

Intellectual Property and Human Development

This book examines the social impact of intellectual property laws. It addresses issues and trends relating to health, food security, education, new technologies, preservation of bio-cultural heritage and contemporary challenges in promoting the arts. It explores how intellectual property frameworks could be better calibrated to meet socio-economic needs in countries at different stages of development, with local contexts and culture in mind. Options and scenarios for the future are discussed. A resource for policymakers, stakeholders, non-profit organizations and students, this volume furthermore highlights alternative modes of innovation that are emerging to address such diverse challenges as neglected or resurgent diseases in developing countries and the harnessing of creative possibilities on the Internet. The collected essays emphasize not only fair access by individuals and communities to intellectual property-protected material – whether a cure, a crop variety, clean technology, a textbook or a tune – but also the enhancement of their own capabilities in cultural participation and innovation.

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- Published a seminal landscape analysis for the World Intellectual Property Organization and the World Health Organization on patent issues related to avian flu viruses and their genes, which is helping to remove obstacles to avian flu research and protect the ability of developing countries to share in the benefits of innovation.

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Cambridge University Press
978-0-521-19093-0 — Intellectual Property and Human Development
Edited by Tzen Wong , Graham Dutfield
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Intellectual Property and Human Development

Current Trends and Future Scenarios

Edited by

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Cambridge University Press
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CAMBRIDGE UNIVERSITY PRESS

University Printing House, Cambridge CB2 8BS, United Kingdom
 One Liberty Plaza, 20th Floor, New York, NY 10006, USA
 477 Williamstown Road, Port Melbourne, VIC 3207, Australia
 314-321, 3rd Floor, Plot 3, Splendor Forum, Jasola District Centre, New Delhi - 110025, India
 79 Anson Road, #06-04/06, Singapore 079906

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Information on this title: www.cambridge.org/9780521190930

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First published 2011

Reprinted 2011

A catalogue record for this publication is available from the British Library

Library of Congress Cataloging in Publication data

Intellectual property and human development : current trends and future scenarios / edited by Tzen Wong, Graham Dutfield.

p. cm.

Includes bibliographical references and index.

ISBN 978-0-521-19093-0 (hardback) – ISBN 978-0-521-13828-4 (pbk.)

1. Intellectual property (International law) 2. Sociological jurisprudence.

I. Wong, Tzen. II. Dutfield, Graham. III. Title.

K1401.I5533 2010

346.04'8 – dc22 2009039186

ISBN 978-0-521-19093-0 Hardback

ISBN 978-0-521-13828-4 Paperback

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Cambridge University Press
978-0-521-19093-0 — Intellectual Property and Human Development
Edited by Tzen Wong , Graham Dutfield
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Foreword

Sakiko Fukuda-Parr

One of the major challenges of the twenty-first century is to make globalization more inclusive and equitable, to better serve the purpose of human development. In this endeavour, managing intellectual property (IP) is a key issue. Few issues were as contentious in the negotiations over multilateral trade rules. Negotiations over the Agreement on Trade-Related Aspects of Intellectual Property Rights (TRIPS Agreement) were pivotal in finalizing the 1994 Marrakesh Agreement which created the World Trade Organization (WTO), and in adopting the 2001 Doha Declaration which launched the WTO's Doha 'Development Round'.

A core purpose of intellectual property rights (IPRs) including patents and copyrights is to achieve a balance between two potentially conflicting social objectives: encouraging innovation by recognizing private rights in intangible creations and ensuring the diffusion of new technologies and cultural works to a broad range of stakeholders. Superficially, the controversies that arise can be understood as a conflict of economic interests. The different interpretations and potentially competing objectives of IP can lead to tensions between the interests of inventors or authors and those of the public, between the technologically advanced countries and those with weaker capacities, between corporations that seek to maximize profit and the public that seeks access at least cost. But, as this book argues, much more is at stake than conflicts over material gains and losses: IP laws and policies must take on a much broader set of human development goals and concerns. The social function of IP is not only about providing incentives and rewards for creativity; it is also about ensuring that innovations, including new technologies, ultimately help to improve capabilities, sustain livelihoods and support people's fundamental rights.

While bargaining between governments defending their perceived economic interests has done much to shape the international IP and trade agendas, pressure from social and political movements to consider the human consequences of IPRs has been influential since the 1990s. Civil society concerns, for example, about the rights of indigenous peoples, farmers and the plight of persons living with HIV/AIDS, was part of a larger critique about the social impacts of 'Washington Consensus' policy-led international development agendas, liberalization policies and economic globalization.

