

Independent Evaluation Report

For the Development Account Project

“Building capacity and facilitating private sector involvement for infrastructure development for less developed countries in the Asia-Pacific Region”

September 2016

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LIST OF ACRONYMS

UNESCAP	United Nations Economic and Social Commission for Asia and the Pacific
UNECE	United Nations Economic Commission for Europe
ADB	Asian Development Bank
PPIAF	Public-Private Infrastructure Advisory Facility
JBIC	Japan Bank for International Cooperation
IFC	International Finance Corporation
PIMAC	Public and Private Infrastructure Investment Management Center
MEF	Ministry of Economy and Finance (Cambodia)
MPI	Investment Promotion Department of the Ministry of Planning and Investment (Laos)
APN	Asia Public-Private Partnership Practitioner’s Network

MANAGEMENT RESPONSE

[This section provides the response by ESCAP management to the evaluation and includes a response to the overall evaluation and to the specific recommendations made. The management response that includes the follow-up action plan will be included as an annex to the evaluation report. To ensure that recommendations that have been accepted by the ESCAP management are acted upon, an evaluation follow-up action plan with responsible units and expected completion dates is submitted separately to the PMD (See Evaluation Tool 7: Management Response template).]

Overall Management Response to the Evaluation

[To be inserted by ESCAP management after the content of the evaluation report is finalized]

Management Response to Recommendations

[To be inserted by ESCAP management after the content of the evaluation report is finalized]

RECOMMENDATIONS	MANAGEMENT RESPONSE
1.	
2.	
Etc.	

EXECUTIVE SUMMARY

Introduction

This is the evaluation report which has reviewed the “Building capacity and facilitating private sector involvement for infrastructure development for less developed countries in the Asia-Pacific Region” project (DA Code 1213AY), a project which was executed by the Economic and Social Commission for Asia and the Pacific (ESCAP) between December 2013 and June 2016. This evaluation was conducted by Christopher Larkin, an independent consultant based in Thailand and was conducted between July and September 2016 in Bangkok, Thailand.

The project reviewed efforts to build the capacities in four selected less developed countries, Bhutan, Cambodia, Lao People’s Democratic Republic, and Myanmar, in engaging the private sector in infrastructure development, particularly through using the Public-Private Partnership, or PPP’s. To achieve this objective, the project targeted the following accomplishments

- Enhanced capacity of government officials to establish effective PPP policy frameworks for infrastructure development projects;
- Enhanced capacity of government officials to identify, develop and manage PPP infrastructure projects; and
- Improved access to information and knowledge on private sector involvement in infrastructure development.

Scope

The scope of the evaluation sought to analyze and evaluate against five ‘key themes’, which included:

- Relevancy;
- Effectiveness;
- Efficiency;
- Sustainability; and
- Gender.

Methodology

The evaluation took place in Bangkok between July and September 2016. The evaluation was done largely in-situ, and there was no travel to any of the target countries involved. The evaluation made use of the following methods of information and data collection and analysis and which were triangulated for purposes of evaluation:

- **Desktop review:** Review of project documents as well as project outputs;
- **Interviews with stakeholders:** Semi-structured interviews which were conducted via skype or phone, to save resources; and

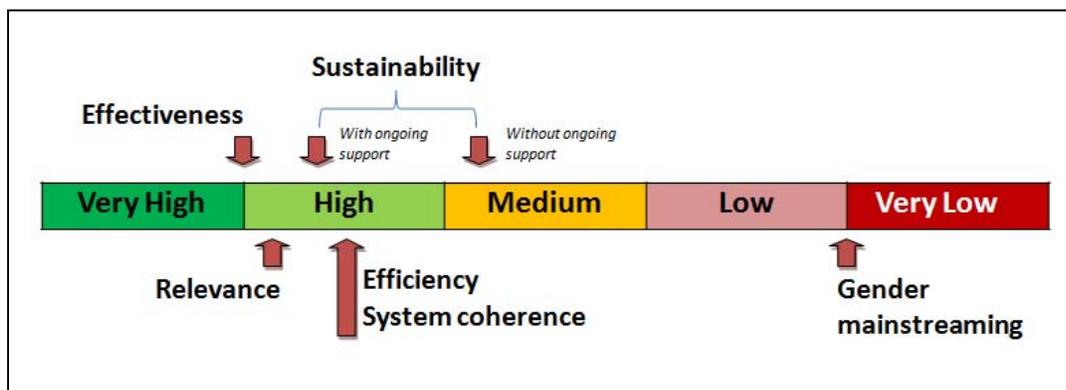
- **Quantitative and qualitative analysis:** Quantitative (where relevant) and qualitative assessments, with the balance in favour of the latter, assessing the impact the project activities and outputs delivered have had on the participating countries.

Conclusions

This project delivered a strong outcome for UNESCAP in its efforts to promote Public Private Partnerships in four target countries: Bhutan, Cambodia, Laos and Myanmar, and by providing these countries with tangible and sometimes innovative outputs, and which were required by these countries. From both a quantitative and qualitative perspective, the broad goals of increasing capacity in developing and implementing PPP policy was achieved, in addition to providing improved access to information and knowledge on private sector involvement in infrastructure development

To reach this conclusion, we assessed the project against a number of 'Key Themes' of 'Relevance', 'Efficiency', 'Effectiveness', 'Sustainability' and 'Gender Mainstreaming'. As the review progressed, it was discovered that 'UN System Coherence' also appeared to be key success factor, and as such was included in the review as well.

Figure 1 - Overall assessment outcomes



The main conclusions with respect to these criteria are as follows:

- **Relevance:** The project provided highly relevant, tangible and tailored outputs to all countries targeted. This was the result of in-depth consultation with each of the countries involved, where UNESCAP sought to provide outputs and training which were needed at specific points of countries respective PPP Development stage and relevant to their particular policy priorities.
- **Efficiency:** Despite a range of internal and external obstacles, the project delivered all planned outputs under budget and within a realistic timeframe, and in a well-managed and framed manner. Outputs themselves were well-targeted and did not over reaching in their aims. The project also utilized synergies by working with external agencies when appropriate. While external consultants were used, we note that the project was also utilized internal capacity wherever possible, including the delivery of one of the core training deliverables of this project.

- **Effectiveness:** The project impressively achieved the objective of enhancing capacities of government officials and demonstrably contributing to policy formulation. Budget constraints were used as an opportunity to deliver a niche product. In the case of three of the four countries targeted, outputs were either used, or have created the situation, where they can be tangibly used in the further evolution of that country's institutional PPP framework.
- **Sustainability:** The project will leave a legacy of outputs which are either useable building blocks for target countries, or will continue to provide training and capacity assistance to countries in an ongoing manner. The high level of national ownership of these outcomes will help ensure a continued relevance to the countries involved. However levels of sustainability will also depend on future UNESCAP decisions however to how to support PPP's.
- **UN System Coherence** – A key success factor of this project was the level of consultation with development partners to develop a comprehensive understanding of issues, and wherever possible, exploiting co-operation opportunities and synergies with the partners.
- **Gender Mainstreaming** – Although evidence suggests this issue was considered during early planning stages, it was not a significantly incorporated into any of the outputs of this project.

Recommendations

Recommendation 1: Leverage off success of this project to enhance a PPP Network

A formal network of PPP units and programme from the Asia-Pacific region would provide UNESCAP a relatively natural platform to deliver its successful in-house tools (see next point) as well as allowing UNESCAP to be a useful clearing house of PPP ideas, experience and capacity building for member states. It will also allow UNESCAP to more easily deal and work with developmental partners in the region.

Recommendation 2: In-house developed training and online tools should not be left to waste. Continued resources to support these initiatives needed.

The 'PPP Readiness Tool', the online e-learning series and the value-for-money assessment toolkit were major outputs of this project that were well received. While these tools were designed to allow access by target countries, as well as other member states in a relatively autonomous way, they are certainly not 'set and forget' outputs. They will require ongoing maintenances, additions and advocacy to remain relevant to member states. Given that a solid framework and base has now been established, any further additions to these tools can be incremental and likely be achieved at a relatively effective marginal cost.

Recommendation 3: Increase PPP resources at UNESCAP to retain internal knowledge capital

This project was run off a very small base of key members of UNESCAP Staff which were responsible for the initiatives, project management and energy behind this project. However this is not sustainable. In that context, we recommend to create a small unit within ESCAP which should be composed of a number of permanent staff members in order to ensure the sustainability of this work in the future.

Recommendation 4: Further emphasizing gender related issues

Particularly in the area of PPP stakeholder training, there may exist scope to incorporating gender considerations in the broader context of ‘stakeholder analysis’ in the areas of project selection, project design and implementation such that Gender is assessed and analysed alongside other key consideration factors in the PPP lifecycle.

1. INTRODUCTION

This is the evaluation report which has reviewed the “Building capacity and facilitating private sector involvement for infrastructure development for less developed countries in the Asia-Pacific Region” project (DA Code 1213AY), a project which was executed by the United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP) between December 2013 and June 2016.

1.1 Background of the evaluation

This evaluation was conducted by Christopher Larkin, an independent consultant based in Thailand and former PPP advisor to both the Royal Thai Government and UNESCAP.

This evaluation was conducted between July and September 2016 and was conducted remotely in Bangkok, Thailand.

1.2 Purpose, objectives and outputs

The “Building capacity and facilitating private sector involvement for infrastructure development for less developed countries in the Asia-Pacific Region” project sought to build the capacities in four selected less developed countries, Bhutan, Cambodia, Lao People’s Democratic Republic, and Myanmar, in engaging the private sector in infrastructure development, particularly through using the Public-Private Partnership, or PPP’s.

To achieve this objective, the project targeted the following accomplishments

- Enhanced capacity of government officials to establish effective PPP policy frameworks for infrastructure development projects;
- Enhanced capacity of government officials to identify, develop and manage PPP infrastructure projects; and
- Improved access to information and knowledge on private sector involvement in infrastructure development.

These envisaged accomplishments informed our investigation and evaluation of the project.

As outlined in the scope of work provided, the evaluation objectives are:

- a. To assess the relevance, effectiveness, efficiency and sustainability of the project activities and results against the expected accomplishments;
- b. To determine the benefits, good practices and lessons learned from the project; and
- c. To formulate recommendations relating to the evaluation’s findings, on desired follow-up activities to be undertaken by ESCAP and its partners and recommendations for improving the design and implementation of future projects, in particular those funded by the Development Account

The evaluation was done in reference to the ESCAP M&E system and evaluation guidelines, and any relevant UNEG guidance, where appropriate.

The final deliverables of the evaluation are:

- a. Evaluation Report (following the structure presented in the Annex to the ToR)
- b. Evaluation Brief (2-page summary of the evaluation report)
- c. PPT on the key findings, conclusions and recommendations

The structures of the report as well as the criteria upon which the report will be assessed are outlined respectively in the next section as well as the Terms of reference for this report are outlined in **Annex II**.

The target audience includes ESCAP staff, DA fund manager at DESA and UN General Assembly.

1.3 Scope

The scope of the evaluation sought to analyze and evaluate against five ‘key themes’, which included:

- Relevancy;
- Effectiveness;
- Efficiency;
- Sustainability; and
- Gender

Based on these key themes, evaluation questions were developed and are outlined and expanded on in the table below. These evaluation questions were posed to participants and stakeholders who were able to take part in this assessment, as well as internally posed by the evaluator when assessing relevant outputs and survey results undertaken in conjunction with this project.

Table 1 - Key evaluation questions

KEY THEME	KEY QUESTIONS	EXPANSIONS AND/OR COUNTERFACTUAL
RELEVANCE	To what extent were the project activities and outputs relevant to the project participating member States?	<ul style="list-style-type: none"> • To what extent did the project consult the target countries in designing the project capacity building activities? • To what extent did the project fit with the country priorities?
	To what extent were the project products and services utilized by its primary target beneficiaries?	<ul style="list-style-type: none"> • What evidences exist to demonstrate the project outputs were used by the target countries? • What are/will be the key obstacles to utilize the project outputs?

