



UNECE

United Nations Economic Commission for Europe

Independent Evaluation Report

Evaluation of the UNECE project:

**“Competitiveness, innovative policies and public-
private partnerships:**

Capacity building for civil servants and business associations”

(UNECE E226)

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List of abbreviations and acronyms

AAAA	--	Addis Ababa Action Agenda
CICPPP	--	Committee on Innovation, Competitiveness and Public-Private Partnerships
CIS	--	Commonwealth of Independent States
EXCOM	--	UNECE Executive Committee
ICoE	--	International Centre of Excellence
OECD	--	Organization for Economic Cooperation and Development
ODA	--	Official Development Assistance
PPP	--	Public-Private Partnership
PF-PPP	--	People-First Public-Private Partnership
SCoE	--	Specialist Centers of Excellence
SDGs	--	Sustainable Development Goals
ToS-ICP	--	Team of Specialists on Innovation and Competitiveness Policies
ToS-PPPs	--	Team of Specialists on Public-Private Partnerships
UNDP	--	United Nations Development Programme
UNECE	--	United Nations Economic Commission for Europe
UNEG	--	United Nations Evaluation Group

Executive Summary

1. The evaluation analyses the UNECE's work related to increasing competitiveness, innovation and support to increasing Public-Private-Partnerships in the Commonwealth of Independent States (CIS) countries. The purpose of this evaluation is to assess the efficiency, effectiveness and relevance of the project "Competitiveness, innovative policies, and public-private partnerships: Capacity building for civil servants and business associations" (E226). Additionally, the ability of the UNECE secretariat to deliver, through this project, on the mandates of the Committee on Innovation, Competitiveness and PPPs and of the SPECA Thematic Working Group on Knowledge-based Development has also been assessed.

2. The project has been implemented between September 2014 and October 2017 with a total budget of US\$ 660,000 provided by the Russian Federation. The main objective of the project was to strengthen the capacity of CIS countries to advance innovation, competitiveness and public-private partnerships (PPPs). The project aimed at (i) enhancing national capacity, including new knowledge and practical skills, to advance innovation, competitiveness and new business models such as PPPs; and (ii) strengthening regional cooperation and networking among CIS practitioners involved in the advancement of innovation, competitiveness and PPPs.

3. The project's relevance is rated *Excellent*, as it addresses the need and requests from the member States, is fully aligned with the mandate and objectives of the UNECE and the beneficiaries have positive opinions on the relevancy of the project. The project addressed the need to increase capacities in the member States (support often requested by UNECE member States) and generated knowledge on innovative policies, competitiveness and PPPs. The project objectives are aligned with the objectives of the Committee on Innovation, Competitiveness and PPPs and contributes to four of the Sustainable Development Goals.

4. The project's effectiveness is rated *Highly Satisfactory*. The activities have been implemented delivering all initially planned outputs, with the expected level of quality and timeliness. The logical chain between outputs and outcomes has been satisfactorily reconstructed during the evaluation, and the beneficiaries' feed-back illustrates probable enduring changes in their business behavior. Performance indicators are set only at output level, while outcome results are not measured. Accordingly, the evaluation can only generate assumptions about the effectiveness of the outcome level results.

5. The project's efficiency is rated as *Highly Satisfactory* considering the project's allocated resources were commensurate to the scale of activities and results; the project management cost was appropriate, and the highest proportion represents the content work (cost of events and travel support to beneficiaries).

Recommendations:

6. *Recommendation 1:* In order to facilitate future evaluations, the project documents should entail (besides the established results-based-management principles) a Theory of Change, explaining how the outputs will generate outcomes and – eventually – an impact. In case this is not possible, at least a logical framework, with performance indicators, baseline values and targets both for output and outcome levels should be mandatory. This set of data will support in measuring correct performance of the project and provide realistic assessment of the relevance, effectiveness and efficiency of future similar projects (eventually sustainability could also be assessed).

7. *Recommendation 2*: UNECE should carefully plan the adoption of the innovation and competitiveness principles by the member States (governments and private sector). By increasing capacities of policy makers and popularizing “people-first” principles in PPPs, UNECE plays the “facilitator” role between the public and the private sector in the region, and creates the premises for a sustainable economic and social development. The operationalization of the principles should be further guided by UNECE, in consultation with the member States.

8. *Recommendation 3*: Future projects should record exactly how many participants benefitted from financial support, for how long and what were the incurred costs. These data can be used to assess more appropriately the efficiency of the spent funds. On a voluntary basis, also the outcomes of the support could be traced, and a resources/results ratio could be calculated or at least approximated.

9. *Recommendation 4*: UNECE should streamline gender and human rights considerations in the evaluation framework of future projects. This is more important as UNECE’s work has a high potential impact on the beneficiaries, especially when considering the “people-first” PPPs.

10. *Recommendation 5*: Future similar projects should foresee communication tools in order to communicate the project achievements in a broader way. This recommendation relates to the importance of ensuring accountability and attracting extra-budgetary funds to finance similar projects. The tools can rely on modern communication technology (blog, newsletter, webinars, databases, interactive platforms).

11. *Recommendation 6*: UNECE should create a mechanism to stimulate the participation of the most relevant delegates in the inter-governmental meetings. The governments are solely responsible to nominate the participants, and they should also provide the political will to positively influence the internal policy making processes. UNECE could request a minimal technical preparation upfront, in order to systematically involve the mostly qualified and effective experts, and facilitate networking of the knowledgeable people.

12. *Recommendation 7*: In order to facilitate networking and sharing of best practices, rely not only on formal events. UNECE acts sometimes as a knowledge “broker” and repository, and could consider creating and maintaining a virtual communication platform for policy makers and specialist in the region. This tool should be different from the one mentioned in Recommendation 4 (outward oriented), and should be dedicated to “specialists” in the region.

13. *Recommendation 7a*: UNECE could re-think some of the events organized in the region. While the nature of (semi)official meetings needs to maintain an etiquette (for governmental representatives), at least for practitioners “warm-up” activities could be considered. During a two-days standard event, participants break the ice by the time when the event is over. The participants’ fluctuation prevents from creating informal networks. Hence an online database of “who’s-who” could be created, in order to facilitate networking in the region.

Chapter 1: Introduction and Evaluation Methodology

1. The evaluation analyses the UNECE's work related to increasing competitiveness, innovation and support to increasing Public-Private-Partnerships in CIS countries. The purpose of this evaluation is to assess the efficiency, effectiveness and relevance of the project "Competitiveness, innovative policies, and public-private partnerships: Capacity building for civil servants and business associations" (E226). Additionally, the ability of the UNECE secretariat to deliver, through this project, on the mandates of the Committee on Innovation, Competitiveness and PPPs and of the SPECA Thematic Working Group on Knowledge-based Development has also been assessed. UNECE intends to use the results of this evaluation to improve future similar interventions.

2. The main objective of the project was to strengthen the capacity of CIS countries to advance innovation, competitiveness and public-private partnerships (PPPs). The project aimed at (i) enhancing national capacity, including new knowledge and practical skills, to advance innovation, competitiveness and new business models such as PPPs; and (ii) strengthening regional cooperation and networking among CIS practitioners involved in the advancement of innovation, competitiveness and PPPs.

3. The project was implemented by UNECE and was funded from extra-budgetary funds. The initial budget was 660,000 US\$, and the donor organization is the Russian Federation. The activities were executed between September 2014 and October 2017, with an extension awarded by the Donor until 2018, in order to facilitate full spending of the budget (see details in the Efficiency chapter). Initially the project had not planned a final evaluation. This evaluation has been carried after the end of the project's prolongation as the funds became available from implementation savings.

4. The methodology for this evaluation is based on the Terms of Reference provided by UNECE (Annex 1), the UNECE Evaluation Policy and the UNEG "Standards for Evaluation in the UN System" comprising the afferent "Code of Conduct" and the "Ethical Guidelines". Relevant aspects of gender equality and human rights analysis were also covered, based on the guidance provided by the UNEG on the matter. Accordingly, the evaluation analyzed the extent to which women inclusion and participation (both at project implementation and at beneficiary level) has been considered. On the human rights perspective, the evaluation analyzed the extent to which the project had any contribution towards the preservation or advancement of human rights as laid down in the Universal Declaration of Human Rights (i.e. development of the capacities of "duty-bearers" to meet their obligations and/or of "rights-holders" to claim their rights).

5. The evaluation consisted of a desk review of relevant documents including the Technical Cooperation Project Form, annual implementation reports (2014-2017, and the terminal report of the project), summary of activities, events' agendas and background papers, funds utilization report, and other material available for online consultation (see Annex II for full list). To collect feedback from the specialists on thematic content and sustainable development, an online-questionnaire¹ (in English and Russian languages) was specifically designed. As UNECE did not record contact details of the end beneficiaries in the region (around 1700 according to the project's final report), the questionnaire was sent to more than 90 people who benefitted from financial support to participate in meetings in the region. With a response rate of 51 percent (48 responses from 94 beneficiaries), the questionnaire has a medium-high statistical relevance. Semi-structured interviews were conducted to collect information from staff in UNECE office in Geneva involved in the project management, from the donor representative, from national counterparts in the UNECE region and from other specialists in the area of sustainable economic development (see Annex 5).

¹ Available at <https://kwiksurveys.com/s/lrGsTwpR> (EN) and <https://kwiksurveys.com/s/hzq5L1nN> (RU)

6. Following data collection, the analysis involved qualitative analysis software to sort the information according to the evaluating questions. The next step identified the intervention logic, and sought to establish causalities between intervention components and the achieved results, according to theory-based evaluation principles and experimentally using elements of the Process Tracing methodology². The interviews also served the purpose of triangulation, cross-checking the information presented in reports, delivered by UNECE or by other key informants.

7. The evaluator synthesized the results of analysis and supplementary materials in a policy-oriented synthesis report, systematically covering the evaluation purpose, the agreed questions, and the specified criteria (relevance, effectiveness, and efficiency), to produce valid and credible conclusions and recommendations. The Economic Cooperation and Trade Division of UNECE should use the recommendations to improve the planning and implementation of projects, as all UNECE projects funded by the Russian Federation are subject to an end of project evaluation according to the UNECE Evaluation Policy.

8. The duration of the evaluation was of 20 working days during the period from August 20th – May 16th, 2019. The evaluation activity has been performed by an independent evaluator³ with socio-economic background, having expertise in implementation, monitoring and evaluation of international development projects (including with the UNECE), and experience with policy design and capacity building related projects in UNECE member States.

9. In the assessment process, the evaluating criteria to be assessed according to the Terms of Reference - relevance, efficiency, effectiveness - received one of the following ratings: *Excellent – Fully Satisfactory – Partly Satisfactory - Partly Unsatisfactory – or Unsatisfactory*. The evaluator split each evaluation criteria in sub-criteria (e.g. relevance was split in two criteria with similar weighting: strategic relevance of the UN organizations' mandates, contribution to global goals and relevance of the project design, where the problem analysis based on member States' requests, the logic framework and the stakeholder analysis played the central role). Each sub-criterion was noted on a scale from 1 to 5, generating an aggregate score for each main evaluation criteria.

Challenges and Limitations

10. The project idea did not foresee in the beginning a possible final evaluation. This influenced the project activities:

- The beneficiaries within organizations in partner countries were not recorded by UNECE, and an eventual performance improvement was not tracked. The evaluator could not contact the most of the end beneficiaries (from the reported 1700) for the online questionnaire;
- previous project stages have not been evaluated, therefore this evaluation can not objectively assess what were the actual outcomes and what is the starting base of the current stage;
- The project had no logical framework established during the concept phase. Therefore, the evaluator, together with the project team, attempted to reconstruct a potential Theory of Change, explaining in retrospect how the inputs, activities and the generated outputs could lead to the desired changes at outcomes and impact levels. This approach can not objectively assess any deviations or corrections from the initial intervention logic;
- The project did not foresee performance indicators nor baseline data. The certainty on the magnitude of the changes is low, and part of the effectiveness rating is rather empirical.

² Process Tracing offers a rigorous method appropriate for *ex post* evaluations, without the requirement for baseline or counterfactual data.

³ The independent evaluation was conducted by Mr. Marius Birsan,

Chapter 2: Background information

11. In order to reach equilibrium between the growth and welfare needs and the sustainable development principles, the world countries adopted under the auspices of United Nations the Sustainable Development Goals (SDGs) in September 2015. Under the aegis of SDGs, all countries of the world committed to achieve national targets according to their own needs, challenges and resources. To achieve the multitude of goals, the funding demand is vast. The Organization for Economic Cooperation and Development (OECD) estimates⁴ that annually there is an average of US\$ 3.9 trillion of investment needed, while the current annual funding levels cover around US\$ 1.4 trillion. The funding basis is made up by the current Official Development Assistance (ODA), amounting US\$ 135 billion⁵. Additional funds are provided through philanthropy, remittances, South-South official assistance, and foreign direct investment (FDI). Together these sources amount to nearly US\$ 1 trillion. Accordingly, the governments and development actors have to organize to cover the outstanding US\$ 2.5 trillion yearly financing gap.⁶ Both the public and the private sectors have to reconsider their roles to play, in order to contribute to achieving the SDGs.

12. The international community recognized the role the private sector could play in advancing the sustainable development goals starting with the first international conferences on financing for development: The Monterrey Consensus (2002) and the follow up conference in Doha, Qatar (2008). During the third conference held in 2015 in Addis Ababa, Ethiopia, the international community adopted the Addis Ababa Action Agenda (AAAA), comprising commitments from all parties to support financing for the achievement of the SDGs.

13. The public sector should create a supportive environment for innovative development and knowledge-based competitiveness, including the financing for innovative development and innovative entrepreneurship. The state could play a role model and be a competent innovation consumer, whose procurements significantly encourage innovativeness, in order to develop an innovative and performant economy. The competitiveness and innovation capacity of the private sector are two modalities through which the private sector can contribute with value and knowledge into delivering public goods and services, in support to the public authorities. These concepts are mentioned in several parts of the AAAA, especially and more detailed in the Chapter 2, Action Area G (“Science, technology, innovation and capacity building”, pages 114-124).

