Report on the evaluation activities of the Commission during the biennium 2016–2017

Note by the secretariat

Summary

The purpose of the biennial reporting on the evaluation activities of the Economic and Social Commission for Asia and the Pacific is to strengthen accountability to member States and facilitate organizational improvement by providing evidence-based information on the performance and result of the Commission’s work. The present report includes a summary of the main findings and recommendations contained in evaluations conducted during the biennium 2016–2017 and the steps taken by the secretariat to address those recommendations. It also contains an outline of the efforts made by the secretariat to further strengthen the evaluation function.

The Commission may wish to review the report and recommend actions to further enhance the performance and results of the Commission’s work and to strengthen its evaluation function.

I. Introduction

1. Evaluation at the Economic and Social Commission for Asia and the Pacific (ESCAP) complies with the regulations and rules of the United Nations, which mandate that all programmes should be evaluated on a regular, periodic basis. It also responds to Commission resolution 66/15, in which the Commission requests the Executive Secretary to ensure periodic evaluation of the secretariat’s programmatic work, including the work of divisions, subregional offices and regional institutions. Moreover, member States also mandate the secretariat through resolutions to conduct evaluations of specific themes or areas of work in support of the Commission’s decision-making processes. Based on these evaluative activities, the present biennial report has been prepared to provide the Commission with evidence-based information on the performance and results of its work.

* ESCAP/74/L.1/Rev.1.
2. During the biennium 2016–2017, four subprogramme and thematic evaluations and 12 project evaluations of the Commission’s work were conducted (see the annex for more details). A subprogramme evaluation was conducted by the Office of Internal Oversight Services (OIOS) in 2016 and the rest of the subprogramme evaluations were commissioned by the secretariat in line with the ESCAP evaluation plan prepared each biennium. With regard to the project evaluations, the secretariat engaged external evaluators to conduct an independent assessment of the results and performance of the projects. ESCAP evaluation reports are accessible through its website.\(^1\)

II. Key findings and recommendations from evaluations of the Commission’s work and related action taken by the secretariat

A. Subprogramme and thematic evaluations

3. In an OIOS evaluation, completed in 2016, the focus was on the statistical work of the regional commissions, including ESCAP, in supporting member States to produce and use statistical data to assess the achievement and implementation of internationally agreed development goals. Overall, OIOS found that the regional commissions had facilitated dialogue, decision-making and consensus-building on the implementation of global and regional statistical norms and standards relating to the internationally agreed development goals. The High-level Meeting on the Improvement of Civil Registration and Vital Statistics in Asia and the Pacific and the Ministerial Conference on Civil Registration and Vital Statistics in Asia and the Pacific, organized by ESCAP in 2012 and 2014 respectively, were highlighted as important regional gatherings to advance statistical work in the region.

4. In terms of statistical support to member States, OIOS in its evaluation identified six key attributes of the regional commissions that added value to their work in statistics: (a) their credibility and neutrality, in particular with regard to providing a regional platform for dialogue; (b) their convening power and facilitation of regional consensus; (c) their technical expertise in statistics; (d) their support for the development of statistical standards and recommendations; (e) their role as providers of capacity-building in various areas of statistics; and (f) their proximity to member States. OIOS indicated in its evaluation that those attributes must be fully utilized to support member countries in implementing the 2030 Agenda for Sustainable Development.

5. Furthermore, it was demonstrated in the evaluation that the regional commissions had been largely responsive to the statistical support needs of member States leading up to the adoption of the 2030 Agenda, but that the regional commissions did not have sufficient capacity to meet the expected increase in demand for statistical support as the Sustainable Development Goals were being implemented. To respond to those challenges, OIOS made five main recommendations to the regional commissions, as follows:

- (a) Enhance their support for the dissemination and use of statistics;
- (b) Increase their capacity to support key areas of statistics that are less developed;
- (c) Strengthen collaboration among the regional commissions;

\(^1\) www.unescap.org/partners/monitoring-and-evaluation/evaluation/reports.
(d) Further strengthen their internal collaboration;
(e) Support the integration of the Sustainable Development Goals into national statistical plans.