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By the late 1990s, as country after country liberalized trade and capital flows, and many began to dismantle post-war social welfare systems, controversies over globalization began to dominate debates about development policy. As Joseph Stiglitz put it, globalization was a force – *'like a giant wave, that can either capsize nations or carry them forward'*.¹ Much of the controversy was growth and income oriented, concerned with whether globalization (or liberalization policies) is good or bad for growth, income, income distribution and poverty reduction. From the human development perspective, however, the questions are broader. The UNDP Human Development Reports, which I led between 1995 and 2004, explored policy agendas for promoting integration for human development, focusing on distributional impacts within and between countries and on the potential of harnessing globalization for the empowerment of people. We argued for stronger national policies to protect human priorities, as well as more appropriate global governance in which both the multilateral rules and the process for their formulation would be inclusive and equitable. One major question relating to IP was the nexus between technology, globalization and human development. Breakthrough science in information communications and biotechnology was a key driver of globalization; the computer and the Internet have made possible the mass dissemination of information, and high-yielding varieties of rice and maize have turned food-deficit countries into major food exporters. History has shown, however, that breakthrough technologies can be a source not only of opportunities for improving human well-being, but also of new inequalities. Although the social function of IP is not only about incentivizing technological innovations, it is important to design appropriate IP policies and laws to ensure that new technologies ultimately enlarge genuine choices and foster human development.

As stated earlier, the analysis of IPRs and their broad range of social ramifications go beyond economic considerations. Economic analysis framed in the utilitarian perspective of providing incentives for more material production is particularly limiting in this context. The utilitarian perspective is at best neglectful of, and at worst blind to, the effects on distribution of benefits and costs, the far-reaching social consequences of technological innovation, the social priority in technological innovation and diffusion that can solve enduring problems of poverty, and the claims that human beings have basic rights to participate in and benefit from innovations and creative expressions.

Intellectual property rights are intended to promote innovation, but research has shown that this is not always the case and that IPRs can also put obstacles in front of research and innovation. They are intended

¹ World Bank 2000, 'World Bank Sees "Localization" as Major New Trend in 21st Century', World Development Report 1999/2000 press release, available at <http://web.worldbank.org/WBSITE/EXTERNAL/NEWS/0,contentMDK:20014638~menuPK:34463~pagePK:34370~piPK:34424~theSitePK:4607,00.html> (accessed 28 October 2009).

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to reward creators, but in certain contexts fail to recognize the creativity and innovation of local communities and other social networks. They are intended to fulfil a social purpose, but that purpose can be too narrowly defined and miss out on some essential human challenges.

As the chapters in this volume show, the range of legal rights within the umbrella of IP impact human capabilities and endeavours in complex ways. The human development and capabilities approach provides a broad and useful framework for analysing the social impact of IPRs because the approach defines the purpose of development as enlarging the choices and capabilities that people have to lead a life they value. This framework focuses on a wide range of actual and potential human consequences that are of concern to diverse peoples in the world. The wide range of challenges that different individuals and communities face, and the diversity of their priorities, is precisely what makes a single policy approach to IPRs inappropriate and impossible. How IP frameworks might be reformed to meet these diverse challenges requires greater exploration. It is also the shades of grey that make the topic fascinating to study. This is a unique volume that brings together scholarly papers on all the key issues of human development and intellectual property rights. I expect that this book will provide an enjoyable and informative read, and it will become a much valued resource for individuals at all levels of knowledge and involvement in the IP and international development spheres.

Preface

Michael A. Gollin

We all share the desire to live healthy and meaningful lives, in communities that keep us safe, provide us and our children with educational and employment opportunities and leave us the freedom to choose our own paths. Economist Amartya Sen challenged societies to pursue these ends – referred to as human development – rather than only narrower objectives like increasing gross domestic product. That is, we should measure individual endeavour and national wealth in terms of how well each of us can live rich rewarding lives, not just how much financial output we produce per capita. Moreover, we should organize our social institutions to help us in this broader effort.

This book brings a human development perspective to the complex institutions, laws and practices referred to collectively as intellectual property, or ‘IP’. What is the role of IP in human development? The answers to be found in the following chapters provide a fresh look at IP and how it affects the ability of people in developing countries to benefit from advances in medicine, agriculture, education, the arts and cultural traditions. The authors go further by looking at how trends and future changes in IP laws might impact people in developing countries, for better or worse.

