



UNECE

United Nations Economic Commission for Europe

Independent Evaluation Report

Evaluation of the UNECE project:

**“Development and implementation of PPP
international standards in support of the Sustainable
Development Goals”**

(UNECE E249)

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Table of Contents

Executive Summary	4
Chapter 1: Introduction and Evaluation Methodology	5
Chapter 2: Background information.....	7
Chapter 3: Relevance.....	9
Chapter 4: Effectiveness	12
Chapter 5: Efficiency.....	17
Chapter 6: Gender Equality and Human Rights	18
Chapter 7: Conclusions and Recommendations	18
Annex 1: Terms of Reference	21
Annex 2: List of Documents Reviewed	24
Annex 3: Questionnaires for Interviews.....	25
Annex 4: Results of the Online Questionnaires	28
Annex 5: List of people interviewed	31

List of abbreviations and acronyms

AAAA	--	Addis Ababa Action Agenda
EXCOM	--	UNECE Executive Committee
ICoE	--	International Centre of Excellence
OECD	--	Organisation 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
ToR	--	Terms of Reference (Annex 1)
UNECE	--	United Nations Economic Commission for Europe
UNEG	--	United Nations Evaluation Group
Vnesheconombank	-	Bank for Development and Foreign Economic Affairs of the Russian Federation
WB	--	World Bank

Executive Summary

1. This evaluation analyses the UNECE's work related to Development and implementation of PPP international standards in support of the Sustainable Development Goals. The purpose of the evaluation is to "assess the relevance, effectiveness and efficiency of the project as established by the objectives and activities outlined in the project document" (ToR). The outcomes of the evaluation will serve planning and implementation of new capacity building projects in the future in the UNECE region and beyond.

2. The main objective of the project was to provide member States with international PPP standards based on best PPP practices relevant to the SDGs. The project was implemented by UNECE between July 2015 and September 2017 and was funded by the Bank for Development and Foreign Economic Affairs of the Russian Federation (Vnesheconombank).

3. The project's relevance is rated *Excellent* based on assessment of following factors: the existing need to provide standards relevant in the context of financing for development objectives (especially by mobilizing private capital to deliver infrastructure and public goods and services); the project's alignment with the objectives of the Economic Cooperation and Integration sub-programme of UNECE; the support requested by UNECE member States; and the contribution to achieving eight of the Sustainable Development Goals.

4. The activities have been implemented delivering most of the planned outputs, with the expected level of quality and timeliness. The logical chain between outputs, outcomes and impacts has not been fully defined. Performance indicators are not set and 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 is Partly Satisfactory.

5. The financial resources spent in the project were commensurate to the results (payment of consultants and organization of five events in the UNECE region). The lack of a proper project management (for extra-budgetary resources) represented an extra burden for the UNECE regular staff. A better budget monitoring and reporting should be envisaged for future projects. Overall, the project's efficiency is rated as *Satisfactory*.

Recommendations:

6. Recommendation 1: Given the high relevance, **UNECE should continue to contribute on refining universal standards in PF-PPPs.**

7. Recommendation 2: **Team leaders and consultants coming from the private sector should be remunerated, so UNECE could leverage on quality and timing.**

8. Recommendation 3: **UNECE should perform an internal assessment of the projects implemented within the Economic Cooperation and Trade Division, in order to establish the suitable number and size of projects managed in parallel by the staff.**

9. Recommendation 4a: **Gender relevant considerations should be systematically considered by UNECE in designing, implementing and reporting of similar projects.**

10. Recommendation 4b: **Future similar projects (related especially to PF-PPPs) should take into consideration (both in the design stage, as well as during implementation) new findings related to the impact of development programmes related to extreme poverty and human rights.**

11. Recommendation 5: **Similar projects should consider, in the design stage, an analysis of the effects at outcome (and impact level, if justified).** UNECE should monitor these effects during project implementation, in order to facilitate a proper assessment of the desired changes.

Chapter 1: Introduction and Evaluation Methodology

1. This evaluation analyses the UNECE's work related to Development and implementation of PPP international standards in support of the Sustainable Development Goals. The purpose of the evaluation is to "assess the relevance, effectiveness and efficiency of the project as established by the objectives and activities outlined in the project document" (ToR). The outcomes of the evaluation will serve planning and implementation of new capacity building projects in the future in the UNECE region and beyond.

2. The main objective of the project was to provide member States with international PPP standards based on best PPP practices relevant to the SDGs. The project was implemented by UNECE between July 2015 and September 2017 and was funded by the Bank for Development and Foreign Economic Affairs of the Russian Federation (Vnesheconombank). The budget amounted 200.000 \$US from extra-budgetary resources, and involved two months of staff time.

3. The methodology for this evaluation is based on the Terms of Reference provided by UNECE (Annex 1), the UNECE Evaluation Policy¹ 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 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, as well as the extent to which monitoring indicators have been designed and reported. Relevant aspects of gender and human rights analysis were also covered, based on the guidance provided by the UNEG on the matter². 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).

4. The project was implemented by UNECE and was funded from extra-budgetary funds. The initial budget was 300,000 US\$, and the donor organization is the Bank for Development and Foreign Economic Affairs of the Russian Federation (Vnesheconombank). The activities were executed between July 2015 and September 2017, with an extension awarded by the Donor until 2018. The project had not planned initially a final evaluation. This evaluation has been carried after the end of the project's prolongation as the funds became available from implementation savings in another project.

¹ https://www.unece.org/fileadmin/DAM/press/pr2014/UNECE_Evaluation_Policy_October_2014.pdf

5. The evaluation consisted of a desk review of relevant documents including the UNECE Executive Committee (EXCOM) Form, the project document (including the budget), progress and terminal report of the project, activities agendas and fact sheets, the “PPP Standard on zero tolerance approach to corruption in PPP procurement (P0002)”, PPP Standards on railways (P0005), roads (P0006) and Renewable energy (P0008) and other material available for online consultation (see Annex 2). To collect feed-back from the UNECE PPP Team, Specialist Centers of Excellence, and other specialists in PPP and sustainable development, an online-questionnaire³ (in English and Russian version) was specifically designed. The questionnaire was sent to 15 people, involved directly or indirectly in the standards creating process. All addressees responded to the questionnaire. Eleven semi-structured interviews were conducted to collect information from staff in UNECE office in Geneva involved in the project management, from experts involved in the standards setting process, beneficiaries and from other specialists in the area of PPP and sustainable development.

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 tried to establish causalities between intervention components and the achieved results, according to theory-based evaluation principles and experimentally using elements of the Process Tracing methodology⁴. The interviews also served the purpose of triangulation, crosschecking the information presented in reports, on the project’s web site, delivered by UNECE staff 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 criteria specified in the ToR (relevance, effectiveness and efficiency), to produce valid and credible conclusions and recommendations. The recommendations should be used by the Economic Cooperation and Trade Division of UNECE to improve the planning and implementation of projects, to maximize the impact of its work and to set further direction of work for the PPP Team.

8. The duration of the evaluation was of 20 working days during the period from August 2 – May 2, 2019. The evaluation activity has been performed by an independent evaluator⁵ 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 and sustainability - 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 reporting and monitoring:

³ Available at <https://kwiksurveys.com/s/J9zz4pGA> (EN) and <https://kwiksurveys.com/s/P7TgZ5oa> (RU)

⁴ Process Tracing offers a rigorous method appropriate for *ex post* evaluations, without the requirement for baseline or counterfactual data.

⁵ The independent evaluation was conducted by Mr. Marius Birsan, and was carried out with support from the UNECE Programme Management Unit

- 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 limitedly 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 limited, and part of the effectiveness rating is rather empirical.
- the as the donor did not have budget execution reporting requirements, the budget execution has been monitored by UNECE with basic data. An assessment of efficiency per type of activity can not be made;
- the absence of an evaluation plan caused the lack of monitoring of the policy makers in the member States (beneficiaries of capacity building activities under Activity 1.2). This limited the respondents' pool available for the online questionnaire.