14. Regarding the involvement of the private sector in development financing, the Paragraph 48 of the AAAA states “both public and private investment have key roles to play in infrastructure financing, including through development banks, development finance institutions and tools and mechanisms such as *public-private partnerships [author’s highlight]*, blended finance, which combines concessional public finance with non-concessional private finance and expertise from the public and private sector [...]. Blended finance instruments including *public-private partnerships* serve to lower investment-specific risks and incentivize additional private sector finance across key 25 development sectors led by regional, national and subnational government policies and priorities for sustainable development [...]. Projects involving blended finance, including *public-private partnerships*, should share risks and reward fairly, include clear accountability mechanisms and meet social and environmental standards”.

15. Improvement of the financing balance for development can be done on both the revenues and the expenditures sides. While the countries are encouraged to increase the levels of their internal revenues and to make the allocation function more efficient, the focus is placed on mobilizing additional financing

⁴ Development Co-operation Report, OECD, 2017: <http://www.oecd-ilibrary.org/docserver/download/4317041e.pdf?expires=1512485506&id=id&accname=guest&checksum=4D9A9670AC97F665213994A10379363C> – last consulted in March 2019

⁵ From Billions to Trillions: Transforming Development Finance. Post-2015 Financing for Development: Multilateral Development Finance; World Bank, 2015

⁶ Financing for Development: Progress and Prospects. Report of the Inter-Agency Task Force on Financing on Development, UN, 2017

resources. The public financing through ODA funds has its limitations, as very few countries have met the target to allocate minimum 0.7 percent of their Gross National Income (as set by the international community under the guidance of OECD). The remaining funds could be partially covered by the private sector through FDI, but those are mainly focused on maximizing the profits for the investors rather than on the broader benefits of sustainable development. The challenge is to persuade the private sector to get involved in implementing projects pursuing sustainable development together with the public sector, aiming at providing improved public goods and services.

16. The UNECE defines PPPs as “innovative methods used by the public sector to contract with the private sector who bring their capital and their ability to deliver projects on time and to budget, while the public sector retains the responsibility to provide these services to the public in a way that benefits the public and delivers sustainable development and an improvement in the quality of life”⁷. The PPPs are usually long-term contractual agreements and can play an important role in closing the gaps in delivering public goods and services in situations when governments cannot finance them from state budgets. The services are employed to cover needs in economic sectors such as transport, energy, telecommunications, water, sanitation, healthcare and education.

17. PPPs have become more and more popular in several parts of the world. After the 2008 financial crisis, the amounts mobilized through PPP contracts increased to unprecedented levels. The World Bank⁸ estimates the use of PPPs in more than 134 developing and transition economies, accounting between 15 and 20 percent of the total infrastructure investment.

18. A part of the world where competitive economic principles and the PPPs are still not at their fullest capacity is the Eastern Europe and Central Asia (especially the CIS countries). Lying between Europe and Eastern Asia, the CIS countries struggled to recover after the collapse of the planned economies and the disintegration of the common market of the Eastern Bloc. The economic and social imbalances were exacerbated by the economic crises in 1998 and 2008, and by the collapse of the Soviet monetary system followed by hyperinflation. The gas and oil prices drop in 2014-2016 additionally affected the economies in the region.

19. UNECE created in 1998, jointly with the United Nations Economic and Social Commission for Asia and the Pacific (ESCAP) a specific initiative: the United Nations Special Programme for the Economies of Central Asia (SPECA), aiming at strengthening sub-regional cooperation in Central Asia and its integration into the world economy⁹. The countries of SPECA are Azerbaijan, Afghanistan, Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan.

20. The SPECA Programme established six subsidiary bodies, with the role of coagulating international expertise in areas such as Water and Energy, Trade, Statistics, Transport and Border Crossing, Knowledge-based Development and Gender and Economy. The present project is related to the SPECA Working Group on Knowledge-Based Development.

21. In this context, the Project aimed to fill a wide knowledge, awareness, perception and capacity building gap related to competitiveness and innovation capacity in the UNECE member States, and the usage of PPPs, especially in the SDGs context.

⁷ UNECE 2008 Guidebook On Promoting Good Governance In Public-Private Partnerships

⁸ Independent Evaluation Group, World Bank. (2014), *World Bank Group support to public-private partnerships: Lessons from experience in client countries, FY02-12* (pp. vi,9). Washington, DC: World Bank.

⁹ SPECA Terms of Reference; available online at

https://www.unece.org/fileadmin/DAM/SPECA/documents/gc/session8/ANNEX_VII_ToR_of_SPECA_English.pdf

Chapter 3: Effectiveness

22. The declared objective of the project aimed at “strengthening the capacity of CIS countries to advance innovation, competitiveness and public-private partnerships (PPPs)” (Project Document). In order to achieve the overall objective, the project was to develop the relevant practical skills of beneficiaries, increase the organizational capacity of the institutions involved and strengthen cooperation among relevant stakeholders, including through appropriate expert networks. The planned activities of the project have been implemented between September 2014 and June 2017, and had an extension until mid-2018 generated by some unspent funds (see details in the Efficiency chapter).

23. The project had no logical framework established during the concept phase. Therefore, the evaluator, together with the project team, attempted to reconstruct a potential Theory of Change, explaining how the inputs, activities and the generated outputs could lead to the desired changes at outcomes and impact levels. The results of the project at output level are listed in the Table 2 below, and were expected to generate effects through several logical sequences:

- 1) The development of training materials and modules presented during seminars, workshops, training courses and other capacity-building events were supposed to enhance national capacities, including new knowledge and practical skills, to advance innovation, competitiveness and new business models such as PPPs;
- 2) By providing policy papers and advisory services, the project also aimed at increasing the organizational capacity of institutions;
- 3) Through events and covering the travel costs of delegates, the project contributed to enhancing regional cooperation and networking among CIS practitioners involved in the advancement of innovation, competitiveness and PPPs.

24. The project is a continuation (Phase 3) of the UNECE Project E158, which started as a Trust Fund for three years, then the funding got renewed repeatedly. The activities started with basis services (information and awareness raising), then the complexity and sophistication increased, culminating in the current and the follow-up projects with Readiness Assessments and national Innovation for Sustainable Reviews, completed with events building on these studies.

The planned activities and the achievements are listed in the table below:



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Intended Outputs vs. Actual Outputs Table

Intended Outputs	Planned Activities	Actual Outputs	Comments on Actual Outputs
<p>Expected Accomplishment 1:</p> <p>Enhanced national capacity, including new knowledge and practical skills, to advance innovation and competitiveness and new business models such as PPPs.</p> <p>Indicators:</p> <p>IA1.1 Number of capacity-building and other technical cooperation activities: 30 capacity-building and policy advisory services were delivered in nine CIS countries.</p>	<p><u>Activity 1.1.</u> Organization of 12 seminars, workshops, training courses and other capacity-building events on innovation and PPPs for CIS countries and support to participants.</p> <p>Activities that have already been discussed with beneficiaries but are pending confirmation include:</p> <ul style="list-style-type: none"> -Workshop on innovation policies on the occasion of the presentation of the Innovation Performance Review of Armenia Yerevan -Workshop on international aspects of innovation aspects of innovation strategies, Kazakhstan -Workshop on public-private collaboration in research and innovation, Belarus -Workshop on public-private collaboration in research and innovation, Kazakhstan -International conference to take stock of the programme of Innovation Performance Reviews on the occasion of the start of the second cycle of Reviews, Belarus -Workshop on the development and use of standards on public-private partnerships, Russian Federation) 	<p>UNECE organized 12 capacity-building events, including in follow-up to national innovation reviews and PPP readiness assessments. The events were organized in Armenia, Belarus, Kazakhstan, Kyrgyzstan, and the Russian Federation (Tatarstan).</p> <p>Examples of events (not exhaustive):</p> <ul style="list-style-type: none"> - Policy advisory workshop on "The new Strategy for International Cooperation in Science, Technology and Innovation of Kazakhstan" and Capacity-building Seminar "International Technology Transfer: Good Policies and Practices", Astana, 29 October 2014 (as a follow-up to the Innovation Performance Review of Kazakhstan); - Seminar to present the policy recommendations of the Innovation Performance Review of Armenia, Yerevan, 14 November 2014 - Seminar on Public-private Partnerships in Innovation Activities, Minsk, 4 December 2014 - Seminar on Smart Specialization and Regional Innovation Strategies, session at the 10th Kazan Venture Fair, Kazan, 23-24 April 2015. 	<p>Achieved.</p> <p>Achieved.</p> <p>Achieved.</p> <p>Achieved.</p>

<p>IA1.2 Number of participants from targeted countries in project activities: ~1,700 participants from CIS countries participated in these activities.</p>	<p><u>Activity 1.2.</u> Substantive support, (such as the provision of experts, meeting rooms and interpretation if necessary), to work of the SPECA Project Working Group on Knowledge-Based Development, the CIS PPP Expert Group and other SPECA-related meetings (3 meetings).</p>	<p>Experts, other substantive support and venues and interpretation were provided for following events:</p> <ul style="list-style-type: none"> - The 7th, 8th and the 9th sessions of the SPECA WG on KBD and for policy conferences organized under their auspices in Tajikistan (June 2015), Kazakhstan (September 2016), and Kyrgyzstan (June 2017), as well as at sessions addressing knowledge-based development at the SPECA Economic Forums in Tajikistan (November 2015), Azerbaijan (November 2016) and Tajikistan (December 2017). - The six events attracted ~460 participants (25% female participation). 	<p>Achieved.</p>
<p>IA1.3 Number of practical steps related to the promotion of knowledge-based development and PPPs:</p>	<p><u>Activity 1.3.</u> Development of training materials and modules for capacity-building activities on promoting innovation, competitiveness and PPPs.</p>	<p>UNECE developed eight training modules on best practices on PPPs and their contribution to sustainable development</p> <p>The training modules address following topics: finance, water and wastewater, health, education, renewable energy, solid waste, transport, and public buildings sectors.</p>	<p>Achieved.</p>
<p>At least 15 practical steps were taken, including new innovation strategies, improvements to legal frameworks on innovation and PPPs, creation and strengthening of institutions (PPP units), and improvements in PPP selection practices and risk management.</p>	<p><u>Activity 1.4.</u> Preparation of policy-oriented documents for the promotion innovation and competitiveness and PPPs in CIS countries.</p>	<p>5 documents of good practices and policy recommendations on promoting innovation for sustainable development were developed and endorsed by the Committee on Innovation, Competitiveness and PPPs</p>	<p>Achieved.</p>
	<p><u>Activity 1.5.</u> Provision of targeted policy advisory services related to concrete measures or practical steps regarding the promotion and implementation of policies to support innovation, competitiveness and PPPs in CIS countries.</p>	<p>12 targeted policy advisory services were provided to Armenia (November 2014), Belarus (May 2015, October 2016 (2 separate missions)), June 2017), Kazakhstan (October 2014, October 2016), Moldova (November 2015), Russian Federation (October 2015, October 2016), and Ukraine (June 2015 and December 2015).</p> <p>Example of activities (not exhaustive):</p> <ul style="list-style-type: none"> - Advice to the Government of Kazakhstan on the new draft Strategy for International Cooperation in Science, Technology and Innovation, Astana 29 October 2014. - Policy advisory mission of the PPP Advisory Board to Moldova, in order to discuss and prioritize PPP project proposals, Chisinau. <p>Additional activities agreed with the donor and with beneficiaries from the remaining budget:</p>	<p>Achieved.</p>

		<ul style="list-style-type: none"> - Policy advisory mission on regional development through PPP in Kazan (Tatarstan, Russian Federation) in July 2018, with the involvement of other regional authorities of CIS countries, and the PPP Business Advisory Board. - Policy advisory mission of the PPP Business Advisory Board to Belarus, in order to discuss and prioritize PPP project proposals. 	Achieved.
<p>Expected Accomplishment 2:</p> <p>Strengthened regional cooperation and networking among CIS practitioners, involved in the advancement of innovation and competitiveness (including knowledge-based development), and PPPs.</p> <p>Indicators:</p> <p>IA2.1 Number of participants from targeted countries in project activities.</p> <p>100 participants were financed to participate in the regional and sub—regional inter-governmental and expert meetings described below. The total number of CIS participants in the activities under A.2.1 was much higher (as it includes residents of the host countries), and is included in IA1.2 above.</p>	<p><u>Activity 2.1.</u> Financial support to cover travel of CIS delegates to the meetings of the SPECA Project Working Group on Knowledge-based Development, the PPP expert group and other SPECA-related meetings.</p>	<p>Financial support was provided to 19 participants (seven female), from Azerbaijan, Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan. They participated in the 7th and 9th sessions of the SPECA WG on KBD and in two policy conferences organized under their auspices in Tajikistan (June 2015) and Kyrgyzstan (June 2017). (The 8th session in 2016 was organized under the leadership of UNESCAP, and participants were financed from their budget).</p>	Achieved.
	<p><u>Activity 2.2.</u> Financial support to cover travel of CIS experts so that they are able to provide input and participate in intergovernmental and expert meetings (CECI, Team of Specialists on Innovation and Competitiveness policies and Team of Specialists on PPP, and other related CECI events) (12 meetings).</p>	<p>Financial support was provided to 81 participants (28 females ~ 34%), from eight CIS countries (Armenia, Azerbaijan, Belarus, Kazakhstan, Kyrgyzstan Tajikistan Ukraine and Uzbekistan).</p> <p>They participated in 14 inter-governmental and expert meetings:</p> <ul style="list-style-type: none"> - the 9th, 10th and 11th sessions of the Committee on Innovation, Competitiveness and PPPs (formerly CECI) in Geneva (Sept 2015, May 2016 and March 2017); - the 7th, 8th, 9th and 10th sessions of the ToS-ICP in Geneva (Oct 2014, Dec 2015, Nov 2016 and Oct 2017), the sessions of the ToS-PPP in London (June 2015) and in Geneva (Oct 2016), the 1st session of the Working Party on PPPs in Geneva in November 2017, the PPP Forums in London in June 2015, Geneva in March-April 2016, and Hong Kong in May 2017, and an international forum on Innovative Entrepreneurship for Sustainable Development in Geneva in November 2016. <p>Examples of events where supported participants took part (non-exhaustive list):</p> <ul style="list-style-type: none"> - Financial support to the participation of representatives from Armenia, Belarus, Tajikistan and Uzbekistan in the annual session of the UNECE Team of Specialists on Innovation and Competitiveness Policies, Geneva, 16-17 October 2014. - Financial support to the participation of representatives from Tajikistan in the Policy Workshop Innovation Performance Review of Armenia, Yerevan, 14 November 2014. 	Achieved.