KEY THEME	KEY QUESTIONS	EXPANSIONS AND/OR COUNTERFACTUAL
EFFECTIVENESS	To what extent has the project been effective in achieving its expected outputs as stated in the project document?	<ul style="list-style-type: none"> • Did the participants find the capacity building activities effective in enhancing their capacities? • What could have been done better to improve the effectiveness of capacity building activities?
	To what extent has the project been effective in influencing policy formulation and building capacity?	<ul style="list-style-type: none"> • What evidences exist to demonstrate the project contributed to policy formulation and capacity building in the target countries?
EFFICIENCY	To what extent has the project been delivered in a cost effective way?	<ul style="list-style-type: none"> • To what extent were resources used in the best possible way to efficiently deliver activities and outputs, in coordination with stakeholders? • How was the project managed in terms of timeliness?
SUSTAINABILITY	What is the likelihood that the benefits of the project will continue in the future?	<ul style="list-style-type: none"> • Have the materials produced by this project been largely disseminated? • What is the accessibility of the materials and expertise following the conclusion of the project delivery phase. • To what extent can the positive outcomes resulting from the project be continued?
GENDER	Were gender concerns incorporated into the design of the project?	<ul style="list-style-type: none"> • Were gender concerns mainstreamed in the project design and implementation? • What opportunities exist to incorporate gender concerns in the project design and implementation?

2. METHODOLOGY

2.1 Methodology

The evaluation took place in Bangkok between July and September 2016. The evaluation was done largely in-situ, and there was no travel to any of the target countries involved.

Main project outputs were provided to the evaluator by UNESCAP. These outputs provided a key reference point to speak to each of the target countries when looking at the “Key Themes” of the evaluation.

The evaluation made use of the following methods of information and data collection and analysis and which were triangulated for purposes of evaluation:

- **Desktop review:** Review of project documents as well as project outputs (workshop documentation, country specific outputs, policy recommendations produced, website outputs and so on). In addition, metrics already developed based on workshop participant surveys were analyzed and external documentation relevant to the scope of work was reviewed.
- **Interviews with stakeholders:** Semi-structured interviews were undertaken following the delivery of this inception report. A list of key stakeholders from across the region was suggested (mainly mid to senior level officials). The interviews were conducted via skype or phone, to save resources. In one case, officials from the Cambodian Ministry of Finance and Economy visited Bangkok, so face to face meetings were able to occur.
- **Quantitative and qualitative analysis:** The evaluation combined quantitative (where relevant) and qualitative assessments, with the balance in favour of the latter assessing the impact the project activities and outputs delivered have had on the participating countries. Qualitative themes were addressed with more detailed expansion questions mainly to ascertain the situation both before and after the implementation of this programme. However, where possible, overt counterfactual questions were asked to attempt to gain a broader base of information for evaluating the project in an attempt to assess outside influences¹.

Differences between this report and the TOR

There were two main changes:

- The original TOR called for a ‘brief’ questionnaire to be undertaken with participants at the workshops and sub-regional forums. As the review progressed however, it was decided to more accurate conclusions could be reached using extensive surveys which were undertaken at the time of these activities, which were based on impressions and opinions which were still fresh in the memory of participants. These surveys taken at the time would also likely have a larger sample size than one conducted remotely. Additionally, interviews with stakeholders were providing sufficient

¹ See discussion in “ESCAP M&E Systems: Monitoring and Evaluation System Overview and Evaluation Guidelines” ‘Planning Evaluations’ pp.16

insight, and as such it was felt that the key questions this report needed to answer could be undertaken without the need of an additional survey.

- The concept of ‘UN System Coherence’ (i.e. “*the extent to which different UN agencies and other development partners have been involved in the design and implementation of the subject of the evaluation*”²) was also analyzed in the context of this report as it became apparent that relationships developed by UNESCAP with other development agencies was one of the key success factors in the delivery of this project.

2.2 Limitations

There were a number of limitations observed both before and during the evaluation phase:

Phone interviews

- Due to budget and time constraints, face-to-face interviews with country counterparts were not possible. As a result, interactions relied on phone interviews via skype or similar platforms. While not in all cases, we found that this interview was not as effective as face-to-face interviews in obtaining information particularly when it came to having in-depth discussions on topic matter. This was particularly evident when we were fortunate enough to schedule a face-to-face interview with officials from the Ministry of Economy and Finance in Cambodia who happened to be visiting Bangkok during the evaluation period. Nevertheless, we think that any disadvantages were marginal, and on the whole the most useful information was gathered via this method.

Lack of field visits

- Related to the previous point, field visits to relevant country counterparts and their organizations were not undertaken. Critically, not being able to visit PPP Units (or their equivalents) to observe the implementation/usage of PPP resources developed by this project impacted our ability to assess aspects, particularly those related to ‘Effectiveness’ and ‘Sustainability’.
- The ability to have field visits would have also allowed a broader group of stakeholders to be approached and spoken to, allowing a broader diversity of views.

Base line indicators

- Although there are indicators of achievement providing useful information with regard to the project results, there are no base line indicators available to evaluate relative impacts of the project outputs in each country.

Differing levels of PPP Development

- The varying levels of PPP Development, and indeed with officials, in each of the countries targeted by this project also provided a level of limitation to this project. This led to the same questions being interpreted in different ways, depending on the level and experience of the country and/or officials we spoke to. In simple terms, those who were less experienced in PPP’s also tended to give less complex analysis of their experiences making probing questions more difficult.

² As defined in the UNESCAP evaluation report template

3. FINDINGS

This chapter provides the findings of the evaluation in accordance with the evaluation criteria and questions.

3.1 General

Project overview

As outlined in earlier sections of this review, the broad aims of this project were to deliver the following:

- Enhanced capacity of government officials to establish effective PPP policy frameworks for infrastructure development projects.
- Enhanced capacity of government officials to identify, develop and manage PPP infrastructure projects.
- Improved access to information and knowledge on private sector involvement in infrastructure development.

As discussed however in the ‘limitations’ section of this report, each of the target countries were at different points along the PPP capacity path. This led to the need for a tailored approach for each of the individual countries with a combination of reports, PPP tools (both manual and online) as well as workshops and seminars which were developed by either external consultants and via tools already developed by other UNESCAP initiatives. The activities physical outputs are outlined in **Table 2** below, while preparatory meetings as well as project seminars and workshops around outlined in **Table 3**.

Table 2 - Project outputs

TARGET COUNTRY	WORK OUTPUT
Bhutan	<ul style="list-style-type: none"> • “Review of draft PPP Policy of Bhutan”, which includes a report containing an in-depth review of the draft PPP Policy with detailed comments as well as a list of recommendations and proposed key amendments for the government of Bhutan • “Final Report - Screening of Projects and Preparation of Outline Business Cases for PPP Projects in Bhutan” • Dedicated PPP knowledge portal (http://www.ppp.gov.bt)
Cambodia	<ul style="list-style-type: none"> • “Public-Private Partnerships (PPP) Procurement Manual” delivered to the Ministry of Economy and Finance • Dedicated PPP knowledge portal (http://www.ppp.mef.gov.kh/)
Laos	<ul style="list-style-type: none"> • Training materials and case-based exercises to implement projects under the new PPP framework (i.e. “Decree on Public Private Partnerships in the Lao PDR”) • Additional content added to the portal already existing in Lao PDR (http://www.investlaos.gov.la/index.php/public-private-partnership)
Myanmar	<ul style="list-style-type: none"> • “Myanmar Public-Private Partnership Policy Document (Final Draft)” (including a Legal Review of PPP-related issues) delivered to the Ministry of Planning and Finance - Republic of the Union of Myanmar • Dedicated PPP knowledge portal (http://www.pppmyanmar.gov.mm/)

TARGET COUNTRY	WORK OUTPUT
All countries	<ul style="list-style-type: none"> • "E-Learning Series on Public-Private Partnerships" developed by UNESCAP and available at: http://www.unescap.org/our-work/transport/financing-and-private-sector-participation/public-private-partnership-course Available in English, Khmer and Burmese - A PPP awareness exam and certification has also been developed complementing the E-learning Series; • A series of PPP Case Studies related to projects in the Asia-Pacific region; • A "Qualitative Value-For- Money Toolkit" to support Governments in early stage identification and selection of projects suitable to be delivered on a PPP basis; • Project Structuring Options and Model Agreement in relation to the development of dry ports

Also, meetings and workshops have been undertaken, including those in the following locations:

Table 3 - Meetings and Workshops

BACKGROUND	LOCATION
Preparatory missions conducted in each of the targeted countries	<ul style="list-style-type: none"> - Thimphu, Bhutan; 25-26 February 2014 - Vientiane, Lao PDR; 13-14 March 2014 - Naypyidaw, Myanmar; 26-28 March 2014 - Phnom Penh, Cambodia; 28-30 April 2014
National PPP Forum held in each of the targeted countries	<ul style="list-style-type: none"> - Thimphu, Bhutan; 20 Aug. 2014 - Vientiane, Lao PDR; 16 Sep. 2014 - Naypyidaw, Myanmar; 27 Nov. 2014 - Phnom Penh, Cambodia; 12 Dec. 2014
Meetings organized to progress with the finalization of the policy documents under development	<ul style="list-style-type: none"> - Phnom Penh, Cambodia; 10-11 March 2015 - Thimphu, Bhutan 24-26 March 2015 - Naypyidaw, Myanmar; 1 Oct. 2015 - Phnom Penh, Cambodia 26 January 2016 - Naypyidaw, Myanmar; 17 March 2016
Capacity building workshops organized	<ul style="list-style-type: none"> - Thimphu, Bhutan; 19 Aug. 2014 - Vientiane, Lao PDR; 15 Sep. 2014 - Naypyidaw, Myanmar; 26 Nov. 2014 - Phnom Penh, Cambodia; 11 Dec. 2014 - Vientiane, Lao PDR; 26-27 August 2015 - Naypyidaw, Myanmar; 29-30 September 2015 (organized with the support of the Dutch government) - Bangkok, Thailand; 21-25 March 2016 - Bangkok, Thailand; 24-26 May 2016 - Bangkok, Thailand; 26-27 April 2016 - Naypyidaw, Myanmar; 15-16 June 2016
Regional and subregional workshops	<ul style="list-style-type: none"> - Regional meeting organized in Bangkok on 21-22 January 2015; - Subregional meeting organized in Kathmandu, 22-23 September 2015; - Subregional meeting organized in Kuala Lumpur, 24-25 November 2015;

3.2 Performance assessment

In this section, we assess the key themes. They will be assessed as being one of “Very High”; ‘High’; ‘Medium’; ‘Low’ and ‘Very Low’. The assessment of these levels of attainment is inherently subjective, however we will attempt to wherever possible back up our assessments with quantitative and qualitative data wherever practical.

One area where this is practical is the participant feedback that was taken at the workshops (see **Table 3**). The survey was completed by 261 participants over nearly all of the seminars and workshops held as part of this project³. Their responses are outlined below in our discussion on key themes. Using this data for analysis is highly useful as it was gathered at the time of the meetings/workshops and gives a relevant and time-appropriate insight into the projects level of attainments against the key themes.

3.2.1 Relevance



KEY REASONS:

- In depth-consultation with target countries
- No ‘one size fits all approach’
- Tailored outcomes, particularly evident in Bhutan and Cambodia
- Where possible, willingness to work with other development agencies as part of a broader thematic approach to PPP development.
- Key materials available in English, Khmer and Burmese.

The assessment against the relevance criterion refers to the consistency of intended objectives (of a sub-program or theme) or outcomes (of a project) with ESCAP’s priorities, governments’ development strategies and priorities and requirements of the target groups. In the context of this project, the following questions were asked to determine the relevance of the workshops, forums and outputs to each of the target countries.