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 Organisation for Economic Cooperation and Development (OECD) estimates⁶ 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 billion⁷. 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.⁸ 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 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. 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

⁶ Development Co-operation Report, OECD, 2017: <http://www.oecd-ilibrary.org/docserver/download/4317041e.pdf?expires=1512485506&id=id&accname=guest&checksum=4D9A9670AC97F665213994A10379363C>

⁷ From Billions to Trillions: Transforming Development Finance. Post-2015 Financing for Development: Multilateral Development Finance; World Bank, 2015

⁸ Financing for Development: Progress and Prospects. Report of the Inter-Agency Task Force on Financing on Development, UN, 2017

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”.

14. 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 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.

15. The reluctance of the private sector agents to provide financing is often due to market failures, such as problems arising from asymmetric information⁹. The asymmetry of information is acute when compared the public and the private sectors in PPPs. Additional constraints stem from lack of investor experience with particular types of investments, economic activities (for example infrastructure), or geographical areas. Attracting private finance sometimes requires closing the financial viability gap (the difference between costs and expected revenues), and using public resources complemented by legislative and institutional improvements to catalyze private financing.

16. The Public-Private Partnerships are one modality through which the private sector can participate with funds and knowledge into delivering public good and services, in support to the public authorities. PPP is defined by the World Bank as “contractual arrangement between a public entity or authority and a private entity for providing a public asset or service in which the private party bears significant risk and management responsibility¹⁰”.

17. 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”¹¹. 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.

18. 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 (see Figure 1). The

⁹ Asymmetric information (AI) is defined as the situation where one party to an economic transaction possesses greater material knowledge than the other party. Besides some positive effects of AI, the negative effect is that individual economic decisions are hypothetically worse than they would have been when all parties possess the same information or knowledge.

¹⁰ Public-Private-Partnership in Infrastructure Resource Center: <http://ppp.worldbank.org/public-private-partnership/overview/what-are-public-private-partnerships>

¹¹ UNECE 2008 Guidebook On Promoting Good Governance In Public-Private Partnerships

World Bank¹² estimates the use of PPPs in more than 134 developing and transition economies, accounting between 15 and 20 percent of the total infrastructure investment.

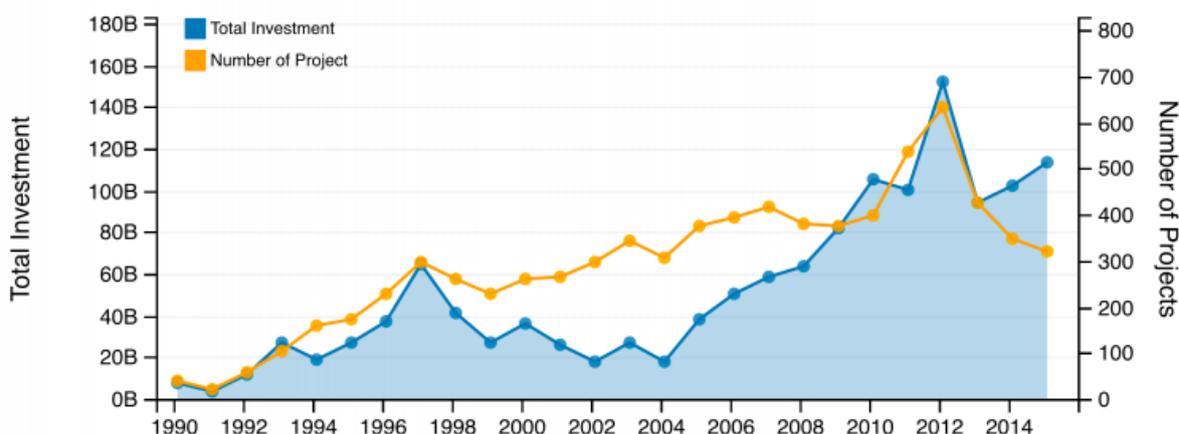


Fig. 1: Total investment (billions of US dollars) and number of PPP projects in low and middle income countries, 1990-2015 – World Bank Private Participation in Infrastructure Database – [www. http://ppi.worldbank.org/](http://ppi.worldbank.org/)

19. The PPPs have come a long way and evolved over the time. PPP experts talk about three “generations” of PPPs, considering the degree of complexity and the form of financial and risk management. The first generation of PPP was largely done as an accounting exercise to put assets ‘off the country’s balance sheet’. A second generation of PPP was developed as a means of providing better services at an overall lower cost than through traditional public procurement, giving taxpayers ‘value-for-money’. Currently, a third generation of PPP is emerging where partners are more widely spread and include ‘not for profit’, philanthropic bodies.

20. PPPs can take various forms and are perceived differently across the countries of the world (including cases when the PPP contracts are alleged to bear hidden agendas). For these partnerships to be widely accepted and developed, a standardization-like regulation and transparency increasing steps of the PPP modality is recommended. As the stakeholders are so diverse, the roles they play and the goals they pursue are also different. The reasons why PPPs attracted controversy were mainly due to lack of transparency, flaws in reporting and accounting models, and the unclear suitability of the PPP model based on its record and experience for implementing the SDGs.

21. In this context, the Project aimed to fill the need of agreeing standard procedures in order to plan and implement PF-PPPs, and the need to build capacities in the member States, especially in the SDGs context.

Chapter 3: Relevance

22. In the light of the arguments introduced in the previous chapter, the PPPs present a great potential to become the key to close the gap of financing the SDGs, to provide efficient management of public goods and services and to facilitate easier access to essential public services for all people.

23. During its seventy-fifth session held in 2015, EXCOM mandated through the Terms of Reference (ECE/EX/2015/L.8) the Committee on Innovation, Competitiveness and Public-Private Partnerships

¹² 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.

(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 should be 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.

24. Specifically, the objectives of the current project are aligned with the guiding activities a) and d) of the Terms of Reference. Globally, the project was designed to contribute to achieving of SDG's 3, 4, 5, 6, 7, 9, 11 and 17 (as planned in the Project Document).

25. The expected results were planned to contribute to achieving the following SDGs:

- SDG 3 ("Ensure healthy lives and promote well-being for all at all ages"); in particular target 3C "Substantially increase health financing ..." and indirect contribution for all other targets;
- SDG 4 ("Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all"); indirect contribution too targets by facilitating private investment in education sector;
- SDG 5 ("Achieve gender equality and empower all women and girls"); in particular target 5.A (Undertake reforms to give women equal rights to economic resources ...);
- SDG 6 ("Ensure availability and sustainable management of water and sanitation for all");
- SDG 7 ("Ensure access to affordable, reliable, sustainable and modern energy for all");
- SDG 9 ("Industry, Innovation and Infrastructure"); in particular targets 9.1 "Develop quality, reliable, sustainable and reliable 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 11 ("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".

26. Recognizing the potential role PPPs could play in the aftermath of the 2008 financial crisis, the UNECE Committee on Economic Cooperation and Integration established in 2008 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. CEI included in February 2014 in the programme of work of the ToS-PPP the development and implementation of international PPP standards in areas that support UN development objectives based on international best practice (ECE/CECI/2014//2). At a subsequent meeting (June 2014; ECE/CECI/2014/2), the ToS-PPP agreed on the

process by which standards to be developed, implemented and maintained. The Team also agreed a list of priority areas where standards to be developed in support of achieving SDGs, which became the areas for the ten standards under the current project. At its 87th session held in November 2016, EXCOM decided to transform the ToS-PPP into a Working Party on Public-Private Partnerships (WP PPP), confirming once again the raising importance of PPPs and the continued interest of the UN on the topic.