Table 1: Intended Outputs vs. Actual Outputs and Outcomes



25. Activity 1.1: *Organization of 12 seminars, workshops, training courses and other capacity-building events on innovation and PPPs for CIS countries and support to participants.* The executed events covered topics on technology transfer to regional innovation policies, mobilizing investments for innovation, innovation for sustainable development, and national PPP readiness and project development. The role of the events was to bring together policy makers and specialists from the host countries with their peers from the CIS region and with experts on innovation, competitiveness and PPPs around the globe. These events facilitated dialogue and exchange of experience and facilitated the presentation of policy recommendations (mainly based on Performance Reviews). The activities were supported by results created under Activity 1.2 (Substantive support), employed training modules created under Activity 1.3 and utilized documents created under Activity 1.4. The events (either in the CIS countries or in Geneva) were the central activity of the project, while the results from other activities primarily contributed to the success of A1.1.

26. Activity 1.2: *Substantive support (such as the provision of experts, meeting rooms and interpretation if necessary) to the work of the SPECA Project Working Group on Knowledge-Based Development, the CIS PPP Expert Group and other SPECA related meetings (3 meetings).* The policy conferences contributed to the peer review of and follow-up to national innovation performance reviews. The events were organized jointly with UNESCAP, and were hosted by the respective Governments. Together with the Activities 1.3, and 1.4, this Activity contributed to the success of Activity 1.1.

27. Activity 1.3: *Development of training materials and modules for capacity-building activities on promoting innovation, competitiveness and PPPs.* – UNECE developed eight training modules on best practices on PPPs and their contribution to sustainable development. The training modules were put to use during the events organized under Activity 1.1 and benefitted from the Activities under 1.2. Additionally, the training modules are available for the beneficiaries in the UNECE region on as-needed basis.⁴⁷ Activity 1.4: *Preparation of policy-oriented documents for the promotion of innovation and competitiveness and PPPs in CIS countries.* UNECE created five documents of good practices and policy recommendations and covered the topics of smart specialization, impact investing, innovation for the circular economy, and innovation policies for sustainable development reviews in Belarus (in 2016) and in Kyrgyzstan (in 2017).

28. Activity 1.5: *Provision of targeted policy advisory services related to concrete measures or practical steps regarding the promotion and implementation of policies to support innovation, competitiveness and PPPs in CIS countries.* The policy advisory services addressed topics such as:

- advice on a national strategy for international cooperation on science, technology and innovation (Kazakhstan);
- policy options to promote innovation for sustainable development and advice on implementing recommendations from a national innovation review (Armenia and Belarus);
- advice on a PPP model law (Belarus) and on risk allocation in PPPs (Russian Federation),
- advice on prioritizing PPP project proposals (Kazakhstan, Moldova, Ukraine).

29. Activity 2.1: *Financial support to cover travel of CIS delegates to the meetings of the SPECA Project Working Group on Knowledge-based Development, the PPP expert group and other SPECA related meetings.* The financial support was provided to 19 participants which participated in the 7th and 9th sessions of the SPECA Working Group on Knowledge-Based Development and in two policy conferences organized under their auspices. The online questionnaires confirm some participants actively involved in the events by presenting their experience (see Annex 4).

30. Activity 2.2: *Financial support to cover the travel of CIS experts so that they are able to provide input and participate in intergovernmental and expert meetings (CECI, Team of Specialists on Innovation and Competitiveness Policies and Team of Specialists on PPP, and other related CECI events) (12 meetings).* The financial support was provided to 81 participants (which participated in 14 inter-governmental and expert meetings).

31. The project has a document and a detailed budget, outlining the objective and summarizing the activities. It also entails a justification of the project, listed the target groups and beneficiaries and provided for activities indicators. However, the project document did not provide for a logical framework or theory of change. Performance indicators have been introduced during the course of implementation, as this practice was gradually introduced by UNECE after implementing its Evaluation Policy in 2014. Not having baseline indicators, the certainty on the magnitude of the changes is low, and part of the effectiveness rating is rather empirical.

32. Besides the project results at the output level (listed above), the project was expected to generate changes at outcome level. To achieve this, the project logic relied on a two tier causality chain: at the first tier, UNECE’s work on innovation and PPPs needs three strategic pillars:

Pillar 1	Pillar 2	Pillar 3
Develop standards and good practices through inter-governmental cooperation (sessions of CICPPP, ToS-ICP, WP PPP, SPECA). (relies mostly on regular budget resources).	Analyze country policies and make reform recommendations (through national PPP Readiness Assessments and Innovation Reviews). (relies on extra-budgetary resources)	Provide advice and capacity building to support policy reforms at national level. (relies on extra-budgetary resources)
<u>Normative work</u> (technical expertise + legitimation through the intergovernmental process)	Application of the knowledge generated by Pillar 1. The role of the extra-budgetary resources in operationalizing the standards and good practices is critical.	

Table 2: The three pillars of the project’s logic chain of results causality and the two tiers of the project’s logic chain of results causality and their interdependence.

33. The first pillar is important to be inclusive (public and private sectors, as well as ensuring geographical coverage in the UNECE region), in order to validate the standards and good practices. Here, the project played a key role, facilitating a broader participation of specialists from the CIS/SPECA countries. On the other hand, the second and the third pillar are critical to operationalize the products of the first pillar. The operationalization is ideally achieved at the second tier of causality chain.

34. At the second tier, the normative work and application are correlated and interdependent. Without practical application, the normative work (Pillar 1) will have no impact, and will remain literature. On the other hand, practical support to member States has a “theoretical” background, based both on high level technical expertise and legitimation provided by the intergovernmental process.

35. Internal questionnaires administered by the project staff, selectively consulted by the evaluator, captured immediate results after activity implementation and do reflect the positive take-up of the beneficiaries. They were content with the quality of the information presented and with the skills they could improve as a result of the activities. Moreover, the networking prospects were also appreciated. These ideas have been confirmed also during the interviews with key informants in the beneficiary countries.

36. The interviews and online questionnaire verify that that changes at the outcome level are present, both at individual as well as at organizational level. The effects generated (improved individual capacities to advance innovation, competitiveness and public-private partnerships) were very positively appreciated by 86 percent of the respondents. 89 percent of the respondents were able to implement the new knowledge and skill at their everyday work (with some examples provided in raw statements the Annex 4).

37. As examples of changes at legislative/organizational level, one of the policy recommendations made in the Innovation Performance Review of Kazakhstan (2012) had been to improve international cooperation in science, technology and innovation, and to make this a strategic priority. The Agency for Technological Development took up the proposal and requested UNECE to assist with implementation. Within the present project, UNECE provided policy advice to the Agency on a new draft Strategy for International Cooperation in Science, Technology and Innovation. The Government of Kazakhstan subsequently adopted the strategy in 2015. 59. Another example pertains the Law on Venture Funding in Kazakhstan¹⁰. Based on the recommendations contained in the Innovation Performance Review, the National Agency for Technological Development (NATD) drafted the law on venture funding and proposed the Ministry of Finance its adoption. After several round of negotiations (and with technical input provided by consultants supported by UNECE), the Law has been passed in July 2018.

38. As a result of the capacity building and policy advisory services delivered to nine CIS countries, specific measures were taken to improve the national policy support for innovation and PPPs. Besides the mentioned Strategy in Kazakhstan, the project supported improvements to legal innovation frameworks in Belarus and Armenia, work on an Innovation Strategy for Sustainable Development for the SPECA countries, a new PPP model law in Belarus, contribution to national PPP units created or strengthened in several countries, and improvements in PPP project selection practices and risk management.

39. By involving various policy makers and specialists from the CIS member States, by facilitating the exchange of experiences and showcasing successful initiatives to other counties (e.g. Technological Parks

¹⁰ Law 174-VI / 4 July 2018: https://online.zakon.kz/Document/?doc_id=37196166#pos=1;-65 last consulted in May 2019

in Belarus), the project contributed to enable policy dialogue on innovation, competitiveness and PPPs that reflects the diversity of experiences across the UNECE region.

40. Some interviews hinted that among the participants in the events (especially at the inter-governmental meetings) not always the best qualified people took part. Acknowledging that, at the invitation of UNECE, the governments are solely responsible to delegate their representatives, UNECE could think of a mechanism to encourage a proper representation (see the corresponding recommendation). Additionally, the duration of the events (two-three days), coupled with the frequent change of participants does not provide for creating informal openness and

41. The project did not foresee performance indicators in the beginning, but introduced them in the course of implementation. They are defined as output indicators, and the monitoring quality is appropriate. There are no indicators defined to measure changes at outcome level, therefore the evaluation will limit its assessment at the outputs level, and can only make assumptions of the results at the outcome level based on anecdotic information and on self-assessments of the respondents.

42. In order to facilitate future evaluations, the project document could entail at least a (simplified) logical framework, with performance indicators, baseline values and targets both for output and outcome levels. This set of data will support in establishing correct performance of the project and provide realistic assessment of the relevance, effectiveness and efficiency of future similar projects.

43. The project maintained a sub-site¹¹ on the UNECE web-site, where the project documents and some activity-related documents are uploaded, together with the planned budget. By the time of evaluation, the sub-site was partially populated with data. The project did not plan any other activities to increase the visibility, and the communication with the donor relied on annual reports and other communication. Given the importance of ensuring accountability and attracting extra-budgetary funds to finance similar projects, it would be advisable for future similar projects to foresee communication tools or platforms, in order to communicate the project achievements in a broader way. The tools or platforms could also be used by policy makers, specialists and practitioner to create a virtual community, where best practices and knowledge can be easily exchanged.

44. Key Facts to the project's effectiveness:

- The generation and application of UNECE standards and best practices materialized through the series of workshops, consultative visits and ultimately through PPP Readiness Assessments and national Innovation Reviews;
- The activities and the corresponding outputs have been implemented according to the plan and the objectives of the activities corresponding to the Expected Accomplishments have been achieved. The logical link between outputs and outcomes has been established during the evaluation; between the expected outcomes and their impact, the link is only implied. The indicators have been introduced in the course of implementation and monitored, but only at output level; potential results at outcome/impact level are not measured;
- The governments of the member States are ultimately deciding whether and at what extent they will use the products or services delivered by the project, influencing the impact of the activities.

¹¹ <https://www.unece.org/info/open-unece/pmt/extra-budgetary/economic-cooperation-and-integration/e226-competitiveness-innovative-policies-and-public-private-partnerships-capacity-building-for-civil-servants-and-business-associations-phase-iii-of-project-e158.html>

In the current case, as the UNECE support was provided at the governments' requests, most of recommendations and proposals from UNECE have been considered and converted in legislation (e.g. Kazakhstan) or initiatives (e.g. Belarus).

45. The activities have been implemented delivering all initially planned outputs, with the expected level of quality and timeliness. The logical chain between outputs and outcomes has been satisfactorily reconstructed during the evaluation, and the beneficiaries' feed-back illustrates probable enduring changes in their business behavior. Performance indicators are set only at output level; outcome results are not measured. Accordingly, the assessment of outcome level results can only generate assumptions about the effectiveness of the activities set, and the general rating of the effectiveness is *Highly Satisfactory*.

Chapter 4: Efficiency

46. The project was funded by the voluntary contribution of the Russian Federation. The total budget amounted US\$ 660.000, and it included 11,5 percent of Programme Support Costs (see Annex XXX for a detailed budget structure). At the end of the original project period (2017), there was an unspent balance of US\$ 41,000. The donor agreed to extend the project period to the end of 2018, and to allocate US\$ 30,000 for two project evaluations (the current evaluation and a similar one), and for a Readiness Assessment and follow-up event in Tatarstan (Russian Federation). The reported financial implementation rate was of 98% at the end of the project. Additional US\$ 11,000 were reallocated to a UNECE managed Trust Fund, and the donor will determine the use at a later date.

47. The first disbursement has been slightly delayed, but this delay did not impact the execution. The Annual Implementation Reports provide for intermediary spending figures (15% by the end of 2014, 60% by the end of 2015, 80% by the end of 2016). These figures reflect a correct implementation following the plan.

48. The project had an indicative list of activities proposed to be executed according to the allocated budget. However, the Donor stated that the philosophy behind funding the project was to have a "rolling plan" and implement activities as the funding has been disbursed. The fact that, after completing all planned activities, a rest of the budget (6%) was left unspent was thanks to the savings on travel costs, rather than due to a bigger budget than the required resources. This is a proof that the resources allocated were appropriate to the scale of the project and to the generated results.

49. The project has been managed in Geneva by a project manager, who was also responsible for managing other projects; a clear distinction of how much time was dedicated to this particular project is not possible (and might come as a consequence of the need to increase the efficiency in managing projects in UNECE). The consultants hired to collect information, perform analysis, generate knowledge and draft papers were commissioned on an as-need basis with clear deliverables. Some experts on competitiveness, innovation and PPPs contributed voluntarily in some events. These three elements contributed in making the employed human resources proportionate to the achieved results.

50. Thanks to the funds made available within this project, representatives from the CIS countries – who otherwise are not able to travel to Geneva or other relevant locations – had the opportunity to contribute to and benefit from the policy discussions at the above event. On average, 7-12 representatives received financial support to cover travel costs, and the total travel costs (including of the consultants) amounted 54 percent of the total projects’ budget. The costs incurred by beneficiaries’ travel versus the added value of their participation bears the difficulty of assessing how effective these funds are spent and what is the expected return, therefore an assessment is not possible. This aspect should be improved in the future projects.

51. The assessment of the spent funds compared to the implemented activities and achieved goals is made in retrospect. The biggest part of the expenditure was used to fund activities under Activity 1.1 (planned US\$ 120.000) and travel cost support for participants (A 2.1 and 2.2; total US\$ 170,000). Considering the costs associated with organizing 12 events under A1.1, the resources were appropriately spent. Some expenditure savings on subsets of activities were realized due to lower travel costs in Central Asia.