6. Following the evaluation recommendations, the Commission’s Committee on Statistics, in December 2016, endorsed the collective vision and framework for action by the Asia-Pacific statistical community on advancing official statistics for the 2030 Agenda for Sustainable Development, which contains a strategy to enhance the national capacity of member States for the dissemination and use of statistics for the 2030 Agenda. The secretariat also strengthened its capacity to support key statistics, particularly regarding the environment, gender and new statistic areas, with the recruitment of a regional adviser on environmental statistics and a statistical expert on data analytics, the Sustainable Development Goals, disasters and big data. Furthermore, the secretariat in 2016 developed a review tool for national statistical systems that includes statistics requirements for the Sustainable Development Goals, with a focus on economic statistics.

7. An evaluation of the United Nations Special Programme for the Economies of Central Asia was conducted in 2017 in response to a decision of the Special Programme’s Governing Council at its eleventh session, held in Ganja, Azerbaijan, in November 2016. The evaluation was conducted from September to December 2017 and its key findings and recommendations were presented to the Governing Council at its twelfth session, held in Dushanbe in December 2017.

8. Under the evaluation, it was found that member States welcomed a neutral United Nations platform in support of regional economic cooperation, although admitted that the Special Programme was not able to take full advantage of its potential added value as a platform for policy dialogue and coordination. It was noted that the member countries of the Special Programme displayed limited interest in taking more ownership of it, demonstrated by low-level participation in meetings, lack of willingness to chair the annual sessions of the Governing Council, and lack of participation in fundraising for projects and agenda-setting for meetings. There was a need to re-engage countries more actively so that they would take more ownership, which would mean that the rationale of the Special Programme as an entity would need to be revisited and the issue of how that platform could be used for the national and regional interests of the countries examined.

9. According to the evaluation, the effectiveness of the Special Programme had been affected by both political and operational challenges, including limited funding, lack of cooperation between countries and the emergence of better-funded and -institutionalized regional platforms for cooperation. As the Special Programme would not be able to compete with other schemes that had more capacity to implement projects, the recommendation contained in this evaluation was that there should be less focus on fundraising for projects and more focus on ways to facilitate regional dialogue and policy coordination, which would require more commitment and political will. In terms of efficiency, efforts made by the supporting regional commissions (ESCAP and the Economic Commission for Europe – ECE) to raise funds for the Special Programme’s activities were recognized, but contributions from the participating countries had been limited. In addition, there had been an erosion of the system of having national coordinators at the very high level to systematically follow up on decisions between meetings. It was noted that one of the biggest problems of following up on the Special Programme’s decisions and processes was the high staff turnover in national ministries and the loss of institutional memory.
10. Based on preliminary findings under the evaluation, four options were presented to the Governing Council: (a) maintaining the status quo; (b) reforming the Special Programme to make it more country-led and country-driven, in support of the developing processes of integration and cooperation in the region; (c) institutionalizing and transforming the Special Programme into a member-driven and member-financed intergovernmental organization, with members deciding what role the United Nations should play; and (d) gradually closing the Special Programme and absorbing its operational functions and technical capacity development into existing ESCAP and ECE programmes. The Governing Council decided that the final evaluation report would be submitted to an expert group meeting, to be organized in May or June 2018, in preparation for the twentieth anniversary of the Special Programme. The Governing Council also decided to consider at its thirteenth session how the recommendations contained in the evaluation would be operationalized so that the Special Programme fully served as a mechanism for cooperation on the implementation of the 2030 Agenda.

11. In line with the ESCAP evaluation plan, an evaluation was conducted in 2016 of the work under subprogramme 1, on macroeconomic policy and inclusive development, which comes under the substantive responsibility of the Macroeconomic Policy and Financing for Development Division. The evaluation was conducted in the context of recent key developments in relation to the global development agendas as well as important organizational changes within ESCAP. The purpose was to provide the Division, as well as ESCAP management generally, with recommendations on how it could improve its management performance and create added value for its member States.

12. In the evaluation, it was concluded that, although the Division was working to the requirements of the ESCAP programme budget and strategic framework, it was functioning and delivering below its potential. The staff of the Division was qualified, motivated and committed to improvement and the key to exploiting the Division’s potential more fully lay in strengthening its management processes as well as its enabling organizational environment. The work allocation and workload in the Division was inadequately organized and managed, meaning that, despite the high commitment and work ethic of its staff, there was a lack of efficiency of work processes, including communication and coordination between staff and sections and within the Division.