27. With its stated objective of “provide member States with international PPP standards based on best PPP practices relevant to the SDGs”, the project proves to be consistent with the UNECE mandate to support member States in building their capacity to deliver infrastructure projects and public services through the PPP model.

28. A previously implemented project (UNECE E182) - “Public-Private Partnerships (PPP) Initiative: PPP Toolkit and International PPP Centre of Excellence” – was implemented between 2012 and 2017. The main objective of the project was to provide UNECE member States with innovative PPP delivery and financing options, strategic advice and support, and assistance in developing their PPP capabilities. The activities aimed at improving knowledge and understanding about PPPs in the member States and within the UN system as a whole. The project envisaged to contribute at increasing capacities in the member States, and - after 2015 – to support the achieving of the UN Agenda 2030. The current project complements and enhances the results achieved in the aforementioned project, by establishing PF-PPP Standards to be considered in planning and implementing PPP projects.

29. Thanks to its work on economic cooperation and integration, UNECE contributed through previously implemented projects to raising awareness on PPPs, delivered capacity building and assessments to its member States, created a PPP Toolkit, and established an International Centre of Excellence and a network of Specialized Centers of Excellence. Already in the early stage of the project, it was expressed a consensus that “the standards should be adapted to the specific conditions in member States, taking into account their legal and regional particularities” (ECE/CECI/PPP/2014/2, page 5, par. 32). This principle enhances the relevance of the UNECE’s work in the region. All these products and services have been delivered at the request of the member States (through the inter-governmental process), and this project followed the similar approach, thus assuring its’ relevance towards the needs of its member States.

30. 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, 11 out of 14 respondents (78 percent) agreed that it is “relevant or very relevant”, with a similar opinion about the relevancy of the work for the governments of the UNECE member States. Furthermore, long after the closure of the project, 13 out 14 respondents (92 percent) opinion that “the objectives of the activity are still valid”, confirming that the need for this kind of support from UNECE is relevant.

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

- The PPPs can play an increasing role in the development financing, especially considering the broad targets under SDGs and the resulting financing challenge;
- The work on PPP standards for sustainable development ultimately has effects on all SDGs, especially on SDGs 3, 4, 5, 6, 7, 9, 11 and 17;
- The project’s activities serve the needs of the member States by creating best practices and standards, and by organizing events and workshops to increase policy makers’ and practitioners’ knowledge on (PF)PPP;
- The activities and their direct results (outputs) strengthened the capacity of UNECE secretariat and its network of PPP experts in assisting member States to undertake PPP projects. This was done by raising awareness on PPPs, positioning the UNECE as a player benefitting from best practices collected across the globe and by coordinating standards creation. The

intergovernmental process potentially endows UNECE with leverage on political level, supporting the members States in streamlining legal frameworks, best practices and standards.

32. Considering all the above facts (the need to finance the SDGs including through mobilizing private capital to deliver infrastructure and public goods; the alignment with the objectives of the Division; the support requested by UNECE member States and the contribution to achieving eight of the Sustainable Development Goals), the project's relevance is rated *Excellent*.

Chapter 3: Effectiveness

33. The declared objective of the project was to provide UN member States with international PPP standards based on best PPP practices relevant to the proposed Sustainable Development Goals, and to support the implementation of these standards through the provision of capacity building on policy advisory activities. The planned activities of the project have been implemented between July 2015 and September 2017 (with the initial plan to end activities in December 2016). The declared expected result was to “strengthen national capacity to develop and implement PPP projects based on successful international practices” (Project Form). The envisaged target group and beneficiaries were policy makers, government officials and PPP practitioners in UN member States.

34. The planned output stated in the approved Project Document (June 2015) were:

- Development of 10 international PPP standards in such sectors as transport, renewable energy and energy efficiency in public building, water and sanitation, education, procurement. The specific standards to be developed were planned to be agreed by UNECE member States following the agreed PPP standards development procedures;
- Organization, with the support of the UNECE PPP Business Advisory Board, of five capacity-building and policy advisory activities to assist countries with the implementation of international PPP standards, PPP project preparation and overall improvement of their PPP enabling environment.

35. As at the time of approval UNECE had no acting Evaluation Policy, the project management standards did not impose a results-based-management approach. Therefore, the project had no logical framework established during the concept phase – only the list of activities and the expected accomplishment. Therefore, the evaluator together with the project team reconstructed 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 were expected to generate effects through several logical sequences:

- 1) The UNECE's role as a global hub for generation and dissemination of knowledge in innovative PPP financing (acting as a global resource for UN Member States) was enhanced by establishing a network of resource centers (results of a previous project), whose role was to contribute to creating best practices and standards;
- 2) The project mobilized a network of certified specialists on PPPs who collaboratively created a set of standards in the ten areas of interest;
- 3) Regional cooperation in PF-PPP was boosted by high-level capacity-building events, where the standards were shared.

36. The PPP standards are developed in accordance with a seven-step process approved by the Committee on Innovation, Competitiveness and PPPs at its ninth session in September 2015¹³. The steps are:

1. Project initiation –when the Bureau approves a project proposal submitted by a project team leader. The topics of the standards are updated yearly by the Working Party on PPPs;
2. Stakeholder mobilization – the secretariat - together with the project team leader - form the multi stakeholder team to develop a first draft of the standard;
3. Initial draft – sent to the Secretariat for an initial review before the public review;
4. Public review – at least two months;
5. Endorsement – by the Bureau first, and then by the Working Party on PPPs;
6. Approval – by the Committee on Innovation, Competitiveness and PPPs. (Note: the role of the Committee is only to validate that all previous stages have been carried out properly);
7. Maintenance – after a while (2-3 years) there is a need to revise/update the standard.

37. Project Teams in charge with developing standards are internationally recognized PPP specialists, who work pro-bono on developing and refining the standards. The working pattern and different language used in the UN System versus the private sector is a conflict area, demanding the UNECE staff to negotiate and sometimes totally rephrase standards proposals.

38. Activity 1.1: Two consultants were hired in areas where the UNECE secretariat had no expertise or time capacity: they liaised with the teams creating standards, provided substantive drafting, and incorporated SDG principles in the texts. With their contribution, standards on PPPs in Rail, roads and renewable energy were endorsed by the Bureau of the Working Party on Public-Private Partnerships and published on the UNECE website in September 2018. These standards were endorsed by the Working Party in December 2018.

39. The projects had as deliverables a (i) programme analysis, and (ii) standards setting out best practices in the ten focus areas. The Team Leaders for each standard volunteered to manage the process, at the request of UNECE. The membership for each sub-project was open to experts with broad knowledge in the area of PPP programmes and projects, especially in low and middle-income countries.

40. Drafting the PPP standards required a common effort from various specialists under the coordination of Team Leaders. The technical expertise had to be put in balance with the vision for a sustainable development, as well as with a position unbiased by their interests in the everyday work. With a proportion of 78 percent of the respondents, the online questionnaire confirms that the process of creating the PPP standards effectively confined the bias or stakeholder influence over the standards. On the other side, half of the respondents considered that, in order to preserve independence and neutrality, standard-setting procedures become over-bureaucratic and time consuming, thus too slow. The same opinion is shared by the UNECE staff, and would need a closer consideration for future similar procedures.

41. The mechanism envisaged to generate the standards was to have Team Leaders who coordinated groups of experts from various countries (both member and non-member States). The Team Leaders are specialists with high expertise on PPPs, and were appointed by the Bureau of the Working Party on PPPs based on their expertise in the sector. They are mostly experts from the private sector and are legal or

¹³ https://www.unece.org/fileadmin/DAM/ceci/documents/2015/CECI/ECE_CECI_2015_7_en.pdf

financial consultants. In general, the individual performance of the Team Leaders was very good, with some exceptions where either the deadlines were not respected, or the quality of their work (including the suitability of their work related to SDGs) was not as expected from UNECE.