KEY QUESTIONS	EXPANSIONS AND/OR COUNTERFACTUAL
To what extent were the project activities and outputs relevant to the project participating member States?	<ul style="list-style-type: none"> • To what extent did the project consult the target countries in designing the project capacity building activities? • To what extent did the project fit with the country priorities?

³ No data was available for meetings in Bhutan which took place in August 2014

Notwithstanding the normal evolution of government policy towards or away from certain areas of focus, there is a large body of evidence to suggest that this project was highly sensitive and responsive to the needs and priorities of each of the target countries. A consistent theme emerges at all stages of our assessment: in interviews; in reviewing the differing actual project outputs for each country and in the statistical satisfaction levels of each of the participants

Extensive external and in-country liaison

All officials and stakeholders we spoke to stated that there was a **HIGH** level of consultation prior to the rolling out of this project. It was made very clear during interviews that UNESCAP had undertaken significant liaison with a range of internal stakeholders at country level as well as with external stakeholders with many other developmental partners, including by not limited to the ADB, PPIAF, IFC, JBIC, PIMAC, Dutch Government and the World Bank.

This external liaison allowed for UNESCAP to develop a very detailed picture of key stakeholders in each of the relevant countries to be approached as well as an excellent understanding of where each of these countries were in their levels of PPP capacity development and needs, which varied significantly between each of the target nations. This external liaison also allowed for UNESCAP to understand what other developmental agencies were providing, so that whatever eventual outputs were planned, UNESCAP’s outputs would either complement existing work, or take forward work that had already been done by others.

As such, there was no general ‘one-size fits all’ approach. Interview responses with national stakeholder agencies also confirmed that this was UNESCAP’s approach, and that UNESCAP made clear their goals in this area, as well as what resources could be developed given relative constraints.

Figure 2- Examples of country priorities and UNESCAP’s response

Our interviews were focused on determining if during the design phase of the project there had been sufficient interaction with UNESCAP. Each nation’s needs differed however, necessitating a tailored approach of each country. For instance, **Myanmar**, which amongst the participants was the least developed in terms of PPP knowledge base, had a base-line review of laws and regulations developed to help officials triangulate and determine key areas on reform.

The MPI in **Laos** outlined that at their general level of development, capacity building should focus on ‘high level’ understandings of PPP given their early stage development in this area. The country for instance, did not yet have either the regulatory or institutional framework – particularly as relevant legislation was still only in development and had not been passed by the national assembly. As such, the training workshops were seen as the most effective and relevant for Laos to help staff understand PPP’s at a conceptual level, if not a truly practical level, in an environment where senior officials at a Ministerial level are still not genuinely aware of PPP.

In addition, assistance was provided by UNESCAP to review and make suggestions to the countries draft PPP Decree (**“Decree on Public Private Partnerships in the Lao PDR”**) which had been developed by the ADB, such that it would be ready for submission to the National Assembly as soon as enabling legislation had been incorporated into amendments to the country’s Investment Promotion Law.

Cambodia on the other hand, was in some ways further along the PPP development path with a higher level of political attention paid to the need for PPP’s. The country itself had had a Decree on Concessions passed in 2007 but the development of sub-decrees took the better part of the next 10 years to develop. Internal government concerns in 2011 about the impact of public debt led the country to reach out to the ADB on how to improve the situation, with one of the recommendations being for Public-Private Partnerships to be considered and in 2014 the Minister of Economy and Finance asked for a PPP Framework to be developed and had actively started down that path with assistance from the IMF and ADB.

As such UNESCAP’s approach to the MEF came “just at the right time” according to officials interviewed for this evaluation report. The production and discussions were held between the two parties, looking at the existing Cambodian legislative framework (including the Law on Concessions and Procurement). Based on this examination of the legislative framework, the Cambodian MEF saw that the assistance of UNESCAP could be useful in developing a country specific practical handbook/manual for PPP Procurement (as opposed to a report with broad ‘recommendations’) given that the current Law on Procurement allowed for separate PPP arrangements.

So in addition to general PPP training and the PPP web portal and country specific workshops and training, the procurement manual was seen as another useful building block for Cambodia’s PPP development.

Similar to Cambodia, **Bhutan’s** participation came at a time when other funding from the IFC and World Bank had dried up, and UNESCAP’s outputs for this country reflected the desire of the country to actually start looking at potential projects, assessed against a PPP screening criteria.

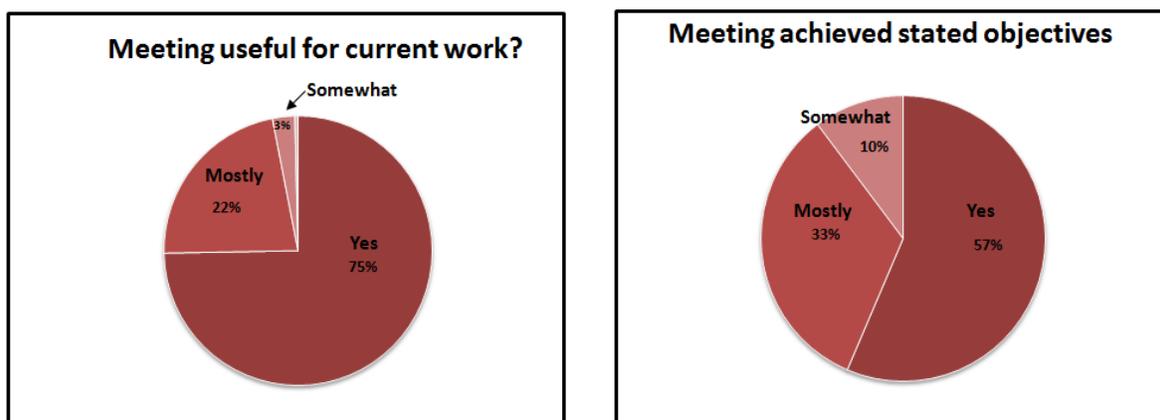
The result of this consultative process was a set of individualized project outputs specific to each target country’s particular needs at the time of consultation. Excluding dedicated PPP knowledge portals and associated capacity training workshops (see **Table 2**), this included:

- Bhutan:**
 - “Review of draft PPP Policy of Bhutan”
 - “Final Report - Screening of Projects and Preparation of Outline Business Cases for PPP Projects in Bhutan”
- Cambodia:**
 - “Public-Private Partnerships (PPP) Procurement Manual” delivered to the Ministry of Economy and Finance
- Laos:**
 - Training materials and case-based exercises to implement projects under the new PPP framework (i.e. “Decree on Public Private Partnerships in the Lao PDR”)
 - Review of the Decree on PPP Partnership
- Myanmar**
 - “Myanmar Public-Private Partnership Policy Document (Final Draft)” (including a Legal Review of PPP-related issues) delivered to the Ministry of Planning and Finance - Republic of the Union of Myanmar

Based on our feedback from key stakeholders in each of the countries, these outputs were developed in close consultation with them, leading to our conclusion that there was a high degree of ‘fit’ with country priorities at the time of consultation and delivery.

The theme of ‘Relevance’ is further enforced by statistical data based on workshop attendance where 87% of attendees found the meetings and workshops either entirely or ‘mostly’ useful for their current work and where 90% of participants decided that the meetings they attended either entirely or ‘mostly’ met the stated objectives of enhancing government officials capacity in the area of PPP’s. No attendees indicated the workshops were of no use to them.

Figure 3 – Relevance of workshops to participants’ expectations and current work

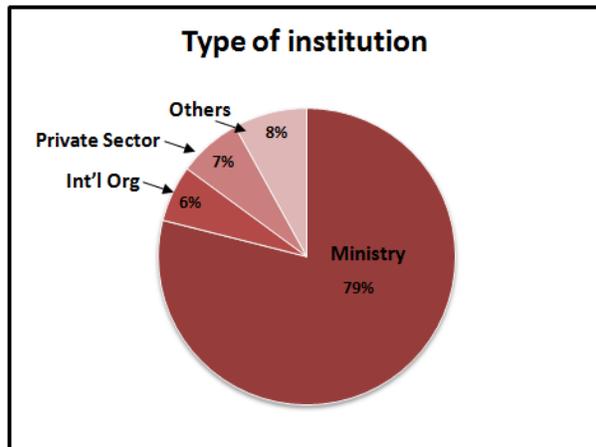


KEY QUESTIONS	EXPANSIONS AND/OR COUNTERFACTUAL
To what extent were the project products and services utilized by its primary target beneficiaries?	<ul style="list-style-type: none"> • What evidences exist to demonstrate the project outputs were used by the target countries? • What are/will be the key obstacles to utilize the project outputs?

Types of institutions attended

Each of the target countries held PPP Training workshops which included detailed and interactive training on the PPP process as well as the utilization of a UNESCAP/UNECE developed ‘PPP readiness tool’ which was designed to be an interactive and ‘hands on’ method of assisting countries to assess their PPP abilities. In terms of the extent to which the project products and services utilized by its primary target beneficiaries (i.e. government officials), **Figure 4** below suggests that a high number of the participants were indeed from government.

Figure 4- Source of participants at all workshops and forums



Reflecting the goals of this project to work with and enhance the capacity of government officials, across all workshops and forums held, a large number (79%) or 206 of 291 participants surveyed were identified as being from government.

When broken down further, based on officials who attended at country specific workshops (and excluding sub-regional workshops in Bangkok, Katmandu and Kuala Lumpur), the results are generally higher (between 79% and 89%).

This data, when combined with data already presented in **Figure 3** clearly suggest that the audience for the workshops and regional sub-forums were government officials working in areas related to PPP's.

With respect to physical reports and outputs produced by this project, it becomes more difficult to measure using quantitative measures as to how they were used though the PPP Policy was in Bhutan was formally approved and the Lao PDR is expected to enact a PPP Decree in the coming months while the Procurement Manual developed in Cambodia is integrated into the ADB assistance that just started (see **Figure 8** for more details). With regard to Cambodia, an official letter from the Government also confirmed that the outputs produced "will certainly play a significant role in the implementation of PPP projects in the country." It also is clear from our discussion earlier that all the outputs were produced as a direct request from each of the target countries and as a result, materials such as these would be useful and used.

Figure 5 - Examples of output use and obstacles at a country level

From a macro perspective, interviews with officials assist to demonstrate how physical project outputs were used by the target countries.

Officials from **Laos** for instance have stated that their training and knowledge developed during this capacity building program has allowed them to educate ministers (as well as to defend and advocate for PPP's) in amendments to the Investment Promotion law which is looking to be passed at the time of writing of this report. And though this relates partly also to other areas of assessment (e.g. 'Sustainability' and 'Effectiveness') **Lao** officials hold high hopes that the Draft PPP Decree which was reviewed as part of this project can be introduced for consideration immediately after the passing of amendments to the Investment Promotion Law.

While the outputs developed for each country were judged as very relevant by recipients, country stakeholders we spoke to also stated that difficulties remain in utilizing projects outputs arising from target governments themselves.

The example from one of the lesser advanced PPP jurisdictions such as **Myanmar** was also illustrative of the obstacles which arise when dealing with governments only at the very beginning of the learning curve on the issue. As such, even though there are projects in the pipeline which require private sector participation⁴ there is the expectation from officials we interviewed that official responsibility and oversight for PPP policy development may change hands there as the civil service expands and is re-organized given the recent elections and opening of the country. While this is not unusual, it will make it more difficult for outputs to gain traction as officials’ attentions and responsibilities shift as the Myanmar government looks to increase capacities of *all* its government capabilities, and as a result PPP’s will inevitably have to compete with these other important policy agenda’s.

Experiences from **Bhutan** demonstrate both how project outputs have been used but also the obstacles which exist. One of the key outputs for this country “*Final Report - Screening of Projects and Preparation of Outline Business Cases for PPP Projects in Bhutan*” reviewed and judged a range of potential PPP projects. While the review set out its views on projects which should be more highly prioritized, evidence suggest that work has gone ahead instead on projects which received lower ‘prioritization’ scores in this assessment – namely inland ‘dry port’ projects. Interviews suggest that government decided to go ahead with these projects nevertheless, given there was a strong desire by senior officials by government to pursue a trade facilitation agenda. Additionally, specific funds for these projects had also been granted by external development agencies such as the IFC. This example reflects a broader range of external challenges mostly outside the control of UNESCAP, but nevertheless impact on the ability of its work to be used in a productive manner.