13. In the evaluation, five key recommendations were offered to the secretariat: (a) a management function should be introduced, at the level of the office of the Director of the Division, with responsibility, authority and accountability for the overall management of the subprogramme, and for the management of the relationship with the executive management level of ESCAP and with the management of other ESCAP divisions; (b) the Division should develop and implement a comprehensive and systematic strategic management process including, but not limited to, a strategic framework that makes explicit the Division’s vision, mission and value proposition; (c) the sections of the Division should develop and implement annual operational plans that, among other things, identify and allocate human and financial resources to the Division’s activities, consistent with its strategic priorities; (d) the Division should develop and use an outcome-focused performance monitoring and reporting framework, including, but not limited to, measures of economy, efficiency, quality and effectiveness; and (e) the Division should institute periodic evaluations focusing on the value of its activities for ESCAP member countries. In response to the evaluation, the secretariat developed a follow-up action plan to address the recommendations.
14. Pursuant to Commission resolution 68/4, the secretariat commissioned an evaluation of the Regional Action Programme for Transport Development in Asia and the Pacific, phase II (2012–2016), with the aim of assessing the relevance, effectiveness and sustainability of the Regional Action Programme. Under the evaluation, it was concluded that the Regional Action Programme played a role in creating better trading opportunities through improvements in transport connectivity, both in terms of improvements to and better interconnection of physical transport infrastructure and in terms of the reduction of regulatory barriers to international transport movement and of the costs and delays associated with the cross-border movement of goods. Some key elements of the Regional Action Programme had been embedded in the national policies of member countries, particularly under the long-standing areas of the Asian Highway network, the Trans-Asian Railway network and the facilitation of cross-border transport. It was noted that the Regional Action Programme was dependent on extrabudgetary funding sources on a project-by-project basis, an arrangement that presented a potential problem in terms of efficiency.

15. The evaluation resulted in recommended actions for improving the capacity of the Regional Action Programme to further the objectives of the Busan Declaration on Transport Development in Asia and the Pacific, including: (a) reducing the number of thematic areas; (b) increasing the emphasis on the intermodal integration of transport networks; (c) evaluating the extent to which the Forum of Asian Ministers of Transport added value to the implementation of the Regional Action Programme; (d) increasing the impact of expert group meetings, working groups and regional seminars; (e) intensifying efforts to develop or identify practical tools that member countries could use to support the implementation of policies aligned with the objectives of the Regional Action Programme; and (f) intensifying in-country activities designed to provide practical support for the implementation of intergovernmental agreements.

16. Informed by the findings and recommendations of the evaluation, the secretariat facilitated the formulation of the Regional Action Programme for Sustainable Transport Connectivity in Asia and the Pacific, phase I (2017–2021). This Regional Action Programme was subsequently adopted during the third session of the Ministerial Conference on Transport, in December 2017, and endorsed by the Commission at its seventy-third session, in May 2017.

B. Capacity development project evaluations

17. During the biennium 2016–2017, ESCAP commissioned evaluations of nine projects funded through the United Nations Development Account and two projects funded through extrabudgetary contributions (see the annex for further details). In addition, the United Nations Office for Project Services (UNOPS) commissioned an external evaluation of the ESCAP-implemented project entitled “An integrated rural economic and social development programme for livelihoods improvement in the dry zone of Myanmar” in 2017.

18. The Development Account is a capacity development programme of the Secretariat, which is aimed at enhancing the capacities of developing countries in areas of priority. The projects concerned were implemented by the relevant ESCAP divisions or offices, working in close collaboration with a range of partners, including the Department of Economic and Social Affairs of the Secretariat and other regional commissions. Under these evaluations, systematic assessments were conducted of the performance and results of the projects and lessons learned were identified with a view to formulating recommendations for follow-up projects and action to improve future project implementation.
19. Some key results of the ESCAP capacity development projects identified in the evaluations are highlighted in the following paragraphs.