42. The Team Leaders – consultants structure, coupled with the seven-steps process that included rounds of public consultation, the mechanism managed to be inclusive enough (confirmed also by the online questionnaire, where 78 percent of the respondent shared this opinion).

43. By the end of the project, four out of the ten standards have been finalized. Standard on health, airports or sustainable PPP procurement have been halted at various (incipient) stages. These topics proved to be sensitive and divergence in opinions of the public and private sector stakeholders proved to be very complex. Another barrier in achieving high quality work on all standards is their number; the work has to be coordinated by very few staff in UNECE, who are also involved in other projects at the same time. UNECE should perform an internal assessment in order to establish the suitable number and size of projects managed in parallel by the staff.

44. Activity 1.2 – UNECE organized five capacity building and policy advisory events, to assist the member States with the implementation of PPP standards:

1. PPP workshop in Moldova (26 November 2015), where the Business Advisory Board (BAB) additionally assisted the Moldovan Government in assessing the suitability of PPPs in the country;
2. PPP workshop in Poland (1-2 December 2015), where the BAB supported the Government of Poland in assessing the preparedness for PF-PPPs;
3. PPP workshop in Ukraine (3-4 December 2015); BAB activity implemented the first part of the activities related to the Readiness Assessment.
4. Meeting of the PPP BAB with senior policy makers from Belarus, Kazakhstan, the Russian Federation and Ukraine, with a focus on project identification, risk allocation and the legal and regulatory framework (31 March 2016);
5. International PPP Workshop to highlight PF-PPP case studies in a number of countries in Asia and Europe (23 September 2016).

45. One of the main benefits of the project is standards generation and dissemination, where the modern communication technology plays a crucial role. The project did not foresee in its documents any explicit activity related to the usage of this technology, best suitable for dissemination and to lower the costs. However, besides maintaining the standard web page on the UNECE's web site, the project did create a very well designed and managed web site¹⁴, populated with rich content. The web site displays graphically very clear the process of generating the standards and at which stage each of the standards is.

46. As the project had no logical framework or theory of change, it did not provide for baseline indicators, and no other indicators were monitored during the implementation (neither at output nor at outcome levels). This makes difficult the certainty of attribution towards results, and the rating is rather empirical.

47. Although with a low response pool for the questionnaire (not validating statistically the response), the interviews and online questionnaire confirm that changes at the outcome level are present. Among the things to be improved, interviewees mentioned the process slowness within the member States (induced by responding to various queries and reviews of drafts). Work at Standard drafting teams and at UNECE moved smoothly without major delays. A recommendation to expedite standard setting was to allow member States to respond in a definite period. In case there is delayed response, the process should

¹⁴ <https://wiki.unece.org/display/pppp/PPP+Standards+Development+Process>

continue with a provision to integrate the delayed response in final draft without delaying the entire process.

48. Key Facts related to the project's effectiveness:

- The development of international PPP best practices and standards has been achieved in four cases: the PPP best practice principles for enforcing zero tolerance to corruption in PPP agencies (P003), on railways (P005), Roads (P006) and on renewable energy (P008). The rest of the standards are awaiting different intermediary steps to be finalized;
- The popularization of UNECE international PPP best practices materialized through a series of workshops, consultative visits and ultimately through PPP Readiness Assessments;
- 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 partly achieved (four out of ten standards). The number of standards and their complexity (or sensitiveness in some cases) prevented the project to fully achieve the objectives;
- The logical link to the expected outcomes and their impact is only implied. No benchmarks have been established, the indicators have not been monitored and the 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, determining the impact of the activities.

49. The activities have been implemented delivering most of the planned outputs, with the expected level of quality and timeliness (four out of ten standards have been adopted). The logical chain between outputs, outcomes and impacts has not been fully defined. Performance indicators are not set and 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 is *Partly Satisfactory*.



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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>Strengthened national capacity to develop and implement PPP projects based on successful international practices.</p>	<p><u>Activity 1.1.</u> Development of 10 international PPP standards in such sectors as transport, renewable energy and energy efficiency in public buildings, water and sanitation, education, procurement.</p> <p>Envisaged expenses:</p> <p>Two consultants</p> <p>UN Staff travel</p> <p>Experts' travel</p>	<p>1. Two short-term consultants were hired in areas where the secretariat has no expertise. They performed the following activities:</p> <ul style="list-style-type: none"> - Took the leading role in setting up Project Teams, determine interest in the sector or sub-sector where standards are being proposed; identified Project Team leaders; helped with project proposals for PPP standards; achieved consensus and support from member States; established timelines and ensured that these were observed. This process was linked to the UN Sustainable Development Goals (SDGs); - Coordinated with the Project Teams and Team Leaders, and provided substantive comments and assistance on the work of the standards; - Advised on the PPP Standards under preparation in various sectors or sub-sectors - Consulted with key stakeholders on value added and dissemination of the UNECE PPP Standards; - Liaised with peer reviewers (particularly the World Bank Group, the EBRD and the other Development Banks); - Invited governments, the private sector and international organizations to propose PPP projects to be included in the draft standards, including the guiding principles on good governance in people first PPPs for the SDGs; - Collected, reviewed and selected the PPP projects to be included in a UNECE compendium of PPP case studies. <p>2. - The Working Party on PPPs endorsed four standards (one in November 2017 and three in December 2018); a declaration on the implementation of a further standard was endorsed by the Working Party in December 2018. Standards on healthcare, airports, urban rail, and water and sanitation are at different stages of development. A standard model law on PPP/concessions is also being developed.</p>	<p>Partly Achieved.</p> <p>Standards on zero tolerance on corruption, on PPPs in railways, roads and renewable energy were published on the website in September 2018. These standards were endorsed by the Working Party in December 2018.</p>
	<p><u>Activity 1.2.</u> Organization of 5 capacity-building and policy advisory activities to assist the countries with the implementation of PPP standards; project preparation and overall improvement of their PPP enabling environment.</p>	<p>1. PPP workshop in Moldova, 26 November 2015</p> <p>2. PPP workshop in Poland, 1-2 December 2015</p> <p>3. PPP workshop in Ukraine, 3-4 December 2015</p> <p>4. PPP Business Advisory Board meeting with senior policy makers -31 March 2016.</p> <p>5. International PPP Workshop - Bangkok, Thailand, 23 September 2016.</p>	<p>Achieved.</p>
<p>Project assistance, support and evaluation</p>		<p>No project support staff was hired for this project, and no evaluation was foreseen.</p>	



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Chapter 5: Efficiency

50. The activities implemented were funded by the Bank for Development and Foreign Economic Affairs of the Russian Federation (Vnesheconombank). The total budget amounted US\$ 300.000 (including 13 percent for programme support costs).

51. The results-based budget foresaw US\$ 200.000 for activity 1.1 (US\$ 140.000 for the substantive work, US\$ 25.000 for UNECE staff travels and US\$ 35.000 for experts' travel) and US\$ 100.000 for Activity 1.2 (US\$ 20.000 for each of the planned workshops). In the end, US\$ 139.300 have been spent for consultants' work, US\$ 54.800 – staff travel costs, and US\$ 68.700 – travel of experts. As the donor had no such request, costs classes have not been grouped by the two activities; hence an analysis of efficiency per activity is not possible. Additional 13% represented project management costs.

52. The assessment of the spent funds compared to the implemented activities and achieved goals is made in retrospect. As the team leaders and the experts worked mainly pro-bono, the biggest part of the expenditure was used to fund capacity-building activities (cost of experts, travels, organizing workshops, performing studies). Considering the needs identified by the member States and the type of products and services delivered (studies, standards and three workshops in Moldova, Poland and Ukraine), the resources were appropriately spent.