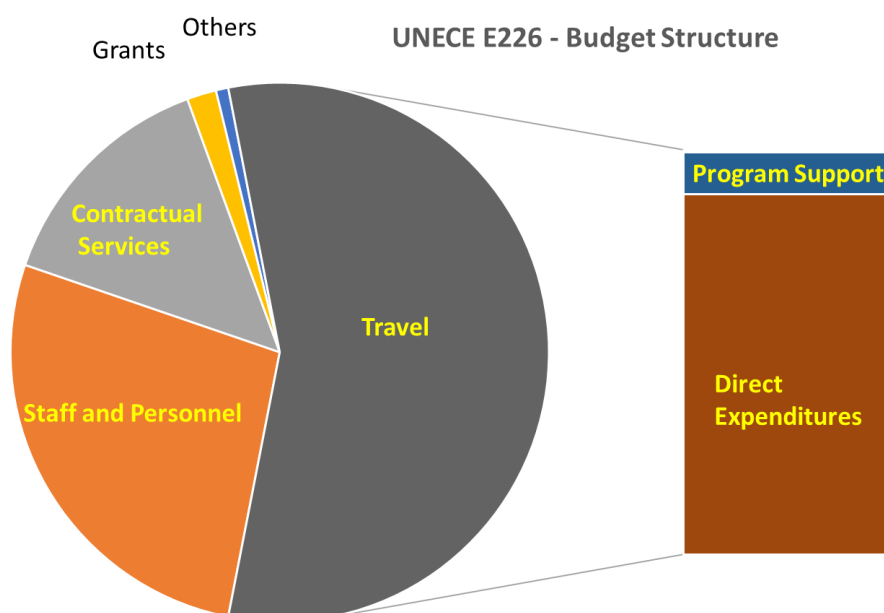


Fig. 1: The structure of budget expenditure.

52. Approximately 30 percent of the budget was represented by hiring consultants, who provided content work (performing country analysis, drafting reports, delivering technical inputs in meetings and workshops). Given the nature of activities considering the project’s Theory of Change and the assessment of the project’s management, the evaluator considers the proportion as appropriate.

53. As the project is a capacity building project on specific thematic (competitiveness and innovation), no benchmarking is available. Similar projects implemented by UNECE covered different geographic areas, or did not offer financial support for government delegates or technical experts. Therefore, it is not possible to establish an optimal cost-benefit ratio and to conclude how many more services were to be delivered to increase the efficiency.

54. Key Facts related to the project's efficiency

- The activities have been implemented according to the available resources, following the standard procedures and regulations in UN;
- The resources (both financial and human) were appropriate to the scale of activities implemented;
- The highest part of expenditures was represented by events organizing costs and the travel support offered to public servants in the beneficiary countries. The financial support has been provided in an efficient manner, covering travel costs for (mostly) relevant representatives for the beneficiary countries.

55. The policy advisory and capacity building have been designed to address requests from the member States, and were provided in an efficient manner by employing consultants and by mobilizing networks of policy makers and experts. 72. The project's allocated resources were commensurate for the scale of activities and results; the project management cost was appropriate, and the highest proportion represents the content work (events organizing and supporting beneficiaries to travel to the respective events). The project's efficiency is rated as *Highly Satisfactory*.

Chapter 5: - Relevance

56. In the light of the arguments introduced in the background chapter, the support to create a competitive and innovative economic framework in the UNECE member States (especially in the CIS or SPECA countries) show potential to become the key to advance the countries towards achieving the SDGs, to provide efficient management of public goods and services, and to facilitate easier access to essential public services for all people.

57. The governments can incentivize the private sector to perform also in areas traditionally covered by the public sector. The private sector has a distinct advantage through its efficient and streamlined processes, maximizing profits; it can bring more 'value for money'. The private sector is knowledgeable about PPPs as it generates profit, but less so about sustainable development principles and SDGs. This niche can be used by UNECE to become a broker between the public and the private sector.

58. During its seventy-fifth session held in 2015, the UNECE Executive Committee (EXCOM) mandated through the Terms of Reference (ECE/EX/2015/L.8) the Committee on Innovation, Competitiveness and Public-Private Partnerships (CICPPP) to promote a policy, financial and regulatory environment conducive to economic growth, innovative development and higher competitiveness in and of the member States. The support is provided through a set of four types of activities:

- a) Promoting the knowledge-based economy and innovation;
- b) Facilitating the development of entrepreneurship and the emergence of new enterprises, and improving corporate responsibility;
- c) Facilitating effective regulatory policies and corporate governance, including those in the financial sector;
- d) Promoting public-private partnerships for domestic and foreign investment.

59. Specifically, the objectives of the current project contribute directly to implement activities a), b) and d) listed in the Terms of Reference, and indirectly to activity c).

60. The important role of the PPPs in sustainable development has been officially recognized during the tenth session of the CICPPP¹², when the director of the Economic Cooperation and Trade Division

¹² ECE/CECI/2016/2

highlighted the important role CICPPP should play in advancing the SDGs and implementation of the Addis Ababa Action Agenda, which calls for the elaboration of guidelines on PPPs.

61. Acknowledging the role of the experts in promoting innovation and competitiveness in the UNECE region, the Executive Committee of UNECE created the Team of Specialists on Innovation and Competitiveness Policies (ToS-ICP) in 2005. Subsequently, EXCOM approved the Revised Terms of Reference¹³ for the ToS-ICP at its Sixty-eighth meeting (April 2014). Accordingly, the ToS is engaged in contributing to eight sets of activities (Section III – Areas of Work). Through its two expected accomplishments (and seven main activities), the project contributes to all areas of work stated in the Terms of Reference.

62. Recognizing the potential role PPPs could play in the aftermath of the 2008 financial crisis, the UNECE Committee on Economic Cooperation and Integration decided in 2008 to establish a Team of Specialists on Public-Private Partnerships (ToS-PPP). The Team was mandated to disseminate best practices in PPPs, to train public and private sector officials and provide policy and project advice. At its 87th session held in November 2016, the EXCOM decided to transform the ToS-PPP into a Working Party on Public-Private Partnerships (WP PPP), confirming once again the rising importance of PPPs and the continued interest of UN on the topic.

63. Both the ToS-ICP and the WP-PPP operate in accordance with the Guidelines for the Establishment and Functioning of Teams of Specialists within the ECE (ECE/EX/2/Rev.1) and the Guidelines on Procedures and Practices for ECE Bodies (E/2013/37 E/ECE/1464, Annex III, Appendix III). The annual reports of ToS-ICP and WP-PPP present thoroughly the consultative dialogue among the members, lists the implemented activities and foresees following actions to ensure the implementation of the biennial work plans.

64. Until recently, PPPs were seen by the development community as a financial instrument mainly pushed by the private sector and Multilateral Development Banks. Now there is an emerging broader understanding, integrating PPPs towards SDGs advancement (see the Addis Ababa Action Agenda, 2015). In this context, the new generation of PPPs proposes a comprehensive approach, named “People First” (PF) PPPs. The PF-PPP concept was initially used by UNECE in 2008, and was later assumed by other institutions too. The emergence of the PF-PPP concept creates new opportunities for the UNECE, in the light of comprehensive goals for development under the SDGs. UNECE asked the governments of the member States and the private sector to propose potential PF-PPPs’ that would be ‘compliant’ with the SDGs.

65. The mechanism through which the UNECE member States request and receive support is the ongoing communication with the governments, as they send their requests throughout the year. These requests are included in the implementation plans and programs of work of the CICPPP, TOS ICP and WP PPP, usually with the provision “subject to extra-budgetary funding”. Additional requests are received at the annual sessions of these bodies and are also reflected in the implementation plan and program of work. These are adopted by the CICPPP and approved by EXCOM, and the EXCOM empowers the members of the Secretariat to act, subject to funds availability.

66. The project document states “the project responds to the strong demand for capacity building in innovation, competitiveness and PPP development in CIS countries”, as repeatedly expressed in the sessions of the CEI, the Team of Specialists on Innovation and Competitiveness Policies and the Team of Specialists on Public-Private Partnerships). The interviews and documents analysis confirms the interest and demand from the member countries.

67. Through its declared objectives, the project contributed to the stated objective “Strengthened national capacity in countries with economies in transition to promote good practices and implement the ECE policy recommendations” of the sub-programme 4, Economic Cooperation and Integration (A/67/6 – Prog. 17¹⁴).

¹³ The latest revision of the Terms of Reference was in 2017:

https://www.unece.org/fileadmin/DAM/ceci/icp/Mandate_and_Terms_of_Reference_TOS_ICP_2017.pdf

¹⁴ ECE 2014-15 Strategic Framework (2012) and ECE 2016-2017 Strategic Framework (2014).

The objective has been slightly updated in the following programmatic document to “Strengthened national capacity of countries in the region to promote good practices and implement ECE recommendations on a policy, financial and regulatory environment conducive to sustained economic growth, innovative development and greater competitiveness” (A/69/6/Rev.1 – Prog.17, page 8). The contribution is achieved by reinforcing the correlation between normative work and its application in the member States - particularly in the CIS countries, both at national and regional level.

68. This project is the third stage within a sequence of projects; the previous two project stages have been implemented in 2008-2010 and 2011-2013, and were similarly funded by the voluntary contribution of the Russian Federation. The project team stated that “the project makes it possible to meet the growing demand for capacity-building activities under the UNECE sub-programme on Economic Cooperation and Integration and extends the reach and scope of UNECE activities in CIS countries”. The previous project stages have not been evaluated as UNECE had no evaluation policy at that time and the donor did not request and provide the budget for this task; hence, this evaluation can not objectively assess what were the actual outcomes and what is the starting base of the current stage. However, the logical sequence is that, initially, the services were mainly focusing on awareness raising and generic information on innovation, competitiveness and PPPs. At the current stage, the countries developed and the policy makers are more interested in more sophisticated tools and policies. The degree of complexity is reflected in the comprehensive tools called “PPP Readiness Assessment”¹⁵ and “Innovation for Sustainable Development Reviews”¹⁶, where the UNECE specialists assess the current situation of a member State and propose tailored strategies fitting to the specificities of the country.

69. The SPECA Programme, in its aim to support the Central Asia economies to integrate in the global economy, established six Working Groups. Among them, the Working Group on Knowledge-based Development (WG on KBD) plays a specialized role in the context of globalization and the developments in the direction of knowledge based economy. The thematic orientation includes areas such as (1) ICT for development; (2) promoting innovation and innovative development; (3) supporting knowledge-based competitiveness; (4) financing ICT infrastructure and innovative development; (5) commercialization and protection of intellectual property; (6) public-private partnerships; and (7) knowledge-based disaster risk reduction and management¹⁷.

70. The activities implemented by the WG-KBD are demand-driven and are planned in the biennial Work Plans agreed by UNECE and ESCAP. Accordingly, from extra-budgetary resources, the WG-KBD implemented mainly capacity-building activities, innovation performance reviews (UNECE), ICT usage for socio-economic development or disaster risk reduction and climate change adaptation (ESCAP), and others.

71. The relevance is enhanced by the fact that the project has two follow-up projects since 2017, continuing the work on innovation and PPPs: “Strengthening the capacity of selected CIS countries in innovative development to improve competitiveness and achieve the Sustainable Development Goals” (2017 – 2019) and “Strengthening capacity of selected CIS countries to advance their use of public-private partnerships (PPs) to achieve the Sustainable Development Goals” (2017 – 2019). They build up on good practices on innovation policy and standards on (PF)PPPs (results of this project), as well as on the previously produced Readiness Assessments, on national Innovation for Sustainable Development Reviews and provide capacity building activities in the light of the changes induced by the “people-first” PPPs.

¹⁵ <http://www.unece.org/cicppp/public-private-partnerships-ppp/icoeppp/guides.html>

¹⁶ <http://www.unece.org/innovationforsustainabledevelopmentreviews.html>

¹⁷ The Terms of Reference of the SPECA Working Group on Knowledge-based Development (PWG on KBD): https://www.unece.org/fileadmin/DAM/SPECA/documents/kdb/2012/Revised_ToR_En.pdf

Contribution to achieving SDGs:

72. Through its expected results, the project was designed to contribute to achieving the following SDGs:

- SDG 8 (“Decent work and economic growth”); in particular targets 8.2 “Achieve higher levels of economic productivity through diversification, technological upgrading and innovation ...”, and 8.3 “Promote development-oriented policies, decent job creation, entrepreneurship and innovation ...”;
- SDG 9 (“Industry, Innovation and Infrastructure”); in particular targets 9.1 “Develop quality, reliable, sustainable and resilient infrastructure ...”, 9.5 “Enhance scientific research, upgrade the technological capabilities of industrial sectors in all countries, in particular developing countries, including, by 2030, encouraging innovation ...” and 9.B “Support domestic technology development, research and innovation in developing countries...”;
- SDG 12 (“Responsible consumption and production”); in particular target 12a. “Support developing countries to strengthen their scientific and technological capacity to move towards more sustainable patterns of consumption and production”; and
- SDG 17 (“Partnerships for the Goals”); in particular targets 17.6 “Enhance North-South, South-South and triangular regional and international cooperation on and access to science, technology and innovation ...”, and 17.17 “Encourage and promote effective public, public-private and civil society partnerships”.

73. The interviews carried out and the online questionnaires reflect the stated relevance elements, both from the project staff and beneficiaries’ perspective. From the 48 respondents of the online questionnaire, 89% of the beneficiaries appreciated that the project fully served the needs of the member States (including for policy makers, civil servants and business associations). Furthermore, 94% of the respondents consider the policy advisory services and capacity building activities are aligned with the national priorities of the CIS countries. The interviews searched more into detail at what extent these statements are sustained by evidence in the beneficiary countries. The respondents provided for examples of how the project’s results supported the national initiatives in developing innovation and competitiveness in their respective economies.

74. The outputs and potential outcomes described in the effectiveness Chapter (fact-finding missions, policy products, recommendations sets, training kits, financial support for government delegates and experts) are very relevant for the member States as they were requested services, they increase capacities and facilitate exchange of knowledge through networking.