20. Under the ESCAP project on building capacity and facilitating private sector involvement for infrastructure development for less developed countries in the Asia-Pacific region, implemented from 2014 to 2016, support was provided to the Governments of Bhutan, Cambodia, the Lao People’s Democratic Republic and Myanmar in engaging the private sector in infrastructure development, through public-private partnerships. Based on the evidence, it was confirmed under the evaluation that, in Bhutan, the project was instrumental in finalizing the public-private partnership policy, which was approved by the Cabinet on 1 March 2016, and in building the capacity of government officials to negotiate the public-private partnership arrangements with the private sector. In Cambodia, support was provided under the project to the Government in developing a public-private partnership procurement manual for its officials in the soon-to-be-established public-private partnership unit. Government officials considered the procurement manual to have contributed significantly to the development of the country’s guidelines for public-private-partnership project selection. In the Lao People’s Democratic Republic, training was provided under the project on public-private partnerships for government officials, who confirmed that the training had enabled them to advocate the inclusion of public-private partnerships in the amendment of the Law on Investment Promotion and subsequently to formulate a draft public-private partnership decree. In Myanmar, support was provided under the project in the formulation of a public-private partnership policy document, including a road map for the development of such partnerships in the country.

21. Under the ESCAP project on enhancing knowledge and capacity for the management of disaster risks for a resilient future in Asia and the Pacific, support was provided to countries hit by major disasters, including the earthquake in Nepal in 2015 and the 2015–2016 El Niño phenomenon, in the form of manuals, advisories, workshops and dialogues, as well as a consultation specifically relating to El Niño at the regional level. During 2015–2016 El Niño season, ESCAP and its partners developed an assessment methodology entitled “Assessment of El Niño-associated risks: the stepwise process”, which was adapted by key stakeholders from 14 affected countries. A pilot by the South Asian Association for Regional Cooperation Disaster Management Centre tested the manual on rapid assessment for resilient recovery following the 2015 earthquake in Gorkha, Nepal, and this manual was adapted to focus on the Association of Southeast Asian Nations region. This project enabled ESCAP to quickly meet its commitments under the Association of Southeast Asian Nations-United Nations Joint Strategic Plan of Action on Disaster Management 2016–2020. For countries with critical vulnerabilities, including Cambodia, Myanmar and Sri Lanka, ESCAP put in place strengthened monsoon forums, which are national climate outlook forums whose aim is to communicate disaster risk information that is actionable through downscaled climate outlooks, seasonal forecast and in-season drought monitoring using earth observation satellites.

22. Under the ESCAP project entitled “An integrated rural economic and social development programme for livelihoods improvement in the dry zone of Myanmar”, implemented by the Centre for Alleviation of Poverty through Sustainable Agriculture from 2015 to 2016, participatory decision-making approaches were successfully introduced to support rural development, including participatory rural appraisal and farmer-led innovation through capacity-building workshops, case studies and policy briefs. Project stakeholders confirmed that the project contributed to mainstreaming the
participatory rural appraisal approach into government extension services and resulted in increased interaction and engagement by rural communities in the design and implementation of rural development projects. Also under the project, multi-stakeholder dialogue on development policies in Myanmar was introduced, which brought together representatives from non-governmental organizations and government officials at all levels. In responding to the recommendations from this dialogue, the Department of Agriculture indicated that it was establishing an agricultural call centre to facilitate extension services to the farmers.

23. Under the ESCAP project entitled “Deepening regional connectivity: strengthening capacities of Asian developing countries to increase intraregional trade by implementing paperless trade and transport facilitation systems”, implemented from 2012 to 2015, and its preceding Development Account project, support was provided to 19 countries in the region in developing paperless trade facilitation measures and building capacities to engage in the intergovernmental negotiations. As an example, ESCAP technical assistance to Maldives accelerated the implementation of its national single-window initiative and facilitated the drafting of electronic transaction laws in cooperation with the United Nations Commission on International Trade Law. ESCAP also strengthened regional knowledge-sharing, capacity-building, development of tools and guidelines in the implementation of electronic trade systems and trade facilitation through the United Nations Network of Experts for Paperless Trade and Transport in Asia and the Pacific. The network currently has a membership of over 400 experts from Governments, the private sector and academia in the region. A concrete result of ESCAP capacity development initiatives in this area is the adoption of the Framework Agreement on Facilitation of Cross-border Paperless Trade in Asia and the Pacific by ESCAP members on 19 May 2016 – five months after the completion of the project – ensuring the sustainability of results achieved. Once the Framework Agreement enters into force, capacity-building in paperless trade will become part of its implementation, which will lead to wide application of the trade facilitation guides and tools developed under the projects.