53. The positive side of having experts involved pro-bono in the project (increasing the efficiency) is counter-balanced by the experts' involvement degree. A repeated opinion collected during interviews suggest that at least the team leaders should be remunerated, so UNECE could leverage on timing and deadlines.

54. The project was managed by RB staff (initially estimated at two months for P3/P4 staff time). The temporary consultants were hired to provide substantive input to the development of the standards, including drafting and re-drafting, as well as other administrative activities (full details in the table 1, Actual Outputs). The magnitude of activities (coupled with tasks assigned to other projects managed in parallel) surpassed the attributions of the UNECE staff, overburdening their everyday tasks. Similar future projects financed from extra-budgetary resources should consider a budget for project management.

55. Key facts related to the efficiency of the project:

- The activities have been implemented according to the available resources, following the standard procedures and procurement regulations in UN. Most of the members of the standards teams have been working pro-bono during various stages of activities, maximizing the efficiency.

56. The financial resources spent in the project were commensurate to the results (payment of consultants and organization of five events in the UNECE region). The lack of a proper project management (for extra-budgetary resources) represented an extra burden for the UNECE regular staff. A better budget monitoring and reporting should be envisaged for future projects. Overall, the project's efficiency is rated as *Satisfactory*.

Chapter 6: Gender Equality and Human Rights

57. In the process of generating best practices, standards and services for the member States, both women and men have been involved (two women and five men acted as Team Leaders; no data is available on the rest of experts involved), although no prerequisite was mentioned in the project proposal. As the experts volunteered to work on coordinating or generating the standards, a potential limitation enforced to ensure gender balance might have caused a (self)exclusion of suitable expertise. No gender consideration has been recorded in the project's proposal, no indicator has been established and no gender-relevant information has been specifically collected during the project's implementation.

58. On the human rights dimension, the objective of supporting implementation of PF-PPPs is already a strong component, but not prominently exploited in the project proposal. In addition, the inception documents for each of the standards make no explicit reference to the human rights dimensions.

59. The involvement of right holders has been envisaged during the public consultation stages (part of the seven-step process in creating standards, namely in stages 2- Stakeholder mobilization and 4 – Public review). The mechanism to involve civil society through proper dialogue and consultations is a necessary step to achieve acceptance from both duty bearers and rights holders.

60. A further step to be considered (but not explicitly mentioned yet) is to foresee public consultations during the environmental and social impact assessments, part of the due-diligence process for designing or implementing projects delivering public goods and services.

61. New research outcomes offer a mixed image related to the impact of development programmes related to extreme poverty and human rights (UN report A/73/396)¹⁵. One key message from the report states that “privatization often involves the systematic elimination of human rights protections and further marginalization of the interests of low-income earners and those living in poverty”. This kind of new findings should be considered when planning future similar projects.

Chapter 7: Conclusions and Recommendations

Conclusions

62. The objectives of the project were to provide the UNECE member States with international PPP standards based on best PPP practices relevant to the proposed Sustainable Development Goals, and to support the implementation of these standards through the provision of capacity building on policy advisory activities.

63. The activities have been concentrated on generating and disseminating PF-PPP standards in ten key areas, in order to raise the profile of the PPPs in the context of financing for achieving internationally agreed development goals (SDGs after 2015). The PPPs could play an important role to achieve SDGs through drawing in the private sector with funds and management capacity. However, PPPs are just one way of providing financing for development and should not be perceived as a panacea, as the background analysis chapter examines.

¹⁵ <https://undocs.org/A/73/396>: Extreme poverty and human rights*

64. Four factors justify the project's relevance: (i) the need to finance global development goals (subsequently formulated and agreed as the SDGs) - including through mobilizing private capital to deliver infrastructure and public goods); (ii) the contribution of the outputs to eight of the Sustainable Development Goals; (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. The standards and the capacity building events organized by the project strengthened the capability of member States to design and implement PF-PPPs. The highly satisfactory relevance of the project's objectives makes no corrections necessary.

65. The activities have been implemented as planned, as detailed in the Effectiveness Chapter. Several standards have either been delayed or reprogrammed due to the number, complexity and sensitiveness of topics. The planned events to deliver policy advice have been successfully implemented. Besides trainings and workshops, the most prominent products are the "PPP Standard on a zero tolerance approach to corruption in PPP procurement", "PPP Standard on zero tolerance approach to corruption in PPP procurement (P0002)", PPP Standards on railways (P0005), roads (P0006), Renewable energy (P0008) and other material available for online consultation. These products have been complemented with capacity building activities, and represent the major outputs of the project.

66. Only four of the standards have been achieved by the end of the project. Possible reasons for this are the number of envisaged standards (ten), their complexity and the divergence of expectations and need from various stakeholders (public sector, private companies, and civil society). The process of generating standards was straightforward and inclusive, and relied on volunteer work of specialists on PPPs. Given the variable quality and timeliness of some Team Leaders, a mechanism to increase their reliability is advisable.

67. The project's financial planning and implementation was commensurate to the scale of the project. The biggest proportion was used to employ consultants delivering content work for the standards. The Team Leaders for each standard volunteered with their contribution, while the two UNECE staff were in charge with the overall planning, reporting and coordination of resources. The lack of a proper project management (for extra-budgetary resources) represented an extra burden for the UNECE regular staff. A better budget monitoring and reporting should be envisaged for future projects.

68. The gender equality aspects were not explicitly taken into consideration during the project design and implementation stages, but the nature of the project (knowledge generation and dissemination) did not impair women participation nor benefits. The concept of People-First-PPPs focuses intrinsically on human rights, but with no visible result yet. New research findings on the effects of privatization/PPPs suggest controversial effects, and future project proposals should explore into more detail the intricacies.

69. The project achieved to a large extent its planned outputs, but lacked in the design stage an analysis of the effects (outcome and impact level). The project monitoring and reporting did not consider this level of effects, and the desired changes are hypothetical so far. The interviews did not provide a clear picture on what will be the practical implementation modality of the standards, and at what extent the standards will contribute to achieving the SDGs.

Recommendations:

70. Recommendation 1: Given the high relevance, UNECE should continue to contribute on refining universal standards in PF-PPPs. To improve the standards setting, the process should be more inclusive, streamline the bureaucracy and shorten the time span. At the same time, the standards setting should not compromise on quality and independence.

71. Recommendation 2: Team leaders and consultants coming from the private sector should be remunerated, so UNECE could leverage on quality and timing. In the current project, the team leaders volunteered their work, so their involvement was not always adequate. Given the fact that team leaders or consultants appointed directly by the member States' governments can not be paid, this recommendation only applies to representatives from the private sector. Alternatively, UNECE could employ paid consultants to coordinate similar standards generation; in this situation, UNECE should foresee ways to secure endorsement of the technical standards from the member States. The increased costs for additional paid consultants will be compensated by the timeliness and quality of deliverables.

72. Recommendation 3: UNECE should perform an internal assessment of the projects implemented within the Economic Cooperation and Trade Division, in order to establish the suitable number and size of projects managed in parallel by the staff. The assessment will attempt to establish the appropriate workload for each staff member.

73. Recommendation 4a: As the gender components becomes more prominent, future similar projects should include a brief assessment on how women participation in the project is secured, and at what extent will they benefit from the desired outcomes. Output (and, where feasible, outcome) indicators should be formulated and monitored, in order to facilitate a correct assessment of the project's contribution towards the desired gender equality objectives. Specifically for PPPs, the Standards should foresee public consultations during the environmental and social impact assessments (part of the due-diligence process). These public consultations should allow women participation in designing and implementing PPP projects.