⁴ These include: Rehabilitation and maintenance of airport facilities at the Mandalay International airport and the proposed construction of a new airport approx. 70 km northeast of Yangon; The Myingyan 250MW gas-fired power project and in Special Economic Zone with three zones under development.

3.2.2 Efficiency

The assessment against the efficiency criterion refers to the extent to which human and financial resources were used in the best possible way to deliver activities and outputs, in coordination with other stakeholders.



KEY REASONS:

- Program delivered all planned outputs
- External delays meant that a 6 month extension was necessary, but could have easily been longer
- From recipients perspective, outputs largely delivered in good time for internal needs
- Project management of the project well appreciated by stakeholders
- Synergies with other development agencies and PPP practitioners exploited
- Use of internally developed UNESCAP tools
- Expenditures came in under budget

KEY QUESTIONS	EXPANSIONS AND/OR COUNTERFACTUAL
To what extent has the project been delivered in a cost effective way?	<ul style="list-style-type: none"> • To what extent were resources used in the best possible way to efficiently deliver activities and outputs, in coordination with stakeholders? • How was the project managed in terms of timeliness?

Planning and advocacy

The planning and management of this project were undertaken by the Transport Division of UNESCAP. Execution was led by the Economic Affairs Officer from this division. The budget spent for this project was approx. US\$550,000 to undertake all the reports outlined in **Table 2 - Project outputs** as well as the activities outlined in **Table 3 - Meetings and Workshops**.

As outlined in **Table 3 - Meetings and Workshops**, preparatory missions and national PPP forums were held in each of the target countries between February and December 2014. These meetings appear to be a part of a well structured and executed strategy where preparatory missions were used to begin initial formal consultations with each of the target countries, while the National PPP Forums were used as a further platform to determine the capacity building requirements of member States for UNESCAP expertise and support. This is in addition to what we understand to be extensive canvassing with external development bodies such as the ADB, APN and World Bank prior to initial approaches to the

target countries, and which helped inform internal ESCAP deliberations on who would be the most appropriate stakeholders to involve.

Challenges

There was raft of challenges that the project managers were forced to deal with during the implementation and delivery of this project. Most were externally driven, but some were internal to the UN. These included:

- Funds for the DA project arriving 11 months later than envisaged;
- Lengthy internal approval processes at country level;
- Lack of in-country consultants with PPP experience;
- Varying levels of PPP development;
- Political unrest in Bangkok in late 2014; and
- Internal UN IT and procedural issues due to new IT systems.

The challenges of these obstacles was met in a variety of ways, including phasing project outputs to maximize impacts, reorganization of activities and events, hiring consultants from neighboring countries to at least provide regionally relevant training. Nevertheless, this was a long process. Focused efforts with target countries also meant that in country delays were minimized.

Despite all of these challenges, only a 6-month extension was required, and all outputs were successfully delivered.

Exploiting synergies, delivering niche outcomes

Though we lack any baseline comparisons, nearly all stakeholders interviewed recognized that budget and resources available to UNESCAP for this project was limited, thus restricting the scope of deliverable outputs. A number of strategies appear to have been deployed to maximize the impact of this project, given these constraints.

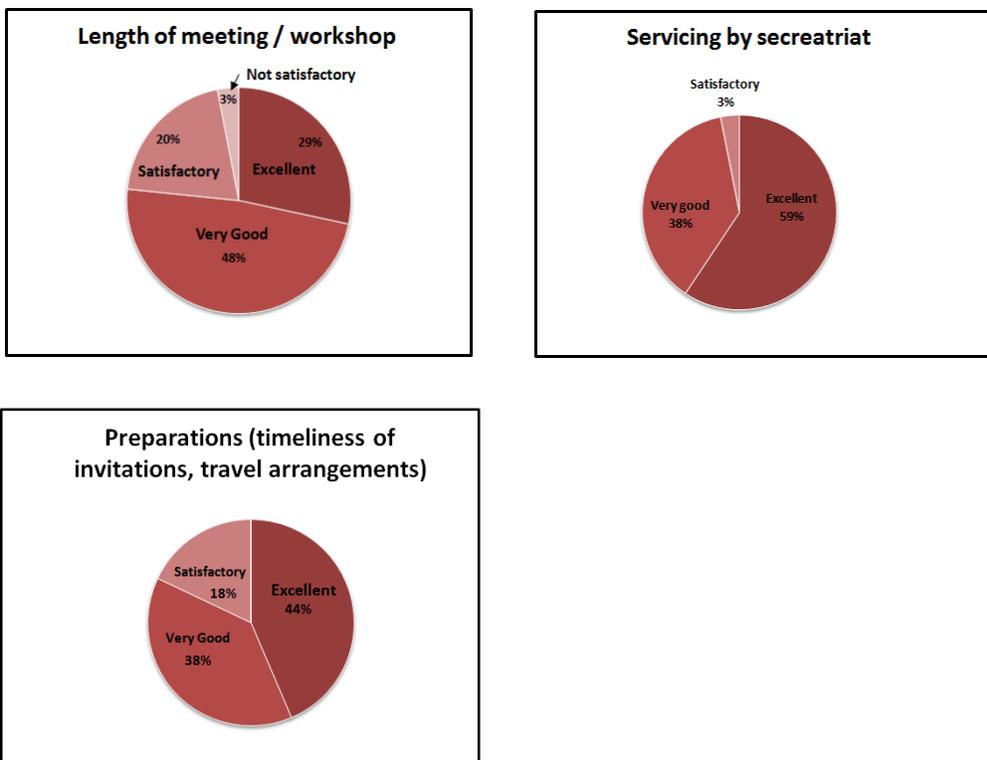
- Leveraging the '*PPP Readiness Tool*' which we understand had been developed internally allowed UNESCAP to provide a useful deliverable to target nations with very little new development cost. In addition, case studies were produced internally through collaboration between interns and the UNESCAP project manager as an efficient way of limiting costs.
- A restricted budget for consultants meant that careful planning and consultation went into the development of targeted 'niche' outcomes and deliverables for each country. While some practitioners were hopeful of a more comprehensive capacity building program, what was delivered was assessed by recipients to meet a real need.
- Training was also delivered by the UNESCAP Project Manager, rather than being outsourced. A comprehensive online training program was also developed to provide member states with a flexible and cost-efficient way of building capacity while reaching out to a large number of people.

- UNESCAP also leveraged resources and assistance from different organizations where possible. This included the Dutch Government, ADB, Thai Government and Myanmar governments who provided a range of in-kind support or shared facilities

Workshop and Regional Sub-forum delivery assessment

Statistical feedback following the conclusions of forums suggests that the delivery of this portion of the deliverables was done in a highly effective manner. In all cases, more than 75% found the length of meetings, servicing by the secretariat and logistical preparations were deemed either 'Excellent' or 'Very Good'. This is supported by anecdotal feedback gained during interviews with participants.

Figure 6 - Efficiency of workshop and forum delivery



Budgetary analysis

Review of the project finances reveals a strong ability to producing outputs under budget, reflecting efficient project management. Overall, the project delivered all outputs for 79% of the original expected budgeted cost. Savings were made in all categories. Budgeting for small items (e.g. supplies materials) weren't allowed for in the original budget, however eventual spending in these areas was minimal relative to the entire project expenditures. In total, the project came in 21% under budget, as is outlined in the next table.

Table 4 - Actual vs. budgeted expenditures

Description	Budget/ Allotment (USD)	Total Expenditure (USD)	Expenditure difference on budget (%)
Consultants and Expert Groups	238,000	231,258	-2.8%
Travel of staff	68,000	31,308	-54.0%
Contractual services	50,000	45,887	-8.2%
Operating expenses	5,000	2,900	-42.0%
Supplies, Materials etc.	0	180	n/a
Fellowships, grants and contributions	330,000	234,374	-29.0%
Total	691,000	545,907	-21.0%

A number of factors were identified as to how these overall cost efficiencies were achieved:

- Advanced discussions with target countries referencing budget limitations allowed a high level of 'controlling expectations' with respect to the support they could receive from consultants.
- Savings came from staff travel as several missions were undertaken by only one ESCAP staff member instead of two (as initially planned); and
- National workshops cost less on average less than the \$15,000 initially planned due to the provision of 'in-kind' support. For example, Myanmar hosted several meetings on Ministry premises, leading to cost reductions.

3.2.3 Effectiveness



KEY REASONS:

- 'Hands on' workshops applauded by stakeholders as a way of building 'real world' experience
- Helped further fine tune knowledge of what PPP's are
- Focused and relevant 'niche' outputs more likely to be used
- Outputs seen as substantive building blocks (e.g. Cambodian Manual, Bhutan Cabinet Approval, Lao PPP Policy Draft ready for submission)
- Innovative online delivery porthole
- More broadly, increased knowledge allowed better internal advocacy
- 'Katmandu Statement' and 'Kuala Lumpur Statement' on PPP's

HOWEVER:

- In Laos, lack of local language facilitators hindered understanding
- Difficulties in raising market interest for projects in least developed countries mean that challenges will persist in implementing PPP's.

The assessment against the effectiveness criterion refers to the extent to which the expected objectives or outcomes have been achieved, and have resulted in changes and effects, positive and negative, planned and unforeseen, with respect to the target groups and other affected stakeholders.

KEY QUESTIONS	EXPANSIONS AND/OR COUNTERFACTUAL
To what extent has the project been effective in achieving its expected outputs as stated in the project document?	<ul style="list-style-type: none"> • Did the participants find the capacity building activities effective in enhancing their capacities? • What could have been done better to improve the effectiveness of capacity building activities?
To what extent has the project been effective in influencing policy formulation and building capacity?	<ul style="list-style-type: none"> • What evidences exist to demonstrate the project contributed to policy formulation and capacity building in the target countries?

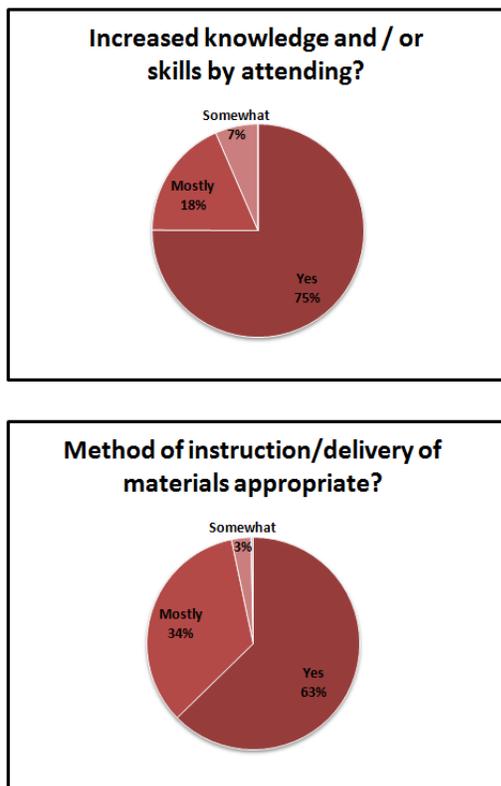
One of the challenges which exist in PPP capacity building is the change in mindset needed amongst officials that a PPP isn't simply (or exclusively) another way to contract out large mega infrastructure projects. Rather, PPP's can provide scope for the broader provision of public services and that the private sector can, for instance, via PPP's assist in the provision and management of certain government

services facilities (eg. schools, courthouses) while allowing the government to focus on the delivery of the actual provision of service within these facilities. Also it is important for countries to understand that using a PPP structure does not mean that public infrastructure services will be provided "for free" and that a project must have a commercially-viable business case for the private partner. This means that users and/or tax payers have typically to pay for the project to be delivered profitably by a private company.