24. Under the ESCAP project on enhancing the capacity of Pacific island countries to manage the impacts of climate change on migration, implemented by the ESCAP Subregional Office for the Pacific based in Suva from 2013 to 2016, contributions were made to policymaking on climate change and labour migration in selected target countries. In Tuvalu, the project contributed to the midterm review of the national climate change policy and, in Nauru, it supported the formulation of the national employment policy and a labour market analysis report. At the regional level, under the project analytical studies were conducted on climate change and migration issues, legislation and institutional arrangements for labour migration in the Pacific islands, which provided baseline information and understanding on the critical issues and priorities for the Pacific countries.

25. While ESCAP capacity-building projects have achieved remarkable results at the regional and national levels, the evaluations also included the identification of several areas for improvement in the design and implementation of these projects as well as specific recommendations with a view to further enhancing their impact. In line with “ESCAP monitoring and evaluation: policy and guidelines”, the secretariat ensures that recommendations emanating from evaluations are used for promoting accountability and supporting organizational improvement. Through the formulation of a management response and a follow-
up action plan, the secretariat seeks to implement key action to address all evaluation recommendations. This mechanism enables the secretariat to undertake the specific steps required to further improve the effectiveness and results of the Commission’s work, including disseminating knowledge products or delivering some critical outputs beyond project time frame and budget, undertaking follow-up activities or projects in areas identified by the evaluation and updating internal policies and guidelines on project and programme formulation and implementation.

26. Some specific follow-up action undertaken by the secretariat during the reporting period to address evaluation recommendations are highlighted in the following paragraphs.

27. To improve the design and implementation of ESCAP projects, the secretariat concluded a series of results-based management workshops with a focus on capacity-building projects in February 2017. The workshops enhanced the capacities of secretariat staff and management in the design, implementation, monitoring and evaluation of projects based on results-based management principles and approaches. They also contributed to strengthening project sustainability designs and gender mainstreaming, which were considered in many project evaluations as major areas for improvement. In December 2017, the secretariat launched new training on effective writing of project proposals and implemented the ESCAP project concept note and document. This training enhanced the skills needed to develop an effective theory of change of a project proposal and translate the theory of change into a clear and concise narrative.

28. To promote the sustainability of ESCAP capacity-building activities on paperless trade and transport facilitation systems, the secretariat successfully promoted the integration of its training materials into the curriculum of several national training institutions in the region, including the University of International Business and Economics in China, the Myanmar International Freight Forwarders’ Association, the Mekong Institute and the Trade Training and Research Institute in Cambodia.

29. To widen the outreach of its knowledge products and capacity-building programmes, ESCAP strengthened the use of modern online training platforms for knowledge exchange and delivery of capacity-building programmes. For example, ESCAP and the United Nations Network of Experts for Paperless Trade and Transport in Asia and the Pacific developed an e-learning series on business process analysis for trade facilitation.3 The series is considered the first necessary step to simplifying trade procedures. It consists of seven modules and introduces a step-by-step approach to conducting business process analysis. It is aimed at government officials and other stakeholders responsible for trade facilitation. Under the Asia-Pacific partnership of ESCAP, the Asian Development Bank (ADB) and the United Nations Development Programme (UNDP), several e-platforms were developed, including the Asia-Pacific Sustainable Development Goals Partnership4 and the Urban Sustainable Development Goals Knowledge Platform.5 The Asian and Pacific Training Centre for Information and Communication Technology for Development offers online courses on its Virtual Academy covering various areas related to information and communications technology for development, including information and communications technology and disaster risk management.

4 http://data.unescap.org/sdg/.
5 www.urbansdgplatform.org.
30. To support evidence-based project design and formulation, the secretariat intensified the use of evaluation results in informing the formulation of new capacity development projects. Some examples of new projects and initiatives informed by evaluations results include the new phase of the regional partnership between ESCAP, ADB and UNDP on the Sustainable Development Goals, several Development Account projects under the eleventh tranche and a follow-up project to the project funded by the European Union on managing the impact of climate change on migration in the Pacific countries. The secretariat ensures the use of evaluation results through the formulation of a management response and a follow-up action plan to address evaluation recommendations.