Innovation has played a central role in human development through history, leading to advances in culture, knowledge, agriculture, health and technology, but also to imbalances in access to and control over these fruits of creativity. The roots of intellectual property may be found in ancient practices for controlling access to innovation, such as guild secrecy and the use of trade names. Intellectual property laws in the modern sense first emerged 500 years ago and have expanded to become a principal force channelling and shaping innovation and commerce around the world. Yet the extensive research, debate, reform and training about IP in recent years show no signs of leading to a global consensus on the impact of current IP systems on human welfare, much less how potential reforms would help, or hurt, larger society.

The increasing social importance of IP is easily gauged by the rising intensity of arguments for stronger or weaker rights. Many of these arguments are laid out among the diverse views summarized in the chapters. For example, some stakeholders argue that patents on AIDS medicines are too strong to permit fair access to existing drugs, while others counter

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that weaker patents are destroying the incentive to discover new drugs. Some groups argue that copyright law blocks public access to educational and artistic works and hampers collaboration. Others point out that weak copyright protection undercuts the creative work of artists and authors. There is debate over where IP rights support – or thwart – traditional practices. Ultimately, there is no simple answer except the need to strike a productive balance between the many interests involved – a balance that serves the public interest in human development.

Several years ago, in writing *Driving Innovation*, I realized that IP, often viewed as a tool of human capital, can be seen instead as an instrument by which innovators express individual and collective choices regarding their creations. In this light, IP can contribute not just to economic development, but also to the development of freedom – of personal choice, individual responsibility and free expression. IP can be a tool for human development.

Of course ‘development’ has different meanings in different countries, and the dynamics differ among the sectors considered here (medicine, agriculture, education, cultural heritage, contemporary arts and communication technology). In each sector, different predictions about the future of IP have been made. The future scenario planning exercises explored in this book are a fascinating tool for guiding action away from destructive paths towards balanced outcomes.

This book began with the effort by Public Interest Intellectual Property Advisors (PIIPA) to find practical ways for IP to help serve the public interest in developing countries. Since 2002, PIIPA has assembled teams of experienced IP practitioners and made matches with developing country clients seeking help in accessing technology via licensing, protecting their cultural expressions, preventing expropriation of traditional knowledge and in reforming national IP legislation to meet international requirements and local needs.

In 2007, the Ford Foundation commissioned PIIPA to assemble an expert team, drawn from PIIPA and partner institutions, to survey the literature on IP trends and future scenarios and how different outcomes might impact neglected groups. An aim of the Ford initiative was to contribute to the development of more balanced IP regimes which highlight the importance of the public interest, strengthen the public domain, respect the right to development and support the voices of frequently neglected stakeholders. With continued support from Ford until mid-2010, the research team compiled a unique body of literature on issues, trends and future scenarios relating to IP and human development. That shared resource was invaluable to the authors of these individual chapters, and the resulting bibliography will facilitate further research. The research team, under Tzen Wong’s direction, expanded and revised the initial study to address further dimensions of IP and human development, and this book is the result of that effort. The contributing authors

Cambridge University Press
978-0-521-19093-0 — Intellectual Property and Human Development
Edited by Tzen Wong , Graham Dutfield
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span the globe and include a diverse group of legal practitioners, professors and development activists. They bring a breadth of perspective and experience with the practical implications of IP policy debates. The editors worked deftly with the authors to weave the various chapters and perspectives into a comprehensive work that addresses the crucial questions of how IP impacts human welfare and how changes in IP laws, and new approaches, might make it easier or harder for disadvantaged individuals and communities to improve their lives. These questions, and the answers that follow, should be of great interest to policymakers and activists, businesses and consumers, researchers and students, artists and engineers, IP professionals and lay people alike. On behalf of PIIPA and the many volunteers who contributed to the completion of this work, we welcome your interest and participation in promoting the goals of human development.

Acknowledgements

We are grateful to the Ford Foundation for supporting the independent research that produced this volume, as well as for their support for its distribution. With the Foundation's generous support, copies of the book have been directly mailed through Cambridge University Press to a cross section of stakeholders around the world. Guidance from the Ford International Intellectual Property Initiative (IIPi) Committee in 2007–2008 was invaluable in the genesis of this research project, and we are especially appreciative to Ana Toni, Alan Divack and Kyle Reis for their wonderful support and insights towards the broadening of the research in 2009–2010 to cover important areas of human development.