74. Recommendation 4b: Future similar projects (related especially to PF-PPPs) should take into consideration (both in the design stage, as well as during implementation) new findings related to the impact of development programmes related to extreme poverty and human rights. For instance, a UN report (A/73/396) states, "privatization often involves the systematic elimination of human rights protections and further marginalization of the interests of low-income earners and those living in poverty."

75. Recommendation 5: Similar projects should consider in the design stage an analysis of the effects at outcome (and impact level, if justified). It is important to understand what will be the end effects of the project results, and to have clear understanding of the assumptions made in the results matrix. This approach will facilitate a clearer understanding of all stakeholders on what are the prerequisites to be fulfilled, in order to achieve the outcome-impact causality.



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Annex 1: Terms of Reference

Terms of Reference for the Evaluation of the UNECE project: “Development and implementation of PPP international standards in support of the Sustainable Development Goals”

I. Background

The UNECE project “Development and implementation of PPP international standards in support of the Sustainable Development Goals” was funded by the Bank for Development and Foreign Economic Affairs of the Russian Federation (Vnesheconombank). The project was implemented by UNECE from July 2015 to September 2017. The main objective of the project was to provide member States with international PPP standards based on best PPP practices relevant to the SDGs.

To achieve the project’s objective, the following activities were implemented:

The development of international PPP standards in various sectors, including:

- a. Transport (railways, roads, airports);
- b. Renewable energy;
- c. Water and sanitation; and
- d. Procurement (including a zero tolerance approach to corruption in PPP procurement);

II. Purpose

The purpose of this evaluation is to assess the relevance, effectiveness and efficiency of the project as established by the objectives and activities outlined in the project document. In particular, the evaluation will assess the mechanism by which the PPP standards are developed by Project Teams working under the auspices of the UNECE Working Party on PPPs, its Bureau and the secretariat.

III. Scope

The evaluation will cover the full period of the project implementation from July 2015 to September 2017, and the project as defined by the project document.

The evaluation will engage international PPP experts, Project Team members and leaders, members of the Bureau of the Working Party on PPPs, and all stakeholders involved in project implementation. UNECE member states will also be a key stakeholder in the evaluation design.

Gender and human rights aspects of the project’s design and results will be considered

in 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>)

IV. Issues

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

Relevance

1. To what extent were the project's outputs consistent with the UNECE mandate to support member States in building their capacity to deliver infrastructure projects and public services through the PPP model?
2. To what extent did the project serve the needs of its main beneficiaries: the member States?
3. To what extent were the project outputs listed above relevant to strengthen the capacity of UNECE secretariat and its network of PPP experts to assist member States to undertake PPP projects?

Effectiveness

1. To what extent were the expected accomplishments of the project achieved?
2. What were the challenges/obstacles to achieving the project objective and expected accomplishments (e.g. the fact that project team members were working pro-bono)?
3. Give advice (if any) on how the expected accomplishments of the project could have been more effectively achieved (e.g. the Bureau of the Working Party on PPPs should be more involved in the work of the project teams; the timeframes for project teams to prepare draft standards were too optimistic; the standard-setting process should be simplified; Project Team leaders should be remunerated etc.)?
4. To what extent did implementation of the project support the overall objectives of the UNECE regular programme of work?
5. Was the standard-setting process sufficiently inclusive?
6. Did the process protect against bias and/or undue influence by one stakeholder?
7. To counter possible threats to independence and neutrality, did the standard-setting procedures become over-bureaucratic and time consuming?
8. Some stakeholders have noted that the process is too slow. Is this a fair comment? How can we accelerate without undermining the credibility of the process?
9. In terms of output, what should be the optimum number of standards managed and produced given the limited human resources available in the UNECE PPP section?

Efficiency

1. Were the available resources appropriate to the scale of the project and the needs identified by member States?

2. Were the human and financial resources allocated to the project used efficiently and commensurate to the project results?

V. Methodology

The evaluation will be conducted by an independent consultant, who will be managed by the project manager in the UNECE PPP team. The evaluation will be carried out using a review of all relevant documents, a survey and targeted interviews of key project stakeholders and UNECE staff.

The consultant 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 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 write 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 comments and quality assurance. The structure, length and quality elements of the evaluation report should follow the guidelines outlined in the UNECE evaluation policy.

VI. Evaluation Schedule

- A. *Preliminary research:* August 2018 (by evaluation consultant)
- B. *Data Collection:* August - September 2018.
- C. *Data Analysis:* by mid of September 2018 (by evaluation consultant)
- D. *Draft Report:* by September 28th, 2018 (by evaluation consultant)
- E. *Comments on Draft report:* by October 10th, 2018
- E. *Final Report:* by end of October, 2018 (by evaluation consultant)

VII. Resources

An external evaluation consultant identified through the UNECE evaluation roster will be hired to conduct the evaluation. A P4 Economic Affairs Officer in the PPP Team (the

UNECE project manager) will manage the evaluation. The UNECE Programme Management Unit will provide guidance on design and quality assurance of the evaluation.

VIII. Intended Use/Next Steps

The results will be used in the planning and implementation of future new capacity building projects implemented in Eastern Europe, the Caucasus and Central Asia and also beyond the region. The results of the evaluation and the UNECE management response will be made publicly available on the UNECE website.

IX. Criteria for Evaluators

The evaluator should have:

- At least 5 years of 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

Annex 2: List of Documents and Links Reviewed

- EXCOM Form, Project Document including the results-based-budget, and the Final /Terminal Report
- List of the UNECE-led activities under the project (Agendas and Programme of the events organized in Moldova (Nov 2015), Poland (2015) and Ukraine (Dec 2015)
- PPP Standard on a zero tolerance approach to corruption in PPP procurement;
- National PPP Readiness Assessment Reports, (2012-2015);
- Case Studies in the ten areas of interest (<https://www.uneceppp-icoe.org/people-first-ppps-case-studies/>);
- Projects Proposals for each of the ten areas (<https://wiki.unece.org/display/pppp/PPP+Standards+Development+Process>);
- Web-sites <https://www.unece.org/info/open-unece/pmt/extra-budgetary/economic-cooperation-and-integration/e249-development-and-implementation-of-ppp-international-standards-in-support-of-sdgs.html> and <http://www.uneceppp-icoe.org/>
- Other relevant documents, experts' reports, web-sites, etc.

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

Evaluation of the UNECE project:

“Development and implementation of PPP international standards in support of the Sustainable Development Goals” (E249)

Questions Guideline – July 27th, 2018

(“assess the mechanism by which the PPP standards are developed by Project Teams working under the auspices of the UNECE Working Party on PPPs, its Bureau and the secretariat”).

Stakeholders – Leaders of Project Teams, members of the Bureau of WP-PPP, UNECE relevant staff, Experts on PPP, etc

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

- To what extent were the project’s outputs consistent with the UNECE mandate to support member States in building their capacity to deliver infrastructure projects and public services through the PPP model?
- To what extent did the project serve the needs of its main beneficiaries: the UNECE member States?
- To what extent were the project outputs listed above relevant to strengthen the capacity of UNECE secretariat and its network of PPP experts to assist member States to undertake PPP projects?

- What is the relevance of the activity for the broader work of UNECE?
- To what extent are the objectives of the activity still valid? How can the activity be replicated in the UNECE region or in other regions?

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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 (e.g. the fact that project team members were working pro-bono; the standard-setting process was too cumbersome etc.)?
- Give advice (if any) on how the expected accomplishments of the project could have been more effectively achieved (e.g. the Bureau of the Working Party on PPPs should be more involved in the work of the project teams; the timeframes for project teams to prepare draft standards were too optimistic; the standard-setting process should be simplified; Project Team leaders should be remunerated etc.)?
- To what extent did implementation of the project support the overall objectives of the UNECE regular programme of work?
- Was the standard-setting process sufficiently inclusive?
- Did the process protect against bias and/or undue influence by one stakeholder?
- To counter possible threats to independence and neutrality, did the standard-setting procedures become over-bureaucratic and time consuming?
- Some stakeholders have noted that the process is too slow. Is this a fair comment? How can we accelerate without undermining the credibility of the process?