75. Key Facts related to the project’s relevance:

- The innovation and competitiveness policies, as well as PPPs can play an increasing role in the sustainable development and financing, especially considering the broad targets under SDGs and the resulting financing challenge (since 2015);
- The project’s objectives and results are aligned with those the Committee on Innovation, Competitiveness and Public-Private Partnerships (CICPPP) to promote a policy, financial and regulatory environment conducive to economic growth, innovative development and higher competitiveness in and of the member States;

- UNECE established the Team of Specialists on Innovation and Competitiveness Policies to support the member States in creating policies fostering sustainable economic development and support innovation, in order to integrate the CIS and SPECA economies in the global economy;
- UNECE established the Team of Specialists on PPPs to address the increasing relevance and potential role played by PPPs. The Team was subsequently upgraded to become a Working Party in 2017, a sign for the increased role UNECE intends to play in promoting a sustainable PPP model;
- The project's activities serve the needs of the member States by creating training modules, policy recommendations, organizing events and workshops to increase knowledge on innovation, competitiveness and PPPs, and by supporting financially the civil servants in the member States to participate at events and create a knowledge network in the region;
- The activities and their results (outputs and outcomes) contributed to strengthening the capacity of its networks of experts in assisting member States to increase capacities of their governmental bodies and civil servants in implementing innovative policies in their economies;
- The work on enabling economic advancement and financing for sustainable development contributes to achieving four SDGs;
- In the online questionnaire (Annex 4), when asked about relevancy of the project to the mandate of the Economic Cooperation and Trade Division of UNECE, almost all respondents agreed that it is "very relevant"; the same opinion was expressed about the relevancy of the work for the governments of the UNECE member States (aligned with national priorities") and for civil servants and business associations.

76. The project addressed the need to increase capacities in the member States (support often requested by UNECE member States) and generated knowledge on innovative policies, competitiveness and PPPs. The project objectives are aligned with the objectives of the Committee on Innovation, Competitiveness and PPPs and contributes to four of the Sustainable Development Goals. The project's relevance is rated *Excellent*, as it addresses the need and requests from the member States, is fully aligned with the mandate and objectives of the UNECE and the beneficiaries have positive opinions on the relevancy of the project.

Chapter 6: Gender and Human Rights Considerations

77. The project's activities generated knowledge and offered technical assistance in a highly specialized area, and it does not have a direct impact on the final beneficiaries from the gender equality perspective: ultimately, all society at large would be impacted from the long-term changes induced by the project.

78. In the process of generating best practices, standards and services for the member States, both women and men have been involved, although no prerequisite was mentioned in the project proposal. At the project's level, the gender-split participation in the events was monitored and appropriately reported. The female participation in the trainings, workshops and other events ranged between 25 and 40 percent, according to the projects' monitoring indicators. 75. The 12 events implemented under Activity 1.1 attracted some 700 participants with female participation ranging from 25 percent to 33 percent, depending on the event. The 12 activities were attended by approx. 540 participants, with female participation ranging between 25 percent and 40 percent. The financial support was provided to 100 participants (of which 35 were female).

79. Regarding the human rights dimension, similar interventions should contribute for the benefit of right-holders, to strengthening the capacity of duty bearers or other actors to fulfil obligations and responsibilities, to strengthening accountability mechanisms, and to monitoring and advocating for compliance with international standards on human rights.

80. The current project proposal did not address human rights explicitly: it did not provide for an analysis of roles of and impact on duty-bearers and rights holders, and no related data were collected. Through policy advice and capacity building, the duty-bearers were supposed to increase their technical capacity related to innovation and competitiveness, and they indirectly are supposed to contribute to an improvement of the economic and social rights of the people. No activities related to the rights holders were identified in the intervention logic. For them, the principles of inclusion, participation and fair power relations are recommendable to be considered in future project designs. Also, new research results presented to the United Nations General Assembly indicate controversial effects of privatization and PPPs, and should be taken into consideration in the design stage of future projects.

Chapter 7: Conclusions and Recommendations

Conclusions

81. The objective of the project was to develop the relevant practical skills of beneficiaries in the UNECE member States, increase the organizational capacity of the institutions involved and strengthen cooperation among relevant stakeholders, including through relevant expert networks.

82. The activities have been concentrated on generating and disseminating knowledge in order to raise the capacities on stimulating competitiveness, innovative policies and PPPs. The competitiveness, innovation policies and PPPs could play an important role to achieve SDGs through drawing in the private sector with funds and management capacity.

83. Four factors justify the project's relevance: (i) the need to increase capacities of the policy makers, in order to foster competitiveness and innovation; (ii) contribution to four all of the Sustainable Development Goals (after 2015); (iii) the support requested by UNECE member States; and (iv) the alignment with the objectives of the Economic Cooperation and Trade Integration sub-programme of UNECE.

84. The project had no proper project document per-se, but a list of indicative activities and a results-based budget. Monitoring indicators have been introduced in the course of the implementation only for outputs level, but they had no baseline data, making the comparison to the end values meaningless. The activities have been implemented as planned and the intended results have been achieved. The logical link between outputs and outcomes has been established during the evaluation; between the expected outcomes and their impact, the link is only implied.

85. The highest proportion of expenditures are represented by events organizing costs and the travel costs of consultants, and public servants in the beneficiary countries. The financial support has been provided in an efficient manner, covering travel costs for (mostly) relevant representatives for the beneficiary countries. The efficiency is highly satisfactory, with a good balance between the substantive and administrative costs.

88. The results are positive at the outputs level. 1,700 beneficiaries (national policy makers in CIS countries) increased their awareness and understanding about international good practice in the areas under the mandate of the Committee. They also created or strengthened contacts with peers and other innovation and PPP stakeholders in the CIS and the ECE region as a whole, creating the premises for sub-regional cooperation. However, the lack of baseline indicators and no monitoring of the results at outcome and impact level makes the judgement of project's effectiveness unreliable.

87. The UNECE has a comprehensive approach to combine world-class technical expertise with the proven long-established capacity to bring together policy makers, able to decide on embedding the technical proposals within policy making among its member States. The intergovernmental dialogue and negotiations mechanisms are important for generating political will, to alter national legal frameworks towards streamlining technical processes.

88. In spite of the reliance on extra budgetary funds and the general request for increased accountability, the project did not foresee any communication or visibility plan. The only communication channels were the annual reports (to the donor) and a public sub-site on the UNECE web-site.

89. The gender and human rights considerations were not identified in the project design and stage, and during the implementation only women participation in the events has been monitored. Similar projects should contain a better analysis, and the project implementation should foresee improved monitoring and reporting of these aspects.

Recommendations:

90. *Recommendation 1:* In order to facilitate future evaluations, the project documents should entail (besides the established results-based-management principles) a Theory of Change, explaining how the outputs will generate outcomes and – eventually – an impact. In case this is not possible, at least a logical framework, with performance indicators, baseline values and targets both for output and outcome levels should be mandatory. This set of data will support in measuring correct performance of the project and provide realistic assessment of the relevance, effectiveness and efficiency of future similar projects (eventually sustainability could also be assessed).

91. *Recommendation 2:* UNECE should carefully plan the adoption of the innovation and competitiveness principles by the member States (governments and private sector). By increasing capacities of policy makers and popularizing “people-first” principles in PPPs, UNECE plays the “facilitator” role between the public and the private sector in the region, and creates the premises for a sustainable economic and social development. The operationalization of the principles should be further guided by UNECE, in consultation with the member States.

92. *Recommendation 3:* Future projects should record exactly how many participants benefitted from financial support, for how long and what were the incurred costs. These data can be used to assess more appropriately the efficiency of the spent funds. On a voluntary basis, also the outcomes of the support could be traced, and a resources/results ratio could be calculated or at least approximated.

93. *Recommendation 4:* UNECE should streamline gender and human rights considerations in the evaluation framework of future projects. This is more important as UNECE's work has a high potential impact on the beneficiaries, especially when considering the “people-first” PPPs.

93. *Recommendation 5:* Future similar projects should foresee communication tools in order to communicate the project achievements in a broader way. This recommendation relates to the importance of ensuring accountability and attracting extra-budgetary funds to finance similar projects. The tools can rely on modern communication technology (blog, newsletter, webinars, databases, interactive platforms) etc.).

94. *Recommendation 6:* UNECE should create a mechanism to stimulate the participation of the most relevant delegates in the inter-governmental meetings. The governments are solely responsible to nominate the participants, and they should also provide the political will to positively influence the internal policy making processes. UNECE could request a minimal technical preparation upfront, in order to systematically involve the mostly qualified and effective experts, and facilitate networking of the knowledgeable people.

95. *Recommendation 7:* In order to facilitate networking and sharing of best practices, rely not only on formal events. UNECE acts sometimes as a knowledge “broker” and repository, and could consider creating and maintaining a virtual communication platform for policy makers and specialist in the region. This tool should be different from the one mentioned in Recommendation 4 (outward oriented), and should be dedicated to “specialists” in the region.

96. *Recommendation 7a:* UNECE could re-think some of the events organized in the region. While the nature of (semi)official meetings needs to maintain an etiquette (for governmental representatives), at least for practitioners “warm-up” activities could be considered. During a two-days standard event, participants break the ice by the time when the event is over. The participants’ fluctuation prevents from creating informal networks. Hence an online database of “who’s-who” could be created, in order to facilitate networking in the region.

Annex 1: Terms of Reference

Terms of Reference for the Evaluation of the UNECE project “Competitiveness, innovative policies and public-private partnerships: Capacity building for civil servants and business associations”

I. Background

The UNECE project “Competitiveness, innovative policies and public-private partnerships: Capacity building for civil servants and business associations” was funded by the Russian Federation and was implemented from September 2014 to October 2017, with member states of the Commonwealth of Independent States (CIS) as the beneficiaries. The main objective of the project was to strengthen the capacity of CIS countries to advance innovation, competitiveness and public-private partnerships (PPPs). The project aimed at (i) enhancing national capacity, including new knowledge and practical skills, to advance innovation, competitiveness and new business models such as PPPs; and (ii) strengthening regional cooperation and networking among CIS practitioners, involved in the advancement of innovation, competitiveness and PPPs.

The major planned outputs of the project were:

1. Organization of seminars, workshops, training courses and other capacity-building events on innovation and PPPs for CIS countries;
2. Provision of substantive support to the work of the SPECA Project Working Group on Knowledge-based Development and other SPECA related meetings;
3. Development of training materials and modules for capacity-building activities on promoting innovation, competitiveness and PPPs;
4. Preparation of policy-oriented documents for the promotion of innovation, competitiveness and PPPs in CIS countries;
5. Provision of targeted policy advisory services related to concrete measures or practical steps regarding the promotion of innovation, competitiveness and PPPs in CIS countries;
6. Financial support to cover travel of CIS delegates to the meetings of the SPECA Thematic Working Group on Knowledge-based Development and other SPECA related meetings;
7. Financial support to cover the travel of CIS experts so that they are able to provide input and participate in intergovernmental and expert meetings (Committee on Innovation, Competitiveness and PPPs, Team of Specialists on Innovation and Competitiveness Policies, Team of Specialists/ Working Party on PPP, and the International PPP Forums).

II. Purpose

The purpose of this evaluation is to assess the efficiency, effectiveness and relevance of the project for strengthening the capacity of CIS countries to advance innovation, competitiveness and PPPs, and for the ability of the UNECE secretariat to deliver on the mandates of the Committee on Innovation, Competitiveness and PPPs and of the SPECA Thematic Working Group on Knowledge-based Development.

The results of this evaluation will be used to improve future UNECE projects. All UNECE projects funded by the Russian Federation are subject to an end of project evaluation according to the UNECE Evaluation Policy

III. Scope

The evaluation will cover the entire project period from September 2014 to October 2017, and all activities planned in the project as defined by the project document.

Gender aspects will be also covered by the evaluation, taking into account guidance provided by the United Nations Evaluation Group on the matter (available at <http://www.uneval.org/document/detail/980> and <http://www.uneval.org/document/detail/1452>).

The evaluation process will engage international and national experts, policy makers from relevant national ministries and agencies, representatives of relevant international organizations, including UNDP, as well as any other entities involved in project implementation.

The evaluation will be consistent with the UNECE evaluation policy.

IV. Issues

The evaluation will seek to report on the efficiency, effectiveness and relevance of the project. Key questions that the evaluation seeks to answer include:

Effectiveness

1. To what extent did participants in capacity-building and policy advisory activities financed by the project improve their capacities to advance innovation, competitiveness and public-private partnerships? To what extent were they able to apply newly gained knowledge in their work?
2. To what extent were participants financed by the project able to contribute their own experiences to the inter-governmental meetings? To what extent were those experiences reflected in meeting outcomes?
3. To what extent did the project contribute to a policy dialogue on innovation, competitiveness and PPPs that reflected the diversity of experiences across the UNECE region?
4. To what extent did the project contribute to the dissemination and application of UNECE good practices, policy recommendations and standards among national policy makers and practitioners?
5. What were the challenges/obstacles to achieving the project objective and expected accomplishments?
6. Give advice (if any) on how the expected accomplishments of the project could have been more effectively achieved?

Efficiency

1. Were the resources allocated in the project appropriate to the scale of the project?
2. Were the human and financial resources allocated to the project used efficiently and commensurate to the project results?
3. Were policy advisory and capacity building activities implemented in an efficient manner?
4. Was financial support for participating in inter-governmental meetings provided in an efficient manner?

Relevance

1. To what extent were the project’s major achievements consistent with the UNECE mandate to promote a policy, financial and regulatory environment conducive to economic growth, innovative development and higher competitiveness, particularly in countries with economies in transition?
2. To what extent did the project serve the needs of its main beneficiaries, i.e. policy makers and other civil servants and business associations in CIS countries?
3. To what extent were the project’s objectives achieved? To what extent were the project outputs relevant to strengthening the capacity of CIS countries to advance innovation, competitiveness and PPPs?
4. To what extent did the country-level activities under the project build on the results of the inter-governmental processes?
5. To what extent were the topics of policy advisory and capacity building activities aligned with national priorities of CIS countries?
6. To what extent were the topics of the substantive segments of inter-governmental meetings relevant for the national policy priorities of CIS countries?

V. Methodology

The evaluation will be carried out by an independent evaluation consultant, who will be responsible for the design of the evaluation methodology. This may include:

1. Desk review of all documents related to the work programme and the project. The project manager will ensure that the evaluator receives all relevant documentation to enable a thorough desk review.
2. An electronic **questionnaire** will be sent to all participants from CIS member states in the activities supported by the project, and to the UNECE staff involved in the project. The questionnaire will be prepared by the evaluation consultant, and will be reviewed by the UNECE project manager. It will seek information that would allow addressing the questions listed in section IV.
3. **Interviews with selected relevant staff and stakeholders of the project** will take place via phone and skype. The UNECE project manager will provide the list with contact details.

The UNECE project manager will provide support and further explanation to the evaluation consultant when needed.