Project funding has been leveraged manyfold by in-kind pro bono help from members of PIIPA's extensive international network, including IP Corps members who provide pro bono support to developing country organizations, and other individuals working on the public interest dimensions of IP. Significant support has also been received from partner institutions around the world. We are particularly indebted to the following individuals and their host organizations for their excellent support towards the outreach and literature review in various regions: Jorge Garcia and Alfredo Schwarz (formerly) of the Ibero-American Science and Technology Education Consortium; Dalindyabo Shabalala (formerly) of the Center for International Environmental Law (now with the University of Maastricht); Shauna Eisenberg, Sarah Huisentruit, Teresita Ramos and Michael Ryan of the Creative and Innovative Economy Center at the George Washington University Law School; Beatrice Chaytor and Roselynn Lewis (former intern) of the Policy Planning and Research Division, Ministry of Trade and Industry, Sierra Leone; and Paul Asiimwe of Sipi Law Associates in Uganda.

We are most grateful to Sakiko Fukuda-Parr of the New School (Director, 1995–2004, UNDP Human Development Reports) for her encouragement and Foreword. We also wish to thank the contributors and participants from different regions for their commitment to a multidisciplinary approach in tackling the new and complex issues in IP and human development. We hope that the process has been an enriching one for all who shared time and thoughts.

Along with the chapter authors, we wish to thank various individuals for their contribution of case studies or extracts, especially David

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Clark (Brooks World Poverty Institute), Gwen Hinze (Electronic Frontier Foundation), Jakkrit Kuanpoth (University of Wollongong), Gary Martin and Hattie Wells (Global Diversity Foundation), Geoff Tansey (Joseph Rowntree Visionary for a Just and Peaceful World), Emily Taylor (International Development Research Centre), Brendan Tobin (National University of Ireland) and Uma Suthersanen (Queen Mary, University of London). We are also grateful to Matt Spannagle (UNDP Environment and Energy Group) for his salient contribution on climate change issues and to Fred von Lohmann (Electronic Frontier Foundation) for his interesting updates on Internet law.

We are especially grateful to Margaret Chon at Seattle University School of Law for her many inspiring ideas and to her (former) research assistants, Therese Norton and Nancy Yamashiro, for their meticulous help. Our further thanks go to the reference librarian, Kerry Fitz-Gerald, at Seattle University School of Law. We also wish to thank Charles McManis at the School of Law, Washington University in St. Louis, and his (former) research assistant Mackenzie Dewerff.

We are grateful to many individuals who contributed to the peer review or provided relevant literature and comments. We wish to thank the following individuals: Samuel Adewusi, Keith Aoki, Jane Anderson, Christoph Antons, Paul Asimwe, Edson Beas, Jeremy de Beer, Joshua Bell, Kathy Bowrey, Molly Beutz Land, Ronaldo Lemos, Beatrice Dove-Edwin, Beatriz Fernandez, Brian Fitzgerald, Sean Flynn, Brett Frischmann, Roya Ghafele, Haidy Geismar, Hala Essalmawi, Honor Keeler, Debora Halbert, Marjorie Heins, Victoria Henson-Apollonio, John Howkins, Stanley Kowalski, Tina Kuklenski-Miller, Maria Mendoza, Richard Owens, Ruchi Pant, Pedro Roffe, Sisule Musungu, Richard Ponzio, Laura Quilter, Rakhi Rashmi, Ilko Rogovich, Madhavi Sunder, Yeshwanth Shenoy, Benny Spiewak, Antony Taubman, Isabel Triana, David Vivas, Martin Watson and Daphne Zografos.

We are indebted to PIIPA chair Michael Gollin for his invaluable guidance. We are also most grateful to PIIPA's President and CEO, Mark Davis and to PIIPA board members and advisors, especially Rita Khanna, Joshua Sarnoff, Charles McManis, Manuel Ruiz and Roy Widdus. Our thanks also go to Ben Prickril for his early outreach efforts.

We have been fortunate to have the support of a resourceful research team at PIIPA who worked in different parts of the world and time zones to put this book together. They come from a variety of disciplines. We are especially grateful to our assistant editor (law), Claire Comfort, for her meticulous help in legal editing from PIIPA's offices in Washington. We are also appreciative of the professional teamwork from our assistant editor (social science), Robyn Tan, now pursuing a masters degree in development studies in Mumbai, India; public health researchers Sharon Low and Claudia Trezza, both with masters degrees in public health, now based in Liberia and New York respectively; and law researchers (based

ACKNOWLEDGEMENTS xxvii

in the US) Sarah Coleman, Marybeth Grunstra and Sarah Gurfein, along with Dhruv Paul, in legal practice in New Delhi.