This change of mindset does not happen overnight, and is a rather incremental process, particularly in countries which have traditionally seen the provision of these facilities, if not services, as the sole remit of government. As such, assessing 'effectiveness' of a PPP capacity building program is judged within the broader context of changing well-established mindsets.

PPP Readiness Tool and Training materials

Figure 7 - Effectiveness of capacity training



One of the key outputs of this project was the delivery of workshops and seminars, which included implementing exercises utilizing the 'PPP Readiness Tool'⁵ as well as modules taking practitioners through the PPP's⁶ and which incorporated case studies and exercises for participants.

From a quantitative perspective, participants found the workshops and regional sub-forums and capacity building activities effective in enhancing their capacities.

Approximately 75% of participants at these workshops and seminars found that they had increased knowledge and skills following attending this seminar.

A large majority of participants (97%) also found that the method and delivery of materials to be well suited or mostly well suited for this type of capacity building.

A further insight is also provided from the usage of the online training resources provided as part of this project. The PPP e-learning program, which was developed as part of this project has been used 30,000 times since its launch in April 2015⁷.

⁵ <http://www.unescap.org/resources/ppp-readiness-self-assessment>

⁶ <http://www.unescap.org/our-work/transport/financing-and-private-sector-participation/public-private-partnership-course>

⁷ This figure as of 30 August 2016 – based on the number of people accessing videos produced by UNESCAP for this project

This high level of access also reflects ease and accessibility the online tools have provided to users not only in the target countries, but also further afield. From a UNESCAP perspective, these online tools reflect a level of innovation perhaps not seen in the deliverance of training programs before at the organisation (particularly for PPP’s). More broadly, these online tools have the potential to indirectly build up UNESCAP’s credibility in the delivery of PPP capacity building given the online presence this project has created.

Evidence demonstrating the project contributed to policy formulation and capacity building

In addition to physical outputs developed as part of this project (see **Figure 8 - Influences on policy formulation and capacity building**), the project also was successful in achieving consensus amongst high level policy makers on the need for PPP’s and steps on moving towards definitive outcomes amongst target countries.

These intentions were developed and agreed to at two separate meetings, namely the “*Policy Dialogue on Public Private Partnerships (PPP) for Infrastructure Development in South Asia*” held in Katmandu from the 23rd to the 25th of September 2015⁸ and the “*Sub-Regional Expert Group Meeting (EGM) for South East Asian Countries Financing Sources for Public Private Partnerships (PPPs)*” held in Kuala Lumpur between the 24th and 25th of November 2015⁹. These meeting respectively produced statements titled as:

- “The ‘Kathmandu’ Statement on PPPs for Infrastructure Development in South Asia”; and
- “The ‘Kuala Lumpur’ Statement on Financing Sources for PPPs in South East Asia”

Figure 8 - Influences on policy formulation and capacity building

In **Cambodia**, officials viewed the development of a “*PPP Procurement Manual*” a necessary ‘next step’ in their plans to develop PPP Capacity¹⁰. A practical manual was seen as useful as it would be one of the working tools ready for use by officials (in a yet to be established PPP unit) in anticipation of the 2016-18 review and amendments to the Law on Concessions, which would see that law converted to a Law on Public-Private Partnerships. The manual on procurement would also complement other PPP tool kits the MEF is looking to develop, including those on Funding; Project Feasibility; and Contract Management & Supervision. In this respect, the Qualitative Value-For- Money Toolkit developed under this project was considered as very useful by the Cambodian representatives who considered it as a great input for the development of the Cambodian PPP Project Selection guidelines.

Bhutanese officials stated that this project has influenced policy formation and capacity. The “*Review of draft PPP Policy of Bhutan*” was part of UNESCAP produced key recommendations for changes to draft

⁸<http://www.unescap.org/sites/default/files/PPP%20Policy%20Dialogue%20-%20Finalized%20Policy%20Recommendations.pdf>

⁹<http://www.unescap.org/sites/default/files/Policy%20Recommendations%20-%20Kuala%20Lumpur%20PPP%20Event%20-%20Final.pdf>

¹⁰ though they did state that it is likely to be further developed by the Asian Development Bank

PPP Policy that had previously been developed for Bhutan by the World Bank. Officials interviewed for this evaluation report found that the UNESCAP had to help further synthesize and fine tune the PPP draft policy, taking it a step forward from where it had been, and making it more accessible to Bhutanese officials and policy makers. It has been acknowledged that that UNESCAP were instrumental in helping Bhutan in finalizing their PPP Policy, which was later approved by the Cabinet on 1 March 2016.

The PPP Training and Readiness Toolkits were also noted as being extremely useful to Bhutanese officials. The Readiness Toolkit firstly helped them identify key areas needing improvement, whether from a capacity, institutional or policy perspective. The practical nature of workshops, as well as the accompanying training materials also gave confidence to officials that they had the capacity to deal with the private sector in discussing PPP's, particularly given Bhutan had the benefit of UNESCAP hiring a senior partner from Ernst and Young who was involved in the deliverables there.

However, officials we interviewed also stated that gaining interest from the private sector in some of the projects assessed was challenging, and thus expected that external investment from agencies such as the IFC or ADB would be necessary for some time yet.

As discussed previously **"Figure 5 - Examples of output use and obstacles at a country level"** the example of **Laos** was given where officials saw their training and knowledge gained from PPP Training as something which has helped them advocate internally for PPP's at a policy level. Based on interviews with stakeholders there, this increased capacity has had a real influence on policy given it has created momentum to introduce the PPP draft law for consideration following the amendments to the Law on Investment which are due to pass the National Assembly at the time of writing.

Improvements to delivery of capacity building activities

While it might be expected that Lesser Developed Countries with ambitious policy goals invariably find some forms of frustration with capacity building activities of external agencies, there were very few recommendations for improvements from practitioners. All countries were complimentary of the highly consultative approach which was taken in developing the final delivered outcomes, which allowed each of the countries to meet a specific need, albeit within the restrictions of a limited budget. Furthermore, given that budgets were limited, there was an appreciation of the ability to provide practically focused outcomes—even if they were of a limited nature.

While all countries were also complimentary of the practical training in workshops, there were a small number of potential areas in which stakeholders suggested improvements could be made. These included:

- While certain portions of the training materials were translated into local languages, the stakeholders in Laos noted that these materials were not available to them, so their officials suffered somewhat due to language difficulties.¹¹ We note however that simultaneous

¹¹ However we note at the time of writing that UNESCAP has indicated that PPP training modules have been translated into Laotian but could not be finalized as only partial feedback was received from the country.

translation services were provided during workshops undertaken in Cambodia and Myanmar, in addition to materials being translated for those countries.

- Related to this point, it was noted that increased effectiveness might be able to be attained if local language trainers were also employed. While this suggestion was made with the caveat that these trainers might not always be available in each of the countries, it was something which could add to the effectiveness of delivery. With this objective in mind, a "Training-of-Trainer / Capacity Building" workshop was organized towards the end of the project to develop in participating countries a pool of qualified local trainers who can organize national training courses to disseminate at the local level the knowledge. However, this activity relied on each target country to supply potential local trainers and it is not yet clear if follow-on in-house training at a country level has started.
- Where the restricted budget became a concern was when it impacted on delivery. Officials from Cambodia suggested that a smaller budget meant that individual consultants had to deal with many different policy areas within PPP, where as they ideally would have preferred complimentary sets of consultants able to deal with a larger portion of the PPP policy spectrum.

3.2.4 Sustainability

The assessment against the sustainability criterion refers to the likelihood that the positive effects of the sub-program, theme or project will continue in the future.



KEY REASONS:

- Key outputs in certain countries used as key building blocks in developing PPP institutional and capabilities. Will allow for country based ownership.
- Website, online training established with local language capability. Low cost and easy to continue to support with little outlay
- Targeting mid-level officials will mean that the concept can gain more prominence as they develop seniority

HOWEVER:

- Though not a designated output for this project, it became evident to many stakeholders that some form of regional PPP network would be useful way to maintain momentum in the region. To create such PPP network will require ongoing commitment from UNESCAP or other organization to support
- While training capacity currently exists internally at UNESCAP, this is not guaranteed for the future.

CRITICAL TO A 'HIGH' SUSTAINABILITY RESULT:

- Ongoing capacity building after termination of this project should be maintained/reinforced. Otherwise advocacy opportunities will be limited and awareness of online tools will begin to drop.
- Without external momentum, establishment of formal PPP Units at the country level will be delayed, increasing the potential there will a dilution of skills and knowledge.

KEY QUESTIONS	EXPANSIONS AND/OR COUNTERFACTUAL
What is the likelihood that the benefits of the project will continue in the future?	<ul style="list-style-type: none"> • Have the materials produced by this project been largely disseminated? • What is the accessibility of the materials and expertise following the conclusion of the project delivery phase. • To what extent can the positive outcomes resulting from the project be continued?

National Ownership

A key marker of sustainability is the level of national ownership of the final products and outcomes of the capacity building project, which allows the use of the outputs to be taken forward under internal momentum wherever possible. Another critical driver of national ownership is also that there exists a national demand for outputs developed under any capacity building assistance.

This evaluation report has already discussed in-depth the high level of consultation undertaken with stakeholder countries in the process of developing the tailored outputs in this project. This is particularly the case for outputs in Cambodia, Laos and Bhutan. Though they weren’t drafted by the national governments themselves, the concept for them was developed in close partnership, and these outputs will be used in most cases to directly continue internally driven advocacy and capacity building efforts. To recap these included:

- Cambodia**
 - Procurement manual seen as one critical part of a localized PPP methodology which need to be developed in anticipation of the new PPP Law by 2018
- Laos**
 - Revisions of the Draft PPP Law mean it will be ready to be put forward for consideration by the end of 2016
- Myanmar**
 - Myanmar PPP Policy Document providing a roadmap for PPP development in the country
- Bhutan**
 - Review of Draft PPP policy assisted in PPP policy document being finalized and approved by the Cabinet on 1 March 2016;
 - Screening of potential projects lays the groundwork for internal evidence based advocacy within government for PPP projects

Material dissemination

As noted earlier, the workshops and sub-regional forums have allowed more than 200 mainly government officials to attend well received workshops. All the materials presented during these events have been published online for future reference.

Stakeholder interviews have noted that these government participants were mainly mid-level officials, which is a critical achievement of capacity building training given that both substantial understanding of PPP as well as ‘practical’ hands on training has been undertaken by those who will continue to rise

through the ranks of their bureaucracies, and with that, are able to further influence the development and shaping of PPP Policy.

The online dissemination of interactive training has been one of the strong outcomes of this project. As has also been referenced, online training has been accessed 30,000 times up until 31th August 2016. This indicates that there exists a strong continued demand which has been met and continued to be met up to a certain level.

Can the positive outcomes resulting from the project be continued?

While we have indicated above that outputs from this project have made important contributions to *institutional* aspects of PPP development (i.e. policy approval, useable legislative templates and PPP tools) particularly for **Bhutan, Cambodia and Laos**, we note that this isn't always the case.

For **Myanmar**, we detect from stakeholder interviews, following their recent opening and their very early stage levels of development across all fields of policy development (and not just PPP's) that developing national ownership of this issue is somewhat more challenging than in other jurisdictions targeted. And while the development of a 'PPP Policy Document' (which included a first of its kind review of the existing legal framework in Myanmar) was no doubt a well-received output, it is likely to be one of many done by a range of different development agencies for the country as it slowly develops and reforms its long isolated civil service.

The country however is benefiting from a range of international development partners currently focusing on PPP's, so within that context, there exists an external momentum for further and continued advocacy from other agencies.

But the ongoing issue of 'next step' capacity building still remains, and while there will exist a legacy of readily accessible online knowledge to supplement training already given in these workshops, many other gaps and 'next steps' remain also, particularly in the creation of further institutional framework tools (e.g. manuals, implementing sub-decrees) as well as ongoing capacity training. The development of these tools allows for ongoing advocacy at a country level, which is critical to help move PPP Policy agendas forward.

