems Sector

2.8. Links to other Organizational Entities

Regional and National Development Sector; Infrastructure and Platforms Sector

2.9. Links to other DA Projects

DA Project on *Intellectual Property and Technology Transfer: Common Challenges - Building Solutions* (CDIP/6/4 REV.)

DA Project on *Open Collaborative Projects and IP Based Models* (CDIP/6/6 REV.)

2.10. Contribution to Expected Results in WIPO's Program and Budget

Program and Budget 2024/25

3.3 Knowledge transfer and technology adaptation is facilitated through WIPO's IP-based platforms and tools to address global challenges.

4.1. More effective use of IP to support growth and development of all Member States and their relevant regions and sub-regions, including through the mainstreaming of the Development Agenda recommendations.

4.4 More innovators, creators, SMEs, universities, research institutions and communities leverage IP successfully.

2.11. Risk and Mitigation

Risk 1: Insufficient capabilities among beneficiaries in the Philippines and the other three pilot countries to understand and effectively use the knowledge contained in the guidelines and conveyed in the training seminars on managing collaborative innovation.

Mitigation 1: Establishing contacts with institutions described in the case studies on institutional collaboration for innovation. This enables networking opportunities and facilitates the exchange of experiences and best practices between beneficiaries in the Philippines and the three other pilot countries. Additionally, the guidelines and training seminars will be adapted to the assessed capabilities of beneficiaries in each pilot country. The selection of participants for the training seminars will be done in cooperation with national focal points designated by the respective Member States, ensuring that participants have the necessary basic knowledge to absorb the additional knowledge conveyed in the training seminars.

3. TENTATIVE IMPLEMENTATION TIMELINE

Project Outputs	Quarters											
	Year 1				Year 2				Year 3			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Pre implementation activities: ¹ - Selection of beneficiary countries - Appointment of national coordinators - Hiring of a Fellow												
Case studies on innovation collaboration	x	x										
Compilation of provisions in institutional IP policies related to innovation collaboration	x	x	x	x	x	x	x	x	x	x		
Guides for institutions on managing innovation collaboration			x	x	x							
Training materials on managing innovation collaboration					x	x						
Training seminars on managing innovation collaboration							x	x	x	x		
Refined guides and training materials on managing innovation collaboration										x	x	
Project evaluation											x	x
CDIP side event												x

¹Implementation will start only once the pre-implementation activities have been delivered, that is: (i) all beneficiary countries of the projects have been selected; (ii) focal points have been appointed in each country; and (iii) the project implementation team is established.

4. PROJECT BUDGET BY OUTPUT

<i>(in Swiss francs)</i> Project Outputs	Year 1		Year 2		Year 3		Total
	Personnel	Non-Personnel	Personnel	Non-Personnel	Personnel	Non-Personnel	
Project coordination	-	77,100	-	77,100	-	38,550	192,750
Case studies on innovation collaboration	-	40,000	-	-	-	-	40,000
Compilation of provisions in institutional IP policies related to innovation collaboration	-	-	-	-	-	-	-
Guides for institutions on managing innovation collaboration	-	92,000	-	83,000	-	-	175,000
Training materials on managing innovation collaboration	-	53,000	-	52,000	-	-	105,000
Training seminars on managing innovation collaboration	-	-	-	20,000	-	10,000	30,000
Refined guides and training materials on managing innovation collaboration	-	-	-	-	-	35,000	35,000
Project evaluation	-	-	-	-	-	15,000	15,000
CDIP side event	-	-	-	-	-	15,000	15,000
Total	-	262,100	-	232,100	-	113,550	607,750

5. PROJECT BUDGET BY COST CATEGORY

<i>(in Swiss francs)</i> Activities	Travel, Training and Grants			Contractual Services					Total
	Staff Missions	Third-party Travel	Training and related travel grants	Conferences	Publishing	Individual Contractual Services	WIPO Fellowships	Other Contractual Services	
Project coordination	-	-	-	-	-	-	192,750	-	192,750
Case studies on innovation collaboration	-	-	-	-	-	40,000	-	-	40,000
Compilation of provisions in institutional IP policies related to innovation collaboration	-	-	-	-	-	-	-	-	-
Guides on managing innovation collaboration	-	-	-	-	-	140,000	-	-	140,000
Peer review of guides on managing innovation collaboration	-	-	-	-	-	35,000	-	-	35,000
Training materials on managing innovation collaboration	-	-	-	-	-	70,000	-	-	70,000
Content editing training materials on managing innovation collaboration	-	-	-	-	-	35,000	-	-	35,000
Training seminars on managing innovation collaboration	-	-	-	30,000	-	-	-	-	30,000
Refined guides and training materials on managing innovation collaboration	-	-	-	-	-	35,000	-	-	35,000
Project evaluation	-	-	-	-	-	-	-	15,000	15,000
CDIP side event	-	-	-	-	-	-	-	15,000	15,000
Total	-	-	-	30,000	-	355,000	192,750	30,000	607,750

[Annex II follows]

6. REQUEST TO PARTICIPATE AS A PILOT/BENEFICIARY COUNTRY

TEMPLATE FOR THE SUBMISSION OF REQUESTS TO PARTICIPATE AS A PILOT/ BENEFICIARY COUNTRY	
Selection criteria	Brief description
1. Expression of interest	The requesting country should confirm that the intellectual property bodies of the requesting country are interested in participating in the project.
2. Institutions and legal framework	The requesting country should indicate the national body or institution that oversees patents and legal frameworks that relate to patents. Links to the institution website and the legal texts should be provided, where possible. Presence of an established network of technology intermediaries including Technology Transfer Offices (TTOs) and Technology and Innovation Support Centers (TISCs), and similar TT structures.
3. Criteria as per DA project document	The requesting country should indicate existing policies within the country on research and innovation. The requesting country should indicate institutions engaged in or supporting innovation collaboration.
4. Need of support	The requesting country should provide brief justification of the actual need for the support in managing innovation collaboration.
5. Commitment	The requesting country should confirm its commitment to devoting the necessary resources and logistical support as needed for the effective implementation of the project and its sustainability.
7. National Coordinator/ National Focal Point	The requesting country should propose a person, along with the person's position and organization, to act as national coordinator for the duration of the project and as the country's institutional representative.
7. Comments	The requesting country may provide any other information.

[End of Annexes and of document]