Our further thanks go to Tasmin Rajotte at the Quaker International Affairs Programme (QIAP) for her support and indispensable publication advice. We are also grateful to Tim Scott at the UNDP Human Development Report Office for his invaluable insights. Review and proofreading of manuscripts was the task of many helpful individuals. We thank especially Rosemary Wolson, David Wong and Terence Hay-Edie.

We are most grateful to Cambridge University Press for taking on the publication of this monograph and in particular to the Press's senior editor, John Berger, for his keen and open-minded guidance throughout the process. We learnt a lot from the excellent work of their production team, especially project manager Barbara Walthall and copy editor Marjorie Ballentine, and we also wish to thank the anonymous Cambridge University Press reviewers whose comments and suggestions were most helpful in fine-tuning the study.

Finally, our heartfelt thanks extend to our families and friends whose encouragement and active support made this research endeavour possible.

Acronyms and abbreviations

A2K	Access to knowledge
AAP	Association of American Publishers
ABS	Access and benefit-sharing
ACTA	Anti-Counterfeiting Trade Agreement
AIATSIS	Australian Institute of Aboriginal and Torres Strait Islander Studies
AIDS	Acquired immune deficiency syndrome
ALACDE	Latin American and Caribbean Law and Economics Association
AMC	Advanced market commitments
ANDES	Association for Nature and Sustainable Development
AOC	Apellation d’origine contrôlée
API	Active pharmaceutical ingredient
ARIPO	African Regional Intellectual Property Organization
ARV	Antiretroviral
ASEAN	Association of Southeast Asian Nations
ASSINSEL	International Association of Plant Breeders
ATRIP	Advancement of Teaching and Research in Intellectual Property
CAFTA	Central American Free Trade Agreement
CAN	Andean Community of Nations
CARICOM	Caribbean Community
CBD	Convention on Biological Diversity
CESCR	Committee on Economic, Social and Cultural Rights
CFS	Committee on World Food Security
CGIAR	Consultative Group on International Agricultural Research
CI	Consumers International
CIEL	Center for International Environmental Law
CIFOR	Center for International Forestry Research
CIP	International Potato Center
CIPHI	Commission on Intellectual Property Rights, Innovation and Public Health
CIPR	Commission on Intellectual Property Rights
COP (CBD)	Conference of the Parties (to the Convention on Biological Diversity)
CP TECH	Consumer Project on Technology
CRC	Convention on the Rights of the Child
CSIR	Council for Scientific and Industrial Research (South Africa)
CSO	Civil society organization

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CTEA	Copyright Term Extension Act
DIGERPI	General Office for the Registry of the Industrial Property of the Ministry of Commerce and Industry (Panama)
DMCA	Digital Millennium Copyright Act
DNDI	Drugs for Neglected Diseases Initiative
DRM	Digital rights management
ECHR	European Court of Human Rights
EDV	Essentially derived variety
EFF	Electronic Frontier Foundation
eIFL	Electronic Information for Libraries
EPO	European Patent Office
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FDA	Food and Drug Administration (United States)
FDI	Foreign direct investment
FHSST	Free High School Science Texts
FIS	International Seed Trade Federation
FOEI	Friends of the Earth International
FPIC	Free, prior and informed consent
FTA	Free trade agreement
GATT	General Agreement on Tariffs and Trade
GDI	Gender-related Development Index
GDP	Gross Domestic Product
GEM	Gender Empowerment Measure
GI	Geographical indication
GMO	Genetically modified organism
GPL	General Public License
GRAIN	Genetic Resources Action International
HDI	Human Development Index
HIV	Human immunodeficiency virus
HRBA	Human rights-based approach
IAASTD	International Assessment of Agricultural Knowledge, Science and Technology for Development
IAVI	AIDS Vaccine Initiative
ICBG	International Cooperative Biodiversity Group
ICCPR	International Covenant on Civil and Political Rights
ICESCR	International Covenant on Economic, Social and Cultural Rights
ICOM	International Council of Museums
ICTs	Information and communication technologies
ICTSD	International Centre for Trade and Sustainable Development
IDRC	International Development Research Centre
IEGBIIP	International Expert Group on Biotechnology, Innovation and Intellectual Property
IELRC	International Environmental Law Research Centre
IESA	Institut d'Etudes Supérieures des Arts
IFLA	International Federation of Library Associations and Institutions