While we have rated the 'effectiveness' of UNESCAP's delivery quite highly, based on interviews with multiple stakeholders, many did detect that UNESCAP's ability to be a key champion of PPP's for their countries was somewhat limited. While this may be true, to the extent that UNESCAP, due to its own funding and capacity concerns is not able to be a prime player, this project has demonstrated that the organisation has developed capacity building tools that can be re-deployed relatively easily, and that while UNESCAP cannot be all things to all people, may be able to develop a niche in this area going forward using its own proprietary tools – so long as capacity continues to exist within the organisation.

Ongoing support of networks were another method suggested by stakeholders to help meet one of the goals of this project ('improved access to information and knowledge on private sector involvement in infrastructure development') as stakeholders saw value in experience sharing and regular contacts with peers from across the region. We note however that the development and maintenance of such networks appears deceptively simple, and requires substantial resources to maintain and manage.

In addition, while this program has been wise to focus on the provision of 'online' training materials which can be easily accessed following the conclusion of this program, it would be unwise to think that these materials can remain useful in the medium term without ongoing support from UNESCAP. Without this support and ongoing advocacy for these materials, it is inevitable that they will become less central and critical to the target nations.

3.2.5 UN System Coherence



KEY REASONS:

- Evidence that a high level of consultation and co-operation was done as part of the development of this program
- Budgetary realities led quasi-joint approaches with other agencies
- Development 'in house' UNECE/UNESCAP 'PPP Readiness Tool' which was utilized as part of this project

The assessment against the 'UN system coherence' criterion refers to the extent to which different UN agencies and other development partners have been involved in the design and implementation of the subject of the evaluation. While this was not specifically a focus point of this evaluation report, and nor was it mentioned in the inception report TOR as a focus area for this review, upon finalizing the stakeholder interviews, it became clear that 'system coherence' within the context of the broader development community, if not UN agencies themselves, played a tangible part in helping shape the outcome of design and implementation of this project. As such, it should be reviewed.

A review of the project outputs, as well as discussions with stakeholders made clear that a significant downside to a lack of system coherence with developmental partners is that projects end up either providing less well targeted assistance, or figuratively speaking, end up 'reinventing the wheel'.

Given this, while we understand that this project was solely led by UNESCAP, the countries in question – to a large extent - are effectively working in the area with many other developmental partners, including by not limited to the ADB, PPIAF, IFC, JBIC, PIMAC, Dutch Government and the World Bank.

While these agencies have not been directly involved in the design and implementation of this project, there was a de-facto recognition amongst both UNESCAP and the recipient government policy makers that one agency will often 'pick up' where others have left off in terms of developing PPP capacity and assisting governments in their goals. In addition, wherever possible, liaison and co-operation with these agencies mentioned above would be preferred particularly where it was evident that the synergies would lead to stronger and more robust outputs for target countries.

To this extent, UNESCAP appeared quite successful into taking this into account in areas where other agencies have worked. As explained earlier in the assessment on 'relevance', UNESCAP liaised with a range of stakeholders not only in the recipient governments, but also other agencies such as the World Bank, to ensure that the outputs of this project were genuinely needed and fitted well into the capacity building needs of the governments. This was achieved by early-stage liaison with organisations such as the World Bank and PIMAC to understand key developments as well as stakeholders in each of the countries, resulting in fairly well targeted outputs for each of the countries at hand.

Additionally, from the “Draft Progress Report” on this project undertaken by UNESCAP, it was clear that at least three outputs or events were developed in conjunction with other development organizations, those being:

- **Bhutan:** PPP Policy document for Bhutan has been developed and approved by the Royal Government of Bhutan on 1 March 2016 (ESCAP and World Bank assistance)
- **Lao PDR:** PPP Decree finalized (with the assistance of the ADB) and an applied exercise handbook developed (with the assistance of ESCAP) to support the implementation of the new Decree;
- **Myanmar:** Capacity building 29-30 September 2015 (organized with the support of the Dutch government)

More broadly as well, other UN agencies such as UNECE have also played an historical role in ensuring cross fertilization with UNESCAP in the areas of PPP with developments such as the ‘PPP Readiness Tool’ which has been used in this project.

As one Cambodian policy maker explained during our interviews, UNESCAP’s work on PPP Capacity Building came “just at the right time for us” as it had built on previous work done jointly by the Ministry of Economy and Finance in Cambodia and the ADB. UNESCAP’s approach of not coming in with fixed ideas on what to provide and looking to meet a target countries immediate needs at the time is a reflection of ensuring there was a level of effective ‘system-coherence’ in its activities, particular with other development agencies.

3.2.5 Gender Mainstreaming

Very High	High	Medium	Low	Very Low
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KEY REASONS:

- Gender concerns not mainstreamed into this project
- While thought was given to issue during planning phase, difficult to incorporate at this stage of the PPP capacity building cycle
- Could be argued that assessing gender consideration is more appropriate when providing in-depth training on issues found later in the PPP cycle

KEY QUESTIONS	EXPANSIONS AND/OR COUNTERFACTUAL
Were gender concerns incorporated into the design of the project?	<ul style="list-style-type: none"> • Were gender concerns mainstreamed in the project design and implementation? • What opportunities exist to incorporate gender concerns in the project design and implementation?

The assessment against the gender criterion refers to the extent to which gender considerations have been incorporated in the design and implementation of the subject of the evaluation.

By and large, gender concerns were not firmly integrated into the design and implementation of this project. Primarily, this appears to be function of the basic aims of the project, that is, to introduce the concept of PPP’s to four selected developing countries as well as to expand and enhance the early stage capacity of government officials in this area. Based on interviews, the focus on delivering on these core aims would be the foundation of the success of the program, and that trying to introduce the concept of gender at such an early stage would distract from the basic aims of introducing the concept of PPP’s.

While there appears to be an increasing body of literature incorporating the issue of gender and PPP’s, most notably the World Bank’s “Public-Private Partnership in Infrastructure Resource Centre¹²”, a brief literature review of this site reveals that the inclusion of gender as a consideration in PPP generally occurs during the project design and implementation stages of the project cycle, which arguably is an area of capacity building one or two steps further beyond what was delivered as part of this project.

As such, given that at its heart, this project was to introduce the concept that a PPP was not just another form of government procurement to build large infrastructure projects (particularly for Laos and Myanmar, and to a lesser extent Bhutan) it is perhaps a fair assessment that gender considerations were not explicitly included in the focus of these parts of the outputs.

¹² <https://ppp.worldbank.org/public-private-partnership/ppp-sector/gender-impacts-ppps/gender-lens-project-cycle/applying-gender-lens-throughout-project-cyc#Gender%20Mainstreaming>

Furthermore, though perhaps not by design, it does appear that this project has laid the foundations for gender to be included in follow up projects, should they occur. The potential for this is perhaps most clearly seen in the outputs developed for Bhutan where the PPP Policy Framework developed by UNESCAP included the concept of ‘facilities management’ as a potential PPP activity – thus introducing the potential for areas where gender impacts can be assessed and where questions such as *“Who is currently benefiting from the current service and who is excluded, and how does this affect different groups of women and men?”¹³* can then be more easily asked.

A subsequent project screening output developed for Bhutan also examined and assessed a variety of potential PPP projects many of which were non-hard infrastructure projects. These included:

- Outsourcing logistics services for medical supplies
- Development of traditional village clusters
- Provision of Technical and Vocational Training
- Development of student accommodation
- Development of teacher accommodation

Again, while gender concerns weren’t part of the assessments for any of these screened projects, the consideration of these types of projects in and of themselves lend to helping policy makers better understand the nuances of stakeholder analysis in their assessments. As such, subsequent capacity building projects could then introduce the concept of gender issues as part of any next steps towards refining project development and management over the PPP lifecycle.

With regards to overall participation in this project, anecdotal evidence also suggests that gender balance was considered when preparing regional events and selecting speakers (for instance, 40% of the speakers were female at the sub-regional event held in Kuala Lumpur in Nov 2015).

¹³ See: Gennings, M. and Gaynor, C. (2004) “Public Private Partnerships, Infrastructure, Gender and Poverty”http://wedc.lboro.ac.uk/docs/research/WEJR7/Guest_-_PPPI_Gender_and_Poverty_-_abridged_paper.pdf

4. CONCLUSIONS

This chapter provides the conclusions of the evaluation, including general conclusions and conclusions relating to the specific performance and other criteria.

This project delivered a strong outcome for UNESCAP in its efforts to promote Public Private Partnerships in four target countries: Bhutan, Cambodia, Laos and Myanmar, and by providing these countries with tangible outputs which had been required by these countries.

Evidence provided in this report, both of a quantitative and qualitative nature, reveal that the following broad goals have been achieved:

- Enhanced capacity of government officials to establish effective PPP policy frameworks for infrastructure development projects;
- Enhanced capacity of government officials to identify, develop and manage PPP infrastructure projects; and
- Improved access to information and knowledge on private sector involvement in infrastructure development.

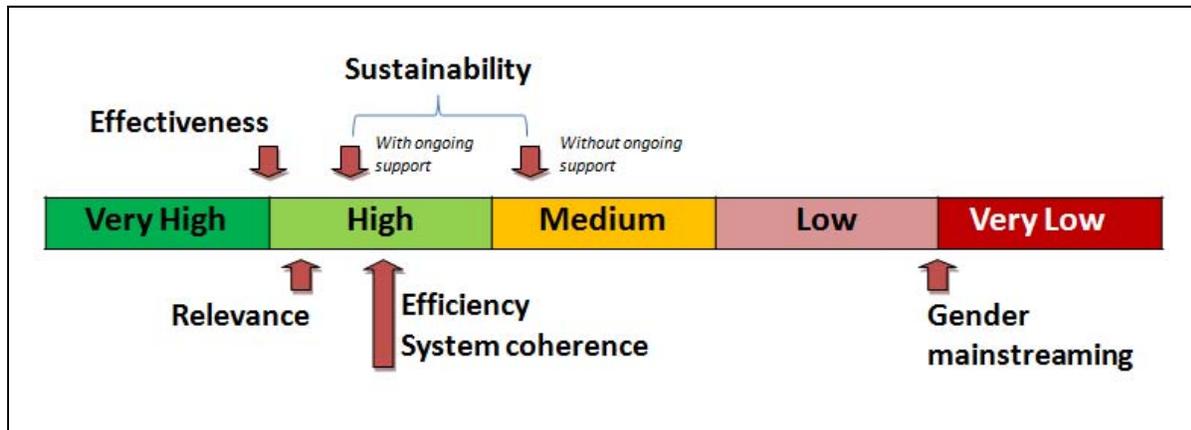
To reach this conclusion, we assessed the project against a number of 'Key Themes' which included: '**Relevance**', '**Efficiency**', '**Effectiveness**', '**Sustainability**', '**UN System Coherence**' and '**Gender**'.

The main conclusions with respect to these criteria are as follows:

- **Relevance:** The project provided highly relevant, tangible and tailored outputs to all countries targeted. This was the result of in-depth consultation with each of the countries involved, where UNESCAP sought to provide outputs and training which were needed at specific points of countries respective PPP Development stage and relevant to their particular policy priorities.
- **Efficiency:** Despite a range of internal and external obstacles, the project delivered all planned outputs under budget and within a realistic timeframe, and in a well-managed and framed manner. Outputs themselves were well-targeted and did not over reaching in their aims. The project also utilized synergies by working with external agencies when appropriate. While external consultants were used, we note that the project was also utilized internal capacity wherever possible, including the delivery of one of the core training deliverables of this project.
- **Effectiveness:** The project impressively achieved the objective of enhancing capacities of government officials and demonstrably contributing to policy formulation. Budget constraints were used as an opportunity, delivering niche product. In the case of three of the four countries targeted, outputs were either used, or have created the situation, where they can be tangibly used in the further evolution of that country's institutional PPP framework.
- **Sustainability:** The project will leave a legacy of outputs which are either useable building blocks for target countries, or will continue to provide training and capacity assistance to countries in an ongoing manner. The high level of national ownership of these outcomes will help ensure a continued relevance to the countries involved. However levels of sustainability will also depend on future UNESCAP decisions however to how to support PPP's.