- In terms of output, what should be the optimum number of standards managed and produced given the limited human resources available in the UNECE PPP section?

=====

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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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:

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

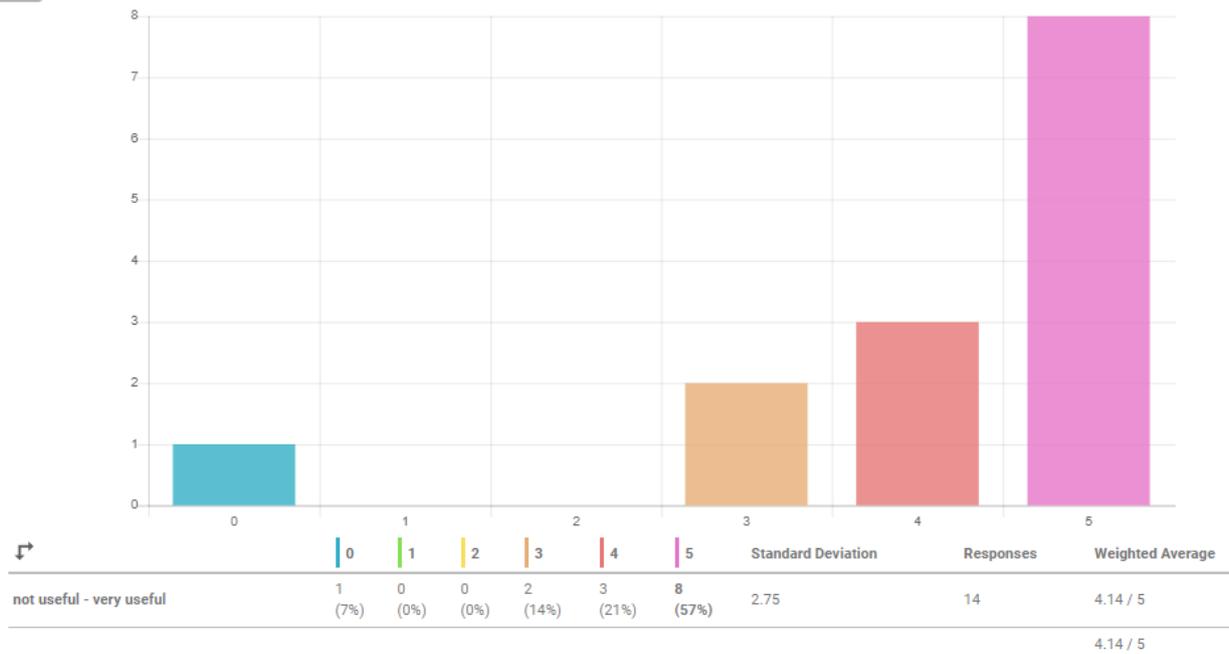
- Who is benefiting and who is not? (male/female, age groups, different socio economic groups)
- How effectively have equality and gender mainstreaming been incorporated in the design execution of the Programme?
- To what degree are approaches such as a human rights based approach to programming, gender 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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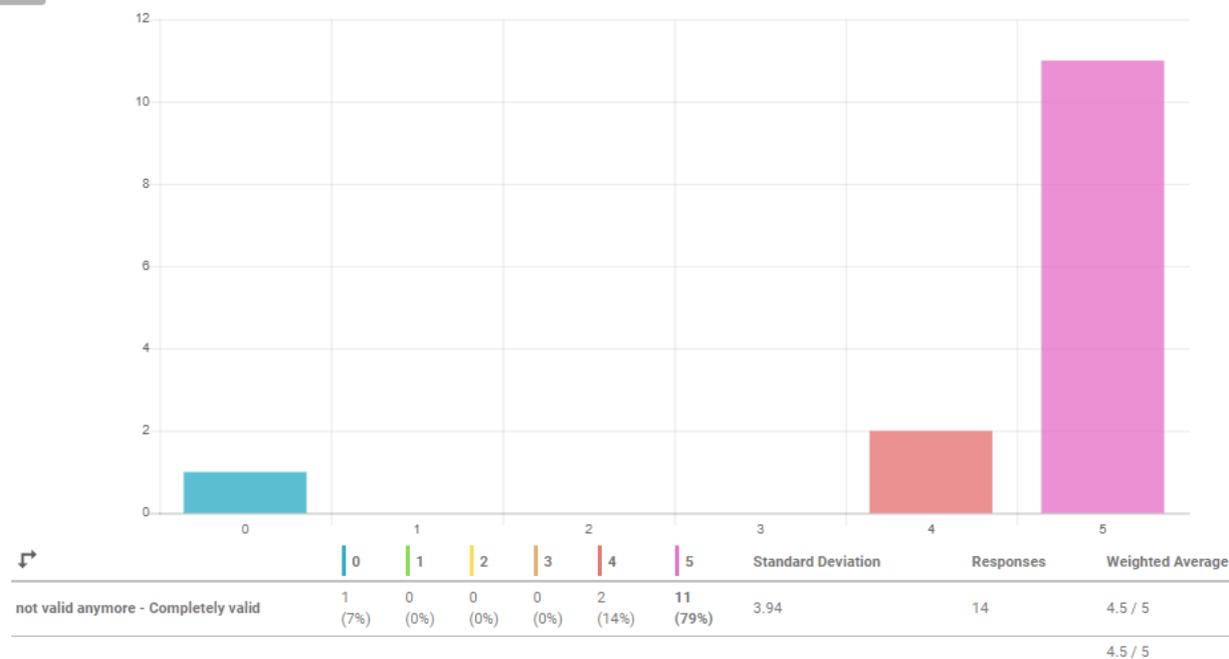


Annex 4: Online Questionnaire Results (as of April 19th, 2019)

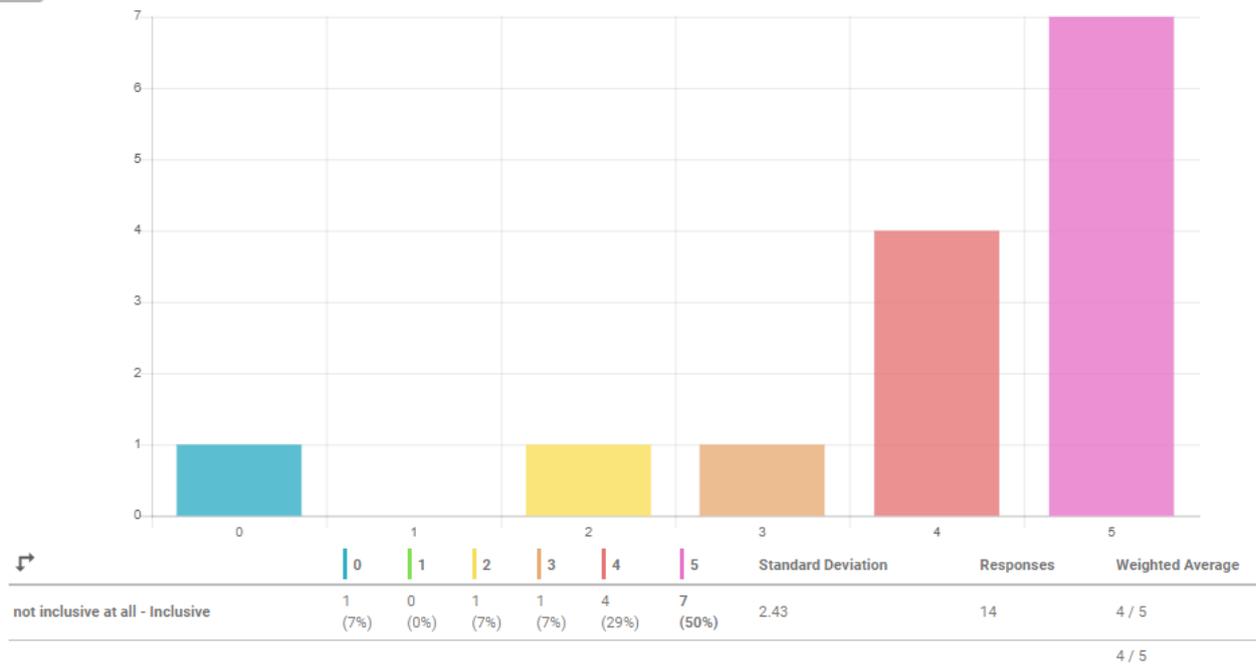
1 To what extent did the project serve the needs of its main beneficiaries - the UNECE member States?



