

Internal Oversight Division (IOD)

TERMS OF REFERENCE (ToRs)

EVALUATION PROGRAM 30:

SMALL AND MEDIUM SIZED ENTERPRISES (SMES) AND INNOVATION

1. BACKGROUND

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

2. OBJECTIVES AND SCOPE OF THE EVALUATION

(A) PURPOSE OF THE EVALUATION

4. The Terms of Reference is for an independent consultant (in the field of SMEs and in the field of innovation) to assist in the evaluation of Program 30: Small and Medium Sized Enterprises and Innovation.
5. The primary purpose for this assessment is to contribute to the accountability of the organization, to verify the relevance of the Program to the mandate of the Organization and its usefulness in responding to the needs of its stakeholders, to confirm its performance (outputs, outcomes and impact), and to analyze the factors that accounted for the achievements or lack thereof.
6. The secondary purpose shall be on learning lessons with a view to improve the delivery under this Program in the new biennium, and generate evidence on the relevance of the achieved results and outcomes, strategic partnerships and improving operations design and implementation whenever possible.

(B) OBJECTIVES AND USES

7. The evaluation will address the following aspects:
 - (a) Building on the project framework as summarized in the Programme and Budget (P&B) documents and Programme Performance Reports (PPRs) to provide an analysis of the efficiency, effectiveness and relevance of confirmed outputs and outcomes;
 - (b) Inform Program Managers and team as well as Member States on the main outcomes and challenges; and provide, if necessary, recommendations for enhancing future program performance; and
 - (c) Identify good practices that could be replicated throughout the Organization as well as future improvements for the Program.

(C) SCOPE

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

3. EVALUATION QUESTIONS (BY EVALUATION CRITERIA)

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

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

- Were the activities adequately resourced (both human and financial) to deliver the expected results and achieve objectives in a timely manner and with the requested quality?
- To which extent were synergies and multiplying effects exploited within WIPO and its partners (Member States, multilateral and bilateral cooperation)?
- What are the strengths, weaknesses, opportunities and threats of the existing processes?
- What are the key factors for making strategic choices and investing resources?

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

- To which extent has the program achieved each of its expected results?
- How adequate and relevant were key performance indicators and data monitored to assess progress towards achievement of expected results under Program 30? How appropriate and achievable were key performance indicators for implementation by WIPO? Were achievements monitored and reported?
- Have there been unexpected results of the Program's activities? If so, what have been their key effects?
- What were the key strengths and weaknesses in managing the program effectively?
- To which extent are the Member States satisfied with the outputs of the Program? Did they have specific requests and were these responded to?

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

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

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

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

4. METHODOLOGICAL APPROACH

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

11. The methodological approach will engage both internal and external stakeholders through participatory processes throughout all main stages of the evaluation.
12. The evaluation process and report shall apply the United Nations Evaluation Group (UNEG) Norms and Standards for evaluation.
13. The evaluation methodology will be refined and discussed during the inception phase. A Learning Resource Group composed of key Program staff will be consulted on intermediary products during the various phases of this evaluation.

5. DELIVERABLES

14. Based on the above, following deliverables shall be produced with the assistance of the external expert:
 - A draft inception report including the proposed methodology, timeframe and detailing the key questions, as well as initial findings.
 - A draft evaluation report with credible evidence-based findings, conclusions, as well as recommendations for improvement.
 - An identification of successful practices and value-added services.
15. All deliverables will be written in English.

6. TIME TABLE

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

7. MANAGEMENT ARRANGEMENTS AND CONDITIONS

18. The IOD Evaluation Section through the Task Manager will manage the evaluation and ensure coordination and liaison with the concerned sector in WIPO and with key stakeholders outside WIPO.
19. The IOD Evaluation Section is also responsible for conducting the first level quality assurance of evaluation products. Final review will be ensured by the Director, IOD.
20. The external experts will assist the IOD Task Manager throughout the whole evaluation process by assessing the technical and contextual aspects of the Program and formulating findings and recommendations.
21. The external experts are required to provide support to IOD when and as needed especially when preparing all expected products mentioned in Section 5 of these ToRs. They are also responsible for assisting in designing, preparing and applying all methodological tools such as surveys, evaluation question protocols and matrixes, etc. and for conducting interviews and participating in meetings with key stakeholders and drafting detailed notes of these meetings.
22. Dissemination of information and products will be done by the IOD Evaluation Section.
23. A lump sum fee will be paid to the external expert(s) in the following order:
 - 50% of the sums approved shall be paid after delivery of Inception Report (foreseen early January, 2015).
 - 50% of the sums approved shall be paid within 30 days after the delivery of the Final Report (foreseen March, 2015).
24. While payments are made upon satisfactory completion of above mentioned deliverables, for planning purposes the number of days of expert(s) work for this assignment is estimated to be about 30 effective working days over the evaluation period of approximately two and a half months.
25. The experts are expected to do the work home-based and at the WIPO Headquarter in Geneva as needed during the consultation phase. The reimbursement of incidental costs related to travel will be defined during the contracting process.
26. The selection of the experts will be based on a transparent and competitive process in accordance with the standard WIPO procurement procedures based on the criteria defined below in section 8.

8. PROFILE OF EXPERTISE REQUIRED

27. The expert(s)¹ shall have the following profile(s):

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

9. SUBMISSION AND SELECTION

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

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

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

¹ Depending on the profiles submitted, WIPO IOD may engage more than one expert for the fields underlined in the profile description.