31. To promote a multidisciplinary approach and interdivisional collaboration in the design and delivery of ESCAP capacity-building projects, the secretariat facilitates and supports regular joint planning and review processes, including annual joint planning and review meetings of all divisions, subregional offices and regional institutions, as well as regular bilateral consultation meetings as required between divisions, subregional offices and regional institutions for joint planning, review and implementation purposes. Furthermore, three platforms served the purpose of ensuring adequate coordination within the secretariat: weekly meetings of the senior management team, weekly briefs and semi-annual consultation meetings organized by the Strategy and Programme Management Division.

III. Strengthening evaluation at the Commission

32. Continuously improving the quality of evaluations is one of the overarching aims of the evaluation function at ESCAP. In June 2017, the Executive Secretary issued an updated version of “ESCAP monitoring and evaluation: policy and guidelines” to further strengthen monitoring and evaluation at ESCAP. The updated guidelines ensure that evaluation generates concrete evidence on the results of the work of ESCAP and that capacity development projects are subject to independent and credible evaluation in line with United Nations norms and standards. They also require all evaluative activities to be managed through an evaluation reference group to provide oversight and support, and that evaluation consultants selected to conduct ESCAP evaluations are professional, qualified and independent. Moreover, in aligning ESCAP evaluations with the updated United Nations Evaluation Group norms and standards for evaluation, they provide for coherence and consistency of evaluation practices among other United Nations entities.

33. To continue to build evaluation awareness and capacity among ESCAP staff, evaluation matters are routinely part of internal briefings on programme matters. ESCAP co-organized the annual regional workshop on evaluation in the United Nations context conducted by the United Nations Evaluation Development Group for Asia and the Pacific, within which ESCAP is a very active participant. The regional workshop is aimed at increasing the capacities of United Nations staff in designing and managing evaluations and enhancing the quality and effectiveness of evaluation in the United Nations system. It caters for monitoring and evaluation specialists of United Nations entities in the region.

34. The ESCAP evaluation function benefits from a broad network of evaluation professionals located in the region and worldwide. The Evaluation Unit participates in the United Nations Evaluation Development Group for Asia and the Pacific and represents the secretariat in the United Nations Evaluation Group, which holds annual knowledge-sharing workshops, organizes task forces to undertake specific evaluation projects and conducts coordination meetings. ESCAP facilitated the establishment of a monitoring and evaluation network,
which links up the focal points for monitoring and evaluation from the five regional commissions. The aim of this network is to share resources on and experiences in monitoring and evaluation, and the incorporation of the norms and standards developed by the Department of Management of the Secretariat, the United Nations Evaluation Group and OIOS.

IV. Coordination mechanisms with regional and subregional organizations

35. In its resolution 67/14, the Commission requested the Executive Secretary to assess the manner in which the secretariat carries out its mandate and coordinates its work with regional and subregional organizations operating in Asia and the Pacific; describe the functioning, decision-making and results of the Asia-Pacific Regional Coordination Mechanism, including how the secretariat leverages synergies and other efficiencies that could serve as a model for coordination; and present the results to the Commission as part of the biennial reporting on the secretariat’s evaluation activities. A summary of those results for the biennium 2016–2017 is contained in document ESCAP/74/38.

V. Conclusion

36. As outlined in the present report, evaluations undertaken during the biennium 2016–2017 continued to provide evidence-based information on the results and performance of the work of ESCAP to strengthen accountability to its member States. The information also facilitated performance enhancement and guided structural changes at ESCAP. Key follow-up action to evaluation recommendations was taken with a view to strengthening the results-oriented nature of ESCAP capacity development work, including at the national level, promoting sustainability and gender mainstreaming and creating strategic partnerships with national and regional development organizations.

37. The Commission may wish to review the report and recommend actions to further enhance the performance and results of the Commission’s work and to further strengthen its evaluation function.
## Annex

### Evaluations implemented during the biennium 2016–2017

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<td>2. United Nations Special Programme for the Economies of Central Asia</td>
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<td>2017</td>
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<td>12. ESCAP/ADB/UNDP project: Supporting the achievement of the Millennium Development Goals in Asia and the Pacific, phase III</td>
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