The evaluation consultant will prepare **a report** on the results of the evaluation based on these terms of reference. The draft report will be submitted to the project manager, and the PMU, for comment and quality assurance.

VI. Evaluation Schedule

- | | |
|-------------------------------------|--|
| <i>A. Preliminary research:</i> | June 2018 (by evaluation consultant) |
| <i>B. Data Collection:</i> | June - July 2018. |
| <i>C. Data Analysis:</i> | by end of July 2018 (by evaluation consultant) |
| <i>D. Draft Report:</i> | by August 20 th , 2018 (by evaluation consultant) |
| <i>E. Comments on Draft report:</i> | by August 31 st , 2018 |
| <i>E. Final Report:</i> | by September 7 th , 2018 (by evaluation consultant) |

VII. Resources

An external evaluation consultant identified through the UNECE evaluation roster will be hired and will be managed by the UNECE project manager. The UNECE Programme Management Unit will provide guidance on design and quality assurance of the evaluation.

VIII. Intended Use/Next Steps

The results of the evaluation will be used in the planning and implementation of new capacity building projects and policy advisory services in Eastern Europe, the Caucasus and Central Asia in the future, including through the follow-on projects “Strengthening the capacity of CIS countries in innovative development to improve competitiveness and achieve the Sustainable Development Goals” and “Strengthening the capacity of CIS countries in PPPs for achieving the Sustainable Development Goals”.

IX. Criteria for Evaluators

The evaluator should have:

- Good knowledge and experience of evaluation, project management, social and demographic statistics
- Demonstrated methodological knowledge of evaluations, including quantitative and qualitative data collection and analysis for end-of-cycle project evaluations
- Proficiency of written and spoken English
- Experience in the Eastern Europe, the Balkans, Caucasus and Central Asian sub-regions

Annex 2: List of Documents Reviewed

- EXCOM Form, Project Document including the budget, Annual Implementation Reports and the Final /Terminal Report
- List of the UNECE-led activities under the project;
- National PPP Readiness Assessment Reports and Innovation for Sustainable Development Reviews;
- Web-site: <https://www.unece.org/info/open-unece/pmt/extra-budgetary/economic-cooperation-and-integration/e226-competitiveness-innovative-policies-and-public-private-partnerships-capacity-building-for-civil-servants-and-business-associations-phase-iii-of-project-e158.html>
- Other relevant documents, expert’s reports, web-sites, etc.

Annex 3: Questionnaire for face-to-face and online interviews

Evaluation of the UNECE project:

“Competitiveness, innovative policies and public-private partnerships: Capacity building for civil servants and business associations” (E226)

Questions Guideline – September 20th, 2018

Stakeholders – UNECE relevant staff, donor representative, experts on innovation, competitiveness and PPP, beneficiaries, etc.

How would you rate the **Relevance** of the project towards the scope?

- To what extent were the project’s major achievements consistent with the UNECE mandate to promote a policy, financial and regulatory environment conducive to economic growth, innovative development and higher competitiveness (especially in countries with economies in transition)?
- To what extent did the project serve the needs of its main beneficiaries, i.e. policy makers and other civil servants and business associations in CIS countries?
- To what extent were the project outputs relevant to strengthening the capacity of CIS countries to advance innovation, competitiveness and PPPs?
- To what extent did the country-level activities under the project build on the results of the inter-governmental processes?

- To what extent were the topics of policy advisory and capacity building activities aligned with national priorities of CIS countries?
- To what extent were the topics of the substantive segments of inter-governmental meetings relevant for the national policy priorities of CIS countries?
- What is the relevance of the activity for the broader work of UNECE?

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Were the actions to achieve the results **Efficient?** (Have things been done right?)

- Were the available resources appropriate to the scale of the project (and the needs identified by member States)?
- Were the human and financial resources allocated to the project used efficiently and commensurate to the project results?
- Were all activities organized efficiently and on time? Were the results achieved on time?
- To what extent the resources were used economically? How could the use of resources been improved?

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Were the actions to achieve the results **Effective?** (Have the right things been done?)

- To what extent were the expected accomplishments of the project achieved?
- What were the challenges/obstacles to achieving the project objective and expected accomplishments?
- To what extent did participants in capacity-building and policy advisory activities financed by the project improve their capacities to advance innovation, competitiveness and public-private partnerships? To what extent were they able to apply newly gained knowledge in their work?
- To what extent were participants financed by the project able to contribute their own experiences to the inter-governmental meetings? To what extent were those experiences reflected in meeting outcomes?
- To what extent did the project contribute to a policy dialogue on innovation, competitiveness and PPPs that reflected the diversity of experiences across the UNECE region?
- To what extent did the project contribute to the dissemination and application of UNECE good practices, policy recommendations and standards among national policy makers and practitioners?
- Give advice (if any) on how the expected accomplishments of the project could have been more effectively achieved?

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Additional questions (beyond the ToR questions), to facilitate a deeper understanding of the project and its context. In case highly relevant facts are discovered, they will be highlighted either directly to UNECE staff or in the evaluation report:

Are the results **sustainable**? Will the results lead to benefits beyond the life of the existing project?

- To what extent will the major achievements/outputs of the project continue after its completion?
- How likely is the stakeholders' engagement and partnerships forged as a result the project to continue after its completion, be scaled up, replicated or institutionalized?
- How will the achievements/outputs of the project pave the way for future work on PPPs?
- To what extent did the project contribute to build and strengthen the PPP enabling environment and project development capabilities of member States (including the establishment of new institutions, enactment of laws, and identification of projects)?
- To what extent will the benefits of the activity continue after its completion, without overburdening recipient countries and stakeholders?

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Further questions to clarify **cross-cutting issues**, as per HRGE in Evaluation guidance:

- Who is benefiting and who is not? (male/female, age groups, different socio economic groups)
- How effectively have equality and gender mainstreaming been incorporated in the design execution of the Programme?
- To what degree are approaches such as a human rights based approach to programming, gender mainstreaming and results-based management understood and pursued in a coherent fashion?
- How would you describe the cooperation with the counterparts (Governments, International Organizations, national institutions, other international technical entities)? Has the partnership strategy been appropriate and effective?

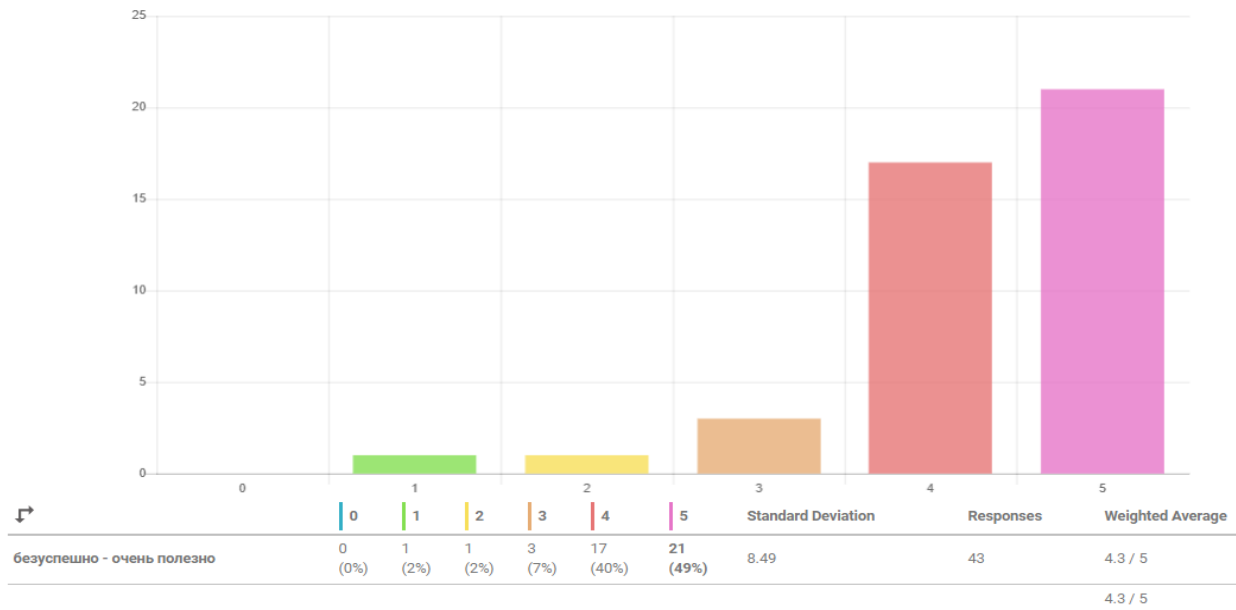
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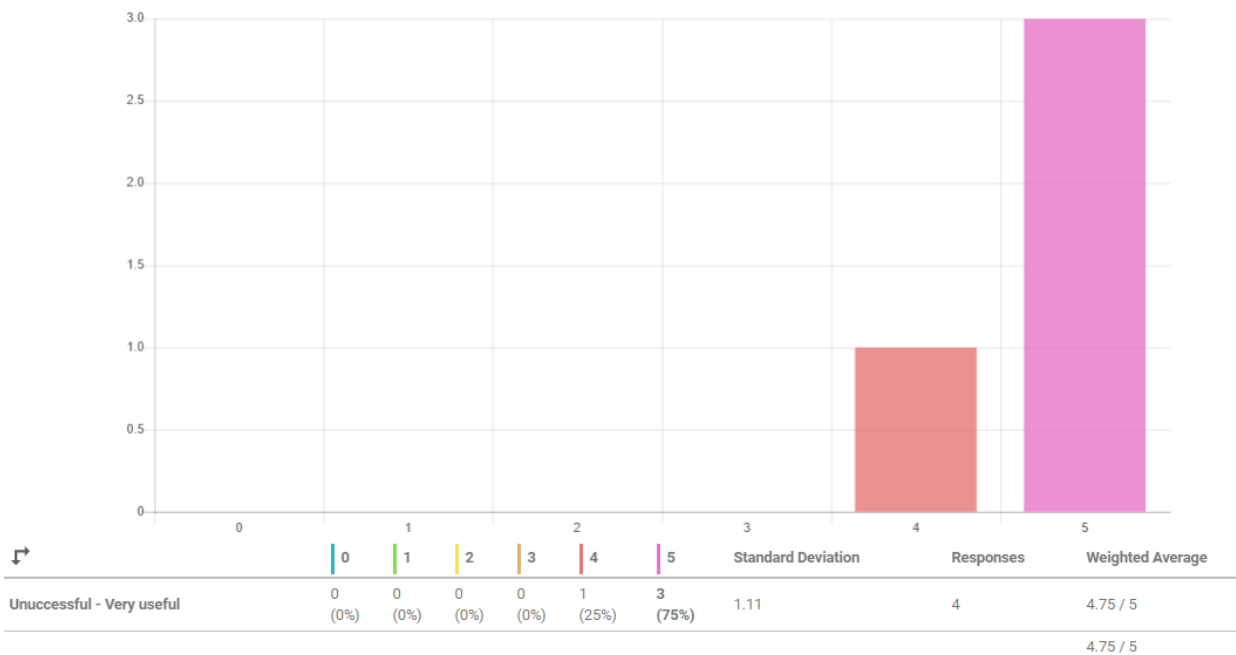
Annex 4: Online Questionnaire Results (as of May 15th, 2019)

Question 1: 47 responses (43 in Russian language, 4 in English language).

1 В какой степени проект отвечал потребностям его основных бенефициаров (т. е. лиц, определяющих национальную политику и других государственных служащих и бизнес-ассоциаций в странах СНГ)?

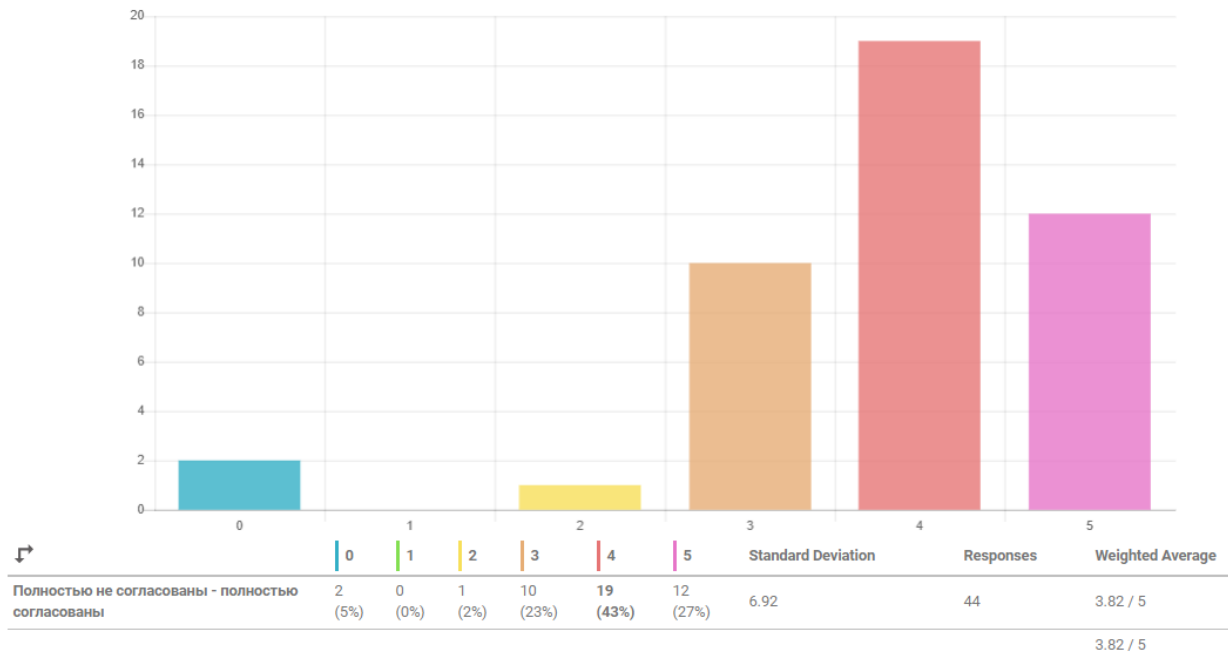


1 To what extent did the project serve the needs of its main beneficiaries (i.e. policy makers and other civil servants and business associations in CIS countries)?