- **UN System Coherence** – A key success factor of this project was the level of consultation with development partners to develop a comprehensive understanding of issues, and wherever possible, exploiting co-operation opportunities and synergies with the partners.
- **Gender Mainstreaming** – Although evidence suggests this issue was considered during early planning stages, it was not a significantly incorporated into any of the outputs of this project.

Figure 9 - Overall assessment outcomes



5. RECOMMENDATIONS

This chapter provides recommendations based on the conclusions of the evaluation.

Recommendation 1: Leverage off success of this project to enhance a PPP Network

Though support for PPP's exists from other developmental agencies, there exists the potential for these agencies to be running their own broader agenda's of targeting particular sectors or projects. UNESCAP is seen as a more central entity, and potentially more of an honest broker in this context, and as such can utilize this position to advocate and support PPP's in a neutral manner via a formal network of PPP units and programme from the Asia-Pacific region.

A PPP Network would provide UNESCAP a relatively natural platform to deliver its successful in-house tools (see next point) as well as allowing UNESCAP to be a useful clearing house of PPP ideas, experience and capacity building for member states. It will also allow UNESCAP to more easily deal and work with developmental partners in the region.

Recommendation 2: In-house developed training and online tools should not be left to waste. Continued resources to support these initiatives needed.

The 'PPP Readiness Tool', the online e-learning series and the value-for-money assessment toolkit were major outputs of this project that were well received. While these tools were designed to allow access by target countries, as well as other member states in a relatively autonomous way, they are certainly not 'set and forget' outputs. They will require ongoing maintenances, additions and advocacy to remain relevant to member states. Given that a solid framework and base has now been established, any further additions to these tools can be incremental and likely be achieved at a relatively effective marginal cost. For instance, some stakeholders interviewed have suggested that a strategically placed second round of follow up training focusing on re-enforcing concepts and ideas learned during workshops and seminars to would be useful to enhance ongoing effectiveness.

Recommendation 3: Increase PPP resources at UNESCAP to retain internal knowledge capital

While this project was run every effectively, it is also apparent that it was done so off a very small base of key members of UNESCAP Staff which were responsible for the initiatives, project management and energy behind this project. However this is not sustainable.

As these team members move on in their careers or positions, UNESCAP risks losing the knowledge capital developed by this project. Additionally, it will also undermine UNESCAP's ability to service member states with the in-house tools developed as part of this project – for instance by the provision of face-to-face training as was one in this project by UNESCAP personnel. A loss of knowledge capital and in-house capabilities likely impact credibility amongst member states that UNESCAP has clearly built through this project.

In that context, we recommend to create a small unit within ESCAP which should be composed of a number of permanent staff members in order to ensure the sustainability of this work in the future.

Recommendation 4: Further emphasizing gender related issues

While we take on board the view that integrating gender concerns on a capacity building project such as this was not always possible, there perhaps remains some 'quick-wins' which could be easily achieved, particularly in the area of PPP training. This includes incorporating gender considerations in the broader context of 'stakeholder analysis' in the areas of project selection, project design and implementation such that Gender is assessed and analysed alongside other key consideration factors in the PPP lifecycle.

ANNEXES

Annex I. Management Response

Title of Evaluation		
	Signature	Date
Executive Secretary (or other management entity as appropriate)		
Division Chief or Head of Regional Institution (as appropriate)		
Division Chief or Head of Regional Institution (as appropriate)		
General Remarks by Management		
Report Recommendation	Management Response	Follow-up Action
1.		
2.		
Etc.		

Annex II. Terms of Reference

1. Purpose.

ESCAP's Transport Division is mandated to implement a UNDA project on "building capacity and facilitating private sector involvement for infrastructure development for less developed countries in the Asia-Pacific region". The project focuses primarily on four countries (i.e. Bhutan, Cambodia, Lao People's Democratic Republic, and Myanmar).

The expected accomplishments of the project are:

- Enhanced capacity of government officials to establish effective PPP policy frameworks for infrastructure development projects;
- Enhanced capacity of government officials to identify, develop and manage PPP infrastructure projects;
- Improved access to information and knowledge on private sector involvement in infrastructure development.

The guidelines of the funding source require that an evaluation is conducted, and the project document indicates that an evaluation of the project by an external consultant will be conducted.

2. Objective.

The main **purpose** of this evaluation is formative with a view to organizational learning and informing future project design and implementation. It also seeks to assess the project activities and results for accountability purposes.

The evaluation **objectives** are:

- a. To assess the relevance, effectiveness, efficiency and sustainability of the project activities and results against the expected accomplishments;
- b. To determine the benefits, good practices and lessons learned from the project; and
- c. To formulate recommendations relating to the evaluation's findings, on desired follow-up activities to be undertaken by ESCAP and its partners and recommendations for improving the design and implementation of future projects, in particular those funded by the Development Account

The **final deliverables** of the evaluation will be:

- a. Evaluation Report (following the structure presented in the **Annex** to the ToR)
- b. Evaluation Brief (2-page summary of the evaluation report)

In all the deliverables, the consultant is requested to take into account gender concerns, incorporating gender-relevant indicators and making recommendations for better gender mainstreaming, within the framework of ESCAP's gender strategy. Also, the consultant should refer to the ESCAP M&E system and evaluation guidelines, and any relevant UNEG guidance, throughout the assignment.

Scope:

The consultant will follow the structure of the project document to conduct his/her evaluation and focus on the project activities and outputs delivered to the participating countries. The four target countries involved in the project will be asked to provide their views through an evaluation survey and in-depth interviews (i.e. Bhutan, Cambodia, Lao PDR and Myanmar). For cost effectiveness, these interviews might be done via skype call or teleconference. The consultant will also review the regional and sub-regional workshops and the knowledge materials developed during the project (e.g. through desk review and selected interviews). In undertaking the evaluation, the following criteria and questions will be considered:

Relevance

- To what extent were the project activities and outputs relevant to the project participating member States?
- Do the stakeholders find the project outputs useful?
- To what extent were the project products and services utilized by its primary target beneficiaries?

Effectiveness

- To what extent has the project been effective in achieving its expected outputs as stated in the project document?
- To what extent has the project been effective in influencing policy formulation and building capacity?

Efficiency

- To what extent has the project been delivered in a cost effective way?

Sustainability

- What is the likelihood that the benefits of the project will continue in the future?

Methodology:

Data and information will be collected through:

- a. Desk reviews (e.g. project documents, online materials and workshop evaluation forms);
- b. Interviews with ESCAP Staff and concerned stakeholders (e.g. consultants and participants to regional / sub-regional events);
- c. Interviews with the contact persons in the targeted countries (i.e. Bhutan, Cambodia, Lao PDR and Myanmar);

Management arrangements:

- a. The evaluation will be managed by an internal Reference Group chaired by the Chief, Transport Infrastructure Section (TIS) and comprising the ESCAP staff member who has been conducting the project and staff member from the ESCAP/SPMD Evaluation Unit;
- b. The ESCAP staff member who has been conducting the project will be the focal point for providing initial project-related materials for the desk review and will assist the evaluator in

drafting the survey and provide the necessary contact details for conducting the survey and interviews of stakeholders;

- c. The draft evaluation reports, including findings and recommendations, will be shared with internal stakeholders prior to finalization.
- d. A presentation will be made by the evaluator on the key findings and recommendations of the evaluation prior to the finalization of the report and will be used to develop a consolidated Management Response. This document will be used to support accountability on the agreed follow-up actions for organizational learning.

3. Outputs / Work Assignments

Outputs	Deliverables	Delivery Date (dd/mm/yyyy)
a. Evaluation Inception Report	1. Desk reviews of initial project-related materials and draft an evaluation inception report including methodology;	15/07/2016
	2. Final inception report, incorporating comments on the draft;	15/07/2016
b. Interviews	3. Interviews with national counterparts in the targeted countries;	-12/08/2016
	4. Interviews with ESCAP staff members and other stakeholders;	12/08/2016
	5. Report on interviews conducted.	12/08/2016
c. Draft Evaluation Report and Draft Evaluation Brief	6. First draft evaluation report;	22/08/2016
	7. Second draft evaluation report, incorporating comments on the first draft and a draft two-page evaluation brief summing up the background, main findings, recommendations, lessons learned, and follow-up (if any);	14/09/2016
d. Presentation , Final Evaluation Report and Evaluation Brief	8. Presentation on project evaluation, including recommendations (could be through a skype call or teleconference);	22/09/2016
	9. Final evaluation brief;	28/09/2016
	10. Final draft evaluation report, incorporating comments on the previous drafts.	28/09/2016

Annex III. List of Documents Reviewed

TARGET COUNTRY	DOCUMENTS AND/OR WEB RESOURCE
Bhutan	<ul style="list-style-type: none"> • “Review of draft PPP Policy of Bhutan” • “Final Report - Screening of Projects and Preparation of Outline Business Cases for PPP Projects in Bhutan” • Dedicated PPP knowledge portal (http://www.ppp.gov.bt) • Letter to Dasho Yeshe Wangdi, Secretary, Ministry of Economic Affairs, Bhutan (29/01/16) • Royal Government of Bhutan “Public Private Partnership Policy” (April 2015)
Cambodia	<ul style="list-style-type: none"> • “Public-Private Partnerships (PPP) Procurement Manual” delivered to the Ministry of Economy and Finance • Dedicated PPP knowledge portal (http://www.ppp.mef.gov.kh/) • Letter to Mr Pen Thirong, Deputy Director General, General Department of Budget, Ministry of Economy and Finance, Cambodia (20 April 2016)
Laos	<ul style="list-style-type: none"> • Training materials and case-based exercises to implement projects under the new PPP framework (i.e. “Decree on Public Private Partnerships in the Lao PDR”) • Additional content added to the portal already existing in Lao PDR (http://www.investlaos.gov.la/index.php/public-private-partnership)
Myanmar	<ul style="list-style-type: none"> • “Myanmar Public-Private Partnership Policy Document (Final Draft)” (including a Legal Review of PPP-related issues) delivered to the Ministry of Planning and Finance - Republic of the Union of Myanmar • Dedicated PPP knowledge portal (http://www.pppmyanmar.gov.mm/) • Letter to U Maung Maung Tint, Director General, Planning Department, Ministry of National Planning and Economic Development, Myanmar (22 June 2016)
All countries	<ul style="list-style-type: none"> • “E-Learning Series on Public-Private Partnerships” developed by UNESCAP and available at: http://www.unescap.org/our-work/transport/financing-and-private-sector-participation/public-private-partnership-course <p>Available in English, Khmer and Burmese - A PPP awareness exam and certification has also been developed complementing the E-learning Series;</p> <ul style="list-style-type: none"> • A series of PPP case studies related to projects in the Asia-Pacific region; • A “Qualitative Value-For- Money Toolkit” to support Governments in early stage identification and selection of projects suitable to be delivered on a PPP basis; • Project Structuring Options and Model Agreement in relation to the development of dry ports • Gennings, M. and Gaynor, C. (2004) “Public Private Partnerships, Infrastructure, Gender and Poverty”http://wedc.lboro.ac.uk/docs/research/WEJR7/Guest_-_PPPI_Gender_and_Poverty_-_abridged_paper.pdf

Annex IV. List of Interviewees

UNESCAP

- Mathieu Verougstraete (Economic Affairs Officer, UNESCAP) for his assistance in providing invaluable contacts, resources and understanding of the entire project
- Peter O'Neill (Chief Transport Policy and Development Section – Transport Division – UNESCAP) for providing an understanding and overview of the project from an UNESCAP perspective.

The following officials and participants also provided invaluable feedback on the project from a participant perspective. Their comments have been crucial in assisting in developing this independent report.