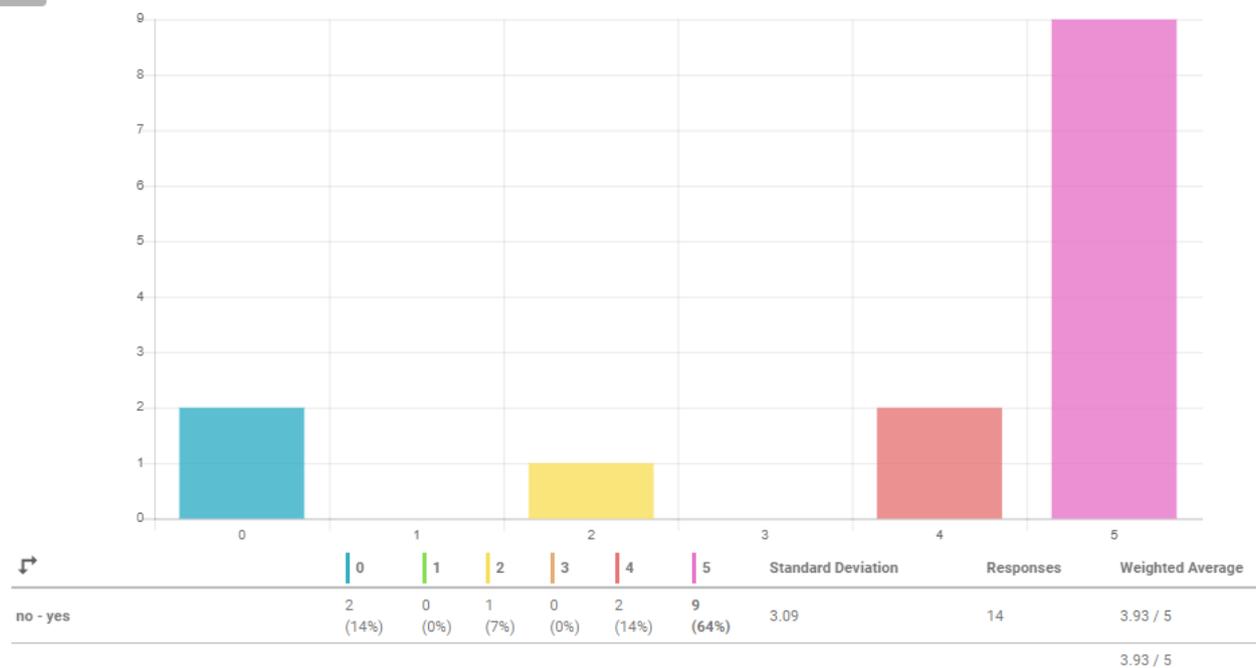
2 To what extent are the objectives of the activity still valid?



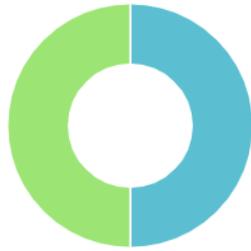
3 Was the standard-setting process sufficiently inclusive?



4 Did the process protect against bias and/or undue influence by one stakeholder?



5 To counter possible threats to independence and neutrality, did the standard-setting procedures become over-bureaucratic and time consuming?



6 Was the standard setting process too slow?



7 How can we accelerate the standard setting process without undermining its credibility?

More professionalism in the management process by selecting public and private professionals free of political influence with a proven track record and natural authority accepting to comply with the UN principles. Understanding as a rule that such respected professionals cannot accept such important and time consuming task pro bono; Before setting up a project team the financing of the team leaders (not market price but cost +) must be secured

The Secretariat or Project Teams should generate a stakeholder contact list that is regularly updated and included in the standard making process. This would expand the UNECE network while inviting valuable contribution and buy-in.

It is essential to be inclusive. In the process there is divergence of opinion. Procedures that allow the team leader of the project to note the divergent view and respond to it in an annexure will be useful to speed up the process of setting the standard. It is sometimes impractical to get achieve uniformity if view so the call has to be taken by the team leader.

In principle if the role of project team coordinator and editor would be paid tasks, UNECE could leverage more on timing and deadlines. However, we would not recommend this way, if available; rather, we suggest that the initial selection and appointment of project coordinator would be based not only on the CV of the individual only, but on a solid proposal by the project coordinator concerning a small support term committed to a specific timetable and milestones.

In my estimation, the standard setting process will be faster if PPP experts who already know this process will be involved.

I think it is good enough.

Quicker feedback and decision processes. Replacement of standard team leaders and team members who are not productive and responsive.

Difficult to improve because the standard setting process covers a complex topic and not all participants have the same level of knowledge. Maybe we could offer a

Show recent 5 | All

Annex 5: List of people interviewed

Evaluation - UNECE E249 - 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			
✓	05 Febr 2019	14:00	14:20	Phone	UNECE / Project Manager	Tony Bonnici	tony.bonnici@un.org			
✓	14 Nov 2018	23:00	23:40	Skype	Standard: Legislation, policies & Institutions // Director. Partnerships, Modernization and Compliance at Alberta Infrastructure, Gov. of Alberta	Syed Zaidi	syed.zaidi@gov.ab.ca	Skype: superzaidi		
✓	12 Dec 2018	09:30	10:20	Phone	Founder & CEO Africa GreenCo // former Team Leader Renewable Energy Standards	Ana Hajduka	ana.hajduka@africagreenco.com	+44778 920 4363		
✓	28 Dec 2018	00:00	01:00	Skype	Lecturer, Consultant, Adjunct Professor, Environmental Specialist // Technical Input for the Standards	Felix Dodds	felixdodds	+13472073919		
✓	25 Jan 2019	08:15	09:00	Phone	PPP Specialist / PPP Standards content provider	Anand Chiplunkar	anandchiplunkar@gmail.com	+91 7083916516		
✓	27 Jan 2019	18:00	18:50	Skype	Senior Advisor at National Center for Privatization & PPP, Washington // PPP Standards content provider	Scott Walchak	scott.walchak@gmail.com	Skype: walchak		
✓	05 Febr 2019	12:05	12:45	Phone	Principal at Lucente International Lawyers // Team Leader Transport Standards	Alfredo Lucente	alfredo.lucente@lucente.it	+39 06 85356219		
✓	05 Febr 2019	10:05	10:50	Phone	Economic Expert at High Council for Privatization and PPP, Lebanon // Team Leader Water and sanitation Standards	Maya Chamli	mchamli@hcp.gov.lb	+961 1 987500		
					Director General at China International Engineering Consulting Corporation, Beijing // Team Leader Standards for PPPs in Urban Rail Transit Stan	Kaimeng Li	likm@ciecc.com.cn			



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