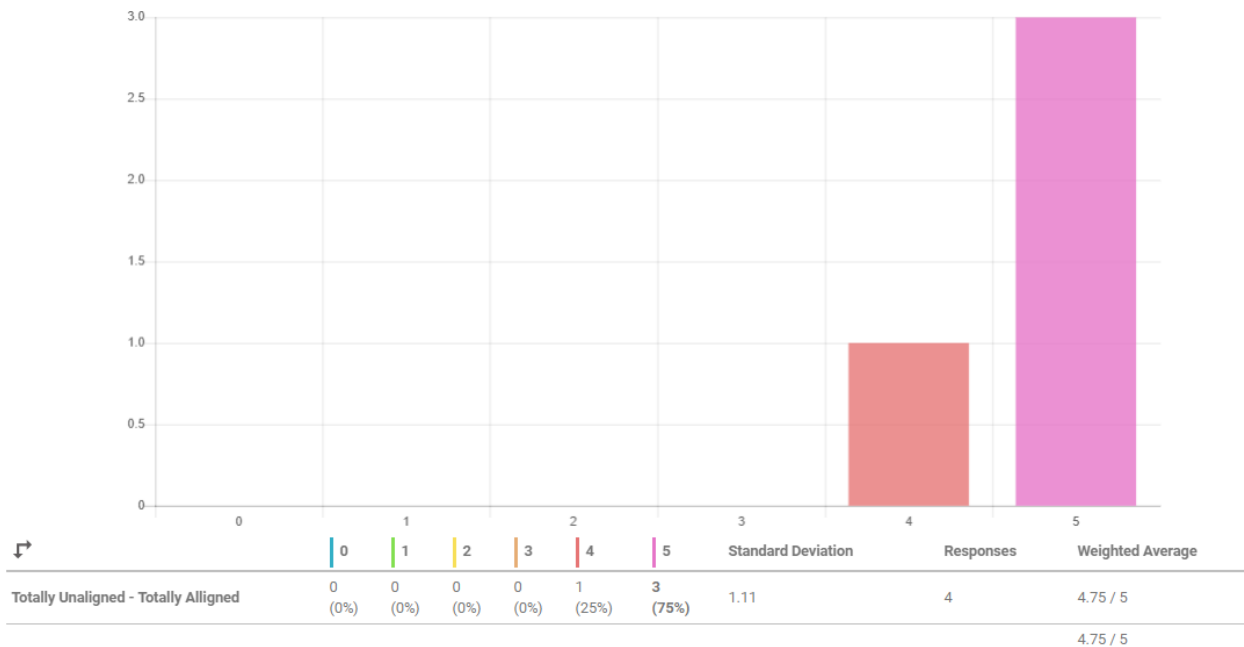


Question 2: 48 responses (44 in Russian language, 4 in English language).

2 В какой степени темы консультативных услуг по определению политики и мероприятий по наращиванию потенциала были согласованы с национальными приоритетами стран СНГ?

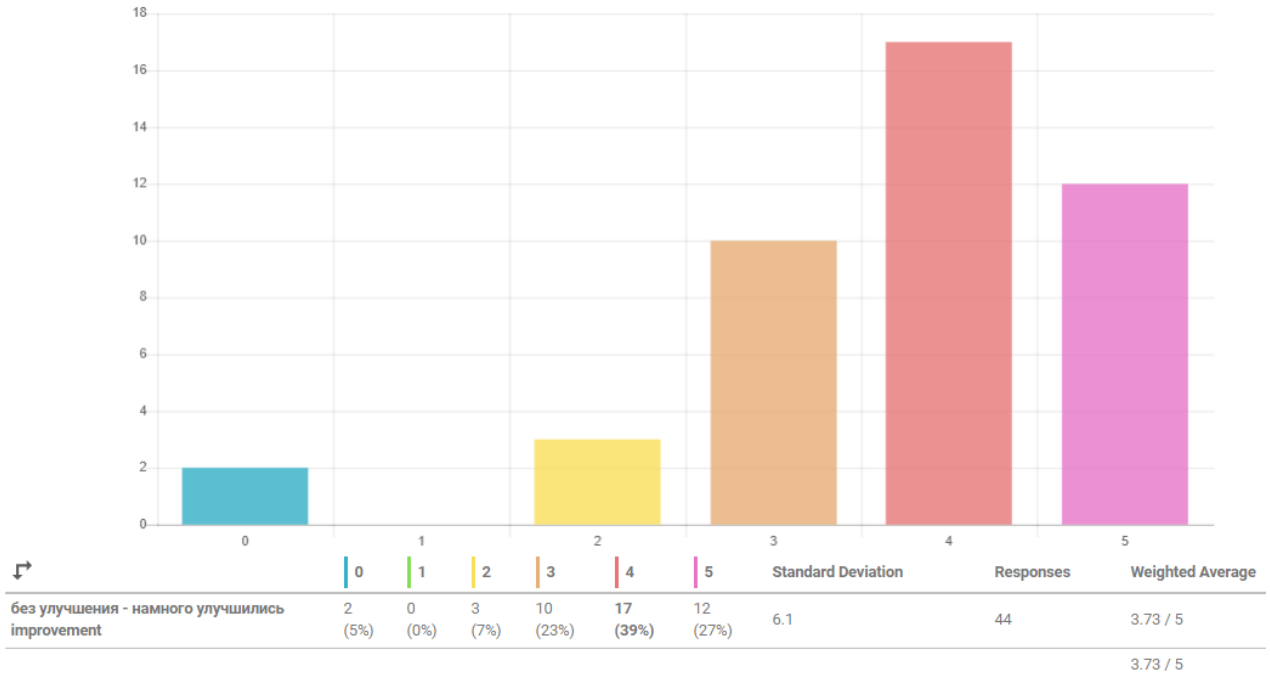


2 To what extent were the topics of policy advisory and capacity building activities aligned with national priorities of CIS countries?

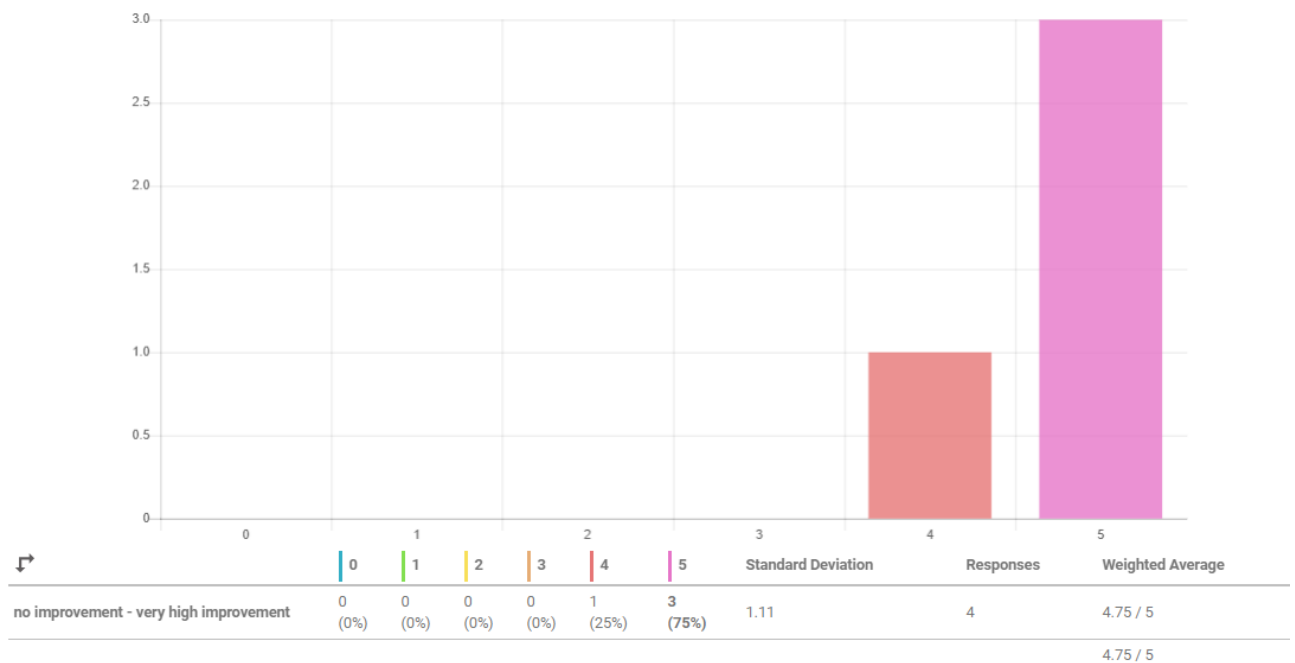


Question 3: 48 responses (44 in Russian language, 4 in English language).

3 В какой степени Вы улучшили свои возможности для продвижения инноваций, конкурентоспособности государственно-частного партнерства?

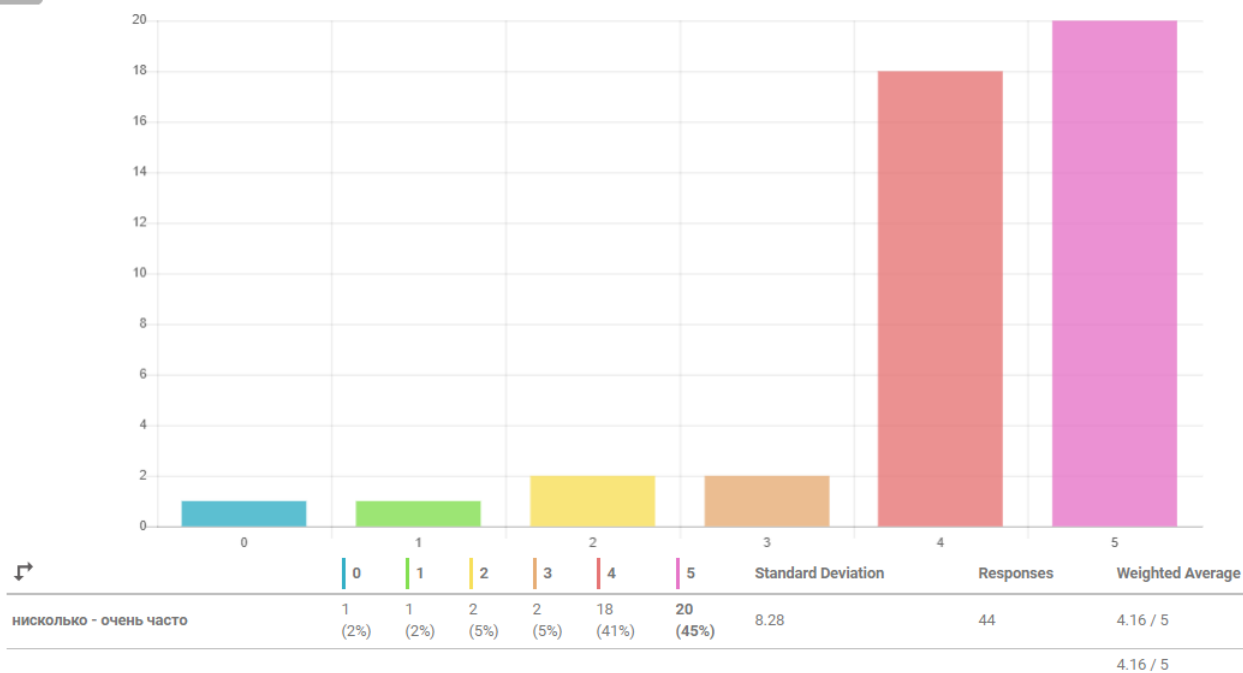


3 To what extent did you improve your capacities to advance innovation, competitiveness and public-private partnerships?

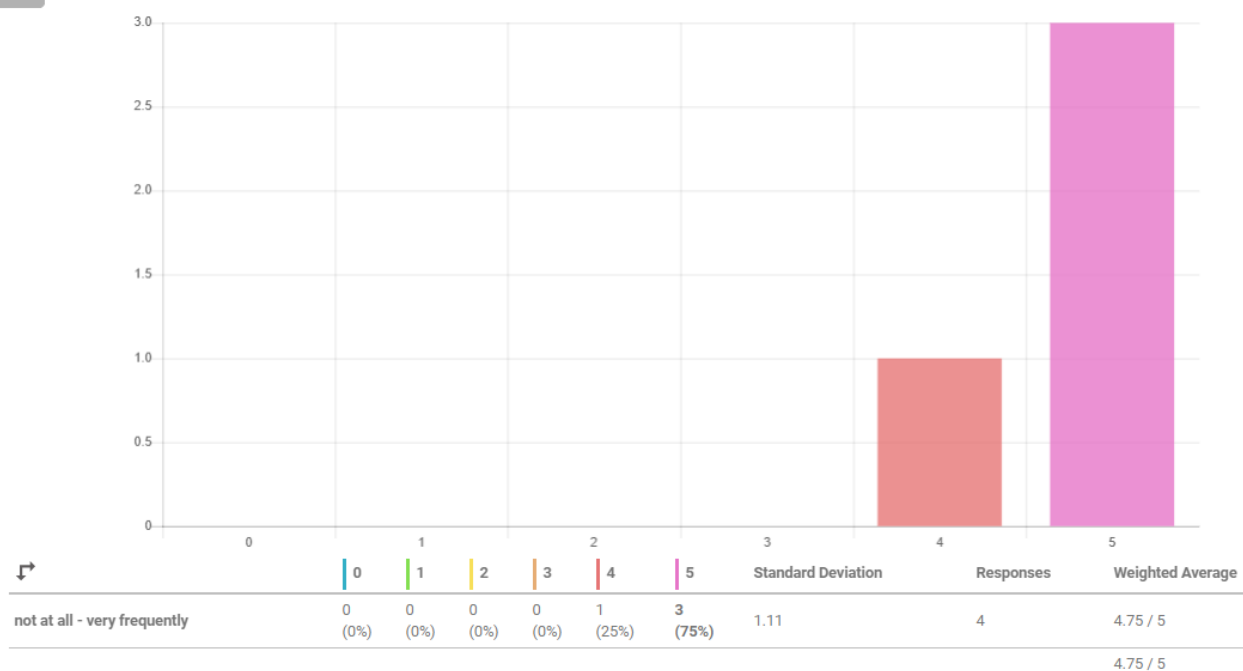


Question 4: 48 responses (44 in Russian language, 4 in English language).

4 В какой степени Вы смогли/можете применить полученные знания в своей работе?



4 To what extent were you able to apply newly gained knowledge in your work?



Question 5: 37 responses (32 in Russian language, several incomplete; 5 in English language).