Bhutan

- Mr. Sonam Tashi (Head Policy & Planning Division, Ministry of Economic Affairs)
- Mr. Pema Khandu, Senior Trade Officer, Department of Trade Ministry of Economic Affairs, Royal Government of Bhutan

Cambodia

- Mr. Pen Thirong (Deputy Director General, General Department of Budget, Ministry of Economy and Finance)

Myanmar

- Daw Khin Nwe Yee (Director, Ministry of Planning and Finance)

Lao PDR

- Ms. Thavichanh Thienthepvongsa (Deputy Director General, Investment Promotion Department, Ministry of Planning and Investment)

Other Stakeholders - Consultants and country representatives from non-targeted countries

- Rolf Dauskart (REBEL Group)
- Mr. Jan van Schoonhoven (Infrastructuur en Innovatieve Financiering, Netherlands Government)
- Ms. Abhilasha Mahapatra, Director (PPP), Infrastructure Division, Department of Economic Affairs, Ministry Of Finance, India.
- Ms.Thirattikan Vasuprasat, Bureau of Private Investment in State Undertakings Promotion, State Enterprise Policy Office (SEPO), Ministry of Finance
- Mr. Polchak Nimwatana, State Enterprise Policy Office (SEPO), Ministry of Finance

QUALITY CHECKLIST FOR EVALUATION REPORT

	Quality Check	Description
☑	The report meets the scope, purpose and objectives of the evaluation as stated in the TOR	<ul style="list-style-type: none"> • The report is tailored to the information needs of ESCAP and/or other entities that commissioned the evaluation • The report does not deviate from the scope outlined in the TOR • The report can be used by ESCAP for the intended purpose as stated in the TOR • The objectives as outlined in the TOR have been met, including: the assessment against relevant performance criteria (relevance, efficiency, effectiveness, sustainability, etc.) is complete, i.e. evaluation questions under each criterion have been answered
☑	The report is structured logically	<ul style="list-style-type: none"> • The report follows the table of contents outlined in the TOR and includes the relevant annexes
☑	The evaluation methodology and its application are explained transparently and clearly	<ul style="list-style-type: none"> • The evaluation methodology is clearly explained and has been applied throughout the evaluation process • Amendments to the methodology compared to what was proposed in the TOR have been clearly explained • The limitations of the evaluation methodology, including problems encountered during the conduct of the evaluation, and their implications for the validity of the findings and conclusions have been clearly explained
☑	The findings and conclusions are credible	<ul style="list-style-type: none"> • Relevant qualitative and/or quantitative sources of information have been considered • Analysis is done rigorously: triangulation is employed (cross-checking of findings against other relevant sources); cause-and-effect relationships are explained • Findings are adequately substantiated, balanced and reliable • The relative contributions of stakeholders to the results are explained • Limitations are explained • The conclusions derive from the findings and are clear
☑	The recommendations are useful	<ul style="list-style-type: none"> • The recommendations are clear and follow logically from the conclusions • The recommendations are impartial • Recommendations are realistic, concrete and actionable within a reasonable timeframe • Recommendations for ESCAP should be clearly within the mandate of ESCAP
☑	The report is well written	<ul style="list-style-type: none"> • The executive summary is brief but highlights the key findings, conclusions and recommendations • The report uses consistent grammar and spelling (in accordance with UN rules) • Main messages are clearly distinguished from the text • The report is written in good English and is easy to read • The subject of evaluation (programme, project, other) is clearly described including its logic model or results chain • The stakeholders of the programme or project are clearly identified

MANAGEMENT RESPONSE AND FOLLOW-UP ACTION PLAN TEMPLATE

A. Management response template

- It is required to publish the general remarks by management and a management response (MR) to each recommendation of the evaluation or evaluative review as an insert at the beginning of the evaluation report. **(See the Evaluation Tool 5: Evaluation report template).**
- The below MR template with follow-up actions will be included as an annex to the evaluation report and the detailed follow-up action plan with the responsible units and expected completion date should be submitted to PMD **(see template B below).**

Title of Evaluation		
	Signature	Date
Executive Secretary (or other management entity as appropriate)		
Division Chief or Head of Regional Institution (as appropriate)		
Division Chief or Head of Regional Institution (as appropriate)		
General Remarks by Management		
Report Recommendation	Management Response	Follow-up Action
1.		
2.		
Etc.		

B. Follow-up action plan template

- See below for the detailed follow-up action plan that includes the responsible units and the expected completion date. This detailed follow-up action plan will be used for internal purposes and must be submitted to PMD with the final evaluation or evaluative review report.

Title of Evaluation					
		Signature		Date	
Executive Secretary (or other management entity as appropriate)					
Division Chief or Head of Regional Institution (as appropriate)					
Division Chief or Head of Regional Institution (as appropriate)					
General Remarks by Management					
Report Recommendation	Management Response	Follow-up Action	Lead Unit	Collaborating Units	Expected Completion Date
1.					
2.					
Etc.					

Management Response and follow-up Action Plan

Title of Evaluation	Building capacity and facilitating private sector involvement for infrastructure development for less developed countries in the Asia-Pacific Region	
	Signature	Date
Ms. Shamshad Akhtar Executive Secretary, ESCAP		12 Dec 2016
Mr. Adnan Aliani Director, Strategy and Programme Management Division		6 DEC 2016
Mr. Hamza Ali Malik OIC, Macroeconomic Policy and Financing for Development		25 NOV. 2016
General Remarks by Management		
<p>ESCAP management welcomes the positive assessment of this project and appreciates the quality of the evaluation approach, which was conducted with rigorous analysis of the project's performance and convincing qualitative and quantitative evidences backing the conclusions. Overall, we agree with the recommendations contained in the report and have already taken steps to implement them, for instance by: making concrete proposals to key development partners regarding an Asia-Pacific network of PPP units and programmes; disseminating ESCAP knowledge products on global platforms (e.g. the PPP Knowledge Lab); and integrating PPP into the Financing for Development work of ESCAP.</p> <p>Considering the findings of the evaluation, the ESCAP management is extremely pleased with the tangible and relevant results achieved through this project, which led to the formulation of policies (such as the approved PPP Policy in Bhutan and the PPP procurement manual in Cambodia) and enhanced the capacity of the targeted countries in the field of Public-Private Partnerships (PPPs) through effective, relevant and well-prepared training workshops. The projects also leaves a legacy of online knowledge products that will provide capacity assistance well beyond the project (e.g. PPP online training programme developed under this project has been accessed around 30,000 times since its launch and continues to attract new users every day).</p> <p>We also note with great satisfaction that the project was efficiently implemented and synergies with other development partners, which were developed through regular consultations, distribution of work and collaboration in each other's activities. Furthermore, we praise the tailored</p>		

approach followed, which contributed to the high level of national ownership of the outcomes produced and enabled the delivery of useable building blocks for improving PPP institutional and regulatory frameworks in these countries.

To conclude, we are delighted the project achieved its objectives and believe it has laid a solid basis for future PPP work at ESCAP while strengthening our credibility in this area. As requested by our member states, we are committed to continue mobilizing resources and assist the Asia-Pacific countries in using the PPP mechanism for sustainable development.

Title of Evaluation		Building capacity and facilitating private sector involvement for infrastructure development for less developed countries in the Asia-Pacific Region			
Report Recommendation	Management Response	Follow-up Action	Lead Unit	Collaborating Units	Expected Completion Date
<p>Recommendation 1: Leverage off success of this project to enhance a PPP Network</p> <p>A formal network of PPP units and programme from the Asia-Pacific region would provide ESCAP a relatively natural platform to deliver its successful in-house tools (see next point) as well as allowing ESCAP to be a useful clearing house of PPP ideas, experience and capacity building for member states. It would also allow ESCAP to more easily deal and work with developmental partners in the region.</p>	<p>ESCAP Management agrees with this recommendation and has already taken measures for this purpose (This recommendation is actually in line with the ESCAP Resolution 69/6¹).</p>	<ul style="list-style-type: none"> ESCAP has prepared a proposal to co-organize future events of the Asia-Pacific PPP Practitioner's Network, with the Government of Korea, the Korea Development Institute (KDI), the World Bank (WB) and the Asian Development Bank (ADB). This proposal will be discussed at the next meeting of the network scheduled from 30 Nov to 2 Dec 2016 in Seoul. 	MPFD		31/12/2017
<p>Recommendation 2: In-house developed training and online tools should not be left to waste. Continued</p>	<p>ESCAP Management concurs to this</p>	<ul style="list-style-type: none"> ESCAP will disseminate its PPP knowledge materials in future 	MPFD	SPMD	31/12/2017

¹ ESCAP resolution 69/6 requested the Executive Secretary to: "work collectively to strengthen an Asia-Pacific network of PPP units and programmes, which would among other things provide ad-hoc advisory and training services, disseminate information on public-private partnership and coordinate regional meetings of national public-private partnership units and programmes". ESCAP will report on the implementation of this resolution at its seventy-fourth session (2018).

<p>resources to support these initiatives needed.</p> <p>The 'PPP Readiness Tool', the online e-learning series and the value-for-money assessment toolkit were major outputs of this project that were well received. While these tools were designed to allow access by target countries, as well as other member states in a relatively autonomous way, they are certainly not 'set and forget' outputs. They will require ongoing maintenances, additions and advocacy to remain relevant to member states. Given that a solid framework and base has now been established, any further additions to these tools can be incremental and likely be achieved at a relatively effective marginal cost.</p>	<p>recommendation and is committed to further develop PPP knowledge materials and allocate resources to promote their dissemination and continued use.</p>	<p>events planned on infrastructure financing as well as through international knowledge platforms (e.g. the PPP knowledge lab)</p> <ul style="list-style-type: none"> ▪ <i>ESCAP will continue developing in-house knowledge materials on PPP to support its evidence-based work (e.g. paper on PPP and cross-border infrastructure development) and partner with the Korean Development Institute (KDI) to research issues such as regulatory frameworks for PPP for sustainable development.</i> ▪ <i>ESCAP has developed a project proposal, including components related to PPP, for the 11th tranche of the Development Account² as well as one for the 2030 Agenda for Sustainable Development Sub-Fund</i> 			
<p>Recommendation 3: Increase PPP resources at ESCAP to retain internal knowledge capital</p> <p>This project was run off a very small base of key members of ESCAP Staff who were responsible for the initiatives,</p>	<p>ESCAP Management sees the merits of such recommendation. However, the feasibility of it has to be considered in a context of limited</p>	<ul style="list-style-type: none"> ▪ <i>ESCAP has integrated the PPP work in the broader agenda of "Financing for Development" within the Macroeconomic Policy and Financing for Development</i> 	MPFD		Completed

² "Supporting the Countries with Special Needs in Asia-Pacific in meeting the challenge of resource mobilization for achieving the 2030 Agenda"

<p>project management and energy behind this project. However this is not sustainable. In that context, we recommend to create a small unit within ESCAP which should be composed of a number of permanent staff members in order to ensure the sustainability of this work in the future.</p>	<p>resources and constrained budgets.</p>	<p>Division. This should contribute to strengthen the sustainability of this type of financing activities and the PPP work will continued to be incorporated into the next biennium (2018-2019).</p>			
<p>Recommendation 4: Further emphasizing gender related issues Particularly in the area of PPP stakeholder training, there may exist scope to incorporating gender considerations in the broader context of 'stakeholder analysis' in the areas of project selection, project design and implementation such that Gender is assessed and analysed alongside other key consideration factors in the PPP lifecycle.</p>	<p>ESCAP Management approves this recommendation and will ensure its implementation in future activities.</p>	<ul style="list-style-type: none"> ▪ <i>ESCAP will include "gender" as part of the topics covered in future infrastructure financing workshops. As a concrete action, ESCAP will include gender issues in the workshops to be organized in 2017 under another DA project related to infrastructure financing (i.e. "Financing strategies for inclusive, equitable and sustainable development in Asia and the Pacific")</i> 	<p>MPFD</p>	<p>Other ESCAP Div.</p>	<p>31/12/2017</p>