5 В какой степени Вы смогли поделиться своим собственным опытом на межправительственных совещаниях? Просим предоставить количество обменов опытом и - по возможности - хотя бы один пример

<p>Присутствовал на 2 заседаниях. На 1-ом делился опытом по софинансированию инновационных проектов, проблемам и вызовам. Очень было много вопросов после заседания у коллег из Узбекистана, Кыргызстана и Беларуси. Так как на тот момент мы имели 5 летний опыт в том числе и негативный. На втором заседании в 2017 г. делился опытом Казахстана по Circular Economy Initiatives и мне было очень полезно участие спикеров частного сектора которые приводили свои примеры того что Рециклинг отходов может быть прибыльным (у нас в стране такого понимания на тот момент не было и не было примеров). В 2018 - проконсультировав некоторые компании мы профинансировали проект по утилизации отходов по схеме 50/50 с частным сектором!</p>
<p>В июне 2017 года мы проводили совместное мероприятие с ЕЭК ООН и ЭСКАТО ООН в Бишкеке, на котором приняли участие представители правительства соседних государств. На данном мероприятии состоялся обмен мнениями и опытом. Кроме того, в рамках комитетов ЕЭК ООН также проходит обмен опытом. За период запуска проекта, представители нашего ведомства приняли участие как минимум в 5 мероприятиях, где проходил обмен опытом, а также обсуждались вопросы Обзора инноваций в Кыргызстане.</p>
<p>На межправительственных совещаниях был представлен опыт развития инновационной системы Казахстана, основные мероприятия и полученные на момент заседания результаты (анализ мер по развитию инновационной системы). Был представлен опыт проведения научно-технического форсайта для определения приоритетов научного, инновационного и технического развития Казахстана. Данный опыт стал интересен для других стран-участников, в последствии принято участие в семинаре по научно-техническому прогнозированию, который в 2018 году был проведен в Минске. в рамках данного мероприятия поделились опытом проведения форсайта, обсудили перспективы сотрудничества в дальнейшем.</p>
<p>Как член Национального комитета по науке и эксперт Парламента мог рекомендовать отдельные меры</p>
<p>high</p>
<p>Весьма успешно. Во время 5 встреч и совещаний с белорусскими и российскими партнёрами и участниками в области энергетики, разработки месторождений углеводородов и твердых полезных ископаемых в сентябре- декабре 2018 года в Ташкенте. This experience and knowledge has been used, in particular, for initiation of creation of the Applied Projects Department within the system of the National Academy of Sciences of Armenia to support technology transfer and commercialization.</p>
<p><u>Порядка 10 обменов на высоком уровне совещаний. Белорусско-латвийский деловой совет и соответствующая межправительственная комиссия комиссия.</u></p>
<p>7, в том числе круглый стол, проводимый НИЭИ Мин-ва экономики РБ «О проблемах экономического развития Беларуси и направлениях их преодоления. Совершенствование региональной политики» 6 июля 2018г. (международный проект); а также международный экономический форум в рамках II съезда ученых Республики Беларусь</p>
<p>Информация, полученная в рамках рассмотрения второго Обзора инновационного развития РБ «Инновации для устойчивого развития», используется в качестве предложений по совершенствованию организационных и правовых основ инновационной деятельности в Республике Беларусь</p>
<p>1</p>
<p>Наш опыт широко использовался при подготовке нормативных документов Указов Президента РБ, постановлений правительства с целью адаптации национальной инновационной политики к лучшим мировым примерам. Таким примером может быть Указ Президента Республики Беларусь №223 от 2016 г., в соответствии с которым в стране началась реализация механизмов венчурного финансирования.</p>
<p>Занимаемая мной должность не предполагает участия в межправительственных совещаниях.</p>

5

To what extent were you able to contribute with your own experiences to the inter-governmental meetings? Please provide number of experiences shared and - if possible - at least one example.

I was organising and actively participating in the meetings with the government. In the course of the project I have had over 100 meetings with various government representatives at different levels. The example is a regular InterMinisterial Infrastructure Coordination Board meeting with took place every 3 months and where discussion of various PPP-related subject were held, like for example the selection and prioritisation of pilot PPP projects, the development of the legal framework to support PPP mechabism in the country, or the draft National Infrastructure Plan development.

We have opportunities to present on the UNECE inter-governmental meetings 3 PPP projects proposals that were included in 500 best People First PPP project list. These projects are on the different stages of their preparation & implementation

During the project, I have personally participated in approx. few dozens of inter-governmental meetings, trainings etc - from the Ministry of Economy to the Parliamentary Commission on Economic Policy and to the local authorities of all regions of the Republic of Belarus. Two of the most memorable participations were the workshop and intergovernmental Roundtable Discussion held on December 2013 in Minsk, where I have delivered the presentation and lead discussion about the proposal on legal structuring of reforms and institutional development of the PPPs in the Republic of Belarus and not only delivered information about the international best practices on PPP Units, but using the regional (CIS) and Ukrainian experience in setting up the PPP Units, elaborated the strategy and proposal (together with other experts) for two-level PPP institutional structure - which contributed to the successful creation of the Inter-ministerial Infrastructure Board and PPP Unit. Another example was the meetings held during BAB visit in the format of the dialogue on 24-25 September 2015 with the Belarusian Parliamentary commission and the already created Inter-ministerial Infrastructure Board (IIB), composed of ministers and deputy ministers from all line and lead ministries, and senior representatives from the 6 regions of Belarus. I had to deliver the critical presentation with an overview of the pending draft of the PPP Law in view of best international legal practices and local legal environment (as Ukraine and former Soviet Union countries shared the similar legislative tradition and developments), and discuss the crucial points of the draft PPP law with the members of the regional practices parliamentary commission on social and economic affairs, which was tasked with reviewing the draft PPP law in second reading. I truly believe these and many other meetings allowed me to deliver the message regarding the institutional and legal frameworks within the UNECE capacity building mandate directly to the officials in question and promote best international legal standards and practices with the understanding of local legal and institutional context in the CIS and Belarus and thus such direct sharing of experiences contributed strongly to the policy development and legislative development in the Republic of Belarus.

Во Второй Обзор инновационного развития Республики Беларусь были включены материалы, полученные в результате выполнения международного проекта программы ТЕМПУС «Поддержка треугольника знаний в Беларуси, Украине и Молдове». Таким образом, совместный проект ЕЭК ООН и ГКНТ по разработке Второго Обзора инновационного развития РБ «Инновации для устойчивого развития» способствовал распространению рекомендаций по развитию организационно-правовой базы, способствующей ускорению процесса интеграции высшего образования, исследований и инноваций, среди заинтересованных органов государственного управления и специалистов-практиков.

Подготовлен Курс "Инновационная политика государства" для студентов экономистов на 1 и 2 (магистратура) ступенях обучения.

Высокая степень распространению и применению передовой практики, что необходимо для национальных специалистов-практиков

Ниры

Проект и рекомендации по национальной политике стали основой для разработки политики по направлению развития инновационной инфраструктуры, а также существенной основой для разработки дальнейшей стратегии развития инновационной экономики

Проект оказывает существенную помощь и поддержку в части распространения знаний, их практического применения в области теории и практики осуществления, совершенствования инновационной политики среди специалистов-практиков. К сожалению, вместе с тем лица, определяющие национальную инновационную политику, только частично рассматривают и в основном не применяют такие практики. В целом проект имеет и оказывает значительное влияние на внедрение в экономику страны лучших мировых стандартов и практик в сфере инноваций.

Проект был полезен

В высокой степени обобщены и систематизированы информация, представленная в рамках проекта, и использованы в целях повышения эффективности работы органов государственного управления и специалистов-практиков.

Question 6: 39 responses (30 in Russian language – some incomplete; 9 in English language)

6 В какой степени проект способствовал распространению и применению передовой практики, рекомендаций по политике и стандартов ЕЭК ООН среди лиц, определяющих национальную политику, и специалистов-практиков?

Проект в достаточной мере способствовал всестороннему изучению передового опыта в данной области, разработке рекомендаций по реализации политики и стандартов ЕЭК ООН в Беларуси с учетом страновой специфики и приоритетов.
Significantly, especially in regard to sharing good practice cases and improvement of national policies under development
Полученные практики использовались при формировании национальной нормативной базы и ЕАЭС по развитию инновационного предпринимательства и эффективной бизнес-среды.
Государственный комитет по науке и технологиям активно использует данную практику, в том числе при обсуждении вопросов на заседаниях общественно-консультационных советов, объединяющих ведущих специалистов в различных сферах деятельности при обсуждении законодательных и нормативных документов в области инновационной политики Республики Беларусь
Проект способствовал разносторонней оценке инновационной деятельности в Республике Беларусь и сравнению ее элементов с зарубежными странами.
4
В полной мере материалы проекта использовались в среде органов государственного управления, определяющих национальную инновационную политику.
Во Второй Обзор инновационного развития Республики Беларусь были включены материалы, полученные в результате выполнения международного проекта программы ТЕМПУС «Поддержка треугольника знаний в Беларуси, Украине и Молдове». Таким образом, совместный проект ЕЭК ООН и ГКНТ по разработке Второго Обзора инновационного развития РБ «Инновации для устойчивого развития» способствовал распространению рекомендаций по развитию

6 To what extent did the project contribute to the dissemination and application of UNECE good practices, policy recommendations and standards among national policy makers and practitioners?

The dissemination and application of UNECE good practices and policy recommendations was an integral part of the project. The visits of UNECE advisors and their contribution to the policy development at the national level were regular activities within the project scope. A lot of UNECE recommendations were included in the national PPP policy framework, as the result.
The contribution of the project was very high. UNECE has assisted in organizing and took part in several big conferences on People First PPPs in Kiev. As results a lot of People First PPPs are on the preparation stage now including unsolicited proposals
The project definitely pioneered the notion of the People-First PPPs, as promoted by UNECE; acquainted officials with the best international standards and practices in the sphere of private participation in the financing of infrastructure, public procurement and PPPs (UNECE guidelines and best practices, UNCITRAL, OECD, World Bank\PIIAF documents, EBRD law assessments etc); and introduced the government officials to the idea of alignment of its official infrastructure development policy (National Infrastructure Development Plan etc) and local\municipal infrastructure development with UN SDGs - from the policy elaboration to project planning. The development of the national legislation, particularly adoption of PPP Law in the Republic of Belarus and the secondary legislation as well as institutional development - setting up a National PPP Unit was a direct result of the UNECE expert work in the Republic of Belarus. Identification of the pilot PPP projects, such as concession of M10 road, was made possible due to the expert work as well.

Annex 5: List of people interviewed

Evaluation - UNECE E226 - Oct 2018 - Febr 2019									
"Competitiveness, innovative policies and public-private partnerships: Capacity building for civil servants and business associations"									
Done	Day	Start	End	Where	Institution / Function	Name(s)	e-mail	skype/phone	Obs.
✓	19 Sept 2018	15:00	15:40	Phone	UNECE / Project Manager	Ralph Heinrich	ralph.heinrich@un.org		
✓	19 Sept 2018	15:00	15:40	Phone	UNECE / Project Manager	Tony Bonnici	tony.bonnici@un.org		
✓	11 Dec 2018	14:00	14:20	Phone	UNECE / Project Manager	Ralph Heinrich			
✓	7 Nov 2018	22:00	22:40	Skype	Chairman - National Council for Public-Private Partnerships, United States	Arthur Smith	asmith@mainet.com	mai.user1	
✓	24 Jan 2019	14:15	14:55	Phone	Deputy Director of Tech Transfer Center - National Agency for Technological Development, Kazakhstan	Olzhas Bilyalov	o.bilyalov@natd.gov.kz	+7 701 523 0757	
✓	25 Jan 2019	18:00	18:50	Phone	Head, International Relations Division - State Service of Intellectual Property and Innovation under the Government of the Kyrgyz Republic (Kyrgyzpatent)	Almaz Yktybaev	almaz.yktybaev@patent.kg	+996 707 024 365	
✓	01 Febr 2019	09:30	10:20	Phone	Head, Unit of International S&T Cooperation - Belarusian Institute of System Analysis and Information Support of S&T Sphere	Olga Meerovskaya	meerovskaya@fp7-nip.org.by	+375 29 661 2576	
✓	05 Febr 2019	12:05	12:45	Skype	CEO - Russian Venture Capital Association	Albina Nikkonen	aina@rvca.ru	albina.nikkonen	
✓	05 Febr 2019	10:05	10:50	Phone	Project Officer - Delegation of the Russian Federation in Geneva	Anna Spirina	anna.n.spirina@gmail.com	+79152433275	



UNECE

United Nations Economic Commission for Europe

Annex 6: Project's Funds Utilization



NATIONS UNIES
COMMISSION ÉCONOMIQUE
POUR L'EUROPE

ОБЪЕДИНЕННЫЕ НАЦИИ
ЭКОНОМИЧЕСКАЯ КОМИССИЯ
ДЛЯ ЕВРОПЫ

UNITED NATIONS
ECONOMIC COMMISSION
FOR EUROPE

**Russian Contribution to the
Competitiveness, innovative policies and public-private partnerships: Capacity
building for civil servants and business associations (Phase 3 of E158)
(Project ID No: E226)
M1-32ECE-000076**

**Funds Utilization Report
As of 31 December 2018)
(Rounded to nearest US\$)
(PROVISIONAL)**

	<u>US\$</u>	<u>US\$</u>
I. CONTRIBUTIONS:		
Funds received in 2014		220,000
Funds received in 2015		440,000
Total:		660,000
II. EXPENDITURES:		
A. <u>Direct expenditures</u>		
1. Travel	349,922	
2. Staff and personnel costs	182,491	
3. Contractual Services	22,699	
4. Grants	9,572	
5. Operating and Other Direct Costs	4,931	
SUB-TOTAL: A	569,616	
B. Programme Support Costs	74,050	
C. Total expenditures (A + B)		643,666
III. UNSPENT BALANCE: (I – II)		16,334
IV. INTEREST INCOME		9,292
V. BALANCE: (III + IV)		25,626

Prepared by:
Glen L. Carandang
Finance Assistant
Executive Office

Date: 1 Apr. 2019

Certified by:
Michael Sylver
Executive Officer
Executive Office

Date: 0104.2019

Cleared by:
Maria Ceccarelli
Officer-In-Charge
Economic Cooperation and Trade Division

Date: